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1 **Combined theoretical and experimental characterizations**
2 **of semiconductors for photoelectrocatalytic applications**

3

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5

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10

11 **Keywords:** photocatalysis, absorption coefficient, exciton binding energy, effective mass,

12 **DFT**

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15 **Abstract**

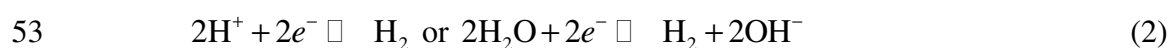
16 Photoelectrocatalysis studies have emerged tremendous knowledge and experience, which has
17 led to discovery of a number of active materials. Due to complexity of the processes involved,
18 however, development of suitable semiconductor and catalyst for the photoelectrocatalysis
19 still requires a try-and-error approach as different parameters are coherently varied to
20 determine overall performance. This contribution provides insight into the key optoelectronic
21 properties of the semiconductors, such as absorption coefficient, dielectric constant, effective
22 masses, exciton binding energy, and band positions. The combined assessment from
23 theoretical and experimental points of view is reviewed, which may help thorough
24 understanding of the semiconductors and the way to reliably characterize them, and in turn to
25 develop improved photoelectrocatalytic materials.

26 **Introduction**

27 The scientific community has devoted much effort to developing efficient photovoltaic
28 devices that can convert sunlight (i.e., photons) into electricity (i.e., electrons and holes in an
29 external circuit). This important topic of research has led scientists to the development of a
30 large variety of photovoltaic materials[1–7] whose photoconversion efficiencies are compared
31 on the frequently updated NREL chart.[8] In parallel to this research activity, the researchers
32 developed the idea that photogenerated electrons and holes can be effectively and directly
33 consumed to perform electrochemical redox reactions.[9,10] Such photoelectrocatalytic
34 reactions can produce valuable molecules with the ability to generate energy on demand or
35 valuable molecules for the chemical industry.[11–19] The two main investigated reactions are
36 CO₂ reduction[20–22] and water splitting.[23–27] Recently, new types of
37 photoelectrocatalytic reactions are being investigated, such as biomass valorization, among
38 which glycerol oxidation seems most promising.[28–31]

39 Since water splitting is one of the most investigated reactions in photoelectrocatalysis,
40 this manuscript is oriented toward this reaction as an excellent benchmark of the energetically
41 uphill reaction.[32] The main concepts presented herein can be transferred to other
42 photoelectrocatalytic reactions. Water splitting is the combination of two half-electrochemical
43 reactions called oxygen evolution reaction (OER, equation 1) and hydrogen evolution reaction
44 (HER, equation 2). To achieve solar-driven water splitting, multiple device configurations
45 have been proposed.[33,34] The first solar-derived water splitting technology is simply
46 accomplished by connecting a solar panel to an electrolyzer via an external circuit to split
47 water and produce H₂. Another technology consists of solar panels directly immersed in water
48 to perform OER and HER with appropriate surface modifications to make
49 photoelectrodes,[35,36] which might not require wiring.[37] Also, photon absorbers can be

50 dispersed in water as a powder form with the high surface area, so-called photocatalyst, which
51 has a dual function to absorb the sunlight and to perform the two half-reactions.[38–43]



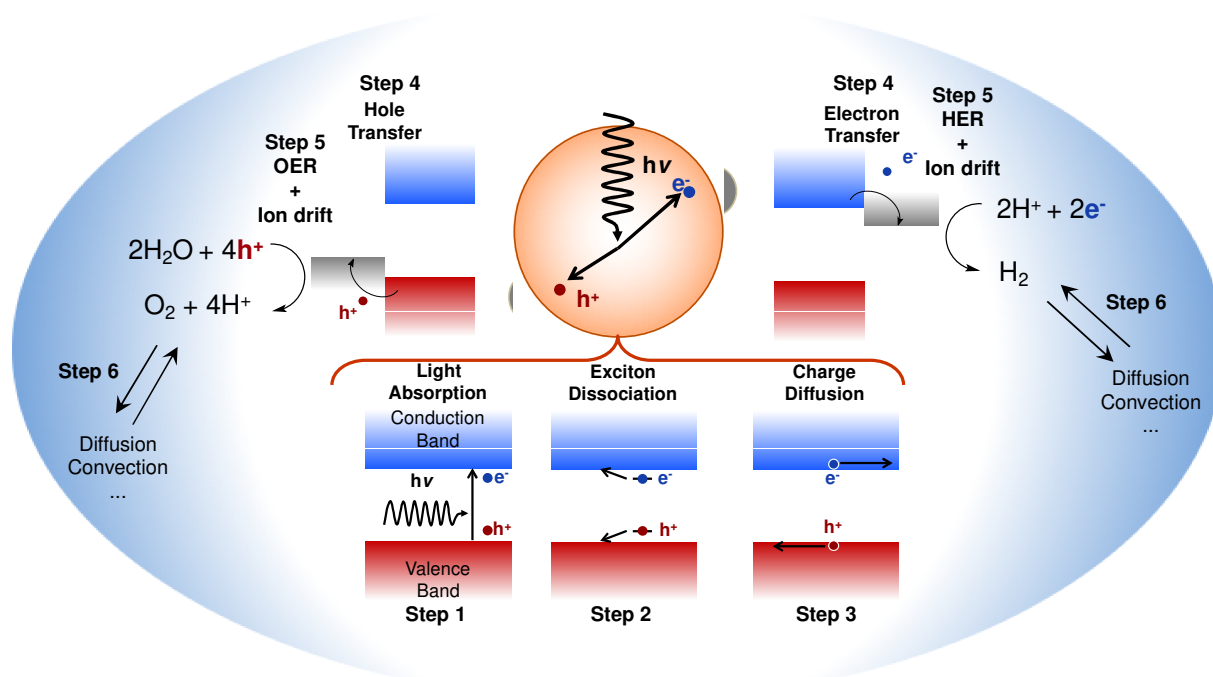
54 Multiple articles have addressed the economic viability of these water splitting
55 technologies.[44–47] Several architectures were proposed to estimate their capital cost,
56 assuming several working conditions. As of now, the highest efficiency for producing H₂
57 from sunlight is to connect two separate devices of a photovoltaic cell and an electrolyzer.[48]
58 It is difficult to rigorously compare these studies because the assumptions made about the
59 properties and architectures of the materials are typically different. However, it seems likely
60 that a direct water splitting technology, using photoelectrochemical and photocatalytic
61 systems, would be more profitable than a solar panel connected to an electrolyzer.[44]
62 Unfortunately, despite the potential economic advantage, efficient photoelectrocatalytic
63 materials have not yet met the requirements for commercialization.

64 Therefore, for this technology to be considered viable for H₂ production, it is
65 necessary to develop efficient water splitting photoelectrocatalytic materials that are
66 applicable to an integrated photoelectrochemical system or a photocatalyst powder system.
67 Understanding the fundamental phenomena involved in the photocatalytic process should help
68 to improve this efficiency. As we will see in the next section, however, this is a difficult task
69 because of the complex elementary steps involved in the photocatalytic process.[49] This
70 review focuses on characterization of photocatalyst powder materials, but we note that
71 fundamental aspects for optoelectronic properties are very much in common for
72 photoelectrochemical reactions.

73

74 **Focus on the photocatalysts**

75 Heterogeneous photocatalysts developed for overall water splitting using a single
 76 semiconductor typically have the architecture presented in Figure 1.[24,50] The photocatalyst
 77 consists of semiconductor particles decorated by cocatalyst nanoparticles to facilitate OER or
 78 HER.[51] The fundamental principles of photoelectrochemical OER or HER are generally the
 79 same under open circuit conditions. Figure 1 focuses on the respective half-reactions.
 80

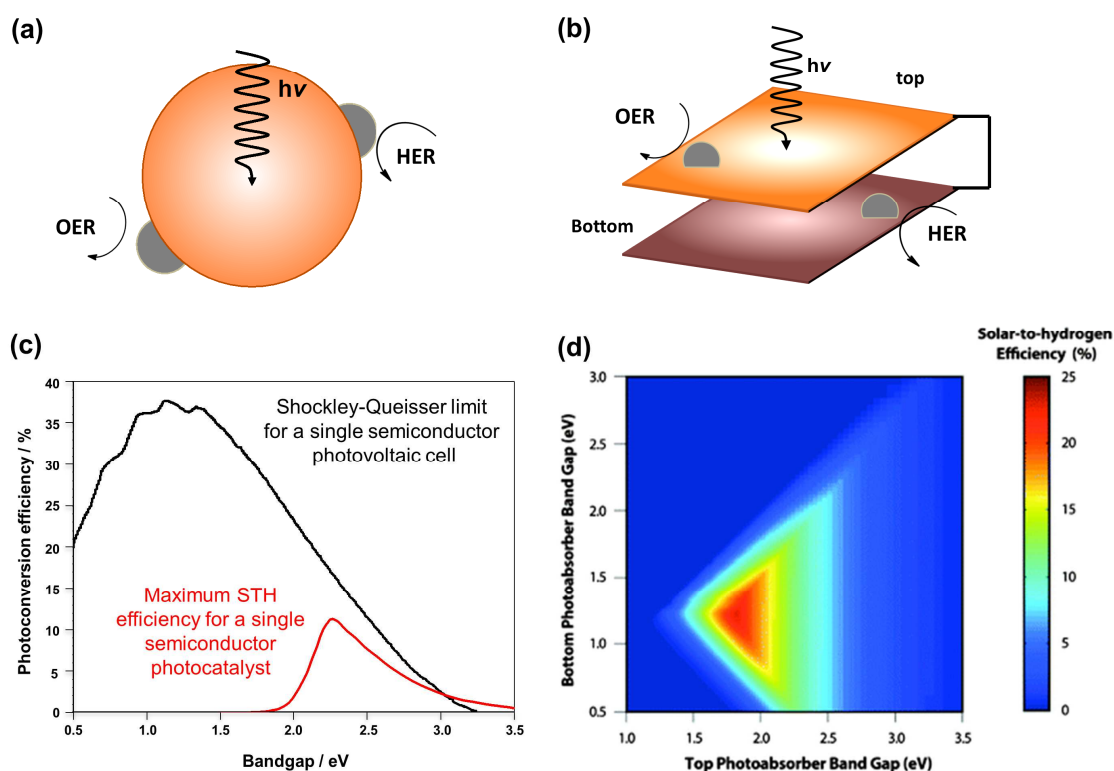


81
 82 **Figure 1.** Structure of a photocatalyst with the semiconductor in orange and the cocatalysts in grey. Valence and conduction
 83 bands of the semiconductor are in red and blue, respectively.

84
 85 The photocatalytic reaction can be divided into several sequential processes (Figure 1). The
 86 efficiency of these steps is mainly governed by the properties of the semiconductor, the
 87 cocatalyst or the interface between the two. Successful photoelectrocatalysis proceeds via the
 88 following six steps.

89 **Step 1** corresponds to the light absorption by the semiconductor creating an electron
 90 (e^-) and hole (h^+) pair, called exciton.[52] The light absorption is mainly governed by the
 91 bandgap (E_g) in a semiconductor that can be seen as the difference in energy between the top

92 of the valence band and the bottom of the conduction band. In short, the bandgap must be low
93 enough to absorb the largest number of photons contained in sunlight and large enough to
94 produce electrons and holes having sufficient energies to perform the two half-reactions. For
95 water splitting reaction, the thermodynamic potential difference is 1.23 eV. In reality, it has
96 been shown that to take into account the unavoidable energy loss due to all the electron
97 transfers and entropic loss,[53,54] the bandgap of the semiconductor is required to be above
98 1.8 eV or, more ideally, between 2.0 and 2.5 eV (to maximize the attainable efficiencies with
99 some variations).[44,55–57] Figure 2(a)-(c) presents the variation of the solar to hydrogen
100 (STH) efficiency as a function of the bandgap of the semiconductor, along with the classical
101 Shockley-Queisser limit of a photovoltaic device based on a p-n junction.[44,58] This
102 simulation includes some models of the energetic losses, including overpotentials for the half-
103 reactions.[44] It is interesting to see the large difference between the theoretical maximum
104 photoconversion efficiencies between a standard p-n junction photovoltaic cell (around 35 %;
105 power efficiency) and the maximum STH efficiency (around 12%; energy efficiency based on
106 bandgap energy and hydrogen product energy) using a single photocatalyst. Because a single
107 semiconductor based photocatalyst has a limited attainable efficiency, multiple semiconductor
108 configurations are considered, such as Z-scheme structures or so-called type-II
109 heterostructure.[59–62] One of the driving forces motivating the development of such
110 architecture is the possibility to achieve, in principle, much higher attainable efficiencies
111 (Figure 2(b)-(d)).[44,56] The maximum attainable STH energy efficiency using two-
112 semiconductor-based materials is ~25% when a tandem configuration is used together with
113 highly efficient electrocatalysts.



114
 115 **Figure 2.** (a) Single semiconductor photocatalyst architecture used for the STH efficiency simulation of (c). (b) Tandem cell
 116 architecture used to perform the simulation of the STH efficiency of (d). (c) Comparison between the Shockley-Queisser
 117 limit of a photovoltaic cell and the Solar-to-Hydrogen (STH) efficiency of photocatalysts as a function of the bandgap of the
 118 semiconductor. (d) STH efficiency of two-junction photocatalysts as a function of the bandgaps of the two semiconductors.
 119 Figure reprinted with permission from “B.A. Pinaud et al. Energy Environ. Sci. 2013, 6, 1983” with the permission of the
 120 royal society of chemistry.

121
 122 **Step 2:** The exciton dissociation. After light absorption, the electron and the hole are
 123 bound, creating a particle called an exciton. The electron and the hole must be separated to
 124 perform the redox reactions. The exciton ionization energy is called exciton binding energy,
 125 noted E_b . To have free charge carriers, this energy should be lower than the thermal energy
 126 (~ 25 meV at room temperature).[63] If the exciton is not dissociated, it will quickly
 127 recombine, losing the energy of the photon. The exciton binding energy is mainly governed
 128 by the dielectric constant of the material, noted ϵ_r . The dielectric constant represents the

129 ability of the material to screen charges. The larger the dielectric constant, the easier it will be
130 to dissociate the exciton. In fact, materials frequently used in photovoltaics (e.g., Si, CdTe,
131 GaAs) have a dielectric constant higher than 10, and their E_b is always lower than 25
132 meV.[64] This value of 10 for ϵ_r can be seen as a target to develop new semiconductors for
133 water splitting.

134 **Step 3:** Charge carrier diffusion. Once the exciton is dissociated, electrons and holes
135 diffuse to the surface, according to semiconductors physics.[65] This diffusion is
136 characterized by the diffusion coefficient, D , of the charges related to the charge carrier
137 mobilities, μ , by the Einstein relationship (equation (3)). The mobility is linked to the
138 effective masses, m^* , and the collision time, τ (equation (4)).

$$139 \quad D = \frac{k_B T}{e} \mu \quad (3)$$

$$140 \quad \mu = e \frac{\tau}{m^*} \quad (4)$$

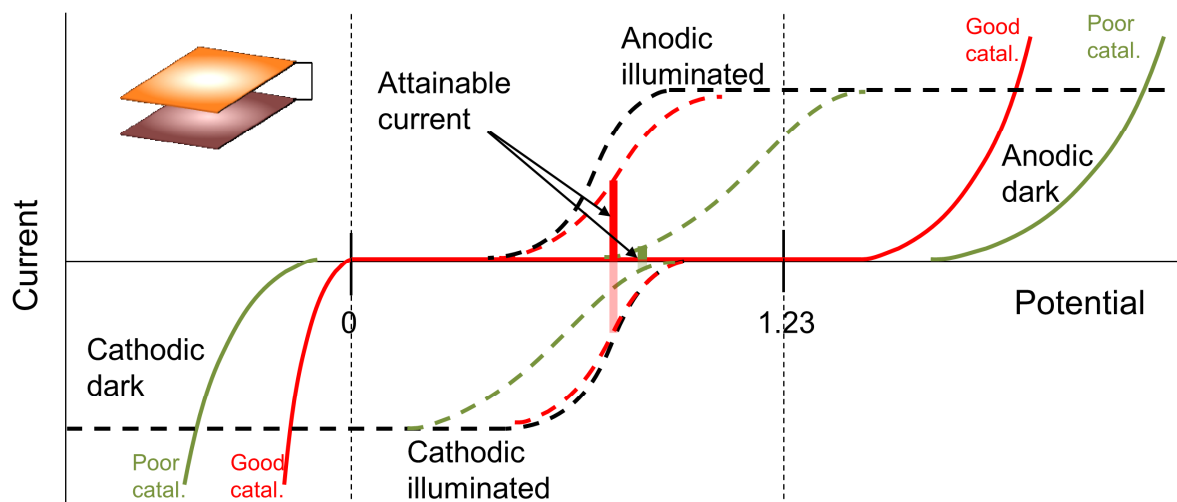
141 There is no fundamental lower limit for the value of the charge carrier mobilities or effective
142 masses. But empirically, by analyzing all semiconductors efficient for photovoltaic
143 applications, it appears that they all have a mobility higher than $10 \text{ cm}^2 \text{ s}^{-1} \text{ V}^{-1}$ and an
144 effective mass lower than 0.5 electron mass at least in one crystallographic direction. Based
145 on this empirical observation, all semiconductors having an effective mass lower than
146 0.5 electron mass ($9.1 \times 10^{-31} \text{ kg}$, noted m_0 hereafter) for holes and electrons can be
147 considered as having good charge carrier mobilities.

148 **Step 4:** Charge transfer. In practice, the semiconductors developed to efficiently
149 generated charge carriers are not necessarily adapted to catalyze the two-half reactions of
150 water splitting. In other words, the activation energy or the overpotential of the
151 electrocatalytic reactions are generally large on the surface of the semiconductor. This is the
152 reason why the semiconductor surface is often decorated by cocatalysts having better catalytic

153 activity toward the electrochemical reactions. The electron or hole transfer must be efficient
154 to have a maximum of charges collected by the cocatalysts. This step depends on the quality
155 of the interface between the cocatalyst and the semiconductor.

156 **Step 5:** The electrochemical redox reactions. For water splitting, the electrocatalytic
157 reactions are HER and OER, both of which require multiple electrons (see equations (1) and
158 (2)). The potentials used to split water in photocatalysis come from the charge dynamics
159 inside the semiconductor. In other words, photocatalytic water splitting can be seen as
160 electrocatalytic water splitting, in which the applied potential is not chosen by an external
161 electric circuit as in conventional electrolyzer but depends on the efficiency of the
162 semiconductor to generate a charge flow to the surface as a consequence of steps 1–4 (see
163 above). The efficiency of this step is mainly governed by the overpotential (noted η)
164 associated with the cocatalyst. The overpotential corresponds to the extra energy (or the extra
165 potential) needed to perform one half-reaction beyond the thermodynamic limit. We chose
166 photoelectrochemical performance as an example to show how electrocatalytic performance
167 might influence the case of a photoanode for oxygen evolution reaction, as presented in
168 Figure 3.[66]

169



171 **Figure 3.** Conceptual schemes representing attainable current as a function of potential in a two-photoelectrode
172 configuration. The same cathodic and anodic currents achieved by the respective photocathode and photoanode will be the
173 total current generated by the entire device. Two types of electrocatalysts (cocatalysts) are arbitrarily chosen to represent
174 their excellent and poor performances. Black dotted lines represent potentially-achievable photoelectrochemical performance
175 from only charge separation, and red and green dotted lines are actual performance obtainable with excellent and poor
176 electrocatalysis.

177
178 **Step 6:** Fluid mechanics and diffusion of ions and molecules. This step presents phenomena
179 happening mainly inside the electrolyte, where the reactions take place.[67] This is an
180 important aspect in the working principle of a water-splitting device, and further
181 improvements of the photocatalytic efficiencies could be obtained by a smart design of the
182 electrolyte. The optimization of the electrolyte at near-neutral pH was reviewed
183 elsewhere.[68]

184 Development of new semiconductors and photocatalysts (i.e., semiconductor and
185 cocatalyst) fulfilling this list of requirements has been a major source of work for the
186 photoelectrochemistry community, starting from oxides[69–73] but quickly progressing to
187 more sophisticated materials, such as sulfides[70,74–76], oxysulfides[77–80], nitrides[81–
188 84], and oxynitrides.[62,85–87] These new systems are frequently the subject of reviews,
189 highlighting the wealth of new semiconductors designed for
190 photoelectrocatalysis.[16,55,82,88] In parallel, the tools developed by quantum chemists are
191 ever more frequently used to investigate photocatalyst properties,[89–93] mainly based on the
192 Density Functional Theory (DFT).[94] However, rationalizing the differences in activity of
193 these semiconductors is difficult, mainly because of the lack of facile experimental
194 characterization of their optoelectronic properties.

195 The current review article is dedicated to the characterization of semiconductors,
196 which can be coherently achieved both experimentally and computationally. To make this
197 contribution unique, we focus on the characterizations of optoelectronic properties that can be

198 directly related to the electronic structures of semiconductor solids. We will present the
199 different techniques available to measure and compute the following key properties, all
200 directly involved from Step 1 to Step 4 (Figure 1).

201	I. Bandgaps and absorption coefficient.	12
202	II. Dielectric constant.	25
203	III. Charge transport properties	29
204	IV. Exciton binding energy.	37
205	V. Band positions.	42
206		

207 **I. Bandgaps and absorption coefficient.**

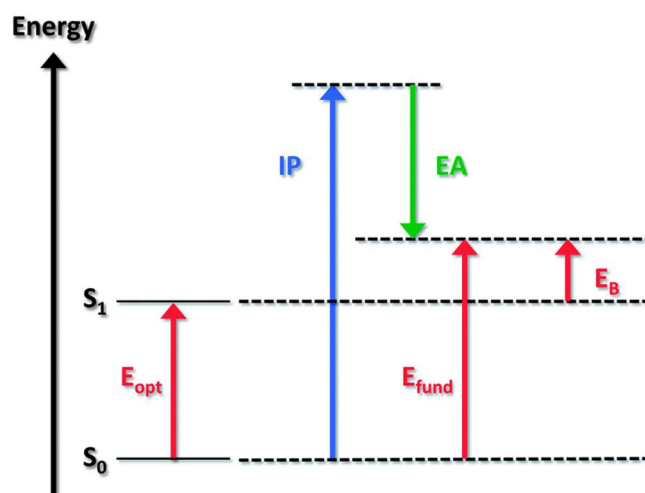
208 The bandgap, E_g , is an essential property of semiconductors, and many publications
209 presenting new semiconductors predominantly focus on reporting E_g to characterize their
210 electronic structures. E_g is an important property since the primary attainable efficiency of a
211 photocatalytic device from photon absorption is directly related to this value (Figure 2).
212 However, the definition of E_g is ambiguous and controversial, sometimes leading to confusion
213 between the optical gap, electronic gap, and HOMO-LUMO gap. A recent article dedicated to
214 the comparison between the different types of bandgaps has been discussed by Breda (Figure
215 4).[95] Based on this work, we can define the fundamental gap corresponding to the
216 difference in energy between the first ionization potential (IP) and the first electron affinity
217 (EA).

$$218 \quad E_g(\text{fund}) = \text{EA} - \text{IP} \quad (5)$$

219 We can also define the optical gap, corresponding to the energy of transition between the
220 ground state (noted S_0) and the first excited state (noted S_1). This fundamental gap is larger
221 than the optical gap, measured by absorption spectroscopy or photoluminescence. The energy
222 difference between these two gaps originates from the formation of an exciton for optical
223 measurements. The exciton formation energy is noted as E_b .

$$224 \quad E_g(\text{opt}) = \text{EA} - \text{IP} - E_b \quad (6)$$

225 E_b is generally relatively small for standard covalent semiconductors (few dozens of meV)
226 when compared to the fundamental bandgap (few eV). Thus, in general, $E_g(\text{fund})$ and $E_g(\text{opt})$
227 are very close.



228
 229 **Figure 4.** An energetic diagram presenting the different bandgap and their relationships. E_B in this figure corresponds to E_b in
 230 the text. Figure reprinted with permission from “J.-L. Breda Mater. Horiz. 2014, 1, 17-19” with the permission of the royal
 231 society of chemistry.[95]
 232

233 Finally, we can define the bandgap corresponding to the energy difference between the
 234 top of the valence band (noted ϵ_{VB}) and the bottom of the conduction band (noted ϵ_{CB}). By
 235 analogy to molecular calculations, one can call this bandgap the HOMO-LUMO bandgap or
 236 the mono-electronic bandgap.

$$237 \quad E_g(\text{mono}) = \epsilon_{CB} - \epsilon_{VB} \quad (7)$$

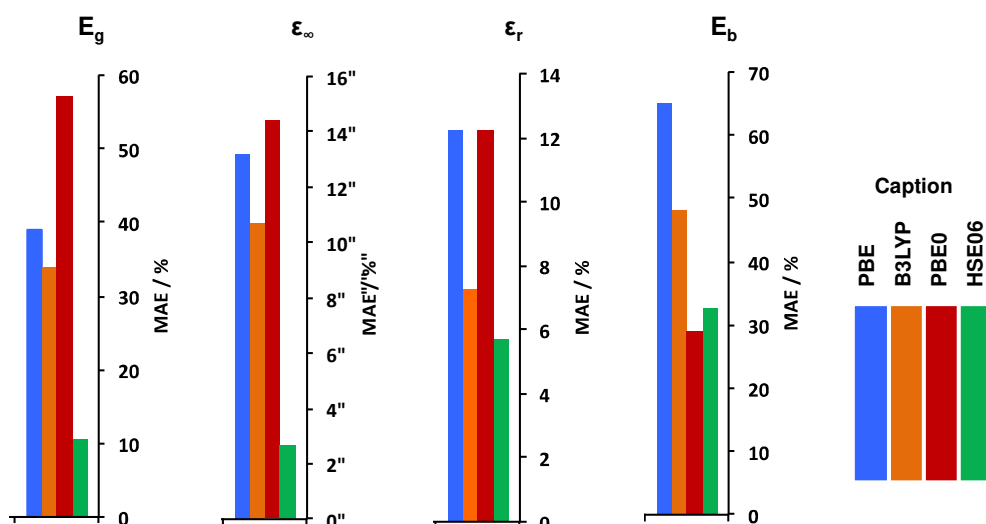
238 These energies are obtained by self-consistently solving the mono-electronic Kohn-Sham
 239 equations. Removing or adding an electron to a system, with the associate energies IP and
 240 EA, change all the electronic structure of the system because the electrons interact with each
 241 other leading to orbital energies variation after the electron addition/removal. Thus, to
 242 compute IP and EA, the full electronic structure relaxation induced the change in the number
 243 of electrons must be taken into account, that is time consuming to compute or even impossible
 244 for periodic system (this aspect is discussed later in the manuscript). In 1934, Koopman
 245 demonstrated that under the assumption that if the orbital relaxation is not important under
 246 electron addition/removal or in other words if the orbitals does not change in energy and in
 247 shape, the orbital energies correspond to IP and EA ($IP \approx -\epsilon_{HOMO}$ and $EA \approx \epsilon_{LUMO}$).[96] This

248 is called the Koopman's theorem and is the most frequent assumption used to estimate IP and
249 EA of a system. This theorem was demonstrated in the framework of Hartree-Fock
250 theory.[96] An attempt to adapt this theorem to DFT was performed by Janak in 1978.[97]
251 The application area of Janak's theorem is smaller, because this theorem works only for the
252 HOMO orbital (i.e., $IP \approx -\epsilon_{\text{HOMO}}$). Nevertheless, the community has taken the habit to apply
253 the Koopman's theorem to DFT allowing to estimate the EA from the LUMO energy or in
254 some scientific fields to use core orbitals to estimate core level energies.

$$255 \quad E_g(\text{fund}) = EA - IP \approx \epsilon_{\text{CB}} - \epsilon_{\text{VB}} = E_g(\text{mono}) \quad (8)$$

256 This assumption is very rough for molecules but works relatively well (for the
257 precision we are looking for) for solids, which will be discussed later.[98] Because the
258 exciton binding energy usually requires only a small correction to go from the fundamental
259 bandgap to the optical bandgap, the monoelectronic bandgap is usually directly compared to
260 the optical bandgap.

261 Benchmarks of DFT functionals to simulate $E_g(\text{mono})$, thus by using the top of the
262 valence band and the bottom of conduction band energies, have been the subject of numerous
263 works in the literature.[99–108] As a matter of fact, some of us presented a benchmark
264 focused on semiconductors used in photoelectrocatalysis and photovoltaic, using functionals
265 frequently used in solid-state chemistry to compute electronic structures: PBE[109] (GGA),
266 B3LYP (global hybrid, 20% of exact exchange), PBE0[110] (global hybrid, 25% of exact
267 exchange) and HSE06[111,112] (range-separated hybrid). The results of this are presented in
268 Figure 5.[63]



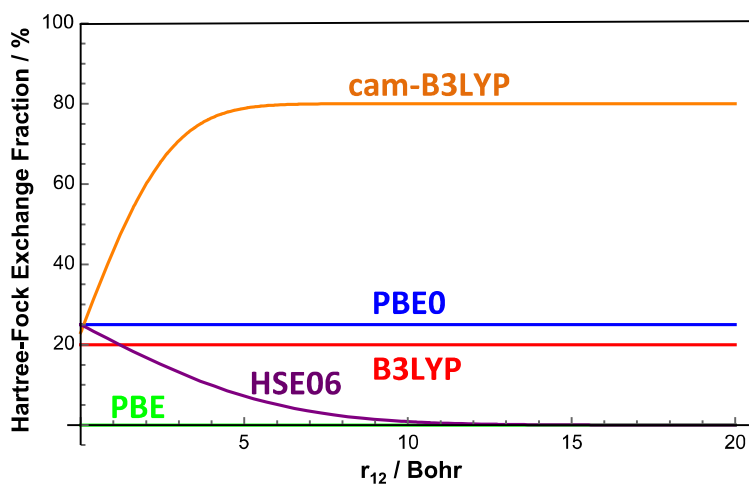
269

270 **Figure 5.** Mean absolute error (MAE) of the four investigated functionals on the selected properties. MAE is obtained by
 271 performing the arithmetic average of the absolute error (compared to experiment). Adapted with permission from “Le
 272 Bahers, T.; Rérat, M.; Sautet, P. *J. Phys. Chem. C* 2014, *118*, 5997”. Copyright (2018) American Chemical Society.[63]

273

274 If we focus on the bandgap calculation, GGA and global hybrids give bandgaps with a
 275 relatively large error. Actually, GGA strongly underestimates bandgaps while global hybrids
 276 overestimate it.[104] The range-separated hybrid HSE06 gives bandgaps with 10% of error. It
 277 is interesting to focus on this functional and attempt to understand its reliability. This is a
 278 range-separated hybrid, meaning that the exact exchange (or Hartree-Fock (HF) exchange)
 279 depends on the interelectronic distance in the evaluation of the exchange integrals, unlike for
 280 global hybrids, such as PBE0 and B3LYP functionals, whose exact exchange is constant
 281 (Figure 6). Contrary to the well-known range-separated hybrids, such as cam-B3LYP,[113]
 282 designed to increase the HF exchange when increasing the interelectronic distance, the
 283 HSE06 functional decreases this fraction (Figure 6). The reason for this behavior is practical
 284 rather than physical. Decreasing the HF exchange with the interelectronic distance allows
 285 reducing the number of exchange integrals to compute on long-range that save a large amount
 286 of computational time in solid-state calculation.[111] The parameters governing the variation
 287 of HF exchange were fitted to reproduce the bandgap of several semiconductors.[111] HSE06

288 works well because it is designed specifically for that purpose. Hybrid functionals are
289 frequently considered to be prohibitive in term of computational time, but their
290 implementation in localized basis set (such as Gaussian basis set) codes offers very accurate
291 performances[114], and they can be easily applied to very large systems (up to several
292 hundreds of atoms).[115,116]



293

294 **Figure 6.** The fraction of exact exchange as a function of the interelectronic distance for several functionals.

295

296 It is interesting to note the high reliability of DFT for bandgap simulation based on
297 band (i.e., orbital) energies. In the molecular case, it is well-documented that to take the
298 HOMO-LUMO gap to simulate the first optical transition is a very bad approximation, with
299 errors of several eV.[117] One reason for this is the large exciton binding energy for
300 molecules because of its very localized nature, unlike the case of the solids. Nevertheless, the
301 HOMO-LUMO gap also fails to reproduce the fundamental gap for molecules. This
302 discrepancy comes from the large orbital relaxation induced by electron addition/removal in
303 molecules, making Koopmans's theorem not applicable. The review proposed by Blase *et al.*
304 on that topic is particularly interesting.[117] For solids, this orbital relaxation is very
305 moderate because of the periodic nature of the system. Adding or removing one electron
306 creates an extra charge (electron or hole) delocalized on several unit cells, thus with a diluted
307 influence on the other electrons of these unit cells leading to a moderate orbital relaxation and

308 making the Koopmans's theorem more applicable. Interested readers are invited to refer to the
309 work published on that topic by Perdew et al.[98] In addition to the fact that the exciton
310 binding energy is generally a weak correction, the monoelectronic bandgap in solid-state
311 systems is generally close to the fundamental and optical bandgaps.

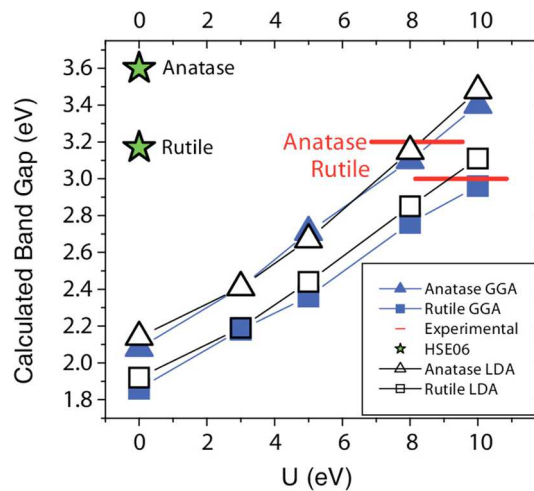
312 The development of new functionals for solid-state simulation and, more precisely for
313 semiconductor properties calculations, is still a topic of research. One approach proposed is to
314 use global hybrid functionals, but changing the HF fraction for each semiconductor. A first
315 attempt is to assume that a good HF fraction is equal to $1/\epsilon_{\infty}$. [103,108,118–122] A less
316 empirical approach is to use the Green-Screened Coulomb interaction formalism (better
317 known as GW) and to extract an HF exchange ratio using a screened exchange operator, as
318 proposed by Galli and coworkers, which can also be adapted to build range-separated hybrid
319 functionals.[123,124] The use of tuned hybrid functionals, based on dielectric constant, works
320 relatively well, leading to errors on the bandgaps below 10%, but has the main drawback of
321 requiring a change of functional when going from one semiconductor to another. New
322 functionals are sometimes presented with superior performance than HSE06.[124,125] Meta-
323 GGA functionals, such as the one developed by Becke and Johnson (mBJ)[101,126] and
324 Verna and Truhlar (HLE17)[125], can also lead to errors around or even below 10%. These
325 functionals are pure functionals, meaning that there is no exact exchange calculation. The
326 consequence is faster calculations compared to hybrid functionals, giving an advantage
327 compared to HSE06 for similar reliability. Unfortunately, the SCF convergence of meta-GGA
328 for some systems and surfaces is sometimes difficult.[127–129]

329 The good performance assessed of density functionals presented above is valid only
330 for semiconductors based on filled (d^{10}) or empty (d^0) d-shells elements. In general, all the
331 density functionals fail to reproduce the bandgap and electronic properties of semiconductors
332 containing partially filled d-orbitals.[130–136] This is particularly true for the third-row

333 transition metals. The reason is the strong electronic correlations between electrons of d-shells
 334 not properly described by DFT. Two approaches can be used to overcome this important
 335 difficulty. The first consists of forcing (artificially) the correlation in the DFT Hamiltonian by
 336 adding a phenomenological term, called the Hubbard term.[137–140] Once added, the total
 337 energy of the system is given by Formula 9, where U is called the Hubbard parameter, J the
 338 screened Stoner-like exchange parameter, and ρ^σ is the density matrix.

$$339 \quad E_{\text{DFT+U}} = E_{\text{DFT}} + \frac{U-J}{2} \sum_{\sigma} \text{Tr}[\rho^\sigma - \rho^\sigma \rho^\sigma] \quad (9)$$

340 This term promotes the localization of the electrons on d-orbitals inducing a larger
 341 correlation. Nevertheless, the strength of this localization is parameterized, corresponding to
 342 the U value in Equation 9. This parameter can be adapted, such as reproducing property of the
 343 system (bandgap, ionization potential, and atomization energy). As a matter of illustration,
 344 Figure 7 presents the influence of the U parameter on the computed bandgap of TiO_2 (anatase
 345 and rutile) and compares these values to experimental and HSE06-computed values.[141] The
 346 strength of this approach is the speed of calculation, which is close to that of GGA
 347 functionals. The weakness is the parameterized character of the approach, making the results
 348 parameter dependent. Nevertheless, this approach, due to its easiness of application, is the
 349 most used for strongly correlated systems.[130,132,133,137–139,141–143]

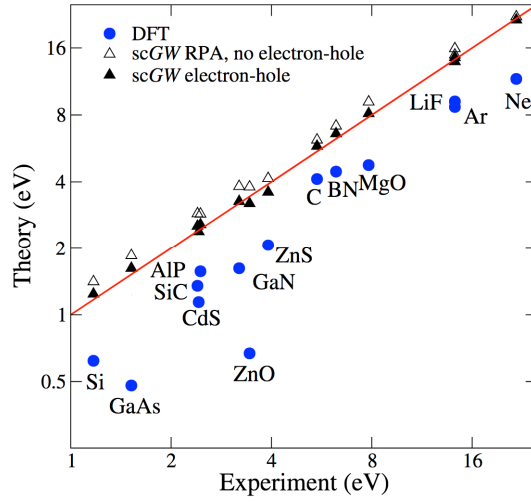


350

351 **Figure 7.** Illustration of the Hubbard Hamiltonian of the bandgap of TiO₂ (anatase and rutile). Figure reprinted with
352 permission from “M.E. Arroyo-de Dompablo *et al. J. Chem. Phys.* 2011, 135, 054503”. Copyright (2018) The American
353 Physical Society.

354

355 The most elegant way to improve the description of correlation by DFT is to go
356 beyond the approximations done by DFT in a rigorous manner. Several approaches have been
357 developed in that direction, but the GW approach is mostly used in solid-state
358 chemistry.[99,117,138,144–148] GW is sometimes presented as a “post-DFT” approach.
359 Presenting the full equations of the GW theory goes beyond the topic of this review, and
360 interested readers are invited to look at specific publications.[117,149] The GW method
361 involves two non-local operators called Green’s function (G) and the screened Coulomb
362 repulsion (W). Briefly, the GW approach uses orbitals previously obtained by a DFT
363 calculation and performs either a single point calculation (called G₀W₀) or a self-consistent
364 calculation (called scGW). There are several types of “flavors” of GW calculations depending
365 on the level of self-consistency. Finally, the GW calculation gives new energy levels exactly
366 corresponding to the ones measured experimentally by photoelectron spectroscopy.[117] In
367 other words, the GW bandgap should correspond to $E_g(\text{fund})$ (equation 5). In practice, GW
368 calculations are notably more computational resource demanding than DFT. GW provides
369 very accurate bandgaps for d⁰ and d¹⁰ materials, with the same accuracy as for good DFT
370 functionals (see Figure 8).[99,119,150,151] For partially occupied d-orbitals based-
371 semiconductors, GW leads to much more accurate bandgaps than DFT.[132][135]
372 Interestingly, GW methods are increasingly available in quantum chemistry codes. While
373 these are an improvement compared to DFT calculations, the large computational resources
374 needed to perform such calculations prevents their use in large systems.



375

376

Figure 8. Comparison between DFT (PBE GGA Functional) and GW bandgaps for selected semiconductors. Figure reprinted with permission from [M. Shishkin *et al. Phys. Rev. Lett.* 2007, 99, 246403]. Copyright (2018) The American Physical Society.[95]

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From the knowledge of monoelectronic energies and associated orbitals, whether they come from DFT or GW calculations, the imaginary part of the frequency dependent dielectric constant can be computed based on band-to-band transitions using the formula (10)-(12).[152] From this formula, it appears that only the transitions at the same k -point (vertical transition in the band structure) are taken into account. In other words, indirect transitions are not considered by this approach. Finally, the real part of the dielectric constant is computed from the imaginary part, using the Kramers-Kronig transformation (formula (12)) and the absorption coefficient is computed from the real and imaginary part of the dielectric constant (formula (13)-(14)). This approach is now frequently used to evaluate the absorption spectra of semiconductors.[87,152–160] This works fairly well if (i) the methodology used to compute the electronic structure gives a reasonable bandgap and (ii) the monoelectronic approach is a good approximation of the electronic structure.

392

$$\varepsilon(\omega) = \varepsilon^{(1)}(\omega) + i\varepsilon^{(2)}(\omega) \quad (10)$$

393

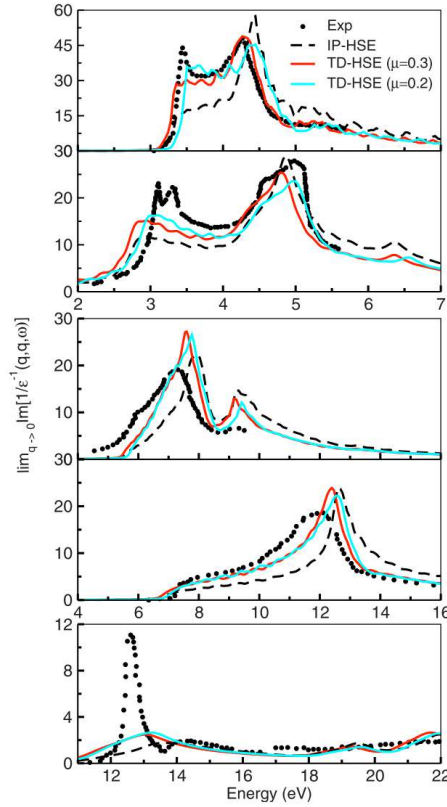
$$\varepsilon_{\alpha\beta}^{(2)}(\omega) = \frac{4\pi e^2}{\Omega} \lim_{q \rightarrow 0} \frac{1}{q^2} \sum_{v,c,k} 2w_k \delta(\partial_{ck} - \partial_{vk} - \omega) \langle u_{ck+qe_\alpha} | u_{vk} \rangle \langle u_{vk} | u_{ck+qe_\beta} \rangle \quad (11)$$

394
$$\epsilon_{\alpha\beta}^{(1)}(\omega) = 1 + \frac{2}{\pi} \int_0^\infty \frac{\epsilon_{\alpha\beta}^{(2)}(\omega') \omega'}{\omega'^2 - \omega^2} d\omega' \quad (12)$$

395
$$\kappa_{\alpha\beta}(\omega) = \sqrt{\frac{\sqrt{\epsilon_{\alpha\beta}^{(1)}(\omega)^2 + \epsilon_{\alpha\beta}^{(2)}(\omega)^2} - \epsilon_{\alpha\beta}^{(1)}(\omega)}{2}} \quad (13)$$

396
$$\alpha_{\alpha\beta}(\omega) = \frac{4\pi}{\lambda} \kappa_{\alpha\beta}(\omega) \quad (14)$$

397 The community of computational solid-state chemistry is also working on the
 398 implementation of TD-DFT that would give access to a much more accurate simulation of the
 399 frequency-dependent dielectric constant, and ultimately a more accurate absorption
 400 coefficient (Figure 9).[161–163]



401
 402 **Figure 9.** Example of a simulation of the imaginary part of the dielectric constant by TD-DFT for Si, GaAs, SiC, C, and LiF
 403 from top to bottom respectively. Figure reprinted with permission from [J. Paier *et al. Phys. Rev.B* 2008, 78, 121201].

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405

406 While bandgap energy is directly associated with the maximum attainable efficiency of the
407 photoelectrocatalysis, the most beneficial property involved in photon absorption is the
408 absorption coefficient as a function of wavelength. UV-visible spectroscopy is a direct
409 method used to determine this property.[164] Based on the Beer-Lambert law, the light
410 intensity $I(x)$ as a function of the point x from the surface to the bulk, which has a
411 dimensionality of power (or photon numbers) per area (e.g., W m^{-2} or photons m^{-2}), is
412 defined as

$$413 \quad I(x) = I_0 \exp(-\alpha x) \quad (15)$$

414 where α is the absorption coefficient, which has a dimensionality of inverse length (e.g.,
415 cm^{-1}). This exponential decay of light intensity is no longer true if non-linear phenomena
416 happen (multi-photon absorption). At the typical light intensities used to perform the
417 measurement, however, these non-linear phenomena are extremely uncommon and can be
418 ignored in the analysis. Because of this proportionality coefficient, it is convenient to describe
419 the absorption measurement with dimensionless values, such as absorptance, a , and
420 transmittance, T , which are the relative amount of the light being absorbed by, and passing
421 through the sample, respectively, with a thickness, l . In the ideal case where the incident light
422 contributes solely to absorption with the material, the absorptance can be described as;

$$423 \quad a = \frac{I_{in} - I_{out}}{I_{in}} = 1 - T = 1 - e^{-\alpha l} \quad (16)$$

424 The reciprocal of absorption coefficient gives absorption depth (i.e., the thickness of the
425 semiconductor requiring sufficient number of photons at a given wavelength). In reality,
426 however, the incident photons might be lost by additional processes, such as specularly
427 reflected (R_s), forward-scattered (S), and back-scattered (R_d), [164] and thus;

$$428 \quad a + T + R_s + S + R_d = 1 \quad (17)$$

429 The frequently used dimensionless parameter, the absorbance, A , should not be confused with
430 these values, which is defined as:

$$431 \quad \alpha = 1 - 10^{-A} \quad (18)$$

432 For a given semiconductor, it is useful to obtain the absorption coefficient as a function of
433 incident wavelength. A thin-film configuration of the bulk semiconductor that minimizes the
434 contribution of scattering is The measurement becomes more accurate if a thin film with
435 absolute thickness is defined. Swanepoel proposed a useful method to determine film
436 thickness using interference fringes of the transmittance spectrum[165]. In a transmittance
437 mode,[166] the complete light absorption should be avoided to extract the information of α . It
438 is, therefore, necessary to fabricate reliable and sufficiently-thin films that reflect the
439 characteristics of the solid (i.e., the same displacement of atoms as the bulk solid). In practice,
440 it is conducted to measure the absorption coefficient focusing on two measured parameters,
441 which are transmittance, T , and reflectance, R , [167] by minimizing other contributions such
442 as scattering. When the reflectance is small, the absorption coefficient is reported using the
443 following relationship[168].

$$444 \quad \alpha = -\frac{1}{d} \ln \frac{T}{(1-R)^2} \quad (19)$$

445 It is important to give extra attention to the type of substrates used in the absorption
446 measurement because it is known to drastically affect the obtained properties.[169]

447 The common approach to measure absorption characteristics of powder semiconductor
448 materials is diffuse reflectance measurement. Use of an integrating sphere to collect all the
449 scattered light is effective at improving the accuracy of the measurement. The Kubelka-Munk
450 model is based on the measurement assuming scattering and absorption, the relationship of
451 which is given by[170,171];

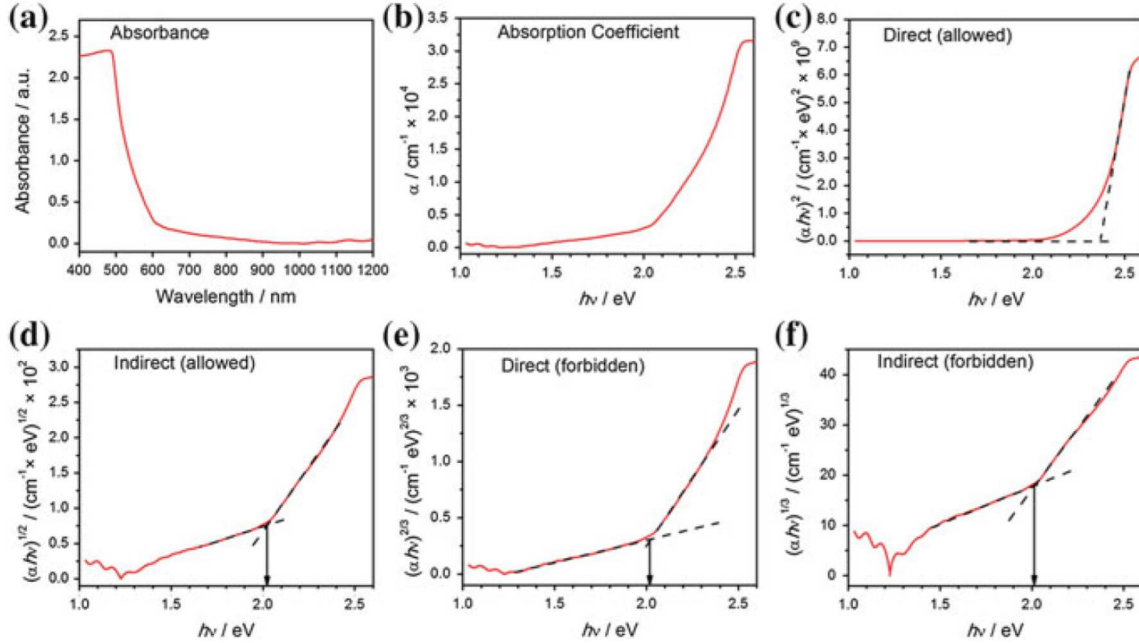
$$452 \quad f(R) = \frac{(1-R)^2}{2R} = \frac{\alpha}{s} \quad (20)$$

453 The Kubelka-Munk function is theoretically proportional to the absorption coefficient, as can
454 be seen in Equation (20). The bandgap is thus obtained using this relationship, even if the
455 scattering coefficient s is unknown. However, Murphy discussed uncertainty to determine
456 bandgap using the Kubelka-Munk function, especially for doped semiconductors[172]. The
457 weak part of the absorption spectrum is frequently overestimated. According to Murphy, the
458 absorption coefficient due to doped electronic state is so weak that the contribution to
459 photoelectrocatalysis using this transition is expected to be minimal[172]. Also, it is important
460 to analyze the data with zero absorption background beyond the bandgaps as this would
461 provide important information about the dopants and defects [173].

462 Using the obtained absorption coefficient, the bandgap is commonly determined using
463 the Tauc plots. The Tauc relationship[174], which is supported by Davis and Mott[175],
464 provides the following relationship when the reasonable absorption is achieved, typically $\alpha >$
465 10^4 cm^{-1} ;

$$466 \quad \alpha h\nu \propto (h\nu - E_g)^{\frac{1}{n}} \quad (21)$$

467 where n can take values of 3, 2, 3/2, or 1/2, corresponding to indirect (forbidden), indirect
468 (allowed), direct (forbidden), and direct (allowed) transitions, respectively[164,176,177] The
469 nature of the bandgap (direct, indirect...) is generally obtained from DFT calculations of band
470 structures. Tauc plots, i.e., $(\alpha h\nu)^n$ as a function of $h\nu$ (n is the same as above) give E_g from the
471 intersection of a line tangent to the slope in the linear region of the absorption onset with the
472 baseline (Figure 10). [164,176,177] Bandgaps of many semiconductors are compiled in
473 ref.[64]



474

475 **Figure 10.** Absorption spectra of Cu₂O (a) along with the related absorption coefficient (b) and several ways to determine the
 476 bandgap from the Tauc plot, assuming direct-indirect/allowed-forbidden transitions (c)-(f). Figure reprinted with permission
 477 from [Z. Chen et al. Photoelectrochemical Water Splitting, 2013, Springer-Verlag New-York]. Copyright (2018) Springer-
 478 Verlag New-York.

479

480 Photoluminescence spectroscopy is another experimental method to the determine
 481 bandgap[178]. In theory, the onset of the luminescence signal should correspond to the
 482 bandgap described previously. The intrinsic band structures are reflected by the measurement
 483 at low temperatures, avoiding thermal contribution. The bandgap determination by this
 484 technique, however, cannot be applied to nonradiative transitions and the samples with
 485 indirect bandgap semiconductors. It is also noted that many dopant states appear in the signals
 486 and, thus, often lead to ambiguity to determine bandgaps.

487

488 II. Dielectric constant.

489 When an electric field (\vec{E}) is applied on a dielectric material, an electric displacement field (\vec{D})
 490 appears within it. Both electric fields are linked by the dielectric constant ϵ_r .

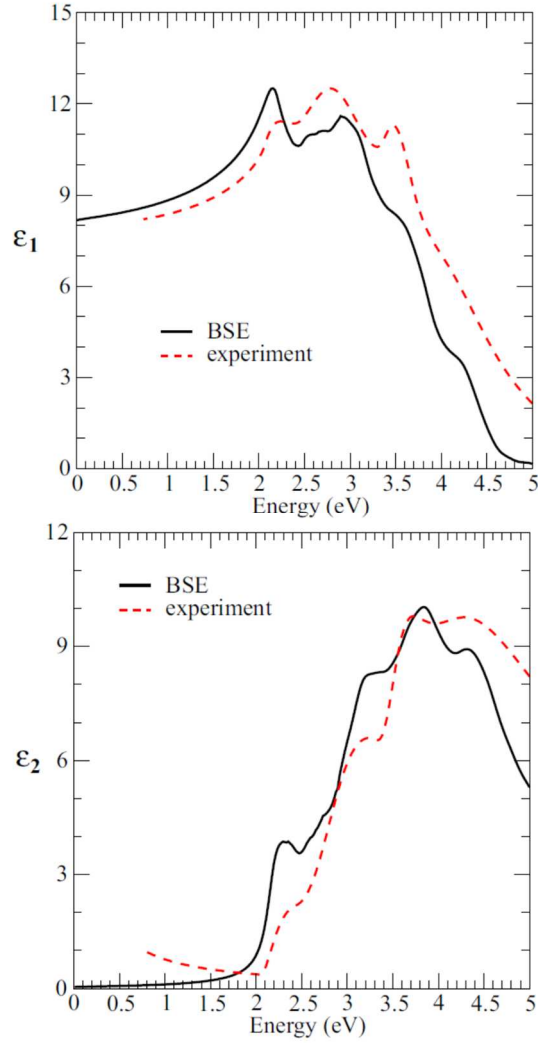
491
$$\vec{D} = \epsilon_0 \epsilon_r \vec{E} \tag{22}$$

492 This dielectric constant represents the ability of dielectric material to screen the external
493 electric field by the apparition of a polarization. This polarization comes from the
494 reorganization of the electron density or the motion of the ions constituting the material. The
495 dielectric constant induced by the electron density is named ϵ_∞ , and the contribution of the
496 dielectric constant involving the ionic motions is noted ϵ_{vib} . Finally, we have:

497
$$\epsilon_r = \epsilon_\infty + \epsilon_{vib} \tag{23}$$

498 A study on dielectric materials itself is an important field. The dielectric constants of
499 various materials are compiled elsewhere.[64,179,180] There are many ways to
500 experimentally measure the dielectric constant of a semiconductor, and one of the common
501 ways is to conduct capacitance measurements with varied frequency after making a disc
502 device with two metal contacts at each side. For example, dielectric properties of TiO₂
503 powder was measured by making pellets of the sample.[181] For the powder semiconductor,
504 the measurement may give overestimation due to extrinsic microstructural features.[182]
505 Another common technique to measure dielectric properties for powder sample is
506 ellipsometry (Figure 11).[64,183]

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Figure 11. Experimental (obtained by ellipsometry) and computed (GW/BSE) frequency dependent dielectric constant (ϵ_1 real part and ϵ_2 imaginary part) of Ta_3N_5 . Figure reprinted with permission from [J. Morbec *et al. Phys. Rev. B* 2014, 90, 1] Copyright (2018) The American Physical Society.

Computationally, the electronic contribution to the static dielectric tensor can be evaluated through a coupled-perturbed Hartree-Fock/Kohn-Sham (CPHF) scheme adapted to periodic systems[124,162,184–186] or by applying an electric field on the system during the SCF procedure[187]. While more time consuming, determining the total dielectric constant by performing SCF calculations with an electric field considers local field effects because of the self-consistent nature of the calculation. Nevertheless, CPHF and electric field approaches usually lead to similar results, but more sensitive on the choice of the functional (for DFT

520 calculation) than the way to compute the electronic contribution to the dielectric constant. The
 521 reliability of DFT to compute the electronic contribution to the dielectric constant has been
 522 assessed in several publications.[63,161,188–190] Results are typically close to experimental
 523 data, and the exchange-correlation functional typically has a weaker effect on the dielectric
 524 constant than the for the bandgap. In fact, the standard deviation of the DFT for a series of the
 525 semiconductor is given in Figure 5. The standard deviation is below 20% for all functionals. It
 526 is important to note that the ordering of functionals for the bandgap simulation is the same for
 527 ϵ_∞ . Consequently, range-separated functionals are the best for simulating ϵ_∞ . However, as
 528 mentioned above, the choice of the function has, in general, not a large impact on the final
 529 dielectric constant. Thus, global hybrid or even GGA can reasonably be used to compute that
 530 property.

531 The vibrational contribution is computed from the phonon spectrum, following
 532 Formula (24). ν_p is the phonon frequency of mode p, V is the unit cell volume, and Z_p is the
 533 mass-weighted mode effective Born vector. The intensity I_p of IR absorbance for a given
 534 mode p is proportional to $|Z_p|^2$. [191] From this formula, it appears that the softer the
 535 vibrational modes, the more they contribute to the dielectric constant.

$$536 \quad \epsilon_r = \epsilon_\infty + \epsilon_{vib} = \epsilon_\infty + \frac{4\pi}{V} \sum_p \frac{Z_p^2}{\nu_p^2} \quad (24)$$

537 The agreement between theory and experiment for the vibrational dielectric constant is also
 538 very good, whatever the functional chosen (Figure 5). But this conclusion is no longer
 539 available for very large dielectric constants (>100). In these cases, the very soft vibrational
 540 modes leading to the large dielectric constant are non-harmonic, thus badly reproduced by
 541 DFT in the harmonic approximation. For these difficult systems, DFT results are qualitative
 542 informing only on the presence of these soft modes.

543

544 **III. Charge transport properties**

545 The electron and hole transport is an important phenomenon, not only in photoelectrocatalysis
546 but also for several other applications, including but not limited to photovoltaic and
547 thermoelectric. In some aspect of semiconductor physics, the charge carrier drift due to an
548 electric field of a space charge zone plays a fundamental role (such in a p-n junction), but as
549 pointed out by Grätzel et al. in nanoparticulate materials with a high density of impurities, the
550 space charge zone plays only a marginal role and charge carrier transport are mainly governed
551 by thermal diffusion.[192–195] To quantify the transport at a first guess, the measurement of
552 the conductivity is considered. This property depends on the charge carrier density n
553 (generally in cm^{-3}), the charge of the charge carrier density q (in C) and the mobility of the
554 charge carrier density μ (in $\text{cm}^2 \text{V}^{-1} \text{s}^{-1}$) as presented in equation (25). In intrinsic (i.e. without
555 any doping) semiconductors in the dark, the conductivity increases with increasing the
556 temperature because of conduction band population with thermal energy (increase of n in
557 equation (25)). But under doping or light exposure, the charge carrier densities (electrons in
558 the conduction band and holes in the valence band) increase from another reason than
559 temperature. This can lead to a different behavior of the conductivity has a function of the
560 temperature. The value of the conductivity is dependent on temperature and purity and
561 synthesis conditions. For that reason, the mobility μ is considered to be a better intrinsic
562 property of the material to quantify the transport of charge carriers.

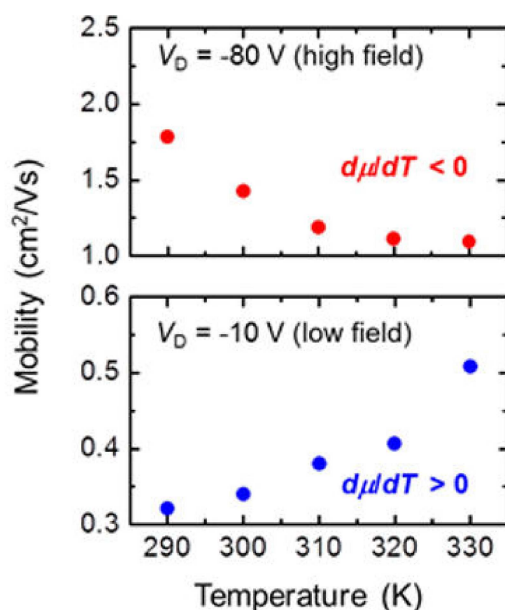
$$563 \quad \sigma = nq\mu \quad (25)$$

564 Furthermore, the conductivity and diffusion coefficient are directly related (see Equation (4)).
565 Two main theories are used to interpret the transport properties in optoelectronic materials.
566 The first theory is called the band-like mechanism and is related to the curvature of the band-
567 structure leading to the quantity called effective mass. This theory works well for delocalized
568 charge carriers. Thus, this theory is adapted for highly covalent d^0 or d^{10} semiconductors. The

569 band-like model is sometimes called the rigid band-model. This means that, by applying this
570 model, we assume that the bands or, more generally, the electronic structure is almost
571 unaffected by the electron and hole generation. This is a good approximation if the charge
572 carriers are delocalized on several unit cells, thus having a diluted influence on the ions. For
573 systems having the more localized character of their orbitals, the charge carriers can be
574 centered only on few ions, leading to a large perturbation around these atoms. The main
575 consequence is generally a geometrical relaxation around the atoms, stabilizing the system
576 and increasing the localization of the electron and the hole. The term self-trapping is generally
577 used to name this phenomenon. The particle made of the charge carrier and the geometrical
578 relaxation is called a small polaron.[196] The polaronic conductivity is based on a hopping
579 mechanism, well described by the Marcus theory.[197–199] In this theory, the polaron jumps
580 from one site to another, leading to mobility given by Equation (26).[200]

$$581 \quad \mu = \frac{eR^2 n}{k_B T} v e^{-\frac{Ea}{k_B T}} \quad (26)$$

582 where R is the distance between the two hopping sites and n is density of hopping sites. This
583 mobility is thermally activated, which increases with increasing the temperature, following an
584 Arrhenius behavior, in contrast to the mobility governed by a band-like mechanism, which
585 decreases with the temperature.[201,202] To determine if the transport mechanism is a band-
586 like mechanism or a polaronic mechanism, the measurement of the mobility as a function of
587 the temperature is generally performed. An increase of mobility as a function of the
588 temperature indicates a thermally activated mechanism, and thus a hopping mechanism for
589 the polaron. A decrease of the mobility with the temperature is more in favor of a band-like
590 mechanism of charge transport, affected by phonons generated by increasing the temperature.
591 This is illustrated in the work by Lee *et al.* on a donor-acceptor type thiophene-thiazole co-
592 polymer thin film, where the nature of the transport mechanism can change from band-like to
593 polaronic depending on the drain field applied on the film (Figure 12). [63]



594

595 **Figure 12.** Temperature-dependent mobility as a function of the drain field applied on polymer based on the thiophene-
 596 thiazole groups. Adapted with permission from “Lee, J. et al. *J. Am. Chem. Soc.* 2015, 137, 7990”. Copyright (2018)

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American Chemical Society.[63]

598 **Band-like transport.** In the band-like transport theory, the charge carrier mobility is given by

599 the formula (4), including the collision time τ and the effective masses m^* . The concept of

600 effective masses comes from solid-state physics and is related to the curvature of the top of

601 the valence band (for holes) and bottom of the conduction band (for electrons) in the

602 reciprocal space along one direction of the band structure.[39,203–205] The collision time, τ ,

603 is extremely experimental dependent and involves all the scattering events (electron-electron,

604 phonon-electron, and electron-impurities) and cannot be easily theoretically evaluated. The

605 effective mass can be obtained by fitting these band extrema by the formula:

$$606 \quad E(k) = E(k_0) \pm \frac{\hbar^2}{m_{\square}^*} (k_0 - k_{\square})^2 \pm \frac{\hbar^2}{m_{\perp}^*} (k_0 - k_{\perp})^2 \quad (27)$$

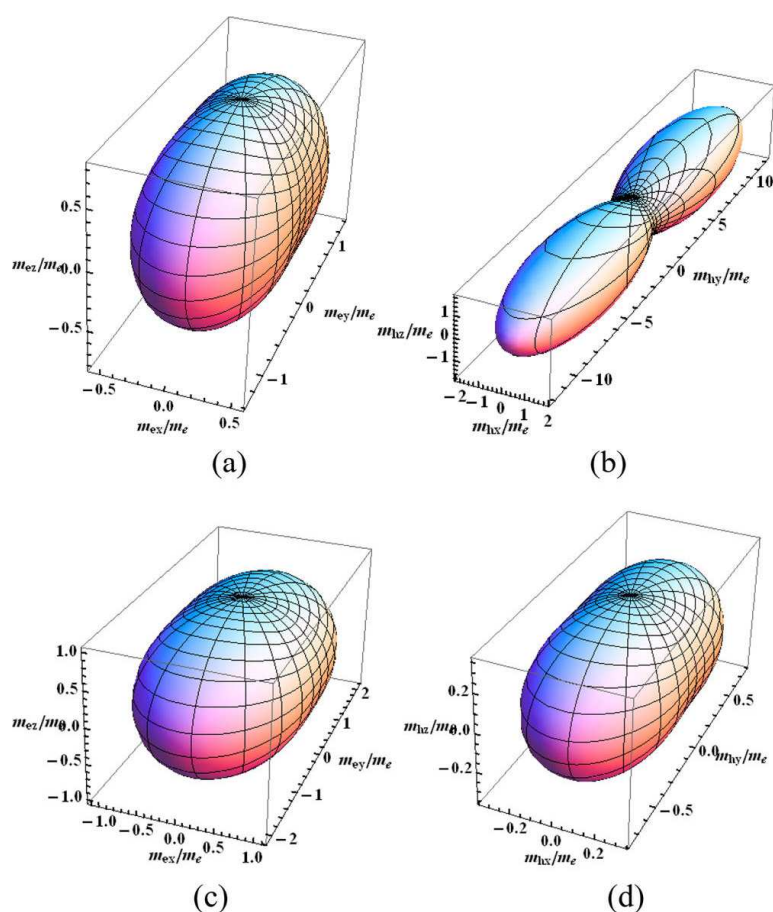
607 The \pm is + for the conduction band and – for the valence band. k_0 is the vector of the

608 reciprocal space where the band is at its extremum. The symbols \square and \perp refer to the

609 longitudinal and perpendicular axes that depend on the structure of the crystal. The effective

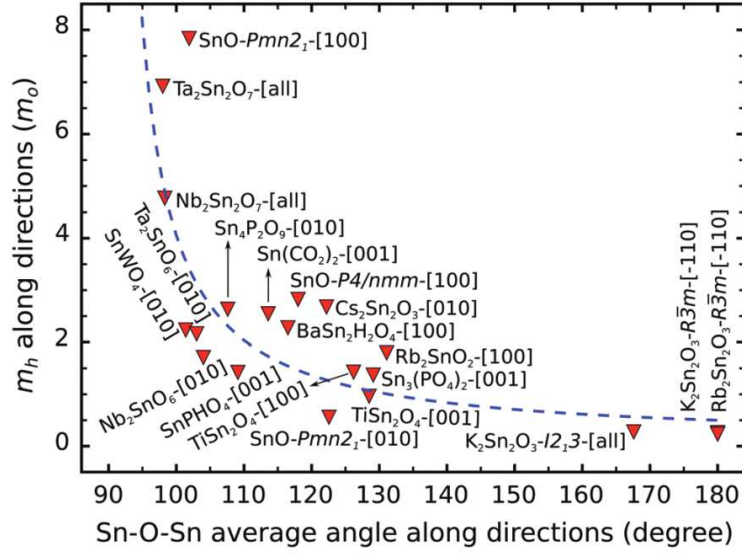
610 masses are obtained by fitting the bottom of the conduction band (for the electron effective

611 mass) and the top of the valence band (for the hole effective mass) with a parabolic function.
 612 To calculate the effective mass in that way, the band structure must be computed in several
 613 directions. For highly symmetrical crystals, one generally chooses the most symmetric
 614 directions. For low symmetry systems, the choice of the crystallographic directions is more
 615 difficult and generally arbitrary. Ideally, the effective masses should be computed in a large
 616 number of directions to obtain a contour plot allowing to attribute the parallel and
 617 perpendicular directions of equation (26), as illustrated in Figure 13 from the work of Feng et
 618 al.[206] But, in general, researchers have focused on the simplest directions.



619
 620 **Figure 13.** The contour plots of the effective masses of holes and electrons close to the Γ point for $\text{CH}_3\text{NH}_3\text{PbX}_3$ ($X = \text{I}$ and
 621 Br). (a) m_e^* of $\text{CH}_3\text{NH}_3\text{PbI}_3$; (b) m_h^* of $\text{CH}_3\text{NH}_3\text{PbI}_3$; (c) m_e^* of $\text{CH}_3\text{NH}_3\text{PbBr}_3$; (d) m_h^* of $\text{CH}_3\text{NH}_3\text{PbBr}_3$. Figure reprinted
 622 with permission from [J. Feng and B. Xiao, J. Phys. Chem. Lett. 2014, 5, 1278-1282]. Copyright (2018) The American
 623 Chemical Society.
 624

625 The effective mass calculation from the band-structure is the most frequent approach used by
626 the quantum chemists to characterize the charge carrier
627 mobilities.[63,78,80,154,158,160,207–211] This property can also be used to analyze the
628 excited state entropy of the semiconductor, considered as a source of efficiency decrease, as
629 presented by Osterloh.[53] Assessing the reliability of DFT for that specific property is
630 difficult since we lack experimental data to compare the results. Nevertheless, some classes of
631 semiconductors were deeply characterized leading to the effective mass dataset. Kim *et al.*
632 compared the PBE (GGA), mBJ (meta-GGA), and HSE06 (range-separated hybrid)
633 functionals and found that the non-local nature of the exchange part of HSE06 was necessary
634 to accurately reproduce the effective masses.[212] GW band structures can also be used to
635 evaluate effective masses, typically those close to the masses obtained with hybrid
636 functionals.[150,151,213,214] Beyond the quantitative evaluation of the effective mass, it is
637 important to recall that this property is deeply related to the covalency of the chemical
638 bonds.[204,215,216] Favoring the covalency of the chemical bounds reduces the effective
639 mass and consequently increases the charge carrier mobilities. The covalency can be tuned by
640 changing the chemical nature of the elements or by changing the local geometries, as
641 illustrated by Ha *et al.* for the hole effective mass dominated by the Sn-O interaction in tin
642 oxides (Figure 14).



643

644

Figure 14. Hole effective mass as a function of the Sn-O-Sn bond in several tin oxides. Figure reprinted with permission from [V.-A. Ha *et al.*, J. Mater. Chem. C. 2017, 5, 5772-5779]. Copyright (2018) The Royal Society of Chemistry.

645

646

647

It is sometimes difficult to find the “good” crystallographic direction for the effective mass

648

calculation, or sometimes, there are several bands extrema close in energy. In these specific

649

cases, the effective masses can be computed using Boltzmann transport theory[217] with the

650

equations (28)-(30), where σ is the conductivity of the material and τ is the collision time.

651

This corresponds to an effective mass averaged on the density of state of the conduction band

652

and the valence band parameterized by the scattering time τ . Using that approach, the

653

calculation of the effective mass is a post-treatment of a full band structure. Several codes

654

now offer the possibility to perform such analysis.[116,217–219]

655

$$\sigma_{\alpha\beta} = -e^2\tau \sum_i \int v_\alpha(i, k) v_\beta(i, k) \frac{\partial}{\partial E} f(E(i, k), \mu, T) \frac{dk^3}{4\pi^3} \quad (28)$$

656

$$v_\alpha(i, k) = \frac{1}{\hbar} \frac{\partial E(i, k)}{\partial k_\alpha} \quad (29)$$

657

$$m^* = \frac{\sigma}{e^2\tau} \quad (30)$$

658

Experimentally, the determination of effective mass is not an easy task. This is mainly based

659

on the measurement of the cyclotron frequency (Equation 31). The sample is placed in a static

660 magnetic field, B . From a classical point of view, free charge carriers start to have a helicoidal
 661 motion with an angular frequency equal to the cyclotron frequency noted ω_c . From a quantum
 662 point of view, their energy levels are quantified and separated by a constant energy $\hbar\omega_c$. [220]
 663 Transitions between these states are possible under radio-frequency radiations, leading to the
 664 measurement of the cyclotron frequency and the determination of the effective mass. [220–
 665 225]

$$666 \quad \omega_c = \frac{eB}{m^*} \quad (31)$$

667 To have a measurable cyclotron resonance, the mean free path of charge carriers must be
 668 large. Considering a charge carrier scattering time τ , it is assumed that the product $\omega_c\tau$ must
 669 be larger than 1 to lead to well-defined cyclotron resonance. In other words, the crystal must
 670 be as pure as possible and cool down below 100 K. Thus, this type of experiment is rather
 671 difficult for semiconductors synthesized as a powder with a large number of impurities;
 672 making the experimental determination of effective mass difficult to find for weakly
 673 investigated semiconductors.

674 Another approach has been proposed in 1966 by Zhitinskaya et al. to determine the effective
 675 mass of the charge carriers at the Fermi level from the experimental measurement of the Hall
 676 (R_H), Seebeck (α), conductivity (σ) and Nernst (Q) coefficients using the following formula
 677 (where q , \hbar , k_B and T are the charge of the particle, the reduced Planck constant, the
 678 Boltzmann constant and the temperature respectively): [226,227]

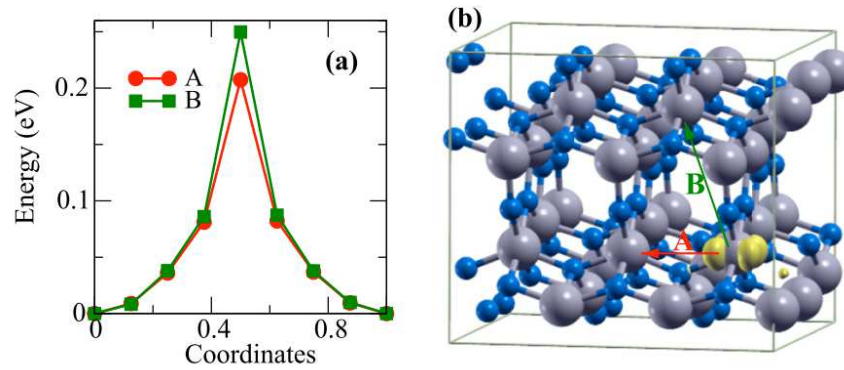
$$679 \quad m^* = \left(\frac{3}{|R_H|q\pi} \right)^{\frac{2}{3}} \frac{q\hbar^2}{k_B^2 T} \left(\alpha - \frac{Q}{|R_H|\sigma} \right) \quad (32)$$

680 The demonstration of the equation presented above is based on the Boltzmann transport
 681 theory, thus the effective mass obtained in that way is a density averaged effective mass. This
 682 method to estimate the effective mass is sometimes called “the method of four coefficients”
 683 because it involves the knowledge of the four coefficients presented above. Because the

684 measurement of the Hall, Seebeck and conductivity coefficients is a kind of routine work in
685 the field of thin solid films, the determination of effective mass using the equation (32) has
686 been mainly employed by scientists in that field.[228–230] This experimental way to
687 determine the effective mass can be applied to materials being less pure than the one used by
688 the cyclotron resonance experiment, but the result is an averaged effective mass while the
689 cyclotron resonance gives access to hole and electron effective mass in several
690 crystallographic directions.

691

692 **Polaron.** In terms of computational chemistry, the investigation of polaron
693 conductivity is not easy in periodic systems. A charged system must be created to address the
694 problem of treating such systems in periodic boundary conditions.[231–233] Then the charge
695 must be localized, that is usually done first by distorting the geometry around the central atom
696 and by adding a +U parameter on this atom. Next, the energy of the system is computed along
697 several directions for the charge transfer (i.e., the hopping) to find the highest energy and
698 define the activation energy. Because of all these steps, the simulation of hopping is difficult.
699 Furthermore, this type of simulation is methodology dependent because of the charge
700 compensation, because of the +U parameter and the initial distortion artificially imposed to
701 localize the charge. Nevertheless, some examples are proposed in the literature for
702 Ta₃N₅[200] (Figure 15), TiO₂[234], Fe₂O₃[235] or BiVO₄[236]. The main information
703 extracted from this type of simulation is the influence of the crystallographic direction on the
704 polaron diffusion and the activation energy for the thermal activation of the diffusion
705 (Equation 25).



706

707 **Figure 15.** Simulation of the potential energy surface for the electron polaron hopping in two different directions (green and
 708 red curves) in Ta₃N₅. Figure reprinted with permission from [J. M. Morbec and G. Galli *Phys. Rev. B* 2016, 93, 035201].

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710

711 Some works solve some of the drawbacks of using periodic boundary conditions by
 712 extracting a cluster from the crystal structure and performing post-Hartree-Fock calculations
 713 (such as CASSCF).[237] The advantages of this approach are to avoid the problem of the
 714 electric charge in periodic boundary conditions and to use a more accurate method than DFT
 715 to investigate correlated materials. The drawback of the cluster approach is the removal of the
 716 Madelung potential of the infinite crystal that is known to have an important effect on charge-
 717 transfer states.

718 The activation energy of polaron hopping can be obtained experimentally by
 719 performing an Arrhenius analysis of charge carrier mobilities or conductivity.[238–241] The
 720 main difficulty is to attribute the activation energy to a specific mechanism since several
 721 mechanisms can be active for the conduction.

722

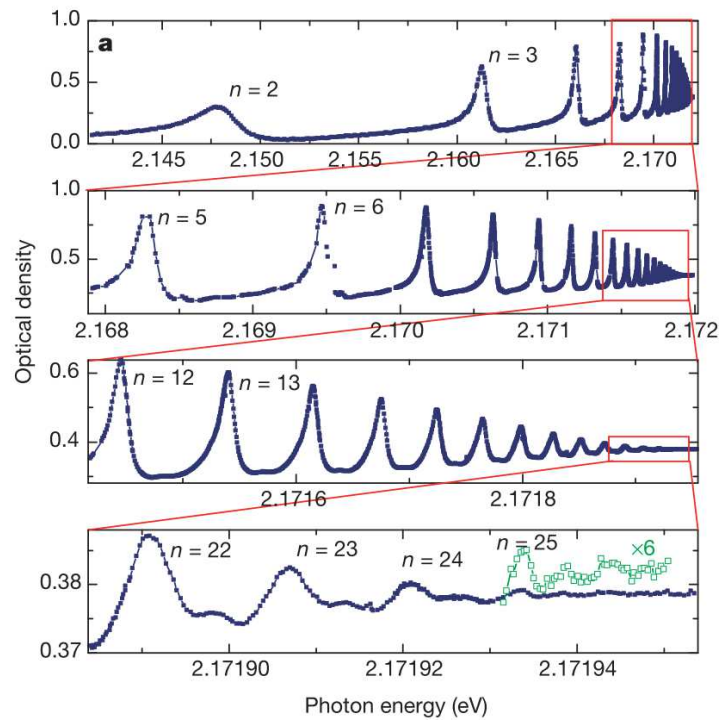
723 **IV. Exciton binding energy.**

724 The exciton is a quasi-particle developed in solid-state physics to describe the bound state
 725 between an electron and a hole. The formation of the exciton upon light absorption leads to a
 726 decrease of the fundamental gap energy, by an amount called exciton binding energy,

727 E_b ,[242] explaining why the fundamental bandgap is larger than the optical one (Figure 4,
728 equation 6). Excitons are generally classified in two categories depending on their
729 delocalization: (i) The Mott-Wannier exciton delocalized on several unit cells and having a
730 radius as high as several hundred of Å and generally having a relative low exciton binding
731 energy (few meV). This is the exciton found in silicon. (ii) The Frenkel exciton, more
732 localized (a radius of few Å) and generally having a large exciton binding energy (up to
733 several eV). Other types of excitons can sometimes be defined in specific materials. The
734 exciton plays an important role in photoelectrocatalysis since it must be dissociated to obtain
735 free charge carriers that will be able to transport toward the surface of the semiconductor. To
736 be dissociated efficiently at room temperature, the exciton must have a binding energy of the
737 order of magnitude of the room thermal energy ($k_B T \sim 25$ meV) or lower. If E_b is notably
738 larger, like in polymer semiconductors, the exciton cannot dissociate in the bulk material and
739 must diffuse toward an interface to dissociate at this interface. This type of architecture is
740 called bulk-heterojunction has been developed by the organic photovoltaic community.[243]

741 The most classical way to determine the exciton binding energy is by absorption or
742 photoluminescence spectroscopy.[244] If the exciton is a Mott-Wannier one (i.e., delocalized
743 on several unit-cells), researchers frequently compare it to a hydrogen atom, namely a
744 positive (the hole) and a negative (the electron) charges interacting through the Coulomb
745 potential, because the Hamiltonian of this exciton is the same as the one of the hydrogen
746 atom. The hydrogen-like exciton has the same wavefunctions and energies as the hydrogen
747 atom, adapted to the dielectric constant of the material and the hole mass (lighter than a
748 proton). Due to the hydrogen-like nature of the exciton, it is sometimes possible to observe, in
749 the absorption spectra of the semiconductor, energetic levels inside the fundamental bandgap
750 associated with the hydrogen-like levels of the exciton. As a matter of illustration, we can

751 show the remarkable exciton spectroscopy measured in the Cu₂O crystal by Kazimierczuk et
752 al. (Figure 16) confirming the hydrogen-like nature of excitons.[245]



753

754 **Figure 16.** The high-resolution absorption spectrum of an exciton in Cu₂O measured at 1.2 K. The peak labeling “n”
755 corresponds to the quantum number of the hydrogen-like levels of the exciton. Figure adapted with permission from
756 [Kazimierczuk et al. *Nature* 2014, 514, 343]. Copyright (2018) Springer.

757

758 Some other less usual approaches can be used to determine exciton binding energies,
759 such as STM spectroscopy[246] or UV-Vis spectroscopy under strong magnetic field (up to
760 65 T)[221,222]. In general, it is rather difficult to experimentally access exciton binding
761 energies because of the good purity of the sample required and the very accurate
762 spectroscopic measurements needed.

763 Due to the excited state nature of excitons, standard DFT, developed for ground state
764 systems, is unable to treat them. Consequently, only theories developed to investigate excited
765 states can perform a reliable analysis of exciton properties. These theories have been briefly
766 presented in the discussion on bandgap simulations and are GW/BSE and TD-DFT methods.
767 The BSE procedure (from Bethe-Salpeter Equations) is a post-treatment of the GW quasi-

768 particle calculation to get access to the exciton binding energy. The computation time of the
769 BSE procedure is similar to the TD-DFT one.[247] The efficiency of TD-DFT and GW/BSE
770 are not frequently compared in solid-state physics since TD-DFT is marginally used in that
771 field. Their comparison is more documented for molecular systems.[247–250] The recent
772 review of Blase *et al.* shows that hybrid functional generally gives optical gaps close to the
773 ones of GW/BSE.[117] In term of computational time, these approaches are now quite
774 similar, and because the large improvement performed in the recent years in the speed of
775 GW/BSE calculations, we can expect that in the near future, such calculations will be
776 performed in a daily manner.

777 If the exciton belongs to the Mott-Wannier category (i.e., delocalized on several unit
778 cells), it can be treated as a hydrogen atom (the hole being the proton) offering an analytical
779 formula for the binding energy.³⁷ In that model, the absolute value of the 1S state energy of
780 the exciton is its binding energy, E_b , and it can be computed with the formula:

$$781 \quad E_b = -E_H \frac{\mu}{\epsilon_r^2} \quad (33)$$

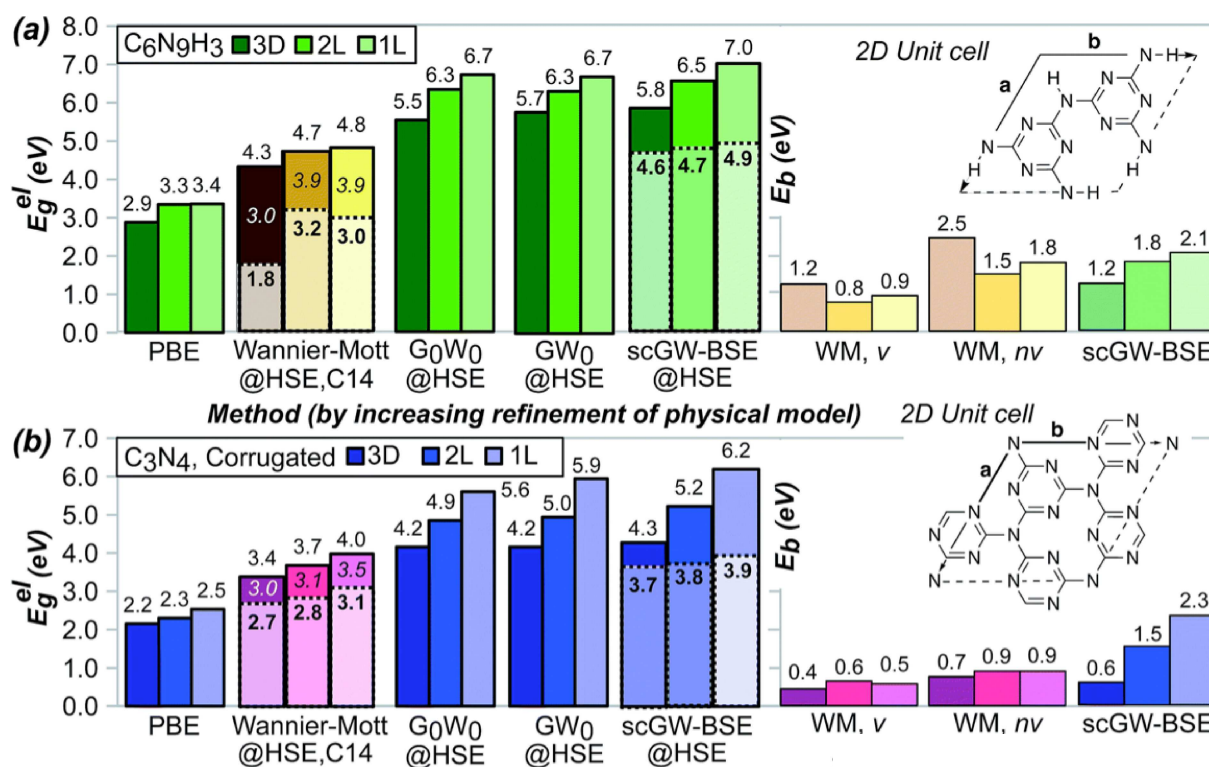
782 E_H is the energy of the 1s orbital of hydrogen (−13.6 eV), and μ is the reduced mass of the
783 exciton.

$$784 \quad \frac{1}{\mu} = \frac{1}{m_e^*} + \frac{1}{m_h^*} \quad (34)$$

785 Consequently, if the dielectric constant and the effective masses of the semiconductor were
786 already computed, the exciton binding energy can be easily estimated through Formula 33.
787 The strength of this simple model is to highlight the dominant effect of the dielectric constant,
788 representing the ability of the material to screen charges, confirmed by more sophisticated
789 calculations.[251] The Mott-Wannier model has been used to compute the exciton binding
790 energy used to build Figure 5. As expected, hybrid functionals (global or range-separated)
791 lead the best agreement with the experiment, but with a standard deviation of around 30%.

792 This error is relatively large, but considering the simplicity of Formula (33), it is an excellent
 793 ratio precision/time. Of course, this model fails to predict Frenkel exciton binding energy.
 794 GW/BSE simulation of exciton binding energies has been compared to Mott-Wannier ones
 795 for C₃N₄ based-semiconductors (Figure 17).[252] The very large exciton binding energies
 796 were in agreement with the known Frenkel exciton character of this semiconductor. The error
 797 between the scGW/BSE exciton binding energy and the Mott-Wannier energy can reach
 798 100%. But interestingly, while quantitatively wrong, the Mott-Wannier model succeed to
 799 predict the very large values of the exciton binding energy of this system, confirming that this
 800 approach could be used at least qualitatively.

801



802

803 **Figure 17.** Electronic band gaps for (a) gt-C₆N₉H₃, (b) corrugated gt-C₃N₄ are reported. The Wannier-Mott analysis using the
 804 CRYSTAL14 code is depicted in an alternative color scheme. The optical band gaps E_{opt,nv} g are depicted semi-transparently.
 805 The E_{vb}-corrected band gaps are provided in italics. The WM and scGW-BSE exciton binding energies E_b are provided to the right
 806 of the bandgaps, with *v* and *nv* denoting vibrationally and not vibrationally corrected, respectively. The 2D unit cells for
 807 the studied structures are given with lattice vectors *a* and *b*. Figure reprinted with permission from [S. T. A. G. Melissen et al.

808

J. Mater. Chem. A 2017, 5, 5115-5122.] and The Royal Society of Chemistry.[95]

809

810 **V. Band positions.**

811 The ability of the semiconductor to perform the two half reactions of water splitting is related
812 to the positions of the quasi-Fermi levels of the holes and electrons ($E_{F,h}$ and $E_{F,e}$ respectively)
813 representing the chemical potentials of these two charge carriers. The quasi-Fermi levels are
814 linked to the maximum of valence band (VBM) energy and minimum of conduction band
815 (CBM) energy through the following equations where k_B is the Boltzmann constant, T the
816 temperature, $N_{\text{eff},c/v}$ the effective density of states of the conduction/valence band and $n_{e/h}$ the
817 electron/hole concentration.

$$818 \quad E_{F,e} = E_C - k_B T \ln \left(\frac{N_{\text{eff},C}}{n_e} \right) \quad (35)$$

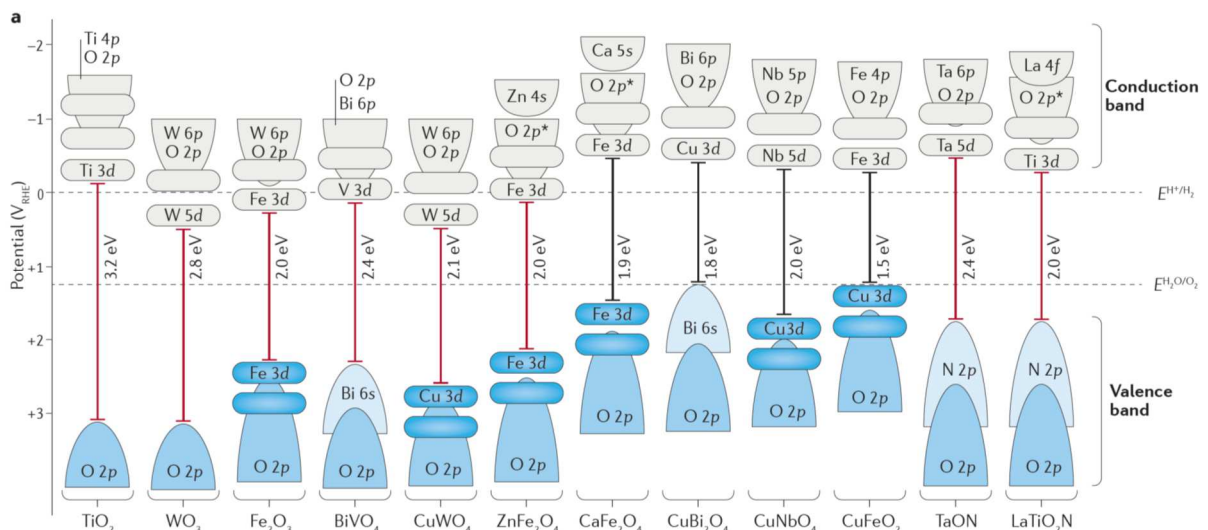
$$819 \quad E_{F,h} = E_V + k_B T \ln \left(\frac{N_{\text{eff},V}}{n_h} \right) \quad (36)$$

820 Osterloh proposes a thermodynamic interpretation of the previous formula where E_C and E_V
821 are an enthalpy contribution to the chemical potentials and the logarithm term represents the
822 entropic contribution.[53] The entropic contribution can be assimilated to the different ways
823 to distribute particles in the effective states of the CBM and VBM. Those who are interested
824 in the relationship between the different quantities (quasi-Fermi energies, chemical potentials,
825 band positions, etc.) and the origin of this entropy contribution are invited to read the very
826 clear publication of F. Osterloh.[53]

827 In general, N_{eff} is in the order of 10^{19} cm^{-3} . [228] The typical charge carrier density ranges
828 from 10^{17} - 10^{20} cm^{-3} . [253] As a consequence, the quasi-Fermi levels are very close to the
829 position of the CBM and VBM and generally researchers in the field of photoelectrocatalysis
830 assimilate the CBM and VBM to the redox potentials of the semiconductor. A better
831 estimation of the redox potential involves the knowledge of N_{eff} and $n_{e/h}$ during the working of

832 the device. This is possible computationally to calculate N_{eff} from the band structure obtained
 833 by DFT [159] and to obtain $n_{e/h}$ by simulating the electron and flux inside the semiconductor
 834 [253] or by using semiconductors semiclassical equations [254]. Experimentally, quasi-Fermi
 835 energies can be obtained by impedance spectroscopy as explained by Bisquert et al.[65]
 836 It is important to mention that quasi-Fermi energies, thus redox potentials, can change from
 837 the bulk to the surface due to the change in charge carrier concentrations because of their
 838 consumption for the HER and OER and because of charge transfer with the electrolyte.[255]
 839 This change is quantifiable only under a good simulation of $n_{e/h}$ or experimentally by an
 840 accurate fitting of the impedance spectra. For water splitting reaction, the potentials must be
 841 adapted to perform the two half-reactions, the HER and OER (equations 1 and 2).[256,257]
 842 As we can see in Figure 18,[55] some semiconductors, like WO_3 , have suitable bandgap (~ 2.8
 843 eV)[258], but their band positions (the conduction band in the case of WO_3) are not adapted
 844 to water splitting; this is why these properties are necessary to fully characterize a
 845 semiconductor.

846



847
848

Figure 18. Band positions with respect to SHE reference of several semiconductors used for photoelectrocatalysis. Figure

849

adapted with permission from [K. Sivula and R. van de Krol, *Nat. Rev.* 2016, 1, 15010]. Copyright (2018) Springer.

850

851 The measurement of binding energies of occupied valence electrons is possible by
 852 conducting photoemission spectroscopies. This can then be translated to estimate the valence
 853 band maxima. One of the useful techniques is the photoelectron spectroscopy in the air
 854 (PESA)[259]; the measurement is easily conducted in the open air with relatively simple
 855 sample preparation. Accordingly, extra attention is necessary to check whether the surface is
 856 at an oxidized state, which might change the observed Fermi level. A similar method that
 857 requires ultrahigh vacuum (UHV) is ultraviolet photoelectron spectroscopy (UPS)[259,260].
 858 The reference point can be the vacuum level, which is rationalized to obtain absolute
 859 potential, e.g., standard hydrogen electrode (SHE) potential is at -4.44 eV.[261]

860 In the form of photoelectrode, the flatband potential can be estimated from impedance
 861 spectroscopy using Mott-Schottky analysis.[262–266] The practical methodology can be
 862 found in the references.[164,267–269] In short, the space-charge capacity of the
 863 semiconductor, C , is given by the following equation;

$$864 \quad \frac{1}{C^2} = \frac{1}{e\epsilon_0\epsilon_r A^2 N_D} \left(E_{\text{app}} - E_{\text{FB}} - \frac{kT}{e} \right) \quad (37)$$

865 where A is the surface area of the electrode, and E_{app} is the applied potential. By varying the
 866 applied potential, the Mott-Schottky plot, $1/C^2$ vs. the applied potential, is obtained and then
 867 the line is extrapolated when $1/C^2$ becomes zero to derive the flatband potential. The
 868 important aspect of the Mott-Schottky analysis is the fact that the measurement can be
 869 conducted with the sample immersed in liquid, and thus the conditions should reflect the
 870 actual situation of the relevant photoelectrocatalysis. The importance of the surface state,
 871 potentially determining ions and pH, was emphasized to significantly contribute to the
 872 determination of flatband potential.[270–274] Therefore, it is challenging to accurately
 873 interpret the Mott-Schottky analysis of the high surface area electrodes, typical for powder-
 874 semiconductor based electrodes. Similarly, there are some interesting discussions about the
 875 correlation of flatband potential with atomic electronegativities of oxide.[274]

876 In computational chemistry, one difficulty for defining the energy levels of
877 semiconductors is to obtain the ionization potential and electron affinity with respect to a
878 reference electrode. A first assumption frequently made is the Koopman's theorem assuming
879 that the crystalline orbitals energy can be considered as the ionization potential and the
880 electron affinity, as we have discussed in the bandgap section. The natural reference system
881 used in quantum chemistry is the vacuum level, being at +4.44 V vs. SHE.[95,275,276] In a
882 quantum chemical calculation, a part of the system must be a vacuum to have orbital energies
883 obtained with respect to this reference. In other words, the band positions are not obtained for
884 a bulk material but for a surface. Each computed band position depends on the surface chosen
885 to be exposed to the vacuum, and the results are surface dependent, as illustrated by the work
886 of Stevanovic et al.[277] (Figure 19). In general, quantum chemists choose non-polar surfaces
887 because polar surfaces are prone to reconstruction and defects, and from a technical point of
888 view, this leads to a non-stoichiometry or strong dipole moment, ultimately affecting the
889 electronic structure, as can be seen in the case of SrTiO₃ in Figure 19.[277–285] As for the
890 bandgap calculation, the only very accurate computational protocol can lead to reliable band
891 positions, such as range-separated hybrid calculation or GW
892 calculations.[148,159,277,278,286,287]

893 Even with the most accurate computational chemistry approach, to obtain a band
894 position close to the experiment is not guaranteed. Indeed, the slab directly cut in the bulk
895 material is frequently far to be a good model of the real surface. Surfaces can experience
896 important reconstruction, especially for the polar ones, such as in the case of SrTiO₃, or
897 change of composition compared to the bulk like for Ta₃N₅. [281,282,288] Furthermore, put
898 into the electrolyte of water splitting device, the nature of the surface can change. Thus,
899 determining the band edge positions can be a difficult task.

900

901 **Figure 19.** Calculated band edge energies (vs. vacuum) from GW single point calculations on top of PBE optimized surfaces.
902 Experimental energies (obtained by photoemission) are given as bold lines. Figure reprinted with permission from [V.
903 Stevanović et al. *Phys. Chem. Chem. Phys.* 2014, 16, 3706–3714]. Copyright (2018) The Royal Society of Chemistry.

904
905 The description of a realistic interface by computational chemistry has been the
906 subject of several developments, summarized by the review of Phan *et al.*[91] Modeling
907 highlighted the influence of water adsorbed on the semiconductor surface on the electronic
908 properties of the surface, including band positions.[289] The most important achievements in
909 that field are clearly the description of the semiconductor/water interface by quantum
910 chemical molecular dynamics.[290] This type of calculation has been applied to several types
911 of semiconductors/electrolyte interfaces, such as the TiO₂/water interface simulation[291–
912 293], Fe₂O₃/water interface simulation[294], ZnO/water interface simulation[295], and
913 Al₂O₃/water interface simulation[296]. While *ab initio* molecular dynamics is probably the
914 best tool to model the surface of the semiconductor placed in water, the very demanding
915 computational resources and time prevent the use of this approach for high-throughput
916 simulation of semiconductors. Another difficulty to manage during the simulation of the
917 semiconductor/electrolyte interface is the electrolyte composition, frequently containing a
918 large concentration of ions. Several approaches can be used to model such systems, including
919 explicit simulation of the ions[297–299] or implicit simulation generally based on the
920 Poisson-Boltzmann equations[300–304] of the electrolyte. The simulation of band positions
921 will probably gain in reliability in the future due to the large work devoted to the simulation
922 of surface/electrolyte interfaces.[255]

923 The band positions of semiconductors are also affected by the interaction of the
924 surface with the co-catalyst deposited on the surface. This influence can be modeled by
925 directly simulating the interface between the two materials, for example, the WO₃/IrO₂
926 interface by Ping et al.[305] and TiO₂/IrO₂ interface by Pastore et al.[306] In photocatalytic

927 water splitting, the decoration with active electrocatalysts is essential to achieve high
928 efficiency, so this catalyst decoration must be taken into consideration. Since this local
929 electronic structure generated at the catalyst-semiconductor interface is effectively utilized to
930 separate charges, this should be a critical investigation for the future direction of the research
931 in photoelectrocatalysis. Also, it is important to determine whether the interface is constructed
932 with inclusion of an electrolyte (semiconductor-electrolyte interface) or effectively isolated
933 with an electrolyte by a catalyst [91,307–309] or protecting layer.[310,311] Concurrent
934 investigations on both experimental measurements and theoretical description of such
935 complicated interface would be suggested to be the key for improved photocatalytic reactions.

936

937 **Conclusions and perspectives.**

938 New semiconductors are now frequently proposed in the literature for photocatalytic
939 applications. A deep characterization of new semiconductors is important to assess their
940 potentialities for the desired application. Unfortunately, these characterizations are sometimes
941 lacking or performed using unreliable techniques. Collective efforts should be dedicated to
942 establishing very reliable approaches to characterize semiconductors, both experimentally and
943 theoretically. For some properties, the quantum chemical approaches have reached accuracy
944 very close to the experiment with very reasonable computational resources. Those
945 calculations should be performed for all newly synthesized semiconductors, such as to obtain
946 a kind of identity card of the new material.

947 Computational chemistry can go beyond the characterization of a single material.
948 Because the tools of quantum chemists have achieved a degree of precision close to the
949 experiment, projects of high throughput prediction of materials properties are appearing.[312–
950 317] The objective is to predict new materials with the desired properties before starting a
951 long and costly experimental synthesis.

952 A complete semiconductor characterization is also necessary for multi-scale
953 simulations. This type of modeling aims at simulating the full process of photoelectrocatalysis
954 from light absorption to chemicals production[57,254,318–320] and involves several fields of
955 physics and chemistry, as well as with several scales in space and time. Among the
956 phenomena simulated by multi-scale modeling, charge carrier generation and transport in the
957 semiconductor, leading to the flux of electrons and holes arriving at the surface of the
958 semiconductor, are governed by semi-classical semiconductor equations involving several
959 properties discussed in the manuscript (dielectric constants and mobilities).[253]

960

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