

Predicting the Probability of Observation of Arbitrary Graphene Oxide Nanoflakes Using Artificial Neural Networks

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Although it has been well established that the stability and properties of graphene oxide nanostructure are strongly influenced by the concentration, type, and distribution of oxygen groups on the surface, there has yet to be a definitive way of predicting the thermochemical stability in advance of detailed and time-consuming experimentation or simulation. In this study, a data set of over 60 000 unique graphene oxide nanoflakes and supervised machine learning methods are used to predict the probability of observation (stability) with perfect accuracy, based on a limited set of structural features that can be controlled in advance. A decision tree is used to show how the features determine the stability, and a neural network provides an equation to predict the thermodynamic stability of virtually any configuration in minutes. This enables researchers to use machine learning as research planning tool or to assist in analyzing results from microanalysis.

environmental applications.^[11] Similarly, GO nanoflakes, finite sized fragments of GO, have also been studied in detail and proposed for a diverse range of applications.^[12–19]

While it has been known for nearly a century that GO is a hydrophilic 2D oxidized form of graphene, with O functional groups decorating (and disrupting) the sp^2 basal plane, the structure of GO is complicated^[20] but fundamentally important. The performance of GO is strongly coupled to degree and type of oxidation, and virtually all physical properties can be tuned by controlling the number and distribution of functional groups on the (upper and lower) surfaces. In addition, the type, concentration and distribution of O-groups, defects in GO, must also be considered, whether they are

constructive or destructive.^[7] Defects include topological features such as edges and corners, and atomistic features such as vacancies, dopants, or reconstructions. For more than 10 years, an enormous amount of scientific attention has been given to how to control the chemical structure of GO during synthesis and processing^[21–26] and create a predictable and stable product based on a predetermined set of experimental conditions. Stability is important in ensuring that GO structures that are successfully produced are persistent and robust against perturbations during storage or application.^[27–35] Ideally, the stability should be predictable, along with the functional properties being engineered.

Predicting the stability of GO in advance of synthesis and characterization has traditionally been the provenance of computational studies,^[36–42] which were successful in comparing and ranking small sets of structures or predicting instability with respect to the environmental conditions. This approach is appropriate when the structures in the set are simple, well defined, or if the set is small. In cases where the number of unique configurations is large, the relative stability (with respect to the number, type, and distribution of O-groups and defects) must be analyzed using machine learning.^[43] To date, machine learning has been used to predict various properties of graphene and GO,^[44–55] but a single predictive model for the widespread prediction of the stability of arbitrary GO nanostructures has yet to be reported.

In this study, we have used interpretable supervised machine learning methods to identify the chemical and topographical features of GO nanoflakes that are most important in determining the relative stability, and report their ranking and relationship using a decision tree. We find that the stability of over 60 000

1. Introduction

To date, an ever-growing body of literature has cataloged virtually all the properties of graphene oxide (GO)^[1–4] for catalysis,^[5] energy,^[6] electrochemical,^[7] sensing,^[8,9] biomedicine,^[10] and

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DOI: 10.1002/adts.202200013

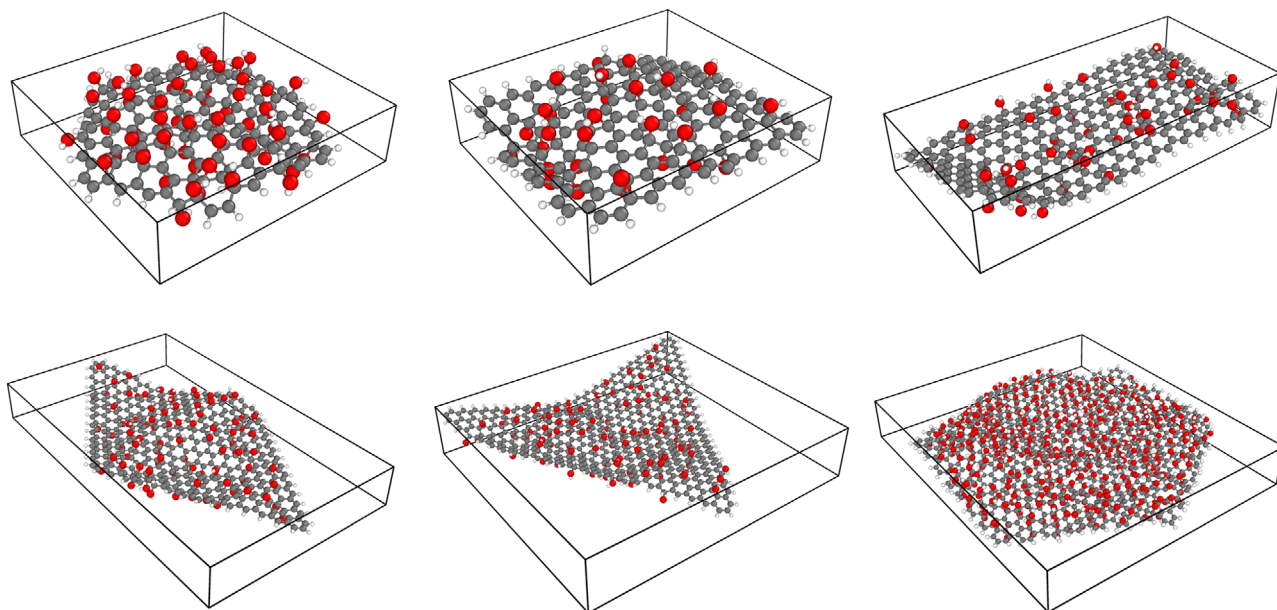


Figure 1. Examples of the graphene oxide nanoflakes contained in the data sets, contrasting different sizes, shapes, and oxygen group concentrations.

nanoflakes can be perfectly predicted by only 15 structure features, all of which are input variables that would be used to inform experiments or the generation of computational data sets. We then train an artificial neural network on these features and obtain an analytical expression capable of predicating the relative stability of GO nanoflakes prior to computationally intensive simulations or from measurements using standard microanalysis instruments.

2. Data Set and Methods

The GO data set used in this study contains 60 944 sample instances, each of which has been optimized using the density functional tight binding (DFTB) method, as described elsewhere^[20,55] and in Supporting Information. This set is a combination of three data sets containing neutral, anionic, and cationic nanoflakes, each of which is available for download.^[56–58] The sizes range from 320 to 2457 Å² with oxygen group coverage (including epoxide and ether or hydroxyl) varying from 0% to ≈52%, and morphologies including hexagonal, triangular, rectangular, and rhombic. All epoxide and ether groups were originally adsorbed as ketones before relaxation, but no ketones remained after relaxation. Variations in edges are also included by combining different ratios of armchair and zigzag edges. The data set was cleaned and outliers with a thermodynamic probability less than 10^{−8} were removed, leaving an ensemble of 60 909 unique nanoflakes. Examples of these nanoflakes are shown in Figure 1.

To describe each sample, 830 structural features (including the charge state) were extracted to encode a wide range of information, based on atomic, morphological, and topological descriptors.^[20] After analyzing the correlation between the features, it was determined that a combination of 203 features can effectively describe the combined neutral, anionic, and cationic set, where the charges were applied adiabatically. These features

are listed in Supporting Information. The target property label is thermodynamic probability of observation (P) calculated using a Boltzmann distribution and the free energy of formation at room temperature and atmospheric pressure with respect to a reservoir of water vapor. The method for calculating the environmentally dependent free energy is provided in ref. [20], beginning with the total electronic energy and using the software QuickThermo.^[59] The distribution of the probability is provided in Supporting Information, showing the test/train split. This distribution is both imbalanced and bimodal (due to a larger number of smaller nanoflakes in the set and a distinct subset of much larger nanoflakes), indicating that standardization and stratification are required, as described in the Results. This is an important step to avoid information leakage, where the range of the testing set impacts the range of the training set. Stratification ensures the distribution is the same at the outset, so it is not necessary to standardize the testing and training sets independently.^[60,61]

Regression is a type of supervised learning where the target labels are also provided with the features. In this study, we have used the non-linear, non-parametric decision tree regressor (DTR) to train model that predicts the relationship between the structural features and the thermodynamic probability of observation based on simple decision rules inferred from the features. Decision trees are trained by recursively splitting the data and are able to handle multi-output problems. They are simple to understand, and an explanation for the condition is easily explained by boolean logic. Advantages of a decision tree regressor is that it requires little data preparation, it can be validated using statistical tests, and it can provide feature importance rankings and can be visualized as a decision tree. The hyper-parameters of the DTR were optimized using a grid search and applied using ten-fold stratified cross-validation and a 20/80 test/train split. Disadvantages include possible instability with respect to small variation in the data, locally optimal decisions at nodes dominating since they are based on heuristic algorithms (given an optimal decision

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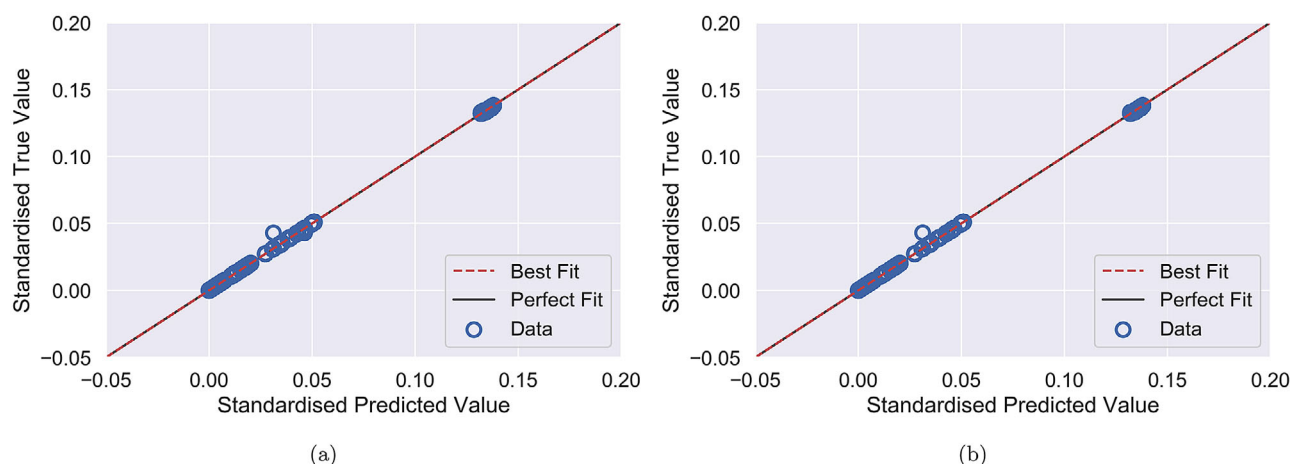


Figure 2. a) The training results for the decision tree regressor trained on 48727 GO nanoflakes using 203 structural features, and b) the testing results (12182 nanoflakes and 203 features).

Table 1. Important features from the optimized decision tree regressor in a 203 dimensional feature space, ranked in order of influence in determining the thermodynamic probability of observation, P . Note that the H-C-coordination and C-H-coordination are not the inverse of the same feature, as H-C-coordination omits H-O bonds and ignores C-O bonds, whereas C-H-coordination omits C-O bonds and ignores H-O bonds. No hydrogen atoms were adsorbed in-plane during data generation, so H-C-coordination omitting H-O bonds can only reside on the edges.

Rank	feature	Interpretation	Symbol
1	all_agent_group_count	The total number of hydroxyls, ethers, and carboxyls over a given area	N_{groups}
2	H-C-coordination	The fraction of H atoms bonded to C atoms, reflecting the degree of edge passivation	HC_{coord}
3	min_diameter	The minimum diameter, which is reflected in the anisotropy	D_{min}
4	area	The total area of the GO nanoflake, reflecting the overall size	A
5	norm_lyy_hydro_area	The moment of inertia of the normalized density distribution of hydroxyl groups around the y-axis normalized by the area, reflecting the distribution of OH	$I_{yy}(OH)$
6	H_concentration	The concentration of H atoms	$c(H)$
7	C-H-coordination	The fraction of C atoms bonded to H atoms, reflecting the degree of edge passivation	CH_{coord}
8	hydroxyl_concentration	The fraction of oxygen groups that are hydroxyl (as opposed to epoxide, ether, or carboxyl)	$c(OH)$
9	ZZ_edge	The fraction of zigzag edges, which reflects the fraction of armchair edges, as they sum to 1	ZZ
10	C_concentration	The concentration of C atoms	$c(C)$
11	norm_lxx_O_area	The moment of inertia of the normalized density distribution of oxygen atoms around x-axis normalized by area, reflecting the distribution of O	$I_{xx}(O)$
12	ring_density_7_reducible_all	Density of reducible (all) 7 membered rings formed when an epoxide breaks a C-C bond to form an ether, reflecting the density of ethers	drr_7
13	density_loc_hydro_mean	The average local density of hydroxyl groups, reflecting the degree of clustering of OH	$\rho(OH)$
14	max_diameter	The maximum diameter, which is reflected in the anisotropy	D_{max}
15	O_concentration	The concentration of O atoms	$c(O)$

un-relaxed nanoflake structures, or based on hypothetical combinations. To confirm that these 15 structural features are sufficient to predict P , we re-optimized and trained a DTR on the entire 60 909 GO set using only these structural features. Once again, the model was optimized using a random grid search, but returned the same set of hyper-parameters. The reduced set gave an $R^2_{train} = R^2_{test} = 1.0$, and cross-validation score 0.999 ± 0.003 . This confirms that this limited set of input design parameters can be used to predict the probability of a given GO nanoflake prior to any simulation. The hyper-parameters for this model, in addition to plots of the results, is contained in Supporting Information.

The actual tree explaining how the model came to these results is provided in Supporting Information (due to the size),

where we can see it has a depth of 16 and initially splits based on the area, and then again on the area and H-concentration, before splitting on the most important feature at a depth of 4. It is not essential that decision trees split in order of feature importance, as is the case here. Readers will also note that there are “outliers” in the DTR prediction, though the disagreement is less than 1%. These instances are hexagonal nanoflakes 4.8 nm in diameter, with armchair edges and 16% oxygen concentration. They have significant out-of-plane distortions, and a higher than normal fraction of “strained” bonds, where angles are distorted (more than 140 degrees).

Decision trees are generally not specific enough to make a specific prediction. To increase the utility of these results, we

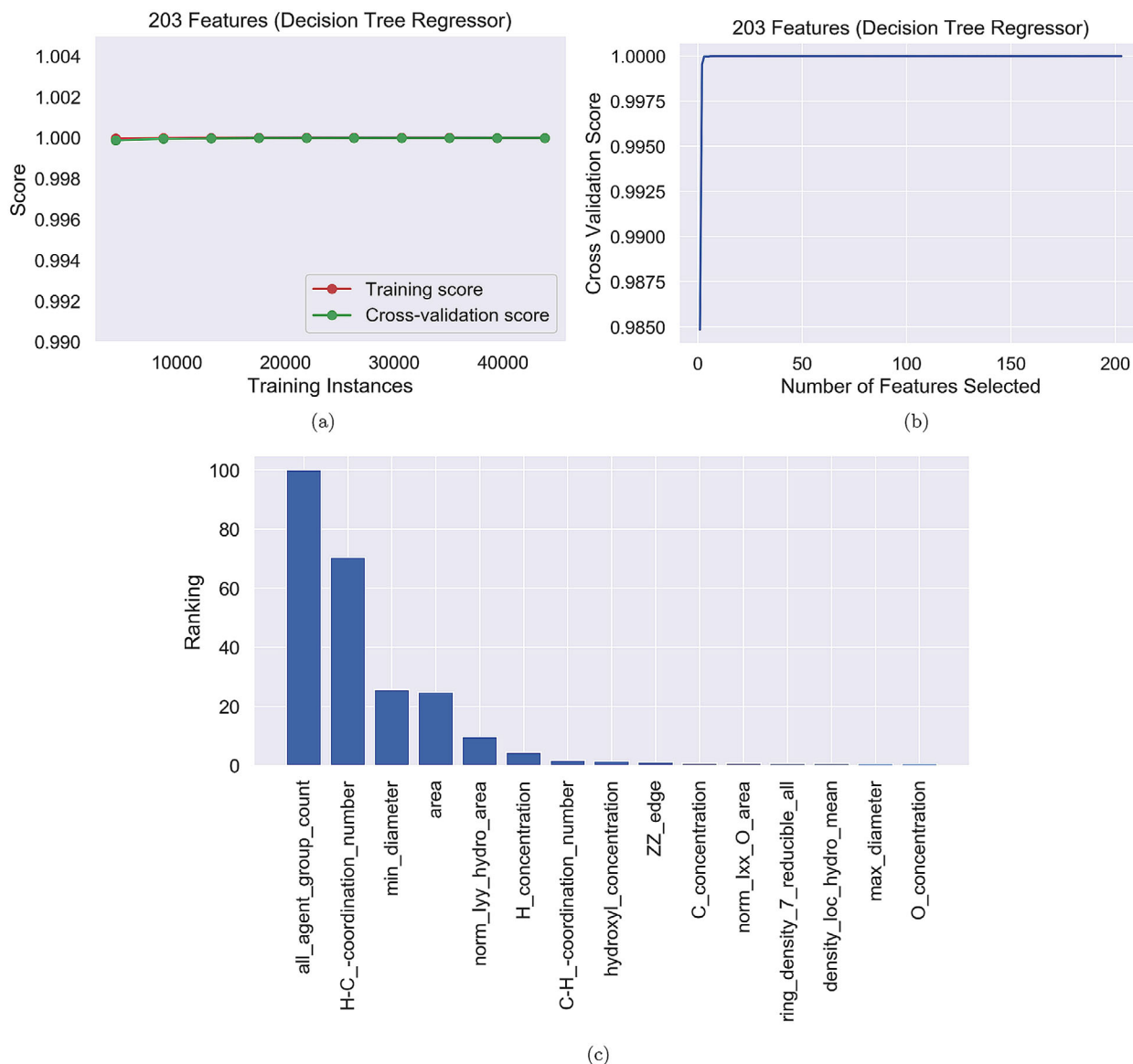


Figure 3. a) The learning curve showing a perfect result with no over-fitting or under-fitting, b) the feature elimination plot showing no change in the cross-validation score beyond an optimal number of features of 15, and c) the feature importance ranking of the top 15 structural features in order of influence.

trained an artificial neural network (ANN) using the reduced feature set to predict P . The ANN was optimized using a random grid search over 1000 hyper-parameter combinations allowing up to three hidden layer and up to 15 neurons per hidden layer, resulting in the hyper-parameters: solver="adam", activation = "tanh", max_iter=257, alpha = 0.008, learning_rate="adaptive", hidden_layer_sizes=(8,), early_stopping=True, with a random state of 42. The tolerance for the optimization was 10^{-4} , the numerical stability was 10^{-8} , and samples were shuffled in each iteration. This means we have one hidden layer with eight neurons. In this case, since we seek an analytical expression that can be used to predict P directly, we have used the un-scaled feature values, and obtained an $R^2_{train} = R^2_{test} = 0.995$, and cross-validation score 0.994 ± 0.005 . The resultant weights and biases give the following expression for predicting the probability of observation of

any small GO nanoflake with a total oxygen concentration under 50%:

$$P = -0.07158h_1 - 0.1319h_2 + 0.0010h_3 - 0.0222h_4 - 0.1053h_5 - 0.0083h_6 + 0.0716h_7 - 0.0807h_8 + 0.1192 \quad (3)$$

with

$$h_1 = f(0.00048N_{groups} + -0.00472HC_{coord} - 0.01325D_{min} - 0.01397A - 0.04451I_{yy}(\text{OH}) - 0.00429c(\text{H}) - 0.02898CH_{coord} - 0.00229c(\text{OH}) + 0.00196ZZ + 0.00163c(\text{C}) + 0.00757I_{xx}(\text{O}) - 0.00353drr_7$$

$$-0.04675\rho(\text{OH}) - 0.02241D_{\max} + 0.00441c(\text{O}) + 0.31229)$$

$$h_2 = f(-0.00930N_{\text{groups}} + 0.01569HC_{\text{coord}} - 0.08178D_{\min} - 0.05628A - 0.12989I_{\gamma\gamma}(\text{OH}) + 0.01784c(\text{H}) - 0.08519CH_{\text{coord}} - 0.02502c(\text{OH}) + 0.03753ZZ + 0.02478c(\text{C}) + 0.01639I_{\text{xx}}(\text{O}) - 0.01584drr_7 + 0.00304\rho(\text{OH}) + 0.00023D_{\max} + 0.00181c(\text{O}) + 0.70646)$$

$$h_3 = f(0.00021N_{\text{groups}} - 0.00007HC_{\text{coord}} + 0.00024D_{\min} + 0.00014A + 0.00003I_{\gamma\gamma}(\text{OH}) - 0.00001c(\text{H}) - 0.00021CH_{\text{coord}} - 0.00012c(\text{OH}) - 0.00009ZZ + 0.00014c(\text{C}) + -0.00008I_{\text{xx}}(\text{O}) - 0.00019drr_7 - 0.00191\rho(\text{OH}) - 0.00100D_{\max} - 0.00022c(\text{O}) + 0.04104)$$

$$h_4 = f(0.00279N_{\text{groups}} - 0.00269HC_{\text{coord}} - 0.00036D_{\min} - 0.00368A - 0.00973I_{\gamma\gamma}(\text{OH}) - 0.00170c(\text{H}) - 0.00838CH_{\text{coord}} - 0.00319c(\text{OH}) + 0.00229ZZ + 0.00331c(\text{C}) + 0.00092I_{\text{xx}}(\text{O}) - 0.00417drr_7 + 0.00597\rho(\text{OH}) + 0.01535D_{\max} - 0.00207c(\text{O}) - 0.29152)$$

$$h_5 = f(0.00326N_{\text{groups}} - 0.00894HC_{\text{coord}} + 0.07964D_{\min} + 0.09312A + 0.08193I_{\gamma\gamma}(\text{OH}) - 0.00487c(\text{H}) + 0.08820CH_{\text{coord}} + 0.03253c(\text{OH}) + -0.02915ZZ - 0.01515c(\text{C}) - 0.02138I_{\text{xx}}(\text{O}) + 0.02707drr_7 + 0.04232\rho(\text{OH}) + 0.05010D_{\max} + 0.00135c(\text{O}) + 0.07012)$$

$$h_6 = f(0.00170N_{\text{groups}} - 0.00149HC_{\text{coord}} + 0.00018D_{\min} - 0.00131A - 0.00452I_{\gamma\gamma}(\text{OH}) - 0.00079c(\text{H}) - 0.00433CH_{\text{coord}} - 0.00165c(\text{OH}) + 0.00090ZZ + 0.00176c(\text{C}) + 0.00026I_{\text{xx}}(\text{O}) - 0.00242drr_7 - 0.00120\rho(\text{OH}) + 0.00122D_{\max} - 0.00132c(\text{O}) - 0.17209)$$

$$(4) \quad h_7 = f(-0.00911N_{\text{groups}} + 0.00746HC_{\text{coord}} - 0.00362D_{\min} + 0.00636A + 0.02479I_{\gamma\gamma}(\text{OH}) + 0.00399c(\text{H}) + 0.01913CH_{\text{coord}} + 0.00438c(\text{OH}) - 0.00184ZZ - 0.00796c(\text{C}) - 0.00179I_{\text{xx}}(\text{O}) + 0.01081drr_7 - 0.02900\rho(\text{OH}) - 0.00796D_{\max} + 0.00556c(\text{O}) + 0.34999)$$

$$(5) \quad h_8 = f(-0.00214N_{\text{groups}} + 0.00154HC_{\text{coord}} - 0.02285D_{\min} - 0.02306A - 0.05680I_{\gamma\gamma}(\text{OH}) + 0.00219c(\text{H}) - 0.03819CH_{\text{coord}} - 0.01243c(\text{OH}) + 0.01419ZZ + 0.01114c(\text{C}) + 0.01245I_{\text{xx}}(\text{O}) - 0.00875drr_7 - 0.04288\rho(\text{OH}) - 0.04409D_{\max} + 0.00197c(\text{O}) + 0.52445)$$

where f is the hyperbolic tangent (tanh) activation function,

$$(6) \quad f(x) = \frac{e^x - e^{-x}}{e^x + e^{-x}}. \quad (12)$$

The model fits and learning curves for the ANN are shown in **Figure 4**, where we can see that the ANN can handle the outliers effectively. Reducing the number of neurons in the hidden layer to seven resulted in a significant reduction in performance, though with $R^2_{\text{train}} = R^2_{\text{test}} = 0.995$, and cross-validation score 0.993 ± 0.003 . While these scores are not significantly different and a reduction of one neuron would simplify the system of equations, a comparison of the predicted value and the ground truth shows it is a fortuitous cancellation of errors and that the residuals have increased significantly (see Supporting Information). A linear regressor using the same 15 important features returned $R^2_{\text{train}} = R^2_{\text{test}} = 0.948$ cross-validation score 0.868 ± 0.482 , introducing only minor under-fitting, but severely undermining the generalizability by introducing significant over-fitting.

Although this is a complicated expression, particularly given that f is the tanh activation function, it is possible to code this into any program language or sophisticated spreadsheet package. With these expressions, it is possible to predict whether a given GO nanoflake structure is likely to have a high or low probability of observation (be stable or unstable), without needing to simulate it or a range of alternatives to compare to. This provides the opportunity for rapid pre-screening of candidates prior to high-throughput computational discovery and design, reducing the risk of identifying high-performing configurations that will be difficult to produce in reality.^[66] It also facilitates more targeted simulation strategies that reduce the number of simulations required to find low-energy configurations that converge rapidly to their ground state, making computational studies less expensive and energy intensive. This is particularly important given recent concerns about the effects of this power consumption on the environment, as high-performance computing platforms typically use as much energy

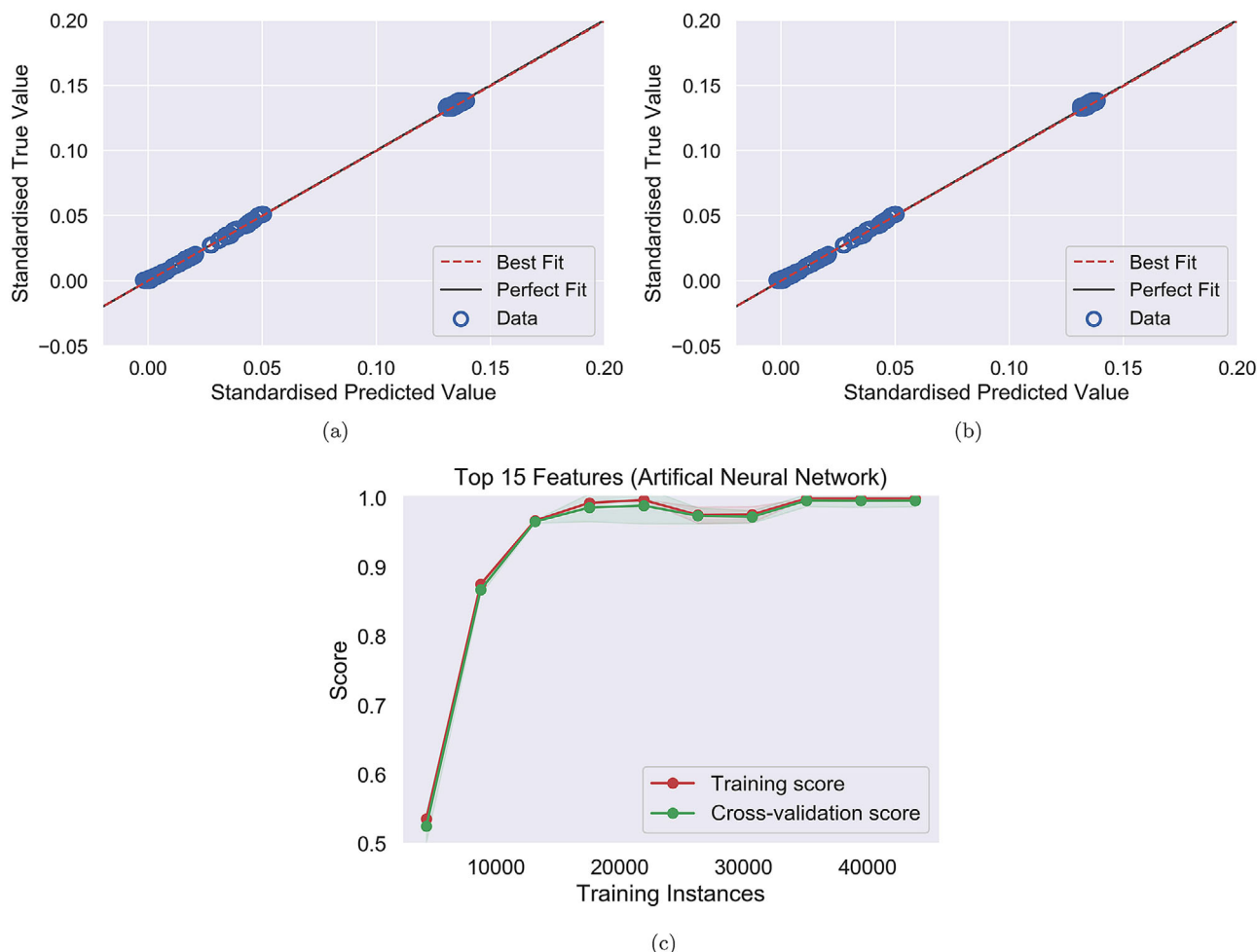


Figure 4. a) The training results for the artificial neural network trained on 48727 GO nanoflakes using the top 15 structural features, and b) the testing results (12182 nanoflakes and 15 features), and c) the learning curve showing a perfect result with no over-fitting and minimal under-fitting, provided sufficient data are over 35 000 instances.

as a small city.^[67] New processors such as tensor processing units designed specifically for machine learning are even less energy efficient, so hardware optimization is likely to drive even higher energy needs.^[68] Even the collective energy consumption of the huge number of personal computers currently training and running ML models is staggering^[69] and has led to calls for “Green AI”.^[70]

These results demonstrate that decisions made regarding the experimental design in laboratory studies have a salient influence on the stability of GO nanoflakes. Only stable structures have a high probability of observation and may be expected to survive the rigors of processing or purification strategies, preserving the structure and composition intended during synthesis.^[21–26] By tuning the variables identified here, it may also be possible to drive synthesis into a more stable region of the configuration space without the need for excessive trial and error.^[27–35] Stability is one of the only areas with emerging standards for nanomaterials, including graphene and graphene oxide.^[71] Stable GO structures with a higher probability of observation will also be less prone to degradation, with limited aging effects,^[72] and has so far limited the supply chain length for

graphene products. This could be an advantage to manufacturers who aim to provide reliable and reproducible products to their customers.

4. Conclusions

To summarize the results, we have shown using a data set of over 60 000 unique graphene oxide nanoflakes created using electronic structure simulations, and a series of machine learning methods, that the probability of observation (stability) can be predicted in advance of simulations or experimentation based on a limited set of human interpretable structural features. A decision tree has been generated to show how these features determine the stability, and a neural network has been used to provide an analytical expression that can be used without needing to perform thousands of simulations, or in concert with measurements taken in the lab. The models all have perfect accuracy and generalizability and can be used with confidence to predict the thermodynamic stability of virtually any configuration in minutes. This enables researchers to use machine learning as research planning tool, as well as a powerful way to analyze new results.

Supporting Information

Supporting Information is available from the Wiley Online Library or from the author.

Acknowledgements

Computational resources for this project were supplied by the National Computing Infrastructure (NCI) national facility under partner Grant p00. Open access publishing facilitated by Australian National University, as part of the Wiley - Australian National University agreement via the Council of Australian University Librarians.

Conflict of Interest

The authors declare no conflict of interest.

Data Availability Statement

The data that support the findings of this study are openly available in CSIRO Data Collection at <https://doi.org/10.25919/5e30b44a7c948>, <https://doi.org/10.25919/5e30a9cf118cf> and <https://doi.org/10.25919/5e30a9cf90439>, reference number [1].

Keywords

design, graphene oxide, machine learning, manufacture

Received: January 9, 2022

Revised: February 1, 2022

Published online: February 20, 2022

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