THIN FILMS ARE VITAL IN MODERN TECHNOLOGY:

Protective coatings

Optical coatings

Filters, mirrors, lenses

Microelectronic devices

Optoelectronic devices

Photonic devices

Electrode surfaces

Photoelectric devices, photovoltaics, solar cells

Xerography

Photography

Lithography

Catalyst surfaces

Information storage, magnetic, magneto-optical, optical memories

Crystalline, Amorphous, Microcrystalline

Monolayer, multilayer, superlattice, junctions

Free-standing, supported

Epitaxial (commensurate), incommensurate

Free-standing films

 $Fe(CO)_5 + O_2 \rightarrow amorph. Fe_2O_3$

Prepared on as a film on a NaCl crystal support

Dissolution of NaCl in water = Free-standing film

FILM PROPERTIES DEPEND ON NUMEROUS CONSIDERATIONS:

Thickness

Surface: volume ratio

Structure, surface versus bulk, surface reconstruction, surface

roughness

Hydrophobicity, hydrophilicy (Si-OH vs. Si-H)

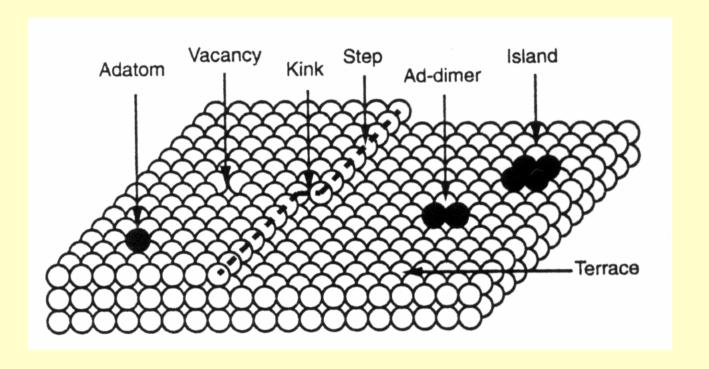
Composition

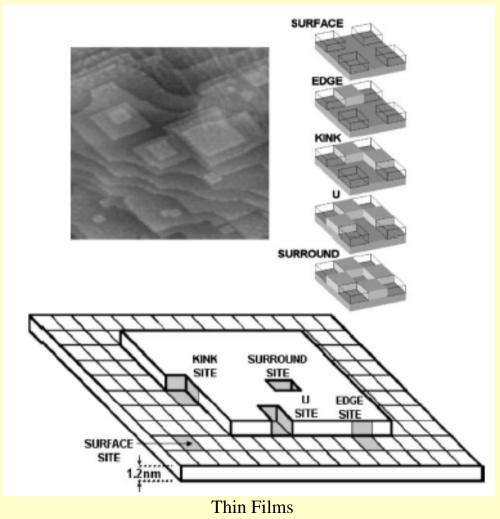
Texture: single crystal, microcrystalline, domains, orientation

Form: supported or unsupported, nature of substrate

The TSK Model of a Surface

- Terrace
- Step
- Kink
- Vacancy
- Adatom
- Island





Surface diffusion coefficient D

 $D = a^2 k_s$ a ... effective hopping distance between sites

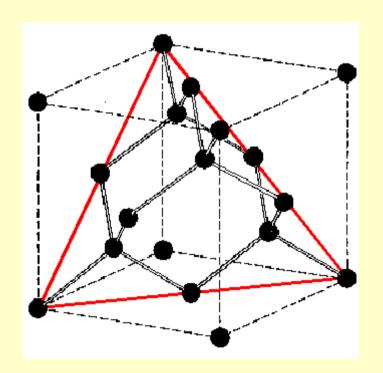
k_s ... site-to-site hopping rate of an adatom

 $k_s = A \exp(-V_s/k_bT)$ V_s ... potential-energy barrier to hopping from site to site

T ... substrate temperature

Higher temperature = Faster diffusion

Si(111) Surface



Silicon "diamond lattice" structure

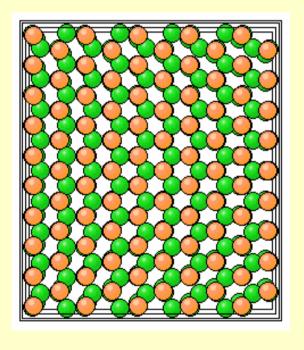
$$a = 5.463 \text{ Å}$$

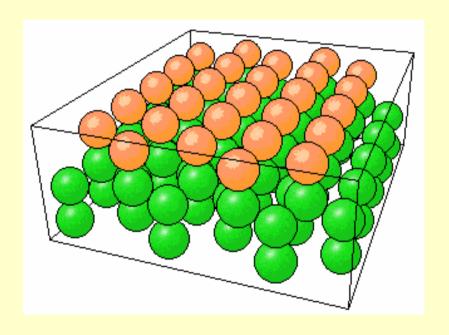
Si(111) = a set of atomic planes

One plane outlined with red

Si(111) Surface

A top view of the atomic arrangement for the (111) plane





orange = the top layer green = deeper layers

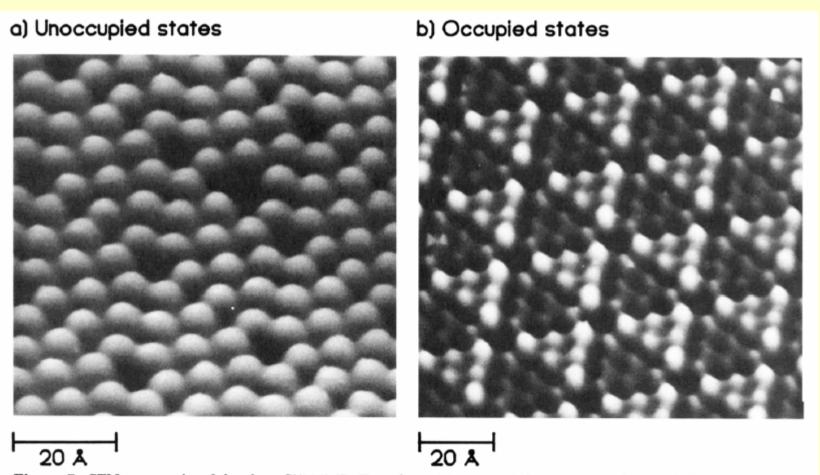
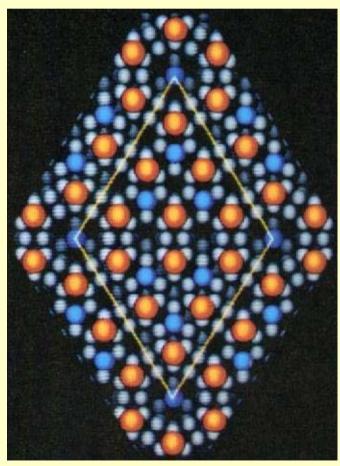


Figure 7. STM topographs of the clean Si(111)- (7×7) surface: (a) unoccupied states imaged at +2.0 V crystal bias, (b) occupied states imaged at -2.0 V crystal bias. The 12 adatoms are clearly visible in both images, and in the occupied state image the stacking fault and differences between corner and center adatoms are also seen. Courtesy of V. Ukraintsev, J. C. Camp, and J. T. Yates, Jr.

7x7 reconstruction

When (111) surface of Si is heated to high temperatures under the Ultra-High Vacuum conditions the surface atoms rearrange to a more energetically stable

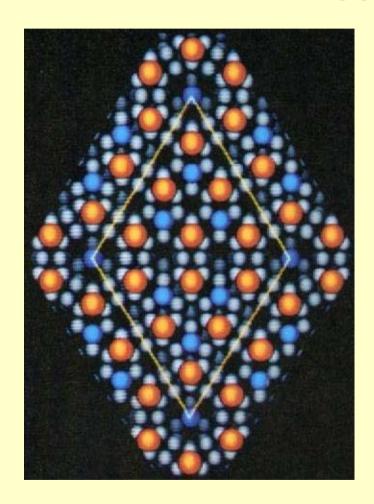
configuration called 7x7 reconstruction.



STM image of Si(111) surface

Thin Films

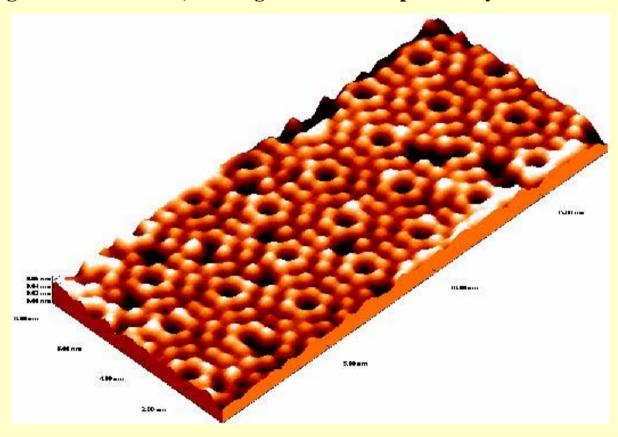
7x7 reconstruction



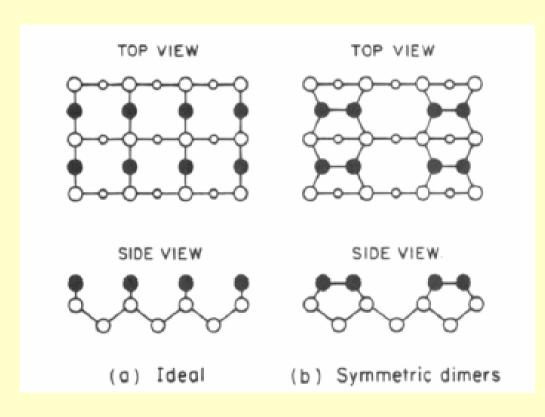
Thin Films

7x7 reconstruction

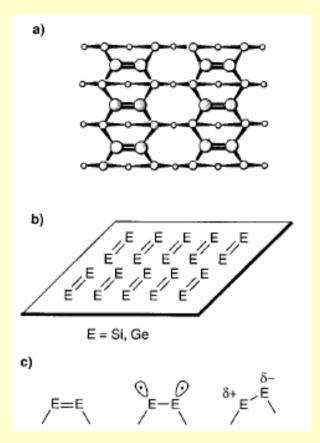
3D representation of the 7x7 STM image The image area is 18x8 nm², the height of the "bumps" is only about 0.04 nm



Si(100) Surface

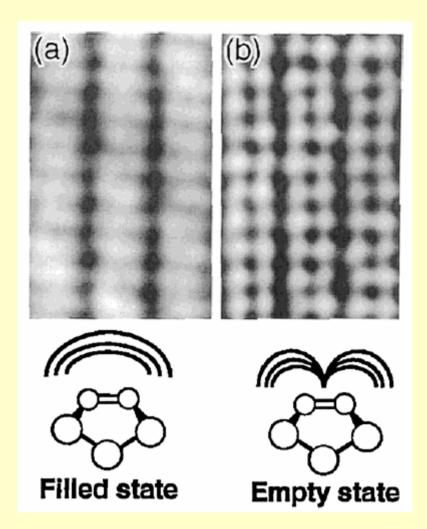


ideal reconstructed

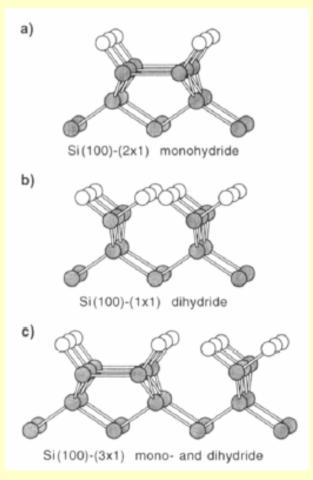


STM images of the silicon-silicon dimers imaged with

(a) $V_{\rm sample}$ = -2.0 V and (b) $V_{\rm sample}$ = 2.3 V. The filled and empty states of these highly ordered dimers can be probed by biasing the surface in the opposite directions. The dimensions of the figure are 2.3 nm x 7.7nm.



H-terminated Si(100) Surface



MAIN METHODS OF SYNTHESIZING THIN FILMS:

CHEMICAL, ELECTROCHEMICAL, PHYSICAL

Cathodic deposition, Anodic deposition, Electroless deposition
Thermal oxidation, nitridation
Chemical vapor deposition (CVD)
Metal organic chemical vapor deposition (MOCVD)
Molecular beam epitaxy, supersonic cluster beams, aerosol deposition
Liquid phase epitaxy
Self-assembly, surface anchoring, SAM
Discharge techniques, RF, microwave
Laser ablation
Cathode sputtering, vacuum evaporation

***** CATHODIC DEPOSITION

Two electrodes, dipped into electrolyte solution External potential applied Metal deposition onto the cathode as thin film Anode metal slowly dissolves

TELECTROLESS DEPOSITION

Spontaneous, No applied potential Depends on electrochemical potential difference between electrode and solution redox active species to be deposited

Both methods limited to metallic films on conducting substrates

***** ANODIC DEPOSITION

Deposition of oxide films, such as alumina, titania Deposition of conducting polymer films by oxidative polymerization of monomer, such as thiophene, pyrolle, aniline Oxide films formed from metallic electrode in aqueous salts or acids

Example:

Anodic oxidation of aluminum in oxalic or phosphoric acid

$$Al \rightarrow Al^{3+} + 3e^{-}$$
 anode

$$PO_4^{3-} + 2e^- \rightarrow PO_3^{3-} + O^{2-}$$
 cathode

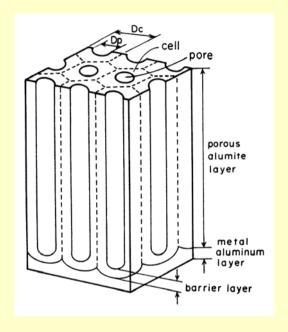
$$2Al^{3+} + 3O^{2-} \rightarrow \gamma - Al_2O_3$$
 (annealing) $\rightarrow \alpha - Al_2O_3$

overall electrochemistry:

$$2Al + 3PO_4^{3-} \rightarrow Al_2O_3 + PO_3^{3-}$$

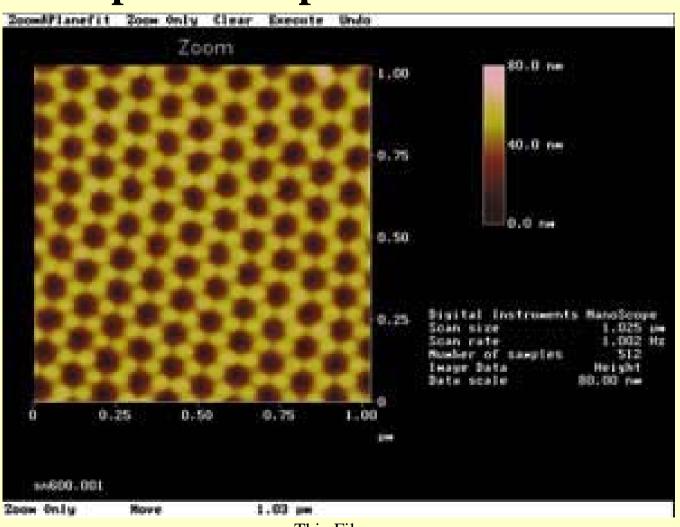
The applied potential controls the oxide thickness and the rate at which it forms, oxide anions from solution have to diffuse through an Al_2O_3 layer of growing thickness on the reacting Al substrate, to attain an equilibrium thickness of the alumina film

Self-organizing process observed, whereby a regular array of size tunable hcp pores form and permeate orthogonally through the alumina film

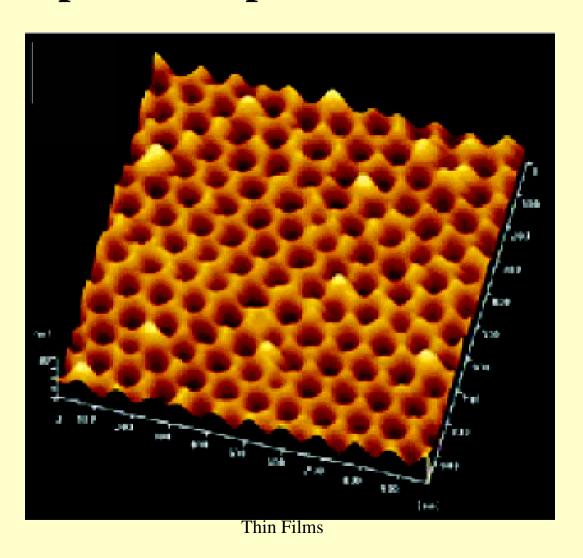


Exceptionally useful process for creating controlled porosity membranes, photonic gap materials, template for synthesizing semiconductor nanostructures, host for synthesizing and organizing aligned carbon nanotubes for high intensity electron emission displays, and last but not least, fuel cell electrode materials

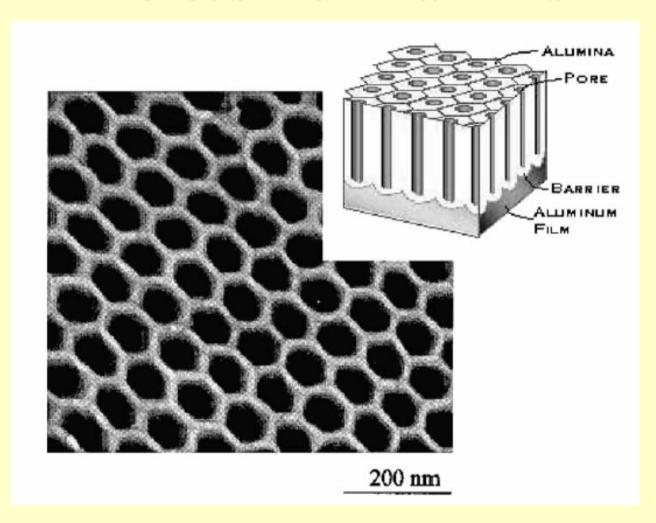
AFM picture of porous alumina film



AFM picture of porous alumina film



Porous Alumina Films



† THERMAL OXIDATION

Oxides, metal exposed to a glow discharge

$$Al + O_2 \rightarrow (RT) Al_2O_3$$
, thickness 3-4 nm

Similar method applicable to other metals, Ti, V, W, Zr etc

Nitrides, exceptionally hard, high temperature protective coating

$$Ti + NH_3 \rightarrow TiN$$

$$Al + NH_3 \rightarrow AlN$$

† CHEMICAL VAPOR DEPOSITION

Pyrolysis, photolysis, chemical reaction, discharges, RF, microwave Epitaxial films, correct matching to substrate lattice

EXAMPLES OF CVD

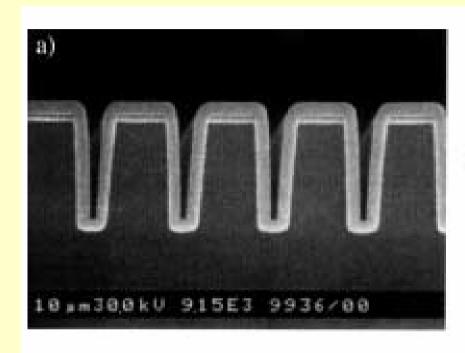
$$CH_4 + H_2 (RF, MW) \rightarrow C$$
, diamond films

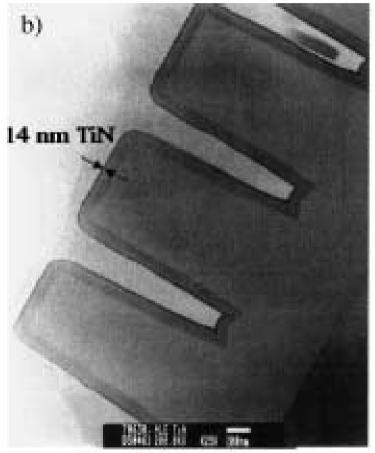
$$Et_4Si$$
 (thermal, air) $\rightarrow SiO_2$

$$SiCl_4$$
 or SiH_4 (thermal, H_2) \rightarrow a-HSi

$$SiH_4 + PH_3 (RF) \rightarrow n-Si$$

$$Si_2H_6 + B_2H_6 (RF) \rightarrow p-Si$$





 $SiH_3SiH_2SiH_2PH_2$ (RF) \rightarrow n-Si

Me₃Ga (laser photolysis, heating) → Ga

 $Me_3Ga + AsH_3 + H_2 \rightarrow GaAs + CH_4$

Si (laser evaporation, supersonic jet) ${\rm Si_n}^+$ (size selected cluster deposition) ightarrow Si

★ METAL ORGANIC CHEMICAL VAPOR DEPOSITION, MOCVD

Invented by Mansevit in 1968 Recognized high volatility of metal organic compounds as sources for semiconductor thin film preparations

MOCVD PRECURSORS, SINGLE SOURCE MATERIALS

Me₃Ga, Me₃Al, Et₃In
NH₃, PH₃, AsH₃
H₂S, H₂Se
Me₂Te, Me₂Hg, Me₂Zn, Me₄Pb, Et₂Cd
All toxic materials – a problem of safe disposal of toxic waste

Example - IR detectors: $Me_2Cd + Me_2Hg + Me_2Te (H_2, 500^{\circ}C) \rightarrow Cd_xHg_{1-x}Te$

Specially designed MOCVD reactors
Controlled flow of precursors to single crystal heated substrate
Most reactions occur in range 400-1300°C
Complications of diffusion at interfaces, disruption of atomically flat epitaxial surfaces/interfaces occurs during deposition
Photolytic processes (photoepitaxy) help to bring the deposition temperatures to more reasonable temperatures

REQUIREMENTS OF MOCVD PRECURSORS

RT stable, no polymerization, decomposition Easy handling, simple storage Not too reactive Vaporization without decomposition at modest $T < 100^{\circ}C$ Low rate of homogeneous pyrolysis (gas phase) wrt heterogeneous decomposition (surface)

HOMO: HETERO rates ~ 1: 1000

Heterogeneous reaction on substrate Greater than on other hot surfaces in reactor Not on supports, vessel etc Ready chemisorption of precursor on substrate Detailed surface and gas phase studies of structure of adsorbed species, reactive intermediates, kineticss, vital for quantifying film nucleation and growth processes Electronic and optical films synthesized in this way Semiconductors, metals, silicides, nitrides, oxides, mixed oxides (e.g., high $T_{\rm c}$ superconductors)

CRITICAL PARAMETERS IN MATERIALS PREPARATION FOR SYNTHESIS OF THIN FILMS

Composition control

Variety of materials to be deposited

Good film uniformity over large areas to be covered, > 100 cm²

Precise reproducibility

Growth rate, thickness control, 2-2000 nm layer thickness

Precise control of film thickness = accurate control of deposition,

film growth rate

Crystal quality, epitaxy

High degree of film perfection

Defects degrade device performance

Purity of precursors: usually less than 10⁻⁹ impurity levels

Stringent demands on starting material purity

Challenge for chemistry, purifying and analyzing at the ppb level

Demands exceptionally clean growth system otherwise defeats the

object of controlled doping of films for device applications

Interface widths

Abrupt changes of composition and dopant concentration required, quantum confined structures

30-40 sequential layers often needed

Alternating composition and graded composition films

0.5-50 nm thickness required with atomic level precision

All of the above has been more-or-less perfected in the electronics and optics industries

Thin Films

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TECHNIQUES USED TO GROW SEMICONDUCTOR FILMS AND MULTILAYERED FILMS

MOCVD

Liquid phase epitaxy

Chemical vapor transport

Molecular beam epitaxy

Laser ablation

PHYSICAL METHODS FOR PREPARING THIN FILMS

CATHODE SPUTTERING

Bell jar equipment

10⁻¹ to 10⁻² torr of Ar, Kr, Xe

Glow discharge created

Positively charged rare gas ions

Accelerated in a high voltage to cathode target

High energy ions collide with cathode

Sputter material from cathode

Deposits on substrate opposite cathode to form thin film

Multi-target sputtering creates composite or multilayer films

♦ THERMAL VACUUM EVAPORATION

High vacuum bell jar $> 10^{-6}$ torr Heating e-beam, resistive, laser Gaseous material deposited on substrate Thin films nucleate and grow Containers must be chemically inert: W, Ta, Nb, Pt, BN, Al₂O₃, ZrO₂, Graphite Substrates include insulators, metals, glass, alkali halides, silicon Sources include metals, alloys, semiconductors, insulators, inorganic salts

♦ MOLECULAR BEAM EPITAXY

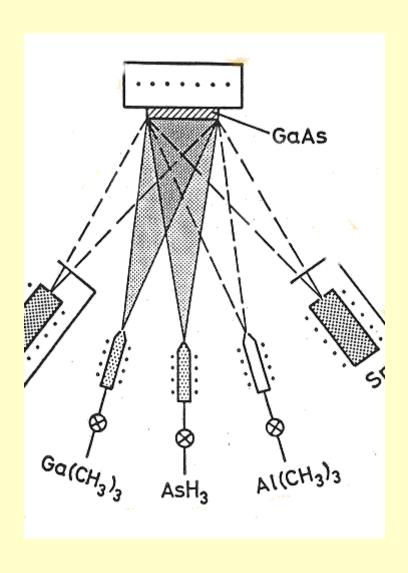
Million dollar thin film machine, ideal for preparing high quality artificial semiconductor quantum superlattices, ferroelectrics, superconductors

Ultrahigh vacuum system >10⁻¹² torr

Elemental or compound sources in shutter controlled Knudsen effusion cells

Ar⁺ ion gun for cleaning substrate surface or depth profiling sample using Auger analyzer

High energy electron diffraction for surface structure analysis Mass spectrometer for control and detection of vapor species e-gun for heating the substrate



♦ PHOTOEPITAXY

Making atomically perfect thin films under milder and more controlled conditions, Mullin and Tunnicliffe 1984

Et₂Te + Hg (pool) + H₂ (hv, 200 °C)
$$\rightarrow$$
 HgTe + 2C₂H₆

MOCVD preparation requires 500 °C using Me₂Te + Me₂Hg

Advantages of photoepitaxy

Lower temperature operation
Multilayer formation
Less damage of layers
Lower interlayer diffusion
Easy to fabricate abrupt boundaries
Less defects, strain, irregularities at interfaces

CdTe can be deposited onto GaAs at 200-250 °C even with a 14% lattice mismatch GaAs is susceptible to damage under MOCVD conditions 650-750 °C

SYNTHESIS OF THIN FILMS

EXTENSIONS OF PHOTOLYTIC METHODS - LASER WRITING AND LASER ETCHING

† Laser writing:

Substrate GaAs

Me₃Al or Me₂Zn adsorbed layer or gas phase

Focussed UV laser on film

Photodissociation of organometallic precursor:

$$Me_3Al \rightarrow Al + C_2H_6$$

Creates sub-micron lines of Al or Zn

SYNTHESIS OF THIN FILMS

† Laser photoetching:

GaAs substrate
Gaseous or adsorbed layer of CH₃Br
Focussed UV laser
Creates reactive Br atoms

$$CH_3Br(g) (hv) \rightarrow CH_3(g) + Br(g)$$

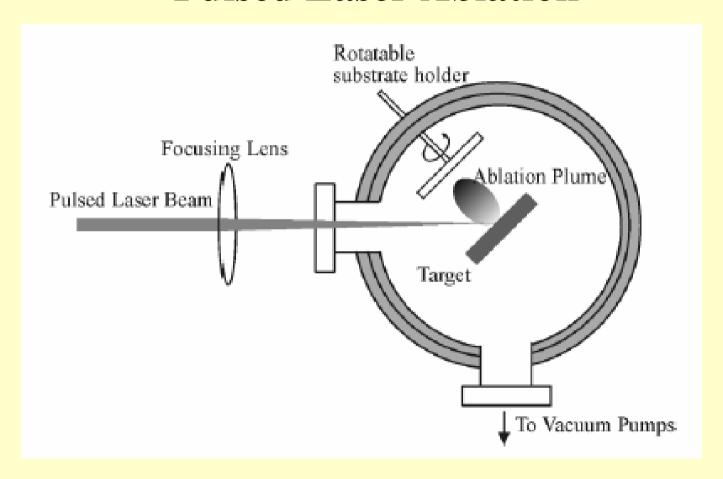
$$Br(g) + GaAs(s) \rightarrow GaAs...Br_n(ad)$$

$$GaAs...Br_n(ad) \rightarrow GaBr_n(g) + AsBr_n(g)$$

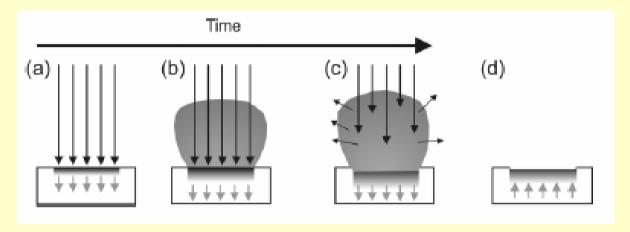
Adsorbed reactive surface Br atoms erode surface regions irradiated with laser

Vaporization of volatile gallium and arsenic bromides from surface creates sub-micron etched line

Pulsed Laser Ablation

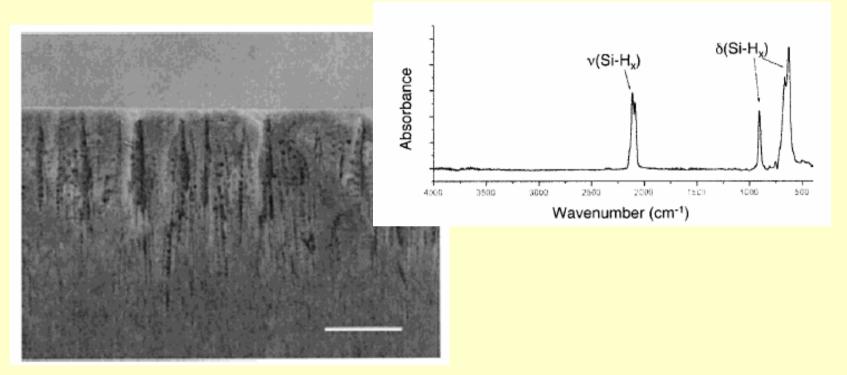


Pulsed Laser Ablation



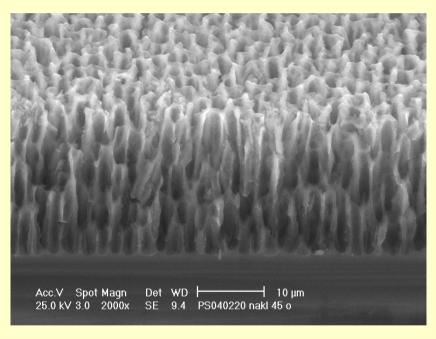
- (a) Initial absorption of laser radiation (indicated by long arrows), melting and vaporization begin (shaded area indicates melted material, short arrows indicate motion of solid—liquid interface)
- (b) Melt front propagates into the solid, vaporization continues and laser-plume interactions start to become important
- (c) Absorption of incident laser radiation by the plume, and plasma formation
- (d) Melt front recedes leading to eventual re-solidification.

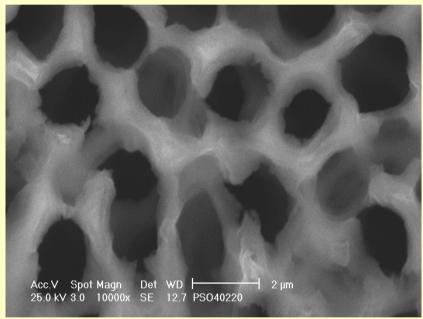
Porous Si



SEM of a porous silicon, the pores extending from the surface of the Si(100) wafer down into the bulk, etched from n-type Si(100) (P-doped, 0.75-0.95 ø,cm) at 77.2 mA cm⁻² for 1 min with a 1:1 solution of 49% HF(aq)/ EtOH. Scale bar is $10 \,\mu m$.

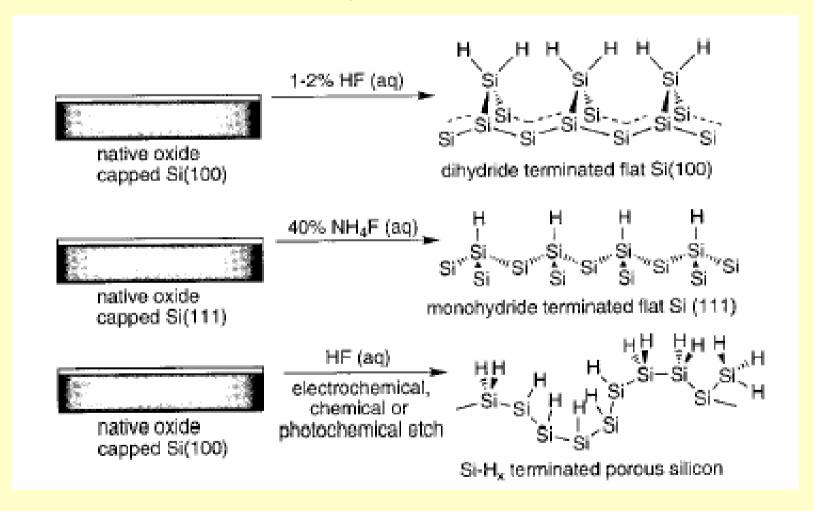
Porous Si





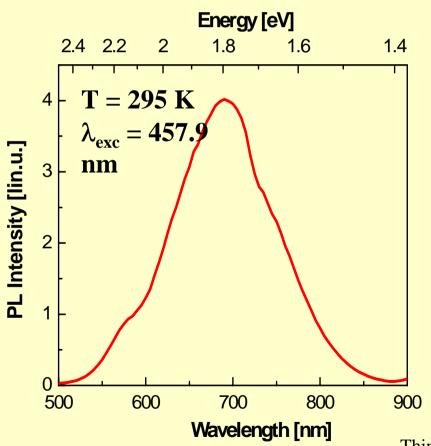
HF:EtOH = 1:2.5 j = 10 mA/cm² t = 30 min

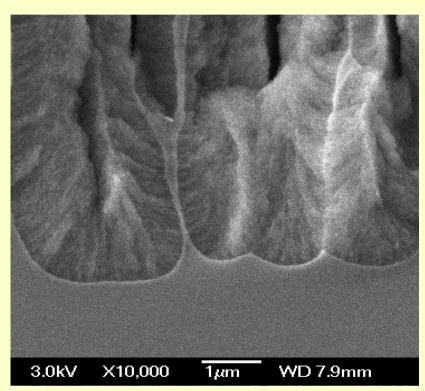
Chemistry on Si Surface



Porous Si

Luminiscence of p-Si





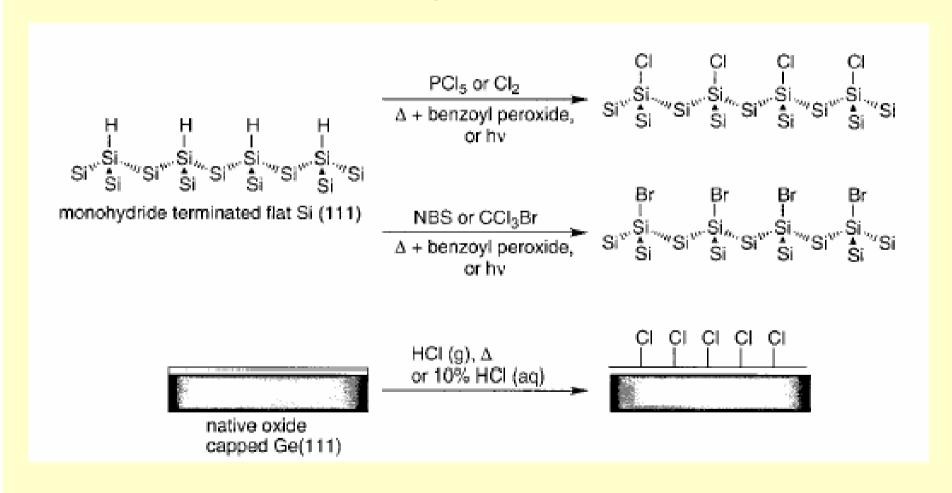
Thin Films

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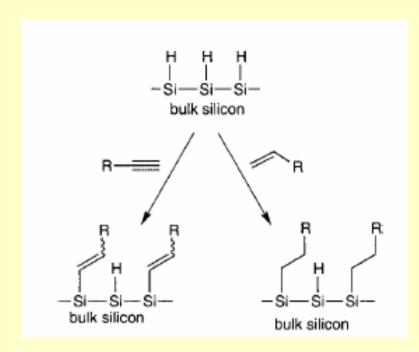
Table 1. Typical Bond Energies for Various Groups Related to Group(IV) Elements (kJ mol^{-1})

element	self	Н	С	О	F	Cl	Br	I
C Si	310-340 (disilane)	416 323	369	336 368		327 391		
Ge	105–126 (disilene) 190–210 (bulk) 256 (digermane)	290	255		465	356	276	213

Chemistry on Si Surface



Hydrosilylation



a)
$$[RC(0)O]_2 \longrightarrow 2 RC(0) \cdot \longrightarrow R \cdot + CO_2$$

$$R \cdot + \begin{matrix} H & H & H \\ -Si - Si - Si - \\ bulk silicon \end{matrix}$$

RH + $\begin{matrix} H & H \\ -Si - Si - Si - \\ bulk silicon \end{matrix}$

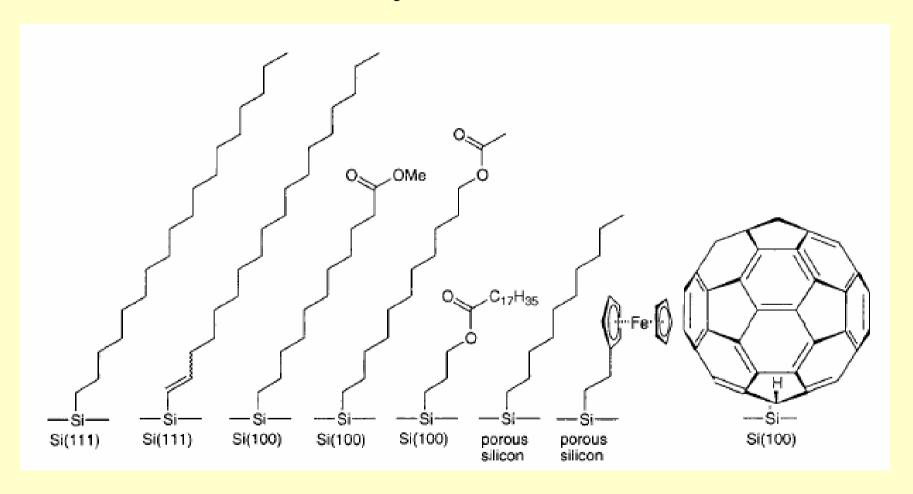
RH + $\begin{matrix} H & H \\ -Si - Si - Si - \\ bulk silicon \end{matrix}$

RH + $\begin{matrix} H & H \\ -Si - Si - Si - \\ bulk silicon \end{matrix}$

RH + $\begin{matrix} H & H \\ -Si - Si - Si - \\ bulk silicon \end{matrix}$

RH + $\begin{matrix} H & H \\ -Si - Si - Si - \\ bulk silicon \end{matrix}$

Chemistry on Si Surface

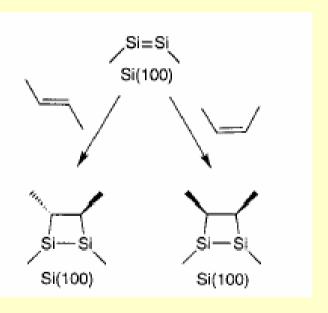


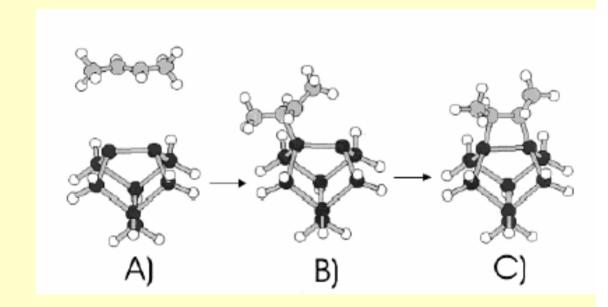
Carbaanion LiR, RMgX

a) Cathodic Electrografting (CEG)

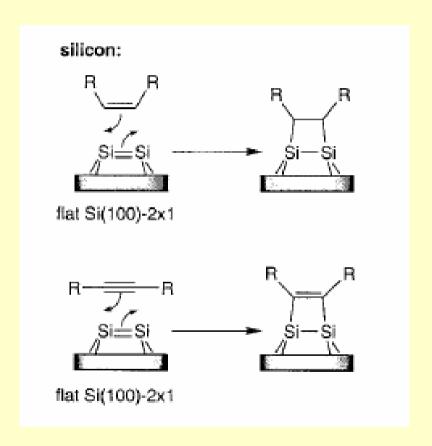
b) Anodic Electrografting (AEG)

2+2 Cycloaddition



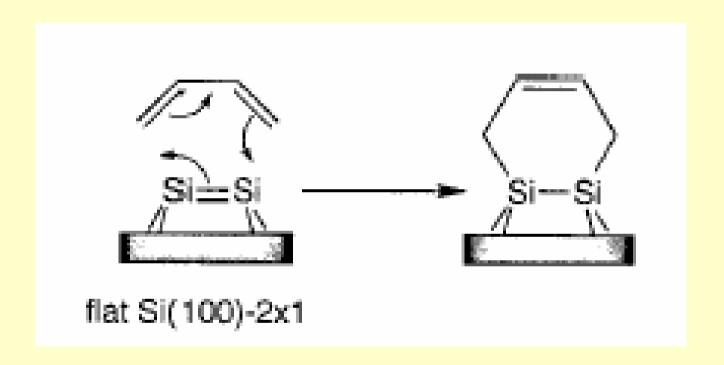


2+2 Cycloaddition

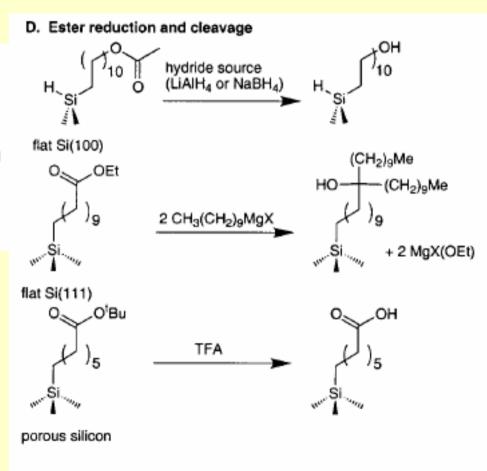


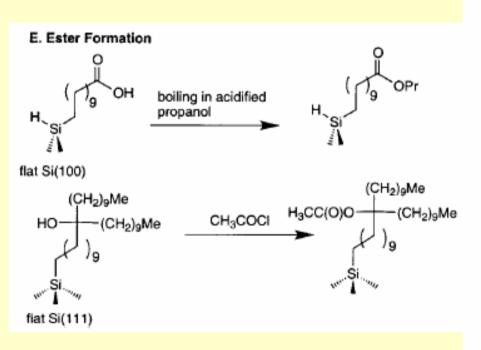
$$CR_2=0$$
 $Si=Si$
 $Si=Si$
 $Si=Si$
 $Si=Si$
 $Si=Si$
 $Si=Si$
 $Si=Si$
 $Si=Si$

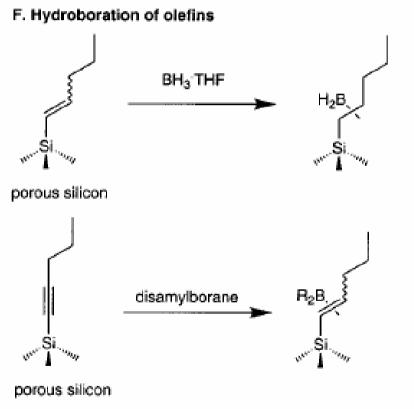
DA 4+2

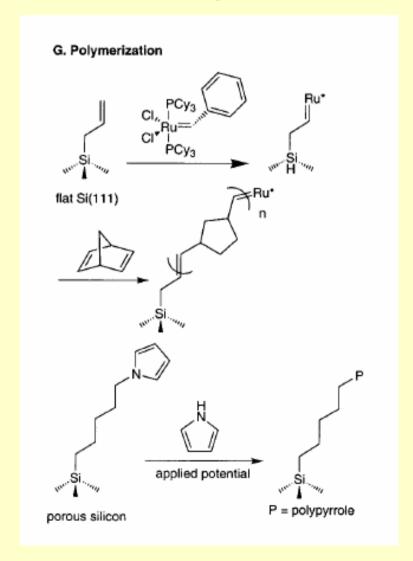


C. Ester hydrolysis H Si boiling, acidic H₂O H flat Si(100)









Self-assembly: spontaneous organization of molecules into stable, structurally well-defined aggregates

Self-assembled monolayers (SAM): two-dimensional ordered assemblies of long hydrocarbon chains anchored through chemical bonds to surfaces of solid inorganic substrates

Alkanethiolates on gold and alkylsiloxanes on silicon dioxide belong the most notoriously studied SAM systems

Metal surfaces Au, Ag, Cu, Pt, Hg, Fe,... react with

Thiols
$$M + RSH \longrightarrow M-S-R + 1/2 H_2$$

Disulfides
$$2 M + RSSR \longrightarrow 2 M-S-R$$

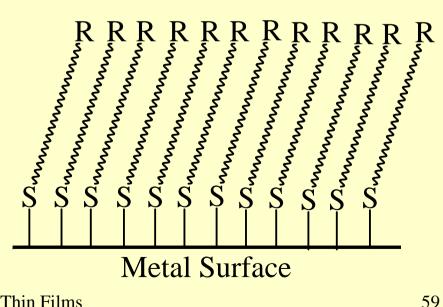
Sulfides
$$M + RSR \longrightarrow M-S-R$$

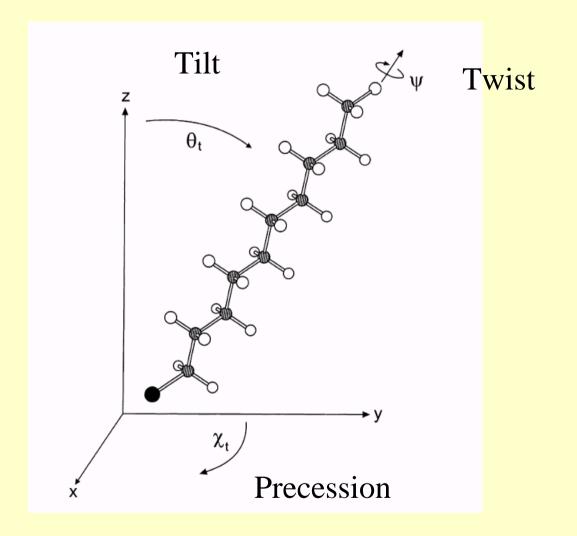
Same products formed in all three reactions: thiolates. RSH are more soluble and react 10³ faster with Au than RSSR.

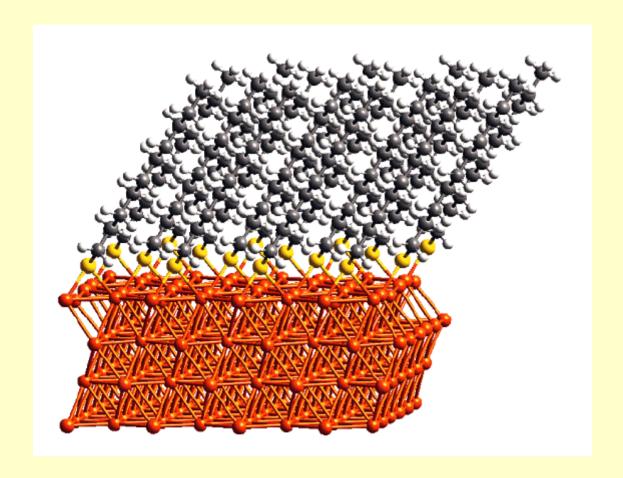
Substrates: gold polycrystalline films on Si(SiO₂), glass, mica.

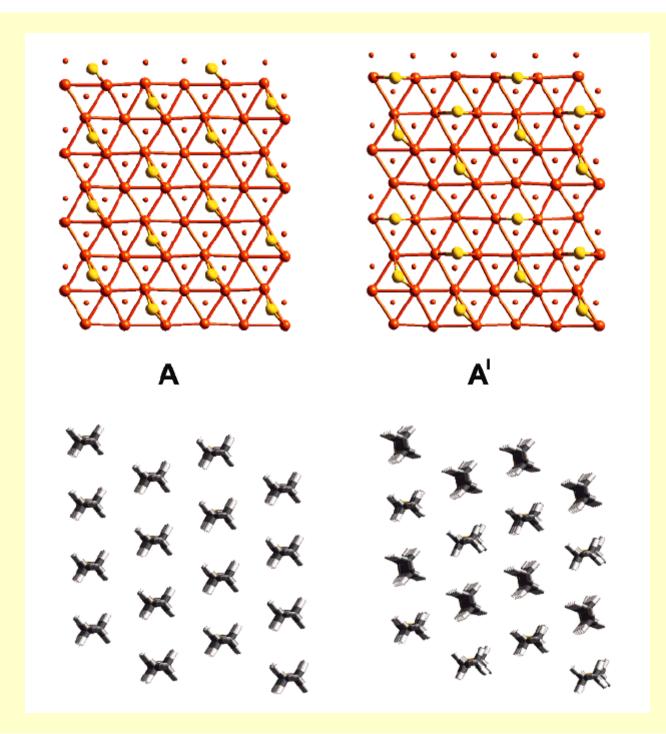
Thickness 5-300 nm, sputtering, evaporation

Atomically flat









***** Thermodynamics

Au does not form surface oxide layer

Reaction driving force:

➤ Au-S bond energy 160-185 kJ mol⁻¹

➤ van der Waals attraction between alkyl chains 6-8 kJ mol⁻¹ per CH₂

In ^tBuSH and n-C₁₈SH competition reaction, the linear alkyl thiol binds 300 – 700 times better.

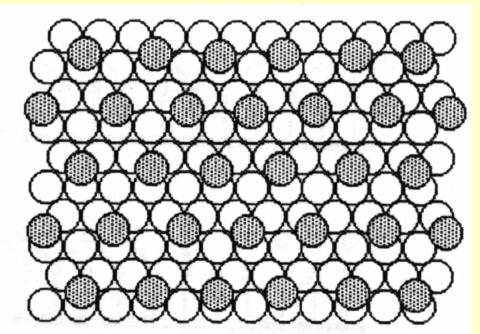
Surface coverage 10^{14} molecules per cm² C_{16} chain length ~2.2 nm, 32-40° tilted, all-trans

Chemical stability: Cu/C₁₈SH sustains HNO₃

Thermal stability: Au/RSH loses sulfur at 170-230 °C

Binding modes on Au(111)

- **♦ On-top sites**
- ♦ Hollow sites threefold, more stable by 25 kJ mol⁻¹
- **♦Bridging sites the most stable!! (QM calculations)**



 $Au - S - C = 180^{\circ}$, sp $Au - S - C = 104^{\circ}$, sp³, more stable by 1.7 kJ mol⁻¹ barrier to interconversion 10.5 kJ mol⁻¹

Au(111)

Hexagonal array of S, S....S distance 4.97 Å, interchain distance in crystalline paraffins 4.65 Å, tilt angles 25 - 30° to reestablish alkyl chain contacts, hollow site binding, 21.4 Å² per molecule

Ag(111)

Hexagonal array of S, S....S distance 4.41 Å, on-top site binding, more tightly packed alkyl chains, no tilt

***** Kinetics

Au(111) + **RSH** reactions proceed in two steps:

- 1. First step, fast (minutes), diffusion controlled Langmuir adsorption, concentration dependent (1 mM \sim 1 min, 1 $\mu M \sim 100$ min)
- 2. Second step, slow (hours), disordered film orders to a 2D crystal, surface crystallization, defect healing, trapped solvent expulsion. Mechanisms: alkyl chain flipping, RS⁻ lateral diffusion, equilibrium with dissolved RSH, Au atom diffusion, Au in solution. Better crystallinity of films in polar solvents: MeOH, EtOH,...

Surface chemical derivatization

 $HS - (CH_2)_n - X$ $X = CH_3$, CF_3 , OH, NH_2 , SH, COOH, COOR, CN, $CH=CH_2$, $C\equiv CH$, Cl, Br, OCH_3 , SO_3H , $SiMe_3$, ferrocenyl,

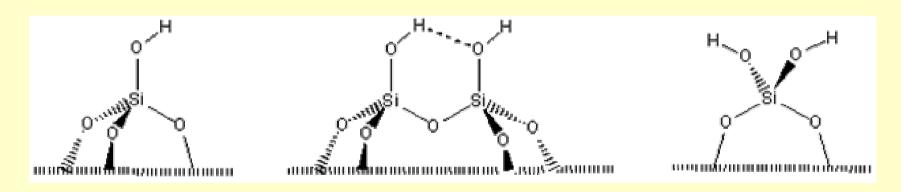
Microfabrication

- **♦** Self-assembly, at thermodynamic minima, rejects defects, high degree of perfection.
- ♠ Dimension in the range 1 nm to 1000 μm, too large for chemical synthesis, too small for microlithography.
- **♦** High efficiency, spontaneous.

SiO₂ Surfaces

native oxide on Si silicagel

Chemical derivatization methods are based on the reactivity of the surface hydroxyl groups with various reagents



isolated vicinal geminal

[O₃Si]—OH stands for the siliceous surface

1. Grafting

Reactions with trifunctional reagents, such as alkyltrichlorosilanes and trialkoxyalkylsilanes, lead to the three-fold attachment of the SiR groups.

$$3 [O_3Si] \longrightarrow OH + Cl_3SiR \longrightarrow \{[O_3Si] \longrightarrow O\}_3SiR + 3 HCl$$

$$3 [O_3Si]$$
—OH + (MeO)₃SiR — \qquad {[O₃Si]—O}₃SiR + 3 MeOH

2. Chlorination/Displacement Method The first step is the replacement of the Si-OH groups by more reactive Si-Cl bonds by chlorination.

$$[O_3Si] \longrightarrow OH + SOCl_2 \longrightarrow [O_3Si] \longrightarrow Cl + HCl + SO_2$$

$$[O_3Si] \longrightarrow OH + CCl_4 \longrightarrow [O_3Si] \longrightarrow Cl + COCl_2 + HCl$$

In the subsequent step, the surface is treated with a Grignard or organolithium reagent with the formation of strong Si-C bonds.

$$[O_3Si]$$
— $Cl + RMgCl$ — \bullet $[O_3Si]$ — $R + MgCl_2$ $[O_3Si]$ — $Cl + RLi$ — \bullet $[O_3Si]$ — $R + LiCl$

3. Post Modification Method

The organic groups (R) covalently anchored to the siliceous surface by the two previous methods can be subsequently chemically modified. The most extensively developed is chemistry of 3-aminopropyl(trimethoxy)silane. A large number of chemical transformations of the amino moiety to other functional groups are known.

4. Hybrid sol-gel method (co-condensation)

A thin layer of a hybrid (organically modified) silica gel can be deposited on the silica surface from a solution of TEOS and (MeO)₃SiR by controlled hydrolysis and condensation.

$$(MeO)_3SiR + (MeO)_4Si + 7 H_2O \longrightarrow [O_3Si] -R + 7 MeOH$$

5. Organometallic modification method

Organometallic reagents, such as metal alkyls, halides, amides, and alkoxides can be used to deposit a monolayer of metal complexes on the surface (ML_n stands for an organometallic group, M for a metal, L for a ligand, R" for a short alkyl chain, X for halogen).

$$[O_{3}Si] \longrightarrow OH + R"-ML_{n} \longrightarrow R"H + [O_{3}Si] \longrightarrow O-ML_{n}$$

$$[O_{3}Si] \longrightarrow OH + X-ML_{n} \longrightarrow HX + [O_{3}Si] \longrightarrow O-ML_{n}$$

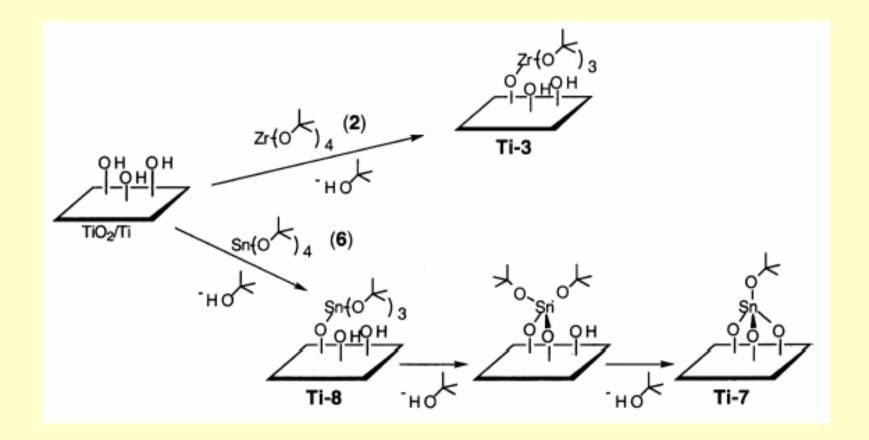
$$[O_{3}Si] \longrightarrow OH + Me_{2}N-ML_{n} \longrightarrow Me_{2}NH + [O_{3}Si] \longrightarrow O-ML_{n}$$

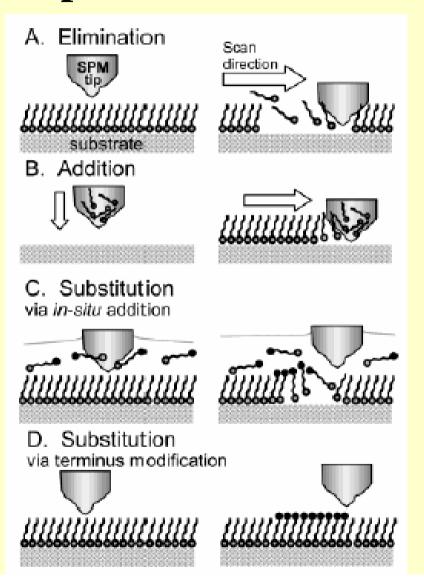
$$[O_{3}Si] \longrightarrow OH + R"O-ML_{n} \longrightarrow R"OH + [O_{3}Si] \longrightarrow O-ML_{n}$$

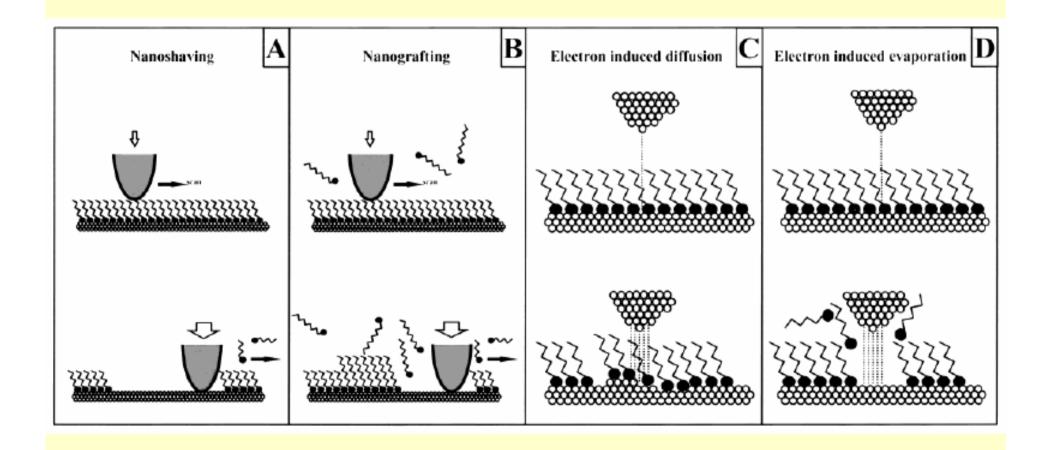
These organometallic moieties can serve as attachment points for further modification with long chain alcohols, thiols, carboxylic acids, phosphates, and diketonates.

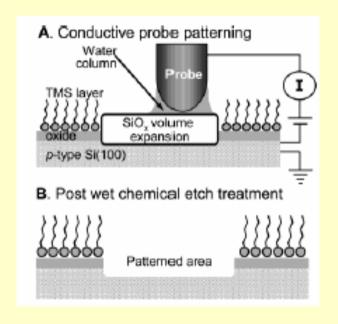
$$[O_3Si]$$
— $O-ML_n + HOR$ — $O-ML_{n-1}OR + HL$

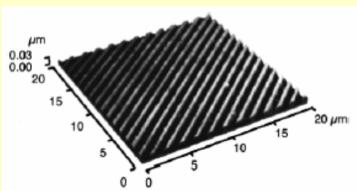
$$[O_3Si]$$
— $O-ML_n + HOOCR$ \longrightarrow $[O_3Si]$ — $O-ML_{n-1}$ - $OOCR + HL$

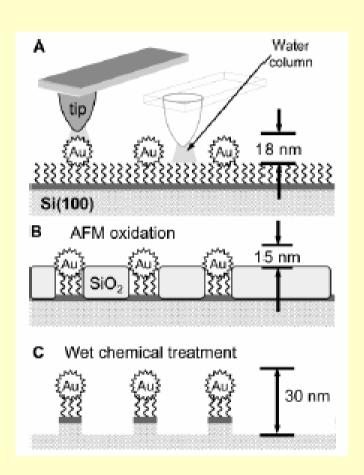












in Films

