

# Reactive sputtered ZnO thin films: Influence of the O<sub>2</sub>/Ar flow ratio on the oxygen vacancies and paramagnetic active sites Adrián

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## 6 Abstract

7 Zinc oxide thin films were prepared under oxygen-deficient and oxygen-rich conditions by  
8 changing the oxygen to argon ratio ( $O_2/Ar$ ) during the reactive sputtering deposition at room  
9 temperature. The effects of increasing the partial pressure of oxygen in the sputtering gas from  
10 20 to 70 %  $O_2/Ar$  on the thin film composition, crystallinity and defects that can act as active  
11 sites for gas reactions were studied using X-rays diffraction, X-rays photoelectron spectroscopy  
12 (XPS), Raman scattering and electron paramagnetic resonance (EPR). All the films exhibited a  
13 textured (0002) wurtzite phase and a crystallite size that increases as the partial pressure of  
14 oxygen in the sputtering gas increases. The XPS analysis showed that the number of oxygen  
15 vacancies decreases as the oxygen percent in the sputtering gas increases. The Raman spectra of  
16 the samples contained a band related to a hydroxide, OH, bond in addition to the vibrational  
17 modes associated with the wurtzite structure. A strong EPR signal, consistent with the OH  
18 acting as a paramagnetic center, was detected in all the films. An additional, but very weak EPR  
19 peak, was observed in the film grown at 20 %  $O_2/Ar$ , which was assigned to singly ionized  
20 oxygen vacancies located in the crystallite lattice. These paramagnetic centers are highly  
21 reactive because of their unpaired electrons and their formation will have important effects on the  
22 physical and chemical properties of the thin films.

23 **Keywords:** Active site, Paramagnetic defect, Zinc oxide, thin film, Reactive sputtering, Oxygen  
24 vacancy

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30      **1. Introduction**  
31

32      Zinc oxide (ZnO) nanomaterials are of great interest in the fields of photocatalysis and gas  
33      sensors due to its physical and chemical properties [1–3]. For example, the surface has good  
34      adsorption properties and is highly reactive due to presence oxygen vacancies ( $V_O$ ) [4].  
35      However, it has been pointed out that even though ZnO is sensitive to the presence of impurity  
36      gases in air, its performance is limited due to its low selectivity [5].

37      The nature and concentration of active sites can determine the type of interaction between the  
38      material and the gas molecules, thus modifying the selectivity of the sensor. Active sites can be  
39      a single atom, groups of atoms, molecules, or structural defects such as interstitials and  
40      vacancies. Depending on their chemical nature, active sites can be classified as acid-base,  
41      oxidation-reduction or paramagnetic centers. For example, chemisorbed oxygen such as  $O^-$  act  
42      as an oxidative site [6]. Paramagnetic centers are of special interest because they are highly  
43      reactive due to their unpaired electrons [5,7]. Examples of paramagnetic centers that fall into the  
44      active site category are some OH groups and paramagnetic defects, such as singly ionized  
45      oxygen vacancies ( $V_O^+$ ) [8].

46      Electron paramagnetic resonance (EPR) is an excellent technique to investigate defects with  
47      unpaired electrons in semiconductors. It has been used to identify defects centers such as  $V_O^+$  in  
48      ZnO nanostructures: nanowires [9], nanoparticles [10–12] nanoflowers [13], quantum dots [14],  
49      tetrapod [15], and single crystal [16]. However, EPR have not been used in any study to  
50      characterize paramagnetic defects in ZnO thin films prepared by magnetron sputtering [17],  
51      where the presence and relative abundance of  $V_O^+$  will be of great interest.

52 In this work, ZnO thin films were deposited by the DC pulsed magnetron sputtering  
53 technique. Several advantages of this technique include working with high-purity metal targets  
54 to reduce the amount of impurities in the films and the growth of homogenous films over large  
55 areas. Also, sputtered films can be prepared in a variety of substrates such as sapphire, glass and  
56 silicon or be deposited on top of interdigital transducers to make sensor devices.

57 For sputtering deposition, several plasma-process parameters are controlled including  
58 sputtering power, substrate temperature, deposition pressure, target-to-substrate distance, and  
59 sputtering gas composition. The sputtering gas composition, in particular, can be used to change  
60 the stoichiometry of the films and their structural, optical, and electrical properties [18–22].  
61 Therefore, the influence of different O<sub>2</sub>/Ar ratios on the V<sub>O</sub> formation, and consequent  
62 characteristics of the films such as crystal structure, morphology and composition, is studied. By  
63 using a combination of XPS and EPR, changes in the number of V<sub>O</sub> and the possible formation  
64 of V<sub>O</sub><sup>+</sup> species are observed. Additionally, the presence of OH groups is confirmed by Raman  
65 spectroscopy and EPR.

66 **2. Experimental details**

67 ZnO thin films were grown by reactive magnetron sputtering. One advantage of reactive  
68 sputtering is the use of high-purity zinc metal as a target (99.999 %) to grow a compound  
69 material such as ZnO. Undoped silicon (100) substrates were heated at T = 1000 °C for 24 hours  
70 in air to grow an oxide layer. The substrates were ultrasonically cleaned in deionized water  
71 followed by ethanol and acetone for five minutes each and dried using nitrogen gas. The  
72 sputtering chamber was evacuated to a base pressure on the order of 10<sup>-5</sup> Pa prior to deposition.  
73 The target-to-substrate distance was kept at 4 cm. The deposition pressure was set to 1.33 Pa,  
74 and the sputtering power was set to 40 W using a pulsed DC power supply. The one-inch zinc

75 target was cleaned by pre-sputtering the chamber with argon gas for 5 minutes. The initial  
76 substrate temperature was  $T_{\text{sub}} = 25^{\circ}\text{C}$ , which was monitored using a thermocouple placed near  
77 the substrate. The thickness of the film was measured with an Alpha Step IQ surface profiler  
78 (KLA Tencor) at several places and then averaged. The deposition rate was calculated by  
79 dividing the film thickness by the sputtering time. The deposition time was adjusted to obtain a  
80 film thickness of  $502 \pm 26$  nm. The oxygen and argon flows were controlled using two mass flow  
81 controllers. Table I summarizes the growth conditions of the films.

82 The structural properties of the thin films were examined by X-ray diffraction (XRD) using a  
83 Rigaku SmartLab X-ray diffractometer (Rigaku, USA) with  $\text{Cu K}\alpha$  radiation in parallel beam  
84 configuration. Room-temperature Raman measurements were performed using a DXR Raman  
85 microscope (ThermoFisher Scientific, USA) at an excitation wavelength of 532 nm. The surface  
86 morphology and grain size were studied by scanning electron microscopy (SEM) with a JEOL  
87 JSM-6360 (JEOL, Japan). The SEM acceleration voltage and working distance were set to 20kV,  
88 and 9 mm respectively. Surface composition and chemical information was obtained by X-ray  
89 photoelectron spectroscopy (XPS) using a PHI 5600 (Physical Electronics Inc., USA) with an  $\text{Al K}\alpha$   
90 ( $h\nu = 1486.6$  eV) monochromatic X-ray source with a power of 350 W and pass energy of  
91 58.70 eV. The XPS measurements were recorded at room temperature and a base pressure of  
92 around  $6.6 \times 10^{-7}$  Pa. No ion sputtering was performed prior the XPS measurements. The  
93 binding energies were calibrated using the carbon C1s peak (284.e eV) as reference. The EPR  
94 absorption spectra were measured at room temperature using a Bruker EMX (Bruker, USA)  
95 spectrometer at a frequency of 9.45 GHz, a magnetic field modulation of 100 kHz and a  
96 modulation amplitude of  $1 \times 10^{-4}$  T.

97        **3. Results and discussion**

98        Figure 1 shows the deposition rate of the ZnO thin films as a function of the O<sub>2</sub>/Ar ratio. The  
99        deposition rates ranged between  $4 \pm 0.17$  and  $5.56 \pm 0.12$  nm/min depending on the deposition  
100        conditions. Literature reports of deposition rates under similar conditions of reactive sputtering  
101        are between 2.5 nm/min [23] and 16.66 nm/min [24]. The decrease in deposition rate with  
102        oxygen flow rate is typical for reactive sputtering and is related to target poisoning [25]. As  
103        discussed by Westwood [26], target poisoning occurs when the oxygen flow rate is increased to a  
104        certain value where the target surface oxidizes. The formation of the oxide layer has two major  
105        effects, (1) limits the arrival rate of Zn atoms and (2) decreases the acceleration of Ar<sup>+</sup> ions  
106        towards the target, hence, decreasing the sputtering yield. The sputtering time was increased for  
107        the samples prepared at lower deposition rates to keep the thickness of the film close to 500 nm.

108        Performing sputtering deposition under conditions where the amount of available oxygen is  
109        limited, e.g., using a metallic target and low partial pressures of oxygen in the sputtering gas, is  
110        known to result in the formation of more “metallic” films, i.e., with a deficiency of oxygen in  
111        their stoichiometry, resulting in V<sub>O</sub> and zinc interstitials (Zn<sub>i</sub>) [27]. Meanwhile, deposition at  
112        higher partial pressures of oxygen will improve the film stoichiometry, reducing the number of  
113        defects.

114        The surface chemical composition of the ZnO thin films was studied using XPS to track the  
115        formation of point defects. Figure 2 shows the high-resolution spectra of the O 1s region. As  
116        seen, the O 1s peak is asymmetric for all the films. This asymmetry indicates the presence of  
117        different oxygen species on the surface of the films. The peaks were fitted using the Multi-Peak  
118        Fitting package from Igor Pro (WaveMetrics, Lake Oswego, OR, USA), with Gaussian shape  
119        peaks and a cubic polynomial function as baseline. No constraints to the fit parameters were

120 applied and the fit interval was between 520 and 539 eV. The peak at low binding energies, 529  
121 eV ( $O_0$ ), is attributed to oxygen ions ( $O^{2-}$ ) that are surrounded by zinc atoms with a full  
122 supplement of nearest neighbors in the wurtzite structure [28]. The O 1s peak at approximately  
123 531 eV ( $O_1$ ) is ascribed to  $O^{2-}$  ions in the vicinity of  $VO$  [11,29,30], and its relative area can  
124 provide a measure of the  $VO$  concentration. The peak at 532 eV ( $O_2$ ) is related to oxygen species  
125 adsorbed on the surface of the films [31].

126 It is known that the areas under the O 1s peaks provide additional information about the  
127 surface composition [13,32]. Figure 3 shows the area of  $O_0$  and  $O_1$  relative to the total area  $O_{Tot}$   
128 ( $O_{Tot} = O_0 + O_1$ ) of the oxygen signals, i.e.,  $O_0/O_{Tot}$  and  $O_1/O_{Tot}$ , as a function of the  $O_2/Ar$  ratio.  
129 The plot shows an increase in the relative areas  $O_0/O_{Tot}$  for all  $O_2/Ar$  sputtering gas ratios. The  
130 increase in the fully supplemented oxygen,  $O_0$ , was expected, as the availability of oxygen in the  
131 gas resulted in its incorporation in the growing film when the oxygen partial pressure of the  
132 sputtering gas was increased. Meanwhile, the relative area  $O_1/O_{Tot}$  decreases, which results from  
133 a reduction in  $VO$ , as there is more oxygen available for film growth. At 70 %  $O_2/Ar$ , the  $O_0/O_{Tot}$   
134 ratio shows the largest increase due to the largest reduction in  $O_1/O_{Tot}$ , which is the signal related  
135 to  $VO$ . Thus, all films contain  $VO$  with a related signal that decreases as the amount of ambient  
136 oxygen increases.

137 Figure 4 a-d shows the SEM micrograph of the ZnO thin films grown at different  $O_2/Ar$   
138 ratios. The films have a grain morphology with different shapes and sizes. The averaged grain  
139 size, as estimated using ImageJ software tools, was 117.81 nm, 118.15 nm, 127.18 nm and  
140 146.37 nm for the films grow at 20 %, 30 %, 50 % and 70 % respectively. The increase in grain  
141 size with increasing  $O_2/Ar$  ratio can be attributed to the amount of oxygen available to react with  
142 the zinc atoms.

143 The X-ray diffractograms of the ZnO films are shown in Figure 5. All the films exhibit only  
144 one diffraction peak for the (0002) plane, characteristic of a wurtzite structure. This result  
145 indicate that oriented ZnO films can be grown in the wurtzite phase and without secondary  
146 phases by reactive sputtering with an O<sub>2</sub>/Ar ratio as low as 20 % within the instrumental  
147 resolution. The (0002) preferred orientation of the ZnO thin films grown on the SiO<sub>2</sub> substrate is  
148 due to the self-texturing phenomenon [33].

149 The (0002) diffraction angle deviates from the ZnO bulk value of 34.44° [33]. This shift  
150 towards higher angles indicates a reduction in the interplanar distance d as well as a reduction in  
151 the lattice parameter c as the O<sub>2</sub>/Ar ratio increases. Figure 6 shows the variation in the lattice  
152 parameter c with the O<sub>2</sub>/Ar ratio. For the films grown under 20 %, 30 % and 50 % ratios, the  
153 lattice parameter c shows values above bulk (5.206 Å), while c is slightly smaller for the film  
154 grown under a ratio of 70 %.

155 The smaller lattice parameter c in the films grown at 70 % O<sub>2</sub>/Ar can be explained by an  
156 increase in ion bombardment of the growing film as the amount of oxygen increases. Ion  
157 bombardment by energetic oxygen species provides forward momentum to the atoms in the  
158 growing film [34]. This process produces densification and, if tuned correctly, will shift the  
159 lattice parameter by diffusing atoms from a non-equilibrium position to an equilibrium one.  
160 Meanwhile, excessive ion bombardment will produce the contrary effect, causing damage and  
161 even erosion from the substrate. For the deposition conditions used in our experiments, the  
162 plasma gas pressure and target-to-substrate distance, were sufficiently high to prevent excessive  
163 damage while shifting the c lattice parameter toward the equilibrium value. Figure 6 also shows  
164 the crystallite size, as calculated with Scherrer's equation. The crystallite size increases from  
165 7.383 nm for 20 % to approximately 12.041 nm for samples deposited at larger O<sub>2</sub>/Ar ratios.

166 The smaller crystallite size produced at 20 % O<sub>2</sub>/Ar confirms that the amount of oxygen  
167 available to the growing film was limited, resulting in a growth process that was controlled by  
168 the kinetics of the concentration deficiency of the oxygen reactant. At higher ratios, crystallite  
169 growth was controlled by the limited mobility characteristic of the sputtering process at room  
170 temperature.

171 Additional information about the phase structure of the film can be obtained from Raman  
172 scattering due to its sensitivity to changes in the microstructure of the material, facilitating the  
173 analysis of the crystal quality. Figure 7a shows the Raman spectra with the E<sub>2</sub>(low) and E<sub>2</sub>(high)  
174 phonon modes, which are characteristic of the wurtzite structure. The low-frequency E<sub>2</sub> mode is  
175 associated with the vibrations of the zinc sublattice, while the high-frequency E<sub>2</sub> mode is  
176 associated with the oxygen sublattice [25]. The intensity of the Raman peaks can be affected by  
177 the presence of structural defects, disorder in the films and/or misorientation of the (0002) planes  
178 [24]. Thus, a broad and weak E<sub>2</sub>(low) peak is due disorder and structural defects that makes the  
179 films discontinuous and to point defects present in the films. In addition, the Raman spectra  
180 show a band in the range 2800-3000 cm<sup>-1</sup> in all the films (Figure 7b). This band has previously  
181 been assigned to the presence of hydroxyl groups (OH) [36].

182 Defects with unpaired electrons were studied by EPR at room temperature. Figure 8 shows  
183 the EPR spectra for the ZnO thin films grown at various O<sub>2</sub>/Ar ratios. All the samples show a  
184 low-field EPR signal at a resonance field of approximately 336.4 mT, corresponding to a g-factor  
185 of 2.00, while the film grown at 20 % O<sub>2</sub>/Ar shows an additional signal at approximately 343.2  
186 mT with a g-factor of 1.96, indicating that there are two types of paramagnetic centers.

187 A recent study of paramagnetic centers in thin dioxide nanocrystals [37] has shown that  
188 exposing the nanocrystals to water vapor increases the intensity of the EPR signal with g-factor

189 of 2.00, and assigned the signal to OH radicals on their surface. It was proposed that the OH  
190 groups arise from the dissociation of water molecules on VO sites at the surface of the films [38].

191 Based on our results from Raman spectroscopy and the cited reports, the EPR signal with  
192 gfactor of 2.00 is attributed to OH groups on the surface of the films.

193 The signal with a g-factor around 1.96 has been assigned in the literature to VZn [13], Zni  
194 [39] and VO [11]. This signal is only observed in the film grown at 20 % O<sub>2</sub>/Ar and is very  
195 weak. At 20 % O<sub>2</sub>/Ar ratio, a low concentration of VZn is expected due to its high formation  
196 energy relative to Vo in an oxygen-deficient environment [40,41], thus, it is unlikely that the  
197 signal at 1.96 arises from this defect. For Zni in ZnO, its presence is revealed by high-resolution  
198 XPS spectra in the Zn 2p region where it exhibits shoulder-like features at 1024.9 and 1047.11  
199 [42]. In this work, the high-resolution spectrum of the Zn 2p (not shown) reveals that the peaks  
200 are symmetric. Also, interstitial zinc is a high mobility species that is favorable to move to a  
201 lattice position and it is found to occur exclusively in the 2+ charge state in n-type ZnO [40].  
202 Therefore, the possibility that Zni is the origin of the EPR signal at 1.96 is discarded.

203 Given that the 20 % O<sub>2</sub>/Ar film has the largest amount of oxygen vacancies, the observed  
204 signal may correspond to a singly ionized charged state of the oxygen vacancy. Oxygen  
205 vacancies can exist in three charge states; the neutral VO, the singly ionized VO<sup>+</sup> and the doubly  
206 ionized state VO<sup>2+</sup>, where the singly ionized VO<sup>+</sup> is the state that produces a paramagnetic  
207 signal in EPR [40]. If the EPR signal is associated with VO<sup>+</sup>, then the fact that is weak and  
208 completely disappears for samples with higher O<sub>2</sub>/Ar ratios can be explained by its low thermal  
209 stability.

210 From first principle calculations performed by Janotti et. al. [40], it was shown that the VO  
211 and VO<sub>2+</sub> charge states are thermodynamically more stable than VO<sup>+</sup>. The energy of the singly  
212 charged oxygen vacancy is always higher than either VO or VO<sub>2+</sub>. This explains why we  
213 observe a very weak EPR signal, and only in the sample with the largest amount of oxygen  
214 vacancies and smallest crystallite size. In the samples with higher O<sub>2</sub>/Ar ratios, the crystallite  
215 size increases, the number of oxygen vacancies decreases, therefore, there is a lower probability  
216 of forming VO<sup>+</sup>. For these samples, the 1.96 EPR signal either disappears or falls below the  
217 detection limits of the instrument.

218 The interaction between the ZnO crystal lattice and the paramagnetic vacancies is another  
219 factor that affects the strength of the EPR signal. For example, recent work on the thermal  
220 stability of the spin centers in SnO<sub>2</sub> [8] has shown that for a constant concentration of spin  
221 centers, as the temperature increases the amplitude of the signal decreases while its width  
222 increases. The signal width is inversely proportional to the lifetime of the spin-excited state,  
223 according to the uncertainty principle. Thus, the lifetime of the spin excited states is highly  
224 susceptible to the temperature-induced phonon vibrations. Since the measurements in this work  
225 were recorded at room temperature, the shortening of the spin excited state lifetime due to the  
226 spin-lattice relaxation will reduce the EPR signal amplitude. Thus, our results are consistent with  
227 the VO<sup>+</sup> located at the crystallite lattice rather than the surface of the films.

228 **4. Conclusions**

229 In order to investigate the effect of the O<sub>2</sub>/Ar ratio in the sputtering gas on the composition,  
230 crystallinity, and the formation of surface active sites on ZnO thin films grown by reactive  
231 magnetron sputtering, the O<sub>2</sub>/Ar ratio was changed from 20 % to 70 %. In terms of structure, the  
232 films exhibit a wurtzite phase, as shown by XRD and Raman spectra, with increasing crystallite

233 size as the oxygen partial pressure increases. XPS results show that the film grown at 20 %  
234 O<sub>2</sub>/Ar ratio has the largest number of oxygen vacancies, V<sub>O</sub>, and that the number of vacancies  
235 decreases as the O<sub>2</sub>/Ar ratio increases.

236 Vibrational modes associated to hydroxide, OH, bonds are observed in the Raman spectra of  
237 all samples. The presence of strong EPR signal, with a g-factor of 2.00, in all the samples is  
238 consistent with the formation of hydroxyl groups on the surface of the films, which act as  
239 paramagnetic centers. A weak EPR signal, with a g-factor of 1.96, only appears in the film  
240 grown at 20 % O<sub>2</sub>/Ar ratio and, after eliminating other possible sources, assigned to VO<sup>+</sup>. This  
241 assignment is justified because the signal only appears in the sample with the largest amount of  
242 oxygen vacancies, VO, and thus, the highest probability of containing singly ionized point  
243 defects. These results are consistent with the VO<sup>+</sup> located at the crystallite lattice rather than the  
244 surface of the films. For the films deposited with higher O<sub>2</sub>/Ar ratios, the 1.96 EPR signal either  
245 disappears or falls below the detection limits of the instrument.

246 Since the paramagnetic centers are reactive as result of their unpaired electrons, they are of  
247 great interest as active sites for gas sensing applications. Therefore, it is expected that the  
248 transduction properties of ZnO films grown under different oxygen deficient conditions, and  
249 consequently different number of paramagnetic centers acting as active sites, can be tuned for  
250 their use as gas sensors.

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262 None.

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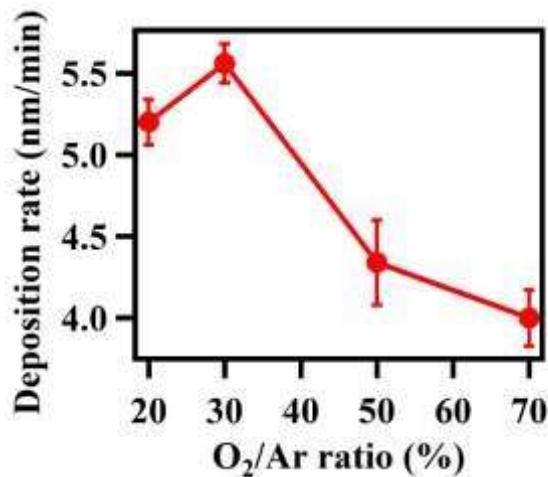
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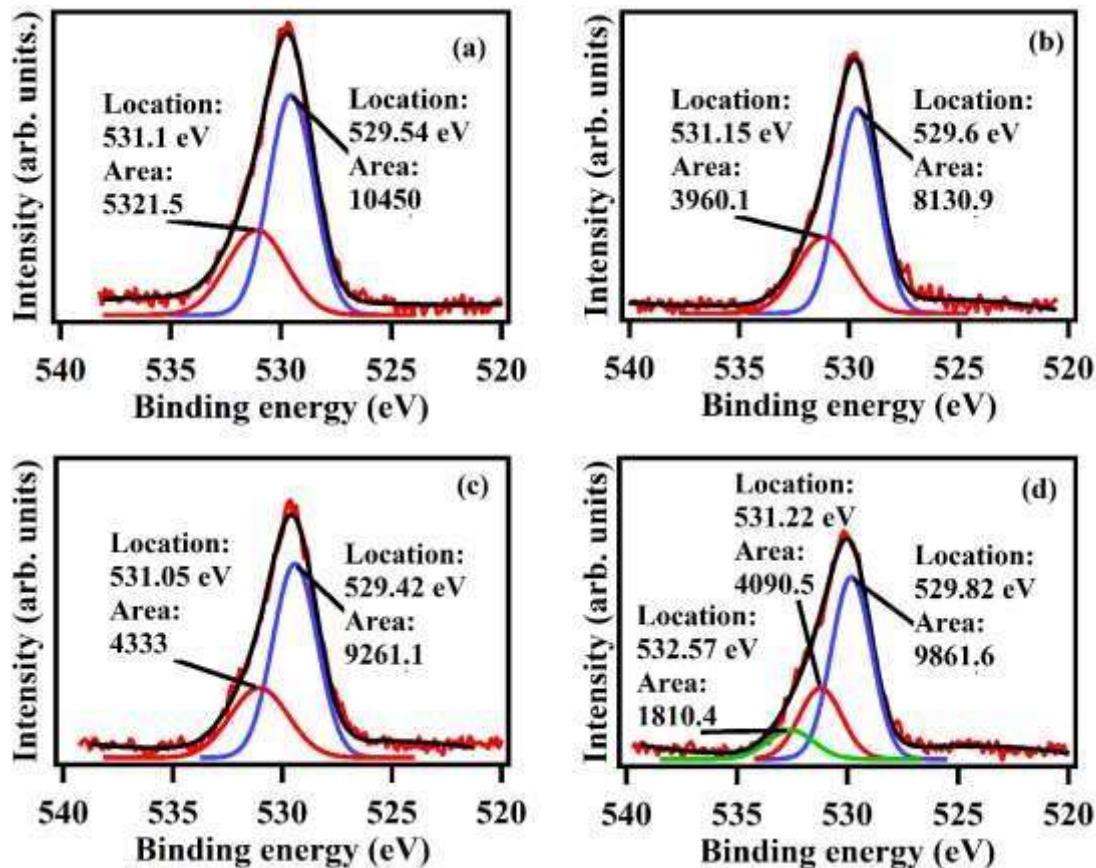
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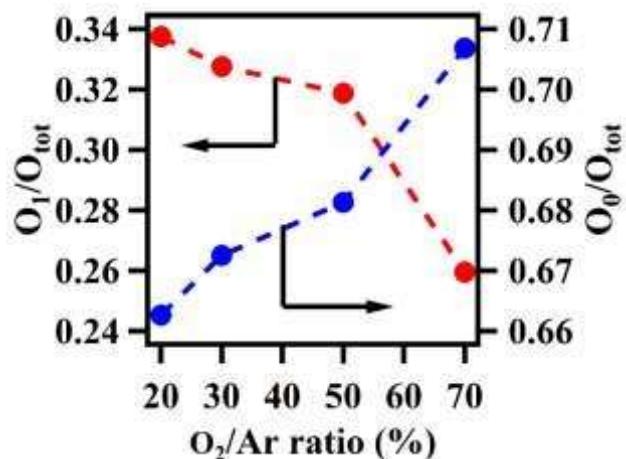


391

392 **Fig. 1.** Deposition rate of ZnO thin films as a function of the oxygen to argon ratio.

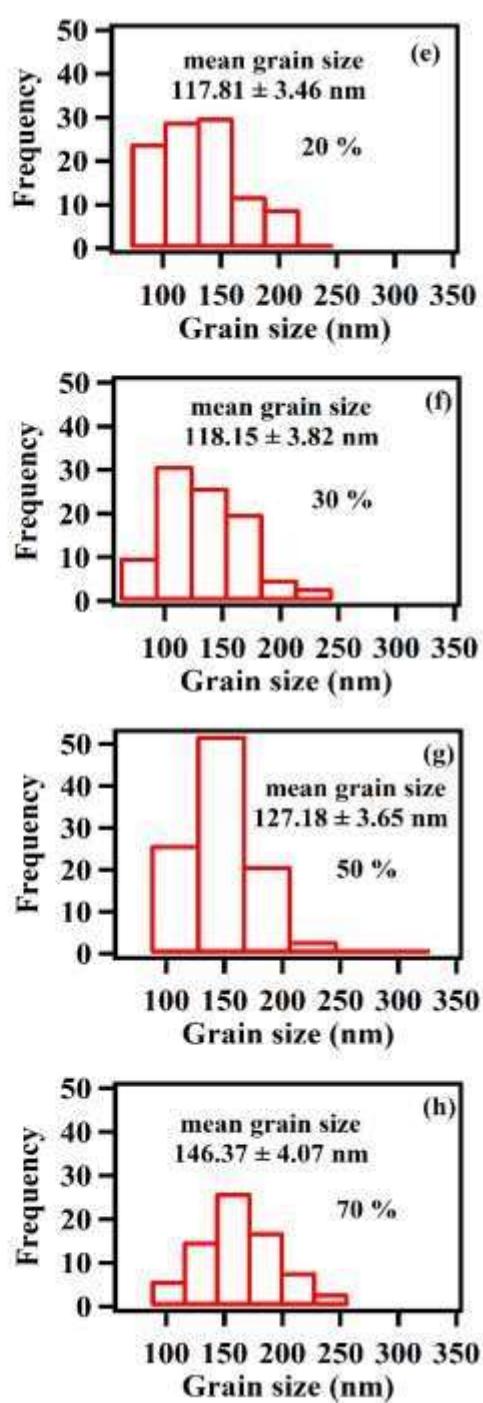
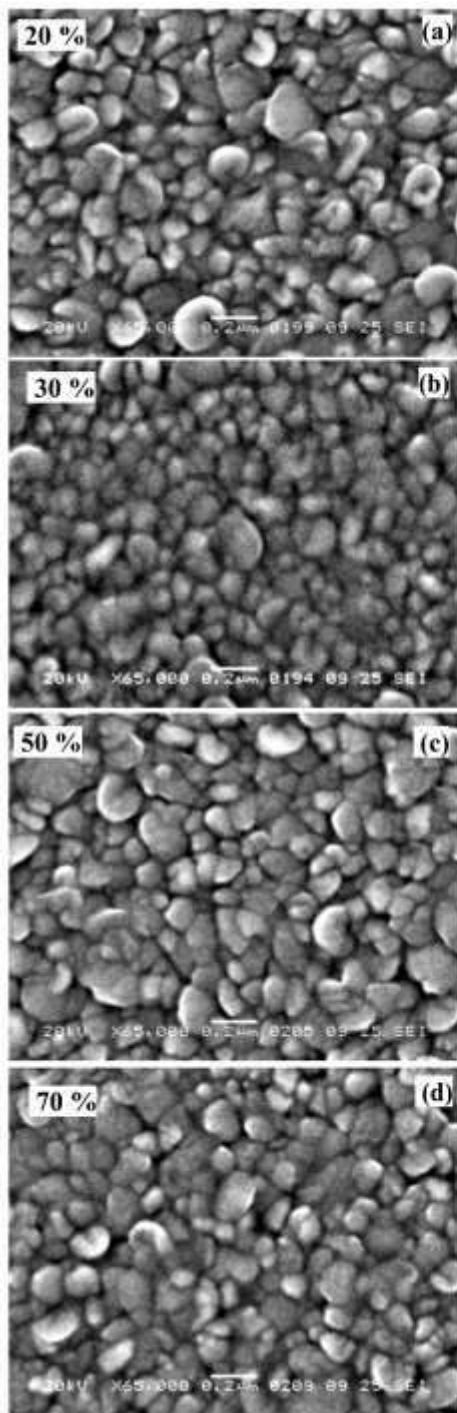
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394 **Fig. 2.** High-resolution scan of the O 1s peak for ZnO thin films grown under O<sub>2</sub>/Ar ratios of (a) 395 20 %, (b) 30 %, (c) 50 % and (d) 70 %.



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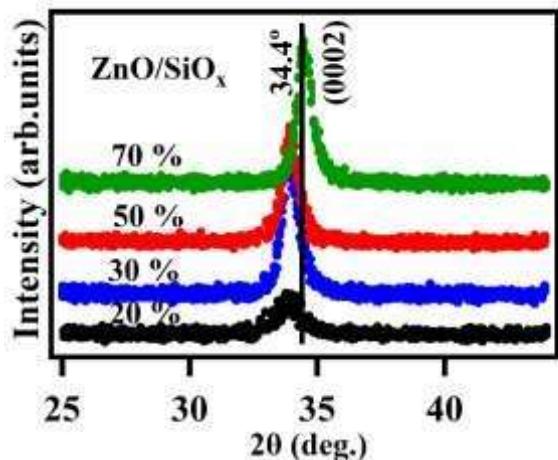
398 **Fig. 3.** Comparison between the O<sub>0</sub>/O<sub>Tot</sub> area ratio and O<sub>1</sub>/O<sub>Tot</sub> ratios. The dashed lines are  
399 provided as visual aids.



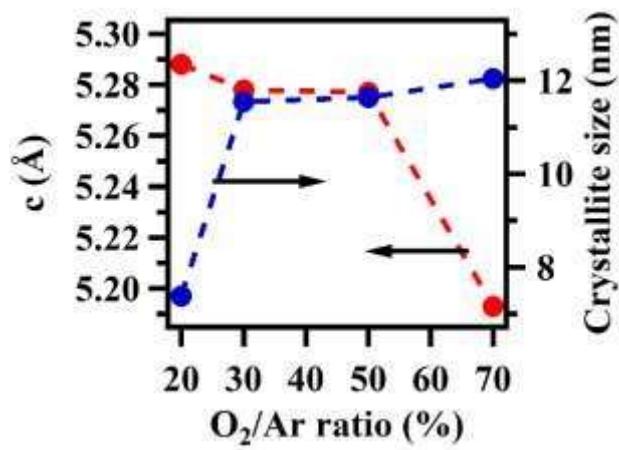
399

400 **Fig. 4.** (a-d) SEM micrographs for ZnO/SiO<sub>x</sub> thin films grown under 20 %, 30 %, 50 % and 70  
 401 % O<sub>2</sub>/Ar ratios at T<sub>sub</sub> = 25 °C, (e-f) grain size distribution.

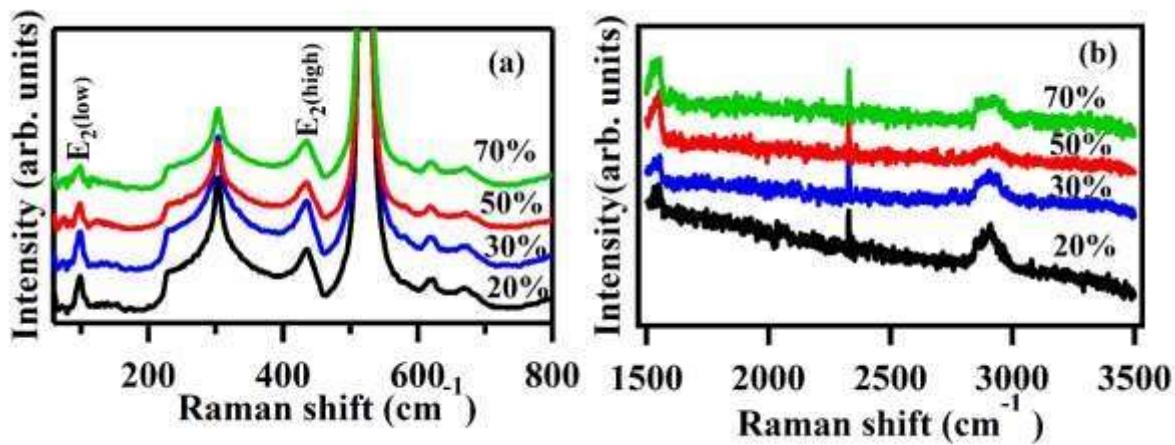
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404 **Fig. 5.** X-ray diffraction patterns for  $\text{ZnO}/\text{SiO}_x$  thin films grown under 20 %, 30 %, 50 % and 70  
 405 %  $\text{O}_2/\text{Ar}$  ratios at  $T_{\text{sub}} = 25^\circ\text{C}$ .

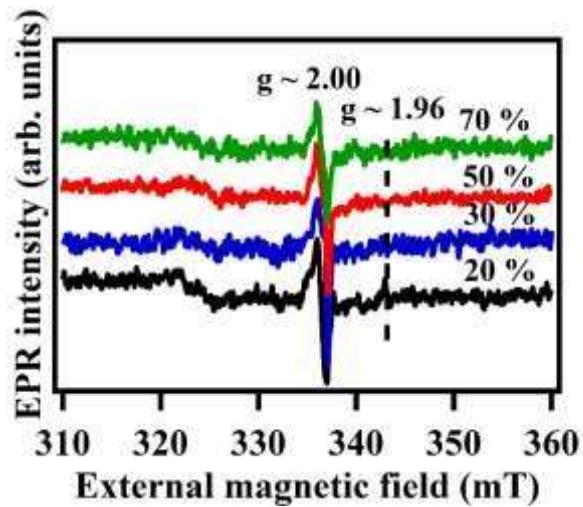


407 **Fig. 6.** Lattice parameter  $c$  and crystallite size as a function of the  $\text{O}_2/\text{Ar}$  ratio.



408

409 **Fig. 7.** (a) Raman spectra of ZnO thin films grown under O<sub>2</sub>/Ar ratios of 20 %, 30 %, 50 % and  
410 70 %.



411

412 **Fig. 8.** Room-temperature EPR spectra for ZnO thin films grown at O<sub>2</sub>/Ar ratios of 20 %, 30 %,  
413 50 % and 70 % in the sputtering gas.

414

416 **Table 1.**

417 Deposition parameters for undoped ZnO thin films grown by reactive magnetron sputtering.

O <sub>2</sub> /Ar ratio (%)	Oxygen flow (SCCM)	Argon flow (SCCM)	Power (W)	Dep. Pressure (Pa)	T <sub>sub</sub> °C	Deposition rate (nm/min)
20	8	32	40	1.33	25	5.20 ± 0.14
30	12	28	40	1.33	25	5.56 ± 0.12
50	20	20	40	1.33	25	4.34 ± 0.26
70	20	8.5	40	1.33	25	4.00 ± 0.17

418