

1 Investigating Wet Chemical Oxidation Methods to Form SiO₂ 2 Interlayers for Self-Aligned Pt-HfO₂-Si Gate Stacks 3

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12 **Abstract:**

13 Self-aligned metal-oxide-semiconductor (MOS) capacitors are studied with several low
14 temperature, wet chemical silicon dioxide (SiO₂) interlayers to understand their impact on
15 electrical performance. Self-aligned MOS capacitors are fabricated with a bottom-up
16 patterning technique that uses a poly(methyl methacrylate) brush and dopant-selective
17 KOH etch combined with area-selective atomic layer deposition (AS-ALD) of hafnium
18 dioxide (HfO₂) and Pt. The wet chemical pre-treatments used to form the SiO₂ interlayer
19 include HF-last, 80 °C H₂O, and SC-2. Capacitance-voltage measurements of these area-
20 selective capacitors exhibit a HfO₂ dielectric constant of ~19, irrespective of pre-treatment.
21 After a forming gas anneal, the average interface state density decreased between 1.8 and
22 7.5 times. The minimum observed D_{it} is 1 x 10¹¹ eV⁻¹cm⁻² for the HF-last treatment. X-ray
23 photoelectron spectroscopy shows an increase in stoichiometric SiO₂ in the interfacial layer
24 after the anneal. Additional carbon is also observed; however, comparison with capacitors
25 fabricated in a non-selective process reveals minimal impact on performance.
26

1 I. INTRODUCTION

2 Alignment between the edge of a gate stack and the edge of the underlying doped
3 source-drain regions of the silicon (Si) channel is a critical issue for the fabrication of
4 high-performance transistors. Excess overlap results in large fringe capacitance and
5 reduced device speed while too much underlap can result in extra series resistance.^{1,2}
6 Achieving proper alignment within an integrated high-k/metal gate stack can require
7 complex integration schemes such as the replacement metal gate technique.³ Processing
8 and integration becomes even more challenging for gate-all-around transistors with either
9 vertical⁴ or lateral⁵ silicon nanowires, where numerous process steps are required to align
10 the gate stack over the channel (e.g., selectively etching a gap across the channel and
11 depositing a dummy gate for source/drain doping, then replacing the dummy gate with a
12 high-k gate stack). The ability to form self-aligned device structures, such as MOS
13 capacitors, would simplify fabrication of gate-all-around transistors and benefit a variety
14 of emerging device applications, including vertical nanowire transistors monolithically
15 integrated into the back end of line (BEOL)⁶ and flexible electronics that require lower
16 process temperatures and patterning techniques that are more scalable than conventional
17 photolithography.⁷

18 Atomic layer deposition (ALD) allows for low-temperature and area-selective
19 deposition of thin films closely aligned with patterns on the underlying substrate, largely
20 irrespective of geometry. The most common techniques for area-selective ALD (AS-
21 ALD) involve using self-assembled monolayers (SAMs)⁸⁻¹⁵ or other polymeric
22 materials¹⁶⁻²¹ to deactivate the surface by preventing the chemisorption of the ALD
23 precursors. These techniques typically require photolithography to apply the masking

1 material, either to pattern the surface modification layer^{13,16-18} or to pattern the deposition
2 of different materials that have intrinsic chemical differences.^{10,12,21,22}

3 Our previous work demonstrated a fabrication process that combines a bottom-up
4 patterning technique with AS-ALD to deposit hafnium dioxide (HfO₂) and platinum (Pt)
5 thin films based on the local carrier concentration of the underlying Si substrate,
6 ultimately forming self-aligned MOS capacitors.²³ The bottom-up patterning techniques
7 is a derivative of selective co-axial lithography via etching of surfaces (SCALES).^{24,25}
8 Patterning with SCALES begins with a poly(methyl methacrylate) (PMMA) brush grown
9 from a Si surface via atom-transfer radical polymerization. We selectively remove the
10 polymer film from the lightly doped Si regions by etching with an aqueous potassium
11 hydroxide (KOH) solution. The PMMA film remains attached to the heavily doped Si
12 regions which then serves as a mask for AS-ALD of HfO₂ and Pt. The resulting self-
13 aligned MOS capacitors yielded expected capacitance-voltage behavior.

14 A thin SiO₂ layer is often required to form a low defect density interlayer between
15 Si and high-k dielectrics,^{26,27} as well as to improve ALD nucleation of HfO₂.²⁸ To form
16 this interlayer, a high-temperature thermal oxidation technique is typically used.
17 However, high temperature thermal oxidation is not possible with the current SCALES
18 process because the polymer cannot withstand high process temperatures. Other chemical
19 oxidation methods have also been studied to improve ALD film nucleation and reduce
20 interface state density, including treatments such as hydrogen peroxide, standard cleans 1
21 and 2 (SC-1 and SC-2 from RCA clean), nitric acid and heated water (H₂O).^{28,29}

22 In this work, self-aligned (area-selective deposition) Pt-HfO₂-Si MOS capacitors
23 are compared with conventional (non-selective deposition) capacitors to investigate the

1 impact of a variety wet chemical processes (i.e., HF etch, 80 °C H₂O, and SC-2) for
2 forming the SiO₂ interlayer. Physical characterization methods (i.e., ellipsometric
3 spectroscopy and x-ray photoelectron spectroscopy) are used to understand the
4 relationship between the various SiO₂ interlayer formation techniques and the electrical
5 performance of the capacitors. Capacitance-voltage characteristics exhibit similar
6 performance between area-selective and non-selective capacitors, and average interface
7 state density is reduced to $1.9 \times 10^{11} \text{ eV}^{-1}\text{cm}^{-2}$ after a forming gas anneal (FGA). X-ray
8 photoelectron spectroscopy indicates an increase in the amount of stoichiometric SiO₂ in
9 the interfacial layer after the FGA. Additional carbon is also observed in the area-
10 selective interfacial layer after the FGA which does not significantly impact performance.

11 II. EXPERIMENTAL METHODS

12 A. *Non-selective capacitor fabrication*

13 For conventional “non-selective” capacitors, Si(100) with a p-type doping level of
14 $\sim 10^{18} \text{ cm}^{-3}$ was used. A modified RCA clean was first performed: 1 min in dilute SC-1 (5
15 DI H₂O:1 H₂O₂:0.25 NH₄OH) at 75 °C, 30 s HF etch, and 10 min in SC-2 (5 DI H₂O:1
16 H₂O₂:1 HCl) at 75 °C. The fabrication process for the area-selective capacitors requires a
17 less aggressive organic clean than the typical SC-1 treatment to minimize damage to the
18 PMMA mask. For consistency, a modified version of the typical RCA clean was used for
19 both the non-selective and area-selective capacitors. This clean was followed by an HF
20 etch (30 s in 1% HF) to remove the native oxide prior to formation of the SiO₂ interlayer.
21 Three different wet chemical oxidation techniques were investigated as pre-treatments to
22 form the thin SiO₂ interlayer: HF-last treatment (30 s in 1% HF followed by DI H₂O
23 rinse), hot water (30 s in 1% HF then 10 min in ultra-pure DI H₂O at 80 °C), and SC-2

1 treatment (30 s in 1% HF then 10 min in 5 DI H₂O:1 H₂O₂:1 HCl at 75 °C). These
2 chemical oxides are compared with a high temperature rapid thermal processing (RTP)
3 oxidation (30 s in 1% HF, 3 min in RTP furnace flowing 5 SCCM O₂ at 900 °C, 1% HF
4 etch to reduce thickness).

5 Immediately following oxidation, the samples were transferred to the ALD
6 chamber (Cambridge Fiji ALD system with argon as a carrier/purging gas and a total
7 chamber pressure of 0.45 Torr) to deposit ~6 nm of thermal HfO₂ at 200 °C using 55
8 cycles of tetrakis(dimethylamido)hafnium (TDMAHf) and H₂O. The exposure times for
9 TDMAHf and H₂O were 0.25 and 0.06 s, respectively, followed by purge times of 20 and
10 15 s. Electron-beam evaporation was used to deposit 75 nm of Pt through a shadow mask,
11 forming approximately 85 µm x 85 µm square MOS capacitors. Figure 1a shows the
12 device structure. The final process step was a forming gas anneal (FGA, 5 SCCM, 96%
13 N₂ / 4% H₂) for 30 min at 400 °C, and results are shown for annealed and unannealed
14 capacitors.
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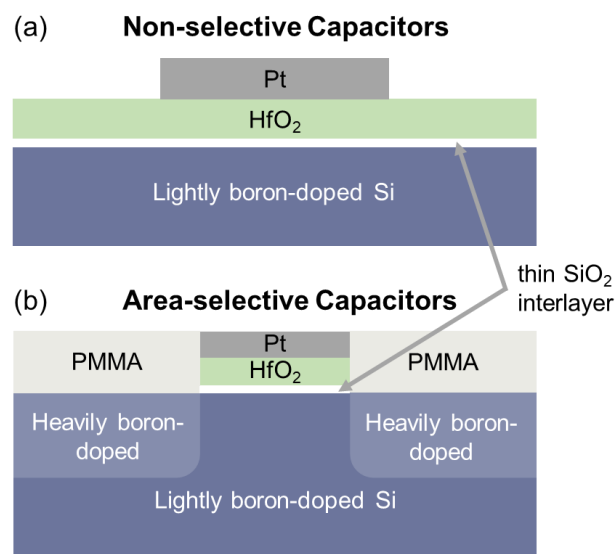


Fig. 1. Schematic diagrams representing the cross-sectional device structure for non-selective capacitors (a) and area-selective capacitors (b).

B. Area-selective capacitor fabrication

To fabricate the self-aligned “area-selective” capacitors, p-type Si(100) was patterned with a thick SiO₂ mask and then doped with boron via solid state diffusion (2 h at 1050 °C, B₂O₃ source) to fabricate heavily boron-doped ($\sim 10^{20}$ cm⁻³) substrates with lightly boron-doped ($\sim 10^{18}$ cm⁻³) approximately 100 μm x 100 μm square regions and one additional 4 mm x 12 mm area adjacent to the capacitors for physical characterization. Given the junction depth of about 1 μm, we expect boron to diffuse laterally a similar amount. The final device dimensions are 96 μm x 96 μm. This doping profile enables the use of SCALES and AS-ALD to form the self-aligned structures. With the SCALES process, a poly(methyl methacrylate) (PMMA) brush anchored to the Si surface was synthesized²⁴ across the entire substrate and selectively removed from the lightly-doped regions via cycles of exposure to potassium hydroxide (KOH) solution (1 mL 45 wt% KOH:3 mL IPA:8.5 mL DI H₂O) to etch the Si and acetone to solvate the PMMA. The substrate was then cleaned with the same modified RCA clean described previously, followed by 1% HF etch and thin SiO₂ oxidation using the same oxidation treatments described in the non-selective capacitor methods. However, the thermal oxidation requires very high temperature which degrades the PMMA film used for patterning, so only the chemical oxide pre-treatments were used to fabricate the area-selective capacitors. After oxidation, samples were transferred to the ALD chamber for selective deposition of HfO₂ and Pt on the exposed lightly doped Si. HfO₂ was deposited with 55 cycles of thermal HfO₂ ALD at 200 °C using the same recipe as the non-selective

capacitors. Following the HfO₂ deposition, Pt was deposited with 300 cycles of thermal Pt ALD at 300 °C using (trimethyl)methylcyclopentadienylplatinum(IV) (MeCpPtMe₃) and O₂. The exposure times for MeCpPtMe₃ and O₂ were 1 and 10 s, respectively, followed by purge times of 10 s. This fabrication process is described in detail in previous work.^{23,24} Figure 1b shows the resulting device structure. The final process step was a FGA (5 SCCM, 96% N₂ / 4% H₂) for 30 min at 400 °C, and results are shown for annealed and unannealed capacitors.

C. *Electrical Characterization*

Capacitance-voltage (C-V) and conductance-voltage (G-V) measurements were conducted with a Keithley 4200-SCS semiconductor analyzer and Cascade Microtech probe station. Capacitance and conductance were measured at 100 kHz with a voltage sweep from 2 V to -2 V. Capacitance and conductance data was normalized to device area. The conductance method was used to extract interface state density (D_{it}), assuming a small standard deviation in the semiconductor surface potential, using the equation:³⁰

$$D_{it} \approx \frac{2.5}{q} \left(\frac{G_p}{\omega} \right)_{max} \quad (1)$$

where q is electronic charge, ω is angular frequency, and G_p is the conductance peak after extracting and correcting for series resistance using the relationships defined by Vogel et al.³¹ The measured capacitance (C_m) and conductance (G_m) were corrected using the following relationships:

$$C_c = \frac{C_m}{(1 - G_m R_s)^2 + \omega^2 C_m^2 R_s^2} \quad (2)$$

$$G_c = \frac{\omega^2 C_m C_c R_s - G_m}{G_m R_s - 1} \quad (3)$$

1 where C_c is corrected capacitance, G_c is corrected conductance and R_s is series resistance.
2 Series resistance was extracted by numerically iterating the R_s value in the corrected
3 conductance equation until G_c is minimized throughout accumulation (or approximately
4 equal to tunneling conductance). After G_c is obtained for 5 capacitors from each
5 interlayer type, the average D_{it} value is plotted with error bars indicating the standard
6 deviations.

7 **D. Physical Characterization**

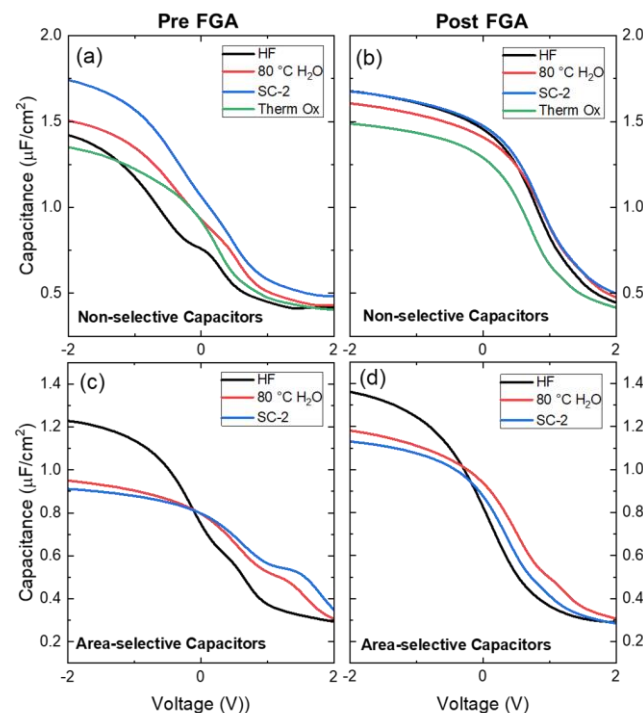
8 Spectroscopic ellipsometry was used to measure film thickness. Spectroscopic
9 ellipsometry was performed with a Woollam M-2000 ellipsometer, and CompleteEase
10 software (J.A. Woollam) was used for all spectra fitting for the SiO_2 and HfO_2 films. X-
11 ray photoelectron spectroscopy (XPS) was used to physically characterize the
12 composition of the $\text{SiO}_2/\text{HfO}_2$ thin films. XPS measurements were performed with a
13 Thermo Scientific K-Alpha X-ray photoelectron spectrometer system with a
14 monochromatic Al $K\alpha$ source using a spot size of 400 μm and pass energy of 50 eV. The
15 Si(2p) peak at 99.4 eV corresponding to elemental Si bonds from the substrate was used
16 as a reference peak, and the spectra were shifted to correct the effects of experimental
17 charging. XPS spectra from the capacitors did not detect the SiO_2 interlayer underneath
18 the HfO_2 layer and Pt electrode due to the limited penetration depth of XPS ($\sim 5\text{-}10\text{ nm}$).³²
19 To overcome this, separate samples with a thinner HfO_2 film and without the Pt film were
20 fabricated for XPS measurements. The substrates were prepared in the same way as the
21 capacitor samples with only 30 cycles of HfO_2 ALD and no Pt deposition, and XPS
22 spectra were obtained immediately after processing. Additionally, the spot size for both
23 the ellipsometric and XPS measurements is larger than the area-selective capacitor device

size, so the measurements were performed on the larger patterned area adjacent to the capacitor devices. We assume the film thickness to be relatively uniform across the growth regions of the patterned substrate.

III. RESULTS AND DISCUSSION

Figure 2 shows representative curves of C-V behavior for non-selective and area-selective capacitors before and after the FGA. The C-V curves exhibit expected behavior for MOS capacitors. A difference in maximum capacitance measured for each pre-treatment is noted in addition to presence of interface states. Small variations in SiO₂ thickness for different oxidation methods are likely responsible for the differences in the measured maximum capacitances. Ellipsometry measurements during fabrication indicate that the HfO₂ film thickness for all of the non-selective capacitors was 6.2 nm with the following SiO₂ interlayer thicknesses from each pre-treatment: 0.7 nm from HF, 1.1 nm from 80 °C H₂O, 1 nm from SC-2, and 1.4 nm from thermal oxidation. Similarly for all of the area-selective capacitors, the HfO₂ film was 6.1 nm thick with slightly thicker SiO₂ interlayer thicknesses: 1.0 nm from HF, 1.5 nm from 80 °C H₂O, and 1.5 nm from SC-2. Ellipsometry measurements show a slightly thicker SiO₂ layer for the area-selective capacitors, corresponding to a 0.3-0.5 nm difference in thickness. The differences in thickness between the selective and non-selective cases may be due to a difference in surface roughness from the KOH etching, which can result in overestimation of film thickness for ellipsometry.³³ And the extra process steps for the area-selective capacitors can cause changes in surface properties that impact oxidation.

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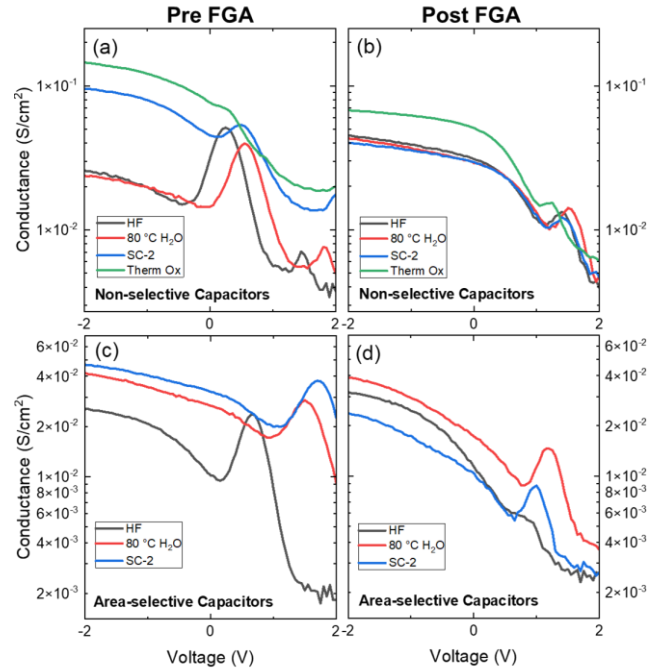


2 Fig. 2. Capacitance-voltage characteristics of non-selective (a and b) and area-selective (c
 3 and d) Pt-HfO₂-Si MOS capacitors before (a and c) and after (b and d) a FGA. Each
 4 graph shows a representative C-V curve of one capacitor with each SiO₂ interlayer
 5 treatment: HF, 80 °C H₂O, SC-2, and thermal oxide (non-selective only).

6

7 Both sample sets show improved performance after the FGA as indicated by the
 8 reduced stretch out of the curves. The slight differences in maximum capacitance after
 9 the FGA can likely be attributed to a combination of factors including formation of Hf
 10 silicate at the interface,³⁴ increased dielectric constant due to polycrystallization,³⁵ and
 11 diffusion of carbon residue to the surface (*vide infra*). Combining the measured SiO₂ and
 12 HfO₂ thicknesses with maximum capacitances between 1.3 and 1.7 $\mu\text{F}/\text{cm}^2$ yields an
 13 estimate of a relative dielectric constant of ~ 20 for the non-selective HfO₂ films, which is
 14 expected for ALD HfO₂.³⁶ Similarly for the area-selective HfO₂ films with maximum

1 capacitances measured between 0.9 and 1.2 $\mu\text{F}/\text{cm}^2$, a relative dielectric constant of ~ 19
2 is estimated, which is very similar to that of the non-selective capacitors.
3



4 Fig. 3. Conductance-voltage behavior of non-selective (a and b) and area-selective (c and
5 d) Pt-HfO₂-Si MOS capacitors before (a and c) and after (b and d) a FGA. Each graph
6 shows a representative G-V curve of one capacitor with each SiO₂ interlayer treatment:
7 HF, 80 °C H₂O, SC-2, and thermal oxide (non-selective only).

8
9 The humps observed in the pre-FGA capacitance curves indicate significant
10 interface state density (D_{it}), so conductance measurements are used to better investigate
11 D_{it} . Figure 3 shows the voltage dependence of measured conductance (G_m) for a device
12 with each oxidation technique for both the non-selective and area-selective capacitors.
13 The peaks seen in the G_m curves are attributed to interface states. D_{it} is extracted for 5
14 capacitors for each interlayer type before and after FGA as shown in Fig. 4. The interface

1 state density is observed to decrease significantly with the FGA. The average D_{it}
2 decreases from $8.5 \times 10^{11} \text{ eV}^{-1}\text{cm}^{-2}$ to $1.9 \times 10^{11} \text{ eV}^{-1}\text{cm}^{-2}$ for the non-selective capacitors
3 and from $5.7 \times 10^{11} \text{ eV}^{-1}\text{cm}^{-2}$ to $1.9 \times 10^{11} \text{ eV}^{-1}\text{cm}^{-2}$ for the area-selective capacitors.
4 These post FGA values are similar to what is typically observed for HfO_2/Si gate stacks
5 ($\sim 10^{11} \text{ eV}^{-1}\text{cm}^{-2}$).^{37,38} The D_{it} for the wet chemical SiO_2 interlayers is similar to that of the
6 thermal oxide, and there is no significant difference between the non-selective and area-
7 selective samples. The results show that the area-selective process does not have a
8 negative impact on electrical performance relative to the non-selective process, and using
9 any of the wet chemical interlayer techniques results in formation of an interface that
10 functions similarly to the thermal oxide interlayer. However, the standard deviations of
11 the D_{it} are larger for the area-selective processes as compared to the non-selective
12 process. The extra processing steps for the area-selective capacitors (i.e., polymer
13 synthesis and KOH etch) likely roughen the surface and leave carbon residue unevenly
14 distributed across the Si surface. This can result in more extrinsic defects and impurities
15 in some regions of the substrate, leading to more variability in electrical performance.
16

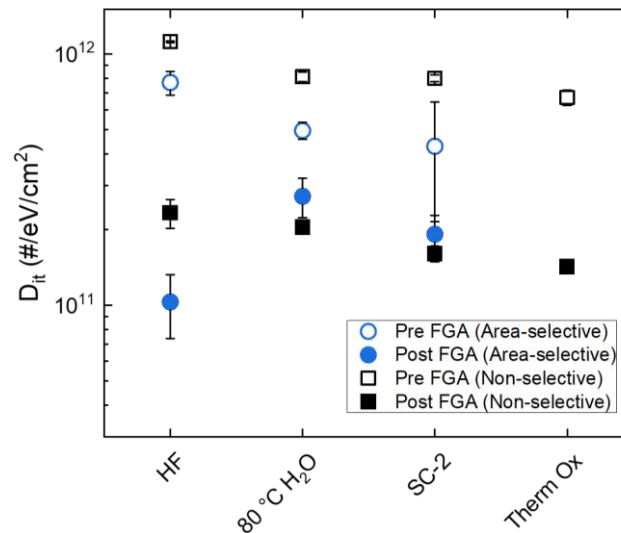


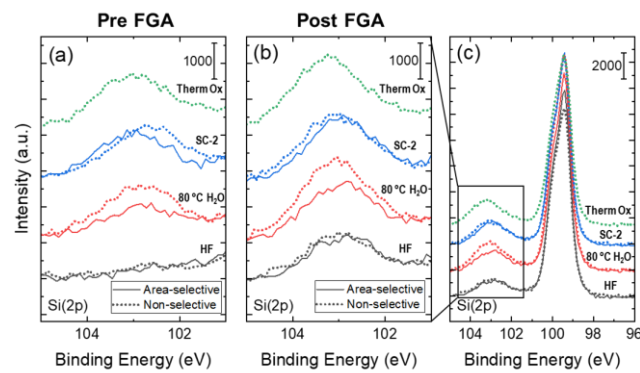
Fig. 4. Estimated D_{it} values for non-selective (black) and area-selective (blue) Pt-HfO₂-Si MOS capacitors before and after the FGA.

XPS is used to physically characterize the oxide-semiconductor interface of the capacitor structure to understand the impact of the processing on the composition of the interlayer. Figure 5 shows XPS spectra of the Si(2p) region obtained from HfO₂/SiO₂/Si substrates that were treated with the same initial processing steps as the capacitors (i.e., modified RCA clean, interlayer oxidation, HfO₂ ALD, and FGA for the non-selective set; PMMA, KOH etch, modified RCA clean, interlayer oxidation, HfO₂ ALD, and FGA for the area-selective set). All substrates show the expected elemental Si doublet peak near 99.4 eV (seen in Fig. 5c for substrates after FGA) due to the bulk Si substrate. The oxidized Si(2p) peak for stoichiometric SiO₂ would be expected near 103.5 eV (referenced to elemental Si at 99.4 eV).³⁹ Peaks representing lower oxidation states of Si (Si¹⁺, Si²⁺, Si³⁺) and Hf silicate compounds have binding energies between 99.4 eV and 103.5 eV.⁴⁰⁻⁴² With the exception of the pre-anneal HF-treated substrates, all samples have a small peak near 103.5 eV (seen in Fig. 5). These peaks are broader and slightly closer to the elemental Si peak than a stoichiometric SiO₂ peak would be, indicating they are likely a convoluted peak consisting of multiple overlapping peaks attributed to SiO₂, Si suboxides in multiple oxidation states (SiO_x), and Hf silicate compounds.

With the HF pre-treatment, no clear Si(2p) suboxide photoelectron peak is observed before the FGA (but a subtle left-side shoulder of the elemental Si(2p) peak allowed for fitting of a very small suboxide peak for comparison). This suggests very minimal formation of an interlayer during ALD. After the FGA, the appearance of an Si(2p) suboxide peak at 103.0 eV and 102.8 eV for the non-selective deposition substrate

1 and the area-selective deposition substrate, respectively, indicates formation of an
2 interfacial layer between the Si and HfO₂ film, which is typically seen with annealing of
3 HfO₂ films.^{43,44} Excess oxygen in the HfO₂ film in the form of hydroxyl groups can react
4 with Si at the interface to form an interlayer upon thermal treatment.⁴³ Oxygen impurity
5 in the forming gas is also a possibility, which could allow for diffusion of oxygen through
6 the HfO₂ layer to facilitate SiO₂ growth at the interface.⁴⁵

7



8 Fig. 5. Si(2p) XPS spectra of non-selective (dotted line) and area-selective (solid line)
9 HfO₂ films on Si with different SiO₂ interfacial layers before (a) and after (b) the FGA;
10 (a) and (b) show a narrower region to see the oxidized Si(2p) peaks in more detail; (c)
11 shows the full Si(2p) spectrum of all substrates after the FGA.

12

13 After the FGA, an increase in the peak area of the Si(2p) suboxide photoelectron
14 peak is observed for all interlayer types and most of the peaks blueshift. Figure 6a shows
15 the peak positions of the Si(2p) suboxide peak for each interlayer type before and after
16 annealing. Figure 6b shows the ratio of integrated intensity of the suboxide Si(2p) peak
17 normalized to the integrated intensity of the elemental Si(2p) peak before and after the
18 FGA for each interlayer type. In general, we see the Si(2p) suboxide peak shift to a
19 binding energy 0.2-0.3 eV higher after the FGA. The integrated intensity ratio of the Si

1 suboxide peak shows a 30-80% increase for the 80 °C H₂O treated substrates, 10-20%
2 increase for the SC-2 treated substrates, and 40% increase for the thermal oxide treated
3 substrate. This increased intensity and shift towards the binding energy of stoichiometric
4 SiO₂ (i.e., 103.5 eV) for most cases suggests formation of higher quality SiO₂ at the
5 interface after the FGA. The level of D_{it} depends on numerous factors, including surface
6 roughness, the stoichiometry and thickness of the interfacial SiO₂ layer, and presence of
7 hydrogen. The differences in the binding energy of the Si(2p) peak does not explain the
8 differences for the D_{it} as a function of interlayer type. However, we do observe a shift
9 post FGA that correlates to the improved electrical performance. Suboxide states of Si
10 induce strain and dangling bonds at the interface, which can trap charges and lead to
11 electronic interface defects.⁴⁶ The FGA leading to more stoichiometric SiO₂ at the
12 interface is therefore consistent with a reduced interface state density.

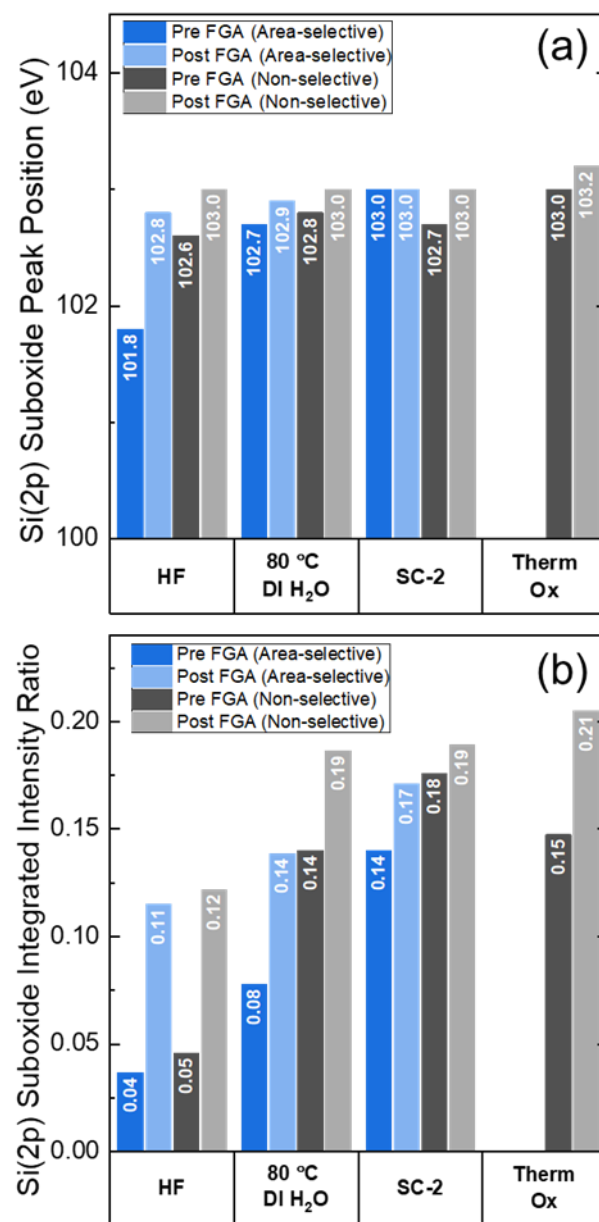
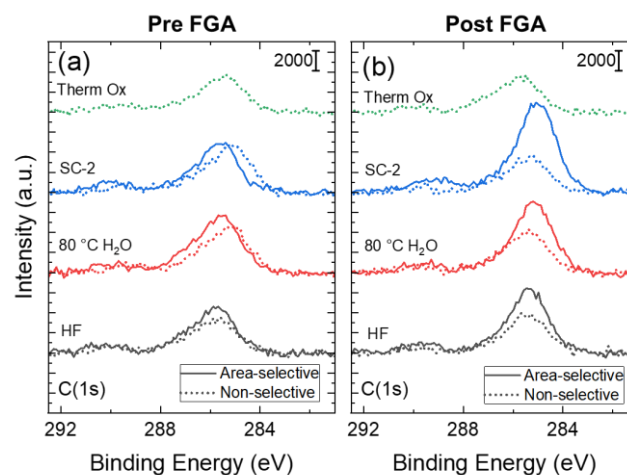


Fig. 6. XPS peak positions of the suboxide Si(2p) peak (a) and ratio of XPS integrated intensity of the suboxide Si(2p) peak to integrated intensity of elemental Si(2p) peak (b) before and after the FGA for area-selective deposition and non-selective deposition HfO₂/SiO₂/Si substrates treated with different SiO₂ interlayer formation techniques.

The Si(2p) suboxide peak from the SC-2 treated area-selective deposition substrate is the only one that does not shift position after the FGA. For the SC-2 pre-

1 treatment, the Si(2p) spectra from the non-selective deposition substrate indicate a Si
2 suboxide peak shift from 102.7 eV to 103.0 eV after annealing, but the position of the Si
3 suboxide peak from the area-selective deposition substrate remains unchanged at 103.0
4 eV. The integrated area ratio of the peak did increase, however, suggesting an increase in
5 the amount of interfacial SiO_x consistent with what we observe with the other substrates.

6



7 Fig. 7. C(1s) XPS spectra of non-selective (dotted line) and area-selective (solid line)
8 HfO₂ films on Si with different SiO₂ interfacial layers before (a) and after (b) the FGA.

9

10 XPS spectra in the C(1s) region for all substrates are shown in Fig. 7. The HfO₂
11 ALD precursor (TDMAHf) contains methyl carbon groups, so a small amount of carbon
12 is expected in the HfO₂ film in addition to adventitious carbon. Figure 6a shows very
13 similar spectra for all substrates before the FGA, with the small expected C(1s)
14 photoelectron peaks at 285 eV and 289 eV.⁴⁷ After annealing however, there is a notable
15 difference between the non-selective and area-selective capacitors. While the C(1s)
16 spectra from the non-selective capacitors show no change in carbon content after
17 annealing, the C(1s) spectra from the area-selective capacitors all show larger carbon

1 peaks. After the FGA, the atomic percentage of carbon ranges from 6-8% for the non-
2 selective substrates and from 9-12% for the area-selective substrates. This larger atomic
3 percentage of carbon in the area-selective substrates is likely due to carbon residue
4 leftover from the patterned PMMA diffusing up through the HfO₂ film or laterally across
5 the substrate. The average D_{it} of the area-selective and non-selective capacitors is similar,
6 so this extra carbon present on the surface and in the film does not lead to more
7 electrically active defects at the interface. However, the area-selective capacitors do
8 exhibit more variation in performance, indicated by larger standard deviations for D_{it}.
9 The polymer synthesis and KOH etch processing steps for the area-selective deposition
10 substrates can leave more extrinsic defects and impurities in some regions of the
11 substrate, leading to more variability in electrical performance. A more thorough cleaning
12 procedure after patterning the PMMA film should be investigated with future work to
13 minimize the excess carbon observed in the film to ensure more reliable performance
14 between devices.

16 IV. SUMMARY AND CONCLUSIONS

17 In summary, Pt-HfO₂-Si MOS capacitors are studied to compare self-aligned
18 area-selective structures with conventional non-selective devices. Various chemical
19 oxidation techniques, including HF-last, 80 °C H₂O, and SC-2 treatment, are used to form
20 an SiO₂ interfacial layer to compare with a high temperature thermal oxidation. The area-
21 selective capacitors perform as well as the non-selective capacitors, and all oxidation
22 treatments exhibit similar electrical performance, with interface state densities near 2 x
23 10¹¹ eV⁻¹cm⁻² after a FGA. XPS data for the HfO₂-Si interface indicates an increase in

1 SiO₂ in the interfacial layer after the FGA, which is consistent with the improved
2 interface state density. XPS data also shows presence of extra carbon after annealing the
3 area-selective samples, but this does not significantly impact performance.

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14 15 AUTHOR DECLARATIONS

16 **Conflicts of Interest (*required*)**

17 The authors have no conflicts to disclose.

18 DATA AVAILABILITY

19 The data that support the findings of this study are available from the corresponding
20 author upon reasonable request.

21 22 REFERENCES

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12 FIGURE CAPTIONS

13 Fig. 1. Schematic diagrams representing the cross-sectional device structure for non-
14 selective capacitors (a) and area-selective capacitors (b).

15
16 Fig. 2. Capacitance-voltage characteristics of non-selective (a and b) and area-selective (c
17 and d) Pt-HfO₂-Si MOS capacitors before (a and c) and after (b and d) a FGA. Each
18 graph shows a representative C-V curve of one capacitor with each SiO₂ interlayer
19 treatment: HF, 80 °C H₂O, SC-2, and thermal oxide (non-selective only).

20
21 Fig. 3. Conductance-voltage behavior of non-selective (a and b) and area-selective (c and
22 d) Pt-HfO₂-Si MOS capacitors before (a and c) and after (b and d) a FGA. Each graph
23 shows a representative G-V curve of one capacitor with each SiO₂ interlayer treatment:
24 HF, 80 °C H₂O, SC-2, and thermal oxide (non-selective only).

25
26 Fig. 4. Estimated D_{it} values for non-selective (black) and area-selective (blue) Pt-HfO₂-Si
27 MOS capacitors before and after the FGA.

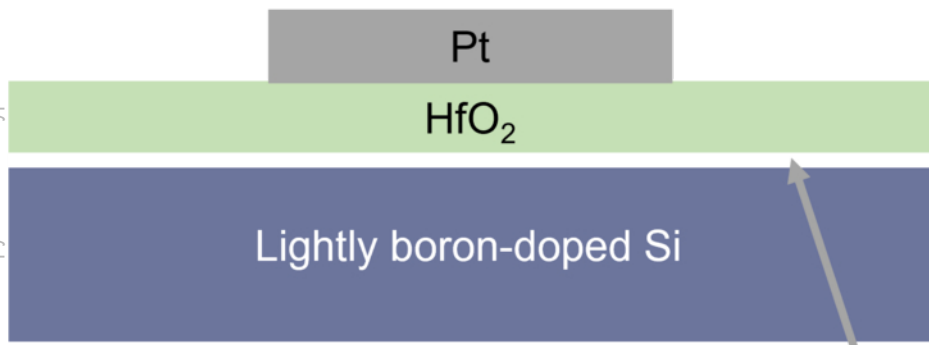
28
29 Fig. 5. Si(2p) XPS spectra of non-selective (dotted line) and area-selective (solid line)
30 HfO₂ films on Si with different SiO₂ interfacial layers before (a) and after (b) the FGA;
31 (a) and (b) show a narrower region to see the oxidized Si(2p) peaks in more detail; (c)
32 shows the full Si(2p) spectrum of all substrates after the FGA.

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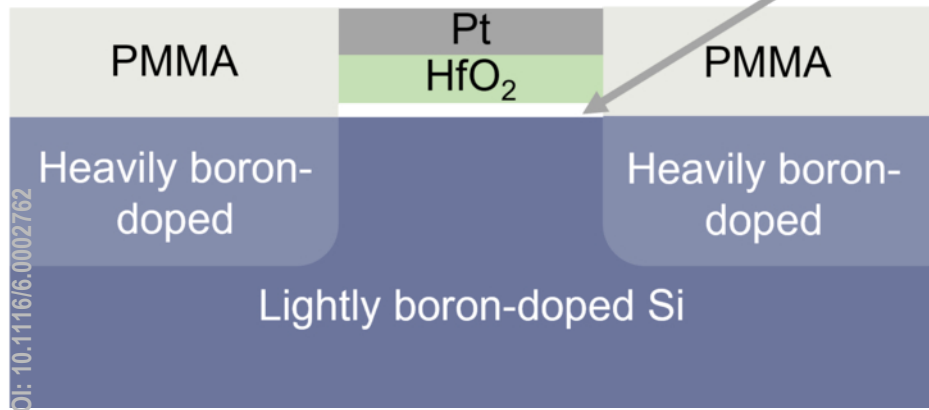
- 1 Fig. 6. XPS peak positions of the suboxide Si(2p) peak (a) and ratio of XPS integrated
- 2 intensity of the suboxide Si(2p) peak to integrated intensity of elemental Si(2p) peak (b)
- 3 before and after the FGA for area-selective deposition and non-selective deposition
- 4 HfO₂/SiO₂/Si substrates treated with different SiO₂ interlayer formation techniques.
- 5
- 6 Fig. 7. C(1s) XPS spectra of non-selective (dotted line) and area-selective (solid line)
- 7 HfO₂ films on Si with different SiO₂ interfacial layers before (a) and after (b) the FGA.
- 8

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(a) **Non-selective Capacitors**

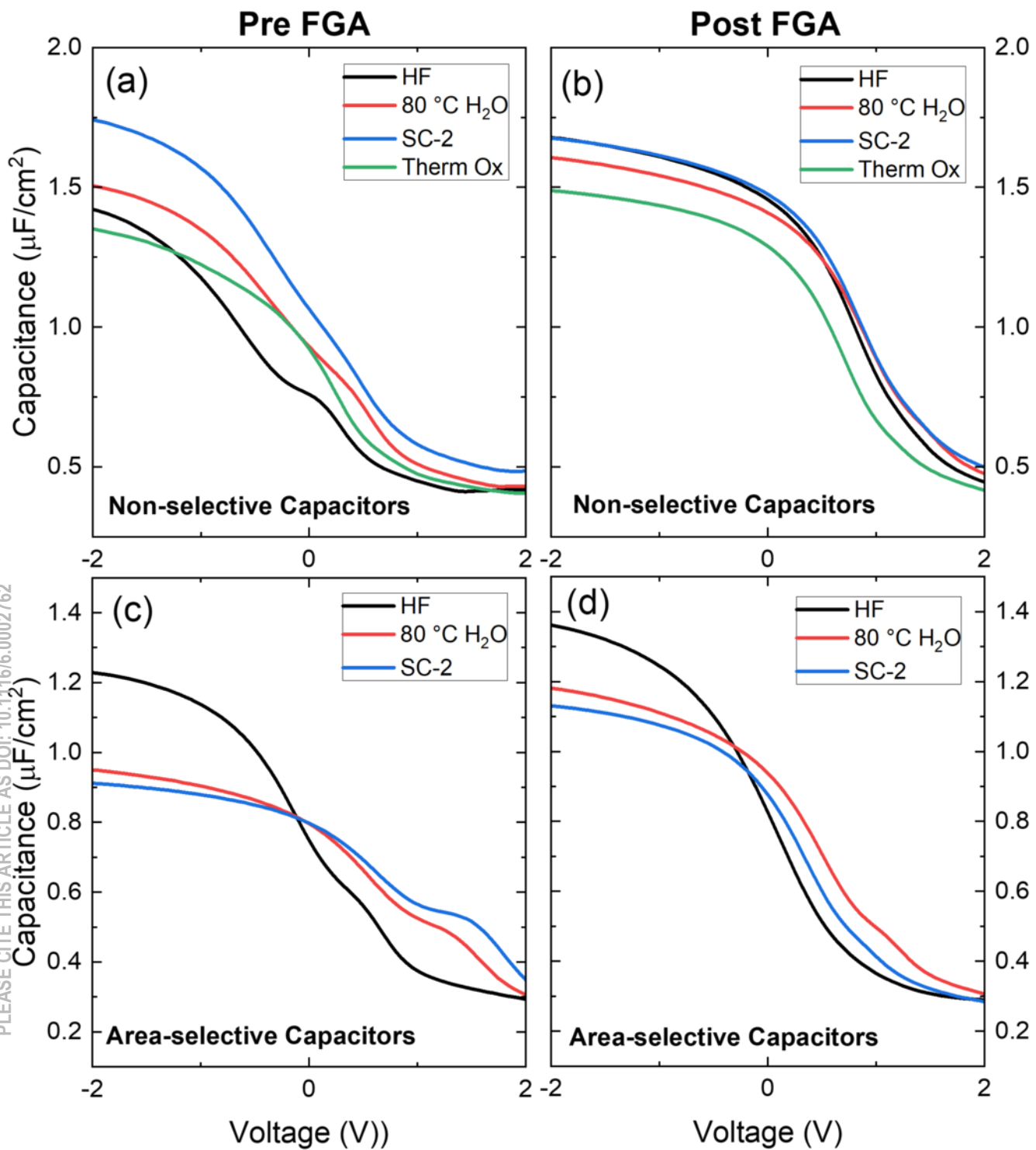


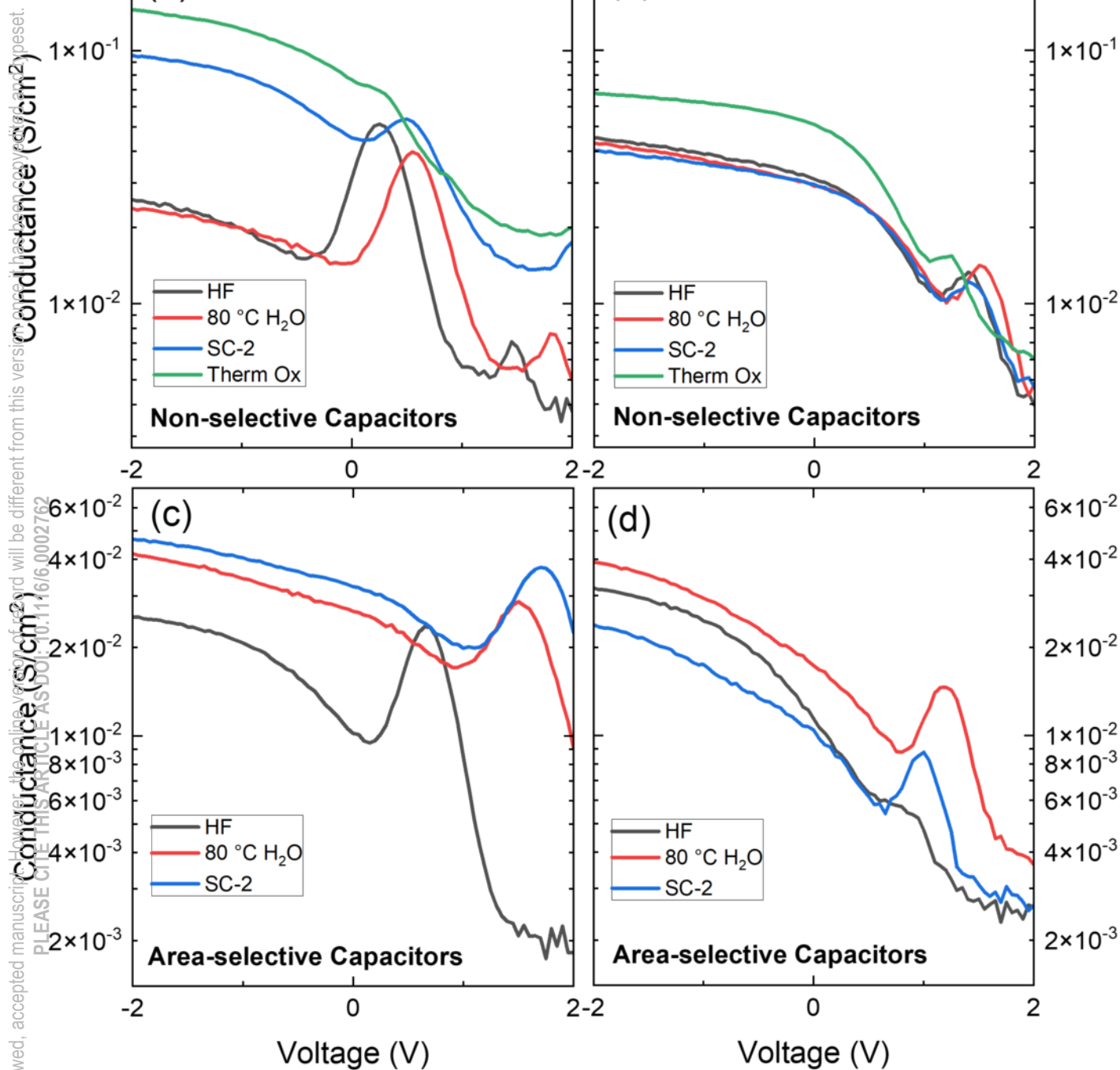
(b) **Area-selective Capacitors**



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D_{it} (#/eV/cm²)

