

# Investigation on the passivation at the $GeO_x/Ge$ interface trap with high oxidation state in $GeO_x$ formed by ozone oxidation

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## ABSTRACT

The need to achieve low interface state density  $(D_{it})$  at oxide/Ge interface for Ge metal-oxide-semiconductor devices promotes research into interface passivation engineering. In this paper, the  $D_{it}$  distribution with different GeO<sub>x</sub> thicknesses and post-deposition annealing (PDA) ambient is investigated based on ozone oxidation. The results show that  $D_{it}$  at the GeO<sub>x</sub>/Ge interface decreases with increasing  $\text{GeO}_{x}$  thickness. Moreover, the  $D_{it}$  slightly increases following PDA in  $N_2$  while decreases following PDA in  $O_2$ . The X-ray photoelectron spectroscopy (XPS) is employed to investigate the distribution of Ge oxidation state ( $Ge^{1+}, Ge^{2+}$ , Ge<sup>3+</sup>, and Ge<sup>4+</sup>) in different GeO<sub>v</sub> thicknesses and PDA ambient. The XPS results show that the content of Ge<sup>3+</sup> oxide component increases as the GeO<sub>v</sub> thickness increases. Compared with untreated samples, N<sub>2</sub> PDA induces a lower Ge<sup>3+</sup> content and higher  $D_{it'}$  while  $O_2$  PDA induces a higher  $Ge^{3+}$  content and lower  $D_{it}$ . Therefore,  $Ge^{3+}$  oxide component is responsible for the  $D_{it}$  passivation. The partial density of states obtained by first-principles calculation with Ge<sup>1+</sup>Ge<sup>3+</sup>/Ge structure shows the removal of trap state within Ge band gap compared with that of Ge<sup>1+</sup>Ge<sup>2+</sup>/Ge structure, which agrees with the experiment results. This study gives another insight into the passivation mechanism at semiconductor/oxide interface.

## **1** Introduction

The semiconductor/oxide interface is a basic constituent in modern electronics devices, such as metal–oxide–semiconductor field-effect transistors (MOSFETs). The semiconductor/oxide interface strongly influences various crucial electrical properties of MOSFETs, such as threshold voltage, carrier mobility, 1/f noise, radiation response, long-term reliability, and stability [1–6]. Amount of dangling bonds exit at the semiconductor/oxide interface due to the interruption of the periodic lattice structure. The dangling bonds can be charged by the gain or loss of electron. These interfacial defects induce trap energy levels in

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the semiconductor band gap and play a dominant role in degrading the device performance [1]. At the crystalline-Si/amorphous-SiO2 interface, the interfacial states are primarily Si dangling bonds or the P<sub>b</sub> centers [1, 2, 7–10], such as the P<sub>b</sub> for (111) and (110) Si orientations and P<sub>b0</sub> and P<sub>b1</sub> for (100) Si orientation [11–13]. In addition, a paramagnetic recombination center named  $P_m$  center [14] and  $Si_nO_{3-n} \equiv Si \cdot (n = 1, 2)$ defect named S center [15] were reported. With further scaling of the Si MOSFET node, performance improvement becomes increasingly difficult. Ge as channel material with better hole and electron mobility than that of Si is expected to be a significant breakthrough to achieve high performance [16, 17]. Similarly, Ge dangling bonds (Ge<sub>3</sub> $\equiv$ Ge·) were reported due to the inherent mismatch between Ge and its oxide [18–22].

In general, the density of dangling bonds and interfacial states can be reduced by sufficient oxidation or terminated with another atom. For Si case, the dangling bonds can be effectively passivated with termination to H or D by annealing in hydrogen or deuterium [23–26]. For the Ge case, the interface state density  $(D_{it})$  is still a major technical issue hindering the application of Ge-based metal-oxide-semiconductor (MOS) devices [27, 28]. Surface passivation is a critical challenge to achieve high-quality high-k stacks. Commonly used approaches include nitride [29, 30], S [31, 32], Si [33, 34], and Ge oxide passivation [35-37]. Among these methods, Ge oxide passivation shows super electrical property with the effective passivation at the Ge/GeO<sub>x</sub> interface having low  $D_{it}$ . In recent years, there have been extensive studies on the GeO<sub>x</sub> passivation and Ge/GeO<sub>x</sub> interface properties. For example, Zhang et al. [38] investigated the effect of plasma post-oxidation on the MOS interface properties of Al<sub>2</sub>O<sub>3</sub>/GeO<sub>x</sub>/Ge structures with different  $GeO_x$  thicknesses. Although a relationship between  $D_{it}$ and GeO<sub>v</sub> thickness has been reported, the mechanism behind this relationship has not been elucidated. Yang et al. [39] investigated the capacitor performance of  $Al_2O_3/GeO_x/Ge$  gate stack by ozone oxidation method. But it mainly focused on the electrical property comparison between cycling ozone oxidation and singleozone oxidation passivation. Xu et al. [40] investigated the electrical performance of HfO<sub>2</sub>/Al<sub>2</sub>O<sub>3</sub>/GeO<sub>x</sub>/Ge pMOSFET with ozone post-oxidation and plasma post-oxidation, listing the  $D_{it}$  values following the two oxidation methods but providing no detailed explanation of the results. Although there have been numerous reports on interface passivation, especially for the  $\text{GeO}_x/\text{Ge}$  system, the researches mainly focus on the electrical property of the interface and Ge MOS devices.

The low  $D_{it}$  and low equivalent oxide thickness (EOT) are the prerequisites for continued dimensional scaling of Ge MOSFETs. Owing to the relatively low permittivity of GeO<sub>v</sub>, decreasing the GeO<sub>v</sub> thickness is an effective method to scale down the EOT. However,  $D_{it}$  increases when the GeO<sub>x</sub> thickness decreases. Zhang et al. [38] reported that  $D_{it}$  increases as the  $GeO_x$  thickness decreases by plasma post-oxidation. Shibayama et al. [41] attributed the dependence of  $D_{\rm it}$  on GeO<sub>x</sub> thickness to the amount of Ge<sup>3+</sup> oxide component by plasma thermal oxidation. Ozone oxidation is considered as an effective method to obtain superior GeO<sub>x</sub>/Ge interface at low temperature and avoid the thermal degradation of  $GeO_x$  [42]. Kuzum et al. [43] reported that  $D_{it}$  decreases with increasing GeO<sub>x</sub> thickness owing to the Ge<sup>4+</sup> oxidation component by ozone oxidation. The passivation mechanism seems to differ between plasma oxidation and ozone oxidation. Therefore, it is necessary to further clarify the passivation mechanism by ozone oxidation and observe whether the suboxide passivation is related to the oxidation method.

In this work, we investigate the  $D_{it}$  passivation mechanism of GeO<sub>x</sub>/Ge stack by ozone oxidation. We found the  $D_{it}$  at the Ge/GeO<sub>x</sub> interface is not be passivated by termination with another atom. The high oxidation state of GeO<sub>x</sub> is the main reason for the decrease of  $D_{it}$ . We propose a possible physical mechanism to explain the  $D_{it}$  passivation, namely remote Coulomb potential perturbation from high oxidation state of GeO<sub>x</sub>. This remote Coulomb potential shifts the eigen energy of dangling bonds, moving it from the band gap into the conduction or valence band and passivating  $D_{it}$ .

#### 2 Experiment

We fabricated Ge-sub MOS capacitors and film stacks to explore the distributions of  $D_{it}$  and different Ge oxidation states, respectively. As for the capacitor samples, the GeO<sub>x</sub>/Al<sub>2</sub>O<sub>3</sub> gate stack was used. After cleaning the Ge surface in HF (100:1) for 60 s, the GeO<sub>x</sub> was grown by ozone oxidation at 300 °C. The oxidation time was varied to control the GeO<sub>x</sub> thickness. Then, 10 nm Al<sub>2</sub>O<sub>3</sub> was deposited by atomic layer deposition (ALD) using trimethylaluminum (TMA) and H<sub>2</sub>O as precursors at 300 °C. After post-deposition annealing (PDA) at 400 °C in N<sub>2</sub> for 5 min, 30 nm TiN and 75 nm W were deposited by ALD. Al was used as the backside contact. All these samples were annealed in forming gas ambient at 400 °C for 30 min. In addition, the Ge MOS capacitors with GeO<sub>x</sub>/Al<sub>2</sub>O<sub>3</sub> gate stack were fabricated in different PDA ambients. GeO<sub>v</sub> was grown by ozone oxidation at 300 °C for 25 min. 10 nm Al<sub>2</sub>O<sub>3</sub> was then deposited at 300 °C. One sample was not annealed and used as the control. The others underwent PDA in N2 and O2 ambient at 400 °C for 30 min. Subsequently, the metal electrode was formed using the same process conditions as above. As for the Ge/GeO<sub>x</sub>/Al<sub>2</sub>O<sub>3</sub> film stack samples, one group was with different GeO<sub>x</sub> thicknesses and the same thickness of Al<sub>2</sub>O<sub>3</sub> of 1 nm, and the other group was with 0.7 nm GeO<sub>x</sub> and 2 nm Al<sub>2</sub>O<sub>3</sub> in different PDA ambients. The X-ray photoemission spectroscopy (XPS) measurement was performed using Thermo Scientific ESCALAB 250xi equipped with a monochromatic Al K $\alpha$  radiation source of 1486.8 eV. The pass energy was set as 15 eV. All data were collected at a take-off angle of 90° relative to the sample surface.

#### 3 Results and discussion

The electrical property of MOS capacitors with different GeO<sub>x</sub> thicknesses is investigated. The D<sub>it</sub> is measured using the low-temperature conductance method. Figure 1 shows the  $D_{it}$  at 0.3 eV above the valence band maximum vs.  $GeO_x$  thickness.  $D_{it}$  rapidly decreases as the GeO<sub>x</sub> thickness increases up to 8 Å but varies minimally when the GeO<sub>x</sub> thickness increases beyond 8 Å. Therefore,  $D_{it}$  at the Ge/GeO<sub>x</sub> interface is dependent on the  $\text{GeO}_{x}$  thickness. These results show that ozone oxidation leads to the same  $D_{it}$  trend with GeO<sub>x</sub> thickness as plasma oxidation [44, 45]. A  $GeO_x$  layer with thickness larger than 8 Å is necessary to achieve good electrical property. The inset in Fig. 1 shows the capacitance–voltage (C–V) curves of MOS capacitor with 10.6 Å GeO<sub>x</sub> at multiple frequencies. Super C-Vcurves indicate a low  $D_{it}$  and high-quality Ge/GeO<sub>x</sub> interface.

Studies have shown that  $D_{it}$  at the Ge/GeO<sub>x</sub> interface correlates with Ge dangling bonds or oxygenrelated defects [22, 46]. Oxygen deficiency leads to oxygen vacancies and Ge dangling bonds near the Ge/GeO<sub>x</sub> interface [19, 47]. To investigate the origin of the  $D_{it}$ -GeO<sub>x</sub> thickness relationship, the chemical



**Fig. 1**  $D_{it}$  as a function of GeO<sub>x</sub> thickness. The inset shows the *C*-*V* curves of the MOS capacitors with 10.6 Å GeO<sub>x</sub>

state of Ge is examined using XPS. Figure 2 shows the Ge 3d spectra of Ge/GeO<sub>x</sub> stacks with different  $GeO_x$  thicknesses. The Ge 3*d* peaks at binding energy of 29.35 and 32 eV are from Ge substrate and  $\text{GeO}_{y}$ respectively. The peak signal corresponding to GeO<sub>x</sub> gradually increases with a thicker GeO<sub>x</sub> layer. The chemical shifts of Ge<sup>1+</sup>, Ge<sup>2+</sup>, Ge<sup>3+</sup>, and Ge<sup>4+</sup> relative to that of  $Ge^0$  are taken as 0.8, 1.8, 2.75, and 3.4 eV, respectively [48, 49]. The full widths at half maximum (FWHM) for  $Ge^0$ ,  $Ge^{1+}$ ,  $Ge^{2+}$ ,  $Ge^{3+}$ , and  $Ge^{4+}$ spectra are determined to be 0.57, 0.57, 0.9, 1.12, and 1.2 eV, respectively. Each core-level spectrum was fitted by a nonlinear Gaussian-Lorentzian line shape and Shirley background subtraction. The fixed spin orbit splitting of Ge 3d is 0.58 eV. Figure 2(a) shows the Ge 3*d* spectrum of the 4.1 Å GeO<sub>x</sub>. Only Ge<sup>1+</sup> and Ge<sup>2+</sup> signals are observed, and no Ge<sup>3+</sup> and  $Ge^{4+}$  signals are detected. For the 6.6 Å  $GeO_{x}$ ,  $Ge^{3+}$ signal is obvious but Ge4+ signal is extremely small as shown in Fig. 2b. Figure 2c shows Ge<sup>3+</sup> and Ge<sup>4+</sup> signals become more evident in a thicker  $GeO_x$  of 7.8 Å. In addition, we analyze the  $Ge(GeO_x)$  to  $O(GeO_x)$ areal intensity ratio as a function of GeO<sub>x</sub> thickness, as shown in Fig. 3. The value of  $Ge(GeO_x)/O(GeO_x)$ decreases with increasing GeO<sub>x</sub> thickness, which suggests that the oxygen content in GeO<sub>x</sub> is comparatively low in a thinner GeO<sub>x</sub> and increases as





Fig. 2 Ge 3d spectra of Ge/GeO<sub>x</sub> stack with GeO<sub>x</sub> thickness of a 4.1 Å, b 6.6 Å, and c 7.8 Å



**Fig. 3** The areal intensity ratio of  $Ge(GeO_x)$  vs.  $O(GeO_x)$  for different  $GeO_x$  thicknesses

the  $\text{GeO}_x$  thickness increases. Oxygen is relevantly deficient, and it results in the Ge dangling bonds the  $\text{Ge/GeO}_x$  interface.

The composition changes of each chemical state, namely Ge<sup>1+</sup>, Ge<sup>2+</sup>, Ge<sup>3+</sup>, and Ge<sup>4+</sup>, is quantitatively calculated, as shown in Fig. 4a–d. The Ge<sup>1+</sup> content is unaffected by the GeO<sub>x</sub> thickness. The Ge<sup>2+</sup> content increases initially and then is unchanged when the GeO<sub>x</sub> thickness increases beyond after 4.1 Å. The Ge<sup>3+</sup> content increases with increasing GeO<sub>x</sub> thickness. The Ge<sup>4+</sup> signal is undetectable when the GeO<sub>x</sub> thickness is less than 8 Å and increases markedly when the GeO<sub>x</sub> thickness increases beyond 8 Å. The shaded area covering the GeO<sub>x</sub> thickness from 2 to 8 Å is the region of  $D_{it}$  reduction.  $D_{it}$  remains unchanged when the  $\text{GeO}_{x}$  thickness is greater than 8 Å, as shown in Fig. 1.

We discuss the microstructure and chemical bonding states near the Ge/GeO<sub>x</sub> interface based on the above XPS results. Owning to the mismatch of Ge substrate and  $GeO_{x'}$  the low oxidation states locate near the Ge substrate at the Ge/GeO<sub>x</sub> interface. The Ge<sup>1+</sup> and Ge<sup>2+</sup> states are localized mainly in the first and second Ge oxidation layers. This conclusion can be further confirmed as follows. The Ge<sup>1+</sup> and Ge<sup>2+</sup> signals are nearly unchanged when the GeO<sub>x</sub> thickness is greater than 4.1 Å, as shown in Fig. 4a, b. This value of 4.1 Å corresponds to oxidation of two Ge layers, which is explained as follows. The distance between Ge and O atom layers in GeO<sub>x</sub> (here we denote it as Ge–O) is ~ 1–1.6 Å [50, 51]. Thus, the GeO<sub>x</sub> thickness corresponding to the oxidation of two Ge layers, i.e., Ge–O–Ge–O, is ~ (1–1.6) × 3= ~ (3–4.8) Å. This value is consistent with the value of ~ 4.1 Å. As shown in Fig. 2a, the 4.1 Å GeO<sub>x</sub> only contains  $Ge^{1+}$  and  $Ge^{2+}$ states. Consequently, the Ge1+ and Ge2+ states are localized mainly in the first and second Ge oxidation layers. Moreover, the interfacial oxidation state and microstructure at the Ge/GeO<sub>v</sub> interface can be considered unchanged when GeO<sub>x</sub> thickness is beyond 4.1 Å, i.e., the distribution of Ge dangling bonds at the  $Ge/GeO_x$ interface is unchanged during the process of ozone oxidation. While the D<sub>it</sub> keeps to decrease when GeO<sub>x</sub> thickness is greater than 4.1 Å. These results suggest that the decrease of  $D_{it}$  at the Ge/GeO<sub>x</sub> interface does not arise from the passivation of Ge dangling bonds



Fig. 4 Areal intensity of Ge chemical state of a Ge<sup>1+</sup>, b Ge<sup>2+</sup>, c Ge<sup>3+</sup>, and d Ge<sup>4+</sup> with GeO<sub>x</sub> thickness. The shaded area is the region of  $D_{it}$  reduction

by additional oxygen atoms.  $D_{it}$  continues to decrease and the Ge<sup>3+</sup> content keeps to increase as the GeO<sub>x</sub> thickness increases from 2 to 8 Å in Figs. 1 and 2. The relationship between  $D_{it}$  and the content ratio of Ge<sup>3+</sup> in GeO<sub>x</sub> and Ge<sup>0</sup> in Ge substrate is shown in Fig. 5.  $D_{it}$ decreases with increasing Ge<sup>3+</sup> content, which means Ge<sup>3+</sup> plays an important role in  $D_{it}$  passivation by ozone oxidation. Similar results have been reported for plasma oxidation [41]. Both for plasma and ozone oxidation,  $D_{it}$  similarly changes with increasing GeO<sub>x</sub> thickness. Therefore, Ge<sup>3+</sup> plays a key role in the  $D_{it}$ passivation at the GeO<sub>x</sub>/Ge interface regardless of the oxidation method.

One can propose another possible reason that is the mechanical stress exerted by different thicknesses of  $\text{GeO}_x$  to induce  $D_{\text{it}}$  passivation. However,  $D_{\text{it}}$  decreases



**Fig. 5**  $D_{it}$  as a function of the content ratio of  $\text{Ge}^{3+}$  in  $\text{GeO}_x$  and  $\text{Ge}^0$  in Ge substrate



Fig. 6 HRTEM images of the  $GeO_x/Al_2O_3$  structures without PDA and with PDA in N<sub>2</sub> and O<sub>2</sub> ambient



Fig. 7 EDS depth profiles for  $Ge/GeO_x/Al_2O_3$  structures without PDA and with PDA in N<sub>2</sub> and O<sub>2</sub> ambient

when GeO<sub>x</sub> thickness is less than 8 Å and is unchanged when  $\text{GeO}_{x}$  thickness is larger than 8 Å, as shown in Fig. 1. Moreover, the Ge<sup>3+</sup> content increases as the GeO<sub>x</sub> thickness increases from 2 to 8 Å and gradually stabilizes as the  $\text{GeO}_{x}$  thickness is larger than 8 Å. While the stress at the GeO<sub>v</sub>/Ge interface still increases when GeO<sub>x</sub> thickness is larger than 8 A. This is inconsistent with the change in  $D_{it}$ . To further investigate the effect of stress on  $D_{it}$  the samples were treated in different PDA ambients to observe the changes of the gate stack and  $D_{it}$ . Figure 6 shows the high-resolution transmission electron microscope (HRTEM) images of the GeO<sub>x</sub>/Al<sub>2</sub>O<sub>3</sub> structure without PDA and with PDA in N<sub>2</sub> and O<sub>2</sub> ambient. The thickness of the  $GeO_x$ interlayer is nearly unchanged after PDA. The stress at the Ge/GeO<sub>x</sub> interface is also considered the same for different PDA samples. Figure 7 shows the energy-dispersive spectroscopy (EDS) depth profiles of Ge and O elements for Ge/GeO<sub>x</sub>/Al<sub>2</sub>O<sub>3</sub> structure without PDA and with PDA in N<sub>2</sub> and O<sub>2</sub>. PDA does not change the physical thickness of the gate dielectrics. The EDS results show that the depth profiles of the O and Ge elements are the same after PDA, indicating that the physical structure does not change. Therefore, the change in  $D_{it}$  does not arise from the physical structure or elemental interdiffusion during N<sub>2</sub> and O<sub>2</sub> PDA.

Figure 8 shows the C–V characteristics of Ge MOS capacitors at multiple frequencies and the  $D_{it}$  for various PDA ambients. Well C–V plot indicates good interface quality. The D<sub>it</sub> was obtained by the low-temperature conductance method. As shown in Fig. 8d, D<sub>it</sub> slightly differs depending on the PDA treatment: without PDA, N<sub>2</sub> PDA, and O<sub>2</sub> PDA. O<sub>2</sub> PDA is more beneficial for the  $D_{it}$  passivation than N<sub>2</sub> PDA and without PDA condition. Although the GeO<sub>x</sub> thickness does not change, D<sub>it</sub> distribution shows slight difference between the N<sub>2</sub> and O<sub>2</sub> PDA-treated samples. Therefore, the mechanical stress exerted by different thicknesses of  $\text{GeO}_{x}$  as the origin of the  $D_{it}$  variation is excluded. D<sub>it</sub> reduction at the Ge/GeO<sub>x</sub> interface does not arise from the passivation of dangling bonds by another atom or the stress from the different thicknesses of GeO<sub>x</sub>, but from the appearance of high Ge oxidation states. The contribution of high Ge oxidation state in  $\text{GeO}_{x}$  to  $D_{it}$  reduction has been observed in other studies in which the GeO<sub>x</sub> was grown by H<sub>2</sub>O plasma oxidation in an ALD chamber [52]. A longer deposition time enhances the Ge oxidation state, which decreases the  $D_{it}$ .

Figure 9 provides the XPS Ge 3d spectra of Ge/ GeO<sub>x</sub>/Al<sub>2</sub>O<sub>3</sub> in different PDA ambients. The corresponding intensity ratio of Ge<sup>1+</sup>, Ge<sup>2+</sup>, Ge<sup>3+</sup>, and Ge<sup>4+</sup> in  $\text{GeO}_x$  is shown in Fig. 10. The results show that the  $Ge^{3+}$  component in  $GeO_x$  increases after  $O_2$  PDA while decreases after  $N_2$  PDA. Ge<sup>1+</sup> component in GeO<sub>x</sub> has nearly no changes after PDA, indicating that the PDA has a negligible effect on Ge dangling bonds. Although the amount of Ge dangling bonds is similar, D<sub>it</sub> still shows different distribution in N2 and O2 PDA as shown in Fig. 8d. The  $Ge^{2+}$  component in  $GeO_x$  is similar between N2 and O2 PDA sample, indicating that  $Ge^{2+}$  is not the main sources of  $D_{it}$  passivation. The content of Ge<sup>4+</sup> component decreases after PDA in  $N_2$  and  $O_2$  compared with the untreated sample. This changes of Ge4+ content after PDA is inconsistent with that of  $D_{it}$ . While the Ge<sup>3+</sup> component in GeO<sub>x</sub>



**Fig. 8** *C*–*V* plots of Ge MOS capacitors with  $\text{GeO}_x/\text{Al}_2\text{O}_3$  gate stack in different PDA ambients: **a** without PDA, **b** N<sub>2</sub> and **c** O<sub>2</sub>. **d**  $D_{\text{it}}$  for different PDA ambients



Fig. 9 Ge 3d spectra of Ge/GeO<sub>x</sub> stacks a without PDA, b with N<sub>2</sub> PDA, and c with O<sub>2</sub> PDA

increases after O<sub>2</sub> PDA and decreases after N<sub>2</sub> PDA, which declares Ge<sup>3+</sup> is responsible for the  $D_{it}$  passivation. The change of  $D_{it}$  distribution is related to the content of Ge<sup>3+</sup> oxidation state component. This is consistent with the result for  $D_{it}$  dependence on GeO<sub>x</sub> thickness.  $D_{it}$  only decreases at the GeO<sub>x</sub> thickness range of 2 ~ 8 Å but remains unchanged with GeO<sub>x</sub> thickness larger than 8 Å. Moreover, the content of Ge<sup>3+</sup> component obviously increases as the GeO<sub>x</sub> thickness increases from 2 to 8 Å, and gradually stabilizes as the GeO<sub>x</sub> thickness increases beyond 8 Å. These results demonstrate that the Ge<sup>3+</sup> component is responsible for the  $D_{it}$  passivation.

To examine the above experimental results, we employed first-principles modeling to observe the remote passivation effect of Ge<sup>3+</sup> on the gap state. The



**Fig. 10** The intensity ratio of  $Ge^{1+}$ ,  $Ge^{2+}$ ,  $Ge^{3+}$ , and  $Ge^{4+}$  in  $GeO_x$  for the without PDA, and with N<sub>2</sub> and O<sub>2</sub> PDA samples

calculations were performed within density functional theory, as implemented in the code Vienna ab initio simulation package [53]. The projector augmented plane-wave method with Perdew–Burke–Ernzerhof was used [54]. The generalized gradient approximation was constructed for the exchange-correlation potential. A plane wave with 450 eV cut-off energy was used for the structural relaxation. All the structures were relaxed until the residual forces on the atoms declined to less than 0.02 eV/Å. The energy criterion in the iterative solution of the Kohn–Sham equation was set to be  $10^{-5}$  eV. The interface region was modeled in a 20 Å vacuum spacing perpendicular to the slab to avoid interlaminar interactions. In this study, we mainly consider the changes of partial density of states (PDOS) by the introduction of Ge<sup>3+</sup>.

Figure 11a shows the atomic structure of  $\text{GeO}_x$  with  $\text{Ge}^{1+}$  and  $\text{Ge}^{2+}$  at the  $\text{Ge/GeO}_x$  interface and corresponding PDOS. The results show that  $\text{Ge}^{1+}$  induces defect states within the Ge band gap, while  $\text{Ge}^{2+}$  leaves no gap states within the Ge band gap. This means  $\text{Ge}^{1+}$ , without oxidated sufficiently, at  $\text{Ge/GeO}_x$  interface plays a key role in the  $D_{it}$ .  $\text{Ge}^{2+}$  has little effect on



**Fig. 11 a** Atomic structure of  $\text{GeO}_x$  with  $\text{Ge}^{1+}$  and  $\text{Ge}^{2+}$  and PDOS at the  $\text{Ge/GeO}_x$  interface. **b** Atomic structure of  $\text{GeO}_x$  with  $\text{Ge}^{1+}$  and  $\text{Ge}^{3+}$  and PDOS at the  $\text{Ge/GeO}_x$  interface

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the  $D_{it}$ . In contrast,  $Ge^{3+}$  has the effect of removing the trap states of  $Ge^{1+}$  from the band gap energy range, as illustrated in Fig. 11b. The calculation result is consistent with the experimental result in that the  $Ge^{3+}$  reduces the trap states at the  $Ge/GeO_x$  interface. In the study of investigating the dependence of  $D_{it}$  on  $GeO_x$  thickness,  $D_{it}$  reduces as the  $GeO_x$  thickness increases up to 8 Å. In this range of  $GeO_x$  thickness, the  $Ge^{3+}$  content markedly increases, which passivates the trap states and reduces  $D_{it}$  at the  $Ge/GeO_x$  interface. When  $GeO_x$  thickness is larger than 8 Å, the  $Ge^{3+}$  content gradually saturates and  $D_{it}$  drops to a minimum and remains unchanged.

We discuss a possible physical origin of  $D_{it}$  decrease at the Ge/GeO<sub>x</sub> interface by ozone oxidation. We consider the remote Coulomb potential perturbation from high oxidation state Ge atoms, based on the perturbation theory of quantum mechanisms. In general, the  $D_{\rm it}$  originates from dangling bonds [19, 22], as shown in Fig. 12a, c. The appearance of additional Ge atoms with higher oxidation states induces a remote Coulomb potential near the dangling bonds, as show in Fig. 12b. This Coulomb potential perturbation can induce an eigen energy shift of the dangling bond based on the perturbation theory of quantum mechanisms, as shown in Fig. 12c. If this shift moves the eigen energy of the dangling bonds from the band gap into the valence band, then  $D_{it}$  is passivated. It should be noted that the dangling bond is passivated by the eigen energy shift into valence band induced by remote Coulomb charges, such as Ge<sup>3+</sup>, not by termination with another atom. The  $D_{it}$  passivation by Ge high oxidation state is verified by analyzing the samples produced under different thickness GeO<sub>x</sub> and different PDA ambient conditions. The GeO<sub>x</sub> thickness and PDA ambient affects the distribution of Ge<sup>3+</sup> oxidation state in GeO<sub>x</sub>, which induces corresponding  $D_{it}$  variation. The perturbation theory of quantum mechanisms is a possibly reasonable explanation for D<sub>it</sub> passivation.

## 4 Conclusion

In this study, passivation of the Ge/GeO<sub>x</sub> interface by ozone oxidation is investigated, and a possible passivation mechanism is proposed. The experimental results indicate that the  $D_{it}$  passivation is related to the Ge<sup>3+</sup> oxidation state in GeO<sub>x</sub>.  $D_{it}$  at the Ge/GeO<sub>x</sub> interface dramatically decreases and the Ge<sup>3+</sup> content



**Fig. 12** Schematic of the  $D_{it}$  passivation mechanism of remote Coulomb perturbation. A dangling bond of the Ge substrate (a) induces the interfacial trap eigen energy in the Ge band gap (c). The appearance of the Ge atom with high oxidation state (b) induces a remote Coulomb potential perturbation near the dangling bond, shifting the eigen energy of the interfacial trap. This energy shift moves the interfacial trap from the band gap into the valence band, consequently passivating the  $D_{it}$ 

constantly increased as the GeO<sub>x</sub> thickness increased up to 8 Å. The effect of Ge<sup>3+</sup> oxidation state is also demonstrated by different PDA ambients. The Ge<sup>3+</sup> content differs after PDA and leads to different  $D_{it}$ distribution. The PDOS obtained by first-principles calculation with Ge<sup>3+</sup> component in GeO<sub>x</sub> shows the removal of trap state from the band gap, which is in good agreement with the experiment results. The high Ge oxidation states may induce a remote Coulomb potential to move the dangling bond eigen energy from the band gap into the conduction or valance band to passivate  $D_{it}$ . This study provides another insight into the passivation mechanism at the semiconductor/ oxide interface.

#### Author contributions

LZ wrote and revised the article. JC performed material and sample preparation. XW carried out the data characterization. SF anchored the review and revisions. All the authors read and approved the final manuscript.

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# Data availability

The datasets generated during and/or analyzed during the current study are available from the corresponding author on reasonable request.

## Declarations

**Conflict of interest** There are no conflicts to declare.

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