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1 **Properties of Ti-oxide thin films grown in reactive magnetron sputtering with self-heating**  
2 **target**

3  
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5  
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8  
9 **Abstract**

10 Titanium dioxide thin films have been synthesized by magnetron sputtering in two  
11 configurations: using a classical cooled target (cold configuration) or allowing the target  
12 temperature to rise under ion bombardment (hot target configuration). In hot configuration, the  
13 heated target emits radiations (especially infrared ones) which affect the thin film growth. The  
14 target is pure titanium sputtered in presence of argon and dioxygen gases. The crystalline  
15 quality, morphology and structure of thin films have been studied on two substrates: thermally  
16 grown SiO<sub>2</sub> (500 nm)/Si and c-cut sapphire. X-ray diffraction analyses revealed that anatase  
17 phase is mainly obtained in both configurations. Texture factors evidenced different main  
18 orientations: in cold target the anatase (004) peak tends to be preferred, whereas when a hot  
19 target is used, the (112) family plane is furthered. Microscopy analyses showed that the  
20 morphology changed depending on the configuration, which could be attributed to an increase  
21 of the adatom mobility at the substrate when the target is hot. Optical transmission  
22 measurements performed on titanium dioxide thin films deposited onto sapphire substrates  
23 showed that optical band gaps may be tuned depending on the configuration used during  
24 deposition.

25  
26 **Keywords:** magnetron sputtering, hot target, titanium oxide, optical band gap, thin film

27

## 1 **1. Introduction**

2 Magnetron sputtering (MS) is a well-known physical vapour deposition process for synthesizing  
3 nanoparticles or thin films. Titanium oxides ( $\text{TiO}_2$ ) are well documented compounds with wide  
4 applications depending on the structural phases: anatase phase exhibits interesting  
5 photocatalytic and self-cleaning properties and rutile phase is usually used for protective and  
6 optical coating [1][2][3][4][5][6]. The growth of  $\text{TiO}_2$  films by reactive sputtering of titanium  
7 in  $\text{Ar}/\text{O}_2$  atmosphere has been largely studied in order to optimize its properties for the required  
8 application, by varying deposition parameters such as the target to substrate distance, the  
9 deposition time, the total pressure, the oxygen percentage, the *in-operando* annealing etc.  
10 [7][8][9][10]. However, the correlation between structural and morphological properties of  
11 films and the reactive sputtering regime is not obvious whereas it must be perfectly known and  
12 predicted for industrials. For example, films obtained in different  $\text{Ar}/\text{O}_2$  proportions have been  
13 compared although the thickness was different because of the variation of the deposition rate  
14 between elemental and poisoned mode [8]. Since the main crystalline phases may also depend  
15 on the film thickness [11], this can lead to erroneous conclusions about the relationship between  
16 films properties and deposition conditions.

17 One of the latest and interesting evolutions of MS involves sputtering of a target which  
18 temperature is increased and can even exceed its melting point. For this purpose, a low heat  
19 conducting material (ceramics disk/powder, vacuum channels in the copper body or at the back  
20 side of the target) is inserted between the target and the water-cooled magnetron body with or  
21 without the presence of a crucible. An alternative approach to enhance the temperature of the  
22 target material is the use of high-power discharges [12][13][14][15][16][17] eventually coupled  
23 with the pulsed injection of gas in the vicinity of the target surface (Gas Injection Magnetron  
24 Sputtering technique) [18] in order to promote its cooling and temperature stabilization. This  
25 technique has been poorly investigated for the deposition of numerous metals and few oxides  
26 with the presence of  $\text{O}_2$  in the gas phase. Nevertheless, its interest is growing due to the  
27 enhanced deposition rate related to the combining of sublimation/evaporation processes and to  
28 an improvement of sputtering efficiency at high temperature. The synthesis of titanium thin  
29 film and its compounds (nitrides and oxides) has been explored in the past twenty years [19]  
30 especially by a research group from Wroclaw University [20][21]. This group used the so-called  
31 technique low pressure hot target reactive sputtering (LP HTRS) or high-energy reactive  
32 magnetron sputtering (HE RMS) : the energy of the species interacting with the growing film  
33 was enhanced by using very low pressure ( $<0.1$  Pa) of pure oxygen as a working gas and a  
34 heated metallic target partially disconnected from the water-cooled magnetron body enabling

1 the emission of radiation especially in the IR range. Thanks to that, sputtered species  
2 approaching the substrate have enhanced kinetic and thermal energy and TiO<sub>2</sub>-rutile could be  
3 formed (without post annealing). But, even in the hot target sputtering configuration, it seems  
4 that the film structure is difficult to predict because other authors mainly observed the formation  
5 of anatase phase when the target temperature is enhanced by its thermal disconnection [22]. A  
6 hot target has been also used in the case of TiO<sub>2</sub> thin films doped by lanthanides (i.e. Eu) [23],  
7 which had also a direct influence on the rutile-anatase crystalline structure and its optical  
8 properties (optical transmission and photoluminescence). Moreover, in this type of process in  
9 which almost epitaxial conditions have been introduced [24], the type of stress (compression or  
10 tension) in TiO<sub>2</sub> thin film highly depends on the type of substrate: nature, crystallinity and  
11 orientation...[21].

12 In our group, the general approach about hot target magnetron sputtering is to couple gas phase  
13 and plasma analysis with films characterization in order to study mechanisms involved in the  
14 sputtering at the target and the film growth at the substrate. In a previous paper [22], we have  
15 investigated the influence of the Ti target surface temperature rise on the thin film deposition  
16 rate, on the energy incoming onto the substrate (IR radiation and energy of the sputtered  
17 species) and we have evidenced first trends on the film properties (crystalline structure,  
18 morphology and composition) in the case of pure Ar atmosphere and Ar/O<sub>2</sub> one. Concerning  
19 the TiO<sub>x</sub> (with x around 2) films obtained in Ar/O<sub>2</sub>, the conclusions were that working in hot  
20 target configuration seems to help synthesizing a nearly-stoichiometric titanium dioxide. This  
21 is consistent with an enhancement of the crystalline state of TiO<sub>2</sub> anatase films characterized  
22 by crystallites randomly distributed on substrate (even if an enhancement of the (112) and (211)  
23 peaks is observed).

24 In the present work, we aim to go deeper than in previous papers into the knowledge of the  
25 growth mode during the deposition of pure TiO<sub>2</sub> film using a hot target. More precisely, we  
26 attempt to clearly state whether the increase of the target surface temperature, leading to IR  
27 emission in front of the substrate influences the growth, the nature of phases (anatase, rutile),  
28 the surface morphology and the crystallization state of TiO<sub>x</sub> films. Contrary to [20], Ar gas was  
29 added to O<sub>2</sub> in the sputtering chamber and the total pressure was fixed to 1 Pa in hot and cold  
30 target (classical) configuration. An extension of the mean free path of species sputtered from  
31 the target in our hot regime is not expected, except if gas rarefaction occurs near the target due  
32 to the gas heating as it is suspected [4]. The use of hot target leading to different structural  
33 properties compared to those obtained in classical configuration, the physical properties of TiO<sub>x</sub>  
34 films are expected to depend on the target configuration. An example is given by the

1 comparison of optical transmission and bandgaps of  $\text{TiO}_x$  films grown in hot-and cold-  
2 configurations. Results in terms of bandgap are compared with previous works.

## 3 4 5 **2. Experimental**

6 The experiments were performed in a 6-way cross-shaped HV deposition chamber previously  
7 described in [22]. The pressure is regulated to 1 Pa during deposition with 20 sccm Ar flow  
8 rate, whereas the  $\text{O}_2$  one is fixed to 3 (13 % of dioxygen) sccm in cold configuration and 9 sccm  
9 (31 % of dioxygen) in hot configuration for all results presented in the following section, in  
10 order to lie in the well-known compound/oxide regime. In hot configuration, the transition  
11 between metallic and compound regime is shifted to higher oxygen flow rate [4], therefore a  
12 higher value of 9 sccm has been used in hot configuration. The Ti target without (cold target  
13 configuration) or with (hot target configuration) a MACOR® 2 inches ceramic disk is clamped  
14 on the 2 inches magnetron backing plate powered by a DC power supply. This ceramic disk  
15 thermally disconnects the target and promotes its temperature rise. However, the clamping  
16 surrounding the target ensuring the electrical connection induces a residual cooling. Most of  
17 the samples were made at DC power of 150 W, corresponding to a power density of  $7.4 \text{ W cm}^{-2}$   
18  $^2$  on the 2 inches in diameter target ( $20.25 \text{ cm}^2$ ). The substrates, P-doped Si (100) wafer  
19 (resistivity of 10-20 Ohm.cm) covered with a thermally grown  $\text{SiO}_2$  (500 nm) and c-cut sapphire  
20 substrates ((001) oriented  $\text{Al}_2\text{O}_3$ ), were located 45 mm away from the target.

21 The thin film roughness  $R_{\text{RMS}}$  (root mean square roughness) and surface morphology on  $\text{SiO}_2/\text{Si}$   
22 substrates were investigated on a Dimension Icon atomic force microscope (Bruker) in  
23 ScanAsyst/PeakForce Tapping regime with a Scanasyst-air tip (nominal spring constant of 0.4  
24 N/m and a nominal tip radius of 2 nm).  $R_{\text{RMS}}$  was assessed in a scanning area of  $0.5 \times 0.5 \mu\text{m}^2$ .  
25 Cross-sections and top-views of thin films deposited on  $\text{SiO}_2/\text{Si}$  substrates were observed by  
26 scanning electron microscopy (SEM Zeiss Supra 40) in order to evaluate the thickness and  
27 characterize the microstructure. Thin films with various thicknesses (ranging from 150 nm to  
28 1500 nm) were deposited on both types of substrates. The thickness of  $\text{TiO}_x$  films deposited on  
29 Si wafer and  $\text{SiO}_2/\text{Si}$  substrates were determined from the cross-section SEM images.

30 Rutherford backscattering spectroscopy (RBS) was used to determine the composition of the  
31  $\text{TiO}_x$  films, i.e to obtain the O/Ti ratio (x value) depending on the growth conditions. The energy  
32 of probing  $4\text{He}$  particles was 2 MeV, and the scattering angle was fixed  $165^\circ$ . Due to the low  
33 RBS yield on light elements, the oxygen content of the films is determined with a 5% precision.

1 Their structural characterization was performed by X-ray diffraction in Bragg-Brentano  
2 geometry with a diffractometer (D8 Bruker Discover) using the Cu  $K\alpha$  (1.54 Å). The XRD  
3 patterns were compared to ICDD files corresponding to anatase TiO<sub>2</sub> (00-021-1272) and rutile  
4 TiO<sub>2</sub> (01-076-1934) phases. Optical properties of films deposited on c-cut sapphire substrates  
5 were investigated by measuring the optical transmission in the 200-1200 nm wavelength range  
6 with a UV-Vis spectrophotometer (Cary 60 from Agilent).

7 Measurement of the target temperature was performed using a bichromatic pyrometer (IGAR 6  
8 from Lumasense Technologies GmbH) in a configuration described in [22]. Values obtained in  
9 front of the Ti target in hot configuration, are 660°C and 1010°C ( $\pm 50^\circ\text{C}$ ) for 50 and 150 W,  
10 respectively in pure Ar gas. From the previous study we have learned that the target emissivity  
11 being higher in compound regime, due to the formation of an oxide at the target surface, the  
12 reached temperature values are lower [22]. Typically, at 50 W the target temperature decreases  
13 of about 50°C. The target temperature decreases to 600  $\pm 50^\circ\text{C}$  when turning from metallic to  
14 oxide mode at 50 W, whereas only 950  $\pm 50^\circ\text{C}$  is reached at 150 W. Thus, this indicates that the  
15 present study has been performed in a range of moderate target temperatures, as compared to  
16 some works reported in literature [14]. Values were largely inferior to the titanium melting  
17 temperature at 1 atm (1668°C). This has to be related to the quite low power density used here.  
18 However, even in this range, the heated target emits radiations (especially in the infrared  
19 wavelength range) that could be adsorbed at the substrate. This could lead to a rise of the growth  
20 temperature. Actually, the hot target may act as a front heating source. Various thermocouple  
21 placement configurations were tested for a suitable thermocouple construction operating in  
22 stable conditions during tens of minutes. Thermocouples (type K with upper operation limit of  
23 1260°C) were inserted through a hole in the substrate holder in order to be in contact with the  
24 surface and the substrate rear side. The connection between the thermocouple and the surface  
25 substrate is made by a straight contact. Even if a slight thermal loss at the  
26 thermocouple/substrate junction may not be excluded, the measured values provide a realistic  
27 estimation of the substrate temperature after tens of minutes, time required to reach a steady  
28 state (near-equilibrium thermal states) and the difference observed for the two configurations  
29 are significative. Thermocouple wires were enclosed each in a separate alumina tube shielding  
30 at the back side of the target in order to avoid metal coating and incorrect temperature  
31 measurements.

32 Whatever the deposition conditions and the kind of substrate, the temperature was found to  
33 increase during about 15-20 min, before reaching a near-equilibrium thermal states for different  
34 discharge power values. Typical values in cold configuration lie below 150°C, in good

1 agreement with what has been reported by other authors in literature [7][8]. In hot configuration,  
2 the reached values lie above 220°C at 150 W. It is well-known that determining the temperature  
3 of the substrate surface is challenging. It is supposed to be higher than at the back of the  
4 substrate. For instance, Musil et al evidenced that the delta between surface and backside  
5 temperature is of the order of 100°C for glass substrates [7]. However, taking into account a  
6 thermal conductivity  $\lambda$  of 150 W.m<sup>-1</sup>.K<sup>-1</sup> for silicon and disregarding the thermal contact  
7 resistance, a rough estimation based on the Fourier law gives a temperature gap  $\Delta T$  between  
8 the front one  $T_1$  and the back one  $T_2$  of the substrate :

$$\Delta T = T_1 - T_2 = \frac{e}{\lambda S} (J_{rad,in} - J_{rad,out}) \quad (1)$$

9 Where  $e$  is the substrate thickness (500  $\mu\text{m}$ ),  $S$  its surface (1  $\text{cm}^2$ ),  $J_{rad,in}$  is the thermal radiation  
10 incoming onto the substrate equal to 0.5 W [22] and  $J_{rad,out}$  is the thermal radiation emitted by  
11 the substrate given by the Stefan-Boltzmann equation. This rough estimation gives a  
12 temperature gap inferior to 10°C.

13  
14

### 15 **3. Results and Discussion**

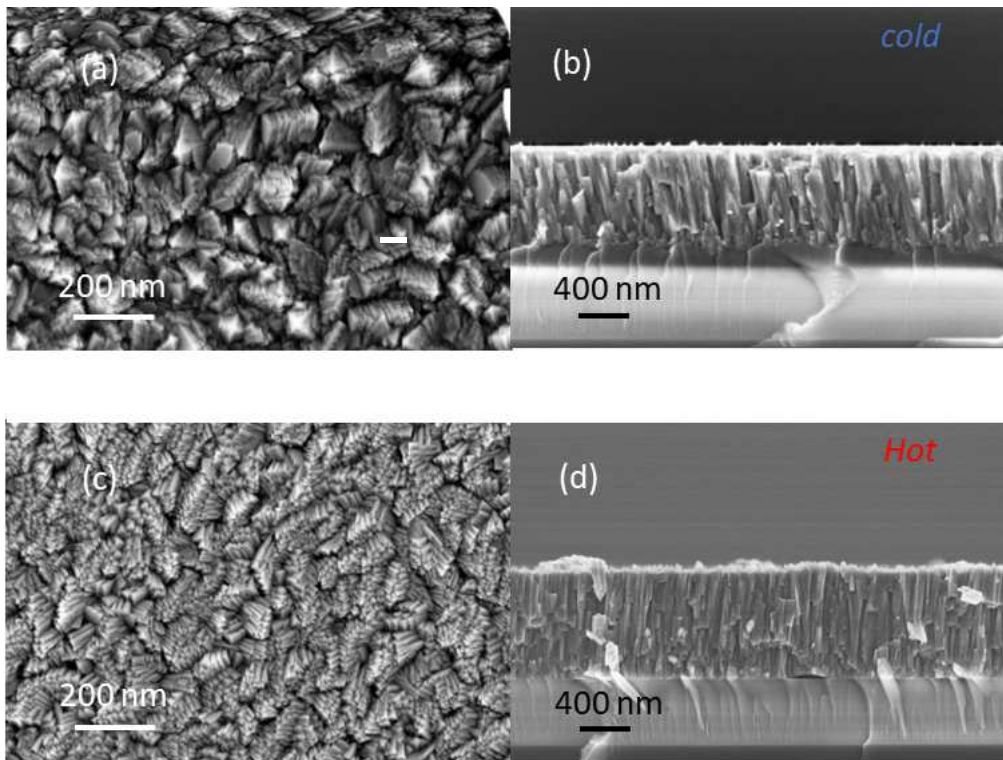
#### 16 *Morphological and structural properties of films*

17 First insight into the growth of  $\text{TiO}_x$  on  $\text{SiO}_2/\text{Si}$  substrate was obtained from SEM observations  
18 of 800 nm thick films. Since deposition rates depend on the configuration, the deposition time  
19 has been tailored. Effect of the target temperature on the erosion rate has been investigated in a  
20 previous paper [22]. Values obtained at 150 W in cold and hot configurations are 7 nm/min and  
21 12 nm/min, respectively.

22 It is seen on SEM images of Figure 1 that columnar structure expected in magnetron sputtering  
23 is obtained. But the density and the grain size are clearly impacted by the deposition  
24 configuration. This is especially observed on plane views where the mean size of the sharp  
25 angular grains appears larger when a cold target is used. This could indicate an enhanced lateral  
26 growth (parallel to the substrate surface). In cold configuration, the substrate temperature  
27 increases to some extent and reaches about 150 °C. Consequently, adatom mobility is certainly  
28 limited but exist. Typically, this stands for the zone 1C of the structure zone model [11]. In such  
29 conditions, faceted columns are expected, and deposited films are polycrystalline. In hot  
30 configuration the temperature reached during deposition is higher and lies around 250°C. In  
31 this case sharp grains are visible on Figure 1, exhibiting a very fine substructure. On cross-  
32 section image the film appears denser which could be attributed to a rise of the adatom mobility.

1 In a previous paper [22], the influence of the target surface temperature on the energy of the  
2 sputtered atoms, the radiative energy and the total energy incoming onto the substrate has been  
3 investigated. Using mass spectrometry, we observed an increase of the sputtered Ti flux but a  
4 slight decrease of their mean energy. The main modification of the total energy transferred to  
5 the substrate turning from cold to hot configuration was the part of radiation emitted by the  
6 target. Thus, the morphology change reported in the present work is a first indication that this  
7 energy contribution has an influence on the growth.

8



9

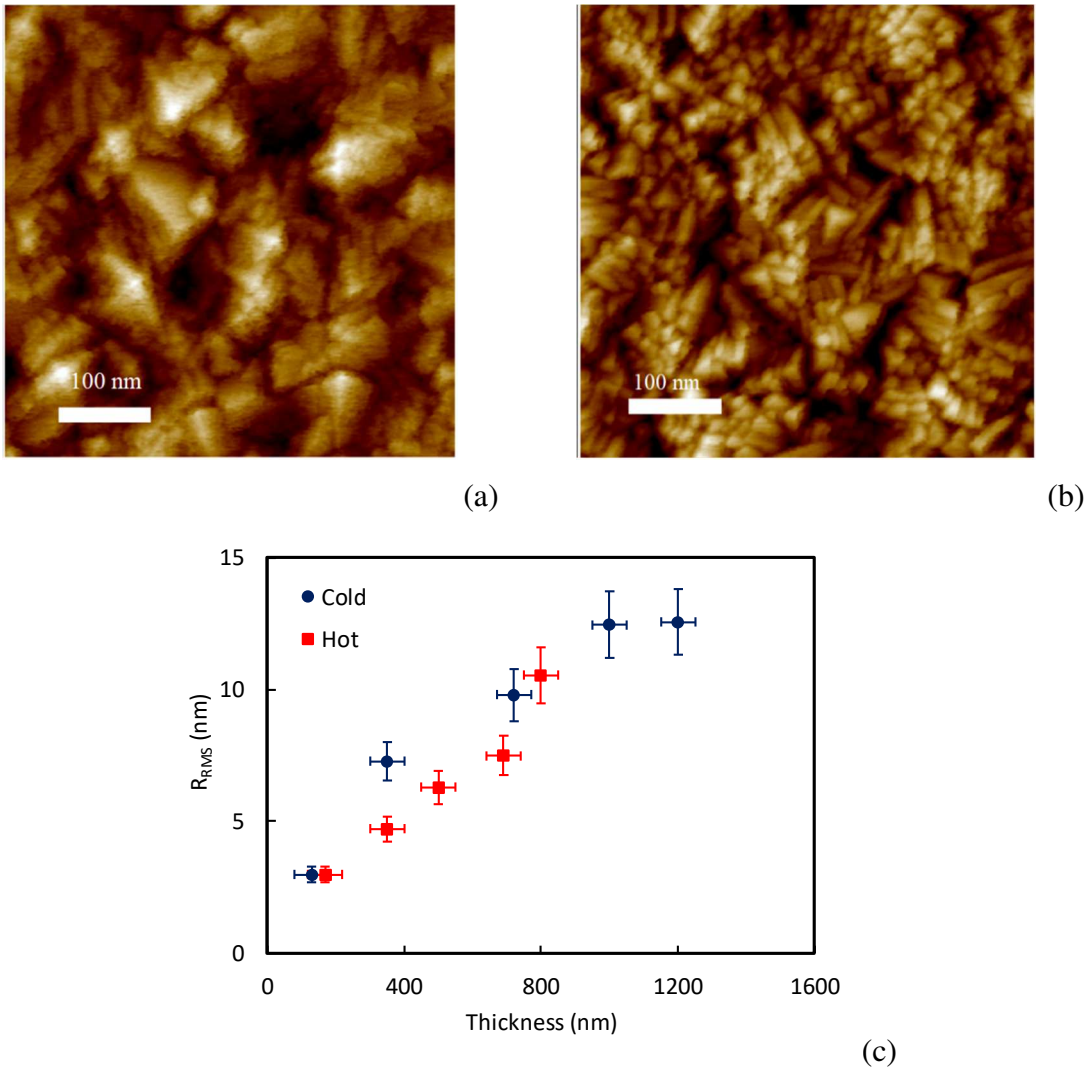
10 *Figure 1: SEM micrographs of 800 nm thick films deposited at 150 W on SiO<sub>2</sub>/Si substrate in*  
11 *cold (a,b) and hot (c,d) configurations.*

12

13 To go further, AFM analysis has been performed on films deposited onto SiO<sub>2</sub>/Si substrate.  
14 Typical images obtained in cold and hot configurations are presented Figure 2a and 2b,  
15 respectively. They are in good agreement with SEM observations. The evolution of the R<sub>RMS</sub>  
16 with the film thickness is given Figure 2c. The increase of the roughness as the films become  
17 thicker is a well-known behaviour in PVD deposition [25][26]. The interesting result in Figure  
18 2c is the slightly lower R<sub>RMS</sub> value obtained in hot configuration. This trend also supports the  
19 hypothesis of an increase of the adatom mobility in this case, which competes the shadowing  
20 effect responsible for the roughness formation [11].



1

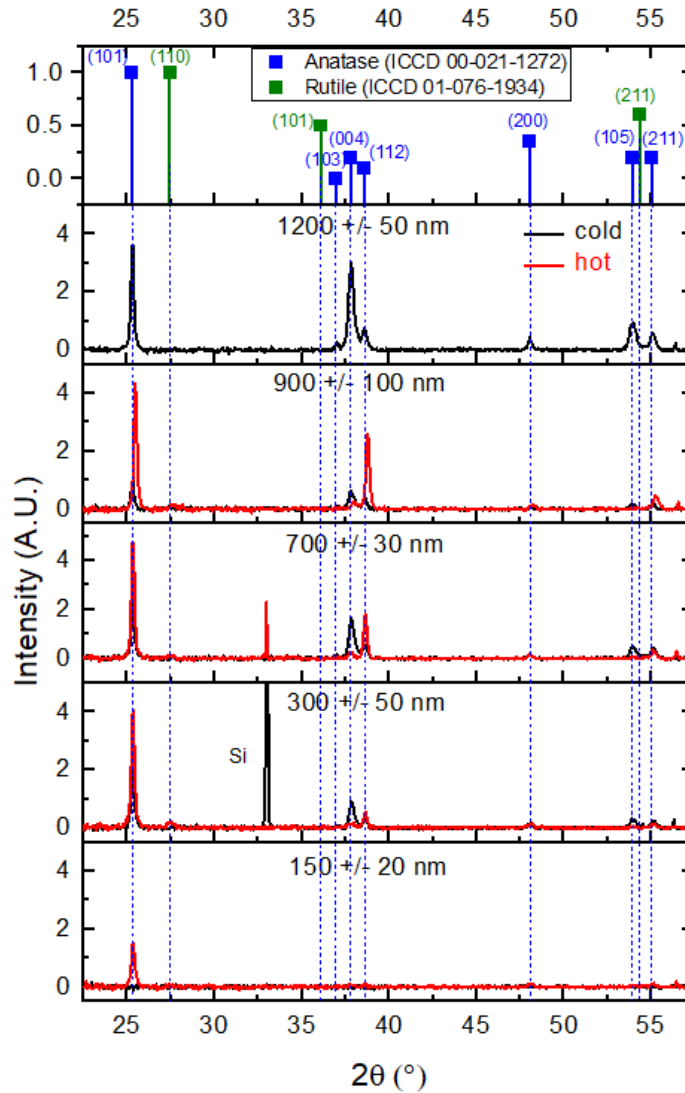


2 *Figure 2: AFM images of films deposited onto SiO<sub>2</sub>/Si substrate: a) 720 nm thick film in cold*  
3 *configuration and b) 500 nm thick film in hot configuration. c) evolution of the  $R_{RMS}$  measured*  
4 *on AFM images as function of the film thickness.*

5

6 XRD analysis has been carried out on the films. Diffraction patterns of films of increasing  
7 thicknesses (150, 300, 700, 900 and 1200 nm) deposited in cold and hot configurations are  
8 given in Figure 3 after background subtraction. Films are found polycrystalline whatever the  
9 configuration used, and the dominant phase is anatase mixed with rutile depending on the  
10 conditions. The obtained Ti-O phases are stoichiometric (or nearly stoichiometric) since the  
11 O/Ti ratios determined by RBS measurements are found to be 2 (+/- 0.05). In addition, no other  
12 phases like titanium hydroxide are detected on the XRD diagrams.

1 Turning from cold to hot configuration, a change of the orientation of crystallites is observed:  
 2 the intensity of (112) planes is promoted, whereas the (004) one decreases. This has already  
 3 been reported in our previous work [22].



4  
 5 *Figure 3: XRD patterns of cold (black lines) and hot (red lines) configuration for samples of*  
 6 *different thicknesses deposited on SiO<sub>2</sub>/Si substrates. 2θ peak position and relative intensity for*  
 7 *anatase and rutile phases (from ICCD anatase 00-021-1272 and rutile 01-076-1934) are given*  
 8 *on upper part of the figure.*

9  
 10 Texture factors were calculated to get a better insight into the furthered orientations depending  
 11 on the deposition configuration. Figure 4 presents the evolution of the texture factor of two  
 12 crystallographic orientations of TiO<sub>x</sub> anatase phase as function of the thickness. These texture  
 13 factors were calculated using the following formula [27]:

14

$$p = \frac{I_{hkl\ mes}}{I_{hkl\ pow}} / \sum \frac{I_{hkl\ pow}}{I_{hkl\ mes}} \quad (1)$$

Where  $I_{hkl\ mes}$  and  $I_{hkl\ pow}$  stand for the measured intensity of the hkl orientation in the samples and for a randomly oriented polycrystalline sample (i.e. ICCD files), respectively.

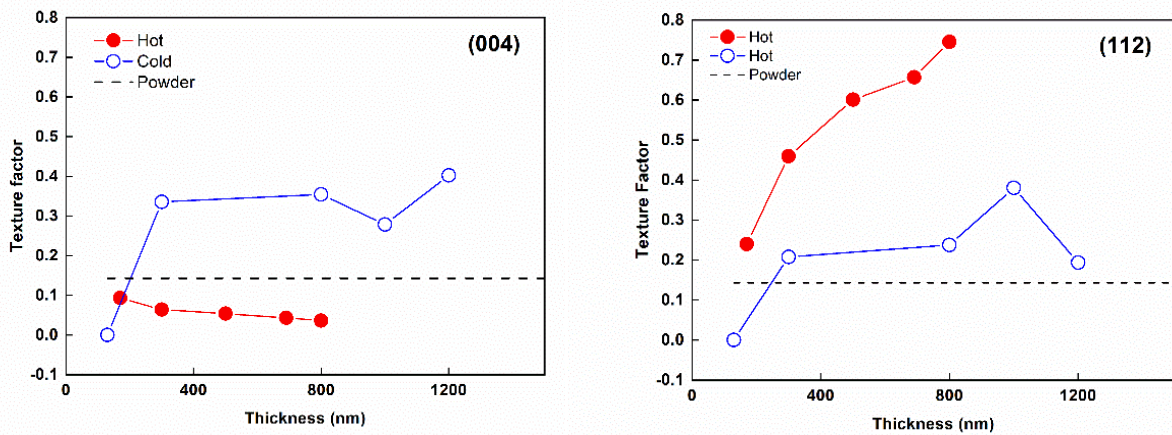


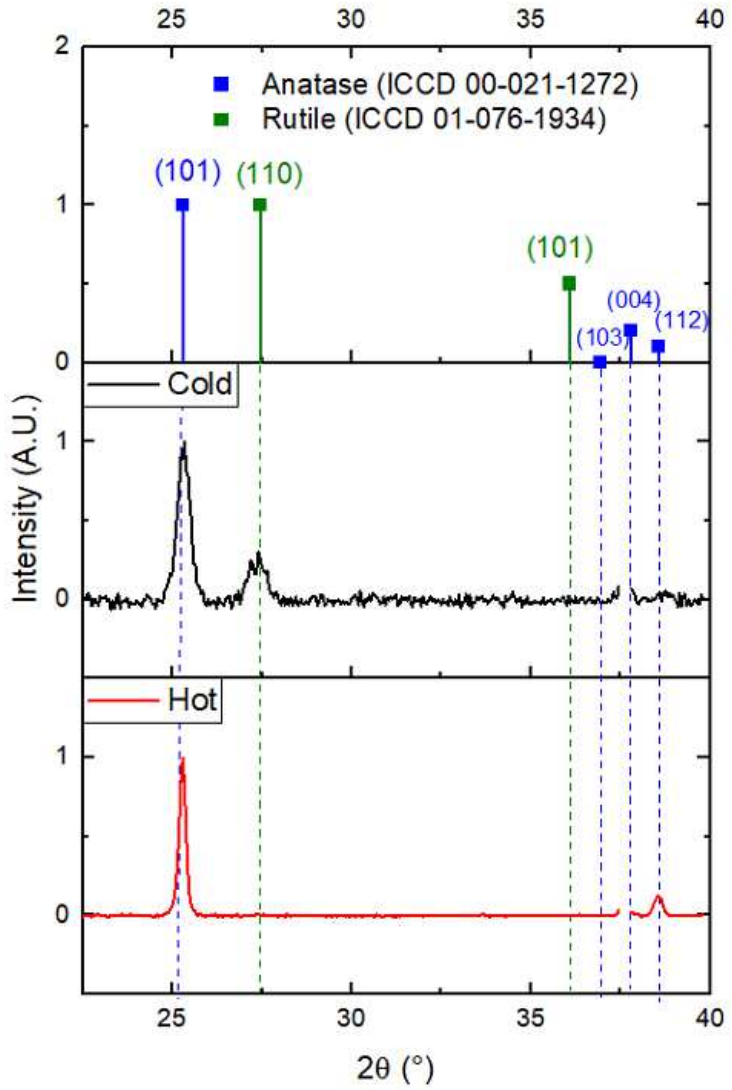
Figure 4: XRD texture factors of two family planes: (004) (left), (112) (right) calculated for anatase films with different thicknesses deposited on  $SiO_2/Si$  substrates in hot (red solid symbols) and cold (blue opened symbols) target configurations. The dotted lines correspond to the texture factors of a polycrystalline sample with randomly distributed crystallites (i.e. powder)

In cold configuration, the texture factors of each plane lie in a quite restricted range (0.1 to 0.4), whereas using a hot target clearly furthers the growth of (112) oriented planes and leads to an almost extinction of the (004) orientation. From graphs of Figure 4, it is also seen that, in cold configuration, the texture factor of all the family planes remain quite the same as the film becomes thicker. This is not the case in hot configuration, since the (112) orientation appears furthered when the thickness increases. This could be due to a continuous absorption of the IR radiation by the growing film that might result in a rise of the substrate temperature in hot configuration. Musil et al. [7], for instance, have evidenced an increase of the substrate surface temperature during the growth even after 90 min, when an oxide target, supposed to emit IR radiations, is used. We did not find such behaviour in the present work, since the temperature measured behind the substrates reaches a steady state after 15 min. Nevertheless, like for annealing process not only the reached temperature, but also the time duration may have an influence. And thick film samples have been longer exposed to the slightly higher substrate temperature. However, referring to the well-known structure zone model [11][28][29] the characteristics of these films (cross section morphology; no significant preferential orientation) indicate that in our experimental conditions we lie in the zone 1c in cold configuration. In hot configuration, the growth regime certainly enters the zone T, where preferential orientation is

1 observed and is related to the planes exhibiting the fastest growth kinetics. In this regime of  
2 growth, the main orientation further develops when the thickness increases [11][29].

3 *Optical properties of films*

4 TiO<sub>x</sub> films have been deposited onto c-cut sapphire (Al<sub>2</sub>O<sub>3</sub> (001) oriented) substrates to study  
5 their optical properties. In that way, UV-Visible optical transmission measurements have been  
6 performed. During the same runs of deposition experiment, pieces of Si wafer were placed close  
7 to sapphire substrates as references. Thicknesses of TiO<sub>x</sub> films deposited on Si wafer were  
8 found to be 780±50 nm and 930±50 nm in cold and hot configuration, respectively. XRD  
9 analyses have been carried out on films deposited on (001) Al<sub>2</sub>O<sub>3</sub> substrates. The diffractograms  
10 are given Figure 5.



11 *Figure 5: XRD patterns of thin films deposited on c-cut sapphire substrate in cold and hot*  
12 *configurations.*

1

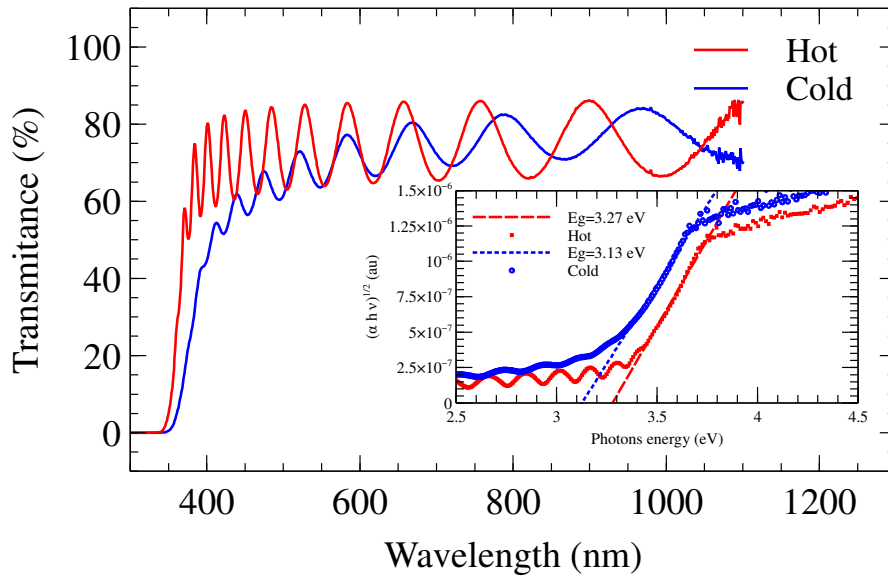
2 When turning from cold to hot configuration the same trend than evidenced on SiO<sub>2</sub>/Si is  
3 observed: in cold configuration, the film is poorly crystallized and constituted by a mixture of  
4 anatase and rutile while only the anatase phase is formed in hot configuration. This anatase film  
5 shows a better crystallinity according to the narrowing of the peak. As observed for films  
6 deposited on SiO<sub>2</sub>/Si substrate, an enhancement of the (112) anatase diffraction peak at  
7 2θ=37.8° is evidenced in hot configuration.

8 Transmission curves of TiO<sub>2</sub> films deposited onto sapphire are presented in Figure 6 for both  
9 hot and cold configurations. The absorption coefficient (α) of each films was deduced from :

$$\alpha = \frac{1}{t} \ln(1/T) \tag{2}$$

10 where T is the transmittance and t is the film thickness, assuming the thickness of the TiO<sub>2</sub>/c-  
11 cut sapphire films to be very close to that of the corresponding TiO<sub>2</sub>/Si obtained from SEM  
12 cross section measurement (780±50 nm and 930±50 nm in cold and hot configuration,  
13 respectively).

14



15

16 *Figure 6: Transmittance curves of TiO<sub>x</sub> films grown in cold or hot configuration on sapphire*  
17 *substrates. Inset: Tauc' plot (m=1/2) for both films.*

18

19 On Figure 6 it is seen that transmission of both films is very similar at wavelengths above 700  
20 nm. The periodicity of the oscillations due to interference phenomenon, is related to the film  
21 thicknesses. In the 600-800 nm range, the transmission of films is around 70% for both films,  
22 that is similar to the transmission reported in literature for TiO<sub>2</sub> thin films [30]. However, the

1 transmission differs notably in the vicinity of the absorption edge close to the optical bandgap.  
2 The optical bandgap energy of the two films was estimated using the Tauc' plot [31] approach  
3 which consists of plotting  $(\alpha E)^{1/2}$  versus E (inset in Fig. 6), assuming that anatase TiO<sub>2</sub> is  
4 considered as an indirect bandgap material [32]. The optical bandgap  $E_g$  values of 3.13 eV and  
5 3.27 eV were obtained for films deposited in cold and hot configurations, respectively. Typical  
6 values reported for rutile and anatase films grown by reactive sputtering in Ar/O<sub>2</sub> atmosphere  
7 are 3.0 eV and 3.2 eV [33], respectively. It is worth noticing that these bandgap energies taken  
8 as reference may vary around these values depending on the experimental growth conditions of  
9 TiO<sub>2</sub> compounds that affect the composition (possible oxygen deficiency), the morphology  
10 (grain size, surface roughness) and the structural defects in the TiO<sub>2</sub> materials.  
11 For instance, the bandgap values  $E_g$  are 3.02-3.05 eV for rutile single crystals and 3.00-3.16 eV  
12 for rutile films. For anatase single crystals and anatase films, the values are 3.2 eV and 3.15-  
13 3.40 eV, respectively [34]. In addition, the bandgap values determined from the Tauc' plot  
14 depend upon the type of the expected optical transitions: very recently, V.V. Shymanovska et  
15 al. [35] obtained  $E_g$  values of 3.03 and 2.86 eV for anatase thin films considering a direct-  
16 allowed and indirect-allowed transitions, respectively, while  $E_g$  are 3.23 and 3.13 eV for direct-  
17 and indirect- transitions in rutile films. These data show that our values are in good agreement  
18 with the results published elsewhere and are related to the formation of anatase- or rutile-based  
19 films. The obtained optical bandgap of 3.13 eV for the film grown in cold configuration is  
20 consistent with the presence of rutile together with anatase: the bandgap energy of rutile being  
21 lower than that of anatase, the  $E_g$  value of the film decreases compared to a pure anatase film.  
22 In addition, the low value of optical gap obtained in cold configuration (than the one obtained  
23 in hot configuration) may also be related to its worst crystallinity since poorly crystallized  
24 materials may show localized states which extend into the forbidden band leading to a decrease  
25 of the bandgap [36].  
26 Pure anatase structure obtained in hot configuration is not consistent with previous works from  
27 Domaradzki et al. [21] who observed a mixture of rutile and anatase in this configuration  
28 leading to a bandgap of  $3.09 \text{ eV} \pm 0.03 \text{ eV}$  for similar thickness of TiO<sub>2</sub> thin film (800 nm in  
29 their work and 930 nm in our case). Our value of bandgap is much closer to the one they  
30 obtained for thinner films (415 nm) in hot configuration ( $3.34 \text{ eV} \pm 0.06 \text{ eV}$  for 415 nm) which  
31 shows anatase structure. Such comparison confirms that the crystalline phases and consequently  
32 the optical bandgap depend on the film thickness and the configuration.  
33 The film obtained in hot configuration constituted by anatase, exhibits a slightly larger optical  
34 bandgap (3.27 eV) than that of reference anatase (3.2 eV). The increase of optical bandgap (i.e.

1 blue shift) is well described by the Burstein-Moss effect [37] and is related to the conduction  
2 band filling due to a higher intrinsic carrier density which limits thermal and optical excitation.  
3 Such behaviour, low transparency and high intrinsic carrier density, is classically interpreted as  
4 oxygen vacancies in oxide thin films, which lead to donor states in the conduction band. It can  
5 be noted that the measurement of oxygen content by RBS in films evidenced a O/Ti ratio around  
6 2, indicating the formation of stoichiometric (or nearly stoichiometric) anatase film. But,  
7 considering the low uncertainty on oxygen content determined by RBS (around 5%), it may  
8 therefore not be excluded that a slight oxygen deficiency could be at the origin of the small  
9 increase of the optical bandgap observed in the case of hot configuration. Yang et al have  
10 reported such an increase of the optical bandgap on Al-doped ZnO thin films when a hot  
11 configuration is used [38]. They also highlighted that the crystalline quality is enhanced, which  
12 indicates reduced defects and grain boundaries. This agrees with our results, since a narrowing  
13 of the anatase phase peaks have been detected when turning from cold to hot configuration on  
14 this set of samples (see Figure 5).

15

16

## 17 **Conclusion**

18 Structural, morphological and optical properties of  $\text{TiO}_x$  films deposited by hot Ti target  
19 reactive sputtering have been investigated and compared with the classical cold target  
20 configuration. Due to the limited power density used in this work ( $7.4 \text{ W.cm}^{-2}$ ), the reached  
21 target temperature remains far from the titanium melting point. As a consequence, the substrate  
22 temperature during the growth does not rise a lot in hot target configuration: it was evaluated  
23 to be lower than  $150^\circ\text{C}$  in cold configuration and around  $220^\circ\text{C}$  in hot configuration. Even at  
24 temperatures far from the melting point, IR light emitted from a self-heating target influence  
25 the growth of a film in reactive sputtering and this confirms first trends observed in [9].  
26 However, in this limited range of temperature, SEM and AFM observations pointed out the  
27 furthered role of adatom mobility in hot configuration as compared to cold one, influencing the  
28 morphology, the density, the roughness, and the main crystalline orientation of the  $\text{TiO}_x$  films.  
29 This has been found in good agreement with what could be expected from the structure zone  
30 model turning from 1c to well-known T zone.

31 In our experimental conditions, the use of a hot target configuration allows to grow crystallized  
32 and singled phase anatase  $\text{TiO}_2$  films while the films obtained in classical cold configuration  
33 are constituted by a mixture of anatase and rutile with a lowest crystallinity. Consequently, a

1 better optical transparency in the UV-Vis-nearIR range is observed for hot target MS TiO<sub>2</sub> films  
2 and the optical bandgap (3.27 eV) of these films is close to the classical values obtained  
3 elsewhere. Reactive MS in Ar/O<sub>2</sub> with self-heating target is an interesting way to produce oxide  
4 films with better properties compared with those obtained in classical MS while avoiding  
5 heating the substrate.

6

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12

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