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## New Mechanism for Long Photo-Induced Enhanced Raman Spectroscopy in Au Nanoparticles Embedded in TiO<sub>2</sub>

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1 **New mechanism for long Photo-Induced Enhanced Raman Spectroscopy in Au**  
2 **nanoparticles embedded in TiO<sub>2</sub>**

3

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18 **Keywords:** TiO<sub>2</sub>; SERS; nanoparticles; cathodoluminescence; photo-induced charge  
19 separation; PIERS

20

21 **Abstract.**

22 The PIERS effect (Photo-Induced Enhanced Raman Spectroscopy) is a phenomenon taking  
23 place when plasmonic nanoparticles deposited on a semiconductor are illuminated by UV light  
24 before the Raman measurement. Recent results show enhancement of the Raman scattered  
25 intensity even greater than with conventional surface enhanced Raman Scattering that last for  
26 about an hour. The proposed mechanism for this effect is the creation of oxygen vacancies in  
27 the semiconductor that would create a path for charge transfer between the analyte and the  
28 nanoparticles. However, this hypothesis has never been confirmed experimentally. Furthermore,  
29 the tested structure of the PIERS substrate has always been composed of plasmonic  
30 nanoparticles on top of the semiconductor. In here we present PIERS results obtained on gold  
31 nanoparticles co-deposited with porous TiO<sub>2</sub> which confer them a unique position half buried  
32 in the semiconductor. The resulting PIERS intensity is among the highest measured until now  
33 but most importantly the duration of the effect is significantly longer (at least 8 days).  
34 Cathodoluminescence measurements on these samples show for the first time that two distinct

1 mechanisms are at stake for co-deposited and dropped casted gold nanoparticles. The oxygen  
2 vacancies hypothesis tends to be confirmed for the latter, but a the narrowing of the depletion  
3 zone explains the long PIERS effect.

4

## 1 **1 Introduction**

2 Surface Enhanced Raman Spectroscopy (SERS) is known for its high sensitivity and has been  
3 widely applied to the detection of biomarkers and molecules <sup>[1-5]</sup>. Researchers have reported  
4 enhancing factors up to  $10^{14}$ <sup>[6-8]</sup> and some even claim that it is possible to detect a single  
5 molecule<sup>[9,10]</sup>. The understanding of the origin of SERS allow to go further than the simple  
6 detection of chemicals. For example, the study of the conformation of complex molecules<sup>[11,12]</sup>  
7 has been made possible because it is known that the Raman scattering enhancement is  
8 dependent on the distance from the enhancing surface. As a consequence, the closest to the  
9 surface a molecular bond is the strongest enhancement it will have.

10 The SERS effect has been experimentally described for the first time in the 1970s when  
11 scientists noticed that the Raman spectra were much more intense if the molecules were in the  
12 vicinity of a rough metallic surface <sup>[13-16]</sup>. The origin of SERS continues to be explored until  
13 today, however it is commonly admitted that part of the extraordinary enhancement is due to  
14 the generation of an electromagnetic field near the molecule. In the first SERS experiment, a  
15 delocalized Surface Plasmon (SP) was involved. Localized Surface Plasmon (LSP) refers to the  
16 collective oscillation of the nanoparticle (NP) electronic cloud by the excitation of an incident  
17 light and are a much powerful tool to confine and manipulate the electromagnetic field of light  
18 at the nanoscale. This explains why most of the SERS related research of these past decades  
19 has been focused on SERS with metallic NPs. Another proposition has been made to explain  
20 the origin of SERS, the so-called chemical effect<sup>[17]</sup> takes place when a molecule is binding to  
21 a metallic nanoparticle and charge transfer is promoted between the molecule and the metal.

22 The materials of the surface and of the NPs, as well as the geometry of the system are of crucial  
23 importance to set up SERS. For example, the electromagnetic effect may be due to the LSP, yet  
24 the intensity of the electric field around the NP is related to its shape. The lightning-rod  
25 effect<sup>[18,19]</sup> takes place on sharp metallic nanostructure where the electric field is confined. This  
26 contributes to considerably enhance the Raman scattered intensity<sup>[20-22]</sup>. Another way to  
27 contribute to the electromagnetic field intensity is to confine it in between two close  
28 nanoparticles to form hot spots<sup>[23]</sup>.

29 Similarly, it is possible to contribute to the chemical effect for an even greater enhancement of  
30 the Raman scattering intensity. In this case the choice of materials has consequences on the  
31 electron transfer pathways between the nanostructured surface and the chemical. Traditionally  
32 Ag and Au are preferred for the NPs because they are showing the most intense plasmons in  
33 the visible<sup>[24]</sup>, their chemistry is well known and allow a large range of molecules to be grafted.  
34 Au especially doesn't oxidize and is probably the most use material for SERS. Another example

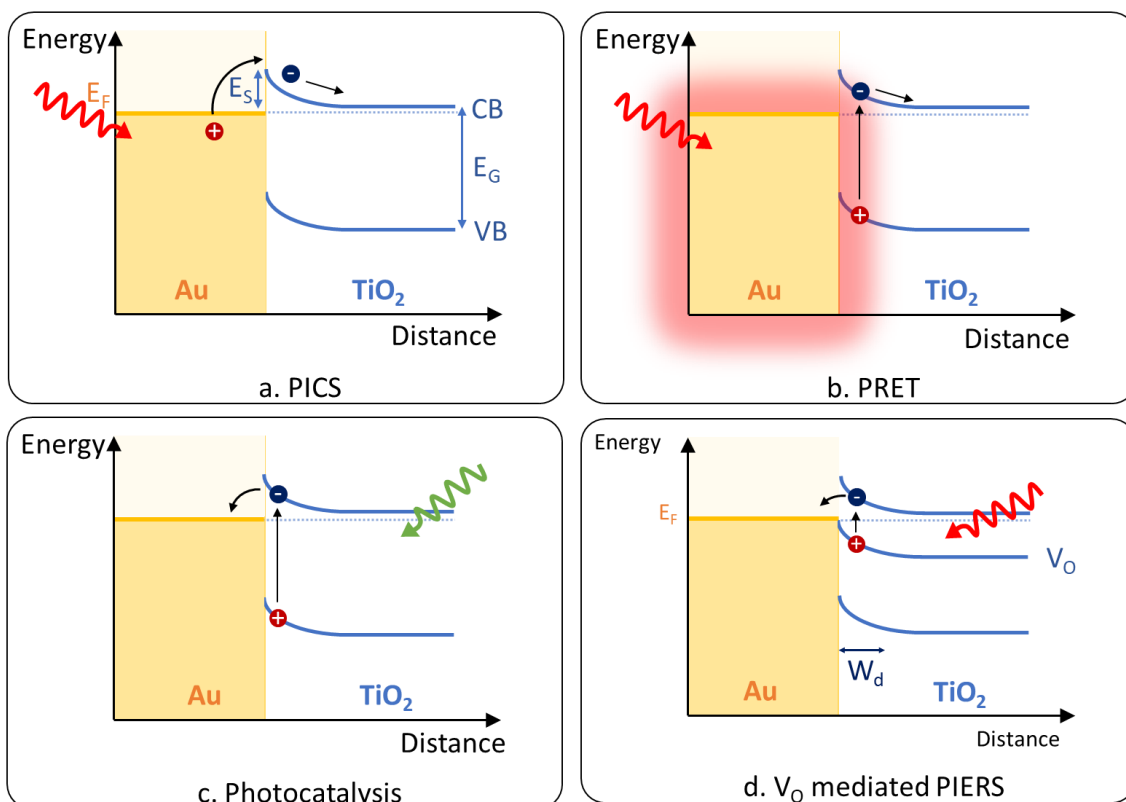
1 is given by semiconductors. The intensity of semiconductor's LSP is indeed weaker, yet the  
2 wide use of semiconductors in the industry makes them good candidates for a compromise  
3 between cost and gain<sup>[25,26]</sup>.

4 When a molecule is grafted on a metal, electron transfers are likely to take place between the  
5 Highest Occupied Molecular Orbital (HOMO) of the molecule and the Fermi level of the metal.  
6 In semiconductors, electrons transfer occurs between the HOMO and the conduction band (CB)  
7 or between the valence band of the substrate (VB) and the Lowest Unoccupied Molecular  
8 Orbital (LUMO) of the analyte. In other words, the use of a semiconductor increases the  
9 numbers of possible charge transfer mechanisms. It is especially interesting as their band gap  
10 can be tuned, it is thus possible to promote a preferred process for charge transfer, the other or  
11 even adapt the transition to a specific wavelength.

12 Adding metallic NPs to a semiconductor has been demonstrated to be even more efficient for  
13 SERS. Plasmonic NPs can contribute to charge transfer in different ways presented in **Figure**  
14 **1**. The Plasmon Induced Charge Separation (PICS) mechanism (**Figure 1a**) where the charges  
15 are excited in the NP (either interband transition or hot electron) and have enough energy to  
16 overcome the Schottky barrier between the metal and the semiconductor. Another way to  
17 transfer electrons from a metallic NP to the semiconductor is to take advantage of its plasmonic  
18 activity. In PRET (Plasmon Resonant Energy Transfer) the electromagnetic field emitted by the  
19 LSP induces a charge excitation inside the semiconductor (**Figure 1b**). Finally, SERS can take  
20 advantage of the photocatalytic effect where the electron is transferred from the semiconductor  
21 into the NP (**Figure 1c**).

22 The possibility of adding charges to the plasmonic NP widens the possibilities for SERS as the  
23 chemical effect is based on charge transfer between the nanostructured surface and the analyte  
24 whose Raman scattering is to be enhanced. The group of J. R. Lombardi has exploited the  
25 combinations offered by Ag NPs in TiO<sub>2</sub> to induce SERS by charge transfer<sup>[25]</sup>. In 2016, Ben  
26 Jaber et al. <sup>[27]</sup> have gone one step further by using UV light to irradiate Au NP drop-casted on  
27 TiO<sub>2</sub> rutile. The enhancement of the Raman intensity is about three times higher by Photo-  
28 Induced Enhanced Raman Scattering (PIERS) than with traditional SERS. The authors claim  
29 that UV illumination results in oxygen vacancies (V<sub>O</sub>) formation in the TiO<sub>2</sub> whose energy level  
30 under the conduction band of TiO<sub>2</sub>. It eases the charge transfer from V<sub>O</sub> to the Au NPs and then  
31 to the molecule when the system is under the illumination of the Raman spectrometer (**Figure**  
32 **1d**). Around 60 minutes later, the V<sub>O</sub> are cured in air and the PIERS effect disappears.

33



1  
 2 **Figure 1.** Mechanisms of charges transfer between a metallic nanoparticle and a  
 3 semiconductor: a) PICS, b) PRET, c) Photocatalysis and d) Oxygen vacancy mediated PIERS.  
 4 The Schottky barrier is described by  $E_F$  the Fermi level of the metal, VB and CB the valence  
 5 and conduction band,  $E_G$  the energy of the band gap and  $E_S$  the energy of the Schottky barrier.

6  
 7 Since then, a few papers have reported results on PIERS. In all cases the NPs are on top of the  
 8 semiconductor either by drop-casting a previously synthesized solution of Au or Ag NPs or by  
 9 chemically synthesizing Ag NP directly on the semiconductor surface. So far quite a low  
 10 number of systems have been investigated:  $\text{TiO}_2$ ,  $\text{ZnO}$  and  $\text{WO}_3$  are all semiconductors where  
 11 the proposed mechanism of  $V_O$  formation upon UV irradiation has been advanced. In these  
 12 systems, the wavelength of the LSP resonance (LSPR) is always blue shifted after UV  
 13 irradiation. Other mechanisms have been considered in very specific systems, in 2018 Al-  
 14 Shammari et al <sup>[28]</sup> have reported on their study of PIERS on Ag NP drop-casted on lithium  
 15 niobate and, in 2020, Abid et al <sup>[29]</sup> have published their results of PIERS on Au NP drop casted  
 16 on a 2D material,  $\text{WS}_2$ . In the first case, it seems that the Raman enhancement is favored by a  
 17 photocatalytic effect. For  $\text{WS}_2$  the authors suggest that the charge transfer is coming from the  
 18 Au NPs toward the semiconductor and then to the analyte like what was propose in <sup>[30]</sup>. PIERS  
 19 has already been demonstrated successful on a diversity of molecules: Raman probes<sup>[27–29,31]</sup>,  
 20 biomolecules (DNA<sup>[32]</sup>, tyrosine<sup>[33]</sup>, glucose<sup>[27]</sup>), explosives<sup>[27,34]</sup>, and organic pollutants<sup>[35,36]</sup>.

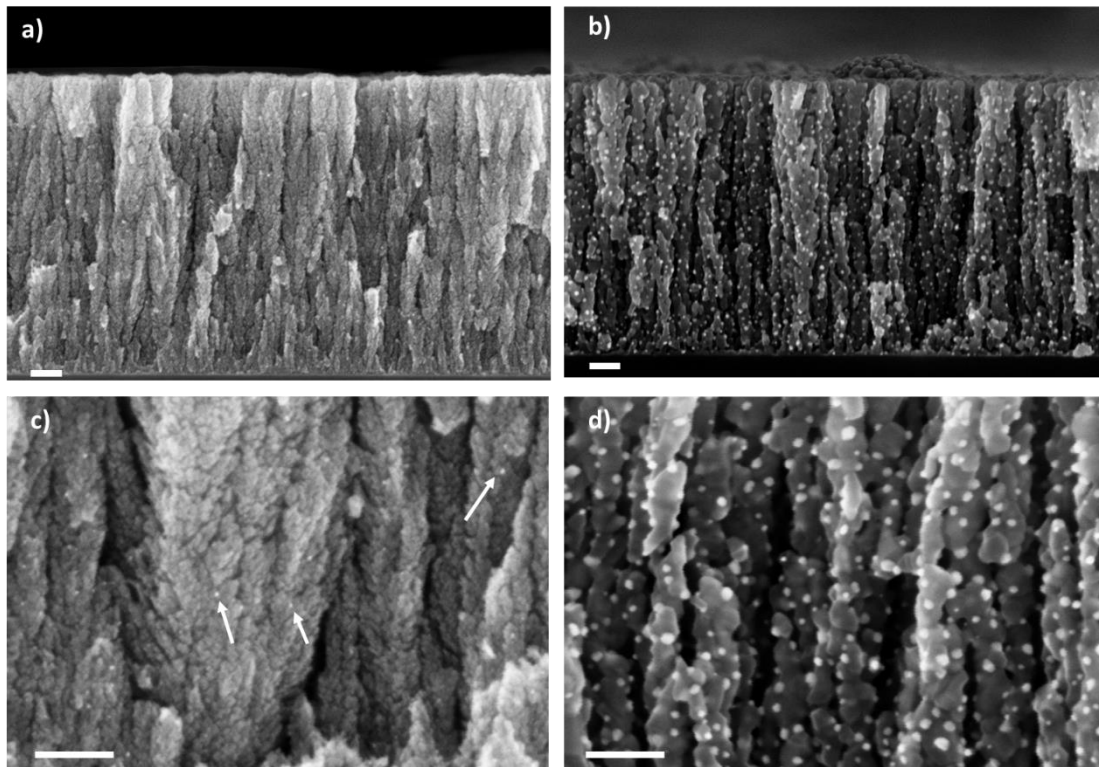
1 It has also been used for the study of  $V_O$  dynamics in semiconductors<sup>[37,38]</sup>. Nevertheless, this  
2 technique is still young and, as Zhao *et al.* are pointing out in their 2021's review<sup>[39]</sup>, several  
3 issues must still be addressed. Among them, the optimization of the system "Semiconductor +  
4 NPs" and the study of the mechanisms of PIERS.

5 In the present paper we propose to focus on these two questions. Instead of drop-casted NPs,  
6 we are considering Au NPs that have been co-deposited together with the  $TiO_2$ , so they are  
7 embedded in the semiconductor (in the following they will be referred as "embedded Au- $TiO_2$ ").  
8 For the first time we report on a red shift of the LSPR after UV irradiation and most importantly  
9 we observe a much stable enhancement (at least one week) than what was reported before.  
10 These results suggest that a distinct mechanism is at stake, therefore we have performed  
11 cathodoluminescence (CL) measurements to support our hypothesis on charge transfer  
12 mechanism specific to this system. Eventually a comparison of CL results with conventional  
13 drop casted Au NP is done to highlight the different possible processes of PIERS.

## 14 **2 Results and discussion**

### 15 **2.1 $TiO_2$ growth and structure characterization**

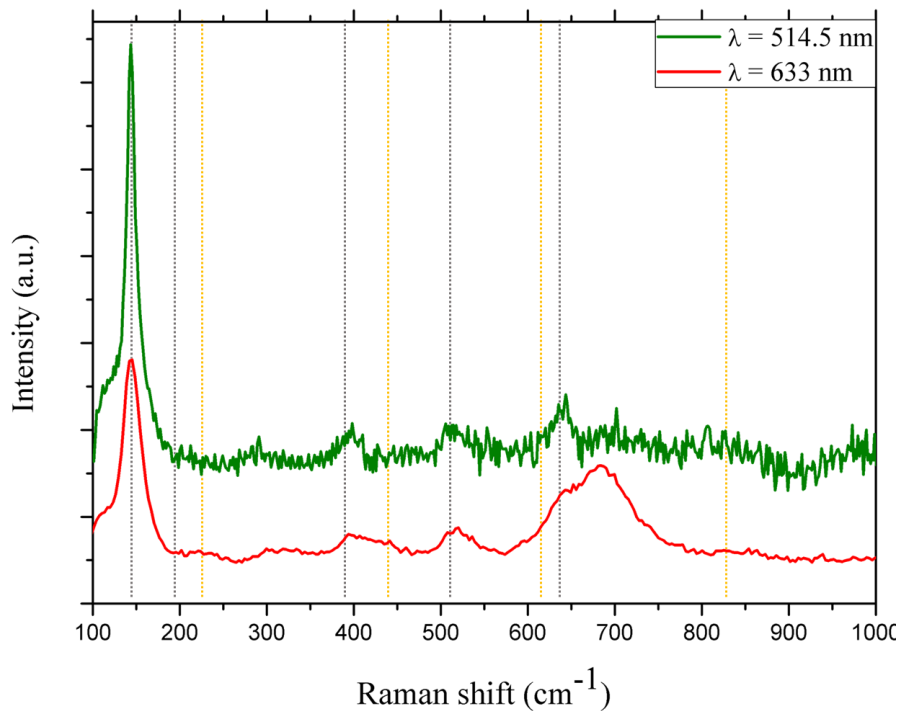
16 The embedded Au- $TiO_2$  was grown by the co-deposition of Au and  $TiO_2$  with laser ablation  
17 (see experimental for the growth details and Bricchi *et al.* <sup>[40]</sup> for the characterization). The  
18 samples investigated here were obtained after annealing them at 700°C in air. The  
19 characterization of the sample morphology was conducted through SEM, on both embedded  
20 Au- $TiO_2$  (**Figure 2**) and bare  $TiO_2$ <sup>[40]</sup> films (i.e. without Au) before and after the annealing  
21 treatments. Synthesized films, in the as deposited conditions, presented a characteristic  
22 hierarchical 1D vertically oriented, tree-like nanostructure with very large specific surface  
23 area<sup>[41]</sup>. The thermal treatment did visibly affect the shape and dimensions of these  
24 nanostructures as the tree-like  $TiO_2$  looked more compact. One of the consequences of this is  
25 the enlargement of the distance between the tree-like structure making the AuNPs more  
26 accessible. The annealing also impacts the size of the Au NP as their sized is going from about  
27 5 nm before annealing to around 12 nm after. Figure 2d shows that the AuNPs are positioned  
28 in the bulk of the sample and on the surface of the  $TiO_2$  tree-like structures. AuNPs are actually  
29 pinned to the surface of the trees which makes interactions possible with both  $TiO_2$  and the  
30 environment.



1  
2 **Figure 2.** SEM images of the embedded Au-TiO<sub>2</sub> before a) and after b) annealing at 700°C. c)  
3 and d) are magnifications of respectively a) and b). The scale bar stands for 100 nm

4  
5 Raman analysis was performed in order to investigate TiO<sub>2</sub> crystal structure. Anatase is well  
6 known to present six Raman active modes namely at 144 cm<sup>-1</sup> (Eg), 197 cm<sup>-1</sup> (Eg), 399 cm<sup>-1</sup>  
7 (B1g), 519 cm<sup>-1</sup> (superimposed with the 515 cm<sup>-1</sup> band) (A1g, B1g) and 639 cm<sup>-1</sup> (Eg). Rutile  
8 phase, instead, has five Raman active modes at: 143 cm<sup>-1</sup> (B1g) 240 cm<sup>-1</sup> (multi-photon process)  
9 447 cm<sup>-1</sup> (Eg) 612 cm<sup>-1</sup> (A1g) and 826 cm<sup>-1</sup> (B2g). **Figure 3** shows the Raman spectra obtained  
10 with an excitation wavelength of 514.5 nm and 633 nm; both spectra have been normalized to  
11 the intensity of the 144 cm<sup>-1</sup> peak. The spectra acquired with the green excitation shows a very  
12 intense peak at 144 cm<sup>-1</sup> and weaker peaks at 399 cm<sup>-1</sup>, 519cm<sup>-1</sup> and 639 cm<sup>-1</sup>. The spectra  
13 acquired with an excitation wavelength of 633 nm displays the same peaks, however as it is less  
14 noisy new peaks can be identified 233 cm<sup>-1</sup>, 450 cm<sup>-1</sup>, 615 cm<sup>-1</sup>. These peaks are characteristics  
15 of a rutile phase. A very bright peak at 685 cm<sup>-1</sup> is not conventional for TiO<sub>2</sub>, other data (not  
16 shown) indicates that it is linked to the presence of the embedded Au NPs and the thermal  
17 treatment.  
18



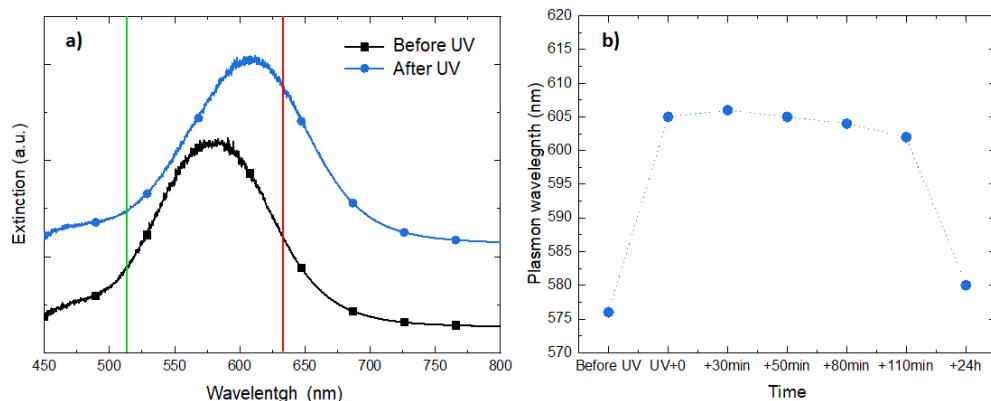


1  
 2 **Figure 3.** Raman of TiO<sub>2</sub> with Au NPs deposited at 8 Pa annealed at 700 °C. Spectra were  
 3 acquired at 514.5 nm (green) and 633 nm (red). The gray dashed lines indicate the theoretical  
 4 positions of anatase peaks and the yellow dashed lines the theoretical positions of rutile peaks  
 5

## 6 2.2 Optical properties

7 The extinction spectra of the samples have been measured before UV irradiation, immediately  
 8 after and, at several times until one day (**Figure 4.**) after. These results are then used in the  
 9 study of the influence of UV irradiation on the Raman intensity. The position of the peak before  
 10 UV irradiation is 580 nm. Just after irradiation it has red-shifted to 609 nm and this position  
 11 remains stable for almost two hours (**Figure 4b**). One day after the UV irradiation, the position  
 12 of the LSPR is blue shifted but is still 14 nm greater than the original position. This is an  
 13 important difference with other PIERS studies where the exposition to UV irradiation of a  
 14 metallic NP/semiconductor system led to a blue shift. In the literature many combinations of  
 15 materials have been tested for both the semiconductor and the plasmonic NPs. The size of the  
 16 NPs as well as their growth process have also been varied. Among the parameters that have not  
 17 been investigated yet is the position of the NPs with respect to the semiconductor (partially  
 18 buried in the bulk instead of on top of the surface).

19



1  
 2 **Figure 4.** a) Extinction spectra of the sample acquired before UV irradiation (black) and  
 3 immediately after (blue). The two vertical lines show the position of the laser excitations for  
 4 Raman experiment. b) Evolution of the LSPR wavelength with time.

5  
 6 **2.3 SERS measurement**

7 The SERS measurements were performed after soaking the samples in a Mercaptobenzoic acid  
 8 (MBA) solution. This molecule is a well-known Raman reporter whose SH group has a high  
 9 affinity with gold but none with TiO<sub>2</sub>, this guarantes a specific grafting on the Au NPs. A single  
 10 layer of molecule is made sure by thorough rinsing<sup>[42–45]</sup>. SERS measurement were perfoimered  
 11 on a non irradiated sample and on another sample 30 minutes and 8 days after UV irradiation  
 12 (30 minutes being the duration for the AuNPs functionalization, see experimental part) (**Figure**  
 13 **5**). On the three spectra the two broad peaks characteristics of MBA can be seen at 1080 cm<sup>-1</sup>  
 14 and 1590 cm<sup>-1</sup> which are due to ring breathing modes, respectively in plane and axial. After  
 15 irradiation these peaks are even more intense and weaker peaks emerge at 1184 cm<sup>-1</sup> and  
 16 1486 cm<sup>-1</sup> (CO and COO<sup>-</sup> stretching).

17 Previously reported PIERS experiments dealing with MBA are not always successful to  
 18 measure an enhancement of these two weaker peaks as compared with conventional SERS. The  
 19 enhancement measured here may have several possible origins such as the distance of the CO  
 20 and COO<sup>-</sup> bonds from the surface of the Au NPs, or the properties of the AuNPs embedded in  
 21 TiO<sub>2</sub> which could be more suitable for an enhancement of the chemical effect as it is  
 22 demonstrated in the following.

23 The enhancement factor for SERS ( $EF_{SERS}$  – before UV) and PIERS ( $EF_{PIERS}$  – after UV) are  
 24 calculated in a similar way as follow:

25 
$$EF_{SERS} = \frac{I_{SERS} \cdot C_R}{I_R \cdot C_{SERS}} \quad (1)$$

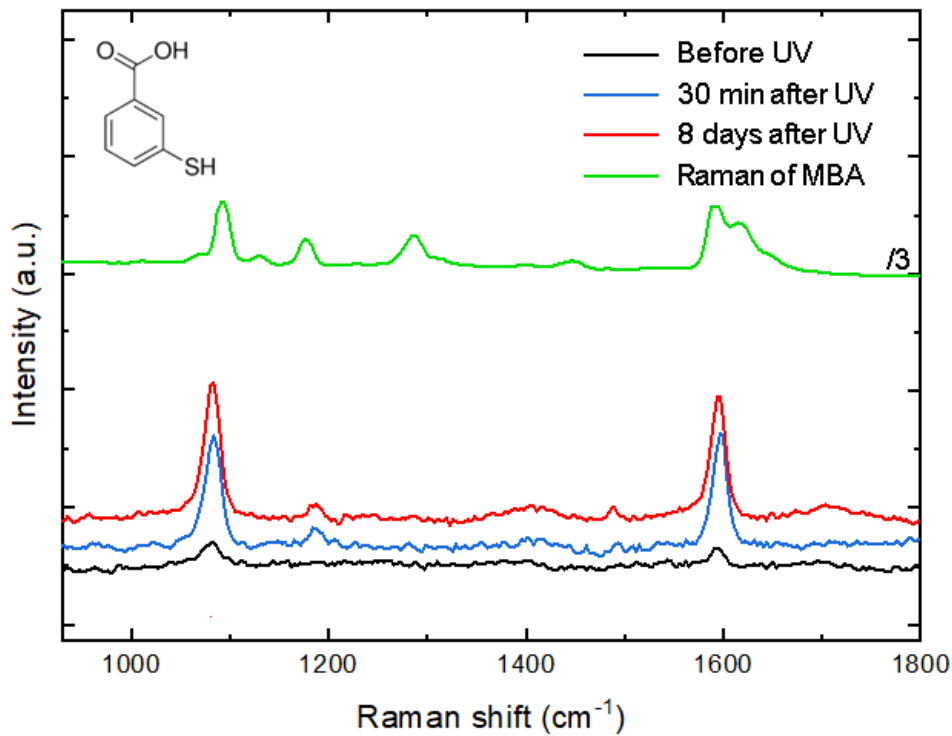
26 
$$EF_{PIERS} = \frac{I_{PIERS} \cdot C_R}{I_R \cdot C_{PIERS}} \quad (2)$$

1 Where  $I_{SERS}$ ,  $I_{PIERS}$  and  $I_R$  stands for the SERS, PIERS and Raman intensity respectively.  $C_{SERS}$ ,  
 2  $C_{PIERS}$  and  $C_R$  are the concentrations of MBA in each case.  $C_R = C_{SERS} = C_{PIERS}$  as the  
 3 functionalization does not depend on light. The PIERS gain is given by the comparison between  
 4  $EF_{PIERS}$  and  $EF_{SERS}$ :

$$G_{PIERS} = \frac{EF_{PIERS}}{EF_{SERS}} = \frac{I_{PIERS}}{I_{SERS}} \quad (3)$$

6  
 7  $G_{PIERS}$  is summarized in **Table 1** and is of about one order of magnitude for the two main peaks  
 8 at  $1080 \text{ cm}^{-1}$  and  $1590 \text{ cm}^{-1}$ . Furthermore, this enhancement is stable at least for 8 days after  
 9 UV irradiation. For comparison  $G_{PIERS}$  is equal to 7.5, 9.0, 4.5 and 3.1 in, respectively,  $\text{ZnO}^{[31]}$ ,  
 10  $\text{WO}_3^{[34]}$ ,  $\text{WS}_2^{[29]}$  and  $\text{TiO}_2^{[38]}$  (with Au NPs drop casted on top) (for comparison with systems  
 11 including AgNP a comprehensive table is available in <sup>[39]</sup>). In each of these cases the effect lasts  
 12 for about one hour.

13



14

15 **Figure 5.** SERS spectra of MBA deposited on the samples before UV irradiation (black), 30  
 16 minutes after UV irradiation (blue) and 8 days after UV irradiation (red). For comparison the  
 17 Raman spectra of MBA powder divide by 3 is plotted in green, and the structure of MBA  
 18 displayed in inset.

19

1

	1080 cm <sup>-1</sup>	1590 cm <sup>-1</sup>
<i>Before UV</i>	1	1
<i>30 minutes after UV</i>	10.2 ± 3.8	9.0 ± 2.6
<i>8 days after UV</i>	13.2 ± 4.4	8.8 ± 1.9

2 **Table 1.** G<sub>PIERS</sub> measured at 1080 cm<sup>-1</sup> and 1590 cm<sup>-1</sup> as compared to the one obtained before  
3 irradiation.

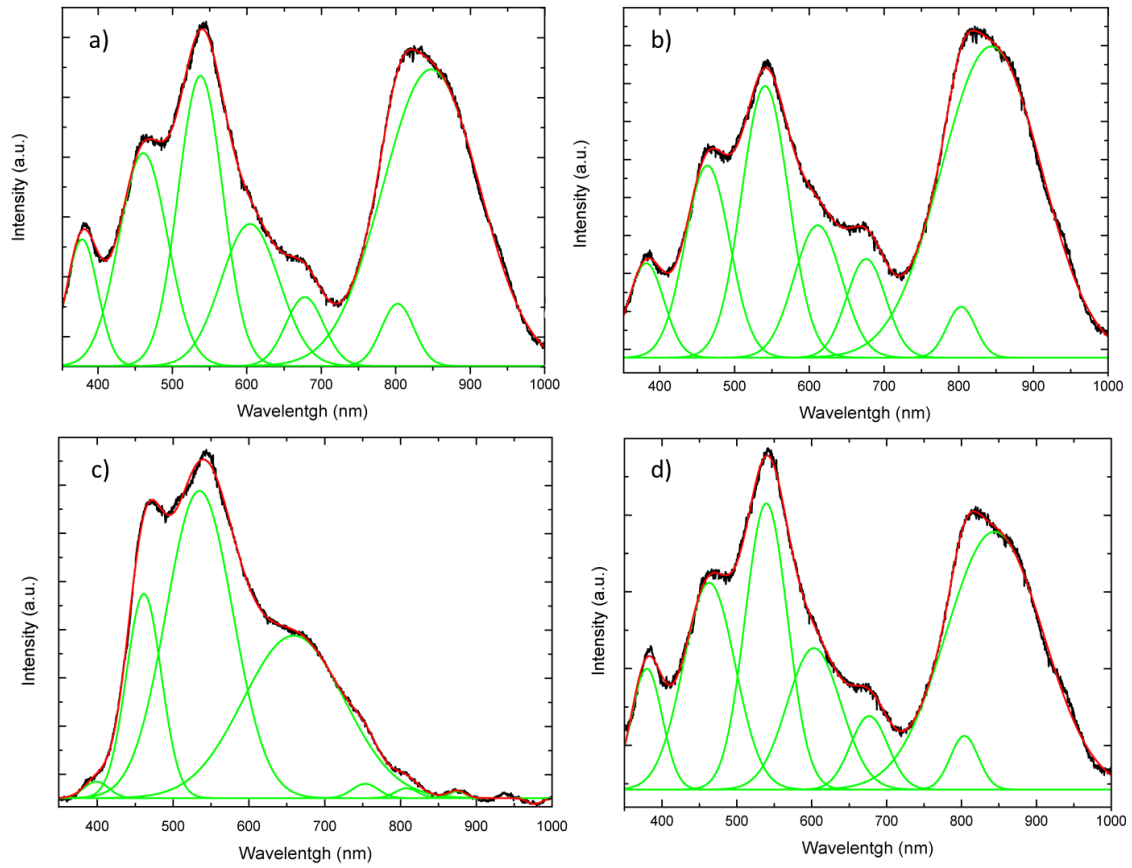
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#### 5 **2.4 Cathodoluminescence.**

6 The results presented above confirm the finding of a Photo Induced Enhanced Raman Scattering  
7 (PIERS) effect. Even though the structure of the samples is very similar to what can be found  
8 in the literature the results are better in terms of enhancement and duration. We also observe a  
9 red shift of the LSPR when a blue shift is usually seen after UV irradiation which is a sign that  
10 UV irradiation does not affect the environment of the Au NPs in the same way as previously  
11 proposed.

12 To investigate the mechanism in the embedded Au-TiO<sub>2</sub>, we have performed  
13 cathodoluminescence (CL) measurements on bare TiO<sub>2</sub> and embedded Au-TiO<sub>2</sub>. In a CL  
14 experiment, an electron beam impinges a material and excite some energies transition. This  
15 results in the emission of photon at specific wavelengths that reveals charge recombination in  
16 the material. For example, as anatase bandgap is 3.2 eV, an emission is expected at the  
17 corresponding wavelength of 380 nm. CL is also able to excite charges in Au NPs, either  
18 interband transitions (from the d to the sp band) or hot electrons produced during the plasmon  
19 decay. All CL spectra below have been normalized to the 380 nm peak intensity to ease the  
20 comparison.

21



1  
2 **Figure 6.** CL spectra of bare TiO<sub>2</sub> and embedded Au-TiO<sub>2</sub> before UV irradiation respectively  
3 a) and c) and immediately after UV irradiation respectively b) and d). The experimental data  
4 are plotted in black, deconvoluted peaks in green and the sum of these peaks in red.

5

<i>Peak position (nm)</i>	<b>Bare TiO<sub>2</sub> before UV</b>	<b>Bare TiO<sub>2</sub> after UV</b>	<b>Au-TiO<sub>2</sub> before UV</b>	<b>Au-TiO<sub>2</sub> After UV</b>
380	1	1	1	1
460	2.6	2.6	17.4	2.9
540	3.3	3.8	49.8	3.3
605	2.1	1.9	-	2.1
660	-	-	39.9	-
680	0.7	1.2	-	0.7
750	-	-	0.9	-
801	0.5	0.4	0.5	0.4
850	7.2	9.3	0.3	6.7

6 **Table 2.** Relative intensity of the CL peaks compared to the peak at 380 nm

7

8

### 1 2.4.1 CL of bare TiO<sub>2</sub>

2 **Figure 6a** shows the CL spectrum of bare TiO<sub>2</sub> before UV irradiation. The deconvolution of  
3 the spectrum indicates the presence of seven peaks whose position and relative intensities are  
4 given in **Table 2**. The relative intensities are the ratio of the intensity of the peak under  
5 consideration to the one at 380 nm, this latter has been chosen as the reference since it  
6 corresponds to anatase bandgap. The large pattern in the infrared region is composed of two  
7 peaks: a weak one at 801 nm and another very bright at 850 nm. These two peaks are attributed  
8 to Ti<sup>3+</sup> defects in rutile phase<sup>[46-48]</sup>: in presence of V<sub>O</sub> two electrons are distributed to the  
9 adjacent Ti<sup>4+</sup> ions becoming two Ti<sup>3+</sup>. At the other end of the spectrum peaks attributed to  
10 anatase are found: 380 nm correspond to anatase band gap, 460 nm is attributed to self-trapped  
11 excitons and 540 nm is due to shallow traps ascribed to V<sub>O</sub>. However, anatase presents a very  
12 bright peak at 520 nm when rutile does not<sup>[46,49]</sup> which is the case here. These first observations  
13 confirm the results of Raman spectroscopy: the crystalline structure of TiO<sub>2</sub> is made of both  
14 anatase and rutile. It also points out the presence of V<sub>O</sub> already before UV irradiation.

15 After UV irradiation (**Figure 6b**), the structure of the spectrum is overall the same. However,  
16 one can notice slight changes in the intensity ratio between the peaks (**Table 2**). Especially,  
17 the 850 nm luminescence is more intense than the one at 540 nm after UV irradiation. This is  
18 the sign of an increase in Ti<sup>3+</sup> defects due to V<sub>O</sub> formation<sup>[48]</sup>.

19

### 20 2.4.2 CL of embedded Au-TiO<sub>2</sub>

21 Before UV irradiation, the intensity ratio between the peaks of the CL spectra of embedded Au-  
22 TiO<sub>2</sub> (**Figure 6c**) is very different from bare TiO<sub>2</sub>. **Table 2** shows more explicitly the  
23 differences: an increase by a factor 6.7 and 15 of the 460 and 540 nm peaks relative intensity;  
24 The shift of the peaks at 605 nm and 680 nm to the positions of 660 nm and 750 nm; the  
25 quenching of the peak at 800 nm and 850 nm.

26 The fact that the peaks in the IR have almost disappeared reveals the conservation of the Ti<sup>4+</sup>  
27 ions. This mean either that there are less V<sub>O</sub> in the TiO<sub>2</sub> and therefore less Ti<sup>3+</sup>; or that the  
28 presence of Au prevents the charges let available by the V<sub>O</sub> to be distributed to the Ti<sup>4+</sup>.

29 At the same time, the peaks intensity at 460 nm and 540 nm have considerably increased. In  
30 CL, increased intensity is taking place only if there are more charge carriers that can recombine  
31 and consequently emit a photon.

32 The increase of the first peak demonstrates an increase of self-trapped exciton in the TiO<sub>2</sub> lattice.

33 The increase of the peak at 540 nm can have several origins. As mentioned above, they are

1 already found in bare TiO<sub>2</sub> where they are due to the shallow traps<sup>[50]</sup>. Another explanation  
2 could be related to PRET (**Figure 1b**) where the electromagnetic field generated by the LSPR  
3 promote charge transition in the TiO<sub>2</sub> bandgap. However, PRET is mostly taking place for NPs  
4 about 10 nm apart from the semiconductor surface which is not the case here. Another  
5 possibility would be a thermally activated mechanism. The temperature increases around the  
6 NP are less than 50 K<sup>[51]</sup> which is negligible for accounting for the observations. Eventually,  
7 the enhancement can be attributed to PICS (**Figure 1a**). This effect takes place at the LSPR  
8 wavelength when Au NPs are in contact with the semiconductor. Here 540 nm is close to the  
9 LSPR position and also corresponds to the Au interband transition. In other words, CL electrons  
10 excites hot electrons in the Au NPs coming either from interband transition or LSPR, which  
11 have enough energy to overcome the Schottky barrier to be transferred at the V<sub>O</sub> energy level<sup>[52]</sup>.  
12 In bare TiO<sub>2</sub> there is only one possible source of charge carriers in these regions of the spectrum  
13 whereas with the embedded Au-TiO<sub>2</sub> two more sources are available. More charge carriers  
14 implies more CL emission and explains the increase before UV irradiation.

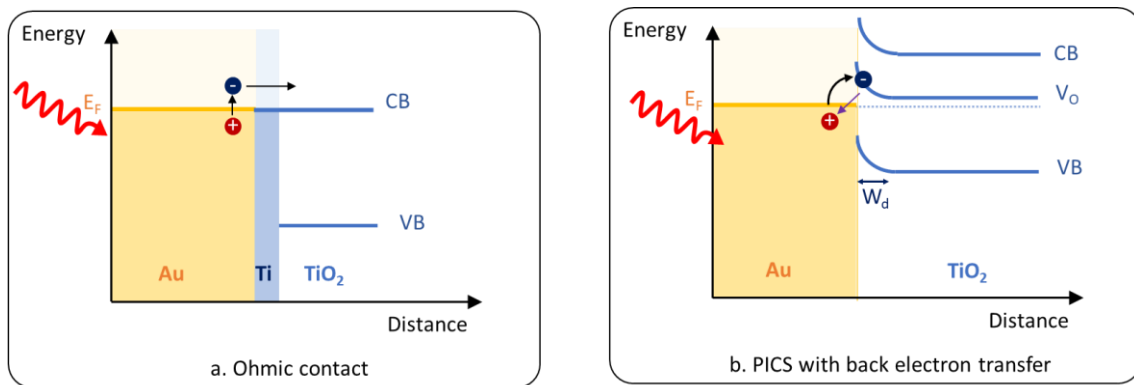
15 The fact that the absence of Ti<sup>3+</sup> coincides with the increase of self-trapped excitons suggests  
16 that the electrons left available by the V<sub>O</sub> have not been redistributed to the Ti<sup>4+</sup>. They are either  
17 transformed in self-trapped exciton or distributed to the Au NPs. This would explain the  
18 increase of the peaks at 460 nm and would be another source of luminescence at 540 nm.

19 The peak at 605 nm has shifted to 660 nm and has increased by a factor 20. The one at 680 nm  
20 has shift to 750 nm and has kept a similar intensity as the peak at 380 nm. These peak positions  
21 have already been reported in rutile powder. They are related to a lower number of radiative  
22 shallow traps<sup>[47]</sup>. The CL results on embedded Au-TiO<sub>2</sub> demonstrate the importance of the  
23 differences in the crystalline structure as compared to bare TiO<sub>2</sub>. This, in turn, has consequences  
24 on the band diagram and charge transfer mechanism between Au and TiO<sub>2</sub>.

25 Immediately after UV irradiation, the CL spectra of embedded Au-TiO<sub>2</sub> (**Figure 6d**) has  
26 significantly evolved and show high similarities with the spectra of bare TiO<sub>2</sub>. The peaks  
27 relative intensities are very similar to what is measured in bare TiO<sub>2</sub>. Especially the IR peaks  
28 are bright which is the sign of Ti<sup>3+</sup> appearance. Another striking feature is the disappearance of  
29 the CL increase at 460 nm and 540 nm.

30 In the present experiment, PICS explains the CL increase before UV irradiation. How can this  
31 effect disappear afterwards? Other conditions for PICS to take place are that the Schottky  
32 barrier between the Au NP and TiO<sub>2</sub> has to be (i) high enough to be called a barrier (otherwise  
33 the contact would be ohmic, **Figure 7a**) but not too high so the LSPR energy is sufficient to  
34 overcome it and (ii) wide enough so back-transfer charges is not authorized (**Figure 7b**)<sup>[52]</sup>.

1 After UV irradiation, LSPR red shifts from 580 nm to 609 nm (**Figure 4**). LSPR wavelength is  
 2 further away from the shallow trap peak and PICS is less likely to happen. The LSPR shifts also  
 3 means that the permittivity of the Au NPs surrounding medium is greater, in other words less  
 4 charge carriers are available in the vicinity of the Au NPs, which is consistent with a decrease  
 5 of the PICS effect (**Figure 1a**). The case of an ohmic contact between the Au NPs and the TiO<sub>2</sub>  
 6 can also be excluded as it would allow charge transfer from the metal to the semiconductor.  
 7 The decrease of the depletion zone width is more likely to explain our observations. Back-  
 8 transferred charges is coherent with a red shift of the LSPR (less charges in the vicinity of the  
 9 NP) and the decrease of the interband transition (the energy loss being accomplished via the  
 10 TiO<sub>2</sub>). The increase of Ti<sup>3+</sup> defects is associated with an increase of V<sub>O</sub> as the self-trapped  
 11 excitons have decreased, we propose that part of these electrons is transferred to the Au NPs.  
 12

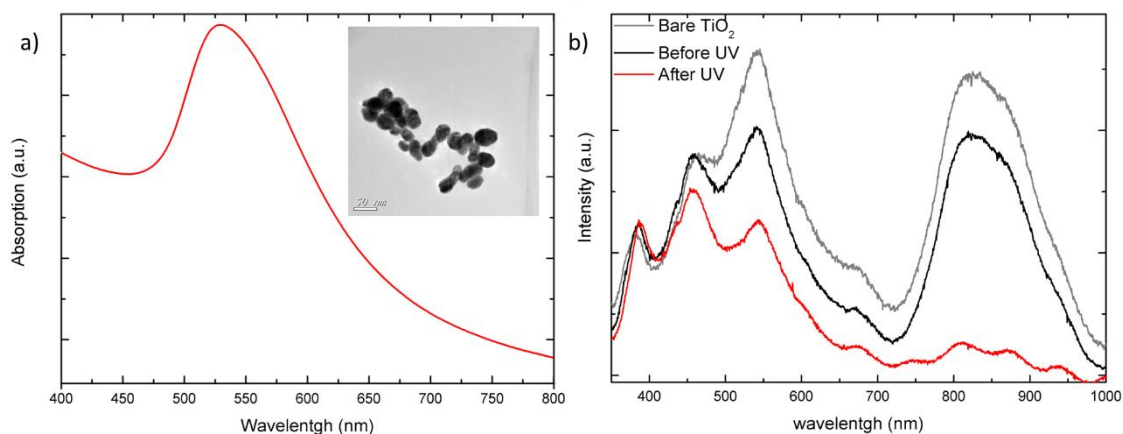


14 **Figure 7:** Proposed mechanisms for PIERS in embedded Au-TiO<sub>2</sub> a) Ohmic contact (no  
 15 depletion zone) b) Back electron transfer in PICS with narrow depletion zone ( $W_d$ ).  
 16

### 17 2.4.3 CL of Au NP drop-casted on the surface of TiO<sub>2</sub>

18 The literature so far has reported cases of PIERS using metallic NP on the surface of the semi-  
 19 conductors. Typically, these NPs are synthesized in solution then a drop is deposited and dried  
 20 on the semi-conductor. We have fabricated such samples for CL experiments before and after  
 21 UV irradiation. The purpose is to demonstrate that two distinct mechanisms are at stakes when  
 22 the Au NPs are co-deposited with the TiO<sub>2</sub> and drop-casted on the top of the TiO<sub>2</sub> surface.  
 23





1  
2 **Figure 8.** Au NP drop casted on top of TiO<sub>2</sub> surface a) TEM image and absorption spectra  
3 showing a peak at 527. b) CL spectra before and after UV irradiation, the CL spectra of bare  
4 TiO<sub>2</sub> is reminded for comparison.

5  
6 **Figure 8** shows a TEM image of the Au NPs drop casted on a carbon membrane. The absorption  
7 spectrum of this solution displays a peak at 525 nm which corresponds to the LSPR. **Figure 8b**  
8 show the CL spectra obtained before and immediately after UV irradiation on Au NPs drop  
9 casted on top of the bare TiO<sub>2</sub> which has already been described in the previous paragraph.  
10 Before UV, the spectrum is very similar to the one of bare TiO<sub>2</sub>, although the intensity of the  
11 IR region and the 540 nm peak are less intense. After UV irradiation the intensity of the peaks  
12 at 540 nm has decreased and the IR region completely quenched.  
13 Drop casted Au NPs are most sensitive to surface evolution of the TiO<sub>2</sub> structure as in this  
14 experiment the Au NPs are in contact with the top horizontal surface of the TiO<sub>2</sub>. Giving the  
15 high absorption of TiO<sub>2</sub> in the UV, it makes sense that the density of V<sub>O</sub> created by the UV is  
16 greater on the surface. However V<sub>O</sub> are less mobile than Ti<sup>3+</sup> which migrates inside the bulk<sup>[48]</sup>.  
17 As a consequence, CL peaks attributed to V<sub>O</sub> will be more intense on the surface whereas those  
18 associated with Ti<sup>3+</sup> will be found in the bulk. The quenching of the IR peaks here are explained  
19 by the fact that the Ti<sup>3+</sup> defects are further away from the surface.

20  
21 **2.5 Mechanisms of PIERS**

22 The enhancement in PIERS (**Figure 1d**) is based on the chemical effect where charges are  
23 transferred between the analyte and the nanostructured surface. Until now the proposed  
24 mechanism was based on charge injection from V<sub>O</sub> in TiO<sub>2</sub> to Au NPs. This hypothesis is  
25 coherent with the CL results presented above for drop casted Au NPs: UV light induces V<sub>O</sub>  
26 preferentially on the surface in position close to the Au NPs.

1 In the case of embedded Au-TiO<sub>2</sub>, the position of Au NP partly buried in TiO<sub>2</sub> and partly  
2 available to MBA grafting imposes another mechanism. The analysis of CL and LSPR results  
3 suggests that the depletion zone width is narrower after UV irradiation. This is a consequence  
4 of V<sub>O</sub> formation in the vicinity of the Au NPs. The unique position of the Au NPs in the TiO<sub>2</sub>  
5 allow them to be a reservoir of electrons from Ti<sup>3+</sup> defects and then to transfer these charges  
6 into MBA. This, in turn, is enhancing the chemical effect of the surface enhanced Raman  
7 scattering. The defects produced in TiO<sub>2</sub> bulk are believed to be less mobile than those at the  
8 surface<sup>[53,54]</sup>. In other words, the duration of the PIERS effect is attributed to durable bulk  
9 defects local to the Au NPs.

10

### 11 **3 Conclusions**

12 In conclusion we have studied the PIERS effect on Au NP co-deposited together with TiO<sub>2</sub>.  
13 The enhancement factor due to UV irradiation of the sample is increases by one order of  
14 magnitude which is among the highest values reported in the literature so far. CL experiments  
15 allowed us to conclude that this enhancement is due to a back transfer of charges which is  
16 typical of PICS in Schottky barrier with narrow depletion zone. The effect is stable in time  
17 contrary to what was previously reported thanks to the fact that the Au NPs are in the bulk and  
18 grown together with TiO<sub>2</sub>. The CL analysis highlighted the differences between the  
19 mechanisms taking place when Au NPs are drop casted on the surface of the samples and when  
20 they are co-deposited with the TiO<sub>2</sub>. In the first case, V<sub>O</sub> are formed following UV irradiation,  
21 the energy level of the V<sub>O</sub> is such that it is possible to excite electron transfer from TiO<sub>2</sub> to the  
22 Au NP with visible light, i.e. the laser used for the Raman scattering. In the second case, defects  
23 created by UV irradiation impact the width of the depletion zone and promote back-transfer  
24 charges to Au NP. This decreases the number of charges in the surrounding of the Au NPs and  
25 red shifts its LSPR. The enhancement of the Raman scattered intensity is possible thanks to the  
26 number of electrons in excess on the Au NP. These results demonstrate the influence of the  
27 growth mechanism on the PIERS effect. It would be interesting to study further the impact of  
28 the material on PIERS in a co-deposition process.

29

30

## 1 **4 Experimental**

### 2 **4.1 Sample growths:**

3 The co-deposition of Au-TiO<sub>2</sub> nanostructured films was realized with a composite target made  
4 of a TiO<sub>2</sub> target, on which three Au plates were attached, in order to reach a 2.9 % of Au  
5 coverage. Similarly, bare TiO<sub>2</sub> films were grown by ablation of a pure TiO<sub>2</sub> target without any  
6 Au plates. Target-to-substrate distance value was 5 cm. This condition represents the optimum  
7 in terms of interaction between ablated species and surrounding gas, because of low kinetic  
8 energy of the ablated species resulting in vertically oriented porous films. Deposition was  
9 carried out at room temperature at 8 Pa in oxygen atmosphere. Finally, the samples were  
10 annealed at 700 °C in air for 2 hours.

11

### 12 **4.2 Scanning Electron Microscopy (SEM):**

13 A field emission scanning electron microscope (FEG-SEM, Zeiss Supra 40) was used to  
14 perform morphological characterization analyzing films deposited on Si(100) substrate.  
15 Average size distribution of Au NPs was estimated through statistical analysis on SEM images  
16 with the open-source software ImageJ®.

17

### 18 **4.3 Raman spectroscopy (Sample characterization).**

19 Raman spectra were acquired with a Renishaw InVia micro Raman spectrometer, for the laser  
20 excitation wavelength of 514.5 nm (green) and Jobin-Yvon micro-Raman spectrophotometer  
21 (Labram 300) for the 633 nm wavelength. In both cases, the power was of 1 mW. The SERS  
22 spectra were recorded with the latter spectrometer, using a 100× magnification objective (NA  
23 = 0.90) in back-scattering geometry, with a spectral resolution of 3 cm<sup>-1</sup> and a spatial resolution  
24 of about 1 μm for an acquisition time of 300 s. The typical peak of silicon at 521 cm<sup>-1</sup> was used  
25 as an internal reference to normalize the intensities of all the spectra. The spectra presented here  
26 are the average of five spectra taken on different points of each sample, the details of the five  
27 spectra are available in the supplementary information file.

28

### 29 **4.4 LSP measurements.**

30 The LSPR position was measured thanks to extinction spectroscopy in transmission  
31 configuration with a 10x objective (NA=0.25) on an area of 100x100 μm<sup>2</sup> selected by the  
32 confocal hole of the Jobin-Yvon micro-Raan spectrophotometer (Labram 300) from which the  
33 edge filter was removed. The sample is illuminated was illuminated in normal incidence with  
34 collimated white light.

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**4.5 UV irradiation.**

UV irradiation was performed under a UV bulb ( $\lambda = 254$  nm) of power of 15 W and at distance of about 10 cm between the bulb and substrates, for 3 hours. The extinction spectra were measured immediately after the UV irradiation and at different time after up to one day.

**4.6 Chemicals.**

Mercaptobenzoic acid (MBA), and ethanol were purchased from Sigma Aldrich. MBA was diluted in ethanol at the concentration of 2.9 mM. Embedded Au-TiO<sub>2</sub> samples were then soaked in the solution for 30 minutes. Finally, they were thoroughly rinsed with ethanol before drying with nitrogen. The porosity of the film allowed MBA to penetrate along the whole TiO<sub>2</sub> film thickness.

The solution of Au NPs drop casted on top of the bare TiO<sub>2</sub> was synthesized using the Turkevitch methods which consist in reducing an HAuCl<sub>4</sub> salt with sodium citrate.

**4.7 Cathodoluminescence.**

The CL analysis have been performed with a Horiba HCLUE coupled with a scanning electron microscope ZEISS EVO MA15. The CL analysis have been made with an acceleration voltage of the electron beam of 10 kV. The measurement was performed before UV irradiation or immediately after.

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