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1 **Preparation of β -CuGaO₂ thin films by ion-exchange of β -NaGaO₂ film fabricated by a solgel**
2 **method**

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11

12

13 **Abstract**

14 β -CuGaO₂ is a wurtzite-derived phase that is promising for ferroelectric and photovoltaic
15 applications. Its bandgap measured in the form of powders is about 1.5 eV and is direct
16 according to density functional theory calculations, making it an appropriate solar light
17 absorber. In this work, we describe our attempts to grow this complex phase by pulsed laser
18 deposition (PLD) that resulted in growing mostly CuGa₂O₄ on various crystal substrates such
19 as SrTiO₃ (STO), Al₂O₃ (ALO), ZnO and ZrO₂:Y (9.5 mol%Y₂O₃) (YSZ). In contrast, β -CuGaO₂ is
20 obtained using ion-exchange of β -NaGaO₂ film fabricated with a cost-efficient spin coating by
21 solgel method, on substrates composed of a SiN film on c-Si (001) wafer. The potential of the
22 different films obtained is discussed in view of photovoltaic applications using Surface
23 Photovoltage under white light and Surface Photovoltage spectroscopy. While we show that

24 β -CuGaO₂ is a suitable photon absorber we conclude that the fact that the films are
25 discontinuous is detrimental for electronic transport and additional dopants must be inserted
26 in this material to promote its optoelectronic properties and charge carrier transport.

27 **Keywords:** thin films; oxide materials; photovoltaics; photon absorber

28

29 Introduction

30 Inorganic thin film photovoltaics is mainly based on cadmium telluride, amorphous silicon and copper
31 indium gallium sulfide/selenide (CIGSSe). Recently, hybrid perovskites have emerged with efficiencies
32 rivalling the record efficiencies of Si. However they still suffer from stability, reliability, scale up and
33 toxicity issues, although progress is fast. An alternative could be offered by inorganic oxide absorbers.
34 Two materials share the record laboratory conversion efficiency of 8.1 % for oxide solar cells: cuprous
35 oxide Cu_2O and the double perovskite $\text{Bi}_2\text{FeCrO}_6$ [1-5]. The former has a bandgap of 2.1 eV which is not
36 optimal as the ideal bandgap for a single bandgap solar cell is about 1.3 eV for the solar spectrum [1].
37 The latter, $\text{Bi}_2\text{FeCrO}_6$, is based on the concept of ferroelectric solar cells which do not require a *pn*
38 junction as the ferroelectric behavior is responsible for carrier separation and migration towards the
39 contacts [4]. Here we investigate an emergent material in the form of thin film, $\beta\text{-CuGaO}_2$. It contains,
40 as in CIGS, copper and gallium but the scarce indium and toxic S/Se elements are not present. Its
41 bandgap measured in the form of powders is 1.47 eV and is direct according to density functional
42 theory calculations, making it an appropriate solar light absorber [6]. The ferroelectric properties are
43 thought to be remarkable with a computed remanence polarisation of $84 \mu\text{C}/\text{cm}^2$, surpassing BiFeO_3
44 single-crystal ($\sim 60 \mu\text{C}/\text{cm}^2$ along $\langle 100 \rangle$) and comparable to LiNbO_3 ($\sim 80 \mu\text{C}/\text{cm}^2$) and PbTiO_3 (~ 90
45 $\mu\text{C}/\text{cm}^2$) [7]. Thus several studies pointed out this material as an excellent candidate for ferroelectric
46 solar cells [6,7]. $\beta\text{-CuGaO}_2$ has a wurtzite structure which is not the most stable oxide compared to
47 Cu_2O , CuO and $\alpha\text{-CuGaO}_2$ [8]. Therefore $\beta\text{-CuGaO}_2$ powders have been discovered by fabricating first
48 $\beta\text{-NaGaO}_2$ powders and by further substitution of Na by Cu [6]. The only report on $\beta\text{-CuGaO}_2$ thin films
49 is using a similar method, by first depositing $\beta\text{-NaGaO}_2$ films by sputtering and then by substitution of
50 Na by Cu using CuCl vapour [9]. The fabrication of $\beta\text{-NaGaO}_2$ films by sputtering is not very convenient
51 because of Na contamination of the chamber and hygroscopy of the $\beta\text{-NaGaO}_2$ compound. In this work,
52 we investigate the direct growth of thin film $\beta\text{-CuGaO}_2$ by pulsed laser deposition (PLD). We also
53 present an alternative original method to obtain $\beta\text{-CuGaO}_2$ using ion-exchange of $\beta\text{-NaGaO}_2$ film

54 fabricated with a cost-efficient spin coating by solgel method. We studied the potential of the grown
55 films using the surface photovoltage (SPV) technique.

56 **1. Experimental procedure**

57 **PLD fabrication**

58 The substrates used for PLD deposition were SrTiO₃ (001) and (110) (STO), Al₂O₃ (0001) (ALO), ZnO
59 (0001) and ZrO₂:Y (9.5 mol%Y₂O₃) (111) YSZ from Crystal GmbH. The PLD process was performed using
60 a KrF laser (248 nm) with a 10 Hz repetition rate and a laser fluence of around 1-2 J/cm² (36000 pulses).
61 The depositions were carried out at 700-800°C under an oxygen pressure of 10⁻² mbar. The films were
62 naturally cooled down under the same atmosphere until room temperature. Around 20 samples were
63 deposited by PLD for the study. The CuGaO₂ target was made by mixing CuO (99.995 % purity, Alfa
64 Aesar) and Ga₂O₃ (99.999 % purity, Alfa Aesar) powders in the required quantities, pressing into a pellet
65 with a vertical pressure die and then with a cold isostatic press system (MIT Corporation YLJ-CIP-500M-
66 30) at 460 Mpa actual pressure. The obtained pellet was then calcinated at 800°C for 3 h in air and
67 used as a target.

68 **Solgel fabrication**

69 The β-NaGaO₂ films were prepared as follows. First, 5 g of gallium (III) nitrate hydrate (99.9 % purity,
70 Sigma Aldrich) is poured in deionised water (~50 ml) together with 10 g of citric acid (99 %, Sigma
71 Aldrich) and 10 g of ethylene glycol (> 99 %, Sigma Aldrich). The solution is heated while stirring with a
72 magnetic bar until most of the excess of water is evaporated while releasing NO₂ gas. The obtained
73 viscous and transparent solution is completed with 1.19665 g of sodium citrate tribasic dihydrate (≥
74 99.0 %, Fluka). A part of the obtained paste was heated in a furnace at 700 °C for 1 h in air. The resulting
75 white powder was analyzed by XRD which provided evidence of a β-NaGaO₂ phase.

76 Next, silicon nitride was deposited on 1-5 Ω·cm p-type (B-doped) c-Si (001) wafer by plasma-enhanced
77 chemical vapour deposition (PECVD, Roth & Rau MicroSys 400 reactor). The Si substrates were etched

78 with HF (10% vol) before pumping (deoxidation). A SiN thickness of 157 nm was measured by
79 spectroscopic ellipsometry. These films were then used as substrates for spin-coating with the
80 aforementioned paste. The spin coating parameters were 2000 rpm speed, 2000 rpm/s acceleration
81 and 30 min spin coating duration. The spin-coated samples were then heated in air at 700°C for 1 h
82 with a heating rate of 3.3 °C/min and natural cooling. When the furnace cooldown reached ~40 °C the
83 obtained β -NaGaO₂ films were placed in an alumina crucible and sprinkled with copper (I) chloride
84 powder (purity \geq 99 %, Sigma Aldrich). The powder was gently pressed onto the films. The crucible and
85 samples were quickly inserted in a quartz tube and pumped until reaching a vacuum better than
86 1.5×10^{-6} mbar. A furnace was placed around the quartz tube and set at 250°C for 17 h under dynamic
87 vacuum. The final pressure after cooldown was 5×10^{-7} mbar. The samples were then rinsed with
88 deionised water and dried under Ar gas flow.

89

90 **Film characterization**

91 Films grown by PLD on crystal substrates were investigated using at room temperature a Rigaku
92 SmartLab diffractometer equipped with a monochromatic source delivering a Cu K _{α 1} incident beam (45
93 kV, 200 mA, 0.154056 nm). Films grown by the solgel method were investigated with a Bruker D8
94 Discover X-ray diffractometer with Cu K _{α 1} radiation (40 kV, 40 mA, 0.154056 nm) at room temperature.

95 The optical properties and thickness of the films were investigated by spectroscopic ellipsometry using
96 a HORIBA Uvisel Lt M200 FGMS (210–880 nm) apparatus. The dispersion formula for SiN and β -CuGaO₂
97 are based on the classical and triple Tauc-Lorentz models respectively [10]. The goodness-of-fit values
98 (Chi Square χ^2) was 4.5 for a β -CuGaO₂ film thickness of around 240 nm. Photoluminescence (PL)
99 measurements were performed using a Horiba LabRAM ARAMIS spectrometer with 532 nm laser
100 excitation (HeNe).

101 The surface of the films was investigated using atomic force microscopy (AFM) with a NT-MDT Smena
102 B AFM in tapping mode. Scanning electron microscopy (SEM) was performed with a JEOL 6700F and a
103 JEOL JSM-IT200LA apparatus and the stoichiometry was checked by Energy-dispersive X-ray
104 spectroscopy (EDS). Kelvin Probe (KP) and Surface PhotoVoltage (SPV) measurements were performed
105 with a single point Kelvin Probe system (KP Technology KP020) with a 2 mm diameter gold tip, and
106 using either a halogen source with calibrated illumination for white light SPV or a GR50-605 (Thorlabs)
107 monochromator of 600 g/mm grating for Surface Photovoltage Spectroscopy (SPS) mode.

108 **2. Results and discussion**

109 **PLD growth**

110 Knowing that there is a small lattice mismatch of β -CuGaO₂ lattice with ZnO [8], we attempted to
111 deposit β -CuGaO₂ by PLD using substrates that may provide an epitaxial relationship with β -CuGaO₂,
112 namely STO (001) and (110), ALO (0001), ZnO (0001) and YSZ (111). The original method of fabrication
113 of β -CuGaO₂ powders uses a two-step method by first fabricating β -NaGaO₂ and then substituting Na
114 by Cu [8]. This is because β -CuGaO₂ cannot be formed using conventional solid state synthesis from
115 oxide powders as it is not the most thermodynamically stable phase. However, PLD is known for
116 enabling the fabrication of metastable phases that would form from the plasma material onto the
117 substrate. Furthermore, a principle called epitaxial stabilization helps synthesizing complex material
118 by using an appropriate substrate playing the role of a template to promote the right phase formation.
119 This has been demonstrated for example with h-TbMnO₃ thin film fabrication while orthorhombic
120 TbMnO₃ is the most stable phase [11,12]. Films grown on STO (110) using a CuGaO₂-stoichiometry
121 target provided CuGa₂O₄ films with the following orientation CuGa₂O₄ (220)//STO(110) while films
122 grown on ALO (0001) provided CuGa₂O₄ films with CuGa₂O₄ (222)//ALO(0001) orientation (Figure 1).
123 This means that clearly the substrate has an influence on film growth, although the desired β -CuGaO₂
124 phase was not obtained. CuGa₂O₄ is reported in [13] to grow along the (111) orientation on ALO (0001)
125 substrate. This is because the observation along the [111] direction of the cubic CuGa₂O₄ lattice is a

126 hexagonal sampling lattice matching with the hexagonal lattice of ALO [13]. As well CuGa_2O_4 grows in
127 the (220) direction on STO (110) because of the lattice match in plane between STO (001) and CuGa_2O_4
128 (002) and between STO ($1\bar{1}0$) and CuGa_2O_4 ($2\bar{2}0$). EDS analysis (Figure S1 of the Supplementary
129 Information (SI)) indicated a stoichiometry of Cu:Ga:O of 1:0.85:1.87 indicating that while the chemical
130 composition of the films is close to CuGaO_2 , the structural crystallized phase is CuGa_2O_4 . This means
131 that the deposition is rather congruent, preserving the chemical stoichiometry from the target to the
132 film, which was an incentive to perform further depositions using alternative substrates. The
133 evaluation of CuGa_2O_4 films grown on STO (110) by SPV showed that these films provide a strong
134 photoresponse, nearly as good under white light as 1-5 $\Omega\text{-cm}$ p-type c-Si wafers (Figure S2a). SPS was
135 performed on the same sample and shows that the photoresponse originates from photons below 600
136 nm, indicating that the electronic bandgap is above 2 eV (Figure S2b).

137 Further crystal substrates were used for film growth. Unfortunately, films grown on ZnO (0001) and
138 YSZ (111) gave CuGa_2O_4 (222)//ZnO (0002) and CuGa_2O_4 (222)//YSZ (111) orientations respectively
139 (Figure S3 of SI). In the latter film two XRD peaks could be also attributed to a delafossite $\alpha\text{-CuGaO}_2$
140 phase (rhombohedral R-3m (166), ICDD 04-010-0383). The case of STO (001) substrate gives a similar
141 outcome (Figure S3). As pointed out in [8,9], deposition of $\beta\text{-CuGaO}_2$ is difficult because $\beta\text{-CuGaO}_2$
142 transforms into stable $\alpha\text{-CuGaO}_2$ at temperatures higher than 500°C under low O_2 atmosphere and
143 decomposes in CuO and CuGa_2O_4 at temperatures higher than 300°C under O_2 atmosphere. A phase
144 diagram of Cu-Ga-O is proposed in [14,15] but again should be used with care due to the non-
145 thermodynamic equilibrium of PLD deposition. Attempts to obtain the right $\beta\text{-CuGaO}_2$ films by
146 reducing the O_2 pressure from 10^{-2} mbar to 10^{-3} or 10^{-4} mbar were unsuccessful. A fine tuning of both
147 the deposition temperature and the oxygen pressure could help promote the $\alpha\text{-CuGaO}_2$ phase as
148 evidenced in [16] but this strategy was not followed here as only the $\beta\text{-CuGaO}_2$ phase is sought.
149 Instead, we decided to investigate fabrication of $\beta\text{-CuGaO}_2$ thin films by ion-exchange of $\beta\text{-NaGaO}_2$ film
150 fabricated with spin coating by a solgel method.

151 **Fabrication by solgel**

152 Solgel fabrication of thin films is an inexpensive scalable method for fabricating oxides. In some cases
153 this method provides better results than physical deposition, as in the case of LaVO_3 [17]. Knowing that
154 a simple mixture of $\beta\text{-CuGaO}_2$ precursors in a traditional solgel experiment would not work for the
155 aforementioned reasons, we decided to get inspired from the two-step fabrication in the way that the
156 first $\beta\text{-CuGaO}_2$ powders were produced: first the fabrication of a $\beta\text{-NaGaO}_2$ film and second the
157 substitution of Na by Cu [6]. As described in the experimental section, a precursor paste for $\beta\text{-NaGaO}_2$
158 was produced and spin coated on SiN//c-Si substrates. The spin coated samples were then heated in a
159 furnace and resulted in the formation of $\beta\text{-NaGaO}_2$ film as shown in Figure 2 and evidenced by XRD in
160 Figure 3a). In contrast to the current method, the introduction of sodium citrate tribasic dihydrate at
161 the same time as gallium (III) nitrate hydrate in water followed by heating does not lead to the right $\beta\text{-}$
162 NaGaO_2 phase. It should also be noted that $\beta\text{-NaGaO}_2$ films degrade within few hours in air so that
163 they need to be processed rapidly with the next step. A second remark is that spin coating and
164 annealing on c-Si substrates without the SiN layer did not enable to obtain the $\beta\text{-NaGaO}_2$ phase. It is
165 believed that the SiN film acts as a barrier for Na diffusion into the substrate during the annealing at
166 700 °C. The next step was to sprinkle CuCl powder on the $\beta\text{-NaGaO}_2$ sample, pump the sample under
167 dynamic vacuum and heat at 250°C for 17 hours. It was found that a starting vacuum before heating
168 of 8×10^{-6} mbar was ineffective to form the $\beta\text{-CuGaO}_2$ phase as CuCl was oxidized, while a starting
169 vacuum better than 1.5×10^{-6} mbar was satisfactory. The sample was naturally cooled down to room
170 temperature before opening the furnace tube. The films obtained in this way present the right $\beta\text{-}$
171 NaGaO_2 phase as evidenced by XRD (Figure 3b). The composition was analyzed by EDS and provided a
172 $\text{CuGa}_{1.06}\text{O}_y$ stoichiometry, very close to the perfect composition of $\beta\text{-CuGaO}_2$ (Figure S4). Traces of Cl
173 originating from the CuCl step were found, which could be further reduced by acetonitrile and ethanol
174 washing as proposed in [9]. Although the films look visually uniform and flat (Figure 2), SEM performed
175 on the samples shows that the films are discontinuous (Figure 4). Much smaller cracks were also
176 observed in [9] and originate from lattice shrinkage during the ion exchange from $\beta\text{-NaGaO}_2$ thin film

177 to β -CuGaO₂ thin film. AFM performed on the samples reveals a root-mean-square (RMS) roughness
178 in the 300 nm range (Figure S5) which is rather high compared to films obtained by physical methods.
179 Also the films look much darker than the initial SiN//c-Si substrates; and their optical properties were
180 further investigated by spectroscopic ellipsometry. A thickness of about 240 nm and a bandgap of
181 about 1.91 eV were found (Figure 5). Such a high film thickness was obtained because the precursor
182 paste at step 1 was very viscous. The absorption coefficient was in the 10^5 cm^{-1} range in the 2-6 eV
183 region, which is at 600 nm more than an order of magnitude higher than diamond Silicon. The optical
184 parameters n and k were also determined (Figure S6). The optical properties were further investigated
185 by PL (Figure S7). No sharp PL peak is observed around the bandgap or anywhere in the β -CuGaO₂
186 spectrum. The presence of a sharp peak would have indicated a high quality direct bandgap material.

187 We now focus in the electrical properties of the films. The work function was measured with the Kelvin
188 probe system and was found to be in the 5.1-5.3 eV range. The value should be used with caution as
189 the surface state of β -CuGaO₂ film is uncertain. Still, this value can be compared to the delafossite α -
190 CuGaO₂ reported value of 4.90 eV [18]. Unfortunately, no Hall effect could be performed because the
191 samples were too insulating for the setup. This could be caused by the fact that the films are
192 discontinuous as observed in Figure 4. To overcome these carrier transport limitations, we attempted
193 to produce β -CuGaO₂ on conductive substrates. Because indium tin oxide (ITO) films would not
194 withstand an annealing temperature of 700 °C, we opted for 50 nm thick Pt layers sputtered on quartz
195 substrates and we followed the aforementioned procedure to produce β -CuGaO₂ films. While the right
196 β -CuGaO₂ phase could be obtained again, the surface of the films was severely damaged as shown in
197 Figure S8. The adherence of β -CuGaO₂ on Pt is low and thus Pt areas are exposed after detachment of
198 β -CuGaO₂ fragments. To further investigate the potential of the β -CuGaO₂ films produced, we
199 performed SPV measurements on films both on SiN//c-Si and Pt//quartz. Unfortunately no SPV signal
200 could be extracted as shown in Figure S9. We believe that the main limitation for β -CuGaO₂ as a
201 photovoltaic absorber is that the carrier transport is poor, probably due to the discontinuous nature
202 of the film, although the optical properties are promising. A possible way to go forward would be to

203 study electrical doping of β -CuGaO₂, which would be simple to adapt from the proposed solgel
204 procedure.

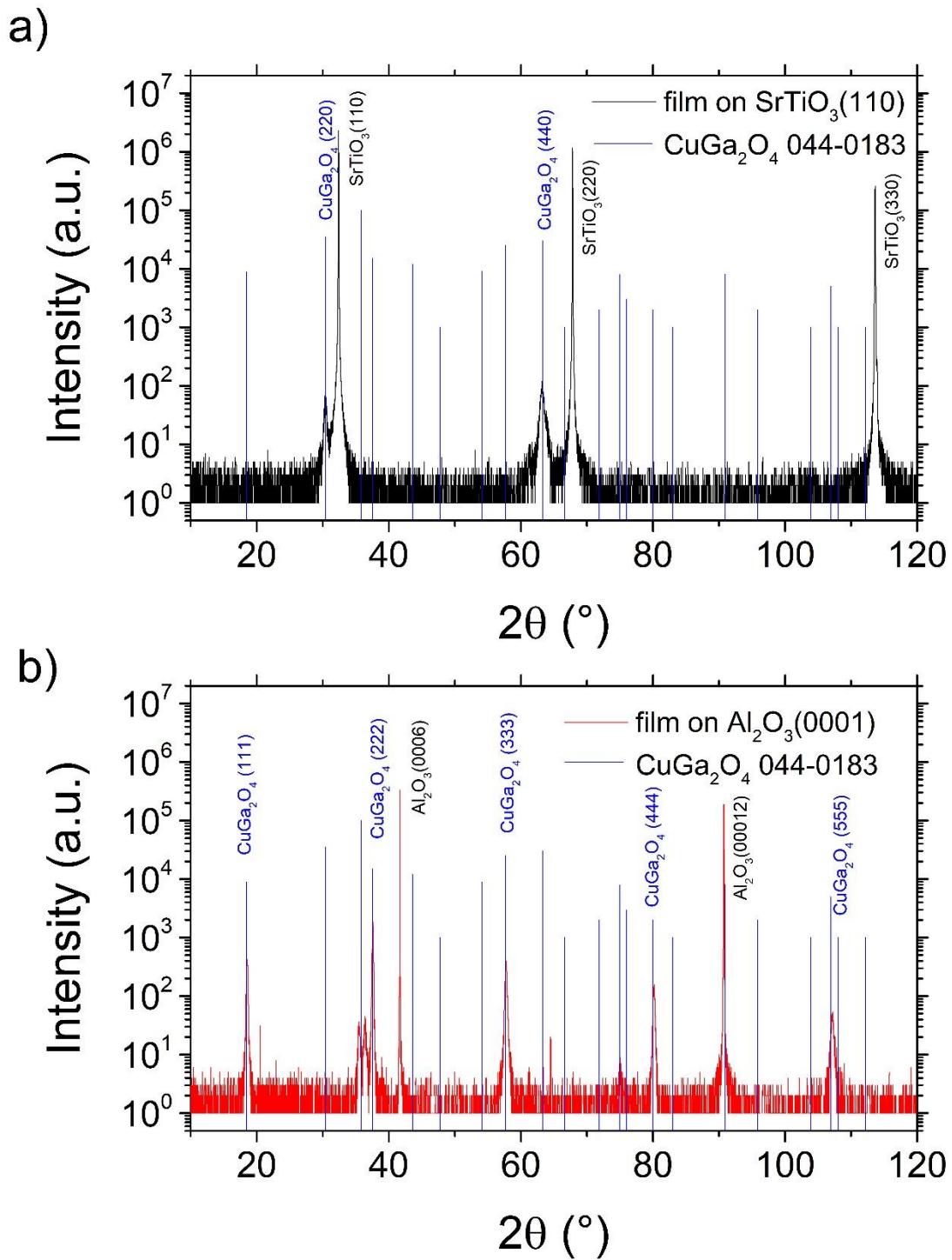
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206 **Conclusions**

207 In summary, we first have attempted to grow β -CuGaO₂ by PLD. This was unsuccessful and the best
208 films produced on various crystal substrates were CuGa₂O₄. Some of these films provided high SPV
209 response and SPS spectroscopy indicates that this response is rather generated by photons below 600
210 nm wavelength. In contrast, β -CuGaO₂ films were produced with an inexpensive ion-exchange of β -
211 NaGaO₂ fabricated with spin coating by a solgel method which delivered well crystallized but
212 discontinuous films. Although the optical properties obtained are interesting, further effort is
213 necessary to obtain smoother films and improve carrier transport of β -CuGaO₂ by doping the material
214 so that better optoelectronic response can be obtained in the future.

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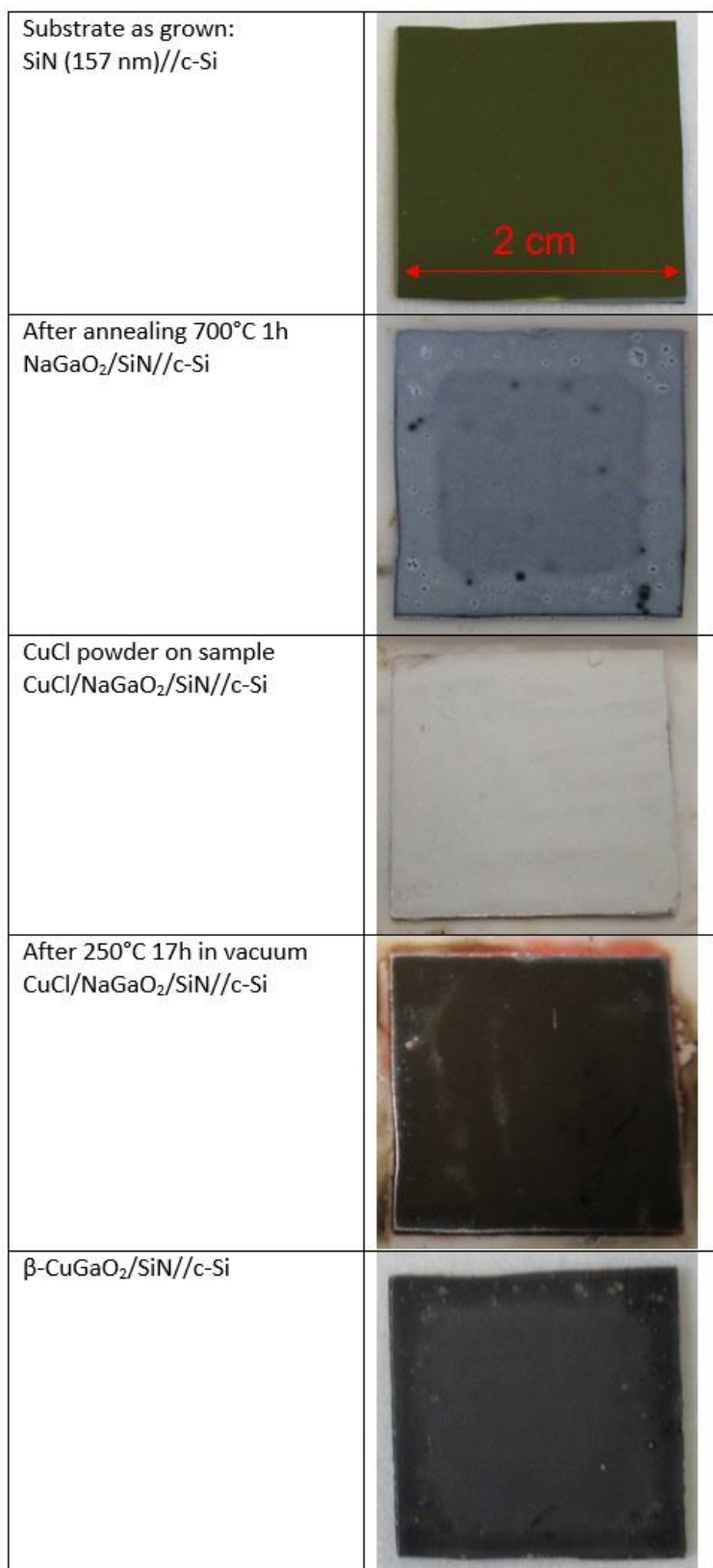
216 **Figure 1** XRD θ - 2θ patterns of films grown by PLD on a) STO (110) b) AL₂O₃ (0001) from a CuGaO₂
217 target, and of the CuGa₂O₄ ICDD reference



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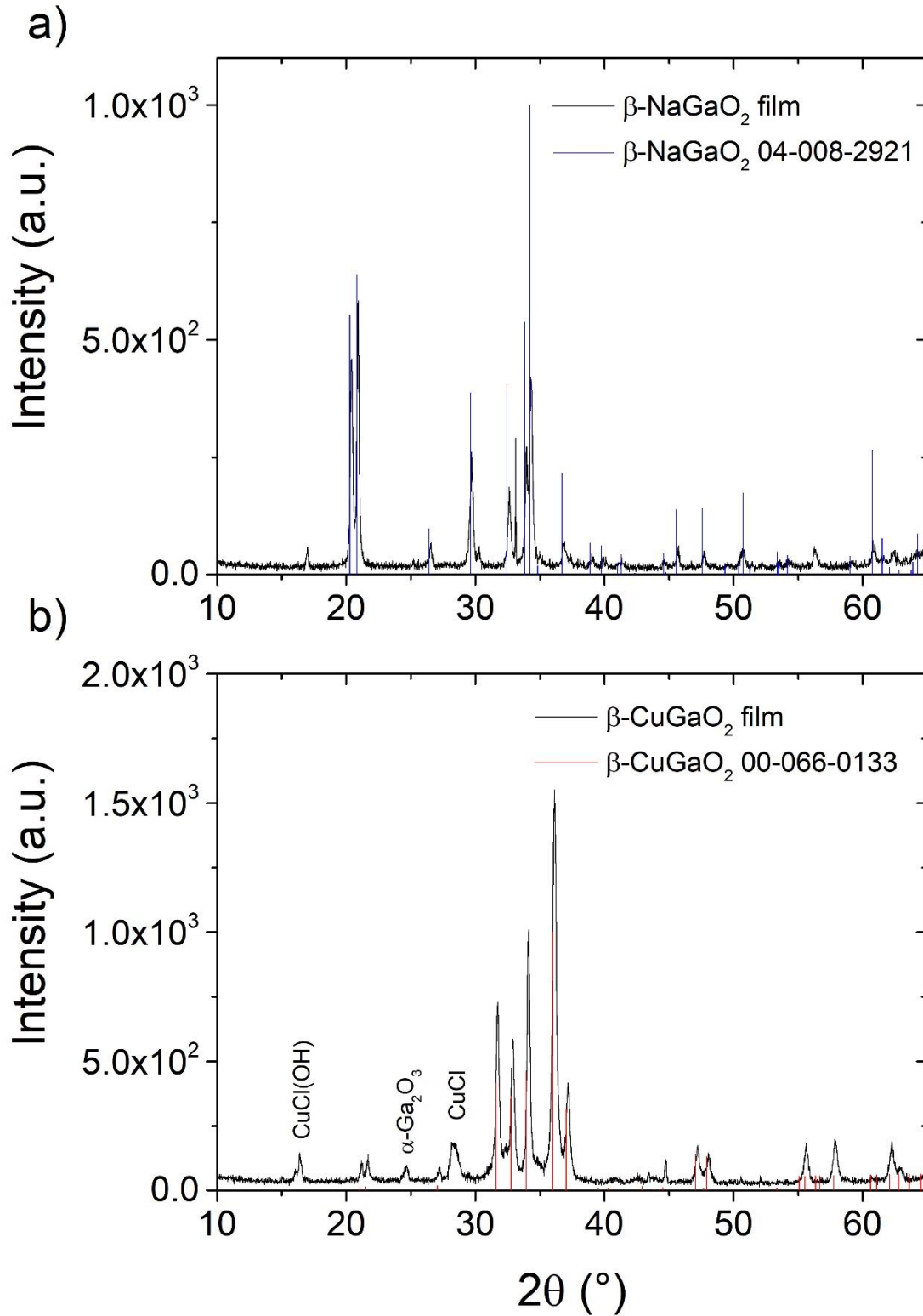
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220 **Figure 2** Top-view photographs showing the fabrication of β -CuGaO₂ film obtained using ion-
221 exchange of β -NaGaO₂ film fabricated with spin coating by solgel method on c-Si//SiN



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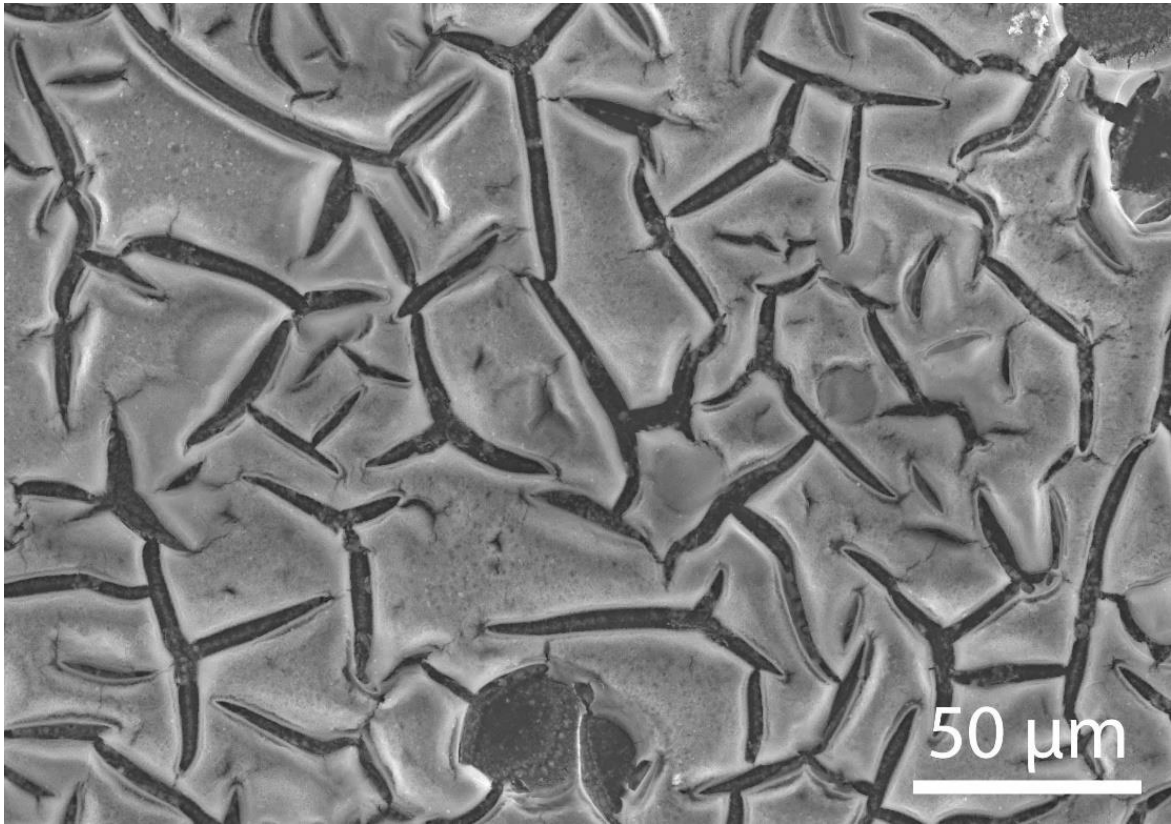
223 **Figure 3** XRD θ - 2θ patterns showing the β -NaGaO₂, and β -CuGaO₂ films obtained using ion-exchange
224 of β -NaGaO₂ film fabricated with spin coating by solgel method, and the ICDD references



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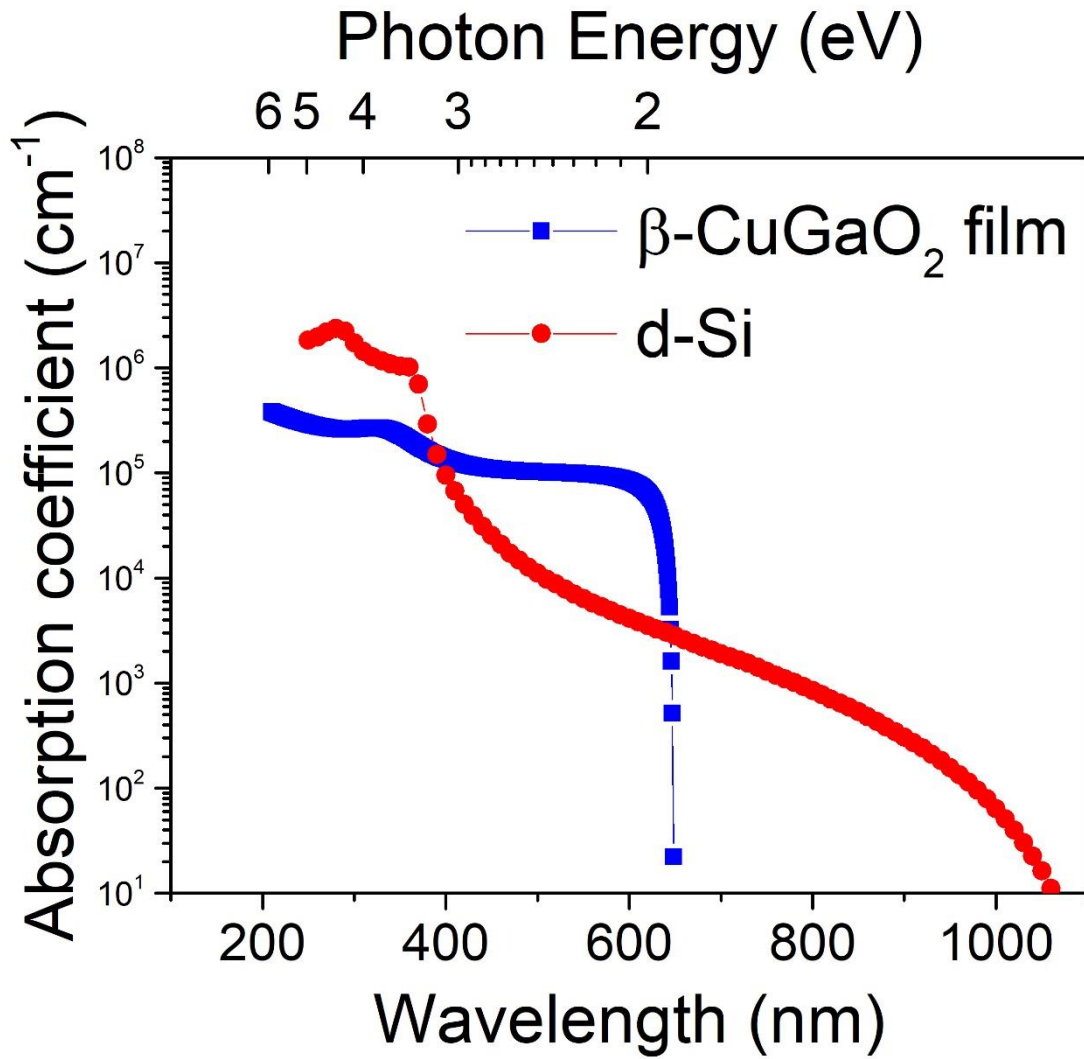
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227 **Figure 4:** SEM top view of a β -CuGaO₂ film obtained using ion-exchange of β -NaGaO₂ film fabricated
228 with spin coating by solgel method
229



230

231 **Figure 5** Absorption coefficient determined by spectroscopic ellipsometry for a β -CuGaO₂ sample,
232 obtained using ion-exchange of β -NaGaO₂ film fabricated with spin coating by solgel method on c-
233 Si//SiN. The reference for diamond silicon is taken from [19]



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279 Statements and Declarations

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283 *Declaration of Competing Interest*

284 The authors declare that they have no known competing financial interests or personal relationships
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