Khanna, Amit; Subramanian, Ananth; Häyrinen, Markus; Selvaraja, Shankar; Verheyen, Peter; Van Thourhout, Dries; Honkanen, Seppo; Lipsanen, Harri; Baets, Roel

**Impact of ALD grown passivation layers on silicon nitride based integrated optical devices for very-near-infrared wavelengths**

*Published in:*
Optics Express

*DOI:*
10.1364/OE.22.005684

*Published: 01/01/2014*

*Document Version*
Publisher's PDF, also known as Version of record

*Please cite the original version:*
Impact of ALD grown passivation layers on silicon nitride based integrated optic devices for very-near-infrared wavelengths

Amit Khanna,1,4,* Ananth Z Subramanian,1 Markus Häyrinen,2 Shankar Selvaraja,3 Peter Verheyen,3 Dries Van Thourhout,1 Seppo Honkanen,2 Harri Lipsanen,3 and Roel Baets1

1Photonics Research Group, Ghent University-imec, Center for Nano- and Biophotonics, Ghent University, Ghent 9000, Belgium
2Institute of Photonics, University of Eastern Finland, FI-80101 Joensuu, Finland
3Imec, Kapeldreef 75, Leuven 3001, Belgium
4Department of Micro and Nanosciences, School of Electrical Engineering, Aalto University, Finland, Espoo 02150 Finland

*amit.khanna@imec.be

Abstract: A CMOS compatible post-processing method to reduce optical losses in silicon nitride (Si3N4) integrated optical waveguides is demonstrated. Using thin layer atomic layer deposition (ALD) of aluminum oxide (Al2O3) we demonstrate that surface roughness can be reduced. A 40 nm thick Al2O3 layer is deposited by ALD over Si3N4 based strip waveguides and its influence on the surface roughness and the waveguide loss is studied. As a result, an improvement in the waveguide loss, from very high loss (60 dB/cm) to low-loss regime (~5 dB/cm) is reported for a 220 nm x 500 nm Si3N4 wire at 900 nm wavelength. This opens prospects to implement very low loss waveguides.

©2014 Optical Society of America

OCIS codes: (130.0130) Integrated optics; (130.3120) Integrated optics devices; (230.0230) Optical devices.

References and links


#197763 - $15.00 USD  Received 30 Sep 2013; revised 2 Dec 2013; accepted 5 Dec 2013; published 5 Mar 2014  (C) 2014 OSA 10 March 2014 | Vol. 22, No. 5 | DOI:10.1364/OE.22.005684 | OPTICS EXPRESS  5684


1. Introduction

Silicon nitride (Si$_3$N$_4$) exhibits bulk material transparency in the visible and infrared part of the electro-magnetic spectrum [1,2]. Si$_3$N$_4$ based devices have been demonstrated using strip and ridge waveguides, and the silicon oxynitride (SiON) based ‘A-shaped’ box waveguide [3–6]. Enabled by the broad spectrum transparency, moderately high refractive index (~2.0) and low-loss, Si$_3$N$_4$ based integrated optics is gaining prominence in diverse domains ranging from telecom to life sciences [7–12]. Further, Si$_3$N$_4$ leverages the advantages of the mature complementary-metal-oxide-semiconductor (CMOS) infrastructure to realize uniform and reproducible integrated optical devices within wafer and wafer-to-wafer [13]. Together, these factors have contributed to interest shown by the industry and the academia towards Si$_3$N$_4$ technology platform for photonic applications, especially in the visible and very-near-infrared (VNIR) wavelength regime (400-1000 nm). However, the path to a mature Si$_3$N$_4$ technology on the CMOS infrastructure requires foremost, the realization of passive optical devices with low-losses. In optical waveguides, scattering due to rough interfaces is the main source of loss; and especially in high-index-contrast waveguides, roughness of nm-level can lead to unacceptable waveguide losses. In this paper, a method to reduce surface roughness of the Si$_3$N$_4$ photonic wire waveguide manufactured on a 200 mm CMOS pilot-line is investigated. Non-optimized processing resulted in nanometer-scale surface roughness and consequently high propagation loss. Over such a high loss device, 40 nm alumina (Al$_2$O$_3$) is deposited by atomic layer deposition (ALD) technique. In silicon photonics the high refractive-index-contrast of silicon wire waveguides leads to strong scattering at the sidewalls and consequently high loss. Use of conformal ALD layers to reduce surface roughness and consequently reduce loss in the infrared wavelength regime ($\lambda_0$ = 1550 nm) for silicon and titania (TiO$_2$) wire waveguides has been demonstrated [14,15]. Si$_3$N$_4$ strip waveguides possesses much lower material index contrast but nevertheless, at shorter wavelengths (visible-VNIR), sidewall roughness remains the major source of the waveguide loss because of the Rayleigh scattering, which is inversely proportional to the fourth power of the wavelength. Therefore, the influence of scattering on the propagation loss is expected to be more pronounced in Si$_3$N$_4$ material system at visible-VNIR wavelengths vis-à-vis silicon photonics in the infrared regime. Thus, the impact of ALD grown passivation layers on Si$_3$N$_4$ based integrated optic devices for VNIR wavelengths acquires significance. To the best of our knowledge, ALD coatings to reduce surface scattering loss in Si$_3$N$_4$ wire waveguides has not been studied earlier. In this paper, we report the influence of ALD deposition of a thin layer.
of Al₂O₃ on the surface roughness and loss in a 220 nm X 500 nm Si₃N₄ based wire waveguide.

2. Waveguide processing and characterization

A 200 nm bare Si wafer is used as the substrate. Firstly, plasma enhanced chemical vapor deposition (PECVD) is used to deposit 2.4 μm silicon dioxide (SiO₂) followed by: 220 nm thick Si₃N₄ deposition using PECVD technique. The SiH₄, N₂ and NH₃ gas flows are optimized for Si₃N₄ deposition at 400 °C, which ensured CMOS back-end compatibility. After the layer deposition, the waveguide and the grating couplers (GC) are patterned by using 193 nm optical lithography and reactive-ion-etch process. The waveguide is deeply etched (220 nm deep), and the GCs are defined with different etch-depths by controlling the etch duration. Photoresist is used as an etch mask for both the etch processes. After dry etching, the wafers are cleaned by using oxygen plasma and a wet chemical process. The widths of the waveguides are in the range of 500 ± 30 nm. Since Si₃N₄ does not have any absorption band near 900 nm wavelength band, no heat treatment is applied to these wafers. At the end, the dies are diced from the wafer for optical characterization.

After dicing, an Al₂O₃ film is deposited over a batch of Si₃N₄ chips by ALD process. In this ALD process a 40 nm film of Al₂O₃ is grown at 120 °C by using Trimethyl Aluminium (TMA) and water (H₂O) as precursors with ALD TFS 200 equipment by Beneq. Simultaneously, a silicon dummy sample is coated in the same chamber and it is used for characterization of the ALD grown film.

The refractive index of 220 nm Si₃N₄ and 40 nm Al₂O₃ are determined using ellipsometry measurements on the Si₃N₄ as-deposited films. Figure 1 shows the refractive index vs. wavelength results as determined by ellipsometry measurements. An index of 2.018 at 900 nm is measured by the ellipsometry experiment.
To ascertain the deposited thicknesses of the layers after fabrication, focused ion beam (FIB) milling with Ga-ions is used to produce cross-sections of the waveguides and underlying PECVD SiO₂. The cross-sections are analyzed using scanning electron microscope (SEM). SEM micrographs show the thickness of Si₃N₄ to be 230 ± 15 nm for a targeted value of 220 nm Si₃N₄. The nominal width (on the mask) of the waveguide is 500 nm and the measured width is in close correspondence with the targeted value. As shown in Fig. 2(a) the thickness of PECVD deposited oxide is 2.43 µm. Figure 2(b) shows the cross-section of the GC used in the experiments with a targeted etch depth of 140 nm and a period of 630 nm. In Fig. 2(c) the strip waveguide cross-section is shown. In order to avoid excessive charging effects, the chips are coated with gold before SEM measurements.

The cut-back measurement on these waveguides is performed to determine propagation loss in the waveguides. The results show extremely high total loss, greater than 60 dB with some measurements being very close to noise floor of the detector (Table 1). Therefore, these cut back measurements could not be trusted for accurate determination of waveguide loss. This high value of total loss is attributed to the coupling loss of the gratings, bend losses and very high propagation loss of the waveguide due to rough surface of the sidewall and buried oxide layer. Substrate coupling is negligible since the buried oxide thickness (2.4 µm) is sufficient to decouple a 500 nm wide wire from the underlying substrate.

To study such high total losses, Si₃N₄ waveguides are analyzed using AFM to investigate the quality of the waveguide surface in terms of surface roughness. Accurate determination of sidewall roughness is challenging, therefore the surface roughness over the 220 nm high surface of the grating couplers is measured as an indicative measure of the surface quality. In Table 1, the measured data is shown. The measured RMS roughness is 1.73 nm with a peak-to-peak roughness of about 9.19 nm.
Table 1. Loss measurement results for air clad samples obtained via cut-back measurements are shown. Roughness data of the waveguides obtained by AFM analysis of waveguide surface is also shown. For comparison, loss and surface roughness data of air clad samples fabricated by a different etch recipe and reported in [16] are presented.

<table>
<thead>
<tr>
<th>Sample</th>
<th>Parameter</th>
<th>Measured Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Air Clad Samples</td>
<td>Loss, dB/cm</td>
<td>Indeterminable</td>
</tr>
<tr>
<td>Excess Loss (Y-intercept), dB</td>
<td>&gt;60</td>
<td></td>
</tr>
<tr>
<td>Root mean square roughness (Rq)</td>
<td>1.73 nm</td>
<td></td>
</tr>
<tr>
<td>Maximum height of the roughness (Rt)</td>
<td>9.19 nm</td>
<td></td>
</tr>
<tr>
<td>Air Clad Samples [16]</td>
<td>Loss, dB/cm</td>
<td>4.0</td>
</tr>
<tr>
<td>Root mean square roughness (Rq)</td>
<td>0.5 nm</td>
<td></td>
</tr>
<tr>
<td>Maximum height of the roughness (Rt)</td>
<td>2.2 nm</td>
<td></td>
</tr>
</tbody>
</table>

For comparison, PECVD Si$_3$N$_4$ waveguides of similar dimensions but fabricated using different etching mechanism are also analyzed using AFM. These waveguides exhibit a waveguide loss of 4 dB/cm and were reported by co-authors previously [16]. The AFM results for these waveguides are also shown in Table 1. The measured RMS roughness is 0.5 nm with a peak-to-peak roughness of about 2.2 nm.

**Si$_3$N$_4$ waveguides with 40 nm Al$_2$O$_3$ ALD**

To reduce losses by reduction of surface roughness we deposit an Al$_2$O$_3$ thin film by the ALD technique as described in Sec 2. During ALD deposition a dummy sample is placed with the Si$_3$N$_4$ device chips to characterize the deposited Al$_2$O$_3$ thin film. The material refractive index of the Al$_2$O$_3$ layer is determined by ellipsometry to be $n = 1.559 \pm 0.003$ at 900 nm wavelength. The selection of Al$_2$O$_3$ as the ALD material for deposition is based on its material refractive index at $\lambda = 900$ nm which is suited for gradually lowering the refractive index between air ($n = 1$) and Si$_3$N$_4$ ($n = 2$). The thickness of the deposited Al$_2$O$_3$ is 39.9 nm as shown in Fig. 3(a). Device cross-section imaging under SEM is limited by lower contrast between secondary electrons scattered by Al$_2$O$_3$ and Si$_3$N$_4$ layers in the SEM. These SEM measurements have an in-accuracy of $\pm 5$ nm. The choice of thin film thickness for ALD Al$_2$O$_3$ is based on the simulation results of the conformal deposition of thin films over rough surfaces in [14]. The simulation shows reduction of the RMS surface roughness by 1 nm through 40 nm conformal thin film deposition. Since such thickness is sufficient to bring surface roughness to levels shown in Table 1 (air clad samples [16]), 40 nm growth of Al$_2$O$_3$ by ALD is used. Further, due to wavelength equivalence ($\lambda/n_{\text{eff}[\text{TE}]}$) of 900 nm wavelength within Si$_3$N$_4$ wire ($n=2, \lambda/n_{\text{eff}[\text{TE}]} = 580$ nm) with 1550 nm wavelength within silicon wire ($n=3.5, \lambda/n_{\text{eff}[\text{TE}]} = 640$ nm) the 40 nm ALD film is expected to be equally if not more suitable to reduce losses due to surface scattering, as shown in Table 2.

Table 2. Wavelength equivalence between Si wire and Si$_3$N$_4$ wire at 1550 nm and 900 nm wavelengths, respectively. Wire geometry 500 nm X 220 nm.

<table>
<thead>
<tr>
<th>Parameter</th>
<th>Si</th>
<th>Si$_3$N$_4$</th>
</tr>
</thead>
<tbody>
<tr>
<td>$\lambda$ (nm)</td>
<td>1550</td>
<td>900</td>
</tr>
<tr>
<td>$n_{\text{eff}}$ (quasi-TE mode)</td>
<td>2.42</td>
<td>1.56</td>
</tr>
<tr>
<td>$\lambda/n_{\text{eff}[\text{TE}]}$ (nm)</td>
<td>640</td>
<td>577</td>
</tr>
</tbody>
</table>
Fig. 3. SEM micrographs of the 40 nm Al₂O₃ ALD clad Si₃N₄ waveguide cross-sections prepared using FIB milling. (a): SEM cross section image of the dummy sample placed in the chamber during ALD deposition, measured thickness of deposited Al₂O₃ is 39.9 nm. (b) Lower contrast SEM image of deposited Al₂O₃ over the Si₃N₄ waveguide.

The surface roughness of the Al₂O₃ ALD-coated Si₃N₄ chips is reanalyzed using AFM scan over the grating couplers. The surface roughness is expectedly reduced as shown in Table 3. The RMS surface roughness is measured to be 0.42 nm reduced from 1.73 nm while the maximum height of roughness is 2.25 nm reduced from 9.19 nm before ALD deposition of Al₂O₃ (Table 1, air clad samples). Further, 40 nm Al₂O₃ ALD coated Si₃N₄ devices exhibit roughness parameters comparable to the previously reported Si₃N₄ waveguides with a loss of about 4 dB/cm as shown for air clad samples [16], in Table 1.

Table 3. Average RMS and average maximum peak-to-peak surface roughness data obtained by AFM for Chip1 and Chip2 after 40 nm Al₂O₃ ALD deposition. Propagation loss (dB/cm) and excess-loss (dB) obtained by cut-back measurements after ALD deposition over Chip1 and Chip2 is also shown.

<table>
<thead>
<tr>
<th>Sample</th>
<th>Parameter</th>
<th>Measured Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Avg. [Chip 1, Chip2]</td>
<td>Root mean square roughness (nm)</td>
<td>0.42</td>
</tr>
<tr>
<td>Avg. [Chip 1, Chip2]</td>
<td>Maximum height of the roughness (nm)</td>
<td>2.25</td>
</tr>
<tr>
<td>Chip 1</td>
<td>Loss (dB/cm)</td>
<td>4.90</td>
</tr>
<tr>
<td></td>
<td>Excess loss (dB)</td>
<td>28.77</td>
</tr>
<tr>
<td>Chip 2</td>
<td>Loss (dB/cm)</td>
<td>5.78</td>
</tr>
<tr>
<td></td>
<td>Excess loss (dB)</td>
<td>31.98</td>
</tr>
</tbody>
</table>

In order to study the effect of ALD on waveguide loss, two chips measured previously (Table 1, air clad samples with indeterminable loss) are ALD coated with 40 nm Al₂O₃ and re-measured using cut-back method. The result of these measurements is shown in Fig. 4. Firstly, both the dies show much reduced excess loss as shown in Table 3. Secondly, the measurements are performed well above the noise floor of the detector thereby making the cut-back measurements reliable. Chip1 exhibited a waveguide loss of 4.90 dB/cm whereas Chip2 showed a loss of 5.78 dB/cm (Table 3). Waveguide propagation loss similar to previously reported Si₃N₄ waveguides in [16] is shown in Fig. 4 for ALD Al₂O₃ coated Si₃N₄ waveguides.
Fig. 4. Graph shows cut-back measurement results after 40 nm ALD deposition of Al₂O₃. Chip1 and Chip2 exhibit much reduced loss of 4.9 dB/cm and 5.8 dB/cm, respectively.

In order to ascertain the origin of ~30 dB excess loss in the cut-back method (Table 3) and the influence of GCs, white light measurements are used to characterize the gratings. The results show that the loss due to grating couplers at 900 nm wavelength is 20 dB, 10 dB per GC. After 40 nm ALD deposition the peak resonance of the grating is expected to shift by <5 nm which is within the 1 dB bandwidth of the gratings. For the loss measurement same wavelength and angle of incidence was used to characterize the waveguides. The remaining 10 dB loss is attributed to the bends in the spiraling waveguides which have a bend radius of 10 um. For Si₃N₄ waveguides the minimum bend radius for almost lossless transmission is estimated to be 25 µm. The third spiral (4 cm long) is observed to have some debris on top of the waveguide acquired either during cleaving or the fabrication itself. It was not possible to clean it and as a result, it led to excess scattering and deviation for both the chips from the straight-line fit of the collected transmitted power. The location and optical impact of the debris was indeterminable prior to ALD deposition due to total losses being close to noise floor at that stage.

4. Discussion

Optical images of the Si₃N₄ chips prior-to and after ALD coating of 40 nm Al₂O₃ film are obtained using a CMOS camera. Images shown in Fig. 5 are obtained at the same magnification of the microscope and similar ambient brightness, thus reducing the variations due to the camera set-up and environment. Care was taken not to saturate the camera by working at lower power. A comparison of these images clearly indicates the reduction in the light scattering from the waveguides after ALD deposition. By measuring the decay in the light intensity along the length of the waveguide propagation loss due to scattering before and after ALD coating is estimated, as shown in Fig. 5. Hot-spots leading to sudden peaks in this measurement were unavoidable but the waveguide propagation loss estimate from the measurement corresponded well with the loss estimated using cutback method. The experiment indicates extremely high waveguide propagation loss prior-to ALD coating (~60 dB/cm) whereas the loss after ALD coating is ~6 dB/cm, which re-confirms the loss measured by the cut back method (Table 3).
Fig. 5. (Top) Image captured through an optical microscope of Si₃N₄ wire conducting light coupled through a grating coupler. (Below) Corresponding intensity decay plot to determine loss. (a) Air clad waveguide, 62 dB/cm and (b) 40 nm Al₂O₃ ALD coated Si₃N₄ waveguide, 6.2 dB/cm.

The relation between surface roughness and waveguide losses is dependent on the waveguide width [17]. In the single mode regime, as the waveguide geometry approaches the mode cut-off the scattering loss increases exponentially due to the decrease in the optical mode confinement within the waveguide and the increase in the interaction of the electrical fields of the optical mode with the rough waveguide surface. Larger waveguide cross-section geometries are above cut-off, therefore impact of scattering loss is reduced due to the high mode confinement within the waveguide. Further, it is also believed that the ALD deposition will reduce the surface roughness of the silica substrate proximal to the waveguide which may be rough due to timed dry etch recipe used for 220 nm deep nitride etch. This may also contribute towards reducing waveguide propagation losses. To study the impact of ALD deposited 40 nm Al₂O₃ on the optical mode distribution and optical field confinement, Fimmwave [18], a commercially available mode solver is used. For the simulations, a Si₃N₄ waveguide cross-section of 220 nm X 500 nm covered by 40 nm Al₂O₃ is studied. Silica (SiO₂) is used as substrate. The simulation window size is 2 µm X 2 µm while film mode matching method (FMM) is used for the simulations. Material indices used for simulations are determined using ellipsometry as described in Section 2. For SiO₂ material refractive index of 1.54 is used from literature [19].

The simulation results show smaller amplitude of the dominant Eₓ-component of the electrical field for quasi-TE mode at the Si₃N₄-Al₂O₃ interface as shown in Fig. 6(b) compared with the Si₃N₄-air interface as shown in Fig. 6(a). This is due to the smaller refractive-index-contrast at the Si₃N₄-Al₂O₃ vis-à-vis Si₃N₄-air material discontinuity. Furthermore, the peak amplitude of Eₓ in Fig. 6(b) is at Al₂O₃-air interface where surface roughness is expected to be much reduced due to the conformal ALD deposition.
Fig. 6. $E_x$ field distribution of the quasi-TE mode at the center of the Si$_3$N$_4$ strip waveguide are shown. On the Y-axis the $E_x$ field amplitude are marked at critical material interfaces (a) Air clad Si$_3$N$_4$ wire showing a high $E_x$ field amplitude at the rough, Si$_3$N$_4$-air material interface. (b) Al$_2$O$_3$ clad Si$_3$N$_4$ wire showing a lower $E_x$ field amplitude at the rough, Si$_3$N$_4$-air material interface and a higher $E_x$ field amplitude at the less rough Al$_2$O$_3$-air interface.

With ALD deposition, the optical mode fill-factor within the Si$_3$N$_4$ wire increases to 0.58 from 0.49 with air cladding (simulation results in Table 4). The increased optical mode confinement reduces the impact of surface roughness on the optical mode loss in the case of ALD clad waveguide.

### Table 4. Comparison of fill factors in air clad and ALD coated Si$_3$N$_4$ chips.

<table>
<thead>
<tr>
<th>ALD Clad Si$_3$N$_4$ Chip</th>
<th>Air Clad Si$_3$N$_4$ Chip</th>
</tr>
</thead>
<tbody>
<tr>
<td>$n_{e_{[1]}[1]} = 1.6054$</td>
<td>$n_{e_{[1]}[1]} = 1.5654$</td>
</tr>
<tr>
<td>Fill Factor$_{Si3N4} = 0.5805$</td>
<td>Fill Factor$_{Si3N4} = 0.4933$</td>
</tr>
</tbody>
</table>

While this paper shows results on reduction from extremely high to moderately low propagation loss waveguides, the technique can also be used to reduce scattering losses from moderately low to very low propagation loss Si$_3$N$_4$ waveguides.

### 5. Conclusion

We demonstrate the impact of ALD-assisted conformal Al$_2$O$_3$ coating as a simple post-processing method in reducing the scattering loss in the PECVD Si$_3$N$_4$ wires (220 nm x 500 nm) at VNIR wavelengths. The RMS roughness of the nitride waveguides is reduced from 1.47 nm to 0.5 nm through this ALD coating. As a result, the waveguide loss is reduced from very high values, estimated to be $\sim$60 dB/cm, to a moderate 5 dB/cm level at 900 nm wavelength. Both the RMS roughness and waveguide loss achieved after ALD coating is comparable to the values reported before on similar PECVD nitride waveguides at the same wavelength.

### Acknowledgments

We acknowledge Antti Säyäntjoki and Alex Pyymaki Perros from Aalto University for initial ALD studies. Authors also thank Liesbet Van Landschoot from Ghent University for the support to realize FIB/SEM cross-sections. Part of this work is supported by the European Research Council through the ERC Inspectra project. This research is also supported by Academy of Finland Grant no. 272155 and 134980 and GETA Graduate School, Finland.