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Understanding the Impact of Annealing on Interface and Border Traps in the Cr/HfO₂/Al₂O₃/MoS₂ System

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Abstract Top-gated, few-layer MoS₂ transistors with HfO₂ (6 nm) / Al₂O₃ (3 nm) gate dielectric stacks are fabricated and electrically characterized by capacitance-voltage (C-V) measurements to study electrically active traps (D_{it}) in the vicinity of the Al₂O₃/MoS₂ interface. Devices with low D_{it} and high D_{it} are both observed in C-V characterization, and the impact of H₂/N₂ forming gas (FG) annealing at 300°C and 400°C on the D_{it} density and distribution is studied. A 300°C anneal is able to reduce the D_{it} significantly while the 400°C anneal increases defects in the gate stack.

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3 Simulation with modeled defects suggests a sizable decrease in D_{it} , half the amount of positive
4 fixed charge in the dielectric, and slightly increased unintentional doping in MoS_2 after a 300°C
5 anneal. In the as-fabricated devices displaying high D_{it} levels, the energy distribution of the D_{it}
6 located at $\text{Al}_2\text{O}_3/\text{MoS}_2$ interface is continuous from the conduction band edge of MoS_2 down to
7 $0.13\text{eV} - 0.35\text{eV}$ below the conduction band edge. A plausible D_{it} origin in our experiments could
8 come from the unexpected oxygen atoms that fill the sulfur vacancies during the UV- O_3
9 functionalization treatment. The border trap concentration in Al_2O_3 is the same, both before and
10 after the anneal, suggesting a different origin of the border traps, possibly due to the low-
11 temperature ALD process.
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26 **Keywords** Molybdenum disulfide (MoS_2), high-k dielectrics, Al_2O_3 , interface traps, border traps,
27 capacitance-voltage (C-V).
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34 Introduction

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37 MoS_2 transistors with atomic-layer-deposited (ALD) Al_2O_3 as the dielectric layers¹⁻⁷ have been
38 fabricated, which demonstrates that Al_2O_3 is a promising dielectric candidate to boost the electrical
39 performance of MoS_2 transistors due to potentially lower charge trap densities at $\text{MoS}_2/\text{Al}_2\text{O}_3$
40 interface.³ Cho, et al. ³ reported that back-gated MoS_2 transistors with Al_2O_3 dielectric have
41 significantly smaller I-V hysteresis and stress-induced ΔV_T , compared to MoS_2 transistors on SiO_2 ,
42 which indicates a low density of charge traps at the $\text{MoS}_2/\text{Al}_2\text{O}_3$ interface. Bolshakov, et al.,^{4,5}
43 demonstrated high performance top-gated few-layer MoS_2 transistors fabricated on high-quality
44 Al_2O_3 , with an intrinsic mobility $\mu_0 = 145 \text{ cm}^2/\text{V}\cdot\text{s}$ and a low subthreshold swing $SS = 69 \text{ mV/dec}$.
45 Furthermore, dual-gate transistors encapsulated by an Al_2O_3 dielectric have demonstrated a near-
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3 ideal SS of 60 mV/dec,⁷ and improved interface quality by reducing the net fixed positive oxide
4 charge,⁷ compared to HfO₂/MoS₂ interface. Li, et al. ⁶ also showed high performance MoS₂
5 transistors with HfO₂/Al₂O₃/MoS₂ top-gate stacks due to low oxide trap density at the interfacial
6 region.
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12 High-k dielectric deposition on Si ⁸ and III-V materials⁹⁻¹² has been widely studied, focusing
13 on the interface analysis and engineering. Recently, capacitance-voltage (C-V) characterization on
14 MoS₂ transistors for HfO₂/MoS₂ interface study has been reported,^{13,14} which demonstrates that C-
15 V measurements are a reliable method to understand the properties of interface traps¹³ and border
16 traps¹⁴ in high-k/TMD gate stacks. However, there are limited studies focusing on the Al₂O₃/MoS₂
17 interface using C-V measurement and analysis. Park, et al. ¹⁵ reported C-V characteristics of
18 capacitors with Al₂O₃ on 100-200 nm thick MoS₂, extracting a density of interface traps (D_{it})
19 values of 10¹¹ cm⁻²eV⁻¹ to 10¹⁴ cm⁻²eV⁻¹. Takenaka, et al.,¹⁶ used the Terman method to analyze
20 and compare C-V characterization of MoS₂/SiO₂, MoS₂/HfO₂ and MoS₂/Al₂O₃ interfaces. The
21 extracted D_{it} peak values were reported to be about 1×10¹³ cm⁻²eV⁻¹ regardless of the dielectric
22 selection for back-gated devices on semi-bulk MoS₂.
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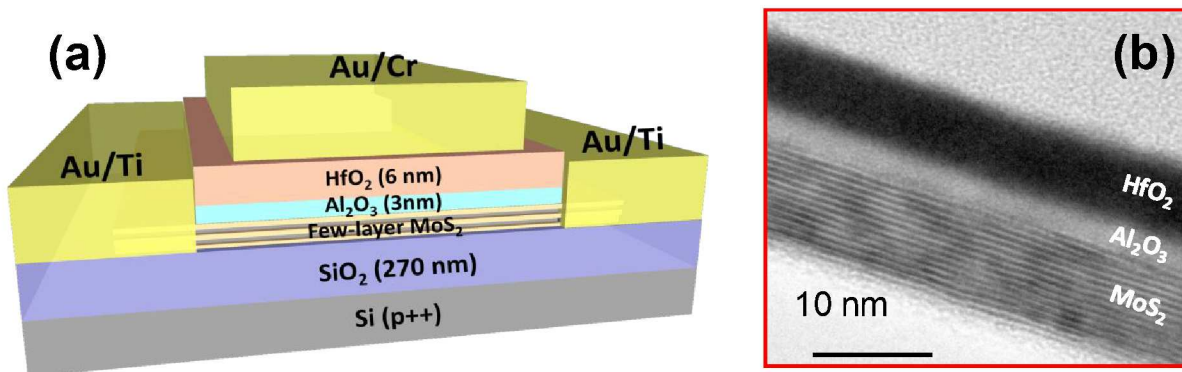
37
38 In this work, we study the interface properties of Cr / HfO₂ (6 nm) / Al₂O₃ (3 nm) / MoS₂ top-
39 gated stacks on transistor structures by C-V characterization, with an UV-O₃ treatment^{17,18} as the
40 surface functionalization method. The annealing effect is also studied with the temperatures at
41 300°C and 400°C. Interface traps and border traps in the gate stacks are the focus, which show
42 significantly different behavior after the anneals, compared to HfO₂/MoS₂ gate stacks.¹⁹ Forming
43 gas annealing (FGA, N₂/H₂=95/5) at 300 °C is recognized as a promising anneal treatment for
44 Al₂O₃/MoS₂ after gate metal deposition, based on the observation of a drastic D_{it} reduction after
45 the anneal. Physics-based device simulations are performed based on defect modeling,²⁰⁻²² which
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3 is designed to investigate the impact of defects on semiconductor device performance. From the
4 simulation results, we are able to understand the energetic and spatial distribution of the interface
5 and border traps observed in the experiments.
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11 Experiments and Simulation Methods

14 Top-gated MoS₂ field effect transistors (FETs) are fabricated as the test structure in this work.
15 Few-layer (5-15 layers) MoS₂ flakes were mechanically exfoliated from commercial synthetic
16 MoS₂ crystals and transferred onto 270 nm SiO₂ on Si wafers. Using photolithography with a lift-
17 off process, the source and drain of the transistors were formed with Au/Ti (130/20nm) by e-beam
18 evaporation. An ultra-high vacuum anneal¹⁹ was performed to remove contaminants from the
19 MoS₂ surface. A 15-minute in-situ UV-O₃ surface functionalization^{17,18} was performed without
20 breaking the vacuum. Al₂O₃ (3nm) and HfO₂ (6nm) were deposited at 200°C using ALD^{17,18}
21 immediately after the treatment, with precursors of TMA/H₂O and TDMA-Hf/H₂O, respectively.
22 E-beam evaporated Au/Cr (130/20nm) was patterned as the transistor gate by lift-off. To study the
23 annealing effects after the initial measurements, a forming gas (FG: N₂/H₂=95/5) anneal at 1 atm
24 was conducted at 300°C or 400°C for an hour. Electrical measurements were performed using a
25 Keithley 4200 SCS and an Agilent E4980A LCR meter. Variable frequency C-V measurements
26 were conducted to investigate the high-k gate stacks, with the source and drain of a transistor
27 connected together as the negative electrode, the top gate as the positive electrode, and the wafer
28 substrate floating. A schematic cross section of the MoS₂ FET and a TEM image of a gate stack
29 (HfO₂/Al₂O₃/MoS₂) for multi-layer MoS₂ are shown in Fig. 1. The gated area of each transistor is
30 about 10 μm × 10 μm, or larger, which ensures an appropriate signal to noise ratio in proper C-V
31 measurements. The TEM image clearly shows that there is no visible interfacial layer between
32 MoS₂ and Al₂O₃, and both Al₂O₃ and HfO₂ layers are uniform. While the Al₂O₃ dielectric mostly
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affects the carrier transport in the MoS₂ channel, the HfO₂ layer ensures a higher dielectric constant and acts as a capping layer during the development step (for photoresist patterning).



Physics-based device simulations are performed based on defect modeling work.^{20–22} This tool solves the Poisson and charge continuity equations self-consistently while accounting for a variety of charge carrier transport mechanisms such as drift-diffusion, thermionic emission, direct/FN tunneling²³ and trap-assisted tunneling (TAT) theory^{20,21,24}. Charge quantization effects at the interface are also included. The quantum-mechanical, multi-phonon trap-assisted tunneling (TAT) model^{20,21,24} implemented in the simulation accounts for the electron-phonon coupling that corresponds to the atomic-scale lattice rearrangement (relaxation) occurring upon charge carrier trapping and emission, which allows estimating the impact of defects on semiconductor device performance. In addition, the simulation of the device electrical response allows extracting key defect properties such as relaxation and thermal ionization energies, which can assist in identifying their atomic structure.

Experimental Results

Typical current-voltage characteristics (i.e., I_{DS} - V_{GS} and I_{DS} - V_{DS} measurements) for devices reported herein are shown in Figs. S2 and S3 demonstrating transistor action and quite low gate leakage current; however, the focus is on C-V frequency dependence (1 kHz to 1 MHz) for electrically active defect detection. An example of an as-fabricated $\text{HfO}_2/\text{Al}_2\text{O}_3/\text{MoS}_2$ gate stack FET is plotted in Fig. 2(a). The depletion region shows a frequency dispersive C-V response due to the existence of D_{it} at semiconductor/dielectric interfacial region. The fact that these interface traps respond to lower frequency AC signals while not able to respond to the higher frequency AC signals causes this frequency dispersion. A 300°C FG anneal was performed on this device, and the C-V characterization after this anneal is shown in Fig. 2(b). The dispersion in the depletion region disappears possibly due to the hydrogen in the FG passivating the interface defects during the anneal. By using the conventional high-low frequency (H-L) method,¹³ the D_{it} can be extracted from the C-V measurement [Fig. 2(c)]. The D_{it} peak is $4.5 \times 10^{12} \text{ eV}^{-1}\text{cm}^{-2}$ before the anneal, and extremely low – lower than the H-L method can accurately determine – after the anneal. However, in the accumulation region, a dispersion is observed, which does not show a significant change after the anneal. This dispersion is likely related to the border trap response¹⁴ – traps in the dielectric layer, which trap/de-trap electrons through a tunneling process during the electrical measurement. In addition, there is a noticeable lateral shift to more positive V_g for the C-V curves after the anneal. This means that the 300°C FG anneal can significantly reduce the positive charges in the dielectric layers in addition to the D_{it} reduction, as shown before^{4,5,14,19}.

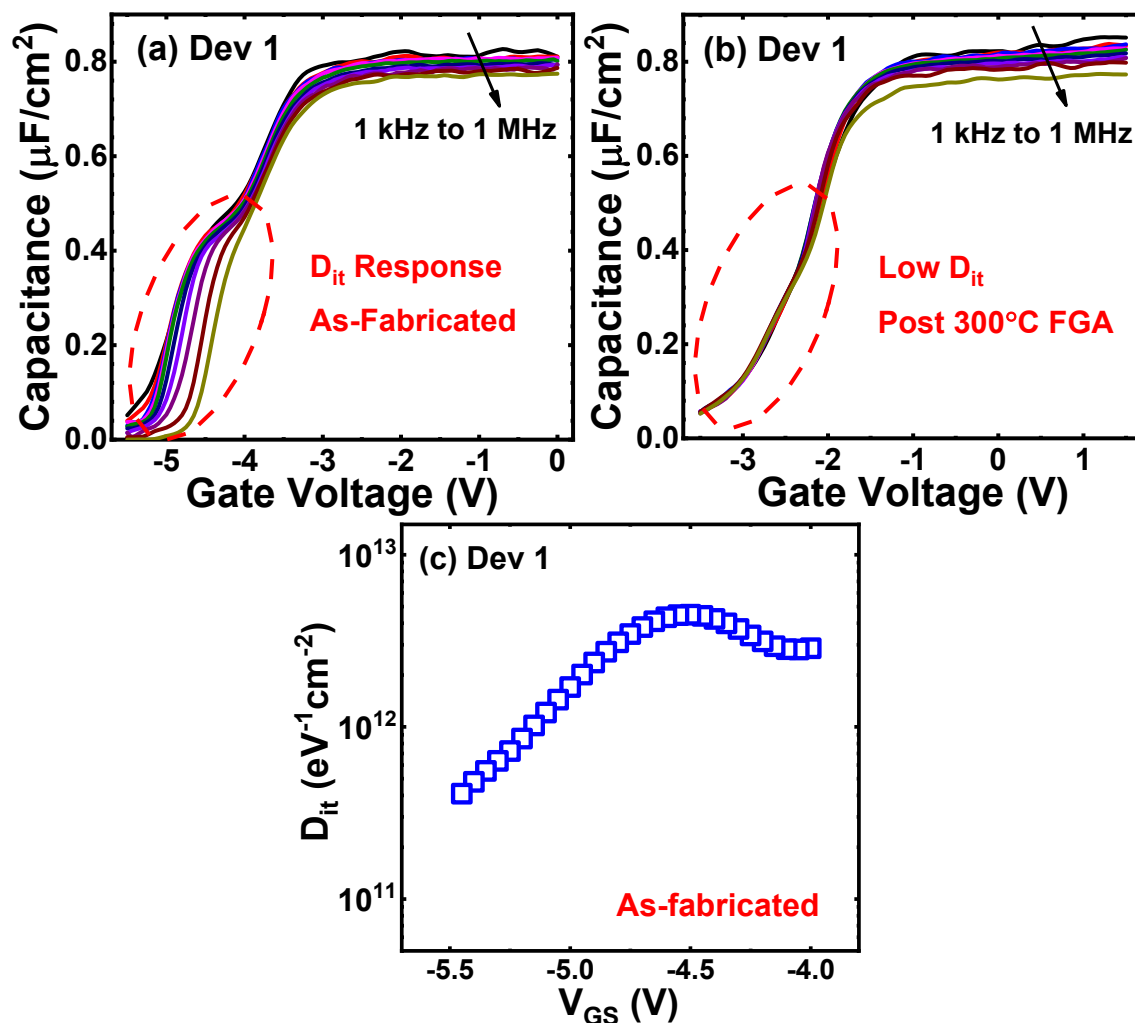


Figure 2. C-V characterization and D_{it} extraction on a $\text{HfO}_2/\text{Al}_2\text{O}_3/\text{MoS}_2$ gate stack (1 kHz - 1 MHz) before/after 300°C FG anneal, (a) before the anneal, showing high interface trap density. (b) after the 300°C FG anneal, the dispersion disappears, showing a significant reduction in D_{it} . (c) D_{it} extraction by using the high-low frequency method. The D_{it} peak is $4.5 \times 10^{12} \text{ eV}^{-1}\text{cm}^{-2}$ before the anneal, and extremely low after the anneal (less than $1 \times 10^9 \text{ eV}^{-1}\text{cm}^{-2}$).

Another device showing a D_{it} response is annealed at 400°C in FG (Fig. 3). Contrary to the 300°C anneal, the 400°C results in a degraded device, demonstrating significantly increased C-V dispersion. This indicates that the 400°C anneal creates large numbers of defects at $\text{Al}_2\text{O}_3/\text{MoS}_2$ interface. D_{it} before and after the anneal is extracted by the multiple-frequency method,^{13,25} along with the interface trap time constants (τ_{it}) [shown in Figs. 3(c) and (d)]. Before the anneal, interface

traps with D_{it} values ranging from 1.2×10^{12} to 8.8×10^{12} $\text{eV}^{-1}\text{cm}^{-2}$ in the depletion region are extracted. After the anneal, the peak D_{it} value increases almost an order of magnitude, to 8.3×10^{13} $\text{eV}^{-1}\text{cm}^{-2}$. Based on the difference in the extracted τ_{it} values, two groups of interface traps are found from the C-V measurement, similar to what W. Zhu et al.²⁵ reported previously. The highly dispersed C-V curves (high D_{it}) indicates that a temperature at 400°C might be too high for an FG anneal of the $\text{Al}_2\text{O}_3/\text{MoS}_2$ interface.

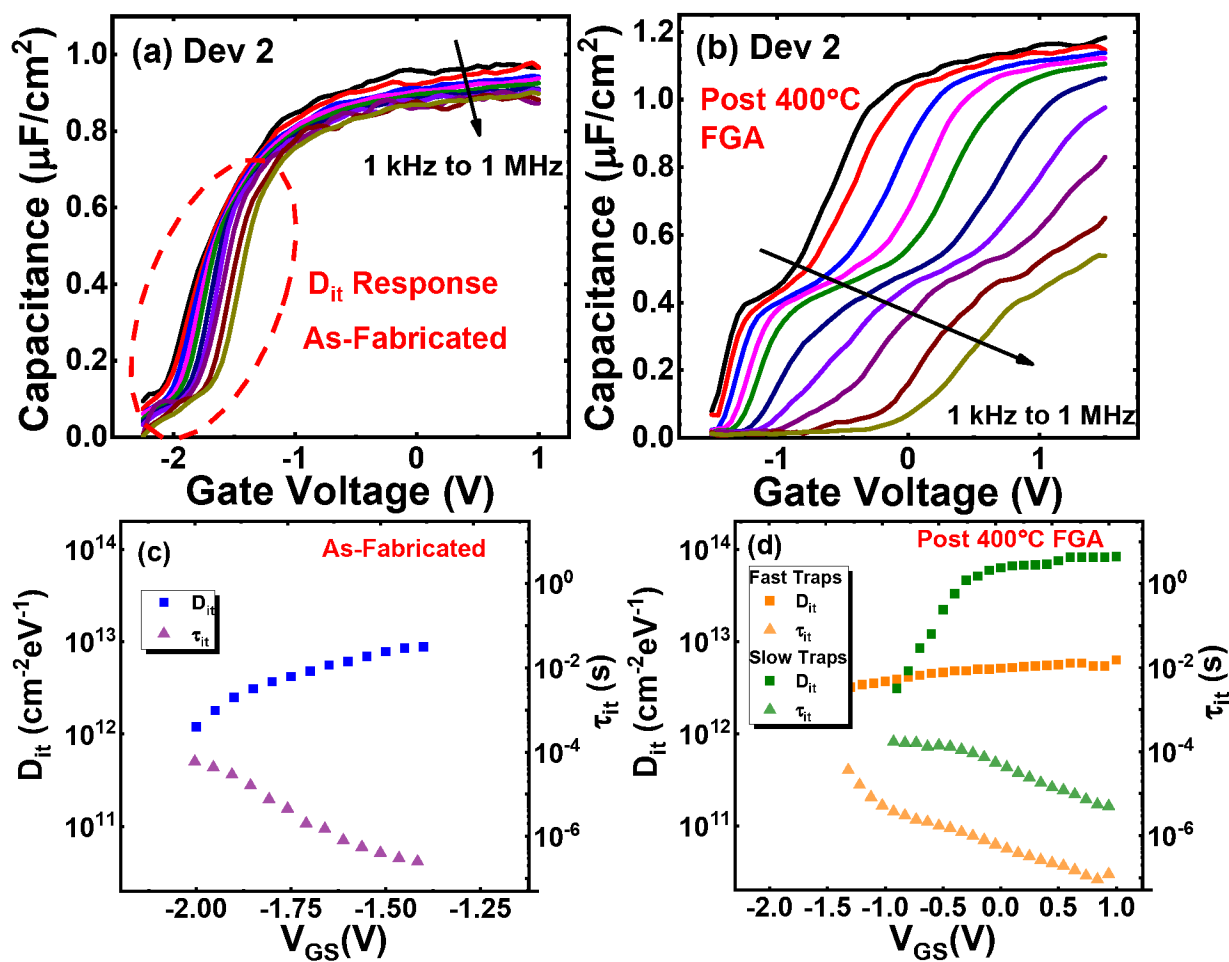


Figure 3. 400°C FGA effects on a device showing interface trap response. (a) C-V characterization before 400°C FG anneal. (b) C-V characterization after 400°C FG anneal for an hour. The large frequency dispersion indicates a significantly higher D_{it} due to the anneal. (c) D_{it} and τ_{it} extraction by using the multiple-frequency method before the anneal. (d) D_{it} and τ_{it} extraction after the anneal.

Additional devices demonstrate a device-to-device variability of the C-V frequency dependence in the depletion region. Results of two devices are shown in Fig. 4, where a moderate D_{it} response is observed in (a) and a low D_{it} response is observed in (b). Similar variation has been reported in the literature.^{13,14,16} Meanwhile, all the devices exhibit a similar border trap response¹⁴ in the accumulation region. These suggest that the physical origins of the interface traps and border traps may be different. The interface traps are likely related to some pre-existing non-uniform defects^{26,27} on the MoS₂ surface prior to ALD, which causes the device-to-device variation. The dangling bonds, that are generated during the exfoliation process on both the MoS₂ surface and edges, can be one of the possible sources of this variation. In contrast, the border traps are likely a consequence of the low ALD temperature and the deposition rate of the gate dielectric on MoS₂,¹⁴ which has much less variation since the same deposition process occurred on these devices.

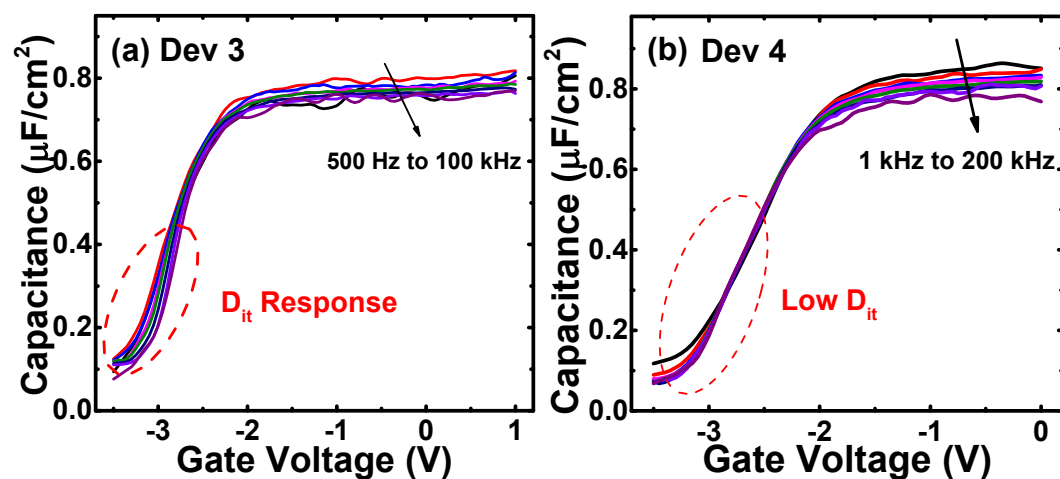


Figure 4. Another two devices showing lower D_{it} response, indicating the device-to-device variability.

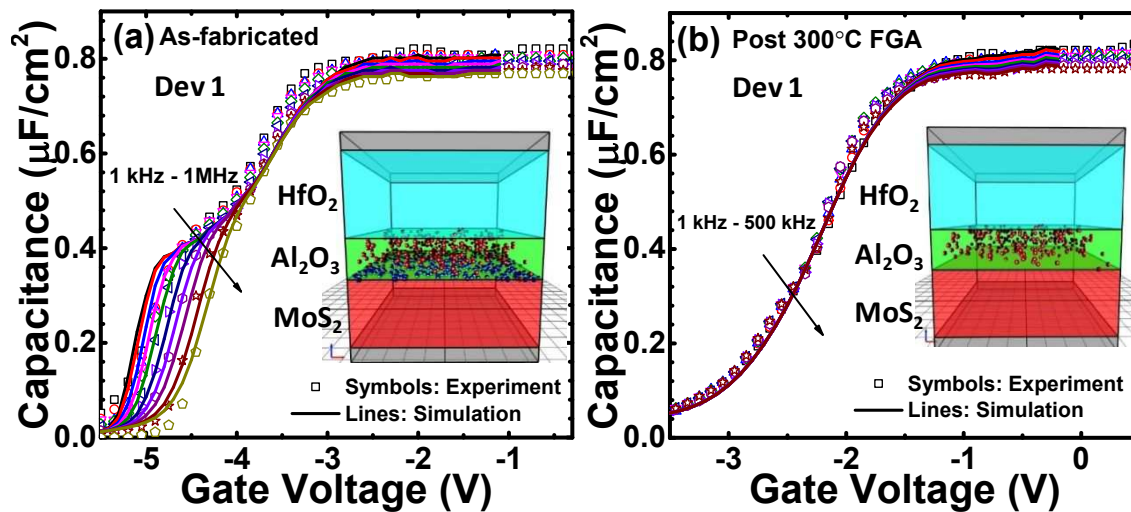
Comparing with previous studies on HfO₂/MoS₂ interfaces,^{14,19} annealing with the same conditions have noticeably different effects on the electrical behavior of the devices with Al₂O₃/MoS₂ interfaces. The 300°C FGA introduces more positive charges in HfO₂/MoS₂ stacks,¹⁹ but reduces positive charges and interface traps in HfO₂/Al₂O₃/MoS₂ stacks. The 400°C FGA

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3 reduces positive charges in HfO₂/MoS₂ stacks and may slightly degrade the devices.¹⁹ However, the
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5 400°C FGA largely degrades the interfaces and performance of devices with HfO₂/Al₂O₃/MoS₂
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7 stacks. Confirmation of this is observed in device #4, which shows no appreciable D_{it}, but was
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9 annealed at 400°C. The results are included in the supplemental information (Fig. S4) and clearly
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11 demonstrate degraded C-V results. If 400°C was a viable FGA temperature for the Al₂O₃/MoS₂
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13 interface, then the C-V data should have simply reproduced the pre-annealed results for device #4.
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15 It seems that the Al₂O₃/MoS₂ interface is more “sensitive” to the anneal temperature, which
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17 requires a lower annealing temperature to enhance the device performance, compared to
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19 HfO₂/MoS₂.
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25 **Simulation and Discussion**

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28 In order to quantify the energetic and spatial distributions of these interface traps and border
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30 traps observed in the C-V characterization, models of defects^{20–22} are used to simulate the C-V
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32 response of electrically active traps in the gate stack. The C-V characterization for the sample
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34 annealed at 300°C is fitted by the simulation software. Both experimental and simulated C-V
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36 characteristics are shown in Fig. 5 – experimental data as symbols and simulated data as lines. The
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38 inset figures show schematic device structures with interface traps in blue and border traps in red.
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40 Schematic energy band diagrams are shown in Fig. 6, with the interface and border traps that affect
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42 the C-V behavior in our experiments. The traps are determined to be uniformly distributed within
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44 a certain energy range. Before the anneal, the energy distribution of the D_{it} is continuous from the
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46 MoS₂ conduction band edge (E_{CB}) to 0.35 eV below the band edge, with a value of 1.3×10¹³ cm⁻²
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48 eV⁻¹. The simulation result shows that the 300°C FGA decreases D_{it} from 1.3×10¹³ cm⁻² eV⁻¹ to an
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50 ultra-low value (D_{it} removed in the simulation after the anneal). A border trap concentration of N_{bt}
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52 = 1.0×10¹⁹ cm⁻³ in the Al₂O₃/MoS₂ interfacial region is found before and after the anneal,
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3 consistent with the intrinsic defect densities reported in the literature for alumina. The traps in
4 HfO₂ are not considered here due to the relative distance from the MoS₂ interface, although the
5
6 HfO₂ are not considered here due to the relative distance from the MoS₂ interface, although the
7
8 fixed positive charges in HfO₂²⁸ are included. The D_{it} value before the anneal is slightly higher
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10 than the extracted D_{it} from H-L frequency method, probably because the frequency range of the
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12 experiments cannot reach the ideal limits for the H-L method, which can result in an
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14 underestimation of the D_{it} (i.e., D_{it} can respond with the AC signal in a wider frequency range than
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16 measured). The positive charges in the Al₂O₃ dielectric decreases from $5.1 \times 10^{13} \text{ cm}^{-2}$ to 2.6×10^{13}
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18 cm^{-2} due to the anneal. Interestingly, the anneal activates unintentional n-type doping in MoS₂
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20 (from $9.0 \times 10^{18} \text{ cm}^{-3}$ to $1.7 \times 10^{19} \text{ cm}^{-3}$), which was also reported previously for the HfO₂/MoS₂
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22 interface.¹⁹ These unintentional doping sites may come from the impurities²⁹ in the MoS₂ layers.
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43 Figure 5. Simulation fitting of C-V characterization results for (a) As-fabricated device.
44 (b) Device after FGA 300 °C. Inset: Schematic device structure with interface traps (blue)
45 and border traps (red).
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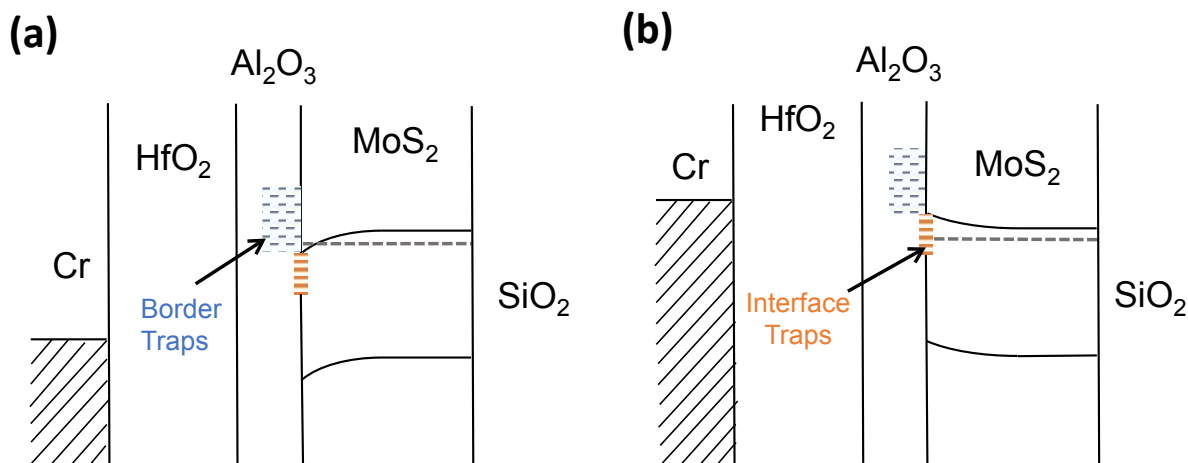


Figure 6. Schematic energy band diagrams of the distributions of interface traps (before anneal) and border traps (before/after anneal). (a) In accumulation, border traps in Al_2O_3 have an influence of the C-V characterization. (b) In depletion, interface traps in the MoS_2 band gap dominate the C-V response.

The other as-fabricated devices are also studied using the same defect models.^{20–22} Figure 7 shows the C-V fitting results for three other devices which are fabricated with the same process but demonstrate slightly different electrical characteristics. All the devices show different C-V behavior in the depletion region due to different D_{it} distribution but similar behavior in the accumulation due to similar border traps densities. The D_{it} and its energy range, correlated subthreshold slope (SS) from Fig. S3, and N_{bt} values are summarized in Table 1. Device 4 has little C-V dispersion information, so it is hard to accurately estimate the D_{it} (about $6.2 \times 10^{11} \text{cm}^{-2} \text{eV}^{-1}$, extracted from the little dispersion in the depletion region) and energy range for this device. All other devices show a D_{it} energy ranging from the MoS_2 conduction band edge (E_{CB}) to 0.13–0.35 eV below in the band gap, and a range of D_{it} values.

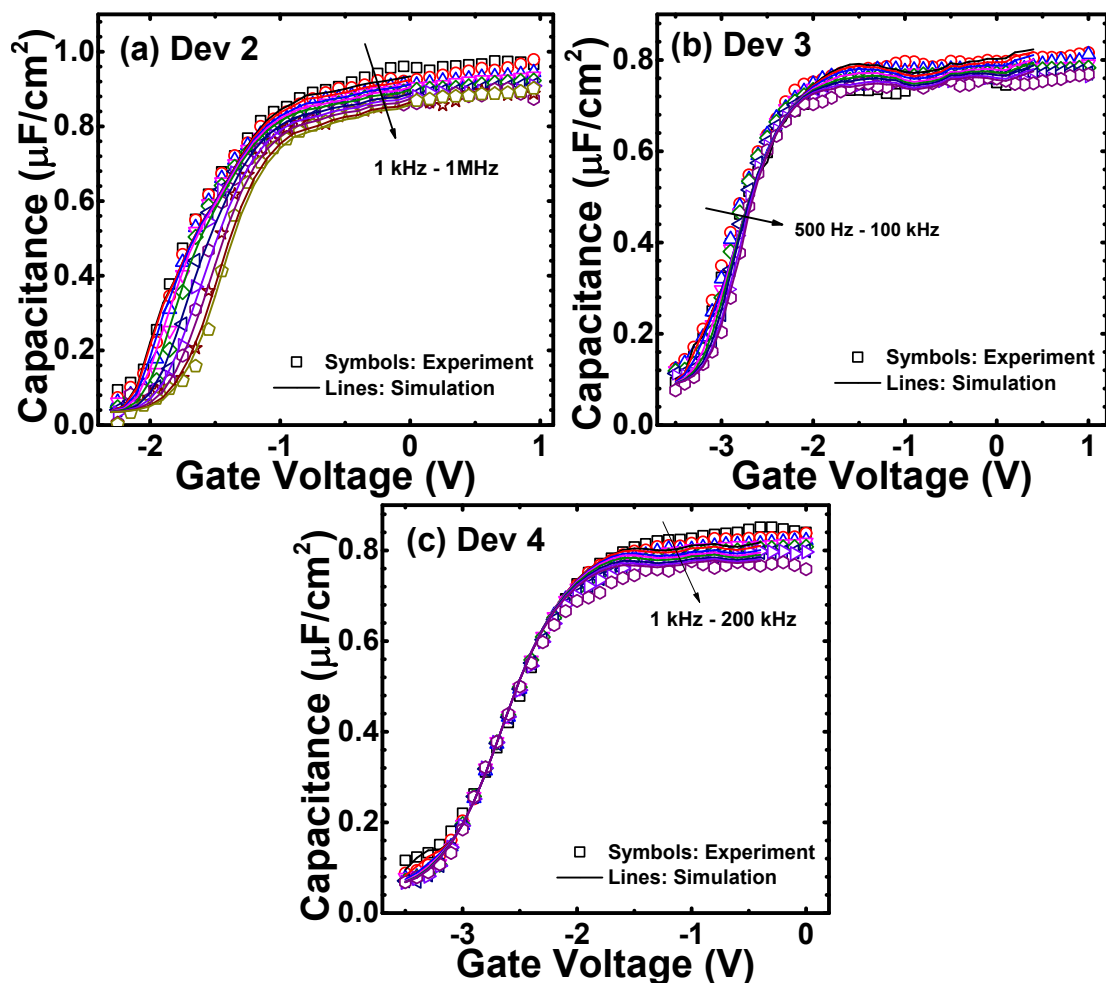


Figure 7. Defect model²⁰⁻²² fitting results of C-V characterizations on another three as-fabricated devices.

Table 1. Summary of D_{it} , SS , and N_{bt} of as-fabricated samples.

	Device 1	Device 2	Device 3	Device 4
D_{it} ($10^{13} \text{ cm}^{-2} \text{ eV}^{-1}$)	1.3	1.6	0.27	Below detection
D_{it} Energy Range	E_{CB} to $E_{CB}-0.35 \text{ eV}$	E_{CB} to $E_{CB}-0.13 \text{ eV}$	E_{CB} to $E_{CB}-0.30 \text{ eV}$	
Subthreshold Slope, SS (mV/dec)	~ 121	~ 131	~ 70	~ 67
N_{bt} (10^{19} cm^{-3})	1.0	2.3	1.5	2.0

Based on the analysis above, the D_{it} is highly likely related to defects which exist before surface treatment or ALD, due to the range of different values with similar D_{it} energy distributions. Sulfur vacancies (V_S)^{26,27,30,31} are the defects that have been widely reported in the literature. The V_S can likely cover 0.1% -5% of the surface area after mechanical exfoliation,²⁶ which is well within the

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3 range that electrical characterization can detect. However, the sulfur vacancies should have a
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5 peaked distribution and the energy level is relatively deep into the band gap,³² while in our case,
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7 the defects levels are uniform, continuous, and are close to conduction band edge. Thus, the defects
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9 directly detected in the C-V measurements here are not peak-distributed V_S . Actually, considering
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11 the process of gate stack formation, especially the UV- O_3 treatment,¹⁷ it can be safely assumed
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13 that most V_S are readily filled by oxygen during the treatment because of a lower formation energy
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15 needed for oxygen to fill the V_S than the energy of the O-S bonds formation.¹⁷ The continuous
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17 defect levels close to conduction band edge are also in a good agreement with the simulation
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19 focusing on the oxidation of the MoS_2 surface.³³ In the simulation work by S. KC, et al.,³³ where
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21 oxygen filled the V_S , the density of states (DOS) are formed at both conduction band and valence
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23 band edges of MoS_2 , and the DOS at conduction band are continuous and relatively uniform (Fig.
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25 6 in reference³³). Thus, a plausible origin of the D_{it} in our experiments are quite likely oxygen
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27 atoms that fill the V_S during the UV- O_3 treatment. Also, defects may be greatly reduced if V_S can
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29 be passivated before the UV- O_3 surface functionalization, using a sulfur treatment³⁴ that has been
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31 proposed in the literature. To further minimize the density of these defects, it is found that the
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33 300°C FGA works for reducing the D_{it} response, possibly by a H-passivation process.
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43 **Conclusion**

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46 In this work, top-gated, few-layer MoS_2 transistors with HfO_2 (6 nm) / Al_2O_3 (3 nm) gate
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48 dielectric stacks are fabricated and electrically characterized by C-V measurements to study
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50 electrically active defects in the interfacial region. Devices with low D_{it} and high D_{it} are observed
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52 in the C-V characterization. FG anneals at 300°C or 400°C are performed on devices having
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54 interface states present. A 300°C FG anneal is able to reduce the D_{it} significantly while the 400°C
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3 FG anneal increases defects in the gate stack. Simulation results suggest a largely decreased D_{it} ,
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5 reduced positive charge in the dielectric, but slightly increased unintentional doping in MoS_2 after
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7 the 300°C FG anneal. For the as-fabricated devices having D_{it} , the energy distribution of the D_{it} is
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9 continuous from the conduction band edge of MoS_2 down to 0.13eV - 0.35eV into the band gap,
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11 at $\text{Al}_2\text{O}_3/\text{MoS}_2$ interface for all devices measured. A plausible D_{it} origin in our experiments is that
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13 unexpected oxygen atoms fill the sulfur vacancies during the UV- O_3 treatment. The border trap
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15 concentration in Al_2O_3 is not changed before and after the anneal, suggesting different origins of
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17 these traps, possibly due to the low-temperature ALD process. While the 300°C FGA works for
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19 reducing the D_{it} response, it may also be greatly reduced if the sulfur vacancies can be passivated
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21 before the UV- O_3 surface functionalization.
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28 **Supporting Information**

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30 Optical photos of a representative device (Fig. S1); Parameters used/extracted in defect modeling
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32 (Table S-I); Typical (a) $I_{DS}-V_{GS}$ (b) $I_{DS}-V_{DS}$ characteristics for the as-fabricated MoS_2 transistors
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34 (Fig. S2); $I_{DS}-V_{GS}$ data for the four devices used in C-V collection and analysis (Fig. S3); Multi-
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36 frequency C-V result for device #4 after a 400°C FGA (Fig. S4).
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