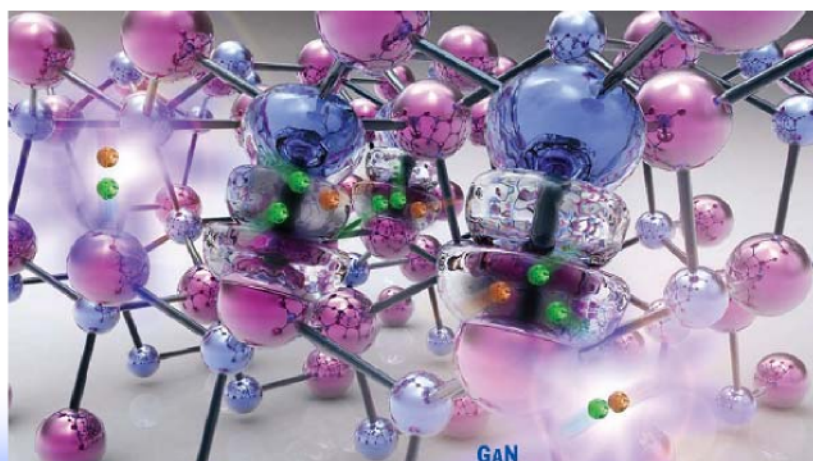


大功率GaN基发光二极管Droop现象 中的科学问题

陆海

南京大学电子科学与工程学院

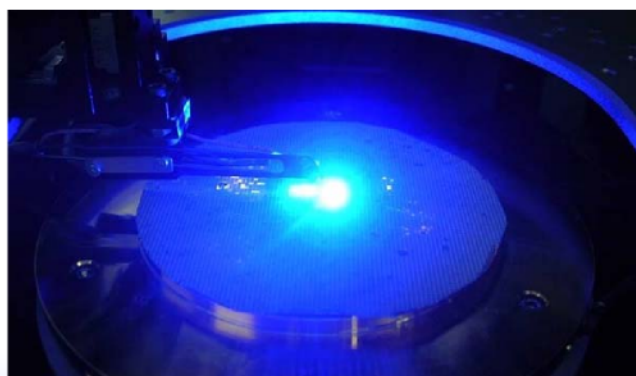


2010年12月23日

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Outline

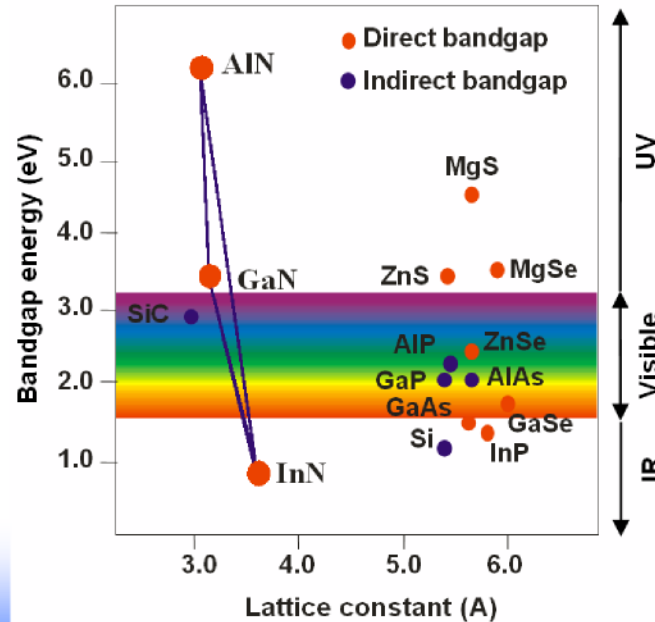
- III-nitride basics
- Some unique properties of GaN-based LEDs
- Leading explanations for efficiency droop
- Summary



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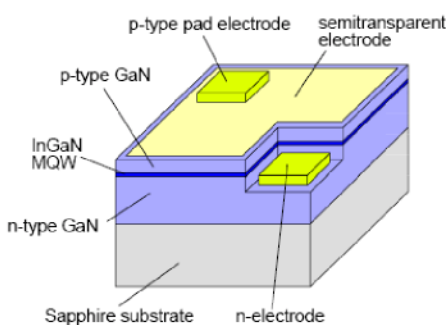
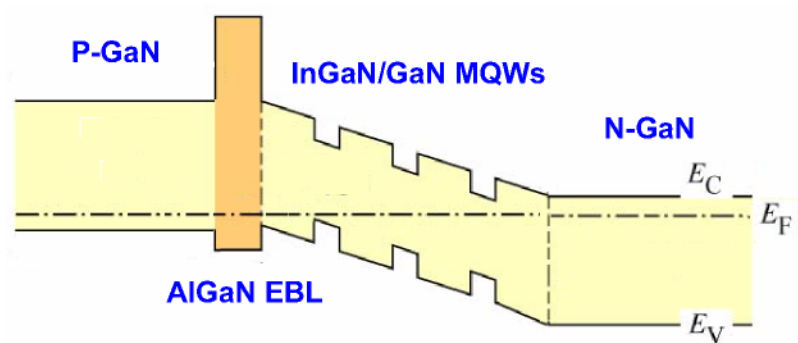
宽禁带III族氮化物半导体

以III族氮化物为代表的宽禁带半导体材料被称为**第三代半导体材料**。在**固态照明**、功率电子器件、微波功率器件、紫外探测等领域有重要应用。



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GaN基发光二极管的基本结构



2010年初，美国CREE公司报导GaN基大功率芯片光效已达 **208 lm/W @ 350 mA**，这无疑是对功率芯片性能的重大突破。

Electrical Efficiency	90%
Internal Quantum Efficiency	90%
Extraction Efficiency	95%
White Conversion Efficiency	75%
Target ($K \times \eta$ total)	200 lm/W

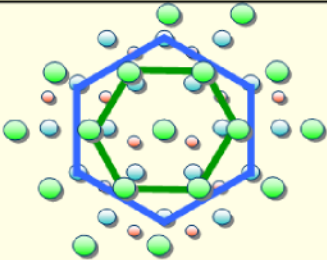
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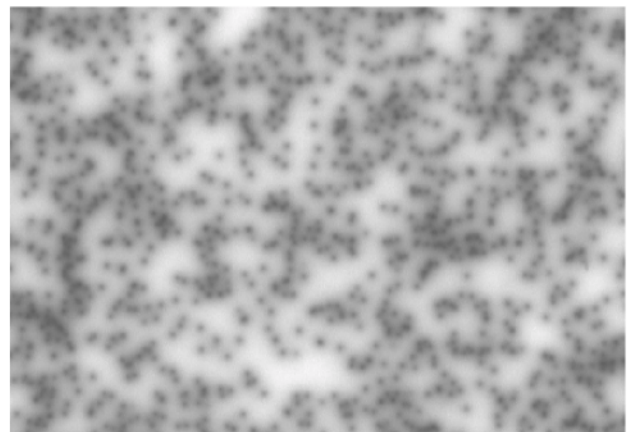
Some unique properties of GaN-based LEDs

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(1) Highly dislocative materials

Due to the hetero-epitaxial growth commonly used, the material system has very high dislocation density

	$[11-20]_{\text{III-N}} // [10-10]_{\text{Sap}}$ 30 ° Rotation
Atomic arrangement	
GaN a=3.189 Å	+16.1%

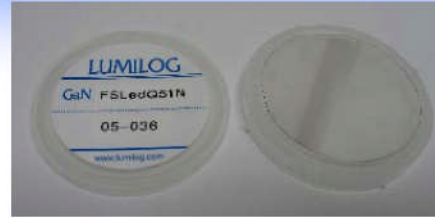


Large lattice mismatch
between GaN and sapphire

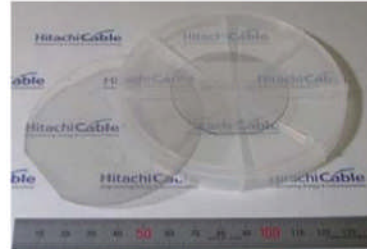
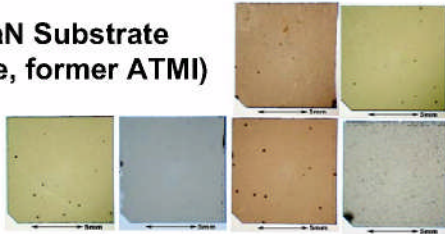
A **BEST** MOCVD GaN on sapphire
DD ~ $5e8 \text{ cm}^{-2}$

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As a result, bulk GaN substrate has been being intensively developed worldwide with more or less success.



GaN Substrate (Cree, former ATMI)



HVPE GaN template (Nanjing Univ.)

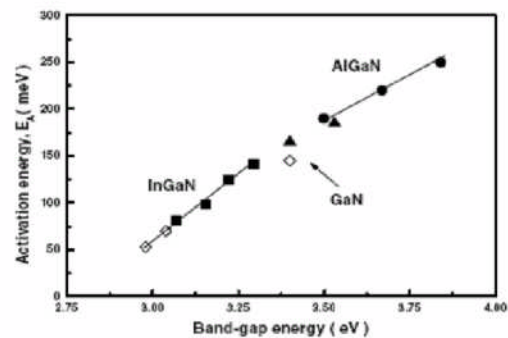


Sumitomo Electric's bulk GaN

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(2) Low P-type conductivity

Mg is the most commonly used p dopant in GaN with a high ionization energy around 150-200 meV. At RT, only around 1% Mg atoms are ionized. For example, 5×10^{17} hole concentration is already a good number.

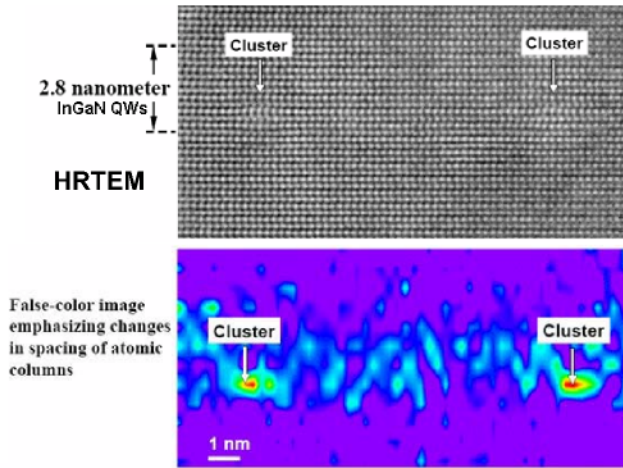


- ◆ Akasaki and Hayashi: GaN by MBE (1974)
- ◆ Amano et al.: GaN heteroepitaxy by AlN buffer (1986)
- ★ ◆ Amano et al.: p-type GaN by Mg acceptor (1989)
- ◆ Nagamoto et al.: InGaN Epitaxy (1989)
- ◆ Nakamura et al.: GaN buffer by MOCVD (1991)
- ★ ◆ Nakamura et al.: Mg activation by thermal annealing (1992)
- ◆ Nakamura et al.: InGaN/AlGaIn DH blue LEDs (1993)
- ◆ Nakamura et al.: InGaN-QW visible LEDs (1995)
- ◆ Nakamura et al.: Blue LD pulse operation (1995)

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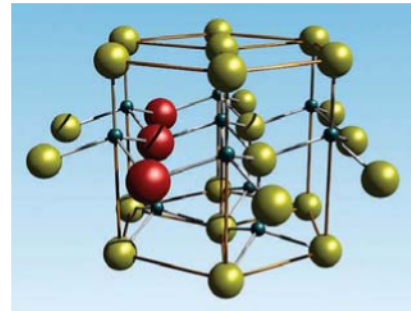
(3) Carrier localization

The internal quantum efficiency of GaN LEDs can easily reach 80% or higher. Then, a nature question arises how injected carriers (excitons) manage to escape from the detrimental effect of large number of nonradiative defects. The answer is “carrier localization”.



In-rich clusters in InGaN

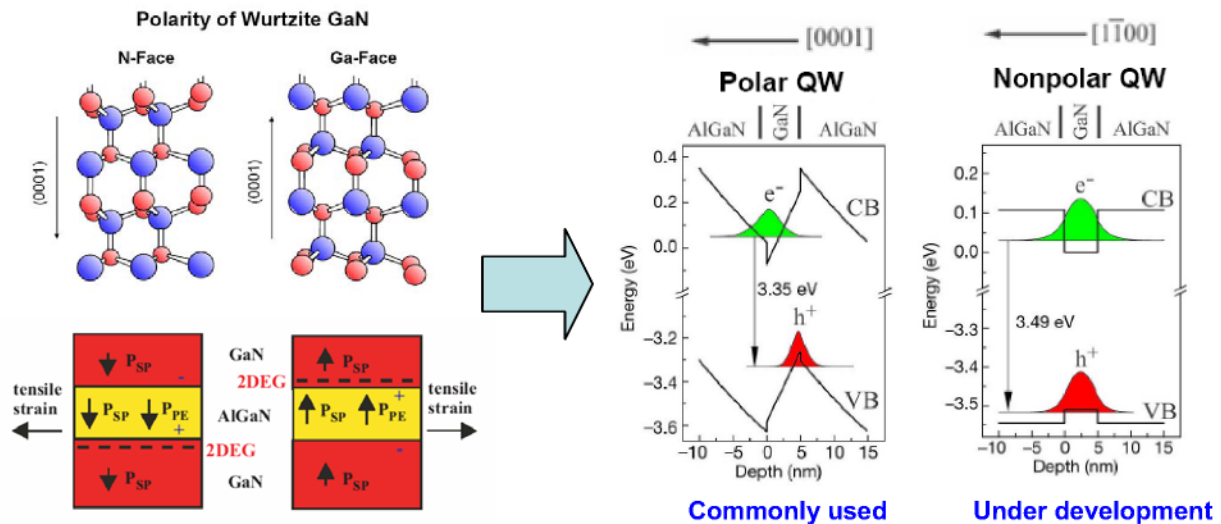
VS.



Local atomic configurations
Chichibu et al, Nat. Mat. 5, 811, 2006

(4) Strong polarization effect

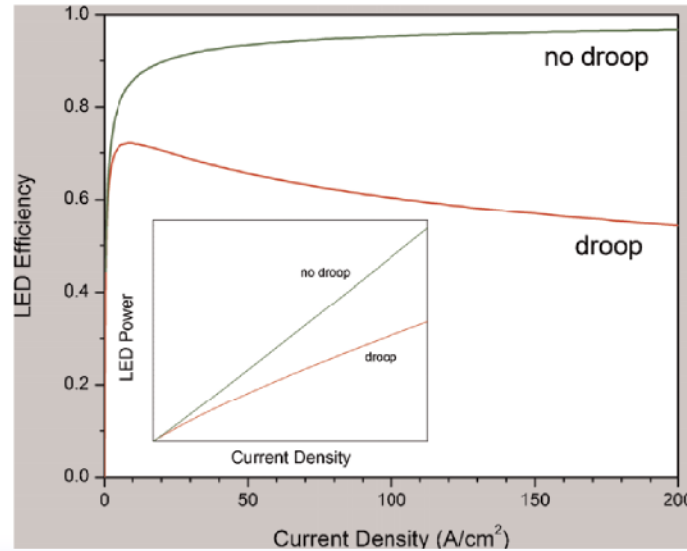
The possibility of inorganic crystals being polar (pyroelectric or piezoelectric) is strictly a function of their point group symmetry.



Strong polarization field exists within the c-plane InGaN/GaN MQWs.

(5) Efficiency droop

Although the internal quantum efficiency of GaN-based LEDs is generally high at low currents, the efficiency gradually drops as the injection current increases. This well-known phenomenon is called as “**efficiency droop**”



Such droop effect occurs not only in **blue** LEDs, but also in **green** and **UV** LEDs.

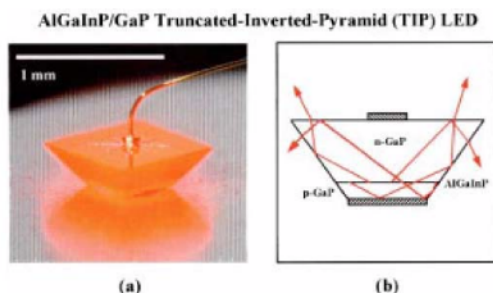
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Why is “droop” so important? \longrightarrow Cost

Is droop a high current phenomenon? **Yes or No !**

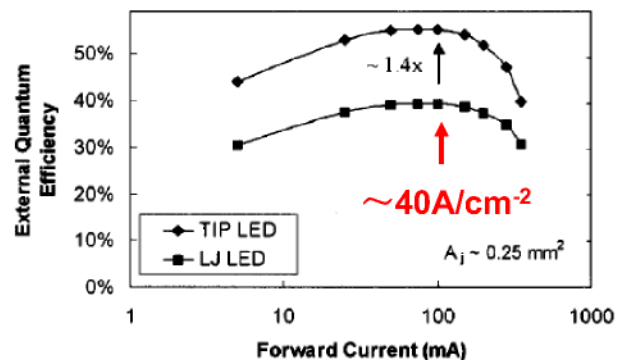
Peak IQE of GaN-based LEDs normally occurs at relatively low current densities $< 10 \text{ A/cm}^2$.

If compared to:



Lumileds, APL 75, 2365 (1999)

AlGaInP/GaP Red LED Power Lamps
 $\lambda_p \sim 650 \text{ nm}$, $T_a = 300 \text{ K (dc)}$



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Leading explanations for efficiency droop

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What Causes Droop?

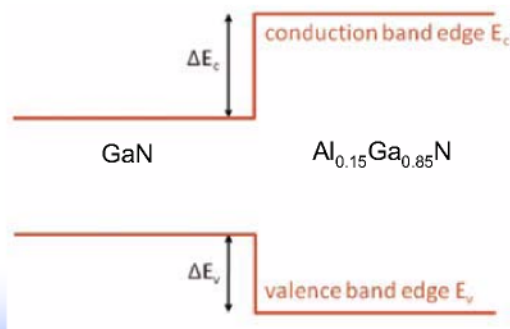
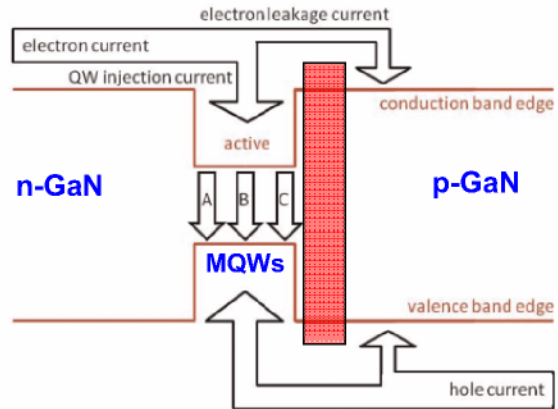
- Simple answer: **We don't know yet**
- Several competing theories/explanations
 - 1) Electron overflow at high current densities due to inadequate electrical confinement or polarization fields (UCSB, RPI, and others)
 - 2) Auger recombination due to high carrier density, direct or defect-assisted (Lumileds and others)
 - 3) Poor hole transport in MQWs (Virginia Commonwealth Univ.)
 - 4) Carrier overflow from localized states, that is, defect-related (West Virginia Univ.)



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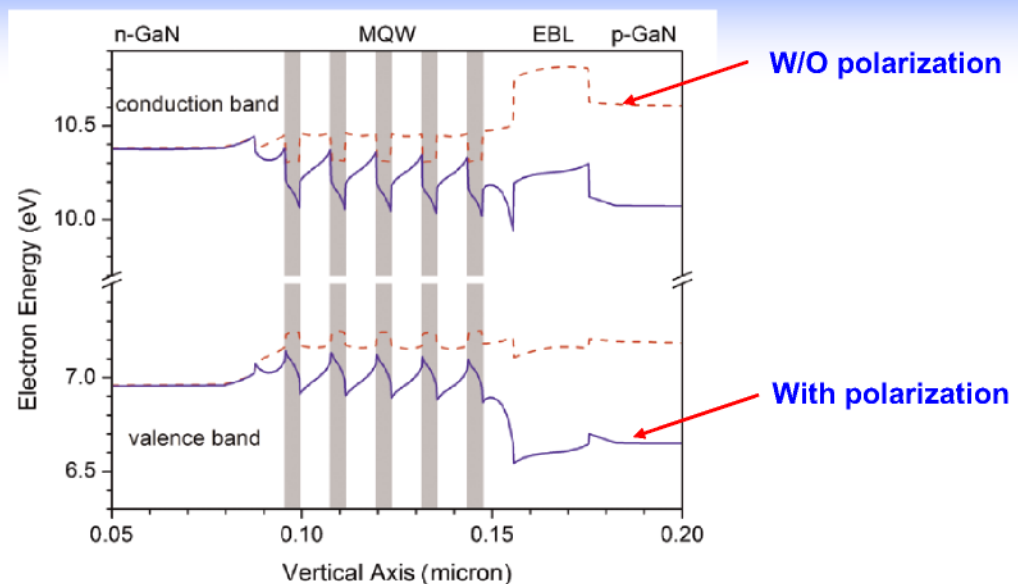
(1) Electron overflow

It is expected that the electron blocking layer (EBL) is unable to completely stop flow of electrons beyond the MQWs at high injection current levels, leading to strong non-radiative recombinations in the p-GaN layer.



However, a high band offset ratio of $\Delta E_c / \Delta E_v = 70:30$ is usually assumed between GaN and AlN, then earlier numerical LED simulations did not show an efficiency droop despite the inclusion of electron leakage current.

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One of the possible reasons for electron leakage is **the energy barrier reduction by built-in nitride polarization**. That is, with the typical Ga-polar growth of nitride LEDs, the polarization charges at the MQW-EBL interface are positive, which leads to electron accumulation at this interface and strong negative band bending.

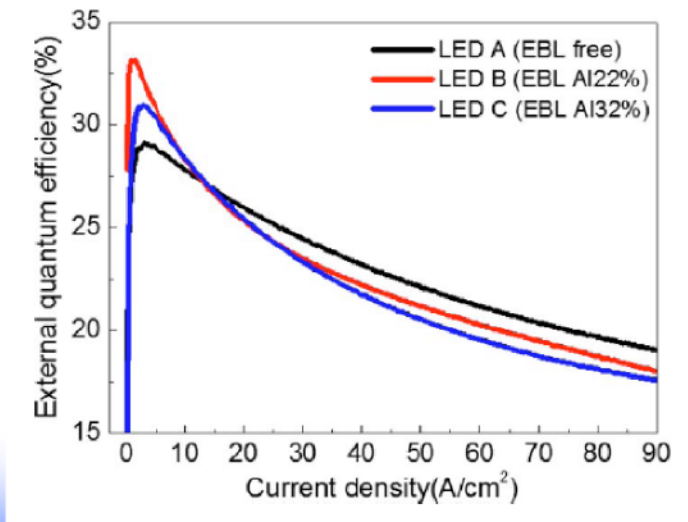
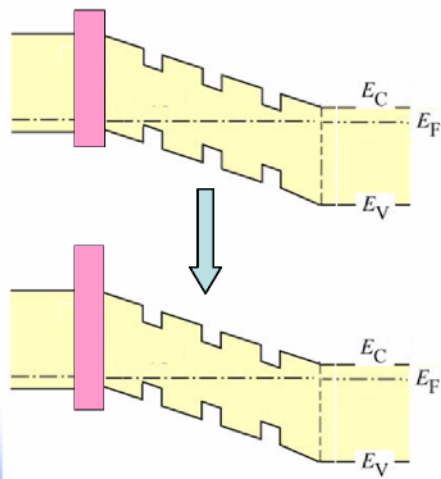
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Ways to enhance the electron confinement

1. EBL layer with higher Al content

Seems **not** successful, however, one should remember that higher Al content in EBL also adds more polarization.

(Samsung, APL 94, 231123, 2009)

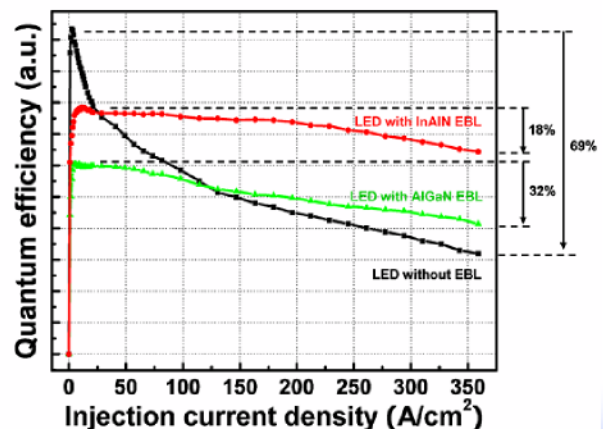
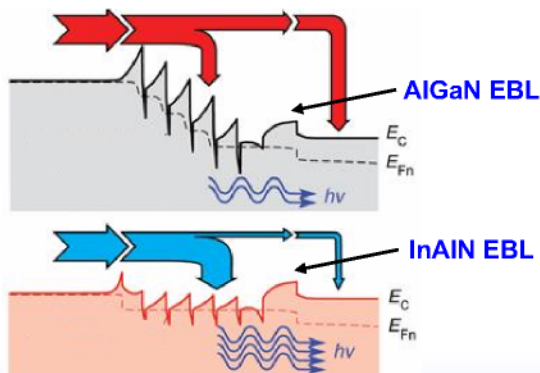


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2. Polarization engineering

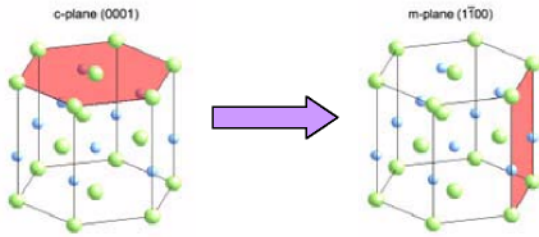
Several layer sequence combinations have been tried, such as **InAlN EBL** (GIT, APL 96, 221105, 2010), **GaNN/AlGaN MQWs** (RPI, APL 93, 041102, 2008), **GaNN/GaN MQWs** (RPI, APL 94, 011113, 2009)

The approach seems effective. People can see improvements.

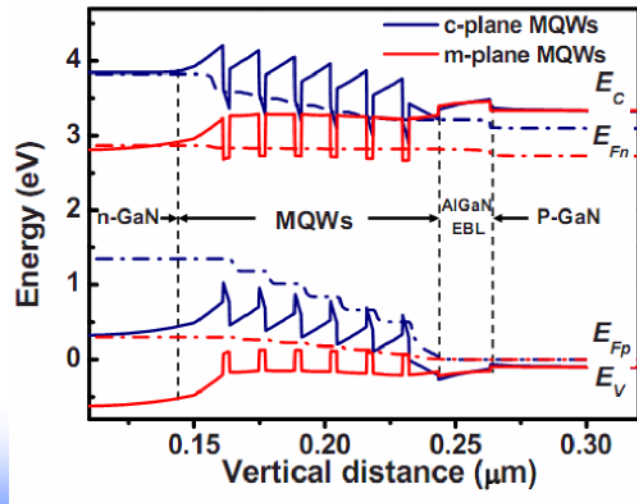


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3. Non-polar LED approach

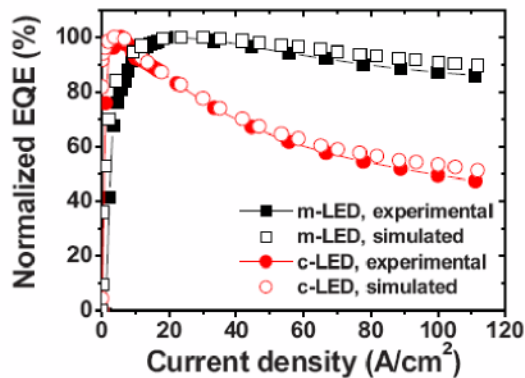
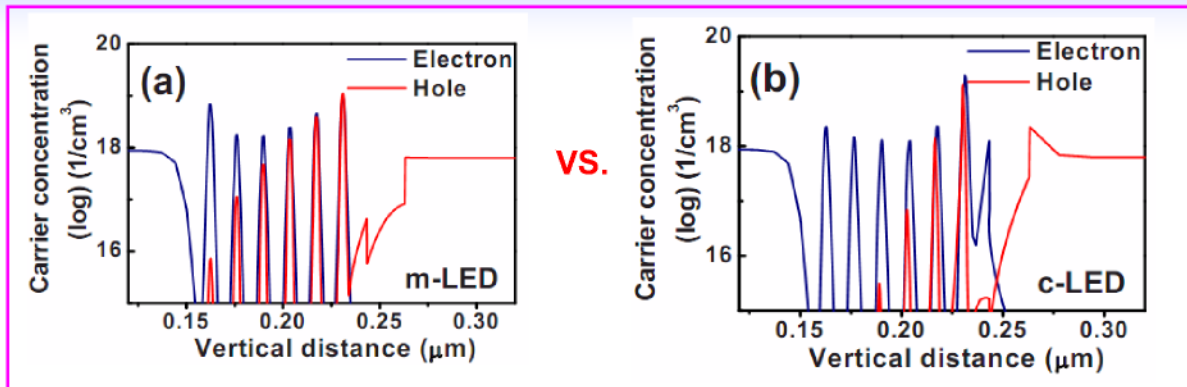


By fabricating LEDs on non-polar GaN plane to completely eliminate polarization-induced EBL lowering.



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Simulation of carrier distribution in the MQWs



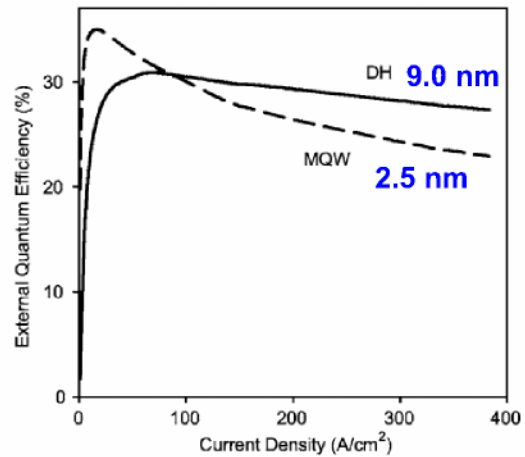
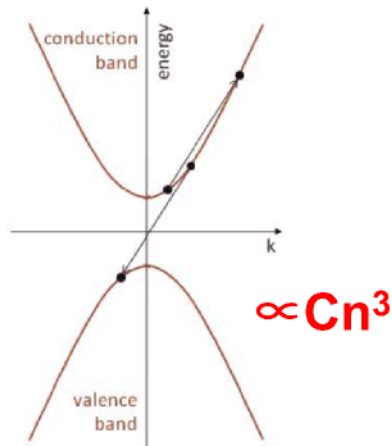
However, UCSB group reported that m-plane GaN LEDs also suffer from strong droop. (J. Phys. D 41, 082001, 2008)

NCTU APL 96, 231101, 2010

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(2) Auger recombination

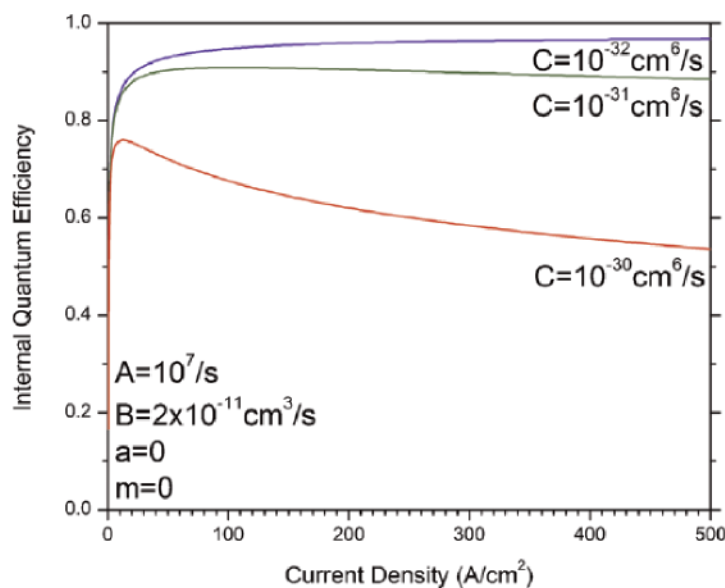
Non-radiative electron-hole recombination processes transfer the excess electron energy to other particles. In case of **Auger recombination**, these other particles are electrons or holes that are excited into higher energy levels within the same band.



The hypothesis was firstly suggested by scientists in Phillips Lumileds and has been popular since then. APL 91, 141101; 91, 243506, 2007

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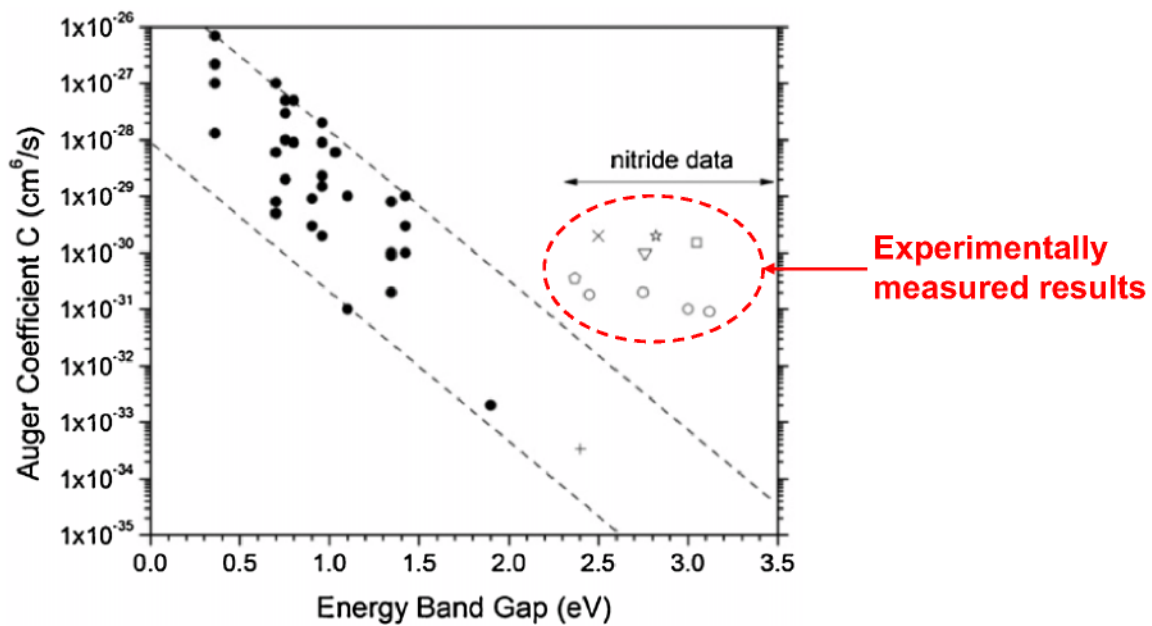
The magnitude of the Auger coefficient of GaN is the key !



Simple rate equation analysis indicates that only Auger parameters of **$10^{-31} \text{ cm}^6 \text{ s}^{-1}$ or higher** could cause significant efficiency droop.

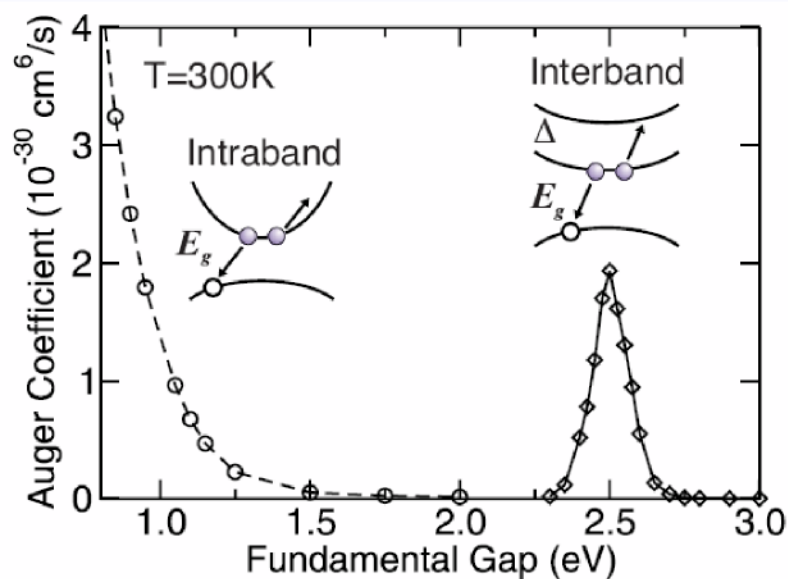
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Auger process decreases strongly with increasing energy band gap and it is generally considered negligible in wide-gap materials.



Eq. direct measurement of Auger recombination in $\text{In}_{0.1}\text{Ga}_{0.9}\text{N}/\text{GaN}$ quantum wells by using large signal modulation method. $1.5 \times 10^{-30} \text{ cm}^6/\text{s}$ is determined for the Auger coefficient at RT. (UMich APL 95, 201108, 2009)

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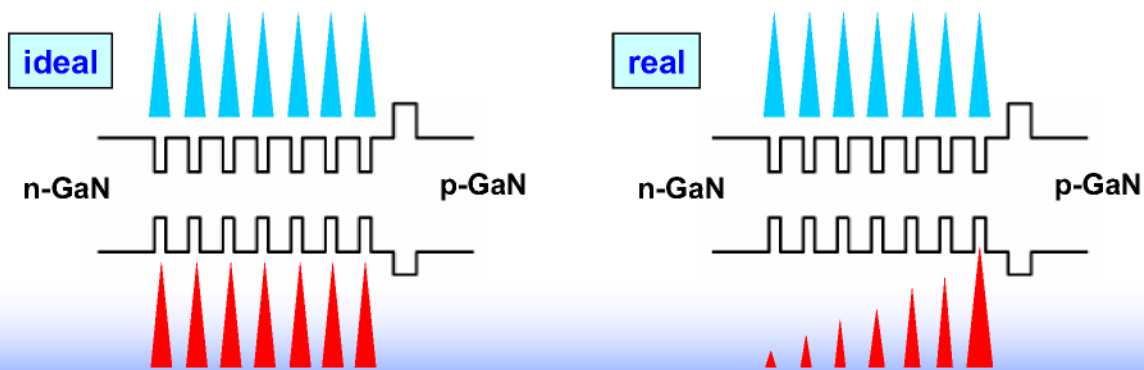
Theoretical analysis suggests defect-assisted Auger or interband Auger process could be the reason. (eq. First principle calculation by UCSB, APL 94, 191109, 2009) Sounds interesting ?!

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(3) Poor hole transport

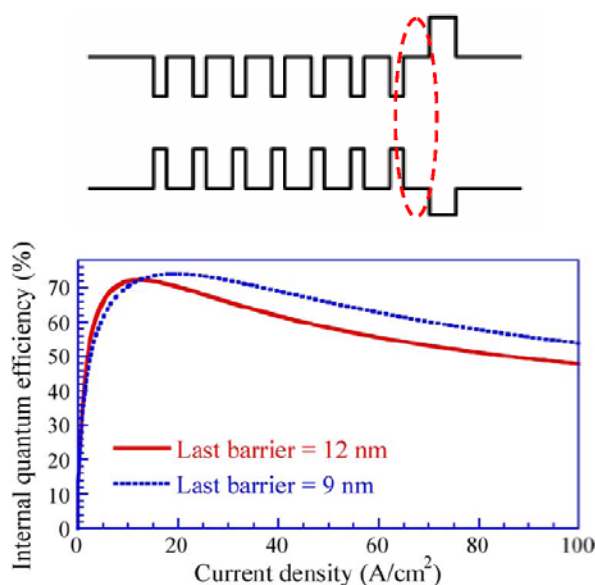
Two phenomena — **escape of electrons from the active region** and **reduced hole injection** — are components of any carrier leakage explanation for droop. However, **it is not clear which is cause and which is effect**; both have been proposed.

Poor hole transport and injection through the barrier **due to large hole effective mass, low hole concentration, or the EBL also acting as a potential barrier for holes** may lead to serious electron leakage **without contributing to radiative recombinations**.



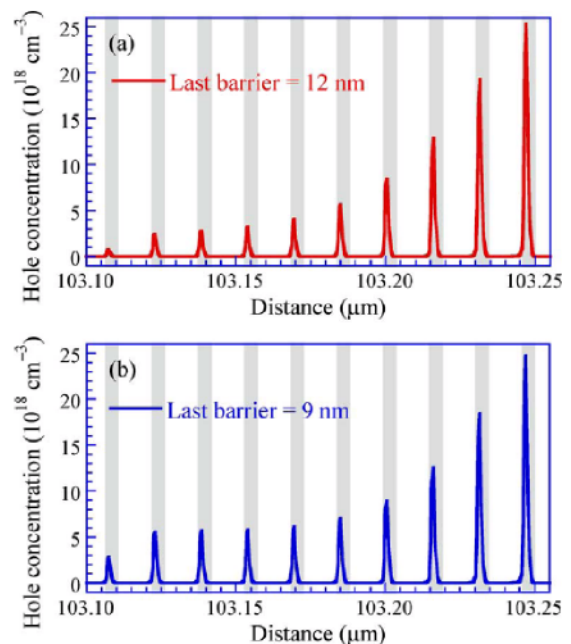
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Reducing the last GaN barrier thickness within the MQWs to promote hole transport.



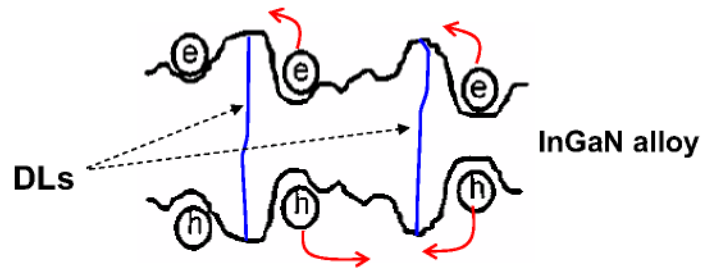
Epistar PTL 22, 1787, 2010

2/12 nm MQWs + 10 nm EBL



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(4) Density-activated defect recombination

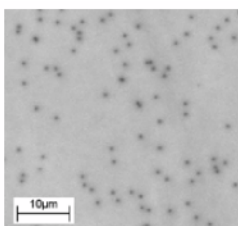


Indium-rich clusters are associated with a lower bandgap and therefore lead to carrier localization. At low current and low QW carrier density, indium-clusters then keep carriers away from structural defects that serve as SRH recombination centers. **With higher current, more carriers accumulate inside the QWs so that the indium-clusters fill up. Carriers spill over into QW regions with lower indium concentration and increasingly recombine non-radiatively at defects, leading to a SRH lifetime reduction.**

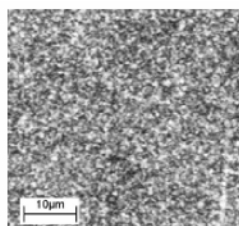
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If the defect-assisted picture is correct, GaN LEDs with reduced dislocation density within the MQWs should have less droop.

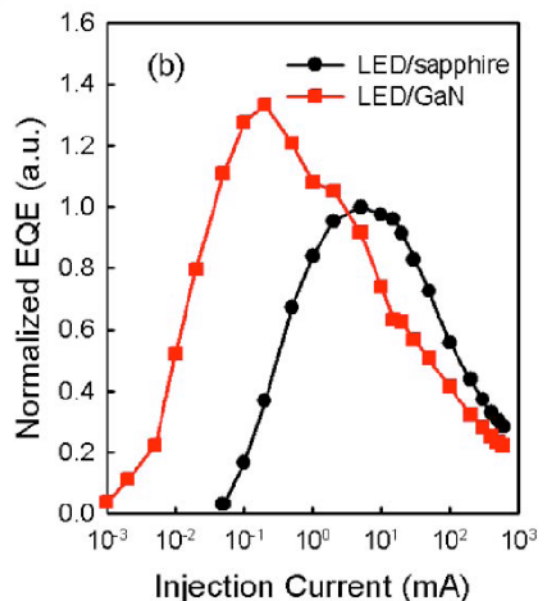
However, experimentally GaN LEDs made on bulk GaN substrate still suffer from strong droop.



GaN homoepitayer



GaN on sapphire



WVU, APL 94, 041117, 2009

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Summary

We still don't know what causes droop yet !

The problem itself:

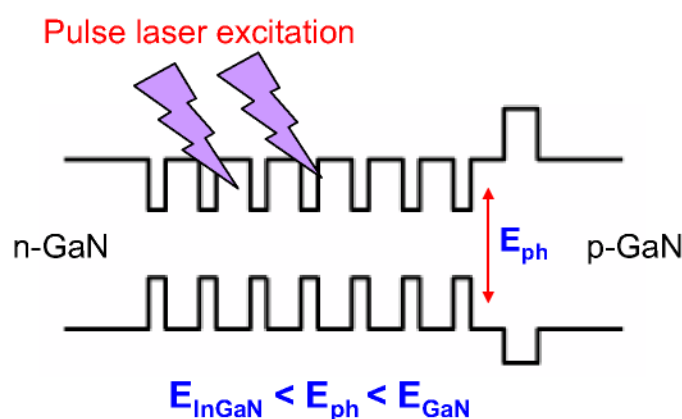
Droop is quite complex. Multiple mechanisms might be involved simultaneously.

The problem of scientists:

- **Absolute efficiency** should be stressed when comparing droop characteristics;
- People should pay attention to **the possibility of sample variations** as well as **the difference in testing methods**.

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A good example: efficiency droop in PL analysis

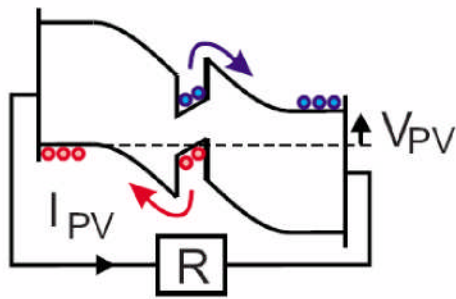


Since all photo-carriers are purposed to stay and recombine within the MQWs, the original idea is:

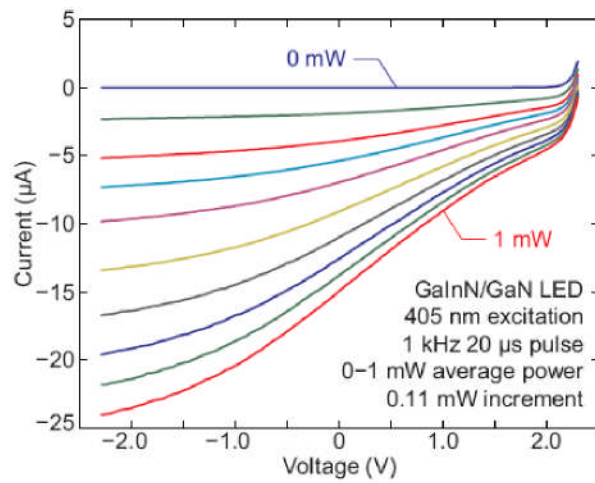
- If there is no droop, **droop is carrier transport related, like electron overflow;**
- If there is droop, **droop is caused by process occurring within the MQWs, like Auger.**

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However, recent study suggests that the PL analysis method itself might be problematic.



PV effect is observed !



RPI APL 94, 081114, 2009

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多谢
北京大学的各位老师 and 同学

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