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Updated Manuscript (Changes Highlighted)

# A New Mathematical Interpretation of Disordered Nanoscale Material Systems for Computational Modelling

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#### 16 17 Abstract

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18 As the era of microscale technologies becomes increasingly overcome by that of the nanoscale, an ever-increasing 19 20 emphasis on the accurate modelling of such scaled systems is apparent. This work explores the combination of the 21 finite element method with a new set of statistical algorithms to model the optical properties of disordered 22 nanoscale morphologies. A silicon surface textured with a random distribution of nanowires is created to simulate, 23 24 as an example study, how it responds to incident light. By averaging over many iterations of the model in which the 25 structural parameters are varied around average values, a good match to experiment is achieved, showcasing an 26 error as low as 1.34% in magnitude against measured data. This research introduces a fresh computational approach 27 to simulating heterogeneous material structures widely applicable for modelling across the field of nanotechnology. 28 29

30 Keywords: materials, modelling, nanoscale, COMSOL, heterogeneous

# 3132 1) Introduction

33 Modern computational and mathematical methods permit us to recreate many different physical conditions to 34 35 model various systems accurately. The finite modelling methods are at the forefront of this area with unparalleled 36 accuracy, robustness and versatility. In particular, the finite element method (FEM) has been hailed as one of the 37 most powerful tools in electromagnetic (EM) wave optics [1,2] due to its unmatched level of control over its 38 39 simulation domains, yielded in-part due to its adaptive free-tetrahedral approach to meshing. The FEM has also been 40 showcased to work well for fluid dynamics, thermal propagation and structural mechanics [3]. Modelling such 41 problems using this method heralded an interest in the late 1990s, whereby increasingly more complex structures 42 needed to be modelled, and often in-place of their fabrication [3]. This same level of interest has lingered for the 43 44 modelling of structures with further complexity at even smaller scales and remained the principal motivation of the 45 work reported here [4]. 46 47 Vertical, protruding silicon nanowires (SiNWs) are of interest within the field of nanotechnology as a result of their 48 broad set of applications. This is inclusive of areas within optics [5-7], nanosensors [8], nanoelectronics [9] and 49 photovoltaics [10-13]. Such structures, regardless of their application, are commonly formed through one of two 50 51 "top down" fabrication methods: reactive ion etching and metal-assisted chemical etching. Despite each type of etch 52 producing slightly differing SiNW properties, surface heterogeneity is constantly observed across all of them. 53 Variations between individual SiNWs, as well as their tendency to bunch together unpredictably, are visibly apparent 54 55 in many distinct studies [10,11,13-18]. Attempts have been made, prior to this work, to model SiNWs with largely 56 varying accuracy as a result of these unpredictable properties. These attempts include using the effective index (EI) 57 [19], finite difference time domain (FDTD) [20], and finite element [21,22] methods. Given that all computational 58 methods rely on periodicity to a lesser or greater degree, truly heterogeneous structures like SiNWs are impossible 59 60 to simulate with complete accuracy. Instead, we take a fresh mathematical and iterative approach to simulating such 61 material systems, used in conjunction with the FEM and COMSOL Multiphysics®+, to give a model with a higher 62

<sup>63</sup> degree of reliability and accuracy.

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### 2) Modelling Methods

Effective pseudo-randomisation requires a high degree of sequential mathematical processing, to which a substantial number of *'random'* functions, logical switches and iterative calculations must be employed before any geometry is even realised. The entire model reported here was reduced to be inclusive of three key pre-processing stages, listed respective of their execution order:

- 1. Randomisation and constraint;
- 2. Generation;
- 3. Meshing.

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9 Post-processing was limited to a single step process, whereby the number of geometry iterations, n, required for 10 convergence could be distributed appropriately for the system architecture. On multi-parallel computer systems, a 11 network consisting of multiple individually addressable multi-thread compute nodes, this can be done immediately 12 13 given that the point of convergence n<sub>c</sub> is already known. For serial or low-powered computer systems, this would run 14 in the form of a closed loop; one iteration after another, at the cost of substantial runtime. The point of data 15 convergence is a crucial study that must be carried out prior to simulation on parallel-execution systems for a given 16 simulation geometry to be modelled accurately and efficiently. This takes the form of a single parameter simulation 17 18 run with multiple geometries and averaging on the result of each. Theory outlines that we must reach a point where 19 an individual simulation result does not cause large deviation from the summed average of those before it; this is the 20 point of convergence. On serial or low-powered computer systems however, this study is not required as the solver 21 sequence can determine convergence after each iteration. 22 23

<sup>24</sup> Once guidelines for the desired geometry of the model are known, static parameters are input to the program

outlining specific properties of the surface being modelled. Here, given we recreated a surface covered with SiNWs,
 scanning electron microscopy (SEM) images were used as a basis for these parameters. These images are shown in
 figure 1.



Figure 1: Scanning electron microscopy (SEM) images of a silicon surface decorated with vertically aligned nanowires from side-on (a) and top-down (b). This sample was fabricated and imaged for the work reported here.

Average values for the dimensions of the SiNWs in the model geometry are used as a point-of-reference to which randomisation can be applied. For instance, from the images shown in figure 1, SiNWs in the fabricated sample have an approximate height (h) of 1 μm, approximate average separation (pitch, g) of 180 nm and diameters (d) of up to 160 nm. Whist each SiNW is different, these average values are representative of the properties across the entire surface of the sample. Some degree of pseudo-randomisation can then be applied to each SiNW within the model geometry. Each of these properties are varied on a per-SiNW basis using the following formulation:

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Here, z is the randomised parameter,  $z_0$  is the average value for that parameter as outlined previously and  $\Delta z$  is some random variation to be applied dependant on a given input seed, S. Each parameter is varied within a set range. This is carried out by defining  $\Delta z$  as a random function with a mean of zero and a range of some definite amount. The model reported here applied the variation limits shown in table 1. Uniform functions were employed over Gaussian ones to enable greater control and predictability in the variation of a given static parameter.

| Parameter, $z(S)$ | Average Value, z <sub>0</sub> | Applied Variance, $\Delta z(S)$                 |
|-------------------|-------------------------------|---|
| Radius (0.5d)     | <mark>50 nm</mark>            | $-30 \text{ nm} \le \Delta z \le 30 \text{ nm}$ |
| Height (h)        | <mark>1 μm</mark>             | $-15 \text{ nm} \le \Delta z \le 15 \text{ nm}$ |
| Pitch (g)         | <mark>180 nm</mark>           | $-56 \text{ nm} \le \Delta z \le 56 \text{ nm}$ |

Table 1: Variations applied to the key parameters of each silicon nanowire.

<sup>15</sup> The values shown in table 1 are derived from SEM images of our manufactured SiNWs. Commonly, we have

<sup>10</sup> observed little deviation in height given a well-executed etching process. However, pitch and radius vary

18 considerably more than this, and subsequently larger magnitudes of applied variance were permitted for these <sup>19</sup> properties. Generating the SiNWs within the model geometry required a multi-step construction process consisting

<sup>20</sup> of several sub-elements. Notably, we needed to create a footprint, spine, and extrusion for each SiNW generated

within their respective array. Experimental observations of real variants of these surfaces have demonstrated how

<sup>23</sup> such structures may benefit from not simply being modelled as cylinders extruding from the surface on which they <sup>24</sup> are situated. For example, Scheul et al. [23] have demonstrated that many SiNWs have unpredictable outlines

<sup>25</sup><sub>26</sub> presenting an additional route for randomisation of a different type here.

<sup>27</sup><sub>28</sub> Random footprints for these SiNWs were generated using a different random function coupled with a parametric <sup>30</sup> curve element. This curve defaulted to unity at the scale set for the model; the nanometre range here. Subsequently, <sup>30</sup> the parametric curve was initially generated about an approximate radius of 1 nm. This was scaled-up to the correct <sup>31</sup> size as defined by the randomised radius variable  $r_{0.5d}$  for that SiNW by multiplying the two together. This

mathematical method is shown for both the x and y components of the curve in equations (2) and (3), where S is the input seed,  $r_{\rm u}$  is a uniform random distribution,  $r_{\rm u}$  is a Gaussian random distribution. N is the spatial frequency

<sup>34</sup> input seed, r<sub>u</sub> is a uniform random distribution, r<sub>g</sub> is a Gaussian random distribution, N is the spatial frequency
 <sup>35</sup> resolution and b is the spectral exponent.
 <sup>36</sup>

| 37  |  |  |              |
|-----|--|--|--------------|
| 38  | $r_{\rm eff}(S) = r_0 r_{\rm eff}(S) \cos(2\pi s)$               | $1 + 0.1 \sum \left[ i^{-b} r_{i}(i, S) \cos(2\pi i s + r_{i}(i, S)) \right]$                  |              |
| 39  | $ww(\mathcal{O}) = r_{0.5a}(\mathcal{O}) \cos(2\pi \mathcal{O})$ | $\left[1 + 0.1 \sum_{i=1}^{n} \left[0 + g(0, 0) \cos(2\pi i \theta + i u(0, 0))\right]\right]$ |              |
| 40  |  | $\lfloor i=-N \rfloor$   | (2)          |
| 41  |  |  |              |
| 42  |  | $1 \rightarrow 0.1 \sum_{i=1}^{N} [i - b_i (i - 0) \rightarrow (0, i - 1) - (i - 0)]$          |              |
| 43  | $y_w(S) = r_{0.5d}(S)\sin(2\pi s)$                               | $ 1+0.1\rangle$ $ i^{-b}r_{g}(i,S)\cos(2\pi i s + r_{u}(i,S))  $                               |              |
| 44  |  | i=-N   | ( <u>3</u> ) |
| 4 - |  |  | (•)          |

<sup>46</sup> The values used in equations (2) and (3) to create the random footprints reported in figure 2 were N = 10 and b = 47 0.7. For the uniform random distribution,  $r_u$ , a mean of zero and a standard deviation of  $\pi$  was used, whilst for our 48 Gaussian distribution, rg, a mean of zero and a standard deviation of one was used. Figure 2a illustrates the 49 50 relationship between the statically defined radius 0.5d and the randomised parametric curve about it after using the 51 radius as a multiplier. In this form, it is important to realise that the curve is simply a boundary, and subsequently 52 cannot be extruded into 3-dimensional nanowire domain directly. Instead, the convert-to-solid (CTS) geometry 53 method within COMSOL Multiphysics<sup>®†</sup> was used to fill the area enclosed by this curve and subsequently visualise it 54 55 as a surface instead. The use of this method required the implementation of a separate work plane, consisting of the 56 newly-created surface, mapped to the original 3-dimensional domain. This meant that each SiNW footprint was not 57 created within the original coordinate system but could be referenced from it. The work plane had a 2-dimensional 58 Cartesian coordinate system denoted by xw and yw and held the footprints for all SiNWs within the array, inclusive of 59 60 their variable pitch as shown in figure 2b. 61

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respective footprints but have been translated toward a bunching zone shown in red (a) following their Bézier polygon spines (b).

By generating enough different iterations of this geometry, we can simulate each whilst taking an average of all of them to more accurately obtain the property we are trying to simulate. In the case of this work, surface reflectance was taken as the property of interest.

#### 3) Software Configuration and Optimisation

б COMSOL Multiphysics<sup>®†</sup> is a finite element analysis tool, used in the completion of this work, employing various direct and/or iterative solvers to compute discretised partial differential equations (DPDEs). Partial differential R equations (PDEs) are infinitely regressive and representative of real physical geometries existing in both space and time. Analytically near impossible to solve, discretisation needs to be introduced to these systems to ensure that there are only a finite number of elements making up an infinitely complex geometry. Conversion from a PDE to a 13 DPDE makes the problem solvable in real-time. The solution accuracy for such DPDEs is highly dependent on the level of discretisation used within a given solver sequence. Studies were carried out to determine the minimum mesh element size required to accurately render our model, prevent deformation and to minimise the risk of unnecessary over-computation. On completion of this study, the solver generates a mesh and superimposes it over 18 the un-discretised geometry. As demonstrated in figure 4, this will always introduce some aliasing into the model regardless of the mesh's density. 

Figure 4: A direct comparison of a single unit-cell product of our randomisation and constraint pre-processing sequence, once it has been generated in the second step, before and after its mesh has been superimposed.

<sup>46</sup> Once the entire geometry is meshed, it becomes possible to simulate it. Here, we employed the EM waves, frequency domain (EWFD) interface within Wave Optics Module of COMSOL®+ to determine the reflectance of our geometries. A FEM model exhibiting such a high level of mathematical dependency on extra-geometrical components requires a considerable number of pre- and post-processing steps. As stated previously, the model was broken-down into key processing stages and executed in the appropriate sequence. It was designed to be as efficient on resources and accurate as possible. The randomisation of individual geometric features could be done anywhere in the pre-processing sequence. Despite this, we decided that it was crucial for all randomisation to occur before any rendering took place; significantly saving on computational resources and time. The implication here being that rendering a non-randomised geometry, only to then have it randomised and subsequently re-rendered, was undesirable, particularly on computer systems that lacked any graphics processing units (GPUs). Incidentally, this simulation is tailored to run remotely on the IRIDIS 5 supercomputer<sup>1</sup>, notably lacking any form of GPU on its 

- <sup>63</sup> <sup>1</sup> The IRIDIS Compute Cluster. <u>https://www.southampton.ac.uk/isolutions/staff/iridis.page</u>



standard compute nodes. A system-wide overview was drawn-up to ensure the potentially resource heavy simulation was designed to utilise the strengths of each system involved within the simulation sequence.

A study first needed to be completed outlining how many different model geometries needed to be simulated in order to see convergence in our results. This took the form of a cluster sweep where the input seed S was varied from one to 50 in increments of one. A single, mid-band wavelength of 700 nm was injected into each geometry and the surface reflectance was measured. Each of these values for reflectance were then to be averaged together and the cumulative average plotted against the number of geometries forming that average. The point of convergence n<sub>c</sub> could be seen when the cumulative average stabilised within a relative tolerance of 5%.

Taking this value forward, a full wavelength sweep would be performed on each of the geometries formed by the input seed S representative of values between one and  $n_c$  in increments of one. For instance, if the point of convergence n<sub>c</sub> was found to be 15, then the reflectance response of 15 geometries would be averaged together R with input seeds S of one to 15. On top of this, four levels of randomness were simulated so the effect of heterogeneity could be determined on the reflectance of a given surface. Examples of these levels can be seen in figure 6. It is important to note that, for purely periodic geometries, the point of convergence n<sub>c</sub> is irrelevant and only one geometry needs to be simulated due to a lack of any randomisation. This is the only type of geometry that is completely independent of the input seed S. 



Figure 6: Demonstrating how the different *levels of randomness* are characterised as discrete levels and how they appear in the form of silicon nanowires.

For each of the levels shown in figure 6, simulation statistics such as runtime, memory usage, total element count
 and absolute error will be noted and compared to identify which is the best compromise between accuracy and
 resources available.

3738 5) Results and Discussion

Convergence in the reflectance data is apparent after averaging around 39 different geometries (see figure 7). This is where the data holds a consistent relative tolerance of approximately  $\pm 2\%$ ; below the magnitude of 5% ( $\pm 2.5\%$ ) stated in our simulation methodology. This represented an acceptable degree of uncertainty and was carried forward into the following geometric studies. This convergence point only appears to be affected by the geometric complexity of the model, whereby greater degrees of randomisation and variance between the simulated geometries results in more iterations required for convergence. This point is wavelength independent as we are using a fixed meshing strategy tailored for the smallest wavelength of light simulated; 400 nm in this work. Adaptive meshing would allow for the mesh to be regenerated based on the input wavelength, resulting in faster runtimes at larger wavelengths, however this was not the focus of this work. The convergence point is lower for less complex geometries, therefore the convergence data presented in figure 7 is for the most complex geometry, randomness level 3. Unfortunately, given the random nature of the geometries being simulated here it is not conceivable to predict the convergence point mathematically. Implementations of such a modelling approach must include a corresponding study to find this point, ensuring that further data extracted from simulations is accurate. 



A substantial finding, representative of the data shown in figure 8b, was that randomness level 1 appeared to be the most accurate of all the geometries studied here. In theory, this should not be the case. A greater level of randomness within the simulation geometry is indicative of a closer match between theory and structures we observe. There are several possible reasons behind why our results appear to show the opposite:

- Each randomised property is constrained within specific variance tolerances (see table 1);
- Generation of the model 'by eye' using figure 1 introduces human error;
- Mesh inadequacy.

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• Exclusion of the thin film aluminium oxide layer around the SiNWs.

8 It was likely that the error between simulation and experimental data, regardless of the randomness level, was 9 derived from human error. As outlined in our modelling methods, we used an SEM image of real SiNWs to generate 10 11 an accurate model of structures with similar heights amongst other properties. When transposing data from this 12 imagery to our simulation domain, many of the properties were assumed to be approximate to certain values; each 13 of which are outlined in table 1. These values were chosen based on SEM images of the fabricated structure. Whilst 14 the height of the fabricated structures is relatively uniform, their pitch and radius tend vary to a much greater 15 16 degree. This led to the implementation of the limits outlined for this work. The issue that arises from this is that 17 properties such as radius and pitch are very difficult to quantify specifically, and the variation ranges are very much 18 approximated based on only the small area of the sample imaged. Further variance and non-uniformities may be 19 20 present elsewhere in the sample, within the area from which reflectance was measured. Also, given that these 21 variation limits are defined as a proportion of the property they are varying, in opposition to a more statistical 22 approach from real data, an element of systematic error is also introduced here. 23 24



Figure 9: Data showcasing how the simulated reflectance for randomness level 3 varies given different mesh densities.

Mesh inadequacy, whereby the mesh density is insufficient to produce comprehendible data, is a common source of 49 50 problems in modern simulation methods, particularly the FEM. Before commencing our reflectance studies we 51 ensured our mesh density was enough to validate our data and rule this out as a potential cause for any differences 52 observed between simulated and measured. Figure 9 demonstrates how, after a total element count of 53 54 approximately 600,000, we see convergence on a reflectance value of 8.4%. As we further increase the element 55 count, simulation accuracy changes very little but runtime continues to rise linearly. The implication here is that for 56 any further increase in mesh density, we are only extending our runtime, yielding exactly the same data. It should be 57 noted that for an element count of 800,000 and above, denoted here as 'excessive', the simulation becomes highly 58 59 unstable and crashes frequently due to its memory demands. An 'optimal' mesh, used in all geometries yielding the 60 results reported in figure 8, and consisting of 694,391 elements, is shown mapped over our periodic geometry in 61 figure 9. 62 63

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There are disadvantages associated with this method however, which relate to the dependency on the FEM. This modelling methodology is notoriously resource and process intensive, making this level of randomisation only available for models created with access to sufficiently powerful hardware to run it within an acceptable amount of time. Furthermore, though the process workflow has been optimised for supercomputers here, some tweaking may 1 be required in order to get higher efficiencies between different systems; the implication being that this is far from a 2 simple plug-and-play program, and the mathematics must be carefully integrated into a study. Adaptive meshing 3 methods can also be employed to reduce mesh density and simulation runtime as required for a variety of 5 applications, include those explored here. Further study into this option is required however, as adaptive meshing 6 may result in significantly deformed geometries if not conditioned correctly alongside these randomisation 7 8 algorithms. 9 10 7) Acknowledgements 11 <sup>12</sup> <sup>+</sup>COMSOL Multiphysics is a registered trademark of COMSOL AB. 13 <sup>14</sup> <sup>‡</sup>Windows is a registered trademark of the Microsoft Corporation. 15 <sup>16</sup> <sup>§</sup>SLURM is a registered trademark of SchedMD LLC. 17 <sup>18</sup> This work has been supported by the Centre for Doctoral Training in New and Sustainable Photovoltaics (EPSRC grant 19 number EP/L01551X/1) and completed as part of Black Silicon Photovoltaics (EPSRC grant number EP/R005303/1). 20 The author of this work also acknowledges the use of the IRIDIS compute cluster, and associated support services at 21 22 the University of Southampton, in the completion of this work. 23 24 8) References 25 26 [1] F.A. Fernandez, Proceedings of 1995 SBMO/IEEE MTT-S International Microwave and Optoelectronics Conference 27 (1995). https://doi.org/ 10.1109/sbmomo.1995.509668 28 29 [2] F.L. Teixeira, IEEE Transactions on Antennas and Propagation (2008) 2150-2166. https://doi.org/ 30 10.1109/tap.2008.926767 31 32 [3] B.M.A. Rahman, Proceedings of 8th Mediterranean Electrotechnical Conference on Industrial Applications in 33 34 Power Systems, Computer Science and Telecommunications (1996). https://doi.org/ 10.1109/melcon.1996.551316 35 36 [4] J.J. Tyson, T. Rahman, S.A. Boden, Proceedings of the 2019 COMSOL Conference in Cambridge (2019). 37 [5] R.R. Singh, N. Malviya, V. Priye, IEEE Photonics Technology Letters (2016) 2889-2892. 38 39 https://doi.org/10.1109/lpt.2016.2624501 40 [6] I. Khodadad, N. Dhindsa, S.S. Saini, IEEE Photonics Journal (2016) 1-10. 41 42 https://doi.org/10.1109/jphot.2016.2548469 43 44 [7] Y.D. Almoallem, M.J. Moghimi, H. Jiang, 2017 International Conference on Optical MEMS and Nanophotonics 45 (2017). https://doi.org/10.1109/omn.2017.8051469 46 47 [8] R.B. Sadeghian, 2013 35th Annual International Conference of the IEEE Engineering in Medicine and Biology 48 Society (2013). https://doi.org/10.1109/embc.2013.6610832 49 50 51 [9] Z.X. Chen, H.Y. Yu, N. Singh, N.S. Shen, R.D. Sayanthan, G.Q. Lo, D.-L. Kwong, IEEE Electron Device Letters (2009) 52 754-756. https://doi.org/10.1109/led.2009.2021079 53 54 [10] S.K. Srivastava, D. Kumar, P.K. Singh, V. Kumar, 2009 34th IEEE Photovoltaic Specialists Conference (2009). 55 https://doi.org/10.1109/pvsc.2009.5411524 56 57 [11] S.-C. Shiu, S.-B. Lin, C.-F. Lin, Conference on Lasers and Electro-Optics (2010). 58 https://doi.org/10.1364/cleo.2010.jtub5 59 60 [12] H. Savin, P. Repo, G. von Gastrow, P. Ortega, E. Calle, M. Garin, R. Alcubilla, Nature Nanotechnology (2015) 624-61 62 628. https://doi.org/10.1038/nnano.2015.89 63 64 65

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#### **Declaration of interests**

 $\boxtimes$  The authors declare that they have no known competing financial interests or personal relationships that could have appeared to influence the work reported in this paper.

□The authors declare the following financial interests/personal relationships which may be considered as potential competing interests: