

# Control of the metal–insulator transition in vanadium dioxide by modifying orbital occupancy

Nagaphani B. Aetukuri<sup>1,2\*</sup>, Alexander X. Gray<sup>3</sup>, Marc Drouard<sup>1</sup>, Matteo Cossale<sup>1</sup>, Li Gao<sup>1</sup>, Alexander H. Reid<sup>3</sup>, Roopali Kukreja<sup>2,3</sup>, Hendrik Ohldag<sup>4</sup>, Catherine A. Jenkins<sup>5</sup>, Elke Arenholz<sup>5</sup>, Kevin P. Roche<sup>1</sup>, Hermann A. Dürr<sup>3</sup>, Mahesh G. Samant<sup>1</sup> and Stuart S. P. Parkin<sup>1\*</sup>

**External control of the conductivity of correlated oxides is one of the most promising schemes for realizing energy-efficient electronic devices. Vanadium dioxide (VO<sub>2</sub>), an archetypal correlated oxide compound, undergoes a temperature-driven metal–insulator transition near room temperature with a concomitant change in crystal symmetry. Here, we show that the metal–insulator transition temperature of thin VO<sub>2</sub>(001) films can be changed continuously from ~285 to ~345 K by varying the thickness of the RuO<sub>2</sub> buffer layer (resulting in different epitaxial strains). Using strain-, polarization- and temperature-dependent X-ray absorption spectroscopy, in combination with X-ray diffraction and electronic transport measurements, we demonstrate that the transition temperature and the structural distortion across the transition depend on the orbital occupancy in the metallic state. Our findings open up the possibility of controlling the conductivity in atomically thin VO<sub>2</sub> layers by manipulating the orbital occupancy by, for example, heterostructural engineering.**

Transitions from itinerant to localized electronic behaviour are ubiquitous in condensed-matter systems<sup>1</sup>. These transitions, especially in systems with *d*-electrons, originate from a complex interplay of instabilities in the charge, spin, orbital and lattice degrees of freedom<sup>2–7</sup>. VO<sub>2</sub> is a 3*d*<sup>1</sup> system and conventional electron-counting rules would suggest a metallic ground state due to a half-filled outer shell. However, VO<sub>2</sub> exhibits a metal–insulator transition (MIT) near room temperature ( $T_{\text{MIT}} \sim 340$  K in bulk) with an accompanying structural phase transition<sup>8</sup>. The nature of the low-temperature insulating phase of VO<sub>2</sub> is one of the long-standing debates, with recent literature suggesting that this phase should be considered a Peierls–Mott insulator wherein electron–electron correlations and dimerization of V ions both contribute to the opening of an insulating gap<sup>9–11</sup>. On the other hand, despite being extensively studied, the role of the metallic phase of VO<sub>2</sub> in triggering this transition and the electronic property that sets the energy scale for the transition temperature,  $T_{\text{MIT}}$ , have not yet been fully understood and identified. Yet, a fundamental understanding of the metallic phase and its role in triggering the MIT is critical to engineering devices based on the MIT in VO<sub>2</sub> and related materials. In this study, we elucidate the role of orbital occupations in the metallic phase and the lattice changes across the transition in differently strained single-crystalline VO<sub>2</sub> thin films where  $T_{\text{MIT}}$  is varied in a well-controlled manner by over ~60 K. We furthermore find that the insulating state's orbital occupation changes little with strain, thus underlining the importance of the metallic state's electronic properties in governing the energy scale of the metal–insulator transition.

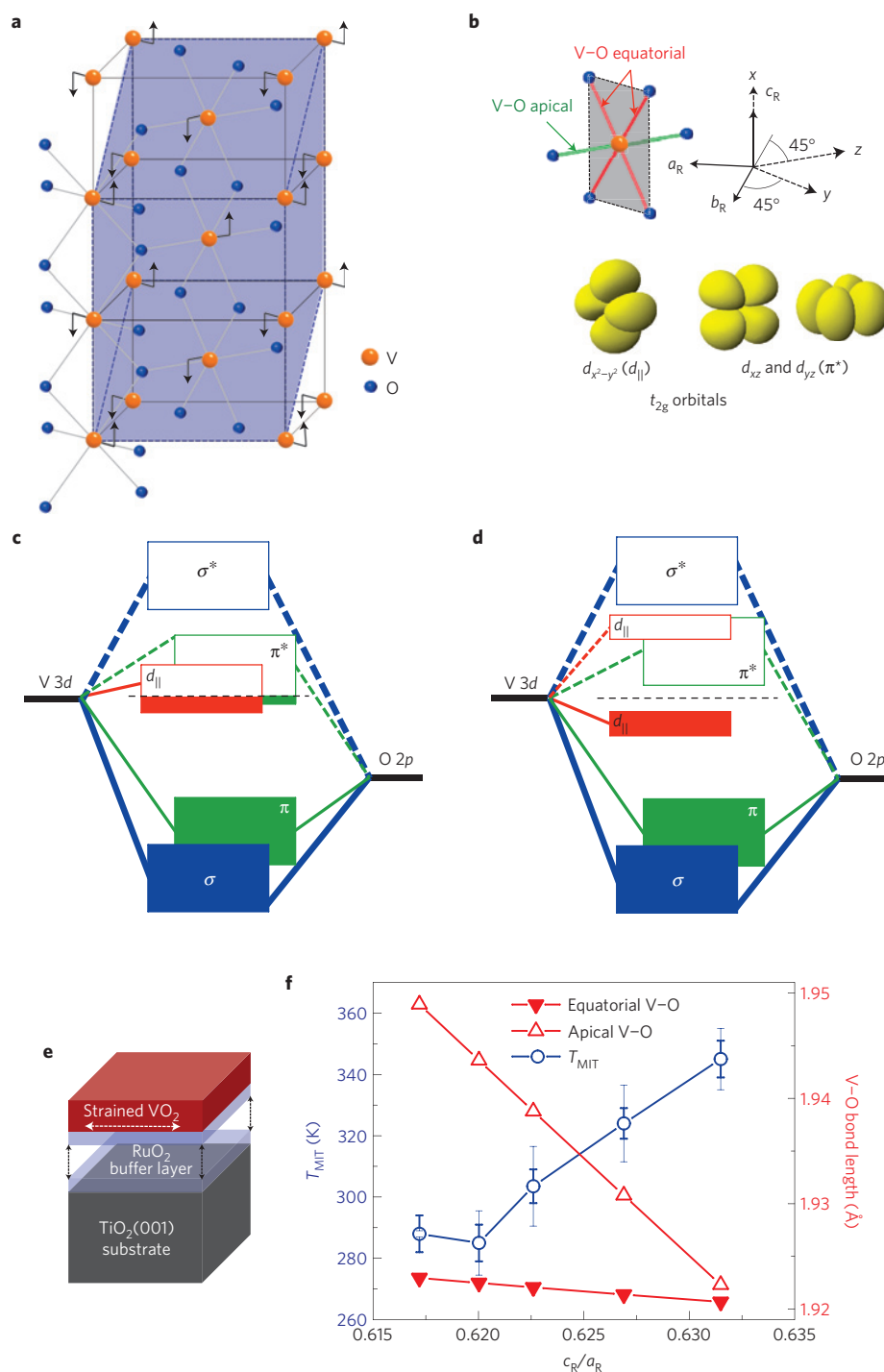
The high-temperature metallic phase of VO<sub>2</sub> has a rutile crystal structure with  $P4_2/mnm$  space symmetry<sup>12</sup>. In this structure, shown in Fig. 1a with three rutile VO<sub>2</sub> unit cells, vanadium ions (orange)

occupy the octahedral interstices formed by oxygen ions (blue). The oxygen octahedra at the body-centre and the corner of a rutile unit cell are related by a 90° rotation about the rutile *c* axis ( $c_R$ ) and share a common vertex. The octahedra of adjacent unit cells along  $c_R$  share a common edge. Across the MIT, the V<sup>4+</sup> ions move away from the octahedral-interstice centre by a combination of an anti-ferroelectric distortion along the rutile [110] and [1 $\bar{1}$ 0] directions and a dimerization along the [001] direction resulting in the monoclinic phase with a lowered crystal symmetry of  $P2_1/c$  (ref. 13). This transition and the relationship between the rutile and the monoclinic phases are shown in the figure (also see Supplementary Fig. S1). The octahedra in VO<sub>2</sub> are orthorhombically distorted, making it possible to differentiate the apical and equatorial V–O bonds, as shown in Fig. 1b.

The structural transition in VO<sub>2</sub> is accompanied by changes in the electronic band structure near the Fermi level ( $E_F$ ) that can be qualitatively understood within a crystal-field model, first proposed in ref. 14, resulting from the octahedral environment and the associated hybridization of the O 2*p* orbitals with V 3*d* orbitals (*p*–*d* hybridization) that are involved in chemical bonding. The 3*d* electronic levels of the V ion are crystal-field split into a combination of low-energy  $t_{2g}$  states (Fig. 1b) and high-energy  $e_g^\sigma$  states, where  $\sigma$  represents the symmetry of the V–O bonds. The small orthorhombic component of the crystal field associated with the different equatorial and apical V–O distances further separates the  $t_{2g}$  orbitals into a single  $a_{1g}$  orbital and a doubly degenerate  $e_g^\pi$  combination with  $\pi$ -type V–O bonds. The  $e_g^\pi$  and the  $e_g^\sigma$  orbitals hybridize with the O 2*p* orbitals and form low-energy bonding combinations with predominantly O 2*p* character and high-energy anti-bonding combinations with predominantly V 3*d* character. The  $a_{1g}$  orbitals ( $d_{||}$ ) are directed parallel to the rutile *c* axis ( $c_R$ )

<sup>1</sup>IBM Almaden Research Center, 650 Harry Road, San Jose, California 95120, USA, <sup>2</sup>Department of Materials Science and Engineering, Stanford University, Stanford, California 94305, USA, <sup>3</sup>Stanford Institute for Materials and Energy Sciences, SLAC National Accelerator Laboratory, 2575 Sand Hill Road, Menlo Park, California 94025, USA, <sup>4</sup>Stanford Synchrotron Radiation Lightsource, SLAC National Accelerator Laboratory, 2575 Sand Hill Road, Menlo Park, California 94025, USA, <sup>5</sup>Advanced Light Source, Lawrence Berkeley National Laboratory, Berkeley, California 94720, USA.

\*e-mail: phani@alumni.stanford.edu; stuart.parkin@us.ibm.com



**Figure 1 | Overview and strain-dependent MIT in VO<sub>2</sub>.** **a**, A schematic of the inter-relationship between the rutile (three adjacent units along the rutile *c* axis, *c<sub>R</sub>*, are shown) and the monoclinic (shaded) crystal structures in VO<sub>2</sub>. The oxygen octahedra at the body-center and the corners of the rutile unit cell are related by a 90° rotation about *c<sub>R</sub>*. Across the MIT, the vanadium ions move away from the octahedral-site centre as shown by the black arrows. **b**, An octahedron at the centre of a rutile unit cell of VO<sub>2</sub> is redrawn to illustrate the orthorhombic distortion and the different apical and equatorial V-O bond lengths. The vanadium *t<sub>2g</sub>* *d* orbitals that form the valence electronic states in VO<sub>2</sub> are shown along with the relationship between the rutile crystallographic axes (solid arrows) and the geometric axes of the orbitals (dashed arrows). **c, d**, Schematic of the VO<sub>2</sub> band structure in the metallic (**c**) and insulating (**d**) states. **e**, Schematic of strain transfer to the VO<sub>2</sub> thin films through a RuO<sub>2</sub> buffer layer of variable thickness deposited on a single-crystalline TiO<sub>2</sub>(001) substrate. **f**, Experimental data showing the continuous variation in *T<sub>MIT</sub>* as a function of the axial ratio in the rutile phase (*c<sub>R</sub>/a<sub>R</sub>*). *T<sub>MIT</sub>* is defined as the average of transition temperatures during cooling and warming. The thicker error bars represent the hysteresis in the resistance-temperature curves. The thinner error bars represent the width of the transition during cooling. The changes in the apical and the equatorial V-O bond lengths are also plotted.

and are relatively non-bonding with respect to O 2*p* (refs 14,15). In the metallic state, shown schematically in Fig. 1c, the density of states at *E<sub>F</sub>* is formed from a mixture of the *d<sub>||</sub>* orbitals that

are directed along *c<sub>R</sub>* and the more isotropic and anti-bonding *e<sub>g</sub><sup>π</sup>* orbitals (*π\**). The *π\** orbitals have a smaller *p*-*d* overlap in comparison with the *e<sub>g</sub><sup>σ</sup>* orbitals (*σ\**) and thus the latter are centred

at  $\sim 3.5$  eV (ref. 16) above  $E_F$ . Across the MIT, the dimerization of the V ions along the  $c$  axis splits the highly directional  $d_{||}$  orbitals that mediate V–V bonds into a bonding and an anti-bonding combination. In addition to this, the anti-ferroelectric displacement perpendicular to  $c_R$  and parallel to the crystallographic (110) directions increases  $p$ – $d$  overlap<sup>13</sup> and results in an energy upshift of the  $\pi^*$  orbitals. The net result, as shown in Fig. 1d, is orbital polarization<sup>15,17</sup> in the insulating state with bonding  $d_{||}$  orbitals being fully occupied and the anti-bonding  $d_{||}$  ( $d_{||}^*$ ) and  $\pi^*$  being empty. In this work, we induce systematic changes in the electronic structure near  $E_F$  by changing the  $p$ – $d$  hybridization through lattice strain in thin films of  $\text{VO}_2$ .

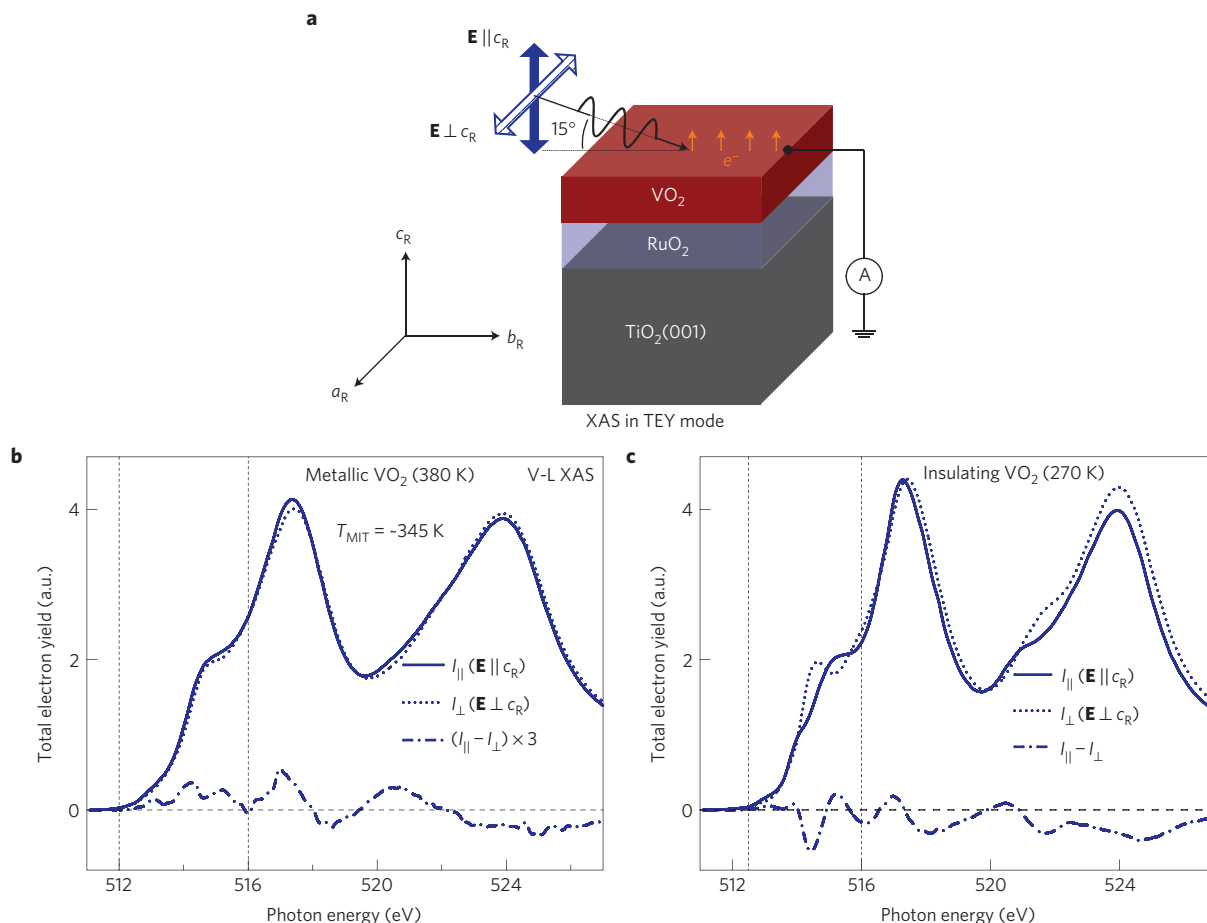
We modify the strain in  $\text{VO}_2$  thin films by depositing a buffer layer of ruthenium dioxide ( $\text{RuO}_2$ ) between the film and the  $\text{TiO}_2$  (001) substrate.  $\text{RuO}_2$  is used because it has the same crystal structure and space group as both  $\text{TiO}_2$  and metallic  $\text{VO}_2$  ( $P4_2/mnm$ ; refs 12,18,19). Furthermore, the lattice parameters of bulk  $\text{RuO}_2$  ( $a_{\text{RuO}_2} = 4.4910$  Å,  $c_{\text{RuO}_2} = 3.1064$  Å) are such that the  $\text{VO}_2$  (001) film (bulk  $a_{\text{VO}_2} = 4.5546$  Å) is compressively strained in-plane when deposited on relaxed  $\text{RuO}_2$  (001) whereas tensile-strained on  $\text{TiO}_2$  (001) (bulk  $a_{\text{TiO}_2} = 4.5937$  Å). This is shown schematically in Fig. 1e. Although the strain in  $\text{VO}_2$  films can be changed by depositing  $\text{VO}_2$  on differently oriented  $\text{TiO}_2$  substrates<sup>20</sup>, or by applying a uniaxial strain along [110] as has been done on  $\text{VO}_2$  single crystals<sup>21</sup>, such approaches change the structural symmetry of the metallic state of  $\text{VO}_2$ , making it difficult to distinguish between the effects of strain and/or symmetry. Our approach, in contrast, retains the tetragonal symmetry of the metallic state for all of the differently strained films and hence any accompanying electronic structure changes can be unambiguously attributed to changes in lattice parameters alone. Our work also identifies a way to continuously control the  $T_{\text{MIT}}$  in  $\text{VO}_2$  thin films by epitaxial strain of a buffer layer of varying thickness.

$\text{VO}_2$  films were prepared by pulsed laser deposition on  $\text{TiO}_2$  (001) substrates, with and without  $\text{RuO}_2$  buffer layers.  $\text{RuO}_2$  buffer layers of different thicknesses, namely  $\sim 10$  nm,  $\sim 20$  nm,  $\sim 40$  nm and  $\sim 80$  nm, were reactively sputtered (Methods).  $\theta$ – $2\theta$  X-ray diffraction analysis of the films shows a continuous change in the out-of-plane lattice constant,  $c_R$ , of the  $\text{VO}_2$  films as a function of increasing  $\text{RuO}_2$  buffer layer thickness (Supplementary Fig. S3). In general, epitaxial strain in thin-film heterostructures is relieved by misfit dislocation formation<sup>22</sup>. Typically, as the thickness of the strained film is increased there will be a critical thickness below which the film is coherently strained and above which the strain will be partially relieved by the formation of increasing numbers of misfit dislocations, until eventually the film is completely relaxed. Our data indicate that the  $\text{VO}_2$  films, each 30 nm thick, are coherently strained for each  $\text{RuO}_2$  under-layer thickness, such that there is a monotonic decrease in the  $\text{VO}_2$  (002) peak position with increasing  $\text{RuO}_2$  thickness. On the other hand, the  $\text{RuO}_2$  films themselves are rather incoherently strained such that the lower portion of the  $\text{RuO}_2$  layer is clamped to the  $\text{TiO}_2$  substrate and the upper portion of the film has a different lattice parameter owing to strain relaxation throughout the thickness of the  $\text{RuO}_2$  film (Supplementary Fig. S2). As a consequence, the angular position of the diffraction peak from the  $\text{VO}_2$  (002) planes decreases with increasing  $\text{RuO}_2$  thickness (Supplementary Fig. S3), which is indicative of an increasing  $c_R$ . From the measured  $c_R$ , the in-plane lattice parameter of the  $\text{VO}_2$  films,  $a_R$ , was calculated by assuming an isotropic biaxial stress induced in the  $\text{VO}_2$  thin film (Supplementary Section S5). Temperature-dependent electrical transport measurements (Supplementary Figs S4 and S6) showed that the  $T_{\text{MIT}}$ , averaged over the warming and cooling curves that are different owing to the hysteretic transition, decreased by a maximum value of  $\sim 60$  K for the maximally strained sample for which the axial ratio of the rutile phase,  $c_R/a_R$ , was decreased by

$\sim 2.3\%$  (Fig. 1f and Supplementary Table S1). The decrease in  $c_R/a_R$  results in a significant increase in the apical V–O bond length, whereas the equatorial V–O bond length changes very little. These changes are also plotted in Fig. 1f.

On the basis of crystal-field arguments, we suggest that the increase in the apical V–O bond length decreases the  $p$ – $d$  overlap and, consequently, decreases the energy level of the  $\pi^*$  orbitals relative to those of the  $d_{||}$  orbitals. This relative energy shift should then result in an increase of the orbital occupancy of the  $\pi^*$  orbitals and in a decrease of the occupancy of the  $d_{||}$  orbitals. Note that both the  $\pi^*$  and  $d_{||}$  orbitals are partially occupied at  $E_F$  in the metallic state. To test this hypothesis, we carried out polarization-dependent soft X-ray absorption spectroscopy measurements at the V  $L_{2,3}$  edges for three  $\text{VO}_2$  films with different transition temperatures to determine their orbital occupations in the insulating and in the metallic states<sup>11</sup>. These measurements were performed using total electron yield (TEY) detection<sup>23</sup>. Owing to the narrow bandwidth of the 3d valence electronic states and the relatively large valence-electron core–hole Coulomb interaction, the exciton created by the X-ray absorption process can be assumed to be strongly localized<sup>9,24</sup>. Thus, the X-ray absorption spectroscopy (XAS) data can be interpreted by means of dipole-allowed atomic-like transitions from the V 2p core level to the 3d valence electronic states, that is, a  $2p^6 3d^1 \rightarrow 2p^5 3d^2$  transition. Linearly polarized X-rays with the electric-field orientation parallel ( $\mathbf{E} \parallel c_R$ ) and perpendicular ( $\mathbf{E} \perp c_R$ ) to the rutile  $c$  axis (Fig. 2a) probe the vacant  $d_{||}$  and  $\pi^*$  valence-electron states, respectively<sup>11</sup>.

We first discuss the orbital occupation changes in the metallic and the insulating states for the sample with  $T_{\text{MIT}} = \sim 345$  K. In Fig. 2b, we plot the metallic-state polarization-dependent XAS spectra for this sample collected at 380 K. The main peaks in the spectra at  $\sim 518$  eV and 524 eV, respectively, correspond to the V  $L_3$  and  $L_2$  absorption edges that originate from the  $2p_{3/2} \rightarrow 3d$  and  $2p_{1/2} \rightarrow 3d$  transitions<sup>9</sup>. XAS spectra collected with  $\mathbf{E} \parallel c_R$  and  $\mathbf{E} \perp c_R$  are similar, as expected from the isotropic orbital occupation in the metallic state, as shown in Fig. 1c, and demonstrated in previous experimental and theoretical studies<sup>11,17</sup>. However, there are subtle but notable differences between the two spectra that can be seen more readily in the dichroic signal that is also plotted in Fig. 2b. In contrast, in the insulating state the XAS spectra that were collected on the same sample at 270 K show a much larger dichroism (Fig. 2c), which is a clear signature of orbital polarization expected from the well-known V–V dimerization in the insulating state and the consequential selective filling of  $d_{||}$  orbitals<sup>11,14</sup>. The differences in the XAS spectra between the metallic and insulating states can be qualitatively understood from Fermi's golden rule by which the XAS intensity scales with the unoccupied density of states<sup>17,25</sup>. This means that  $I_{||} \propto \rho_{d_{||}}$  and  $I_{\perp} \propto \rho_{\pi^*}$ , where  $I_{||}$  and  $I_{\perp}$  are the XAS intensities for  $\mathbf{E} \parallel c_R$  and  $\mathbf{E} \perp c_R$ , and  $\rho_{d_{||}}$  and  $\rho_{\pi^*}$  are the unoccupied densities of states of the  $d_{||}$  and  $\pi^*$  orbitals, respectively. Of particular importance are the changes in the spectral features in the excitonic part of the spectra for photon energies in the range from 512.5 to 516 eV that probe the valence electron states. This energy range is indicated by the dashed vertical lines in Fig. 2a,b. Over this energy range, the intensity difference ( $I_{||} - I_{\perp}$ ) is clearly more negative in the insulating state by comparison with the metallic state. This can be understood as arising from orbital polarization in the insulating state due to the selective filling of  $d_{||}$  orbitals; in the metallic state, on the other hand, the filling is isotropically distributed between the  $d_{||}$  and  $\pi^*$  orbitals (Fig. 1c,d). Consequently, the intensity difference at the first peak in the  $I_{||} - I_{\perp}$  curve<sup>26</sup> is approximately  $-0.55$  (at  $\sim 514.3$  eV) in the insulating state; by comparison this is  $\sim 0.1$  (at  $\sim 514.1$  eV) in the metallic state. The measured changes in the spectral features across the MIT agree very well with those previously reported<sup>11</sup> on single-crystalline bulk  $\text{VO}_2$  and highlight the high quality of the thin-film samples



**Figure 2 | Polarization-dependent XAS.** **a**, Schematic of the XAS measurement geometry. The X-ray beam is incident at 15° to the sample surface and the photon polarization is either parallel ( $\mathbf{E} \parallel c_R$ ) or perpendicular ( $\mathbf{E} \perp c_R$ ) to  $c_R$ . The orange arrows represent the X-ray-excited electron current.

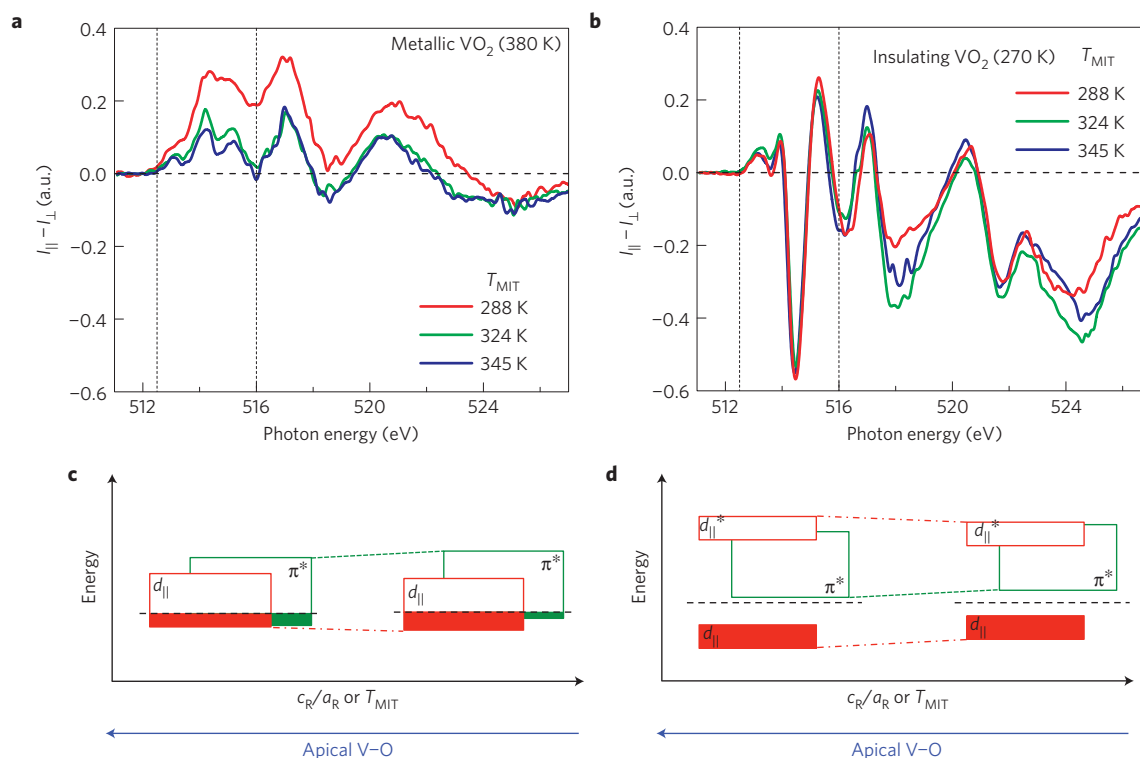
**b,c**, Polarization-dependent V L edge XAS spectra are shown in the metallic state (**b**) and the insulating state (**c**), for a  $\text{VO}_2$  film with  $T_{\text{MIT}} \sim 345$  K.  $I_{\parallel}$  and  $I_{\perp}$  are the TEY intensities corresponding to  $\mathbf{E} \parallel c_R$  and  $\mathbf{E} \perp c_R$ . The differences between these spectra are also shown. The vertical dashed lines indicate the approximate energy range of excitations into the vacant  $d_{\parallel}$  and  $\pi^*$  electronic states.

used in this study, because the V  $2p$  core-level binding energies are sensitive to the local atomic environment and the valence state of the vanadium ion<sup>23,26,27</sup>. More importantly, they validate our qualitative interpretation of the XAS data, which will form the basis for understanding the strain-dependent changes in orbital occupation discussed below.

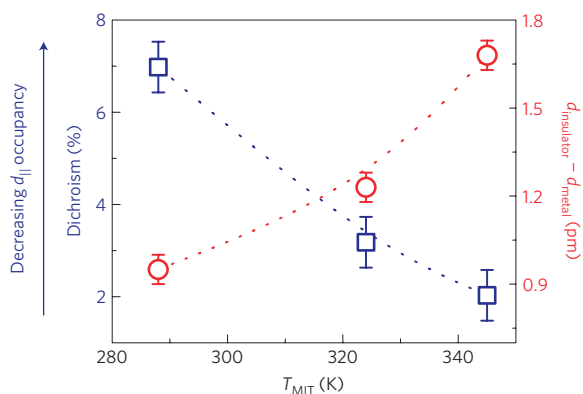
In Fig. 3a, we plot  $I_{\parallel} - I_{\perp}$  for three samples with different  $T_{\text{MIT}}$ . A comparison within the excitonic region of the spectra clearly shows that  $I_{\parallel} - I_{\perp}$  increases with decreasing  $T_{\text{MIT}}$ . The sample with the smallest  $T_{\text{MIT}}$  has the largest apical V–O bond length (Fig. 1f) and consequently the smallest  $p$ – $d$  overlap along the apical direction. This means that the energy of the  $\pi^*$  valence electronic states is lowered relative to that of the  $d_{\parallel}$  valence states, thereby transferring electrons from the  $d_{\parallel}$  to the  $\pi^*$  orbitals. The transfer of electrons between the valence orbitals is a direct consequence of charge conservation assuming that the V ion is in the  $3d^1$  valence state for the three different strains. This transfer increases  $\rho_{d_{\parallel}}$  and correspondingly decreases  $\rho_{\pi^*}$  that account for the increasingly positive  $I_{\parallel} - I_{\perp}$  that we measure for decreasing  $T_{\text{MIT}}$ . In particular,  $I_{\parallel} - I_{\perp}$  increases from 0.1 for the least strained sample ( $T_{\text{MIT}}$  of  $\sim 345$  K) to 0.3 for the most strained sample ( $T_{\text{MIT}}$  of  $\sim 288$  K). The magnitude of this strain-dependent change in  $I_{\parallel} - I_{\perp}$  is almost one-third the change in  $I_{\parallel} - I_{\perp}$  across the MIT for the sample with a  $T_{\text{MIT}}$  ( $\sim 345$  K) closest to that of bulk  $\text{VO}_2$  ( $\sim 340$  K). This means that the strain-dependent orbital occupation changes in the metallic state are comparable in magnitude to the orbital occupation changes across the MIT.

In the insulating state, the  $\pi^*$  orbitals lie above  $E_F$  and a transfer of electrons is not expected for the relatively small changes in lattice parameters that we measure. This is in accord with the negligible changes in  $I_{\parallel} - I_{\perp}$  that we find for the same three samples in the insulating state within the energy range of 512.5–516 eV (Fig. 3b). These changes in the relative orbital energies in the metallic and the insulating states are shown schematically in Fig. 3c,d, respectively. Remarkably, these results suggest that the metallic state's orbital occupation is directly related to  $T_{\text{MIT}}$ , while the insulating state's electronic distribution changes little.

To elucidate the role of orbital occupation in the MIT of  $\text{VO}_2$ , we compare in Fig. 4 the changes in dichroism and the magnitude of the structural changes across the transition to  $T_{\text{MIT}}$ . First, we find that the dichroic signal summed over the energy range from 512.5 to 516 eV, that is,  $100(I_{\parallel} - I_{\perp})/(I_{\parallel} + I_{\perp})$ , increases as the  $T_{\text{MIT}}$  is decreased. Positive dichroism is a consequence of increased  $\rho_{d_{\parallel}}$  (unoccupied  $d_{\parallel}$ ), as explained earlier, and thus correlates with a decrease in  $d_{\parallel}$  orbital occupation. Second, we find that the magnitude of the structural change inferred from the change in the average out-of-plane lattice spacing across the MIT decreases with decreasing  $T_{\text{MIT}}$  (Supplementary Section S8). As the  $d_{\parallel}$  orbitals participate in the dimerization of the V ions along  $c_R$ , we conclude that there is a correlation between a decrease in the occupancy of the  $d_{\parallel}$  valence electron states and the magnitude of the structural change as  $T_{\text{MIT}}$  is varied.



**Figure 3 | Strain-dependent orbital-occupation changes.** **a,b**,  $I_{\parallel} - I_{\perp}$  in the metallic state (**a**) and the insulating state (**b**) for samples with various  $T_{\text{MIT}}$ . **c,d**, Schematic of changes in the valence electron states in the metallic state (**c**) and the insulating state (**d**) as  $T_{\text{MIT}}$  is changed.



**Figure 4 | Orbital-lattice correlation.** Dichroism versus  $T_{\text{MIT}}$  in the metallic state for the three samples shown in Fig. 3. The dichroism is defined as  $100(I_{\parallel} - I_{\perp})/(I_{\parallel} + I_{\perp})$  integrated over the energy range from 512.5 to 516 eV. A more positive dichroism corresponds to a lower  $T_{\text{MIT}}$  and a smaller  $d_{\parallel}$  occupancy. The error bars correspond to the standard deviation in the dichroism measured for the three insulating state spectra in Fig. 3b, which are nominally identical in our model. Corresponding changes in the lattice are plotted on the right axis as the difference between the mean out-of-plane spacing of the  $\text{VO}_2(001)$  film in the insulating ( $d_{\text{insulator}}$ ) and the metallic ( $d_{\text{metal}}$ ) states. The error bars correspond to measurement accuracy.  $d_{\text{insulator}} - d_{\text{metal}}$  decreases with decreasing  $T_{\text{MIT}}$  and  $d_{\parallel}$  occupancy, highlighting the significant role that the  $d_{\parallel}$  orbital occupation plays in the MIT of  $\text{VO}_2$ . The dotted lines are a guide to the eye.

The electron–electron correlation energy<sup>28</sup> ( $U_{d-d}$ ) could also influence  $T_{\text{MIT}}$ . However, this energy will be largest for the sample with the lowest  $T_{\text{MIT}}$  that has the largest apical V–O bond length and therefore the smallest bandwidth (the equatorial V–O bond length also changes but by only  $\sim 0.1\%$  as shown in Fig. 1f). The presence of orbital-specific correlations can be ruled out

because it has been experimentally observed that both  $d_{\parallel}$  and  $\pi^*$  bands have comparable bandwidths<sup>16</sup>. It therefore seems likely that orbital–lattice coupling plays a more significant role than  $U_{d-d}$  in determining  $T_{\text{MIT}}$  in  $\text{VO}_2$ . These conclusions are valid only when the bandwidth influences the Mott transition rather than changes in  $d$  band filling.

These experimental findings are clear evidence that the orbital occupancy in the metallic state of  $\text{VO}_2$  sets the energy scale for the MIT. A similar orbitally driven Peierls state with tetramer ordering leading to a metal–insulator transition was suggested for compounds crystallizing in the spinel structure<sup>29</sup> and trimeron formation was experimentally shown in  $\text{Fe}_3\text{O}_4$  (ref. 30). Both rutile and spinel compounds have edge-sharing octahedra that mediate metal–metal bonding<sup>15</sup> and the presence of a Peierls-like distortion along the metal–metal chains might very well suggest that they have a common origin. In addition, our findings open new ways to the orbital control of the MIT in  $\text{VO}_2$ , for example, by an interface-mediated orbital reconstruction<sup>31</sup> or by the formation of quantum wells<sup>32</sup>. Our experimental results should inspire further theoretical work on predicting the role of orbital filling and metal–metal bonding in triggering an MIT in  $\text{VO}_2$  and other related materials.

## Methods

Before thin-film deposition,  $10\text{ mm} \times 10\text{ mm}$   $\text{TiO}_2(001)$  substrates were pre-cleaned by ultrasonically soaking in deionized water for 20 min and etching for 60 s in ammonium fluoride ( $\text{NH}_4\text{F}$ )-buffered hydrofluoric acid (commercially available 7:1 buffered oxide etch from J. T. Baker). The substrates were then baked at  $400^\circ\text{C}$  for 1 h in the deposition chamber.  $\text{RuO}_2$  buffer layers were reactively sputtered from a metallic ruthenium target in a 3 mtorr  $\text{Ar} + \text{O}_2$  gas mixture with  $\sim 8\%$  oxygen. The substrates were maintained at a temperature of  $300^\circ\text{C}$  during deposition. After  $\text{RuO}_2$  deposition, the substrates were transferred *in situ* to a pulsed laser deposition system and  $\text{VO}_2$  films were laser deposited in  $\sim 10$  mtorr of  $\text{O}_2$  with a laser energy density of  $\sim 1\text{ J cm}^{-2}$  operating at a pulse frequency of 2 Hz. Deposition was carried out at the optimal substrate temperatures of  $400^\circ\text{C}$  for  $\text{VO}_2/\text{TiO}_2$  and  $300^\circ\text{C}$  in the case of  $\text{VO}_2/\text{RuO}_2/\text{TiO}_2$  to minimize inter-diffusion at the  $\text{VO}_2$  and  $\text{RuO}_2$  interface.  $\text{VO}_2$  films,  $\sim 30\text{ nm}$  thick, were deposited on  $\text{RuO}_2$ -buffered substrates



and ~10-nm-thick VO<sub>2</sub> films were deposited on substrates without the buffer layer (also see Supplementary Sections S4 and S6).

X-ray absorption and linear dichroism measurements were carried out at the undulator beamline 4.0.2 of the Advanced Light Source in TEY mode with an energy resolution of ~0.1 eV. The average probing depth for soft X-rays in TEY mode was estimated to be about 5 nm, thus providing a bulk-sensitive probe of the VO<sub>2</sub> films, and minimizing the effects from surface adsorbates. The X-ray measurement spot size in the normal incidence geometry was focused down to ~100-μm diameter. Each sample was characterized using nearly 100% horizontally or vertically polarized X-ray beams at an incidence angle of 15° as measured from the sample plane. In such a grazing measurement geometry the X-ray electric field is oriented parallel to the surface for vertically polarized light, and almost perpendicular to the surface for horizontally polarized light, thus providing maximum sensitivity to changes in orbital character along the different crystallographic axes. Cryogenic cooling with liquid nitrogen and conductive heating with a built-in heating element was used to control the sample temperature to within ±0.1 K. Measurements were carried out at several locations on each sample, to exclude the possibility of X-ray beam damage. Data collected in the TEY mode were normalized to the O K post-edge background intensity after the V L<sub>3</sub> pre-edge background intensity was set to zero.

X-ray diffraction measurements were performed on a Bruker D8 discover system with monochromatic Cu Kα radiation that gives ≤0.01° angular resolution. A variable-temperature stage with a tungsten-heating element and cryogenic cooling by liquid nitrogen was used to control the sample temperature to within ±0.5 K. The stage was fitted with a beryllium window that is largely transparent to X-rays. Samples were maintained at the measurement temperature for at least 15 min before data acquisition. Electrical transport measurements were performed in a Quantum Design DynaCool cryostat in the four-point measurement geometry. Electrical connections to the VO<sub>2</sub> films were made by ultrasonically wire-bonded aluminium contacts. Resistance of the samples was continuously measured during continuous cooling or warming at a rate of 5 K min<sup>-1</sup>.

Received 2 April 2013; accepted 23 July 2013; published online 22 September 2013

## References

- Imada, M., Fujimori, A. & Tokura, Y. Metal–insulator transitions. *Rev. Mod. Phys.* **70**, 1039–1263 (1998).
- Bednorz, J. G. & Müller, K. A. Possible high  $T_c$  superconductivity in the Ba–La–Cu–O system. *Zeit. Für. Phys.* **64**, 189–193 (1986).
- Torrance, J. B., Lacorre, P., Asavaroengchai, C. & Metzger, R. M. Why are some oxides metallic, while most are insulating? *Physica C* **182**, 351–364 (1991).
- Bocquet, A. E., Saitoh, T., Mizokawa, T. & Fujimori, A. Systematics in the electronic structure of 3d transition-metal compounds. *Solid State Commun.* **83**, 11–15 (1992).
- Jin, S. *et al.* Thousandfold change in resistivity in magnetoresistive La–Ca–Mn–O films. *Science* **264**, 413–415 (1994).
- Tokura, Y. & Nagaosa, N. Orbital physics in transition-metal oxides. *Science* **288**, 462–468 (2000).
- Zeches, R. J. *et al.* A strain-driven morphotropic phase boundary in BiFeO<sub>3</sub>. *Science* **326**, 977–980 (2009).
- Morin, F. J. Oxides which show a metal-to-insulator transition at the Néel temperature. *Phys. Rev. Lett.* **3**, 34–36 (1959).
- Abbate, M. *et al.* Soft-x-ray-absorption studies of the electronic-structure changes through the VO<sub>2</sub> phase transition. *Phys. Rev. B* **43**, 7263–7266 (1991).
- Biermann, S., Poteryaev, A., Lichtenstein, A. I. & Georges, A. Dynamical singlets and correlation-assisted Peierls transition in VO<sub>2</sub>. *Phys. Rev. Lett.* **94**, 026404 (2005).
- Haverkort, M. W. *et al.* Orbital-assisted metal-insulator transition in VO<sub>2</sub>. *Phys. Rev. Lett.* **95**, 196404 (2005).
- McWhan, D. B., Marezio, M., Remeika, J. P. & Dernier, P. D. X-ray diffraction study of metallic VO<sub>2</sub>. *Phys. Rev. B* **10**, 490–495 (1974).
- Eyert, V. The metal–insulator transitions of VO<sub>2</sub>: A band theoretical approach. *Ann. Phys.* **11**, 650–704 (2002).
- Goodenough, J. B. The two components of the crystallographic transition in VO<sub>2</sub>. *J. Solid State. Chem.* **3**, 490–500 (1971).
- Goodenough, J. B. Direct cation–cation interactions in several oxides. *Phys. Rev.* **117**, 1442–1451 (1960).
- Koethe, T. C. *et al.* Transfer of spectral weight and symmetry across the metal–insulator transition in VO<sub>2</sub>. *Phys. Rev. Lett.* **97**, 116402 (2006).
- Tanaka, A. On the metal–insulator transitions in VO<sub>2</sub> and Ti<sub>2</sub>O<sub>3</sub> from a unified viewpoint. *J. Phys. Soc. Jpn* **73**, 152–162 (2004).
- Butler, S. R. & Gillson, J. L. Crystal growth, electrical resistivity and lattice parameters of RuO<sub>2</sub> and IrO<sub>2</sub>. *Mater. Res. Bull.* **6**, 81–89 (1971).
- Grant, F. A. Properties of rutile (titanium dioxide). *Rev. Mod. Phys.* **31**, 646–674 (1959).
- Muraoka, Y., Ueda, Y. & Hiroi, Z. Large modification of the metal–insulator transition temperature in strained VO<sub>2</sub> films grown on TiO<sub>2</sub> substrates. *J. Phys. Chem. Solids* **63**, 965–967 (2002).
- Pouget, J. P., Launois, H., D’Haenens, J. P., Merenda, P. & Rice, T. M. Electron localization induced by uniaxial stress in pure VO<sub>2</sub>. *Phys. Rev. Lett.* **35**, 873–875 (1975).
- Ferrari, C., Buffagni, E. & Rossi, F. in *Characterization of Semiconductor Heterostructures and Nanostructures* (eds Agostini, G. & Lamberti, C.) Ch. 3 (Elsevier, 2013).
- De Groot, F. M. F. X-ray absorption and dichroism of transition metals and their compounds. *J. Electron Spectrosc. Relat. Phenom.* **67**, 529–622 (1994).
- De Groot, F. M. F. *et al.* Oxygen 1s X-ray-absorption edges of transition-metal oxides. *Phys. Rev. B* **40**, 5715–5723 (1989).
- De Groot, F. High-resolution X-ray emission and X-ray absorption spectroscopy. *Chem. Rev.* **101**, 1779–1808 (2001).
- Park, J. H. *et al.* Spin and orbital occupation and phase transitions in V<sub>2</sub>O<sub>3</sub>. *Phys. Rev. B* **61**, 11506–11509 (2000).
- Sawatzky, G. A. & Post, D. X-ray photoelectron and Auger spectroscopy study of some vanadium oxides. *Phys. Rev. B* **20**, 1546–1555 (1979).
- Zaanen, J., Sawatzky, G. A. & Allen, J. W. Band gaps and electronic structure of transition-metal compounds. *Phys. Rev. Lett.* **55**, 418–421 (1985).
- Khomskii, D. I. & Mizokawa, T. Orbital induced Peierls state in spinels. *Phys. Rev. Lett.* **94**, 156402 (2005).
- Senn, M. S., Wright, J. P. & Attfield, J. P. Charge order and three-site distortions in the Verwey structure of magnetite. *Nature* **481**, 173–176 (2012).
- Chakhalian, J. *et al.* Orbital reconstruction and covalent bonding at an oxide interface. *Science* **318**, 1114–1117 (2007).
- Pardo, V. & Pickett, W. E. Half-metallic semi-Dirac point generated by quantum confinement in TiO<sub>2</sub>/VO<sub>2</sub> nanostructures. *Phys. Rev. Lett.* **102**, 166803 (2009).

## Acknowledgements

The authors thank S. Yang, X. Jiang and A. Pushp for useful discussions and J. Jeong for help with VO<sub>2</sub> deposition. Research at Stanford is supported by the US Department of Energy, Office of Basic Energy Sciences, Materials Sciences and Engineering Division under contract DE-AC02-76SF00515. The Advanced Light Source is supported by the Director, Office of Science, Office of Basic Energy Sciences, US Department of Energy under Contract No. DE-AC02-05CH11231. Part of this research was supported by the Stanford Synchrotron Radiation Lightsource, a national user facility operated by Stanford University on behalf of the US Department of Energy, Office of Basic Energy Sciences.

## Author contributions

N.B.A., M.G.S. and S.S.P.P. designed the study. N.B.A. deposited VO<sub>2</sub> films and L.G. deposited RuO<sub>2</sub> films. X-ray diffraction and electrical transport measurements were performed and analysed by N.B.A., M.D. and M.C. with help from L.G. A.X.G., N.B.A., A.H.R., R.K. and H.O. carried out and analysed the X-ray absorption measurements, with assistance from C.A.J. and E.A. and under the supervision of H.A.D. M.G.S. helped with X-ray absorption data analysis and along with K.P.R. provided thin-film deposition expertise. N.B.A. and S.S.P.P. wrote the paper with contributions from A.X.G., H.A.D. and M.G.S. All authors discussed the results and commented on the manuscript.

## Additional information

Supplementary information is available in the [online version of the paper](#). Reprints and permissions information is available online at [www.nature.com/reprints](http://www.nature.com/reprints). Correspondence and requests for materials should be addressed to N.B.A. or S.S.P.P.

## Competing financial interests

The authors declare no competing financial interests.