



Inherent stochasticity during insulator–metal transition in VO₂

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Vanadium dioxide (VO₂), which exhibits a near-room-temperature insulator–metal transition, has great potential in applications of neuromorphic computing devices. Although its volatile switching property, which could emulate neuron spiking, has been studied widely, nanoscale studies of the structural stochasticity across the phase transition are still lacking. In this study, using in situ transmission electron microscopy and ex situ resistive switching measurement, we successfully characterized the structural phase transition between monoclinic and rutile VO₂ at local areas in planar VO₂/TiO₂ device configuration under external biasing. After each resistive switching, different VO₂ monoclinic crystal orientations are observed, forming different equilibrium states. We have evaluated a statistical cycle-to-cycle variation, demonstrated a stochastic nature of the volatile resistive switching, and presented an approach to study in-plane structural anisotropy. Our microscopic studies move a big step forward toward understanding the volatile switching mechanisms and the related applications of VO₂ as the key material of neuromorphic computing.

operando transmission electron microscopy | resistive switching | insulator–metal transition

Resistive switching in vanadium oxides has attracted much attention because of the potential applications in bioinspired neuromorphic computing and nonvolatile memories (1–4). In a basic neural network, neurons can generate nonlinear electric spikes under external excitations, while the synapses allow for the modulation of interconnected weights between neurons. In most hardware-based neuromorphic approaches, volatile switching devices (threshold switching) were used to emulate the artificial spiking neuronal behaviors, while nonvolatile switching memories were often used to mimic the synaptic functionalities (1). VO₂, whose insulator–metal transition (IMT) is above room temperature ($T_{\text{IMT}} \sim 340$ K) (5), has been widely studied as a neuristor (6). It is considered a promising candidate for energy-efficient neurons due to its threshold spiking phenomenon. In pristine VO₂ it is believed that the resistive switching can be triggered by local Joule heating across the IMT, while nonthermal switching can be induced using defect engineering (7). Recently, both volatile and nonvolatile functionalities have been achieved in VO₂ based on different switching mechanisms (8). In previous work, in situ X-ray nanomapping was used to track the out-of-plane monoclinic and rutile Bragg peaks during resistive switching (9). However, up to now the nanoscale in-plane structural anisotropy and its intrinsic stochasticity have been rarely explored (10, 11): How the system returns from metallic state to insulating state and how the structural transition influences the switching. In addition, the control of the switching usually appears to be imprecise, i.e., the voltage necessary to initiate the phase transition is not a constant (even within a single grain) (12). Therefore, it is of critical importance to understand the stochastic behavior within the neuron device and the phase transition mechanism at nanoscale under external stimuli, since the switching has to be done a large

number of times during the neuron firing process. In addition, the IMT of VO₂ nanodevices can show multiple jumps, which implies that the domain structures in VO₂ may influence the transition behavior (13). Also, many physical properties, such as electrical, magnetic, and optical properties, show significant changes during the IMT process (14–16).

Here, we use in situ biasing transmission electron microscopy (TEM) with ex situ electrical transport measurement to characterize the structural phase transition across the volatile switching in VO₂. In-plane resistive switching was studied in epitaxial VO₂/TiO₂ (001) nanodevices. The original in-plane structural isotropy in the VO₂ rutile structure (R phase) will lead to anisotropy in the monoclinic phase (M1 phase) after resistive switching. Multiple monoclinic domains will form when the system returns to the insulating state. The IMT phase transition and the simultaneous electrical properties change have been systematically studied. Our results demonstrate that the structural anisotropy between different M1 VO₂ domains plays an important role in the insulating state. In addition, this study provides a thorough understanding of the volatile resistive switching process and shows that the intrinsic

Significance

Emerging neuromorphic computing with resistive switching devices is one of the promising technologies toward hardware-based artificial intelligence. VO₂ has been demonstrated as a great candidate to emulate the spiking neurons because of the nature of its room-temperature metal–insulator transition and resistive switching. However, the fundamental understanding of the switching stochasticity in this strongly correlated material remains unaddressed. In this work, the inherent electrical and structural stochasticity in a VO₂/TiO₂ device has been unambiguously revealed by combining in situ transmission electron microscopy experiments and ex situ resistive switching measurement on the same device. We conclude that the randomly oriented monoclinic domains in insulating VO₂ between each resistive switching is the key factor governing the stochasticity behavior.

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variability is a key issue in developing stochastic neuromorphic networks.

Results and Discussion

Fig. 1A illustrates the VO₂/TiO₂ system. The 150-nm VO₂ thin film grows epitaxially on the (001) TiO₂ substrate by radio frequency magnetron sputtering, since rutile VO₂ (R VO₂) and rutile TiO₂ (R TiO₂) share very close in-plane lattice constants (as illustrated in *SI Appendix, Fig. S1*). The selected area electron diffraction (SAED) patterns for R VO₂ and R TiO₂ are shown in *SI Appendix, Fig. S2* and demonstrate the single-phase growth of the VO₂ film. The R–T curve of as-deposited VO₂ shows an IMT at T_{IMT} ~340 K, with at least three orders of magnitude change in the electrical resistance (*SI Appendix, Fig. S3A*). In addition, the single-phase growth of the VO₂ thin film on (001) TiO₂ is also confirmed by the X-ray diffraction (XRD) scan shown in *SI Appendix, Fig. S3B*.

To study the electrical properties of in-plane VO₂ devices, an SiO₂ layer was deposited by plasma-enhanced chemical vapor deposition (PECVD) method on the top of VO₂ as an insulating protection layer. The focused ion beam (FIB) lift-out method was taken to make cross-section samples for both *operando* TEM studies and electrical measurements. To apply electrical stimuli through the planar VO₂ devices, 3-mm-diameter semicircle chips with Au pads were used, as shown in the lower portion of Fig. 1A. The on-chip Au pads were wire-bonded to the electrical feedthroughs on our customized biasing TEM holder. The electric field was applied onto VO₂ along the in-plane direction via two Pt electrodes, which were deposited during the FIB sample preparation process.

Fig. 1B presents *ex situ* R–T measurement of a TEM device using a probe station. This clearly shows that the VO₂ layer conserves

its IMT behavior with a transition temperature of ~335 K. The current–voltage (IV) measurement displayed in Fig. 1C shows a volatile resistive switching at room temperature. The IV curves that were measured at least 150 times confirm the device’s endurance. Statistical results of the threshold voltage (V_{th}) distribution are shown in Fig. 1D. The slight V_{th} difference between each IV cycle shows the electrical stochasticity during the metal–insulator transition within the VO₂ device. Moreover, there were some variations between each cycle in IV curves. To elucidate this, we extracted the initial resistance (the resistance value under very low current density at room temperature) of M1 VO₂ between each IV switching (as shown in Fig. 1E). Interesting effects were observed: The initial resistance of M1 VO₂ varies slightly for each IV cycle. The mean value is about 5,020 Ω with ±30-Ω variance. Based on the *operando* TEM measurements, which will be discussed later, we attribute this variance to randomly formed insulating M1 VO₂ domains after each IV measurement. The structural stochasticity places an important effect on the electrical stochasticity of VO₂ due to the coupling between IMT and the structural phase transition.

To understand the underlying physics behind the volatile switching and the resistance variance, TEM characterizations have been carried out. Fig. 2A is a high-angle annular dark-field scanning TEM (HAADF-STEM) image from a TEM chip (as illustrated in the lower portion of Fig. 1A), showing the cross-section view of the film. The SAED pattern acquired from VO₂ thin film at room temperature is presented in Fig. 2B, where three sets of patterns are present. We note that the diffraction patterns were acquired under no biasing, showing the basic structural information of monoclinic VO₂ domains in the in-plane device. Besides the pattern from M1 VO₂ along the [102] zone axis shown in blue

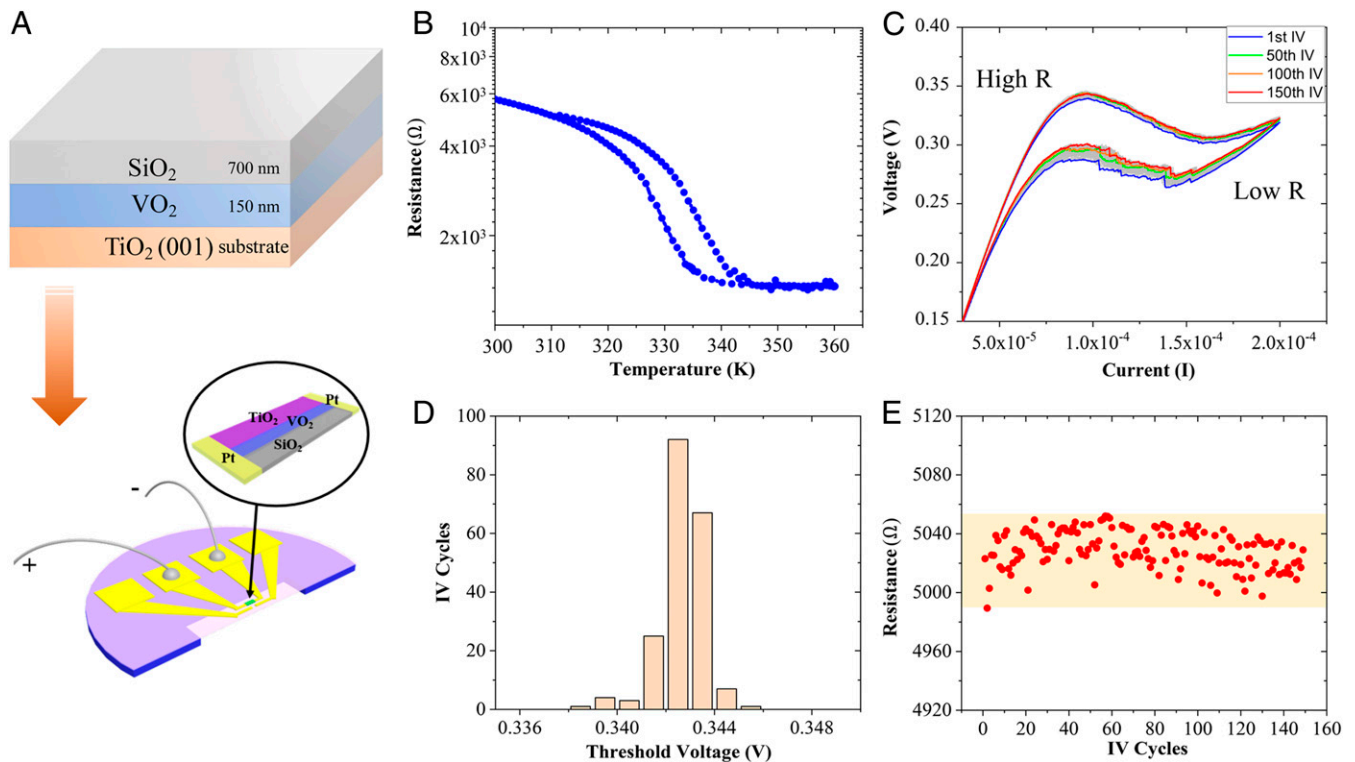


Fig. 1. Ex situ measurement of volatile resistive switching in a VO₂/TiO₂ planar TEM device. (A) Schematic of the SiO₂/VO₂/TiO₂ thin film system. The thickness of each layer is indicated. The TEM device schematic is shown at the bottom. The TEM sample fabricated by FIB is enlarged for clarity. The electric field was applied between two Pt electrodes, forming a two-terminal planar device. (B) Resistance vs. temperature curve measured from the VO₂ TEM device. (C) One hundred fifty voltage–current loops measured from the same device at room temperature. (D) Statistical distribution of the threshold voltage (V_{th}). (E) The initial resistance values (at T = 300 K) for the M1 phase VO₂ for 150 cycles on the same device at room temperature. The current was fixed to 2.6 × 10⁻⁵ A (current density ~1 × 10⁻¹⁴ A/m²).

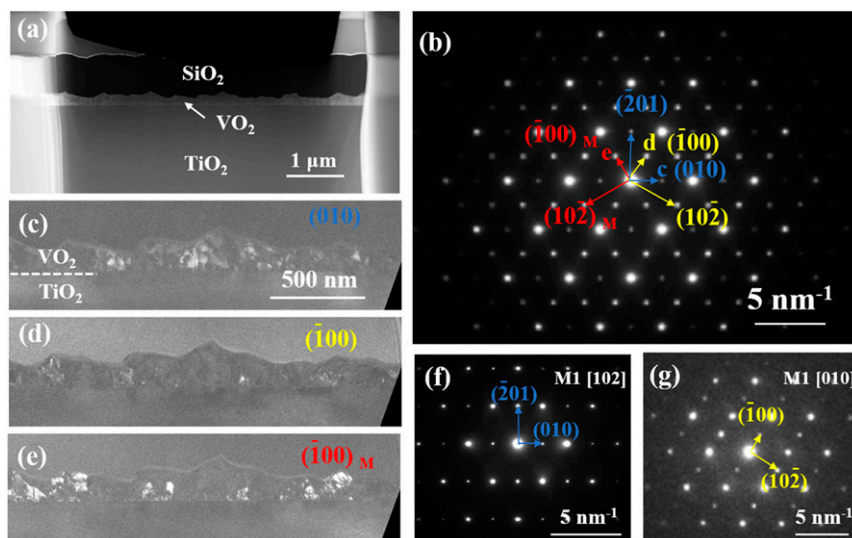


Fig. 2. TEM characterizations of the VO₂/TiO₂ device without biasing. (A) A cross-section HAADF-STEM image of an FIB sample. (B) The SAED pattern from the sample showing the coexistence of the multiple M1 VO₂ domains. The blue arrows mark the two base vectors for the VO₂ domain at the [102] direction, while the yellow and red arrows indicate the two sets of base vectors for VO₂ domains along the [010] zone axis with mirror symmetry (mirror planes are {110}_{R VO₂}). The mirror spot of ($\bar{1}00$) is indicated as ($\bar{1}00$)_M. (C–E) Dark-field images using (010) ($\bar{1}00$)($\bar{1}00$)_M diffraction spots from blue, yellow, red base vectors, respectively. (F and G) SAED patterns for M1 VO₂ along the [102] and [010] directions captured from single domains.

(the diffraction pattern from the [102] zone axis acquired from a single domain is shown in Fig. 2F), two mirrored patterns along the [010] direction are indicated by red and yellow arrows (the diffraction pattern from [010] zone axis acquired from a single domain is shown in Fig. 2G). The mirror planes are {110} planes of R VO₂, and the mirror spot of ($\bar{1}00$) is indicated as ($\bar{1}00$)_M. For comparison, the simulated electron diffraction patterns are shown in *SI Appendix*, Fig. S4. The dark-field TEM (DF-TEM) images using the spots **c** [(010) spot from the [102] zone axis], **d** [($\bar{1}00$) spot from the [010] zone axis], and **e** [($\bar{1}00$)_M spot from the [010] zone axis] in Fig. 2B are illustrated in Fig. 2C–E, respectively. From DF-TEM images it can be found that the monoclinic domains are randomly distributed and the sizes are about 100 nm, which is close to the value previously reported (17–19). Based on the analyses above, the structural orientation and the distributions of the VO₂ monoclinic domains in the insulating state (without biasing) can be well-defined and understood.

In situ biasing TEM experiments have been carried out using this planar VO₂ TEM device at room temperature. An SAED pattern acquired from a randomly picked area (circled in yellow) in Fig. 3A before conducting the biasing experiments is shown in Fig. 3B, which is consistent with the structural characterization in Fig. 2B. Using the ($20\bar{1}$) spot from the [102]_{M1} zone axis (indicated by red arrow), the DF-TEM image is shown in Fig. 3A. In the following, we simultaneously acquire SAED pattern from the yellow area and apply a voltage bias. With 1-V biasing across the planar VO₂ device (above the threshold), the diffraction pattern changes from Fig. 3B to Fig. 3D, which is consistent with the simulated diffraction pattern from R VO₂ [100] (*SI Appendix*, Fig. S4). There was no obvious contrast in the acquired DF-TEM image as shown in Fig. 3C, with the position of the objective-lens aperture unchanged. After removing the external biasing, the VO₂ comes back to a monoclinic phase as the diffraction pattern in Fig. 3F demonstrates. The two mirrored patterns along the [010]_{M1} direction can be observed and the distribution of the M1 VO₂ phase along the [102] zone axis has changed. Another set of experiments has been conducted and the results are shown in Fig. 3G–J. Although the diffraction pattern in Fig. 3H (bias = 1 V) is identical to the one in Fig. 3D, demonstrating once again the phase change during the resistive switching, this time, when the bias is removed,

the diffraction pattern of the monoclinic insulating phase in Fig. 3J is not similar to Fig. 3F, but close to that of Fig. 3B. The distribution of [102] domains has been altered. Based on the analyses, we have demonstrated that the orientation of the M1 VO₂ can be changed and stabilized in a random fashion. The electron energy-loss spectra acquired from M1 VO₂ and R VO₂ are acquired and presented in *SI Appendix*, Fig. S5A, from which the band structure for the two VO₂ phases can be deduced.

The electrical and structural stochasticity can be explained by taking the phase transition pathways between M1 VO₂ and R VO₂ into account. Considering the space groups of rutile metallic VO₂ (P₄/mnm) and monoclinic insulating VO₂ (P₂/c), four possible phase transition pathways are shown in *SI Appendix*, Fig. S6 (20). Four monoclinic variants [M1 (1) to M1 (4)] with 90° rotation symmetry can be found. The relationship of the coordinate systems between M1 (4) phase (the fourth variant) and R phase is illustrated in Fig. 4A and can be described by using the following transformation matrix:

$$\begin{bmatrix} a \\ b \\ c \end{bmatrix}_{M1(4)} = \begin{bmatrix} 0 & 0 & 2 \\ 1 & 0 & 0 \\ 0 & 1 & \bar{1} \end{bmatrix} \begin{bmatrix} a \\ b \\ c \end{bmatrix}_R.$$

Thus, [010]_{M1} is parallel to [100]_R, and [102]_{M1} is parallel to [010]_R. In the R VO₂, both [100]_R and [010]_R are equivalent, while in M1 VO₂, [010]_{M1} and [102]_{M1} are inequivalent, and the in-plane anisotropy is expected. Each time when the VO₂ structure changes from R phase to M1 phase the [100]_R or [010]_R of R VO₂ will randomly turn into either [010]_{M1} or [102]_{M1}, which could explain our TEM observations that the distribution of the [010] and [102] domains changes during each IV measurement. Under biasing, the R VO₂ structure will follow that of the R TiO₂ substrate, and there is no in-plane structural anisotropy for R VO₂, whereas the in-plane anisotropy in the monoclinic phase will be induced after the rutile-to-monoclinic structural phase transition. Based on the analysis, there are four variants for M1 VO₂ as shown in *SI Appendix*, Fig. S6, but only three can be observed in Fig. 2B, because M1 (3) and M1 (4) are coincident along the observation direction. Also, M1 (1) and M1 (2) appear as the twin structure in Fig. 2B.

The electrical stochasticity behavior shown in Fig. 1 and the structural stochasticity of M1 VO₂ structure can be further verified

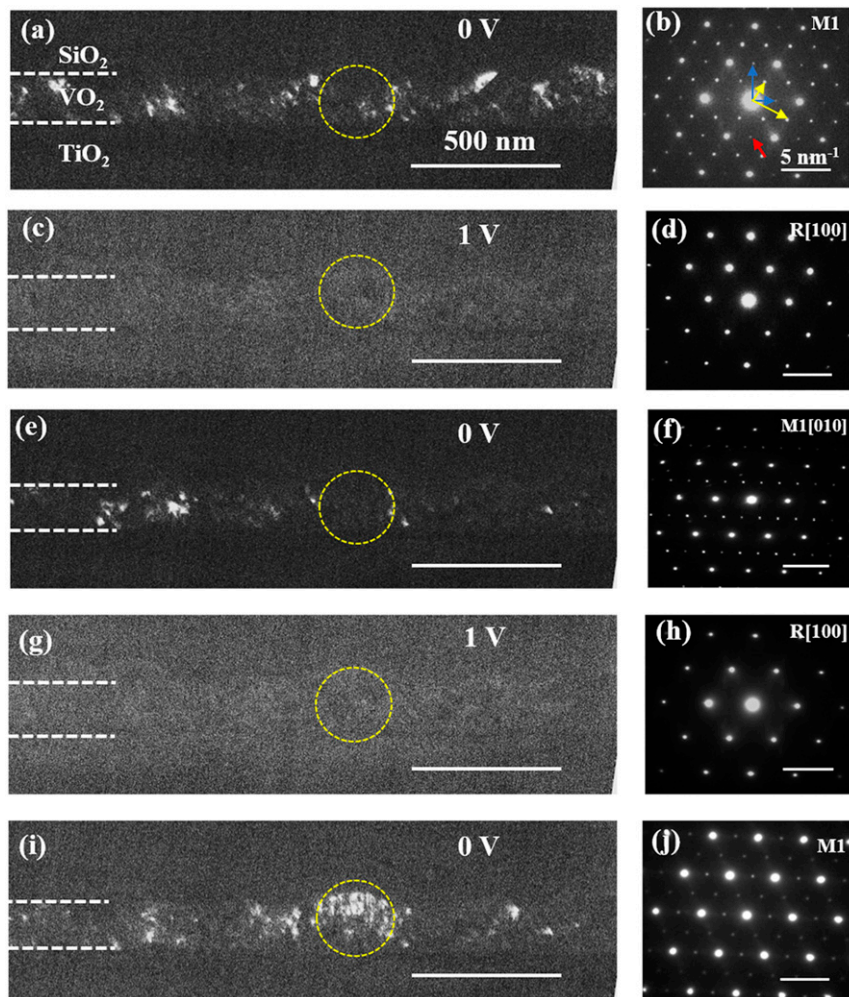


Fig. 3. *Operando* DF-TEM studies for the VO₂ monoclinic/rutile domain evolution during resistive switching. (A) DF-TEM image using the diffraction spot indicated by the red arrow in B before biasing is applied. (B) SAED pattern acquired from the yellow dotted areas in A. (C) DF-TEM image with 1-V electric biasing applied. (D) SAED pattern under 1-V biasing demonstrating that M1 VO₂ changed to R VO₂. (E) DF-TEM image taken after the removal of the biasing. (F) SAED pattern showing the VO₂ changed to M1 [010]. (G) DF-TEM with 1-V electric biasing and M1 VO₂ changed to R VO₂ as indicated in H. (I) DF-TEM taken after removing external biasing. (J) SAED pattern acquired from the yellow region. The same diffraction spot and objective-lens aperture position are used for all the DF-TEM images.

by density functional theory (DFT) calculations. The critical points of the M1 VO₂ first Brillouin zone are shown in Fig. 4B (21, 22). The [010]_{M1} and [102]_{M1} are along Γ -Z and Γ -B, respectively. To maintain a consistent k-point density, we relaxed the high-temperature R phase with a monoclinic basis based on the low-temperature phase. The calculated band structures are shown in *SI Appendix, Fig. S7 C and D*, which is consistent with the published results (23). The gap between the highest occupied energy state of the valence band and the lowest unoccupied state of the conduction band is 0.6 eV. The band structure and density of states (DoS) along Γ -Z and Γ -B for both M1 VO₂ are shown in Fig. 4 C and D. The band gaps along [010]_{M1} and [102]_{M1} are 0.689 eV and 0.702 eV, respectively, while there is no band gap for R VO₂ (the details for the R VO₂ band gap can be found in *SI Appendix, Fig. S7 A and B*).

The difference of the band gaps along [010]_{M1} and [102]_{M1} explains the variance of the resistance shown in Fig. 1E. It is known that the conductivity of an intrinsic semiconductor is related to the band gap. The intrinsic conductivity in terms of the band gap E_g is $\sigma(T) = \sigma_0 \exp(-E_g/2k_b T)$. From this, the conductivity ratio can be calculated as $\sigma[102]_{M1}/\sigma[010]_{M1} \sim 1.286$. Here we neglect the resistance change at the domain walls (including twinning planes), because the domain walls are more metallic than the domains (24). Since the resistances of [102]_{M1} and [010]_{M1} are different,

the different ratio of M1 domains among the four crystallographic variants could lead to resistance variation in the insulating state of the VO₂ device. This produces the intrinsic stochasticity in both electronic and structural properties. It may be worthwhile to mention that the estimated conductivity ratio between two directions applies when the physical size of the sample is small and/or the sample switches between the single [102]_{M1} domain and the single [010]_{M1} domain. However, the VO₂ samples usually contain many domains and the measured variance of the resistance (as shown in Fig. 1) should be smaller. A simple method to estimate the distribution of [102]_{M1} and [010]_{M1}, and hence the resistance, is provided in the *SI Appendix, Fig. S8*.

To further understand the structural stochasticity in VO₂, we performed phase-field simulations of the equilibrium domain structures of the VO₂ film. The phase-field model of VO₂ was implemented using a four-dimensional structural order parameter and a four-dimensional electronic order parameter (25–28). In the simulations, we set VO₂ to room temperature and its bottom clamped to the (001) TiO₂ substrate. In this configuration, four M1 variants are energetically degenerate. Two calculated equilibrium multidomain structures are depicted in Fig. 4 E and F. They evolved from a single (nonequilibrium) R domain by applying different random thermal noises in the order parameters, which mimics the nucleation

Materials and Methods

Thin Film Deposition and Device Fabrication. One hundred fifty-nanometer epitaxial VO_2/TiO_2 (001) thin films were deposited using radio frequency magnetron sputtering from a V_2O_3 target. A 3.6-mtorr Ar/O_2 mix (8% O_2) was used during thin film deposition, and the substrate was $\sim 615^\circ\text{C}$ during the growth. XRD measurements were performed using Rigaku SmartLab with $\text{Cu K}\alpha$ radiation ($\lambda = 1.54 \text{ \AA}$). The SiO_2 was deposited by Trion Orion III PECVD system at 400°C for 5 min. The thickness of SiO_2 was measured to be 700 nm via TEM. TEM in-plane devices were prepared by standard FIB lift-out method. The Au and Pt layers were deposited by sputtering and FIB, respectively. The SiO_2 layer was deposited by the PECVD method.

Electrical Transport Measurement. The measurements were performed in a Lakeshore TTPX probe station with a Keithley 6221 current source and a Keithley 2182A nanovoltmeter with a temperature stage.

TEM Characterizations. The DF-TEM images and electron energy loss spectroscopy spectra were acquired by an FEI Talos F200X TEM operated under 200 kV. The in situ biasing holder was an STM Nanofactory in situ biasing holder with slight customization. The wire bonding connecting chip and holder were conducted by a wedge bonder, Kulicke and Soffa 4526.

DFT Calculations. All DFT (38) calculations were performed using the Vienna Ab initio Simulation Package (VASP) within the projector augmented wave approach (39–41). The exchange-correlation effects were modeled using the Perdew–Berke–Ernzerh of the generalized gradient approximation (GGA) functional (42). The GGA functional is known for being unable to correctly predict electronic properties such as the band structure, band gap, and DoS due to the strong correlation in VO_2 (23). We circumvent this by introducing the

Hubbard U parameter with $U = 3.06 \text{ eV}$ to all calculations of the high-temperature R and low temperature M1 VO_2 phases. The Hubbard U was fitted to obtain a band gap of 0.6 eV in the low-temperature monoclinic phase of VO_2 in accordance with experimentally observed band gaps (43). The pseudo-potentials used are similar to those used in the Materials Project (44). The energies and atomic forces of all calculations were converged within 10^{-5} eV and $0.01 \text{ eV}\text{\AA}^{-1}$, respectively, and a plane wave cutoff energy of 900 eV was used. Γ -centered k-point meshes of $9 \times 9 \times 9$ were used in calculating the DoS. Analysis of DoS and band structure was performed with the aid of the Python Materials Genomics (Pymatgen) materials analysis library (45). The high-symmetry K-path of the band structure was obtained using the method described by Setyawan and Curtarolo (46).

Data Availability. All study data are included in the article and/or *SI Appendix*.

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