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Title	Study on the Epitaxial Strain Effects on Optoelectronic Properties of Functional Oxides with Rutile Structure [an abstract of dissertation and a summary of dissertation review]
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Degree Grantor	北海道大学
Degree Name	博士(工学)
Dissertation Number	甲第15542号
Issue Date	2023-03-23
Doc URL	https://hdl.handle.net/2115/89795
Rights(URL)	https://creativecommons.org/licenses/by/4.0/
Type	doctoral thesis
File Information	Binjie_Chen_abstract.pdf, 論文内容の要旨



学 位 論 文 内 容 の 要 旨

博士の専攻分野の名称 博士（工学） 氏名 陳 斌杰

学 位 論 文 題 名

Study on the Epitaxial Strain Effects on Optoelectronic Properties of Functional Oxides with Rutile Structure

（ルチル構造を有する機能性酸化物の光電子特性に及ぼすエピタキシャル歪の効果に関する研究）

Rutile-structured oxides (MO_2 , space group: $P4_2/mnm$) are known that exhibit diverse optoelectronic properties such as photocatalytic activity, gas sensing properties, transparent conductivity, etc [1-6]. For example, TiO_2 is a well-known photoelectrode material for water splitting. The energy level of the conduction band minimum and the valence band maximum is appropriate for water splitting through photo-excitation-induced band-to-band transition [4]. Electron-doped SnO_2 is a well-known transparent conducting oxide owing to its large optical bandgap and the small carrier effective mass [5]. VO_2 exhibits monoclinic-to-rutile phase transition at $T_c \sim 68^\circ C$. The monoclinic phase is IR transparent insulator and the rutile phase is IR opaque metal. Therefore, VO_2 is a promising candidate for thermochromic materials [6]. The potential applications of these rutile-structured oxides are highly dependent on their optoelectronic properties.

Generally, there are various ways to modulate the optoelectronic properties of a material, each with its own suitability and advantages. In the case of VO_2 , reducing the T_c to around room temperature is crucial. Chemical doping of higher valence cations than V^{4+} (e.g. Nb^{5+} , W^{6+} , etc.) [7], field effect regulation [8], and introducing lattice strain [9] have been proposed. In 2002, Muraoka and Hiroi reported that the epitaxial VO_2 film grown on (001) TiO_2 substrates shows an abrupt IMT with reduced T_c around room temperature ($\sim 25^\circ C$). Therefore, the strain effect from (001) TiO_2 substrates was considered the most effective way to reduce T_c of VO_2 film. Still, there are two limitations for use of TiO_2 substrate: On the one hand, the use of TiO_2 substrate is not realistic in large-scale applications like the smart window because of the size limitation of Verneuil-grown TiO_2 crystal. On the other hand, the film thickness is limited due to strain relaxation through crack formation [10].

To address the difficulties in the practical application of VO_2 , and further investigate the strain effects on the optoelectronic properties of VO_2 as well as other rutile-type oxides, in this thesis, I selected M-plane $\alpha-Al_2O_3$ (M-sapphire) substrate for the epitaxial growth of VO_2 , TiO_2 , and SnO_2 films. There are several reasons: First, large-scale $\alpha-Al_2O_3$ substrate has been already industrialized. Second, the M-sapphire was verified to allow the growth of *c*-axis-oriented rutile-structured films. By fabricating VO_2/TiO_2 bilayer on M-sapphire substrate, the effectiveness of M-sapphire substrate to reduce the T_c of VO_2 was verified. Then, I additionally investigated the methods to suppress strain relaxation and crack formation of VO_2 film grown on TiO_2 substrate. Furthermore, noting that M-sapphire shows anisotropic in-plane lattice parameters, which provide a possibility to introduce strain-induced

orthorhombic distortion. Based on this, I systematically studied the effects of such distortion on the optoelectronic properties of VO₂, TiO₂, and SnO₂ films. This thesis is composed of the following chapters:

In chapter 1, the background and purposes of related studies are introduced.

In chapter 2, I report the strain effects on the IMT behaviors of VO₂/TiO₂ epitaxial bilayer films grown on M-sapphire substrate [11]. A systematic study with varied thicknesses of TiO₂ and VO₂ layer is conducted. By changing the VO₂ thickness from 40 to 5.5 nm while fixing the TiO₂ thickness to 200 nm, the T_c gradually decreased from 320 K to 305 K, which is highly reduced compared to that of bulk VO₂, suggesting that TiO₂-buffered M-sapphire substrate plays a similar effect to the TiO₂ substrate. Note that orthorhombic distortion is introduced to the film due to the anisotropic lattice parameter of M-sapphire substrate in the in-plane directions. Such distortion is enlarged when reducing TiO₂ thickness, resulting in the suppression of IMT behavior.

In chapter 3, I propose a solution for the strain relaxation and crack formation of VO₂ film grown on TiO₂ substrate. A TiO₂ strain compensation layer (SCL) was inserted between two VO₂ layers to maintain the strain condition of VO₂. The recovery of abrupt IMT behavior and absence of cracks suggest that high strain condition of VO₂ is maintained when TiO₂ thickness exceeds 9 nm. By further alternately stacking VO₂ and TiO₂ layers, I demonstrate that the use of TiO₂ SCL is useful to maintain clear clockwise IMT behavior even when the overall VO₂ thickness is ~50 nm, far thicker than the theoretical thickness ($T_c \sim 15$ nm) of VO₂ relaxation.

In chapter 4, I report the effects of orthorhombic distortion on the properties of rutile TiO₂ films. I fabricated 0.5% Nb:TiO₂ films on M-sapphire substrate [12]. By varying the thickness ranging from 300 to 10 nm, the degree of orthorhombic distortion (lattice parameter, b/a) was regulated from ~1.01 to ~1.035. Correspondingly, the carrier effective mass (m^*) decreases from $35 m_0$ to $3 m_0$ (m_0 : electron mass) but the optical bandgap increases, suggesting the optoelectronic properties of rutile TiO₂ is modulated by introducing the lattice distortion.

In chapter 5, I report a comparison study between TiO₂ film and SnO₂ film grown on M-sapphire substrates. Nb:TiO₂ film is distorted as shown in chapter 4, indicating the strained condition, whereas the lattice parameters of SnO₂ films are consistent with the bulk value, suggesting complete strain relaxation. STEM observation revealed that the complete strain release of SnO₂ is due to the combination of large mismatch-induced high strain relaxation and the negligible mismatch-induced strain absence. By contrast, the moderate mismatch between TiO₂/VO₂ and substrate results in the strained condition. Correspondingly, their properties are significantly regulated.

In chapter 6, the above studies are summarized.

In short, I systematically studied the epitaxial strain effects on optoelectronic properties of rutile-structured VO₂, TiO₂, and SnO₂ epitaxial films. The related results would provide useful guidance for the property design of rutile-type oxides and the development of related devices.

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