

## Photoemission (I) Spectroscopy

Cheiron School 2012 October 2, 2012 SPring-8, Japan

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In 1905 Albert Einstein proposed the concept of light quanta (photons) to explain the photoelectric effect, which was pivotal in establishing the quantum theory in physics

In 1921 he was awarded the Nobel Prize in Physics "for his services to theoretical physics, and especially for his discovery of the law of the photoelectric effect"



Since the late 1940's Kai Siegbahn has been working on the Electron Spectroscopy for Chemical Analysis (ESCA) also termed the X-ray Photoelectron Spectroscopy (XPS)

In 1981 he was awarded the Nobel Prize in Physics "for his contribution to the development of high-resolution electron spectroscopy"

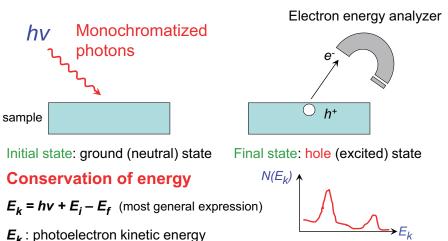
## Outline

- 1. What is photoemission spectroscopy?
- 2. Fundamental aspects of photoemission.
- 3. Examples.
- 4. Increase bulk sensitivity: HAXPES.
- 5. Challenging future directions.

Reference books:

- 1. "Photoelectron Spectroscopy" 3rd Ed. by S. Hufner, Springer-Verlag 2003
- 2. "Angle-Resolved Photoemission: Theory and Current Applications", S. D. Kevan, ed., Amsterdam; Elsevier 1992
- 3. "Very High Resolution Photoelectron Spectroscopy" Ed. by S. Hufner, Springer 2007

# What is photoemission spectroscopy? (photoelectron spectroscopy) (PES)



 $E_i(N)$ : total initial state system energy

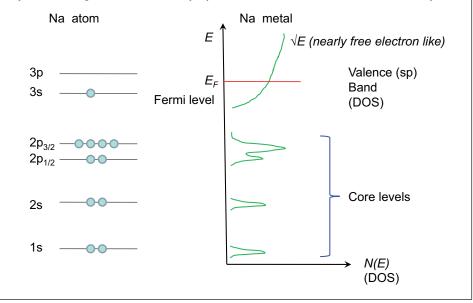
 $E_{f}(N-1)$ : total final state system energy

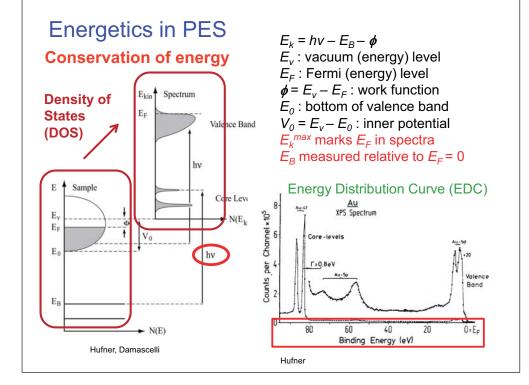
Energy Distribution Curve (EDC) (Spectrum)

## What are the samples and probed states?

Atoms	atomic orbitals (states)
Molecules	molecular orbitals
	core level states (atomic like)
Nanoprticles	valence bands/states
	core level states (atomic like)
Solids	valence bands
	core level states (atomic like)

### Single particle description of energy levels (Density of States) (most convenient in PE)





## Light sources and terminology

Ultraviolet Photoemission Spectroscopy (UPS) UV He lamp (21.2 eV, 40.8 eV) valence band PE, direct electronic state info

X-ray Photoemission Spectroscopy (XPS) (Electron Spectroscopy for Chemical Analysis) (ESCA) x-ray gun (Al: 1486.6 eV, Mg: 1253.6 eV) core level PE, indirect electronic state info chemical analysis

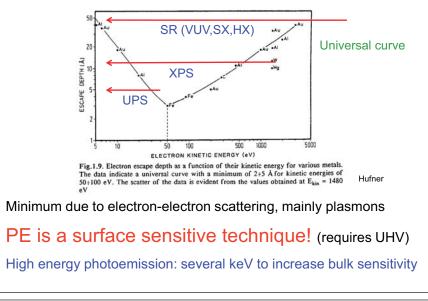
#### Synchrotron radiation:

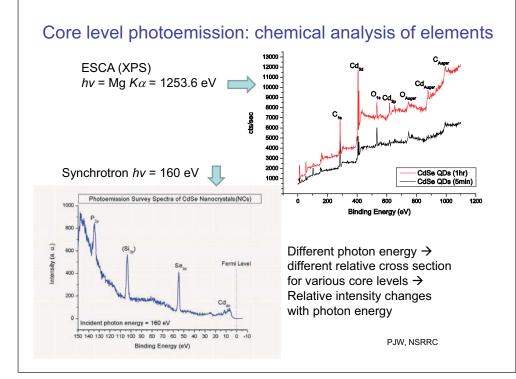
continuous tunable wavelength valence band: <100 eV, maybe up to several keV core level: 80-1000 eV, maybe up to several keV depending on core level binding energies

### Inelastic Electron Mean Free Path (IMFP)

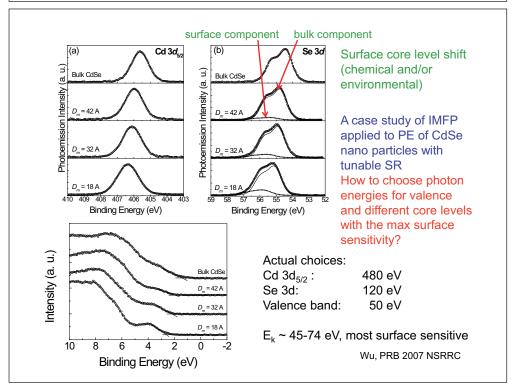
 $I(d) = I_0 e^{-d/\lambda(E)}$ 

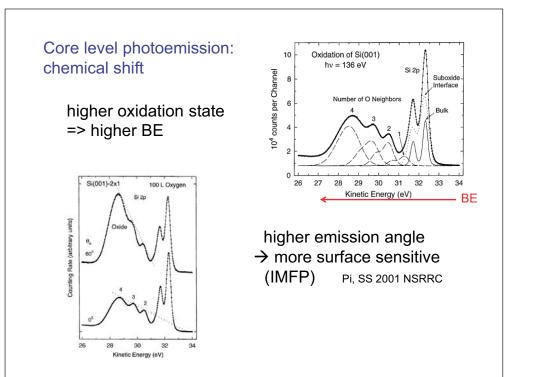
 $\lambda(E)$ : IMFP depending on KINETIC ENERGY inside solid or relative to  $E_F$ 



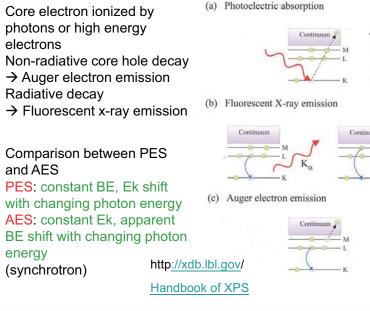


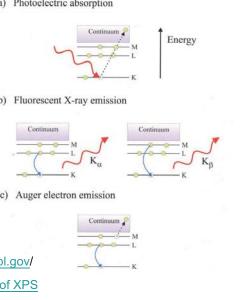
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44 Ra 22117 2224 2467 2658 566.1* 4413.5* 441.4* 294.2* 200.0* 75.0* 443.9* 45.2* 45 Ra 23220 3412 3146 3004 433.1* 521.3* 466.5* 311.8* 507.2* 31.4*5 505.* 47.3*	29 Cu 30 Zu 31 Gu 32 Gu 33 As 34 Se 35 Br 36 Kr 37 Rb 36 Y 40 Zr 41 Nb	8979 9659 10367 11103 11867 12658 13474 14326 15200 16105 17038 17998	1006.67 1066.77 1196.2* 1296.0*6 1414.6*6 1527.0*6 1652.0*6 1552.0*6 1782* 1921 2065 2216 2373 2532	870.09 952.39 1044.9* 1143.29 1248.1*6 1359.1*6 1474.3*6 1596* 1730.9* 1864 2007 2156 2007 2465	852.77 902.7 1021.8* 1116.4? 1217.0*b 1323.6*b 1433.9*b 1550* 1678.4* 1940 2940 2223	110.81 122.51 130.8* 150.51 204.7* 220.6* 237* 242.5* 326.7* 326.7* 358.71 392.0*6 430.31	68.01 77.31 91.4* 100.51 124.9* 146.5* 189* 222.2* 248.7* 230.31 310.6* 343.51	46.24 75.14 88.6* 100.04 120.8* 141.2* 160.7* 182* 214.4 239.1* 250.04 298.8* 329.8*	18.7† 29.8 41.7* 55.5* 70* 95.0* 113.0* 136.0† 157.7† 181.1†	10.1* 18.7† 29.2 41.7* 54.6* 90.8* 112* 1134.2† 155.8† 178.8†	27.5* 30.5* 38.9† 43.8* 50.6†	14.1* 16.3* 21.3 24.4* 26.51	14.1* 15.3 * 20.1* 22.4* 27.1*	X-Ray Data Bookle
45 RA 20220 3412 3146 3064 42K37 521.37 496.51 311.87 307.27 81.4% 50.51 473.1	29 Cu 30 Zu 31 Gu 32 Ge 33 As 34 Se 35 Br 35 Br 37 Rb 37 Rb 39 Y 41 Nb 42 Mo	8979 9659 10367 11103 11867 12658 13474 14326 15200 16105 17038 17998 18996	1008.64 1096.74 1196.2* 1296.0*6 1414.6*6 1527.0*6 1652.0*6 1782* 1921 2065 2216 2373 2532 2668	870.09 952.34 1044.5* 1143.24 1248.1*6 1359.1*6 1474.3*6 1596* 1730.9* 1964 2007 2156 2007 2465 2625	832.79 932.7 1021.8* 1116.49 1217.0* 1323.8*b 1323.8*b 1550* 1675.4* 1804 1940 2040 2023 2237 2520	110.81 122.31 139.8* 159.51 180.1* 229.6* 229.6* 237* 292.8* 242.5* 292.8* 292.8* 326.7* 358.77 392.0*6 430.31	68.01 77.31 91.4* 100.51 124.0* 146.5* 180* 2222.2* 248.7* 248.7* 248.7* 248.75 310.6* 343.51 356.31 411.67	46.24 75.14 88.6* 100.04 120.8* 141.2* 160.7* 182* 214.4 239.1* 226.8* 329.84 340.64 340.64 340.64	18.79 29.8 41.7* 55.5* 95.0* 113.0* 136.0* 136.0* 157.79 181.19 205.0* 231.19	10.1* 18.7† 29.2 41.4* 54.4* 93.3* 112* 113.2† 154.2† 154.2† 154.2† 154.2† 202.3† 202.3†	27.5* 30.5* 38.9† 43.8* 50.6† 56.4† 63.2†	14.1* 16.3* 21.3 24.4* 28.45 32.67 32.67	14.1* 15.3 * 20.87 23.1* 27.87 36.87 36.59	X-Ray Data Bookle
	29 Cu 30 Zu 31 Gu 32 Ge 33 As 34 Se 35 Br 34 Kr 35 Br 35 Br 36 Se 37 Rb 37 Rb 39 Y 41 Nb 42 Mo 43 Tc	8979 9659 10367 11103 12658 13474 14326 13200 15105 17098 18898 20900 21944	1008.64 1066.74 1196.2* 1299.0*b 1414.6*b 1527.0*b 1652.0*b 1732* 1921 2065 2216 2373 2532 2668 2552 2552 2555 2555 2556 2566 3043	870.04 952.34 1044.8* 1143.24 1248.1*0 1359.4* 1474.3*6 1474.3*6 1596* 1730.8* 1864 2007 2156 2007 2165 2625 2625 2793	852.77 932.7 1021.8* 1116.4? 1217.0* 1323.8*b 1433.9*b 1550* 1678.4* 1804 1940 2040 2223 2231 22530 2677	110.81 122.31 130.8* 159.51 180.1* 294.7* 294.7* 294.7* 294.7* 292.8* 292.8* 326.7* 326.7* 392.0*6 400.37 466.67 596.37 544*	68.01 77.31 91.4* 100.51 124.9* 146.5* 189* 222.2* 248.7* 230.37 330.6* 343.51 441.67 447.6	46.29 75.11 88.6* 100.09 120.3* 141.2* 160.7* 182* 214.4 239.1* 239.9 298.8* 360.64 364.09 417.7	18.79 29.8 41.7* 55.5* 70* 95.0* 113.0* 136.0* 136.0* 136.0* 137.7* 181.1* 205.0* 231.3* 231.3*	10.1* 18.7† 29.2 41.7* 54.6* 40.3* 112* 134.2† 155.8† 178.8† 202.3† 202.3† 202.3*	27.5* 30.5* 38.97 43.5* 50.67 56.47 63.27 69.5*	14.1* 16.3* 21.3 24.4* 28.5+ 32.6+ 37.6+ 42.3*	14.1* 15.3 * 20.3† 27.3† 50.8† 36.9*	X-Ray Data Bookle
46 Pd 24350 5604 3330 3173 671.61 559.91 532.31 340.51 335.21 87.116 55.71a 50.91	29 Cu 30 Zu 31 Gu 32 Gu 33 As 34 Se 35 Br 36 Se 37 Rb 38 Se 39 Y 40 Zy 40 Zy 40 Zy 40 Zy 41 Sho 42 Sho 44 Sho 45 Se 45 Se 46 Sho 46 Sho 47 Sho 47 Sho 48 Se 48 Se	8979 9659 10367 11103 11867 12658 13474 14326 15200 16105 17038 17998 18996 20000 21044 22117	1008.69 1096.79 1196.2* 1299.0*6 1414.6*6 1432.0*6 1652.0*6 1652.0*6 1652.0*6 1592.0 1932* 1932* 1932* 1932 2065 2216 2353 2666 2043 2254	870.04 952.34 1044.8* 1143.24 1248.1*6 1359.1*6 1474.3*6 1474.3*6 1596* 1730.8* 1864 2007 2156 2007 2465 2007 2465 2025 2793	822.77 932.7 1021.8* 11164* 1227.0% 1323.6% 1433.6% 1550* 1678.4* 18940 2990 2223 2371 2529 2677 2835	110.81 122.31 130.8* 159.51 180.1* 294.7* 294.7* 294.7* 292.8* 292.8* 292.8* 326.7* 332.0*6 430.37 466.67 596.37 544*	68.01 77.31 91.4* 100.51 124.9* 146.5* 189* 222.2* 248.7* 280.31 330.6* 343.51 447.6 443.51	46.24 75.14 88.6* 100.04 120.8* 141.2* 214.4 239.1* 270.04 298.8* 7298.4* 72999.4* 7298.4* 7298.4* 7298.4* 7298.4* 7298.4* 7298.4* 7298.4* 7298.4* 7298.4* 7298.4* 7298.4* 7298.4* 7298.4* 7299.4* 720	18.79 29.8 41.7* 55.5* 70* 95.0* 113.0* 136.0* 136.0* 136.0* 136.0* 136.0* 137.7* 205.0* 205.0* 205.0* 201.3* 205.0* 201.3* 201.4* 205.0* 201.4* 201.	10.1* 18.7† 29.2 41.7* 54.6* 93.8* 112* 134.2† 134.2† 135.8† 134.2† 255.9* 255.9* 255.9*	27.5* 30.5* 43.5* 50.67 56.49 63.27 66.5* 75.07	14.1* 16.3* 24.4* 26.51 32.67 37.67 42.3*	14.1* 153.* 20.1† 21.1* 27.1† 26.1† 36.5† 36.9* 40.2†	X-Ray Data Bookle
47 Au 25514 3006 3524 3351 719.07 603.81 573.07 374.01 368.3 97.01 63.71 58.31	29 Cu 30 Zu 31 Gu 32 Gu 33 As 34 Su 35 Su 37 Rb 36 Su 37 Rb 38 Su 39 Y 40 Zu 40 Zu 40 Zu 40 Su 40 Su 40 Su 41 Su 44 Su 44 Ru 44 Ru 45 Ru 45 Ru 45 Ru 46 Ru 46 Ru 46 Ru 46 Ru 46 Ru 47 Ru 47 Ru 48	8979 9659 10367 11103 11867 12658 13474 14326 15200 16105 17038 17098 18996 20000 21044 22117 23320	1008.67 1096.77 1296.076 1414.67 1527.076 1527.076 1527.076 1652.076 1782* 1921 2065 2516 2517 2665 2516 2516 2516 2516 2516 2516 2516	870.04 952.34 1044.9* 1143.24 1248.124 1359.126 1359.126 1359.126 1359.24 1359.24 1359.24 1359.24 1359.24 1359.24 2007 2007 2007 2455 2007 2007 2007 2007 2007 2007 2007 20	822.77 932.7 1021.8* 111647 1217.6% 1323.6% 1433.9% 1550* 1657.4* 19940 2040 2223 2351 2520 28.77 2838 3094	110.81 122.31 130.8* 150.51 180.1* 224.8* 225* 225* 2326.7* 2326.7* 235.71 236.74 436.31 566.31 544* 556.1* 526.1*	68.01 77.31 91.44 100.54 146.54 146.54 1809 222.24 248.74 248.74 248.74 310.64 310.64 310.64 310.64 310.64 310.64 310.54 411.65 411.65 411.65 51.37	46.29 75.11 88.6* 100.09 141.2* 140.7* 182* 214.4 239.09 298.8* 329.8* 329.8* 340.64 341.77 441.77 461.4* 496.57	18.79 29.8 41.7* 55.5* 70* 95.0* 113.0* 136.09 136.09 136.09 136.09 136.09 201.19 205.07 201.19 205.07 204.29 311.09	10.1* 18.7† 29.2 41.7* 54.6* 49.8* 112* 134.2† 134.2† 134.2† 134.2† 134.2† 202.3† 202.3† 202.3† 202.3† 202.3† 202.3† 200.4*	27.5* 30.5* 38.97 43.8* 50.67 56.47 63.27 64.5* 75.07 81.4*5	14,1* 16,3* 24,3 24,4* 32,64 37,64 42,3* 44,37 50,59	14,1* 15.3 * 20,1* 27,1* 27,1* 26,5* 36,5* 36,9* 40,2* 40,3*	X-Ray Data Bookle



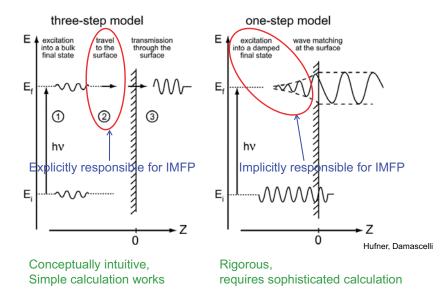


## Auger Electron Spectroscopy

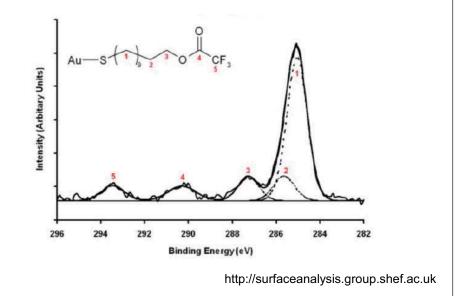




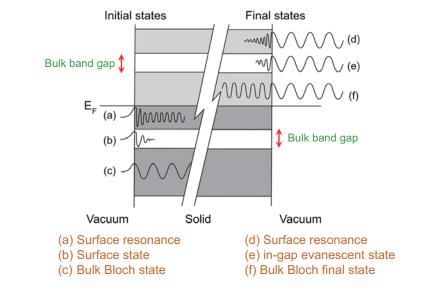
## Photoemission Process



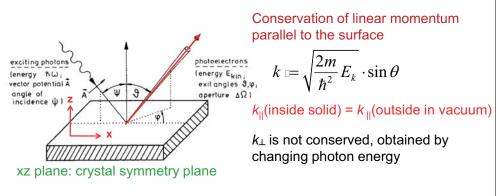
## Chemical Analysis of C1s core levels



## Schematic wave functions of initial and final states (valence band initial states)



## Angle-resolved photoemission (ARPES)

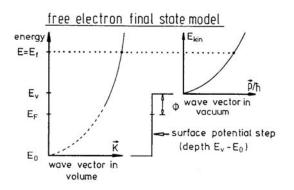


Electron emission angle  $\theta$  with respect to the crystalline surface normal and symmetry planes is also measured

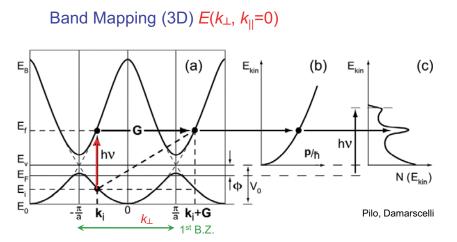
 $\Rightarrow \text{Electronic band dispersion } E(\textbf{k}_{||}, \textbf{k}_{\perp})$ inside (ordered) crystalline solids

#### Electron kinetic energy inside and outside of solids

Inner potential: E<sub>V</sub> – E<sub>0</sub>



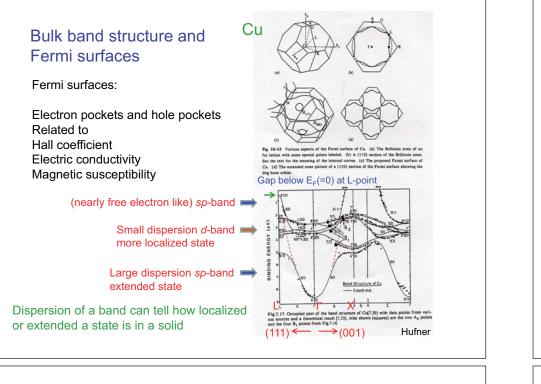
Concept of inner potential is used to deduce 3D band structure from PE data assuming free electron like final state inside solids

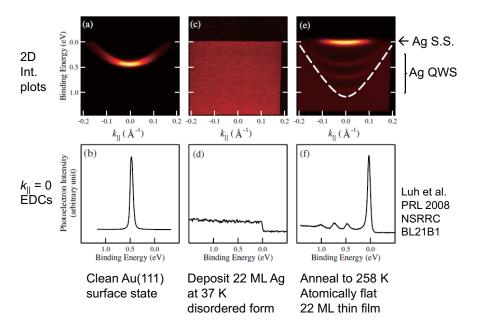


Vertical transition (using visible, uv and soft x-rays) at normal emission

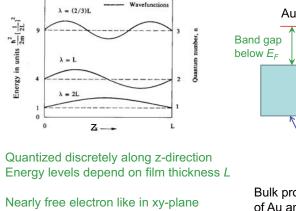
For hard x-ray photon momentum cannot be neglected

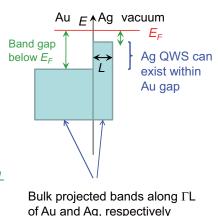
Using different hv at normal emission to map out  $E(k_{\perp})$ 

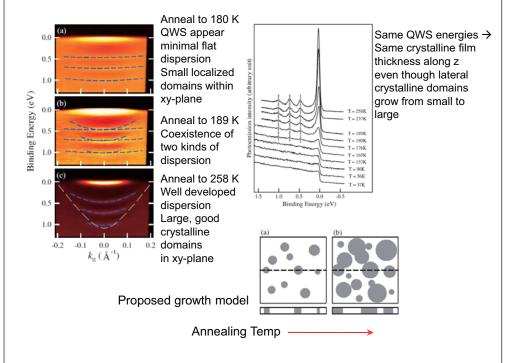




#### Quantum well states: manifestation of particle in a box in real materials Ag(111) thin films expitaxially grown on Au(111) substrate







One-particle spectral function near  $E_F$  measured by ARPES with many-particle correction (quasi-particle)

$$A(k,\omega) = -\frac{1}{\pi} \frac{\Sigma''(k,\omega)}{\left[\omega - \varepsilon_k - \Sigma'(k,\omega)\right]^2 + \left[\Sigma''(k,\omega)\right]^2}$$

 $\varepsilon_k$  : single particle energy without many-particle correction  $\omega$ = 0 :  $E_F$ 

Self energy correction due to interaction with phonons, plasmons and electrons, etc.

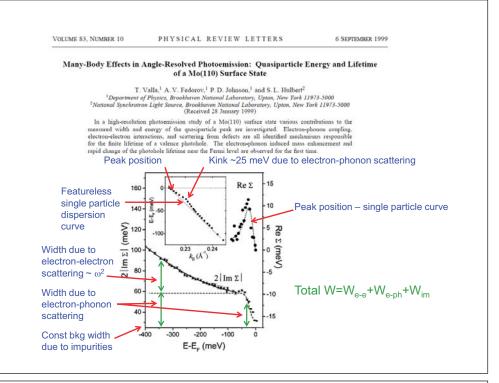
 $\Sigma(k,\omega) = \Sigma'(k,\omega) + i\Sigma''(k,\omega)$ 

Real part: shift observed peak energy from single particle energy Imaginary part: peak FWHM = 2  $\Sigma$ "

ARPES for valence band PE uses primarily VUV light because of

- 1. Better absolute photon energy resolution for most BLs designed as nearly const  $\Delta E/E$ .
- 2. Better photoionization cross section at low photon energy.
- 3. Better momentum resolution for a given angular resolution.  $\Delta k_{\parallel}(1/\text{\AA})=0.5123 \sqrt{(E_k(eV))\cos(\theta)} \Delta \theta$

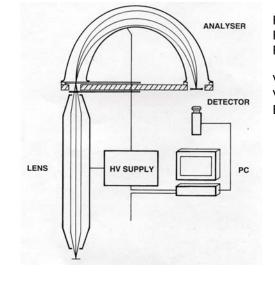
SX ARPES has been tried for increasing bulk sensitivity, more free electron like final states and reduced matrix element effects. The increasing bulk sensitivity will be discussed.



#### NSRRC U9 BL21B1 BL and high resolution photoemission end station



#### Hemispherical electron energy analyzer



R1 : radius of inner sphere R2 : radius of outer sphere Ro=(R1+R2)/2 : mean radius and along electron path V1: inner potential V2: outer potential Ep: pass energy = electron kinetic energy along mean radius

## Drive to go to even higher photon energies into hard x-ray regime

HArd X-ray PhotoEmission Spectroscopy (HAXPES)

HAXPES not only reach even closer to true bulk properties of strongly correlated systems, but also becomes capable of probing interface electronic structure, Very difficult using conventional VUV/SX.

### Comments on photoelectron IMFP

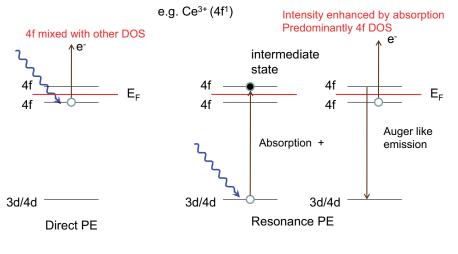
Valence band PE using VUV and SX has IMFP near minimum, very surface sensitive. It is great to probe surface electronic structure such as surface states and surface resonances.

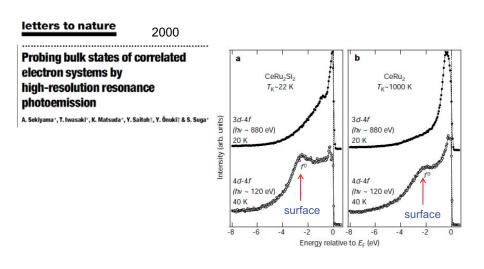
Many strongly correlated systems have electronic structure sensitive to coordination, thus surface contains different electronic structure from that of deeper bulk. Great surface sensitivity posts a serious problem to probe true bulk properties.

Buried interface is mostly undetectable by PE using VUV/SX photons because IMFP is too small compared to thickness of outermost thin layer.

# Need larger IMFP by using higher energy photons to enhance bulk sensitivity.

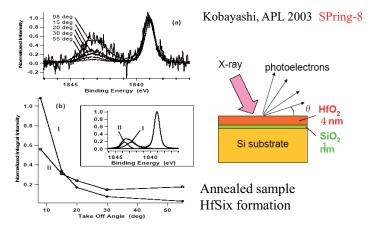
Resonance photoemission (near-edge absorption followed by Auger like electron emission)





By using Ce  $3d \rightarrow 4f$  Res. PE near 880 eV surface 4f component becomes greatly reduced compared to  $4d \rightarrow 4f$  Res. PE near 120 eV, the resulting spectra are closer to true bulk 4f DOS.

### HAXPES example: Hard x-ray photoemission on Si-high k insulator buried interface



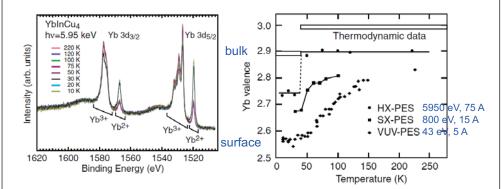
 $hv = 6 \text{ keV}, \Delta E \sim 0.24 \text{ eV}$ Take-off angle dependence => non-destructive depth profile Can probe buried interface at 35 nm ! (achievable only by hard x-ray PE)

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#### Valence Transition of YbInCu<sub>4</sub> Observed in Hard X-Ray Photoemission Spectra

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Bulk sensitive HAXPES can determine sharp first order valence band transition

## NSRRC HAXPES project at SPring-8

### World wide efforts on SR based HAXPES

- \* SPring-8 BL29XU (RIKEN, HAXPES end station can move in, pioneer in HAXPES)
- \* SPring-8 BL15XU (National Institute Materials Science (NIMS) WEBRAM, fixed installation)
- \* SPring-8 BL19LXU (RIKEN long undulator BL, HAXPES end station can move in)
- \* SPring-8 BL46XU (JASRI Engineering Science Reseach, fixed installation)
- \* SPring-8 BL47XU (JASRI HXPES, fixed installation)

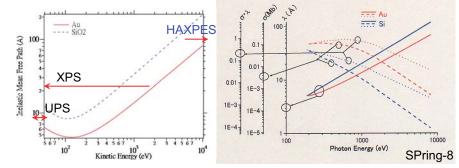
\* SPring-8 BL12XU-SL (NSRRC, fixed installation) unique with dual analyzers

- \* ESRF ID16 (mainly for IXS, used by VOLPE)
- \* ESRF ID32 (fixed installation, shared with XRD)
- \* ESRF BM32 SpLine (fixed installation, PXD/XAS/SRD/HAXPES+SXRD)
- \* BESSY II KMC-1 BM (HIKE and XUV diffraction, fixed installation)
- \* NSLS X24A BM (fixed installation)
- \* DESY BW2 Wiggler (fixed installation)
- \* DLS I09 (Surface and Interface Analysis (SISA))
- \* SOLEIL Galaxies (under construction, RIXS and HAXPES)
- \* CLS SXRMB BM (wide range 1.7-10 keV)

\* APS (?)

## Why Hard X-rays?

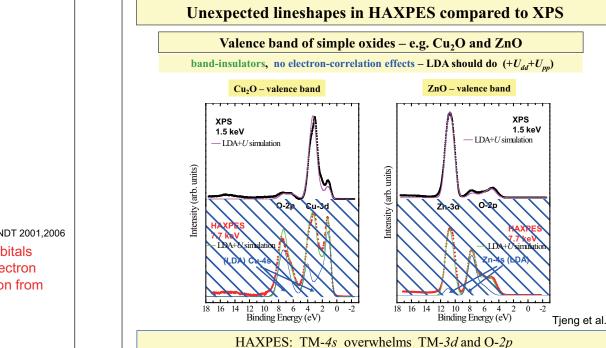
Electron IMFP (probing depth) and Cross section



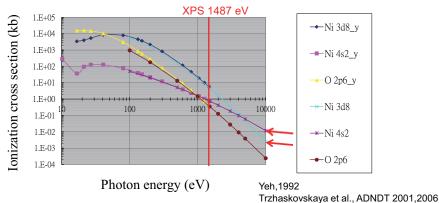
Higher Ek for deeper probing depth or more bulk sensitivity, for strongly correlated systems and interface properties

Photoemission signal  $(\sigma \cdot \lambda)$  decreases rapidly > 1 keV Need photon source of higher flux/brightness (modern SR), efficient BL design and good electron analyzers

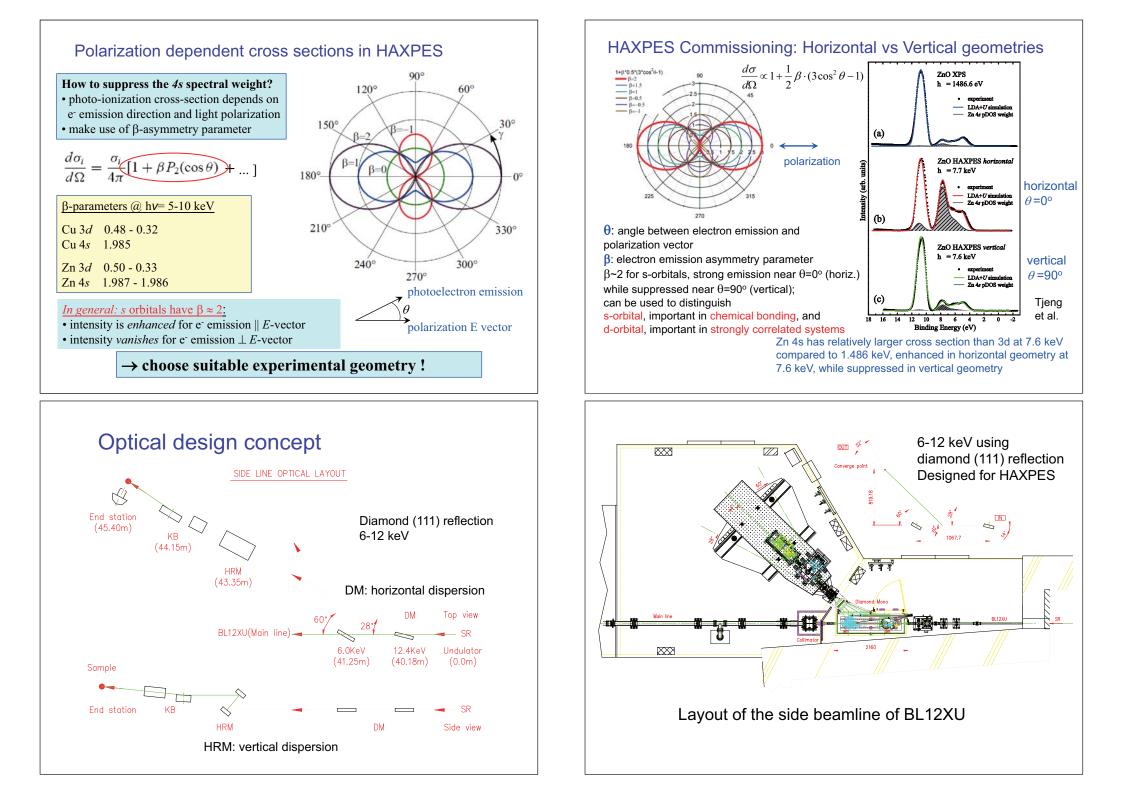
HAXPES is a low count rate, photon hungry experiment! (except at a grazing incident angle)

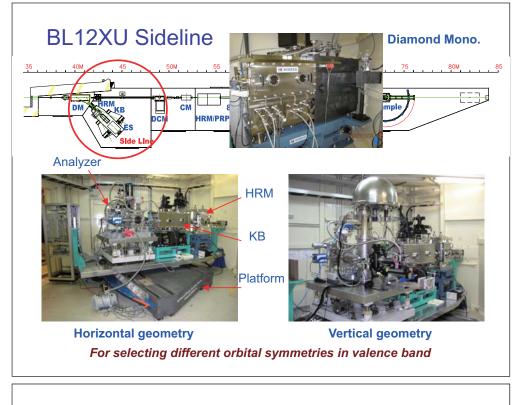


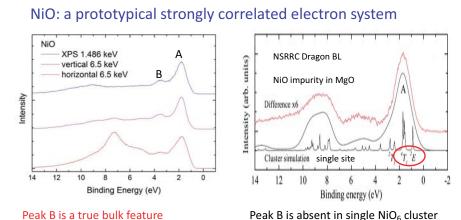
#### A serious issue on going to hard x-rays



Cross sections of 3d TM s-orbitals go down more slowly than d-orbitals which are the needed information on 3d TM strongly correlated electron systems. Hard x-ray PE spectra could be dominated by contribution from less desired s-orbitals How to cope with this problem?







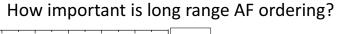
#### Implications:

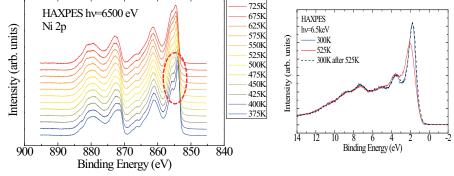
- 1. First ionization state is <sup>2</sup>E (compensated spin, (photo)hole in the mixed state made of  $e_g (d^7)$  and O  $2p_\sigma (d^8L)$  (ZR-doublet), instead of <sup>4</sup>T<sub>1</sub> (atomic-like Hund's rule high spin, d<sup>7</sup>, quasi-core) as previously suggested.
- 2. Peak B due to non-local (neighboring sites) effect.

## HAXPES Example 1: NiO at RT and high temp.

Interpretation of XPS valence spectra of NiO against argument of surface effect First ionization (photohole final) valence state identified as Ni<sup>2+</sup> low spin state Indication of non-local screening in valence band of bulk NiO compared to impurity NiO Peaks splitting due to non-local screening in valence and Ni 2p core level diminishes as temp. approaches T<sub>N</sub>=523 K

### NiO above Neel temperature at 523 K

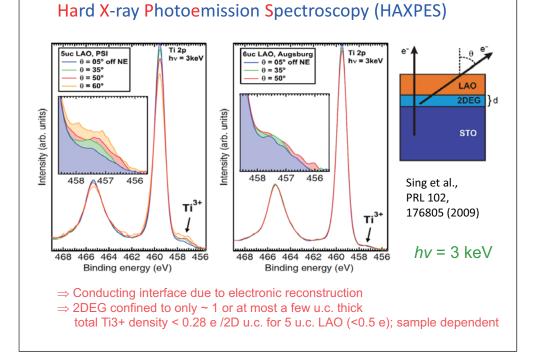


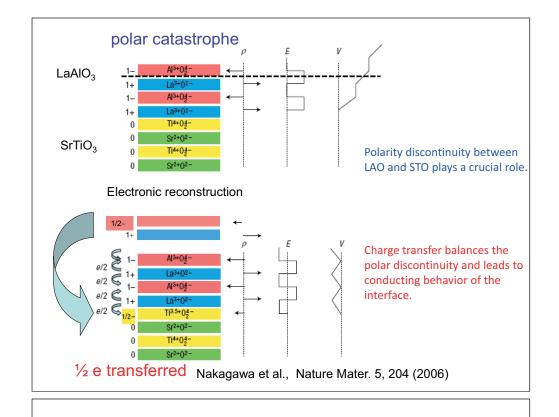


- Ni 2p<sub>3/2</sub> splitting due to non-local screening mechanism (Veenendaal and Sawartzky PRL1993)
- Splitting goes smaller with increasing temp.
- Valence band doublet structure also changes w/ temp. (Why need bulk sensitive HAXPES? Because O decomposes leaving surf. at high T)

## HAXPES Example 2: Interface of LAO/STO

Interface of two band insulators LaAlO<sub>3</sub> and SrTiO<sub>3</sub> becomes metallic-like. Evidence of charge transfer from LAO to STO is observed but the amount is less than prediction of simplest model

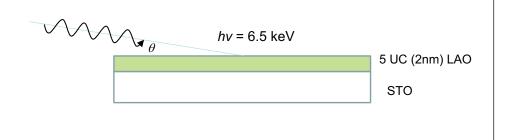


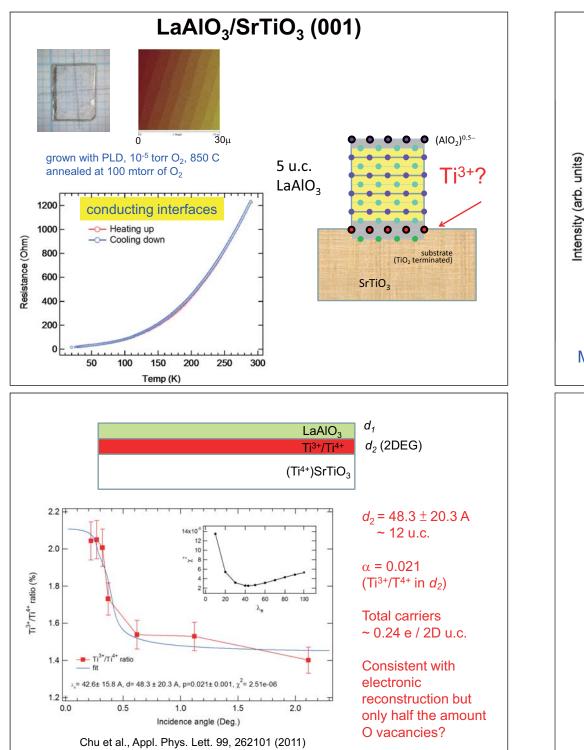


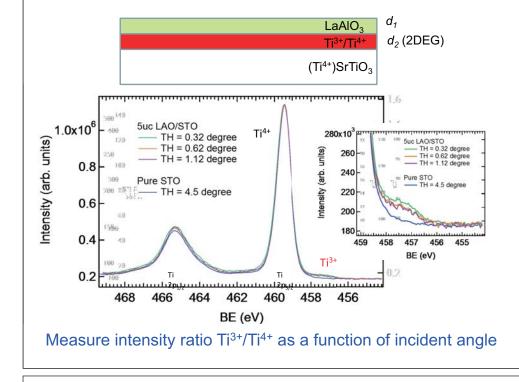
## Our approach:

\* grazing incidence near total external reflection to enhance photon field near the surface and interface region for better detection of Ti<sup>3+</sup> near the interface

#### \* higher photon energy (6.5 keV) to increase probing depth







# Challenging future directions of Photoemission Spectroscopy

- 1. ARPES at submicron to tens of nanometer scale, using Schwatzchild optics or zone plates. Need brighter light sources.
- 2. Time-resolved PES.

Pump-probe: dynamics. Need efficient detection and brighter sources. lasers or laser+SR.

## Thanks for your attention