## Synchrotron Radiation Photoemission or Photoelectron Spectroscopy

Lecturer: 皮敦文,國家同步輻射研究中心 Email: pi@nsrrc.org.tw Mobile: 0972 156 674

# **Historical Timeline**

- First spectrophotometer: 1850s
- First InfarRed: 1880s
- First crystallography: 1912
- First Nuclear Magnetic Resonance: 1938
- First Electron Paramagnetic Resonance: 1944
- First Photo Emission Spectroscopy: 1957
- During the mid 1960's Dr. Siegbahn developed the PES technique, who was awarded the 1981 Nobel Prize in Physics for the development of the PES technique

# Why a hundred years delayed?

- Development of electron kinetic energy analyzers
- Development of excitation sources
- Development of electron detectors
- Development of UHV technology



First Ionization Energies:

cesium ferrocene water 3.89 eV (319 nm) 7.90 eV (157 nm) 12.61 eV (98 nm)





# General Overview of Spectroscopy

- Spectroscopy uses interaction of electromagnetic radiation with matter to learn the physical properties about the matter.
- If electromagnetic radiation is in resonance with the energy spacing between different states (electronic, vibrational, rotational, etc) of matter, radiation will be absorbed, and transitions will occur.
- The radiation that is transmitted through the sample is measured, and spectrum can be reported as either transmittance or absorbance of radiation.
- However, photoelectron spectroscopy is entirely different!

## Photoelectron Spectroscopy vs. Other Spectroscopies

**Others Spectroscopies** 

- Photon must be in resonance with transition energy
- Measure absorbance or transmittance of photons

Photoelectron Spectroscopy

- Photon just needs enough energy to eject electron
- Measure kinetic energy of ejected electrons
- Monochromatic photon source

# Photoelectric Effect

Ionization occurs when matter interacts with light of sufficient energy (Heinrich Hertz, 1886) (Albert Einstein, Ann. Phys. Leipzig 1905, 17, 132-148.)



electron kinetic energy (KE) = hv - electron binding energy (BE)

## **Physical Basis**

- Photoelectron spectroscopy is based on a single photon in/electron out process, and the energy of a photon is given by the Einstein relation: *E=hv−*φ.
- Photoelectron spectroscopy uses monochromatic sources of radiation, where the photon is absorbed by an atom in a molecule or solid, leading to ionization and emission of a core (inner shell) or an valence (outer shell) electron.
- The kinetic energy distribution of the emitted photoelectrons (i.e. the number of emitted photoelectrons as a function of their kinetic energy) can be measured using any electron energy analyzer and a photoelectron spectrum can thus be recorded.

# Kai Seigbahn: Development of X-ray Photoelectron Spectroscopy

#### C. Nordling E. Sokolowski and K. Siegbahn, Phys. Rev. 1957, 105, 1676.



#### Precision Method for Obtaining Absolute Values of Atomic Binding Energies

CARL NORDLING, EVELYN SOKOLOWSKI, AND KAI SIEGBAHN Department of Physics, University of Uppsala, Uppsala, Sweden (Received January 10, 1957)

**W**<sup>E</sup> have recently developed a precision method of investigating atomic binding energies, which we believe will find application in a variety of problems in atomic and solid state physics. In principle, the method



COUNTS / 100 sec

FIG. 1. Lines resulting from photoelectrons expelled from Cu by Mo  $K\alpha_1$  and Mo  $K\alpha_2$  x-radiation. The satellites marked D.E.L. are interpreted as due to electrons which have suffered a discrete energy loss when scattered in the source.

Nobel Prize in Physics 1981

(His father, Manne Siegbahn, won the Nobel Prize in Physics in 1924 for the discovery and research of X-ray spectroscopy)

## Electron Spectroscopy for Chemical Analysis (ESCA)

S. Hagström, C. Nordling and K. Siegbahn, Phys. Lett. 1964, 9, 235.



Fig. 1. Photo electron spectrum from silicon carbide, SiC. K photo-electrons are expelled from silicon and carbon atoms by  $CrK\alpha_1$  X-radiation. From the *positions* of the lines a qualitative analysis of the elements can be made. A quantitative analysis is obtained from the *intensities* of the photo electron lines and gives a silicon-carbon ratio of 100:95.





### **Qualitative Element Analysis**





#### pigment of mummy artwork



# basic equation: $KE = hv - BE - \phi$

- KE: Kinetic Energy measured in the analyzer
- $h_{v}$ : photon energy from a source
- $\phi$ : spectrometer work function
- BE: Binding Energy, the unknown variable

## Energy Levels



## Binding energies

Ζ El  $2s_{1/2}$ 3p<sub>1/2</sub> 3d<sub>3/2</sub> 3d5/2  $2p_{1/2}$  $3s_{1/2}$ 3p<sub>1/2</sub>  $1s_{1/2}$ 2p<sub>3/2</sub> K L M<sub>1</sub>  $M_2$ M M₄  $M_5$  $L_2$ La н He Li Be в С Ν 9 F Ne Na Mg M Si Р S Cl Ar Κ Ca Sc Ti 2 v Cr Mn б Fe C٥ Ni Cu Zn Ga Mo Pd Ag \*566 \*464 \*403 \*24 \*22 Ta\* Au\* \*763 \*643 \*547 \*88 \*84

\* 4s, 4p et 4f levels indicated, respectively

Table 4.2. Binding energies of some elements

## Photoemission

hγ



## Energetic photons on the Surface



## The Sudden Approximation

Assumes the remaining orbitals (often called the passive orbitals) are the same in the final state as they were in the initial state (also called the *frozen-orbital approximation*). Under this assumption, the photoelectron spectroscopy measures the negative Hartree-Fock orbital energy:

Koopman's Binding Energy

$$\mathsf{E}_{\mathsf{B},\mathsf{K}}\cong-\epsilon_{\mathsf{B},\mathsf{K}}$$

Actual binding energy will represent the readjustment of the N-1 charges to minimize energy, a relaxation process:

$$\mathsf{E}_{\mathsf{B}} = \mathsf{E}_{\mathsf{f}}^{\mathsf{N}-1} - \mathsf{E}_{\mathsf{i}}^{\mathsf{N}}$$

### Fermi Level Referencing

Free electrons (those giving rise to conductivity) find an equal potential which is constant throughout the material.



# Fermi Level Referencing



### **Spin-orbit Coupling**



Pd:  $(3d)^{10} + hv \rightarrow (3d)^9 + e$ L =2, S =  $\frac{1}{2}$ , J = L+S,..., L-S =  $\frac{5}{2}$ ,  $\frac{3}{2}$ <sup>2</sup>D <sub>5/2</sub> g<sub>J</sub> =  $2x\{\frac{5}{2}\}+1 = 6$ <sup>2</sup>D <sub>3/2</sub> g<sub>J</sub> =  $2x\{\frac{3}{2}\}+1 = 4$ 

-p,d and f orbitals splitted into two peaks in XPS spectra -BE (J=L-S) >BE(J=L+S) -Splitting↑ as Z ↑, n ↑

### Electronic Effects: Spin-Orbit Coupling s orbital



Orbital=s l=0 s=+/-1/2 ls=1/2

### Electronic Effects: Spin-Orbit Coupling p orbital



### Electronic Effects: Spin-Orbit Coupling d orbital



### Electronic Effects: Spin-Orbit Coupling f orbital



Orbital=f l=3 s=+/-1/2 ls=5/2,7/2

### **Example of Chemical Shift**



- The chemical shift: ~4.6 eV
- Metals: an asymmetric line shape (Doniach-Sunjic)
- Insulating oxides: more symmetric peak

### Chemical Shifts- Electronegativity Effects

Functional Group		Binding Energy (eV)
hydrocarbon	<u>С</u> -Н, <u>С</u> -С	285.0
amine	<u>C</u> -N	286.0
alcohol, ether	<u>С</u> -О-Н, <u>С</u> -О-С	286.5
CI bound to C	<u>C</u> -Cl	286.5
F bound to C	<u>C</u> -F	287.8
carbonyl	<u>C</u> =O	288.0

### Chemical Shifts: Sensitivity to Atomic Valence

In metals, the spectrum of a given core level is often affected by the metals' valency



Example:

Valence effects in Cu compounds

- for higher valency, main peak shifts to higher binding energy
- occurence of additional "satellite" peaks on high binding energy side ("shake-up satellites")

## Final State Effects: Multiplet Splitting

Following photoelectron emission, the remaining unpaired electron may couple with other unpaired electrons in the atom, resulting in an ion with several possible final state configurations with as many different energies. This produces a line which is split asymmetrically into several components



Figure 10. Multiplet splitting of the Mn 3s.

## Electron Scattering Effects: Plasmon Loss Peak in metal



## Electron Scattering Effects: Plasmon Loss Peak in insulator

Insulating Material



## **Light Source**

#### x-Ray Tube + Monochom. by Bragg-Reflection or Grating

- Al-K  $\alpha_{1,2}$  1486 ± 0.9 eV Transition  $2p_{3(1)/2} \rightarrow 1s$
- Zr-M  $\xi$  151.4 ± 0.8 eV Transition  $4p_{3/2} \rightarrow 3d_{5/2}$

#### **Beam Lines, Synchrotron-Radiation**

• Wide spectral Range of 10 ...  $10^5 \text{ eV} \pm < 1\%$ 

#### Noblegas Discharge Lamp

- He I 21.2 eV ± 0.01eV He  $({}^{1}P_{1}) \rightarrow He({}^{1}S_{0}) + \hbar \omega(21, 2 \text{ eV})$
- He II 40.8 eV ± 0.01 eV

#### HHG from a Ti:Sapphire-fs-Laser

21st Order 32.55 eV ± 0.1eV

### 高亮度的第三代同步輻射光源



Peak Brilliance [Phot./(sec · mrad<sup>2</sup> · mm<sup>2</sup> · 0.1% bandw.)]

Year



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# Storage Ring


## Bending magnet radiation





#### Spectrum emitted by SR



## **Insertion devices - undulator**

 3rd generation undulator is much more than "*hundreds of thousands*" times brighter than a conventional source







Bending beam lines in operation
 ID beam lines in operation

Under construction

 Planned beam lines

(A1,....) End-station

# 同步輻射研究中心加速器配置圖





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# Photoelectron analyzer



#### **Detector**

- Electron multiplier
   Channeltron
   -single channle detection
   Multichannel plate
  - multichannel detection
  - 2D-imaging

Typical gain : 10<sup>3</sup>~10<sup>6</sup> bias voltage: 1-5kV



Metal

anode

Electrons

output

Output pulse

# **Photoelectron Spectroscopy**

hv= 90  $\sim$  1500 eV







### end station







"Universal curve" of electron inelastic mean free path  $\lambda$  (IMFP) versus KE

IMFP is average distance between inelastic collisions (Å)

Minimum  $\lambda$  = a few Å at 40 ~ 100 eV, maximum surface sensitivity NPSL, MSE, K-JIST



Information depth =  $d\cos\theta$ 

- $d = Escape depth \sim 3\lambda$
- $\theta$  = Emission angle relative to surface normal
- $\lambda$  = Inelastic Mean Free Path

### Surface Core Level Shift



Surface core level shifts (SCLS) are often observed for the transition metals. When the surface is created, the *d*-band is narrowed due to the smaller number of nearest neighbors. Consider the case of more than half filling. A band narrowing would also move the whole band over the Fermi level. This would mean that the surface is charged: it is at a chemical potential different from the bulk. In order to avoid this energy-expensive situation, an electrostatic potential is needed which shifts the whole band up to lower energies. This electrostatic potential does also shift the core level. Less than half full More than half full











#### Ba on clean W(110)



### Layerwise growth

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#### surface core-level shift





### substitutional alloy, Li on Al(001)





#### supported clusters



BE increases monotonically with decreasing sizes, a positive shift.

# Si(001)-2x1



### reconstruction of the Si(001)-2x1 Surface





### Si 2p cores







### analysis







- mean-free-path constrained.
- Support the final-state description, opposite to the case of Si(111)7x7

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### atomic adsorption















MgB<sub>2</sub> on Si(001)-2x1



### Organic Light Emitted Diode (OLED)

## Road Maze



Mg on ML-Alq<sub>3</sub> on Si(001)









+

## **Basic Organic Light Emitting Diode**

Low-Work function Cathode

Electron-Transporting & Emitting layer (ETL)

Hole-Transporting Layer (HTL)

Transparent Conducting Anode [indium tin oxide (ITO)]

**Glass or Plastic Substrate** 

light, light, light



#### Historical tracks of photoemission study on OLED

- The pioneered work (1987):
   C. W. Tang and S. A. VanSlyke, APL 51, 913 (1987).
- Energy alignments (1997):
   H. Ishii and K. Seki, IEEE Trans. El. Devices 44, 1295 (1997).
- Theoretical works (1998):
   A. Curioni *et al.* APL 72, 1575 (1998) [DFT cal.];
   K. Sugiyama *et al.* JAP 83, 4928 (1998) [PM3 MO cal.]
- Mg on Alq<sub>3</sub> (2001, in-house line sources):
   C. Shen, A. Kahn, and J. Schwartz, JAP 89, 449 (2001);
   M. G. Mason *et al.* JAP 89, 2756 (2001).
- First SR work (2001, K on Alq<sub>3</sub>):
   T. Schwieger *et al.* PRB **63**, 165104 (2001).



### Tris(8-hydroxyquinolato) aluminum (Alq<sub>3</sub>)



### Electronic structure of Alq<sub>3</sub>, exp

#### valence band spectra



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#### core level spectra

C-C

284



C 1s 330 eV

 $\pi \rightarrow \pi^*$ 

292

Binding Energy (eV)

288

300

296





C-C: 285.05 eV (1) C-H: 285.90 eV (5) C-X: 286.77 eV (3)

### Electronic structure of Alq<sub>3</sub>, thy



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- The low BE peaks correspond to 2p  $\sigma$  and  $\pi$  orbitials of 8-quinolinol, with no Al<sup>3+</sup> cation contribution.
  - The HOMO is localized at the phenoxide side, while the LUMO at the pyridyl ring.



Isodensity surface of LUMO



Isodensity surface of HOMO



## Organic on Inorganic Surface: Alq<sub>3</sub> on Si(001)-2x1





### $Alq_3$ on Si(001)-2x1, VB


#### change of the work function



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- A –1.31 eV moderate drop, leading to the WF of the Alq<sub>3</sub>/Si system 3.29 eV.
- Conventionally, the negative drop indicates that the overlayer donates charge to the supported substrate, as in the case of the alkalis and alkalines adsorption.
- But,... (see the next slide.)

The interfaced cores

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WHAT HAPPENED: A polarization of surface charge is established between the pyridyl ring of  $Alq_3$  and the dangling bond of the Si(001) surface via an overlapped wave function.

# Mg on ML Alq<sub>3</sub> on Si(001)-2x1



surface reaction (Mg on ML-Alq<sub>3</sub>)

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PRB70, 235346 (05)



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#### transferred N 1s cores

Alq<sub>3</sub> on Si



# Mg on Alq<sub>3</sub>



#### valence band spectra



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 The HOMO shifts towards high Eb monotonically, and stops at 3.9 eV, while the LUMO remains fixed at 1.8 eV.

Mg on  $Alq_3$ 

- (HOMO-LUMO) < 2.7 eV
- Organomagnesium species dominate the spectra.

Valence band spectra are the
same for the surface and the
bulk samples.

#### core-level spectra

#### Mg on Alq<sub>3</sub>



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- The transferred components in both N and O 1s cores are Mg-dependent.
- The transferred O 1s component appears at +1.09 eV.







#### Mg 2p core-level spectra

Mg on Alq<sub>3</sub> hv = 110 eVMg 2p t (min), Δφ (eV) 75, -0.96 60, -1.02 50, -1.17 40. -1.45 30, -1.32 20, -0.98 54 53 50 48 52 51 49 Binding Energy (eV)

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A high Eb component shifts towards lower binding energy with increasing Mg exposure.

Mg on Alq<sub>3</sub>

 A metallic component appears after a given Mg thickness.

### The proposed model

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Mg on Alq<sub>3</sub>



# Mg clustering in as well as on top of $Alq_3 \&$ charge flowing from O to N

# Nano-Mg on Alq<sub>3</sub>?

Mg on Alq<sub>3</sub>



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It's possible due to

- Metallic Mg shows up at sub-ML coverage.
- Metallic Mg shows crystallization.
- Metallic Mg is angleindependent.



- Mg actually forms clusters in and on top of  $Alq_3$ .
- With the presence of Mg, Alq<sub>3</sub> not only accepts charge from the dopant, but also renders a charge redistribution of the molecule itself.



### valence band spectra



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JAP 99, 123708 (2006)

- The HOMO shifts towards high Eb monotonically, and stops at 3.9 eV, while the LUMO remains fixed at 1.8 eV.
- (HOMO-LUMO) < 2.7 eV
- Organometallic species dominate the spectra.
- Not much differences between Mg/Alq<sub>3</sub> and Ca/Alq<sub>3</sub>.



### core-level spectra



Although being as a member of the alkaline earth metals, Ca and Mg behave dissimilarly upon making contact with the  $Alq_3$  organic layer.

For Ca on Alq<sub>3</sub>, two phases of reaction are identified.

#### Ca 2p & Al 2p cores

Ca on Alq<sub>3</sub>





#### Phase I:

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- Charge states of both AI and Ca remain unchanged.
- Ca forms clusters at Alq<sub>3</sub>.

#### Phase II:

 Appearance of Ca<sup>2+</sup> indicates that the alkaline atoms donate charges to their about.

- Two phases of reaction are identified.
- The first phase behaves similarly as the case of Mg on Alq<sub>3</sub>, Mg clustering and Alq<sub>3</sub> intact.
- The second phase renders Ca charge donation, causing molecule defragmentation.



#### valence band spectra



• Ag retains the Alq<sub>3</sub> features.

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- The Ag band is narrowed, and its centroid shifts towards high Eb.
- The Ag-, Alq<sub>3</sub>-, and Mg:Ag-related features coexists.
- Mg metal grows as a metal on top of the Mg:Ag basin.

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#### Ag 4d orbitals and Fermi emission

Mg:Ag on Alq<sub>3</sub>



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# O 1s, N 1s, C 1s, and Ag 4d



- C: remain unaffected.
- N: negative core-level shift O: positive core-level shift
- The strength of the new components are Mg-dependent.



(a) 0.08;(b) 0.25;(c) 0.5;(d) 0.75;(e) 1;(f) 1.5;(g) 2.5;(h) t = 4.0;(i) 5.5;(j) 8.0;(k) 12

- N: remain unaffected.
- O: negative core-level shift



0.6 Area

0.4

0.2

1:2 ratio

2 3 Thickness (angstrom)

Energy :

1.5

0

# a fit



(d) O: Oxygen gains excess charge.



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### Mg 2p

Mg:Ag on Alq<sub>3</sub>



- Mg/Alq<sub>3</sub>: Z and S+B; Mg:Ag/Alq<sub>3</sub>: Z', C, and S+B
- Delayed onset of the metallic S+B components

### proposed model



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Mg clustering in and on top of  $Alq_3 \&$  charge flowing from O to N

Mg is mixed with Ag & grouped at the phenoxide ring

⊗ Mg MgAg

Mg:Ag on Alq<sub>3</sub>

# Summary

For Mg on  $Alq_3$ :

- Mg actually forms clusters in and on top of  $Alq_3$ .
- With the presence of Mg, Alq<sub>3</sub> not only accepts charge from the dopant, but also renders a charge redistribution of the molecule itself.

### For Mg:Ag on Alq<sub>3</sub>:

- Ag blocks effectively Mg from in-diffusion.
- Mg favors to mix with Ag to become Mg<sub>x</sub>Ag<sub>y</sub> complex.
- Mg grows fast as a metal on top of the Mg<sub>x</sub>Ag<sub>y</sub> basin.