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Introduction to photoelectron spectroscopy in atoms, molecules and solids

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https://sites.google.com/uniroma1.it/nano-surface-physics/home

*warmly thanking Gianni Stefani; and remembering Massimo Sancrotti

outline

- Ultra-short Historical Background
- Electron Energy Level Scheme and Energy Conservation
- Basic Theory of Photoemission
- Photoelectric Effect in Atoms and Molecules
- Core Level Photoemission
- Core Level Chemical Shift and Line Shape Analysis
- Multiplet Structure and Many Body Effects
- Photoelectron Angular Distribution
- Photoemission in Solids
- Three-Step Model
- Primary and Secondary Photoelectrons
- Photoionization Cross Sections
- Atomic Sensitivity Factors and Semi-Quantitative Analysis
- Valence Band Photoemission
- Angular Resolved Photo Electron Spectroscopy (ARPES) and Band Structures

Photoemission Spectroscopy: basic principles

Annalen der Physik 17, 132 (1905):*

6. Über einen die Erzeugung und Verwandlung des Lichtes betreffenden heuristischen Gesichtspunkt; von A. Einstein.

...Außerdem wird anzunehmen sein, daß jedes Elektron beim Verlassen des Körpers eine (für den Körper charakteristische) Arbeit P zu leisten hat, wenn es den Körper verläßt. Mit der größten Normalgeschwindigkeit werden die unmittelbar an der Oberfläche normal zu dieser erregten Elektronen den Körper verlassen. Die kinetische Energie solcher Elektronen ist

$$\frac{R}{N}\beta\,\nu-P.$$

Ist der Körper zum positiven Potential Π geladen und von Leitern vom Potential Null umgeben und ist Π eben imstande, einen Elektrizitätsverlust des Körpers zu verhindern, so mu β sein:

$$\Pi \varepsilon = \frac{R}{N} \beta v - P,$$

wobei $\boldsymbol{\varepsilon}$ die elektrische Masse des Elektrons bedeutet...

... in today's formalism...
$$E_e = hv - \Phi$$

* http://myweb.rz.uni-augsburg.de/~eckern/adp/history/Einstein-in-AdP.htm

Photoemission Spectroscopy: basic principles



$$E_e^{max} = hv - I$$
 for atoms and molecules
 $E_e^{max} = hv - \Phi$ for solids

Photoemission Spectroscopy: sketch of an experimental set-up



photon energy of typical conventional sources, hv:

He Iα=21.218 eV He IIα=40.418 eV Mg Kα=1253.6 eV Al Kα=1486.6 eV

sample surface

hv

electron detector \rightarrow amplifier \rightarrow counter

ultra-high-vacuum (UHV) ambient UV photoelectron spectroscopy (UPS) X-Ray Photoemission Spectroscopy (XPS) or Electron Spectroscopy for Chemical Analysis (ESCA)

> Single Particle Scheme of Energy Levels Photoelectric Effect in Solids



Photons Electrons IN OUT



Figure 1.4 Illustrating the fact that the density of electronic states distribution of the emitter, part (a), is reflected in the photoemission spectral fine structure, part (b)

Photoemission Spectroscopy



- E_{kin} = Final State Kinetic Energy
- Φ = Work Function
- E_b^F(k) = Binding Energy _{co} of the k-th Initial State



Figure 1.4 Illustrating the fact that the density of electronic states distribution of the emitter, part (a), is reflected in the photoemission spectral fine structure, part (b)

Photoemission Spectroscopy Basic Theory



the photoabsorpion process

photoemission: $|f\rangle = |N_v * \rangle |N_c - 1\rangle |E_k, k\rangle$

Photoemission Spectroscopy Basic Theory *

- · One-particle approach
- Electromagnetic Field-Matter Interaction

the photo-excitation cross-section (from the Fermi golden rule):

$$\sigma = 4\pi^2 \alpha h \nu \sum_{B} \left| \hat{\varepsilon} \bullet \left\langle \Psi_{B} \right| \sum_{i} \vec{r}_{i} \left| \Psi_{A} \right\rangle \right|^{2} \delta(E_{B} - E_{A} - h \nu)$$

- ε: e.m. field polarisation vector
- Ψ_{A} : neutral ground state
- $\Psi_{\rm B}$: residual ion + free electron

* see detailed description in F. Boscherini's lectures, this school;

and in Mariani & Stefani, pag. 275-317 in *Synchrotron Radiation: Basics, Methods and Applications*, Eds. Mobilio, Boscherini, Meneghini, Springer 2015; https://doi.org/10.1007/978-3-642-55315-8

by considering N interacting electrons...

$$H_0 \left| \Psi_A^{(N)} \right\rangle = E_A^{(N)} \left| \Psi_A^{(N)} \right\rangle$$

$$H_{0} = H_{0}(kin) + H_{0}(e-n) + H_{0}(e-e) + H_{0}(s-o) =$$
$$= \sum_{i=1}^{N} \frac{p_{i}^{2}}{2m} + \sum_{i=1}^{N} -\frac{Ze^{2}}{r_{i}} + \sum_{i>j=1}^{N} \frac{e^{2}}{r_{ij}} + \sum_{i=1}^{N} \zeta(r_{j})\vec{\ell}_{i} \bullet \vec{s}_{i}$$

initial state Hamiltonian

$$\left|\Psi_{A}^{(N)}\right\rangle = \hat{A}(\phi_{j}(\vec{r}_{j},\sigma_{j});\Psi_{R}^{(N-1)})$$

eigenfunctions described through a Slater determinant

final N-1 particles state

$$H_{0}^{'} |\Psi_{B}^{(N)}\rangle = E_{B}^{(N)} |\Psi_{B}^{(N)}\rangle$$
$$|\Psi_{B}^{(N)}\rangle = \hat{A}(\varepsilon_{l}; |\Psi_{B}^{(N-1)}\rangle)$$

$$\frac{d\sigma}{d\Omega dE_e} \propto \sum_{B} \frac{\left| \hat{\varepsilon} \bullet \left\langle \varepsilon_l \right| \vec{r}_j \left| \phi_j(\vec{r}_j, \sigma_j) \right\rangle \left\langle \Psi_B^{(N-1)} \right| \Psi_R^{(N-1)} \right\rangle \right|}{\delta(E_e + E_B^{(N-1)} - E_A^N - h\nu)}$$

• by considering N interacting electrons...

sudden approximation

$$\begin{split} \left| \Psi_{B}^{(N)} \right\rangle &= \hat{A}(\mathcal{E}_{l}; \left| \Psi_{B}^{(N-1)} \right\rangle) \\ \frac{d\sigma}{d\Omega \ dE_{e}} &\propto \frac{1}{hv} \sum_{A,B} \left| \hat{\epsilon} \cdot \left\langle \varepsilon_{l} \right| \vec{r}_{j} \left| \phi_{j}(\vec{r}_{j}, \sigma_{j}) \right\rangle \left\langle \Psi_{B}^{(N-1)} \left| \Psi_{R}^{(N-1)} \right\rangle \right|^{2} \delta\left(E_{e} + E_{B}^{(N-1)} - E_{A} - hv \right) \end{split}$$

frozen-core approximation

$$\begin{aligned} H'_{0} &= H_{0} \\ \frac{d\sigma}{d\Omega \ dE_{e}} \propto \frac{1}{hv} \sum_{AB} \left| \hat{\varepsilon} \cdot \left\langle \varepsilon_{I} \right| \vec{r}_{j} \left| \phi_{J}(\vec{r}_{j}, \sigma_{J}) \right\rangle \right|^{2} \delta \left(E_{e} + \varepsilon_{J} - hv \right) \end{aligned}$$

11.4

A.B



$$h\nu + He(1s^2) \rightarrow He^+(1s^1) + \mathcal{E}_{\ell=1}$$

BUT, the independent particle model is not sufficient and ...

• the example of a He atom



where

- n=1 is the single-particle excitation from the 1s core-level;
- n=2,3,... are satellite structures in a many-body approach

Becker et alii, J. Electron Spectr. and Rel. Phenomena 75, 23-34 (1995)

Satellite peaks

PRIMARY PHOTOIONIZATION PROCESSES



Becker et alii, J. Electron Spectr. and Rel. Phenomena 75, 23-34 (1995)

Photon = single particle operator
2 or more particles involved in final state = e-e correlation
Relaxation & e-e correlation in photoemission = satellite



Koopmans energy vs. photoemission peaks



Photoemission Spectroscopy ~ of molecules

multiplet splitting in O_2

O₂ neutral ground state: $KK(\sigma_g 2s)^2(\sigma_u 2s)^2(\sigma_g 2p)^2(\pi_u 2p)^4(\pi_g 2p)^{23}\Sigma_g$



Larsson et alii, J. Phys. B: At. Mol. Opt. Phys. 23, 1175 (1990)

Photoemission Spectroscopy ~ of molecules



Photoemission Spectroscopy ~ of molecules



Van der Laan et alii, Phys. Rev. B 23, 4369 (1981)

Photoemission Spectroscopy: Core Levels Spin-Orbit Splitting



Photoemission Spectroscopy ~ core-level spin-orbit splitting

Cutler et alii, J. Am. Chem. Soc., Vol. 113, No. 24, 1991 9129



Binding Energies available at: https://www.webelements.com/xenon/atoms.html



Photoemission Spectroscopy: Chemical Shift (ΔE_b)

How the C 1s binding energy reflects differing chemical environment local to the excited C sites



Photoemission Spectroscopy



in the solid state initial phases of oxidation of a Si surface

chemical shift,

FIG. 3. Si $2p_{3/2}$ core level spectra for 5 and 11-Å-thick oxides decomposed into five components. The black crosses represent the experimental spectra and the solid lines indicate the theoretical functions and the different components.

Himpsel et alii, Phys. Rev. B 38, 6084 (1988)



example: calculated electron densities for C

Kai Siegbahn, ESCA applied to free molecules, North-Holland (1969)

Photoemission Spectroscopy

core-level vibrational modes

290.3 eV BE



Neeb et alii, J. El. Spectr. Rel. Phenom. 88-91, 19 (1998)

The photo-electron as primary electrons exciting vibrational modes also in the valence band of a molecular solid



pentacene: C₂₂H₁₄









Betti, et alii, J. Phys. Chem. A 111, 12454 (2007)

Photoelectron angular distribution



 $\frac{d\sigma}{d\Omega} \propto \sum_{B} \left| \hat{\varepsilon} \bullet \left\langle \varepsilon_{l} \middle| \vec{r}_{j} \middle| \phi_{j}(\vec{r}_{j}, \sigma_{j}) \right\rangle \left\langle \Psi_{B}^{(N-1)} \middle| \Psi_{R}^{(N-1)} \right\rangle \right|^{2}$

Photoelectron angular distribution



$$\frac{d\sigma}{d\Omega} \propto \frac{\sigma}{4\Pi} \left[1 + \beta P_2 \cos(\theta) \right]$$

- dipolar distribution with asymmetry parameter β
- photoelectrons symmetrically distributed about the polarization direction
- at magic angle (54.74°), intensity independent from β values

Core-hole relaxation



Photoemission in Solids

from central to periodic potential



spectral function of interacting electrons in solids

$$J_{e} \propto \sum_{if} \left| M_{if}^{2} \right| \sum_{m} \left| m_{im} \right|^{2} \times \delta \left(E_{i}^{N} + h\upsilon - E_{m}^{N-1} - E_{kin} \right)$$

M_{if}, matrix element between single-particle Bloch states m_{im}, overlap integral between states with N-1 electrons, i=m for un-correlated systems

$$A(k, \varepsilon) = \sum_{m} \left(\left| \langle \Psi^{N-1}_{m} \right| c_{k} | \Psi^{N}_{i} \rangle \right) \right|^{2} \times \delta(\varepsilon + E^{N-1}_{m} - E^{N}_{i})$$

$E_k = E_i^{N-1} - E_i^N$

$$A(\varepsilon,k) = \frac{1}{\pi} \frac{\left|\sum^{"}(k,\varepsilon)\right|}{\left|\varepsilon - E_{k} - \sum^{'}(k,\varepsilon)\right|^{2} + \left|\sum^{"}(k,\varepsilon)\right|^{2}}$$

solids: from the 1-step to the 3-step model



Photoemission Spectroscopy Three-Step Model of Photoemission in Solids

- Photon Absorption
 - Optical Absorption Machinery
 Selection Rules
 - Electron Propagation within the Solid •Inelastic Mean Free Path $[\lambda(E_{kin})]$
 - Electron Escape form the Solid
 Refractive Effects at the Surface
 k-parallel vs. k-normal

Photoemission Spectroscopy Basic Theory

the photoelectron current J

 $J = f(h\nu, \epsilon, \theta, \Phi; E_e, \sigma, \theta_e, \Phi_e)$

where $h\nu$, ϵ , θ , and Φ are energy, polarization direction and angles defining the incident photon, while E_e , σ , θ_e and Φ_e are energy, spin polarization, polar and azimuthal angle of the emitted electron.



Figure 1: Schematic diagram of the photocurrent J and of all the variables.
Photoemission Spectroscopy Basic Theory

$$I(E, h\nu) = I_p(E, h\nu) + I_s(E, h\nu)$$

Ip = physical signal, Is = secondary scattered electrons

the three-step model

$$I_p(E, h\nu) = J(E, h\nu) \ge T (E_f, h\nu) \ge D(E_f)$$

J = optical transition photoelectron current T = transmission function, propagation through the solid D = escape function to the vacuum

Photoemission Spectroscopy Basic Theory

$$T(Ef) = \frac{\lambda_e(E_f)/\lambda_{ph}(h\nu)}{1 + \lambda_e(E_f)/\lambda_{ph}(h\nu)}$$

T = transmission function, propagation through the solid

$$D(E_f) = 1/2 \left[1 - (\frac{E_F + \Phi}{E_f})^{1/2} \right]$$

D = escape function to the vacuum

Photoemission Spectroscopy



electron mean free path

Seah and Dench, Surf. and Interface Analysis 1, 2 (1979)

Photoemission Spectroscopy

electron mean free path



* see high-energy photoelectron spectroscopy in Torelli's lectures, this school

Seah and Dench, Surf. and Interface Analysis 1, 2 (1979)

Photoemission Spectroscopy Basic Theory

J = optical transition photoelectron current

$$J_{e} \propto \sum_{\text{if}} f(\text{E}_{i}) [1 - f(\text{E}_{f})] \operatorname{Mif}^{2} T(Ef, k_{ext}) d(E_{f}, k) \delta[E_{kin} - (E_{f} - \Phi)]$$
$$\times \delta(E_{f} - E_{i} - h\upsilon) \times \delta(k_{i} + G - k_{f}) \times \delta(k_{i}^{\prime\prime\prime} + G^{\prime\prime\prime} - k_{f}^{\prime\prime\prime})$$

Photoemission Spectroscopy

How real spectra look like: Primary and Secondary Electrons



Photoemission - Core Level Spectroscopy



Wide XPS spectrum of graphite (C)



Core-hole relaxation



Photoemission Spectroscopy

Core level XPS spectrum of graphite (C)



The singlet C 1s line is characterized by:

1) A specific binding energy which reflects the specific atomic species (C) in a specific chemical environment

2) A finite width reflecting the instrumental resolution, lifetime broadening and other many-body effects

Photoemission Spectroscopy



electron mean free path

Seah and Dench, Surf. and Interface Analysis 1, 2 (1979)

Photoemission Spectroscopy: Surface Core Level Shifts



The surface sensitivity is achieved by exploiting IMPF vs. hv



GaAs (110) ideal / reconstructed surface



spatially-resolved core-level photoemission C 1s at nano-porous graphene (NPG)



I. Di Bernardo et alii, ACS Omega 2, 3691 (2017)

Photoemission Spectroscopy Semi-Quantitative Analysis

Once the photon flux ϕ is given, the photoelectron current I_i of the (*nl*) orbital of the *i*-th atomic species is approximately given by

$$I_{i}(n) \neq C_{i}\lambda(E_{k})\phi(\hbar\omega)\sigma_{n}(\hbar\omega)T(E_{k})$$

Where

- C_i Atomic Concentration of the *i*-th species
- λ Escape Depth
- σ_{nl} Orbital Cross Section
- **7** Instrumental Efficiency

Photoemission Spectroscopy Semi-Quantitative Analysis

Once the efficiency of detection of an atomic species is calibrated via the sensitivity factors one gets

$$C_{i} = \frac{\frac{I_{i}}{S_{i}}}{\sum_{i} \frac{I_{i}}{S_{i}}}$$

Where

- C_i Atomic Concentration of the *i*-th species
- s_i Orbital Sensitivity Factor of the *i*-th species
- I_i Spectral Intensity Related to the *i*-th species

Photoemission Spectroscopy: Valence Band States

Any valence band spectrum brings altogether contributions related to differing atomic sites and orbital symmetry.

Thereby, one has to properly design *ad hoc* experiments aiming at disentangling the various spectral components.

Cooper Minimum Photoemission and Resonant Photoemission are two examples of such ad hoc experiments.



Photoemission Spectroscopy: Valence Band (VB) Energy Distribution Curve (EDC)

In the X-ray regime the VB spectra are expected to mimic the Density of States (DOS)

Fig. 14. XPS valence spectrum for a silicon single crystal cleaved in vacuum (points), together with a calculated total density of states (bottom curve), and a density of states broadened by the instrumental resolution function. Excitation was with monochromatized AIK α . The spectrum has been corrected for inelastic scattering. The energy locations of state density primarily due to various high-symmetry points in the reduced Brillouin zone are also indicated. (From Ley *et al.*, ref. 192,)



Photoemission Spectroscopy

Calculated Phoionization Cross Sections for Free Atoms vs.Photon Energy

Yeh and Lindau, Atomic Data and Nuclear Data Tables Volume 32, 1-155 (1985)

cross section of all elements available at: https://vuo.elettra.eu/services/elements/WebElements.html

Cooper Minimum Photoemission

It is possible when one of the valence band orbital shows a Cooper minimum in the photoionization cross section



. Photoionization cross section for 4d and 5d subshells in the energy range 0-200 eV compared to the cross sections for the 3ps and 4sp valence states of the semiconductors [21].

Cooper Minimum Photoemission

A joint analysis of VB photoemission spectra taken at and off the Cooper minimum enables one to disentangle the differing site- and orbital-specific contributions



. Analysis of the Si sp partial DOS at the Pt-Si(111) reacted interface (40 Å Pt-Si(111) at room temperature). The top panel displays the CM and the $h\nu = 80$ eV photoemission data, and a three-peak partial DOS that accounts for the Si hybridized 3sp charge at the interface; a gap is present in correspondence to the localized Pt5d states. The same three-peak partial DOS is then self-convoluted and compared to the integrated SiL_{2.3}VV lineshape. The correspondence of all peaks and relative intensities (a part of the known reduction of the Si 3s contribution) confirms the CM derivation of the Si sp partial DOS [159].

Cooper Minimum Photoemission



- clean pristine Pt(997) surface (thin line)
- Co nanowires grown on Pt (dots)

Dallmeyer et alii, Phys. Rev. B 61, R5133 (2000)



(1) Excitation of a VB hole (2) Threshold excitation (3) Recombination Process of a core hole

The processes (1) & (3) bring the system from the same initial state to the same final state (one hole in VB and one emitted electron) and thus they quantum mechanically interfere giving rose to the Fano Line Shape



FIG. 4. Representative spectra of the valence-band emission of Pd₂Si for photon energy near the $4p \rightarrow 4d$ resonance. The spectra were normalized for monochromator output (Ref. 29) and are given in relative units. The modulation of the relative intensity of the experimental features reflects the suppression of the 4d character at antiresonance, where the Si-derived states are more visible $(h\nu \sim 50 \text{ eV})$, and the following reenhancement at resonance (see Fig. 3). Resonant photoemission represents an important tool for analyzing the different orbital contributions to the valence states and, unlike the Cooper minimum technique, can in principle be applied to all d systems. Resonant Photoemission Valence band photoemission spectra are taken at selected photon energies while crossing a core level threshold Example: Pd 4p --> Pd 4d



Resonant Photoemission

Valence band photoemission spectra are taken at selected photon energies while crossing a core level threshold Example: metal-phthalocyanine



angular resolved photoemission



How to photo-excite electrons from a crystal in a periodic potential, by photoemission







angular resolved photoemission



Figure 1: Schematic diagram of the photocurrent J and of all the variables.

electronic surface states at Cu(111)



quasi-free electron surface state on Cu(111), Schockley state, *s-like*

[111]

E_{Fermi}

0°

Θ

21.4

kinetic energy (eV) 20.02 kinetic energy (eV)

20.2

8°

S.D. Kevan, Phys. Rev. Lett. 50,526 (1983).

dangling-bond surface state at Si(111)-(2x1)



Dangling-bond surface state dispersion at the Si(111)-(2x1) reconstructed surface along the Γ J direction of the Surface Brillouin Zone (SBZ). One of the first experimental ARPES dangling-bond dispersion (left panel); recent high-resolution ARPES dangling-bond dispersion.

Uhrberg et alii, Phys. Rev. Lett. 48, 1032 (1982); Bussetti et alii, Phys. Rev. Lett. 106, 067601 (2011)

pentacene ordered layer on Cu(119)



2-nm thick pentacene film grown on Cu(119). ARPES selection of spectra taken at normal emission and varying the photon energy (left); highest-occupied molecular-orbital (HOMO) band dispersion along k_{\perp}

angular resolved photoemission: graphite



ZONE BOUNDARY CROSSING



Graphene on metal surfaces: interaction strength



angular resolved photoemission: graphene how to build-up a 1D electronic band



Ohta et alii, Phys. Rev. Lett. 98, 206802 (2007)

transition metal dichalcogenides



bulk MoS₂a

mono-layer MoS₂a

Zhang et alii, Nano Lett. 15, 949 (2015)

transition metal dichalcogenides



from Yuan et alii, Nano Lett. 16, 4738 (2016)

3D Fermi surface



mono-layer MoS₂ / graphene

Pierucci et alii, Nano Lett. 16, 4054 (2016)

do core-levels present energy dispersion? the (2x2)-structure of physisorbed Xe on Cu(110)



Experimental band structure of the 5p levels of Xe physisorbed in an ordered $c(2\times 2)$ structure onto the Cu(110) surface. ARPES bands

Mariani et alii, Phys. Rev. B 25, 7798 (1982)
Photoemission Spectroscopy



example: calculated electron densities for C

Kai Siegbahn, ESCA applied to free molecules, North-Holland (1969)



Lizzit et alii, Nature Phys. 6, 345 (2010)

do core-levels present energy dispersion? *

graphene

* see high-resolution core-level photoemission spectroscopy in A. Baraldi's lectures, this school

from graphene to graphane, theory

atomic H as a tool to '*pinch*' the sp2 bonds towards an sp3 configuration while maintaining the planar nature of graphene

"chair" conformation



Sofo et alii, Phys. Rev. B 75, 153401 (2007)

covalent bonding, small charge transfer (~0.003 e)*



H-to-C potential curve -> favoured sp3 configuration

Ryu et alii, Nano Lett. 8, 4597 (2008)

from graphene to graphane, theory

for 100% hydrogenated graphene a semiconductor with ≥3.5 eV (depending on the specific configuration) direct energy-gap at Γ is predicted !



Reshak et alii, PRCS Adv. 4, 37411 (2014)





Samarakoon et alii, ACS Nano 4, 4126 (2010)

H-NPG photoemission spectromicroscopy



Betti et alii, Nano Lett. 22, 2971 (2022)

H-NPG with spatial resolution

H-C spatial distribution: highest sp3 signal \rightarrow valence band energy gap opening



1-year fellowship (assegno di ricerca) available from ~ Dec 2024 on "spectromicroscopy of functionalized 2D materials" → contact me: carlo.mariani@uniroma1.it 1-year fellowship (assegno di ricerca) available from ~ Dec 2024 on "spectromicroscopy of functionalized 2D materials" → contact me: carlo.mariani@uniroma1.it

grazie per l'attenzione