

Optická emisní spektroskopie atomů

Diagnostické metody 1

Zdeněk Navrátil

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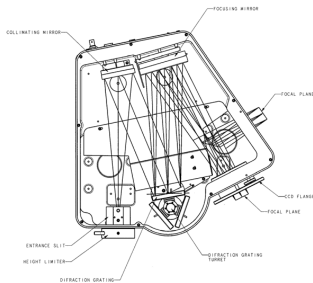
Outline

- 1 OES
- 2 CR modelling
- 3 CR model for neon discharge
- 4 Examples
 - DC
 - RF
 - MW
- 5 Measurement of densities by self-absorption methods

Instrumentation

- typically grating spectrometer of Czerny-Turner mounting equipped with CCD/ICCD detector
- spectral range and sensitivity: detector (silicon CCD, photocathode), grating efficiency
- resolution: number of illuminated grating grooves, slit width, pixel size

$$R = \lambda / \Delta\lambda = mN$$



Technique overview – how we measure

- collecting the light emitted by plasma (optical emission spectroscopy, OES):
 - non-intrusive
 - sensing the light at the plasma boundary
 - optical probes
- sending the light through the plasma (optical absorption spectroscopy):
 - based on Lambert-Beer law
 - can disturb the plasma, two ports
 - white light, hollow cathode lamps, LASERS DM2 – Dvořák
- collecting the light emitted and reabsorbed by the plasma (self-absorption methods of OES)

Technique overview – how we measure

- collecting the light emitted by plasma (optical emission spectroscopy, OES):
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 - sensing the light at the plasma boundary → self-absorption can play a role
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Technique overview – what we look at

- line positions (wavelengths): electric, magnetic fields, atom velocities (Stark, Zeeman, Doppler effect)
- lineshapes and linewidths: electron density, gas pressure, density, temperatures (Stark, van der Waals, resonance, Doppler line broadening) **DM1 – Synek**
- line intensities: . . . all

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- line intensities: . . . all
 - relative – instrument spectral sensitivity is taken into account, no absolute intensity calibration is performed
output: relative populations of excited states, excitation temperatures etc.
 - absolute – access to absolute densities of excited states, electron density etc.

Absolute intensity measurement

- radiant flux/zářivý tok – energy emitted/incident on surface per unit time

$$\Phi = \frac{d\mathcal{E}}{dt}, \quad \text{W} \quad (1)$$

- irradiance – flux density (per unit surface)

$$I = \frac{d\Phi}{dS} = \frac{d^2\mathcal{E}}{dt dS}, \quad \text{W m}^{-2} \quad (2)$$

- specified during calibration of calibrated light sources (spectral irradiance)
- optical fibre is not a detector of irradiance (acceptance angle)
- radiometric irradiance probes, cosine correction diffusers, integrating spheres, ...



Absolute intensity measurement 2

- radiance (zář) – radiant flux per unit perpendicular surface and unit solid angle

$$L = \frac{d^2\Phi}{dS \cos\theta d\Omega} = \frac{d^3\mathcal{E}}{dt dS \cos\theta d\Omega}, \quad \text{W m}^{-2} \text{sr}^{-1} \quad (3)$$

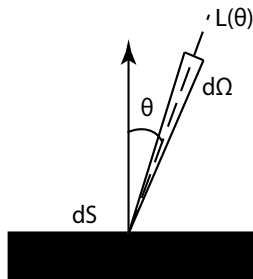
- radiance \times irradiance

$$I = \int_{\Omega} L(\theta) \cos\theta d\Omega \quad (4)$$

For constant L (Lambert) radiators

$$I = \pi L.$$

- for description of radiating solid surfaces



Absolute intensity measurement 3

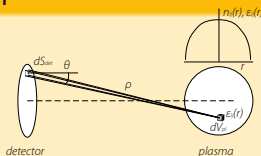
- emission coefficient – radiant power emitted by unit volume into unit solid angle

$$j = \frac{d^3 \mathcal{E}}{dt dV d\Omega}. \quad (5)$$

- all quantities have their spectral densities, e.g. $j(\lambda)$

emission coefficient of transition

$$j_{ij} = \frac{1}{4\pi} n_i A_{ij} h\nu_{ij}$$



$$I_{ij} = \frac{1}{S_{det}} \int_{V_{pl}} \int_{S_{det}} \frac{j_{ij}(r)}{\rho^2} \text{Acc}(\theta) dV_{pl} dS_{det}$$

irradiation of detector for optical thin plasma condition

Electron temperature from Boltzmann plot?

- density of atoms in excited state

$$n_i = n \frac{g_i}{Q} e^{-\frac{\mathcal{E}_i}{k_b T_e}} \quad (6)$$

g_i – statistical weight, \mathcal{E}_i – excitation energy, n – atom density, Q – state sum, T_e excitation temperature (= electron temperature)

- spectral line intensity

$$I \propto n_i A_{ij} \frac{hc}{\lambda} \quad (7)$$

$$I = C \cdot \frac{g_i A_{ij}}{\lambda} e^{-\frac{\mathcal{E}_i}{k_b T_e}} \quad (8)$$

- Boltzmann plot

$$\ln \frac{I \lambda}{g_i A_{ij}} = -\frac{1}{k_b T_e} \mathcal{E}_i + \ln k_1, \quad (9)$$

Possibilities for excitation temperature measurement

excited level balance

- local thermodynamic equilibrium (LTE) plasma
 - LTE condition

$$n_e \gg 1.6 \cdot 10^{12} \sqrt{T_e} (\Delta E)^3 \quad (\text{cm}^{-3})$$

- electron temperature from Boltzmann plot
- non-LTE plasma
 - corona equilibrium, excitation saturation phase, . . .
 - low electron density plasma
 - use of Boltzmann-plot leads to erroneous electron temperature
 - CR modelling

non-Maxwellian EDF

- inelastic collisions, beam electrons, non-local EDF

Quasi-steady state-solution of differential equations

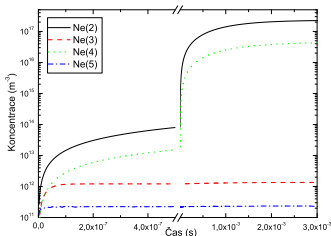
coupled DE for densities of excited states

$$\frac{\partial n_i}{\partial t} + \nabla(n_i \vec{v}) = \left(\frac{\partial n_i}{\partial t} \right)_{c,r} \quad (10)$$

population and depopulation processes are very fast:

$$\frac{\partial n_i}{\partial t} = \left(\frac{\partial n_i}{\partial t} \right)_{c,r} = 0 \quad (11)$$

not valid for ground-state atoms, ions, metastables, high pressure



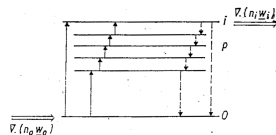
Level balance

$$\frac{\partial n_0}{\partial t} + \nabla(n_0 \vec{v}_0) = -S_{\text{cr}} n_e n_0 + \alpha_{\text{cr}} n_e n_{\text{ion}}$$

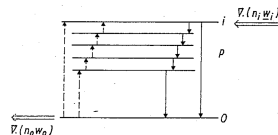
$$\frac{\partial n_{\text{ion}}}{\partial t} + \nabla(n_{\text{ion}} \vec{v}_{\text{ion}}) = +S_{\text{cr}} n_e n_0 - \alpha_{\text{cr}} n_e n_{\text{ion}}$$

classification of models (plasma state)

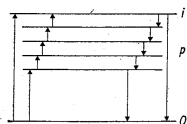
- ionizing plasma $S_{\text{cr}} n_e n_0 - \alpha_{\text{cr}} n_e n_{\text{ion}} > 0$
 - plasma conducting current, ionizing waves
- recombining plasma $S_{\text{cr}} n_e n_0 - \alpha_{\text{cr}} n_e n_{\text{ion}} < 0$
 - afterglows, outer regions of flames
- equilibrium plasma $S_{\text{cr}} n_e n_0 - \alpha_{\text{cr}} n_e n_{\text{ion}} = 0$
(ionization-recombination equilibrium)



ionizing plasma



recombining plasma

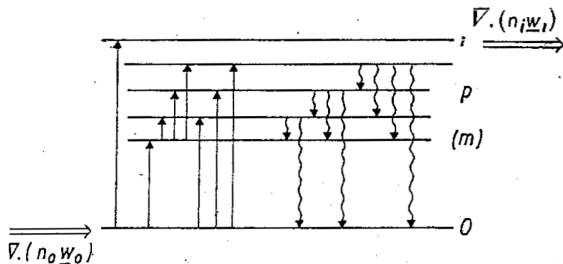


equilibrium plasma

Excitation phases: corona phase

population by electron impact excitation, radiative deexcitation

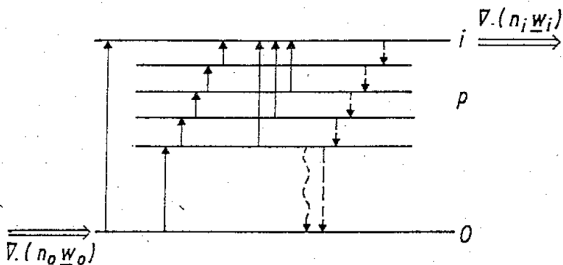
$$k_{0i}^{\text{el}} n_e n_0 + k_{mi}^{\text{el}} n_e n_m (+ \sum_{j>i} \Lambda_{ji} A_{ji} n_j) = \sum_{j<i} \Lambda_{ij} A_{ij} n_i \quad (12)$$



Excitation phases: excitation saturation phase

population and depopulation by electron impact

$$\sum_{j \neq i} k_{ji}^{\text{el}} n_e n_j + (\alpha_i n_e n_{\text{ion}}) = \sum_{j \neq i} k_{ij}^{\text{el}} n_e n_i + S_i n_e n_i$$



- saturation of the excited state densities with increasing n_e
- no Saha equilibrium, $S_i n_i \gg \alpha_i n_{\text{ion}}$

Excitation phases: excitation saturation phase 2

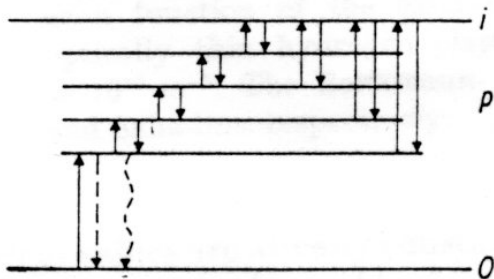
- stepwise excitation \rightarrow ladder-like excitation flow

$$k_{i-1,j}n_e n_{i-1} - k_{i,i-1}n_e n_i = k_{i,j+1}n_e n_j - k_{i+1,i}n_e n_{i+1} - S_i n_e n_i$$

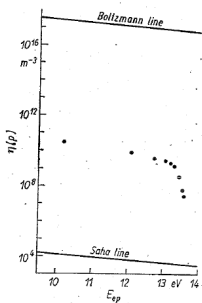
Excitation phases: partial local thermodynamic equilibrium

- 2 equilibria: excited state \times ion state, neighbouring excited states
- ionization \sim recombination \gg excitation flow

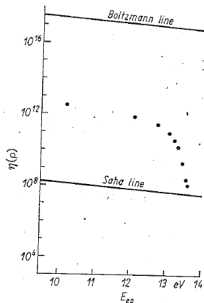
$$k_{i-1,i} n_e n_{i-1} - k_{i,i-1} n_e n_i = k_{i,i+1} n_e n_i - k_{i+1,i} n_e n_{i+1} - S_i n_e n_i + \alpha_i n_e n_{\text{ion}}$$



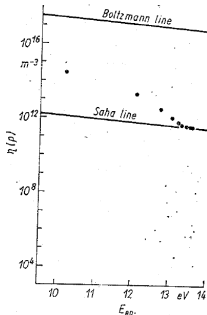
Role of collisional processes



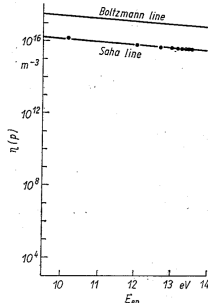
$$n_e = 10^{16} \text{ m}^{-3}$$



$$n_e = 10^{18} \text{ m}^{-3}$$



$$n_e = 10^{20} \text{ m}^{-3}$$



$$n_e = 10^{22} \text{ m}^{-3}$$

Boltzmann

$$n_i^B = n_0 g_i / g_0 e^{-E_i/kT_e}$$

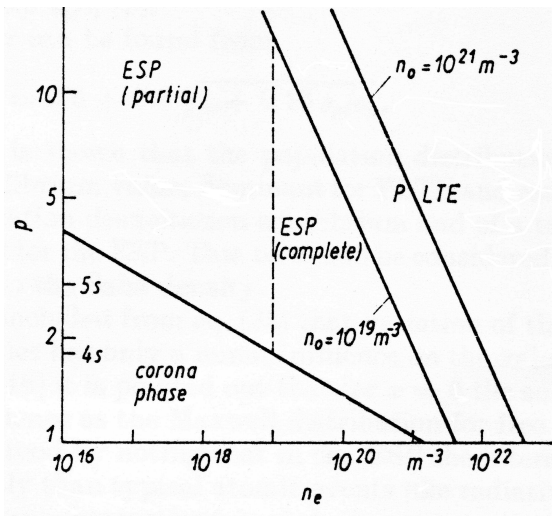
Saha

$$n_i^S = n_e n_{ion} \frac{g_i}{g_e g_{ion}} (h^2 / 2\pi m_e k T_e)^{3/2} e^{E_{ion,i}/kT_e}$$

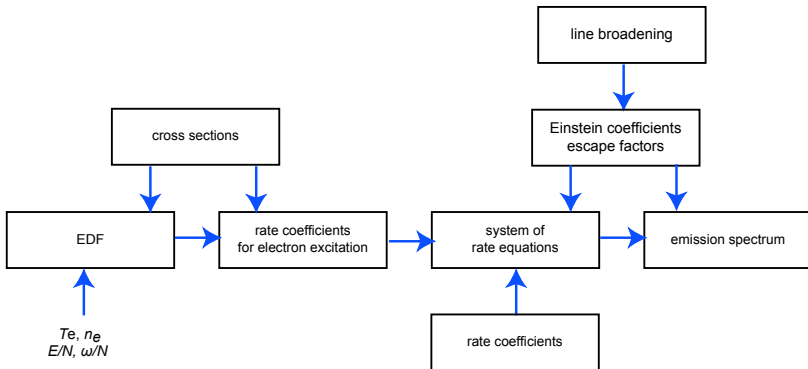
deviation from B & S

$$n_i = r_i^0 n_i^S + r_i^1 n_i^B$$

Excitation phases



Collisional-radiative model



Electron distribution function

- Maxwellian EDF
- solution of Boltzmann kinetic equation
- normalization of the EDF

$$\int_0^{\infty} f(\varepsilon) \varepsilon^{1/2} d\varepsilon = 1 \quad (13)$$

- mean electron energy

$$\langle \varepsilon \rangle = \int_0^{\infty} f(\varepsilon) \varepsilon^{3/2} d\varepsilon, \quad (14)$$

- rate coefficients k , k_{inv} of electron collision with cross section σ and of inverse process

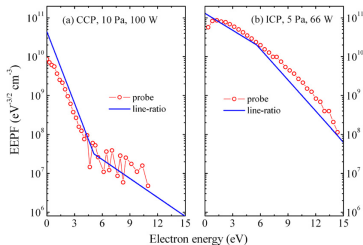
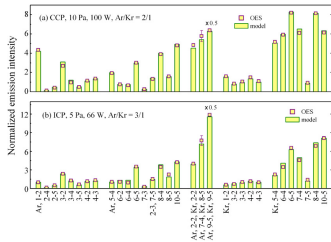
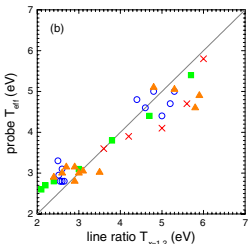
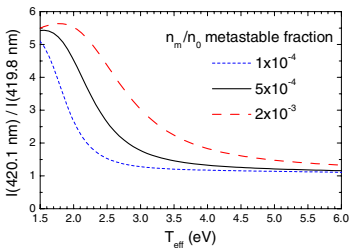
$$k = \sqrt{\frac{2e}{m_e}} \int_0^{\infty} \sigma(\varepsilon) f_0(\varepsilon) \varepsilon d\varepsilon$$

$$k_{\text{inv}} = \sqrt{\frac{2e}{m_e} \frac{g_j}{g_i}} \int_{\varepsilon_{ij}}^{\infty} \sigma(\varepsilon) f_0(\varepsilon - \varepsilon_{ij}) \varepsilon d\varepsilon$$

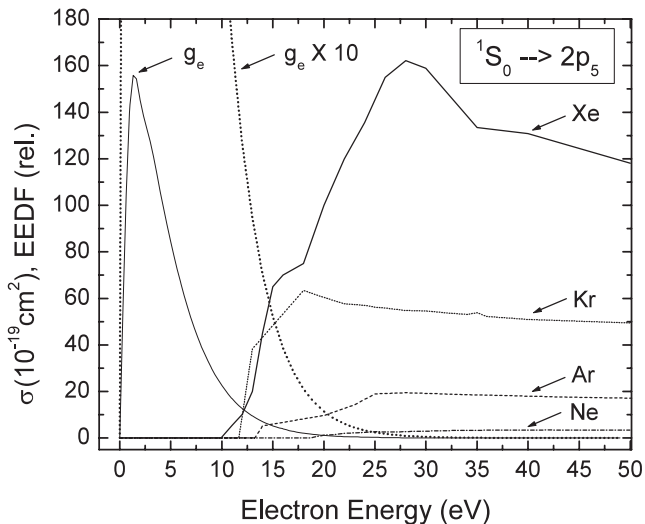
Approaches of OES data processing

- line ratio methods
 - selection of convenient line pair (sensitivity, model simplicity, ease of measurement)
 - no control of model validity
- „many line fitting“ methods

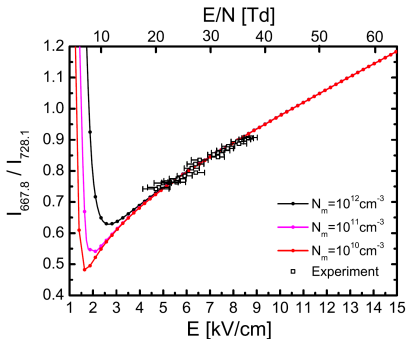
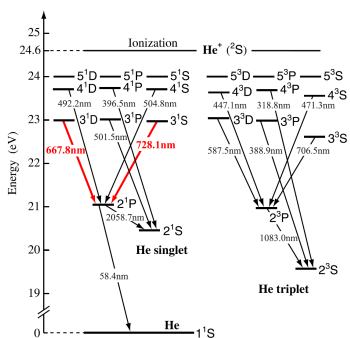
Electron temperature and EDF measurement by OES+CR



TRG spectroscopy

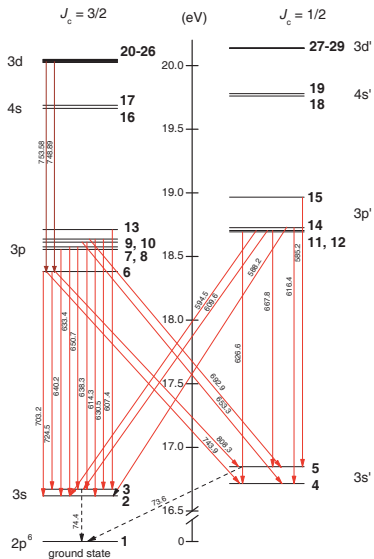


Electric field measurement



Ivkovic S S *et al* 2014 *J. Phys. D: Appl. Phys.* **47** 055204

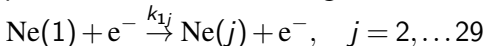
Excited levels



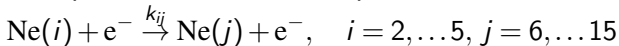
i	$nlpqr$	Racah	Paschen	(eV)
1	21000	$2p^6$	$1p_0$	1 0.000000
2	30332	$3s [3/2]_0^o$	$1s_5$	5 16.61907
3	30331	$3s [3/2]_1^o$	$1s_4$	3 16.67083
4	30110	$3s' [1/2]_0^o$	$1s_3$	1 16.71538
5	30111	$3s' [1/2]_1^o$	$1s_2$	3 16.84805
6	31311	$3p [1/2]_1^o$	$2p_{10}$	3 18.38162
7	31353	$3p [5/2]_3^o$	$2p_9$	7 18.55511
8	31352	$3p [5/2]_2^o$	$2p_8$	5 18.57584
9	31331	$3p [3/2]_1^o$	$2p_7$	3 18.61271
10	31332	$3p [3/2]_2^o$	$2p_6$	5 18.63679
11	31131	$3p' [3/2]_1^o$	$2p_5$	3 18.69336
12	31132	$3p' [3/2]_2^o$	$2p_4$	5 18.70407
13	31310	$3p [1/2]_0^o$	$2p_3$	1 18.71138
14	31111	$3p' [1/2]_1^o$	$2p_2$	3 18.72638
15	31110	$3p' [1/2]_0^o$	$2p_1$	1 18.96596
16	40332	$4s [3/2]_2^o$	$2s_5$	5 19.66403
17	40331	$4s [3/2]_1^o$	$2s_4$	3 19.68820
18	40110	$4s' [1/2]_0^o$	$2s_3$	1 19.76060
19	40111	$4s' [1/2]_1^o$	$2s_2$	3 19.77977
20	32310	$3d [1/2]_0^o$	$3d_6$	1 20.02464
21	32311	$3d [1/2]_1^o$	$3d_5$	5 20.02645
22	32374	$3d [7/2]_4^o$	$3d_4$	9 20.03465
23	32373	$3d [7/2]_3^o$	$3d_4$	7 20.03487
24	32332	$3d [3/2]_2^o$	$3d_3$	5 20.03675
25	32331	$3d [3/2]_1^o$	$3d_2$	3 20.04039
26	32352	$3d [5/2]_2^o$	$3d_1$	5 20.04821
	32353	$3d [5/2]_3^o$	$3d_1$	7 20.04843
27	32152	$3d' [5/2]_2^o$	$3s_1^{//}$	5 20.13611
	32153	$3d' [5/2]_3^o$	$3s_1^{//}$	7 20.13630
28	32132	$3d' [3/2]_2^o$	$3s_1^{//}$	5 20.13751
29	32131	$3d' [3/2]_1^o$	$3s_1^{//}$	3 20.13946

Considered elementary processes

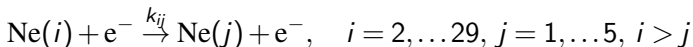
- 1 Electron impact excitation out of the g.s.



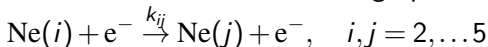
- 2 Electron impact excitation out of $2p^53s$ states



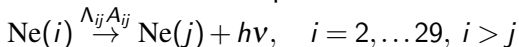
- 3 Electron impact deexcitation to the g.s. and $2p^53s$ states



- 4 Electron induced excitation transfer among $2p^53s$ states

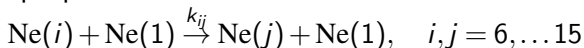


- 5 Spontaneous emission and absorption of radiation

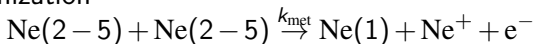


Considered elementary processes 2

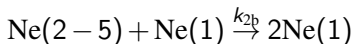
- 6 Two-body collision induced deactivation and excitation transfer among $2p^53p$ states



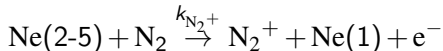
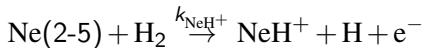
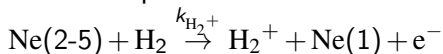
- 7 Chemoionization



- 8 Two-body collision induced deactivation

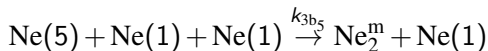
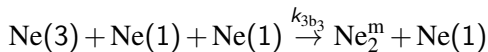
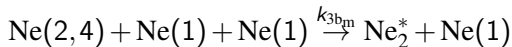


- 9 Penning ionization of impurities

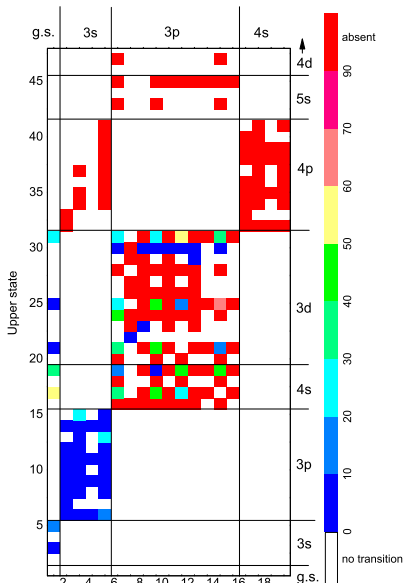


Considered elementary processes 3

- 12 Electron impact ionization of the ground-state and metastable atoms
- 13 Three-body production of dimers



Spontaneous emission



Einstein coefficient A_{ij}

$$A_{ij} = \frac{16\pi^3\nu^3}{3\epsilon_0hc^3} \frac{S}{g_i}$$

$$A_{ij} = \frac{g_j}{g_i} \frac{2\pi e^2\nu^2}{\epsilon_0mc^3} f$$

effective levels

$$A_{\{i\}j} = \frac{\sum_i g_i A_{ij}}{\sum_i g_i}$$

← relative differences of two data source – NIST and Seaton 1998

Absorption of radiation

Number of absorption transitions between states i, j (j is lower) in unit volume is

$$n_j B_{ji} \rho(\omega_0)$$

What is $\rho(\omega_0)$?

The spatial distribution of population of excited state due to the radiation propagation can be described by Holstein equation

$$\frac{\partial n(\vec{r})}{\partial t} = -An(\vec{r}) + A \int n(\vec{r}') G(\vec{r}', \vec{r}) d\vec{r}', \quad (15)$$

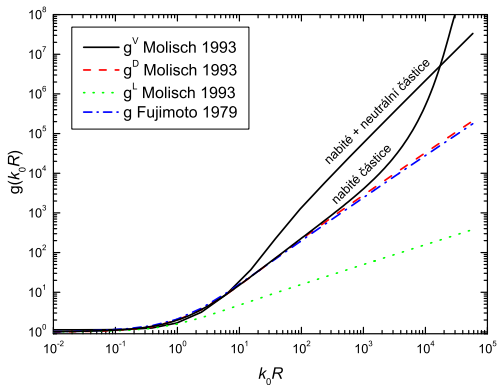
$$G(\vec{r}', \vec{r}) = -\frac{1}{4\pi\rho^2} \frac{\partial T}{\partial \rho}, \quad \rho = |\vec{r}' - \vec{r}|, \quad T(\rho) = \int f(\omega) e^{-kf(\omega)\rho} d\omega.$$

Solution of Holstein equation has a form

$$n(\vec{r}, t) = \sum_j c_j n_j(\vec{r}) e^{-A/g_j t}, \quad (16)$$

in which g_j are *trapping* factors attached to eigenfunctions n_j .
Escape factor $\Lambda = 1/g_0$.

Trapping factor



Parameters of solution:

- discharge geometry
- opacity $k_0 R$
- spectral line profile

Solution of rate-equations

Initial conditions

$$n_i(t=0) = \begin{cases} N \equiv \frac{p}{k_b T_n}, & i = 1 \\ 0, & i > 1 \end{cases} \quad (17)$$

- Runge-Kutta methods
- stationary state solution: all excited states reach stationary state ($\frac{\partial n_i}{\partial t} = 0$)
- Non-linear dependence of some rate equations

$$\begin{aligned} \left(\frac{\partial n_2}{\partial t} \right)_{\text{met}} &= -4k_{\text{met}}n_2^2 - 2k_{\text{met}}n_2n_4 - \dots - (k_{\text{H}_2^+} + k_{\text{NeH}^+})[\text{H}_2]n_2 - \\ &\quad - (k_{\text{N}_2^+} + k_{\text{NeN}_2^+})[\text{N}_2]n_2 - k_{\text{O}_2^+}[\text{O}_2]n_2 - \frac{D_2}{l_D^2}n_2 - k_{\text{ionmet}}n_e n_2 \end{aligned}$$

Spectrum calculation and comparison

- measured spectral line intensities, integrated over lineshapes

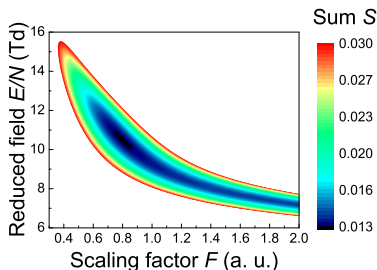
$$[\lambda_k, I_k^{\text{exp}}], k = 1, \dots, n, n = 30$$

- calculated total emission coefficients of transitions

$$I_{ij}^{\text{cr}} = \frac{1}{4\pi} n_i \Lambda_{ij} A_{ij} h\nu_{ij}$$

- comparison of spectra by least squares method

$$\mathcal{S} = \sum_{k=1}^n \frac{(\mathcal{F} \cdot I_k^{\text{cr}}(T_e, n_e, n_{1s3}, n_{1s5}) - I_k^{\text{exp}})^2}{I_k^{\text{exp}}}$$

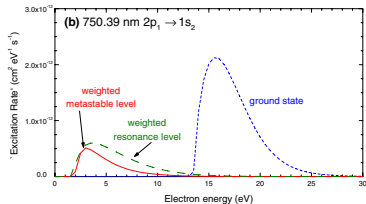
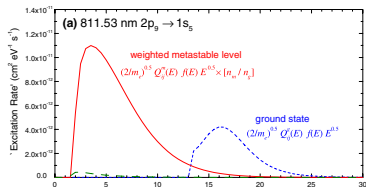
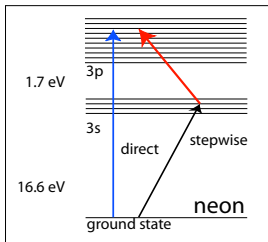


Role of metastables

- simplified 0D scheme is not valid

$$\frac{\partial n_i}{\partial t} + \nabla(n_i \vec{v}) = \left(\frac{\partial n_i}{\partial t} \right)_{c,r} \quad (18)$$

- longer computational times
- increased sensitivity at low electron energies

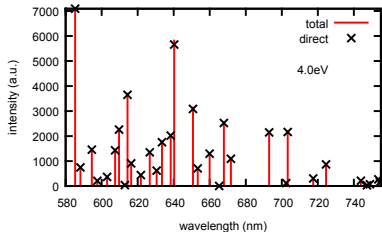
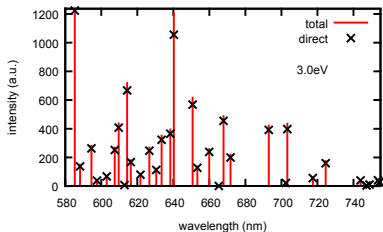
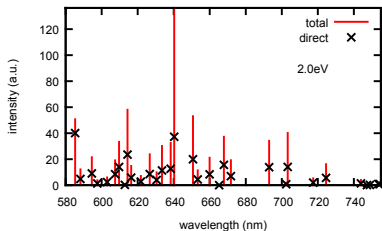
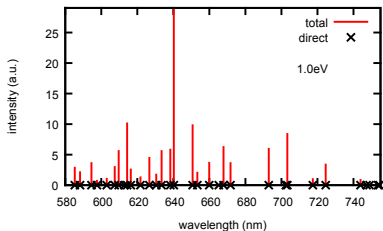


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Boffard J B, Jung R O, Lin C C and Wendt A

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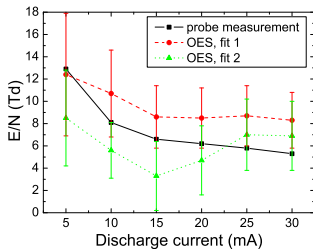
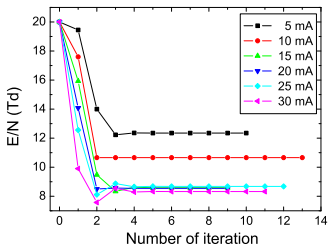
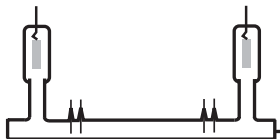
Direct and stepwise excitation



Maxwellian EDF, gas temperature 300 K, fixed densities of all $1s_j$ levels

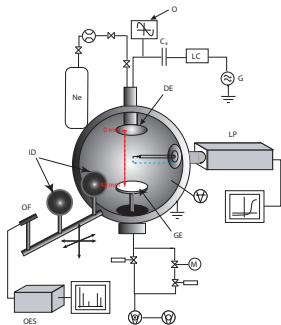
DC glow discharge in neon

- positive column of DC glow discharge at 1.1 Torr
- OES in spectral range 300–850 nm
- CR model with stationary BKE solver
- probe measurement

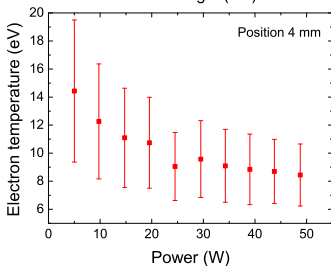
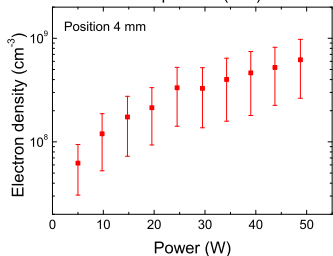
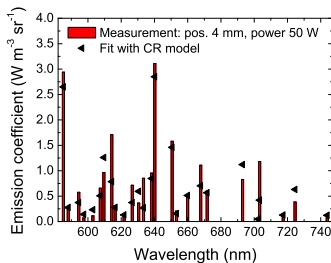
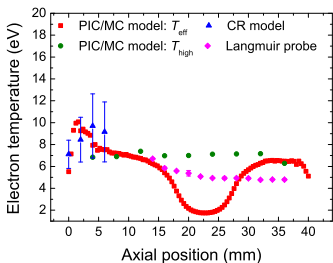


Radio-frequency discharge in neon

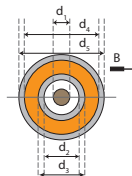
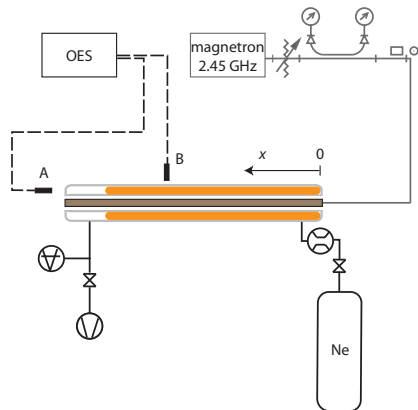
- capacitively coupled RF discharge in neon (13.56 MHz)
- low pressure (10 Pa)
- reactor R3 “Temelín”, inner diameter 33 cm, discharge gap 40 mm, electrodes 8 cm in diameter
- studied by OES/CR, OAS, PIC/MC, Langmuir probe
- absolute intensity measurement



RF (13.56 MHz) capacitive discharge in neon at 10 Pa



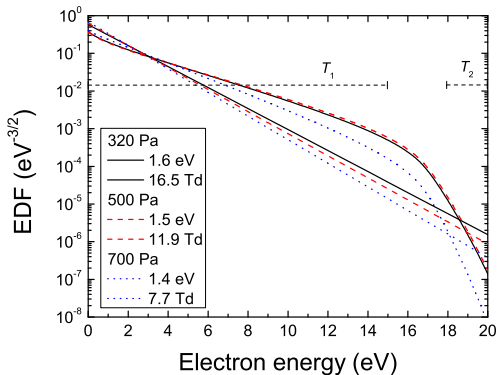
MW surface-wave driven discharge in neon in coaxial configuration



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- two-cylinder quartz tube with copper rod antenna, length 320 mm, dimensions $d_1 = 5$ mm, $d_2 = 7$ mm, $d_3 = 11$ mm, $d_4 = 20$ mm and $d_5 = 24$ mm
- microwave power 60 W

Electron distribution function

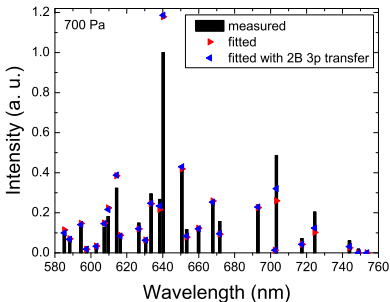
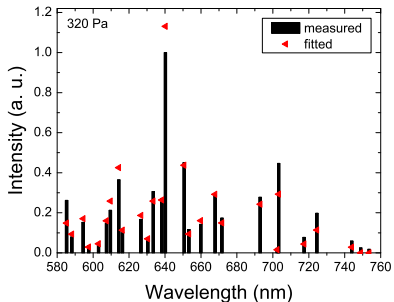


$$T_1 = 2.1 - 2.5 \text{ eV}, \quad \mathcal{E} < 15 \text{ eV}$$

$$T_2 = 0.33 - 0.43 \text{ eV} \quad 18 \text{ eV} < \mathcal{E} < 20 \text{ eV}$$

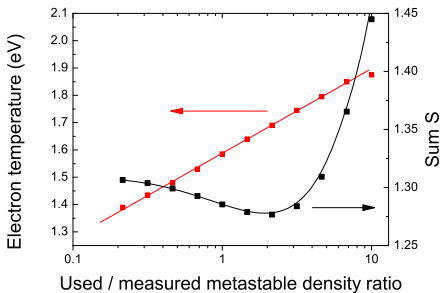
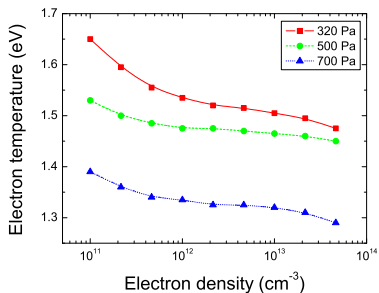
$$T_e = 1.4 - 1.6 \text{ eV} \quad \text{Maxwellian}$$

Spectra fit



- using BKE solver
- effect of deactivation by heavy particles on spectra under studied conditions is small

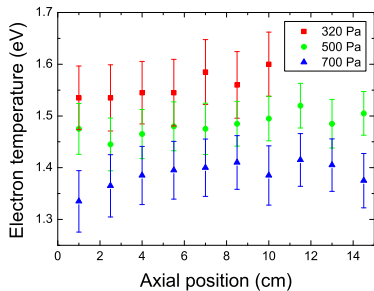
Sensitivity to electron density and metastable density



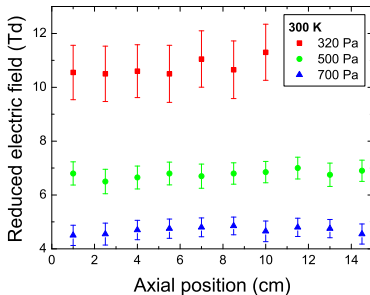
sensitivity to metastables: 0.3 eV or 2 Td per order of density

Axial dependencies for $T = 300$ K

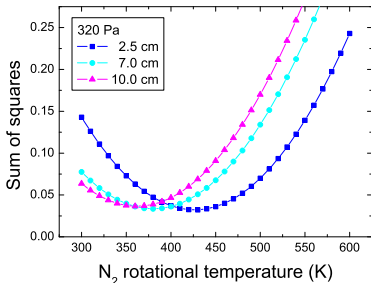
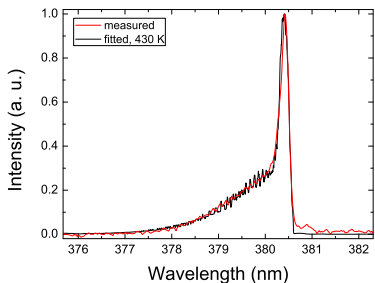
Maxwellian EDF



solution BKE

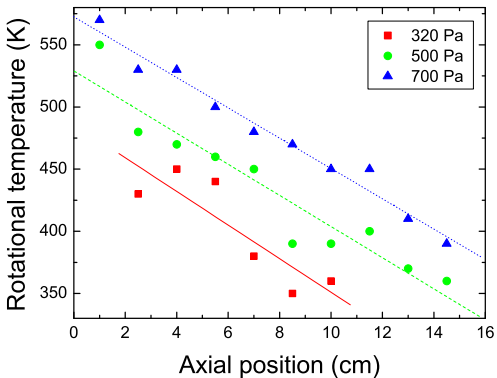


N₂ rotational temperature in C³Π_u state



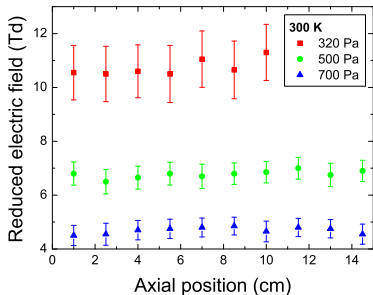
Program Specair. Laux C O 2002. In Fletcher D, Charbonnier J M, Sarma G S R and Magin T, eds.,
*von Karman Institute Lecture Series 2002–07, Physico-Chemical Modeling of High Enthalpy and Plasma
 Flows* Rhode-Saint-Gencse, Belgium.

N_2 rotational temperature in $C^3\Pi_u$ state

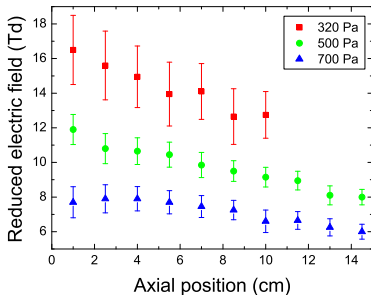


Effect of gas temperature

300 K



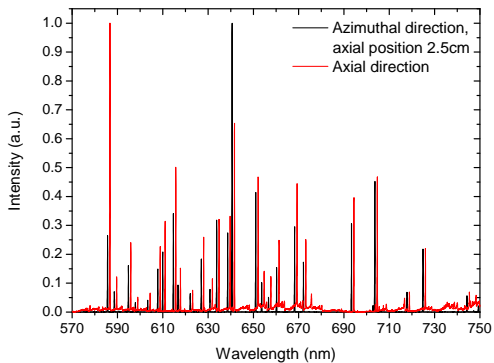
N₂ rotational temperature



- heating by oscillating field is governed by E/N and ω/N , elastic collisions enhance heating
- ω/N is not constant along the column
- in effective field approximation

$$E_{\text{eff}} = \frac{E_0}{\sqrt{2}} \frac{1}{\sqrt{1 + \omega^2/\nu^2}}$$

Self-absorption



Effective branching fractions Γ_{ij}

- isolated atom

$$\Gamma_{ij} = \frac{A_{ij}}{\sum_l A_{il}}$$

- plasma

$$\Gamma_{ij}^{\text{eff}} = \frac{g(k_{ij}^0 L) A_{ij}}{\sum_l g(k_{il}^0 L) A_{il}}$$

- absorption coefficient

$$k_{ij}^0 = \frac{\lambda_{ij}^3}{8\pi^{3/2}} \sqrt{\frac{m_0}{2k_b T}} \frac{g_i}{g_j} A_{ij} n_j$$

- measured

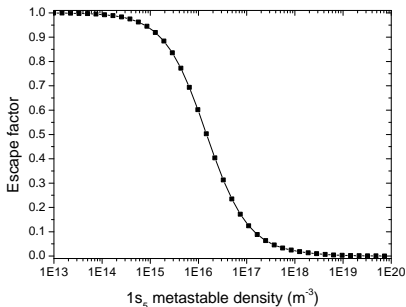
$$\Gamma_{ij}^{\text{exp}} = \frac{I_{ij}/h\nu_{ij}}{\sum_l I_{il}/h\nu_{il}}$$

Escape factor

- Mewe approximate expression

$$g(k_{ij}^0 L) = \frac{2 - e^{-k_{ij}^0 L / 1000}}{1 + k_{ij}^0 L}$$

- assumption of homogeneous distribution of atoms
- e.g. Ar $2p_6 \rightarrow 1s_5$ (763.5 nm), $\rho = 10$ cm



Example – density of Ti and Ti^+ in magnetron discharge

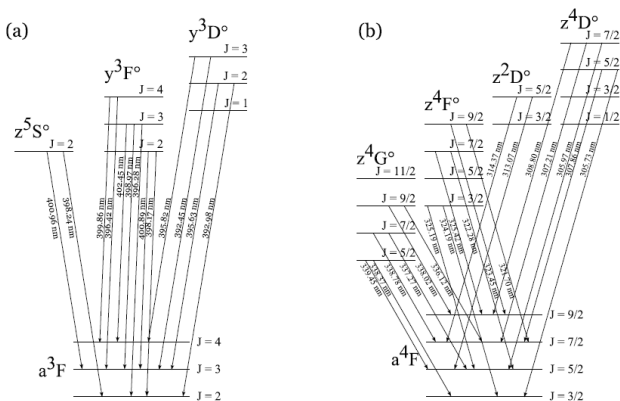
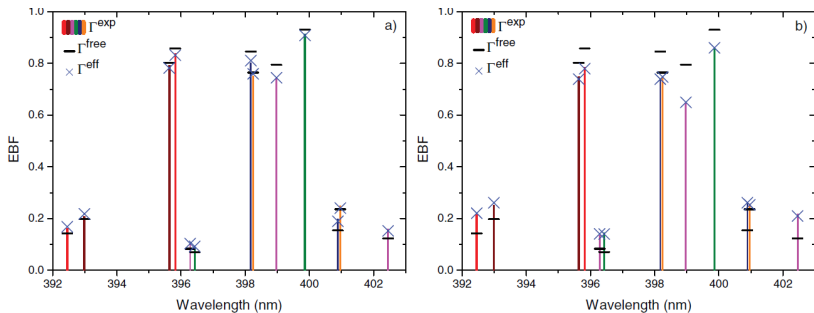


Figure 1. Energy levels and selected transitions for density measurement of (a) Ti neutral atom and (b) Ti ion.

Example – density of Ti and Ti^+ in magnetron discharge



Example – density of Ti and Ti^+ in magnetron discharge

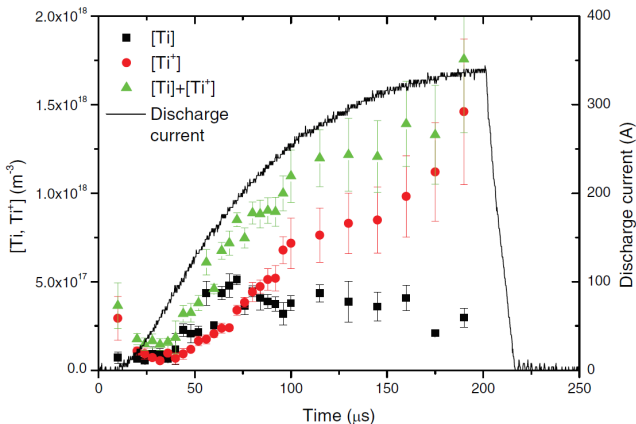


Figure 7. Measurements of the Ti atom and ion density for 200 μs pulse in HiPIMS mode. The pressure was set to 5 Pa, the repetition rate to 20 Hz and the optical fiber was placed 23 mm above the target surface. The total density of the sputtered species is added too.