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Auger neutralization rate for slow Ar\textsuperscript{+} ions in front of KCl(001)

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Angular and charge-state distributions are measured for 5–15-keV Ar\textsuperscript{0} and Ar\textsuperscript{+} ions reflected from a KCl(001) surface under grazing angle incidence. The ionization of Ar\textsuperscript{0} is almost completely suppressed at incident angles smaller than a critical angle (11–22 mrad, depending on the ion energy), while a considerable fraction of incident Ar\textsuperscript{+} ions are neutralized. It is demonstrated that a position-dependent Auger neutralization rate can be derived from the observed result without any assumption except for the surface continuum potential. The obtained Auger neutralization rate shows a simple exponential dependence as is usually assumed.

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I. INTRODUCTION

Since the pioneering work by Hagstrum [1], charge exchange phenomena between ions and solid surfaces have been studied extensively for several decades. In a low-energy regime, there are two dominant charge exchange mechanisms: one is a resonant one-electron tunneling process and the other is a two-electron Auger process. In general, Auger neutralization plays an important role for the neutralization of noble gas ions [2].

When an ion is scattered by a surface atom, the survival probability from the Auger neutralization process is given by

\begin{equation}
F^i = e^{-v_i(1/u_{i\perp} + 1/u_{i\parallel})},
\end{equation}

where \(u_{i\perp}\) and \(u_{i\parallel}\) denote perpendicular components of initial and final ion velocities, respectively, and the so-called characteristic velocity \(v_i\) is defined by integration of the Auger transition rate \(P(x)\) from 0 to \(\infty\)—i.e., \(v_i = \int_0^\infty P(x)dx\), where \(x\) is the distance from the surface. The charge exchange processes in the violent single collisions with surface atoms are neglected in Eq. (1), and this is actually the case when the ion energy is less than a threshold energy \(E_{\text{th}}\) (e.g., \(E_{\text{th}} \approx 2\) keV for He\textsuperscript{+} scattered from 129\textsuperscript{o} from a Cu surface) [3]. Thus, by measuring \(F^i\) as a function of \(u_{i\perp}\) and/or \(u_{i\parallel}\) the characteristic velocity \(v_i\) for the Auger neutralization can be easily determined. However, the Auger neutralization rate \(P(x)\) itself is difficult to be deduced from the charge distribution measurement.

Recently, Hecht \textit{et al.} have shown that the Auger transition rate of 2-keV He\textsuperscript{+} ions in front of an Al surface can be derived from a detailed analysis of image charge effects on the trajectories of ions scattered at grazing angle incidence [4]. Their method is based on the fact that He\textsuperscript{2+} ion is accelerated toward the surface by the image potential but He\textsuperscript{+} is not [5]. As a result, the scattering angle depends on where the incident He\textsuperscript{+} ion is neutralized. Thus, the information of the Auger neutralization rate can be obtained from the observed angular distributions of the scattered He\textsuperscript{0} and He\textsuperscript{+} ions. They assumed a simple formula—i.e., \(P(x) = P_0 \exp(-x/a)\)—for the Auger neutralization rate as was first introduced by Hagstrum. They calculated the angular distributions of He\textsuperscript{0} and He\textsuperscript{+} ions scattered from Al(111) by means of a Monte Carlo simulation. The preexponential factor \(P_0\) and the decay length \(a\) were determined by comparing the calculated result with the observed one. However, as was pointed out by More \textit{et al.}, the angular distribution is very sensitive with respect to the representation of the image potential [6], indicating that accurate derivation of \(P(x)\) is rather difficult. Moreover, recent theoretical studies showed that the Auger neutralization rate deviates from the simple exponential decay [7–9].

In this paper, we propose a method to derive the position-dependent Auger neutralization rate from the charge-state distribution measurement. This approach is straightforward and no parameter fitting procedure is required. An example of the analysis is performed for 5–15-keV Ar\textsuperscript{+} ions on KCl(001). In this system, resonant neutralization and ionization are not allowed and only Auger neutralization can take place with help of a Doppler-shifted Cl 3\textit{p} band and/or surface states [2,10].

II. EXPERIMENT

A single crystal of KCl was cleaved along (001) plane in air and was mounted on a five-axis precision goniometer in an UHV chamber (base pressure \(2 \times 10^{-10}\) Torr). The surface was heated at 300 °C to prepare a clean surface [11] and kept at 250 °C to avoid surface charging during the measurement [12]. A beam of 5–15-keV Ar\textsuperscript{+} ions from a 10-GHz ECR ion source was collimated to 0.1 mm\textsuperscript{2} by a series of apertures and was incident to the KCl(001) surface at a grazing angle \(\theta\) with respect to the surface plane. The energy dispersion in the incident beam was less than 0.3\% . The reflected Ar ions were resolved into their charge states by means of electric field plates and detected by a two-dimensional position-sensitive detector (2D-PSD) placed 160 mm downstream of the target. The 2D-PSD consisted of Z-stack microchannel plates (MCP’s) and a resistive anode (effective diameter 40 mm). The signals from the resistive anode were converted to digital signals and were stored in list mode. Because the gain of the MCP’s was not uniform, the discrimination level for noise elimination was changed...
from position to position depending on the local gain of the MCP’s. It should be noted that the efficiency of the MCP’s does not depend on the charge state of the ion and is primarily determined by the ion energy if the noise discrimination level is carefully chosen \cite{13}.

For the experiment of Ar\(^0\) incidence, the vacuum of the beam line was changed from 10\(^{-8}\) Torr to 10\(^{-7}\) Torr. Neutral Ar atoms produced by charge exchange collisions with residual gas molecules were selected by a magnetic deflector installed just before the scattering chamber and the obtained Ar\(^0\) beam was used as an incident beam.

### III. RESULTS

Figure 1 shows an example of observed angular distribution of reflected ions when 10 keV Ar\(^+\) ions were incident on KCl(001) at \(\theta_i=42\) mrad. There are three well-defined peaks. The sharp peak represents the residual incident beam. The full width at half maximum (FWHM) of the incident beam is about 6 mrad, which gives the overall angular resolution of the present system including the angular spread of the incident beam. The broad peaks correspond to the reflected Ar\(^0\) atoms (large peak) and Ar\(^+\) ions (small peak), which were resolved by the electric field plates. There was no Ar ion other than Ar\(^0\) and Ar\(^+\). The observed peaks were able to be fitted to Gaussian functions resonably well. The mean scattering angles for Ar\(^0\) and Ar\(^+\) were derived from the observed angular distribution.

Figure 2 shows the scattering angle as a function of \(\theta_i\) for 10 keV Ar\(^+\) incidence. Although the scattering angle for Ar\(^+\) agrees with the specular angle, the behavior of Ar\(^0\) is slightly complicated. At small \(\theta_i\) (<25 mrad) the scattering angle for Ar\(^0\) is larger than the specular angle due to the image acceleration \cite{5}. At larger \(\theta_i\), however, the scattering angle for Ar\(^0\) is smaller than the specular angle, suggesting that Ar\(^+\) is decelerated upon electron capture at larger \(\theta_i\). Similar results were obtained for 5 and 15 keV Ar\(^+\) incidence.

The neutral fraction of the reflected Ar beam can be obtained from the observed angular distribution. Figure 3 shows the observed Ar\(^0\) fraction \(F^0\) as a function of \(\theta_i\). The solid symbols show the results for Ar\(^+\) incidence and the open symbols show the results for Ar\(^0\) incidence. The observed neutral fraction does not depend on the incident charge states at large \(\theta_i\), indicating that the memory of the incident charge state is lost and a kind of charge state equilibrium is achieved. On the other hand, the ionization of Ar\(^0\) is almost completely suppressed at small \(\theta_i\), indicating that there is a critical incident angle for ionization process.

The critical incident angle for ionization was estimated to be about 22, 16, and 11 mrad for 5, 10, and 15 keV Ar\(^+\) as is shown in Fig. 3. The distance of the closest approach corresponding to the critical angle is almost independent of the ion energy and is estimated to be 3.7±0.2 a.u., where the
The present result indicates that the image potential roughly follows the static image at \( x \) larger than \(-3.5\) a.u., but the magnitude of the image potential is about two-thirds of the classical image. The reduction of image potential can be attributed to the dynamical aspect of the image potential [14]. The high-frequency limit of the dielectric constant is \( \epsilon(\infty)=2.1 \) for KCl. The dynamical image potential should be somewhere in between \([1-\epsilon(0)]/[1+\epsilon(0)]e^2/4x\) and \([1-\epsilon(\infty)]/[1+\epsilon(\infty)]e^2/4x\).

With decreasing \( x \) the observed image potential deviates from the static image considerably and becomes even positive. The deviation can be ascribed to the energy level shift of \( \text{Ar}^0 \) in front of KCl(001) surface. Precisely speaking, the observed energy gain is not the image potential itself but the difference between \( \text{Ar}^+\text{-KCl}(001) \) and \( \text{Ar}^0\text{-KCl}(001) \) interaction potentials. Recently More et al. discussed the effect of the energy level shift on the energy gain upon neutralization of \( \text{He}^+ \) in front of Al(001) [6]. They calculated the total energy for \( \text{He}-\text{Al}(001) \) system and showed that the energy gain deviates from the image potential at \( x \) smaller than \(-5\) a.u. Our present result qualitatively agrees with their theoretical result.

Figure 5 shows comparison between the observed ion fraction \( F^+ \) and the result of simple calculation for 10 keV \( \text{Ar}^+ \) incidence. The dotted curves show the ion fraction calculated with Eq. (1) for various \( \nu_c \).
The actual $V(x)$ is not a monotonic function due to the existence of the image potential. Nevertheless, we first neglect the image potential to estimate $P(x)$—i.e., the surface continuum potential $V_0(x)$ excluding the image potential is used in Eq. (7) instead of the total potential $V(x)$. The result of the first approximation, $P_1(x)$, is shown by a dashed curve in Fig. 6. In the calculation, we employed the universal potential [16] for $V_0(x)$. By integrating $P_1(x)$ along the ion trajectory, the $Ar^+$ fraction, $F_{x}^+(\theta)$, can be obtained with Eq. (5). We used the above-mentioned image potential $\frac{2}{3}\left[[1 - e(0)]/[1+e(0)]\right]e^2/4x$ in the calculation of the ion trajectory. The obtained result, shown by a dashed curve in Fig. 5, disagrees with the experimental one, because the image potential was neglected in the derivation of $P_1(x)$. A correction $\Delta P_1(x)$ to $P_1(x)$ can be calculated with Eq. (7) by substituting $\Delta G_1(\theta) = \ln[F_1(\theta)] - \ln[F_{x}^+(\theta)]$ and $V_0(x)$ instead of $G(\theta)$ and $V(x)$, respectively. The corrected result $P_2(x) = P_1(x) + \Delta P_1(x)$ is shown by a dot-dashed curve in Fig. 6, which is smaller than $P_1(x)$ by $\sim 30\%$. The ion fraction $F_2^+(\theta)$ calculated with the corrected rate $P_2(x)$ is shown by a dot-dashed curve in Fig. 5. The agreement with the experimental result is improved very much as compared with the first approximation. Repeating these procedures several times, $F_{x}^+(\theta)$ finally converges on the experimental result as shown by a solid curve and the position-dependent Auger neutralization rate is obtained. The resulting Auger neutralization rate is shown by a solid curve in Fig. 6.

The obtained Auger neutralization rate increases almost exponentially with decreasing $x$ as is usually assumed. In the present method, the neutralization rate was derived from the experimental results without any assumption except for the surface continuum potential $V_0(x)$ for which the universal potential was used. Here, the neutralization rate is derived with other realistic potential—i.e., the Molière potential—to see if the choice of the potential is crucial for derivation of $P(x)$ or not. The obtained result is shown by a dotted curve in Fig. 6. The result for the Molière potential is larger than that for the universal potential, but the difference is not so large, indicating that the error caused by the choice of potential is not serious.

Figure 7 shows the Auger neutralization rates for 5, 10, and 15 keV Ar$^+$. The neutralization rate increases with ion energy. This energy dependence is related with the fact that the Auger neutralization is not allowed in the static limit [2] due to the large band gap of KCl. The Auger neutralization can take place with help of kinematical effect. The observed energy dependence supports this scenario.

Recently, Wethekam et al. showed that Auger neutralization rate for keV He$^+$ ions in front of Ag(111) can be esti-
mated from the observed $E$ dependence of the He$^+$ fraction after grazing angle scattering [17]. In their method the $x$ dependence of the Auger neutralization rate must be assumed. They used a simple exponential function—i.e., $P(x) = P_0 \exp(-x/a)$. In this respect we point out that our present method requires no assumption about $P(x)$. The only requirement is knowledge of the interaction potential.

V. CONCLUSION

Charge-state distributions and scattering angle distributions of reflected ions have been measured when 5–15-keV Ar$^0$ and Ar$^+$ ions were incident on a KCl(001) surface at a grazing angle. It is found that ionization process is almost completely suppressed at $x$ larger than $\sim 3.7$ a.u.. The image potential for Ar$^+$ is estimated from the observed angular distribution. The obtained image potential is about two-thirds of the static image potential at $x$ larger than $\sim 3.5$ a.u., while large discrepancy is observed at smaller $x$. This discrepancy is attributed to the shift of the energy level of Ar$^0$ in front of the surface. It is demonstrated that the position-dependent Auger neutralization rate can be derived from the observed Ar$^+$ fraction without any assumption other than the ion-surface interaction potential. The obtained Auger neutralization rate shows a simple exponential decay as is usually assumed. The Auger neutralization rate is found to increase with ion energy, indicating that the Auger neutralization takes place with help of kinematical effect in the present case.

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