

# Methoden moderner Röntgenphysik: Streuung und Abbildung

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Lecture 4	Vorlesung zum Haupt- oder Masterstudiengang Physik, SoSe 2021 G. Grübel, O. Seeck, V. Markmann, F. Lehmkuhler, Andre Philippi-Kobs, M. Martins
Location	online
Date	Tuesdays                    12:30 - 14:00                    (starting 6.4.) Thursdays                    8:30 - 10:00                    (until        8.7.)

# Methoden moderner Röntgenphysik: Online Info

Tuesday Zoom-Meeting

<https://desy.zoom.us/j/92674682486>

Meeting ID: 926 7468 2486

Passcode: 144456

Thursday Zoom-Meeting

<https://desy.zoom.us/j/99738625981>

Meeting ID: 997 3862 5981

Passcode: 841881

Tutorial Zoom-Meeting

<https://desy.zoom.us/j/95288979489>

Meeting ID: 952 8897 9489

Passcode: 832350

# Literature

## Basic concepts:

Moderne Röntgenbeugung  
Röntgendiffraktometrie für  
Materialwissenschaftler,  
Physiker und Chemiker

### Authors

[\(view affiliations\)](#)

Lothar Spieß  
Robert Schwarzer  
Herfried Behnken  
Gerd Teichert  
<https://link.springer.com/book/10.1007/978-3-663-10831-3>

### Elements of Modern X-Ray Physics

J. A. Nielsen and D. McMorrow, J. Wiley&Sons (2001)

### X-Ray Diffraction

B.E. Warren, DOVER Publications Inc., New York

### Principles of Optics

M. Born and E. Wolf, Cambridge University Press, 7<sup>th</sup> ed.

### Soft X-rays and Extreme Ultraviolet Radiation

D. Attwood, Cambridge University Press (2000)

<http://www.coe.berkeley.edu/AST/sxrev/>

### Physik der Teilchenbeschleuniger und Synchrotronstrahlungsquellen

K. Wille, Teubner Studienbücher 1996

## Lecture Notes

[https://photon-science.desy.de/research/research\\_teams/coherent\\_x\\_ray\\_scattering/teaching/index\\_eng.html](https://photon-science.desy.de/research/research_teams/coherent_x_ray_scattering/teaching/index_eng.html)

# Methoden moderner Röntgenphysik: Streuung und Abbildung

## Part I:

### Basics of X-ray Physics

by Gerhard Grübel (GG)

#### Introduction

Overview, Introduction to X-ray Scattering

#### X-ray Scattering Primer & Sources of X-rays +Synchrotron Radiation

Elements of X-ray Scattering, Laboratory Sources, Accelerator Bases Sources

#### Reflection and Refraction from Interfaces

Snell's Law, Fresnel Equations

#### Kinematical Diffraction (I)

Diffraction from an Atom, a Molecule, from Liquids, Glasses, ...

#### Kinematical Diffraction (II)

Diffraction from a Crystal, Reciprocal Lattice, Structure Factor, ...



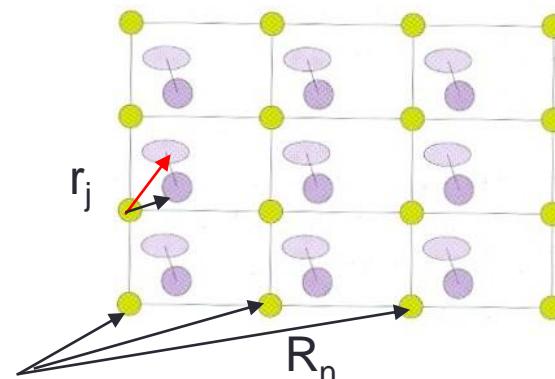
# Kinematical Diffraction II

# Scattering from a Crystal

$$A(\mathbf{Q}) = -r_0 \sum_{\mathbf{r}_j'} e^{i\mathbf{Q}\mathbf{r}_j'}$$

An extension to crystalline matter is simplified since there is translational symmetry.

Crystalline matter:  $\mathbf{r}_j' = \mathbf{R}_n + \mathbf{r}_j$



$$A(\mathbf{Q}) = -r_0 \frac{\sum_{\mathbf{R}_n} e^{i\mathbf{Q}\mathbf{R}_n}}{\sum_{\mathbf{r}_j} e^{i\mathbf{Q}\mathbf{r}_j}}$$

lattice sum      unit cell structure factor

## Crystallography:

Determine electron density within unit cell

**Note:** one does measure  $I(Q) = A(Q) A^*(Q)$  and is thus not sensitive to phase shifts

# Scattering from Atoms on a Crystal Lattice

Concept: build up crystal from **lattice + basis**

2-D lattice:  $R_n = n_1 \mathbf{a}_1 + n_2 \mathbf{a}_2$

Unit cell: primitive or (non-) primitive

(primitive  $\equiv$  area or volume minimized)

3-D lattice:  $R_n = n_1 \mathbf{a}_1 + n_2 \mathbf{a}_2 + n_3 \mathbf{a}_3$

There are:      5 distinct lattices in 2-D

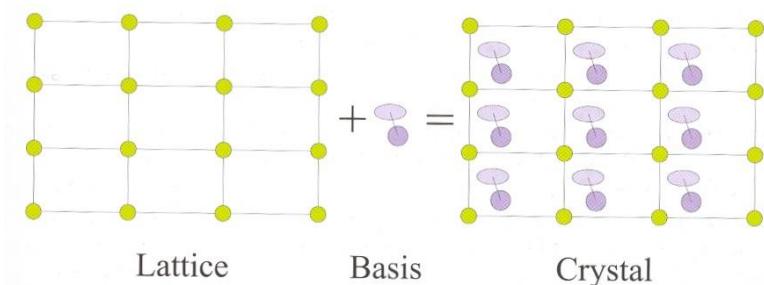
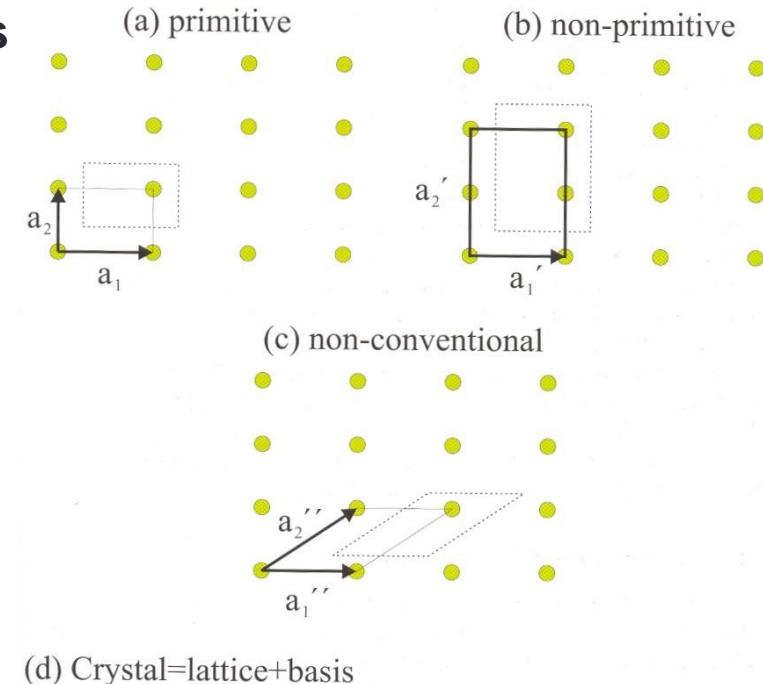
                  14 distinct lattices in 3-D

called the Bravais lattices

Add basis to yield:

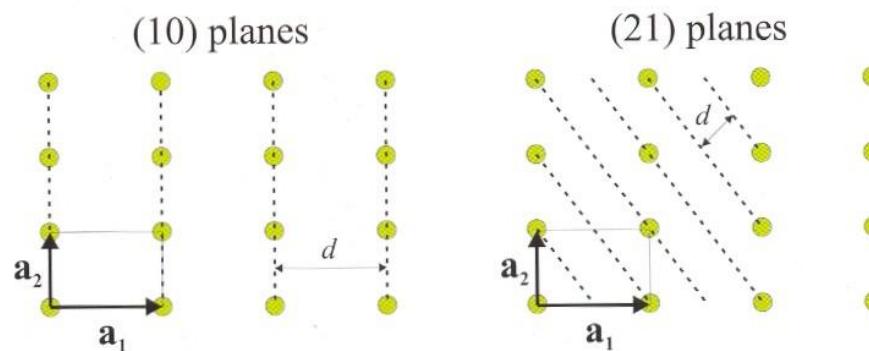
32      possible point groups

230      possible symmetry groups



# Lattice Planes and Miller Indices

The plane closest to the origin that has intercepts  $a_1/h$ ,  $a_2/k$ ,  $a_3/l$  is called the  $(h,k,l)$  plane



Rhombohedral,  $a = b = c$ ,  $\alpha = \beta = \gamma$ :

$$\frac{1}{d_{hkl}^2} = \frac{(h^2 + k^2 + l^2) \sin^2 \alpha + 2(hk + kl + lh)(\cos^2 \alpha - \cos \alpha)}{a^2(1 + 2 \cos^3 \alpha - 3 \cos^2 \alpha)}.$$

Hexagonal,  $a = b$ ,  $\alpha = \beta = 90^\circ$ ,  $\gamma = 120^\circ$ :

$$\frac{1}{d_{hkl}^2} = \frac{4}{3} \left( \frac{h^2 + hk + k^2}{a^2} \right) + \frac{l^2}{c^2}.$$

Monoclinic,  $\alpha = \gamma = 90^\circ$ :

$$\frac{1}{d_{hkl}^2} = \frac{1}{\sin^2 \beta} \left( \frac{h^2}{a^2} + \frac{k^2 \sin^2 \beta}{b^2} + \frac{l^2}{c^2} - \frac{2hl \cos \beta}{ac} \right).$$

Orthorhombic,  $\alpha = \beta = \gamma = 90^\circ$ :

$$\frac{1}{d_{hkl}^2} = \frac{h^2}{a^2} + \frac{k^2}{b^2} + \frac{l^2}{c^2}.$$

Tetragonal,  $a = b$ ,  $\alpha = \beta = \gamma = 90^\circ$ :

$$\frac{1}{d_{hkl}^2} = \frac{h^2 + k^2}{a^2} + \frac{l^2}{c^2}.$$

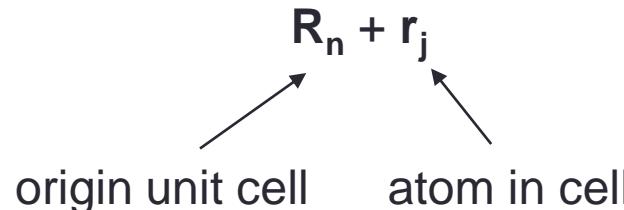
Cubic,  $a = b = c$ ,  $\alpha = \beta = \gamma = 90^\circ$ :

$$\frac{1}{d_{hkl}^2} = \frac{h^2 + k^2 + l^2}{a^2}.$$

spacing formulae; B.E. Warren p.21

# Laue Conditions and Reciprocal Space

Position of an atom in lattice and cell:



$$F^{\text{crystal}}(\mathbf{Q}) = \sum_{\mathbf{r}_j} F_j^{\text{mol}}(\mathbf{Q}) e^{i\mathbf{Q}\mathbf{r}_j} \bullet \sum_{\mathbf{R}_n} e^{i\mathbf{Q}\mathbf{R}_n}$$

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unit cell structure factorlattice sum

## Evaluation of the Lattice Sum:

$$\sum_{\mathbf{R}_n} e^{i\mathbf{Q}\cdot\mathbf{R}_n} \quad (i)$$

number of terms is enormous

(i) is of order unity (many  $e^{i\phi}$  terms)

except for:

$$\mathbf{Q}\cdot\mathbf{R}_n = 2\pi \times \text{integer} \quad (ii)$$

in that case the lattice sum becomes big.

Concept: construct an artificial lattice with lattice vectors  $\mathbf{a}_1^*$ ,  $\mathbf{a}_2^*$  and  $\mathbf{a}_3^*$  such that:

$$\mathbf{a}_i \cdot \mathbf{a}_j^* = 2\pi \delta_{ij} \quad (iia)$$

then any vector defined on the **reciprocal lattice** is of type:

$$\mathbf{G} = h\mathbf{a}_1^* + k\mathbf{a}_2^* + l\mathbf{a}_3^* \quad (iii)$$

(iii):  $\mathbf{G}$  satisfies (ii) [ $\mathbf{Q}\cdot\mathbf{R}_n \times \text{integer}$ ]

since

$$\mathbf{G}\cdot\mathbf{R}_n = 2\pi (hn_1 + kn_2 + ln_3)$$

only if

$$\mathbf{Q} = \mathbf{G} \quad (\textbf{Laue condition})$$

so that the scattering amplitude will not vanish.

Thus:  $\mathbf{Q}$  needs to be a reciprocal lattice vector.

### Laue condition

$$\mathbf{Q} = \mathbf{G}$$

Wave vector transfer has to be a reciprocal lattice vector

# Reciprocal Lattice

1-D: defined by (ii a):  $a_i \bullet a_j^* = 2\pi \delta_{ij}$

2-D and 3-D:

$$a_1^* = \frac{2\pi}{v} a_2 \times a_3$$

$$a_2^* = \frac{2\pi}{v} a_3 \times a_1$$

$$a_3^* = \frac{2\pi}{v_c} a_1 \times a_2$$

with  $v_c = a_1 \bullet (a_2 \times a_3)$

Note: in 2-D  $a_3$  is chosen to be a unit vector normal to the 2-D plane spanned by  $a_1$  and  $a_2$ .

Example: fcc lattice

$$a_1 = \left(\frac{a}{2}\right) (y' + z'), \quad a_2 = \left(\frac{a}{2}\right) (z' + x'),$$

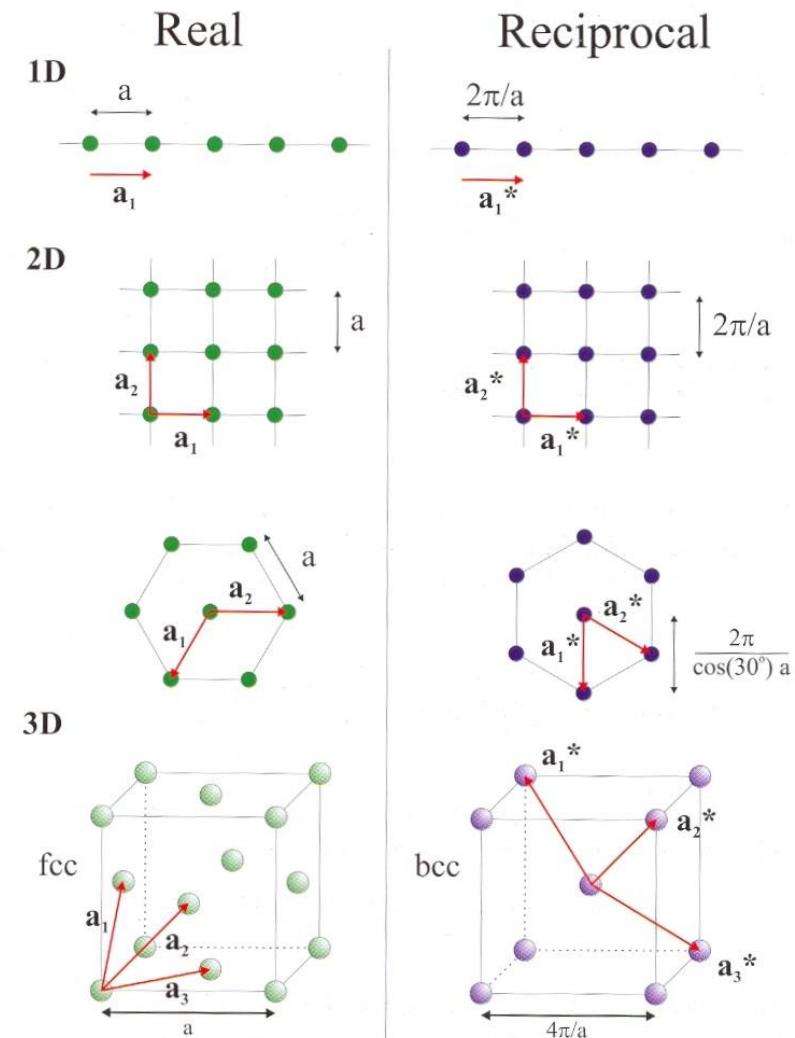
$$a_3 = \left(\frac{a}{2}\right) (x' + y')$$

$$a_1^* = \frac{4\pi}{a} \left( \frac{y'}{2} + \frac{z'}{2} - \frac{x'}{2} \right)$$

$$a_2^* = \frac{4\pi}{a} \left( \frac{z'}{2} + \frac{x'}{2} - \frac{y'}{2} \right)$$

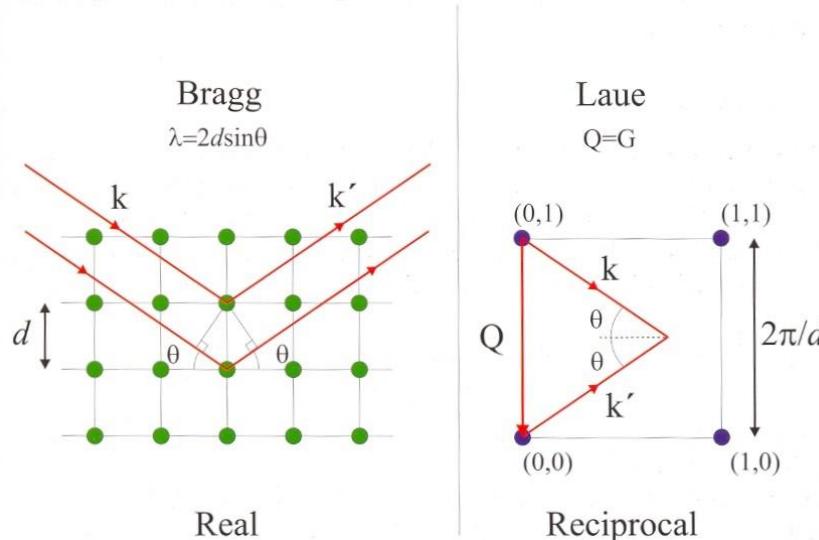
$$a_3^* = \frac{4\pi}{a} \left( \frac{x'}{2} + \frac{z'}{2} - \frac{y'}{2} \right)$$

( $x'$ ,  $y'$ ,  $z'$  unit vectors)



# Equivalence of the Laue and the Bragg Conditions

(a) Equivalence of Bragg and Laue



$$\text{Bragg's law: } \sin\theta = \frac{\lambda}{2d}$$

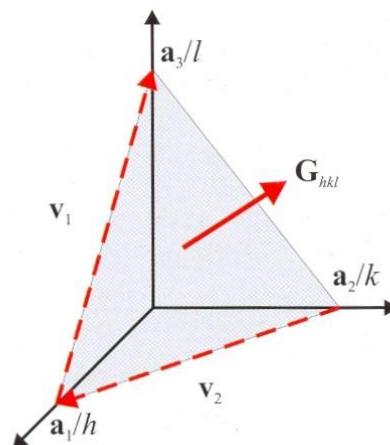
The Laue condition requires  
 $\mathbf{Q} = \mathbf{G}$

Example:

$$\begin{aligned}\mathbf{Q} &= (0,1) = 0 \bullet \mathbf{a}_1^* + 1 \bullet \mathbf{a}_2^* \\ &= \frac{2\pi}{d} \mathbf{x}_2,\end{aligned}$$

$$\sin\theta = \frac{\left(\frac{\mathbf{Q}}{2}\right)}{\mathbf{k}} = \frac{\mathbf{Q}\lambda}{4\pi}$$

$$\sin\theta = \frac{\frac{2\pi}{d}\lambda}{4\pi} = \frac{\lambda}{2d} \text{ q. e. d.}$$



# The Ewald Sphere

Visualization of diffraction effects in reciprocal space (a).

Laue condition requires  $\mathbf{Q} = \mathbf{G} = h\mathbf{a}_1^* + k\mathbf{a}_2^*$

Design sphere with radius  $k$  pointing to origin (b).

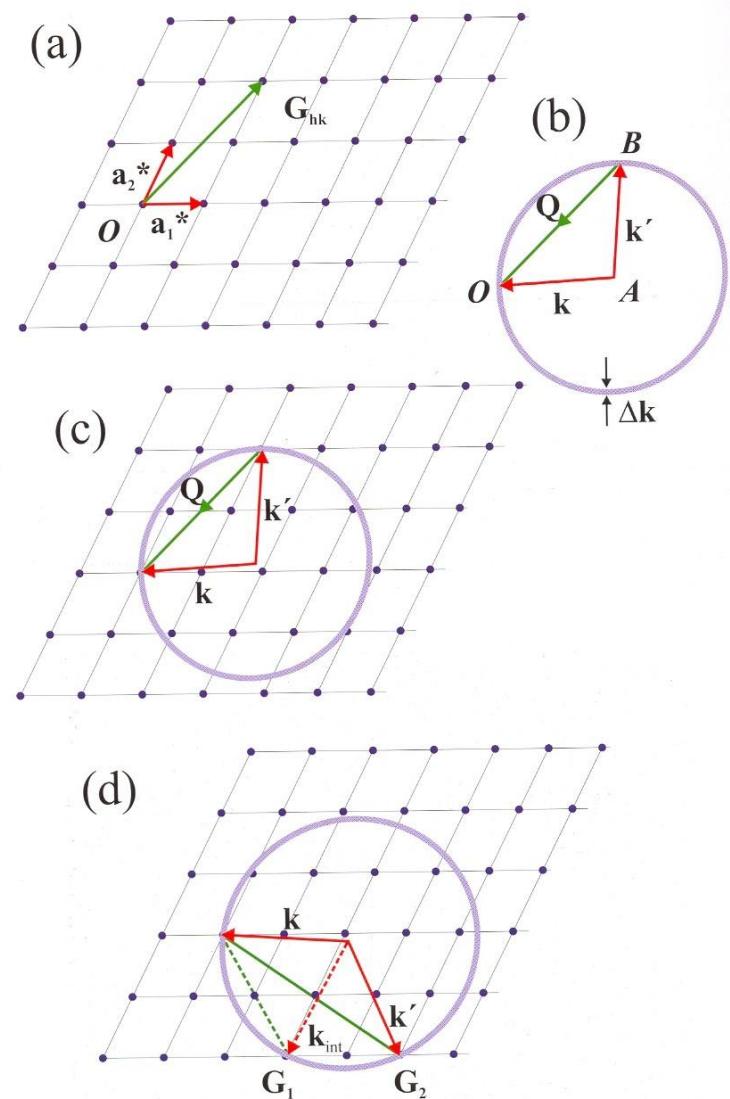
If any reciprocal lattice point falls on the circle then the Laue conditions is fulfilled (c).

Intensity is observed if the detector is placed in the direction of  $\mathbf{k}'$  (c).

A rotation about O corresponds to a rotation of the crystal.

**Note:** More than one reciprocal lattice point can lie on the sphere  $\equiv$  multiple scattering.

If the beam is not monochromatic the sphere adopts the corresponding width. In the white beam case all spots are ultimately detected.

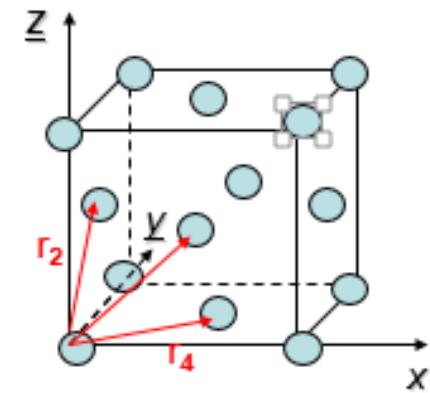


# The Unit Cell Structure Factor

$$F_{\text{uc}}(\mathbf{Q}) = \sum_{rj} F_j^{\text{mol}}(\mathbf{Q}) e^{i\mathbf{Q}\cdot\mathbf{r}_j}$$

Example: fcc lattice (*use conventional cubic unit cell*)

$$\mathbf{r}_1 = \mathbf{0} , \quad \mathbf{r}_2 = \frac{1}{2}a(\underline{\mathbf{y}} + \underline{\mathbf{z}}) , \quad \mathbf{r}_3 = \frac{1}{2}a(\underline{\mathbf{z}} + \underline{\mathbf{x}}) , \quad \mathbf{r}_4 = \frac{1}{2}a(\underline{\mathbf{x}} + \underline{\mathbf{y}})$$



$$\mathbf{G} = h\mathbf{a}_1^* + k\mathbf{a}_2^* + l\mathbf{a}_3^*$$

$$\mathbf{a}_1^* = \frac{2\pi}{v_c} (\mathbf{a}_2 \times \mathbf{a}_3) = \frac{2\pi}{a^3} [\underline{\mathbf{a}\mathbf{y}} \times \underline{\mathbf{a}\mathbf{z}}] = \frac{2\pi}{a} [\underline{\mathbf{y}} \times \underline{\mathbf{z}}] = \frac{2\pi}{a} \underline{\mathbf{x}}$$

$$\mathbf{a}_2^* = \frac{2\pi}{v_c} (\mathbf{a}_2 \times \mathbf{a}_3) = \frac{2\pi}{a^3} [\underline{\mathbf{a}\mathbf{z}} \times \underline{\mathbf{a}\mathbf{x}}] = \frac{2\pi}{a} [\underline{\mathbf{z}} \times \underline{\mathbf{x}}] = \frac{2\pi}{a} \underline{\mathbf{y}}$$

$$\mathbf{a}_3^* = \frac{2\pi}{v_c} (\mathbf{a}_2 \times \mathbf{a}_3) = \frac{2\pi}{a^3} [\underline{\mathbf{a}\mathbf{x}} \times \underline{\mathbf{a}\mathbf{y}}] = \frac{2\pi}{a} [\underline{\mathbf{x}} \times \underline{\mathbf{y}}] = \frac{2\pi}{a} \underline{\mathbf{z}}$$

$$v_c = \mathbf{a}_1 \bullet (\mathbf{a}_2 \times \mathbf{a}_3)$$

$$\mathbf{G} \bullet \mathbf{r}_1 = \frac{2\pi}{a} (h\underline{\mathbf{x}} + k\underline{\mathbf{y}} + l\underline{\mathbf{z}}) \bullet \mathbf{0} = 0$$

$$\mathbf{G} \bullet \mathbf{r}_2 = \frac{2\pi}{a} (h\underline{\mathbf{x}} + k\underline{\mathbf{y}} + l\underline{\mathbf{z}}) \bullet \frac{1}{2a} (\underline{\mathbf{y}} \times \underline{\mathbf{z}}) = \pi(k + l)$$

$$\mathbf{G} \bullet \mathbf{r}_3 = \frac{2\pi}{a} (h\underline{\mathbf{x}} + k\underline{\mathbf{y}} + l\underline{\mathbf{z}}) \bullet \frac{1}{2a} (\underline{\mathbf{z}} \times \underline{\mathbf{x}}) = \pi(h + l)$$

$$\mathbf{G} \bullet \mathbf{r}_4 = \frac{2\pi}{a} (h\underline{\mathbf{x}} + k\underline{\mathbf{y}} + l\underline{\mathbf{z}}) \bullet \frac{1}{2a} (\underline{\mathbf{x}} \times \underline{\mathbf{y}}) = \pi(h + k)$$

# The Unit Cell Structure Factor for a fcc Lattice

$$F_{hkl}^{fcc}(Q) = \sum_{j=1-4} f(Q)e^{iQr_j} = f(Q)[e^{iGr_1} + \dots e^{iGr_4}]$$

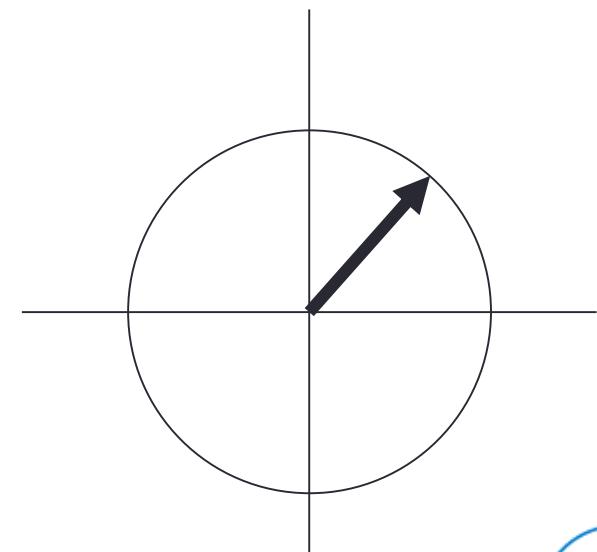
$$F_{hkl}^{fcc}(Q) = f(Q) [ 1 + e^{i\pi(k+l)} + e^{i\pi(h+l)} + e^{i\pi(h+k)} ]$$

$$= \begin{cases} 4 & \text{if } h, k, l \text{ are all even or odd} \\ 0 & \text{otherwise} \end{cases}$$

$$I_{hkl}^{fcc}(Q)(Q) = F(Q) \bullet F^*(Q)$$

## Reflections:

- 100 forbidden
- 111 allowed
- 200 allowed



# Lattice Sums

$$S_N(Q) = \sum_{R_N} e^{iQ R_N}$$

1D:  $R_N = n a$

$$S_N(Q) = \sum_{n=0}^{N-1} e^{iQna}$$

$$|S_n(Q)| = \frac{\sin(NQa/2)}{\sin(Qa/2)}$$

Als-Nielsen&McMorrow p.51

Laue condition almost fulfilled:

$$Q = (h + \xi)a^*$$

$$|S_N(\xi)| = \frac{\sin(N\pi\xi)}{\sin(\pi\xi)}$$

$$|S_N(Q)| = \xrightarrow[N \text{ large}, \xi \rightarrow 0]{} N$$

Width:

$$\left| S_N\left(\xi = \frac{1}{2N}\right) \right| \approx \left( \frac{2}{\pi} \right)^N \approx \frac{1}{2} N$$

$$\text{FWHM} \sim 1/N$$

N large:

$$|S_N(\xi)| \longrightarrow \delta(\xi)$$

$$|S_N(Q)| \longrightarrow a^* \Sigma_{Gh} \delta(Q - G_h)$$

$$|S_N(Q)|^2 \longrightarrow N a^* \Sigma_{Gh} \delta(Q - G_h)$$

# Lattice Sums (2D & 3D)

$$S_N(Q) = \sum_{R_N} e^{iQR_N}$$

2D:

$$|S_N(\xi_1, \xi_2)| \longrightarrow N_1 N_2 \delta(\xi_1) \delta(\xi_2)$$

For large N1, N2:

$$|S_N(Q)|^2 \longrightarrow (N_1 a_1^*)(N_2 a_2^*) \delta(Q - G) = N A^* \delta(Q - G)$$

A\* area of unit cell in reciprocal space

3D:

$$|S_N(Q)|^2 \longrightarrow N v_c^* \delta(Q - G)$$

with  $G=ha_1^*+ka_2^*+la_3^*$ , N: number of unit cells,  $v_c^*$ : volume unit cell in reciprocal space

# Further Topics

Quasi-periodic Lattices

Crystal Truncation Rods

Lattice Vibrations, Debye-Waller Factor, TDS

Lorentz Factor

Diffraction from a Fiber

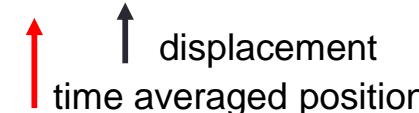
2-D Crystallography

# Lattice Vibrations, Debye-Waller Factor, TDS (1)

$$F^{\text{crystal}}(Q) = \sum_n f(Q) e^{i Q \bullet r_n}$$

Elastic waves (phonons) excited at finite T.

Effect of vibrations:  $r_n = R_n + u_n$



$\langle u_n \rangle = 0$     $\langle \cdot \rangle$ : thermal average

$$I = \left\langle \sum_m f(Q) e^{i Q (R_m + u_m)} \times \sum_n f^*(Q) e^{-i Q (R_n + u_n)} \right\rangle$$

$$= \sum_m \sum_n f(Q) f^*(Q) e^{i Q (R_m - R_n)} \times \langle e^{i Q (u_m - u_n)} \rangle$$

for  $u_m \parallel Q$  :       $u_{Qm}$

$$\langle e^{i Q (u_m - u_n)} \rangle = \langle e^{i Q (u_{Qm} - u_{Qn})} \rangle$$

Gaussian distribution of displacements:

$$\langle e^{ix} \rangle = e^{-x^2}$$

$$\langle e^{i Q (u_{Qm} - u_{Qn})} \rangle = e^{-\frac{1}{2} \langle Q^2 (u_{Qm} - u_{Qn})^2 \rangle}$$

$$= e^{-\frac{1}{2} Q^2 \langle (u_{Qm} - u_{Qn})^2 \rangle}$$

$$= e^{-\frac{1}{2} Q^2 \langle u_{Qm}^2 \rangle} e^{-\frac{1}{2} Q^2 \langle u_{Qn}^2 \rangle} \times e^{Q^2 \langle u_{Qm} u_{Qn} \rangle}$$

# Lattice Vibrations, Debye-Waller Factor, TDS (2)

$$e^{Q^2 \langle u_{Qm} u_{Qn} \rangle} = 1 + \{ e^{Q^2 \langle u_{Qm} u_{Qn} \rangle} - 1 \}$$

$$\Rightarrow I(Q) = \sum_m \sum_n f(Q) e^{-\frac{1}{2} Q^2 \langle u_{Qm}^2 \rangle} e^{i Q R_m} f^*(Q) e^{-\frac{1}{2} Q^2 \langle u_{Qn}^2 \rangle} e^{-i Q R_n} + \\ \sum_m \sum_n f(Q) e^{i Q R_m} f^*(Q) e^{-i Q R_n} \{ e^{Q^2 \langle u_{Qm} u_{Qn} \rangle} - 1 \}$$

increasing with displacements:  $\langle u_{Qm} u_{Qn} \rangle$

“Thermal Diffuse Scattering” (TDS)

$$f_{atom} = f(Q) e^{-\frac{1}{2} Q^2 \langle u^2 \rangle} = f(Q) e^{-M}$$

with  $e^{-M}$  : Debye-Waller factor

# Thermal Diffuse Scattering (TDS)

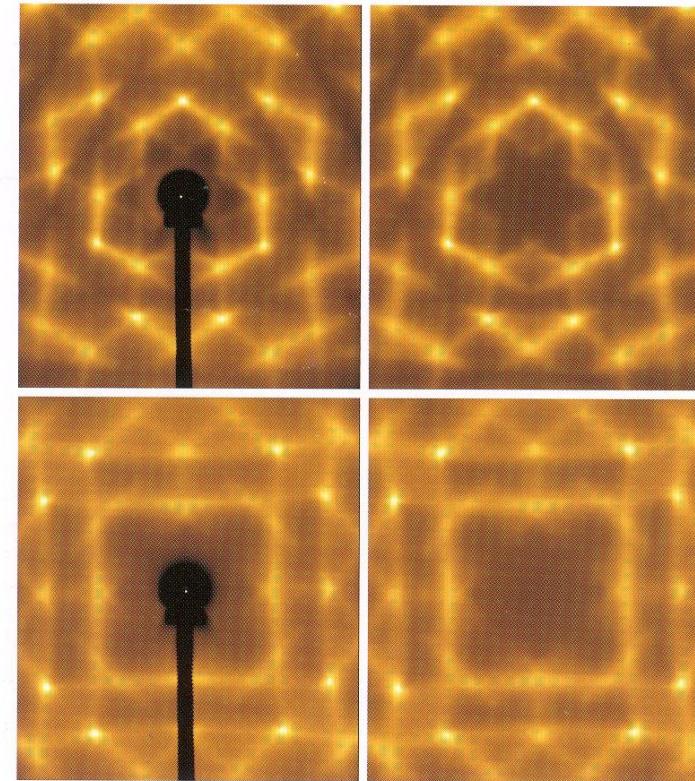


Figure 4.18: Thermal diffuse scattering (TDS) from Si. The data were collected in a transmission geometry (photon energy 28 keV) using an image plate detector. The data were collected on the UNI-CAT beamline at the Advanced Photon Source in an exposure time of  $\sim 10$  s. The top and bottom left panels show the data taken with a (111) and a (100) axis parallel to the incident beam respectively. The data are plotted on a logarithmic scale. The brighter spots are not Bragg peaks, as the Laue condition is never exactly fulfilled, but are due to the build up of TDS close to the position of where the Bragg peaks would occur. The right panels show the corresponding calculated images based on a simultaneous pixel-by-pixel fit to the data [Holt et al., 1999].

# Debye-Waller Factor (DWF)

Unit cell structure factor including the DWF

Within the Debye-model:

$$F^{\text{unit cell}} = \sum_j f_j(Q) e^{-M_j} e^{iQ \bullet r_j}$$

$$B_T = \frac{6h^2}{m_A k_B \Theta} \left\{ \left( \frac{\phi(\Theta/T)}{\Theta/T} \right) + \frac{1}{4} \right\}$$

$$M_j = \frac{1}{2} Q^2 \langle u_j^2 \rangle = \frac{1}{2} \left( \frac{4\pi}{\lambda} \right)^2 (\sin \theta)^2 \langle u_j^2 \rangle$$

$$= B_j^T \left( \frac{\sin \theta}{\lambda} \right)^2$$

$$\text{with } B_j^T = 8\pi^2 \langle u_j^2 \rangle$$

$$\text{With } \phi(x) \equiv \left( \frac{1}{x} \right) \int_0^x \frac{\xi}{e^\xi - 1} d\xi$$

$\Theta$ : Debye temperature

$m_A$ : atomic mass

For isotropic vibrations:

$$\langle u^2 \rangle = \langle u_x^2 + u_y^2 + u_z^2 \rangle = 3 \langle u_c^2 \rangle$$

$$B_{T, \text{isotropic}} = \frac{8\pi^2}{3} \langle u_j^2 \rangle$$

$$B_T [\text{\AA}^2] = \frac{11492 T [\text{K}]}{A \Theta^2 [\text{K}^2]} \phi(\Theta/T) + \frac{2873}{A \Theta [\text{K}]}$$



# Debye-Waller Factor

$$B_T[\text{\AA}^2] = \left\{ \frac{11492T[\text{K}]}{A\Theta^2[\text{K}^2]} \right\} \Phi(\Theta/T) + \frac{2873}{A\Theta[\text{K}]}$$

	A	$\Theta$ (K)	$B_{4.2}$	$B_{77}$	$B_{293}$
			(Å <sup>2</sup> )		
Diamond	12	2230	0.11	0.11	0.12
Al	27	394	0.25	0.30	0.72
Si	28.1	645	0.17	0.18	0.33
Cu	63.5	343	0.13	0.17	0.47
Ge	72.6	374	0.11	0.13	0.35
Mo	96	450	0.06	0.08	0.18

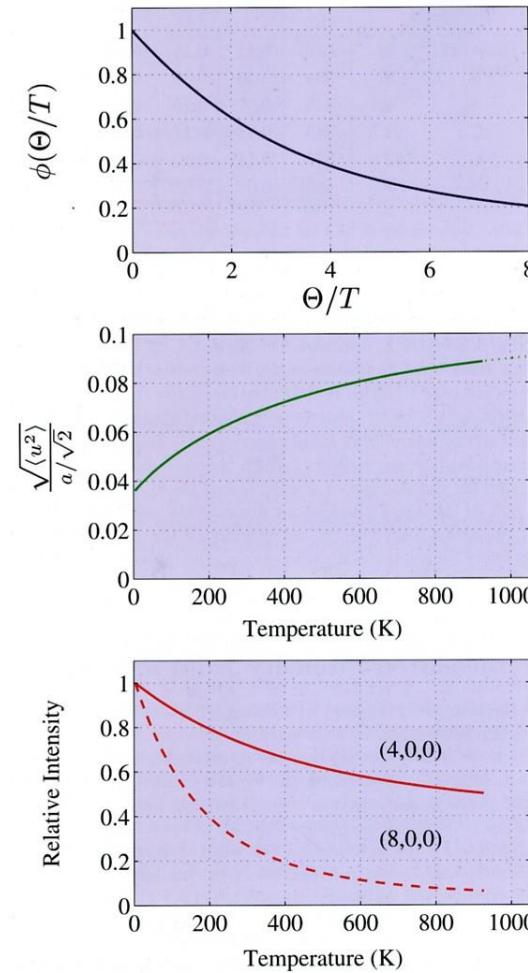


Figure 4.19: \* Top: plot of the value of the integral  $\phi(x)$  versus  $x = \Theta/T$ . Middle: temperature dependence of the rms fluctuation  $u$  in units of  $a/\sqrt{2}$  for Al. Bottom: the relative intensity of the scattered intensity from Al as a function of temperature. The curves were calculated for the  $(4,0,0)$  (solid line) and the  $(8,0,0)$  (dashed line) Bragg peaks respectively. The melting temperature of Al is 933 K.