Field emission from the first principles: Effect of point defects on the value of the workfunction

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Activity at University of Helsinki

Focus of the group:

- Understanding of mechanisms underlying the trigger of arcing in the condition of ultrahigh vacuum
- Radiation effects in materials for the plasma-wall interactions in fusion reactors

Activities:

- Electronic structure calculations
- Atomistic simulations
- Extended time-scale calculations – surface diffusion
- Development of hybrid models to combine the continuum and discrete limits
- Experimental measurement of breakdown characteristics in the small gap large electrode systems
  - Actively collaborating with the group of Dr. Zhenxing Wang from Xi'an Jiaotong University on large gap, small electrode systems

Group at Accelerator Laboratory (Univ. of Helsinki)


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Fusion reactor mat'ls


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Dislocations


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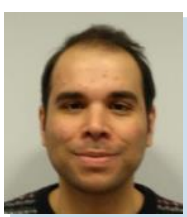
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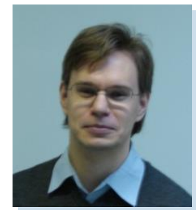
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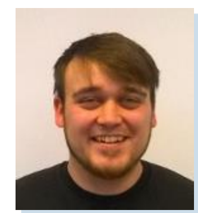
Swift heavy ions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Machine learning

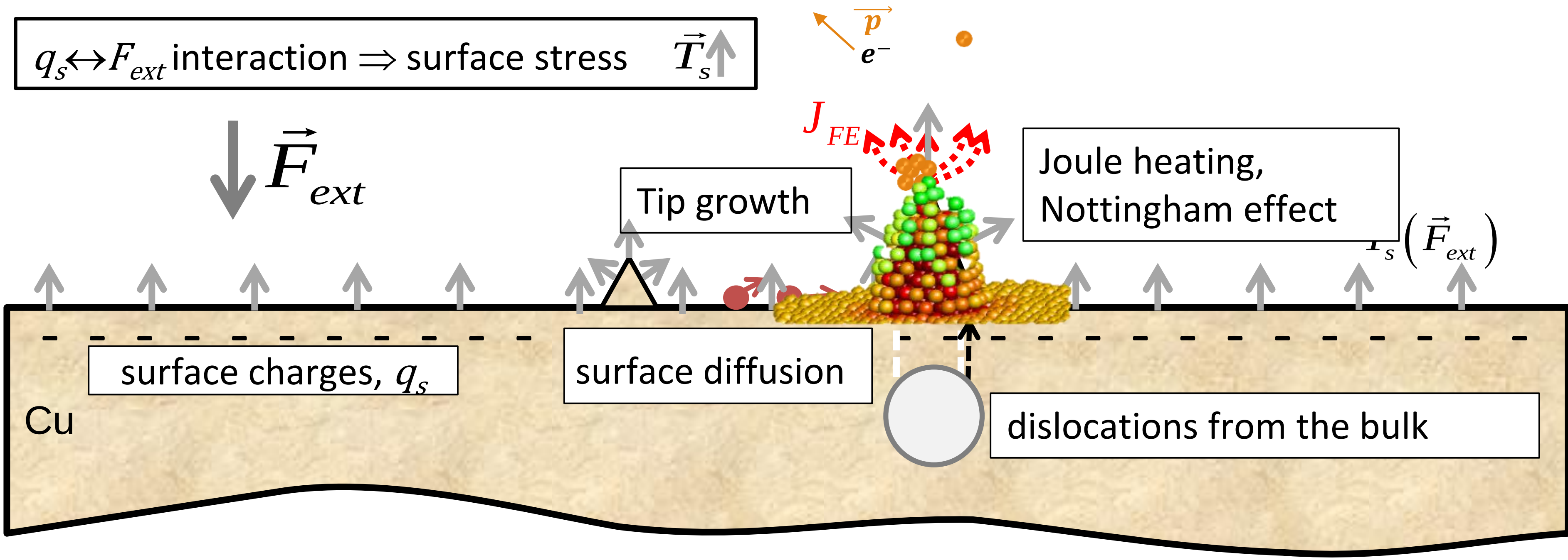

M.Sc. Anton Saressalo
Arcing experiments


M.Sc. Ville Jantunen
Swift heavy ions


M.Sc. Zhipeng Zhou
Electrical arcing


B.Sc. Jonna Romppainen
Particle physics mat'ls

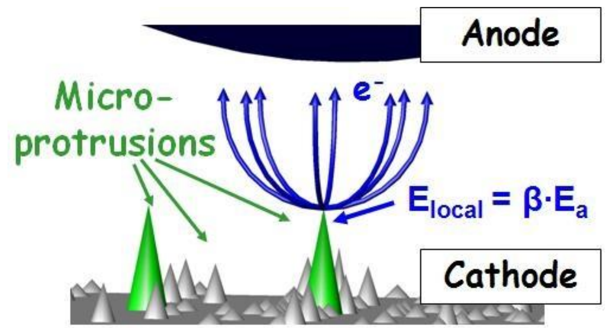
Mechanisms *on* and *under* the surface in the presence of electric fields

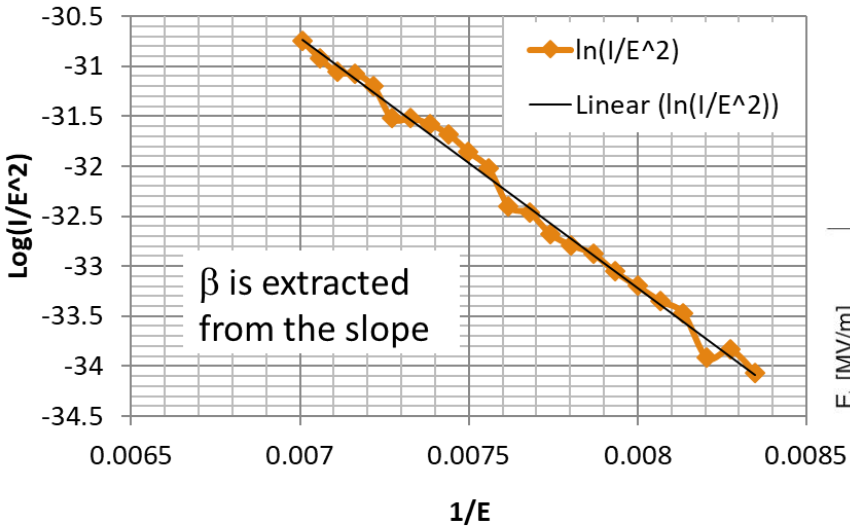


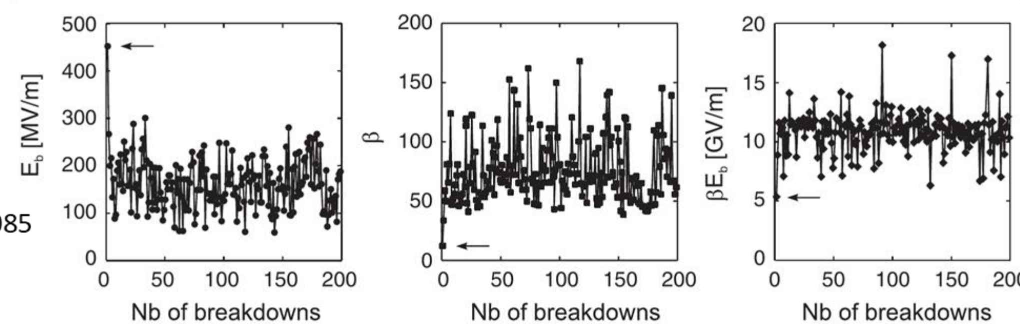
Field emission - β measurement

An I-V scan from a flat surface, performed at limited current, fits to the classical Fowler-Nordheim formula, where $[j_{FE}]$ = A/m^2, [E] = MV/m and [ϕ] = eV (usually 4.5 eV).

$$j_{FE} = \frac{1.54 \cdot 10^6 (\beta \cdot E)^2}{\phi} \exp(10.41 \cdot \phi^{-1/2}) \exp\left(\frac{-6.53 \cdot 10^3 \phi^{3/2}}{\beta E} \right)$$





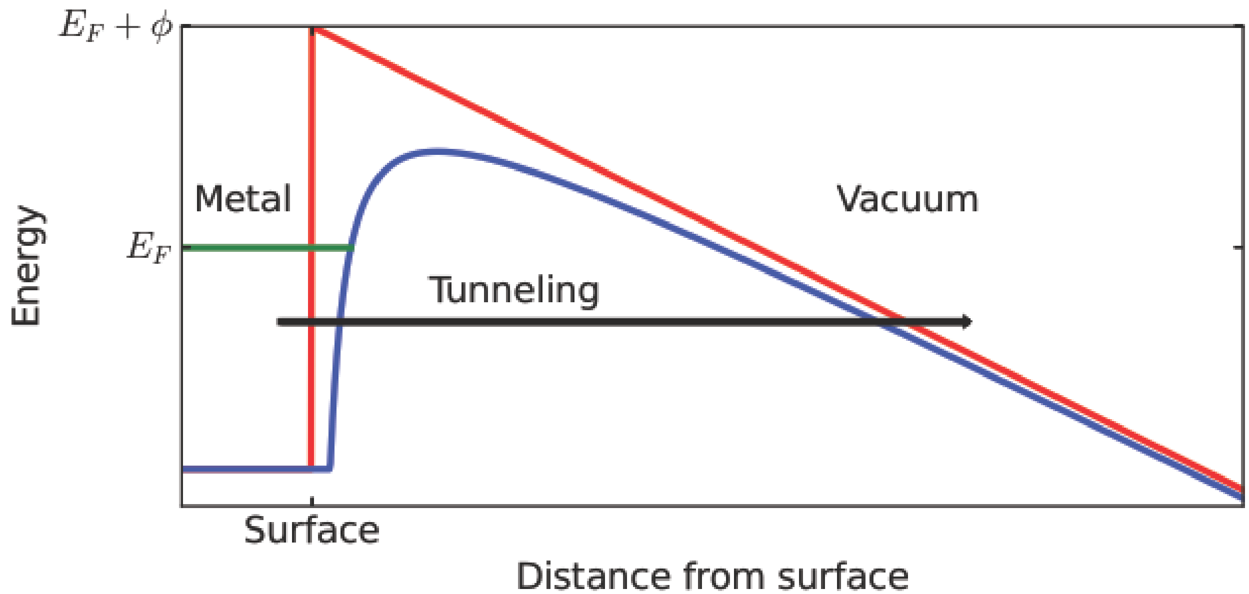


Field Emission

Emission of electrons by tunneling due to an electrostatic field

Dependent on field strength and material/surface

- Potential barrier from surface to vacuum
- The value of a local field determines the width of the barrier
- The value of workfunction, on the other hand, may affect the shape of the barrier to a significant extent



Purpose of the study

Defects present on the surface may alter the energetics in the vicinity of it and, thus, the value of the workfunction may also alter.

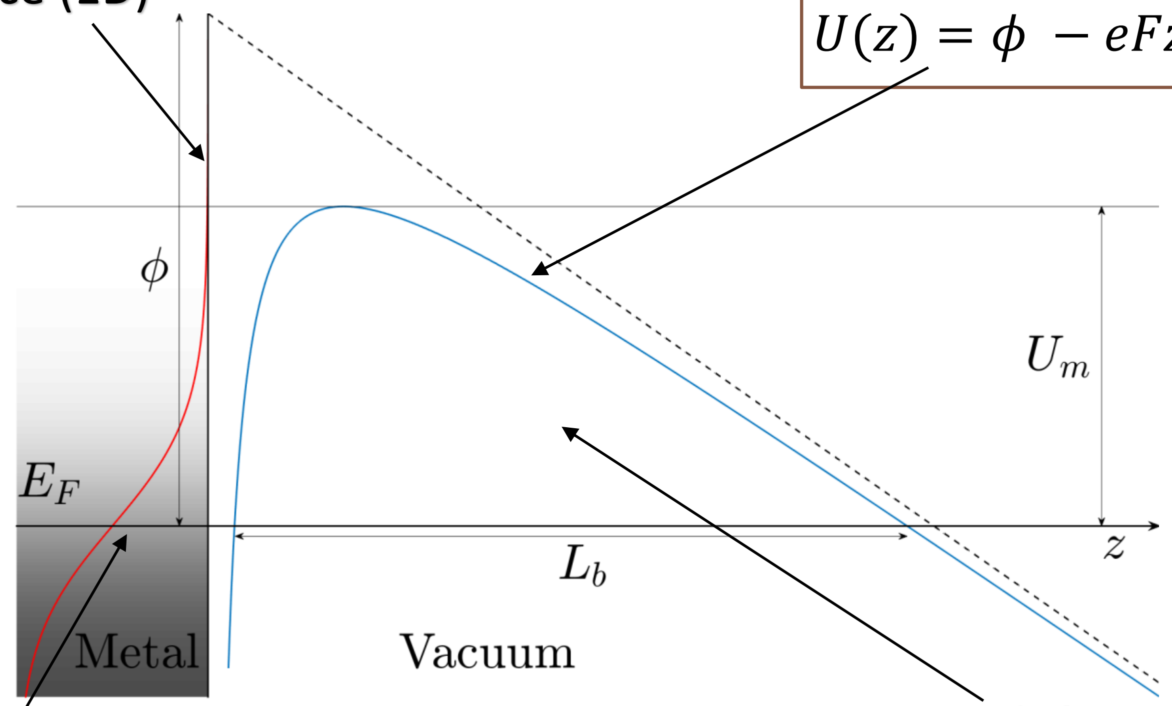
Since the phenomenon of the field emission is based on the transmission of electrons through the barriers, this probability must be calculated based on the quantum-mechanical considerations:

- Work functions
- Tunneling currents
- Field enhancement factors

Standard FN theory

Flat surface (1D)

$$U(z) = \phi - eFz - \frac{Q}{z}$$



Free electron metal:

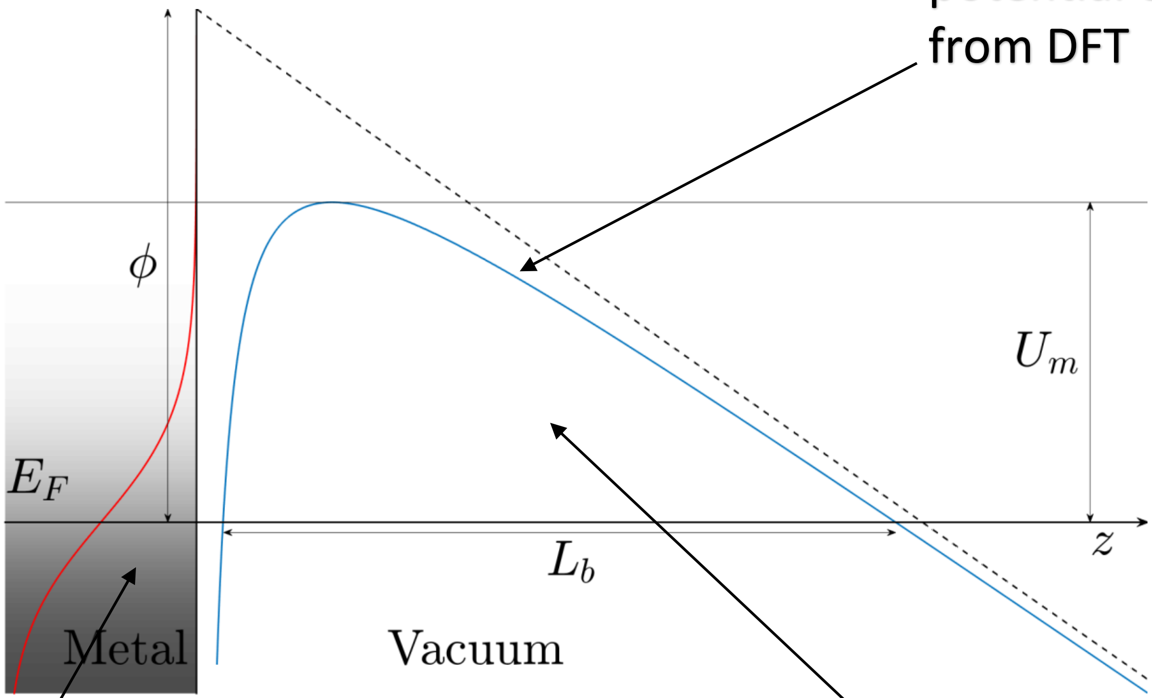
$$E(k) = \frac{\hbar^2}{2m}k^2 = \frac{\hbar^2}{2m}\left(k_x^2 + k_y^2 + k_z^2\right)$$

JWKB approach for transmission:

$$G(E_z) = -\frac{\sqrt{8m}}{\hbar}\int_{z_1}^{z_2}\sqrt{(U(z) - E_z)}dz$$

Ab initio approach

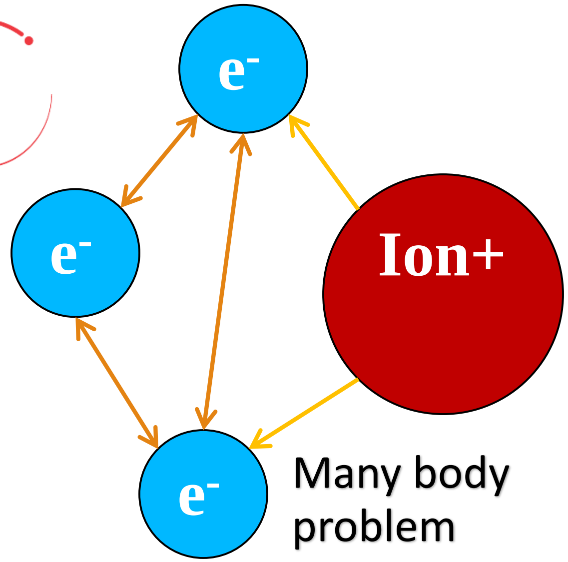
Self-consistent potential obtained from DFT

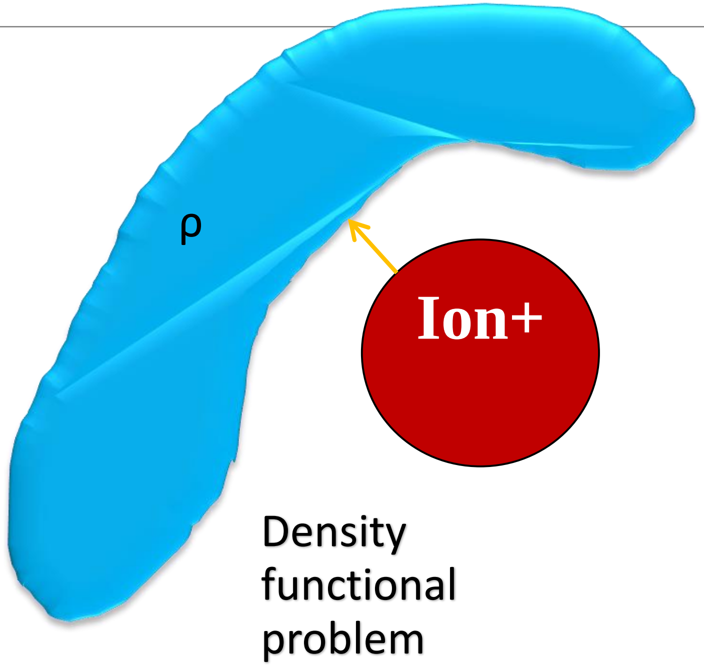


Supply function using density of states obtained fom DFT

Transmission coefficient obtained from quantum transport calculations

Density functional theory





Standard method for electronic and ionic structure calculations

Obtain:

electronic structure (density of states)

Potential seen by a single electron

Quantum-mechanical approach

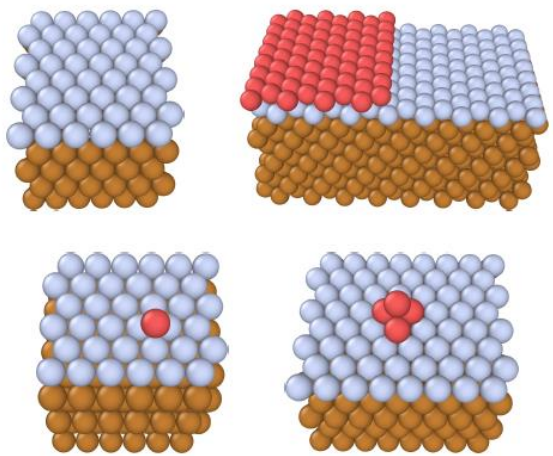
VASP: DFT software

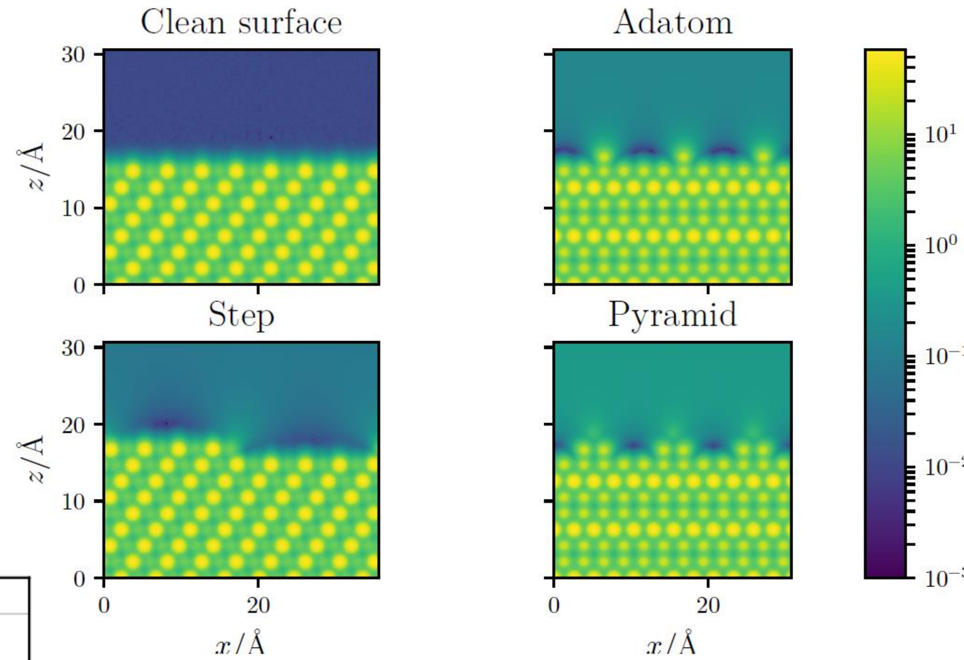
- Plane wave DFT software developed at the University of Vienna
- Relatively fast & accurate (DeltaCodesDFT)
- Interface slightly inconvenient

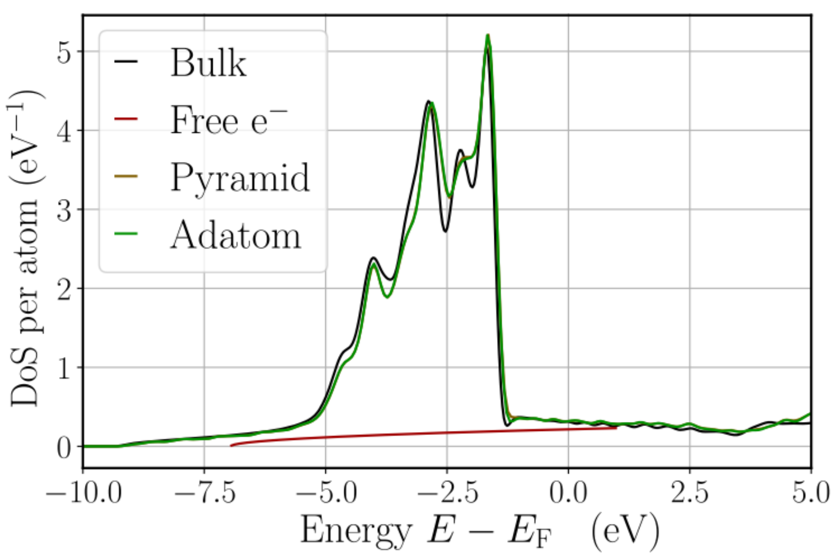
Kwant: Quantum transport software

- Quantum transport with tight-binding Hamiltonians
- Faster than conventional solvers
- Convenient Python interface

DFT calculations on surface defects





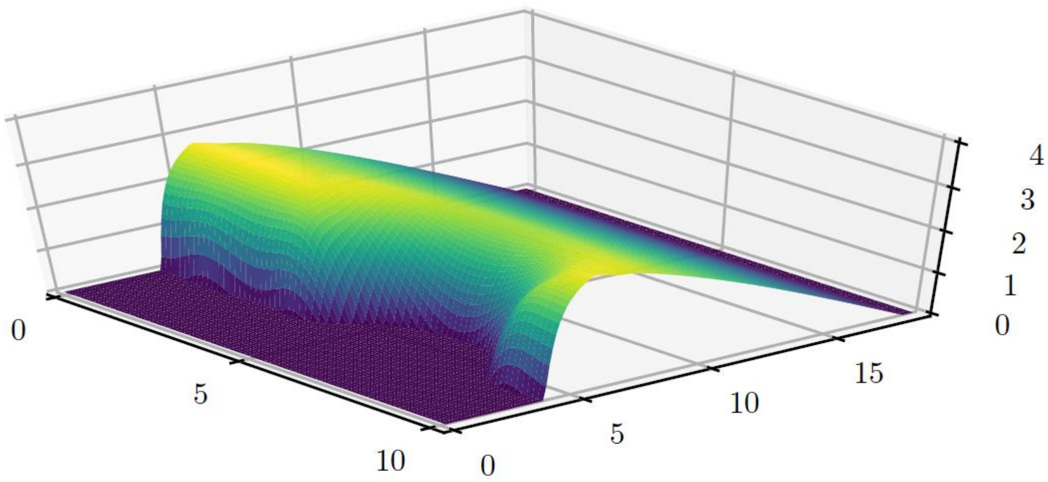


Obtain charge density and potential U everywhere

The potential includes all interactions: e-e, e-ion and e-F_{ext}

Obtain density of states in the material

Quantum transport



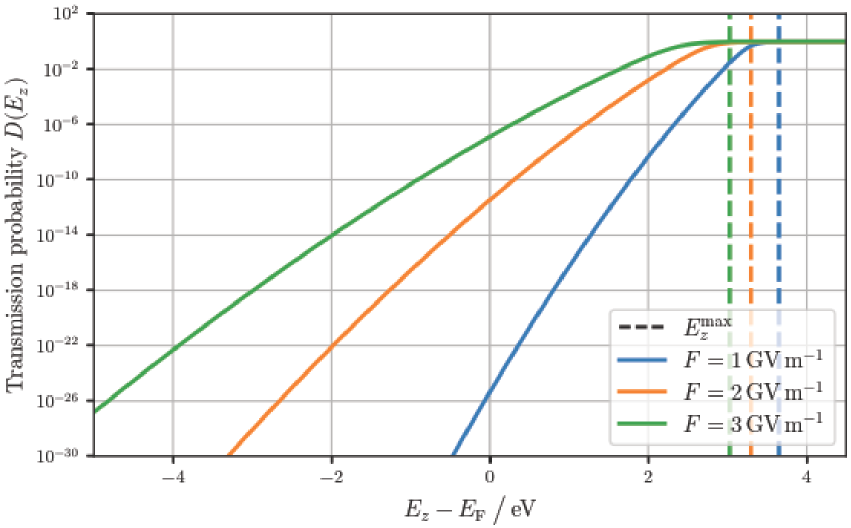
Solve Schrödinger equation for a single electron using numerical FDM method

$$\left.\frac{\partial^2\psi}{\partial x^2}\right|_{x=x_i} = \frac{1}{a^2}\left(\psi_{i+1} - 2\psi_i + \psi_{i-1}\right), \quad \mathcal{H}\psi_{i,j,k} = \sum_{i',j',k'} H_{i',j',k';i,j,k}\psi_{i',j',k'}$$

Obtain transmission coefficient for each energy level

Calculation of current density at different electric fields

The transmission probability and the differential current density for the Schottky–Nordheim barrier. The work function is ϕ = 4.76 eV, the value determined for the (111) copper surface in this work.



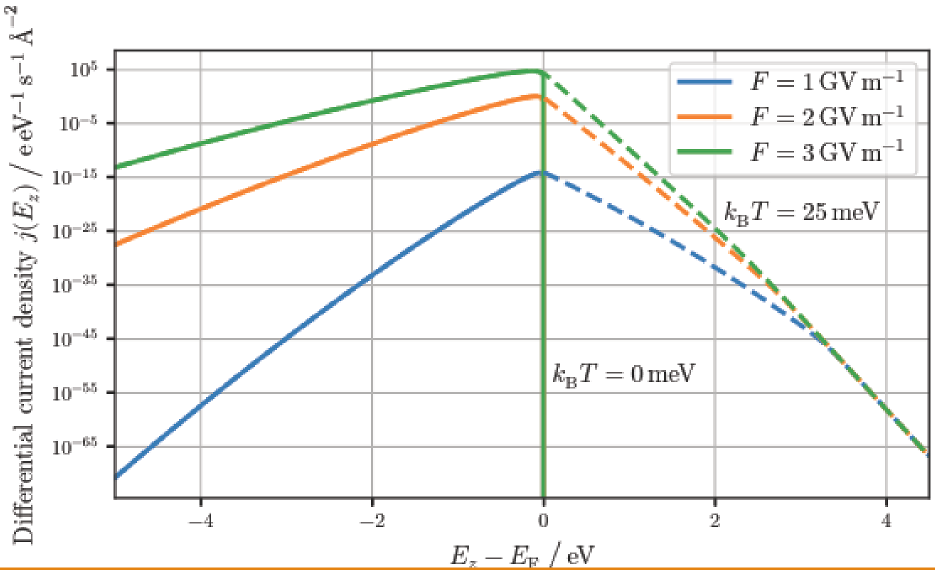
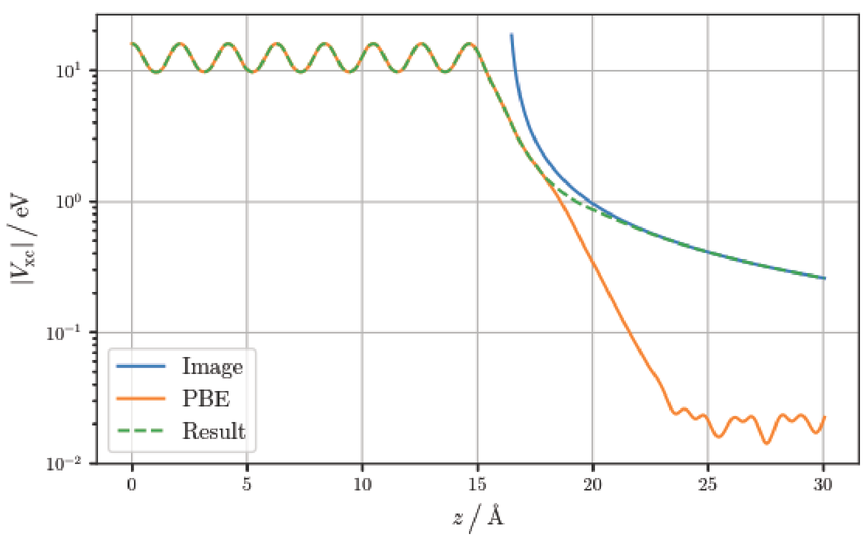


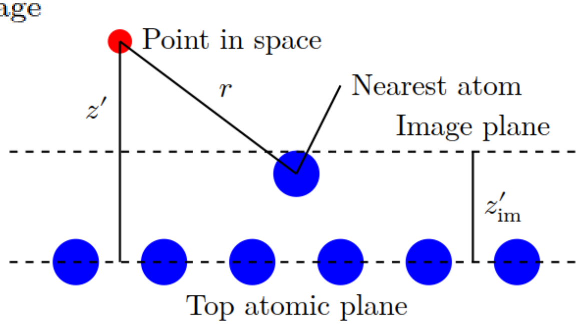
Image potential further away from surface

Both LDA and GGA functionals do not give correct asymptotic form of the potential in the vacuum above a metal surface, vanishing exponentially into the vacuum, since they cannot describe long-range correlation due to their local or semilocal nature.

We merge the existing exchange-correlation functional with the image potential

$$V_{\mathrm{XC}} = f(x)V_{\mathrm{XC}}^{\mathrm{PBE}} + (1 - f(x))V_{\mathrm{XC}}^{\mathrm{Image}}$$

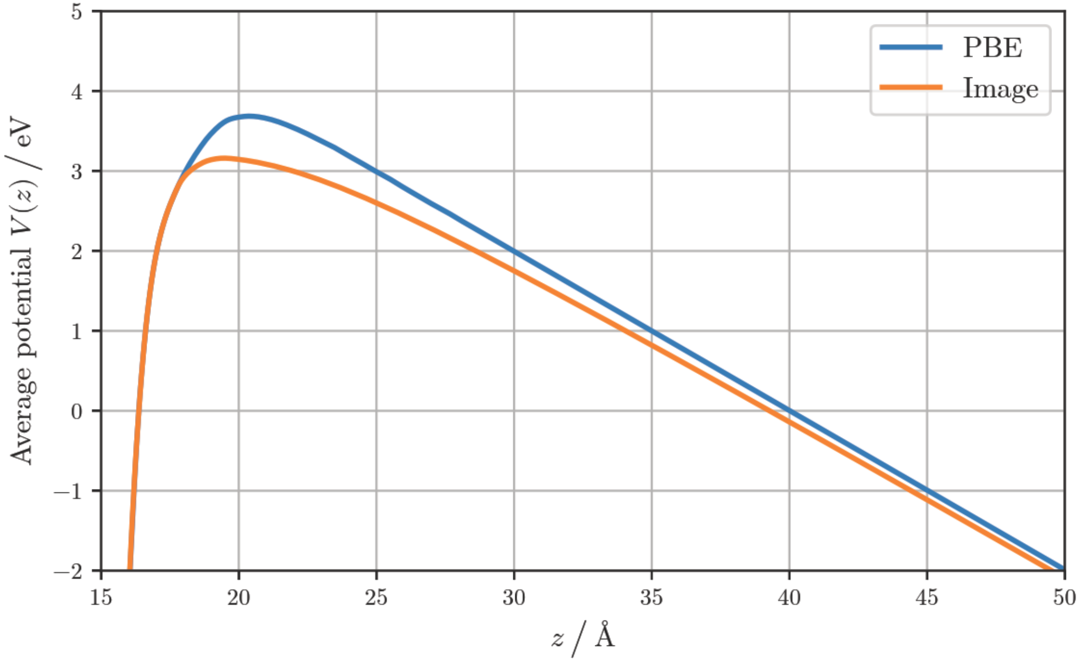




$$f(x) = \begin{cases} 1.0 & x \leq 0 \\ \exp(-x/\lambda_x) + [1 - \exp(-x/\lambda_x)]\exp(-x) & x > 0 \end{cases}$$

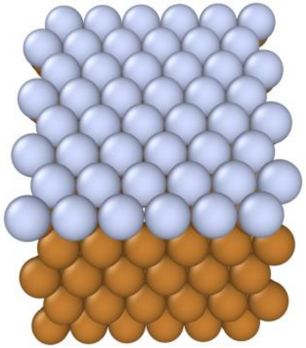
Image potential further away from surface

Final shape of the corrected potential for a system with a clean surface and an applied electric field of 2 GV m−1. The image potential decreases the barrier height by approximately 0.5 eV and makes the barrier slightly thinner. This has the effect of increasing the emitted current by approximately one order of magnitude.



Workfunction at the surface defects in VASP

Clean



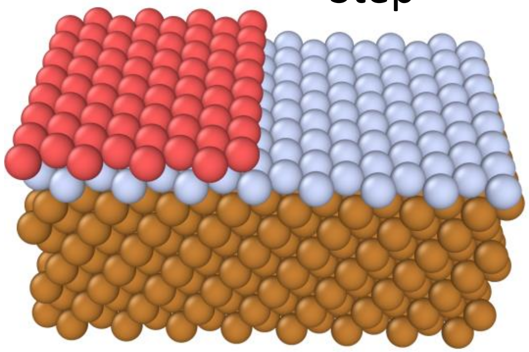
Clean: 4.76 eV (lit. 4.85 eV exp. / 4.78 eV DFT)

Step: 4.66 eV (−0.10 eV)

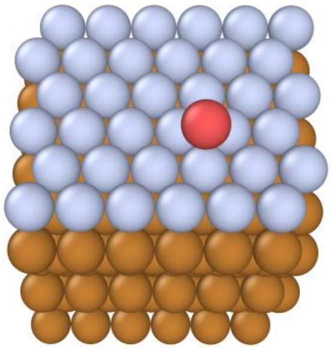
Adatom: 4.44 eV (−0.32 eV)

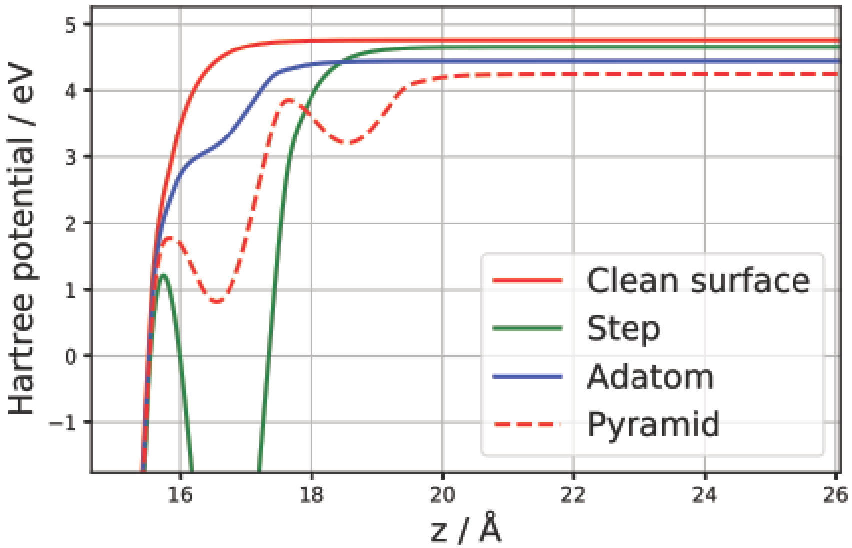
Pyramid: 4.25 eV (−0.51 eV)

Step

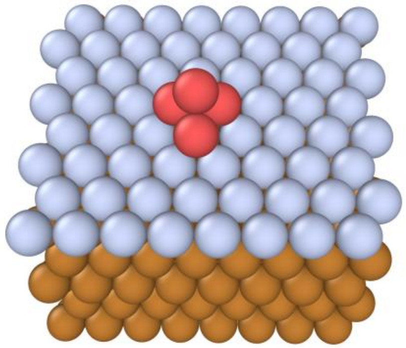


Adatom





Pyramid



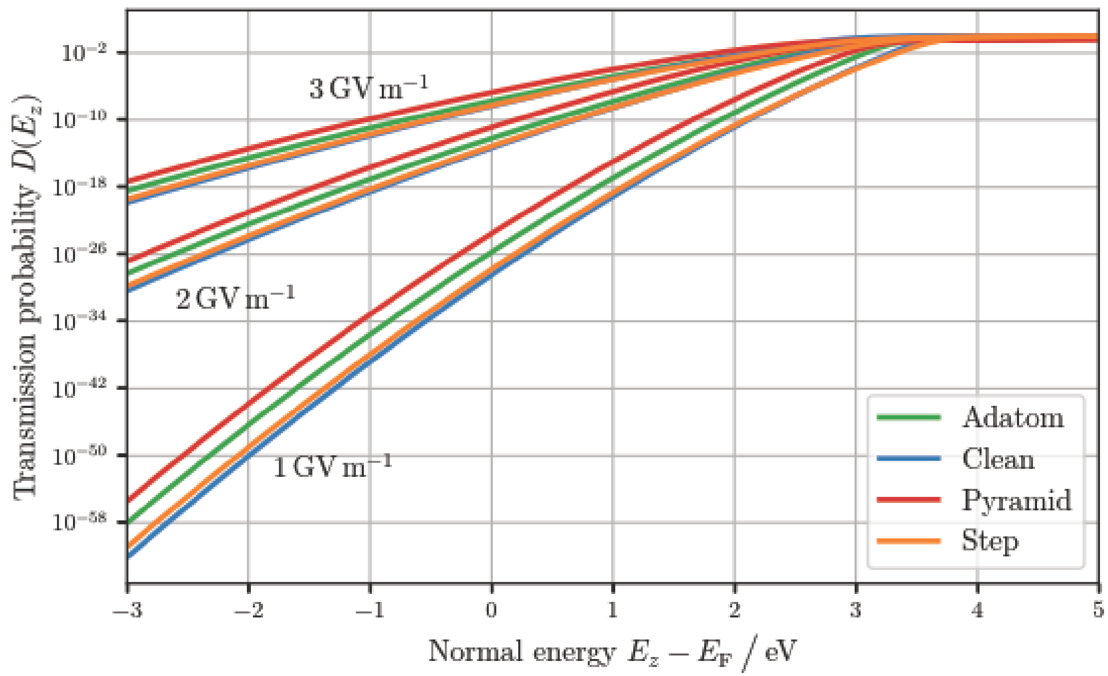
Transmission probability with surface defects

All curves are qualitatively similar

Note that all curves are almost parallel near the Fermi level

Slopes change only of at high energies near the top of the barrier which are irrelevant for field emission (according to the Fermi–Dirac statistics supply function vanishes).

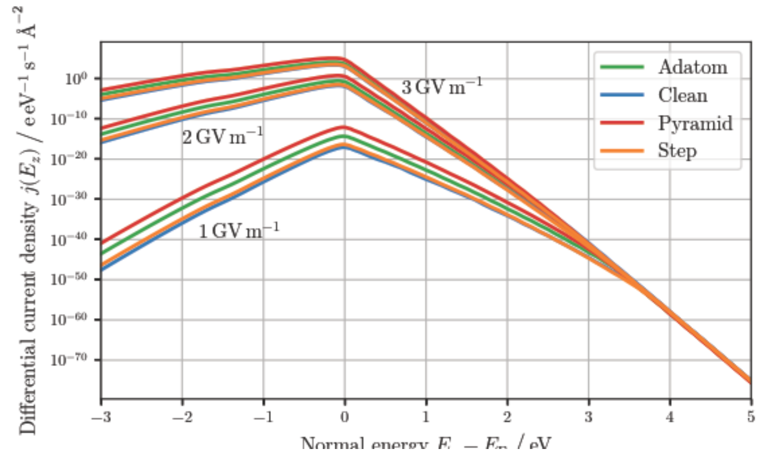
Stronger fields -> flatter curves -> the transmission probability is capped at unity and thus become equally large everywhere



Field emission currents

The total emitted current densities can be computed by integrating the differential current density in the whole energy range.

Field emission electron currents for the different systems and electric fields at zero temperature in e s^{-1} $Å^{-2}$. The results for the Schottky–Nordheim barrier are shown for comparison.



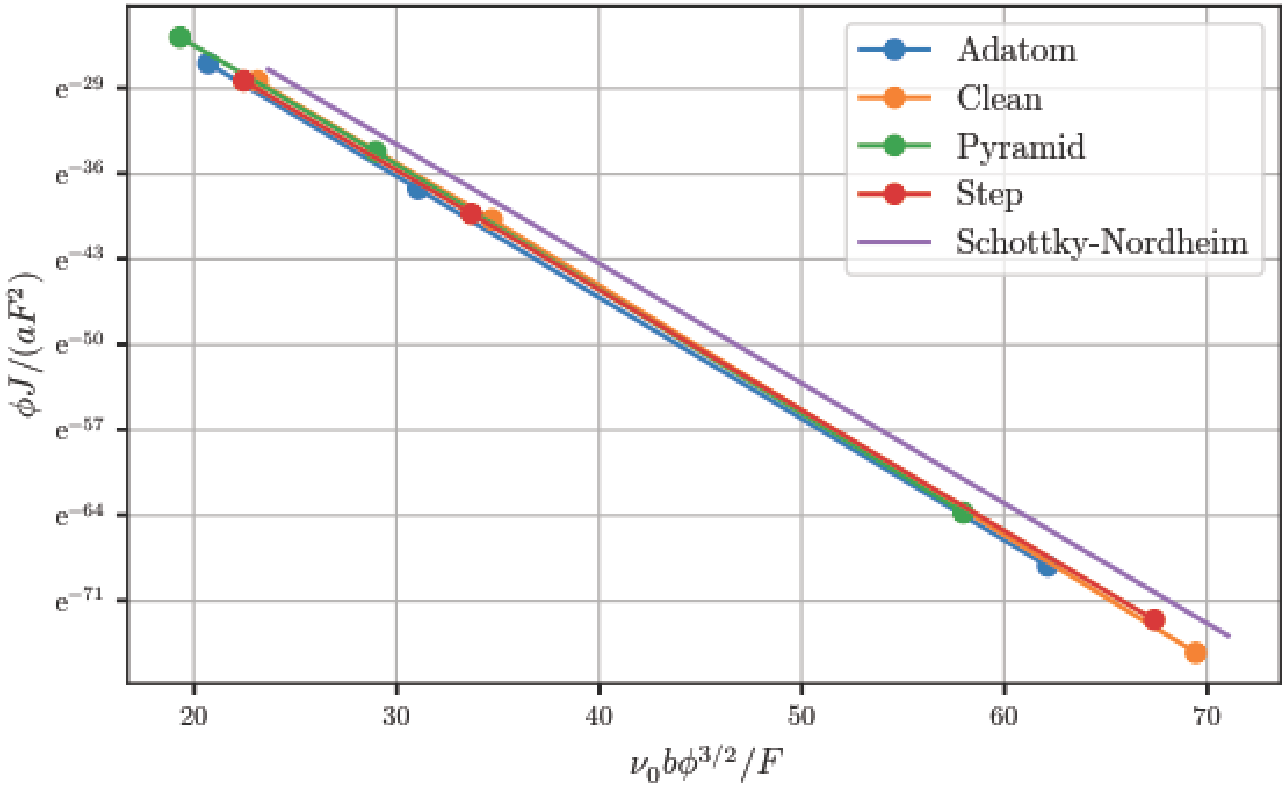
System \ Field	1 GV m^{-1}	2 GV m^{-1}	3 GV m^{-1}
S.–N. barrier	$2.47 \cdot 10^{-18}$	$1.37 \cdot 10^{-2}$	$2.93 \cdot 10^{3}$
Clean surface	$5.46 \cdot 10^{-19}$	$5.76 \cdot 10^{-3}$	$1.10 \cdot 10^{3}$
Step defect	$8.33 \cdot 10^{-18}$	$9.50 \cdot 10^{-3}$	$1.15 \cdot 10^{3}$
Adatom defect	$7.20 \cdot 10^{-16}$	$7.54 \cdot 10^{-2}$	$4.98 \cdot 10^{3}$
Pyramid defect	$5.95 \cdot 10^{-13}$	1.66	$4.45 \cdot 10^{4}$

Fowler-Nordheim plot

Linearized plot of Fowler-Nordheim equation

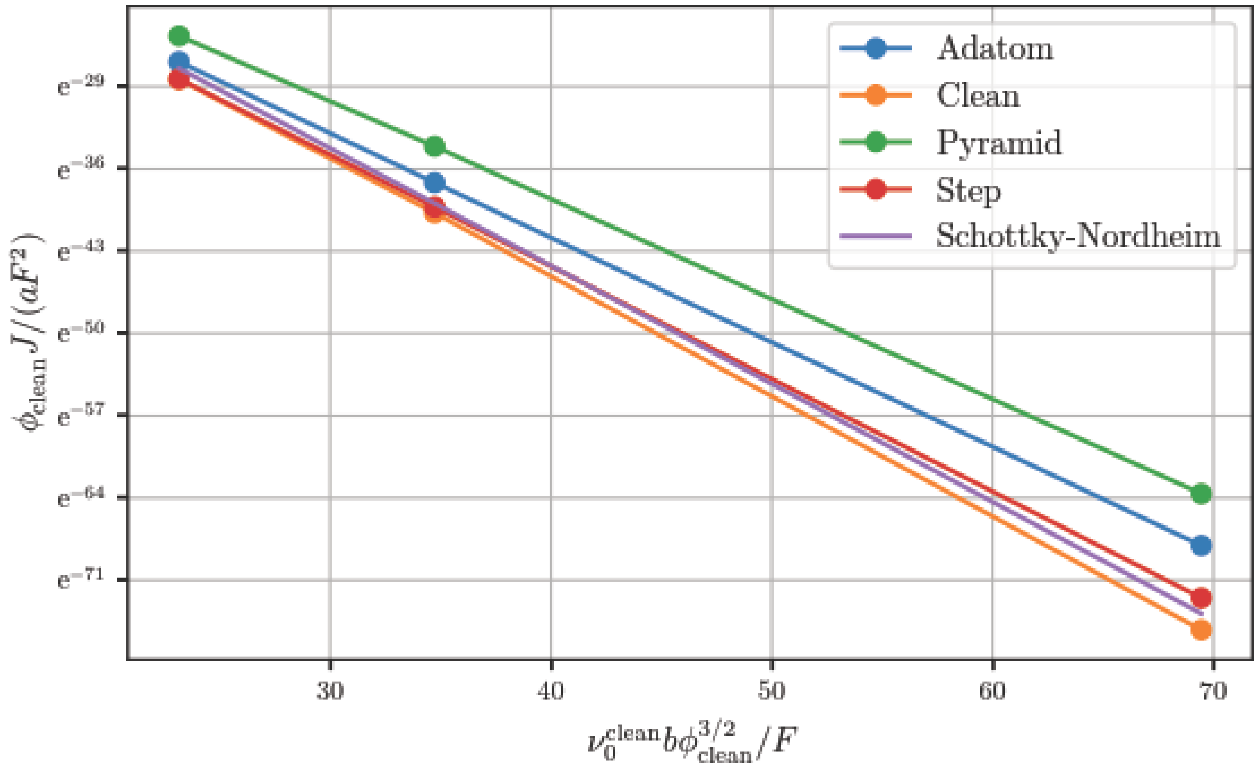
Approximately linear for metal emitters

Parallel lines ⇒ no field enhancement

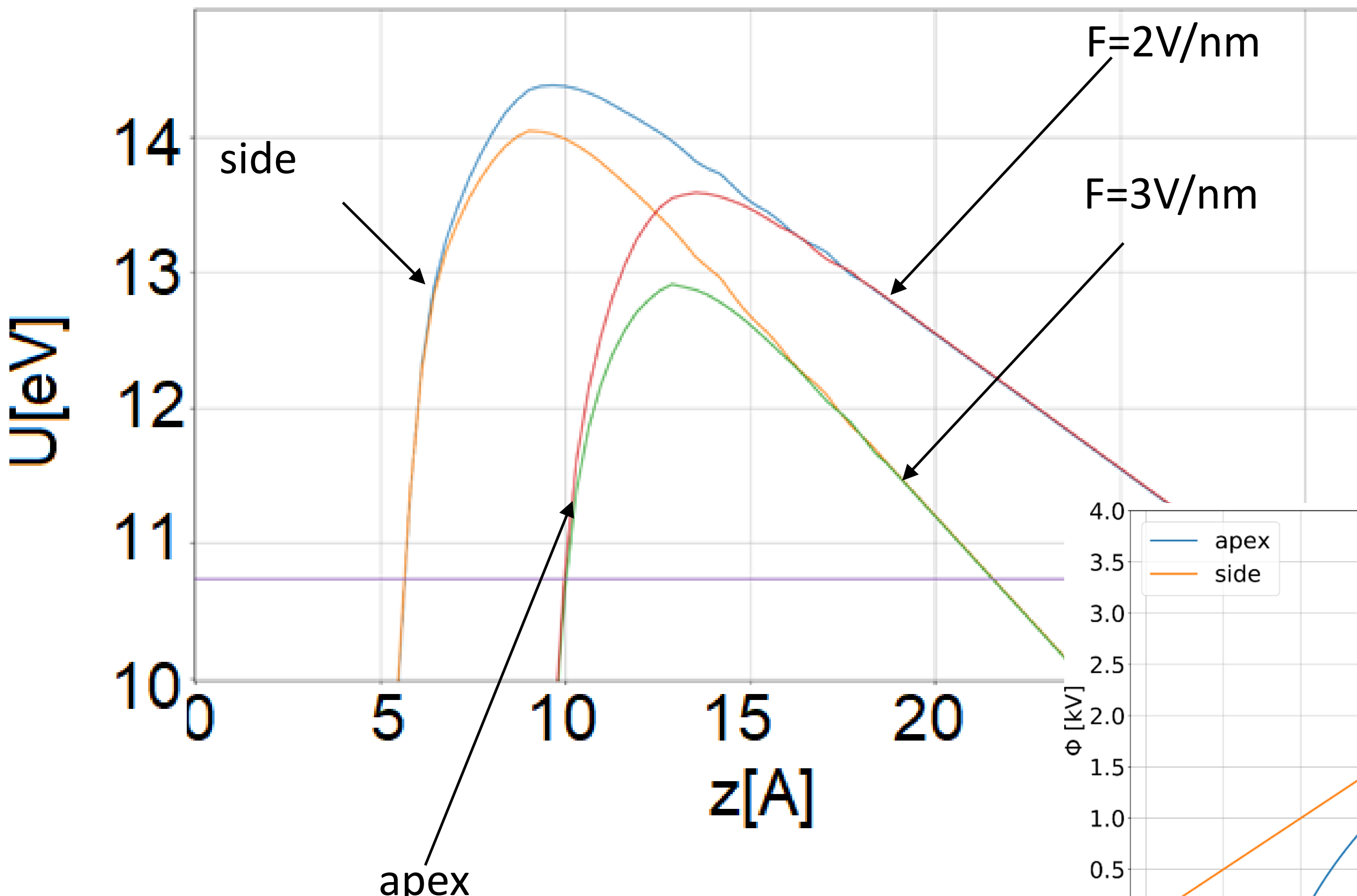


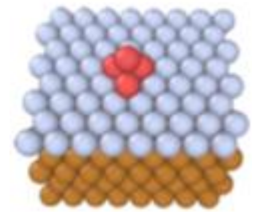
Apparent geometric field enhancement

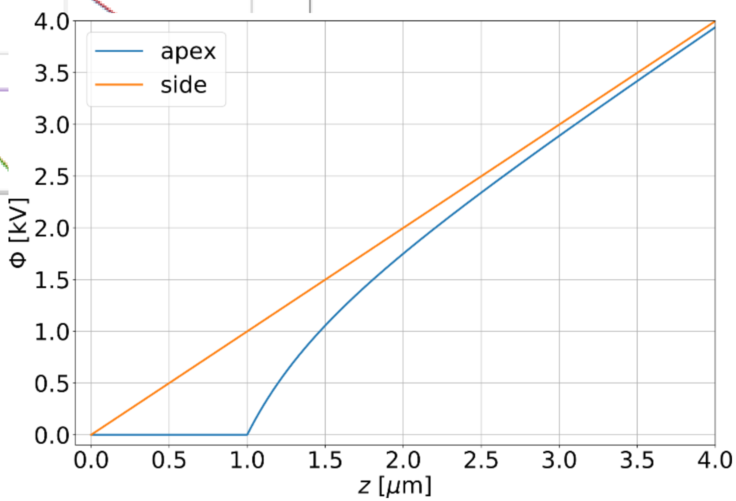
The apparent field enhancement factor of the adatom and pyramid defects are now approximately 1.14 and 1.24 respectively.



No field enhancement







Summary

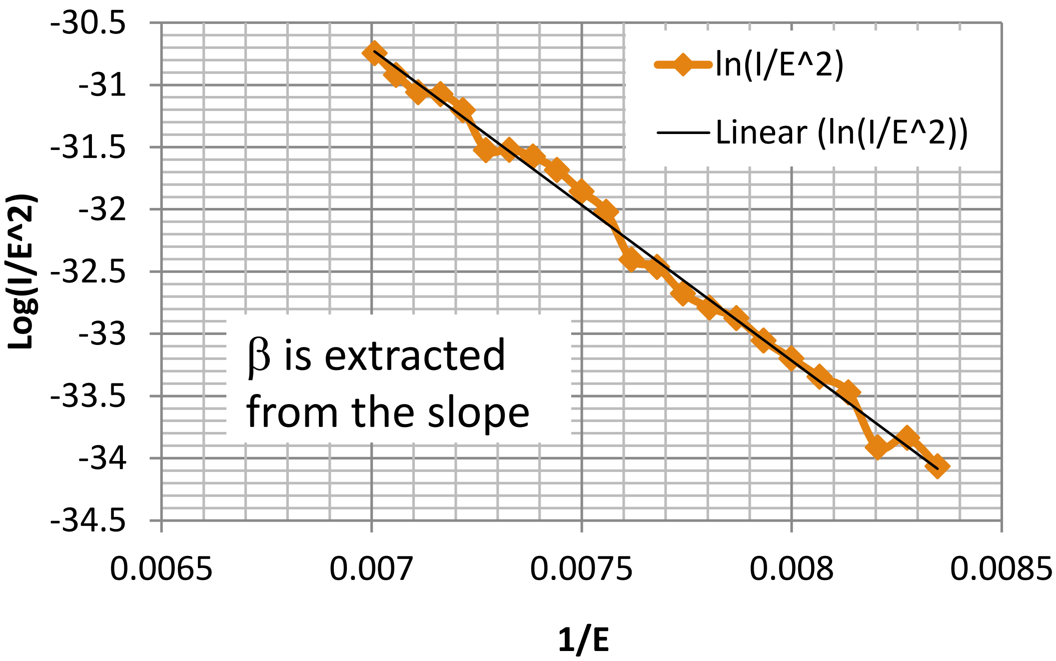
Now we have the method to compute:

- Work functions
- Emission currents
- Field enhancement factors

So far we showed:

- Rather moderate work function decrease with defects
- Increased current is due to decreased work function, not field enhancement

Thank you for your attention!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-31
-31.5
-32
-32.5
-33
-33.5
-34
-34.5
0.0065
0.007
0.0075
0.008
0.0085
1/E
Log(I/E^2)
ln(I/E^2)
Linear (ln(I/E^2))
β is extracted
from the slope