

## *Contents*

<i>Preface</i>	<i>page</i> xiii
<b>Symbols and definitions</b>	xiv
0 <i>Introduction</i>	1
0.1    Historical background	4
0.2    The scope of the book	6
<b>1      Kinematical electron diffraction</b>	9
1.1    Electron wavelength	9
1.2    Plane wave representation of an incident electron	10
1.3    The Born approximation and single-atom scattering	11
1.4    The Fourier transform	12
1.5    The scattering factor and the charge density function	13
1.6    Single-scattering theory	15
1.7    Reciprocal space and the reciprocal-lattice vector	19
1.8    Bragg's law and the Ewald sphere	20
1.9    Abbe's imaging theory	23
1.10   The phase object approximation	26
1.11   Aberration and the contrast transfer function	27
<b>Part A      Diffraction of reflected electrons</b>	29
<b>2      Reflection high-energy electron diffraction</b>	31
2.1    The geometry of RHEED	31
2.2    Surface crystallography	35
2.2.1   Surface reconstruction	36
2.2.2   Two-dimensional reciprocal space	40
2.3    Streaks and Laue rings in RHEED	41
2.4    Determination of surface structures	42
2.5    RHEED oscillation and its application in MBE crystal growth	46
2.6    The kinematical diffraction theory of RHEED	51
2.6.1   Perfectly ordered surfaces	51
2.6.2   Completely disordered surfaces	52
2.6.3   Surfaces with islands	52
2.6.4   Stepped surfaces	53
2.6.5   Surfaces with randomly distributed coverage	54
2.7    Kikuchi patterns in RHEED	55

## CONTENTS

<b>3</b>	<b>Dynamical theories of RHEED</b>	60
3.1	The Bloch wave theory	62
3.2	Parallel-to-surface multislice theories I	68
3.3	Parallel-to-surface multislice theories II	73
3.4	Perpendicular-to-surface multislice theory	78
3.4.1	Multislice solution of the Schrödinger equation for transmission electron diffraction	80
3.4.2	Applications in RHEED calculations	82
3.5	Diffraction of disordered and stepped surfaces	85
3.5.1	A perturbation theory	85
3.5.2	Stepped surfaces	87
<b>4</b>	<b>Resonance reflections in RHEED</b>	89
4.1	The phenomenon	89
4.2	The resonance parabola and the resonance condition	93
4.3	The width of the resonance parabola	95
4.4	The Kikuchi envelope	99
4.5	Dynamical calculations of resonance scattering	102
4.5.1	Low-incidence-angle resonance	104
4.5.2	High-incidence-angle resonance	107
4.5.3	Resonance at a stepped surface	109
4.5.4	A steady state wave at a surface	116
4.6	The effect of valence excitation in resonance reflection	118
4.6.1	A simplified theory	118
4.6.2	The effect on surface resonance	120
4.7	Enhancement of inelastic scattering signals under the resonance condition	126
<b>Part B</b>	<b>Imaging of reflected electrons</b>	129
<b>5</b>	<b>Imaging surfaces in TEM</b>	131
5.1	Techniques for studying surfaces in TEM	131
5.1.1	Imaging using surface-layer reflections	131
5.1.2	Surface profile imaging	134
5.1.3	REM of bulk crystal surfaces	134
5.2	Surface preparation techniques	137
5.2.1	Natural or as-grown surfaces	138
5.2.2	Re-crystallization from melting	139
5.2.3	Annealing polished surfaces	139
5.2.4	Cleaving bulk crystals	140
5.3	Experimental techniques of REM	141
5.3.1	Mounting specimens	141
5.3.2	Microscope pre-alignment	142
5.3.3	Forming REM images	143
5.3.4	Diffraction conditions for REM imaging	145
5.3.5	Image recording techniques	148

## CONTENTS

5.4	Foreshortening effects	149
5.5	Surface refraction effects	151
5.6	Mirror images in REM	155
5.7	The surface mis-cut angle and step height	156
5.8	Determining surface orientations	160
5.9	Determining step directions	161
<b>6</b>	<b>Contrast mechanisms of reflected electron imaging</b>	166
6.1	Phase contrast	166
6.2	Diffraction contrast	171
6.3	Spatial incoherence in REM imaging	177
6.4	Source coherence and surface sensitivity	180
6.5	The effect of energy filtering	182
6.6	Determining the nature of surface steps and dislocations	184
6.6.1	Step height	184
6.6.2	Down and up steps	186
6.7	REM image resolution	186
6.8	High-resolution REM and Fourier imaging	189
6.8.1	Imaging a reconstructed layer	189
6.8.2	Fourier images	190
6.9	Depth of field and depth of focus	193
6.10	Double images of surface steps	194
6.11	Surface contamination	198
<b>7</b>	<b>Applications of UHV REM</b>	199
7.1	UHV microscopes and specimen cleaning	199
7.2	<i>In situ</i> reconstruction on clean surfaces	201
7.3	Surface atom deposition and nucleation processes	203
7.4	Surface–gas reactions	206
7.5	Surface electromigration	207
7.6	Surface ion bombardment	209
7.7	Surface activation energy	210
<b>8</b>	<b>Applications of non-UHV REM</b>	211
8.1	Steps and dislocations on metal surfaces	211
8.2	Steps on semiconductor surfaces	211
8.3	Ceramics surfaces	213
8.4	<i>In situ</i> dynamic processes on ceramics surfaces	220
8.5	Surface atomic termination and radiation damage	228
8.6	Reconstruction of ceramic surfaces	232
8.7	Imaging planar defects	232
8.8	As-grown and polished surfaces	235
<b>Part C</b>	<b>Inelastic scattering and spectrometry of reflected electrons</b>	241
<b>9</b>	<b>Phonon scattering in RHEED</b>	243
9.1	Inelastic excitations in crystals	243

## CONTENTS

9.2	Phonon excitation	246
9.2.1	Phonons	246
9.2.2	The effect of atomic vibrations on the crystal potential	248
9.2.3	Electron–phonon interactions	249
9.3	The ‘frozen’ lattice model	251
9.4	Calculation of the Debye–Waller factor	253
9.5	Kinematical TDS in RHEED	254
9.6	Dynamical TDS in RHEED	257
9.6.1	The reciprocity theorem	259
9.6.2	The Fourier transform of Green’s function	261
9.6.3	Green’s function theory	262
9.6.4	A modified parallel-to-surface multislice theory	267
<b>10</b>	<b>Valence excitation in RHEED</b>	270
10.1	EELS spectra of bulk crystal surfaces	270
10.2	The dielectric response theory of valence excitations	272
10.3	Interface and surface excitations	275
10.3.1	Classical energy-loss theory	275
10.3.2	Localization effects in surface excitation	279
10.4	The average number of plasmon excitations in RHEED	282
10.5	Excitation of a sandwich layer	283
10.6	The dielectric response theory with relativistic correction	286
10.6.1	Maxwell’s equations	286
10.6.2	Valence excitation near an interface	287
10.6.3	The transverse force on an incident electron	291
10.6.4	Calculation of REELS spectra	292
10.7	The quantum theory of valence excitation	294
10.7.1	The quantum mechanical basis of the classical theory	295
10.7.2	The density operator and dielectric response theory	298
10.8	Determination of surface phases	299
10.9	Multiple-scattering effects	303
10.9.1	Poisson’s distribution law	304
10.9.2	Measurement of electron penetration depth	306
10.9.3	Measurement of electron mean traveling distance along a surface	309
<b>11</b>	<b>Atomic inner shell excitations in RHEED</b>	311
11.1	Excitation of atomic inner shell electrons	311
11.2	Atomic inner shell excitation in reflection mode	312
11.3	Surface ELNES	314
11.4	Surface EXELFS	316
11.5	Surface chemical microanalysis	319
11.6	The effect of strong Bragg beams	324
11.7	Resonance and channeling effects	326
11.8	Effective ionization cross-sections	328
11.9	Impurity segregation at surfaces	330
11.10	Oxygen adsorption on surfaces	331
11.11	REELS in MBE	334

## CONTENTS

<b>12</b>	<b>Novel techniques associated with reflection electron imaging</b>	337
12.1	Scanning reflection electron microscopy	337
12.1.1	Imaging surface steps	337
12.1.2	Imaging dislocations	341
12.2	Secondary electron imaging of surfaces	341
12.3	EDS in RHEED geometry	346
12.4	Electron holography of surfaces	346
12.4.1	Principles and theory	347
12.4.2	Surface holography	349
12.5	REM with STM	352
12.5.1	Atomic-resolution surface imaging	353
12.5.2	Artifacts in STM imaging	354
12.6	Time-resolved REM and REM with PEEM	355
12.7	Total-reflection X-ray spectroscopy in RHEED	356
12.8	Surface wave excitation Auger electron spectroscopy	361
12.9	LEED and LEEM	363
<i>Appendix A</i>	Physical constants, electron wavelengths and wave numbers	367
<i>Appendix B</i>	The crystal inner potential and electron scattering factor	369
<i>Appendix C.1</i>	Crystallographic structure systems	374
<i>Appendix C.2</i>	A FORTRAN program for calculating crystallographic data	378
<i>Appendix D</i>	Electron diffraction patterns of several types of crystal structures	382
<i>Appendix E.1</i>	A FORTRAN program for single-loss spectra of a thin crystal slab in TEM	386
<i>Appendix E.2</i>	A FORTRAN program for single-loss REELS spectra in RHEED	390
<i>Appendix E.3</i>	A FORTRAN program for single-loss spectra of parallel-to-surface incident beams	393
<i>Appendix E.4</i>	A FORTRAN program for single-loss spectra of interface excitation in TEM	398
<i>Appendix F</i>	A bibliography of REM, SREM and REELS	403
<b>References</b>		419
<b>Materials index</b>		431
<b>Subject index</b>		433