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Title: WORK FUNCTION MEASUREMENTS OF SINGLE CRYSTAL  
SURFACES BY THE FIELD EMISSION RETARDING POTEN-  
TIAL METHOD

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Dr. James J. Brady

Using the field emission retarding potential method true work functions have been measured for several monocrystalline substrates; the values obtained are the following:

W(110)	$5.25 \pm 0.02$ eV
W(100)	$4.63 \pm 0.02$
W(111)	$4.47 \pm 0.02$
Ir(111)	$5.76 \pm 0.04$
Ir(110)	$5.42 \pm 0.02$
Nb(100)	$4.18 \pm 0.02$
Ni(100)	$5.53 \pm 0.05$
Cu(100)	$5.10 \pm 0.05$

The electron elastic and inelastic reflection coefficients from several of these surfaces have also been examined near zero primary beam energy.

Work Function Measurements of Single Crystal Surfaces  
by the Field Emission Retarding Potential Method

by

Richard Wesley Strayer

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Typed by Marsha Mackie for Richard Wesley Strayer

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# WORK FUNCTION MEASUREMENTS OF SINGLE CRYSTAL BY THE FIELD EMISSION RETARDING POTENTIAL METHOD

## I. INTRODUCTION

### A. Definition of Work Function

The term "work function" was apparently first used in its present meaning by H.H. Lester in 1916, when he wrote: "the work done by an escaping electron is represented in the well-known Richardson equation  $I = a\theta^{1/2} \exp(-b/\theta)$  by the constant  $b$ . In order to justify completely the assumption involved in  $b$ , such a work function should be found to exist and its magnitude should be identical to  $b$ " (1). The concept of the work function had already been implicit for several years in the writings of Richardson, Langmuir and others, but it is more difficult to date the inception of the concept than that of the name.

The work function  $\phi$  of a uniform metal surface is defined (2,3) as the difference between the electrochemical potential  $\bar{\mu}$  of the electrons within the bulk metal relative to the mean electrostatic potential of the interior and the change in electrostatic potential  $\Delta\phi$  across the metal surface (Figure 1):

$$\phi = \Delta\phi - \bar{\mu}. \quad (1)$$

Thus  $\phi$  is equal to the minimum work necessary to remove an electron from the Fermi energy level of the metal at 0°K and in the absence of applied electric fields. The term  $\Delta\phi$  may be thought of as arising from a double layer of electric charge at the surface; thus any change in the equilibrium of the surface double layer is reflected in a change in the work function. The term  $\bar{\mu}$  is a volume property independent of the structure of the surface; for this reason it is sometimes called the "inner work function."

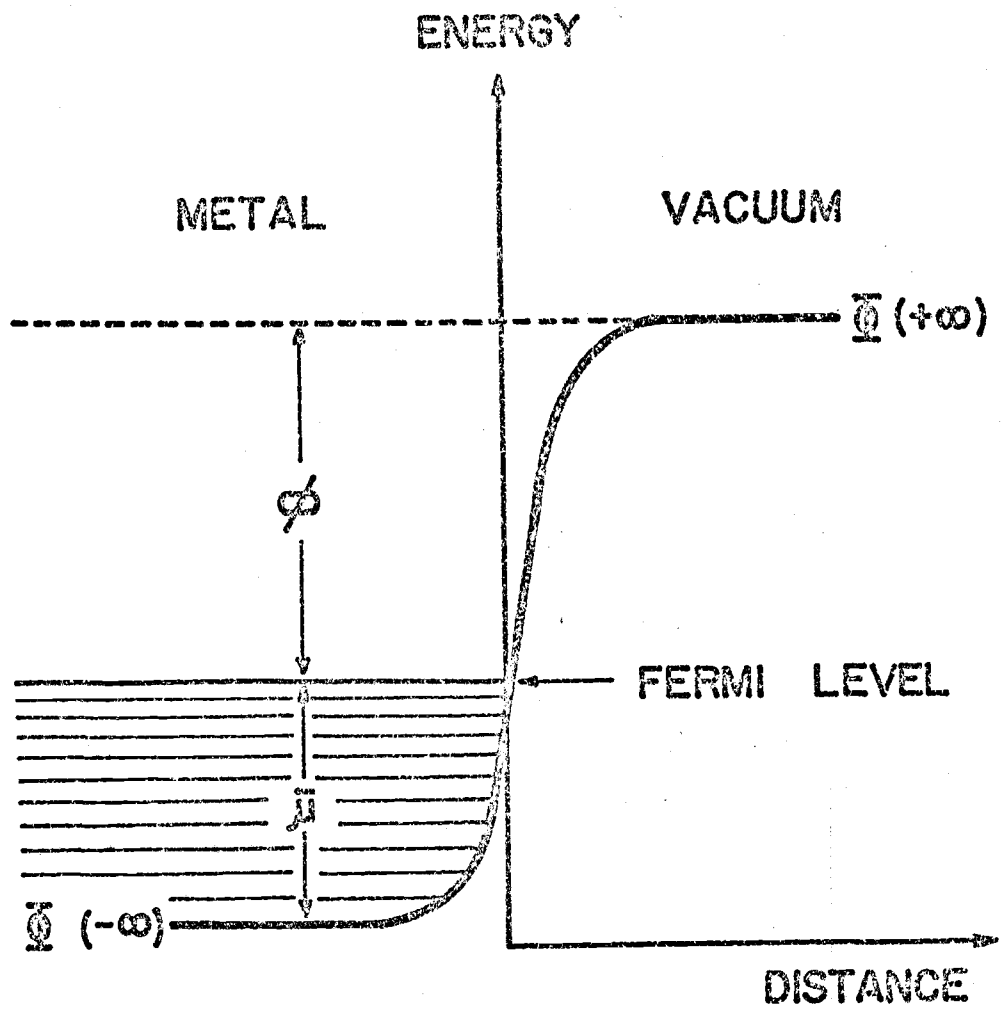


Figure 1. Schematic representation of various energies relevant to the definition of work function

## B. Importance

Interest in the work function is derived from these main areas: (1) the technology of electron-emission devices, (2) the experimental study of surfaces and (3) the electronic theories of metals and metal interfaces.

Early research on the work function was motivated in part by the need for efficient and stable electron sources, especially in the newly developing vacuum tube industry. This need has continued into the present with the development of direct conversion thermionic devices, with increasingly stringent cathode requirements for both transmission and scanning electron microscopes, for the improvement in performance of radiation detectors, among many others. The continuing search for electron sources capable of operating under adverse environmental conditions requires a more fundamental understanding of those parameters affecting the work function.

In the study of surfaces, measurement of the work function provides a relatively simple method of monitoring the state of the surface, since any change in surface conditions reflected in a disturbance of the surface double layer affects the work function. Thus such processes as adsorption, diffusion and desorption of an adsorbed species may be monitored by the change in work function due to the dipole moment of the species on the surface. Likewise changes in surface structure resulting in the appearance or disappearance of crystal planes making up the surface are reflected in changes in the variation of the work function over the surface. In many surface studies, knowledge of the work function of the clean metal surface is a necessary starting point.

In recent years considerable progress has been made in the application of electron theories of metals to the electronic structure of clean metal surfaces (4). One feature of these surface theories is the

calculation of the work function; thus comparison of calculated work function values with experimental values is one criterion by which metal surface theories may be evaluated. For this, accurate experimental values of the work function are needed for a large number of single crystal metal surfaces.

### C. Methods of Work Function Measurement

Due to the above motivations, an increasing number of measurements of clean, single crystal face work function have been reported. Primarily due to the perennial problem of surface purity and partly due to inadequacies in the theoretical description of the various modes of electron emission one finds an inordinate amount of disagreement in the literature values of work function (5,6). However, the rapid advance in the methodology of fabricating ultra pure metals along with the increasing number of ways of cleaning and sensitively detecting minute concentrations of surface impurities is gradually eliminating surface contamination as a major factor in arriving at a consensus as to the appropriate clean single crystal face work function values. A further problem of lesser importance is that of maintaining desired crystallographic orientation at the surface during the cleaning procedure; this problem can be detected by LEED (low energy electron diffraction) and Laue X-ray analysis and occurs for relatively few materials.

It has become increasingly obvious that there can be significant differences in the values of work function for the same material and crystallographic direction depending upon the measuring technique used. In particular, for certain planes of some metals, work function values determined by field emission techniques are several tenths of an electron volt higher than values determined in other ways. For example, the field emission value of the work function for the

(110) plane of tungsten is at least 0.6 eV higher than that obtained by other methods (7). These large differences in experimental values of work function for the same metal suggest examination of the theoretical models upon which work function measuring techniques are based.

Work function measuring techniques may be divided into four main classes: (1) electron emission methods, (2) contact potential difference methods, (3) surface ionization methods, and (4) retarding potential methods. Contact potential difference methods only measure the work function of one surface relative to the work function of a second surface and thus do not provide values of the absolute (or true) work function that is of interest here. Surface ionization methods determine the work function at elevated temperatures with the aid of simplifying assumptions concerning statistical weights and reflection coefficients of the various species involved; thus it is hard to relate the measured values to the work function as defined above (6).

The primary electron emission processes whereby work function values of the emitter can be theoretically obtained are thermionic, photoelectric and field emission. The assumptions, limitations and applicability of each of these methods for obtaining work function values have been adequately described in the literature (see, for example, Riviere, 1969 (6)). The basic theoretical model utilized for description of these electron emission processes is the Sommerfeld (8,9) free electron model, which is severely strained in its application to a wide variety of non-free electron refractory metal emitters. This limitation has been described for thermionic, field and photo emission by Itskovich (10). Recent field emission energy distribution measurements have given dramatic experimental evidence as to the inability of the Sommerfeld based Fowler-Nordheim theory (11,12) to explain the results from all crystallographic directions of tungsten,

molybdenum and copper emitters (7,13,14). Besides the fundamental problem of model applicability, a host of minor complex effects such as the temperature dependence of the work function, variable coefficients and the Schottky effect must be carefully incorporated into the theoretical framework of the emission process.

Retarding potential methods of measuring work function circumvent most of the difficulties associated with the emission methods by determining the work function of an electron collector surface. However, there are only two methods, an experimentally complex adaptation of the Shelton (15) thermionic electron method and the field electron retarding potential (FERP) method by which the non-relative work function of an electron collector surface can be measured. As will be shown in Chapter II, the success of the FERP method rests on the theoretical and experimentally verifiable fact that the voltage threshold for collection of field emitted electrons occurs at the Fermi level  $E_f$  at  $0^\circ\text{K}$  or can be described by a Boltzmann tail, i.e.,  $\exp(E_f - E)/kT$ , at temperature  $T$ . The several experimental studies of the total energy distribution (TED) now in the literature (7,16,17) provide a firm basis for the validity of the preceding fact; also if the appropriate crystallographic direction of a refractory metal emitter is employed, the free electron based Fowler-Nordheim model of field emission is adequate for this application.

#### D. Background

Henderson and Badgley (18) first used the retarding potential method as a way of investigating the energy distribution of field emitted electrons; they found that a voltage greater than 4.3 V had to be applied to a copper collector in order to collect a measurable portion of the field emitted electrons. Dyke (19) originally recognized the significance of the field emission retarding potential technique for allowing the work function of the collector to be measured

without requiring any knowledge of the work function of the emitter. He used the technique to determine the work function of polycrystalline metal surfaces; recently, Holscher (20) revived the technique to measure the work functions of freshly evaporated gold and nickel films under ultra-high vacuum conditions. In this work the field emission retarding potential technique is employed to obtain the work function of selected crystal faces of macroscopic single crystal metal targets.

## II. THEORETICAL CONSIDERATIONS

### A. Basis of the Technique

The potential energy diagram of Figure 2 illustrates the essential features of the field emission retarding potential method. A high electrostatic field applied to an emitter surface narrows the surface potential barrier, so that electrons occupying energy levels near the Fermi level can tunnel through the barrier. The emitter electrons are accelerated in the region between the emitter and the anode, but are then retarded in the region between the anode and the collector. If the collector is connected electrically to the emitter, the Fermi levels of the two metals are at the same level and the emitted electrons are stopped by a potential barrier at the collector surface equal to its work function  $\phi_c$ . To collect the field emitted electrons, a voltage  $V_c$  with magnitude (with respect to the emitter)  $V_c \geq \phi_c$  must be applied to the collector. Thus, as shown in Figure 2, at 0°K the onset of current at the collector occurs when  $V_c = \phi_c$ , the collector work function.

The shape of the collector current-voltage curve  $I_c(V_c)$  is determined primarily by the energy distribution of the emitted electrons; theoretically, this distribution is given by assuming the Sommerfeld (8, 9) free electron model for the electron distribution among the energy levels within the metal (7, 21):

$$dI_c/d\epsilon = I_0 e^{\epsilon/d} / [d(1 + e^{\epsilon/kT})] \quad (2)$$

where  $dI_c$  is the differential field emitted current between energy  $\epsilon$  and  $\epsilon + d\epsilon$  (where  $\epsilon$  is the energy of an electron relative to the Fermi level,  $\epsilon = E - E_f$ ),  $T$  is the emitter temperature, and the value of  $d$  is given by

$$d = \hbar e F / 2(2m\phi_e)^{1/2} t(y) = 0.976 F / \phi_e^{1/2} t(y) \text{ (eV)}, \quad (3)$$

where the electric field  $F$  and the emitter work function  $\phi_e$  are in



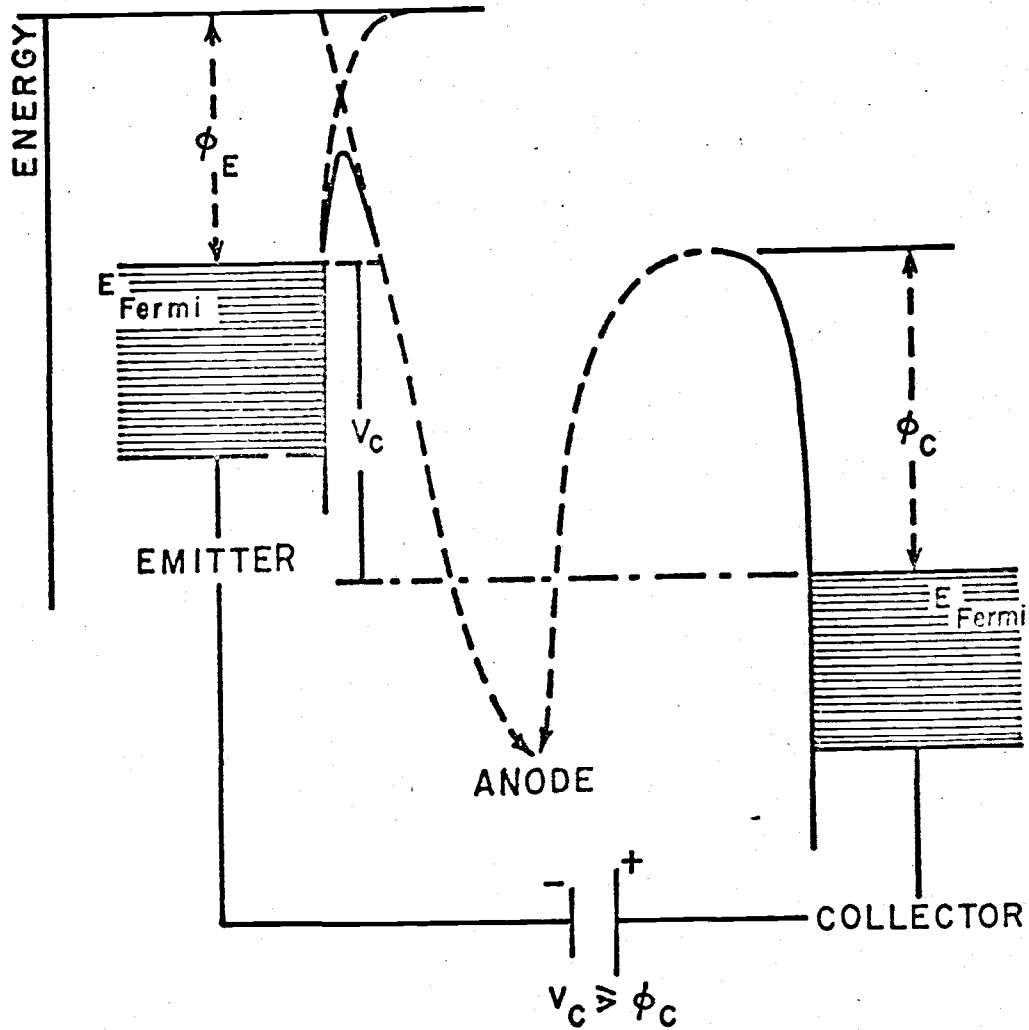


Figure 2. Potential energy diagram for a field electron retarding potential analyzer. When the collector is biased such that only electrons from the Fermi level of the emitter can reach the collector, the battery voltage  $V_C$  is equal to the collector work function  $\phi_C$ .

$V/\text{\AA}$  and eV, respectively. The maximum emitter current  $I_0$  in Equation (2) is given by the well-known Fowler-Nordheim equation (10,11)

$$I_0 = \frac{e^3 F^2 A_0}{8\pi\hbar\phi_e t^2(y)} \exp \left[ -4(2m\phi_e^3)^{1/2} v(y)/3\hbar eF \right] \quad (4)$$

$$= \frac{1.5 \times 10^{10}}{\phi_e t^2(y)} F^2 A_0 \exp \left[ -0.683\phi_e^{3/2} v(y)/F \right] \text{ (A)},$$

where  $A_0$  is the area of the emitting surface from which the collected current originates. The image correction terms  $t(y)$  and  $v(y)$  are slowly varying tabulated functions of the auxiliary variable  $y = (e^3 F)^{1/2} / \phi_e$  (22).

From Equation (2), it is apparent that  $dI_C/d\epsilon$  turns on abruptly at the emitter Fermi level when  $T$  is small and decays exponentially with decreasing electron energy. The value of the half width  $\Delta$  of the total energy distribution can be obtained from Equation (2) so that at  $T = 0^\circ\text{K}$ ,  $\Delta$  is given by

$$\Delta = 0.69d. \quad (5)$$

Since the practical value of  $d$  varies from 0.1 to 0.3 eV, the experimental half widths fall in the range from 0.07 to 0.2 eV.

For the retarding potential method, the emitted electrons can be collected at a metal surface of work function  $\phi_C$  only if their total energy meets the condition

$$E > \phi_C + E_f - V_C \quad (6)$$

where  $V_C$  is the emitter-to-collector bias potential; thus, decreasing  $V_C$  allows all electrons down to the energy level  $\epsilon = \phi_C - V_C$  to be collected at  $0^\circ\text{K}$ . The condition  $V_C = \phi_C$  represents the current cut-off since electronic states above  $E_f$  are not populated, and the total collected current  $I_C$  at a specified value of  $\epsilon$  is given by

$$\begin{aligned}
 I_c &= \frac{I_o}{d} \int_0^{\infty} e^{\epsilon/d} d\epsilon = I_o (1 - e^{\epsilon/d}) \\
 &= I_o \left[ 1 - e^{-(V_c - \phi_c)/d} \right] .
 \end{aligned}
 \tag{7}$$

Equation (7) is plotted as a solid curve in Figure 3 along with experimental data for W(110) surface.

### B. Deviations from the Theoretical Collector Curve

Experimental collector current-voltage curve differs from the theoretical curve (Equation 7) due to several effects. At emitter temperatures above 0°K there is a deviation in  $I_c$  from the ideal cut-off at  $V_c = \phi_c$ , because there are electrons emitted from energy levels above the Fermi level. The effect of temperature on the total energy distribution of field emitted electrons has been calculated theoretically (7,21) and verified experimentally (7,16). Increasing temperature broadens the energy distribution and lowers its peak value (Figure 1 of reference 7). At low temperatures the deviation from the ideal cut-off is small and may be easily corrected for.

If the assumption of a free electron density of states within the emitter is not valid, there can be modifications of Equation (7) due to band structure and energy exchange effects such as electron-hole and electron-phonon interactions (23). Experimentally measured variations in electron energy distribution curves for the <100> directions of tungsten and molybdenum have been correlated with certain features of energy-surface shapes inferred from bulk electronic measurements (7,13). Changes in Equation (7) due to band structure effects can be avoided by choosing an emission direction for which the corresponding energy distribution curve is "normal", i.e., exhibits the exponential behavior of Equation (2).

The finite resolution of the energy analyzing system may modify the collector current-voltage curve. Young and Kuyatt (24) have cal-

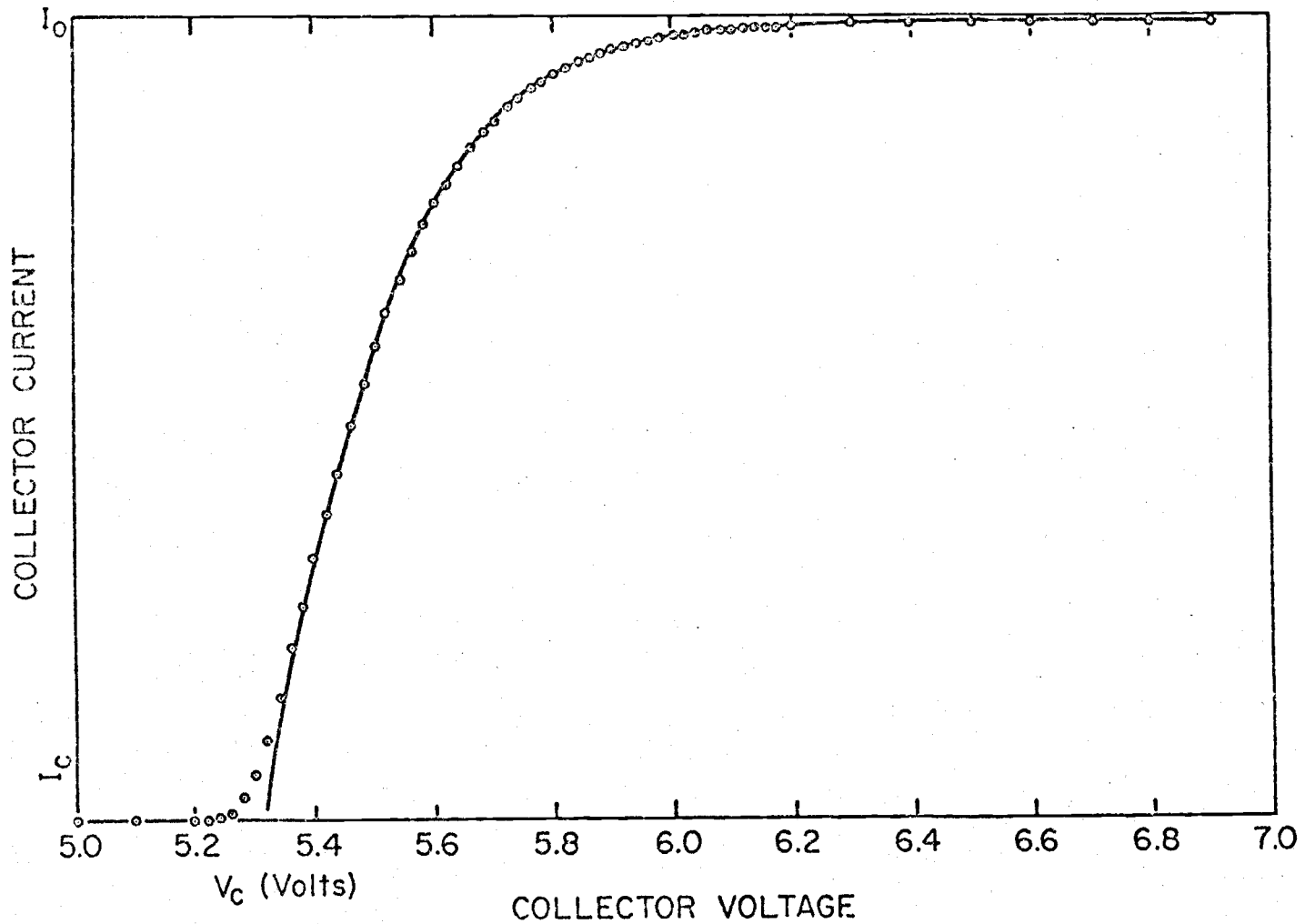


Figure 3. Collector current  $I_c$  as a function of collector voltage  $V_c$  for the W(110) surface. The solid curve is the theoretical curve for 0°K (Equation 7)

culated the influence of energy analyzer transmission function upon field emission energy distributions, and have found in general that increasing energy analyzer width broadens the energy distribution and lowers its peak value in much the same manner as increasing temperature. Furthermore, they have found that the slope of the log of the energy distribution is changed by less than 1% when the analyzer width is changed from 0 to 100 meV; in terms of the collector current-voltage curve, this means the energy analyzer width affects mainly the region of the cut-off, but not the upper portion of the  $I_c(V_c)$  curve, which still may be used to determine  $\phi_c$ .

Other effects that can modify the collector current-voltage curve are those due to the properties of the collector itself, such as its perpendicularity to the electron beam, its surface roughness, its heterogeneity in work function, and its reflection coefficient (this latter to be discussed in section D). The loss in resolution  $\Delta E$  due to an electron beam of energy  $E$  striking a target at an angle  $\theta$  is given by (25)

$$\Delta E = E \sin^2 \theta. \quad (8)$$

For 1 eV electrons the change in resolution for an angle of 1.5 degrees is less than 1 meV, and thus negligible. As pointed out by Holscher (20), the effect of irregularities in the equipotential lines near the collector, caused by collector surface roughness, can be minimized by reducing the potential drop in the region near the collector. According to Heil (26), the different potentials presented at the surface of a metal by the differently oriented crystal surfaces converge exponentially to the average potential as one moves away from the surface. Therefore, when the potential drop in the region of the collector is kept small, the measured work function for the collector will be an area average of the differing work functions on the collector surface.

### C. Methods of Obtaining Work Function from Experimental Data

By rewriting Equation (7) in the working form

$$\log_{10} \Delta I_C / I_0 = \phi_C / 2.3 d - V_C / 2.3 d, \quad (9)$$

where  $\Delta I_C = I_0 - I_C$ , it is clear that the values of  $\phi_C$  and  $d$  can be obtained from the intercept and slope respectively of a plot of  $\log_{10} \Delta I_C / I_0$  versus  $V_C$ , such as shown in Figure 4. At emitter temperatures above  $0^\circ\text{K}$ ,  $\log_{10} \Delta I_C / I_0$  versus  $V_C$  deviates from linearity due to the Boltzmann distribution of electrons in states above  $E_f$ . The theoretically expected effect of temperature on the TED has been verified experimentally and is of little consequence to the accuracy of utilizing Equation (9) to obtain  $\phi_C$  at  $T \leq 300^\circ\text{K}$  (24). This can be verified by noting that the temperature accounts for only a small deviation from linearity in the  $\log_{10} \Delta I_C / I_0$  versus  $V_C$  plot near  $V_C = \phi_C$  as shown in Figure 4.

Alternatively, one may obtain  $\phi_C$  by noting that the value of  $V_C$  at  $I_C / I_0 = 0.5$  when inserted into Equation (9) yields

$$\phi_C = V_C(1/2) - d \ln 2 \quad (10)$$

where  $V_C(1/2)$  is the value of  $V_C$  for which  $I_C / I_0 = 0.5$ . Equation (10) is strictly applicable only for  $T = 0^\circ\text{K}$ ; however, the temperature correction to  $V_C(1/2)$  is minor and only amounts to  $\sim 10$  meV at  $300^\circ\text{K}$ . The principal source of experimental error in both of these methods stems from the uncertainty in the experimental values of  $d$  and  $I_0$  due to electron reflection. This is discussed in greater detail in the next section.

Equation (7) may be differentiated with respect to  $\epsilon$  in order to obtain the difference in energy  $\epsilon_p$  between the peak of the TED and the Fermi energy level:

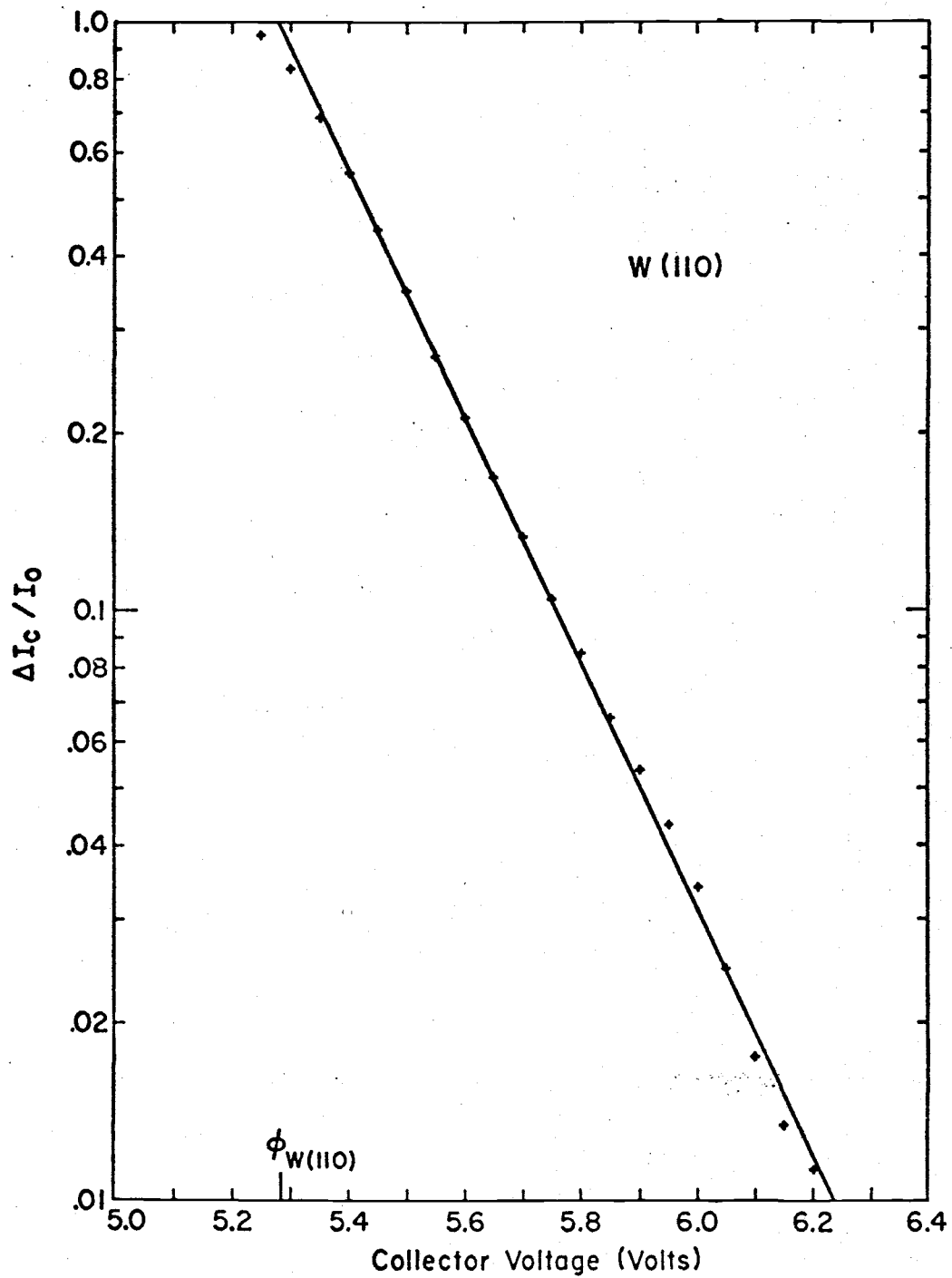


Figure 4. Plot of  $\log_{10} \Delta I / I_0$  versus collector voltage for the W(110) surface. The intercept of the abscissa at  $\Delta I / I_0 = 1$  gives  $\phi_c$  according to Equation (9).

$$\epsilon_p = kT \ln \frac{kT}{d - kT}. \quad (11)$$

This equation, plotted in Figure 5 at several values of  $d$ , may be used to obtain the theoretical value of  $\epsilon_p$  which is equal to  $\phi_c - V_p$ . Since  $V_p$  (the position of maximum  $dI_c/dV_c$  on the energy axis) can be obtained experimentally, the value of  $\phi_c$  can be obtained directly from the TED curve and Figure 5. Since in practice  $\epsilon_p$  is approximately 30 meV, this method gives  $\phi_c$  easily within 1% accuracy.

Even though the assumptions of the Sommerfeld free electron model, upon which Equation (2) and the subsequent equations are based has recently been found to be inadequate for certain crystallographic directions of tungsten (7) and molybdenum (13), the occurrence of the emission threshold at  $E_f$  was unchanged for clean emitters. In any case, inadequacies in Equation (2) due to band structure can be easily avoided for this application by choosing an emission direction (e.g., the  $\langle 111 \rangle$  or  $\langle 310 \rangle$  of tungsten) for which the corresponding experimental TED curve (7) agrees well with Equation (2). For that reason, oriented field emitters with these directions along the emission axis have been utilized for this study. Thus, all that must be known concerning the emitter in order to apply the FERP method of work function determination is the value of  $d$  which can be either calculated with sufficient accuracy from the  $I(V)$  characteristics of the emitter using Equation (3) or determined experimentally from Equation (9).

#### D. Electron Reflection

The one property of the collector that can detract from the complete applicability of the above equations in evaluating  $\phi_c$  is electron reflection near the threshold of collection; reflection cannot be eliminated by the FERP method should it occur. We can indicate the



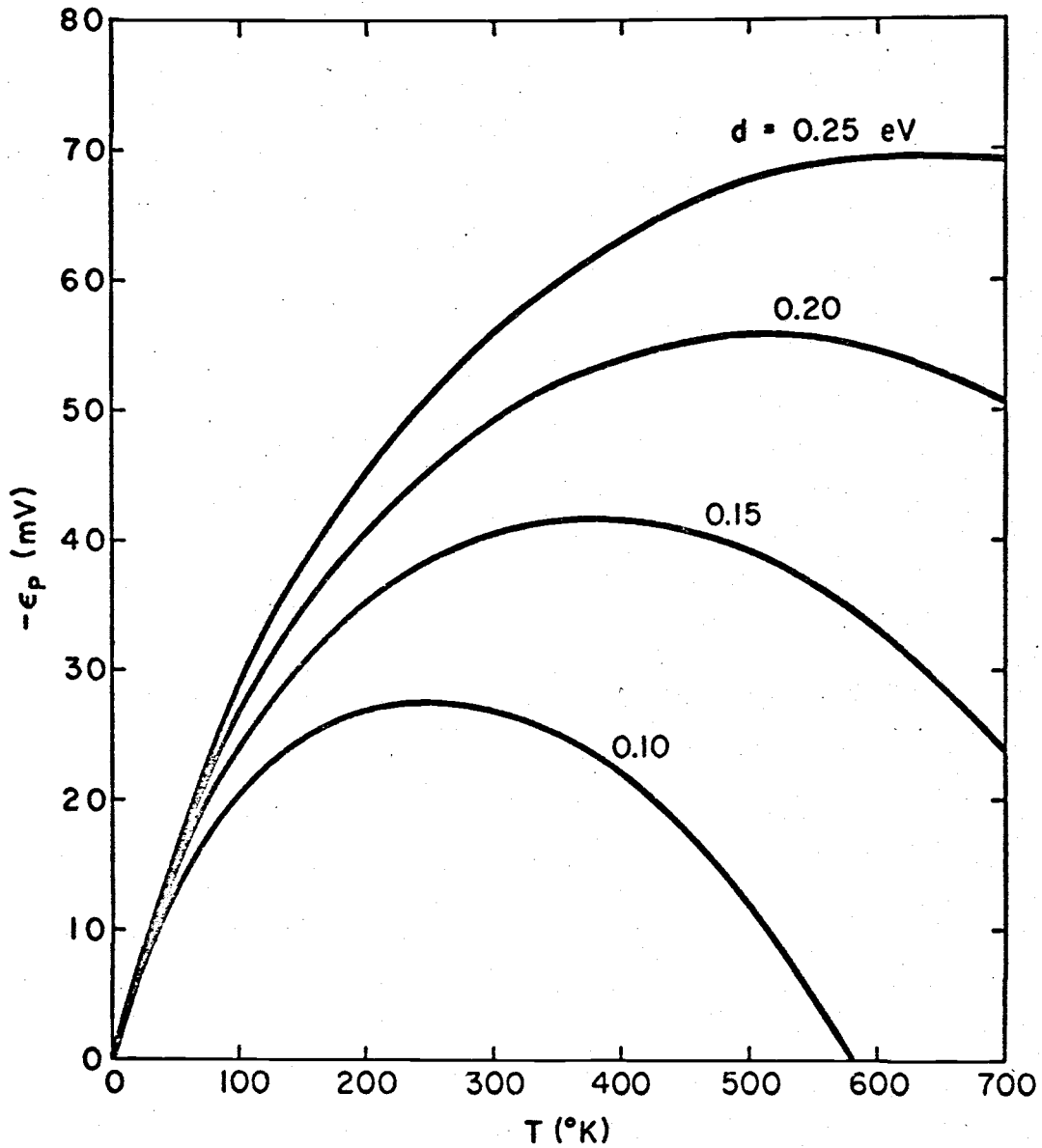


Figure 5. The difference  $\epsilon_p$  in energy between the peak of the TED curve and the Fermi level as a function of  $T$  and energy parameter  $d$ .

effect of reflection on Equation (2) by noting that  $I_C = I_p(1 - R)$ , where  $I_p$  is the primary beam current impinging on the collector, and by defining the energy dependent reflection coefficient  $R(\epsilon)$  as  $R(\epsilon) = I_r/I_p$ , where  $I_r$  is the reflected current. With these definitions one may readily show that the experimentally measured quantity  $dI_C/d\epsilon$  is given by

$$dI_C/d\epsilon = a(\epsilon)dI_p/d\epsilon - I_p da/d\epsilon, \quad (12)$$

where  $a(\epsilon) = 1 - R(\epsilon)$  is the electron acceptance coefficient and  $\epsilon = |\phi_C - V_C|$  is the maximum kinetic energy of the collected electrons. Near the collection current threshold (i.e.,  $\epsilon \sim 0$ ) the last term of Equation (12) will be small compared to the first since  $I_p \rightarrow 0$  as  $\epsilon \rightarrow 0$  and  $da/d\epsilon$  is normally small at  $\epsilon = 0$ .

However, as the energy of the primary electron beam increases above the threshold voltage considerable change may occur in  $a(\epsilon)$  (i.e.,  $da/d\epsilon$  becomes large) which in turn will cause serious deviation in the apparent value of  $I_p$ . Thus, plotting the data according to Equation (9) in order to obtain an accurate value of  $\phi_C$  and  $d$  will not be possible. In like manner it will be difficult to utilize Equation (10) in order to obtain  $\phi_C$  due to the inability to obtain an accurate value of  $I_0$ .

In contrast, Equation (11) is basically unaffected by reflection since the last term of Equation (12) can usually be neglected at  $\epsilon \simeq \epsilon_p$ . We should also point out that a cursory examination of Figure 5 reveals that  $\epsilon_p$  is very small (less than 40 meV) at practical values of  $d$  and  $T$  so that uncertainties in the exact position of  $\epsilon_p$  due to reflection (which will be  $\ll 40$  meV) will not introduce appreciable error in the value of  $\phi_C$ . Thus, in the event that detectable reflection should occur for a particular collector at threshold, the evaluation of  $\phi_C$  should be accomplished from the TED curve through Equation (11).

### III. APPARATUS

#### A. Experimental Tube

The experimental tube is diagrammed in Figure 6 and shown in Figure 7. Full dimensions are given in Appendix I. The main features of the tube are the electron optical system, the field emission source and the collector target, each of which is described below.

##### 1. Electron Optical System

The basic requirement of the electron optical system for this application is to transform the highly divergent electron beam into a co-linear beam normal to the collector substrate surface and to simultaneously decelerate it to zero volts. In order to maximize the analyzer energy resolution, the electron source must be highly apertured (26), which in turn causes a very low beam transmission coefficient of the order of  $10^{-3}$  to  $10^{-4}$ . However, if the emitter is to be operated at room temperature the resolution of the analyzer need only be 100 meV (24); therefore, an electron optical system which sacrificed unnecessary resolution was designed for this application in order to obtain a larger collector current to speed data acquisition. Rather than restrict the primary beam to the usual  $1^\circ$  half angle in order to maximize resolution, for this application a half angle of approximately  $8^\circ$  was chosen; depending on the orientation of the emitter this aperture angle allowed a beam transmission of the order of 10%. Currents in the  $10^{-7}$  A range were easily obtained in the focused spot thereby allowing the gun to be used as an electron source for other applications as well.

The electrostatic focusing system used in the analyzer shown in Figure 6 consists of anode, two Einzel lenses and a 200 line/cm decelerating mesh electrode which established parallel equipotential surfaces in front of the collector. All electrodes were made from

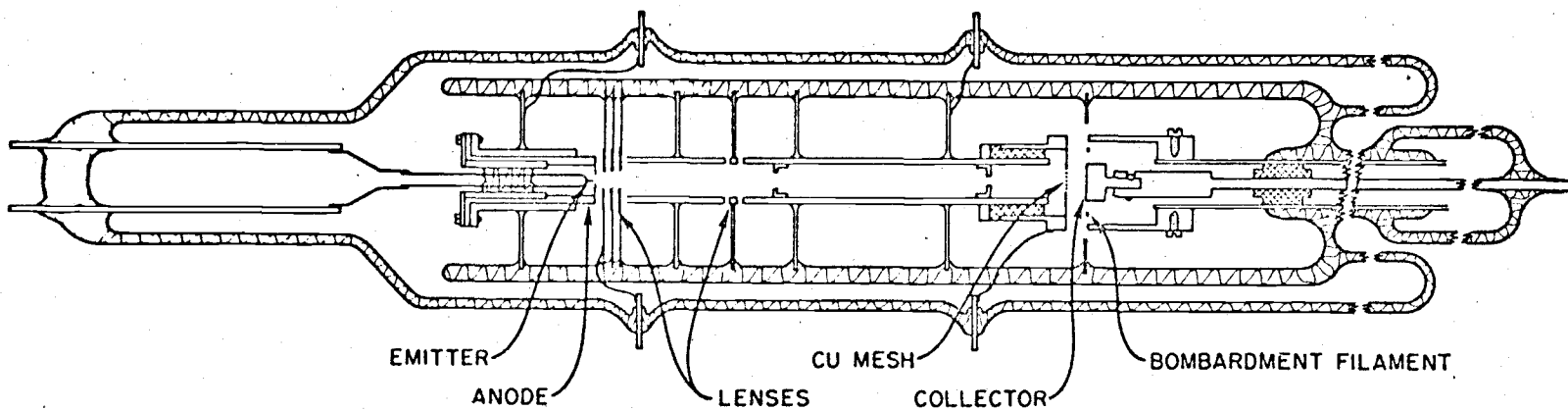


Figure 6. Diagram of FERP tube, showing pertinent features of the electron optical system and the single crystal collector.

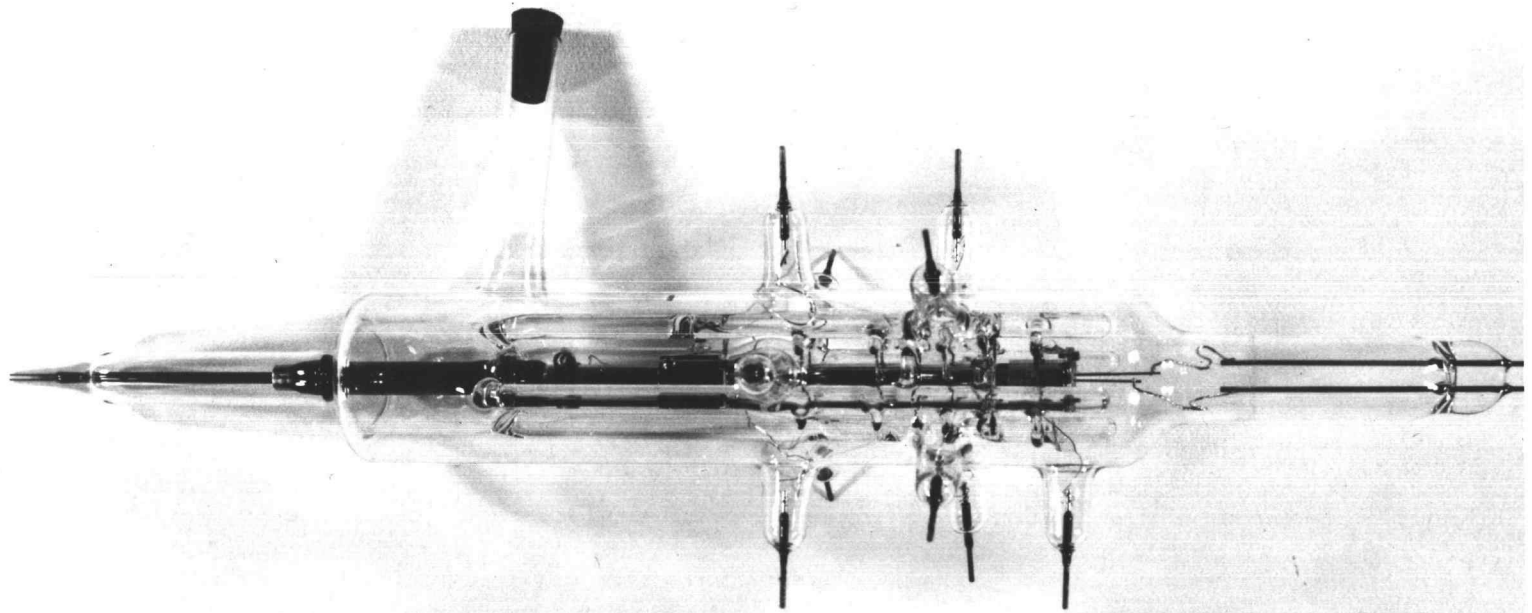


Figure 7. Photograph of the FERP tube.

molybdenum. A two stage electrostatic focusing system with a virtual cross-over in front of the first lens was chosen over a single stage because of its greater optical efficiency. The lens circuitry is shown in Figure 8, and the lens operating voltages given in Table I were arrived at by computer analysis and confirmed experimentally.

TABLE I. OPERATING VOLTAGES ON LENS ELEMENTS  
(SEE FIGURE 8 WITH EMITTER AT 0 V).

Lens Element	Operating Voltage
$E_3$	500 - 1500 V
$E_4$	$0.06 E_3$
$E_5 = E_7$	0
$E_6 = E_8$	$0.04 E_3$
$E_9$	5 - 10 or 120 - 150 V

The anode electrode  $E_3$  controls the emission level; varying the voltages on the downstream focusing electrodes have negligible effect upon the emission current. As the beam enters the Einzel lens it is partially decelerated and forms a virtual image of the source  $\sim 2$  mm behind the emitter tip. The second Einzel lens focuses the virtual tip image into a  $\sim 0.5$  mm spot size at the mesh electrode  $E_9$ . Further deceleration occurs between electrode  $E_8$  and the mesh  $E_9$ . In most cases the mesh was operated between 5 and 10 V relative to the collector thereby providing a nearly field free region between the mesh and the collector at the current threshold. Examination of the spatial characteristics of the beam showed that no significant space charge expansion of the beam occurred down to the cut-off voltage of the mesh. By varying the screen voltage to lower values and measur-

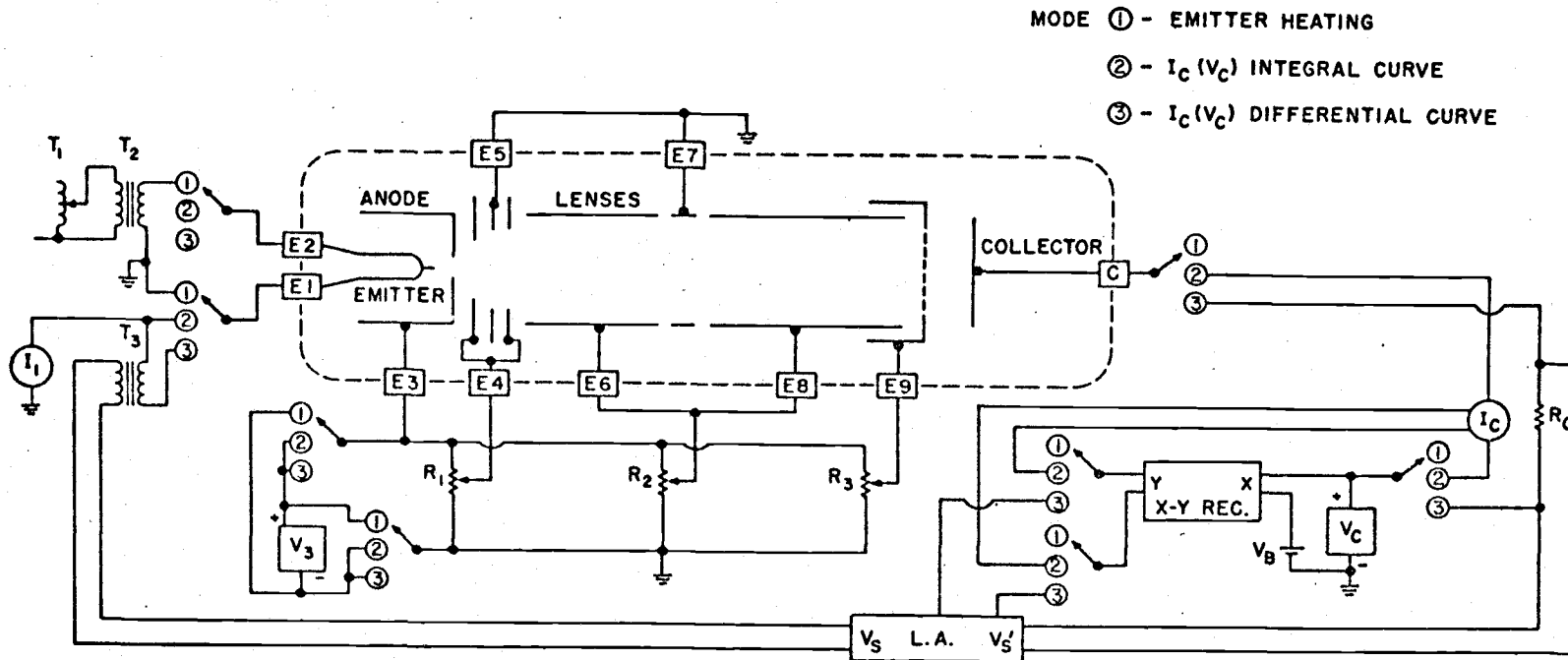


Figure 8. Diagram of the electrical circuitry associated with the FERP tube.

ing the transmitted current in a Faraday cage, the energy distribution curve of the electron beam passing through the mesh was found to be in agreement with the theoretical shape. Also, from the position of the current threshold the mesh work function was found to be approximately 4.6 eV.

The lens system was aligned and mounted securely on four longitudinal glass rods. Both the emitter and anode could be removed as a unit from the tubular anode holder. In this way the emitter, which was held in place by a Corning 1720 glass bead in a molybdenum tube, could be easily replaced and prealigned in the center of the 0.25 mm anode aperture prior to the insertion of the emitter-anode assembly into the anode holder. By positioning the emitter in the plane of the anode aperture, no interception of the primary beam occurred at the anode or subsequent elements of the first lens. Aperturing occurred in the nearly field free region of the second Einzel lens by placing two 1 mm diameter stops in the last lens tube. Thus, electron induced desorbed ions and neutrals from the anode were eliminated, and the high positive saddle at the anode prevented ions generated beyond the first aperture from bombarding the cathode. This design feature greatly improved the current stability without requiring rigorous outgassing of the electrodes. The angular convergence of the beam at the collector was fixed by geometry to be  $<1.4^\circ$  for a well focused spot. Hence, negligible loss in resolution resulted from the angular deviation of the beam from perpendicularity at the collector.

The large aperture angle of the analyzer necessarily reduced the resolution of the tube as a retarding energy analyzer. Using the voltage separation between the 10 and 90% points on the leading edge of the energy distribution (Figure 9) as described by Young and Kuyatt (24), the resolution of the gun was determined to vary between 50 and 80 meV, primarily dependent upon anode voltage, emitter orientation



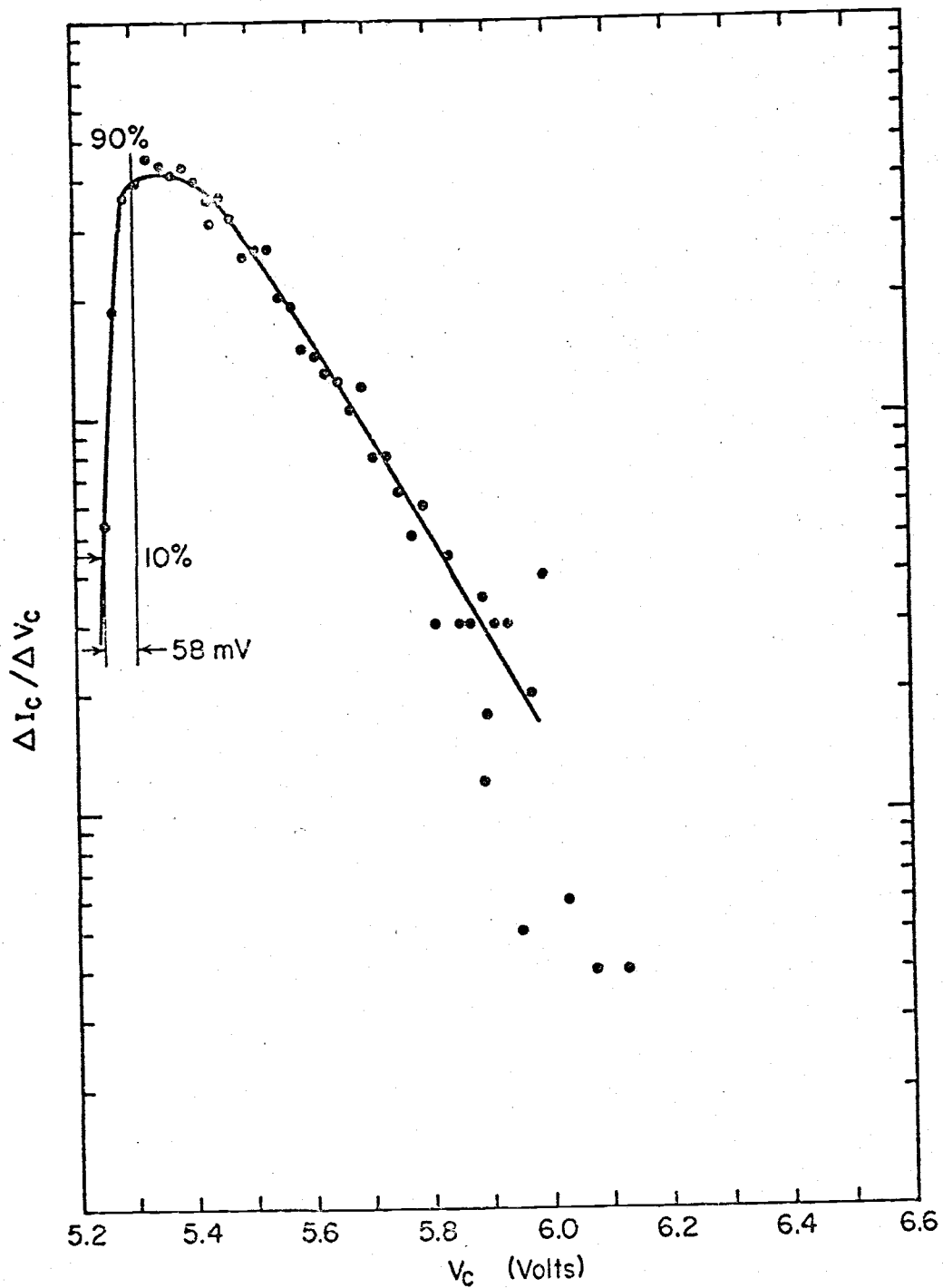


Figure 9. Energy distribution of the collected electrons. The energy difference of 58 meV between 10 and 90% peak height values yields a value of 58 meV for the resolution of the experimental tube.

and position. This resolution was adequate to resolve the leading edge of the energy distribution curve at room temperature.

## 2. Emitter Fabrication

Two emitters were used for the field electron source in different portions of this study; they were made from  $\langle 111 \rangle$  and  $\langle 310 \rangle$  tungsten, both fabricated from zone-oriented wire. Previous studies (7) have shown that electrons field emitted from these orientations exhibit energy distribution curves that agree closely with the Sommerfeld free electron model upon which the theoretical expressions of Chapter II are based. Furthermore, the work functions of the crystal planes intersecting these directions are quite low - 4.3 eV for the (310) plane and 4.4 eV for the (111) plane - thereby providing the highest beam transmission values.

The steps involved in the fabrication of the emitter and its holder are the following:

(1) A 5 mm length (L) emitter blank is cut from a 0.13 mm diameter (D) wire formed by etching in NaOH a 1.25 mm D zone melted tungsten rod of the proper orientation.

(2) The emitter blank is spot welded onto a 0.25 mm D filament etched down to 0.15 mm D in the neighborhood of the emitter blank in order to localize subsequent heating (Figure 10A).

(3) Emitter filament, small pieces of alumina-silicate glass (Corning 1720) and an emitter holder, which is a cylindrical molybdenum tube, are placed in an alignment jig (Figure 10B). The glass is melted in a hydrogen furnace to form a permanent bond between the filament and the emitter holder.

(4) After removing the emitter holder from the alignment jig, the emitter is then placed in 1 N NaOH solution, where it is etched to a sharp point of approximately 1 mm L by applying 10 V DC between the emitter and a nearby electrode (Figure 10C). As the emitter

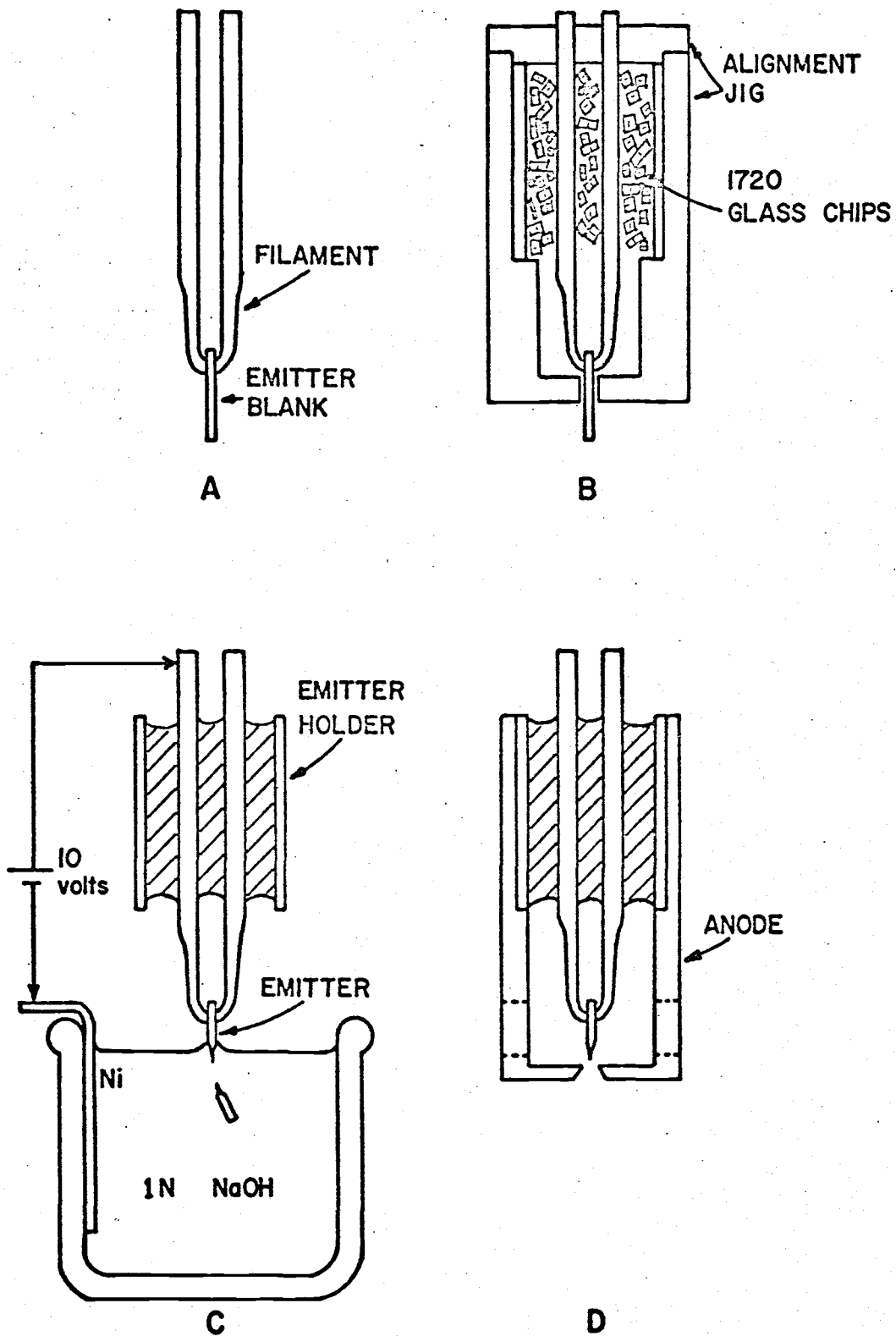


Figure 10. Emitter fabrication: A. Emitter blank spot welded to filament; B. Emitter blank and emitter holder in alignment jig; C. Emitter etching arrangement; D. Emitter-anode assembly.

blank is etched, a point is reached where the emitter blank drops off. At this point the etching is stopped in order to achieve the sharpest possible point. Tip geometry is checked in a 430 power optical microscope.

(5) The emitter holder is then placed in the anode cylinder and alignment of tip and anode aperture is checked by a binocular microscope (Figure 10D).

In this manner the emitter can be placed on the electron optical axis to within  $\pm 0.001$  mm.

### 3. Collector Fabrication

The collectors were made from single crystal zone refined Marz grade rods obtained from Materials Research Corporation. Typical materials analyses of the rods are given in Table II. The single crystal collector surfaces were fabricated by a high speed grinding wheel and electrochemical machining techniques. Approximately 0.5 mm of the collector surface was removed by electrochemical etching in order to eliminate mechanical defects. The etchant solutions for the nickel, copper, tungsten, niobium and iridium surfaces were concentrated phosphoric acid for both nickel and copper, sodium hydroxide, 25% hydrofluoric, 25% sulfuric acid solution in water, and 5% sodium hypochlorite, respectively. The alignment of the desired crystal directions with respect to target normal was within  $\pm 1^\circ$  as shown by Laue X-ray examination. Monocrystallinity of the substrate was carefully checked both before and after measurement by a high powered optical microscope and Laue X-ray examination.

The single crystal collector substrates of this study were shaped and mounted in the holder as shown in Figure 6. The face of the collector crystal was circular with a diameter of 5mm. This was sufficiently large compared to the 0.5 to 1.0 mm beam size to eliminate

TABLE II. COLLECTOR MATERIALS ANALYSES\*

Impurity	(in ppm)				
	Cu	Ir	Ni	Nb	W
H	0.016	N.D.**	<1.	<1.0	N.D.
B	N.D.	N.D.	<0.01	0.01	N.D.
C	5.	<3.	17.	35.	<3.
N	<1.	N.D.	<5.	5.0	N.D.
O	2.	<10.	<10.	<10.0	<10.
F	N.D.	<0.3	N.D.	N.D.	N.D.
Na	0.4	N.D.	3.	1.0	<0.5
Mg	<0.4	<4.	0.1	<0.3	0.4
Al	1.	5.	0.2	0.1	<0.5
Si	<2.	3.	<2.	2.0	2.
P	N.D.	<0.2	N.D.	N.D.	N.D.
S	<0.5	<3.	0.5	2.0	0.6
Cl	N.D.	0.4	1.	5.0	0.6
K	0.2	<10.	0.7	0.3	0.2
Ca	0.2	3.	<0.6	0.3	0.3
Sc	N.D.	<0.3	N.D.	N.D.	N.D.
Ti	N.D.	5.	0.04	<2.0	<0.3
V	<0.2	N.D.	N.D.	0.5	<3.
Mn	<0.3	<0.3	<0.1	0.2	0.03
Fe	0.3	15.	15.	2.0	<0.5
Co	<0.3	<3.	<3.	<0.2	N.D.
Ni	<0.4	2.		0.3	0.2
Cu		0.5	5.	7.0	0.1
Zn	N.D.	<0.4	N.D.	N.D.	0.04
Ga	<2.	<0.6	N.D.	N.D.	N.D.
Ge	<1.	<0.6	<4.	<1.0	<0.1
As	<0.3	<1.	0.4	N.D.	N.D.
Se	<2.	N.D.	N.D.	N.D.	<0.1
Br	<2.	N.D.	0.3	N.D.	<0.1
Rb	<0.2	N.D.	N.D.	N.D.	N.D.
Sr	<0.2	<2.	<2.	N.D.	N.D.
Y	<0.4	<2.	<0.3	N.D.	N.D.
Zr	0.4	2.	0.4	0.6	<1.
Nb	N.D.	3.	<0.3		<50.
Mo	<0.2	<5.	N.D.	20.0	5.
Ru	<0.2	100.	N.D.	<0.3	N.D.

TABLE II (CONTINUED)

Impurity	Collector				
	Cu	Ir	Ni	Nb	W
Rh	<0.2	10.	N.D.	<0.3	N.D.
Pd	<0.2	<2.	N.D.	<4.0	N.D.
Ag	<0.4	<3.	N.D.	6.0	N.D.
Cd	<0.3	<6.	<1.	<1.0	N.D.
In	<0.2	<0.6	N.D.	<0.4	<2.
Sn	<0.3	<6.	<6.	<1.0	N.D.
Sb	<0.2	<2.	<6.	<0.3	N.D.
Te	<0.3	<10.	<4.	<1.0	N.D.
I	N.D.	<2.	N.D.	<0.4	N.D.
Cs	N.D.	<0.7	<0.7	N.D.	<2.
Ba	N.D.	N.D.	3.	N.D.	N.D.
Ce	N.D.	N.D.	<0.7	N.D.	N.D.
Nd	N.D.	N.D.	<1.	N.D.	N.D.
Sm	N.D.	N.D.	<1.	N.D.	N.D.
Gd	N.D.	<6.	N.D.	N.D.	N.D.
Yb	N.D.	<10.	N.D.	N.D.	N.D.
Lu	N.D.	<1.	N.D.	N.D.	N.D.
Hf	N.D.	N.D.	<0.3	N.D.	N.D.
Ta	<1.	<10.	<10.	300.0	<3.
W	N.D.	40.	N.D.	25.0	
Re	N.D.	3.	N.D.	N.D.	<2.
Os	N.D.	7.	N.D.	N.D.	N.D.
Pt	N.D.	30.	N.D.	N.D.	<3.
Au	<1.	<1.	<0.7	<6.0	<1.
Hg	N.D.	<1.	N.D.	N.D.	<4.
Tl	N.D.	<10.	N.D.	N.D.	N.D.
Pb	N.D.	1.	N.D.	N.D.	0.4
Th	N.D.	4.	N.D.	N.D.	N.D.

\* (28), \*\* N.D. = Not Detectable. Methods of Analysis: Carbon-conductometric method; gases-vacuum fusion; all others-mass spectograph.

edge effects. Thermal and electron induced desorption cleaning of impurities at the collector crystal were accomplished through electron bombardment. Collector crystals could be easily replaced by removing the glass seal which holds the collector support rod.

## B. Instrumentation

### 1. Circuitry

The circuitry for tube operation is shown in Figure 8. Referring to the diagram,  $V_c$  is a Keithley Model 600 A 1000 V, 20 mA digital power supply with an accuracy of  $\pm 0.05\%$ ,  $\pm 1$  mV, traceable to the National Bureau of Standards. This voltage supply establishes the potential of the collector relative to the emitter and thus determines the accuracy of the work function measurement. The power supply  $V_3$ , which determines the anode potential relative to the emitter, is a Fluke Model 410 B 10kV, 10 mA digital power supply with an accuracy of  $\pm 0.25\%$   $\pm 250$  mV. Since this supply is not in the emitter-collector circuit, its accuracy is not critical, but its stability ( $\pm 0.05\%$   $\pm 50$  mV) is important for constant electron emission. The resistors  $R_1$ ,  $R_2$  and  $R_3$ , which provide the potential on the lens elements of the tube are each Kelvin-Varley resistance divider networks (see Figure 11). These resistor networks allow the potentials on the lens elements to be set to 1 part in  $10^4$  of the anode potential. Since one side of the resistor networks is connected to  $E_3$ , the anode potential, the potentials on the lens elements vary in direct proportion to the potential of the anode; thus the electron paths through the focusing elements remain independent of any change in the current-voltage characteristics of the emitter.

The meter  $I_c$  is a Keithley Model 600 A battery-operated electrometer;  $I_1$  is a Keithley Model 610 B line-operated electrometer. Both meters have an accuracy of  $\pm 3\%$ . The important feature of

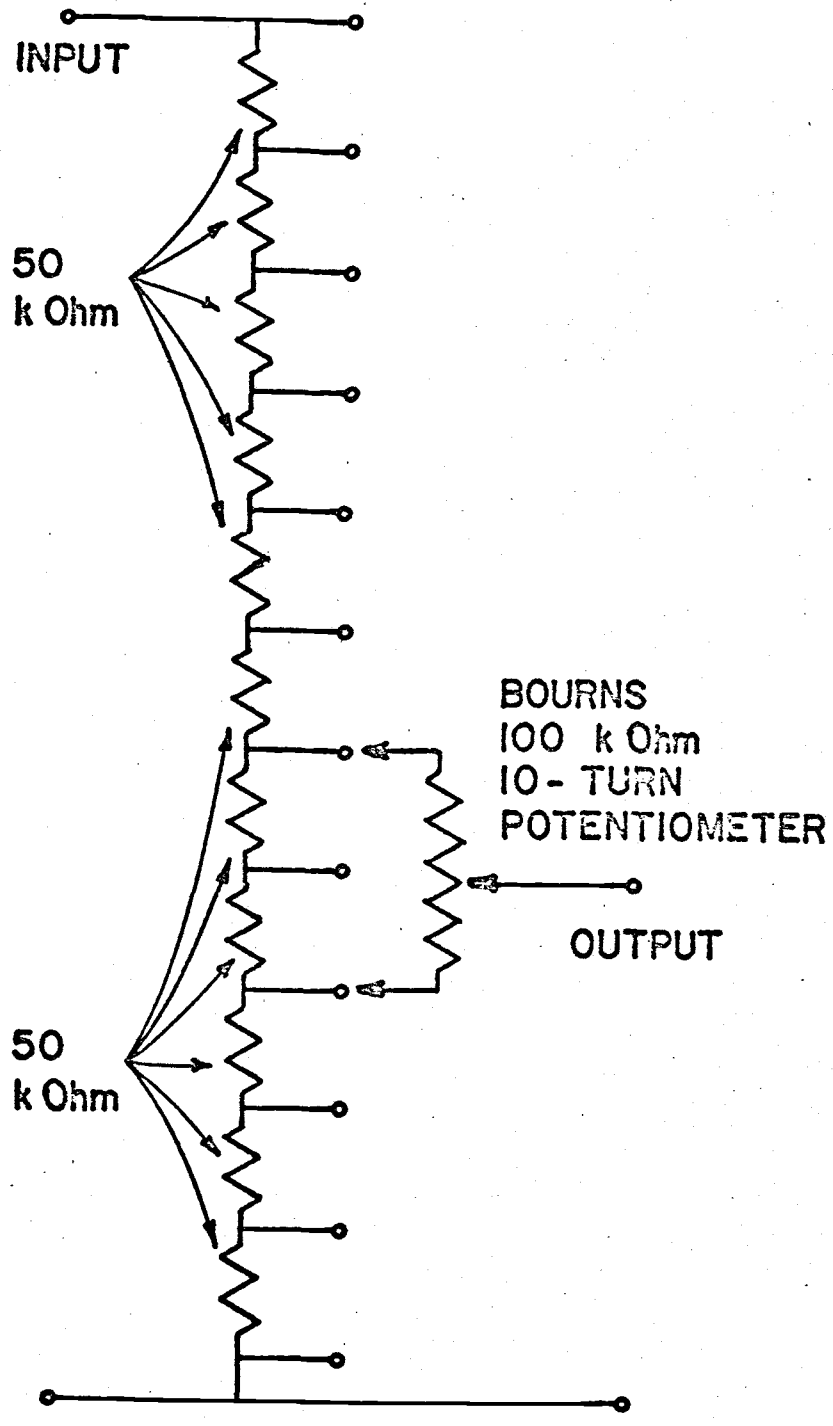


Figure 11. Kelvin-Varley divider network for resistances  $R_1$ ,  $R_2$  and  $R_3$ .



these meters is that they have a "FAST" or feedback mode of operation for which the potential difference across the meter leads is 1 mV or less; since they are both in the emitter-collector circuit, it is important that this potential difference be minimized. It is essential that meter  $I_C$  be battery operated because it is operated at the collector potential.

A Princeton Applied Research Model HR-8 Lock-In-Amplifier (LA in Figure 8) is used to provide a differential of the collector current-voltage curve. It provides a 10 mV, 1000 Hz signal,  $V_S$ , to the emitter through transformer  $T_3$  and detects the same frequency signal,  $V'_S$ , by measuring the collector current through  $R_C$ . The magnitude of  $V_S$  is proportional to the slope of the  $I_C(V_C)$  curve as a function of collector voltage.

By proper connections (see Figure 8) either the collector current or its differential could be recorded as a function of collector potential on an Electronics Associates, Incorporated, Model 1120 10 in by 15 in X-Y recorder. The accuracy on each scale is 0.25%.

In order to clean the emitter surface the emitter is heated by passing AC current through the supporting filament. The current is provided by a variable transformer  $T_1$  and a 6.3 V AC filament transformer  $T_2$ .

## 2. Evacuation Systems

The experimental tube was evacuated on a liquid nitrogen trapped mercury diffusion evacuation system that was bakable to 400°C. After outgassing the collector and nearby elements by electron bombardment, vacuum in the  $10^{-10}$  torr range was routinely obtained. The experimental tube was surrounded by a magnetic shield to reduce the effect of stray magnetic fields.

#### IV. EXPERIMENTAL PROCEDURE

Each collector target was fabricated and, in its turn, mounted in the experimental tube, as described previously. After mounting the collector substrate, the tube was evacuated to  $\sim 10^{-10}$  torr pressure range. The arrangement allowed for the option of immersing the tube partially or completely in liquid nitrogen in order to enhance the vacuum stability and to extend the temperature range of the work function measurements.

Cleaning of the crystal surface was accomplished by electron bombardment heating to 2100°K for niobium and tungsten, 1700°K in the case of iridium, 1400°K for nickel and 1100°K for copper. The copper crystal was exposed to  $10^{-6}$  torr of hydrogen and heated to 1250°K. In order to remove potential carbon contamination the nickel crystal was first heated in  $10^{-5}$  torr of oxygen followed by heating in  $10^{-6}$  torr of hydrogen and then heated to  $\sim 1400$ °K in high vacuum. Thermal heating was continued until the field electron emitter, which was also cleaned thermally (mode 1 in Figure 8) and therefore very sensitive to gas release from the collector, showed no change in current after flashing the collector substrate to its cleaning temperature. As a corollary check, the absence of further change in the collector work function on heating was used as an indication of a clean surface.

The emitter-to-collector current-voltage characteristics were taken several times for each collector crystal and plotted on an X-Y recorder (mode 2 in Figure 8). A computer program (Appendix II) was formulated to plot the data according to Equation (9) so that a value of  $\phi_c$  and  $d$  could be obtained. As will be noted later this method of determining  $\phi_c$  and  $d$  was not always applicable due to reflection. Therefore, the differential curve was also taken by utilizing the mode 3 circuitry in Figure 8, which involves the well known electronic differentiation method utilizing the lock-in-amplifier described pre-

viously. The resulting plot of  $dI_c/dV$  as a function of  $V_c$  is the total electron energy distribution as measured at the collector. From the position of the TED peak and Equation (11), a value of  $\phi_c$  was obtained; this result could be obtained with an experimental accuracy of  $\pm 20$  meV. The I-V and TED data were usually taken at emitter temperatures of 77°K and 300°K.

## V. EXPERIMENTAL RESULTS

The values of  $\phi_c$  obtained by the FERP method are reported in Table III along with a comparison with other methods and with values calculated from a semi-empirical method developed by Steiner and Gyftopoulos (29). The FERP values were obtained via Equation (11) from the TED curves shown in Figures 12 - 14. An interesting feature of these results is the additional structure in the TED for Cu(100), Nb(100) and to a lesser degree for Ir(111). This anomalous structure near the threshold of the TED curve was not as apparent in the other results and was determined to be due to unusual electron reflection. The integral current-voltage characteristics shown in Figures 15 - 22 on a compressed voltage scale clearly show that the origin of the TED structure in Cu(100) and Ir(111) is due to electron reflection which varies rapidly at the threshold voltage. Although the integral curve for Nb(100) was not obtained due to inadvertent melting of the crystal, the structure in the TED curve suggests a reflection coefficient which also varies rapidly near threshold. All other substrates show reflection at threshold, but to a lesser degree.

If it is assumed that all the reflected electrons are collected at the mesh, the sum of the collector current  $I_c$  and mesh current  $I_s$  is given by

$$I'_p = I_c + I_s, \quad (13)$$

where  $I'_p$  is the emitter current arriving at the mesh. Noting that the mesh transmission is given by  $I_p/I'_p = T$ , where  $I_p$  is the current impinging on the collector, and that  $(1 - R) = I_c/I_p$ , one obtains

$$(1 - R) = I_c/T (I_c + I_s). \quad (14)$$

TABLE III. COMPARISON OF VALUES OF  $\phi_c$  OBTAINED BY FERP METHOD AND BY OTHER METHODS

Material	Atom Density (atoms/ cm <sup>2</sup> )	Work Function (eV)				
		This Work	Thermionic	Photoelectric	Field Emission	Calculated
W(110)	14.1	5.25 ± 0.02	5.35 ± 0.05 <sup>30</sup>		5.9 ± 0.1 <sup>7</sup>	5.50
W(100)	10.0	4.63 ± 0.02	4.60 ± 0.05 <sup>30</sup>		4.70 ± 0.05 <sup>7</sup>	4.66
W(111)	5.77	4.47 ± 0.02	4.40 ± 0.02 <sup>30</sup>		4.45 ± 0.03 <sup>7</sup>	4.47
Ir(111)	15.8	5.76 ± 0.04	5.79 ± 0.03 <sup>31</sup>			5.56
Ir(110)	9.7	5.42 ± 0.02				4.84
Nb(100)	10.9	4.18 ± 0.02	3.95 ± 0.03 <sup>32</sup>		3.87 ± 0.01 <sup>33</sup>	4.08
Ni(100)	16.15	5.53 ± 0.05		5.22 ± 0.04 <sup>34</sup>		5.56
Cu(100)	15.4	5.10 ± 0.05	4.9 <sup>35</sup>			4.99

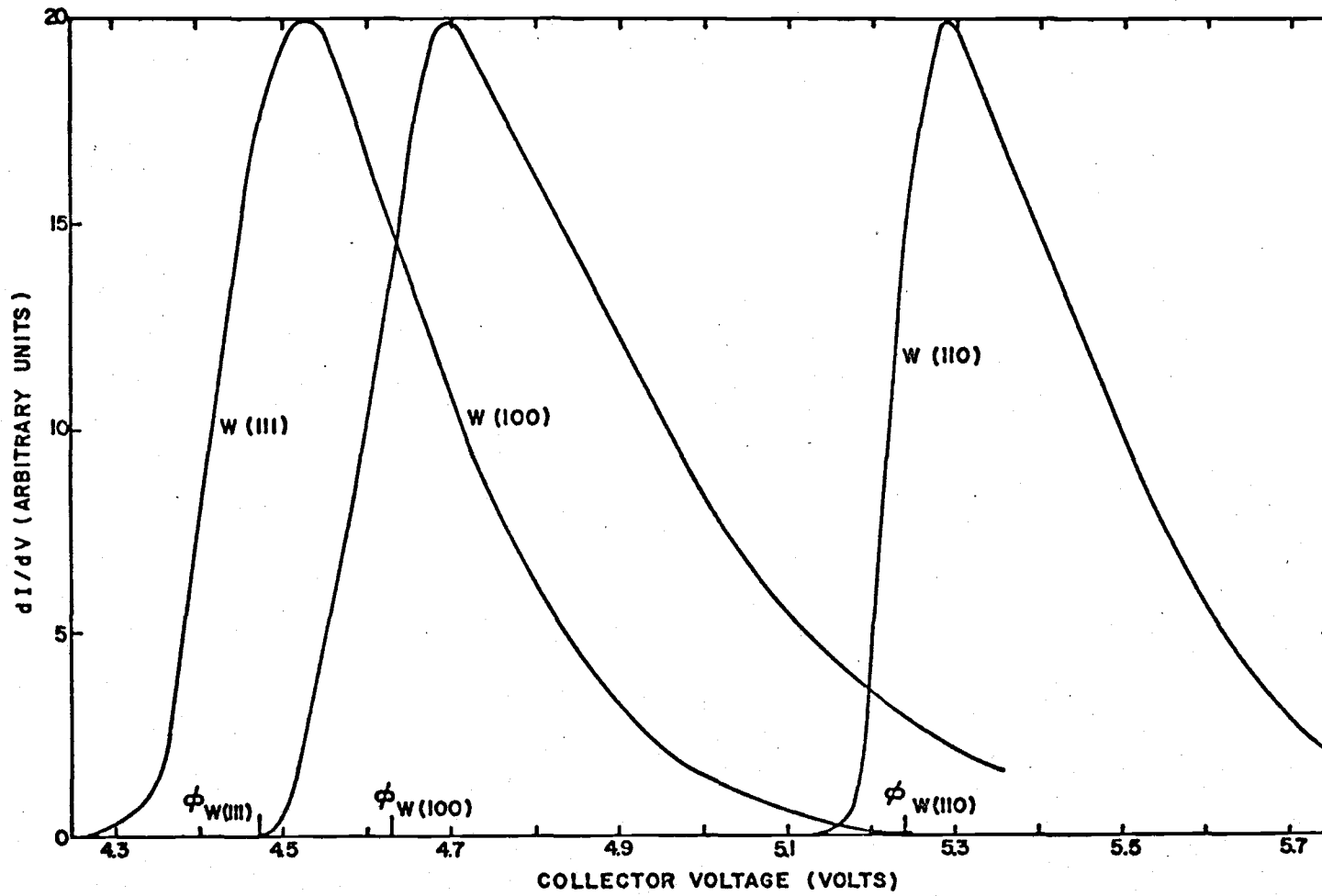


Figure 12. TED curves for W(111), W(100) and W(110).

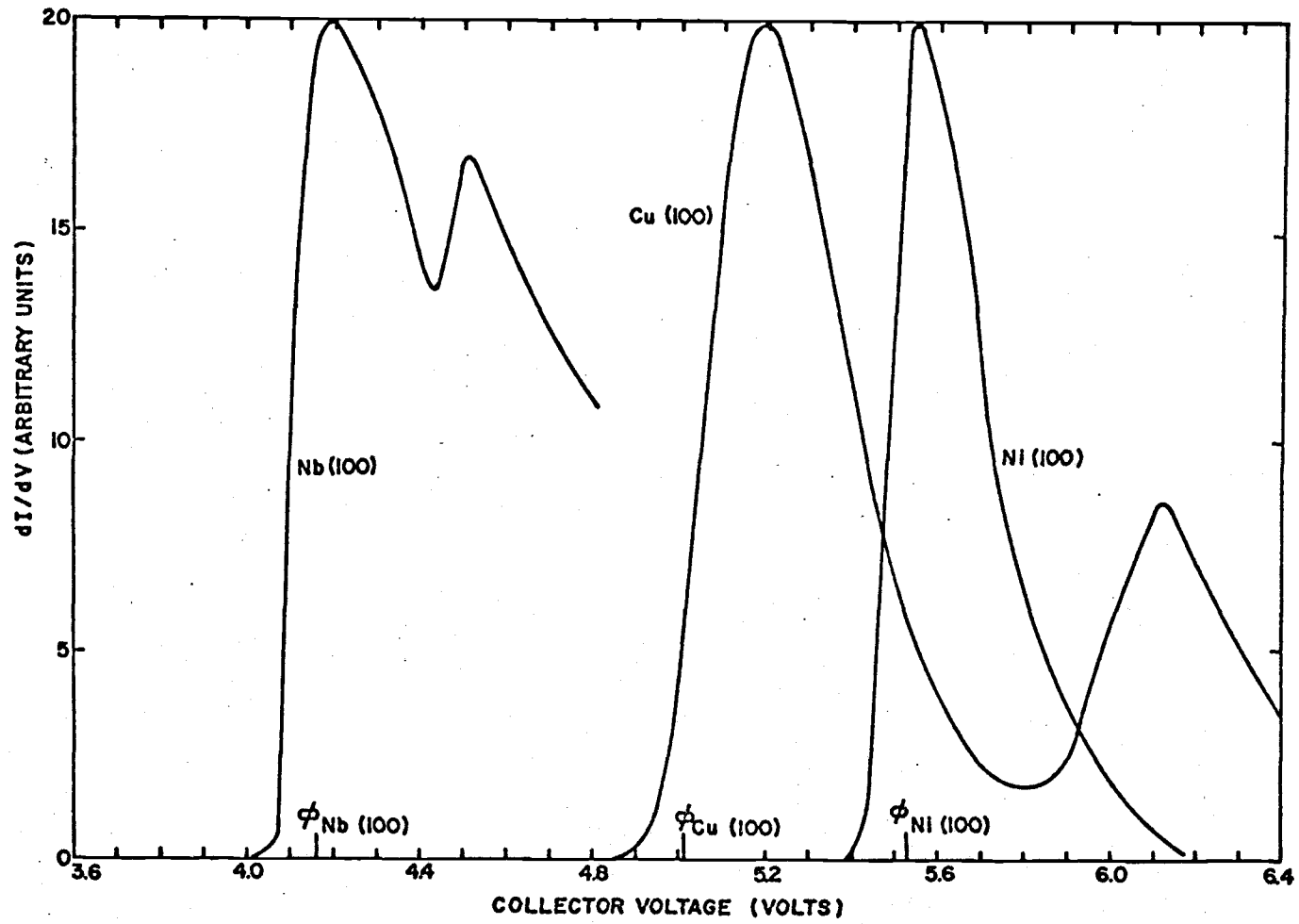


Figure 13. TED curves for Cu(100), Ni(100) and Nb(100).

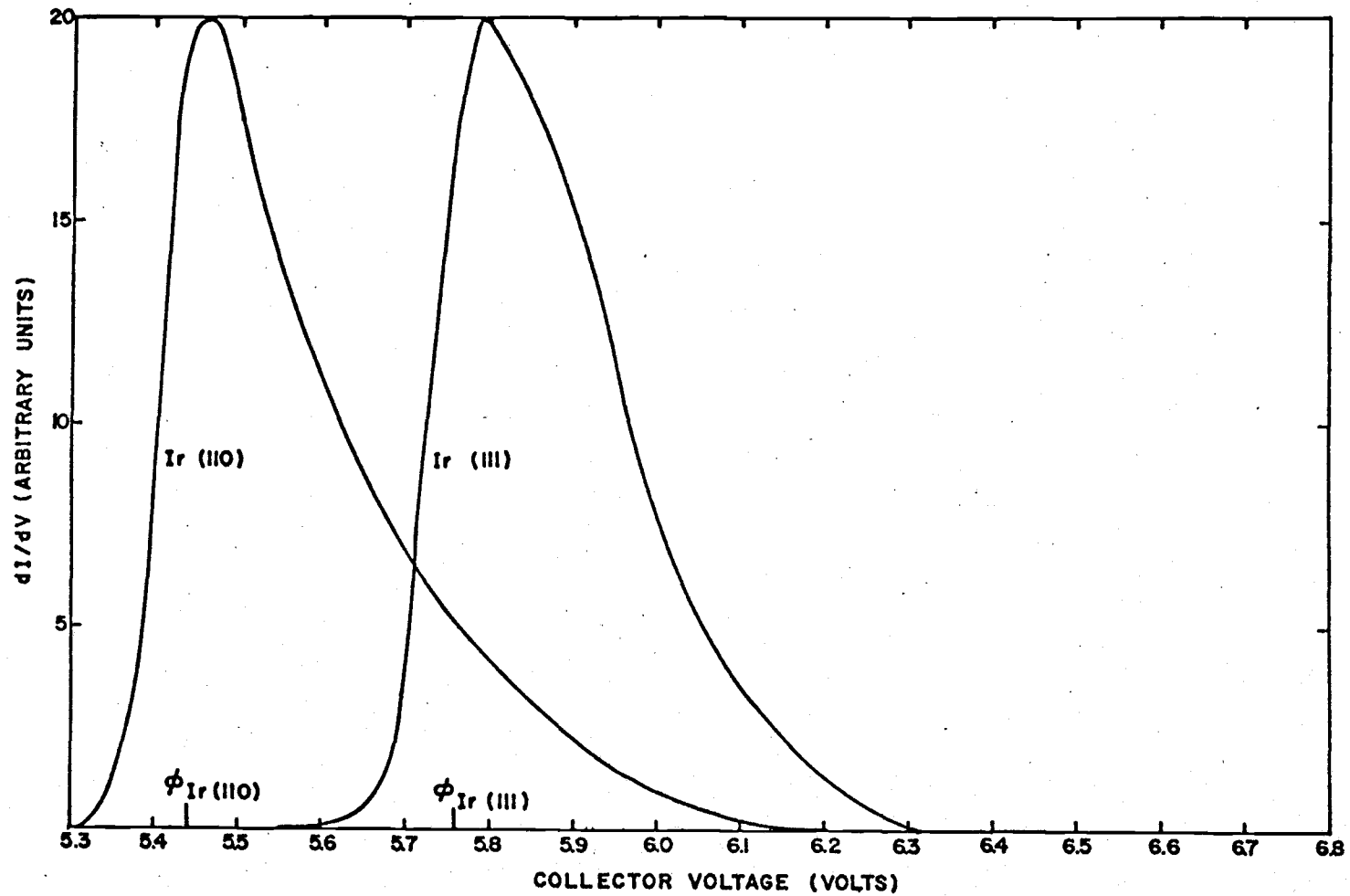


Figure 14. TED curves for Ir(111) and Ir(110).



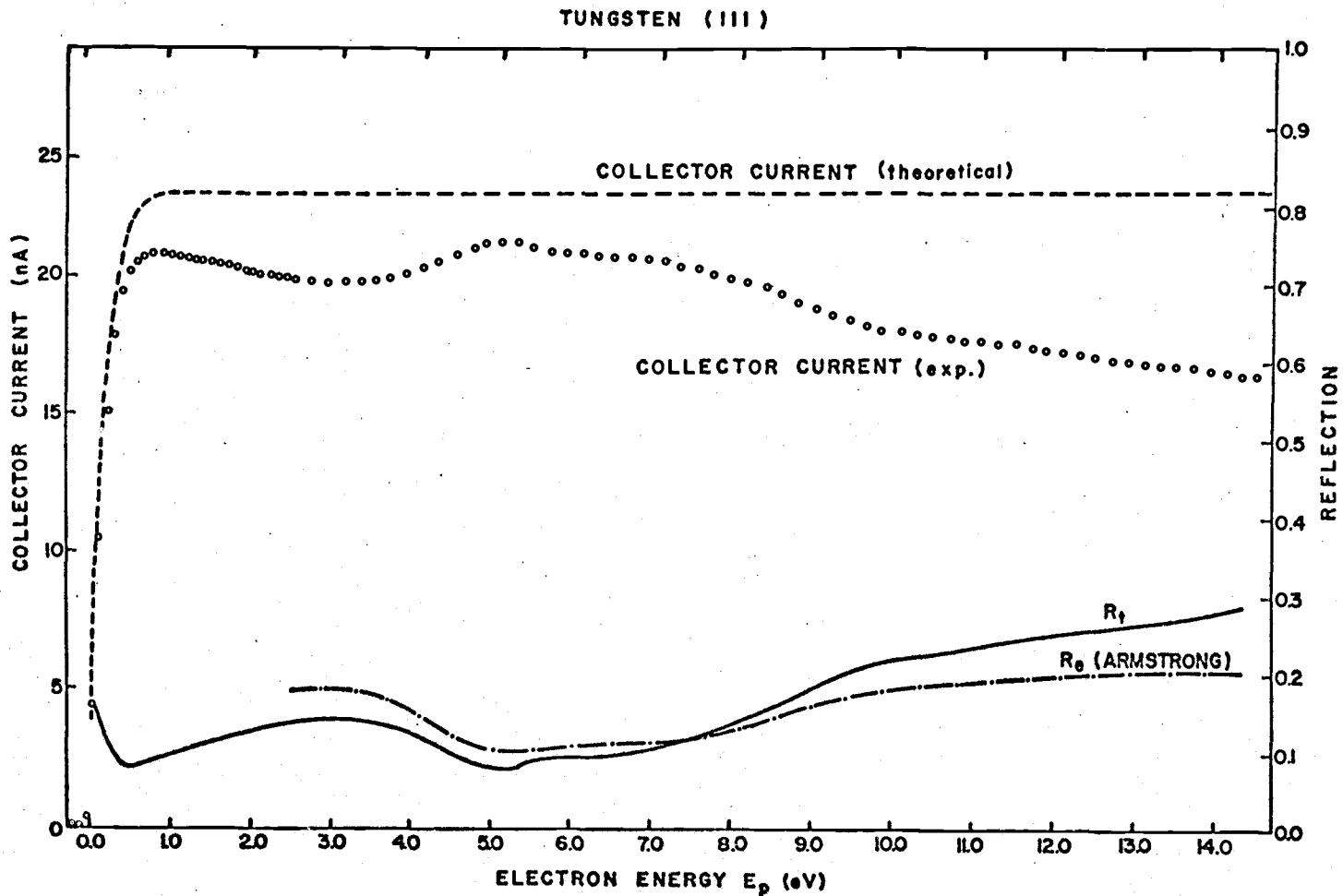


Figure 15. Experimental and theoretical integral  $I(V_C)$  curves obtained from W(111). Solid lines shows the total reflection curve  $R_t$ . Dashed curve gives the experimental elastic reflection curve  $R_e$  obtained by Armstrong (46).

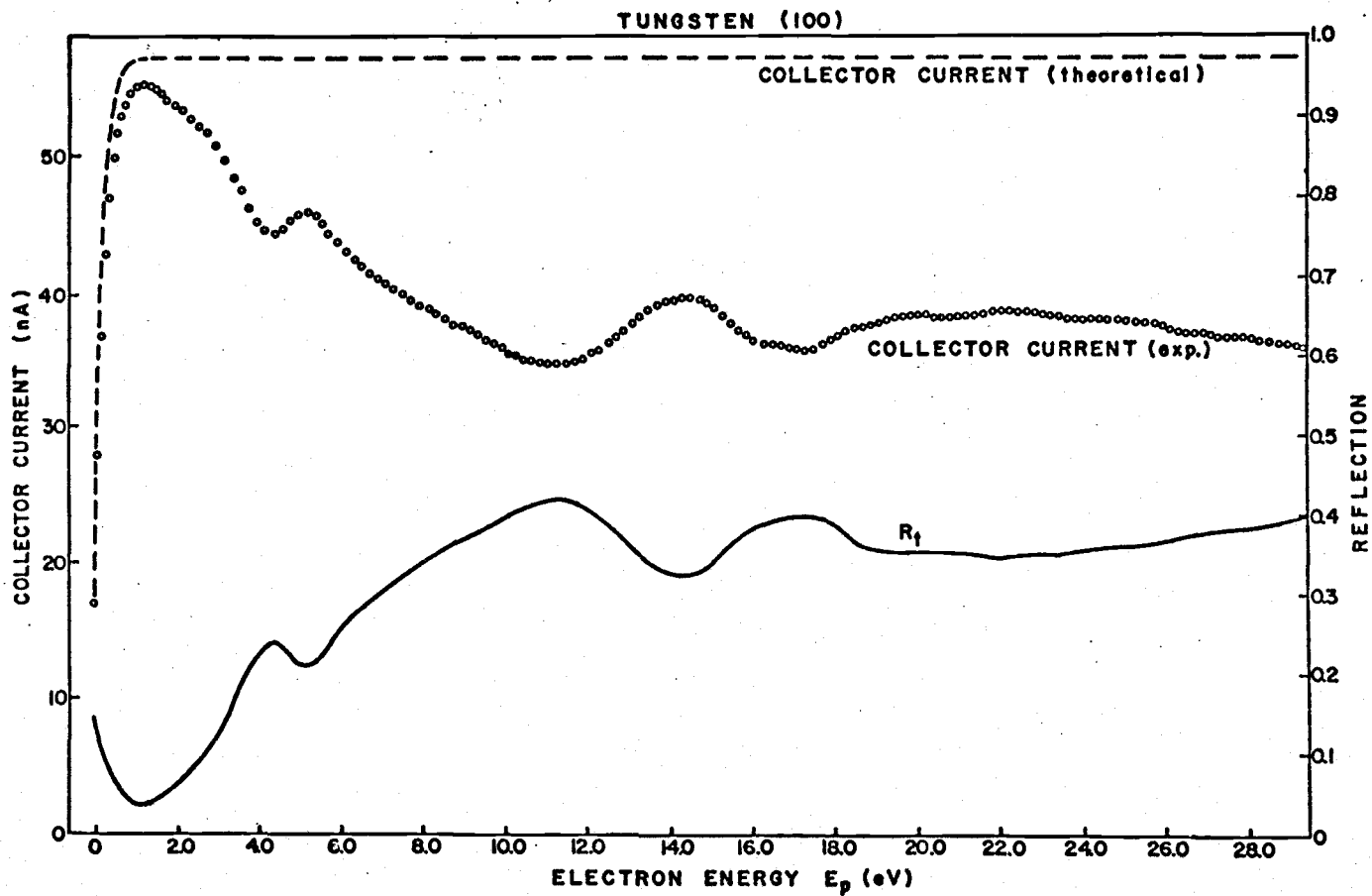


Figure 16. Experimental and theoretical  $I(V_C)$  curves obtained for W(100). Solid line shows the total reflection  $R_t$  curve. The mesh voltage  $V_S = 100$  V.

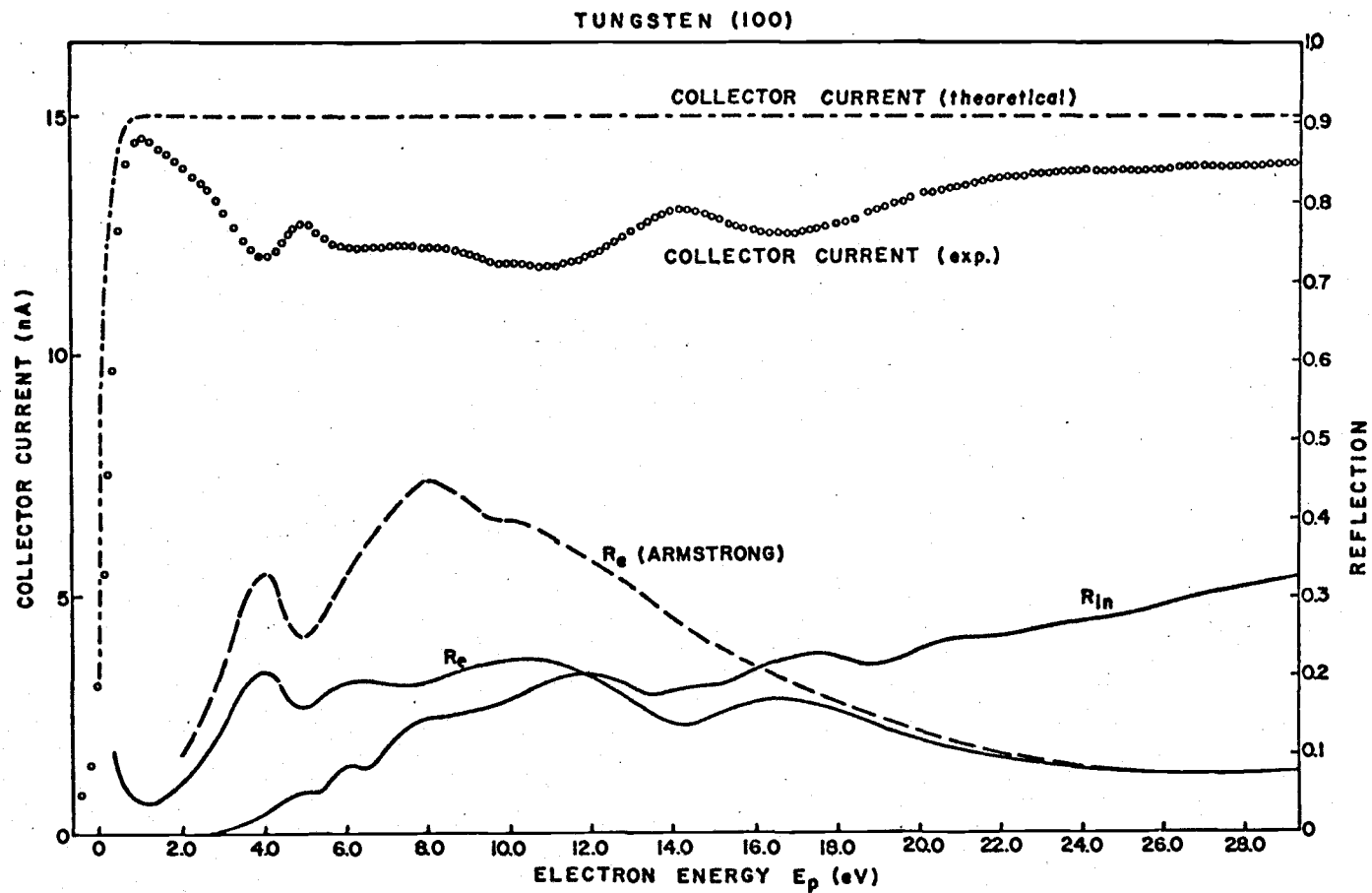


Figure 17. Experimental and theoretical  $I(V_C)$  curves obtained from W(100). Solid line curves show inelastic  $R_{in}$  and elastic  $R_e$  reflection coefficients. The mesh voltage  $V_g = 5.25$  V.

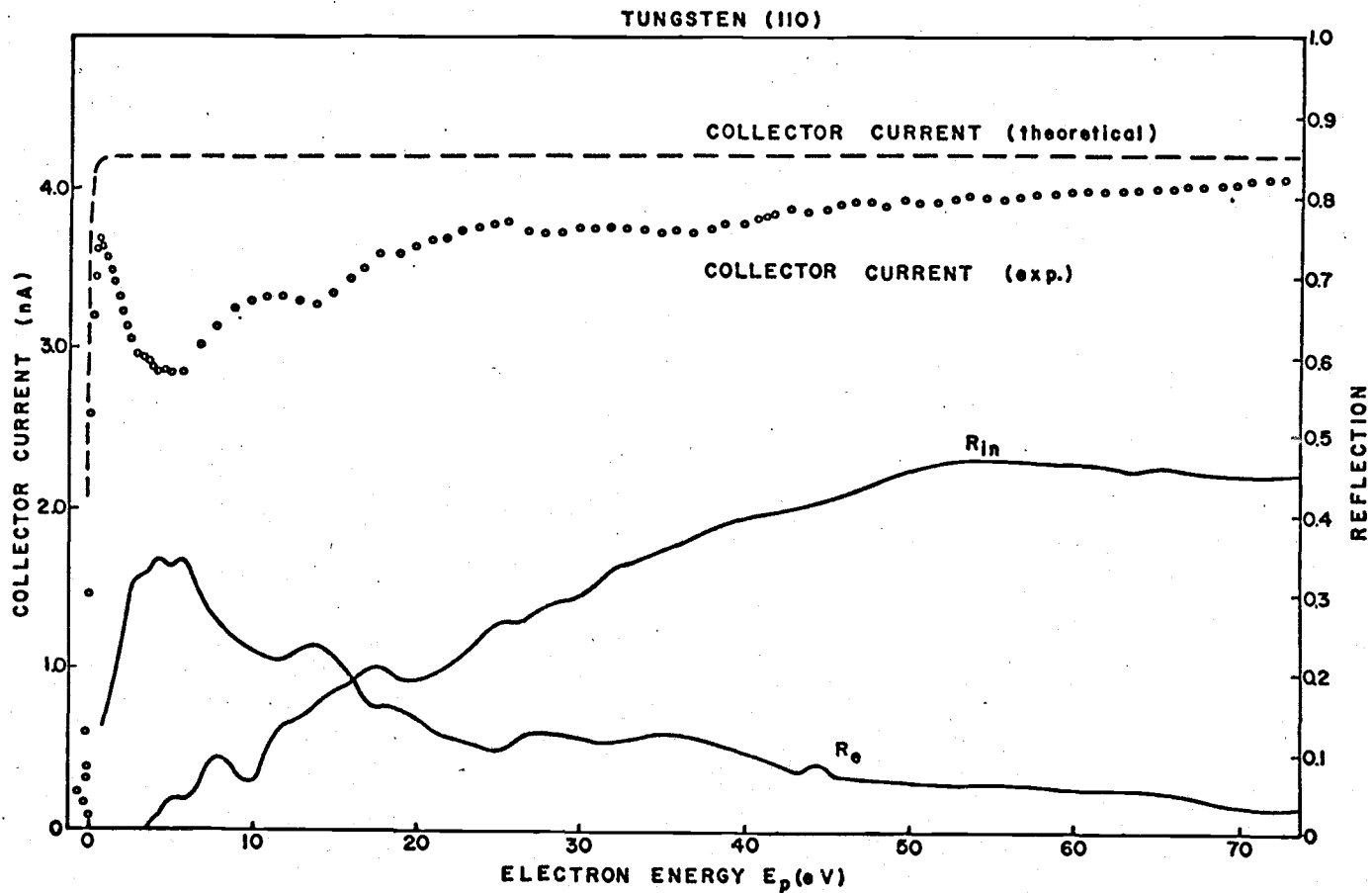


Figure 18. Experimental and theoretical  $I(V_C)$  curves obtained from W(110). Solid line curves show inelastic  $R_{in}$  and elastic  $R_e$  reflection coefficients.

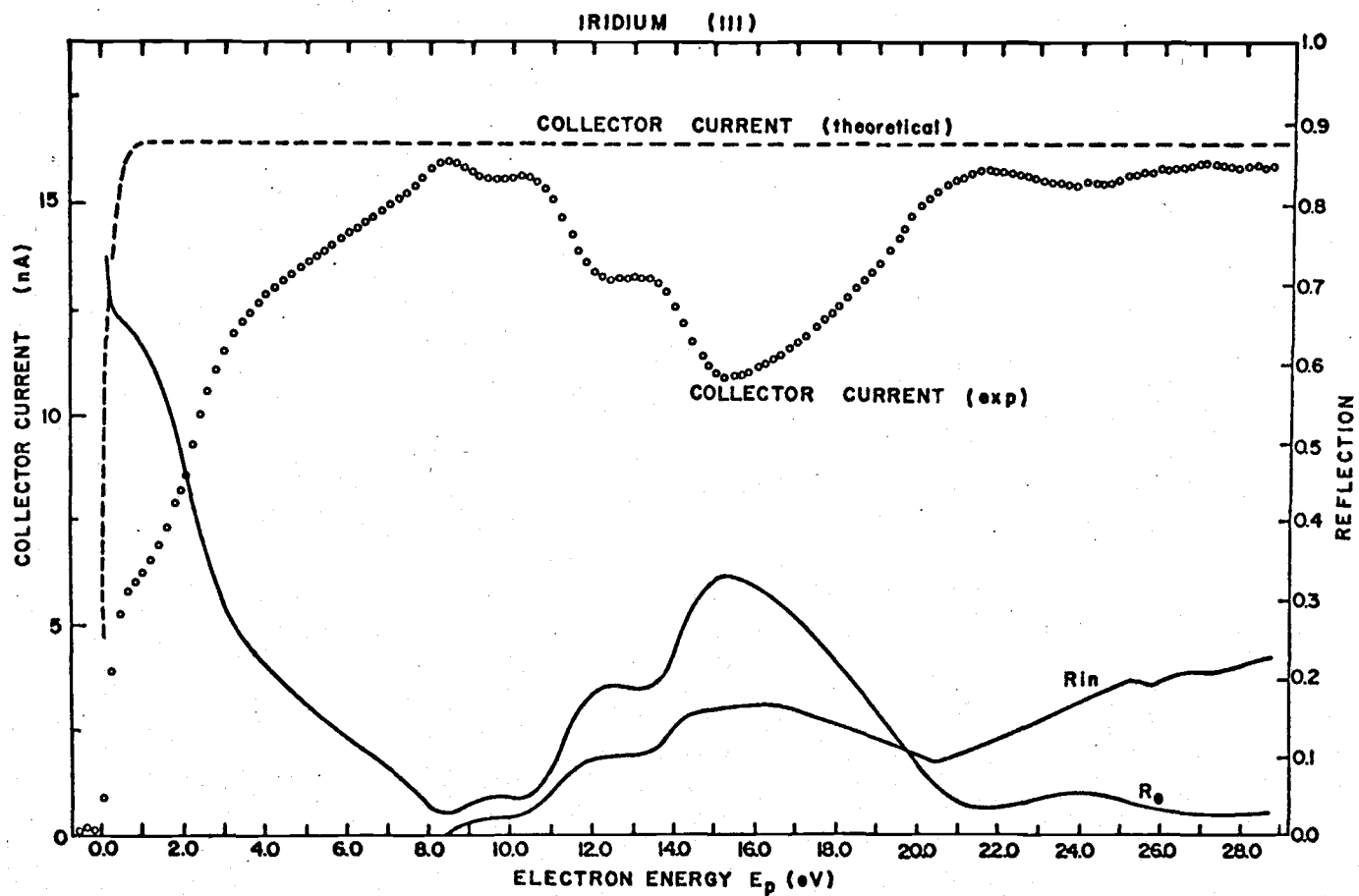


Figure 19. Experimental and theoretical  $I(V_c)$  curves obtained from Ir(111). Solid line curves show inelastic  $R_{in}$  and elastic  $R_e$  reflection coefficient curves.

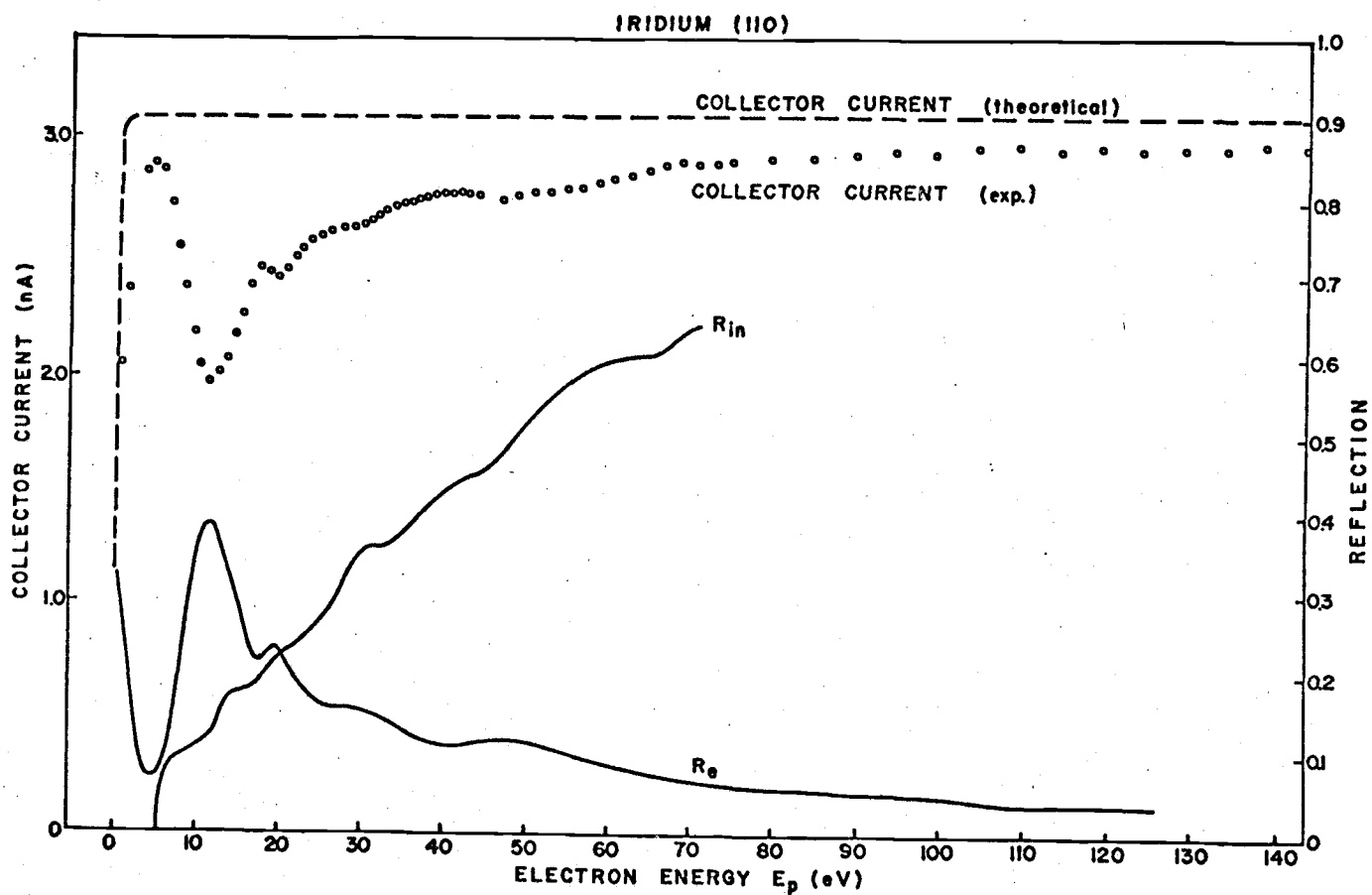


Figure 20. Experimental and theoretical  $I(V_C)$  curves obtained from Ir(110). Solid line curves show inelastic  $R_{in}$  and elastic  $R_e$  reflection coefficients.

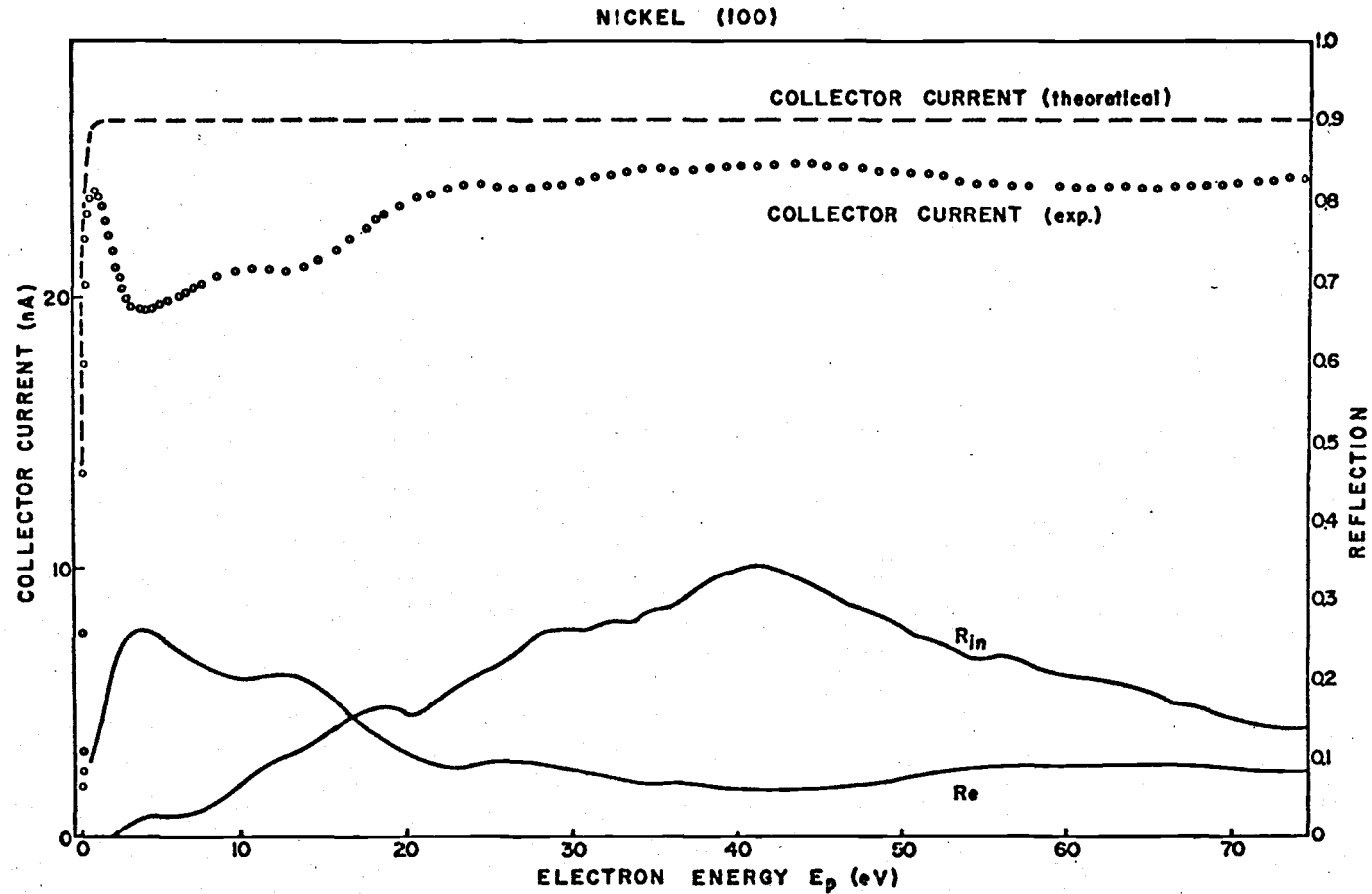


Figure 21. Experimental and theoretical  $I(V_C)$  curves obtained from Ni(100). Solid line curves show inelastic  $R_{in}$  and elastic  $R_e$  reflection coefficients.

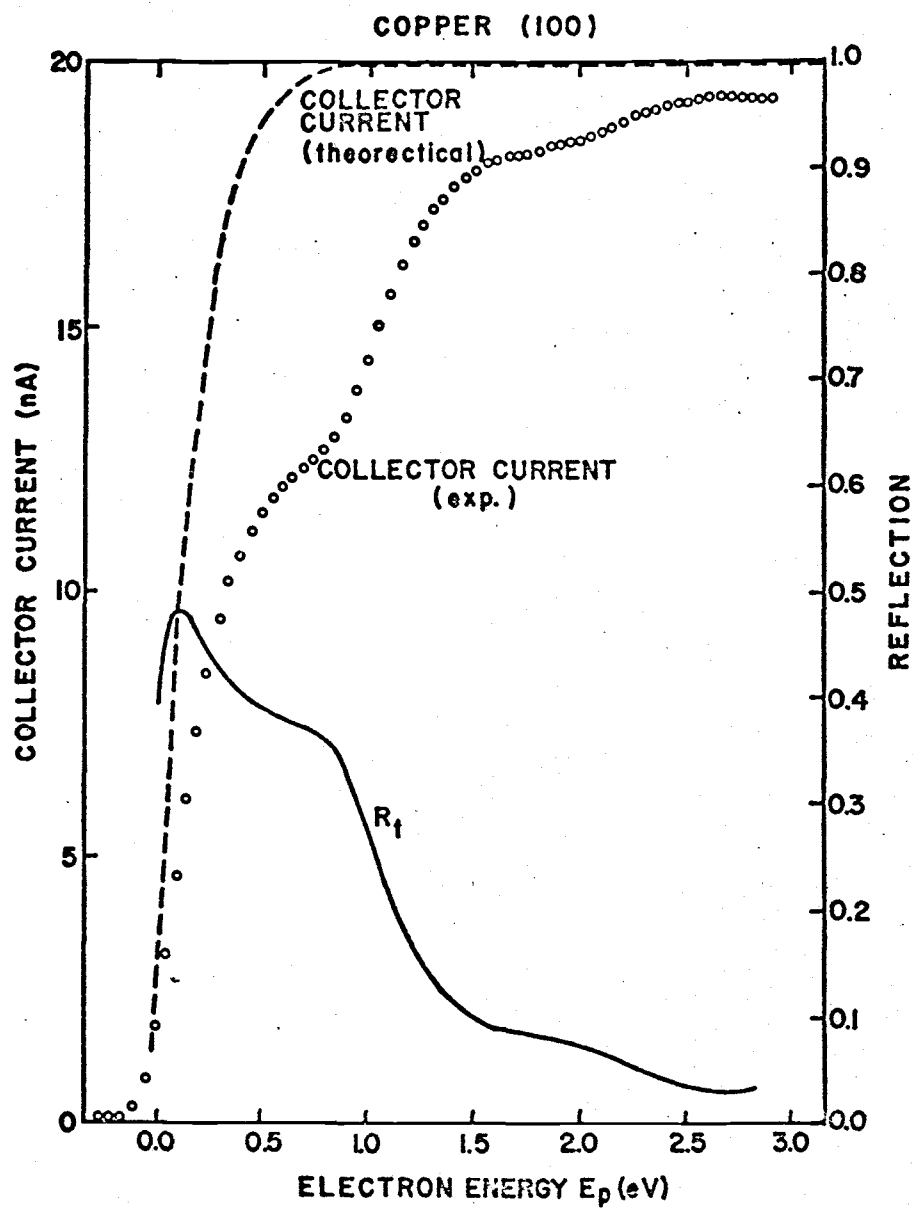


Figure 22. Experimental and theoretical  $I(V_C)$  curves obtained from Cu(100). Solid line curve shows the total  $R_t$  reflection coefficient.



Since  $T$ ,  $I_c$  and  $I_s$  are measurable quantities  $R$  may be determined as a function of  $V_c$  as shown in Figures 15 - 22 for each of the substrates. It is important to point out that Equation (14) is valid when  $I_p$  is at its saturated value. Since we do not wish to count electrons reflected by the retarding field, it is necessary to use the theoretical variation of  $I_p$  with  $V_c$  to calculate  $R$  in the retarding range. As a self consistent check on the electron current accounting we can also measure  $I'_p$  in the deep retarding range preceding the threshold where  $I'_p = I_s$ ; this value of  $I'_p$  generally agreed with that calculated from Equation (13) at saturation. The theoretical dependence of the current  $I_p$  on  $V_c$  is also plotted in Figures 15 - 22 with appropriate normalization factors applied. Clearly the values of  $R$  for both Ir(111) and Cu(100) are unusually high and rapidly changing near threshold. It must be remembered that the energy spread of the primary beam at half height is  $\sim 0.2$  eV so that structure in  $R$  less than 0.2 eV width may be detected but not accurately reproduced with respect to shape. However, with these definitions in mind, one may confidently measure  $R$  down to zero primary beam energy. It should be pointed out that in order to obtain the value of the primary beam energy  $\phi_c$  must be subtracted from the abscissa of each of the I-V curves. The latter correction has been made in Figures 15 - 22.

In the experimental setup when  $V_c - \phi_c > V_s - \phi_s$  (s refers to the screen-mesh electrode) those reflected electrons which lose energy through inelastic processes will not be collected at the mesh but instead will be returned to the collector. Thus, by fixing  $V_s = 5.8$  V, only specularly reflected elastically scattered electrons will escape from the collector crystal. The elastically reflected electron coefficient  $R_e$  has been measured for several substrates as given in Figures 16 - 21. By setting  $V_s \simeq 130$  V all reflected electrons in the energy range investigated return to the mesh and total

reflection  $R_t$  curves are obtained (see Figure 15). Hence, it is possible by this technique to measure the inelastically reflected electron coefficient  $R_{in}$  by noting that  $R_{in} = R_t - R_e$ . In Figures 16 - 21 values of  $R_{in}$  are given for several of the crystal faces. For the crystal faces Cu(100) and W(111) only  $R_t$  values were obtained. Difficulty with leakage current to the mesh electrode caused some minor uncertainty regarding the absolute values of  $R$  for Ir(110), W(110) and Cu(100).

## VI. DISCUSSION

### A. Work Function

#### 1. Comparison with Other Measurements

As shown in Figure 12 and Table III the work function values of 4.47, 4.63 and 5.25 eV obtained for the (111), (100) and (110) planes of tungsten are in close agreement with values reported by other methods, particularly thermionic and field emission methods. Since the electron reflection coefficient is low (less than 15%) near the threshold for the tungsten results, the values of  $\phi_c$  obtained from Equation (9) compare within experimental error with the values computed from the TED curves via Equation (11) (see Figure 3 for a typical result utilizing Equation (9)). This merely provides the expected self consistent check on the experimental method when R is small or a slowly varying function of energy near threshold.

Notable is the well known discrepancy between  $\phi(110)$  obtained on macroscopic crystals and microscopic crystals employed in field emission (i.e., by use of the Fowler-Nordheim (FN) equation) techniques. This discrepancy is believed to be due to large geometric facets which occur on W(110) planes of a field emitter and which can alter the FN results in the observed fashion. Tungsten work function values exhibit the usual increase with surface atom density in accordance with the semiquantitative theoretical expectations of Smoluchowski (36).

The Ir(111) plane, possessing one of the highest atom densities, yields the expected high work function value  $\phi = 5.76$  eV as shown in Figure 14. A similar high value of  $\phi$  for Ir(111), in remarkable agreement with the value obtained here, has been reported by Zandberg and Tontegods (31) who observe this to be the highest work function reported for a macroscopic single crystal metal surface. The

agreement is surprising in view of the initial polycrystalline nature of Zandberg and Tontegode's iridium crystal. The results of this work indicate that this crystal face is relatively stable with respect to thermal induced recrystallization and faceting effects such as observed on the high work function Re(0001) face (37).

The Ir(110) work function is somewhat lower than Ir(111) as expected on the basis of the lower atom density. Considering that the (110) face of Ir is the third most densely packed plane, the relatively large value  $\phi = 5.42$  eV is indicative of the generally high work function of all crystal faces of iridium.

The value of  $\phi = 4.18$  eV for the (100) face of niobium, which has a body centered crystal structure, shown in Figure 12 agrees closely with thermionic and FN values reported by others (32,33). (See Table III). The work function values for W(100) and Mo(100) obtained by a variety of methods indicate best values of 4.65 and 4.40 eV respectively (33). Both W(100) and Mo(100) possess identical atom densities  $\sigma = 10.9 \times 10^{14}$  atoms/cm<sup>2</sup>. Since molybdenum and niobium are neighboring elements in the periodical table one might expect geometric factors to dominate thereby causing a larger  $\phi$  for niobium. This is obviously not the case. These results underscore the role of electronic factors in the variation of work function with crystal face and material.

Few reliable values of work function for the (100) face of nickel and copper are reported in the literature - obviously, due to the surface cleaning difficulties. The results of this work, shown in Figure 13 and Table III are in rough agreement with photoelectric (34) and thermionic (35) values reported for Ni(100) and Cu(100), respectively. Using careful cleaning procedures and a gold reference electrode, Delchar (38) reports a work function value of 5.16 eV for Cu(100) in excellent agreement with this work. Delchar points out that any

possible error in the work function value for the reference electrode would likely be in such a direction as to raise the Cu(100) value.

The value of Ni(100) work function in this experiment is 0.30 eV larger than any other reliable measurements. Most previous measurements on crystals of questionable surface purity converge on a value of 4.9 eV. Clearly, a combination of the FERP method with Auger analysis would be extremely helpful in answering the question of surface cleanliness.

## 2. Comparison with Work Function Calculations

During the past few years, there have appeared a number of papers concerned with calculation of the work function. These may be divided into (1) efforts aimed at the formulation of a first principles description of the work function (3,39-41) and (2) empirical correlations relating the work function to other metallic properties (29,42,43).

The first principles approaches start with the "jellium" or free-electron model, with refinements, and are useful for calculations of work functions for the alkalis and other simple metals. However, their predictions for the work functions of noble and transition metals show large discrepancies with experiment, due to the neglect of structural and electronic factors. For example, it is interesting to note that the elements copper and molybdenum are each adjacent to nickel and niobium respectively in the periodic table. In each case the change in the free atom electronic structure between adjacent elements involves the filling of the inner d orbitals. In the case of fcc metals nickel and copper the work function of the (100) crystal face decreases with atomic number  $Z$ , whereas with the bcc metals niobium and molybdenum the work function of the (100) face increases with  $Z$ . At the same time each of these pairs of metals exhibits a

slight increase in their respective lattice constants with  $Z$ . The value of the (100) work function for the body centered crystal metal tungsten is larger than the molybdenum value by  $\sim 0.25$  eV even though both metals possess nearly identical lattice constants and differ in electronic structure by the filling of inner 5p and 4f orbitals. Clearly, a predictive theory of metallic work function must include complex structural and electronic factors.

In contrast, a recent semi-empirical formulation by Steiner and Gyftopoulos (29) makes use of the concept of electronegativity to derive an equation by which quantitative values of  $\phi$  may be calculated with a minimum of assumptions. In this work,  $\phi$  is defined in terms of the amount of work required to remove an electron from a valence orbital of a surface without altering the energy state of the atoms. This reduces the problem of calculating the work function to that of computing the energy per valence electron in a surface atom. By equating  $\phi$  with the neutral orbital electronegativity, the following expression for  $\phi$  is derived (29):

$$\phi = 0.98 \frac{v_s + 1}{r_m} + 1.57 \quad (\text{eV}) \quad (15)$$

where  $v_s$  is the number of bonding electrons per surface atom, and  $r_m$ , the effective size of these atoms in angstroms, is assumed to be equal to the atomic radius (44).

In order to use Equation (15) for calculating  $\phi$ , Steiner and Gyftopoulos derive the surface valence  $v_s$  in terms of the metallic valence  $v_m$  and the fractional bond numbers of atoms in the bulk. A brief outline of the method is presented in the following paragraphs.

The number of bonding electrons per atom in the bulk of a metal is defined as the metallic valence  $v_m$ . The average number of bonding electrons shared by two interacting atoms separated by a distance  $R$  is  $2n$ , where  $n$  is the fractional bond number (45). Ac-

according to Pauling (46), the fractional bond numbers  $n_a$  and  $n_b$  associated with the interatomic separations  $R_a$  and  $R_b$  is given by:

$$R_b - R_a = 0.26 \ln (n_a/n_b). \quad (16)$$

For bcc and hcp crystal structure, fractional bond numbers between atoms further distant than next nearest neighbors are negligible. For fcc fractional bond numbers between atoms further distant than nearest neighbors are negligible. The metallic valence and fractional bond numbers for the various crystal structures are given by:

$$\begin{aligned} v_m &= 8n_a + 6n_b && \text{for bcc} \\ v_m &= 6n_a + 6n_b && \text{for hcp} \\ v_m &= 12n_a && \text{for fcc} \end{aligned} \quad (17)$$

where  $n_a$  and  $n_b$  are the fractional bond numbers for nearest and next nearest neighbors, respectively. Tabulated values of metallic valence and interatomic distances can be used in Equations (16) and (17) to compute the fractional bond numbers  $n_a$  and  $n_b$ . If it is assumed that the fractional bond numbers of atoms on the surface are identical to those of atoms in the bulk, then the surface valence is given by:

$$\begin{aligned} v_s &= N_a n_a + N_b n_b && \text{for bcc and hcp} \\ v_s &= N_a n_a && \text{for fcc} \end{aligned} \quad (18)$$

where  $N_a$  and  $N_b$  are the number of nearest and next nearest neighbors of surface atoms respectively. The numbers  $N_a$  and  $N_b$  are fixed by the crystallographic orientation of the surface.

The semi-empirical approach outlined above allows for computations of  $\phi$  to be made based on known properties of metals. Following this procedure work function values for the metals and orientations of this work were computed and are listed in Table III. The calculated values agree with experiment to within 5%. This remarka-

bly good agreement reemphasizes the observation that the electronic structure of the surface is significant in predicting the clean work function of the surface. The most significant factors in determining the work function of a metal surface according to this theory are the number of ligands possessed by an atom on the surface, the interatomic distances between that atom and its ligands, and the metallic valence. The high work function planes are those for which the number of ligands and the metallic valence are large, and the interatomic distances are small.

### B. Electron Reflection

The simultaneous measurement of work function and electron reflection was undertaken here primarily as a further index of surface cleanliness. The ease of separating the elastic  $R_e$  and inelastic  $R_{in}$  reflection coefficients by this method motivated a more detailed study of these coefficients as a function of the primary electron energy  $E_p$ . Several interesting and surprising features have been observed in the variation of  $R$  with  $E_p$  in the low energy range.

Figure 15 shows that the variation of  $R_t$  with  $E_p$  for W(111) is in good agreement with careful measurements of  $R_e$  by Armstrong (47). Because of the ability of the FERP method to accurately measure  $R$  to within a few tenths eV of threshold, these results show a definite peak at 3 eV heretofore unobserved. A small peak observed at 6 eV is in agreement with Armstrong's results. Disagreement in absolute scale at larger values of  $E_p$  can be ascribed to the difference between Armstrong's measurement of  $R_e$  and, in this work, the measurement of  $R_t$  for this crystal face. As also shown in Armstrong's results surface contamination markedly alters  $R_e$ ; thus the close agreement between the two results mutually supports the claim of an atomically clean surface.



The W(100) results in Figures 16 and 17 show the experimental variation of  $I_c$  with  $E_p$  for  $V_s = 100$  and  $5.25$  V respectively, thereby illustrating the difference between the total and elastic reflection modes. In Figure 17 the value of the experimental reflection coefficients  $R_{in}$  and  $R_e$  are given along with Armstrong's results for  $R_e$ . Both results agree that a sharp peak  $R_e$  occurs between  $3.5$  and  $4.0$  eV as observed similarly in the W(111) results. In disagreement with Armstrong's results, the large peak in  $R_e$  at  $8.0$  eV is missing and instead a smaller peak at  $6.5$  eV appears. In addition, a major peak observed in these results, but absent in Armstrong's, occurs at  $16.5$  eV. (Earlier results by Kahn, Hobson and Armstrong (48) show a definite peak in this energy range.) Both investigations agree on a broad peak in  $R_e$  at  $10.5$  eV. Differences in the  $R_e$  versus  $E_p$  curves obtained in the two investigations must be ascribed to either a small degree of surface contamination, crystal inhomogeneity or experimental artifact.

The variation of  $R_e$  with  $E_p$  for W(110) shown in Figure 18 over a wider  $E_p$  range exhibits a large peak modulated with fine structure in the  $4 - 6$  eV range. Lesser peaks occur at  $14$  and  $27$  eV as  $R_e$  decreases from a peak value of  $0.34$  at  $5$  eV to less than  $0.03$  at  $75$  eV. The W(110)  $R_e$  curve agrees closely with an earlier result by Kahn, Hobson and Armstrong (48).

The inelastic reflection coefficients  $R_{in}$  given in Figures 17 and 18 for W(100) and W(110) exhibit very similar structure for both crystal faces. That is, each exhibits an onset threshold at  $3$  eV, fine structure in the  $3$  to  $10$  eV range, and additional peaks at  $12$  and  $17$  eV. The larger range of  $E_p$  for W(110) indicates an increase in  $R_{in}$  to a value of  $0.47$  at  $52$  eV where it then begins a slight drop. The  $R_e$  and  $R_{in}$  curves for W(100) and W(110) both cross in the  $12$  to  $15$  eV range and with increasing  $E_p$  the ratio  $R_{in}/R_e$  increases to

a value of  $\sim 90$  at  $E_p = 60$  eV for W(110).

One of the most unusual results of this study is the exceedingly large value of  $R_e = 0.75$  as  $E_p \rightarrow 0$  as shown in Figure 19 for Ir(111). The Ir(110) results in Figure 20 measured over a larger  $E_p$  range also show an increase in  $R_e$  at threshold but not nearly as large a value as for Ir(111). From a dynamical point of view, these results suggest the occurrence of a band gap relatively free of surface states approximately 5.79 eV above the Fermi level along the  $\langle 111 \rangle$  direction of Ir. Both crystals show one additional large peak in  $R_e$  at 11.5 and 15 eV for Ir(110) and Ir(111) respectively. While, the variation of  $R_e$  with  $E_p$  differs sharply for the two crystal faces, the variation of  $R_{in}$  with  $E_p$  is quite similar. On both crystal faces  $R_{in}$  increases monotonically with  $E_p$  showing a series of small peaks in the 8 to 30 eV range. No maximum in  $R_{in}$  is apparent in this range of  $E_p$  as was the case for W(110) and Ni(100). In contrast with the W results the threshold for  $R_{in}$  occurs at a higher voltage, i.e., in the 6 to 8 eV range. It is interesting to note that whereas  $R_t$  is large for Ir(111) at  $E_p = 0$ , the value for  $R_t$  for Ir(110) is smaller at  $E_p = 0$  and increases to a value of 0.7 at 70 eV where it appears to be still increasing with  $E_p$ .

The variation of  $R_e$  with  $E_p$  for Ni(100) is in general agreement with diffraction intensity studies. The peaks in  $R_e$  at threshold 15, 28 and 38 eV have been observed elsewhere (49), but with somewhat differing relative magnitudes. The peak near threshold can be ascribed to the first order primary Bragg peak of the 00 band. There is also observed an increase in the elastic peak heights as  $R_{in}$  increases in accordance with certain theoretical viewpoints of the electron scattering mechanism (49-51). A large peak normally observed in  $R_e$  at 55 eV is missing in the present results. Part of the discrepancy may be due to the presence of a few grain boundaries which de-

veloped near the edge of the Ni(100) crystal prior to obtaining the reflection curves. Although the central portion of the crystal (where the electron beam impinged) appeared monocrystalline (as determined by Laue X-ray), a slight reduction in  $\theta$  occurred, indicating the possibility of structural effects on the reflection results.

The inelastic reflection threshold for the Ni(100) occurs a few volts above zero and exceeds  $R_e$  for  $E_p > 16$  eV. A small peak occurs at 18 eV followed by a major maximum at 40 eV. It is clear from the Ni(100) results along with the above mentioned results that inelastic processes become important above 15 to 20 eV and must be considered carefully in theoretical attempts to explain LEED intensity variations with  $E_p$ .

The Cu(100) results shown in Figure 22 were obtained for  $R_t$  only over a limited range of  $E_p$ . Since  $R_{in}$  is likely to be small in this energy range  $R_t \approx R_e$ . Although not as large as the threshold peak for Ir(111), the threshold peak for Cu(100) is quite large and has been attributed (52) to the well known band gap (53) in the bulk  $E(k)$  diagram occurring at the vacuum level. Previous LEED studies of the specular reflectivity  $I_{00}$  from Cu(100) gave a value of  $R_e = 0.36$  around  $E_p = 1$  eV (52). The results reported here agree closely with the latter results but also show a larger peak at  $E_p \approx 0$  of  $R_e = 0.47$ . In addition, a very small peak is observed at  $E_p = 2.0$  eV. These extremely narrow peaks (less than 0.5 eV) point out the resolving power of this technique near threshold and agree with previous observation that peak widths in  $R_e$  below the onset of inelastic reflection are narrower.

## VII. SUMMARY

The use of the FERP method to accurately measure true work function of a variety of single crystal surfaces (see Table III) with a minimum of assumptions regarding the nature of the electron emission process has been demonstrated. A combination of the FERP and LEED/Auger should provide a powerful combination of techniques to accurately and conveniently measure bare surface true work functions of conducting surfaces. The occurrence of electron reflection from the collecting surface can generally be tolerated without introducing appreciable error (ca  $\pm$  0.02 eV) provided that the work function is obtained from the peak in the TED curve. An unusually large work function of 5.76 eV for Ir(111) was obtained in agreement with an earlier result (31). Other results agreed favorably with previously measured and accepted values of work function.

As shown by Armstrong (47) surface contamination or crystal imperfection can alter the elastic reflectivity versus primary energy curves. This work shows that the FERP technique can yield both elastic and inelastic reflection curves accurately to within a few tenths eV of zero primary energy and thereby can be used as an indicator of surface conditions. Values of  $R_e$  and  $R_{in}$  for several crystal faces agreed reasonably well with published curves. It is noted that  $R_{in} \gg R_e$  as  $E_p \gtrsim 15$  eV for most crystal faces examined. An unusually large value of  $R_e$  was obtained for Ir(111) and Cu(100) at threshold. Whereas the structure in the  $R_e$  curves was highly dependent on crystal orientation, the  $R_{in}$  curves were generally unaltered by crystal orientation including the threshold values of  $E_p$  which were usually 3 to 8 eV.

Finally, it may be anticipated that the FERP technique can be profitably used to examine the combined effect of chemisorption on  $\phi$ ,  $R_e$  and  $R_{in}$ .

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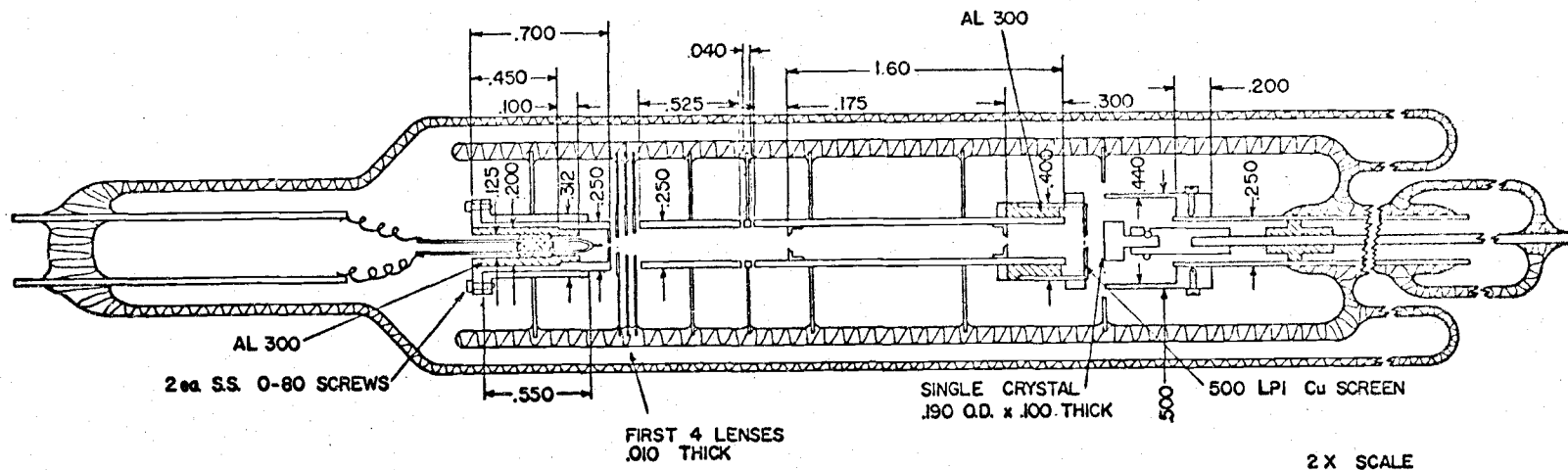


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## APPENDICES

LENS 1 - .005 I.D.	EMITTER TIP .030 LONG
LENS 2 - .070 I.D.	TIP - LENS 1 .040 INSIDE, .050 OUTSIDE
LENS 3 - .100 I.D.	1 - 2 .030 SPACE
LENS 4 - .100 I.D.	2 - 3 .035 SPACE
LENS 5 - .187 I.D.	3 - 4 .035 SPACE
LENS 6 - .187 I.D.	4 - 5 .020 SPACE
LENS 7 - .187 I.D.	5 - 6 .020 SPACE
w/ .080 & .040 INSERTS	6 - 7 .020 SPACE

MATERIAL - MOLYBDENUM (except those indicated)



Appendix I: Tube Dimensions

## Appendix II: Computer Program

```

C      PHI .D FROM I(C)-V(C) DATA AND EQ (9)
C      LEAST SQUARES PROGRAM (W.A.M., R.W.S., 1-29-69)
C
      DIMENSION C(36), V(36), X(36), DIF(36)
      PRINT 1
      PRINT 2
100   READ 3, N, TOL, BT, STEP
      PRINT 3, N, TOL, BT, STEP
      SAVE=0.
      CZRO=0.
      CZSAV=0.
      K=1
      L=0
      IF(SENSE SWITCH 3)110,120
110   PRINT 4
120   DO 150 I=1,N,1
      READ 5, V(I), C(I)
      IF (CZRO-C(I))190,190,170
130   CZRO=C(I)+.002
      IF(SENSE SWITCH 3)140,150
140   PRINT 6, V(I), C(I)
150   CONTINUE
160   J=0
      DO 190 I=1,N,1
      IF(CZRO-C(I))190,190,170
170   SUBA=V(I)
      SUBB=LOG((CZRO-C(I))/CZRO)
      CON=ABS(SUBB)
      IF(CON-BT)190,190,180
180   J=J+1
      X(J)=SUBA
      Y(J)=SUBB
190   CONTINUE
200   SUMX=0.
      SUMY=0.
      SUMXX=0.
      SUMXY=0.
      DO 210 I=1,J,1
      XSUBI=X(I)
      YSUBI=Y(I)
      SUMX=SUMX+XSUBI
      SUMY=SUMY+YSUBI
      SUMXX=SUMXX+XSUBI*XSUBI
210   SUMXY=SUMXY+XSUBI*YSUBI
      AX=J
      D=SUMX*SUMX-AX*SUMXX
      B=(SUMX*SUMXY-SUMXX*SUMY)/D
      SLOPE=(SUMX*SUMY-AX*SUMXY)/D
      DI=0.

```

```

DO 220 I=1,J,1
YSUBI=Y(I)
DIFFI=B+SLOPE*X(I)-YSUBI
DI=DI+DIFFI*DIFFI
DIFSI=DIFFI/YSUBI
220 DIF(I)=DIFSI
BDY=DIF(1)
DO 240 M=1,J,1
IF (ABS(BDY)-ABS(DIF(M)))230,240,240
230 BDY=DIF(M)
LL=M
240 CONTINUE
IF (TOL-ABS(BDY))250,260,260
250 J=J-1
GO TO 200
260 W=J
IF (L-1)270,360,270
270 IF (SAVE=-W)280,280,350
280 CZSAV=CZRO
SAVE=J
IF (SENSE SWITCH 2)290,310
290 PRINT 7, K, J
PRINT 8, CZRO, BDY, LL
IF (SENSE SWITCH 3)300,310
300 ACCEPT 9, CZRO
GO TO 340
310 IF (SENSE SWITCH 1)330,320
320 CZRO=CZRO-STEP*CZRO
GO TO 340
330 CZRO=CZRO+STEP*CZRO
340 K=K+1
GO TO 160
350 L=1
CZRO=(CZRO+CZSAV)/2.
GO TO 160
360 DR=DI*SUMXX/((AX-2.)*D)
PB=.6745*SGRT(ABS(DR))
DM=DI*AX/((AX-2.)*D)
PE=.6745*SGRT(ABS(DM))
PHI=B/SLOPE
PEPHI=SGRT((PB/B)*(PB/B)+(PE/SLOPE)*(PE/SLOPE))
D=1./SLOPE
PED=PE/SLOPE
IF (SENSE SWITCH 2)370,400
370 PRINT 10
DO 390 I=1,J,1
IF (SENSE SWITCH 2)380,390
380 PRINT 11, I, X(I), Y(I), DIF(I)
390 CONTINUE
400 PRINT 7, K, J
PRINT 8, CZRO, BDY, LL
PRINT 12, PE, PB

```

```

PRINT 13, SLOPE, B
PRINT 14, PHI, PEPHI
PRINT 15, D, PED
IF (SENSE SWITCH 4) 410, 420
410 ACCEPT 9, CZRO
GO TO 160
420 GO TO 100

```

C

```

1 FORMAT (36HPHI, D FROM I(C)-V(C) DATA AND EQ (9))
2 FORMAT (47HLEAST SQUARES PROGRAM (W.A.M., R.W.S.,
* 1-29-69))
3 FORMAT (I4, E7.1, 2F7.4, 49H
*
4 FORMAT (/12HVOLTAGE CURRENT//)
5 FORMAT (2F5.2)
6 FORMAT (F5.2, 6X, F5.2)
7 FORMAT (/8HRUN NO. I4, 4X, 20HNO. OF DATA POINTS =, I4)
8 FORMAT (8HI ZERO =, F7.3, 4X, 12HDELTA Y MAX =, 2X, E11.4,
* 2X, 10HFOR POINT., I4)
9 FORMAT (F6.3)
10 FORMAT (/8X, 25HX DELTA Y)
11 FORMAT (I4, 2X, F5.2, 2X, F7.4, 2X, E11.4)
12 FORMAT (16HPROB ERR SLOPE =, E11.4, 4X, 12HPROB ERR B =,
* E11.4)
13 FORMAT (7HSLOPE =, E11.4, 4X, 3HB =, E11.4)
14 FORMAT (5HPHI =, F3.4, 4X, 14HPROB ERR PHI =, E11.4)
15 FORMAT (3HD =, E11.4, 4X, 12HPROB ERR D =, E11.4//)

```

C  
C  
C  
C  
C  
C  
C  
C  
C  
C  
C

```

SENSE SWITCH 1    ON - INCREMENT CZRO UP
                  OFF - INCREMENT CZRO DOWN

SENSE SWITCH 2    ON - TYPE OUT J, K, CZRO, BDY
                  OFF - DO NOT TYPE OUT

SENSE SWITCH 3    ON - ACCEPT NEW CZRO
                  OFF - INCREMENT CZRO

SENSE SWITCH 4    ON - ACCEPT NEW CZRO
                  OFF - GO TO NEW HEADER CARD
                  AND NEW DATA

```

END