

Recoil and Cumulant Theory in Core-Level Photoemission

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Graphite / Graphene case study

Energetic and mechanical view of recoil

Photoemission and recoil: energetic balance

We consider core-level photoemission from an atom of mass M , with a bound electron of binding energy E_B (in the initial state).

Energy conservation (non-relativistic nucleus): $h\nu + E_{\text{init}} = E_{\text{final}} + E_{\text{kin}} + E_{\text{R}}$

- $h\nu$ is the photon energy,
- E_{kin} is the kinetic energy of the photoelectron,
- E_{R} is the recoil energy of the ion (or lattice),
- Binding energy $\rightarrow E_B = E_{\text{final}} - E_{\text{init}}$.

$$h\nu = E_B + E_{\text{kin}} + E_{\text{R}}.$$

Key point: E_{R} appears as a *binding energy shift* that grows with $h\nu$ through E_{kin} .

Two-body kinematics

To understand E_R mechanically, consider the simplest two-body problem:

- initial state: atom at rest, electron bound;
- final state: electron with momentum \mathbf{p}_e , ion with momentum \mathbf{P}_R .

Momentum conservation (XPS regime, $|\mathbf{p}_\gamma| \ll |\mathbf{p}_e|$):

$$\mathbf{p}_\gamma \simeq 0 \quad \Rightarrow \quad \mathbf{p}_e + \mathbf{P}_R \simeq 0 \quad \Rightarrow \quad \mathbf{P}_R = -\mathbf{p}_e. \quad (1)$$

Kinetic energies: $E_{\text{kin}} = \frac{p_e^2}{2m}$, $E_R = \frac{P_R^2}{2M} = \frac{p_e^2}{2M}$

$$p_e^2 = 2m E_{\text{kin}} \quad \Rightarrow \quad E_R = \frac{1}{2M} (2m E_{\text{kin}}) = \frac{m}{M} E_{\text{kin}} \in (0, 0.35) \text{eV} \quad (2)$$

From atomic recoil to lattice recoil:

- the recoiling site is *bound* in a lattice;
- total momentum is shared among collective vibrational modes (phonons).

Takata's phonon recoil model and anisotropy: graphite case

Core-level photoemission with recoil: physical picture

- We consider x-ray photoemission from a core electron of a carbon atom in a crystal.
- The atom is located at lattice site

$$\mathbf{R} = \mathbf{R}_0 + \mathbf{u},$$

with \mathbf{R}_0 the equilibrium position and \mathbf{u} the vibrational displacement (thermal + zero-point).

- Emission of an electron with momentum $\hbar\mathbf{k}$ implies a recoil of the lattice: the crystal absorbs the momentum through its phonon modes (This is fully analogous to the Mössbauer effect)
- Core wave function in the *adiabatic approximation*:

$$\psi_c(\mathbf{r}) = \varphi_c(\mathbf{r} - \mathbf{R}).$$

Interaction with the x-ray field

- Interaction hamiltonian:

$$H_I = (a + a^\dagger) \boldsymbol{\epsilon} \cdot \mathbf{p},$$

where:

- a, a^\dagger : photon annihilation/creation operators,
 - $\boldsymbol{\epsilon}$: x-ray polarization vector,
 - \mathbf{p} : electron momentum operator.
- Photon momentum is neglected:

$$|\mathbf{k}_\gamma| \ll |\mathbf{k}_e|$$

in the x-ray energy range of interest, so only the electron momentum matters for recoil.

- The nuclear mass is large, so recoil is transferred to the lattice degrees of freedom (phonons).

Initial and final states of the transition

- Initial state:

$$|i\rangle = |h\nu\rangle \otimes |c\rangle \otimes |i_{\text{ph}}\rangle,$$

with:

- $|h\nu\rangle$: one-photon state,
 - $|c\rangle$: core-electron state (energy ϵ_c),
 - $|i_{\text{ph}}\rangle$: initial phonon state.
- Final state:

$$|f\rangle = |0\rangle \otimes |\mathbf{k}\rangle \otimes |f_{\text{ph}}\rangle,$$

with:

- $|0\rangle$: photon vacuum,
- $|\mathbf{k}\rangle$: plane wave of the emitted electron,

$$\langle \mathbf{r} | \mathbf{k} \rangle = (2\pi)^{-3/2} e^{i\mathbf{k}\cdot\mathbf{r}},$$

- $|f_{\text{ph}}\rangle$: final phonon state.

Matrix element and recoil operator

- Electronic part of the matrix element:

$$\langle \mathbf{k} | \mathbf{p} | c \rangle = \int d^3 r \psi_{\mathbf{k}}^*(\mathbf{r}) (-i\hbar \nabla) \psi_c(\mathbf{r}).$$

$$\psi_{\mathbf{k}}^*(\mathbf{r}) = (2\pi)^{-3/2} e^{-i\mathbf{k}\cdot\mathbf{r}}, \quad \psi_c(\mathbf{r}) = \varphi_c(\mathbf{r} - \mathbf{R}).$$

- Def.:

$$\mathbf{s} = \mathbf{r} - \mathbf{R} \quad \Rightarrow \quad \langle \mathbf{k} | \mathbf{p} | c \rangle = e^{-i\mathbf{k}\cdot\mathbf{R}} \boldsymbol{\mu},$$

with

$$\boldsymbol{\mu} = (2\pi)^{-3/2} \int d^3 s e^{-i\mathbf{k}\cdot\mathbf{s}} (-i\hbar \nabla_s) \varphi_c(\mathbf{s}).$$

- Full matrix element:

$$\langle f | H_I | i \rangle = \boldsymbol{\epsilon} \cdot \boldsymbol{\mu} \langle f_{\text{ph}} | e^{-i\mathbf{k}\cdot\mathbf{R}} | i_{\text{ph}} \rangle.$$

- The spectrum can be written as

$$I(E) = \frac{|\boldsymbol{\epsilon} \cdot \boldsymbol{\mu}|^2}{2\pi} \int_{-\infty}^{+\infty} dt e^{-iEt/\hbar} e^{-\Gamma|t|/\hbar} F(t),$$

where Γ is the core-hole lifetime broadening.

- The generating function (phonon factor) is

$$F(t) = \langle e^{i\mathbf{k} \cdot \mathbf{u}(t)} e^{-i\mathbf{k} \cdot \mathbf{u}(0)} \rangle,$$

with the average taken over the canonical ensemble of the harmonic crystal.

- Physically, $F(t)$ measures how the lattice responds in time to the momentum kick $\hbar\mathbf{k}$.

Displacement of the emitting atom

We consider the displacement field of the emitting atom in a harmonic crystal, expanded in phonon normal modes:

$$\mathbf{u}(t) = \sum_{\mathbf{q}, \lambda} \sqrt{\frac{\hbar}{2M_{\text{at}}\omega_{\mathbf{q}\lambda}}} \mathbf{e}_{\mathbf{q}\lambda} \left(\hat{b}_{\mathbf{q}\lambda} e^{-i\omega_{\mathbf{q}\lambda}t} + \hat{b}_{\mathbf{q}\lambda}^\dagger e^{+i\omega_{\mathbf{q}\lambda}t} \right), \quad (3)$$

where:

- \mathbf{q} : wavevector in the first Brillouin zone,
- λ : phonon branch (polarization),
- M_{at} : mass of the emitting atom,
- $\mathbf{e}_{\mathbf{q}\lambda}$: normalized polarization vector,
- $\hat{b}_{\mathbf{q}\lambda}, \hat{b}_{\mathbf{q}\lambda}^\dagger$: phonon annihilation/creation operators.

Projected displacement and recoil factor

The recoil is governed by the displacement projected along the photoelectron momentum direction $\mathbf{k} \rightarrow \xi(t) \equiv \mathbf{k} \cdot \mathbf{u}(t)$. The **recoil factor** is defined as

$$F(t) = \langle e^{i\xi(t)} e^{-i\xi(0)} \rangle_{\text{ph}}. \quad (4)$$

Introduce $A \equiv i\xi(t) - i\xi(0)$, so that $F(t) = \langle e^A \rangle$.

It's easy to show (*cumulant approach*) that $\ln F(t) = G_{\text{ph}}(t)$ with $G_{\text{ph}}(t)$ of the familiar Takata/Fujikawa form, expressed in terms of phonon frequencies and Bose factors:

$$G_{\text{ph}}(t) = \ln F(t) = \sum_{\mathbf{q}, \lambda} \lambda_{\mathbf{q}\lambda}^2 [(2n_{\mathbf{q}\lambda} + 1)(\cos \omega_{\mathbf{q}\lambda} t - 1) - i \sin \omega_{\mathbf{q}\lambda} t]. \quad (5)$$

$$\rightarrow G_{\text{ph}}(t) = \int_0^\infty d\omega \frac{\beta_{\text{ph}}(\omega)}{\omega^2} [(2n_B(\omega) + 1)(\cos \omega t - 1) - i \sin \omega t], \quad (6)$$

where $n_B(\omega)$ is the Bose factor at frequency ω . In Takata's case, β_{ph} is chosen to encode both the recoil scale and the anisotropic graphite DOS.

Anisotropy in graphite: directional DOS

For graphite/graphene, phonons are strongly anisotropic. Takata (graphite) separates *in-plane* stretching (*s*) and *out-of-plane* bending (*b*) acoustic branches, and defines an effective directional DOS:

$$D_{\hat{\mathbf{k}}}(\omega; \vartheta) = \cos^2 \vartheta D_s(\omega) + \sin^2 \vartheta D_b(\omega), \quad (7)$$

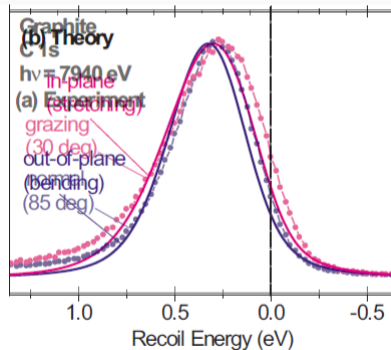
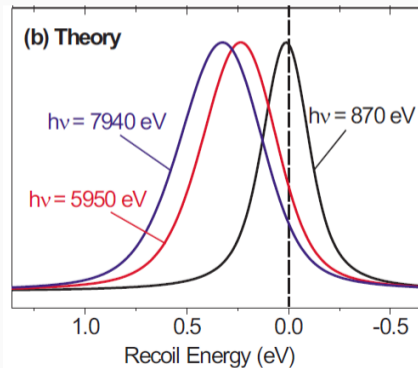
where:

- ϑ is the angle between $\hat{\mathbf{k}}$ and the basal plane,
- $D_s(\omega)$ is the in-plane (stretching) DOS,
- $D_b(\omega)$ is the out-of-plane (bending) DOS.

Photoelectron spectrum

$$I_{\text{ph}}(E; h\nu, \vartheta) \propto \text{Re} \int_0^{\infty} dt e^{iEt} e^{G_{\text{ph}}(t; h\nu, \vartheta)} e^{-\Gamma t}.$$

The position of the main phonon peak shifts approximately by $E_{\text{ph}}(h\nu) \simeq \delta E(h\nu)$.



Beyond phonons: explicit electronic contributions

We want to add $\beta_{\text{el}}(\omega)$:

$$\beta(\omega) = \beta_{\text{ph}}(\omega; h\nu, \vartheta) + \beta_{\text{el}}(\omega) + \dots . \quad (8)$$

The total cumulant is then

$$C(t; h\nu, \vartheta) = C_{\text{ph}}(t; h\nu, \vartheta) + C_{\text{el}}(t) + \dots , \quad (9)$$

with each contribution computed from its own spectral density.

Takata's model corresponds to keeping only C_{ph} : In general, we can specify $\beta_{\text{el}}(\omega)$ to generate Doniach–Šunjić-like tails and discuss the unified phonon+electronic recoil lineshape.

$$I_{\text{ph}}(E; h\nu, \vartheta) \propto \text{Re} \int_0^\infty dt e^{iEt} e^{G_{\text{ph}}(t; h\nu, \vartheta)} e^{C_{\text{el}}(t)} e^{-\Gamma t} .$$

From cumulant factorization to convolution

The photoemission spectrum can be written as

$$I(E; h\nu, \vartheta) \propto \text{Re} \int_0^\infty dt e^{iEt} e^{C_{\text{ph}}(t; h\nu, \vartheta)} e^{C_{\text{el}}(t)} e^{-\Gamma t}. \quad (10)$$

Define the well-known functions:

$$F_{\text{ph}}(t; h\nu, \vartheta) = e^{C_{\text{ph}}(t; h\nu, \vartheta)}, \quad F_{\text{el}}(t) = e^{C_{\text{el}}(t)}.$$

Let I_{ph} and I_{el} be their Fourier transforms. Then, by the convolution theorem,

$$I(E; h\nu, \vartheta) = [I_{\text{ph}}(\cdot; h\nu, \vartheta) * I_{\text{el}}(\cdot) * L_\Gamma(\cdot)](E), \quad (11)$$

i.e. the **cumulant factorization is exactly equivalent** to a **convolution** of a phonon spectrum and an electronic spectrum.

Clean graphene: convolutive recoil model

We now specialise to **clean graphene**:

- single C 1s chemical environment (no C–O, no H, no defects),
- recoil described by an **anisotropic phonon cumulant** of Takata-type,
- electronic many-body effects encoded in an **effective mixing kernel** K_{mix} fitted once at a reference photon energy and then reused,
- instrumental resolution described by a Gaussian G_{inst} .

Convolution chain for clean graphene

Convolution chain:

$$I_{\text{model}}(E; \theta) = (I_{\text{ph}}[\theta] \otimes K_{\text{mix}} \otimes G_{\text{inst}})(E), \quad (12)$$

$$K_{\text{mix}}(E) = \sum_{j=1}^{K_{\text{tot}}} w_j K_j(E; \text{parameters}_j), \quad \sum_{j=1}^{K_{\text{tot}}} w_j = 1, \quad w_j \geq 0. \quad (13)$$

Electronic components:

$$K_j \in \begin{cases} \text{DS}(E; s_j, \Gamma_j, \alpha_j) & \text{(edge-like electronic channels),} \\ \mathcal{N}(E; s_j, \text{FWHM}_j) & \text{(plasmon-like Gaussian satellites),} \end{cases} \quad G_{\text{inst}}(E) = \mathcal{N}(E; \text{FWHM}_{\text{inst}}).$$

- Better choice: five K_j components (from exp.)
- All electronic parameters at the *reference* photon energy (e.g. $h\nu_{\text{ref}} = 0.8$ keV), so $\{w_j, s_j, \Gamma_j, \alpha_j, \text{FWHM}_j\}_{j=1}^{K_{\text{tot}}}$ are then *reused* to predict higher photon energies.

Graphene phonon DOS used in the model

For clean graphene we adopt an **anisotropic acoustic DOS** of Takata/graphite type, specialised to 2D graphene:

Acoustic stretching (in-plane, LA+TA):

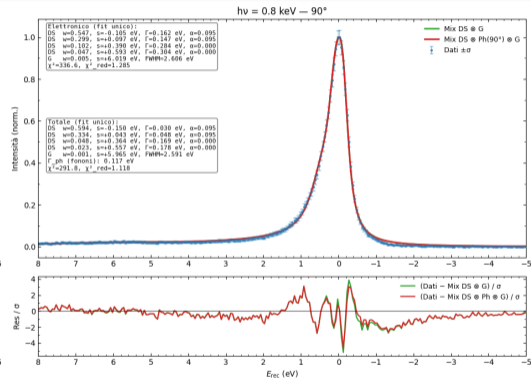
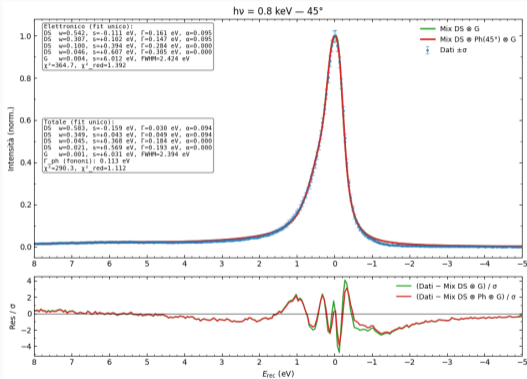
$$D_s(\omega) = \frac{2}{(\omega_D^{(s)})^2} \omega 1_{(0, \omega_D^{(s)})}(\omega),$$

a 2D Debye-like DOS (linear in ω) up to a cutoff $\omega_D^{(s)}$.

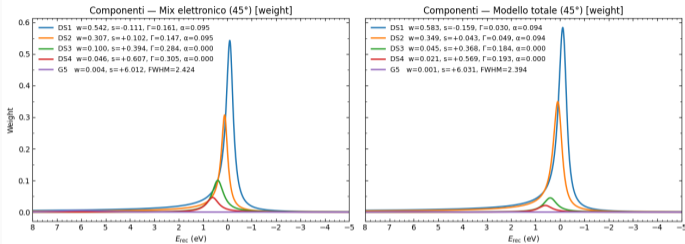
Acoustic bending (out-of-plane, ZA):

$$D_b(\omega) = \frac{1}{\omega_D^{(b)}} 1_{(0, \omega_D^{(b)})}(\omega),$$

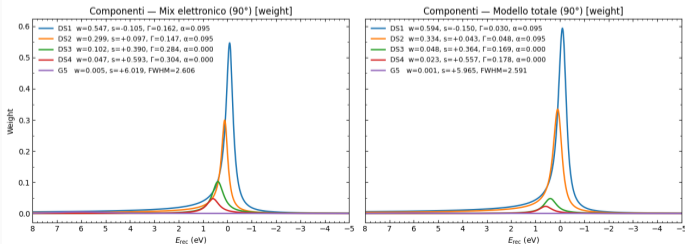
Clean graphene: fits, components and recoil



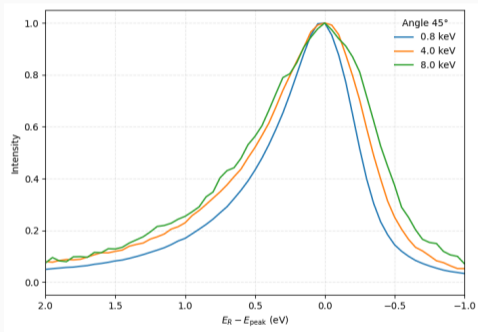
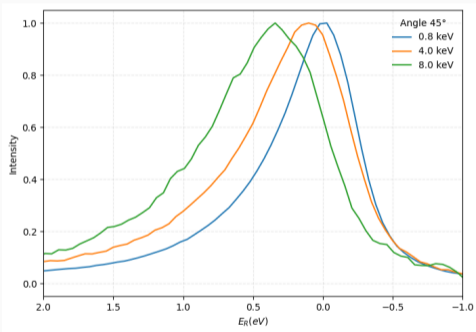
$h\nu = 0.8 \text{ keV} - 45^\circ - \text{Componenti}$



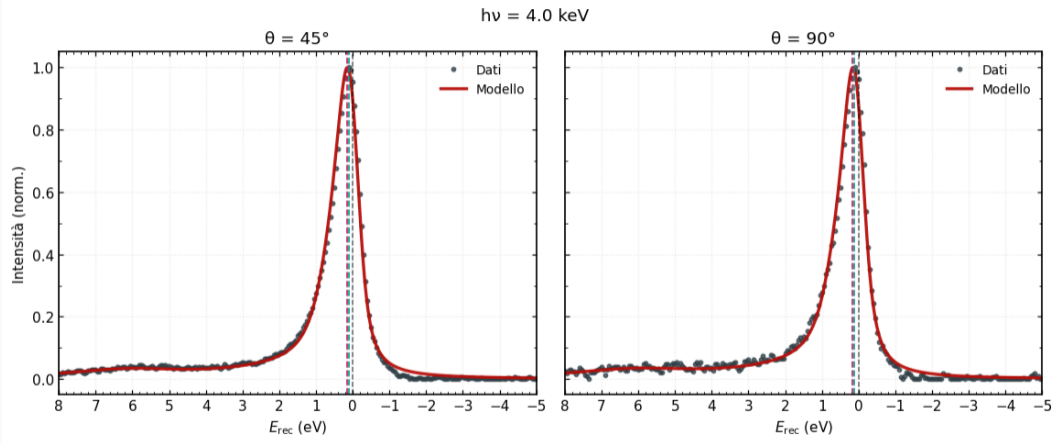
$h\nu = 0.8 \text{ keV} - 90^\circ - \text{Componenti}$



Data: recoil shift and broadening

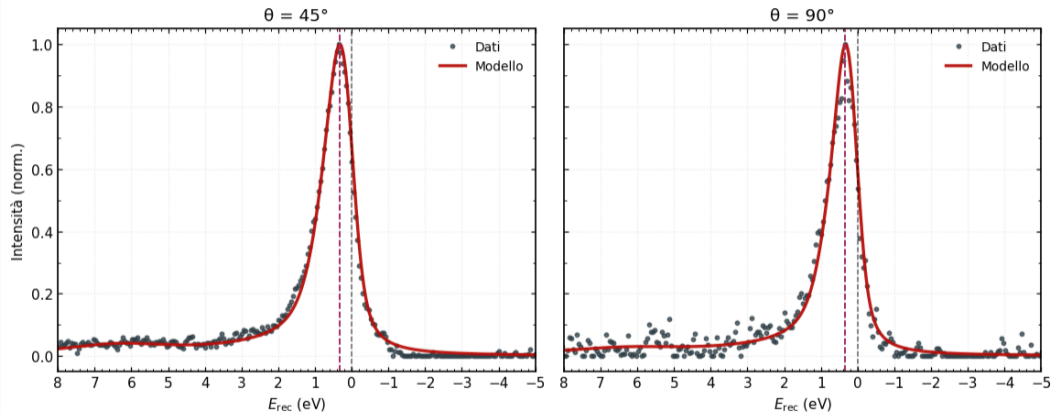


$h\nu = 4.0 \text{ keV}$

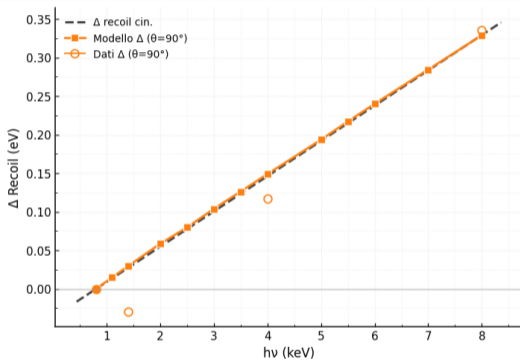
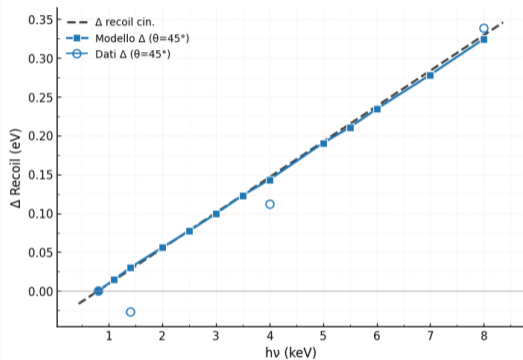


$h\nu = 8.0 \text{ keV}$

$h\nu = 8.0 \text{ keV}$



ΔE_{rec} vs $h\nu$



Recoil physics

- Recoil in core-level photoemission is the energy/momentum transfer from the photoelectron to the lattice: $E_R \simeq \frac{m_e}{M_C} E_{\text{kin}}(h\nu)$.
- In a crystal the recoil is almost entirely stored in phonons (internal DOF).

Takata & cumulant framework

- Takata's model is a phonon-only independent-boson cumulant with anisotropic DOS: $D_{\hat{k}}(\omega, \vartheta) = \cos^2 \vartheta D_s(\omega) + \sin^2 \vartheta D_b(\omega)$.
- The phonon spectral density $\beta_{\text{ph}}(\omega; h\nu, \vartheta)$ is fixed so that $\int d\omega \beta_{\text{ph}}(\omega)/\omega = \delta E(h\nu)$ (kinematic recoil).
- Adding an electronic spectral density $\beta_{\text{el}}(\omega)$ yields a total cumulant $C = C_{\text{ph}} + C_{\text{el}}$ with DS-like tails.

Clean graphene model

- Working model: $I_{\text{model}} = I_{\text{ph}} \otimes K_{\text{mix}} \otimes G_{\text{inst}}$, with $K_{\text{mix}} = \sum_j w_j K_j$ (DS + plasmon).
- Electronic parameters $\{w_j, s_j, \Gamma_j, \alpha_j\}$ are fitted once at $h\nu = 0.8$ keV and reused at higher $h\nu$; only I_{ph} and G_{inst} change.
- The model reproduces both the lineshapes and the $\Delta E_{\text{rec}}(h\nu, \theta)$ trend, closely following the kinematic recoil line.

Next: hydrogenated graphene

Choosing the spectral density $\beta(\omega)$

β_{el} : exponential model

A simple and physically motivated choice for the electronic spectral density is

$$\beta_{\text{el}}(\omega) = \alpha_{\text{el}} \omega e^{-\omega/\omega_c}, \quad \omega > 0, \quad (14)$$

Low- and high-frequency limits:

$$\beta_{\text{el}}(\omega) \propto \omega \quad (\omega \ll \omega_c), \quad \beta_{\text{el}}(\omega) \rightarrow 0 \quad (\omega \gg \omega_c).$$

The electronic contribution to the average energy shift is

$$\Delta E_{\text{el}} = \int_0^{\infty} d\omega \frac{\beta_{\text{el}}(\omega)}{\omega}. \quad (15)$$

For the exponential model, $\beta_{\text{el}}(\omega) = \alpha_{\text{el}} \omega e^{-\omega/\omega_c}$, one finds

$$\Delta E_{\text{el}} = \alpha_{\text{el}} \omega_c.$$

Electronic cumulant $C_{\text{el}}(t)$: closed form

We start from the exponential model

$$C_{\text{el}}(t) = \alpha_{\text{el}} \int_0^{\infty} d\omega e^{-\omega/\omega_c} \frac{(\cos \omega t - 1) - i \sin \omega t}{\omega},$$

We can obtain directly the closed form

$$C_{\text{el}}(t) = -\frac{\alpha_{\text{el}}}{2} \ln(1 + \omega_c^2 t^2) - i \alpha_{\text{el}} \arctan(\omega_c t),$$

up to a t -independent constant (irrelevant for the normalized spectrum).

Summary:

- $\text{Re } C_{\text{el}}(t) = -\frac{\alpha_{\text{el}}}{2} \ln(1 + \omega_c^2 t^2)$ controls the decay of the amplitude;
- $\text{Im } C_{\text{el}}(t) = -\alpha_{\text{el}} \arctan(\omega_c t)$ encodes an additional phase/energy shift.

Short-time and long-time regimes of $C_{\text{el}}(t)$

Short times $t \ll \omega_c^{-1}$: $\ln(1 + \omega_c^2 t^2) \simeq \omega_c^2 t^2$, $\arctan(\omega_c t) \simeq \omega_c t$,

$$C_{\text{el}}(t) \approx -\frac{\alpha_{\text{el}}}{2} \omega_c^2 t^2 - i \alpha_{\text{el}} \omega_c t.$$

- $\text{Re } C_{\text{el}}(t)$ is quadratic in t (Gaussian-like initial decay),
- $\text{Im } C_{\text{el}}(t)$ is linear in t (energy shift contribution).

Long times $t \gg \omega_c^{-1}$: $\ln(1 + \omega_c^2 t^2) \simeq 2 \ln(\omega_c t)$, $\arctan(\omega_c t) \rightarrow \frac{\pi}{2} \text{sgn}(t)$,

$$C_{\text{el}}(t) \approx -\alpha_{\text{el}} \ln(\omega_c t) - i \alpha_{\text{el}} \frac{\pi}{2}.$$

- $\text{Re } C_{\text{el}}(t) \sim -\alpha_{\text{el}} \ln t$: power-law tail in energy (DS-like behaviour),
- $\text{Im } C_{\text{el}}(t)$ tends to a constant phase $\sim -\alpha_{\text{el}} \pi/2$.

Original model vs new model (graphite)

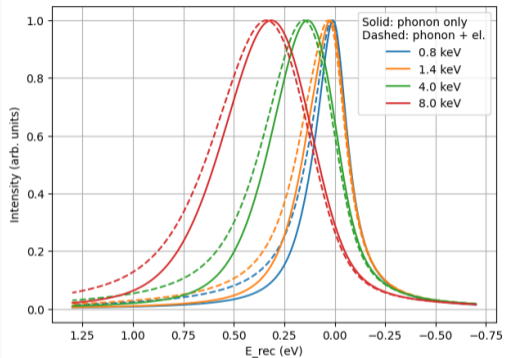


Figure 1: Stretching (30°)

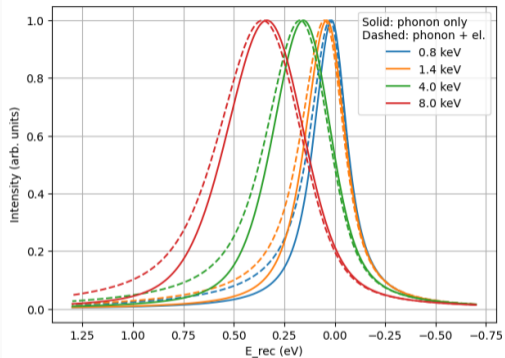


Figure 2: Bending (85°)