

UNIVERSITY OF SOUTHAMPTON

# Disc Winds Matter: Modelling Accretion and Outflow on All Scales

by

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degree of Doctor of Philosophy

in the

Faculty Name

Department of Physics & Astronomy

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# Declaration of Authorship

I, James Matthews, declare that this thesis titled, ‘Disc Winds Matter: Modelling Accretion and Outflow on All Scales’ and the work presented in it are my own. I confirm that:

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- Where I have consulted the published work of others, this is always clearly attributed.
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Date:

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*“Here, on the edge of what we know, in contact with the ocean of the unknown, shines the mystery and the beauty of the world.*

*And it’s breathtaking.”*

Seven Brief Lessons on Physics, Carlo Rovelli

*“Good enough for government work.”*

Christian Knigge

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# *Abstract*

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Doctor of Philosophy

by James Matthews

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# *Acknowledgements*

The acknowledgements and the people to thank go here, don't forget to include your project advisor...

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# Chapter 1

## Introduction

“And now you’re asking, I don’t know where to begin”

*Mike Vennart, Silent/Transparent*

The release of gravitational potential energy as mass falls towards a compact object is the most efficient energetic process in the universe, capable of liberating more rest mass energy than nuclear fusion. This *accretion* process is thought to power the huge radiative engines at the centres of every galaxy – accreting supermassive black holes known as active galactic nuclei (AGN). As the matter falls into the potential well of the black hole it often forms an accretion disc, which, in many cases, is an efficient radiator of the gravitational energy released. In some cases, the accretion disc can outshine the entire stellar population of the galaxy, appearing as a quasi-stellar object (QSOS) or *quasar*. In addition to AGN, accretion discs are present in X-ray binaries (XRBs), young-stellar objects (YSOs) and cataclysmic variables (CVs). Accretion is a universal process; broadly speaking, the physics is similar of whether matter is falling on to a  $\sim 1 M_{\odot}$  Neutron Star or White Dwarf system, or a  $\sim 10^{10} M_{\odot}$  black hole.

Outflows are ubiquitous in accreting systems. We see collimated radio jets in AGN (Hazard et al. 1963; Potash and Wardle 1980; Perley et al. 1984; Marscher 2006) and XRBs (Belloni 2010), and there is even evidence of extended radio emission in CVs (Benz et al. 1983; ?). These radio jets tend to appear in specific accretion states (Fender 2001; Körding et al. 2008), implying an intrinsic connection to the accretion process. Even more intriguing, in XRBs less collimated, mass-loaded outflows or *winds* are observed in the opposite accretion state, possibly emanating from the accretion disc. Evidence for disc winds is widespread across the mass range, but perhaps the most spectacular indication is the blue-shifted, broad absorption lines (BALs) in the rest-frame ultraviolet (UV) seen in high-state CVs (Heap et al. 1978; Greenstein and Oke 1982; Cordova and

Mason 1982) and the so-called broad absorption line quasars (BALQSOs) that make up 20 – 40% of quasars (Weymann et al. 1991; Knigge et al. 2008; Allen et al. 2011). These BALs are also seen in O-stars (REFs) and sometimes even in the optical spectra of CVs (Patterson et al. 1996; Ringwald and Naylor 1998; Kafka and Honeycutt 2004). Broad, blue-shifted absorption is also observed in the Fe K $\alpha$  line in AGN (Reeves et al. 2003; Pounds and Reeves 2009; Tombesi et al. 2010) – these are known as ultra-fast outflows or UFOs<sup>1</sup>.

The astrophysical significance of disc winds extends, quite literally, far beyond the accretion environment. They offer a potential mechanism by which the central accretion engine can interact with the host galaxy and interstellar medium via a ‘feedback’ mechanism (King 2003; Fabian 2012). Feedback is required in models of galaxy evolution (Springel et al. 2005) and may explain the famous ‘ $M - \sigma$ ’ relation (Silk and Rees 1998; Häring and Rix 2004). Winds also offer a natural way to *unify* much of the diverse phenomenology of AGN, CVs and XRBs. The principle of unification can be applied along more than one ‘axis’ of parameter space. For example, there exist elegant models that attempt to explain *all* of the behaviour of quasars with only a central black hole, a jet, an accretion disc, and an associated outflow, by varying the viewing angle (Elvis 2000). Similarly elegantly, it has been shown that much of the behaviour of XRBs is directly applicable to AGN (McHardy et al. 2006), and models of outflows in CVs have been successfully ‘scaled-up’ and applied to quasars and AGN (e.g. Higginbottom et al. 2013).

Despite their clear importance and ubiquity, there are still many unanswered questions relating to the true impact of winds and their underlying physical origins. Here, I aim to address some of these questions, and take steps towards building a more holistic picture of the impact of winds on the spectral appearance and accretion physics of disc systems. This thesis is structured as follows. In the remainder of this chapter, I will give the background accretion theory and detail the successes and failures of accretion disc models when compared to observations, as well as describing the different classes of accreting objects in more detail. In chapter 2, I dedicate some time to specifically discussing the theory of, and observational evidence for, accretion disc winds. In chapter 3, I outline the Monte Carlo radiative transfer (MCRT) and photoionization methods I have used in order to investigate the impact of disc winds on the spectra of accreting systems. The science chapters contain three separate submitted papers, in which we investigated the impact of disc winds on the spectra of CVs (Chapter 5), and tested disc wind quasar unification models (Chapters 6 and 7). In chapter 8, I summarise my findings and their astrophysical significance, and discuss potential avenues for future work.

---

<sup>1</sup>It should be noted that, while X-ray spectral fitting can be somewhat of a dark art, the explanations for these UFOs are somewhat more believable than their sci-fi namesakes.

## 1.1 The Physics of Accretion

The basic phenomenon of accretion- matter falling into a gravitational potential well- is a ubiquitous one in astrophysics.

### 1.1.1 Roche Lobe-Overflow

In binary systems, there are only two ways by which matter can transfer from the secondary to the compact object. One is by Roche Lobe-overflow (RLOF), whereby stellar evolution causes the donor star to fill it's Roche Lobe, the surface of equipotential around the star. The alternative is that a radiatively driven wind may expel stellar material from the donor, allowing some of it to flow onto the compact object. Although stellar wind accretion is common in some classes (REFs), here I will focus on RLOF as it is more common in the systems that commonly exhibit high-state accretion discs and associated outflows.

The Roche potential,  $\Phi_R$ , can be expressed as ?

### 1.1.2 Accretion discs

The basic phenomenon of accretion- matter falling into a gravitational potential well- is a ubiquitous one in astrophysics. The details of how and where the energy is released and how angular momentum is transported is subject to a number of different interpretations, mainly depending on the *geometry* of the accretion flow.

The so-called  $\alpha$ -disc model developed by (Shakura and Sunyaev 1973, hereafter SS73) is currently the leading candidate for explaining how energy and angular momentum is transported an accretion disc. The starting point for this model is the parameterisation of viscosity using a simple form of

$$\nu = \alpha c_s H. \quad (1.1)$$

Viscous torques then allow the conversion of orbital kinetic energy into heat, which

By considering the energy released through viscous dissipation in the disc it is possible to derive a temperature distribution as a function of radius (Shakura and Sunyaev 1973; Frank et al. 1992).

$$T(R) = \quad (1.2)$$

It is important to recognise that the work of [Shakura and Sunyaev \(1973\)](#) *does not specify the nature of the disc SED*. What it does do is say where energy is originally released. Typically, accretion discs are modelled as a series of annuli each emitting as blackbodies, but it is possible that a disc atmosphere with frequency-dependent opacity would create a somewhat different spectrum. It is also possible that *neither* of these treatments are realistic. We shall therefore devote a little time to discussing the observational arguments for accretion discs and the current problems

Figure ? shows

### 1.1.3 Observational Appearance

## 1.2 Accreting Compact Binaries

### 1.2.1 Cataclysmic Variables

Cataclysmic variables (CVs) are systems in which a white dwarf accretes matter from a donor star via Roche-lobe overflow. CVs are not always accreting objects; classical novae and super soft sources (SSS) have luminosities dominated by nuclear burning. *Accreting* CVs – the focus here – can be classified according to the magnetic field strength ( $B$ ) and photometric activity. Magnetic systems are classified as either ‘Polars’ ( $B \gtrsim 10^7$  G) or ‘Intermediate Polars’ ( $10^6 \lesssim B \lesssim 10^7$  G); in these systems the accretion flow is dominated by the WDs magnetic field inside the Alfvén radius (REF). In polars this radius is large enough that no disc forms at all (REFs). When  $B \lesssim 10^6$  G then the accreting material can fall onto the WD via a disc, and the CV is classified as non-magnetic. There are two main types of non-magnetic CVs; Dwarf Novae and Nova-like variables.

#### 1.2.1.1 Dwarf Novae

Dwarf novae (DNe) are accreting systems that are characterised by periods of quiescence and outburst on varying timescales. One of the most famous DNe is SS Cyg, whose century of activity is shown in figure ???. The repeated outbursts, with characteristic shape, can be clearly seen.

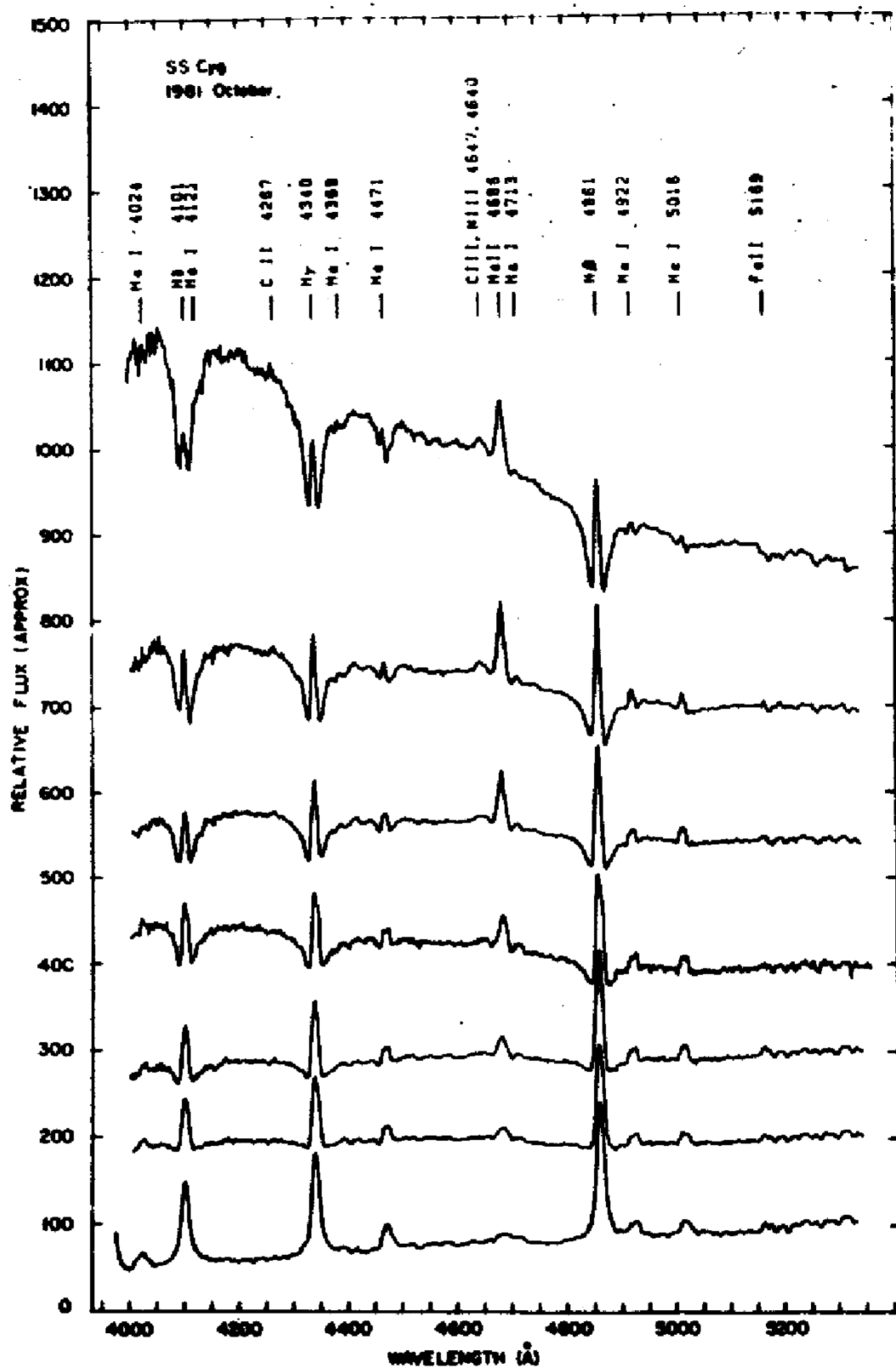


FIGURE 1.1: Credit: Hessman *et al.* 1984 / Dhillon *et al.* 1996. Spectra of SS Cyg during an outburst cycle, showing the evolution from minimum to maximum light. The rise is characterised by the appearance of an optically thick accretion disc spectrum. The flux scale is approximate.

### 1.2.1.2 Nova-like Variables

Nova-like variables (NLs) are similar to DNe in overall structure, except that the disc is always in a relatively high-accretion-rate state ( $\dot{M} \sim 10^{-8} M_{\odot} \text{ yr}^{-1}$ ). NLs are therefore one of the best ‘laboratories’ for studying steady-state accretion discs and testing theoretical models for accretion. NLs generally exhibit a series of strong emission lines

## 1.2.2 Low Mass X-ray Binaries

X-ray binaries are similar to CVs in structure, except that the compact object is either a neutron star (NS) or black hole (BH). The accretion disc emits in the soft X-rays, and an additional hard X-ray power law is also seen in the spectrum (REFs). This hard component is normally attributed to Compton up-scattering of seed disc photons by some kind of ‘corona’ of hot electrons close to the BH (REFs). A characteristic spectrum is shown in figure ??.

Although I do not discuss XRBs directly in this thesis, it is instructive to discuss some of their observational appearance as it is instructive for understanding the theory of disc winds, as well as their wider significance. The discovery that XRBs follow similar tracks on a hardness-intensity diagram (REFs) is particularly interesting in this regard, especially since [Ponti et al. \(2012\)](#) showed that broad Fe absorption lines are only seen in the soft-state high-inclination systems (see section 2.1.2). This implies that equatorial outflows are intrinsic to the accretion process. Although the driving mechanism is almost certainly different to CVs (REFs), the similarity in general structure to models for CVs and quasars is striking.

## 1.3 Quasars and Active Galactic Nuclei

Spectra of AGN have now been studied for over 100 years, and we have known that they exhibit strong, broad emission lines since the first spectrum was taken by [Fath \(1909\)](#). However, it wasn’t until the work of [Seyfert \(1943\)](#) that the systematic classification of AGN really began, leading to the phrase ‘Seyfert galaxy’. This label was applied to galaxies possessing a bright nucleus, spectroscopically characterised by a blue continuum and a series of strong emission lines. The first real physical insight into the extraordinary nature of AGN was provided by [Woltjer \(1959\)](#), who noted that (i) the nuclei must have sizes  $< 100 \text{ pc}$ , based on the fact that they were unresolved and (ii) the mass of the nucleus must be very high, based on virialised motion. While both of these observations

were based on simple arguments, the fact that these ultra-luminous celestial objects are both *compact* and *supermassive* is perhaps the defining insight into the nature of AGN.

Although the field of AGN study was established in the optical, radio astronomy also significantly furthered our understanding of AGN in the mid-20th century. A number of surveys, such as the Cambridge (Edge et al. 1959), Parkes (Ekers 1969) and Ohio (Ehman et al. 1970) surveys discovered a great many bright radio point sources distributed isotropically across the sky. These sources eventually became known as ‘quasi-stellar radio sources’ or *quasars*, and were soon identified to be coincident with bright optical sources or ‘quasi-stellar objects’ (QSOs; REFs). Nowadays, the term quasar normally has very little to do with radio emission and is often used interchangeably with QSO. Indeed, throughout this thesis I shall refer to a quasar as simply a bright, massive AGN; one with sufficiently high luminosity that it dominates the emission from its host galaxy.

### 1.3.1 AGN Unification and the dusty Torus

Although Seyfert had identified type 1 and 2 AGN, a physical explanation for this dichotomy was not forthcoming until a study by (Antonucci and Miller 1985, AM85). They showed unambiguously that the nearby Seyfert 2 NGC 1068 is simply an obscured type 1 AGN, by finding that broad emission lines appeared in the spectrum of *polarised* flux. This provided the basis for the first successful attempt to unify AGN behaviour (UP95 Urry and Padovani 1995), as it elegantly explained the apparent disconnect between the two types of AGN as simply a viewing angle effect. The obscuring structure became known as the ‘torus’ (Krolik and Begelman 1986), due to its geometry, and it was soon realised that this structure may be made of dust, in which case it could also be responsible for the infra-red (IR) bump in AGN (Neugebauer et al. 1979).

The UP95 scheme went further that the original unification model proposed by AM85 as it also attempted to explain other AGN behaviour;

Since the seminal works by AM85 and UP95, the picture has become somewhat more complicated. Variable X-ray absorption has been detected in so-called ‘Changing look’ AGN (Matt et al. 2003; Puccetti et al. 2007), even in NGC 1068 itself (Marinucci et al. 2016). Changes in type have also been seen in the optical lines; the broad  $H\beta$  component can dramatically disappear or reappear (e.g. Tohline and Osterbrock 1976; Cohen et al. 1986; Denney et al. 2014). The explanation for this could be variable absorption (Elitzur 2012) or linked to the accretion state of the disc. In the latter case, it has even been suggested that a disc wind could be directly responsible for this change in accretion state (Elitzur et al. 2014). Furthermore, dusty *polar* outflows have been found to be important IR emitters (Hönig et al. 2013), implying that, even when it comes to dust, the torus is

not the whole picture. Despite these complications, the AGN torus unification picture still helps explain a lot of AGN spectral components, and represents a good framework to test with observations.

### 1.3.2 The Broad Line Region and Connection to Outflows

In the UP95 unification model, the broad emission lines come from a series of virialised clouds close to the disc plane. As noted by (Murray et al. 1995, hereafter MCGV95), there are a number of problems with the BLR ‘cloud’ model, perhaps most notably that there is no obvious physical origin for a series of virialised clouds. While there are exceptions to this statement (REFs), it is important to test other models. Indeed, MCGV95 proposed a disc wind model in order to explain both BALs and BELs in quasars. A disc wind model was also discussed by Elvis (2000), who proposed a structure for quasars that attempted to explain much of the behaviour of luminous AGN merely as a function of viewing angle. Outflow models are discussed further in section 2. The philosophy of these models is that, before invoking additional degrees of freedom in a model, we should first test if known quasar phenomenology (winds) can explain other aspects of their observational appearance. I have illustrated this general principle with the ‘Occam’s quasar’ cartoon shown in figure 1.2. This is the picture that I will quantitatively test in the latter, quasar-focused sections of this thesis, and the general principle can even be applied to cataclysmic variables and other accreting objects.

## 1.4 The Current Understanding of the Disc Continuum

A number of issues have been raised with the thin-disc model and its applicability to accreting systems.

### 1.4.1 The Spectral shape of CV discs

Attempts to fit the observed SEDs of high-state CVs with simple disc models have met with mixed success. In particular, the SEDs predicted by most stellar/disc atmosphere models are too blue in the UV (Wade 1988; Long et al. 1991, 1994; Knigge et al. 1998a) and exhibit stronger-than-observed Balmer jumps in absorption (Wade 1984; Haug 1987; La Dous 1989; Knigge et al. 1998a). One possible explanation for these problems is that these models fail to capture all of the relevant physics. Indeed, it has been argued that a self-consistent treatment can produce better agreement with observational data (e.g. Shaviv et al. 1991; but see also Idan et al. 2010). However, an alternative



OCCAM'S QUASAR: THE PRINCIPLE THAT IN EXPLAINING A QUASAR NO MORE ASSUMPTIONS SHOULD BE MADE THAN ARE NECESSARY.

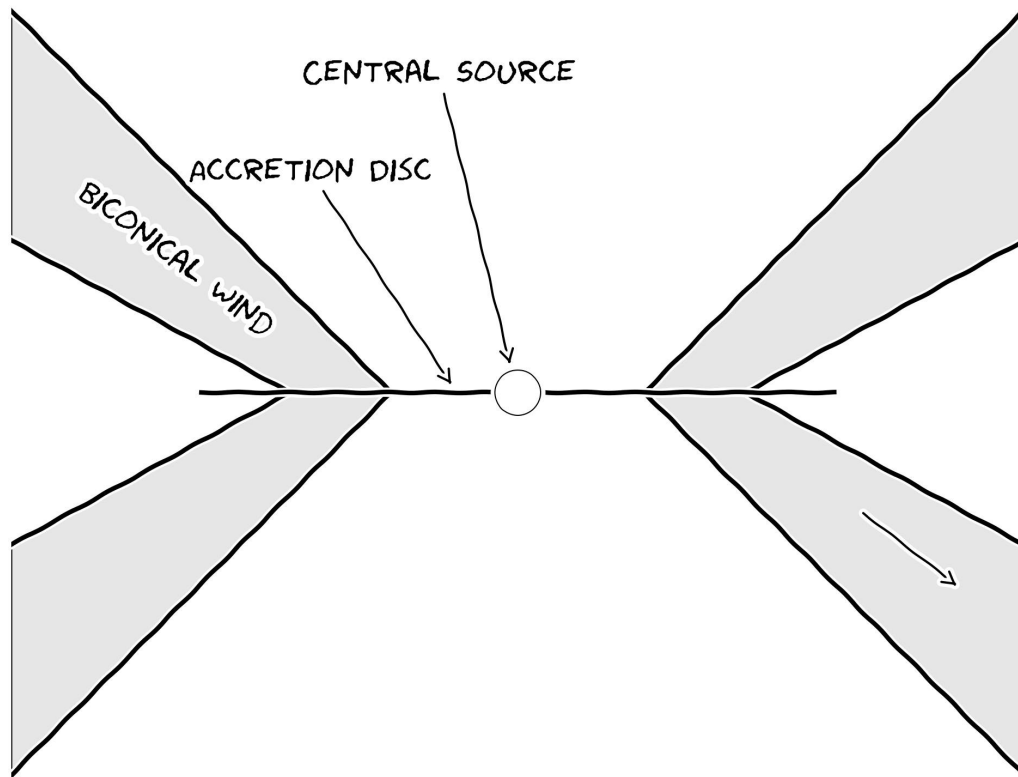


FIGURE 1.2: Occam's quasar. How far can this general picture take us when trying to explain the behaviour of quasars and other accreting compact objects?

explanation, suggested by Knigge et al. (1998b; see also Hassall et al. 1985), is that recombination continuum emission from the base of the disc wind might fill in the disc's Balmer absorption edge and flatten the UV spectrum.

## 1.4.2 The Big Blue Bump in AGN

### 1.4.2.1 The Accretion Disc Size Problem

## 1.5 The Universality of Accretion

Accretion appears to be an important physical processes across  $\sim 9$  orders of magnitude in mass. But is this process the same at all scales? Does any behaviour manifest in all accretion systems?

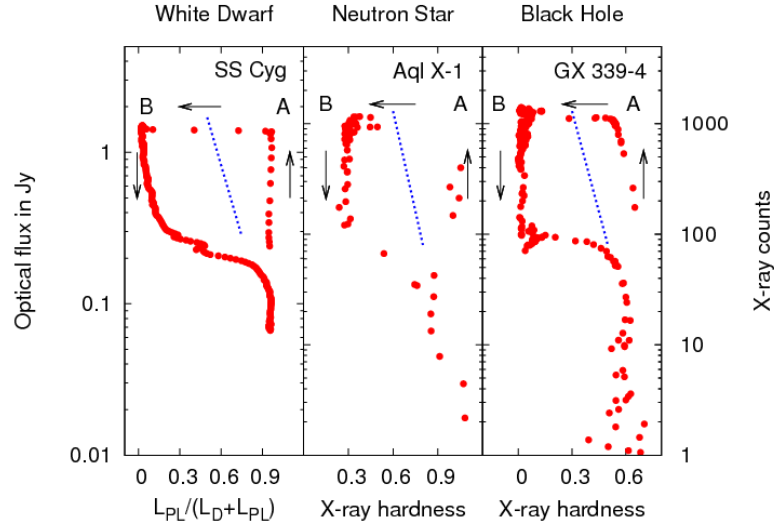


FIGURE 1.3: Credit: Kording et al. XXXX. Caption.

### 1.5.1 The RMS-flux relation

Broad-band variability is common in all types of accretion disc. It has been known for sometime that there exists a linear relationship between the flux and absolute root-mean-square (rms) amplitude of this variability. This was discovered first in XRBs and AGN (Uttley and McHardy 2001; Uttley et al. 2005; Heil et al. 2012), but it has been shown more recently that the relationship extends to CVs and even YSOs (Scaringi et al. 2012, 2015). The relationship is not limited to one type of CV, as it is present in both NLs and DNe (Van de Sande et al. 2015).

The model that best reproduces this behaviour is the so-called ‘fluctuating accretion disc’ model (Lyubarskii 1997; Kotov et al. 2001; Arévalo and Uttley 2006; Hogg and Reynolds 2015). It has been shown that additive processes cannot reproduce the behaviour, and a multiplicative mechanism is required (Uttley et al. 2005). Regardless of the mechanism, the rms-flux relation is one of the most clear-cut examples of a universal accretion phenomenon. It tells us that at least some of the behaviour in CV discs is present in AGN and XRBs, strengthening the argument that CVs should be used as ‘accretion laboratories’.

**1.5.2 Accretion States****1.5.3 Jets and Outflows****1.5.4 A Global Picture**

Clearly, accretion physics is relevant to a plethora of astrophysical phenomena. It would also appear that the outflowing material observed in accreting systems has a profound effect on the accretion process itself, as well as acting as a spectral ‘filter’ – modifying, and sometimes dominating the observational appearance of accretion discs.

## Chapter 2

# Accretion Disc Winds

“A view of space, with an elephant  
obstructing it”

*Mike Vennart, Silent/Transparent*

### 2.1 Accretion Disc Winds: Observational Evidence

#### 2.1.1 Cataclysmic Variables

#### 2.1.2 X-ray Binaries

#### 2.1.3 AGN and Quasars

#### 2.1.4 Stellar Winds

### 2.2 Accretion Disc Winds: Driving Mechanisms

Let us consider a parcel of ideal gas. By imposing nothing more than conservation of mass, energy and momentum on that parcel we can write down three equations of hydrodynamics <sup>1</sup>

$$\frac{D\rho}{Dt} + \rho \nabla \cdot \vec{v} = 0 \quad (2.1)$$

---

<sup>1</sup>I stress that these equations are not used in hydrodynamic simulations in this thesis (see section ?, for example); they are discussed here because they provide a natural reference point for exploring potential driving mechanisms for winds in accreting systems.

$$\rho \frac{Dv}{Dt} = -\nabla P + \frac{1}{4\pi}(\nabla \times \vec{B}) \times \vec{B} + \rho \vec{F}_{rad} + \rho \vec{g} \quad (2.2)$$

$$\rho \frac{D}{Dt} \left( \frac{e}{\rho} \right) = P \nabla \cdot \vec{v} + \rho \mathcal{L} \quad (2.3)$$

Here  $D$  denotes a derivative within the comoving frame of the gas parcel,  $\vec{v}$  is the velocity,  $\rho$  is the gas density,  $\vec{B}$  is the local magnetic field,  $\vec{F}_{rad}$  is the radiation force per unit mass and  $\vec{g}$  denotes the gravitational acceleration vector. Equation 2.1 is the *continuity equation* and describes conservation of mass. Equation 2.2 is the *equation of motion* and describes conservation of momentum. Equation 2.3 is the *equation of energy conservation*. We can use equation 2.2 to neatly demonstrate how an outflow can be driven. I have deliberately written the equation so that all the force terms lie on the RHS. We can then see that for an outflow to be driven from an accreting object one simply needs one of the terms on the RHS to dominate over gravity,  $\rho \vec{g}$ . These terms thus signify three potential driving mechanisms.

- Magnetic Forces,  $\frac{1}{4\pi}(\nabla \times \vec{B}) \times \vec{B}$ .
- Radiative Forces,  $\rho \vec{F}_{rad}$ .
- Thermal Pressure,  $-\nabla P$ .

We can now examine under what physical conditions (and in which corresponding astrophysical objects) we might expect these forces to overcome gravity and cause a parcel of mass to escape to infinity. In other words: *what might drive a wind?*

### 2.2.1 Thermal Winds

In hydrostatic equilibrium (HSE), thermal pressure balances gravity and no other forces are present, meaning that the equation of motion can be written as

$$\rho \frac{Dv}{Dt} = -\nabla P + \rho \vec{g} = 0 \quad (2.4)$$

Clearly, if the thermal pressure is then significantly increased then this equilibrium condition no longer holds. This can occur in accretion discs at temperatures in excess of  $\sim 10^7$  K – where other forces are negligible compared to thermal pressure – and where the escape velocities are relatively low (i.e. far out in the disc). Due to the temperature and gravity scalings, this means that XRBs are natural candidates for showing evidence

of thermally driven winds. The outer disc can be heated to the Compton temperature by the central X-ray source, potentially driving relatively high mass-loss rate outflows (Begelman et al. 1983; Woods et al. 1996). This driving mechanism has been proposed as a natural explanation for the ever-present equatorial outflows in soft state XRBs (Ponti et al. 2012). However, they are much less likely candidates in CVs and AGN **Discuss scaling arguments with equations?**.

### 2.2.2 Radiatively Driven Winds

### 2.2.3 Line-driven Winds

### 2.2.4 Magneto-centrifugal Winds

## 2.3 Accretion Disc Wind Models

## 2.4 A Kinematic Prescription

## 2.5 The really, really big picture: AGN Feedback

The event horizon of a  $10^9 M_\odot$  BH is approximately  $10^{15}$  cm, a billionth of the size of a typical galactic bulge. This is roughly the difference in size between a small coin and the radius of the Earth. Despite this vast different in scale, there are multiple pieces of evidence that the physics on the scale of the gravitational radius of the BH really does affect the evolution and dynamics of its host galaxy. I shall briefly discuss the evidence for this statement, and assess the potential role of winds together with alternative mechanisms.

### 2.5.1 Observational evidence for feedback

Perhaps the most famous pieces of evidence for some kind of long-distance relationship between a central BH and its host galaxy are the  $M_{BH} - \sigma_*$  and  $M_{BH} - M_{bulge}$  correlations, shown in figures ?? and 2.2 respectively.

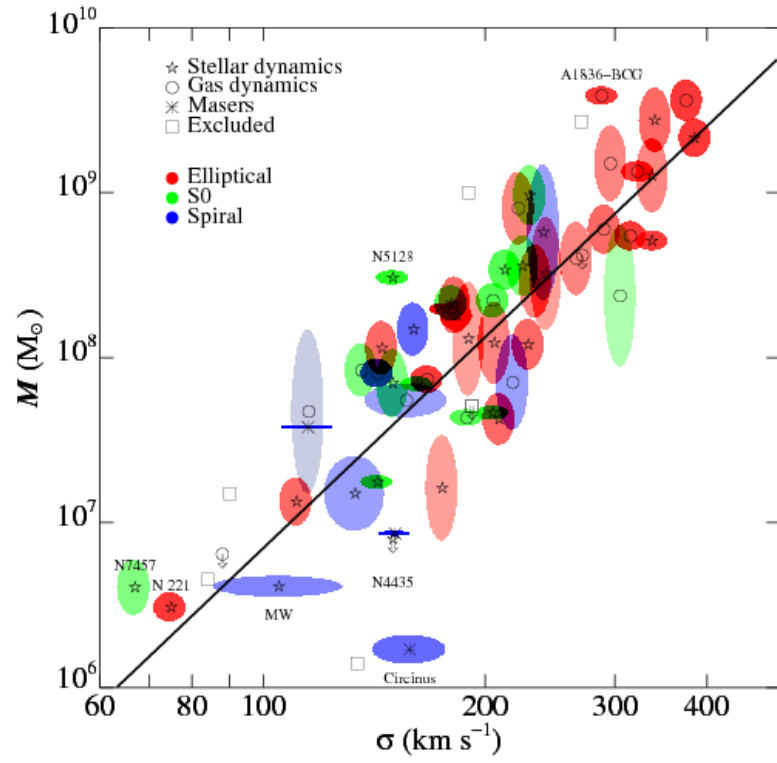


FIGURE 2.1: Credit: Gultekin et al. 2009. The  $M_{BH} - \sigma_*$  correlation.

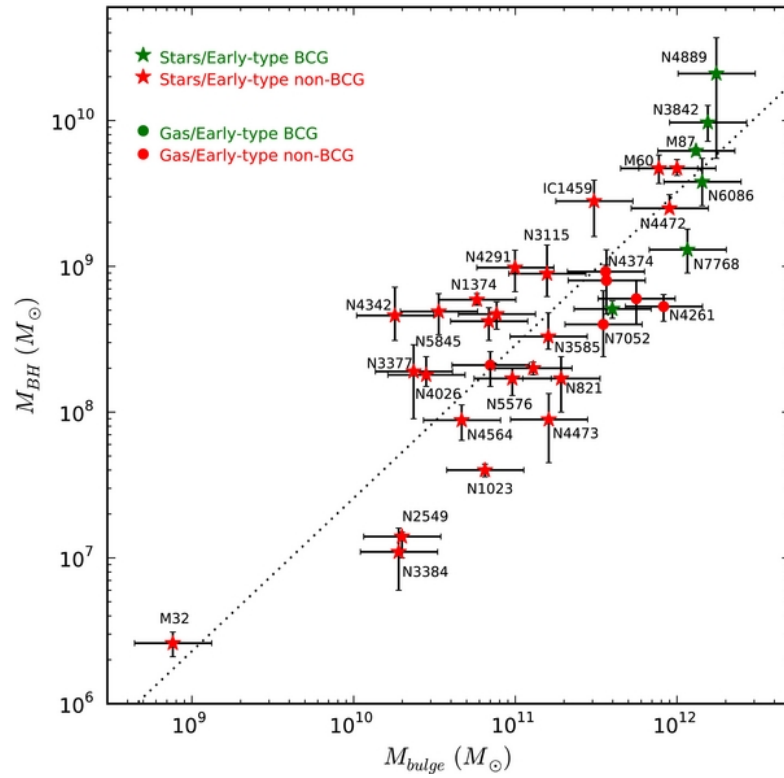


FIGURE 2.2: Credit: McConnell & Ma 2013. The  $M_{BH} - M_{bulge}$  correlation.

**2.5.2 Radiative or quasar mode feedback**

**2.5.3 Kinetic or radio mode feedback**

**2.5.4 In-situ Explanations**



## Chapter 3

# Radiative Transfer and Ionization

“I’m splashing greys where once was  
glowing white”

*Mike Vennart, Silent/Transparent*

In the previous chapters I have given an introduction to the field and some relevant background relating to accretion discs and their associated outflows. Now it proves useful to discuss some of the specific *methods* one might be able to use in order to answer some of the questions raised in the previous sections. In particular, I will discuss radiative transfer techniques and their potential applications.

### 3.1 Fundamentals of Radiative Transfer

The most fundamental quantity of radiative transfer is the *specific intensity*,  $I_\nu$ , defined as

$$I_\nu = \frac{dE}{d\Omega dt dA d\nu}, \quad (3.1)$$

which has units of  $\text{erg s}^{-1} \text{Hz}^{-1} \text{sr}^{-1} \text{cm}^{-2}$ . By successively multiplying by  $\cos \theta$  and integrating over solid angle we can obtain the first and second ‘moments’ of the radiation field. These are the flux,  $F_\nu$  and momentum flux,  $p_\nu$ , respectively, given by

$$F_\nu = \int I_\nu \cos \theta d\Omega, \quad (3.2)$$

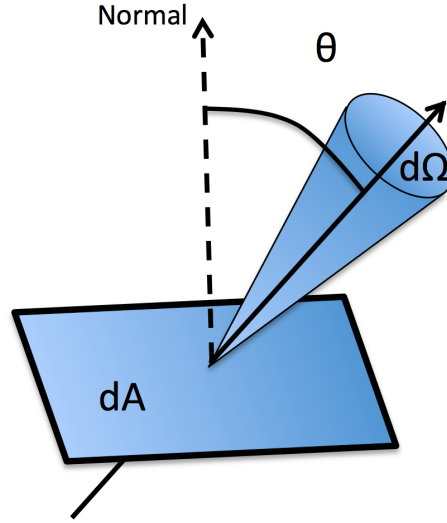


FIGURE 3.1: A schematic showing a ray obliquely incident on a surface of area  $dA$ . The labeled quantities are used in the definition of specific intensity.

$$p_\nu = \frac{1}{c} \int I_\nu \cos^2 \theta \, d\Omega \quad (3.3)$$

We can also define the *mean intensity*,  $J_\nu$ , as

$$J_\nu = \frac{1}{4\pi} \int I_\nu \, d\Omega \quad (3.4)$$

The mean intensity is particularly useful when one wants to ignore the solid angle dependence of the radiation, for example when considering the impact of an ionizing radiation field.

The equation describing the specific intensity change along a path element  $ds$  is the radiative transfer equation,

$$\frac{dI_\nu}{ds} = -\kappa_\nu I_\nu + j_\nu, \quad (3.5)$$

where  $\kappa_\nu$  and  $j_\nu$  are the absorption and emission coefficients respectively. If we define the optical depth  $d\tau_\nu = \kappa_\nu ds$  we can recast this as

$$\frac{dI_\nu}{d\tau_\nu} = -I_\nu + S_\nu \quad (3.6)$$

where  $S_\nu = j_\nu/\kappa_\nu$  is the source function. This equation is called the *formal radiative transfer equation*, and can be solved to give

$$I_\nu = I_{\nu,0} e^{-\tau_\nu} + \int_0^{\tau_\nu} S_\nu(\tau'_\nu) e^{\tau'_\nu - \tau_\nu} d\tau'_\nu. \quad (3.7)$$

A useful limit is when the source function is constant in the absorbing medium, in which case the integral can be easily evaluated to give

$$I_\nu = I_{\nu,0} e^{-\tau_\nu} + S_\nu(1 - e^{-\tau_\nu}). \quad (3.8)$$

### 3.1.1 Spectral Line Formation

From the above equations, it is trivial to show how emission and absorption lines form when the source function is approximately constant. Say we have a plasma illuminated by a blackbody of temperature  $T_0$ , such that  $I_{\nu,0} = B_\nu(T_0)$ . The plasma layer then has a different temperature,  $T$ , such that  $S_\nu = B_\nu(T)$  in that medium. By inspecting equation 3.8 we can see that if we are optically thick within the line, but optically thin in the continuum, then inside the line the source term is dominant and outside the line the first  $I_{\nu,0} e^{-\tau_\nu}$  term dominates. Therefore, if  $T > T_0$  we will see an emission line, and if  $T < T_0$  we will see an absorption line. This approach describes line emission in the blackbody limit; for more complicated SED shapes it is necessary to construct simple model atoms.

### 3.1.2 The Two Level Atom

The two level atom formalism is well described by Mihalas (1978).

#### 3.1.2.1 Einstein Coefficients

Within the two level atom, the rate equation between the two levels in LTE can be written by invoking detailed balance, such that

$$B_{lu}\bar{J}_{ul}n_l = B_{ul}\bar{J}_{ul}n_u + A_{ul}n_u, \quad (3.9)$$

where  $B_{ul}$ ,  $B_{lu}$  and  $A_{ul}$  are the *Einstein coefficients* for absorption, stimulated emission and spontaneous emission respectively. The ‘mean intensity in the line’,  $\bar{J}_{ul}$ , is given by

$$\bar{J}_{ul} = \int \phi(\nu) J_\nu d\nu. \quad (3.10)$$

In LTE, the level populations obey Boltzmann statistics, and thus we can also write

$$\frac{n_l}{n_u} = \frac{g_l}{g_u} \exp(h\nu_{ul}/k_B T) \quad (3.11)$$

We can then rearrange equation 3.9 in terms of the mean intensity, and use the fact that, in LTE,  $\bar{J}_{ul} = B_\nu(T)$  to write

$$\bar{J}_{ul} = (2h\nu_{ul}^3)/c^2. \quad (3.12)$$

Since this must be true at all values of  $T$  we can also show that

$$A_{ul}/B_{ul} = (2h\nu_{ul}^3) B_{lu}/B_{ul} = g_u/g_l \quad (3.13)$$

### 3.1.2.2 Collision Strengths

As well as radiative excitation and de-excitation, bound electrons can also interact with the thermal pool of free electrons, meaning that collisional rates also affect

### 3.1.3 The Sobolev Approximation

The Sobolev approximation (SA) is a useful limit originally developed. It is used to treat line transfer in fast-moving flows. Originally the theory was mostly applied to Stellar winds, although since then a wide variety of astrophysical objects have been modelled using Sobolev treatments, such as accreting systems (this work) and Supernovae.

The Sobolev limit is when the local bulk velocity gradients in a flow dominate other any thermal broadening. In the presence of these steep velocity gradients, one can assume that the interaction of a ray with a bound-bound transition takes place over a small resonant zone, known as a ‘Sobolev surface’. The length of this zone is defined by

$$l_s = \frac{v_{th}}{dv/ds}. \quad (3.14)$$

It is important that the physical conditions of the c do not change on this scale. If this is the case, then we can assume that all line interactions for a given frequency will occur at a single ‘resonant’ point. The location at which a given photon will interact with a line of frequency  $\nu_{lu}$  is then given, in velocity space, by

$$v = c \left( \frac{\nu}{\nu_{lu}} + 1 \right). \quad (3.15)$$

The Sobolev optical depth is then

$$d\tau = \frac{\pi e^2}{mc} \left( n_l - n_u \frac{g_l}{g_u} \right) \frac{f_{lu} \lambda_{lu}}{c |dv/ds|}. \quad (3.16)$$

We can see that the physical quantities determining line opacity are therefore the level populations in the plasma, the velocity gradient and the atomic physics associated with the bound-bound transition.

### 3.1.3.1 Escape Probabilities

### 3.1.4 Monte Carlo approaches

Simple radiation transfer problems can be solved analytically, but with more complicated geometries it is necessary to use Monte Carlo techniques, which are easily solved with modern computing approaches and are intuitively parallelisable problems. I will describe one specific Monte Carlo radiative transfer (MCRT) code, which has been used for the majority of the work in this thesis.

## 3.2 PYTHON: A Monte Carlo Ionization and Radiative Transfer Code

PYTHON<sup>1</sup> is a Monte Carlo ionization and radiative transfer code. The code has already been described extensively by LK02, SDL05 and Higginbottom et al. (2013; hereafter H13), so here we provide only a brief summary of its operation, focusing particularly on new aspects of our implementation of macro-atoms into the code.

### 3.2.1 Basics

PYTHON operates in three distinct stages, shown in figure 3.2. First, the user specifies the photon sources, geometry and kinematics of the system, normally with a similar parameterisation to the SV93 model described in section ???. The outflow is then discretised into a logarithmic grid with a user-specified resolution, and the density and velocity in each cell is calculated.

Once the basic setup process has been carried out, the ionization state, level populations and temperature structure are calculated. This is done via an iterative process, by

<sup>1</sup>Named c. 1995, predating the inexorable rise of a certain widely used programming language.

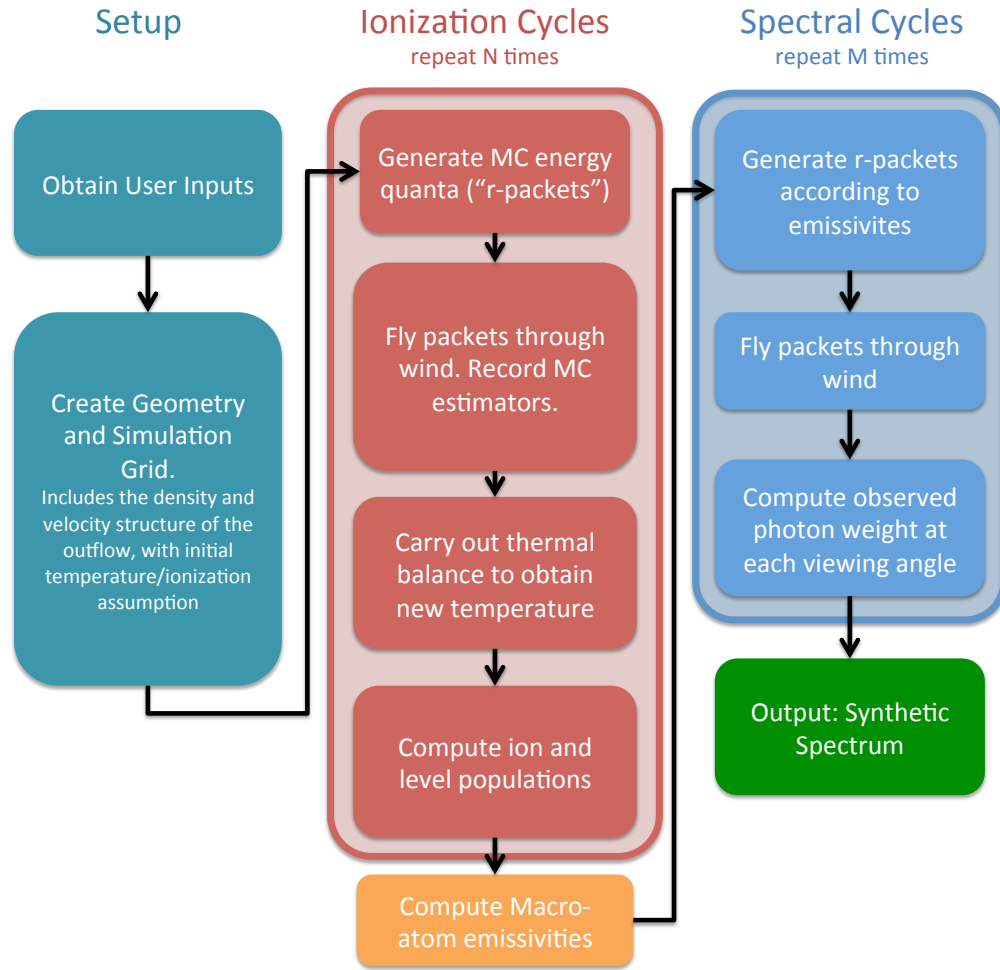


FIGURE 3.2: A flowchart showing the basic operation of PYTHON.

transporting several populations of Monte Carlo energy quanta ('photons' or 'r-packets') through the outflow. This process is repeated until the code converges. In each of these iterations ('ionization cycles'), the code records estimators that characterize the radiation field in each grid cell. At the end of each ionization cycle, a new electron temperature is calculated that more closely balances heating and cooling in the plasma. The radiative estimators and updated electron temperature are then used to revise the ionization state of the wind, and a new ionization cycle is started. The process is repeated until heating and cooling are balanced throughout the wind.

This converged model as the basis for the second set of iterations ('spectral cycles'), in order to compute the synthetic spectrum based on the MC estimators record during the ionization cycles. The emergent spectrum over the desired spectral range is synthesized by tracking populations of energy packets through the wind and computing the emergent spectra at a number of user-specified viewing angles.

PYTHON is designed to operate in a number of different regimes, both in terms of the scale of the system and in terms of the characteristics of the underlying radiation field. It was originally developed by LK02 in order to model the UV spectra of CVs with a simple biconical disc wind model. SDL05 used the code to model Brackett and Pfund line profiles of H in young-stellar objects (YSOs). As part of this effort, they implemented a ‘macro-atom’ mode (see below) in order to correctly treat H recombination lines with PYTHON. Finally, H13 used PYTHON to model broad absorption line (BAL) QSOs. For this application, an improved treatment of ionization was implemented, so that the code is now capable of dealing with arbitrary photo-ionizing SEDs, including non-thermal and multi-component ones.

### 3.3 Macro-atoms

*The macro-atom scheme was created by Leon Lucy and is outlined in his 2002/03 papers. It was implemented in PYTHON by Stuart Sim, initially for the study of recombination lines in YSO (Sim et al. 2005).*

Lucy (2002, 2003; hereafter L02, L03) has shown that it is possible to calculate the emissivity of a gas in statistical equilibrium without approximation for problems with large departures from LTE. His macro-atom scheme allows for all possible transition paths from a given level, dispending with the two-level approximation, and provides a full non-local thermodynamic equilibrium (NLTE) solution for the level populations based on Monte Carlo estimators. The macro-atom technique has already been used to model Wolf-Rayet star winds (Sim 2004), AGN disc winds (Sim et al. 2008; Tatum et al. 2012), supernovae (Kromer and Sim 2009; Kerzendorf and Sim 2014) and YSOs (SDL05). A full description of the approach can be found in L02 and L03.

The fundamental approach here requires somewhat of a philosophical shift. Normally MCRT is described in the most intuitive way- that is, we imagine real photons striking atoms and scattering, or photoionizing and depositing energy in a plasma. With Lucy’s scheme one should instead reimagine the MC quanta as a packets of quantised energy flow, and the scheme as a *statistical* one. The amount of time a given energy quanta spends in a specific atomic level or thermal pool is then somewhat analogous to the absolute energy contained therein.

Following L02, let us consider an atomic species interacting with a radiation field. If the quantity  $\epsilon_j$  represents the ionization plus excitation energy of a level  $i$  then the rates at which the level  $j$  absorbs and emits radiant energy are given by

$$\dot{A}_j^R = R_{\ell j} \epsilon_{j\ell'} \quad \text{and} \quad \dot{E}_i^R = R_{j\ell'} \epsilon_{j\ell'} \quad , \quad (3.17)$$

Where we adopt Lucy's convention in which the subscript  $\ell'$  denotes a summation over all lower states. Similarly, the rates corresponding to *kinetic* energy transport can then be written as

$$\dot{A}_j^C = C_{\ell'j} \epsilon_{j\ell'} \quad \text{and} \quad \dot{E}_j^C = C_{j\ell'} \epsilon_{j\ell'} \quad , \quad (3.18)$$

If we now impose statistical equilibrium

$$(\mathcal{R}_{\ell'j} - \mathcal{R}_{j\ell}) + (\mathcal{R}_{uj} - \mathcal{R}_{ju}) = 0 \quad . \quad (3.19)$$

we can then obtain

$$\begin{aligned} & \dot{E}_j^R + \dot{E}_j^C + \mathcal{R}_{ju} \epsilon_i + \mathcal{R}_{j\ell} \epsilon_\ell \\ &= \dot{A}_j^R + \dot{A}_j^C + \mathcal{R}_{uj} \epsilon_i + \mathcal{R}_{\ell j} \epsilon_\ell. \end{aligned} \quad (3.20)$$

This equation is the starting point for the macro-atom scheme. It shows that, when assuming only radiative equilibrium, the energy flows through a system depend only on the transition probabilities and atomic physics associated with the levels the energy flow interacts with. By quantising this energy flow into radiant (r-) and kinetic (k-) packets, we can simulate the energy transport through a plasma discretised into volume elements ("macro-atoms"), whose associated transition probabilities govern the interaction of radiant and kinetic energy with the ionization and excitation energy associated with the ions of the plasma.

Although equation 3.20 assumes strict radiative equilibrium, it is trivial to adjust it to include non-radiative source and sink terms. For example, in an expanding parcel of plasma, adiabatic cooling may be included with a simple modification to the RHS of equation 3.20.



### 3.3.1 Macro-Atom Estimators

#### 3.3.1.1 Radiation Field Estimators

One of the most important estimators is the ‘mean intensity in the line’,  $\bar{J}_{lu}$ , which is defined by equation 3.10.

#### 3.3.1.2 Heating And Cooling Estimators

### 3.3.2 Ionization Fractions and Level Populations

## 3.4 Simple-atoms

## 3.5 Heating And Cooling

### 3.5.1 Heating And Cooling Balance

### 3.5.2 Heating And Cooling Estimators

Here I’ve tried to use Lucy’s notation for macro-atom estimators. Take a three level system, in which  $l$  and  $u$  represent lower and upper levels, and  $\kappa$  represents the continuum level or upper ion.  $q$  is the ‘absorption fraction’ derived below, and  $q_{ul}$  and  $q_{lu}$  are the collisional rate coefficients.

#### 3.5.2.1 Macro-atoms

In the macro-atom approach, we basically treat two communication pathways. bound-free transitions represent a way for radiant energy to communicate with the thermal pool and bound-bound transitions represent a way for excitation energy to communicate with the thermal pool.

The heating and cooling rates for macro-atom bound-bound transitions are the rates of collisional excitations and de-excitations - i.e. the rate at which thermal energy is converted into bound-bound excitation energy and vice versa.

$$C_{bb,atoms} = \sum_{lines} q_{lu} n_l n_e h \nu_{ul} V \quad (3.21)$$

$$H_{bb,matoms} = \sum_{lines} q_{ul} n_u n_e h\nu_{ul} V \quad (3.22)$$

For bound-free transitions, we define the normal photoionization and recombination rate coefficients  $\gamma$  and  $\alpha$ , where  $\alpha$  includes stimulated recombination as we do in the code. Note this differs to the approach in Lucy (2003), where it is instead included as a negative photoionization term, hence the notation  $\tilde{\gamma}$ . We also need to define two ‘modified rate coefficients’ which are the rates at which b-f transitions add and remove energy to the radiation field. These are denoted  $\gamma^E$  and  $\alpha^E$ .

The rate at which recombinations convert thermal *and* ionization energy into radiant energy is then  $\alpha^E h\nu_{\kappa l} n_{\kappa} n_e$ , where  $h\nu_{\kappa l}$  is the potential of the b-f transition, or the energy difference between continuum  $\kappa$  and the level  $l$  we are recombining too. The amount of this energy which is removed from the actual thermal pool therefore needs a quantity  $\alpha h\nu_{\kappa l} n_{\kappa} n_e$  subtracted from it, giving

$$C_{bf,matoms} = \sum_{bfjumps} (\alpha^E - \alpha) n_e n_{\kappa} \nu_{\kappa l} V \quad (3.23)$$

where here I have also included stimulated recombination as we do in the code. Note this differs to the approach in Lucy (2003), where it is instead included as a negative photoionization term, hence the notation  $\tilde{\gamma}$ . For photoionizations, we write a similar expression. The rate of at which a level  $l$  absorbs energy by b-f transitions is given by  $\gamma^E h\nu_{\kappa l} n_{\kappa} n_e$ , but the amount  $\gamma h\nu_{\kappa l} n_l$  goes into ionization energy, giving

$$H_{bf,matoms} = \sum_{bfjumps} (\gamma^E - \gamma) n_l h\nu_{\kappa l} V \quad (3.24)$$

as the rate at which radiant energy heats the plasma via b-f transitions.

### 3.5.2.2 Simple-atoms

In simple-ions it is in some ways a little more complicated. First we define  $q$  which will be different for each b-b transition, following Nick’s thesis, which is given by (NB: I don’t actually know how to derive this)

$$q = \frac{q_{ul} n_e (1 - e^{-h\nu/kT_e})}{\beta_{ul} A_{ul} + q_{ul} n_e (1 - e^{-h\nu/kT_e})} \quad (3.25)$$

where  $\beta_{ul}$  is the angle-averaged escape probability.  $q$  represents *the probability that an excited bound electron will collisionally de-excite*. Our b-b heating rate is computed during the photon propagation and is a sum over photons which come into resonance

with each line, given by

$$H_{bb,simple} = \sum_{photons} \sum_{lines} (1 - q)(1 - e^{-\tau_S}) w_{photon} \quad (3.26)$$

And our bound bound cooling rate is given by

$$C_{bb,simple} = \sum_{lines} q \left( n_l \frac{g_u}{g_l} - n_u \right) q_{ul} n_e \frac{(1 - e^{-h\nu/kT_e})}{(e^{h\nu/kT_e} - 1)} h\nu_{ul} \quad (3.27)$$

The bound-free heating rate is given by

$$H_{bf,simple} = \sum_{photons} \sum_{bf\ jumps} w_{photon} e^{-\tau} \frac{\nu - \nu_0}{\nu} \quad (3.28)$$

where  $\nu$  here is the frequency of the photon in question, and  $\nu_0$ . The bound-free cooling rate is then

$$C_{bf,simple} = ?? \quad (3.29)$$

### 3.6 Spectral Synthesis

The primary output from PYTHON is a synthetic spectrum across a range of viewing angles. The code utilises a variance reduction technique in order to minimise the amount of time spent in the portion of the code. This technique is based on a similar method implemented by (Woods 1991).

A comparison between the two methods is shown in figure 3.3.

### 3.7 Atomic Data

One of the big challenges in building reliable photoionization and radiative transfer lies in the acquisition of accurate and complete atomic datasets. All of the rates described so far contain a term, such as the oscillator strength or dimensionless collision strength, that is dependent purely on the atomic physics associated with the transition. These quantities can be measured in laboratory experiments, or predicted from atomic structure codes which derive the atomic physics from quantum theory.

Photoionization cross-sections are obtained from two sources. Where possible, we use TOPBASE photoionization cross-sections. For macro-atoms, these cross-sections are

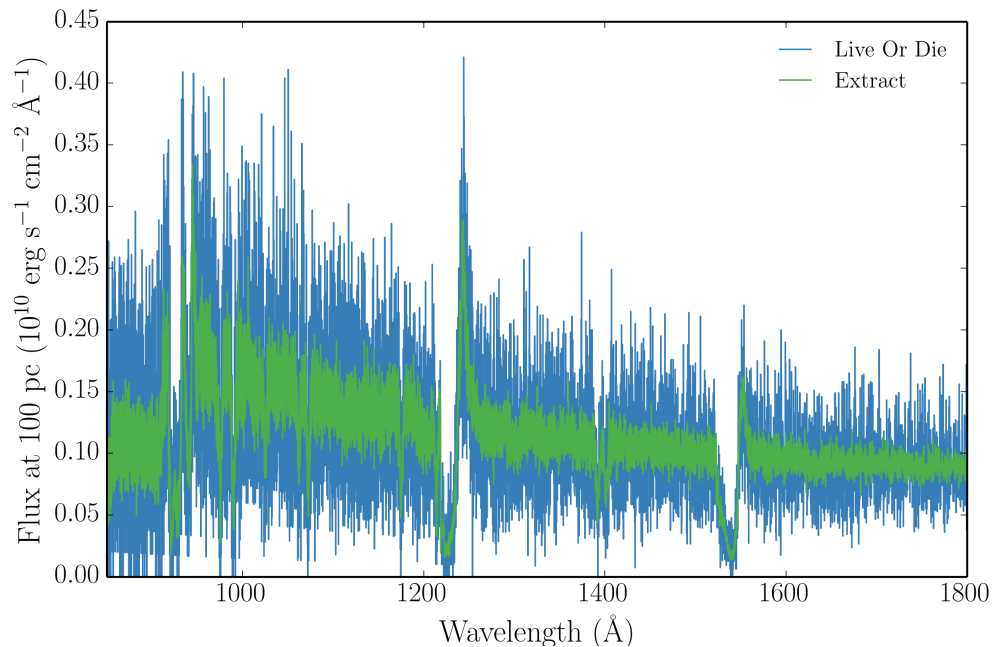


FIGURE 3.3: A Synthetic spectrum after 30 spectral cycles with 100,000 photons from simple CV wind model at a  $60^\circ$  viewing angle. Spectra produced with both the extract and live or die modes are shown. The effectiveness of the extract variance reduction technique can be clearly seen, and we can see that the spectral shape is unaltered.

partial and represent the cross-section for a photoionization from a given *level*. We neglect photoionizations to excited configurations of the upper ion. For simple-atoms they are from the ground state. The TOPBASE cross-sections have two major drawbacks in that

## 3.8 Clumping

### 3.8.1 Motivation

As described in section ??, observational evidence for inhomogeneities in outflows is widespread. Clumping a plasma can have a significant effect on its ionization, emission and absorption characteristics. Clearly, the interplay between these effects will be somewhat complex

A number of different implementations of clumping have been explored in previous studies, mostly in the stellar winds community. Perhaps the simplest method is when one assumes that the individual clumps are both optically and geometrically thin; this is known as *microclumping* (e.g. [Hamann and Koesterke 1998](#); [Hillier and Miller 1999](#);

Hamann et al. 2008). This technique has been particularly successful in reconciling discrepant mass-loss estimates. It was found that one would obtain different mass-loss rates depending on whether they were calculated from (i) UV resonance scattering of continuum photons (which scales linearly with density; a ‘ $\rho$ -diagnostic’) or (ii) recombination and free-free emission process (which scale with the square of density; ‘ $\rho^2$ -diagnostics’). A clumped outflow would have enhanced densities in certain regions, and would thus mean that  $\rho^2$ -diagnostics tend to overestimate the total mass-loss rates. Microclumping has helped verify this hypothesis with radiative transfer modelling (REFs). These clumpy models also provide better fits to the electron scattering wings of emission lines in stellar winds (?).

The second-generation of stellar wind codes went on step further by addressing the issue of *porosity*; that clumps will have a finite size, and thus gaps between the clumps may affect the emergent radiation field. This approach is known as *macroclumping*.

**Describe macroclumping with references.**

Implementing a treatment of clumping in accretion disc wind models is challenging, for two main reasons. First, the physical scale lengths and density contrasts in disc winds are not well-constrained from observations, especially in AGN. Second, there are significant computational difficulties associated with adequately resolving and realistically modelling a series of small scale, high density regions with a MCRT code. Given the lack of knowledge about the actual type of clumping, we incorporated the simpler microclumping approach into our code. This is partly because our primary concern was the ionization and emission characteristics of the flow, and porosity was a secondary concern.

### 3.8.2 Microclumping

To take account of clumping in our outflow we adopt a simple parameterization used in stellar wind modelling. The key assumption here is that typical clump sizes are much smaller than the typical photon mean free path, and thus the clumps are both geometrically and optically thin. This approach is typically known as microclumping and allows one to introduce a ‘filling factor’,  $f$ , which is the fraction of the volume of the plasma filled by clumps. We can then introduce the ‘density enhancement’,  $D$ , which is simply

$$D = \frac{1}{f} \tag{3.30}$$

The densities in the model are then multiplied by this factor. This has the effect of enhancing ‘ $\rho^2$ ’ processes such as recombination or collisional excitation, and

### 3.9 Code Validation

The main challenge for high performance scientific computing can be elegantly summarised by Ferland’s (2002) epitaph, ‘*Reliability in the face of complexity*’. I have already delved into some of the complexity in this case, so it is important to assess whether the code is also reliable before I present results.

#### 3.9.1 Testing against Cloudy

#### 3.9.2 Testing against Tardis

## Appendix A

# The Effect of Bound-bound Collisional Coefficients on Thermal Conditions of the benchmark CV model

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