# BornAgain

# Incomplete Physics Manual

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We cannot guarantee correctness and accuracy.

If in doubt, contact us for assistance or scientific collaboration.

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## **Preface**

## About BornAgain

BornAgain is a software package to simulate and fit reflectometry, off-specular scattering, and grazing-incidence small-angle scattering (GISAS) of X-rays and neutrons. It provides a generic framework for modeling multilayer samples with smooth or rough interfaces and with various types of embedded nanoparticles. The name, BornAgain, alludes to the central role of the distorted-wave Born approximation (DWBA) in the physical description of the scattering process.

BornAgain is maintained by the Scientific Computing Group of the Jülich Centre for Neutron Science (JCNS) at Heinz Maier-Leibnitz Zentrum (MLZ) Garching, Germany. It free and open source software. The source code is released under the GNU General Public License (GPL, version 3 or higher), the documentation under the Creative Commons license CC-BY-SA.

#### This manual vs other documentation

This Physics Manual explains some of the theory behind BornAgain. It is restricted to topics that are not covered by other components of the BornAgain documentation. These include:

- Our 2020 article in J. Appl. Cryst. [1] that gives a broad overview over Born-Again. The implemented physics is summarized in Sect. 5.
- The web site https://www.bornagainproject.org, which includes instructions how to download and install BornAgain, and extensive tutorials on setting up physical models.
- The complete documentation of the Application Programming Interface (API), which can be generated by running the open-source tool *Doxygen* over the source code.
- Further technical documents, available from the *Documents* tab on the download page. So far, there exists one such document, namely the Form factor catalog.

This Physics Manual is work in progress. In future editions, it may grow as we elaborate details or add new chapters, but it may also shrink as we move contents to journal articles or other documents.

#### Citation

The canonical reference for BornAgain is the journal article [1]

Gennady Pospelov, Walter Van Herck, Jan Burle, Juan M. Carmona Loaiza, Céline Durniak, Jonathan M. Fisher, Marina Ganeva, Dmitry Yurov and Joachim Wuttke:

BornAgain: software for simulating and fitting grazing-incidence small-angle scattering

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J. Appl. Cryst. 53, 262–276 (2020)
```

Use of the software should additionally be documented by citing a specific version thereof:

```
BornAgain — Software for simulating and fitting X-ray and neutron small-angle scattering at grazing incidence, version (version) ((release date)), http://www.bornagainproject.org
```

Citation of the present Physics Manual is only necessary when referring to specific information. As this document is subject to frequent and substantial change, it is important to refer to a specific edition by indicating the release date printed on the title page:

```
Marina Ganeva, Gennady Pospelov, Walter Van Herck, Joachim Wuttke: BornAgain Physics Manual (\( \text{release date} \)), http://www.bornagainproject.org
```

Old editions can be retrieved from the BornAgain source repository.

The initial design of BornAgain and much of the implemented physics owe much to the widely used program IsGISAXS by Rémi Lazzari [2]. Depending on how BornAgain is used in scientific work, it may be appropriate to cite the pioneering papers by Lazzari et al. [3, 4].

## Typographic Conventions

We use the following colored boxes to highlight certain information:



Such a box contains a **warning** about potential problems with the software or the documentation.



This road sign in the margin indicates work in progress.

An **implementation note** explains how the theory exposed in this manual is actually used in BornAgain.

This is a link.

Mathematical notations are explained in the symbol index, page  $\overset{\texttt{Snomencl}}{Y:1}$ .

This document is formatted for single-sided printing, which is more convenient for reading on a screen.

## 1 Scattering

This chapter provides a self-contained introduction into the theory of neutron and X-ray scattering, as needed for the analysis of grazing-incidence small-angle scattering (GISAS) experiments. In Section 1.1, a generic wave equation is derived. In Section 1.3, it is solved in first-order distorted-wave Born approximation (DWBA). The chapter finishes with a qualitative discussion of coherence lengths in Section 1.4.

### 1.1 Wave propagation

In this section, we review the wave equations that describe the propagation of neutrons (Secs. 1.1.1 and 1.1.2) and X-rays (Sec. 1.1.3) in matter, and combine them into a unified wave equation (Sec. 1.1.4) that is the base for the all following analysis. This provides justification and background for Eqns. 1–3 in the BornAgain reference paper [1].

### 1.1.1 Neutrons in a scalar potential

The scalar wavefunction  $\psi(\mathbf{r},t)$  of a free neutron in absence of a magnetic field is governed by the Schrödinger equation

$$i\hbar\partial_t\psi(\boldsymbol{r},t) = \left[-\frac{\hbar^2}{2m}\boldsymbol{\nabla}^2 + V(\boldsymbol{r})\right]\psi(\boldsymbol{r},t).$$
 (1.1) {ESchrodi1}

BornAgain concentrates on elastic scattering; inelastic scattering is either neglected, or accounted for by some extra damping as discussed at the end of this subsection. Therefore, any time dependence of the potential  $V(\mathbf{r}) := \langle V(\mathbf{r}, t) \rangle$  is averaged out, and only monochromatic waves with given frequency  $\omega$  are considered. In consequence, the wavefunction

$$\psi(\mathbf{r},t) = \psi(\mathbf{r})e^{-i\omega t}$$
 (1.2) {Estationarywave}

factorizes into a stationary wave and a time-dependent phase factor. In the following, we will characterize the incoming radiation not by its energy  $\hbar\omega$ , but by its vacuum wavenumber K, given by the dispersion relation

$$\hbar\omega = \frac{(\hbar K)^2}{2m}.\tag{1.3}$$

Elastic scattering|hyperindexform Grazing-incidence small angle scattering hyperpage Scattering!grazing incidence|hypincidence small-angle scatter GISAS|hyperindexformat\seeGraincidence small-angle scattering DWBA|hyperindexformat\see Dis Distorted-wave Born approximati Vave propagation|(hyperpage Wave propagation!neutron|(hyper Neutron!wave propagation (hyper Wavefunction!scalar|hyperpage Schrodinger@Schrödinger equatio Scattering!elastic|hyperpage Scattering!inelastic|hyperpage Damping!inelastic scattering|hyp Potential!neutron|hyperpage Neutron!potential|hyperpage Frequency!neutron wavefunction Phase factor|hyperpage Wavenumber!neutron|hyperpage Dispersion relation!neutron|hyper We rescale the potential as

$$v(\mathbf{r}) := \frac{2m}{\hbar^2} V(\mathbf{r}). \tag{1.4}$$

This deviates by a factor  $4\pi$  from our previous choice in [1]. The Schrödinger equation (1.1) now takes the simple form

$$\left[\nabla^2 + K^2 - v(\mathbf{r})\right]\psi(\mathbf{r}) = 0. \tag{1.5}$$

The microscopic expression for v(r) is based on Fermi's pseudopotential,

$$v(\mathbf{r}) = 4\pi \sum_{j} \langle b_{j} \delta \left( \mathbf{r} - \mathbf{r}_{j}(t) \right) \rangle. \tag{1.6}$$

The sum runs over all nuclei in the scattering target. The bound scattering length  $b_i$ is isotope specific; values are tabulated [5].

In small-angle scattering, as elsewhere in neutron optics [6], the potential (1.6) can be coarse-grained by spatially averaging over at least a few atomic diameters, yielding the scattering length density (SLD) [6, eq. 2.8.37].

$$v(\mathbf{r}) = \sum_{s} b_{s} \rho_{s}(\mathbf{r}). \tag{1.7}$$

Here the sum runs over chemical elements,  $b_s := \langle b_i \rangle_{i \in s}$  is the bound coherent scattering length, and  $\rho_s$  is a number density.

In passing from (1.6) to (1.7), we neglected Bragg scattering from atomic-scale correlation, and incoherent scattering from spin or isotope related fluctuations of  $b_i$ . In small-angle experiments, incoherent scattering only contributes a diffuse background. Furthermore, it is possible that it causes a noticeable attenuation of the incoming or scattered radiation. Other loss channels are elastic wide-angle scattering and inelastic scattering. They can all be lumped into an ad-hoc increment of the imaginary part of the refractive index, which otherwise, at the microscopic level (1.6), accounts for absorption only. Furthermore, incoherent scattering, as inelastic scattering, contributes to the diffuse background in the detector.

#### Neutrons in a magnetic field

In the presence of a magnetic field, the propagation of free neutrons becomes spin dependent. Therefore the scalar wavefunction of Sec. 1.1.1 must be replaced by a spinor  $\Psi$ . The magnetic moment  $\mu$  of the neutron couples to the magnetic induction B[6, 7, 8]. With the Pauli vector  $\sigma$ , composed of the three Pauli matrices, the interaction can be written

$$V_{\text{magn}} = -\mu B = +\mu \sigma B. \tag{1.8}$$

The final expression has a plus sign because the magnetic moment of the neutron is antiparallel to its spin, as expressed by the gyromagnetic ratio -1.91. We introduce the reduced field

$$\boldsymbol{b} \coloneqq \frac{2m\mu}{\hbar^2} \boldsymbol{B},\tag{1.9}$$

Neutron!pseudopotential|hyperpa Scattering length|hyperpage Bound scattering length|hyperind Isotope|hyperpage Scattering!small-angle|hyperpage Small-angle scattering hyperpage SAS|hyperindexformat\se angle scattering Neutron!optics|hyperpage Optics!neutron|hyperpage Scattering length density|hyperpa SLD|hyperindexformat\se EVS Coherent scattering length|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent|hyperpolycoherent Number density|hyperpage Density|hyperpage Scattering!Bragg|hyperpage Bragg scattering|hyperpage Atomic scale|hyperpage Correlation!atomic scale|hyperpage Scattering!incoherent|hyperpage { EScHsotobe hyperpage Spin!neutron|hyperpage Neutron!spin|hyperpage Loss channels hyperpage Scattering!wide-angle|hyperpage Scattering!inelastic|hyperpage

Schrodinger@Schrödinger equatio Fermi's pseudopotential|hyperpag Pseudopotential|hyperpage Potential!neutron|hyperpage

Refractive index!loss terms|hyper Absorption|hyperpage  ${\bf Scattering! diffuse | hyperpage} \\ {\bf Inelastic \ scattering | hyperpage} \\$ Background!diffuse|hyperpage Detector!background|hyperpage Neutron!spin|(hyperpage Spin|(hyperpage Magnetic field!neutron propagation Field!magnetic|hyperindexformat H Field@\$H\$ Field|hyperindexfor B Field@\$B\$ Field|hyperindexfor Spinor|hyperpage

Neutron!magnetic moment|hyperi Magnetic moment!neutron|hyperp Magnetizing field!coupling to neu Evr Pauli vector|hyperpage Pauli matrix|hyperpage

to write the spin-dependent Schrödinger equation as

$$\left[\nabla^2 + K^2 - v(\mathbf{r}) - \mathbf{b}(\mathbf{r})\sigma\right]\Psi(\mathbf{r}) = 0. \tag{1.10}$$

#### 1.1.3 X-rays

The propagation of X-rays is governed by Maxwell's equations. We shall use SI units throughout:

$$\nabla \times \boldsymbol{E} = -\partial_t \boldsymbol{B}, \quad \nabla \boldsymbol{B} = 0, \quad \boldsymbol{B} = \boldsymbol{\mu}(\boldsymbol{r})\mu_0 \boldsymbol{H},$$

$$\nabla \times \boldsymbol{H} = +\partial_t \boldsymbol{D}, \quad \nabla \boldsymbol{D} = 0, \quad \boldsymbol{D} = \boldsymbol{\epsilon}(\boldsymbol{r})\epsilon_0 \boldsymbol{E}.$$
(1.11)

Since BornAgain only addresses elastic scattering, we assume the permeability and permittivity tensors  $\mu$  and  $\epsilon$  to be time-independent. Therefore we only consider monochromatic waves with given frequency  $\omega$ ,

$$E(r,t) = E(r)e^{-i\omega t},$$
 (1.12) {EstationaryX}

Since magnetic refraction or scattering is beyond the scope of BornAgain, the relative magnetic permeability tensor is always  $\mu(r) = 1$ . As customary in SAXS and GISAXS, we assume that the dielectric properties of the material are those of a polarizable electron cloud. This is occasionally called the *Laue model* [9]. Thereby the relative dielectric permittivity tensor  $\epsilon$  becomes a scalar,

$$\epsilon(\mathbf{r}) = 1 - \frac{4\pi r_e}{K^2} \rho(\mathbf{r}),\tag{1.13}$$

with the classical electron radius  $r_e = e^2/(4\pi\epsilon_0 mc^2) \simeq 2.8 \cdot 10^{-15}$  m, the electron number density  $\rho(\mathbf{r})$ , and the vacuum wavenumber K, given by the dispersion relation

$$K^2 = \mu_0 \epsilon_0 \omega^2 = \omega^2 / c^2. \tag{1.14}$$

With these simplifying assumptions about  $\epsilon$  and  $\mu$ , Maxwell's equations yield the wave equation

$$\mathbf{\nabla} \times \mathbf{\nabla} \times \mathbf{E} = K^2 \epsilon(\mathbf{r}) \mathbf{E}$$
. (1.15) {ENabCrossNabE}

Using a standard identity from vector analysis, it can be brought into the more tractable form

$$\left[\nabla^2 - \nabla \otimes \nabla + K^2 \epsilon(\mathbf{r})\right] \mathbf{E}(\mathbf{r}) = 0. \tag{1.16}$$

Schrodinger@Schrödinger equation Neutron!spin|)
Spin|)
Magnetic field!neutron propagation!
Wave propagation!neutron|)
Neutron!wave propagation|)
Wave propagation!X-ray|(hyperpagation!X-ray!wave propagation|)
Wave propagation!X-ray|(hyperpagation!)
X-ray!wave propagation|(hyperpage Electric field|hyperpage Electric field|hyperpage Magnetic field|hyperpage Magnetizing field|hyperpage Elastic scattering|hyperpage Elastic scattering|hyperpage Scattering!elastic|hyperpage Time dependence!dielectric permites |
ESchwarelmonochromatic|hyperpage

Magnetizing field!reduced|hyperp

Monochromatic wave hyperpage Sign convention wave propagation Permeability hyperpage Magnetic permeability hyperpage Grazing-incidence smallangle scattering dielectric mod Small-

angle scattering!dielectric model angle scattering!dielectric model hyperpage
Dielectric permittivity|hyperpage
Permittivity|hyperpage
Electron radius|hyperpage
Classical electron radius|hyperpage
Electron density|hyperpage
Density!electron|hyperpage
Number density|hyperindexforma
Dispersion!X-ray|hyperpage
Wave equation!X-ray|hyperpage

X-ray!wave equation|hyperpage Wave propagation!X-ray|) X-ray!wave propagation|)

#### 1.1.4 Unified wave equation

We combine all the above in a unified wave equation

$$\left[ \boldsymbol{D}_{0} - \boldsymbol{V}(\boldsymbol{r}) \right] \boldsymbol{\Psi}(\boldsymbol{r}) = 0 \tag{1.17}$$

with the vacuum wave operator

$$D_0 := \begin{cases} \nabla^2 + K^2 & \text{for neutrons,} \\ \nabla^2 - \nabla \otimes \nabla + K^2 & \text{for X-rays} \end{cases}$$
 (1.18)

and the potential

$$V(r) := \begin{cases} v(r) & \text{for neutrons (scalar),} \\ v(r) + b(r)\sigma & \text{for neutrons (spinorial),} \\ K^{2}(\epsilon(r) - 1) & \text{for X-rays.} \end{cases}$$
(1.19) {ETV}

The generic wave amplitude  $\Psi$  shall represent the scalar neutron wavefunction  $\psi$ , the spinor  $\Psi$ , or the electric vector field  $\mathbf{E}$ , as applicable.

#### 1.1.5 Flux

In quantum mechanics, the current density, or flux, is

$$\langle \mathbf{J} \rangle = \langle \mathbf{\Psi} | \frac{|\mathbf{r}\rangle \langle \mathbf{r}| \, \mathbf{k} + \mathbf{k} \, |\mathbf{r}\rangle \langle \mathbf{r}|}{2} \, |\mathbf{\Psi}\rangle \,. \tag{1.20}$$

The electromagnetic energy flux is given by the Poynting vector,

$$S := \text{Re}(\mathbf{E}(\mathbf{r}, t)) \times \text{Re}(\mathbf{H}(\mathbf{r}, t)). \tag{1.21}$$

In both cases, the flux is proportional to the squared modulus of the wave amplitude,

$$J \propto |\Psi(r)|^2$$
. (1.22) {EFLUX}

Prefactors are ignorable as they cancel under the normalization of the scattered to the incoming flux.

### 1.2 Scattering in Born approximation

Most neutron and X-ray diffraction experiments are adequately described as planewave scattering in first order Born approximation. This is not the case for the grazingincidence experiments addressed by BornAgain. Nonetheless, for the clarity of exposition, in this section we review the standard plane-wave scattering theory, before in the next section we turn to distorted waves.

#### 1.2.1 Born approximation

In function-space notation, the perturbed wave equation (1.17) reads

$$(\boldsymbol{D}_0 - \boldsymbol{V}) | \boldsymbol{\Psi} \rangle = 0. \tag{1.23}$$

Choose an incident plane wave  $\Phi_i$  that solves (1.23) in vacuum (V = 0). With the Green function

$$G_0 \coloneqq D_0^{-1}$$
 (1.24) {EdefG}

we can transform (1.23) into a Lippmann-Schwinger equation.

$$|\Psi\rangle = |\Phi_{\rm i}\rangle + G_0 V |\Psi\rangle$$
. (1.25) {E1LS3}

Operate on both sides from the left with  $D_0$  to see how this equation reduces to (1.23).

The Lippmann-Schwinger equation can be resolved by iterative substitution into an infinite series,

$$|\Psi\rangle = |\Phi_{\rm i}\rangle + G_0 V |\Phi_{\rm i}\rangle + G_0 V G_0 V |\Phi_{\rm i}\rangle + \dots \tag{1.26}$$
 (E1BornSeries)

This is the Born expansion or Born series.<sup>1</sup> In first-order Born approximation, only the linear order in V is retained,

$$|\Psi\rangle = (1 + G_0 V) |\Phi_i\rangle$$
. (1.27) {E1Born1}

In scattering experiments we are only interested in the scattered wave at positions r that are far away from the sample  $(r \to \infty)$  and that are not illuminated by the distorted (refracted or reflected) incident beam,

$$|\Psi_{\rm s}^{\infty}\rangle \coloneqq G_0^{\infty}V|\Phi_{\rm i}\rangle$$
. (1.28) {E1BornS}

Spelled out in real-space representation,

$$\Psi_{\rm s}^{\infty}(\boldsymbol{r}) = \int d^3r' \, \boldsymbol{G}_0^{\infty}(\boldsymbol{r}, \boldsymbol{r}') \boldsymbol{V}(\boldsymbol{r}') \boldsymbol{\Phi}_{\rm i}(\boldsymbol{r}'). \tag{1.29}$$

To proceed further, we need the far-field Green function  $G_0^{\infty}$ .

<sup>&</sup>lt;sup>1</sup>Named after Max Born who introduced it in quantum mechanics. It is actually due to Lord Rayleigh who devised it for sound, and later also applied it to electromagnetic waves, which resulted in his famous explanation of the blue sky.

Cross section|hyperpage Scattering!cross section|hyperpag Incident radiation!flux|(hyperpag Scattered radiation!flux|hyperpag Born approximation!elastic scatte Distortedwave Born approximation!elas

#### 1.2.2 Vacuum Green function

The retarded Green function describes the propagation of radiation that emanates from a point source. The retarded vacuum Green function  $G_0$  object the differential equation

$$D_0G_0(\mathbf{r}, \mathbf{r}') = \mathbf{1}\delta(\mathbf{r} - \mathbf{r}'), \tag{1.30}$$

plus a boundary condition to ensure that the solution is an *outgoing* wave. We write a scalar outgoing spherical wave as

$$g(r) \coloneqq \frac{\mathrm{e}^{iKr}}{4\pi r}.$$
 (1.31) {Egr}

The retarded vacuum Green function is then

$$G_0(\boldsymbol{r}, \boldsymbol{r}') = \begin{cases} g(|\boldsymbol{r} - \boldsymbol{r}'|) & \text{for neutrons (scalar)}, \\ \mathbf{1}g(|\boldsymbol{r} - \boldsymbol{r}'|) & \text{for neutrons (spinorial)}, \\ (\mathbf{1} + K^{-2}\boldsymbol{\nabla} \otimes \boldsymbol{\nabla})g(|\boldsymbol{r} - \boldsymbol{r}'|) & \text{for X-rays} & 13 \end{cases}.$$

Ultimately, we will be interested in the radiation intensity at a detector loction r that is far away from the scattering target. We expand for  $r \gg r'$ :

$$\left| \boldsymbol{r} - \boldsymbol{r}' \right| \doteq \sqrt{r^2 - 2\boldsymbol{r}\,\boldsymbol{r}'} \doteq r - \frac{\boldsymbol{r}\,\boldsymbol{r}'}{r} \equiv r - \frac{\boldsymbol{k}_{\mathrm{f}}\boldsymbol{r}'}{K},$$
 (1.33) {Effa}

where we have introduced the outgoing wavevector  $\mathbf{k}_{\mathrm{f}} \coloneqq K\hat{\mathbf{r}}$ . We define the projection operator

$$m{P} = \left\{ egin{array}{ll} 1 & ext{for neutrons (scalar),} \ 1 & ext{for neutrons (spinorial),} \ 1 - \hat{m{k}}_{\mathrm{f}} \otimes \hat{m{k}}_{\mathrm{f}} & ext{for X-rays.} \end{array} 
ight. \eqno(1.34)$$

With this, we find the far-field asymptote of the Green function,

$$G_0^{\infty}(\mathbf{r}, \mathbf{r}') = \mathbf{P}g(r)e^{-i\mathbf{k}_f\mathbf{r}'}.$$
 (1.35) {EGoInfty}

#### 1.2.3 Differential cross section

The differential scattering cross section is defined as

$$\frac{\mathrm{d}\sigma}{\mathrm{d}\Omega} := \frac{r^2 J_{\mathrm{f}}(\boldsymbol{r})}{J_{\mathrm{i}}}.\tag{1.36}$$

With fluxes given by (1.22) and with the scattered far-field denoted as in Sec. 1.2.1,

$$\frac{\mathrm{d}\sigma}{\mathrm{d}\Omega} = \frac{r^2 |\Psi_{\mathrm{s}}^{\infty}(\boldsymbol{r})|^2}{|\Phi_{\mathrm{s}}|^2}.$$
 (1.37) {Elxsectiondef}

At this point, we choose the incident  $\Phi_i$  to be a normalized plane wave

$$\mathbf{\Phi}_{\mathbf{i}}(\mathbf{r}) = (2\pi)^{-3/2} \hat{\mathbf{u}}_{\mathbf{i}} e^{i\mathbf{k}_{\mathbf{i}}\mathbf{r}}. \tag{1.38}$$

We combine (1.29), (1.35) and (1.38) to find

$$\Psi_{\rm s}^{\infty}(\boldsymbol{r}) = g(r)\boldsymbol{P}\boldsymbol{V}(\boldsymbol{q})\hat{\boldsymbol{u}}_{\rm i}$$
 (1.39) {E1PsiS2}

with the Fourier transformed potential

$$V(q) = \int d^3 r e^{-iq\mathbf{r}} V(\mathbf{r})$$
(1.40)

and the scattering vector<sup>2</sup>

$$q := k_{\mathrm{f}} - k_{\mathrm{i}}. \tag{1.41}$$

With all this, the cross section (1.37) becomes

$$\frac{d\sigma}{d\Omega} = \frac{1}{16\pi^2} \langle \hat{\boldsymbol{u}}_i \boldsymbol{V}^+(\boldsymbol{q}) \boldsymbol{P} \boldsymbol{V}(\boldsymbol{q}) \hat{\boldsymbol{u}}_i \rangle. \tag{1.42}$$

#### 1.2.4 X-ray cross section and polarization factor

In the electromagnetic case, per Sec. 1.1.3 and (1.19), we only consider scalar potentials. There is, however, a nontrivial projector P (1.34) that ensures transversality. In consequence, the cross section (1.37) can be written

$$\frac{d\sigma}{d\Omega} = \frac{1}{16\pi^2} \tilde{P} |V(q)|^2 \tag{1.43}$$

with the polarization factor

$$\tilde{P} := \hat{\boldsymbol{u}}_{i} \boldsymbol{P} \hat{\boldsymbol{u}}_{i} = 1 - (\hat{\boldsymbol{k}}_{f} \hat{\boldsymbol{u}}_{i})^{2}. \tag{1.44}$$

It will be evaluated later, when we discuss grazing-incidence and reflectometry geometry.

#### 1.2.5 Neutron cross section and polarization analysis

For neutrons, the projector P (1.34) is just the identity matrix, and therefore can be omitted from the cross section (1.37). In the absence of magnetic scattering, the potential is scalar, and the cross section is simply

$$\frac{\mathrm{d}\sigma}{\mathrm{d}\Omega} = \frac{1}{16\pi^2} |V(\mathbf{q})|^2. \tag{1.45}$$

In the presence of magnetic scattering, additional insight can be gained by polarization analysis of the scattered radiation. If the polarization analyzer is set in direction  $\hat{\boldsymbol{u}}_{\mathrm{f}}$ , then instead of (1.42) one finds

$$\frac{d\sigma}{d\Omega} = \frac{1}{16\pi^2} |\hat{\boldsymbol{u}}_i \boldsymbol{V}(\boldsymbol{q}) \hat{\boldsymbol{u}}_f|^2. \tag{1.46}$$

<sup>&</sup>lt;sup>2</sup>With this choice of sign,  $\hbar q$  is the momentum gained by the scattered neutron, and lost by the sample. In much of the literature the opposite convention is preferred, since it emphasizes the sample physics over the scattering experiment. However, when working with two-dimensional detectors it is highly desirable to express pixel coordinates and scattering vector components with respect to equally oriented coordinate axes, which can only be achieved by the convention (1.71).

Refraction|hyperpage Reflection|hyperpage Distorted-wave Born approximati Distortion field|hyperpage Perturbation potential|hyperpage Potential!perturbation|hyperpage Unperturbed distorted wave equa Distorted wave!wave equation|hyp Wave equation|unperturbed disto Distorted wave!operator|hyperpag Wave!operator!distorted|hyperpag

### 1.3 Distorted-wave Born approximation

As we have seen in the preceding Sec. 1.2, the Born approximation leads to particularly simple results when applied to the scattering of plane waves. Under grazing incidence, however, refraction and reflection often distort the incoming and the scattered wave in ways that cannot be accounted for by perturbative scattering theory. One rather needs to compute these distortions by analytical or numerical means, then apply the Born approximation to the so obtained distorted wave fronts. This is called the distorted-wave Born approximation (DWBA).<sup>3</sup>

#### 1.3.1 Distortion versus perturbation

At the base of DWBA is the decomposition of the potential (1.19) into a more regular and a more fluctuating part:

$$V(r) =: \Lambda(r) + U(r).$$
 (1.47) {Edecompose}

The distortion field  $\Lambda$  comprises regular, well-known features of the sample. The perturbation potential U stands for the more irregular, unknown features of the sample one ultimately wants to study in a scattering experiment. This is vague, and in certain situations the decomposition (1.47) is indeed to some extent arbitrary. In our application context,  $\Lambda(z)$  is responsible for refractions and reflections by multilayer structures, whereas U(r) accounts for all lateral fluctuations.

In DWBA, we need to distinguish the exciting and the incident wave; in planewave Born approximation they coincide. The exiting wave  $\Phi_{\rm e}$  is prepared upstream of the sample by a radiation source and whatever optical devices; it is a solution of the vacuum wave equation  $D_0\Phi_{\rm e}(r)=0$ . The incident wave  $\Phi_{\rm i}$  is a solution of the distorted wave equation

$$\mathbf{D}(r)\mathbf{\Phi}_{\mathbf{i}}(r) = 0 \tag{1.48}$$

with the distorted wave operator

$$D(r) \coloneqq D_0 - \Lambda(r)$$
 (1.49) {EdefD}

and with the boundary condition that  $\Phi_i$  matches  $\Phi_e$  upstream of the sample. So  $\Phi_e$  drives  $\Phi_i$ , whereas  $\Phi_i$  drives the scattering by the perturbation U, as developed below in Sect. 1.3.3. The distorted wave equation (1.48) is to be solved by nonperturbative analytical or numerical means. For our application field, this shall be studied in ??.

<sup>&</sup>lt;sup>3</sup>The DWBA was originally devised by Massey and Mott (ca 1933) for collisions of charged particles. Summaries can be found in some quantum mechanics textbooks (Messiah, Schiff) and in monographs on scattering theory (e. g. Newton). The first explicit applications to grazing-incidence scattering were published in 1982: Vineyard [11] discussed X-ray scattering, but failed to account for the distortion of the scattered wave; Mazur and Mills [12] deployed heavy formalism to compute the inelastic neutron scattering cross section of ferromagnetic surface spin waves from scratch. A concise derivation of the DWBA cross section was provided by Dietrich and Wagner (1984/85) for X-rays [13] and neutrons [14]. Unfortunately, their work was overlooked in much of the later literature, which often fell back to less convincing derivations.

Refractive index|hyperpage
Index of refraction|hyperindexfor.
Absorption|hyperpage
Refractive index!sign convention|
Sign convention!refractive index!Scattering!geometry|hyperpage
Born approximation|hyperpage
Grazing incidence|hyperpage
Refraction|hyperpage
Refraction|hyperpage
Distorted-wave Born approximati
Refractive index!profile|hyperpag
Lippmann-Schwinger equation|hy
Green function|hyperpage
Scattered radiation!Born approximati
Wavelscattered|hyperpage

#### 1.3.2 Refractive index

Except for neutrons in a magnetic field the distortion field is scalar so that it can be expressed through the refractive index

$$n(\mathbf{r}) \coloneqq \sqrt{1 - \frac{4\pi\Lambda(\mathbf{r})}{K^2}} = \begin{cases} \sqrt{1 - 4\pi\overline{v}(\mathbf{r})/K^2} & \text{for neutrons,} \\ \sqrt{\epsilon(\mathbf{r})} & \text{for X-rays.} \end{cases}$$
(1.50) {EnkK}

If  $\overline{v}(\mathbf{r})$  or  $\epsilon(\mathbf{r})$  has an imaginary part, describing absorption, then  $n(\mathbf{r})$  is a complex number. Conventionally, n is parameterized by two real numbers:

$$n =: 1 - \delta + i\beta. \tag{1.51}$$

Appendix A explains how to determine  $\delta$  and  $\beta$ .

For thermal neutrons and X-rays, with quantum-mechanical sign convention [(1.2) and (1.12)],  $\delta$  and  $\beta$  are almost always nonnegative, and much smaller than 1. This explains why in most scattering geometries the ordinary Born approximation with  $\Lambda \equiv 0$  is perfectly adequate. In layered samples under grazing incidence, however, even small differences in n can cause substantial refraction and reflection. To model GISAS, therefore, it is necessary to use DWBA, and to let  $\Lambda$  represent the average vertical refractive index profile  $\overline{n}(z)$ .

#### 1.3.3 Scattered wave

With the conventions (1.47) and (1.49), we rewrite the wave equation (1.17) of the full, perturbed problem as

$$(D-U)|\Psi\rangle = 0.$$
 (1.52) {EWave3}

It is solved in perfect analogy with Sec. 1.2.1. In place of (1.25), we have the Lippmann-Schwinger equation

$$|\Psi\rangle = |\Phi_{\rm i}\rangle + GU |\Psi\rangle$$
 (1.53) {ELS3}

with the distorted-wave Green function

$$G \coloneqq D^{-1}$$
 (1.54) {EdefG}

and with the distorted incident wave  $\Phi_i$  introduced in Sec. 1.3.1. In analogy with (1.28), the scattered wave far away from the sample is

$$|\Psi_{\rm s}^{\infty}\rangle \coloneqq G^{\infty}U|\Phi_{\rm i}\rangle$$
. (1.55) {EBornS}

In Sec. 1.2.2, we computed the far-field vacuum Green function  $G_0^{\infty}$  by explicitly taking the asymptote of  $G_0(r,r')$  for  $r \to \infty$ . Here, in the presence of a distortion field  $\Lambda(r)$ , there exists no simple and generic way to determine the Green function G. We rather want a way to derive  $G^{\infty}$  without full knowledge of G.

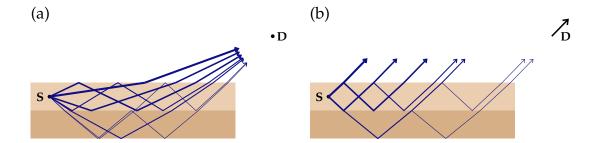


Figure 1.1: (a) The Green function  $G(\mathbf{r}_{S}, \mathbf{r}_{D})$  is the probability that radiation emitted by a source S is reaches a detector D. If S is a locus of scattering in a multilayer sample, then G is a sum over different trajectories, involving refraction and reflection at layer interfaces. (b) For the far-field Green function  $G^{\infty}(\mathbf{r}_{S}, \mathbf{r}_{D})$ , the detector is moved so far away from the sample that all trajectories are practically parallel when they leave the sample.

By definition, G(r, r') describes the wave field at point r that is caused by a source at point r'. In vacuum,  $G_0(r, r')$  as function of r is just a spherical wave centered at r'. Under the wave equation (1.52) considered here, the spherical wave emitted from r' is distorted by refraction and reflection whereever  $\Lambda(r)$  varies. From this we expect that the direct computation of G is rather complicated, and to be avoided whenever possible.

Help comes from source-sink reciprocity,

$$G(r, r') = G(r', r). \tag{1.56}$$

This is not a fundamental law of physics, but can be proven for certain wave equations, as will be discussed in Sec. 1.3.4. Reciprocity allows us to start the evaluation of G from the detector position  $r_{\rm D}$ . The detector is located in vacuum, far away from the scattering target. Halfway between the detector and the scattering target, G equals  $G_0$  and allows for the far-field approximation (1.35)

$$G_0^{\infty}(\mathbf{r}, \mathbf{r}_{\mathrm{D}}) = g(\mathbf{r}_{\mathrm{D}})\mathbf{P}\mathrm{e}^{-i\mathbf{k}_{\mathrm{f}}\mathbf{r}}.$$
 (1.57) {EGhalfway1}

As function of r, this is a plane wave that comes out of the scattering target and travels with wavevector  $\mathbf{k}_{\mathrm{f}} := K\hat{\mathbf{r}}_{\mathrm{D}}$  towards the detector (Fig. 1.1). To work this out, we project onto a polarization analyzer direction  $\hat{\mathbf{u}}_{\mathrm{f}}$ ,

$$\hat{\boldsymbol{u}}_{f}^{\mathsf{T}}\boldsymbol{G}_{0}^{\infty}(\boldsymbol{r},\boldsymbol{r}_{\mathrm{D}}) = g(r_{\mathrm{D}})\boldsymbol{\Phi}_{\mathrm{d}}^{\mathsf{T}}(\boldsymbol{r}) \tag{1.58}$$

with the plane wave

$$\mathbf{\Phi}_{\mathrm{d}}(\mathbf{r}) \coloneqq (\mathbf{P}\hat{\mathbf{u}}_{\mathrm{f}})\mathrm{e}^{-i\mathbf{k}_{\mathrm{f}}\mathbf{r}}.\tag{1.59}$$

The analogous projection of the distorted-wave far-field Green function shall now be written

$$\hat{\boldsymbol{u}}_{f}^{\mathsf{T}}\boldsymbol{G}^{\infty}(\boldsymbol{r},\boldsymbol{r}_{\mathrm{D}}) = g(r_{\mathrm{D}})\boldsymbol{\Phi}_{f}^{\mathsf{T}}(\boldsymbol{r}), \tag{1.60}$$

where  $\Phi_f$  obyes the distorted wave equation  $D\Phi_f = 0$  and matches  $\Phi_d$  downstream of the scattering target. For given  $\Phi_d$ ,  $\Phi_f$  is to be determined by the same means as  $\Phi_i$  for given  $\Phi_e$  (Sec. 1.3.1).

Using reciprocity (1.63), the polarization-analyzed scattered amplitude is

$$\hat{\boldsymbol{u}}_{f}^{\mathsf{T}} \langle \boldsymbol{r}_{\mathrm{D}} | \boldsymbol{\Psi}_{\mathrm{s}}^{\infty} \rangle = g(r_{\mathrm{D}}) \langle \boldsymbol{\Phi}_{\mathrm{f}} | \boldsymbol{U} | \boldsymbol{\Phi}_{\mathrm{i}} \rangle, \tag{1.61}$$

and the scattering cross section

$$\frac{\mathrm{d}\sigma}{\mathrm{d}\Omega}\Big|_{\hat{\boldsymbol{q}}_{\mathrm{f}}} = \frac{1}{16\pi^{2}} |\langle \boldsymbol{\Phi}_{\mathrm{f}} | \boldsymbol{U} | \boldsymbol{\Phi}_{\mathrm{i}} \rangle|^{2}. \tag{1.62}$$

#### 1.3.4 Reciprocity of the Green function

Our computation of  $G_{\infty}$  will be based on a source-detector reciprocity theorem for the scalar Schrödinger equation.<sup>4</sup> The theorem states: Any Green function  $G(\mathbf{r}, \mathbf{r}')$  that solves ?? and as function of  $\mathbf{r}$  represents an outgoing wave is invariant under an exchange of source location  $\mathbf{r}_{S}$  and detection point  $\mathbf{r}_{D}$ :

$$G(\mathbf{r}_{\mathrm{S}}, \mathbf{r}_{\mathrm{D}}) = G(\mathbf{r}_{\mathrm{D}}, \mathbf{r}_{\mathrm{S}}). \tag{1.63}$$

Readers not interested in mathematical details may skip the following proof:

We introduce the auxiliary vector field

$$X(r, r_{S}, r_{D}) := G(r, r_{D})\nabla G(r, r_{S}) - G(r, r_{S})\nabla G(r, r_{D}). \tag{1.64}$$

We inscribe the sample and the detector into a sphere S around the coordinate origin with radius R, and compute the volume integral

$$I(\mathbf{r}_{\mathrm{S}}, \mathbf{r}_{\mathrm{D}}) \coloneqq \int_{\mathcal{S}} \mathrm{d}^{3} r \, \nabla \mathbf{X}(\mathbf{r}, \mathbf{r}_{\mathrm{S}}, \mathbf{r}_{\mathrm{D}}).$$
 (1.65) {Eprerecipro}

After a few steps, not entirely trivial, but not too difficult either, we obtain

$$I(r_{\rm S}, r_{\rm D}) = G(r_{\rm S}, r_{\rm D}) - G(r_{\rm D}, r_{\rm S}).$$
 (1.66) {EIBD}

Alternatively, we can compute I as a surface integral

$$I(\mathbf{r}_{\mathrm{S}}, \mathbf{r}_{\mathrm{D}}) = \int_{\partial S} d\boldsymbol{\sigma} \, \mathbf{X}(\mathbf{r}, \mathbf{r}_{\mathrm{S}}, \mathbf{r}_{\mathrm{D}}). \tag{1.67}$$

On the surface  $\partial S$ , G is an outgoing solution of the Helmholtz equation. As such, it has a well-known series expansion in spherical coordinates. We send  $R \to \infty$  so that we need only to retain the lowest order:

$$G(\mathbf{r}(R, \vartheta, \varphi), \mathbf{r}_{\mathrm{D}}) \doteq \frac{\mathrm{e}^{iKR}}{4\pi R} a(\vartheta, \varphi),$$
 (1.68)

$$G(\mathbf{r}(R, \vartheta, \varphi), \mathbf{r}_{\mathrm{S}}) \doteq \frac{\mathrm{e}^{iKR}}{4\pi R} b(\vartheta, \varphi).$$
 (1.69)

<sup>&</sup>lt;sup>4</sup>There exists a confusing multitude of reciprocity theorems [16]. In the end, we found it simpler to provide a derivation taylored for our application case than to refer to the literature.

The factorization of G and B and their common R dependence imply that

$$I(\mathbf{r}_{S}, \mathbf{r}_{D}) = \int_{\partial S} d\sigma (R\text{-dependent})(ab - ba) = 0.$$
 (1.70)

Comparison with (1.66) yields (1.63), which completes the proof.

#### OLD STUFF

#### exciting vs incident wave

The solution of the wave equation ?? starts with the determination of the incident wave  $\Psi_i$ . It is important to distinguish the *incident* from the *exciting* wave. They coincide in ordinary Born approximation, but not in DWBA.

The exciting wave is prepared far outside the sample by a radiation source and some optical devices. It is a superposition of plane waves, as discussed later in the context of instrumental resolution effects (??). Here we will consider a single plane wave  $\Psi_{\rm e}(r) = \hat{u}_{\rm e}e^{ik_{\rm e}r}$ . This function is defined for all r, but is physical only along the primary beam, upstream of the sample.

The incident wave  $\Psi_i$  is an exact solution of (1.48) under the boundary condition that it match  $\Psi_e$  upstream of the sample. Inside the sample it undergoes refraction and reflection or other modifications under the influence of the distortion field  $\Lambda$ .

#### Scattering vector q

the scattering vector<sup>5</sup>

$$q \coloneqq k_{\mathrm{f}} - k_{\mathrm{i}}.$$
 (1.71) {Eq}

<sup>&</sup>lt;sup>5</sup>With this choice of sign,  $\hbar q$  is the momentum gained by the scattered neutron, and lost by the sample. In much of the literature the opposite convention is prefered, since it emphasizes the sample physics over the scattering experiment. However, when working with two-dimensional detectors it is highly desirable to express pixel coordinates and scattering vector components with respect to equally oriented coordinate axes, which can only be achieved by the convention (1.71).

Pure quantum state|hyperpage Quantum state|pure vs mixed|hy Mixed quantum state|hyperpage Density operator|hyperpage Coherence length|(hyperpage Sample area|hyperpage Detector|statistics|hyperpage Resolution|(hyperpage

## 1.4 Coherent vs incoherent scattering

#### 1.4.1 Density operator

An eigenfunction of the vacuum wave operator  $D_0$  is a plane wave with real wavevector k. In the spinor or vector case, its polarization shall be expressed in an orthonormal base  $\{u_{\alpha}\}$  with  $\alpha = 1, 2$  (for spin 1/2 or for traverse electric field in vacuum). The corresponding eigenstate can be written as ket  $|k\alpha\rangle$ , the real-space coordinate representation as

$$\Psi_{k\alpha}(r) \equiv \langle r|k\alpha \rangle = (2\pi)^{-3/2} u_{\alpha} e^{ikr}. \tag{1.72}$$

The incident neutron beam in an actual scattering experiment is not such a *pure* state, but a statistical mixture of states, and must therefore be described by the density operator

$$\boldsymbol{\rho} \coloneqq \sum_{\boldsymbol{k}\alpha} p_{\boldsymbol{k}\alpha} |\boldsymbol{k}\alpha\rangle \langle \boldsymbol{k}\alpha|, \qquad (1.73) \quad \{\text{EdefRho}\}$$

where  $p_{k\alpha}$  quantifies the contribution of pure state  $|k\alpha\rangle$ .

#### 1.4.2 Coherence length

Per (1.42) and ??, the matrix element  $\langle \psi_i | \delta v | \psi_f \rangle$  is given by a three-dimensional integral

$$\langle \psi_{\mathbf{i}} | \delta v | \psi_{\mathbf{f}} \rangle := \int d^3 r \, \psi_{\mathbf{i}}^*(\mathbf{r}) \delta v(\mathbf{r}) \psi_{\mathbf{f}}(\mathbf{r}).$$
 (1.74) {Etrama3}

The integration domain is effectively limited to a finite z interval, where  $\delta v(\mathbf{r})$  is nonzero. The horizontal integration domain, however, is infinite within our formalism, which is of course an idealization. Obviously, physical integration limits are imposed by the finite illuminated sample area. Another limitation comes from the finite coherence length of the instrumental setup, which usually is much shorter than the sample width and length [17, 18].

While each single neutron is described by a wavefunction that allows for *coherent* superposition of different contributions to the scattered wavefunction, the final detector statistics is given by an *incoherent* sum over the differential cross sections of individual neutrons. The finite *resolution* of an experimental setup is in part due to the fact that different neutrons have different wavenumbers, originate<sup>8</sup> at different points in the moderator, and are detected at slightly different points within one detector pixel.

<sup>&</sup>lt;sup>6</sup>We assume a well aligned instrument, for which the beam footprint and the backtracked detector footprint agree within reasonable accuracy.

<sup>&</sup>lt;sup>7</sup>These two references also make clear that the theoretical description and the experimental determination of coherence lengths are difficult problems and subject of ongoing research.

<sup>&</sup>lt;sup>8</sup>It is reasonable to take the last collision in the moderator as the *origin* of a neutron ray, since collisions between neutrons and hydrogen nuclei bound in disordered matter lead to almost perfect decoherence.

This can be modeled by computing expected scattering intensities as averages over different neutrons with K,  $\hat{k}_i$ , and  $\hat{k}_f$  drawn at random from appropriate distributions.

However, this is not the full story. In the above introduction to the Born approximation we have made the standard assumption that an incoming neutron can be described by a plane wave  $\psi_i = \mathrm{e}^{i \boldsymbol{k}_i \boldsymbol{r}}$ . The wavefunction  $\psi_f$  traced back from the detector is also approximated by a plane wave. In the DWBA we allow these waves to be distorted within the sample, but when impinging on the sample they still are plane. A plane wave obviously is an idealized concept, since it has infinite lateral extension. The transverse coherence length indicates the scale beyond which this approximation becomes invalid. At larger scales, the wave fronts appear randomly distorted. Physical causes of these distortions include reflections in the neutron guide, diffraction by guide windows and other slits, and diffraction by imperfect monochromator crystals. Of course the distorted wave still admits a Fourier decomposition into plane waves with slightly different wavevectors. In practice, it is impossible to distinguish this spread of wavevectors from the incoherent spread described in the previous paragraph. The instrumental resolution function therefore accounts for both causes of wavevector distortion.

Usually, therefore, a GISANS image is an incoherent average over coherent diffraction patterns collected from many small subareas of the sample. Only horizontal sample structures on scales smaller the coherence length yield interference patterns. Structure fluctuations on larger scales produce said incoherent average of different GISANS images.

The crossover from coherent to incoherent scattering is of course a gradual one. The coherence length indicates where a certain, somewhat arbitrary degree of decoherence is reached. Under these reservations one defines a coherence spot in the cross section of an approximately plane wave as an area where the coherence is above a certain threshold. Unless the wave has been prepared in a highly anisotropic guide and slit system, this spot is about circular. Under grazing incidence conditions however, the projection of this spot onto the sample surface yields a very elongated ellipse. Therefore, the coherence length is much larger in x than in y or z direction.

#### 1.4.3 Implementation

Unless otherwise said, BornAgain simulates coherent diffraction patterns obtained by the linear superposition of scattered waves. To simulate an *incoherent* mixture of diffraction patterns, the most generic solution is a script with an outer loop that averages over several coherent computations with appropriately distributed parameters.



Currently, BornAgain does not support interferences between particles in different layers.

<sup>&</sup>lt;sup>9</sup>This has nothing to do with the distinction of transverse and longitudinal coherence length. Longitudinal coherence has to do with wavelength stability and is of no importance for elastic scattering. We are talking here about horizontal and vertical projections of the transverse coherence length.

## A Refractive Indexes for Neutrons and X-Rays

## A.1 Introduction

For both, neutrons and X-rays, the refractive index n is defined as (1.51)

$$n \equiv 1 - \delta + i\beta. \tag{A.1}$$

where  $\delta$  and  $\beta$  are defined in a different way for neutrons and X-rays.

### A.2 Calculation for neutrons

For unpolarized neutrons,  $\delta$  and  $\beta$  are calculated in a following way 19:

$$\delta = \frac{Nb\lambda^2}{2\pi}, \quad \beta = \frac{N\alpha_a\lambda}{4\pi} \tag{A.2}$$

where N is the atomic number density, b is the coherent scattering length,  $\lambda$  is the neutron wavelength,  $\alpha_a$  is the absorption cross-section. Nb is also called neutron scattering length density (SLD) and can be calculated using the online calculators. b and  $\alpha_a$  are to be found in tables [20]. N is calculated as

$$N = \frac{N_a}{V} \tag{A.3}$$

where  $N_a = 6.022 \times 10^{23} \text{ mol}^{-1}$  is the Avogadro constant and V is the molar volume (cm<sup>3</sup>/mol) evaluated as:

$$V = \frac{M}{\rho} \tag{A.4}$$

Here M is the molar mass (g/mol) of the material and  $\rho$  is the mass density (g/cm<sup>3</sup>). It is important to mention, that for the complex materials, M, b and  $\alpha_a$  are calculated as a sum of those for the compounds.  $\alpha_a$  in the table [20] is given for the neutron velocity of 2200 m/s and must be recalculated for the considered  $\lambda$ . For this recalculation assumption that  $\alpha_a \propto 1/v$ , where v is the neutron velocity, is used. Since  $v \propto 1/\lambda$ , for the given wavelength one can use the following expression:

$$\alpha_a(\lambda) = \alpha_a(2200 \text{ m/s}) \cdot \frac{\lambda}{1.798} \tag{A.5}$$

where  $\lambda$  is the wavelength in Å and 1.798 Å is the wavelength corresponding to the neutron velocity of 2200 m/s.

**Example.** In the following example we calculate the  $\delta$  and  $\beta$  for the GaAs using the aforementioned expressions. Molar masses can be taken from the periodic table.

$$M_{Ga} = 69.723 \text{ g/mol}$$
  
 $M_{As} = 74.921595 \text{ g/mol}$   
 $M_{GaAs} = M_{Ga} + M_{As}$   
 $\rho_{GaAs} = 5.32 \text{ g/cm}^3$ 

Incoherent scattering lengths and absorption cross-sections are taken from the table 20.

$$b_{Ga} = 7.288 \times 10^{-13} \text{ cm}$$
 $b_{As} = 6.58 \times 10^{-13} \text{ cm}$ 
 $b_{GaAs} = b_{Ga} + b_{As}$ 
 $\alpha_a(Ga) = 2.75 \times 10^{-24} \text{ cm}^2$ 
 $\alpha_a(As) = 4.5 \times 10^{-24} \text{ cm}^2$ 
 $\alpha_a(GaAs) = \alpha_a(Ga) + \alpha_a(As)$ 

Let's consider that  $\lambda = 12$  Å. For this wavelength, the  $\alpha_a(GaAs)$  is recalculated as

$$\alpha_a(GaAs, 12 \text{ Å}) = \alpha_a(GaAs) \cdot \frac{12}{1.798} = 48.38179 \times 10^{-24} \text{ cm}^2$$

Finally, using these values in the equation (A.2), we obtain

$$\delta = 7.04 \times 10^{-5}$$
$$\beta = 1.0233 \times 10^{-8}$$

**Comment.** For the case of absorption processes included,  $\delta$  and  $\beta$  may be expressed in the following form [21]:

$$\delta = \frac{\lambda^2 N}{2\pi} \sqrt{b^2 - \left(\frac{\sigma_r}{2\lambda}\right)^2}, \quad \beta = \frac{\sigma_r N \lambda}{4\pi}$$
(A.6)

where  $\sigma_r = \alpha_a + \sigma_i$  is the sum of the absorption and incoherent scattering cross sections.

## A.3 Case of polarized neutrons

For the spin-polarized neutrons scattered on the magnetic multilayers, the magnetic scattering length  $b_m$  must be taken into account. It can be expressed in the form [22]

$$b_m = 1.913e^2 S/m_e (A.7)$$

where S is the spin of the magnetic atom in the direction perpendicular to the momentum transfer  $\mathbf{q}$  and e and  $m_e$  are the charge and mass, respectively, of the electron. The total coherent scattering length is then

$$b_{\text{total}} = b_{\text{nuclear}} \pm b_m \tag{A.8}$$

where the sign  $\pm$  corresponds to the beam being polarized parallel or antiparallel to the magnetization direction of the sample [22]. Values for magnetic scattering lengths can be found in tables [23, 5, 21, 20, 24].

### A.4 Calculation for X-rays

In the case of X-rays scattering originates from the strong variations of the mean electronic density as a homogeneous medium does not scatter [25]. Thus, the dispersion  $\delta$  and absorption contribution  $\beta$  are expressed in the following form [25].

$$\delta(\mathbf{q}, \lambda) = \frac{e^2 \lambda^2}{8\pi^2 m_e c^2 \varepsilon_0} \cdot \rho \cdot \frac{\sum \left[ f_k^0(\mathbf{q}, \lambda) + f_k'(\lambda) \right]}{\sum M_k}$$
(A.9)

$$\beta = \frac{e^2 \lambda^2}{8\pi^2 m_e c^2 \varepsilon_0} \cdot \rho \cdot \frac{\sum f_k''(\lambda)}{\sum M_k}$$
(A.10)

where c is the speed of light,  $\varepsilon_0$  is the permittivity constant,  $M_k$  is the atomic weight of the atom k, and  $f_k''$  are the dispersion corrections [25] or atomic scattering factors [26]. The summation is performed over all compound atoms k. For the very high photon energies,  $f_k^0$  approaches  $Z_k^*$ , which is expressed as [26]:

$$Z_k^* = Z_k - \left(\frac{Z_k}{82.5}\right)^{2.37} \tag{A.11}$$

where  $Z_k$  is the atomic number. Tables for the atomic scattering factors can be found in [26]. There are online calculators for the refractive indexes available in [27].

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## List of Symbols

```
β
                  Imaginary part of the refractive index, 1:7
δ
                  Small parameter in the refractive index n = 1 - \delta + i\beta, 1:7
                  Vacuum permittivity, 8.854...As/Vm, 1:3
\epsilon_0
                  Relative dielectric permittivity function, 1:3
\epsilon(\boldsymbol{r})
\epsilon(r)
                  Relative dielectric permittivity tensor, 1:3
\Lambda(r)
                  Distortion field, 1:6
                  Absolute value of the magnetic moment of the neutron, 1.91\mu_N, 1.2
\mu
\mu(r)
                  Relative magnetic permeability tensor, 1:3
\hat{\rho}
                  Density operator, 1:4
\rho(\boldsymbol{r})
                  Electron number density, 1:3
                  Number density of chemical element s, 1:2
                  Scattering or absorption cross section, 1:8
                  Pauli vector, composed of the three Pauli matrices: \boldsymbol{\sigma} = (\sigma_x, \sigma_y, \sigma_z), 1:2
\psi(\boldsymbol{r})
                  Stationary wavefunction, 1:1
\psi(\boldsymbol{r},t)
                  Microscopic neutron wavefunction, 1:1
\psi_{\rm s}({\bm r})
                  Scattered wavefunction, 1:8
\Psi_{\rm i}(r)
                  Incident wavefunction, 1:11
\Psi_{\mathrm{e}}(r)
                  Exciting wave, 1:11
\Psi(r)
                  Generic wave amplitude, possibly vectorial or spinorial, 1:4
                  Frequency of incident radiation, 1:1
\Omega
                  Solid angle, 1:8
                  Bound scattering length, 1:2
```

```
D_0(r)
```

 $\boldsymbol{B}(\boldsymbol{r},t)$ 

Differential operator in the vacuum wave equation, 1:4

D(r)Differential operator in the wave equation, 1:6

Magnetic field, 1:3

 $\boldsymbol{D}(\boldsymbol{r},t)$ Displacement field, 1:3

 $\boldsymbol{E}(\boldsymbol{r},t)$ Electric field, 1:3

Subscript "final", 1:5

G(r, r')Generic (possibly tensorial) Green function, 1:7

 $m{G}^{\infty}(m{r},m{r}')$ Far-field approximation to the Green function  $G(\mathbf{r}, \mathbf{r}')$ , 1:9

Rescaled field  $\boldsymbol{b} = (m\mu/2\pi\hbar^2)\boldsymbol{B}$ , 1:3  $\boldsymbol{b}(\boldsymbol{r})$ 

 $\boldsymbol{B}(\boldsymbol{r},t)$ Magnetic induction, 1:2

i Subscript "incident", 1:11

 $\boldsymbol{J}(\boldsymbol{r})$ Flux, 1:5

 $\boldsymbol{k}$ Wavevector, 1:4

KWavenumber in vacuum, 1:1

Refractive index, 1:7 n

Weight of state  $ket \mathbf{k} \alpha$  in the density operator, 1:4  $p_{\mathbf{k}\alpha}$ 

Scattering vector, 1:11  $\boldsymbol{q}$ 

Classical electron radius  $2.817...^{-15}$  m, 1:3 $r_e$ 

Position, 1:1 r

Position of detector, 1:10  $r_{
m D}$ 

Position of source, locus of scattering, 1:10  $r_{
m D}$ 

Subscript "scattered", 1:8

SPoyinting vector, 1:5

Time, 1:1

U(r)Perturbation potential, 1:6

 $v(\boldsymbol{r})$ Rescaled neutron potential, scattering length density (SLD), 1:2

 $V(\boldsymbol{r})$ Neutron potential, 1:1

V(r)Generic potential, 1:4

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