Photochemistry at structured surfaces: a classical electromagnetic approach

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This review article discusses several important aspects of photochemistry at structured metallic surfaces. The electromagnetic field above the surface is calculated using the Rayleigh expansion. Conditions under which this expansion is valid and simplifying approximations which make it easier to use are discussed in detail. This formalism is then applied to three different but related phenomena. First, the photodissociation rate of a molecule above a surface is calculated for laser frequencies at or near the surface plasmon resonance. It is found that there is an optimal molecule–surface distance for photodissociation. Then the absorption lineshape of a molecule is considered, where both Fano and Lorentzian lineshapes are found to be distorted as the molecule approaches the surface. Finally, laser-induced periodic deposition is discussed, and a model is developed to describe the growth rate of a cadmium grating.

1. Introduction

Catalysis and control of chemical reactions is one of the most important tasks of a chemist. Many different methods have been tried to achieve both selectivity and high product yields. One of the best methods now available is laser chemistry, which permits the chemist a great deal of control. Laser-controlled chemical reactions have been studied for the past decade (George 1982). A second popular method of catalysing reactions is on surfaces, in particular metal surfaces, such as platinum, have long been used in organic chemistry. It is thus timely and important to inquire into the dual effects of these mechanisms combined. Hence the topic of this review article concerns the interaction of laser light with a surface, and the chemistry which can thereby be accomplished.

While more conventional laser chemistry has long been done in bulk and gas-phase material, the possibility of enhancing reaction rates near a surface has been a tantalizing prospect ever since the discovery of the dramatic surface-enhanced Raman scattering (SERS) (Fleischmann et al. 1974) from pyridine adsorbed on silver electrodes. It has subsequently been learned that the most important single factor, at least for physisorbed molecules, in achieving this surface enhancement is the roughness of the substrate surface. Surface roughness couples with the radiation field to produce a plasmon along the surface, which in turn produces a large field near the surface under resonance conditions. This accounts for the SERS effect just described.

The possibility of using this enhanced surface field to effect photochemistry above and on the surface has been much studied for ten years. A review of the experimental literature was written by Goncher et al. (1984). The present review concentrates on some theoretical aspects of the problem, and discusses some models to account for photodissociation above a surface and laser-induced deposition on a surface.

The major concern here is the application of classical electromagnetic (EM) theory to the study of possible photochemical processes occurring in the vicinity of a structured metallic surface. To this end, we and others have found the Rayleigh expansion of the surface EM fields invaluable in making the calculations both tractable and accurate. In the next section we review when and under what circumstances the Rayleigh expansion is valid and shall also discuss various approximations which make practical calculations easier, paying special attention to the surface plasmon effect. In Section 3 we consider an application of the expansion to the calculation of the photodissociation dynamics of a molecule above a rough surface. In this case our use of the Rayleigh expansion is justified everywhere as we are considering a shallow grating. In Section 4 we consider the absorption lineshape of a molecule above a surface. Here we also consider the coupling between the molecule and the surface plasmon along a shallow grating. In Section 5 we use the Rayleigh expansion where it is exact (above the selvedge region) but also employ an approximate method of calculation valid for deeper gratings. This will permit us to discuss laser-induced chemical vapour deposition as recently observed (Brueck and Ehrlich 1982). Finally, there is a brief conclusion in Section 6.

2. The Rayleigh expansion

The Rayleigh expansion has been widely used and discussed in the literature (Rayleigh 1907, Fano 1941, Petit 1980). Briefly, this expansion is a solution of the homogeneous Helmholtz equation

$$\Delta \mathbf{u} + k^2 \mathbf{u} = 0 \tag{1}$$

where $\mathbf{u}$ represents the electric field $\mathbf{E}$ or the magnetic field $\mathbf{H}$, depending on the polarization. Maxwell's equations reduce to this simple form for time-harmonic fields in the absence of sources. Hence for light irradiating a rough surface, the Rayleigh expansion is an exact solution to Maxwell's equations outside the selvedge region. Inside the selvedge region the situation is much more complicated given the charges/currents along the surface. Then equation (1) becomes inhomogeneous and other methods have to be found to solve the equation.

The Rayleigh hypothesis states that the Rayleigh expansion, exact above the selvedge region, is also a solution within the selvedge region as long as the grating is shallow. This turns out to be reasonably accurate (Glass and Maradudin 1981) provided $\xi_1/\lambda < 0 \cdot 1$, where ξ_1 is the grating amplitude (more generally, we define ξ_n as being the Fourier amplitude of the k_n wavenumber) and λ is the grating wavelength. Beyond this point the Fresnel matrix becomes ill-conditioned and hence precludes a solution of the Rayleigh equations. Agassi and George (1986 a, b) have developed a means to prevent these numerical difficulties and are able to solve the Rayleigh equations for gratings of arbitrary height. They go on to maintain that this is in fact the exact solution for certain kinds of gratings, even within the selvedge region. While we now begin to question this latter statement, we shall nevertheless find Agassi and George's dressed expansion to be very useful outside the selvedge region where its validity is guaranteed.

Let $\mathbf{u}$ of equation (1) refer to the electric field (p-polarization). Suppose also that we have a periodic grating with wavenumber k_g. The incident light with wavenumber $k = \omega_0/c$ is of intensity E_i. The surface lies along the $z = 0$ plane, separating two dielectrics of complex constants $\varepsilon(0)$ and $\varepsilon(1)$ above and below the surface respectively.

Without loss of generality we shall henceforth assume that $\varepsilon(0) = 1$, and hence we can refer to $\varepsilon(1)$ simply as ε. Then we can write

$$E_a = C_0(0)\mathbf{p}_{\alpha -}(0)\exp{(i[k_0 x - \alpha_0 z])} + \sum_{l=-\infty}^{\infty} A_l \mathbf{p}_{\alpha +}(l)\exp{(i[k_l x + \alpha_l z])} \qquad (2)$$

$$z > \xi(x)$$

$$E_b = \sum_l \mathbf{p}_{\beta +}(l)C_l \exp{(i[k_l x - \beta_l z])}$$

$$z < \xi(x)$$

where

$$k = \frac{\omega}{c} \qquad \varepsilon = \varepsilon_1 + i\varepsilon_2 \qquad \varepsilon_1 < -1$$

$$k_l = k_t + lk_g \qquad \alpha_l = (k^2 - k_l^2)^{1/2} \qquad \begin{matrix} Im\,\alpha > 0 \\ \alpha_0 > 0 \end{matrix} \qquad (3)$$

$$\beta_l = (\varepsilon k^2 - k_l^2)^{1/2} \qquad Im\,\beta_l > 0$$

$$\mathbf{p}_{\alpha \pm}(l) = [k_l \hat{z} \mp \alpha_l \hat{x}] \qquad \mathbf{p}_{\beta \pm}(l) = \frac{1}{k}[k_l \hat{z} \mp \beta_l \hat{x}]$$

and the condition on ε_1 is the surface plasmon condition.
A similar pair of equations exists for the magnetic field.

$A_0(l)$ and $C_1(l)$ can be found by matching the boundary conditions. It is clear that $C_0(0)$ represents the amplitude of incoming waves and hence

$$C_0(0) = E_i \qquad (4)$$

Toigo *et al.* (1977) have devised an elegant method for solving the coupled equations that result when equation (2) is matched across the boundary. The derivation is repeated in Agassi and George (1986 a). This solution requires evaluating integrals of the form

$$\frac{1}{\lambda}\int_0^\lambda dx \exp{(i(\alpha_n - \beta_m)\xi(x))}\exp{(-i(k_n - k_m)x)} \equiv \Phi(n-m) \qquad (5)$$

where $\xi(x)$ is the surface profile function. This integral is soluble analytically for $\xi(x)$ a sinusoidal or sawtooth function (Laks *et al.* 1981).

The solution for the sinusoidal case, where ξ_1 is the amplitude of the grating, is given by Agassi and George as

$$\sum_{l=-\infty}^{\infty} M_{m,l}A_l = \mu_m E_i, \qquad (6)$$

$$\sum_{l=-\infty}^{\infty} N_{m,l}A_l = \nu_m E_i,$$

where

$$M_{m,l} = \frac{\alpha_l \beta_m + k_l k_m}{\alpha_l - \beta_m}(i)^{m-l} J_{m-l}(\xi_1[\alpha_l - \beta_m])$$

$$N_{m,l} = \frac{\alpha_l \beta_m + k_l k_m}{\beta_l - \alpha_m}(i)^{m-l} J_{m-l}(\xi_1[\alpha_m - \beta_l])$$

$$\mu_m = \frac{-\alpha_0 \beta_m + k_0 k_m}{\alpha_0 + \beta_m}(i)^m J_m(\xi_1[\alpha_0 + \beta_m]) \tag{7}$$

$$v_m = \frac{2\varepsilon}{\varepsilon - 1}\alpha_m \delta_{m,0}$$

The coefficients A_l and C_l can be determined by inverting the matrix equations (6).

Agassi and George have developed a scheme to assure convergence of the Rayleigh expansion under all circumstances. Toigo et al. (1977) have shown that it should be possible to do this. Agassi and George (1986 a) point out that

$$A_l \exp(i\alpha_l \xi(x)) \to A_l \exp(-k_g|l|\xi(x)) \qquad \text{for } |l| \to \infty \tag{8}$$

Now suppose that $\xi(x)$ has a large amplitude. Then when $\xi(x) \ll 0$ the exponential diverges, and to ensure the convergence of the total field, A_l must get exponentially small. This implies that, in order to calculate the Rayleigh coefficients, we must invert a matrix where elements $M_{m,l}$ are growing exponentially in size. Clearly this becomes unstable. We can correct this deficiency by making the transformation

$$\tilde{A}_l = A_l \exp(-i\alpha_l \xi_l) \quad \text{and} \quad \tilde{C}_l = C_l \exp(-i\beta_l \xi_l) \tag{9}$$

We can then transform equation (7) as

$$\tilde{M}_{l,m} = M_{l,m}\exp(i\alpha_m \xi_m) \quad \text{and} \quad \tilde{N}_{l,m} = N_{l,m}\exp(i\beta_m \xi_m) \tag{10}$$

whereby equation (6) becomes

$$\sum_{l=-\infty}^{\infty} \tilde{M}_{m,l}\tilde{A}_l = \mu_m E_i \tag{11}$$

which converges for arbitrary grating depth.

An alternative form for the Rayleigh expansion can be derived using Green's functions. The advantage here is that one also obtains a general form for the solution to the inhomogeneous equation which reduces to the Rayleigh expansion outside the selvedge region, as demonstrated by Toigo et al. (1977). The form for this equation outside the selvedge region is

$$\left[\sum_{0}^{\infty}\frac{k^2 - k_l k_m}{\alpha_l}H(m) - iL(m)\right]\Phi(l-m) = 2\alpha_l E_i \delta_{l,0} \tag{12 a}$$

$$\left[\sum_{0}^{\infty}\frac{\varepsilon k^2 - k_l k_m}{\beta_l}H(m) - iL(m)\right]\Phi(l-m) = 0 \tag{12 b}$$

The disadvantage of this formalism is that it involves two coupled equations which are not separable in the way that equation (6) are. One must solve for both $H(m)$ and $L(m)$ simultaneously.

Recently a perturbative technique has been developed using equation (12) which permits the solution of field intensities in the shallow grating limit (Weber 1986). The primary purpose was to calculate the dispersion relation for surface plasmons along a rough surface. Weber (1986) has extended this idea to an approximate (but quite accurate) calculation of the reflectivity. From his paper we find we can write

$$L(m) = \sum_n \frac{\tilde{\xi}_{n-m}}{\varepsilon\alpha_m + \beta_m} [\Lambda_{11}(m,n)L(n) + \Lambda_{12}(m,n)H(n)] - \frac{2i\alpha_0 k_z H(0)}{\varepsilon\alpha_0 + \beta_0}\delta_{m,0} \qquad (13)$$

and

$$H(m) = \sum_n \frac{\tilde{\xi}_{n-m}}{\varepsilon\alpha_m + \beta_m} [\Lambda_{21}(m,n)L(n) + \Lambda_{22}(m,n)H(n)] - \frac{2i\alpha_0 k_z H(0)}{\varepsilon\alpha_0 + \beta_0}\delta_{m,0} \qquad (14)$$

where $\tilde{\xi}_{n-m}$ is a function of $\Phi(m,n)$ which reduces to the $(n-m)$th Fourier component of $\xi(x)$ in the shallow grating limit. Λ_{jk} is a 2×2 matrix which depends only on the quantities defined in equation (3), and k_z is the perpendicular component of the incident field. As mentioned previously, these equations are fundamentally the same as equation (6) above the selvedge region.

Let us now define the vector

$$\Psi_m \equiv \begin{bmatrix} L_m \\ H_m \end{bmatrix} \qquad (15)$$

whereby we can write equations (14) and (15) as

$$\Psi_m = \phi_0 \delta_{m,0} + \sum_n \frac{V_{mn}}{\omega_m^2 - \omega^2}\Psi_n \qquad (16)$$

where

$$\omega_m \equiv c^2 k_m^2 \frac{\varepsilon + 1}{\varepsilon}$$

and ϕ_0 is a vector containing the rightmost terms of equations (14) and (15). V_{mn} is a 2×2 matrix which depends on Λ and also on $\tilde{\xi}_{n-m}$.

Now suppose that three modes are at or near resonance with the surface plasmon. Obviously we have to include the specular reflection as being significant since we are interested in calculating the reflectivity. Furthermore, we should include two resonant frequencies, for at least $+k_r$ and $-k_r$ will be resonant. We can then separate out these terms from equation (16) to yield

$$\Psi_m = \phi_0 \delta_{m,0} + \sum_{n=0,m_1,m_2} \frac{V_{mn}}{\omega_m^2 - \omega^2}\Psi_n + \sum_{n \neq 0,m_1,m_2} \frac{V_{mn}}{\omega_m^2 - \omega^2}\Psi_n \qquad (17)$$

For non-resonant terms $(n \neq 0, m_1, m_2)$ we can make the approximation

$$\Psi_p = \sum_{n=0,m_1,m_2} \frac{V_{pn}}{\omega_p^2 - \omega^2}\Psi_n, \qquad p \neq 0, m_1, m_2 \qquad (18)$$

Substituting this back into equation (17) and doing some algebra, we get

$$\Psi_m = \phi_0 \delta_{m,0} + \sum_{n=0,m_1,m_2} \left[V_{mn} + \sum_{p \neq 0,m_1,m_2} \frac{V_{mp}V_{pn}}{\omega_p^2 - \omega^2} \right] \Psi_n (\omega_m^2 - \omega^2)^{-1/2} \qquad (19)$$

Recalling that V_{mp} is a 2×2 matrix, we are led to a 6×6 matrix equation for ψ_m. However, for modes that are resonant we can use the relation

$$L(n) = \frac{\beta_n}{\varepsilon} H(n) \qquad \text{for} \qquad n = 0, m_1, m_2 \qquad (20)$$

Then the system reduces to a 3×3 matrix which can be solved analytically.

Weber numerically tested this method against the exact theory. His model was a silver surface with a sawtooth grating profile, $\lambda = 8000$ Å. The incident frequency was varied between about 2·15 and 2·25 eV, with the 'plasmon dip' in the reflectivity observed at about 2·21 eV (see figure 1). For a grating height of 300 Å the approximate method corresponds almost exactly to the exact calculation. For $\xi_1 = 600$ Å some error is introduced but the method still works remarkably well. The result as a function of grating height is shown in the table.

Our group has found an even simpler method for calculating the plasmon field intensity at resonance (Jelski and George 1987). Rather than use the extinction theorem results of equation (12) as Weber did, we use the Rayleigh–Fano expansion of equation (2). This implies that we need not introduce the vector Ψ_n as Weber does, but since the equations are separable we obtain a scalar equation. However, since we restrict ourselves to the resonance frequency, we can further simplify the problem by neglecting

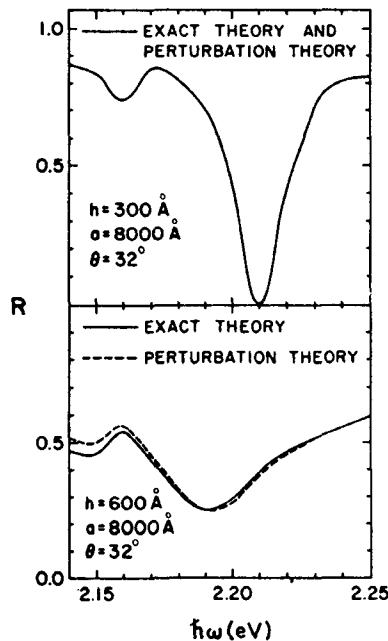Figure 1.   Reflectivity as a function of photon energy of the sawtooth profile grating for two values of the grating height h. The solid line is the exact result and the dashed line is the perturbation theory result. In (a) the two curves are coincident to within graphical accuracy, (b) is for the maximum grating height for which the exact theory converges. (Reproduced from Weber (1986) with permission of the author.)

Percentage error of Weber's mode-coupling perturbation calculation: reflectivity versus height over the range of grating heights for which the exact theory (undressed) converges. Frequency and angle (2·215 eV and 32°) were chosen so that that the minigap region of the surface polariton dispersion curve is being probed. The surface is a silver sawtooth grating with a wavelength of 8000 Å. (Reproduced from Weber (1986) with permission of the author.)

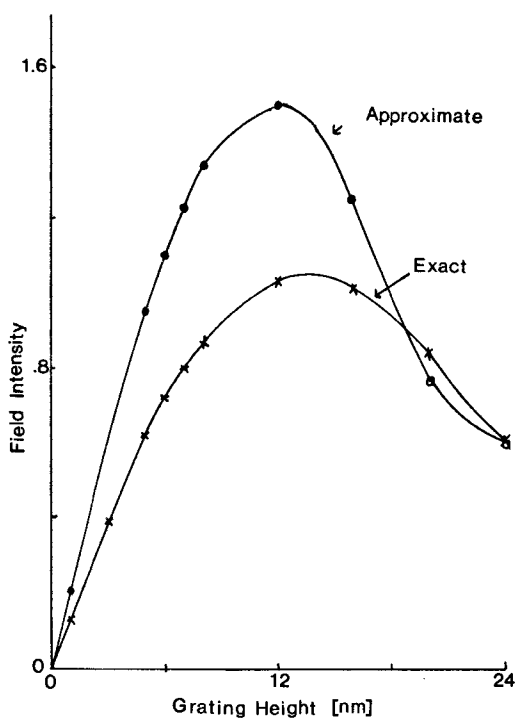| Height (nm)	R (exact)	R (Weber's method)	Error (%)
50	0·855	0·856	0·117
100	0·566	0·570	0·707
200	0·163	0·155	4·910
300	0·184	0·158	14·10
400	0·298	0·273	8·390
500	0·380	0·363	4·470
600	0·422	0·413	2·130

Figure 2. Plot of the plasmon field strength (A_1) calculated from equation (26) using the depressed Rayleigh expansion described in the text. This is compared with the exact calculation. The dielectric constant used is $-2·5 + 1·3\,i$, the incident light has a wavelength of 257 nm, and the grating wavenumber is taken as $2·95 \times 10^7\,\mathrm{m}^{-1}$.

specular reflection. Hence our method will not yield accurate values for the reflectivity away from resonance. We have developed it to calculate the plasmon intensity as a function of grating height. In this application it appears quite suitable (see figure 2), and the results compare favourably with those of Weber. We shall investigate the application more in Section 5. Unlike Weber, our formalism is applied to a sinusoidal surface, and hence we can use the results embodied in equations (6) and (7).

We begin with equation (6). Let us assume for specificity that A_1 is resonant, and hence

$$A_1 \gg A_m \qquad m \neq 1 \tag{21}$$

Then we can rewrite equation (6) as

$$M_{11}A_1 + \sum_{m \neq 1} M_{1,m}A_m = \mu_1 E_i \tag{22}$$

or

$$A_1 = \frac{\mu_1 E_i + \sum\limits_{m \neq 1} M_{1m}A_m}{M_{11}} \tag{23}$$

The similarity in spirit to Weber's derivation should now be obvious. Continuing in that vein, we approximate A_m as

$$A_m = \frac{\mu_m E_i - M_{m,1}A_1}{M_{mm}} \tag{24}$$

and substituting this into equation (23), we obtain

$$A_1 \cong \frac{\left(\mu_1 - \sum\limits_{p \neq} \dfrac{M_{1p}}{M_{pp}}\mu_p\right)E_i}{M_{11} - \sum\limits_{p \neq 1} \dfrac{M_{1p}M_{p1}}{M_{pp}}} \tag{25}$$

For normal incidence, however, it is not possible to ignore the A_{-1} term since, by symmetry, $A_1 = A_{-1}$. Including this effect we get

$$A_1 \cong \frac{\left(\mu_1 - \sum\limits_{p \neq 1}(M_{1p} + M_{1-p})\dfrac{\mu_p}{M_{pp}}\right)E_i}{(M_{11} + M_{1-1}) - \sum\limits_{p \neq 1}(M_{1p} + M_{1-p})(M_{p1} + M_{p-1})\dfrac{1}{M_{pp}}} \tag{26}$$

To ensure convergence we can use the dressed form of these equations as previously discussed.

The results of this method are shown in figure 2. We see that the approximate method overstates the exact result, but that it is qualitatively correct. On comparison with Weber's data (table), we find the same qualitative behaviour despite the differences in the model studied. How does our method compare with that of Weber? The first obvious fact is that we have neglected the specular reflection from our calculation. Hence our calculation of the reflectivity is obviously not possible. However, at plasmon

resonance the reflection may be considered small and hence neglected. Thus our method is suitable for calculating resonance plasmon field intensities. Weber has also included two other resonant frequencies, m_1 and m_2. We have done the same for the case of normal incidence. For other cases it would seen unlikely that there would be two resonant frequencies very close together. Hence the restriction of normal incidence is probably not severe from the standpoint of practical application. In conclusion, we note that while Weber's method is more general, ours is easier to use and it seems that the derivation is more transparent. Further, under conditions where our method applies it appears to be just as accurate.

We continue our discussion of the Rayleigh expansion by considering an important special case, namely the shallow grating limit. In this case $\Phi(n-m)$ can be expanded to first order in $\xi(x)$. This has been discussed in an excellent review by Maradudin (1982), and it is also the approach taken by Jha *et al.* (1980). We shall use these results in Section 3. To first order in $\xi(x)$, we have

$$\Phi(n-m) \approx \delta_{n-m} + i(\alpha_n - \beta_m)\xi_{n-m} \tag{27}$$

In this case, equations (7) simplify to

$$M_{m,l} = i^{m-l}(\alpha_n\beta_m + k_lk_m)\xi_{n-m} \qquad m \neq l$$

$$M_{m,m} = \frac{\alpha_m\beta_m + k_m^2}{\alpha_m - \beta_m} \tag{28}$$

$$\mu_m = i^m(-\alpha_0\beta_m + k_0k_m)\xi_m$$

If we insert these results into equation (26), we get the first-order approximation for the plasmon field intensity. The result (with different notation) is given in the next section by equations (35) and (36) and will be discussed further in Section 5. Similarly, by setting

$$M_{11} = 0 \tag{29}$$

one recovers the flat surface dispersion relation. For real ε this is given by equation (37). The case of complex ε will be discussed in Section 5.

We close by considering some attempts to solve the inhomogenous equation valid in the selvedge region. This has been done analytically for the case of the square well grating (Sheng *et al.* 1982). The result has been extended (Lee and George 1985) by taking advantage of the scheme depicted in figure 3. It is possible to determine the field strength at each layer (exactly) from the result for the previous layer. A recursion relation thus develops which gives the total field everywhere exactly.

3. Photodissociation

While both vibrational and electronic molecular spectroscopy on rough metallic surfaces have been studied extensively (Avouris and Peterson 1984, Moskovits 1985), the general area of photochemistry at such surfaces has also attracted much activity in recent years (Goncher *et al.* 1984). In particular, the process of photodissociation of gas molecules at such surfaces is of great interest since it is the first step that one must study in order to understand and control the various phenomena ranging from the deposition of molecules (Brueck and Ehrlich 1982) (See Section 4) to laser-induced heterogeneous catalysis (Lin *et al.* 1984). In this section, we shall explore briefly both experimental and theroretical work done in recent years in this area. We shall
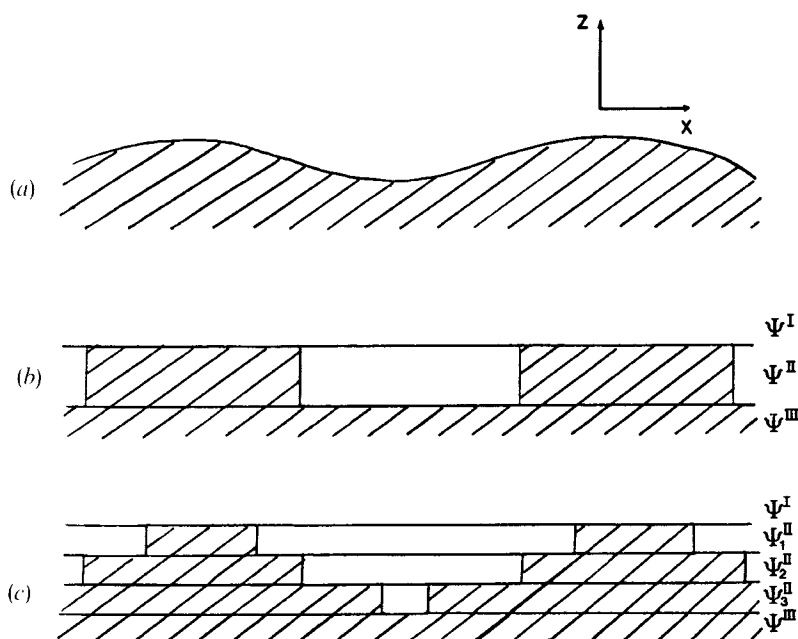
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Figure 3. (*a*) Sinusoidal grating. The cross-hatched area represents the metal. (*b*) Square-well grating showing a separation into three layers, one of which is periodic in the x-direction and two of which are uniform. (*c*) Generalization of the square-well grating in which there are three periodic layers.

emphasize the roughness and surface plasmon excitations of metallic surfaces, in contrast to some previous reviews on spectroscopy where other excitations such as electron-hole pairs and phonons have been stressed, in which cases the role of the surface roughness has been minor (Avouris and Peterson 1984). Furthermore, we shall limit ourselves mainly to physisorbed molecules where bonding between the admolecule and the surface can be neglected. For the case of chemisorbed molecules due to charge-transfer processes occurring between the admolecule and the surface (Lundqvist 1984), the problem has become more complicated, since under these circumstances photodesorption will accompany photodissociation of the admolecules as a competing process, which requires a more difficult theoretical analysis. Nevertheless, experimental work has been done along these lines (Bourdon *et al.* 1984, 1986).

We begin by reviewing some experiments recently done on the photofragmentation of physisorbed molecules on rough metallic surfaces. The first one we would like to mention is that carried out at Lincoln Laboratory (Ehrlich and Osgood 1981) in which metal–alkyl compounds are deposited on a host substrate with both gas and liquid adlayers coexisting on the substrate. Photodissociation of such absorbates is studied by using a UV laser of weak intensity (~ 3 mW) at 257·2 nm and for two different metal alkyls, dimethyl cadmium, $Cd(CH_3)_2$, and hexamethyl aluminium, $Al_2(CH_3)_6$. It is found that for the case of $Cd(CH_3)_2$, most of the dissociation occurs in the gas phase well above the substrate, and for the case of $Al_2(CH_3)_6$ most of the dissociation occurs

well into the adlayers. This seems to imply an optimal molecule–surface distance at which maximum dissociation occurs. Indeed, in performing an experiment of photodecomposition of pyridine molecules adsorbed on roughened silver Ag(110) surface at 406·7 nm laser frequency, a group at Berkeley (Goncher *et al.* 1984) observed the existence of such an optimal distance. The next experiment we mention is that carried out by the Exxon group (Garoff *et al.* 1982), where photodegradation of dye molecules (rhodamine 6G) by a visible laser of $\sim 0\cdot1$ W/cm^2 has been carried out on top of a silver-island film on a silica substrate. Enhanced photodegradation is hardly observed in this experiment, but rather for molecules close to the silver islands, a decreased fragmentation rate is seen. On the other hand, an experiment conducted by Columbia researchers has reported the observation of enhanced photodissociation of organometallic molecules at metallic island surfaces (Chen and Osgood 1983). In this experiment, the same UV (257·2 nm) laser (Ehrlich and Osgood 1981) is used to dissociate $Cd(CH_3)_2$ on top of a dielectric substrate which is covered by a mixture of spherical cadmium and gold pellets. These spheres are observed to grow to ellipsoids due to subsequent deposition of the Cd molecules following the dissociation process. Enhanced growth rate has been observed for Cd spheres but not for Au spheres. As we shall see below, these seemingly contradictory observations (Garoff *et al.* 1982, Chen and Osgood 1983) can be explained by introducing the concept of a critical molecule–surface distance into the description of the dissociation phenomena. Let us first review briefly some theoretical work which helps serve as a basis for such a concept.

Ever since the first observation of surface-enhanced Raman scattering (SERS) (Fleischmann *et al.* 1974), a large amount of effort has been devoted to the theoretical explanation of this phenomenon and the investigation of the possible surface enhancement of other photochemical processes (Chang and Furtak 1982, Moskovits 1985). To this latter effort, we want to mention in particular the work by Nitzan and Brus (1981), Weitz *et al.* (1983) and Gersten and Nitzan (1985), who have studied both resonant and non-resonant processes including Raman, resonance Raman, fluorescence and photoabsorption phenomena. In most of these cases, the four-level model has been found to be quite successful in the explanation of these various phenomena (Weitz *et al.* 1983). The main physical mechanisms have been identified to include the image effect, the shape (lightening rod) effect and the surface plasmon (SP) effect. While the first one is found to be very small in ordinary SERS, the last one is viewed as the main mechanism leading to such dramatic enhancement. This is true at least for physisorbed molecules in which the bonding effect between the admolecule and surface can be neglected, though the situation may be different for chemisorbed molecules (McCall and Platzman 1980). Two conditions must be met for the plasmon enhancement effect to be plausible, namely, the metallic surface must be rough and the incident light frequency should satisfy the SP resonance condition. Roughness implies the excitability of SP, and the resonance condition ensures a large magnitude of the SP field which then leads to strong absorption by the molecular system on top of the surface. These investigators have modelled the surface roughness as a collection of very tiny spheres and have provided specific details for an isolated sphere and the case with two neighboring spheres (Gersten and Nitzan 1985). Furthermore, they have extended their investigation to the possibility of surface-enhanced photodissociation for the case of direct (fast) dissociation. This latter process can be treated on the same footing as the absorption process since the dissociation takes place on a time scale of the order of 10^{-14} s following absorption, leading to a yield of almost unity for such reactive processes (Nitzan and Brus 1981). To calculate this absorption/dissociation cross-

section, the classical approach has been taken in which the molecule is modelled as a point dipole (μ) satisfying the damped oscillator equation

$$\ddot{\mu}(t) + (\omega_M^0)^2 \mu(t) + \gamma_M^0 \dot{\mu}(t) = (\omega_M^0)^2 \alpha_M E(\omega, t) \tag{30}$$

where ω_M^0 and γ_M^0 are, respectively, the molecular frequency and decay rate in the absence of the surface, α_M is the molecular polarizability, and $E(\omega, t) = E(\omega) \exp(-i\omega t)$ is the external field at the site of the molecule. Let us write this field in the form

$$E(\omega) = E_0 + E_r + E_{sp} + E_{im} = [1 + A(\omega)] \cdot E_0(\omega) + G(\omega) \cdot \mu(\omega) \tag{31}$$

where each term stands for the incident, reflected, surface plasmon and image fields, respectively, and the coefficients $A(\omega)$ and $G(\omega)$ are in general tensors. A Fourier analysis of equation (30) then admits the solution

$$\mu(\omega) = \frac{\alpha_M(\omega_M^0)^2}{\omega_M^2 - \omega^2 - i\omega\gamma_M} \hat{n}_\mu \cdot [1 + A] \cdot \varepsilon_0 \tag{32}$$

where $\hat{n}_\mu$ is the unit vector of the direction of the molecular dipole and we have assumed $E_0 = \varepsilon_0 \exp(-i\omega t)$. Note that ω_M and γ_M are, respectively, the 'surface-modified' frequency and decay rate which are to be determined by the image field $G(\omega) \cdot \mu(\omega)$ in equation (31) (Gersten and Nitzan 1985). Using equation (32), the Poynting flux absorbed by the molecular system has been calculated (Gersten and Nitzan 1985), and together with the result for the incident flux this leads to the absorption cross-section

$$\sigma(\omega) = 2\pi c \alpha^2 a_0 |\hat{n}_\mu \cdot [1 + A] \cdot \hat{n}_0|^2 \frac{\gamma_M}{(\omega - \omega_M)^2 - \left(\frac{\gamma_M}{2}\right)^2} \tag{33}$$

where $\hat{n}_0 = \varepsilon_0/\varepsilon_0$, α is the fine structure constant and a_0 the Bohr radius. It is clear from equation (33) that $\sigma(\omega)$ exhibits the general Lorentzian structure and that surface effects enter into the absorption/dissociation process via the terms $A(\omega)$, ω_M and γ_M. Since under most circumstances the change of the molecular frequency due to the presence of the image field is negligible (Chance et al. 1978), we shall assume $\omega_M \cong \omega_M^0$ in most of our discussion below. It then becomes clear from equation (33) that two competing mechanisms exist for such processes due to the presence of the surface, namely, the enhanced local field ($A(\omega)$), which tends to increase the rate of absorption/dissociation processes, and the increased decay rate (γ_M), which tends to suppress such processes (Garoff et al. 1982, Gersten and Nitzan 1985). Because of this, the molecule–surface separation dependence (d) for this kind of processes is very different from that for ordinary SERS (Murray 1982). For the latter where only the enhanced SP field plays an important role, the enhanced SERS cross section is expected to decrease monotonically as d increases. Because of this difference in distance dependence, we shall see that the concepts of the critical and optimal distance mentioned above should be introduced into the description of the photodissociation process. Before we present the results from model calculations, however, we shall summarize some work dealing with the quantities $A(\omega)$ and $\gamma_M(\omega)$.

The problem of surface electromagnetic (EM) fields has attracted much attention in the past two decades. A large number of investigations have been made in order to determine the extent to which the classical macroscopic Maxwell theory may be applicable. This covers the cases for different polarizations (s/p) of the incident light, different kinds of dielectric (metallic/nonmetallic) surfaces and different surface

morphologies (flat/rough). We refer to the recent comprehensive review article on this subject by Feibelman (1982), particularly his detailed discussion on the nonlocal EM theory for the description of surface optics. Here we shall only outline briefly the case for a rough metallic surface, with special attention given to the surface plasmon mode.

Theoretical modelling of surface roughness falls into the following three categories.

(a) *Periodic roughness.* This class of regular roughness is normally represented by a grating. For the case of a shallow sinusoidal grating, the surface fields have been calculated using the Rayleigh method and a phenomenological approach (Marvin *et al.* 1975, Maradudin and Mills 1975, Equiluz and Maradudin 1983, Maradudin 1982). The case for a deep grating ($\xi/\lambda_g \gtrsim 0.072$) has also been treated using the extinction theorem (Toigo *et al.* 1977) and the dressed Rayleigh expansion approach (Agassi and George 1986).

(b) *Random roughness.* This kind of surface is specified by a spatial correlation function $\langle\xi(\mathbf{r}-\mathbf{r}')\rangle$, where very often a Gaussian distribution of roughness is assumed so that $\langle\xi(\mathbf{r}-\mathbf{r}')\rangle \sim \exp(|\mathbf{r}-\mathbf{r}'|^2/a^2)$ with both coordinates $\mathbf{r}$ and $\mathbf{r}'$ lying on the surface. The surface EM fields for this case have been treated using a Green function approach, mainly by the Irvine group (Maradudin and Mills 1975, Equiluz and Maradudin 1983, Maradudin 1982).

(c) *Island surfaces.* This kind of surface is usually modelled as a collection of spheroids which can be spheres or ellipsoids, either regularly (periodically) or randomly distributed. Normally the case for one spheroid is worked out, and the final result is then obtained by the principle of superposition of the contributions from the other spheroids. The surface EM fields for this case have attracted great interest recently (Meier *et al.* 1985, Cline *et al.* 1986).

As for our application here to the dissociation process described by equation (33), we shall assume the simplest geometry to illustrate the ideas of the various competing mechanisms and the various distance concepts. Specifically, we shall consider the rough surface as a shallow sinusoidal grating (see figure 4). As mentioned above, the surface EM fields have been worked out by a phenomenological approach with the application of the Rayleigh hypothesis (Marvin *et al.* 1975, Jha *et al.* 1980). Assuming a notation of

$$\mathbf{E} = \begin{pmatrix} E_\parallel \\ E_z \end{pmatrix}$$

with $E_\parallel$ being the component on the xy-plane (i.e. along the surface) and E_z the z-component, the field-amplification factor $A(\omega)$ for p-polarized incident laser light can be written as (Leung and George 1986)

$$A(\omega) = \begin{pmatrix} 0 & -\dfrac{k_z}{k_t}R\exp(2ik_z d)+\dfrac{i\Gamma_g}{k_g}S\exp((ik_z-\Gamma_g)d) \\ 0 & R\exp(2ik_z d)+S\exp((ik_z-\Gamma_g)d) \end{pmatrix} \tag{34}$$

where

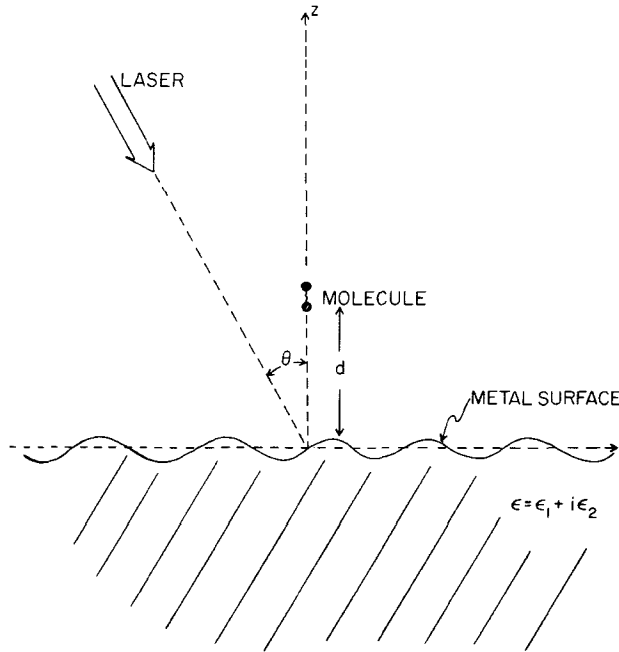$$k_g = \frac{\omega}{c}\sin\theta + g, \quad g = 2\pi/\lambda_g$$

Figure 4. Geometrical arrangement of the photodissociation process.

with λ_g being the spatial period of the grating,

$$\Gamma_g=\left(k_g^2-\frac{\omega^2}{c^2}\right)^{1/2}, \quad k_z=\frac{\omega}{c}\cos\theta, \quad k_t=\frac{\omega}{c}\sin\theta$$

and θ is the angle of incidence. The quantities R and S in equation (34), originating respectively from the reflected and surface plasmon fields, are given as

$$R=\frac{\varepsilon k_z-i\beta}{\varepsilon k_z+i\beta} \tag{35}$$

$$S=\frac{2(\xi_g k_g)k_z\beta_g(1-\varepsilon)}{k_t(\varepsilon\Gamma_g+\beta_g)}\frac{\beta\beta_g+\varepsilon k_t k_g}{\beta_g(\varepsilon k_z+i\beta)} \tag{36}$$

where

$$\beta^2=k_t^2-\frac{\omega^2}{c^2}\varepsilon, \quad \beta_g^2=k_g^2-\frac{\omega^2}{c^2}\varepsilon,$$

ξ_g is the grating amplitude and $\varepsilon=\varepsilon(\omega)$ is the frequency-dependent complex dielectric constant of the metallic grating. The plasmon resonance condition is achieved when

$$\frac{\omega^2}{c^2}\varepsilon_1(\omega)-k_g^2[\varepsilon_1(\omega)+1]=0 \tag{37}$$

In order to completely investigate the surface effects entering into equation (33), we must know the induced molecular decay rate (γ_M) at the surface. We first give a brief review on this subject matter for the case of physisorbed molecules.

In the past two decades, there has been a large amount of effort in the study of the lifetime of an excited molecule in the vicinity of a surface, both theoretically (Kuhn 1970, Chance *et al.* 1978) and experimentally (Drexhage 1974, Rossetti and Brus 1980, 1982). The theoretical work has included classical reflected field theory (Kuhn 1970) and the energy flux method (Chance *et al.* 1978) for both perfectly or partially reflecting flat surfaces (Philpott 1975). The classical approaches have also been extended to the case of a rough surface including both the randomly (Arias *et al.* 1982) and the periodically (Leung and George 1986, Leung *et al.* 1987) roughened cases. These later extensions have been based on theories of image potentials for a point charge located near such surfaces as established by the Irvine group (Rahman and Maradudin 1980, Rahman and Mills 1980). Among these investigations, the general conclusion has been reached that the molecular lifetime is in general shortened due to the induced decay rate by the reflected field from the surface, and surface roughness further enhances such decay rate. Furthermore, large dependences on the orientation as well as the distance of the molecule from the surface have been observed (Chance *et al.* 1978).

To illustrate here how the effect of the induced decay rate (γ_M) enters into equation (33), we shall discuss γ_M for a shallow sinusoidal grating. By applying the general theory of Rahman and Maradudin (1980), Rahman and Mills (1980) have obtained the image potential for a point charge e near a shallow sinusoidal grating as

$$\phi(z) = -\frac{e}{8}\frac{\varepsilon-1}{(\varepsilon+1)^2}\,\xi_g g\left\{(\varepsilon-1)\left[gK_0(gz)+\frac{2}{z}K_1(gz)\right]+\frac{4K_1(gz)}{z}\right\} \tag{38}$$

where K_0 and K_1 are the modified Bessel functions. For a perpendicular dipole located at $(0,0,d)$, we can calculate the image dipole field per dipole moment from equation (38) to be (Leung and George 1986)

$$G^R(\omega) \equiv \frac{E_\mu}{\mu} = \frac{1}{8}\frac{\varepsilon-1}{(\varepsilon+1)^2}\,\xi_g g\left\{g\left[(\varepsilon-1)\left(g+\frac{2}{d}\right)+\frac{4}{d}\right]\left(gK_1+\frac{K_0}{d}\right)\right.$$
$$\left.+\frac{4}{d^2}(\varepsilon+1)\left(gK_0+\frac{3K_1}{d}\right)\right\} \tag{39}$$

We remark that this result is first order in $\xi_g g$, in contrast to that for a randomly rough surface which has a lowest order result in $(\xi_g g)^2$ (Arias *et al.* 1982). Following similar steps as in Chance *et al.* (1978) and Arias *et al.* (1982), we obtain finally the γ_M on a shallow sinusoidal grating as

$$\gamma_M = \gamma_M^0\left[1+\frac{3}{2}\frac{q}{k^3}ImG^F\left(1+\frac{ImG^R}{ImG^F}\right)\right] \tag{40}$$

where q is the quantum yield of the emitting state. $G^F(\omega)$ is the corresponding function as in equation (39) for a flat surface and is given by the Sommerfeld antenna theory as (Chance *et al.* 1978)

$$G^F(\omega) = -k^3\int_0^\infty du\exp(-2l_1\hat{d})\frac{u^3}{l_1}R \tag{41}$$

where $\hat{d} \equiv kd$, $R = (l_2-\varepsilon l_1)/(l_2+\varepsilon l_1)$, $l_1 = -i(1-u^2)^{1/2}$ and $l_2 = -i(\varepsilon-u^2)^{1/2}$.

With $A(\omega)$ in equation (34) and γ_M in equation (40) substituted into equation (33), we have illustrated with some numerical calculations the surface effects on the direct dissociation of I_2 molecules at 4500 Å on a silver (Ag) grating with a roughness parameter $\xi_q/\lambda_q = 8 \times 10^{-3}$ (Leung and George 1986). Figure 5 shows the distortion of the original Lorentzian line profile for different molecule–surface separations. We observe that the SP resonance (at about 2·895 eV of photon frequency) introduces a sharp edge so that the asymmetrically distorted profile shows similar behaviour as for a Fano profile (Fano 1961). Furthermore, the double-peak feature for the case of a spheroid substrate (Weitz *et al.* 1983) is not observed here since we have adjusted the SP resonance frequency to lie close to that of the molecular resonance. Such an adjustment is physically possible since one can vary the many parameters such as the angle of incidence (θ) and the grating period (λ_g) so that equation (37) is fulfilled for $\omega \cong \omega_M^0$. Figure 6 shows the enhancement factor versus molecule–surface distance for various incident laser frequencies. The results show clearly the existence of the critical distance (d_{cr}, below which $\sigma/\sigma_0 < 1$) and the optimal distance (d_{op}, at which σ/σ_0 is maximum). We observe also that under the SP resonance condition, one can still have a large enhancement even at distances far from the surface. In general, the SP resonance plays a

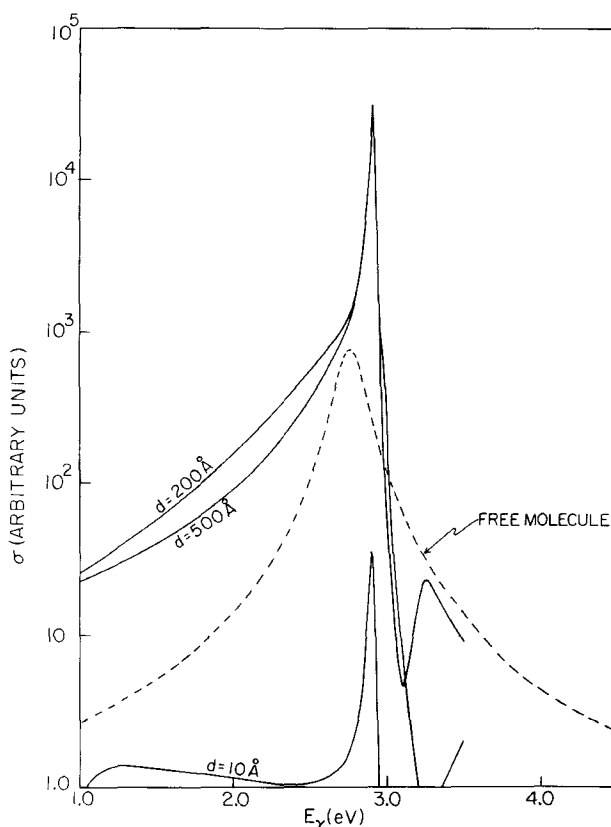

Figure 5.   Distortion of the Lorentzian line profile for various molecule–surface distances for a perpendicular molecular dipole. The system consists of an I_2 molecule on a silver sinusoidal grating. We refer to the text for numerical data.
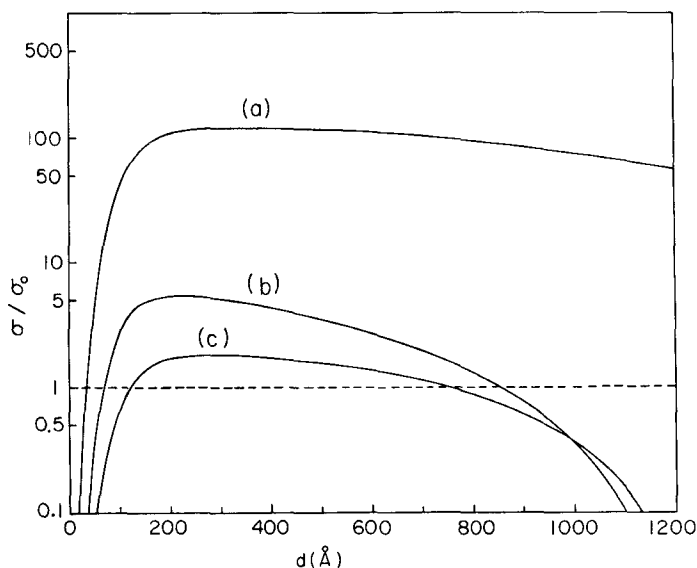
Figure 6. Enhancement factor versus molecule–surface distance for various incident laser frequencies. Curve (a) $E_y = 2\cdot895\,\mathrm{eV}$ (at plasmon resonance); curve (b) $E_y = 2\cdot5\,\mathrm{eV}$; and curve (c) $E_y = 2\cdot755\,\mathrm{eV}$ (at molecular resonance). Other parameters are the same as in figure 4.

more significant role than the molecular resonance in such processes. With the existence of these distances, the experiments mentioned in the beginning of this section may be understood, at least in a qualitative manner. Furthermore, the concept of the critical distance may lead to practical applications. As an example, we suggest that if one could coat the metallic surface by means of the 'fatty acid monolayer assembly technique' (Kuhn 1968) so that all the molecules are kept at a distance above the critical distance, one could then guarantee that surface-assisted dissociation is maintained. Some future directions in this regard are mentioned in Section 6.

4. Line shapes

Related to absorption/dissociation but in itself a much broader class of phenomena is that of line profiles for molecules in the vicinity of a surface. The study of such 'surface distortion' of molecular line profiles can give valuable information concerning the details of the molecular processes as well as the mechanisms by which the molecule and surface interact with each other. As already mentioned in Section 3, for example, the observation of the 'double-peak feature' or the 'sharp-edge window' in the absorption/dissociation spectrum signifies the effects of the surface plasmon on the molecular processes. In this section, we shall give a more comprehensive review of this class of phenomena.

While most of the theoretical work has been devoted to physisorbed adspecies, there has also been some work considering chemisorbed molecules (Metiu and Palke 1978). In the work of Metiu and Palke (1978), the infrared spectroscopy for the vibration of an atom chemisorbed on a solid is studied assuming a coupling between the adatom and the lattice phonons of the substrate. The analysis shows that such

coupling is not sufficient to explain the large line-broadening observed experimentally (Nakata 1976), and a possible explanation is attributed instead to the coupling to the electronic degrees of freedom of the metallic substrate. Indeed, from our previous presentation in Section 3, we have found in a phenomenological approach that the SP coupling leads to an appreciable broadening in many cases (Nitzan and Bruce 1981, Leung and George 1986) for physisorbed systems. It is therefore worthwhile to extend this previous work to the case of chemisorbed systems, first phenomenologically and then with a more thorough microscopic formalism. We are at present pursuing this problem in our laboratory. For physisorbed adspecies, effects of the coupling between the system and the substrate via excitations of the electron-hole (eh) pairs, phonons and photons have been considered for vibrational line shapes of admolecules (Gadzuk and Luntz 1984). Distinction between vibrational dephasing and relaxation has been emphasized in this latter work. Such vibrational dynamics has also been analysed later in a fully quantum statistical formalism where the anharmonicity of the vibration is emphasized (Huang *et al.* 1985). In particular, for the system of OH on SiO_2, the dephasing rate via phonons is found to be considerably faster than the energy relaxation rate (Hutchinson and George 1986). In addition, the vibration–rotation spectrum for physisorbed HCl on Ar(111) surface has also been investigated in a semiclassical 'trajectory approach' with a collapse of the R and P band structure at low rotational energies being observed (Adams 1986). Furthermore, aside from those phenomenological approaches which we mentioned earlier (Nitzan and Brus 1981, Leung and George 1986), the effects of the roughness of surface on the fluorescence and absorption spectra for a molecular dipole near a randomly rough metallic surface have also been formulated in a fully quantum mechanical fashion. It was found that surface-roughness in this case induces distortions in the flat-surface Lorentzian toward a Gaussian line shape as the roughness increases (Agassi 1986). However, it was criticized earlier that these vibrational spectra of coupled adsorbed molecules may not be Lorentzian to start with, even in the flat surface case (Langreth 1985, Sorbello 1985). In a very clever analysis, Langreth (1985) has shown that the line shape for an isolated vibrational mode of adspecies on a metallic surface is necessarily asymmetric in the presence of the damping, where the profile is more of the Fano type (Fano 1961) than the Lorentz type. This is a good example showing that the study of line profiles can lead to an understanding of the coupling mechanism between the molecule and the surface.

Aside from vibrational and rotational spectra, electronic and desorption spectral line shapes are also of great interest. In particular, electronic excitation by a UV-visible laser leading to desorption of an admolecule has recently been studied by Lin *et al.* (1987 a). The result shows that the laser-stimulated desorption (LSD) spectra (LSD yield versus laser frequency) exhibit the well-known Beutler–Fano (Fano 1961) behaviour due to the configuration interaction between the molecular excited electronic states and the desorption continuum. These investigators have also studied the case of IR LSD spectra (Lin *et al.* 1987 b), where the same Beutler–Fano line shape is found to exist due to the coupling between the intramolecular optically pumped vibrational modes and the desorption continuum. The effects of inhomogeneous broadening on these IR LSD line shapes have also been investigated (Gortel *et al.* 1986, Lin *et al.* 1987 b). Because of the heterogeneity due to different adsorption sites and imperfections in the underlying substrate, strong asymmetry and double-peak features in the absorption spectrum have been reported (Gortel *et al.* 1986). In cases when optical vibrational modes are involved, the LSD spectra can be analysed as a superposition of Beutler–Fano bands (Lin *et al.* 1987 b).

In spite of the numerous studies of surface effects on the absorption spectra of admolecules, it appears, in all the previously mentioned references, that the free line profile (i.e. the absorption line profile for a free molecule in the absence of the surface) has almost always been assumed to be symmetrical, often of a Lorentzian type, so that asymmetrical distortions are brought about by the presence of the surface. There remains therefore one whole class of problem previously uninvestigated, namely that when the free line profile is already asymmetrical in nature. This would include, for example, processes like autoionization and predissociation in molecular systems. In a recent work (Leung and George 1987), we have reported some preliminary results in this direction based on an extension of our previous work in the distortions of the Lorentzian profile on top of a silver grating (Leung and George 1986), which we now describe below.

In analogy to the 'driven damped oscillator model' (equation (30)) which describes a free Lorentzian profile in the absence of surface effects, we have adopted the mechanical model recently proposed by Sorbello (1985) to describe the asymmetric Fano (1961) effect. The model consists of the coupling of a normal mode (ω_0) to a lossy broad-band system such as a viscous bath, with both the oscillator and the bath being described by one degree of freedom. The line-shape function obtained in this model can be reexpressed in the form†

$$I_0(\omega) = \frac{(q + \varepsilon_0)^2}{1 + \varepsilon_0^2} \sigma_0(\omega) \tag{42}$$

where q is the asymmetric profile index depending on the *ratio* of the driving force on the oscillator to that on the bath, and $\sigma_0(\omega)$ is the background intensity due to direct excitation of the bath. The reduced energy variable ε_0 in equation (42) is expressed as

$$\varepsilon_0 = \frac{2(\omega - \omega_0 - \Delta\omega_0)}{\gamma_0} \tag{43}$$

where $\Delta\omega_0$ and γ_0 are the level shift and decay rate of the system, respectively. In general, $\Delta\omega_0 \ll \omega_0$, and hence

$$\varepsilon_0 \cong \frac{2\Delta\omega}{\gamma_0} \tag{44}$$

with $\Delta\omega = \omega - \omega_0$.

In an analogous way as for the 'distorted Lorentzian profile' (equation (33)), we have obtained the surface distorted Fano profile in the form

$$I(\omega) = \frac{(q + \varepsilon)^2}{1 + \varepsilon^2} |\hat{n}_\mu \cdot [1 + A] \cdot \hat{n}|^2 \sigma(\omega) \tag{45}$$

where now

$$\varepsilon = \frac{2\Delta\omega}{\gamma} \tag{46}$$

Here all quantities without a subscript '0' refer to those at the surface, and we have neglected the effect of the surface on q and ω_0 (Leung and George 1987). We have also

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† We have changed some of Sorbello's (1985) original notation. Here we denote every quantity which refers to the free molecule case in the absence of the surface by the subscript '0'.

assumed the substrate to be a shallow sinusoidal grating, and hence the quantities $A(\omega)$ and γ are given as before in equations (34) and (40) for a molecular dipole located at $(0, 0, d)$ and perpendicular to the surface. With some reasonable forms for $\sigma_0(\omega)$, we have examined the surface distortions for the cases of certain autoionization and predissociation absorption spectra, where results are shown in figures 7 and 8, respectively. From these preliminary results based on such model studies, we observe the familiar double-peak features and the broadening of the original profile window at the steep edge near the low-frequency end, while at the high-frequency end of the distorted profile, the surface plasmon resonance leads to a new window. Furthermore, we observe that at such molecule–surface distances $(d \sim 500 \,\text{Å})$ under the model calculation conditions, a surface enhancement effect is in general observed, implying that enhanced molecular photo-predissociation may also be possible, provided that the molecule is not located too close to the surface and the resonant plasmon field decays very slowly in the direction normal to the surface. It has been argued previously that due to the 'slow nature' (on a time scale of $\sim 10^{-9}\,\text{s}$) of these unimolecular processes such as predissociation, the surface enhancement effects can hardly be effective due to
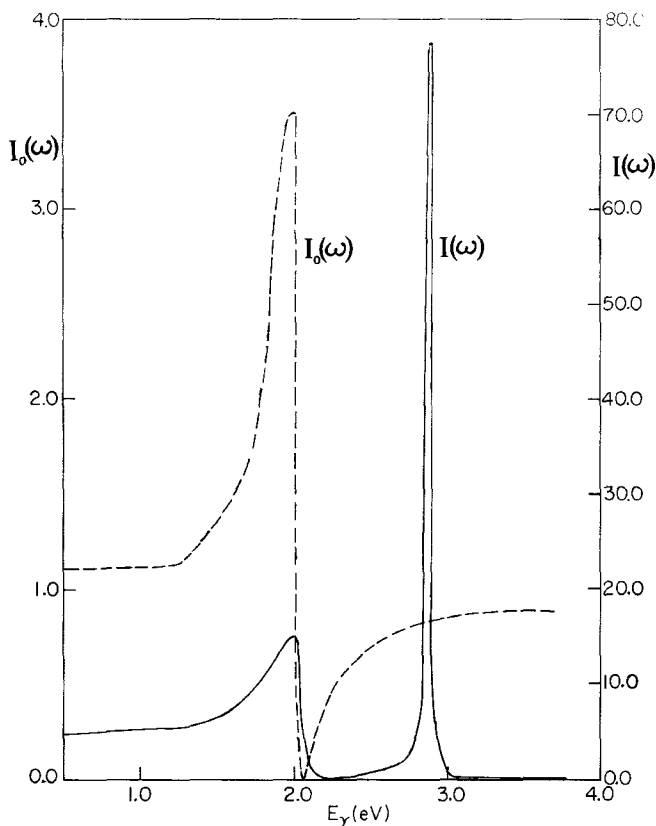

Figure 7.   Distortion of the Fano profile with $\sigma_0(\omega)$ a constant which simulates certain autoionization processes. The profile constants are $\gamma_0 = 5 \times 10^2$, $\omega_0 = 1\cdot6 \times 10^4$ and $q = -2\cdot65$. Note that the scales for $I_0(\omega)$ and $I(\omega)$ are different. The y-axis quantities are in arbitrary units.
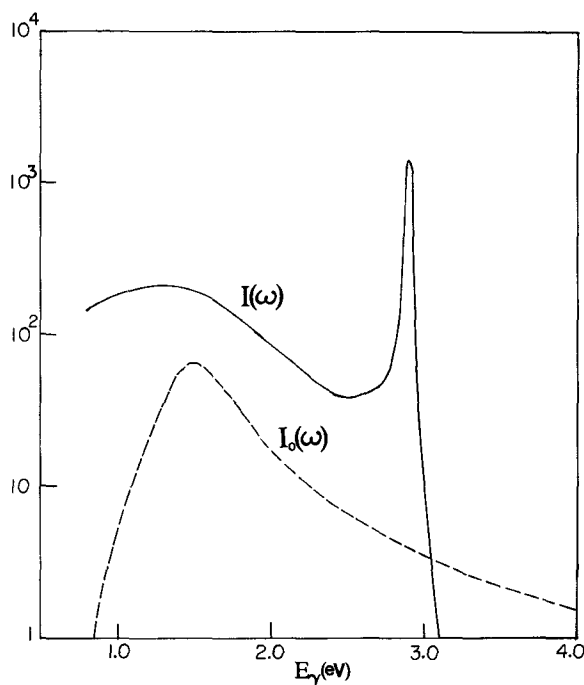
Figure 8. Distortion of the Fano profile with $\sigma_0(\omega) = 1/\omega^2$ which simulates certain predissociation processes. The profile constants are $\gamma_0 = 4 \times 10^3$, $\omega_0 = 1 \cdot 17 \times 10^4$ and $q = 3 \cdot 0$. The y-axis quantities are in arbitrary units.

the large induced molecular decay rate caused by the presence of the surface (Chuang 1982). However, as seen from our preliminary model study, such an argument is not conclusive since there are many parameters (e.g. degree of the roughness, angle of incidence, etc.) that one can adjust, so that the molecule can still experience a large enhanced field at a distance relatively far from the surface at which the induced decay rate is of minor consequence. Thus, it would be interesting to conduct a more detailed study of such possible enhanced 'slow processes'. The practical realization of these ideas in actual gas-surface systems might lead to the development of a new kind of photochemistry, namely, laser-assisted heterogeneous catalysis (Lin *et al.* 1984) via surface predissociation of physisorbed molecules, so that the problem of desorption of the reaction products from the surface can be almost completely ignored. We should also add that possible enhanced molecular predissociation has been examined recently by means of yet a different mechanism, namely, surface magnetic field/laser synergistic effects (Bhattacharyya *et al.* 1981, 1982). In contrast to the SP-enhanced pumping rate of the absorption/dissociation process discussed here, this latter mechanism creates its own dissociation channels via crossings between the ground and continuum electronic potential surfaces due to the photon-dressed effect associated with the ground state, and the Zeeman splitting of the continuum levels.

5. Laser-induced deposition

A relatively new field has emerged in which a low-power laser is used to enhance deposition of a metal on a surface, generally semiconductor. The archetypal experiment involves a weak 257 nm cw laser (1–10 W/cm^2) irradiating a SiO$_x$ surface under an organometallic gas (Cd(CH$_3$)$_2$) at 1 Torr pressure (Brueck and Ehrlich 1982), for example. A closely related subject, but one which is in many ways similar, is the topic of laser-induced damage at surfaces. This has been studied much more extensively (Fauchet and Siegman 1982, Sipe *et al.* 1983). We shall find that the deposition problem is simpler in that the relevant chemistry appears to take place well above the surface, and hence the Rayleigh expansion can be used to calculate the field strengths.

The common thread between these two problems is the interaction between the laser and the surface. Here primarily two effects predominate: laser heating and the excitation of surface plasmons. Sometimes both effects are important, though in our deposition example, the surface heating amounts to only about 1 K. In general, however, given the interaction between the surface and laser, several mechanisms can occur. These are as follows.

(1) The laser can melt the surface, and then the plasmon or diffusive motion along the surface creates a standing wave in the molten substance. Upon cooling this pattern is frozen into the surface (Fauchet and Siegman 1982, Ehrlich and Tsao 1983, Osgood and Ehrlich 1982, Chen *et al.* 1985).

(2) The laser can heat an adsorbed layer (as opposed to the true surface) and cause rearrangement. This has been observed with copper deposition on silica surfaces (Moylan *et al.* 1986, Ehrlich and Tsao 1983, Osgood and Ehrlich 1982, Chen *et al.* 1985).

(3) The laser can affect the adsorption process itself. This can happen either by the enhancement of the adsorption process because of the laser (we are unaware of any experimental evidence for this occurring), or the laser can enhance the dissociation of the molecular precursors to adsorption. Brueck and Ehrlich's experiment appears to be an example of this latter phenomenon.

Sipe *et al.* (1983) have written extensively on the first process. To account for this phenomena, it is essential to know the field intensities at the surface. As mentioned in Section 1, this is a very complicated problem. They have calculated the energy deposition (due to the laser) just below the surface and then used a variational calculation to compute the local field strengths near the surface. Moylan *et al.* (1986) have discussed the second possibility and have related the grating growth rate to the focal point size of the laser, along with the diffusion coefficient of the adsorbed layer. They are then able to generate the kinetic equations for motion along the surface.

The primary subject of this section is to discuss the third process, namely, we shall try to account for the observations of Brueck and Ehrlich (1982). These results are more fully described in Jelski and George (1987 b). Put briefly, the laser, in this case weak so as to minimize surface heating, causes a resonant plasmon due to coupling with the surface roughness. This plasmon enhances the dissociation of the inorganic precursor *above* the surface, but since the field strength is spatially periodic, this leads to periodic deposition.

A theoretical treatment of this process requires two steps. In the first step, we need a simple method to calculate the field strength; the difficulties involved here have been discussed in Section 2. We note here that the problem is enormously simplified by the fact that dissociation takes place well above the surface (see Section 3). This permits use

of the Rayleigh expansion, which is exact above the selvedge region. Secondly, we want a fast calculation of the field strength since our problem requires this strength as a function of grating wavenumber and grating height. The approximation of Jelski and George (1987 a) described in Section 2 seems most appropriate to our problem since, in every case, we require the intensity of only the resonant frequency. A general reflectivity calculation is not called for.

Thus, stated explicitly, our method is as follows:

(1) We assume (see Jelski and George (1987 b) for a more complete discussion) that the enhanced deposition is due to the fact that the plasmon field enhances the dissociation of the adspecies precursor.

(2) This dissociation takes place well above the surface (see Section 3), thus permitting the use of the Rayleigh expansion. We use the approximation of Jelski and George to calculate this.

(3) To simplify the calculation, we assume that the dissociation cross section of the precursor is proportional to the field intensity and that the deposition rate is proportional to the dissociation rate. The first approximation breaks down for strong fields, whereas the second fails for high pressures.

(4) Finally, we assume that the final grating profile is sinusoidal. This will turn out to be approximate, and we shall see from the calculation that it can be corrected, at the cost of considerably more complexity.

Our model will be the experiment of Brueck and Ehrlich (1982). We shall assume a cadmium thin layer with a dielectric constant of $-2 \cdot 5 + 1 \cdot 3\,i$. Dimethyl cadmium gas at ~ 1 Torr pressure and at room temperature is above the surface. A 257 nm laser at $10\,\text{W/cm}^2$ is irradiating the system. The dissociation cross section of

$$Cd(CH_3)_2 + hv \rightarrow Cd + 2CH_3 \qquad (47)$$
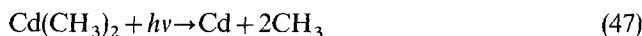
will be denoted by σ_k, and hence

$$\frac{d[Cd]}{dt} = \sigma_k E_k^2 \equiv \sigma_k I(k) \qquad (48)$$

where E is the field strength and I is the intensity. The subscript k refers to the wavenumber of the incident light.

Before going further, we note that cadmium is a lossy substance with a large imaginary part to the dielectric constant. Hence the flat surface dispersion relation, given by equations (30) or (37), is inappropriate since it assumes that ε_2 is small. We thus need to reconsider the flat surface case when ε_2 cannot be so considered. From equation (29), and noting that $\xi_0 = 0$, to first order in ξ_1 we get

$$A_1 \approx \frac{\mu_1 E_i}{M_{11}} = \frac{i(\alpha_0 \beta_1 - k_0 k_1)(\varepsilon \alpha_1 - \beta_1)\xi_1 E_i}{\varepsilon k^2 - k_1^2(1 + \varepsilon)} \qquad (49)$$

This is the shallow grating limit result previously derived (Maradudin 1982, Jha *et al.* 1980), which is identical, except for notation, to equation (36). Since this is an expansion only to first order in ξ_1, it is valid only for shallow gratings. Let us denote the denominator by R. Then if

$$R \equiv \varepsilon k^2 - k_1^2(1 + \varepsilon) = 0 \qquad (50)$$

A_1 becomes large and resonant. This leads to the resonance condition

$$k_1^2 = k^2 \frac{\varepsilon_1}{\varepsilon_1 + 1} \tag{51}$$

where ε_1 is the real part of ε. Equation (51) is essentially the condition expressed in equation (37) and is valid if ε_2 is small. If that is not the case, then equation (50) will never hold and instead we have to minimize R^2. This yields

$$|R|^2 = [k_g^2(1 + \varepsilon_1) - k^2\varepsilon_1]^2 + [\varepsilon_2(k_g^2 - k^2)]^2 \tag{52}$$

or upon setting the derivative equal to zero

$$k_g^2 = \frac{k^2[\varepsilon_1(1 + \varepsilon_1) - \varepsilon_2^2]}{(1 + \varepsilon_1)^2 + \varepsilon_2^2} \tag{53}$$

Equation (53) reduces to equation (50) as $\varepsilon_2 \to 0$.

As the grating becomes deeper, R also depends on powers of ξ_m. But in general, we can express the resonance condition by

$$\frac{d|R|}{dk_1} \equiv R' = 0 \tag{54}$$

For very deep gratings this may not be quite sufficient, as we would also need to account for the behaviour of the numerator, although for our purposes here it is sufficient.

Figure 9 shows the resonance factor, $|R|$, as a function of grating wavenumber for the model cadmium surface. For the shallow grating (1 nm) the resonance is well defined. As the grating deepens it becomes apparent that the resonance is less and less pronounced.

Figure 10 is a graph of R' versus grating wavenumber. Here two things can be seen: one is that as the grating gets deeper then the resonance frequency (where the curves cross zero) shifts toward higher frequencies. This precludes any grating from growing sinusoidally, for as the grating gets larger the wavelength gets shorter. Nevertheless, we can approximate our grating as sinusoidal since the shift is relatively small.

Secondly, we note that the 24 nm curve never crosses zero. Hence there is no resonance at all. This means that grating growth will stop. This does not imply that deposition will stop, but only that deposition will occur evenly across the surface, i.e. our thin layer will get thicker. Hence peaks and valleys will grow identically. We can already predict the maximum grating height, namely 48 nm (2 × the amplitude). This is approximately half of what Brueck and Ehrlich (1982) observe. This error may be due to our approximate (and frequency independent) form for the dielectric constant, our ignoring thin layer effects, or our approximate form for the Rayleigh expansion.

Having determined the maximum grating height, we now need to determine the rate of grating growth. Hence we must ask the question 'How much more resonant is a given frequency than its neighbours?' In a word, we want to know the concavity of the curves in figure 9. Let us define

$$G(k_r, \xi) \equiv \left(\frac{\partial^2 R}{\partial^2 k_g^2} \right)_{k_g = k_r} \tag{55}$$

where k_r is the resonant frequency determined by equation (54). As the resonance disappears the concavity goes to zero.
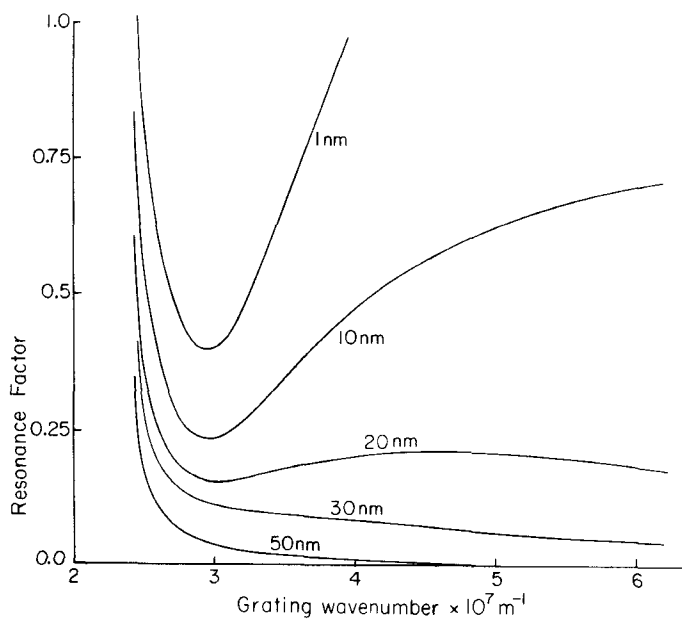
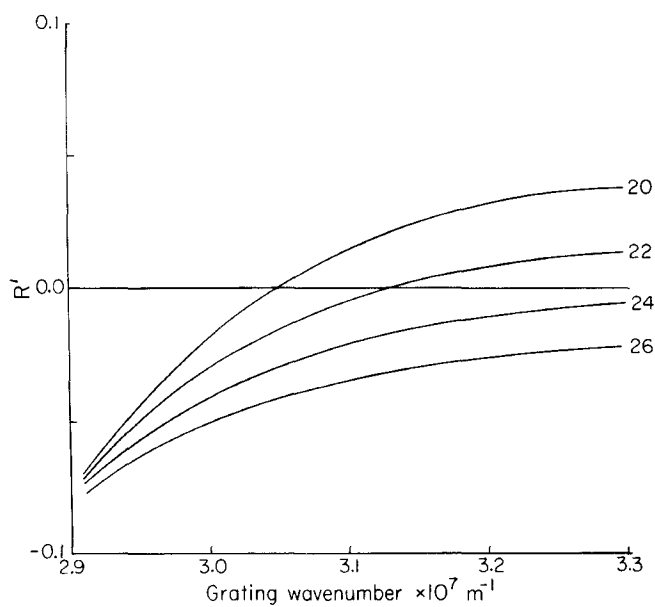Figure 9. Grating wavenumber versus the value of the resonance factor for different grating amplitudes.

Figure 10. Value of R' versus grating wavenumber for different grating amplitudes. Note the frequency shift in the resonance frequency and that for $\xi \geqslant 24\,\text{nm}$ there is no resonance frequency.

Let us assume a sinusoidal grating of amplitude ξ, with N as the number of cadmium atoms that absorb at the peak. Then we can write

$$\frac{d\xi}{dt} = \frac{d\xi}{dN}\frac{dN}{dt} \tag{56}$$

where

$$\frac{d\xi}{dN} = \frac{Mk_g}{2\rho y} \tag{57}$$

M is the atomic mass of cadmium, ρ is the density of metallic cadmium and y is the dimension of the surface (parallel to the grooves).

The rate dN/dt is proportional to the right-hand side of equation (48), i.e. to the number of Cd atoms that adsorb on the surface. We will denote the sticking coefficient by a. Then

$$\frac{dN}{dt} = a\sigma_k I(k,r)G(k_r,\xi) \tag{58}$$

where r is the spatial variation of the intensity. The quantity $G(k_r,\xi)$ weights the function according to the frequency variation of the resonance. Equation (58) can be integrated to yield $\xi(t)$. Choosing the constants to reflect the time span of Brueck and Ehrlich's experiment, we generate the function shown in figure 11.

Thus we have developed a simple model to account for the chemical vapour deposition phenomena. We have assumed that the ultimate cause of this effect is the laser-induced plasmon which enhances dissociation above the surface. We have succeeded in qualitatively reproducing Brueck and Ehrlich's experiments. A more
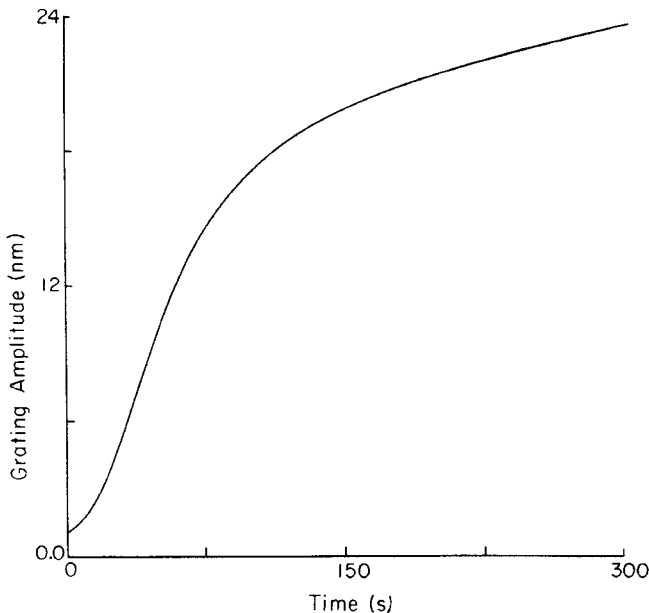

Figure 11. The dynamics of grating growth: grating amplitude versus time.

sophisticated approach will have to allow for the thin layer effect, provide a more accurate function for the dielectric constant, relieve the condition that the grating be sinusoidal, and perhaps use the full Rayleigh expansion rather than the approximate form.

6. Conclusion

In this paper, we have presented a review of different types of photochemical processes at rough (metallic) surfaces. In contrast to a previous review article by Harris and coworkers (Goncher *et al.* 1984) which emphasizes experimental studies in photodissociation processes, our article emphasizes the theoretical aspects and incorporates phenomena like molecular lineshapes and deposition on rough surfaces. Since we have been following the classical phenomenological treatment (Maxwell's theory) for the surface fields, we have also provided the mathematical basis (Section 1) that clarifies the foundation of the Rayleigh expansion which has been found invaluable in the treatment of surface EM fields.

The main physical mechanism involved in the processes we have discussed has been the surface plasmon effect. This has turned out to be the case since we have assumed physisorbed systems throughout. For chemisorbed systems, bond-formation effects will arise between the admolecule and the surface, and charge-transfer processes should be given equal importance as the SP effect. We hope to generalize our previous work in this direction in the future. Such generalization may also find applications in the theoretical exploration of possible laser-assisted heterogeneous catalysis as well as deeper understanding of the deposition process discussed in Section 4, which has hitherto been treated only phenomenologically. Furthermore, we have in this review assumed an isolated molecule–surface system. An actual physical situation will more generally involve an ensemble of molecules in the vicinity of the surface. We therefore plan to investigate in the future the effects of the neighbouring admolecules on the phenomena reviewed in Sections 3 to 5.

Finally, it is clear that in this review of surface photochemistry all the analysis is based on the linear Maxwell's theory. Since nonlinear optical surface processes have attracted much attention recently (Chen *et al.* 1981), we feel that the time is ripe to look into other possible photochemical processes exploiting these nonlinear optical techniques. We have begun our first attempt to reinvestigate the above processes on a phase-conjugated surface, replacing the ordinary substrate metallic surface by an optically nonlinear substrate such as GaAs(110). Some interesting preliminary results have been obtained with respect to the linewidth and lifetimes for molecules near such conjugated surfaces (Lin *et al.* 1987 a, b). We believe that it would be worthwhile to invest more effort in this direction in the future.

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