

What you always wanted to have from a simulation software (and you never dare to ask for)

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U.S. DEPARTMENT OF  
**ENERGY**

Office of Science



Stanford  
University



NATIONAL  
ACCELERATOR  
LABORATORY

## DISCLAIMER

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Shadow has been, and, somehow, still is, the beamline designer best friend!

During my talk, any sentences/comment on Shadow, that could sound like diminishing the value of Shadow, is not intended neither wanted.

All my personal gratitude for the great effort Franco (Cerrina) and Manuel (Sanchez del Rio) put on making Shadow available for the entire community, and, for the support provided!

Shadow is still the most user friendly and one of the most valuable program for Optic Simulation!

And with the new interface, it's even better!

And, whatever I will say today, is based on my personal experience only and is not meant to be a teaching lecture

## Credits

Examples, pictures and results shown in this presentation has been obtained using the following software:

- SHADOW
  - *F. Cerrina and M. Sanchez del Rio "Ray Tracing of X-Ray Optical Systems" Ch. 35 in Handbook of Optics (volume V, 3rd ed.)*
- Jacek Krzywinski (SLAC) – Software developed in Matlab using Fourier optics techniques including Fresnel propagator or angular spectrum method to solve propagation of time dependent optical fields through nonhomogeneous media. For certain applications the angular spectrum method allows to go beyond the paraxial approximation.
- Tom Pardini (LLNL) – XFELSim (wavefront propagation)
- Josep Nicolas (SLAC) – Kirchhoff integrals
- Lorenzo Raimondi (Elettra) – WISE
- ...and of, course, Excel, MatLab and LabVIEW!

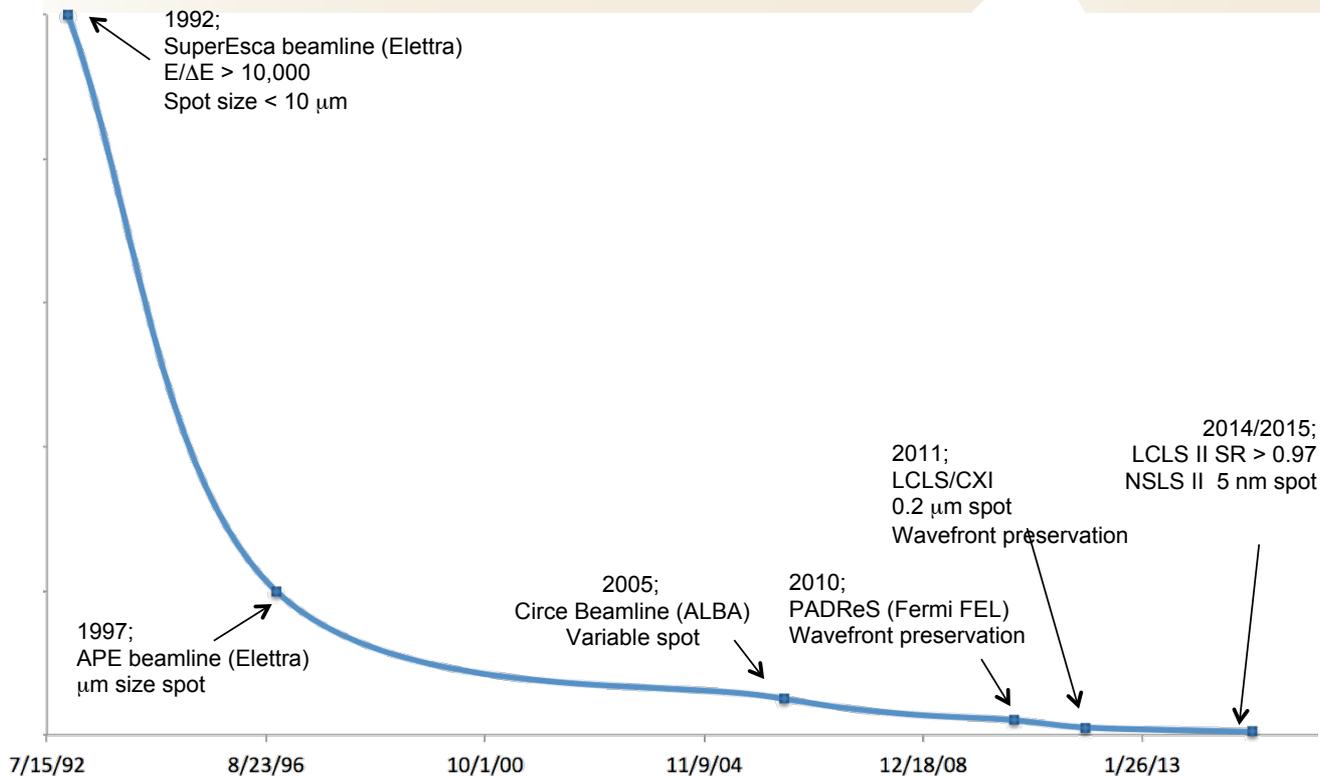


# Original (initial) approach

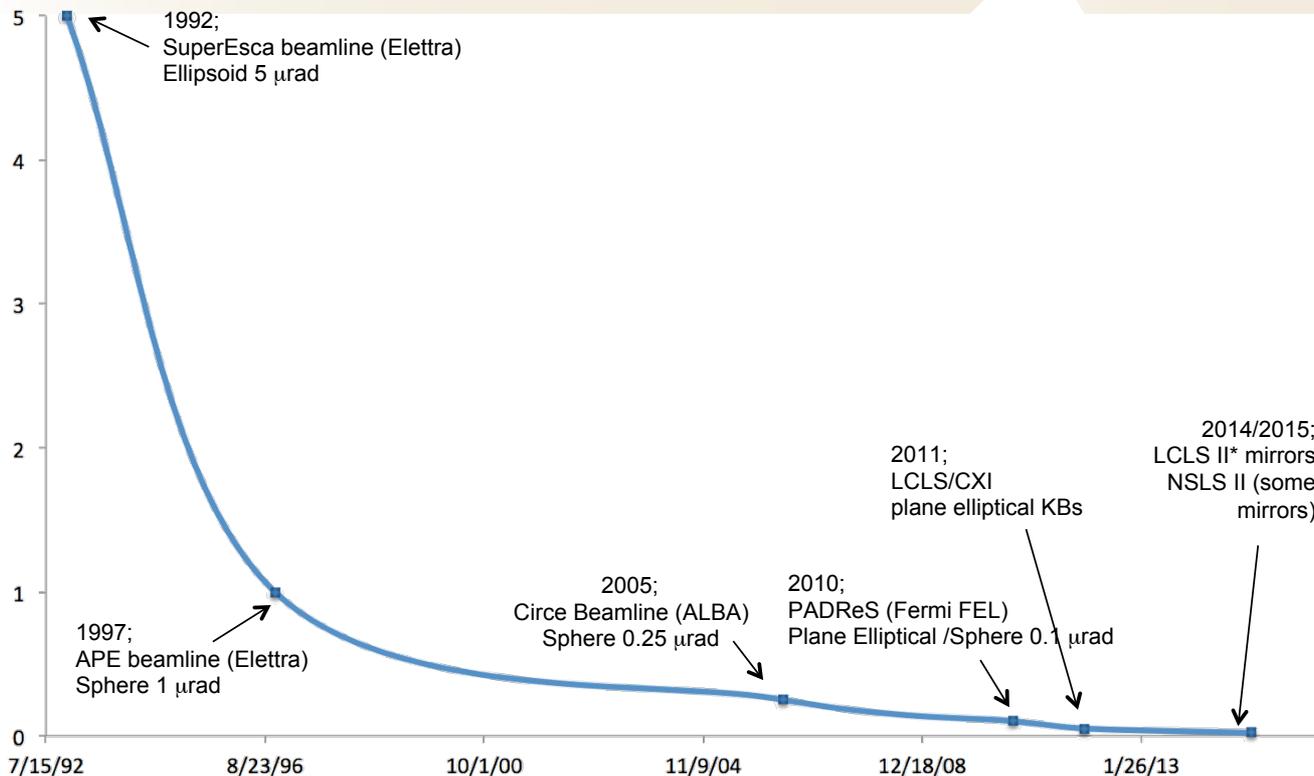
SLAC



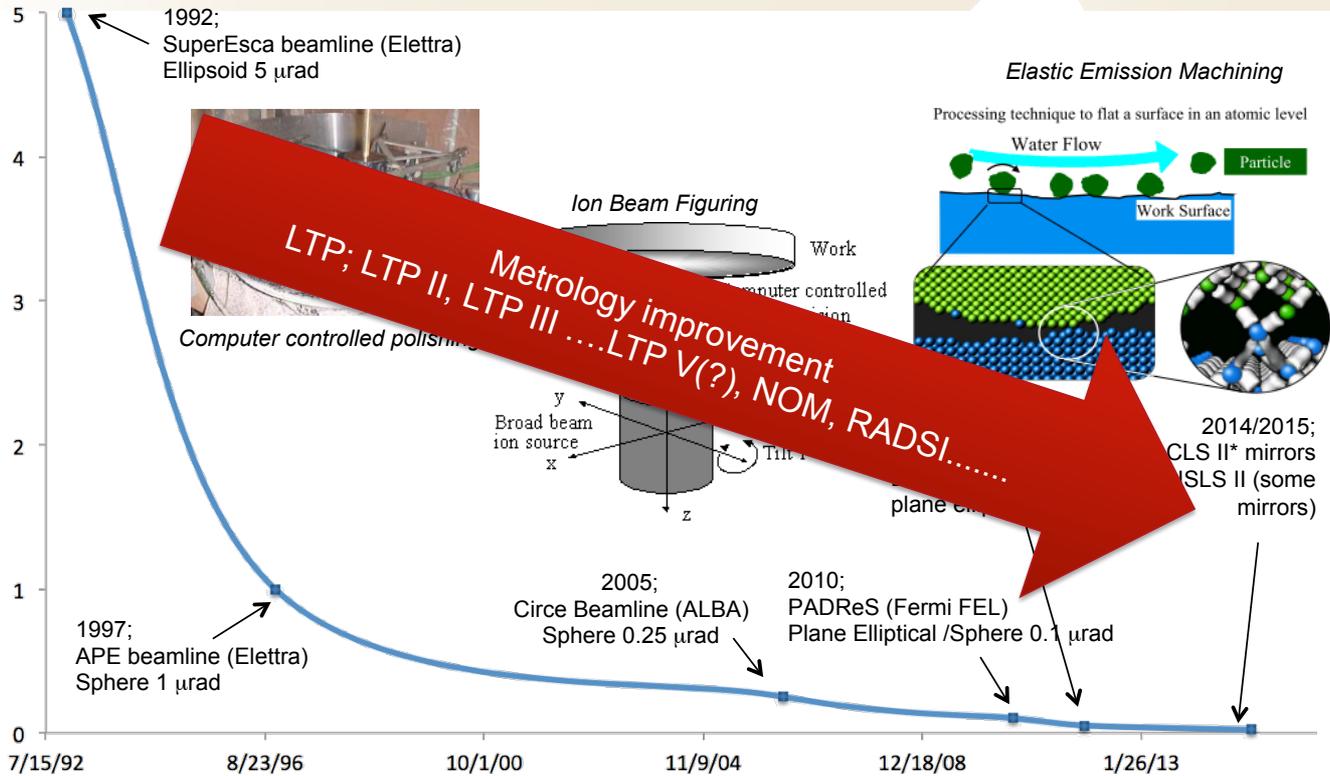
# Pushing the envelope - requirements



# Pushing the envelope - specifications

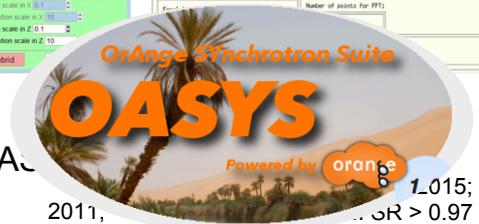
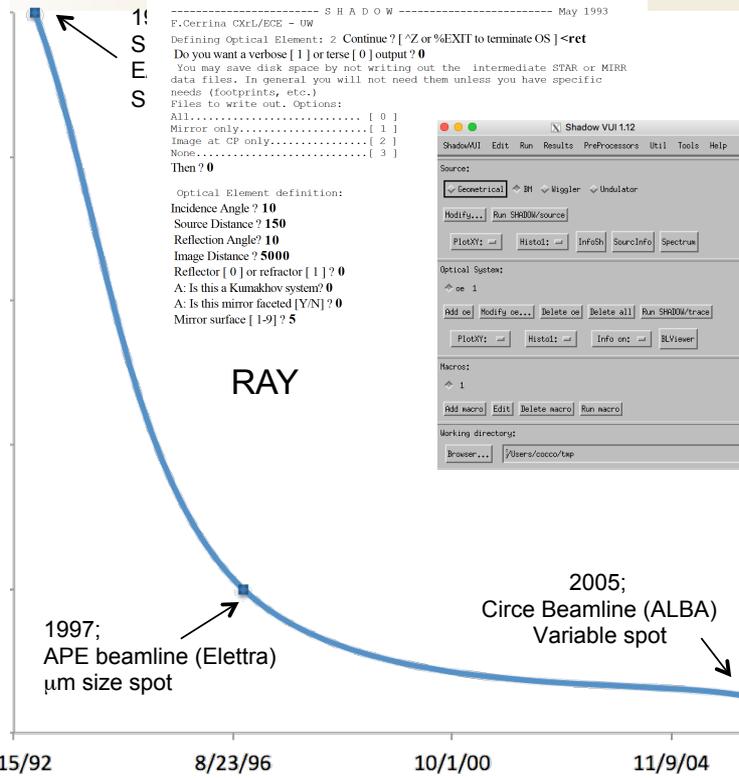


# Pushing the envelope



# Pushing the envelope – simulation?

SRW → HYBRID



PHAS

2011, LCLS/CXI  
NSLS II 5 nm spot  
0.2 µm spot  
Wavefront preservation  
1.015;  
SR > 0.97

# Pushing the envelope – simulation?

SRW → HYBRID

Yes, there is a trend but, still, there is a sort of disconnection between advancement in metrology/manufacturing/requirements and simulations

Personal feeling?  
Simulations have always been seen as a simple thing, to be managed by a handful of volunteers. No need to invest much money!

1997;  
APE beamline (Elettra)

Variable spot

Wavefront preservation

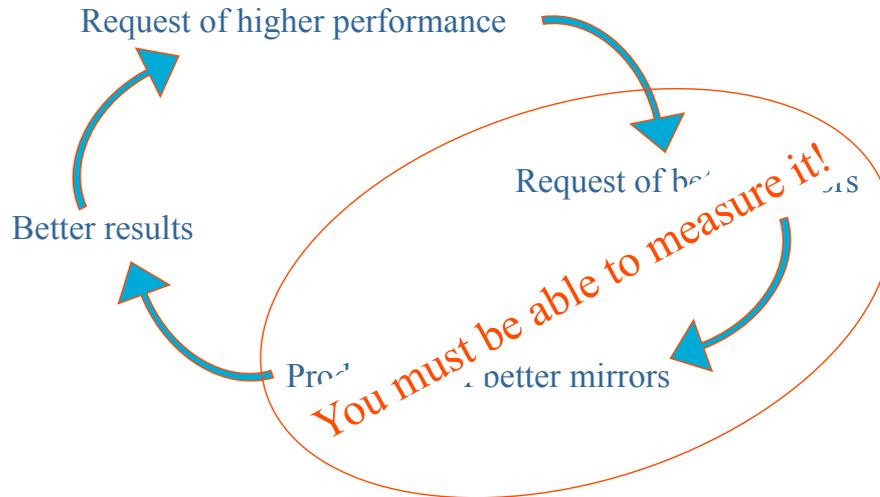
But, this workshop is giving me hope!

7/15/92 8/23/96 10/1/00 11/9/04 12/18/08 1/26/13

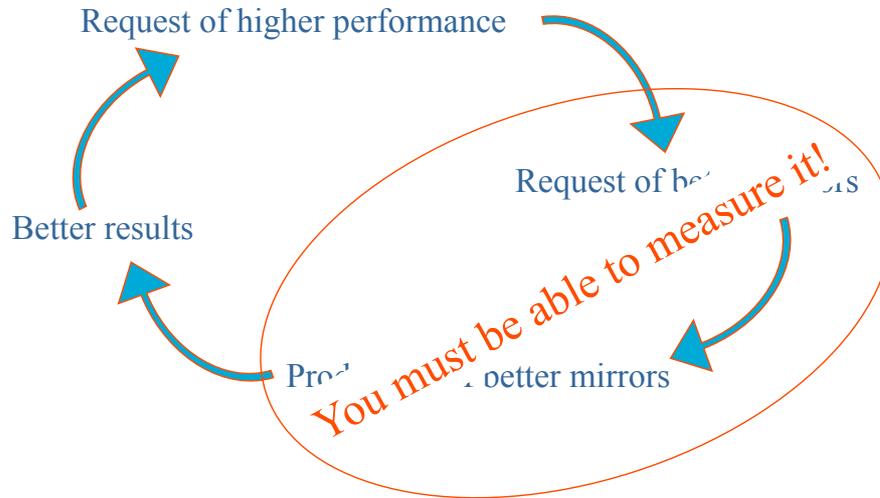


# Metrology

SLAC



COST Action P 7  
KO meeting  
Orsay Sept. 6<sup>th</sup> 2002



Internal review  
Mirror and Metrology  
Menlo Park, Feb. 2014

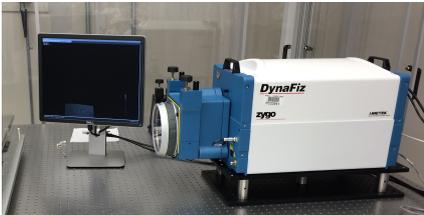
Metrology improvement drove the mirror manufacturing improvement and, ultimately, push the science forefront limits\*

*\*....ok... it's a bit of a stretch...*

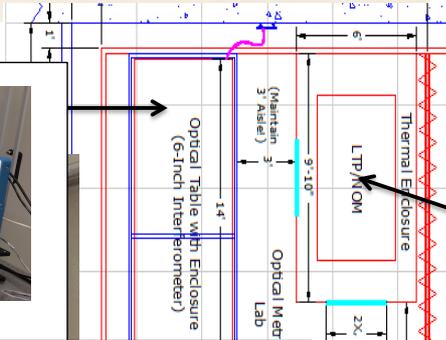
# SLAC, for the first time in 50 years, has a metrology Lab.

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Class 1,000  
Based on  
Enclosure



Cleanroom and interferometer supported by LCLS XIP



Profilometer supported by LCLS II project funds



White light interferometer supported by LCLS

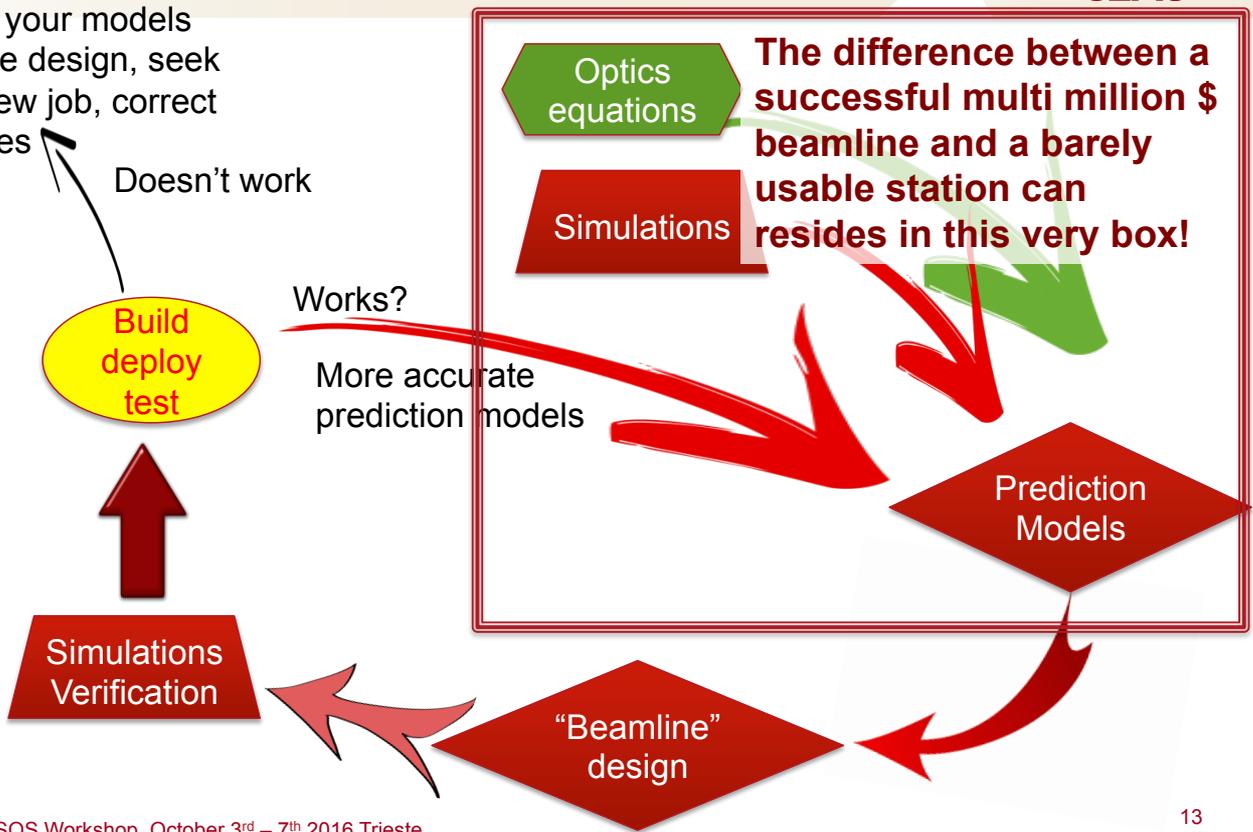


Humidity and temperature controlled by maintaining stable the circulating air.  
 Temperature stability: +/- 0.5°C with up to 8 people in the room (by design) at 85°F  
 Humidity: +/- 2.5% at 50%

# Simulations

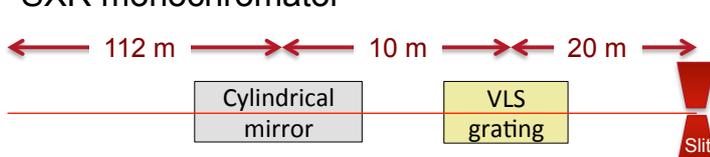
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Refine your models  
improve design, seek  
for a new job, correct  
mistakes



# Simulation assisted mistakes

## SXR monochromator



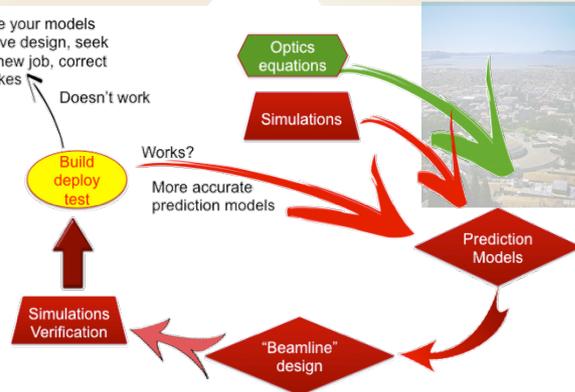
Refine your models  
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mistakes

Resolving power =  $\lambda/\Delta\lambda = E/\Delta E$

$\Delta\lambda_{entrance} = \frac{s \cdot \cos(\alpha)}{Nkr}$        $\Delta\lambda_{exit} = \frac{s' \cdot \cos(\beta)}{Nkr'}$       Entrance and exit slit contribution (with slope errors included in s')

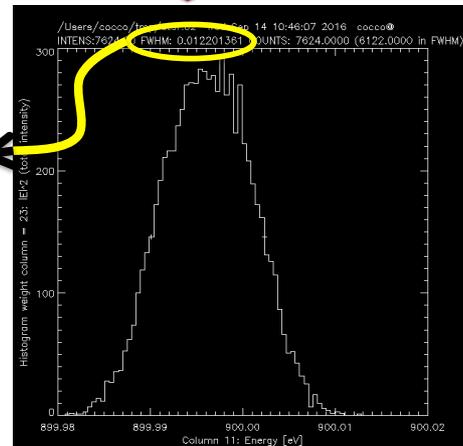
$\frac{\Delta\lambda}{\lambda} = \frac{\delta d}{d}$       Groove placing precision contribution

For a 600 l/mm grating, source  $\sigma'=10 \mu\text{rad}$ ,  $\sigma=27 \mu\text{m}$  →  
Calculated resolving power at 900 eV = **73,700**



FWHM = 0.0122 eV  
 $E/\Delta E=73,770$

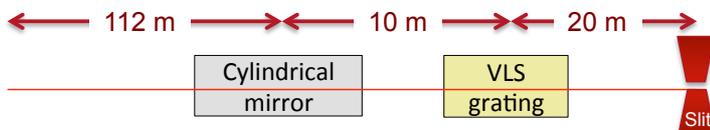
Pretty cool but WRONG!



# Simulation assisted mistakes

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## SXR monochromator



$$\text{Resolving power} = \lambda/\Delta\lambda = E/\Delta E$$

$$\Delta\lambda_{\text{entrance}} = \frac{s \cdot \cos(\alpha)}{Nkr} \quad \Delta\lambda_{\text{exit}} = \frac{s' \cdot \cos(\beta)}{Nkr'}$$

Entrance and exit slit contribution (with slope errors included in s')

$$\frac{\Delta\lambda}{\lambda} = \frac{\delta d}{d}$$

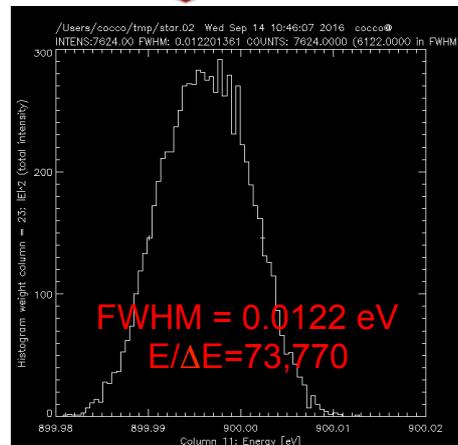
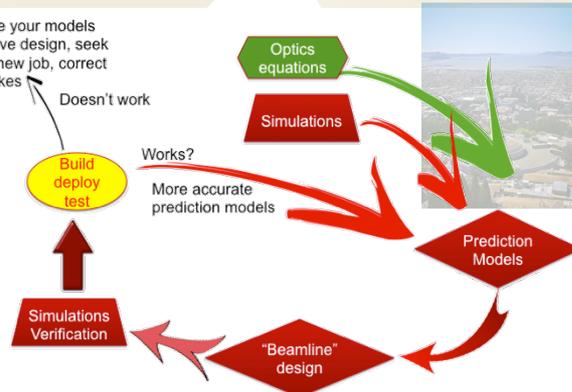
Groove placing precision contribution

For a 600 l/mm grating, source  $\sigma'=10 \mu\text{rad}$ ,  $\sigma=27 \mu\text{m}$  →  
 Calculated resolving power at 900 eV = **73,700**

Diffraction limited contribution:  $\Delta E/E = 1/N$

$N=600(\text{l/mm}) \cdot 0.01\text{mrad} \cdot 112\text{m} / 0.0189\text{rad} [\alpha] = 35,500$   
 e.g.  $\Delta E=0.025 \text{ eV}$

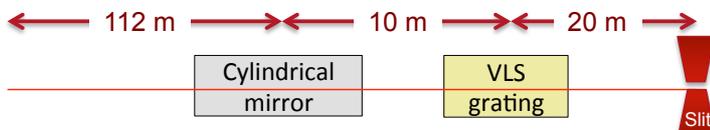
Refine your models  
 improve design, seek  
 for a new job, correct  
 mistakes



# Simulation assisted mistakes

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## SXR monochromator



$$\text{Resolving power} = \lambda/\Delta\lambda = E/\Delta E$$

$$\Delta\lambda_{\text{entrance}} = \frac{s \cdot \cos(\alpha)}{Nkr} \quad \Delta\lambda_{\text{exit}} = \frac{s' \cdot \cos(\beta)}{Nkr'}$$

Entrance and exit slit contribution (with slope errors included in s')

$$\frac{\Delta\lambda}{\lambda} = \frac{\delta d}{d}$$

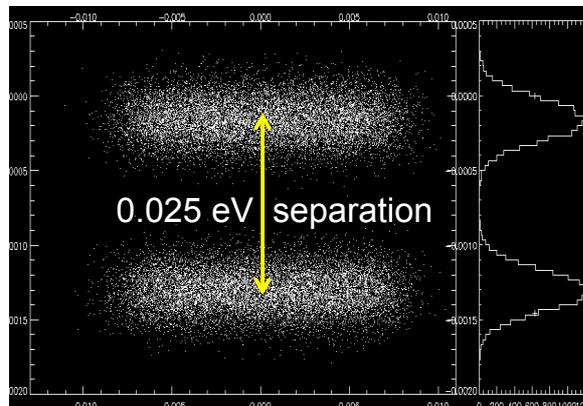
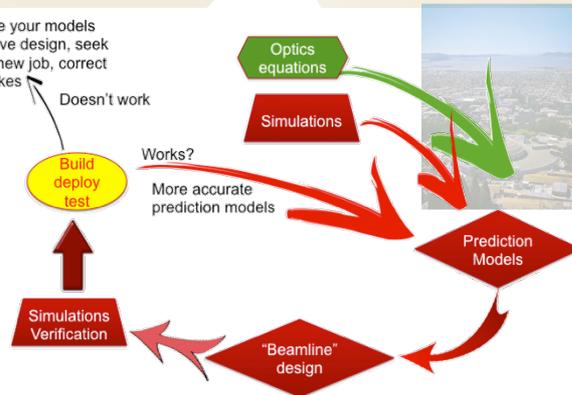
Groove placing precision contribution

For a 600 l/mm grating, source  $\sigma' = 10 \mu\text{rad}$ ,  $\sigma = 27 \mu\text{m} \rightarrow$   
 Calculated resolving power at 900 eV = **73,700**

Diffraction limited contribution:  $\Delta E/E = 1/N$

$N = 600(\text{l/mm}) \cdot 0.01\text{mrad} \cdot 112\text{m} / 0.0189\text{rad} [\alpha] = 35,500$   
 e.g.  $\Delta E = 0.025 \text{ eV}$

Refine your models  
 improve design, seek  
 for a new job, correct  
 mistakes



# Similarly.....

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Exercise:

Estimate and simulate, if needed, the spot size of this beamline and the required mirror specifications!

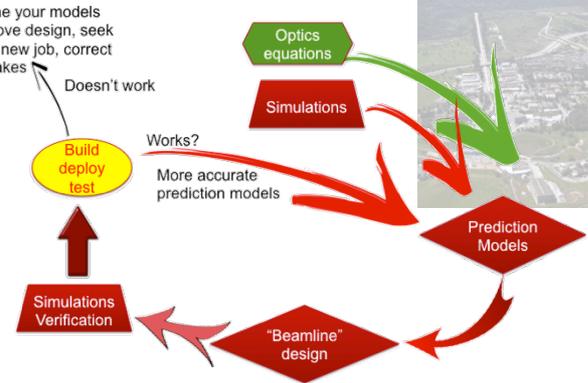
$$s' = \sqrt{\delta_{dif}^2 + \delta_D^2 + \delta_{\sigma rms}^2}$$

$\delta_{dif}$  = diffraction limited spot

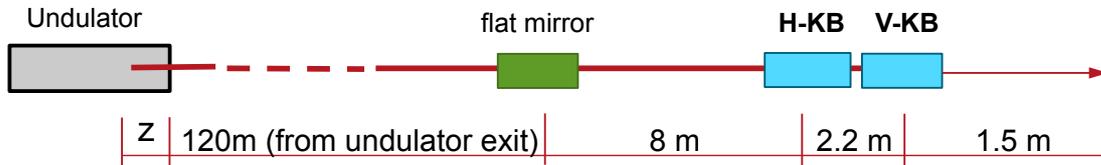
$\delta_M$  = source limited ( $s'/s=r'/r$ )

$\delta_{\sigma rms}$  = slope errors contribution

Refine your models  
improve design, seek  
for a new job, correct  
mistakes



At which extent, is this correct?



# Shape and not slope

## Specification of glancing- and normal-incidence x-ray mirrors

Eugene L. Church, FELLOW SPIE  
 Peter Z. Takacs, MEMBER SPIE  
 Brookhaven National Laboratory  
 Upton, New York 11973



System coherence length ( $W$ )

$$W = \frac{\sqrt{2}\lambda}{\Theta \sin \vartheta}$$

Angular radius ( $1/e^2$ )  $\rightarrow$



In a diffraction limited optics:

$$\Theta = \frac{\lambda}{L \sin \vartheta} \quad W \approx \sqrt{2}L$$

$$\frac{I(0)}{I_0(0)} = 1 - \frac{8}{\Theta^2} \mu_{\text{rms}}^2 - \left( \frac{4\pi}{\lambda} \cos \theta_i \right)^2 \sigma_{\text{rms}}^2$$

Intensity in focus (Strehl Ratio)

$$\mu_{\text{rms}}^2 = (2\pi)^2 \int_{1/L}^{1/W} df_x \text{PSD}(f_x) f_x^2$$

Slope errors contribution

$$\sigma_{\text{rms}}^2 = \int_{1/W}^{1/\lambda} df_x \text{PSD}(f_x)$$

Surface finishing contribution

## Effect of slope errors on the performance of mirrors for x-ray free electron laser applications

Tom Pardini,<sup>1,\*</sup> Daniele Cocco,<sup>2</sup> and Stefan P. Hau-Riege<sup>1</sup>

<sup>1</sup>Lawrence Livermore National Laboratory, Livermore, California 94550, USA

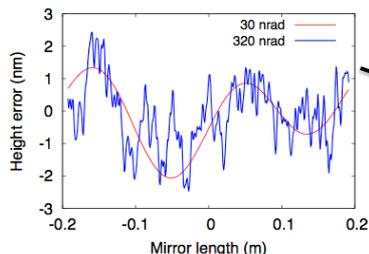
<sup>2</sup>SLAC National Accelerator Laboratory, Menlo Park, California 94566, USA

In a diffraction-limited optic, with  $W > L$  (classical FEL cases), only shape errors are important and slope errors, in principle, does not play any role in spot enlargement or beam inhomogeneity

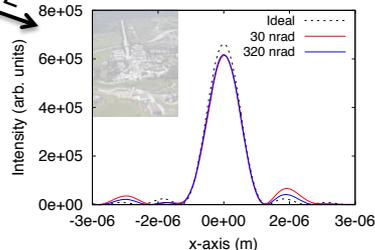
# Shape and not slope

## Specification of glancing- and normal-incidence x-ray mirrors

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$W > L$



System coherence length ( $W$ )

$$W = \frac{\sqrt{2}\lambda}{\Theta \cos \vartheta}$$

Angular radius ( $1/e^2$ )  $\rightarrow$

In a diffraction-limited optic,  
 $W > L$  (Mirror length)

### Effect of slope errors on the performance of mirrors for x-ray free electron laser applications

Tom Pardini,<sup>1,\*</sup> Daniele Cocco,<sup>2</sup> and Stefan P. Hau-Riege<sup>1</sup>

<sup>1</sup>Lawrence Livermore National Laboratory, Livermore, California 94550, USA  
<sup>2</sup>SLAC National Accelerator Laboratory, Menlo Park, California 94566, USA

Ordering (procuring) a 30 or 300 nrad slope error mirrors does not make any difference

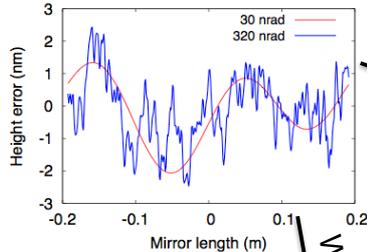
Simulations tell you this, only if you ask the right question!

In a diffraction-limited optic, with  $W > L$  (classical FEL cases), only shape errors are important and slope errors, in principle, does not play any role in spot enlargement or beam inhomogeneity

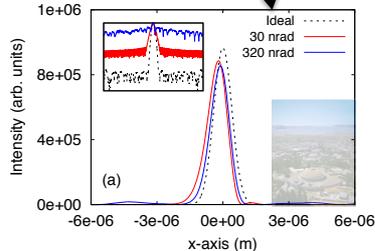
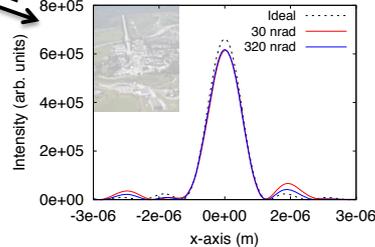
# But slope can be important

## Specification of glancing- and normal-incidence x-ray mirrors

Eugene L. Church, FELLOW SPIE  
 Peter Z. Takacs, MEMBER SPIE  
 Brookhaven National Laboratory  
 Upton, New York 11973



$W > L$



But... be careful! Not knowing the entire validity of the model, can be dangerous!

System coherence length ( $W$ )

$$W = \frac{\sqrt{2}\lambda}{\Theta \cos \vartheta}$$

Angular radius ( $1/e^2$ )  $\rightarrow$   $\Theta \cos \vartheta$

In a diffraction-limited optic,  $W > L$  (Mirror length)

## Effect of slope errors on the performance of mirrors for x-ray free electron laser applications

Tom Pardini,<sup>1,\*</sup> Daniele Cocco,<sup>2</sup> and Stefan P. Hau-Riege<sup>1</sup>

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In a diffraction-limited optic, with  $W > L$  (classical FEL cases), only shape errors are important and slope errors, in principle, does not play any role in spot enlargement or beam inhomogeneity

# Therefore...

Exercise:

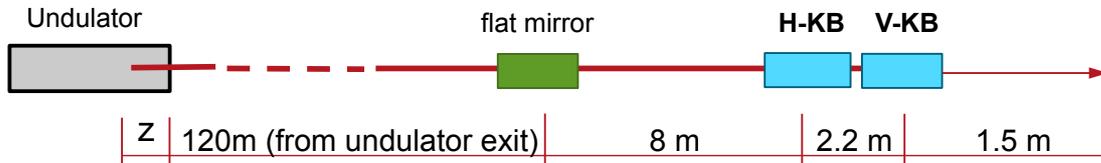
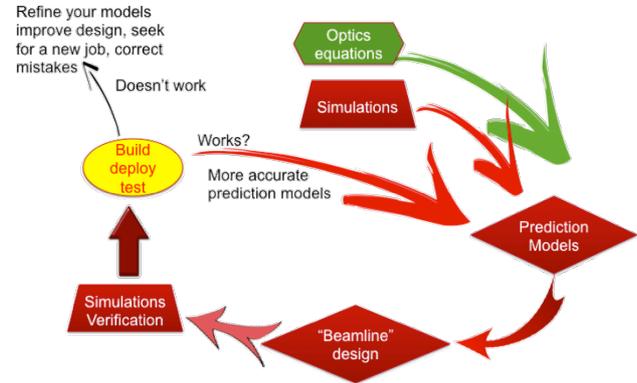
Estimate and simulate, if needed, the spot size of this beamline and the required mirror specifications!

$$s' = \sqrt{\delta_{dif}^2 + \delta_D^2 + \delta_{\sigma rms}^2}$$

$\delta_{dif}$  = diffraction limited spot

$\delta_M$  = source limited ( $s'/s=r'/r$ )

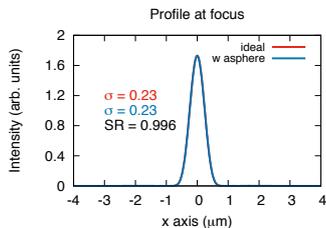
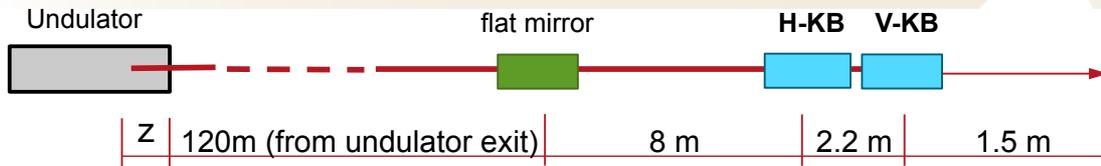
$\delta_{\sigma rms}$  = slope errors contribution



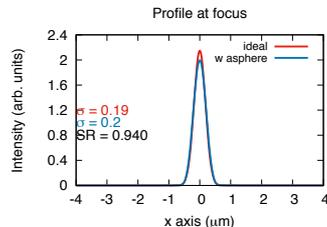
Simulations and models give very similar results  
 The simulation give the correct result.  
 Is the question that is wrong!

# Not an easy answer – Example: diffraction limited spot

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500 eV



1300 eV

$$S_{FWHM} = \frac{\lambda}{2L \sin \vartheta / r'}$$

Not the mirror length but the beam footprint

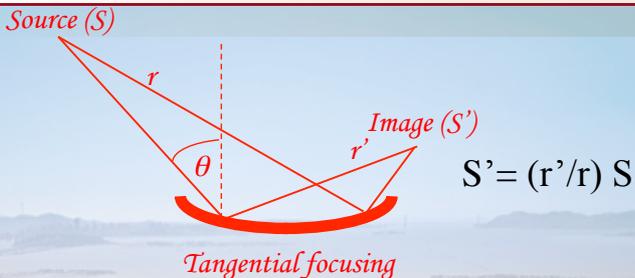
Simulated FWHM 0.54	Simulated FWHM 0.45
Calculated FWHM 0.54	Calculated FWHM 0.48

Simulation and model in good agreement



And, if  $r'$  is short, be sure to use the proper f-number

# How to treat mirror defects

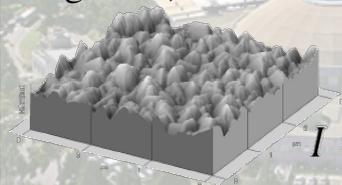


Adding rms slope errors  $\sigma_{SE}$

$$\Delta s' = 2 r' \sigma_{SE}$$

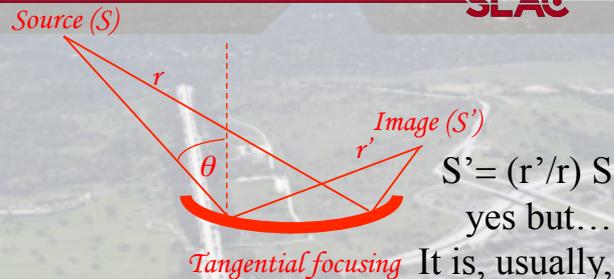
$$S' = \sqrt{((r'/r)S)^2 + (2 r' \sigma_{SE})^2}$$

Taking into account the effect of  $\sigma_R$  (rms roughness)



$$I = I_0 e^{-\left(\frac{4\pi\sigma_R \sin\vartheta}{\lambda}\right)^2}$$

**Pretty much it works!**



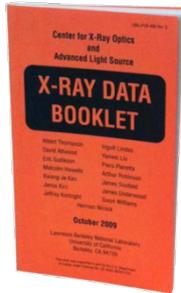
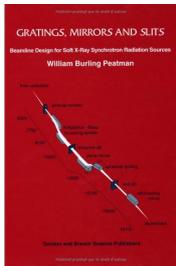
It is, usually, a diffraction limited spot

$$S_{FWHM} = \frac{\lambda}{2 L \sin \vartheta / r'}$$

Slopes not that important, more to come.....

# Beamline Design for Synchrotron Radiation

Make extensive use of formula/models universally accepted

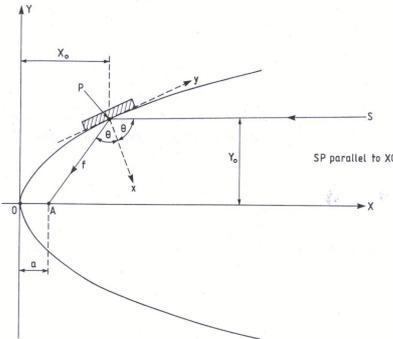
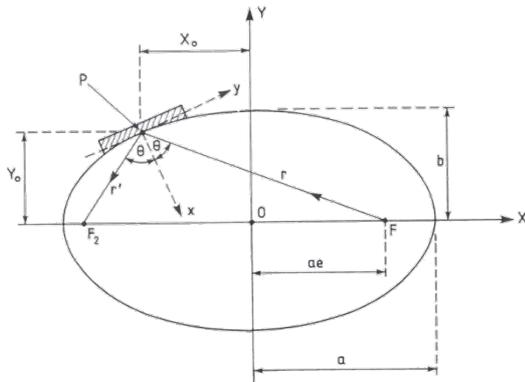


Tangential focus:

$$\left(\frac{1}{r} + \frac{1}{r'_t}\right) \frac{\cos \vartheta}{2} = \frac{1}{R}$$

Sagittal focus:

$$\left(\frac{1}{r} + \frac{1}{r'_s}\right) \frac{1}{2 \cos \vartheta} = \frac{1}{\rho}$$



# Beamline Design for Synchrotron Radiation



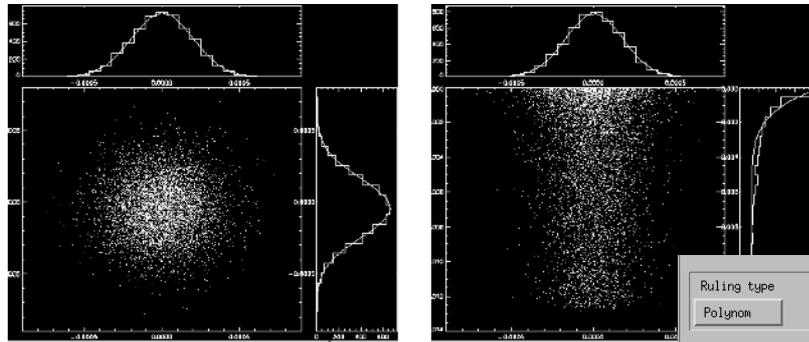
<p><b>Fermat's principle</b></p> <p>Light rays choose their paths to minimize the optical length</p> $\int_A^B n(\vec{r}) dl$ <p>where <math>n(\vec{r})</math> is the index of refraction of the medium and <math>dl</math> is the line segment along the path.</p> <p>Fermat's principle is also known as the principle of least time:</p> $\int_A^B n(\vec{r}) dl = \int_A^B \frac{c}{v} dl = c \int_A^B dt$ <p>© Cocco X-Ray optics, ESRF, 6-15 April 2011</p>	<p><b>Optical path</b></p> <p>For a classical grating with rectangular grooves parallel to <math>z</math> with constant spacing <math>d</math>, the optical path length is:</p> $F = AP + PB + kN\lambda y$ <p>where <math>\lambda</math> is the wavelength of the diffracted light, <math>k</math> is the order of diffraction (<math>\pm 1, \pm 2, \dots</math>), <math>N=d/d</math> is the groove density</p> <p>© Cocco X-Ray optics, ESRF, 6-15 April 2011</p>	<p><b>Optical Path - Focal condition</b></p> <p>Let us consider some number of light rays starting from A and impinging on the grating at different points P. Fermat's principle states that if the point A is to be imaged at the point B, then all the optical path lengths from A via the grating surface to B will be the same.</p> <p>B is the point of a perfect focus if:</p> $\frac{\partial F}{\partial y} = 0 \quad \frac{\partial F}{\partial z} = 0$ <p>for any pair of <math>(y, z)</math></p> <p>© Cocco X-Ray optics, ESRF, 6-15 April 2011</p>	<p><b>Optical Path - Focal condition</b></p> <p>Equations:</p> $F = AP + PB + kN\lambda y + \frac{\partial F}{\partial y} = 0 \quad \frac{\partial F}{\partial z} = 0 \text{ for any pair of } (y, z)$ <p>can be used to decide on the required characteristics of the diffraction grating, in particular the shape of the surface, the groove density, the object and image distances.</p> <p>© Cocco X-Ray optics, ESRF, 6-15 April 2011</p>
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<p><b>Aberrated image</b></p> <p>In general, <math>\frac{\partial F}{\partial y}</math> and <math>\frac{\partial F}{\partial z}</math> are functions of <math>y</math> and <math>z</math> and can not be made zero for any <math>y, z</math></p> <p>→ when the point P wanders over the grating surface, diffracted rays fall on slightly different points on the focal plane and an aberrated image is formed</p> <p>Goal: produce simple expressions for the intersection points in the image plane produced by the rays diffracted from different points on the grating surface</p> <p>© Cocco X-Ray optics, ESRF, 6-15 April 2011</p>	<p><b>Grating surface</b></p> <p>The grating surface may in general be described by a series expansion:</p> $x = \sum_{n=1}^{\infty} a_n y^n z^n$ <p>→ <math>a_{2n} = 2a_{2n} = 0</math> because of the choice of origin i.e. even if the <math>x, y</math> planes is a symmetry plane</p> <p>Giving suitable values to the coefficients <math>a_n</math>'s we obtain the expressions for the various geometrical surfaces.</p> <p>© Cocco X-Ray optics, ESRF, 6-15 April 2011</p>	<p><b>Typical surfaces</b></p> <p><b>Toroid</b></p> $a_{21} = \frac{1}{2\rho^2}, \quad a_{22} = \frac{1}{2R^2}, \quad a_{23} = \frac{1}{4R^2\rho^2}, \quad a_{41} = \frac{1}{8R^4}$ $a_{42} = \frac{1}{8\rho^4}, \quad a_{43} = 0, \quad a_{44} = 0$ <p>Sphere, cylinder and plane are special cases of toroid:      Sphere → cylinder      B = ∞ → cylinder      R = ∞ → plane</p> <p><b>Paraboloid</b></p> $a_{21} = \frac{1}{4f \cos \theta}, \quad a_{22} = \frac{\cos \theta}{4f}, \quad a_{23} = \frac{3 \sin^2 \theta}{32f^2 \cos \theta}$ $a_{41} = \frac{\tan \theta}{8f^2}, \quad a_{42} = -\frac{\sin \theta \cos \theta}{8f^2}$ $a_{43} = \frac{3 \sin^3 \theta \cos \theta}{64f^3}, \quad a_{44} = \frac{\sin^4 \theta}{64f^3 \cos^2 \theta}$ <p>© Cocco X-Ray optics, ESRF, 6-15 April 2011</p>	<p><b>Optical Path Function</b></p> $F = AP + PB + kN\lambda y$ $AP = \sqrt{x^2 + y^2 + z^2}, \quad PB = \sqrt{x^2 + (y - y_0)^2 + (z - z_0)^2}$ $x = r \cos \alpha, \quad y = r \sin \alpha$ $x_0 = r_0 \cos \beta, \quad y_0 = r_0 \sin \beta$ $F = \sum_{ijk} F_{ijk} y^i z^j$ $= F_{000} + y F_{100} + z F_{010} + \frac{1}{2} y^2 F_{200} + \frac{1}{2} z^2 F_{020} + \frac{1}{2} y z F_{110} + \frac{1}{2} y^2 z F_{210} + \frac{1}{8} y^3 F_{300} + \frac{1}{4} y^2 z^2 F_{210} + \frac{1}{8} z^3 F_{030} + y z^2 F_{111} + \frac{1}{2} y^2 F_{210} + \frac{1}{4} y^2 F_{210} + \frac{1}{2} y^2 z^2 F_{210} + \dots$ <p>© Cocco X-Ray optics, ESRF, 6-15 April 2011</p>
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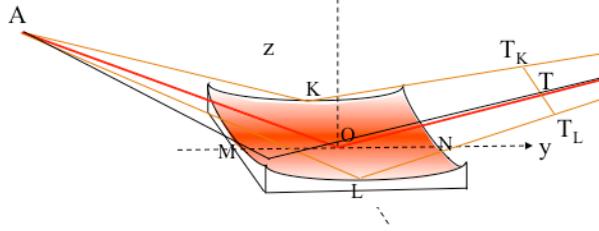
<p><b>Perfect focal condition</b></p> $\frac{\partial F}{\partial y} = 0 \quad \frac{\partial F}{\partial z} = 0 \text{ for any pair of } (y, z)$ $F'_{ijk} = 0 \text{ for all } ijk \neq (000)$ <p>Each term <math>F_{ijk} y^i z^j</math> in the series (except <math>F_{000}</math> and <math>F_{100}</math>) represents a particular type of aberration.</p> <p>© Cocco X-Ray optics, ESRF, 6-15 April 2011</p>	<p><b>Aberations Terms</b></p> <p>for <math>z \gg a_0, b_0</math></p> $F_{000} = r + r'$ $F_{100} = N\lambda d \cdot (\sin \alpha + \sin \beta)$ $F_{200} = \frac{(\cos \alpha + \cos \beta)^2}{r} - 2a_0 (\cos \alpha + \cos \beta)$ $F_{210} = \frac{1}{r} \frac{1}{r'} - 2a_1 (\cos \alpha + \cos \beta)$ $F_{220} = \frac{T(r, \alpha)}{r} \sin \alpha - \frac{T(r', \beta)}{r'} \sin \beta - 2a_2 (\cos \alpha + \cos \beta)$ $F_{230} = \frac{S(r, \alpha)}{r} \sin \alpha - \frac{S(r', \beta)}{r'} \sin \beta - 2a_3 (\cos \alpha + \cos \beta)$ <p>where <math>T(r, \alpha) = \frac{\cos^3 \alpha}{r} - 2a_0 \cos \alpha</math> and <math>S(r, \alpha) = \frac{1}{r} - 2a_1 \cos \alpha</math> and analogous expressions for <math>T(r', \beta)</math> and <math>S(r', \beta)</math></p> <p>© Cocco X-Ray optics, ESRF, 6-15 April 2011</p>	<p><b>Aberations Terms</b></p> <p><math>F_{100} = 0 \iff \sin \alpha + \sin \beta = N\lambda d</math> <b>grating equation</b></p> <p>Most important imaging errors:</p> <ul style="list-style-type: none"> <li><math>F_{200}</math> defocus (tangential focus)</li> <li><math>F_{210}</math> astigmatism (sagittal focus)</li> <li><math>F_{220}</math> primary coma (aperture defect)</li> <li><math>F_{230}</math> astigmatic coma</li> <li><math>F_{400}, F_{220}, F_{240}</math> spherical aberration</li> </ul> <p>There is an ambiguity in the naming of the aberrations in the grazing incidence case!</p> <p>© Cocco X-Ray optics, ESRF, 6-15 April 2011</p>	<p><b>Focal conditions</b></p> <p>The tangential focal distance <math>r'_t</math> is obtained by setting:</p> $F'_{200} = 0 \iff \left( \frac{\cos^3 \alpha}{r} + \frac{\cos^3 \beta}{r'} \right) - 2a_0 (\cos \alpha + \cos \beta) = 0$ <b>tangential focusing</b> <p>The sagittal focal distance <math>r'_s</math> is obtained by setting:</p> $F'_{210} = 0 \iff \frac{1}{r} \frac{1}{r'} - 2a_1 (\cos \alpha + \cos \beta) = 0$ <b>sagittal focusing</b> <p>Example: toroidal mirror</p> <p>Substituting <math>a_0 = \frac{1}{2\rho^2}</math>; <math>a_1 = \frac{1}{2R^2}</math> in <math>F_{200} = 0</math>; <math>F_{210} = 0</math> and imposing <math>\alpha = \beta = \theta</math></p> $\implies \left( \frac{1}{r} + \frac{1}{r'} \right) \frac{\cos^3 \theta}{2} = \frac{1}{R^2} \left( \frac{1}{r} + \frac{1}{r'} \right) \frac{1}{2 \cos^2 \theta}$ <p>© Cocco X-Ray optics, ESRF, 6-15 April 2011</p>
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# Beamline Design for Synchrotron Radiation

But, as good as you are, you should check it and optimize the design after ray tracing!



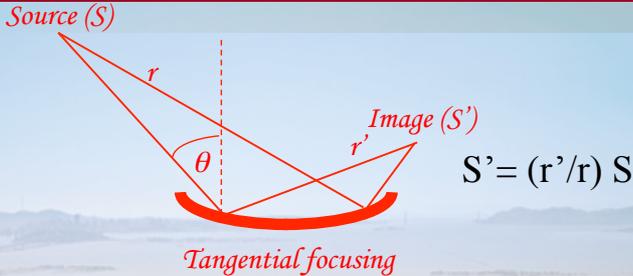
Always double check slope errors, groove density (for VLS gratings), combined effect of different optics, source variation and so on...



And, even if the option is available, please restrain from defining the VLS grating with 5 polynomial terms and several digits

Ruling type <input type="button" value="Polynom"/>	Poly. line density coeff: linear <input type="text" value="0.0000000"/>	Diffraction order <input type="text" value="-1.0000000"/>
	Poly. line density coeff: quadratic <input type="text" value="0.0027300000"/>	
	Poly. line density coeff: third power <input type="text" value="0.0000325"/>	
	Poly. line density coeff: fourth power <input type="text" value="0.000435"/>	
	Signed/Absolute <input type="button" value="Signed"/>	Mount type <input type="button" value="TGM/Seya"/>
Lines/CM (at origin) <input type="text" value="000.0000"/>	Auto tuning <input type="button" value="No"/>	

# How to treat mirror defects



Adding rms slope errors  $\sigma_{SE}$

$$\Delta s' = 2 r' \sigma_{SE}$$

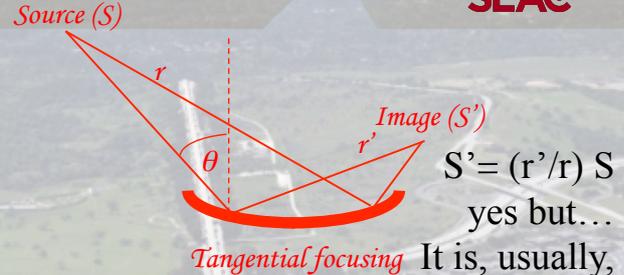
$$S' = \sqrt{((r'/r)S)^2 + (2 r' \sigma_{SE})^2}$$

Taking into account the effect of  $\sigma_R$  (rms roughness)



$$I = I_0 e^{-\left(\frac{4\pi\sigma_R \sin\vartheta}{\lambda}\right)^2}$$

**Pretty much it works!**



It is, usually, a diffraction limited spot

$$S_{FWHM} = \frac{\lambda}{2 L \sin \vartheta / r'}$$

Shape errors effect calculated by using the Strehl Ratio!

# Shape errors effect

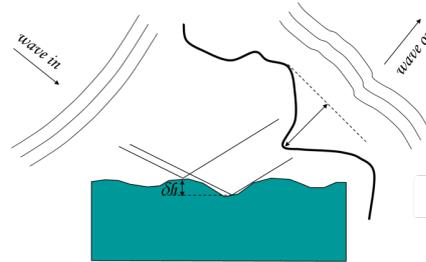
$$\text{Strehl Ratio} \approx e^{-(2\pi\varphi)^2} \approx 1 - (2\pi\varphi)^2$$

The Strehl Ratio (SR) is defined as a ratio of the maximum intensity in the focus, with and without wave front distortions which are introduced by the optics



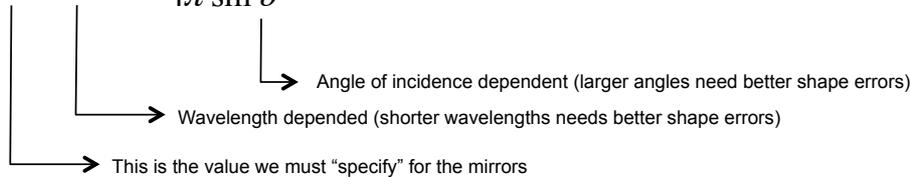
$$\varphi = \frac{2\delta h \sin \vartheta}{\lambda}$$

$\varphi$  is the wave distortion (phase)



$$\delta h = \lambda \frac{\sqrt{1 - \text{Strehl Ratio}}}{4\pi \sin \vartheta}$$

Maximum acceptable rms shape error for a given Strehl Ratio  
 $SR \geq 0.8$  (according to the Marechal Criterion) is necessary to have  
 "good" optical system

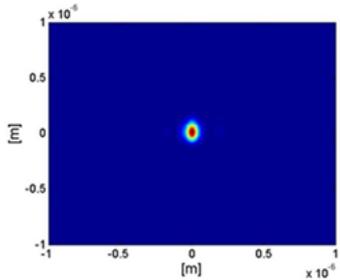


For a 12 mrad incidence mirror system and 3 mirrors, the required shape errors are:

- 1.6 nm rms @ 1.3 keV
- 4.2 nm rms @ 0.5 keV

# Shape errors effect

The Marechal Criterion states that a good optical system has a  $SR \geq 0.8$ ; e.g. In focus: the *Gaussian* spot intensity is  $\geq 0.8$  of the unperturbed *Gaussian* spot intensity



In focus

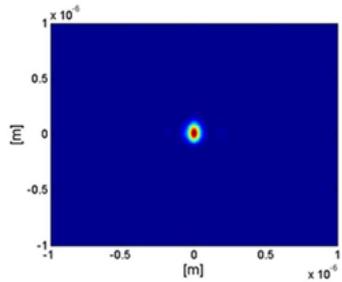


Yes... but what if working out of focus:

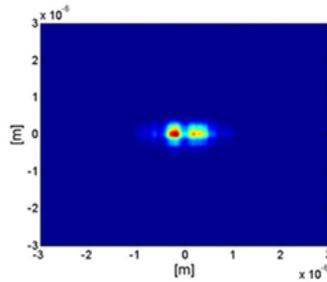
+Simulations of 3 mirrors in one direction and 1 in the other for a global SR of 0.8

# Shape errors effect – simulation supported decision!

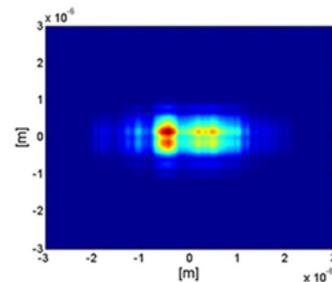
We need better.....



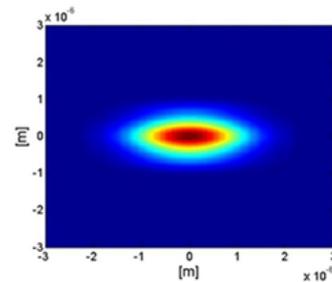
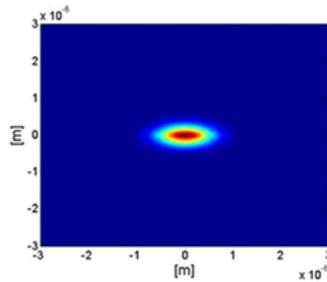
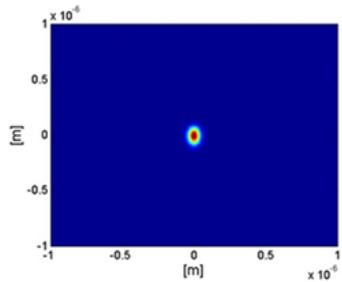
In focus



1 mm out of focus



2 mm out of focus



SR $\approx$ 0.8<sup>+</sup>

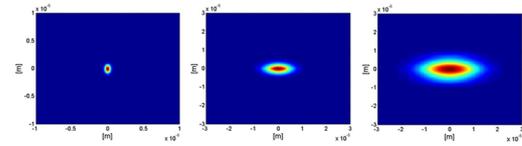
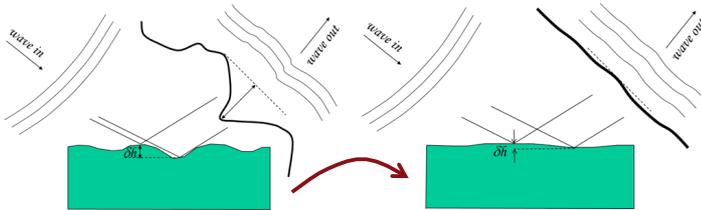
SR $\approx$ 0.97\*

<sup>+</sup>Simulations of 3 mirrors in one direction and 1 in the other for a global SR of 0.8

\* Simulation made with state of the art CXI mirrors

# LCLS beamlines upgrade

SLAC



SR  $\geq 0.80$   
if in focus only

SR  $\geq 0.97$

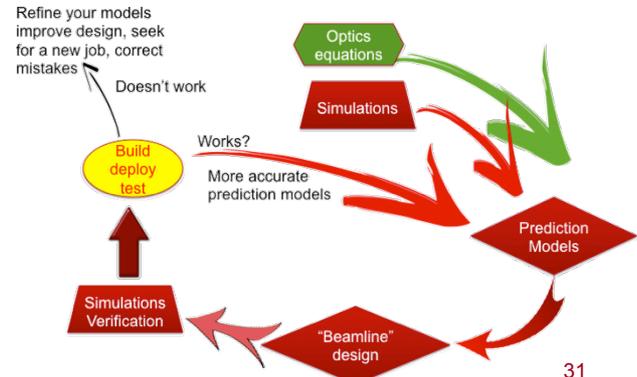
$$\text{Strehl Ratio} \approx e^{-(2\pi\varphi)^2} \approx 1 - (2\pi\varphi)^2$$

$$\varphi = \frac{2\delta h \sin \vartheta}{\lambda}$$

$$\delta h = \lambda \frac{\sqrt{1 - \text{Strehl Ratio}}}{4\pi \sin \vartheta}$$

HXR; 1.35 mrad, 13 keV  $\rightarrow$  **0.56 nm rms**

SXR; 12.0 mrad, 1.3 keV  $\rightarrow$  **0.6 nm rms**



# LCLS beamlines upgrade

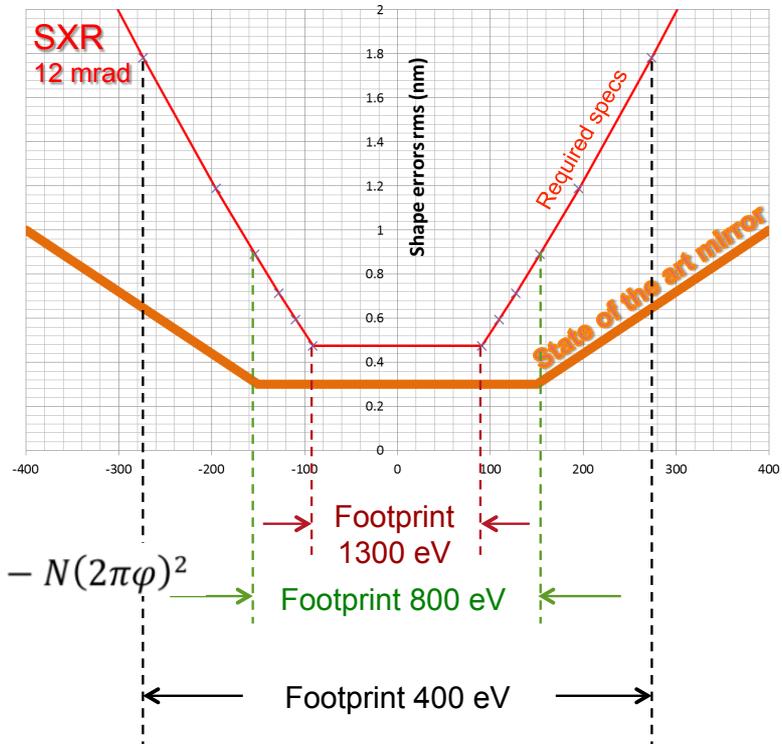
$$SR \approx e^{-(2\pi\varphi)^2} \quad \rightarrow \quad \varphi = \frac{2\delta h \sin \vartheta}{\lambda}$$

$$\delta h = \lambda \frac{\sqrt{1 - \text{Strehl Ratio}}}{4\pi \sin \vartheta}$$

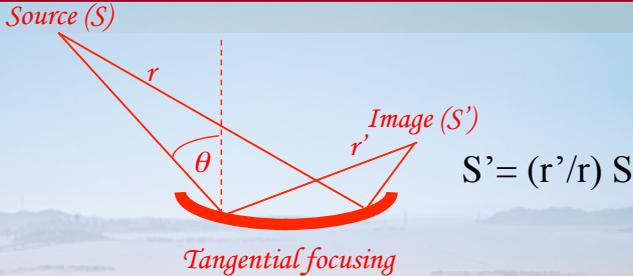
With more than one mirror:

$$SR = e^{-(2\pi\varphi_1)^2} \cdot e^{-(2\pi\varphi_2)^2} \dots \approx 1 - N(2\pi\varphi)^2$$

$$\delta h = \lambda \frac{\sqrt{1 - \text{Strehl Ratio}}}{4\pi \sin \vartheta \sqrt{N}}$$



# How to treat mirror defects

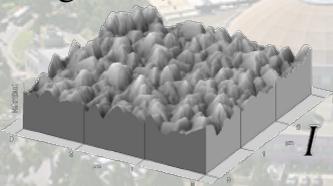


Adding rms slope errors  $\sigma_{SE}$

$$\Delta s' = 2 r' \sigma_{SE}$$

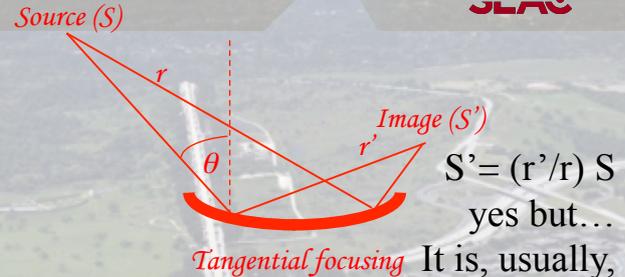
$$S' = \sqrt{((r'/r)S)^2 + (2 r' \sigma_{SE})^2}$$

Taking into account the effect of  $\sigma_R$  (rms roughness)



$$I = I_0 e^{-\left(\frac{4\pi\sigma_R \sin\vartheta}{\lambda}\right)^2}$$

**Pretty much it works!**



It is, usually, a diffraction limited spot

$$S_{FWHM} = \frac{\lambda}{2 L \sin \vartheta / r'}$$

Adding rms SHAPE errors  $\delta h$

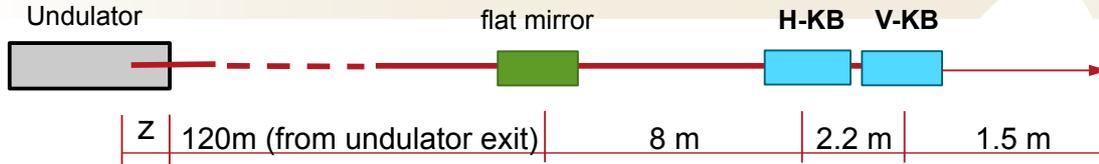
One can calculate the phase error

$$\varphi = \frac{2\delta h \sin \vartheta}{\lambda} \quad \text{and the Strehl Ratio:}$$

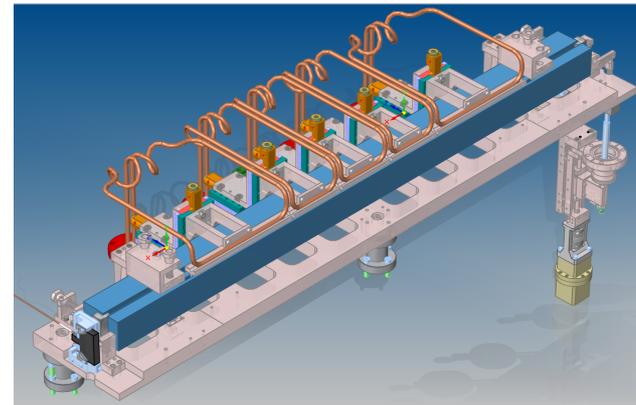
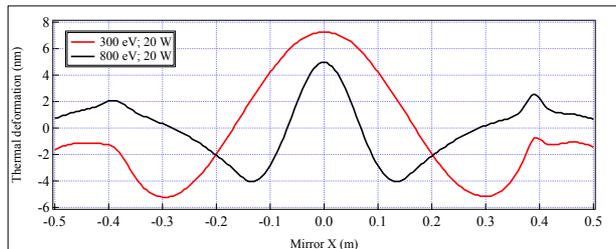
$$SR \approx e^{-(2\pi\varphi)^2} \approx 1 - (2\pi\varphi)^2$$

Be careful on asking for the correct SR

# Adding further effects



What if now one introduces the thermal bump and mechanical distortions?



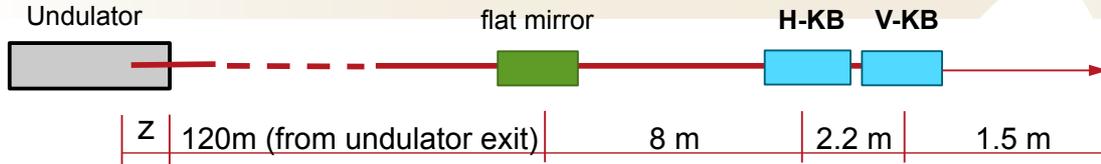
Process: Optimizing the Cooling and holder/bender design to minimize the wavefront distortion

Idea: embed the shape error effect into the FEA optimization process.

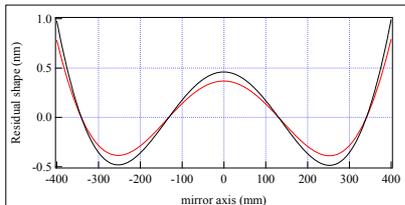
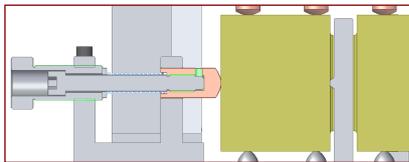
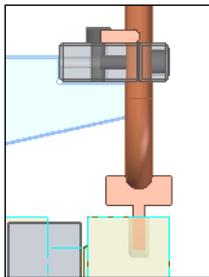
Cool, but: how can we really estimate the effect of this “strange” shape errors?

Is 0.5 nm rms a good target? Is too tight? Is too relaxed? And, on which footprint do we have to calculate?

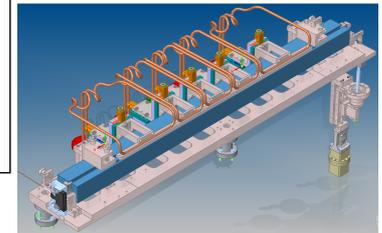
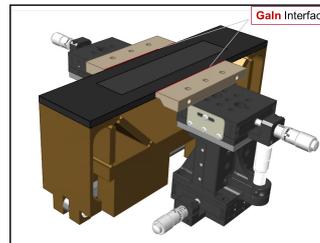
# Adding further effects



What if now one introduces the thermal bump and mechanical distortions?



Cooling optimizations, effect of Galn on the benders, mechanical induced distortions... One can't just minimize everything.

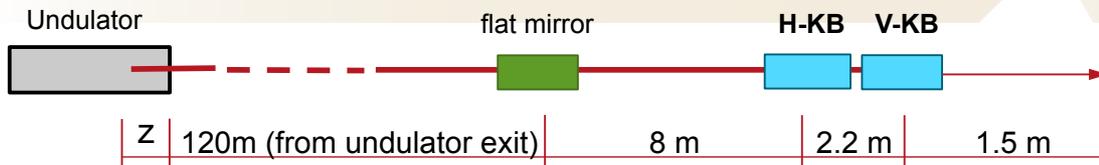


Idea: embed the shape error effect into the FEA optimization process.

Cool, but: how can we really estimate the effect of this "strange" shape errors?

Is 0.5 nm rms a good target? Is too tight? Is too relaxed? And, on which footprint do we have to calculate?

# Adding further effects – model validation



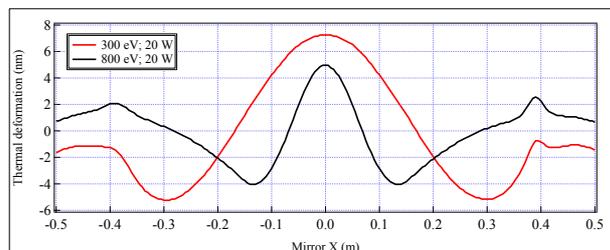
Photon energy (eV)	Max power with SR ≥ 0.97	Max power with SR ≥ 0.8	SR with 200 W incident
200	43 W	112 W	0.36
600	83 W	> 200 W	0.82
900	114 W	> 200 W	0.90
1300	42 W	109 W	0.32

$$SR^* = e^{-(2\pi\varphi_1)^2} \cdot e^{-(2\pi\varphi_2)^2} \dots$$

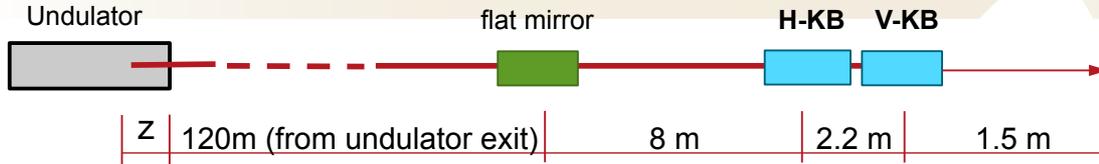
$$\varphi = \frac{2\delta h \sin \vartheta}{\lambda}$$

\* Known to work only for SR close to 1

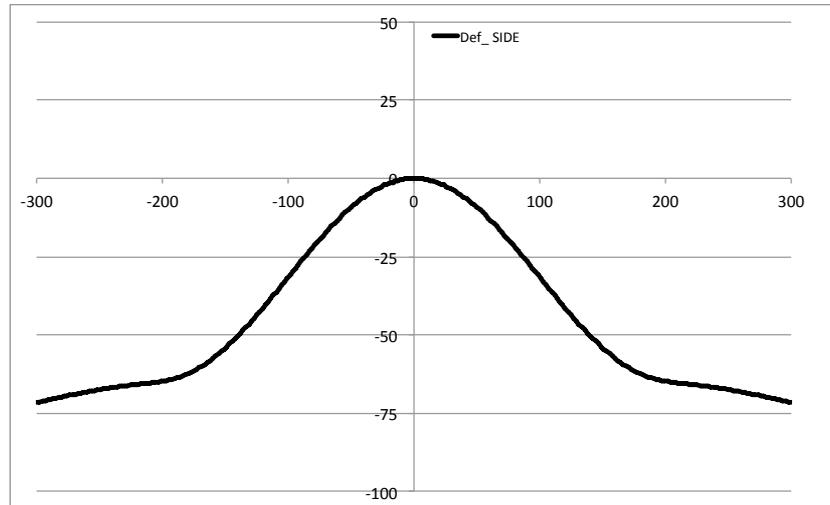
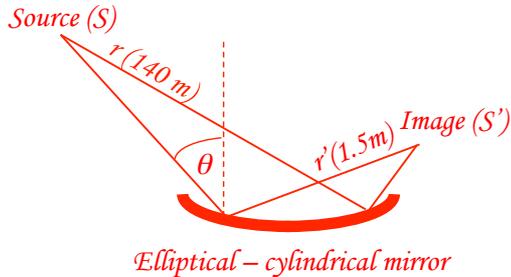
We have started our optimization by calculating the rms shape errors over 2 FWHM and used that to compute the SR.



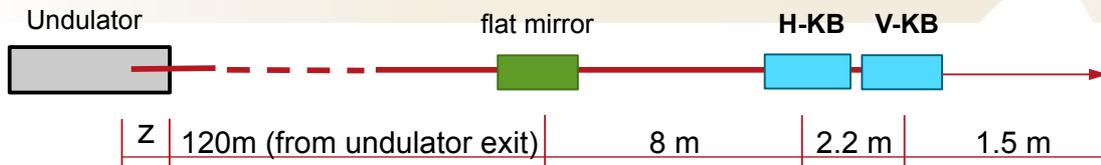
# How to calculate this effect?



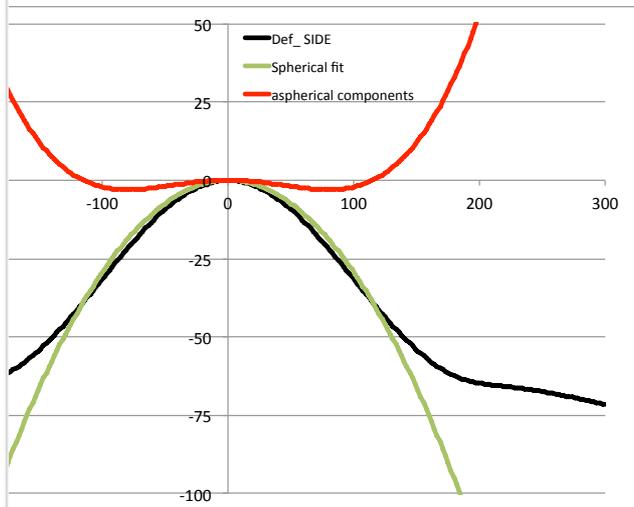
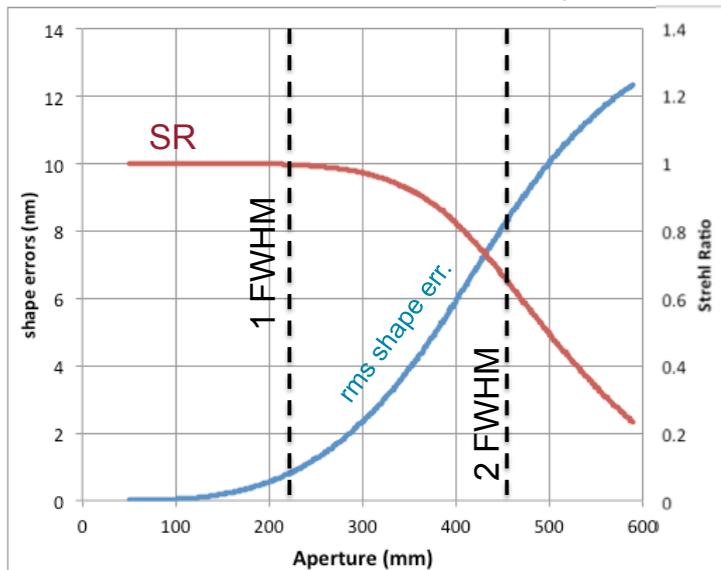
500 eV, including thermal deformations with 200 W incident;  
Simple case: 1D, 1 elliptical mirror



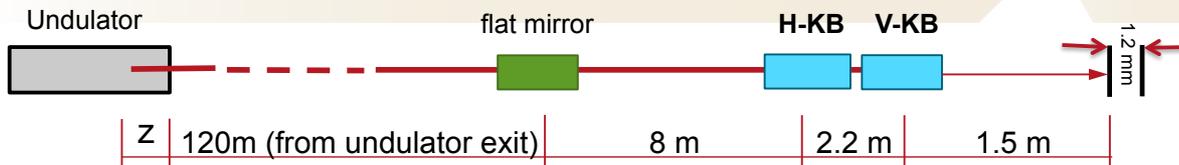
# How to calculate this effect?



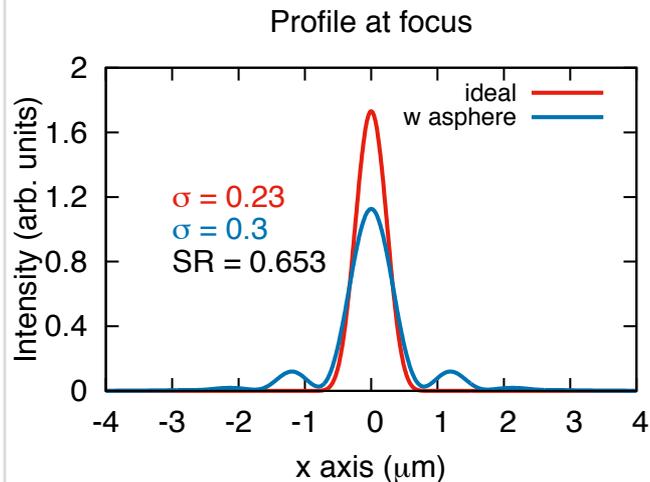
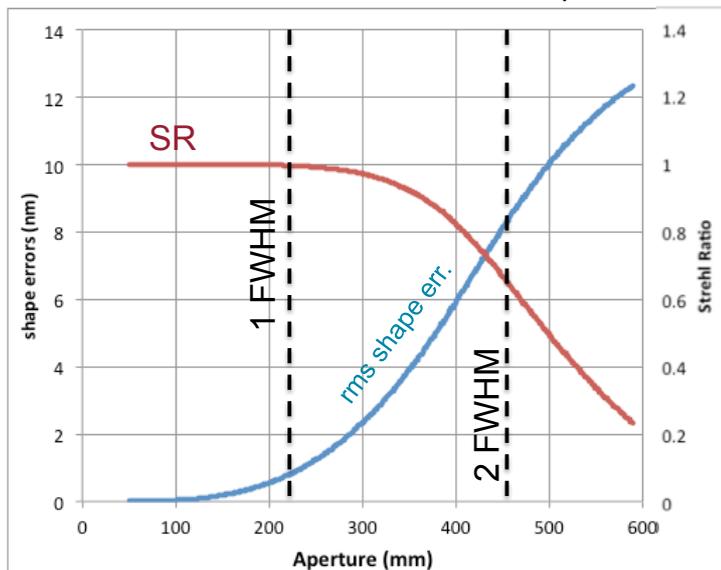
500 eV, including thermal deformations with 200 W incident;  
Simple case: 1D, 1 elliptical mirror



# How to calculate this effect?

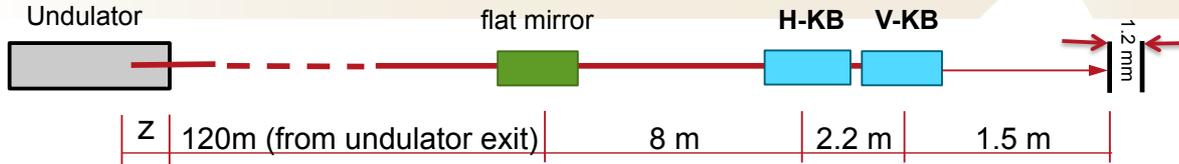


500 eV, including thermal deformations with 200 W incident;  
Simple case: 1D, 1 elliptical mirror

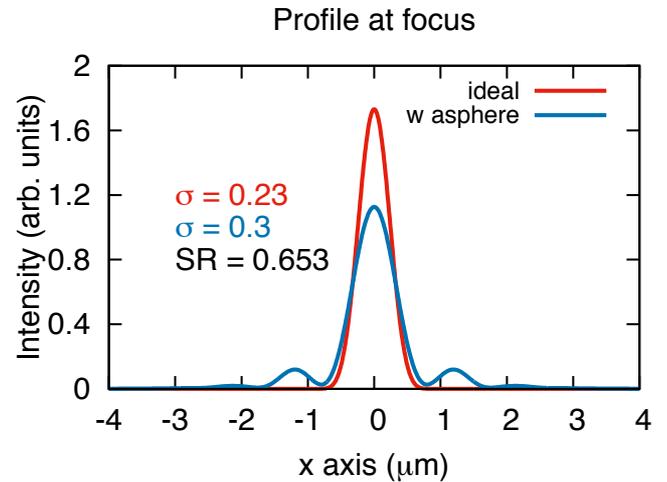
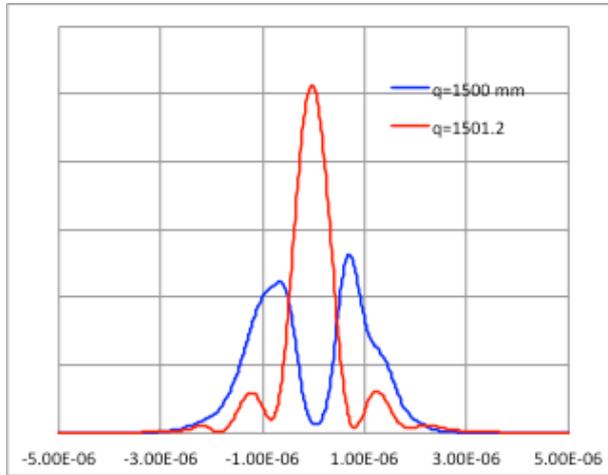


# How to calculate this effect?

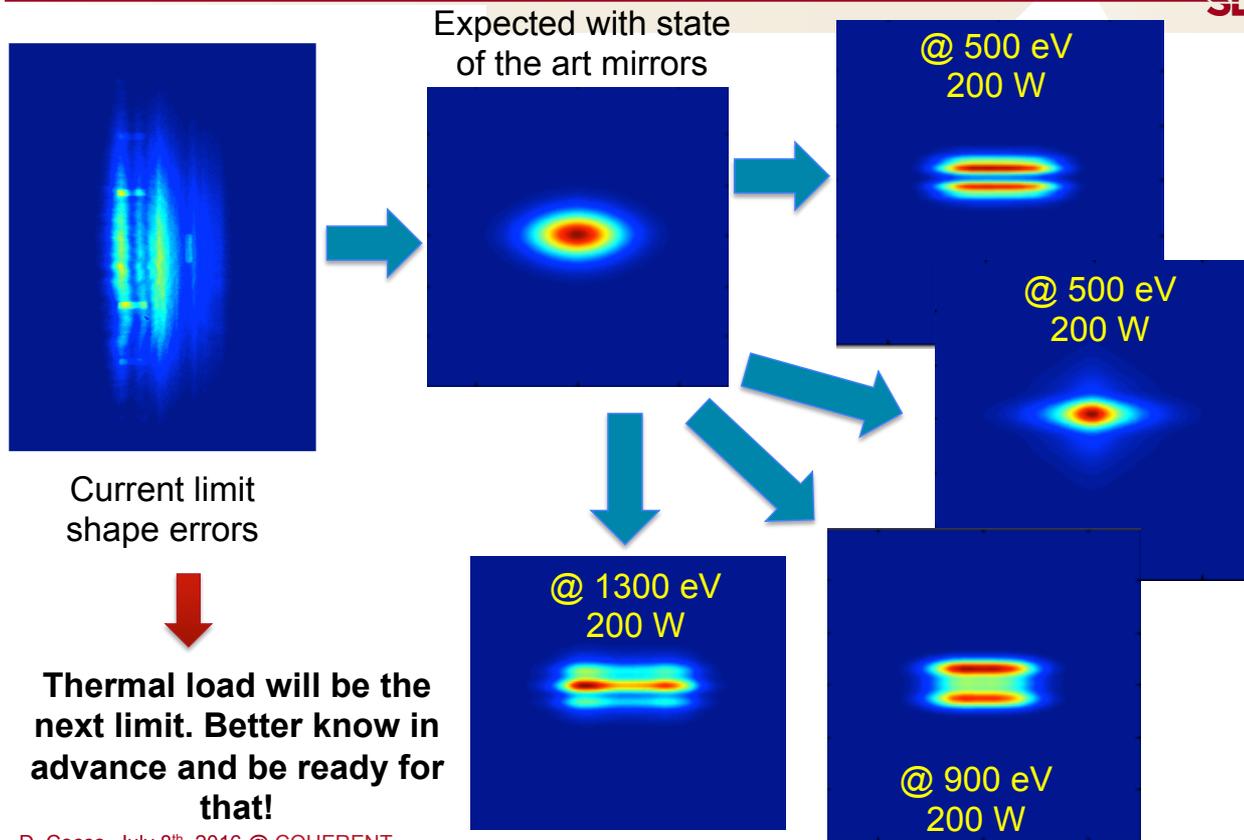
SLAC



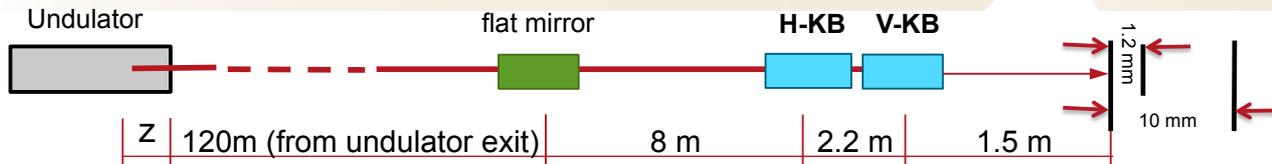
500 eV, including thermal deformations with 200 W incident;  
Simple case: 1D, 1 elliptical mirror



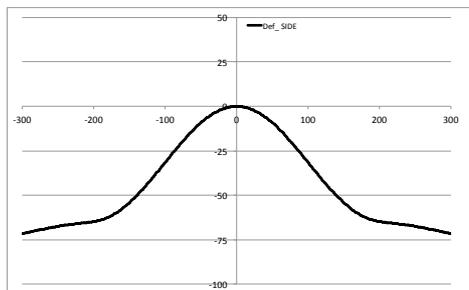
# Out of focus effects



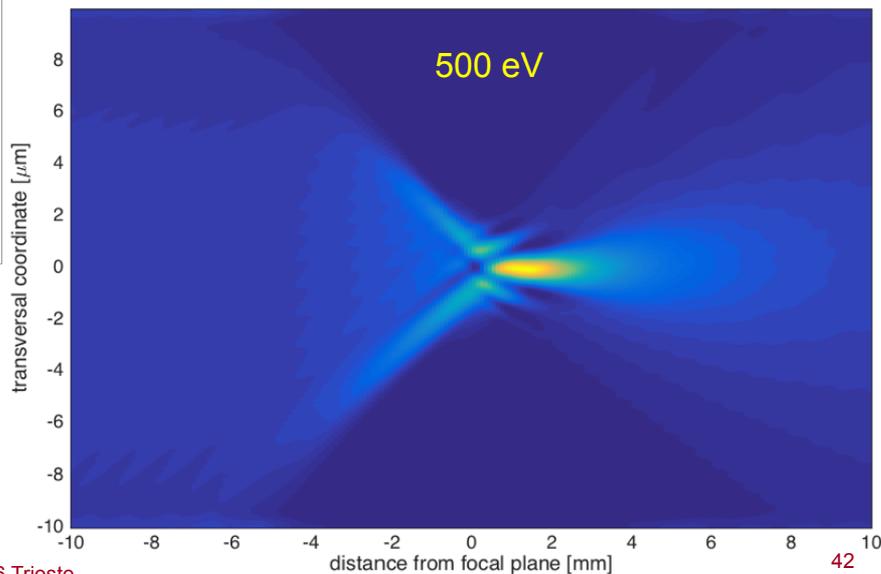
# Optimization of KB mirrors



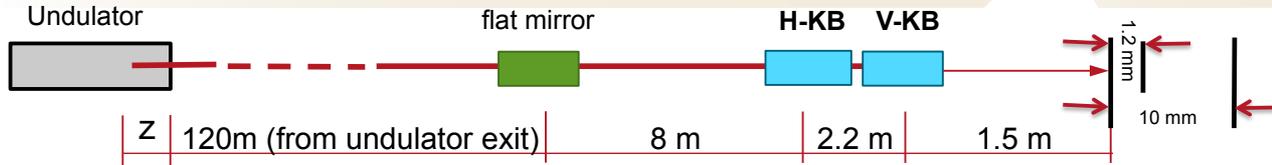
500 eV, including thermal deformations  
1 elliptical mirror



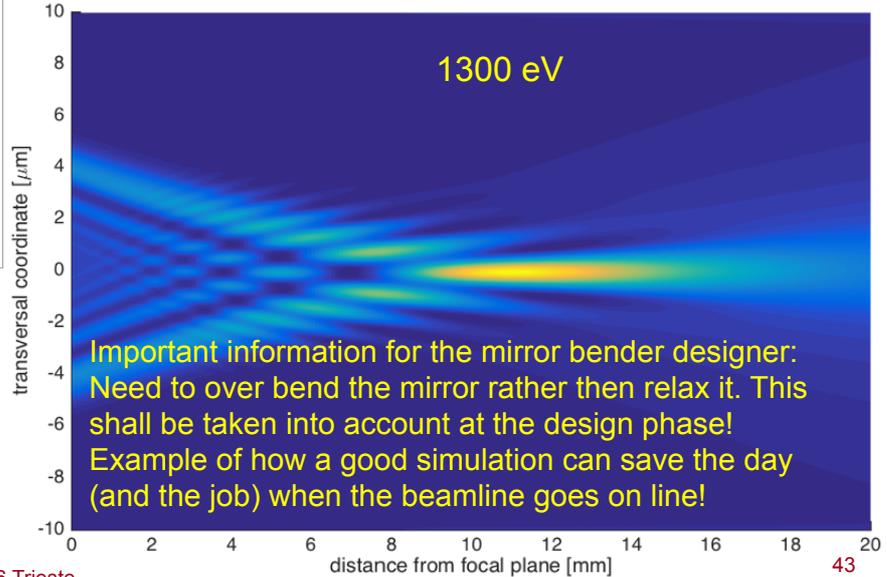
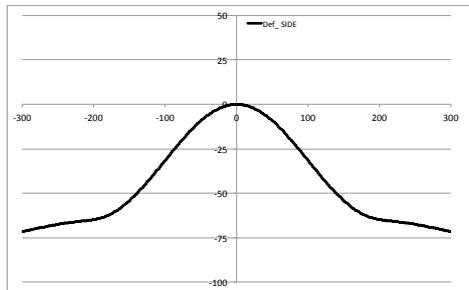
Side cooling



# Optimization of KB mirrors



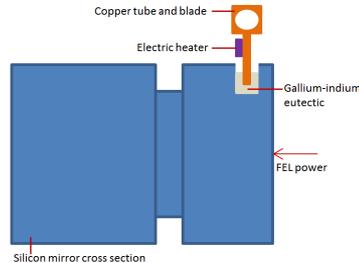
1300 eV, including thermal deformations  
 1 elliptical mirror



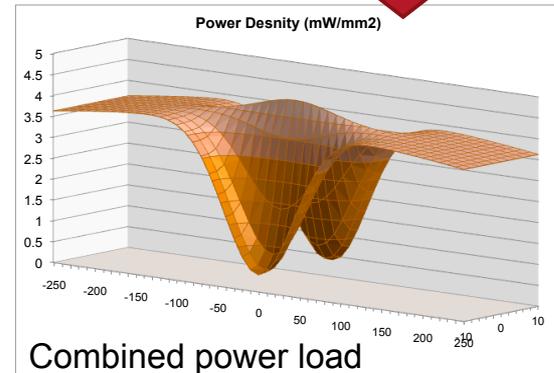
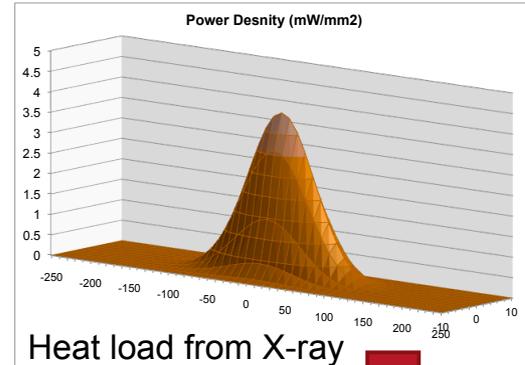
# REAL (Resistive Element Adjustable Length) Cooled Optics

SLAC

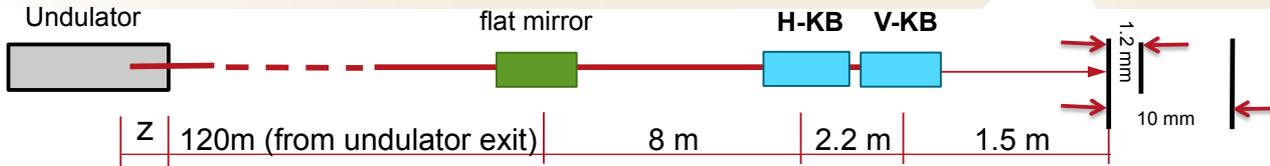
**To face the uncertainty and be ready for LCLS II**, we developed a new cooling system to improve the performance at 200 W (project funded by DOE/BES). The decision and the optimization has been made by comparing the FEA with some 2D simulations. Work in progress!



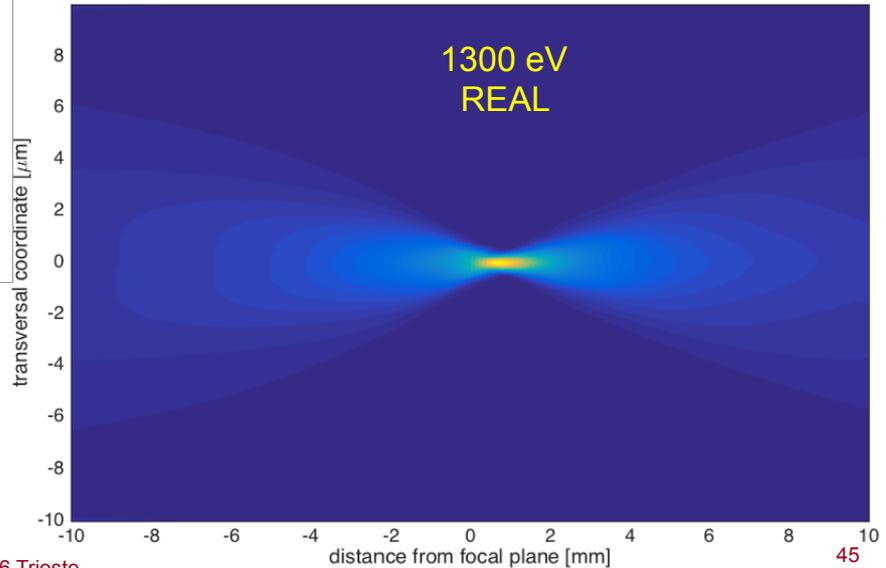
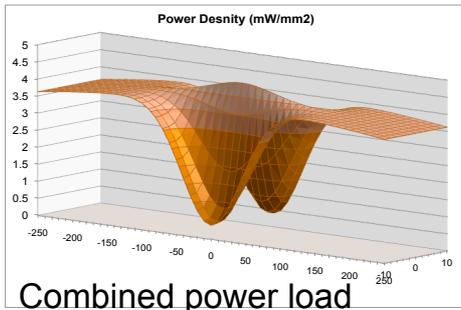
A model to treat the thermal bump and the mechanical deformation, in terms of beamline performance, has been developed and will be, hopefully, published soon.



# Expected performance with REAL



1300 eV, including thermal deformations  
 1 elliptical mirror - REAL



*REAL is definitively better!*

# What you (or I) would like to have from simulations

Optical designers are, usually, “engineering physicist”  
They handle metrology instrumentations, flexures, FEA, thermal problems, redundant meetings, mechanical complexity, installations programs... they need simple systems



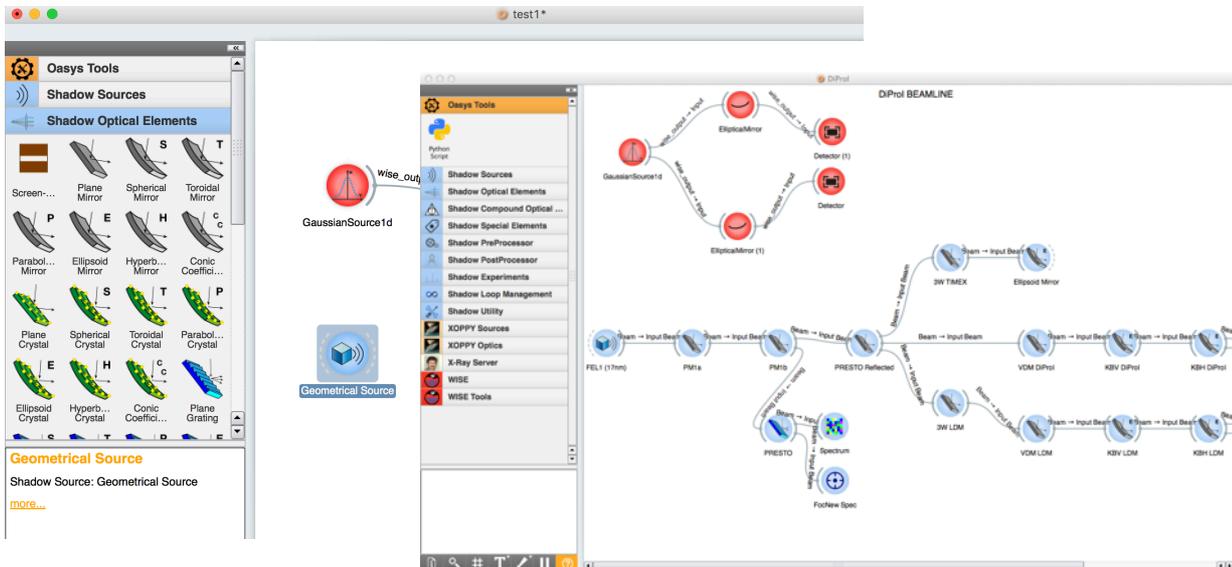
especially if they lives in nice places  
*FYI we have open positions in California, at both SLAC (ref. D. Cocco) and Berkeley (ref. K. Goldberg) (BTW the latter one is on wavefront propagation)*



# What you (or I) would like to have from simulations

Optical designers are, usually, “engineering physicist”  
They handle metrology instrumentations, flexures, FEA, thermal problems, redundant meetings, mechanical complexity, installations programs...  
Simple, and easy to use, softwares are necessary!

This is (probably, not yet familiar with it) even better!



# What you (or I) would like to have from simulations

Optical designers are, usually, “engineering physicist”  
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This is not!

```
import wpg.optical_elements
from wpg import Beamline
from wpg.optical_elements import Empty, Use_PP
from wpg.optical_elements import Drift, Aperture
from wpg.optical_elements import Lens, Mirror_elliptical, WF_dist, calculateOPD
bl.append(Aperture(shape='r', ap_or_ob='a', Dx=lengthOM*thetaOM, Dy=range_xy,
                  Use_PP(zoom=1., sampling_h=1./0.5, sampling_v=1., semi_analytical_treatment=0))
bl.append(Mirror_elliptical(orient='x', p=z_M2, q=q_M2, thetaE=thetaOM, theta0=thetaOM,
                           length=lengthOM), Use_PP(semi_analytical_treatment=1))
wf_dist_m2 = WF_dist(1500, 100, range_xy, lengthOM*thetaOM, )
calculateOPD(wf_dist_m2, os.path.join(mirror_data_dir, 'mirror1.dat'), 2, '\t', 'y', thetaOM, scale=5)
bl.append(wf_dist_m2, Use_PP())
bl.append(Drift(z_M3-z_M2), Use_PP(semi_analytical_treatment=0));
bl.append(Mirror_elliptical(orient='y', p=z_M3, q=q_M3, thetaE=thetaOM, theta0=thetaOM, length=lengthM3),
          Use_PP(semi_analytical_treatment=1))
wf_dist_m3 = WF_dist(100, 1500, range_xy, lengthM3*thetaOM, )
calculateOPD(wf_dist_m3, os.path.join(mirror_data_dir, 'mirror2.dat'), 2, '\t', 'y', thetaOM, scale=5)
bl.append(wf_dist_m3, Use_PP())
bl.append(Drift(z_focus_M2-z_M3), Use_PP(semi_analytical_treatment=0));
width = 50.e-6 # slit width
dz_blades = 30e-2 # distance between blades
bl.append(Aperture(shape='r', ap_or_ob='o', Dx=50e-3, Dy=50e-3, x= (50e-3/2+width/2), y=0), Use_PP())
bl.append(Drift(dz_blades), Use_PP(semi_analytical_treatment=0));
bl.append(Aperture(shape='r', ap_or_ob='o', Dx=50e-3, Dy=50e-3, x=-(50e-3/2+width/2), y=0),
          Use_PP(zoom_h=0.9, sampling_h=0.9/1.0))
bl.append(Drift(z_M3-z_focus_M2), Use_PP(zoom_h=2.4, sampling_h=2.4/0.4));
bl.append(Aperture(shape='r', ap_or_ob='o', Dx=50e-3, Dy=50e-3, x=0, y=(50e-3/2+width/2)), Use_PP())
bl.append(Drift(dz_blades), Use_PP(semi_analytical_treatment=0))
zz = zz + dz_blades
bl.append(Aperture(shape='r', ap_or_ob='o', Dx=50e-3, Dy=50e-3, x=0, y=-(50e-3/2+width/2)), Use_PP())
bl.append(Drift(z_focus_M2-z_focus_M3-dz_blades), Use_PP(zoom_v=1.4, sampling_v=1.4/0.5))
print bl; bl.propagate(wf)
```

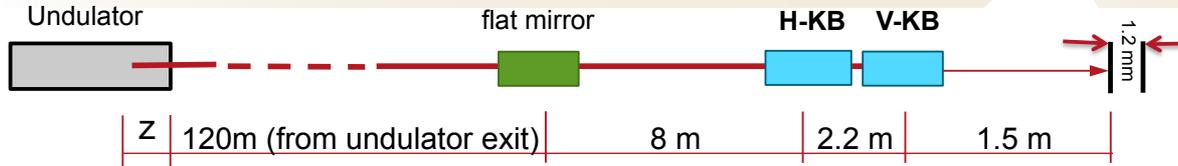
Example of a beamline definition: the SASE3 beamline at the European XFEL will include two horizontal offset mirrors (M1 and M2), a vertical focusing mirror M3, and horizontal and vertical clean-up slits.

# What you (or I) would like to have from simulations

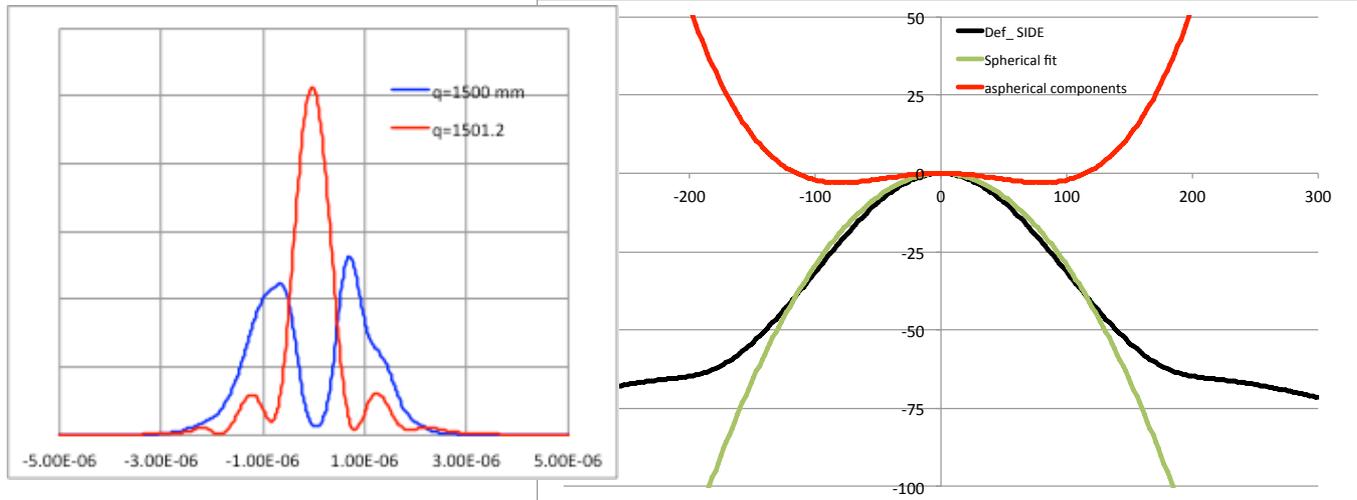
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They handle metrology instrumentations, flexures, FEA, thermal problems, redundant meetings, mechanical complexity, installations programs...  
Simple, and easy to use, softwares are necessary!  
Being reliable and tested!

- “Universally” accepted/used wavefront propagation codes (or for fully and partially coherent sources) has yet to come but, a lot of effort is going on:
  - *SRW, WISE, PHASE, HYBRID, WavePropaGator, OASYS...*
  - *X-ray optics simulation using Gaussian superposition technique*, Mourad Idir, et al, Opt. Express 2011
  - A hybrid method for X-ray optics simulation: combining geometric ray-tracing and wavefront propagation, X. Shi, et al. J. Synch. Rad. 2014
  - J.E. Krist, “PROPER” Optical Modeling and Performance Predictions
  - In house/custom codes .....

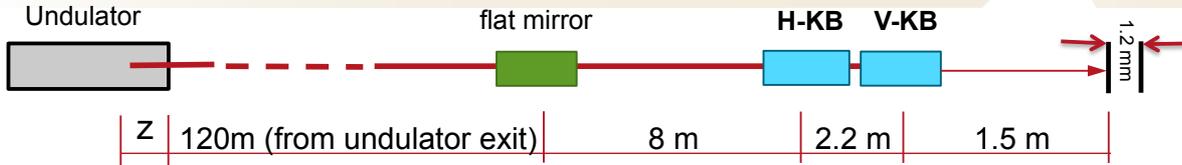
# Check validity of simulations (by comparison)



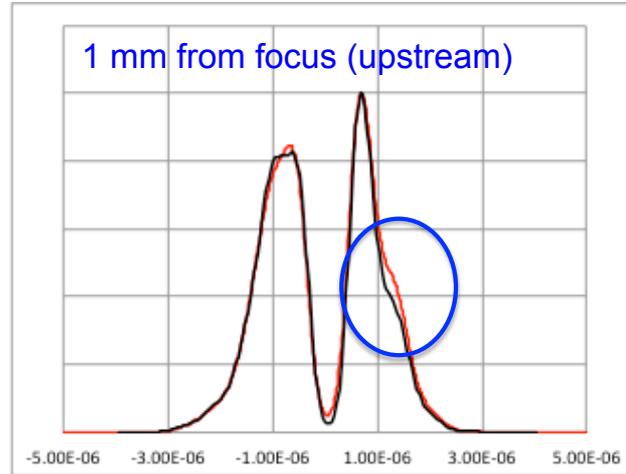
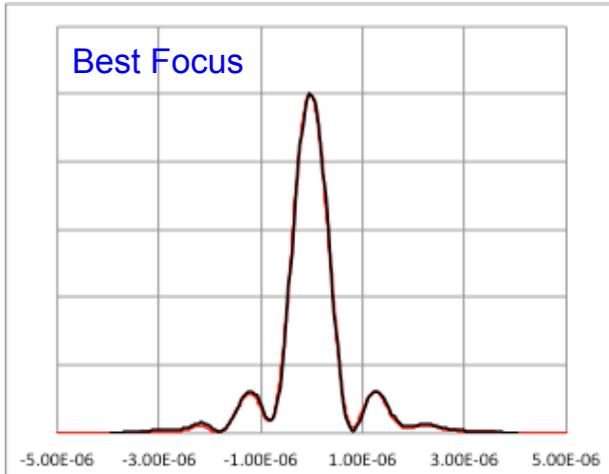
Comparison at 500 eV, including thermal deformations with 200 W incident; Simple case: 1D, 1 elliptical mirror



# Check validity of simulations (by comparison)



Comparison at 500 eV, including thermal deformations  
 Simple case: 1D, 1 elliptical mirror

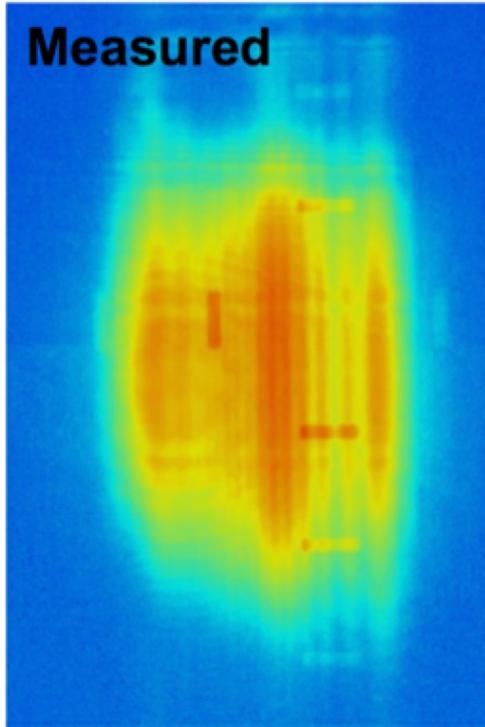


Black: WISE

Red: Kirchhoff Integrals

# Check validity of simulations (against measurements)

## Before (2009)



## Predicting the coherent X-ray wavefront focal properties at the Linac Coherent Light Source (LCLS) X-ray free electron laser

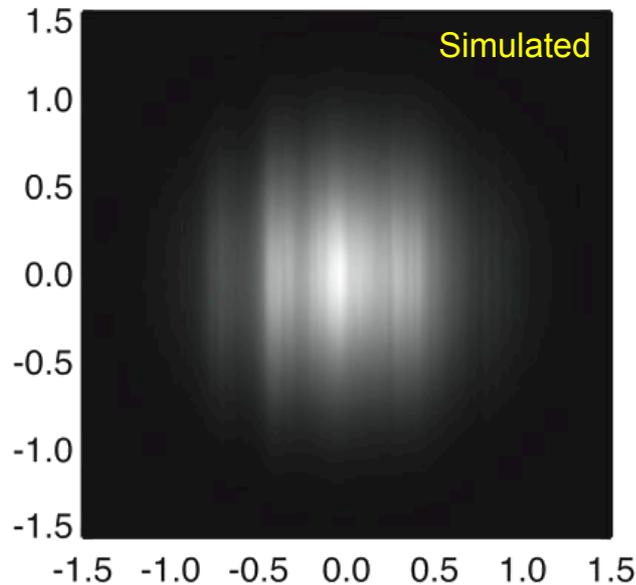
Anton Barty<sup>1,2\*</sup>, Regina Soufli<sup>1</sup>, Tom McCarville<sup>1</sup>, Sherry L. Baker<sup>1</sup>,  
Michael J. Pivovarov<sup>1</sup>, Peter Stefan<sup>3</sup> and Richard Bionta<sup>1</sup>

<sup>1</sup> Lawrence Livermore National Laboratory, 7000 East Avenue, Livermore, CA, 94550, USA

<sup>2</sup> Centre for Free Electron Laser Science, Notkestrasse 85, 22607 Hamburg, Germany

<sup>3</sup> SLAC National Accelerator Laboratory, 2575 Sand Hill Road, Menlo Park, California 94025, USA

[anton.barty@desy.de](mailto:anton.barty@desy.de)

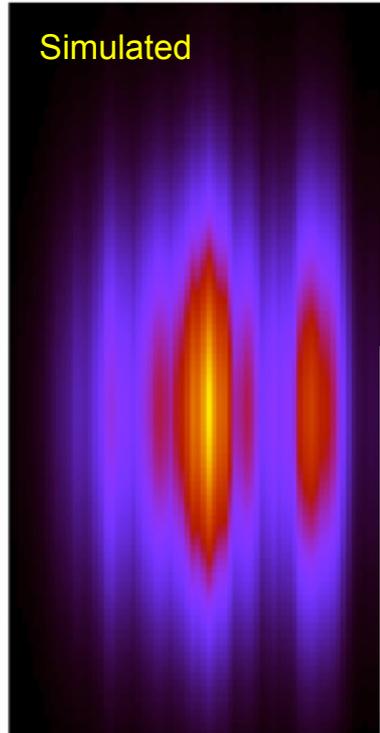
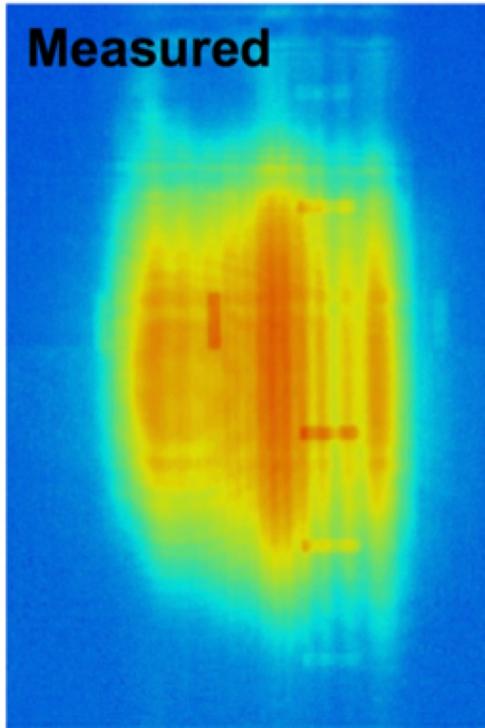


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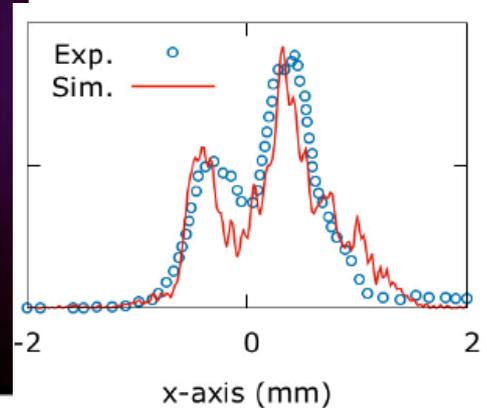
SLAC

After 2009 (2016)

Submitted to Journal of Synchrotron Radiation



Main difference:  
Used measured divergence  
and longitudinal position of  
the source



## Make simulations more accessible

Optical designers are, usually, “engineering physicist”  
They handle metrology instrumentations, flexures, FEA, thermal problems,  
redundant meetings, mechanical complexity, installations programs...  
Simple and easy to use softwares are necessary!  
Being reliable and tested!

At the limit you need it!

We need to rely on the result of the simulation at a sufficient level to design  
and procure the components for the beamline, not to use as a experimental  
data reference field/intensity distribution normalization.

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Simple and easy to use softwares are necessary!

Being reliable and tested!

At the limit you need it!

Faster, when needed!

Step 1 Model

Step 2 1D Fourier optics or Kirchhoff integrals

Step 3 2D for nice picture (publication, founding agency, beamline scientists...)

Accepting arbitrary shapes (1D, 2D, high order polynomials) and, why not,  
remote interfaced with DABAM

Accepting arbitrary source description and, as an option, accepting output from  
GENESIS....

*S2E simulations, including source are not practical nor useful in most of the cases!*

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*S2E simulations, including source are not practical nor useful in most of the cases!*

...and Hybrid system (e.g. partially coherent) is probably better (if and only if, easy to handle and use!)

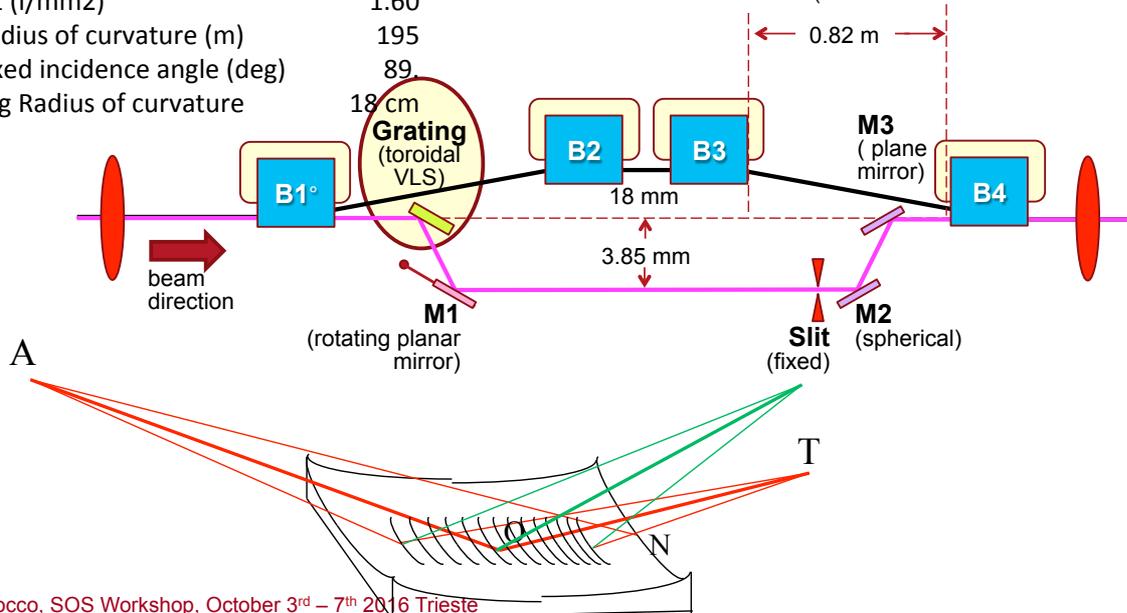
# Post mortem simulation – an example

In 2014, the SXR self seeding monochromator for LCLS has been commissioned. It has been entirely designed by using the optical path function (plus diffraction limited contribution) and ray tracing for grating parameter optimization and tolerances

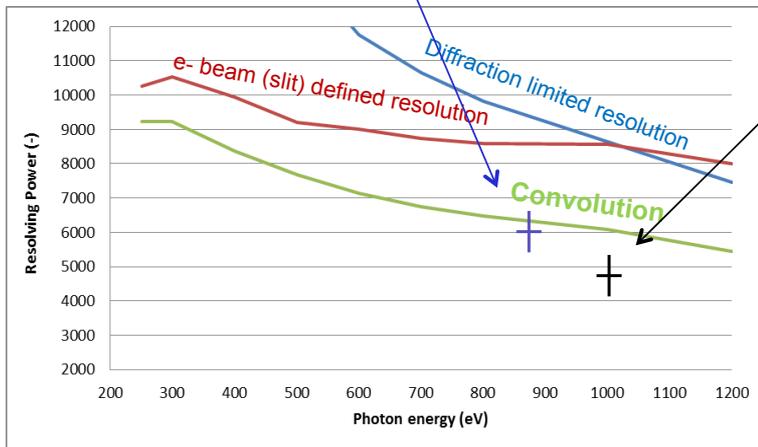
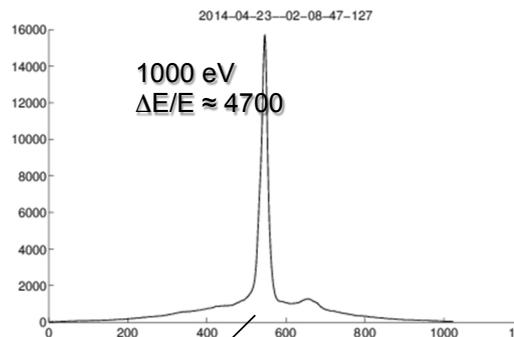
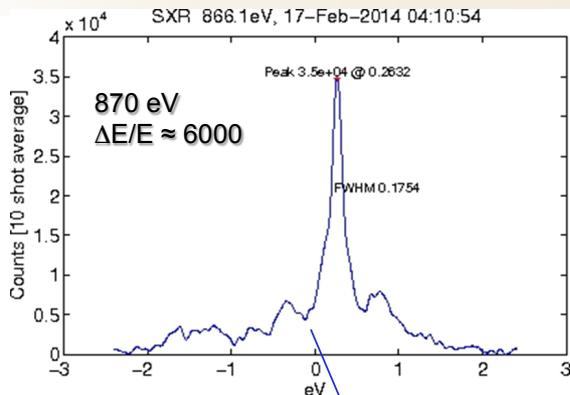
Central groove density (l/mm)  
 D1 (l/mm<sup>2</sup>)  
 Radius of curvature (m)  
 Fixed incidence angle (deg)  
 Sag Radius of curvature

1123  
 1.60  
 195  
 89  
 18 cm

$$F_{20} = -n\lambda D_1 + \left( \frac{\cos^2 \alpha}{r} - \frac{\cos \alpha}{R} + \frac{\cos^2 \beta}{r'} - \frac{\cos \beta}{R} \right)$$



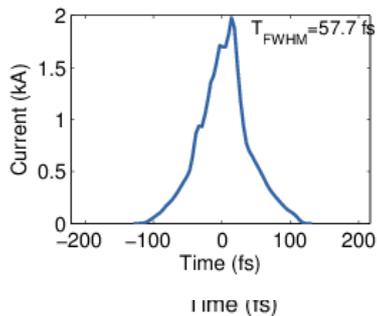
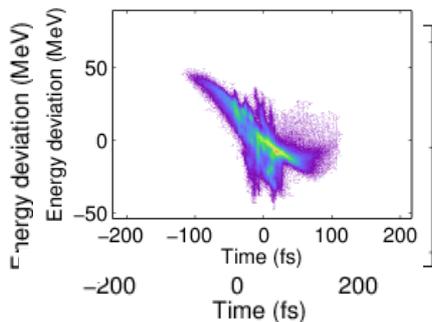
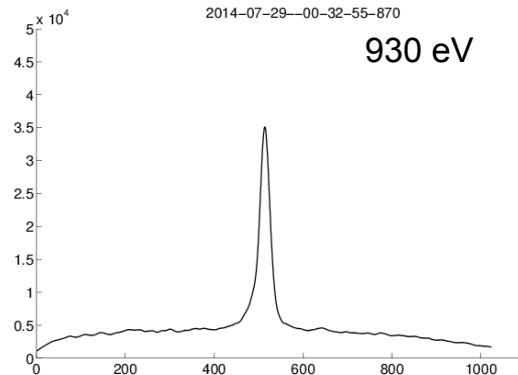
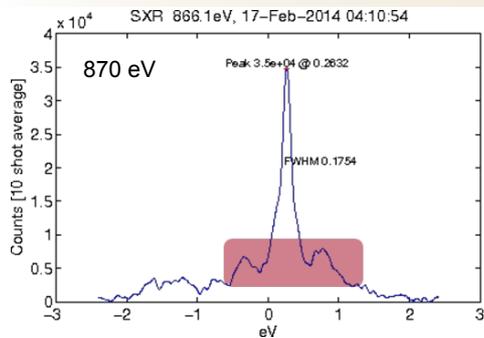
# Post mortem simulation – an example



It worked pretty well!  
But some tails was unexpected

Since some habit never changes,  
the machine guys were blaming the  
optics, and, of course, vice versa (I  
knew I was right but....!)

# Post mortem simulation – an example



# Post mortem simulation – it's actually good!

Some extensive modeling and simulations has been made after such results

## Soft x-ray self-seeding simulation methods and their application for the Linac Coherent Light Source

Svitozar Serkez\*

*Deutsches Elektronen-Synchrotron (DESY), Hamburg 22607, Germany*

Jacek Krzywinski, Yuantao Ding, and Zhirong Huang

*SLAC National Accelerator Laboratory, Menlo Park, California 94025, USA*

(Received 15 December 2014; published 13 March 2015)

We use the GENESIS code to obtain an electric field distribution in space and time at the end of the SASE undulator. Then we apply a temporal Fourier transform [Eq. (1)] and propagate the transverse distributions for every calculated discrete frequency. Finally, the inverse temporal Fourier transform is performed to go back into space-time domain.



# Post mortem simulation – it’s actually good!

“We found that surface height errors of installed optics have no significant effect on the monochromator performance.....

Based on simulations, we found that resolving power of the monochromator operating without the exit slit varies from 5400 to 8500, that is close to resolving power with the 3  $\mu\text{m}$  exit slit inserted.....

Simulations with the source position in the undulator U8 showed a better resolving power than that the undulator U8 is not active.”

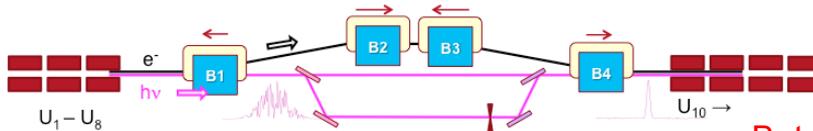
## Soft x-ray self-seeding simulation methods and their application for the Linac Coherent Light Source

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Those results are almost identical to what I obtained with simple models and ray tracing.



But, this new simulation tools will be very helpful for future Self Seeding design!

If you don't have reasonably user friendly software, you take chances...and rely on proper models or on your good luck!

## Conclusions – What it would be nice to have

SLAC

Simulations are like cough syrup. Just because you don't use often or you don't like it, doesn't mean it is not important



Thanks

In memory of  
Franco Cerrina (1948-2010)  
Pioneer in X-ray optical simulation

User friendly softwares are necessary!

Repository of models to use with coherent or partially coherent source to be updated

Being reliable and tested!  
At the limit you need it!  
Faster, when needed!

Accepting arbitrary shapes (1D, 2D, high order polynomials) and, why not, remote interfaced with DABAM

Accepting arbitrary source description in an easy way  
*S2E simulations, including source are not practical nor useful in most of the cases!*

...and Hybrid systems are probably better and more reliable (if easy to handle and use!)

Looking forward to learn a lot from you guys!