

**This is a self-archived version of an original article. This version may differ from the original in pagination and typographic details.**

**Author(s):** Li, Jibo; Li, lixuan; Bhaskar, Bichu; Toivanen, Ville; Tarvainen, Olli; Hitz, Denis; Li, Libin; Lu, Wang; Koivisto, Hannu; Thuillier, Thomas; Guo, Junwei; Zhang, Xuezheng; Zhao, Huanyu; Sun, Lingting; Zhao, Hongwei

**Title:** Effects of magnetic configuration on hot electrons in a minimum-B ECR plasma

**Year:** 2020

**Version:** Accepted version (Final draft)

**Copyright:** © 2020 IOP Publishing Ltd.

**Rights:** CC BY-NC-ND 3.0

**Rights url:** <https://creativecommons.org/licenses/by-nc-nd/3.0/>

**Please cite the original version:**

Li, J., Li, L., Bhaskar, B., Toivanen, V., Tarvainen, O., Hitz, D., Li, L., Lu, W., Koivisto, H., Thuillier, T., Guo, J., Zhang, X., Zhao, H., Sun, L., & Zhao, H. (2020). Effects of magnetic configuration on hot electrons in a minimum-B ECR plasma. *Plasma Physics and Controlled Fusion*, 62(9), Article 095015. <https://doi.org/10.1088/1361-6587/ab9d8f>

ACCEPTED MANUSCRIPT

## Effects of magnetic configuration on hot electrons in a minimum-B ECR plasma

To cite this article before publication: Jibo Li *et al* 2020 *Plasma Phys. Control. Fusion* in press <https://doi.org/10.1088/1361-6587/ab9d8f>

### Manuscript version: Accepted Manuscript

Accepted Manuscript is “the version of the article accepted for publication including all changes made as a result of the peer review process, and which may also include the addition to the article by IOP Publishing of a header, an article ID, a cover sheet and/or an ‘Accepted Manuscript’ watermark, but excluding any other editing, typesetting or other changes made by IOP Publishing and/or its licensors”

This Accepted Manuscript is © 2020 IOP Publishing Ltd.

During the embargo period (the 12 month period from the publication of the Version of Record of this article), the Accepted Manuscript is fully protected by copyright and cannot be reused or reposted elsewhere.

As the Version of Record of this article is going to be / has been published on a subscription basis, this Accepted Manuscript is available for reuse under a CC BY-NC-ND 3.0 licence after the 12 month embargo period.

After the embargo period, everyone is permitted to use copy and redistribute this article for non-commercial purposes only, provided that they adhere to all the terms of the licence <https://creativecommons.org/licenses/by-nc-nd/3.0>

Although reasonable endeavours have been taken to obtain all necessary permissions from third parties to include their copyrighted content within this article, their full citation and copyright line may not be present in this Accepted Manuscript version. Before using any content from this article, please refer to the Version of Record on IOPscience once published for full citation and copyright details, as permissions will likely be required. All third party content is fully copyright protected, unless specifically stated otherwise in the figure caption in the Version of Record.

View the [article online](#) for updates and enhancements.

# Effects of magnetic configuration on hot electrons in a minimum-B ECR

## plasma

J. B. Li<sup>1</sup>, L. X. Li<sup>1,2</sup>, B. S. Bhaskar<sup>3,4</sup>, V. Toivanen<sup>3</sup>, O. Tarvainen<sup>3,5</sup>, D. Hitz<sup>1</sup>, L. B. Li<sup>1</sup>, W. Lu<sup>1</sup>, H. Koivisto<sup>3</sup>,  
T. Thuillier<sup>4</sup>, J. W. Guo<sup>1</sup>, X. Z. Zhang<sup>1,2</sup>, H. Y. Zhao<sup>1,2</sup>, L. T. Sun<sup>1,2;a)</sup> and H. W. Zhao<sup>1,2</sup>

<sup>1</sup>*Institute of Modern Physics (IMP), Chinese Academy of Sciences, Lanzhou 730000, China*

<sup>2</sup>*School of Nuclear Science and Technology, University of Chinese Academy of Sciences, Beijing 100049, China*

<sup>3</sup>*University of Jyväskylä, Department of Physics, PO Box 35 (YFL), 40500 Jyväskylä, Finland*

<sup>4</sup>*Laboratoire de Physique Subatomique et de Cosmologie, 53 avenue des Martyrs, 38026 Grenoble Cedex, France*

<sup>5</sup>*STFC ISIS Pulsed Spallation Neutron and Muon Facility, Rutherford Appleton Laboratory, Harwell, OX110QX, UK*

a) E-mail: sunlt@impcas.ac.cn

## Abstract

To investigate the hot electron population and the appearance of kinetic instabilities in highly charged electron cyclotron resonance ion source (ECRIS), the axially emitted bremsstrahlung spectra and microwave bursts emitted from ECRIS plasma were synchronously measured on SECRA-II (Superconducting ECR ion source with Advanced design in Lanzhou No. II) ion source with various magnetic field configurations. The experimental results show that when the ratio of the minimum field to the resonance field (i.e.  $B_{min}/B_{ecr}$ ) is less than  $\sim 0.8$ , the bremsstrahlung spectral temperature  $T_s$  increases linearly with the  $B_{min}/B_{ecr}$ -ratio when the injection, extraction and radial mirror fields are kept constant. Above this threshold  $T_s$  saturates and the electron cyclotron instability appears simultaneously. This study has also demonstrated that  $T_s$  decreases linearly with the increase of the average gradient over the ECR surface when the on-axis gradient and hexapole field strengths are constant. In addition, it is found that  $T_s$  decreases with the increase of the gradient at the resonance zone ( $\nabla B_{ecr}$  on axis and  $\langle \nabla B_{ecr} \rangle$ ) at relatively low mirror ratio and is insensitive to the gradient at high mirror ratio when  $B_{min}$  is constant. Compared to a recent study taken on a fully superconducting ECRIS (Benitez et al. 2017 *IEEE Trans. Plasma Sci.* **45** 1746-54), in which it was concluded that  $T_s$  is only sensitive with  $B_{min}$ , this article shows different results discussing the mechanisms behind the correlation of magnetic field parameters to  $T_s$ .

## 1. Introduction

Electron cyclotron resonance (ECR) ion sources are used to produce a wide range of ions, from singly charged to multiply charged ions (MCIs) and have been widely applied to both basic and applied scientific research due to their efficiency and reliability [1, 2]. In the past decades, a series of well performing ECR ion sources

43 were developed at the Institute of Modern Physics (IMP) [3-10] and continuous  
44 efforts were spent to deepen the understanding of the plasma mechanisms involved  
45 in these ion sources and thereby to further improve their performances [11-16].

46 The plasmas in modern ECRISs are commonly confined in a so-called minimum-B  
47 field which is a superposition of solenoid and sextupole fields. Electrons in the  
48 plasma are heated by the process of electron cyclotron resonance that takes place  
49 where the electron cyclotron frequency is approximately equal to the injected  
50 microwave frequency. MCIs are created through stepwise electron impact ionization  
51 by the electrons heated in the ECR. However, hot electrons, with energies of several  
52 hundreds of keV or more should be avoided as they do not contribute significantly  
53 on the ionization process but can add a significant heat load to the cryostat of  
54 modern superconducting ECRISs through absorption of wall bremsstrahlung photons  
55 [17, 18]. Meanwhile, it has been shown that [19-21] ECR plasmas are prone to  
56 electron cyclotron instabilities driven by hot electrons with strongly anisotropic  
57 electron velocity distribution (EVD), which will lead to ms-scale oscillation of the  
58 extracted beam current.

59 This article deals with experimental studies of the hot electron population of a  
60 highly charged ECR ion source. As collisions between electrons and ions within the  
61 plasma volume lead to bremsstrahlung radiation, the analysis of bremsstrahlung  
62 spectra is a powerful diagnostic tool for studying the hot electron population [22, 23]  
63 and can also be used to probe the electron heating mechanism in ECR produced  
64 plasmas, from compact all-permanent magnet [24] to large fully superconducting  
65 devices [13, 25]. To compare our results with previous articles published on the  
66 same subject, bremsstrahlung measurement was chosen to diagnose the plasma of  
67 SECRAI-II ion source. Meanwhile, since the electron cyclotron instabilities are driven  
68 by hot electrons interacting resonantly with electromagnetic plasma waves, the  
69 measurement of characteristic microwave emission emitted from the ECRIS plasma  
70 can be used as a direct plasma instability diagnostics method [19] and was also  
71 employed in this study to investigate the appearance of electron cyclotron  
72 instabilities.

73 A number of previous studies taken on ECRISs [13, 25-27] show that the magnetic  
74 field configuration is extremely important for the production of hot electrons in  
75 minimum-B topology. Although these earlier studies showed important results, the  
76 mechanism behind the correlation of magnetic field parameters to the  
77 bremsstrahlung spectral temperature  $T_s$  is not yet clear. Furthermore, it has been  
78 demonstrated that the most critical ion source tuning parameter affecting the  
79 appearance of electron cyclotron instabilities and beam current oscillations is the  
80 magnetic field [19], but the possible correlation between bremsstrahlung spectra  
81 and the appearance of electron cyclotron instabilities are still unknown. Therefore,  
82 to further investigate the effects of magnetic configuration on hot electrons in a  
83 minimum-B ECR plasma, in this paper we present a detailed experimental study of  
84 the hot electron population through synchronous measurements of plasma  
85 bremsstrahlung and instability-induced microwave signal in a much wider range of  
86 magnetic configurations than those presented in previous articles (including the

so-called turbulent region where instabilities occur). The experimental setup and equipment are described in section 2; in section 3, the experimental results are reported; a discussion about the data is then shown in section 4, followed by the conclusions in section 5.

## 2. Experimental setup

### 2.1 SECRAL-II ion source

SECRAL-II ion source has been successfully designed and developed at IMP [28]. This ion source is a third generation ECR machine optimized for the operation at 18, 24 and 28 GHz. The superconducting magnet assembly of SECRAL-II (shown in Figure 1) consists of three axial solenoid coils and a sextupole to generate the minimum-B magnetic field configuration. The magnetic field profile is typically 3.7 T at the injection, 2.2 T at the extraction with a radial field of 2.0 T at the  $\emptyset 125$  mm chamber wall. As the source magnet is fully superconducting, SECRAL-II has the flexibility of easily varying the magnetic structure by independently changing the injection field,  $B_{inj}$ , the extraction field,  $B_{ext}$ , the minimum-B value,  $B_{min}$  and the radial field,  $B_r$ , so that one can investigate the effect of magnetic field configuration in detail.

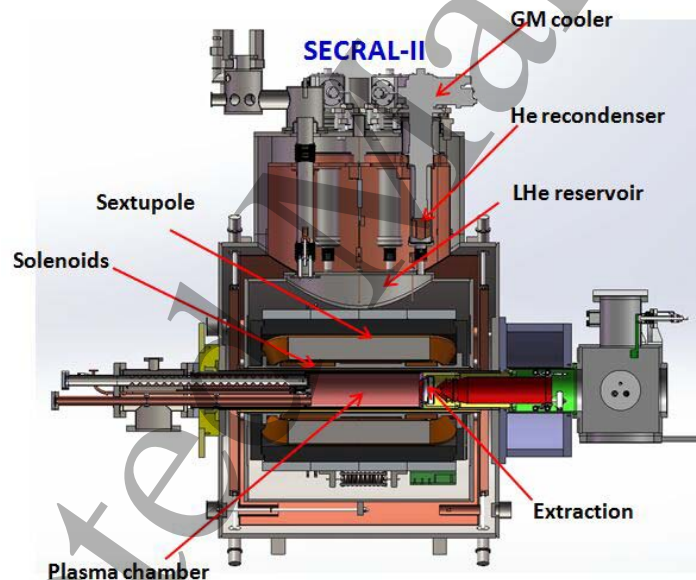


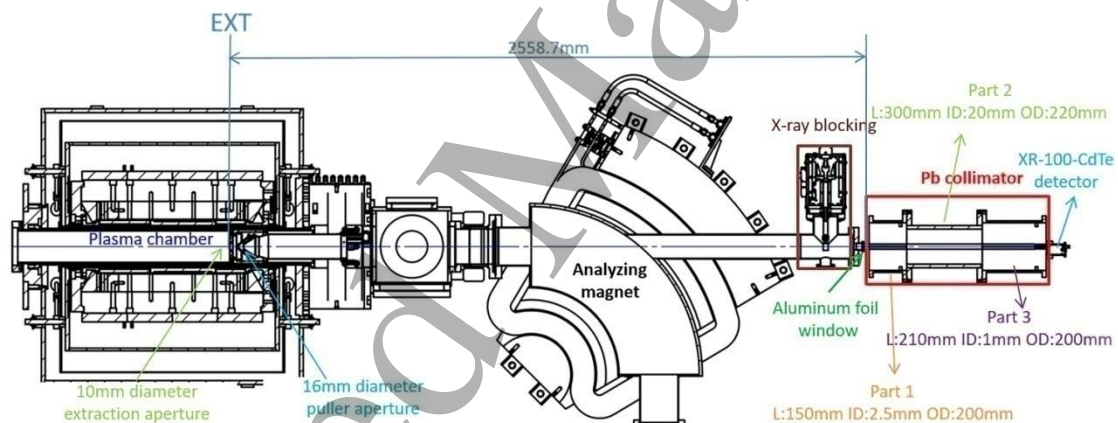
Figure 1: Layout of the SECRAL-II ion source.

### 2.2 Bremsstrahlung detection system and spectral temperature $T_s$ determination

As SECRAL-II is fully superconducting, the only possibility to install a diagnostic is on a line-of-sight through the source axis. The axially emitted bremsstrahlung spectra from SECRAL-II are measured with an Amptek XR-100T-CdTe detector and PX5 digital pulse processor [29] through an Al window located at the end of the straight-through port of the beam analyzing magnet (shown in Figure 2). The detector is a semiconductor type with a detection efficiency of 10% or greater in the

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28  
29  
30  
31  
32  
33  
34  
35  
36  
37  
38  
39  
40  
41  
42  
43  
44  
45  
46  
47  
48  
49  
50  
51  
52  
53  
54  
55  
56  
57  
58  
59  
60

116 energy range of 10 to 300 keV and is placed behind the straight-through port. In  
117 order to focus on the center of the plasma and prevent wall bremsstrahlung  
118 interfering with the detection system, a lead collimation system is designed with  
119 MCNP (Monte Carlo N-Particle Transport Code) [30, 31] and is set up between the  
120 straight-through port and the detector. In addition, an X-ray blocking made of  
121 tantalum (diameter: 30 mm, thickness: 20 mm) is installed on the optical axis, it  
122 blocks the X-rays from entering the collimation system and reaching the detector  
123 when inserted. The measurement solid angle is restricted to  $6.7E-8$  sr and the energy  
124 calibration of the spectrum is done using standard radioactive sources with known  
125 gamma lines. It is acknowledged that thick target bremsstrahlung emitted into  
126 backward angles from the biased disc located at the injection end of the ion source  
127 may contribute to the recorded spectra. Since the energy distribution of the  
128 electrons causing this contribution is unknown, it is impossible to estimate the ratio  
129 of the plasma bremsstrahlung and (biased disc) wall bremsstrahlung. However, as  
130 most of the radiation power from the biased disc is emitted into forward angles, and  
131 the area defined by the acceptance of the collimation system ( $\varnothing 14$  mm at the  
132 extraction aperture) includes only a small part of the extraction system, the main  
133 contribution to the bremsstrahlung spectra is therefore considered to be the plasma  
134 bremsstrahlung produced in the volume visible to the detector.



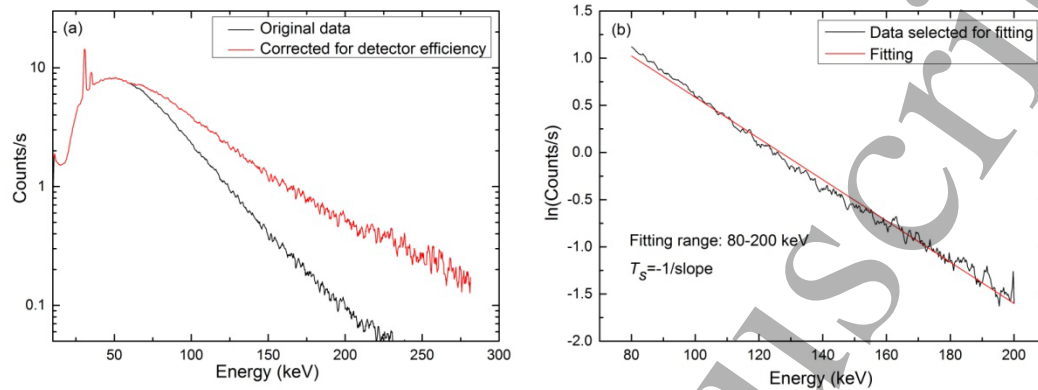
136  
137  
138  
139  
140  
141  
142  
143  
144  
145  
146  
147  
148

Figure 2: Bremsstrahlung detection system on SECRAL-II.

139 A parameter called the spectral temperature  $T_s$  is often used to characterize the  
140 bremsstrahlung spectra.  $T_s$  is inferred from the linear part of the semi-logarithmic  
141 representation of the recorded spectrum for which the spectral power  
142  $j(E) \propto \exp(-E/T_s)$ , where  $E$  is the photon energy. We should note that this spectral  
143 temperature is not a direct measure of the temperature of the hot electrons, since  
144 the electron energy distribution in an ECRIS plasma is believed to be strongly  
145 non-Maxwellian [32]. This statement is supported by recent experiments measuring  
146 the energy distribution of electrons escaping from a minimum-B ECRIS [33]. For  
147 these reasons  $T_s$  must be regarded as qualitative measure of the hot electron  
148 (average) energy at best. Bearing these limitations in mind one can use  $T_s$  to study

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28  
29  
30  
31  
32  
33  
34  
35  
36  
37  
38  
39  
40  
41  
42  
43  
44  
45  
46  
47  
48  
49  
50  
51  
52  
53  
54  
55  
56  
57  
58  
59  
60

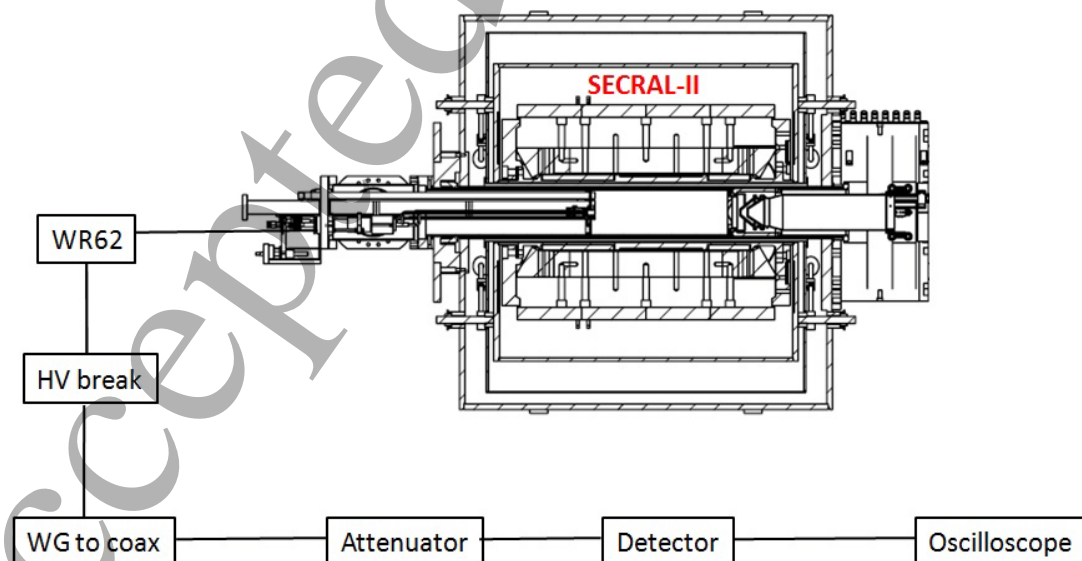
149 the influence of the external source parameters such as magnetic field strength,  
150 injected microwave power etc. on the hot electron population in relative terms. In  
151 our study, the bremsstrahlung spectra presented below are corrected by the  
152 detector efficiency and the spectral temperature  $T_s$  is obtained by the linear fit at the  
153 energy range 80–200 keV (shown in Figure 3).



155  
156 *Figure 3: (a) Spectra corrected for detector efficiency. (b) A linear fitting of the semi-log plot of the data.*

### 157 158 **2.3 Microwave signal measurement and electron cyclotron instability**

159 Figure 4 shows the experimental setup of the microwave signal measurement. A  
160 Low-Barrier Schottky Diode detector (0.01-26.5 GHz, 10 ns resolution) is connected  
161 to a WR-62 waveguide port at the injection of the ion source. The microwave signal  
162 emitted by the plasma is guided into oscilloscope through WR-62 waveguide port,  
163 high voltage break, waveguide-to-coaxial transition and adjustable attenuator  
164 (usually set to 20 dB).



166  
167 *Figure 4: Schematic figure of experimental setup of microwave signal measurement.*



1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28  
29  
30  
31  
32  
33  
34  
35  
36  
37  
38  
39  
40  
41  
42  
43  
44  
45  
46  
47  
48  
49  
50  
51  
52  
53  
54  
55  
56  
57  
58  
59  
60

168  
169 The theoretical research shows that electron cyclotron instability is driven by hot  
170 electrons interacting resonantly with electromagnetic plasma waves, therefore the  
171 emission of microwaves from ECR plasma is a characteristic feature of the electron  
172 cyclotron plasma instability as discussed in a recent paper by Shalashov et al. [34]  
173 addressing the dynamics of periodic microwave emission and corresponding  
174 temporal modulation of the electron energy distribution. Following Refs. [35-38] the

175 energy of the microwave emission  $E_\mu$  can be described by  $\frac{dE_\mu}{dt} \approx (\gamma - \delta)E_\mu$ ,

176 where  $\gamma$  and  $\delta$  are mode-dependent growth and damping rates, respectively.

177 Since the growth rate is proportional to the ratio of hot to cold electron densities

178 ( $\gamma \propto \frac{N_{e,hot}}{N_{e,cold}}$ ), and the damping rate is determined by volumetric absorption of the

179 wave energy by the collisional background plasma and external losses ( $\delta \propto \nu_e + R$ ,

180 where R represents the reflection/wall loss term), once the condition  $\gamma > \delta$  is

181 reached, the intensity of the microwave emission will increase exponentially with

182 time (usually lasts for about 10-100 ns) as reported e.g. by Izotov et al. [39]. The

183 measurement setup does not allow detecting the emission frequencies associated

184 with the instability. However, it has been shown previously with 14 GHz ECR ion

185 sources that [39, 40] the instability-induced emission frequencies are predominantly

186 lower than the plasma heating frequency. The intensity of the instability-induced

187 microwave burst exceeds the continuous (background) signals of the plasma

188 electron cyclotron emission (ECE) and the primary heating frequency coupled into

189 the diagnostics port by several orders of magnitude. Figure 5 shows a typical

190 microwave signal on SECRAI-II when the electron cyclotron instability is triggered.

191



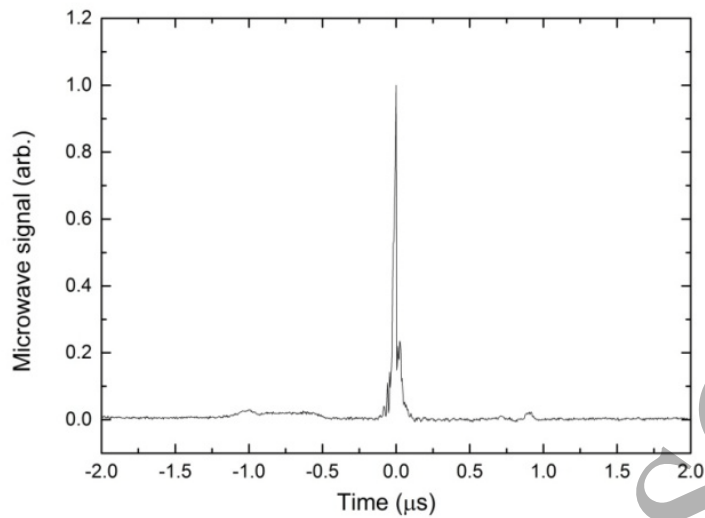
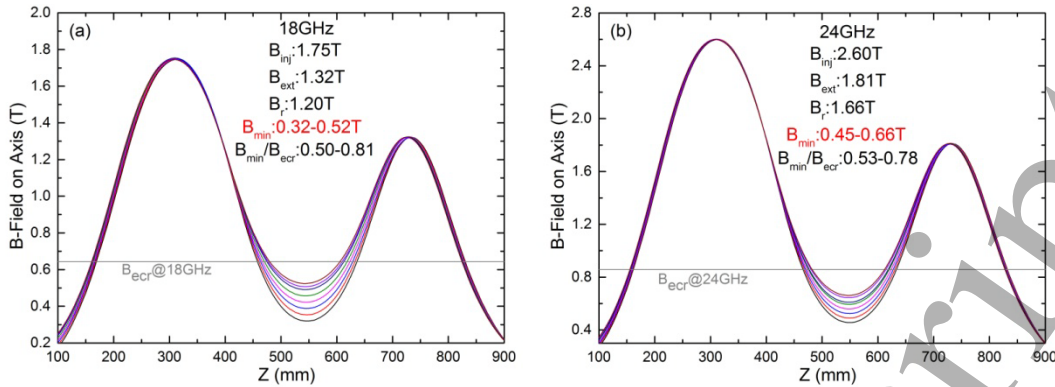


Figure 5: Example of microwave signal associated with the electron cyclotron instability.

### 3. Experimental results

In all measurements the ion source is operated with xenon plasma and first tuned for  $\text{Xe}^{20+}$  production. Typical extraction voltage is 20 kV and bias disc voltage is -40-50 V at a power level of 1500 W, data are measured with similar gas pressure of  $1-2 \cdot 10^{-7}$  mbar. Previous theoretical and experimental studies [25, 41-43] indicate that the minimum magnetic field  $B_{min}$  and the gradient parallel to the magnetic field at the resonance zone,  $|(\vec{B}/|\vec{B}|) \cdot \nabla \vec{B}|_{ecr}$ , referred hereafter simply as  $\nabla B_{ecr}$  are the key parameters of the magnetic field configuration and play an important role in magnetically confined ECR plasma, so in the first part of this study,  $B_{min}$  is changed while the other fields ( $B_{inj}$ ,  $B_{ext}$  and  $B_r$ ) are held constant. Figure 6 shows the magnetic field configuration for the 18 and 24 GHz settings. For the 18 GHz case,  $B_{min}$  is changed from 0.32 T to 0.52 T with  $B_{inj}$ ,  $B_{ext}$  and  $B_r$  at 1.75 T, 1.32 T and 1.20 T, respectively. For the 24 GHz case, similarly,  $B_{min}$  is varied from 0.45 T to 0.66 T with fixed  $B_{inj}$ ,  $B_{ext}$  and  $B_r$  separately (2.60 T, 1.81 T and 1.66 T). Here, the  $B_r$  value is taken in the plane where the radial component of the solenoid field is zero, i.e.  $B_r$  represents the hexapole field component. The experimental results in Figure 7 show that the spectral temperature  $T_s$  increases almost linearly with the increase of  $B_{min}$  for both 18 and 24 GHz heating up to certain values, i.e. 0.51 T and 0.66 T for 18 and 24 GHz, respectively. When  $B_{min}$  exceeds the above values, electron cyclotron instabilities are detected and  $T_s$  deviates from the increasing trend observed below the instability threshold (this conclusion is supported by additional data presented in Section 4).

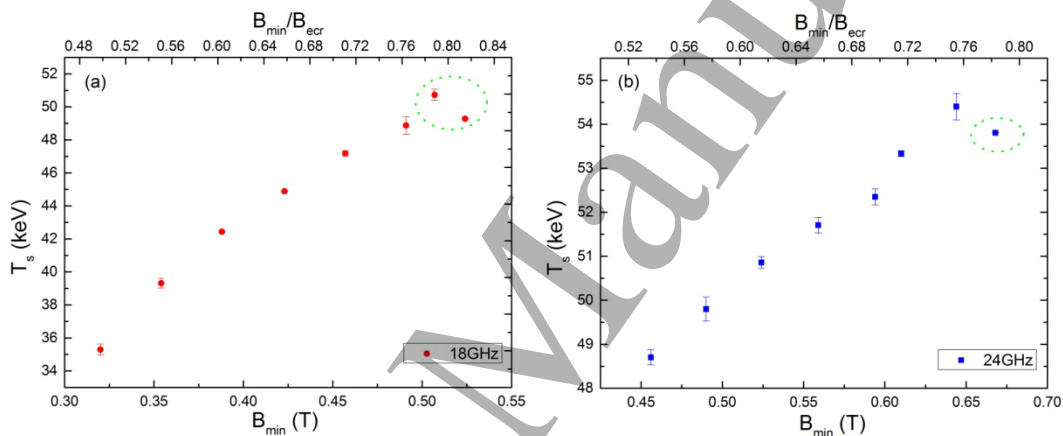


218

219

220 *Figure 6: Axial magnetic fields for 18 GHz (a) and 24 GHz (b) heating with constant injection, extraction and radial*  
 221 *fields.*

222



223

224 *Figure 7: Spectral temperature  $T_s$  as a function of  $B_{min}$  with constant injection, extraction and radial fields for 18*  
 225 *GHz (a) and 24 GHz (b) heating. The circled data points are the cases where the instabilities are detected.*

226

227 However, one should note that in these cases when  $B_{min}$  is changed, on-axis  $\nabla B_{eCr}$   
 228 is also simultaneously changed. So in the part two of the study, on-axis  $\nabla B_{eCr}$  is held  
 229 approximately constant (18 GHz:  $\sim 6.3$  T/m, 24 GHz:  $\sim 9.2$  T/m) but  $B_{min}$  is changed for  
 230 the two heating frequencies 18 and 24 GHz (shown in Figure 8). For 18 GHz heating,  
 231  $B_{min}$  is varied from 0.31 T to 0.47 T with a constant  $B_r$  at 1.02 T, the corresponding  
 232 variations of the injection and extraction fields are 1.13 T to 2.65 T and 1.03 T to 1.68  
 233 T, respectively. For 24 GHz,  $B_{min}$  is varied from 0.39 T to 0.57 T with a fixed  $B_r$  (1.44 T),  
 234 accordingly, the injection and extraction fields are changed from 1.76 T to 3.43 T and  
 235 1.45 T to 2.05 T. It is seen from Figure 9 that when on-axis  $\nabla B_{eCr}$  is held  
 236 approximately constant,  $T_s$  depends almost linearly on  $B_{min}$  for both two heating  
 237 frequencies. Meanwhile, electron cyclotron instabilities do not appear.

238

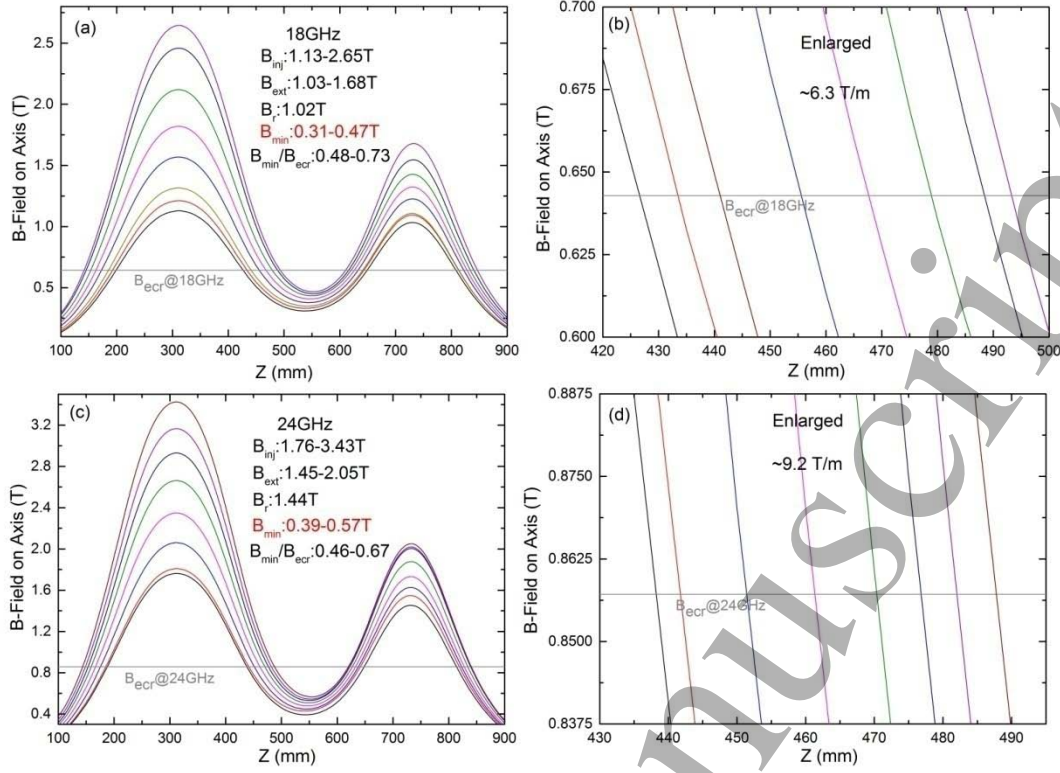


Figure 8: Axial magnetic fields for quasi-constant on-axis  $\sqrt{B_{e cr}}$  at 18 GHz (a & b) and 24 GHz (c & d) heating.

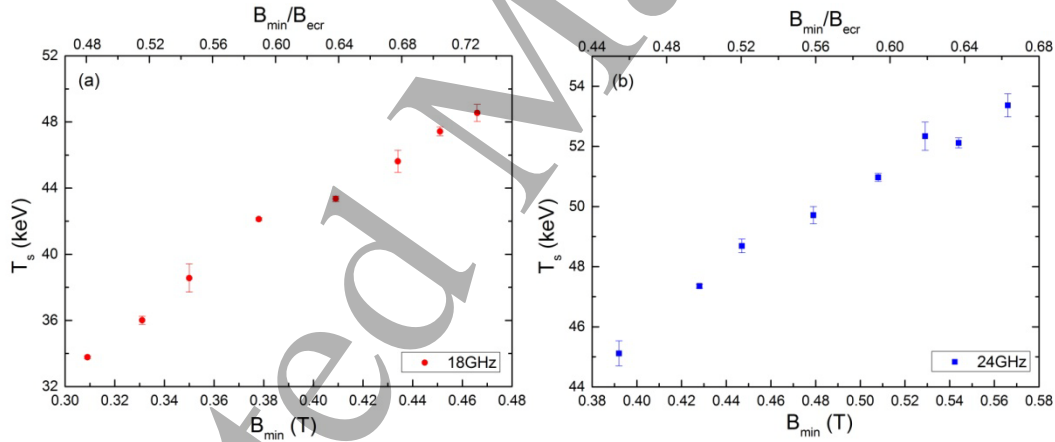
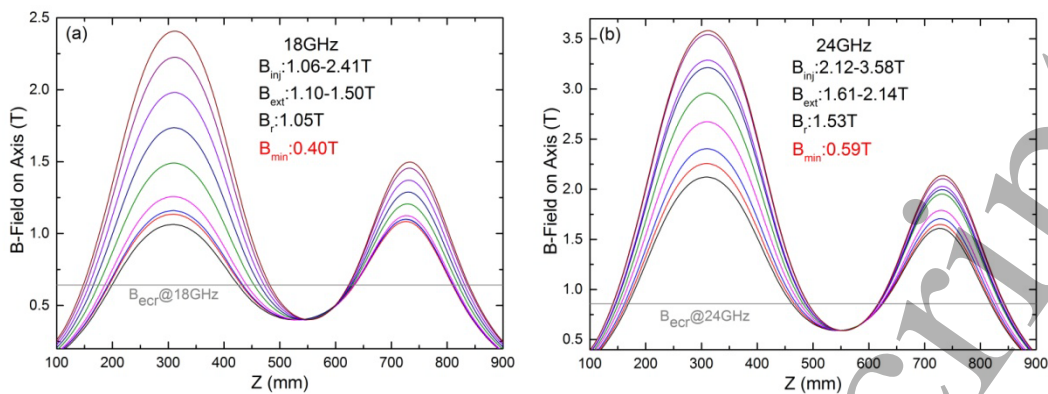


Figure 9: Spectral temperature  $T_s$  for 18 (a) and 24 (b) GHz heating at quasi-constant on-axis  $\sqrt{B_{e cr}}$ .

For comparison, in the third experimental part,  $B_{min}$  is kept constant and we vary on-axis  $\sqrt{B_{e cr}}$  for 18 and 24 GHz (see Figure 10). At 18 GHz, with  $B_{min}$  and  $B_r$  held constant at 0.40 T and 1.05 T, the injection and extraction fields are varied from 1.06 T to 2.41 T and 1.10 T to 1.50 T. While, at 24 GHz, the injection and extraction fields are varied from 2.12 T to 3.58 T and 1.61 T to 2.14 T corresponding to  $B_{min} = 0.59$  T and  $B_r = 1.53$  T. Figure 11 shows that the resulting  $T_s$  decreases with the increase of  $\sqrt{B_{e cr}}$  at low mirror ratio and is insensitive to the gradient at high mirror ratio for both 18 and 24 GHz heating. Electron cyclotron instabilities are not found at any point in this sweep.

254

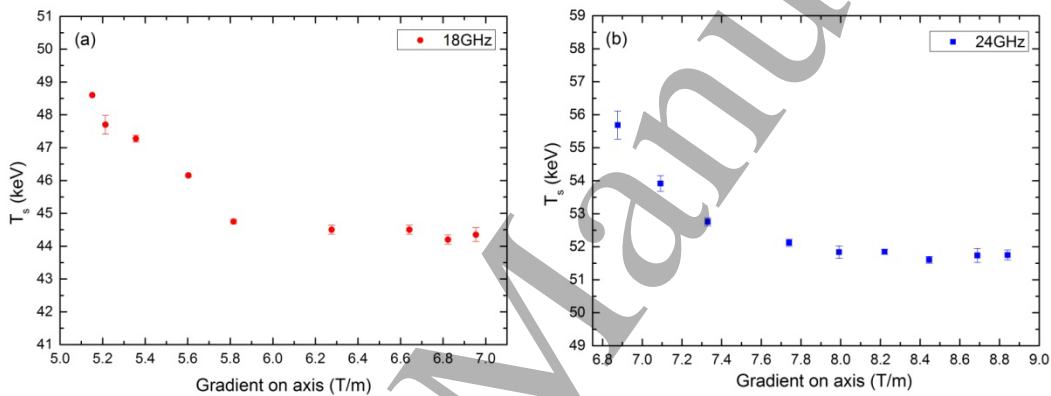


255

256

Figure 10: Axial magnetic fields when  $B_{min}$  is kept constant (a) at 18 GHz, (b) at 24 GHz.

257



258

259

Figure 11: Spectral temperature  $T_s$  as a function of on-axis  $\nabla B_{eccr}$  for 18 (a) and 24 (b) GHz heating with constant  $B_{min}$ .

260

261

262

263

264

265

266

267

268

269

270

271

272

273

274

275

276

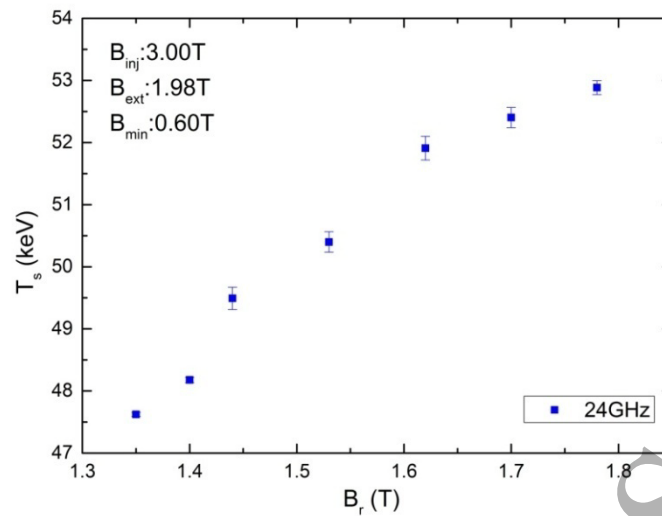
277

278

279

280

Since the increase of the axial mirror fields (and on-axis gradient at constant  $B_{min}$ ) changes the radial component of the solenoid field and, thus, affects the strength of the radial confinement by weakening the hexapole field on three poles in the injection side and on the other three poles in the extraction side, the effect of the radial field on  $T_s$  was also investigated. In this sweep, carried out with 24 GHz frequency, the on-axis gradient (8.1 T/m) and  $B_{min}$  (0.60 T) as well as the injection and extraction mirror fields (3.00 T and 1.98 T) were kept constant. The result is displayed in Figure 12 showing that  $T_s$  is affected by the radial field strength.



271

272 *Figure 12: Spectral temperature  $T_s$  as a function of  $B_r$ . Here  $B_r$  is measured in the plane where the radial*  
 273 *component of the solenoid field does not affect the hexapole field.*

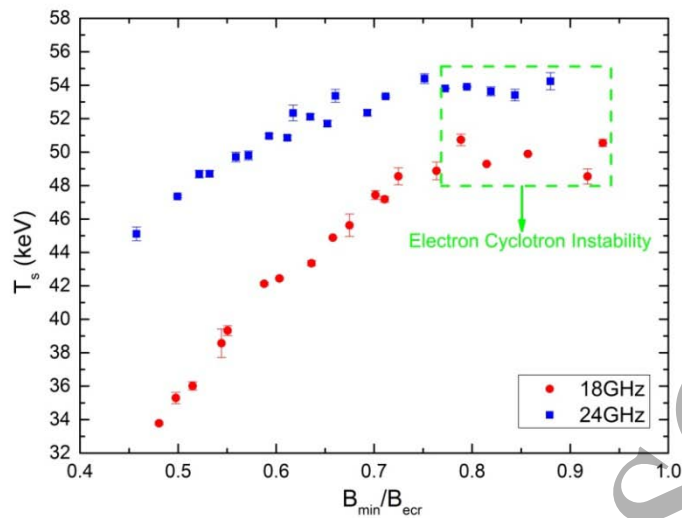
274

#### 275 4. Discussion

276 The experimental results obtained in part one indicate that electron cyclotron  
 277 instability appears above a threshold  $B_{min}$ , which gave us a hint to extend the  $B_{min}$   
 278 range. Figure 13 presents the summary of  $T_s$  versus extended  $B_{min}/B_{ecr}$  for two  
 279 heating frequencies powered separately (18 and 24 GHz) at various magnetic field  
 280 configurations. It can be seen from this figure that  $T_s$  increases approximately linearly  
 281 with the increasing of  $B_{min}/B_{ecr}$  but deviates from this trend (appears to saturate)  
 282 above a threshold (18 GHz:  $\sim 0.79$ , 24 GHz:  $\sim 0.78$ ), i.e. in the regime where electron  
 283 cyclotron instabilities are detected. This phenomenon can be explained by the fact  
 284 that the spectral temperature  $T_s$  is determined by the hot electron population, and  
 285 electron cyclotron instabilities would expel a significant fraction of the hot electrons  
 286 into the loss cone [21]. Once the electron cyclotron instabilities are triggered, the  
 287 plasma energy content (affected predominantly by the hot electrons) starts to  
 288 oscillate around a certain average value [34], which is then observed as a saturation  
 289 of the bremsstrahlung spectral temperature averaged over a large number of  
 290 instability periods. This finding is also consistent with experimental study [33] on the  
 291 energy distribution of electrons escaping minimum-B ECR plasmas, it is  
 292 demonstrated that the average energy of electrons escaping axially from a  
 293 minimum-B ECRIS grows with the magnetic field up to  $B_{min}/B_{ecr} \sim 0.8$  and then  
 294 saturates.

295





296

297

Figure 13: Spectral temperature  $T_s$  as a function of  $B_{min}/B_{ecr}$ .

298 Regarding part two, since  $B_{min}$  is not directly linked with the electron energy gain  
 299 in single resonance crossing, conversely, the electron energy gain depends strongly  
 300 on the magnetic field gradient at the resonance [41, 42]. Furthermore, the effective  
 301 width of the resonance also depends on the component of the magnetic field  
 302 gradient [43]. Although the spectral temperature  $T_s$  in our experiments is  
 303 determined by the bremsstrahlung emitted by the electrons near the source axis and  
 304 the gradient on axis is held approximately constant, one should note that the ECR  
 305 heating of cold electrons takes place over the whole ECR surface for which the above  
 306 parameters have been calculated. For relativistic electrons producing  
 307 bremsstrahlung in the range of 80–200 keV (used for determining  $T_s$ ) the situation is  
 308 far more complicated as they are heated everywhere in the discharge volume where  
 309 the Doppler shifted relativistic resonance condition  $B_{ecr} = \frac{1}{n} B_{ecr,cold} \gamma (1 \pm N_{||} k_{||})$

310 is met. Here  $n$  is the harmonic number,  $\gamma$  the relativistic Lorentz gamma ( $\gamma = 1 +$   
 311  $\frac{E_k}{m_e c^2}$ ),  $N_{||} k_{||} = \frac{v_{e,||}}{v_\phi}$  the ratio of electron longitudinal velocity (with respect to the

312 propagating wave) and the phase velocity of the heating microwave and the  $\pm$  sign  
 313 corresponds to blue- and red-shifted resonances. Hence, it should not be the on-axis  
 314 gradient, which is commonly used [13, 25, 27] as a parameter to describe the  
 315 magnetic field configuration of an ECRIS, but rather a global effect that determines  
 316 the electron heating rate and the bremsstrahlung spectrum. In fact, there is no single  
 317 parameter that could be used to describe the relativistic electron heating efficiency  
 318 in Doppler-shifted resonance. In the following we will use the average gradient

319  $\langle \nabla B_{ecr} \rangle = \langle \left( \frac{\vec{B}}{|\vec{B}|} \right) \cdot \nabla \vec{B} \rangle_{ecr,cold}$  (parallel to the field lines) across the cold

320 electron resonance surface to describe each configuration. This is preferred over the  
 321 on-axis cold electron resonance gradients because the variation of  $\langle \nabla B_{ecr} \rangle$  is  
 322 proportional to the variation of the average gradient in the whole discharge volume

323 where the Doppler-shifted resonance can occur.

324 Table 1 and figure 14 show that for 18 GHz heating of part two, the calculated [44]  
 325  $\langle \nabla B_{ecr} \rangle$  decreases with the increase of  $B_{min}$  and accordingly  $T_s$  decreases linearly with  
 326 the increase of  $\langle \nabla B_{ecr} \rangle$ . This consequence also applies for those cases in part one  
 327 and can be used to explain the appearance of electron cyclotron instabilities: since  
 328 the growth rate of electron cyclotron instabilities is proportional to the ratio of hot

329 and cold electron densities ( $\gamma \propto \frac{N_{e,hot}}{N_{e,cold}}$ ), when increasing  $B_{min}$  while keeping the

330 other fields constant, decreasing average gradient over ECR surface (shown in Figure  
 331 15) will lead to an increase in the hot electron population due to the more efficient  
 332 heating process. In other words, it means that the growth rate of electron cyclotron  
 333 instabilities increases with the increase of  $B_{min}$ . This process will continue until the

334 condition that the growth rate is larger than damping rate ( $\gamma > \delta$ ) is reached, then

335 the electron cyclotron instabilities are triggered and  $T_s$  stops increasing. It is  
 336 important to note that both the instability growth and damping rates most likely  
 337 depend on the magnetic field configuration through the electron energy distribution  
 338 and varying plasma density and electron loss rates. However, we associate the  
 339 transition between the stable and unstable regimes with the increase of the  
 340 instability growth rate rather than the decrease of the damping rate as it has been  
 341 shown previously that [19] the magnetic field is more influential than the neutral gas  
 342 pressure (affecting the plasma density) in determining the transition. Based on the  
 343 above analyses, it may be argued that separating the effect of  $B_{min}$  from the effect of  
 344  $\langle \nabla B_{ecr} \rangle$  is problematic while considering on the role of average gradient is more  
 345 coincident with theoretical studies to explain the apparent  $B_{min}$  dependence.

346

347

Table 1: Ion source characteristics for the study of the average gradient influence on  $T_s$ .

f (GHz)	$B_r$ (T)	$B_{inj}$ (T)	$B_{min}$ (T)	$B_{ext}$ (T)	$\langle \nabla B_{ecr} \rangle$ (T/m)	$T_s$ (keV)
18	1.02	1.13	0.31	1.03	8.74	33.8
		1.21	0.33	1.09	8.38	36.1
		1.32	0.35	1.11	7.97	38.6
		1.57	0.38	1.23	7.67	42.1
		1.82	0.41	1.32	7.17	43.4
		2.12	0.43	1.43	6.79	45.6
		2.46	0.45	1.55	6.62	47.4
		2.65	0.47	1.68	6.32	48.6

348



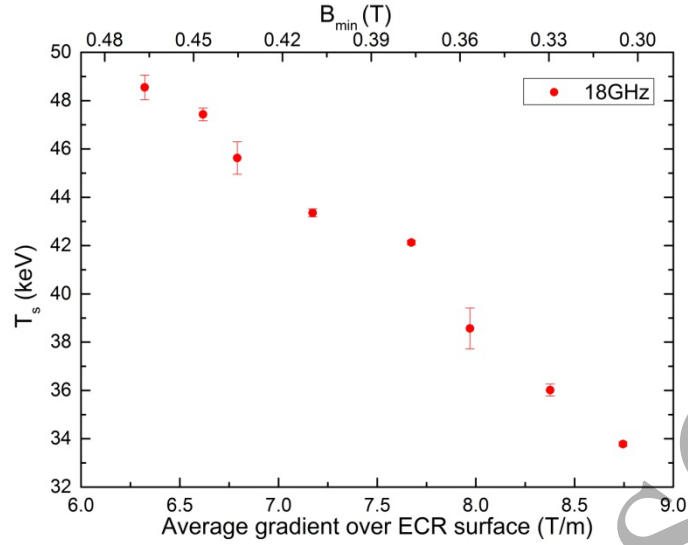


Figure 14: Spectral temperature  $T_s$  as a function of the average gradient over ECR surface.

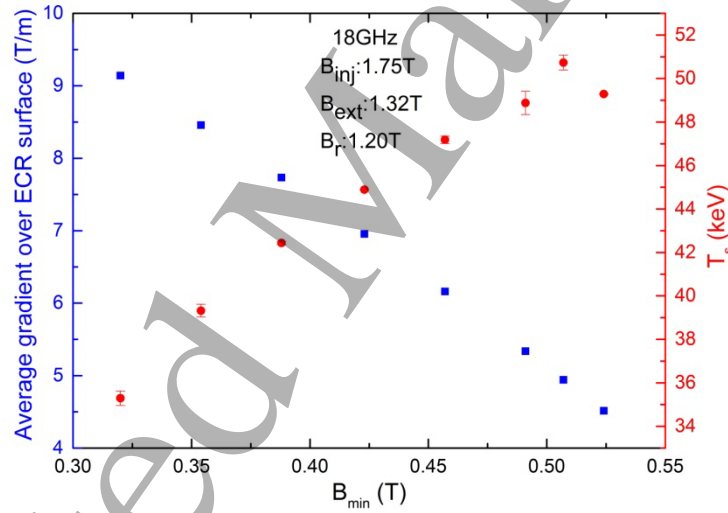


Figure 15: The average gradient over ECR surface and spectral temperature  $T_s$  as a function of  $B_{min}$ .

For the constant  $B_{min}$  cases in part three, similarly, we also take into account the influence of average gradient over ECR surface, it is found that for the 18 GHz heating, both  $\nabla B_{ecr}$  on axis and  $\langle \nabla B_{ecr} \rangle$  increase with increasing of mirror ratio (see Table 2), hence the changing trend of  $T_s$  for these two parameters are the same (shown in Figure 16). It should be noted that in this setting of experiments, when  $B_{min}$  is kept constant, the changes of gradient ( $\nabla B_{ecr}$  on axis: 5.15 – 6.95 T/m;  $\langle \nabla B_{ecr} \rangle$ : 6.92 – 7.70 T/m) and mirror ratio ( $B_{max}/B_{min}$ : 2.65 – 6.03) occur simultaneously, which means that two processes, i.e. electron heating and electron confinement are changed simultaneously.

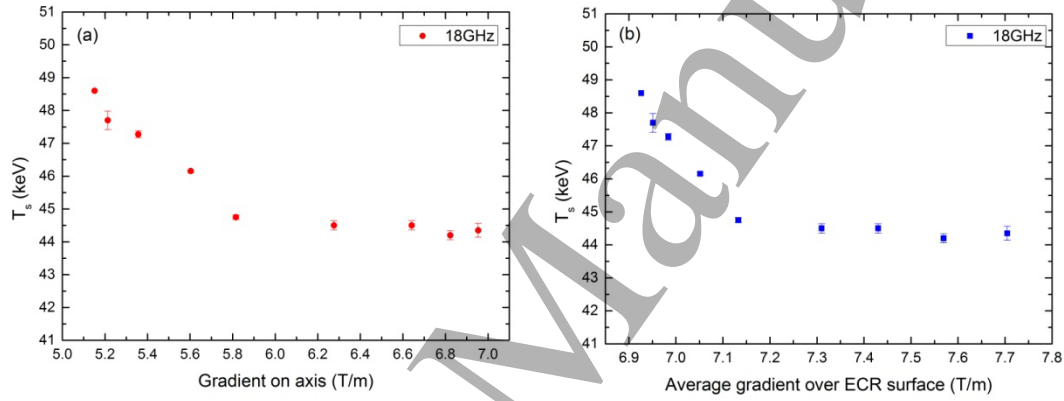
364

365

Table 2: Ion source characteristics for the study of constant  $B_{min}$  cases of 18GHz heating.

f (GHz)	$B_r$ (T)	$B_{min}$ (T)	$B_{inj}$ (T)	$B_{ext}$ (T)	$\nabla B_{ecr}$ on axis (T/m)	$\langle \nabla B_{ecr} \rangle$ (T/m)
18	1.05	0.40	1.06	1.10	5.15	6.92
			1.14	1.11	5.21	6.95
			1.16	1.12	5.36	6.98
			1.26	1.13	5.60	7.05
			1.49	1.21	5.82	7.13
			1.74	1.29	6.28	7.31
			1.98	1.37	6.64	7.43
			2.23	1.45	6.82	7.57
			2.41	1.50	6.95	7.70

366



367

368

369

Figure 16: Spectral temperature  $T_s$  as a function of gradient on axis (a) and the average gradient over ECR surface (b).

370

371

372

373

374

375

376

377

378

379

380

381

382

383

384

385

The data in Figure 16 shows that the effect of the average gradient on  $T_s$  becomes weaker when  $\langle \nabla B_{ecr} \rangle$  increases, which implies that the electron heating rate alone does not define  $T_s$ . This assumption is supported by the influence of  $B_r$  on  $T_s$ : figure 12 shows that  $T_s$  increases with the increase of  $B_r$  when the axial magnetic fields are held constant. At the same time the average gradient on the ECR-surface is affected only weakly as shown in Table 3 where the magnetic field strength  $B_{last}$  defining the last closed surface takes into account the effect of the radial component of the solenoid field on the hexapole (radial field). Since  $B_{last}$  defines the overall magnetic confinement in ECR plasma [13], the result implies that  $T_s$  is affected by the electron confinement, not only by electron heating. This conclusion is corroborated by the fact that both, the bremsstrahlung count rate and maximum energy, were observed to increase with the radial field strength (last closed surface).

386

Table 3: Ion source characteristics for the study of the radial field.

f (GHz)	$B_{inj}$ (T)	$B_{min}$ (T)	$B_{ext}$ (T)	$B_r$ (T)	$\langle \nabla B_{ecr} \rangle$ (T/m)	$B_{last}$ (T)
24	3.00	0.60	1.98	1.35	9.09	1.05
				1.40	9.13	1.09
				1.44	9.18	1.13
				1.53	9.29	1.21
				1.62	9.39	1.29
				1.70	9.50	1.37
				1.78	9.61	1.45

387

388

### 5. Conclusion

389

390

391

392

393

394

395

396

397

398

399

400

401

402

403

404

405

406

407

408

409

410

411

412

413

414

415

### Acknowledgments

416

417

418

419

420

The authors wish to thank J. Benitez and D. Xie of LBNL for helpful discussions. This work has been funded by Chinese Academy of Sciences President's International Fellowship Initiative (Grant No. 2016VTA009) and supported by the NSFC (contract No. 11427904), CAS (contract No. QYZDB-SSW-JSC025) and NSFC (contract No.

1  
2  
3 420 11705254).

4 421

5 422 **References**

6 423 [1] Geller R 1996 *Electron cyclotron resonance ion sources and ECR plasmas* (Bristol: Institute of  
7 424 Physics Publishing)

8 425 [2] Geller R 1998 *Rev. Sci. Instrum.* **69** 1302-10

9 426 [3] Liu Z W et al. 1998 *Rev. Sci. Instrum.* **69** 685-87

10 427 [4] Zhao H W, Wei B W, Liu Z W, Wang Y F and Zhao W J 2000 *Rev. Sci. Instrum.* **71** 646-50

11 428 [5] Zhao H W et al. 2002 *Rev. Sci. Instrum.* **73** 525-27

12 429 [6] Zhao H W et al. 2004 *Rev. Sci. Instrum.* **75** 1410-13

13 430 [7] Zhao H W et al. 2008 *Rev. Sci. Instrum.* **79** 02A315

14 431 [8] Lu W et al. 2016 *Rev. Sci. Instrum.* **87** 02A738

15 432 [9] Sun L et al. 2016 *Rev. Sci. Instrum.* **87** 02A707

16 433 [10] Zhao H W et al. 2018 *Rev. Sci. Instrum.* **89** 052301

17 434 [11] Zhao H Y et al. 2006 *Rev. Sci. Instrum.* **77** 03A312

18 435 [12] Zhao H Y et al. 2008 *Rev. Sci. Instrum.* **79** 02B504

19 436 [13] Zhao H Y et al. 2009 *Plasma Sources Sci. Technol.* **18** 025021

20 437 [14] Guo J W, Sun L, Niu X J, Zhang X Z, Lu W, Zhang W H, Feng Y C and Zhao H W 2016 *Rev. Sci.*  
21 438 *Instrum.* **87** 02A708

22 439 [15] Guo J W et al. 2018 *AIP Conference Proceedings* **2011** 090001

23 440 [16] Sun L et al. 2018 *AIP Conference Proceedings* **2011** 040022

24 441 [17] Lyneis C, Leitner D, Todd D, Virostek S, Loew T, Heinen A and Tarvainen O 2006 *Rev. Sci. Instrum.*  
25 442 **77** 03A342

26 443 [18] Thuillier T, Angot J, Benitez J Y, Hodgkinson A, Lyneis C M, Todd D S and Xie D Z 2016 *Rev. Sci.*  
27 444 *Instrum.* **87** 02A736

28 445 [19] Tarvainen O et al. 2014 *Plasma Sources Sci. Technol.* **23** 025020

29 446 [20] Tarvainen O, Laulainen J, Komppula J, Kronholm R, Kalvas T, Koivisto H, Izotov I, Mansfeld D and  
30 447 Skalyga V 2015 *Rev. Sci. Instrum.* **86** 023301

31 448 [21] Tarvainen O et al. 2016 *Rev. Sci. Instrum.* **87** 02A703

32 449 [22] Barue C, Briand P, Girard A, Melin G and Briffod G 1992 *Rev. Sci. Instrum.* **63** 2844-46

33 450 [23] Girard A 1992 *Rev. Sci. Instrum.* **63** 2676-82

34 451 [24] Baskaran R, Selvakurnaran T S, Rodrigues G, Kanjilal D and Roy A 2008 *Rev. Sci. Instrum.* **79**  
35 452 **02A324**

36 453 [25] Benitez J, Lyneis C, Phair L, Todd D and Xie D 2017 *IEEE Trans. Plasma Sci.* **45** 1746-54

37 454 [26] Leitner D, Benitez J Y, Lyneis C M, Todd D S, Ropponen T, Ropponen J, Koivisto H and Gammino S  
38 455 2008 *Rev. Sci. Instrum.* **79** 033302

39 456 [27] Noland J, Tarvainen O, Benitez J, Leitner D, Lyneis C and Verboncoeur J 2011 *Plasma Sources Sci.*  
40 457 *Technol.* **20** 035022

41 458 [28] Sun L et al. 2020 *Rev. Sci. Instrum.* **91** 023310

42 459 [29] <http://amptek.com/products/xr-100cdte-x-ray-and-gamma-ray-detector/>

43 460 [30] Bernhardt K and Wiesemann K 1982 *Plasma Phys. Controlled Fusion* **24** 867-84

44 461 [31] X-5 Monte Carlo Team 2003 *MCNP- A General Monte Carlo N-Particle Transport Code, Version 5*  
45 462 (NM: Los Alamos National Laboratory)

46 463 [32] Perret C, Girard A, Khodja H and Melin G 1999 *Physics of Plasmas* **6** 3408-15

- 1  
2  
3 464 [33] Izotov I, Tarvainen O, Skalyga V, Mansfeld D, Kalvas T, Koivisto H and Kronholm R 2018 *Plasma*  
4 465 *Sources Sci. Technol.* **27** 025012
- 5  
6 466 [34] Shalashov A G, Gospodchikov E D, Izotov I V, Mansfeld D A, Skalyga V A and Tarvainen O 2018 *Epl*  
7 467 **124** 35001
- 8 468 [35] Ginzburg V L 1970 *The propagation of electromagnetic waves in plasmas* (Oxford: Pergamon  
9 469 Press)
- 10 470 [36] Golubev S V and Shalashov A G 2007 *Phys. Rev. Lett.* **99** 205002
- 11 471 [37] Golubev S V and Shalashov A G 2007 *JETP Lett.* **86** 91-97
- 12 472 [38] Trakhtengerts V Y and Rycroft M J 2008 *Whistler and Alfvén mode cyclotron masers in space*  
13 473 (Cambridge: Cambridge University Press)
- 14 474 [39] Izotov I, Tarvainen O, Mansfeld D, Skalyga V, Koivisto H, Kalvas T, Komppula J, Kronholm R and  
15 475 Laulainen J 2015 *Plasma Sources Sci. Technol.* **24** 045017
- 16 476 [40] Naselli E et al. 2019 *Plasma Sources Sci. Technol.* **28** 085021
- 17 477 [41] Canobbio E 1969 *Nucl. Fusion* **9** 27-47
- 18 478 [42] Gammino S, Mascali D, Celona L, Maimone F and Ciavola G 2009 *Plasma Sources Sci. Technol.* **18**  
19 479 045016
- 20 480 [43] Williamson M C, Lichtenberg A J and Lieberman M A 1992 *J. Appl. Phys.* **72** 3924-33
- 21 481 [44] Vaughan J R M 1972 *IEEE Trans. Electron Devices* **Ed19** 144-151
- 22  
23  
24  
25  
26  
27  
28 483  
29  
30  
31  
32  
33  
34  
35  
36  
37  
38  
39  
40  
41  
42  
43  
44  
45  
46  
47  
48  
49  
50  
51  
52  
53  
54  
55  
56  
57  
58  
59  
60