Transverse Kinetic Stability*

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USPAS: "Beam Physics with Intense Space-Charge"
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Transverse Kinetic Stability: Outline

Transverse Kinetic Stability: Detailed Outline

Detailed Outline - 2

Detailed Outline - 3

9) Uniform Density Beams and Extreme Energy States
- Variational Formulation
- Self-Field Energy Minimization

10) Collective Relaxation of Space-Charge Nonuniformities and rms Emittance Growth
- Conservation Constraints
- Relaxation Processes
- Emittance Growth Bounds from Space-Charge Nonuniformities

11) Emittance Growth from Envelope Mismatch Oscillations
- To be added

12) Non-Tenuous Halo Induced Mechanism of Higher Order Instability in Quadrupole Focusing Channels
- Halo Model for an Elliptical Beam
- Pumping Mechanism
- Stability Properties

Detailed Outline - 4

13) Non-Tenuous Halo Induced Instability in Solenoidal Focusing Systems
- To be added

14) Phase Mixing and Landau Damping in Beams
- (to be added, future editions)

Contact Information

References

Acknowledgments

S1: Overview: Machine Operating Points

Good transport of a single component beam with intense space-charge described by a Vlasov-Poisson type model requires:

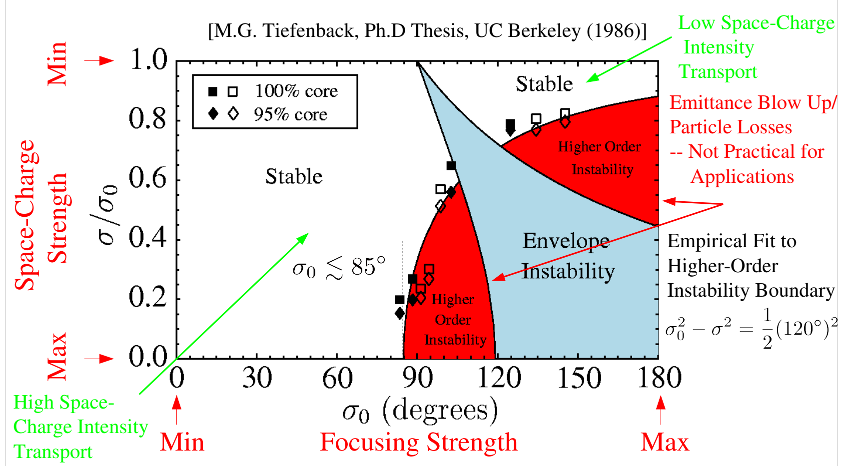
1. Lowest Order:
   Stable single-particle centroid: $\sigma_0 < 180°$ see: Transverse Particle Dynamics, Transverse Centroid and Env.
2. Next Order:
   Stable rms envelope: $\sigma_0,\ \sigma/\sigma_0$ both outside of envelope bands see: Transverse Centroid and Envelope Descriptions
3. Higher Order:
   "Stable" Vlasov description: To be covered these lectures

Transport of a relatively smooth initial beam distribution can fail or become "unstable" within the Vlasov model for several reasons:

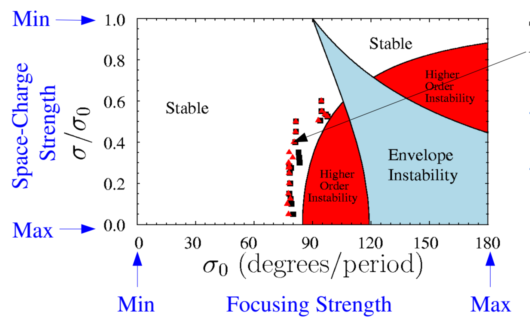
- Collective modes internal to beam become unstable and grow
  - Large amplitudes can lead to statistical (rms) beam emittance growth
- Excessive halo generated
  - Increased statistical beam emittance and particle losses
- Combined processes above

Transport limits in periodic (FODO) quadrupole lattices that result from higher order processes have been measured in the SBTE experiment. These results had only limited theoretical understanding over 20+ years

Limits defined with respect to reasonable (smooth) initial distributions



Summary of beam stability with intense space-charge in a quadrupole transport lattice: centroid, envelope, and theory boundary based on higher order emittance growth/particle losses



Theory stability boundary points

- Lund and Chawla, NIMA **561** 203 (2006)
- Lund, Barnard, Bukh, Chawla, and Chilton, NIMA **277** 173 (2007)

Recent theory analyzes AG transport limits without equilibria

- Suggests near core, chaotic halo resonances driven by matched beam envelope flutter can drive strong emittance growth and particle losses
- Results checked with fully self-consistent simulations

Analogous mechanisms (with much smaller region of parameters leading to "instability") exist for solenoidal transport

S2: Overview:
Collective Modes and Transverse Kinetic Stability

In discussion of transverse beam physics we have covered to date:

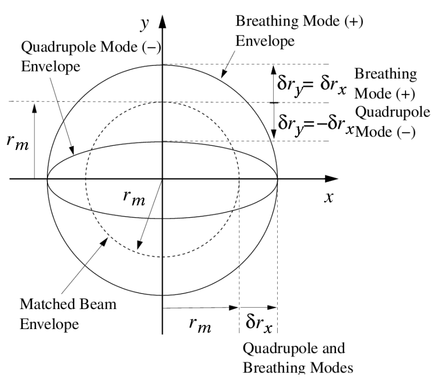
Equilibrium

- Used to estimate balance of space-charge and focusing forces
  - KV model for periodic focusing
  - Continuous focusing equilibria for qualitative guide on space-charge effects such as Debye screening and nonlinear equilibrium self-field effects

Centroid/Envelope Modes and Stability

- Lowest order collective oscillations of the beam
  - Analyzed assuming fixed internal form of the distribution
- Model only exactly correct for KV equilibrium distribution
  - Should hold in a leading-order sense for a wide variety of real beams
- Predictions of instability regions are well verified by experiment
  - Significantly restricts allowed system parameters for periodic focusing lattices
- Envelope and Centroid instability can be avoided using focusing sufficiently weak to avoid envelope instability by taking $\sigma_0 < 90^\circ$

Example – Envelope Modes on a Round, Continuously Focused Beam



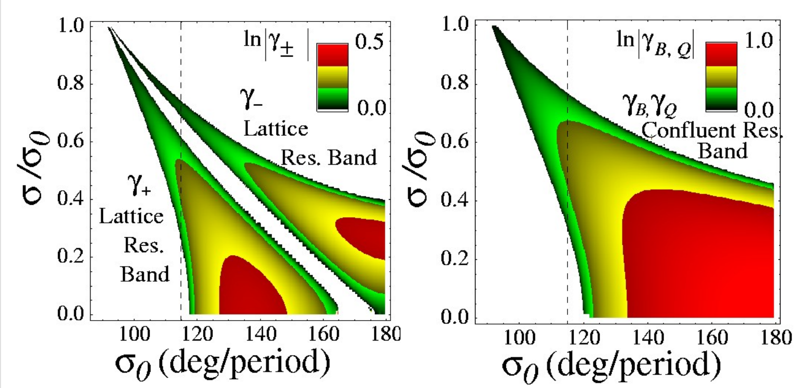
The analog of these modes in a periodic focusing lattice can be destabilized

- Constrains system parameters to avoid band (parametric) regions of instability

Reminder (lecture on Centroid and Envelope Descriptions of Beams): Instability bands of the KV envelope equation are well understood in periodic focusing channels

<u>Envelope Mode Instability Growth Rates</u>

<u>Solenoid (η = 0.25)</u> <u>Quadrupole FODO (η = 0.70)</u>

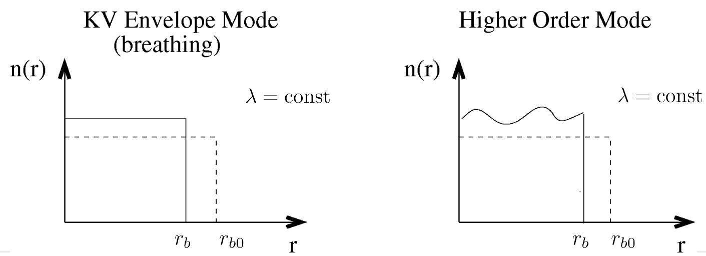


[S.M. Lund and B. Bukh, PRSTAB 024801 (2004)]

More instabilities are possible than can be described by centroid and envelope models. Look at a more complete, Vlasov based kinetic theory including self-consistent space-charge:

Higher-order Collective (internal) Mode Stability

- Perturbations will generally drive nonlinear space-charge forces
- Evolution of such perturbations can change the beam rms emittance
- Many possible internal modes of oscillation should be possible relative to moment (envelope) oscillations
  - Frequencies can differ significantly from envelope modes
  - Creates more possibilities for resonant exchanges with a periodic focusing lattice and various beam characteristic responses opening many possibilities for system destabilization



Plasma physics approach to beam physics:

Resolve:

$$\boxed{f(\mathbf{x}_\perp, \mathbf{x}'_\perp, s) = f_\perp(\{C_i\}) + \delta f_\perp(\mathbf{x}_\perp, \mathbf{x}'_\perp, s)}$$

equilibrium perturbation $f_\perp \gg |\delta f_\perp|$

and carry out equilibrium + stability analysis

Comments:

- Attraction is to parallel the impressive successes of plasma physics
  - Gain insight into preferred state of nature
- Beams are born off a source and may not be close to an equilibrium condition
  - Appropriate single particle constants of the motion unknown for periodic focusing lattices other than the KV distribution
  - Not clear if smooth equilibria exist for finite radius beams
- Intense beam self-fields and finite radial extent vastly complicate equilibrium description and analysis of perturbations relative to plasma physics
  - Influence of beam edge (finite plasma) and intense (generally nonlinear) self-fields complicate picture relative to neutral plasma physics

Review: Transverse Vlasov-Poisson Model: for a coasting, single species beam with electrostatic self-fields propagating in a linear focusing lattice:

$\mathbf{x}_\perp,\ \mathbf{x}'_\perp$ transverse particle coordinate, angle

$q,\quad m$ charge, mass

$\gamma_b,\ \beta_b$ axial relativistic factors

$f_\perp(\mathbf{x}_\perp, \mathbf{x}'_\perp, s)$ single particle distribution

$H_\perp(\mathbf{x}_\perp, \mathbf{x}'_\perp, s)$ single particle Hamiltonian

Vlasov Equation (see Barnard, Introductory Lectures; Lund, Transverse Eq. Dists.):

$$\frac{d}{ds} f_\perp = \frac{\partial f_\perp}{\partial s} + \frac{d\mathbf{x}_\perp}{ds} \cdot \frac{\partial f_\perp}{\partial \mathbf{x}_\perp} + \frac{d\mathbf{x}'_\perp}{ds} \cdot \frac{\partial f_\perp}{\partial \mathbf{x}'_\perp} = 0$$

Particle Equations of Motion:

$$\frac{d}{ds}\mathbf{x}_\perp = \frac{\partial H_\perp}{\partial \mathbf{x}'_\perp} \qquad \frac{d}{ds}\mathbf{x}'_\perp = -\frac{\partial H_\perp}{\partial \mathbf{x}_\perp}$$

Hamiltonian (see: S.M. Lund, lectures on Transverse Equilibrium Distributions):

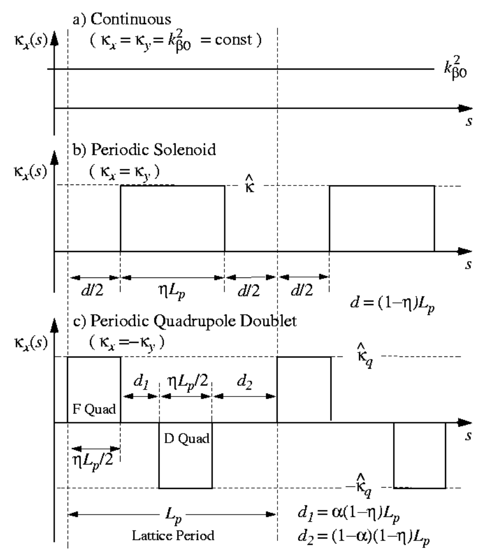
$$H_\perp = \frac{1}{2}\mathbf{x}'^{\,2}_\perp + \frac{1}{2}\kappa_x(s)x^2 + \frac{1}{2}\kappa_y(s)y^2 + \frac{q}{m\gamma_b^3\beta_b^2c^2}\phi$$

Poisson Equation:

$$\left(\frac{\partial^2}{\partial x^2} + \frac{\partial^2}{\partial y^2}\right)\phi = -\frac{q}{\epsilon_0}\int d^2\mathbf{x}'_\perp\ f_\perp$$

+ boundary conditions on ϕ

Review: Focusing lattices, continuous and periodic (simple piecewise constant):



Lattice Period L_p

Occupancy η

$\eta \in [0, 1]$

Solenoid description carried out implicitly in Larmor frame [see: S.M. Lund, lectures on Transverse Particle Dynamics]

Syncopation Factor α

$$\alpha \in [0, \frac{1}{2}]$$

$$\alpha = \frac{1}{2} \Longrightarrow FODO$$

Continuous Focusing: $\kappa_x = \kappa_y = k_{\beta 0}^2 = \text{const}$

$$\boxed{H_\perp = \frac{1}{2}\mathbf{x}_\perp'^{\,2} + \frac{1}{2}k_{\beta 0}^2 \mathbf{x}_\perp^2 + \frac{q}{m\gamma_b^3\beta_b^2c^2}\phi}$$

Solenoidal Focusing (in Larmor frame variables): $\kappa_x = \kappa_y = \kappa(s)$

$$H_\perp = \frac{1}{2}\mathbf{x}_\perp'^{\,2} + \frac{1}{2}\kappa \mathbf{x}_\perp^2 + \frac{q}{m\gamma_b^3\beta_b^2c^2}\phi$$

Quadrupole Focusing: $\kappa_x = -\kappa_y = \kappa_q(s)$

$$H_\perp = \frac{1}{2}\mathbf{x}_\perp'^{\,2} + \frac{1}{2}\kappa_q x^2 - \frac{1}{2}\kappa_q y^2 + \frac{q}{m\gamma_b^3\beta_b^2c^2}\phi$$

We will concentrate (mostly) on the continuous focusing model in these lectures and will summarize some recent results on periodic focusing

- Kinetic theory is notoriously complicated even in this (simple) case
- By analogy with envelope mode results expect that kinetic theory of periodic focusing systems to have more instabilities
- As in equilibrium analysis the continuous model can give simplified insight on a range of relevant kinetic stability considerations

S3: Linearized Vlasov Equation

Because of the complexity of kinetic theory, we will limit discussion to a simple continuous focusing model Vlasov-Poisson system for a coasting beam within a round pipe

$$\frac{df_\perp}{ds} = \left\{\frac{\partial}{\partial s} + \mathbf{x}_\perp' \cdot \frac{\partial}{\partial \mathbf{x}_\perp} - \left(k_{\beta 0}^2 \mathbf{x}_\perp + \frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial \phi}{\partial \mathbf{x}_\perp}\right)\cdot\frac{\partial}{\partial \mathbf{x}_\perp'}\right\} f_\perp(\mathbf{x}_\perp, \mathbf{x}_\perp', s) = 0$$

$$\nabla_\perp^2 \phi(\mathbf{x}_\perp, s) = -\frac{q}{\epsilon_0}\int d^2x_\perp' \; f_\perp(\mathbf{x}_\perp, \mathbf{x}_\perp, s)$$

$$\phi(|\mathbf{x}_\perp| = r_p, s) = \text{const}$$

Then expand the distribution and field as:

$$\begin{aligned} f_\perp &= \underbrace{f_0(H_0)}_{\text{equilibrium}} + \underbrace{\delta f_\perp}_{\text{perturbation}} \\ \phi &= \phi_0 + \delta\phi \end{aligned}$$

Comment:
The Poisson equation connects $f_\perp$ and ϕ so, $\delta f_\perp$ and $\delta\phi$ cannot be independently specified. We quantify the connection shortly.

At present, there is *no assumption* that the perturbations are small

- Use subscript zeros to distinguish equilibrium quantities in the absence of perturbations to setup perturbation analysis

The equilibrium satisfies:
(see: S.M. Lund, lectures on Transverse Equilibrium Distributions)

$$H_0 = \frac{1}{2}\mathbf{x}_\perp'^{\,2} + \frac{1}{2}k_{\beta 0}^2 \mathbf{x}_\perp^2 + \frac{q}{m\gamma_b^3\beta_b^2c^2}\phi_0$$

$$f_0(H_0) \geq 0 \quad \text{(any non-negative function)}$$

$$\frac{1}{r}\frac{\partial}{\partial r}\left(r\frac{\partial \phi_0}{\partial r}\right) = -\frac{q}{\epsilon_0}\int d^2x_\perp' \; f_0(H_0)$$

The unperturbed distribution must then satisfy the equilibrium Vlasov equation:

$$\left\{\frac{\partial}{\partial s} + \mathbf{x}_\perp' \cdot \frac{\partial}{\partial \mathbf{x}_\perp} - \left(k_{\beta 0}^2 \mathbf{x}_\perp + \frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial \phi_0}{\partial \mathbf{x}_\perp}\right)\cdot\frac{\partial}{\partial \mathbf{x}_\perp'}\right\} f_0(H_0) = 0$$

$$\left\{\mathbf{x}_\perp' \cdot \frac{\partial}{\partial \mathbf{x}_\perp} - \left(k_{\beta 0}^2 \mathbf{x}_\perp + \frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial \phi_0}{\partial \mathbf{x}_\perp}\right)\cdot\frac{\partial}{\partial \mathbf{x}_\perp'}\right\} f_0(H_0) = 0$$

Because the Poisson equation is linear, and ϕ_0 satisfies the equilibrium Poisson equation:

$$\nabla_\perp^2 \delta\phi(\mathbf{x}_\perp, s) = -\frac{q}{\epsilon_0}\int d^2x_\perp' \; \delta f_\perp(\mathbf{x}_\perp, \mathbf{x}_\perp, s)$$

$$\delta\phi(|\mathbf{x}_\perp| = r_p, s) = \text{const}$$

Insert the perturbations in Vlasov's equation and expand terms:

$$\left\{\frac{\partial}{\partial s} + \mathbf{x}_\perp' \cdot \frac{\partial}{\partial \mathbf{x}_\perp} - \left(k_{\beta 0}^2 \mathbf{x}_\perp + \frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial \phi_0}{\partial \mathbf{x}_\perp}\right)\cdot\frac{\partial}{\partial \mathbf{x}_\perp'}\right\} f_0(H_0) \quad \text{equilibrium term}$$

$$+\left\{\frac{\partial}{\partial s} + \mathbf{x}_\perp' \cdot \frac{\partial}{\partial \mathbf{x}_\perp} - \left(k_{\beta 0}^2 \mathbf{x}_\perp + \frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial \phi_0}{\partial \mathbf{x}_\perp}\right)\cdot\frac{\partial}{\partial \mathbf{x}_\perp'}\right\} \delta f_\perp \quad \text{equilibrium characteristics of perturbed distribution}$$

$$= \underbrace{\frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial \delta\phi}{\partial \mathbf{x}_\perp}\cdot\frac{\partial}{\partial \mathbf{x}_\perp'}f_0(H_0)}_{\text{perturbed field linear correction term}} + \underbrace{\frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial \delta\phi}{\partial \mathbf{x}_\perp}\cdot\frac{\partial}{\partial \mathbf{x}_\perp'}\delta f_\perp}_{\text{nonlinear term}}$$

Take the perturbations to be small-amplitude:

$$\begin{aligned} f_0(H_0) &\gg |\delta f_\perp| \\ \phi_0 &\gg \delta\phi \end{aligned}$$

<--- follows automatically from distribution/Poisson Eqn

and neglect the nonlinear terms to obtain the linearized Vlasov-Poisson system:

$$\left\{\frac{\partial}{\partial s} + \mathbf{x}_\perp' \cdot \frac{\partial}{\partial \mathbf{x}_\perp} - \left(k_{\beta 0}^2 \mathbf{x}_\perp + \frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial \phi_0}{\partial \mathbf{x}_\perp}\right)\cdot\frac{\partial}{\partial \mathbf{x}_\perp'}\right\} \delta f_\perp(\mathbf{x}_\perp, \mathbf{x}_\perp', s)$$

$$= \frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial \delta\phi(\mathbf{x}_\perp, s)}{\partial \mathbf{x}_\perp}\cdot\frac{\partial}{\partial \mathbf{x}_\perp'}f_0(H_0)$$

$$\nabla_\perp^2 \delta\phi(\mathbf{x}_\perp, s) = -\frac{q}{\epsilon_0}\int d^2x_\perp' \; \delta f_\perp(\mathbf{x}_\perp, \mathbf{x}_\perp, s) \qquad \delta\phi(|\mathbf{x}_\perp| = r_p, s) = \text{const}$$

Solution of the Linearized Vlasov Equation: Use the method of characteristics to recast in a more manageable form for beam applications

The linearized Vlasov equation is a integral-partial differential equation system

- Highly nontrivial to solve!
- The structure of the equations suggests that the Method of Characteristics can be employed to simplify analysis

Note that the equilibrium Vlasov equation is:

$$\left\{ \frac{\partial}{\partial s} + \mathbf{x}'_\perp \cdot \frac{\partial}{\partial \mathbf{x}_\perp} - \left(k_{\beta 0}^2 \mathbf{x}_\perp + \frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial \phi_0}{\partial \mathbf{x}_\perp} \right) \cdot \frac{\partial}{\partial \mathbf{x}'_\perp} \right\} f_0 = 0$$

$$\left.\frac{d}{ds}\right|_{\text{eq. orbit}} f_0 = 0$$

Interpret:

$$\left\{ \frac{\partial}{\partial s} + \mathbf{x}'_\perp \cdot \frac{\partial}{\partial \mathbf{x}_\perp} - \left(k_{\beta 0}^2 \mathbf{x}_\perp + \frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial \phi_0}{\partial \mathbf{x}_\perp} \right) \cdot \frac{\partial}{\partial \mathbf{x}'_\perp} \right\} = \left.\frac{d}{ds}\right|_{\text{eq. orbit}}$$

as a total derivative evaluated along an equilibrium particle orbit in the continuum approximation beam equilibrium. This suggests employing the *method of characteristics.*

Method of Characteristics:

Orbit equations of motion of a "characteristic particle" in equilibrium:

$$\frac{d}{d\tilde{s}}\tilde{\mathbf{x}}_\perp(\tilde{s}) = \tilde{\mathbf{x}}'_\perp(\tilde{s})$$

$$\frac{d}{d\tilde{s}}\tilde{\mathbf{x}}'_\perp(\tilde{s}) = -k_{\beta 0}^2\tilde{\mathbf{x}}_\perp(\tilde{s}) - \frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial \phi_0(\tilde{\mathbf{x}}_\perp(\tilde{s}))}{\partial \tilde{\mathbf{x}}_\perp(\tilde{s})}$$

"Initial" conditions of characteristic orbit chosen such that particle passes through phase-space coordinates $\mathbf{x}_\perp,\ \mathbf{x}'_\perp$ at $\tilde{s} = s$:

$$\tilde{\mathbf{x}}_\perp(\tilde{s} = s) = \mathbf{x}_\perp$$

$$\tilde{\mathbf{x}}'_\perp(\tilde{s} = s) = \mathbf{x}'_\perp$$

Then the linearized Vlasov equation can be equivalently expressed as:

$$\frac{d}{d\tilde{s}}\delta f_\perp(\tilde{\mathbf{x}}_\perp(\tilde{s}), \tilde{\mathbf{x}}'_\perp(\tilde{s}), \tilde{s}) = \frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial \delta\phi(\tilde{\mathbf{x}}_\perp(\tilde{s}))}{\partial \tilde{\mathbf{x}}_\perp(\tilde{s})} \cdot \frac{\partial}{\partial \tilde{\mathbf{x}}'_\perp} f_0(H_0(\tilde{\mathbf{x}}_\perp(\tilde{s}), \tilde{\mathbf{x}}'_\perp(\tilde{s})))$$

Integrate:

$$\int_{-\infty}^{s} d\tilde{s}\, \frac{d}{d\tilde{s}}\delta f_\perp(\tilde{\mathbf{x}}_\perp(\tilde{s}), \tilde{\mathbf{x}}'_\perp(\tilde{s}), \tilde{s}) = \frac{q}{m\gamma_b^3\beta_b^2c^2}\int_{-\infty}^{s} d\tilde{s}\, \frac{\partial \delta\phi(\tilde{\mathbf{x}}_\perp(\tilde{s}))}{\partial \tilde{\mathbf{x}}_\perp(\tilde{s})} \cdot \frac{\partial}{\partial \tilde{\mathbf{x}}'_\perp} f_0(H_0(\tilde{\mathbf{x}}_\perp(\tilde{s}), \tilde{\mathbf{x}}'_\perp(\tilde{s})))$$

Neglect initial conditions at $\tilde{s} \rightarrow -\infty$ to analyze perturbations that grow in *s*:

$$\int_{-\infty}^{s} d\tilde{s}\, \frac{d}{d\tilde{s}}\delta f_\perp(\tilde{\mathbf{x}}_\perp(\tilde{s}), \tilde{\mathbf{x}}'_\perp(\tilde{s}), \tilde{s}) = \delta f_\perp(\mathbf{x}_\perp, \mathbf{x}'_\perp, s) - \lim_{\tilde{s}\rightarrow -\infty} \delta f_\perp(\tilde{\mathbf{x}}_\perp(\tilde{s}), \tilde{\mathbf{x}}'_\perp(\tilde{s}), \tilde{s})$$

$$\simeq \delta f_\perp(\mathbf{x}_\perp, \mathbf{x}'_\perp, s)$$

Giving:

$$\delta f_\perp(\mathbf{x}_\perp, \mathbf{x}'_\perp, s) = \frac{q}{m\gamma_b^3\beta_b^2c^2}\int_{-\infty}^{s} d\tilde{s}\, \frac{\partial \delta\phi(\tilde{\mathbf{x}}_\perp(\tilde{s}))}{\partial \tilde{\mathbf{x}}_\perp(\tilde{s})} \cdot \frac{\partial}{\partial \tilde{\mathbf{x}}'_\perp} f_0(H_0(\tilde{\mathbf{x}}_\perp(\tilde{s}), \tilde{\mathbf{x}}'_\perp(\tilde{s})))$$

Insert this expression in the perturbed Poisson equation:

$$\nabla_\perp^2 \delta\phi(\mathbf{x}_\perp, s) = -\frac{q}{\epsilon_0}\int d^2x'_\perp\ \delta f_\perp(\mathbf{x}_\perp, \mathbf{x}_\perp, s)$$

$$\delta\phi(|\mathbf{x}_\perp| = r_p, s) = \text{const}$$

To obtain the characteristic form of the perturbed Vlasov equation:

$$\nabla_\perp^2 \delta\phi(\mathbf{x}_\perp, s) = \frac{-q}{m\epsilon_0\gamma_b^3\beta_b^2c^2}\int d^2x'_\perp \int_{-\infty}^{s} d\tilde{s}\, \frac{\partial \delta\phi(\tilde{\mathbf{x}}_\perp(\tilde{s}))}{\partial \tilde{\mathbf{x}}_\perp(\tilde{s})} \cdot \frac{\partial}{\partial \tilde{\mathbf{x}}'_\perp} f_0(H_0(\tilde{\mathbf{x}}_\perp(\tilde{s}), \tilde{\mathbf{x}}'_\perp(\tilde{s})))$$

$$\delta\phi(|\mathbf{x}_\perp| = r_p, s) = \text{const}$$

Summary:

Linearized Vlasov-Poisson system expressed in the method of characteristics

$$\nabla_\perp^2 \delta\phi(\mathbf{x}_\perp, s) = \frac{-q}{m\epsilon_0\gamma_b^3\beta_b^2c^2}\int d^2x'_\perp \int_{-\infty}^{s} d\tilde{s}\, \frac{\partial \delta\phi(\tilde{\mathbf{x}}_\perp(\tilde{s}))}{\partial \tilde{\mathbf{x}}_\perp(\tilde{s})} \cdot \frac{\partial}{\partial \tilde{\mathbf{x}}'_\perp} f_0(H_0(\tilde{\mathbf{x}}_\perp(\tilde{s}), \tilde{\mathbf{x}}'_\perp(\tilde{s})))$$

$$\delta\phi(|\mathbf{x}_\perp| = r_p, s) = \text{const}$$

With characteristic orbits in the equilibrium beam satisfying:

Eqns of Motion:

$$\frac{d}{d\tilde{s}}\tilde{\mathbf{x}}_\perp(\tilde{s}) = \tilde{\mathbf{x}}'_\perp(\tilde{s})$$

$$\frac{d}{d\tilde{s}}\tilde{\mathbf{x}}'_\perp(\tilde{s}) = -k_{\beta 0}^2\tilde{\mathbf{x}}_\perp(\tilde{s}) - \frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial \phi_0(\tilde{\mathbf{x}}_\perp(\tilde{s}))}{\partial \tilde{\mathbf{x}}_\perp(\tilde{s})}$$

Initial Conditions:

$$\tilde{\mathbf{x}}_\perp(\tilde{s} = s) = \mathbf{x}_\perp$$

$$\tilde{\mathbf{x}}'_\perp(\tilde{s} = s) = \mathbf{x}'_\perp$$

Gives the self-consistent evolution of the perturbations

- Similar statement for nonlinear perturbations (Homework problem)

Effectively restates the Poisson equation as a differential-integral equation that is solved to understand the evolution of perturbations

- Simpler to work with .... but still *very* complicated to solve in general cases due to nonlinear equilibrium characteristics which other than special cases are difficult to solve for analytically

S4: Collective Modes on a KV Equilibrium Beam

Unfortunately, calculation of normal modes is generally complicated even in continuous focusing. Nevertheless, the normal modes of the KV distribution can be analytically calculated and give insight on the expected collective response of a beam with intense space-charge.

Review: Continuous Focusing KV Equilibrium

- see: S.M. Lund, lectures on Transverse Equilibrium Distributions

$$\boxed{f_\perp(H_\perp) = \frac{\hat{n}}{2\pi}\delta\left(H_\perp - \frac{\varepsilon^2}{2r_b^2}\right)}$$

$k_{\beta 0} =$ Undepressed betatron wavenumber

$r_b =$ Beam edge radius

$\hat{n} =$ Beam number density

$Q =$ Dimensionless perveance

$\varepsilon =$ rms edge emittance

Express equilibrium parameters in normalized forms as before to provide a "guide" to other systems:

$$r_b = \left(\frac{Q + \sqrt{4k_{\beta 0}^2\varepsilon^2 + Q^2}}{2k_{\beta 0}^2}\right)^{1/2} = \text{const}$$

$$\sigma = \sqrt{\sigma_0^2 - \frac{Q}{(r_b/L_p)^2}} = \frac{\varepsilon L_p}{r_b^2}$$

$$k_{\beta 0}^2 = \left(\frac{\sigma_0}{L_p}\right)^2 = \text{const}$$

$$\frac{k_{\beta 0}^2\varepsilon^2}{Q^2} = \frac{\sigma_0^2\varepsilon^2}{Q^2L_p^2} = \frac{(\sigma/\sigma_0)^2}{[1-(\sigma/\sigma_0)^2]^2}$$

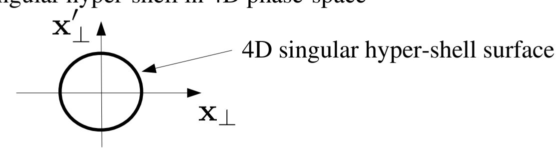
Further comments on the KV equilibrium: Distribution Structure

Equilibrium distribution for non-continuous focusing channels:

$$\boxed{f_\perp \sim \delta[\text{Courant-Snyder invariants}]}$$

Forms a highly singular hyper-shell in 4D phase-space

Schematic:



- Singular distribution has large "Free-Energy" to drive many instabilities
  - Low order envelope modes are physical and highly important (see: S.M. Lund, lectures on Centroid and Envelope Descriptions of Beams)
- Perturbative analysis shows strong collective instabilities
  - Hofmann, Laslett, Smith, and Haber, Part. Accel. **13**, 145 (1983)
  - Higher order instabilities (collective modes) have unphysical aspects due to (delta-function) structure of distribution and must be applied with care (see following lecture material)
  - Instabilities can cause problems if the KV distribution is employed as an initial beam state in self-consistent simulations

A full kinetic stability analysis of the elliptical beam KV equilibrium distribution is complicated and uncovers many strong instabilities

[I. Hofmann, J.L. Laslett, L. Smith, and I. Haber, Particle Accel. 13, 145 (1983); R. Gluckstern, Proc. 1970 Proton Linac Conf., Batavia 811 (1971)]

Expand Vlasov's equation to linear order with:

$$\boxed{f_\perp \rightarrow f_\perp(\text{ C.S. Invariant}) \;+\; \delta f_\perp}$$

$f_\perp(\text{C.S. Invariant})$ = equilibrium

$\delta f_\perp$ = perturbation

Solve the Poisson equation:

$$\nabla_\perp^2\delta\phi = -\frac{q}{\epsilon_0}\int d^2x'\,\delta f_\perp$$

using truncated polynomials for $\delta\phi$ internal to the beam to represent a "normal mode" with pure harmonic variation, i.e., $\delta\phi \sim \text{func}(x,y)e^{-iks}$

$$\delta\phi = e^{-iks}\left\{\sum_{m=0}^{n} A_m^{(0)}(s)x^{n-m}y^m + \sum_{m=0}^{n-2} A_m^{(1)}(s)x^{n-m-2}y^m + \cdots\right\}$$

$k = \text{const} = \text{Mode Wavenumber}$ $\quad n = 2,3,4,\cdots$ "order" of mode

$i = \sqrt{-1}$ $\quad m$ can be restricted to even or odd terms

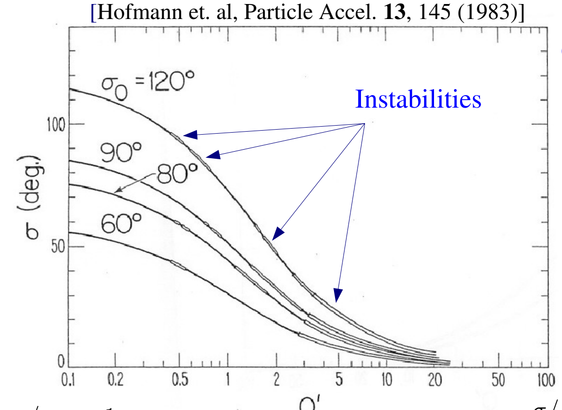
- Truncated polynomials can meet all boundary conditions (Glukstern, Hoffmann)
- Eigenvalues of a Floquet form transfer matrix analyzed for stability properties
  - Lowest order results reproduce KV envelope instabilities
  - Higher order results manifest many strong instabilities

Higher order kinetic instabilities of the KV equilibrium are strong and cover a wide parameter range for periodic focusing lattices

Example: FODO Quadrupole Stability

4th order (n = 4) even mode

[Hofmann et. al, Particle Accel. **13**, 145 (1983)]



Comment:
Hofmann et al notation on space-charge parameter:

$$Q' \neq \frac{dQ}{ds}$$
$$\neq \text{ Our } Q$$

Q' scale not defined in paper

$\sigma/\sigma_0 \rightarrow 1$ (undepressed) --> (space-charge parameter) increasing space-charge --> $\sigma/\sigma_0 \rightarrow 0$ (fully depressed)

The continuous focusing limit can be analyzed to better understand properties of internal modes on a KV beam

[S. Lund and R. Davidson, Physics of Plasmas **5**, 3028 (1998): see Appendix B, C]

Continuous focusing, KV equilibrium beam: $\varepsilon_x = \varepsilon_y \equiv \varepsilon$

$$\kappa_x(s) = \kappa_y(s) = k_{\beta 0}^2 = \text{const} \qquad r_x = r_y \equiv r_b$$

Search for *axisymmetric* $(\partial/\partial\theta = 0)$ normal mode solutions with $\sim e^{-iks}$ variations with:

$$k = \text{const} = \text{Mode Wavenumber} \quad \text{(generally complex)}$$

$$\delta\phi = \delta\phi_n(r)e^{iks} \qquad \delta\phi_n(r) = \text{Truncated Polynomial in } r$$

Find after some analysis:

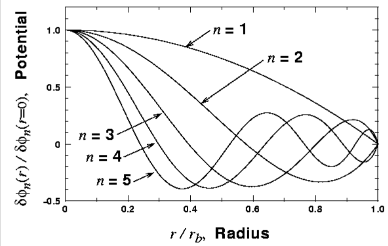
- See Appendix A, derived using method of characteristics and solving a radial eigenvalue equation

Mode Eigenfunction (2*n* "order" in the sense of Hoffman et. al.):

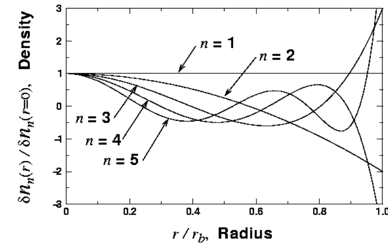
$$\boxed{\delta\phi_n = \begin{cases} \frac{A_n}{2}\left[P_{n-1}\left(1-2\frac{r^2}{r_b^2}\right) + P_n\left(1-2\frac{r^2}{r_b^2}\right)\right], & 0 \le r \le r_b \\ 0, & r_b < r \end{cases} \quad A_n = \text{const} \quad n = 1,\ 2,\ 3,\ \cdots \quad P_n(x) = n^{\text{th}} \text{ order Legendre polynomial}}$$

Plots of radial eigenfunction help illustrate normal mode structure:

Potential



Density ($\delta n_n = \epsilon_0 \nabla_\perp^2 \delta\phi_n / q$)



- Polynomial eigenfunction has *n*-1 density profile "wiggles" and tends to vary more rapidly near beam edge for higher *n* values
- Eigenfunction structure suggestive of wave perturbations often observed internal to the beam in simulations for a variety of beam distributions

Corresponding dispersion relation has degenerate branches for each eigenfunction some of which go strongly unstable for $n \geq 2$

Dispersion Relation

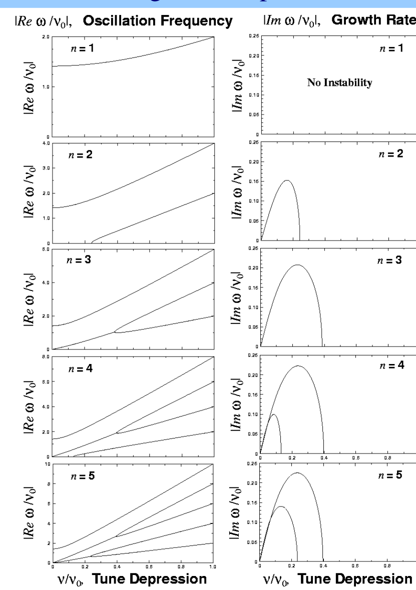
$$2n + \frac{1-\sigma/\sigma_0}{(\sigma/\sigma_0)^2}\left[B_{n-1}\left(\frac{k/k_{\beta 0}}{\sigma/\sigma_0}\right) - B_n\left(\frac{k/k_{\beta 0}}{\sigma/\sigma_0}\right)\right] = 0$$

$$\text{where:} \quad B_j(\alpha) \equiv \begin{cases} 1, & j = 0 \\ \frac{(\alpha/2)^2-0^2}{(\alpha/2)^2-1^2}\frac{(\alpha/2)^2-2^2}{(\alpha/2)^2-3^2}\cdots\frac{(\alpha/2)^2-(j-1)^2}{(\alpha/2)^2-j^2} & j = 1,3,5,\cdots \\ \frac{(\alpha/2)^2-1^2}{(\alpha/2)^2-2^2}\frac{(\alpha/2)^2-3^3}{(\alpha/2)^2-4^2}\cdots\frac{(\alpha/2)^2-(j-1)^2}{(\alpha/2)^2-j^2} & j = 2,4,6,\cdots \end{cases}$$

- n distinct branches for *n*th order (real coefficient) polynomial dispersion relation in $(k/k_{\beta 0})^2$
- Some range of σ/σ_0 unstable for all *n* > 1
  - Instability exists for some *n* for $\sigma/\sigma_0 < 0.3985$
  - Growth rates are strong

Plot dispersion relation roots in real and imaginary parts to analyze stability properties of each eigenmode

Continuous focusing limit dispersion relation results for KV beam stability



Notation Change:

$$k/k_{\beta 0} \equiv \omega/\nu_0$$

$$\sigma/\sigma_0 \equiv \nu/\nu_0$$

[S. Lund and R. Davidson, Physics of Plasmas **5**, 3028 (1998): see Appendix B, C]

Summary stability results for a continuously focused KV beam with axisymmetric perturbations

Stability results are highly pessimistic and inconsistent with simulation and experiment which show:

- Internal collective waves with at times strong similarity to stable branches of the KV distribution but without the strong instabilities predicted
- Smooth initial distributions likely to be present in the lab transport well with no instability or pronounced growth of phase-space area
  - Particularly true in ideal continuous focusing systems
  - Lesser degree of stability found for periodic focusing systems (see S12).

If we take the KV results literally transport would be precluded by one or more collective mode being unstable when $\sigma/\sigma_0 < 0.3985$

For continuous focusing, fluid theory shows that some branches and features of the KV kinetic dispersion relation *are* physical

[S. Lund and R. Davidson, Physics of Plasmas **5**, 3028 (1998)]

KV model kinetic instabilities are a paradox:

Low-order features physical:

- Envelope equations well verified and instabilities of must be avoided in design

Higher-order collective modes:

- Perturbations seen in simulations/lab similar in form to the normal mode radial eigenfunctions
- BUT perturbations on real, smooth beam core not typically unstable where the KV model predicts strong bands of parametric instability

How is this situation resolved? Partial answer suggested by a fluid theory model of the KV equilibrium that eliminates unphysical aspects of the singular KV equilibrium core

Fluid theory:

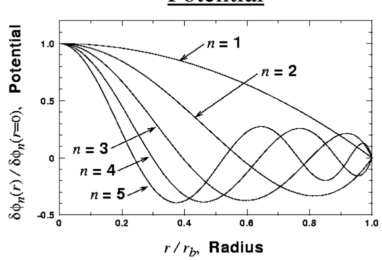
- KV equilibrium distribution is reasonable in fluid theory
  - No singularities
  - Flat density and parabolic radial temperature profiles
- Theory truncated by assuming zero heat flow

Results of normal mode analysis based on a fluid theory:

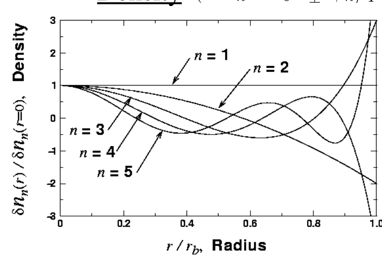
Mode eigenfunctions:

Exactly the same as derived under kinetic theory!

Potential



Density ($\delta n_n = \epsilon_0 \nabla_\perp^2 \delta\phi_n / q$)



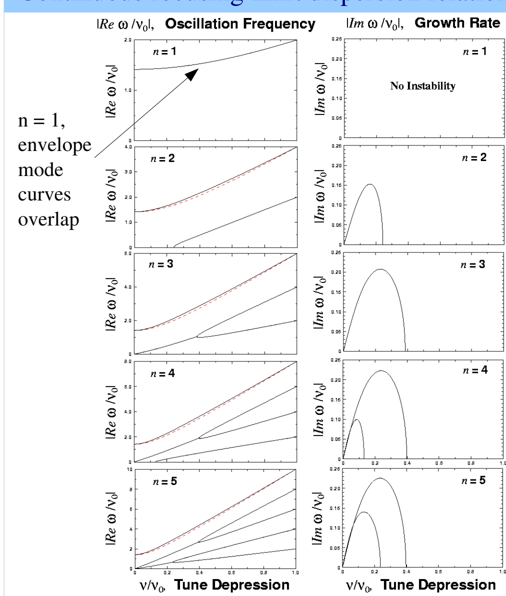
Mode dispersion relation:

$$\boxed{\frac{k}{k_{\beta 0}} = \sqrt{2 + 2\left(\frac{\sigma}{\sigma_0}\right)^2 (2n^2 - 1)} \qquad n = 1,\ 2,\ 3,\ \cdots}$$

- Agrees well with the stable high frequency branch in kinetic theory

Results show that aspects of higher-order KV internal modes are physical!

Continuous focusing limit dispersion relation results for KV beam stability



Notation Change:

$$k/k_{\beta 0} \equiv \omega/\nu_0$$

$$\sigma/\sigma_0 \equiv \nu/\nu_0$$

Red: Fluid Theory (no instability)

Black: Kinetic Theory (unstable branches)

[S. Lund and R. Davidson, Physics of Plasmas **5**, 3028 (1998)]

Appendix A: Solution of the Small Amplitude Perturbed Vlasov Equation for a Continuously Focused Beam

Not yet typeset.

See handwritten note supplements from previous courses on:

http://hifweb.lbl.gov/USPAS_2011/lec_set_08/tks_sup.pdf

Section 4: USPAS 2008, UC Berkeley 2009

S5: Global Conservation Constraints

Apply for any initial distribution, equilibrium or not.

- Strongly constrain nonlinear evolution of the system.
- Valid even with a beam pipe provided that particles are not lost from the system and that symmetries are respected.
- Useful to bound perturbations, but yields no information on evolution timescales.

1) Generalized Entropy

$$\boxed{\begin{aligned} &U_G = \int d^2x_\perp \int d^2x'_\perp \; G(f_\perp) \;\; = \text{const} \\ &G(f_\perp) = \text{Any differentiable functions satisfying } G(f_\perp \to 0) = 0 \end{aligned}}$$

- Applies to *all* Vlasov evolutions.

// Examples

Line-charge: $G(f_\perp) = q f_\perp \longrightarrow \boxed{\lambda = q\int d^2x_\perp \int d^2x'_\perp \; f_\perp \;\; = \text{const}}$

Entropy: $G(f_\perp) = -\dfrac{f_\perp}{f_0}\ln\left(\dfrac{f_\perp}{f_0}\right)$ $\quad f_0$ positive constant

$$\longrightarrow \boxed{\mathcal{S} = -\int d^2x_\perp \int d^2x'_\perp \; \frac{f_\perp}{f_0}\ln\left(\frac{f_\perp}{f_0}\right) \;\; = \text{const}}$$ //

2) Transverse Energy in continuous focusing systems

$$\boxed{U_\mathcal{E} = \int d^2x_\perp \int d^2x'_\perp \left\{\frac{1}{2}\mathbf{x}'^2_\perp + \frac{1}{2}k^2_{\beta 0}\mathbf{x}^2_\perp\right\} f_\perp \; + \int d^2x_\perp \; \frac{\epsilon_0|\nabla_\perp\phi|^2}{2m\gamma_b^3\beta_b^2c^2} \;\; = \text{const}}$$

Here,

$\int d^2x'_\perp \int d^2x_\perp \; \frac{1}{2}\mathbf{x}'^2_\perp f_\perp$ ~ Kinetic Energy

$\int d^2x'_\perp \int d^2x_\perp \; \frac{1}{2}k^2_{\beta 0}\mathbf{x}^2_\perp f_\perp$ ~ Potential Energy of applied focusing forces

$\int d^2x_\perp \; \frac{\epsilon_0|\nabla_\perp\phi|^2}{2m\gamma_b^3\beta_b^2c^2}$ ~ Self-Field Energy (Electrostatic)

- Does not hold when focusing forces vary in *s*
  - Can still be *approximately* valid for rms matched beams where energy will regularly pump into and out of the beam
- Self field energy term diverges in radially unbounded 2D systems (no aperture)
  - Still useful if an appropriate infinite constant is subtracted (to regularize)
  - Expression adequate as expressed for system with a round conducting, perfectly conducting aperture

Comments on system energy form:

$$U_\mathcal{E} = \int d^2x'_\perp \int d^2x_\perp \left\{\frac{1}{2}\mathbf{x}'^2_\perp + \frac{1}{2}k^2_{\beta 0}\mathbf{x}^2_\perp\right\} f_\perp \; + \int d^2x_\perp \; \frac{\epsilon_0|\nabla_\perp\phi|^2}{2m\gamma_b^3\beta_b^2c^2} \;\; = \text{const}$$

Analyze the energy term:

zero for grounded aperture in finite system

$$\int d^2x_\perp \; \frac{\epsilon_0|\nabla_\perp\phi|^2}{2} = \cancel{\int d^2x_\perp \; \frac{1}{2}\nabla_\perp\cdot(\epsilon_0\phi\nabla_\perp\phi)} \; - \int d^2x_\perp \; \frac{1}{2}\phi\epsilon_0\nabla^2_\perp\phi$$

or infinite constant in free space

Employ the Poisson equation:

$$\nabla^2_\perp\phi = -\frac{q}{\epsilon_0}\int d^2x'_\perp \; f_\perp$$

$$\Longrightarrow \int d^2x_\perp \; \frac{\epsilon_0|\nabla_\perp\phi|^2}{2} = \int d^2x_\perp \int d^2x'_\perp \; \frac{1}{2}q\phi f_\perp$$

Giving:

$$\boxed{U_\mathcal{E} = \int d^2x'_\perp \int d^2x_\perp \left\{\frac{1}{2}\mathbf{x}'^2_\perp + \frac{1}{2}k^2_{\beta 0}\mathbf{x}^2_\perp + \frac{1}{2}\frac{q\phi}{m\gamma_b^3\beta_b^2c^2}\right\} f_\perp \;\; = \text{const}}$$

symmetry factor

- Note the relation to the system Hamiltonian with a symmetry factor to not double count particle contributions

$$H_\perp = \frac{1}{2}\mathbf{x}'^2_\perp + \frac{1}{2}k^2_{\beta 0}\mathbf{x}^2_\perp + \frac{q}{m\gamma_b^3\beta_b^2c^2}\phi$$

Comments on self-field energy divergences:

In unbounded (free space) systems, far from the beam the field must look like a line charge:

$$-\frac{\partial \phi}{\partial r} \sim \frac{\lambda}{2\pi\epsilon_0 r} \qquad r > r_{\text{large}}$$

Resolve the total field energy into a finite (near) term and a divergent term:

$$\underbrace{\int d^2x_\perp \frac{\epsilon_0|\nabla_\perp \phi|^2}{2}}_{\text{total}} = \underbrace{\int_{r \leq r_{\text{large}}} d^2x_\perp \frac{\epsilon_0|\nabla_\perp \phi|^2}{2}}_{\text{finite term}} + \underbrace{\frac{\lambda^2}{4\pi\epsilon_0}\int_{r_{\text{large}}}^{\infty} dr \frac{1}{r}}_{\text{logarithmically divergent term}}$$

- This divergence can be subtracted out to thereby regularized the system energy
  - Renders energy constraint useful for application to equilibria in radially unbounded systems such as thermal equilibrium

3) Angular Momentum

$$\boxed{U_\theta = \int d^2x_\perp \int d^2x'_\perp \; (y'x - x'y) f_\perp \; = \text{const}}$$

- Can apply to periodic (solenoidal and Einzel lens focusing) systems
- Focusing and beam pipe (if present) must be axisymmetric
  - Useful for typical solenoidal magnetic focusing with a round beam pipe
- Does not apply to alternating gradient quadrupole focusing since such systems do not have the required axisymmetry
- Subtle point: This form is really a Canonical Angular Momentum and applies to solenoidal magnetic focusing when the variables are expressed in the rotating Larmor frame (i.e., in the "tilde" variables)
  - see: S.M. Lund, lectures on Transverse Particle Dynamics

4) Axial Momentum

$$\boxed{U_z = \int d^2x_\perp \int d^2x'_\perp \; m\gamma_b\beta_b c \; f_\perp \; = \text{const}}$$

- Trivial in present model, but useful when equations of motion are generalized to allow for a spread in axial momentum

Comments on applications of the global conservation constraints:

- Global invariants strongly constrain the nonlinear evolution of the system
  - Only evolutions consistent with Vlasov's equation are physical
  - Constraints consistent with the model can bound kinematically accessible evolutions
- Application of the invariants does not require (difficult to derive) normal mode descriptions
  - But cannot, by itself, provide information on evolution timescales
- Use of global constraints to bound perturbations has appeal since distributions in real machines may be far from an equilibrium. Used to:
  - Derive sufficient conditions for stability
  - Bound particle losses [O'Neil, Phys. Fluids **23**, 2216 (1980)] in nonneutral single-species, plasma columns (important for antimatter storage).
  - Bound changes of system moments (for example the rms emittance) under assumed relaxation processes; see S10

S6: Kinetic Stability Theorem for continuous focusing equilibria

[Fowler, J. Math Phys. **4,** 559 (1963); Gardner, Phys. Fluids **6**, 839 (1963); R. Davidson, Physics of Nonneutral Plasmas, Addison-Wesley (1990)]

Resolve:

$$f_\perp = f_0(H_0) + \delta f_\perp$$

$f_0(H_0) =$ Equilibrium (subscript 0) distribution

$\delta f_\perp =$ Perturbation about equilibrium

Denote the equilibrium potential as $\phi = \phi_0$

$$\frac{1}{r}\frac{\partial}{\partial r}\left(r\frac{\partial \phi_0}{\partial r}\right) = -\frac{q}{\epsilon_0}\int d^2x'_\perp \; f_0(H_0)$$
$$\phi_0(r = r_p) = \text{const}$$

Then by the linearity of Poisson's equation,

$$\nabla_\perp^2 \phi = -\frac{q}{\epsilon_0}\int d^2x'_\perp \; f_\perp$$
$$\phi(r = r_p) = \text{const}$$

the perturbed potential $\delta\phi \equiv \phi - \phi_0$ must satisfy,

$$\nabla_\perp^2 \delta\phi = -\frac{q}{\epsilon_0}\int d^2x'_\perp \; \delta f_\perp$$
$$\delta\phi(r = r_p) = \text{const}$$

Employ generalized entropy and transverse energy global constraints (S5):

$$U_G = \int d^2x_\perp \int d^2x'_\perp \; G(f_\perp) \;\; = \text{const}$$

$$U_\mathcal{E} = \int d^2x'_\perp \int d^2x_\perp \left\{ \frac{1}{2}\mathbf{x}'^2_\perp + \frac{1}{2}k^2_{\beta 0}\mathbf{x}^2_\perp \right\} f_\perp \; + \; \int d^2x_\perp \, \frac{\epsilon_0 |\nabla_\perp \phi|^2}{2m\gamma_b^3\beta_b^2c^2} \;\; = \text{const}$$

Apply to equilibrium and full distribution to form an effective "free-energy" F:

$$\Delta U_G = U_G - U_{G0} = \text{const}$$

$$\Delta U_\mathcal{E} = U_\mathcal{E} - U_{\mathcal{E}0} = \text{const}$$

Both total and equilibrium hold individually, so can add

$$\boxed{\begin{aligned} F &\equiv \Delta U_\mathcal{E} + \Delta U_G = \text{const} \\ &= \int d^2x'_\perp \int d^2x_\perp \left\{ \frac{1}{2}\mathbf{x}'^2_\perp + \frac{1}{2}k^2_{\beta 0}\mathbf{x}^2_\perp \right\} [f_\perp - f_0(H_0)] \\ &\quad + \frac{\epsilon_0}{m\gamma_b^3\beta_b^2c^2} \int d^2x_\perp \left\{ \frac{|\nabla_\perp\phi|^2}{2} - \frac{|\nabla_\perp\phi_0|^2}{2} \right\} \; + \; \int d^2x_\perp \int d^2x'_\perp \, [G(f_\perp) - G(f_0)] \end{aligned}}$$

Conservation of free energy applies to any initial distribution for any smooth, differentiable function G

- Use freedom in choice of G and constant value of F to make choices to enable bounding of perturbations

First manipulate self-field energy term in F:

$$\phi = \phi_0 + \delta\phi$$

$$\frac{1}{2}\int d^2x_\perp \; \{|\nabla_\perp\phi|^2 - |\nabla_\perp\phi_0|^2\} = \frac{1}{2}\int d^2x_\perp \; \{|\nabla_\perp\delta\phi|^2 + 2\nabla_\perp\phi_0\cdot\nabla_\perp\delta\phi\}$$

0 — Div Theorem, and free to take $\phi_0(r = r_p) = 0$

$$= \frac{1}{2}\int d^2x_\perp \; |\nabla_\perp\delta\phi|^2 \; + \; \int d^2x_\perp \; \{\nabla_\perp \cdot (\phi_0\nabla_\perp\delta\phi) - \phi_0\nabla^2_\perp\delta\phi\}$$

using the Poisson equation: $\nabla^2_\perp\phi = -\frac{q}{\epsilon_0}\int d^2x'_\perp \; f_\perp$

$$= \frac{1}{2}\int d^2x_\perp \; |\nabla_\perp\delta\phi|^2 \; + \; \frac{q}{\epsilon_0}\int d^2x \int d^2x'_\perp \; \phi_0\delta f_\perp$$

The free energy expansion then becomes:

$$\boxed{\begin{aligned} F &= \int d^2x'_\perp \int d^2x_\perp \left\{ \frac{1}{2}\mathbf{x}'^2_\perp + \frac{1}{2}k^2_{\beta 0}\mathbf{x}^2_\perp + \frac{q\phi_0}{m\gamma_b^3\beta_b^2c^2} \right\} \delta f_\perp \\ &\quad + \frac{\epsilon_0}{m\gamma_b^3\beta_b^2c^2}\int d^2x_\perp \frac{|\nabla_\perp\delta\phi|^2}{2} \; + \; \int d^2x_\perp \int d^2x'_\perp \, [G(f_\perp) - G(f_0)] \\ &= \text{const} \end{aligned}}$$

Up to this point, no assumptions whatsoever have been made on the magnitude of the perturbations:

Take $|\delta f_\perp| \ll f_0$ and Taylor expand G to 2nd order

$$G(f_\perp) = G(f_0 + \delta f_\perp) = G(f_0) + \frac{dG(f_0)}{df_0}\delta f_\perp + \frac{d^2G(f_0)}{df_0^2}\frac{(\delta f_\perp)^2}{2} + \Theta(\delta f^3_\perp)$$

Without loss of generality,we can *choose*:

$$\frac{dG(f_0)}{df_0} = -H_0 = -\left(\frac{1}{2}\mathbf{x}'^2_\perp + \frac{1}{2}k^2_{\beta 0}\mathbf{x}^2_\perp + \frac{q\phi}{m\gamma_b^2\beta_b^2c^2} \right)$$

- This choice can *always* be realized

Then

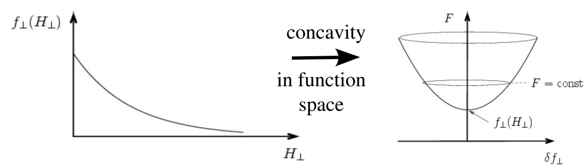
$$\frac{d^2G(f_0)}{df_0^2} = -\frac{\partial H_0}{\partial f_0} = \frac{-1}{\partial f_0(H_0)/\partial H_0}$$

and the expression for the free energy further reduces to:

$$\boxed{F = \int d^2x_\perp \left\{ \frac{\epsilon_0|\nabla_\perp\delta\phi|^2}{2m\gamma_b^3\beta_b^2c^2} - \int d^2x'_\perp \frac{(\delta f_\perp)^2}{\partial f_0(H_0)/\partial H_0} \right\} + \Theta(\delta f^3_\perp) \; = \; \text{const}}$$

- If $\partial f_0(H_0)/\partial H_0 < 0$ then F is a sum of two positive definite terms and perturbations are bounded by F = const

$$\boxed{F = \int d^2x_\perp \left\{ \frac{\epsilon_0|\nabla_\perp\delta\phi|^2}{2m\gamma_b^3\beta_b^2c^2} - \int d^2x'_\perp \frac{(\delta f_\perp)^2}{\partial f_0(H_0)/\partial H_0} \right\} \; = \text{const}}$$



Value of F set by initial perturbations and concavity bounds excursions

Drop zero subscripts in stability statement:

Kinetic Stability Theorem

> If $f_\perp(H_\perp)$ is a monotonic decreasing function of $H_\perp$ with $\partial f_\perp(H_\perp)/\partial H_\perp < 0$ then the equilibrium defined by $f_\perp(H_\perp)$ is stable to arbitrary small-amplitude perturbations.

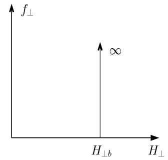
- Is a sufficient condition for stability
  - Equilibria that violate the theorem satisfy a *necessary condition for instability* but *may or may not* be stable
  - But intuitively expect energy transfer to drive instability in such cases
- Mean value theorem can be used to generalize conclusions for arbitrary amplitude
  - R. Davidson proof

// Example Applications of Kinetic Stability Theorem

KV Equilibrium:

$$f_\perp(H_\perp) = \frac{\hat{n}}{2\pi}\delta(H_\perp - H_{\perp b})$$

$\partial f_\perp/\partial H_\perp$ changes sign
inconclusive stability by theorem

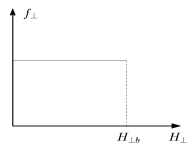


- Full normal mode analysis in Kinetic theory shows many strong instabilities when space-charge becomes strong
- Instabilities *not* surprising: delta function represents a highly inverted population in phase-space with "free-energy" to drive instabilities

Waterbag Equilibrium:

$$f_\perp(H_\perp) = f_0\Theta(H_{\perp b} - H_\perp)$$
$$\partial f_\perp/\partial H_\perp = f_0\delta(H_\perp - H_{\perp b}) \leq 0$$

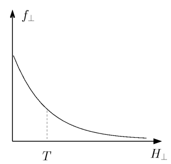
monotonic decreasing, stable by theorem



Thermal Equilibrium:

$$f_\perp(H_\perp) = f_0\exp(-\beta H_\perp),$$
$$\partial f_\perp/\partial H_\perp = -f_0\beta\exp(-\beta H_\perp) \leq 0$$

monotonic decreasing, stable by theorem



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Implications of density inversion theorem and the kinetic stability theorem

In the S.M. Lund lectures on Transverse Equilibrium Distributions, we showed in a continuous focusing channel that knowledge of the beam density profile $n(r)$ is equivalent to knowledge of the equilibrium distribution function $f_\perp(H_\perp)$ which generates the density profile if the density profile is a monotonic decreasing function of r

- Consequence of Poisson's equation for the equilibrium and the connection between $f_\perp(H_\perp)$ and the density $n(r)$

Density Inversion Theorem

$$\boxed{\begin{aligned} f_\perp(H_\perp) &= -\frac{1}{2\pi}\frac{\partial n}{\partial \psi}\bigg|_{\psi=H_\perp} = -\frac{1}{2\pi}\frac{\partial n(r)/\partial r}{\partial \psi(r)/\partial r}\bigg|_{\psi=H_\perp} \\ \psi(r) &= \frac{1}{2}k_{\beta 0}^2 r^2 + \frac{q\phi}{m\gamma_b^3\beta_b^2c^2} \end{aligned}}$$

Expect for a distribution with sufficiently rapid fall-off in the radial density profile from concavity and this result that

$$\frac{df_\perp(H_\perp)}{dH_\perp} < 0 \quad \Longrightarrow \quad \text{Stability (Kinetic Stability Theorem)}$$

Comment:

- Result does not apply to periodic focusing systems
  - Still expect more benign stability if beam density projection fall off monotonically in the radial coordinate
  - Density fall-off can be abrupt consistent with Debye screening
- Expect stability issues with radially hollowed beams
  - However, does not prove instability

S7: rms Emittance Growth and Nonlinear Forces

Fundamental theme of beam physics is to minimize statistical beam emittance growth in transport to preserve focusability on target

Return to the full transverse beam model with:

$$x'' + \kappa_x x = -\frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial\phi}{\partial x} + \text{Applied Nonlinear Field Terms}$$

and express as:

$$\boxed{\begin{aligned} &x''(s) + \kappa_x(s)x(s) = f_x^L(s)x(s) + F_x^{NL}(x,y,s) \\ &f_x^L(s) = \text{Linear Space-Charge Coefficient} \\ &F_x^{NL}(x,y,s) = \text{Nonlinear Forces or Linear Skew Coupled Forces (Applied and Space-Charge)} \end{aligned}}$$

// Examples:

$$f_x^L(s) = \frac{Q}{r_b(s)}$$

Self-field forces within an axisymmetric (mismatched) KV beam core in a continuous focusing model

$$F_x^{NL}(x,y,s) \propto \mathrm{Re}\left[\underline{b}_3\left(\frac{x+iy}{r_p}\right)^2\right]$$

Electric (with normal and skew components) sextupole optic based on multipole expansions (see: lectures on Particle Equations of Motion) //

From the definition of the statistical (rms) emittance:

$$\boxed{\varepsilon_x \equiv 4[\langle x^2\rangle_\perp \langle x'^2\rangle_\perp - \langle xx'\rangle_\perp^2]^{1/2}}$$

Differentiate the squared emittance and apply the chain rule:

cancel

$$\frac{d}{ds}\varepsilon_x^2 \equiv 32[\langle xx'\rangle_\perp \langle x'^2\rangle_\perp + \langle x^2\rangle_\perp \langle x'x''\rangle_\perp - \langle xx'\rangle_\perp \langle x'^2\rangle_\perp - \langle xx'\rangle_\perp \langle xx''\rangle_\perp]$$
$$= 32[\langle x^2\rangle_\perp \langle x'x''\rangle_\perp - \langle xx'\rangle_\perp \langle xx''\rangle_\perp]$$

Insert the equations of motion:

$$x'' + \kappa_x x = f_x^L x + F_x^{NL}$$

In the moments and simplify. The linear terms cancel to show *for any beam distribution* that:

$$\boxed{\frac{d}{ds}\varepsilon_x^2 = 32\left[\langle x^2\rangle_\perp \langle x' F_x^{NL}\rangle_\perp - \langle xx'\rangle_\perp \langle xF_x^{NL}\rangle_\perp\right]}$$

Implications of:

$$\boxed{\frac{d}{ds}\varepsilon_x^2 = 32\left[\langle x^2\rangle_\perp \langle x' F_x^{NL}\rangle_\perp - \langle xx'\rangle_\perp \langle xF_x^{NL}\rangle_\perp\right]}$$

- Emittance evolution/growth driven by nonlinear or linear skew coupling forces
  - Nonlinear terms can result from applied or space-charge fields
  - More detailed analysis shows that skew coupled forces cause *x-y* plane transfer oscillations but there is still a 4D quadratic invariant
- Minimize nonlinear forces to preserve emittance and maintain focusability
- This result (essentially) has already been demonstrated in the problem sets for J.J. Barnard's Introductory Lectures and S.M. Lund lectures on Centroid and Envelope Descriptions

If the beam is accelerating, the equations of motion become:

$$x'' + \frac{(\gamma_b\beta_b)'}{(\gamma_b\beta_b)}x' + \kappa_x x = f_x^L x + F_x^{NL}$$

and this result can be generalized (see homework problems) in terms of the normalized emittance to account for *x-x*' phase space area damping with accel.

$$\boxed{\begin{aligned}&\varepsilon_{nx} \equiv \gamma_b\beta_b\varepsilon_x\\ &\frac{d}{ds}\varepsilon_{nx}^2 = 32(\gamma_b\beta_b)^2\left[\langle x^2\rangle_\perp \langle x' F_x^{NL}\rangle_\perp - \langle xx'\rangle_\perp \langle xF_x^{NL}\rangle_\perp\right]\end{aligned}}$$

S8: rms Emittance Growth and Nonlinear Space-Charge Forces

[Wangler et. al, IEEE Trans. Nuc. Sci. 32, 2196 (1985), Reiser, *Charged Particle Beams*, (1994)]

In continuous focusing all nonlinear force terms are from space-charge, apply $F_x^{NL} = -\frac{q}{m\gamma_b^3\beta_b^2c^2}\frac{\partial\phi}{\partial x}$ in the emittance evolution formula of S7 to obtain:

$$\boxed{\frac{d}{ds}\varepsilon_x^2 = -\frac{32q}{m\gamma_b^3\beta_b^2c^2}\left[\langle x^2\rangle_\perp \langle x'\frac{\partial\phi}{\partial x}\rangle_\perp - \langle xx'\rangle_\perp \langle x\frac{\partial\phi}{\partial x}\rangle_\perp\right]}$$

For any *axisymmetric* $(\partial/\partial\theta = 0)$ beam it can be shown that:

$$\langle x\frac{\partial\phi}{\partial x}\rangle_\perp = \frac{1}{2}\langle r\frac{\partial\phi}{\partial r}\rangle_\perp = -\frac{\lambda}{8\pi\epsilon_0}$$
$$\langle x'\frac{\partial\phi}{\partial x}\rangle_\perp = \frac{1}{2}\langle r'\frac{\partial\phi}{\partial r}\rangle_\perp = \frac{1}{8\pi\epsilon_0\lambda}\frac{dW}{ds}$$

$$W = \frac{\epsilon_0}{2}\int d^2x\, |\nabla_\perp\phi|^2$$
= self-field energy (per unit axial length)

For any *axisymmetric* beam it can also be shown that:

$$\langle xx'\rangle_\perp = \frac{1}{2}\langle rr'\rangle_\perp = -\frac{\langle x^2\rangle_\perp}{\lambda^2}\frac{dW_u}{ds}$$

W_u = *W* for an *rms equivalent uniform density beam*

Insert results and collect terms, giving (Wangler, Lapostolle):

$$\boxed{\frac{d}{ds}\varepsilon_x^2 = -8Q\langle x^2\rangle_\perp\frac{d}{ds}\left(\frac{W - W_u}{\lambda^2}\right)} \qquad Q \equiv \frac{q\lambda}{2\pi\epsilon_0 m\gamma_b^3\beta_b^2c^2} = \text{const}$$

- Result sometimes called “Wangler's Theorem” in honor of extensive work by Wangler on the topic
- Applies to both radially bounded and radially infinite systems
- Result does *not* require an equilibrium for validity – only axisymmetry
- Result can be partially generalizable [J. Struckmeier and I. Hofmann, Part. Accel. **39**, 219 (1992)] to an unbunched elliptical beam
  - Result may have implications to existence/nonexistence of nonuniform density Vlasov equilibria in periodic focusing channels

Application: Using Wangler's theorem to estimate emittance changes from the relaxation of space-charge nonuniformities

Wangler's theorem:

$$\boxed{\frac{d}{ds}\varepsilon_x^2 = -8Q\langle x^2\rangle_\perp \frac{d}{ds}\left(\frac{W - W_u}{\lambda^2}\right)}$$

$W =$ Field energy (nonuniform) beam

$W_u =$ Field energy of rms equivalent uniform density beam

If the rms beam radius does not change much in the beam evolution:

$$r_b^2 = 4\langle x^2\rangle_\perp \simeq \text{const}$$

Then the equation can be trivially integrated, showing that:

$$\boxed{\begin{array}{l}\Delta_{fi}(\varepsilon_x^2) \simeq -2Qr_b^2\Delta_{fi}\left(\dfrac{W - W_u}{\lambda^2}\right) \\ \Delta_{fi}(\cdots) \equiv \text{Final State Value – Initial State Value}\end{array}}$$

So if the initial and final density profiles are known, the change in beam emittance can be simply estimated by calculating associated field energies for the initial and final nonuniform and rms equivalent uniform beams

- Change in space-charge energy is converted to thermal energy (emittance)
- Will find in most reasonable cases this effect should be small (see S10)

Is it reasonable to assume that the beam radius may not change much?

Consider the rms envelope equation for a continuous focusing system to better understand what is required for $r_b^2 = 2\langle x^2\rangle_\perp^{1/2} \simeq \text{const}$

$$r_b'' + k_{\beta 0}^2 r_b - \frac{Q}{r_b} - \frac{\varepsilon_x^2}{r_b^3} = 0$$

- Valid in an rms equivalent sense with $\varepsilon_x \neq \text{const}$ for a non-KV beam

If the emittance term is small relative to the perveance term

$$\frac{Q}{r_b} \gg \frac{\varepsilon_x^2}{r_b^3} = 0$$

and the initial beam starts out as matched we can approximate the equation as

$$k_{\beta 0}^2 r_b - \frac{Q}{r_b} \simeq 0 \qquad \Longrightarrow \qquad r_b \simeq \sqrt{\frac{Q}{k_{\beta 0}^2}}$$

then it is reasonable to expect the beam radius to remain nearly constant under modest fractional changes in emittance of order unity. This ordering must be checked after estimating the emittance change based the final to initial state energy differences. See S9 and S10 analysis for a better understanding on how this can be valid.

Additional applications of Wangler's Theorem

Wangler's theorem:

$$\boxed{\frac{d}{ds}\varepsilon_x^2 = -8Q\langle x^2\rangle_\perp \frac{d}{ds}\left(\frac{W - W_u}{\lambda^2}\right)}$$

$W =$ Field energy (nonuniform) beam

$W_u =$ Field energy of rms equivalent uniform density beam

KV Beam:

(axisymmetric focus/beam, matched or mismatched, cont or *s*-varying focusing)

$$W = W_u \quad \Longleftrightarrow \quad \text{KV beam}$$

Then

$$\frac{d}{ds}\varepsilon_x^2 = 0 \quad \Longleftrightarrow \quad \varepsilon_x = \text{const}$$

Hence, Wangler's theorem is consistent with the known result that a KV distribution evolves with rms edge emittance $\varepsilon_x = \text{const}$

- Result holds whether or not the (axisymmetric) KV beam is matched to the applied focusing lattice or whether the focusing is constant or not

Is this the only solution with constant emittance?

No – Also true for a beams with self-similarly evolving density profiles

Proof:

Consider a beam evolving with a self-similarly evolving density profile:

$$\boxed{qn(r) = \frac{\lambda}{\pi r_b^2} g\left(\frac{r^2}{r_b^2}\right)}$$

where

$$r_b = 2\langle x^2\rangle_\perp^{1/2} = \sqrt{2\langle r^2\rangle_\perp}$$

and *g*(*x*) is a smooth shape function satisfying the constraints

$$\int_0^{r_p^2/r_b^2} dx\; g(x) = 1 \qquad \int_0^{r_p^2/r_b^2} dx\; xg(x) = \frac{1}{2}$$

- Constraints merely insure correct beam line-charge (λ) and rms edge extent (r_b) consistent with assumptions made

S9: Uniform Density Beams and Extreme Energy States

Construct minima of the self-field energy per unit axial length (W) for an *axisymmetric* beam ($\partial/\partial\theta = 0$) which need not be continuously focused:

$$\boxed{W = \frac{\epsilon_0}{2}\int d^2x_\perp \; |\nabla_\perp \phi|^2}$$

subject to: $\lambda = \text{const}$ ... fixed line-charge

$r_b = \sqrt{2\langle r^2\rangle_\perp} = \text{const}$ ... fixed rms equivalent beam radius

Using the method of Lagrange multipliers to incorporate the fixed rms-radius constraint, vary (Helmholtz free energy):

$$F = W - \mu(\lambda/q)\langle r^2\rangle_\perp \propto \int d^2x_\perp \left\{\epsilon_0 \frac{|\nabla_\perp\phi|^2}{2} - \mu r^2 n\right\} \qquad \mu = \text{const}$$

and require that variations satisfy the Poisson equation and conserve charge to satisfy the fixed line-charge constraint

$$\nabla_\perp^2 \delta\phi = -\frac{q}{\epsilon_0}\delta n \qquad \delta\phi|_{\text{boundary}} = 0 \qquad \int d^2x_\perp \; \delta n \; = 0$$

Take variations of F (*terminate* at 2nd order) giving:

$$\delta F \propto -\int d^2x_\perp \; \{\mu r^2 + \text{const}\}\,\delta n \; + \; \epsilon_0 \int d^2x_\perp \nabla_\perp\phi\cdot\nabla_\perp\delta\phi \; + \; \frac{\epsilon_0}{2}\int d^2x_\perp|\nabla_\perp\delta\phi|^2$$

Here, we add zero to the equation to clarify a reference choice: $\text{const}\int d^2x_\perp \; \delta n \; = 0$

Integrating the 2nd term by parts and employing the Poisson equation then gives:

$$\boxed{\delta F \propto \int d^2x_\perp \; \{q\phi - \mu r^2 - \text{const}\}\,\delta n \; + \; \frac{\epsilon_0}{2}\int d^2x_\perp|\nabla_\perp\delta\phi|^2}$$

For an extremum, the first order term must vanish, giving *within the beam*:

$$q\phi = \mu r^2 + \text{const}$$

From Poisson's equation within the beam:

$$\nabla_\perp^2\phi = -\frac{q}{\epsilon_0}n \implies \frac{1}{r}\frac{\partial}{\partial r}\left(r\frac{\partial\phi}{\partial r}\right) = -\frac{q}{\epsilon_0}n \implies \boxed{n = -\frac{4\epsilon_0\mu}{q^2} = \text{const}}$$

This is the density of a uniform, axisymmetric beam, which implies that a uniform density axisymmetric beam is the extreme value state of W

This extremum is a global minimum since all variations about the extremum (2nd term of boxed equation above) are positive definite

$$\delta F|_{\text{uniform beam}} \propto \int d^2x_\perp|\nabla_\perp\delta\phi|^2 \quad \geq 0$$

Result:

> At fixed line charge and rms (envelope) radius, a uniform density beam minimizes the electrostatic self-field energy

The result:

> At fixed line charge and rms radius, a uniform density beam minimizes the electrostatic self-field energy

combined with Wangler's Theorem (see S8):

$$\boxed{\frac{d}{ds}\varepsilon_x^2 = -8Q\langle x^2\rangle_\perp \frac{d}{ds}\left(\frac{W - W_u}{\lambda^2}\right)}$$

$W =$ Field energy (nonuniform) beam

$W_u =$ Field energy of rms equivalent uniform density beam

with $\langle x^2\rangle_\perp = r_b^2/4 \simeq \text{const}$ shows that:

- Self-field energy changes from beam nonuniformity drives emittance evolution
- Expect the following trends in an evolving beam density profile
  - *Nonuniform* density => *more* *uniform* density <=> local emittance *growth*
  - *Uniform* density => *more nonuniform* density <=> local emittance *reduction*
- Should attempt to:
  maintain beam density uniformity to preserve beam emittance and focusability

Results can be partially generalized to 2D elliptical beams
[J. Struckmeier and I. Hofmann, Part Accel. **39**, 219 (1992)]

S10: Collective Relaxation of Space-Charge Nonuniformities and rms Emittance Growth

The space-charge profile of intense beams can be born highly nonuniform out of nonideal (real) injectors or become nonuniform due to a variety of (error) processes. Also, low-order envelope matching of the beam may be incorrect due to focusing and/or distribution errors.

How much emittance growth and changes in other characteristic parameters may be induced by relaxation of characteristic perturbations?

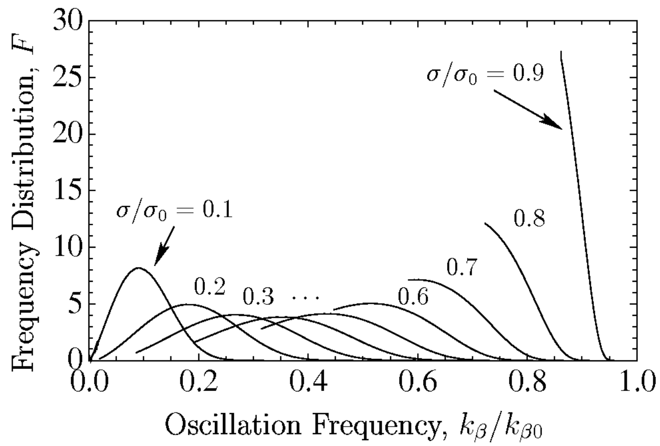
- Employ Global Conservation Constraints of system to bound possible changes
- Assume full relaxation to a final, uniform density state for simplicity

What is the mechanism for the assumed relaxation?

- Collective modes launched by errors will have a broad spectrum
  - Phase mixing can smooth nonuniformities – mode frequencies incommensurate
- Nonlinear interactions, Landau damping, interaction with external errors, ...
- Certain errors more/less likely to relax:
  - Internal wave perturbations expected to relax due to many interactions
  - Envelope mismatch will not (coherent mode) unless amplitudes are very large producing copious halo and nonlinear interactions

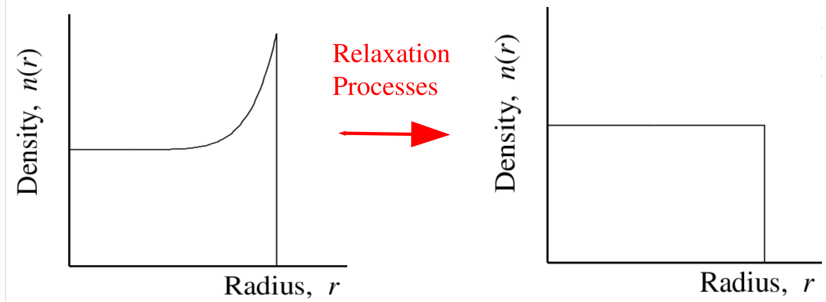
Motivation for rapid phase-mixing mechanism for beams with intense space-charge: strong spread in distribution of particle oscillation frequencies in the core of the beam

Thermal equilibrium beam core results, see S.M. Lund lectures on Transverse Equilibrium Distributions, S7



Estimate emittance increases from relaxation of nonlinear space-charge waves if an initial nonuniform beam to a uniform density beam

- Should result in max estimate since uniform density beam has lowest energy as shown in S9



Reference: High resolution self-consistent PIC simulations shown in class

- Continuous focusing and a more realistic FODO transport lattice
  - Relaxation more complete in FODO lattice due to a richer frequency spectrum
- Relaxations surprisingly rapid: few undepressed betatron wavelengths observed in simulations

Initial Nonuniform Beam Parameterization

$$n(r) = \begin{cases} \hat{n}\left[1 + \frac{1-h}{h}\left(\frac{r}{r_e}\right)^p\right], & 0 \le r \le r_e \\ 0, & r_e < r \le r_p \end{cases}$$

$h =$ hollowing parameter $= n(r=0)/n(r=r_e)$

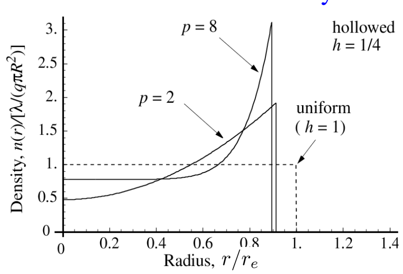
$p =$ radial index

$r_e =$ edge radius

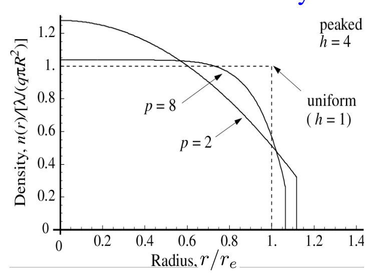
$$\lambda = \int d^2x_\perp\, n = \pi q \hat{n} r_e^2 \left[\frac{(ph+2)}{(p+2)h}\right] \qquad r_b = 2\langle x^2\rangle_\perp^{1/2} = \sqrt{\frac{(p+2)(ph+4)}{(p+4)(ph+2)}}\, r_e$$

Normalize profiles to compare common rms radius (r_b) and total charge (λ)

Hollowed Initial Density



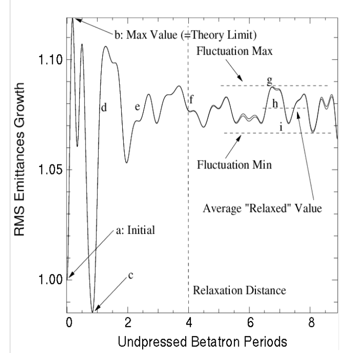
Peaked Initial Density

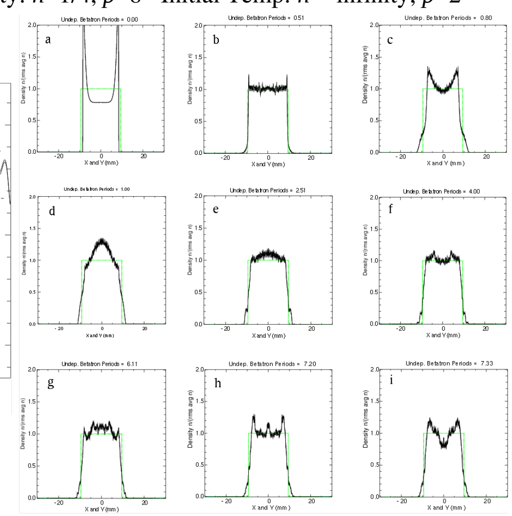


- Analogous definitions are made for the radial temperature profile of the beam

Example Simulation, Initial Nonuniform Beam

$\sigma/\sigma_0 = 0.2$ Initial density: *h*=1/4, *p*=8 Initial Temp: *h* = infinity, *p*=2





Show movie of evolution

[Lund, Grote, and Davidson, Nuc. Instr. Meth. A 544, 472 (2005)]

Simulation results for a broad range of strong space-charge

Initial beam					Relaxed and transient beam		
σ_i/σ_0	Density		Temperature		Emittance growth		Undep. betatron periods to relax
	h	p	h	p	Theory	Simulation	
0.1	0.25	4	1	arb.	1.57	1.42 (1.57, 1.31–1.52)	3.5
			∞	2		1.45 (1.57, 1.38–1.52)	3.0
			0.5			1.41 (1.57, 1.30–1.52)	3.0
	0.25	8	1	arb.	1.43	1.33 (1.43, 1.28–1.38)	3.5
			∞	2		1.35 (1.43, 1.30–1.40)	4.5
			0.5			1.32 (1.43, 1.26–1.38)	4.0
0.20	0.25	4	1	arb.	1.17	1.11 (1.16, 1.09–1.13)	4.5
			∞	2		1.12 (1.16, 1.10–1.13)	3.0
			0.5			1.11 (1.16, 1.09–1.13)	4.0
	0.25	8	1	arb.	1.12	1.08 (1.12, 1.06–1.09)	5.5
			∞	2		1.08 (1.12, 1.07–1.09)	4.0
			0.5			1.08 (1.12, 1.06–1.09)	4.5

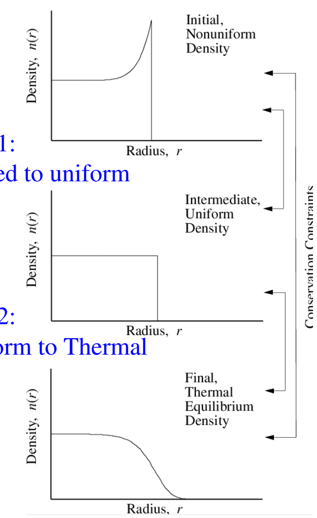
Theory results based on conservation of system charge and energy used to calculate the change in rms edge radius between initial (i) and final (f) matched beam states

$$\frac{(r_{bf}/r_{bi})^2 - 1}{1-(\sigma_i/\sigma_0)^2} + \frac{p(1-h)[4+p+(3+p)h]}{(p+2)(p+4)(2+ph)^2} - \ln\left[\sqrt{\frac{(p+2)(ph+4)}{(p+4)(ph+2)}}\frac{r_{bf}}{r_{bi}}\right] = 0$$

Ratios of final to initial emittance are then obtainable from the matched envelope eqns:

$$\frac{\varepsilon_{xf}}{\varepsilon_{xi}} = \frac{r_{bf}}{r_{bi}}\sqrt{\frac{(r_{bf}/r_{bi})^2 - [1-(\sigma_i/\sigma_0)^2]}{(\sigma_i/\sigma_0)^2}}$$

Theory estimates from global conservation constraints work well. What changes if the beam relaxes to a smooth thermal equilibrium instead? -- Very little change

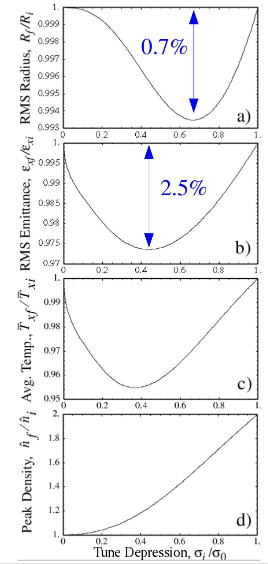


Step 1:
Peaked to uniform

Step 2:
Uniform to Thermal

Regard as a two-step relaxation and apply conservation steps between each step

Essentially no rms changes in 2[nd] step!



Lund, Barnard, and Miller, PAC 1995, p. 3278

S11: Emittance Growth from Envelope Mismatch Oscillations

Emittance growth from envelope mismatch oscillations

Similar energy conservation methods can be applied to estimate the effect on emittance growth if the initial beam is envelope mismatched and the energy of the mismatch oscillation is converted into emittance if the beam relaxes

- See Reiser, *Theory and Design of Charged Particle Beams*, 1994, 2008

$$r_b'' + k_{\beta 0}^2 r_b - \frac{Q}{r_b} - \frac{\varepsilon_x^2}{r_b^3} = 0$$

$$r_b'' \sim \mathrm{Max}[(r_b - r_{b0})]k_B^2 \qquad \text{Term can be large}$$

$$r_{b0} = \text{Matched Radius}$$

$$k_B = \text{Breathing Mode Wave Number} \quad \left(k_B^2 = 4k_{\beta 0}^2 - 2\frac{Q}{r_{b0}^2}\right)$$

Large emittance increases can result from the relaxation of mismatch oscillations, but simulations of beams with high space-charge intensity suggest there is no mechanisim to rapidly induce this relaxation

- Envelope oscillations are low-order collective modes of the beam and are thereby more likely to be difficult to damp.
- Possible exception: Lattice with large nonlinear applied focusing forces

S12: Non-Tenuous Halo Induced Mechanism of Higher Order Instability in Quadrupole Focusing Channels

In periodic focusing with alternating gradient quadrupole focusing (most common case), it has been observed in simulations and the laboratory that good transport in terms of little lost particles or emittance growth is obtained when the applied focusing strength satisfies:

$$\boxed{\sigma_0 \lesssim 85^\circ} \qquad \text{little dependence on } \sigma/\sigma_0$$

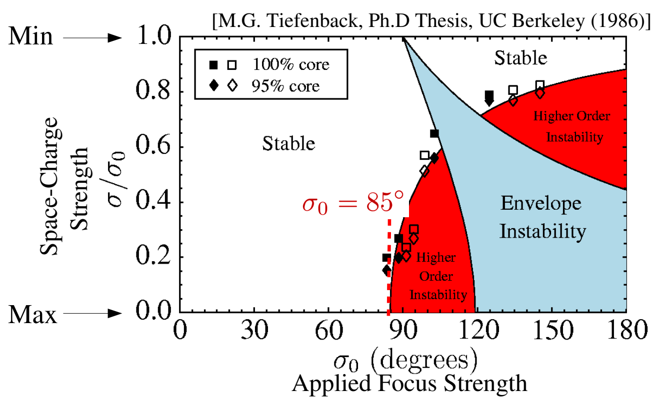
It has been a 40+ year unsolved problem by what primary mechanism this limit comes about. It was long thought that collective modes coupled to the lattice were responsible. However:

- Modes carry little free energy (see S10) to drive strong emittance growth
- Particle losses and strong halo observed when stability criterion is violated
- Collective internal modes likely also pumped but hard to explain with KV

Recent progress helps clarify how this limit comes about via a strong halo-like resonance mechanism affecting near edge particles

- Does *not* require an equilibrium core beam

Review: In the SBTE experiment at LBNL: Higher order Vlasov instability with strong emittance growth/particle losses observed in broad parametric region below envelope band



Results summarized by $\sigma_0 \lesssim 85°$ for strong space-charge

- Reliably applied design criterion in the lab
- Limited theory understanding for 20+ years; Haber, Laslett simulations supported

Self consistent Vlasov stability simulations were carried out to better quantify characteristics of instability

- Carried out using the WARP PIC code from LLNL/LBNL
- High resolution/stat 2D *x-y* slice simulations time-advanced to *s*-plane
- Non-singular, rms matched distributions loaded:
  - semi-Gaussian
  - Continuous focusing equilibrium *f*(*H*) with self-consistent space-charge transformed to alternating-gradient symmetry:
    - waterbag
    - parabolic
    - Gaussian/Thermal
- Singular KV also loaded - only to check instability resolutions

More Details:

Stability simulations:

Lund and Chawla, "Space-charge transport limits of ion beams in periodic quadrupole focusing channels," *Nuc. Instr. Meth. A* **561**, 203 (2006)

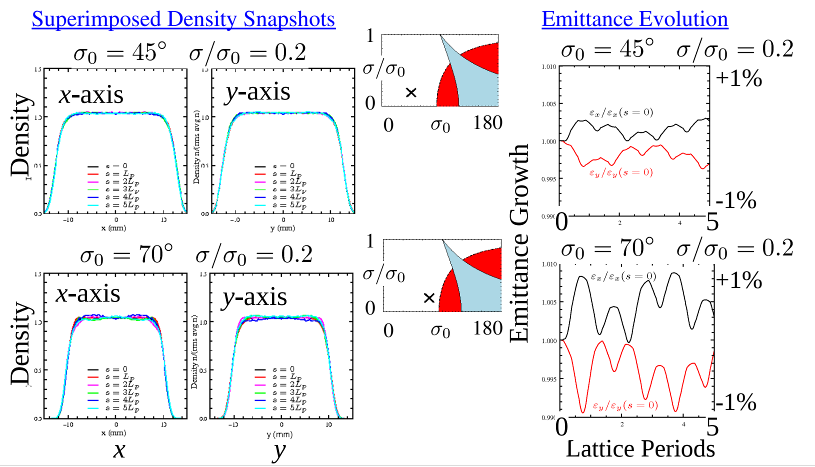
Initial Loads applied:

Lund, Kikuchi, Davidson, "Generation of initial distributions for simulations with high space-charge intensity," PRSTAB **14**, 054201 (2011)

Parametric simulations of non-singular, initially rms matched distributions have little emittance evolution outside of instability regions experimentally observed

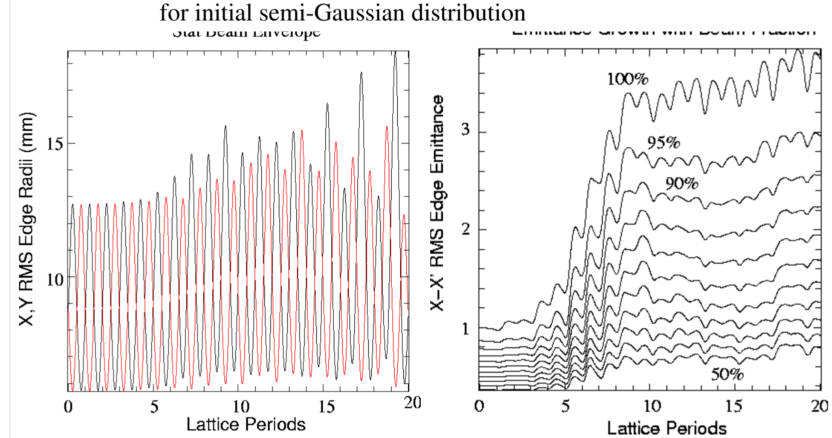
Example: initial thermal equilibrium distribution

- Density along *x*- and *y*-axes for 5 periods
- Emittance growth very small -- 5 period initial transient shown



Parametric PIC simulations of quadrupole transport agree with experimental observations and show that large rms emittance growth can occur rapidly

Parameters: $\sigma_0 = 110°$, $\sigma/\sigma_0 = 0.2$ ($L_p = 0.5$ m, $\eta = 0.5$) for initial semi-Gaussian distribution

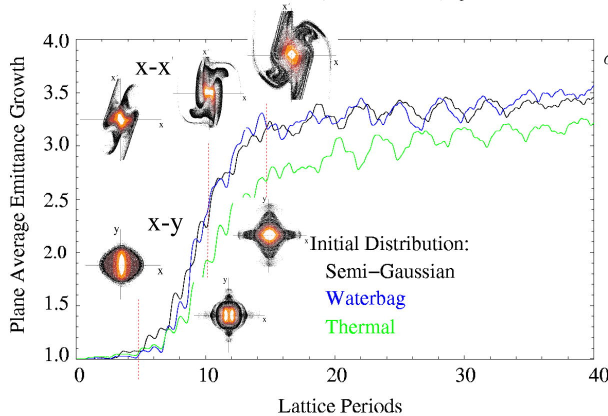


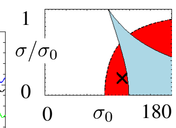
Higher $\sigma_0 \lesssim 85°$ makes the onset of emittance growth larger and more rapid

Parametric simulations find broad instability region to the left of the envelope band -- features relatively insensitive to the form of the (non-singular) matched initial distribution

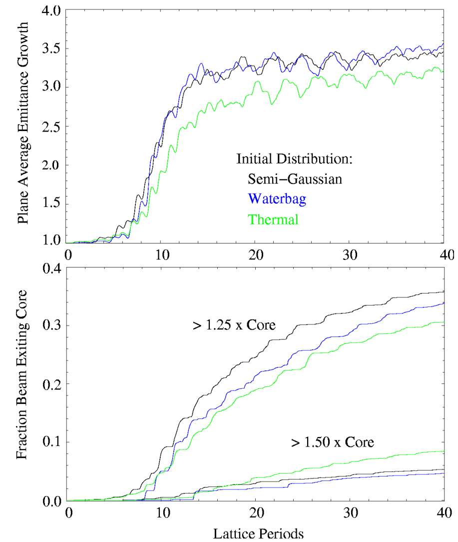
- Where unstable, growth becomes larger and faster with increasing σ_0

Example Parameters: $\sigma_0 = 110^\circ$, $\sigma/\sigma_0 = 0.2$ ($L_p = 0.5$ m, $\eta = 0.5$)





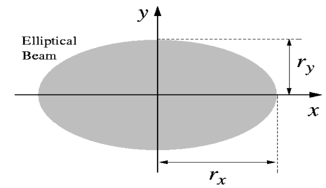
Essential instability feature -- particles evolve outside core of the beam precludes pure "internal mode" description of instability



Instantaneous, rms equivalent measure of beam core:

$$r_x = 2\langle x^2\rangle_\perp^{1/2}$$

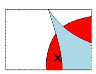
$$r_y = 2\langle y^2\rangle_\perp^{1/2}$$



"tag" particles that evolve outside core at any s in simulation

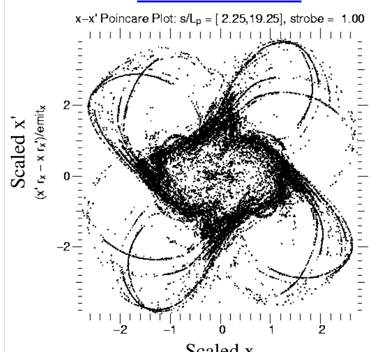
Self-consistent Poincare plots generated for the case of instability show large oscillation amplitude particles have halo-like resonant structure -- qualitative features relatively insensitive to the initial distribution

Lattice period Poincare strobe

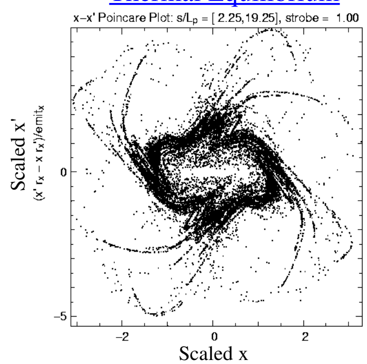


$\sigma_0 = 110^\circ \quad \sigma/\sigma_0 = 0.2$

Semi-Gaussian



Thermal Equilibrium



- Particles evolving along x-axis particles accumulated to generate clearer picture
  - Including off axis particles does *not* change basic conclusions

Extensive simulations carried out to better understand the parametric region of strong emittance growth

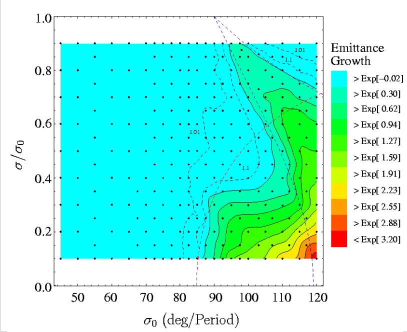
- All simulations advanced 6 undepressed betatron periods
  - Enough to resolve transition boundary: transition growth can be larger if run longer
- Strong growth regions of initial distributions all similar (threshold can vary)
  - Irregular grid contouring with ~200 simulations (dots) thoroughly probe instabilities

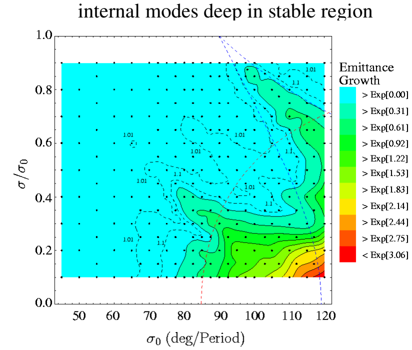
initial semi-Gaussian

- Initial thermal/Gaussian almost identical

initial Waterbag

- Initial KV similar with extra unstable internal modes deep in stable region





Motivated by simulation results -- explore "halo"-like mechanisms to explain observed space-charge induced limits to quadrupole transport

- Resonances can be *strong*: driven by matched envelope flutter and strong space-charge
- *Not* tenuous halo:

  Near edge particles can easily evolve outside core due to:
  - Lack of equilibrium in core
  - Collective waves
  - Focusing errors, ...

  Most particles in beam core oscillate near edge
- Langiel first attempted to apply halo mechanism to space-charge limits

  Langiel, *Nuc. Instr. Meth. A* **345**, 405 (1994)

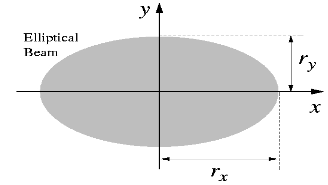
  Appears to concluded overly restrictive stability criterion: $\sigma_0 < 60^\circ$
- Refine analysis: examine halo properties of particles launched just outside the rms equivalent beam core and analyze in variables to reduce "flutter"

  Lund and Chawla, *Nuc. Instr. Meth. A* **561**, 203 (2006)

  Lund, Barnard, Bukh, Chawla, and Chilton, *Nuc. Instr. Meth. A* **577**, 173 (2007)

Core-Particle Model --- Transverse particle equations of motion for a test particle moving inside and outside a uniform density elliptical beam envelope

$$\boxed{\begin{aligned} x'' + \kappa_x x &= \frac{2QF_x}{(r_x+r_y)r_x}x \\ y'' + \kappa_y y &= \frac{2QF_y}{(r_x+r_y)r_y}y \end{aligned}}$$



$$Q = \frac{q\lambda}{2\pi\epsilon_0 m\gamma_b^2\beta_b^2c^2} \quad \text{..... dimensionless perveance}$$

Where: inside the beam

$$F_x = 1$$
$$F_y = 1$$

outside the beam:

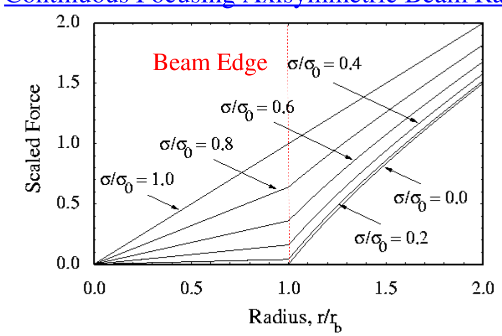
$$F_x = (r_x+r_y)\frac{r_x}{x}Re[\tilde{S}]$$
$$F_y = -(r_x+r_y)\frac{r_y}{y}Im[\tilde{S}]$$

with

$$\tilde{S} \equiv \frac{\tilde{z}}{r_x^2-r_y^2}\left[1-\sqrt{1-\frac{(r_x^2-r_y^2)}{\tilde{z}^2}}\right] \qquad \tilde{z} = x+iy$$
$$= \frac{1}{2\tilde{z}}\left[1+\frac{1}{2}\frac{r_x^2-r_y^2}{\tilde{z}^2}+\frac{1}{8}\frac{(r_x^2-r_y^2)^2}{\tilde{z}^4}+\cdots\right] \qquad i=\sqrt{-1}$$

Particles oscillating radially outside the beam envelope will experience oscillating nonlinear forces that vary with space-charge intensity and can drive resonances

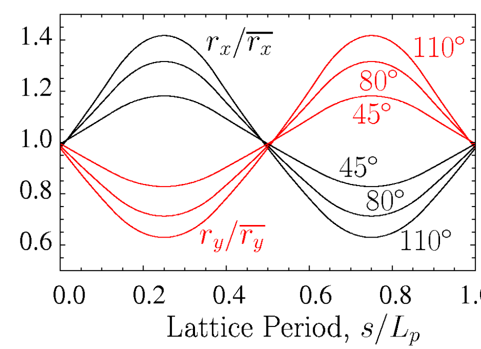
Continuous Focusing Axisymmetric Beam Radial Force



- Nonlinear force transition at beam edge larger for strong space-charge
- Edge oscillations of matched beam enhance nonlinear effects acting on particles moving outside the envelope
- In AG focusing envelope oscillation amplitude scales strongly with σ_0

For quadrupole transport, relative matched beam envelope excursions increase with applied focusing strength

- Larger edge flutter increases nonlinearity acting on particles evolving outside the core



$$\overline{r_x} = \int_0^{L_p}\frac{ds}{L_p}r_x(s)$$

$\eta = 0.5 \quad L_p = 0.5$ m

$Q = 5\times10^{-4}$

$\varepsilon_x = \varepsilon_y = 50$ mm-mrad

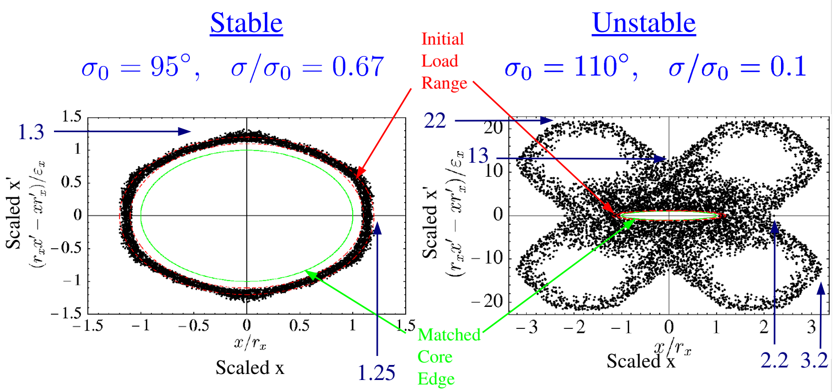
σ_0	σ/σ_0
45°	0.20
80°	0.26
110°	0.32

Space-charge nonlinear forces and *matched* envelope flutter strongly drive resonances for particles evolving outside of beam edge

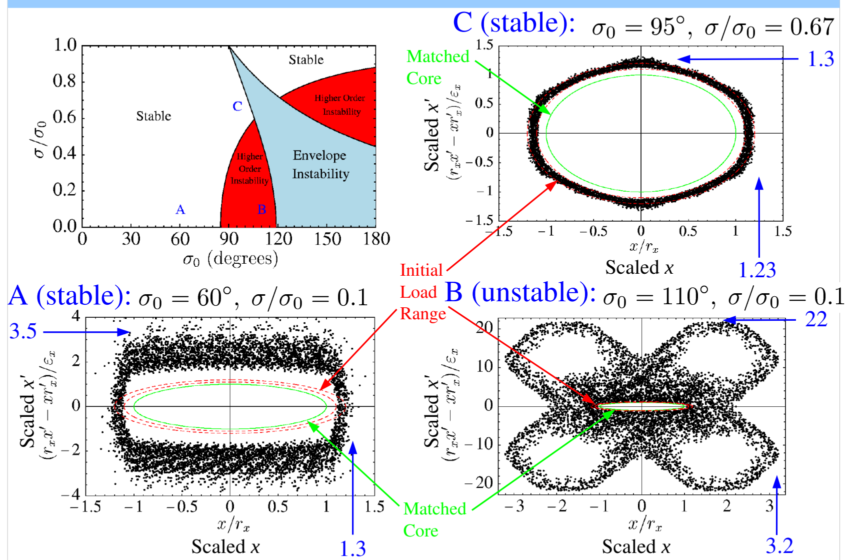
Core-particle simulations: Poincare plots illustrate resonances associated with higher-order halo production near the beam edge for FODO quadrupole transport

- High order resonances near the core are strongly expressed
- Resonances stronger for higher σ_0 and stronger space-charge
- Can overlap and break-up (strong chaotic transition) allowing particles launched *near the core* to rapidly increase in oscillation amplitude

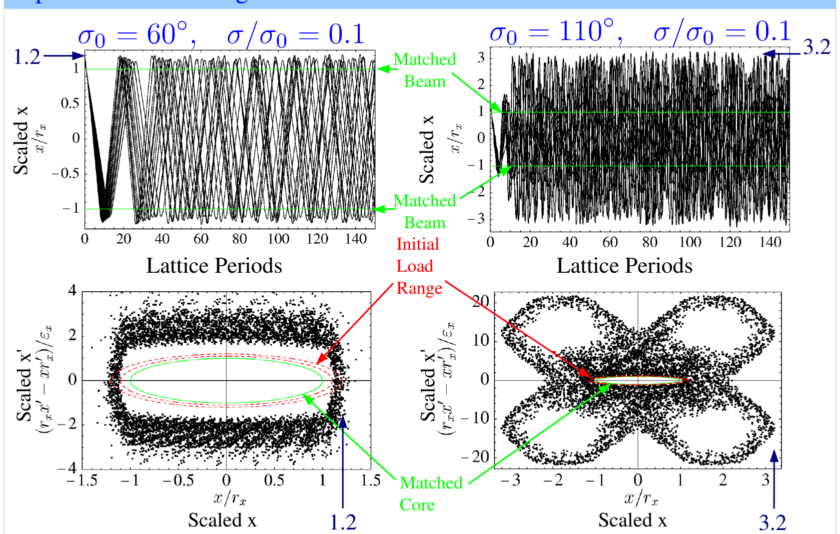
Lattice Period Poincare Strobe, particles launched [1.1,1.2] times core radius



Core-particle simulations: Poincare phase-space plots illustrate stability regions where near edge particles grow in oscillation amplitude: launch [1.1,1.2]x core

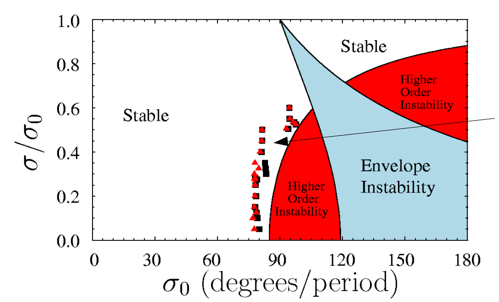


Core-particle simulations: Amplitude pumping of characteristic "unstable" phase-space structures is typically rapid and saturates whereas stable cases experience little or no growth



Core particle simulations: Stability boundary data from a "halo" stability criterion agree with experimental data for quadrupole transport limits

- Start at a point (σ_0, σ) deep within the stable region
- While increasing σ_0 vary σ to find a point (if it exists) where initial launch groups [1.05, 1.10] outside the matched beam envelope are pumped to max amplitudes of 1.5 times the matched envelope
  - Boundary position relatively insensitive to specific group and amplitude growth choices



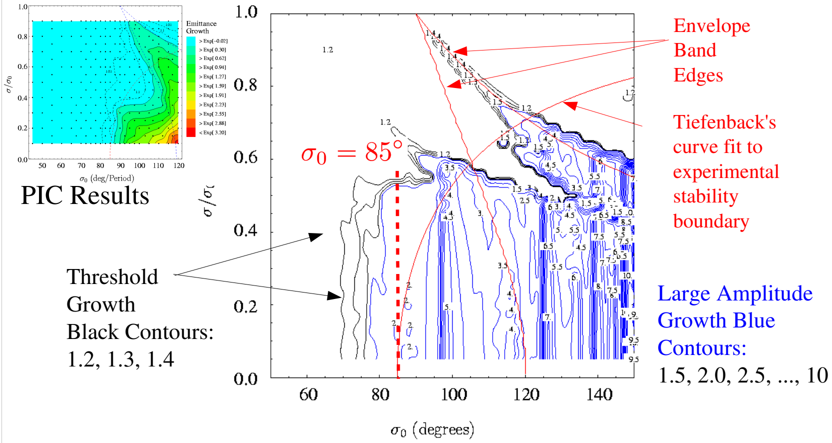
Stability boundary points for two slightly different amplitudes (triangles, squares)

Other halo analyses of transport limits conclude overly restrictive limits:
[Lagniel, Nuc. Instr. Meth. A **345**, 405 (1994)]

Contours of max particle amplitudes in core particle model suggest stability regions consistent with self-consistent simulations and experiment

Max amplitudes achieved for particles launched [1.05,1.1] times the core radius:

- Variation with small changes in launch position change picture little



Note: consistent with PIC results, instability well above envelope band not found

Discussion: Higher order space-charge stability limits in periodic quadrupole transport

High-order space-charge related emittance growth has long been observed in intense beam transport in quadrupole focusing channels with $\sigma_0 \gtrsim 85°$

- SBTE Experiment at LBNL [M.G. Tiefenback, Ph.D Thesis, UC Berkeley (1986)]
- Simulations by Haber, Laslett, and others

A core-particle model has been developed that suggests these space-charge transport limits result from a strong halo-like mechanism:

- Space-Charge and Envelope Flutter driven
- Results in large oscillation amplitude growth -- strongly chaotic resonance chain which limits at large amplitude rapidly increases oscillations of particles just outside of the beam edge
- Not weak: many particles participate -- Lack of core equilibrium provides pump of significant numbers of particles evolving sufficiently outside the beam edge
- Strong statistical emittance growth and lost particles (with aperture)

Mechanism consistent with other features observed:

- Stronger with envelope mismatch: consistent with mismatched beams more unstable
- Weak for high occupancy solenoid transport: less envelope flutter suppresses

More Details:

Lund and Chawla, *Space-charge transport limits of ion beams in periodic quadrupole focusing channels*, *Nuc. Instr. Meth. A* **561**, 203 (2006)

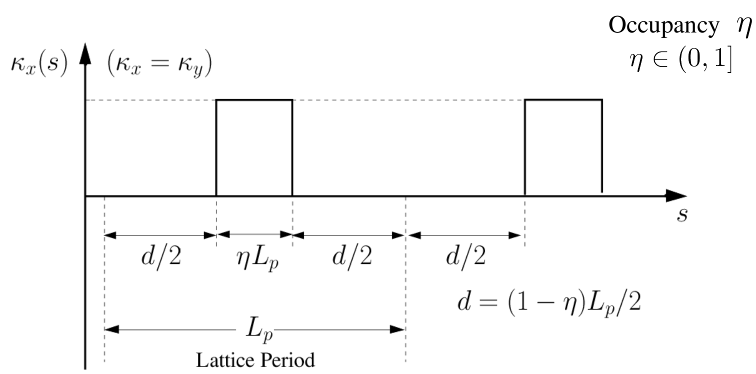
Lund, Barnard, Bukh, Chawla, and Chilton, *A core-particle model for periodically focused ion beams with intense space-charge*, *Nuc. Instr. Meth. A* **577**, 173 (2007)

Lund, Kikuchi, and Davidson, *Generation of intial kinetic distributions for simulation of long-pulse charged particle beams with high space-charge intensity*, PRSTAB **12**, 114801 (2009)

S13: Non-Tenuous Halo Induced Instability in Solenoidal Focusing

To be added

Analogous core-particle stability studies have been carried out for periodic solenoidal transport channels



Solenoidal focusing weaker than quadrupole focusing:

- Less focusing than quadrupole for similar total field energies
- Matched envelope flutter less, and scales strongly with η
- Limit $\eta = 1$ stable (continuous focusing) with no envelope flutter

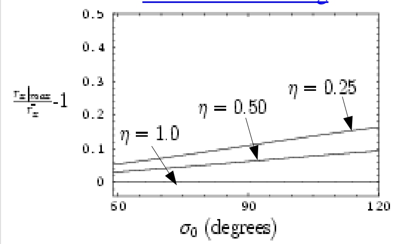
Flutter scaling of the matched beam envelope varies for quadrupole and solenoidal focusing

$$\frac{r_x|_{\max}}{\bar{r_x}} - 1 \simeq \begin{cases} (1-\cos\sigma_0)\frac{(1-\eta)(1-\eta/2)}{6} & \text{Solenoidal Focusing} \\ (1-\cos\sigma_0)^{1/2}\frac{(1-\eta/2)}{2^{3/2}(1-2\eta/3)^{1/2}} & \text{Quadrupole Focusing} \end{cases}$$

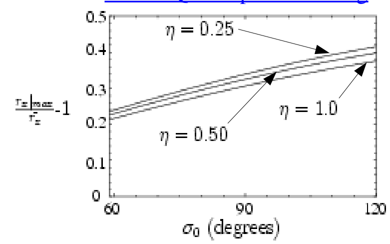
Based on: E.P. Lee, Phys. Plasmas, **9** 4301 (2002) for limit $\sigma/\sigma_0 \to 0$

- Solenoids:
  - Varies significant with both σ_0 and η
- Quadrupoles:
  - Phase advance σ_0 variation significant
  - Occupancy η variation weak

Solenoidal Focusing



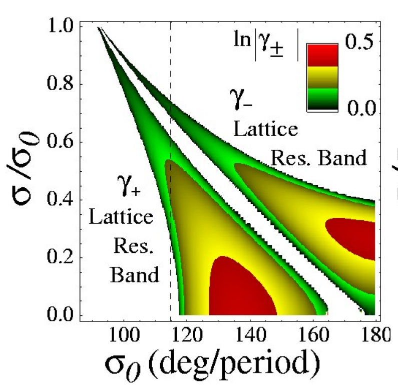
FODO Quadrupole Focusing



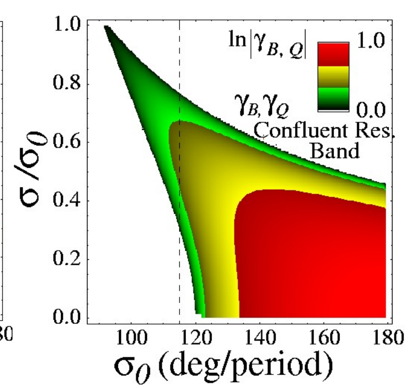
Envelope band instabilities and growth rates for periodic solenoidal and quadrupole doublet focusing lattices

Envelope Mode Instability Growth Rates

Solenoid (η = 0.25)



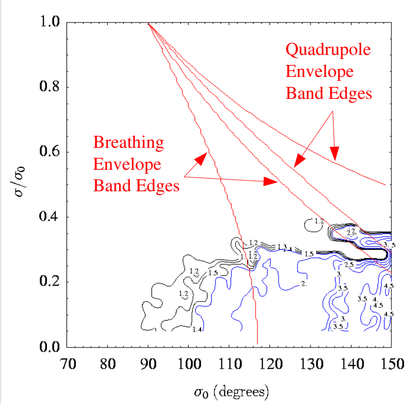
Quadrupole FODO (η = 0.70)



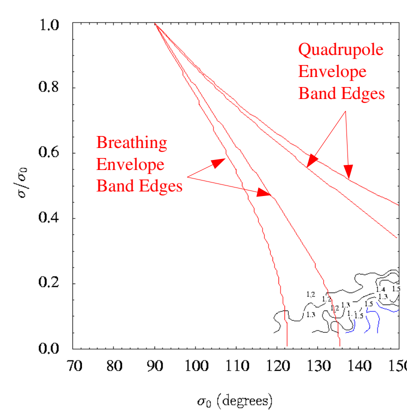
[S.M. Lund and B. Bukh, PRSTAB 024801 (2004)]

Similar space-charge dependent amplitude growth is observed as in quadrupole focusing, but the effect is weaker and occupancy dependent due to different matched envelope flutter scaling in solenoidal focusing

$\eta = 0.1$



$\eta = 0.75$



S14: Phase Mixing and Landau Damping in Beams

To be covered in future editions of class notes

- Likely inadequate time in lectures

These notes will be corrected and expanded for reference and future editions of US Particle Accelerator School and University of California at Berkeley courses:

"Beam Physics with Intense Space Charge"
"Interaction of Intense Charged Particle Beams with Electric and Magnetic Fields"

by J.J. Barnard and S.M. Lund

Corrections and suggestions for improvements are welcome. Contact:

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References: For more information see:

J. Barnard and S. Lund, *Intense Beam Physics*, US Particle Accelerator School:
http://uspas.fnal.gov/lect_note.html Lecture Notes: 2011, 2008, 2006, 2004
http://hifweb.lbl.gov/USPAS_2011 Course Info + Lecture Notes: 2011

J. Barnard and S. Lund, Interaction with of Intense Charged Particle Beams with Electric and Magnetic Fields, Nuclear Engineering 290H, UC Berkeley, Spring Semester, 2009
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S. Lund, A. Friedman, and G. Bazouin, "Sheet beam model for intense space charge: Application to Debye screening and the distribution of particle oscillation frequencies in a thermal equilibrium beam," PRSTAB 14, 054201 (2011)

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