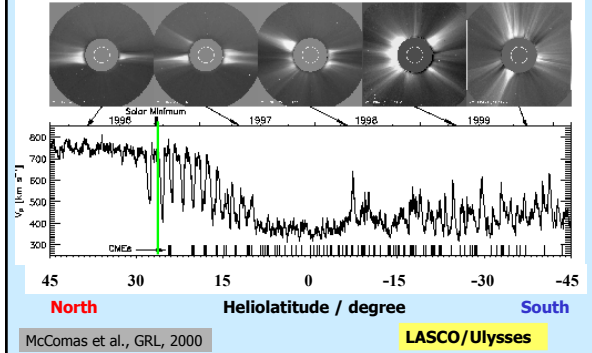


## The microstate of the solar wind

- Radial gradients of kinetic temperatures
- Velocity distribution functions
- Ion composition and suprathermal electrons
- Coulomb collisions in the solar wind
- Waves and plasma microinstabilities
- Diffusion and wave-particle interactions
- Kinetic models of the solar wind

## Changing corona and solar wind



## Length scales in the solar wind

### Macrostructure - fluid scales

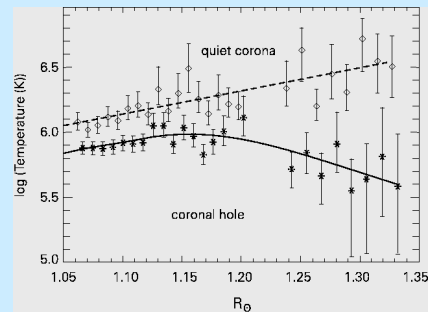
- Heliocentric distance:  $r$  150 Gm (1AU)
- Solar radius:  $R_s$  696000 km (215  $R_s$ )
- Alfvén waves:  $\lambda$  30 - 100 Mm

### Microstructure - kinetic scales

- Coulomb free path:  $l$   $\sim$  0.1 - 10 AU
- Ion inertial length:  $V_A/\Omega_p$  ( $c/\omega_p$ )  $\sim$  100 km
- Ion gyroradius:  $r_L$   $\sim$  50 km
- Debye length:  $\lambda_D$   $\sim$  10 m
- Helios spacecraft:  $d$   $\sim$  3 m

Microscales vary with solar distance!

## Electron temperature in the corona

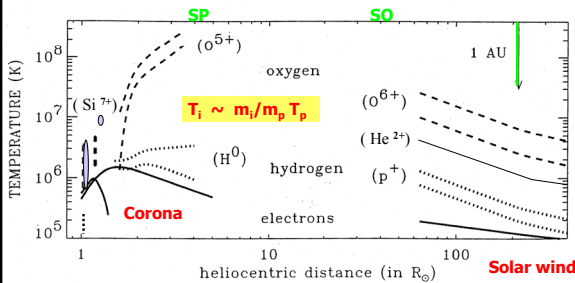


David et al., A&A 336, L90, 1998

Heliocentric distance

SUMER/CDS SOHO

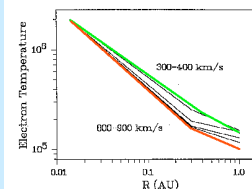
## Temperature profiles in the corona and fast solar wind



Cranmer et al., Ap.J., 2000; Marsch, 1991

## Proton and electron temperatures

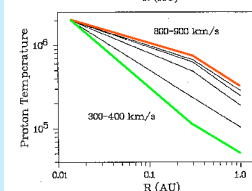
Electrons are cool!



slow wind

fast wind

Protons are hot!



fast wind

slow wind

Marsch, 1991

## Theoretical description

**Boltzmann-Vlasov kinetic equations for protons, alpha-particles (4%), minor ions and electrons**

Distribution functions

Moments

### Kinetic equations

- + Coulomb collisions (Landau)
- + Wave-particle interactions
- + Micro-instabilities (Quasilinear)
- + Boundary conditions

→ **Particle velocity distributions and field power spectra**

### Multi-Fluid (MHD) equations

- + Collision terms
- + Wave (bulk) forces
- + Energy addition
- + Boundary conditions

→ **Single/multi fluid parameters**

## Velocity distribution functions

Statistical description:  $f_j(\mathbf{x}, \mathbf{v}, t) d^3x d^3v$ ,

gives the probability to find a particle of species  $j$  with a velocity  $\mathbf{v}$  at location  $\mathbf{x}$  at time  $t$  in the 6-dimensional phase space.

Local thermodynamic equilibrium:

$$f_j^M(\mathbf{x}, \mathbf{v}, t) = n_j (2\pi v_j)^{-3/2} \exp[-(\mathbf{v} - \mathbf{U}_j)^2 / v_j^2],$$

with number density,  $n_j$ , thermal speed,  $v_j$ , and bulk velocity,  $\mathbf{U}_j$ , of species  $j$ .

Dynamics in phase space: **Vlasov/Boltzmann kinetic equation**

## Fluid description

Moments of the Vlasov/Boltzmann equation:

Density:  $n_j = \int d^3v f_j(\mathbf{x}, \mathbf{v}, t)$

Flow velocity:  $\mathbf{U}_j = 1/n_j \int d^3v f_j(\mathbf{x}, \mathbf{v}, t) \mathbf{v}$

Thermal speed:  $v_j^2 = 1/(3n_j) \int d^3v f_j(\mathbf{x}, \mathbf{v}, t) (\mathbf{v} - \mathbf{U}_j)^2$

Temperature:  $T_j = m_j v_j^2 / k_B$

Heat flux:  $\mathbf{Q}_j = 1/2m_j \int d^3v f_j(\mathbf{x}, \mathbf{v}, t) (\mathbf{v} - \mathbf{U}_j) (\mathbf{v} - \mathbf{U}_j)^2$

## Electron energy spectrum

IMP spacecraft

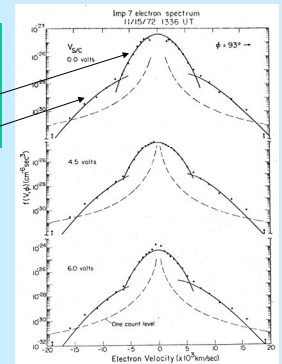
Two solar wind electron populations:

- Core (96%)
- Halo (4%)

**Core:** local, collisional, **bound** by electrostatic potential

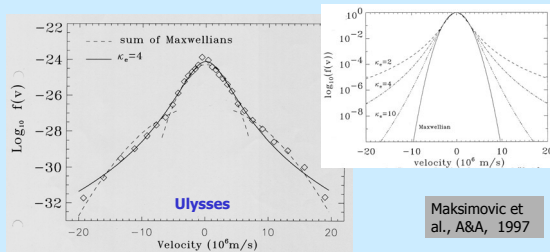
**Halo:** global, collisionless, **free** to escape (exospheric)

Feldman et al., JGR, **80**, 4181, 1975

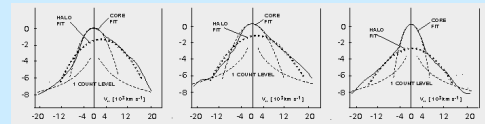


## Solar electron exosphere and velocity filtration

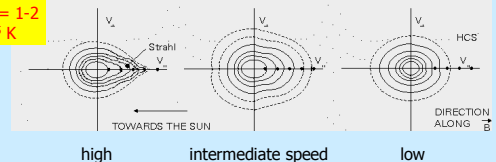
**That suprathermal electrons drive solar wind through electric field is not compatible with coronal and in-situ observations!**



## Electron velocity distributions

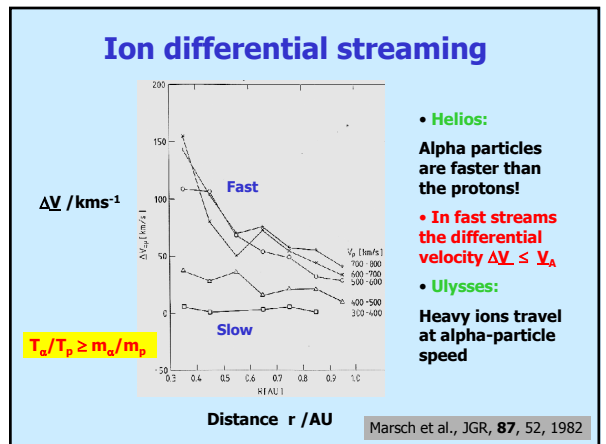
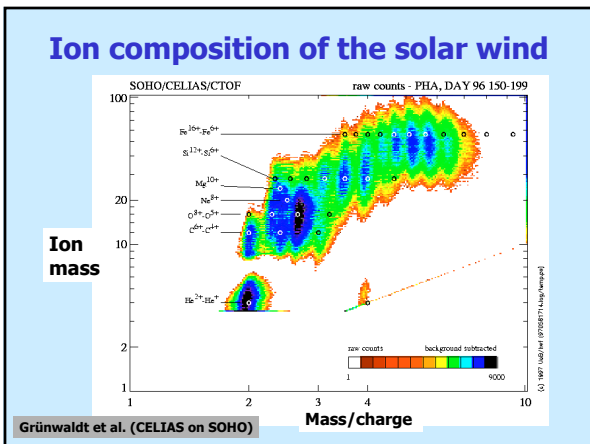
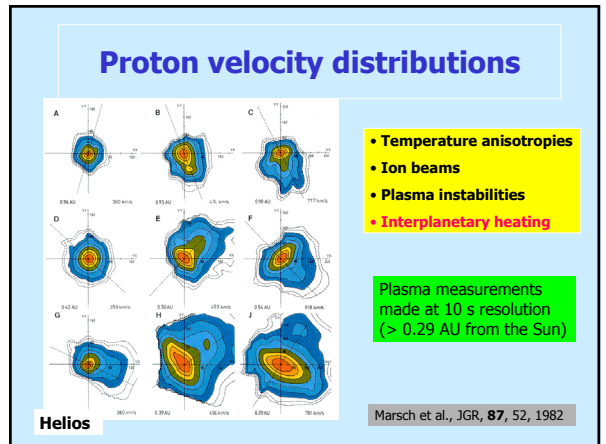
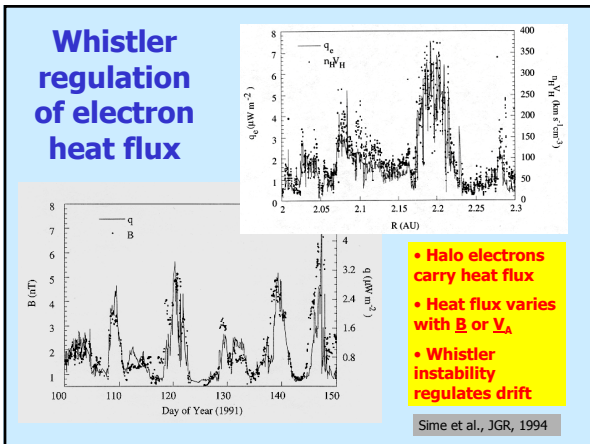
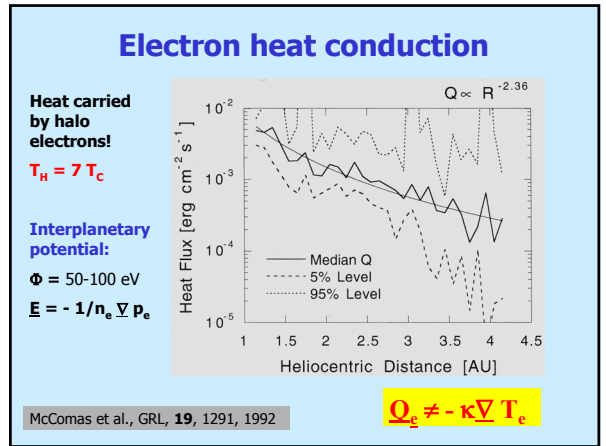
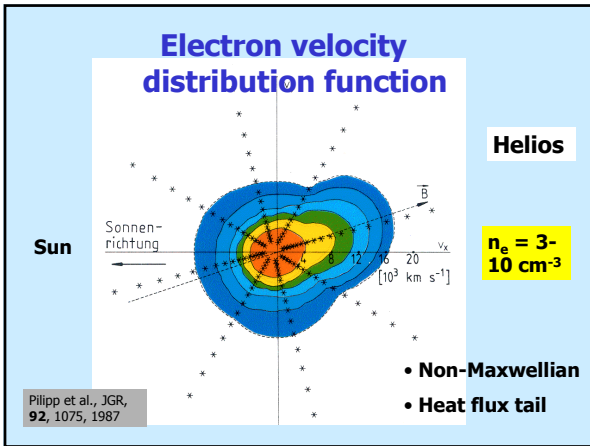


$T_e = 1-2 \cdot 10^5 \text{ K}$

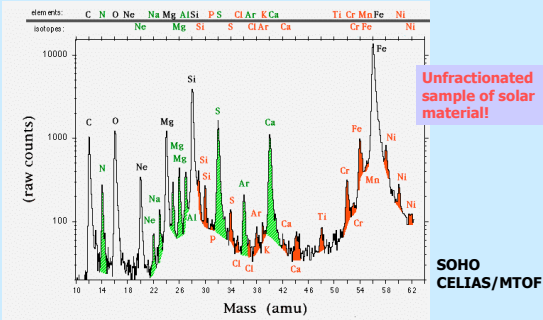


Pilipp et al., JGR, **92**, 1075, 1987

**Core (96%), halo (4%) electrons, and „strahl“**

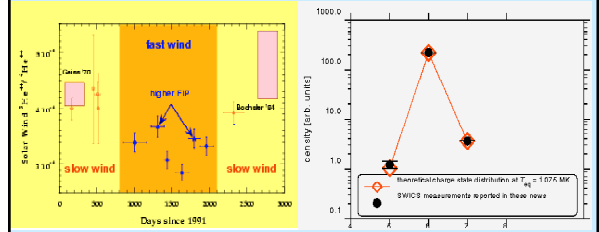


## Elements (isotopes) in the solar wind



Ipavich et al., GRL, 1998

## Rare ions of Helium and Oxygen



$$^3\text{He}^{2+} / ^4\text{He}^{2+} = 3.5-4.5 \times 10^{-4}$$

$\text{O}^{5+}$  in the solar wind

Gloeckler et al., GRL, 1998

Ulysses SWICS

Wimmer-Schweingruber et al., JGR, 1999

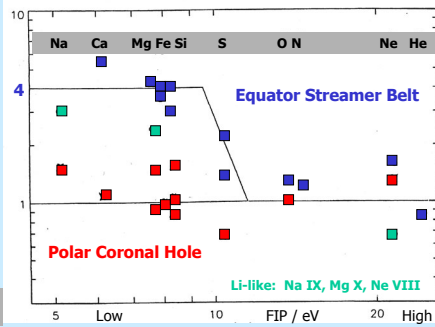
## Composition in the corona and the slow and fast solar wind

SUMER  
First Ionization Potential (FIP) bias

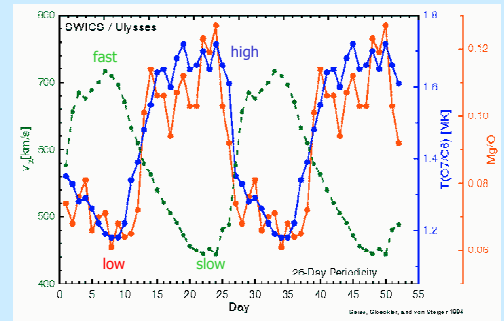
FIP effect from EUV line ratios

$1.03 R_S$

Feldman et al., Ap. J., 505, 999, 1998



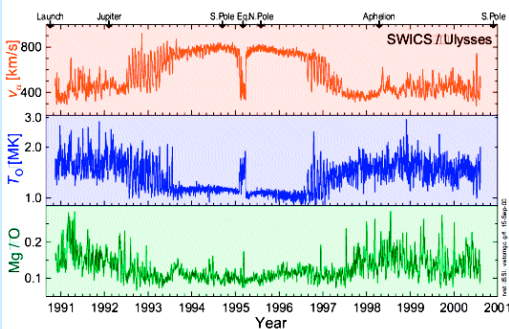
## Oxygen freeze-in temperature



Geiss et al., 1996

Ulysses SWICS

## Correlations between wind speed and corona temperature



## Kinetic processes in the solar corona and solar wind I

- Plasma is multi-component and nonuniform
- **complexity**
- Plasma is dilute
- **deviations from local thermal equilibrium**
- **suprathermal particles (electron strahl)**
- **global boundaries are reflected locally**

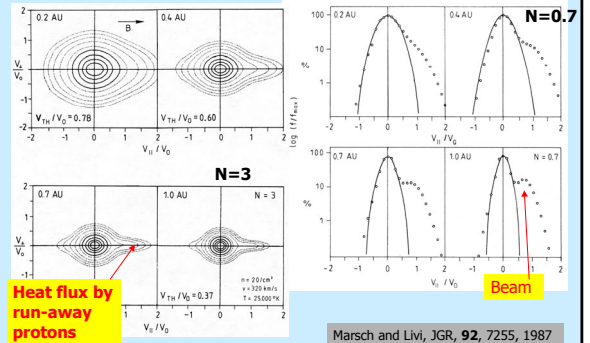
**Problem:** Thermodynamics of the plasma, which is far from equilibrium.....

## Coulomb collisions

Parameter	Chromo-sphere	Corona (1R <sub>s</sub> )	Solar wind (1AU)
<b>n<sub>e</sub> (cm<sup>-3</sup>)</b>	10 <sup>10</sup>	10 <sup>7</sup>	10
<b>T<sub>e</sub> (K)</b>	10 <sup>3</sup>	1-2 10 <sup>6</sup>	10 <sup>5</sup>
<b>λ (km)</b>	10	1000	10 <sup>7</sup>

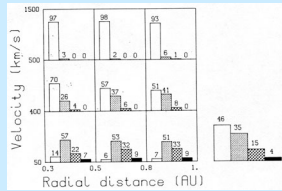
- Since  $N < 1$ , Coulomb collisions require kinetic treatment!
- Yet, only a few collisions ( $N \geq 1$ ) remove extreme anisotropies!
- Slow wind:  $N > 5$  about 10%,  $N > 1$  about 30-40% of the time.

## Coulomb collisions in slow wind



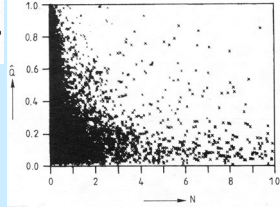
Marsch and Livi, JGR, 92, 7255, 1987

## Proton Coulomb collision statistics



- Fast protons are collisionless!
- Slow protons show collision effects!

### Proton heat flux regulation

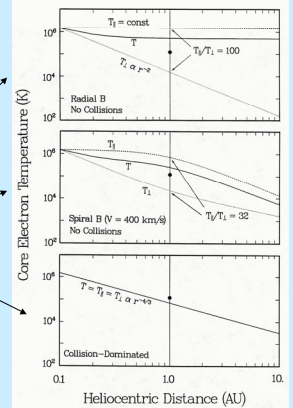


$$N = \tau_{\text{exp}} v_c \sim n_p V^{-1} T_p^{-3/2}$$

Livi et al., JGR, 91, 8045, 1986

## Collisions and geometry

- Double adiabatic invariance, → extreme anisotropy not observed!
- Spiral reduces anisotropy!
- Adiabatic collision-dominated → isotropy, is not observed!

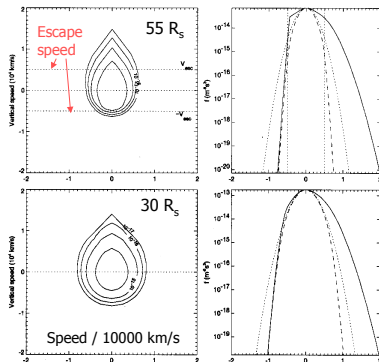


Philippis and Gosling, JGR, 1989

## Coulomb collisions and electrons

### Integration of Fokker-Planck equation

- Velocity filtration is weak!
- Strahl formation by escape electrons
- Core bound by electric field



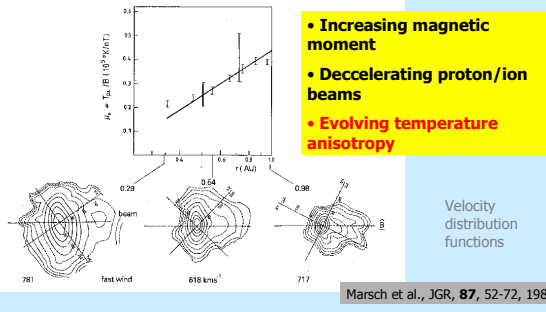
Lie-Svendson et al., JGR, 102, 4701, 1997

## Kinetic processes in the solar corona and solar wind II

- Plasma is multi-component and nonuniform → multi-fluid or kinetic physics is required
- Plasma is dilute and turbulent → free energy for micro-instabilities
- resonant wave-particle interactions
- collisions by Fokker-Planck operator

**Problem:** Transport properties of the plasma, which involves multiple scales.....

## Heating of protons by cyclotron and Landau resonance



## Wave-particle interactions

Dispersion relation using measured or model distribution functions  $f(\mathbf{v})$ , e.g. for electrostatic waves:

$$\epsilon_{\perp}(\mathbf{k}, \omega) = 0 \rightarrow \omega(\mathbf{k}) = \omega_r(\mathbf{k}) + i\gamma(\mathbf{k})$$

Dielectric constant is functional of  $f(\mathbf{v})$ , which may when being non-Maxwellian contain free energy for wave excitation.

$$\gamma(\mathbf{k}) > 0 \rightarrow \text{micro-instability.....}$$

**Resonant particles:**

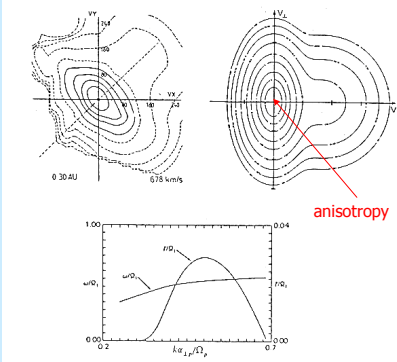
$$\omega(\mathbf{k}) - \mathbf{k} \cdot \mathbf{v} = 0 \quad (\text{Landau resonance})$$

$$\omega(\mathbf{k}) - \mathbf{k} \cdot \mathbf{v} = \pm \Omega_j \quad (\text{cyclotron resonance})$$

→ Energy and momentum exchange between waves and particles. Quasi-linear or non-linear relaxation.....

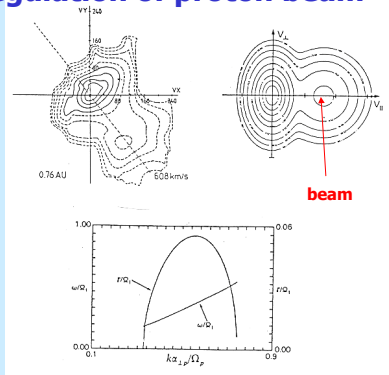
## Proton temperature anisotropy

- Measured and modelled proton velocity distribution
- Growth of ion-cyclotron waves!
- Anisotropy-driven instability by large perpendicular  $T_{\perp}$



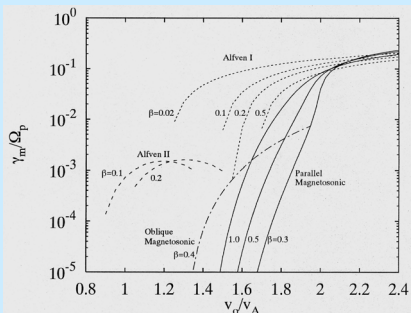
## Wave regulation of proton beam

- Measured and modelled velocity distribution
- Growth of fast mode waves!
- Beam-driven instability, large drift speed

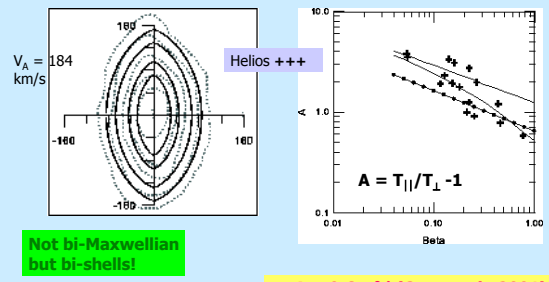


## Electromagnetic ion beam instabilities

Maximum growth rate



## Core-anisotropy regulation by diffusion plateau formation



$$A = 0.6 \beta^{0.4} \quad (\text{Gary et al., 2001})$$

## Kinetic plasma instabilities

- Observed velocity distributions at margin of stability
- Selfconsistent quasi- or non-linear effects not well understood
- Wave-particle interactions are the key to understand ion kinetics in corona and solar wind!

Wave mode	Free energy source
Ion acoustic	Ion beams, electron heat flux
Ion cyclotron	Temperature anisotropy
Whistler (Lower Hybrid)	Electron heat flux
Magnetosonic	Ion beams, differential streaming

Marsch, 1991; Gary, Space Science Rev., **56**, 373, 1991

## Heavy ion heating proportional to charge/mass by cyclotron resonance

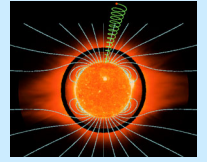
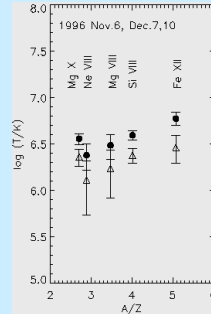
$$\Omega \sim Z/A$$

Heavy ion temperature

$T = (2-6)$  MK

$r = 1.15 R_S$

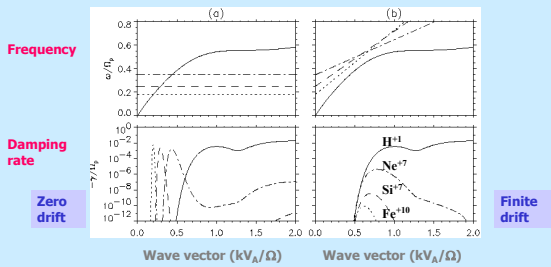
Tu et al., Space Sci. Rev. **87**, 331, 1999



- Magnetic mirror in coronal funnel/hole
- Cyclotron resonance  $\Rightarrow$  increase of  $\mu$

SUMER/SOHO

## Kinematics of ions in cyclotron resonance



Tu et al., Space Sci. Rev., **87**, 331, 1999

Cyclotron resonance condition:  $\omega = \Omega - \mathbf{k} \cdot \mathbf{v}$

## Absorption of cyclotron waves

Oxygen ion damping rate

Frequency sweeping!

Self-consistent power spectrum

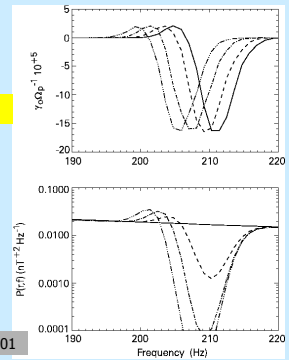
Height / km

0

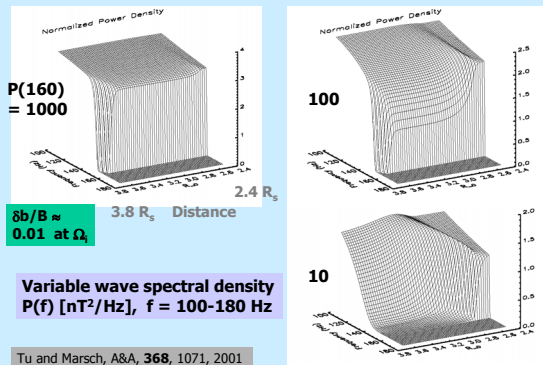
10000

15000

Tu & Marsch, JGR, **106**, 8233, 2001



## Evolution of wave power spectrum



Tu and Marsch, A&A, **368**, 1071, 2001

## Multi-fluid equations

Momentum equation

$$\frac{1}{2} \frac{d}{dr} v_{\perp j}^2 = -\frac{1}{n_j} \frac{d}{dr} (n_j v_{\parallel j}^2) - \frac{1}{M_j n_e} \frac{d}{dr} (n_e v_e^2) - \frac{v_{\parallel j}^2}{r^2} - \frac{1}{A} \frac{dA}{dr} (v_{\parallel j}^2 - v_{\perp j}^2) + F_j^{\nu} + F_j^{dis}$$

Wave acceleration.....?

Parallel energy equation

$$\frac{d}{dr} v_{\parallel j}^2 = -2v_{\parallel j}^2 \left( \frac{1}{u_j} \frac{du_j}{dr} \right) + \frac{2q_{\parallel j}}{u_j}$$

Perpendicular energy equation

$$\frac{d}{dr} v_{\perp j}^2 = -v_{\perp j}^2 \left( \frac{1}{A} \frac{dA}{dr} \right) + \frac{q_{\perp j}}{u_j}$$

Wave heating  $q_{\perp j}$  .... ?

Tu and Marsch, JGR, **106**, 8233, 2001

## Wave heating and acceleration of protons and oxygen ions

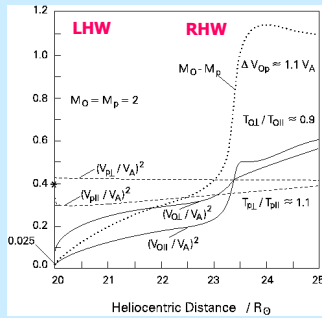
Machnumber .....

Thermal speed squared (plasma beta)

H<sup>1+</sup> .....

O<sup>6+</sup> .....

**Preferential acceleration and heating of oxygen**



Marsch, Nonlinear Proc. Geophys., **6**, 149, 1999

## Semi-kinetic model of wave-ion interaction in the corona

$$\frac{\partial F_{\parallel}}{\partial t} + v_{\parallel} \frac{\partial F_{\parallel}}{\partial s} + \left( \frac{q}{m} E_{\parallel} - g(s) \right) \frac{\partial F_{\parallel}}{\partial v_{\parallel}} + \frac{1}{2A(s)} \frac{\partial A(s)}{\partial s}$$

**Parallel VDF**

$$2 \left( \frac{\partial F_{\perp}}{\partial v_{\parallel}} + v_{\parallel} F_{\perp} \right) = \frac{\delta F_{\perp}}{\delta t} + \frac{\delta F_{\parallel}}{\delta t} |_{Coul.}$$

$$\frac{\partial F_{\perp}}{\partial t} + v_{\parallel} \frac{\partial F_{\perp}}{\partial s} + \left( \frac{q}{m} E_{\parallel} - g(s) \right) \frac{\partial F_{\perp}}{\partial v_{\parallel}} + \frac{1}{2A(s)} \frac{\partial A(s)}{\partial s}$$

**Perpendicular VDF**

$$4 \left( v_{j\perp}^2 \frac{\partial F_{\perp}}{\partial v_{\parallel}} + v_{\parallel} F_{\perp} \right) = \frac{\delta F_{\perp}}{\delta t} + \frac{\delta F_{\parallel}}{\delta t} |_{Coul.}$$

Vocks and Marsch, GRL, **28**, 1917, 2001

## Reduced diffusion equations

**Number of particles**

$$\frac{\delta}{\delta t} F_{j\parallel}(w_{\parallel}) = \frac{\partial}{\partial w_{\parallel}} D_j(w_{\parallel}) \frac{\partial}{\partial w_{\parallel}} F_{j\perp}(w_{\parallel}) - \frac{\partial}{\partial w_{\parallel}} (A_j(w_{\parallel}) F_{j\parallel}(w_{\parallel}))$$

**Perpendicular thermal speed**

$$\frac{\delta}{\delta t} F_{j\perp}(w_{\parallel}) = 2 V_{j\perp}^2 \frac{\partial}{\partial w_{\parallel}} D_j(w_{\parallel}) \frac{\partial}{\partial w_{\parallel}} F_{j\perp}(w_{\parallel}) - 3 A_j(w_{\parallel}) \frac{\partial}{\partial w_{\parallel}} F_{j\perp}(w_{\parallel}) - 2 F_{j\perp}(w_{\parallel}) \frac{\partial}{\partial w_{\parallel}} A_j(w_{\parallel}) + H_j(w_{\parallel}) F_{j\parallel}(w_{\parallel})$$

Marsch, Nonlinear Proc. Geophys., **5**, 111, 1998

## Diffusive transport coefficients

**Diffusion  
Acceleration  
Heating**

$$\begin{pmatrix} D_j(w_{\parallel}) \\ A_j(w_{\parallel}) \\ H_j(w_{\parallel}) \end{pmatrix} = \sum_M \frac{1}{(2\pi)^3} \int_{-\infty}^{\infty} d^3 k \tilde{\mathcal{B}}_M(k) \times \sum_{s=-\infty}^{\infty} \nu_j(k, s; w_{\parallel}) \begin{pmatrix} 1 \\ \frac{s\Omega_j}{k_{\parallel}} \\ \left( \frac{s\Omega_j}{k_{\parallel}} \right)^2 \end{pmatrix}$$

**Wave-particle relaxation rate and resonance condition**

Marsch, Nonlinear Proc. Geophys., in press, 2001

## Reduced velocity distributions

**Number of particles**

$$F_{j\parallel}(w_{\parallel}) = 2\pi \int_0^{\infty} dw_{\perp} w_{\perp} f_j(w_{\perp}, w_{\parallel})$$

**Perpendicular thermal speed**

$$F_{j\perp}(w_{\parallel}) = 2\pi \int_0^{\infty} dw_{\perp} w_{\perp} \frac{w_{\perp}^2}{2} f_j(w_{\perp}, w_{\parallel})$$

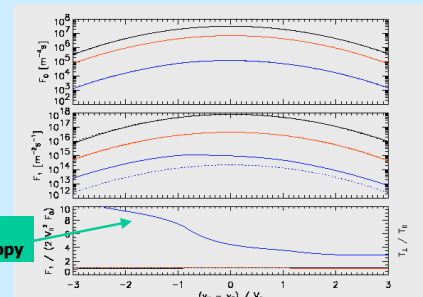
**Moments  
Normalisation**

$$\int_{-\infty}^{\infty} dw_{\parallel} F_{j\parallel}(w_{\parallel}) \begin{pmatrix} 1 \\ w_{\parallel} \\ w_{\parallel}^2 \end{pmatrix} = \begin{pmatrix} 1 \\ 0 \\ V_{j\parallel}^2 \end{pmatrix}$$

$$\int_{-\infty}^{\infty} dw_{\parallel} F_{j\perp}(w_{\parallel}) = V_{j\perp}^2$$

Marsch, Nonlinear Proc. Geophys., **5**, 111, 1998

## Reduced velocity distributions and anisotropy in coronal hole



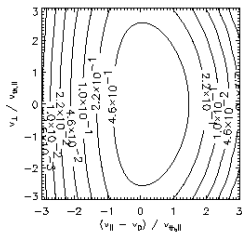
**Strong anisotropy**

Vocks and Marsch, GRL, **28**, 1917, 2001

**Height = 0.43 R\_sun**



## Model ion velocity distribution in coronal hole



Oxygen O<sup>5+</sup> ion VDF at 1.44 R<sub>s</sub>  
Waves+collisions+mirror force

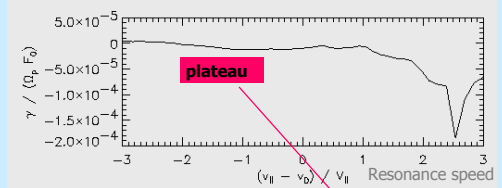
$$W_{j\perp}^2(w_{||}) = \frac{F_{j\perp}(w_{||})}{F_{j||}(w_{||})}$$

$$\frac{T_{j\perp}(w_{||})}{T_{j||}(w_{||})} = \frac{W_{j\perp}^2(w_{||})}{V_{j||}^2}$$

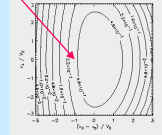
$$f_j(w_{||}, w_{\perp}) = \frac{F_{j||}(w_{||})}{2\pi W_{j\perp}^2(w_{||})} \exp\left(-\frac{w_{\perp}^2}{2W_{j\perp}^2(w_{||})}\right)$$

Vocks and Marsch, ApJ, **568**, 1030, 2002

## Plateau at marginal stability



- Vanishing O<sup>5+</sup> damping rate for ion-cyclotron waves
- Large temperature anisotropy



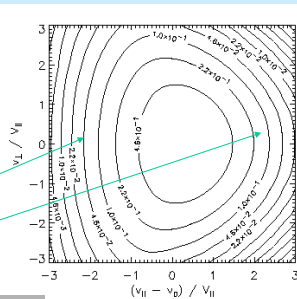
Vocks and Marsch, ApJ, **568**, 1030, 2002

1.44 R<sub>s</sub>

## Gyrotropic velocity distribution of oxygen ions in corona

- Mirror force
- Waves particle interactions
- Coulomb collisions

Heat flux and anisotropy (at 1.73 R<sub>s</sub>) cannot be described adequately by polynomial expansion!



Vocks & Marsch, ApJ, **568**, 1030, 2002

## MHD turbulence dissipation through absorption of dispersive waves

- Viscous and Ohmic dissipation in collisionless plasma (fast solar wind) is hardly important
- Waves become dispersive (at high frequencies beyond MHD) in the multi-fluid or kinetic regime

- Turbulence dissipation involves absorption (or emission by instability) of kinetic plasma waves!
- Cascading and spectral transfer of wave and turbulence energy is not well understood in the dispersive dissipation domain!

## Quasi-linear (pitch-angle) diffusion

Diffusion equation

$$\frac{\partial}{\partial t} f_j(V_{\perp}, V_{\parallel}, t) = \sum_M \sum_{s=-\infty}^{+\infty} \frac{1}{(2\pi)^3} \int_{-\infty}^{+\infty} d^3k \mathcal{B}_M(\mathbf{k}) \times \frac{1}{V_{\perp}} \frac{\partial}{\partial \alpha} \left( V_{\perp} \nu_j(\mathbf{k}, s; V_{\parallel}, V_{\perp}) \frac{\partial}{\partial \alpha} f_j(V_{\perp}, V_{\parallel}, t) \right)$$

Pitch-angle gradient in wave frame

$$\frac{\partial}{\partial \alpha} = V_{\perp} \frac{\partial}{\partial V_{\parallel}} - \left( V_{\parallel} - \frac{\omega_M(\mathbf{k})}{k_{\parallel}} \right) \frac{\partial}{\partial V_{\perp}}$$

Kennel and Engelmann, Phys. Fluids, **9**, 2377, 1966

## Ingredients in the quasi-linear diffusion equation

Normalised wave amplitude (Fourier)

$$\mathcal{B}_M(\mathbf{k}) = \left( \frac{\delta B_M(\mathbf{k})}{B_0} \right)^2 \left( \frac{k_{\parallel}}{k} \right)^2 \frac{1}{1 - |\mathbf{k} \cdot \mathbf{e}_M(\mathbf{k})|^2}$$

Wave-particle relaxation rate

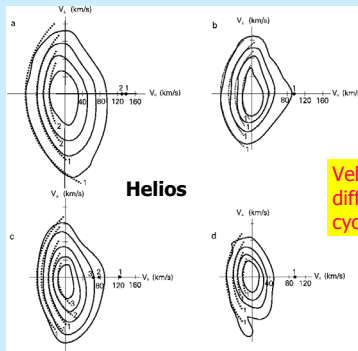
$$\nu_j(\mathbf{k}, s; V_{\parallel}, V_{\perp}) = \pi \Omega_j^2 \delta(\omega_M(\mathbf{k}) - s \Omega_j - k_{\parallel} V_{\parallel}) \times \left| \frac{1}{2} (J_{s-1} e_M^+ + J_{s+1} e_M^-) + \frac{V_j(\mathbf{k}, s)}{V_{\perp}} J_s e_{Mz} \right|^2$$

Resonant speed; Bessel function of order s

$$V_j(\mathbf{k}, s) = \frac{\omega_M(\mathbf{k}) - s \Omega_j}{k_{\parallel}}; \quad J_s = J_s\left(\frac{k_{\perp} V_{\perp}}{\Omega_j}\right)$$

Marsch and Tu, J. Geophys. Res., **106**, 227, 2001

## Pitch-angle diffusion of protons



VDF contours are segments of circles centered in the wave frame ( $< V_A$ )

Velocity-space resonant diffusion caused by the cyclotron-wave field!

Marsch and Tu, JGR **106**, 8357, 2001

## Plateau formation by wave-particle diffusion

Wave-frame coordinates

$$V_{ph} = \omega_M(k)/k_{||}; \quad V_{ph} = V_A; \quad f_j(V_{\perp}, V_{||})$$

Transformed velocity distribution function

$$U_{||} = V_{||} - V_{ph}; \quad U_{\perp} = V_{\perp}; \quad U = \sqrt{U_{||}^2 + U_{\perp}^2}$$

Resonant speed ( $s=1$ )

$$U_{||} = U \cos \alpha; \quad U_{\perp} = U \sin \alpha; \quad f_j = f_j(U, \alpha)$$

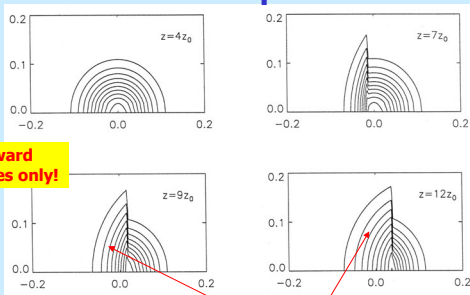
$$U_j(k) = -\Omega_j/k_{||}; \quad \alpha_j(k_{||}) = \arccos(-\Omega_j/k_{||}U)$$

Marsch and Tu, JGR, in press, 2001

Plateau in pitch-angle gradient

$$\frac{\partial f_j}{\partial \alpha} \Big|_{\alpha=\alpha_j(k_{||})} = 0$$

## Quasilinear diffusion model of solar wind protons



Outward waves only!

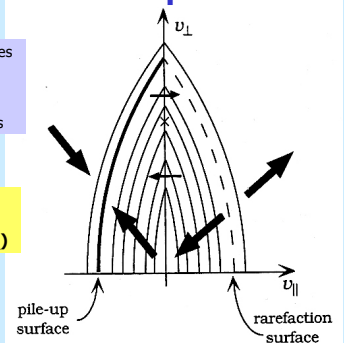
Pitch angle diffusion!

Galinsky and Shevchenko, Phys. Rev. L., **85**, 90, 2000

## The kinetic diffusion-shell model of solar wind protons

- Dissipation of outward waves
- Energy flux across  $v_{||} = 0$  boundary
- Generation of inward waves

Diffusion in kinetic shells (segments of spheres located at  $\pm v_A$ )



Isenberg, J. Geophys. Res., **106**, 29249, 2002

pile-up surface

rarefaction surface

## Observations and semi-kinetic models of solar corona and wind

- Coronal imaging and spectroscopy indicate strong deviations of the plasma from thermal equilibrium
- Semi-kinetic particle models with self-consistent wave spectra provide valuable physical insights
- Such models describe some essential features of the observations of the solar corona and solar wind
- But the thermodynamics of the solar corona and solar wind requires a fully-kinetic approach
- Turbulence transport as well as cascading and dissipation in the kinetic domain are not understood