

A SEARCH FOR THE HIGGS BOSON PRODUCED IN ASSOCIATION WITH TOP QUARKS IN MULTILEPTON FINAL STATES AT ATLAS

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ABSTRACT

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Chris Lester

Joseph Kroll

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Preface

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Chris Lester
CERN, Fall 2014

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CHAPTER 1

146

Introduction

147

CHAPTER 2

148

Theoretical Background

149 The Standard Model of particle physics (SM) is an extraordinarily successful description of the funda-
150 mental constituents of matter and their interactions. Experiments over the past 50 years have verified
151 the extremely precise prediction of the SM. This success has culminated most recently in the discovery
152 of the Higgs Boson. This chapter provides a brief introduction to the structure of the SM and how
153 scientists are able to test it using hadron collider but focuses primarily on the physics of the Higgs
154 boson and its decays to top quarks. Particular attention is given to the importance of a measurement
155 of the rate at which Higgs Bosons are produced in association of top quarks in the context of testing
156 the predictions the SM.

157 **2.1 The Standard Model**

158 **2.1.1 The Standard Model Structure**

159 The Standard Model (SM) [1, 2, 3, 4] is an example of a quantum field theory that describes the
160 interactions of all of the known fundamental particles. Particles are understood to be excitations of
161 the more fundamental object of the theory, the field. The dynamics and interactions of the fields are
162 derived from the Standard Model Lagrangian, which is constructed to be symmetric under transfor-
163 mations of the group $SU(3) \times SU(2) \times U(1)$. $SU(3)$ is the group for the color, $SU(2)$ is the group for
164 weak iso spin, and $U(1)$ is the group for weak hyper-charge.

165 Gauging the symmetries demands the introduction of 8 massless gluons, or the boson (full integer
166 spin) carriers of the strong force [5] from the generators $SU(3)$ symmetry, and the 4 massless bosons,
167 carriers for the weak and electromagnetic forces from the 3 generators of the $SU(2)$ and 1 generator
168 of the $U(1)$ group. The weak and the electromagnetic forces are considered part of a larger single

169 unified electroweak group $SU(2) \times U(1)$ and the associated generators mix.

170 The gauge symmetry allows the theory to be re-normalizable [6], meaning that unwanted infinities
171 can be absorbed into observables from theory in a way that allows the theory to be able to predict
172 physics at multiple energy scales. Singlets of the $SU(3)$ group are fermions (half-integer spin particles)
173 called leptons and do not interact with the strong, whereas doublets of the $SU(3)$ group are called
174 quarks and do interact with the strong force. The SM is a chiral theory: the weak force violates parity,
175 as it only couples to left-chiral particles or right-chiral antiparticles. This means that right-chiral and
176 left-chiral fermions arise from different fields, which are different representations of the weak isospin
177 group.

178 The discovery of particles and new interactions in various experiments is intertwined with the
179 development of the theory that spans many decades and is not discussed in detail here.

180 So far, 3 separate generations of both quarks and leptons have been discovered, differing only by
181 mass. The gluon and the 4 electroweak bosons have also been discovered (W^+ , W^- , Z^0 , and γ) ¹. The
182 reason for this 3-fold replication is not known.

183 2.1.2 Electroweak Symmetry Breaking and the Higgs

184 Despite the simple structure of theory, the discovery of massive fundamental particles creates two sets
185 of problems both related to $SU(2) \times U(1)$. First, the force-carrying bosons must enter the theory
186 without mass or the symmetries will be explicitly broken in the Lagrangian. Second, adding fermion
187 masses to theory in an ad-hoc way allows the right-chiral and left-chiral fermions to mix. Since they
188 possess different quantum numbers, as different representations of the weak-isospin group, this too
189 breaks gauge invariance.

190 To solve these problems, spontaneous electro-weak symmetry breaking (EWSB) is introduced via
191 the Brout-Englert-Higgs mechanism [7, 8, 9]. A massive scalar field in an electro-weak doublet is
192 added to the theory with 4 new degrees of freedom and a potential which includes a quartic self-
193 interaction term. Each fermion field interacts with the scalar field via a different Yukawa coupling,
194 which unites the left and right chiral fields of a single particle type. This field explicitly preserves all
195 of the symmetries, but the minimum of the potential does not occur when the expectation of the field
196 is zero. The field eventually falls to a state, where it acquires a vacuum-expectation value. However,
197 a non-zero field must therefore point in a particular direction of weak-isospin space, breaking the
198 symmetry.

1The actual particles observed to be produced and propagate may be linear combinations of the underlying generators (for the bosons) or gauge representations (for the fermions).

199 The consequences of this spontaneous symmetry breaking are tremendous. First, the universe
 200 is filled with a field with a non-zero expectation value. The theory can be expanded around this
 201 new value and 3 of the degrees of freedom can be interpreted as the longitudinal polarizations of
 202 the W^+ , W^- , and Z^0 , while the 4th remains a scalar field, called the Higgs field with an associated
 203 particle called the Higgs particle or "Higgs" The weak bosons acquire a mass via their longitudinal
 204 polarizations and the Yukawa couplings of the scalar field to the fermions now behave like a mass
 205 term at the this new minimum.

206 2.1.3 The Standard Model Parameters

207 Although the SM structure is set by specifying the gauge groups, the EWSB mechanism, and ac-
 208 knowledging the 3-fold replication of the fermions, confronting the SM with experiment requires the
 209 measurement of 17^2 free parameters, which are unconstrained from the theory. These free parameters
 210 include the fermion masses (from the Yukawa coupling), the force coupling constants, the angles and
 211 phase of the mixing between quarks, and constants from the Higgs and electroweak sector³.

212 Experiments have provided a number of measurements of the parameters of the SM[10]. Prior
 213 to the discovery of the Higgs boson (discussed later) the Higgs mass, however, was the only fully
 214 unconstrained parameter, although its value could be inferred via its involvement in loop corrections
 215 on the top mass (M_t) and the W mass (M_W). The GFitter collaboration assembles all relevant
 216 electroweak observable measurements into a statistical model and then allows certain measurements to
 217 float within their uncertainty to allow for a fit among multiple correlated measurements measurements
 218 [11]. Figure 2.1 shows the fitted constraints on 4 key SM parameters (M_H , M_W , M_t , $\sin^2\theta_w$) with
 219 actual measurements overlaid. The addition to the fit of the measured Higgs mass from the ATLAS
 220 and CMS collaborations creates a small tension, as the other observables prefer the mass to be much
 221 lower (~ 80 GeV/ c^2). The tension in the combined electroweak fit (including the Higgs) is not
 222 statistically significant with a p -value of 0.07.

223 2.2 Collider Physics and the Higgs

224 To test the theory, physicists accelerate particles to extremely high energies and force them to interact
 225 through collisions. Typically, the particles accelerated are electrons or protons, since they are stable.

²There are additional parameters from neutrino mass terms and mixing but it is unclear how to include these into the Standard Model, since it does not predict right-chiral neutrinos

³ The electroweak sector includes parameters like mass of the W^\pm and Z^0 bosons, the weak mixing angle, $\sin^2\theta_w$, the fermi constant G_F , and Higgs Mass and vacuum expectation value. These parameters however are not wholly independent. As discussed above, it is only necessary theoretically to specify the two parameters relevant to the Higgs potential and the two coupling associated with the gauge groups

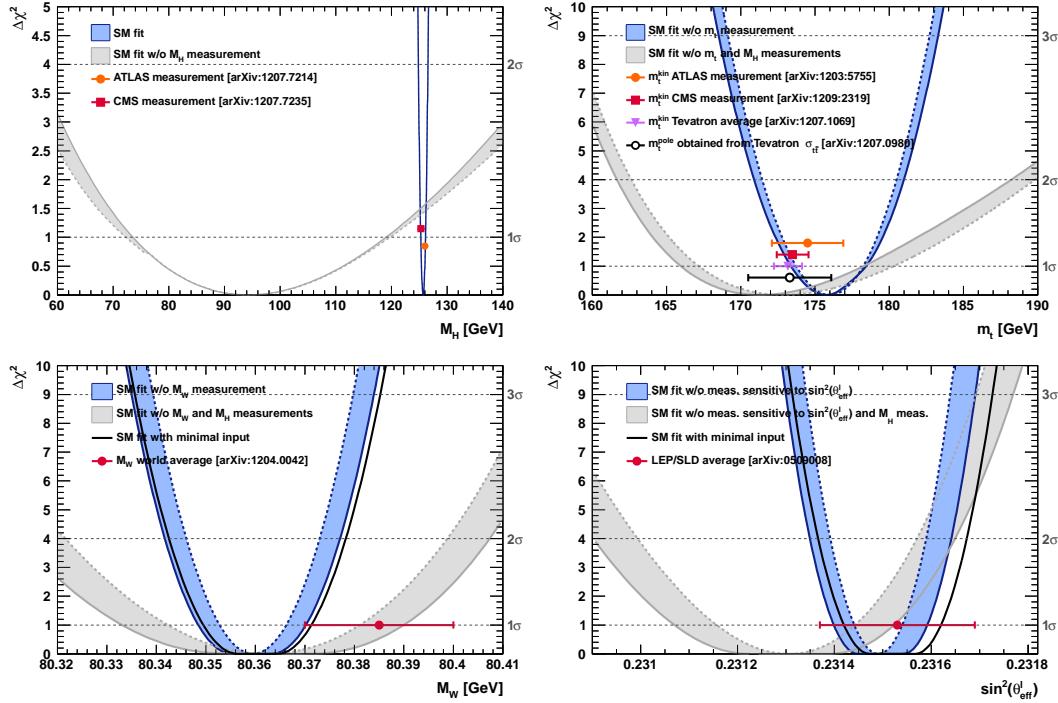


Figure 2.1: χ^2 as a function of the Higgs mass (top left), the top quark mass (top right), the W boson mass (bottom left) and the effective weak mixing angle (bottom right) for the combined SM fit from the GFitter group. The data points placed along $\chi^2 = 1$ represent direct measurements of the respective observable and their $\pm 1\sigma$ uncertainties. The grey (blue) bands show the results when excluding (including) the new M_H measurements from (in) the fits.

226 Electron-positron collider machines have a rich history of discovery and measurement in particle
 227 physics. The advantage of electron accelerators is that the colliding element is itself a fundamental
 228 particle. However, due synchrotron radiation, curvature of the beam line becomes problematic for
 229 high energy beams. Hadron colliders, specifically, proton-proton and proton-anti-proton colliders can
 230 be accelerated in rings without large losses due to synchrotron radiation, but the actual colliding
 231 objects at high energies are the constituent quarks and gluons. This complicates analysis because the
 232 initial state of the system is not discernible on a per-collision basis and momentum of hard scatter
 233 system is unknown along the beam direction.

234 Collider physics rely on form-factor descriptions of the colliding hadrons that describe the fraction
 235 of momentum carried by the hadrons constituent ‘partons’. These are called parton-distribution
 236 functions, seen in Figure 2.2, and are factorized and integrated through the theoretical calculations
 237 of various collision processes [12].

238 At the Large Hadron Collider or LHC (discussed in detail in Chapter 3 a proton-proton colluder,

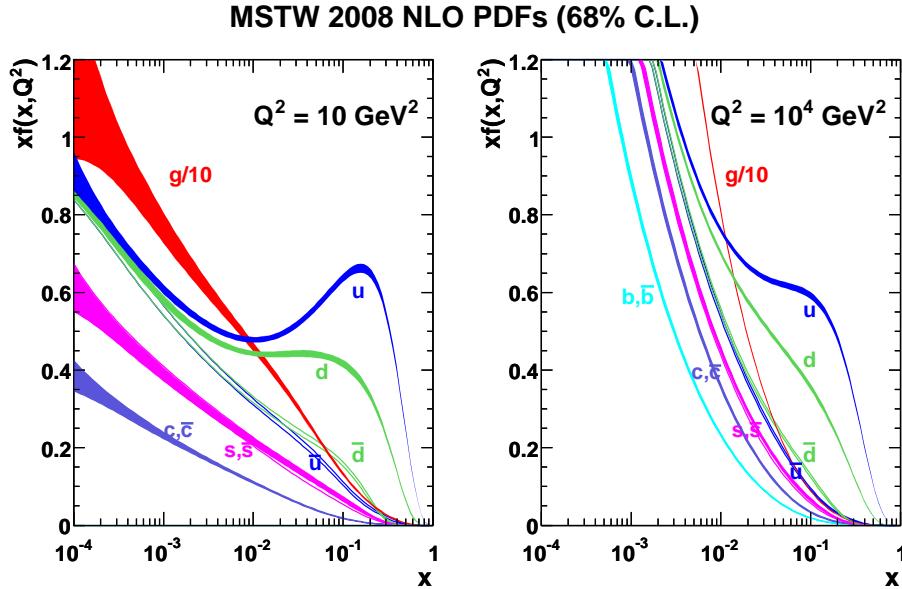


Figure 2.2: Proton Parton Distribution Functions (PDFs) form the MSTW Collaboration at $Q^2 = 10 \text{ GeV}^2$ and $Q^2 = 10^4 \text{ GeV}^2$

the types of initial states are quark-quark, quark-gluon, and gluon-gluon. Gluon collisions dominate overall, due to the large number of gluons inside the proton, though the relative importance of different initial states changes with the energy scale of the collision and the type of final state sought after.

A prime motivation for the construction of the Large Hadron Collider was the discovery or exclusion of the Higgs boson[13]. LEP and the Tevatron excluded large swaths of possible Higgs boson masses, especially below $114 \text{ GeV}/c^2$ and the unitarity of certain diagrams including the $WWWW$ vertex required the mass to be below about 1 TeV, a range that was achievable at the LHC with high luminosity running [10].

Despite the ubiquity of Higgs couplings, Higgs boson production at the LHC is a low rate process. Because it couples to fermions proportional to mass and because the colliding particles must be stable and therefore light, production of the Higgs must occur through virtual states.

The Higgs boson can be produced through collision at the LHC via 4 mechanisms: gluon-fusion (ggF), vector-boson fusion (VBF), Higgsstrahlung (VH), and production in association with top quarks ($t\bar{t}H$). The diagrams are shown in Figure 2.3 and the production cross-sections as a function of Higgs mass for the 8 TeV LHC proton-proton running are shown in Figure 2.4 [14]. The largest production cross-section is via the gluon fusion channel at 20 pb, which proceeds through a fermion loop that is dominated by the top quark, because of its large Yukawa coupling to the Higgs.

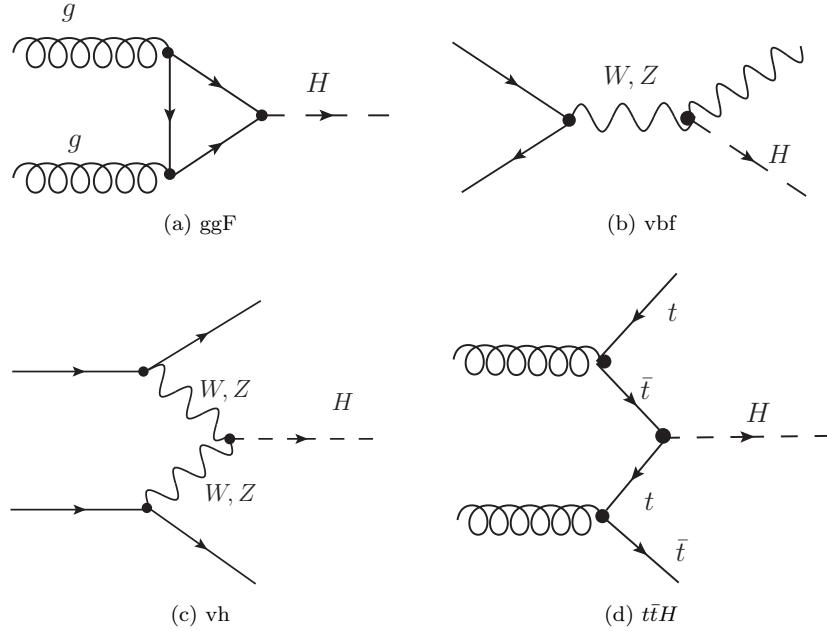


Figure 2.3: Dominant Higgs production modes at the LHC

Because the Higgs' couples to every massive particle, it has a rich set of decays also seen in Figure 2.4, especially for $m_H = 125$. Studies of Higgs properties at hadron colliders offers many tests of the Standard Model and ample room for searches for new physics. These tests specifically can verify the link between Yukawa coupling and the particles mass and further constrain details of EWSB by examining Higgs coupling to the weak bosons.

2.2.1 Higgs Discovery at the LHC

In 2012 both ATLAS and CMS announced the discovery of a new boson consistent with the Higgs by examining the results of Higgs searches in a number of decay channels ($H \rightarrow W^+W^-$, $H \rightarrow Z^0Z^0$, and $H \rightarrow \gamma\gamma$) in the 2011 dataset at $\sqrt{s} = 7$ TeV and part of the 2012 dataset at $\sqrt{s} = 8$ TeV. By 2013 and 2014, both experiments have updated and/or finalized their results for the full 2011 and 2012 datasets [15, 16]. I will focus on the ATLAS results in the following. The ATLAS measurements constrain both the Higgs mass[17] and spin[18], as well as provide constraints to the Higgs couplings to different particles.

Figure 2.5 show the results of the searches in all of the measurement channels as well as constraints on the SM Higgs coupling parameters in an example fit, where the couplings to the top-quark, bottom-

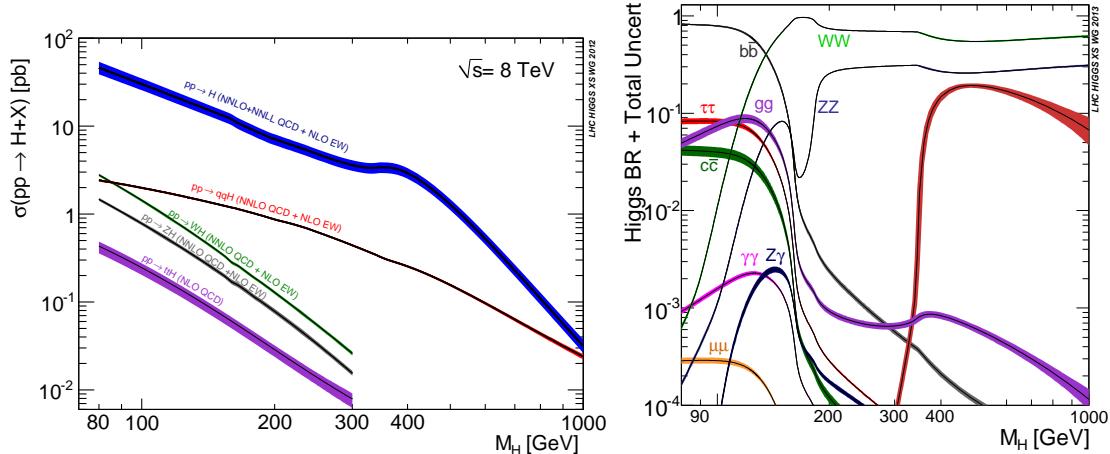


Figure 2.4: 8 TeV LHC Higgs production cross-sections (left) and decay branching fractions

quark, W,Z, and τ are allowed to fluctuate independently. These rely on measurements binned in different production and decay channels. They are dominated by higher statistics results in the gluon-fusion production modes, but measurements in the VH and VBF modes are close to SM sensitivity.

The combined results show basic agreement with the SM with much room for improvement with the addition of new production and decay modes and higher statistics. The coupling constraints are particularly strong for the W and Z, which are the most sensitive decay channels, and top quark due to the dominance of the top Yukawa in the ggF loop.

2.2.2 $t\bar{t}H$ Production

Notably absent thus far in the SM are searches for the Higgs in the $t\bar{t}H$ production channel, due to the lack of statistics. Searches are underway and initial results are close to SM sensitivity for ATLAS and CMS. More will be discussed about particular searches later. $t\bar{t}H$ production depends on the top Yukawa coupling at tree level. Comparison of the gluon-fusion and the $t\bar{t}H$ modes would allow for disentangling the effects of new particles in the gluon-fusion loop[19]. For instance, generic models would allow for the introduction of new colored particles into the loop. The simplest of these models would be the addition of a new generation of quarks. Fourth generation quarks, which obtain mass from a Higgs Yukawa coupling are already largely excluded due to their enormous effects on the Higgs production cross-section[20]. Other exotic scenarios allow for new colored particles in the gluon-fusion loop, which are not entirely constrained by present measurements[21, 22, 23]. These include, for instance, Supersymmetric models involving the stop quark.

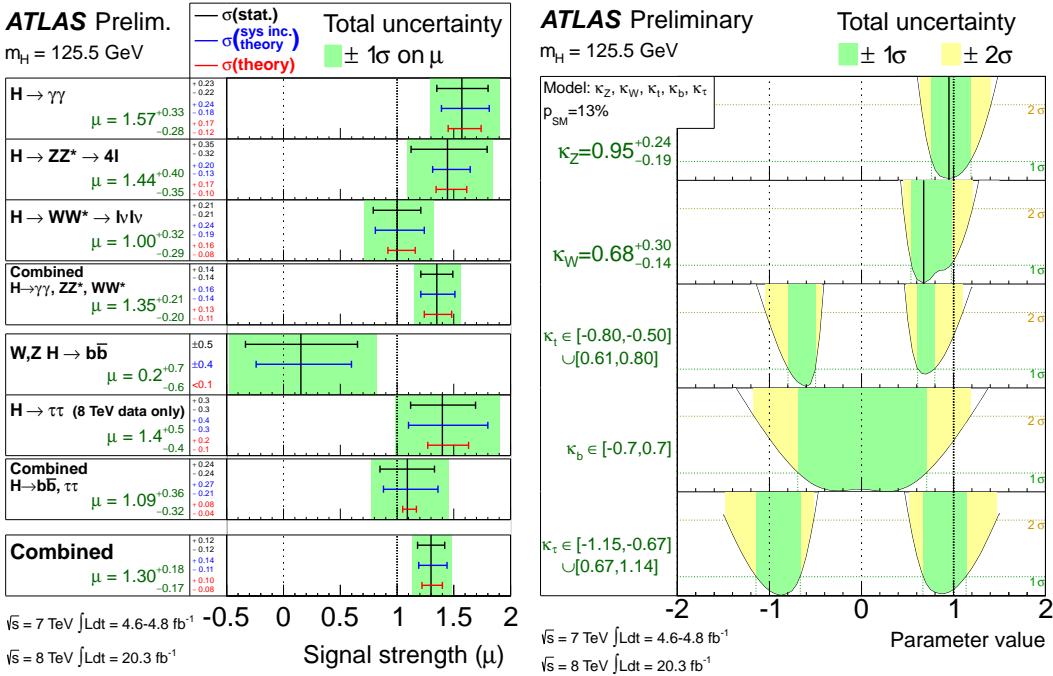


Figure 2.5: ATLAS Higgs combination results for all SM measurement channels as ratios of the measured to SM production cross-sections (left) and extracted Higgs coupling constraint scale-factors for a combined fit to the measurement channels, where the W, Z , top-quark, b -quark, and τ couplings are allowed to float. The p-value of this particular model is 0.13 and in agreement with SM expectations

Aside from the loop effects, measurement of the $t\bar{t}H$ production cross-section would provide a precise measurement of the top Yukawa coupling. When compared with the measured top quark mass, this tests the Higgs mass generation properties for up-type quarks. Despite similar uncertainties on the overall production cross-sections for $t\bar{t}H$ and the gluon-fusion modes, both of which depend on the top Yukawa, most of these uncertainties would cancel for $t\bar{t}H$ if normalized to the topologically similar $t\bar{t}Z$. Finally, the uniqueness of the experimental signature means that searches for $t\bar{t}$ signatures can be performed for a variety of Higgs decays ($\gamma\gamma, b\bar{b}, WW, ZZ$, and $\tau\bar{\tau}$) with roughly similar degrees of sensitivity (within a factor of 10)[19].

It is important to note the importance of the top Yukawa coupling to the overall structure of the SM, due to its enormous size compared to other couplings. The top Yukawa is for instance 350000x as large as the electron Yukawa coupling. Because of this the top Yukawa coupling, along with the Higgs mass, is one of the most important pieces of the renormalization group equations (RGE) responsible for the running of the parameter that determines the Higgs self-coupling λ . If this parameter runs negative, then the potential responsible for the entire mechanism of EWSB no longer has a minimum and becomes unbounded, resulting in instability in the universe [24]. Metastability occurs when the

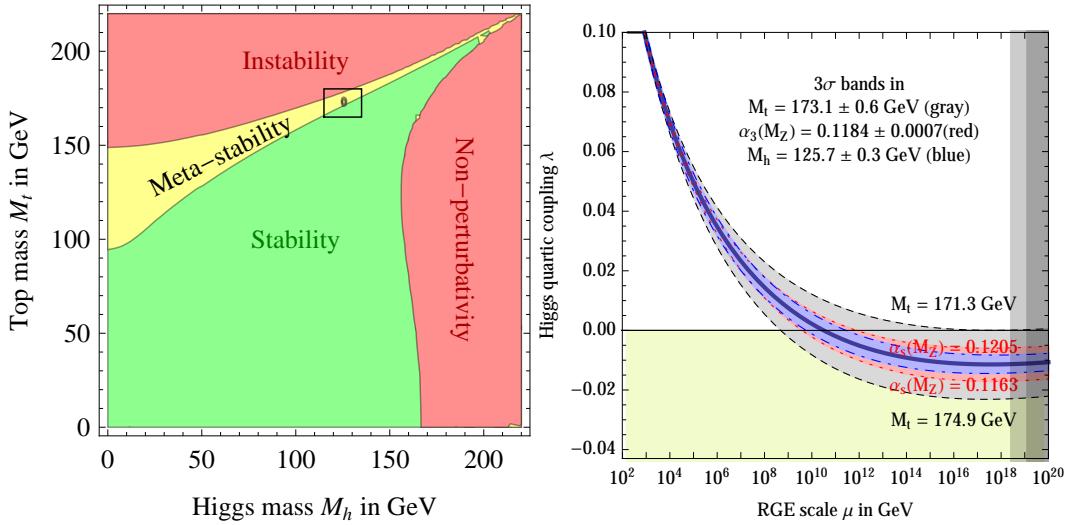


Figure 2.6: RGE for the running of the SM parameter, λ for the Higgs self-coupling term with present values and uncertainty bands for M_H and M_t (left). The two-dimensional plot colored (right) shows regions for which the SM is stable, unstable and metastable based on this RGE

shape of the potential allows for a false local minimum. Figure 2.6 shows the running of this parameter, the regions for which the universe is stable, unstable and metastable. Current measurements suggest that universe lies in a metastable island⁴.

2.3 Conclusion

The Standard Model, despite its success in providing a unified description of fundamental particles and interactions into single theory, has its flaws. These have been discussed in depth elsewhere, but include issues like the description of massive neutrinos, the failure to include gravity, and the unnaturalness of large quantum corrections to Higgs parameters. For these reasons, it seems the SM might be a lower energy approximation to a more fundamental theory. The discovery of the Higgs boson at the LHC provided a stunning verification of one of the fundamental aspects of the theory but at the same time offers new area to search for glimpses of something grander. The production of samples of Higgs bosons allows for a rich array of new tests of the Standard Model, which is now finally over-constrained by experiment. Searches for the $t\bar{t}H$ production, one category of which is the topic of this thesis, provide tree-level access to a central parameter of the theory, the top Yukawa coupling, as well as access a variety of Higgs decays, which will eventually provide a rigorous new test of the SM.

⁴The RGE assumed that there is no new physics at all energy scales

321

CHAPTER 3

322

The Large Hadron Collider and the ATLAS Experiment

323

324 3.1 The Large Hadron Collider

325 Production of a sufficient number of high energy collisions to adequately explore particle physics at
326 the electro-weak scale required the development of one of the most complex machines ever built, the
327 Large Hadron Collider or LHC.

328 The LHC is the world's highest energy particle accelerator and is located 100m underneath the
329 Franco-Swiss border at the European Organization for Nuclear Research (CERN) in a 26.7 km tunnel.

330 The technology involved in the development of the LHC and very briefly touched upon in this
331 chapter is an enormous achievement in its own right and is documented in detail here [25, 26, 27].

332 The LHC is a circular machine capable of accelerating beams of protons and colliding them at
333 center of mass energies up to $\sqrt{s} = 14\text{TeV}$ at 4 collision sites around the ring, where 4 experiments are
334 housed (ATLAS[28], CMS[29], LHCb[30], and ALICE[31]). Figure 3.1 is a diagram of the layout of the
335 LHC and its experiments[32]. The LHC also operates in modes with beams of heavy ions. The LHC
336 is composed of thousands of super-conducting Niobium-Titanium magnets, cooled to 2.7° C with
337 liquid Helium, which steer and focus the particle beams, and a superconducting resonant-frequency
338 (RF) cavity, which boosts the beam to higher energies.

339 3.1.1 The Accelerator Complex

340 The accelerator complex is a progressive series of machines with the LHC as the final stage. Protons are
341 obtained from hydrogen atoms and are accelerated to 50 MeV using the Linac2, before being injected
342 into the Proton-Synchrotron Booster (PSB). In the PSB the protons are accelerated to energies of 1.4

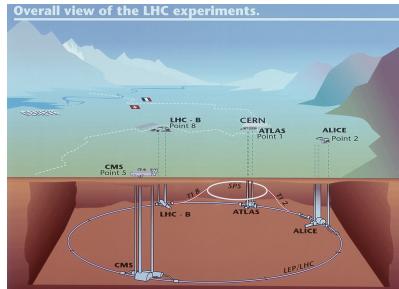


Figure 3.1: Diagram of the Large Hadron collider and location of the 4 main experiments (ATLAS, CMS, LHCb, and ALICE). Around the ring. The diagram also shows the location of the SPS, the final booster ring the accelerator complex that accelerates the protons to 450 GeV before injection into the LHC.

343 GeV for injection in to the Proton-Synchrotron (PS). The PS accelerates the protons to 25 GeV and
 344 dumps bunches into the Super Proton Synchrotron (SPS), where they are accelerated to 450 GeV
 345 and finally dumped into the LHC.

346 3.1.2 Beam Parameters and Collisions

347 For the physics studied at the ATLAS experiment, the two most important parameters of the collisions
 348 provided by the LHC are the center of mass energy and instantaneous luminosity. High center of mass
 349 energies are necessary for the production of new high mass particles, and because the constituents of
 350 the actual collisions are the partons of the proton, the CME of the collisions must in general be much
 351 higher than the mass of the particles needed to be produced. The

352 The instantaneous luminosity of the collisions, \mathcal{L} , is a measure of the collision rate. The integrated
 353 luminosity over time is a measure of the size of the dataset and when multiplied by the cross-section of a
 354 particular process gives the total number of expected events produced for that process. Instantaneous
 355 luminosity depends on the number of colliding bunches of protons, the intensity of those bunches, the
 356 revolution frequency, and the nomralized transverse spread of the beam in momentum and position
 357 phase space, called the emmitance, and the transverse beam size. The LHC has the option for colliding
 358 beams with 2808 bunches of protons, each with around 10^{11} protons, at a rate of one bunch collision
 359 every 25 ns, or 40 MHz. These correspond to a design luminosity of around $10^{34} \text{ cm}^2 \text{ s}^{-1}$ or 10 nb^{-1}

360 s^{-1}

361

CHAPTER 4

362

Electrons

363 **4.1 Electrons at Hadron Colliders**

364 **4.2 Reconstruction of Electron at ATLAS**

365 **4.3 Identification of Electrons at ATLAS**

366 **4.3.1 Pile-up**

367 **4.3.2 Trigger vs. Offline**

368 **4.3.3 2011 Menu**

369 **4.3.4 2012 Menu**

370 **4.3.5 Electron Likelihood**

371 **4.4 Measurement of Electron Efficiency at ATLAS**

372 **4.4.1 Techniques**

373 **4.4.2 Issues**

CHAPTER 5

Search for the TTH Decay in the Multilepton Channel

377 This chapter provides an overview of the set of analyses searching for the Standard Model (SM)
 378 production of the Higgs boson in association with top quarks in multi-lepton final states with multiple
 379 jets (including b-quark tagged jets). Searches in $t\bar{t}H$ final states with 2 same-charge, 3 and 4 light
 380 leptons (e, μ) are discussed in depth. These final states target specifically Higgs decays to vector
 381 bosons, $H \rightarrow W^\pm W^\pm$ and $H \rightarrow Z^\pm Z^\pm$ and form a complement to searches for $t\bar{t}H$ production in
 382 final states targeting the $H \rightarrow b\bar{b}$ [33], $H \rightarrow \gamma\gamma$ [34], and $H \rightarrow \tau\tau$ decay modes.

383 Based on SM production cross-sections, observation lies just outside the sensitivity of the Run I
 384 dataset, even when combining all searches. The analyses provide an opportunity to constrain for the
 385 first time the $t\bar{t}H$ production mode with limits reasonably close to the actual production rate. As
 386 such the analysis is optimized to overall sensitivity to the $t\bar{t}H$ production rather than individual decay
 387 modes, which would be more useful for constraining Higgs couplings.

388 Detailed description of the event and objection section are provided in Chapter 7, background
 389 modelling in Chapter 8, the effect of systematic errors and the statistical analysis in Chapter ?? and
 390 final results in Chapter ??.

391 **5.1 Signal Characteristics**

392 $t\bar{t}H$ can be observed in a number of different final states related to the Higgs boson and the top
 393 quark decay modes.

394 Three Higgs boson decays are relevant for this analysis: W^+W^- , $\tau^+\tau^-$ and ZZ . The top and
 395 anti-top quarks decay in $W^\pm b$. Each W^\pm boson decays either leptonically ($l=e^\pm, \mu^\pm, \tau^\pm$) with missing

396 energy or hadronically. Table 5.1 provides the fractional contribution of the main Higgs decay modes
 397 at the generator level to $t\bar{t}H$ search channels. These numbers will be modified by lepton acceptances.

Table 5.1: Contributions of the main Higgs decay modes to the 3 multilepton $t\bar{t}H$ signatures at generation level.

Signature	$H \rightarrow WW$	$H \rightarrow \tau\tau$	$H \rightarrow ZZ$
Same-sign	100%	–	–
3 leptons	71%	20%	9%
4 leptons	53%	30%	17%

398 All modes are generally dominated by the WW signature, though the 3l and 4l channels possess
 399 some contribution from the $\tau\tau$ and ZZ decays.

400 The signal is expected to be characterized by the presence of 2 b-quark jets from the top quark
 401 decays, leptons from vector boson and tau decays, a high jet multiplicity, and missing energy. In
 402 general, the number of leptons is anti-correlated with the number of jets, since a vector boson can
 403 either decay leptonically or hadronically. For $H \rightarrow W^+W^-$, the light quark multiplicity, N_q , and the
 404 number of leptons, N_l , follow this relation: $2N_l + N_q + N_b = 10$.

- 405 • In the same-sign channel, the $t\bar{t}H$ final state contains 6 quarks. These events are then charac-
 406 terised by a large jet multiplicity.
- 407 • In the 3 lepton channel, the $t\bar{t}H$ final state contains 4 quarks from the hard scatter.
- 408 • In the 4 lepton channel, the $t\bar{t}H$ final state contains a small number of light quarks, 0 ($H \rightarrow$
 409 W^+W^- case), 2 or 4 ($H \rightarrow ZZ$ case).

410 5.2 Background Overview

411 Background processes can be sorted into two categories:

- 412 • Events with a non prompt or a fake lepton selected as prompt lepton. These processes cannot
 413 lead to a final state compatible with the signal signature without a misreconstructed object. This
 414 category includes events with a prompt lepton but with misreconstructed charge⁵ and events

⁵Charge mis-identification is almost exclusively a phenomenon of electrons at our energy scales. While it is possible for both electrons and muons to have an extremely straight track, whose direction of curvature is difficult to measure, this happens only at extremely high momentum. Electrons on the other hand may interact with the detector material, resulting in bremsstrahlung. The bremsstrahlung photon may subsequently convert resulting in 2 additional tracks near the original electron. This process, called a trident process, may cause a mismatching of the electron cluster with the original electron track and thus a charge-mis identification and happens also at low energies

415 with jets that "fake" leptons. These processes are rejected with tight object isolation and
416 identification criteria, requiring a large jet multiplicity, and veto-ing events consistent with a
417 leptonically decaying Z boson.

418 The main backgrounds of this sort are: $t\bar{t}$ and $Z+jets$. Data-driven techniques are used to
419 control some of these processes. Their importance varies depending on the channel.

- 420 • Events which can lead to the same final state as the signal (irreducible backgrounds). The
421 main background of this category are: $t\bar{t}V$, $W^\pm Z$, and ZZ . They are modeled using the
422 Monte Carlo simulations. In general, these backgrounds are combatted with jet and b-tagged
423 jet requirements. Although the jet multiplicity of $t\bar{t}V$ is high, the multiplicity of $t\bar{t}H$ events is
424 still higher.

425 **5.3 Analysis Strategy**

426 The analysis search is conducted in 3 channels, based on counting of fully identified leptons: 2 SS
427 leptons, 3 leptons, and 4 leptons. The lepton counting occurs before additional object cuts are made in
428 each individual channel to ensure orthogonality. The division into lepton channels rather than channels
429 targeting specific decay modes allows channels with different sensitivities to be considered separately. We
430 further divide the 2l SS into sub channels based on the number of jets and flavor of the leptons and
431 the 4l channel into subchannels enriched and depleted in OS leptons arising from Z decays.

432 The channels are fed into a posson model

433

CHAPTER 6

434

Dataset and Simulation

435 **6.1 Data**

436 **6.1.1 The 2012 Dataset**

437 The LHC successfully produced datasets for physics studies in 2010, 2011 and 2012. The 2012 proton-
438 proton dataset was delivered with collisions with a CME of 8 TeV with bunch collisions every 50 ns and
439 reached a total integrated luminosity of around 20 fb^{-1} [35]. Figure 6.1 shows the accumulation of this
440 dataset over time. Despite doubling the bunch spacing (thereby halving the bunch collision frequency),
441 the lumonisty neared the design lumonisty due to unexpected improvements in the transverse beam
442 profile[36]. This increased the amout of pile-up, or number of collisions per bunch crossing and in
443 general collision events were busier due to these multiple interactions. Figure 6.2 shows the average
444 number of interaction per bunch crossing for the 2011 and 2012 datasets. The 2012 dataset shows an
445 average of 20-25 interactions.

446 The $t\bar{t}H$ analysis uses the entire 2012 ATLAS dataset, collected from April to December. The size
447 of the dataset corresponds to 20.3 fb^{-1} , after passing data quality requirements, ensuring the proper
448 operation of the tracking, calorimeter and muon subsystems.

449 The datasets used in the analysis were collected with the primary electron (EF_e24vhi_medium1
450 — EF_e60_medium1) and muon triggers (EF_24i.tight — EF_36.tight). The electron triggers
451 require a electron with at least 25 GeV of calorimeter energy, passing the medium identification
452 requirement and loose tracking isolation. Above 60GeV, the isolation requirement is dropped and the
453 identification is loosened slightly. Similarly, the muon trigger requires a good inner detector track and
454 matching hits in the muon spectrometer, as well as loose tracking isolation, which also is dropped
455 about 36 GeVThe data sample must contain either a primary muon or primary electron trigger.

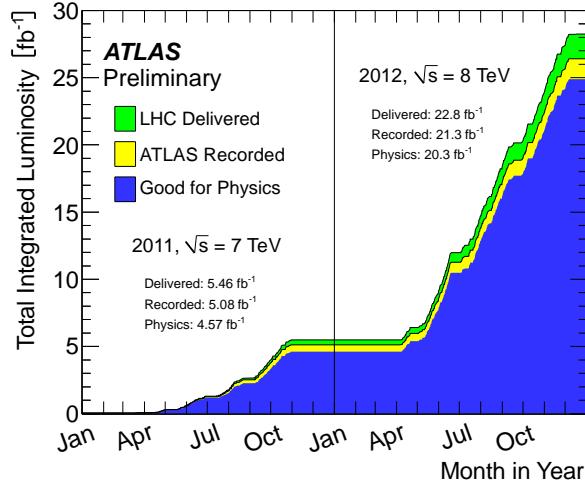


Figure 6.1: Plot showing the accumulation of the integrated luminosity delivered to the ATLAS experiment over 2011 and 2012. The rough size of the usable, physics ready dataset for 2012 is 20 fb^{-1} and is the dataset used for the following analysis.

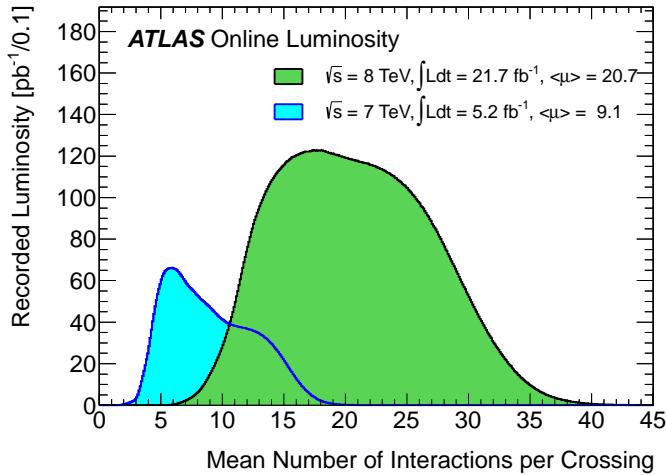


Figure 6.2: The average number of interactions per bunch-crossing for the 2012 and 2011 LHC proton-proton dataset. Most of these interactions are uninteresting but leave energetic signatures in particle detectors called pile-up which interfere with measurements

456 6.2 Simulation

457 Simulation samples based on are used to determine the overall event selection acceptance and efficiency
 458 and for investigations not directly involved in the final result. The simulated samples are created using
 459 parton distribution function (PDF) and model using Monte Carlo (MC) techniques the hard parton
 460 scatter, underlying event activity and parton showering and hadronization. The samples are then

Table 6.1: Monte Carlo samples used for signal description.

Process	Generator	Cross-section [fb]	\mathcal{L} [fb $^{-1}$]	Detector simulation
$t\bar{t}H \rightarrow \text{allhad} + H$	PowHel+Pythia8	59.09	2146.5	Full
$t\bar{t}H \rightarrow \text{ljets} + H$	PowHel+Pythia8	56.63	2238.9	Full
$t\bar{t}H \rightarrow ll + H$	PowHel+Pythia8	13.58	9332.0	Full

461 passed through a full ATLAS detector simulation[37] based on GEANT4 [38]. Small corrections are
462 then applied to the overall efficiencies to re-scale object identification efficiencies, energy scales, and
463 the pile-up, discussed in depth later.

464 6.2.1 Signal Simulation

465 The signal Monte Carlo samples are described in Table 6.1. These large samples are generated with
466 inclusive Higgs boson decays, with branching fractions set to the LHC Higgs Cross Section Working
467 Group (Yellow Report) recommendation for $m_H = 125$ GeV [39]. The matrix element calculation is
468 performed at next-to-leading order (NLO); we use $t\bar{t}H$ Les Houches event format files provided by the
469 authors of the PowHel software [40], decayed and showered with Pythia8[41]. The CT10[42] parton
470 distribution function is used for matrix element generation. The inclusive cross section (129.3 fb at
471 $m_H = 125$ GeV) is also obtained from the Yellow Report [39].

472 6.2.2 Background Simulation

473 The background simulations used for this analysis are listed in Table 6.2. In general, the Alpgen[43],
474 MadGraph[44], and AcerMC[45] samples use the CTEQ6L1[46] parton distribution function, while
475 the Powheg[47], Sherpa[48], are generated with the CT10 PDF. The exception is the MadGraph $t\bar{t}t\bar{t}$
476 sample, which is generated with the MSTW2008 PDF[49]. The highest order calculations available
477 are used for cross sections.

Table 6.2: Monte Carlo samples used for background description. Unless otherwise specified MadGraph samples use Pythia 6 for showering and Alpgen samples use Herwig+Jimmy.

Process	Generator	Detector simulation
$t\bar{t}W^\pm, t\bar{t}Z$	MadGraph	Full
tZ	MadGraph	AF2
$t\bar{t}t\bar{t}$	MadGraph	Full
$t\bar{t}W^\pm W^\pm$	Madgraph+Pythia8	AF2
$t\bar{t}$	Powheg+Pythia6	Full/AF2
single top tchan	AcerMC+Pythia6	Full
single top schan $\rightarrow l$	Powheg+Pythia6	Full
single top $W^\pm t$	Powheg+Pythia6	Full
$W\gamma^*$	MadGraph	Full
$W\gamma + 4p_T$	Alpgen	Full
W^+W^-	Sherpa	Full
$W^\pm Z$	Sherpa	Full
Same-sign WW	Madgraph+Pythia8	AF2
$ZZ \rightarrow$	Powheg+Pythia8,gg2ZZ+Herwig	Full
$Z\gamma^*$	Sherpa	Full
Z+jets	Sherpa	Full
ggF_H(125)	Powheg+Pythia8	Full

478

CHAPTER 7

479

Object and Event Selection

480 As stated in Chapter 5, the analysis is divided into 3 signal regions based on lepton counting: 2
481 same-charge leptons, 3 leptons and 4 leptons. The lepton counting occurs for fully identified leptons
482 with full overlap removal with transverse momentum over 10 GeV to ensure orthogonality. Lepton
483 selections are tightened afterward within each region.

484 The cuts for each signal region are provided in Table 7.1 and the object selections are detailed in
485 the following selections. The selections are based on optimizations of the region sensitivity performed
486 using MC (event for data driven backgrounds) and adhoc values for normalization systematic errors.
487 All signal regions are comprised of three basic requirements: the presence of b-tagged jets, the presence
488 of additional light jets, and a veto of same flavor opposite sign leptons with an invariant mass within
489 the Z window. Additional requirements on the invariant mass of the leptons, the missing transverse
490 energy in the event, and the total object energy (H_T) proved to have negligible additional benefit at
491 our level of statistics.

492 7.1 2l Same-Charge Signal Region

493 The 2 lepton same-charge signal region (2l SS) requires two leptons similar charge. The signal is
494 symmetric in charge but the background from $t\bar{t}$ di-lepton production is overwhelming, necessitating
495 the same-sign cut. Requiring only two leptons allows the extra 2 W bosons in the event to decay
496 hadronically, resulting in on average 4 additional light jets plus 2 additional b-quark jets from the top
497 decays.

498 A leading lepton with transverse momentum of at least 25 GeV/ c that matches to a trigger and a
499 subleading lepton of at least 20 GeV/ c , a b-tagged jet, and at least 4 jets in total are required.

500 In order to suppress non-prompt backgrounds, the lepton isolation criteria for tracking and

Table 7.1: Selections in the 2l SS, 3l and 4l Signal Regions

Signal Region	2l SS	3l	4l
Trigger Matched Lepton	Yes	Yes	Yes
N_l^6	=2	=3	=4
Lepton Charge Sum	+2 or -2	+1 or -1	0
Lepton Momentum (GeV/c^7)	$p_{T0} > 25$ $p_{T1} > 20$	$p_{T0} > 10$ $p_{T1,2} > 25, 20$	$p_{T0} > 25$ $p_{T1} > 20$ $p_{T2,3} > 10$
Jet Counting	$N_b \geq 1, N_{Jet} = 4$	$N_b \geq 1, N_{Jet} \geq 4$ or $N_b \geq 2, N_{Jet} = 3$	$N_b \geq 1, N_{Jet} \geq 2$
Mass Variables (GeV/c^2)	$ M_{ee} - M_Z < 10$	$ M_{SFOS} - M_Z < 10$	$M_{SFOS} > 10$ $150 < M_{4l} < 500$ $ M_{SFOS} - M_Z < 10$
Sub-channels	$2 (N_{Jet} = 4, N_{Jet} \geq 5)$ x 3 (ee, e μ , $\mu\mu$)	none	2 (No SFOS leps, SFOS leps)

501 calorimeter are tightened from less than 10% of the lepton momentum to 5%. To suppress charge mis-
 502 indentification, the electron is required to be extremely central ($|\eta| < 1.37$) to avoid the material-rich
 503 regions of the detector. Additionally, ee events with a lepton pair invariant mass within 10 GeV/c^2 of
 504 the Z pole are removed.

505 In order to maintain orthogonality with the τ analyses, events with fully identified taus are vetoed.
 506 For the statistical combination the channel is divided into 6 sub-channels: 2 jets counting bins
 507 ($N_{Jet} = 4, N_{Jet} \geq 5$) x 3 lepton flavor bins (ee, $\mu\mu$, e μ). The splitting allows

508 7.2 3l Signal Region

509 The 3 lepton channel requires 3 leptons, whose summed charge is either -1 or $+1$. The leptons are
 510 ordered in this way:

- 511 • lep0: the lepton that is opposite in charge to the other two leptons
- 512 • lep1: the lepton that is closer in ΔR to lep0
- 513 • lep2: the lepton that is farther in ΔR from lep1

514 Since events with a "fake" lepton arise from di-lepton processes, $t\bar{t}$ and Z+jets, where additional
 515 jets are mis-identified as the third lepton, lep0 is never the fake lepton. As a result, the transverse
 516 momentum requirement of lep0 is lower than the other two, $> 25 \text{ GeV}/c$. For the additional two
 517 leptons, one must must match a trigger and have $p_T > 25 \text{ GeV}/c$ and the other must have $p_T > 10$
 518 GeV/c .

519 The 3l channel further requires at least one b-tagged jets and at least 4 jets in total, or two b-
 520 tagged jets and exactly 3 jets in total. Additionally, to suppress $W^\pm Z$ and Z+jet events, events with
 521 same-flavor opposite sign pairs within $10 \text{ GeV}/c^2$ of the Z pole are vetoed.

522 Additional cuts, including an M_{ll} cut, and splittings were investigated but low statistics proved
 523 to wash out any advantages.

524 7.3 4l Signal Region

525 In the four lepton signal region, selected events must have exactly four leptons with a total charge
 526 of zero. At least one leptons with must be matched to one of the applied single lepton trigger. The
 527 leading and sub-leading leptons are required to have a p_{T} of 25 and 15 GeV respectively. In order to
 528 suppress background contributions from low-mass resonances and Drell-Yan radiation, all opposite-
 529 sign-same-flavour (OS-SF) lepton pairs are required to have a dilepton invariant mass of at least 10
 530 GeV.

531 The four-lepton invariant mass is required to be between 100 and 500 GeV. This choice of mass
 532 window suppresses background from the on-shell $Z \rightarrow 4\ell$ peak and exploits the high-mass differences
 533 between the signal and the dominant $t\bar{t}Z$ background. Events containing an OS-SF lepton pair
 534 within 10 GeV of the Z boson mass are discarded. This Z-veto procedure greatly reduces background
 535 contributions from ZZ production as well as $t\bar{t}Z$ and while it also affects the signal by vetoing
 536 $H \rightarrow ZZ^*$, $Z \rightarrow \ell^+\ell^-$, these events constitute a small amount of the total expected signal. Finally,
 537 selected events are required to have at least two jets, at least one of which must be tagged as a b-quark
 538 initiated jet.

539 The contribution from $t\bar{t}Z$ comprises approximately 75% of the total background in the inclusive
 540 signal region. A signal region categorization which factorizes $t\bar{t}Z$ from the remaining backgrounds is
 541 thus beneficial. The signal region is accordingly divided into two categories based on the presence of
 542 OS-SF lepton pairs in the final state.

543 7.4 Electron Selection

544 The electrons are reconstructed by a standard algorithm of the experiment [50] and the electron
 545 cluster is required to be fiducial to the barrel or endcap calorimeters: $|\eta_{\text{cluster}}| < 2.47$. Electrons in
 546 the transition region, $1.37 < |\eta_{\text{cluster}}| < 1.52$, are vetoed. Electron reconstruction and identification
 547 is discussed in depth in Chapter 4. Electrons must pass the the VERYTIGHT likelihood identification
 548 criteria.

549 In order to reject jets (b-quark jets in particular) misidentified as electrons, electron candidate
 550 must also be well isolated from additional tracks and calorimeter energy around the electron cluster.
 551 Both the tracking and calorimeter energy within $\Delta R = 0.2$ of the electron cluster must be less
 552 than 5% of the electron transverse momentum: $ptcone20/P_t < 0.05$ and $Etcone20/E_T < 0.05$. All
 553 quality tracks with momentum greater than 400 MeV contribute to the isolation energy. Calorimeter
 554 isolation energy is calculated using topological clusters with corrections for energy leaked from the
 555 electron cluster. Pile-up and underlying event corrections are applied using a median ambient energy
 556 density correction.

557 The electron track must also match the primary vertex. The longitudinal projection of the track
 558 along the beam line, $z0 \sin \theta$, must be less than 1 cm) and the transverse projection divided by the
 559 parameter error, $d0$ significance, must be less than 4. These cuts are used in particular to suppress
 560 backgrounds from conversions, heavy-flavor jets and electron charge-misidentifications.

561 The electron selection is provided in Table 7.2.

562 7.5 Muon Selection

563 Muons used in the analysis are formed by matching reconstructed inner detector tracks with either
 564 a complete track or a track-segment reconstructed in the muon spectrometer (MS). The muons must
 565 satisfy $|\eta| < 2.5$. The muon track are required to be a good quality combined fit of inner detector
 566 hits and muon spectrometer segments, unless the muon is not fiducial to the inner detector, $|\eta| > 2.4$.
 567 Muons with inner detector tracks are further required to pass standard inner detector track hit
 568 requirements [51].

569 As with electrons, muons are required to be isolated from additional tracking or calorimeter energy:
 570 $ptcone20/P_t < 0.1$, $Etcone20/E_T < 0.1$) A cell-based $Etcone20/P_T$ relative isolation variable is used.
 571 A pile-up energy subtraction based on the number of reconstructed vertices in the event is applied.
 572 The subtraction is derived from a Z boson control sample.

573 The muons must also originate from the primary vertex and have impact parameter requirements,
 574 $d0$ significance < 3 , and $z0 \sin \theta < 0.1$ cm, similar to the electrons.

575 The muon selection is provided in Table 7.2.

576 7.6 Jet and b-Tagged Jet Selection

577 Jets are reconstructed in the calorimeter using the anti- k_t [52] algorithm with a distance parameter
 578 of 0.4 using locally calibrated topologically clusters as input (LC Jets).

579 Jets must pass loose quality requirement, ensuring the proper functioning of the calorimeter at the
580 time of data taking. Jets near a hot Tile cell in data periods B1/B2 are rejected. The local hadronic
581 calibration is used for the jet energy scale, and ambient energy corrections are applied to account for
582 energy due to pileup.

583 p_T and η cuts are tuned based on the sensitivity to $t\bar{t}H$.

584 For jets within $|\eta| < 2.4$ and $p_T < 50$ GeV, are required to be associated with the primary vertex,
585 the “jet vertex fraction” (or JVF), which is the fraction of track p_T associated with the jet that comes
586 from the primary vertex, must exceed 0.5 (or there must be no track associated to the jet).

587 B-jets are tagged using a Multi-Variate Analysis (MVA) method called MV1 and relying on infor-
588 mation of the impact parameter and the reconstruction of the displaced vertex of the hadron decay
589 inside the jet. The output of the tagger is required to be above 0.8119 which corresponds to a 70%
590 efficient Working Point (WP).

591 **7.7 Tau Selection**

592 The tau selection is important only in the 2l SS channel, due the tau veto to ensure orthogonality
593 with analyses searching for tau final states for a future combination.

594 **7.8 Object Summary and Overlap**

595 **7.9 Optimization**

Parameter	Values	Remarks
Electrons		
p_T	$> 10 \text{ GeV}$	
$ \eta $	< 2.47 veto crack	
ID	Very Tight Likelihood	< 1.37 for 2l SS channel
Isolation	$E_{\text{T}}\text{Cone}20/p_T, p_{\text{T}}\text{Cone}20/p_T < 0.05$	
Jet overlap removal	$\Delta R > 0.3$	
$ d_0^{\text{sig}} $	$< 4\sigma$	
$z_0 \sin\theta$	$< 1 \text{ cm}$	
Muons		
p_T	$> 10 \text{ GeV}$	
$ \eta $	< 2.5	
ID	Tight	
Jet overlap removal	$\Delta R > 0.04 + 10 \text{ GeV}/p_T$	
Isolation	$E_{\text{T}}\text{Cone}20/p_T, p_{\text{T}}\text{Cone}20/p_T < 0.1$	< 0.05 for 2 leptons
$ d_0^{\text{sig}} $	$< 3\sigma$	
z_0	$< 1 \text{ cm}$	
Taus		
p_T	$> 25 \text{ GeV}$	
ID	Medium BDT	
Isolation		
Jet overlap removal	$\Delta R > 0.3$	
e/μ vetoes	Medium electron veto	
Jets		
p_T	$> 25 \text{ GeV}$	
$ \eta $	< 2.5	
JVF	$\text{JVF} > 0.5$ or no associated track or $p_T > 50 \text{ GeV}$	
b-Tag	MV1 70% operating point	

Table 7.2: Object identification and selection used to define the 5 channels of the multilepton $t\bar{t}H$ analysis. Some channels use a sub-sample of objects as precised in the *Remarks* column.

CHAPTER 8

Background Estimation

598 The $t\bar{t}H$ multi-lepton signal regions discussed in Chapter 5 are contaminated by background contributions at a similar order of magnitude to the signal. The dominant background for each region is
 599 vector boson production in association with top quarks ($t\bar{t}V$). Sub-dominant but important back-
 600 grounds include the production of vector boson pairs in association with jets and b-quark jets (VV)
 601 and $t\bar{t}$ production with a jet misidentified as a lepton (fakes). The 2l SS regions possesses a unique
 602 background of charge misidentification from Z and top events. The methods for estimating these
 603 backgrounds are discussed in this chapter. Monte Carlo simulation is used for the prompt $t\bar{t}V$ and
 604 VV contributions. Systematic uncertainties on the overall normalization of these backgrounds in the
 605 signal region are provided from theoretical studies and past ATLAS analyses and are verified in
 606 data-based validation regions. The non-prompt backgrounds from $t\bar{t}$ jet-misidentification and charge-
 607 misidentification are estimated using data-driven methods.

608 For reference, Table 8.1 provides a summary of the $t\bar{t}H$ signal and background expectation for
 609 each of the signal regions, including the data-driven estimates discussed in this section. For each
 610 region, the background contribution exceeds the size of the signal.

612 **8.1 Vector Boson (W^\pm, Z) production in association with top quarks:**

613 $t\bar{t}V, tZ$

614 This section describes the estimation and $t\bar{t}V$ productions. Production of top quarks plus vector
 615 boson is an important background in all multilepton channels. A large part of the $t\bar{t}V$ component,
 616 arising from on-shell $Z \rightarrow \ell\ell$, can be removed via a Z mass veto on like-flavour, opposite sign leptons.
 617 However the $Z \rightarrow \tau\tau$ and γ^* components remain. The $t\bar{t}W^\pm$ and tZ processes generally require extra
 618 jets to reach the multiplicity of our signal regions. Uncertainties from the choice of the factorization

Table 8.1: Expected number of signal and background events in 2l SS, 3l and 4l signal regions. For data-driven backgrounds, monte-carlo only numbers are given for reference. The expected sensitivity $\frac{s}{\sqrt{s+b}}$ is provided for data-driven, mc only and for the inclusion of ad-hoc systematic uncertainties (20% for $t\bar{t}V$ and 30% for $t\bar{t}\text{fake}$).

	Same-sign				4 leptons				
	≥ 5 jets		4 jets		3 leptons		Z enriched		
	$e^\pm e^\pm$	$e^\pm \mu^\pm$	$\mu^\pm \mu^\pm$	$e^\pm e^\pm$	$e^\pm \mu^\pm$	$\mu^\pm \mu^\pm$	$e^\pm e^\pm$	Z depleted	
tH	0.73 \pm 0.03	2.13 \pm 0.05	1.41 \pm 0.04	0.44 \pm 0.02	1.16 \pm 0.03	0.74 \pm 0.03	2.34 \pm 0.04	0.19 \pm 0.01	
$t\bar{t}V$	2.60 \pm 0.13	7.42 \pm 0.17	5.01 \pm 0.16	3.05 \pm 0.13	8.39 \pm 0.24	5.79 \pm 0.20	7.21 \pm 0.24	0.74 \pm 0.05	
tZ							0.71 \pm 0.03	incl. in $t\bar{t}V$	
VV	0.48 \pm 0.25	0.37 \pm 0.23	0.68 \pm 0.30	0.77 \pm 0.27	1.93 \pm 0.80	0.54 \pm 0.30	0.89 \pm 0.25	0.08 \pm 0.01	
t^{\pm}, tX (MC)	1.31 \pm 0.67	2.55 \pm 0.84	1.76 \pm 0.67	4.99 \pm 1.19	8.19 \pm 1.41	3.70 \pm 1.03	2.46 \pm 0.19	0.00 \pm 0.00	
$Z + \text{jets}$ (MC)	0.16 \pm 0.16	0.28 \pm 0.20	0.12 \pm 0.12	1.37 \pm 0.78	0	0.23 \pm 0.23	0	0.00 \pm 0.00	
fake leptons (DD)	2.31 \pm 0.97	3.87 \pm 1.01	1.24 \pm 0.41	3.43 \pm 1.38	6.82 \pm 1.63	2.38 \pm 0.78	2.62 \pm 0.51	$(1.1 \pm 0.6) \cdot 10^{-3}$	
Q misid (DD)	1.10 \pm 0.09	0.85 \pm 0.08	—	1.82 \pm 0.11	1.39 \pm 0.08	—	—	$(0.09 \pm 0.03) \cdot 10^{-3}$	
Tot Background (fake MC)	4.56 \pm 1.17	10.62 \pm 1.54	7.57 \pm 1.31	10.18 \pm 2.43	18.51 \pm 2.54	10.26 \pm 1.82	11.27 \pm 0.40	0.83 \pm 0.07	
Tot Background (fake DD)	6.49 \pm 1.04	12.51 \pm 1.04	6.93 \pm 0.52	9.07 \pm 1.42	18.53 \pm 1.83	8.71 \pm 0.88	11.43 \pm 0.62	0.831 \pm 0.075	
s/\sqrt{b} (fake MC)	0.34	0.65	0.51	0.14	0.27	0.23	0.70	0.21	
s/\sqrt{b} (fake DD)	0.29	0.60	0.54	0.15	0.27	0.25	0.69	0.21	
$s/\sqrt{b} \oplus 0.3\text{fake}(MC) \oplus 0.2\text{t}tV$	0.33	0.58	0.47	0.12	0.22	0.21	0.63	0.207	
$s/\sqrt{b} \oplus 0.3\text{fake}(DD) \oplus 0.2\text{t}tV$	0.27	0.53	0.50	0.14	0.23	0.23	0.62	0.207	

Table 8.2: NLO cross section and theoretical uncertainty calculations derived from MadGraph5_aMC@NLO.

Process	$\sigma_{NLO} [fb]$	Scale Uncertainty [%]		PDF Uncertainty [%]		Total symmetrised uncertainty [%]
$t\bar{t}W^+$	144.9	+10	-11	+7.7	-8.7	13.3
$t\bar{t}W^-$	61.4	+11	-12	+6.3	-8.4	13.6
$t\bar{t}Z$	206.7	+9	-13	+8.0	-9.2	14.0
tZ	160.0	+4	-4	+7	-7	8.0
tZ	76.0	+5	-4	+7	-7	8.6

(μ_F) and renormalisation μ_R scales as well as from the PDF sets are considered evaluating their impacts on both the production cross sections and on the event selection efficiencies (particularly resulting from effects on the shape of number of jets spectrum).

Monte Carlo events for these processes are generated with MadGraph 5 and showered with Pythia. 6. $t\bar{t}W^\pm$ events are generated with up to two extra partons at matrix element level, while for $t\bar{t}Z$ up to one extra parton at matrix-element level is produced. The tZ process is simulated without extra partons. The next-to-leading-order (NLO) cross sections are implemented by applying a uniform k -factor to the leading-order (LO) events for each process. For $t\bar{t}Z$, there is a large component of off-shell production, and for the 3 and 4 ℓ channels low mass $\gamma^*/Z \rightarrow \ell\ell$ is an important background after on-shell production is removed with a Z veto. In this case the k -factor is determined by comparing LO and NLO cross sections for on-shell Z production only.

The $t\bar{t}V$ uncertainties are calculated using the internal QDC scale and PDF reweighting that is available with MadGraph5_aMC@NLO. The prescription for the scale envelope is taken from [53]: the central value $\mu = \mu_R = \mu_F = m_t + m_V/2$ and the uncertainty envelope is $[\mu_0/2, 2\mu_0]$. The PDF uncertainty prescription used is the recipe from [54]: calculate the PDF uncertainty using the MSTW2008nlo [49] PDF for the central value and then the final PDF uncertainty envelope is derived from three PDF error sets each with different α_S values (the central value and the upper and lower 90% CL values). The final NLO cross section central values and uncertainties are given in Table 8.2.

The tZ process is normalized to NLO based on the calculation in Ref. [55]. Here the scales are set to $\mu_0 = m_t$ and the scale variations are by a factor of four; the scale dependence is found to be quite small.

640 8.1.1 $t\bar{t}Z$ Validation Region

641 Unlike $t\bar{t}W^\pm$, a $t\bar{t}Z$ validation region can be obtained by simply inverting the veto on same-flavor
 642 opposite sign lepton pairs near the Z pole in the 3 lepton signal region. This region thus requires 3
 643 leptons (with momentum and identification cuts discussed in Chapter 7, at least one opposite sign,
 644 same-flavor pair of leptons within $10 \text{ GeV}/c^2$ of the Z mass, and either 4 jets and at least 1 b-tagged
 645 jet or exactly 3 jet and 2 or more b-tagged jets. The resulting region has low statistics and is not
 646 used as a control region but is instead used as a validation to demonstrate that the normalization
 647 uncertainty, discussed above, is properly evaluated.

648 The region defined by this is predicted to be 67% $t\bar{t}Z$, 17% WZ , and 13% tZ . We predict
 649 19.3 ± 0.5 events and observe 28, giving a observed-to-predicted ratio of $1.45 \pm 0.27 \pm 0.03$ (where the
 650 errors are from data and simulation statistics, respectively). Given the large errors, the region is still
 651 in agreement with the predictions to within $1-1.5 \sigma$. Distributions of various variables are shown in
 652 Fig. 8.1.

653 8.2 Di-boson Background Estimation: $W^\pm Z, ZZ$

654 $W^\pm Z$ and ZZ di-boson production with additional and b-tagged jets constitute small contributions
 655 to the 3- and 4-lepton channels respectively. In the 3-lepton case $W^\pm Z$ comprises ~ 1 event of \sim
 656 10 total background events while the ZZ contribution accounts for approximately 10% of the total
 657 background in the 4-lepton channel. Because of the small size of these contributions, each of the
 658 above processes can be assigned a non-aggressive uncertainty based on similar previous analyses with
 659 ATLAS and cross-checked with data validation regions and MC truth studies. We assign an overall
 660 50% error on both the $W^\pm Z$ 3-lepton signal region contribution and the ZZ 4-lepton signal region
 661 contribution. The details of this error assignment are discussed below.

662 Both $W^\pm Z$ and ZZ production have been studied by ATLAS [56][57] but neither process has
 663 been investigated thoroughly in association with multiple jets and b-quark jets. However, both $W + b$
 664 [58] and $Z + b$ [59] production in 7 TeV data have been shown to agree with MC models to within
 665 20-30%. A single W produced in association with b-tagged jets possesses a similar topology to the
 666 $W^\pm Z + b$ process at a different energy scale and has been shown to be dominated by charm mis-tags
 667 and b-jets from gluon splitting and multiple parton interaction. The $W + b$ analysis unfortunately
 668 uses Alpgen MC with Herwig PS modeling and only provides results to 1 additional jet and therefore
 669 is not directly applicable to this $t\bar{t}H$ analysis (where $W^\pm Z$ is modeled using Sherpa with massive
 670 c and b quarks). $Z + b$ production originates from slightly different diagrams than $ZZ + b$ however

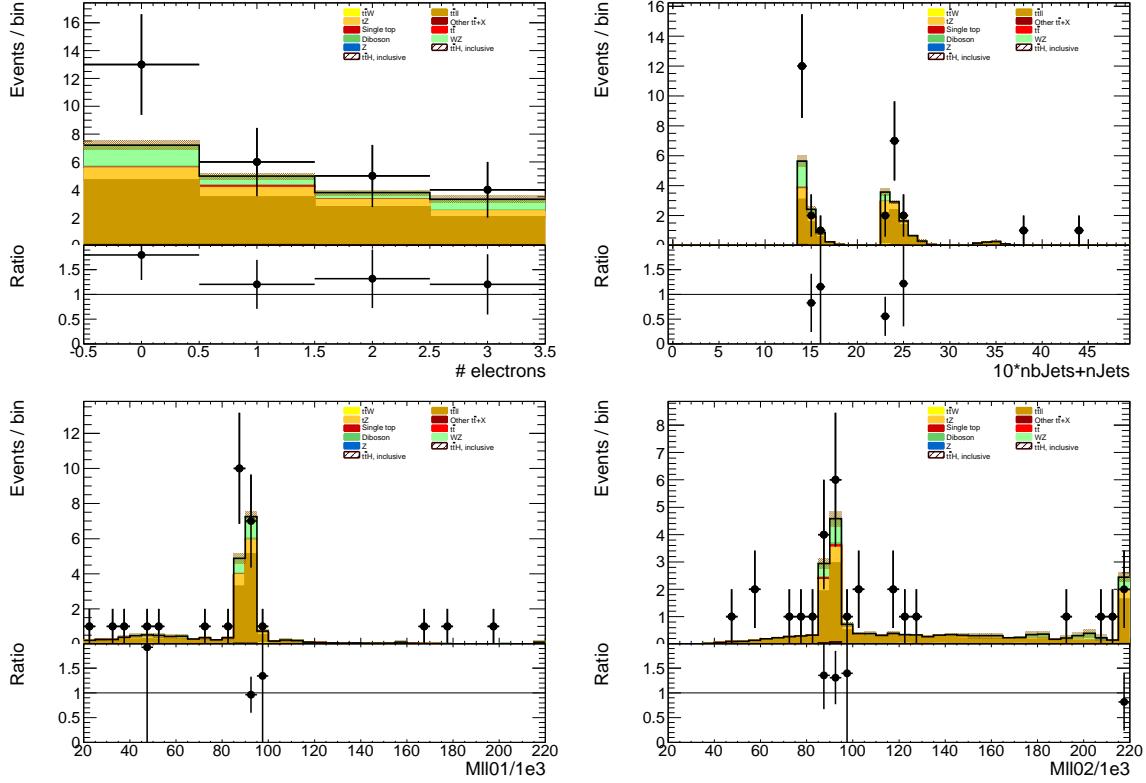


Figure 8.1: Data/MC comparison plots for $t\bar{t}Z$ control region A (≥ 4 jets, ≥ 1 b -tag and 3 jets, ≥ 2 b -tag). In all plots, the rightmost bin contains any overflows. Top left: number of electrons. Top right: 10^* the number of b -tags + the total number of jets. Middle left: the invariant mass of the (0,1) lepton pair (see the text for the definition of the lepton ordering). Middle right: the invariant mass of the (0,2) lepton pair.

671 the sources of the b -tags are similar and the analysis above provides results with Sherpa MC with an
 672 agreement of $\sim 30\%$.

673 In the following two sections the uncertainty assignments for each of these two di-boson processes
 674 will be reviewed in turn.

675 8.2.1 $W^\pm Z$ Uncertainty

676 The $t\bar{t}H$ analyses has two validation regions to test the Sherpa agreement with data for $W^\pm Z$: one
 677 inclusive 3 lepton region, using the three-lepton channel object and p_T cuts; and a $W^\pm Z + b$ region
 678 with 1 b -tagged jet, fewer than 4 jets (to remove $t\bar{t}V$), and a requirement that at least one same-flavor
 679 opposite sign pair have an invariant mass within $10 \text{ GeV}/c^2$ of the Z mass. Figure 8.2 shows kinematic

variables for the inclusive region ⁸. The NJet spectrum shows good agreement within statistics across the full spectrum, giving confidence about the Sherpa high NJet SR extrapolation. Figure 8.3 shows NJet spectrum for the $W^\pm Z + b$ validation region with good agreement in the 1 and 2 jet bins, but a slight data-MC discrepancy in the 3 jet bin. The region has low stats and around $\sim 60\%$ purity.

We assign a conservative 50% systematic error to cover MC modeling based on these distributions and the agreement seen in similar $W + b$ and $Z + b$ analyses and use the MC central value for the final $W^\pm Z$ in the SR.

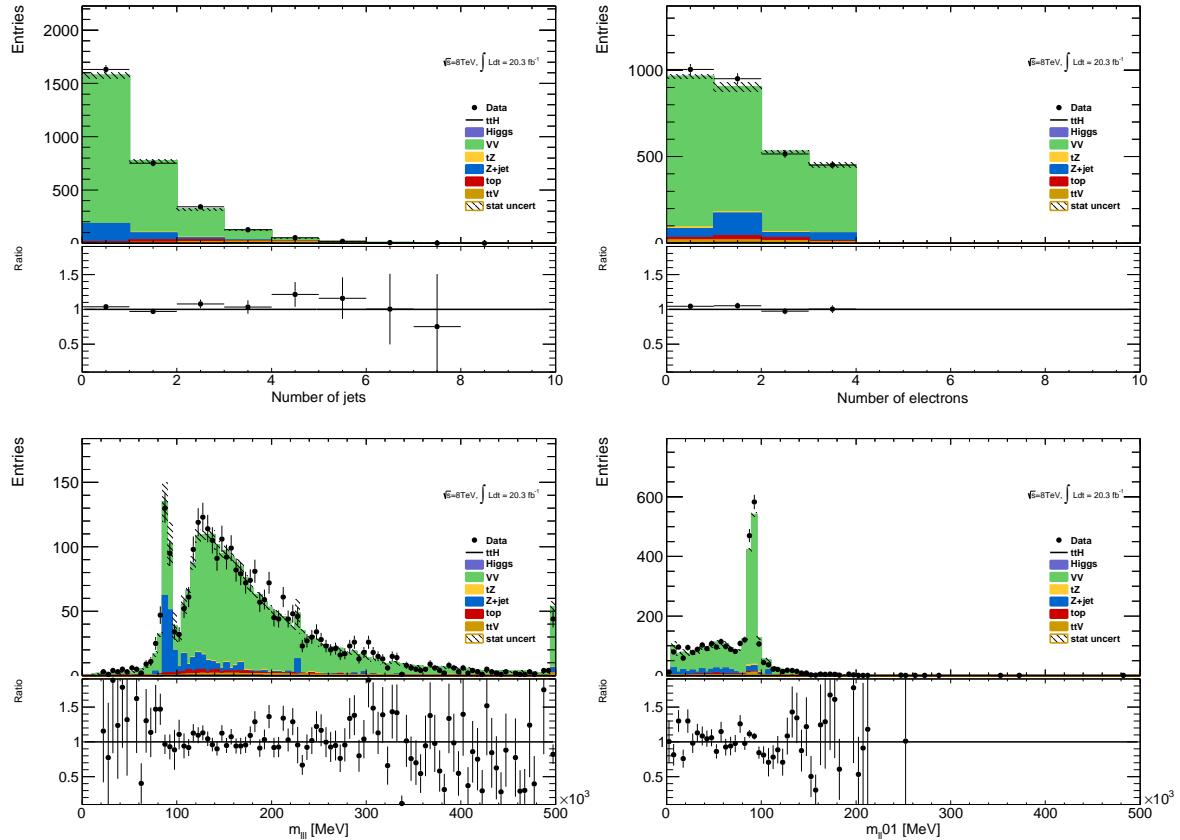


Figure 8.2: Inclusive 3 lepton $W^\pm Z$ validation region using the $t\bar{t}H$ lepton identification and momentum cuts: mass, number of jet and flavor variables

A cross-check is undertaken by examining the $W^\pm Z$ truth origins of the b-jet in the $W^\pm Z + b$ validation region (VR) and the signal region using the sherpa sample available. Table 8.3 shows these fractions. As expected the charm and b contributions dominate, though there is a small dependence on the number of jets. The composition of the VR is fairly similar to that of the signal region, especially

⁸the fakes are taken directly from MC

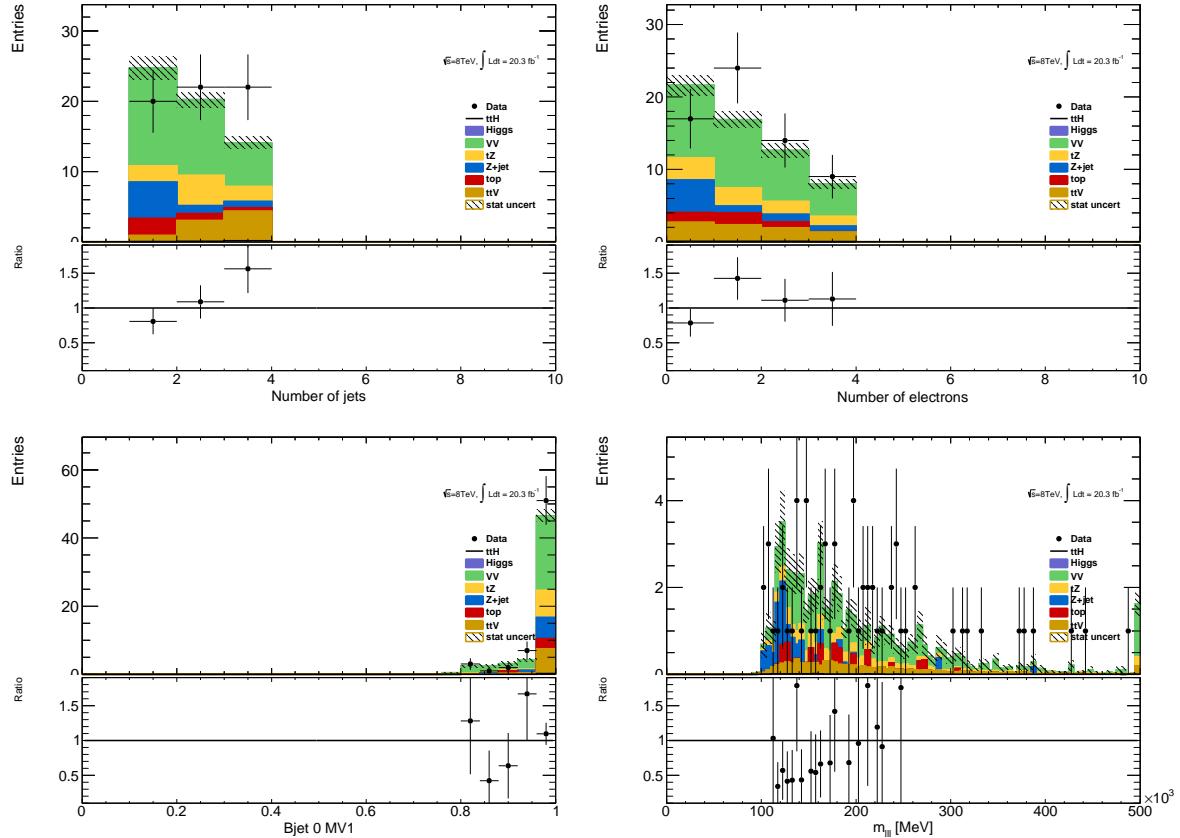


Figure 8.3: $W^\pm Z + b$ validation region: NJet, NElec, BJet MV1 and Mass Variables

in the 3-jet bin. Importantly, also the tagged jet composition is also similar to the composition in the $V + b$ analysis, already measured by ATLAS and discussed above.

	Bottom	Charm	Light
$W^\pm Z + b$ VR 1 Jet	0.25 ± 0.03	0.054 ± 0.04	0.20 ± 0.03
$W^\pm Z + b$ VR 2 Jet	0.34 ± 0.04	0.052 ± 0.06	0.13 ± 0.03
$W^\pm Z + b$ VR 3 Jet	0.40 ± 0.07	0.041 ± 0.07	0.18 ± 0.04
$3l$ SR	0.43 ± 0.14	0.038 ± 0.17	0.18 ± 0.11

Table 8.3: Truth Origin of highest energy b-tagged jet in the $W^\pm Z + b$ VR and $3l$ SR

8.2.2 ZZ Uncertainty

In order to investigate the MC agreement with data in the ZZ case, two validation regions similar to the $W^\pm Z$ case are defined. Firstly, a 4 lepton ZZ region is constructed using the object selections for the 4-lepton channel and requiring exactly two pairs of opposite sign-same flavour leptons with a di-

lepton invariant mass within $10 \text{ GeV}/c^2$ of the Z mass. Additionally, the $ZZ + b$ process is investigated directly using a similar validation region which again requires exactly two Z -candidate lepton pairs as well as at least 1 b-tagged jet. Some kinematic distributions are shown in Figures 8.4 and 8.5, and particular attention should be paid to the NJet spectrum which shows good data-MC agreement in the high-jet bins, with a slight discrepancy in the 1-jet bin. The agreement for the region with at least 2 jets yields confidence in the NJet MC modelling in this region which lies close to the 4-lepton signal region.

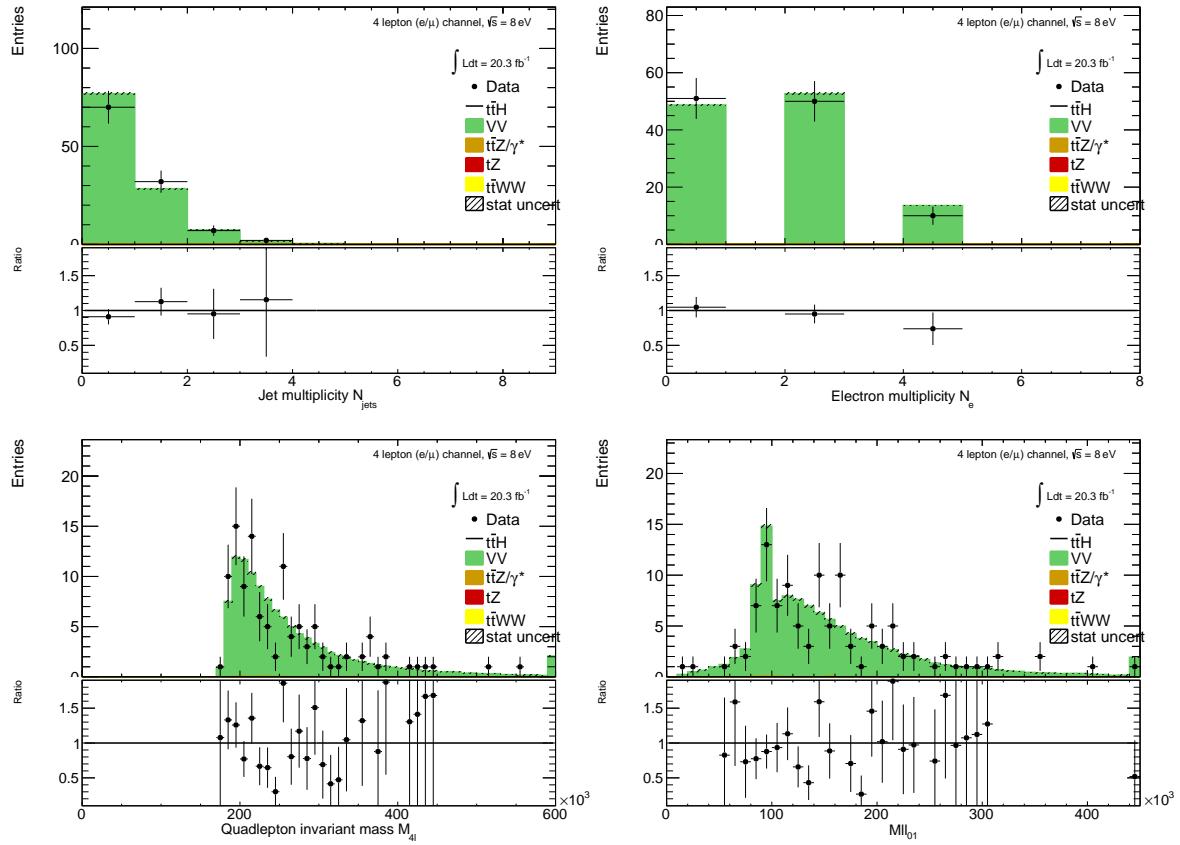


Figure 8.4: Jet-inclusive 4-lepton ZZ validation region using the $t\bar{t}H$ lepton identification and momentum cuts

Recall that in the $W^\pm Z$ case an overall systematic uncertainty of 50% was assigned to cover the MC modeling. Based on the study of the ZZ and $ZZ + b$ validation regions and the overall agreement noted with the $Z + b$ analysis, we expect a similar error to be appropriate in the ZZ case. A similar truth origin study is undertaken in MC to demonstrate a similar b-jet origin to the $W^\pm Z$ case. The true origin of the leading (highest energy) b-tagged jet is shown in Table 8.4 for the 4-lepton signal

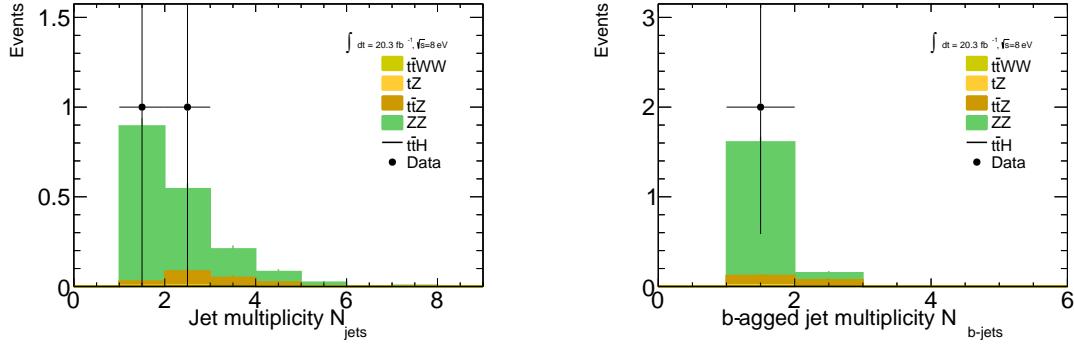


Figure 8.5: $ZZ + b$ validation region using the $t\bar{t}H$ lepton identification and momentum cuts

region as well as the $ZZ + b$ validation region described above divided into jet bins. It can be seen that in case, as it was in the $W^\pm Z$ case above, the true origin of the b-jet in $ZZ + b$ is dominated by c and b .

	Bottom	Charm	Light
$ZZ + b$ VR 1 Jet	0.50 ± 0.02	0.21 ± 0.01	0.18 ± 0.01
$ZZ + b$ VR 2 Jet	0.25 ± 0.02	0.12 ± 0.01	0.11 ± 0.01
$ZZ + b$ VR 3 Jet	0.085 ± 0.014	0.040 ± 0.011	0.036 ± 0.011
$4l$ SR	0.020 ± 0.008	0.025 ± 0.008	0.014 ± 0.005

Table 8.4: Truth Origin of highest energy b-tagged jet in the $ZZ + b$ VR and $4l$ SR

8.3 Charge-Misidentification Background

Charge-misidentification contributes to the background for $2l$ SS case and only for flavor channels, which include electrons. The same-sign require is useful in removing large SM opposite sign backgrounds, but because of their size even small charge mis-identification rates result in contamination in same-sign regions. For the $2l$ SS signal regions and low NJet control regions, charge-misidentification background arise primarily from $t\bar{t}di$ -lepton events with a smaller contribution from leptonic Z decays.

In general, charge-misidentification can arise in two ways. The first occurs for ultra-high energy electrons and muons, which leave tracks in the detector that are too straight for the fit to determine the direction of curvature with high confidence. This type of charge mis-identification is not a concern to the $t\bar{t}H$ multi-lepton analysis, as most of the leptons have momentum > 150 GeV/ c . The second source of charge misidentification is from 'tridents', which only occurs for electrons, because their low mass allows for high rate bremmstrahlung in the detector material. In some cases, after an electron

releases a photon through bremstrahlung, the photon may convert nearby resulting in three electron tracks. The reconstruction algorithms may sometimes match the wrong track to the calorimeter energy deposit, resulting in a possible charge mis-identification. As discussed in the selection, tight track-cluster geometric and energy matching requirements are applied on the electron candidates to reduce the overall rate and the electron acceptance is narrowed to ($|\eta| < 1.37$), since most of the material is concentrated more forward in the detector. For this reason, muon charge-misidentification is considered negligible for this analysis.

We estimate the contribution of charge-misidentification events in our 2l SS signal regions and relevant control regions by applying a weight per electron in the opposite-sign region with otherwise same cuts. The weight is related to the charge-misidentification rates and is estimated using a likelihood method in the opposite-sign and same-sign $Z \rightarrow ee$ control regions. The rate measured from these control regions is binned in electron p_T and η , to account for dependencies in these variables. The method, validations and associated errors are discussed in detail in the following sub-sections.

8.3.1 Likelihood Method

The number of reconstructed same-sign (N_{ss}) and opposite sign (N_{os}) $Z \rightarrow ee$ events are related to number of produced $Z \rightarrow ee$ opposite sign events (N) via factors related to the charge mis-identification rate. For a single per-electron charge mis-identification rate (ϵ , these quantities are related as follows (with the assumption that ϵ is very small):

$$\bullet N^{os} = (1 - 2\epsilon + 2\epsilon^2)N \text{ opposite-sign events,}$$

$$\bullet N^{ss} = 2\epsilon(1 - \epsilon)N \simeq 2\epsilon N \text{ same-sign events,}$$

Knowing ϵ , the charge-misidentification rate, and supposing we can have a different rate per-electron, it is possible to estimate the number of same-sign events from the number of opposite sign events.

$$\bullet N^{ss} = \frac{\epsilon_i + \epsilon_j - 2\epsilon_i\epsilon_j}{1 - \epsilon_i - \epsilon_j + 2\epsilon_i\epsilon_j} N^{os} \text{ for the } ee \text{ channel,}$$

$$\bullet N^{ss} = \frac{\epsilon}{1 - \epsilon} N^{os} \text{ for the } e\mu \text{ channel,}$$

where ϵ_i and ϵ_j are the charge mis-identification rates for the two different electrons.

Although it is impossible from a typical same-sign $Z \rightarrow ee$ to know which electron's charge was mis-identified, we can use a likelihood method over the whole sample to measure charge mis-identification rate (ϵ) depends on the electron p_T and η . The likelihood method assumes that the

754 mis-identification rates of the electron charge are independent for different pseudorapidity regions.
 755 Therefore, the probability to have a number of same-sign events (N_{ss}^{ij}) with electrons in $|\eta|$ region i
 756 and j can be written as a function of the number of events N^{ij} as follows:

$$N_{ss}^{ij} = N^{ij}(\epsilon_i + \epsilon_j). \quad (8.1)$$

757 If all the same-sign events in the Z peak are produced by charge mis-identification, then N_{ss}^{ij} is
 758 described by a Poisson distribution:

$$f(k, \lambda) = \frac{\lambda^k e^{-\lambda}}{k!}, \quad (8.2)$$

759 where k is the observed number of occurrences of the event, i.e. $k = N_{ss}^{ij}$, and λ is the expected number,
 760 i.e. $\lambda = N^{ij}(\epsilon_i + \epsilon_j)$. Thus, the probability for both electrons to produce a charge mis-identification
 761 is expressed by:

$$P(\epsilon_i, \epsilon_j | N_{ss}^{ij}, N^{ij}) = \frac{[N^{ij}(\epsilon_i + \epsilon_j)]^{N_{ss}^{ij}} e^{-N^{ij}(\epsilon_i + \epsilon_j)}}{N_{ss}^{ij}!}. \quad (8.3)$$

762 The likelihood L for all the events is obtained by evaluating all the $|\eta|$ combinations:

$$L(\epsilon | N_{ss}, N) = \prod_{i,j} \frac{[N^{ij}(\epsilon_i + \epsilon_j)]^{N_{ss}^{ij}} e^{-N^{ij}(\epsilon_i + \epsilon_j)}}{N_{ss}^{ij}!}, \quad (8.4)$$

763 where the rates ϵ_i and ϵ_j can be obtained by minimizing the likelihood function. In this process, the
 764 $-\ln L$ is used in order to simplify and make easier the minimization. Terms which do not depend on
 765 the rates ϵ_i and ϵ_j are removed in this step. This way, the final function to minimize is given by the
 766 following expression:

$$-\ln L(\epsilon | N_{ss}, N) \approx \sum_{i,j} \ln[N^{ij}(\epsilon_i + \epsilon_j)] N_{ss}^{ij} - N^{ij}(\epsilon_i + \epsilon_j). \quad (8.5)$$

767 The events are selected within the Z peak and stored –with the electron order by $|\eta|$ – in two
 768 triangular matrices: one for the same-sign events N_{ss}^{ij} , and the other one for all events N^{ij} . The
 769 likelihood method takes into account electron pairs with all $|\eta|$ combinations, which allows to use the
 770 full available statistics getting therefore lower statistical uncertainties. Moreover, it does not bias the
 771 kinematical properties of the electrons, compared to other methods like tag-and-probe.

772 The likelihood method can be easily extended to measure the charge mis-identification rates as a
 773 function of two parameters. In this study, the interest lies not only on the measurement of the rates
 774 as a function of the pseudorapidity, but also transverse momentum. Thus, the probability to find a
 775 same-sign event given the rates for each electron is $(\epsilon_{i,k} + \epsilon_{j,l})$, where the two indices represent binned
 776 $|\eta|$ - and p_T -dependence. Thus, the Eq. 8.5 transforms into

$$-\ln L(\epsilon | N_{ss}, N) \approx \sum_{i,j,k,l} \ln[N^{ij,kl}(\epsilon_{i,k} + \epsilon_{j,l})] N_{ss}^{ij,kl} - N^{ij,kl}(\epsilon_{i,k} + \epsilon_{j,l}). \quad (8.6)$$

777 The likelihood method uses only Z *signal* events. Therefore, background coming from other
 778 processes where the dilepton invariant mass corresponds to the one of the Z boson needs to be
 779 subtracted. The background subtraction is done using a simple side-band method. This method
 780 consists in dividing the Z invariant mass in three regions, i.e. A , B and C , where B is the central
 781 region corresponding to the Z peak. The number of events is counted in the regions on the sides of
 782 the peak, i.e. n_A and n_C , and removed from the total number of events in the peak region B , n_B .
 783 This way, the number of signal events N_Z is given by

$$N_Z = n_B - \frac{n_A + n_C}{2}. \quad (8.7)$$

784 Once the background has been subtracted, the likelihood method can be applied. MINUIT is used
 785 for the minimization and MIGRAD to compute the uncertainty on these rates.

786 8.3.2 Results

787 The charge mis-identification rate is calculated in 7 $|\eta|$ bins [0.0, 0.6, 1.1, 1.37, 1.52, 1.7, 2.3, 2.47]
 788 by 4 p_T bins [15,60,90,130,1000]. For p_T bins above 130 GeV/ c , the Z dataset becomes too small and
 789 the rates are calculated using $t\bar{t}$ MC, scaled by the data-MC ratio of the rates in the lower p_T bins,
 790 [90-130] GeV/ c . Figure 8.6 shows the extracted rates in all bins.

791 To validate the likelihood approach, we apply the full method to the Z MC samples (extracting
 792 rates via a likelihood fit and applying them to opposite sign events) and compare to the MC predicted
 793 number of same-sign events. The invariant mass of the Z from our charge mis-identification and
 794 directly from the MC can be seen on Figure 8.7. In the simulated Z samples, the number of same-
 795 sign Z events is 5 049 while the estimation is $5\ 031^{+375}_{-365}$. The uncertainties combine both statistical
 796 systematic uncertainties, which are discussed in depth below. The validation gives compatible results
 797 within uncertainties.

798 8.3.3 Systematic and Statistical Uncertainties

799 Statistical uncertainties dominate the combined uncertainty on the charge mis-identification estimate.
 800 The statistical uncertainties come primarily from the size of the Z same-sign sample in data and are
 801 especially large for central, material-poor regions where the charge mis-identification rate is extremely
 802 low. Additionally systematic uncertainties are included for a comparison between the positron and
 803 electron rate, the per-bin MC closure test discussed above in the Results section, and for the effect of
 804 varying the invariant mass window used for the background subtraction for three different cases. The
 805 high p_T extrapolation induces a statistical error only in the last p_T bin. This bins is essentially irrelevant

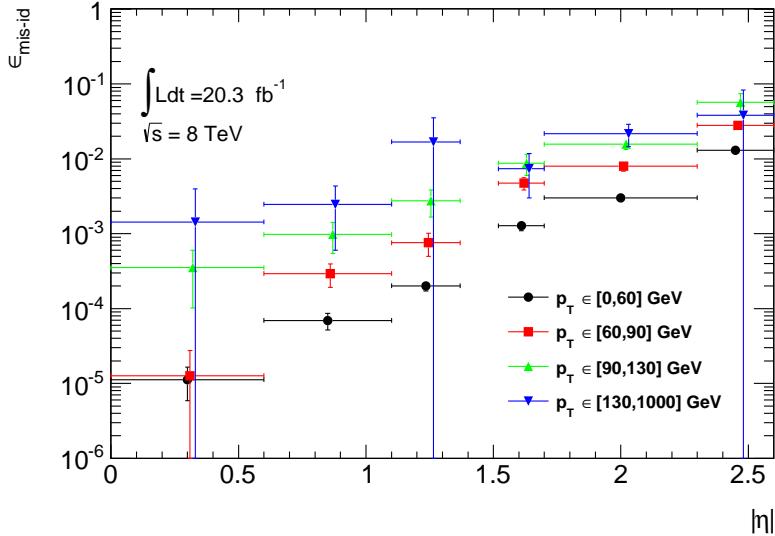


Figure 8.6: Electron charge mis-identification rates measured in data with the likelihood method on Z events (black points, red squares and blue triangles) as a function of $|\eta|$ and parametrized in p_T . The full 2012 dataset has been used to estimate the rates below 130 GeV. Above this value, the charge mis-identification rates have been estimated by extrapolating the rates in the region where the $p_T \in [90, 130]$ GeV with a p_T dependent factor extracted from simulated $t\bar{t}$ events (green triangles). Statistical and systematic uncertainties have been included in this plot.

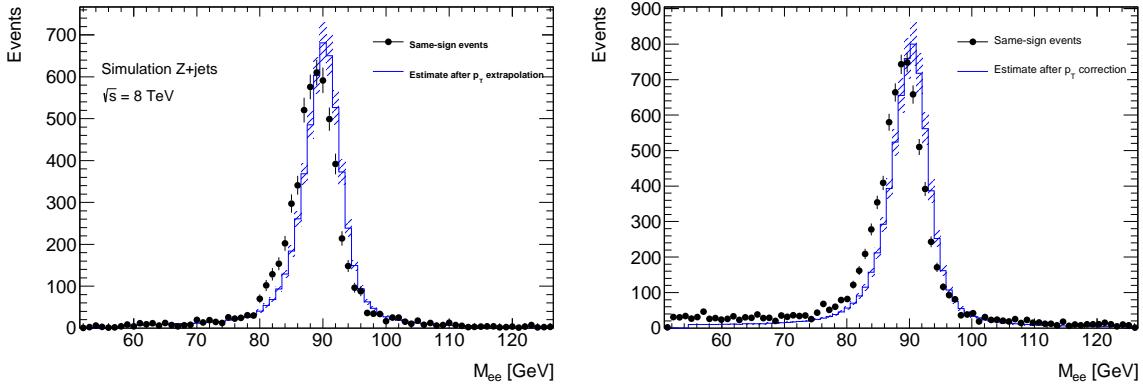


Figure 8.7: Closure test on simulated $Z \rightarrow e^+e^- + \text{jets}$ events (a) and data (b). The black circles show the distribution of same-sign events while the blue histograms show the distribution of the reweighted opposite-sign events together with the statistical and systematic uncertainties. The distributions are not expected to overlay exactly, due to the loss of energy of the trident electrons for the same-sign peak.

to the energy scales considered in this analysis. Figure 8.8 shows the relative bin uncertainties for all rate bins.

We apply the rates to estimate the charge mis-identification background in the 2l SS signal regions,

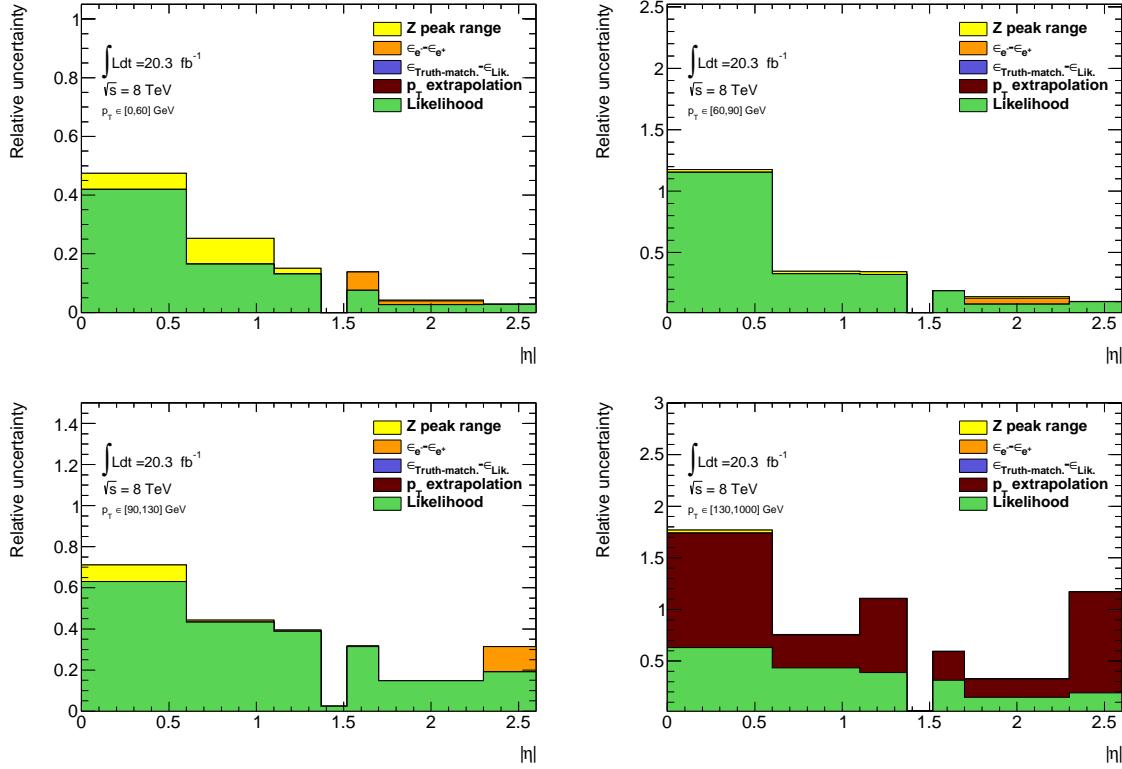


Figure 8.8: Relative systematic uncertainty contributions on the charge mis-identification rate, for different bins in p_T and $|\eta|$. Tight++ electrons have been used to produce this plot.

and find $\sim 25\%$ contamination in the $e^\pm e^\pm$ regions and a $\sim 10\%$ contribution to the $e^\pm \mu^\pm$ regions with a 10% systematic error overall. The low overall error can be attributed to the fact that the statistical error is lowest where the bulk of charge misidentifications occur.

8.4 Fake Lepton Backgrounds

Fake Leptons, from the mis-identification of jets as either electrons or muons, primarily arise from $t\bar{t}$ and single top processes in the 2l SS, 3l and 4l channels. Smaller contributions come from $Z + \text{jet}$ events. These backgrounds are sub-dominant but important in the 2l SS and 3l channels. They are extremely small in the 4l channels. Truth studies suggest that these mis-identified leptons arise overwhelmingly from b-quark initiated jets. The general method for estimating fakes in all channels is to define a reversed object selection region (usually isolation) for each lepton flavor with otherwise identical signal region selection (N_{CR}^e , N_{CR}^μ). This region is fake-dominated with small contributions from prompt backgrounds, which are subtracted from the data. The total number of fake events

821 in this region is then scaled by a transfer factor (θ) to estimate the number of fake events of the
 822 appropriate flavor in the signal region. The transfer factor is defined in Equations 8.8 and the simple
 823 formula for determining fakes is defined in Equations 8.9. 'd' refers to anti-identified electrons, and
 824 'p' refers to anti-identified muons.

$$\theta_e = \frac{N_{ee}}{N_{ed}}, \theta_\mu = \frac{N_{\mu\mu}}{N_{\mu p}} \quad (8.8)$$

$$N_{fake} = \theta_e * N_{CR}^e + \theta_\mu * N_{CR}^\mu \quad (8.9)$$

825 This approach factorizes the background model into two separate measurements. N_{CR} is sensitive
 826 to the overall $t\bar{t}$ production rate, especially in the presence of additional jets from QCD ratio, as well as
 827 the object-level misidentification of a jet as a lepton. The transfer factor θ is sensitive to only the
 828 object level properties of the mis-identified jet, and in particular only the variables which are reversed
 829 in the anti-tight identification.

830 The transfer factor is obtained in a different way for each channel, due to unique issues with
 831 statistics and contamination, but each method relies heavily on the data-based control regions with
 832 fewer jets. Figure 8.9 shows a truth study of the stability of the transfer factor for the 2l SS and 3l
 833 cases as a function of the number of jets in the event for events with one-btagged jet. This suggests
 834 that the regions with fewer jets are a good model of the fakes in the signal regions with more jets and
 835 is expected because of the homogeneity of origin of the fakes across all jet bins.

836 The details of the methods for each channel are discussed in depth in the following sections. For
 837 all methods, the overall systematic uncertainty on the normalization of the fake estimate is in the
 838 range 30%-50% and arise primarily from statistics and the closure on assumptions used to obtain the
 839 transfer factor.

840 Because these methods do provide a per-object transfer-factor that depends on the properties of
 841 the faking object, we must use the MC to model the shapes of the fake kinematic distributions in the
 842 signal regions. This is not an essential issue, since the analysis only considers only the total number
 843 of events in each signal region in the final measurement of $t\bar{t}H$ production.

844 8.4.1 2l SS Fakes

845 The 2l SS fake method follows the procedure outlined in general above. We define anti-tight electron
 846 and muon control regions with reversed particle identification criteria for each signal region, including
 847 the 6 flavor and jet-counting sub regions. The anti-tight muon and electron criteria are provided
 848 below:

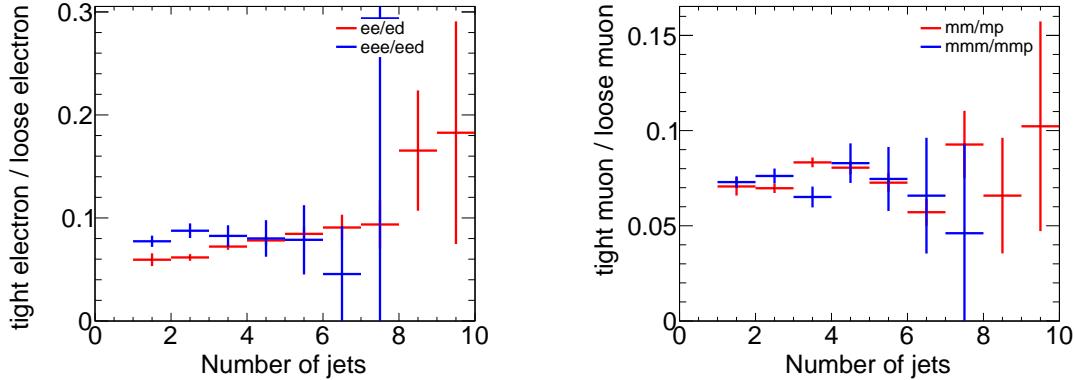


Figure 8.9: Ratios of regions with tight and anti-tight leptons in 2-lepton and 3-lepton channels

- anti-tight electron (d): fails to verify the verytight likelihood operating point, but still verifies the veryloose opoperating point. fails relative tracking and calorimeter isolation, $E_T^{rel} > 0.05$ and $p_T^{rel} > 0.05$.
- anti-tight muon (p: $6 \text{ GeV}/c < p_T < 10 \text{ GeV}/c$

The electron and muon transfer factors, θ_e and θ_μ , are calculated in the region with signal region selection but fewer jets, $NJet == 2$ or $NJet == 3$ and are defined as the ratio of the number of events for two fully identified leptons to the number of events with one fully identified lepton and one anti-identified lepton, after the prompt and charge mis-identification backgrounds are subtracted. Only same-flavor channels are used to ensure that muon and electron transfer factors maybe estimated separately: on every region, the prompt and charge-misidentification backgrounds are subtracted from the data.

$$\theta_e = \frac{N_{ee}}{N_{ed}} = \frac{N_{ee}^{Data} - N_{ee}^{\text{Prompt SS}} - N_{ee}^{\text{QMisId}}}{N_{ed}^{Data} - N_{ed}^{\text{Prompt SS}} - N_{ed}^{\text{QMisId MC}}} \quad (8.10)$$

$$\theta_\mu = \frac{N_{\mu\mu}}{N_{\mu p}} = \frac{N_{\mu\mu}^{Data} - N_{\mu\mu}^{\text{Prompt SS}}}{N_{\mu p}^{Data} - N_{\mu p}^{\text{Prompt SS}}} \quad (8.11)$$

The 2,2 jet anti-tight regions used in obtaining the transfer factors are shown in Figure 8.10 and the 4,5 jet anti-tight regions, scaled by the transfer factors to get the fake estimates in the SR are shown in Figure 8.11. The $t\bar{t}\text{MC}$ is included in the plots for reference, although it is not included in the measurements.

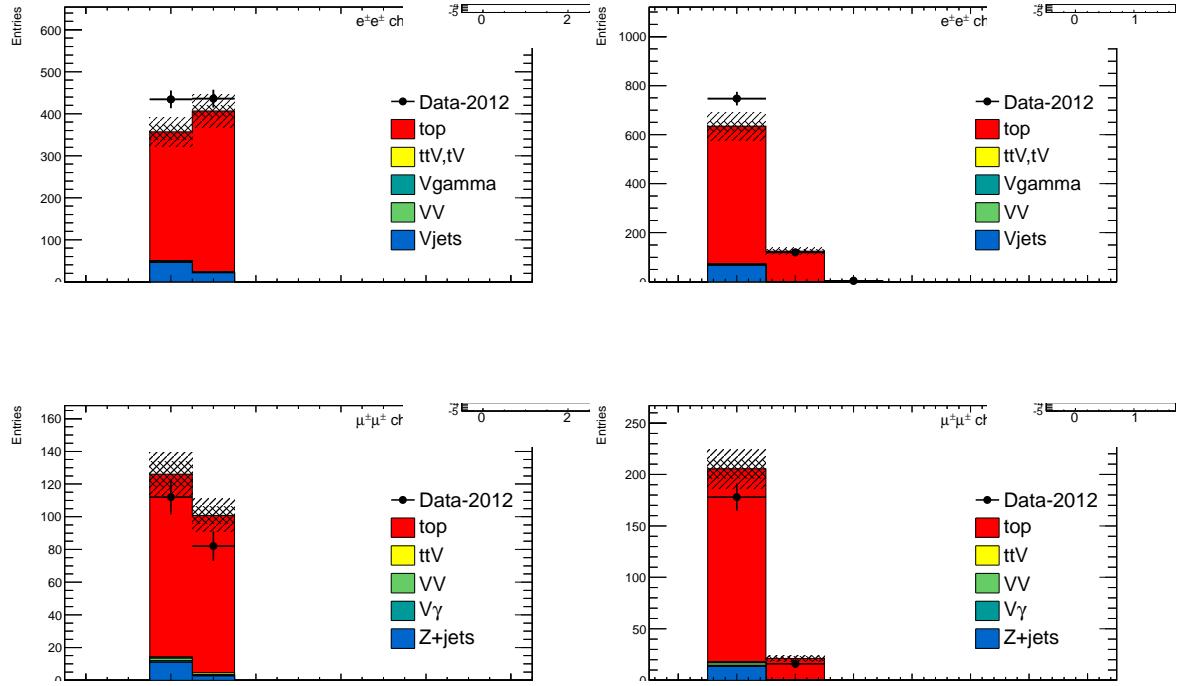


Figure 8.10: 2,3 Jet SS 2l ed (above) and μp control regions with at least one b-tagged jet. This region and the associated tight-id regions are used to determine θ_e and θ_μ . The $t\bar{t}$ MC (red) is used for reference and not used in the actual calculation

Factor	Expected (MC)	Measured (data)
θ_e Rev. Id.	0.0136 ± 0.0062	0.0156 ± 0.0062
θ_μ Rev. p_T	0.078 ± 0.012	0.1156 ± 0.0288

Table 8.5: Expected and measured values of the θ factors.

866 The transfer factors obtained from the 2 and 3 jet regions are shown in 8.5 with statistical errors
 867 and propagated systematic errors from the subtraction of relevant backgrounds ($t\bar{t}V$ and charge mis-
 868 identification). The MC values are just for comparison. An additional systematic error is added by
 869 comparing the transfer factors, obtained from the low jet control region, to those obtained from the
 870 higher jet signal regions, using $t\bar{t}$ MC. The value of this systematic is about 20 % and can be seen in
 871 the above Figure 8.9. The overall systematic uncertainties and contribution from each source in all of
 872 the sub-channels of the signal region are shown in Table 8.5 and the final contribution of fake events
 873 to the signal region are show in Table 8.1 found at the beginning of the chapter.

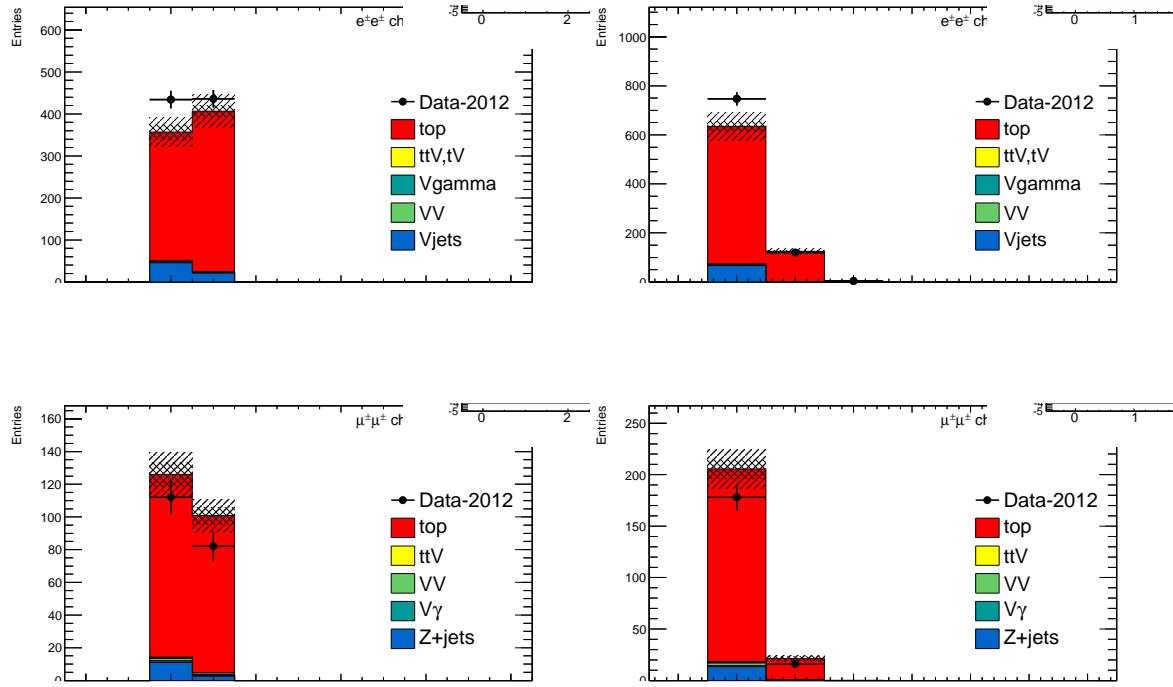


Figure 8.11: 4,5 Jet SS 2l ed (above) and μp control regions with at least one b-tagged jet. After subtraction of prompt and charge mis-identification backgrounds, these regions are scaled by the transfer factors, θ_e and θ_μ to obtain the final number of fake events in the CR. The $t\bar{t}$ MC (red) is used for reference and not used in the actual calculation

Uncertainties		Channels					
		4 jets		≥ 5 jets			
		$e^{\pm}e^{\pm}$	$\mu^{\pm}\mu^{\pm}$	$e^{\pm}e^{\pm}$	$\mu^{\pm}\mu^{\pm}$	$e^{\pm}\mu^{\pm}$	
Statistical	$\Delta\theta_e^{stat}$	39.6	—	14.2	39.6	—	18.5
	$\Delta\theta_\mu^{stat}$	—	24.7	15.8	—	24.7	13.1
	$\Delta N_{\ell anti-\ell}(n \text{ jets})(\text{stat})$	6.8	18.1	21.3	8.4	25.9	22.7
Systematics	$\Delta\theta_e^{syst}$ (closure)	21.8	—	7.8	26.7	—	12.5
	$\Delta\theta_\mu^{syst}$ (closure)	—	23.3	18.4	—	31.2	19.7
	Q Mis Id ($\ell anti-\ell$)	2.2	—	1.5	2.4	—	1.5
Total		45.7	38.5 (36.3)	35.7	48.5	47.8 (43.9)	39.6
Systematic	Q Mis Id ($\ell\ell$)	24.0	—	8.6	24.0	—	11.3

Table 8.6: Summary of the uncertainties (in %) in $e^{\pm}e^{\pm}$ (reverse Id + reverse isolation method), $\mu^{\pm}\mu^{\pm}$ and $e^{\pm}\mu^{\pm}$. Statistical uncertainty is split into statistical uncertainties on θ_e and θ_μ and uncertainty due to the Control Region size ($\Delta N_{\ell anti-\ell}(n \text{ jets})$). For channels with muons, uncertainties between parenthesis are obtained when anti-tight muons are defined such as $p_T < 20$ GeV (includes blinded data)

874 **8.4.2 3l Fakes**

875 The 3l fake method follows the same general strategy as the 2l SS case. Transfer factors are used
 876 extrapolate from an anti-tight, fake-rich control region in data into the signal region. However, the
 877 equivalent low jet control regions are too low in statistics to provide the transfer factors from data
 878 directly, as above. Instead, the transfer factors are obtained directly from the $t\bar{t}$ simulation and data
 879 control regions are used to determine the modeling of the identification and isolation variables, used in
 880 the transfer factor extrapolation. The low jet regions are still employed in a low statistics validation
 881 of the entire fake procedure.

882 Anti-tight electrons and muons are defined in slightly different ways, compared to the 2l SS case:

- 883 • **anti-tight electron (d):** fails to verify the verytight likelihood operating point, but still verifies
 884 the veryloose operating point. the isolation selection is released $E_T^{rel} > 0.05$, $p_T^{rel} > 0.05$.
- 885 • **anti-tight muon(p):** muons must pass identification but the p_T cuts is lowered to $6 \text{ GeV}/c$, the
 886 overlap removal with jets and isolation cuts are released.

887 The transfer factors, θ_e and θ_μ , extracted from MC, is defined as the ratio of the number of top ($t\bar{t}$ +
 888 single-top) events in the signal region, to the number of $t\bar{t}$ events in the anti-tight regions. The factors
 889 are calculated in separate flavor regions to ensure that the electron jet fakes and muon jet fakes are
 890 calculated separately. The calculation follows the same for as in Equation ??, but now lep0, which
 891 by construction is almost never a fake is allowed to be either electron or muon in both cases, denoted
 892 below in Equation 8.12.

$$\theta_e = \frac{N_{xe\bar{e}}}{N_{x\bar{e}d}}, \theta_\mu = \frac{N_{x\mu\bar{\mu}}}{N_{x\bar{\mu}p}} \quad (8.12)$$

893 The MC modeling of the variables involved in the transfer factor can be verified when another
 894 variable fails. For instance, the MC modeling of the electron isolation variable can be compared to
 895 data when the particle identification variable fails and vice-versa. The modeling of muon-jet ΔR ,
 896 involved in the overlap removal, can be compared when either the isolation variable or the p_T fails.
 897 The comparison of the electron variables in this manner can be seen in Figure 8.13 and the muon
 898 variables in Figure 8.12. The regions used have the same selection as the signal region with an added
 899 missing transverse energy requirement, $> 60 \text{ GeV}/c$, to ensure only top fakes. 20% and 21% systematic
 900 uncertainties are assigned to the muon and electron transfer factors, respectively, to account for data-
 901 MC discrepancies. This method for evaluating data-MC agreement for individual electron and muon
 902 variables in turn relies on the assumption that these variables are largely un-correlated and that the

transfer factor itself is factorizable into pieces for each variable. This factorized and fully correlated transfer factors have therefore been compared using MC and shown to have differences than the systematic quotes, suggesting that these assumptions are reasonable.

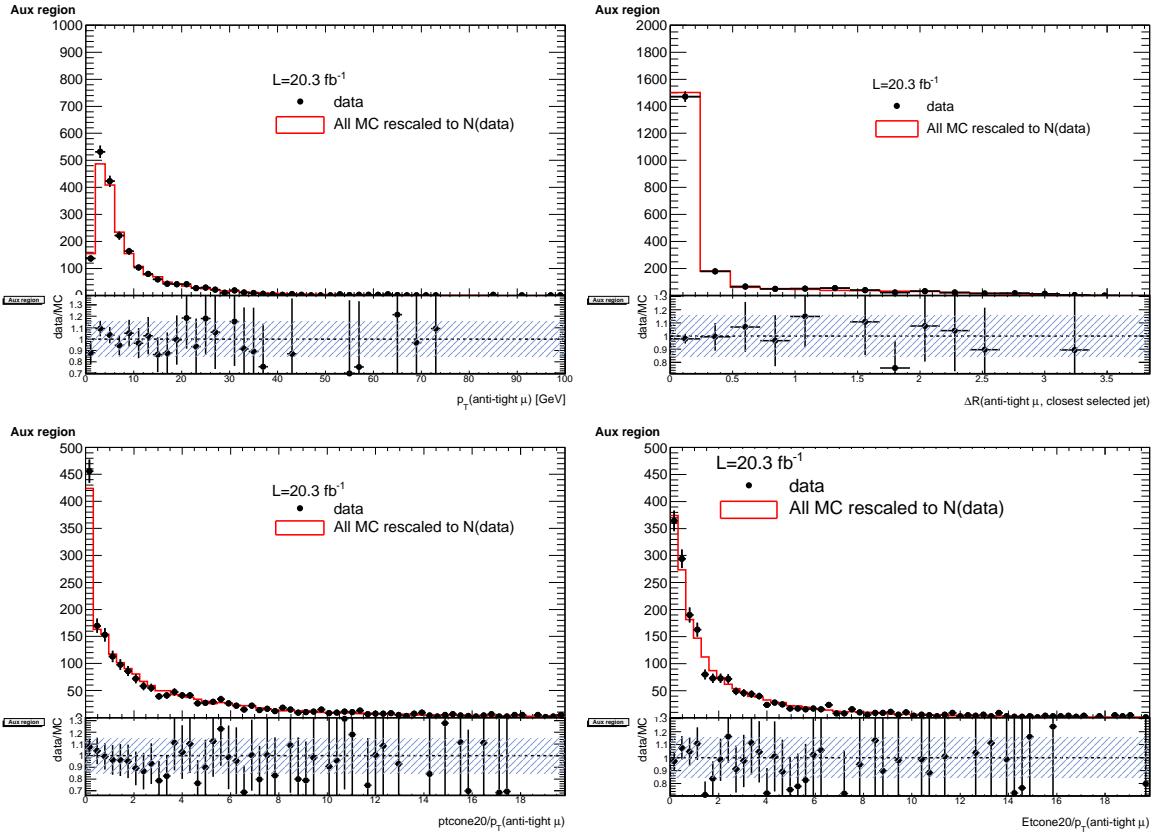


Figure 8.12: Distributions of the properties of the anti-tight muons in data (dots), compared with the total simulation (red line), rescaled to the integral of the data for a shape comparison. The uncertainty on the data distribution is statistical. The number of events for each of them is also presented in the legend. The variables probed are, top: p_T and $\Delta R(\mu, \text{closest selected jet})$; bottom: $\text{ptcone20}/p_T$ and $\text{Etcone20}/p_T$. The selection is the signal region event selection with one anti-tight muon (failing at least one of the isolation, muon-jet overlap, or p_T selection criteria) A ratio plot is containing the 20% area around 1, is displayed, demonstrating that a 20% data-MC comparison systematic is sufficient.

The electron and muon anti-tight control regions, which are scaled by the transfer factors are shown in Figure 8.14. The prompt MC subtracted data in these regions are scaled by the transfer factors to obtain the overall contribution of fake electron and muon events in the signal region. The systematic uncertainties are split between the statistical error on the transfer factor and normalization of the anti-tight control regions and the data-MC comparisons outlined above. For muon fakes the total systematic uncertainty is 25% and for electrons it is 34%. The numbers and uncertainties involved

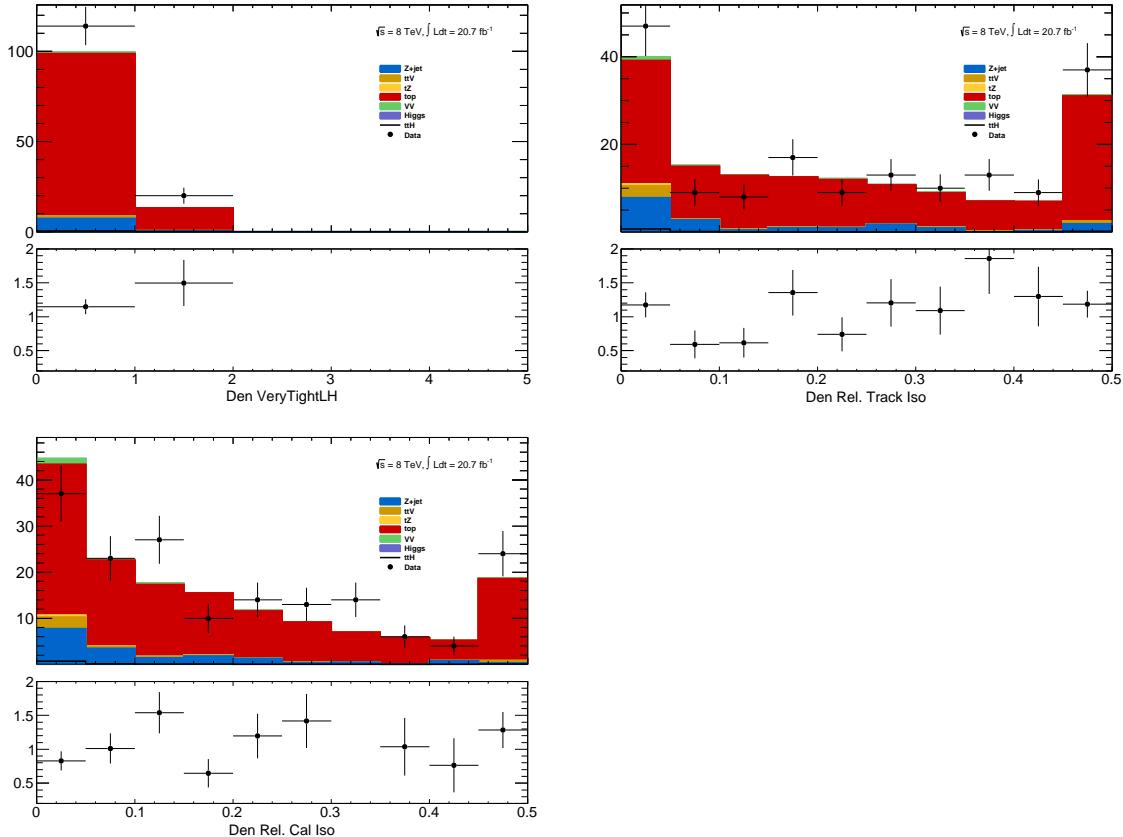


Figure 8.13: Distributions of anti-tight electron variables. The variables presented are, from top left to bottom right, p_T , η , Very Tight Likelihood word value, $\text{ptcone20}/p_T$, $\text{Etcone20}/p_T$. The plotted regions have the same cuts as the signal region, except the anti-tight electron must fail isolation for the plot of the verytight identification word or fail the verytight identification word for the plots of the isolation. Data (dots) are compared with a stacked histogram of the various simulated samples: top in red, V+jets (blue), VV (purple) and ttV (yellow). The uncertainty on the data distribution is statistical.

912 in the calculation are shown in Table 8.7.

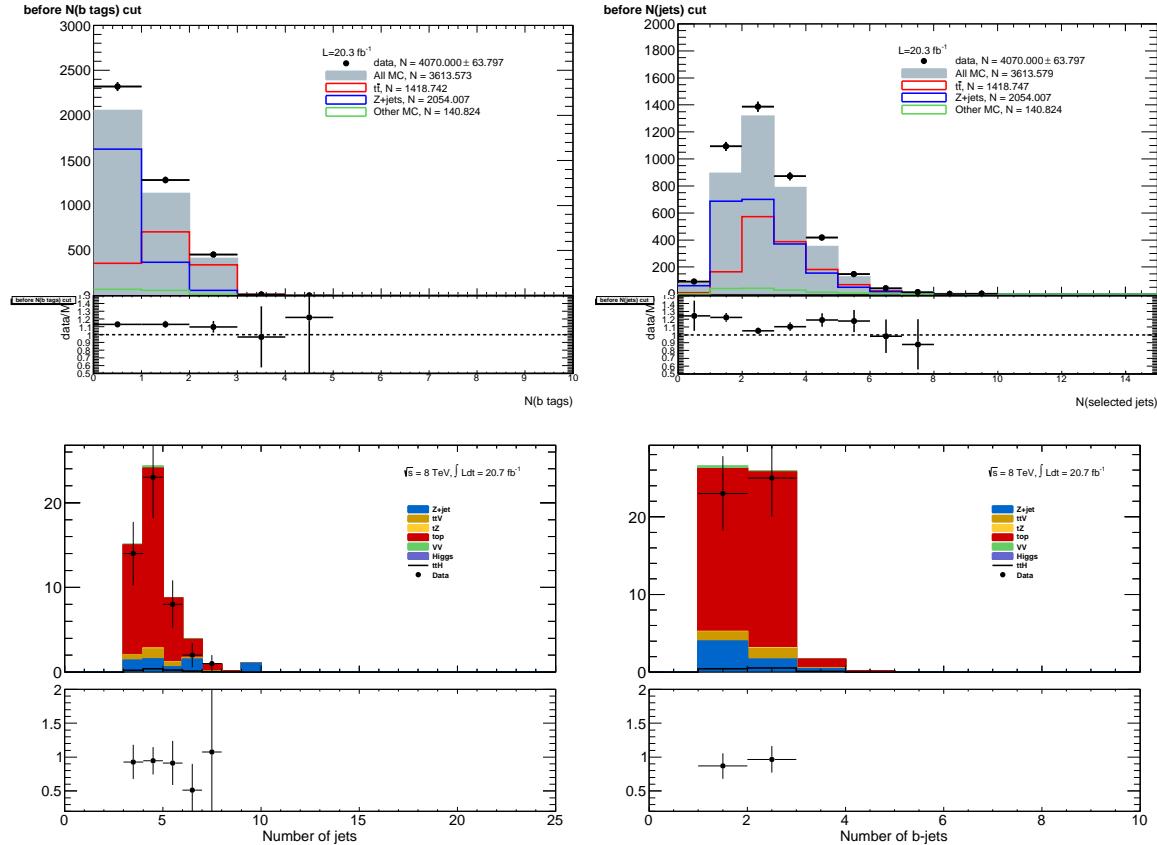


Figure 8.14: Muon-xxp (above) and electron-xxd (below) anti-tight control regions: jet variables. Note: the $t\bar{t}$ and top MC in the plots is used only as comparison, but is not included in the fake measurement

Stage	Muon	Electron
Anti-Tight CR Normalization	364.62 ± 20.02 (5%)	38.2 ± 6.9 (17%)
Transfer factor θ_μ	0.0047 ± 0.0011 (23%)	0.0240 ± 0.0064 (29%)
SR Contribution	1.71 ± 0.42 (25%)	0.91 ± 0.29 (34%)

Table 8.7: Summary of regions and inputs to the extraction of the number of $t\bar{t}$ background events with a fake muon in the SR

913 Finally, the low jet region (1,2,3j) is used as a validation for the method, described above. The
 914 $t\bar{t}$ and single top fakes are estimated using the procedure above, but instead using the lower jet region.
 915 Similar systematics are assessed. This region with the fake estimate is plotted in Figure 8.15. The
 916 agreement of data and summed prediction for the fakes and prompt backgrounds is well within the

systematic and statistical uncertainties. The figure also shows the same region with relaxed p_T cuts on all leptons to $10 \text{ GeV}/c^2$. This increases the purity of fakes in the region as well as the statistics. The data and summed fake and prompt predictions are also well within the statistical and systematic uncertainties.

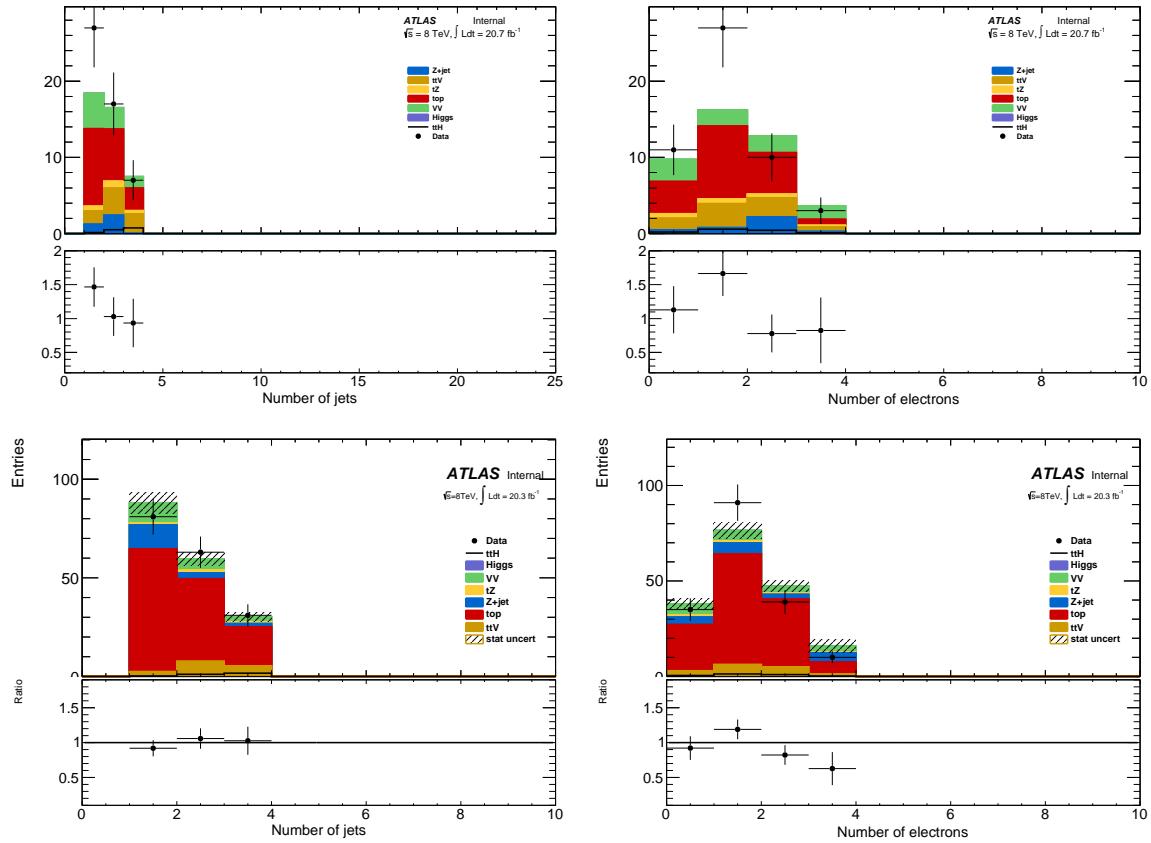


Figure 8.15: 3l fake validation regions for nominal p_T selection (above) and relaxed p_T selection, $> 10 \text{ GeV}/c$, (below). Plotted are the number of jets and the number of electrons in each event. The data and MC ratio below each plot agree with 1 within the statistics of the region and the overall systematic assigned for the fake component (red)

8.4.3 4l Fakes

We will not discuss the 4l fakes in depth, as it is a very small background - at the % level and will have almost no impact on the final result. It is important, however, to carry out the measurement using the data to ensure that this is indeed the case. The fake method used in the the 4l case is similar to the 2l and 3l cases discussed above. All fakes arise from $t\bar{t}$ and single-top events, where two jets are mis-identified as leptons. To measure the contribution of this background, control regions with 2 fully

927 identified and 2 anti-identified leptons are created. These control regions do not have a number of jets
928 requirement in order to increase statistics. From these control regions, two extrapolations are made.
929 First, a transfer factor is applied to extrapolate from the anti-tight to tight regions for electrons
930 and muons. The regions are defined with identifical object identification selection and reversal as
931 the 3l case, and the same transfer factors can be used. They must be used twice however, because
932 there are two anti-identified leptons in each event. Second, the jet inclusive regions are extrapolated
933 into the 2-jet signal region, using as a second extrapolation factor derived from $t\bar{t}$ events. Since, the
934 majority of fake leptons arise from b-quark initiated jets, the jet spectrum $t\bar{t}$ events with the additional
935 requirement of 2-btagged jets from data are used as a model for the jet extrapolation. The overall
936 systematic uncertainty on this measurement arises from the statistics in the control regions and MC
937 based assessments of non-closure and are 35%-50% depending on the sub-channel.

938

CHAPTER 9

939

Conclusions

940 **9.1 Higgs Results in Review**

941 **9.2 Prospects for Future**

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