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**A Deep Learning Approach to Differential  
Measurements of Higgs - Top Interactions in  
Multilepton Final States using the ATLAS  
Detector at the LHC**

The ATLAS Collaboration

7 Several theories Beyond the Standard Model predict a modification of the momentum spec-  
8 trum of the Higgs Boson, without a significantly altered rate of Higgs produced in association  
9 with top quark pairs ( $t\bar{t}H$ ). This provides a physical observable that can be used to search  
10 for new physics based on data collected by the LHC. This thesis presents techniques and  
11 preliminary results for a differential measurement of the Higgs transverse momentum in  $t\bar{t}H$   
12 events with multiple leptons in the final state, using data collected at an energy of  $\sqrt{s} = 13$   
13 TeV by the ATLAS detector at the LHC.

14 This thesis also details a measurement of  $WZ +$  heavy flavor production, a significant back-  
15 ground to  $t\bar{t}H$  that is poorly understood. This study targets events with three leptons and one  
16 or two jets in the final state, using  $140 \text{ fb}^{-1}$  of  $\sqrt{s} = 13 \text{ TeV}$  data. A measured cross-section  
17 of  $X \pm X \text{ fb}$  ( $X \pm X \text{ fb}$ ) is observed for  $WZ + b$  ( $WZ + \text{charm}$ ) with 1 associated jet and  $X \pm X$   
18  $\text{fb}$  ( $X \pm X \text{ fb}$ ) for  $WZ + b$  ( $WZ + \text{charm}$ ) with 2 assoicated jets.

19 Because of the challenges inherent in reconstructing the Higgs in multilepton final states, a  
20 deep learning approach is used to predict the momentum spectrum of the Higgs for these  
21 events. The regressed Higgs  $p_T$  spectrum is fit to data for events with two same-sign leptons  
22 or three leptons in the final state. The fit is used to extract normalization factors for high  
23 ( $p_T(H) > 150 \text{ GeV}$ ) and low ( $p_T(H) < 150 \text{ GeV}$ ) momentum  $t\bar{t}H$  events. Preliminary  
24 results are presented for  $80 \text{ fb}^{-1}$  of data, with projected results shown for  $140 \text{ fb}^{-1}$ .

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**Part I****Introduction****1 Introduction**

Particle physics is an attempt to describe the fundamental building blocks of the universe and their interactions. The Standard Model (SM) - our best current theory of fundamental particle physics - does a remarkable job of that. All known fundamental particles and (almost) all of the forces underlying their interactions can be explained by the SM, and the predictions from this theory agree with experiment to an incredibly precise degree. This is especially true since the Higgs Boson, the last piece of the SM predicted decades before, was finally discovered at the Large Hadron Collider (LHC) in 2012.

Despite the success of the SM, there remains significant work to be done. For one, the SM is incomplete: it fails to provide a description of gravity, to give an explanation for the observation of Dark Matter, or to provide a mechanism for neutrinos to gain mass. Further, a Higgs Boson with a mass of around 125 GeV, as observed at the LHC, gives rise to what is known a hierarchy problem - such a low mass Higgs requires a seemingly unnatural level of “fine tuning” that is unexplained by the SM.

A promising avenue for addressing these problems is to study the properties of the Higgs Boson and the way it interacts with other particles, in part simply because these interactions

158 have not been measured before. Its interactions with the Top Quark are a particularly promising  
159 place to look. Because the Higgs Field is responsible for allowing particle to acquire mass, the  
160 strength of a particle's interaction with the Higgs Boson is proportional to its mass. As the most  
161 massive of the fundamental particles, the Top Quark has the strongest coupling to the Higgs  
162 Boson, meaning any new physics in the Higgs sector is likely to present itself most prominently  
163 in its interaction with the Top Quark.

164 These interactions can be measured by directly by studying the production of a Higgs  
165 Boson in association with a pair of Top Quarks ( $t\bar{t}H$ ). While studies have been done measuring  
166 the overall rate of  $t\bar{t}H$  production, there are several theories of physics Beyond the Standard  
167 Model (BSM) that would affect the kinematics of  $t\bar{t}H$  production without altering its overall  
168 rate. This dissertation attempts to make a differential measurement of the kinematics of the  
169 Higgs Boson in  $t\bar{t}H$  events in order to search for these BSM effects.

170 The proton-proton collision data collected by the ATLAS detector at the LHC from 2015-  
171 2018 provides the opportunity to make this measurement for the first time. The unprecedented  
172 energy achieved by the LHC during this period greatly increase the rate at which  $t\bar{t}H$  events are  
173 produced, and the large amount of data collected provides the necessary statistics for a differential  
174 measurement to be performed.

175 A study of  $t\bar{t}H$  events with multiple leptons in the final state is performed, using  $139 \text{ fb}^{-1}$   
176 of data from proton-proton collisions at an energy  $\sqrt{s} = 13 \text{ TeV}$  collected by the ATLAS detector  
177 from 2015-2018. Events are separated into channels based on the number of light leptons in the

178 final state - either two same-sign leptons, or three leptons. A deep neural network is used to  
179 reconstruct the momentum of the Higgs Boson in each event. This momentum spectrum is fit to  
180 data for each analysis channel in order to search for evidence of these BSM effects.

181 An additional study of WZ produced in association with a heavy flavor jet (including both  
182 b-jets and charm jets) is also included. This process mimics the final state of  $t\bar{t}H$  multilpjet  
183 events, making it an irreducible background for that analysis. However, this process is poorly  
184 understood, and difficult to simulate accurately, introducing large systematic uncertainties for  
185 analyses that include it as a background. A measurement of WZ + heavy flavor in the fully  
186 leptonic decay mode is performed in an attempt to reduce this uncertainty.

187 This dissertation begins with a brief explanation of the SM, its limitations, and the theor-  
188 etical motivation behind this work in Part II. This is followed by a description of the LHC and  
189 the ATLAS detector in Part III. Part IV details a measurement of WZ + heavy flavor. Studies  
190 of differential measurements of  $t\bar{t}H$  are then described in Part V, and preliminary results are  
191 presented. Finally, the results of these studies are summarized in the conclusion, Part VI.

---

**192 Part II****193 Theoretical Motivation****194 2 The Standard Model and the Higgs Boson**

195 The Standard Model of particle physics (SM) is a Quantum Field Theory (QFT) describing the  
196 known fundamental particles and their interactions. It accounts for three of the four known  
197 fundamental force - electromagnetism, the weak nuclear force, and the strong nuclear force, but  
198 not gravity. Further, the SM describes a mechanism for combining the weak and electromagnetic  
199 forces into a singular interaction, known as the electroweak force. It is a non-Abelian gauge  
200 theory, invariant under the Lie Group  $SU(3)_C \otimes SU(2)_L \otimes U(1)_Y$ , where C refers to color  
201 charge, L, the helicity of the particle, and Y, the hypercharge.

**202 2.1 The Forces and Particles of the Standard Model**

203 The SM particles, summarized in Figure 2.1, can be classified into two general categories based  
204 on their spin: fermions, and bosons.

## Standard Model of Elementary Particles

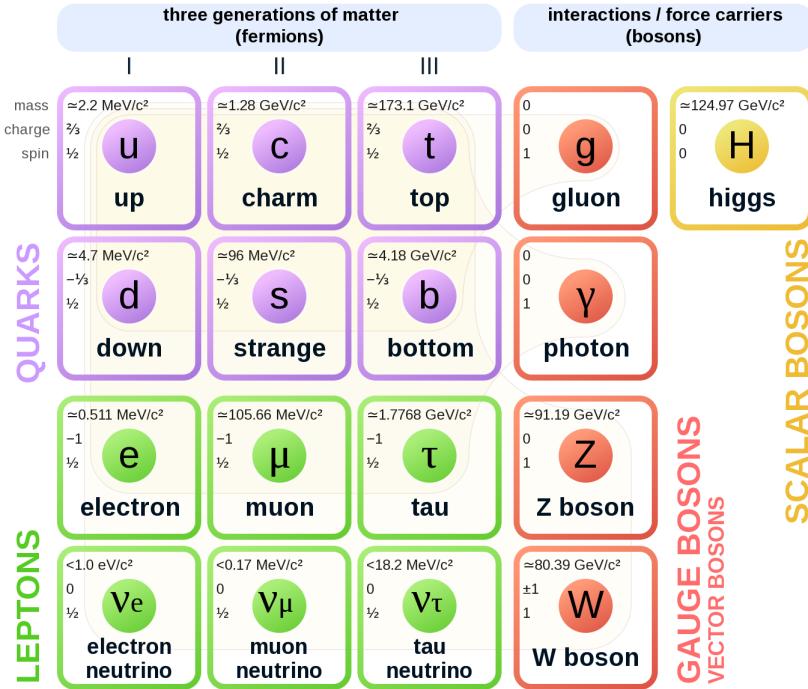


Figure 2.1: A summary of the particles of the Standard Model, including their mass, charge and spin, with the fermions listed on the left, and the bosons on the right. [1]

205 Fermions are particles with  $\frac{1}{2}$ -integer spin, which according to the spin-statistics theorem,  
 206 causes them to comply with the Pauli-exclusion principle. They can be separated into two groups,  
 207 leptons and quarks, each of which consist of three generations of particles with increasing mass.

208 Leptons are fermions which interact via the electroweak force, but not the strong force.  
 209 The three generation of leptons consist of the electron and electron neutrino, the muon and muon  
 210 neutrino, the tau and tau neutrino. The quarks, by contrast, do interact via the strong force - which  
 211 is to say they have color charge - in addition to the electroweak force. The three generations  
 212 include the up and down quarks, the strange and charm quarks, and the top and bottom quarks.

213 Each of these generations form left-handed doublets invariant under SU(2) transfor-

214 mations. For the leptons these doublets are:

$$\begin{pmatrix} e^- \\ \nu_e \end{pmatrix}_L, \begin{pmatrix} \mu^- \\ \nu_\mu \end{pmatrix}_L, \begin{pmatrix} \tau^- \\ \nu_\tau \end{pmatrix}_L \quad (2.1)$$

215 And for the quarks:

$$\begin{pmatrix} u \\ d \end{pmatrix}_L, \begin{pmatrix} s \\ c \end{pmatrix}_L, \begin{pmatrix} t \\ b \end{pmatrix}_L \quad (2.2)$$

216 For both leptons and quarks, the heavier generations can decay into the lighter generation

217 of particles, while the first generation does not decay. Hence, ordinary matter generally consists

218 of this first generation of fermions - electrons, up quarks, and down quarks. Each of these

219 fermions has a corresponding anti-particle, which has an equal mass as its partner but opposite

220 charge. The fermions acquire their mass via the Higgs Mechanism, except for the neutrinos,

221 whose mass has been experimentally confirmed but is not accounted for in the SM.

222 Bosons, by contrast, have integer spin, and are therefore unconstrained by the Pauli-

223 exclusion principle. The SM includes two kinds of bosons: Gauge bosons, which are spin-1

224 particles that mediate the interactions between the fermions, and a single scalar, i.e. spin-0,

225 particle - the Higgs Boson. Of the gauge bosons, the  $W^+$ ,  $W^-$  and  $Z$  bosons - which are the

<sup>226</sup> mass eigenstates of the electroweak bosons - mediate the weak interaction, while the photon  
<sup>227</sup> mediates the electric force, and the gluon mediates the strong force.

<sup>228</sup> **2.2 The Higgs Mechanism**

<sup>229</sup> A key feature of the SM is the gauge invariance of its Lagrangian. However, any terms added to  
<sup>230</sup> the Lagrangian giving mass to the the gauge bosons would violate this underlying symmetry of  
<sup>231</sup> the theory. This presents a clear problem with the theory: The experimental observation that the  
<sup>232</sup> W and Z bosons have mass seems to contradict the basic structure of the SM.

<sup>233</sup> Rather than abandoning gauge invariance, an alternative way for particles to acquire mass  
<sup>234</sup> beyond adding a simple mass term to the Lagrangian was theorized by Higgs, Englert and Brout  
<sup>235</sup> in 1964 [2]. This procedure for introducing masses for the gauge bosons while preserving local  
<sup>236</sup> gauge invariance, known as the Higgs mechanism, was incorporated into the electroweak theory  
<sup>237</sup> by Weinberg in 1967 [3].

<sup>238</sup> **2.2.1 The Higgs Field**

<sup>239</sup> The Higgs mechanism introduces a complex scalar SU(2) doublet,  $\Phi$ , with the form:

$$\Phi = \begin{pmatrix} \phi^+ \\ \phi^0 \end{pmatrix}_L \quad (2.3)$$

240 This field introduces a scalar potential to the Lagrangian of the form:

$$V(\Phi) = \mu^2 |\Phi^\dagger \Phi| + \lambda (|\Phi^\dagger \Phi|)^2 \quad (2.4)$$

241 Where  $\mu$  and  $\lambda$  are free parameters of the new field. This represents the most general  
 242 potential allowed while preserving  $SU(2)_L$  invariance and renormalizability. In the case that  
 243  $\mu^2 < 0$ , this potential takes the form shown in Figure 2.2.

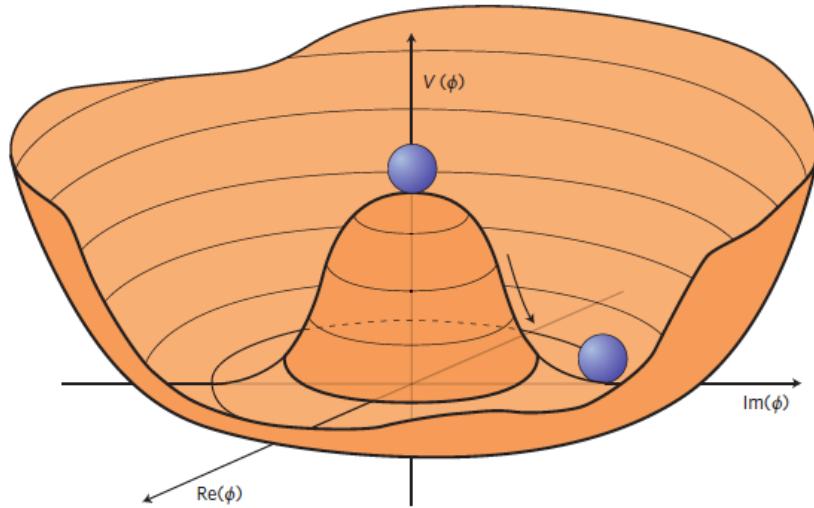


Figure 2.2: The value of the Higgs potential,  $V(\Phi)$  as a function of  $\Phi$ , for the case that  $\mu^2 < 0$  [4].

244 The significant feature of this potential is that its minimum does not occur for a value of  
 245  $\Phi = 0$ . Instead, it is minimized when  $|\Phi^\dagger \Phi| = -\mu^2/\lambda$ . This means that in its ground state, the  
 246 Higgs field takes on a non-zero value - referred to as a vacuum expectation value (VEV). So while  
 247 the Higgs potential is globally symmetric, about the minimum this symmetry is broken. Since

<sup>248</sup> the minimum is determined only by  $\Phi^\dagger \Phi$ , there is some ambiguity in the particular definition of

<sup>249</sup> the VEV, but it is generally represented as

$$\langle \Phi \rangle = \frac{1}{\sqrt{2}} \begin{pmatrix} 0 \\ v \end{pmatrix} \quad (2.5)$$

<sup>250</sup> The full value of  $\Phi$  can be written as

$$\langle \Phi \rangle = \frac{1}{\sqrt{2}} \begin{pmatrix} 0 \\ v + H/\sqrt{2} \end{pmatrix} \quad (2.6)$$

<sup>251</sup> with  $v$  being the value of the VEV, and  $H$  being the real value of the scalar field.

## <sup>252</sup> 2.2.2 Electroweak Symmetry Breaking

<sup>253</sup> The Electroweak (EWK) interaction is described in the SM by a  $SU(2)_L \otimes U(1)_Y$  gauge theory.

<sup>254</sup> This theory predicts three  $SU(2)_L$  gauge boson,  $W_\mu^1, W_\mu^2, W_\mu^3$ , and a single  $U(1)_Y$  gauge boson,

<sup>255</sup>  $B_\mu$ . The couplings of these bosons to the Higgs field show up in the kinetic terms of the scalar

<sup>256</sup> field  $\Phi$  in the Lagrangian:

$$(D_\mu \Phi)^\dagger (D^\mu \Phi) = |(\partial_\mu - \frac{i g}{2} W_\mu^a \sigma^a - \frac{i g'}{2} B_\mu Y) \phi|^2 \quad (2.7)$$

257 Here  $D_\mu$  represents the covariant derivative required to preserve gauge invariance,  $g$  and  
 258  $g'$  represent coupling constant of the gauge bosons,  $\sigma^a$  denotes the Pauli matrices of  $SU(2)$ ,  
 259 and  $Y$  represents the hypercharge of  $U(1)$ . The terms in this interaction which contribute to the  
 260 masses of the gauge bosons can be written as:

$$\frac{1}{2}(0, v) \left( \frac{g}{2} W_\mu^a \sigma^a - \frac{g'}{2} B_\mu \right)^2 \begin{pmatrix} 0 \\ v \end{pmatrix} \quad (2.8)$$

261 Expanding these terms into the mass eigenstates of the electroweak interaction yields four  
 262 physical gauge bosons, two charged and two neutral, which are linear combinations of the fields  
 263  $W_\mu^1$ ,  $W_\mu^2$ ,  $W_\mu^3$ , and  $B_\mu$ :

$$\begin{aligned} W_\mu^\pm &= \frac{1}{\sqrt{2}} (W_\mu^1 \pm i W_\mu^2) \\ Z^\mu &= \frac{1}{\sqrt{(g^2 + g'^2)}} (-g' B_\mu + g W_\mu^3) \\ A^\mu &= \frac{1}{\sqrt{(g^2 + g'^2)}} (g B_\mu + g' W_\mu^3) \end{aligned} \quad (2.9)$$

264 And the masses of these fields are given by:

$$\begin{aligned} M_W^2 &= \frac{1}{4} g^2 v^2 \\ M_Z^2 &= \frac{1}{4} (g^2 + g'^2) v^2 \\ M_A^2 &= 0 \end{aligned} \quad (2.10)$$

265 This produces exactly the particles we observe - three massive gauge bosons and a single  
 266 massless photon. The massless photon represents the portion of the gauge symmetry, a single  
 267  $U(1)$  of the electromagnetic force, that remains unbroken by the VEV.

268 Interactions with the Higgs field also lead to the generation of the fermion masses, which  
 269 in the Lagrangian take the form:

$$-\lambda_\psi(\bar{\psi}_L \phi \psi_R + \bar{\psi}_R \phi^\dagger \psi_L) \quad (2.11)$$

270 After symmetry breaking has occurred and  $\phi$  has taken on the value of the VEV as written  
 271 in equation 2.5, the mass terms of the fermions become  $\lambda_\psi v$ . Written this way, the fermion  
 272 masses are proportional to their Yukawa coupling to the VEV,  $\lambda_\psi$ .

273 Based on the equation 2.6, an additional mass term,  $\mu^2 H^2$  arises from the potential  $V(\Phi)$ .  
 274 This term can be understood as an excitation of the Higgs field, a scalar boson with mass  $M_H = \mu$ .  
 275 This is the Higgs boson, which comes about as a natural prediction of electroweak symmetry  
 276 breaking.

277 The fermions' Yukawa couplings to the VEV take the same form as the fermions' coupling  
 278 to the Higgs boson -  $\lambda_\psi$ . Therefore, the strength of a fermion's interaction with the Higgs is  
 279 directly proportional to its mass. We now have a model that predicts a Higgs boson with mass  
 280  $M_H = \mu$ , which interacts with the fermions with coupling strength  $\lambda_\psi$ . Because  $\mu$  and  $\lambda_\psi$  are

<sup>281</sup> free parameters of the theory, the mass of the Higgs boson and its interactions with the fermions

<sup>282</sup> must be measured experimentally.

<sup>283</sup> **2.3  $t\bar{t}H$  Production**

<sup>284</sup> The strength of a particles interaction with the Higgs, given by its Yukawa coupling, is propor-  
<sup>285</sup> tionate to its mass. The top quark - as the heaviest known particle - has the strongest interaction,  
<sup>286</sup> making this interaction particularly interesting to study. While several processes involve interac-  
<sup>287</sup> tions between the Higgs and the top, some Higgs production modes include the top interaction  
<sup>288</sup> only as a part of a loop diagram, such as the gluon-gluon fusion diagram shown in Figure 2.3.

<sup>289</sup> This process therefore only allows for an indirect probe of the Higgs-top Yukawa coupling, as  
<sup>290</sup> the flavor of the quark in this diagram is not unique.

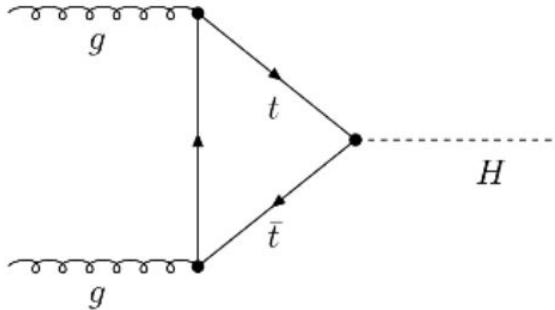


Figure 2.3: Diagram of a Higgs boson produced via gluon-gluon fusion.

<sup>291</sup> Studying the Higgs produced in association with top quark pairs,  $t\bar{t}H$ , allows this interac-  
<sup>292</sup> tion to be measured directly. This process, as shown in Figure 2.4, involves a unique coupling  
<sup>293</sup> between the Higgs and the top, which can be identified by the top quark pair in the final state.

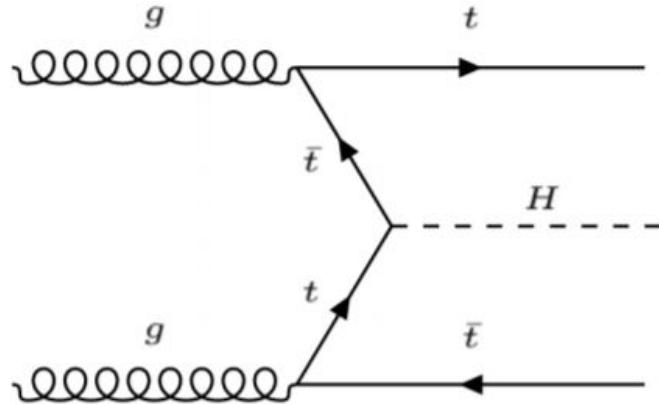


Figure 2.4: Diagram of a Higgs boson produced in association with a pair of top quarks.

294        The Higgs boson, as well as the top quarks, have very short lifetimes - on the order of  
 295         $10^{-22}$  s and  $10^{-25}$  s respectively - meaning they can only be observed via their decay products.  
 296        Measuring this process is therefore a matter of identifying events with final states consistent with  
 297         $t\bar{t}H$  production.

298        Studies of  $t\bar{t}H$  production have been reported by the ATLAS collaboration for  $H \rightarrow b\bar{b}$ ,  
 299         $H \rightarrow \gamma\gamma$  and multilepton (encompassing  $H \rightarrow W^+W^-$ ,  $H \rightarrow ZZ$  and  $H \rightarrow \tau^-\tau^+$ , with  
 300         $H \rightarrow ZZ \rightarrow 4l$  as a separate analysis) decay modes. While the branching ratio of  $H \rightarrow W^+W^-$   
 301        is smaller than  $H \rightarrow b\bar{b}$  (see Table 2.3), it produces a clearer signal, as  $H \rightarrow b\bar{b}$  suffers from  
 302        large  $t\bar{t}$  backgrounds. On the other hand,  $H \rightarrow \gamma\gamma$  produces the most easily identifiable signal,  
 303        but has a much smaller branching ratio than  $H \rightarrow W^+W^-$ . Therefore, compared with other final  
 304        states of  $t\bar{t}H$ , the  $t\bar{t}H$  – ML channel is an attractive candidate for study, as it involves a good  
 305        balance between statistical power and identifiability.

Decay Mode	Branching Ratio (%)
$H \rightarrow b\bar{b}$	58.2
$H \rightarrow WW^*$	21.4
$H \rightarrow gg$	8.19
$H \rightarrow \tau\tau$	6.27
$H \rightarrow c\bar{c}$	2.89
$H \rightarrow ZZ^*$	2.62
$H \rightarrow \gamma\gamma$	0.227

Table 1: Summary of the predominant SM Higgs ( $m_H = 125$  GeV) branching ratios. Particles with a star imply off-shell decays.

306            Searches for  $t\bar{t}H$  production typically target a measurement of the signal strength para-  
 307        meter,  $\mu_{t\bar{t}H}$ , which measures the ratio of the observed cross-section and the expected cross-section  
 308        according to the SM.

$$\mu_{t\bar{t}H} = \frac{\sigma_{t\bar{t}H}^{\text{obs.}}}{\sigma_{t\bar{t}H}^{\text{SM}}} \quad (2.12)$$

309             $t\bar{t}H$  production was observed by ATLAS using up to  $79.8 \text{ fb}^{-1}$  of data collected at  $\sqrt{s}$   
 310         $= 13 \text{ TeV}$ , based on a combination of five Higgs decay modes:  $b\bar{b}$ ,  $WW^*$ ,  $\tau^-\tau^+$ ,  $\gamma\gamma$ , and  $ZZ^*$   
 311        [5]. A significance of  $5.8\sigma$  was observed, compared to a  $4.9\sigma$  expected significance. Since then,  
 312        two analyses have published updated results ( $H \rightarrow \gamma\gamma$  and  $H \rightarrow ZZ^* \rightarrow 4l$ ) with the full Run 2  
 313        dataset, representing  $139 \text{ fb}^{-1}$ . Studies are still ongoing in the remaining channels.

314            This thesis focuses on  $t\bar{t}H$  events with multiple leptons in the final state,  $t\bar{t}H - ML$ ,  
 315        specifically targeting events with two same-sign leptons (2lSS) or three leptons (3l) in the

316 final state. This includes  $H \rightarrow W^+W^-$  events, where at least one of the  $W$  bosons decays  
317 leptonically.

318 **2.4 WZ + Heavy Flavor Production**

319 Part IV is dedicated to a measurement of WZ produced in association with a heavy flavor jet  
320 - namely, a charm or b-jet - in the fully leptonic channel. In the instance that both the  $W$   
321 and  $Z$  bosons decay leptonically, this process produces a final state similar to  $t\bar{t}H$ , making it  
322 an irreducible background for  $t\bar{t}H$  – ML specifically, and any analysis that includes multiple  
323 leptons and b-tagged jets in the final state more broadly.

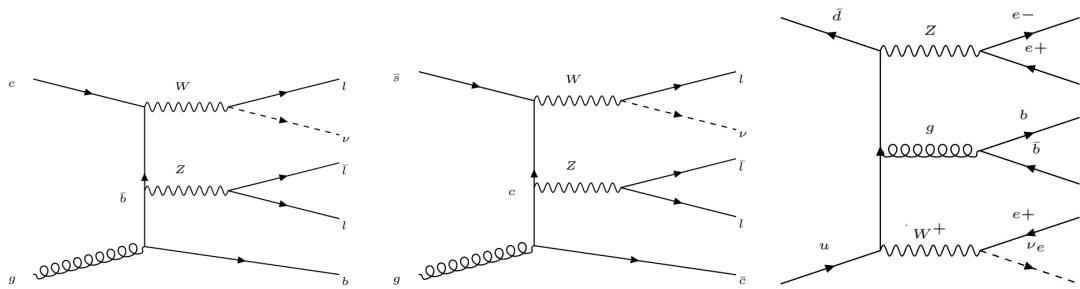


Figure 2.5: Example Feynman diagrams of  $WZ +$  heavy flavor production

324 The b-jets produced in this process can be thought of in two different ways: either as  
325 originating from the quark “sea” of the initial state hadrons, or as the result of a gluon from  
326 one the colliding protons splitting into  $b\bar{b}$  pairs. However, the heavy flavor contribution to the  
327 parton distribution function (PDF) of the proton is uncertain, and simulations of this process  
328 disagree depending on which of these two approaches one considers. This makes  $WZ +$  heavy

329 flavor difficult to accurately simulate, and introduces a large uncertainty for any analysis which  
330 includes it as a background, motivating a measurement of this process.

331 **2.5 Extensions to the Standard Model**

332 While the SM has been tested to great precision, particularly at the LHC, it is generally accepted  
333 that it is only valid up to a certain energy scale. It is assumed that above a certain energy, at the  
334 scale where something like a Grand Unified Theory (GUT) or quantum gravity become relevant,  
335 the SM will not be applicable. Further, there are several experimental observations that the SM  
336 fails to explain. For example, the SM predicts neutrinos to be massless, despite experimental  
337 observation to the contrary, and fails to explain the observation of dark matter and dark energy.

338 Another example, relevant to the Higgs sector, is known as the hierarchy problem: large  
339 quantum corrections to the Higgs mass from loop diagrams, such as those shown in Figure 2.6,  
340 are many orders of magnitude larger than the Higgs mass itself. The observed value of the Higgs  
341 mass therefore requires extremely precise cancellation between these corrections and the bare  
342 mass of the Higgs, a cancellation which seems unnatural and suggests something missing in our  
343 theoretical picture.

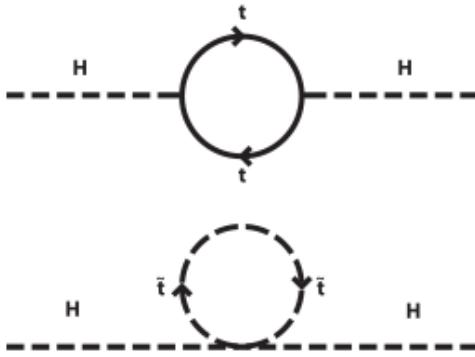


Figure 2.6: Above diagram is the leading order correction to the Higgs mass via a top quark loop, and below is the stop squark loop, coming from a supersymmetric extension of the SM, that provides a potential cancellation of the top diagram.

Because so many of the properties of the Higgs boson have not yet been studied, its interactions are a promising place to search for new physics that could resolve some of the limitations of the SM. As explained above, the interactions of the Higgs with the top quark, as in  $t\bar{t}H$  production, are particularly interesting: As the most massive particle in the Standard Model, the top quark is the most strongly interacting with the Higgs. Therefore, any new physics effects are likely to be seen most prominently in this interaction.

These interactions can be measured directly by studying the production of a Higgs Boson in association with a pair of Top Quarks ( $t\bar{t}H$ ). While this process has been observed by both the ATLAS [6] and CMS [7] collaborations, these analyses have focused on measuring the overall rate of  $t\bar{t}H$  production. There are several theories of physics Beyond the Standard Model (BSM), however, that would affect the kinematics of  $t\bar{t}H$  production without altering its overall rate [8].

356 An Effective Field Theory approach can be used to model the low energy effects of new,  
 357 high energy physics, by parameterizing BSM effects as higher dimensional operators. These  
 358 additional operators can then be added to the SM Lagrangian to write an effective Lagrangian  
 359 that accounts for the effects of these higher energy physics. The lowest order of these that could  
 360 contribute to Higgs-top couplings are dimension-six, as represented in Equation 2.13.

$$\mathcal{L}_{\text{eff}} = \mathcal{L}_{\text{SM}} + \frac{f}{\Lambda} O^6 \quad (2.13)$$

361 Here  $\Lambda$  represents the energy scale of the new physics, and  $f$  is a Wilson coefficient which  
 362 represents the strength of the effective coupling. An experimental observation of any non-zero  
 363 value of  $f$  would be a sign of BSM physics.

364 The addition of these operators can be shown to modify the transverse momentum ( $p_T$ )  
 365 spectrum of the Higgs Boson in Higg-top interactions, without effecting the overall rate of  $t\bar{t}H$   
 366 production [9]. The possible impact of these higher order effects on the Higgs  $p_T$  spectrum are  
 367 shown in Figure 2.7.

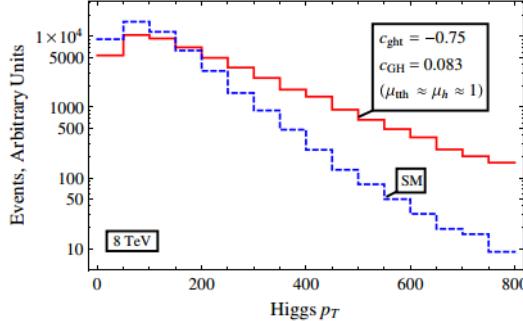


Figure 2.7: The momentum spectrum of the Higgs boson produced via top-quarks with (red) and without (blue) the presence of dimension-six operators.

368        This provides a clear, physics observable that could be used to search for evidence of  
 369        BSM physics. The energy and luminosity produced by the LHC now make such a measurement  
 370        possible. Reconstructing the momentum spectrum of the Higgs in  $t\bar{t}H$  events therefore provides  
 371        a means to search for new physics in the Higgs sector.

372        Reconstructing the Higgs is a particular challenge in the multilepton channels of  $t\bar{t}H$ , due  
 373        to an ambiguity arising from multiple sources of missing energy. In the  $H \rightarrow \gamma\gamma$  channel, the  
 374        kinematics of the Higgs can be fully reconstructed from the two photons. The same is true of  
 375         $H \rightarrow b\bar{b}$ , though with the additional challenge of identifying which two of the four b-quarks in  
 376        the final state originated from the Higgs. By contrast, the two channels (2lSS and 3l) targeted  
 377        by this analysis include at least one neutrino originating from the Higgs decay.

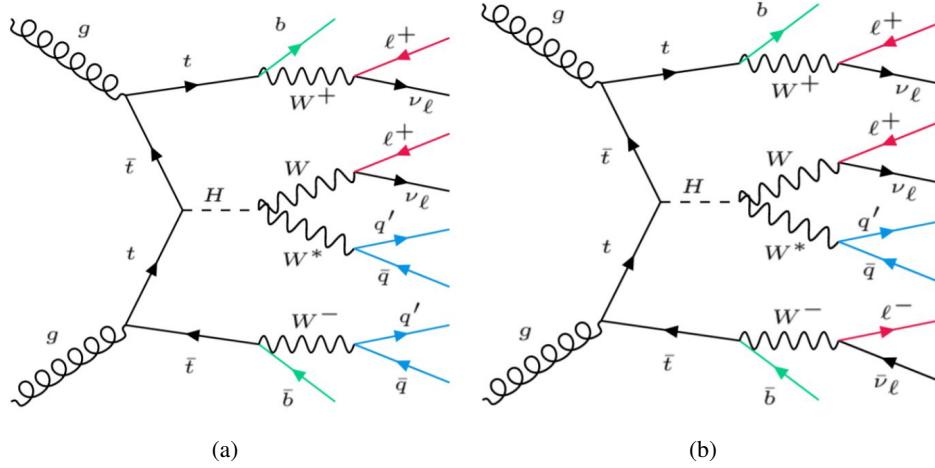


Figure 2.8: Feynman diagrams of  $t\bar{t}H$  production with (a) two same-sign leptons and (b) three leptons in the final state.

378            Neutrinos are not detected by ATLAS; instead, their presence is inferred from missing  
 379            transverse energy in the detector,  $E_{\text{miss}}^T$ . The two channels targeted here include not just a  
 380            neutrino from the Higgs decay, but at least one additional neutrino from the decay of the top-  
 381            quarks. This makes disentangling the contribution of the Higgs decay to  $E_{\text{miss}}^T$ , and thereby fully  
 382            reconstructing the Higgs, impossible.

383            This challenge motivates the use of more sophisticated machine learning techniques when  
 384            attempting to perform differential measurements of the Higgs  $p_T$  spectrum in the multi-lepton  
 385            channels of  $t\bar{t}H$ .

---

**Part III****387 The LHC and the ATLAS Detector****388 3 The LHC**

389 The Large Hadron Collider (LHC) is a particle accelerator consisting of a 27 km ring, designed  
390 to collide protons at high energy. Located outside of Geneva, Switzerland and buried about 100  
391 m underground, it consists of a ring of superconducting magnets which are used to accelerate  
392 opposing beams of protons - or lead ions - which collide at the center of one of the various  
393 detectors located around the LHC ring which record the result of these collisions. These  
394 detectors include two general purpose detectors, ATLAS and CMS, which are designed to make  
395 precision measurements of a broad range of physics phenomenon, and two more specialized  
396 experiments, LHCb and ALICE, which are optimized to study b-quarks and heavy-ion physics,  
397 respectively.

398 The LHC first began running in 2009 at a proton-proton center of mass energy of  $\sqrt{s} = 8$   
399 TeV. It operated at this energy from 2009 to 2012, known as Run 1, and data collected during  
400 this period was used in discovering the Higgs Boson. The LHC began running again in 2015,  
401 and collected data at an increased energy of  $\sqrt{s} = 13$  TeV until 2018, a period referred to as Run  
402 2.

403 The LHC consists of a chain of accelerators, which accelerate the protons to higher and

404 higher energies until they are injected into the main ring. This process is summarized in figure  
 405 3.1. Protons extracted from a tank of ionized hydrogen are fed into a linear accelerator, LINAC2,  
 406 where they reach an energy of 50 MeV. From there, they enter a series of three separate circular  
 407 accelerators, before being injected into the main accelerator ring at an energy of 450 GeV. Within  
 408 the main ring protons are separated into two separate beams moving in opposite directions,  
 409 and their energy is increased to their full collision energy. Radiofrequency cavities are used to  
 410 accelerate these particles and sort them into bunches. From 2015-2018, these bunches consisted  
 411 of around 100 billion protons each with an energy of 6.5 TeV per proton, which collided at a rate  
 412 of 40 MHz, or every 25 ns.

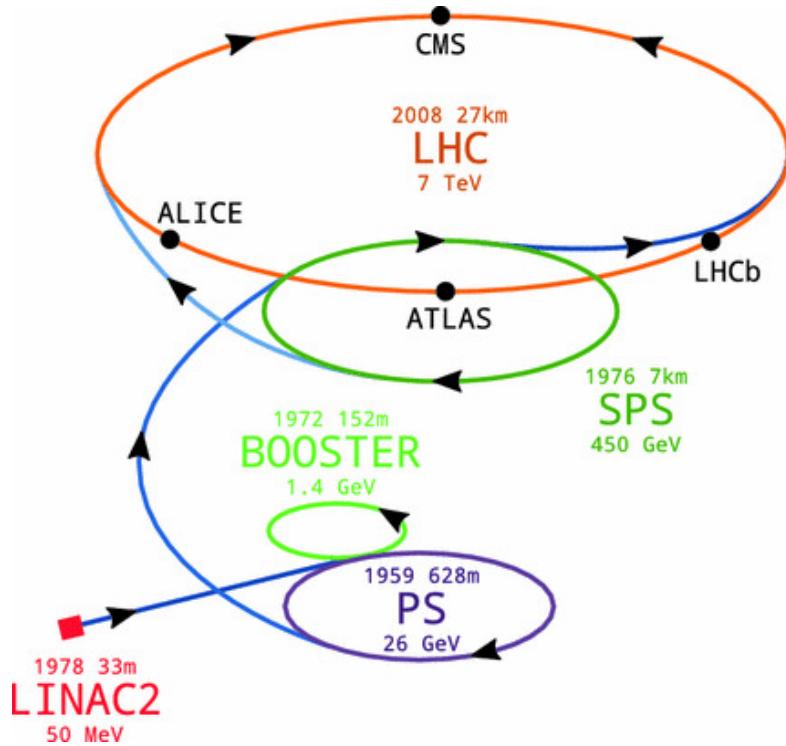


Figure 3.1: A summary of the accelerator chain used to feed protons into the LHC [10].

413        Because these proton bunches consist of a large number of particles, each bunch crossing  
 414      consists of not just one, but several direct proton-proton collisions. The number of interactions  
 415      that occur per bunch crossing,  $\mu$ , is known as pileup. During Run 2, the average pileup for bunch  
 416      crossings was around  $\langle \mu \rangle = 35$ , with values typically ranging between 10 and 70.

417        The amount of data collected by the LHC is measured in terms of luminosity, which is the  
 418      ratio of the number of events detected per unit time,  $\frac{dN}{dt}$ , and the interaction cross-section,  $\sigma$ .

$$\mathcal{L} = \frac{1}{\sigma} \frac{dN}{dt} \quad (3.1)$$

419        The design luminosity of the LHC is  $10^{34} \text{ cm}^{-2}\text{s}^{-1}$ , however the LHC has achieved a  
 420      luminosity of over  $2 \times 10^{34} \text{ cm}^{-2}\text{s}^{-1}$ . The total luminosity is then this instantaneous luminosity  
 421      integrated over time.

$$\mathcal{L}_{\text{int}} = \int \mathcal{L} dt \quad (3.2)$$

422        The integrated luminosity collected by the ATLAS detector as of the end of 2018 is around  
 423       $140 \text{ fb}^{-1}$ , exceeding the expected integrated luminosity of  $100 \text{ fb}^{-1}$ .

## 424 4 The ATLAS Detector

425 ATLAS (a not terribly natural acronym for “A Toroidal LHC Apparatus”) is a general purpose  
 426 detector designed to maximize the detection efficiency of all physics objects, including leptons,  
 427 jets, and photons. This means it is capable of measuring all SM particles, with the exception of  
 428 neutrinos, the presence of which can be inferred based on missing transverse momentum. The  
 429 detector measures 44 m long, and 25 m tall.

430 The ATLAS detector consists of multiple concentric layers, each of which serves a different  
 431 purpose in reconstructing collisions. At the very center of the detector is the interaction point  
 432 where the proton beams of the LHC collide.

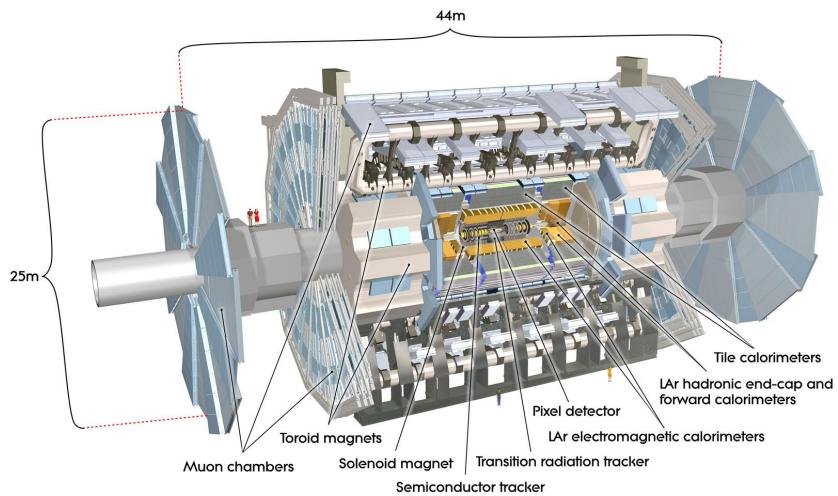


Figure 4.1: Cutaway view of the ATLAS detector, with labels of its major components [11].

433 **4.1 Inner Detector**

434 Just surrounding the interaction point is the Inner Detector, designed to track the path of charged  
 435 particles moving through the detector. An inner solenoid surrounding the Innder Detector is  
 436 used to produces a magnetic field of 2 T. This large magnetic field causes the path of charged  
 437 particles moving through the Inner Detector to bend. Because this magnetic field is uniform and  
 438 well known, it can be used in conjunction with the curvature of a particles path to measure its  
 439 charge and momentum.

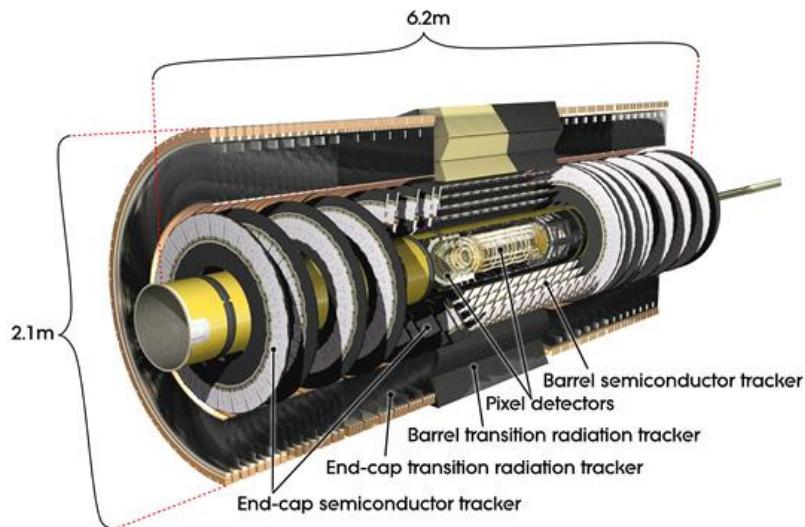


Figure 4.2: Cutaway view of the Inner Detector [12].

440 The Inner Detector consists of three components - the Pixel Detector, the Semi-Conductor  
 441 Tracker (SCT), and the Transition Radiation Tracker (TRT). The Pixel Detector is the innermost  
 442 of these, beginning just 33.25 mm away from the beam line. It consists of three silicon layers  
 443 along the barrel, as well as three endcap layers, covering a range of  $|\eta| < 2.5$ .

444        The Semiconductor Tracker (SCT) is similar to the Pixel detector, but uses long strips of  
 445        silicon rather than small pixels to cover a larger spatial area. It includes over 6 million readout  
 446        strips, allowing the position of charged particles to be measured to an accuracy of 17  $\mu\text{m}$ .

447        The outermost component of the inner detector, the TRT consists of around 300,000 straw  
 448        tubes filled with ionizable gas, which produces current through a wire in the center of each tube  
 449        when a charged particle passes through. Between these staws are layers of material designed  
 450        to produce transition radiation from ultrarelativistic particles as they pass through each material  
 451        boundary, amplifying the signal. The position uncertainty in the TRT is higher than the other  
 452        two, on the order of 200  $\mu\text{m}$ , but covering a much larger area.

## 453        4.2 Calorimeters

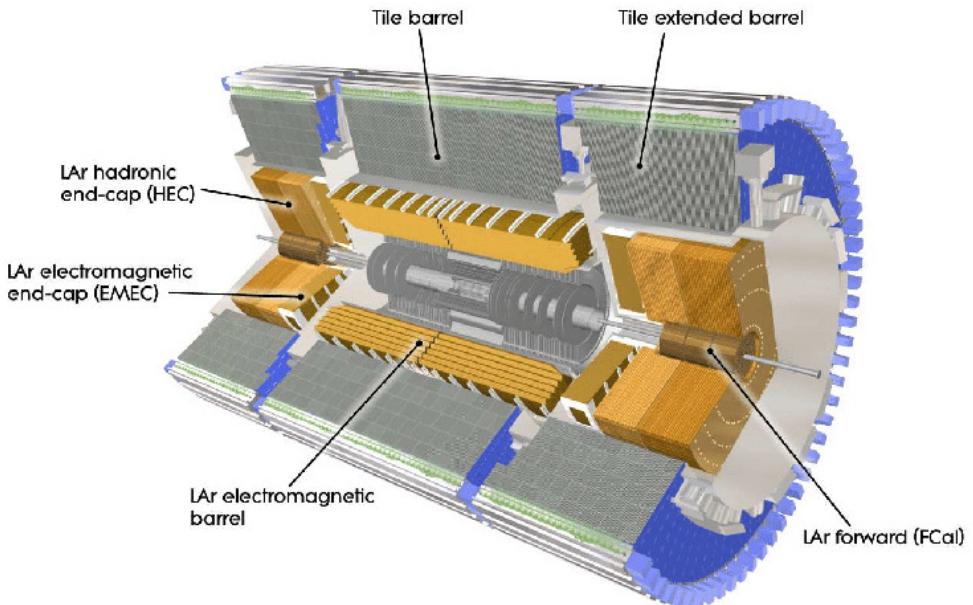


Figure 4.3: Cutaway view of the calorimeter system of the ATLAS detector [12].

454 Situated outside the Inner Detector are two concentric calorimeters. The inner calorimeter  
455 uses liquid argon (LAr) to measure the energy of particles that interact electromagnetically,  
456 which includes photons and any charged particle. The LAr calorimeter is made of heavy metals,  
457 primarily lead and copper, which causes electromagnetically interacting particles to shower,  
458 depositing their energy in the detector. The showering of the high energy particles that pass  
459 through the calorimeter cause the liquid argon to ionize, and the ionized electrons are detected  
460 by electronic readouts. The LAr calorimeter consists of around 180,000 readout channels.

461 The outer calorimeter measures the energy from particles that pass through the EM  
462 calorimeter, and measures the energy of particles that interact via the strong force. This is  
463 primarily hadrons. It is composed of steel plates designed to cause hadronic showering and  
464 around 500,000 scintillating tiles as the active material. The signals from the hadronic calorimeter  
465 are read out by photomultiplier tubes (PMTs).

### 466 **4.3 Muon Spectrometer**

467 Because muons are heavier than electrons and photons, and do not interact via the strong force,  
468 they generally pass through the detector without being stopped by the calorimeters. The outermost  
469 components of the detector are designed specifically to measure the energy and momentum of  
470 muons produced in the LHC. The muon spectrometer consists of tracking and triggering systems.

471 The largest of the subdetectors, it extends from the outside of the calorimeter system, about a  
472 4.25 m radius from the beam line, to a radius of 11 m. This large detector system is necessary

473 to accurately measure the momentum of muons, which is essential not only for measurements  
474 involving the muons themselves, but also to accurately estimate the missing energy in each  
475 event.

476 Two large toroidal magnets within the muon system generate a large magnetic field which  
477 covers an area 26 m long with a radius of 10 m. Because the area covered by this magnet system  
478 is so large, a uniform magnetic field like the one produced in the Inner Detector is impractical.  
479 Instead, the magnetic field that exists in the muon spectrometer ranges between 2 T and 8 T, and  
480 is much less uniform. The path of the muons passing through the spectrometer is bent by this  
481 field, allowing their charge to be determined.

482 1200 tracking chambers are placed in the muon system in order to precisely measure the  
483 tracks of muons with high spatial resolution. The path of the muons are tracked by Monitored  
484 Drift Tubes, which are drift chambers formed by aluminum tubes and filled with ionizing gas.  
485 These tubes produce a multi-layer spatial resolution on the order of 50  $\mu\text{m}$ .

486 **4.4 Trigger System**

487 Because of the high collision rate and large amount of data collected by the various subdetectors,  
488 ATLAS produces far more data than can actually be stored. Each event produces around 25 Mb  
489 of raw data, which multiplied by the bunch crossing rate of 40 MHz, comes out to around a  
490 petabyte of data every second. The information from every event cannot practically be stored,

491 therefore a sophisticated trigger system is employed in real time to determine whether events are  
492 sufficiently interesting to be worth storing.

493 The trigger system in ATLAS involves multiple levels, each of which select out which  
494 events move on to the next level of scrutiny. The level-1 trigger uses hardware information from  
495 the calorimeters and muon spectrometer to select events that contain candidates for particles  
496 commonly used in analysis, such as energetic leptons and jets. The level-1 trigger reduces the  
497 rate of events from 40 MHz to around 100 kHz.

498 Events that pass the level-1 trigger move to the High-Level Trigger (HLT). The HLT takes  
499 place outside of the detector in software, and looks for properties such as a large amount of  
500 missing transverse energy, well defined leptons, and multiple high energy jets. Events that pass  
501 the HLT are stored and used for analysis. Because the specifics of the HLT are determined by  
502 software rather than hardware, the thresholds can be changed throughout the run of the detector  
503 in response to run conditions such as changes to pileup and luminosity. After the HLT is applied,  
504 the event rate is reduced to around 1000 per second, which are recorded for analysis.

---

**505 Part IV****506 Measurement of WZ + Heavy Flavor****507 5 Introduction**

508 The production of  $WZ$  in association with a heavy flavor jet represents an important background  
509 for many major analyses. This includes any process with leptons and b-jets in the final state,  
510 such as  $t\bar{t}H$ ,  $t\bar{t}W$ , and  $t\bar{t}Z$ . While precise measurements have been made of  $WZ$  production  
511 [13],  $WZ$  + heavy flavor remains poorly understood. This is largely because the QCD processes  
512 involved in the production of the b-jet make it difficult to simulate accurately. This introduces a  
513 large uncertainty for analyses that include this process as a background.

514 Motivated by its relevance to the  $t\bar{t}H$  multilepton analysis, we perform a study of the fully  
515 leptonic decay mode of this channel; that is, events where both the  $W$  and  $Z$  decay leptonically.  
516 Because  $WZ$  has no associated jets at leading order, while the major backgrounds for this channel  
517 tend to have high jet multiplicity, events with more than two jets are rejected. This gives a final  
518 state signature of three leptons and one or two jets.

519 Events that meet this selection criteria are sorted into pseudo-continuous b-tagging regions  
520 based on the DL1r b-tag score of their associated jets. This is done to separate  $WZ$  + b-jet events  
521 from  $WZ$  + charm and  $WZ$  + light jets. These regions are fit to data in order to make a more  
522 accurate estimate of the contribution of  $WZ$  + heavy-flavor, where heavy-flavor jets include

523 b-jets and charm jets. The full Run-2 dataset collected by the ATLAS detector, representing 139  
524  $\text{fb}^{-1}$  of data from pp collisions at  $\sqrt{s} = 13 \text{ TeV}$ , is used for this study.

525       Section 10 details the data and Monte Carlo (MC) samples used in the analysis. The  
526 reconstruction of various physics objects is described in Section 11. Section 12 describes the  
527 event selection applied to these samples, along the definitions of the various regions used in  
528 the fit. The multivariate analysis techniques used to separate the tZ background from WZ +  
529 heavy flavor are described in Section 13. Section 20 describes the various sources of systematic  
530 uncertainties considered in the fit. Finally, the results of the analysis are summarized in Section  
531 21, followed by a brief conclusion in Section ??.

532       **The current state of the analysis shows blinded results for the full 2018 dataset.**  
533       **Regions containing >5% WZ+b events are blinded, and results are from Asimov, MC only**  
534       **fits.**

## 535       6 Data and Monte Carlo Samples

536       6.1 Data Samples

537       This study uses a sample of proton-proton collision data collected by the ATLAS detector from  
538 2015 through 2018 at an energy of  $\sqrt{s} = 13 \text{ TeV}$ , which represents an integrated luminosity of  
539  $139 \text{ fb}^{-1}$ . This data set was collected with a bunch crossing rate of 25 ns. All data used in this  
540 analysis was verified by data quality checks.

541 **6.2 Monte Carlo Samples**

542 Several different generators were used to produce Monte Carlo simulations of the signal and  
543 background processes. For all samples, the response of the ATLAS detector is simulated using  
544 Geant4. The WZ signal samples are simulated using Sherpa 2.2.2 [14]. Specific information  
545 about the Monte Carlo samples being used can be found in Table 22.

Table 2: The configurations used for event generation of signal and background processes, including the event generator, matrix element (ME) order, parton shower algorithm, and parton distribution function (PDF).

Process	Event generator	ME order	Parton Shower	PDF
WZ, VV	SHERPA 2.2.2	MEPS NLO	SHERPA	CT10
tZ	MG5_AMC	NLO	PYTHIA 8	CTEQ6L1
t̄tW	MG5_AMC (SHERPA 2.1.1)	NLO (LO multileg)	PYTHIA 8 (SHERPA)	NNPDF 3.0 NLO (NNPDF 3.0 NLO)
t̄t(Z/γ* → ll)	MG5_AMC	NLO	PYTHIA 8	NNPDF 3.0 NLO
t̄tH	MG5_AMC (MG5_AMC)	NLO (NLO)	PYTHIA 8 (HERWIG++)	NNPDF 3.0 NLO [15] (CT10 [16])
tHqb	MG5_AMC	LO	PYTHIA 8	CT10
tHW	MG5_AMC (SHERPA 2.1.1)	NLO (LO multileg)	HERWIG++ (SHERPA)	CT10 (NNPDF 3.0 NLO)
tWZ	MG5_AMC	NLO	PYTHIA 8	NNPDF 2.3 LO
t̄t̄t, t̄tt̄t̄t̄	MG5_AMC	LO	PYTHIA 8	NNPDF 2.3 LO
t̄tW+W-	MG5_AMC	LO	PYTHIA 8	NNPDF 2.3 LO
t̄t	POWHEG-BOX v2 [17]	NLO	PYTHIA 8	NNPDF 3.0 NLO
t̄t̄γ	MG5_AMC	LO	PYTHIA 8	NNPDF 2.3 LO
s-, t-channel, Wt single top	POWHEG-BOX v1 [18]	NLO	PYTHIA 6	CT10
qqVV, VVV Z → l+l-	SHERPA 2.2.1	MEPS NLO	SHERPA	NNPDF 3.0 NLO

## 546 7 Object Reconstruction

547 All regions defined in this analysis share a common lepton, jet, and overall event preselection.  
 548 The selection applied to each physics object is detailed here; the event preselection, and the  
 549 selection used to define the various fit regions, is described in Section 12.

550 All events are required to be selected by dilepton triggers. The  $p_T$  thresholds of the  
 551 dilepton trigger on two electrons were 12 GeV in 2015, 17 GeV in 2016, and 24 GeV in 2017 and  
 552 2018, while for the dimuon triggers the  $p_T$  thresholds on the leading (sub-leading) muon were  
 553 18 GeV (8 GeV) in 2015, and 22 GeV (8 GeV) in 2016-2018. For the electron+muon triggers,  
 554 the  $p_T$  thresholds on the electron (muon) were 17 GeV (14 GeV) for all datasets.

### 555 7.1 Light leptons

556 Electron candidates are reconstructed from energy clusters in the electromagnetic calorimeter  
 557 that are associated with charged particle tracks reconstructed in the inner detector [19]. Electron  
 558 candidates are required to have  $p_T > 10$  GeV and  $|\eta_{\text{cluster}}| < 2.47$ . Muon candidates are  
 559 reconstructed by combining inner detector tracks with track segments or full tracks in the muon  
 560 spectrometer [20]. Muon candidates are required to have  $p_T > 10$  GeV and  $|\eta| < 2.5$ . Candidates  
 561 in the transition region between different electromagnetic calorimeter components,  $1.37 <$   
 562  $|\eta_{\text{cluster}}| < 1.52$ , are rejected. A multivariate likelihood discriminant combining shower shape  
 563 and track information is used to distinguish real electrons from hadronic showers (fake electrons).  
 564 To further reduce the non-prompt electron contribution, the track is required to be consistent

565 with originating from the primary vertex; requirements are imposed on the transverse impact  
 566 parameter significance ( $|d_0|/\sigma_{d_0} < 5$ ) and the longitudinal impact parameter ( $|\Delta z_0 \sin \theta_\ell| < 0.5$   
 567 mm). Electron candidates are required to pass TightLH identification.

568 Muon candidates are reconstructed by combining inner detector tracks with track segments  
 569 or full tracks in the muon spectrometer [20]. Muon candidates are required to have  $p_T > 10$  GeV  
 570 and  $|\eta| < 2.5$ . The longitudinal impact parameter is the same for both electrons and muons, while  
 571 muons are required to pass a slightly tighter transverse impact parameter,  $|d_0|/\sigma_{d_0} < 3$ . Muons  
 572 are also required to pass Medium ID requirements.

573 Leptons are additionally required to pass a non-prompt BDT selection developed by the  
 574  $t\bar{t}H$  multilepton/ $t\bar{t}W$  analysis group. This BDT and the WPs used are summarized in Appendix  
 575 .1, and described in detail in [21]. Optimized working points and scale factors for this BDT are  
 576 taken from that analysis.

## 577 7.2 Jets

578 Jets are reconstructed from calibrated topological clusters built from energy deposits in the  
 579 calorimeters [22], using the anti- $k_t$  algorithm with a radius parameter  $R = 0.4$ . Particle Flow, or  
 580 PFlow, jets are used in the analysis, which are hadronic objects reconstructed using information  
 581 from both the tracker and the calorimeter. Jets with energy contributions likely arising from noise  
 582 or detector effects are removed from consideration [23], and only jets satisfying  $p_T > 25$  GeV  
 583 and  $|\eta| < 2.5$  are used in this analysis. For jets with  $p_T < 60$  GeV and  $|\eta| < 2.4$ , a jet-track

584 association algorithm is used to confirm that the jet originates from the selected primary vertex,  
 585 in order to reject jets arising from pileup collisions [24].

586 **7.3 B-tagged Jets**

587 In order to make a measurement of  $WZ +$  heavy flavor it is necessary to distinguish these events  
 588 from  $WZ +$  light jets. For this purpose, the DL1r b-tagging algorithm is used to distinguish  
 589 heavy flavor jets from lighter ones. The DL1r algorithm uses jet kinematics, particularly jet  
 590 vertex information, as input for a neural network which assigns each jet a score designed to  
 591 reflect how likely that jet is to have originated from a b-quark.

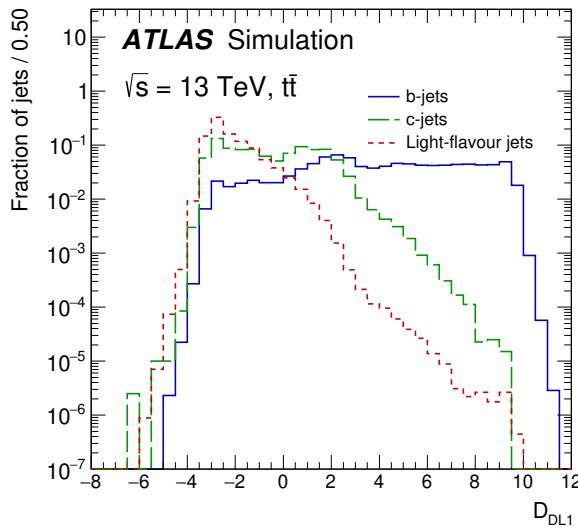


Figure 7.1: Output distribution of the DL1r algorithm for b-jets, charm jets, and light jets

592 From the output of the BDT, calibrated working points (WPs) are developed based on the  
 593 efficiency of truth b-jets at particular values of the DL1r algorithm. The working points used in

594 this analysis are summarized in Table 9.

WP	none	loose	medium	tight	tightest
b eff.	-	85%	77%	70%	60%

Table 3: B-tagging Working Points by tightness and b-jet efficiency

595 A tighter WP will accept fewer b-jets, but reject a higher fraction of charm and light jets.

596 Generally, analyses that include b-jets will use a fixed working point, for example, requiring that  
 597 a jet pass the 70% threshold. By instead treating these working point as bins, e.g. events with  
 598 jets that fall between the 85% and 77% WPs fall into one bin, while events with jets passing the  
 599 60% WP fall into another, and looking at the full psuedo-continuous DL1r spectrum of the jets,  
 600 additional information can be gained. The psuedo-continuous b-tag spectrum is used in this case  
 601 to separate out WZ + b, WZ + charm, and WZ + light.

## 602 7.4 Missing transverse energy

603 Missing transverse momentum ( $E_T^{\text{miss}}$ ) is used as part of the event selection. The missing  
 604 transverse momentum vector is defined as the inverse of the sum of the transverse momenta of  
 605 all reconstructed physics objects as well as remaining unclustered energy, the latter of which is  
 606 estimated from low- $p_T$  tracks associated with the primary vertex but not assigned to a hard object,  
 607 with object definitions taken from [25]. Light leptons considered in the  $E_T^{\text{miss}}$  reconstruction are  
 608 required to have  $p_T > 10 \text{ GeV}$ , while jets are required to have  $p_T > 20 \text{ GeV}$ .

609 **7.5 Overlap removal**

610 To avoid double counting objects and remove leptons originating from decays of hadrons, overlap  
 611 removal is performed in the following order: any electron candidate within  $\Delta R = 0.1$  of another  
 612 electron candidate with higher  $p_T$  is removed; any electron candidate within  $\Delta R = 0.1$  of a muon  
 613 candidate is removed; any jet within  $\Delta R = 0.3$  of an electron candidate is removed; if a muon  
 614 candidate and a jet lie within  $\Delta R = \min(0.4, 0.04 + 10[\text{GeV}]/p_T(\text{muon}))$  of each other, the jet  
 615 is kept and the muon is removed.

616 This algorithm is applied to the preselected objects. The overlap removal procedure is  
 617 summarized in Table 25.

<b>Keep</b>	<b>Remove</b>	<b>Cone size (<math>\Delta R</math>)</b>
electron	electron (low $p_T$ )	0.1
muon	electron	0.1
electron	jet	0.3
jet	muon	$\min(0.4, 0.04 + 10[\text{GeV}]/p_T(\text{muon}))$
electron	tau	0.2

Table 4: Summary of the overlap removal procedure between electrons, muons, and jets.

618 **8 Event Selection and Signal Region Definitions**

619 Event are required to pass a preselection described in Section 12.1 and summarized in Table 11.  
 620 Those that pass this preselection are divided into various fit regions described in Section 12.2,  
 621 based on the number of jets in the event, and the b-tag score of those jets.

---

## 622 8.1 Event Preselection

623 Events are required to include exactly three reconstructed light leptons passing the requirement  
 624 described in 11.1, which have a total charge of  $\pm 1$ .

625 The leptons are ordered in the analysis code as 0, 1, and 2. Lepton 0 is the lepton whose  
 626 charge is opposite the other two. Lepton 1 is the lepton closest to the opposite charge lepton, i.e.  
 627 the smallest  $\Delta R$ , leaving lepton 2 as the lepton further from the opposite charge lepton. Lepton  
 628 0 is required to have  $p_T > 10$  GeV, while the same sign leptons, 1 and 2, are required to have  
 629  $p_T > 20$  GeV to reduce the contribution of non-prompt leptons.

630 The invariant mass of at least one pair of opposite sign, same flavor leptons is required  
 631 to fall within 10 GeV of the mass of the Z boson, 91.2 GeV. Events where one of the opposite  
 632 sign pairs have an invariant mass less than 12 GeV are rejected in order to suppress low mass  
 633 resonances.

634 An additional requirement is placed on the missing transverse energy,  $E_T^{\text{miss}} > 20$  GeV,  
 635 and the transverse mass of the W candidate,  $m(E_T^{\text{miss}} + l_{\text{other}}) > 30$  GeV, where  $E_T^{\text{miss}}$  is the  
 636 missing transverse energy, and  $l_{\text{other}}$  is the lepton not included in the Z-candidate.

637 Events are required to have one or two reconstructed jets passing the selection described  
 638 in Section 11.2. Events with more than two jets are rejected in order to reduce the contribution  
 639 of backgrounds such as  $t\bar{t}Z$  and  $t\bar{t}W$ , which tend to have higher jet multiplicity.

Event Selection
Exactly three leptons with charge $\pm 1$
Two same-charge leptons with $p_T > 20 \text{ GeV}$
One opposite charge lepton with $p_T > 10 \text{ GeV}$
$m(l^+l^-)$ within 10 GeV of 91.2 GeV
Transverse mass of W-candidate, $m_T(E_T^{\text{miss}} + \text{lep}_{\text{other}}) > 30 \text{ GeV}$
Missing transverse energy, $E_T^{\text{miss}} > 20 \text{ GeV}$
One or two jets with $p_T > 25 \text{ GeV}$

Table 5: Summary of the selection applied to events for inclusion in the fit

640        The event yields in the preselection region for both data and Monte Carlo are summarized  
 641        in Table 12.1, which shows good agreement between data and Monte Carlo, and demonstrates  
 642        that this region consists primarily of WZ events. The WZ events are split into WZ + b, WZ +  
 643        c, and WZ + l based on the truth flavor of the associated jet in the event. In this ordering b-jet  
 644        supersede charm, which supersedes light. That is, WZ + l events contain no charm and no b jets  
 645        at truth level, WZ + c contain at least one truth charm and no b-jets, and WZ + b contains at least  
 646        one truth b-jet.

Process	Events
WZ + b	$167.6 \pm 6.5$
WZ + c	$1080 \pm 40$
WZ + l	$7220 \pm 310$
Other VV	$850 \pm 140$
t̄tW	$16.8 \pm 2.3$
t̄tZ	$115 \pm 17$
rare Top	$2.2 \pm 0.1$
Single top	$0.10 \pm 0.45$
Three top	$0.01 \pm 0.01$
Four top	$0.02 \pm 0.01$
t̄tWW	$0.23 \pm 0.05$
Z + jets	$600 \pm 260$
V + $\gamma$	$37 \pm 54$
tZ	$190 \pm 70$
tW	$5.5 \pm 1.2$
WtZ	$25.8 \pm 1.1$
VVV	$26.2 \pm 0.9$
VH	$94 \pm 7$
t̄t	$108.68 \pm 8$
t̄tH	$4.3 \pm 0.5$
Total	$10600 \pm 530$
Data	10574

Table 6: Event yields in the preselection region at  $139.0 \text{ fb}^{-1}$ 

647 Here Other VV represents diboson processes other than WZ, and consists predominantly  
 648 of  $ZZ \rightarrow ll\bar{l}\bar{l}$  events where one of the leptons is not reconstructed.

## 649 8.2 Fit Regions

650 Once preselection has been applied, the remaining events are categorized into one of twelve  
 651 orthogonal regions. The regions used in the fit are summarized in Table 13.

Table 7: A list of the regions used in the fit and the selection used for each.

Region	Selection
1j, <85%	$N_{\text{jets}} = 1, n\text{Jets\_DL1r\_85} = 0$
1j, 85%-77%	$N_{\text{jets}} = 1, n\text{Jets\_DL1r\_85} = 1, n\text{Jets\_DL1r\_77}=0$
1j, 77%-70%	$N_{\text{jets}} = 1, n\text{Jets\_DL1r\_77} = 1, n\text{Jets\_DL1r\_70}=0$
1j, 70%-60%	$N_{\text{jets}} = 1, n\text{Jets\_DL1r\_70} = 1, n\text{Jets\_DL1r\_60}=0$
1j, >60%	$N_{\text{jets}} = 1, n\text{Jets\_DL1r\_60} = 1, tZ \text{ BDT} > 0.725$
1j tZ CR	$N_{\text{jets}} = 1, n\text{Jets\_DL1r\_60} = 1, tZ \text{ BDT} < 0.725$
2j, <85%	$N_{\text{jets}} = 2, n\text{Jets\_DL1r\_85} = 0$
2j, 85%-77%	$N_{\text{jets}} = 2, n\text{Jets\_DL1r\_85} >= 1, n\text{Jets\_DL1r\_77}=0$
2j, 77%-70%	$N_{\text{jets}} = 2, n\text{Jets\_DL1r\_77} >= 1, n\text{Jets\_DL1r\_70}=0$
2j, 70%-60%	$N_{\text{jets}} = 2, n\text{Jets\_DL1r\_70} >= 1, n\text{Jets\_DL1r\_60}=0$
2j, >60%	$N_{\text{jets}} = 2, n\text{Jets\_DL1r\_60} >= 1, tZ \text{ BDT} > 0.725$
2j tZ CR	$N_{\text{jets}} = 2, n\text{Jets\_DL1r\_60} >= 1, tZ \text{ BDT} < 0.725$

652        The working points discussed in Section 11.3 are used to separate events into fit regions  
 653        based on the highest working point reached by a jet in each event. Because the background  
 654        composition differs significantly based on the number of b-jets, events are further subdivided  
 655        into 1-jet and 2-jet regions in order to minimize the impact of background uncertainties.

656        An unfolding procedure is performed to account for differences in the number of recon-  
 657        structed jets compared to the number of truth jets in each event. In order to account for migration  
 658        of WZ+1-jet and WZ+2-jet events between the 1-jet and 2-jet bins at reco level, the signal  
 659        samples are separated based on the number of truth jets. Events with 0 jets or more than 3 jets at  
 660        truth level, yet fall within one of the categories listed in Table 13, are categorized as WZ + other,  
 661        and treated as a background. The composition of the number of truth jets in each reco jet bin is  
 662        taken from MC, with uncertainties in these estimates described in detail in Section 20.

663        An additional tZ control region is created based on the BDT described in Section 13. The

664 region with 1-jet passing the 60% working point is split in two - a signal enriched region of  
665 events with a BDT score greater than 0.03, and a tZ control region including events with less  
666 than 0.03. This cutoff is arrived at by performing an Asimov fit with a variety of cutoffs, and  
667 selecting the value that produces the highest significance for the measurement of WZ + b.

668 **8.3 Non-Prompt Lepton Estimation**

669 Two processes act as sources of non-prompt leptons appear in the analysis:  $t\bar{t}$  and Z+jet  
670 production both produce two prompt leptons, and each contribute to the 3l region when an  
671 additional non-prompt lepton appears in the event. The contribution of these processes is  
672 estimated with Monte Carlo simulations, which are validated using enriched control regions.

673 The modelling in the Z+jets and  $t\bar{t}$  CRs is further validated for each of the pseudo-  
674 continuous b-tag regions used in the analysis. The relevant lepton  $p_T$  spectrum in each b-tag  
675 region is shown in Appendix .2 for these CRs after the correction factors derived below have  
676 been applied.

677 **8.3.1  $t\bar{t}$  Validation**

678  $t\bar{t}$  events can produce two prompt leptons from the decay of each of the tops. These top decays  
679 produce two b-quarks, the decay of which can produce additional non-prompt leptons, which  
680 occasionally pass the event preselection. In order to validate that the Monte Carlo accurately

681 simulates this process accurately, the MC prediction in a non-prompt  $t\bar{t}$  enriched control region  
 682 is compared to data.

683 The  $t\bar{t}$  control region is similar to the preselection region - three leptons meeting the  
 684 criteria described in Section 12 are required, and the requirements on  $E_T^{\text{miss}}$  remain the same.  
 685 However, the selection requiring a lepton pair form a Z-candidate are reversed. Events where the  
 686 invariant mass of any two opposite sign, same flavor leptons falls within 10 GeV of 91.2 GeV are  
 687 rejected. This ensures the  $t\bar{t}$  control region is orthogonal to the preselection region.

688 Further, because the jet multiplicity of  $t\bar{t}$  events tends to be higher than WZ, the number  
 689 of jets in each event is required to be greater than 1. As b-jets are almost invariably produced  
 690 from top decays, at least one b-tagged jet passing the 70% DL1r WP in each event is required.

691 Data is compared to MC predictions in the region for a variety of kinematic variable, as well  
 692 as various b-tag WPs. A constant normalization discrepancy between data and MC predictions  
 693 of approximately 10% is found, which is accounted for by applying a constant correction factor  
 694 of 0.9 to the  $t\bar{t}$  MC prediction. As data and MC are found to agree within 20% for each of  
 695 the b-tag WPs considered, a 20% systematic uncertainty on the  $t\bar{t}$  prediction is included for the  
 696 analysis.

### 697 **8.3.2 Z+jets Validation**

698 Similar to  $t\bar{t}$ , a non-prompt Z+jets control region is produced in order to validate the MC  
 699 predictions. The lepton requirements remain the same as the preselection region. Because no

700 neutrinos are present for this process, the  $E_T^{\text{miss}}$  cut is reversed, requiring  $E_T^{\text{miss}} < 30 \text{ GeV}$ . This  
 701 also ensures this control region is orthogonal to the preselection region. Further, the number of  
 702 jets in each event is required to be greater than or equal to one.

703 While there is general agreement between data and MC within statistical uncertainty, the  
 704 shape of the  $p_T$  spectrum of the lepton from the W is found to differ. To account for this  
 705 discrepancy, a variable correction factor is applied to Z+jets.  $\chi^2$  minimization of the W lepton  
 706  $p_T$  spectrum is performed to derive a correction factor of  $1.53 - 6.6 * 10^{-6}(\text{lep}_\text{Pt}_W)$ .

707 The uncertainty in the Z + jets prediction is evaluated by comparing data to MC for each  
 708 of the continuous b-tag WPs. For each of the regions considered, the data falls within 25% of  
 709 the MC prediction once this correction factor has been applied. Therefore, a 25% systematic  
 710 uncertainty is applied to Z + jets in the analysis.

## 711 9 tZ Interference Studies and Separation Multivariate Analysis

712 An important process to consider in this analysis is tZ: the top almost always decays into a W  
 713 boson and b-quark, and when both the W and Z decay leptonically, this gives three leptons and  
 714 a heavy flavor jet in the final state. Because tZ can produce a final state identical to the signal,  
 715 it represents a predominant background in the most signal enriched regions. That is, the region  
 716 with one jet passing the 60% DL1r WP. Therefore, a boosted decision tree (BDT) algorithm is  
 717 trained using XGBoost [26] to separate WZ + heavy flavor from tZ. The result of this BDT is

<sup>718</sup> used to create a tZ enriched region in the fit, reducing its impact on the measurement of WZ +  
<sup>719</sup> heavy flavor.

<sup>720</sup> The following kinematic variables are used as inputs to train this BDT:

- <sup>721</sup> • The invariant mass of the reconstructed top candidate
- <sup>722</sup> •  $p_T$  of each of the leptons, jet
- <sup>723</sup> • The invariant mass of each combination of lepton pairs,  $M(l\bar{l})$
- <sup>724</sup> •  $E_T^{\text{miss}}$
- <sup>725</sup> • Distance between each combination of leptons,  $\Delta R(l\bar{l})$
- <sup>726</sup> • Distance between each lepton and the jet,  $\Delta R(lj)$

<sup>727</sup> Here the top candidate is reconstructed based on the procedure described in section 6.1 of  
<sup>728</sup> [27]. Broadly, the mass of the top quark candidate is reconstructed from the jet, the lepton not  
<sup>729</sup> included in the Z-candidate, and a reconstructed neutrino. In the case that there is one jet in the  
<sup>730</sup> event, there is only possible b-jet candidate. For events with two jets, the jet with the highest  
<sup>731</sup> DL1r score is used.

<sup>732</sup> The training samples included only events meeting the requirements of the 1-jet, >60%  
<sup>733</sup> region, i.e. passing all the selection described in section 12 and having exactly one jet which  
<sup>734</sup> passes the tightest (60%) DL1r working point. A sample of 20,000 background (tZ) and signal

735 (WZ+b) Monte Carlo events are used to train the BDT. And additional 5,000 events are reserved  
 736 for testing the model, in order to prevent over-fitting. A total of 750 decision trees with a  
 737 maximum depth of 6 branches are used to build the model. These parameters are chosen  
 738 empirically, by training several models with different parameters and selecting the one that gave  
 739 the best separation for the test sample.

740 The results of the BDT training are shown in figure 13.1. The output scores for both signal  
 741 and background events is shown on the left. The right shows the receiving operating characteristic  
 742 (ROC) curve that results from the MVA. The ROC curve represents the background rejection  
 743 as a function of signal efficiency, where each point on the curve represents a different response  
 744 score. The ROC curve of the BDT is compared to the performance of using an optimal set of flat  
 745 selections on the same set of input variables.

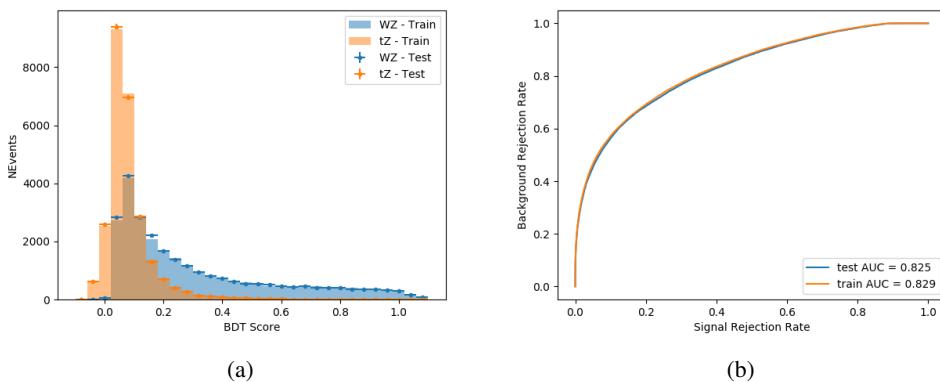


Figure 9.1: Distribution of the BDT response for signal and background events on the left, the ROC curve for the BDT on the right.

746 The relative important of each input feature in the model, measured by how often they  
 747 appeared in the decision trees, is shown in figure 13.2.

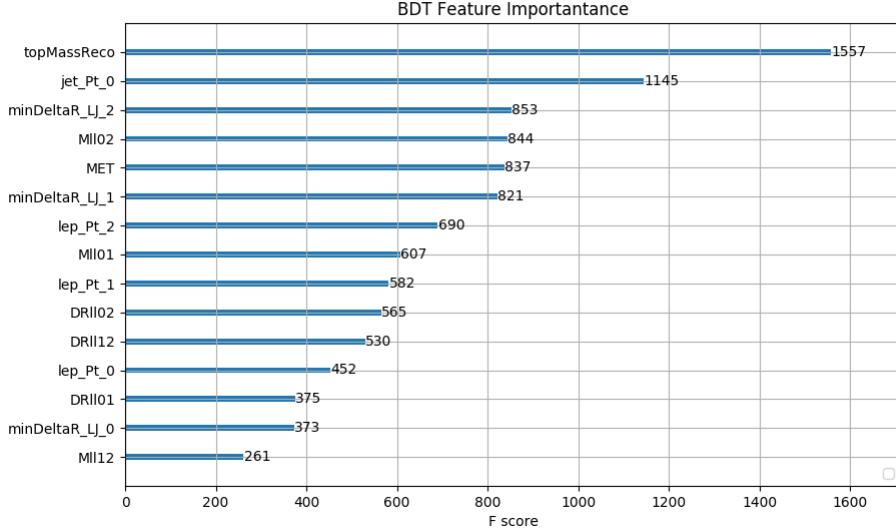


Figure 9.2: Relative importance of each input feature in the model.

748 These results suggest that some amount of separation can be achieved between these two  
 749 processes, with a high BDT score selecting a set of events that is pure in  $WZ + b$ . A BDT score  
 750 of 0.725 is selected as a cutoff, where events with scores higher than this form a signal enriched  
 751 region, and events with scores lower than this form a  $t\bar{Z}$  control region. This cutoff is selected by  
 752 varying the value of this cutoff in stat-only Asimov fits, and selecting the value that minimizes  
 753 the statistical uncertainty on  $WZ + b$ .

---

**754 10 Data and Monte Carlo Samples****755 10.1 Data Samples**

756 This study uses a sample of proton-proton collision data collected by the ATLAS detector from  
757 2015 through 2018 at an energy of  $\sqrt{s} = 13$  TeV, which represents an integrated luminosity of  
758  $139 \text{ fb}^{-1}$ . This data set was collected with a bunch crossing rate of 25 ns. All data used in this  
759 analysis was verified by data quality checks.

**760 10.2 Monte Carlo Samples**

761 Several different generators were used to produce Monte Carlo simulations of the signal and  
762 background processes. For all samples, the response of the ATLAS detector is simulated using  
763 Geant4. The WZ signal samples are simulated using Sherpa 2.2.2 [14]. Specific information  
764 about the Monte Carlo samples being used can be found in Table 22.

Table 8: The configurations used for event generation of signal and background processes, including the event generator, matrix element (ME) order, parton shower algorithm, and parton distribution function (PDF).

Process	Event generator	ME order	Parton Shower	PDF
WZ, VV	SHERPA 2.2.2	MEPS NLO	SHERPA	CT10
tZ	MG5_AMC	NLO	PYTHIA 8	CTEQ6L1
t̄tW	MG5_AMC (SHERPA 2.1.1)	NLO (LO multileg)	PYTHIA 8 (SHERPA)	NNPDF 3.0 NLO (NNPDF 3.0 NLO)
t̄t(Z/γ* → ll)	MG5_AMC	NLO	PYTHIA 8	NNPDF 3.0 NLO
t̄tH	MG5_AMC (MG5_AMC)	NLO (NLO)	PYTHIA 8 (HERWIG++)	NNPDF 3.0 NLO [15]
tHqb	MG5_AMC	LO	PYTHIA 8	CT10
tHW	MG5_AMC (SHERPA 2.1.1)	NLO (LO multileg)	HERWIG++ (SHERPA)	CT10 (NNPDF 3.0 NLO)
tWZ	MG5_AMC	NLO	PYTHIA 8	NNPDF 2.3 LO
t̄t̄t, t̄t̄t̄t	MG5_AMC	LO	PYTHIA 8	NNPDF 2.3 LO
t̄tW+W-	MG5_AMC	LO	PYTHIA 8	NNPDF 2.3 LO
t̄t	POWHEG-BOX v2 [17]	NLO	PYTHIA 8	NNPDF 3.0 NLO
t̄t̄γ	MG5_AMC	LO	PYTHIA 8	NNPDF 2.3 LO
s-, t-channel, Wt single top	POWHEG-BOX v1 [18]	NLO	PYTHIA 6	CT10
qqVV, VVV				
Z → l+l-	SHERPA 2.2.1	MEPS NLO	SHERPA	NNPDF 3.0 NLO

## 11 Object Reconstruction

All regions defined in this analysis share a common lepton, jet, and overall event preselection.

767 The selection applied to each physics object is detailed here; the event preselection, and the

selection used to define the various fit regions, is described in Section 12.

All events are required to be selected by dilepton triggers. The  $p_T$  thresholds of the

770 dilepton trigger on two electrons were 12 GeV in 2015, 17 GeV in 2016, and 24 GeV in 2017 and

771 2018, while for the dimuon triggers the  $p_T$  thresholds on the leading (sub-leading) muon were

<sup>772</sup> 18 GeV (8 GeV) in 2015, and 22 GeV (8 GeV) in 2016-2018. For the electron+muon triggers,

<sup>773</sup> the  $p_T$  thresholds on the electron (muon) were 17 GeV (14 GeV) for all datasets.

<sup>774</sup> **11.1 Light leptons**

<sup>775</sup> Electron candidates are reconstructed from energy clusters in the electromagnetic calorimeter

<sup>776</sup> that are associated with charged particle tracks reconstructed in the inner detector [19]. Electron

<sup>777</sup> candidates are required to have  $p_T > 10$  GeV and  $|\eta_{\text{cluster}}| < 2.47$ . Muon candidates are

<sup>778</sup> reconstructed by combining inner detector tracks with track segments or full tracks in the muon

<sup>779</sup> spectrometer [20]. Muon candidates are required to have  $p_T > 10$  GeV and  $|\eta| < 2.5$ . Candidates

<sup>780</sup> in the transition region between different electromagnetic calorimeter components,  $1.37 <$

<sup>781</sup>  $|\eta_{\text{cluster}}| < 1.52$ , are rejected. A multivariate likelihood discriminant combining shower shape

<sup>782</sup> and track information is used to distinguish real electrons from hadronic showers (fake electrons).

<sup>783</sup> To further reduce the non-prompt electron contribution, the track is required to be consistent

<sup>784</sup> with originating from the primary vertex; requirements are imposed on the transverse impact

<sup>785</sup> parameter significance ( $|d_0|/\sigma_{d_0} < 5$ ) and the longitudinal impact parameter ( $|\Delta z_0 \sin \theta_\ell| < 0.5$

<sup>786</sup> mm). Electron candidates are required to pass TightLH identification.

<sup>787</sup> Muon candidates are reconstructed by combining inner detector tracks with track segments

<sup>788</sup> or full tracks in the muon spectrometer [20]. Muon candidates are required to have  $p_T > 10$  GeV

<sup>789</sup> and  $|\eta| < 2.5$ . The longitudinal impact parameter is the same for both electrons and muons, while

790 muons are required to pass a slightly tighter transverse impact parameter,  $|d_0|/\sigma_{d_0} < 3$ . Muons  
791 are also required to pass Medium ID requirements.

792 Leptons are additionally required to pass a non-prompt BDT selection developed by the  
793  $t\bar{t}H$  multilepton/ $t\bar{t}W$  analysis group. This BDT and the WPs used are summarized in Appendix  
794 .1, and described in detail in [21]. Optimized working points and scale factors for this BDT are  
795 taken from that analysis.

## 796 **11.2 Jets**

797 Jets are reconstructed from calibrated topological clusters built from energy deposits in the  
798 calorimeters [22], using the anti- $k_t$  algorithm with a radius parameter  $R = 0.4$ . Particle Flow, or  
799 PFlow, jets are used in the analysis, which are hadronic objects reconstructed using information  
800 from both the tracker and the calorimeter. Jets with energy contributions likely arising from noise  
801 or detector effects are removed from consideration [23], and only jets satisfying  $p_T > 25$  GeV  
802 and  $|\eta| < 2.5$  are used in this analysis. For jets with  $p_T < 60$  GeV and  $|\eta| < 2.4$ , a jet-track  
803 association algorithm is used to confirm that the jet originates from the selected primary vertex,  
804 in order to reject jets arising from pileup collisions [24].

## 805 **11.3 B-tagged Jets**

806 In order to make a measurement of  $WZ +$  heavy flavor it is necessary to distinguish these events  
807 from  $WZ +$  light jets. For this purpose, the DL1r b-tagging algorithm is used to distinguish

808 heavy flavor jets from lighter ones. The DL1r algorithm uses jet kinematics, particularly jet  
 809 vertex information, as input for a neural network which assigns each jet a score designed to  
 810 reflect how likely that jet is to have originated from a b-quark.

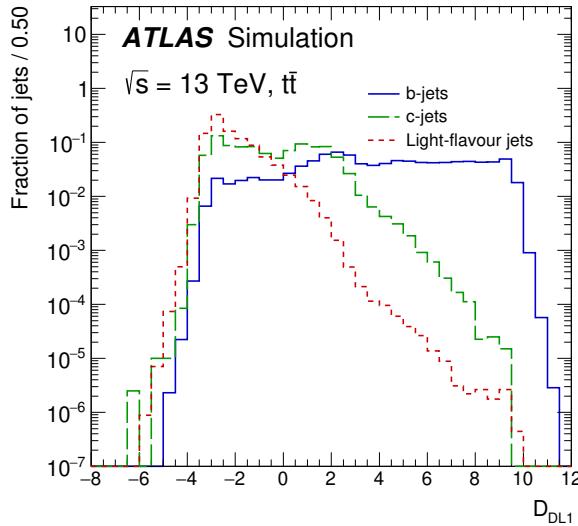


Figure 11.1: Output distribution of the DL1r algorithm for b-jets, charm jets, and light jets

811 From the output of the BDT, calibrated working points (WPs) are developed based on the  
 812 efficiency of truth b-jets at particular values of the DL1r algorithm. The working points used in  
 813 this analysis are summarized in Table 9.

WP	none	loose	medium	tight	tightest
b eff.	-	85%	77%	70%	60%

Table 9: B-tagging Working Points by tightness and b-jet efficiency

814 A tighter WP will accept fewer b-jets, but reject a higher fraction of charm and light jets.  
 815 Generally, analyses that include b-jets will use a fixed working point, for example, requiring that

816 a jet pass the 70% threshold. By instead treating these working point as bins, e.g. events with  
817 jets that fall between the 85% and 77% WPs fall into one bin, while events with jets passing the  
818 60% WP fall into another, and looking at the full psuedo-continuous DL1r spectrum of the jets,  
819 additional information can be gained. The psuedo-continuous b-tag spectrum is used in this case  
820 to separate out  $WZ + b$ ,  $WZ + \text{charm}$ , and  $WZ + \text{light}$ .

## 821 **11.4 Missing transverse energy**

822 Missing transverse momentum ( $E_T^{\text{miss}}$ ) is used as part of the event selection. The missing  
823 transverse momentum vector is defined as the inverse of the sum of the transverse momenta of  
824 all reconstructed physics objects as well as remaining unclustered energy, the latter of which is  
825 estimated from low- $p_T$  tracks associated with the primary vertex but not assigned to a hard object,  
826 with object definitions taken from [25]. Light leptons considered in the  $E_T^{\text{miss}}$  reconstruction are  
827 required to have  $p_T > 10$  GeV, while jets are required to have  $p_T > 20$  GeV.

## 828 **11.5 Overlap removal**

829 To avoid double counting objects and remove leptons originating from decays of hadrons, overlap  
830 removal is performed in the following order: any electron candidate within  $\Delta R = 0.1$  of another  
831 electron candidate with higher  $p_T$  is removed; any electron candidate within  $\Delta R = 0.1$  of a muon  
832 candidate is removed; any jet within  $\Delta R = 0.3$  of an electron candidate is removed; if a muon

833 candidate and a jet lie within  $\Delta R = \min(0.4, 0.04 + 10[\text{GeV}]/p_T(\text{muon}))$  of each other, the jet  
834 is kept and the muon is removed.

835 This algorithm is applied to the preselected objects. The overlap removal procedure is  
836 summarized in Table 25.

Keep	Remove	Cone size ( $\Delta R$ )
electron	electron (low $p_T$ )	0.1
muon	electron	0.1
electron	jet	0.3
jet	muon	$\min(0.4, 0.04 + 10[\text{GeV}]/p_T(\text{muon}))$
electron	tau	0.2

Table 10: Summary of the overlap removal procedure between electrons, muons, and jets.

## 837 12 Event Selection and Signal Region Definitions

838 Event are required to pass a preselection described in Section 12.1 and summarized in Table 11.  
839 Those that pass this preselection are divided into various fit regions described in Section 12.2,  
840 based on the number of jets in the event, and the b-tag score of those jets.

### 841 12.1 Event Preselection

842 Events are required to include exactly three reconstructed light leptons passing the requirement  
843 described in 11.1, which have a total charge of  $\pm 1$ .

844        The leptons are ordered in the analysis code as 0, 1, and 2. Lepton 0 is the lepton whose  
 845        charge is opposite the other two. Lepton 1 is the lepton closest to the opposite charge lepton, i.e.  
 846        the smallest  $\Delta R$ , leaving lepton 2 as the lepton further from the opposite charge lepton. Lepton  
 847        0 is required to have  $p_T > 10$  GeV, while the same sign leptons, 1 and 2, are required to have  
 848         $p_T > 20$  GeV to reduce the contribution of non-prompt leptons.

849        The invariant mass of at least one pair of opposite sign, same flavor leptons is required  
 850        to fall within 10 GeV of the mass of the Z boson, 91.2 GeV. Events where one of the opposite  
 851        sign pairs have an invariant mass less than 12 GeV are rejected in order to suppress low mass  
 852        resonances.

853        An additional requirement is placed on the missing transverse energy,  $E_T^{\text{miss}} > 20$  GeV,  
 854        and the transverse mass of the W candidate,  $m(E_T^{\text{miss}} + l_{\text{other}}) > 30$  GeV, where  $E_T^{\text{miss}}$  is the  
 855        missing transverse energy, and  $l_{\text{other}}$  is the lepton not included in the Z-candidate.

856        Events are required to have one or two reconstructed jets passing the selection described  
 857        in Section 11.2. Events with more than two jets are rejected in order to reduce the contribution  
 858        of backgrounds such as  $t\bar{t}Z$  and  $t\bar{t}W$ , which tend to have higher jet multiplicity.

---

#### Event Selection

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- Exactly three leptons with charge  $\pm 1$
  - Two same-charge leptons with  $p_T > 20$  GeV
  - One opposite charge lepton with  $p_T > 10$  GeV
  - $m(l^+l^-)$  within 10 GeV of 91.2 GeV
  - Transverse mass of W-candidate,  $m_T(E_T^{\text{miss}} + \text{lep}_{\text{other}}) > 30$  GeV
  - Missing transverse energy,  $E_T^{\text{miss}} > 20$  GeV
  - One or two jets with  $p_T > 25$  GeV
- 

Table 11: Summary of the selection applied to events for inclusion in the fit

859        The event yields in the preselection region for both data and Monte Carlo are summarized  
 860        in Table 12.1, which shows good agreement between data and Monte Carlo, and demonstrates  
 861        that this region consists primarily of WZ events. The WZ events are split into WZ + b, WZ +  
 862        c, and WZ + l based on the truth flavor of the associated jet in the event. In this ordering b-jet  
 863        supersede charm, which supersides light. That is, WZ + l events contain no charm and no b jets  
 864        at truth level, WZ + c contain at least one truth charm and no b-jets, and WZ + b contains at least  
 865        one truth b-jet.

Process	Events
WZ + b	$167.6 \pm 6.5$
WZ + c	$1080 \pm 40$
WZ + l	$7220 \pm 310$
Other VV	$850 \pm 140$
$t\bar{t}W$	$16.8 \pm 2.3$
$t\bar{t}Z$	$115 \pm 17$
rare Top	$2.2 \pm 0.1$
Single top	$0.10 \pm 0.45$
Three top	$0.01 \pm 0.01$
Four top	$0.02 \pm 0.01$
$t\bar{t}WW$	$0.23 \pm 0.05$
Z + jets	$600 \pm 260$
V + $\gamma$	$37 \pm 54$
tZ	$190 \pm 70$
tW	$5.5 \pm 1.2$
WtZ	$25.8 \pm 1.1$
VVV	$26.2 \pm 0.9$
VH	$94 \pm 7$
t $\bar{t}$	$108.68 \pm 8$
t $\bar{t}H$	$4.3 \pm 0.5$
Total	$10600 \pm 530$
Data	10574

Table 12: Event yields in the preselection region at  $139.0 \text{ fb}^{-1}$

866        Here Other VV represents diboson processes other than WZ, and consists predominantly

867 of  $ZZ \rightarrow llll$  events where one of the leptons is not reconstructed.

## 868 12.2 Fit Regions

869 Once preselection has been applied, the remaining events are categorized into one of twelve  
870 orthogonal regions. The regions used in the fit are summarized in Table 13.

Table 13: A list of the regions used in the fit and the selection used for each.

Region	Selection
1j, <85%	$N_{\text{jets}} = 1, n\text{Jets}_{\text{DL1r}_85} = 0$
1j, 85%-77%	$N_{\text{jets}} = 1, n\text{Jets}_{\text{DL1r}_85} = 1, n\text{Jets}_{\text{DL1r}_77} = 0$
1j, 77%-70%	$N_{\text{jets}} = 1, n\text{Jets}_{\text{DL1r}_77} = 1, n\text{Jets}_{\text{DL1r}_70} = 0$
1j, 70%-60%	$N_{\text{jets}} = 1, n\text{Jets}_{\text{DL1r}_70} = 1, n\text{Jets}_{\text{DL1r}_60} = 0$
1j, >60%	$N_{\text{jets}} = 1, n\text{Jets}_{\text{DL1r}_60} = 1, tZ \text{ BDT} > 0.725$
1j tZ CR	$N_{\text{jets}} = 1, n\text{Jets}_{\text{DL1r}_60} = 1, tZ \text{ BDT} < 0.725$
2j, <85%	$N_{\text{jets}} = 2, n\text{Jets}_{\text{DL1r}_85} = 0$
2j, 85%-77%	$N_{\text{jets}} = 2, n\text{Jets}_{\text{DL1r}_85} \geq 1, n\text{Jets}_{\text{DL1r}_77} = 0$
2j, 77%-70%	$N_{\text{jets}} = 2, n\text{Jets}_{\text{DL1r}_77} \geq 1, n\text{Jets}_{\text{DL1r}_70} = 0$
2j, 70%-60%	$N_{\text{jets}} = 2, n\text{Jets}_{\text{DL1r}_70} \geq 1, n\text{Jets}_{\text{DL1r}_60} = 0$
2j, >60%	$N_{\text{jets}} = 2, n\text{Jets}_{\text{DL1r}_60} \geq 1, tZ \text{ BDT} > 0.725$
2j tZ CR	$N_{\text{jets}} = 2, n\text{Jets}_{\text{DL1r}_60} \geq 1, tZ \text{ BDT} < 0.725$

871 The working points discussed in Section 11.3 are used to separate events into fit regions  
872 based on the highest working point reached by a jet in each event. Because the background  
873 composition differs significantly based on the number of b-jets, events are further subdivided  
874 into 1-jet and 2-jet regions in order to minimize the impact of background uncertainties.

875 An unfolding procedure is performed to account for differences in the number of recon-  
876 structed jets compared to the number of truth jets in each event. In order to account for migration

877 of WZ+1-jet and WZ+2-jet events between the 1-jet and 2-jet bins at reco level, the signal  
878 samples are separated based on the number of truth jets. Events with 0 jets or more than 3 jets at  
879 truth level, yet fall within one of the categories listed in Table 13, are categorized as WZ + other,  
880 and treated as a background. The composition of the number of truth jets in each reco jet bin is  
881 taken from MC, with uncertainties in these estimates described in detail in Section 20.

882 An additional tZ control region is created based on the BDT described in Section 13. The  
883 region with 1-jet passing the 60% working point is split in two - a signal enriched region of  
884 events with a BDT score greater than 0.03, and a tZ control region including events with less  
885 than 0.03. This cutoff is arrived at by performing an Asimov fit with a variety of cutoffs, and  
886 selecting the value that produces the highest significance for the measurement of WZ + b.

### 887 **12.3 Non-Prompt Lepton Estimation**

888 Two processes act as sources of non-prompt leptons appear in the analysis:  $t\bar{t}$  and Z+jet  
889 production both produce two prompt leptons, and each contribute to the 31 region when an  
890 additional non-prompt lepton appears in the event. The contribution of these processes is  
891 estimated with Monte Carlo simulations, which are validated using enriched control regions.

892 The modelling in the Z+jets and  $t\bar{t}$  CRs is further validated for each of the pseudo-  
893 continuous b-tag regions used in the analysis. The relevant lepton  $p_T$  spectrum in each b-tag  
894 region is shown in Appendix .2 for these CRs after the correction factors derived below have  
895 been applied.

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**896 12.3.1  $t\bar{t}$  Validation**

897  $t\bar{t}$  events can produce two prompt leptons from the decay of each of the tops. These top decays  
 898 produce two b-quarks, the decay of which can produce additional non-prompt leptons, which  
 899 occasionally pass the event preselection. In order to validate that the Monte Carlo accurately  
 900 simulates this process accurately, the MC prediction in a non-prompt  $t\bar{t}$  enriched control region  
 901 is compared to data.

902 The  $t\bar{t}$  control region is similar to the preselection region - three leptons meeting the  
 903 criteria described in Section 12 are required, and the requirements on  $E_T^{\text{miss}}$  remain the same.  
 904 However, the selection requiring a lepton pair form a Z-candidate are reversed. Events where the  
 905 invariant mass of any two opposite sign, same flavor leptons falls within 10 GeV of 91.2 GeV are  
 906 rejected. This ensures the  $t\bar{t}$  control region is orthogonal to the preselection region.

907 Further, because the jet multiplicity of  $t\bar{t}$  events tends to be higher than WZ, the number  
 908 of jets in each event is required to be greater than 1. As b-jets are almost invariably produced  
 909 from top decays, at least one b-tagged jet passing the 70% DL1r WP in each event is required.

910 Data is compared to MC predictions in the region for a variety of kinematic variable, as well  
 911 as various b-tag WPs. A constant normalization discrepancy between data and MC predictions  
 912 of approximately 10% is found, which is accounted for by applying a constant correction factor  
 913 of 0.9 to the  $t\bar{t}$  MC prediction. As data and MC are found to agree within 20% for each of  
 914 the b-tag WPs considered, a 20% systematic uncertainty on the  $t\bar{t}$  prediction is included for the  
 915 analysis.

916 **12.3.2 Z+jets Validation**

917 Similar to  $t\bar{t}$ , a non-prompt  $Z$ +jets control region is produced in order to validate the MC  
 918 predictions. The lepton requirements remain the same as the preselection region. Because no  
 919 neutrinos are present for this process, the  $E_T^{\text{miss}}$  cut is reversed, requiring  $E_T^{\text{miss}} < 30 \text{ GeV}$ . This  
 920 also ensures this control region is orthogonal to the preselection region. Further, the number of  
 921 jets in each event is required to be greater than or equal to one.

922 While there is general agreement between data and MC within statistical uncertainty, the  
 923 shape of the  $p_T$  spectrum of the lepton from the  $W$  is found to differ. To account for this  
 924 discrepancy, a variable correction factor is applied to  $Z$ +jets.  $\chi^2$  minimization of the  $W$  lepton  
 925  $p_T$  spectrum is performed to derive a correction factor of  $1.53 - 6.6 * 10^{-6}(\text{lep}_\text{Pt}_W)$ .

926 The uncertainty in the  $Z + \text{jets}$  prediction is evaluated by comparing data to MC for each  
 927 of the continuous b-tag WPs. For each of the regions considered, the data falls within 25% of  
 928 the MC prediction once this correction factor has been applied. Therefore, a 25% systematic  
 929 uncertainty is applied to  $Z + \text{jets}$  in the analysis.

930 **13 tZ Interference Studies and Separation Multivariate Analysis**

931 An important process to consider in this analysis is  $tZ$ : the top almost always decays into a  $W$   
 932 boson and b-quark, and when both the  $W$  and  $Z$  decay leptonically, this gives three leptons and  
 933 a heavy flavor jet in the final state. Because  $tZ$  can produce a final state identical to the signal,

934 it represents a predominant background in the most signal enriched regions. That is, the region  
 935 with one jet passing the 60% DL1r WP. Therefore, a boosted decision tree (BDT) algorithm is  
 936 trained using XGBoost [26] to separate WZ + heavy flavor from tZ. The result of this BDT is  
 937 used to create a tZ enriched region in the fit, reducing its impact on the measurement of WZ +  
 938 heavy flavor.

939 The following kinematic variables are used as inputs to train this BDT:

- 940 • The invariant mass of the reconstructed top candidate
- 941 •  $p_T$  of each of the leptons, jet
- 942 • The invariant mass of each combination of lepton pairs,  $M(l\bar{l})$
- 943 •  $E_T^{\text{miss}}$
- 944 • Distance between each combination of leptons,  $\Delta R(l\bar{l})$
- 945 • Distance between each lepton and the jet,  $\Delta R(lj)$

946 Here the top candidate is reconstructed based on the procedure described in section 6.1 of  
 947 [27]. Broadly, the mass of the top quark candidate is reconstructed from the jet, the lepton not  
 948 included in the Z-candidate, and a reconstructed neutrino. In the case that there is one jet in the  
 949 event, there is only possible b-jet candidate. For events with two jets, the jet with the highest  
 950 DL1r score is used.

951        The training samples included only events meeting the requirements of the 1-jet, >60%  
952        region, i.e. passing all the selection described in section 12 and having exactly one jet which  
953        passes the tightest (60%) DL1r working point. A sample of 20,000 background (tZ) and signal  
954        (WZ+b) Monte Carlo events are used to train the BDT. And additional 5,000 events are reserved  
955        for testing the model, in order to prevent over-fitting. A total of 750 decision trees with a  
956        maximum depth of 6 branches are used to build the model. These parameters are chosen  
957        empirically, by training several models with different parameters and selecting the one that gave  
958        the best separation for the test sample.

959        The results of the BDT training are shown in figure 13.1. The output scores for both signal  
960        and background events is shown on the left. The right shows the receiving operating characteristic  
961        (ROC) curve that results from the MVA. The ROC curve represents the background rejection  
962        as a function of signal efficiency, where each point on the curve represents a different response  
963        score. The ROC curve of the BDT is compared to the performance of using an optimal set of flat  
964        selections on the same set of input variables.

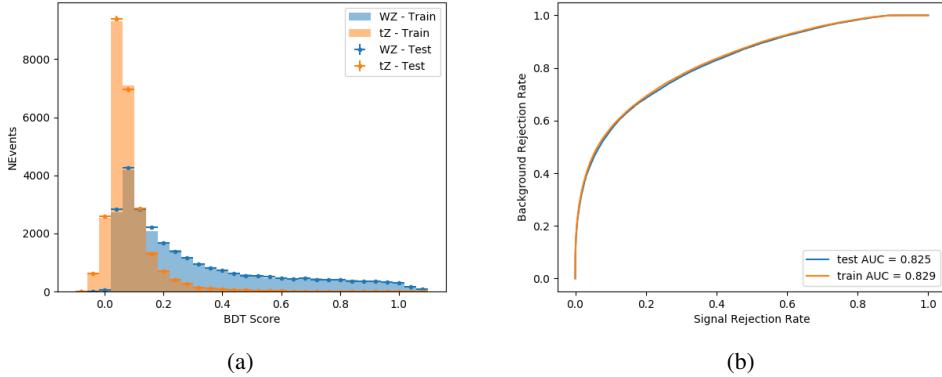


Figure 13.1: Distribution of the BDT response for signal and background events on the left, the ROC curve for the BDT on the right.

965        The relative important of each input feature in the model, measured by how often they  
 966        appeared in the decision trees, is shown in figure 13.2.

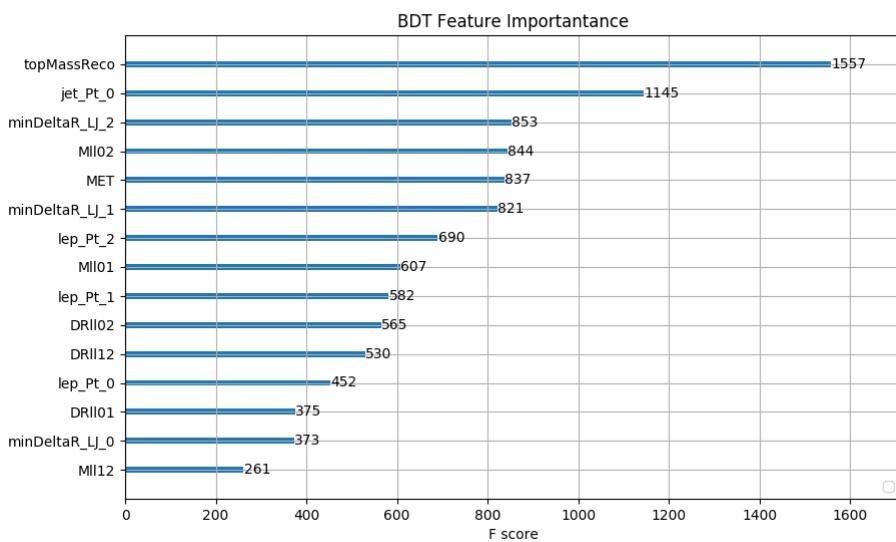


Figure 13.2: Relative importance of each input feature in the model.

967 These results suggest that some amount of separation can be achieved between these two  
968 processes, with a high BDT score selecting a set of events that is pure in  $WZ + b$ . A BDT score  
969 of 0.725 is selected as a cutoff, where events with scores higher than this form a signal enriched  
970 region, and events with scores lower than this form a  $t\bar{Z}$  control region. This cutoff is selected by  
971 varying the value of this cutoff in stat-only Asimov fits, and selecting the value that minimizes  
972 the statistical uncertainty on  $WZ + b$ .

## 973 **14 Systematic Uncertainties**

974 The systematic uncertainties that are considered are summarized in Table 43. These are imple-  
975 mented in the fit either as a normalization factors or as a shape variation or both in the signal  
976 and background estimations. The numerical impact of each of these uncertainties is outlined in  
977 Section 21.

Table 14: Sources of systematic uncertainty considered in the analysis.

Systematic uncertainty	Components
Luminosity	1
Pileup reweighting	1
<b>Physics Objects</b>	
Electron	6
Muon	15
Jet energy scale	28
Jet energy resolution	8
Jet vertex fraction	1
Jet flavor tagging	131
$E_T^{\text{miss}}$	3
Total (Experimental)	194
<b>Signal Modeling</b>	
Shape modelling	3
Renormalization and factorization scales	5
nJet Migration	5
<b>Background Modeling</b>	
Cross section	15
Renormalization and factorization scales	12
Total (Signal and background modeling)	35
Total (Overall)	230

978        The uncertainty in the combined integrated luminosity is derived from a calibration of the  
 979        luminosity scale performed for 13 TeV proton-proton collisions [28], [29].

980        The experimental uncertainties are related to the reconstruction and identification of light  
 981        leptons and b-tagging of jets, and to the reconstruction of  $E_T^{\text{miss}}$ . The sources which contribute to  
 982        the uncertainty in the jet energy scale (JES) [30] are decomposed into uncorrelated components  
 983        and treated as independent sources of uncertainty in the analysis. These are treated as 30  
 984        nuisance parameters included in the fit. A similar approach is used for the jet energy resolution

985 (JER) uncertainty, which is decomposed into 8 JER uncertainty components included as NPs in  
986 the fit.

987 The uncertainties in the b-tagging efficiencies measured in dedicated calibration analyses  
988 [31] are also decomposed into uncorrelated components. The large number of components for  
989 b-tagging is due to the calibration of the distribution of the MVA discriminant.

990 Theoretical uncertainties applied to MC predictions, including cross section, PDF, and scale  
991 uncertainties are taken from theory calculations, with the exception of non-prompt and dibo-  
992 son backgrounds. The cross-section uncertainty on tZ is taken from [32]. Derivation of the  
993 non-prompt background uncertainties, Z+jets and tt>, are explained in Section 12.3. These  
994 normalization uncertainties are chosen so as to account for the complete uncertainty in the  
995 non-prompt contribution, and therefore no additional modelling uncertainties are considered for  
996 Z+jets and tt>.

997 The other VV + heavy flavor processes (namely VV+b and VV+charm, which primarily  
998 consist of ZZ events) are also poorly understood, because these processes involve the same  
999 physics as WZ + heavy flavor, and have also not been measured. Therefore, a conservative 50%  
1000 uncertainty is applied to those samples. While this uncertainty is large, it is found to have little  
1001 impact on the significance of the final result.

1002 The theory uncertainties applied to the predominate background estimates are summarized  
1003 in Table 47.

Process	X-section [%]
tZ	X-sec: $\pm 15.2$ QCD Scale: $^{+5.2}_{-1.3}$ PDF( $+\alpha_S$ ): $\pm 1.2$
t̄t H (aMC@NLO+Pythia8)	QCD Scale: $^{+5.8}_{-9.2}$ PDF( $+\alpha_S$ ): $\pm 3.6$
t̄t Z (aMC@NLO+Pythia8)	QCD Scale: $^{+9.6}_{-11.3}$ PDF( $+\alpha_S$ ): $\pm 4$
t̄t W (aMC@NLO+Pythia8)	QCD Scale: $^{+12.9}_{-11.5}$ PDF( $+\alpha_S$ ): $\pm 3.4$
VV + b/charm (Sherpa 2.2.1)	$\pm 50$
VV + light (Sherpa 2.2.1)	$\pm 6$
t̄t	$\pm 20$
Z + jets	$\pm 25$
Others	$\pm 50$

Table 15: Summary of theoretical uncertainties for MC predictions in the analysis.

1004        Additional signal uncertainties are estimated by comparing estimates from the nominal Sherpa  
 1005        WZ samples with alternate WZ samples generated with Powheg+PYTHIA8. Separate systemat-  
 1006        ics are included in the fit for WZ + b, WZ + charm and WZ + light, where the distribution among  
 1007        each of the fit regions is varied based on the prediction of the Powheg sample.

1008        A similar approach is taken to account for uncertainties in migrations between the number of  
 1009        reco and truth jets. The fraction of events with 1 truth jet which fall into the 1 jet bin versus the  
 1010        2 jet bin at reco level is compared for Sherpa and Powheg. The same is done for events with 2  
 1011        truth jets. A systematic is included where events are shifted between the 1-jet and 2-jet regions  
 1012        based on the differences between these two shapes. This is done independently for each of the  
 1013        WZ + b, WZ + charm, and WZ + light templates.

1014 Additional systematics are included to account for the uncertainty in the contamination of  
 1015 0 jet and 3 or more jet events (as defined at truth level) in the 1 and 2 reco jet bins. Because these  
 1016 events fall outside the scope of this measurement, these events are included as a background.  
 1017 As such, a normalization, rather than a shape, uncertainty is applied for this background. The  
 1018 number of WZ events with 0-jets and  $>=3$ -jets in the reconstructed 1-jet and 2-jet regions are  
 1019 compared for Sherpa and Powheg, and these differences are taken as separate normalization  
 1020 systematics on the yield of WZ+0-jet and WZ+ $>=3$ -jet events.

## 1021 15 Results

1022 A separate maximum-likelihood fit is performed over the 1-jet and 2-jet fit regions in order to  
 1023 extract the best-fit value of the WZ + b-jet and WZ + charm jet contributions. The WZ + b,  
 1024 WZ + charm and WZ + light contributions are allowed to float, with the remaining background  
 1025 contributions are held fixed. **The current fit strategy treats the WZ + b-jet contribution as**  
 1026 **the parameter of interest, with the normalization of the WZ + charm and the WZ + light**  
 1027 **contributions taken as systematic uncertainties. This could however be adjusted, depending**  
 1028 **on whether it is decided the goal of the analysis should be to measure WZ+b specifically or**  
 1029 **WZ + heavy flavor overall.** The result of the fit is used to extract the cross-section of WZ +  
 1030 heavy-flavor production.

1031 A maximum likelihood fit to data is performed simultaneously in the regions described  
 1032 in Section 12. The parameters  $\mu_{WZ+b}$ ,  $\mu_{WZ+charm}$ ,  $\mu_{WZ+light}$ , where  $\mu = \sigma_{\text{observed}}/\sigma_{\text{SM}}$ , are

1033 extracted from the fit.

1034 The Asimov fit for 1-jet events gives an expected  $\mu$  value of  $1.00^{+0.37}_{-0.35}(\text{stat})^{+0.24}_{-0.22}(\text{sys})$  for  
 1035 WZ + b. The fitted cross-section modifiers for WZ + charm and WZ + light are  $1.00 \pm 0.17 \pm 0.15$   
 1036 and  $1.00 \pm 0.04 \pm 0.07$ , respectively.

1037 The expected cross-section of WZ+b with 1 associated jet obtained from the fit is  
 1038  $1.74^{+0.65}_{-0.61}(\text{stat})^{+0.42}_{-0.37}(\text{sys})$  fb with an expected significance of  $2.2\sigma$ . The expected cross-sectin  
 1039 of WZ + charm is measured to be  $14.6 \pm 2.5(\text{stat}) \pm 2.1(\text{sys})$  fb, with a correlation of -0.23.

1040 For 2-jet events, the fit gives an expected  $\mu$  value of  $1.00^{+0.34}_{-0.33}(\text{stat})^{+0.29}_{-0.28}(\text{sys})$  for WZ +  
 1041 b. The fitted cross-section modifiers for WZ + charm and WZ + light are  $1.00 \pm 0.17 \pm 0.15$  and  
 1042  $1.00 \pm 0.04 \pm 0.08$ , respectively.

1043 The expected WZ + b cross-section in the 2-jet region is  $2.46^{+0.83}_{-0.81}(\text{stat})^{+0.073}_{-0.68}(\text{sys})$  fb  
 1044 with an expected significance of  $2.6\sigma$ . The 2-jet expected cross-section of WZ + charm is  
 1045  $12.7 \pm 2.2(\text{stat}) \pm 2.0(\text{sys})$  fb, and the correlation between WZ + charm and WZ + b is -0.26.

## 1046 **15.1 1-jet Fit Results**

1047 **The results of the fit are currently blinded.**

1048 The pre-fit yields in each of the regions used in the fit are shown in Table 15.1, and  
 1049 summarized in Figure 15.1.

Sample	1j, <85% WP	1j, 77%-85% WP	1j, 70%-77% WP	1j, 60%-70% WP	1j, >60% WP	tZ CR
WZ + b - 1j	$8.1 \pm 1.6$	$4.7 \pm 0.5$	$4.6 \pm 0.4$	$5.1 \pm 0.4$	$18.2 \pm 2.4$	$4.8 \pm 0.6$
WZ + c - 1j	$260 \pm 22$	$81 \pm 6$	$43.1 \pm 3.6$	$25.8 \pm 2.6$	$9.4 \pm 1.8$	$2.9 \pm 0.6$
WZ + l - 1j	$3090 \pm 250$	$91 \pm 13$	$17 \pm 3$	$4.9 \pm 1.6$	$1.3 \pm 0.4$	$0.2 \pm 0.1$
WZ + b - 2j	$1.10 \pm 0.37$	$0.44 \pm 0.11$	$0.39 \pm 0.06$	$0.62 \pm 0.14$	$2.1 \pm 0.5$	$0.59 \pm 0.14$
WZ + c - 2j	$21 \pm 5$	$5.6 \pm 1.2$	$3.0 \pm 0.7$	$2.0 \pm 0.5$	$0.70 \pm 0.20$	$0.30 \pm 0.08$
WZ + l - 2j	$250 \pm 60$	$5.7 \pm 1.6$	$0.73 \pm 0.53$	$0.31 \pm 0.15$	$0.07 \pm 0.06$	$0.01 \pm 0.01$
WZ - Other	$13 \pm 5$	$1.4 \pm 0.4$	$0.42 \pm 0.08$	$0.2 \pm 0.01$	$0.30 \pm 0.05$	$0.67 \pm 0.15$
Other VV	$6.2 \pm 0.6$	$0.2 \pm 0.4$	$0.2 \pm 0.04$	$0.07 \pm 0.1$	$0.1 \pm 0.1$	$0.1 \pm 0.2$
ZZ	$336 \pm 26$	$17.8 \pm 2.1$	$4.3 \pm 0.6$	$1.7 \pm 0.5$	$0.36 \pm 0.08$	$0.10 \pm 0.03$
t̄W	$1.1 \pm 0.2$	$0.2 \pm 0.1$	$0.3 \pm 0.1$	$0.4 \pm 0.1$	$1.5 \pm 0.3$	$0.7 \pm 0.2$
t̄Z	$6.8 \pm 1.2$	$1.4 \pm 0.3$	$1.0 \pm 0.2$	$1.2 \pm 0.2$	$4.4 \pm 0.8$	$3.2 \pm 0.6$
Z + jets	$169 \pm 38$	$8.9 \pm 1.9$	$3.7 \pm 0.8$	$3.3 \pm 0.7$	$3.2 \pm 0.7$	$0.8 \pm 0.17$
V + γ	$45 \pm 28$	$1.9 \pm 2.4$	$0.1 \pm 0.1$	$0.02 \pm 0.01$	$1.0 \pm 0.9$	$0.02 \pm 0.03$
tZ	$24.3 \pm 4.3$	$5.5 \pm 1.1$	$4.1 \pm 0.8$	$5.9 \pm 1.1$	$10.7 \pm 2.0$	$23 \pm 4$
tW	$1.4 \pm 0.8$	$0.2 \pm 0.5$	$0.0 \pm 0.2$	$0.7 \pm 0.6$	$0.26 \pm 0.42$	$0.39 \pm 0.41$
WtZ	$2.3 \pm 1.2$	$0.6 \pm 0.3$	$0.3 \pm 0.21$	$0.27 \pm 0.2$	$1.1 \pm 0.7$	$0.6 \pm 0.5$
VVV	$12.4 \pm 0.5$	$0.93 \pm 0.06$	$0.35 \pm 0.03$	$0.13 \pm 0.02$	$0.14 \pm 0.03$	$0.02 \pm 0.01$
VH	$40 \pm 6$	$2.6 \pm 1.4$	$0.9 \pm 0.8$	$0.7 \pm 0.8$	$0.5 \pm 0.6$	$0.0 \pm 0.0$
t̄t	$12.1 \pm 1.6$	$2.9 \pm 0.6$	$2.5 \pm 0.5$	$2.8 \pm 0.5$	$11.2 \pm 1.4$	$10.9 \pm 1.5$
t̄tH	$0.24 \pm 0.03$	$0.05 \pm 0.01$	$0.04 \pm 0.01$	$0.06 \pm 0.01$	$0.20 \pm 0.03$	$0.13 \pm 0.02$
Total	$5010 \pm 260$	$227 \pm 24$	$88 \pm 12$	$57 \pm 8$	$76 \pm 16$	$53 \pm 8$

Table 16: Pre-fit yields in each of the 1-jet fit regions.

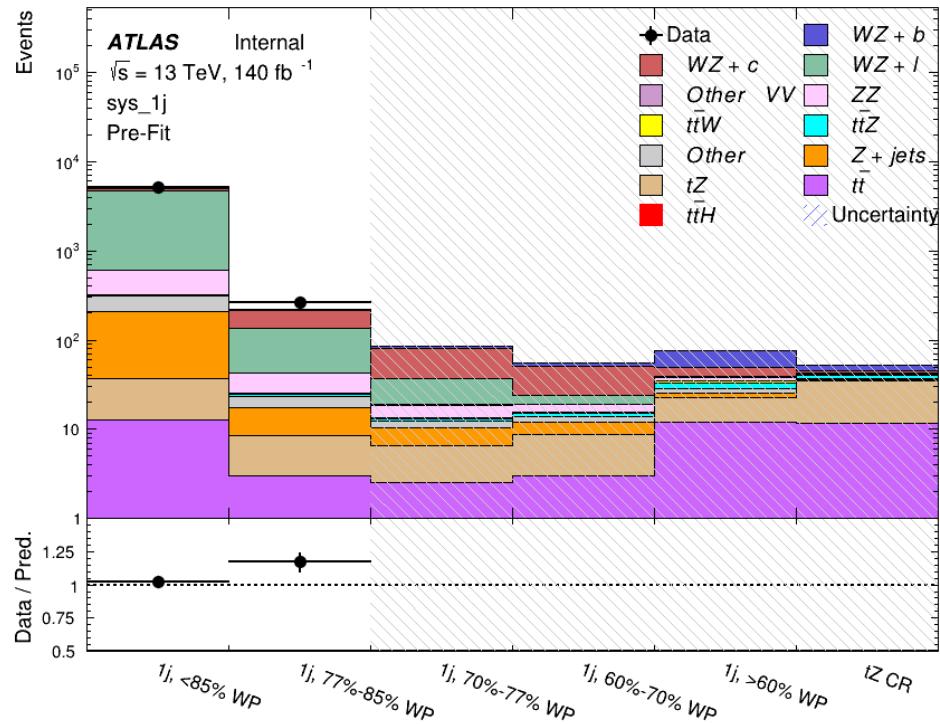


Figure 15.1: Pre-fit summary of the 1-jet fit regions.

1051

The post-fit yields in each region are summarized in Figure 15.1.

1052

	1j, <85% WP	1j, 77%-85% WP	1j, 70%-77% WP	1j, 60%-70% WP	1j, >60% WP	tZ CR
WZ + b	$8.1 \pm 4.9$	$4.7 \pm 2.0$	$4.6 \pm 2.0$	$5.1 \pm 2.1$	$18 \pm 10$	$5.0 \pm 2.5$
WZ + c	$260 \pm 60$	$80 \pm 14$	$43 \pm 7$	$26 \pm 5$	$9.4 \pm 2.3$	$2.9 \pm 0.7$
WZ + l	$3090 \pm 130$	$90 \pm 11$	$17.3 \pm 2.8$	$4.9 \pm 1.6$	$1.3 \pm 0.4$	$0.23 \pm 0.1$
WZ + b - 2j	$1.10 \pm 0.37$	$0.44 \pm 0.11$	$0.39 \pm 0.06$	$0.62 \pm 0.14$	$2.1 \pm 0.5$	$0.59 \pm 0.1$
WZ + c - 2j	$21 \pm 5$	$5.6 \pm 1.2$	$3.0 \pm 0.7$	$2.0 \pm 0.5$	$0.70 \pm 0.20$	$0.30 \pm 0.0$
WZ + l - 2j	$250 \pm 60$	$5.7 \pm 1.6$	$0.73 \pm 0.53$	$0.31 \pm 0.15$	$0.07 \pm 0.06$	$0.01 \pm 0.0$
WZ - Other	$13 \pm 5$	$1.4 \pm 0.4$	$0.42 \pm 0.08$	$0.2 \pm 0.01$	$0.30 \pm 0.05$	$0.67 \pm 0.1$
Other VV	$6.2 \pm 0.6$	$0.92 \pm 0.07$	$0.02 \pm 0.01$	$0.01 \pm 0.01$	$0.01 \pm 0.01$	$0.01 \pm 0.0$
ZZ	$346 \pm 57$	$19 \pm 5$	$4.3 \pm 0.8$	$2.7 \pm 0.5$	$2.4 \pm 0.1$	$2.1 \pm 0.6$
t̄tW	$1.09 \pm 0.21$	$0.2 \pm 0.1$	$0.1 \pm 0.1$	$0.4 \pm 0.1$	$1.5 \pm 0.3$	$0.1 \pm 0.2$
t̄tZ	$6.8 \pm 1.2$	$1.4 \pm 0.3$	$1.0 \pm 0.2$	$1.2 \pm 0.2$	$4.4 \pm 0.7$	$3.2 \pm 0.5$
rare Top	$0.14 \pm 0.04$	$0.04 \pm 0.02$	$0.04 \pm 0.0$	$0.1 \pm 0.03$	$0.14 \pm 0.04$	$0.15 \pm 0.0$
t̄tWW	$0.04 \pm 0.03$	$0.01 \pm 0.02$	$0.01 \pm 0.01$	$0.01 \pm 0.01$	$0.01 \pm 0.02$	$0.01 \pm 0.0$
Z + jets	$169 \pm 37$	$8.9 \pm 1.9$	$3.7 \pm 0.8$	$3.3 \pm 0.7$	$3.2 \pm 0.7$	$0.8 \pm 0.2$
W + jets	$0.01 \pm 0.01$	$0.01 \pm 0.0$				
V + $\gamma$	$46 \pm 28$	$1.9 \pm 2.4$	$0.1 \pm 0.1$	$0.0 \pm 0.2$	$1.0 \pm 0.9$	$0.0 \pm 0.0$
tZ	$24 \pm 4$	$5.5 \pm 1.0$	$4.1 \pm 0.8$	$5.9 \pm 1.1$	$10.7 \pm 1.8$	$23.3 \pm 3.7$
tW	$1.37 \pm 0.82$	$0.18 \pm 0.26$	$0.01 \pm 0.12$	$0.67 \pm 0.64$	$0.26 \pm 0.42$	$0.39 \pm 0.4$
WtZ	$2.3 \pm 1.2$	$0.6 \pm 0.3$	$0.3 \pm 0.2$	$0.3 \pm 0.2$	$1.1 \pm 0.6$	$0.6 \pm 0.3$
VVV	$12.4 \pm 0.4$	$0.9 \pm 0.1$	$0.4 \pm 0.1$	$0.13 \pm 0.02$	$0.14 \pm 0.03$	$0.02 \pm 0.0$
VH	$40 \pm 6$	$2.6 \pm 1.4$	$0.9 \pm 0.8$	$0.7 \pm 0.8$	$0.4 \pm 0.6$	$0.01 \pm 0.0$
t̄t	$12.1 \pm 1.6$	$2.9 \pm 0.6$	$2.5 \pm 0.5$	$2.8 \pm 0.5$	$11.2 \pm 1.5$	$10.9 \pm 1.4$
t̄tH	$0.24 \pm 0.03$	$0.05 \pm 0.01$	$0.04 \pm 0.01$	$0.06 \pm 0.01$	$0.20 \pm 0.03$	$0.13 \pm 0.0$
Total	$5100 \pm 110$	$227 \pm 12$	$87 \pm 6$	$56.7 \pm 4.4$	$76 \pm 9$	$52.5 \pm 4.2$

Table 17: Post-fit yields in each of the 1-jet fit regions.

1053

A post-fit summary plot of the 1-jet fitted regions is shown in Figure 15.2:

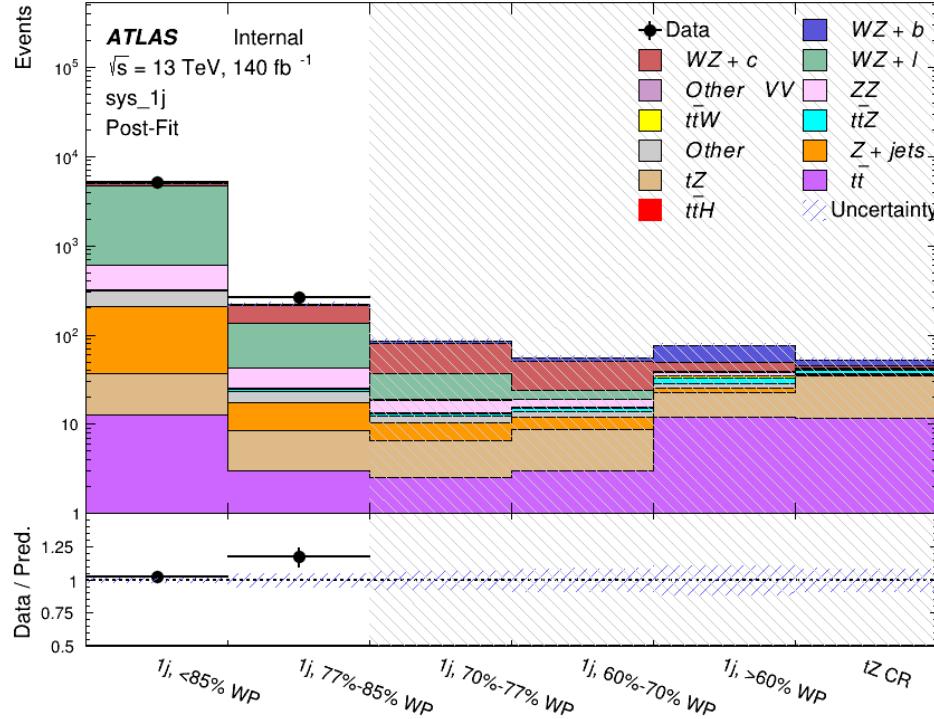


Figure 15.2: Post-fit summary of the 1-jet fit regions.

1054 As described in Section 20, there are 226 systematic uncertainties that are considered  
 1055 as NPs in the fit. These NPs are constrained by Gaussian or log-normal probability density  
 1056 functions. The latter are used for normalisation factors to ensure that they are always positive.  
 1057 The expected number of signal and background events are functions of the likelihood. The prior  
 1058 for each NP is added as a penalty term, decreasing the likelihood as it is shifted away from its  
 1059 nominal value.

1060 The impact of each NP is calculated by performing the fit with the parameter of interest held  
 1061 fixed, varied from its fitted value by its uncertainty, and calculating  $\Delta\mu$  relative to the baseline

1062 fit. The impact of the most significant sources of systematic uncertainties is summarized in Table

1063 [18.](#)

Uncertainty Source	$\Delta\mu$	
WZ + light cross-section	0.13	-0.12
WZ + charm cross-section	-0.10	0.12
Jet Energy Scale	0.08	0.13
tZ cross-section	-0.10	0.10
Jet Energy Resolution	-0.10	0.10
Luminosity	-0.08	0.09
Other Diboson + b cross-section	-0.07	0.07
Flavor tagging	0.05	0.05
t <bar>t} cross-section</bar>	-0.05	0.05
WZ cross-section - QCD scale	-0.04	0.03
Total Systematic Uncertainty	0.28	0.32

Table 18: Summary of the most significant sources of systematic uncertainty on the measurement of WZ + b with exactly one associated jet.

1064 The ranking and impact of those nuisance parameters with the largest contribution to the

1065 overall uncertainty is shown in Figure [15.3](#).

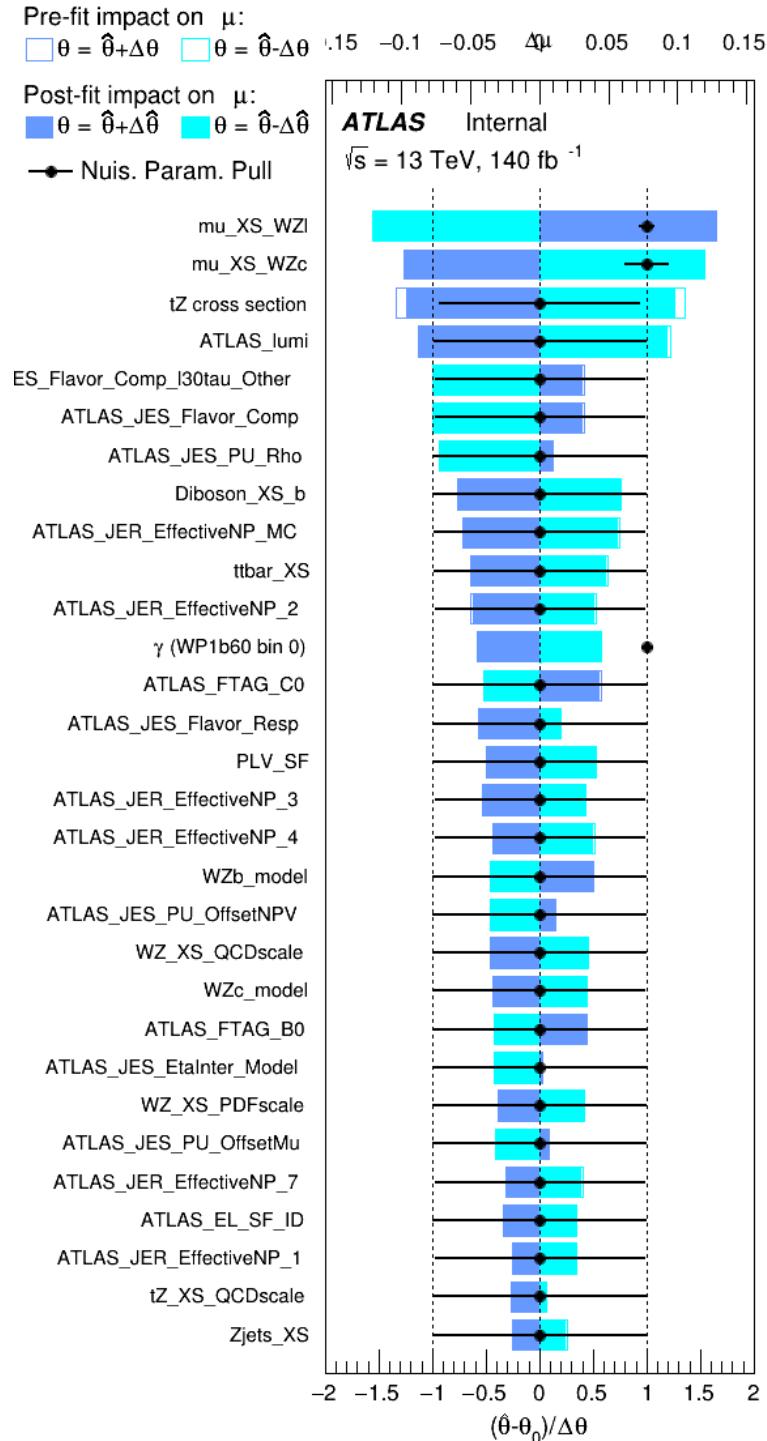


Figure 15.3: Impact of systematic uncertainties on the signal-strength of  $WZ + b$  for events with exactly one jet

The large impact of the Jet Energy Scale and Jet Flavor Tagging is unsurprising, as the shape of the fit regions depends heavily on the modeling of the jets. The other major sources of uncertainty come from background modelling and cross-section uncertainty. The pie charts in Figure 15.4 show that for the modelling uncertainties that contribute most correspond to the most significant backgrounds.

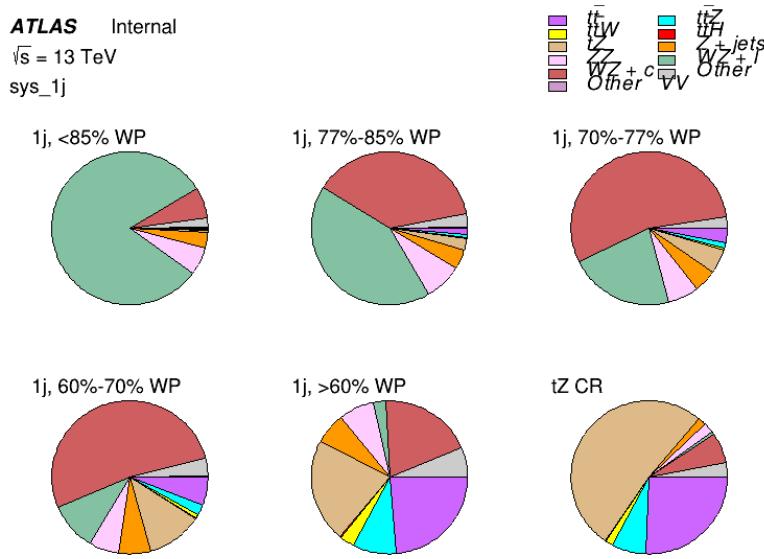


Figure 15.4: Post-fit background composition of the fit regions.

The correlations between these nuisance parameters are summarized in Figure 15.5.

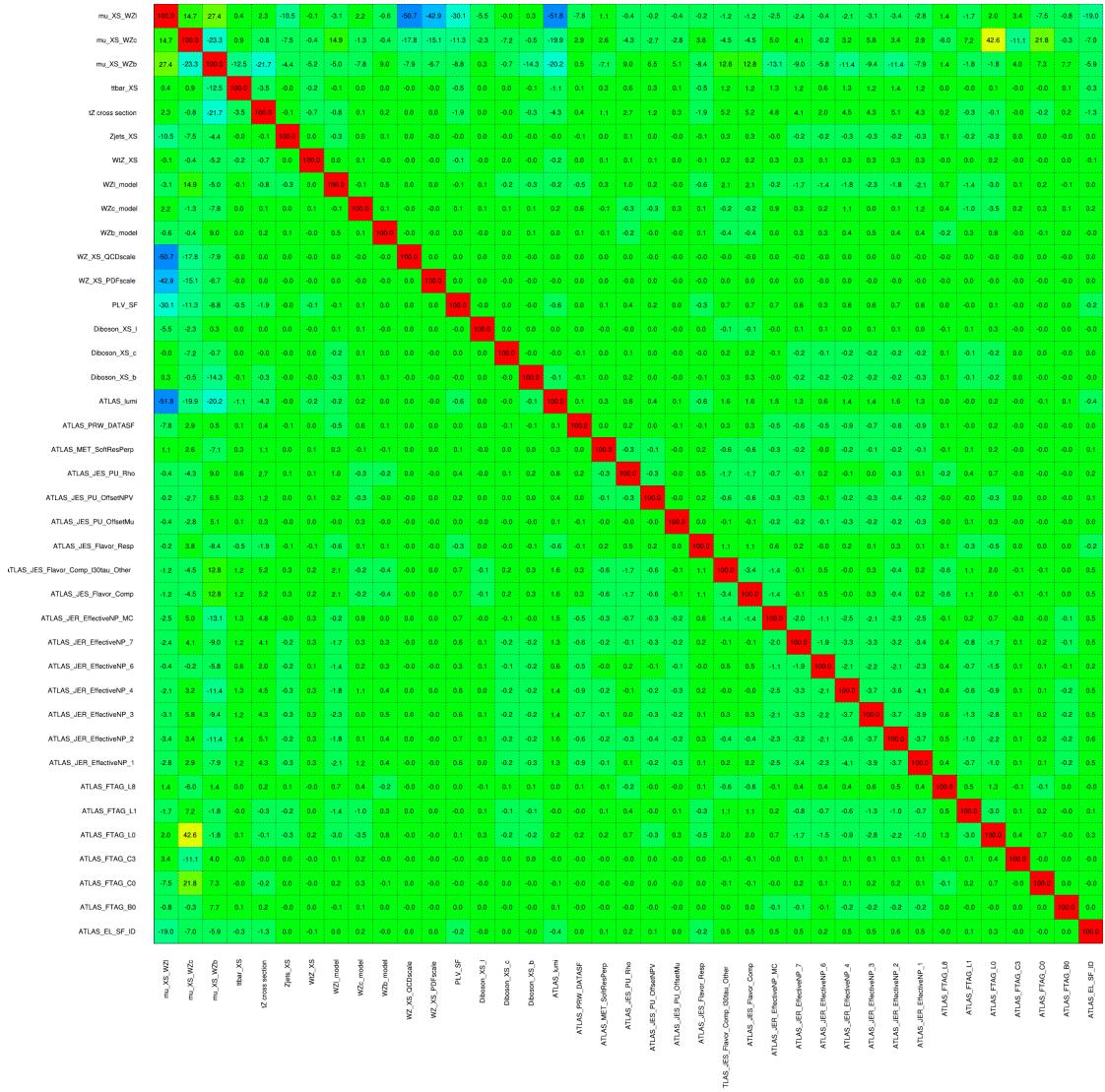


Figure 15.5: Correlations between nuisance parameters

1072 The negative correlations between  $\mu_{WZ+charm}$  and  $\mu_{WZ+b}$  and  $\mu_{WZ+light}$  are expected:  
1073 WZ + charm is present in both the WZ + b and WZ + light enriched regions, therefore increasing  
1074 the fraction of charm requires increasing the fraction of WZ + b and WZ + light. This reasoning  
1075 also explains the positive correlation between  $\mu_{WZ+b}$  and  $\mu_{WZ+light}$ .

1076 Two of the major backgrounds in the region with the highest purity of  $WZ + b$  are  $tZ$  and  
1077 Other  $VV + b$ , explaining the negative correlations between  $\mu_{WZ+b}$  and the  $tZ$  cross section, and  
1078 the  $VV + b$  cross section.

1079 The high correlation between the luminosity and  $\mu_{WZ+light}$  arises from the fact that the  
1080 uncertainty on  $\mu_{WZ+light}$  is very low (around 4%). Small changes in luminosity cause a change  
1081 in the yield of  $WZ + light$  that is large compared to its uncertainty, producing a large correlation  
1082 between these two parameters.

1083 **15.2 2-jet Fit Results**

1084 **The results of the fit are currently blinded.**

1085 Pre-fit yields in each of the 2-jet fit regions are shown in Figure 15.2.

	2j, <85% WP	2j, 77%-85% WP	2j, 70%-77% WP	2j, 60%-70% WP	2j, >60% WP	tZ CR 2j
WZ + b - 2j	$3.1 \pm 1.6$	$6.7 \pm 0.5$	$5.6 \pm 0.4$	$8.0 \pm 0.6$	$31 \pm 2$	$14 \pm 1$
WZ + c - 2j	$180 \pm 20$	$54 \pm 6$	$41 \pm 3$	$24 \pm 3$	$11 \pm 2$	$4.8 \pm 0.6$
WZ + l - 2j	$1250 \pm 150$	$90 \pm 14$	$18 \pm 3$	$5.8 \pm 1.4$	$1.4 \pm 0.4$	$0.25 \pm 0.1$
WZ + b - 1j	$3.4 \pm 0.6$	$1.52 \pm 0.35$	$1.58 \pm 0.23$	$1.95 \pm 0.39$	$6.7 \pm 1.1$	$1.9 \pm 0.6$
WZ + c - 1j	$56 \pm 14$	$17.6 \pm 4.0$	$8.6 \pm 2.2$	$6.3 \pm 1.8$	$3.0 \pm 0.9$	$0.7 \pm 0.2$
WZ + l - 1j	$427 \pm 120$	$24 \pm 7$	$4.7 \pm 2.3$	$1.6 \pm 0.7$	$0.3 \pm 0.2$	$0.01 \pm 0.0$
WZ - Other	$129 \pm 29$	$6.1 \pm 4.6$	$1.2 \pm 0.3$	$0.3 \pm 0.2$	$2.9 \pm 0.5$	$3.6 \pm 0.6$
Other VV	$7.63 \pm 0.63$	$0.6 \pm 0.5$	$0.16 \pm 0.03$	$0.01 \pm 0.01$	$0.1 \pm 0.1$	$0.1 \pm 0.1$
ZZ	$135 \pm 20$	$14.1 \pm 3.2$	$4.7 \pm 0.8$	$4.0 \pm 0.6$	$4.1 \pm 0.7$	$3.1 \pm 0.5$
t̄tW	$0.8 \pm 0.2$	$0.4 \pm 0.1$	$0.5 \pm 0.1$	$0.7 \pm 0.2$	$4.3 \pm 0.6$	$3.9 \pm 0.6$
t̄tZ	$14.7 \pm 2.2$	$5.6 \pm 0.8$	$4.5 \pm 0.7$	$6.5 \pm 1.1$	$25.4 \pm 4.0$	$21.9 \pm 3.4$
rare Top	$0.14 \pm 0.04$	$0.07 \pm 0.03$	$0.03 \pm 0.02$	$0.09 \pm 0.03$	$0.37 \pm 0.07$	$0.6 \pm 0.1$
t̄tWW	$0.04 \pm 0.03$	$0.02 \pm 0.02$	$0.01 \pm 0.01$	$0.01 \pm 0.00$	$0.03 \pm 0.03$	$0.01 \pm 0.0$
Z + jets	$110.0 \pm 22.9$	$9.6 \pm 2.0$	$2.1 \pm 0.50$	$1.6 \pm 0.4$	$5.1 \pm 1.1$	$1.5 \pm 0.3$
W + jets	$0.0 \pm 0.0$	$0.0 \pm 0.0$	$0.0 \pm 0.0$	$0.0 \pm 0.0$	$0.0 \pm 0.0$	$0.0 \pm 0.0$
V + $\gamma$	$25 \pm 18$	$0.5 \pm 0.2$	$0.1 \pm 0.1$	$0.1 \pm 0.1$	$0.0 \pm 0.02$	$0.05 \pm 0.0$
tZ	$15.9 \pm 2.9$	$6.9 \pm 1.3$	$5.1 \pm 1.0$	$8.0 \pm 1.5$	$18.7 \pm 3.2$	$36.4 \pm 6.1$
tW	$0.9 \pm 0.7$	$0.2 \pm 0.3$	$0.0 \pm 0.1$	$0.0 \pm 0.0$	$0.8 \pm 0.6$	$0.2 \pm 0.2$
WtZ	$4.9 \pm 2.5$	$1.5 \pm 0.8$	$1.1 \pm 0.6$	$1.3 \pm 0.7$	$4.6 \pm 2.4$	$3.3 \pm 1.7$
VVV	$7.4 \pm 0.3$	$1.0 \pm 0.1$	$0.4 \pm 0.1$	$0.2 \pm 0.1$	$0.13 \pm 0.03$	$0.04 \pm 0.0$
VH	$19.5 \pm 4.2$	$2.8 \pm 1.6$	$0.7 \pm 0.7$	$0.1 \pm 0.2$	$0.0 \pm 0.0$	$0.0 \pm 0.0$
t̄t	$0.7 \pm 0.4$	$0.1 \pm 0.1$	$0.05 \pm 0.06$	$0.15 \pm 0.13$	$0.8 \pm 0.5$	$2.3 \pm 1.2$
t̄t	$6.8 \pm 1.0$	$2.4 \pm 0.5$	$1.8 \pm 0.4$	$3.3 \pm 0.6$	$8.4 \pm 1.2$	$13.6 \pm 1.1$
t̄tH	$0.4 \pm 0.1$	$0.2 \pm 0.1$	$0.16 \pm 0.02$	$0.23 \pm 0.03$	$0.94 \pm 0.11$	$1.03 \pm 0.1$
Total	$2580 \pm 160$	$229 \pm 24$	$89 \pm 13$	$69 \pm 11$	$120 \pm 15$	$108 \pm 11$

Table 19: Pre-fit yields in each of the 2-jet fit regions.

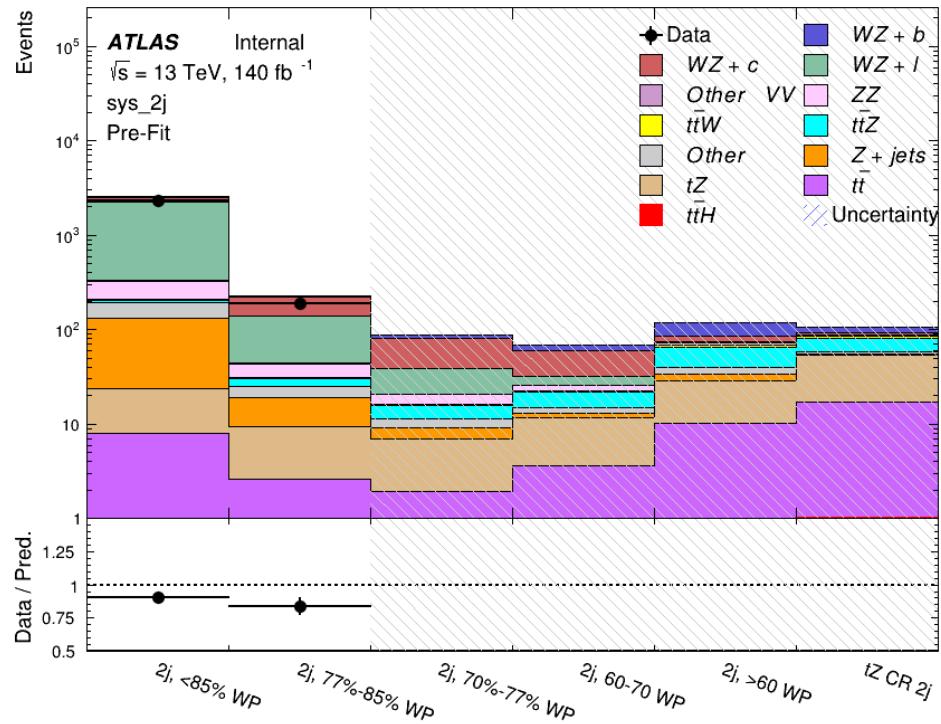


Figure 15.6: Pre-fit summary of the 2-jet fit regions.

1086

The post-fit yields in each region are summarized in Figure 15.2.

	2j, <85% WP	2j, 77%-85% WP	2j, 70%-77% WP	2j, 60%-70% WP	2j, >60% WP	tZ CR 2j
WZ + b	$13 \pm 6$	$6.7 \pm 2.9$	$5.8 \pm 2.5$	$8.0 \pm 3.5$	$31 \pm 13$	$14 \pm 5$
WZ + c	$260 \pm 60$	$77 \pm 15$	$41 \pm 8$	$26 \pm 5$	$10.9 \pm 2.4$	$4.8 \pm 1.1$
WZ + l	$1860 \pm 90$	$90 \pm 12$	$17.6 \pm 2.8$	$5.8 \pm 1.3$	$1.4 \pm 0.4$	$0.3 \pm 0.2$
WZ + b - 1j	$3.4 \pm 0.6$	$1.52 \pm 0.35$	$1.58 \pm 0.23$	$1.95 \pm 0.39$	$6.7 \pm 1.1$	$1.9 \pm 0.6$
WZ + c - 1j	$56 \pm 14$	$17.6 \pm 4.0$	$8.6 \pm 2.2$	$6.3 \pm 1.8$	$3.0 \pm 0.9$	$0.7 \pm 0.2$
WZ + l - 1j	$427 \pm 120$	$24 \pm 7$	$4.7 \pm 2.3$	$1.6 \pm 0.7$	$0.3 \pm 0.2$	$0.01 \pm 0.0$
WZ - Other	$129 \pm 29$	$6.1 \pm 4.6$	$1.2 \pm 0.3$	$0.3 \pm 0.2$	$2.9 \pm 0.5$	$3.6 \pm 0.6$
Other VV	$7.6 \pm 0.6$	$0.3 \pm 0.3$	$0.3 \pm 0.1$	$0.1 \pm 0.06$	$0.03 \pm 0.02$	$0.1 \pm 0.1$
ZZ	$145 \pm 30$	$11.3 \pm 4.4$	$2.7 \pm 1.6$	$1.0 \pm 0.3$	$4.0 \pm 0.1$	$2.4 \pm 0.1$
t̄tW	$0.8 \pm 0.2$	$0.4 \pm 0.1$	$0.54 \pm 0.12$	$0.74 \pm 0.15$	$4.3 \pm 0.6$	$3.9 \pm 0.6$
t̄tZ	$14.7 \pm 2.2$	$5.6 \pm 0.8$	$4.5 \pm 0.7$	$6.5 \pm 1.0$	$25.4 \pm 3.9$	$21.9 \pm 3.0$
rare Top	$0.14 \pm 0.04$	$0.07 \pm 0.03$	$0.03 \pm 0.02$	$0.09 \pm 0.03$	$0.4 \pm 0.1$	$0.6 \pm 0.1$
t̄tWW	$0.04 \pm 0.03$	$0.02 \pm 0.02$	$0.01 \pm 0.01$	$0.01 \pm 0.01$	$0.03 \pm 0.03$	$0.01 \pm 0.0$
Z + jets	$110 \pm 23$	$9.6 \pm 2.0$	$2.1 \pm 0.5$	$1.6 \pm 0.4$	$5.1 \pm 1.1$	$1.5 \pm 0.3$
W + jets	$0.0 \pm 0.0$	$0.0 \pm 0.0$				
V + γ	$25 \pm 19$	$0.5 \pm 0.2$	$0.1 \pm 0.1$	$0.13 \pm 0.14$	$0.0 \pm 0.02$	$0.05 \pm 0.0$
tZ	$15.9 \pm 2.7$	$6.9 \pm 1.2$	$5.1 \pm 0.9$	$8.0 \pm 1.4$	$18.7 \pm 3.0$	$36 \pm 6$
tW	$0.1 \pm 0.7$	$0.2 \pm 0.3$	$0.0 \pm 0.1$	$0.0 \pm 0.0$	$0.8 \pm 0.6$	$0.2 \pm 0.2$
WtZ	$4.9 \pm 2.5$	$1.5 \pm 0.8$	$1.1 \pm 0.6$	$1.3 \pm 0.7$	$4.6 \pm 2.3$	$3.3 \pm 1.7$
VVV	$7.4 \pm 0.3$	$1.0 \pm 0.1$	$0.36 \pm 0.03$	$0.19 \pm 0.03$	$0.13 \pm 0.03$	$0.04 \pm 0.0$
VH	$19 \pm 4$	$2.8 \pm 1.6$	$0.7 \pm 0.7$	$0.1 \pm 0.2$	$0.0 \pm 0.0$	$0.0 \pm 0.0$
t̄t	$6.8 \pm 1.0$	$2.4 \pm 0.5$	$1.8 \pm 0.4$	$3.3 \pm 0.6$	$8.4 \pm 1.2$	$13.6 \pm 1.7$
t̄tH	$0.40 \pm 0.05$	$0.19 \pm 0.03$	$0.16 \pm 0.02$	$0.23 \pm 0.03$	$0.94 \pm 0.11$	$1.03 \pm 0.1$
Total	$2580 \pm 60$	$229 \pm 11$	$89 \pm 6$	$69.1 \pm 4.1$	$120 \pm 10$	$108 \pm 6$

Table 20: Post-fit yields in each of the 2-jet fit regions.

1087

A post-fit summary of the fitted regions is shown in Figure 15.7:

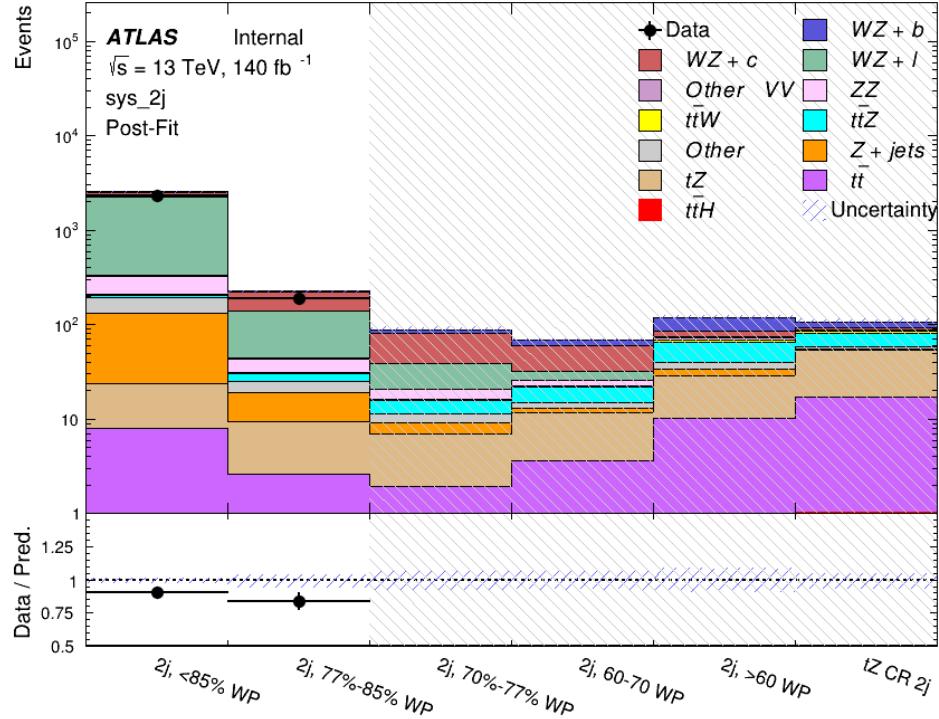


Figure 15.7: Post-fit summary of the fit over 2-jet regions.

1088        The same set of systematic uncertainties consider for the 1-jet fit are included in the 2-jet  
 1089        fit as well. The impact of the most significant systematic uncertainties is summarized in Table  
 1090        [21](#).

Uncertainty Source	$\Delta\mu$	
WZ + c cross-section	-0.1	0.14
Luminosity	-0.11	0.12
tZ cross-section	-0.11	0.11
Jet Energy Scale	-0.11	0.11
ttZ cross-section - QCD scale	-0.08	0.09
WZ + l cross-section	0.08	-0.07
WtZ cross-section	-0.07	0.07
Flavor tagging	0.05	0.05
Other VV + b cross-section	-0.05	0.05
Jet Energy Resolution	-0.04	0.04
Total	0.29	0.31

Table 21: Summary of the most significant sources of systematic uncertainty on the measurement of WZ + b 2-jet events.

<sup>1091</sup> The ranking and impact of those nuisance parameters with the largest contribution to the  
<sup>1092</sup> overall uncertainty is shown in Figure 15.8.

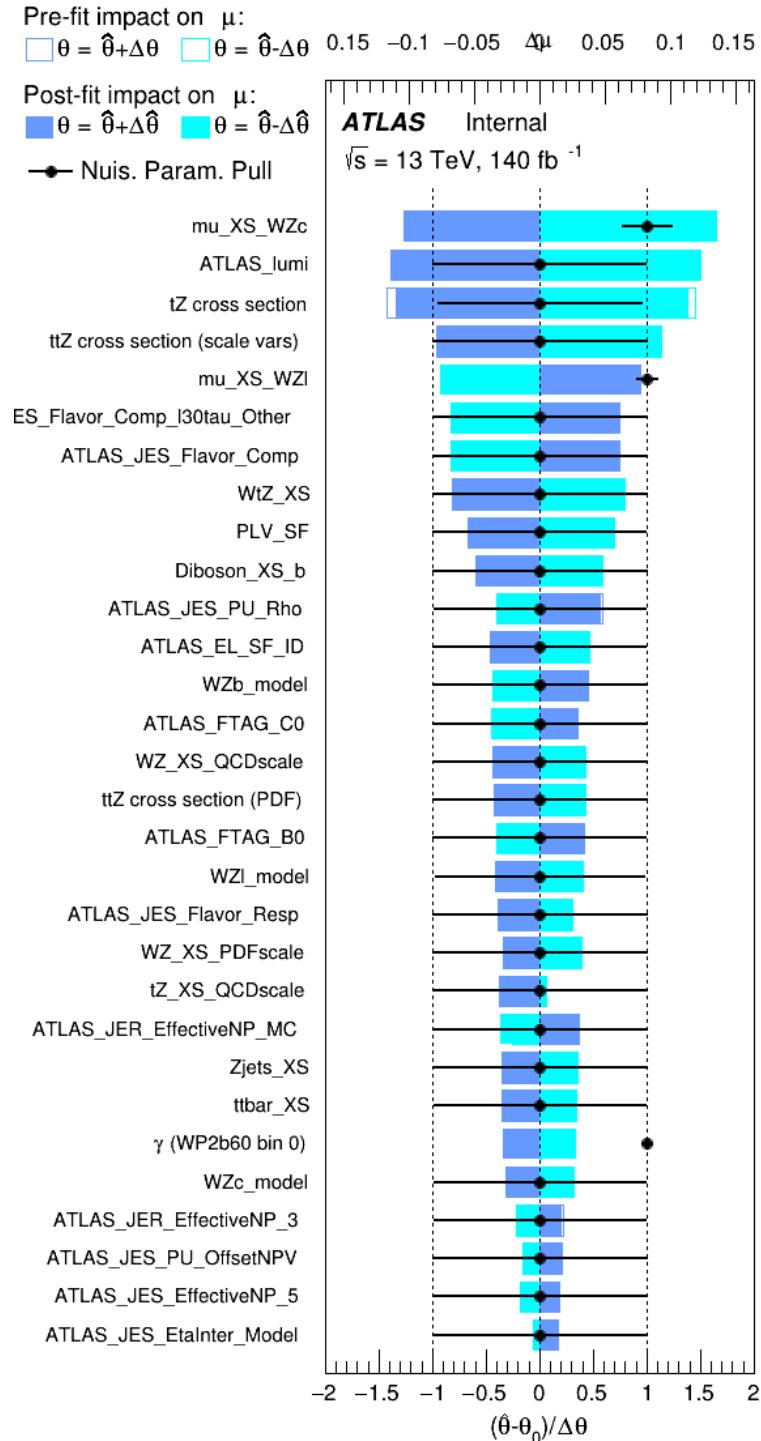


Figure 15.8: Impact of systematic uncertainties on the signal-strength of  $WZ + b$  in 2-jet events.

1093        The large impact of the Jet Energy Scale and Jet Flavor Tagging is unsurprising, as the  
 1094        shape of the fit regions depends heavily on the modeling of the jets. The other major sources  
 1095        of uncertainty come from background modelling and cross-section uncertainty. The pie charts  
 1096        in Figure 15.9 show that for the modelling uncertainties that contribute most correspond to the  
 1097        most significant backgrounds.

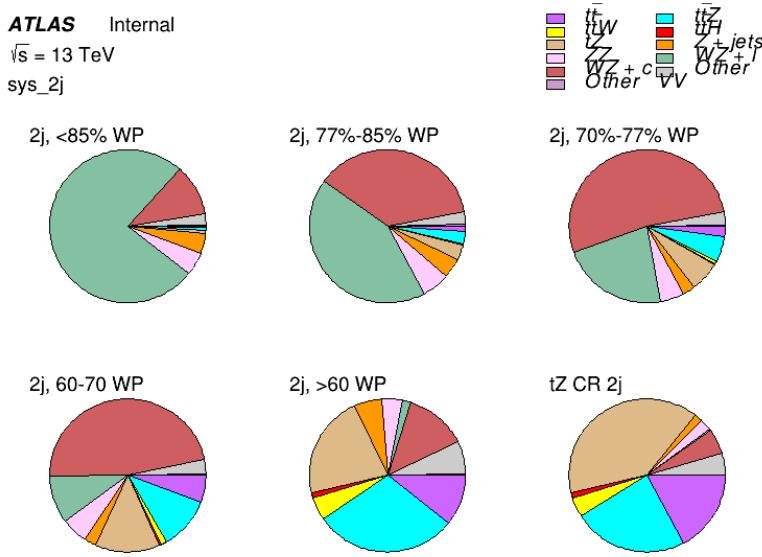


Figure 15.9: Post-fit background composition of the 2-jet fit regions.

1098        The correlations between these nuisance parameters are summarized in Figure 15.10.

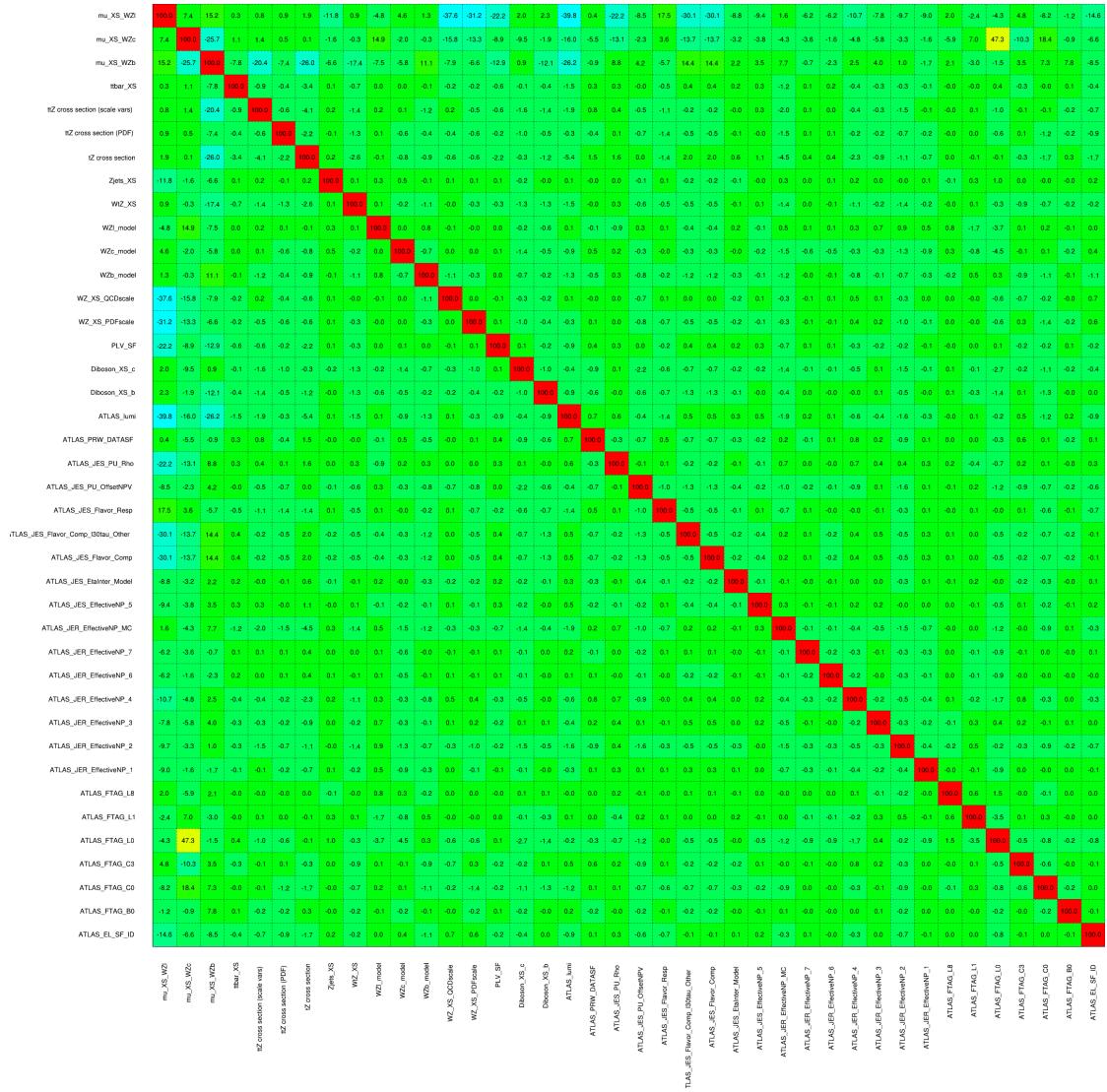


Figure 15.10: Correlations between nuisance parameters in the 2-jet fit

1099

As in the 1-jet case, no significant, unexpected correlations are found between nuisance

1100 parameters.

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**Part V****Differential Studies of  $t\bar{t}H$  Multilepton****16 Data and Monte Carlo Samples**

1104 For both data and Monte Carlo (MC) simulations, samples were prepared in the `xAOD` format,  
1105 which was used to produce a `xAOD` based on the `HIGG8D1` derivation framework. This framework  
1106 was designed for the main  $t\bar{t}H$  multi-lepton analysis. Because this analysis targets events with  
1107 multiple light leptons, as well as tau hadrons, this framework skims the dataset of any events that  
1108 do not meet at least one of the following requirements:

- 1109 • at least two light leptons within a range  $|\eta| < 2.6$ , with leading lepton  $p_T > 15$  GeV and  
1110 subleading lepton  $p_T > 5$  GeV
- 1111 • at least one light lepton with  $p_T > 15$  GeV within a range  $|\eta| < 2.6$ , and at least two hadronic  
1112 taus with  $p_T > 15$  GeV.

1113 Samples were then generated from these `HIGG8D1` derivations using `AnalysisBase` version  
1114 21.2.127. A ptag of `p4133` was used for MC samples, and `p4134` for data.

---

## 1115 16.1 Data Samples

1116 The study uses proton-proton collision data collected by the ATLAS detector from 2015 through  
 1117 2018, which represents an integrated luminosity of  $139 \text{ fb}^{-1}$  and an energy of  $\sqrt{s} = 13 \text{ TeV}$ . All  
 1118 data used in this analysis was included in one of the following Good Run Lists:

- 1119 • data15\_13TeV.periodAllYear\_DetStatus-v79-repro20-02\_DQDefects-00-02-02  
   1120   \_PHYS\_StandardGRL\_All\_Good\_25ns.xml
- 1121 • data16\_13TeV.periodAllYear\_DetStatus-v88-pro20-21\_DQDefects-00-02-04  
   1122   \_PHYS\_StandardGRL\_All\_Good\_25ns.xml
- 1123 • data17\_13TeV.periodAllYear\_DetStatus-v97-pro21-13\_Unknown\_PHYS\_StandardGRL  
   1124   \_All\_Good\_25ns\_Triggerno17e33prim.xml
- 1125 • data18\_13TeV.periodAllYear\_DetStatus-v102-pro22-04\_Unknown\_PHYS\_StandardGRL  
   1126   \_All\_Good\_25ns\_Triggerno17e33prim.xml

## 1127 16.2 Monte Carlo Samples

1128 Several Monte Carlo (MC) generators were used to simulate both signal and background pro-  
 1129 cesses. For all of these, the effects of the ATLAS detector are simulated in Geant4. The specific  
 1130 event generator used for each of these MC samples is listed in Table 22. A Higgs mass of 125  
 1131 GeV is assumed in all simulations.

Table 22: The configurations used for event generation of signal and background processes, including the event generator, matrix element (ME) order, parton shower algorithm, and parton distribution function (PDF).

Process	Event generator	ME order	Parton Shower	PDF
$t\bar{t}H$	MG5_AMC	NLO	PYTHIA 8	NNPDF 3.0 NLO [15]
	(MG5_AMC)	(NLO)	(HERWIG++)	(CT10 [16])
$t\bar{t}W$	MG5_AMC	NLO	PYTHIA 8	NNPDF 3.0 NLO
	(SHERPA 2.1.1)	(LO multileg)	(SHERPA)	(NNPDF 3.0 NLO)
$t\bar{t}(Z/\gamma^* \rightarrow ll)$	MG5_AMC	NLO	PYTHIA 8	NNPDF 3.0 NLO
	SHERPA 2.2.2	MEPS NLO	SHERPA	CT10
$t\bar{t}$	POWHEG-BOX v2 [17]	NLO	PYTHIA 8	NNPDF 3.0 NLO
$t\bar{t}\gamma$	MG5_AMC	LO	PYTHIA 8	NNPDF 2.3 LO
$tZ$	MG5_AMC	LO	PYTHIA 6	CTEQ6L1
$tHqb$	MG5_AMC	LO	PYTHIA 8	CT10
$tHW$	MG5_AMC	NLO	HERWIG++	CT10
	(SHERPA 2.1.1)	(LO multileg)	(SHERPA)	(NNPDF 3.0 NLO)
$tWZ$	MG5_AMC	NLO	PYTHIA 8	NNPDF 2.3 LO
$t\bar{t}t, t\bar{t}\bar{t}$	MG5_AMC	LO	PYTHIA 8	NNPDF 2.3 LO
$t\bar{t}W^+W^-$	MG5_AMC	LO	PYTHIA 8	NNPDF 2.3 LO
s-, t-channel, Wt single top qqVV, VVV $Z \rightarrow l^+l^-$	POWHEG-BOX v1 [18]	NLO	PYTHIA 6	CT10
	SHERPA 2.2.1	MEPS NLO	SHERPA	NNPDF 3.0 NLO

1132        The signal sample ( $t\bar{t}H$ ) is modelled at NLO with POWHEG-BOX v2 using the NNPDF2.0  
 1133        parton distribution function (PDF) [33]. Parton showering and hadronisation were modelled  
 1134        with PYTHIA 8.2 [34]. The  $t\bar{t}H$  sample is normalized to a cross-section of  $507^{+35}_{-50}$  fb based on  
 1135        NLO calculations. Uncertainties are based on varying the QCD factorisation and renormalisation  
 1136        scale, as well as uncertainties in the PDF and  $\alpha_s$ .

1137        The  $t\bar{t}W$  background is simulated using Sherpa 2.2.1 with the NNPDF3.0 NLO PDF. The  
 1138        matrix element is calculated with up to one additional parton at NLO, and up to two at LO. As  
 1139        explained in detail in [6], the  $t\bar{t}W$  contribution predicted by MC is found disagree significantly

1140 with what is observed in data. While an effort is currently being undertaken to measure  $t\bar{t}W$  more  
1141 accurately, the approach used by the  $79.8 \text{ fb}^{-1}$   $t\bar{t}H$  analysis is used here: A normalization  
1142 factor of 1.68 is applied to the MC estimate of  $t\bar{t}W$  and additional systematic uncertainties on  
1143  $t\bar{t}W$  are included to account for this modelling discrepancy, as outlined in Section 20.

1144 While the main  $t\bar{t}H$  analysis uses a more sophisticated data-driven approach to estimating  
1145 the contribution of events with non-prompt leptons (or “fakes”), at the time of this note this  
1146 strategy has not been completely developed for the full Run-2 dataset. Therefore, the non-prompt  
1147 contribution is estimated with MC, while applying normalization corrections and systematic  
1148 uncertainties derived from data driven techniques developed for the  $79.8 \text{ fb}^{-1}$   $t\bar{t}H/t\bar{t}W$  analysis  
1149 [6]. The primary contribution to the non-prompt lepton background is from  $t\bar{t}$  production, with  
1150  $V+jets$  and single-top as much smaller sources. Likelihood fits over several control regions  
1151 enriched with these non-prompt backgrounds are fit to data in order to derive normalization  
1152 factors for these backgrounds. The specific normalization factors and uncertainties applied to  
1153 the non-prompt contributions are listed in Section 20.

1154 The specific DSIDs used in the analysis are listed below:

Sample	DSID
t̄H	345873-5, 346343-5
VV	364250-364254, 364255, 363355-60, 364890
t̄W	413008
t̄Z	410156, 410157, 410218-20
low mass t̄Z	410276-8
Rare Top	410397, 410398, 410399
single Top	410658-9, 410644-5
three Top	304014
four Top	410080
t̄WW	410081
Z + jets	364100-41
low mass Z + jets	364198-215
W + jets	364156-97
Vγ	364500-35
tZ	410560
tW	410013-4
WtZ	410408
VVV	364242-9
VH	342284-5
WtH	341998
t̄tγ	410389
t̄t	410470

Table 23: List of Monte Carlo samples by data set ID used in the analysis.

## 1155 17 Object Reconstruction

1156 All analysis channels considered in this note share a common object selection for leptons and  
 1157 jets, as well as a shared trigger selection.

1158 **17.1 Trigger Requirements**

1159 Events are required to be selected by dilepton triggers, as summarized in Table 24.

Dilepton triggers (2015)	
$\mu\mu$ (asymm.)	HLT_mu18_mu8noL1
$ee$ (symm.)	HLT_2e12_lhloose_L12EM10VH
$e\mu, \mu e$ ( $\sim$ symm.)	HLT_e17_lhloose_mu14
Dilepton triggers (2016)	
$\mu\mu$ (asymm.)	HLT_mu22_mu8noL1
$ee$ (symm.)	HLT_2e17_lhvloose_nod0
$e\mu, \mu e$ ( $\sim$ symm.)	HLT_e17_lhloose_nod0_mu14
Dilepton triggers (2017)	
$\mu\mu$ (asymm.)	HLT_mu22_mu8noL1
$ee$ (symm.)	HLT_2e24_lhvloose_nod0
$e\mu, \mu e$ ( $\sim$ symm.)	HLT_e17_lhloose_nod0_mu14
Dilepton triggers (2018)	
$\mu\mu$ (asymm.)	HLT_mu22_mu8noL1
$ee$ (symm.)	HLT_2e24_lhvloose_nod0
$e\mu, \mu e$ ( $\sim$ symm.)	HLT_e17_lhloose_nod0_mu14

Table 24: List of lowest  $p_T$ -threshold, un-prescaled dilepton triggers used for 2015-2018 data taking.

1160 **17.2 Light Leptons**

1161 Electron candidates are reconstructed from energy clusters in the electromagnetic calorimeter  
 1162 that are associated with charged particle tracks reconstructed in the inner detector [19]. Electron  
 1163 candidates are required to have  $p_T > 10$  GeV and  $|\eta_{\text{cluster}}| < 2.47$ . Candidates in the transition  
 1164 region between different electromagnetic calorimeter components,  $1.37 < |\eta_{\text{cluster}}| < 1.52$ , are  
 1165 rejected. A multivariate likelihood discriminant combining shower shape and track information

1166 is used to distinguish prompt electrons from nonprompt leptons, such as those originating from  
1167 hadronic showers. Electron candidate are also required to pass TightLH identification.

1168 To further reduce the non-prompt contribution, the track of each electron is required to  
1169 originate from the primary vertex; requirements are imposed on the transverse impact parameter  
1170 significance ( $|d_0|/\sigma_{d_0}$ ) and the longitudinal impact parameter ( $|\Delta z_0 \sin \theta_\ell|$ ).

1171 Muon candidates are reconstructed by combining inner detector tracks with track segments  
1172 or full tracks in the muon spectrometer [20]. Muon candidates are required to have  $p_T > 10$  GeV  
1173 and  $|\eta| < 2.5$ . Muons are required to Medium ID requirements.

1174 All leptons are required to pass a non-prompt BDT selection developed by the main  
1175  $t\bar{t}H - ML/t\bar{t}W$  analysis, described in detail in [6]. Optimized working points and scale factors  
1176 for this BDT are taken from that analysis. This BDT and the WPs used are summarized in  
1177 Appendix .1,

### 1178 17.3 Jets

1179 Jets are reconstructed from calibrated topological clusters built from energy deposits in the  
1180 calorimeters [22], using the anti- $k_t$  algorithm with a radius parameter  $R = 0.4$ . Particle Flow, or  
1181 PFlow, jets are used in the analysis, which are hadronic objects reconstructed using information  
1182 from both the tracker and the calorimeter. Jets with energy contributions likely arising from noise  
1183 or detector effects are removed from consideration [23], and only jets satisfying  $p_T > 25$  GeV

1184 and  $|\eta| < 2.5$  are used in this analysis. For jets with  $p_T < 60$  GeV and  $|\eta| < 2.4$ , a jet-track  
1185 association algorithm is used to confirm that the jet originates from the selected primary vertex,  
1186 in order to reject jets arising from pileup collisions [24].

## 1187 17.4 B-tagged Jets

1188 Each analysis channel used in this analysis includes b-jets in the final state. These are identified  
1189 using the DL1r b-tagging algorithm, which uses jet vertex and kinematic information to distin-  
1190 guish heavy and light flavored jets. These features are used as inputs to a neural network, the  
1191 output of which is used to form calibrated working points (WPs) based on how likely a jet is to  
1192 have originated from a b-quark. This analysis uses the 70% DL1r WP - implying an efficiency of  
1193 70% for truth b-jets - for selecting b-tagged jets.

## 1194 17.5 Missing Transverse Energy

1195 Because all  $t\bar{t}H - ML$  channels considered include multiple neutrinos, missing transverse  
1196 energy ( $E_T^{\text{miss}}$ ) is present in each event. The missing transverse momentum vector is defined as  
1197 the inverse of the sum of the transverse momenta of all reconstructed physics objects as well  
1198 as remaining unclustered energy, the latter of which is estimated from low- $p_T$  tracks associated  
1199 with the primary vertex but not assigned to a hard object [25].

1200 **17.6 Overlap removal**

1201 To avoid double counting objects and remove leptons originating from decays of hadrons, overlap  
 1202 removal is performed in the following order: any electron candidate within  $\Delta R = 0.1$  of another  
 1203 electron candidate with higher  $p_T$  is removed; any electron candidate within  $\Delta R = 0.1$  of a muon  
 1204 candidate is removed; any jet within  $\Delta R = 0.3$  of an electron candidate is removed; if a muon  
 1205 candidate and a jet lie within  $\Delta R = \min(0.4, 0.04 + 10[\text{GeV}]/p_T(\text{muon}))$  of each other, the jet  
 1206 is kept and the muon is removed.

1207 This algorithm is applied to the preselected objects. The overlap removal procedure is  
 1208 summarized in Table 25.

<b>Keep</b>	<b>Remove</b>	<b>Cone size (<math>\Delta R</math>)</b>
electron	electron (low $p_T$ )	0.1
muon	electron	0.1
electron	jet	0.3
jet	muon	$\min(0.4, 0.04 + 10[\text{GeV}]/p_T(\text{muon}))$
electron	tau	0.2

Table 25: Summary of the overlap removal procedure between electrons, muons, and jets.

1209 **18 Higgs Momentum Reconstruction**

1210 Reconstructing the momentum of the Higgs boson is a particular challenge for channels with  
 1211 leptons in the final state: Because all channels include at least two neutrinos in the final state, the  
 1212 Higgs can never be fully reconstructed. However, the momentum spectrum can be well predicted  
 1213 by a neural network when provided with the kinematics of the Higgs Boson decay products - as

1214 verified by studies detailed in Appendix A.3. With this in mind, several layers of MVAs are used  
1215 to reconstruction the Higgs momentum:

1216       The first layer is a model designed to select which jets are most likely to be the b-jets that  
1217       came from the top decay, detailed in Section 18.3. As described in Section 18.4, the kinematics  
1218       of these jets and possible Higgs decay products are fed into the second layer, which is designed  
1219       to identify the decay products of the Higgs Boson itself. The kinematics of the particles this  
1220       layer identifies as most likely to have originated from the Higgs decay are then fed into yet  
1221       another neural-network, which predicts the momentum of the Higgs (18.5). For the 3l channel,  
1222       an additional MVA is used to determine the decay mode of the Higgs boson in the 3l channel  
1223       (18.6).

1224       Models are trained on Monte Carlo simulations of  $t\bar{t}H$  events generated using MG5\_AMC.  
1225       Specifically, events DSIDs 346343-5, 345873-5, and 345672-4 are used for training in order to  
1226       increase the statistics of the training sample.

1227       For all of these models, the Keras neural network framework, with Tensorflow 2.0 as the  
1228       backend, is used, and the number of hidden layers and nodes are determined using grid search  
1229       optimization. Each neural network uses the LeakyReLU activation function, a learning rate of  
1230       0.01, and the Adam optimization algorithm, as alternatives are found to either decrease or have  
1231       no impact on performance. Batch normalization is applied after each layer in order to stabilize  
1232       the model and decrease training time. For the classification algorithms (b-jet matching, Higgs  
1233       reconstruction, and 3l decay identification) binary-cross entropy is used as the loss function,

1234 while the  $p_T$  reconstruction algorithm uses MSE.

1235 The specific inputs features used for each model are arrived at through a process of trial  
1236 and error - features considered potentially useful are tried, and those that are found to increase  
1237 performance are included. While each model includes a relatively large number of features,  
1238 some using upwards of 30, this inclusive approach is found to maximize the performance of  
1239 each model while decreasing the variance compared to a reduced number of inputs. Each input  
1240 feature is validated by comparing MC simulations to  $79.8 \text{ fb}^{-1}$  of data, as shown in the sections  
1241 below.

## 1242 **18.1 Physics Object Truth Matching**

1243 Machine Learning algorithms are trained to identify the decay products of the Higgs Boson using  
1244 MC simulations of  $t\bar{t}H$  events. The kinematics of the reconstructed physics objects, as well as  
1245 event level variables, are used as inputs, with the parent ID taken from the truth record used to  
1246 label the data. The objects considered include light leptons and jets.

1247 Reconstructed physics objects are matched to particle level objects, in order to identify the  
1248 parent particle of these reconstructed objects. Reconstructed jets are matched to truth jets based  
1249 on the requirements that the reco jet and truth jet fall within  $\Delta R < 0.4$ , and the two objects have  
1250 a  $p_T$  that agrees within 10%. Truth level and reco level leptons are required to have the same  
1251 flavor, a  $\Delta R < 0.1$ , and  $p_T$  that agree within 10%. Events where no match can be found between

1252 the particle level decay products of the Higgs and the reconstructed objects are not included in  
1253 training.

1254 Leptons considered as possible Higgs and top decay candidates are required to pass the  
1255 selection described in Section 17.2. For jets, however, it is found that a large fraction that  
1256 originate from either the top decay or the Higgs decay fall outside the selection described in  
1257 Section 17.3. Specifically, jets from the Higgs decay tend to be soft, with 32% having  $p_T <$   
1258 25 GeV. Therefore jets with  $p_T < 15$  GeV are considered as possible candidates in the models  
1259 described below. By contrast, less than 5% of the jets originating from the Higgs fall below  
1260 this  $p_T$  threshold. The jets are found to be well modeled even down to this low  $p_T$  threshold,  
1261 as shown in Section 19.1. The impact of using different  $p_T$  selection for the jet candidates is  
1262 considered in detail in Section A.6. As they are expected to originate from the primary vertex,  
1263 jets are also required to pass a JVT cut.

## 1264 18.2 Truth Level Studies

1265 Attempts to identify the decay products of the Higgs are motivated by the ability to reconstruct  
1266 the Higgs momentum based on their kinematics. In order to demonstrate that this is case, the  
1267 kinematics of reconstructed objects that are truth matched to the Higgs decay are used as inputs  
1268 to a neural network which is designed to predict of the momentum of the Higgs. This is done in  
1269 the 2lSS channel -

---

**1270 18.3 b-jet Identification**

1271 Including the kinematics of the b-jets that originate from the top decay is found to improve the  
1272 identification of the Higgs decay products, and improve the accuracy with which the Higgs  
1273 momentum can be reconstructed. Because these b-jets are reconstructed by the detector with  
1274 high efficiency (just over 90% of the time), and can be identified relatively consistently, the first  
1275 step in reconstructing the Higgs is selecting the b-jets from the top decay.

1276 Exactly two b-jets are expected in the final state of  $t\bar{t}H - \text{ML}$  events. However, in both  
1277 the 3l and 2lSS channels, only one or more b-tagged jets are required (where the 70% DL1r b-tag  
1278 working point is used). Therefore, for events which have exactly one, or more than two, b-tagged  
1279 jets, deciding which combination of jets correspond to the top decay is non-trivial. Further,  
1280 events with 1 b-tagged jet represent just over half of all  $t\bar{t}H - \text{ML}$  events. Of those, both b-jets  
1281 are reconstructed by the detector 75% of the time. Therefore, rather than adjusting the selection  
1282 to require exactly 2 b-tagged jets, and losing more than half of the signal events, a neural network  
1283 is used to predict which pair of jets is most likely to correspond to truth b-jets.

1284 Once the network is trained, all possible pairings of jets are fed into the model, and the pair  
1285 of jets with the highest output score are taken to be b-jets in successive steps of the analysis.

---

1286 **18.3.1 2lSS Channel**

1287 For the 2lSS channel, the input features shown in Table 26 are used for training. Here  $j_0$  and  $j_1$   
1288 are the two jet candidates, while  $l_0$  and  $l_1$  are the two leptons in the event, both ordered by  $p_T$ . jet  
1289 DL1r is an integer corresponding to the calibrated b-tagging working points reached by each jet,  
1290 where 5 represents the tightest working point and 1 represents the loosest. The variables nJets  
1291 DL1r 60% and nJets DL1r 85% represent the number of jets in the event passing the 60% and  
1292 85% b-tag working points, respectively.

jet $p_T$ 0	jet $p_T$ 1	Lepton $p_T$ 0
Lepton $p_T$ 1	jet $\eta$ 0	jet $\eta$ 1
$\Delta R(j_0)(j_1)$	$M(j_0 j_1)$	$\Delta R(l_0)(j_0)$
$\Delta R(l_0)(j_1)$	$\Delta R(l_1)(j_0)$	$\Delta R(l_1)(j_1)$
$M(l_0 j_0)$	$M(l_0 j_1)$	$M(l_1 j_0)$
$M(l_1 j_1)$	jet DL1r 0	jet DL1r 1
nJets OR DL1r 85	nJets OR DL1r 60	$\Delta R(j_0 l_0)(j_1 l_1)$
$\Delta R(j_0 l_1)(j_1 l_0)$	$p_T(j_0 j_1 l_0 l_1 E_T^{\text{miss}})$	$M(j_0 j_1 l_0 l_1 E_T^{\text{miss}})$
$\Delta\phi(j_0)(E_T^{\text{miss}})$	$\Delta\phi(j_1)(E_T^{\text{miss}})$	HT jets
nJets	$E_T^{\text{miss}}$	

Table 26: Input features used in the b-jet identification algorithm for the 2lSS channel

1293 As there are far more incorrect combinations than correct ones, by a factor of more than  
1294 20:1, the training set is resampled to reduce the fraction of incorrect combinations. A random  
1295 sample of 5 million incorrect entries are used for training, along with close 1 million correct  
1296 entries. 10% of the dataset is set aside for testing, leaving around 5 million datapoints for  
1297 training.

1298 The difference between the distributions for a few of these features for the "correct" (i.e.

1299 both jets are truth b-jets), and "incorrect" combinations are shown in Figure 18.1. The correct and  
 1300 incorrect contributions are scaled to the same integral, so as to better demonstrate the differences  
 1301 in the distributions.

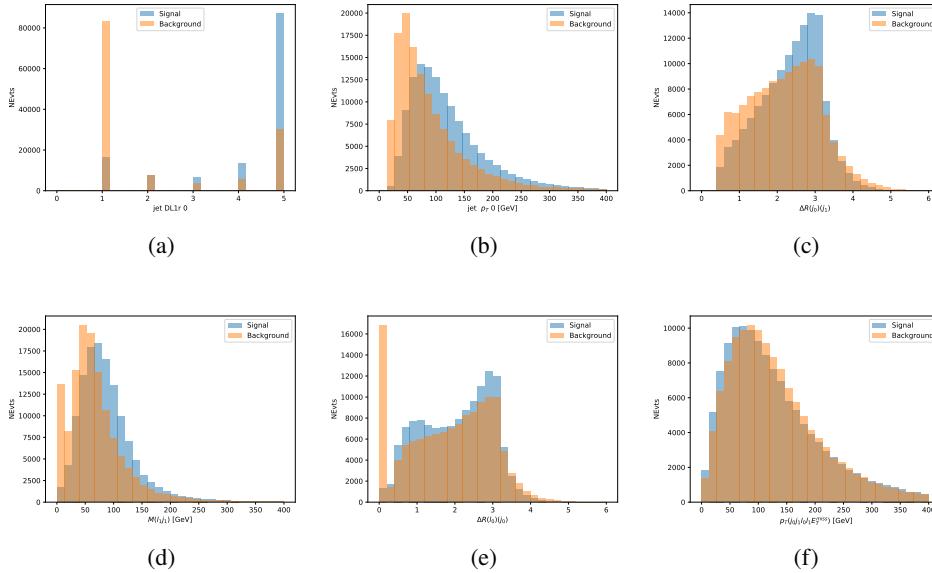


Figure 18.1: Input features for top2ISS training. The signal in blue represents events where both jet candidates are truth b-jets from top decays, and the orange is all other combinations. Each are scaled to the same number of events. (a) shows the DL1r working point of leading jet, (b) shows the  $p_T$  of the leading jet, (c) shows the  $\Delta R$  of the two jets, (d) the invariant mass of lepton 1 and jet 1, (e) the  $\Delta R$  of lepton 0 and jet 0, and (f) the  $p_T$  of both jets, both leptons, and the  $E_T^{\text{miss}}$ .

1302 The modeling of these inputs is validated against data, with Figure 18.2 showing good  
 1303 general agreement between data and MC. Plots for the complete list of features can found in  
 1304 Section A.

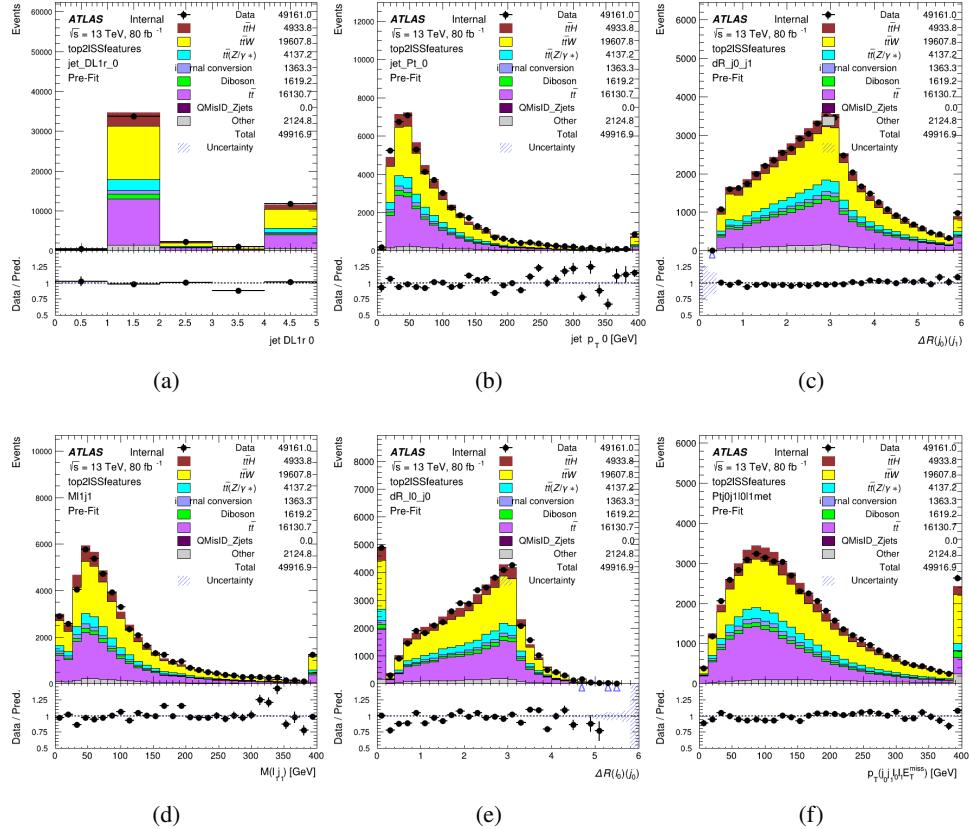


Figure 18.2: Data/MC comparisons of input features for top2ISS training for  $79.8 \text{ fb}^{-1}$  of data. (a) shows the DL1r working point of leading jet, (b) shows the  $p_T$  of the leading jet, (c) shows the  $\Delta R$  of the two jets, (d) the invariant mass of lepton 1 and jet 1, (e) the  $\Delta R$  of lepton 0 and jet 0, and (f) the  $p_T$  of both jets, both leptons, and the  $E_T^{\text{miss}}$ .

1305 Based on the results of grid search evaluation, the optimal architecture is found to include  
 1306 5 hidden layers with 40 nodes each. No regularizer or dropout is added to the network, as  
 1307 overfitting is found to not be an issue. The output score distribution as well as the ROC curve for  
 1308 the trained model are shown in Figure 18.3.1. The model is found to identify the correct pairing  
 1309 of jets for 73% of 2lSS signal events on test data.

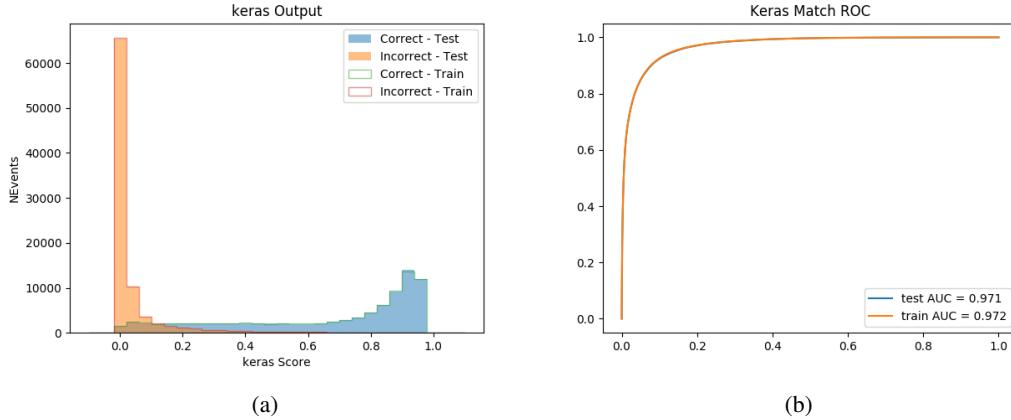


Figure 18.3: Results of the b-jet identification algorithm for the 2lSS channel, showing (a) the output score of the NN for correct and incorrect combinations of jets. (b) the ROC curve of the output, showing background rejection as a function of signal efficiency

1310 For point of comparison, a "naive" approach to identify b-jets is used as well: The two  
 1311 jets which pass the highest DL1r b-tag working point are assumed to be the b-jets from the top  
 1312 decay. In the case that multiple jets meet the same b-tag working point, the jet with higher  $p_T$  is  
 1313 used. This method identifies the correct jet pair 65% of the time.

1314 The accuracy of the model for different values of n-bjets, compared to this naive approach,  
 1315 is shown in Table 27.

b-jet Selection	Neural Network	Naive
1 b-jet	58.6%	42.1%
2 b-jets	88.4%	87.1%
$\geq 3$ b-jets	61.7%	53.3%
Overall	73.9%	67.2%

Table 27: Accuracy of the NN in identifying b-jets from tops in 2lSS events, overall and split by the number of b-tagged jets in the event, compared to the accuracy of taking the two highest b-tagged jets.

<sup>1316</sup> **18.3.2 3l Channel**

<sup>1317</sup> The input features used in the 3l channel are listed in Table 28, with the same naming convention  
<sup>1318</sup> as the 2lSS channel.

jet $p_T$ 0	jet $p_T$ 1	jet $\eta$ 0
jet $\eta$ 1	Lepton $p_T$ 0	Lepton $p_T$ 1
Lepton $p_T$ 2	$\Delta R(j_0)(j_1)$	$M(j_0 j_1)$
$\Delta R(l_0)(j_0)$	$\Delta R(l_1)(j_0)$	$\Delta R(l_2)(j_0)$
$\Delta R(l_0)(j_1)$	$\Delta R(l_1)(j_1)$	$\Delta R(l_2)(j_1)$
$M(l_0 j_0)$	$M(l_1 j_0)$	$M(l_2 j_0)$
$M(l_0 j_1)$	$M(l_1 j_1)$	$M(l_2 j_1)$
$\Delta R(j_0 l_0)(j_1 l_1)$	$\Delta R(j_0 l_0)(j_1 l_2)$	$\Delta R(j_0 l_1)(j_1 l_0)$
$\Delta R(j_0 l_2)(j_1 l_0)$	jet DL1r 0	jet DL1r 1
$p_T(j_0 j_1 l_0 l_1 l_2 E_T^{\text{miss}})$	$M(t j_0 j_1 l_0 l_1 l_2 E_T^{\text{miss}})$	$\Delta\phi(j_0)(E_T^{\text{miss}})$
$\Delta\phi(j_1)(E_T^{\text{miss}})$	HT Lepton	HT jets
nJets	$E_T^{\text{miss}}$	nJets OR DL1r 85
nJets OR DL1r 60		

Table 28: Input features for the b-jet identification algorithm in the 3l channel.

<sup>1319</sup> A few of these features are shown in Figure 18.4, comparing the distributions for correct  
<sup>1320</sup> and incorrect combinations of jets.

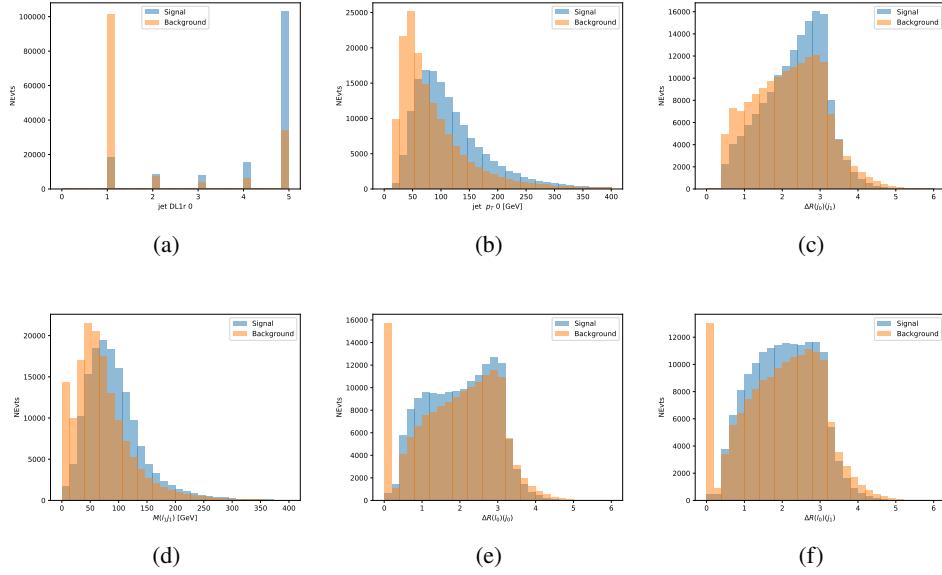


Figure 18.4: Input features for top3l training. The signal in blue represents events where both jet candidates are truth b-jets from top decays, and the orange is all other combinations. Scaled to the same number of events. (a) show the DL1r WP of jet 0, (b) the  $p_T$  of jet 0, (c)  $\Delta R$  between jet 0 and jet 1, (d) the invariant mass of lepton 1 and jet 1, (e)  $\Delta R$  between lepton 0 and jet 0, and (f)  $\Delta R$  between lepton 0 and jet 1

1321           The modeling of these inputs is validated against data, with Figure 18.5 showing good  
 1322           general agreement between data and MC. Plots for the complete list of features can found in  
 1323           Section A.

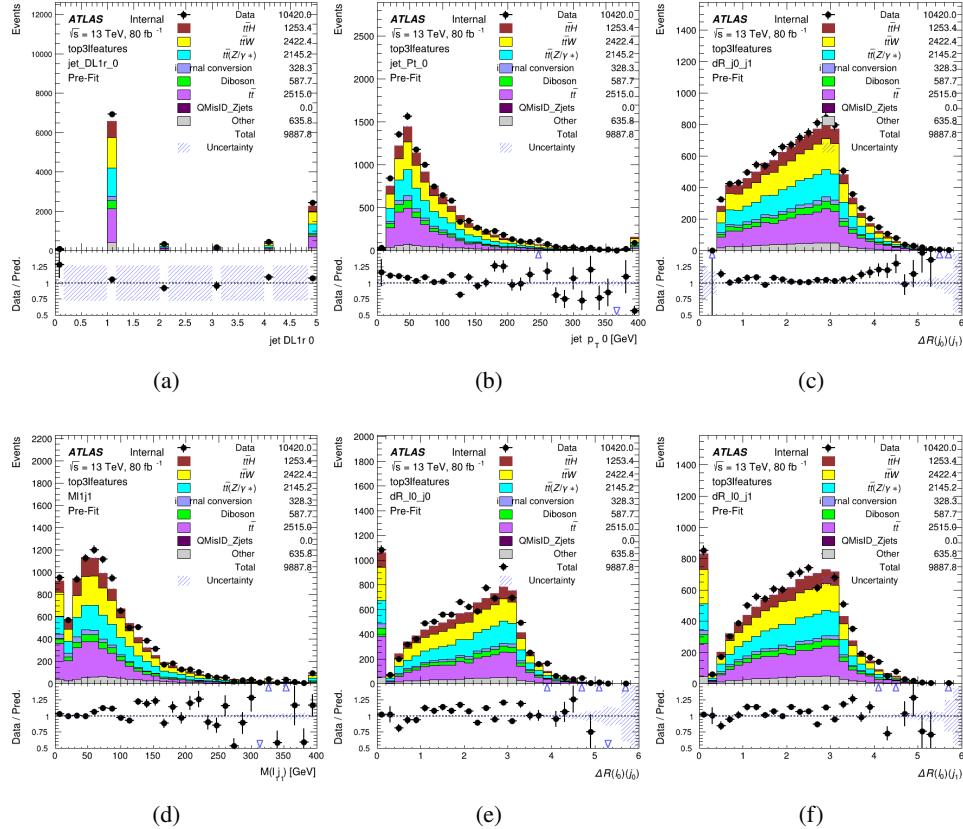


Figure 18.5: Data/MC comparisons of input features for top31 training for  $79.8 \text{ fb}^{-1}$  of data. (a) show the DL1r WP of jet 0, (b) the  $p_T$  of jet 0, (c)  $\Delta R$  between jet 0 and jet 1, (d) the invariant mass of lepton 1 and jet 1, (e)  $\Delta R$  between lepton 0 and jet 0, and (f)  $\Delta R$  between lepton 0 and jet 1

Again, the dataset is downsized to reduce the ratio of correct and incorrect combination from 20:1, to 5:1. Around 7 million events are used for training, with 10% set aside for testing.

Based on the results of grid search evaluation, the optimal architecture is found to include 5 hidden layers with 60 nodes each. The output score distribution as well as the ROC curve for the trained model are shown in Figure 18.3.2.

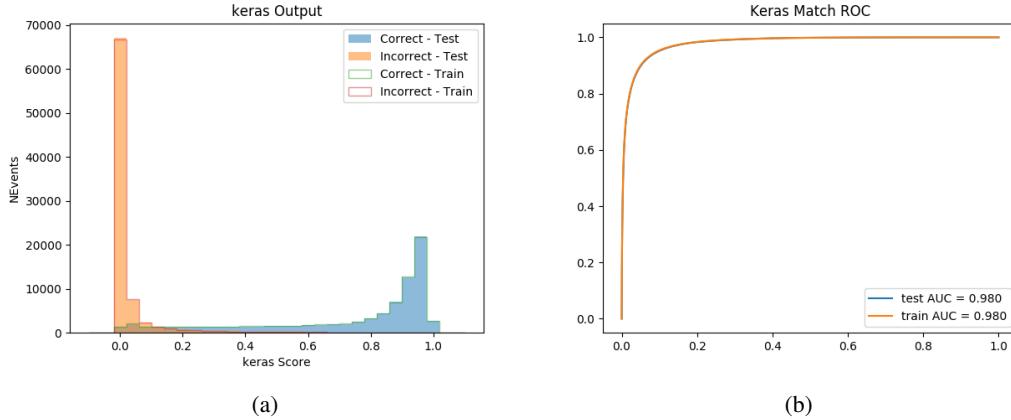


Figure 18.6: Results of the b-jet identification algorithm for the 3l channel, showing (a) the output score of the NN for correct and incorrect combinations of jets. (b) the ROC curve of the output, showing background rejection as a function of signal efficiency

1329        This procedure is found to identify the correct pairing of jets for nearly 80% of 3l signal  
 1330        events. The accuracy of the model is summarized in Table 29.

Table 29: Accuracy of the NN in identifying b-jets from tops, compared to the naive method of taking the highest b-tagged jets.

	NN	Naive
1 b-jet	69.0%	48.9%
2 b-jets	89.6%	88.3%
$\geq 3$ b-jets	55.7%	52.3%
Overall	79.8%	70.2%

## 1331        18.4 Higgs Reconstruction

1332        Techniques similar to the b-jet identification algorithms are employed to select the decay products  
 1333        of the Higgs: kinematics of all possible combinations of reconstructed objects are fed into a neural  
 1334        network to determine which of those is most likely to be the decay products of the Higgs.

1335 Again separate models are used for the 2lSS and 3l channels, while the 3l channel has now  
1336 been split into two:  $t\bar{t}H$  events with three leptons in the final state include both instances where  
1337 the Higgs decays into a lepton (and a neutrino) and a pair of jets, and instances where the Higgs  
1338 decays to two leptons.

1339 3l events are therefore categorized as either semi-leptonic (3lS) or fully-leptonic (3lF). In  
1340 the semi-leptonic case the reconstructed decay products consist of two jets and a single lepton.  
1341 For the fully-leptonic case, the decay products include 2 of the three leptons associated with the  
1342 event. For training the models, events are separated into these two categories using truth level  
1343 information. A separate MVA, described in Section 18.6, is used to make this distinction at reco  
1344 level and determine which model to use.

1345 For all channels, the models described in Section 18.3 are used to identify b-jet candidates,  
1346 whose kinematics are used to identify the Higgs decay products. These jets are not considered  
1347 as possible candidates for the Higgs decay, justified by the fact that these models are found to  
1348 misidentify jets from the Higgs decay as jets from the top decay less than 1% of the time.

#### 1349 **18.4.1 2lSS Channel**

1350 For the 2lSS channel, the Higgs decay products include one light lepton and two jets. The neural  
1351 network is trained on the kinematics of different combinations of leptons and jets, as well as the  
1352 b-jets identified in Section 18.3, with the specific input features listed in Table 30.

Lepton $p_T$ H	Lepton $p_T$ T	jet $p_T$ 0
jet $p_T$ 1	top $p_T$ 0	top $p_T$ 1
top $\eta$ 0	top $\eta$ 1	jet $\eta$ 0
jet $\eta$ 1	jet Phi 0	jet Phi 1
Lepton $\eta$ H	Lepton heta T	$\Delta R(j_0)(j_1)$
$\Delta R(l_H)(j_0)$	$\Delta R(l_H)(j_1)$	$M(j_0 j_1)$
$M(l_H j_0)$	$M(l_H j_1)$	$\Delta R(l_H)(b_0)$
$\Delta R(l_H)(b_1)$	$\Delta R(l_T)(b_0)$	$\Delta R(l_T)(b_1)$
$\Delta R(j_0 j_1)(l_H)$	$\Delta R(j_0 j_1)(l_T)$	$\Delta R(j_0 j_1)(b_0)$
$\Delta R(j_0 j_1)(b_1)$	$\Delta R(j_0)(b_0)$	$\Delta R(j_0)(b_1)$
$\Delta R(j_1)(b_0)$	$\Delta R(j_1)(b_1)$	$M(j_0 j_1 l_H)$
$p_T(j_0 j_1 l_H l_T b_0 b_1 E_T^{\text{miss}})$	topScore	$E_T^{\text{miss}}$
nJets	HT jets	

Table 30: Input features used to identify the Higgs decay products in 2ISS events

1353 Here  $j_0$  and  $j_1$ , and  $l_H$  are the jet and lepton decay candidates, respectively. The other  
 1354 lepton in the event is labeled  $l_T$ , as it is assumed to have come from the decay of one of the top  
 1355 quarks.  $b_0$  and  $b_1$  are the two b-jets identified by the b-jet identification algorithm. The b-jet  
 1356 Reco Score is the output of the b-jet reconstruction algorithm.

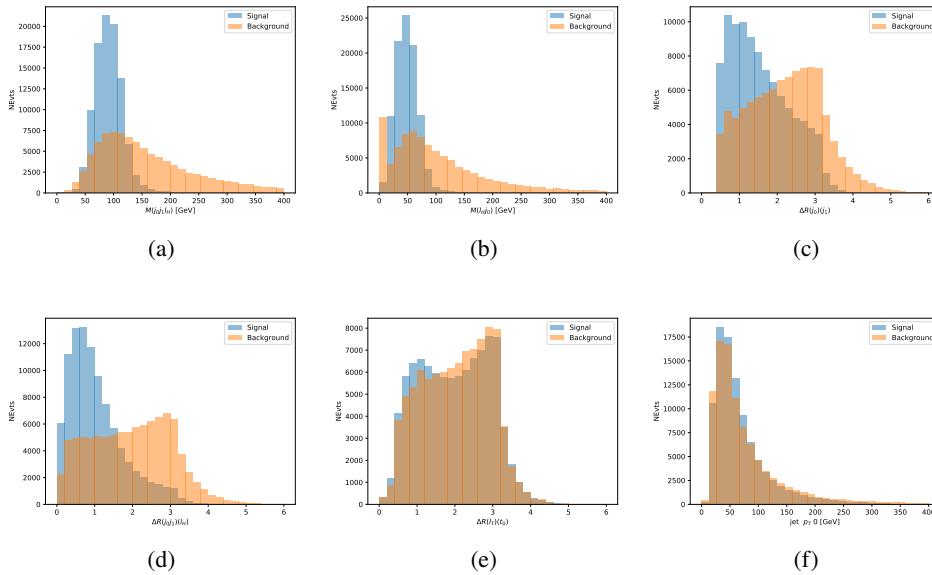


Figure 18.7: Input features for higgs2lSS training. The signal in blue represents events where both jet candidates are truth b-jets from top decays, and the orange is all other combinations. Scaled to the same number of events. (a) shows the invariant mass of the two jet candidates and the lepton candidate, (b) the invariant mass of jet 0 and the lepton candidate, (c)  $\Delta R$  between the jet candidates, (d)  $\Delta R$  between jet 0 + jet 1 and the lepton candidate, (e)  $\Delta R$  between the lepton from the top and the leading b-jet, (f) the  $p_T$  of jet 0.

1357 The modeling of these inputs is validated against data, with Figure 18.2 showing good  
 1358 general agreement between data and MC. Plots for the complete list of features can found in  
 1359 Section A.

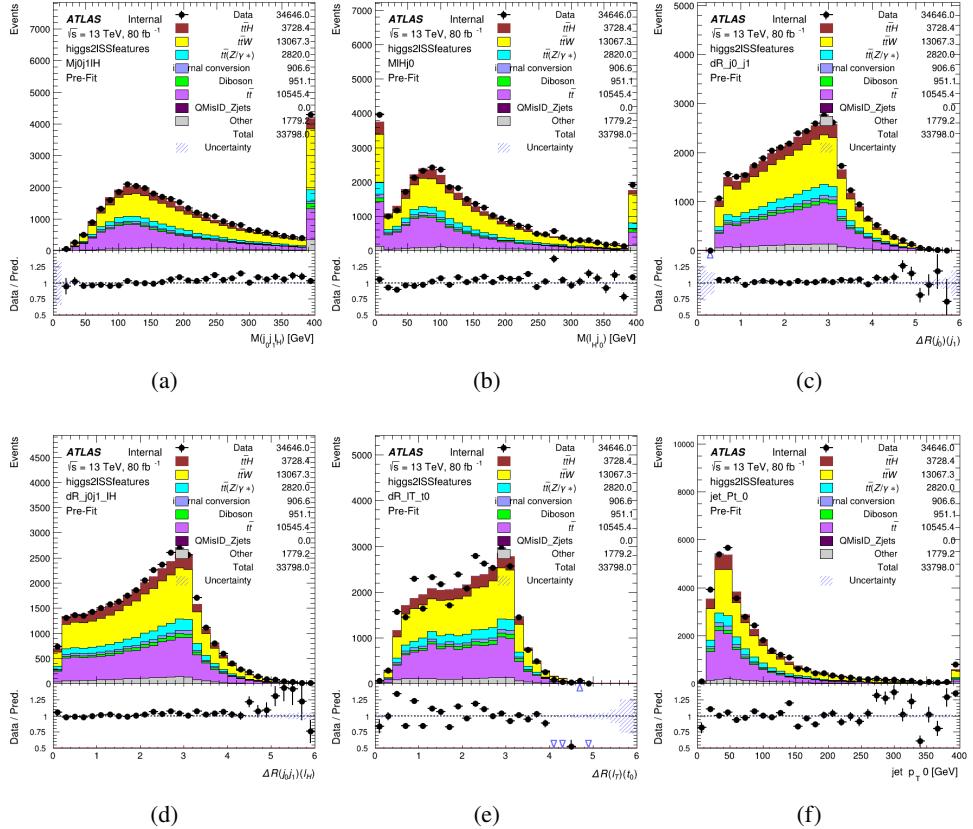


Figure 18.8: Data/MC comparisons of input features for higgs2ISS training for  $79.8 \text{ fb}^{-1}$  of data. (a) shows the invariant mass of the two jet candidates and the lepton candidate, (b) the invariant mass of jet 0 and the lepton candidate, (c)  $\Delta R$  between the jet candidates, (d)  $\Delta R$  between jet 0 + jet 1 and the lepton candidate, (e)  $\Delta R$  between the lepton from the top and the leading b-jet, (f) the  $p_T$  of jet 0.

1360 A neural network consisting of 7 hidden layers with 60 nodes each is trained on around 2  
 1361 million events, with an additional 200,000 reserved for testing the model. In order to compensate  
 1362 for large number of incorrect combinations, these have been downsampled such that the correct  
 1363 combinations represent over 10% of the training set. The output of the NN is summarized in  
 1364 Figure 18.4.1.

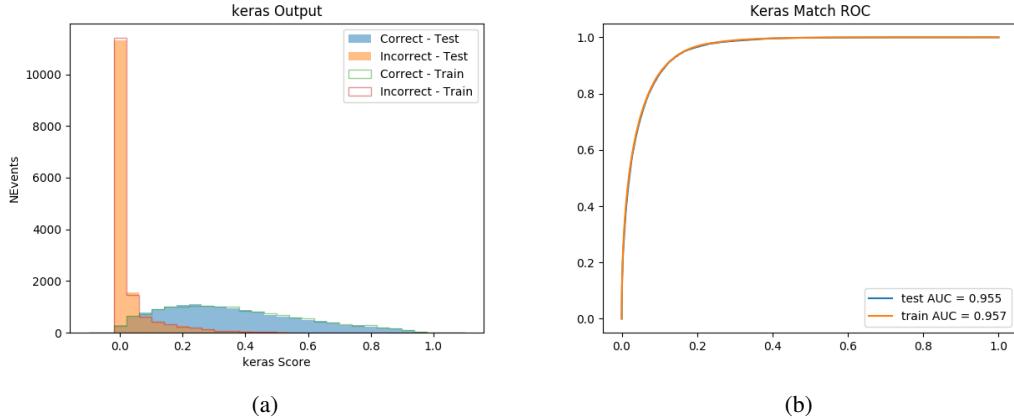


Figure 18.9: Result of the Higgs reconstruction algorithm in the 2lSS channel, showing (a) the output score of the NN for correct and incorrect combinations of jets scaled to an equal number of events, and (b) the ROC curve of the output, showing background rejection as a function of signal efficiency

1365           The neural network identifies the correct combination 55% of the time. It identifies the  
 1366           correct lepton 85% of the time, and selects the correct lepton and at least one of the correct jets  
 1367           81% of the time.

#### 1368   **18.4.2 3l Semi-leptonic Channel**

1369   For 3l  $t\bar{t}H$  where the Higgs decay semi-leptonically, the decay products include one of the three  
 1370   leptons and two jets. In this case, the other two leptons originated from the decay of the tops,  
 1371   meaning the opposite-sign (OS) lepton cannot have come from the Higgs. This leaves only the two  
 1372   same-sign (SS) leptons as possible Higgs decay products.

Lepton $p_T H$	Lepton $p_T T_0$	Lepton $p_T T_1$
jet $p_T 0$	jet $p_T 1$	top $p_T 0$
top $p_T 1$	jet $\eta 0$	jet $\eta 1$
jet $\phi 0$	jet $\phi 1$	$\Delta R(j_0)(j_1)$
$M(j_0 j_1)$	$\Delta R(l_H)(j_0)$	$\Delta R(l_H)(j_1)$
$\Delta R(j_0 j_1)(l_H)$	$\Delta R(j_0 j_1)(l_{T_1})$	$\Delta R(l_{T_0})(l_{T_1})$
$\Delta R(l_H)(l_{T_1})$	$M(j_0 j_1 l_{T_0})$	$M(j_0 j_1 l_{T_1})$
$M(j_0 j_1 l_H)$	$\Delta R(j_0 j_1 l_H)(l_{T_0})$	$\Delta R(j_0 j_1 l_H)(l_{T_1})$
$\Delta\phi(j_0 j_1 l_H)(E_T^{\text{miss}})$	$p_T(j_0 j_1 l_H l_{T_0} l_{T_1} b_0 b_1 E_T^{\text{miss}})$	$M(j_0 j_1 b_0)$
$M(j_0 j_1 b_1)$	$\Delta R(l_{T_0})(b_0)$	$\Delta R(l_{T_0})(b_1)$
$\Delta R(l_{T_1})(b_0)$	$\Delta R(l_{T_1})(b_1)$	$\Delta R(j_0)(b_0)$
$\Delta R(j_0)(b_1)$	$\Delta R(j_1)(b_0)$	$\Delta R(j_1)(b_1)$
topScore	MET	HT jets
nJets		

Table 31: Input features used to identify the Higgs decay products in 3lS events

1373 Here  $j_0$  and  $j_1$ , and  $l_H$  are the jet and lepton decay candidates, respectively. The other  
 1374 two leptons in the event are labeled as  $l_{T0}$  and  $l_{T1}$ .  $b_0$  and  $b_1$  are the two b-jets identified by  
 1375 the b-jet identification algorithm. The b-jet Reco Score is the output of the Higgs reconstruction  
 1376 algorithm.

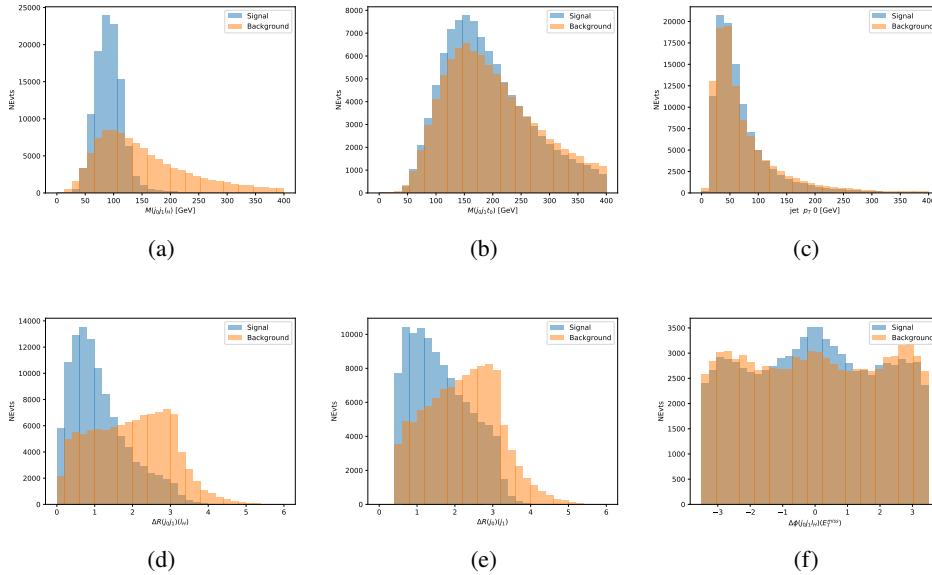


Figure 18.10: Input features for higgs3lS training. The signal in blue represents events where both jet candidates are truth b-jets from top decays, and the orange is all other combinations. Scaled to the same number of events.

1377 The modeling of these inputs is validated against data, with Figure 18.11 showing good  
 1378 general agreement between data and MC. Plots for the complete list of features can found in  
 1379 appendix A.1.

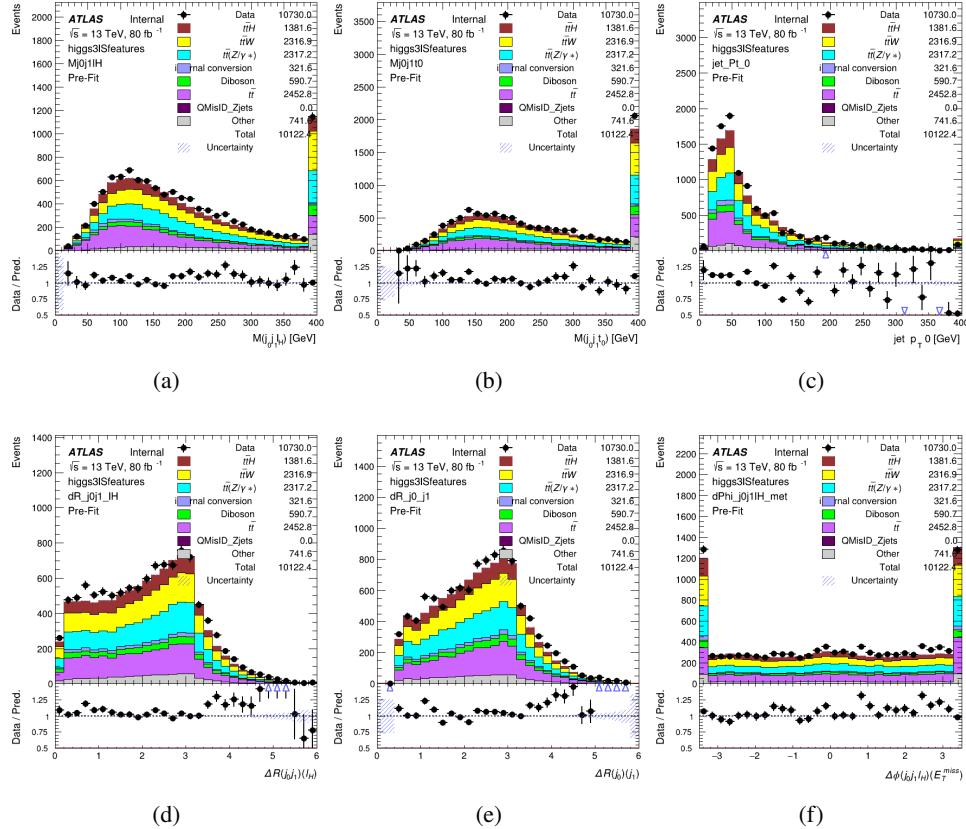


Figure 18.11: Data/MC comparisons of input features for higgs3lS training for  $79.8 \text{ fb}^{-1}$  of data.

1380 A neural network of 7 hidden layers with 70 nodes each is trained on 1.8 million events.

1381 Once again, incorrect combinations are downsampled, such that the correct combinations are  
 1382 around 10% of the training set. 10% of the dataset is reserved for testing. The output of the NN  
 1383 is summarized in Figure 18.4.2.

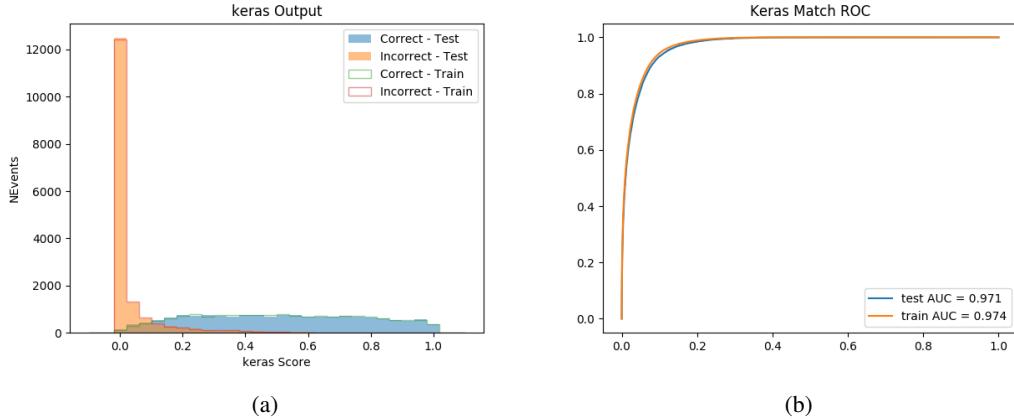


Figure 18.12: Results of the Higgs reconstruction algorithm in the 3lS channel, showing (a) the output score of the NN for correct and incorrect combinations of jets, scaled to an equal number of entries.,. (b) the ROC curve of the output, showing background rejection as a function of signal efficiency

1384        The neural network identifies the correct combination 64% of the time. It identifies the  
 1385        correct lepton 85% of the time, and selects the correct lepton and at least one of the correct jets  
 1386        83% of the time.

#### 1387        18.4.3 3l Fully-leptonic Channel

1388        In the fully-leptonic 3l case, the goal is identify which two of the three leptons originated from  
 1389        the Higgs decay. Since one of these two must be the OS lepton, this problem is reduced to  
 1390        determining which of the two SS leptons originated from the Higgs. The kinematics of both  
 1391        possibilities are used for training, one where the SS lepton from the Higgs is correctly labeled,  
 1392        and one where it is not.

Lepton $p_T H_1$	Lepton $p_T H_0$	Lepton $p_T T$
top $p_T 0$	top $p_T 1$	$\Delta\phi(l_{H_1})(E_T^{\text{miss}})$
$\Delta\phi(l_T)(E_T^{\text{miss}})$	$M(l_{H_0}l_{H_1})$	$M(l_{H_1}l_T)$
$M(l_{H_0}l_T)$	$\Delta R(l_{H_0})(l_{H_1})$	$\Delta R(l_{H_1})(l_T)$
$\Delta R(l_{H_0})(l_T)$	$\Delta R(l_{H_0}l_{H_1})(l_T)$	$\Delta R(l_{H_0}l_T)(l_{H_1})$
$\Delta R(l_{H_0}l_{H_1})(b_0)$	$\Delta R(l_{H_0}l_{H_1})(b_1)$	$\Delta R(l_{H_0}b_0)$
$M(l_{H_0}b_0)$	$\Delta R(l_{H_0}b_1)$	$M(l_{H_0}b_1)$
$\Delta R(l_{H_1}b_0)$	$M(l_{H_1}b_0)$	$\Delta R(l_{H_1}b_1)$
$M(l_{H_1}b_1)$	$E_T^{\text{miss}}$	topScore

Table 32: Input features used to identify the Higgs decay products in 3lF events

1393 Here  $l_{H0}$  and  $l_{H1}$  are the Higgs decay candidates. The other lepton in the event is labeled  
 1394  $l_T$ .  $b_0$  and  $b_1$  are the two b-jets identified by the b-jet identification algorithm. The b-jet Reco  
 1395 Score is the output of the Higgs reconstruction algorithm.

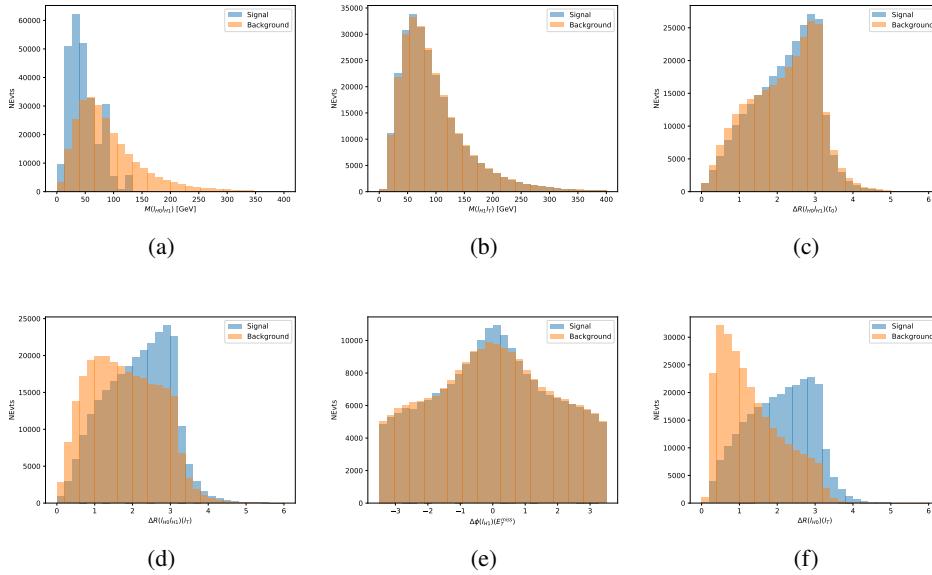


Figure 18.13: Input features for higgs3IF training. The signal in blue represents events where both jet candidates are truth b-jets from top decays, and the orange is all other combinations. Scaled to the same number of events.

1396 The modeling of these inputs is validated against data, with Figure 18.14 showing good  
 1397 general agreement between data and MC. Plots for the complete list of features can found in  
 1398 Section A.

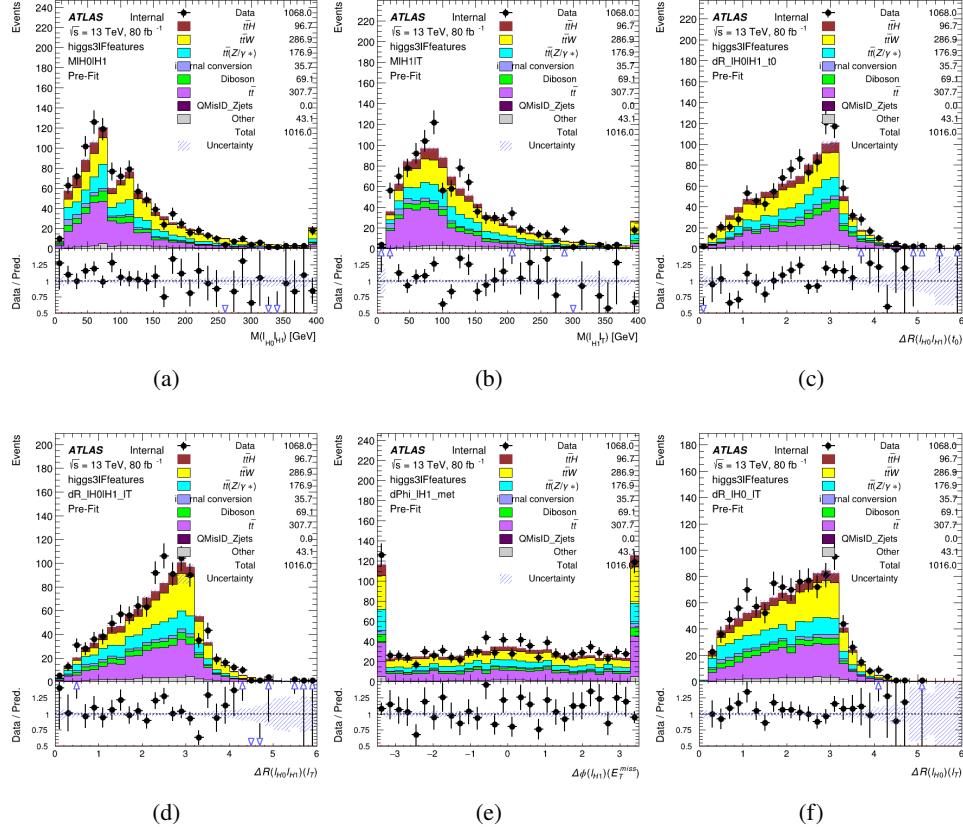


Figure 18.14: Data/MC comparisons of input features for higgs3lF training for  $79.8 \text{ fb}^{-1}$  of data.

1399 A neural network consisting of 5 nodes and 60 hidden units is trained on 800,000 events,  
 1400 with 10% of the dataset reserved for testing. The output of the model is summarized in Figure  
 1401 **18.4.3.**

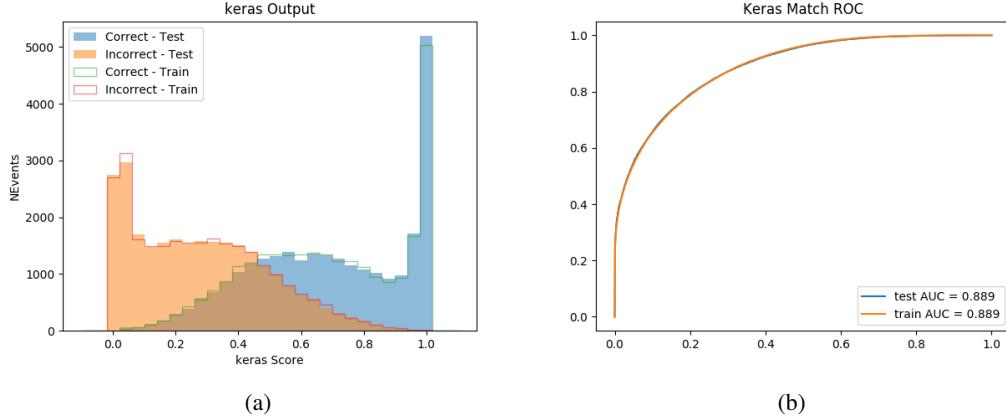


Figure 18.15: (a) the output score of the NN for correct and incorrect combinations of jets. (a) the ROC curve of the output, showing background rejection as a function of signal efficiency

1402           The correct lepton is identified by the model for 80% of events in the testing data set.

## 1403       **18.5 $p_T$ Prediction**

1404       Once the most probable decay products have been identified, their kinematics are used as inputs  
 1405       to a regression model which attempts to predict the momentum of the Higgs Boson. Once again,  
 1406       a DNN is used. Input variables representing the b-jets and leptons not from the Higgs decay  
 1407       are included as well, as these are found to improve performance. The truth  $p_T$  of the Higgs,  
 1408       as predicted by MC, are used as labels. Separate models are built for each channel - 2lSS, 3l  
 1409       Semi-leptonic and 3l Fully-leptonic.

1410       As a two-bin fit is targeted for the final result, some metrics evaluating the performance  
 1411       of the models aim to show how well it distinguished between "high  $p_T$ " and "low  $p_T$ " events. A

1412 cutoff point of 150 GeV is used to define these two categories.

1413 Because the analysis uses a two bin fit of the Higgs  $p_T$ , the momentum reconstruction  
1414 could be treated as a binary classification problem, rather than a regression problem. This  
1415 approach is explored in detail in Section A.5, and is found not to provide any significant increase  
1416 in sensitivity. The regression approach is used because it provides more flexibility for future  
1417 analyses, as it is independent of the cutoff between high and low  $p_T$ , as well as the number of  
1418 bins. Further, a regression allows the output of the neural network to be more clearly understood,  
1419 as it can be directly compared to a physics observable.

#### 1420 **18.5.1 2lSS Channel**

1421 The input variables listed in Table 33 are used to predict the Higgs  $p_T$  in the 2lSS channel. Here  
1422  $j_0$  and  $j_1$  are the two jets identified as Higgs decay products. The lepton identified as originating  
1423 from the Higgs is labeled  $l_H$ , while the other lepton is labeled  $l_T$ , as it is assumed to have come  
1424 from the decay of one of the top quarks.  $b_0$  and  $b_1$  are the two b-jets identified by the b-jet  
1425 identification algorithm. The Higgs Reco Score and b-jet Reco Score are the outputs of the Higgs  
1426 reconstruction algorithm, and the b-jet identification algorithm, respectively.

HT	$M(j_0 j_1)$	$M(j_0 j_1 l_H)$
$M(l_H j_0)$	$M(l_H j_1)$	$p_T(b_0 b_1)$
$p_T(j_0 j_1 l_H)$	$\Delta\phi(j_0 j_1 l_H)(E_T^{\text{miss}})$	$\Delta R(j_0)(j_1)$
$\Delta R(j_0 j_1)(l_H)$	$\Delta R(j_0 j_1 l_H)(l_T)$	$\Delta R(j_0 j_1 l_H)(b_0)$
$\Delta R(j_0 j_1 l_H)(b_1)$	$\Delta R(l_H)(j_0)$	$\Delta R(l_H)(b_0)$
$\Delta R(l_H)(b_1)$	$\Delta R(l_T)(b_0)$	$\Delta R(l_T)(b_1)$
$\Delta R(b_0)(b_1)$	Higgs Reco Score	jet $\eta$ 0
jet $\eta$ 1	jet Phi 0	jet Phi 1
jet $p_T$ 0	jet $p_T$ 1	Lepton $\eta$ H
Lepton $\phi$ H	Lepton $p_T$ H	Lepton $p_T$ T
$E_T^{\text{miss}}$	nJets	b-jet Reco Score
b-jet $p_T$ 0	b-jet $p_T$ 1	

Table 33: Input features for reconstructing the Higgs  $p_T$  spectrum for 2lSS events

1427        The optimal neural network architecture for this channel is found to consist of 7 hidden  
 1428        layers with 60 nodes each. The input data set includes 1.2 million events, 10% of which is used  
 1429        for testing, the other 90% for training. Training is found to converge after around 150 epochs.

1430        To evaluate the performance of the model, the predicted  $p_T$  spectrum is compared to the  
 1431        truth Higgs  $p_T$  in Figure 18.16. In order to visualize the model performance more clearly, in (a)  
 1432        of that figure, the color of each point is determined by Kernel Density Estimation (KDE). The  
 1433        color shown represents the logarithm of the output from KDE, to counteract the large number of  
 1434        low  $p_T$  events. For that same reason, each column of the histogram shown in (b) of Figure 18.16  
 1435        is normalized to unity. This plot therefore demonstrates what the model predicts for each slice  
 1436        of truth  $p_T$ .

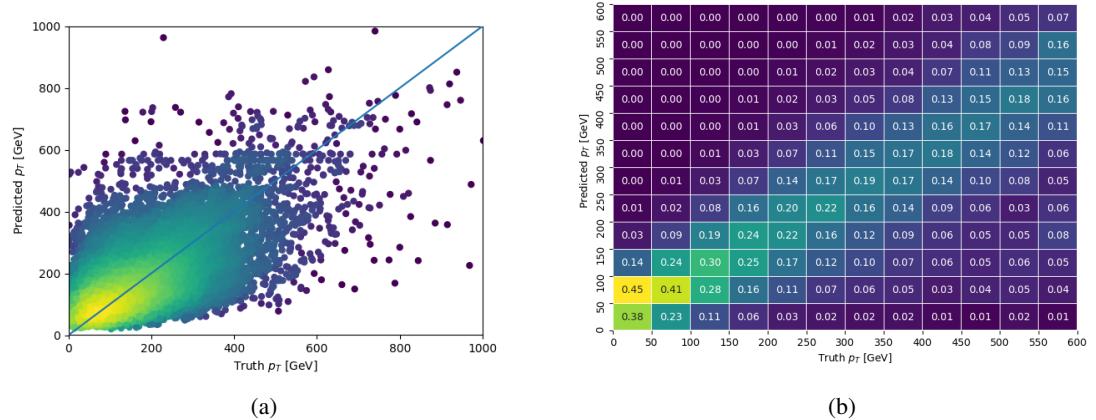


Figure 18.16: The regressed Higgs momentum spectrum as a function of the truth  $p_T$  for 2ISS  $t\bar{t}H$  events in (a) a scatterplot, where the color of each point represents the log of the point density, based on Gaussian Kernel Density Estimation, and (b) a histogram where each column has been normalized to one.

1437        We are also interested in how well the model distinguishes between events with  $p_T < 150$

1438 GeV and  $>150$  GeV. Figure 18.17 demonstrates the NN output for high and low  $p_T$  events based  
 1439 on this cutoff.

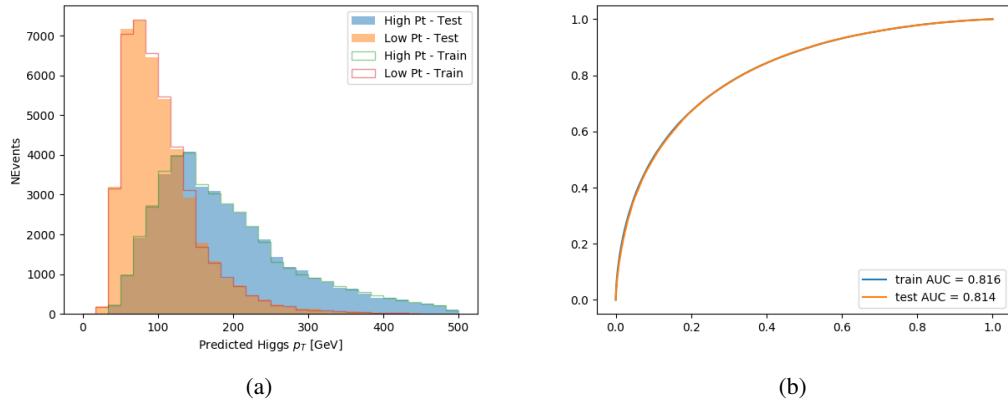


Figure 18.17: (a) shows the reconstructed Higgs  $p_T$  for 2lSS events with truth  $p_T > 150$  GeV and  $< 150$  GeV, while (b) shows the ROC curve for those two sets of events.

### 1440 18.5.2 3l Semi-leptonic Channel

1441 The following input features are used to predict the Higgs  $p_T$  for events in the 3lS channel:

HT jets	MET	$M(j_0 j_1)$
$M(j_0 j_1 l_H)$	$M(j_0 j_1 l_{T0})$	$M(j_0 j_1 l_{T1})$
$M(j_0 j_1 b_0)$	$M(j_0 j_1 b_1)$	$M(b_0 l_{T0})$
$M(b_0 l_{T1})$	$M(b_1 l_{T0})$	$M(b_1 l_{T1})$
$\Delta\phi(j_0 j_1 l_H)(E_T^{\text{miss}})$	$\Delta R(j_0)(j_1)$	$\Delta R(j_0 j_1)(l_H)$
$\Delta R(j_0 j_1)(l_{T1})$	$\Delta R(j_0 j_1)(b_0)$	$\Delta R(j_0 j_1)(b_1)$
$\Delta R(j_0 j_1 l_H)(l_{T0})$	$\Delta R(j_0 j_1 l_H)(l_{T1})$	$\Delta R(j_0 j_1 l_H)(b_0)$
$\Delta R(j_0 j_1 l_H)(b_1)$	$\Delta R(l_H)(j_0)$	$\Delta R(l_H)(j_1)$
$\Delta R(l_H)(l_{T1})$	$\Delta R(l_{T0})(l_{T1})$	$\Delta R(l_{T0})(b_0)$
$\Delta R(l_{T0})(b_1)$	$\Delta R(l_{T1})(b_0)$	$\Delta R(l_{T1})(b_1)$
higgsScore	jet $\eta$ 0	jet $\eta$ 1
jet $\phi$ 0	jet $\phi$ 1	jet $p_T$ 0
jet $p_T$ 1	Lepton $\eta$ H	Lepton $\phi$ H
Lepton $p_T$ H	Lepton $p_T$ T0	Lepton $p_T$ T1
nJets	topScore	b-jet $p_T$ 0
b-jet $p_T$ 1		

Table 34: Input features for reconstructing the Higgs  $p_T$  spectrum for 3lS events

Again,  $j_0$  and  $j_1$  are the two jets identified as Higgs decay products, ordered by  $p_T$ . The lepton identified as originating from the Higgs is labeled  $l_H$ , while the other two leptons are labeled  $l_{T0}$  and  $l_{T1}$ .  $b_0$  and  $b_1$  are the two b-jets identified by the b-jet identification algorithm. The Higgs Reco Score and b-jet Reco Score are the outputs of the Higgs reconstruction algorithm, and the b-jet identification algorithm, respectively.

The optimal neural network architecture for this channel is found to consist of 7 hidden layers with 80 nodes each. The inputdata set includes one million events, 10% of which is used for testing, the other 90% for training. Training is found to converge after around 150 epochs.

To evaluate the performance of the model, the predicted  $p_T$  spectrum is compared to the truth Higgs  $p_T$  in Figure 18.18. Once again, (a) of 18.18 shows a scatterplots of predicted vs truth  $p_T$ , where the color of each point corresponds to the log of the relative KDE at that point. Each column of the the histogram in (b) is normalized to unity, to better demonstrate the output of the NN for each slice of truth  $p_T$ .

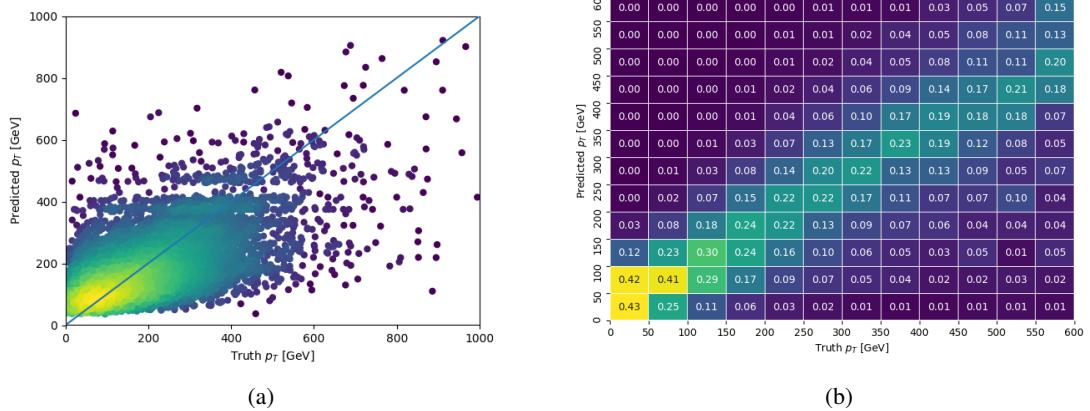


Figure 18.18: The regressed Higgs momentum spectrum as a function of the truth  $p_T$  for 3lS  $t\bar{t}H$  events in (a) a scatterplot, where the color of each point represents the log of the point density, based on Gaussian Kernel Density Estimation, and (b) a histogram where each column has been normalized to one.

1455      Figure 18.19 shows (a) the output of the NN for events with truth  $p_T$  less than and greater  
 1456      than 150 GeV and (b) the ROC curve demonstrating how well the NN distinguishes high and low  
 1457       $p_T$  events.

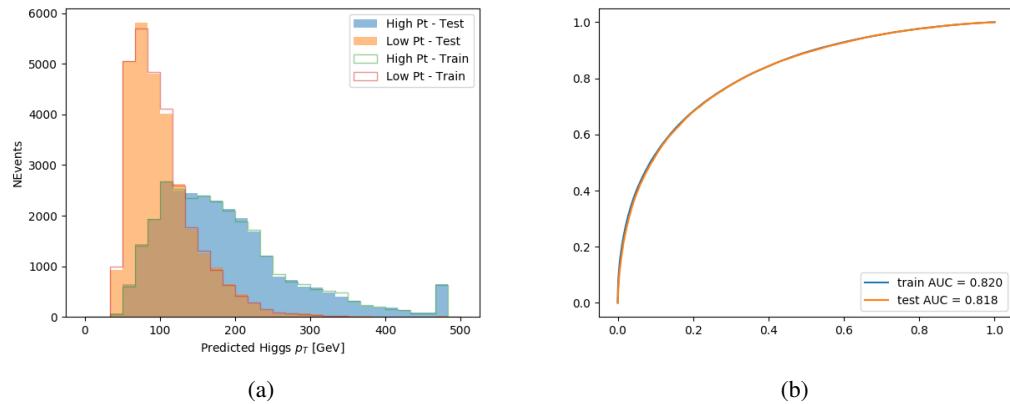


Figure 18.19: (a) shows the reconstructed Higgs  $p_T$  for 3lS events with truth  $p_T > 150$  GeV and  $< 150$  GeV, while (b) shows the ROC curve for those two sets of events.

**1458 18.5.3 3l Fully-leptonic Channel**

1459 The features listed in 35 are used to construct a model for predictin the Higgs  $p_T$  for 3lF events.

HT	$M(l_{H0}l_{H1})$	$M(l_{H0}l_T)$
$M(l_{H0}b_0)$	$M(l_{H0}b_1)$	$M(l_{H1}l_T)$
$M(l_{H1}b_0)$	$M(l_{H1}b_1)$	$\Delta R(l_{H0})(l_{H1})$
$\Delta R(l_{H0})(l_T)$	$\Delta R(l_{H0}l_{H1})(l_T)$	$\Delta R(l_{H0}l_T)(l_{H1})$
$\Delta R(l_{H1})(l_T)$	$\Delta R(l_{H0}b_0)$	$\Delta R(l_{H0}b_1)$
$\Delta R(l_{H1}b_1)$	$\Delta R(l_{H1}b_0)$	higgsScore
Lepton $\eta$ $H_0$	Lepton $\eta$ $H_1$	Lepton $\eta$ T
Lepton $p_T$ $H_0$	Lepton $p_T$ $H_1$	Lepton $p_T$ T
$E_T^{\text{miss}}$	topScore	b-jet $p_T$ 0
b-jet $p_T$ 1		

Table 35: Input features for reconstructing the Higgs  $p_T$  spectrum for 3lF events

1460  $l_{H0}$  and  $l_{H1}$  represent the two leptons identified by the Higgs reconstruction model as  
 1461 originating from the Higgs, while  $l_T$  is the other lepton in the event. The Higgs Reco Score and  
 1462 b-jet Reco Score are the outputs of the Higgs reconstruction algorithm, and b-jet identification  
 1463 algorithm, respectively.

1464 The optimal neural network architecture for this channel is found to consist of 5 hidden  
 1465 layers with 40 nodes each. The input data set includes 400,000 events, 10% of which is used for  
 1466 testing, the other 90% for training. Training is found to converge after around 150 epochs.

1467 The predicted transverse momentum, as a function of the truth  $p_T$ , is shown in Figure  
 1468 **18.20.**

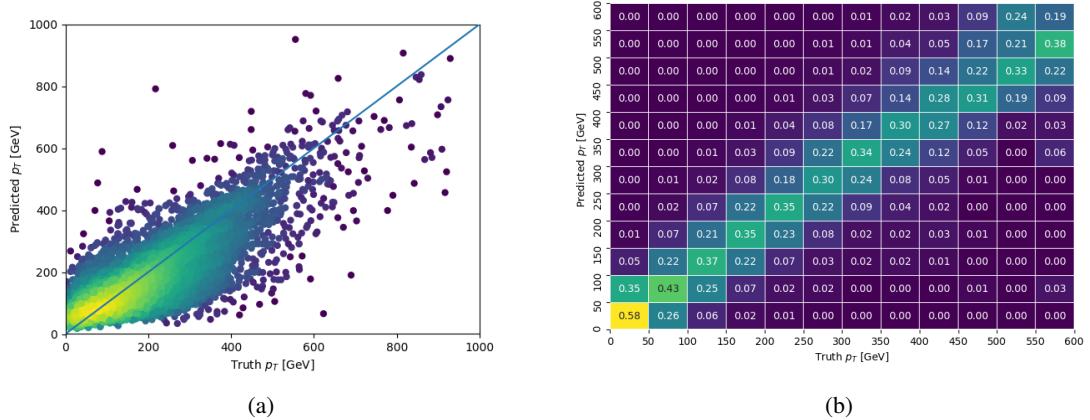


Figure 18.20: The regressed Higgs momentum spectrum as a function of the truth  $p_T$  for 3lF  $t\bar{t}H$  events in (a) a scatterplot, where the color of each point represents the log of the point density, based on Gaussian Kernel Density Estimation, and (b) a histogram where each column has been normalized to one.

1469 When split into high and low  $p_T$ , based on a cutoff of 150 GeV, the

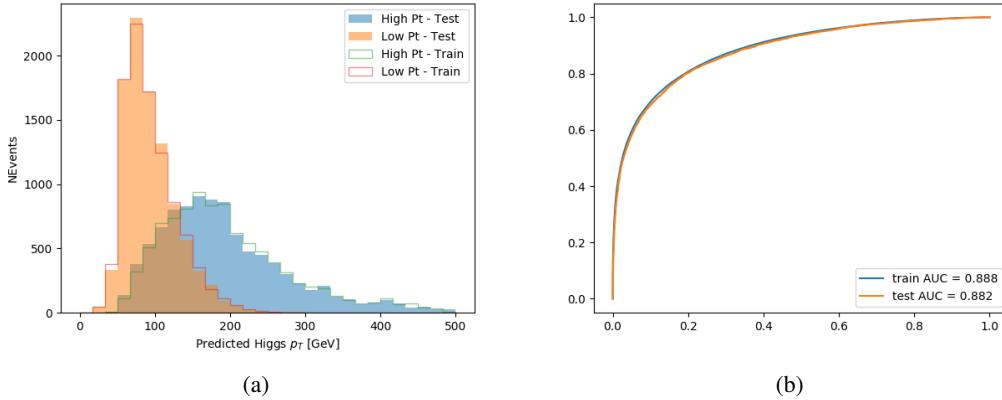


Figure 18.21: (a) shows the reconstructed Higgs  $p_T$  for 3lF events with truth  $p_T > 150$  GeV and  $< 150$  GeV, while (b) shows the ROC curve for those two sets of events.

## 1470 18.6 3l Decay Mode

1471 In the 3l channel, there are two possible ways for the Higgs to decay, both involving intermediate  
 1472 W boson pairs: Either both W bosons decay leptonically, in which case the reconstructed decay  
 1473 consists of two leptons (referred as the fully-leptonic 3l channel), or one W decays leptonically  
 1474 and the other hadronically, giving two jets and one lepton in the final state (referred to as the  
 1475 semi-leptonic 3l channel). In order to accurately reconstruct the Higgs, it is necessary to identify  
 1476 which of these decays took place for each 3l event.

1477 The kinematics of each event, along with the output scores of the Higgs and top recon-  
 1478 struction algorithms, are used to distinguish these two possible decay modes. The particular  
 1479 inputs used are listed in Table 36.

HT jets	$M(l_0 t_0)$	$M(l_0 t_1)$
$M(l_1 t_0)$	$M(l_1 t_1)$	$M(l_0 l_1)$
$M(l_0 l_2)$	$M(l_1 l_2)$	$\Delta R(l_0 t_0)$
$\Delta R(l_0 t_1)$	$\Delta R(l_1 t_0)$	$\Delta R(l_1 t_1)$
$\Delta R(l l_0 1)$	$\Delta R(l l_0 2)$	$\Delta R(l l_1 2)$
Lepton $\eta$ 0	Lepton $\eta$ 1	Lepton $\eta$ 2
Lepton $\phi$ 0	Lepton $\phi$ 1	Lepton $\phi$ 2
Lepton $p_T$ 0	Lepton $p_T$ 1	Lepton $p_T$ 2
$E_T^{\text{miss}}$	nJets	nJets OR DL1r 60
nJets OR DL1r 85	score3lF	score3lS
topScore	total charge	

Table 36: Input features used to distinguish semi-leptonic and fully-leptonic Higgs decays in the 3l channel.

1480 Here  $l_0$  is the opposite charge lepton,  $l_1$  and  $l_2$  are the two SS leptons order by  $\Delta R$   
 1481 from lepton 0. score3lF and score3lS are the outputs of the 3lS and 3lF Higgs reconstruction  
 1482 algorithms, while topScore is the output of the b-jet identification algorithm.

1483 A neural network with 5 hidden layers, each with 50 nodes, is trained to distinguish these  
 1484 two decay modes. The output of the model is summarized in Figure 18.22.

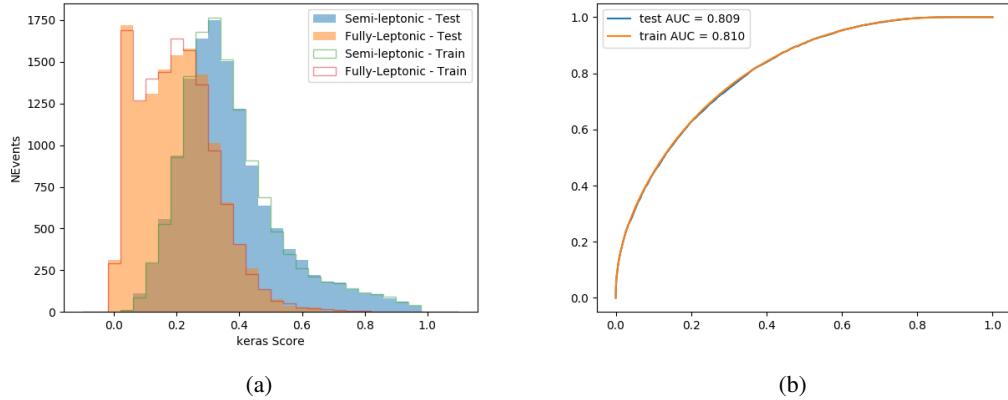


Figure 18.22: (a) shows the output of the decay separation NN for Semi-leptonic (blue) and Fully-leptonic (orange) 3l events, scaled to equal area. (b) shows the ROC curve for those two sets of events.

1485 A cutoff of 0.23 is determined to be optimal for separating 3lS and 3lF in the fit.

## 1486 19 Signal Region Definitions

1487 Events are divided into two channels based on the number of leptons in the final state: one with  
 1488 two same-sign leptons, the other with three leptons. The 3l channel includes events where both  
 1489 leptons originated from the Higgs boson as well as events where only one of the leptons

**1490 19.1 Pre-MVA Event Selection**

1491 A preselection is applied to define orthogonal analysis channels based on the number of leptons  
1492 in each event. For the 2lSS channel, the following preselection is used:

- 1493
- Two very tight, same-charge, light leptons with  $p_T > 20 \text{ GeV}$

1494

    - $\geq 4$  reconstructed jets,  $\geq 1$  b-tagged jets

1495

    - No reconstructed tau candidates

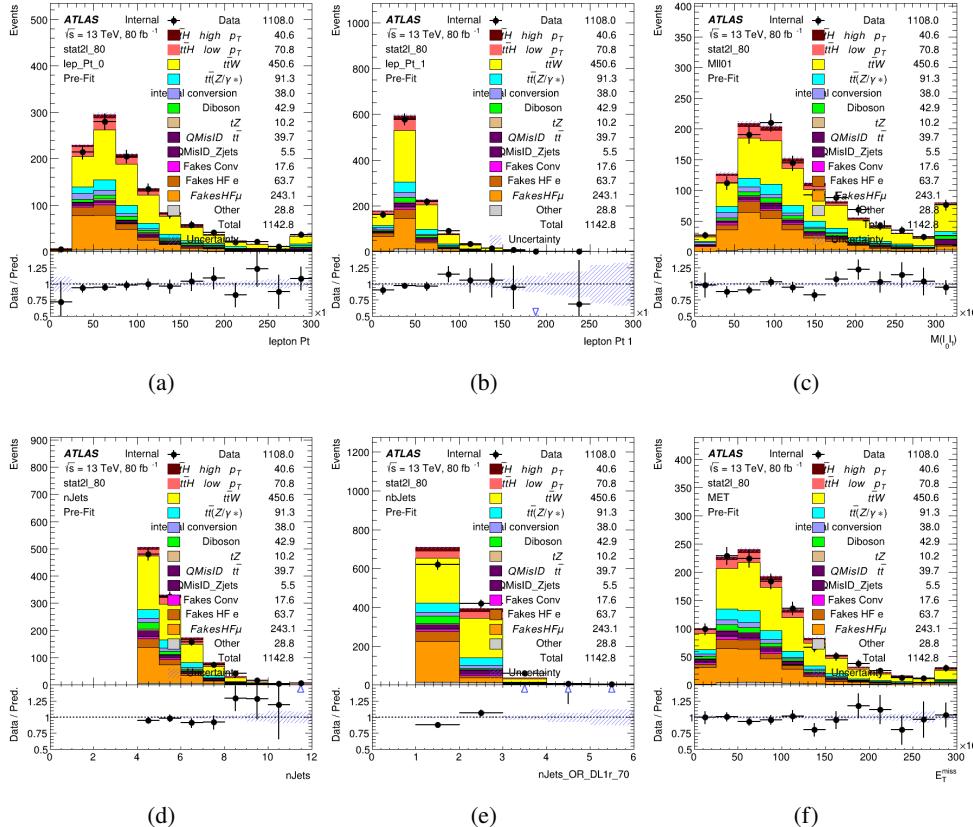
1496 The event yield after the 2lSS preselection has been applied, for MC and data at  $79.8 \text{ fb}^{-1}$ ,  
1497 is shown in Table 37.

	Yields
t̄H high p <sub>T</sub>	36.19 ± 0.23
t̄H low p <sub>T</sub>	63.58 ± 0.31
t̄W	440.64 ± 2.32
t̄Z/γ	91.84 ± 0.79
t̄lllowmass	8.47 ± 0.28
rareTop	24.2099 ± 0.40
VV	38.7927 ± 0.55
tZ	3e-05 ± 5.47-06
QMISID t̄	39.90 ± 2.36
QMISID Zjets	5.49 ± 0.67
t̄ int. conv.	12.74 ± 1.40
t̄ + γ int. conv.	12.09 ± 0.58
t̄ Conv.	13.55 ± 1.43
t̄ + γ Conv.	5.35 ± 0.38
t̄ HF e	59.92 ± 2.89
t̄ + γ HF e	0.51 ± 0.15
t̄ HF μ	224.57 ± 5.62
t̄ + γ HF μ	1.60 ± 0.23
Z + jets internal conv	3e-05 ± 5.47e-06
Z + jets conv	0.62 ± 0.21
Z + jets HF e	0.14 ± 0.13
Z + jets HF μ	0.82 ± 0.26
Single top Conv	2.27 ± 0.53
Single top HF e	2.33 ± 0.50
Single top HF μ	11.12 ± 1.07
Three top	2.22 ± 0.02
Four top	13.09 ± 0.16
t̄WW	10.985 ± 0.30
tW	3e-05 ± 5.47-06
WtZ	9.07 ± 0.44
VVV	0.30 ± 0.04
VH	0.59 ± 1.55
Total	1133.11 ± 7.69
Data	1108

Table 37: Event yield in the 2lSS preselection region.

1498

Figure 19.1. Good general agreement is found.

Figure 19.1: Data/MC comparisons of the 2LSS pre-selection region. (a) and (b) show the  $p_T$  of leptons 0 and 1, (c) shows the invariant mass of lepton 0 and 1, (d) shows the jet multiplicity, (e) the b-tagged jet multiplicity, and (f) the missing transverse energy.

1499

For the 3l channel, the following selection is applied:

1500

- Three light leptons with total charge  $\pm 1$
- Same charge leptons are required to be very tight, with  $p_T > 20 \text{ GeV}$
- Opposite charge lepton must be loose, with  $p_T > 10 \text{ GeV}$

1502

- 1503        •  $\geq 2$  reconstructed jets,  $\geq 1$  b-tagged jets
- 1504        • No reconstructed tau candidates
- 1505        •  $|M(l^+l^-) - 91.2 \text{ GeV}| > 10 \text{ GeV}$  for all opposite-charge, same-flavor lepton pairs
- 1506        The event yield after the 31 preselection has been applied, for MC and data at  $79.8 \text{ fb}^{-1}$ ,
- 1507        is shown in Table 19.1.

	Yields
t̄H high p <sub>T</sub>	18.40 ± 0.13
t̄H low p <sub>T</sub>	29.91 ± 0.16
t̄W	134.22 ± 1.25
t̄Z/γ	88.47 ± 0.73
t̄lllowmass	2.77 ± 0.16
rareTop	15.05 ± 0.32
VV	34.54 ± 0.54
tZ	2e-05 ± 4.47-06
QMisID t̄t	1.80 ± 0.59
QMisID Zjets	0.02 ± 0.02
t̄t internal conversion	4.34 ± 0.43
t̄t + γ internal conversion	5.83 ± 0.42
t̄t Conv.	4.71 ± 0.45
t̄t + γ Conv.	2.64 ± 0.27
t̄t HF e	27.44 ± 1.05
t̄t + γ HF e	0.27 ± 0.11
t̄t HF μ	89.21 ± 1.92
t̄t + γ HF μ	0.94 ± 0.16
Z + jets conv	0.09 ± 0.19
Z + jets HF e	0.25 ± 0.15
Z + jets HF μ	2.41 ± 0.95
Single top Conv	0.58 ± 0.61
Single top HF e	1.50 ± 0.43
Single top HF μ	4.62 ± 0.85
Three top	0.96 ± 0.02
Four top	5.58 ± 0.10
t̄WW	5.45 ± 0.21
WtZ	8.71 ± 0.42
VVV	0.81 ± 0.02
Total	492.14 ± 3.22
Data	535

Table 38: Yields of the analysis

1508

Comparisons of kinematic distributions for data and MC in this region are shown in Figure

1509

## 19.2.

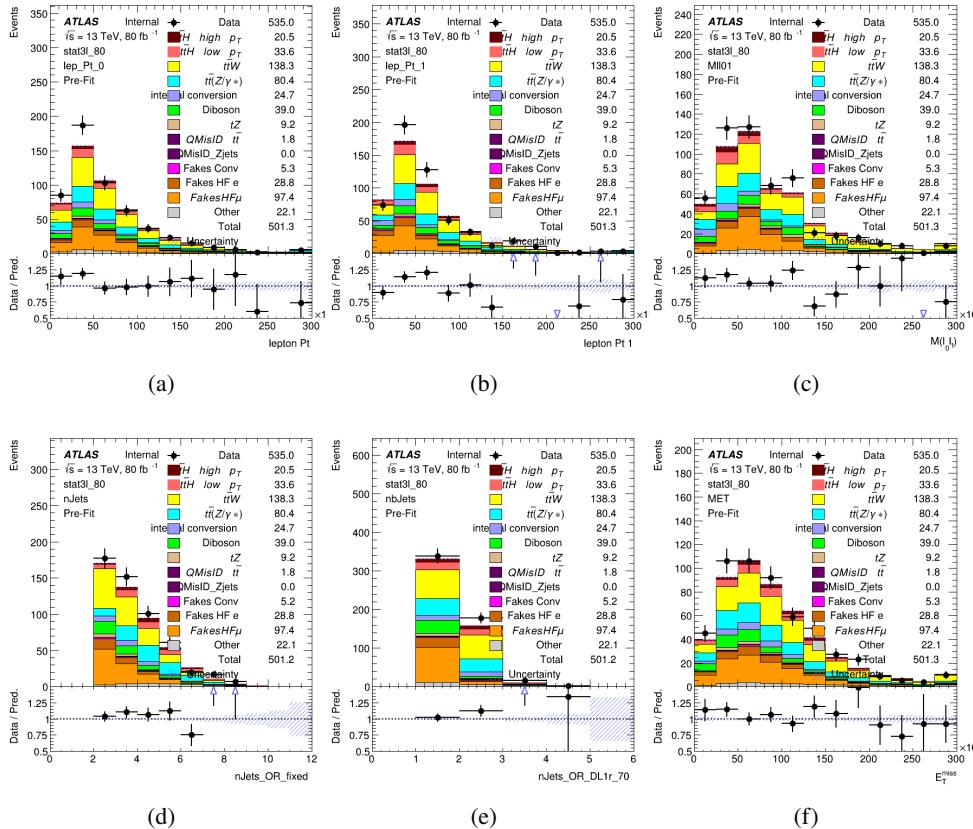


Figure 19.2: Data/MC comparisons of the 3l pre-selection region. (a) and (b) show the  $p_T$  of leptons 0 and 1, (c) shows the invariant mass of lepton 0 and 1, (d) shows the jet multiplicity, (e) the b-tagged jet multiplicity, and (f) the missing transverse energy.

1510

## 19.2 Event MVA

1511

Separate multi-variate analysis techniques (MVAs) are used in order to distinguish signal events from background for each analysis channel - 2lSS, 3l semi-leptonic (3lS), and 3l fully leptonic (3lF). Here events with three leptons are split into 3lS and 3lF based on the model described

1514 in 18.6. In particular, Boosted Decision Tree (BDT) algorithms are produced with XGBoost  
1515 [**xgboost**] are trained using the kinematics of signal and background events derived from Monte  
1516 Carlo simulations. Events are weighted in the BDT training by the weight of each Monte Carlo  
1517 event.

1518 Because the background composition differs for events with a high reconstructed Higgs  $p_T$   
1519 compared to events with low reconstructed Higgs  $p_T$ , separate MVAs are produced for high and  
1520 low  $p_T$  regions. This is found to provide better significance than attempting to build an inclusive  
1521 model, as demonstrated in appendix A.2. A cutoff of 150 GeV is used. This gives a total of 6  
1522 background rejection MVAs - explicitly, 2lSS high  $p_T$ , 2lSS low  $p_T$ , 3lS high  $p_T$ , 3lS low  $p_T$ ,  
1523 3lF high  $p_T$ , and 3lF low  $p_T$ .

1524 The following features are used in both the high and low  $p_T$  2lSS BDTs:

HT	$M(\text{lep}, E_T^{\text{miss}})$	$M(l_0 l_1)$
binHiggs $p_T$ 2ISS	$\Delta R(l_0)(l_1)$	diLepton type
higgsRecoScore	jet $\eta$ 0	jet $\eta$ 1
jet $\phi$ 0	jet $\phi$ 1	jet $p_T$ 0
jet $p_T$ 1	Lepton $\eta$ 0	Lepton $\eta$ 1
Lepton $\phi$ 0	Lepton $\phi$ 1	Lepton $p_T$ 0
Lepton $p_T$ 1	$E_T^{\text{miss}}$	$\min \Delta R(l_0)(\text{jet})$
$\min \Delta R(l_1)(\text{jet})$	$\min \Delta R(\text{Lepton})(\text{bjet})$	mjjMax frwdJet
nJets	nJets OR DL1r 60	nJets OR DL1r 70
nJets OR DL1r 85	topRecoScore	

Table 39: Input features used to distinguish signal and background events in the 2ISS channel.

1525

While for each of the 31 BDTs, the features listed below are used for training:

$M(\text{lep}, E_T^{\text{miss}})$	$M(l_0 l_1)$	$M(l_0 l_1 l_2)$
$M(l_0 l_2)$	$M(l_1 l_2)$	$\text{binHiggs } p_T \text{ 3lF}$
$\text{binHiggs } p_T \text{ 3lS}$	$\Delta R(l_0)(l_1)$	$\Delta R(l_0)(l_2)$
$\Delta R(l_1)(l_2)$	$\text{decayScore}$	$\text{higgsRecoScore3lF}$
$\text{higgsRecoScore3lS}$	$\text{jet } \eta \text{ 0}$	$\text{jet } \eta \text{ 1}$
$\text{jet } \phi \text{ 0}$	$\text{jet } \phi \text{ 1}$	$\text{jet } p_T \text{ 0}$
$\text{jet } p_T \text{ 1}$	$\text{Lepton } \eta \text{ 0}$	$\text{Lepton } \eta \text{ 1}$
$\text{Lepton } \eta \text{ 2}$	$\text{Lepton } \phi \text{ 0}$	$\text{Lepton } \phi \text{ 1}$
$\text{Lepton } \phi \text{ 2}$	$\text{Lepton } p_T \text{ 0}$	$\text{Lepton } p_T \text{ 1}$
$\text{Lepton } p_T \text{ 2}$	$E_T^{\text{miss}}$	$\min \Delta R(l_0)(\text{jet})$
$\min \Delta R(l_1)(\text{jet})$	$\min \Delta R(l_2)(\text{jet})$	$\min \Delta R(\text{Lepton})(\text{bjet})$
$mjj\text{Max frwdJet}$	$n\text{Jets}$	$n\text{Jets OR DL1r 60}$
$n\text{Jets OR DL1r 70}$	$n\text{Jets OR DL1r 85}$	$\text{topScore}$

Table 40: Input features used to distinguish signal and background events in the 3l channel.

1526 Modelling of each of these input features is verified in Appendix A.2 by comparing data  
 1527 and MC for  $79.8 \text{ fb}^{-1}$ . The BDTs are produced with a maximum tree depth of 6, using AUC as  
 1528 the target loss function. The BDT response distribution and ROC curve for each model is shown  
 1529 in Figures 19.3-19.5.

## 2lSS

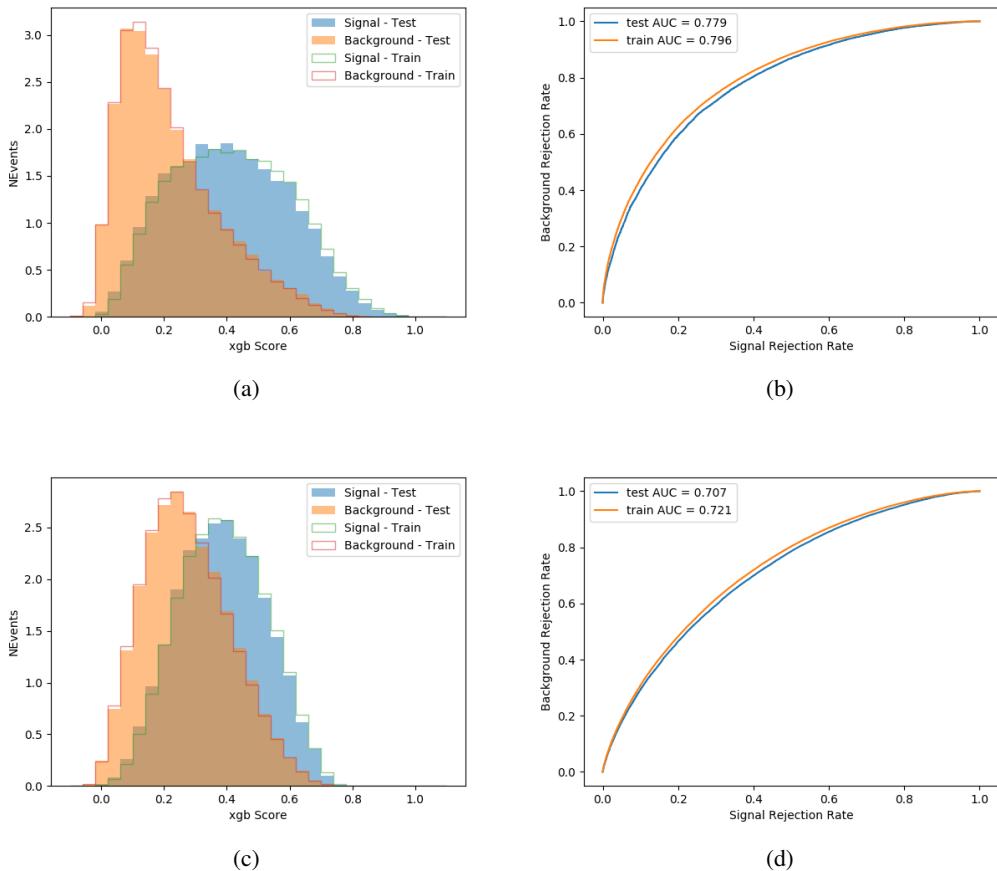


Figure 19.3: Output BDT scores of training and testing data for signal (blue) and background (orange) for 2lSS events with (a) high regressed Higgs  $p_T$  and (b) low regressed Higgs  $p_T$ . (b) and (d) show the ROC curve for the 2lSS high and low  $p_T$  models, respectively.

## 3l - Semileptonic

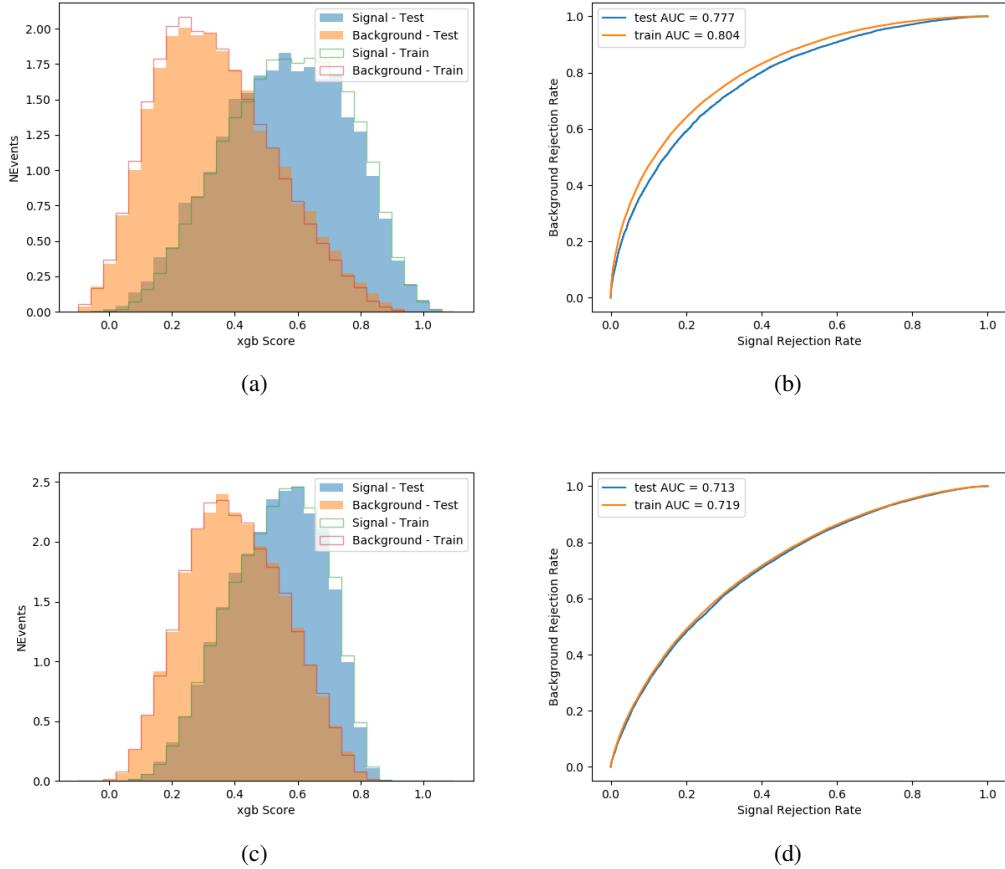


Figure 19.4: Output BDT scores of training and testing data for signal (blue) and background (orange) for 3lS events with (a) high regressed Higgs  $p_T$  and (b) low regressed Higgs  $p_T$ . (b) and (d) show the ROC curve for the 3lS high and low  $p_T$  models, respectively.

### 3l - Fully Leptonic

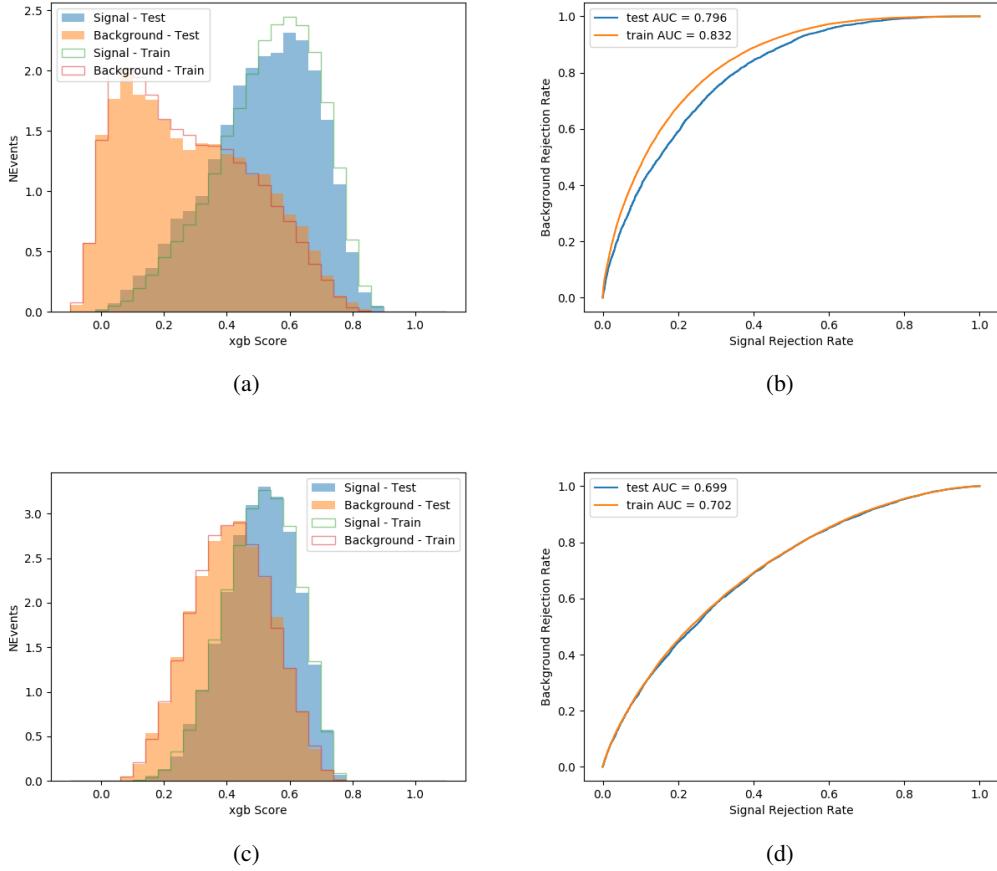


Figure 19.5: Output BDT scores of training and testing data for signal (blue) and background (orange) for 3lF events with (a) high regressed Higgs  $p_T$  and (b) low regressed Higgs  $p_T$ . (b) and (d) show the ROC curve for the 3lF high and low  $p_T$  models, respectively.

1530      Output distributions of each MVA, comparing MC predictions to data at  $79.8 \text{ fb}^{-1}$  are

1531      shown in figures 19.6-19.2.

### High $p_T$ Background Rejection BDTs

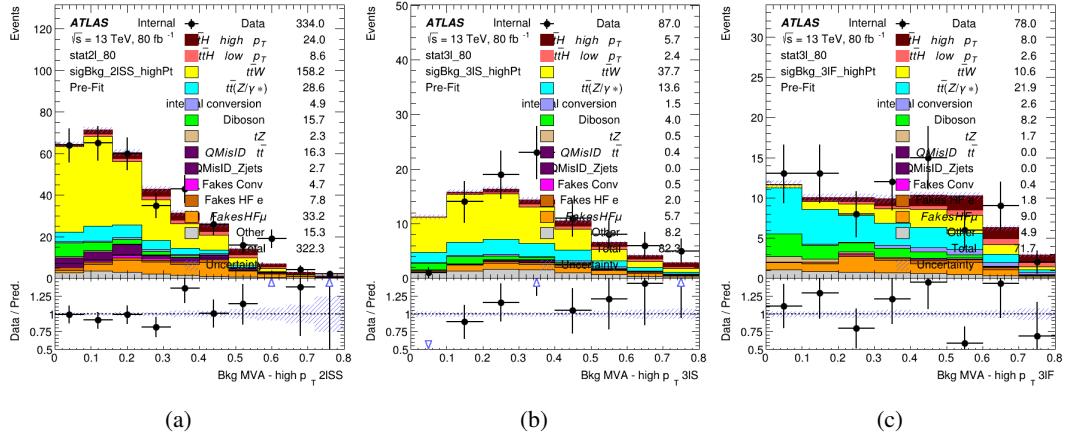


Figure 19.6: Output score of the high  $p_T$  BDTs in the (a) 2ISS, (b) 3IS, and (c) 3IF channels

### Low $p_T$ Background Rejection BDTs

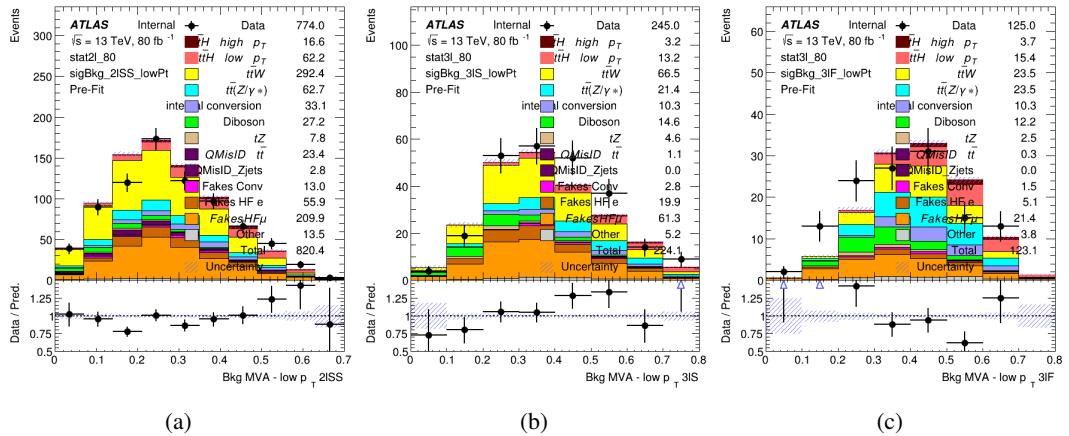


Figure 19.7: Output score of the low  $p_T$  BDTs in the (a) 2ISS, (b) 3IS, and (c) 3IF channels

1532 **19.3 Signal Region Definitions**

1533 Once pre-selection has been applied, channels are further refined based on the MVAs described  
1534 above. The output of the model described in Section 18.6 is used to separate the three channel  
1535 into two - Semi-leptonic and Fully-leptonic - based on the predicted decay mode of the Higgs  
1536 boson. This leaves three orthogonal signal regions - 2lSS, 3lS, and 3lF.

1537 For each event, depending on the number of leptons as well as whether the  $p_T$  of the Higgs  
1538 is predicted to be high ( $> 150$  GeV) or low ( $< 150$  GeV), a cut on the appropriate background  
1539 rejection MVA is applied. The particular cut values, listed in Table 41, are determined by  
1540 maximizing  $S/\sqrt{B}$  in each region.

Channel	BDT Score
2lSS high $p_T$	0.36
2lSS low $p_T$	0.34
3lS high $p_T$	0.51
3lS low $p_T$	0.43
3lF high $p_T$	0.33
3lF low $p_T$	0.41

Table 41: Cutoff values on background rejection MVA score applied to signal regions.

1541 The event preselection and MVA selection listed in Table 41 are used define the three  
1542 signal regions used in the fit. These signal region definitions are summarized in Table 42.

Region	Selection
2ISS	Two same charge tight leptons with $p_T > 20 \text{ GeV}$ $N_{\text{jets}} \geq 4, N_{\text{b-jets}} \geq 1$ b-tagged jets Zero $\tau_{\text{had}}$ $H_{p_T}^{\text{pred}} > 150 \text{ GeV}$ and BDT score $> 0.36$ <b>or</b> $H_{p_T}^{\text{pred}} < 150 \text{ GeV}$ and BDT score $> 0.34$
3IS	Three light leptons with total charge $\pm 1$ Two tight SS leptons, $p_T > 20 \text{ GeV}$ One loose OS lepton, $p_T > 10 \text{ GeV}$ $N_{\text{jets}} \geq 2, N_{\text{b-jets}} \geq 1$ b-tagged jets Zero $\tau_{\text{had}}$ $ M(l^+l^-) - 91.2 \text{ GeV}  > 10 \text{ GeV}$ for all OSSF lepton pairs Decay NN Score $< 0.23$ $H_{p_T}^{\text{pred}} > 150 \text{ GeV}$ and BDT score $> 0.51$ <b>or</b> $H_{p_T}^{\text{pred}} < 150 \text{ GeV}$ and BDT score $> 0.43$
3IF	Three light leptons with total charge $\pm 1$ Two tight SS leptons, $p_T > 20 \text{ GeV}$ One loose OS lepton, $p_T > 10 \text{ GeV}$ $N_{\text{jets}} \geq 2, N_{\text{b-jets}} \geq 1$ b-tagged jets Zero $\tau_{\text{had}}$ $ M(l^+l^-) - 91.2 \text{ GeV}  > 10 \text{ GeV}$ for all OSSF lepton pairs Decay NN Score $> 0.23$ $H_{p_T}^{\text{pred}} > 150 \text{ GeV}$ and BDT score $> 0.33$ <b>or</b> $H_{p_T}^{\text{pred}} < 150 \text{ GeV}$ and BDT score $> 0.41$

Table 42: Selection applied to define the three signal regions used in the fit.

## 20 Systematic Uncertainties

1543 The systematic uncertainties that are considered are summarized in Table 43. These are imple-  
 1544 mented in the fit either as a normalization factors or as a shape variation or both in the signal  
 1545 and background estimations. The numerical impact of each of these uncertainties is outlined in  
 1546 section 21.  
 1547

Table 43: Sources of systematic uncertainty considered in the analysis. Some of the systematic uncertainties are split into several components, as indicated by the number in the rightmost column.

Systematic uncertainty	Components
Luminosity	1
Pileup reweighting	1
<b>Physics Objects</b>	
Electron	6
Muon	15
Jet energy scale and resolution	28
Jet vertex fraction	1
Jet flavor tagging	131
$E_T^{\text{miss}}$	3
Total (Experimental)	186
<b>Background Modeling</b>	
Cross section	24
Renormalization and factorization scales	10
Parton shower and hadronization model	2
Shower tune	4
Total (Signal and background modeling)	40
<b>Background Modeling</b>	
Cross section	24
Renormalization and factorization scales	10
Parton shower and hadronization model	2
Shower tune	4
Total (Signal and background modeling)	40
Total (Overall)	226

1548        The uncertainty in the combined 2015+2016 integrated luminosity is derived from a  
 1549        calibration of the luminosity scale using x-y beam-separation scans performed in August 2015  
 1550        and May 2016 [28].

1551        The experimental uncertainties are related to the reconstruction and identification of light  
 1552        leptons and b-tagging of jets, and to the reconstruction of  $E_T^{\text{miss}}$ . The TOTAL electron ID  
 1553        correlation model is used, corresponding to 1 electron ID systematic. Electron ID is found to be

1554 a subleading systematic that is unconstrained by the fit, making it an appropriate choice for this  
1555 analysis.

1556 The sources which contribute to the uncertainty in the jet energy scale [30] are decom-  
1557 posed into uncorrelated components and treated as independent sources in the analysis. The  
1558 CategoryReduction model is used to account for JES uncertainties, which decomposes the uncer-  
1559 tainties into 30 nuisance parameters included in the fit. The SimpleJER model is used to account  
1560 for jet energy resolution (JER) uncertainties, and 8 JER uncertainty components unclued as  
1561 NPs in the fit.

1562 The uncertainties in the b-tagging efficiencies measured in dedicated calibration analyses  
1563 [31] are also decomposed into uncorrelated components. The large number of components for  
1564 b-tagging is due to the calibration of the distribution of the BDT discriminant.

1565 The systematic uncertainties associated with the signal and background processes are  
1566 accounted for by varying the cross-section of each process within its uncertainty.

1567 The full list of systematic uncertainties considered in the analysis is summarized in Tables  
1568 44, 45 and 46.

1569

<b>Experimental Systematics on Leptons and <math>E_T^{\text{miss}}</math></b>			
Type	Description	Systematics Name	Application
<b>Trigger</b>			
Scale Factors	Trigger Efficiency	lepSFTrigTight_MU(EL)_SF_Trigger_STAT(SYST)	Event Weight
<b>Muons</b>			
Efficiencies	Reconstruction and Identification	lepSFObjTight_MU_SF_ID_STAT(SYST)	Event Weight
	Isolation	lepSFObjTight_MU_SF_Isol_STAT(SYST)	Event Weight
	Track To Vertex Association	lepSFObjTight_MU_SF_TTVA_STAT(SYST )	Event Weight
$p_T$ Scale	$p_T$ Scale	MUONS_SCALE	$p_T$ Correction
Resolution	Inner Detector Energy Resolution	MUONS_ID	$p_T$ Correction
	Muon Spectrometer Energy Resolution	MUONS_MS	$p_T$ Correction
<b>Electrons</b>			
Efficiencies	Reconstruction	lepSFObjTight_EL_SF_ID	Event Weight
	Identification	lepSFObjTight_EL_SF_Reco	Event Weight
	Isolation	lepSFObjTight_EL_SF_Isol	Event Weight
Scale Factor	Energy Scale	EG_SCALE_ALL	Energy Correction
Resolution	Energy Resolution	EG_RESOLUTION_ALL	Energy Correction
<b><math>E_T^{\text{miss}}</math></b>			
Soft Tracks Terms	Resolution	MET_SoftTrk_ResoPerp	$p_T$ Correction
	Resolution	MET_SoftTrk_ResoPara	$p_T$ Correction
	Scale	MET_SoftTrk_ScaleUp	$p_T$ Correction
	Scale	MET_SoftTrk_ScaleDown	$p_T$ Correction

Table 44: Summary of experimental systematics considered for leptons and  $E_T^{\text{miss}}$ . Includes type, description, name of systematic as used in the fit, and mode of application. The mode of application indicates the systematic evaluation, e.g. as an overall event re-weighting (Event Weight) or rescaling ( $p_T$  Correction).

Experimental Systematics on Jets			
Type	Origin	Systematics Name	Application
Jet Vertex Tagger		JVT	Event Weight
Energy Scale	Calibration Method	JET_21NP_ JET_EffectiveNP_1-19	$p_T$ Correction $p_T$ Correction
	$\eta$ inter-calibration	JET_EtaIntercalibration_Modelling JET_EtaIntercalibration_NonClosure JET_EtaIntercalibration_TotalStat	$p_T$ Correction $p_T$ Correction $p_T$ Correction
	High $p_T$ jets	JET_SingleParticle_HighPt	$p_T$ Correction
	Pile-Up	JET_Pileup_OffsetNPV JET_Pileup_OffsetMu JET_Pileup_PtTerm JET_Pileup_RhoTopology	$p_T$ Correction $p_T$ Correction $p_T$ Correction $p_T$ Correction
	Non Closure	JET_PunchThrough_MC15	$p_T$ Correction
	Flavour	JET_Flavor_Response JET_BJES_Response JET_Flavor_Composition	$p_T$ Correction $p_T$ Correction $p_T$ Correction
Resolution		JET_JER_SINGLE_NP	Event Weight

Table 45: Jet systematics take into account effects of jets calibration method,  $\eta$  inter-calibration, high  $p_T$  jets, pile-up, and flavor response. They are all diagonalised into effective parameters.

Experimental Systematics on b-tagging		
Type	Origin	Systematic Name
Scale Factors	DL1r b-tagger efficiency on b originated jets in bins of $\eta$	DL1r_Continuous_EventWeight_B0-29
	DL1r b-tagger efficiency on c originated jets in bins of $\eta$	DL1r_Continuous_EventWeight_C0-19
	DL1r b-tagger efficiency on light flavoured originated jets in bins of $\eta$ and $p_T$	DL1r_Continuous_EventWeight_Light0-79
	DL1r b-tagger extrapolation efficiency	DL1r_Continuous_EventWeight_extrapolation DL1r_Continuous_EventWeight_extrapolation_from_charm

Table 46: Summary of experimental systematics to be included for b-tagging of jets in the analysis, using the continuous DL1r tagging algorithm. All of the b-tagging related systematics are applied as event weights. From left: type, description, and the name of systematic used in the fit.

1570 As mentioned in Section 16.2, a normalization corrections and uncertainties on the estim-  
 1571 ates of non-prompt leptons backgrounds are derived using data driven techniques, decribed in  
 1572 detail in [6]. These are derived from a likelihood fit over various non-prompt enriched control  
 1573 regions, targeting several sources of non-prompt light leptons separately: external conversion  
 1574 electrons, internal conversion electrons, electrons from heavy flavor decays, and muons from  
 1575 heavy flavor decays.

1576 The normalization factor and uncertainty applied to each source of non-prompt leptons is  
 1577 summarized in Table 20

Processs	
$NF_e^{\text{ExtCO}}$	$1.70 \pm 0.51$
$NF_e^{\text{IntCO}}$	$0.75 \pm 0.26$
$NF_e^{\text{HF}}$	$1.09 \pm 0.32$
$NF_{\mu}^{\text{HF}}$	$1.28 \pm 0.17$

1578 In addition to those derived from the control regions, several additional uncertainties are  
 1579 assigned to the non-prompt lepton background. An additional 25% uncertainty on material  
 1580 conversions is assigned, based on the comparison between data and MC in a region where a  
 1581 loose electron fails the photon conversion veto. A shape uncertainty of 15% (6%) is assigned to  
 1582 the HF non-prompt electron (muon) background based on a comparison between data and MC  
 1583 where the second leading electron (muon) is only required to be loose. As the contribution from  
 1584 light non-prompt leptons is small, about 10% percent of the contribution from HF non-prompt  
 1585 leptons, it is derived from the agreement between data and simulation in a LF enriched region at  
 1586 low values of the non-prompt lepton BDT. The resulting uncertainty is 100%, and is taken to be  
 1587 uncorrelated between internal and material conversions.

1588 Theoretical uncertainties applied to MC predictions, including cross section, PDF, and  
 1589 scale uncertainties are taken from theory calculations for the predominate prompt backgrounds.  
 1590 Following the nominal  $t\bar{t}H - ML$  analysis, a 50% uncertainty is applied to Diboson to account  
 1591 for the large uncertainty in estimating  $VV +$  heavy flavor. The other “rare” background processes  
 1592 - including  $tZ$ , rare top processes,  $ttWW$ ,  $WtZ$ ,  $VVV$ ,  $tHjb$  and  $WtH$  - are assigned an overall  
 1593 50% normalization uncertainty as well. The theory uncertainties applied to the MC estimates

1594 are summarized in Table 47.

Process	X-section [%]
t̄H (aMC@NLO+Pythia8)	QCD Scale: $^{+5.8}_{-9.2}$ PDF( $+\alpha_S$ ): $\pm 3.6$
t̄Z (aMC@NLO+Pythia8)	QCD Scale: $^{+9.6}_{-11.3}$ PDF( $+\alpha_S$ ): $\pm 4$
t̄W (aMC@NLO+Pythia8)	QCD Scale: $^{+12.9}_{-11.5}$ PDF( $+\alpha_S$ ): $\pm 3.4$
tHjb (aMC@NLO+Pythia8)	QCD Scale: $^{+6.5}_{-14.9}$ PDF( $+\alpha_S$ ): $\pm 3.7$
WtH (aMC@NLO+Pythia8)	QCD Scale: $^{+5.0}_{-6.7}$ PDF( $+\alpha_S$ ): $\pm 6.3$
VV (Sherpa 2.2.1)	$\pm 50$
Others	$\pm 50$

Table 47: Summary of theoretical uncertainties for MC predictions in the analysis.

1595 Additional uncertainties to account for t̄W mismodelling are also applied. These include  
 1596 a “Generator” uncertainty, based on a comparison between the nominal Sherpa 2.2.5 sample,  
 1597 and the formerly used aMC@NLO sample, and an “Extra radiation” uncertainty, which includes  
 1598 renormalisation and factorisation scale variations of the Sherpa 2.2.5 sample.

## 1599 21 Results

1600 A maximum likelihood fit is performed simultaneously over the reconstructed Higgs p<sub>T</sub> spectrum  
 1601 in the three signal regions, 2lSS, 3lS, and 3lF. The signal is split into high and low p<sub>T</sub> samples,  
 1602 based on whether the truth p<sub>T</sub> of the Higgs is above or below 150 GeV. The parameters  $\mu_{t\bar{t}H\text{high}p_T}$   
 1603 and  $\mu_{t\bar{t}H\text{low}p_T}$ , where  $\mu = \sigma_{\text{observed}}/\sigma_{\text{SM}}$ , are extracted from the fit, signifying the difference

1604 between the observed value and the theory prediction. Unblinded results are shown for the 79.8  
1605  $\text{fb}^{-1}$  data set, as well as MC only projections of results using the full Run-2, 139  $\text{fb}^{-1}$  dataset.

1606 As described in Section 20, there are 229 systematic uncertainties that are considered  
1607 as NPs in the fit. These NP s are constrained by Gaussian or log-normal probability density  
1608 functions. The latter are used for normalisation factors to ensure that they are always positive.  
1609 The expected number of signal and background events are functions of the likelihood. The prior  
1610 for each NP is added as a penalty term, decreasing the likelihood as it is shifted away from its  
1611 nominal value.

## 1612 21.1 Results - 79.8 $\text{fb}^{-1}$

1613 As the data collected from 2015-2017 has been unblinded for  $t\bar{t}H$  – ML channels, represent-  
1614 ing 79.8  $\text{fb}^{-1}$ , those events are unblinded. The predicted Higgs  $p_T$  spectrum is fit to data  
1615 simultaneously in each of the three signal regions shown in Figure 21.1.

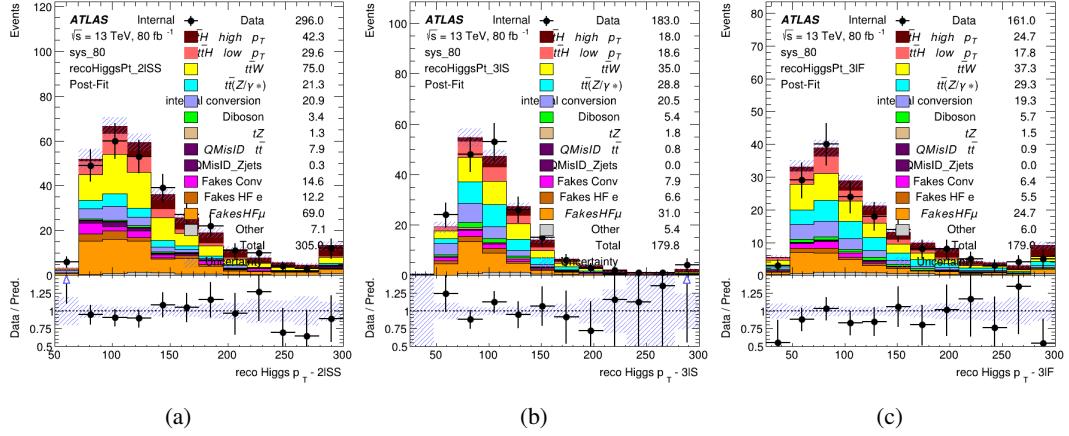


Figure 21.1: Post-fit distributions of the reconstructed Higgs  $p_T$  in the three signal regions, (a) 2ISS, (b) 3IS, and (c) 3IF, for  $79.8 \text{ fb}^{-1}$  of MC

1616

A post-fit summary of the fitted regions is shown in Figure 21.2.

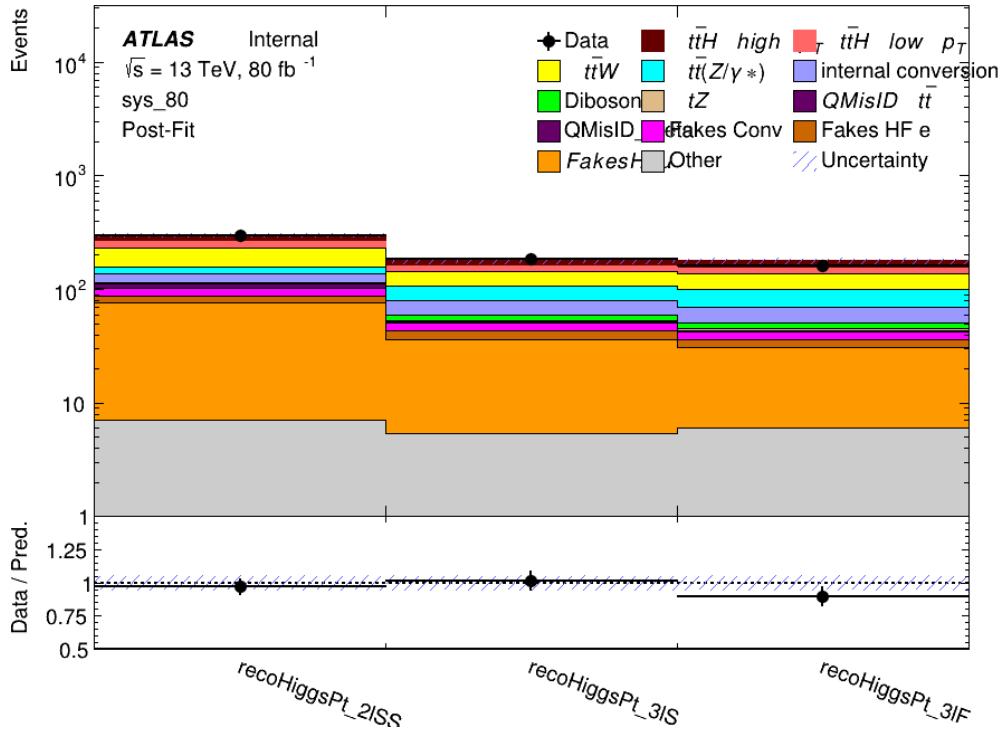


Figure 21.2: Post-fit summary of the yields in each signal region.

1617 The the measured  $\mu$  values for high and low  $p_T$  Higgs production obtained from the fit  
 1618 are shown in 48. A significance of  $1.7\sigma$  is observed for  $t\bar{t}H$  high  $p_T$ , and  $2.1\sigma$  is measured for  
 1619  $t\bar{t}H$  low  $p_T$ .

$$\mu_{t\bar{t}H \text{ high } p_T} = 2.1^{+0.62}_{-0.59}(\text{stat})^{+0.40}_{-0.43}(\text{sys})$$

$$\mu_{t\bar{t}H \text{ low } p_T} = 0.83^{+0.39}_{-0.40}(\text{stat})^{+0.51}_{-0.53}(\text{sys})$$

Table 48: Best fit  $\mu$  values for  $t\bar{t}H$  high  $p_T$  and  $t\bar{t}H$  low  $p_T$ , where  $\mu = \sigma_{\text{obs}}/\sigma_{\text{pred}}$

1620 The most prominent sources of systematic uncertainty, as measured by their impact on  
 1621  $\mu_{t\bar{t}H \text{ high } p_T}$ , are summarized in Table 49.

Uncertainty Source	$\Delta\mu$	
Jet Energy Scale	0.25	0.23
$t\bar{t}H$ cross-section (QCD scale)	-0.11	0.21
Luminosity	-0.13	0.14
Flavor Tagging	0.14	0.13
$t\bar{t}W$ cross-section (QCD scale)	-0.12	0.11
Higgs Branching Ratio	-0.1	0.11
$t\bar{t}H$ cross-section (PDF)	-0.07	0.08
Electron ID	-0.06	0.06
Non-prompt Muon Normalization	-0.05	0.06
$t\bar{t}Z$ cross-section (QCD scale)	-0.05	0.05
Diboson cross-section	-0.05	0.05
Fake muon modelling	-0.04	0.04
Total	0.40	0.43

Table 49: Summary of the most significant sources of systematic uncertainty on the measurement of  $t\bar{t}H$  high  $p_T$ .

1622 The most significant sources of uncertainty on the measurement of  $t\bar{t}H$  - low  $p_T$  are shown  
 1623 in Table 50.

Uncertainty Source	$\Delta\mu$	
Internal Conversions	-0.26	0.26
Luminosity	-0.16	0.17
Non-prompt Muon Normalization	-0.16	0.16
t̄W cross-section (QCD scale)	-0.17	0.15
Jet Energy Scal	0.15	0.15
Non-prompt Electron Modelling	-0.13	0.14
Flavor Tagging	0.13	0.13
Non-prompt Muon Modelling	-0.12	0.13
Non-prompt Electron Normalization	-0.11	0.11
t̄Z cross-section (QCD scale)	-0.08	0.09
Diboson Cross-section	-0.07	0.07
Total	0.51	0.53

Table 50: Summary of the most significant sources of systematic uncertainty on the measurement of t̄H low p<sub>T</sub>.

<sup>1624</sup> The ranking and impact of those nuisance parameters with the largest contribution to the  
<sup>1625</sup> overall uncertainty is shown in Figure 21.3.

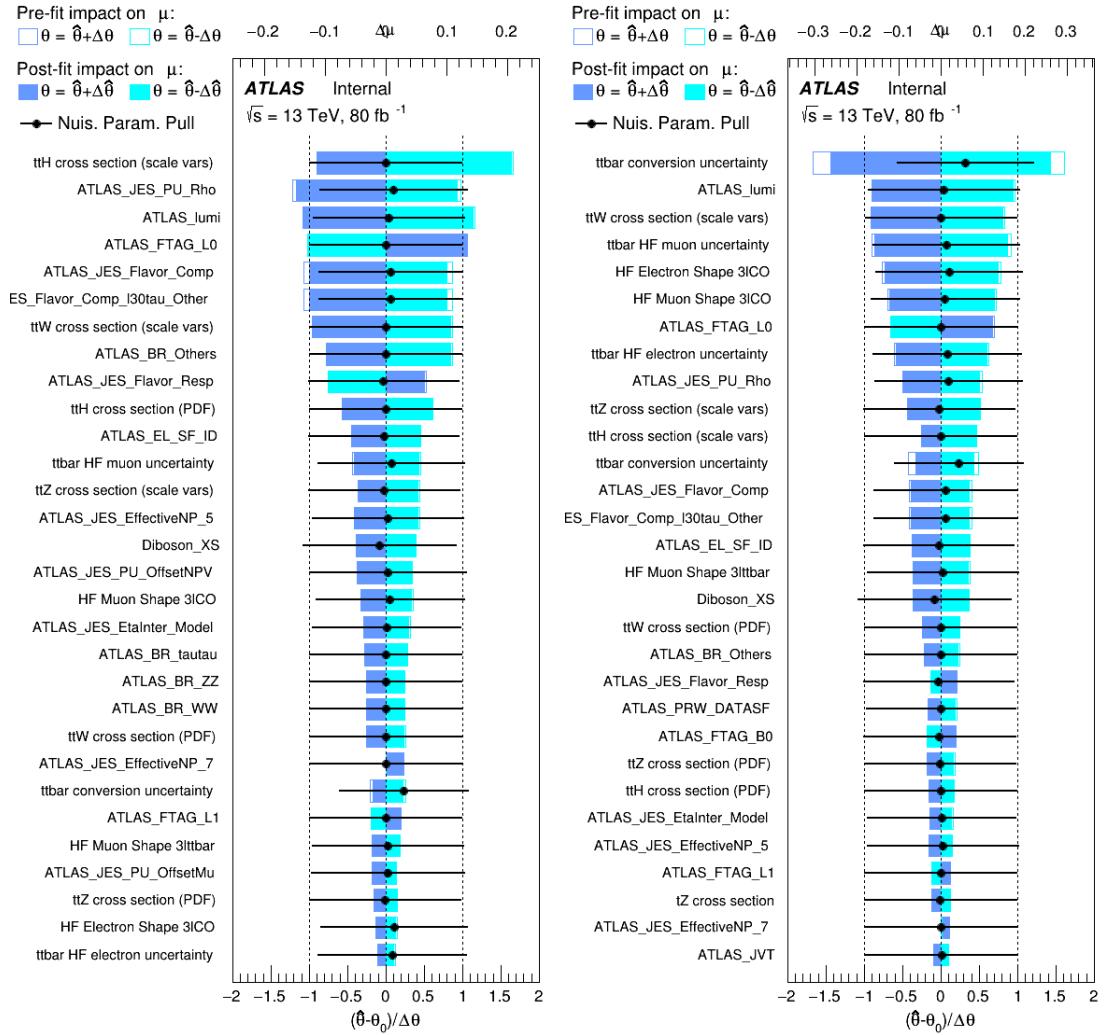


Figure 21.3: Impact of systematic uncertainties on the measurement of high  $p_T$  (left) and low  $p_T$  (right)  $t\bar{t}H$  events

1626

The background composition of each of the fit regions is shown in Figure 21.4.

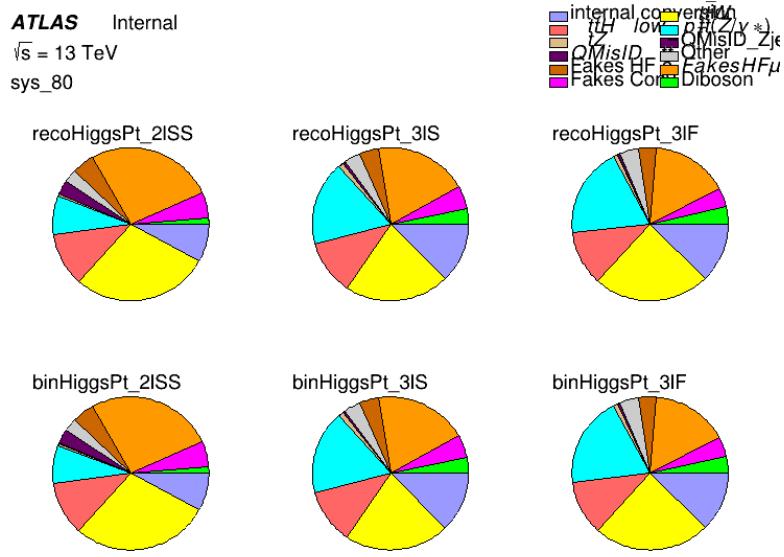


Figure 21.4: Background composition of the fit regions.

## 1627 21.2 Projected Results - $139 \text{ fb}^{-1}$

1628 As data collected in 2018 has not yet been unblinded for  $t\bar{t}H$  – ML at the time of this note, data  
 1629 from that year remains blinded. Instead, an Asimov fit is performed - with the MC prediction  
 1630 being used both as the SM prediction as well as the data in the fit - in order to give expected  
 1631 results.

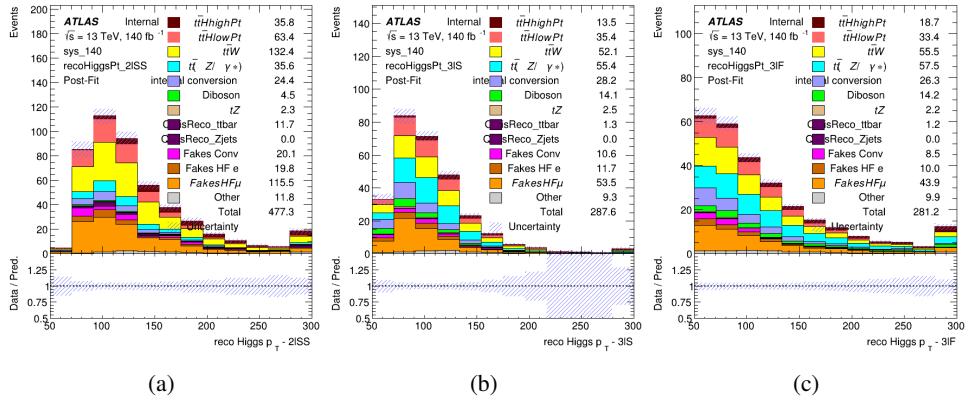


Figure 21.5: Blinded post-fit distributions of the reconstructed Higgs  $p_T$  in the three signal regions, (a) 2lSS, (b) 3lS, and (c) 3lF, for  $139 \text{ fb}^{-1}$  of data

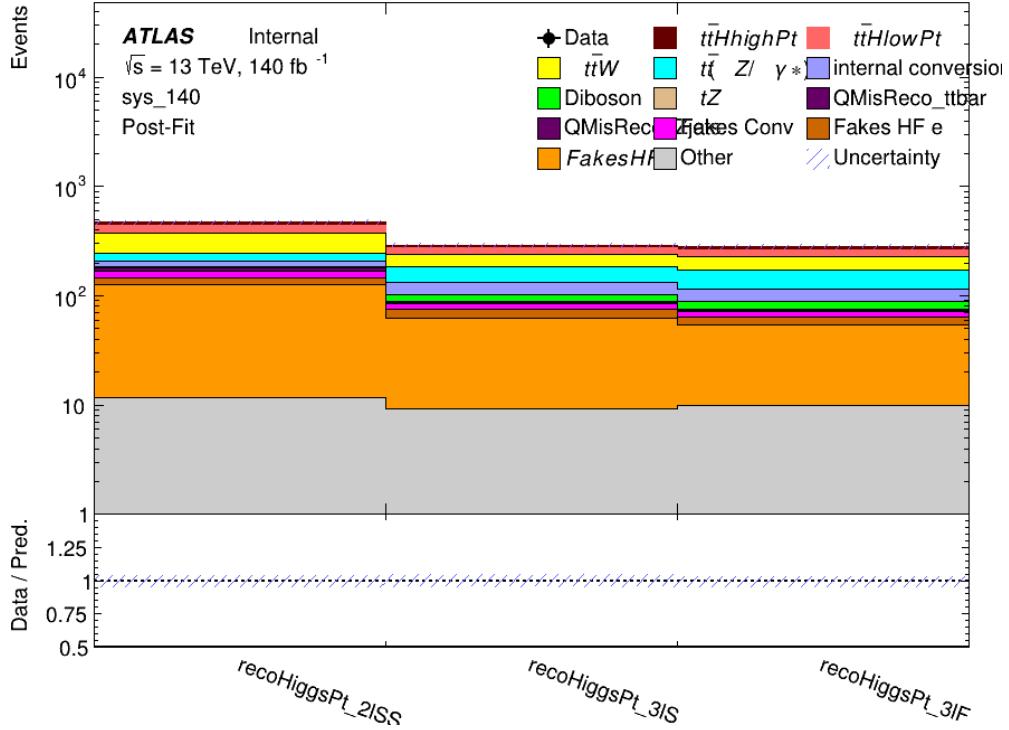


Figure 21.6: Post-fit summary of fit.

<sup>1633</sup> shown in 51. A significance of  $2.0\sigma$  is expected for  $t\bar{t}H$  high  $p_T$ , and a projected significance

<sup>1634</sup>  $2.3\sigma$  is extracted for  $t\bar{t}H$  low  $p_T$ .

$$\mu_{t\bar{t}H \text{ high } p_T} = 1.00^{+0.45}_{-0.43}(\text{stat})^{+0.30}_{-0.31}(\text{sys})$$

$$\mu_{t\bar{t}H \text{ low } p_T} = 1.00^{+0.29}_{-0.30}(\text{stat})^{+0.48}_{-0.50}(\text{sys})$$

Table 51: Best fit  $\mu$  values for  $t\bar{t}H$  high  $p_T$  and  $t\bar{t}H$  low  $p_T$ , where  $\mu = \sigma_{\text{obs}}/\sigma_{\text{pred}}$

<sup>1635</sup> The most prominent sources of systematic uncertainty, as measured by their impact on

<sup>1636</sup>  $\mu_{t\bar{t}H \text{ high } p_T}$ , are summarized in Table 52.

Uncertainty Source	$\Delta\mu$	
Jet Energy Scale	0.19	0.17
$t\bar{t}W$ Cross-section (QCD Scale)	-0.12	0.11
Luminosity	-0.1	0.11
Flavor Tagging	0.1	0.1
$t\bar{t}H$ Cross-section (QCD Scale)	-0.05	0.1
$t\bar{t}Z$ Cross-section (QCD Scale)	-0.05	0.06
Non-prompt Muon Normalization	-0.05	0.05
Higgs Branching Ratio	-0.05	0.05
Diboson Cross-section	-0.04	0.05
Non-prompt Muon Modelling	-0.04	0.04
$t\bar{t}H$ Cross-section (PDF)	-0.03	0.04
Electron ID	-0.04	0.04
$t\bar{t}W$ Cross-section (PDF)	-0.03	0.03
Total	0.30	0.31

Table 52: Summary of the most significant sources of systematic uncertainty on the measurement of  $t\bar{t}H$  high  $p_T$ .

<sup>1637</sup> The most significant sources of systematic uncertainty on  $t\bar{t}H$  low  $p_T$  are summarized in

<sup>1638</sup> Table 53.

Uncertainty Source	$\Delta\mu$	
Internal Conversions	-0.18	0.2
Jet Energy Scale	0.19	0.16
Non-prompt Muon Normalization	-0.16	0.17
Luminosity	-0.15	0.17
t̄tW Cross-section (QCD Scale)	-0.17	0.15
Non-prompt Electron Modelling	-0.13	0.14
Non-prompt Muon Modelling	-0.13	0.13
Flavor Tagging	0.13	0.12
Non-prompt Electron Normalization	-0.1	0.11
t̄tZ Cross-section (QCD Scale)	-0.07	0.09
t̄tH Cross-section (QCD Scale)	-0.05	0.1
Total	0.48	0.50

Table 53: Summary of the most significant sources of systematic uncertainty on the measurement of t̄tH low p<sub>T</sub>.

<sup>1639</sup> The ranking and impact of those nuisance parameters with the largest contribution to the  
<sup>1640</sup> overall uncertainty is shown in Figure 21.7.

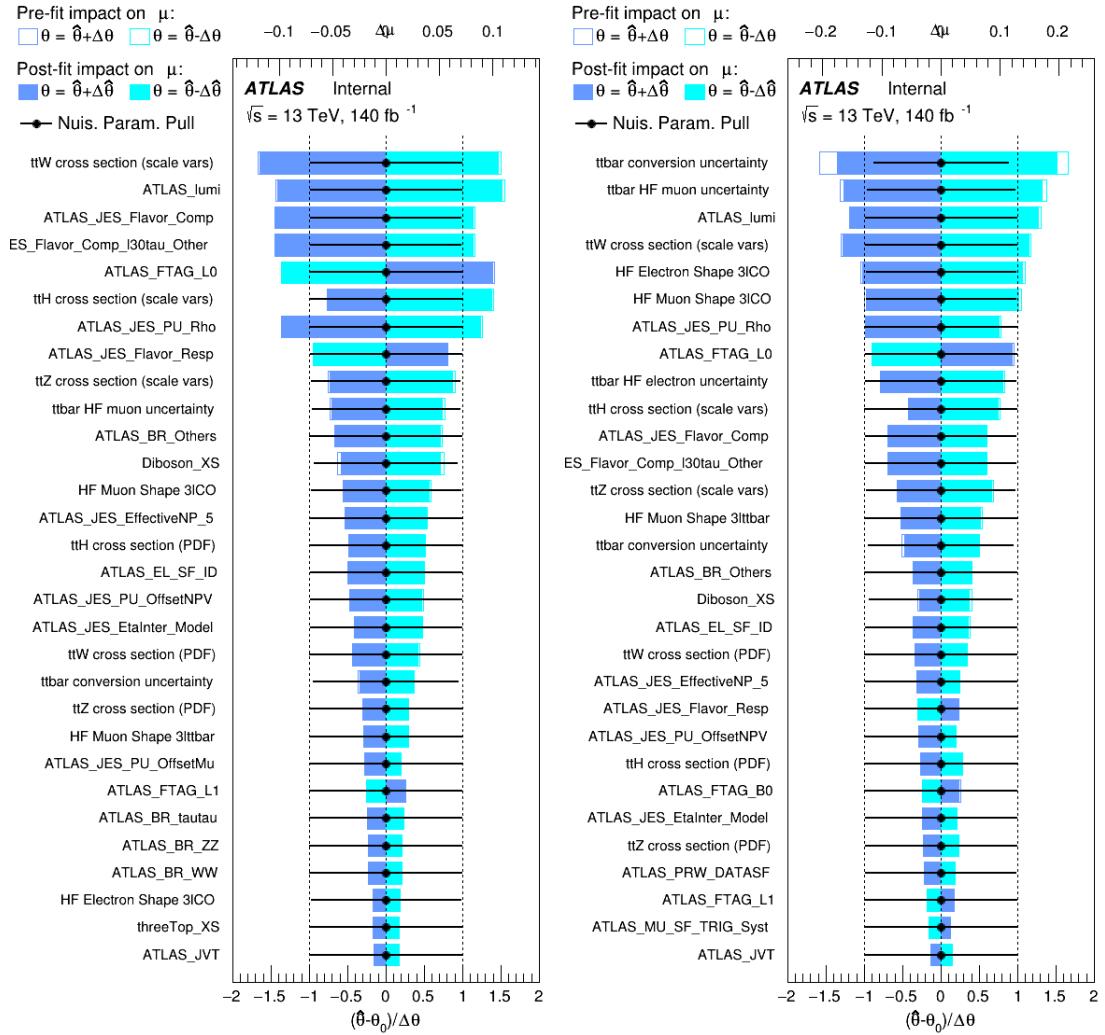


Figure 21.7: Impact of systematic uncertainties on the measurement of high  $p_T$  (left) and low  $p_T$  (right)  $t\bar{t}H$  events

1641

The background composition of each of the fit regions is shown in Figure 21.8.

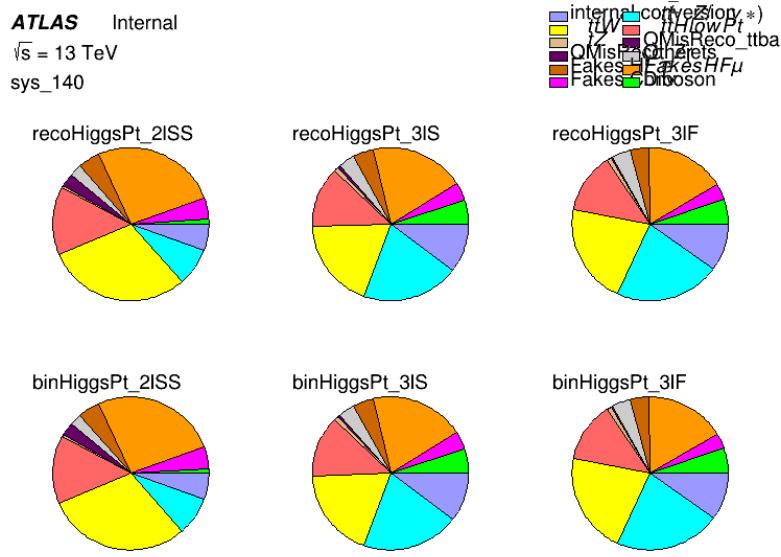


Figure 21.8: Background composition of the fit regions.

## Part VI

### Conclusion

As search for the effects of dimension-six operators on  $t\bar{t}H$  production is performed. An effective field theory approach is used to parameterize the effects of high energy physics on the Higgs momentum spectrum. The momentum spectrum is reconstructed using various MVA techniques, and the limits on dimension-six operators are limited to X.

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## 1748 List of contributions

1749

1750 **Appendices**

1751 **.1 Non-prompt lepton MVA**

1752 A lepton MVA has been developed to better reject non-prompt leptons than standard cut  
1753 based selections based upon impact parameter, isolation and PID. The name of this MVA is  
1754 **PromptLeptonIso**. The full set of studies and detailed explanation can be found in [21].

1755 The decays of  $W$  and  $Z$  bosons are commonly selected by the identification of one or two  
1756 electrons or muons. The negligible lifetimes of these bosons mean that the leptons produced in the  
1757 decay originate from the interaction vertex and are thus labelled “prompt”. Analyses using these  
1758 light leptons impose strict reconstruction quality, isolation and impact parameter requirements  
1759 to remove “fake” leptons. A significant source of the fake light leptons are non-prompt leptons  
1760 produced in decays of hadrons that contain bottom (b) or charm (c) quarks. Such hadrons  
1761 typically have microscopically significant lifetimes that can be detected experimentally.

1762 These non-prompt leptons can also pass the tight selection criteria. In analyses that  
1763 involve top (t) quarks, which decay almost exclusively into a  $W$  boson and a b quark, non-  
1764 prompt leptons from the semileptonic decay of bottom and charm hadrons can be a significant  
1765 source of background events. This is particularly the case in the selection of same-sign dilepton  
1766 and multilepton final states.

1767 The main idea is to identify non-prompt light leptons using lifetime information associated  
1768 with a track jet that matches the selected light lepton. This lifetime information is computed  
1769 using tracks contained within the jet. Typically, lepton lifetime is determined using the impact  
1770 parameter of the track reconstructed by the inner tracking detector which is matched to the recon-  
1771 structed lepton. Using additional reconstructed charged particle tracks increases the precision of

1772 identifying the displaced decay vertex of bottom or charm hadrons that produced a non-prompt  
 1773 light lepton. The MVA also includes information related to the isolation of the lepton to reject  
 1774 non-prompt leptons.

1775 **PromptLeptonIso** is a gradient boosted BDT. The training of the BDT is performed on  
 1776 leptons selected from the PowHEG+PYTHIA6 non-allhad  $t\bar{t}$  MC sample. Eight variables are used  
 1777 to train the BDT in order to discriminate between prompt and non-prompt leptons. The track  
 1778 jets that are matched to the non-prompt leptons correspond to jets initiated by b or c quarks, and  
 1779 may contain a displaced vertex. Consequently, three of the selected variables are used to identify  
 1780 b-tag jets by standard ATLAS flavour tagging algorithms. Two variables use the relationship  
 1781 between the track jet and lepton: the ratio of the lepton  $p_T$  with respect to the track jet  $p_T$  and  
 1782  $\Delta R$  between the lepton and the track jet axis. Finally three additional variables test whether the  
 1783 reconstructed lepton is isolated: the number of tracks collected by the track jet and the lepton  
 1784 track and calorimeter isolation variables. Table 54 describes the variables used to train the BDT  
 1785 algorithm. The choice of input variables has been extensively discussed with Egamma, Muon,  
 1786 Tracking, and Flavour Tagging CP groups.

Variable	Description
$N_{\text{track}}$ in track jet	Number of tracks collected by the track jet
$\text{IP2 log}(P_b/P_{\text{light}})$	Log-likelihood ratio between the b and light jet hypotheses with the IP2D algorithm
$\text{IP3 log}(P_b/P_{\text{light}})$	Log-likelihood ratio between the b and light jet hypotheses with the IP3D algorithm
$N_{\text{TrkAtVtx}} \text{ SV + JF}$	Number of tracks used in the secondary vertex found by the SV1 algorithm in addition to the number of tracks from secondary vertices found by the JetFitter algorithm with at least two tracks
$p_T^{\text{lepton}} / p_T^{\text{track jet}}$	The ratio of the lepton $p_T$ and the track jet $p_T$
$\Delta R(\text{lepton}, \text{track jet})$	$\Delta R$ between the lepton and the track jet axis
$p_T^{\text{VarCone30}} / p_T$	Lepton track isolation, with track collecting radius of $\Delta R < 0.3$
$E_T^{\text{TopoCone30}} / p_T$	Lepton calorimeter isolation, with topological cluster collecting radius of $\Delta R < 0.3$

Table 54: A table of the variables used in the training of **PromptLeptonIso**.

1787 The output distribution of the BDT is shown in Figure .1.

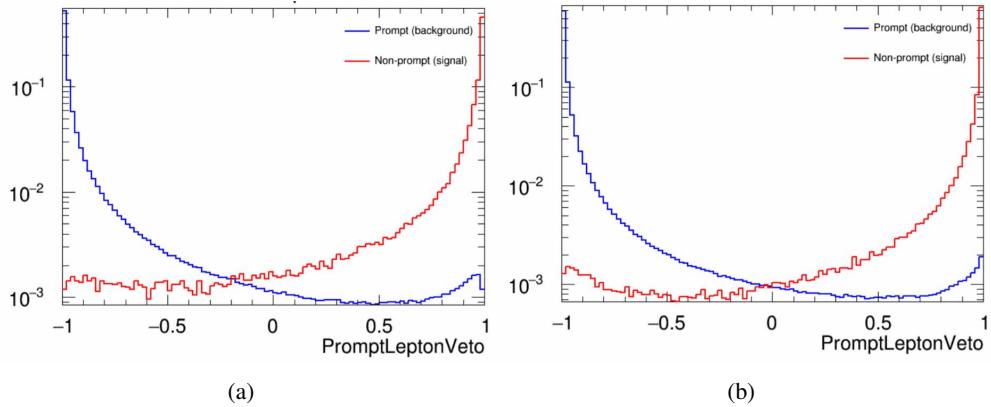


Figure .9: Distribution of the PLV BDT discriminant for (a) electrons and (b) muons

1788 The ROC curve for the BDT response, compared to the standard `FixedCutTight` WP, is  
1789 shown in figure .1, which shows a clear improvement when using this alternate training.

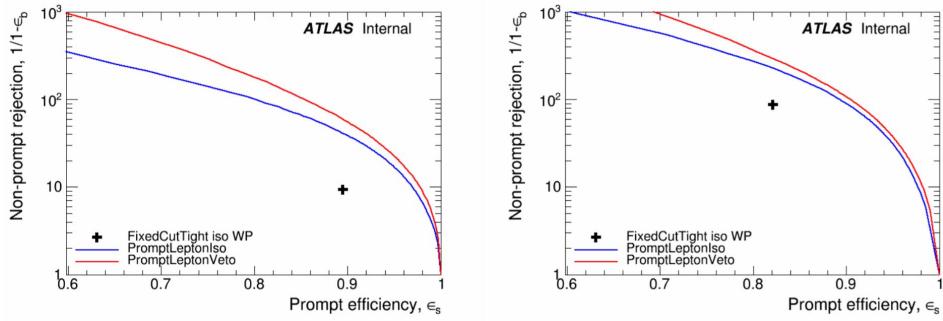


Figure .10: ROC curves for the PLV as well as the performance of the standard FixedCutTight WP for (left) electrons and (right) muons

A cutoff value of -0.7 for electrons and -0.5 for muons are chosen as the WPs for this  
 MVA, based on an optimisation of  $S/\sqrt{B}$  performed in the preselection regions of the  $t\bar{t}H - ML$   
 analysis, which have a signature similar to that of this analysis.

1793        The efficiency of the tight `PromptLeptonIso` working point is measured using the tag  
1794        and probe method with  $Z \rightarrow \ell^+ \ell^-$  events. Such calibration are performed by analysers from  
1795        this analysis in communication with the Egamma and Muon combined performance groups. The  
1796        scale factor are approximately 0.92 for  $10 < p_T < 15$  GeV, and averaging at 0.98 to 0.99 for  
1797        higher  $p_T$  leptons. An extra systematic is applied to muons within  $\Delta R < 0.6$  of a calorimeter  
1798        jet, since there is a strong dependence on the scale factor due to the presence of these jets. For  
1799        electrons, the dominant systematics is coming from pile-up dependence. Overall the systematics  
1800        are a maximum of 3% at low  $p_T$  and decreasing at a function of  $p_T$ .

<sub>1801</sub> **.2 Non-prompt CR Modelling**

1802 In order to further validate the modeling in each of the non-prompt CRs, additional  
 1803 kinematic plots are made in the Z+jets CR and  $t\bar{t}$  CR in each of the continuous b-tag regions,  
 1804 after the correction factors detailed in Section 12.3 have been applied.

1805 In the case of the Z+jets CR, the  $p_T$  spectrum of the lepton originating from the W  
 1806 candidate is shown, as this is the distribution used to extract the scale factor applied to Z+jets.  
 1807 These plots are shown in Figures .11 and .12.

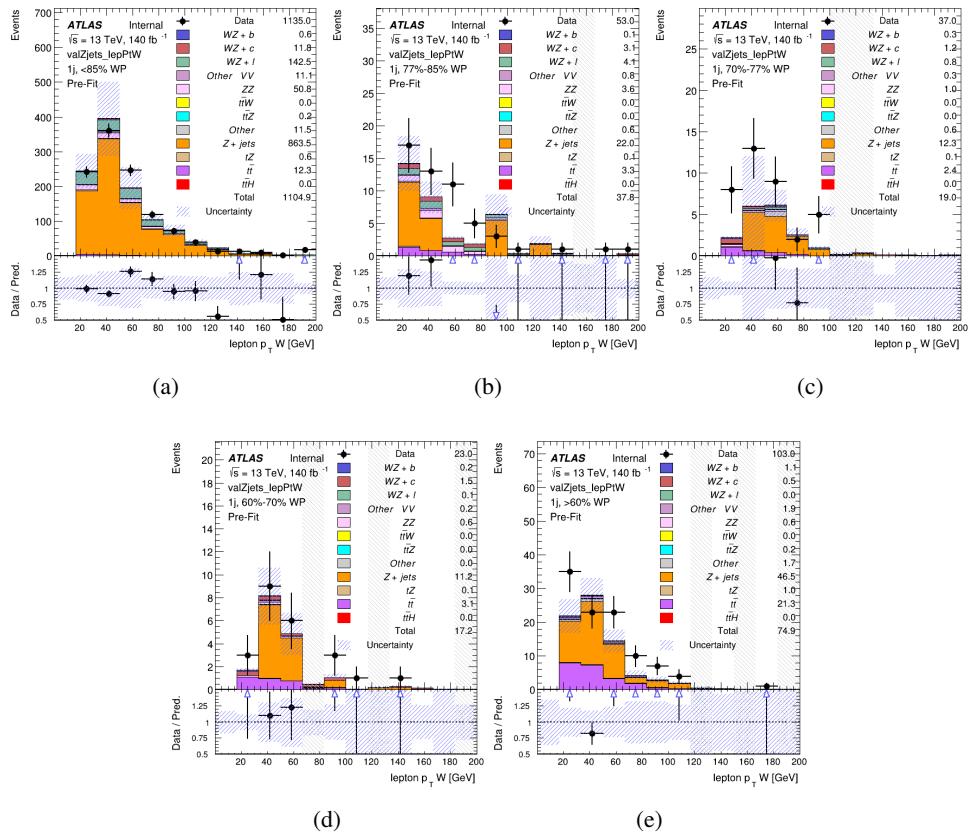


Figure .11: Comparisons between the data and MC distributions of the  $p_T$  of the lepton originating from the W-candidate in the Z+jets CR for each of the 1-jet b-tag working point regions

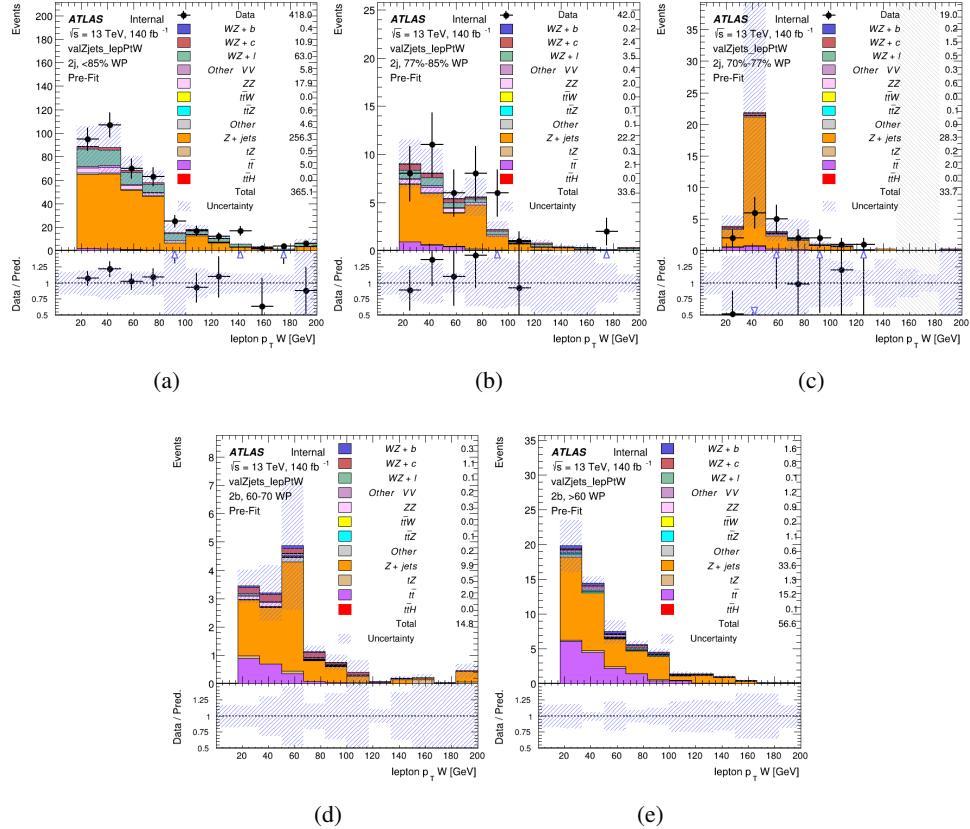


Figure .12: Comparisons between the data and MC distributions of the  $p_T$  of the lepton originating from the W-candidate in the Z+jets CR for each of the 2-jet b-tag working point regions

1808        The same is shown for the  $t\bar{t}$  CR, but the  $p_T$  of the OS lepton is used instead as a  
 1809        representation of the modeling, as the lepton from the W is not well defined for  $t\bar{t}$  events. These  
 1810        plots are shown in Figures .13 and .14.

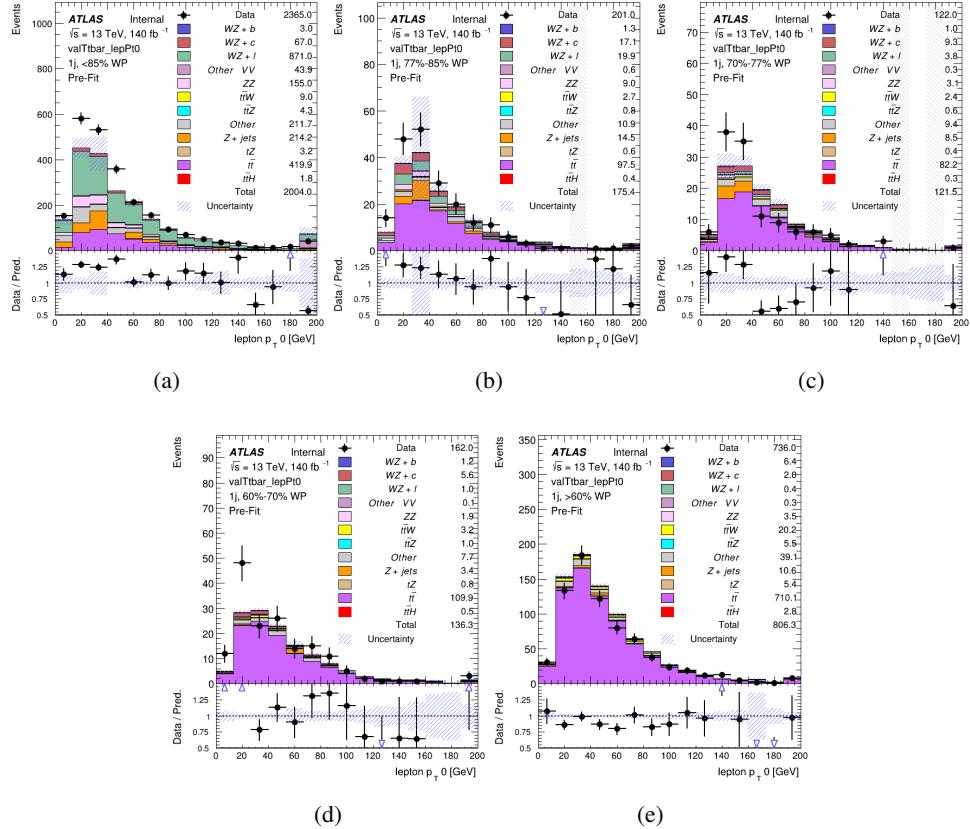


Figure .13: Comparisons between the data and MC distributions of the  $p_T$  of the OS lepton in the  $t\bar{t}$  CR for each of the 1-jet b-tag working point regions

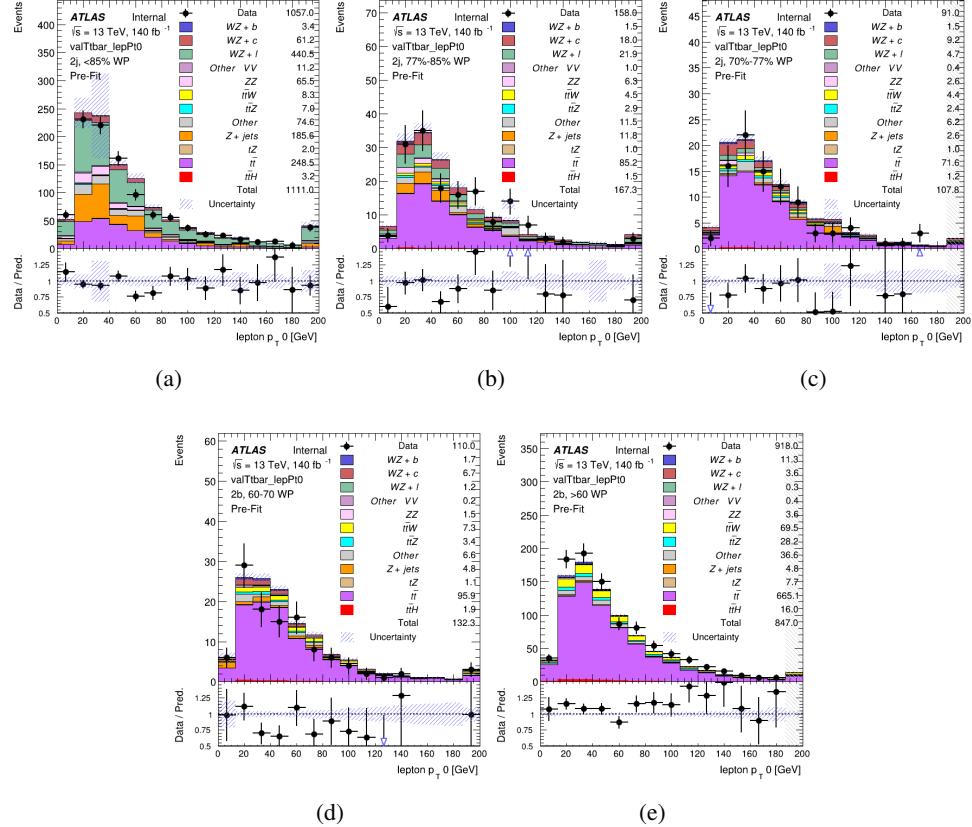


Figure .14: Comparisons between the data and MC distributions of the  $p_T$  of the OS lepton in the  $t\bar{t}$  CR for each of the 2-jet b-tag working point regions

1811 **.3 tZ Interference Studies**

Because it includes an on-shell Z boson as well as a b-jet and W from the top decay, tZ production represents an identical final state to WZ + b-jet. This implies the possibility of matrix level interference between these two processes not accounted for in the Monte Carlo simulations, which consider the two processes independently. Truth level studies are performed in order to estimate the impact of these interference effects.

In order to estimate the matrix level interference effects between tZ and WZ + b-jet, two different sets of simulations are produced using MadGraph 5 [**Madgraph**] - one which simulates these two processes independently, and another where they are produced simultaneously, such that interference effects are present. These two sets of samples are then compared, and the difference between them can be taken to represent any interference effects.

MadGraph simulations of 10,000 tZ and 10,000 WZ + b-jet events are produced, along with 20,000 events where both are present, in the fiducial region where three leptons and at least one jet are produced.

A selection mimicking the preselection used in the main analysis is applied to the samples:  
The SS leptons are required to have  $p_T > 20$  GeV, and  $> 10$  GeV is required for the OS lepton.  
The associated b-jet is required to have  $p_T > 25$  GeV, and all physics objects are required to fall in a range of  $|\eta| < 2.5$ .

The kinematics of these samples after the selection has been applied are shown below:

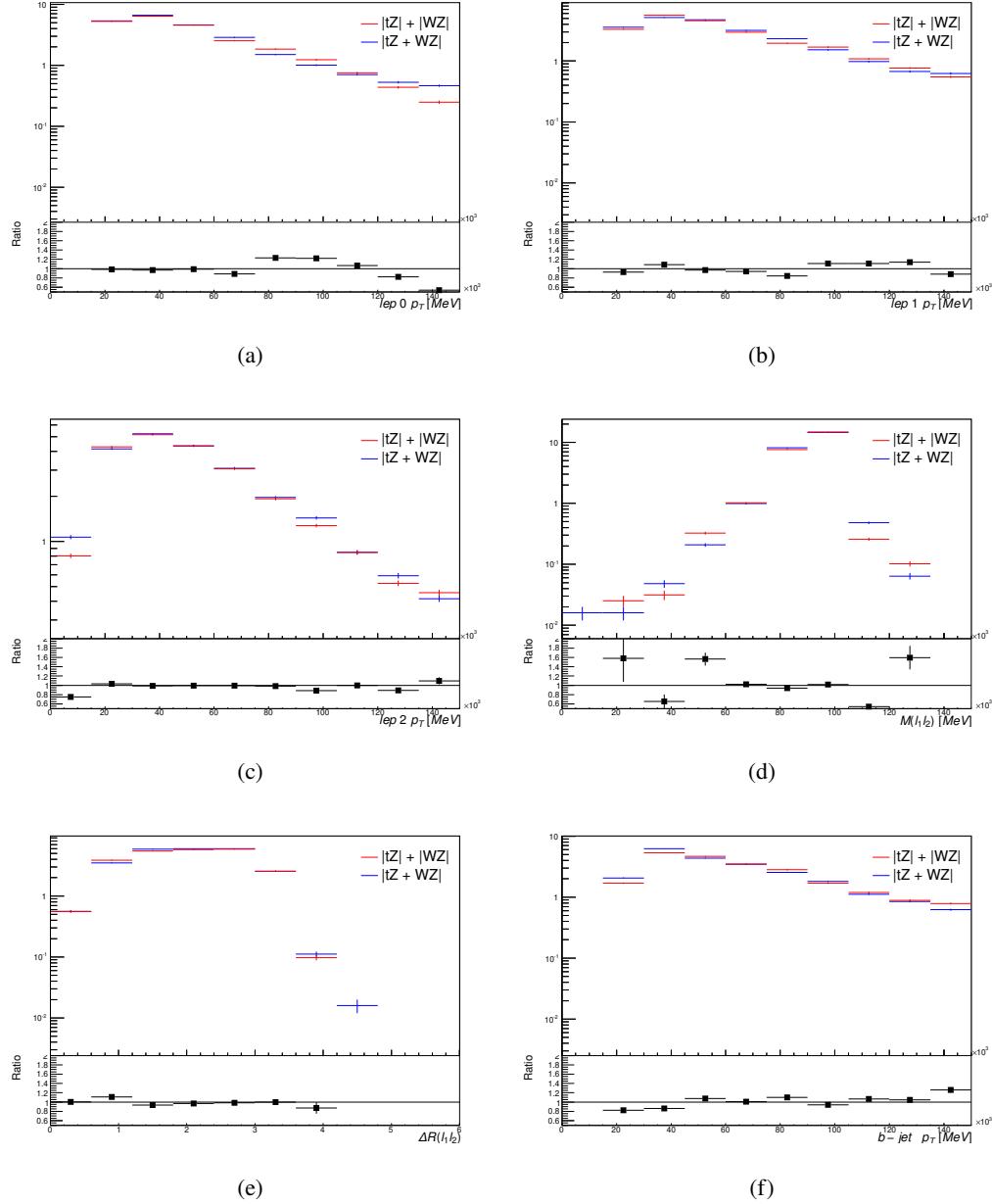


Figure .15: Comparisons between (a) the  $p_T$  of the lepton from the W, (b) and (c) show the  $p_T$  of the lepton from the Z, (d) the invariant mass of the Z-candidate, (e)  $\Delta R$  of the leptons from the Z, and (f) the  $p_T$  of the b-jet, for WZ and tZ events generated with interference effects (blue) and without interference effects (red).

1830        The overall cross-section of the two methods agree within error, and no significant differ-  
1831        ences in the kinematic distributions are seen. It is therefore concluded that interference effects  
1832        do not significantly impact the results.

1833 **.4 Alternate tZ Inclusive Fit**

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1834 **.4.1 tZ Inclusive Fit**

1835 While tZ is often considered as a distinct process from WZ + b, this could also be considered part  
1836 of the signal. Alternate studies are performed where, using the same framework as the nominal  
1837 analysis, a measurement of WZ + b is performed that includes tZ as part of WZ+b.

1838 Because of this change, the tZ CR is no longer necessary, and only the five pseudo-  
1839 continuous b-tag regions are used in the fit. Further, systematics related to the tZ cross-section  
1840 are removed from the fit, as they are now encompassed by the normalization measurement of  
1841 WZ + b. All other systematic uncertainties are carried over from the nominal analysis.

1842 An expected WZ + b cross-section of  $4.1^{+0.78}_{-0.74}(\text{stat})^{+0.53}_{-0.52}(\text{sys}) \text{ fb}$  is extracted from the fit,  
1843 with an expected significance of  $4.0\sigma$ .

1844 The impact of the predominate systematics are summarized in Table 55.

Uncertainty Source	$\Delta\mu$	
WZ + light cross-section	0.08	-0.08
Jet Energy Scale	-0.06	0.08
Luminosity	-0.05	0.06
WZ + charm cross-section	-0.04	0.05
Other Diboson + b cross-section	-0.04	0.04
WZ cross-section - QCD scale	-0.04	0.03
t̄t cross-section	-0.03	0.03
Jet Energy Resolution	-0.03	0.03
Flavor tagging	-0.03	0.03
Z+jets cross section	-0.02	0.02
Total Systematic Uncertainty	-0.15	0.16

Table 55: Summary of the most significant sources of systematic uncertainty on the measurement of WZ + b with exactly one associated jet.

**1845 .4.2 Floating tZ**

1846 In order to quantify the impact of the tZ uncertainty on the fit, an alternate fit strategy is used  
1847 where the tZ normalization is allowed to float. This normalization factor replaces the cross-  
1848 section uncertainty on tZ, and all other parameters of the fit remain the same.

1849 An uncertainty of 17% on the normalization of tZ is extracted from the fit, compared to a  
1850 theory uncertainty of 15% applied to the tZ cross-section. The measured uncertainties on WZ  
1851 remain the same.

1852 .5 DSID list

Data:

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mc16d:

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mc16e:

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1853 **A Machine Learning Models**

1854 The following section provides details of the various MVAs as well as a few studies performed  
1855 in support of this analysis, exploring alternate decisions and strategies.

1856 **A.1 Higgs Reconstruction Model Details**

1857 **A.1.1 b-jet Identification Features - 2lSS**

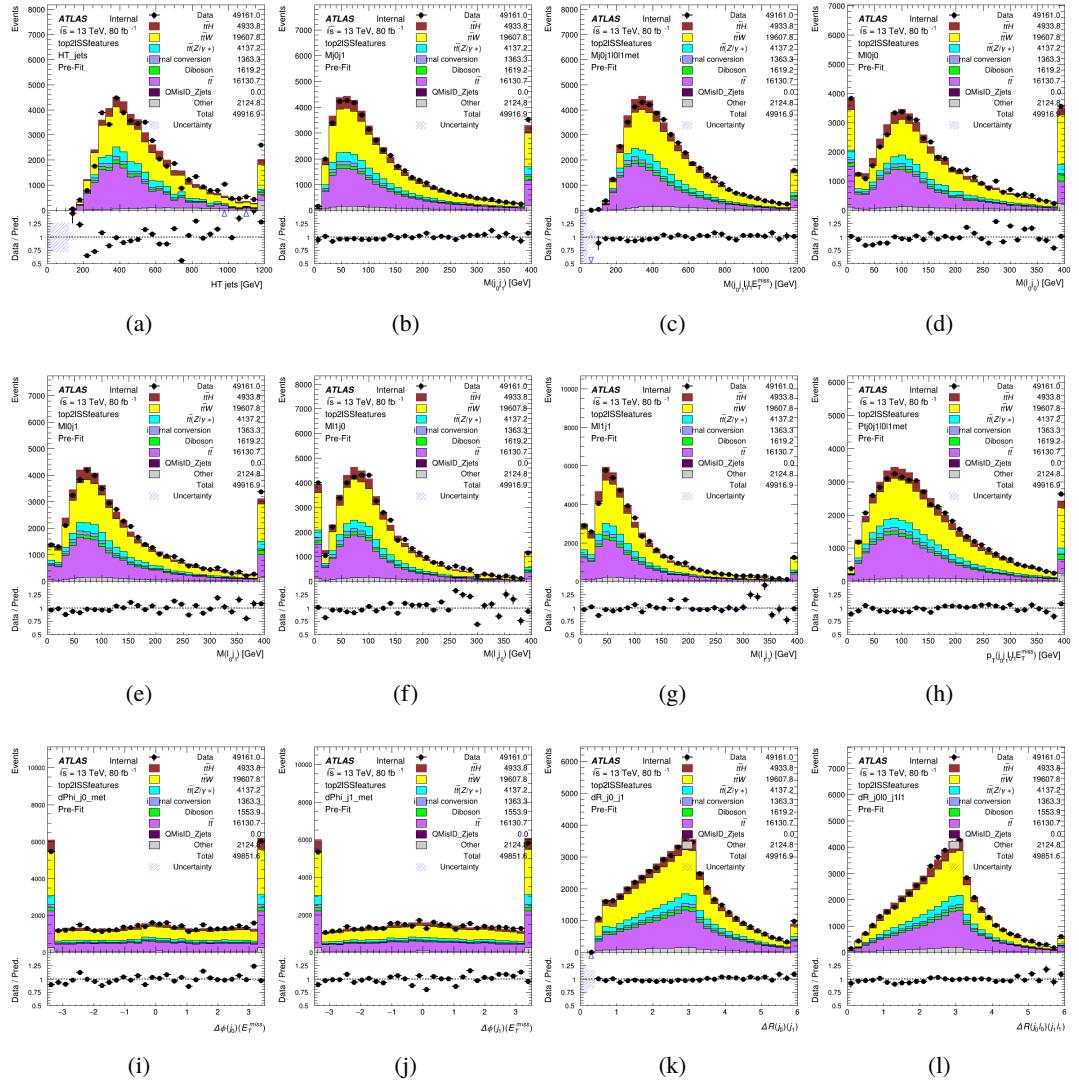


Figure A.1: Input features for top2lSS

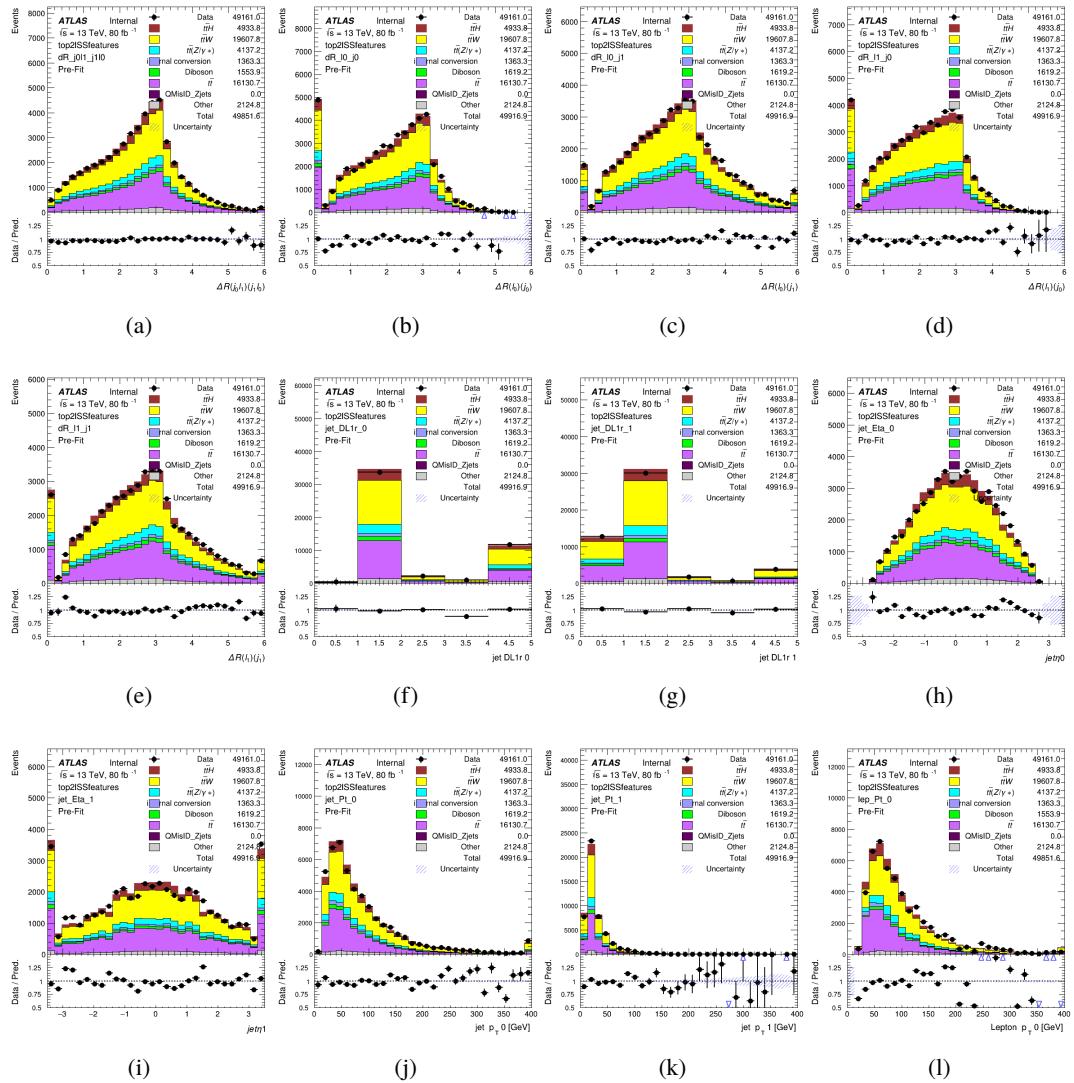


Figure A.2: Input features for top21SS

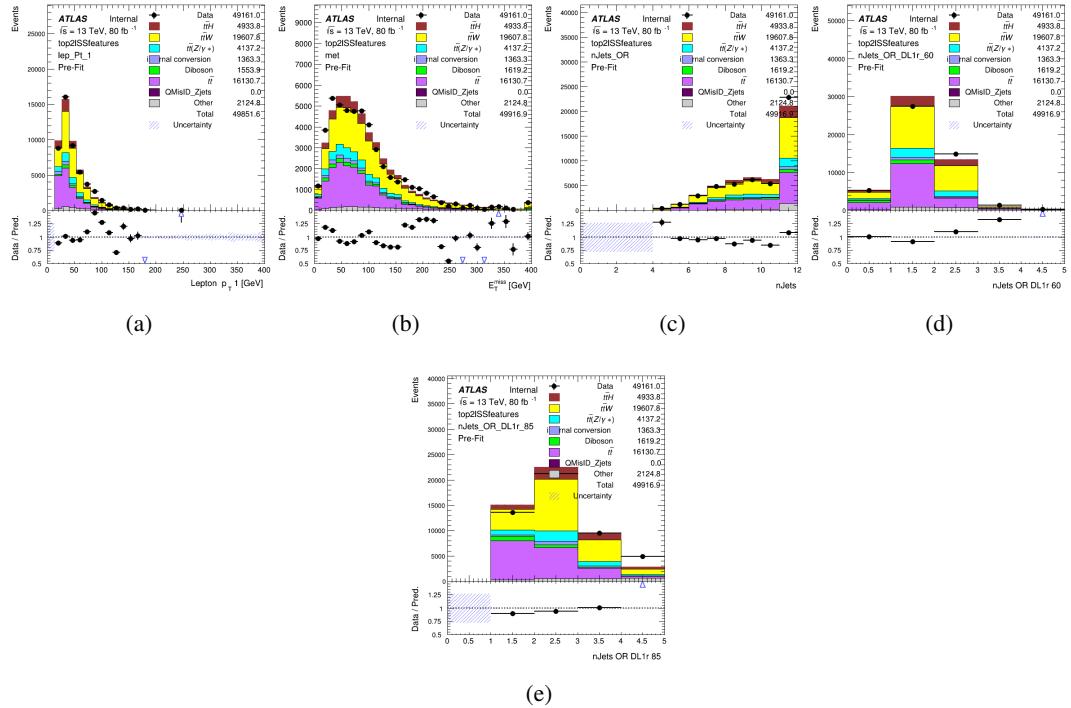


Figure A.3: Input features for top2ISS

1858 **A.1.2 b-jet Identification Features - 3l**

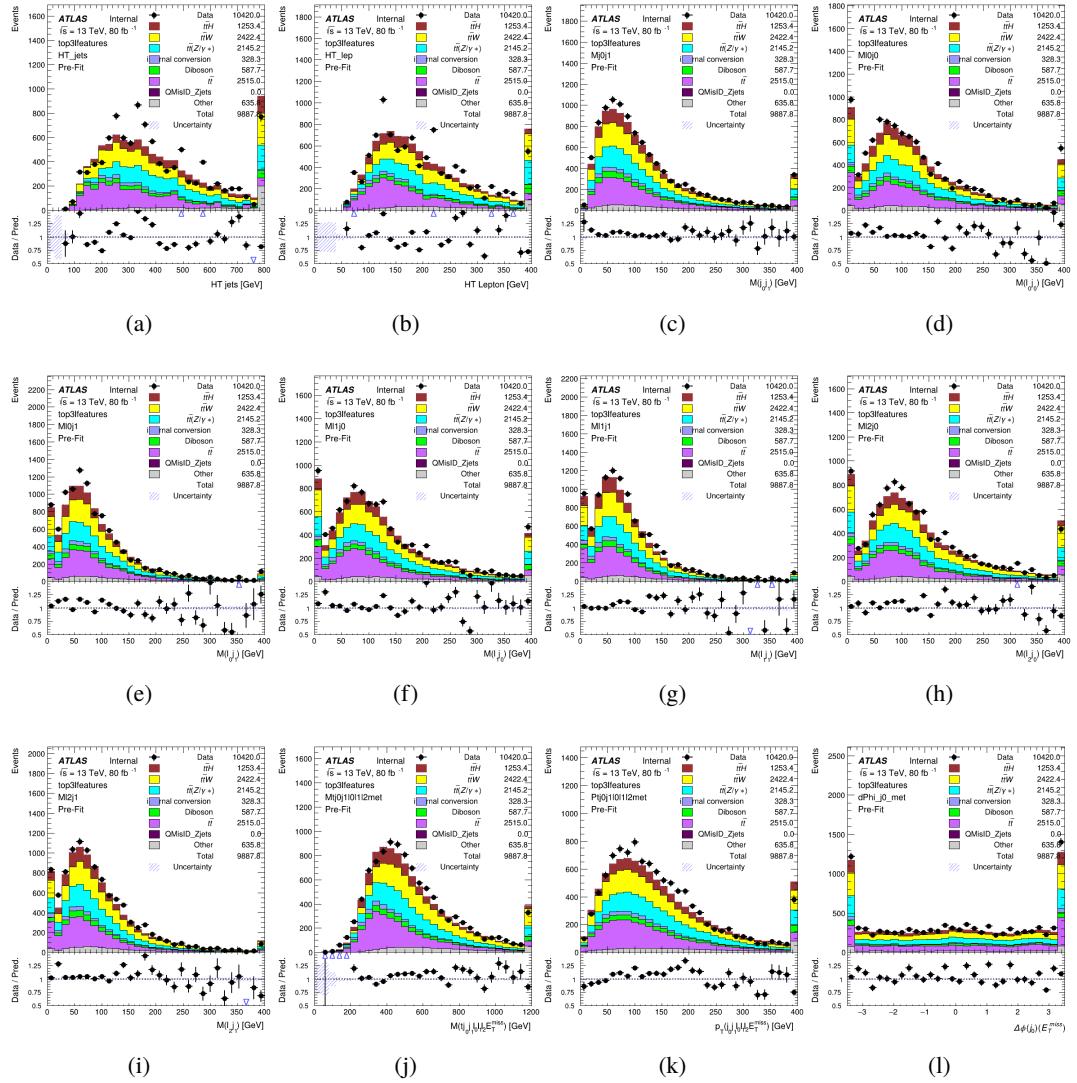


Figure A.4: Input features for top31

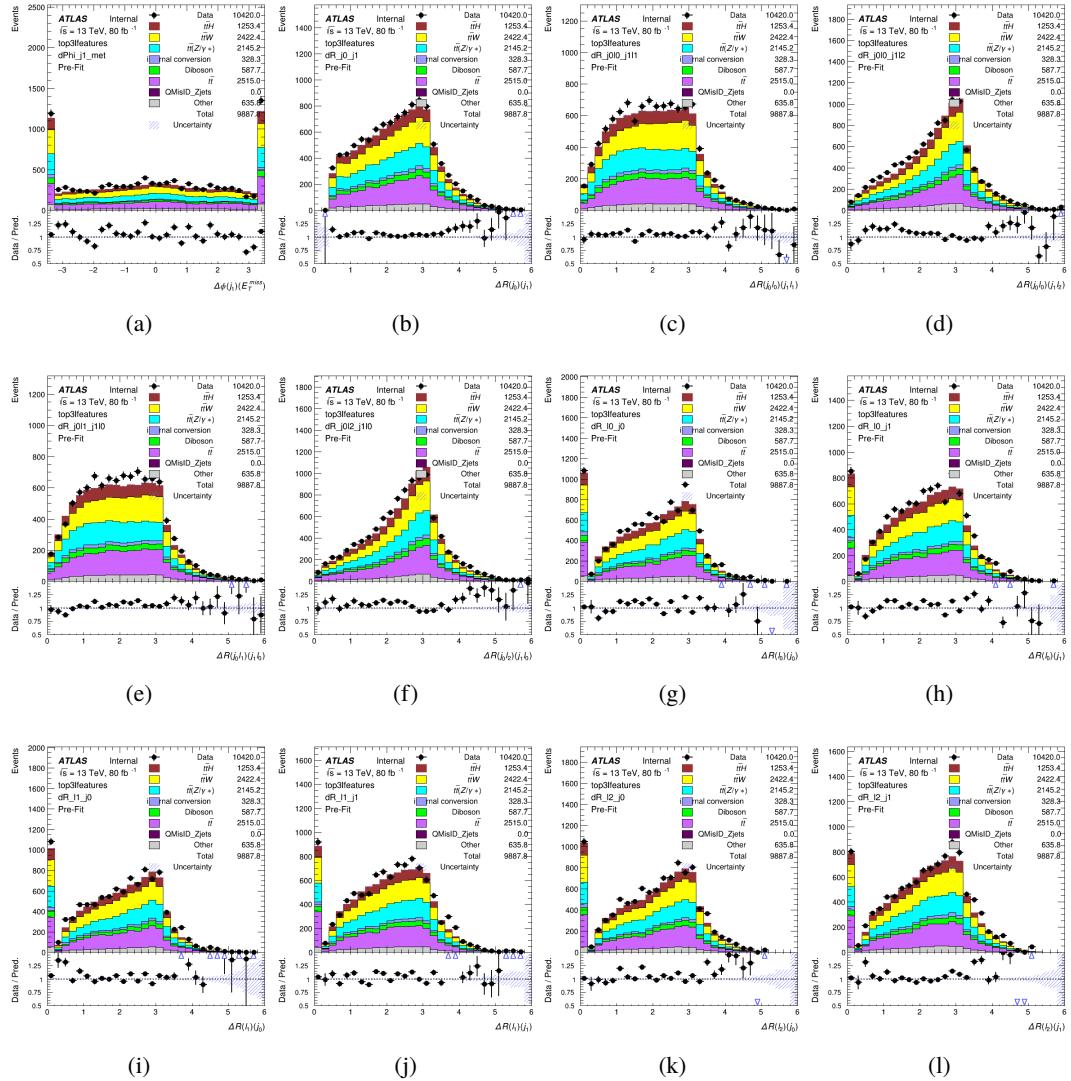


Figure A.5: Input features for top31

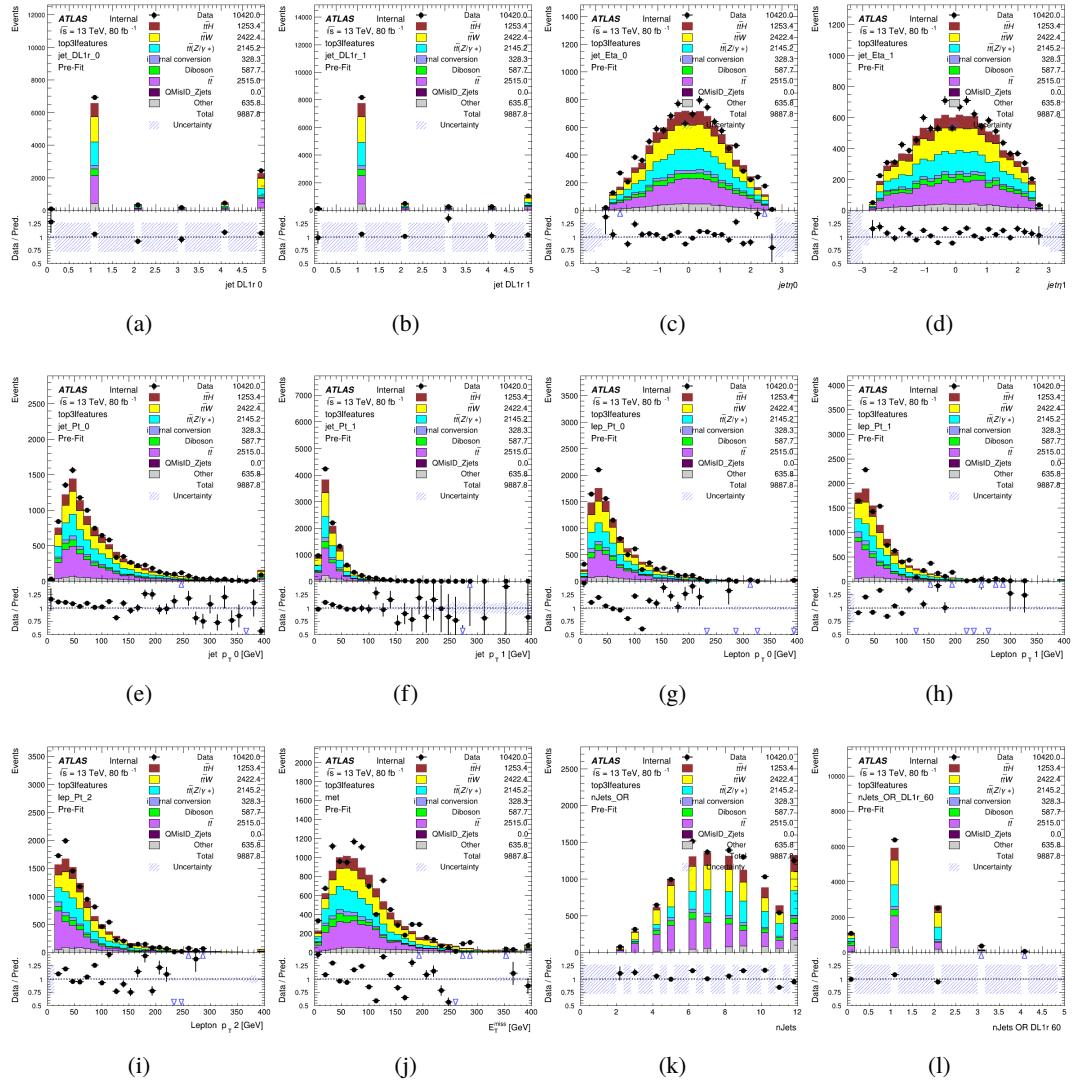
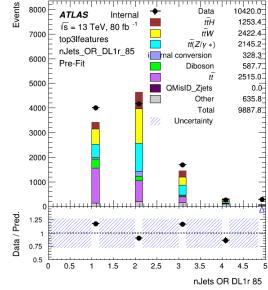


Figure A.6: Input features for top31



(a)

Figure A.7: Input features for top31

1859 **A.1.3 Higgs Reconstruction Features - 2lSS**

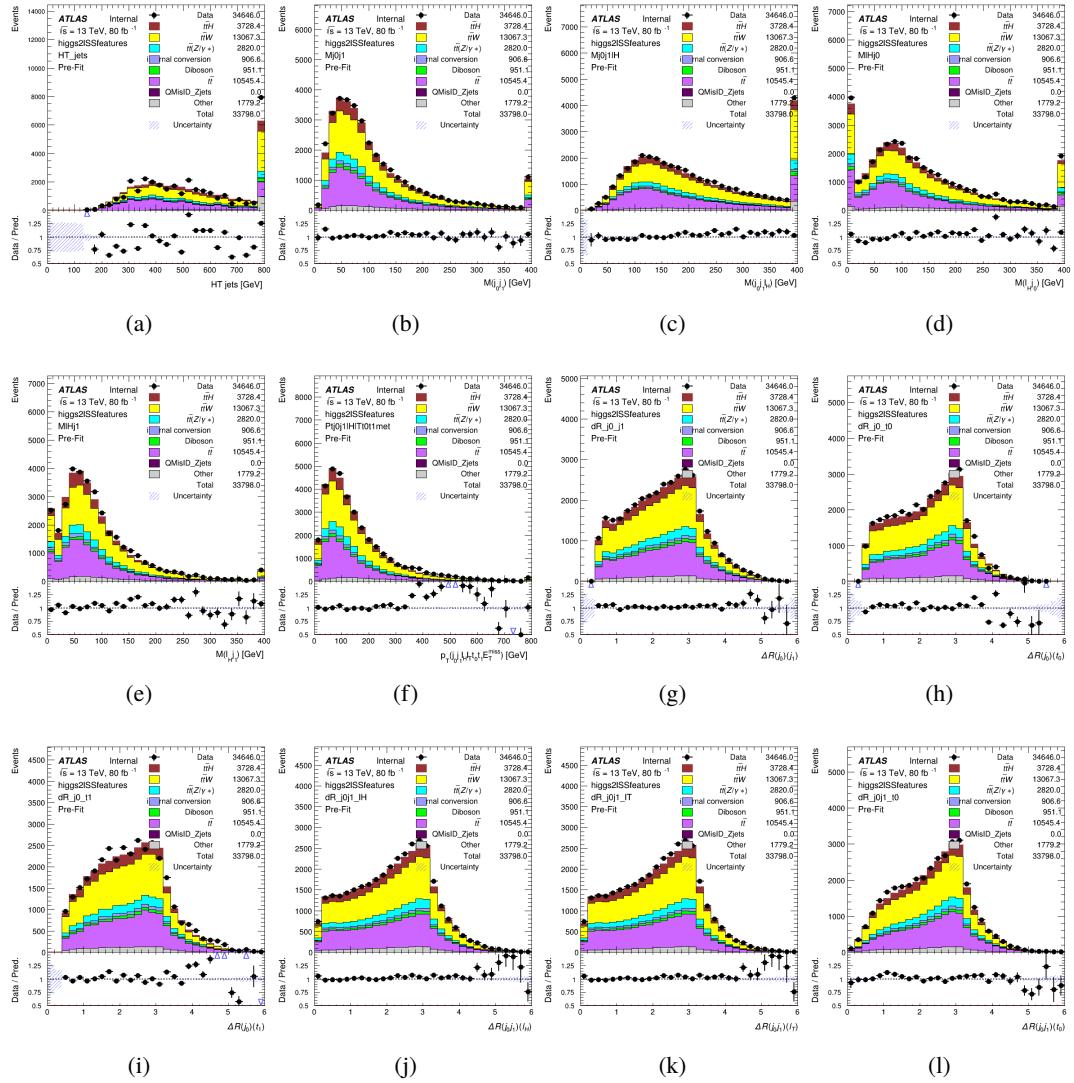


Figure A.8: Input features for higgs2lSS

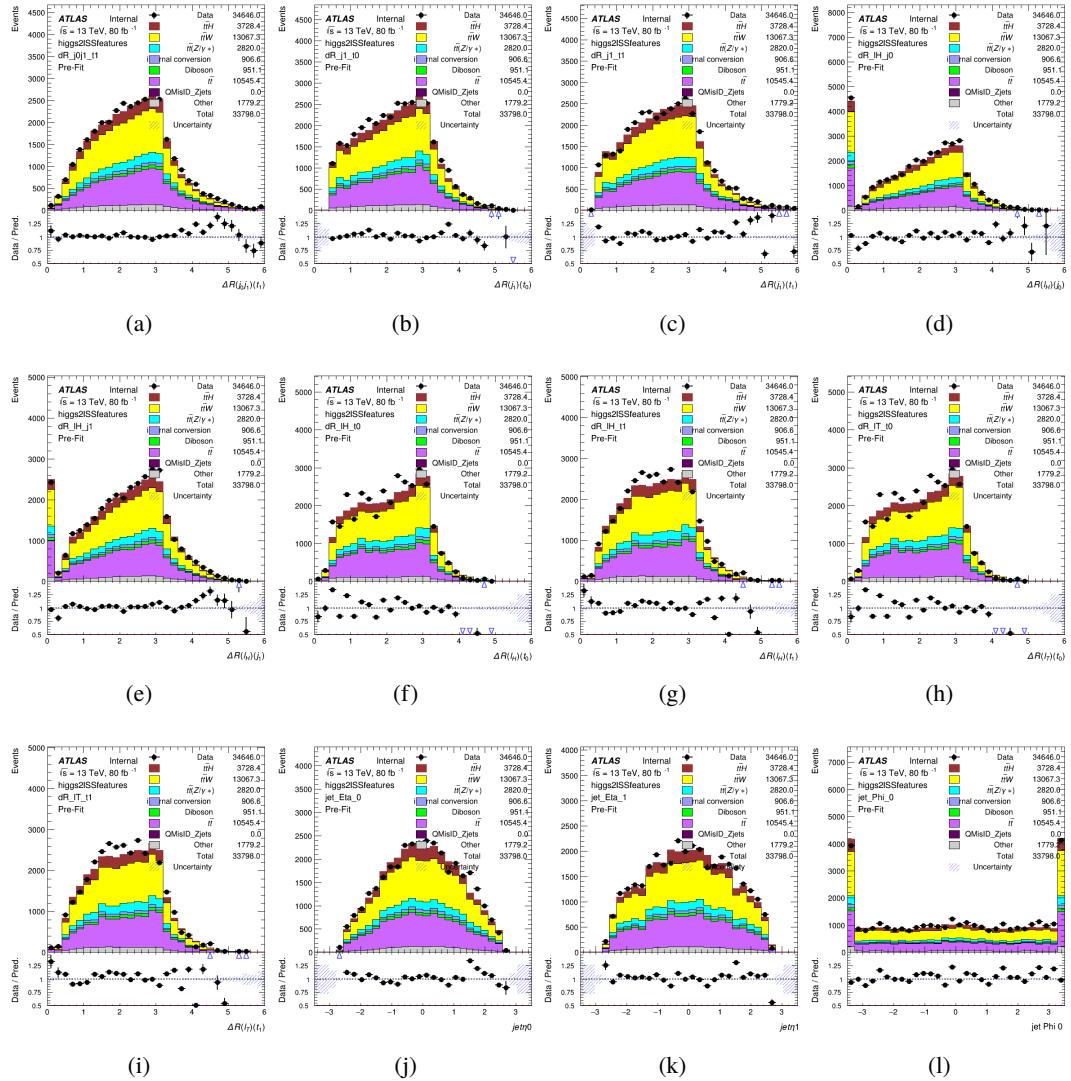


Figure A.9: Input features for higgs2lSS

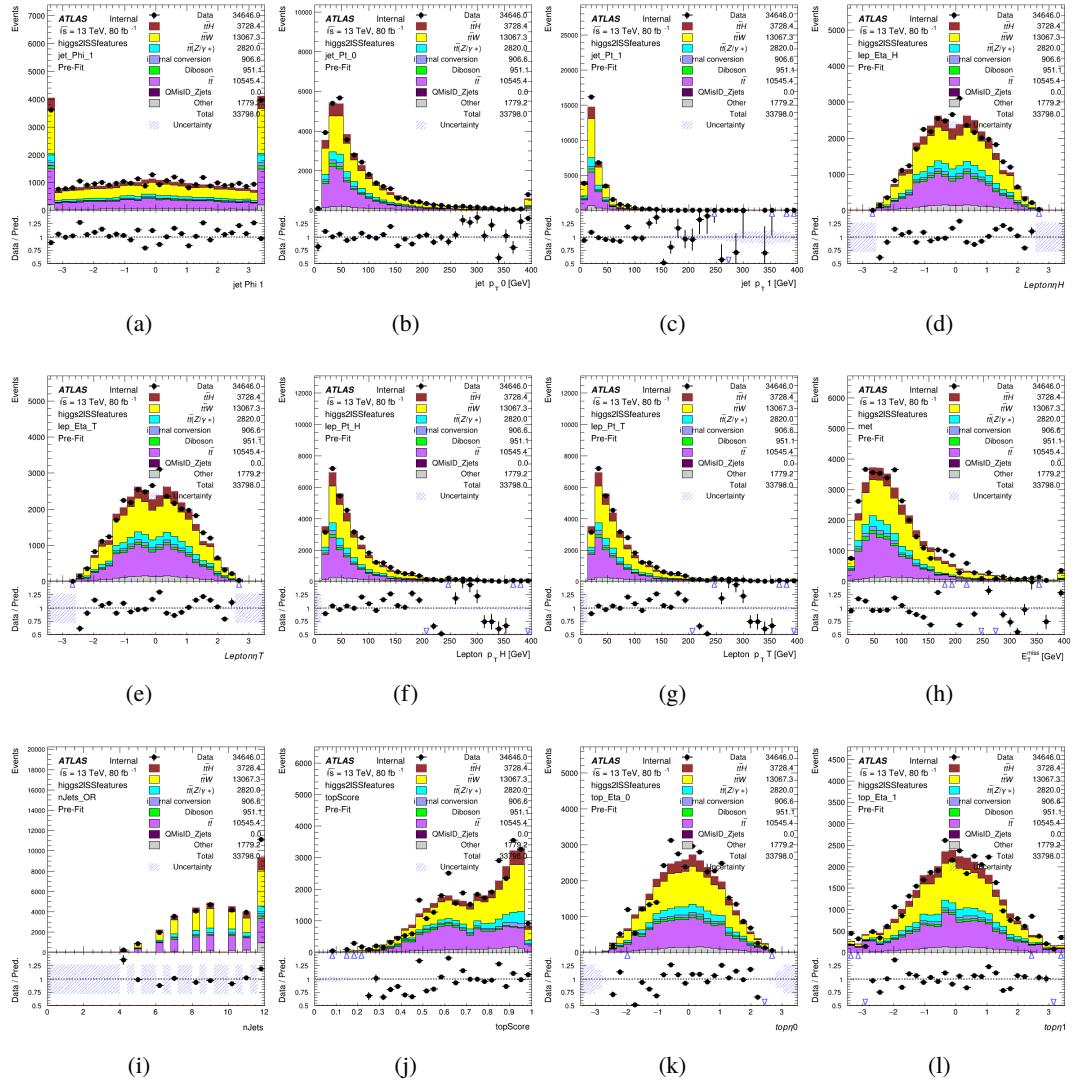


Figure A.10: Input features for higgs2IS

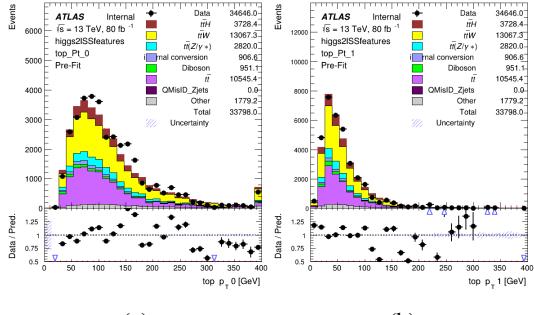


Figure A.11: Input features for higgs2lSS

1860 **A.1.4 Higgs Reconstruction Features - 3lS**

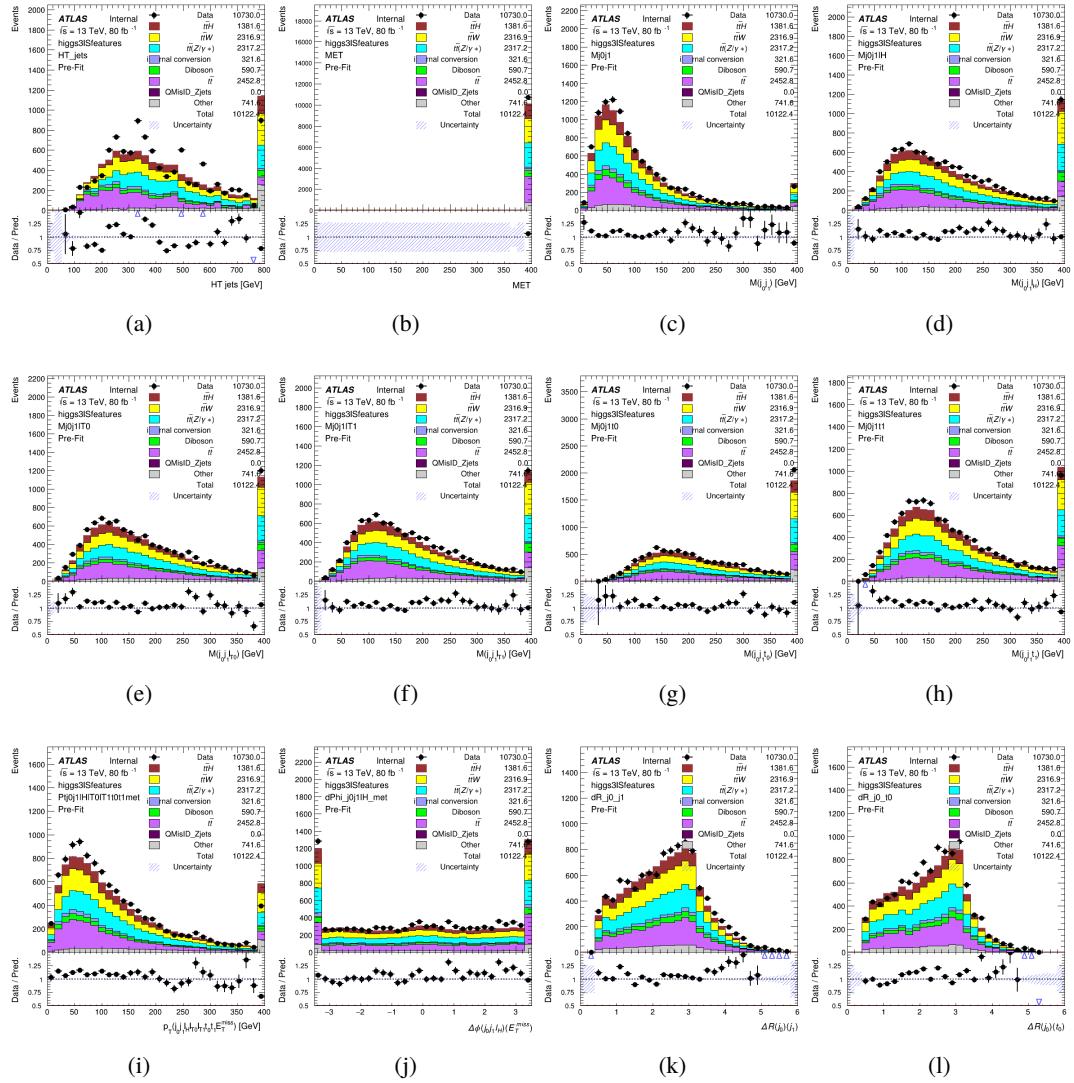


Figure A.12: Input features for higgs3IS

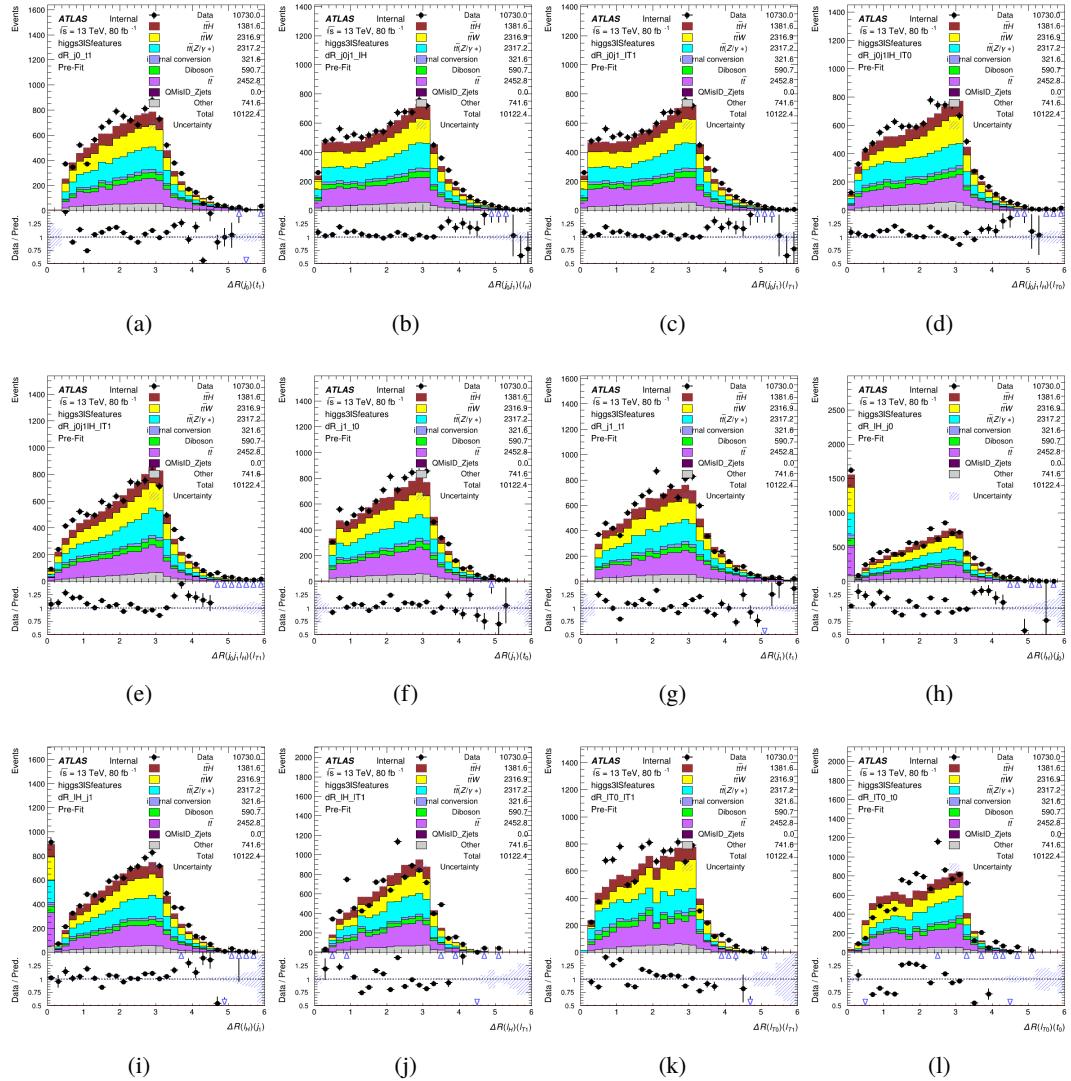


Figure A.13: Input features for higgs3SIS

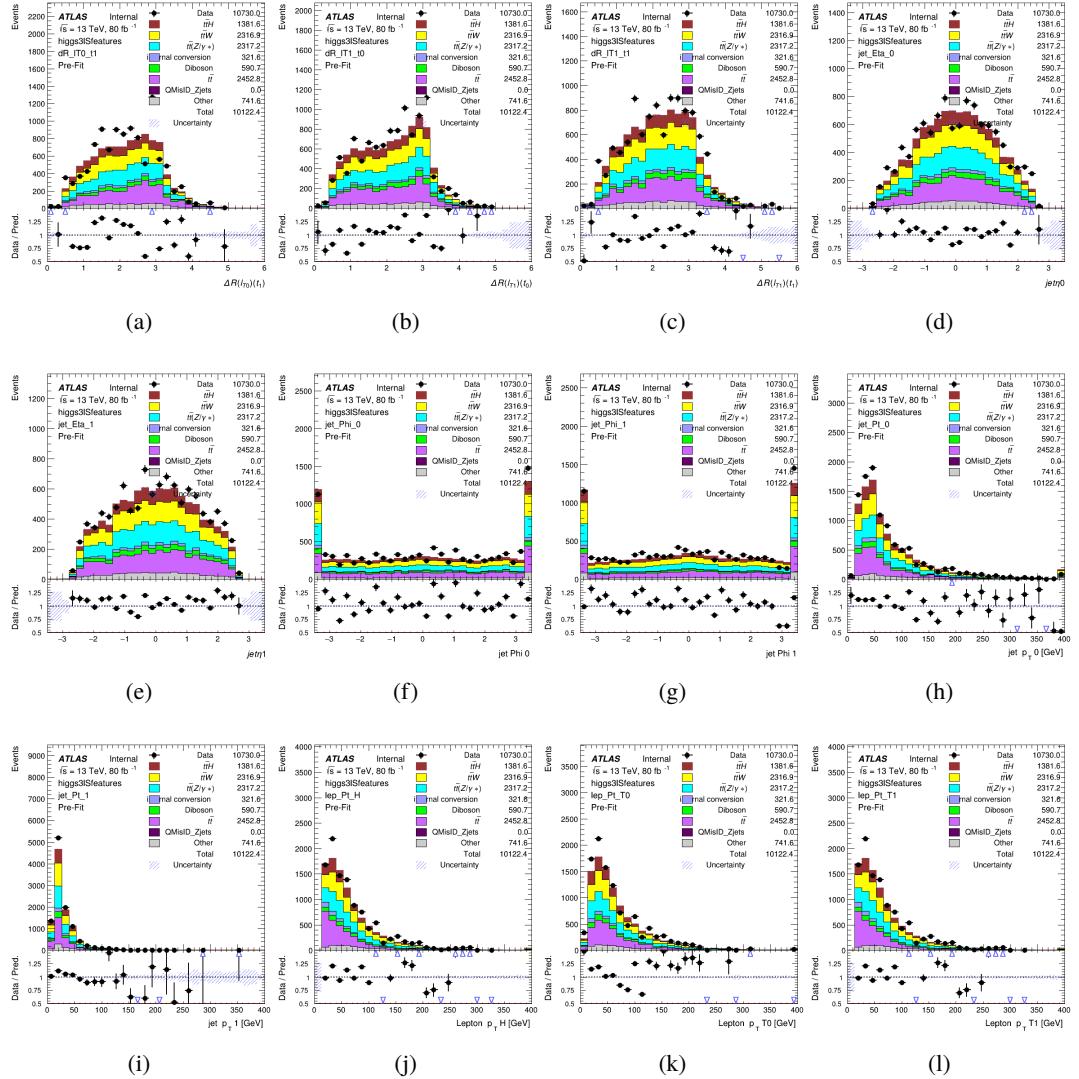


Figure A.14: Input features for higgs3IS

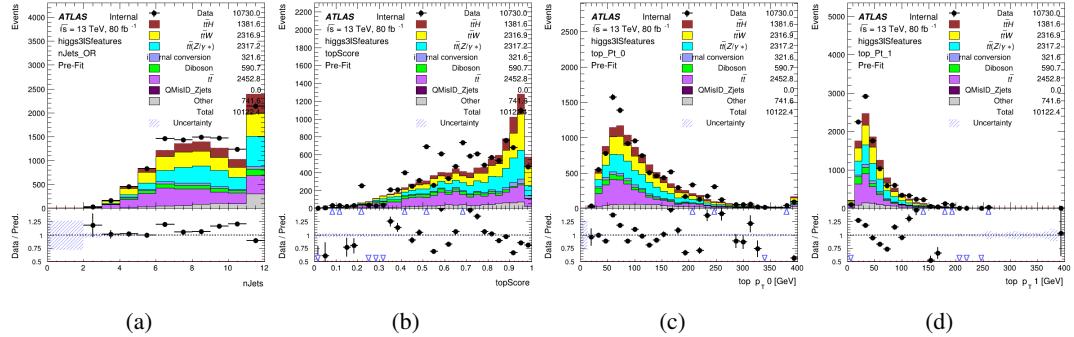


Figure A.15: Input features for higgs3IS

1861 **A.1.5 Higgs Reconstruction Features - 3lF**

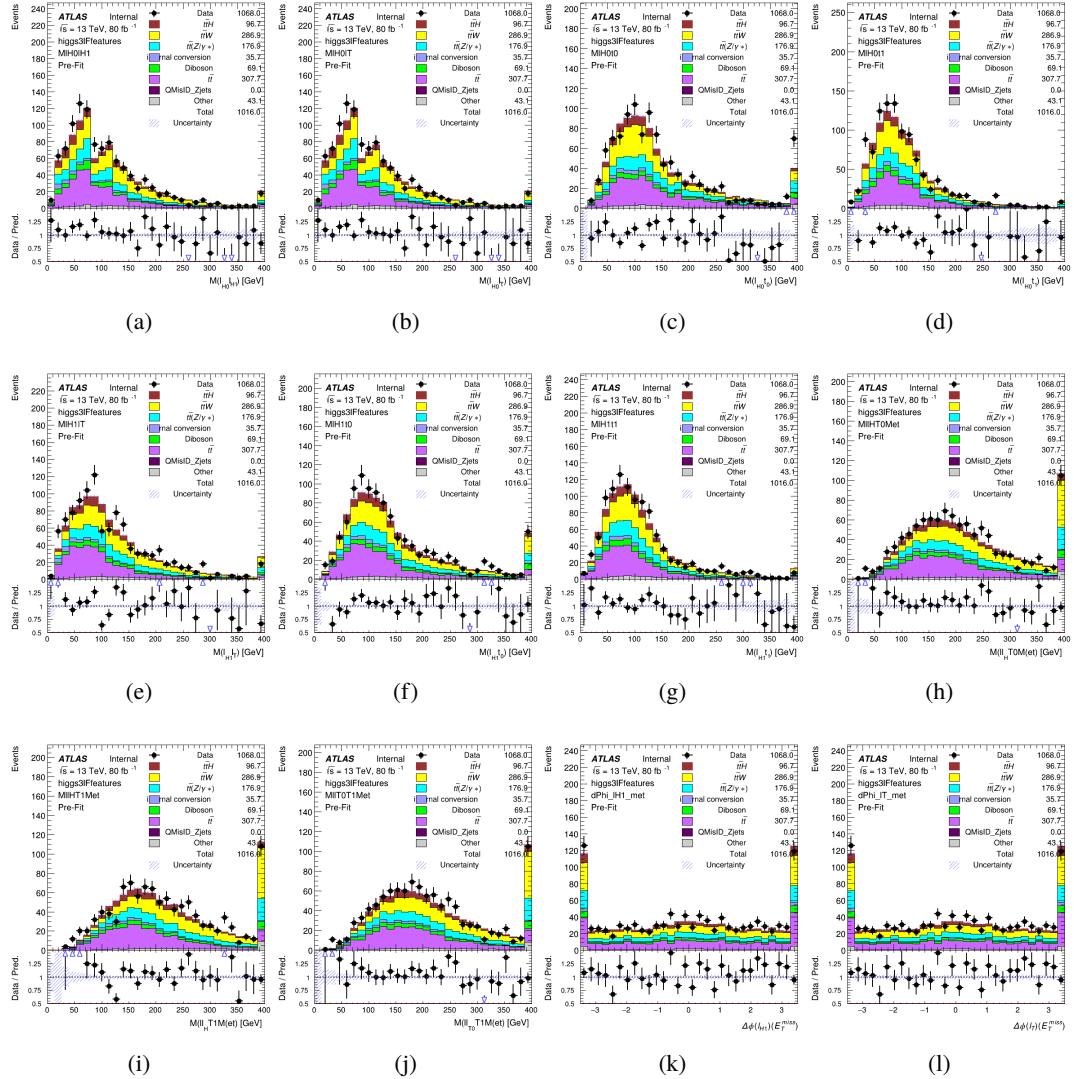


Figure A.16: Input features for higgs3IF

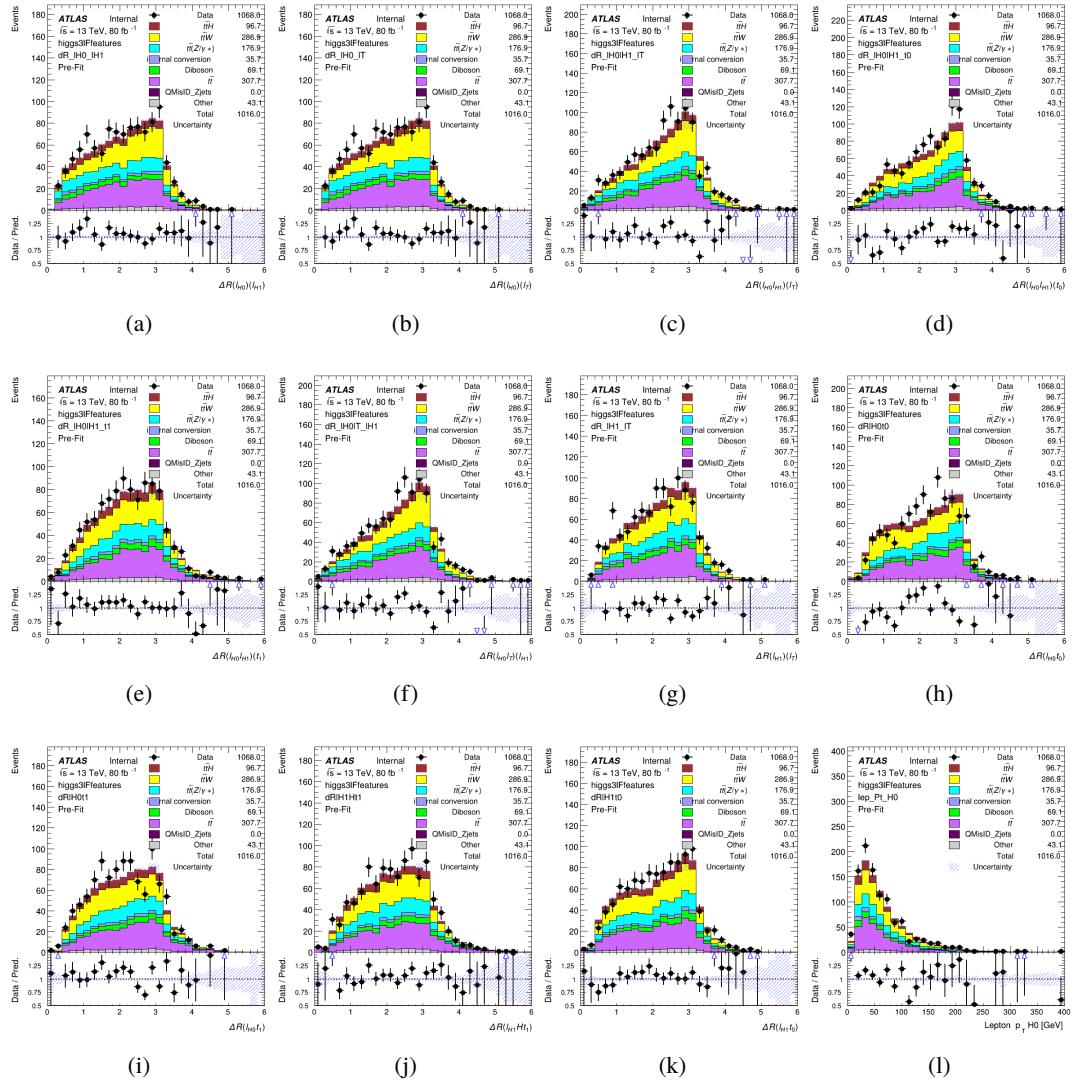


Figure A.17: Input features for higgs3lF

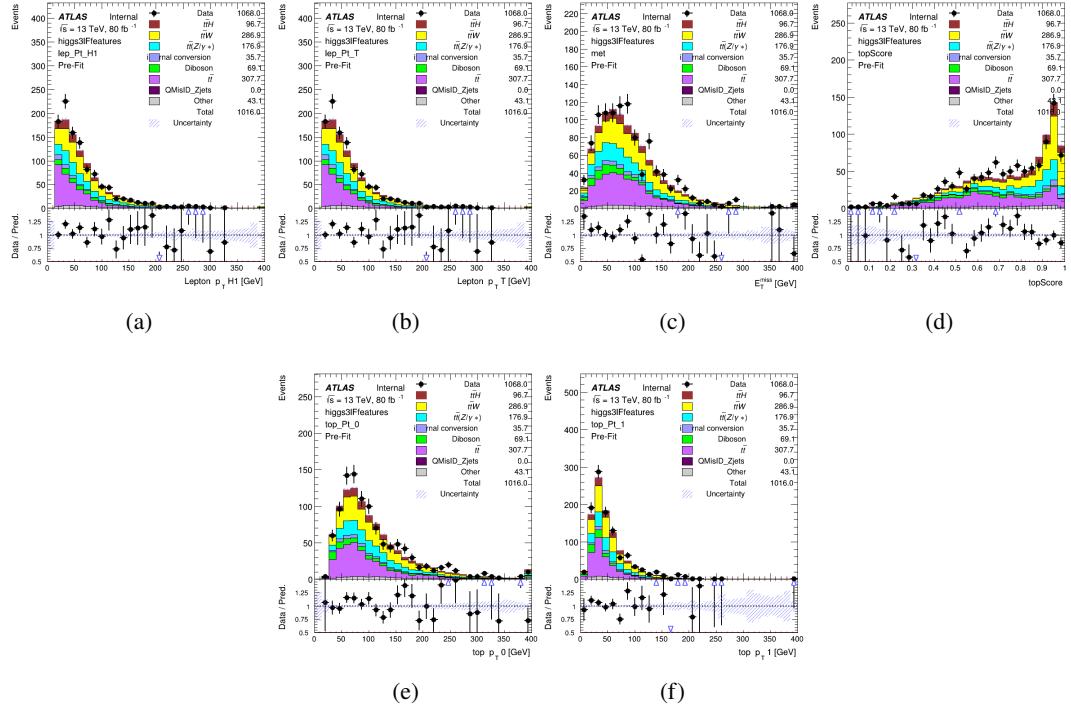


Figure A.18: Input features for higgs3lF

<sup>1862</sup> **A.2 Background Rejection MVA Details**

<sup>1863</sup> **A.2.1 Background Rejection MVA Features - 2ISS**

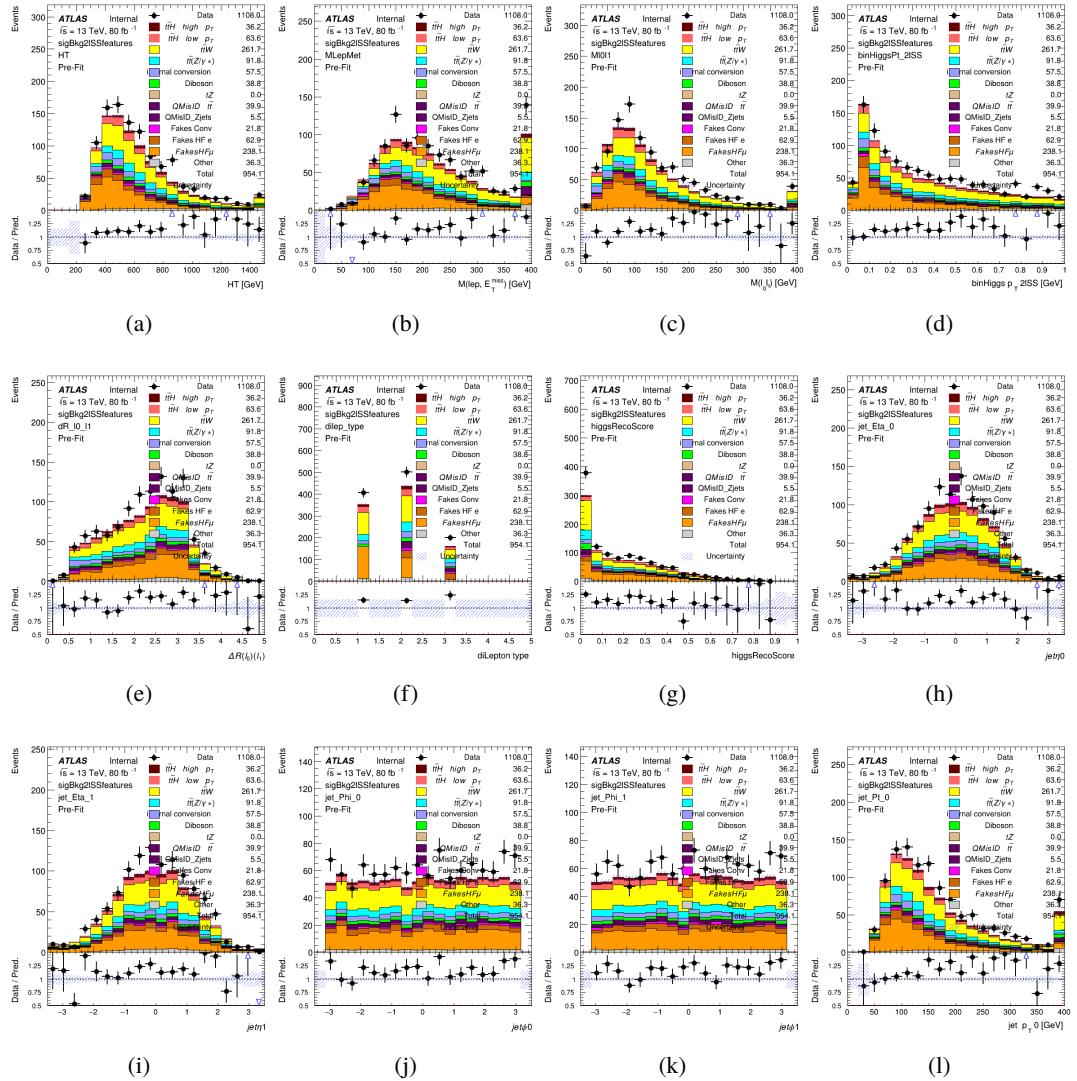


Figure A.19: Input features for sigBkg2lSS

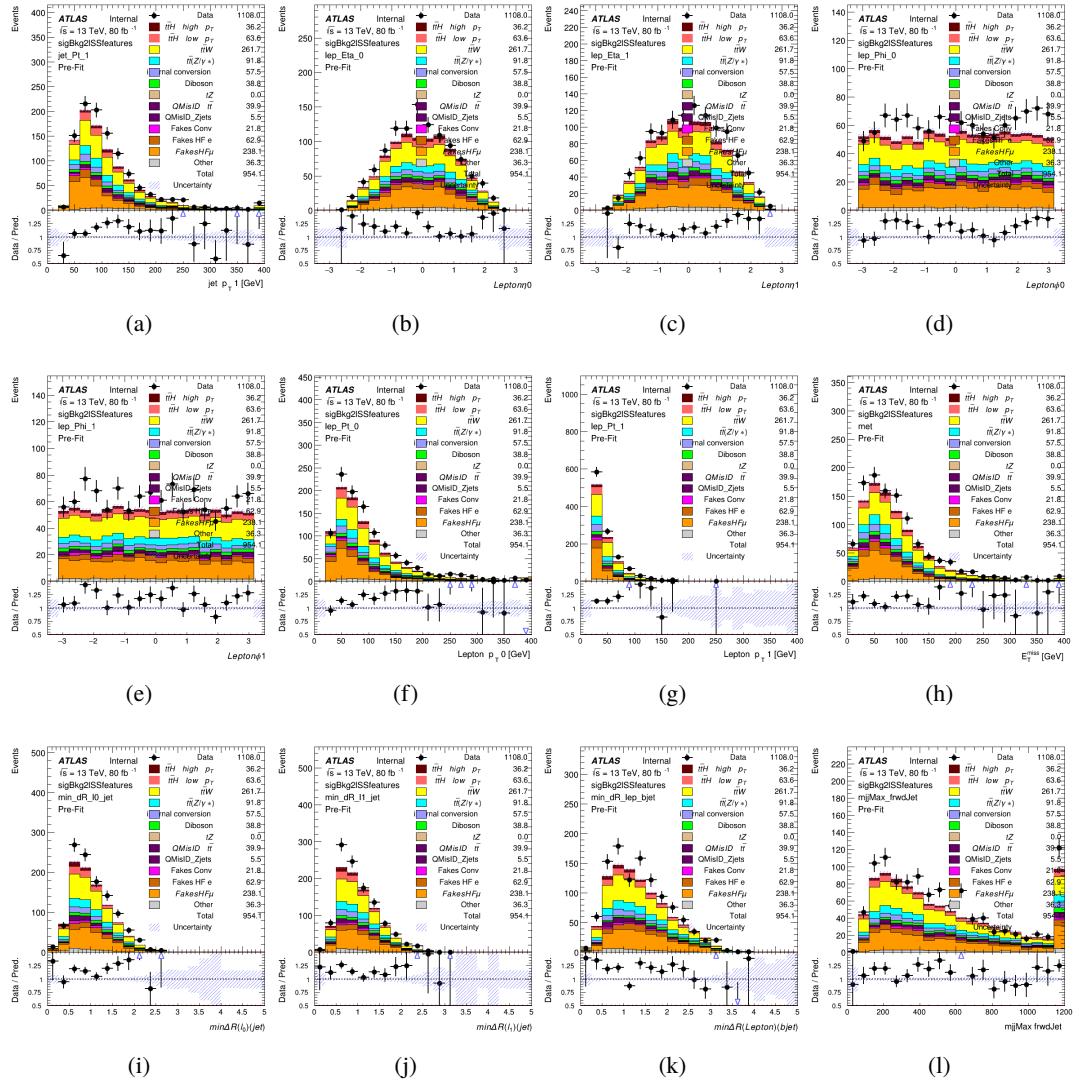


Figure A.20: Input features for sigBkg2lSS

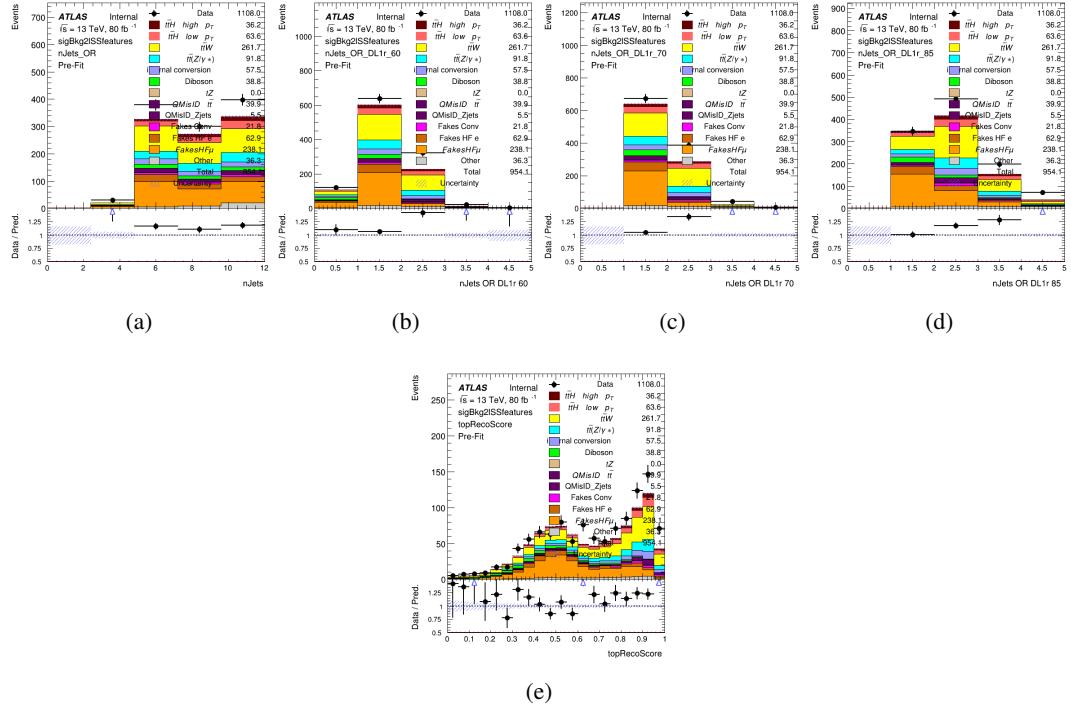


Figure A.21: Input features for sigBkg2lSS

1864 **A.2.2 Background Rejection MVA Features - 3l**

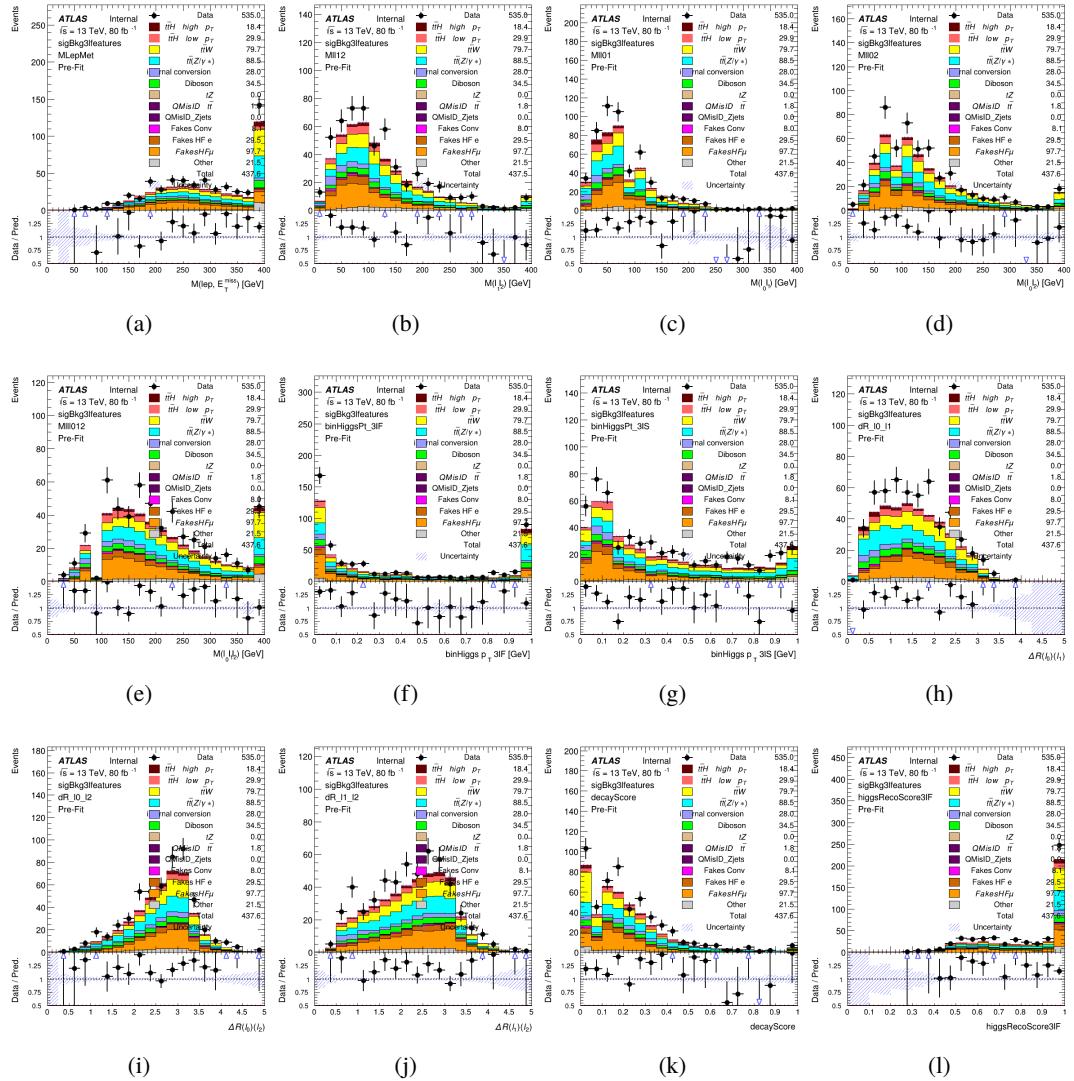


Figure A.22: Input features for sigBkg31

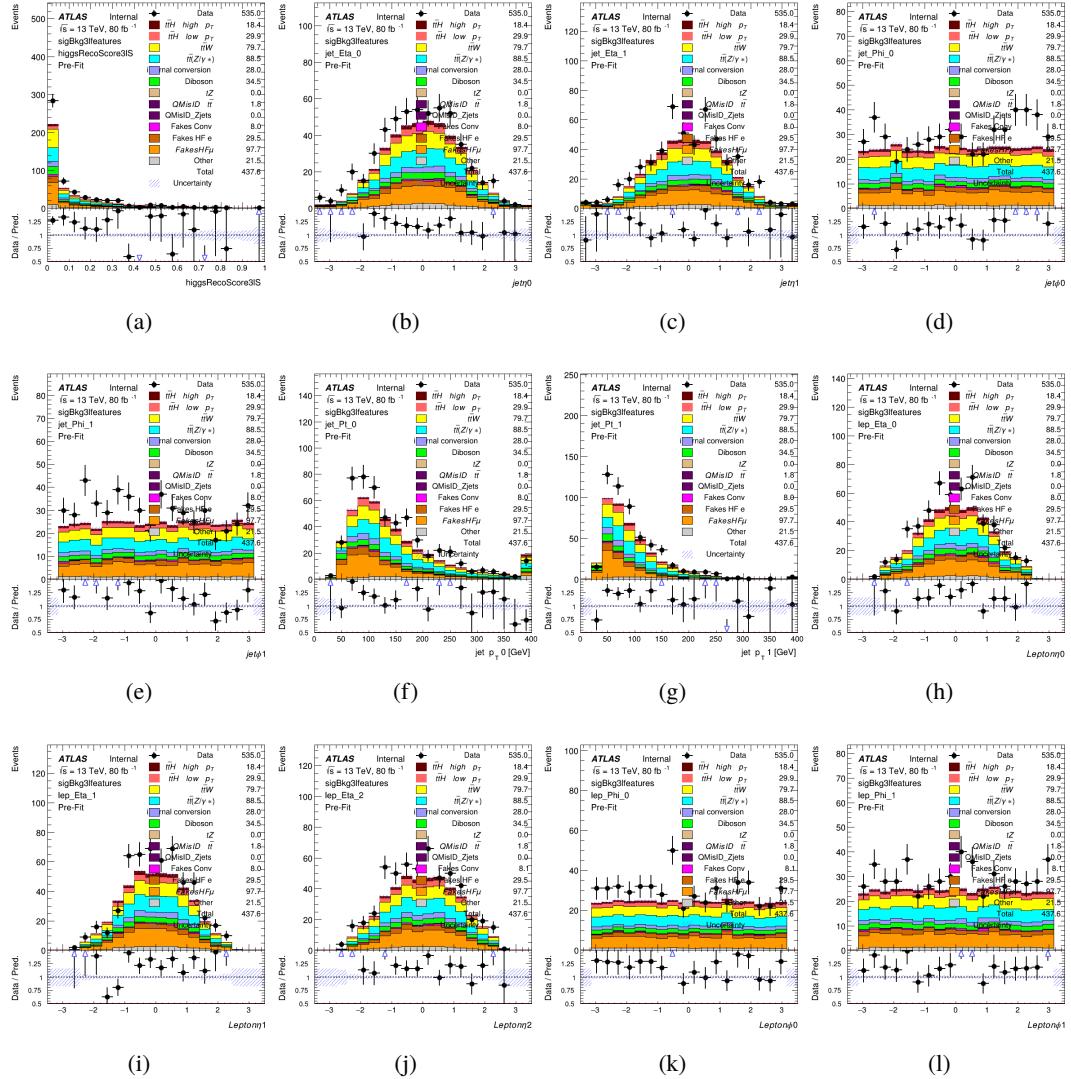
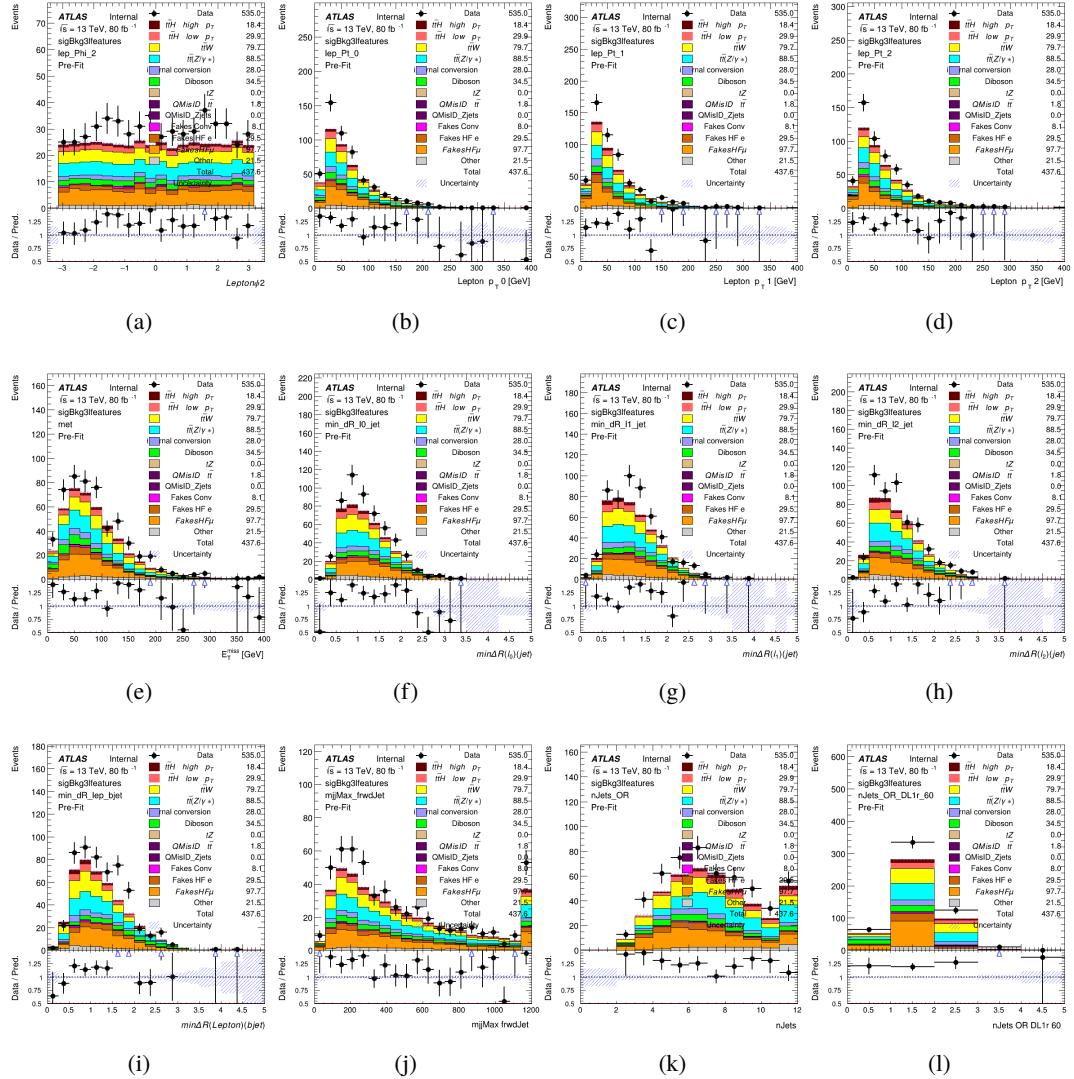


Figure A.23: Input features for sigBkg3l

Figure A.24: Input features for `sigBkg3l`

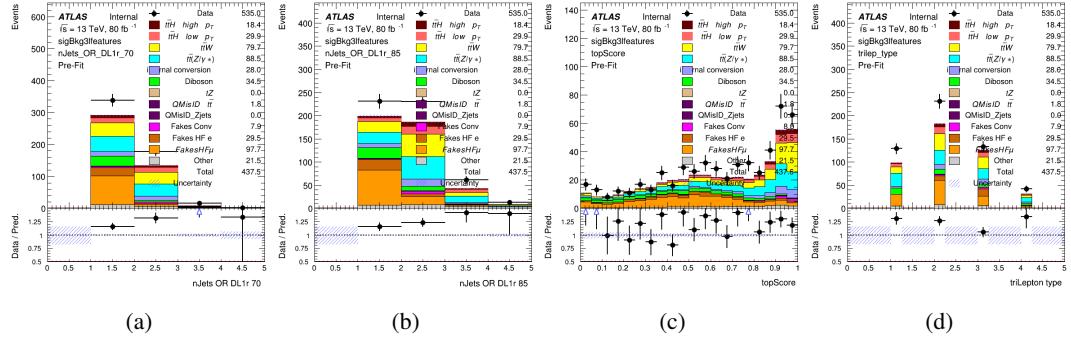


Figure A.25: Input features for sigBkg3l

1865 **A.3 Truth Level Studies**

1866 Attempts to identify the decay products of the Higgs are motivated by the ability to reconstruct  
 1867 the Higgs momentum based on their kinematics. In order to demonstrate that this is case, the  
 1868 kinematics of reconstructed objects that are truth matched to the Higgs decay are used as inputs  
 1869 to a neural network which is designed to predict of the momentum of the Higgs. This is done in  
 1870 the 2lSS channel, as it proves to be the most challenging for  $p_T$  reconstruction.

1871 Only leptons and jets which are truth matched to the Higgs are used as inputs for the  
 1872 model; events where the lepton and both jets are not reconstructed are not included. The model  
 1873 uses the same feature set and network architecture as the  $p_T$  prediction model used in the main  
 1874 analysis, as described in Section 18.5.1.

1875 The results of the model are summarized below:

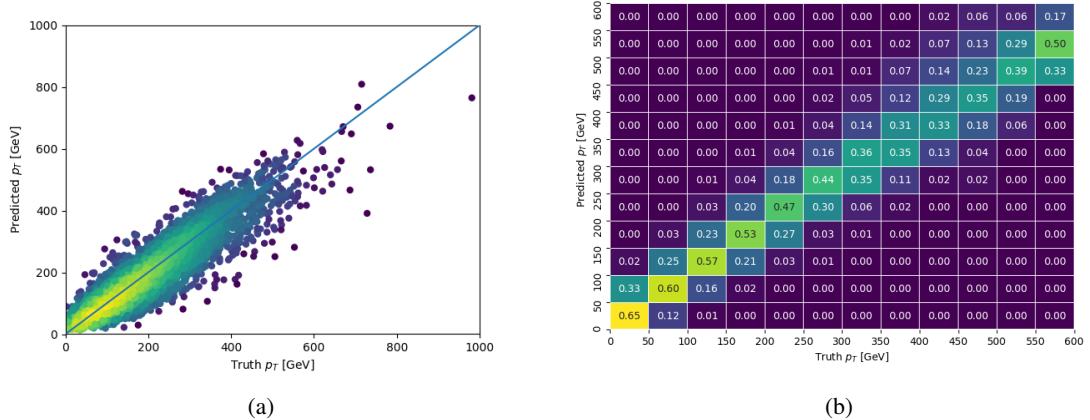


Figure A.26: The regressed Higgs momentum spectrum as a function of the truth  $p_T$  for 2lSS  $t\bar{t}H$  events in (a) a scatterplot, where the color of each point represents the log of the point density, based on Gaussian Kernel Density Estimation, and (b) a histogram where each column has been normalized to one.

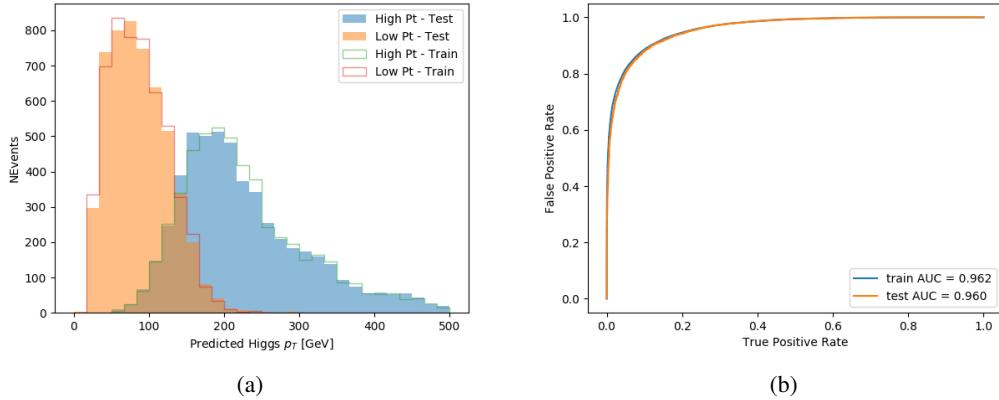


Figure A.27: (a) shows the reconstructed Higgs  $p_T$  for 2lSS events with truth  $p_T > 150$  GeV and  $< 150$  GeV, while (b) shows the ROC curve for those two sets of events.

1876 Based on the performance of the model, as shown Figures A.26 and A.27, the Higgs  
 1877 momentum can be reconstructed with fairly high precision when its decay products are correctly  
 1878 identified.

#### 1879 **A.4 Alternate b-jet Identification Algorithm**

1880 The nominal analysis reconstructs the b-jets by considering different combinations of jets, and  
 1881 asking a neural network to determine whether each combination consists of b-jets from top quark  
 1882 decays. An alternate approach would be to give the neural network about all of the jets in an event  
 1883 at once, and train it to select which two are most likely to be the b-jets from top decay. It was  
 1884 hypothesized that this could perform better than considering each combination independently, as  
 1885 the neural network could consider the event as a whole. While this is not found to be the case,  
 1886 these studies are documented here as a point of interest and comparison.

1887 For these studies, the kinematics of the 10 highest  $p_T$  jets in each event are used for  
 1888 training. This includes the vast majority of truth b-jets. Specifically the  $p_T$ ,  $\eta$ ,  $\phi$ ,  $E$ , and DL1r  
 1889 score of each jet are used. For events with fewer than 10 jets, these values are substituted with 0.  
 1890 The  $p_T$ ,  $\eta$ ,  $\phi$ , and  $E$  of the leptons and  $E_T^{\text{miss}}$  are included as well. Categorical cross entropy is  
 1891 used as the loss function.

Table 57: Accuracy of the NN in identifying b-jets from tops in 2lSS events for the alternate categorical method compared to the nominal method.

Channel	Categorical	Nominal
2lSS	70.6%	73.9%
3l	76.1%	79.8%

## 1892 A.5 Binary Classification of the Higgs $p_T$

1893 A two bin fit of the Higgs momentum is used because statistics are insufficient for any finer  
 1894 resolution. This means separating high and low  $p_T$  events is sufficient for this analysis. As  
 1895 such, rather than attempting to reconstruct the full Higgs  $p_T$  spectrum, a binary classification  
 1896 approach is explored.

1897 A model is built to determine whether  $t\bar{t}H$  events include a high  $p_T$  ( $>150$  GeV) or low  
 1898  $p_T$  ( $<150$  GeV) Higgs Boson. While this is now a classification model, it uses the same input  
 1899 features described in section 18.5. Binary crossentropy is used as the loss function.

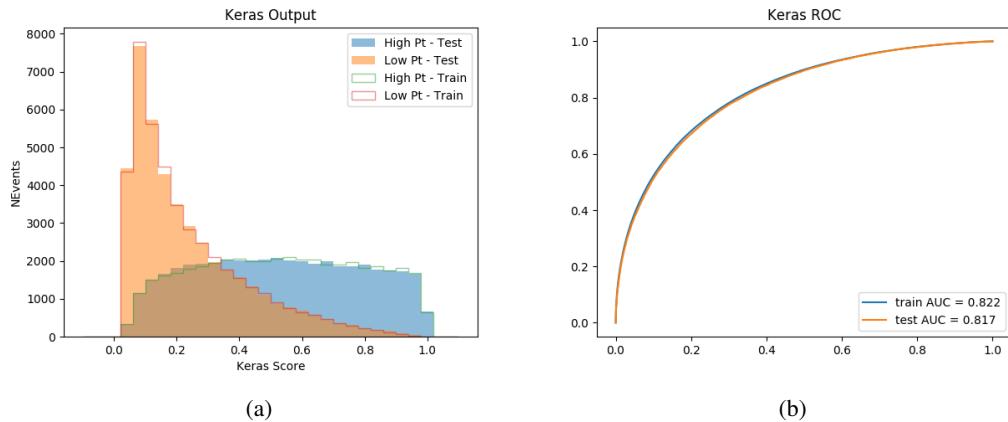


Figure A.28: Output distribution of the NN score for the binary high/low  $p_T$  separation model in the 2lSS channel.

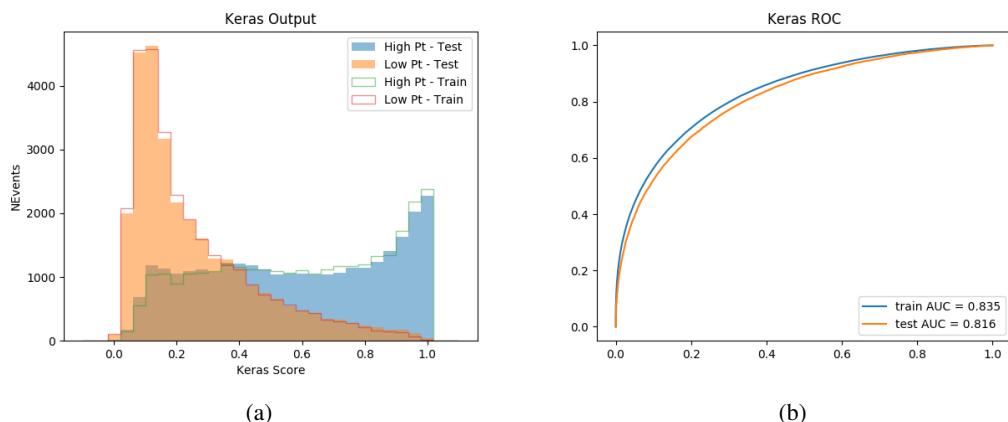


Figure A.29: Output distribution of the NN score for the binary high/low  $p_T$  separation model in the 3lS channel.

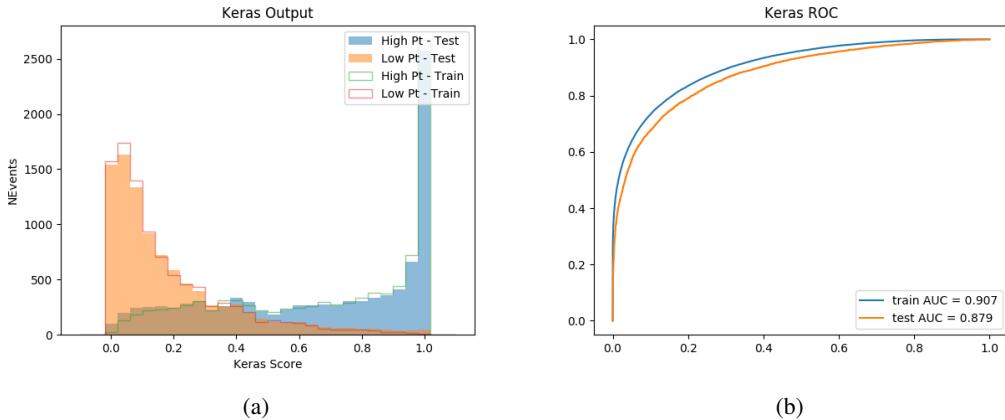


Figure A.30: Output distribution of the NN score for the binary high/low  $p_T$  separation model in the 3LS channel.

## 1900 A.6 Impact of Alternative Jet Selection

1901 A relatively low  $p_T$  threshold of 15 GeV is used to determine jet candidates, as the jets originating  
1902 from the Higgs decay are found to fall between 15 and 25 GeV a large fraction of the time. The  
1903 impact of different jet  $p_T$  cuts on our ability to reconstruct the Higgs  $p_T$  is explored here.

1904 The models are retrained in the 2LSS channel with the same parameters as those used in the  
1905 nominal analysis, but the jet  $p_T$  threshold is altered. The performance of the Higgs  $p_T$  prediction  
1906 models for jet  $p_T$  cuts of 20 and 25 GeV are shown below.

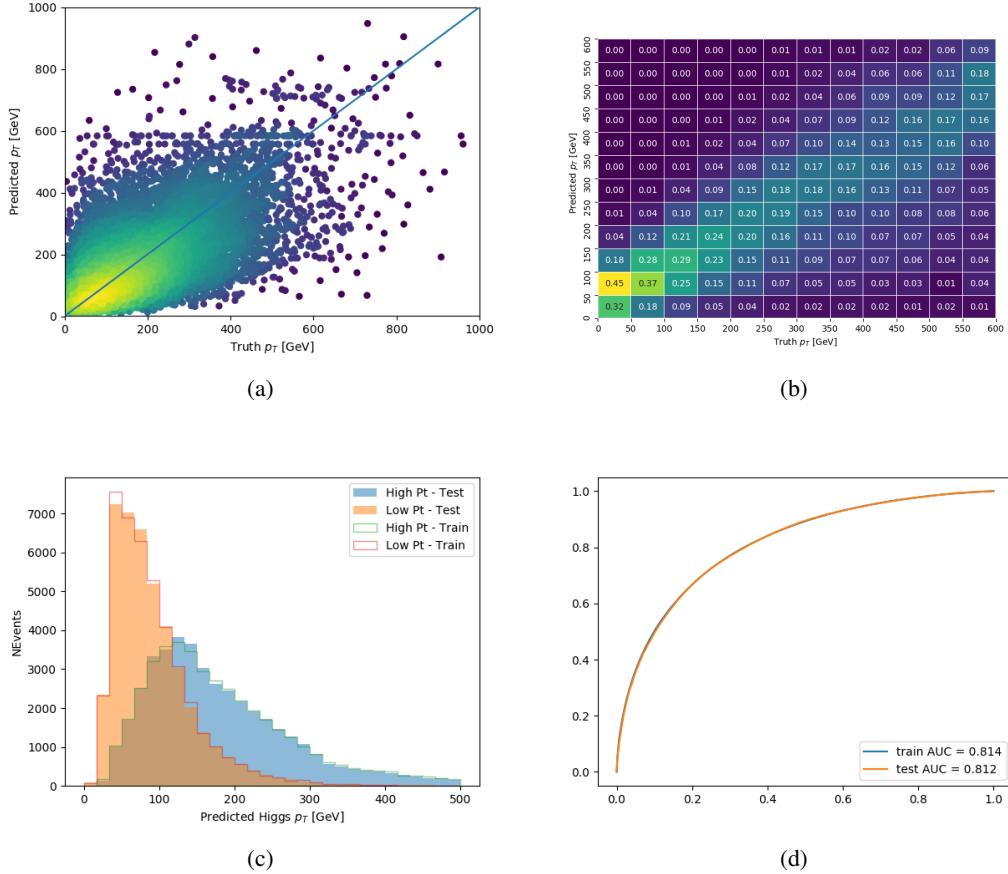
Jet  $p_T > 20$  GeV

Figure A.31: Output of the model designed to predict the Higgs momentum in the 2LSS channel, with the jet  $p_T$  cutoff used is raised to 20 GeV.

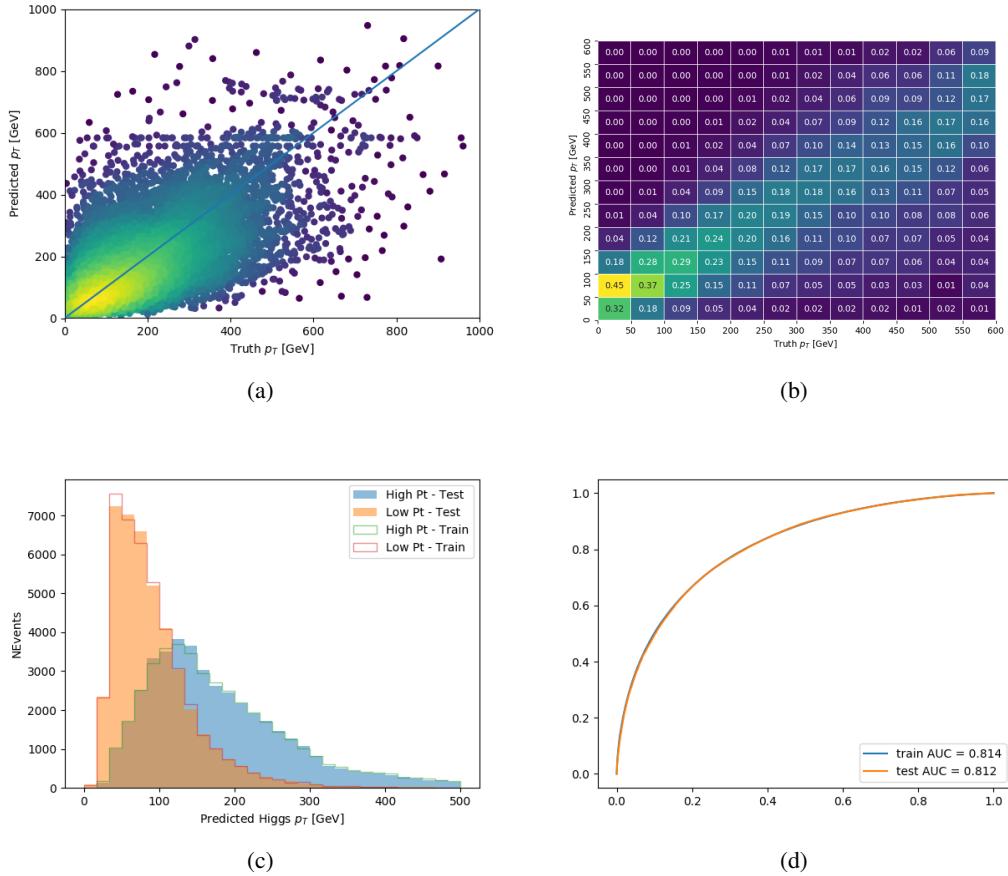
**Jet  $p_T > 25 \text{ GeV}$** 

Figure A.32: Output of the model designed to predict the Higgs momentum in the 2LSS channel, with the jet  $p_T$  cutoff used is raised to 25 GeV.

1907 **B**