

# Astroparticle physics notes

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## Introduction

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There are two courses, for Astrophysics and Cosmology and for Physics, which bear the same name. The other one is by Francesco D'Eramo: it assumes a knowledge of Quantum Field Theory.

This course, instead, only requires knowledge of Quantum Mechanics. The first part of this course is devoted to an introduction about the basics of Quantum Field Theory and gauge theories.

“By the end of the 20th century [...] we have a comprehensive, fundamental theory of all observed forces of nature which has been tested and might be valid from the Planck length scale of  $10^{-33}$  cm to the edge of the universe  $10^{28}$  cm”.  
David Gross, 2007.

The task in APP is to be able to discuss such a fundamental theory.

First of all, we need to address the two standard models: the  $\Lambda$ CDM model for cosmology and the Standard Model of particle physics.

There are points of friction between the two Standard Models. There are also several questions: neutrinos' mass, what caused inflation...

These problems have a common denominator: the interplay between particle physics, cosmology and astrophysics. What we seek is new physics, beyond the two standard models.

Books: Peskin [Pes19], “Concepts in Elementary Particle Physics”. The book is addressed to students who are not experts in QFT and particle physics, rather, it provides the fundamental knowledge for these topics.

The exam is a colloquium, an oral exam, for which we can prepare a presentation on a specific topic. There is no issue if we do not precisely remember a specific formula, it is about going deep in the concepts.

## An overview of the astroparticle physics landscape

**Fundamental particles: the SM of particle physics** Elementary particles make up ordinary matter. Fermions have spin 1/2, and are composed of quarks:

$$\begin{bmatrix} u & c & t \\ d & s & b \end{bmatrix}, \quad (1a)$$

leptons:

$$\begin{bmatrix} \nu_e & \nu_\mu & \nu_\tau \\ e & \mu & \tau \end{bmatrix}. \quad (2a)$$

The muon and tau particles are similar to electrons, but with higher mass.

These particles' interactions are mediated by 12 vector bosons, which have spin 1: these are "radiation" (the term is outdated).

1. gluons ( $g$ ) mediate the strong nuclear interaction, there are 8 of them;
2. the  $W^\pm$  and  $Z^0$  bosons mediate the weak interaction;
3. the photon ( $\gamma$ ) mediates the electromagnetic interaction.

There was a need for a mechanism to provide mass to the weak bosons and the fermions: this is accounted for by the Higgs boson, which is a scalar (that is, it has spin 0). This realizes the electroweak symmetry breaking.

The issue is that gravity is missing. In order to describe it in this scheme we would need a way to quantize it: all of these particles are actually excitations of quantum fields.

There are two marvelous 20th century theories, but they are not compatible.

**Unification of interactions** In 1687 Newton unified two domains of interactions: the terrestrial phenomena and the celestial phenomena, establishing the universality of gravitational interactions.

In 1865 Sir Maxwell unified electricity and magnetism into electromagnetism.

In 1967 Glashow, Weinberg and Salam propose the Standard Model of Particle Physics, unifying the Electromagnetic and Weak interactions. This is not a true unification: it is more appropriate to say that they are "mixed together" into the Electroweak interaction.

In the Standard Model, there is a kind of "frontier" around 100 GeV: below this energy, we see two interactions: the electromagnetic and the weak interaction. They are very much different: photons are massless, so the interaction has an infinite range, while the weak bosons are massive.

How can these be unified? We will see; above 100 GeV this apparent profound difference disappears in favour of the electroweak interaction. This is a phase transition.

Is the electroweak interaction above 100 GeV massless or not? Above this energy there is still a difference between the coupling constants of the two interactions. Above this energy, the  $W$  and  $Z$  bosons are no longer massive.

Above 100 GeV the strong interaction is separated from the electroweak one. Maybe there is an energy at which the electroweak interaction is unified with the strong one? We shall explore this topic: there are theories (Grand Unified Theories, GUT) in which there is such a unification. Also, from the 1980s there started to appear string theories, in which gravity is also unified to the other interactions, so that there is only one fundamental parameter, the “string tension”.

As the energy increases, the coupling of the strongest interactions becomes weaker.

The energy scale, however, is very large: around  $10^{16}$  GeV: this is a “science fiction” energy scale, it is extremely large. This is close to the Planck mass:  $M_P \sim 10^{19}$  GeV, so we might not be able to describe this energy range with vanilla SM.

**The Standard Model of Cosmology** The standard model in cosmology describes a **Hot Big Bang**: the ancestral temperature was very high, and gradually decreased. Now we can work backwards in our energy scale: as time progresses forward from the Big Bang, the energy of particles decreases and our particles undergo various phase transitions.

The symmetry group of the Grand Unified Theory is broken, so we get subgroups; at each transition some symmetry is broken.

The EM + weak into electroweak transition is not speculative: we have observed it at the LHC. On the other hand, the electroweak + strong into GUT transition is speculative.

When, in the expansion of the universe, we reach an energy per particle of  $\approx 1$  GeV we have a new transition: the quark-hadron one, when free quarks become confined into hadrons such as protons and neutrons.

Around 1 MeV we have a new transition: nucleosynthesis, where protons and neutrons become confined into nuclei.

Then, at the eV scale, we reach recombination, which is when the radiation we see as the CMB is released. This is where nuclei and free electrons form hydrogen atoms.

There must be new physics somewhere: there is no room in the SM for dark matter, the matter-antimatter asymmetry, the mass of neutrinos.

# Chapter 1

## The particle physics Standard Model

For this lecture, a good reference is Peskin, chapter 2 [Pes19].

We wish to describe what we described yesterday as “matter” and “radiation”.

The problem is similar to the one we have in classical mechanics, an initial value problem: given the positions and velocities of the particles at a certain starting time  $t_0$  we wish to compute their state at a later time  $t$ .

This classical description in which the particles are not wavelike fails at the microscopic level: we want to give a quantum description of such a system of particles. We will derive it from the classical description using the standard tools of quantization. We start with a refresher of the classical description.

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### 1.1 The classical description of a system of particles

Our aim is to compute and solve the equations of motion. The usual approach is to use Hamilton’s variational principle: it is the principle of least action, but it is not usually referred to as such: we are actually not *minimizing* the action but finding a *stationary point* for it. This could also be a maximum or a saddle point.

The action functional  $S$  depends on the coordinates  $q_i(t)$  of the particles at at time  $t$ , on the derivatives of these positions  $\dot{q}_i(t)$  which represent the velocities of the particles at a time  $t$ . We usually write  $S[q_i(t), \dot{q}_i(t)]$ .

If we fix  $q(t_0)$  and  $q(t_f)$ , the positions at some initial and final time  $t_f$ , we can then trace out a path  $q(t)$  and perturb it by  $\delta q(t)$ ; we fix  $\delta q(t_0) = \delta q(t_f) = 0$ .

Under this perturbation of the path  $q \rightarrow q + \delta q$ , the action changes to  $S \rightarrow S + \delta S$ . We then ask that  $\delta S = 0$ .

$S$  is an action: its dimensions are those of an energy times a time. In terms of the Lagrangian  $L$ , the action is defined as

$$S[q_i(t), \dot{q}_i(t)] = \int_{t_0}^{t_f} L(q_i(t), \dot{q}_i(t)) dt, \quad (1.1)$$

which means that the Lagrangian must have the dimensions of an energy.

Moving on from classical mechanics to classical field theory, we will make use of a quantity called the Lagrangian density  $\mathcal{L}$ , such that we recover the Lagrangian as:

$$L = \int \mathcal{L}(\phi(\vec{x}), \partial_\mu \phi(\vec{x})) d^3x . \quad (1.2)$$

From a finite number of particles we move to considering a field  $\phi(\vec{x})$ : this means that, in a certain sense, we are considering an “infinite number of particles”, the values of the field at each point in space.

The dependence of the Lagrangian on the  $q_i$  and  $\dot{q}_i$  shifted to a dependence on the spacetime coordinates  $x$  and their 4-derivatives  $\partial_\mu x$ . It could depend on many fields simultaneously, we omit this dependence for simplicity. Now, this Lagrangian density has the dimensions of an energy per unit volume.

Then, the action, computed in a region  $\Omega$  of 4-dimensional spacetime, is

$$S = \int_\Omega d^4x \mathcal{L}(\phi(x), \partial_\mu(\phi(x))) . \quad (1.3)$$

Now that we have established the notation, we can apply the action principle: we consider an infinitesimal variation of the field  $\phi \rightarrow \phi + \delta\phi$ . We require this variation to vanish not only at the initial and final time, but over all the boundary  $\partial\Omega$ :

$$\delta\phi \Big|_{\partial\Omega} = 0 . \quad (1.4)$$

Then, it can be shown with an integration by parts that imposing  $\delta S = 0$  in the region  $\Omega$  is equivalent to the Euler-Lagrange equations:

$$\frac{\partial \mathcal{L}}{\partial \phi(x)} - \frac{\partial}{\partial x^\mu} \left( \frac{\partial \mathcal{L}}{\partial (\partial_\mu \phi(x))} \right) = 0 . \quad (1.5)$$

If we have many fields  $\phi_r$ , then we have a set of E-L equations for each of them. This is still classical: for example, classical (relativistic) electrodynamics is formulated in this way.

In order to write the Hamiltonian formulation of the theory we need the momenta, which are

$$\pi(x) = \frac{\partial \mathcal{L}}{\partial \dot{\phi}(x)} , \quad (1.6)$$

where a dot denotes a time derivative. Using these we define the Hamiltonian density by

$$\mathcal{H}(x) = \pi(x) \dot{\phi}(x) - \mathcal{L}(\phi, \partial_\mu \phi) , \quad (1.7)$$

and similarly to the Lagrangian we have the full Hamiltonian  $H$

$$H = \int d^3x \mathcal{H} . \quad (1.8)$$

Now, as we quantize the theory the fields ( $\phi$  and  $\pi$ ) go from classical fields to Heisenberg-picture **operators**. As classical fields,  $\phi$  and  $\pi$  satisfy Poisson bracket relations:

$$\{\phi(\vec{x}, t), \pi(\vec{x}', t)\} = \delta^{(3)}(\vec{x}, \vec{x}') \{\phi(\vec{x}, t), \phi(\vec{x}', t)\} = 0 = \{\pi(\vec{x}, t), \pi(\vec{x}', t)\}. \quad (1.9)$$

The operatorial version, instead, will need to satisfy the classical commutation relations, which are found by substituting the Poisson bracket with a commutator divided by  $i\hbar$  [Tis20, section 2.4.2]:

$$\{\phi, \pi\} \rightarrow \frac{1}{i\hbar} [\hat{\phi}, \hat{\pi}]. \quad (1.10)$$

So, we get the following:

$$[\phi(\vec{x}, t), \pi(\vec{x}', t)] = i\hbar \delta(\vec{x} - \vec{x}') \quad (1.11a)$$

$$[\phi(\vec{x}, t), \phi(\vec{x}', t)] = [\pi(\vec{x}, t), \pi(\vec{x}', t)] = 0. \quad (1.11b)$$

Note that the commutation relations are computed *at equal time*.

### 1.1.1 A relativistic reminder

The energy-momentum four-vector is

$$p^\mu = \begin{bmatrix} E \\ \vec{p}c \end{bmatrix}, \quad (1.12a)$$

where the greek index  $\mu$  can take values from 0 to 3. A four-vector is an element of the tangent bundle to the spacetime manifold; concretely speaking, under a coordinate transformation which is locally linear and represented by a Lorentz matrix  $\Lambda^\mu_\nu$  a four-vector transforms as  $p^\mu \rightarrow \Lambda^\mu_\nu p^\nu$ .

The metric signature used here is the mostly minus one. So,  $p^\mu q_\mu = E_p E_q - \vec{p} \cdot \vec{q}$ , since we raise and lower indices using the metric  $\eta_{\mu\nu}$ .

The square norm of the 4-momentum is  $p \cdot p = p^2 = E^2 - |\vec{p}|^2 c^2$ . It is Lorentz invariant.

In the rest frame of the observer,  $p^\mu = [E_0, \vec{0}]$ , and this  $E_0$  is just ( $c^2$  times) the mass of the particle: this is the *definition* of mass.

When the relation is satisfied we have

$$p^2 = E^2 - |\vec{p}|^2 c^2 = (mc^2)^2 \quad (1.13a)$$

$$E = c \sqrt{|\vec{p}|^2 + (mc)^2}. \quad (1.13b)$$

When this relation is satisfied we say we are *on shell*: for virtual particles, instead, this might not be satisfied. This is allowed because virtual particles are described in a *quantum* theory: because of the uncertainty principle, we have uncertainty in energy if we consider short times and uncertainty in momentum if we consider small position intervals. This uncertainty means that we cannot enforce the on-shell condition as an exact equality if we



are considering processes on these small scales, such as those which we find in quantum field theory.

We will use natural units:  $\hbar = c = 1$ .

This means that we equate energies (eV) and angular velocities (Hz); also we equate times (s) and lengths (m).

The rest energy of the electron is  $m_e \approx 511 \text{ keV}$ . Let us consider an electron with a momentum  $p$  equal to its mass  $m_e$ : then, its uncertainty in position is of the order

$$\frac{\hbar}{pc} = \frac{1}{m_e} \approx 4 \times 10^{-11} \text{ cm} . \quad (1.14)$$

The dimensions of the lagrangian density, in natural units, are those of an energy to the fourth power, or a length to the  $-4$ , or a mass to the fourth.

Another useful exercise is to calculate the coupling of the electromagnetic field:

$$V(r) = \frac{e^2}{4\pi\epsilon_0 r} = \frac{e^2}{4\pi} \frac{1}{r} , \quad (1.15)$$

since we set  $\epsilon_0 = \mu_0 = 1$ . We can introduce the electromagnetic  $\alpha$ : this is

$$\alpha = \frac{e^2}{4\pi} \times \frac{1}{\hbar c} . \quad (1.16)$$

This then becomes adimensional:  $\alpha \approx 1/137$ . It represents the strength of the electromagnetic interaction: the strength of the coupling of the photon to the electron. The fact that it is  $\sim 10^{-2}$  is important: it allows us to work in a perturbative way, in powers of  $\alpha$ .

What is the coupling of the strong and weak interactions? This will be discussed.

Next time, we will discuss symmetries and symmetry breaking.

## 1.2 Symmetries and conservation laws

Our aim is to describe the fundamental constituents of matter with a Quantum Field Theory. The method used to derive the equations of motion is a variational principle: we will find a Lagrangian density for various particles, and then apply the variational principle to find their equations of motion.

A guiding principle on the description of these fundamental particles is based on using their symmetries. We have Nöether's theorem in Quantum Field Theory: from these symmetries we are able to find conserved quantities.

These symmetries are described with groups, since we can compose their application; the theory describing groups is very rich. For this lecture we will base ourselves on Peskin's chapter 2 [Pes19].

A group  $G$  is a set of elements endowed with an operation. The set of elements can be either discrete or continuous. Examples of discrete transformations are the parity transformation  $P$ :  $P\vec{x} = -\vec{x}$  and the time swap  $T$ :  $Tx^\mu = (-x^0, \vec{x})$ . Continuous symmetries, on the other hand, are parametrized by one or more continuous-valued parameters.

We distinguish:

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1. **spacetime** symmetries: groups which transform our coordinate system for spacetime, such as Lorentz and Poincaré transformations;
2. **internal** symmetries: groups which transform a certain field, or a certain property of our quantum system.

For our set to be a group, we need to be able to define an operation — we will usually call it multiplication — between the elements of the group, such that if  $a, b \in G$  then  $ab \in G$ . Also, we must have

1. associativity:  $(ab)c = a(bc)$ ;
2. existence of the identity  $\mathbb{1}$ , such that  $\mathbb{1}a = a\mathbb{1} = a$ ;
3. existence of inverses: there exists  $a^{-1}$  such that  $aa^{-1} = a^{-1}a = \mathbb{1}$ .

What is of interest to us is the association of the group with a transformation which is a symmetry: this is called a *representation*, which associates to each  $g \in G$  a unitary operator  $U_g$  acting on the quantum states. We ask that this representation should preserve the group structure, that is to say,  $U_{gh} = U_g U_h$  and  $U_{g^{-1}} = U_g^{-1}$ .

We call a transformation a symmetry if, after performing the transformation, the dynamics of the system do not change.

For a quantum mechanical system, we are interested in the observables: these are described by operators, whose eigenvalues are the observations we make, and which in the Heisenberg picture evolve like

$$-i\hbar \frac{d}{dt} O(t) = [H, O(t)]; \quad (1.17)$$

if an operator commutes with the Hamiltonian,  $[H, O] = 0$ , then the operator's expectation value on any state is constant — which is to say, the operator is constant.

If we perform a transformation in the form

$$|\psi\rangle \rightarrow |\psi'\rangle = U |\psi\rangle, \quad (1.18)$$

then the operators will change by

$$O \rightarrow O' = U^\dagger O U. \quad (1.19)$$

Note that whether we have  $U^\dagger O U$  or  $U O U^\dagger$  does not matter, since we ask observables  $O$  to be Hermitian, so  $O = O^\dagger$ .

We know that these transformations must always be unitary, because the conservation of probability implies that we must have  $\langle \psi | \psi \rangle = \text{const}$ : so,

$$U^\dagger U = \mathbb{1}. \quad (1.20)$$

This can be also stated as  $U^\dagger = U^{-1}$ .

So, the function associating a unitary operator  $U$  to an element  $g$  of the group is called its *unitary representation*.

A transformation  $G$  is a symmetry if  $\forall a \in G$  we have

$$[U(a), H] = 0, \quad (1.21)$$

that is, the unitary representation of the group element always commutes with the Hamiltonian.

If we have a state  $|\psi\rangle$  with energy  $H|\psi\rangle = E|\psi\rangle$ , then the transformation commuting with the Hamiltonian means that  $|\psi'\rangle = U|\psi\rangle$  has the same energy:

$$H(U|\psi\rangle) = HU|\psi\rangle \stackrel{[H,U]=0}{=} UH|\psi\rangle = UE|\psi\rangle = E(U|\psi\rangle), \quad (1.22)$$

so the eigenvalue of  $U|\psi\rangle$  is the same as that of  $|\psi\rangle$ .

Now, we can move to an example, taken from Peskin [Pes19, eq. 2.38 onward]. Consider the discrete group  $\mathbb{Z}_2$ , which only has the elements 1 and  $-1$ , with the same multiplication rules as those we would have if these elements were integers. So, the group is closed with respect to multiplication. It can be easily checked that this is indeed a group based on our definition.

In order for this to be of interest to us, we can consider a quantum mechanical system and find a unitary representation acting on its Hilbert space.

Let us suppose we have a QM system with a basis made of two states  $|\pi^+\rangle$  and  $|\pi^-\rangle$ . Let us define the *charge conjugation* operator  $C$ , by:

$$C|\pi^+\rangle = |\pi^-\rangle \quad \text{and} \quad C|\pi^-\rangle = |\pi^+\rangle. \quad (1.23)$$

So, we can find a unitary representation of  $\mathbb{Z}_2$  in this system: we need to define  $U(1)$  and  $U(-1)$ . We define

$$U(1) = \mathbb{1} = \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix} \quad \text{and} \quad U(-1) = \sigma_x = \begin{bmatrix} 0 & 1 \\ 1 & 0 \end{bmatrix}, \quad (1.24a)$$

where the matrices are to be interpreted as acting on vectors expressed to the basis  $\{|\pi_+\rangle, |\pi_-\rangle\}$ .

So, we can say that our unitary representation looks like

$$\mathbb{Z}_2 \rightarrow \{\mathbb{1}, C\}. \quad (1.25)$$

Now, if  $[C, H] = 0$  (and  $\mathbb{1}$  commutes with  $H$ , which is always the case) then we say that “ $H$  has the symmetry  $\mathbb{Z}_2$ ”: this implies that the energies of the two  $\pi_\pm$  particles are equal.

The interesting question to determine will be whether this is actually the case for our given group.

Groups can be subdivided into abelian and non-abelian ones. A group is abelian if for every  $a, b$  in  $G$  we have  $ab = ba$ , or equivalently,  $[a, b] = 0$ . It is not if this is not the case, that is, there exist  $a, b$  such that  $ab \neq ba$ .

The condition on the elements directly translates to a condition on the matrices of the unitary representation. If we have commuting matrices, we can simultaneously diagonalize them: for example, in the case of  $\mathbb{Z}_2$  we can go to a basis in which

$$C = \begin{bmatrix} 1 & 0 \\ 0 & -1 \end{bmatrix}, \quad (1.26a)$$

specifically the states on which this matrix will act will need to be

$$|\pi_1\rangle = \frac{|\pi^+\rangle + |\pi^-\rangle}{\sqrt{2}} \quad \text{and} \quad |\pi_2\rangle = \frac{|\pi^+\rangle - |\pi^-\rangle}{\sqrt{2}}, \quad (1.27)$$

since then  $C|\pi_1\rangle = |\pi_1\rangle$  (we write  $C = +1$ ) and  $C|\pi_2\rangle = -|\pi_2\rangle$  (we write  $C = -1$ ). We will often use this notation, confusing operator and eigenvalue.

In the case of nonabelian groups it is not in general possible to diagonalize all the matrices; we can however do a change of basis and write the matrices as a block matrix with the smallest possible blocks:

$$U_R = \begin{bmatrix} U_1 & 0 & 0 \\ 0 & U_2 & 0 \\ 0 & 0 & \dots \end{bmatrix}, \quad (1.28a)$$

where the matrices  $U_i$  are called the **irreducible unitary representations** of  $G$ . The dimension of the matrices  $U_i$  tells us the dimension of these irreducible unitary representations.

Add more details on irreps — maybe not here? They can be found in professor Rigolin's intro to groups.

Do note that some elements of a nonabelian group can commute: for example, in the rotation group we have

$$[J^i, J^j] = \epsilon^{ijk} J_k, \quad (1.29)$$

so if we take  $i = j$ , that is, we consider rotations along the same axis, they will commute since then the Kronecker symbol is equal to zero.

### 1.2.1 Continuous transformations: space translations

An element of the group can be written as

$$U(a) = e^{-iaP}, \quad (1.30)$$

where the operator  $P$ , whose eigenvalue is the momentum, is called the generator of the transformation.

If we consider a plane wave we can clearly see how this action works: if we start from

$$\langle x|p\rangle = e^{ipx}, \quad (1.31)$$

we can apply the operator  $U(a)$  to  $|p\rangle$ , which will yield  $e^{-ipa}$  (since eigenvectors of an operator are also eigenvectors of its exponential): so we find

$$\langle x|U(a)|p\rangle = e^{ip(x-a)}, \quad (1.32)$$

which means that by acting with this operator we have effectively performed a translation with displacement  $a$ .

If our system is invariant under translations, then Nöether's theorem tells us that the momentum is conserved.

In order to be a physical observable  $P$  needs to be Hermitian:  $P = P^\dagger$ .

So, the adjoint of the transformation  $U(a)$  is

$$U^\dagger(a) = \sum_n \left( \frac{(-iaP)^n}{n!} \right)^\dagger = \sum_n \frac{(iaP^\dagger)^n}{n!} = e^{iaP^\dagger} = e^{iaP} = U^{-1}(a), \quad (1.33)$$

which confirms the fact that the transformation is unitary.

Let us suppose that the momentum operator  $P$  commutes with the Hamiltonian:  $[P, H] = 0$ . Then,

$$[U(a), H] = 0, \quad (1.34)$$

that is, the Hamiltonian is translation-invariant.

All this is to say that a constant of motion  $O$  corresponds to an operator  $O$  which commutes with the Hamiltonian. This is formalized by Nöether's theorem, which establishes the equivalence between symmetries and conservation laws:

$$[O, H] = 0 \iff [U_O, H] = 0. \quad (1.35)$$

As an example, take the group  $G$  of 3D rotations. They depend on a continuous parameter  $\vec{\alpha}$ , just like translations depended on the parameter  $a$ .

The rotation is written as

$$U(\vec{\alpha}) = e^{-i\vec{\alpha} \cdot \vec{J}}, \quad (1.36)$$

where the components of the angular momentum have the following commutation relations:

$$[J^i, J^j] = i\epsilon^{ijk} J^k. \quad (1.37)$$

We will be able to compose the representations of rotations:

$$U(\vec{\beta})U(\vec{\alpha}) = U(\vec{\gamma}). \quad (1.38)$$

This space of 3D rotations is called  $SO(3)$ , since every rotation corresponds to a 3x3 matrix which is a rotation matrix — it is orthogonal and has determinant 1.

Now, we seek **representations** of these rotations: so, we choose the dimension  $d$  of a quantum-mechanical vector and describe how it changes upon the action of the unitary matrices found by exponentiating certain  $d$ -dimensional generators  $J^i$ , which must have the algebra discussed above.

If we look for 1D representations of the generators  $J^i$  the only option we find is  $J^i = 0$ , which means that we are not actually performing a rotation. This is because scalars commute with each other. Which states transform this way? These are scalar states, with spin 0.

For 2D representations, we have

$$J^i = \frac{1}{2}\sigma^i, \quad (1.39)$$

where the  $\sigma^i$  are the Pauli matrices.

We can also find 3D representations, which look like

$$J^1 = \begin{bmatrix} 0 & 0 & 0 \\ 0 & 0 & -i \\ 0 & i & 0 \end{bmatrix} \quad J^2 = \begin{bmatrix} 0 & 0 & i \\ 0 & 0 & 0 \\ -i & 0 & 0 \end{bmatrix} \quad J^3 = \begin{bmatrix} 0 & -i & 0 \\ i & 0 & 0 \\ 0 & 0 & 0 \end{bmatrix} \quad (1.40a)$$

and represent a spin 1 particle. In general, spin  $s$  corresponds to a  $2s + 1$ -dimensional representation.

A rotation in 2D, represented by an element of  $SO(2)$ , corresponds to a phase shift, so we can say that it is equivalent to an element of  $U(1)$ . This then allows us to see that  $SO(2)$  is abelian.

In general, we write for a unitary  $n \times n$  representation

$$U(n) \rightarrow e^{-i\alpha^n t^a}, \quad (1.41)$$

where the generators  $t^a$  are Hermitian matrices corresponding to Hermitian operators. In particular, conventionally we say that one of these is the identity:  $t^0 = \mathbb{1}$  (which must always be included in the group, lest we lose closure).

So, we omit it and say that we have  $n^2 - 1$  generators for the  $SU(n)$  group. We shall see that each of these generators corresponds to a particle, and for the weak interaction we will have  $2^2 - 1 = 3$  particles, while for the strong one we will have  $3^2 - 1 = 8$ .

In general, if  $t^a$  are the generators of an abstract Lie group, we can describe the algebra of the group by

$$[t^a, t^b] = if^{abc}t^c, \quad (1.42)$$

so, the commutator is decomposed into a linear combination of the generators, whose coefficients  $f^{abc}$  are called the **structure constants** of the group.

Yesterday we mentioned the fact that for group symmetries we can find corresponding conservation laws.

Invariance under spacetime translations gives us the conservation of 4-momentum  $p^\mu$ . Invariance under the Lorentz group gives us conservation of angular momentum (for rotation).

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### 1.2.2 Discrete symmetries

The symmetry in which we reverse the spatial coordinates is called parity  $P$ , if we reverse the time coordinate we have time reversal  $T$ , and later we will discuss the internal symmetry of charge conjugation  $C$ .

More precisely, if  $x^\mu = (x^0, \vec{x})$  we have

$$Px^\mu = (x^0, -\vec{x}) \quad (1.43a)$$

$$Tx^\mu = (-x^0, \vec{x}). \quad (1.43b)$$

These are Lorentz transformations represented by matrices with negative determinants:  $\det \Lambda_P = \det \Lambda_T = -1$ . This means that we cannot obtain these transformations with a composition of proper orthochronal Lorentz transformations — those defined to be continuously connected to the identity —, since the determinant of a Lorentz transformation is always  $\pm 1$ , and it is a continuous function of the Lorentz transformation.

In quantum mechanics, these must be interpreted like operators. Their eigenvalues will be  $\pm 1$ .

These transformations being symmetries is an experimental question.  $P$  and  $T$  are symmetries of the strong and electromagnetic interactions.

The weak interaction, instead, does not conserve  $P$ .

We defined the charge conjugation operator  $C$  by its action on the  $|\pi^+\rangle$  and  $|\pi^-\rangle$ , on the basis defined by them its matrix representation was  $\sigma_x$ . It commuted with the Hamiltonian.

In general, this swaps not only the electric charge but all the quantum numbers, including the “hypercharges” such as baryon number. The charge conjugation operator  $C$  gives us the antiparticle of a certain particle, so it must flip all of the charges. There are, however, theories in which, say, lepton number conservation is broken but baryon number is conserved. The precise meaning of this operator depends on the theory.

If we constructed our experiments with antimatter would we get the same physics?

It was experimentally determined that weak interactions violated parity, and it was thought that baryon number was conserved: however in the early universe we would expect to have equal amounts of matter and antimatter, but this is not what we see — we are made of matter, and we do not see the gamma ray background we would expect to see if there were matter and antimatter spacetime regions.

Another important concept is that of the *intrinsic parity* of a particle: consider a state of a particle  $A$  with momentum  $\vec{k}$ , denoted as  $|A(\vec{k})\rangle$ . Then, upon application of  $P$  we can have

$$P|A(\vec{k})\rangle = \pm |A(-\vec{k})\rangle, \quad (1.44)$$

where the sign depends on the properties of the particle.

We can apply several “mirrors” to our system: this amounts to the composition of the operators. There is a theorem in Quantum Field Theory: if a QFT is consistent, then it must obey  $CPT$  symmetry. After passing through all of the three mirrors, the system has the same physical properties. The order of the three symmetries does not matter: they commute.

The conservation of the electric charge  $Q$ , for example, is connected to  $U(1)_{\text{em}}$  symmetry. This is an *exact* symmetry, which we expect not to break down at higher energy.

On the other hand,  $C$ ,  $P$  and  $T$  are not exact symmetries since there exist some interactions which violate them (separately:  $P$  and  $CP$  are violated, so  $T$  is also violated by the  $CPT$  theorem).

### 1.3 Relativistic wave equations

In quantum mechanics we describe the dynamics of a quantum system using the Schrödinger equation:

$$E = \frac{\vec{p}^2}{2m} + V, \quad (1.45)$$

where  $E = i\partial_t\psi$  and  $\vec{p}^2 = -\vec{\nabla}^2\psi$ .

This is non (special) relativistic: if we perform a Lorentz boost the equation does not remain in the same form. This is explicit, in that we have an addition of first time derivatives and second space derivatives, while in SR time and space are on the same footing.

Also, this equation describes the dynamics of one electron. In elementary particle physics it is no longer *consistent* to only consider one particle: when the energies are of the order of the mass of the particles we can create antiparticles or other particles. So, in general there is no reason to expect that the number of particles is conserved in particle physics.

Formally, it is hard to define from the Schrödinger equation a conserved quantity connected to the probability of finding the particle. It does not account for the possibility that the particle might appear or disappear. For example, we can have matter-antimatter collisions: this is called *annihilation*, and the two incoming particles disappear completely.

The equation  $E = \vec{p}^2/2m$  is intrinsically nonrelativistic; the corresponding relativistic relation is  $E^2 = \vec{p}^2 + m^2$ .

We can make the same canonical quantization substitutions to get

$$\left(\frac{\partial^2}{\partial t^2} - \vec{\nabla}^2 + m^2\right)\phi(t, \vec{x}) = 0. \quad (1.46)$$

Why should we use  $E^2 = \vec{p}^2 + m^2$  instead of, say,  $E = \sqrt{\vec{p}^2 + m^2}$ ? The problem is that it is hard to see what could be meant by the square root of an operator. Anyways, later we shall use the approach of “taking the square root” in order to solve the KG equation. We can write this in a manifestly covariant way as

$$\left(\partial^\mu\partial_\mu + m^2\right)\phi(t, \vec{x}) = 0, \quad (1.47)$$

where  $\partial_\mu = (\partial_t, \vec{\nabla})$ , whose square  $\partial^\mu\partial_\mu = \partial_t^2 - \vec{\nabla}^2 = \square$  is the D'Alembertian.

This is the Klein-Gordon equation. As long as  $\phi$  is a scalar, this is a scalar Lorentz invariant equation.

It should be used to describe a spin-0 particle, since we are not accounting for spin: the only spin-0 elementary particle known is the Higgs Boson. All other spin-0 particles are composite.



A crucial fact in the KG equation is the fact that the energy can in principle be both positive and negative:  $E = \pm \sqrt{\vec{p}^2 + m^2}$ . A seemingly reasonable approach would be to not bother treating the “unphysical”  $E < 0$  solution; however this is wrong, the negative energy solution is important.

This was a great open debate last century. We will be given the solution, but it would not have easy to figure it out.

This is the reason why people started discussing antiparticles.

An interesting question now is: can we define an action

$$S[\phi(x)] = \int d^4x \mathcal{L}(\phi, \partial_\mu \phi) \quad (1.48)$$

whose actions of motion are the KG equation? The answer is yes, with

$$\mathcal{L} = \frac{1}{2} \left( \partial^\mu \phi \partial_\mu \phi - m^2 \phi^2 \right). \quad (1.49)$$

To show that this is the case is left as an exercise. Notice that we talk of “Lagrangians” but we always mean Lagrangian densities. The corresponding Hamiltonian density  $\mathcal{H}$  has a vacuum state we can call  $|0\rangle$ , which corresponds to the absence of particles.

We will then have states describing  $n$  particles of mass  $m$ .

Next time, we will move from the KG equation with  $\phi$  being just a wavefunction to it being an operator, which can act on the vacuum creating particles.

This is sometimes called “second quantization”, to distinguish it from the first quantization, in which operators act on wavefunctions.

Last week, we moved from the usual Schrödinger equation to the Klein Gordon equation by moving from  $E = p^2/2m$  to  $E^2 = p^2 + m^2$ . The latter is covariant under Lorentz transformations.

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There are, however, two issues with the Schrödinger equations: one is that it is not relativistic, while the second one is more subtle.

The Schrödinger equation describes the evolution of a single particle in time, while when we deal with elementary particles a one-particle description is unsuitable: we must have conservation of probability, so we are unable to describe situations in which a particle disappears by decaying into other particles, or we have inelastic collisions.

This is the reason why we need a multiparticle description. An example of the issues which arise in the single-particle relativistic description is the Klein paradox.

So, we will introduce the so-called second quantization formalism. We are going to interpret  $\phi$  as a **quantum field operator**, instead of a scalar field. Let us make this explicit. We take the KG equation from the first quantization to the KG equation describing a Quantum Field Theory.

$\phi(x)$  will be an operator which can destroy or create particles. We start from the quantization of the Hamiltonian density,  $\mathcal{H}$ : we consider its ground state  $|0\rangle$ . This corresponds to a state in which there is no particle, and is called the **vacuum** state.

We will also have higher-energy states, in which we will have one or more particles: how do we describe these? A one particle state  $|\varphi_1(p)\rangle$  can be acted upon by the operator

$\phi(x)$ : it is destroyed, yielding a state which is proportional to the vacuum. Formally, we have

$$\langle 0 | \phi(x) | \varphi_1(p) \rangle = e^{-ipx}, \quad (1.50)$$

where  $p^0$  is the positive energy:  $p^0 = +E_p = +\sqrt{\vec{p}^2 + m^2}$ . For a more in-depth discussion of the second-quantization formalism, see the Theoretical Physics notes [Tis20, section 2.4].

Now, let us consider the complex conjugate of this matrix element: we swap the bra and ket and take the adjoint of the operator, to get

$$\langle \varphi_1(p) | \phi^\dagger(x) | 0 \rangle = e^{ipx}. \quad (1.51)$$

If we interpret  $\phi^\dagger$  as acting on the right on the vacuum, we must say that it creates a particle at the location  $x$ , with indeterminate momentum.

This means that, if the first equation describes a particle propagating with momentum  $p^\mu$ , this new equation will now describe a particle propagating with momentum  $-p^\mu$ .

This will now have a negative energy. This was a problem historically, now we give the solution directly.

The field  $\phi$  can be either real or complex: that is,  $\phi$  can be either equal to  $\phi^\dagger$  or not. Let us consider the complex case: we introduce a particle  $|\varphi_2(p)\rangle$ , such that it is destroyed by the operator  $\phi^\dagger$ :

$$\langle 0 | \phi^\dagger(x) | \varphi_2(p) \rangle = e^{-ipx}, \quad (1.52)$$

so now this particle has the same mass  $m$ , but — as it is shown by Peskin [Pes19, sec. 3.5], this new particle  $|\varphi_2\rangle$  differs from  $|\varphi_1\rangle$  for the charge, which is now opposite.

This means that the complex field describes a **charged** particle. The particle described by  $\phi^\dagger$  is called the **antiparticle** of that described by  $\phi$ .

Do note that charge does not exclusively mean electric charge! We can also have other kinds of charges. For example, neutrinos have the charge of lepton number.

Particles can be their own antiparticles, if they have zero charge. So, we can interpret the negative energy solution as the presence of an antiparticle: a negative energy particle would correspond to a positive energy antiparticle.

A generic field theory is defined by its action, which is written from the density Lagrangian: a free Lagrangian is

$$\mathcal{L} = \frac{1}{2} \left( \partial^\mu \phi \partial_\mu \phi - m^2 \phi^2 \right), \quad (1.53)$$

and if we impose  $\text{var}(S) = 0$  we get precisely the KG equation as our equation of motion.

### 1.3.1 Spin 1

We discuss 3D vectors  $V^i$ , which transform under rotations  $R_j^i \in SO(3)$  as

$$V^i(x) \rightarrow V'^i(x') = R_j^i V^j(R^{-1}x). \quad (1.54)$$

What?  $x$  is contravariant...

Now, the matrix element from before reads

$$\langle 0 | V^i(x) | v(p, \epsilon) \rangle = \epsilon^i e^{-ipx}, \quad (1.55)$$

where we need to account for the momentum  $p$  and the polarization  $\epsilon^i$ . If we want to move to a relativistic description, we get the same thing, with the spatial index  $i$  being replaced by a 4-dimensional index  $\mu$ :

$$\langle 0 | V^\mu(x) | v(p, \epsilon) \rangle = \epsilon^\mu e^{-ipx}. \quad (1.56)$$

The problem is now the normalization of these states: what is the value of  $\langle v | v \rangle$ ? This will be proportional to  $\epsilon^\mu \epsilon_\mu$ ; but in general this is neither positive definite nor negative definite, since  $\epsilon^\mu$  could be timelike or spacelike *a priori*. We know that the photon has two physical helicities, which are transverse degrees of freedom. Since we know that those are physical and spacelike (with negative norm in our convention), we are tempted to say that the probability must be a positive multiple of  $-\epsilon^\mu \epsilon_\mu > 0$ : but then the timelike polarization has negative probability, and the longitudinal one does not belong (since it is known from classical electromagnetism that the photon only has the two transverse ones). The longitudinal polarization and the timelike one must be somehow forbidden.

This is in general a problem. It can be solved by a hack which is called the Gupta-Bleuler condition [Tis20, sec. 2.8].

The electromagnetic four-potential is defined as

$$A^\mu = (\varphi(x), \vec{A}), \quad (1.57)$$

and the EM field strength is  $F^{\mu\nu} = 2\partial^{[\mu} A^{\nu]}$ . So, we have

$$F^{i0} = -\nabla^i \varphi - \partial_t A^i = E^i \quad (1.58a)$$

$$F^{ij} = -2\nabla^{[i} A^{j]} = \epsilon^{ijk} B^k. \quad (1.58b)$$

The Maxwell equations follow from the density Lagrangian

$$\mathcal{L} = -\frac{1}{4} F^{\mu\nu} F_{\mu\nu} - j^\mu A_\mu, \quad (1.59)$$

where  $j^\mu$  is an external current. This yields  $\partial_\mu F^{\mu\nu} = j^\nu$ .

The photon is a massless vector boson. This description applies in general to a massless vector field. Are there massive vector fields? Yes, the weak interaction is described by a massive vector boson  $W_\mu^\pm$ .

### 1.3.2 Spin 1/2

Now we discuss spin 1/2 particles: we will need to have first derivatives on either side, as opposed to the second equations in the KG equation.

Our ansatz for what will be called the Dirac equation is:

$$i\partial_t = -i\vec{\alpha} \cdot \vec{\nabla} + \beta m. \quad (1.60)$$

Is it possible to find four numbers (3 encoded in the vector  $\vec{\alpha}$ , one more in  $\beta$ ) so that the square of this relation is  $E^2 = p^2 + m^2$  and that we still retain Lorentz invariance?

If we try to impose these conditions, we find that there are no solutions: there are no such four numbers.

We can, however, find a solution if we allow  $\vec{\alpha}$  and  $\beta$  to be matrices: specifically,  $4 \times 4$  matrices, which must obey the **anticommutation relations**:

$$\{\alpha_i, \alpha_j\} = 2\delta_{ij} \quad \text{and} \quad \{\alpha_i, \beta\} = 0, \quad (1.61)$$

where we used the commutator:  $\{a, b\} = ab + ba$ , and now we define

$$\gamma^0 = \beta \quad \text{and} \quad \gamma^i = \beta\alpha^i, \quad (1.62)$$

which must be 4D, as we said, and the simplest representation is called the Dirac representation:

$$\gamma^0 = \begin{bmatrix} \mathbb{1} & 0 \\ 0 & \mathbb{1} \end{bmatrix} \quad \text{and} \quad \gamma^i = \begin{bmatrix} 0 & \sigma^i \\ \sigma^i & 0 \end{bmatrix}. \quad (1.63a)$$

It can be verified that then

$$\{\gamma^\mu, \gamma^\nu\} = 2\eta^{\mu\nu}. \quad (1.64)$$

We can move between representations of these matrices using unitary transformations. Inserting these, we find:

$$\left[ i\gamma^0 \frac{\partial}{\partial t} + i\vec{\gamma} \cdot \vec{\nabla} - m\mathbb{1} \right] \varphi(x) = 0, \quad (1.65)$$

which means that the wavefunction must be 4-dimensional as well, since we are acting on it with a 4D operator. We are going to call such an object a **spinor**. If we denote  $\gamma^\mu = (\gamma^0, \vec{\gamma})$  we can write the Dirac equation as

$$(i\gamma^\mu \partial_\mu - m)\varphi(x) = 0 \quad (1.66a)$$

$$(i\cancel{\partial} - m)\varphi(x) = 0, \quad (1.66b)$$

where we have defined the notation  $\cancel{x} = \gamma^\mu x_\mu$ . As we shall see tomorrow morning, this equation is extremely rich in structure.

In the Westminster abbey, this equation is inscribed as a homage to Paul Dirac.

Today we are going to examine the third case of wave equations: we discussed the KG equation for a scalar particle, then we moved to a vector particle, and now we are going to consider a spin-1/2 particle.

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One has to prove that the equation  $(i\partial - m)\varphi(x) = 0$  is Lorentz-covariant. Also, solutions of the Dirac equation are also solutions of the Klein-Gordon equation, therefore they satisfy  $E^2 = p^2 + m^2$ . The latter is relatively easy to prove: we apply the operator  $i\partial + m$  to the Dirac equation and find

$$(i\partial + m)(i\partial - m)\psi(x) = 0 \quad (1.67)$$

$$\left(-\gamma^\mu \gamma^\nu \partial_\mu \partial_\nu - m^2\right)\psi(x) = 0 \quad (1.68)$$

$$(\square + m^2)\psi(x) = 0, \quad (1.69)$$

where we used the fact that, since the derivatives  $\partial_\mu \partial_\nu$  commute, we can substitute  $\gamma^\mu \gamma^\nu$  with half of their anticommutator, which equals  $\eta^{\mu\nu}$ .

Since we have proven the equivalence, we expect the Dirac equation to also have negative energy solutions.

Proving the covariance is harder, even though the equation looks covariant, since  $\gamma^\mu$  does not transform as a vector *a priori*.

The object  $\psi(x)$  is a spinor: it is neither a scalar, nor a vector. A priori we can say that its transformation law will look like

$$\psi(x) \rightarrow \psi'(x) = S(\Lambda)\psi(x), \quad (1.70)$$

where  $S(\Lambda)$  is a unitary transformation associated with the Lorentz transformation  $\Lambda$ , and by imposing the covariance of the Dirac equation we find that we must have

$$S(\Lambda)\gamma^\mu S^{-1}(\Lambda) = \left(\Lambda^{-1}\right)^\mu_\nu \gamma^\nu. \quad (1.71)$$

So, in order to find the explicit form of  $S(\Lambda)$  we write an infinitesimal Lorentz transformation: it can be shown that we can write it as

$$\Lambda^\mu_\nu = \eta^\mu_\nu + \delta\omega^\mu_\nu, \quad (1.72)$$

where  $\delta\omega^\mu_\nu$  is an antisymmetric matrix, if it has nonzero  $0i$  components it gives boosts, if it has nonzero  $ij$  components it gives rotations. The result for the form of  $S$  is:

$$S = \mathbb{1} + \frac{1}{8} [\gamma_\mu, \gamma_\nu] \delta\omega^{\mu\nu}. \quad (1.73)$$

If we make a rotation, for example, we get

$$\psi(x) \rightarrow \exp\left(i\frac{1}{2} [\gamma_i, \gamma_j] \delta\omega^{ij}\right)\psi(x), \quad (1.74)$$

and typically one uses the shorthand rotation

$$\frac{i}{2} [\gamma_i, \gamma_j] \stackrel{\text{def}}{=} \sigma_{ij}. \quad (1.75)$$

If, for example, we want to perform a rotation by an angle  $\varphi$  around the  $z$  axis we get

$$\psi'(x') = S(\Lambda)\psi(x) = \exp\left(\frac{i}{2}\varphi\sigma_{12}\right)\psi(x), \quad (1.76)$$

where

$$\sigma_{12} = \frac{i}{2} [\gamma^1, \gamma^2] = \begin{bmatrix} \sigma_3 & 0 \\ 0 & \sigma_3 \end{bmatrix}, \quad (1.77)$$

where we used the fact that  $[\sigma_i, \sigma_j] = i\epsilon_{ijk}\sigma_k$ .

This means that a spinor  $\psi(x)$  reacts in a peculiar way to rotations: it rotates by an angle  $\varphi/2$  if we perform a Lorentz rotation of an angle  $\varphi$ ; its periodicity is  $4\pi$ .

We introduce the *chiral representation* of the gamma matrices:

$$\gamma^0 = \begin{bmatrix} 0 & -\mathbb{1} \\ -\mathbb{1} & 0 \end{bmatrix} \quad \text{and} \quad \vec{\gamma} = \begin{bmatrix} 0 & \vec{\sigma} \\ -\vec{\sigma} & 0 \end{bmatrix}. \quad (1.78a)$$

Then, for Lorentz boosts we have

$$\sigma_{0i} = \frac{1}{2} [\gamma_0, \gamma_i] = -i \begin{bmatrix} \sigma_i & 0 \\ 0 & -\sigma_i \end{bmatrix}, \quad (1.79a)$$

while for rotations we have

$$\sigma_{ij} = \frac{i}{2} [\gamma_i, \gamma_j] = \epsilon_{ijk} \begin{bmatrix} \sigma_k & 0 \\ 0 & \sigma_k \end{bmatrix}, \quad (1.80a)$$

which is useful since it gives us block-diagonal matrices. So, we can interpret the spinor as being made up of two components:

$$\psi(x) = \begin{bmatrix} \psi_1 \\ \psi_2 \\ \psi_3 \\ \psi_4 \end{bmatrix} = \begin{bmatrix} \eta \\ \omega \end{bmatrix}, \quad (1.81a)$$

on which Lorentz transformations act independently. This is relevant since, for example, if we deal with an electron, we will describe it with a 4-component spinor, however we will be able to divide it into two components  $e_L$  and  $e_R$ , which are two component spinors on which we can act independently. We have effectively divided our representation of the Lorentz group into the sum of two irreps, of dimension  $(1/2, 0)$  and  $(0, 1/2)$  respectively.

This will become very concrete when we will discuss how many degrees of freedom were present in the original plasma.

Since a spinor  $\psi$  also solves the KG equation, it will be able to be written as

$$\psi = \begin{bmatrix} a \\ b \\ c \\ d \end{bmatrix} e^{-ipx}, \quad (1.82a)$$

but what are the relations between the coefficients? We consider a simple case, that of  $\vec{p} = 0$ , so that we are in the rest frame of the particle.

Then, the Dirac equation reads:

$$(\gamma^0 E - m) \begin{bmatrix} a \\ b \\ c \\ d \end{bmatrix} = 0, \quad (1.83a)$$

so we need to choose a representation for the  $\gamma^0$  in order to write this explicitly. We choose the Dirac representation, in which

$$\gamma^0 = \begin{bmatrix} \mathbb{1} & 0 \\ 0 & -\mathbb{1} \end{bmatrix}. \quad (1.84a)$$

Then, the equation reads

$$\begin{bmatrix} E - m & 0 & 0 & 0 \\ 0 & E - m & 0 & 0 \\ 0 & 0 & -E - m & 0 \\ 0 & 0 & 0 & -E - m \end{bmatrix} \begin{bmatrix} a \\ b \\ c \\ d \end{bmatrix} e^{-ipx} = 0, \quad (1.85a)$$

so we get a solution in which  $E = m$ , and a solution in which  $E = -m$ . So, in general we write the two linearly independent solutions, respectively with positive and negative energy, as

$$\psi = \begin{bmatrix} \xi \\ 0 \end{bmatrix} e^{-imt} \quad \text{and} \quad \Psi = \begin{bmatrix} 0 \\ \eta \end{bmatrix} e^{+imt}. \quad (1.86a)$$

The negative energy solution, as we will see, represents the antiparticle of the Dirac fermion.

The assumption we made,  $\vec{p} = 0$ , does not actually mean we lose generality: we can simply boost into the rest frame of the particle. If we do this, we get the general

$$\begin{bmatrix} E - m & -\vec{\sigma} \cdot \vec{p} \\ \vec{\sigma} \cdot \vec{p} & -E - m \end{bmatrix} \begin{bmatrix} \begin{bmatrix} a \\ b \end{bmatrix} \\ \begin{bmatrix} c \\ d \end{bmatrix} \end{bmatrix} e^{-imt+i\vec{p} \cdot \vec{x}} = 0, \quad (1.87a)$$

so we can decompose our solution into

$$\psi = u^s e^{-ipx} \quad E > 0 \quad (1.88)$$

$$\psi = v^s e^{ipx} \quad E < 0, \quad (1.89)$$

where  $s$  is an index denoting which 2D unit vector we are considering, that is,  $s = 1, 2$ . So, now we come to the interpretation: we introduce the existence of an antifermion, which corresponds to the solution to the Dirac equation with negative energy, but it has the opposed

momentum: so, it has positive energy. Then, both of our solutions have positive energy and evolve forward in time, and both have the same mass.

Now, we make the jump to second quantization: we start interpreting  $\psi(x)$  as an operator, which can destroy a one-state particle or create a particle starting from the vacuum.

We will have

$$\langle 0 | \psi(x) | e^-(p, s) \rangle = u^s(p) e^{-ipx}. \quad (1.90)$$

Now, the one-particle state  $|e^-(p, s)\rangle$  is promoted to a spinor. On the other hand, we have the creation operator  $\psi^\dagger$ :

$$\langle e^-(p, s) | \psi^\dagger(x) | 0 \rangle = u^{s\dagger} e^{-ipx}. \quad (1.91)$$

Now, the tricky question is to introduce the negative-energy solution. The  $\psi^\dagger$  operator will destroy this state, while  $\psi$  will create it. So we will write an equation like

$$\langle 0 | \psi^\dagger(x) | e^+(p, s) \rangle = v^{s\dagger}(p) e^{-ipx}, \quad (1.92)$$

where we would write  $v^s(p)$  if we were considering the negative energy particle, instead we are looking at the antiparticle.

Now, we will be able to operate with  $\psi(x)$  on the vacuum, to find

$$\langle e^+(p, s) | \psi(x) | 0 \rangle = v^s(p) e^{ipx}. \quad (1.93)$$

### 1.3.3 Photon-fermion coupling

Yesterday we discussed the Lagrangian of the free photon field,

$$\mathcal{L} \propto F^{\mu\nu} F_{\mu\nu}, \quad (1.94)$$

but as we said there can also be coupling to external currents, which we did not quantize. However, now we quantized the electron: so, can we construct the external current  $j_\mu$  in the coupling term  $j_\mu A^\mu$ ?

The first attempt would be to write something like

$$j^\mu \sim \psi^\dagger \gamma^\mu \psi \sim e^+ \gamma^\mu e^-, \quad (1.95)$$

but we would need to check whether it is a vector: in fact, it does not transform correctly.

Is this at least a Hermitian operator? Well, its adjoint is

$$\left( \psi^\dagger \gamma^\mu \psi \right)^\dagger = \psi^\dagger (\gamma^\mu)^\dagger \psi, \quad (1.96)$$

but

$$(\gamma^\mu)^\dagger = (\gamma^0, -\gamma^i) \neq \gamma^\mu. \quad (1.97)$$



One finds that the correct definition is to have

$$\bar{\psi} \stackrel{\text{def}}{=} \psi^\dagger \gamma^0, \quad (1.98)$$

and then

$$j^\mu = \bar{\psi} \gamma^\mu \psi \quad (1.99)$$

is the correct definition. This, then, transforms as a 4-vector; it can also be shown starting from Dirac's equation (and its conjugate) that this is a conserved current:  $\partial_\mu j^\mu = 0$ .

Now, in order to couple the EM field to the electron we will use minimal coupling:

$$\partial_\mu \rightarrow D_\mu = \partial_\mu + ieA_\mu, \quad (1.100)$$

so the Dirac equation will read

$$(i\not{D} - m)\psi = 0 \quad (1.101a)$$

$$\left( i\gamma^\mu (\partial_\mu + ieA_\mu) - m \right) \psi = 0. \quad (1.101b)$$

From which density Lagrangian can we derive the Dirac equation? It turns out to be

$$\mathcal{L} = \bar{\psi} (i\gamma^\mu D_\mu - m) \psi, \quad (1.102)$$

so if we want to describe both the EM field, the electron and their interaction, we have

$$\mathcal{L}(e, A_\mu) = \underbrace{-\frac{1}{4}F^{\mu\nu}F_{\mu\nu}}_{\text{free EM field}} + \underbrace{\bar{\psi}(i\not{D} - m)\psi}_{\text{electron}} - \underbrace{e\bar{\psi}A\psi}_{\text{electron-EM coupling}} \quad (1.103)$$

$$= -\frac{1}{4}F^{\mu\nu}F_{\mu\nu} + \bar{\psi}(i\not{D} - m)\psi. \quad (1.104)$$

This is the density Lagrangian of Quantum ElectroDynamics. This is the first interacting QFT which was constructed, and it was extraordinarily successful.

Its predictions for the anomalous magnetic moment of the electrons were exceptional: we can solve it perturbatively to different orders in

$$\alpha = \frac{e^2}{4\pi} \approx \frac{1}{137}. \quad (1.105)$$

We have associated spin 1/2 fermions to matter fields. Spin 1 particles, instead, are vector bosons, such as the photon  $\gamma$ , the gluon  $g$  and the weak  $W^\pm$  and  $Z^0$  bosons. These are the radiation fields. We will explore this in more detail.

This connection comes from the **spin-statistics** theorem: it states that particles with integer spin obey Bose-Einstein statistics, while particles with half-integer spin obey Fermi-Dirac statistics. Particles which are "matter" (electrons, quarks and such) are fermions, while particles which are "force carriers" (photons, weak-interaction  $W$  and  $Z$  particles, gluons) are bosons.

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This is due to the fact that in order to consistently quantize Dirac's theory we need to use **anticommutators** instead of field commutators to replace the Poisson brackets of the classical theory.

Up until now, we have observed only particles with spins 0, 1/2 and 1.

We could have a symmetry called supersymmetry, which connects fermions and bosons.

The graviton has spin 2; in supergravity the graviton has a fermion partner called the "gravitino" with spin 3/2.

### 1.3.4 Scattering

How do we normalize the states in relativistic theory? Classically we did

$$\langle p_1 | p_2 \rangle = (2\pi)^3 \delta^{(3)}(\vec{p}_1 - \vec{p}_2), \quad (1.106)$$

in the relativistic case instead we will do

$$\langle p_1 | p_2 \rangle = 2E_{p_1} (2\pi)^3 \delta^{(3)}(\vec{p}_1 - \vec{p}_2). \quad (1.107)$$

This is a Lorentz invariant normalization (although not manifestly so — see Peskin [Pes19, sec. 3.5] for a proof).

The relativistic volume element is given by

$$\int \frac{d^3p}{(2\pi)^3} \rightarrow \int \frac{d^4p}{(2\pi)^4} (2\pi) \delta(p^2 - m^2) = \int \frac{d^3p}{(2\pi)^3} \frac{1}{2E_p}, \quad (1.108)$$

where we integrated over the variable  $p^0 = E$ , which removed the  $\delta(p^2 - m^2) = \delta(E - \sqrt{p^2 + m^2})/2E$ .

This way, we have the completeness relation

$$\int \frac{d^3p}{(2\pi)^3} \frac{1}{2E_p} |p\rangle\langle p| = \mathbb{1}. \quad (1.109)$$

States have the dimension of an energy to the -1, field operators have the dimension of an energy.

There are two main kinds of processes which are considered in particle physics. The first is a **decay** process: we have a particle  $A$  decaying into a possibly multi-particle state  $f$ . We are interested in the decay *rate* of this process.

The probability of survival of particle  $A$  at time  $t$  is in the form  $\mathbb{P}(t) = \exp(-t/\tau_A)$ , so we define the decay rate

$$\Gamma_A = \frac{1}{\tau_A}, \quad (1.110)$$

which has the dimensions of a frequency, or equivalently an energy.

Generally the decay of a certain particle species can happen through different **channels**, that is, into different kinds of particles. We can define the branching ratios as

$$BR(A \rightarrow f) = \frac{\Gamma(A \rightarrow f)}{\Gamma_A}. \quad (1.111)$$

Another process of interest is a **scattering** process of  $n \rightarrow m$  particles. There is no particle number conservation: we can create and destroy as many particles as we like. These types of processes are described by their *cross section*, which is an effective area corresponding to how aligned the trajectories of the incoming particles must be in order for them to interact.

This cross section allows us to compute the average time for an interaction to occur: if two particles' interaction becomes so rare that they cannot interact within a Hubble time then they are said to have *decoupled*.

We start by considering fixed-target experiments: we want to know how many events per second we will have, which will be given by

$$\frac{\# \text{ events}}{\text{second}} = n_A \times v_A \times \sigma, \quad (1.112)$$

where  $\sigma$  is the cross section,  $v_A$  is the velocity of the incoming particles, while  $n_A$  is the number density of particles in the beam. The number density of the particles in the target is accounted for inside of  $\sigma$ . This tells us that  $\sigma$  has the dimensions of an area.

If we have two beams of particles coming towards each other, the term will look like  $n_A n_B (v_A + v_B) \ell_B A_b \sigma$ .

In general, we will be interested in the differential cross section

$$\frac{d\sigma}{d^3 p_1 d^3 p_2 \dots d^3 p_n}. \quad (1.113)$$

This is just a definition, and it is not covariant, if we want to integrate we still need to use the covariant momentum element. We can integrate it in  $d^3 p_1 \dots d^3 p_n$  in order to recover the total cross section, but inside it we have more information about the angular properties of the process.

For a scattering process like  $A + B \rightarrow 1 + \dots + n$  we will need to compute things like

$$\langle 12 \dots n | T | AB \rangle = \mathcal{M}(A + B \rightarrow 1 + \dots + n) (2\pi)^4 \delta^{(4)}(P_A + P_B - \sum p_i), \quad (1.114)$$

where  $T$  is the time evolution, and we defined the invariant scattering amplitude  $\mathcal{M}$ . If we want to compute the width  $\Gamma_A$  for a decay process, we need to define the phase space integral:

$$\int d\Pi_n = \underbrace{\prod_i \int \frac{d^3 p_i}{2E_i (2\pi)^3} (2\pi)^4 \delta^{(4)}(P_A - \sum_i p_i)}_{\text{phase space integral}}, \quad (1.115)$$

so we will have what is called Fermi's golden rule:

$$\Gamma_A = \frac{1}{2M_A} \int d\Pi_n |\mathcal{M}(a \rightarrow f)|^2, \quad (1.116)$$

since in order to get the probability we need to take the square of the amplitude.

Now, the Feynman amplitude  $\mathcal{M}$ 's dimensionality can be inferred from equation (1.114): the dimension of a state is  $1/[M]$ , the dimension of a four dimensional delta function is  $1/[M]^4$ , while the time evolution operator is dimensionless, so we have

$$[M]^{-n-1} = [\mathcal{M}][M]^{-4} \implies [\mathcal{M}] = [M]^{3-n}, \quad (1.117)$$

where  $n$  is the number of outgoing particles. Here by  $[M]$  we mean the dimensions of a mass, energy, inverse length or inverse time. The dimension of the phase space element can similarly be found to be  $[M]^{2n-4}$ ; so we can check that Fermi's golden rule is dimensionally consistent: its dimensions read

$$[\Gamma_A] = [M]^{-1}[M]^{2n-4}([M]^{3-n})^2 = [M], \quad (1.118)$$

which makes sense, since the decay rate is an inverse time.

The expression we gave is **polarized**, that is, by deciding on the initial and final states we are fixing the spins of the particles. This may be useful in some cases, but often we cannot control the spins of the incoming particles, and/or we cannot select only outgoing ones with a certain spin configuration. So, what is done usually is to **average** over the initial polarizations' probabilities, and to **sum** over the final ones. Note that in doing this we must add probabilities, not amplitudes: in this context we are dealing with classical mixtures.

For cross sections, Fermi's golden rule reads:

$$\sigma(A + B \rightarrow f) = \frac{1}{2E_A E_B |v_A - v_B|} \int d\Pi_2 |\mathcal{M}(A + B \rightarrow f)|^2, \quad (1.119)$$

where (if we are in the COM frame) the phase space integral for the two final particles case is (nontrivially! see the TP notes [Tis20, sec. 4.2.3]) given by:

$$\int d\Pi_2 = \int \frac{d^3p}{(2\pi)^3} \frac{1}{2E_1} \frac{1}{2E_2} (2\pi) \delta(E_{CM} - E_1 - E_2) \quad (1.120a)$$

$$= \frac{1}{8\pi} \frac{2p}{E_{CM}} \int \frac{d\Omega}{4\pi}. \quad (1.120b)$$

The dimensionality check now gives  $[\mathcal{M}] = [M]^{2-n}$ , so

$$[\sigma] = [M]^{-2}[M]^{2n-4}([M]^{2-n})^2 = [M]^{-2}, \quad (1.121)$$

which makes sense: it is a length squared, and lengths are inverse masses.

A kind of process which appears often is a **resonance**: something like  $A + B \rightarrow X \rightarrow A + B$ , where we have a certain short-lived intermediate state  $X$ , whose decay rate is  $\Gamma$ . The nonrelativistic Breit-Wigner formula describes this: it is given by

$$\mathcal{M} \sim \frac{1}{E - E_X + i\Gamma/2}, \quad (1.122)$$

where  $E_X$  is the energy of  $X$ , while  $E$  is the center-of-mass energy of the process.

If we perform a Fourier transform of this expression we get

$$\psi(x) = \int \frac{dE}{2\pi} \frac{e^{-iEt}}{E - E_X + i\Gamma/2} \quad (1.123)$$

$$= 2\pi i \text{Res}_{E=E_X+i\Gamma/2} \left( \frac{e^{-iEt}}{E - E_X - i\Gamma/2} \right) \quad (1.124)$$

$$= ie^{-i(E_X-i\Gamma/2)t} = ie^{-iE_X t} e^{-\Gamma t/2}, \quad (1.125)$$

so the probability of finding the resonant state,  $|\psi|^2$ , decays as  $e^{-\Gamma t}$ .

The paradigmatic process for these kinds of interactions is the process  $e^+e^- \rightarrow \mu^+\mu^-$ .

### 1.3.5 A decay example

This and next week we will finish the introduction to particle physics, then we will start discussing the open problems in cosmology and astroparticle physics.

We consider the following process:

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$$e^+e^- \rightarrow \mu^-\mu^+, \quad (1.126)$$

where the mass of the electron is around  $m_e \sim 0.5 \text{ MeV}$ , the mass of the muon is around  $m_\mu \sim 100 \text{ MeV}$ .

Digression: there are different families of fermions (leptons and quarks), the first encompasses  $e, \nu_e, u, d$ ; the second encompasses  $\mu, \nu_\mu, c, s$  and the third encompasses  $\tau, \nu_\tau, t, b$ . The characteristics of the four members of the family are well-known, and between families the characteristics are the same: the only thing which varies between the families is the mass.

So, Rabi famously asked “who ordered the fermions”?

Coming back to our problem: the state  $|e^+e^- \rangle$  must be annihilated by the EM current  $j_{EM}^\mu = \bar{\psi}_e \gamma^\mu \psi_e$ ; it is then converted to a photon, which however is not on mass shell — it cannot be, since its momentum must be that of the electron-positron pair, so a timelike vector. It is then called a *virtual photon*: it can exist, as long as it does so for a short time.

Then, this photon decays to a muon-antimuon pair: then we will have a term  $\langle \mu^-\mu^+ | j_\mu^\mu \rangle$ . The index between parenthesis is not a Lorentz one, it just means that this is a muonic current, different from the electronic one.

Let us call  $p_-$  and  $p_+$  the momenta of the electron and positron, and  $p'_-$  and  $p'_+$  those of the muon and antimuon.

The momentum  $q$  of the photon cannot have  $q^2 = 0$ , but this is fine: it is just an excitation.

The physics of the process is all contained in the matrix element  $\mathcal{M}(e^+e^- \rightarrow \mu^+\mu^-)$ . How do we calculate it? We will not go into details here, but it can be directly derived from the Feynman diagram of the interaction [Tis20, sec. 4.1.2]: we have

$$\mathcal{M}(e^+e^- \rightarrow \mu^+\mu^-) = (-e) \langle \mu^-\mu^+ | j^\mu | 0 \rangle \frac{1}{q^2} (-e) \langle 0 | j_\mu | e^+e^- \rangle, \quad (1.127)$$

where the  $-e$  factor is because of the EM coupling to the photon. The Breit-Wigner factor looks like

$$\frac{1}{p^2 - M_R^2}, \quad (1.128)$$

but for the photon we have no mass, therefore we only get a factor  $1/q^2$ .

The Feynman diagrams are just a way to collect the Feynman rules needed to compute the process, they are not meant to represent how the process “looks like”.

Let us take the ultrarelativistic limit, in which the energy of the process is much larger than the muon’s mass. If this is the case, then we can set  $m_e = m_\mu = 0$ .

Let us consider the Dirac equation, in the case in which the mass  $m$  is equal to zero: then we get

$$i\not{\partial}\psi = 0. \quad (1.129)$$

Let us use the chiral representation for the  $\gamma$  matrices:

$$\gamma^\mu = \begin{bmatrix} 0 & \sigma^\mu \\ \bar{\sigma}^\mu & 0 \end{bmatrix}, \quad (1.130a)$$

where we mean by  $\sigma^0 = \mathbb{1}$ ,  $\sigma^\mu = (\sigma^0, \sigma^i)$  and  $\bar{\sigma}^\mu = (\sigma^0, -\sigma^i)$ .

Let us then split the spinor  $\psi$  into

$$\psi = \begin{bmatrix} \psi_L \\ \psi_R \end{bmatrix}, \quad (1.131a)$$

where  $\psi_{L,R}$  are two-component spinors. This allows us to write two two-dimensional equations:

$$i\bar{\sigma}^\mu \partial_\mu \psi_L = 0 \quad (1.132a)$$

$$i\sigma^\mu \partial_\mu \psi_R = 0, \quad (1.132b)$$

where we get no interaction terms between the two: if we have no mass the equations decouple.

We can do the same thing if the Dirac equation is coupled to the EM field, since the issue is with the structure of the  $\gamma^\mu$ , it does not matter if we have  $\gamma^\mu D_\mu$  or  $\gamma^\mu \partial_\mu$ ; however we will write the decoupled solution for now.

So, for the right-handed spinor we have:

$$(i\partial_t + i\vec{\sigma} \cdot \vec{\partial})\psi_R, \quad (1.133)$$

which is solved by a plane wave:

$$\psi_R = u_R(p)e^{-iEt + i\vec{p} \cdot \vec{x}}. \quad (1.134)$$

Let us suppose the equation reads

$$(E - p\sigma^3)u_R = \begin{bmatrix} E - p & 0 \\ 0 & E + p \end{bmatrix} u_R = 0, \quad (1.135a)$$

so we must have two solutions: they look like

$$\psi_R = \begin{bmatrix} 1 \\ 0 \end{bmatrix} e^{-iEt + iEx_3} \quad \text{and} \quad \psi_R = \begin{bmatrix} 0 \\ 1 \end{bmatrix} e^{+iEt + iEx_3}. \quad (1.136a)$$

The solution  $\psi_R \sim \exp(-iEt + iEx_3)$  describes a right-handed electron with spin eigenvalue  $+1/2$  along the direction of motion (this is called the *helicity* [Tis20, sec. 1.4.9])

On the other hand, the solution  $\psi_R \sim \exp(iEt + iEx_3)$  describes a right-handed electron with spin eigenvalue  $s = -1/2$ .

Our quantum field operator  $\psi_R$  acts as on the right by destroying a right-handed electron:

$$\langle 0 | \psi_R | e_R^-(p) \rangle = u_R(p) e^{-ipx}. \quad (1.137)$$

Then, we can have it acting on the left by destroying a left-handed positron:

$$\langle e_L^+(p) | \psi_R | 0 \rangle = v_L(p) e^{+ipx}. \quad (1.138)$$

If we were to repeat the analysis for the other spinor, we would get the specular result. The Lagrangian can be written as

$$\mathcal{L} = \psi_R^\dagger (i\sigma \cdot \partial) \psi_R + \psi_L^\dagger (i\bar{\sigma} \cdot \partial) \psi_L - m(\psi_R^\dagger \psi_L + \psi_L^\dagger \psi_R), \quad (1.139)$$

so the coupling between the left and right handed fermions depends on the mass, if we are in a situation in which  $T \gg m$  they effectively decouple.

In order to describe this spin, we introduce the helicity quantum number, which is defined as

$$h = \hat{p} \cdot \vec{s}, \quad (1.140)$$

the projection of the spin along the direction of motion. For  $\psi_R$ , we have the  $(1,0)$  state with helicity  $h = 1/2$ , while the state  $(0,1)$  is a positron with helicity  $h = -1/2$ .

If  $m = 0$ , then helicity is exactly conserved. At high energies, it is suppressed by a factor  $m/E$ .

Let us compute the cross section: we must calculate

$$\langle 0 | j^\mu | e_R^-(p_-) e_L^+(p_+) \rangle, \quad (1.141)$$

where we have a term  $j^\mu = \bar{\psi} \gamma^\mu \psi = \psi^\dagger \gamma^0 \gamma^\mu \psi$ ; the term  $\gamma^0 \gamma^\mu$  reads

$$\gamma^0 \gamma^\mu = \begin{bmatrix} 0 & \mathbb{1} \\ \mathbb{1} & 0 \end{bmatrix} \begin{bmatrix} 0 & \sigma^\mu \\ \bar{\sigma}^\mu & 0 \end{bmatrix} = \begin{bmatrix} \bar{\sigma}^\mu & 0 \\ 0 & \sigma^\mu \end{bmatrix}, \quad (1.142)$$

so we get

$$j^\mu = \psi_L^\dagger \bar{\sigma}^\mu \psi_L + \psi_R^\dagger \sigma^\mu \psi_R. \quad (1.143)$$

We describe the process in the center-of-mass frame, and we choose to align the axes so that the electron and positron have momenta  $p^\mu = (E, 0, 0, \pm E)$  respectively (minus for the positron).

The wavefunction  $\psi_R^\dagger$  annihilates the positron  $e_L^+$  yielding a term  $v_L^\dagger(p_+)$ , the wavefunction  $\psi_R$  annihilates the electron  $e_R^-$  yielding a term  $u_R(p_-)$ .

Then, we are left with

$$v_L^\dagger(p_+) \sigma^\mu u_R(p_-) = \sqrt{2E} \begin{bmatrix} 0 & 1 \end{bmatrix} (\mathbf{1}, \vec{\sigma}) \sqrt{2E} \begin{bmatrix} 1 \\ 0 \end{bmatrix} \quad (1.144)$$

$$= 2E(0, 1, i, 0)^\mu, \quad (1.145)$$

so if we define the vector  $\vec{\epsilon}_+ = (\hat{1} + i\hat{2})/\sqrt{2}$  we can write

$$\langle 0 | j^\mu | e_R^-(p_-) e_L^+(p_+) \rangle = 2E\sqrt{2}(0, \vec{\epsilon}_+)^\mu, \quad (1.146)$$

while we would have

$$\langle 0 | j^\mu | e_L^-(p_-) e_R^+(p_+) \rangle = -2E\sqrt{2}(0, \vec{\epsilon}_-)^\mu, \quad (1.147)$$

with  $\vec{\epsilon}_- = (\hat{1} + i\hat{2})/\sqrt{2}$ .

On the other hand, the terms  $e_R^- e_R^+$  and  $e_L^- e_L^+$  do not contribute (in our  $m = 0$  approximation).

The muons are massless fermions as well in our treatment, so we get analogous terms:

$$\langle \mu_R^-(p'_-) \mu_L^+(p'_+) | j^\mu | 0 \rangle = 2E\sqrt{2}(0, \vec{\epsilon}'_+)^mu \quad (1.148)$$

$$\langle \mu_L^-(p'_-) \mu_R^+(p'_+) | j^\mu | 0 \rangle = -2E\sqrt{2}(0, \vec{\epsilon}'_-)^mu, \quad (1.149)$$

so in the end we find

$$\mathcal{M}(e_L^- e_R^+ \rightarrow \mu_R^- \mu_L^+) = -\frac{e^2}{q^2} 2(2E)^2 \vec{\epsilon}'_+ \cdot \vec{\epsilon}_+ \quad (1.150)$$

$$= -2e^2 \vec{\epsilon}'_+ \cdot \vec{\epsilon}_+, \quad (1.151)$$

since  $q = 2E$ . The scalar product here depends on the direction of emission of the muons in the center of mass frame,  $\theta$ ; we find the absolute value  $|\mathcal{M}|^2 = e^4(1 \pm \cos \theta)^2$ , depending on whether we are looking at an  $LR \rightarrow LR$  process or  $LR \rightarrow RL$  process. The unpolarized (spin-averaged) differential cross section comes out to be:

$$\frac{d\sigma}{d\cos\theta} = \frac{1}{2} \frac{\pi\alpha^2}{2E_{CM}^2} (1 + \cos^2\theta), \quad (1.152)$$



which can be integrated across the sphere to get the total cross section for the process  $e^-e^+ \rightarrow \mu^-\mu^+$ :

$$\sigma = \frac{4\pi}{3} \frac{\alpha^2}{E_{CM}^2}. \quad (1.153)$$

We could have guessed the dependence on  $\alpha^2/E_{CM}^2$ , but for the numerical factor we needed to do the full computation. This is because the cross section is a length square, so it must depend on the inverse square of our only energy parameter,  $E_{CM}$ .

Also, the coupling was fixed: we are working in QED, so we only have a coupling constant:  $e$ , so we will have terms  $e^2/4\pi = \alpha$  inside of  $\mathcal{M}$ , so we will get  $\alpha^2$  inside of  $|\mathcal{M}|^2$ . The  $4\pi$ s will cancel because of the phase-space angular integrals.

Once we have done this, can we generalize it? suppose we want to compute the cross section  $\sigma(e^+e^- \rightarrow \text{hadrons})$ . How could we do it?

We can make a similar kind of reasoning: the process will look like  $e^-e^+ \rightarrow q\bar{q}$ , and while the coupling for the first vertex in the Feynman diagram will be  $-e$  the one for the second vertex will look like  $Q_q$ , the charge of these quarks. We calculate the unpolarized cross section, counting all the quarks which can be produced at a fixed COM energy: we assume  $E \sim 100 \text{ GeV}$ , so all the quarks except for the top are candidates; so the computation goes:

$$\frac{\sigma(e^+e^- \rightarrow q\bar{q})}{\sigma(e^+e^- \rightarrow \mu^+\mu^-)} \approx \sum_q Q_q^2 = \underbrace{2\frac{4}{9}}_{u,c} + \underbrace{3\frac{1}{9}}_{d,s,b} = \frac{11}{9}. \quad (1.154)$$

In experiments, however, we get a cross section ratio which is  $11/3$ , 3 times larger than expected: this indicates that we have a different type of charge, color charge, which means we have a multiplicity of 3 for each quark.

We shall see that this is related to certain kinds of internal symmetries of our field theory.

### 1.3.6 Gauge symmetries in QED

Last time we wrote the Lagrangian of QED:

$$\mathcal{L}_{QED} = -\frac{1}{4}F^{\mu\nu}F_{\mu\nu} + \bar{\psi}(i\gamma^\mu D_\mu - m)\psi, \quad (1.155)$$

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where  $D_\mu = \partial_\mu + ieA_\mu$ .

This possesses several symmetries: Lorentz (actually, Poincaré) invariance,  $P$  (parity),  $C$  (charge conjugation),  $T$  (time inversion).

We are also interested in the *internal* symmetries of this Lagrangian: all the aforementioned symmetries were spacetime ones.

We know that  $\bar{\psi} = \psi^\dagger \gamma^0$ , so if we transform  $\psi \rightarrow e^{i\theta}\psi$  the Lagrangian is unchanged, since we also have  $\bar{\psi} \rightarrow e^{-i\theta}\bar{\psi}$ . Here, we are taking a *constant* phase angle  $\theta$ : it comes out of the derivative unchanged. This is called a  $U(1)$  **global** symmetry, since it is the same everywhere in space and since a phase is the same as a  $1 \times 1$  unitary matrix.

The following section differs from the notes. Let us ignore the interactions of electrons with the EM fields in QED. Our world is made of electrons, and we want to describe these free propagating electrons. We take the Lagrangian

$$\mathcal{L}_{\text{Dirac}} = \bar{\psi} \left( i\gamma^\mu \partial_\mu - m \right) \psi, \quad (1.156)$$

which still has the symmetry  $\psi \rightarrow e^{i\alpha} \psi$ .

Is this invariant also with respect to a *local*  $U(1)$  symmetry? This looks like  $\psi(x) \rightarrow e^{i\alpha(x)} \psi(x)$ , where  $\alpha(x)$  is a continuous spacetime scalar function.

This is a “promotion” of the symmetry: why? It seems like a global symmetry is a more general thing... However, the global symmetry is a special case of the local one.

This local symmetry is called a  $U(1)$  *gauge* symmetry. Properly speaking, the global symmetry is also a gauge one but it is commonly called just a global symmetry.

Substituting in, we get

$$e^{-i\alpha(x)} \bar{\psi} \left[ i\partial_\mu \gamma^\mu - m \right] e^{i\alpha(x)} \psi = \bar{\psi} \left[ i\partial_\mu \gamma^\mu - m \right] \psi + \bar{\psi} \psi i\gamma^\mu \partial_\mu \alpha, \quad (1.157)$$

so we see that the Lagrangian is *not* invariant under this gauge symmetry in general.

If we want the symmetry to hold, we need to introduce a *compensating* field to cancel out the term.

The answer is that the thing to add is a vector field  $A_\mu$ . Then, if we transform

$$A_\mu \rightarrow A_\mu - \frac{1}{e} \partial_\mu \alpha \quad (1.158)$$

this compensates the change, as long as the vector is coupled to the fermion with a term  $\bar{\psi} e \gamma^\mu A_\mu \psi$  in the Lagrangian. This is a profound result: if we wanted to describe a world with only electrons, and we want to have this electron be symmetric with respect to the  $U(1)$  gauge symmetry  $e \rightarrow e^{i\alpha(x)} e$  then we *must* have a vector coupled to it.

Then, we should also insert a term describing the propagation of the free vector  $A_\mu$ , the kinetic term  $\propto F^{\mu\nu} F_{\mu\nu}$ .

A quote: “And she said ‘let there be symmetry’, and there was light”.

We could have just proven that the QED Lagrangian is invariant with respect to  $U(1)$  symmetry: however, this reasoning illustrates the point that the symmetry requires the insertion of photons.

One might ask: how do you know that this is the correct symmetry? The method is trial and error.

Could we have something which is more complicated than a spin 1 mediator? It is basically a guessing game, we see what works.

## 1.4 QCD

This section can also be followed from Peskin [Pes19, sec. II.11].

This  $U(1)$  gauge symmetry is an abelian symmetry, but we also have non-abelian ones: we denote by  $T^a$  the generators of the group, their Lie algebra is defined by

$$[T^a, T^b] = if^{abc}T^c. \quad (1.159)$$

The *structure coefficients*  $f^{abc}$  are manifestly antisymmetric in their first two indices. It can also be shown that they are fully antisymmetric. If the group is abelian, we have  $f^{abc}$  identically, but this need not be the case.

To say that these are generators means that any infinitesimal transformation can be written as

$$\Phi \rightarrow (1 + i\alpha^a t_R^a)\Phi, \quad (1.160)$$

where  $\alpha^a$  are the parameters of the infinitesimal transformation, while  $t_R^a$  are Hermitian matrices of dimension  $d_R$  which make up the representation of the group. There are  $d_G$  of them, where  $d_G$  is the dimension of the group.

The finite unitary transformation mapping  $\Phi \rightarrow U(\alpha)\Phi$  can be recovered from here by

$$U(\alpha) = e^{i\alpha^a t_R^a}. \quad (1.161)$$

We will be interested in Lie groups  $SU(N)$  with  $N \geq 2$ , which are  $N \times N$  unitary matrices with determinant 1.

For example, recall that  $SU(2)$  has a 2-to-1 correspondence with  $SO(3)$ .  $SU(2)$  describes the rotation of spinors, the generators of their rotation are  $\sigma^i/2$ .

Last time we discussed the annihilation of  $e^+e^-$  into hadrons: we can get protons and neutrons, pions, kaons...

However we can simplify by discussing only the creation of quarks.

When we compute the cross sections, our calculation seems to be wrong by a factor 3. If we multiply it by 3 we get the correct result. So there are three types of quarks: we categorize them by "color", even though it has nothing to do with colors.

We associated QED with  $U(1)$ : is there a group corresponding to Quantum Chromodynamics? Can we do this with the weak interaction as well?

Since there are three quarks, we are drawn to represent them as triplets. Since we know that unitary matrices are nice, we try  $SU(3)$ . We call this symmetry  $SU(3)_{\text{color}}$ .

We start by giving some general results for  $N$ -dimensional groups  $SU(N)$ : we normalize their representation by imposing

$$\text{Tr} [t_N^a t_N^b] = \frac{1}{2} \delta^{ab}, \quad (1.162)$$

where  $t_N^a$  are the Hermitian generators of an  $N$ -dimensional unitary representation. If we generalize to an  $R$ -dimensional representation, we will have

$$\text{Tr} [t_R^a t_R^b] = C(R) \delta^{ab}, \quad (1.163)$$

where  $C(R)$  is some constant depending only on the dimension of the representation.

A special representation we can choose is the **adjoint** representation, which is the one under which the generators of the Lie algebra transform; it is defined by:

$$(t_G^a)^{bc} \stackrel{\text{def}}{=} if^{abc}. \quad (1.164)$$

By making use of the Jacobi identities we can show that this is indeed a valid representation of the group, its dimension is that of the group and we have:

$$\text{Tr} [t_G^a t_G^b] = f^{acd} f^{bcd} = C(G) \delta^{ab}, \quad (1.165)$$

where the constant  $C(G)$  is just the dimension  $N$  for the adjoint representation. For  $SU(N)$  the dimension is  $N^2 - 1$ : the representation consists of  $N^2 - 1$  matrices, each  $N \times N$ .

### 1.4.1 Non-abelian gauge theory: Yang-Mills

Consider the Lagrangian

$$\mathcal{L} = \bar{\psi} i \gamma^\mu \partial_\mu \psi. \quad (1.166)$$

This can describe an electron. Now, let us add an index  $j$  in the group  $G$ , according to which the particle transforms in the  $R$ -dimensional (in our case  $R = 3$ ) representation:

$$\mathcal{L} = \bar{\psi}_j i \gamma^\mu \partial_\mu \psi_j. \quad (1.167)$$

Under the local action of a group  $G$  the particle transforms like

$$\psi_j(x) \xrightarrow{G} \psi'_j(x) = (1 + i\alpha^a(x) t_R^a)_{jk} \psi_k, \quad (1.168)$$

where  $a$  is an index going from 1 to  $N^2 - 1$ .

We have the same problem we had with  $U(1)_{\text{em}}$ : we need to cancel the term coming from the derivative of  $\alpha(x)$ , with a one-index object. The variation in the Lagrangian is

$$\delta \mathcal{L} = \bar{\psi}_j i \gamma^\mu \left( i \partial_\mu \alpha^a(x) t_{R,jk}^a \right) \psi_k. \quad (1.169)$$

The solution is the same: we introduce a coupling to the derivative, which takes the form

$$D_\mu \rightarrow \partial_\mu - ig A_\mu^a t_R^a, \quad (1.170)$$

where  $g$  is the strength of the interaction, which is also written as  $g_s$  in the case of the strong force. The index  $a$  goes from 1 to  $N^2 - 1 = 8$ : we must introduce a vector field  $A$  for each *generator* of the required symmetry.

The beautiful thing is the fact that starting only from the symmetry requirement we can get a full theory.

We now attribute actual *existence* to these quantum fields: they are interaction bosons. They must transform like

$$A_\mu^a(x) \rightarrow A_\mu^a(x) + \frac{1}{g} \partial_\mu \alpha^a(x) + \overbrace{A_\mu^b f^{abc} \alpha^c(x)}^{\text{new nonabelian term}} \quad (1.171)$$

$$= A_\mu^a(x) + \frac{1}{g} D_\mu \alpha^a(x). \quad (1.172)$$

This is derived making use of the adjoint representation definition (1.164): we are equating

$$A_\mu^b f^{abc} \alpha^c = -i A_\mu^b t_R^b \alpha^a \quad (1.173)$$

$$A_\mu^b f^{abc} \alpha^c = -i A_\mu^b (i f^{bca}) \alpha^c \quad (1.174)$$

$$A_\mu^b f^{abc} \alpha^c = +A_\mu^b f^{abc} \alpha^c. \quad (1.175)$$

We can do cyclic permutations of the indices of  $f^{abc}$ .

If we assign physical reality to these fields we must give them kinetic terms in the Lagrangian, which will then be

$$\mathcal{L} = -\frac{1}{4} F^{\mu\nu a} F_{\mu\nu}^a + \bar{\psi} (i \gamma^\mu D_\mu - m) \psi, \quad (1.176)$$

which looks the same as the QED Lagrangian, but we must be careful: what is  $F_{\mu\nu}^a$ ? We might think it is

$$F_{\mu\nu}^a = 2\partial_{[\mu} A_{\nu]}^a, \quad (1.177)$$

but this is not enough: inside the covariant derivative in  $D_\mu \alpha$  in the transformation law we also have  $A_\mu$ , so we get an additional term, and the final formula looks like

$$F_{\mu\nu}^a = 2\partial_{[\mu} A_{\nu]}^a + g f^{abc} A_\mu^b A_\nu^c. \quad (1.178)$$

This corresponds to the fact that, while there is no photon-photon interaction since  $U(1)$  is abelian,  $SU(3)$  is not: so, we do have gluon-gluon interaction. Notice that this expression has abelian symmetries as a special case: the term  $fAA$  is antisymmetric in the two bosons, so if they commute it vanishes. The square of this field strength is then both Lorentz and gauge invariant.

This field strength can be interpreted as the Riemann tensor of the Lie group manifold:

$$[D_\mu, D_\nu] = -ig F_{\mu\nu}^a t_R^a. \quad (1.179)$$

This is crucial in very high energy situations, such as in the early universe. The dynamics of the field are now more complicated than the ones we find in electrodynamics due to the nonlinear terms.

The wavefunction  $\psi$  which appears in the Lagrangian will transform in some  $d$ -dimensional representation of  $G = SU(3)_c$ . It will have indices like  $\psi_{\alpha,i}$ :  $\alpha$  is a four-dimensional spinorial index, while  $i$  is a three-dimensional color index.

The strong-interaction coupling constant  $g_s$  is dimensionless, we also define the parameter

$$\alpha_s = \frac{g_s^2}{4\pi}. \quad (1.180)$$

The coupling term of the gluons with the fields can be made explicit as

$$\bar{\psi}_{\alpha,i} \gamma_\mu^\alpha A_\mu^a (t^a)_{ij} \psi_{\beta,j}, \quad (1.181)$$

where  $\mu$  is a Lorentz index,  $i$  and  $j$  are color indices, while  $\alpha$  and  $\beta$  are spinorial indices.

### 1.4.2 Quantum Chromo Dynamics

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Asymptotic freedom is not a political slogan from the sixties!

With this lecture and the next we should finish discussing the standard model of particle physics.

Today we are going to explore a property which is profoundly different between EM and the strong interaction.

We introduced the quantity  $\alpha_{EM} = e^2/4\pi$ : how do we measure this parameter? We know that the interaction term looks like

$$\mathcal{L} \sim e j^\mu A_\mu, \quad (1.182)$$

so we can measure  $e$  using the cross sections of processes, such as  $e^+e^- \rightarrow \mu^+\mu^-$ ; the free parameters are just  $e$  and the COM energy, so we are done. But how do we do it without an accelerator? We could do the Millikan drop experiment, for example.

But we are doing Quantum Field Theory: beyond physical particles we can also have virtual particles, which despite the name can influence physical processes: inside the “black box” within which the interactions occur we can have off-shell processes.

In fact, in the aforementioned decay the photon is off mass shell; but we can go beyond. The photon can create and then annihilate an  $e^+e^-$  pair.

The vacuum is a *quantum* vacuum, which does correspond to a minimal energy but it is filled by the continuous creation and annihilation of these particle-antiparticle pairs, since there is an indetermination between time and energy. It is important that after being created these pairs are indeed destroyed. This is called *vacuum polarization*.

The pairs are virtual but they have an effect. The coupling constant  $\alpha$  has a numerical value of around  $1/137$ , and the loop diagrams of increasing number of loops depend on increasing powers of  $\alpha$ . The fact that  $\alpha$  is small allows us to work perturbatively.

This works, the predictions of QED are extremely precise and correspond to experiment. For instance, the anomalous magnetic moment of the electron: in a QFT, when an electron interacts with a photon, there can be other particles.

The Feynman diagram which governs the interaction of an external electromagnetic field with a fermion is a one-vertex one; however we can draw diagrams with loops (the first correction is shown in figure 1.1) to calculate the perturbative corrections.

The polarization of the vacuum creates a screening effect, as shown in an example scattering in figure 1.2. This is hard to compute analytically, but the result can be readily described: the vacuum acts as a dielectric medium, screening part of the electromagnetic charge and making the interaction weaker.

So, we expect the effective  $\alpha_{EM}$  to be larger: if the vacuum is filled with a sea of screening pairs, at large distances (low energies) it is effectively uniform, while if we get at distances lower than  $1/m_e$  we start to be on smaller scales than the maximum size of these dipoles, so screening is harder and we can see the “bare charge”, which formally diverges at a point called the **Landau pole**.

This is an illustrative description of a mathematical process called **renormalization**: we impose the fact that the loop contributions to the theory should not diverge, and this forces



Figure 1.1: Interaction of a fermion with an external electromagnetic field, to first and third order respectively.

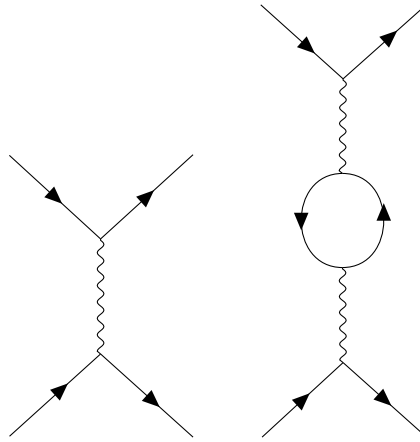


Figure 1.2: Vacuum polarization: second and fourth order contributions to  $e^-e^- \rightarrow e^-e^-$  scattering.

us to have a running coupling to the theory, which corresponds to increased pair production (since the EM field is coupled more strongly with the fermions!).

We compare the Millikan experiment ( $E \sim 0$ ), where we find  $\alpha \sim 1/137$ , with LEP: now  $E \sim 100$  GeV, and we find  $\alpha \sim 1/128$ ! A figure depicting the complete relation can be found in Peskin [Pes19, fig. 11.1]. At very high energies we must also account for pair production of higher-mass fermions, such as muons.

What is the theoretical relation between  $\alpha$  and  $Q$ , the momentum transfer of the process at hand? It comes out to be (the calculation can be found in an older book by Peskin and Schroeder [PS95, sec. 7.5])

$$\alpha(Q) = \frac{\alpha_0}{1 - \frac{2\alpha_0}{3\pi} \log\left(\frac{Q}{Q_0}\right)}. \quad (1.183)$$

At energies  $Q \lesssim m_e$  the correction is negligible and  $\alpha \sim 1/136$ , it becomes significantly different at higher energies.

We also define the function  $\beta$ : it is a function of the coupling constant  $\alpha$ , defined by

$$\beta(g_e) = \frac{dg_e}{d \log Q}. \quad (1.184)$$

What happens if we compute this for the strong interaction? We define, analogously to the electromagnetic case:

$$\alpha_s = \alpha_{\text{strong}} = \frac{g_s^2}{4\pi}. \quad (1.185)$$

The problem is that this is a large number: but our tools are perturbative! How do we compute the cross sections then? The thing is, with increasing energy this  $\alpha_s$  becomes *smaller*! Why is this? The gluons are self interacting, because of the  $A \wedge A$  term in the field strength of the strong interaction, as opposed to photons.

In the EM case, we had  $\gamma \rightarrow e^+e^- \rightarrow \gamma$  as a virtual particle process; in the chromodynamics case instead we have  $g \rightarrow g + g \rightarrow g$ : it is the case (even though it is not easy to prove) that this loop contribution has the opposite sign! We define  $\beta$  in the same way as the one from QED, so we find [Pes19, eq. 11.65]:

$$\frac{dg_s}{d \log Q} = \beta(g_s) \quad \text{where} \quad \beta = -\frac{11}{3}C(G) + \frac{4}{3}n_f C(R), \quad (1.186)$$

where  $C(G)$  is the Casimir<sup>1</sup> of the **adjoint** representation:  $C(G) = 3$ , while  $C(R) = 1/2$  pertains to the **fundamental** representation, to which fermions belong:  $n_f$ , the number of fermions, is 6. Then, the final result is negative!

This is called asymptotic freedom:  $\alpha$  decreases as  $Q$  increases. If the energy is high enough, the quarks and gluons are effectively decoupled. On the other hand, at low energy their coupling is very large.

So, at the low energies we look at in atomic nuclei the quarks are confined by an extremely high coupling: no one has ever observed a free quark, not even at LHC. This is called hadronization, since the quarks are always bound into hadrons. ALICE, at LHC, is looking for the phase transition between this “infrared slavery” of the quarks and their free state.

Since  $\alpha_s$  decreases, while  $\alpha_{EM}$  increases, there should be a point at which they cross and the electromagnetic interaction becomes stronger than the strong one.

There might be a point at which they merge, like the weak and electromagnetic interactions do. Actually, it might be possible that all of the interactions are manifestations of the same kind of interaction.

The crucial point is that the strength of an interaction depends on the energy. If we define  $b_0 = 11 - 2n_f/3$  we find

$$\alpha_s(Q) = \frac{2\pi/b_0}{\log(Q/\Lambda)} \quad \Lambda = Q_0 \exp\left(\frac{-2\pi}{b_0\alpha_s(Q_0)}\right), \quad (1.188)$$

---

<sup>1</sup> This means that it is the constant depending on the dimension of the representation which appears in

$$\text{Tr}[t_N^a t_N^b] = C(N)\delta^{ab}. \quad (1.187)$$



where we defined  $\Lambda$ , the QCD scale: it is the energy at which the QCD coupling becomes strong.

In QED (and more generally in abelian gauge theories) the vertex only has one photon line, so there can be no photon loops. In QCD, instead, we can have gluon loops.

### 1.4.3 The weak interaction

How do we formally describe whether an interaction is “strong”? We know that the time needed for hadronization is of the order  $\tau_{\text{had}} \sim 10^{-23}$  s, while the time for a pion’s decay is  $\tau(\pi^+) \sim 3 \times 10^{-8}$  s. These are strong interaction-mediated processes.

The time for beta decay — a weak interaction mediated process — is  $\tau(n \rightarrow p + e^- + \bar{\nu}_e) \sim 880$  s.

This can give us a first signal for the fact that the weak interaction is *weak*.

We know that the neutron is *udd* in terms of quarks, while the proton is *uud*: so, in the beta decay one down quark must become an up quark. There is no term in QED or QCD in which this can happen: QED and QCD conserve flavour. This can be seen in the Lagrangian: there are terms which mix colors, while the flavour terms are diagonal.

But we do see beta decay: so, we must introduce a new *weak interaction*.

Beta decay is experimentally observed to be a three-body process, which is why observations of it were the first indication of the existence of neutrinos. Beta-decay is not *P*-symmetric, whereas QED and QCD are. This was seen in the  $\beta^-$  decay of  $^{60}\text{Co}$  nuclei, they always emitted left-handed electrons.

In QED and QCD we see current-current interaction by means of the mediator (photon or gluon, respectively); will we see current-current weak interactions?

Will we?

We would like to introduce a sort of “Quantum Weak Dynamic” theory, and we will see that this is possible in the standard model, by unifying the electromagnetic and weak interactions.

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### 1.4.4 The current-current model for the weak interaction

We have seen that fermions are described by a four-component spinor:

$$\Psi = \begin{bmatrix} \psi_L \\ \psi_R \end{bmatrix}, \quad (1.189a)$$

where  $\psi_{L,R}$  are both two-component vectors. The right handed part has helicity  $h = +1/2$ , the left handed part has helicity  $h = -1/2$ .

The puzzling part of the weak interaction is that it seems like the only part of the fermion entering  $\beta$ -decay is the left-handed part. In the late seventies, the professor’s master thesis stated that this was a mystery. Still, we do not know why this interaction breaks parity.

We need to describe the experimental results mathematically: so, we need a projector onto the left-handed components. We already introduced the Dirac  $\gamma^\mu$  matrices. Now we

introduce the **fifth** gamma matrix: in the chiral representation it reads

$$\gamma^5 = \begin{bmatrix} -\mathbb{1} & 0 \\ 0 & \mathbb{1} \end{bmatrix}, \quad (1.190)$$

which has the important property that it anticommutes with all the Dirac matrices:

$$\{\gamma^5, \gamma^\mu\} = 0, \quad (1.191)$$

and actually we can write it as

$$\gamma^5 = \frac{i}{4!} \epsilon_{\mu\nu\rho\sigma} \gamma^\mu \gamma^\nu \gamma^\rho \gamma^\sigma = i\gamma^0 \gamma^1 \gamma^2 \gamma^3. \quad (1.192)$$

By its form we can readily see that  $\psi_L$  is an eigenstate of  $\gamma^5$  with eigenvalue  $-1$ , while  $\psi_R$  has eigenvalue  $+1$ . So, the matrix

$$\frac{\mathbb{1} \pm \gamma^5}{2} \quad (1.193)$$

projects a state onto the left- or right-handed subspace (minus for the left handed one). If we apply a parity transformation  $P\vec{x} \rightarrow -\vec{x}$  to the current  $\bar{\psi}\gamma^5\psi$  we get  $-\bar{\psi}\gamma^5\psi$ .

The Dirac matrices can be written as

$$\gamma^\mu = \begin{bmatrix} 0 & \sigma^\mu \\ -\bar{\sigma}^\mu & 0 \end{bmatrix}, \quad (1.194a)$$

where

$$\sigma^\mu = \begin{bmatrix} \mathbb{1} & \sigma^\mu \end{bmatrix} \quad \text{and} \quad \bar{\sigma}^\mu = \begin{bmatrix} \mathbb{1} & -\sigma^\mu \end{bmatrix}. \quad (1.195)$$

We have already seen that if we set  $m = 0$  the Dirac equation for the two left- and right-handed spinors decouples:

$$i\bar{\sigma} \cdot \partial \psi_L = 0 \quad (1.196a)$$

$$i\sigma \cdot \partial \psi_R = 0. \quad (1.196b)$$

We know that neutrons are made up of  $ddu$  quarks, while protons are  $uud$ , so we must have a down quark turning into an up: the Feynman diagram for  $\beta^-$  decay (from far away) looks like what is shown in figure 1.3.

Only the left-handed spinors appear in the process. In order to describe this, we can introduce a current involving only the left-handed components:

$$j_L^{\mu+} = \nu_L^+ \bar{\sigma}^\mu e_L + u_L^+ \bar{\sigma}^\mu d_L + \dots \quad (1.197)$$

$$j_L^{\mu-} = e_L^+ \bar{\sigma}^\mu \nu_L + d_L^+ \bar{\sigma}^\mu u_L + \dots \quad (1.198)$$

This current will appear in the Feynman amplitude in this fashion:

$$\mathcal{M} \sim \frac{4G_F}{\sqrt{2}} j_L^{\mu+} j_L^{\mu-}. \quad (1.199)$$

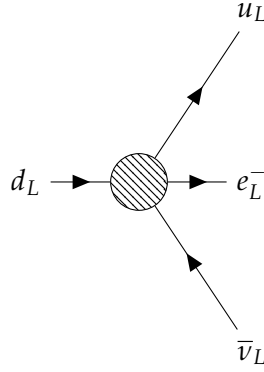


Figure 1.3: Beta decay: an unknown weak process.

These terms can be written without specifying  $L$  or  $R$ , as:

$$\bar{u}\gamma^\mu\left(\frac{1-\gamma^5}{2}\right)d = \frac{1}{2}\left(\underbrace{\bar{u}\gamma^\mu d}_V - \underbrace{\bar{u}\gamma^\mu\gamma^5 d}_A\right) = \bar{u}_L\gamma^\mu d_L. \quad (1.200)$$

Notice that we did not introduce here an index  $a$  as we had done for the color charge.

The interaction boson mediating the weak interaction is called a **charged current**, since it must have an electric charge.

This theory of weak interaction is called a  $V - A$  theory: in the current we have distinguished the terms  $V$  — a vector current — and  $A$ , an axial current. This distinction is a group representation one: the vector term transforms like a vector, while the axial term transforms like a pseudovector.

We know that a density Lagrangian has a dimension of 4, so from the expression  $\mathcal{L} = \bar{\psi}m\psi$  we get that the fermion must have dimension  $3/2$ .<sup>2</sup> So, the current  $j^\mu \sim \bar{\psi}\gamma^\mu\psi$  has a dimension of 3. In the Lagrangian the current term will look like  $G_F j^\mu j_\mu$ , so the constant  $G_F$  must have a dimension of  $-2$ .

Experimentally, we find  $G_F \sim 10^{-5} \text{ GeV}^{-2}$ .

This kind of  $V - A$  theory has been successful in the description of processes such as:

$$n \rightarrow pe^-\bar{\nu}_e \quad (1.201)$$

$$\mu \rightarrow \nu_\mu e^-\bar{\nu}_e \quad (1.202)$$

$$\pi^- \rightarrow \mu^-\bar{\nu}_\mu \text{ or } e^-\bar{\nu}_e. \quad (1.203)$$

We can estimate the order of magnitude of the cross section of weak interaction processes without drawing any Feynman diagrams: we know that they must depend on  $G_F^2$ , which has dimension  $-4$ , while the cross section has dimension  $-2$ : what can we multiply it by to fix the dimensionality?

<sup>2</sup> By “dimension” we mean mass dimension: the dimension of a mass  $m$  is 1.

Our only free parameter is  $s = (p_1 + p_2)^2$ , the square of the center of mass energy. So, we will have

$$\sigma \sim G_F^2 s, \quad (1.204)$$

which means that if we increase the beam energy the cross section increases.

This is a problem:  $s$  can diverge as we raise the energy of our colliders, but  $\sigma$  is connected to a probability: this means that we have a unitarity violation.

The problem becomes worse if we consider  $n$  loops: then we will have  $\sigma \sim G_F^{2n} s^m$ , where by dimensional analysis we find  $m = 2n - 1$ : this increases with  $n$ !

This can be fixed with the introduction of a charged mediator  $W$  instead of a four-current vertex with a coupling  $G_F$ . This new boson will have a vertex with both of the currents. This is called **Intermediate Vector Boson** theory.

The mass of this boson is denoted as  $M_W$ ; then in the amplitude we will need to insert a factor

$$\frac{1}{q^2 - M_W^2}, \quad (1.205)$$

which avoids the divergence. Here  $q^2$  is the square of the four-momentum of the carrier: in simple processes it will just be given by  $q^2 = s$ . Then, we go from  $\sigma \sim G_F^2 s$  to

$$\sigma \sim \left( \frac{1}{q^2 - M_W^2} \right)^2 s, \quad (1.206)$$

which scales as  $\sigma \sim 1/s$  when  $s$  diverges.

A massless mediator would not work, even though it would fix the ultraviolet problems of our theory, because of the observed behaviour at low energies. The interaction we see does not have an infinite range, like the photon; instead it has a very short range. Because of the measured value of  $G_F$ , we expect this boson's mass  $M_W$  to be of the order of 100 GeV, since at low energies the Breit-Wigner factor reduces to

$$\frac{g_w^2}{q^2 - M_W^2} \sim \frac{g_w^2}{M_W^2} \sim G_F \implies M_W \sim \frac{g_w}{\sqrt{G_F}}, \quad (1.207)$$

and we expect the coupling  $g_w$  to be of order one. We see no  $q^2$  dependence in  $G_F$  at low energies  $\lesssim 30$  GeV, which supports this hypothesis.

Now we need to describe this as a gauge theory. The symmetry group will be  $SU(2)_L$  and we will have  $2^2 - 1 = 3$  generators. The photon is described by  $U(1)$  symmetry, and it has no mass term  $\sim m^2 A^\mu A_\mu$ . If we were to insert such a term we would lose gauge symmetry. We must then solve the problem of implementing a gauge theory description of a massive boson.

Let us consider the problem kinematically: if a vector boson is massive we can go to its rest frame, so the polarization vector has *three* degrees of freedom: so, this new boson will need to have a new degree of freedom.

If we break gauge freedom, there will be no way anymore to describe our vector boson by imposing it with the Gupta-Bleuer condition: so, we will get states of negative probability.

Also, gauge invariance ensures the **renormalizability** of the theory: the possibility to be able to change the parameters of the theory with the energy so that we do not get diverging contributions from loop diagrams.

Now we have a dilemma: beauty versus pragmatism.

How do we provide a mass to the  $W$  vector boson?

As we were discussing, we could add a mass term and write

$$\mathcal{L} = \mathcal{L}_{\text{Yang-Mills}} + M^2 W_\mu^+ W^{\mu-}, \quad (1.208)$$

but this term *brutally* breaks the symmetry. This is explicit breaking of the symmetry.

However, if we do not break the symmetry we cannot reproduce the data... or can we?

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### 1.4.5 Spontaneous Symmetry Breaking

We introduce **Spontaneous Symmetry Breaking**. This is a phenomenon which is not exclusive to HEP: it happens in ferromagnets, for example. They start off (above the Curie temperature) with the spins pointing in uniformly distributed directions: the situation is symmetric. As we cool them, at a certain stage all the spins align. We cannot predict the direction along which they will align (since the initial state is symmetric), but once they do the symmetry is *spontaneously broken*.

Let us take the standard approach (also done in the Theoretical Physics course [Tis20, sec. 5.2]) introduce the Lagrangian of a complex scalar field  $\phi$ :

$$\mathcal{L} = (\partial^\mu \phi^*(x)) (\partial_\mu \phi(x)) \underbrace{-\mu^2 |\phi(x)|^2 - \lambda^4 |\phi(x)|^4}_{-V(\phi)}, \quad (1.209)$$

and to find the ground state we can move to the Hamiltonian:

$$\mathcal{H} = \pi(x)\dot{\phi}(x) - \mathcal{L}. \quad (1.210)$$

The parameter  $\lambda$  must be  $> 0$ , while  $\mu^2$  has no constraints.

It is a critical parameter: if  $\mu^2$  is positive we are in the symmetric phase of the system, and the vacuum is only  $\phi = 0$ : the VEV is  $\langle 0 | \phi | 0 \rangle = 0$ .

If, on the other hand,  $\mu^2$  is negative we transition to a new phase which is not symmetric: the vacuum becomes a whole circle, whose VEV is  $v = \sqrt{-\mu^2/2\lambda}$ . The whole region parametrized as  $ve^{i\theta}$ , with  $\theta \in \mathbb{R}$ , provides equivalent vacua: a specific ground state is not symmetric under the whole symmetry of the Lagrangian.

Why do we only have terms in  $\phi^2$  and  $\phi^4$ ? we basically constructed the simplest potential which has the properties we want.

If  $\mu^2 > 0$  we can perturb around the state without the quartic term, which is described by the KG equation.

If, instead, we want to perturb around a vacuum in the  $\mu^2 < 0$  case we need to distinguish two directions, since the Hessian of the potential has two different eigenvalues, one positive and one equal to zero. We parametrize

$$\phi = \frac{1}{\sqrt{2}}(v + \sigma(x) + i\eta(x)), \quad (1.211)$$

where  $\sigma$  and  $\eta$  are both real.

The Lagrangian can then be rewritten as

$$\mathcal{L} = \frac{1}{2}\partial^\mu\sigma\partial_\mu\sigma + \frac{1}{2}\partial^\mu\eta\partial_\mu\eta + 2\lambda v^2\frac{1}{2}\sigma^2 - \frac{\lambda}{4}(\sigma^2 + \eta^2)^2 - \lambda v\sigma(\sigma^2 + \eta^2), \quad (1.212)$$

so we have two real fields, one massive ( $\sigma$ ) and one massless ( $\eta$ ). The massless field is called a **Goldstone boson**.

If we compute the VEV of  $\phi$  in this configuration we get  $v/\sqrt{2}$ .

In general, the Goldstone theorem states that for each broken symmetry generator we get a massless boson.

It seems that instead of solving the problem of our massless gauge bosons we have created another problem, predicting more massless particles; but in fact our two problems solve each other.

We must break a different symmetry, though: a gauge local symmetry, instead of a global one. If we explicitly break a  $U(1)$  global symmetry, we have a Goldstone boson. If we break a  $U(1)$  local symmetry, instead, we get a massless vector boson and a massless scalar. This spontaneous breaking of local gauge symmetry is the **Higgs mechanism**.

### SQED Higgs mechanism

We will see this explicitly, with the breaking of the scalar-QED  $U(1)$  symmetry: let us consider a Lagrangian

$$\mathcal{L} = (D^\mu\phi)^*D_\mu\phi - \mu^2|\phi|^2 - \lambda|\phi|^4 - \frac{1}{4}F^{\mu\nu}F_{\mu\nu}, \quad (1.213)$$

where  $D_\mu = \partial_\mu + iqA_\mu$ . This is similar to a Lagrangian describing a fermion, but we substitute it with a complex scalar field with charge  $q$ .

This Lagrangian has a  $U(1)$  gauge symmetry, whose action is

$$\phi \rightarrow e^{-iq\alpha(x)}\phi \quad (1.214)$$

$$\phi^* \rightarrow e^{iq\alpha(x)}\phi^* \quad (1.215)$$

$$A_\mu \rightarrow A_\mu + \partial_\mu\alpha. \quad (1.216)$$

If  $\mu^2 > 0$  we have no issues: the only minimum is the global one at  $\phi = A_\mu = 0$ . This is the only configuration which is Lorentz invariant: any other vector would define a direction, breaking Lorentz symmetry.

The last point also holds if  $\mu^2 < 0$ ; so the possible vacua are those defined as  $\phi = ve^{i\theta}/\sqrt{2}$  and  $A^\mu = 0$ . Let us perturb as we did before: if we define

$$\phi(x) = \frac{1}{\sqrt{2}}(v + \sigma(x) + i\eta(x)), \quad (1.217)$$

the Lagrangian can be rewritten as

$$\begin{aligned} \mathcal{L} = & \frac{1}{2}\partial^\mu\sigma\partial_\mu\sigma - \frac{1}{2}(2\lambda v^2)\sigma^2(x) - \frac{1}{4}F^{\mu\nu}F_{\mu\nu} \\ & + \frac{1}{2}(qv)^2A_\mu A^\mu + \frac{1}{2}\partial^\mu\eta\partial_\mu\eta + qvA^\mu\partial_\mu\eta + \text{higher-order interactions}. \end{aligned} \quad (1.218)$$

This Lagrangian describes a real scalar  $\sigma$  with mass  $\sqrt{2\lambda v^2}$ ; a massless real scalar  $\eta$ ; a massive vector boson and the interactions between them.

Let us count degrees of freedom: we started with a complex scalar  $\phi$  (2 dof) and a massless vector (2 dof); now we have two real scalars (1 dof each) and a massive vector (3 dof): we have gone from a total of four to a total of five! So, there must be an unphysical field between these.

In fact, we can do a gauge transformation (going to the *unitary gauge*) so that  $\phi$  is real everywhere: this removes the need for  $\eta$ . After this manipulation, the Lagrangian will read

$$\begin{aligned} \mathcal{L} = & \frac{1}{2}\partial^\mu\sigma\partial_\mu\sigma - \frac{1}{2}(2\lambda v^2)\sigma^2 - \frac{1}{4}F_{\mu\nu}F^{\mu\nu} \\ & + \frac{1}{2}(qv)^2A_\mu A^\mu + \text{higher-order interactions}, \end{aligned} \quad (1.219)$$

so we are left with a massive scalar  $\sigma$  (1 dof) and a massive vector  $A_\mu$  (3 dof): the total is 4 again!

It is a “transmutation” of degrees of freedom: one dof has gone from the scalar to the vector making it massive.

This is the **Higgs mechanism**.

What would  $\mu^2 < 0$  physically mean? It would be a tachyonic particle.

The field  $\sigma(x)$  is called the **Higgs field**; the would-be Goldstone boson disappears yielding the longitudinal polarization of  $A_\mu(x)$ .

We are curing two different problems: we have found massive gauge bosons, and removed the unphysical Goldstone bosons.

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### A more general formulation: $SU(2)$ symmetry breaking

This section follows Peskin pretty closely [Pes19, sec. 16.2].

We can repeat this in the general case, with the group  $G$  being broken to  $G'$ . Suppose, for clarity, that this is  $SU(2)$  being broken to  $U(1)$ .

The three vectors  $A_\mu^a$  generate rotations around the axes  $x^a$  respectively, as  $a = 1, 2, 3$ .

The adjoint representation of  $SU(2)$  is given by three real scalar fields  $\phi^a$ ; their covariant derivative is given by

$$D_\mu\phi^a = \partial_\mu\phi^a + g\epsilon^{abc}A_\mu^b\phi^c, \quad (1.220)$$

since the representation matrices in the adjoint representation are  $(t_G^b)_{ac} = if^{abc}$ .

We want to choose a potential  $V(\phi)$  which is minimized by a configuration with  $\langle |\phi^a| \rangle = v$ . A vacuum for this potential is, for example, given by  $\phi^a = v\delta^{a3}$ : it retains some rotational invariance (around the  $\hat{3}$  axis), but invariance for rotations around the other two axis is broken.

A perturbative expansion around such a vacuum will then be given by

$$\phi(x) = \left( \pi^1(x), \pi^2(x), v + h(x) \right), \quad (1.221)$$

where  $\pi^{1,2}$  are the would-be goldstone bosons, which will contribute to the longitudinal components of  $A_\mu^{1,2}$ , the bosons which become massive.

On the other hand,  $A_\mu^3$  remains massless. As we go to the unitary gauge we can eliminate  $\pi^{1,2}$ : so we get

$$\phi(x) = (0, 0, v + h(x)). \quad (1.222)$$

We know that

$$D_\mu \phi^a = \partial_\mu h \delta^{3a} + g\epsilon^{abc} A_\mu^b \phi^c \quad (1.223)$$

$$= \partial_\mu h \delta^{3a} + g\epsilon^{ab3} A_\mu^b (v + h(x)). \quad (1.224)$$

The kinetic term of  $\phi^a$  will then become:

$$\frac{1}{2} (D_\mu \phi^a)^2 = \frac{1}{2} D_\mu \begin{bmatrix} 0 & 0 & v + h \end{bmatrix} D^\mu \begin{bmatrix} 0 \\ 0 \\ v + h \end{bmatrix} \quad (1.225)$$

$$= \frac{1}{2} \left[ g\epsilon^{ab3} A_\mu^b (v + h) + \partial_\mu h \delta^{a3} \right]^2 \quad (1.226)$$

Square entails contraction of both  $a$  and  $\mu$ .

$$= \frac{g^2 v^2}{2} \epsilon^{ab3} A_\mu^b \epsilon^{ad3} A^{d,\mu} + \mathcal{O}(h) \quad (1.227)$$

$$= \frac{g^2 v^2}{2} (A_\mu^1 A^{\mu 1} + A_\mu^2 A^{\mu 2}) + \mathcal{O}(h). \quad (1.228)$$

So,  $A^{1,2}$  became massive, with mass  $M_W^2 = g^2 v^2$ , while  $A^3$  remained massless.

As  $SU(2)$  is broken to  $U(1)$ , the 3 generators  $A_\mu^a$ , with  $a = 1, 2, 3$  are broken to give two massive vector bosons ( $W^\pm$ ) and one massless vector boson (the photon), while the real field  $\sigma$  is the Higgs field.

The two  $W$  bosons are not actually the components  $A^{1,2}$ : instead, we choose them to be the eigenvalues of rotations around the  $z$  axis:

$$W_\mu^\pm = \frac{1}{\sqrt{2}} (A_\mu^1 \mp i A_\mu^2), \quad (1.229)$$

since the rotation matrix around the  $z$  axis in the spin-1 representation is given by

$$J^3 = \begin{bmatrix} 0 & -i & 0 \\ i & 0 & 0 \\ 0 & 0 & 0 \end{bmatrix}, \quad (1.230)$$



whose eigenvectors are indeed  $(1, \mp i, 0)$  with eigenvalues  $\pm 1$ .

This is called the **Georgi-Glashow model**. It predicts two massive bosons of the  $V - A$  interaction. However, it does not work well phenomenologically.

### Hypercharge: why the GG model does not work

This was a computationally easy example to clarify what this mechanism looks like, not the one we actually will use: we will have to choose another symmetry group.

The issue lies with the fact that we are associating electric charge with the generator of rotations about  $\hat{3}$ . We know that an electron current can be turned into an electronic neutrino current, and that the neutrino is electrically neutral. They must belong to the same isospin multiplet in order for this to happen. Isospin ( $I$ ) is what we call rotation in the three-dimensional space the  $SU(2)$  symmetry was initially defined in. Rotation about the  $\hat{3}$  axis then corresponds to the operator  $I_3$ ; the algebra of these operators is that of a rotation representation,  $[I_i, I_j] = i\epsilon_{ijk}I_k$ . When we say “isospin multiplet” we mean that the value of  $I^2 = j(j+1)$  is fixed; then the value of  $I_3$  will go from  $-j$  to  $j$ .

We cannot have a doublet with only  $\nu$  and  $e^-$  because of the fact that the neutrino is neutral: the eigenvalues of the rotation about the 3 axis would have to be 0 and 1. We need a particle with eigenvalue  $-1$  with respect to rotations about the  $\hat{3}$  axis, so with positive charge.

We then predict the existence of a heavy electron  $E^+$ , such that the triplet looks like

$$\begin{bmatrix} E^+ \\ \nu \\ e^- \end{bmatrix}, \quad (1.231)$$

where the eigenvalues of this rotation around the  $\hat{3}$  axis are  $-1, 0, 1$  respectively. This heavy electron was not observed; the experimental bound is at  $M_{E^+} \leq 400 \text{ GeV}$  currently. We would expect to then see processes like  $u + E^+ \rightarrow d + \nu$ , but we do not.

Is the positron  $e^+$  not a candidate for this? Why do we say that this particle would need to be “heavy”? Or are we already implicitly considering antiparticles maybe?

This will be a way to unify electromagnetic and weak interactions, and we will get to use a single coupling constant for our new electroweak theory.

### 1.4.6 Electroweak symmetry breaking

The correct symmetry group for the electroweak theory, as Glashow showed in 1961, is

$$SU(2)_L \otimes U(1)_{\text{hypercharge}}, \quad (1.232)$$

where the hypercharge is usually denoted as  $Y$ . We have three vector fields for  $SU(2)$ , which we call  $A_\mu^i$ , and also a vector field for  $U(1)$ :  $B_\mu$ . Note that these do not have a direct correspondence with the fields we get after SSB: hypercharge is different from electromagnetic charge.

The pair neutrino-electron is a  $I = 1/2$  doublet under  $SU(2) \times U(1)$ , we will see that one component of this doublet has charge  $+$  while the other has charge  $0$ : its transformation will look like

$$\begin{bmatrix} \nu_L \\ e_L^- \end{bmatrix} \rightarrow \underbrace{e^{-i\vec{\alpha} \cdot \vec{\sigma}/2}}_{SU(2)} \underbrace{e^{-i\beta/2}}_{U(1)} \begin{bmatrix} \nu_L \\ e_L^- \end{bmatrix}. \quad (1.233)$$

The bosons in this theory start off as massless, and therefore the fields

$$W_\mu^\pm = \frac{1}{\sqrt{2}} (A_\mu^1 \mp iA_\mu^2) \quad (1.234)$$

are massless as well. However, we want massive  $W$  bosons with  $M_W \sim 100 \text{ GeV}$ ! At the end of the sixties Weinberg and Salam introduced the Higgs mechanism in this theory. The idea is to interpret the scalar field as a  $I = 1/2$  representation of rotation: it will transform under the symmetries of the theory as

$$\varphi = \begin{bmatrix} \varphi^+ \\ \varphi^0 \end{bmatrix} \rightarrow e^{i\vec{\alpha} \cdot \vec{\sigma}/2} e^{i\beta/2} \begin{bmatrix} \varphi^+ \\ \varphi^0 \end{bmatrix}. \quad (1.235)$$

So, the lepton doublet has a charge  $-1/2$  with respect to the  $U(1)$  symmetry, while the field has a symmetry  $+1/2$ .

Suppose the potential of the field reads:

$$V(\phi) = -\mu^2 |\phi|^2 + \lambda |\phi|^4, \quad (1.236)$$

whose minimum is defined by

$$0 = -2\mu^2 \phi + 4\lambda \phi |\phi|^2, \quad (1.237)$$

therefore the minimum is a sphere (since the two complex fields correspond to four real degrees of freedom) with  $|\phi|^2 = |\phi^+|^2 + |\phi^0|^2 = \mu^2/2\lambda$ ; so we define  $v = \mu/\sqrt{\lambda}$ .

Up to a rotation, the VEV of our field will be

$$\langle \phi \rangle_0 = \frac{1}{\sqrt{2}} \begin{bmatrix} 0 \\ v \end{bmatrix}. \quad (1.238)$$

This vacuum breaks the  $SU(2)_L \times U(1)_Y$  symmetry. We can expand around it in the following manner:

$$\phi(x) = \begin{bmatrix} \pi^+(x) \\ \frac{v+h(x)+i\pi^3(x)}{\sqrt{2}} \end{bmatrix}, \quad (1.239)$$

where  $\pi^+ = (\pi^1 + i\pi^2)/\sqrt{2}$  is a complex perturbation encompassing two real degrees of freedom.

As we did before, we can gauge away the unphysical Goldstone bosons  $\pi^{1,2,3}$ ; the real field  $h(x)$  remains.

How do the bosons of this theory **couple to fermions**? The couplings can only have specific forms, fixed by gauge invariance: the covariant derivative will read:

$$D_\mu \Psi = \left( \partial_\mu - ig A_\mu^a I^a - ig' B_\mu Y \right) \Psi, \quad (1.240)$$

where  $g$  and  $g'$  are the coupling of  $SU(2)$  weak isospin and  $U(1)$  hypercharge respectively;  $I^a$  are the generators of  $SU(2)$  in the  $SU(2)$  representation acting on  $\Psi$ , and  $Y$  is the hypercharge, a scalar.

In principle,  $g$  and  $g'$  are independent, so we keep them distinct. Let us now apply  $D_\mu$  to the field  $\phi$  around the vacuum with only the  $h$  perturbation, as

$$D_\mu \phi = \left( \partial_\mu - ig A_\mu^a I^a - ig' B_\mu Y \right) \begin{bmatrix} 0 \\ \frac{v+h(x)}{\sqrt{2}} \end{bmatrix}, \quad (1.241)$$

of which we take the square norm, up to zeroth order in  $h$ :

$$|D_\mu \phi|^2 = \frac{1}{2} \begin{bmatrix} 0 & v \end{bmatrix} \left( g A_\mu^a \frac{\sigma^a}{2} + g' B_\mu \frac{1}{2} \right) \left( g A^{b,\mu} \frac{\sigma^b}{2} + g' B^\mu \frac{1}{2} \right) \begin{bmatrix} 0 \\ v \end{bmatrix} (+\mathcal{O}(h)) \quad (1.242)$$

$$= \frac{1}{2} g^2 v^2 \frac{1}{4} \underbrace{\left( A_\mu^1 A^{1,\mu} + A_\mu^2 A^{2,\mu} \right)}_{\substack{(gv/2)^2 W_\mu^+ W^{\mu,-} \\ M_W^2}} + \frac{1}{2} \frac{v^2}{4} \left( -g A_\mu^3 + g' B_\mu \right)^2. \quad (1.243)$$

So, we have found two massive  $W^\pm$  bosons, and the **combination**  $-g A_\mu^3 + g' B_\mu$  has also gained mass.

Let us define  $\theta_w$ , the Weinberg angle, by  $\tan \theta_w = g'/g$ . Then we will have

$$\cos \theta_w = \frac{g}{\sqrt{g^2 + g'^2}} \quad \text{and} \quad \sin \theta_w = \frac{g'}{\sqrt{g^2 + g'^2}}, \quad (1.244)$$

and we define the electromagnetic field  $A_\mu$  and the  $Z_\mu$  boson by the two orthogonal combinations:

$$A_\mu = \sin \theta_w A_\mu^3 + \cos \theta_w B_\mu \quad (1.245)$$

$$Z_\mu = \cos \theta_w A_\mu^3 - \sin \theta_w B_\mu, \quad (1.246)$$

so that the kinetic term reads

$$\frac{1}{2} \frac{v^2}{4} \left( -g A_\mu^3 + g' B_\mu \right)^2 = \frac{m_Z^2}{2} Z^\mu Z_\mu, \quad (1.247)$$

where  $m_Z^2 = (g^2 + g'^2)v^2/4$ , while there is no mass term for  $A$ : so,  $m_A = 0$ .

The residual gauge symmetry can be identified with  $U(1)_{\text{em}}$ . When the symmetry is broken, we are left with a long-range interaction and a short range one.

The combination under which the vacuum is invariant is

$$T^3 + Y, \quad (1.248)$$

where  $T^3$  is the third generator of  $SU(2)$ , while  $Y$  is the generator of hypercharge. This corresponds to

$$\phi \rightarrow e^{i\vec{\alpha} \cdot \vec{\sigma}/2} e^{i\beta/2} \phi, \quad (1.249)$$

with  $\alpha^3 = \beta$ : this is due to the fact that

$$\frac{1}{2}(\sigma^3 + \mathbb{1}) = \begin{bmatrix} 1 & 0 \\ 0 & 0 \end{bmatrix}, \quad (1.250)$$

whose exponential leaves the second component of  $\phi = (0, v/\sqrt{2})$  invariant.

In summary, the SSB has the form

$$SU(2)_L \times U(1)_Y \rightarrow U(1)_{\text{em}}, \quad (1.251)$$

and it yields the two  $W^\pm$  bosons, each with mass  $gv/2$ , and the  $Z$  boson with mass  $\sqrt{g^2 + g'^2}v/2$ . The masses of the  $W$  and  $Z$  bosons are related by:

$$m_W = m_Z \cos \theta_w, \quad (1.252)$$

so if we can devise some experiment which will measure  $\theta_w$  we can predict  $m_W/m_Z$ .

The full expression of the covariant derivative reads, using the notation  $c_w = \cos \theta_w$ ,  $s_w = \sin \theta_w$  and  $\sigma^\pm = (\sigma^1 \mp i\sigma^2)/\sqrt{2}$ :

not sure about the last one

$$D_\mu \Psi = \left[ \partial_\mu - i \frac{g}{\sqrt{2}} (W_\mu^+ \sigma^+ + W_\mu^- \sigma^-) - ig (c_w Z_\mu + s_w A_\mu) I^3 - ig (-s_w Z_\mu + c_w A_\mu) Y \right] \Psi \quad (1.253)$$

$$= \left[ \partial_\mu - i \frac{g}{\sqrt{2}} (W_\mu^+ \sigma^+ + W_\mu^- \sigma^-) - ie A_\mu Q - i \frac{g}{c_w} Z_\mu Q_Z \right] \Psi, \quad (1.254)$$

where we defined  $e = gs_w = g'c_w$ , and

$$Q = I^3 + Y \quad \text{and} \quad Q_Z = I^3 - s_w^2 Q. \quad (1.255)$$

The next bit is not super clear.

If the mass of the fermion described by  $\Psi$  is zero we can decouple the left- and right-handed parts of the spinor. We will get interactions between the left handed components, not between the right-handed components, since the  $W^\pm$  do not couple with them.

How does that come about exactly?

We recover the  $V - A$  structure: the left- and right-handed spinors have different quantum numbers with respect to  $SU(2)_L$  and  $U(1)_Y$  but the same  $Q$ , which is the quantum number corresponding to  $U(1)_{\text{em}}$ .

The  $\psi_L$  are  $SU(2)_L$  **doublets**, with  $I = 1/2$ ; the  $\psi_R$  are  $SU(2)_L$  **singlets**, with  $I = 0$ .

We then choose the values of the hypercharge such that the values of  $Q$  are compatible with experiment.

Particle	$I^3$	$Y$	$Q$
$\nu_{e,L}$	$+1/2$	$-1/2$	$0$
$\nu_{e,R}$	$0$	$0$	$0$
$e_L^-$	$-1/2$	$-1/2$	$-1$
$e_R^-$	$0$	$-1$	$-1$
$u_L^-$	$+1/2$	$1/6$	$2/3$
$u_R^-$	$0$	$2/3$	$2/3$
$d_L^-$	$-1/2$	$1/6$	$-1/3$
$d_R^-$	$0$	$-1/3$	$-1/3$

Figure 1.4: Electroweak quantum numbers of the fermions.

In terms of  $SU(2)_L$  multiplets, we separate:

$$\begin{bmatrix} \nu_L \\ e_L^- \end{bmatrix} \quad e_R^- \quad \begin{bmatrix} u_L \\ d_L \end{bmatrix} \quad u_R \quad d_R. \quad (1.256)$$

This is a **generation** (or family) of fermions: the “electronic” one, and we have two more: the muonic and tauonic ones.

Is this next bit useful?

If  $\mu^2$  is a function of  $T$ , then we can get a phase transition. This is called the electroweak phase transition.

#### 1.4.7 Neutral current interactions

We have introduced a term in our model which yields an important and testable prediction: the existence of a weak *neutral* current in addition to the charged ones. Let us make some simple examples for the three types of currents we have: the charged current with the  $W^\pm$  bosons mediates interactions like

$$\nu_L + d_L \rightarrow e_L^- + u_L, \quad (1.257)$$

the electromagnetic current  $A_\mu$  and the neutral current  $Z_\mu^0$  mediate interactions like

$$e_L^- + u_L \rightarrow e_L^- + u_L, \quad (1.258)$$

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however there is a distinction to be made: the electromagnetic current can only be coupled to charged particles, so a process like

$$\nu_L + u_L \rightarrow \nu_L + u_L \quad (1.259)$$

can only be mediated by the  $Z^0$  boson, since the neutrino is neutral! This kind of interaction has been experimentally observed!

So, there are certain processes which can be mediated by both the  $Z^0$  boson and the photon. Does this mean that people needed to revise their estimate of the electromagnetic coupling, since electromagnetism was not the only contributor to those scatterings?

## 1.5 The Standard Model of particle physics

The Lagrangian reads:

$$\mathcal{L} = -\frac{1}{4}F_{\mu\nu}F^{\mu\nu} + i\bar{\psi}\not{D}\psi + \psi_i y_{ij} \psi_j \phi + \text{h. c.} + \left|D_\mu\phi\right|^2 - V(\phi). \quad (1.260)$$

Let us unpack the terms:

1.  $F_{\mu\nu}F^{\mu\nu}$  encompasses the kinetic and self-interaction terms of all the interaction bosons (photon,  $W^\pm$ ,  $Z^0$ , gluons);
2.  $i\bar{\psi}\not{D}\psi$  encompasses all the kinetic terms of the fermions ( $\bar{\psi}\gamma^\mu\partial_\mu\psi$ ) and the interaction terms between the fermions and the gauge bosons:  $g\bar{\psi}\gamma^\mu A_\mu\psi$ ;
3.  $\psi_i y_{ij} \psi_j \phi$  is the interaction between the Higgs field and the fermions, which gives mass to the fermions and which we will discuss in the next section;
4.  $\left|D_\mu\phi\right|^2$  is the kinetic term of the scalar (Higgs) field  $\phi$ , also including the interactions between it and the vector bosons;
5.  $V(\phi)$  is the potential for the scalar field, it must be at least quartic.

“h. c.” means Hermitian Conjugate, it is needed in order to ensure that everything is self-adjoint.

The symmetry which determines this theory is

$$\text{Lorentz} \otimes SU(3)_c \otimes SU(2)_L \otimes U(1)_Y. \quad (1.261)$$

Starting from the symmetry, the only other prescription needed are the quantum numbers of the various particles: we can make a table. As we have seen, the fermions are divided into left-handed isospin doublets and right-handed singlets.

	Name	$T_3$ (SU(2))	$Y$	$Q$
Leptons (no $SU(3)$ charge)	$\nu_L$	$+1/2$	$-1/2$	$0$
	$e^-$	$-1/2$	$-1/2$	$-1$
	$\bar{\nu}_R$	$0$	$0$	$0$
	$e_R^-$	$0$	$-1$	$-1$
Higgs scalar	$\phi^+$	$+1/2$	$+1/2$	$+1$
	$\phi^0$	$-1/2$	$+1/2$	$0$
Quarks ( $SU(3)_c$ triplets)	$u_L$	$+1/2$	$1/6$	$2/3$
	$d_L$	$-1/2$	$1/6$	$-1/3$
	$u_R$	$0$	$2/3$	$2/3$
	$d_R$	$0$	$-1/3$	$-1/3$

Figure 1.5: Particles

Here we write only one of the generations for both leptons and quarks. The quantum numbers for the other generations are the same. An unanswered question is *why* exactly there are three families.

We are always computing the electric charge as  $Q = T_3 + Y$ , where  $T_3$  is the generator of  $SU(2)_L$  rotations around the  $\hat{3}$  axis. Sometimes we write “1” for the right-handed quarks under  $T_3$ , this is not the eigenvalue but it is used to mean “singlet”.

For the  $SU(3)$  we have 8 generators (corresponding to the gluons), for  $SU(2)$  we have three generators, for  $U(1)$  we only have 1 generator: these four, after SSB, are three massive bosons and the photon.

The assignment of the charges cannot come from the symmetry, it must be determined experimentally.

The right-handed neutrino does not appear here: it should be invariant under any gauge transformation. This would then be the *sterile* neutrino: it would not interact with matter by any of the forces of the Standard Model.

It makes sense not to include it *a priori* then, however we can keep it in mind: it is a DM candidate.

Can we say anything about its possible mass? There are schemes in which the RH neutrino enters, and in which it can be assigned a mass. However, in general this is a free parameter: in some contexts we can give it a specific value, but we cannot say anything about its mass from basic Standard Model theory.

There are experiments at Fermilab which could point indirectly at their existence.

The rule is always:

*Write all the terms in your Lagrangian which are invariant under your symmetry and which have dimension 4.*

Should we not include also some prescription for the couplings? No, this is included in the symmetry: if we have the coupling constants  $g_s$ ,  $g$  (weak) and  $g'$  (hypercharge) we can determine everything else.

The issue is that, before including the Higgs boson, everything is massless.

Gluons and quarks have the same “destiny”: there is confinement when  $g_s$  becomes large.

The charged Higgs component  $\phi^+$  gives mass to the  $W^\pm$  vector bosons of the electroweak interaction, the  $\phi^0$  gives mass to the  $Z^0$  vector boson.

### 1.5.1 Fermions’ mass terms

We have the massless  $G^a$  and  $A^\mu$ , and the massive  $W^\pm$  and  $Z^0$ . These are the terms we’ve written so far: where do the  $\bar{\psi}m\psi$  terms come from?

The kinetic term has dimension 2<sup>2</sup>, which is fine, the wavefunction has dimension 3/2 while the derivative has dimension 1. So, also a term  $\bar{\psi}m\psi$  would be fine dimensionally. Is it symmetric? Let us consider the issue with the left- and right-handed components. If we were to write something like  $\bar{\psi}_L\psi_L$  or  $\bar{\psi}_R\psi_R$  we would get

$$\bar{\psi}_{L/R}\psi_{L/R} = \bar{\psi}\left(\frac{1 \mp \gamma_5}{2}\right)\left(\frac{1 \pm \gamma_5}{2}\right)\psi = 0, \quad (1.262)$$

since we are computing the product of two orthogonal projectors.

So, the only terms which do not vanish look like  $\bar{\psi}_L\psi_R = \bar{\psi}_R\psi_L = \bar{\psi}\psi$ .

So he writes, but it does not work! We have two different components,  $\bar{\psi}\psi$  and  $\bar{\psi}\gamma^5\psi$ !

Let us consider electrons for example: an object like  $m\bar{e}_Le_R$  is a Lorentz invariant, but is it also gauge invariant?

The spinor  $e_L$  is in an  $SU(2)$  doublet, while the  $e_R$  is an  $SU(2)$  singlet. So, the object is not a singlet: it is not invariant under  $SU(2)_L$ , but each term in the Lagrangian must be a scalar with respect to the symmetry group (that is, it must be *symmetric*). In fact, this term is only  $U(1)_{\text{em}}$  invariant, neither its isospin nor its hypercharge are zero.

So, we cannot include this term. Does this mean that fermions are massless? Before introducing  $\phi$ , in the pure Yang-Mills theory, they indeed are.

There is only one kind of field which is invariant under spacetime transformations: a scalar. So, we could introduce a term like

$$\bar{\psi}_L^i\phi_i\psi_R, \quad (1.263)$$

where  $i$  is an index going from 1 to 2, an  $SU(2)$  index:  $\phi$ , the Higgs field, is an  $SU(2)_L$  doublet! This is not a mass term, but an interaction term between the Higgs field and the electron-left and electron-right.

Then, the way the mechanism works is by the fact that the VEV of  $\phi$  is  $v \neq 0$ , so at low energies we will see an effective mass term. The term we put in the Lagrangian will look like

$$y^{ij}\bar{\psi}_L^i\phi\psi_R^j, \quad (1.264)$$

where now the indices  $i$  and  $j$  run over the possible fermions. We will then have

$$M_\ell = y_\ell v, \quad (1.265)$$



and the matrix will be  $y^{ij} = \delta^{ij} y^j$ .

Similarly we will have mass terms for the leptons, up and down quarks. These are free parameters of the theory, and they must be different. The VEV of the Higgs field is fixed by the masses of the  $W$  and  $Z$  bosons: it is of the order 100 GeV.

But the mass of the electron is  $m_e \sim 511$  keV: so, we must have  $y_e \sim 10^{-5}$ .

The price we pay for this is the fact that the number of free parameters increases. This is a “dirty part” of the theory.

Why are these parameters so different? This is the *flavour problem*.

Stuff is not super clear here.

Let us write the most general set of Yukawa couplings [Pes19, eq. 18.24]:

$$\mathcal{L}_{\text{coupling}} = -y_e^{ij} L_a^{\dagger,i} \phi_a e_R^j + y_d^{ij} Q_a^{\dagger,i} \phi_a d_R^j - y_u^{ij} Q_a^{\dagger,i} \epsilon_{ab} \phi_b^* u_R^j + \text{h. c.} \quad (1.266)$$

The matrices  $y_f^{ij}$  are called the Yukawa matrices. The indices  $i$  and  $j$  label fermion generations (1, 2, 3 for electron-like, muon-like and tau-like). They are not Hermitian in general, however we can construct

$$y_f y_f^\dagger = U_L^{(f)} Y_f U_L^{(f)\dagger} \quad \text{and} \quad y_f^\dagger y_f = U_R^{(f)} Y_f U_R^{(f)\dagger}, \quad (1.267)$$

and if the matrix  $\sqrt{Y_f}$  is block-diagonal in generation space then we can write

$$y_f = U_L^{(f)} \sqrt{Y_f} U_R^{(f)\dagger}. \quad (1.268)$$

So, if we change variables as

$$e_R^i \rightarrow U_{R,ij}^{(e)} e_R^j \quad \text{and} \quad L^i \rightarrow U_{L,ij}^{(e)} L^j, \quad (1.269)$$

the matrices  $U_{L,R}$  disappear from the couplings.

This works well for the leptons; for the quarks there is an issue, in their coupling to the  $W$  boson we are left with a term

$$u_L^\dagger (i\vec{\sigma}^\mu) d_L = u_L^\dagger U_L^{(u)\dagger} (i\vec{\sigma}^\mu) U_L^{(d)} d_L \quad (1.270)$$

$$= u_L^\dagger (i\vec{\sigma}^\mu) \underbrace{U_L^{(u)\dagger} U_L^{(d)}}_{V_{CKM}} d_L. \quad (1.271)$$

But why does this happen? what is it about the quarks that makes those matrices not cancel?

This all has to do with the fact that mass eigenstates and flavour eigenstates are different, methinks.

In the  $V_{CKM}$  matrix we have the freedom to choose three (Euler) angles (it is a rotation matrix basically) and a phase.

### 1.5.2 Symmetries of the SM

Let us write the Standard Model Lagrangian *after* spontaneous symmetry breaking (so, at low energies):

$$\mathcal{L} = -\frac{1}{4} \sum_a \left( F_{\mu\nu}^a \right)^2 + m_W^2 W_\mu^+ W^{-\mu} + \frac{1}{2} m_Z^2 Z_\mu Z^\mu + \sum_f \bar{\psi}_f \left( i \not{D} - m_f \right) \psi_f + \frac{1}{2} \left( \partial_\mu h \right)^2 - V(h), \quad (1.272)$$

where  $a$  runs over all our  $8 + 3 + 1 = 12$  gauge bosons (8 gluons, the  $W^\pm$  and  $Z^0$ , the photon), and the covariant derivative is given by:

$$D_{\mu f} = \partial_\mu - ie Q_f A_\mu - i \frac{g}{\cos \theta_w} Q_{Zf} Z_\mu - ig_s A_\mu^a t^a. \quad (1.273)$$

Something that should have come up before: what's up with the  $W$  mass term? It does not look like a usual mass term...

The weak force interactions are diagonal for the leptons, proportional to  $V_{CKM}$  for the quarks.

Let us discuss the remaining symmetries of the model. These are symmetries which are not imposed on the model by hand, instead they follow automatically from the terms which are allowed by the chosen gauge symmetries.

#### Baryon and Lepton number conservation

We define

$$B(\text{Quark}) = \frac{1}{3} \quad \text{and} \quad B(\text{antiQuark}) = -\frac{1}{3}, \quad (1.274)$$

while for any other particle we assign 0. This is conserved, but we need not impose it: the most general Lagrangian we write with our symmetries has it. This is a global symmetry:  $U(1)_B$ .

The way to find it is to construct a baryonic current  $j_B^\mu$ , in such a way that it is conserved in our Lagrangian, then the integral of  $j_B^0$  will give the conserved charge.

This has heavy consequences: the lightest baryon is the proton. If it were to decay, this would not conserve baryon number.

If we are allowed to violate baryon number conservation we can have a decay like  $p \rightarrow e^+ + \gamma$ , which would occur and destabilize atoms.

We get a bound on the lifetime of the proton of

$$\tau_{\text{proton}} > 10^{32} \text{ yr}. \quad (1.275)$$

We also have lepton number conservation. This is more interesting since we have neutrinos, which are hard to detect.

We will see a method to give mass to neutrinos, which will however violate lepton number conservation.

### ***C, P and T symmetries***

Strong and EM interaction conserve these three symmetries, while the coupling of the weak bosons to the fermions violate *C* and *P* maximally. If the couplings were real-valued, *CP* symmetry would be preserved, but the  $V_{CKM}$  matrix has a physical phase, so this is not the case.

By the *CPT* theorem, *T* is also violated.

### **Flavour number conservation**

The only thing which couples different families of fermions together is the CKM matrix, which gives mixing terms between the quarks, as

$$\bar{u}_i \gamma^\mu (V_{CKM})_{ij} \phi_j, \quad (1.276)$$

and the Cabibbo angle measures how much this happens; we then expect to see decays like  $u \rightarrow s + W^+$ .

For leptons, instead, we expect perfect conservation of lepton number since there is no mixing. Experimentally this seems to be quite well verified: if process like  $\mu \rightarrow e\gamma$  or  $\tau \rightarrow e\gamma$  happen they must do so extremely rarely.

### **1.5.3 Neutrino masses**

In the mass term we add to the Yukawa Lagrangian, the index  $a$  is an SU(2) index, and the Higgs field looks like

$$\phi = \begin{bmatrix} \phi^+ \\ \phi^0 \end{bmatrix}; \quad (1.277a)$$

we have two terms like

$$\begin{bmatrix} \nu_L & e_L^- \end{bmatrix} \begin{bmatrix} \phi^+ \\ \phi^0 \end{bmatrix} e_R, \quad (1.278a)$$

and also

$$\begin{bmatrix} \nu_R^c & e_R^+ \end{bmatrix} \begin{bmatrix} \phi^+ \\ \phi^0 \end{bmatrix} e_R^-. \quad (1.279a)$$

This means that the neutrino is massless: the VEV of  $\phi_a$  is  $(0, v)$ , so only the **second** component gains mass after SSB. So, we get Dirac mass terms for the electron but not for the neutrino.

This is equivalent to saying that the mass matrix for the charged leptons is diagonal: there is no mixing.

How can we detect whether neutrinos have mass, **experimentally**? A path is  **$\beta$ -decay**:

$$n \rightarrow p + e^- + \bar{\nu}_e. \quad (1.280)$$

We look at the so-called Kurie plot: on the horizontal axis we put the measured energy of the electrons  $E_e$ , on the vertical axis we put the square root of the number of electrons measured at that energy (in a small range around it: it is a histogram):  $\sqrt{N_e}$ . This plot is expected to look like a straight line if the neutrinos are massless, with some electrons reaching the maximum center-of-mass energy; on the other hand if neutrinos are massive the kinematics of the process change and the curve dips down earlier.

People have measured this to a very high degree of precision. What we have found up to now is a bound  $m_{\nu_e} < 2 \text{ eV}$  in these beta decay experiments.

The result that the neutrinos are massive did not come from here.

Other paths are **neutrino oscillations** and bounds from **cosmology**. From the neutrino oscillations we have the result that, at least for some neutrinos,  $m_\nu \neq 0$ .

However, in the Standard Model neutrinos are massless. How can we model their having mass?

Ettore Majorana proposed a way to give a mass for the neutrino (or any neutral fermion, really).

The Dirac Lagrangian, as we saw, after SSB reads:

$$\mathcal{L}_{\text{Dirac}} = \psi_R^\dagger (i\sigma \cdot \partial) \psi_R + \psi_L^\dagger (i\bar{\sigma} \cdot \partial) \psi_L - m \left( \psi_R^\dagger \psi_L + \psi_L^\dagger \psi_R \right), \quad (1.281)$$

where  $m = m_f = y_f v / \sqrt{2}$ . However, in our SM we did not introduce a right-handed neutrino! So, one possibility to give mass to the left-handed neutrino is to introduce a right-handed one, with a term like

$$\Delta \mathcal{L}_{\text{Yukawa}} = -y_\nu^{ij} L_a^{\dagger i} \epsilon_{ab} \phi_b^* \nu_R^j, \quad (1.282)$$

in analogy to the term we have for quarks. This yields a term  $\nu_L^\dagger \phi_0 \nu_R$ , which near the vacuum gives mass to the neutrinos, with a term like

$$m_\nu^{ij} = -y_\nu^{ij} \frac{v}{\sqrt{2}}. \quad (1.283)$$

We know that if the neutrinos do indeed have a mass it is very small, of the order of an eV or less. So, we choose a basis in which the interaction of the  $\nu_L$  with the charged leptons are “diagonal”:  $\bar{\nu}_L^i \gamma^\mu \ell_L^j W_\mu$ , where  $\ell$  is a lepton (electron, muon, tauon).

As before we perform a change of variables making use of the unitary matrices  $U$ :

$$e_R^i \rightarrow U_{R,ij}^{(e)} e_R^j \quad \text{and} \quad L^i \rightarrow U_{L,ij}^{(e)} L^j. \quad (1.284)$$

Then, the fermion mass couplings will be:

$$y_\ell = U_L^{(e)} Y_\ell U_R^{(e)\dagger}, \quad (1.285)$$

and they can be chosen to be diagonal. However, in general  $y_\nu$  is not diagonalized by these unitary matrices!

The current eigenstates  $\nu_L^{(e,\mu,\tau)}$  which are produced at the charged current vertex are **different** from the mass eigenstates  $\nu_{1,2,3}$  with masses  $m_{\nu_{1,2,3}}$ .

If we wish to diagonalize  $y_\nu$ , we can do so as

$$y'_\nu = U_L^{(e)\dagger} y_\nu = U_L^{(\nu)} Y_\nu U_R^{(\nu)}. \quad (1.286)$$

The transition matrices  $U$  have three angles and one phase in freedom (which is to say, the other degrees of freedom in the matrix can be absorbed into global phases for the other fields). They are the Pontecorvo-Maki-Nakagawa-Sakata mixing matrix.

Let us connect these musings to experiment. From cosmic ray interactions we have charged pions, which decay into

$$\pi^+ \rightarrow \mu^+ + \nu_\mu, \quad (1.287)$$

where the muonic neutrino we get is a *flavour* eigenstate, since it is produced in a weak-interaction vertex; it is a linear combination of the mass eigenstates.

Then, the muon decays into

$$\mu^+ \rightarrow e^+ + \nu_e + \bar{\nu}_\mu. \quad (1.288)$$

So, naively we expect twice as many  $\nu_\mu$  as  $\nu_e$ .

Now, we know that for any particle  $p = \sqrt{E^2 - m^2} \approx E - m^2/2E$  as long as  $m$  is small compared to  $E$  (which is definitely the case for our very light neutrinos). So, the momenta of the mass eigenstates of the neutrinos at a fixed energy  $E$  are

$$p_i \approx E - \frac{m_i^2}{2E}, \quad (1.289)$$

for  $i = 1, 2, 3$ . So, if the masses are different then the momenta will be slightly ( $\mathcal{O}(m/E)$ ) different.

The wavefunction of the muonic neutrino  $\nu_\mu$  will look like

$$\sum_i V_{(\mu),i}^{PMNS} e^{i(E - m_i^2/2E)x}, \quad (1.290)$$

so we can see that the different components will go out of phase! This is very interesting, since even though the difference in the momenta is small we can measure at macroscopically different values of  $x$ , so that the phase difference is large!

Let us consider only two neutrino species for simplicity:  $\nu_e$  and  $\nu_\mu$ . In order to get the mass eigenstates from the flavour ones we will have a matrix  $V$  depending on a mixing angle  $\theta$ :

$$V = \begin{bmatrix} \cos \theta & -\sin \theta \\ \sin \theta & \cos \theta \end{bmatrix}. \quad (1.291)$$

Then, the probability of observing a  $\nu_\mu$  given that we started with one will look like

$$\mathbb{P}(\nu_\mu \rightarrow \nu_\mu) = \left| \cos^2 \theta e^{-i(m_1^2/2E)x} + \sin^2 \theta e^{-i(m_2^2/2E)x} \right|^2 \quad (1.292)$$

$$= 1 - \sin^2(2\theta) \sin^2 \left( \frac{\delta m^2}{2E} x \right), \quad (1.293)$$

so we will observe an oscillation length scale of

$$L = \frac{4\pi E}{\delta m^2} \approx 2.48 \text{ m} \left( \frac{E}{\text{MeV}} \right) \left( \frac{\text{eV}^2}{\delta m^2} \right). \quad (1.294)$$

The amplitude of this oscillation is maximal if  $\theta = \pi/4$ . Note that in order for oscillations to occur we need  $\theta \neq 0$  and  $\delta m^2 \neq 0$ .

Experimentally, we see them: at a neutrino detector we distinguish downward neutrinos, which come from the sky above the detector, and upward neutrinos, which come from the other side of the Earth (through it). We see the correct ratio  $\nu_\mu/\nu_e \approx 2$  for downward neutrinos, while for upward neutrinos the muonic flux is suppressed (and the electron-neutrino flux is isotropic).

So, we are seeing  $\nu_\mu \leftrightarrow \nu_\tau$  flavour mixing with a length scale comparable to the Earth's diameter.

Are we sure about this? could it not be that the length scale is (much) smaller, and we are underestimating the suppression?

The parameters we get are

$$\delta m_{(\mu,\tau)}^2 \approx 2.4 \times 10^{-3} \text{ eV}^2 \approx \left( 5 \times 10^{-2} \text{ eV} \right)^2, \quad (1.295)$$

and  $\sin^2 \theta \approx 0.4$ .

Also, we detect fewer neutrinos from the Sun than we'd expect from the standard Solar model; this gives us bounds with regards to  $e$  to  $\mu, \tau$  oscillations on the order of  $|\delta m| \approx 10^{-2} \text{ eV}$  and  $\sin^2 \theta \approx 0.3$ .

From these measurement, we get that all the neutrino masses are within about a tenth of an electronVolt of each other, two of them being close. We do not know the hierarchy: is the lone one (conventionally 3) heavier or lighter than the other two?

We recently saw some indications of  $CP$  violations in neutrino physics: this is indicated by differences in the probabilities when considering oscillations between neutrino flavours and ones between *antineutrino* flavours.

There are two possibilities in order to give mass to the neutrinos. The first is to introduce right-handed neutrinos, so that we have a Dirac mass term:  $m \bar{\nu}_L \nu_R$ .

This adds two degrees of freedom to our model, since each neutrino has 2 dof.

Now,  $\nu_L$  has only two degrees of freedom: denoting by  $\alpha$  and  $\beta$  a Weyl index (spinorial, from 1 to 2) we can add to the Lagrangian a term like  $\nu_L^\alpha \nu_L^\beta \epsilon_{\alpha\beta}$ . This is a singlet under Lorentz transformations.

This term would violate lepton number conservation, since each of the left handed neutrinos increases  $L$  by 2! However we did not include it at the start, it was an accidental outcome of our model.

However,  $\nu_L$  belongs to a  $SU(2)_L$  doublet  $(\nu_L, e_L)$ , with  $T_3^{\nu_L} = +1/2$ . Therefore, the term  $\nu_L \nu_L$  would also be a  $SU(2)_L$  triplet.

Now, the bare neutrino has nonzero hypercharge and neither do two of them.

And so...?

Could we do something like a Yukawa coupling,  $\nu_L \nu_L \phi$ ? No, since  $\phi$  is a  $SU(2)_L$  doublet, and in the product between a doublet and a triplet we do not get a singlet. Also, this term would have nonzero hypercharge, so it would not be  $U(1)_Y$  invariant either.

However, if we consider  $\phi\phi$  we get a doublet times a doublet, and  $2 \times 2 = 1 + 3$ .

Does the spin algebra really work just like that?

So, we can add to the Lagrangian a term like

$$\Delta\mathcal{L} = y_{ij}^M \left( L_{a\alpha}^i \epsilon_{ab} \phi_b \right) \left( L_{c\beta}^j \epsilon_{cd} \phi_d \right) \epsilon_{\alpha\beta}, \quad (1.296)$$

where  $i, j$  are flavour indices,  $\alpha, \beta$  are Weyl spinorial indices (from 1 to 2), while  $a, b$  are  $SU(2)_L$  indices.

The tensor  $y_{ij}^M$  contains the Yukawa couplings, and it is adimensional.

If we dimension-count we find a dimension of 5, so we must divide by a mass: this will be a new mass parameter  $M$ , so that the term will be

$$y_{ij}^M \frac{L^i \phi L^j \phi}{M}. \quad (1.297)$$

Then, after SSB we substitute  $\phi$  with its VEV to get

$$M_{ij}^\nu = y_{ij}^M \frac{v^2}{2M}. \quad (1.298)$$

The left handed neutrino  $\nu_L$  is associated with its antiparticle,  $(\nu^c)_R$ . If we draw a Feynman diagram for this interaction, we will see a vertex with two fermionic lines coming towards it and two scalar ones. Both of the fermionic lines will have arrows pointing towards the vertex, since neither of them is conjugated! This shows lepton number violation graphically.

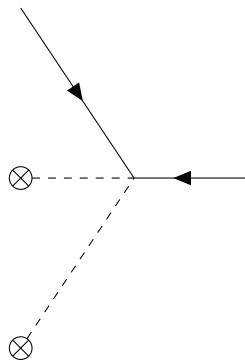


Figure 1.6:

This is a so-called **Majorana mass term**. It also entails lepton number violation.

By orders of magnitude, the Majorana mass term reads

$$M_{ij}^\nu \sim \frac{y_{ij}^M v^2}{M}, \quad (1.299)$$

and we know that  $v \sim 100 \text{ GeV}$ . If we assume  $y \sim 10^{-1} \div 10^{-2}$  we find  $M \sim 10^{13} \div 10^{14} \text{ GeV}$ . If, on the other hand, we assume  $M \sim v$  then we must have  $y \sim 10^{-13}$ . Either  $y$  is very small or  $M$  is very large, or some combination of the two.

We also have the **seesaw mechanism**. If we add a right-handed neutrino to our model, we could also get terms like  $\nu_R \nu_R$  (more precisely,  $\nu_{R,\alpha} \nu_{R,\beta} \epsilon_{\alpha\beta}$ ): the right-handed neutrino is a singlet with respect to all the gauge symmetries (it being a singlet with respect to hypercharge follows from the fact that it is one with respect to  $SU(2)_L$  and it is uncharged). This is why it is called a “sterile” neutrino, it is not affected by gauge transformations.

The term  $\nu_R \nu_R$  is Lorentz and gauge invariant; like the  $\nu_L \nu_L$  term it explicitly breaks lepton number conservation.

So, if we add to our Lagrangian a Majorana mass term for the right-handed neutrino:

$$\Delta \mathcal{L} = \frac{1}{2} M_{ij} \nu_{R,\alpha}^i \nu_{R,\beta}^j \epsilon_{\alpha\beta}, \quad (1.300)$$

BTW, why are we always antisymmetrizing the neutrinos' spinorial indices?

we have no issues related to SSB of the  $SU(2)_L \times U(1)_Y$  gauge symmetry:  $M_{ij}$  can be at any energy scale it likes.

This is a sort of seesaw model: the mass matrix (on both axes we have  $\nu_L$  and the  $\nu_R$ ) looks something like

$$\begin{bmatrix} 0 & m_{\text{Dirac}} \\ m_{\text{Dirac}} & M \end{bmatrix}. \quad (1.301a)$$

The mass of the right-handed neutrino is not “protected” by the gauge symmetry, it can be as large as it likes. This term then gives left-handed neutrinos very small masses by giving right-handed neutrinos very large ones.

It is important to find out whether the mass of the neutrino is due to a Majorana or Dirac mass term.

The experiments which can determine this are called *neutrinoless double beta decay*: a double  $\beta$  decay in which the two neutrinos produced would annihilate violating lepton number conservation.

If this were found, it would mean that neutrinos have a Majorana mass term. This concludes the discussion of the particle physics standard model. Next week we are going to start looking at the standard model of cosmology.



# Chapter 2

## Early Universe

### 2.1 Basics of cosmology

The classic textbook to be used for this part is Kolb-Turner [KT94]. For something more recent, we have Gorbunov and Rubakov [GR11]. The first part was also discussed in the course in Fundamentals of Astrophysics and Cosmology (whose notes are still being reviewed, they are more in-depth on these topics).

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We establish some basic notions in cosmology. We use natural units  $\hbar = c = k_B = 1$ , so that we have the equivalence of mass, energy, temperature and angular frequency.

The Planck units are defined by also setting  $G = 1$ . Conventionally, we do not do so and instead define a Planck mass by  $G = 1/M_P^2$ , so that  $M_P \approx 1.2 \times 10^{19}$  GeV. Because of all the equivalencies we have, this also defines a length, a time, and an actual mass.

#### 2.1.1 Homogeneous and isotropic universe

Our description of the universe begins with the simplest model, in which the metric only has one parameter, whose variation scales the size of the spatial coordinates. This is the Friedmann - Lemaître - Robertson - Walker (FLRW) metric, given by

$$ds^2 = dt^2 - a^2(t) \gamma_{ij} dx^i dx^j, \quad (2.1)$$

where  $\gamma_{ij}$  is the metric of a unit 3-sphere, 3-hyperboloid or 3-plane. Which of these three we have determines the *spatial curvature* of the universe, described by a single parameter  $k$  which can be  $-1$  for an open universe,  $0$  for a flat universe and  $+1$  for a closed universe.

The Hubble parameter is given in terms of  $a$ , by  $H(t) = \dot{a}(t)/a(t)$ . It describes the rate of expansion of the universe. If it is written with an index  $0$ , it means we are measuring it *now*.

Our model is general-relativistic, so we must solve the Einstein equations, which read

$$R_{\mu\nu} - \frac{1}{2} g_{\mu\nu} R = 8\pi G T_{\mu\nu}. \quad (2.2)$$

The pressure is assumed to linearly scale with the density, following the law  $P = w\rho$ , and fluids are characterized by their value of  $w$ :

1. matter has  $w = 0$ ;
2. radiation has  $w = 1/3$ ;
3. the vacuum has  $w = -1$ .

The stress-energy tensor is  $T^\mu_\nu = \text{diag}(\rho, -P, -P, -P)$  [KT94, eq. 3.4].<sup>1</sup>

The Friedmann equations are what we get if we substitute in the FRLW metric into the Einstein equations:

$$\left(\frac{\dot{a}}{a}\right)^2 = \frac{8\pi G}{3}\rho - \frac{k}{a^2} \quad (2.3a)$$

$$\dot{\rho} + 3\frac{\dot{a}}{a}(\rho + P) = 0 \quad (2.3b)$$

$$P = P(\rho). \quad (2.3c)$$

Only two of these equations are independent; we can interpret the dynamical  $\ddot{a}$  Friedmann equation as a consequence of the first two, which makes things easier since it is second order.

The density  $\rho$  which appears in the equations is the sum of all the ones which make up the universe, we must account for the  $w$  of all the fluids in the model we are considering.

Now we will discuss solutions to the Friedmann equations. Ones with  $k = 0$  are *spatially flat models*, and for them the first Friedmann equation reads:

$$H^2 = \frac{8\pi G}{3}\rho, \quad (2.4)$$

so in this case the absolute value of  $a$  at a specific time does not matter, only ratios of values of  $a$  at different times have physical meaning. This can be seen from the fact that the equation has a conformal global symmetry: if we map  $a \rightarrow Ca$  for some constant  $C$  the equation does not change. Also, the Friedmann equation is invariant under time translations.

## Dust solution

If we have nonrelativistic matter, which is commonly called “dust”, with  $w = 0 \implies P = 0$ , we get  $\rho \propto a^{-3}$  and  $a(t) \sim t^{2/3}$  (for time starting at a certain  $t_s = 0$ ). So, the energy density scales like  $\rho(t) \sim t^{-2}$ .

The Hubble parameter, on the other hand, is given by  $H(t) = 2/(3t)$ . This model predicts the current age of the universe to be  $t_0 = 2/(3H_0) \approx 9$  billion years, which is too short (regardless of the value we take for  $H_0$ , this does not work).

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<sup>1</sup> Note that we must be careful with the signs of the stress-energy tensor: if we lower or raise both the indices the sign of the pressure changes. It is negative only when the tensor is  $(1, 1)$ .

## Radiation solution

For relativistic matter, we have  $P = \rho/3$ , so the density scales like  $\rho \sim a^{-4}$ ,  $a(t) \sim t^{1/2}$ ,  $H = 1/(2t)$  and  $\rho = \frac{3}{32\pi G t^2}$ .

Let us assume that all the particles in the universe are in thermal equilibrium. Then, the density will scale like

$$\rho = \frac{\pi^2}{30} g_* T^4, \quad (2.5)$$

where

$$g_* = \sum_b g_b + \frac{7}{8} \sum_f g_f, \quad (2.6)$$

where the two sums are over all the bosons and fermions respectively whose masses are smaller than the current temperature (so, which are still relativistic): it is the effective number of degrees of freedom. The objects being summed are the number of spin states of each boson or fermion. This relation comes from integrating thermal distributions in momentum space in the ultrarelativistic limit (so that the particles we are considering are “radiation”); the particulars of the different statistics makes it so that the contribution for fermions to the density is smaller than that of bosons by a factor 7/8.

So, the Hubble parameter scales like

$$H^2 = \frac{8\pi G}{3} \rho \quad (2.7)$$

$$= \frac{8\pi}{3} \frac{1}{M_P^2} \frac{\pi^2}{30} g_* T^4 \quad (2.8)$$

$$= \frac{8}{90} \pi^3 g_* \frac{T^4}{M_P^2}. \quad (2.9)$$

Then, we can define a new reduced Planck mass  $M_P^*$ , such that  $H = T^2/M_P^*$ : it will need to be

$$M_P^* = \sqrt{\frac{90}{8\pi^3 g_*}} M_P \approx \frac{M_P}{1.66\sqrt{g_*}}. \quad (2.10)$$

Now, since we know  $\rho \sim a^{-4}$  and  $\rho \sim T^4$  we can write  $T \sim 1/a$ , keeping in mind however that the constant in front is not truly so for the whole evolution of the universe, instead it varies depending on which particles are decoupled at that point.

## Vacuum

Let us consider the vacuum. In flat spacetime, its stress-energy tensor is given by

$$T_{\mu\nu} = \rho_{\text{vac}} \eta_{\mu\nu}, \quad (2.11)$$

so that  $P_{\text{vac}} = -\rho_{\text{vac}}$ .

This is equivalent to the introduction of a  $-8\pi G\Lambda g_{\mu\nu}$  term to the left-hand side of the field equations: a “cosmological constant” with  $\Lambda = \rho_{\text{vac}}$ .

If we only had this fluid in our model universe we would see  $a \sim e^{H_{\text{ds}}t}$ , where

$$H_{\text{ds}} = \sqrt{\frac{8\pi G}{3} r_{\text{vac}}} . \quad (2.12)$$

Our spacetime will then be described by a metric like

$$ds^2 = dt^2 - e^{2H_{\text{ds}}t} dx^2 , \quad (2.13)$$

which is called **de Sitter** spacetime. In this case we will have  $\ddot{a} > 0$ , there will be no initial singularity.

## 2.2 The $\Lambda$ CDM model

The ingredients are:

1. Nonrelativistic matter: baryons, dark matter, and also neutrinos with masses  $m_\nu \gtrsim -3 \text{ eV}$ . Its density is denoted as  $\rho_M$ .
2. Relativistic matter: photons and neutrinos with  $m_\nu \lesssim 10^{-4} \text{ eV}$ . Its density is denoted as  $\rho_{\text{rad}}$ .
3. Dark energy: is it vacuum energy? Its density is denoted as  $\rho_\Lambda$ .

The Hubble parameter is given by the first Friedmann equation, by accounting for all of these plus curvature:

$$H^2 = \frac{8\pi G}{3} (\rho_M + \rho_{\text{rad}} + \rho_\Lambda + \rho_{\text{curv}}) , \quad (2.14)$$

where

$$\rho_{\text{curv}} = -\frac{k}{a^2} \frac{3}{8\pi G} . \quad (2.15)$$

The critical density is given by

$$\rho_c = \frac{3}{8\pi G} H_0^2 \approx 5 \times 10^{-6} \text{ GeV/cm}^3 \approx \frac{5m_p}{\text{m}^3} , \quad (2.16)$$

where the numerical value is obtained by taking  $h = 0.7$ .

By construction, if  $\rho = \rho_c$  for our universe then it is spatially flat.

We can take the ratios of  $\rho_i/\rho_c = \Omega_i$ , this quantifies how much of the density of the universe is in the form of a certain kind of fluid. If we also include  $\Omega_{\text{curv}}$ , we get  $\sum_i \Omega_i = 1$  always.

Let us give some values for them: for photons, we consider the CMB photons, which closely follow a thermal distribution at  $T_0 \approx 2.7 \text{ K}$ . By looking at these, we find

$$\Omega_\gamma \approx 2.5 \times 10^{-5} h^2 \approx 5 \times 10^{-5} . \quad (2.17)$$

Why do we only look at CMB photons? stellar fusion has an efficiency of the order of 1 %, so I'd imagine a considerable (compared to  $5 \times 10^{-5}$ ) fraction of its mass is radiated away as high energy photons (compared to the CMB)...

Even if we had neutrinos with small masses such that they are radiation today, their  $\Omega$  would be smaller than the photons', so negligible overall.

For the matter and dark energy contributions we get

$$\Omega_M = \Omega_B + \Omega_{DM} \approx 0.05 + 0.27 \approx 0.32 \quad \text{and} \quad \Omega_\Lambda \approx 0.68. \quad (2.18)$$

How do these depend on time? We have

1.  $\rho_{\text{rad}} \sim a^{-4}$ ;
2.  $\rho_M \sim a^{-3}$ ;
3.  $\rho_{\text{curv}} \sim a^{-2}$ ;
4.  $\rho_\Lambda \sim a^0 = \text{const.}$

Then, the Friedmann equation in the  $\Lambda$ CDM model looks like

$$H^2 = \frac{8\pi G}{3} \rho_c \left[ \Omega_{\text{rad}} \left( \frac{a_0}{a} \right)^4 + \Omega_M \left( \frac{a_0}{a} \right)^3 + \Omega_{\text{curv}} \left( \frac{a_0}{a} \right)^2 + \Omega_\Lambda \right] \quad (2.19)$$

$$= H_0^2 \left[ \Omega_{\text{rad}} (1+z)^4 + \Omega_M (1+z)^3 + \Omega_{\text{curv}} (1+z)^2 + \Omega_\Lambda \right], \quad (2.20)$$

where we used  $1+z = a_0/a$ , where  $z$  is the redshift, defined by

$$1+z = \frac{\lambda_{\text{absorption}}}{\lambda_{\text{emission}}}. \quad (2.21)$$

For close objects (with small  $z$ ) we recover Hubble's law:  $z = H_0 \tau$ .

### 2.2.1 On the vacuum energy

In particle physics, we use the vacuum energy as our reference point from which to measure other energies; energies of particles are excitations from that vacuum.

In GR, instead, **the vacuum energy gravitates**: there is no such thing as defining energy up to a constant, it all contributes to the gravitational field. The vacuum energy is present everywhere always and it does not cluster, so it is a good candidate for dark energy and  $\rho_{\text{vac}}$ .

What is the vacuum energy prediction by the Standard Model, after symmetry breaking?

What remains when we take the VEV are the scalar terms, since the vector fields are zero in the vacuum. Specifically, we are left with

$$\mu^2 \phi^2 + \lambda \phi^4. \quad (2.22)$$

The order of magnitude of the VEV of the Higgs is around 100 GeV.

The dimensions of  $\rho = E/L^3$  are those of an energy to the fourth power. So, our estimate could be of  $\rho \sim (100 \text{ GeV})^4$ .

Alternatively, we could consider the characteristic energy scales of the various interactions: the strong interaction is around 1 GeV, the weak interaction is around 100 GeV, the gravitational interaction is around  $M_p \sim 10^{19} \text{ GeV}$ . All of these have to be taken to the fourth power to recover the dimensions of an energy density.

The estimate from cosmology is  $10^{-46} \text{ GeV}^4 \approx (10^{11} \text{ GeV})^4$ : the one from particle physics is 45, 50 or even 120 orders of magnitude larger, depending on whether we are looking at the strong, electroweak or gravitational interaction.

## 2.3 Thermodynamics of the early universe

We start off by discussing particles in thermal equilibrium, but the interesting thing is the transition between this equilibrium and non-equilibrium.

We use the usual approximation of a dilute gas with  $g$  degrees of freedom, we take a Boltzmann distribution function in momentum space  $f(p)$ , from which we can compute  $n$ ,  $\rho$  and  $P$ :

$$n = \frac{g}{(2\pi)^3} \int f(\vec{p}) d^3p \quad (2.23)$$

$$\rho = \frac{g}{(2\pi)^3} \int E(\vec{p}) f(\vec{p}) d^3p \quad (2.24)$$

$$P = \frac{g}{(2\pi)^3} \int \frac{|\vec{p}|^2}{3E} f(\vec{p}) d^3p. \quad (2.25)$$

In thermal equilibrium the distribution function in momentum space is

$$f(\vec{p}) = \frac{1}{\exp\left(\frac{E-\mu}{T}\right) \pm 1}, \quad (2.26)$$

where we have  $+$  for fermions and  $-$  for bosons. The energy as a function of momentum is given by

$$E(\vec{p}) = \sqrt{|\vec{p}|^2 + m^2}. \quad (2.27)$$

We can make some useful approximations in the relativistic limit  $T \gg m$  and in the nonrelativistic limit  $T \ll m$ : in the **relativistic** limit we find

$$\rho = \begin{cases} \frac{\pi^2}{30} g T^4 & \text{bosons} \\ \frac{7}{8} \frac{\pi^2}{30} g T^4 & \text{fermions} \end{cases} \quad \text{and} \quad n = \begin{cases} \frac{\zeta(3) g T^3}{\pi^2} & \text{bosons} \\ \frac{3}{4} \frac{\zeta(3) g T^3}{\pi^2} & \text{fermions,} \end{cases} \quad (2.28)$$

where  $\zeta$  is the Riemann zeta function, so that  $\zeta(3) = \sum_{n \in \mathbb{N}} n^{-3} \approx 1.2$ . Since we are in the ultrarelativistic approximation, we will have  $P = \rho/3$ .

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In the **nonrelativistic** limit, instead, we get

$$n = g \left( \frac{mT}{2\pi} \right)^{3/2} e^{-(m-\mu)/T}, \quad (2.29)$$

while  $\rho = mn$  and  $P = nT \ll \rho$ .

Add reference to Fundamentals notes, chapter 3, when it will be done.

A very useful parameter to define in this context is  $g_*$ : it is the *effective* number of degrees of freedom for different particle species, computed as

$$g_* = \sum_{i \in \text{bosons}} g_i \left( \frac{T_i}{T} \right)^4 + \frac{7}{8} \sum_{i \in \text{fermions}} g_i \left( \frac{T_i}{T} \right)^4, \quad (2.30)$$

since we need to weigh the contributions to the degrees of freedom according to whether the particles are in equilibrium or not, and when the particle decoupled. With this definition, in the relativistic limit we can simply write

$$\rho_R = \sum_i \rho_i = \frac{\pi^2}{30} g_* T^4 \quad \text{and} \quad P_R = \frac{\pi^2}{90} g_* T^4. \quad (2.31)$$

### Effective number of degrees of freedom examples

Let us compute  $g_*$  in a couple of examples. First, let us consider  $T \ll \text{MeV}$  — but at a time in which the photons are still coupled, that is, *before* the emission of the CMB.

So, in the standard model the only decoupled particles are photons and the three neutrino species. The temperature of the neutrinos, as we will see later, is given in this time period by

$$T_\nu = \sqrt[3]{\frac{4}{11}} T_\gamma. \quad (2.32)$$

So, since: photons have two physical polarizations and so do (left-handed) neutrinos, there are three neutrino species and neutrinos are fermions we get

$$g_*(T \ll \text{MeV}) = 2 + \frac{7}{8} \times 3 \times 2 \times \left( \frac{4}{11} \right)^{4/3} \approx 3.37. \quad (2.33)$$

If we consider a temperature around  $1 \text{ MeV} < T < 100 \text{ MeV}$ , we also will have to account for electrons and positrons. Now, the temperature of all these species can be taken to be equal: so, we get

$$g_*(1 \text{ MeV} < T < 100 \text{ MeV}) \approx 2 + \frac{7}{8} (3 \times 2 + 1 \times 4) \approx 10.75. \quad (2.34)$$

For  $T > 200 \text{ GeV}$ , all the SM particles will be relativistic, so we will find  $g_* \approx 106.75$ . For a nice figure summarizing the evolution of  $g_*$  as the temperature decreases see figure 1 in a recent paper by Lars Husdal [Hus16]. The take-away is that, going from the TeV to the keV, if we plot  $g_*$  on a log scale, it has sharp drop-offs around 200 MeV (a QCD transition) and around 500 keV (electrons and positrons), while it is mostly flat elsewhere.

## The radiation domination epoch

This was the period in the early universe in which  $\rho_R$  was larger than  $\rho_M$ ; we will consider the early phase in which this difference was large (in order to approximate  $\rho_M \approx 0$ ), but the inequality stayed on the radiation side for about a millennium.

In the era of radiation domination the scale factor varies like  $a(t) \propto \sqrt{t}$  and the Hubble parameter scales like

$$H \approx 1.66\sqrt{g_*} \frac{T^2}{M_{\text{Pl}}} . \quad (2.35)$$

So, we get a relation between time and temperature: approximately it is

$$t \approx \left( \frac{T}{\text{MeV}} \right)^{-2} \text{ s} , \quad (2.36)$$

and more precisely it is

$$tT^2 = \sqrt{\frac{90}{32\pi^2} \frac{1}{G_N g_*}} . \quad (2.37)$$

### 2.3.1 Thermal equilibrium

If the universe were not expanding, after a certain amount of time we would reach thermal equilibrium between the particle species. But this is not the case: the expansion rate of the universe is  $H$ .

So, we take the decay rate of a certain particle species  $i$ , which is denoted by  $\Gamma_i$ . A particle is said to reach equilibrium if its decay rate is  $\Gamma_i > H$ . This is a rule of thumb, an order of magnitude estimate: if  $\Gamma_i \gg H$  then the particle has time to decay many times within the age of the universe, while if  $\Gamma_i \ll H$  then its decay curve has barely started since the beginning of the universe. We are doing cosmology so the precise details of what happens when  $\Gamma_i \approx H$  are not very important, that is the region in which a macroscopic fraction of our particle species has time to decay but not all of it.

Note that this is a time- (or temperature-) dependent condition: a particle may be in equilibrium at a specific time and go out of equilibrium later.

### Neutrino decoupling: the freeze-out

We want to discuss processes involving the neutrino, which are things like  $e^+e^- \rightarrow \nu\bar{\nu}$  or  $e\nu \rightarrow e\nu$ .

These are processes mediated by the weak interaction, so it is relevant to ask whether the temperature is larger or smaller than the mediator's mass. Let us first suppose that  $T > M_W$ , so roughly  $T > 100 \text{ GeV}$ . This means that the Breit-Wigner term in the cross section can be approximated as

$$\frac{1}{T^2 - M_W^2} \sim \frac{1}{T^2} . \quad (2.38)$$



The rate of these processes is given by

$$\Gamma_\nu = \sigma n v, \quad (2.39)$$

where the physics is really given by the cross section  $\sigma$ : the other factors are always roughly the same,  $n \sim T^3$  and  $v \sim 1$ . The cross section depends on the coupling and the temperature: the coupling constant for weak processes is  $\alpha_w = g_w^2/4\pi$ , and the cross section is given by  $\sigma \sim \alpha_w^2/T^2$ ,<sup>2</sup> so the decay rate is roughly

$$\Gamma \sim \frac{\alpha_w^2}{T^2} \times T^3 \times 1 = \alpha_w^2 T. \quad (2.40)$$

On the other hand, the Hubble rate is roughly proportional to

$$H \sim \sqrt{g_*} \frac{T^2}{M_P}, \quad (2.41)$$

so if we impose  $\Gamma_\nu > H$  we get

$$T < \frac{\alpha_w^2 M_P}{\sqrt{g_*}}. \quad (2.42)$$

So, our result is that for

$$M_W < T < \frac{\alpha_w^2 M_P}{\sqrt{g_*}} \quad (2.43)$$

neutrinos are in thermal equilibrium. In terms of actual energies, this means  $10^2 \text{ GeV} < T < 10^{16} \text{ GeV}$ . The higher end of this is almost at the Planck mass, so we will not worry about it.

Now let us consider the later time at which  $T < M_W$ . In this case, in the Breit-Wigner the mass of the weak interaction boson will dominate, and we will have

$$\sigma \sim \mathcal{O}(10^{-2}) \frac{T^2}{M_W^4} \approx 10^{-10} \frac{T^2}{\text{GeV}^4}. \quad (2.44)$$

What is the factor which is of the order 0.01?

Now, since we have  $\sigma \sim T^2$  the rate will scale like  $\Gamma \sim T^5$ . Specifically,

$$\Gamma \sim 10^{-10} \frac{T^5}{\text{GeV}^4}. \quad (2.45)$$

We must compare to the expansion rate of the universe, which as before scales according to 2.41. Then, we find

$$10^{-10} \frac{T^5}{\text{GeV}^4} > \sqrt{g_*} \frac{T^2}{10^{19} \text{ GeV}} \quad (2.46)$$

---

<sup>2</sup> The factor which appears in the cross section is precisely the Breit-Wigner one.

$$T > \sqrt[3]{\frac{\sqrt{g_*} 10^{10}}{10^{19}}} \text{GeV} = \sqrt[6]{g_*} \text{MeV}. \quad (2.47)$$

Now,  $g_*^{1/6} \sim 1$ , so we find that for  $1 \text{ MeV} < T < M_W$  neutrinos are coupled.

The end result is  $\Gamma_\nu > H$  as long as  $T > 1 \text{ MeV}$ , roughly. So, for larger temperatures the neutrinos are coupled, for smaller temperatures they are decoupled. Below  $T_D \approx 1 \text{ MeV}$  they completely decouple. At this temperature the universe becomes transparent for them, they no longer significantly interact with matter. The decoupling temperature is defined by the relation given

$$\Gamma_\nu(T_D^\nu) = H(T_D^\nu). \quad (2.48)$$

Now, we can define the current temperature and number density of the leftover neutrinos: they are respectively  $T_0^\nu$  and  $n_\nu$ . When the temperature was  $T > 1 \text{ MeV}$  the neutrinos and photons were in thermal equilibrium: we had  $T_\nu \sim T_{\text{plasma}} \sim T_\gamma$ . In this plasma there were neutrinos, photons, electrons and positrons.

At  $T < 500 \text{ keV}$  electron-positron annihilation was still occurring, but pair creation slowed: there was not enough energy for a process like  $\nu\bar{\nu} \rightarrow e^+e^-$ . The pair annihilation poured energy into photons only, since neutrinos were decoupled by that point.

So, the “relic neutrinos” are colder than the relic photons. Moreover, their number density is smaller.

The entropy density for relativistic matter with  $P = \rho/3$  is given<sup>3</sup> by

$$s = \frac{\rho + P}{T} = \frac{4}{3} \frac{\rho}{T}. \quad (2.50)$$

So, for the  $i$ -th particle species we can write

$$s_i = \frac{4}{3} \frac{\rho_i}{T} = g_i \frac{2\pi^2}{45} T^3 \quad (2.51)$$

for bosons, and the same result times  $7/8$  for fermions.

Now, let us define  $T_>$  as the temperature of the photons,  $T_\gamma$ , before the disappearance of the  $e^+e^-$  pairs. This temperature will be in the range  $500 \text{ keV} < T_> < 1 \text{ MeV}$ .

Then, we can define a corresponding entropy  $s_>$ : it will be given by

$$s_> = \frac{4}{3} \frac{\rho_>}{T_>} = \frac{2\pi^2}{45} g_*(T_>) T_>^3, \quad (2.52)$$

where the effective number of degrees of freedom is given by:

$$g_*(T_>) = 2 + \frac{7}{8}(2 + 2) = \frac{11}{2}, \quad (2.53)$$

---

<sup>3</sup> To see this, start from the thermodynamic relation  $T dS = dE + P dV$ , divide through by  $T dV$  to get

$$\frac{dS}{dV} = \frac{1}{T} \frac{dE}{dV} + \frac{P}{T} = \frac{\rho + P}{T}. \quad (2.49)$$

since we need to account only for photons, electrons and positrons — neutrinos have already decoupled.

Also, let us define another temperature,  $T_<$ , such that  $T_< < 500 \text{ keV}$ . The corresponding  $g_*(T_<)$  will be of 2, since electrons and positrons will have decoupled. Then, the corresponding entropy density will read:

$$s_< = \frac{4}{3} \frac{\rho_<}{T_<} = \frac{4}{3} \frac{\pi^2}{30} g_*(T_<) T_<^3 = \frac{2\pi^2}{45} g_*(T_<) T_<^3. \quad (2.54)$$

Now, we impose  $s_< = s_>$ : in the phase transition the temperature can be discontinuous by the entropy is conserved. This yields

$$\frac{2\pi^2}{45} g_*(T_<) T_<^3 = \frac{2\pi^2}{45} g_*(T_>) T_>^3 \quad (2.55)$$

$$g_*(T_<) T_<^3 = g_*(T_>) T_>^3 \quad (2.56)$$

$$2T_<^3 = \frac{11}{2} T_>^3 \quad (2.57)$$

$$T_< = \sqrt[3]{\frac{11}{4}} T_>. \quad (2.58)$$

The next step is to state that  $T_>/T_< = T_\gamma/T_\nu$ . This is because photons can still thermalize at  $T_<$ , while neutrinos are “stuck” at the temperature  $T_>$ .

So, the temperature of relic neutrinos today can be calculated from that of the CMB to be around  $T_\nu^0 = \sqrt[3]{4/11} T_\gamma^0 \approx 1.96 \text{ K}$ .

We also know that the number density of relic photons today is given by

$$n_\gamma^0 = \frac{\zeta(3)}{\pi^2} 2T_\gamma^3 \approx 422 \text{ cm}^{-3}, \quad (2.59)$$

so we can calculate that of neutrinos using what we know from (2.28):

$$\frac{n_\nu^0}{n_\gamma^0} = \frac{3}{4} \left( \frac{T_\nu}{T_\gamma} \right)^3 = \frac{3}{11}. \quad (2.60)$$

So,  $n_\nu^0 \approx 100 \text{ cm}^{-3}$ .

Another example of a particle decoupling is given by the graviton: the rate of interactions which are only gravitational is given by

$$\Gamma = n\sigma v \approx G_N^2 T^5 \sim \frac{T^5}{M_p^4}, \quad (2.61)$$

so if we impose  $\Gamma < H$  we get the expected result: the decoupling temperature is just the Planck mass,

$$\frac{T^5}{M_p^4} < \frac{T^2}{M_p} \implies T^3 < M_p^3 \implies T < M_p. \quad (2.62)$$

The  $g_*$  at that early time was around 100, so we find that the temperature of relic gravitational radiation should be around  $T_{\text{grav}} \approx 0.8 \text{ K}$  and its number density should be  $n_{\text{grav}} \approx 15 \text{ cm}^{-3}$

Next week we will consider nucleosynthesis.

## 2.4 Big Bang Nucleosynthesis

Now we move to the infrared regime, from 1 MeV to a few tens of keV. Neutrons and protons are the new protagonists: the quarks are in the infrared “slavery”. This is the period in which we see the first combination of neutrons and protons into light nuclei, such as  ${}^4\text{He}$ ,  $\text{D} = {}^2\text{H}$ ,  ${}^3\text{H}$ ,  ${}^7\text{Li}$ .

### Neutron freeze-out

Neutrons and protons can turn into each other through weak processes, such as

$$\text{n} + \nu_e \leftrightarrow \text{p} + e^- \quad (2.63)$$

$$\text{n} + e^+ \leftrightarrow \text{p} + \bar{\nu}_e \quad (2.64)$$

$$\text{n} \leftrightarrow \text{p} + e^- + \nu_e. \quad (2.65)$$

We want to consider the ratio of their number densities, denoted as  $n/p$ . At equilibrium, and as long as the baryons are nonrelativistic, this is given by

$$\frac{n}{p} \approx \exp\left(-\frac{\Delta m}{T}\right), \quad (2.66)$$

where  $\Delta m = m_n - m_p \approx 1.3 \text{ MeV}$ : for  $T \gg \Delta m$  this is approximately  $\exp(0) = 1$ .

The proton, as far as we can tell, is stable; on the other hand the neutron is unstable: it can beta-decay into a proton.

At 1 MeV, which is around the moment of the freeze-out, the ratio  $n/p$  is around  $1/6$ .

For temperatures larger than an MeV nucleosynthesis cannot start: deuterium nuclei can form by

$$\text{n} + \text{p} \rightarrow \text{D} + \gamma, \quad (2.67)$$

but they are readily photodissociated, since there are plenty of photons whose energy is  $E_\gamma > 2.2 \text{ MeV}$ , the binding energy of deuterium. At this stage, the ratio of the number of photons to that of baryons is of the order of  $n_\gamma/n_b \approx 10^{10}$ , way too high still.

Now, what is the temperature at which neutrons decouple,  $T_D^{\text{neutron}}$ ? The decay rate of neutrons is given by

$$\Gamma_n = C_n G_F^2 T^5, \quad (2.68)$$

where  $C_n$  is some constant which is not much different from 1. As always, in order to find out at which temperature they decouple,  $T_D^{\text{neutron}}$ , we impose  $H(T_D) = \Gamma(T_D)$ .

The  $g_*$  at this temperature accounts for photons, electrons, positrons and neutrinos. So, we find

$$T_D^n = \frac{1}{(C_n M_p^* G_F)^{1/3}}, \quad (2.69)$$

where  $M_p^*$  is the corrected Planck mass (2.10). The order-1 constant  $C_n$  can be determined experimentally from the lifetimes of neutrons: what we find is  $C_n \approx 1.2$ . If the number

of neutrino species is  $N_\nu = 3$  then we get  $T_D^n \approx 1.4 \text{ MeV}$ , which is very close to the mass difference between protons and neutrons!

Why is this relevant? Well, let us consider the extreme behaviors:

- if  $\Delta m \gg T_D$ , then freezeout happens at a near-zero value of  $n/p = \exp(-\Delta m/T)$ ;
- while if  $\Delta m \ll T_D$ , freezeout happens when we still have  $n/p \approx 1$ : what happens then is that all the neutrons and protons turn into  $^4\text{He}$  and no hydrogen is left in the primordial plasma.

An exact computation yields  $T_D^n \approx 0.7 \text{ MeV}$ , which corresponds to around  $t = 1.1 \text{ s}$  after the beginning.

What is the temperature at which the deuterium can stay bound? It is the temperature after which there is more formation of deuterium than photodissociation. The binding energy of deuterium is around  $E_D \approx 2.2 \text{ MeV}$ . To get stable deuterium we must wait until

$$\textcircled{A} = \frac{n_\gamma}{n_B} e^{-\frac{2.2 \text{ MeV}}{T}} < 1. \quad (2.70)$$

When  $\textcircled{A} < 1$ , the rate of deuterium production surpasses that of its dissociation.

We actually have to wait quite a long time for this to occur, since  $n_\gamma \gg n_B$ . This is since baryons are quite massive. The ratio comes out to be around one billionth:  $n_\gamma/n_B \sim 10^9$ .

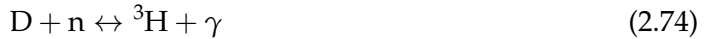
So, we need a strong drop in temperature: we find that the necessary temperature is around  $0.1 \text{ MeV}$ , corresponding to  $t \approx 10^2 \text{ s}$ .

So, nucleosynthesis starts at  $T < 1 \text{ MeV}$ , while the weak-interaction processes freeze out at  $T \approx 1 \text{ MeV}$ . The neutron-to-proton ratio  $n/p$  is around  $1/6$  at freezeout, and we will see that in the time between this and the start of nucleosynthesis it reaches  $1/7$  because of neutron decay.

The lifetime of a neutron is measured experimentally to be

$$\tau_n = (10.5 \pm 0.2) \text{ min}. \quad (2.71)$$

After we go below the temperature  $T \approx 0.1 \text{ MeV}$  more processes can occur, like



Helium-4 is the most stable of these isotopes, and most of the free neutrons end up in it. The production of heavier nuclei is quite suppressed at this temperature, and we do not consider them.

We can now compute the number fraction of helium nuclei:

$$X_4 = \frac{N_{{}^4\text{He}}}{N_{\text{H}}} = \frac{\frac{1}{2}n}{p - n} = \frac{1}{2} \frac{n/p}{1 - n/p}. \quad (2.77)$$

since the number of hydrogen nuclei is the same as the number of unpaired protons. The mass fraction of helium, on the other hand, is

$$Y_4 = \frac{M_{\text{He}}}{M_{\text{H}} + M_{\text{He}}} = \frac{4N_{\text{He}}}{N_{\text{H}} + 4N_{\text{He}}} = \frac{4X_4}{1 + 4X_4} = \frac{2(n/p)}{1 + n/p}. \quad (2.78)$$

For  $n/p \approx 1/7$  this is around  $Y_4 \approx 0.25$ , in agreement with observations.

To get a more precise estimate we should properly consider all the formation channels for  ${}^4\text{He}$ , beyond the ones we have written there are others such as ones in which the product of a reaction is not only a helium nucleus but we also get another proton or neutron.

The chain keeps going beyond Helium, skipping the mass numbers  $A = 5$  and  $A = 8$ . We can get  ${}^5\text{Li}$  and  ${}^6\text{Li}$ .

To summarize, there have been **three main parameters** in this calculation:

1. the ratio  $n_B/n_\gamma$  determines the beginning of the nucleosynthesis;
2. the lifetime of a neutron,  $\tau_n$ , enters the determination of the rate of weak processes, which is connected to the weak coupling  $G_F$

... and determines  $n/p$  at the beginning of nucleosynthesis, right?

3. the effective number of degrees of freedom  $g_*$  at  $m < 1 \text{ MeV}$  is important since  $H \propto \sqrt{g_*}$ .

Let us investigate the effect of the variation of these parameters.

If we increase  $n_B/n_\gamma = \eta_B$  nucleosynthesis starts before, so there is less time for the neutrons to  $\beta$ -decay, so the ratio  $n/p$  is higher, so  $Y_4$  will be higher.

The number density of baryons today is given by

$$n_B^0 = \frac{\rho_B^0}{m_B} = \frac{\Omega_B \rho_c}{m_B} \approx 1.13 \times 10^{-5} \Omega_B h_0^2 \text{cm}^{-3}, \quad (2.79)$$

while the number density of photons today is

$$n_\gamma^0 = \frac{2\zeta(3)}{\pi^2} T_\gamma^3 \approx 400 \left( \frac{T_0}{2.7 \text{ K}} \right)^3 \text{cm}^{-3}. \quad (2.80)$$

The value of  $\eta$  today, which equals that at nucleosynthesis<sup>4</sup> is then given by

$$\eta \approx 2.81 \times 10^{-8} \Omega_B h_0^2 \left( \frac{2.7}{T_0} \right)^3. \quad (2.81)$$

Another thing which can affect helium abundance after nucleosynthesis is a variation of  $\sqrt{g_*}$ , that is, of the number of relativistic particles' degrees of freedom at the nucleosynthesis temperature. For example, this would be an issue if we were to add a new neutrino species.

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<sup>4</sup> Since at that point photons were not coupled to anything which could annihilate or create them, while baryons were decoupled altogether. This line of reasoning holds as long as no later processes produce entropy: that would modify  $n_\gamma$ . In some models this is not the case.

In weighting these new degrees of freedom, we must take into account that the temperature corresponding to them may be lower than that of the plasma.

As  $\sqrt{g_*}$  increases,  $Y_4$  increases: in more detail the causal chain of increases goes  $N_\nu, g_*, B, T_{\text{freezeout}}, n/p, Y_4$ .

What is meant by  $B$  is  $n_B$ , right?

In our descriptions of nucleosynthesis we do not only have  $^4\text{He}$  but also other light isotopes such as deuterium,  $^3\text{He}$ ,  $^7\text{Li}$ . For the currently estimated value of  $\eta \approx 6 \times 10^{-10}$  we predict

$$\frac{\text{Li}}{\text{H}} \approx 10^{-10} \quad \text{and} \quad \frac{\text{D}}{\text{H}} \approx 2 \div 3 \times 10^{-5}, \quad (2.82)$$

but we can extend our predictions for the various nuclides to different values for  $\eta$ . The value of  $\Omega_B$  corresponding to this estimate is  $\Omega_B \approx 0.044 \pm 0.005$ . The estimates we get from the CMB agree with these results.

Now, in the SM we have three neutrino species, so we can ask: how many *effective* neutrino species could we accommodate in order to still reproduce data? Well, we have

$$\frac{\Delta g_*}{g_*} = \frac{(7/8)2\Delta N_{\text{eff}}^\nu}{g_*^{SM}} = \frac{7}{43}\Delta N_{\text{eff}}^\nu, \quad (2.83)$$

which we can express in terms of the (variation of the) ratio of neutron to proton number densities:

$$\frac{\Delta(n/p)}{n/p} = \frac{7}{258} \frac{\Delta m}{T_n^D} \Delta N_{\text{eff}}^\nu, \quad (2.84)$$

and our error bounds on this quantity give  $\Delta(n/p)/(n/p) \lesssim 0.025$ , so we get

$$|\Delta N_{\text{eff}}^\nu| \lesssim 0.5. \quad (2.85)$$

So, our DM candidate must contribute as half a neutrino species: when we propose a DM candidate, we must always ask whether it spoils nucleosynthesis.

Again, this must be weighted by their temperature which could be different from that on the plasma depending on whether and when these species are at equilibrium. If they decoupled earlier than the neutrinos they could be colder than them, and thus give a smaller contribution.

There are models in which we introduce a new particle which must decay into some other particle plus a photon. This is dangerous: how energetic are the photons which are produced? We must ensure that they do not destroy deuterium.

### Comments on nucleosynthesis

The nucleosynthesis epoch, between  $\sim 1$  s and  $\sim 300$  s, is the earliest one which has been tested observationally.

We can get estimates for relative abundances of nuclides in the early universe by looking at regions which are both far away and with low star formation rates, in which the elements' abundances are still well-preserved.

Deuterium is special: because of its low binding energy it is *not produced* in stellar nucleosynthesis, it is disassociated instead. So, any amount of it we measure gives us a *lower bound* on its primordial abundance.

As expected from BB Nucleosynthesis theory, we have variations of several orders of magnitude between the relative abundances of  $^4\text{He}$ , deuterium and  $^7\text{Li}$ . BBN and CMB data fit the theory for  $\eta_B \approx 6 \times 10^{-10}$ : this theory is very successful!

We have a problem with  $^7\text{Li}$ : the prediction for its abundance for this value of  $\eta_B$  is [Cyb+16]:

$$\left. \frac{^7\text{Li}}{H} \right|_{\text{th}} = (4.87 \pm 0.67) \times 10^{-10}, \quad (2.86)$$

while the experimental observation is [CV17]:

$$\left. \frac{^7\text{Li}}{H} \right|_{\text{exp}} = (1.58 \pm 0.31) \times 10^{-10}. \quad (2.87)$$

Besides this problem, the theory of BBN has generally been a very succesful marriage of the particle physics and cosmology standard models.

The impact of BBN on the standard model of particle physics are the bound

$$|\Delta N_{\text{eff}}^\nu| < 0.5 \quad (2.88)$$

and more bounds on radiative decays of heavy particles  $X$ , in the form

$$X \rightarrow \gamma + Y, \quad (2.89)$$

where  $Y$  is some lighter particle species, since this would produce a photon with  $E_\gamma \sim m_X/2$ , which would spoil nucleosynthesis in two ways:

1. it would destruct light nuclides (particularly deuterium) with its energetic photon;
2. it would break up  $^4\text{He}$  into lighter nuclides.

We get bounds on these kinds of processes, specifically on the lifetime  $\tau_X$  and on the abundance of  $X$ , measured as  $m_X n_X / n_\gamma$ . We are safe if  $\tau_X < 10^{-3} \div 10^{-4}$  s. If we assume a very long lifetime, like  $\tau_X > 10^8$  s, we must have a very small  $X$  abundance, like  $m_X n_X / n_\gamma < 10^{-12}$ .

I think this is what he is saying, not sure though.

## 2.5 Dark Matter

Let us start our discussion of dark matter with the **baryon budget**: how much do baryons contribute to the total energy density of the universe?

In the *high-redshift universe* we have:

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1. at nucleosynthesis ( $z \sim 10^9$ ) the baryonic matter fraction was  $\Omega_B^{BBN} = 0.04 \pm 0.02$ ;
2. at CMB emission ( $z \sim 10^3$ ) the baryonic matter fraction was  $\Omega_B^{CMB} \approx \Omega_B^{BBN} \approx 5\%$ ;
3. at  $z \sim 3$  we have observations of the Lyman  $\alpha$  ("frest"? ) of the intergalactic medium: this again yields  $\Omega_B \approx 5\%$ .

what is written there?

In the recent universe ( $z \sim 0$ ) we have observations of galaxy clusters, in which we measure a matter fraction of  $\Omega_M \approx 0.26$ , of which about 15 % is made of baryons: so, we get an estimate of around  $\Omega_B \approx 4\%$ .

So, the fraction of luminous baryonic matter is  $\Omega_B^{\text{lumin}} \approx 1\%$ , with a corresponding density of  $\rho_{\text{lumin}} \approx 9 \times 10^{-29} \text{ kgm}^{-3}$ .

Not really clear how we estimate this based on what is mentioned above.

On the other hand, our estimate for the total baryonic mass fraction is  $\Omega_B^{\text{tot}} \approx 5\%$ , with a corresponding density of  $\rho_b \approx 4 \times 10^{-28} \text{ kgm}^{-3}$ .

We know that the total value of  $\Omega_{\text{tot}} \sim 1$ .

The density fraction due to dark energy is around 70 %, while  $\Omega_{\text{matter}} \sim 30\%$ : this can be deduced from the gravitational potential energy, which is inferred from galactic rotation curves, and the mass distribution in clusters. The corresponding matter density is around  $\rho_M \approx 2 \times 10^{-27} \text{ kgm}^{-3}$ .

So, most (something like 80 %) of the matter is not made of baryons. We are then looking for non-baryonic matter with  $\Omega \sim 25\%$ . More precisely, the latest results give

$$\Omega_{DM} \approx 26.4\% = 84.4\% \Omega_M. \quad (2.90)$$

Accounting for our uncertainty in  $H_0$ , we can write  $\Omega_B = 0.022h^{-2} \approx 4 \div 5\%$ .

How sure are we that dark matter is indeed the best way to describe galactic rotation curves and such?

It makes other predictions beyond them: there were interesting studies about how the lensing of light is affected by Dark Matter. All the evidence is based on our knowledge of gravitational interaction: Are we sure that Newton's law of gravitation is right on such large scales? There are MOND theories, in which it does not. However, the hints about the existence of non-baryonic DM come from very different directions.<sup>5</sup> We then take the standard view: Dark Matter exists.

Could the Higgs boson be the source of Dark Matter? No. It decays too fast. We have similar problems for the Z boson. So, in the end we must have some other neutral particle.

So, neutrinos? Maybe. They are light, of course, but there are many.

We get

$$\Omega_\nu = \frac{\rho_\nu^0}{\rho_{\text{crit}}}, \quad (2.91)$$

<sup>5</sup> And I'd be remiss not to cite <https://xkcd.com/1758/>.

where we used the known neutrino number density today  $n_\nu^0 \approx 339.5 \text{ cm}^{-3}$ . So, this comes out to be

$$\Omega_\nu = \frac{\sum_i m_{\nu_i}}{h^2 93.14 \text{ eV}}. \quad (2.92)$$

Now,  $h^2 \sim 1/2$ , so this is very roughly

$$\Omega_\nu \sim \frac{\sum m_\nu}{50 \text{ eV}}. \quad (2.93)$$

Recall that “electron neutrino” is a current eigenstate, not a mass eigenstate. The bound we have is of the order  $m_{\nu_e} \lesssim 1 \text{ eV}$ .

We also have bounds for the square of the mass differences. In the end, this means that the term  $\sum m_\nu$  can be at most a few eV.

Even if all the three neutrinos’ masses were at the very top of their current experimental bounds at  $m_\nu \sim 2 \text{ eV}$  each we would have  $\Omega_\nu < 0.1$ , which is too small to fit observations of  $\Omega_{DM} \sim 0.25$ .

In spite of the fact that they are very numerous, neutrinos have too small a mass.

### 2.5.1 Hot & cold DM

Let us call a generic DM particle  $X$ . It will decouple at a certain temperature  $T_X^D$ . Then, **cold** DM is such that  $M_X \gg T_X^D$ , while for **hot** DM we have  $M_X \ll T_X^D$ . So, cold DM is *nonrelativistic* when it decouples, while hot DM is *relativistic* when it does.

We can also have **warm** DM, in the case where  $M_X \sim T_D$ .

Neutrinos would be an example of hot dark matter, since they decouple around 1 eV while their mass is smaller than that.

Whether DM is hot or cold<sup>6</sup> is relevant for the formation of structures: relativistic matter has a hard time clumping at small scales.

For HDM, in the period  $T_D > T > M_X$  the DM is free-streaming, so it quickly fills in under-dense regions, and the density perturbations are washed out.

The warm case is at around  $M_X \gtrsim 1 \text{ eV}$ , while HDM has  $M_X < 1 \text{ eV}$ .

There are simulations used in order to compare these models: what is seen is that for HDM the first structures to form are the very largest — superclusters of galaxies —, which then fragment into smaller pieces. This type of evolution is in stark disagreement with our observations. With this line of reasoning we have bounded the fraction of DM which may be hot: most of it will be cold. So, neutrinos may be a part of DM, but they cannot be the dominant part of it.

Dark Matter around 1 keV in mass would be a candidate for this.

Let us consider **Thermal Dark Matter**, which has been in equilibrium with the plasma for some time in the early universe, so it is cold when it decouples. By assuming chemical equilibrium we can figure out the number density of those particles. Consider a heavy particle  $X$ , with mass larger than, say, 10 GeV, and which is stable or quasi-stable (that is, such that its lifetime is long compared to the age of the universe).

<sup>6</sup><https://www.youtube.com/watch?v=kTHNpusq654>

Then, its equilibrium number density will be given by

$$n_X^{\text{eq}} = g_X \left( \frac{M_X T}{2\pi} \right)^{3/2} \exp \left( -\frac{M_X}{T} \right). \quad (2.94)$$

The number of  $X$  in a certain comoving volume can only change by annihilation and creation:  $X\bar{X} \leftrightarrow \text{light particles}$ .

If the rate  $\Gamma$  of this process is  $> H$  at a certain temperature  $T$ , then the number density of  $X$  is indeed the equilibrium one. However, as  $T$  decreases below  $M_X$  we will reach a point at which the light particles will not be energetic enough to form  $X$  pairs. At this point, only the annihilation of  $X\bar{X}$  pairs will be able to occur, so their number will diminish.

After some more time, their encounters will not be likely anymore, so we say that the abundance of  $X$  *freezes out*. From that moment onward,  $n_X$  will not change in the comoving frame.

Note that this may still be before *kinetic* equilibrium is reached: scatterings like  $X + A \rightarrow X + B$  can still happen. The number of  $X$ s is governed by the Boltzmann equation:

$$\frac{dn_X}{dt} + 3Hn_X = -\langle \sigma_{\text{annihilation}} v \rangle (n_X^2 - n_{X,\text{eq}}^2). \quad (2.95)$$

The cross section  $\sigma_{\text{annihilation}}$  is averaged over all the equilibrium momentum space distribution functions of the particle species, and summed over the possible annihilation channels.

Here start many calculations to get the density of  $X$  today...

## 2.5.2 WIMPs

What is the window of the parameters of this particle which could give us the  $\Omega_{DM}$  we observe?

If the particle is a Weakly Interacting Massive Particle, we get the “WIMP miracle”: with very simple assumptions, we get  $\Omega$  between 1 and  $10^{-1}$ . Let us show this.

**Claim 2.5.1.** *For a heavy relic particle the following holds:*

$$\Omega_X h^2 \approx 10^{-10} \left( \frac{\text{GeV}^{-2}}{\langle \sigma v \rangle_{\text{eff}}} \right) \frac{1}{\sqrt{g_*(t_f)}} \log \left( \frac{g_X M_X M_P \langle \sigma v \rangle}{(2\pi)^{3/2} \sqrt{g_*}} \right). \quad (2.96)$$

We apply this to a particle with mass  $M_X \sim 100 \text{ GeV}$ , which interacts through the weak interaction and therefore has

$$\langle \sigma v \rangle \sim \frac{\alpha_w^2}{M_X^2} \sim \frac{10^{-4}}{10^4} \text{ GeV}^{-2}. \quad (2.97)$$

The values of  $\sqrt{g_*}$  we need are  $\sqrt{g_*} \sim 10$  at  $T > 200 \text{ GeV}$  and  $\sqrt{g_*} \sim 3$  at  $100 \text{ MeV}$ .

Plugging these in we get

$$\Omega_X h^2 \approx 2 \times 10^{-10} 10^8 \frac{1}{10} \log \left( \frac{10^2 10^{19} 10^{-7}}{10^2} \right) \quad (2.98)$$

$$\Omega_X \approx 2 \times 2 \times 10^{-3} 12 \log 10 \approx 10^{-1}, \quad (2.99)$$

since  $h^2 \sim 1/2$ .

So, a particle with  $M_X \sim 100 \text{ GeV}$  which is weakly coupled,  $\alpha_w \sim 0.01$  could explain our dark matter observations!

So, the WIMP possibility looks good; alas, the LHC has not seen any new particles at the electroweak scale.

We have a result of  $\Omega_X$  between 0.1 and 1, but the higher end of this range is not good for our purposes: we know that  $\Omega_{DM} < 0.25$ . So, we can put a lower limit on  $\sigma_{\text{annihilation}}$  in order to avoid the over-production of dark matter (or, more accurately, we want to avoid the fact that too much of it remains). What we find is

$$|\sigma_{\text{ann}} v| > 0.3 \div 10 \times 10^{-8} \text{ GeV}^{-2}. \quad (2.100)$$

Now, if the mass of  $X$  were large (like, more than 10 TeV) then we would get  $\Omega_X > 10$ , which would definitely over-close the universe. So, we expect DM not be super massive.

There are ways to get around this restriction: one is a strongly coupled theory, in which case  $X$  would be annihilated more; then it would be a Strongly Interacting Massive Particle but it would work.

Another possibility is for  $X$  not to have been in thermal equilibrium, so that we have non-thermal DM, so that their number is not linked to the abundance of other particle species.

But wait, what does thermal equilibrium have to do with it? We should only consider chemical equilibrium for the variation of the number of  $X$ , right?

For regular WIMPs, though, the bound  $M_X < 100 \text{ TeV}$  remains.

We can expect that there are more than one kind particle constituting DM. A possibility is the presence of a “Dark Sector” in the SM. It is generally assumed that there is a sort of “portal”, which makes the ordinary matter sector allowing the sectors to communicate.

A very simple kind of dark sector would be constituted by right-handed neutrinos: they only interact with the Higgs boson, with terms like  $\bar{\nu}_L H^0 \nu_R$ .

How do we **search for WIMPs**? There are two ways, one is direct: we set up a target and wait for  $X$  to hit it. If we set up a target with 10 kg of nuclei with  $A \sim 100$ , and have  $M_X \sim 100 \text{ GeV}$  and  $\sigma_0 \sim 10^{-10} \text{ GeV}^{-2}$ , then we will have

$$\text{event rate} \approx v_X n_X N_A \sigma_{AX} \quad (2.101)$$

$$\approx v_X \frac{\rho_{DM}^{\text{local}}}{M_X} N_A \sigma_{AX}, \quad (2.102)$$

where  $N_A \approx 6 \times 10^{25}$  is the number of  $A$  nuclei,  $\sigma_{AX} \sim 10 A \sigma_0$  is the cross section of the nucleus- $X$  process, and  $\rho_{DM}^{\text{local}} \approx 0.3 \text{ GeV}/\text{cm}^3$ .

This then yields (after multiplying by  $\hbar^2 c^2$ , and taking  $v_X \sim 2 \text{ km/s}$ )

$$\text{event rate} \approx 10^{-8} \text{ s}^{-1}, \quad (2.103)$$

or about 1 event a year.

The other method is indirect, we look for the products of  $X\bar{X}$  annihilation in our astronomical observations: photons, protons, electrons, neutrinos or their antiparticles.

### 2.5.3 Other candidates for Dark Matter

#### Baryons

We look at other kinds of heavy relics: first, we consider baryons, assuming that the universe is  $B$ -symmetric (so that  $N_B = N_{\bar{B}}$ ).

The residual density of these (which we will still call  $X$ ), as before, will be given by

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$$\Omega_X h^2 = 1.8 \times 10^{-10} \left( \frac{\text{GeV}^{-2}}{\sigma_0} \right) \frac{1}{\sqrt{g_*(T_f)}} L, \quad (2.104)$$

where

$$L = \log \left( \frac{g_X m_X M_P \sigma_0}{(2\pi)^{3/2} \sqrt{g_*}} \right), \quad (2.105)$$

and the temperature  $T_f$  at which chemical equilibrium is broken can be calculated from  $T_f/m_B = x_f \approx L^{-1}$ .

If  $X$  is a baryon, we will have  $\sigma_0 \approx (100 \text{ MeV})^{-2}$ . Then, we can compute  $T_f$  by assuming  $m_B \sim 1 \text{ GeV}$ :

$$T_f = \frac{m_B}{\log \left( \frac{g_B m_B M_P (100 \text{ MeV})^{-2}}{(2\pi)^{3/2} \sqrt{g_*}} \right)} \approx 20 \text{ MeV}, \quad (2.106)$$

since the argument of the logarithm is about  $10^{22}$ , so  $L^{-1} \approx 1/(22 \times \log 10) \approx 1/50$ . The main contribution is the Planck mass  $M_P \sim 10^{19} \text{ GeV}$ , the rest of the factors are corrections.

So, we have  $m_B \sim 1 \text{ GeV}$  and  $T_f \sim 20 \text{ MeV}$ : between these temperatures, we have  $B\bar{B}$  annihilation, which means the number density must be multiplied by a suppression factor  $\exp(-m_B/T_f)$ .

Our estimate for the fraction of the critical density given by baryons, according to (2.104), is

$$\Omega_B \approx 4 \times 10^{-10} 10^{-2} \frac{1}{\sqrt{10}} 50 \approx 5 \times 10^{-11}, \quad (2.107)$$

while today we have around a baryon every billion photons, and  $\Omega_B \sim 5\%$ . There is a mismatch of 9 orders of magnitude!

So, is this not a problem? Does the line of reasoning not hold for regular baryons?

#### Heavy neutrinos

Another possibility for a heavy relic is a heavy neutrino of a fourth generation. Neutrinos of the known generations are light, with  $m_\nu \ll T_f$ ; let us call this new one  $\nu_4$ , and assume  $M_{\nu_4} > T_f^{(4)}$ . Let us also assume that the mass of this heavy neutrino is well below the electroweak scale of  $\sim 100 \text{ GeV}$ : something like  $M_{\nu_4} \sim 1 \text{ GeV}$ .

Applying our formula again, we get:

$$\Omega_{\nu_4} h^2 \approx \frac{1.8 \times 10^{-10}}{G_F^2 M_{\nu_4}^2} \frac{1}{\sqrt{g_*(t_f)}} \log \left( \frac{2 M_{\nu_4} M_P G_F^2 M_{\nu_4}^2}{(2\pi)^{3/2} \sqrt{g_*}} \right) \quad (2.108)$$

$$\approx \frac{2 \times 10^{-10} \times 10^{10} \text{ GeV}^4}{M_{\nu_4}^2} \frac{1}{\sqrt{g_*(t_f)}} \log \left( \frac{2}{(2\pi)^{3/2}} \frac{M_{\nu_4}^3 M_P}{\sqrt{g_*}} 10^{-10} \text{ GeV}^{-4} \right), \quad (2.109)$$

where we have two things to be determined:  $M_{\nu_4}$  and  $g_*$ ; for the first we assume  $M_{\nu_4} \approx 3 \text{ GeV}$ . We will not fully fix the value of  $M_{\nu_4}$ , but we assume the order of magnitude, which we can then substitute into the slowly-varying parts of the equation, while we leave its appearances in the fast-varying part of the equation free.

For the second we need to temperature to calculate at: we can use our formula  $T = ML^{-1}$ , so that we get

$$T_f^{\nu_4} = \frac{3 \text{ GeV}}{\log \left( \frac{2}{(2\pi)^{3/2}} \frac{3^3 10^{19}}{\sqrt{g_*}} 10^{-10} \right)} \approx \frac{\text{GeV}}{3 \div 4}. \quad (2.110)$$

One may be worried by the circularity of estimating  $g_*$  inside this calculation: properly speaking we should solve the equation using a model for  $g_*(T_f)$ , but in this kind of order of magnitude reasoning whether  $g_*$  is 10 or 100 does not really affect the result significantly, so we do not bother.

At this temperature, we have photons, gluons, quarks and regular neutrinos, plus our fourth neutrino — we are at the very limit of the time at which it is in chemical equilibrium, so we still need to account for it.

Since the formula is found by assuming that... right?

So, we get

$$\sqrt{g_*} = 2 + 8 \times 2 + \frac{7}{8} (2 \times 4 + 2 \times 3 + 3 \times 4 \times 3) = \sqrt{\frac{183}{4}}, \quad (2.111)$$

so plugging everything into the formula we get

$$\Omega_{\nu_4} \approx 0.55 \left( \frac{3 \text{ GeV}}{M_{\nu_4}} \right)^2. \quad (2.112)$$

So, we must have  $M_{\nu_4} \gtrsim 3 \text{ GeV}$  in order to not over-produce dark matter.

## 2.5.4 Axions

A particular light pseudoscalar DM candidate is called the **axion**. Its interest is not only as a DM candidate, but also in other contexts: it is linked to BSM physics below the electroweak scale.

It was introduced by particle physicists first, and then it was understood that it might be useful as DM.

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In the QCD Lagrangian we have a kinetic term  $G_{\mu\nu}^a G_a^{\mu\nu}$  written in terms of the gluon field strength  $G_{\mu\nu}^a$ , with  $a = 1 \dots 8$ . We can also add a term  $G_{\mu\nu} \tilde{G}^{\mu\nu}$ , where  $\tilde{G}$  is the Hodge dual of the field strength:

$$\tilde{G}^{\mu\nu,a} = \frac{1}{2} \epsilon^{\mu\nu\rho\sigma} G_{\rho\sigma}^a. \quad (2.113)$$

In terms of the color fields, the term  $G\tilde{G}$  is proportional to  $\vec{E}^a \cdot \vec{B}^a$ , whereas the usual term is  $GG \propto \vec{E}^a \cdot \vec{E}^a - \vec{B}^a \cdot \vec{B}^a$ .

The term we would add to the Standard Model Lagrangian would be

$$\Delta\mathcal{L} = \frac{\alpha_s}{8\pi} \theta_0 G_{\mu\nu}^a \tilde{G}^{\mu\nu,a}, \quad (2.114)$$

where  $\alpha_s = g_s^2/4\pi$  is the strong coupling constant, while  $\theta_0$  is an arbitrary dimensionless parameter. This term is invariant under  $SU(3)_C \times SU(2)_L \times U(1)_Y$  and Lorentz, all the symmetries of our model.

This term is P and CP-violating: the usual strong interaction kinetic term is P and CP invariant, the Levi-Civita symbol is odd under parity so it yields the additional sign making this term not invariant.

We can write this term but people were initially not worried: this term can be written as a 4-divergence (as  $\Delta\mathcal{L} = \partial_\mu J_A^\mu$ ), so at the perturbative level it could be ignored: if we calculate the action we get a surface integral at a surface at infinity, which we can ignore.

However, it can be shown that due to instantons — nonperturbative quantum effects — there was an anomalous current, the divergence term could not be neglected. The term  $\Delta\mathcal{L}$  can still be written as a divergence, but because of the instanton the asymptotic values of the field are not zero anymore: therefore, the surface integral in the action is not zero.

If this term is included, we have CP violation in the *strong interaction*, albeit only at the nonperturbative level. This is known as the **strong-CP** problem.

The vacuum in a nonabelian gauge theory can have structure: the fields can asymptotically “wind” in ways that can not be continuously mapped into each other. The true vacuum of the theory is in general a superposition of all these topologically distinct vacua: let  $n$  denote the winding number of each vacuum  $|n\rangle$ , then the so-called  $\theta$ -vacuum is written as

$$|\theta\rangle = \sum_n e^{-in\theta_0} |n\rangle, \quad (2.115)$$

and it is the true vacuum of the theory [KT94, eq. 10.2].

This can be accounted for in our theory by writing a Lagrangian

$$\mathcal{L}_{\text{QCD}} = \mathcal{L}_{\text{pert}} + \frac{\alpha_s}{8\pi} \bar{\theta} G^{\mu\nu,a} G_{\mu\nu}^a, \quad (2.116)$$

where

$$\bar{\theta} = \theta_0 + \arg(\det M), \quad (2.117)$$

and  $M$  is the quark mass matrix. This is to say: this CP-violating structure in the QCD Lagrangian is due to two types of effects, one being the nontrivial winding nature of the vacuum, and the other being effects due to the phases of the quark masses.

This term also affected the quark sector: there is an anomaly in the axial current  $J_A^\mu = \bar{f}\gamma^\mu\gamma^5 f$ .

Not sure what this means really.

The angle  $\bar{\theta}$  is a free parameter of the theory: the quark mass matrix depends on the Yukawa couplings, but  $\theta_0$  is completely free.

The existence of this term in the QCD Lagrangian leads to a prediction of an electric dipole moment for the neutron of the order of  $d_n \approx \bar{\theta} \times 10^{-16}$  ecm, but we have bounds of  $d_n \lesssim 3 \times 10^{-26}$  ecm: this means that  $\bar{\theta}$  must be  $\lesssim 10^{-10}$ .

There is no physical reason why the parameter should be small — to introduce it would mean fine-tuning, which particle physicists do not like.

We can solve this problem by introducing a  $U(1)$  global symmetry, called the Peccei-Quinn symmetry. This is discussed by Rubakov and Gorbunov [GR11, eq. 9.93 onward].

The PQ symmetry acts on the quarks as:

$$q_{L_n} \rightarrow \exp\left(iq_{PQ}^n \frac{\beta}{2}\right) q_{L_n} \quad \text{and} \quad q_{R_n} \rightarrow \exp\left(-iq_{PQ}^n \frac{\beta}{2}\right) q_{R_n}, \quad (2.118)$$

where  $q_{PQ}^n$  is the Peccei-Quinn (or “axion”) charge of  $n$ -th quark. If the charges of the six quarks sum to 1, this symmetry maps

$$\arg \det(M) \rightarrow \arg \det M + \beta. \quad (2.119)$$

We will now assume that all the charges are equal to  $1/6$ .

This symmetry is explicitly broken by the Yukawa coupling of the quarks to the Higgs field, which reads

$$L_Y = Y^d \bar{Q}_L \phi d_R + Y^u \bar{Q}_L \tilde{\phi} u_r. \quad (2.120)$$

For more details on this see Rubakov and Gorbunov [GR11, eq. B.8 onwards]. The two terms explicitly break the symmetry since for the first to be a singlet we would need the symmetry to map  $\phi \rightarrow e^{i\beta/6}\phi$ , while for the second to be a singlet we would need to map  $\phi \rightarrow e^{-i\beta/6}\phi$ .

The way to solve this problem is to introduce a second Higgs doublet:  $\phi \rightarrow (H_1, H_2)$ , so that  $H_1 \rightarrow e^{i\beta/6}H_1$  and  $H_2 \rightarrow e^{-i\beta/6}H_2$ . Then, in the  $L_Y$  couplings we put  $H_1$  in the first term and  $H_2$  in the second. The VEV of  $H_{1,2}$  is different from zero, so at low energies we have spontaneous symmetry breaking of the  $U(1)_{PQ}$  symmetry.

This symmetry, though, is also explicitly broken by nonperturbative effects.

Rubakov writes: “One can, however, extend the Standard Model in such a way that the PQ symmetry is exactly at the classical level. Quark masses are not invariant under the PQ transformations, so PQ symmetry is spontaneously broken. At the classical level, this leads to the existence of massless NambuGoldstone field  $a(x)$ , axion.”

What does “exactly at the classical level” mean?



The axion  $a(x)$  transforms as  $a(x) \rightarrow a(x) + \beta f_{PQ}$  under a  $U(1)_{PQ}$  transformation, and in the low energy regime the quark mass terms can be written as

$$\mathcal{L}_Y = \bar{q}_{Rn} m_{q_n} \exp\left(-iq_{PQ}^n \frac{a}{f_{PQ}}\right) q_{Ln} + \text{h. c.} \quad (2.121)$$

We are effectively giving a phase to the quark mass matrix: so, by (2.117) we find that our Lagrangian contains a term

$$\mathcal{L}_a = \frac{\alpha_s}{8\pi} \frac{a}{f_{PQ}} G_{\mu\nu}^a \tilde{G}^{a,\mu\nu}. \quad (2.122)$$

But since we are taking the *trace* of the mass matrix, should this phase not be multiplied by the number of quark flavours?

The axion is a *pseudo*-Goldstone boson. Its mass is found to be of the order

$$m_a \approx 0.5 \frac{m_\pi f_\pi}{f_{PQ}}, \quad (2.123)$$

where  $m_\pi \approx 135 \text{ MeV}$  and  $f_\pi \approx 93 \text{ MeV}$  are the mass and decay constant of the pion, while  $f_{PQ}$  is Peccei-Quinn energy scale, which we do not know.

If the photons inside a star could convert into axions, they could speed up the cooling down of a star: our stellar evolution observations then allow us to give a bound

$$f_{PQ} > 10^9 \text{ GeV}. \quad (2.124)$$

This rules out the previously-discussed **Weinberg-Wilczek** axion, which comes out of a Higgs doublet with VEV

$$\langle H_{1,2} \rangle = e^{\pm i\beta/6} \begin{bmatrix} 0 \\ v_{1,2}/\sqrt{2} \end{bmatrix}, \quad (2.125)$$

since then we would have

$$f_{PQ} = \frac{\sqrt{v_1^2 + v_2^2}}{6} = \frac{v}{6}, \quad (2.126)$$

$v$  being the electroweak scale,  $v \sim 246 \text{ GeV}$ . The prediction would then be  $m_a \approx 150 \text{ keV}$ .

So, any axions that might actually be real would have to be **invisible axions**. The DFSZ and KSVZ models implement this.

1. The DFSZ model introduces the complex scalar  $S$ , which transforms as  $S \rightarrow e^{i\beta/6} S$  under PQ and is a singlet under the SM symmetries. Interaction terms are added involving  $S^\dagger S$  and  $H_1^\dagger H_2 S^2$ . Then, the scale  $f_{PQ} \sim \sqrt{v_1^2 + v_2^2 + v_s^2}$ , where  $v_s \gg v_1, v_2$  is the VEV of  $S$ .
2. The KSVZ model introduces new quark fields which are  $SU(3)_c$  triplets as well as  $S$ .

In both models the breaking of the PQ breaks at a scale  $f_{PQ}$  which is much larger than the electroweak scale.

## Axion — SM particles interactions

As we would have for any Nambu-Goldstone field, the axion's interactions with fermions are described by the Golberger-Treiman formula:

$$\mathcal{L}_a = \frac{1}{f_{PQ}} \partial_\mu a J_{PQ}^\mu \quad (2.127)$$

$$= \frac{a}{f_{PQ}} \sum_f q_{PQ}^f m_f \bar{f} \gamma^5 f, \quad (2.128)$$

where the PQ current of the fermions can be written as

$$J_{PQ}^\mu = \sum_f \frac{q_{PQ}^f}{2} \bar{f} \gamma^\mu \gamma^5 f. \quad (2.129)$$

The actual PQ charges of the particles are model-dependent. Further, we have interactions of the axion with the gluons in the way we already saw:

$$\mathcal{L}_{a-\text{gluons}} = \frac{\alpha_s}{8\pi} \frac{a}{f_{PQ}} G_{\mu\nu}^a \tilde{G}^{\mu\nu,a} \quad (2.130)$$

and we can insert interactions with the photons as well:

$$\mathcal{L}_{a---\gamma} = C \frac{\alpha_{\text{EM}}}{8\pi} \frac{a}{f_{PQ}} F_{\mu\nu} \tilde{F}^{\mu\nu}, \quad (2.131)$$

where the constant  $C$  is to be determined, it is generally assumed to be of order 1.

So, we can characterize the axion as a **light, weakly interacting** pseudoscalar: it is light, since  $m_a \sim 1/f_{PQ}$ ; it is weakly interacting since its interaction terms scale like  $1/f_{PQ}$ ; it is a pseudoscalar since its interaction term must be globally  $P$ -invariant, and  $F\tilde{F}$  is a pseudoscalar.

The general form of the interaction between a BTSM scalar or pseudoscalar is given by Rubakov [GR11, eq. 9.79].

The mass of the axion can be expressed as

$$m_a \approx 0.6 \text{ eV} \left( \frac{10^7 \text{ GeV}}{f_{PQ}} \right), \quad (2.132)$$

or alternatively  $m_a f_{PQ} \sim 6000 \text{ MeV}^2$ .

If we knew  $m_a$ , we could determine the rates of the interactions between the axion and the other particles: a common one is the axion-photon interaction: the decay  $a \rightarrow \gamma\gamma$  is found to have a lifetime

$$\tau_a \approx 4.5 \times 10^{17} \text{ s} \left( \frac{25 \text{ eV}}{m_a} \right)^5, \quad (2.133)$$

where  $4.5 \times 10^{17} \text{ s}$  is close to the age of the universe. So, if  $m_a$  were larger than around 25 eV our axions would have decayed by now.

We also have bounds coming from astrophysics: axion production would cool stars and supernovae too much, this yields the stricter bound  $m_a \lesssim 10^{-2}$  eV.

Now, the SSB which gives mass to the axion happens at the QCD scale: above it, it is effectively massless. When the temperature decreases below that scale, the axion starts rolling down to the new minimum of the Lagrangian, which looks like

$$L(\bar{\theta}) = f_{PQ}^2 \left( \frac{1}{2} \left( \frac{d\bar{\theta}}{dt} \right)^2 - \frac{m_a^2}{2} \bar{\theta}^2 \right). \quad (2.134)$$

Here, recall that  $\bar{\theta} = \theta_0 + a/f_{PQ}$ .

Rubakov also states that this mechanism provides the possibility for axions to have small initial velocities, and therefore be cold DM despite small masses. It is not really clear to me how that works, it seems to be something like “the energy is contained in the oscillation instead of being kinetic”.

Now, after this breaking the axion oscillates, and in this phase its density  $\rho_a$  is approximately constant, and given by

$$\rho_{a,0} = \frac{n_a}{s} m_a s_0 \approx \frac{m_a f_{PQ}^2}{\sqrt{g_A} T_{\text{osc}} M_P} s_0 \bar{\theta}_i^2 \sim \frac{1}{m_a}. \quad (2.135)$$

If we assume  $T_{\text{osc}} \sim \Lambda_{\text{QCD}} \sim 200$  MeV, then we get

$$\Omega_a = \frac{\rho_{a,0}}{\rho_c} = \left( \frac{\mu\text{eV}}{m_a} \right) \bar{\theta}_i^2, \quad (2.136)$$

and as long as  $\bar{\theta}_i^2 \sim 10^{-1} \div 10$  we get reasonable values with axion masses between  $10^{-5}$  and  $10^{-7}$  eV.

How would we detect axions? They interact with photons by the process  $a \leftrightarrow \gamma\gamma$ , so we can have an experiment in which we have photon conversion into an axion.

We have a spectacular effect which is called “light shining through a wall”: we send a photon towards a wall, it will not pass through usually. Suppose that we put a source of a strong magnetic field: if there are axions, we could have photon-photon conversion into an axion, which can pass through the wall and then emerges as an axion. We then put another strong source of magnetic field which can deconvert the axion into a photon pair.

So far, this has not provided any evidence for the existence of the axion.

## 2.6 Physics beyond the Standard Model

A Grand Unified Theory would unify strong, electromagnetic and weak interactions.

The electromagnetic and weak interactions were unified into a  $SU(2)_L \times U(1)_Y$  theory, where the coupling constants for the two groups,  $g_2$  and  $g_1$ , are pretty close. The strong coupling,  $g_s$ , is instead quite far from these.

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All of these are running couplings: we have

$$\frac{d\alpha_i}{d \log q^2} = b_i \alpha_i + \mathcal{O}(\alpha_i^3), \quad (2.137)$$

what's up with the  $q^2$ ?

where  $b_i$  is given by:

$$b_i = -\frac{1}{4\pi} \left[ \frac{11}{3} C(G_i) - \sum_f \frac{4}{3} T(R)_f \right], \quad (2.138)$$

where we are neglecting the contributions from scalars, and where the Casimirs in the  $SU(N)$  case are  $C(SU(N)) = N$  and  $T(R)_{SU(N)} = 1/2$ .

So, if we label electromagnetism, weak and strong interactions with the numbers 1, 2 and 3 we find

$$b_3 = -\frac{1}{4\pi} \left[ \frac{11}{3} \times 3 - \frac{4}{3} \left( \frac{1}{2} + \frac{1}{2} \right) n_{\text{fermion generations}} \right] \quad (2.139)$$

$$b_2 = -\frac{1}{4\pi} \left[ \frac{11}{3} \times 2 - \frac{4}{3} \frac{1}{2} 4 \frac{1}{2} n_{\text{fermion generations}} \right] \quad (2.140)$$

$$b_1 = -\frac{1}{4\pi} \left[ 0 - \frac{20}{9} n_{\text{fermion generations}} \right]. \quad (2.141)$$

The calculation is not super clear: what are we counting exactly for each interaction? Are the fermions not the same?

By integrating (2.137) we get the **Renormalization Group Equations**:

$$\frac{1}{\alpha_i(q^2)} = \frac{1}{\alpha_i(M_X^2)} + b_i \log \left( \frac{M_X^2}{q^2} \right). \quad (2.142)$$

Could we find a scale such that the three couplings become equal? If it exists, such a scale would be called the **Grand Unified Theory** Energy scale.

So, we have three equations for the values of the three couplings: we can input two of the low-energy couplings and predict the GUT scale  $M_{\text{GUT}} \sim 10^{15} \text{ GeV}$ , the GUT coupling  $\alpha_{\text{GUT}}$ , and one low energy parameter.

One possible prediction is  $\sin^2 \theta_w = e^2/g^2$ , where  $\theta_w$  is the weak mixing angle.

This kind of works: the three couplings come close but do not reach simultaneous equality. A key piece of the puzzle is the fact that the way the running coupling changes depends on the *particle content* at each energy from the electroweak scale  $M_W \sim 200 \text{ GeV}$  and the GUT scale.

The thing we try to do is to embed our gauge group into some larger symmetry group:

$$SU(3)_c \otimes SU(2)_L \otimes U(1)_Y \subset G_{\text{GUT}}. \quad (2.143)$$

For example, we could have  $G_{\text{GUT}} = SU(5)$ . This group has  $5^2 - 1 = 24$  generators, 12 of which are the known ones, and 12 of which would be new ones.

What would be the charges of such a boson with respect to the known symmetries? Let us work with electric charge instead of hypercharge directly. Then, we would have 6 bosons  $X^\mu$  with charges 3, 2, 4/3 respectively with respect to  $SU(3)_c$ ,  $SU(2)_L$  and  $U(1)_{\text{em}}$ ; and 6 bosons  $Y^\mu$  with charges 3, 2, 1/3.

These would mediate baryon- and lepton-number violating interactions, such as  $d_L + e^+ \rightarrow X^\mu \rightarrow u_L + u_L^c$ . This kind of interaction would allow a process like the decay of a proton  $p$  into a positron and a pion:  $p \rightarrow e^+ + \pi^0$ .

The decay rate of this process is  $\Gamma \propto M_X^4/m_p^5$ , so the lifetime of a proton would be

$$\tau_p \sim \frac{M_X^4}{\alpha^2 m_p^5} \sim 5 \times 10^{32} \text{ yr}, \quad (2.144)$$

not what he writes, but his formulas are dimensionally inconsistent as well so I don't know

but our experimental bounds are already higher, at  $\tau_p \gtrsim 10^{33}$  yr. The way this theory would work is by introducing a new Higgs-like field, whose VEV would be of the order of  $M_{\text{GUT}}$ .

So, there are two phase transitions: one at  $E \sim T \sim M_{\text{GUT}}$ , from the big symmetry group  $G$  to  $G_{\text{SM}}$ , and then one around  $M_W$ , from  $G_{\text{SM}}$  to  $SU(3)_c \times U(1)_{\text{em}}$ .

### 2.6.1 GUTs and neutrino mass

In the Standard Model we only have  $\nu_L$  in an isospin doublet with  $e_L$ , and no  $\nu_R$ . So, a neutrino mass term could only be written as

$$\nu_L^\alpha \nu_R^\beta \epsilon_{\alpha\beta}, \quad (2.145)$$

where  $\alpha$  and  $\beta$  are Lorentz indices. Lorentz transformations  $\Lambda \in SO(1,3)$  are locally isomorphic to  $SU(2)_L \times SU(2)_R$  acting on the left- and right-handed components of a spinor. Note that this  $SU(2)$  is *not* the isospin  $SU(2)_L$ : it is, instead, a different way to write our Lorentz transformation.

The issue is with the way that the term  $\nu_L^\alpha \nu_R^\beta \epsilon_{\alpha\beta}$  transforms under an  $SU(2)_L$  transformation:  $\nu_L$  has  $T_3 = +1/2$ , while  $e_L$  has  $T_3 = -1/2$ . So,  $\nu_L \nu_L$  has  $T_3 = +1$ : a component of a triplet!

If we define  $L = (\nu, e)_L$  we can write a term like  $L^i L^j \Delta^{ij}$ , where  $i$  and  $j$  are  $SU(2)_L$  gauge indices, and  $\Delta$  is an  $SU(2)_L$  triplet, which without loss of generality can be taken to be symmetric.

However, in the SM we only have a Higgs scalar doublet: we cannot write a term like  $LLH$ ; we could write  $LHLH$ , which would have dimension 5: we would need to introduce a new energy scale  $M$ , so that after SSB the term looked like

$$\frac{L \langle H \rangle L \langle H \rangle}{M} \implies m_\nu \sim \frac{\langle H \rangle^2}{M} \sim \frac{v^2}{M}. \quad (2.146)$$

In order to comply with the bounds we have for the neutrino masses, we would need  $M \gg v \sim M_W \sim 100 \text{ GeV}$ .

Adding to the Standard Model an operator of dimension larger than 4 coming from physics above the electroweak scale makes the SM an *effective* field theory. We could have  $M$  be the GUT scale (which would work:  $v^2/M_{\text{GUT}} \sim 10 \text{ meV}$ ).

This would allow us to embed the SM symmetry into a parity-conserving Lagrangian, which becomes P-breaking only at low energies.

### Pati-Salam theory: $SO(10)$

For example, if  $G_{\text{GUT}}$  was  $SO(10)$  (Pati-Salam theory) we would have the subgroup  $SU(4) \times SU(2)_L \times SU(2)_R$ .

In this theory, all fermions of a generation (both left and right for all: up and down quarks (three each, for color charge), electrons, neutrinos) are different components in a spinor which has dimension 16.

In this theory, the scalar coupling to the right-handed neutrino is in the form

$$\nu_R^{\alpha,i} \nu_R^{\beta,j} \epsilon_{\alpha\beta} \Delta_R^{ij}, \quad (2.147)$$

where  $ij$  are  $SU(2)_R$  indices, and  $\alpha\beta$  are Lorentz indices. This is a Majorana mass term for the right-handed neutrino. Now, the VEV  $\langle \Delta_R \rangle$  will be approximately at the GUT energy scale.

Then, electroweak symmetry breaking provides the Dirac term  $\bar{\nu}_L \nu_R \langle H \rangle$  at  $\langle H \rangle \sim 100 \text{ GeV}$ .

Recall how

The neutrino mass matrix then reads

$$\begin{bmatrix} 0 & v \\ v & V_{\text{GUT}} \end{bmatrix}, \quad (2.148)$$

where the vector space is  $(L, R)$ . The light neutrino mass eigenstate is then mostly  $m_{\nu_L} \sim v^2/V_{\text{GUT}}$  while the other one is mostly  $m_{\nu_R} \sim V_{\text{GUT}}$ .

This simultaneously explains the lightness of the observed neutrinos and the fact that we have only observed left-handed ones in the weak interactions we tested.

### Baryon and lepton number conservation

In the SM, baryon and lepton number conservation are “accidental” (not imposed from on high) symmetries.

In general GUTs, they are violated in couplings of new super-heavy gauge bosons with fermions. So, the new bosons interact both with leptons and quarks. However, in many GUTs the combination  $B - L$  is conserved.

This is not the case, for example, in  $SO(10)$ : the term  $\nu_R \nu_R$  has  $\Delta L = 2$  and  $\Delta B = 0$ .

SM particle	SUSY partner
electron $e^-$ , spin 1/2	selectron $\tilde{e}^-$ , spin 0
$W^\mu$ boson, spin 1	$W$ -ino $\tilde{W}$ , spin 1/2
Higgs boson $H$ , spin 1	Higgsino $\tilde{H}$ , spin 1/2
neutrino $\nu$ , spin 1/2	sneutrino $\tilde{\nu}$ , spin 0
photon $\gamma$ , spin 1	photino $\tilde{\gamma}$ , spin 1/2
graviton, spin 2	gravitino, spin 3/2

Figure 2.1: Supersymmetric partners.

### 2.6.2 The gauge hierarchy problem

Even in low (electroweak-scale and lower) energy processes we can have GUT super-heavy virtual particles appearing. These should be accounted for in the loop integrals.

The situation is different for fermions and gauge bosons on one side, versus the scalar Higgs field.

Fermions and gauge bosons only acquire mass after SSB: so, if we draw a diagram representing the interaction between the fermion field and the Higgs field, we must have a Higgs line as well as two fermion lines. For the gauge bosons the thing is the same, but we need two Higgs lines as well as two vector boson lines, in order to contract their Lorentz indices.

So, loop corrections will build on this diagram, but they cannot change the incoming lines: therefore, their mass terms will always be proportional to  $v$ , and never to  $M_{\text{GUT}}$ .

There is no such SSB protection for the mass of the Higgs boson, which already has a mass term  $\mu^2|\phi|^2$  before SSB: GUT loop corrections can indeed affect it.

Let us describe the way these perturb the mass like  $\mu^2 = \mu_0^2 + \delta\mu^2$ . If  $\mu_0$  is at the electroweak scale while  $\delta\mu$  is at the GUT scale, this breaks everything!

The VEV of our Higgs would be at the GUT scale, even though at tree level it might start off at the electroweak scale. There are two ways to solve this problem: one is to fine-tune the parameters in the Lagrangian to cancel the radiative corrections to  $\mathcal{L}_{\text{Higgs}}$ .

The alternative is to introduce a cutoff scale for the corrections: this can either be achieved by supersymmetry which is broken around 100 GeV to 1 TeV, or by the introduction of new spacetime dimensions.

### Supersymmetry

The idea of SUSY is to introduce a symmetry transformation mapping bosons to fermions: each SM particle would have a SUSY partner with a different spin.

These are characterized by their funny names.

If we start off with  $\mu_0^2\phi^2$  at the correct scale, we are done: the correction  $\delta\mu^2$  vanishes for a SUSY theory, since the contributions for a fermion loop for the Higgs self-interaction diagram precisely cancel with the sfermion loops.

This works as long as SUSY is broken around the TeV, so that the electroweak breaking scale are protected (they do not vanish like the other ones).

Temperature	Symmetry group	time
$10^{19}$ GeV	$G_{\text{GUT}}$	$10^{-43}$ s
$10^{15} \div 10^{16}$ GeV	$G_{\text{GUT}}$ , barely	$10^{-38}$ s
$10^2 \div 10^3$ GeV	$SU(3)_c \times SU(2)_L \times U(1)_Y$ , barely	$10^{-10} \div 10^{-12}$ s
$200 \div 300$ MeV	$SU(3)_c \times U(1)_{\text{em}}$ : quark-gluon confinement	$10^{-4} \div 10^{-5}$ s
1 MeV	$SU(3)_c \times U(1)_{\text{em}}$ : nucleosynthesis	1 s

Figure 2.2: Phase transitions in the early universe.

If SUSY is an exact symmetry, then we expect the masses of the particles and of their SUSY partners to be equal. If, instead, it is broken around the electroweak scale we may have  $m_{\tilde{f}} - m_f \sim M_W$ .

The important thing is then that this predicts that the SUSY partners are not very much more massive than the normal particles; and they have not been found at LHC.

As we go to higher energies in the search for new particles without finding SUSY ones we get ever stricter bounds on the SUSY breaking scale.

SUSY is a discrete symmetry, an  $R$ -parity such that fermions have  $R = +1$  while bosons have  $R = -1$ . This being a symmetry means that the lightest SUSY particle cannot decay: it cannot turn into SM particles since they have a different  $R$ , and it cannot turn into heavier SUSY particles by energy conservation.

In the Supersymmetric SM the Grand Unification works well: the couplings meet at  $M_{\text{GUT}}^{\text{SUSY}} \approx 10^{16}$  GeV. This is also within our bounds for the proton lifetime.

The lightest neutralino is a good WIMP-like DM candidate.

## Extra dimensions

The idea here is to suppose that our 1+3-dimensional spacetime is embedded into a higher-dimensional one, for example a 1+4-dimensional one. Then, suppose that only gravity “feels” this extra dimension: then, it would be very weak in comparison to the other interactions.

REALLY not clear what this means formally

This way, instead of having the gravitational interaction be weak because of  $M_P$  being very large we could have  $M_P$  at the electroweak scale with  $G_N$  being still small; most of the gravitational flux lines could be flowing in these new spatial directions.

In these theories, every ordinary SM particle is accompanied by many more with the same quantum numbers but increasing mass — the Kaluza-Klein modes. The lightest KK mode might be a DM candidate!

## 2.7 Symmetry breaking and phase transitions

Let us consider the time, in the early universe, before BBN. The times are

The time shortly thereafter, from 1 to 100 s, is nucleosynthesis, the earliest time we can see; we do so by exploring the abundances of light nuclei. Everything before comes out of

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our model for particle physics.

After BBN, we have an epoch of radiation dominance, followed by matter dominance, then recombination, accelerated expansion.

We will not consider these, but instead keep to the first second.

The properties of the cosmic medium can either change in a **smooth crossover**, or abruptly in a **phase transition**. Formally, the latter corresponds to an order parameter being zero in a phase and nonzero in another.

The order phase transitions describes the first derivative order which is discontinuous at them: so, first-order transitions are the sharpest, they have latent heat; while second-order transitions are smoother.

We get phase transitions when there is a mismatch between the ground state at zero temperature and at some finite temperature. Let us denote by  $\langle\phi\rangle_T$  the absolute minimum of the effective potential  $V_{\text{eff}}(T, \phi)$ .

Sometimes, the ground state being  $\phi = 0$  is restored at a finite temperature.

First-order phase transitions have a discontinuity in  $\langle\phi\rangle_T$  at a certain  $T = T_C$ ; for second-order phase transitions it is continuous but not differentiable.

An example of a first-order transitions is the boiling of a liquid, second-order ones are the transition of a ferromagnet, of a superconductor, of a superfluid.

For second-order and smooth-crossover transitions the medium may always be at equilibrium, on the other hand for first-order transitions switching to the other minimum becomes thermodynamically favorable if the temperature crosses the critical point: so, we can get **bubble nucleation**.

The expectation value of the field becomes inhomogeneous in space. We get bubbles with the new vacuum, for which it is energetically favorable to expand.

The transition being energetically favorable is not enough: the nucleation rate must be higher than the expansion of the universe, otherwise the transition does not complete.

### 2.7.1 The electroweak phase transition

The potential for the Higgs field is given by

$$V(\phi) = \mu^2|\phi|^2 + \lambda|\phi|^4, \quad (2.149)$$

with  $\mu^2 < 0$  and  $\lambda > 0$ . Then, the VEV is

$$\langle\phi\rangle_0 = \sqrt{\frac{-\mu^2}{2\lambda}} = \frac{v}{\sqrt{2}}, \quad (2.150)$$

so at zero temperature the potential can be written as

$$V(\phi) = \lambda \left( \phi^2 - \frac{v^2}{2} \right)^2. \quad (2.151)$$

What do we write for a nonzero temperature? The term to add is:

$$V = V(T=0) + \frac{T^2}{24} \left[ \sum_{\text{bosons}} g_i m_i^2(\phi) + \frac{1}{2} \sum_{\text{fermions}} g_i m_i^2(\phi) \right] \quad (2.152)$$

$$= \left( -\lambda v^2 + \frac{\alpha}{24} T^2 \right) \phi + \lambda \phi^4, \quad (2.153)$$

where  $m_i(\phi) = h_i \phi$ ,  $h_i$  being the coupling constant of that specific fermion or boson to  $\phi$ . The sum over the bosons runs over the Higgs itself as well: so, we get a term  $g_h h_h^2 H^2$  as well. Finally, we defined

$$\alpha = \sum_{\text{bosons}} g_i h_i^2(\phi) + \frac{1}{2} \sum_{\text{fermions}} g_i h_i^2(\phi). \quad (2.154)$$

So, we can see that when the coefficient of  $\phi^2$  becomes larger than 0 the transition takes place: this will happen at  $\alpha T^2/24 = \lambda v^2$ , which means

$$T_C = 2v \sqrt{\frac{6\lambda}{\alpha}} = 2 \sqrt{\frac{M_H^2}{4M_W^2 + 2M_Z^2 + 4m_t^2 + M_H^2}} v \approx 146 \text{ GeV}. \quad (2.155)$$

This is a tree-level perturbative result: if we account for nonperturbative effects we find  $T_C \approx 160 \text{ GeV}$ .

If we were to use the perturbative approach (at one loop) we would find that the electroweak phase transition is of first order, however using a nonperturbative one we get that it is smoother. Perturbing would work for small  $M_H/M_W$ , but actually this is larger than 1.

Working nonperturbatively, one finds that the transition is of second order or even smoother.

## Phase transitions and inflation

Graph of  $V(\phi)$  with a bump, a slow decrease region, and then an absolute minimum: where does this shape come from?

At the GUT temperature, the average energy of the Higgs field is around the GUT energy scale. After the temperature goes below this, the GUT symmetry is broken.

The scale factor scales like  $H \sim T^2/M_P^*$ , where  $M_P^* \approx M_P/\sqrt{g_*} \approx 10^{18} \text{ GeV}$ . Then, if we take  $M_{\text{GUT}} \sim 10^{16} \text{ GeV}$  we get

$$t = H^{-1} = \frac{10^2}{M_{\text{GUT}}}. \quad (2.156)$$

The vacuum energy density will be given by the potential at  $\phi = 0$ . In this dark energy dominated period, the scale factor will scale like  $a \sim e^{Ht}$ .

The energy of this false vacuum is much larger than the one of the true vacuum.

If the time it takes for  $\phi$  to evolve from 0 to  $v$  is of the order  $t \sim 100H^{-1}$ , then initial smooth patches whose size is comparable to  $H^{-1} \sim 10^{-28} \text{ cm}$  will be blown out by  $e^{Ht} = e^{100}$ : they will become of a size  $3 \times 10^{15} \text{ cm}$ , or about 200 AU.

The entropy increase is enormous: we can compute it like  $S = T_C^3/H^3$ . This is because the entropy density  $s$  scales like  $T^3$  [BG03, eq. 8.46], and we retrieve the total entropy by multiplying by  $V \sim a^3$ .

Hold on, the volume is  $a^3$ , not  $H^{-3}$ ! In a steady-state solution  $H$  is constant. The reasoning works out, since it is  $t$  which scales by 100, but what he wrote is incorrect...

So, even if the transition does not correspond to a temperature change, the variation in temperature is  $(e^{Ht})^3 \sim 10^{130}$ , since  $t$  is multiplied by 100.

Some early models of slow-roll inflation are based on a transition between  $SU(5)$  to the SM symmetries.

The idea is to get a GUT potential which is very close to flat near the origin, so that the quadratic term  $m^2\phi^2$  vanishes.

This way, we have no SSB in the tree-level GUT Higgs potential (since the self-interaction terms are only relevant at higher powers of  $\phi$ ). The only corrections are *loop* corrections, possibly with loops constituted by  $SU(5)$  gauge bosons.

### Coleman-Weinberg mechanism

We take

$$V(\phi) = \text{const} \times \phi^4 \left[ \log \left( \frac{\phi^2}{v^2} \right) - \frac{1}{2} \right] + \text{const} \times v^4, \quad (2.157)$$

where  $v = \langle \phi \rangle \sim 10^{16} \text{ GeV}$ .

If  $\phi \ll v$ , the potential looks like  $V \sim v^4 - \lambda\phi^4/4$ , where  $\lambda = \text{const} \log(\phi^2/v^2) - 1/2 \sim 10^{-1} \div 10^{-2}$ .

If  $\phi$  is close to 0, then, the potential is approximated up to third order as

$$V(\phi) \sim \alpha_{\text{GUT}}^2 \frac{v^4}{2}, \quad (2.158)$$

where  $\alpha_{\text{GUT}}^2 \sim 10^{-3}$ .

Should  $\alpha^2$  not be related to  $\lambda$ ? Also, I do not understand the characterization of the situations: how is  $\phi \ll v$  different from  $\phi \sim 0$ ?

In this model, the expansion rate is given by

$$H^2 \approx \frac{4\pi}{3} \frac{\text{const} v^4}{M_P^2} \approx (10^{11} \text{ GeV})^2. \quad (2.159)$$

With this model we get a phase transition which is first order at  $T_C \sim 10^{16} \text{ GeV}$ . There are, however, issues with this model.

What can we say about this model?

## 2.8 Cosmic matter-antimatter asymmetry

The matter-antimatter asymmetry problem is two-fold:

1. we want to find a way to generate a nonzero baryon number  $\Delta B = n_B - n_{\bar{B}}$  starting from a symmetric  $\Delta B = 0$  universe;
2. we want to account for the smallness of the baryon-to-photon ratio:

$$\eta_B = \frac{n_{B,0}}{n_{\gamma,0}} \approx 6 \times 10^{-10}. \quad (2.160)$$

We can express the latter using

$$\Delta B = \frac{n_B - n_{\bar{B}}}{s} \approx 9 \times 10^{-11}, \quad (2.161)$$

the baryon-to-entropy ratio.

If we had  $\Delta B = 0$ , the fraction of the matter density in the universe which is represented by baryons would be very much smaller than 5 %.

So far, there is no experimental evidence for large antimatter regions. If it existed, it would have to be separated from regular matter by extremely large distances, since otherwise we would detect a gamma-ray background from the common annihilation.

### 2.8.1 Sakharov's conditions

They are necessary conditions for the creation of baryon asymmetry starting from a baryon-symmetric situation. They are:

1. Baryon number non-conservation;
2.  $C$  and  $CP$  violation;
3. out-of-equilibrium processes.

The first condition arises because if all processes conserved baryon number then there could be no formation of asymmetry. The second condition arises because if there was charge-conjugation symmetry then processes generating matter and antimatter would have the exact same properties, and would therefore statistically occur in the same amounts. Out-of-equilibrium processes are needed since otherwise, because of  $CPT$  symmetry,  $\Delta B$  increasing and decreasing processes would occur in the same amounts.

### 2.8.2 Baryogenesis in a GUT

Let us suppose that there is a GUT scalar particle  $X$  which has two decay channels, either  $q\bar{q}$  or  $\bar{q}\ell$ , where  $q$  is a quark and  $\ell$  is a lepton.

These are both  $B$ -violating, the first introduces  $B = +2/3$  and the second introduces  $B = -1/3$ . Let us suppose that the branching ratios are  $\tau$  and  $1 - \tau$  respectively.

The antiparticle  $\bar{X}$  can decay into  $\bar{q}q$  or  $q\ell$ , which have  $B = -2/3$  and  $B = +1/3$  and branching ratios  $\bar{\tau}$  and  $1 - \bar{\tau}$ .

If we have  $C$  violation we can see  $\tau \neq \bar{\tau}$ .

## **2.9 Baryogenesis**

### **2.9.1 Leptogenesis**

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