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sciences and bioengineering sciences

Abstract

⁴ My abstract

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⁵⁵ Chapter 1

⁵⁶ Introduction

⁵⁷ The Standard Model (SM) of particle physics is the theory that best describes our current understanding of fundamental particles and their interactions. It describes a broad range of phenomena and makes a plethora of predictions, many of which have been confirmed via measurement to great degrees of accuracy [1]. A notable feature of the SM is the Brout-Englert-Higgs (BEH) mechanism [2][3], which predicts the existence of a Brout-Englert-Higgs (or often simply Higgs) boson. The BEH mechanism is considered a central part of the SM as it provides a unique mechanism by which SM particles may acquire mass through their interaction with the Higgs boson. As such, the experimental discovery of a Higgs-like scalar boson in 2012 [4][5] was a major milestone in particle physics. Since this discovery, a significant open question that remains is whether this particle indeed behaves entirely in an SM-like way. Measuring the exact properties of the discovered scalar particle has thus been a major feature of LHC experiments such as the CMS collaboration [6]. A significant subset of these properties are the so-called Yukawa interactions between the Higgs boson and massive fermions. As can be seen in Figure 1.1, a number of these have previously been measured and indeed align with the values expected from the SM. However, the measurement of the Yukawa couplings of several of the lighter fermions still remain an open challenge as these couplings decrease in strength with smaller fermion masses.

⁷³ The next lightest fermion candidate for such a measurement is the charm quark. Consequentially, the study of the Yukawa-coupling between the Higgs boson and the charm quark is of significant interest [7]. Apart from a brief discussion of the SM, this section introduces the charm-Yukawa coupling. Additionally, LHC processes that may be targeted to exploit their sensitivity to the Higgs-charm Yukawa coupling with an experiment such as the CMS detector are discussed.

⁷⁹ 1.1 The Standard Model of particle physics

⁸⁰ The SM is formulated through the formalism of Quantum Field Theory (QFT). This is a formalism that combines concepts of classical field theory, quantum mechanics as well as special relativity into a single, coherent description of fundamental particles as excitations of underlying fields that pervade space-time. In this description, SM particles fall into two categories: fermions and bosons. The former are the massive particles which make up the matter of the universe while the latter are the force-carrying particles of the strong and electro-weak forces. The distinction between these categories is made based on the spin of the particle, which may be of either half-integer or integer respectively.

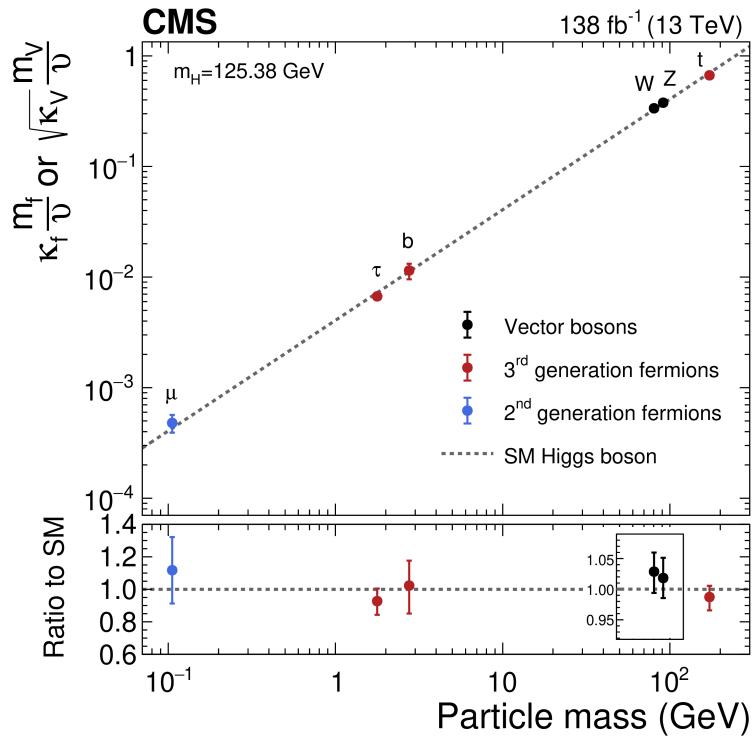


Figure 1.1: The measured coupling modifiers κ_f and κ_V of the coupling between the Higgs boson and fermions as well as heavy gauge bosons as functions of fermion or gauge boson mass m_f and m_V , where ν is the vacuum expectation value of the Higgs field. [6]

- 89 The fermion content of the SM consists of 12 unique particles. These include six leptons, namely
 90 the electron, muon and tau as well as their respective neutrinos as well as six different quarks
 91 that are distinguished by their so-called flavour. The different quark flavours include up, down,
 92 charm, strange, bottom and top and specifies a quark's mass eigenstate as well as electric charge.
 93 These fermions are typically arranged into three generations typically depicted as

$$\begin{pmatrix} e \\ \nu_e \end{pmatrix}, \begin{pmatrix} \mu \\ \nu_\mu \end{pmatrix}, \begin{pmatrix} \tau \\ \nu_\tau \end{pmatrix}, \begin{pmatrix} u \\ d \end{pmatrix}, \begin{pmatrix} c \\ s \end{pmatrix}, \begin{pmatrix} t \\ b \end{pmatrix}. \quad (1.1)$$

94
 95 However, there are distinct differences between the leptons and quarks. Leptons carry integer
 96 (or no) charge while quarks carry fractional charges. More importantly, while both quarks and
 97 leptons may interact via the electro-weak force, only the quarks interact via the strong force.
 98 Due to the nature of the strong force, quarks almost exclusively form composite states called
 99 hadrons. Lastly, the existence of anti-fermions must be mentioned. These carry the exact op-
 100 posite quantum numbers (e.g. charge) as their fermion counterparts, though otherwise behave
 101 similarly (take the electron and positron for instance). For simplicity, references to a fermion
 102 in this work may be understood as referencing both the fermion and anti-fermion counterpart,
 103 unless otherwise explicitly indicated. Examples of the latter are e.g. referring explicitly to elec-
 104 trons e^- and positrons e^+ or charm quark c and anti-charm quark \bar{c} pairs.

105
 106 There exist 13 unique bosons in the SM. These include the photon γ , W^\pm and Z which me-
 107 diate the electro-weak force as well as 8 gluons g that mediate the strong force. The final piece
 108 is the Higgs boson. Contrary to the force carriers, which all are spin 1, the Higgs boson is spin
 109 0. By interacting with the Higgs boson, the massive particles of the SM acquire their mass and
 110 is thus a central element of the SM.

111
 112 Considering the introduced particles and forces, the SM has a rich and detailed phenome-
 113 ology. A great example of a mathematically rigorous delineation of this can be found for example
 114 in [8]. Given the focus of this work on the Yukawa coupling between the Higgs boson and charm
 115 quark, only this aspect of the SM is discussed in further detail.

116 1.2 The Higgs-charm Yukawa coupling

117 The coupling that defines the strength of the interaction between massive fermions and the Higgs
 118 boson is the so-called Yukawa coupling. To better understand this and associated concepts, some
 119 knowledge of the electro-weak sector of the SM is required. These are discussed in this section
 120 while a comprehensive overview may be found in [9].

121
 122 To understand the origin of the Yukawa-couplings, a brief discussion of Lagrangian densities,
 123 gauge transformations and the role of symmetries in the SM is warranted. The Lagrangian
 124 density $\mathcal{L}(\phi_i; a_i)$ is a quantity dependent on a set of fields ϕ_i and constants a_i from which the
 125 equations of motions for the particles associated with these fields may be derived. Commonly,
 126 theories of particles and their behaviour in a QFT are thus defined through the formulation of a
 127 Lagrangian density. The form of this expression determines the nature of the particles that are
 128 included as well as their interactions.

129
 130 A central component to the way in which particle interactions are introduced in the SM is
 131 the concept of gauge symmetries. These originate from the fact that the quantum fields in a

- 132 QFT carry phase information, which may depend on the space-time coordinate of the field. This
 133 phase information describes (local) degrees of freedom of the field and should have no effect on
 134 the physical observables of the system. Thus, \mathcal{L} should remain invariant under arbitrary phase
 135 transformations. Such transformations are typically referred to as a choice of gauge and such an
 136 invariance is accordingly referred to as a *local gauge symmetry*.
- 137 In the Lagrangian of the SM, invariance in the presence of local gauge symmetries is insured
 138 through the addition of additional fields. These gauge fields couple to the previously existing
 139 fields and effectively serve as mediators of phase information between space-time points of the
 140 original fields. It is exactly these gauge fields which we identify as the fields force-mediating
 141 bosons introduced previously and which are required to maintain local gauge symmetry. A very
 142 interesting conclusion from this is that the dynamics of the bosons and the corresponding force
 143 are determined entirely by the structure of the local gauge symmetry that must be preserved.
 144 For the electro-weak force, the corresponding symmetry is referred to as $SU(2)_L \times U(1)_Y$. Here,
 145 the L denotes that the associated force only acts on left-handed chiral particles while the Y
 146 denotes the charge that is carried by the corresponding bosons and is referred to as the weak
 147 hypercharge. There are a total of four boson associated with the electro-weak force. These are
 148 the photon γ that mediates the electromagnetic force as well as the electromagnetically charged
 149 W^\pm and electromagnetically neutral Z boson that mediate the weak force.
 150
- 151 With these concepts in mind the nature of the electro-weak sector's Lagrangian in the SM
 152 may be discussed. Naively, the form of this would be given by

$$\mathcal{L}_{EW} = i\bar{\psi}_L \gamma^\mu D_\mu^L \psi_L + i\bar{\psi}_R \gamma^\mu D_\mu^R \psi_R - \frac{1}{2} \text{Tr} (W_{\mu\nu}^a W^{a\mu\nu}) - \frac{1}{4} B_{\mu\nu} B^{\mu\nu}. \quad (1.2)$$

for a generic combination of a left-handed isospin doublet ψ_L and right-handed isospin singlet ψ_R . The individual elements of \mathcal{L}_{EW} are briefly summarised below

g' :	coupling constant of $U(1)_Y$
g :	coupling constant of $SU(2)_L$
ψ_L ,	left-handed isospin doublet
ψ_R ,	right-handed isospin doublet
B_μ :	gauge field of $U(1)_Y$
W_μ^a :	gauge fields of $SU(2)_L$, $a = 1, 2, 3$
$W_{\mu\nu}$:	field strength tensor
$B_{\mu\nu}$:	field strength tensor
$t^a = \frac{\sigma^a}{2}$,	$SU(2)$ generators
$Y_L = -1$,	left chiral hypercharge
$Y_R = -2$,	right chiral hypercharge
$D_\mu^L = \partial_\mu + ig' \frac{Y_L}{2} B_\mu + igt^a W_\mu^a$	
$D_\mu^R = \partial_\mu + ig' \frac{Y_R}{2} B_\mu$	

The terms $D_\mu^{L/R}$ are so-called covariant derivatives that ensure the local $SU(2)_L \times U(1)_Y$ gauge symmetry is upheld for \mathcal{L}_{EW} . In this formulation, the observed charged gauge bosons W^\pm arise from linear combinations of the W_1 and W_2 gauge fields

$$W^\pm = \frac{1}{\sqrt{2}}(W_1 \mp iW_2), \quad (1.3)$$

¹⁵⁴
¹⁵⁵ while the Z boson and photon γ arise from linear combinations of the W_3 and B gauge fields
¹⁵⁶ achieved via a rotation

$$\begin{pmatrix} \gamma \\ Z \end{pmatrix} = \begin{pmatrix} \cos\theta_W & \sin\theta_W \\ -\sin\theta_W & \cos\theta_W \end{pmatrix} \begin{pmatrix} B \\ W_3 \end{pmatrix}. \quad (1.4)$$

with the weak mixing angle θ_W .

The massive natures of the W^\pm and Z bosons, as first reported in [10], are however incompatible with such a formulation. This is as naive mass term such as

$$m_W^2 W_\mu^+ W^{-,\mu} + \frac{1}{2} m_Z^2 Z_\mu Z^\mu. \quad (1.5)$$

¹⁵⁷
¹⁵⁸ do not remain invariant under arbitrary $SU(2)_L$ gauge transformations. This is as gauge fields
¹⁵⁹ A_μ generically transform as

$$A_\mu \rightarrow A'_\mu = A_\mu - \frac{1}{g} \partial_\mu \mathcal{V}(x) \quad (1.6)$$

where $\mathcal{V}(x)$ is some arbitrary phase. Substituting Equation 1.6 into Equation 1.5 thus introduces additional terms that do not cancel. The same is true for fermion mass terms in the form of

$$m_f \bar{\psi} \psi. \quad (1.7)$$

¹⁶⁰
¹⁶¹ There is however a subtle distinction in this case, as the invariance breaking terms in Equation 1.7
¹⁶² arise from the different transformation behaviour of the ψ_L and ψ_R components of ψ under
¹⁶³ $SU(2)_L \times U(1)_Y$ gauge transformations.

¹⁶⁴ 1.2.1 The Brout-Englert-Higgs mechanism

The BEH mechanism provides a way to circumvent the gauge symmetry breaking nature of the aforementioned generic mass terms. This is achieved through a process referred to as spontaneous symmetry breaking. A spontaneously broken symmetry refers to a symmetry that is upheld in a global view of the system (i.e. the overall Lagrangian density \mathcal{L}_{EW} remains invariant under a relevant gauge transformation) while the energetic ground state of the system explicitly breaks this symmetry. This is a process formally described by the Goldstone theorem [11] that states that each broken symmetry in a relativistic QFT generates an additional massless boson. These introduce additional degrees of freedom into the theory and are coined Goldstone bosons. The BEH mechanism exploits this by adding an additional term

$$\mathcal{L}_{\text{Higgs}} = D_\mu \phi^\dagger D^\mu \phi - V(\phi) \quad (1.8)$$

$$V(\phi) = -\mu^2 \phi^\dagger \phi + \lambda (\phi^\dagger \phi)^2. \quad (1.9)$$

to \mathcal{L}_{EW} with the complex field ϕ . This is a $SU(2)_L$ doublet

$$\phi = \begin{pmatrix} \phi^+ \\ \phi^0 \end{pmatrix} \quad (1.10)$$

with the scalar components ϕ^+ and ϕ^0 . Here, $V(\phi)$ corresponds to the potential energy term of the field. Again, the covariant derivative

$$D_\mu = \partial_\mu + ig' \frac{Y_\phi}{2} B_\mu + ig t^a W_\mu^a \quad (1.11)$$

ensures $\mathcal{L}_{\text{Higgs}}$ remains locally gauge invariant under $SU(2)_L \times U(1)_Y$ transformations. The constants of the potential term Equation 1.9 are chosen in such a way that the ground state of $V(\phi)$ is non-zero. This can be achieved by choosing them such that $\lambda > 0$ and $\mu^2 > 0$. The result is a ground state of V that is identified as the vacuum expectation value

$$v = \sqrt{\frac{\mu^2}{2\lambda}}. \quad (1.12)$$

¹⁶⁵
¹⁶⁶ The center of the potential is now an unstable local maximum and the only stable configuration

¹⁶⁷ can be found in the non-zero ground state. Through this, the symmetry of the potential is
¹⁶⁸ effectively broken. A popular choice of gauge for ϕ is

$$\phi = \begin{pmatrix} 0 \\ v + \frac{h}{\sqrt{2}} \end{pmatrix} \quad (1.13)$$

¹⁶⁹
¹⁷⁰ where h is a new scalar field that is used to parametrise radial perturbations of the potential's
¹⁷¹ ground state. This choice is referred to as the unitary gauge and h is identified as the field
¹⁷² corresponding to the physical Higgs boson. By expanding Equation 1.8 with this choice of ϕ , a
¹⁷³ range of terms are introduced to \mathcal{L}_{EW} . These contain a variety of interaction terms between the
¹⁷⁴ gauge fields and the Higgs field, as well as newly generated mass terms for the Z and W bosons

$$\left(\frac{g}{2}\right)^2 v^2 W_\mu^+ W^\mu_- = m_W^2 W_\mu^+ W^\mu_- \quad (1.14)$$

$$\left(\frac{\sqrt{g^2 + g'}}{2}\right)^2 v^2 Z_\mu Z^\mu = m_Z^2 Z_\mu Z^\mu. \quad (1.15)$$

¹⁷⁵
¹⁷⁶ This can be understood to mean that the electro-weak coupling constants g and g' along with v
¹⁷⁷ effectively determine the mass of the Z and W^\pm bosons. A full description and compilation of
¹⁷⁸ all the terms of the electro-weak Lagrangian density of the SM can be found in [9].

¹⁷⁹ 1.2.2 The Yukawa couplings

¹⁸⁰ By including the Higgs contribution in our theory, mass terms for fermions may now be generated
¹⁸¹ by including a term of the form

$$\mathcal{L}_{\text{Yukawa}} = -y_f \bar{\psi} \phi \psi, \quad (1.16)$$

$$= -y_f v \bar{\psi} \psi \left(1 + \frac{1}{v} \frac{h}{\sqrt{2}}\right) \quad (1.17)$$

which is invariant under $SU(2)_L \times U(1)_Y$ gauge transformations due to the addition of ϕ . Similarly to the W and Z mass terms, the relation

$$m_f = y_f v. \quad (1.18)$$

¹⁸²
¹⁸³ is obtained. A curious feature of the SM is that the Yukawa-couplings y_f are free parameters
¹⁸⁴ of the theory with no a priori values. As a result these must be measured experimentally, with
¹⁸⁵ the measurement of the charm quark Yukawa coupling y_c being the goal of this work. Since the
¹⁸⁶ charm quark mass has previously been determined from experiment to be $m_c = 1.27$ GeV [1],
¹⁸⁷ a measurement of y_c thus represents an important consistency test of the SM. To this end, one
¹⁸⁸ can exploited that an interaction between fermions and the Higgs field is introduced as can be
¹⁸⁹ seen in Equation 1.17, with an interaction strength proportional to y_c . It is exactly this feature
¹⁹⁰ that may be exploited by experiments at the LHC to measure y_c .

¹⁹¹ **1.3 Measuring the charm quark Yukawa coupling**

¹⁹² By measuring the frequency of occurrence of physics processes in which the coupling between the
¹⁹³ Higgs boson and charm quark appears, y_c may be determined. As such, a suitable process must
¹⁹⁴ be found that can be detected by an experiment such as CMS. These fall into two categories. The
¹⁹⁵ first consists of processes in which a Higgs boson decays into a charm and anti-charm quark pair
¹⁹⁶ ($H \rightarrow c\bar{c}$). Previous analysis of e.g. top quark pair and vector boson associated Higgs production
¹⁹⁷ has been able to observe a 95% CL upper limit on the charm quark Yukawa coupling modifier
¹⁹⁸ κ_c (see subsection 1.3.2 for a detailed discussion) of $|\kappa_c| < |3.5|$ [12], the most stringent limit to
¹⁹⁹ date. The second category consists of processes in which a Higgs boson is produced in association
²⁰⁰ with a charm quark. This latter category of processes is the focus of this work and is henceforth
²⁰¹ referred to as the cH process.

²⁰² **1.3.1 The cH process**

²⁰³ The cH process encompasses processes in proton-proton collisions in which a charm-quark is
²⁰⁴ produced alongside a Higgs boson. At leading order, this consists of 2 processes sensitive to y_c ,
²⁰⁵ represented by the Feynman diagrams shown in Figure 1.3. The first two diagrams, namely the s
²⁰⁶ and t-channel diagrams, constitute the y_c sensitive contribution. There exist also additional cH
²⁰⁷ processes, mediated through the effective Higgs boson to gluon coupling, which are not sensitive
²⁰⁸ to y_c . These account for approximately 80% of the inclusive cH cross section and thus represents
²⁰⁹ a significant background to the cH process sensitive to the charm quark Yukawa coupling.

²¹⁰ Targeting the cH process to measure y_c is a relatively novel strategy in comparison to targeting
²¹¹ $H \rightarrow c\bar{c}$. A key advantage of this approach is that contributions from the abundant QCD
²¹² background at the LHC are greatly reduced due to only needing to identify the flavour of single
²¹³ jet resulting from a charm quark, as opposed to two. Additionally, since the sensitivity to y_c does
²¹⁴ not originate from the decay of the Higgs boson, the Higgs boson decay mode to target can be
²¹⁵ chosen freely. Especially signatures such as $H \rightarrow ZZ \rightarrow 4\mu$, which may be resolved cleanly by an
²¹⁶ experiment such as CMS, can be targeted. However, an analysis of the cH process also comes
²¹⁷ with drawbacks. A significant experimental difficulty results from the fact that the associated
²¹⁸ charm flavour jets are typically produced at very low transverse momenta p_T , as seen in Figure
²¹⁹ 1.2. These can be experimentally difficult to reconstruct and thus a significant portion of
²²⁰ this signal may be lost due to detector acceptance effects. Another drawback is that Higgs boson
²²¹ decay channels such as $H \rightarrow ZZ \rightarrow 4\mu$ have very small branching ratios (e.g. $BR(H \rightarrow ZZ \rightarrow 4\mu) =$
²²² 0.3% [1]) and thus the overall cross section of the cH process may be very small. As a result of
²²³ these effects, a key challenge of a search for the cH process is expected to lie in the statistical
²²⁴ uncertainty of the analysis.

²²⁶ As a novel strategy, targeting the cH process is of recent interest and results in the cH(WW)
²²⁷ and cH($\gamma\gamma$) channels using Run 2 data of the CMS experiment are published. Upper limits on
²²⁸ κ_c at 95% CL are reported with $|\kappa_c^{\text{cH}(WW)}| < 47$ [13] and $|\kappa_c^{\text{cH}(\gamma\gamma)}| < 38.1$ [14]. While not
²²⁹ as sensitive as the limit observed in the $H \rightarrow c\bar{c}$ channels, these nonetheless provide important
²³⁰ complementary results and can contribute significantly in combination. This is especially impor-
²³¹ tant given that even at the High-Luminosity LHC, the projected sensitivity on the charm quark
²³² Yukawa coupling in individual channels is only starting to approach one [15].

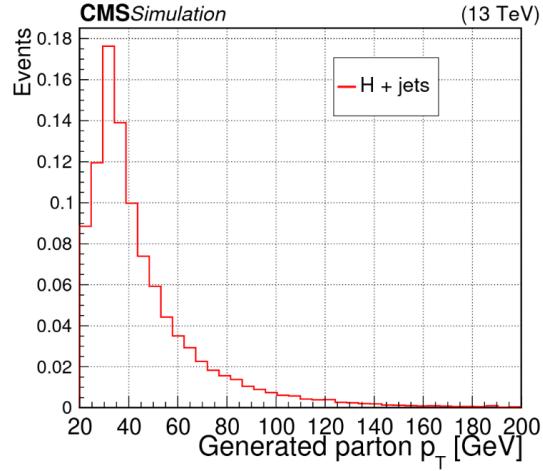


Figure 1.2: Transverse momentum of the charm quark produced alongside a Higgs boson in a simulation of the cH process, which typically takes on relatively small values. THIS IS A PLACEHOLDER PLOT.

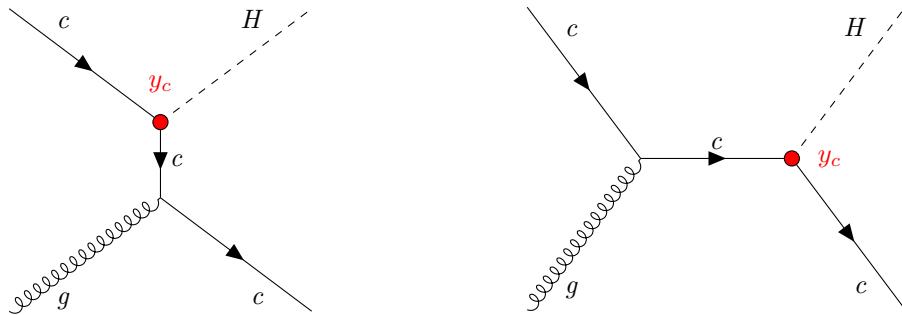


Figure 1.3: The leading order cH processes through which y_c may be probed as each diagram contains a vertex with a charm-quark and Higgs boson, here denoted in red. The corresponding diagrams with an anti-charm quark \bar{c} are implied.

²³⁴ **1.3.2 The κ -framework**

²³⁵ The κ -framework [16] is a tool to parametrise modifications to couplings between the Higgs boson
²³⁶ and other particles with respect to the expected SM values of the couplings. For example, the
²³⁷ coupling modifiers for the charm quark Yukawa coupling is introduced as

$$\kappa_f = \frac{y_f}{y_f^{\text{SM}}}. \quad (1.19)$$

where y_f is the measured Yukawa-coupling and y_f^{SM} is the expected Yukawa-coupling of the SM, calculated from the known charm quark mass. Thus modifications to the Yukawa-coupling of the charm quark are parametrised in this way as deviations from $\kappa_c = 1$. However, y_c is not a quantity that can be measured directly. Instead a signal strength measurement μ_{if} , where i represents the production process and f represents the decay process, relative to the SM expectation is made. Thus a measurement of μ_{if} must be converted into an interpretation of κ_c . This is a step that contains some finer subtleties.

The rate of a Higgs production and decay process in relation to the expected SM signal (i.e. a signal strength) may be written as

$$\mu_{if} = \frac{\sigma_i \cdot \text{BR}_f}{(\sigma_i \cdot \text{BR}_f)^{\text{SM}}}, \quad (1.20)$$

where σ_i is the production cross section in a given channel i and BR_f is the decay branching ratio in a given channel f . This can be rewritten as

$$\sigma_i \cdot \text{BR}_f = \kappa_{r,i} \sigma_i^{\text{SM}} \cdot \frac{\kappa_f \Gamma_f^{\text{SM}}}{\Gamma_H} \quad (1.21)$$

to give a general expression in which modifications to the production cross section and partial SM decay width Γ_f^{SF} are introduced via $\kappa_{r,i}$ and κ_f respectively. The denominator Γ_H represents the total decay width which can be written as

$$\begin{aligned} \Gamma_H &= \Gamma_H^{\text{SM}} (\kappa_b^2 \text{BR}_{bb}^{\text{SM}} + \kappa_W^2 \text{BR}_{WW}^{\text{SM}} + \kappa_g^2 \text{BR}_{gg}^{\text{SM}} + \kappa_\tau^2 \text{BR}_{\tau\tau}^{\text{SM}} + \kappa_Z^2 \text{BR}_{ZZ}^{\text{SM}} + \kappa_c^2 \text{BR}_{cc}^{\text{SM}} \\ &\quad + \kappa_\gamma^2 \text{BR}_{\gamma\gamma}^{\text{SM}} + \kappa_{Z\gamma}^2 \text{BR}_{Z\gamma}^{\text{SM}} + \kappa_s^2 \text{BR}_{ss}^{\text{SM}} + \kappa_\mu^2 \text{BR}_{\mu\mu}^{\text{SM}}) \end{aligned} \quad (1.22)$$

$$:= \Gamma_H^{\text{SM}} \kappa_H^2 \quad (1.23)$$

Here, Γ_H^{SM} is the SM total decay width of the Higgs boson and BR_f^{SM} are the branching ratios of the possible decay modes (the loop induced coupling of the Higgs boson to gluons and photons are included as independent quantities) where κ_f parametrises modifications thereof. Substituting Equation 1.23 into Equation 1.20, the rate modifier may be written as

$$\mu_{if} = \frac{\kappa_{r,i} \kappa_f^2}{\kappa_H^2}. \quad (1.24)$$

Now, assuming in the production of the Higgs boson only modifications to the charm quark Yukawa coupling plays a role as well as that the decay mode (e.g. $H \rightarrow ZZ \rightarrow 4\mu$) is unmodified, Equation 1.24 becomes

$$\mu_{if} = \frac{\kappa_c^2}{\kappa_H^2} \quad (1.25)$$

Using the flat direction approach discussed in [7] and [17], a simplification of κ_H can be introduced. This approach is based on the finding that, when performing fits to existing Higgs boson production and decay rates, increases in the Yukawa couplings of light quarks (including the charm quark) can be compensated by increases in the couplings of the gauge bosons and heavy fermions. This is referred to as a “flat direction” in the fit, where observed Higgs boson production and decay rates can be modeled equally well for any value of κ_c by a respective scaling of all other processes. The authors thus replace the individual modifiers in the sum of Equation 1.22 with a single modifier κ . This allows Equation 1.24 to be rewritten as

$$\mu_{if} = \frac{\kappa^4}{\kappa^2(1 - BR_{cc}^{SM}) + \kappa_c^2 BR_{cc}^{SM}} \quad (1.26)$$

which has a solution for κ given by

$$\kappa = \frac{(1 - BR_{cc}^{SM})\mu}{2} + \frac{\sqrt{(1 - BR_{cc}^{SM})^2\mu^2 + 4\mu BR_{cc}^{SM}\kappa_c^2}}{2}. \quad (1.27)$$

238 Here, the expected SM decay width $BR_{cc}^{SM} = 0.3$ can be substituted. Additionally, the fact that
239 observed Higgs boson rates have been well measured to be close to their expected values (see e.g.
240 [18]) can be reflected by setting $\mu \approx 1$, so that only a dependence on κ_c remains in the expression.
241 Thus by replacing κ_H in Equation 1.25 with Equation 1.27, a final expression relating a measured
242 signal strength of the cH process to κ_c is obtained, given by
243

$$\mu_{\sigma_{cH} BR(H \rightarrow ZZ)} = \frac{2\kappa_c^2}{0.97 + \sqrt{(0.97)^2 + 4 \cdot 0.97\kappa_c^2}}. \quad (1.28)$$

Rearranging for κ_c gives

$$\kappa_c = \pm \frac{\sqrt{4 \cdot 0.97 \cdot \mu_{\sigma_{cH} BR(H \rightarrow ZZ)} \cdot (1 + \mu_{\sigma_{cH} BR(H \rightarrow ZZ)})}}{2}. \quad (1.29)$$

244 Effectively, this approach in interpreting κ_c from a signal strength measurement $\mu_{\sigma_{cH} BR(H \rightarrow ZZ)}$
245 thus ensures compatibility with existing Higgs boson rate measurements, given a non-unity value
246 of κ_c leads to modifications of the Higgs boson partial decay widths. It should be noted that
247 this already indirectly implies bounds on κ_c , as discussed in [7].
248

1.4 An EFT interpretation of the cH process

The cH process may also be interpreted in terms of Standard Model Effective Field Theory (SMEFT). In SMEFT theory, potential effects from physics processes not described by the SM (commonly referred to as beyond-the-SM or BSM physics) are parametrised in a mostly model-independent way. Specifically, the SMEFT framework can be used at colliders with a characteristic energy scale E to describe the effects of processes with a characteristic energy scale above E . This concept is illustrated in Figure 1.4.

Formally, SMEFT is a collection of all possible combinations of field interactions that obey the gauge invariance conditions of the SM. Generically, this can be expressed as an expansion in the

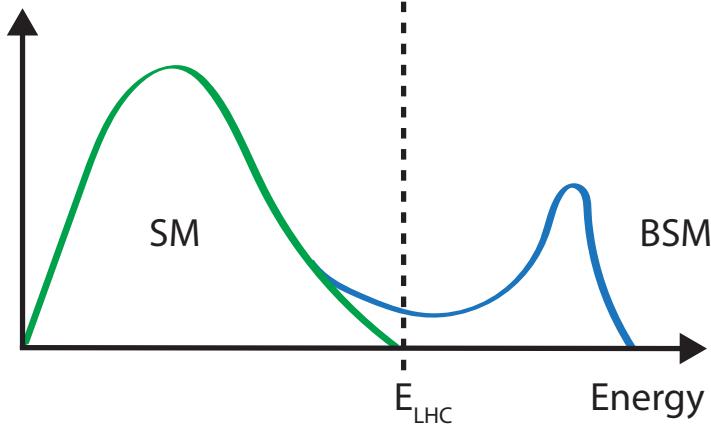


Figure 1.4: Illustration of how the presence of BSM physics, which is primarily visible beyond the reach of current collider energies (e.g. E_{LHC}), can lead to subtle modifications of SM observables. These effects can be parametrised by SMEFT.

energy scale of the new physics scale Λ

$$\mathcal{L}_{\text{SMEFT}} = \mathcal{L}_{\text{SM}} + \sum_{d>4} \sum_i \frac{C_i}{\Lambda^{d-4}} \hat{O}_i^d \quad (1.30)$$

where \mathcal{L}_{SM} is the SM lagrangian, O_i denotes a particular operator (i.e. a particular combination of fields) with a dimensionless coupling coefficient C_i and d denotes the dimension of the operator. The dimensionality is derived through a dimensional analysis of a lagrangian and its fields, where energy dimensions of terms may be deduced from the requirement that the action

$$S = \int \mathcal{L} d^4x \quad (1.31)$$

remains dimensionless. Accordingly, \mathcal{L}_{SM} is of energy dimension four. Since the SMEFT operators O_i^d all have energy dimensions higher than four and Λ comes with energy dimension one, the terms in the sum of Equation 1.30 are scaled with $1/\Lambda^{d-4}$ to ensure the combination also has an energy dimension of four.

Typically, operators in SMEFT are grouped by their energy dimension. In $d=5$, only one operator possible operator exists that violates lepton number [19] and is not relevant in this work. In $d=6$ however, a plethora of valid operators exist. In total, these amount to 59 different dimension six operators (not counting all possible flavour combinations), commonly represented in the Warsaw basis [20]. Since $d=7$ operators again violate lepton number and each additional dimension adds a suppressive factor of Λ^{-1} , a simplified SMEFT schema is commonly used in which only the contribution of $d=6$ operators is considered in the expansion. Thus Equation 1.30 simplifies to

$$\mathcal{L}_{\text{SMEFT}} = \mathcal{L}_{\text{SM}} + \sum_i \frac{C_i}{\Lambda^2} \hat{O}_i^{(6)} \quad (1.32)$$

264

265 A good overview of SMEFT can be found in [21].

266

267 **1.4.1 The chromomagnetic dipole operator**268 A particular operator relevant to this work is referred to as the chromomagnetic dipole (CMD)
269 operator \hat{O}_{qG} . For the charm quark, the CMD operator is written as

$$\hat{O}_{cG} = (\bar{q}_{2,L} \sigma^{\mu\nu} T^a c) \tilde{\phi} G_{\mu\nu}^a. \quad (1.33)$$

270

271 Here, $\bar{q}_{2,L}$ is the second generation, left-handed quark doublet, $\sigma^{\mu\nu} = i[\gamma_\mu, \gamma_\nu]/2$ with the Dirac
272 matrices γ_μ , $T^a c$ are the generators of the SU(3), $\tilde{\phi}$ is the adjoint Higgs doublet and $G_{\mu\nu}^a$ is the
273 field strength tensor of the strong interaction. This operator may be uniquely bounded with the
274 cH process due to the unique chiral structure of the operator, which mixes left and right-handed
275 spinors, a structure otherwise only found in the Yukawa and quark-Higgs boson interaction terms
276 of the SM.

277

278 To better understand this, it is worth considering other processes such as inclusive Higgs boson
279 production, which have been successfully leveraged to set strong constraints on the top quark
280 CMD operator \hat{O}_{tG} [22]. Typically, the strategy that is used to probe even small wilson coefficients e.g. C_{tG} is to exploit interference of the relevant (small) SMEFT contribution with a larger
281 SM contribution. Though the pure SMEFT contribution itself may be small and experimentally
282 negligible due to limited analysis sensitivity, the much larger contribution of the SM process it
283 interferes with can result in a non-negligible interference effect with respect to the SM process.
284 However, the chiral structure of the CMD operator influences the effectiveness of this strategy.
285 Since the \hat{O}_{qG} operator effectively flips the chirality of the ingoing and outgoing quarks, a second
286 *chirality flip* must be inserted for the SMEFT contribution to interfere with the SM process. This
287 is visualised in Figure 1.5. Such a chirality flip is proportional to the mass m_q of the respective
288 quark. As a result the interference contribution for a much lighter quark is significantly suppressed
289 in comparison to the top quark, as also argued for the bottom quark in [23]. Effectively, the
290 processes that prove effective in targeting \hat{O}_{tG} due to the large mass of the top quark are thus
291 much less sensitive to \hat{O}_{cG} . However, since the cH process itself contains the chirality flipping
292 quark-Higgs boson vertex, interference terms between the EFT and SM contributions do not
293 suffer from the above described effect. Furthermore, due to the very low expected cross section
294 of the cH process, quadratic contributions from \hat{O}_{cG} may be comparatively large even at small
295 values of C_{cG} . Accordingly, the cH process may be an excellent target in constraining \hat{O}_{cG} .297 **1.4.2 Validity of an EFT**

In addition to EFT terms needing to satisfy the gauge invariance conditions of the SM, two additional key validity conditions are typically required of an EFT. The first is related to the fact that in an EFT, the particle nature of e.g. new, heavy mediator particles is simplified into the introduction of a new effective vertex. For example, a 2→2 particle resonant scattering via

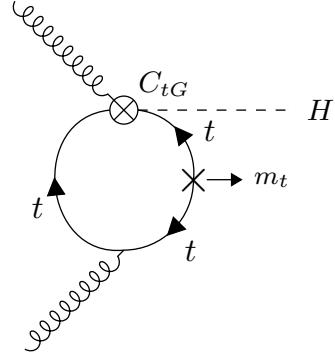


Figure 1.5: A modification of the gluon fusion process with a top quark loop by including the vertex introduced by the top quark CMD operator. Note that the arrows indicate chirality and not momentum flow. A chirality flip, denoted by the cross, proportional to the top quark mass m_t is required for the inclusion of the top quark CMD vertex.

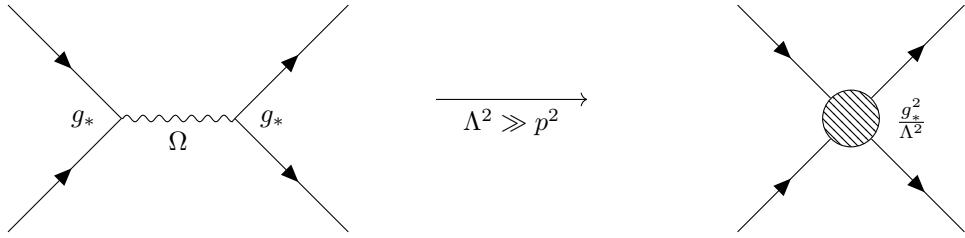


Figure 1.6: Feynman diagrams depicting a resonant process in which the new mediator particle Ω is created (left) and the approximate description of this in an EFT, where the diagram is reduced to a four-point interaction.

a new heavy mediator particle Ω with a newly introduced coupling constant g_* is simplified via the introduction of a four-point interaction, as visualised in Figure 1.6. This corresponds to a first order approximation of the new particle's mediator as

$$\frac{g_*}{p^2 - m_\Omega} \xrightarrow{m_\Omega^2 \gg p^2} -\frac{g_*}{m_\Omega} \left(1 + \frac{p^2}{m_\Omega^2} + \frac{p^4}{m_\Omega^4} + \dots \right) \approx -\frac{g_*}{m_\Omega} \quad (1.34)$$

For the EFT description of this simplification to be valid, the energy involved in processes containing the effective vertex introduced by the relevant operator must thus lie well below m_Ω , which represents the previously introduced new physics scale Λ . Practically, this can be achieved by placing an upper limit M_{cut} on the total energy that is considered in measurements of such processes. The requirement can be expressed as

$$M_{\text{cut}} < \Lambda. \quad (1.35)$$

A good estimator of M_{cut} is the invariant mass of the final state particles of a process. In case of the cH process, the invariant mass of the Higgs boson and jet system is a natural choice.

The second condition that must be met is related to the perturbativity of the theory. Concretely,

this means that higher dimensional operators should contribute increasingly smaller corrections so that the sum of operator contributions converges. In the case of this work where only d=6 operators are considered, this means ensuring contributions from d=8 operators and higher are sufficiently small. While this cannot be determined with certainty without explicit knowledge of the underlying theory the EFT is estimating, a popular choice is to require that at most $g_* \sim 4\pi$ [24].

These two conditions may be combined into a single, simultaneous requirement. In [24] an effective lagrangian (ignoring relevant indices for simplicity) of the general form

$$\mathcal{L}_{\text{eff}} = \frac{\Lambda^4}{g_*^2} \mathcal{L} \left(\frac{D_\mu}{\Lambda}, \frac{g_h \phi}{\Lambda}, \frac{g_{\psi_{L,R}} \psi_{L,R}}{\Lambda^{3/2}}, \frac{g F_{\mu\nu}}{\Lambda^2} \right) \quad (1.36)$$

is obtained when a single BSM coupling g_* is introduced. This provides a prescription for the powers of the couplings and Λ that are associated with the SM fields ϕ, ψ and $F_{\mu\nu}$, and the covariant derivate D_μ . Here, g represents the unaltered gauge field couplings of the SM, while $g_{\psi_{L,R}}$ and g_h represent the coupling of SM fermion and the Higgs doublet to the BSM theory. In a single BSM coupling scenario, this simplifies to $g_{\psi_{L,R}} = g_h = g_*$. Applying this prescription to the CMD operator gives

$$\hat{O}_{cG} \longrightarrow \frac{\Lambda^4}{g_*^2} \left[\left(\frac{g_* \psi_{L,R}}{\Lambda^{3/2}} \right) \cdot \left(\frac{g_* \psi_{L,R}}{\Lambda^{3/2}} \right) \cdot \left(\frac{g_* \phi}{\Lambda} \right) \cdot \left(\frac{g_s G}{\Lambda^2} \right) \right] \quad (1.37)$$

$$= \frac{g_* g_s}{\Lambda^2} (\psi_{L,R} \cdot \psi_{L,R} \cdot \phi \cdot G) . \quad (1.38)$$

Reading off from Equation 1.38, one can see that the coupling of the CMD operator is given by $g_* g_s / \Lambda^2$. Comparing to Equation 1.30 thus reveals that the CMD Wilson coefficient is given by $C_{cG} = g_* g_s$. By requiring the first validity condition, the relation

$$\frac{C_{cG}}{\Lambda^2} < \frac{g_* g_s}{M_{\text{cut}}^2} \quad (1.39)$$

is obtained. Since both C_{cG} and Λ are a priori unknown, we can redefine $\tilde{C}_{cG} = \frac{C_{cG}}{\Lambda^2}$. With this redefinition and by setting $g_* \sim 4\pi$, the expression

$$\frac{|\tilde{C}_{cG}| M_{\text{cut}}^2}{4\pi g_s} < 1 . \quad (1.40)$$

can be used to define a plane in \tilde{C}_{cG} and M_{cut} that satisfies the previously discussed conditions.

314 **Chapter 2**

315 **The CMS experiment at the LHC**

316 The Compact Muon Solenoid (CMS) detector [25] is large, general purpose particle detector
317 located at the Large Hadron Collider (LHC)[26] accelerator in Geneva, Switzerland. Run by the
318 European Organisation for Nuclear Research (CERN), the LHC's largest ring spans a circumfer-
319 ence of 27km, making it the largest particle accelerator in the world. In their circular trajectory
320 through the beam pipe, collimated bunches of $\sim 10^{11}$ protons are accelerated in both directions
321 of the ring. At each of the four collision points, of which CMS is built around one, the trajec-
322 tories of these proton bunches are crossed such that highly energetic proton-proton collisions are
323 produced. A sketch of the LHC accelerator complex can be seen in Figure 2.1. A detector such
324 as CMS effectively acts as a camera taking very complex snapshot of each collision. During Run
325 2 of the LHC, approximately 30 protons collide on average per bunch crossing with a centre of
326 mass energy of $\sqrt{s} = 13$ TeV. These collisions produce a plethora of particles, many of which
327 decay to sets of particles of varying multiplicities themselves. As such, these collision produce a
328 complex and varied phenomenology that require a complex machine such as the CMS detector
329 to fully capture. By recording the information from many millions of collisions, a multitude of
330 different statistical analyses may be performed. This includes analyses of the Higgs boson and its
331 properties, such as the Yukawa coupling of the charm quark. To this end, this chapter gives an
332 overview of the CMS detector and its subsystems as well as the techniques used to reconstruct
333 individual proton-proton collisions.

334 **2.1 The CMS detector**

335 The CMS detector is designed to be able to detect a wide range of signatures and is built from a
336 set of complementary sub-detectors. An overview of the detector may be seen in Figure 2.2. By
337 combining data from these sub-detectors, a comprehensive reconstruction of individual proton-
338 proton collisions, commonly referred to as an *event*, may be made. The role and functioning of
339 the individual sub-detectors is covered in this section. While several of the detector components
340 have undergone changes for the current Run-3 of the LHC[29], the configuration relevant to this
341 work is that of Run-2.

342 **2.1.1 The CMS coordinate system**

343 Due to the cylindrical nature of the CMS detector, using cylindrical coordinates to describe
344 positions within the detector is a natural choice. Thus, the z coordinate describes the position
345 along the beam pipe, r the radius and ϕ the azimuthal angle, where the proton-proton collision

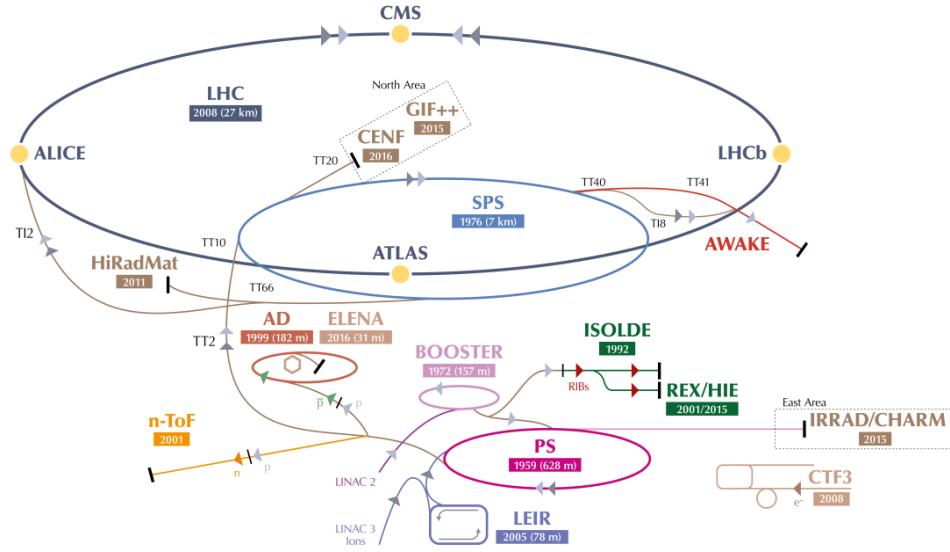


Figure 2.1: An overview of the LHC accelerator complex [27]. Before entering the large LHC ring, particles must pass through a number of increasingly powerful set of accelerators.

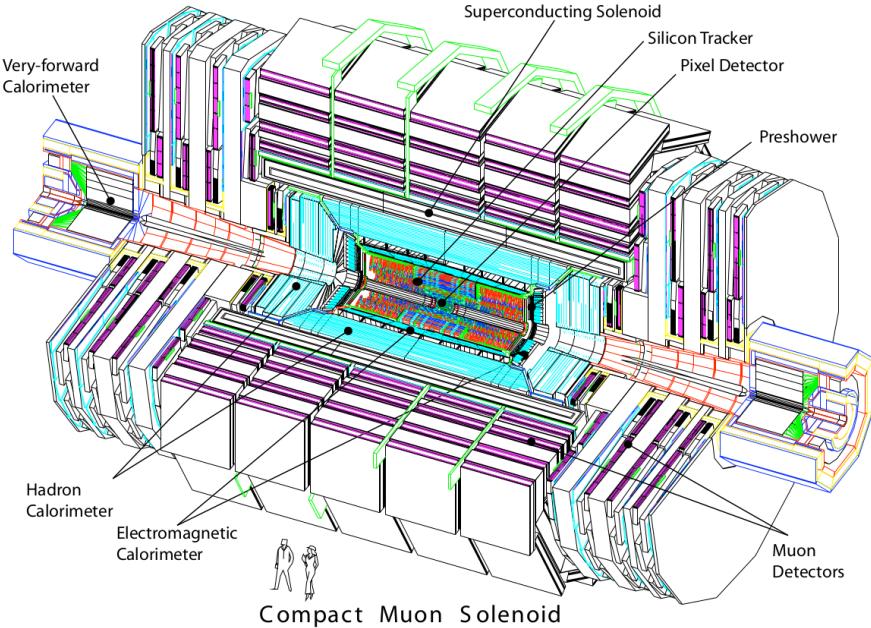


Figure 2.2: An overview of the CMS detector [28].

346 point is taken as the coordinate system's centre. Trajectories of particles with energy E within
347 the detector into the plane perpendicular to z may be described by the rapidity

$$y = \ln \sqrt{\frac{E + p_z c}{E - p_z c}}. \quad (2.1)$$

348
349 Small momenta in the z -direction p_z give a rapidity of zero, while the rapidity tends to $\pm\infty$ for
350 large p_z . However, this requires knowledge of E and p_z , which can be difficult to measure. By
351 assuming the particle is ultra-relativistic, as is typically the case at the LHC, it is possible to
352 simplify this description and introduce the pseudorapidity

$$\eta = \ln \left(\tan \left(\frac{\theta}{2} \right) \right) \quad (2.2)$$

which is dependent solely on θ , the polar angle. A convenient feature of the (pseudo)rapidity is that differences of (pseudo)rapidity are Lorentz invariant and thus not dependant on the initial longitudinal boost of the proton-proton system, which is a priori not known due to the varying momenta fractions of its constituents. Together with the particle's transverse (to the beam axis) momentum p_T and mass m , a particle's four-vector may be described by

$$p = \begin{pmatrix} m \\ p_T \\ \eta \\ \phi \end{pmatrix}. \quad (2.3)$$

353
354 The CMS detector may be broadly split into two distinct regions inward and outward of the
355 boundary $|\eta| = 1.479$. The inner region or *barrel* consists of concentric layers around the beam
356 pipe. The outer *endcap* region consists of two caps that close off the detector at either end.
357 In this way, the CMS detector is designed for the best possible hermetic coverage around the
358 collision point.

359 2.1.2 The silicon tracker

360 The silicon tracker [30] is the innermost system of the CMS detector, situated closest to the
361 beampipe. It is designed to track the trajectories of charged particles as they emerge from the
362 collision point while producing minimal energy losses of the particles themselves. This subde-
363 tector is split into two main components, the pixel detector and silicon strip detector. A sketch
364 of these components may be seen in Figure 2.4.

365
366 The pixel detector is situated right around the beampipe and as of 2017 consists of four cir-
367 cular layers of individual silicon pixels in the barrel region and three disk layers in the endcap
368 region. These consist of rectangular silicon chips with a size of $100 \times 150 \mu\text{m}^2$. When a charged
369 particle traverses through the active material of these chips, an electrical signal is induced that
370 is recorded. This is typically referred to as a *hit*. The small pixel size allows for position mea-
371 surements with a very high resolution, namely $\sim 10\mu\text{m}$ in the $r\phi$ direction and $\sim 20\mu\text{m}$ in the z
372 direction [31]. An important feature of the pixel detector is its high radiation tolerance due to the
373 close proximity of these modules to the beam pipe.

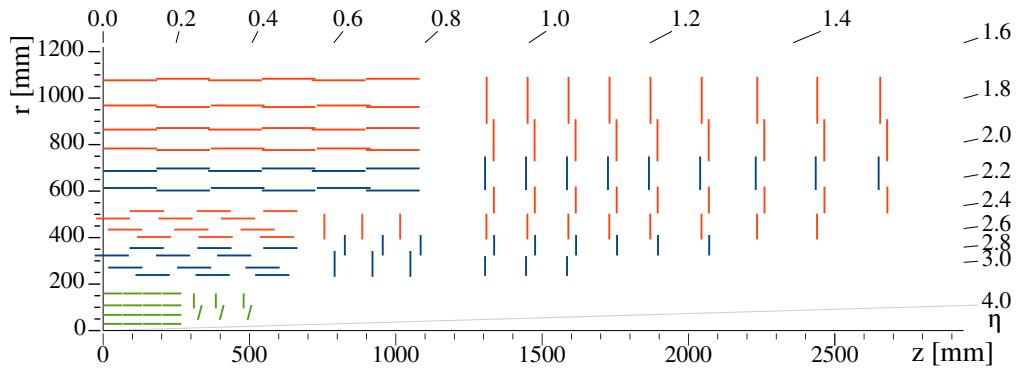


Figure 2.3: An overview of the CMS silicon tracker [30], shown in the r - z plane after its upgrade during Run-2. The pixel detector is denoted in green while the silicon strip detector is denoted in blue and orange.

374
 375 Following the pixel detector is the silicon strip detector. It is composed of silicon strips of
 376 varying sizes, with increases in size at greater distances to the beam pipe due to the reduced
 377 overall particle flux they must contend with. In the barrel region, this consists of 10 layers of
 378 silicon strips, while in the endcap regions this consists of nine layers. The latter extend the
 379 coverage of the detector to $|\eta|=2.5$.

380
 381 The tracking system provides key information that is essential to the reconstruction of events. As
 382 charged particle fly through the CMS detector, their trajectories are curved due to the magnetic
 383 field generated by the solenoid magnet (see subsection 2.1.5). By measuring the curvature of
 384 these trajectories with this system, the transverse momentum p_T of particles can be constructed.
 385 Additionally, the tracker plays a key role in methods used to determine the nature of hadronic
 386 particle cascades and the progenitor particles (quarks or gluons) from which these originate.

387

388

389 2.1.3 The electromagnetic calorimeter

390 The second innermost subsystem is the electromagnetic calorimeter (ECAL) [32][33]. It is de-
 391 signed to measure the energies of electromagnetic showers initiated by photons and electrons.
 392 The ECAL is a homogenous calorimeter, consisting of over 75,000 lead tungstate crystals. These
 393 crystals scintillate as charged particles pass through them and the produced photons can be
 394 collected via photodiodes, producing an electrical signal. This signal may be evaluated to infer
 395 the energy that is deposited. Not only do the crystals scintillate but they are also extremely
 396 dense and thus are very effective in absorbing the energy of incoming electrons and photons. This
 397 allows a very compact thickness of 23cm (22cm) in the barrel (endcap) region, which corresponds
 398 to ~ 26 (~ 25) radiation lengths. An additional component of the ECAL is the preshower detec-
 399 tor. This consists of lead absorbers interlaced with scintillating layers and help to distinguish
 400 high energy photons from neutral pions. The latter decays into photon pairs which may mimic
 401 high energy photons in this part of the detector with an increased likelihood. The increased
 402 granularity of the preshower detector helps mitigate this effect. The energy resolution of the
 403 ECAL is $\sim 1\text{-}4\%$.

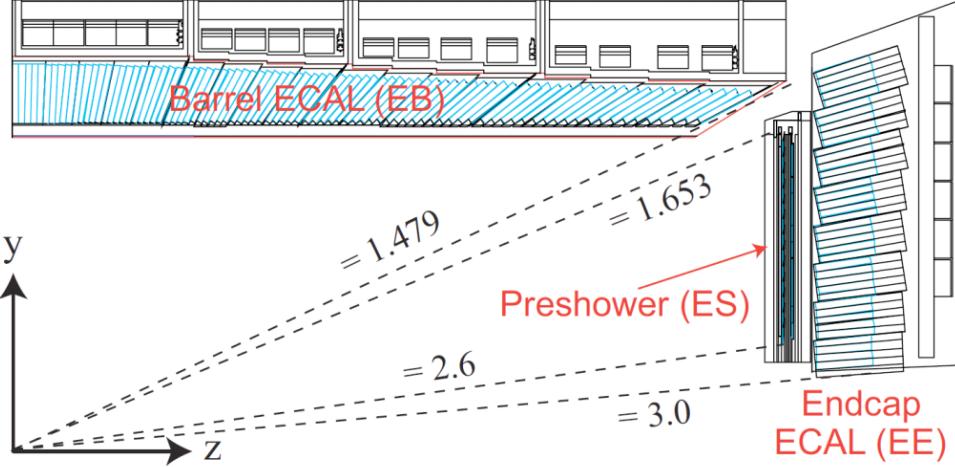


Figure 2.4: An overview of the CMS ECAL [34], shown in the $r(y)$ - z plane. The dashed lines denote the coverage of the barrel and endcap ECAL region as well as the preshower detector.

404 2.1.4 The hadronic calorimeter

405 Following the ECAL is the hadronic calorimeter (HCAL) [35]. It is designed to measure the
 406 presence and energy of hadrons, which typically traverse the ECAL with minor energy losses.
 407 It is the most hermetic part of the CMS detector, with a coverage out to $|\eta| = 5.0$, in order to
 408 absorb almost all particle produced in the proton-proton collision. The only exceptions to this
 409 are muons which are particles that minimally deposit their energy and neutrinos, which have an
 410 interaction probability that is so low that they cannot be measured with the CMS detector at all.

411 In contrast to the ECAL, the HCAL is a sampling calorimeter. This means layers of absorber
 412 are interleaved with layers of a scintillator. Different materials are used in different parts of the
 413 calorimeter, which is split into the barrel ($|\eta| < 1.5$), endcap ($1.5 < |\eta| < 3.0$) and forward (3.0
 414 $< |\eta| < 5.0$) regions. Since the HCAL component inside the magnet system does not sufficiently
 415 absorb all hadronic showers, the system also extends past the magnet. Due to the sampling
 416 nature of the calorimeter, a lower number of respective interaction lengths and larger energy
 417 fluctuations in hadronic particle showers, the energy resolution of the HCAL is significantly
 418 worse than the ECAL. It lies in the order of 10-30% and with a strong dependence on the energy
 419 and pseudorapidity of the initiating particles.

421 2.1.5 The superconducting solenoid magnet

422 A key component of the CMS detector is the superconducting solenoid magnet [36]. It is responsi-
 423 ble for maintaining a strong 3.8 T magnetic field that homogeneously permeates the barrel of
 424 the detector. A measurement of the field strength can be seen in Figure 2.5. With its toroidal
 425 shape, the field is orientated along the z -axis and covers the 12.9m long barrel region of the
 426 detector, curving the the trajectories of charged particles emerging from the interaction point
 427 in the ϕ -direction. This allows for a measurement of the particles transverse momentum p_T ,
 428 which together with the ϕ and η directions fully characterise the particle's momentum vector.
 429 The magnet itself is composed of superconducting niobium-titanium coils that are cooled to a

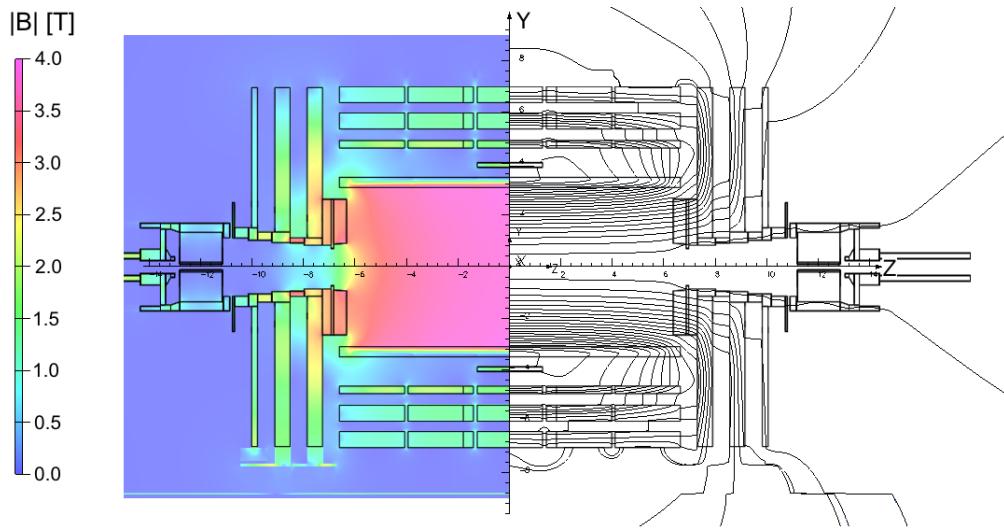


Figure 2.5: An overview of the magnetic flux (left) and magnetic field lines(right) inside the CMS detector, shown in the r-z plane [37].

430 temperature of 4.65K, at which these are superconducting. The magnet is encased by a 12,000t
 431 steel yoke that captures the magentic field that is produced outside of the solenoid.

432 2.1.6 The muon chambers

433 The muon subdetector consists of a dedicated system of gaseous detectors [38][39], which are
 434 placed outside of the solenoid magnet. As suggested by the CMS name, a strong focus is placed
 435 on the performance of this subdetector. This is as muons may often be produced in collisions that
 436 are of physics interest (such as in this work) and thus an emphasis is laid on detecting these with
 437 great efficiency. Due to muons being minimally ionising particles, they easily pass through the
 438 inner subdetector layers to reach the muon chambers and information from the moun chambers
 439 as well as the tracker and calorimeters may be used to identify and reconstruct them.

440
 441 Like the other subdetectors, the muon chambers are separated in a barrel ($|\eta| < 1.2$) and endcap
 442 ($1.2 < |\eta| < 2.4$) region, which are composed of drift tubes and cathode strip chambers respec-
 443 tively. The drift tubes each consists of a gas volume containing a mixture of Argon and CO₂
 444 in which a positively charged wire is stretched through the center. When charged particles
 445 such as muons traverse these tubes, the gas is ionised. Due to the positive charge of the wire,
 446 the resulting electrons drift towards the wire producing an electrical signal. Thus the presence
 447 of muons may be determined by activation of the drift tubes. The cathode strip chambers on
 448 the other hand consist of layers of positively charged (anode) wires, which are arranged in a
 449 perpendicular fashion to a set of negatively charged (cathode) strips. Combining signals from
 450 both the wires and strips allows for a position measurement in both the R and ϕ direction. Both
 451 types of detector are supplemented by resistive plate chambers, which act as a trigger providing
 452 a precise timing resolution of $\sim 1\text{ns}$. This makes it possible to unambiguously assign muons to
 453 individual collisions. These consist of parallel, oppositely charged plastic plates that are coated
 454 with a conductive graphite layer and are contained in a gas volume. Ionisation of the gas due to
 455 the traversal of a charged particle thus leads to an electrical signal. An overview of the spatial

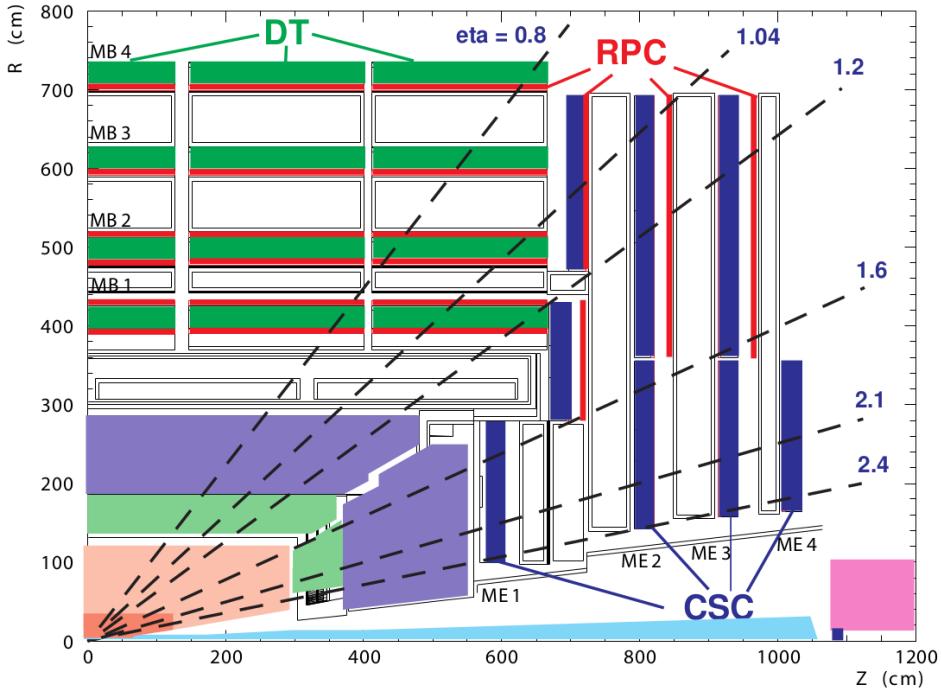


Figure 2.6: An overview of the CMS muon system, shown in the r - z plane [28]. Shown are the drift tube (DT), the cathode strip chambers (CSC) and resistive plate chambers (RPC).

456 arrangement of these systems can be see in Figure 2.6. With this system, the bulk of muons may
 457 be measured with a precise momentum resolution of $\sim 1\text{-}2\%$.

458 2.1.7 The triggering system

459 The triggering system is an essential component in manging the data output of the CMS detector [40]. With a nominal collision rate of ~ 40 MHz, the data rate the CMS detector provides is
 460 close to 40 TB/s. Not only is the storage of such a quantity of data unfeasible but a significant
 461 portion consists of low-energy scattering events which are not of interest to analysts. As such,
 462 the triggering system is implemented to extract a subset of events that are of physics interest.

464
 465 The trigger systems is composed of two subsystems. The first the so-called level one (L1) trigger.
 466 This is a very fast hardware-based system which reduces the event rate to ~ 100 kHz by evaluating
 467 the presence of e.g. energetic muons or other interesting signatures such as large energy
 468 deposits in the calorimeters in an event. The total time allocated to decide whether an event
 469 should be kept is $3.2\mu\text{s}$. Subtracting for signal propagation in the detector, the L1 system must
 470 make a decision within $1\mu\text{s}$. From the L1, the events are passed to a software based high-level
 471 trigger (HLT) system. This is composed of several thousand CPU cores, performing a simple
 472 reconstruction of the event signatures to make a decision whether an event should be stored.
 473 Since different analyses are interested in different signatures, a set of trigger paths are defined
 474 so that only one such path must be satisfied for an event to pass the HLT. Since the HLT is
 475 software-based, the trigger paths may be continuously updated. After the HLT, the event rate

476 is reduced to \sim 100 Hz and the passing events are permanently stored.

477 2.1.8 The 2018 dataset of the CMS detector

478 The dataset used in this work is comprised of the 2018 dataset, recorded by the CMS experiment
479 during Run-2 of the LHC. This dataset is comprised of an integrated luminosity of 58.83fb^{-1}
480 worth of data at a center-of-mass energy of 13 TeV. It is used in the estimation of reducible
481 backgrounds described in subsection 3.2.4 as well as in section 3.3, where it is used to verify the
482 background estimation in sidebands of the primary signal region. The samples used to this end
483 are summarised in ??.

484 2.2 Event reconstruction with the CMS detector

485 Events that pass the triggering system are stored and reconstructed using a more complicated
486 set of reconstruction algorithms. An overview of the reconstruction techniques for the objects
487 relevant to this work, namely muons and jets, is given in this section.

488 2.2.1 Track and vertex reconstruction

489 Particle tracks, describing the trajectories of particles through the detector, can be obtained by
490 leveraging information from the pixel and strip detectors of the tracker [41]. By determining
491 the track of a charged particle and thus the curvature of its trajectory in the detectors magnetic
492 field, the particle's transverse momentum p_T may be implicitly determined. Since track
493 reconstruction is a computationally intensive procedure given the large number of permutations
494 in which individual pixel or strip hits may be combined, this procedure is performed iteratively.
495 Initially, tracks which are easily identifiable due to e.g. their relatively high p_T or proximity to
496 the interaction point are identified by matching hits in the pixel and silicon strip subdetectors
497 and performing a fitting procedure. The hits associated with these tracks are then removed from
498 the collection of unassociated hits. This procedure is repeated anew with looser fitting criteria
499 so that hits that may originate from low p_T tracks or those with an origin displaced from the
500 collision point, may also be associated to tracks.

501

502 From the reconstructed tracks, common track origins or *vertices* may be identified. Since several
503 proton-proton collisions may occur in a single bunch crossing, this amounts to identifying
504 the location of the individual collisions in an event. Tracks with a low perpendicular distance
505 or low *impact parameter* to the center of the bunch crossing and that satisfy requirements on
506 the number of pixel and strip detector hits as well as the quality of the track fit are chosen for
507 this purpose. These tracks are clustered using a deterministic annealing algorithm [42], thus
508 producing a set of candidate vertices with some location along the z-axis. The vertex candidate
509 which is associated with the highest $\sum p_T^2$ is assigned as the primary vertex of the collision. The
510 remaining vertex candidates are referred to as pile-up vertices.

511 2.2.2 The Particle Flow algorithm

512 The Particle Flow (PF) algorithm [43] is used to combine information from many of the different
513 CMS subsystems to give an improved and holistic description of an event. This includes
514 reconstructed tracks, the energy deposits in the ECAL and HCAL as well as hits in the muon
515 chamber system. Since different types of particles will interact with the CMS subdetector systems
516 in unique ways, the properties of individual particles can be extrapolated from this information.

517 These are briefly summarised in Table 2.1.

518

519

Table 2.1: Overview of particle signatures in the CMS detector

Particle	Signature
Muons	Muons produce tracks in the tracker as well as the muon system with minimal energy deposits in the calorimeters.
Electrons	Electrons produce tracks in the tracker as well as energy deposits in the ECAL with minimal deposits in the HCAL.
Photons	Photons do not produce tracks in the tracker due to being uncharged and deposit their energy in the ECAL.
Charged hadrons	Charged hadrons produces tracks in the tracker, primarily depositing their energy in the HCAL.
Neutral hadrons	Neutral hadrons produce no tracks in the tracker, primarily depositing their energy in the HCAL.

520 A visual overview of these signatures and the particle type they correspond to can be found in
521 Figure 2.7. The PF algorithm leverages exactly these properties. Initially, matched tracks in
522 the tracker and muon systems are identified as muons and the corresponding components are
523 removed from the event. Subsequently, matched tracks and energy deposit clusters in the ECAL
524 are identified as electrons and the corresponding components are removed. An isolated cluster in
525 the ECAL with no associated track is reconstructed as a photon candidate and the corrsponding
526 cluster is removed. This is expected to leave only charged and neutral hadrons. Clusters of
527 energy deposits in the HCAL associated with a track are thus identified as charged hadrons.
528 However, it frequently occurs that photons are produced in the decay of neutral hadrons. Thus,
529 if the energy estimated from a track is considerably less than the associated cluster in the HCAL
530 and there is a corresponding energy deposit in the ECAL, an additional photon candidate is
531 reconstructed that is associated with the hadron. Finally, HCAL clusters with no associated
532 track are reconstructed as neutral hadrons.

533

534 This of course is a greatly simplified description, a more comprehensive version of which can
535 be found in [43]. The following section describe in greater detail the reconstruction of objects
536 relevant to this work. This includes muons, *jets*, which are collimated particle showers that
537 typically consist of a collection of reconstructed objects and missing transverse energy.

538 2.2.3 Reconstruction and identification of muons

539 Since muons are used to reconstruct the Higgs candidate of the cH process, they represent an
540 important element of the analysis described in this work. Using the available information from
541 the tracker and muon system, three different approaches may be used to intially reconstruct
542 muon tracks.

- 543 **• Standalone muon tracks:** A standalone muon track refers to a fit of individual hits
544 present in the muon detector.

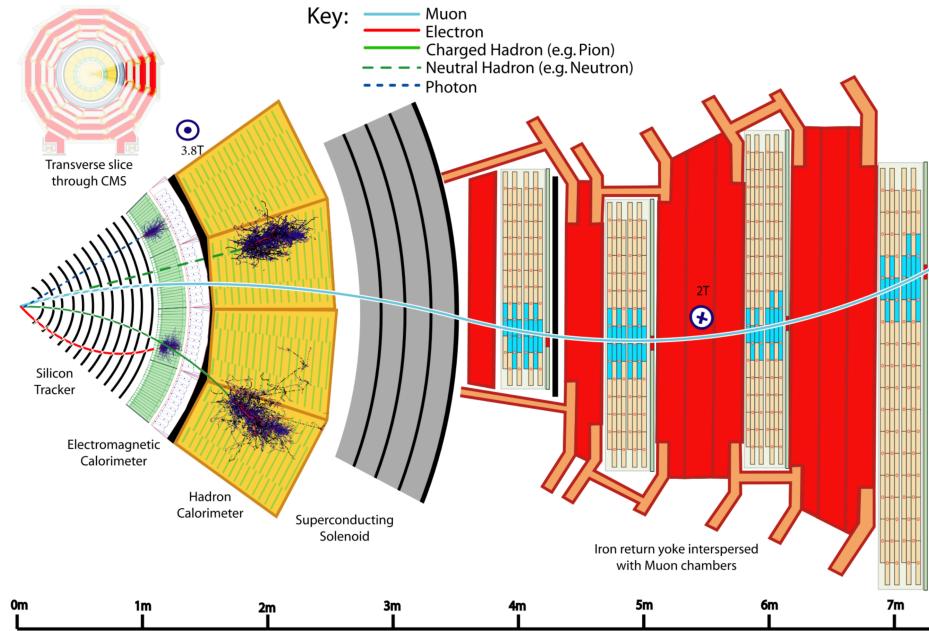


Figure 2.7: A transverse slice of the CMS detector, visualising the signatures that different particles produce in the different detector subsystems. [43].

- **Tracker muon tracks:** Tracker muon tracks are reconstructed by extrapolating tracks from the tracker to the muon detector, referred to as an *inside-out* approach. If a hit in the muon detector can be matched to the extrapolated track, then these matched tracks are identified as a tracker muon track. This reduces the impact from atmospheric muons traversing the detector, which may be falsely interpreted as standalone muon tracks.
 - **Global muon tracks:** Global muon tracks are obtained through an *outside-in* approach, matching standalone muon tracks with tracker muon tracks through a comparison of the respective fitted track parameters. If the tracks are found to match, a combined fit of these tracks is performed. This approach reduces the impact from remnants of hadronic showers that reach the muon chambers, which may be incorrectly reconstructed as a tracker muon track.
- Naturally, there is a large overlap between global and tracker muon tracks. If two muon tracks share the same track in the tracker, then they are merged into a single object. The collection of standalone, tracker and global muons is passed to the previously introduced PF algorithm which, by imposing additional quality requirements (see [43]) produces a set of reconstructed muon candidates.
- A useful criterium in identifying muons that originate directly from the proton-proton interaction is the relative isolation $\mathcal{I}_{\text{rel}}^\mu$. This is defined as

$$\mathcal{I}_{\text{rel}}^{\mu} = \left(\sum p_{\text{T}}^{\text{charged}} + \max \left(\sum p_{\text{T}}^{\text{neutral}} + \sum p_{\text{T}\gamma} - p_{\text{T}}^{\mu,\text{PU}} \right) \right) / p_{\text{T}}^{\mu}. \quad (2.4)$$

564 Here, $\sum p_{\text{T}}^{\text{charged}}$ represents the scalar sum of the transverse momenta of charged hadron originating from the primary vertex of the event. The quantities $\sum p_{\text{T}}^{\text{neutral}}$ and $\sum p_{\text{T}}^{\gamma}$ represent the
 565 respective transverse momenta sums for neutral hadrons and photons. These sums are calculated
 566 by accounting from contributions within a conical volume around the muon direction. The size
 567 of a cone between two positions i and j is defined as $\Delta R(i, j) = \sqrt{\Delta\eta(i, j)^2 + \Delta\phi(i, j)^2}$ and in
 568 this case the cone boundary around the muon direction is set at $\Delta R = 0.4$. The contribution to
 569 the relative isolation from pile-up is estimated by subtracting $p_{\text{T}}^{\mu,\text{PU}} = 0.5 \sum_k p_{\text{T}}^{k,\text{charged}}$ in
 570 Equation 2.4, where the sum over k represents charged hadron contributions not originating from the
 571 PV. The factor 0.5 corrects for different fractions of charged and neutral particles in the cone
 572 [44]. Lastly, p_{T}^{μ} represents the transverse momentum of the muon. The relative isolation is thus
 573 a variable that quantifies the presence of energy deposits in the ECAL and HCAL around the
 574 trajectory of the muon, relatively to the p_{T} of the muon. Since muons are expected to produce
 575 such deposits only minimally, good muon candidates are expected to be associated with small
 576 values of $\mathcal{I}_{\text{rel}}^{\mu}$.
 577

578 Two sets of muon identification criteria are defined for this work:

- 580 • **Loose muons:** Loose muons are PF muons reconstructed from either a global or tracker
 581 muon track where the perpendicular distance of the extrapolated track to the event's primary
 582 vertex is less than 5mm in the z direction and less than 2mm in the r direction.
- 583 • **Tight muons:** Tight muons are loose muons which are reconstructed exclusively from a
 584 global muon track. A number of additional criteria are applied. This includes that the fit
 585 quality of the global muon track must be $\chi^2/\text{ndf} < 10$ as well that the significance of the
 586 track's 3D impact parameter $\text{SIP}_{3\text{D}} = \text{IP}/\sigma_{\text{IP}}$ satisfies $\text{SIP}_{3\text{D}} < 4$. Here IP is the impact
 587 parameter or point of closest approach to the primary vertex and σ_{IP} is the associated
 588 uncertainty. Additionally, it is required that at least six layers with at least one pixel hit
 589 are registered in the tracker in the associated track as well as two segments hit in the muon
 590 detector. Lastly, a relative isolation requirement of $\mathcal{I}_{\text{rel}}^{\mu} < 0.25$ is imposed.

591 The tight muon definition is used to select muons for reconstructing Higgs candidates while the
 592 loose definition is used in the estimation of reducible backgrounds.

593 2.2.4 Reconstruction and identification of jets

594 The quarks and gluons that are produced in proton-proton collisions rapidly hadronise, typically
 595 producing collimated cones of particles referred to as *jets*. Details on the concept of hadronisation
 596, which results from the nature of the strong interaction, can be found in [45]. Since the c
 597 quark of the cH process too will produce a jet, jet objects also represent an important aspect of
 598 the analysis presented in this work.

599 To produce jet objects, the hadrons reconstructed by the PF algorithm must be clustered. To
 600 ensure a minimal impact of pile-up on this clustering, the contributions of pile-up are mitigated
 601 through *charged hadron subtraction*. This involves the removal of charged hadron contributions
 602 in the HCAL and ECAL if these may be associated with any of the pile-up vertices produced
 603 in the collision, as described in subsection 2.2.1. Once this subtraction has been performed, the

605 remaining PF hadrons are passed to the anti- k_T algorithm [46]. The anti- k_T algorithm is an it-
 606 erative clustering algorithm that is based on a principle of minimal distances between particles.
 607 The distance d_{ij} between the particles i and j is defined as well as the distance d_{iB} between
 608 particle i and the beam. These are given by

$$d_{ij} = \min\left(\frac{1}{p_{T,i}}, \frac{1}{p_{T,j}}\right) \frac{\Delta_{ij}^2}{R^2} \quad (2.5)$$

$$d_{iB} = \frac{1}{p_{T,i}} \quad (2.6)$$

$$\Delta_{ij} = \sqrt{\Delta y(i,j)^2 + \Delta\phi(i,j)^2}. \quad (2.7)$$

609
 610 Here, y is the rapidity of a particle and R is a constant parameter that determines the cone size
 611 of the clustered jets. The default choice used in CMS is $R=0.4$, which is also used in this work.
 612 Starting with the highest p_T object in the initial iteration, the distance d_{ij} with the closest PF
 613 candidate j is calculated. The two objects are clustered together and this process is repeated un-
 614 til a stopping condition $d_{ih} > d_{iB}$ is met. At this point, the jet is considered fully reconstructed
 615 and the PF candidates used in its clustering are removed for the reconstruction of subsequent jets.

616
 617 Due to the presence of detector noise, unphysical low p_T jets can be erroneously reconstructed.
 618 This effect can be mitigated by applying additional criteria on reconstructed jets. This includes
 619 requiring that at least two PF candidates are clustered in the jet and that the jet's energy is
 620 not solely attributed to neutral hadrons or photons. These requirements remove almost all such
 621 unphysical jets while over 99% of physical jets fulfill them [47]. Additionally, a pile-up discrim-
 622 ination algorithm is described in [47], of which the loose working point is applied to jets with
 623 $p_T < 50$ GeV in this work.

624
 625 A calibration of jet energies is performed after reconstruction [48] in both simulation and data.
 626 This calibration accounts for pile-up contributions in the clustering, the non-linearity of the de-
 627 tector response and improper reconstruction of hadrons. A number of methods are used to derive
 628 sets of correction factors. An example is the use of events with a Z boson, the p_T of which may
 629 be precisely reconstructed via the $Z \rightarrow \mu\mu$ decay, that a single jet recoils against. Additionally,
 630 significant discrepancies in the resolution of jets in simulation and data are observed, with the
 631 resolution being worse in the latter than the former. This is accounted for by a smearing method,
 632 in which the resolution of jets is artificially smeared in simulation so that a better comparison to
 633 data is achieved.

634 2.2.5 Missing transverse momentum

635 Due to the conservation of momentum, it is expected that the vectorial sum of momenta of all
 636 particles produced in a collision adds up to zero. However, this may not be the case when particles
 637 such as neutrinos are produced in a collision as these cannot be measured by the detector. As a
 638 result, it can be useful to define the missing transverse momentum as

$$p_T^{\text{miss}} = \sum_i^{\text{PF}} p_T^{(i)}. \quad (2.8)$$

639 The presence of significant quantities of p_T^{miss} may thus be used to identify the presence of
 640 neutrinos in an event.

641 2.3 Identification of charm quark-induced jets

642 To identify the charm quark-induced jet of the cH process, one must be able to discriminate
 643 against both bottom quark as well as light quark or gluon-induced jets. This is a task colloquially
 644 referred to as *flavour tagging*, with a jet's *flavour* being determined by the type of particle that
 645 initiated it. Modern flavour tagging techniques typically use machine learning to leverage key
 646 jet properties that may differentiate jets of different flavours, though this remains a challenging
 647 task. To discuss these properties, a definition of jet flavour is useful. In the context of CMS, a
 648 ghost matching procedure [49] is applied to obtain such a definition for simulated events. This
 649 involves adding information from the event simulation to the reconstructed event. Specifically,
 650 hadrons containing bottom and charm quarks are identified in the simulation and added to the
 651 list of reconstructed PF candidates, albeit with negligible momenta. With this addition of so-
 652 called *ghost hadrons* the jet clustering is once again performed. Due to the negligible momenta
 653 of the ghost hadrons, the clustering procedure itself is unaffected. However, the inclusion of the
 654 ghost hadrons can be used for the following definitions:

- 655 • **c jets:** If at least one charm (*c*) ghost hadron and no bottom (*b*) hadrons are clustered
 656 inside the jet, the jet is labelled as a *c* jet.
- 657 • **b jets:** If at least one *b* ghost hadron is clustered inside the jet, the jet is labelled as a *b*
 658 jet.
- 659 • **light jets:** If no ghost hadrons are clustered inside the jet, the jet is labelled as a light
 660 jet. Light jets may be initiated by quarks such as the up, down, or strange quark or by
 661 gluons. An additional, technical category of *pile-up jets* exists depending on whether so-
 662 called matching criteria between reconstructed and simulated jets are fulfilled, though they
 663 are subsumed into the light jets category for the purpose of this work.

664 The task of identifying *c* jets is thus twofold and broken down into two tasks:

- 665 1. Discriminating *heavy-flavour* (HF) jets consisting of *b* jets and *c* jets against light jets.
- 666 2. Discriminating between *b* jets and *c* jets.

667 2.3.1 Properties of heavy-flavour jets

668 The term heavy-flavour originates from the mass of the bottom and charm quarks, which is
 669 an order of magnitude greater than the next heaviest quark, the strange quark. The *c* and *b*
 670 hadrons have relatively long lifetimes that allow them to travel an observable distance from the
 671 PV before decaying. The typical lifetime of a *b* hadron of the order of ~ 1.5 ps while that of *c*
 672 quarks ranges down to approximately an order of magnitude less [1]. This typically results in
 673 the presence of a secondary vertex (SV) that is measurably displaced from the collision point
 674 up to a distance of 1cm in the case of energetic hadrons and is thus a key signature of HF jets.
 675 Tracks originating from the decay of a HF induced jet thus typically originate from a SV. This
 676 effect can for example be seen when looking at the significance of 2D impact parameters of *b*, *c*
 677 and light jets, as seen in Figure 2.8.

678 Another feature of heavy flavour jets is the presence of leptons in the jet. This results from
 679 the relatively large branching fractions of HF hadrons into states containing leptons. These are
 680 typically low-energy and are present in about 20% (10%) of *b*(*c*) jets, meaning the identification
 681 of a low-energy electron or muon inside a jet serves as a good indicator that a jet originates from

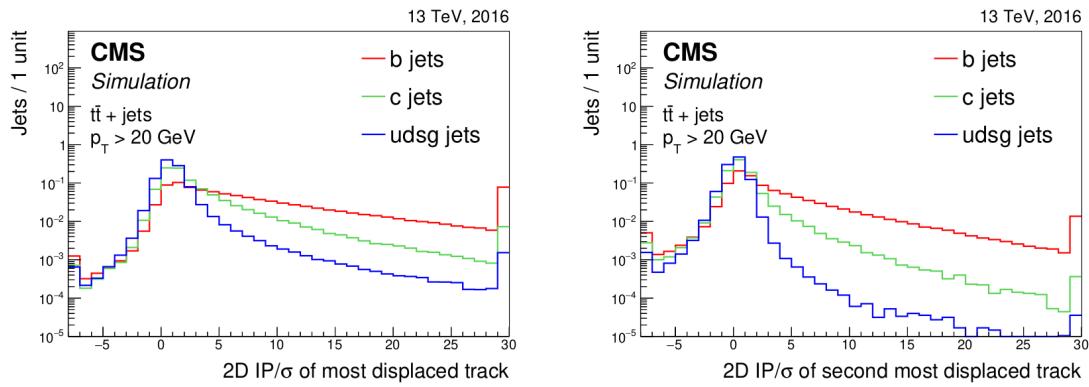


Figure 2.8: Plots showing the significance of the 2D impact parameter of the most and second most displaced tracks in a jet [50]. As can be seen, these variables can differentiate b and c jets from light jets to a significant degree.

683 a HF hadron. Also of significance are the relatively high masses HF hadrons exhibit in com-
 684 parison to their lighter counterparts. This results in HF induced jets having a broader energy
 685 flux compared to their lighter counterparts, due to higher diffusion of momenta perpendicular
 686 to the flight direction as well as a higher hadron multiplicity resulting from the decay of the HF
 687 hadron. These features are illustrated in Figure 2.9.

688 2.3.2 The DeepJet algorithm

689 The DeepJet algorithm [51] is a machine learning algorithm used for jet-flavour identification in
 690 this work. It improves on previous neural network based algorithms [50] used by CMS in the
 691 Run-2 period of the LHC. A notable feature compared to earlier algorithms is its use of lower
 692 level information such as use of track, PV and SV information, as well as PF candidate and
 693 event kinematics information. An overview of the architecture employed by DeepJet can be see
 694 in Figure 2.10. The network is comprised of three branches that individually process neutral and
 695 charged hadrons as well as secondary vertices before this information is combined with global
 696 variables in a set of fully connected layers. The network ouput consists of six output nodes
 697 representing six individual output classes. The output value of the nodes $\mathcal{P}(b/bb/lepb/c/l/g)$ for
 698 a given jet are interpreted as the likelihood that a jet belongs to the respective class. These are
 699 defined as

- 700 • **$b/bb/lepb$ (b jets):** These three classes represent subclasses of jets originating from a
 701 b hadron. The b class represents a jet originating from a single b hadron, the bb class
 702 originating from two b hadrons and $lepb$ representing a jet originating from a b hadron
 703 with the presence of a soft lepton.
- 704 • **c (c jets):** This class represents a jet originating from a c hadron.
- 705 • **l, g (light jets):** These two classes represent light jets originating from a light quark or
 706 gluon respectively.

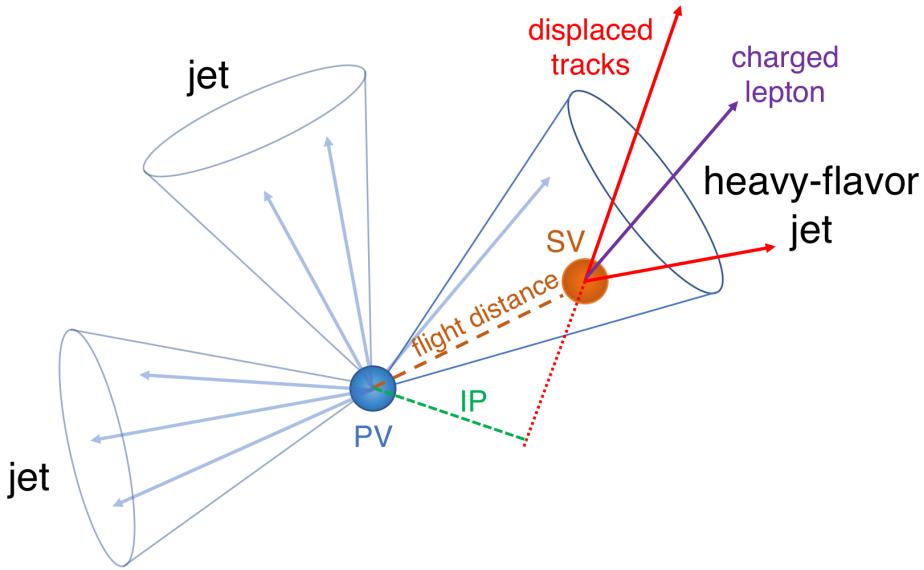


Figure 2.9: An illustration highlighting the properties of HF jets [50]. The presence of a secondary vertex (SV), characterised by the impact parameter (IP) in green, as well as the presence of a lepton is highlighted.

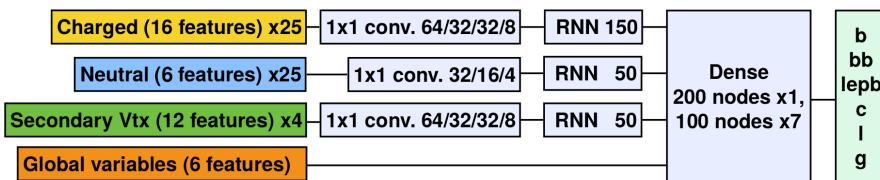


Figure 2.10: An illustration depicting the architecture of the DeepJet neural network [51]. Three individual branches separately process the charged hadrons, neutral hadrons and secondary vertex information before being passed onto a combining, fully connected layer together with global variables.

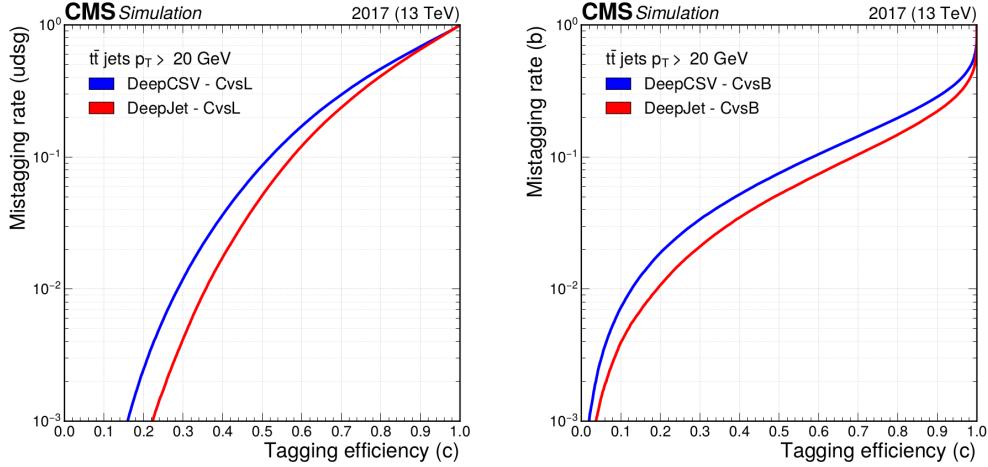


Figure 2.11: Performance of DeepJet algorithm in identifying c jets against b jets and light jets in simulated samples of top quark pair production, in which both top quarks decay hadronically [52]. The x-axis represents the efficiency with which c jets are identified, while the y-axis represents mis-identification rate with respect to either b jets or light jets.

From these output classes, two useful discriminators to identify c jets can be constructed. These are

$$\text{CvsB} = \frac{\mathcal{P}(c)}{\mathcal{P}(c) + \mathcal{P}(b) + \mathcal{P}(bb) + \mathcal{P}(lepb)}, \text{CvsL} = \frac{\mathcal{P}(c)}{\mathcal{P}(c) + \mathcal{P}(l) + \mathcal{P}(g)} \quad (2.9)$$

(2.10)

representing a discrimination of c jets against b jets and light jets respectively. The performance of DeepJet with the CvsL and CvsB discriminators in simulated samples of top quark pair production can be seen in Figure 2.11. A comparison to the DeepCSV jet-flavour identification algorithm is included, highlighting the performance gain that the DeepJet algorithm achieves.

Since neural network based algorithms are trained on simulated samples that do not perfectly describe their data counterpart, the neural network output must be calibrated with respect to data. To calibrate the entire shape of the algorithm's output distributions the approach described in [52] is used. This involves targeting phase spaces enriched in b jets (top quark pair production), c jets (charm associated W^\pm production) and light jets (jet associated Drell-Yan production). Using simulation, the fractions of b , c and light-flavour jets are determined in each phase space and an iterative fitting procedure, minimising differences between simulation and data is performed. This allows for the derivation of correction factors which depend on the discriminators CvsL and CvsB as well as the true flavour of a simulated jet.

721 **Chapter 3**

722 **Search for the cH($ZZ \rightarrow 4\mu$)
process**

724 To probe the charm Yukawa coupling through the cH process, a methodology must be devised to
725 select and reconstruct cH candidate events. This is described in section 3.1, specifically targetting
726 cH($ZZ \rightarrow 4\mu$) final states. Additionally, a model describing the expected contributions from the
727 cH($ZZ \rightarrow 4\mu$) process as well as a number of background processes in the event selection must be
728 constructed and is described in section 3.2. Finally, a statistical evaluation using flavour-tagging
729 discriminators to set 95% CL upper limits on κ_c , assuming the absence of signal, is presented in
730 ??.

731 **3.1 cH event selection**

732 To reconstruct a cH($ZZ \rightarrow 4\mu$) candidate event, a Higgs boson candidate needs to be reconstructed
733 and a corresponding jet candidate needs to be identified. These two procedures are described in
734 this section. Distributions of cH($ZZ \rightarrow 4\mu$) candidate events are shown using a simulation of the
735 cH($ZZ \rightarrow 4\mu$) process, which is discussed in subsection 3.2.2.
736
737 To reconstruct a Higgs (jet) candidate, an initial selection of muon (jet) objects must be made.
738 These are summarised in Table 3.1 along with the HLT trigger path requirement used in this anal-
739 ysis. The objective of this selection is to identify events with well-reconstructed, isolated muons
740 as well as a least one well-reconstructed jet. Following this initial selection, the corresponding
741 objects are passed onto the respective algorithms to select a final Higgs and jet candidate.

Table 3.1: Muon, jet object and HLT path selection requirements.

Object	Selection criteria
Muons	$p_T > 5 \text{ GeV}$ $ \eta < 2.4$ Tight muon identification criteria
Jets	$p_T > 25 \text{ GeV}$ $ \eta < 2.5$ Jet ID Pile-up ID, loose working point $\Delta R(\text{jet, selected muons}) < 0.4$
HLT	HLT_IsoMu24 is triggered

3.1.1 Higgs candidate selection

A Higgs boson reconstruction algorithm (and muon object selection) very similar to those presented and validated in [53] is implemented. This reconstruction is performed for events in which exactly four selected muons are present to avoid introducing a potential bias when reconstructing non-Higgs (background) events. Then the following reconstruction steps are applied:

1. Of the four selected muons, the p_T -leading muon is required to satisfy $p_T > 20 \text{ GeV}$ and the sub-leading muon is required to satisfy $p_T > 10 \text{ GeV}$. Additionally, the HLT_IsoMu24 trigger requirement must be met. Lastly, to ensure two muons are not spuriously reconstructed from shared tracks, it is required that each muon candidate is separated from the others by $\Delta R > 0.02$.
2. Opposite-sign muon pairs are merged into Z boson candidates. At least two Z boson candidates must be reconstructed to proceed. Additionally, the invariant mass of any combination of opposite-sign muons must satisfy $m_{\mu\mu} > 4 \text{ GeV}$, to remove any contributions from low mass resonances such as J/ψ .
3. The Z candidate with a mass closest to the known Z boson mass of $Z = 91.19 \text{ GeV}$ [1] is interpreted as an on-shell Z_1 candidate. The Z_1 candidate should satisfy $40 \text{ GeV} < m_{Z_1} < 120 \text{ GeV}$. The other candidate is taken as the Z_2 candidate, which is typically more off-shell and thus the invariant di-muon mass requirement is relaxed to $12 \text{ GeV} < m_{Z_1} < 120 \text{ GeV}$.
4. The Z_1 and Z_2 candidates are combined to form a Higgs boson candidate. The four-muon invariant mass of the Higgs boson candidate must satisfy $m_H > 70 \text{ GeV}$.

The reconstructed Higgs boson candidate mass distribution in simulated cH(ZZ \rightarrow 4 μ) events can be seen in ???. As expected, a peak around the known Higgs mass $m_H = 125.3 \text{ GeV}$ can be observed, with an elongated tail towards lower masses that originate from increasingly off-shell Z candidate contributions. A selection efficiency of xxx% is achieved on the simulated cH(ZZ \rightarrow 4 μ) sample. The majority off loss in acceptance can be attributed to

⁷⁶⁸ **3.1.2 Jet candidate selection**

⁷⁶⁹ Once a Higgs boson candidate is reconstructed, a likelihood ratio algorithm is applied to best
⁷⁷⁰ identify and select the jet that is associated with (i.e. recoils off) the reconstructed Higgs
⁷⁷¹ boson. This algorithm does not use jet-flavour identification methods and is based solely on
⁷⁷² kinematic properties of the jets so as to minimise the introduction of any flavour bias in the
⁷⁷³ selection. Specifically, two variables related to momentum conservation in the transverse plane
⁷⁷⁴ are exploited:

- ⁷⁷⁵ 1. The difference in azimuthal angle $\Delta\phi(H, \text{jet})$ between the Higgs boson candidate H and
⁷⁷⁶ the jet is used. Due to an initial zero net momentum in the direction of the azimuthal
⁷⁷⁷ angle, the Higgs boson and associated jet are expected to recoil off eachother *back-to-back*
⁷⁷⁸ and thus $\Delta\phi(H, \text{jet})$ is expected to be $\sim \pm\pi$.
- ⁷⁷⁹ 2. Since the Higgs boson and associated jet recoil off eachother, their p_T is expected to be
⁷⁸⁰ approximately balanced. This information can be captured by transverse momentum ratio
⁷⁸¹ $p_T(H)/p_T(\text{jet})$.

To derive the relevant distributions to be used in a likelihood ratio, a parton-to-jet matching is performed in simulated $cH(ZZ \rightarrow 4\mu)$ events. This is achieved by, in a simulated event, taking the directional information of the simulated parton and matching it to a reconstructed jet with the matching requirement $\Delta R(\text{jet}, \text{parton}) < 0.3$. All jets which match the initial jet selection are considered in this process. A jet which is matched in this way is labelled as the associated jet, while the remaining non-matched jets are labelled non-associated jets. The efficiency with which this matching is performed can be seen in [??](#). Once this labelling is performed, the distributions of $\Delta\phi(H, \text{jet})$ and $p_T(H)/p_T(\text{jet})$ for associated and non-associated jets are extracted as templates and treated as probability density functions. To capture kinematic differences associated with higher and lower p_T Higgs candidates, this procedure is repeated in different bins of $p_T(H)$ listed in Table 3.2.

Using the extracted templates, a per-jet likelihood evaluation can be made in each event. For this, the per-variable likelihood ratio

$$\mathcal{L}(x) = \frac{\mathcal{L}_{\text{associated}}(x)}{\mathcal{L}_{\text{non-associated}}(x)}, \text{ with } x \in \left\{ \Delta\phi(H, \text{jet}), \frac{p_T(H)}{p_T(\text{jet})} \right\} \quad (3.1)$$

is defined. From this follows the per-jet likelihood

$$\mathcal{L}(\text{jet}) = \mathcal{L}\left(\Delta\phi(H, \text{jet})\right) \cdot \mathcal{L}\left(\frac{p_T(H)}{p_T(\text{jet})}\right) \quad (3.2)$$

⁷⁸² that is evaluated. The jet with the highest associated likelihood in an event is selected as the jet
⁷⁸³ candidate. The efficiency with which the “correct” associated jet can be seen in [??](#).

Table 3.2: The $p_T(H)$ bins in which the jet selection procedure is performed.

Bin number	$p_T(H)$ range
1	0 - 15 GeV
2	15 - 30 GeV
3	30 - 50 GeV
4	50 - 100 GeV
5	100 - 200 GeV
6	>200 GeV

With this, the individual components of the cH(ZZ \rightarrow 4 μ) are thus reconstructed and events satisfying the described requirements are selected for evaluation.

3.2 Signal and background estimation

The cH(ZZ \rightarrow 4 μ) process as well as background processes which may mimic its signature must be estimated to accurately reflect the underlying processes as well as their interaction with the detector. This is done primarily using Monte Carlo simulations, which are described in subsection 3.2.1. The simulation of the cH(ZZ \rightarrow 4 μ) process is specifically discussed in subsection 3.2.2. The estimation of processes that make up the irreducible and reducible backgrounds to the cH(ZZ \rightarrow 4 μ) process is discussed in subsection 3.2.3 and subsection 3.2.4 respectively. From these estimations, a comprehensive model of the expected yields and distributions resulting from applying the described selection on the 2018 dataset of the CMS detector, which is discussed in ??, can be constructed. The statistical evaluation procedure that is ultimately applied is discussed in in ??.

3.2.1 Monte Carlo simulation of proton-proton collisions

Since the complexity of a proton-proton collisions in a detector cannot realistically be captured by analytic calculations, Monte Carlo methods [54] can be used as an approximation. The concept of such a simulation relies on a phenomenological approach, sampling the known distributions of process and detector quantities and properties to construct a comprehensive simulation of a process and its interaction with the detector. The simulation process occurs in discrete steps, each dealing with different aspects of the simulated process. These can be summarised as:

1. **The hard scattering process:** The hard scattering process refers to the immediate, high energy transfer scattering of two protons resulting in the production of additional particles. To calculate this, two main ingredients are required. The first is a calculation of the matrix elements that describe the simulated process in which proton constituents collide to produce additional particles. These matrix elements allow for the calculation of a cross section for the process. However, the proton itself is a complex object consisting not only of its valence quarks (two up-type quarks and one down-type quark) but also of a constantly changing ensemble of additional quarks and gluons that are created and annihilated. This behaviour must thus be captured for an accurate process description and is parametrised via so-called *Parton Distribution Functions*. These describe the likelihood with which a parton, that carries some fraction x of the protons total momentum, may be found in a proton at some energy scale Q^2 . The evolution of the PDF with changing Q^2 is described

816 by the DGLAP quations [55]. Software used to simulate the hard scattering are referred to
 817 as *event generators*. Commonly used event generators include `Madgraph5_aMC@NLO` [56]
 818 and `POWHEG` [57].

- 819 **2. Parton showering:** Particles such as quarks and gluons that are produced in the hard
 820 scattering carry the colour charge of the strong interaction. As a result, these may produce
 821 soft radiation or branch into other particles. While a most physically accurate description
 822 would be given by including these contributions in the calculation of the hard scattering
 823 process, this greatly increases the complexity of the calculation. As such a *parton shower*
 824 model, such as in the `Pythia` software package [58], is used instead to describe the splitting
 825 of a single mother particle into two daughter particles. In QCD, this describes to
 826 gluon radiation ($q \rightarrow qg$) and gluon splitting ($g \rightarrow gg$ and $g \rightarrow q\bar{q}$) and in QED describes
 827 Bremsstrahlung ($f \rightarrow f\gamma$) and pair creation ($\gamma \rightarrow f\bar{f}$). In case this the parton showering
 828 originates from initial state partons it is referred to as initial state radiation (ISR). Ac-
 829 cordingly, parton showering originating from final state partons is referred to as final state
 830 radiation (FSR). In cases with final states containing multiple partons, there can be some
 831 ambiguity in the combination of matrix elements and parton showering since both can
 832 describe the same processes. For this merging schemes are applied that resolve potential
 833 double counting of events. A prescription used for this work is the FxFx scheme [59].
- 834 **3. Hadronisation:** At an energy around the QCD scale Λ_{QCD} , the perturbative parton
 835 shower prescription loses its validity as the running coupling of the strong force α_s be-
 836 comes too strong. Here the individual, colour-charged partons *hadronise* into colour-neutral
 837 states. Since this process currently cannot be described from first principles, a phenomeno-
 838 logical description must be applied. In `Pythia`, the *Lund string* model is used [60]. It
 839 describes the interaction between two partons as a coloured field, the lines of which pass
 840 through a tube that is extended between the partons. The potential energy of the tube
 841 (or string) is described by a term linear in the distance between the partons. Thus if the
 842 partons are separated at a large enough distance and the potential energy is sufficiently
 843 large, the string may ‘break’ and new colourless quark-antiquark pairs are formed. This
 844 procedure may be repeated with these new parton pairs if they posses an invariant mass
 845 above some threshold.
- 846 **4. The underlying event:** A description of a variety of effects secondary to the hard scatter-
 847 ing must be included in the simulation. These can have several origins such as secondary,
 848 *soft* interactions of the proton-proton collision or remnants of the collided protons, which
 849 will hadronise themselves. These effects are modeled from data [61].

- 850 **5. Detector simulation:** Finally, the detector response to the particles emerging from the
 851 previously described steps must be simulated. This is performed with the `GEANT4` package
 852 [62], which is configured to model the CMS detector. This includes modelling the curving
 853 of particle trajectories due to the detector’s magnet, the interaction of particles with the
 854 materials of the detector, as well as the digitisation of the signals in the electronic modules
 855 of the subdetectors.

856 A diagrammatic overview of what an event simulation looks like can be found in Figure 3.1. The
 857 output of this simulation is passed to the reconstruction algorithms described in section 2.2.

858 3.2.2 Estimation of $cH(ZZ \rightarrow 4\mu)$ process

859 The $cH(ZZ \rightarrow 4\mu)$ process is estimated using a simulation generated by `MadGraph5_aMC@NLO`.
 860 The following `MadGraph5_aMC@NLO` syntax is used, which illustrates some important concepts

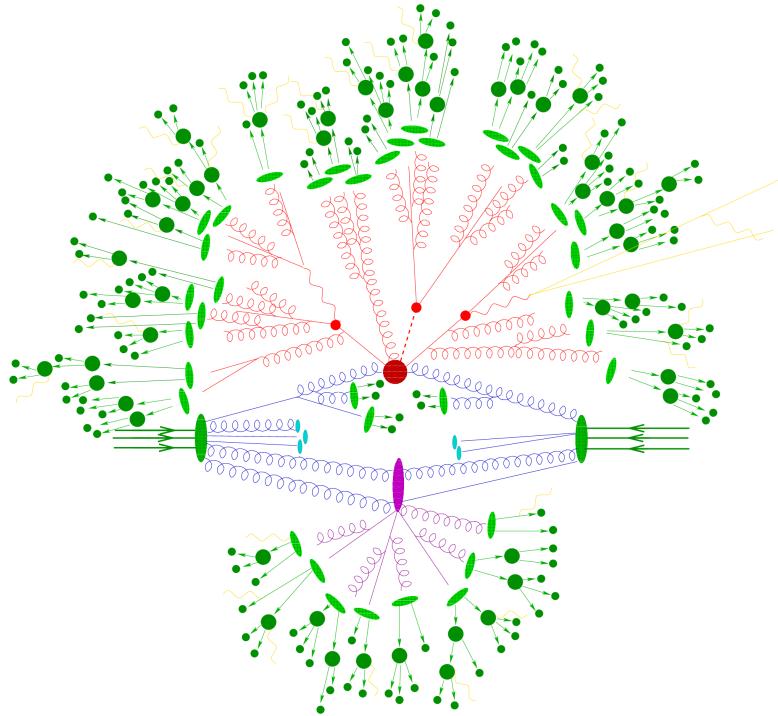


Figure 3.1: An overview of what an event simulation may look like (adapted from [63]).

related to the simulation of the cH process:

```

862 import model loop_sm_MSbar_yb_yc-yc4FS
863 define p = g u u~ d d~ s s~ c c~
864 define j = g u u~ d d~ s s~ c c~
865 generate p p >h [QCD] @ 0
866 generate p p >h j [QCD] @ 1

```

867 In the first line, it can be read off that the `loop_sm` model is used, a model allowing NLO cal-
868 culations of the SM. Only the Yukawa-couplings of the bottom and charm quarks are included
869 to ensure orthogonality of the cH simulation to simulations of other Higgs production processes
870 such as gluon fusion. Additionally, a so-called *four flavour scheme* (4FS) version of the model is
871 used []. The flavour scheme denotes which quarks are included as constituents of the proton, in
872 which they are approximated as massless. The 4FS includes the up, down, strange and charm
873 quarks as proton constituents. In contrast to the 4FS, a three flavour scheme 3FS could also be
874 used. Here, the charm quark is not included in the proton but instead must be produced via
875 gluon splitting, i.e. $g \rightarrow c\bar{c}$.

876
877 In the following two lines, the proton and jet constituents are defined. Finally in the last two
878 lines, the processes included in the simulation are defined. These are, calculated to next to lead-
879 ing order in QCD, the $pp \rightarrow H$ and $pp \rightarrow H + j$ processes. Both are included to give the most
880 accurate possible kinematic description of the cH process. The reasoning for this is related to the
881 modelling of final state partons and can be better understood by considering what is included

882 in the leading order (LO) and next-to-leading (NLO) contributions to $pp \rightarrow H$ and $pp \rightarrow H + j$
 883 respectively. At leading order, an additional jet in $pp \rightarrow H$ can only be generated via the parton
 884 shower. Thus, this contribution is expected to best model the lower momentum behaviour of
 885 final state partons. The NLO contributions to $pp \rightarrow H$, which correspond to LO contributions
 886 of $pp \rightarrow H + j$, in turn are expected to better model higher momentum behaviour of the final
 887 state parton. The same logic is applied to the LO contributions of $pp \rightarrow H + j$ and the NLO
 888 contributions of $pp \rightarrow H + j$, where two final state partons explicitly appear in the calculation of
 889 the latter. However, this approach introduces double counting of processes. These are accounted
 890 for along with double counting between parton shower and matrix element contributions using
 891 the FxFx merging scheme.

892
 893 The types of event topologies generated by these commands can be best understood by cat-
 894 egorising them according to the partons that initiate them. In this way, four categories can be
 895 identified:

- 896 • **$c\bar{c}$:** At leading order, this topology arises from an initial state c and anti-c quark that
 897 interact to produce a Higgs boson. Final state partons must thus be produced via next-
 898 to-leading order contributions to the matrix element (i.e. gluon radiation) or via parton
 899 showering. Notably, the charm quark(s) associated with the Higgs boson are not present
 900 in the final state of this type of topology. This means that for the described event selec-
 901 tion strategy, this analysis can only be sensitive to these topologies via an ‘incorrect’ jet
 902 association. A visualisation of this type of event topology can be seen in Figure 3.2a. It is
 903 the most prominent in the generated sample.
- 904 • **cg :** At leading order, this topology arises from an initial state (anti-)c quark that emits
 905 a Higgs boson and absorbs a gluon. This topology corresponds to the leading order cH
 906 process that is discussed in subsection 1.3.1. Additional final state partons may be produced
 907 via next-to-leading order contributions to the matrix element or via parton showering. A
 908 visualisation of this type of event topology can be seen in Figure 3.2b. It is the second
 909 most prominent in the generated sample.
- 910 • **gg :** This topology arises from two initial state gluon which split to form $c\bar{c}$ pairs that
 911 interact to produce a Higgs boson. Since this is already considered a next-to-leading order
 912 contribution to the matrix element by the generator, additional final state partons can
 913 only be generated via parton showering. A visualisation of this type of event topology can
 914 be seen in Figure 3.2c. It contributes to only a small fraction of events in the generated
 915 sample.
- 916 • **cl :** This topology arises from an initial state (anti-)c quark that interacts with an addi-
 917 tional initial state light quark via gluon exchange, which produces a Higgs boson. Since this
 918 is already considered a next-to-leading order contribution to the matrix element by the
 919 generator, additional final state partons can only be generated via parton showering. A
 920 visualisation of this type of event topology can be seen in Figure 3.2d. Like the gg topology,
 921 it contributes to only a small fraction of events in the generated sample.

922 An overview of the relative occurrence of these topologies in the generated sample can be seen in
 923 ??.

924
 925 To capture uncertainties associated with the choice of a particular flavour scheme in the simula-
 926 tion of $cH(ZZ \rightarrow 4\mu)$, additional $cH(ZZ \rightarrow 4\mu)$ samples are used. These specifically simulate the
 927 $cH(ZZ \rightarrow 4\mu)$ process in the 3FS and 4FS, without the use of FxFx merging, effectively capturing

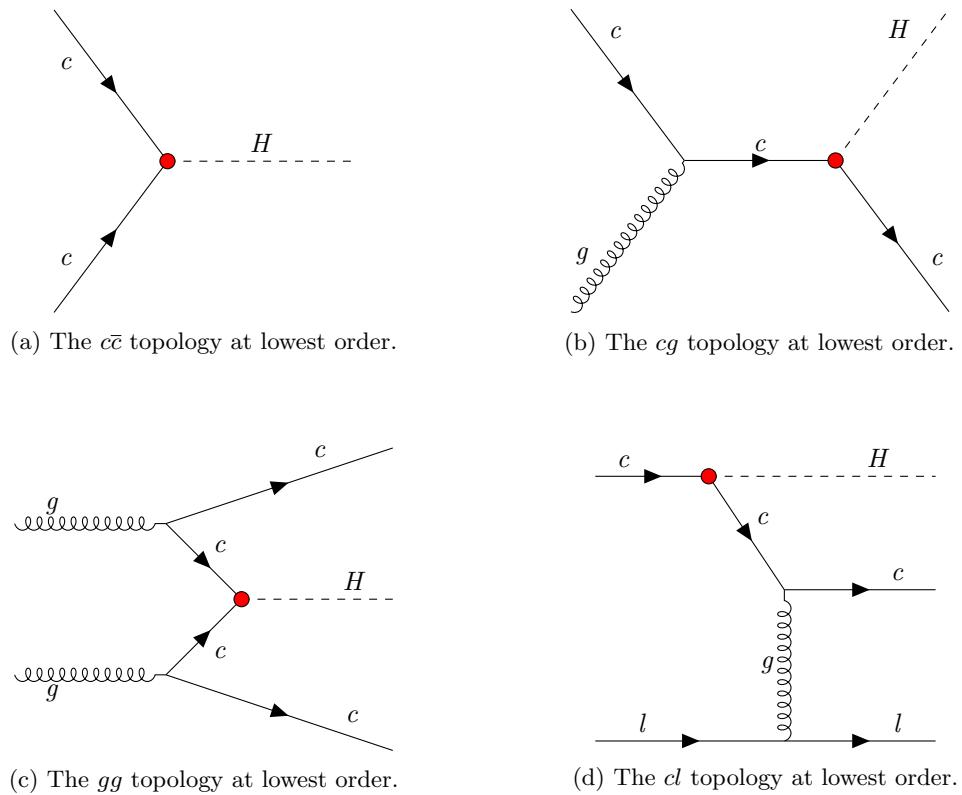


Figure 3.2: Examples of feynman diagrams that illustrate the four different event topologies generated in the $cH(ZZ \rightarrow 4\mu)$ sample at the lowest order. The red dots represent the y_c coupling.

cases where a charm *must* originate from gluon splitting or directly from the proton respectively. From these samples, an uncertainty envelope is constructed for the discriminators distribution in the statistical evaluation presented in section 3.4. This envelope is determined by taking the relative discrepancy between the 3FS and 4FS samples and interpreting it as an uncertainty band around the the nominal 4FS FxFx sample distributions. An overview of all used signal samples can be seen in Table 3.3.

934
935

Table 3.3: $cH(ZZ \rightarrow 4\mu)$ samples used in this work

Process	Tag	σ
$cH(ZZ \rightarrow 4\mu)$ 4FS	HPlusCharm_4FS_MuRFScaleDynX0p50_HToZZTo4L_M125_TuneCP5_13TeV_amcatnloFXFX_JHUGenV7011_pythia8	xx
$cH(ZZ \rightarrow 4\mu)$ 3FS	HPlusCharm_3FS_MuRFScaleDynX0p50_HToZZTo4L_M125_TuneCP5_13TeV_amcatnlo_JHUGenV7011_pythia8	xx
$cH(ZZ \rightarrow 4\mu)$ 4FS	HPlusCharm_4FS_MuRFScaleDynX0p50_HToZZTo4L_M125_TuneCP5_13TeV_amcatnlo_JHUGenV7011_pythia8	xx

936 Something about c jet vs non- c jet in yc sensitive events.. check cH sample definition

937 3.2.3 Estimation of irreducible backgrounds

938 Irreducible background processes are background processes that produce the same final state
939 particles as the signal process in question. Thus, processes which produce four final state muons
940 along with the presence of a, or several, jet(s) constitute the irreducible background. These
941 again fall into two categories, namely those where the four muons originate from a Higgs boson
942 and those in which they do not. When analysing e.g. the mass spectrum of Higgs candidates,
943 the processes of the former category is thus clearly resonant around the Higgs mass of ~ 125
944 GeV, while those of the latter category may take on a more continuous shape. The irreducible
945 backgrounds of this analysis are estimated using simulation. An overview of the samples that
946 are used can be found in Table 3.4. Like with the $cH(ZZ \rightarrow 4\mu)$ process, additional samples are
947 used for the $bH(ZZ \rightarrow 4\mu)$ background to account for an uncertainty related to the choice of
948 flavour scheme. However, here the five flavour scheme (5FS) is now the nominal FS to include
949 the bottom quark in the proton.

Table 3.4: Simulated processes used for background estimation in this work.

Process	Tag	σ
$ggH(ZZ \rightarrow 4L)$	GluGluHToZZTo4L_M125_TuneCP5_13TeV_powheg2_JHUGenV7011_pythia8	xx
$tth(ZZ \rightarrow 4L)$	ttH_HToZZ_4LFilter_M125_TuneCP5_13TeV_powheg2_JHUGenV7011_pythia8	xx
$W^-H(ZZ \rightarrow 4L)$	WminusH_HToZZTo4L_M125_TuneCP5_13TeV_powheg2-minlo_HWJ_JHUGenV7011_pythia8	xx
$W^+H(ZZ \rightarrow 4L)$	WplusH_HToZZTo4L_M125_TuneCP5_13TeV_powheg2-minlo_HWJ_JHUGenV7011_pythia8	xx
$ZH(ZZ \rightarrow 4L)$	ZH_HToZZ_4LFilter_M125_TuneCP5_13TeV_powheg2-minlo_HZJ_JHUGenV7011_pythia8	xx
$qqH(ZZ \rightarrow 4L)$	VBF_HToZZTo4L_M125_TuneCP5_13TeV_powheg2_JHUGenV7011_pythia8	xx
$tqH(ZZ \rightarrow 4L)$	tqH_HToZZTo4L_M125_TuneCP5_13TeV_jhugen7011_pythia8	xx
$gg \rightarrow ZZ(4\mu)$	GluGluToContinToZZTo4mu_TuneCP5_13TeV_mcfm701_pythia8	xx
$gg \rightarrow ZZ(4\tau)$	GluGluToContinToZZTo4tau_TuneCP5_13TeV_mcfm701_pythia8	xx
$gg \rightarrow ZZ(2\mu 2\tau)$	GluGluToContinToZZTo2mu2tau_TuneCP5_13TeV_mcfm701_pythia8	xx
$qq \rightarrow ZZ/Z\gamma^* \rightarrow 4L$	ZZTo4L_TuneCP5_13TeV_powheg_pythia8	xx
bH 5FS FxFx	HPlusBottom_5FS_MuRFScaleDynX0p50_HToZZTo4L_M125_TuneCP5_13TeV_amcatnloFXFX_JHUGenV7011_pythia8	xx
bH 4FS	HPlusBottom_4FS_MuRFScaleDynX0p50_HToZZTo4L_M125_TuneCP5_13TeV_amcatnlo_JHUGenV7011_pythia8	xx
bH 5FS	HPlusBottom_5FS_MuRFScaleDynX0p50_HToZZTo4L_M125_TuneCP5_13TeV_amcatnlo_JHUGenV7011_pythia8	xx
$WZ \rightarrow 3\ell\nu$	WZTo3LNu_TuneCP5_13TeV_amcatnloFXFX_pythia8	xx

950 **3.2.4 Estimation of reducible backgrounds**

951 Reducible background processes are background processes that do not produce the same final
 952 state particles as the signal process but where mis-identification of physics objects can still falsify
 953 the sought-after signature. Since jets are typically abundant in most collisions, this amounts to
 954 the mis-identification of additional muons for this analysis. A major expected contribution in
 955 this background is expected from the Drell-Yan process. Since the simulation of mis-identified
 956 muons is subject to significant modelling uncertainties, a data-driven approach may be used.
 957 This involves determining the mis-identification rate of muons in data and applying it to a side-
 958 band region from which the contributions of reducible backgrounds are extrapolated into the
 959 signal region. This methodology is presented in this section and follows the methods used in
 960 [53].

961 **Determination of muon mis-identification rate**

962 To determine the mis-identification of muons with respect to the tight muon requirement outlined
 963 in subsection 2.2.3, a three-muon selection is applied to data. Specifically, events with a $Z \rightarrow$
 964 $\mu^+ \mu^-$ decay that also contain a third muon are targeted. Since hard-scattering processes that
 965 produces a Z boson are not expected to produce any additional muons, the third reconstructed
 966 muon (typically referred to as the *probe muon*) is assumed to be one that is mis-identified as
 967 such. To determine a mis-identification rate, the ratio of probe muons that pass the tight muon
 968 requirement with respect to those that pass the loose muon requirement is calculated. This
 969 procedure is performed in bins of the probe muon p_T for the barrel ($|\eta| \leq 1.2$) and endcap ($|\eta| >$
 970 1.2) regions respectively. The exact reconstruction algorithm that is applied is the following:

- 971 1. Events that contain at least two muons that pass the tight identification requirement and
 972 where the third passes at least the loose identification requirement are chosen. The p_T -
 973 leading muon is required to satisfy $p_T > 20$ GeV and the sub-leading muon is required
 974 to satisfy $p_T > 10$ GeV. Additionally, the HLT IsoMu24 trigger requirement must also be
 975 met. Lastly, to ensure two muons are not spuriously reconstructed from shared tracks, it
 976 is required that each muon candidate is separated from the others by $\Delta R > 0.02$.
 - 977 2. Opposite-sign muon pairs are merged into Z boson candidates and the candidate closest to
 978 the nominal Z mass is taken as the final Z candidate. Additionally, the invariant mass of any
 979 combination of opposite-sign muons must satisfy $m_{\mu\mu} > 4$ GeV, to remove any contributions
 980 from low mass resonances such as J/ψ .
 - 981 3. The remaining, third muon not selected as part of the Z candidate is taken as the probe
 982 muon
- 983 The mis-identification rate of the probe muon that is determined in this way in bins of the probe
 984 muon p_T , can be seen in ???. However, the contribution from processes that indeed produce three
 985 muons in the hard-scattering must be subtracted. This consists primarily of $WZ \rightarrow 3\ell\nu$ processes
 986 that artificially inflate the calculated mis-identification rate at higher probe muon p_T . This
 987 contribution is subtracted using simulation. It is this corrected version of the mis-identification
 988 rate that is used in the following section.

989 **Application of muon mis-identification rate**

The muon mis-identification rate is applied to a control region to estimate the contribution of
 reducible backgrounds to the previously described $cH(ZZ \rightarrow 4\mu)$ selection. It is useful to introduce
 some of the related terminology at this point. The four pass (4P) region henceforth refers

to the inclusive signal region that is defined via the $cH(ZZ \rightarrow 4\mu)$ selection. The three-pass-one-fail (3P1F) and two-pass-two-fail (2P2F) regions respectively refer to regions in which the $cH(ZZ \rightarrow 4\mu)$ reconstruction is performed as previously described but where only three (two) of the muons satisfy the tight identification criteria and the remaining one (two) muon(s) satisfy only the loose identification criteria. The 3P1F and 2P2F are collectively referred to as the application region (AR).

The extrapolation of the AR to the 4P is performed using the previously determined mis-identification rate. The prescription for this application can be obtained from the mis-identification rate f_i which is defined as

$$f = \frac{N_{\text{tight}}}{N_{\text{loose}}}. \quad (3.3)$$

Here N_{loose} and N_{tight} are the number of probe muons in a given bin that pass the loose and tight identification criteria respectively. From this, the relation

$$N_{\text{tight}} = N_{\text{loose}} f \quad (3.4)$$

follows. Since one is interested in the contributions of muons which pass the loose but not the tight identification requirement in the AR, Equation 3.4 can be reinterpreted as

$$N_{\text{loose-not-tight}} = N_{\text{loose}}(1 - f). \quad (3.5)$$

By substituting this back into Equation 3.4, the desired prescription is found:

$$N_{\text{tight}} = N_{\text{loose-not-tight}} \frac{f}{(1 - f)}. \quad (3.6)$$

990 Thus, for each muon that fails the tight identification requirements but passes the loose ones
 991 in the 3P1F and 2P2F regions, the weight $f/(1 - f)$ is applied, where f is the p_T and η
 992 dependant muon misidentification rate. This leads to the following expressions for the individual
 993 contributions of the AR to the 4P region:

994 1. **2P2F:** Since this region contains two muons that pass the loose identification criteria but
 995 not the tight, the weight $f/(1 - f)$ must be applied twice. The total contribution of this
 996 region in the 4P region can thus be written as

$$N_{4P}^{(2P2F)} = \sum_k^{N_{2P2F}} \frac{f_k^{(3)}}{(1 - f_k^{(3)})} \frac{f_k^{(4)}}{(1 - f_k^{(4)})}, \quad (3.7)$$

997 where the $f_k^{(3/4)}$ is the misidentification rate associated with each of the non-passing muon
 998 for the k -th event. Major contributors to the 2P2F region are expected to be Drell-Yan
 999 and $t\bar{t}$ processes, which produce only two prompt muons.

1000 2. **3P1F:** Since this region contains only one muon that passes the loose identification criteria
 1001 but not the tight, the weight $f/(1 - f)$ is only applied. The total contribution of this region
 1002 in the 4P region can thus be written as

$$N_{4P}^{(3P1F)} = \sum_k^{N_{3P1F}} \frac{f_k^{(4)}}{(1 - f_k^{(4)})}, \quad (3.8)$$

1003 where the $f_k^{(4)}$ is the misidentification rate associated with the non-passing muon for the
 1004 k -th event. The major contributor to the 3P1F ragion is expected to consist of $WZ \rightarrow 3\ell\nu$
 1005 due to the presence of three prompt leptons.

To obtain the total contribution of the AR to the 4P region, potential contaminations of the 2P2F and 3P1F regions must be accounted for. The first source of contamination is the potential overlap of the 3P1F region with contributions from the 2P2F region, where an additional muon has been mis-identified in the former and erroneously passes the tight identification criteria. This may lead to an overestimation of the 3P1F region. Such contributions can be estimated via the term

$$N_{\text{exp.}}^{(3\text{P1F})} = \sum_k^{N_{2\text{P2F}}} \left(\frac{f_k^{(3)}}{(1 - f_k^{(3)})} + \frac{f_k^{(4)}}{(1 - f_k^{(4)})} \right). \quad (3.9)$$

Effectively, contributions from the 2P2F region are weighed with the mis-identification rate for both muons that fail the tight identification criteria. To then extrapolate this contribution to the 4P region, the fake rate must once again be applied, this time to the respective complementary muon. This produces the final term

$$N_{4\text{Pexp.}}^{(3\text{P1F})} = \sum_k^{N_{2\text{P2F}}} \left(\frac{f_k^{(3)}}{(1 - f_k^{(3)})} \frac{f_k^{(4)}}{(1 - f_k^{(4)})} + \frac{f_k^{(4)}}{(1 - f_k^{(4)})} \frac{f_k^{(3)}}{(1 - f_k^{(3)})} \right) \quad (3.10)$$

$$= 2 \sum_k^{N_{2\text{P2F}}} \left(\frac{f_k^{(3)}}{(1 - f_k^{(3)})} \frac{f_k^{(4)}}{(1 - f_k^{(4)})} \right) \quad (3.11)$$

An additional source of potential contamination is the contribution of four muon processes in which muons either fail the tight identification criteria or fall outside the detector acceptance. This is primarily relevant in the 3P1F region with contributions from $qq \rightarrow ZZ/Z\gamma^* \rightarrow 4L$ processes, which again lead to an overestimation of the 3P1F region. Contributions to the 4P region from this, denoted with $N_{4\text{P}}^{(ZZ,3\text{P1F})}$ are estimated via simulation with the same prescription as data events in the 3P1F region:

$$N_{4\text{P}}^{(ZZ,3\text{P1F})} = \sum_k^{N_{3\text{P1F}}} \frac{f_k^{(4)}}{(1 - f_k^{(4)})}, \quad (3.12)$$

The total contribution to the 4P region $N_{4\text{P}}$ may finally be estimated by taking the sum of the 2P2F and 3P1F contributions and subtracting the discussed contamination terms. This leads to

$$N_{4\text{P}} = N_{4\text{P}}^{(2\text{P2F})} + N_{4\text{P}}^{(3\text{P1F})} - N_{4\text{Pexp.}}^{(3\text{P1F})} - N_{4\text{P}}^{(ZZ,3\text{P1F})} \quad (3.13)$$

$$= \sum_k^{N_{3\text{P1F}}} \frac{f_k^{(4)}}{(1 - f_k^{(4)})} - \sum_k^{N_{3\text{P1F}}} \frac{f_k^{(4)}}{(1 - f_k^{(4)})} - \sum_k^{N_{2\text{P2F}}} \left(\frac{f_k^{(3)}}{(1 - f_k^{(3)})} \frac{f_k^{(4)}}{(1 - f_k^{(4)})} \right) \quad (3.14)$$

1006
 1007 However, it is found that due to the strong muon identification criteria an extremely small
 1008 yield of reducible backgrounds are observed. Since this leads to non-continuous distributions of
 1009 observables, a simplification must be made for the final statistical evaluation.
 1010 ...

3.3 Validation of cH(ZZ \rightarrow 4 μ) event selection in sideband regions

Here, a validation of the described event selection is presented. Specifically, the 2018 dataset of the CMS detector is compared to simulation in sideband regions of the signal for a variety of observables. These side-band regions include all selected events outside of the 120 GeV $< m(H) > 130$ GeV region, which is where the cH(ZZ \rightarrow 4 μ) is expected to be found. The ..

3.4 Statistical inference

For the statistical inference process, both the DeepJet CvsB and CvsL discriminators are used in a pseuo-two-dimensional fit. Specifically, an *unrolling* process is applied to events to project the two-dimensional information given by the CvsB and CvsL discriminators into a single discriminator. This involves constructing a histogram of the CvsB discriminator in bins of the corresponding CvsL value. The resulting histogram can be seen in ???. It is on these distributions that the statistical inference process described in the following is performed. This consists of constructing a statistical model with which a fit may be performed as described in subsection 3.4.1 as well as an uncertainty model, as described in section 3.5

3.4.1 Statistical model

Assuming the absence of a measurable signal, a upper limit on $\sigma BR(cH(ZZ \rightarrow 4\mu))$ may be set. This in turn may be interpreted as a limit on κ_c using the prescription derived in subsection 1.3.2. To do this, a statistical model is required to predict the distribution of the number entries in each bin of the discriminator histogram according to a given hypothesis. Since each of the bins are filled in a discrete couting process, a Poissonian Ansatz with

$$\mathcal{P}(k; \lambda) = \frac{\lambda^k e^{-\lambda}}{k!} \quad (3.15)$$

is appropriate. Here, λ denotes the expectation value with k observed events. In the i -th bin of the discriminator distribution, the expecation value λ_i is calculated using the models of the signal and background processes discussed in section 3.2. This amounts to $\lambda_i = \mu s_i + b_i$ where s_i and b_i are the signal and background estimations respectively. The signal strength modifier μ allows for an arbitrary scaling of the signal contribution and is used as a floating parameter in the inference process. From this, a combined binned likelihood function

$$\mathcal{L}(d | \mu \cdot s(\boldsymbol{\theta}) + b(\boldsymbol{\theta})) = \prod_{i \in \text{bins}} \mathcal{P}(d_i | \mu \cdot s(\boldsymbol{\theta}) + b(\boldsymbol{\theta})) \times \prod_{j \in \text{nuis.}} \mathcal{C}(\hat{\theta}_j | \theta_j). \quad (3.16)$$

may be derived for some set of measured data d_i . Here, an uncertainty model is introduced via the nuisance parameters $\boldsymbol{\theta}$ that account for uncertainties related to the signal and background estimation. These follow a distribution \mathcal{C} and may alter the scaling of the signal and background contributions as well as their histogram shape with respect to the discriminator that is us. The estimate of $\boldsymbol{\theta}$ that is used to obtain estimations of s_i and b_i in the inference process is denoted by $\hat{\boldsymbol{\theta}}$ and is found by finding the global maximum of the likelihood. The specifics of the uncertainty model employed in this analysis are discussed in section 3.5. Since the statistical evaluation is

not applied to data in this analysis, an Asimov dataset [**AsimovMaybe?**] is used. To compare different hypotheses, the test statistic that is used is the *profile likelihood ratio*

$$q_\mu = -2\ln\left(\frac{\mathcal{L}(d | \mu \cdot s(\hat{\theta}_\mu) + b(\hat{\theta}_\mu))}{\mathcal{L}(d | \hat{\mu} \cdot s(\hat{\theta}) + b(\hat{\theta}))}\right), \quad (3.17)$$

where $(\hat{\mu}, \hat{\theta})$ are the parameter values that globally maximise the likelihood while $\hat{\theta}_\mu$ maximises the likelihood for a given μ . A significant advantage of this test statistic is that in the large sample limit, the distribution $f(q | \mu)$ approaches the χ^2_k distribution with $k = 1$ degrees of freedom, according to Wilk's theorem [**wilksTheorem**]. This is very useful as knowing the distribution of the test statistic allows one to calculate a p-value

$$p_\mu = \int_{q_{\text{obs.}}}^{\infty} f(q | \mu) dq. \quad (3.18)$$

With this p-value, the CL_s method may be applied [**CLs**]. For this, a CL_s value

$$CL_s = \frac{p_\mu}{1 - p_0} = \frac{\int_{q_{\text{obs.}}}^{\infty} f(q | \mu) dq}{\int_{q_{\text{obs.}}}^{\infty} f(q | 0) dq}. \quad (3.19)$$

is computed. A feature of this method is that large overlaps of test statistic distributions between the H_μ and H_0 hypotheses, due to the very small signal cross section associated with H_μ , are accounted for. This is achieved by weighting p_μ with $(1 - p_0)^{-1}$, thus decreasing the CL_s value with larger overlaps.

3.4.2 Uncertainty model

The sources of uncertainty in the model of the signal and background processes are described in this section. These consist of two types. The first are shape uncertainties, which may change the normalisation as well as the shape of the distributions in question. These uncertainties are captured by creating variations of these distributions that are interpreted as $\pm 1\sigma$ variations. The second type consists of normalisation uncertainties. These only affect the normalisation of distributions without affecting the shape and can thus be captured as a single, real parameter. Both types of uncertainties are associated with respective nuisance parameters in the statistical model introduced in subsection 3.4.1.

1047 Theoretical uncertainties common to simulation

1048 A number of theoretical uncertainties that are common to all simulated sample are included in
1049 the uncertainty model. This includes:

- 1050 • Shape uncertainties related to the choice of the normalisation and factorisation scales μ_R
1051 and μ_F . These are varied independently by factors of 2 and 0.5 using a reweighting tech-
1052 nique that is applied to the simulation, thus introducing four shape-changing nuisance
1053 parameters.
- 1054 • Shape uncertainties related to the modelling of the Parton Distribution Function (PDF).
1055 These uncertainties are obtained from the NNPDF3.1 PDF set that is used in simulation

[NNPDF3.1] and includes 100 PDF variations associated with variations of individual parameters. These are combined into a single nuisance parameter with the prescription

$$\sigma^+ = \sigma^- = \sqrt{\sum_{i=1}^{N_{\text{par}}} (F_i - F_0)^2}, \quad (3.20)$$

where F_0 is the nominal value of the observable in question and F_i is the varied value associated with one of the N_{par} parameter variations.

- Normalisation uncertainties related to the cross sections of the individual processes. These are:
 - Higgs production and branching ratio uncertainties taken from [16]
 - A 50% normalisation uncertainty on the modelling of the gluon fusion process in association with heavy quarks ?? Ask gerrit.
 - Other process uncertainties...
- Shape uncertainties related to the tuning of the parton showering used in the generator. These are implemented by varying parameters related to initial-state radiation and final-state radiation independently, introducing two nuisance parameters.
- A shape uncertainty related to the application of a pile-up reweighting procedure, with which the pile-up profile of simulation is matched to that of data. These uncertainties are captured via a single nuisance parameter.

Experimental uncertainties common to simulation

The following experimental uncertainties are common to all simulated sample:

- Shape uncertainties related to the jet energy scale. For this, a simplified schema is used in which closely correlated uncertainty sources are grouped and captured across 11 individual nuisance parameters. Sources of uncertainty include for example the limited set of data available for the calibration procedure or differences in calibration response to different jet flavours.
- A shape uncertainty related to the smearing method used to correct the jet energy resolution. This is captured via a single nuisance parameter.
- Shape uncertainties related to the calibration of the jet flavour-tagging algorithm that is used. These are captured via 13 nuisance parameters and include for example uncertainty sources related to the individual phase spaces targeted in the calibration or the limited set of available data.
- A shape uncertainty related to the pile-up identification method that is used. This is captured via a single nuisance parameter.
- Shape uncertainties related to the muons used in the analysis. The response of the muon identification criteria, the isolation as well as the muon trigger path in simulation is calibrated to match data. Uncertainties associated with this calibration are captured via a nuisance parameter.
- A normalisation uncertainty related to the luminosity with which the simulation is scaled, which is known with a limited precision. This amounts 2.5% for the 2018 dataset and is captured as a single nuisance parameter.

1094 **Uncertainties related to $cH(ZZ \rightarrow 4\mu)$ and $bH(ZZ \rightarrow 4\mu)$ modelling**

1095 A systematic uncertainty that is unique to $cH(ZZ \rightarrow 4\mu)$ and $bH(ZZ \rightarrow 4\mu)$ is that associated with
1096 the use of a specific flavour scheme. As discussed in subsection 3.2.2, an envelope representing
1097 a $\pm 1\sigma$ variation is extracted from the respective 3FS (4FS) and 4FS (5FS) samples and applied
1098 to the nominal $cH(ZZ \rightarrow 4\mu)$ 4FS FxFx ($bH(ZZ \rightarrow 4\mu)$ 5FS FxFx) sample.

1099 **Uncertainties related to reducible background modelling**

1100 Due to the almost negligible nature of the reducible background contribution, a simple normalisation
1101 uncertainty is introduced to account for uncertainties associated with this estimation
1102 procedure...

1103 **Uncertainties related to statistical precision of background estimation**

1104 Simulation estimation methods themselves include a statistical uncertainty due to the limited
1105 number of events that are generated to estimate each process. This results in the introduction
1106 of nuisance parameter per process per bin of the final discriminator. This can be simplified to
1107 introducing only a single, per bin nuisance parameter by using the Barlow-Beeston approach
1108 [**Barlow-Beeston**].

1109 **3.5 Results**

1110 In this section, the result of the presented methods is discussed.

1111 Chapter 4

1112 An EFT interpretation of the
1113 $cH(ZZ \rightarrow 4\mu)$ process

1114 Conclusion

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