

# A Search for Sterile Neutrinos at the NO $\nu$ A Far Detector

A DISSERTATION PRESENTED  
BY  
GARETH KAFKA  
TO  
THE DEPARTMENT OF PHYSICS

IN PARTIAL FULFILLMENT OF THE REQUIREMENTS  
FOR THE DEGREE OF  
DOCTOR OF PHILOSOPHY  
IN THE SUBJECT OF  
PHYSICS

HARVARD UNIVERSITY  
CAMBRIDGE, MASSACHUSETTS  
MAY 2016

©2016 – GARETH KAFKA  
ALL RIGHTS RESERVED.

## A Search for Sterile Neutrinos at the NO $\nu$ A Far Detector

### ABSTRACT

NO $\nu$ A is a long baseline neutrino experiment designed to study neutrino oscillations. It consists of two functionally identical detectors each located 14 mrad off-axis from the NuMI neutrino beam generated at Fermilab, with one detector located about a kilometer from the beam source, and the other 810 km away in Ash River, Minnesota. With the longest distance between detectors and the ability of the NuMI beam to produce a beam of either neutrinos or anti-neutrinos, NO $\nu$ A is the most sensitive experiment to CP violating effects in the neutrino sector in the world. While the primary physics goals of NO $\nu$ A are to make measurements of the remaining unknown 3 flavor oscillation parameters, the experiment has the capability to perform more exotic analyses.

This thesis focuses on a search for sterile neutrinos in a  $3 + 1$  model. The analysis presented searches for a deficit in the rate of neutral current events at the far detector using the near detector to constrain the predicted spectrum. The comparison between the observed and predicted spectra is translated into a measurement of the expanded PMNS mixing matrix elements,  $|U_{\mu 4}|^2$  and  $|U_{\tau 4}|^2$ , assuming a value of  $\Delta m_{41}^2 \sim O(1 \text{ eV}^2)$ . This analysis was performed using data taken between February 2014 and May 2015 corresponding to  $3.52 \times 10^{20}$  protons on target. The best fit values for the matrix elements were  $|U_{\mu 4}|^2 = 0.xy \pm a.bc$  and  $|U_{\tau 4}|^2 = 0.vw \pm d.ef$ , consistent with the no sterile neutrino hypothesis. At the end of this thesis there is a short discussion of future sensitivity improvements using a larger dataset.

# Contents

ABSTRACT	iii
LIST OF FIGURES	vi
LIST OF TABLES	vii
DEDICATION	vii
ACKNOWLEDGMENTS	ix
1 A BRIEF HISTORY OF NEUTRINOS	1
1.1 Introduction	1
1.2 First Detection of Neutrinos	2
1.3 Evidence of Neutrino Oscillations	2
1.4 Possible Evidence of Sterile Neutrinos	4
2 THEORY OF NEUTRINO OSCILLATIONS	8
2.1 Standard 3-Flavor Oscillations	8
2.2 Matter Effects	8
2.3 sec:TheoryMatter	8
2.4 Sterile Neutrinos	8
2.5 Current Measurements	8
3 THE NO $\nu$ A EXPERIMENT	9
3.1 Introduction	9
3.2 The NuMI Beam	9
3.3 The NO $\nu$ A Detectors	9
3.3.1 Near Detector	9
3.3.2 Far Detector	9
4 EXPERIMENT SIMULATION	10
4.1 Introduction	10
4.2 Flux Simulation	10
4.3 Detector Simulation	10
5 EVENT RECONSTRUCTION	11
5.1 Reconstruction Chain	11
5.2 Calibration	11

6	NEUTRAL CURRENT EVENT SELECTION	12
6.1	Preselection . . . . .	12
6.2	CVN Based Selection . . . . .	12
6.3	Standard PID Cross Check . . . . .	12
7	NEUTRAL CURRENT DISAPPEARANCE ANALYSIS	13
7.1	The Analysis Chain . . . . .	13
7.2	Near Detector Decomposition . . . . .	13
7.3	Extrapolation . . . . .	13
7.4	Far Detector Prediction . . . . .	13
8	ANALYSIS RESULTS AND SYSTEMATIC ERRORS	14
8.1	Fitting Method . . . . .	14
8.2	Systematic Errors . . . . .	14
8.3	Results . . . . .	14
9	CONCLUSIONS AND FUTURE IMPROVEMENTS	15
9.1	Conclusions . . . . .	15
9.2	Future Improvements . . . . .	15
	REFERENCES	17

# List of Figures

I.I	SNO Result . . . . .	5
-----	----------------------	---

# List of Tables

THIS IS THE DEDICATION.



# Acknowledgments

These people were cool.

# 1

## A Brief History of Neutrinos

### 1.1 INTRODUCTION

The neutrino was first postulated by Wolfgang Pauli as a possible explanation for the continuous spectrum of electrons emitted from nuclear  $\beta$  decay [1]. This decay was originally thought to be the emission of an electron from an atom, resulting in a different nucleus, via the process,

$$N \rightarrow N' + e \tag{1.1}$$

where  $N$  and  $N'$  are the parent and daughter nuclei, respectively. In a two body decay such as this, the momenta and energies of the outgoing particles are exactly constrained. Pauli's new particle explained the continuous spectrum of electron energy via a modified decay process:

$$N \rightarrow N' + e + \nu \tag{1.2}$$

where  $\nu$  is the outgoing neutral particle. Pauli's original proposal called the new particle the neutron, but this name was later used to name the massive neutral nucleon discovered by Chadwick in 1932 [2]. Three years after Pauli's idea, Fermi proposed a model for nuclear  $\beta$  decay that included the new particle, which he coined the neutrino, or little neutral one [3].

## 1.2 FIRST DETECTION OF NEUTRINOS

Twenty years passed from Fermi's model proposal before neutrinos were discovered experimentally. Fred Reines and Clyde Cowan made the discovery by placing a detector near a nuclear reactor as a source of neutrinos and observing inverse  $\beta$  decay [4, 5]. The neutrinos observed were anti-electron neutrinos, thus the following was the observed process.

$$p + \bar{\nu}_e \rightarrow n + e^+ \tag{1.3}$$

Reines earned the Nobel Prize in Physics in 1995 for the detection of the neutrino.

In 1962, the muon neutrino was discovered at Brookhaven National Laboratory using the first neutrino beam [6] in a scheme still used in neutrino experiments today. The beam was generated by colliding protons with a target, producing pions that decayed into muons and muon neutrinos. The resultant beam then passed through thick steel, absorbing everything but the neutrinos. Leon Lederman, Melvin Schwartz, and Jack Steinberger won the Nobel Prize in Physics in 1988 for the discovery of the muon neutrino.

The last generation of neutrino, the tau neutrino, was discovered at Fermilab by the DONUT collaboration in 2000 [7].

## 1.3 EVIDENCE OF NEUTRINO OSCILLATIONS

Pontecorvo first postulated neutrino oscillations between neutrinos and anti-neutrinos, analogous to  $K^0/\bar{K}^0$  oscillations, in 1957 [8]. Nothing came of the proposal immediately, but the idea was later revived and modified to solve the solar neutrino problem. The physics community initially viewed neutrino oscillations with skepticism and believed the experiments to be flawed, but over time oscillations

have become an unmistakable and accepted phenomenon.

The solar neutrino problem was born from a large discrepancy between the theoretical and observed number of neutrinos produced by the sun. Neutrinos were used as a study for solar models because photons take a thousand years to escape the dense nuclear plasma to the surface of the sun, but neutrinos are unimpeded. The models, which have been confirmed today, describe a somewhat complicated chain of nuclear reactions, many of which produce neutrinos. Each individual process contributes a neutrinos in a different energy spectrum, but all of the neutrinos are created as electron neutrinos.

The experimental observations and theoretical predictions were both published in 1968. Ray Davis designed an experiment underground in the South Dakota Homestake mine consisting of a tank of an ultra pure chlorine cleaning solution capable of neutrino capture via the process



The argon atoms could be collected and counted for a direct measurement of the neutrino flux [9]. Meanwhile, John Bahcall precisely calculated the expected neutrino flux [10], and the observed rate was found to be about one third of the predicted rate. Pontecorvo revived his theory with the modification of allowing  $\nu_e$  to  $\nu_\mu$  oscillations [11], but the idea was still not taken seriously and it was another 20 years before the solar neutrino problem was confirmed.

Beginning in 1989, multiple experiments with different methodologies confirmed the solar neutrino problem. Kamiokande, a water Cherenkov detector, measured a rate deficit in 1989 [12]. Two experiments measured solar neutrinos via the reaction



and measured a similar deficit, SAGE in 1991 [13] and GALLEX in 1992 [14]. With results from three different experimental methods all showing similar rate deficits, the solar neutrino problem could no longer be relegated to an experimental error.

Evidence soon emerged for oscillations with atmospheric neutrinos as well. These neutrinos are pro-

duced when cosmic rays collide with particles in the atmosphere and decay, predominantly via the following channels.

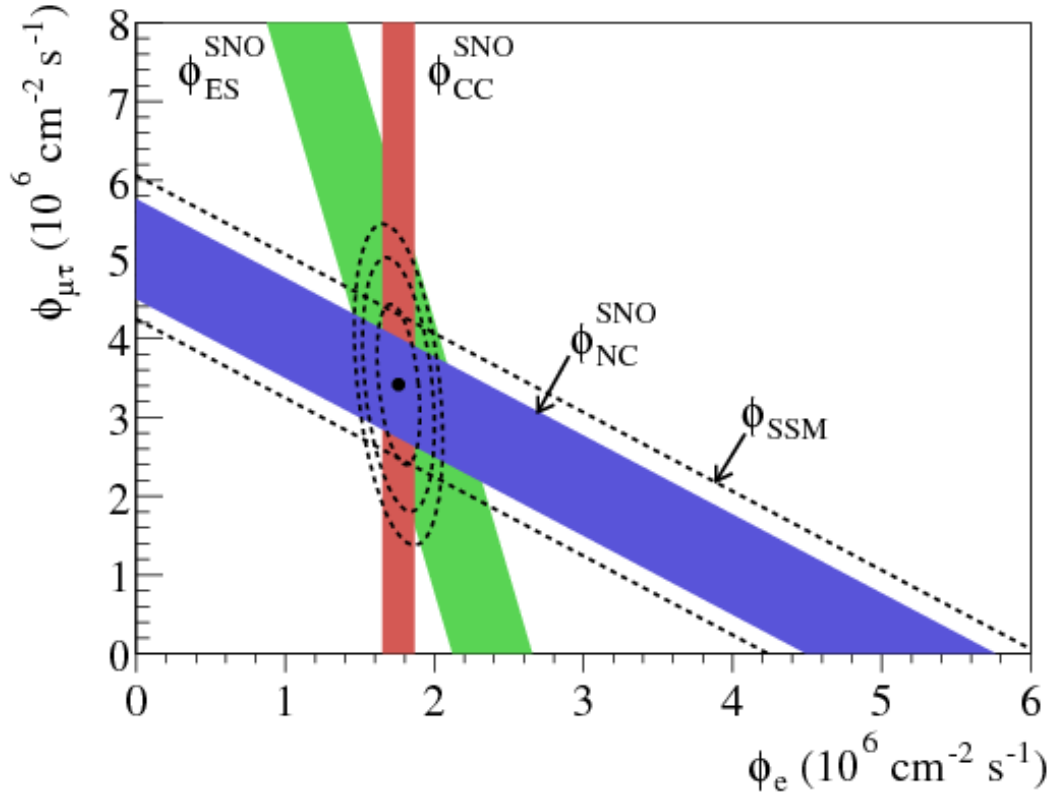
$$\begin{aligned}\pi^{+/-} &\rightarrow \mu^{+/-} + \nu_\mu/\bar{\nu}_\mu \\ \mu^{+/-} &\rightarrow e^{+/-} + \nu_e/\bar{\nu}_e + \bar{\nu}_\mu/\nu_\mu\end{aligned}\tag{1.6}$$

Thus, the expected ratio of muon family neutrinos to muon family neutrinos was expected to be 2. Kamiokande measured this ratio in 1992 and found the ratio to be much closer to 1 [15]. Furthermore, the ratio seemed to be dependent on zenith angle, with the measurement being nearly 2 for neutrinos coming from directly overhead, and dropping as the angle increased. Super-Kamiokande (or Super-K), the successor to Kamiokande, improved upon this measurement in 1998 [16], providing the most definitive evidence of neutrino oscillations to that point.

A resolution to the solar neutrino problem did not have to wait much longer with detector technologies capable of discerning different neutrino interaction types. SNO was designed as a heavy water ( $D_2O$ ) Cherenkov detector experiment to be sensitive to both the flux of electron neutrinos and the flux of all neutrinos. In 2002, it released results for these measurements, finding what was then the expected deficit in electron neutrino flux, but a total flux consistent with the standard solar model, see Fig. 1.1 [17]. With this result, neutrino oscillations were confirmed, and subsequent experiments now measure oscillation parameters with precision.

#### 1.4 POSSIBLE EVIDENCE OF STERILE NEUTRINOS

There exists some evidence of more than three neutrinos, but the number of active neutrinos is constrained by measurements of the width of the Z boson. LEP has measured the number of active neutrinos to be  $2.984 \pm 0.008$  [18], so the discoveries of the  $\nu_e$ ,  $\nu_\mu$ , and  $\nu_\tau$  leave no room for new active neutrinos. (Strictly speaking, there could be other active neutrinos if they had mass greater than half the mass of the Z boson so the Z could not decay to them, but the evidence that does exist suggests a mass



**Figure 1.1:** The measurement of different event rates at SNO [17]. The red band represents  $\nu_e$  CC interactions with the deuterium neutron, an interaction only sensitive to electron neutrinos. The blue band represents neutral current scattering off of the deuterium nucleus, an interaction sensitive to the total neutrino flux. The green band represents elastic scattering of the neutrino off the deuterium electron, an interaction sensitive to all neutrino flavors, but not completely independent of neutrino flavor. The dashed straight lines represent the flux prediction by the standard solar model. The point represents the best fit for the flux of electron neutrinos and the flux for the combined muon and tau neutrinos.

splitting from the other neutrino states much smaller than this.)

The first evidence for an additional neutrino came from the Liquid Scintillator Neutrino Detector, or LSND, in 1995. This experiment searched for  $\bar{\nu}_e$  appearance in a  $\bar{\nu}_\mu$  beam. When it found an excess of events, it reported a measurement of a mass splitting between neutrino states  $\Delta m^2$  of  $O(1 \text{ eV}^2)$  [19]. The mass splitting affects the frequency of neutrino oscillations, and will be explained in greater depth in chapter 2. The measurement from LSND is incompatible with the mass splittings measured in both the atmospheric and solar oscillation experiments, suggesting the addition of at least one more neutrino. However, based on the result from LEP, this new neutrino can not couple to the Z boson, hence the suggestion for a sterile neutrino.

Many other experiments have tried to search for the existence of sterile neutrinos. The MiniBooNE experiment at Fermilab searched for both  $\nu_e$  appearance in a  $\nu_\mu$  beam and  $\bar{\nu}_e$  appearance in an  $\bar{\nu}_\mu$  beam. While they first reported no event excess in 2007 [20], their more results show excesses in both modes [21] that could be consistent with some sterile neutrino models. Not all experiments have found evidence of sterile neutrinos, however. The most recent results from KARMEN in 2002 [22] and NOMAD in 2003 [23] showed no evidence of oscillations at the same mass scale as LSND. This list experimental evidence (or lack thereof) is by no means exhaustive, but it should be clear that there is not yet a scientific consensus on the existence of sterile neutrinos.

Today, most neutrino experiments have some form of analysis searching for a sterile neutrinos. The theory that would govern sterile oscillations (discussed in detail in section 2.4) is well understood, so individual experiments can try to measure or set limits on the various parameters introduced by adding sterile neutrinos to our current models. Recent measurements have come from an atmospheric neutrino measurement by Super-K in 2015 ??, a reactor experiment analysis by Daya Bay in 2014 [24], a short baseline detector analysis at the T2K near detector in 2015 [25], and a long baseline detector analysis by MINOS in 2011 [26].

NO $\nu$ A is a long baseline neutrino experiment with a near detector, thus capable of performing both short baseline and long baseline sterile neutrino analyses; this thesis focuses on the long baseline. The analysis performed searches for a deficit in the number of neutral current events at the far detector, using

the near detector data to constrain the predicted spectrum. Neutral currents are insensitive to the flavors of the standard 3 active neutrinos, so a rate deficit would point to the existence of a sterile neutrino.



# 2

## Theory of Neutrino Oscillations

2.1 STANDARD 3-FLAVOR OSCILLATIONS

2.2 MATTER EFFECTS

2.3 SEC:THEORYMATTER

2.4 STERILE NEUTRINOS

2.5 CURRENT MEASUREMENTS

# 3

## The NO $\nu$ A Experiment

### 3.1 INTRODUCTION

### 3.2 THE NUMI BEAM

### 3.3 THE NO $\nu$ A DETECTORS

#### 3.3.1 NEAR DETECTOR

#### 3.3.2 FAR DETECTOR

# 4

## Experiment Simulation

4.1 INTRODUCTION

4.2 FLUX SIMULATION

4.3 DETECTOR SIMULATION

# 5

## Event Reconstruction

5.1 RECONSTRUCTION CHAIN

5.2 CALIBRATION

# 6

## Neutral Current Event Selection

6.1 PRESELECTION

6.2 CVN BASED SELECTION

6.3 STANDARD PID CROSS CHECK

# 7

## Neutral Current Disappearance Analysis

7.1 THE ANALYSIS CHAIN

7.2 NEAR DETECTOR DECOMPOSITION

7.3 EXTRAPOLATION

7.4 FAR DETECTOR PREDICTION

# 8

## Analysis Results and Systematic Errors

8.1 FITTING METHOD

8.2 SYSTEMATIC ERRORS

8.3 RESULTS

# 9

## Conclusions and Future Improvements

### 9.1 CONCLUSIONS

The results of this analysis are consistent with no sterile neutrinos.

### 9.2 FUTURE IMPROVEMENTS



# References

- [1] W. Pauli. Letter to a physicists' gathering at tubingen, 1930.
- [2] J. Chadwick. Possible existence of a neutron. *Nature*, 192:312, 1932.
- [3] E. Fermi. Versuch einer theorie der  $\beta$ -strahlen. *Zeitschrift für Physik*, 88:161–177, 1934.
- [4] F. Reines and C. L. Cowan. Detection of the free neutrino. *Physical Review*, 92:830–831, 1953.
- [5] C. L. Cowan, F. Reines, F. B. Harrison, H. W. Kruse, and A. D. McGuire. Detection of the free neutrino: A confirmation. *Science*, 124:103–104, 1956.
- [6] G. Danby et al. Observation of high-energy neutrino reactions and the existence of two kinds of neutrinos. *Physical Review Letters*, 9:36–44, 1962.
- [7] DONUT Collaboration, K. Kodama et al. Observation of tau neutrino interactions. *Physics Letters B*, 504:218–224, 2001.
- [8] B. Pontecorvo. Mesonium and anti-mesonium. *Soviet Journal of Experimental and Theoretical Physics*, 6:429, 1957.
- [9] R. Davis, Jr., D. S. Harmer, and K. C. Hoffman. Search for neutrinos from the sun. *Physical Review Letters*, 20:1205–1209, 1968.
- [10] J. N. Bahcall, N. A. Bahcall, and G. Shaviv. Present status of the theoretical predictions for the  $^{37}\text{Cl}$  solar-neutrino experiment. *Physical Review Letters*, 20:1209–1212, 1968.
- [11] V. Gribov and B. Pontecorvo. Neutrino astronomy and lepton charge. *Physics Letters B*, 28:493–496, 1969.
- [12] K.S. Hirata et al. Observation of B-8 solar neutrinos in the Kamiokande-II detector. *Physical Review Letters*, 63:16–19, 1989.
- [13] A. I. Abazov et al. Search for neutrinos from the sun using the reaction  $^{71}\text{Ga}(\nu_e, e^-)^{71}\text{Ge}$ . *Physical Review Letters*, 67:3332–3335, 1991.
- [14] P. Anselmann et al. Solar neutrinos observed by GALLEX at Gran Sasso. *Physics Letters B*, 285:376–389, 1992.

- [15] K.S. Hirata et al. Observation of a small atmospheric  $\nu_\mu/\nu_e$  ratio in Kamiokande. *Physical Letters B*, 280:146–152, 1992.
- [16] Y. Fukuda et al. Evidence for oscillation of atmospheric neutrinos. *Physical Review Letters*, 81:1562–1567, 1998.
- [17] Q. R. Ahmad et al. Direct evidence for neutrino flavor transformation from neutral-current interactions in the sudbury neutrino observatory. *Physical Review Letters*, 89:011301, 2002.
- [18] ALEPH Collaboration, DELPHI Collaboration, L3 Collaboration, OPAL Collaboration, SID Collaboration, LEP Electroweak Working Group, SID Electroweak Group, Heavy Flavour Group. Precision electroweak measurements on the Z resonance. *Physics Reports*, 427:218–224, 2006.
- [19] C. Athanassopoulos et al. Candidate events in a search for anti-muon-neutrino  $\rightarrow$  anti-electron-neutrino oscillations. *Physical Review Letters*, 75:2650–2653, 1995.
- [20] A. A. Aguilar-Arevalo et al. A search for electron neutrino appearance at the  $\Delta m^2 \sim 1 \text{ eV}^2$  scale. *Physical Review Letters*, 98:231801, 2007.
- [21] A. A. Aguilar-Arevalo et al. Improved search for  $\bar{\nu}_\mu \rightarrow \bar{\nu}_e$  oscillations in the MiniBooNE experiment. *Physical Review Letters*, 110:161801, 2013.
- [22] B. Armbruster et al. Upper limits for neutrino oscillations  $\bar{\nu}_\mu \rightarrow \bar{\nu}_e$  from muon decay at rest. *Physical Review D*, 65:112001, 2002.
- [23] P. Astier et al. Search for  $\nu_\mu \rightarrow \nu_e$  oscillations in the NOMAD experiment. *Physics Letters B*, 570:19–31, 2003.
- [24] F. P. An et al. Search for a light sterile neutrino at Daya Bay. *Physical Review Letters*, 113:141802, 2014.
- [25] K. Abe et al. Search for short baseline  $\nu_e$  disappearance with the T2K near detector. *Physical Review D*, 91:051102, 2015.
- [26] P. Adamson et al. Active to sterile neutrino mixing limits from neutral-current interactions in minos. *Physical Review Letters*, 107:011802, 2011.



THIS THESIS WAS TYPESET using  $\text{\LaTeX}$ , originally developed by Leslie Lamport and based on Donald Knuth's  $\text{\TeX}$ .

The body text is set in 11 point Egenolff-Berner Garamond, a revival of Claude Garamont's humanist typeface. The above illustration, *Science Experiment 02*, was created by Ben Schlitter and released under [CC BY-NC-ND 3.0](#). A template that can be used to format a PhD dissertation with this look & feel has been released under the permissive AGPL license, and can be found online at [github.com/asm-products/Dissertate](https://github.com/asm-products/Dissertate) or from its lead author, Jordan Suchow, at [suchow@post.harvard.edu](mailto:suchow@post.harvard.edu).