# **HERAFitter**

## **Open Source QCD Fit Project**

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Abstract HERAFitter [1] is an open-source package that provides a framework for the determination of the parton distribution functions (PDFs) of the proton and for many different kinds of analyses in Quantum Chromodynamics (QCD). It encodes results from a wide range of experimental (QCD). It encodes results from a wide range of experimental (provides a framework for the determination of the parton proton-proton (proton-antiproton) collisions at hadron colliders. Those are complemented with a variety of theoretical options for calculating PDF-dependent cross section predictions corresponding to the measurements. The data and the-
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oretical predictions are brought together through numerous 65 1 Introduction methodological options for carrying out PDF fits and ploteral structure of HERAFitter and its wide choice of options.

#### 18 **Keywords** PDFs · QCD · Fit · proton structure

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ting tools to help visualise the results. While primarily based 66 The recent discovery of the Higgs boson [2, 3] and the exon the approach of collinear factorisation, HERAFitter also 67 tensive searches for signals of new physics in LHC protonprovides facilities for fits of dipole models and transverse- 68 proton collisions demand high-precision calculations and commomentum dependent PDFs. This paper describes the gen- 69 putations to test the validity of the Standard Model (SM) and 70 factorisation in Quantum Chromodynamics (QCD). Using 71 collinear factorisation, hadron inclusive cross sections may 72 be written as

$$\sigma(\alpha_{s}(\mu_{R}^{2}), \mu_{R}^{2}, \mu_{F}^{2}) = \sum_{a,b} \int_{0}^{1} dx_{1} dx_{2} f_{a}(x_{1}, \mu_{F}^{2}) f_{b}(x_{2}, \mu_{F}^{2})$$

$$\times \hat{\sigma}^{ab}(x_{1}, x_{2}; \alpha_{s}(\mu_{R}^{2}), \mu_{R}^{2}, \mu_{F}^{2})$$

$$+ \mathcal{O}\left(\frac{\Lambda_{QCD}^{2}}{Q^{2}}\right)$$
(1)

where the cross section  $\sigma$  is expressed as a convolution of Parton Distribution Functions (PDFs)  $f_a$  and  $f_b$  with the parton cross section  $\hat{\sigma}^{ab}$ , involving a momentum transfer qsuch that  $Q^2 = |q^2| \gg \Lambda_{OCD}^2$ . At Leading-Order (LO), the 77 PDFs represent the probability of finding a specific parton <sup>78</sup> a(b) in the first (second) proton carrying a fraction  $x_1(x_2)$ of its momentum. The indices a and b in the Eq. 1 indi-80 cate the various kinds of partons, i.e. gluons, quarks and antiquarks of different flavours, that are considered as the 82 constituents of the proton. The PDFs depend on factorisa- $\mu_{\rm F}$ , while the parton cross sections depend on the strong coupling,  $\alpha_s$ , and the factorisation and renormalisa-85 tion scales,  $\mu_{\rm F}$  and  $\mu_{\rm R}$ . The parton cross sections  $\hat{\sigma}^{ab}$  are 86 calculable in perturbative QCD (pQCD) whereas PDFs are 87 non-perturbative and are usually constrained by global fits to a variety of experimental data. The assumption that PDFs are universal, within a particular factorisation scheme [4–8], 90 is crucial to this procedure. Recent review articles on PDFs can be found in Refs. [9, 10].

Accurate determination of PDFs as a function of x re-93 quires a large amount of experimental data, covering a wide kinematic region with sensitivity to different kinds of partons. Measurements of the inclusive Neutral Current (NC) and Charge Current (CC) Deep Inelastic Scattering (DIS) at the lepton-proton (ep) collider HERA provide crucial in-98 formation for determining the PDFs. Different processes in proton-proton (pp) and proton-antiproton  $(p\bar{p})$  collisions at 100 the LHC and the Tevatron, respectively, provide complementary information to the DIS measurements. The PDFs are determined from  $\chi^2$  fits of the theoretical predictions to the data [11–15]. The rapid flow of new data from the 104 LHC experiments and the corresponding theoretical devel-14 105 opments, which are providing predictions for more complex 14 106 processes at increasingly higher orders, has motivated the 14 107 development of a tool to combine them together in a fast, 15 108 efficient, open-source platform.

This paper describes the open-source QCD fit platform HERAFitter which includes a set of tools designed to facilitate comprehensive global QCD analyses of pp,  $p\bar{p}$  and ep scattering data. It has been developed for the determination of PDFs and the extraction of fundamental QCD parameters such as the heavy quark masses and the strong coupling constant. It also provides a common platform for comparison of different theoretical approaches. Furthermore, it can be used for direct tests of the impact of new experimental data on the PDFs and on the SM parameters.

This paper is organised as follows. The structure and an overview of HERAFitter are presented in section 2. In section 3 the various processes available in HERAFitter and the corresponding theoretical calculations, performed within the framework of collinear factorisation and the DGLAP [16–20] formalism, are discussed. In section 4 tools for fast calculations of the theoretical predictions used in HERAFitter are presented. In section 5 the methodology of determining PDFs through fits based on various  $\chi^2$  definitions is explained. In particular, different treatments of correlated experimental uncertainties are presented. Alternative approaches to the DGLAP formalism are presented in section 6. The HERAFitter code organisation is discussed in section 7, specific applications of the package are given in section 8 and a summary is presented in section 9.

#### 4 2 The HERAFitter Structure

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In this section the functionality of HERAFitter is described.
 A block diagram in Fig. 1 gives a schematic view of the
 HERAFitter functionality which can be divided into four main blocks:

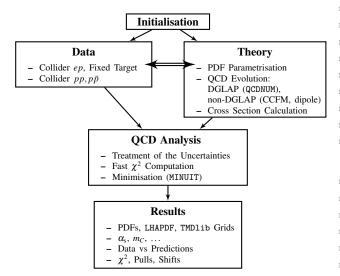


Fig. 1 Schematic structure of the HERAFitter program.

Experimental Data	Process	Reaction	Theory calculations, schemes
HERA, Fixed Target	DIS NC	ep  ightarrow eX	TR', ACOT, ZM (QCDNUM), FFN (OPENQCDRAD, QCDNUM), TMD (uPDFevolv)
HERA	DIS CC	$ep \rightarrow v_e X$	ACOT, ZM (QCDNUM), FFN (OPENQCDRAD)
	DIS jets	$ep \rightarrow e \text{ jets}X$	NLOJet++ (fastNLO)
	DIS heavy quarks	$ep \rightarrow ec\bar{c}X, \\ ep \rightarrow eb\bar{b}X$	TR', ACOT, ZM (QCDNUM), FFN (OPENQCDRAD, QCDNUM)
Tevatron, LHC	Drell-Yan	$pp(\bar{p}) \rightarrow l\bar{l}X, \\ pp(\bar{p}) \rightarrow l\nu X$	MCFM (APPLGRID)
	top pair	$pp(\bar{p}) \rightarrow t\bar{t}X$	MCFM (APPLGRID), HATHOR
	single top	$pp(\bar{p}) \rightarrow tlvX, \\ pp(\bar{p}) \rightarrow tX, \\ pp(\bar{p}) \rightarrow tWX$	MCFM (APPLGRID)
	jets	$pp(\bar{p}) \rightarrow \mathrm{jets}X$	NLOJet++ (APPLGRID), NLOJet++ (fastNLO)
LHC	DY+heavy quarks	$pp \rightarrow VhX$	MCFM (APPLGRID)

**Table 1** The list of experimental data and theory calculations implemented in the HERAFitter package. The references for the individual calculations and schemes are given in the text.

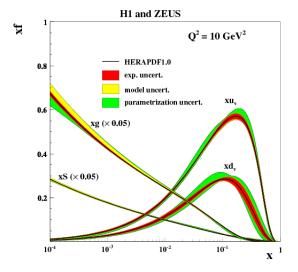
139 Data: Different measurements from various processes are implemented in the HERAFitter package including the full information on their uncorrelated and correlated uncertainties. HERA inclusive scattering data are sensitive to quark PDFs and to gluon PDFs through scaling violations and the longitudinal structure function  $F_L$ . These data are the backbone of any proton PDF extraction, and are used by all global PDF groups [11–15]. They can be supplemented by HERA measurements sensitive to heavy quarks and by HERA jet measurements, which have direct sensitivity to the gluon PDF. However, the kinematic range of HERA data mostly covers low and medium x ranges. Improvements in precision of PDFs require additional constraints on the gluon and quark distributions at high-x, better understanding of 153 heavy quark distributions and decomposition of the lightquark sea. For these purposes, measurements from the fixedtarget experiments, the Tevatron and the LHC can be used. The processes that are currently available in the HERAFitter 157 framework are listed in Tab. 1.

Theory: The PDFs are parametrised at a starting input scale,  $Q_0^2$ , by a chosen functional form with a set of free parameters  $\bf p$ . These PDFs are evolved to the scale of the measurement  $Q^2$ ,  $Q^2 > Q_0^2$ . The evolution uses the DGLAP formalism [16–20] (as implemented in QCDNUM [21]) by default, however CCFM evolution [22–25] is also available (as implemented in uPDFevolv [26]). The prediction of the cross section for a particular process is obtained, assuming factorisation, by the convolution of the evolved PDFs and the ap-

propriate hard-process parton scattering cross section. Ap- 193 propriate theory calculations are listed in Tab. 1. Alterna- 194 scale dependence or "evolution" of the PDFs can be pretively, predictions using dipole models [27–29] can also be 195 dicted by the renormalisation group equations. By requiring obtained.

QCD Analysis: The PDFs are determined by a least square fit, minimising a  $\chi^2$  function, constructed using the input data and theory predictions, with the MINUIT [30] program. In HERAFitter various choices are available to account for the experimental uncertainties. Correlated experimental uncertainties can be accounted for using a nuisance parameter method or a covariance matrix method as described in section 5.2. Different statistical assumptions for the distributions of the systematic uncertainties, like Gaussian or Log-Normal [31] can also be studied (see section 5.3).

Results: The resulting PDFs are provided in a format ready to be used by the LHAPDF library [32, 33] or by TMDlib [34]. HERAFitter drawing tools can be used to display the PDFs with their uncertainties at a chosen scale. As an example, the first set of PDFs extracted using HERAFitter from HERA I data, HERAPDF1.0 [35], is shown in Fig. 2 (taken from [35]). Note that the PDFs displayed are parton momentum distributions  $xf(x,\mu_F^2)$  since this is how PDFs are conventionally stored and displayed.



**Fig. 2** Distributions of valence  $(xu_v, xd_v)$ , sea (xS) and the gluon (g)densities in HERAPDF1.0 [35]. The gluon and the sea distributions are scaled down by a factor of 20. The experimental, model and parametrisation uncertainties are shown as coloured bands

### 190 3 Theoretical formalism using DGLAP evolution

In this section the theoretical formalism based on DGLAP 192 [16–20] evolution is described.

A direct consequence of factorisation (Eq. 1) is that the that physical observables are independent of  $\mu_{\rm F}$ , a representation of parton evolution in terms of the DGLAP equations is obtained:

$$\frac{d f_a(x, \mu_F^2)}{d \log \mu_F^2} = \sum_{b=a\bar{a}, e} \int_x^1 \frac{dz}{z} P_{ab} \left(\frac{x}{z}; \mu_F^2\right) f_b(z, \mu_F^2), \tag{2}$$

where the functions  $P_{ab}$  are the evolution kernels or splitting 200 functions, which represent the probability of finding parton a in parton b. They can be calculated as a perturbative 202 expansion in  $\alpha_s$ . Once PDFs are determined at the initial 203 scale  $\mu_F^2=Q_0^2$ , their evolution to any other scale  $Q^2>Q_0^2$ 204 is entirely determined by the DGLAP equations. The PDFs are then used to calculate cross sections for various different processes. Alternative approaches to DGLAP evolution, valid in different kinematic regimes, are also implemented in HERAFitter and will be discussed in section 6.

## 209 3.1 Deep Inelastic Scattering and Proton Structure

210 The formalism that relates the DIS measurements to pQCD and the PDFs has been described in detail in many extensive reviews (see e.g. Ref. [36]) and it is only briefly summarised here. DIS is the process where a lepton scatters off the partons in the proton by a virtual exchanged of a NC or CC vector boson and, as a result, a scattered lepton and a multi-hadronic final state are produced. The common DIS kinematic variables are the scale of the process  $Q^2$ , which is the absolute squared four-momentum of the exchange boson, Bjorken x, which can be related in the parton model to the fraction of momentum carried by the struck quark, and the inelasticity y. These are related by  $y = Q^2/sx$ , where s is the squared centre-of-mass (c.o.m.) energy.

The NC cross section can be expressed in terms of gener-224 alised structure functions:

$$\frac{d^2 \sigma_{NC}^{e^{\pm} p}}{dx dQ^2} = \frac{2\pi \alpha^2 Y_+}{x Q^4} \sigma_{r,NC}^{e^{\pm} p},\tag{3}$$

$$\sigma_{r,NC}^{e^{\pm}p} = \tilde{F}_2^{\pm} \mp \frac{Y_-}{Y_+} x \tilde{F}_3^{\pm} - \frac{y^2}{Y_+} \tilde{F}_L^{\pm}, \tag{4}$$

where  $Y_{\pm} = 1 \pm (1 - y)^2$  and the electromagnetic coupling constant  $\alpha$ , the photon propagator and a helicity factor are 227 factored out in the definition of the reduced cross section  $\sigma_r$ . The generalised structure functions  $\tilde{F}_{2,3}$  can be written as linear combinations of the proton structure functions  $F_2^{\gamma}$ ,  $F_{2,3}^{\gamma Z}$ and  $F_{2,3}^Z$ , which are associated with pure photon exchange terms, photon-Z interference terms and pure Z exchange terms, respectively. The structure function  $\tilde{F}_2$  is the dominant contribution to the cross section,  $x\tilde{F}_3$  becomes important at high

 $Q^2$  and  $\tilde{F}_L$  is sizable only at high y. In the framework of 280 calculation of the heavy quark contributions to DIS strucpQCD the structure functions are directly related to the PDFs, 281 ture functions are available at Next-to-Leading Order (NLO) i.e. at leading order (LO)  $F_2$  is the weighted momentum sum 282 and only electromagnetic exchange contributions are taken of quark and anti-quark distributions,  $xF_3$  is related to their 283 into account. In the OPENQCDRAD implementation the heavy difference, and  $F_L$  vanishes. At higher orders, terms related 284 quark contributions to CC structure functions are also availto the gluon distribution ( $\alpha_s g$ ) appear, in partic- 285 able and, for the NC case, the QCD corrections to the coefular  $F_L$  is strongly related to the low-x gluon.

case, can be expressed in terms of another set of structure 288 functions,  $\tilde{W}$ :

$$\frac{d^2 \sigma_{CC}^{e^{\pm} p}}{dx dQ^2} = \frac{1 \pm P}{2} \frac{G_F^2}{2\pi x} \left[ \frac{m_W^2}{m_W^2 + Q^2} \right] \sigma_{r,CC}^{e^{\pm} p}$$
 (5)

$$\sigma_{rCC}^{e^{\pm}p} = Y_{+}\tilde{W}_{2}^{\pm} \mp Y_{-}x\tilde{W}_{3}^{\pm} - y^{2}\tilde{W}_{L}^{\pm},\tag{6}$$

where P represents the lepton beam polarisation. At LO in  $\alpha_s$ , the CC  $e^+p$  and  $e^-p$  cross sections are sensitive to different combinations of the quark flavour densities.

Beyond LO, the QCD predictions for the DIS structure functions are obtained by convoluting the PDFs with appropriate hard-process scattering matrix elements, which are referred to as coefficient functions.

few GeV<sup>2</sup> to about 10<sup>5</sup> GeV<sup>2</sup>, crossing heavy-quark mass <sup>298</sup> details of this interpolation differ between different implethresholds, thus the treatment of heavy quark (charm and 299 mentations. The PDF groups that use GM-VFN schemes beauty) production and the chosen values of their masses become important. There are different schemes for the treatment of heavy quark production. Several variants of these schemes are implemented in HERAFitter and they are briefly<sub>302</sub> discussed below.

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## Zero-Mass Variable Flavour Number (ZM-VFN):

In this scheme [37], the heavy quarks appear as partons in 306 the proton at  $Q^2$  values above  $\sim m_h^2$  (heavy quark mass) and 307 they are then treated as massless in both the initial and fi- 308 nal states of the hard scattering process. The lowest order 309 process is the scattering of the lepton off the heavy quark 310 via electroweak boson exchange. This scheme is expected 311 to be reliable in the region with  $Q^2 \gg m_h^2$ . In HERAFitter 312 this scheme is available for the DIS structure function cal- 313 culation via the interface to the QCDNUM [21] package, thus 314 it benefits from the fast QCDNUM convolution engine.

### *Fixed Flavour Number (FFN)*:

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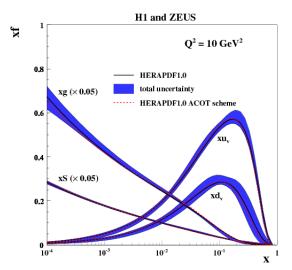
In this rigorous quantum field theory scheme [38–40], only 318 the gluon and the light quarks are considered as partons 319 within the proton and massive quarks are produced pertur- 320 batively in the final state. The lowest order process is the 321 heavy quark-antiquark pair production via boson-gluon fu- 322 sion. In HERAFitter this scheme can be accessed via the 323 QCDNUM implementation or through the interface to the open- 324 source code OPENQCDRAD [41], as implemented by the ABM 325 group. This scheme is reliable for  $Q^2 \sim m_h^2$ . In QCDNUM, the 326

286 ficient functions in Next-to-Next-to Leading Order (NNLO) The inclusive CC ep cross section, analogous to the NC ep 287 are provided at the best currently known approximation [42]. The OPENQCDRAD implementation also uses the running heavyquark mass in the  $\overline{MS}$  scheme [43].

> It is sometimes argued that this scheme reduces the sen-(5) 291 sitivity of the DIS cross sections to higher order corrections <sup>292</sup> [42]. It is also known to have smaller non-perturbative cor-(6) 293 rections than the pole mass scheme [44].

<sup>294</sup> General-Mass Variable Flavour Number (GM-VFN): <sup>295</sup> In these schemes [45], heavy quark production is treated for  $_{296}$   $Q^2 \sim m_h^2$  in the FFN scheme and for  $Q^2 \gg m_h^2$  in the mass-The DIS measurements span a large range of  $Q^2$  from <sup>297</sup> less scheme with a suitable interpolation in between. The are MSTW, CT (CTEQ), NNPDF, and HERAPDF. HERA-301 Fitter implements different variants of the GM-VFN scheme.

- GM-VFN Thorne-Roberts scheme: The Thorne-Roberts (TR) scheme [46] was designed to provide a smooth transition from the massive FFN scheme at low scales  $Q^2 \sim m_h^2$  to the massless ZM-VFNS scheme at high scales  $Q^2 \gg m_h^2$ . However, the original version was technically difficult to implement beyond NLO, and was updated to the TR' scheme [47]. There are two different variants of the TR' schemes: TR' standard (as used in MSTW PDF sets [11, 47]) and TR' optimal [48], with a smoother transition across the heavy quark threshold region. Both variants are accessible within the HERAFitter package at LO, NLO and NNLO.
- GM-VFN ACOT scheme: The Aivazis-Collins-Olness-Tung (ACOT) scheme belongs to the group of VFN factorisation schemes that use the renormalisation method of Collins-Wilczek-Zee (CWZ) [49]. This scheme unifies the low scale  $Q^2 \sim m_h^2$  and high scale  $Q^2 > m_h^2$  regions in a coherent framework across the full energy range. Within the ACOT package, different variants of the ACOT scheme are available: ACOT-Full [50], S-ACOT- $\chi$  [51, 52], ACOT-ZM [50],  $\overline{\text{MS}}$  at LO and NLO. For the longitudinal structure function higher order calculations are also available. A comparison of PDFs extracted from the QCD fits to the HERA data with the TR' and ACOT-Full schemes is illustrated in Fig. 3 (taken from [35]).



**Fig. 3** Overview showing the u- and d-valence, the total sea (scaled), and gluon (scaled) PDFs of the NLO HERAPDF1.0 set [35] with their total uncertainty at the scale of  $Q^2 = 10 \text{ GeV}^2$  obtained using the TR' scheme and compared to the PDFs obtained with the ACOT scheme 354 using the k-factor technique (red).

#### 3.2 Electroweak Corrections to DIS

Calculations of higher-order electroweak corrections to DIS scattering at HERA are available in HERAFitter in the onshell scheme. In this scheme the gauge bosons masses  $m_W$ and  $m_Z$  are treated as basic parameters together with the top, Higgs and fermion masses. These electroweak corrections are based on the EPRC package [53]. The code calculates the running of the electromagnetic coupling  $\alpha$  using the most recent parametrisation of the hadronic contribution [54], as well as an older version from Burkhard [55].

#### 3.3 Diffractive PDFs

About 10% of deep inelastic interactions at HERA are diffrac-  $^{^{366}}$ tive, such that the interacting proton stays intact  $(ep \rightarrow eXp)$ . The proton is well separated from the rest of the hadronic final state by a large rapidity gap. This is interpreted as the dissociation of the virtual photon into hadronic system X with an invariant mass much smaller than the photon-proton c.o.m. energy  $W = ys - Q^2 + m_p^2(1 - y)$ , where  $m_p$  is proton's mass. Such a process is often assumed to be mediated by the exchange of a hard Pomeron or a secondary Reggeon with vacuum quantum numbers. This factorisable Pomeron picture has proved remarkably successful in the description of most of the diffractive data. Diffractive parton distributions (DPDFs) can be determined from QCD fits to diffractive cross sections in a similar way to the determination of 375 where s is the squared c.o.m. beam energy, the parton mothe standard PDFs [56].

In addition to the usual DIS variables x,  $Q^2$ , extra kinematic variables are needed to describe the diffractive process. These are the squared four-momentum transfer of the exchange Pomeron or Reggeon, t, and the mass  $m_X$  of the diffractively produced final state. In practice, the variable  $m_X$  is often replaced by dimensionless quantity  $\beta = \frac{Q^2}{m_X^2 + Q^2 - t}$ In models based on a factorisable Pomeron,  $\beta$  may be viewed at LO as the fraction of the Pomeron longitudinal momentum,  $x_{IP}$ , which is carried by the struck parton,  $x = \beta x_{IP}$ , where P denotes the momentum of the proton.

For the inclusive case, the diffractive cross-section reads as:

$$\frac{d\sigma}{d\beta dQ^2 dx_{IP} dt} = \frac{2\pi\alpha^2}{\beta Q^4} \left(1 + (1-y)^2\right) \overline{\sigma}^{D(4)}(\beta, Q^2, x_{IP}, t) \tag{7}$$

with the "reduced cross-section":

$$\overline{\mathbf{\sigma}}^{D(4)} = F_2^{D(4)} - \frac{y^2}{1 + (1 - y)^2} F_L^{D(4)}. \tag{8}$$

The diffractive structure functions can be expressed as convolutions of calculable coefficient functions with the diffractive quark and gluon distribution functions, which in general depend on  $x_{IP}$ ,  $Q^2$ ,  $\beta$ , t.

The diffractive PDFs [57, 58] in HERAFitter are implemented as a sum of two factorised contributions:

$$\Phi_{IP}(x_{IP},t) f_a^{IP}(\beta,Q^2) + \Phi_{IR}(x_{IP},t) f_a^{IR}(\beta,Q^2),$$
 (9)

where  $\Phi(x_{I\!P},t)$  are the Reggeon and Pomeron fluxes. The Reggeon PDFs,  $f_a^{IR}$  are fixed as those of the pion, while the Pomeron PDFs,  $f_a^{IP}$ , can be obtained from a fit to the data.

### 3.4 Drell-Yan Processes in pp or $p\bar{p}$ Collisions

Drell-Yan (DY) process provides further valuable information about PDFs. In pp and  $p\bar{p}$  scattering, the  $Z/\gamma^*$  and W production probe bi-linear combinations of quarks. Complementary information on the different quark densities can be obtained from the  $W^{\pm}$  asymmetry (d, u and their ratio), the ratio of the W and Z cross sections (sensitive to the flavour composition of the quark sea, in particular to the s-quark distribution), and associated W and Z production with heavy quarks (sensitive to c- and b-quark densities). Measurements at large boson transverse momentum  $p_T \gtrsim m_{W,Z}$  are potentially sensitive to the gluon distribution [59].

At LO the DY NC triple differential cross section in invariant mass m, boson rapidity y and lepton scattering angle  $\cos \theta$  in the parton c.o.m. frame can be written as [60, 61]:

$$\frac{d^3\sigma}{dmdyd\cos\theta} = \frac{\pi\alpha^2}{3ms} \sum_{q} \hat{\sigma}^q(\cos\theta, m) \times \left[ f_q(x_1, m^2) f_{\bar{q}}(x_2, m^2) + (q \leftrightarrow \bar{q}) \right], \quad (10)$$

mentum fractions are given by  $x_{1,2} = \frac{m}{\sqrt{s}} \exp(\pm y), f_q(x_1, m^2)$ 

are the PDFs at the scale of the invariant mass, and  $\hat{\sigma}^q$  is the 419 3.6 Top-quark Production in pp or  $p\bar{p}$  Collisions parton-parton hard scattering cross section.

$$\frac{d^{3}\sigma}{dmdyd\cos\theta} = \frac{\pi\alpha^{2}}{48s\sin^{4}\theta_{W}} \frac{m^{3}(1-\cos\theta)^{2}}{(m^{2}-m_{W}^{2}) + \Gamma_{W}^{2}m_{W}^{2}} \times \sum_{q_{1},q_{2}} V_{q_{1}q_{2}}^{2} f_{q_{1}}(x_{1},m^{2}) f_{q_{2}}(x_{2},m^{2}),$$
(11)

where  $V_{q_1q_2}$  is the Cabibbo-Kobayashi-Maskawa (CKM) quark<sup>9</sup> to HERAFitter with fast grid techniques. mixing matrix and  $m_W$  and  $\Gamma_W$  are the W boson mass and decay width, respectively.

The simple LO form of these expressions allows analytic calculation of integrated cross sections. In both NC and CC expressions the PDFs depend only on the boson rapidity y and invariant mass m, while the integral in  $\cos \theta$  can be evaluated analytically even for the case of realistic kinematic cuts.

Beyond LO, the calculations are often time-consuming and Monte Carlo generators are often employed. Currently, 437 Precise measurements require accurate theoretical predicthe predictions for W and  $Z/\gamma^*$  production are available up 438 tions in order to maximise their impact in PDF fits. Perturbato NNLO and the predictions for W, Z in association with  $_{439}$  tive calculations become more complex and time-consuming heavy flavour quarks is available to NLO.

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retical predictions for DY production in HERAFitter. The 442 demanding higher-order calculations into iterative fits is thus NLO and NNLO calculations are computing power and time 443 not possible currently since even the most advanced perconsuming and k-factor or fast grid techniques must be em- 444 turbative techniques in combination with modern computployed (see section 4 for details), interfaced to programs 445 ing hardware do not lead to sufficiently small turn-around such as MCFM [62-64], available for NLO calculations, or 446 times. However, a full repetition of the perturbative calcula-FEWZ [65] and DYNNLO [66] for NLO and NNLO.

### 3.5 Jet Production in ep and pp or $p\bar{p}$ Collisions

The cross section for production of high  $p_T$  hadronic jets 4.1 k-factor Technique is sensitive to the high-x gluon PDF (see e.g. Ref. [11]) therefore this process can be used to improve the determi- 453 The k-factors are defined as the ratio of the prediction of a nation of the gluon PDF, which is particularly important for 454 higher-order (slow) pQCD calculation to a lower-order (fast) Higgs production and searches for new physics. Jet pro- 455 calculation using the same PDF. Because the k-factors deduction cross sections are currently known only to NLO, 456 pend on the phase space probed by the measurement, they although calculations for higher-order contributions to jet 457 have to be stored including their dependence on the relevant production in pp collisions are now quite advanced [67-458 kinematic variables. Before the start of a fitting procedure, a 69]. Within HERAFitter, the NLOJet++ program [70, 71] 459 table of k-factors is computed once for a fixed PDF with the may be used for calculations of jet production. Similarly to 460 time consuming higher-order code. In subsequent iteration the DY case, the calculation is very demanding in terms of 461 steps the theory prediction is derived from the fast lowercomputing power. Therefore fast grid techniques are used 462 order calculation by multiplying the pre-tabulated k-factors. to facilitate the QCD analyses including jet cross section 463 measurements in ep, pp and  $p\bar{p}$  collisions (for details see 464 factors are PDF dependent, and as a consequence, they have section 4).

420 At the LHC top-quark pairs  $(t\bar{t})$  are produced dominantly The corresponding CC triple differential cross section has  $^{421}$  via gg fusion. Thus LHC measurements of the  $t\bar{t}$  cross sec-422 tions can provide additional constraints on the gluon distribution at medium to high values of x, on  $\alpha_s$  and on the top-quark mass,  $m_t$  [72]. Precise predictions for the total  $t\bar{t}$ cross section are available to full NNLO [73]. They can be 426 computed within HERAFitter via an interface to the program HATHOR [74]. Differential  $t\bar{t}$  cross section predictions at NLO can be obtained using MCFM [64, 75–78] interfaced

> Single top quarks are produced via electroweak interactions and the measurement of their production cross section  $^{432}$  can be used, for example, to probe the ratio of the u and ddensities in the proton as well as the b-quark PDF. Predic-434 tions for single-top production are available to NLO accu-435 racy using MCFM.

## 436 4 Computational Techniques

at higher orders due to the increasing number of relevant There are several possibilities for obtaining the theo- 441 Feynman diagrams. The direct inclusion of computationally 447 tion for small changes in input parameters is not necessary at each step of the iteration. Two methods have been developed which take advantage of this to solve the problem: 450 the k-factor technique and the fast grids technique. Both are 451 available in HERAFitter.

This procedure, however, neglects the fact that the kto be re-evaluated for the newly determined PDF at the end 470

until input and output k-factors have converged. In summary, 518 extended to arbitrary processes. This requires an interface this technique avoids iteration of the higher-order calcula- 519 between the higher-order theory programs and the fast inter-

In HERAFitter the k-factor technique is also used for 521 package are as follows: the fast computation of the time-consuming GM-VFN schemes for heavy quarks in DIS. "FAST" heavy-flavour schemes are implemented with k-factors defined as the ratio of calcula-523 tions at the same perturbative order but for massive vs. mass-524 less quarks, e.g. NLO (massive)/NLO (massless). These k- 525 factors are calculated only for the starting PDF and hence, 526 the "FAST" heavy flavour schemes should only be used for quick checks. Full heavy flavour schemes should be used 528 by default. However, for the ACOT scheme, due to exceptionally long computation time, the k-factors are used in the default settings in HERAFitter.

### 4.2 Fast Grid Techniques

Fast grid techniques exploit the fact that iterative PDF fitting procedures do not impose completely arbitrary changes to the types and shapes of the parameterised functions that 538 represent each PDF. Instead, it can be assumed that a generic PDF can be approximated by a set of interpolating functions with a sufficient number of judiciously chosen support points. The accuracy of this approximation is checked and optimised such that the approximation bias is negligibly 543 small compared to the experimental and theoretical accuracy. This method can be used to perform the time consuming higher-order calculations (Eq. 1) only once for the set of 546 interpolating functions. Further iterations of the calculation 547 for a particular PDF set are fast, involving only sums over 548 the set of interpolators multiplied by factors depending on 540 the PDF. This approach can be used to calculate the cross sections of processes involving one or two hadrons in the initial state and to assess their renormalisation and factorisation scale variation.

This technique was pioneered by the fastNLO project [79], 54 to facilitate the inclusion of time consuming NLO jet cross 555 section predictions into PDF fits. The APPLGRID [80] project section developed an alternative method and, in addition to jets, extended its applicability to other scattering processes, such 558 as DY and heavy quark pair production in association with boson production. The packages differ in their interpolation  $_{560}$ and optimisation strategies, but both of them construct tables with grids for each bin of an observable in two steps: 562 in the first step, the accessible phase space in the parton momentum fractions x and the renormalisation and factorisation scales  $\mu_R$  and  $\mu_F$  is explored in order to optimise the 563 5 Fit Methodology table size. In the second step the grid is filled for the requested observables. Higher-order cross sections can then be 564 When performing a QCD analysis to determine PDFs there obtained very efficiently from the pre-produced grids while 505 are various assumptions and choices to be made concerning,

of the fit for a consistency check. The fit must be repeated 517 strong coupling  $\alpha_s(\mu_R)$ . This approach can in principle be tion at each step, but still requires typically a few iterations. 520 polation frameworks. Currently available processes for each

> The fastNLO project [79] has been interfaced to the NLOJet++ program [70] for the calculation of jet production in DIS [81] as well as 2- and 3-jet production in hadron-hadron collisions at NLO [71, 82]. Threshold corrections at 2-loop order, which approximate the NNLO for the inclusive jet cross section, have also been included into the framework [83] following Ref. [84]. The latest version of the fastNLO convolution program [85] allows for the creation of tables in which renormalisation and factorisation scales can be varied as a function of two pre-defined observables, e.g. jet transverse momentum  $p_{\perp}$  and Q for DIS. Recently, the differential calculation of top-pair production in hadron collisions at approximate NNLO [86] has been interfaced to fastNLO. The fastNLO code is available online [87]. Jet cross-section grids computed for the kinematics of various experiments can be downloaded from this site. Dedicated fastNLO libraries and tables with theory predictions for comparison to particular cross section measurements are included into the HERAFitter package. For the HERAFitter implementation, the evaluation of the strong coupling constant is done consistently with the PDF evolution from the QCDNUM code.

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In the APPLGRID package [80, 88], in addition to jet cross sections for  $pp(p\bar{p})$  and DIS processes, calculations of DY production are also implemented. The grids are generated with the customised versions of the MCFM parton level DY generator [62-64]. Variation of the renormalisation and factorisation scales is possible a posteriori, when calculating theory predictions with the APPL-GRID tables, and independent variation of  $\alpha_S$  is also allowed. For higher-order predictions, the k-factors technique can be also applied within the APPLGRID frame-

As an example, the HERAFitter interface to APPLGRID was used by the ATLAS [89] and CMS [90] collaborations to extract the strange quark distribution of the proton. The ATLAS strange PDF extracted employing these techniques is displayed in Fig. 4 together with a comparison to the global PDF sets CT10 [12] and NNPDF2.1 [13] (taken from [89]).

varying externally provided PDF sets,  $\mu_R$  and  $\mu_F$ , or the 566 for example, the functional form of the input parametrisa-

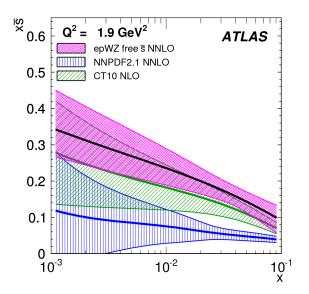


Fig. 4 The strange antiquark distribution versus x for the ATLAS epWZ free \$\bar{s}\$ NNLO fit [89] (magenta band) compared to predictions from NNPDF2.1 (blue hatched) and CT10 (green hatched) at  $Q^2 = 1.9 \text{ GeV}^2$ . The ATLAS fit was performed using a k-factor ap- 600 This function can be regarded as a generalisation of the stanproach for NNLO corrections.

tion, the treatment of heavy quarks and their mass values, alternative theoretical calculations, alternative representations of the fit  $\chi^2$ , different ways of treating correlated systemframework, and HERAFitter is optimally designed for such tests. The methodology employed by HERAFitter relies on a flexible and modular framework that allows for independent integration of the state-of-the-art techniques, either related to the inclusion of a new theoretical calculation, or of new approaches to treat data and their uncertainties.

In this section we describe the available options for the fit methodology in HERAFitter. In addition, as an alternative approach to a complete QCD fit, the Bayesian reweighting method, which is also available in HERAFitter, is described.

## 5.1 Functional Forms for PDF Parametrisation

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The PDFs can be parametrised using several predefined functional forms and different flavour decompositions:

Standard Polynomials: The standard polynomial form is the most commonly used. A polynomial functional form is used 620 External PDFs: HERAFitter also provides the possibility to parametrise the x-dependence of the PDFs, where index j 621 to access external PDF sets, which can be used to compute denotes each parametrised PDF flavour:

$$xf_j(x) = A_j x^{B_j} (1-x)^{C_j} P_j(x).$$
 (12)

The parametrised PDFs are the valence distributions  $xu_y$  and  $xd_v$ , the gluon distribution xg, and the u-type and d-type sea, 588  $x\bar{U}, x\bar{D}$ , where  $x\bar{U} = x\bar{u}, x\bar{D} = x\bar{d} + x\bar{s}$  at the starting scale, which is chosen below the charm mass threshold. The form of polynomials  $P_i(x)$  can be varied. The form  $(1 + \varepsilon_i \sqrt{x} +$  $D_i x + E_i x^2$  is used for the HERAPDF [35] with additional constraints relating to the flavour decomposition of the light sea. This parametrisation is termed HERAPDF-style. The polynomial can also be parametrised in the CTEQ-style, where  $P_i(x)$  takes the form  $e^{a_3x}(1+e^{a_4}x+e^{a_5}x^2)$  and, in contrast to the HERAPDF-style, this is positive by construction. QCD number and momentum sum rules are used to determine the normalisations A for the valence and gluon distributions, and the sum-rule integrals are solved analytically.

Bi-Log-Normal Distributions: This parametrisation is motivated by multi-particle statistics and has the following functional form:

$$x f_i(x) = a_i x^{p_j - b_j \log(x)} (1 - x)^{q_j - d_j \log(1 - x)}.$$
 (13)

dard polynomial form described above, however, numerical integration of Eq. 13 is required in order to impose the QCD 603 sum rules.

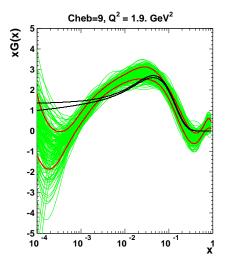
604 Chebyshev Polynomials: A flexible parametrisation based atic uncertainties. It is useful to be able to discriminate or 605 on the Chebyshev polynomials can be employed for the gluon quantify the effect of the chosen ansatz, within a common  $\frac{1}{100}$  and sea distributions. Polynomials with argument  $\log(x)$  are considered for better modelling the low-x asymptotic behaviour of those PDFs. The polynomials are multiplied by a factor of (1-x) to ensure that they vanish as  $x \to 1$ . The 610 resulting parametric form reads

$$xg(x) = A_g(1-x) \sum_{i=0}^{N_g-1} A_{g_i} T_i \left( -\frac{2\log x - \log x_{\min}}{\log x_{\min}} \right), \quad (14)$$

$$xS(x) = (1 - x) \sum_{i=0}^{N_S - 1} A_{S_i} T_i \left( -\frac{2 \log x - \log x_{\min}}{\log x_{\min}} \right), \qquad (15)$$

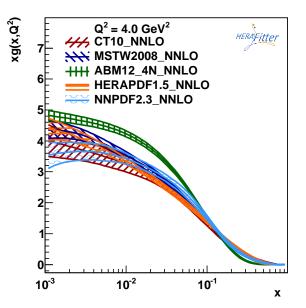
where  $T_i$  are first-type Chebyshev polynomials of order i. The normalisation factor  $A_g$  is derived from the momentum sum rule analytically. Values of  $N_{g,S}$  to 15 are allowed, however the fit quality is already similar to that of the standardpolynomial parametrisation from  $N_{g,S} \ge 5$  and has a similar number of free parameters. Fig. 5 (taken from [91]) shows a comparison of the gluon distribution obtained with the parametrisation Eqs. 14, 15 to the standard-polynomial one, for  $N_{g,S} = 9$ .

622 theoretical predictions for the cross sections for all the processes available in HERAFitter. This is possible via an in-(12) 624 terface to LHAPDF [32, 33] providing access to the global



**Fig. 5** The gluon density is shown at the starting scale  $Q^2 = 1.9 \, \text{GeV}^2$ . The black lines correspond to the uncertainty band of the gluon distribution using a standard parametrisation and it is compared to the case of the Chebyshev parametrisation [91]. The uncertainty band for the latter case is estimated using the Monte Carlo technique (see section 5.3) with the green lines denoting fits to data replica. Red lines indicate the standard deviation about the mean value of these replicas.

PDF sets. HERAFitter also allows one to evolve PDFs from LHAPDF with QCDNUM using the corresponding grids as a starting scale. Fig. 6 illustrates a comparison of various gluon PDFs accessed from LHAPDF as produced with the drawing tools available in HERAFitter.



**Fig. 6** The gluon PDF as extracted by various PDF groups at the scale of  $Q^2=4~{\rm GeV}^2$ , plotted using the drawing tools from HERAFitter.

# 5.2 Representation of $\chi^2$

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The PDF parameters are determined in HERAFitter by minimisation of the  $\chi^2$  function taking into account correlated and uncorrelated measurement uncertainties. There are various forms of the  $\chi^2$  e.g. using a covariance matrix or providing nuisance parameters to encode the dependence of each correlated systematic uncertainty for each measured data point. The options available in HERAFitter are the following:

Covariance Matrix Representation: For a data point  $\mu_i$  with a corresponding theory prediction  $m_i$ , the  $\chi^2$  function can be expressed in the following form:

$$\chi^{2}(m) = \sum_{i,k} (m_{i} - \mu_{i}) C_{ik}^{-1}(m_{k} - \mu_{k}), \tag{16}$$

where the experimental uncertainties are given as a covariance matrix  $C_{ik}$  for measurements in bins i and k. The covariance matrix  $C_{ik}$  is given by a sum of statistical, uncorrelated and correlated systematic contributions:

$$C_{ik} = C_{ik}^{stat} + C_{ik}^{uncor} + C_{ik}^{sys}. (17)$$

Using this representation one cannot distinguish the separate effect of each source of systematic uncertainty.

Nuisance Parameters Representation: In this case the  $\chi^2$  form is expressed as

$$\chi^{2}(m,b) = \sum_{i} \frac{\left[\mu_{i} - m_{i} \left(1 - \sum_{j} \gamma_{j}^{i} b_{j}\right)\right]^{2}}{\delta_{i,\text{unc}}^{2} m_{i}^{2} + \delta_{i,\text{stat}}^{2} \mu_{i} m_{i} \left(1 - \sum_{j} \gamma_{j}^{i} b_{j}\right)} + \sum_{j} b_{j}^{2},$$
(18)

where,  $\delta_{i,\text{stat}}$  and  $\delta_{i,\text{unc}}$  are relative statistical and uncorrelated systematic uncertainties of the measurement i. Further,  $\gamma^i_j$  quantifies the sensitivity of the measurement to the correlated systematic source j. The function  $\chi^2$  depends in addition on the set of systematic nuisance parameters  $b_j$ . This definition of the  $\chi^2$  function assumes that systematic uncertainties are proportional to the central prediction values (multiplicative errors), whereas the statistical uncertainties scale with the square root of the expected number of events.

During the  $\chi^2$  minimisation, the nuisance parameters  $b_j$  and the PDFs are determined, such that the effect of different sources of systematic uncertainties can be distinguished.

Mixed Form Representation: In some cases, the statistical and systematic uncertainties of experimental data are provided in different forms. For example, the correlated experimental systematic uncertainties are available as nuisance parameters but the bin-to-bin statistical correlations are given in the form of covariance matrix. HERA-Fitter offers the possibility to include such mixed forms of information

Any source of measured systematic uncertainty can be treated 720 as additive (i.e. as absolute uncertainty) or multiplicative 721 (i.e. as a relative uncertainty). The statistical uncertainties 722 can be included as additive or following the Poisson statis- 723 tics. Minimisation with respect to nuisance parameters is 724 performed analytically, however for more detailed studies of correlations individual nuisance parameters can be included in the MINUIT minimisation.

## 5.3 Treatment of the Experimental Uncertainties

Three distinct methods for propagating experimental uncertainties to PDFs are implemented in HERAFitter and reviewed here: the Hessian, Offset, and Monte Carlo method.

Hessian (Eigenvector) method: The PDF uncertainties reflecting the data experimental uncertainties are estimated by examining the shape of  $\chi^2$  in the neighbourhood of the minimum [92]. Following approach of Ref. [92], the Hessian matrix is defined by the second derivatives of  $\chi^2$  on the fitted PDF parameters. The matrix is diagonalised and the Hessian eigenvectors are computed. Due to orthogonality, these vectors correspond to independent sources of uncertainty in the obtained PDFs.

Offset method: The Offset method [93] uses the  $\chi^2$  function for the central fit, however only uncorrelated uncertainties are taken into account. The goodness of the fit can no longer be judged from the  $\chi^2$  since correlated uncertainties are ignored. The correlated uncertainties are propagated into the PDF uncertainties by performing variants of the fit with the experimental data varied by  $\pm 1\sigma$  from the central value for each systematic source. The resulting deviations of the PDF parameters from the ones obtained in the central fit are statistically independent, and they can be combined in quadrature to arrive the total PDF systematic uncertainty.

The uncertainties estimated by the offset method are gen- 733 erally larger than those from the Hessian method.

Monte Carlo method: The Monte Carlo (MC) technique [94, 95] can also be used to determine PDF uncertainties. The uncertainties are estimated using pseudo-data replicas (typically > 100) randomly generated from the measurement central values and their systematic and statistical uncertainties taking into account all point-to-point correlations. The QCD fit is performed for each replica and the PDF central values and their experimental uncertainties are estimated from the distribution of the PDF parameters obtained in these fits, by taking the mean values and standard deviations over the replicas.

The MC method has been checked against the standard error estimation of the PDF uncertainties obtained by the Hessian method. A good agreement was found between the methods provided that Gaussian distributions of statistical and systematic uncertainties are assumed in the MC approach [31]. A comparison is illustrated in Fig. 7. Similar findings were reported by the MSTW global analysis [96].

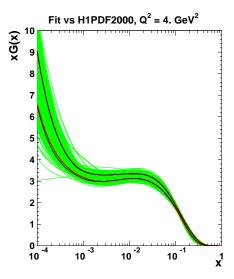


Fig. 7 Comparison between the standard error calculations as employed by the Hessian approach (black lines) and the MC approach (with more than 100 replicas) assuming Gaussian distribution for uncertainty distributions, shown here for each replica (green lines) together with the evaluated standard deviation (red lines) [31]. The black and red lines in the figure are superimposed because agreement of the methods is so good that it is hard to distinguish them.

Since the MC method requires large number of replicas, the eigenvector representation is a more convenient way to store the PDF uncertainties. It is possible to transform MC to eigenvector representation as shown by [97]. Tools to perform this transformation are provided with HERA-Fitter and were recently employed for the representation of correlated sets of PDFs at different perturbative orders [98].

The nuisance parameter representation of  $\chi^2$  in Eq. 18 is derived assuming symmetric experimental errors, however, the published systematic uncertainties are often asymmetric. HERAFitter provides the possibility to use asymmetric systematic uncertainties. The implementation relies on the assumption that asymmetric uncertainties can be described by a parabolic function. The nuisance parameter in Eq. 18 is modified as follows

$$\gamma_i^i \to \omega_i^i b_j + \gamma_i^i,$$
 (19)

where the coefficients  $\omega_j^i$ ,  $\gamma_j^i$  are defined from the maximum and minimum shifts of the cross sections due to variaion of the systematic uncertainty j,  $S_{ij}^{\pm}$ ,

$$\omega_{j}^{i} = \frac{1}{2} \left( S_{ij}^{+} + S_{ij}^{-} \right), \qquad \gamma_{j}^{j} = \frac{1}{2} \left( S_{ij}^{+} - S_{ij}^{-} \right).$$
 (20)

### 5.4 Treatment of the Theoretical Input Parameters

The results of a QCD fit depend not only on the input data but also on the input parameters used in the theoretical calculations. Nowadays, PDF groups address the impact of the choices of theoretical parameters by providing alternative PDFs with different choices of the mass of the charm quarks,  $m_c$ , mass of the bottom quarks,  $m_b$ , and the value of  $\alpha_s(m_Z)$ . Other important aspects are the choice of the functional form for the PDFs at the starting scale and the value of the starting scale itself. HERAFitter provides the possibility of different user choices of all these inputs.

## 5.5 Bayesian Reweighting Techniques

As an alternative to performing a full QCD fit, HERAFitter allows the user to assess the impact of including new data by introducing Gaussian fluctuations on the central PDF set 771 reweighted set. Instead a full refit should be performed. with a variance determined by the PDF uncertainty given by the eigenvectors. Both reweighting methods are implemented in HERAFitter.

The Bayesian Reweighting technique relies on the fact average of the predictions obtained from the ensemble as

$$\langle \mathcal{O}(\{f\}) \rangle = \frac{1}{N_{\text{rep}}} \sum_{k=1}^{N_{\text{rep}}} \mathcal{O}(f^k),$$
 (21)

and the uncertainty as the standard deviation of the sample.

Upon inclusion of new data the prior probability distri- 782 6.1 Dipole Models bution, given by the prior PDF set, is updated according to

$$w_k = \frac{(\chi_k^2)^{\frac{1}{2}(N_{\text{data}} - 1)} e^{-\frac{1}{2}\chi_k^2}}{\frac{1}{N_{\text{rep}}} \sum_{k=1}^{N_{\text{rep}}} (\chi_k^2)^{\frac{1}{2}(N_{\text{data}} - 1)} e^{-\frac{1}{2}\chi_k^2}},$$
(22)

the chi-square of the new data obtained using the k-th PDF  $_{791}$  interaction are embedded in a dipole scattering amplitude.

replica. Given a PDF set and a corresponding set of weights, which describes the impact of the inclusion of new data, the prediction for a given observable after inclusion of the new data can be computed as the weighted average,

$$\langle \mathcal{O}(\{f\}) \rangle = \frac{1}{N_{\text{rep}}} \sum_{k=1}^{N_{\text{rep}}} w_k \mathcal{O}(f^k).$$
 (23)

To simplify the use of reweighted set, an unweighted set (i.e. a set of equiprobable replicas which incorporates the information contained in the weights) is generated according to the unweighting procedure described in [99]. The number of effective replicas of a reweighted set is measured by its Shannon Entropy [100]

$$N_{\rm eff} \equiv \exp\left\{\frac{1}{N_{\rm rep}} \sum_{k=1}^{N_{\rm rep}} w_k \ln(N_{\rm rep}/w_k)\right\},\tag{24}$$

in an existing fit using the Bayesian Reweighting technique. 762 which corresponds to the size of a refitted equiprobable replica The method provides a fast estimate of the impact of new 763 set containing the same amount of information. This number data on PDFs. Bayesian Reweighting was first proposed for  $_{764}$  of effective replicas,  $N_{\rm eff}$ , gives an indicative measure of the PDF sets delivered in the form of MC replicas by [94] and 765 optimal size of an unweighted replica set produced using the further developed by the NNPDF Collaboration [99, 100]. 766 reweighting/unweighting procedure. No extra information is More recently, a method to perform Bayesian Reweighting 767 gained by producing a final unweighted set that has a numstudies starting from PDF fits for which uncertainties are  $_{768}$  ber of replicas (significantly) larger than  $N_{\rm eff}$ . If  $N_{\rm eff}$  is much provided in the eigenvector representation has been also de- 769 smaller than the original number of replicas the new data veloped [96]. The latter is based on generating replica sets 770 have great impact, however it is unreliable to use the new

## 772 6 Alternatives to DGLAP Formalism

that MC replicas of a PDF set give a representation of the 773 QCD calculations based on the DGLAP [16-20] evolution probability distribution in the space of PDFs. In particular, 774 equations are very successful in describing all relevant hard the PDFs are represented as ensembles of  $N_{\text{rep}}$  equiprobable 775 scattering data in the perturbative region  $Q^2 \gtrsim \text{few GeV}^2$ . At (i.e. having all weight equal to unity) replicas,  $\{f\}$ . The cen- 776 small-x and small- $y^2$  DGLAP dynamics may be modified tral value for a given observable,  $\mathcal{O}(\{f\})$ , is computed as the  $\pi\pi$  by saturation and other (non-perturbative) higher-twist ef-<sup>778</sup> fects. Different approaches that are alternatives to the DGLAP formalism can be used to analyse DIS data in HERAFitter.  $(21) \begin{array}{l} \mbox{\tiny 780} \ \ These \ include \ several \ dipole \ models \ and \ the \ use \ of \ trans-} \\ \mbox{\tiny 781} \ \ verse \ momentum \ dependent, or unintegrated PDFs (uPDFs).} \end{array}$ 

Bayes Theorem such that the weight of each replica,  $w_k$ , is 783 The dipole picture provides an alternative approach to protonvirtual photon scattering at low x which can be applied to 785 both inclusive and diffractive processes. In this approach, (22) <sup>786</sup> the virtual photon fluctuates into a  $q\bar{q}$  (or  $q\bar{q}g$ ) dipole which interacts with the proton [101, 102]. The dipoles can be con-788 sidered as quasi-stable quantum mechanical states, which where  $N_{\text{data}}$  is the number of new data points, k denotes the 189 have very long life time  $\propto 1/m_p x$  and a size which is not specific replica for which the weight is calculated and  $\chi_k^2$  is 790 changed by scattering with the proton. The dynamics of the

of the dipole-proton cross section are implemented in HERA- 835 tion. Fitter: the Golec-Biernat-Wüsthoff (GBW) dipole saturation model [27], a modified GBW model which takes into account the effects of DGLAP evolution, termed the Bartels-Golec-Kowalski (BGK) dipole model [29] and the colour glass condensate approach to the high parton density regime, termed the Iancu-Itakura-Munier (IIM) dipole model [28].

GBW model: In the GBW model the dipole-proton cross section  $\sigma_{\rm dip}$  is given by

$$\sigma_{\text{dip}}(x, r^2) = \sigma_0 \left( 1 - \exp\left[ -\frac{r^2}{4R_0^2(x)} \right] \right), \tag{25}$$

the quark and the antiquark, and  $R_0^2$  is an x-dependent scale 841 butions [118–120] with medium-x and large-x contributions parameter which represents the spacing of the gluons in the 842 to parton splitting [16, 19, 20] according to the CCFM evoproton.  $R_0^2$  takes the form,  $R_0^2(x) = (x/x_0)^{\lambda} 1/\text{GeV}^2$ , and is 843 lution equation [24, 121, 122]. called the saturation radius. The cross-section normalisation 844 the DIS data. This model gives exact Bjorken scaling when 846 in perturbation theory, both in the hard scattering coeffithe dipole size r is small.

BGK model: The BGK model is a modification of the GBW 849 torisation scheme [123, 124]. model assuming that the spacing  $R_0$  is inverse to the gluon 850 distribution and taking into account the DGLAP evolution scheme, using the boson-gluon fusion process ( $\gamma^* g^* \to q\bar{q}$ ). of the latter. The gluon distribution, parametrised at some 852 The masses of the quarks are explicitly included as paramstarting scale by Eq. 12, is evolved to larger scales using 853 eters of the model. In addition to  $\gamma^* g^* \to q\bar{q}$ , the contribu-DGLAP evolution.

BGK model with valence quarks: The dipole models are valid in the low-x region only, where the valence quark con- 856 CCFM Grid Techniques: The CCFM evolution cannot be ments have a precision which is better than 2%. Therefore, 859 HERAFitter provides the option of taking into account the  $_{860}$ contribution of the valence quarks

IIM model: The IIM model assumes an expression for the  $_{863}$  a non-perturbative starting distribution  $\mathcal{A}_0(x)$ dipole cross section which is based on the Balitsky-Kovchegov equation [104]. The explicit formula for  $\sigma_{dip}$  can be found in [28]. The alternative scale parameter  $\tilde{R}$ ,  $x_0$  and  $\lambda$  are fitted parameters of the model.

## 6.2 Transverse Momentum Dependent PDFs

QCD calculations of multiple-scale processes and complex 867 evolution. It is defined on a grid of  $50 \otimes 50 \otimes 50$  bins in final-states can necessitate the use of transverse-momentum  $sos x, k_t, p$ . The binning in the grid is logarithmic, except for dependent (TMD) [8], or unintegrated, parton distribution we the longitudinal variable x for which 40 bins in logarithmic and parton decay functions [105–113]. TMD factorisation 870 spacing below 0.1, and 10 bins in linear spacing above 0.1 has been proven recently [8] for inclusive DIS. TMD fac- 871 are used. torisation has also been proven in the high-energy (small- 872

Several dipole models which assume different behaviour 834 processes, like heavy flavor, vector boson and Higgs produc-

In the framework of high-energy factorisation [114, 116, 117] the DIS cross section can be written as a convolution in both longitudinal and transverse momenta of the TMD parton distribution function  $\mathcal{A}(x, k_t, \mu_F^2)$  with the off-shell parton scattering matrix elements, as follows

$$\sigma_j(x,Q^2) = \int_x^1 dz \int d^2k_t \ \hat{\sigma}_j(x,Q^2,z,k_t) \ \mathscr{A}(z,k_t,\mu_F^2)$$
 (26)

with the DIS cross sections  $\sigma_j$  (j = 2, L), related to the structure functions  $F_2$  and  $F_L$ . The hard-scattering kernels  $\hat{\sigma}_i$  of (25) 838 Eq. 26, are  $k_t$ -dependent and the evolution of the transversemomentum dependent gluon distribution  $\mathscr A$  is obtained by where r corresponds to the transverse separation between 840 combining the resummation of small-x logarithmic contri-

The factorisation formula (26) allows resummation of  $\sigma_0$ ,  $x_0$ , and  $\lambda$  are parameters of the model commonly fitted to 845 logarithmically enhanced small-x contributions to all orders 847 cients and in the parton evolution, fully taking into account the dependence on the factorisation scale  $\mu_F$  and on the fac-

> The cross section  $\sigma_j$ , (j = 2, L) is calculated in a FFN tion from valence quarks is included via  $\gamma^* q \to q$  by using a 855 CCFM evolution of valence quarks [125, 126].

tribution to the total proton momentum is 5% to 15% for x 857 written easily in an analytic closed form. For this reason a from 0.0001 to 0.01 [103]. The inclusive HERA measure- 858 MC method is employed, which is however time-consuming, and thus cannot be used directly in a fit program.

> Following the convolution method introduced in [126, 127], the kernel  $\tilde{\mathscr{A}}(x'', k_t, p)$  is determined from the MC solution of the CCFM evolution equation, and then folded with

$$x\mathscr{A}(x,k_t,p) = x \int dx' \int dx'' \mathscr{A}_0(x') \widetilde{\mathscr{A}}(x'',k_t,p) \, \delta(x'x''-x)$$
$$= \int dx' \mathscr{A}_0(x') \frac{x}{x'} \, \widetilde{\mathscr{A}}\left(\frac{x}{x'},k_t,p\right), \tag{27}$$

where  $k_t$  denotes the transverse momentum of the propagator gluon and p is the evolution variable.

The kernel  $\tilde{\mathscr{A}}$  incorporates all of the dynamics of the

Calculation of the cross section according to Eq. 26 inx) limit [114?, 115] for particular hadron-hadron scattering 873 volves a time-consuming multidimensional MC integration employed directly in a fit procedure. Instead the following 914 the data. In each kinematic bin of the measurement, pulls are equation is applied:

$$\sigma(x,Q^2) = \int_x^1 dx_g \mathscr{A}(x_g, k_t, p) \hat{\sigma}(x, x_g, Q^2)$$
$$= \int_x^1 dx' \mathscr{A}_0(x') \tilde{\sigma}(x/x', Q^2), \tag{28}$$

where first  $\tilde{\sigma}(x',Q^2)$  is calculated numerically with a MC integration on a grid in x for the values of  $Q^2$  used in the fit. Then the last step in Eq. 28 is performed with a fast numerical gauss integration, which can be used directly in the fit.

Functional Forms for TMD parametrisation: For the starting distribution  $\mathcal{A}_0$ , at the starting scale  $Q_0^2$ , the following form is used:

$$x\mathcal{A}_0(x, k_t) = Nx^{-B} (1 - x)^C \left(1 - Dx + E\sqrt{x}\right)$$
$$\times \exp\left[-k_t^2/\sigma^2\right], \tag{29}$$

where  $\sigma^2 = Q_0^2/2$  and N, B, C, D, E are free parameters. Valence quarks are treated using the method of Ref. [125] as described in Ref. [126] with a starting distribution taken from any collinear PDF and imposition of the flavor sum rule at every scale p.

The TMD parton densities can be plotted either with HERA Fitter tools or with TMDplotter [34].

### 7 HERAFitter Code Organisation

HERAFitter is an open source code and it can be downloaded from the dedicated webpage [1] together with its supporting documentation and fast grid theory files (described in section 4) associated with data files. The source code contains all the relevant information to perform QCD fits with HERA DIS data as a default set. 1 The performance time depends on the fitting options and varies from 10 minutes (using "FAST" techniques as described in section 4) to several hours when full uncertainties are estimated. The HERA-Fitter code is a combination of C++ and Fortran 77 libraries with minimal dependencies, i.e. for the default fitting options no external dependencies are required except the QCDNUM evolution program [21]. The ROOT libraries are only required for the drawing tools and when invoking APPL-GRID. Drawing tools built into HERAFitter provide a qualitative and quantitative assessment of the results. Fig. 8 shows an illustration of a comparison between the inclusive NC data from HERA I with the predictions based on HERA-PDF1.0 PDFs. The consistency of the measurements and the theory can be expressed by pulls, defined as the difference

which suffers from numerical fluctuations. This cannot be 913 between data and theory divided by the uncorrelated error of provided in units of standard deviation (sigma). The pulls are also illustrated in Fig. 8.

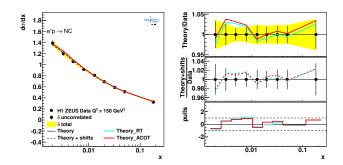


Fig. 8 An illustration of the consistency of HERA measurements [35] and the theory predictions, obtained in HERAFitter with the default drawing tool.

In HERAFitter there are also available cache options for fast retrieval, fast evolution kernels, and the OpenMP (Open Multi-Processing) interface which allows parallel applica-920 tions of the GM-VFNS theory predictions in DIS. In addi-921 tion, the HERAFitter references and GNU public licence are provided together with the main source code.

## 923 8 Applications of HERAFitter

924 The HERAFitter program has been used in a number of experimental and theoretical analyses. This list includes several LHC analyses of SM processes, namely inclusive Drell-Yan and Wand Z production [89, 90, 128–130], inclusive jet production [131], and inclusive photon production [132]. The results of QCD analyses using HERAFitter were also 930 published by HERA experiments for inclusive [35, 133] and 931 heavy flavour production measurements [134, 135]. The following phenomenological studies have been performed with 933 HERAFitter: a determination of the transverse momentum dependent gluon distribution using precision HERA data [126], an analysis of HERA data within a dipole model [136], the study of the low-x uncertainties in PDFs determined from 937 the HERA data using different parametrisations [91] and 938 the impact of QED radiative corrections on PDFs [137]. A 939 recent study based on a set of PDFs determined with the HERAFitter and addressing the correlated uncertainties between different orders has been published in [98]. An application of the TMDs obtained with HERAFitter W production at the LHC can be found in [138].

The HERAFitter framework has been used to produce 945 PDF grids from QCD analyses performed at HERA [35, 946 139] and at the LHC [140], using measurements from AT-947 LAS [89, 131]. These PDFs can be used to study predictions

<sup>&</sup>lt;sup>1</sup>Default settings in HERAFitter are tuned to reproduce the central HERAPDF1.0 set.

for SM or beyond SM processes. Furthermore, HERAFitter 997 provides the possibility to perform various benchmarking 998 exercises [141] and impact studies for possible future col- 999 liders as demonstrated by QCD studies at the LHeC [142]. 1000

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### 9 Summary

HERAFitter is an open-source platform designed for stud-1005 ies of the structure of the proton. It provides a unique and 1006 flexible framework with a wide variety of QCD tools to fa-1007 cilitate analyses of the experimental data and theoretical cal-1008 culations. HERAFitter allows for direct comparisons of var-1009 ious theoretical approaches under the same settings, differ-1010 ent methodologies in treating the experimental and model 1011 uncertainties and can be used for benchmarking studies. The 1012 progress of HERAFitter is driven by the latest QCD ad-1013 vances in theoretical calculations and in the precision of ex-1014 perimental data.

The HERAFitter code, in version 1.1.0, has sufficient 1016 options to reproduce the different theoretical choices made 1017 in MSTW, CTEQ and ABM fits. This will potentially make 1018 it a valuable tool for benchmarking and understanding differences between PDF fits. Such a study would however 1020 need to consider a range of further questions, such as the 1021 choices of data sets, treatments of uncertainties, input parameter values,  $\chi^2$  definitions and so forth. We look forward 1023 to studying these questions in future work.

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