

1 SEARCH FOR PRODUCTION OF A HIGGS BOSON AND A SINGLE TOP
2 QUARK IN MULTILEPTON FINAL STATES IN pp COLLISIONS AT $\sqrt{s} = 13$
3 TeV.

4 by

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¹⁸⁴ Chapter 1

¹⁸⁵ INTRODUCTION

¹⁸⁶ **Chapter 2**

¹⁸⁷ **Theoretical approach**

¹⁸⁸ **2.1 Introduction**

¹⁸⁹ The physical description of the universe is a challenge that physicists have faced by
¹⁹⁰ making theories that refine existing principles and proposing new ones in an attempt
¹⁹¹ to embrace emerging facts and phenomena.

¹⁹²

¹⁹³ At the end of 1940s Julian Schwinger [1] and Richard P. Feynman [2], based in the
¹⁹⁴ work of Sin-Itiro Tomonaga [3], developed an electromagnetic theory consistent with
¹⁹⁵ special relativity and quantum mechanics that describes how matter and light inter-
¹⁹⁶ act; the so-called “quantum eletrodynamics” (QED) had born.

¹⁹⁷

¹⁹⁸ QED has become the guide in the development of theories that describe the universe.
¹⁹⁹ It was the first example of a quantum field theory (QFT), which is the theoretical
²⁰⁰ framework for building quantum mechanical models that describes particles and their
²⁰¹ interactions. QFT is composed of a set of mathematical tools that combines classical
²⁰² fields, special relativity and quantum mechanics, while keeping the quantum point

203 particles and locality ideas.

204 This chapter gives an overview of the standard model of particle physics, starting
 205 with a description of the particles and interactions that compose it, followed by a
 206 description of the electroweak interaction, the Higgs boson and the associated pro-
 207 duction of Higgs boson and a single top quark (tH). The description contained in
 208 this chapter is based on references [4–6].

209 2.2 Standard model of particle physics

210 Particle physics at the fundamental level is modeled in terms of a collection of in-
 211 teracting particles and fields in a theory known as the “standard model of particle
 212 physics (SM)”¹.

213

214 The full picture of the SM is composed of three fields², whose excitations are inter-
 215 preted as particles called mediators or force-carriers; a set of fields, whose excitations
 216 are interpreted as elementary particles, interacting through the exchange of those
 217 mediators and a field that gives the mass to elementary particles. Figure 2.1 shows
 218 an scheme of the SM particles organization. In addition to the particles in the scheme
 219 (but not listed in it), their corresponding anti-particles, with opposite quantum num-
 220 bers, are also part of the picture; some particles are their own anti-particles, like
 221 photon or Higgs, or anti-particle is already listed like in the W^+ and W^- case.

222

223 The mathematical formulation of the SM is based on group theory and the use of
 224 Noether’s theorem [8] which states that for a physical system modeled by a Lagrangian

¹ The formal and complete treatment of the SM is out of the scope of this document, however a plenty of textbooks describing it at several levels are available in the literature. The treatment in references [?] is quite comprehensive and detailed.

² Note that gravitational field is not included in the standard model formulation

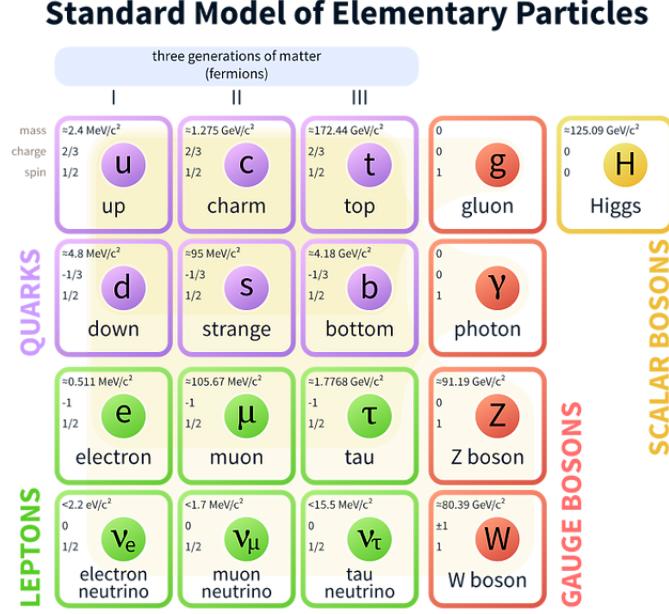


Figure 2.1: Schematic representation of the Standard model of particle physics. SM is a theoretical model intended to describe three of the four fundamental forces of the universe in terms of a set of particles and their interactions. [7].

225 that is invariant under a group of transformations a conservation law is expected. For
 226 instance, a system described by a time-independent Lagrangian is invariant (symmet-
 227 ric) under time changes (transformations) with the total energy conservation law as
 228 the expected conservation law. In QED, the charge operator (Q) is the generator of
 229 the $U(1)$ symmetry which according to the Noether's theorem means that there is a
 230 conserved quantity; this conserved quantity is the electric charge and thus the law
 231 conservation of electric charge is established.

232

233 In the SM, the symmetry group $SU(3)_C \otimes SU(2)_L \otimes U(1)_Y$ describes three of the
 234 four fundamental interactions in nature(see section 2.2.2): strong interaction(SI),
 235 weak interaction(WI) and electromagnetic interactions (EI) in terms of symmetries
 236 associated to physical quantities:

- 237 • Strong: $SU(3)_C$ associated to color charge
- 238 • Weak: $SU(2)_L$ associated to weak isospin and chirality
- 239 • Electromagnetic: $U(1)_Y$ associated to weak hypercharge and electric charge
- 240 It will be shown that the electromagnetic and weak interactions are combined in
 241 the so-called electroweak interaction where chirality, hypercharge, weak isospin and
 242 electric charge are the central concepts.

243 **2.2.1 Fermions**

244 The basic constituents of the ordinary matter at the lowest level, which form the set
 245 of elementary particles in the SM formulation, are quarks and leptons. All of them
 246 have spin 1/2, therefore they are classified as fermions since they obey Fermi-Dirac
 247 statistics. There are six “flavors” of quarks and three of leptons organized in three
 248 generations, or families, as shown in table 2.1.

249

		Generation		
		1st	2nd	3rd
Leptons	Charged	Electron (e)	Moun(μ)	Tau (τ)
	Neutral	Electron neutrino (ν_e)	Muon neutrino (ν_μ)	Tau neutrino (ν_τ)
Quarks	Up-type	Up (u)	Charm (c)	Top (t)
	Down-type	Down (d)	Strange (s)	Bottom (b)

Table 2.1: Fermions of the SM. There are six flavors of quarks and three of leptons, organized in three generations, or families, composed of two pairs of closely related particles. The close relationship is motivated by the fact that WI between leptons is limited to the members of the same generation; WI between quarks is not limited but greatly favoured, to same generation members.

250

251 There is a mass hierarchy between generations (see table 2.2), where the higher gener-
 252 ation particles decays to the lower one, which can explain why the ordinary matter is

made of particles in the first generation. In the SM, neutrinos are modeled as massless particles so they are not subject to this mass hierarchy; however, today it is known that neutrinos are massive so the hierarchy could be restated. The reason behind this mass hierarchy is one of the most important open questions in particle physics, and it becomes more puzzling when noticing that the mass difference between first and second generation fermions is small compared to the mass difference with respect to the third generation.

Lepton	Mass (MeV/c ²)	Quark	Mass (MeV/c ²)
e	0.51	u	2.2
μ	105.65	c	1.28×10^3
τ	1776.86	t	173.1×10^3
ν_e	Unknown	d	4.7
ν_μ	Unknown	s	96
τ_μ	Unknown	b	4.18×10^3

Table 2.2: Fermion masses [9]. Generations differ by mass in a way that have been interpreted as a masss hierarchy. Approximate values with no uncertainties are used, for comparison purpose.

Usually, the second and third generation fermions are produced in high energy processes, like the ones recreated in particle accelerators.

2.2.1.1 Leptons

A lepton is an elementary particle that is not subject to the SI. As seen in table 2.1, there are two types of leptons, the charged ones (electron, muon and tau) and the neutral ones (the three neutrinos). The electric charge (Q) is the property that gives leptons the ability to participate in the EI. From the classical point of view, Q plays a central role determining, among others, the strength of the electric field through which the electromagnetic force is exerted. It is clear that neutrinos are not affected

270 by EI because they don't carry electric charge.

271

272 Another feature of the leptons that is fundamental in the mathematical description
273 of the SM is the chirality, which is closely related to spin and helicity. Helicity defines
274 the handedness of a particle by relating its spin and momentum such that if they
275 are parallel then the particle is right-handed; if spin and momentum are antiparallel
276 the particle is said to be left-handed. The study of parity conservation (or viola-
277 tion) in β -decay has shown that only left-handed electrons/neutrinos or right-handed
278 positrons/anti-neutrinos are created [10]; the inclusion of that feature in the theory
279 was achieved by using projection operators for helicity, however, helicity is frame de-
280 pendent for massive particles which makes it not Lorentz invariant and then another
281 related attribute has to be used: *chirality*.

282

283 Chirality is a purely quantum attribute which makes it not so easy to describe in
284 graphical terms but it defines how the wave function of a particle transforms under
285 certain rotations. As with helicity, there are two chiral states, left-handed chiral (L)
286 and right-handed chiral (R). In the highly relativistic limit where $E \approx p \gg m$ helicity
287 and chirality converge, becoming exactly the same for massless particles.

288

289 In the following, when referring to left-handed (right-handed) it will mean left-handed
290 chiral (right-handed chiral). The fundamental fact about chirality is that while EI
291 and SI are not sensitive to chirality, in WI left-handed and right-handed fermions are
292 treated asymmetrically, such that only left handed fermions and right-handed anti-
293 fermions are allowed to couple to WI mediators, which is a violation of parity. The
294 way to translate this statement in a formal mathematical formulation is based on the
295 isospin symmetry group $SU(2)_L$.

296

297 Each generation of leptons is seen as a weak isospin doublet.³ The left-handed charged
 298 lepton and its associated left-handed neutrino are arranged in doublets of weak isospin
 299 T=1/2 while their right-handed partners are singlets:

$$\begin{pmatrix} \nu_l \\ l \end{pmatrix}_L, l_R := \begin{pmatrix} \nu_e \\ e \end{pmatrix}_L, \begin{pmatrix} \nu_\mu \\ \mu \end{pmatrix}_L, \begin{pmatrix} \nu_\tau \\ \tau \end{pmatrix}_L, e_R, \mu_R, \tau_R, \nu_{eR}, \nu_{\mu R}, \nu_{\tau R} \quad (2.1)$$

300 The isospin third component refers to the eigenvalues of the weak isospin operator
 301 which for doublets is $T_3 = \pm 1/2$, while for singlets it is $T_3 = 0$. The physical meaning
 302 of this doublet-singlet arrangement falls in that the WI couples the two particles in
 303 the doublet by exchanging the interaction mediator while the singlet member is not
 304 involved in WI. The main properties of the leptons are summarized in table 2.3.

305

306 Altough all three flavor neutrinos have been observed, their masses remain unknown
 307 and only some estimations have been made [11]. The main reason is that the fla-
 308 vor eigenstates are not the same as the mass eigenstates which implies that when
 309 a neutrino is created its mass state is a linear combination of the three mass eigen-
 310 states and experiments can only probe the squared difference of the masses. The
 311 Pontecorvo-Maki-Nakagawa-Sakata (PMNS) mixing matrix encode the relationship
 312 between flavor and mass eigenstates.

313

314 2.2.1.2 Quarks

315 Quarks are the basic constituents of protons and neutrons. The way quarks join to
 316 form bound states, called “hadrons”, is through the SI. Quarks are affected by all the

³ The weak isospin is an analogy of the isospin symmetry in strong interaction where neutron and proton are affected equally by strong force but differ in their charge.

Lepton	Q(e)	T_3	L_e	L_μ	L_τ	Lifetime (s)
Electron (e)	-1	-1/2	1	0	0	Stable
Electron neutrino(ν_e)	0	1/2	1	0	0	Unknown
Muon (μ)	-1	-1/2	0	1	0	2.19×10^{-6}
Muon neutrino (ν_μ)	0	1/2	0	1	0	Unknown
Tau (τ)	-1	-1/2	0	0	1	290.3×10^{-15}
Tau neutrino (τ_μ)	0	1/2	0	0	1	Unknown

Table 2.3: Leptons properties [9]. Q: electric charge, T_3 : weak isospin. Only left-handed leptons and right-handed anti-leptons participate in the WI. Anti-particles with inverted T_3 , Q and lepton number complete the leptons set but are not listed. Right-handed leptons and left-handed anti-leptons, neither listed, form weak isospin singlets with $T_3 = 0$ and do not take part in the weak interaction.

317 fundamental interactions which means that they carry all the four types of charges:
 318 color, electric charge, weak isospin and mass.

Flavor	Q(e)	I_3	T_3	B	C	S	T	B'	Y	Color
Up (u)	2/3	1/2	1/2	1/3	0	0	0	0	1/3	r,b,g
Charm (c)	2/3	0	1/2	1/3	1	0	0	0	4/3	r,b,g
Top(t)	2/3	0	1/2	1/3	0	0	1	0	4/3	r,b,g
Down(d)	-1/3	-1/2	-1/2	1/3	0	0	0	0	1/3	r,b,g
Strange(s)	-1/3	0	-1/2	1/3	0	-1	0	0	-2/3	r,b,g
Bottom(b)	-1/3	0	-1/2	1/3	0	0	0	-1	-2/3	r,b,g

Table 2.4: Quarks properties [9]. Q: electric charge, I_3 : isospin, T_3 : weak isospin, B: baryon number, C: charmness, S: strangeness, T: topness, B' : bottomness, Y: hypercharge. Anti-quarks posses the same mass and spin as quarks but all charges (color, flavor numbers) have opposite sign.

319
 320 Table 2.4 summarizes the features of quarks, among which the most particular is
 321 their fractional electric charge. Note that fractional charge is not a problem, given
 322 that quarks are not found isolated, but serves to explain how composed particles are
 323 formed out of two or more valence quarks⁴.

324

⁴ Hadrons can contain an indefinite number of virtual quarks and gluons, known as the quark and gluon sea, but only the valence quarks determine hadrons' quantum numbers.

325 Color charge is the responsible for the SI between quarks and is the symmetry
 326 ($SU(3)_C$) that defines the formalism to describe SI. There are three colors: red (r),
 327 blue(b) and green(g) and their corresponding three anti-colors; thus each quark carries
 328 one color unit while anti-quarks carries one anti-color unit. As said above, quarks are
 329 not allowed to be isolated due to the color confinement effect, therefore their features
 330 have been studied indirectly by observing their bound states created when:

- 331 • one quark with a color charge is attracted by an anti-quark with the correspond-
 332 ing anti-color charge forming a colorless particle called a “meson.”
- 333 • three quarks (anti-quarks) with different color (anti-color) charges are attracted
 334 among them forming a colorless particle called a “baryon(anti-baryon).”

335 In practice, when a quark is left alone isolated a process called “hadronization” occurs
 336 where the quark emits gluons (see section 2.2.3) which eventually will generate new
 337 quark-antiquark pairs and so on; those quarks will recombine to form hadrons that
 338 will decay into leptons. This proliferation of particles looks like a “jet” coming from
 339 the isolated quark. More details about the hadronization process and jet structure
 340 will be given in chapter4.

341 In the first version of the quark model (1964), M. Gell-Mann [12] and G. Zweig
 342 [13, 14] developed a consistent way to classify hadrons according to their properties.
 343 Only three quarks (u, d, s) were involved in a scheme in which all baryons have
 344 baryon number $B=1$ and therefore quarks have $B=1/3$; non-baryons have $B=0$. The
 345 scheme organizes baryons in a two-dimensional space ($I_3 - Y$); Y (hypercharge) and I_3
 346 (isospin) are quantum numbers related by the Gell-Mann-Nishijima formula [15, 16]:

$$Q = I_3 + \frac{Y}{2} \quad (2.2)$$

347 where $Y = B + S + C + T + B'$ are the quantum numbers listed in table 2.4. Baryon
 348 number is conserved in SI and EI which means that single quarks cannot be created
 349 but in pairs $q - \bar{q}$.

350

351 There are six quark flavors organized in three generations (see table 2.1) following a
 352 mass hierarchy which, again, implies that higher generations decay to first generation
 353 quarks.

	Quarks			T_3	Y_W	Leptons			T_3	Y_W
Doublets	$(\begin{smallmatrix} u \\ d' \end{smallmatrix})_L$	$(\begin{smallmatrix} c \\ s' \end{smallmatrix})_L$	$(\begin{smallmatrix} t \\ b' \end{smallmatrix})_L$	$(\begin{smallmatrix} 1/2 \\ -1/2 \end{smallmatrix})$	1/3	$(\begin{smallmatrix} \nu_e \\ e \end{smallmatrix})_L$	$(\begin{smallmatrix} \nu_\mu \\ \mu \end{smallmatrix})_L$	$(\begin{smallmatrix} \nu_\tau \\ \tau \end{smallmatrix})_L$	$(\begin{smallmatrix} 1/2 \\ -1/2 \end{smallmatrix})$	-1
Singlets	u_R	c_R	t_R	0	4/3	ν_{eR}	$\nu_{\mu R}$	$\nu_{\tau R}$	0	-2

Table 2.5: Fermion weak isospin and weak hypercharge multiplets. Weak hypercharge is calculated through the Gell-Mann-Nishijima formula 2.2 but using the weak isospin and charge for quarks.

354

355 Isospin doublets of quarks are also defined (see table 2.5) and as for neutrinos, the
 356 mass eigenstates are not the same as the WI eigenstates which means that members of
 357 different quark generations are connected by the WI mediator; thus, up-type quarks
 358 are coupled not to down-type quarks directly but to a superposition of down-type
 359 quarks (q'_d) via WI according to:

$$q'_d = V_{CKM} q_d$$

360

$$\begin{pmatrix} d' \\ s' \\ b' \end{pmatrix} = \begin{pmatrix} V_{ud} & V_{us} & V_{ub} \\ V_{cd} & V_{cs} & V_{cb} \\ V_{td} & V_{ts} & V_{tb} \end{pmatrix} \begin{pmatrix} d \\ s \\ b \end{pmatrix} \quad (2.3)$$

361 where V_{CKM} is known as Cabibbo-Kobayashi-Maskawa (CKM) mixing matrix [17,18].

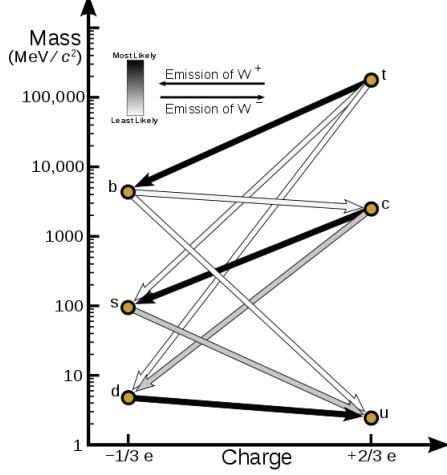


Figure 2.2: Transformations between quarks through the exchange of a WI. Higher generations quarks decay to first generation quarks by emitting a W boson. The arrow color indicates the likelihood of the transition according to the grey scale in the top left side which represent the CKM matrix parameters [19].

362 The weak decays of quarks are represented in the diagram of figure 2.2; again the
 363 CKM matrix plays a central role since it contains the probabilities for the different
 364 quark decay channels, in particular, note that quark decays are greatly favored be-
 365 tween generation members.

366

367 CKM matrix is a 3×3 unitary matrix parametrized by three mixing angles and
 368 the *CP-mixing phase*; the latter is the parameter responsible for the Charge-Parity
 369 symmetry violation (CP-violation) in the SM. The fact that the b quark decays almost
 370 all the times to a top quark is exploited in this thesis when making the selection of
 371 the signal events by requiring the presence of a jet tagged as a jet coming from a
 372 b quark in the final state. The effect of the *CP-mixing phase* on the cross section of
 373 associated production of Higgs boson and a single top process is also explored in this
 374 thesis.

375 **2.2.2 Fundamental interactions**

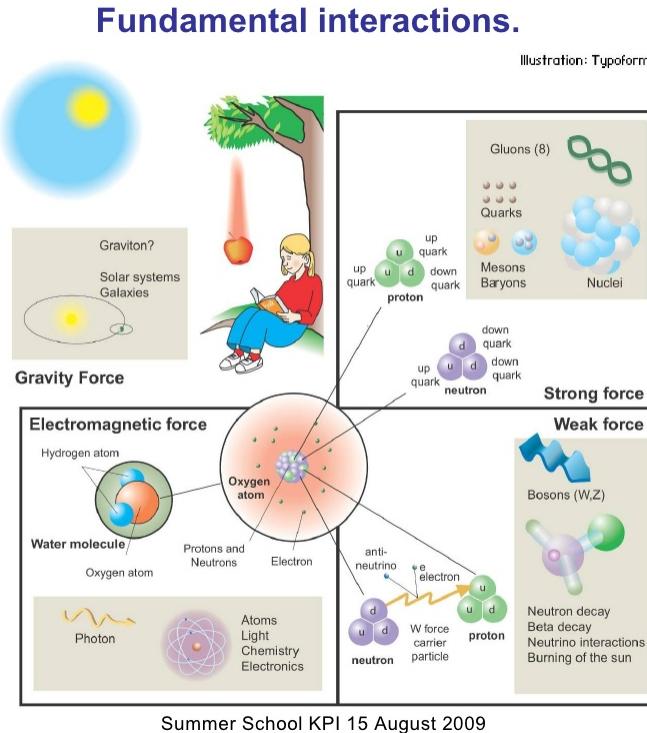


Figure 2.3: Fundamental interactions in nature. Despite the many manifestations of forces in nature, we can track all of them back to one of the fundamental interactions. The most common forces are gravity and electromagnetic given that all of us are subject and experience them in everyday life.

376 Even though there are many manifestations of force in nature, like the ones repre-

377 sented in figure 2.3, we can classify all of them into one of four fundamental interac-

378 tions:

- 379 ● *Electromagnetic interaction (EI)* affects particles that are “electrically charged,”
- 380 like electrons and protons. It is described by QED combining quantum mechan-
- 381 ics, special relativity and electromagnetism in order to explain how particles
- 382 with electric charge interact through the exchange of photons, therefore, one
- 383 says that “Electromagnetic Force” is mediated by “photons”. Figure 2.4a. shows

384 a graphical representation, known as “feynman diagram”, of electron-electron
 385 scattering.

- 386 • *Strong interaction (SI)* described by Quantum Chromodynamics (QCD). Hadrons
 387 like proton and neutron have internal structure given that they are composed
 388 of two or more valence quarks⁵. Quarks have fractional electric charge which
 389 means that they are subject to electromagnetic interaction and in the case of the
 390 proton they should break apart due to electrostatic repulsion; however, quarks
 391 are held together inside the hadrons against their electrostatic repulsion by the
 392 “Strong Force” through the exchange of “gluons.” The analog to the electric
 393 charge is the “color charge”. Electrons and photons are elementary particles
 394 as quarks but they don’t carry color charge, therefore they are not subject to
 395 SI. The feynman diagram for gluon exchange between quarks is shown in figure
 396 2.4b.

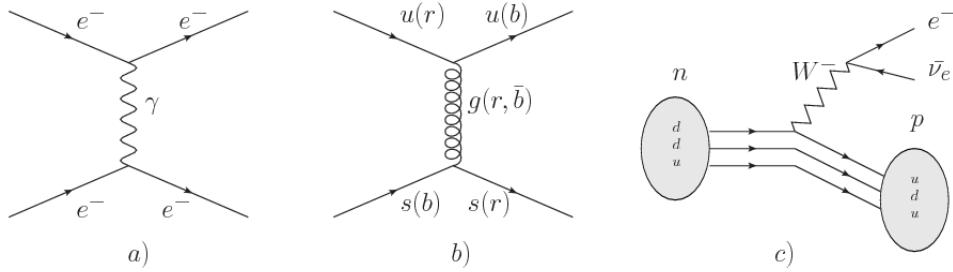


Figure 2.4: Feynman diagrams representing the interactions in SM; a) EI: e-e scattering; b) SI: gluon exchange between quarks ; c) WI: β -decay

- 397 • *Weak interaction (WI)* described by the weak theory (WT), is responsible, for
 398 instance, for the radioactive decay in atoms and proton-proton (pp) fusion
 399 within the sun. Quarks and leptons are the particles affected by the weak
 400 interaction; they possess a property called “flavor charge” (see 2.2.1) which can
 401 be changed by emitting or absorbing one weak force mediator. There are three

⁵ particles made of four and five quarks are exotic states not so common.

402 mediators of the “weak force” known as “Z” boson in the case of electrically
 403 neutral changes and “ W^\pm ” bosons in the case of electrically charged changes.
 404 The “weak isospin” is the WI analog to electric charge in EI, and color charge
 405 in SI, and defines how quarks and leptons are affected by the weak force. Figure
 406 2.4c. shows the feynman diagram of β -decay where a newtron (n) is transformed
 407 in a proton (p) by emmiting a W^- particle. Since this thesis is in the frame
 408 of the electroweak interaction, a more detailed description of it will be given in
 409 section 2.3

410 • *Gravitational interaction (GI)* described by General Theory of Relativity (GR).
 411 It is responsible for the structure of galaxies and black holes as well as the
 412 expansion of the universe. As a classical theory, in the sense that it can be for-
 413 mulated without even appeal to the concept of quantization, it implies that the
 414 spacetime is a continuum and predictions can be made without limitation to the
 415 precision of the measurement tools. The latter represent a direct contradiction
 416 of the quantum mechanics principles. Gravity is deterministic while quantum
 417 mechanics is probabilistic; despite that, efforts to develop a quantum theory of
 418 gravity have predicted the “graviton” as mediator of the Gravitational force⁶.

Interaction	Acts on	Relative strength	Range (m)	Mediators
Electromagnetic (QED)	Electrically charged particles	10^{-2}	Infinite	Photon
Strong (QCD)	Quarks and gluons	1	10^{-15}	Gluon
Weak (WI)	Leptons and quarks	10^{-6}	10^{-18}	W^\pm , Z
Gravitational (GI)	Massive particles	10^{-39}	Infinite	Graviton

Table 2.6: Fundamental interactions features [20].

419

⁶ Actually a wide variety of theories have been developed in an attempt to describe gravity; some famous examples are string theory and supergravity.

420 Table 2.6 summarizes the main features of the fundamental interactions. The rela-
 421 tive strength of the fundamental forces reveals the meaning of strong and weak; in
 422 a context where the relative strength of the SI is 1, the EI is about hundred times
 423 weaker and WI is about million times weaker than the SI. A good description on
 424 how the relative strength and range of the fundamental interactions are calculated
 425 can be found in references [20,21]. In the everyday life, only EI and GI are explicitly
 426 experienced due to the range of these interactions; i.e., at the human scale distances
 427 only EI and GI have appreciable effects, in contrast to SI which at distances greater
 428 than 10^{-15} m become negligible.

429

430 QED was built successfully on the basis of the classical electrodynamics theory (CED)
 431 of Maxwell and Lorentz, following theoretical and experimental requirements imposed
 432 by

- 433 • lorentz invariance: independence on the reference frame.
- 434 • locality: interacting fields are evaluated at the same space-time point to avoid
 435 action at a distance.
- 436 • renormalizability: physical predictions are finite and well defined
- 437 • particle spectrum, symmetries and conservation laws already known must emerge
 438 from the theory.
- 439 • gauge invariance.

440 The gauge invariance requirement reflects the fact that the fundamental fields cannot
 441 be directly measured but associated fields which are the observables. Electric (“E”)
 442 and magnetic (“B”) fields in CED are associated with the electric scalar potential

443 “V” and the vector potential “A”. In particular, \mathbf{E} can be obtained by measuring
 444 the change in the space of the scalar potential (ΔV); however, two scalar potentials
 445 differing by a constant “f” correspond to the same electric field. The same happens in
 446 the case of the vector potential “A”; thus, different configurations of the associated
 447 fields result in the same set of values of the observables. The freedom in choosing
 448 one particular configuration is known as “gauge freedom”; the transformation law con-
 449 necting two configurations is known as “gauge transformation” and the fact that the
 450 observables are not affected by a gauge transformation is called “gauge invariance”.

451

452 When the gauge transformation:

$$\begin{aligned} \mathbf{A} &\rightarrow \mathbf{A} - \Delta f \\ V &\rightarrow V - \frac{\partial f}{\partial t} \end{aligned} \tag{2.4}$$

453 is applied to Maxwell equations, they are still satisfied and the fields remain invariant.
 454 Thus, CED is invariant under gauge transformations and is called a “gauge theory”.
 455 The set of all gauge transformations form the “symmetry group” of the theory, which
 456 according to the group theory, has a set of “group generators”. The number of group
 457 generators determine the number of “gauge fields” of the theory.

458

459 As mentioned in the first lines of section 2.2, QED has one symmetry group ($U(1)$)
 460 with one group generator (the Q operator) and one gauge field (the electromagnetic
 461 field A^μ). In CED there is not a clear definition, beyond the historical convention, of
 462 which fields are the fundamental and which are the associated, but in QED it is clear
 463 that the fundamental field is A^μ . When a gauge theory is quantized, the gauge field

464 is quantized and its quanta is called “gauge boson”. The word boson characterizes
 465 particles with integer spin which obvey Bose-einstein statistics.

466

467 As will be detailed in section 2.3, interactions between partcles in a system can be
 468 obtained by considering first the Lagrangian density of free particles in the system,
 469 which of course is incomplete because the interaction terms have been left out, and
 470 demanding global phase transformation invariance. Global phase transformation in-
 471 variance means that a gauge transformation is performed identically to every point
 472 in the space⁷ and the Lagrangian remains invariant. Then, the global transformation
 473 is promoted to a local phase transformation (this time the gauge transformation de-
 474 pends on the position in space) and again invariance is required.

475

476 Due to the space dependence of the local tranformation, the Lagrangian density is
 477 not invariant anymore. In order to restate the gauge invariance, the gauge covariant
 478 derivative is introduced in the Lagrangian and with it the gauge field responsible for
 479 the interaction between particles in the system. The new Lagrangian density is gauge
 480 invariant, includes the interaction terms needed to account for the interactions and
 481 provides a way to explain the interaction between particles through the exchange of
 482 the gauge boson.

483 This recipe was used to build QED and the theories that aim to explain the funda-
 484 mental interactions.

485 **2.2.3 Gauge bosons**

486 The importance of the gauge bosons comes from the fact that they are the force
 487 mediators or force carriers. The features of the gauge bosons reflect those of the

⁷ Here space corresponds to the 4-dimensional space i.e. space-time.

488 fields they represent and they are extracted from the Lagrangian density used to
 489 describe the interactions. In section 2.3, it will be shown how the gauge bosons of the
 490 EI and WI emerge from the electroweak Lagrangian. The SI gauge bosons features
 491 are also extracted from the SI Lagrangian but it is not detailed in this document. The
 492 main features of the SM gauge bosons will be briefly presented below and summarized
 493 in table 2.7.

- 494 • **Photon.** EI occurs when the photon couples to (is exchanged between) particles
 495 carrying electric charge; however, the photon itself does not carry electric charge,
 496 therefore, there is no coupling between photons. Given that the photon is
 497 massless the EI is of infinite range, i.e., electrically charged particles interact
 498 even if they are located far away one from each other; this also implies that
 499 photons always move with the speed of light.
- 500 • **Gluon.** SI is mediated by gluons which, same as photons, are massless. They
 501 carry one unit of color charge and one unit of anticolor charge which means that
 502 gluons couple to other gluons. As a result, the range of the SI is not infinite
 503 but very short due to the attraction between gluons, giving rise to the “color
 504 confinement” which explains why color charged particles cannot be isolated but
 505 live within composited particles, like quarks inside protons.
- 506 • **W, Z.** The WI mediators, W^\pm and Z, are massive which explains their short-
 507 range. Given that the WI is the only interaction that can change the flavor
 508 of the interacting particles, the W boson is the responsible for the nuclear
 509 transmutation where a neutron is converted in a proton or vice versa with the
 510 involvement of an electron and a neutrino (see figure 2.4c). The Z boson is the
 511 responsible of the neutral weak processes like neutrino elastic scattering where

512 no electric charge but momentum transference is involved. WI gauge bosons
 513 carry isospin charge which makes possible the interaction between them.

Interaction	Mediator	Electric charge (e)	Color charge	Weak Isospin	mass (GeV/c ²)
Electromagnetic	Photon (γ)	0	No	0	0
Strong	Gluon (g)	0	Yes -octet	No	0
Weak	W^\pm Z	± 1 0	No No	± 1 0	80.385 ± 0.015 91.188 ± 0.002

Table 2.7: SM gauge bosons main features [9].

514

515 **2.3 Electroweak unification and the Higgs 516 mechanism**

517 Physicists dream of building a theory that contains all the interactions in one single
 518 interaction, i.e., showing that at some scale in energy all the four fundamental in-
 519 teractions are unified and only one interaction emerges in a “Theory of everything”.
 520 The first sign of the feasibility of such unification comes from success in the con-
 521 struction of the CED. Einstein spent years trying to reach that dream, which by
 522 1920 only involved electromagnetism and gravity, with no success; however, a new
 523 partial unification was achieved in the 1960’s, when S.Glashow [22], A.Salam [23] and
 524 S.Weinberg [24] independently proposed that electromagnetic and weak interactions
 525 are two manifestations of a more general interaction called “electroweak interaction
 526 (EWT)”. Both, QCD and EWT, were developed in parallel and following the useful
 527 prescription provided by QED and the gauge invariance principles.

528

529 The theory of weak interactions was capable of explaining the β -decay and in general
 530 the processes mediated by W^\pm bosons. However, there were some processes like the

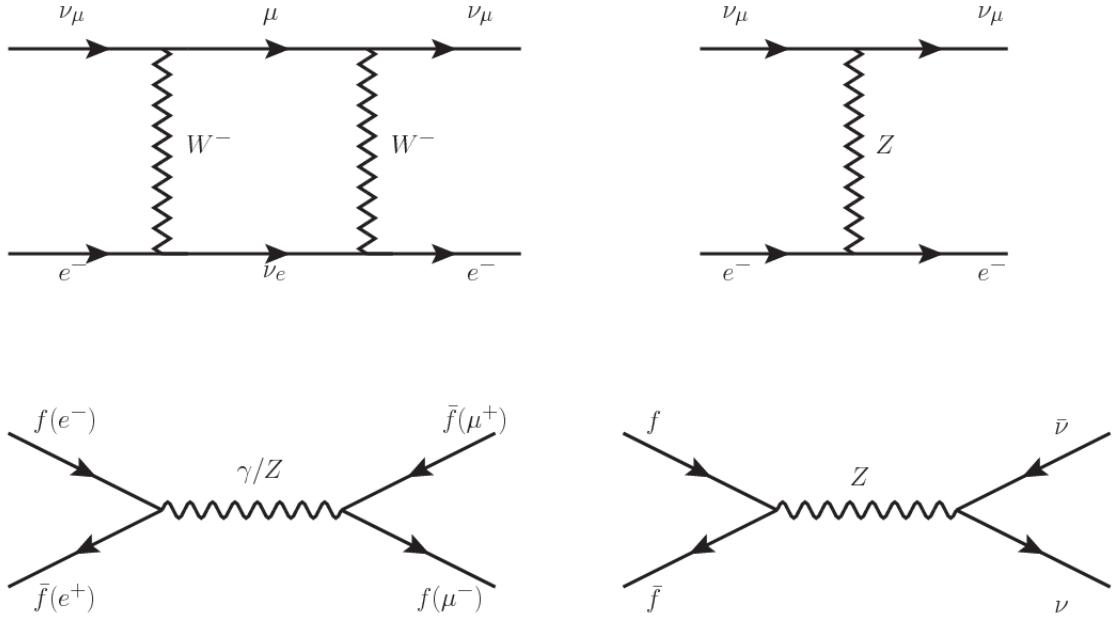


Figure 2.5: Top: $\nu_\mu - e^-$ scattering going through charged currents (left) and neutral currents (right). Bottom: neutral current processes for charged fermions (left) and involving neutrinos (right). While neutral current processes involving only charged fermions can proceed through EI or WI, those involving neutrinos can only proceed via WI.

531 “ $\nu_\mu - e$ scattering” which would require the exchange of two W bosons (see figure 2.5
532 top diagrams) giving rise to divergent loop integrals and then non finite predictions.
533 By including neutral currents involving fermions via the exchange of neutral bosons
534 Z , those divergences are compensated and the predictions become realistic.

535

536 Neutral weak interaction vertices conserve flavor in the same way as the electromag-
537 netic vertices do, but additionally, the Z boson can couple to neutrinos which implies
538 that processes involving charged fermions can proceed through EI or WI but processes
539 involving neutrinos can proceed only through WI.

540

541 The prescription to build a gauge theory of the WI consists of proposing a free field
542 Lagrangian density that includes the particles involved; next, by requesting invari-

543 ance under global phase transformations first and generalizing to local phase trans-
 544 formations invariance later, the conserved currents are identified and interactions are
 545 generated by introducing gauge fields. Given that the goal is to include the EI and
 546 WI in a single theory, the group symmetry considered should be a combination of
 547 $SU(2)_L$ and $U(1)_{em}$, however the latter cannot be used directly because the EI treats
 548 left and right-handed particles indistinctly in contrast to the former. Fortunately, the
 549 weak hypercharge, which is a combination of the weak isospin and the electric charge
 550 (eqn 2.2) is suitable to be used since it is conserved by the EI and WI. Thus, the
 551 symmetry group to be considered is

$$G \equiv SU(2)_L \otimes U(1)_Y \quad (2.5)$$

552 The following treatment applies to any of the fermion generations, but for simplicity
 553 the first generation of leptons will be considered [5, 6, 25, 26].

554

555 Given the first generation of leptons

$$\psi_1 = \begin{pmatrix} \nu_e \\ e^- \end{pmatrix}_L, \quad \psi_2 = \nu_{eR}, \quad \psi_3 = e_R^- \quad (2.6)$$

556 the charged fermionic currents are given by

$$J_\mu \equiv J_\mu^+ = \bar{\nu}_{eL} \gamma_\mu e_L, \quad J_\mu^\dagger \equiv J_\mu^- = \bar{e}_L \gamma_\mu \nu_{eL} \quad (2.7)$$

557 and the free Lagrangian is given by

$$\mathcal{L}_0 = \sum_{j=1}^3 i\bar{\psi}_j(x) \gamma^\mu \partial_\mu \psi_j(x). \quad (2.8)$$

558 Mass terms are included directly in the QED and QCD free Lagrangians since they

559 preserve the invariance under the symmetry transformations involved which treat
 560 left-handed and right-handed similarly, however mass terms of the form

$$m_W^2 W_\mu^\dagger(x) W^\mu(x) + \frac{1}{2} m_Z^2 Z_\mu(x) Z^\mu(x) - m_e \bar{\psi}_e(x) \psi_e(x) \quad (2.9)$$

561 which represent the mass of W^\pm , Z and electrons, are not invariant under G trans-
 562 formations, therefore the gauge fields described by the EWI are in principle massless.

563

564 Experiments have shown that the gauge fields are not massless; however, they have
 565 to acquire mass through a mechanism compatible with the gauge invariance; that
 566 mechanism is known as the “Higgs mechanism” and will be considered later in this
 567 section. The global transformations in the combined symmetry group G can be
 568 written as

$$\begin{aligned} \psi_1(x) &\xrightarrow{G} \psi'_1(x) \equiv U_Y U_L \psi_1(x), \\ \psi_2(x) &\xrightarrow{G} \psi'_2(x) \equiv U_Y \psi_2(x), \\ \psi_3(x) &\xrightarrow{G} \psi'_3(x) \equiv U_Y \psi_3(x) \end{aligned} \quad (2.10)$$

569 where U_L represent the $SU(2)_L$ transformation acting only on the weak isospin dou-
 570 blet and U_Y represent the $U(1)_Y$ transformation acting on all the weak isospin mul-
 571 tiplets. Explicitly

$$U_L \equiv \exp\left(i \frac{\sigma_i}{2} \alpha^i\right), \quad U_Y \equiv \exp(i y_i \beta) \quad (i = 1, 2, 3) \quad (2.11)$$

572 with σ_i the Pauli matrices and y_i the weak hypercharges. In order to promote the
 573 transformations from global to local while keeping the invariance, it is required that

574 $\alpha^i = \alpha^i(x)$, $\beta = \beta(x)$ and the replacement of the ordinary derivatives by the covariant
 575 derivatives

$$\begin{aligned} D_\mu \psi_1(x) &\equiv \left[\partial_\mu + ig\sigma_i W_\mu^i(x)/2 + ig'y_1 B_\mu(x) \right] \psi_1(x) \\ D_\mu \psi_2(x) &\equiv \left[\partial_\mu + ig'y_2 B_\mu(x) \right] \psi_2(x) \\ D_\mu \psi_3(x) &\equiv \left[\partial_\mu + ig'y_3 B_\mu(x) \right] \psi_3(x) \end{aligned} \quad (2.12)$$

576 introducing in this way four gauge fields, $W_\mu^i(x)$ and $B_\mu(x)$, in the process. The
 577 covariant derivatives (eqn 2.12) are required to transform in the same way as fermion
 578 fields $\psi_i(x)$ themselves, therefore, the gauge fields transform as:

$$\begin{aligned} B_\mu(x) &\xrightarrow{G} B'_\mu(x) \equiv B_\mu(x) - \frac{1}{g'} \partial_\mu \beta(x) \\ W_\mu^i(x) &\xrightarrow{G} W_\mu^{i\prime}(x) \equiv W_\mu^i(x) - \frac{i}{g} \partial_\mu \alpha_i(x) - \varepsilon_{ijk} \alpha_i(x) W_\mu^j(x). \end{aligned} \quad (2.13)$$

579 The G invariant version of the Lagrangian density 2.8 can be written as

$$\mathcal{L}_0 = \sum_{j=1}^3 i\bar{\psi}_j(x) \gamma^\mu D_\mu \psi_j(x) \quad (2.14)$$

580 where free massless fermion and gauge fields and fermion-gauge boson interactions
 581 are included. The EWI Lagrangian density must additionally include kinetic terms
 582 for the gauge fields (\mathcal{L}_G) which are built from the field strengths, according to

$$B_{\mu\nu}(x) \equiv \partial_\mu B_\nu - \partial_\nu B_\mu \quad (2.15)$$

$$W_{\mu\nu}^i(x) \equiv \partial_\mu W_\nu^i(x) - \partial_\nu W_\mu^i(x) - g\varepsilon^{ijk}W_\mu^j W_\nu^k \quad (2.16)$$

583 the last term in eqn. 2.16 is added in order to hold the gauge invariance; therefore,

$$\mathcal{L}_G = -\frac{1}{4}B_{\mu\nu}(x)B^{\mu\nu}(x) - \frac{1}{4}W_{\mu\nu}^i(x)W_i^{\mu\nu}(x) \quad (2.17)$$

584 which contains not only the free gauge fields contributions, but also the gauge fields
 585 self-interactions and interactions among them.

586

587 The three weak isospin conserved currents resulting from the $SU(2)_L$ symmetry are
 588 given by

$$J_\mu^i(x) = \frac{1}{2}\bar{\psi}_1(x)\gamma_\mu\sigma^i\psi_1(x) \quad (2.18)$$

589 while the weak hypercharge conserved current resulting from the $U(1)_Y$ symmetry is
 590 given by

$$J_\mu^Y = \sum_{j=1}^3 \bar{\psi}_j(x)\gamma_\mu y_j\psi_j(x) \quad (2.19)$$

591 In order to evaluate the electroweak interactions modeled by an isos triplet field W_μ^i
 592 which couples to isospin currents J_μ^i with strength g and additionally the singlet
 593 field B_μ which couples to the weak hypercharge current J_μ^Y with strength $g'/2$. The
 594 interaction Lagrangian density to be considered is

$$\mathcal{L}_I = -g J^{i\mu}(x) W_\mu^i(x) - \frac{g'}{2} J^{Y\mu}(x) B_\mu(x) \quad (2.20)$$

595 Note that the weak isospin currents are not the same as the charged fermionic currents
 596 that were used to describe the WI (eqn 2.7), since the weak isospin eigenstates are
 597 not the same as the mass eigenstates, but they are closely related

$$J_\mu = \frac{1}{2}(J_\mu^1 + iJ_\mu^2), \quad J_\mu^\dagger = \frac{1}{2}(J_\mu^1 - iJ_\mu^2). \quad (2.21)$$

598 The same happens with the gauge fields W_μ^i which are related to the mass eigenstates
 599 W^\pm by

$$W_\mu^+ = \frac{1}{\sqrt{2}}(W_\mu^1 - iW_\mu^2), \quad W_\mu^- = \frac{1}{\sqrt{2}}(W_\mu^1 + iW_\mu^2). \quad (2.22)$$

600 The fact that there are three weak isospin conserved currents is an indication that in
 601 addition to the charged fermionic currents, which couple charged to neutral leptons,
 602 there should be a neutral fermionic current that does not involve electric charge
 603 exchange; therefore, it couples neutral fermions or fermions of the same electric charge.
 604 The third weak isospin current contains a term that is similar to the electromagnetic
 605 current (j_μ^{em}), indicating that there is a relation between them and resembling the
 606 Gell-Mann-Nishijima formula 2.2 adapted to electroweak interactions

$$Q = T_3 + \frac{Y_W}{2}. \quad (2.23)$$

607 Just as Q generates the $U(1)_{em}$ symmetry, the weak hypercharge generates the $U(1)_Y$
 608 symmetry as said before. It is possible to write the relationship in terms of the currents
 609 as

$$j_\mu^{em} = J_\mu^3 + \frac{1}{2} J_\mu^Y. \quad (2.24)$$

610 The neutral gauge fields W_μ^3 and B_μ cannot be directly identified with the Z and the
 611 photon fields since the photon interacts similarly with left and right-handed fermions;
 612 however, they are related through a linear combination given by

$$\begin{aligned} A_\mu &= B_\mu \cos \theta_W + W_\mu^3 \sin \theta_W \\ Z_\mu &= -B_\mu \sin \theta_W + W_\mu^3 \cos \theta_W \end{aligned} \quad (2.25)$$

613 where θ_W is known as the “Weinberg angle.” The interaction Lagrangian is now given
 614 by

$$\mathcal{L}_I = -\frac{g}{\sqrt{2}}(J^\mu W_\mu^+ + J^{\mu\dagger} W_\mu^-) - \left(g \sin \theta_W J_\mu^3 + g' \cos \theta_W \frac{J_\mu^Y}{2}\right) A^\mu - \left(g \cos \theta_W J_\mu^3 - g' \sin \theta_W \frac{J_\mu^Y}{2}\right) Z^\mu \quad (2.26)$$

615 the first term is the weak charged current interaction, while the second term is the
 616 electromagnetic interaction under the condition

$$g \sin \theta_W = g' \cos \theta_W = e, \quad \frac{g'}{g} = \tan \theta_W \quad (2.27)$$

617 contained in the eqn.2.24; the third term is the neutral weak current.

618

619 Note that the neutral fields transformation given by the eqn. 2.25 can be written in
 620 terms of the coupling constants g and g' as:

$$A_\mu = \frac{g' W_\mu^3 + g B_\mu}{\sqrt{g^2 + g'^2}}, \quad Z_\mu = \frac{g W_\mu^3 - g' B_\mu}{\sqrt{g^2 + g'^2}} \quad (2.28)$$

621 So far, the Lagrangian density describing the non-massive EWI is:

$$\mathcal{L}_{nmEWI} = \mathcal{L}_0 + \mathcal{L}_G \quad (2.29)$$

622 where fermion and gauge fields have been considered massless because their regular
 623 mass terms are manifestly non invariant under G transformations; therefore, masses
 624 have to be generated in a gauge invariant way. The mechanism by which this goal is
 625 achieved is known as the “Higgs mechanism” and is closely connected to the concept
 626 of “spontaneous symmetry breaking.”

627 2.3.1 Spontaneous symmetry breaking (SSB)

628 Figure 2.6 left shows a steel nail (top) which is subject to an external force; the form
 629 of the potential energy is also shown (bottom).

630

631 Before reaching the critical force value, the system has rotational symmetry with re-
 632 spect to the nail axis; however, after the critical force value is reached the nail buckles
 633 (top right). The form of the potential energy (bottom right) changes, preserving its
 634 rotational symmetry although its minima does not exhibit that rotational symmetry
 635 any longer. Right before the nail buckles there is no indication of the direction the
 636 nail will bend because any of the directions are equivalent, but once the nail bends,
 637 choosing a direction, an arbitrary minimal energy state (ground state) is selected and
 638 it does not share the system’s rotational symmetry. This mechanism for reaching an
 639 asymmetric ground state is known as “*spontaneous symmetry breaking*”.

640 The lesson from this analysis is that the way to introduce the SSB mechanism into a
 641 system is by adding the appropriate potential to it.

642

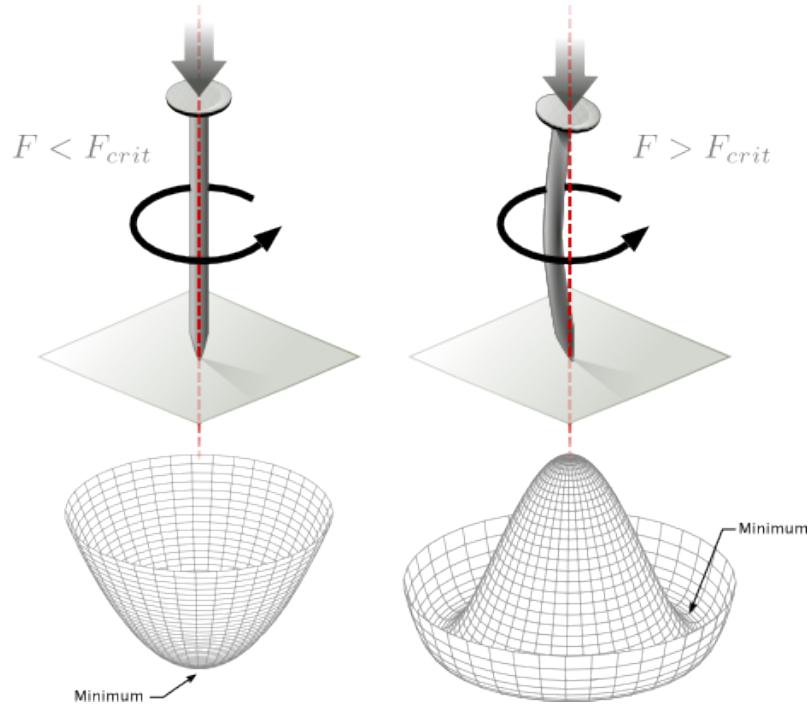


Figure 2.6: Spontaneous symmetry breaking mechanism. The steel nail, subject to an external force (top left), has rotational symmetry with respect to its axis. When the external force overcomes a critical value the nail buckles (top right) choosing a minimal energy state (ground state) and thus “*breaking spontaneously the rotational symmetry*”. The potential energy (bottom) changes but holds the rotational symmetry; however, an infinite number of asymmetric ground states are generated and circularly distributed in the bottom of the potential [27].

643 Figure 2.7 shows a plot of the potential $V(\phi)$ in the case of a scalar field ϕ

$$V(\phi) = \mu^2 \phi^\dagger \phi + \lambda (\phi^\dagger \phi)^2 \quad (2.30)$$

644 If $\mu^2 > 0$ the potential has only one minimum at $\phi = 0$ and describes a scalar field
 645 with mass μ . If $\mu^2 < 0$ the potential has a local maximum at $\phi = 0$ and two minima
 646 at $\phi = \pm\sqrt{-\mu^2/\lambda}$ which enables the SSB mechanism to work.

647

648 In the case of a complex scalar field $\phi(x)$

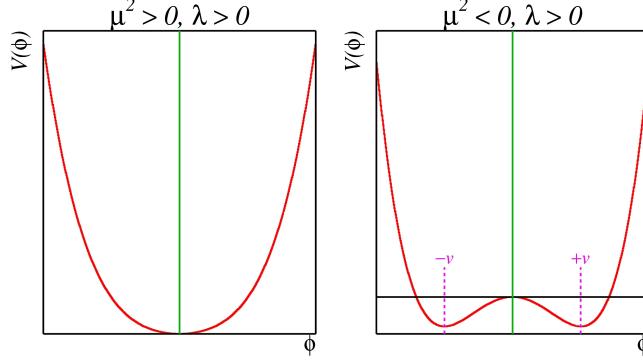


Figure 2.7: Shape of the potential $V(\phi)$ for $\lambda > 0$ and: $\mu^2 > 0$ (left) and $\mu^2 < 0$ (right). The case $\mu^2 < 0$ corresponds to the potential suitable for introducing the SSB mechanism by choosing one of the two ground states which are connected via reflection symmetry. [27].

$$\phi(x) = \frac{1}{\sqrt{2}}(\phi_1 + i\phi_2) \quad (2.31)$$

649 the Lagrangian (invariant under global $U(1)$ transformations) is given by

$$\mathcal{L} = (\partial_\mu \phi)^\dagger (\partial^\mu \phi) - V(\phi), \quad V(\phi) = \mu^2 \phi^\dagger \phi + \lambda (\phi^\dagger \phi)^2 \quad (2.32)$$

650 where an appropriate potential has been added in order to introduce the SSB.

651

652 As seen in figure 2.8, the potential has now an infinite number of minima circularly
 653 distributed along the ξ -direction which makes possible the occurrence of the SSB by
 654 choosing an arbitrary ground state; for instance, $\xi = 0$, i.e. $\phi_1 = v, \phi_2 = 0$

$$\phi_0 = \frac{v}{\sqrt{2}} \exp(i\xi) \xrightarrow{SSB} \phi_0 = \frac{v}{\sqrt{2}} \quad (2.33)$$

655 As usual, excitations over the ground state are studied by making an expansion about

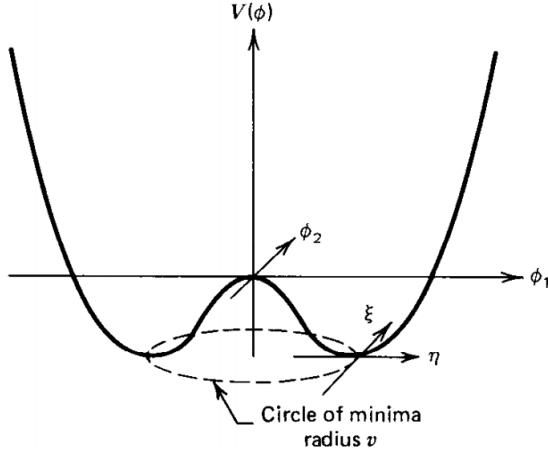


Figure 2.8: Potential for complex scalar field. There is a circle of minima of radius v along the ξ -direction [6].

656 it; thus, the excitation can be parametrized as:

$$\phi(x) = \frac{1}{\sqrt{2}}(v + \eta(x) + i\xi(x)) \quad (2.34)$$

657 which when substituted into eqn. 2.32 produces a Lagrangian in terms of the new
658 fields η and ξ

$$\mathcal{L}' = \frac{1}{2}(\partial_\mu \xi)^2 + \frac{1}{2}(\partial_\mu \eta)^2 + \mu^2 \eta^2 - V(\phi_0) - \lambda v \eta (\eta^2 + \xi^2) - \frac{\lambda}{4}(\eta^2 + \xi^2)^2 \quad (2.35)$$

659 where the last two terms represent the interactions and self-interaction between the
660 two fields η and ξ . The particular feature of the SSB mechanism is revealed when
661 looking to the first three terms of \mathcal{L}' . Before the SSB, only the massless ϕ field is
662 present in the system; after the SSB there are two fields of which the η -field has
663 acquired mass $m_\eta = \sqrt{-2\mu^2}$ while the ξ -field is still massless (see figure 2.9).

664

665 Thus, the SSB mechanism serves as a method to generate mass but as a side effect a

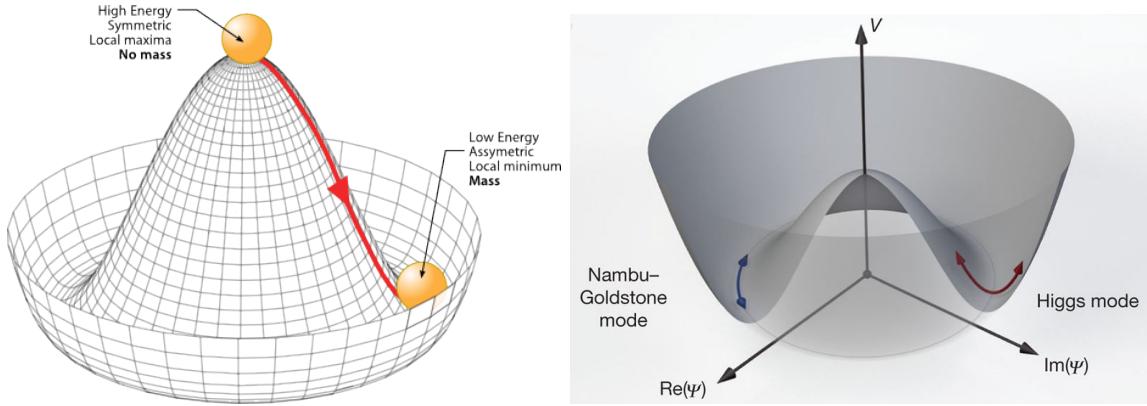


Figure 2.9: SSB mechanism for a complex scalar field [27, 28].

666 *massless field is introduced in the system.* This fact is known as the Goldstone theorem
 667 and states that a massless scalar field appears in the system for each continuous
 668 symmetry spontaneously broken. Another version of the Goldstone theorem states
 669 that “*if a Lagrangian is invariant under a continuous symmetry group G , but the*
 670 *vacuum is only invariant under a subgroup $H \subset G$, then there must exist as many*
 671 *massless spin-0 particles (Nambu-Goldstone bosons) as broken generators.*” [26] The
 672 Nambu-Goldstone boson can be understood considering that the potential in the ξ -
 673 direction is flat so excitations in that direction are not energy consuming and thus
 674 represent a massless state.

675 2.3.2 Higgs mechanism

676 When the SSB mechanism is introduced in the formulation of the EWI in an attempt
 677 to generate the mass of the so far massless gauge bosons and fermions, an interesting
 678 effect is revealed. In order to keep the G symmetry group invariance and generate
 679 the mass of the EW gauge bosons, a G invariant Lagrangian density (\mathcal{L}_S) has to be
 680 added to the non massive EWI Lagrangian (eqn. 2.29)

$$\mathcal{L}_S = (D_\mu \phi)^\dagger (D^\mu \phi) - \mu^2 \phi^\dagger \phi - \lambda (\phi^\dagger \phi)^2, \quad \lambda > 0, \mu^2 < 0 \quad (2.36)$$

$$D_\mu \phi = \left(i\partial_\mu - g \frac{\sigma_i}{2} W_\mu^i - g' \frac{Y}{2} B_\mu \right) \phi \quad (2.37)$$

681 ϕ has to be an isospin doublet of complex scalar fields so it preserves the G invariance;
 682 thus ϕ can be defined as:

$$\phi = \begin{pmatrix} \phi^+ \\ \phi^0 \end{pmatrix} \equiv \frac{1}{\sqrt{2}} \begin{pmatrix} \phi_1 + i\phi_2 \\ \phi_3 + i\phi_4 \end{pmatrix}. \quad (2.38)$$

683 The minima of the potential are defined by

$$\phi^\dagger \phi = \frac{1}{2} (\phi_1^2 + \phi_2^2 + \phi_3^2 + \phi_4^2) = -\frac{\mu^2}{2\lambda}. \quad (2.39)$$

684 The choice of the ground state is critical. By choosing a ground state, invariant under
 685 $U(1)_{em}$ gauge symmetry, the photon will remain massless and the W^\pm and Z bosons
 686 masses will be generated which is exactly what is needed. In that sense, the best
 687 choice corresponds to a weak isospin doublet with $T_3 = -1/2$, $Y_W = 1$ and $Q = 0$
 688 which defines a ground state with $\phi_1 = \phi_2 = \phi_4$ and $\phi_3 = v$:

$$\phi_0 \equiv \frac{1}{\sqrt{2}} \begin{pmatrix} 0 \\ v \end{pmatrix}, \quad v^2 \equiv -\frac{\mu^2}{\lambda}. \quad (2.40)$$

689 where the vacuum expectation value v is fixed by the Fermi coupling G_F according
 690 to $v = (\sqrt{2}G_F)^{1/2} \approx 246$ GeV.

691

692 The G symmetry has been broken and three Nambu-Goldstone bosons will appear.

693 The next step is to expand ϕ about the chosen ground state as:

$$\phi(x) = \frac{1}{\sqrt{2}} \exp\left(\frac{i}{v} \sigma_i \theta^i(x)\right) \begin{pmatrix} 0 \\ v + H(x) \end{pmatrix} \approx \frac{1}{\sqrt{2}} \begin{pmatrix} \theta_1(x) + i\theta_2(x) \\ v + H(x) - i\theta_3(x) \end{pmatrix} \quad (2.41)$$

694 to describe fluctuations from the ground state ϕ_0 . The fields $\theta_i(x)$ represent the
 695 Nambu-Goldstone bosons while $H(x)$ is known as “higgs field.” The fundamental
 696 feature of the parametrization used is that the dependence on the $\theta_i(x)$ fields is
 697 factored out in a global phase that can be eliminated by taking the physical “unitary
 698 gauge” $\theta_i(x) = 0$. Therefore the expansion about the ground state is given by:

$$\phi(x) \frac{1}{\sqrt{2}} \begin{pmatrix} 0 \\ v + H(x) \end{pmatrix} \quad (2.42)$$

699 which when substituted into \mathcal{L}_S (eqn. 2.36) results in a Lagrangian containing the now
 700 massive three gauge bosons W^\pm, Z , one massless gauge boson (photon) and the new
 701 Higgs field (H). The three degrees of freedom corresponding to the Nambu-Goldstone
 702 bosons are now integrated into the massive gauge bosons as their longitudinal po-
 703 larizations which were not available when they were massless particles. The effect
 704 by which vector boson fields acquire mass after an spontaneous symmetry breaking,
 705 but without an explicit gauge invariance breaking is known as the “*Higgs mechanism*”.

706

707 The mechanism was proposed by three independent groups: F.Englert and R.Brout
 708 in August 1964 [29], P.Higgs in October 1964 [30] and G.Guralnik, C.Hagen and
 709 T.Kibble in November 1964 [31]; however, its importance was not realized until
 710 S.Glashow [22], A.Salam [23] and S.Weinberg [24], independently, proposed that elec-
 711 tromagnetic and weak interactions are two manifestations of a more general interac-
 712 tion called “electroweak interaction” in 1967.

713 2.3.3 Masses of the gauge bosons

714 The mass of the gauge bosons is extracted by evaluating the kinetic part of Lagrangian
 715 \mathcal{L}_S in the ground state (known also as the vacuum expectation value), i.e.,

$$\left| \left(\partial_\mu - ig \frac{\sigma_i}{2} W_\mu^i - i \frac{g'}{2} B_\mu \right) \phi_0 \right|^2 = \left(\frac{1}{2} v g \right)^2 W_\mu^+ W^{-\mu} + \frac{1}{8} v^2 (W_\mu^3, B_\mu) \begin{pmatrix} g^2 & -gg' \\ -gg' & g'^2 \end{pmatrix} \begin{pmatrix} W^{3\mu} \\ B^\mu \end{pmatrix} \quad (2.43)$$

716 comparing with the typical mass term for a charged boson $M_W^2 W^+ W^-$

$$M_W = \frac{1}{2} v g. \quad (2.44)$$

The second term in the right side of the eqn.2.43 comprises the masses of the neutral bosons, but it needs to be written in terms of the gauge fields Z_μ and A_μ in order to be compared to the typical mass terms for neutral bosons, therefore using eqn. 2.28

$$\begin{aligned} \frac{1}{8} v^2 [g^2 (W_\mu^3)^2 - 2gg' W_\mu^3 B^\mu + g'^2 B_\mu^2] &= \frac{1}{8} v^2 [g W_\mu^3 - g' B_\mu]^2 + 0[g' W_\mu^3 + g B_\mu]^2 \quad (2.45) \\ &= \frac{1}{8} v^2 [\sqrt{g^2 + g'^2} Z_\mu]^2 + 0[\sqrt{g^2 + g'^2} A_\mu]^2 \end{aligned}$$

717 and then

$$M_Z = \frac{1}{2} v \sqrt{g^2 + g'^2}, \quad M_A = 0 \quad (2.46)$$

718 **2.3.4 Masses of the fermions**

719 The lepton mass terms can be generated by introducing a gauge invariant Lagrangian
 720 term describing the Yukawa coupling between the lepton field and the Higgs field

$$\mathcal{L}_{Yl} = -G_l \left[(\bar{\nu}_l, \bar{l})_L \begin{pmatrix} \phi^+ \\ \phi^0 \end{pmatrix} l_R + \bar{l}_R (\phi^-, \bar{\phi}^0) \begin{pmatrix} \nu_l \\ l \end{pmatrix} \right], \quad l = e, \mu, \tau. \quad (2.47)$$

721 After the SSB and replacing the usual field expansion about the ground state (eqn.2.40)
 722 into \mathcal{L}_{Yl} , the mass term arises

$$\mathcal{L}_{Yl} = -m_l (\bar{l}_L l_R + \bar{l}_R l_L) - \frac{m_l}{v} (\bar{l}_L l_R + \bar{l}_R l_L) H = -m_l \bar{l} l \left(1 + \frac{H}{v} \right) \quad (2.48)$$

723

$$m_l = \frac{G_l}{\sqrt{2}} v \quad (2.49)$$

724 where the additional term represents the lepton-Higgs interaction. The quark masses
 725 are generated in a similar way as lepton masses but for the upper member of the
 726 quark doublet a different Higgs doublet is needed:

$$\phi_c = -i\sigma_2 \phi^* = \begin{pmatrix} -\bar{\phi}^0 \\ \phi^- \end{pmatrix}. \quad (2.50)$$

727 Additionally, given that the quark isospin doublets are not constructed in terms of
 728 the mass eigenstates but in terms of the flavor eigenstates, as shown in table2.5, the
 729 coupling parameters will be related to the CKM matrix elements; thus the quark
 730 Lagrangian is given by:

$$\mathcal{L}_{Yq} = -G_d^{i,j} (\bar{u}_i, \bar{d}'_i)_L \begin{pmatrix} \phi^+ \\ \phi^0 \end{pmatrix} d_{jR} - G_u^{i,j} (\bar{u}_i, \bar{d}'_i)_L \begin{pmatrix} -\bar{\phi}^0 \\ \phi^- \end{pmatrix} u_{jR} + h.c. \quad (2.51)$$

731 with $i,j=1,2,3$. After SSB and expansion about the ground state, the diagonal form

732 of \mathcal{L}_{Yq} is:

$$\mathcal{L}_{Yq} = -m_d^i \bar{d}_i d_i \left(1 + \frac{H}{v}\right) - m_u^i \bar{u}_i u_i \left(1 + \frac{H}{v}\right) \quad (2.52)$$

733 Fermion masses depend on arbitrary couplings G_l and $G_{u,d}$ and are not predicted by
734 the theory.

735 2.3.5 The Higgs field

736 After the characterization of the fermions and gauge bosons as well as their interac-
737 tions, it is necessary to characterize the Higgs field itself. The Lagrangian \mathcal{L}_S in eqn.
738 2.36 written in terms of the gauge bosons is given by

$$\mathcal{L}_S = \frac{1}{4} \lambda v^4 + \mathcal{L}_H + \mathcal{L}_{HV} \quad (2.53)$$

739

$$\mathcal{L}_H = \frac{1}{2} \partial_\mu H \partial^\mu H - \frac{1}{2} m_H^2 H^2 - \frac{1}{2v} m_H^2 H^3 - \frac{1}{8v^2} m_H^2 H^4 \quad (2.54)$$

740

$$\mathcal{L}_{HV} = m_H^2 W_\mu^+ W^{\mu-} \left(1 + \frac{2}{v} H + \frac{2}{v^2} H^2\right) + \frac{1}{2} m_Z^2 Z_\mu Z^\mu \left(1 + \frac{2}{v} H + \frac{2}{v^2} H^2\right) \quad (2.55)$$

741 The mass of the Higgs boson is deduced as usual from the mass term in the Lagrangian
742 resulting in:

$$m_H = \sqrt{-2\mu^2} = \sqrt{2\lambda}v \quad (2.56)$$

743 however, it is not predicted by the theory either. The experimental efforts to find
744 the Higgs boson, carried out by the “Compact Muon Solenoid (CMS)” experiment
745 and the “A Toroidal LHC AppartuS (ATLAS)” experiments at the “Large Hadron
746 Collider(LHC)”, gave great results by July of 2012 when the discovery of a new
747 particle compatible with the Higgs boson predicted by the electroweak theory [32, 33]
748 was announced. Although at the announcement time there were some reservations
749 about calling the new particle the “Higgs boson”, today this name is widely accepted.

750 The Higgs mass measurement, reported by both experiments [34], is in table 2.8.

Property	Value
Electric charge	0
Colour charge	0
Spin	0
Weak isospin	-1/2
Weak hypercharge	1
Parity	1
Mass (GeV/c^2)	$125.09 \pm 0.21 \text{ (stat.)} \pm 0.11 \text{ (syst.)}$

Table 2.8: Higgs boson properties. Higgs mass is not predicted by the theory and the value here corresponds to the experimental measurement.

751

752 2.3.6 Production of Higgs bosons at LHC

753 At LHC, Higgs boson is produced as a result of the collision of two counter-rotating
 754 protons beams. A detailed description of the LHC machine will be presented in
 755 chapter 3. “The total cross section” is a parameter that quantifies the number of pp
 756 collisions that happen when a number of protons are fired at each other. Different
 757 results can be obtained after a pp collision and for each one the “cross section” is
 758 defined as the number of pp collisions that conclude in that particular result with
 759 respect to the number of protons fired at each other.

760 Protons are composed of quarks and these quarks are bound by gluons; however,
 761 what is commonly called the quark content of the proton makes reference to the
 762 valence quarks. A sea of quarks and gluons is also present inside the proton as repre-
 763 sented in figure 2.10. In a proton-proton (pp) collision, the constituents (quarks and
 764 gluons) are those who collide. The pp cross section depends on the momentum of
 765 the colliding particles, reason for which it is needed to know how the momentum is
 766 distributed inside the proton. Quarks and gluons are known as partons and the func-
 767 tions that describe how the proton momentum is distributed among partons inside it

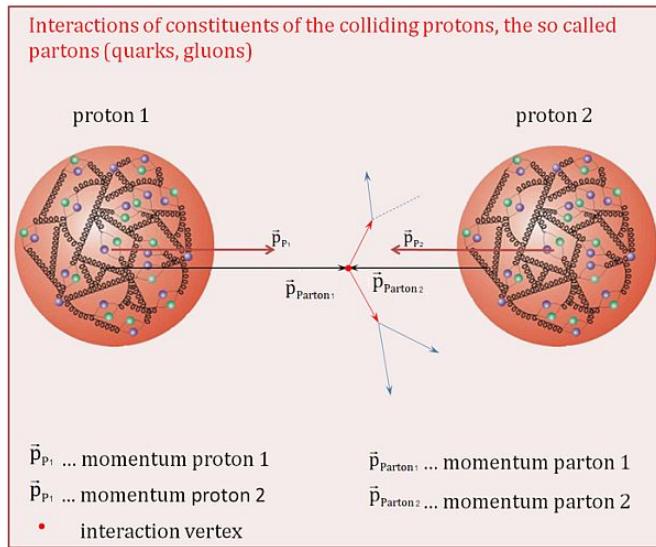


Figure 2.10: Proton-proton collision. Protons are composed of 3 valence quarks, a sea of quarks and gluons; therefore in a proton-proton collision, quarks and gluons are those who collide. [35].

768 are called “parton distribution functions (PDFs)”; PDFs are determined from experi-

769 mental data obtained in experiments where the internal structure of hadrons is tested.

770

In addition, in physics, a common approach to study complex systems consists in starting with a simpler version of them, for which a well known description is available, and add an additional “perturbation” which represents a small deviation from the known behavior. If the perturbation is small enough, the physical quantities associated with the perturbed system are expressed as a series of corrections to those of the simpler system; therefore, the more terms are considered in the series (the higher order in the perturbation series), the more precise is the description of the complex system.

779

780 This thesis explores the Higgs production at LHC; therefore the overview presented
781 here will be oriented specifically to the production mechanisms after pp collisions at

782 LHC.

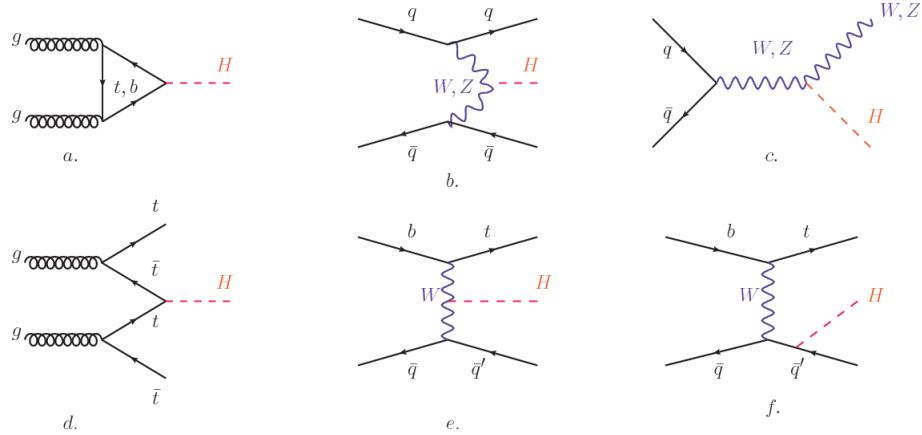


Figure 2.11: Main Higgs boson production mechanism Feynman diagrams. a. gluon-gluon fusion, b. vector boson fusion (VBF), c. Higgs-strahlung, d. Associated production with a top or bottom quark pair, e-f. associated production with a single top quark.

783 Figure 2.11 shows the Feynman diagrams for the leading order (first order) Higgs
 784 production processes at LHC, while the cross section for Higgs production as a func-
 785 tion of the center of mass-energy (\sqrt{s}) for pp collisions is showed in figure 2.12 left.
 786 The tags NLO (next to leading order), NNLO (next to next to leading order) and
 787 N3LO (next to next to next to leading order) make reference to the order at which
 788 the perturbation series have been considered.

789 As shown in eqns 2.47, 2.51 and 2.55, the strength of the Higgs-fermion interaction
 790 is proportional to the fermion mass while the strength of the Higgs-gauge boson
 791 interaction is proportional to the square of the gauge boson mass, which implies
 792 that the Higgs production and decay mechanisms are dominated by couplings $H -$
 793 (W, Z, t, b, τ) .

794 The main production mechanism is the gluon fusion (figure 2.11a and $pp \rightarrow H$ in figure
 795 2.12) given that gluons carry the highest fraction of momentum of the protons in pp
 796 colliders. Since the Higgs boson does not couple to gluons, the mechanism proceeds
 797 through the exchange of a virtual top-quark loop given that for it the coupling is

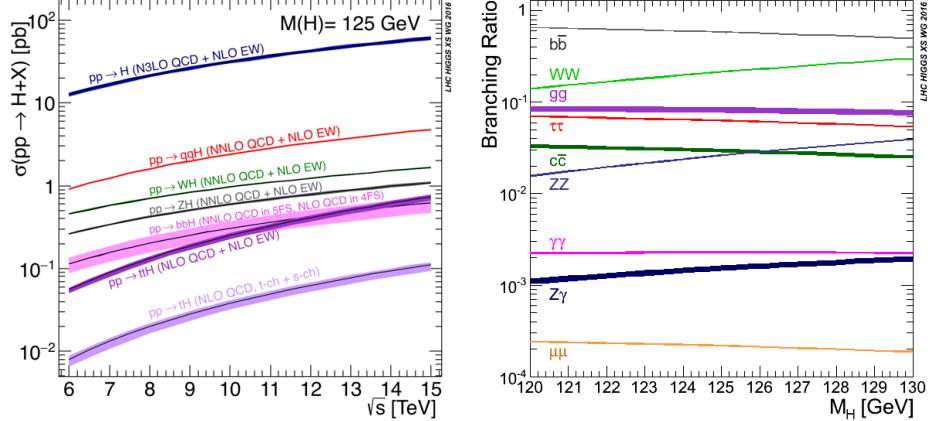


Figure 2.12: Higgs boson production cross sections (left) and decay branching ratios (right) for the main mechanisms. The VBF is indicated as qqH [36].

the biggest. Note that in this process, the Higgs boson is produced alone, which makes this mechanism experimentally clean when combined with the two-photon or the four-lepton decay channels (see section 2.3.7).

Vector boson fusion (figure 2.11b and $pp \rightarrow qqH$ in figure 2.12) has the second largest production cross section. The scattering of two fermions is mediated by a weak gauge boson which later emits a Higgs boson. In the final state, the two fermions tend to be located in a particular region of the detector which is used as a signature when analyzing the datasets provided by the experiments. More details about how to identify events of interest in an analysis will be given in chapter 6.

The next production mechanism is Higgs-strahlung (figure 2.11c and $pp \rightarrow WH, pp \rightarrow ZH$ in figure 2.12) where two fermions annihilate to form a weak gauge boson. If the initial fermions have enough energy, the emergent boson eventually will emit a Higgs boson.

The associated production with a top or bottom quark pair and the associated production with a single top quark (figure 2.11d-f and $pp \rightarrow bbH, pp \rightarrow t\bar{t}H, pp \rightarrow tH$ in figure 2.12) have a smaller cross section than the main three mechanisms above,

814 but they provide a good opportunity to test the Higgs-top coupling. The analysis
 815 reported in this thesis is developed using these production mechanisms. A detailed
 816 description of the tH mechanism will be given in section 2.4.

817 2.3.7 Higgs boson decay channels

818 When a particle can decay through several modes, also known as channels, the
 819 probability of decaying through a given channel is quantified by the “branching ratio
 820 (BR)” of the decay channel; thus, the BR is defined as the ratio of number of decays
 821 going through that given channel to the total number of decays. In regard to the
 822 Higgs boson decay, the BR can be predicted with accuracy once the Higgs mass is
 823 known [37, 38]. In figure 2.12 right, a plot of the BR as a function of the Higgs mass
 824 is presented. The largest predicted BR corresponds to the $b\bar{b}$ pair decay channel (see
 825 table 2.9).

Decay channel	Branching ratio	Rel. uncertainty
$H \rightarrow b\bar{b}$	5.84×10^{-1}	$+3.2\% - 3.3\%$
$H \rightarrow W^+W^-$	2.14×10^{-1}	$+4.3\% - 4.2\%$
$H \rightarrow \tau^+\tau^-$	6.27×10^{-2}	$+5.7\% - 5.7\%$
$H \rightarrow ZZ$	2.62×10^{-2}	$+4.3\% - 4.1\%$
$H \rightarrow \gamma\gamma$	2.27×10^{-3}	$+5.0\% - 4.9\%$
$H \rightarrow Z\gamma$	1.53×10^{-3}	$+9.0\% - 8.9\%$
$H \rightarrow \mu^+\mu^-$	2.18×10^{-4}	$+6.0\% - 5.9\%$

Table 2.9: Predicted branching ratios and the relative uncertainty for a SM Higgs boson with $m_H = 125 GeV/c^2$. [9]

827 **2.4 Associated production of a Higgs boson and a
828 single Top quark.**

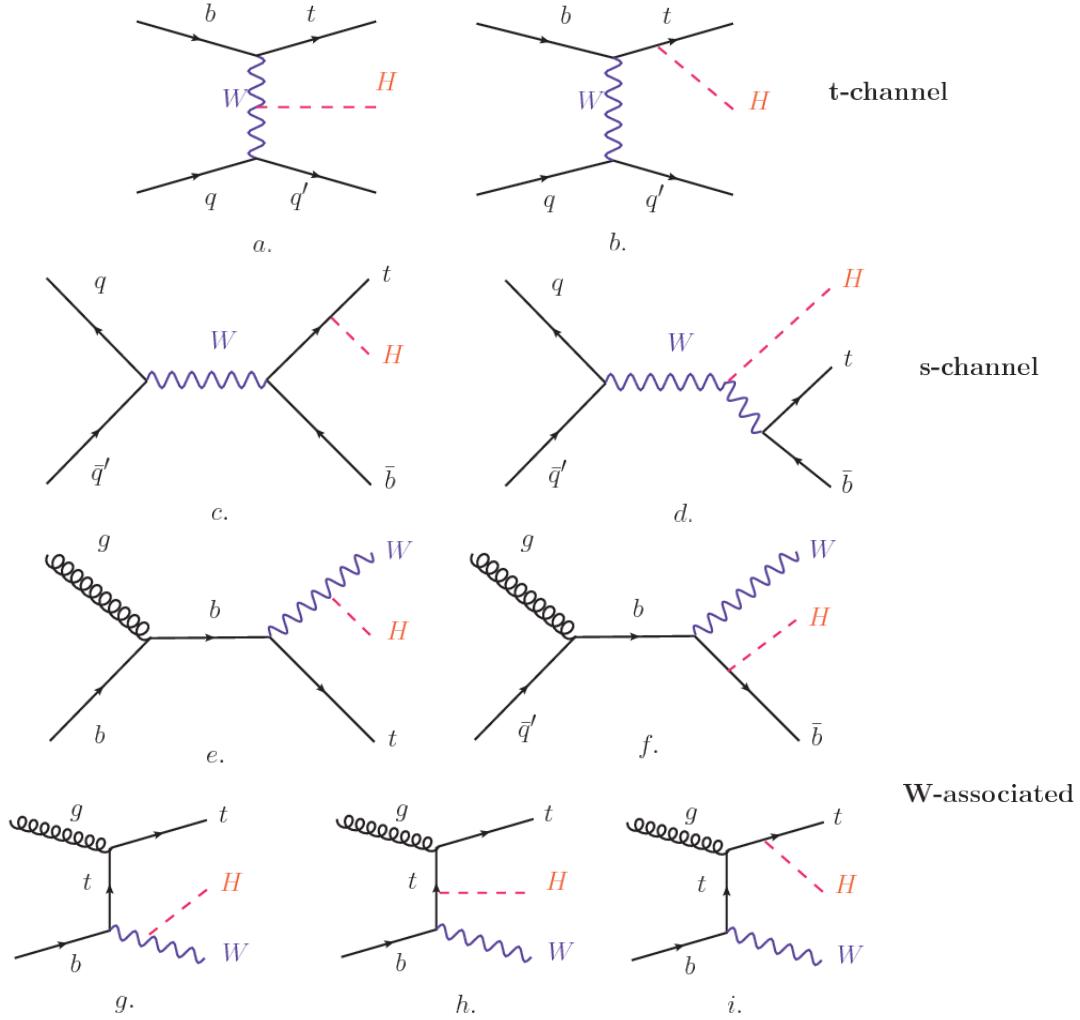


Figure 2.13: Associated Higgs boson production mechanism Feynman diagrams. a.,b. t-channel (tHq), c.,d. s-channel (tHb), e-i. W-associated.

829 Associated production of Higgs boson has been extensively studied [39–43]. While
830 measurements of the main Higgs production mechanisms rates are sensitive to the
831 strength of the Higgs coupling to W boson or top quark, they are not sensitive to the
832 relative sign between the two couplings. In this thesis, the Higgs boson production

mechanism explored is the associated production with a single top quark (tH) which offers sensitiveness to the relative sign of the Higgs couplings to W boson and to top quark. The description given here is based on the reference [41]

836

837 A process where two incoming particles interact and produce a final state with two
 838 particles can proceed in three ways also called channels (see, for instance, figure 2.13
 839 ommiting the red line). The t-channel represents processes where an intermediate
 840 particle is emitted by one of the incoming particles and absorbed by the other. The
 841 s-channel represents processes where the two incoming particles merge into an inter-
 842 mediate particle which eventually will split into the particles in the final state. The
 843 third channel, u-channel, is similar to the t-channel but the two outgoing particles
 844 interchange their roles.

845

846 The tH production, where Higgs boson can be radiated either from the top quark
 847 or from the W boson, is represented by the leading order Feynman diagrams in
 848 figure ???. The cross section for the tH process is calculated, as usual, summing over
 849 the contributions from the different feynman diagrams; therefore it depends on the
 850 interference between the contributions. In the SM, the interference for t-channel (tHq
 851 process) and W-associated (tHW process) production is destructive [39] resulting in
 852 the small cross sections presented in table 2.10.

tH production channel	Cross section (fb)
t-channel ($pp \rightarrow tHq$)	$70.79^{+2.99}_{-4.80}$
W-associated ($pp \rightarrow tHW$)	$15.61^{+0.83}_{-1.04}$
s-channel($pp \rightarrow tHb$)	$2.87^{+0.09}_{-0.08}$

Table 2.10: Predicted SM cross sections for tH production at $\sqrt{s} = 13$ TeV [44, 45].

853

854 While the s-channel contribution can be neglected, it will be shown that a deviation
 855 from the SM destructive interference would result in an enhancement of the tH cross
 856 section compared to that in SM, which could be used to get information about the
 857 sign of the Higgs-top coupling [41, 42]. In order to describe tH production processes,
 858 Feynman diagram 2.13b will be considered; there, the W boson is radiated by a
 859 quark in the proton and eventually it will interact with the b quark. In the high
 860 energy regime, the effective W approximation [46] allows to describe the process as
 861 the emmision of an approximately on-shell W and its hard scattering with the b
 862 quark; i.e. $Wb \rightarrow th$. The scattering amplitude for the process is given by

$$\mathcal{A} = \frac{g}{\sqrt{2}} \left[(\kappa_t - \kappa_V) \frac{m_t \sqrt{s}}{m_W v} A \left(\frac{t}{s}, \varphi; \xi_t, \xi_b \right) + \left(\kappa_V \frac{2m_W s}{v} \frac{1}{t} + (2\kappa_t - \kappa_V) \frac{m_t^2}{m_W v} \right) B \left(\frac{t}{s}, \varphi; \xi_t, \xi_b \right) \right], \quad (2.57)$$

863 where $\kappa_V \equiv g_{HVV}/g_{HVV}^{SM}$ and $\kappa_t \equiv g_{Ht}/g_{Ht}^{SM} = y_t/y_t^{SM}$ are scaling factors that quan-
 864 tify possible deviations of the couplings, Higgs-Vector boson (H-W) and Higgs-top
 865 (H-t) respectively, from the SM couplings; $s = (p_W + p_b)^2$, $t = (p_W - p_H)^2$, φ is the
 866 Higgs azimuthal angle around the z axis taken parallel to the direction of motion of
 867 the incoming W; A and B are funtions describing the weak interaction in terms of
 868 the chiral states of the quarks b and t . Terms that vanish in the high energy limit
 869 have been neglected as well as the Higgs and b quark masses⁸.

870

871 The scattering amplitude grows with energy like \sqrt{s} for $\kappa_V \neq \kappa_t$, in contrast to
 872 the SM ($\kappa_t = \kappa_V = 1$), where the first term in 2.57 cancels out and the amplitude
 873 is constant for large s ; therefore, a deviation from the SM predictions represents an
 874 enhancement in the tHq cross section. In particular, for a SM H-W coupling and a H-t

⁸ A detailed explanation of the structure and approximations used to derive \mathcal{A} can be found in reference [41]

875 coupling of inverted sign with respect to the SM ($\kappa_V = -\kappa_t = 1$) the tHq cross section
 876 is enhanced by a factor greater 10 as seen in the figure 2.14 taken from reference [41];
 877 reference [47] has reported similar enhancement results.

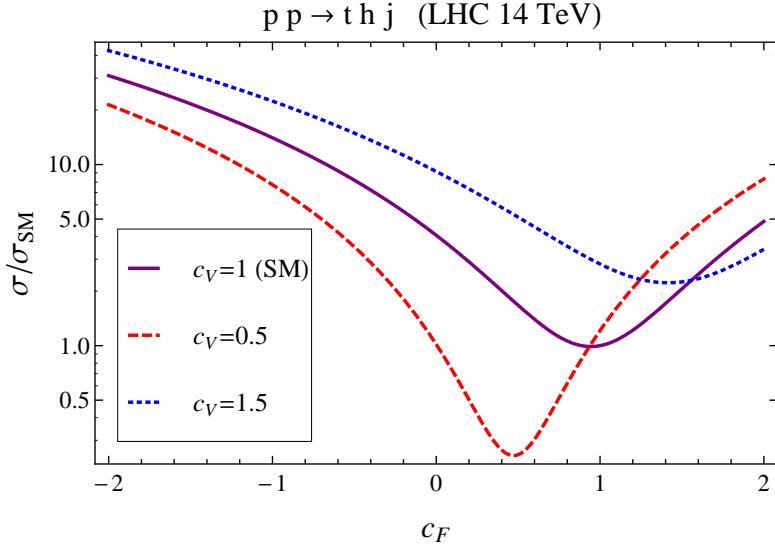


Figure 2.14: Cross section for tHq process as a function of κ_t , normalized to the SM, for three values of κ_V . In the plot c_f refers to the Higgs-fermion coupling which is dominated by the H-t coupling and represented here by κ_t . Solid, dashed and dotted lines correspond to $c_V \rightarrow \kappa_V = 1, 0.5, 1.5$ respectively. Note that for the SM ($\kappa_V = \kappa_t = 1$), the destructive effect of the interference is maximal.

878 A similar analysis is valid for the W-associated channel but, in that case, the inter-
 879 ference is more complicated since there are more than two contributions and an ad-
 880 ditional interference with the production of Higgs boson and a top pair process($t\bar{t}H$).
 881 The calculations are made using the so-called Diagram Removal (DR) technique where
 882 interfering diagrams are removed (or added) from the calculations in order to evaluate
 883 the impact of the removed contributions. DR1 was defined to neglect $t\bar{t}H$ interference
 884 while DR2 was defined to take $t\bar{t}H$ interference into account [48]. As shown in figure
 885 2.15, the tHW cross section is enhanced from about 15 fb (SM: $\kappa_{Htt} = 1$) to about
 886 150 fb ($\kappa_{Htt} = -1$). Differences between curves for DR1 and DR2 help to gauge the
 887 impact of the interference with $t\bar{t}H$.

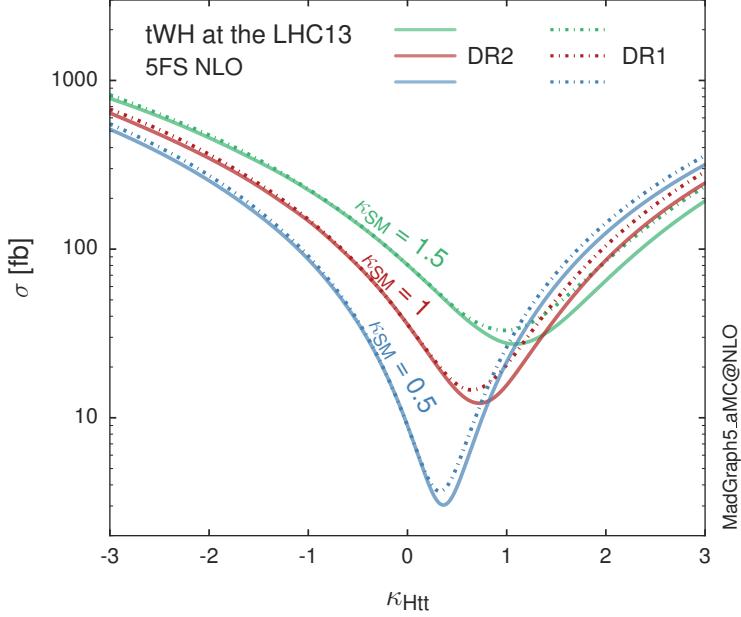


Figure 2.15: Cross section for tHW process as a function of κ_{Htt} , for three values of κ_{SM} at $\sqrt{s} = 13$ TeV. $\kappa_{Htt}^2 = \sigma_{Htt}/\sigma_{Htt}^{SM}$ is a simple rescaling of the SM Higgs interactions.

888 Results of the calculations of the tHq and tHW cross sections at $\sqrt{s} = 13$ TeV can be
 889 found in reference [49] and a summary of the results is presented in table 2.11.

890

891 2.5 The CP-mixing in tH processes

892 In addition to the sensitivity to sign of the H-t coupling, tHq and tHW processes have
 893 been proposed as a tool to investigate the possibility of a H-t coupling that does not
 894 conserve CP [43, 48, 50]. Current experimental results are consistent with SM H-V
 895 and H-t couplings; however, negative H-t coupling is not excluded completely [53].

896

897 In this thesis, the sensitivity of tH processes to CP-mixing is also studied in the
 898 effective field theory framework and based in references [43, 48]; a generic particle

	\sqrt{s} TeV	$\kappa_t = 1$	$\kappa_t = -1$
$\sigma^{LO}(tHq)(\text{fb})$ [41]	8	≈ 17.4	≈ 252.7
	14	≈ 80.4	≈ 1042
$\sigma^{NLO}(tHq)(\text{fb})$ [41]	8	$18.28^{+0.42}_{-0.38}$	$233.8^{+4.6}_{-0.0}$
	14	$88.2^{+1.7}_{-0.0}$	$982.8^{+28}_{-0.0}$
$\sigma^{LO}(tHq)(\text{fb})$ [47]	14	≈ 71.8	≈ 893
$\sigma^{LO}(tHW)(\text{fb})$ [47]	14	≈ 16.0	≈ 139
$\sigma^{NLO}(tHq)(\text{fb})$ [49]	8	$18.69^{+8.62\%}_{-17.13\%}$	-
	13	$74.25^{+7.48\%}_{-15.35\%}$	$848^{+7.37\%}_{-13.70\%}$
	14	$90.10^{+7.34\%}_{-15.13\%}$	$1011^{+7.24\%}_{-13.39\%}$
$\sigma^{LO}(tHW)(\text{fb})$ [48]	13	$15.77^{+15.91\%}_{-15.76\%}$	-
$\sigma^{NLO}DR1(tHW)(\text{fb})$ [48]	13	$21.72^{+6.52\%}_{-5.24\%}$	≈ 150
$\sigma^{NLO}DR2(tHW)(\text{fb})$ [48]	13	$16.28^{+7.34\%}_{-15.13\%}$	≈ 150

Table 2.11: Predicted enhancement of the tHq and tHW cross sections at LHC for $\kappa_V = 1$ and $\kappa_t = \pm 1$ at LO and NLO; the cross section enhancement of more than a factor of 10 is due to the flippling in the sign of the H-t coupling with respect to the SM one.

899 (X_0) of spin-0 and a general CP violating interaction with the top quark, can couple
900 to scalar and pseudoscalar fermionic densities. The H-W interaction is assumed to
901 be SM-like. The Lagrangian modeling the H-t interaction is given by

$$\mathcal{L}_0^t = -\bar{\psi}_t (c_\alpha \kappa_{Htt} g_{Htt} + i s_\alpha \kappa_{Att} g_{Att} \gamma_5) \psi_t X_0, \quad (2.58)$$

902 where α is the CP-mixing phase, $c_\alpha \equiv \cos \alpha$ and $s_\alpha \equiv \sin \alpha$, κ_{Htt} and κ_{Att} are real
903 dimensionless rescaling parameters⁹, $g_{Htt} = g_{Att} = m_t/v = y_t/\sqrt{2}$ and $v \sim 246$ GeV is
904 the Higgs vacuum expectation value. In this parametrization, it is easy to recover
905 three special cases

906 • CP-even coupling $\rightarrow \alpha = 0^\circ$

907 • CP-odd coupling $\rightarrow \alpha = 90^\circ$

908 • SM coupling $\rightarrow \alpha = 0^\circ$ and $\kappa_{Htt} = 1$

⁹ analog to κ_t and κ_V

909 The loop induced X_0 coupling to gluons can also be described in terms of the
 910 parametrization above, according to

$$\mathcal{L}_0^g = -\frac{1}{4} \left(c_\alpha \kappa_{Hgg} g_{Hgg} G_{\mu\nu}^a G^{a,\mu\nu} + s_\alpha \kappa_{Agg} g_{Agg} G_{\mu\nu}^a \tilde{G}^{a,\mu\nu} \right) X_0. \quad (2.59)$$

911 where $g_{Hgg} = -\alpha_s/3\pi v$ and $g_{Agg} = \alpha_s/2\pi v$. Under the assumption that the top quark
 912 dominates the gluon-fusion process at LHC energies, $\kappa_{Hgg} \rightarrow \kappa_{Htt}$ and $\kappa_{Agg} \rightarrow \kappa_{Att}$,
 913 so that the ratio between the gluon-gluon fusion cross section for X_0 and for the SM
 914 Higgs prediction can be written as

$$\frac{\sigma_{NLO}^{gg \rightarrow X_0}}{\sigma_{NLO,SM}^{gg \rightarrow H}} = c_\alpha^2 \kappa_{Htt}^2 + s_\alpha^2 \left(\kappa_{Att} \frac{g_{Agg}}{g_{Hgg}} \right)^2. \quad (2.60)$$

915 If the rescaling parameters are set to

$$\kappa_{Htt} = 1, \quad \kappa_{Att} = \left| \frac{g_{Hgg}}{g_{Agg}} \right| = \frac{2}{3}. \quad (2.61)$$

916 the gluon-fusion SM cross section is reproduced for every value of the CP-mixing
 917 angle α ; therefore, by imposing that condition to the Lagrangian density 2.58, the
 918 CP-mixing angle is not constrained by current data. Figure 2.16 shows the NLO cross
 919 sections for t-channel tX_0 (blue) and $t\bar{t}X_0$ (red) associated production processes as
 920 a function of the CP-mixing angle α . X_0 is a generic spin-0 particle with top quark
 921 CP-violating coupling. Rescaling factors κ_{Htt} and κ_{Att} have been set to reproduce
 922 the SM gluon-fusion cross sections.

923 It is interesting to notice that the tX_0 cross section is enhanced, by a factor of
 924 about 10, when a continuous rotation in the scalar-pseudoscalar plane is applied; this
 925 enhancement is similar to the enhancement produced when the H-t coupling is flipped
 926 in sign with respect to the SM ($y_t = -y_{t,SM}$ in the plot), as showed in section 2.4. In

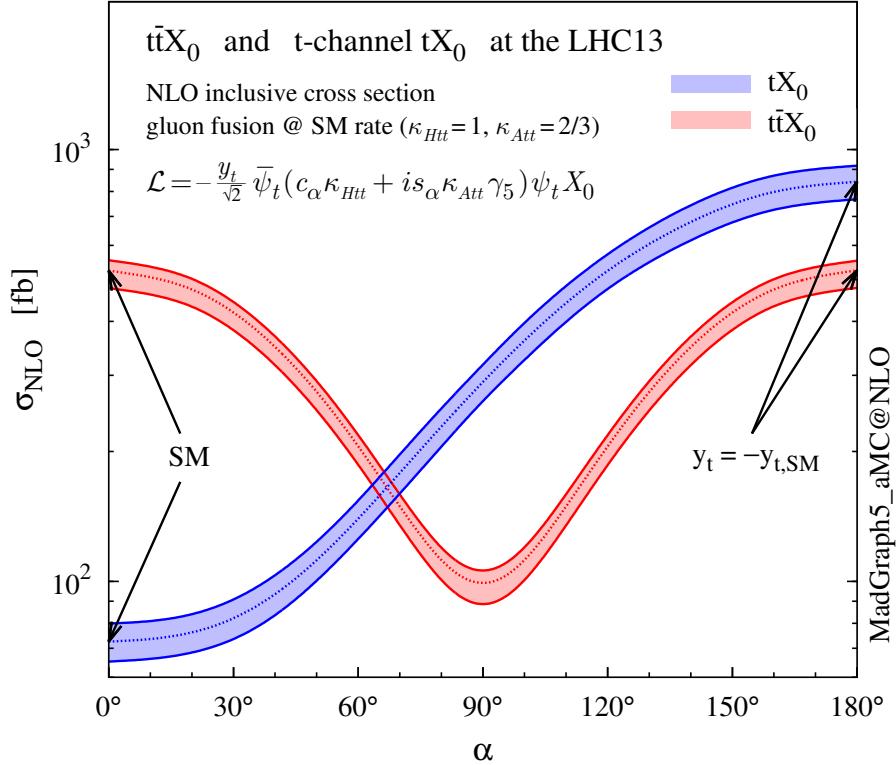


Figure 2.16: NLO cross sections for t-channel tX_0 (blue) and $t\bar{t}X_0$ (red) associated production processses as a function of the CP-mixing angle α . X_0 is a generic spin-0 particle with top quark CP-violating coupling [43].

contrast, the degeneracy in the $t\bar{t}X_0$ cross section is still present given that it depends quadratically on the H-t coupling, but more insteresting is to notice that $t\bar{t}X_0$ cross section is exceeded by tX_0 cross section after $\alpha \sim 60^\circ$.

A similar parametrization can be used to investigate the tHW process sensitivity to CP-violating H-t coupling. As said in 2.4, the interference in the W-associated channel is more complicated because there are more than two contributions and also there is interference with the $t\bar{t}H$ production process.

934

935 Figure 2.17 shows the NLO cross sections for t-channel tX_0 (blue), $t\bar{t}X_0$ (red) asso-
936 ciated production and for the combined $tWX_0 + t\bar{t}X_0 +$ interference (orange) as a

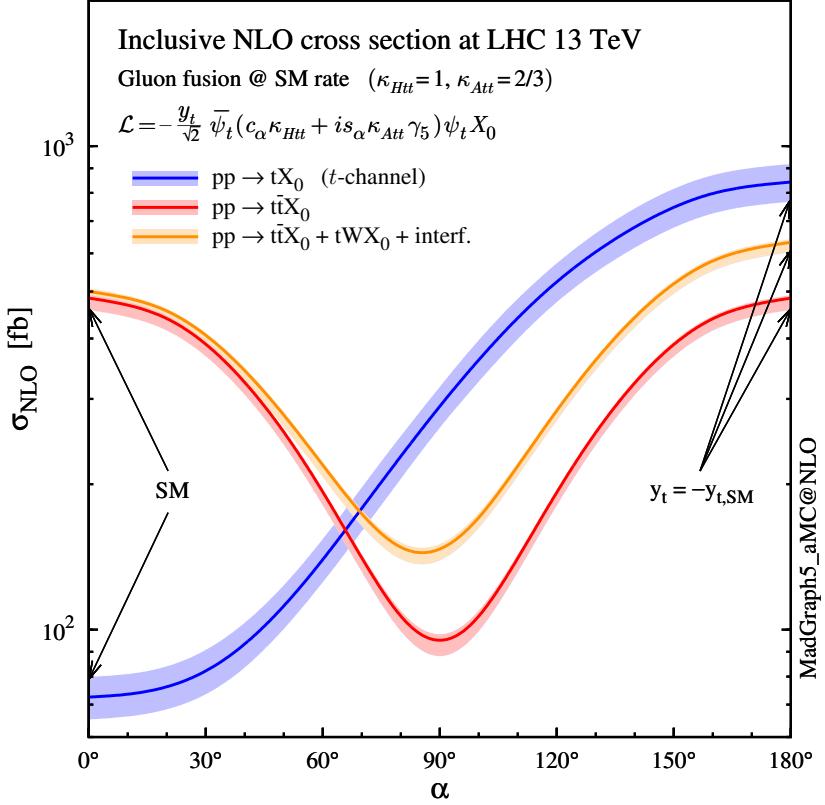


Figure 2.17: NLO cross sections for t-channel tX_0 (blue), $t\bar{t}X_0$ (red) associated production processes and combined $tWX_0 + t\bar{t}X_0$ (including interference) production as a function of the CP-mixing angle α [43].

function of the CP-mixing angle. It is clear that the effect of the interference in the combined case is the lifting of the degeneracy present in the $t\bar{t}X_0$ production. The constructive interference enhances the cross section from about 500 fb at SM ($\alpha = 0$) to about 600 fb ($\alpha = 180^\circ \rightarrow y_t = -y_{t,SM}$).

An analysis combining tHq and tHW processes will be made in this thesis taking advantage of the sensitivity improvement.

943 **2.6 Experimantal status of the anomalous**
 944 **Higg-fermion coupling.**

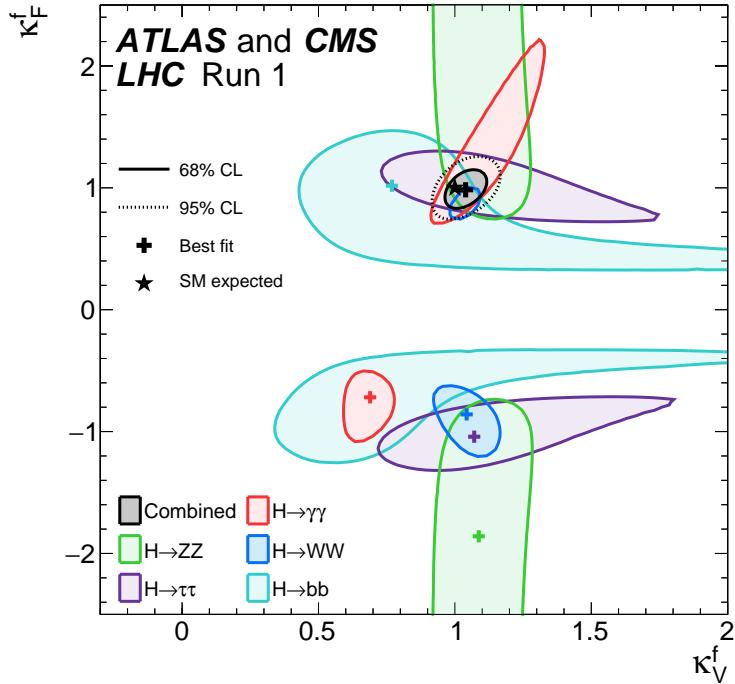


Figure 2.18: Combination of the ATLAS and CMS fits for coupling modifiers κ_t - κ_V ; also shown the individual decay channels combination and their global combination. No assumptions have been made on the sign of the coupling modifiers [53].

945 ATLAS and CMS have performed analysis of the anomalous H-f coupling by making
 946 likelihood scans for the two coupling modifiers, κ_t and κ_V , under the assumption that
 947 $\kappa_Z = \kappa_W = \kappa_V$ and $\kappa_t = \kappa_\tau = \kappa_b = \kappa_f$. Figure 2.18 shows the result of the combination
 948 of ATLAS and CMS fits; also the individual decay channels combination and the
 949 global combination results are shown.

950 While all the channels are compatible for positive values of the modifiers, for negative
 951 values of κ_t there is no compatibility. The best fit for individual channels is compatible
 952 with negative values of κ_t except for the $H \rightarrow bb$ channel which is expected to be the

953 most sensitive channel; therefore, the best fit for the global fit yields $\kappa_t \geq 0$. Thus,
954 the anomalous H-t coupling cannot be excluded completely.

955 **Chapter 3**

956 **The CMS experiment at the LHC**

957 **3.1 Introduction**

958 Located on the Swiss-French border, the European Council for Nuclear Research
959 (CERN) is the largest scientific organization leading the particle physics research.
960 About 13000 people in a broad range of fields including users, students, scientists,
961 engineers, among others, contribute to the data taking and analysis, with the goal
962 of unveiling the secrets of nature and revealing the fundamental structure of the
963 universe. CERN is also the home of the Large Hadron Collider (LHC), the largest
964 circular particle accelerator around the world, where protons (or heavy ions) traveling
965 close to the speed of light, are made to collide. These collisions open a window
966 to investigate how particles (and their constituents if they are composite) interact
967 with each other, providing clues about the laws of nature. This chapter presents an
968 overview of the LHC structure and operation. A detailed description of the CMS
969 detector is offered, given that the data used in this thesis have been taken with this
970 detector.

971 3.2 The LHC

972 With 27 km of circumference, the LHC is currently the largest and most powerful
 973 circular accelerator in the world. It is installed in the same tunnel where the Large
 974 Electron-Positron (LEP) collider was located, taking advantage of the existing infras-
 975 tructure. The LHC is also the larger accelerator in the CERN's accelerator complex
 976 and is assisted by several successive accelerating stages before the particles are in-
 977 jected into the LHC ring where they reach their maximum energy (see Figure 3.1).

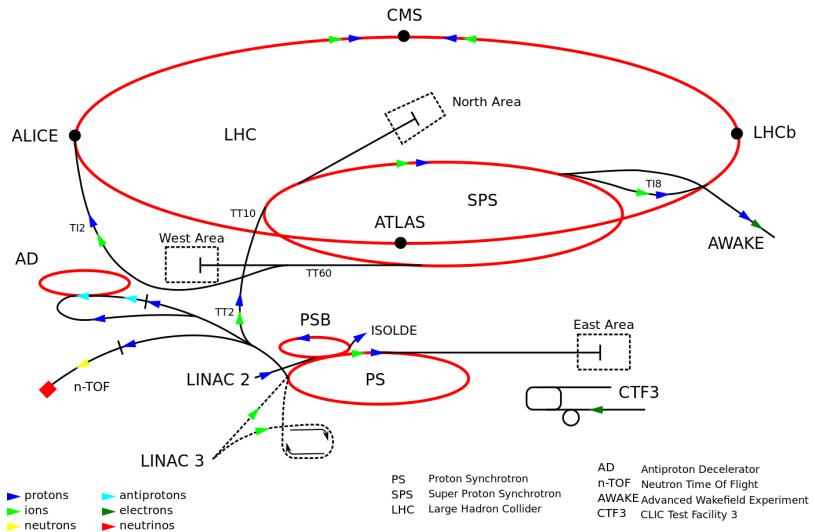


Figure 3.1: CERN accelerator complex. Blue arrows show the path followed by protons along the acceleration process [54].

978 LHC runs in three modes depending on the particles being accelerated

- 979 • Proton-Proton collisions (pp) for multiple physics experiments.
- 980 • Lead-Lead collisions ($Pb-Pb$) for heavy ion experiments.
- 981 • Proton-Lead collisions ($p-Pb$) for quark-gluon plasma experiments.

982 In this thesis only pp collisions will be considered.

983

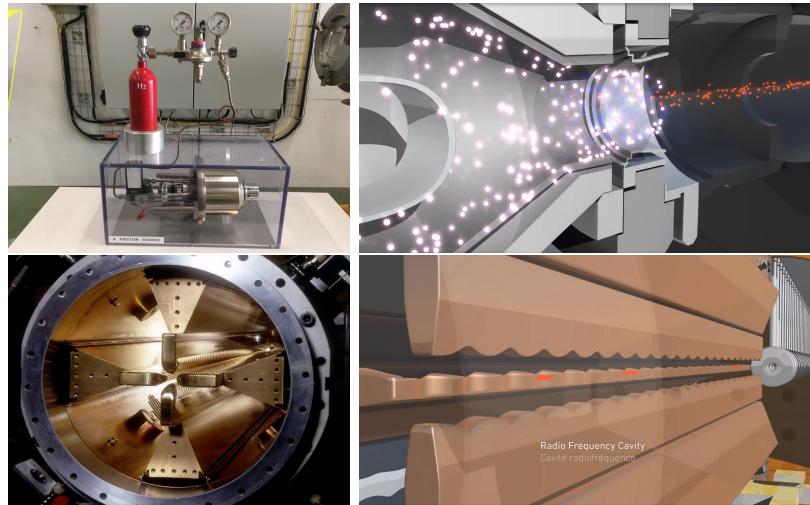


Figure 3.2: LHC protons source and the first acceleration stage. Top: the bottle contains hydrogen gas (white dots) which is injected into the metal cylinder to be broken down into electrons (blue dots) and protons (red dots); Bottom: the obtained protons are directed towards the radio frequency quadrupole which perform the first acceleration, focus the beam and create the bunches of protons. [58, 59]

984 Collection of protons starts with hydrogen atoms taken from a bottle, containing hy-
 985 drogen gas, and injecting them in a metal cylinder; hydrogen atoms are broken down
 986 into electrons and protons by an intense electric field (see Figure 3.2 top). The re-
 987 sulting protons leave the metal cylinder towards a radio frequency quadrupole (RFQ)
 988 that focus the beam, accelerates the protons and creates the packets of protons called
 989 bunches. In the RFQ, an electric field is generated by a RF wave at a frequency that
 990 matches the resonance frequency of the cavity where the electrodes are contained.
 991 The beam of protons traveling on the RFQ axis experiences an alternating electric
 992 field gradient that generates the focusing forces.

993

994 In order to accelerate the protons, a longitudinal time-varying electric field component
 995 is added to the system; it is done by giving the electrodes a sinus-like profile as shown
 996 in Figure 3.2 bottom. By matching the speed and phase of the protons with the
 997 longitudinal electric field the bunching is performed; protons synchronized with the

998 RFQ (synchronous proton) do not feel an accelerating force, but those protons in the
 999 beam that have more (or less) energy than the synchronous proton (asynchronous
 1000 protons) will feel a decelerating (accelerating) force; therefore, asynchronous protons
 1001 will oscillate around the synchronous ones forming bunches of protons [56]. From the
 1002 RFQ protons emerge with energy 750 keV in bunches of about 1.15×10^{11} protons [57].

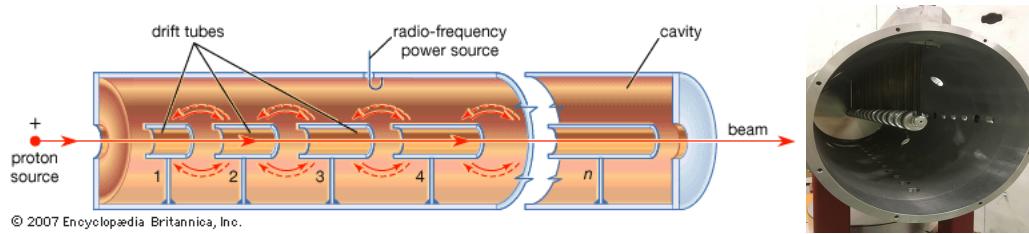


Figure 3.3: The LINAC2 accelerating system at CERN. Electric fields generated by radio frequency (RF) create acceleration and deceleration zones inside the cavity; deceleration zones are blocked by drift tubes where quadrupole magnets focus the proton beam. [60]

1003 Proton bunches coming from the RFQ go to the linear accelerator 2 (LINAC2) where
 1004 they are accelerated to reach 50 MeV energy. In the LINAC2 stage, acceleration
 1005 is performed using electric fields generated by radio frequency which create zones
 1006 of acceleration and deceleration as shown in Figure 3.3. In the deceleration zones,
 1007 the electric field is blocked using drift tubes where protons are free to drift while
 1008 quadrupole magnets focus the beam.

1009

1010 The beam coming from LINAC2 is injected into the proton synchrotron booster
 1011 (PSB) to reach 1.4 GeV in energy. The next acceleration is provided at the pro-
 1012 ton synchrotron (PS) up to 26 GeV, followed by the injection into the super proton
 1013 synchrotron (SPS) where protons are accelerated to 450 GeV. Finally, protons are
 1014 injected into the LHC where they are accelerated to the target energy of 6.5 TeV.
 1015 PSB, PS, SPS and LHC accelerate protons using the same RF acceleration technique
 1016 described before.

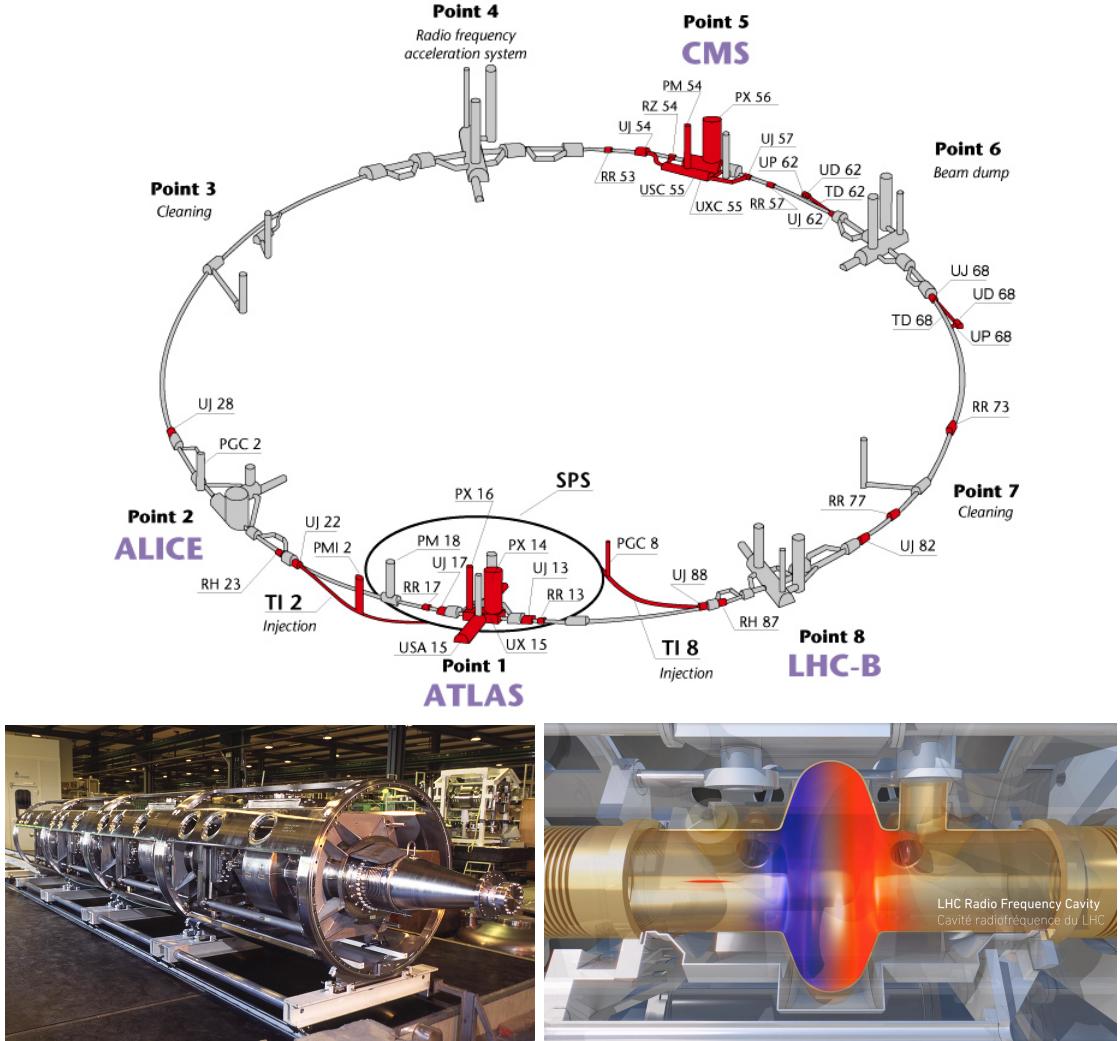


Figure 3.4: Top: LHC layout. The red zones indicate the infrastructure additions to the LEP installations, built to accommodate the ATLAS and CMS experiments which exceed the size of the former experiments located there [55]. Bottom: LHC RF cavities. A module accommodates 4 cavities that accelerate protons and preserve the bunch structure of the beam. [59, 61]

1017 LHC has a system of 16 RF cavities located in the so-called point 4, as shown in
 1018 Figure 3.4 top, tuned at a frequency of 400 MHz and the protons are carefully timed,
 1019 so in addition to the acceleration effect the bunch structure of the beam is preserved.
 1020 Bottom side of Figure 3.4 shows a picture of a RF module composed of 4 RF cavities
 1021 working in a superconducting state at 4.5 K; also is showed a representation of the

1022 accelerating electric field that accelerates the protons in the bunch.

1023

1024 While protons are accelerated in one section of the LHC ring, where the RF cavities
 1025 are located, in the rest of their path they have to be kept in the curved trajectory
 1026 defined by the LHC ring. Technically, LHC is not a perfect circle; RF, injection, beam
 1027 dumping, beam cleaning and sections before and after the experimental points where
 1028 protons collide are all straight sections. In total, there are 8 arcs 2.45 Km long each
 1029 and 8 straight sections 545 m long each. In order to curve the proton's trajectory in
 1030 the arc sections, superconducting dipole magnets are used.

1031

1032 Inside the LHC ring, there are two proton beams traveling in opposite directions in
 1033 two separated beam pipes; the beam pipes are kept at ultra-high vacuum ($\sim 10^{-9}$
 1034 Pa) to ensure that there are no particles that interact with the proton beams. The
 1035 superconducting dipole magnets used in LHC are made of a NbTi alloy, capable of
 1036 transporting currents of about 12000 A when cooled at a temperature below 2K using
 1037 liquid helium (see Figure 3.5).

1038

1039 Protons in the arc sections of LHC feel a centripetal force exerted by the dipole
 1040 magnets which is perpendicular to the beam trajectory; The magnitude of magnetic
 1041 field needed can be found assuming that protons travel at $v \approx c$, using the standard
 1042 values for proton mass and charge and the LHC radius, as

$$F_m = \frac{mv^2}{r} = qBv \quad \rightarrow B = 8.33T \quad (3.1)$$

1043 which is about 100000 times the Earth's magnetic field. A representation of the mag-
 1044 netic field generated by the dipole magnets is shown on the bottom left side of Figure

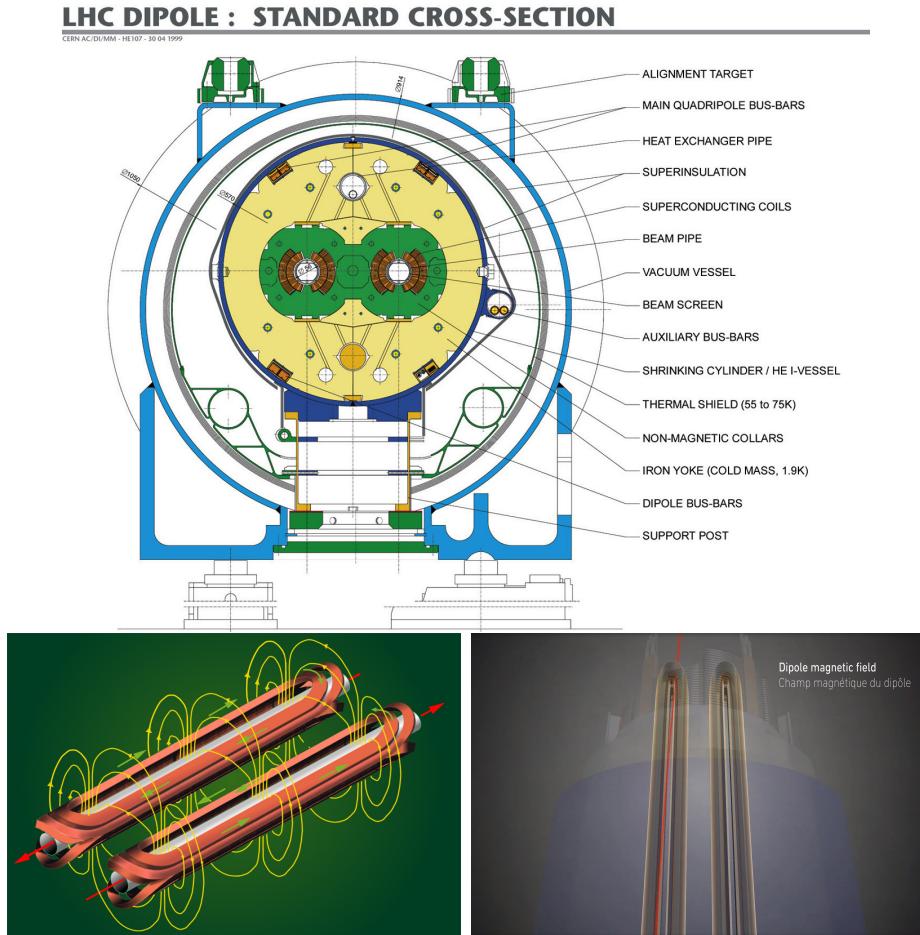


Figure 3.5: Top: LHC dipole magnet transverse view; cooling, shielding and mechanical support are indicated. Bottom left: Magnetic field generated by the dipole magnets; note that the direction of the field inside one beam pipe is opposite with respect to the other beam pipe which guarantee that both proton beams are curved in the same direction towards the center of the ring. The effect of the dipole magnetic field on the proton beam is represented on the bottom right side [59, 62, 63].

1045 3.5. The bending effect of the magnetic field on the proton beam is shown on the
 1046 bottom right side of Figure 3.5. Note that the dipole magnets are not curved; the
 1047 arc section of the LHC ring is composed of straight dipole magnets of about 15 m.
 1048 In total there are 1232 dipole magnets along the LHC ring.
 1049
 1050 In addition to bending the beam trajectory, the beam has to be focused so it stays

1051 inside the beam pipe. The focusing is performed by quadrupole magnets installed in
 1052 a different straight section; in total 858 quadrupole magnets are installed along the
 1053 LHC ring. Other effects like electromagnetic interaction among bunches, interaction
 1054 with electron clouds from the beam pipe, the gravitational force on the protons, dif-
 1055 ferences in energy among protons in the same bunch, among others, are corrected
 1056 using sextupole and other magnetic multipoles.

1057

1058 The two proton beams inside the LHC ring are made of bunches with a cylindrical
 1059 shape of about 7.5 cm long and about 1 mm in diameter; when bunches are close
 1060 to the collision point (CP), the beam is focused up to a diameter of about 16 μm in
 1061 order to maximize the number of collisions per unit area and per second, known as
 1062 luminosity (L). Luminosity can be calculated using

$$L = fn \frac{N_1 N_2}{4\pi\sigma_x\sigma_y} \quad (3.2)$$

1063 where f is the revolution frequency, n is the number of bunches per beam, N_1 and
 1064 N_2 are the numbers of protons per bunch (1.5×10^{11}), σ_x and σ_y are the gaussian
 1065 transverse sizes of the bunches. The expected luminosity is about

$$f = \frac{v}{2\pi r_{LHC}} \approx \frac{3 \times 10^8 \text{ m/s}}{27 \text{ km}} \approx 11.1 \text{ kHz},$$

$$n = 2808$$

$$N_1 = N_2 = 1.5 \times 10^{11}$$

$$\sigma_x = \sigma_y = 16 \mu\text{m}$$

1066

$$L = 1.28 \times 10^{34} \text{ cm}^{-2} \text{ s}^{-1} = 1.28 \times 10^{-5} \text{ fb}^{-1} \text{ s}^{-1} \quad (3.3)$$

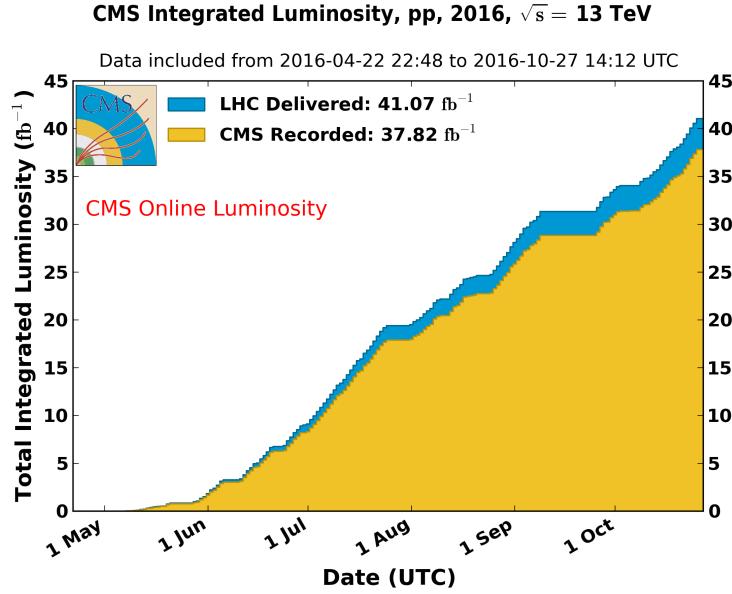


Figure 3.6: Integrated luminosity delivered by LHC and recorded by CMS during 2016. The difference between the delivered and the recorded luminosity is due to fails and issues occurred during the data taking in the CMS experiment [64].

1067 Luminosity is a fundamental aspect of LHC given that the bigger luminosity the
 1068 bigger number of collisions, which means that for processes with a very small cross
 1069 section the number of expected occurrences is increased and so the chances of being
 1070 detected. The integrated luminosity, i.e., the total luminosity, collected by the CMS
 1071 experiment during 2016 is shown in Figure 3.6; the data analyzed in this thesis cor-
 1072 responds to an integrated luminosity of 35.9 fb^{-1} at a center of mass-energy $\sqrt{s} = 13$
 1073 TeV.

1074

1075 A way to increase L is increasing the number of bunches in the beam. Currently, the
 1076 separation between two consecutive bunches in the beam is 7.5 m which corresponds
 1077 to a time separation of 25 ns. In the full LHC ring the allowed number of bunches is
 1078 $n = 27\text{km}/7.5\text{m} = 3600$; however, there are some gaps in the bunch pattern intended
 1079 for preparing the dumping and injection of the beam, thus, the proton beams are

1080 composed of 2808 bunches.

1081

1082 Once the proton beams reach the desired energy, they are brought to cross each other
 1083 producing proton-proton collisions. The bunch crossing happens in precise places
 1084 where the four LHC experiments are located, as seen in the top of Figure 3.7. In
 1085 2008, the first set of collisions involved protons with $\sqrt{s} = 7$ TeV; the energy was
 1086 increased to 8 TeV in 2012 and to 13 TeV in 2015.

1087

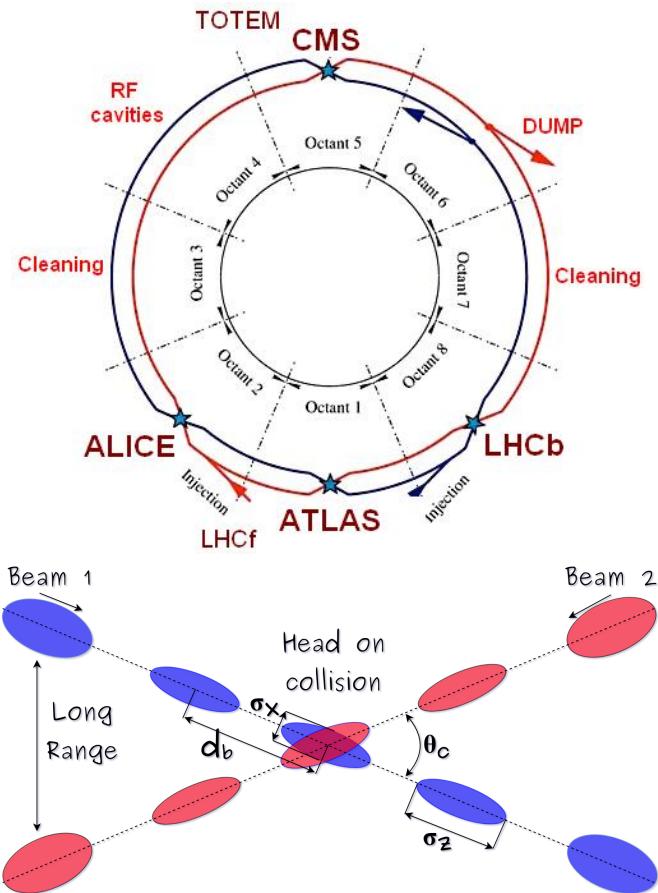


Figure 3.7: Top: LHC interaction points. Bunch crossing occurs where the LHC experiments are located [65]. Sections indicated as cleaning are dedicated to collimate the beam in order to protect the LHC ring from collisions with protons in very spreaded bunches. Bottom: bunch crossing scheme. Since the bunch crossing is not perfectly head-on, the luminosity is reduced in a factor of 17%; adapted from Reference [77].

1088 CMS and ATLAS experiments, which are multi-purpose experiments, are enabled
 1089 to explore physics in any of the collision modes. LHCb experiment is optimized
 1090 to explore bottom quark physics, while ALICE is optimized for heavy ion collisions
 1091 searches; TOTEM and LHCf are dedicated to forward physics studies; MoEDAL (not
 1092 indicated in the Figure) is intended for monopoles or massive pseudo stable particles
 1093 searches.

1094

1095 At the CP there are two interesting details that need to be addressed. The first one
 1096 is that the bunch crossing does not occur head-on but at a small crossing angle θ_c
 1097 (280 μ rad in CMS and ATLAS) as shown in the bottom side of Figure 3.7, affecting
 1098 the overlapping between bunches; the consequence is a reduction of about 17% in
 1099 the luminosity (represented by a factor not included in eqn. 3.2). The second one
 1100 is the occurrence of multiple pp collisions in the same bunch crossing; this effect is
 1101 called pile-up (PU). A fairly simple estimation of the PU follows from estimating the
 1102 probability of collision between two protons, one from each of the bunches in course
 1103 of collision; it depends roughly on the ratio of proton size and the cross section of the
 1104 bunch in the interaction point, i.e.,

$$P(pp\text{-}collision) \sim \frac{d_{proton}^2}{\sigma_x \sigma_y} = \frac{(1\text{fm})^2}{(16\mu\text{m})^2} \sim 4 \times 10^{-21} \quad (3.4)$$

1105 however, there are $N = 1.15 \times 10^{11}$ protons in a bunch, thus the estimated number of
 1106 collisions in a bunch crossing is

$$PU = N^2 * P(pp\text{-}collision) \sim 50 \text{ } pp\text{-}collision \text{ per bunch crossing}, \quad (3.5)$$

1107 about 20 of those pp collisions are inelastic. Each collision generates a vertex, but
 1108 only the most energetic is considered as a primary vertex; the rest are considered

as PU vertices. A multiple pp collision event in a bunch crossing at CMS is showed in Figure 3.8. Unstable particles outgoing from the primary vertex will eventually decay; this decay vertex is known as a secondary vertex.

1112

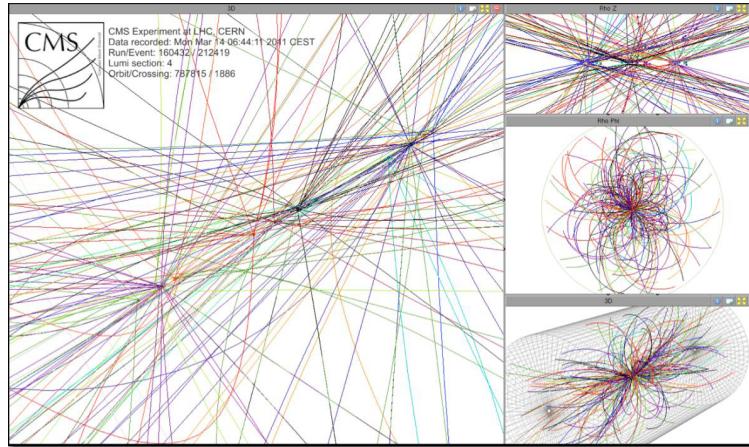


Figure 3.8: Multiple pp collision bunch crossing at CMS. Only the most energetic vertex is considered and the rest are cataloged as PU vertices [66].

1113 Next section presents a description of the CMS detector which it is the detector used
1114 to collect the data used in this thesis.

1115 3.3 The CMS experiment

1116 CMS is a general-purpose detector designed to conduct research in a wide range
1117 of physics from the standard model to new physics like extra dimensions and dark
1118 matter. Located at the point 5 in the LHC layout as shown in Figure 3.4, CMS is
1119 composed of several detection systems distributed in a cylindrical structure; in total,
1120 CMS weights about 12500 tons in a very compact 21.6 m long and 14.6 m diameter
1121 cylinder. It was built in 15 separate sections at the ground level and lowered to the
1122 cavern individually to be assembled. A complete and detailed description of the CMS
1123 detector and its components is given in Reference [67] on which this section is based

1124 on.

1125

1126 Figure 3.9 shows the layout of the CMS detector. The design is driven by the require-
 1127 ments on the identification, momentum resolution and unambiguous charge determi-
 1128 nation of the muons; therefore, a large bending power is provided by the solenoid
 1129 magnet made of superconducting cable capable to generate a 3.8 T magnetic field.
 1130 The detection system is composed of (from the innermost to the outermost)

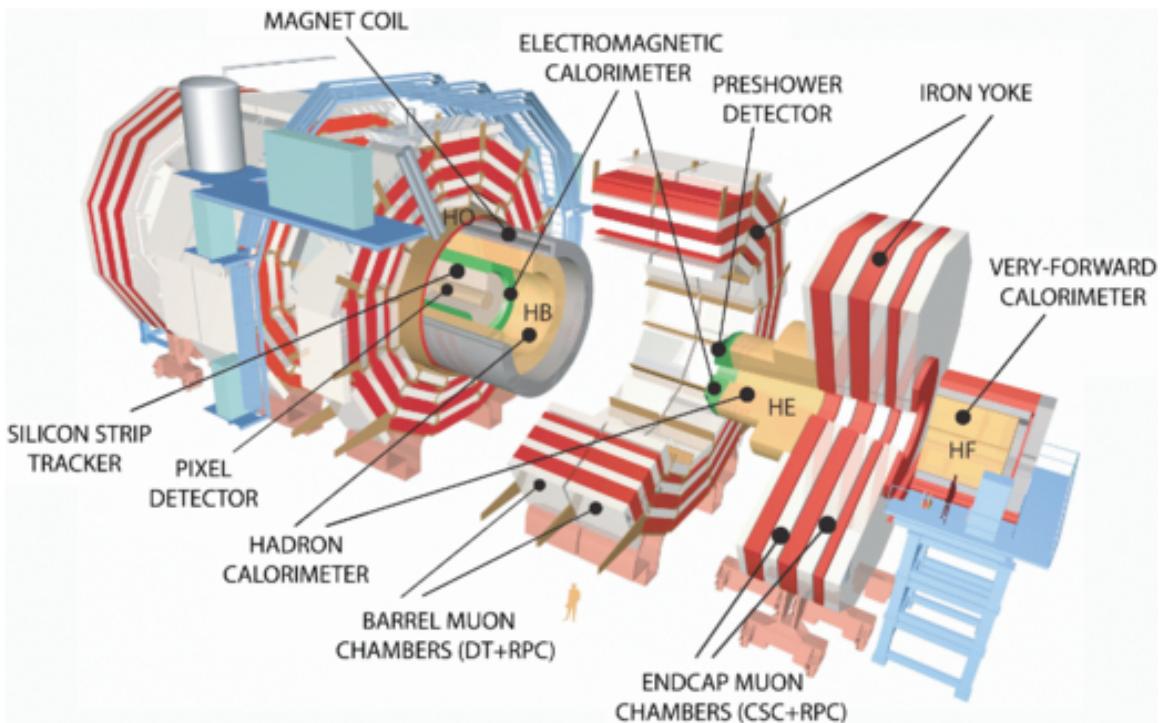


Figure 3.9: Layout of the CMS detector. The several subdetectors are indicated. The central region of the detector is referred as the Barrel section while the endcaps are referred as the forward sections. [68].

1131 • Pixel detector.

1132 • Silicon strip tracker.

1133 • Preshower detector.

1134 • Electromagnetic calorimeter.

1135 • Hadronic calorimeter.

1136 • Muon chambers (Barrel and endcap)

1137 The central region of the detector is commonly referred as the barrel section while the
 1138 endcaps are referred as the forward sections of the detector; thus, each subdetector
 1139 is composed of a barrel section and a forward section.

1140 3.3.1 Coordinate system

1141 The coordinate system used by CMS is centered in the geometrical center of the
 1142 detector which is the same as the CP as shown in Figure 3.10. The z -axis is parallel
 1143 to the beam direction, while the Y -axis pointing vertically upward, and the X -axis
 1144 pointing radially inward toward the center of the LHC.

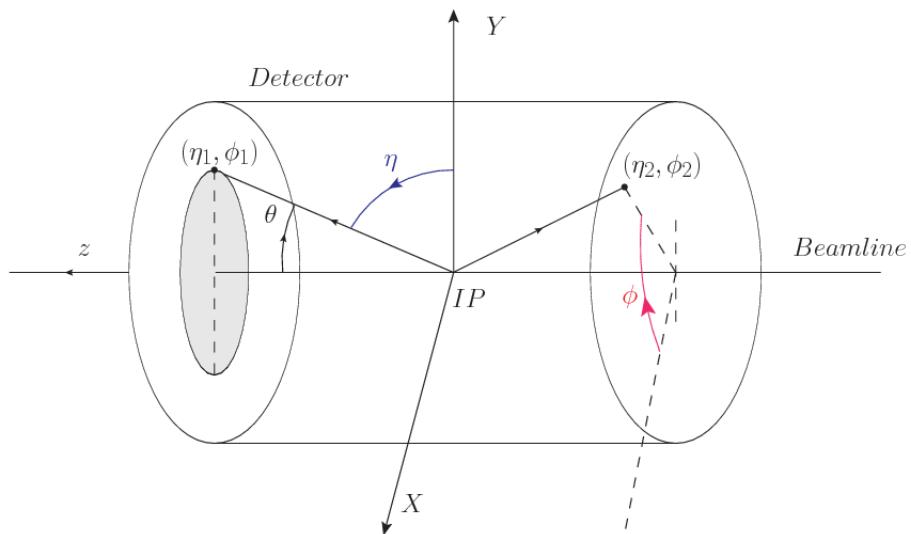


Figure 3.10: CMS detector coordinate system.

1145 In addition to the common cartesian and cylindrical coordinate systems, two coor-
 1146 dinates are of particular utility in particle physics: rapidity (y) and pseudorapidity

1147 (η) , defined in connection to the polar angle θ , energy and longitudinal momentum
 1148 component (momentum along the z -axis) according to

$$y = \frac{1}{2} \ln \frac{E + p_z}{E - p_z} \quad \eta = -\ln \left(\tan \frac{\theta}{2} \right) \quad (3.6)$$

1149 Rapidity is related to the angle between the XY -plane and the direction in which the
 1150 products of a collision are emitted; it has the nice property that the difference between
 1151 the rapidities of two particles is invariant with respect to Lorentz boosts along the z -
 1152 axis. Thus, data analysis becomes more simple when based on rapidity; however, it is
 1153 not simple to measure the rapidity of highly relativistic particles, as those produced
 1154 after pp collisions. Under the highly relativistic motion approximation, y can be
 1155 rewritten in terms of the polar angle, concluding that rapidity is approximately equal
 1156 to the pseudorapidity defined above, i.e., $y \approx \eta$. Note that η is easier to measure than y
 1157 given the direct relationship between the former and the polar angle. Angular distance
 1158 between two objects in the detector (ΔR) is defined in terms of their coordinates
 1159 $(\eta_1, \phi_1), (\eta_2, \phi_2)$ as

$$\Delta R = \sqrt{(\Delta\eta)^2 - (\Delta\phi)^2} \quad (3.7)$$

1160 3.3.2 Pixels detector

1161 The CMS tracking system is designed to provide a precise measurement of the tra-
 1162 jectory (*track*) followed by the charged particles created after the pp collisions; also,
 1163 the precise reconstruction of the primary and secondary origins (*vertices*) is expected
 1164 in an environment where, each 25 ns, the bunch crossing produce about 20 inelastic
 1165 collisions and about 1000 particles. An increment in the luminosity is ongoing which
 1166 implies that the PU will increase accordingly.

1168 The pixel detector was replaced during the 2016-2017 extended year-end technical
1169 stop, due to the increasingly challenging operating conditions like the higher particle
1170 flow and more radiation harsh environment, among others. The new one is responding
1171 as expected, reinforcing its crucial role in the successful way to fulfill the new LHC
1172 physics objectives after the discovery of the Higgs boson. The last chapter of this
1173 thesis is dedicated to describe my contribution to the *Forward Pixel Phase 1 upgrade*.

1174

1175 The current pixel detector is composed of 1856 silicon pixel detector modules orga-
1176 nized in four-barrel layers in the central region and three disks in the forward region;
1177 it is designed to record efficiently and with high precision, up to $10\mu\text{m}$ in the XY -
1178 plane and $20\mu\text{m}$ in the z -direction, the first four space-points (*hits*) near to the CP
1179 region (see Figure 3.11 left side) in the range $|\eta| \leq 2.5$. The first barrel layer is located
1180 at a radius of 30 mm from the beamline, while the fourth layer is located at a radius
1181 of 160 mm closer to the strip tracker inner barrel layer (see Section 3.3.3) in order to
1182 reduce the rate of fake tracks. The high granularity of the detector is represented in
1183 its about 123 Mpixels, each of size $100 \times 150\mu\text{m}^2$, which is almost twice the channels
1184 of the old detector. The transverse momentum resolution of tracks can be measured
1185 with a resolution of 1-2% for muons of $p_T = 100$ GeV.

1186

1187 Some of the improvements with respect to the previous pixel detector include a higher
1188 average tracking efficiency and lower average fake rate as well as higher track impact
1189 parameter resolution which is fundamental in order to increase the efficiency in the
1190 identification of jets originating from b quarks (b-tagging). A significant source of
1191 improvement comes from the overall reduction in the material budget of the detector
1192 which results in fewer photon conversions and less multiple scattering from charged
1193 particles.

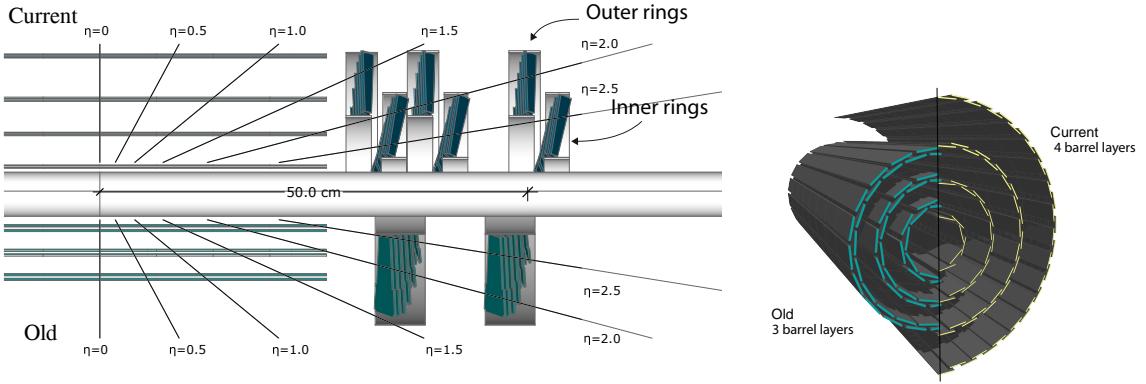


Figure 3.11: CMS pixel detector schematic view. Left: layout comparing the layers and disks in the old and current pixel detectors. Right: Transverse-oblique view comparing the pixel barrel layers in the two [70].

1194 3.3.3 Silicon strip tracker

1195 The silicon strip tracker (SST) is the second stage in the CMS tracking system. The
 1196 top side of Figure 3.12 shows a schematic of the SST. The inner tracker region is com-
 1197 posed of the tracker inner barrel (TIB) and the tracker inner disks (TID) covering the
 1198 region $r < 55$ cm and $|z| < 118$ cm. The TIB is composed of 4 layers while the TID
 1199 is composed of 3 disks at each end. The silicon sensors in the inner tracker are 320
 1200 μm thick, providing a resolution of about 13-38 μm in the $r\phi$ position measurement.
 1201

1202 The modules indicated in blue in the schematic view of Figure 3.12 are two modules
 1203 mounted back-to-back and rotated in the plane of the module by a *stereo* angle of
 1204 100 mrad; the hits from these two modules, known as *stereo hits*, are combined to
 1205 provide a measurement of the second coordinate (z in the barrel and r on the disks)
 1206 allowing the reconstruction of hit positions in 3-D.
 1207

1208 The outer tracker region is composed of the tracker outer barrel (TOB) and the
 1209 tracker endcaps (TEC). The six layers of the TOB offer coverage in the region $r > 55$

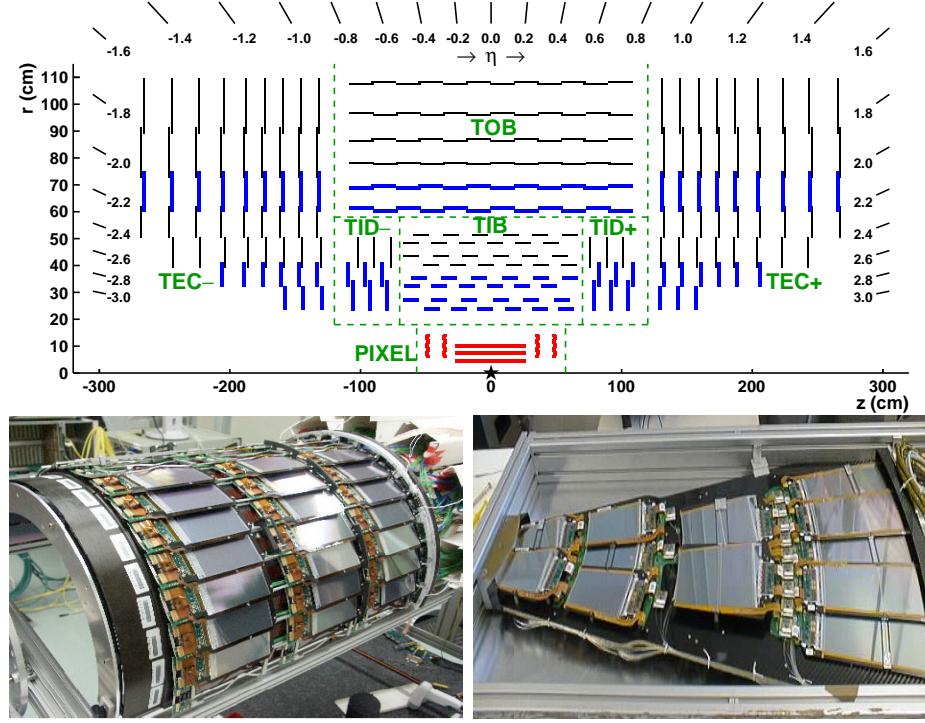


Figure 3.12: Top: CMS Silicon Strip Tracker (SST) schematic view. The SST is composed of the tracker inner barrel (TIB), the tracker inner disks (TID), the tracker outer barrel (TOB) and the tracker endcaps (TEC). Each part is made of silicon strip modules; the modules in blue represent two modules mounted back-to-back and rotated in the plane of the module by a stereo angle of 120 mrad in order to provide a 3-D reconstruction of the hit positions. Bottom: pictures of the TIB (left) and TEC (right) modules [71–73].

1210 cm and $|z| < 118$ cm, while the 9 disks of the TEC cover the region $124 < |z| < 282$
 1211 cm. The resolution offered by the outer tracker is about $13\text{--}38 \mu\text{m}$ in the $r\phi$ position
 1212 measurement. The inner four TEC disks use silicon sensors $320 \mu\text{m}$ thick; those in
 1213 the TOB and the outer three TEC disks use silicon sensors of $500 \mu\text{m}$ thickness. The
 1214 silicon strips run parallel to the z -axis and the distance between strips varies from 80
 1215 μm in the inner TIB layers to $183 \mu\text{m}$ in the inner TOB layers; in the endcaps the
 1216 wedge-shaped sensors with radial strips, whose pitch range between $81 \mu\text{m}$ at small
 1217 radii and $205 \mu\text{m}$ at large radii.

1218

1219 The whole SST has 15148 silicon modules, 9.3 million silicon strips and cover a total

1220 active area of about 198 m^2 .

1221 3.3.4 Electromagnetic calorimeter

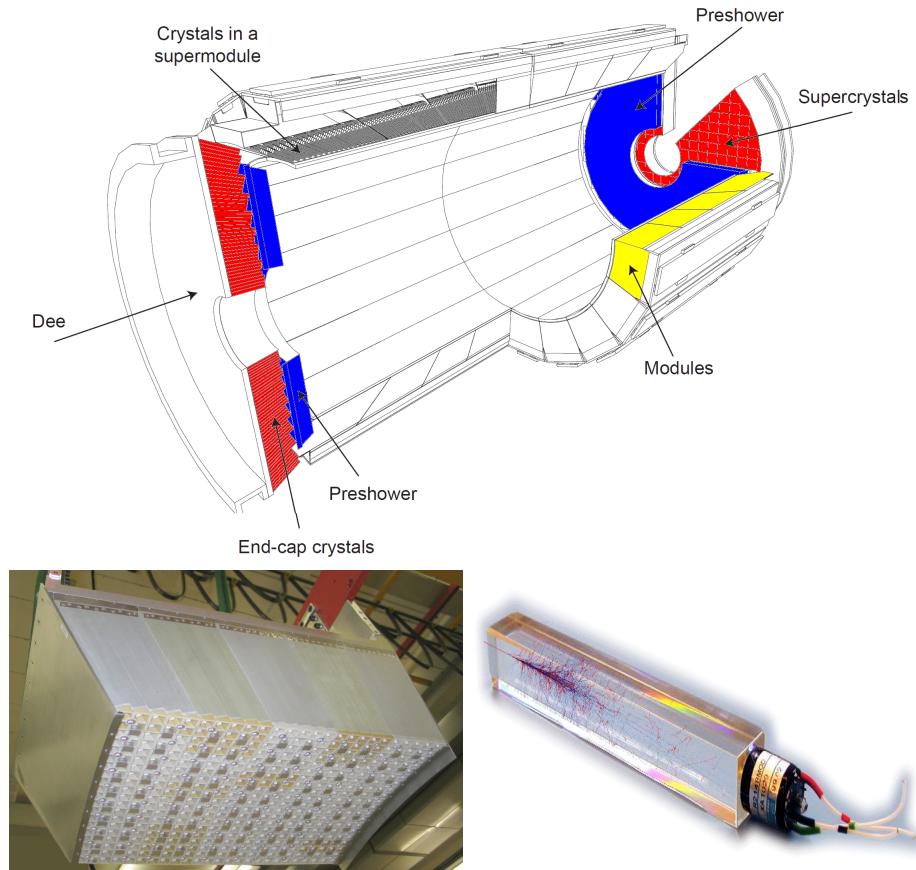


Figure 3.13: Top: CMS ECAL schematic view. Bottom: Module equipped with the crystals (left); ECAL crystal(right).

1222 The CMS electromagnetic calorimeter (ECAL) is designed to measure the energy of
 1223 electrons and photons. It is composed of 75848 lead tungstate crystals which have a
 1224 short radiation length (0.89 cm) and fast response, since 80% of the light is emitted
 1225 within 25 ns; however, they are combined with Avalanche photodiodes (APDs) as
 1226 photodetectors given that crystals themselves have a low light yield ($30\gamma/\text{MeV}$). A

1227 schematic view of the ECAL is shown in Figure 3.13.

1228

1229 Energy is measured when electrons and photons are absorbed by the crystals which
 1230 generates an electromagnetic *shower*, as seen in bottom right picture of the Figure
 1231 3.13; the shower is seen as a *cluster* of energy which depending on the amount of en-
 1232 ergy deposited can involve several crystals. The ECAL barrel (EB) covers the region
 1233 $|\eta| < 1.479$, using crystals of depth of 23 cm and $2.2 \times 2.2 \text{ cm}^2$ transverse section;
 1234 the ECAL endcap (EE) covers the region $1.479 < |\eta| < 3.0$ using crystals of depth
 1235 22 cm and transverse section of $2.86 \times 2.86 \text{ cm}^2$; the photodetectors used are vacuum
 1236 phototriodes (VPTs). Each EE is divided in two structures called *Dees*.

1237

1238 In front of the EE, it is installed the preshower detector (ES) which covers the region
 1239 $1.653 < |\eta| < 2.6$. The ES provides a precise measurement of the position of electro-
 1240 magnetic showers, which allows to distinguish electrons and photons signals from π^0
 1241 decay signals. The ES is composed of a layer of lead absorber followed by a layer of
 1242 plastic scintillators

1243 3.3.5 Hadronic calorimeter

1244 Hadrons are not absorbed by the ECAL but by the hadron calorimeter (HCAL),
 1245 which is made of a combination of alternating brass absorber layers and silicon photo-
 1246 multiplier(SiPM) layers; therefore, particles passing through the scintillator material
 1247 produce showers, as in the ECAL, as a result of the inelastic scattering of the hadrons
 1248 with the detector material. Since the particles are not absorbed in the scintillator,
 1249 their energy is sampled; therefore the total energy is not measured but estimated from
 1250 the energy clusters, which reduce the resolution of the detector. Brass was chosen

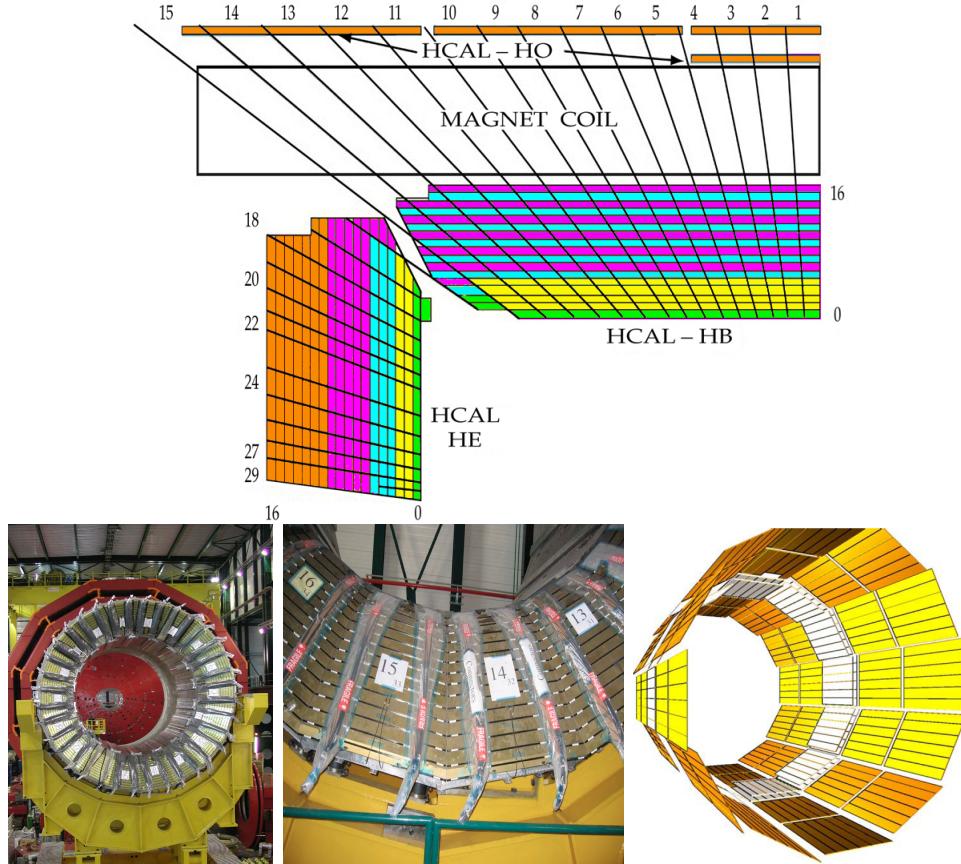


Figure 3.14: Top: CMS HCAL schematic view, the colors indicate the layers that are grouped into the same readout channels. Bottom: picture of a section of the HB; the absorber material is the golden region and scintillators are placed in between the absorber material (left and center). Schematic view of the HO (right). [74,75]

as the absorber material due to its short interaction length ($\lambda_I = 16.42\text{cm}$) and its non-magnetivity. Figure 3.14 shows a schematic view of the CMS HCAL.

1253

1254 The HCAL is divided into four sections; the Hadron Barrel (HB), the Hadron Outer
 1255 (HO), the Hadron Endcap (HE) and the Hadron Forward (HF) sections. The HB
 1256 covers the region $0 < |\eta| < 1.4$, while the HE covers the region $1.3 < |\eta| < 3.0$. The HF,
 1257 made of quartz fiber scintillator and steel as absorption material, covers the forward
 1258 region $3.0 < |\eta| < 5.2$. Both the HB and HF are located inside the solenoid. The HO

is placed outside the magnet as an additional layer of scintillators with the purpose of measure the energy tails of particles passing through the HB and the magnet (see Figure 3.14 top and bottom right). The upgrades made to the HCAL during the technical stop 2016-2017 consisted in the replacement of the photo transducer, in order to improve the efficiency.

3.3.6 Superconducting solenoid magnet

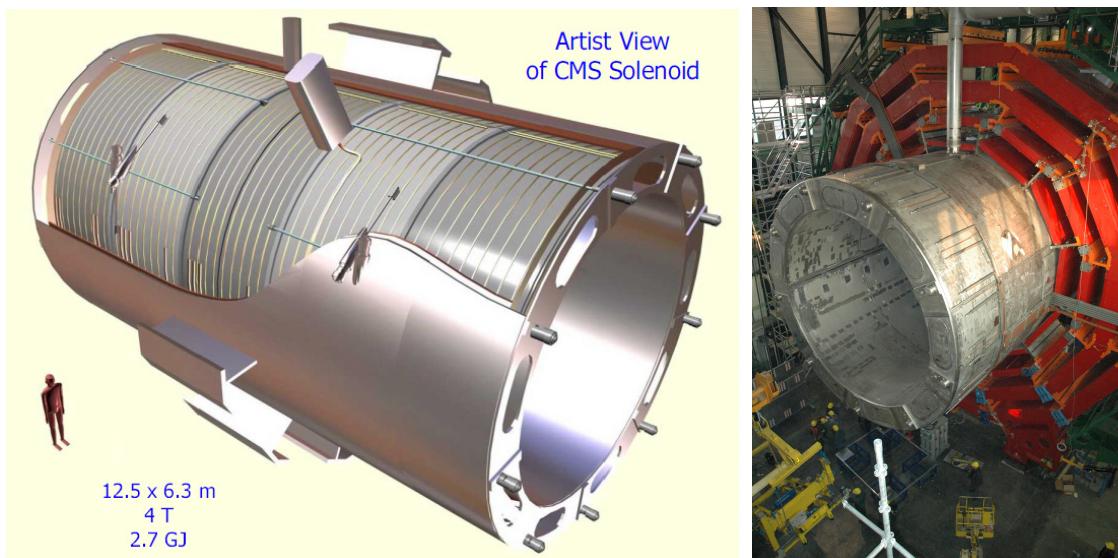


Figure 3.15: Artistic representation of the CMS solenoid magnet(left). The magnet is supported on an iron yoke (right) which also serves as the house of the muon detector and as mechanical support for the whole CMS detector [69].

The superconducting magnet installed in the CMS detector is designed to provide an intense and highly uniform magnetic field in the central part of the detector. In fact, the tracking system takes advantage of the bending power of the magnetic field to measure with precision the momentum of the particles that traverse it; the unambiguous determination of the sign for high momentum muons was a driven principle during the design of the magnet. The magnet has a diameter of 6.3 m, a length of 12.5 m and a cold mass of 220 t; the generated magnetic field reaches a strength of 3.8T.

1272 Since it is made of Ni-Tb superconducting cable it has to operate at a temperature
 1273 of 4.7 K by using a helium cryogenic system; the current circulating in the cables
 1274 reaches 18800 A under normal running conditions. The left side of Figure 3.15 shows
 1275 an artistic view of the CMS magnet, while the right side shows a transverse view of
 1276 the cold mass where the winding structure is visible.

1277

1278 The yoke (see Figure 3.15), composed of 5 barrel wheels and 6 endcap disks made
 1279 of iron, serves not only as the media for magnetic flux return but also provides the
 1280 house for the muon detector system and structural stability to the full detector.

1281 3.3.7 Muon system

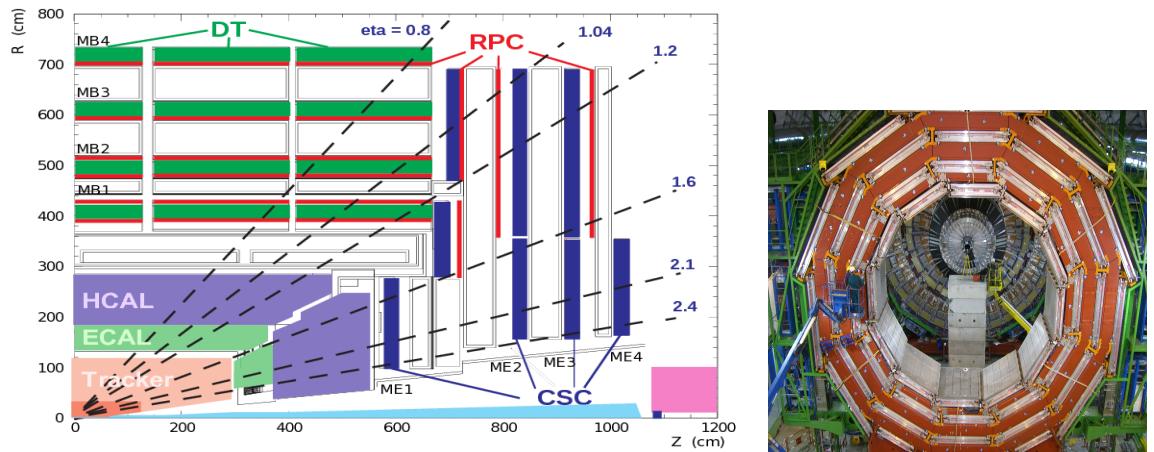


Figure 3.16: Left: CMS muon system schematic view; Right: one of the yoke rings with the muon DTs and RPCs installed; in the back it is possible to see the muon endcap [76].

1282 Muons are the only charged particles able to pass through all the CMS detector due
 1283 to their low ionization energy loss; thus, muons can be separated easily from the
 1284 high amount of particles produced in a pp collision. Also, muons are expected to be
 1285 produced in the decay of several new particles; therefore, a good detection of muons

1286 was on the leading principles when designing the CMS detector.

1287

1288 The CMS muon detection system (muon spectrometer) is embedded in the return
1289 yoke as seen in Figure 3.16. It is composed of three different detector types, the drift
1290 tube chambers (DT), Cathode strip chambers (CSC), and resistive plate chambers
1291 (RPC); DT are located in the central region $\eta < 1.2$ arranged in four layers of drift
1292 chambers filled with an Ar/CO₂ gas mixture.

1293

1294 The muon endcaps are made of CSCs covering the region $\eta < 2.4$ and filled with a
1295 mixture of Ar/CO₂/CF₄. The reason behind using a different detector type lies on
1296 the different conditions in the forward region like the higher muon rate and higher
1297 residual magnetic field compared to the central region.

1298

1299 The third type of detector used in the muon system is a set of four disks of RPCs
1300 working in avalanche mode. The RPCs provide good spatial and time resolutions.
1301 The track of $high - p_T$ muon candidates is built combining information from the
1302 tracking system and the signal from up to six RPCs and four DT chambers.
1303 The muon tracks are reconstructed from the hits in the several layers of the muon
1304 system.

1305 **3.3.8 CMS trigger system**

1306 Under normal conditions, CMS expects pp collisions every 25 ns, i.e., an interaction
1307 rate of 40 MHz for which it is not possible to store the recorded data in full. In order
1308 to handle this high event rate data, an online event selection, known as triggering, is
1309 performed; triggering reduce the event rate to 100 Hz for storage and further offline

1310 analysis.

1311

1312 The trigger system starts with a reduction of the event rate to 100 kHz in the so-
 1313 called *level 1 trigger (L1)*. L1 is based on dedicated programmable hardware like
 1314 Field Programmable Gate Arrays (FPGAs) and Application Specific Integrated Cir-
 1315 cuits (ASICs), partly located in the detector itself; another portion is located in the
 1316 CMS under-ground cavern. Hit patterns information from the muon chambers and
 1317 the energy deposits in the calorimeter are used to decide if an event is accepted or
 1318 rejected, according to selection requirements previously defined, which reflect the in-
 1319 teresting physics processes. Figure 3.17 shows the L1 trigger architecture.

1320

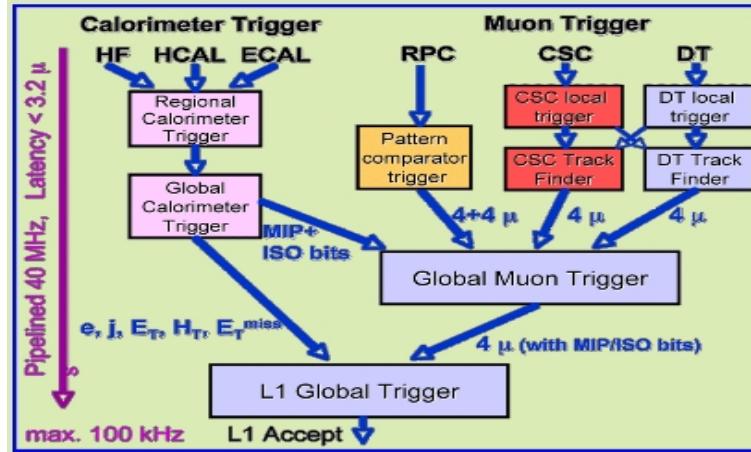


Figure 3.17: CMS Level-1 trigger architecture [77].

1321 The second stage in the trigger system is called *high-level trigger (HLT)*; events ac-
 1322 cepted by L1 are passed to HLT in order to make an initial reconstruction of them.
 1323 HLT is software based and runs on a dedicated server farm, using selection algo-
 1324 rithms and high-level object definitions; the event rate at HLT is reduced to 100 Hz.
 1325 The first HLT stage takes information from the muon detectors and the calorimeters
 1326 to make the initial object reconstruction; in the next HLT stage, information from

1327 the pixel and strip detectors is used to do first fast-tracking and then full tracking
1328 online. This initial object reconstruction is used in further steps of the trigger system.

1329

1330 Events and preliminary reconstructed physics objects from HLT are sent to be fully
1331 reconstructed at the CERN computing center. Again, the pixel detector information
1332 provides high-quality seeds for the track reconstruction algorithm offline, primary ver-
1333 tex reconstruction, electron and photon identification, muon reconstruction, τ iden-
1334 tification, and b-tagging. After full reconstruction, data sets are made available for
1335 offline analyses.

1336

1337 During the 2016-2017 technical stop, the L1 system was updated in order to improve
1338 the physics object identification by improving the algorithms and accounting for the
1339 increasing pile-up scenario.

1340 3.3.9 CMS computing

1341 After the data, coming from the experiment, are processed at several levels, they have
1342 to be stored and made available for further analysis; in order to cope all the tasks
1343 implied in the offline data processing, like transfer, simulation, reconstruction and
1344 reprocessing, among others, a big computing power is required. The CMS computing
1345 system is based on the distributed architecture concept, where users of the system
1346 and physical computer centers are distributed worldwide and interconnected by high-
1347 speed networks.

1348 The worldwide LHC computing grid (WLCG) is the mechanism used to provide that
1349 distributed environment. WLCG is a tiered structure connecting computing centers
1350 around the world, which provides the necessary storage and computing facilities. The

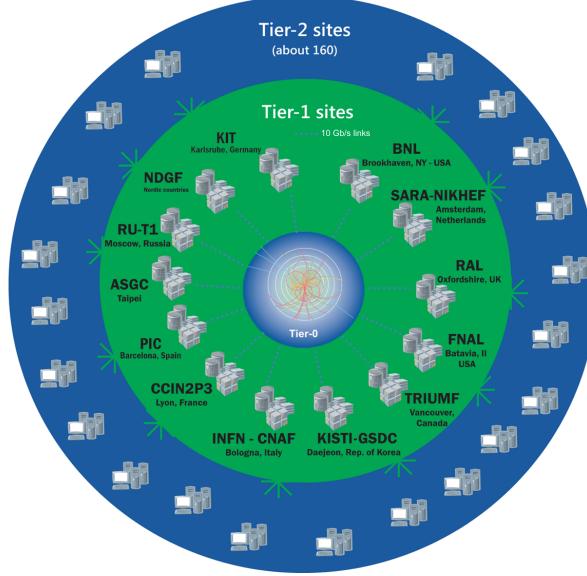


Figure 3.18: WLCG structure. The primary computer centers (Tier-0) are located at CERN (data center) and at the Wigner datacenter in Budapest. Tier-1 is composed of 13 centers and Tier-2 is composed of about 160 centers. [78].

1351 primary computing centers of the WLCG are located at the CERN and the Wigner
 1352 datacenter in Budapest and are known as Tier-0 as shown in Figure 3.18. The main
 1353 responsibilities for each tier level are [78]

- 1354 • **Tier-0:** initial reconstruction of recorded events and storage of the resulting
 1355 datasets, the distribution of raw data to the Tier-1 centers.
- 1356 • **Tier-1:** provide storage capacity, support for the Grid, safe-keeping of a pro-
 1357 portional share of raw and reconstructed data, large-scale reprocessing and safe-
 1358 keeping of corresponding output, generation of simulated events, distribution
 1359 of data to Tier 2s, safe-keeping of a share of simulated data produced at these
 1360 Tier 2s.
- 1361 • **Tier-2:** store sufficient data and provide adequate computing power for specific
 1362 analysis tasks, provide analysis requirements and proportional share of simu-
 1363 lated event production and reconstruction.

1364 Aside from the general computing strategy to manage the huge amount of data pro-
1365 duced by experiments, CMS uses a framework to perform a variety of processing,
1366 selection and analysis tasks. The central concept of the CMS data model referred to
1367 as *event data model* (EDM) is the *Event*; therefore, an event is the unit that contains
1368 the information from a single bunch crossing as well as any data derived from that
1369 information like the reconstructed objects, the details under which additional data
1370 are derived.

1371

1372 Events are passed as the input to the *physics modules* that obtain information from
1373 them and create new one; for instance, *event data producers* add new data into the
1374 events, *analyzers* produce an information summary from an event set, *filters* perform
1375 selection and triggering.

1376

1377 CMS uses several event formats with different levels of detail and precision

1378 • **Raw format:** events in this format contain the full recorded information from
1379 the detector as well as trigger decision and other metadata. An extended version
1380 of raw data is used to store information from the CMS Monte Carlo simulation
1381 tools. Raw data are stored permanently, occupying about 2MB/event

1382 • **RECO format:** events in this format correspond to raw data that have been
1383 submitted to reconstruction algorithms like primary and secondary vertex re-
1384 construction, particle ID, track-finding. RECO events contain physical objects
1385 and all the information used to reconstruct them; average size is about 0.5
1386 MB/event.

1387 • **AOD format:** Analysis Object Data (AOD) is the data format used in the
1388 physics analyses given that it contains the parameters describing the high-level

1389 physics objects in addition to enough information to allow a kinematic refitting if
 1390 needed. AOD events are filtered versions of the RECO events to which skimming
 1391 or other kind processes have been applied. Requires about 100 kB/event.

1392 • **Non-event data** are data needed to interpret and reconstruct events. Some
 1393 of the non-event data used by CMS contains information about the detector
 1394 contraction and condition data like calibrations, alignment, and detector status.

1395 Figure 3.19 shows the data flow scheme between CMS detector and hardware tiers.

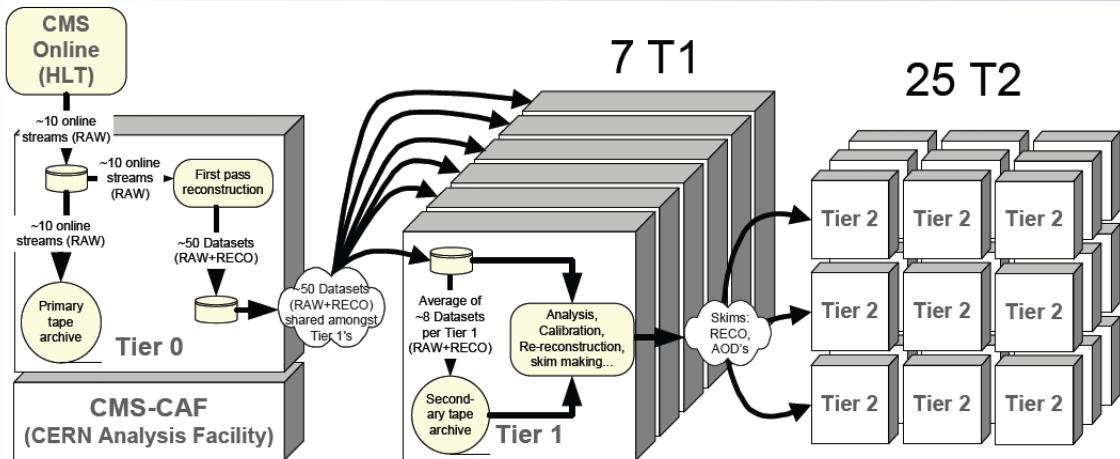


Figure 3.19: Data flow from CMS detector through hardware Tiers.

1396 The whole collection of software built as a framework is referred to as *CMSSW*. This
 1397 framework provides the services needed by the simulation, calibration and alignment,
 1398 and reconstruction modules that process event data, so that physicists can perform
 1399 analysis. The CMSSW event processing model is composed of one executable, called
 1400 cmsRun, and several plug-in modules which contains all the tools (calibration, recon-
 1401 struction algorithms) needed to process an event. The same executable is used for
 1402 both detector and Monte Carlo data [79].

1403 **Chapter 4**

1404 **Event generation, simulation and
1405 reconstruction**

1406 The process of analyzing data recorded by the CMS experiment involves several stages
1407 where the data are processed in order to interpret the information provided by all
1408 the detection systems; in those stages, the particles produced after the pp collision
1409 are identified by reconstructing their trajectories and measuring their features. In
1410 addition, the SM provides a set of predictions that have to be compared with the
1411 experimental results; however, in most of the cases, theoretical predictions are not
1412 directly comparable to experimental results due to the diverse source of uncertainties
1413 introduced by the experimental setup and theoretical approximations, among others.

1414

1415 The strategy to face these conditions consists in using statistical methods imple-
1416 mented in computational algorithms to produce numerical results that can be con-
1417 trasted with the experimental results. These computational algorithms are commonly
1418 known as Monte Carlo (MC) methods and, in the case of particle physics, they are
1419 designed to apply the SM rules and produce predictions about the physical observ-

ables measured in the experiments. Since particle physics is governed by quantum mechanics principles, predictions are not allowed from single events; therefore, a high number of events are *generated* and predictions are produced in the form of statistical distributions for the observables. Effects of the detector presence are included in the predictions by introducing simulations of the detector itself.

1425

1426 This chapter presents a description of the event generation strategy and the tools
 1427 used to perform the detector simulation and physics objects reconstruction. A com-
 1428 prehensive review of event generators for LHC physics can be found in Reference [80]
 1429 on which this chapter is based.

1430 4.1 Event generation

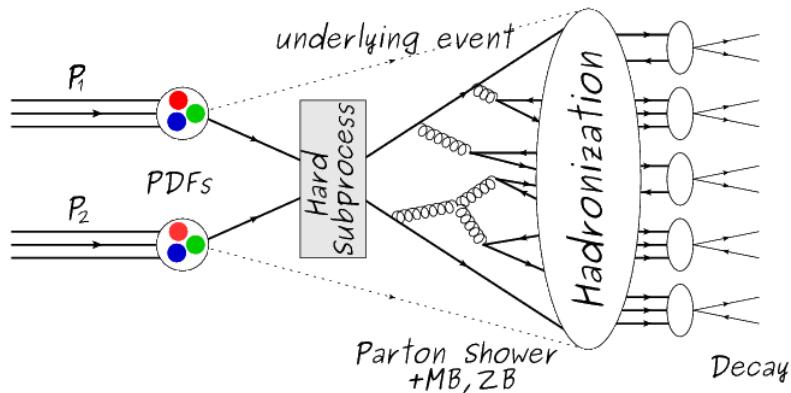


Figure 4.1: Event generation process. The actual interaction is generated in the hard subprocess. The parton shower describes the evolution of the partons from the hard subprocess. Modified from Reference [81].

1431 The event generation is intended to create events that mimic the behavior of actual
 1432 events produced in collisions; they obey a sequence of steps from the particles collision
 1433 hard process to the decay process into the final state. Figure 4.1 shows a schematic
 1434 view of the event generation process; the fact that the full process can be treated as

1435 several independent steps is motivated by the QCD factorization theorem.

1436

1437 Generation starts by taking into account the PDFs of the incoming particles. Event
 1438 generators offer the option to chose from several PDF sets depending on the particu-
 1439 lar process under simulation¹; in the following, pp collisions will be considered. The
 1440 *hard subprocess* describes the actual interaction between partons from the incoming
 1441 protons; it is represented by the matrix element connecting the initial and final states
 1442 of the interaction. Normally, the matrix element can be written as a sum over Feyn-
 1443 man diagrams and consider interferences between terms in the summation. During
 1444 the generation of the hard subprocess, the production cross section is calculated.

1445

1446 The order to which the cross section is calculated depends on the order of the Feyn-
 1447 man diagrams involved in the calculation; therefore, radiative corrections are included
 1448 by considering a higher order Feynman diagrams where QCD radiation dominates.
 1449 Currently, cross sections calculated to LO do not offer a satisfactory description of the
 1450 processes, i.e., the results are only reliable for the shape of distributions; therefore,
 1451 NLO calculations have to be performed with the implication that the computing time
 1452 needed is highly increased.

1453

1454 The final parton content of the hard subprocess is subjected to the *parton shower*
 1455 which generates the gluon radiation. Parton shower evolves the partons, i.e., glouns
 1456 split into quark-antiquark pairs and quarks with enough energy radiate gluons giv-
 1457 ing rise to further parton multiplication, following the DGLAP (Dokshitzer-Gribov-
 1458 Lipatov-Altarelli-Parisi) equations. Showering continues until the energy scale is low
 1459 enough to reach the non-perturbative limit.

¹ Tool in Reference [82] allows to plot different PDF sets under customizable conditions.

1460

1461 In the simulation of LHC processes that involve b quarks, like the single top quark
 1462 or Higgs associated production, it is needed to consider that the b quark is heavier
 1463 than the proton; hence, the QCD interaction description is made in two different
 1464 schemes [83]

1465 • four-flavor (4F) scheme. b quarks appear only in the final state because they
 1466 are heavier than the proton and therefore they can be produced only from the
 1467 splitting of a gluon into pairs or singly in association with a t quark in high
 1468 energy-scale interactions; furthermore, during the simulation, the b -PDFs are set
 1469 to zero. Calculations in this scheme are more complicated due to the presence
 1470 of the second b quark but the full kinematics is considered already at LO and
 1471 therefore the accuracy of the description is better.

1472 • five-flavor (5F) scheme. b quarks are considered massless, therefore they can
 1473 appear in both initial and final states since they can now be part of the proton;
 1474 thus, during the simulation b -PDFs are not set to zero. In this scheme, calcu-
 1475 lations are simpler than in the 4F scheme and possible logarithmic divergences
 1476 are absorbed by the PDFs through the DGLAP evolution.

1477 In this thesis, the tHq events are generated using the 4F scheme in order to reduce
 1478 uncertainties, while the tHW events are generated using the 5F scheme to eliminate
 1479 LO interference with $t\bar{t}H$ process [48].

1480

1481 Partons involved in the pp collision are the focus of the simulation, however, the rest
 1482 of the partons inside the incoming protons are also affected because the remnants are
 1483 colored objects; also, multiple parton interactions can occur. The hadronization of
 1484 the remnants and multiple parton interactions are known as *underlying event* and it

1485 has to be included in the simulation. In addition, multiple pp collisions in the same
 1486 bunch crossing (pile-up mentioned in 3.2) occurs, actually in two forms

1487 • *in-time PU* which refers to multiple pp collision in the bunch crossing but that
 1488 are not considered as primary vertices.

1489 • *Out-of-time PU* which refers to overlapping pp collisions from consecutive bunch
 1490 crossings; this can occur due to the time-delays in the detection systems where
 1491 information from one bunch crossing is assigned to the next or previous one.

1492 While the underlying event effects are included in generation using generator-specific
 1493 tools, PU effects are added to the generation by overlaying Minimum-bias (MB) and
 1494 Zero-bias (ZB) events to the generated events. MB events are inelastic events se-
 1495 lected by using a loose trigger with as little bias as possible, therefore accepting a
 1496 large fraction of the overall inelastic event; ZB events correspond to random events
 1497 recorded by the detector when collisions are likely. MB models in-time PU and ZB
 1498 models out-of-time PU.

1499
 1500 The next step in the generation process is called *hadronization*. Since particles with
 1501 a net color charge are not allowed to exits isolated, they have to recombine to form
 1502 bound states. This is precisely the process by which the partons resulting from the
 1503 parton shower arrange themselves as color singlets to form hadrons. At this step, the
 1504 energy-scale is low and the strong coupling constant is large, therefore hadronization
 1505 process is non-perturbative and the evolution of the partons is described using phe-
 1506 nomenological models. Most of the baryons and mesons produced in the hadronization
 1507 are unstable and hence they will decay in the detector.

1508

1509 The last step in the generation process corresponds to the decay of the unstable
 1510 particles generated during hadronization; it is also simulated in the hadronization
 1511 step, based on the known branching ratios.

1512 4.2 Monte Carlo Event Generators.

1513 The event generation described in the previous section has been implemented in
 1514 several software packages for which a brief description is given.

- 1515 • **PYTHIA 8.** It is a program designed to perform the generation of high energy
 1516 physics events which describes the collisions between particles such as electrons
 1517 and protons. Several theories and models are implemented in it, in order to
 1518 describe physical aspects like hard and soft interaction, parton distributions,
 1519 initial and final-state parton showers, multiple parton interactions, beam rem-
 1520 nants, hadronization² and particle decay. Thanks to extensive testing, several
 1521 optimized parametrizations, known as *tunings*, have been defined in order to
 1522 improve the description of actual collisions to a high degree of precision; for
 1523 analysis at $\sqrt{s} = 13$ TeV, the underline event CUETP8M1 tune is employed [85].
 1524 The calculation of the matrix element is performed at LO which is not enough
 1525 for the current required level of precision; therefore, pythia is often used for
 1526 parton shower, hadronization and decays, while other event generators are used
 1527 to generate the matrix element at NLO.

- 1528 • **MadGraph5_aMC@NLO.** MadGraph is a matrix element generator which
 1529 calculates the amplitudes for all contributing Feynman diagrams of a given pro-
 1530 cess but does not provide a parton shower while MC@NLO incorporates NLO

² based in the Lund string model [84]

1531 QCD matrix elements consistently into a parton shower framework; thus, Mad-
 1532 Graph5_aMC@NLO, as a merger of the two event generators MadGraph5 and
 1533 aMC@NLO, is an event generator capable to calculate tree-level and NLO cross
 1534 sections and perform the matching of those with the parton shower. It is one of
 1535 the most frequently used matrix element generators; however, it has the partic-
 1536 ular feature of the presence of negative event weights which reduce the number
 1537 of events used to reproduce the properties of the objects generated [86].

1538

1539 • **POWHEG.** It is an NLO matrix element generator where the hardest emis-
 1540 sion of color charged particles is generated in such a way that the negative event
 1541 weights issue of MadGraph5_aMC@NLO is overcome; however, the method re-
 1542 quires an interface with p_T -ordered parton shower or a parton shower generator
 1543 where this highest emission can be vetoed in order to avoid double counting of
 1544 this highest-energetic emission. PYTHIA is a commonly matched to POWHEG
 1545 event generator [87].

1546 Events resulting from the whole generation process are known as MC events.

1547 4.3 CMS detector simulation.

1548 After generation, MC events contain the physics of the collisions but they are not
 1549 ready to be compared to the events recorded by the experiment since these recorded
 1550 events correspond to the response of the detection systems to the interaction with
 1551 the particles traversing them. The simulation of the CMS detector has to be applied
 1552 on top of the event generation; it is simulated with a MC toolkit for the simulation
 1553 of particles passing through matter called Geant4 which is also able to simulate the

1554 electronic signals that would be measured by all detectors inside CMS.

1555

1556 The simulation takes the generated particles contained in the MC events as input,
1557 makes them pass through the simulated geometry, and models physics processes that
1558 particles experience during their passage through matter. The full set of results from
1559 particle-matter interactions corresponds to the simulated hit which contains informa-
1560 tion about the energy loss, momentum and position. Particles of the input event are
1561 called *primary*, while the particles originating from GEANT4-modeled interactions of
1562 a primary particle with matter are called a *secondary*. Simulated hits are the input
1563 of subsequent modules that emulate the response of the detector readout system and
1564 triggers. The output from the emulated detection systems and triggers is known as
1565 digitization [88,89].

1566

1567 The modeling of the CMS detector corresponds to the accurate modeling of the
1568 interaction among particles, the detector material, and the magnetic field. This
1569 simulation procedure includes the following standard steps

1570 • Modeling of the Interaction Region.

1571 • Modeling of the particle passage through the hierarchy of volumes that compose
1572 CMS detector and of the accompanying physics processes.

1573 • Modeling of the effect of multiple interactions per beam crossing and/or the
1574 effect of events overlay (Pile-Up simulation).

1575 • Modeling of the detector's electronics response, signal shape, noise, calibration
1576 constants (digitization).

1577 In addition to the full simulation, i.e., a detailed detector simulation, a faster simu-
 1578 lation (FastSim) have been developed, that may be used where much larger statistics
 1579 are required. In FastSim, detector material effects are parametrized and included in
 1580 the hits; those hits are used as input of the same higher-level algorithms³ used to an-
 1581 alyze the recorded events. In this way, comparisons between fast and full simulations
 1582 can be performed [91].

1583

1584 After the full detector simulation, the output events can be directly compared to
 1585 events actually recorded in the CMS detector. The collection of MC events that
 1586 reproduces the expected physics for a given process is known as MC sample.

1587 **4.4 Event reconstruction.**

1588 The CMS experiment use the *particle-flow event reconstruction algorithm (PF)* to do
 1589 the reconstruction of particles produced in pp collisions. Next sections will present
 1590 a basic description of the *Elements* used by PF (tracker tracks, energy clusters, and
 1591 muon tracks), based in the References [92, 93] where more detailed descriptions can
 1592 be found.

1593 **4.4.1 Particle-Flow Algorithm.**

1594 Each of the several sub detection systems of the CMS detector is dedicated to identify
 1595 a specific type of particles, i.e., photons and electrons are absorbed by the ECAL
 1596 and their reconstruction is based on ECAL information; hadrons are reconstructed
 1597 from clusters in the HCAL while muons are reconstructed from hits in the muon

³ track fitting, calorimeter clustering, b tagging, electron identification, jet reconstruction and calibration, trigger algorithms which will be considered in the next sections

1598 chambers. PF is designed to correlate signals from all the detector layers (tracks and
 1599 energy clusters) in order to reconstruct and identify each final state particle and its
 1600 properties as sketched in Figure 4.2.

1601

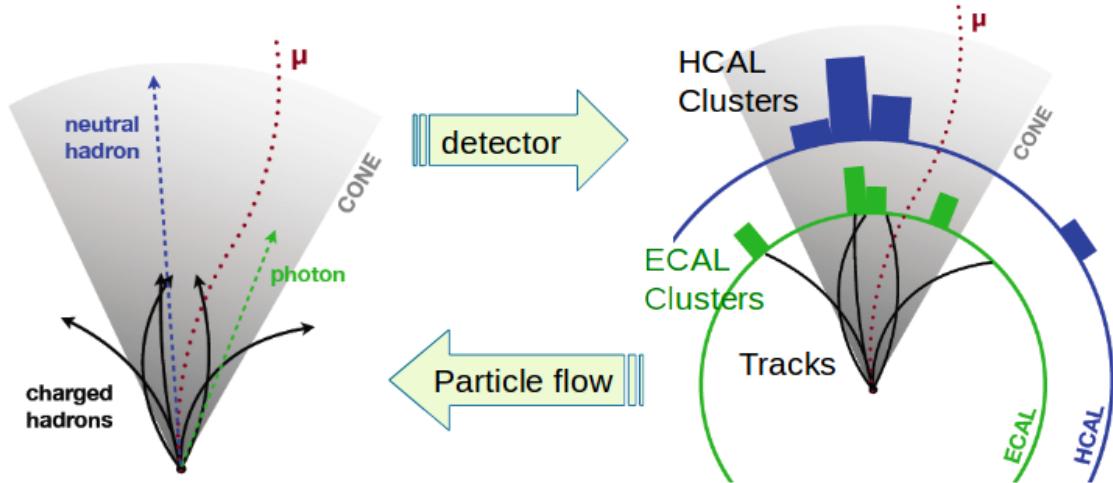


Figure 4.2: Particle flow algorithm. Information from the several CMS detection systems is provided as input to the algorithm which then combine it to identify and reconstruct all the particles in the final state and their properties. Reconstruction of simulated events is also performed by providing information from MC samples, detector and trigger simulation [94].

1602 For instance, a charged hadron is identified by a geometrical connection, known as
 1603 *link*, between one or more calorimeter clusters and a track in the tracker, provided
 1604 there are no hits in the muon system; combining several measurements allows a better
 1605 determination of the energy and charge sign of the charged hadron.

1606 Charged-particle track reconstruction.

1607 The strategy used by PF in order to reconstruct tracks is called *Iterative Tracking*
 1608 which occurs in four steps

- 1609 • Seed generation where initial track candidates are found by looking for a combi-
 1610 nation of hits in the pixel detector, strip tracker, and muon chambers. In total

1611 ten iterations are performed, each one with a different seeding requirement.
 1612 Seeds are used to estimate the trajectory parameters and uncertainties at the
 1613 time of the full track reconstruction. Seeds are also considered track candidates.

- 1614 • Track finding using a tracking software known as Combinatorial Track Finder
 (CTF) [95]. The seed trajectories are extrapolated along the expected flight
 path of a charged particle, in agreement to the trajectory parameters obtained
 in the first step, in an attempt to find additional hits that can be assigned to
 the track candidates.
- 1619 • Track-fitting where the found tracks are passed as input to a module which
 provides the best estimate of the parameters of each trajectory.
- 1621 • Track selection where track candidates are submitted to a selection which dis-
 cards those that fail a set of defined quality criteria.

1623 Iterations differ in the seeding configuration and the final track selection as elaborated
 1624 in References [92, 93]. In the first iteration, high p_T tracks and tracks produced near
 1625 to the interaction region are identified and those hits are masked thereby reducing
 1626 the combinatorial complexity. Next, iterations search for more complicated tracks,
 1627 like low p_T tracks and tracks from b hadron decays, which tend to be displaced from
 1628 the interaction region.

1629 **Vertex reconstruction.**

1630 During the track reconstruction, an extrapolation toward to the calorimeters is per-
 1631 formed in order to match energy deposits; that extrapolation is performed also toward
 1632 the beamline in order to find the origin of the track known as *vertex*. The vertex re-
 1633 construction is performed by selecting from the available reconstructed tracks, those

1634 that are consistent with being originated in the interaction region where pp collisions
 1635 are produced. The selection involves a requirement on the number of tracker (pixel
 1636 and strip) hits and the goodness of the track fit.

1637

1638 Selected tracks are clustered using a *deterministic annealing algorithm* (DA)⁴. A set
 1639 of candidate vertices and their associated tracks, resulting from the DA, are then fit-
 1640 ted with an *adaptive vertex fitter* (AVF) to produce the best estimate of the vertices
 1641 locations.

1642

1643 The p_T of the tracks associated to a reconstructed vertex is added, squared and used
 1644 to organize the vertices; the vertex with the highest squared sum is designated as the
 1645 *primary vertex* (PV) while the rest are designated as PU vertices.

1646 **Calorimeter clustering.**

1647 After traversing the CMS tracker system, electrons, photons and hadrons deposit their
 1648 energy in the ECAL and HCAL cells. The PF clustering algorithm aims to provide
 1649 a high detection efficiency even for low-energy particles and an efficient distinction
 1650 between close energy deposits. The clustering runs independently in the ECAL barrel
 1651 and endcaps, HCAL barrel and endcaps, and the two preshower layers, following two
 1652 steps

- 1653 ● cells with an energy larger than a given seed threshold and larger than the energy
 1654 of the neighboring cells are identified as cluster seeds. The neighbor cells are
 1655 those that either share a side with the cluster seed candidate, or the eight closest
 1656 cells including cells that only share a corner with the seed candidate.

⁴ DA algorithm and AVF are described in detail in References [97, 98]

1657 • cells with at least a corner in common with a cell already in the cluster seed
 1658 and with an energy above a cell threshold are grouped into topological clusters.

1659 Clusters formed in this way are known as *particle-flow clusters*. With this clustering
 1660 strategy, it is possible to detect and measure the energy and direction of photons and
 1661 neutral hadrons as well as differentiate these neutral particles from the charged hadron
 1662 energy deposits. In cases involving charged hadrons for which the track parameters
 1663 are not determined accurately, for instance, low-quality and high- p_T tracks, clustering
 1664 helps in the energy measurements.

1665 **Electron track reconstruction.**

1666 Although the charged-particle track reconstruction described above works for elec-
 1667 trons, they lose a significant fraction of their energy via bremsstrahlung photon radi-
 1668 ation before reaching the ECAL; thus, the reconstruction performance depends on the
 1669 ability to measure also the radiated energy. The reconstruction strategy, in this case,
 1670 requires information from the tracking system and from the ECAL. Bremsstrahlung
 1671 photons are emitted at similar η values to that of the electron but at different values
 1672 of ϕ ; therefore, the radiated energy can be recovered by grouping ECAL clusters in a
 1673 η window over a range of ϕ around the electron direction. The group is called ECAL
 1674 supercluster.

1675

1676 Electron candidates from the track-seeding and ECAL super clustering are merged
 1677 into a single collection which is submitted to a full electron tracking fit with a
 1678 Gaussian-sum filter (GSF) [96]. The electron track and its associated ECAL su-
 1679 percluster form a *particle-flow electron*.

1680 **Muon track reconstruction.**

1681 Given that the CMS detector is equipped with a muon spectrometer capable to iden-
 1682 tify and measure the momentum of the muons traversing it, the muon reconstruction
 1683 is not specific to PF; therefore, three different muon types are defined

- 1684 • *Standalone muon.* A clustering on the DTs or CSCs hits is performed to form
 1685 track segments; those segments are used as seeds for the reconstruction in the
 1686 muon spectrometer. All DTs, CSCs, and RPCs hits along the muon trajectory
 1687 are combined and fitted to form the full track. The fitting output is called a
 1688 *standalone-muon track*.
- 1689 • *Tracker muon.* Each track in the inner tracker with p_T larger than 0.5 GeV and
 1690 a total momentum p larger than 2.5 GeV is extrapolated to the muon system.
 1691 A *tracker muon track* corresponds to a extrapolated track that matches at least
 1692 one muon segment.
- 1693 • *Global muon.* When tracks in the inner tracker (inner tracks) and standalone-
 1694 muon tracks are matched and turn out being compatibles, their hits are com-
 1695 bined and fitted to form a *global-muon track*.

1696 Global muons sharing the same inner track with tracker muons are merged into a
 1697 single candidate. PF muon identification uses the muon energy deposits in ECAL,
 1698 HCAL, and HO associated with the muon track to improve the muon identification.

1699 **Particle identification and reconstruction.**

1700 PF elements are connected by a linker algorithm that tests the connection between any
 1701 pair of elements; if they are found to be linked, a geometrical distance that quantifies
 1702 the quality of the link is assigned. Two elements may be linked indirectly through

1703 common elements. Linked elements form *PF blocks* and each PF block may contain
 1704 elements originating in one or more particles. Links can be established between
 1705 tracks, between calorimeter clusters, and between tracks and calorimeter clusters.
 1706 The identification and reconstruction start with a PF block and proceed as follows

1707 • Muons. An *isolated global muon* is identified by evaluating the presence of
 1708 inner track and energy deposits close to the global muon track in the (η, ϕ)
 1709 plane, i.e., in a particular point of the global muon track, inner tracks and
 1710 energy deposits are sought within a radius of $\Delta R = 0.3$ (see eqn. 3.7) from the
 1711 muon track; if they exit and the p_T of the found track added to the E_T of the
 1712 found energy deposit does not exceed 10% of the muon p_T then the global muon
 1713 is an isolated global muon. This isolation condition is stringent enough to reject
 1714 hadrons misidentified as muons.

1715 *Non-isolated global muons* are identified using additional selection requirements
 1716 on the number of track segments in the muon system and energy deposits along
 1717 the muon track. Muons inside jets are identified with more stringent criteria
 1718 in isolation and momentum as described in Reference [99]. The PF elements
 1719 associated with an identified muon are masked from the PF block.

1720 • Electrons are identified and reconstructed as described above plus some addi-
 1721 tional requirements on fourteen variables like the amount of energy radiated,
 1722 the distance between the extrapolated track position at the ECAL and the po-
 1723 sition of the associated ECAL supercluster, among others, which are combined
 1724 in an specialized multivariate analysis strategy that improves the electron iden-
 1725 tification. Tracks and clusters used to identify and reconstruct electrons are
 1726 masked in the PF block.

- 1727 ● Isolated photons are identified from ECAL superclusters with E_T larger than 10
 1728 GeV, for which the energy deposited at a distance of 0.15, from the supercluster
 1729 position on the (η,ϕ) plane, does not exceed 10% of the supercluster energy;
 1730 note that this is an isolation requirement. In addition, there must not be links
 1731 to tracks. Clusters involved in the identification and reconstruction are masked
 1732 in the PF block.

- 1733 ● Bremsstrahlung photons and prompt photons tend to convert to electron-positron
 1734 pairs inside the tracker, therefore, a dedicated finder algorithm is used to link
 1735 tracks that seem to originate from a photon conversion; in case those two tracks
 1736 are compatible with the direction of a bremsstrahlung photon, they are also
 1737 linked to the original electron track. Photon conversion tracks are also masked
 1738 in the PF block.

- 1739 ● The remaining elements in the PF block are used to identify hadrons. In the
 1740 region $|\eta| \leq 2.5$, neutral hadrons are identified with HCAL clusters not linked
 1741 to any track while photons from neutral pion decays are identified with ECAL
 1742 clusters without links to tracks. In the region $|\eta| > 2.5$ ECAL clusters linked to
 1743 HCAL clusters are identified with a charged or neutral hadron shower; ECAL
 1744 clusters with no links are identified with photons. HCAL clusters not used yet,
 1745 are linked to one or more unlinked tracks and to an unlinked ECAL in order to
 1746 reconstruct charged-hadrons or a combination of photons and neutral hadrons
 1747 according to certain conditions on the calibrated calorimetric energy.

- 1748 ● Charged-particle tracks may be liked together when they converge to a *sec-
 1749 ondary vertex (SV)* displaced from the interaction point where the PV and PU
 1750 vertices are reconstructed; at least three tracks are needed in that case, of which
 1751 at most one has to be an incoming track with hits in tracker region between a

1752 PV and the SV.

1753

1754 The linker algorithm, as well as the whole PF algorithm, has been validated and
 1755 commissioned; results from that validation are presented in the Reference [92].

1756 **Jet reconstruction.**

1757 Quarks and gluons may be produced in the pp collisions, therefore, their hadronization
 1758 will be seen in the detector as a shower of hadrons and their decay products in the
 1759 form of a *jet*. The anti- k_t algorithm [100] is used to perform the jet reconstruction
 1760 by clustering those PF particles within a cone (see Figure 4.3); previously, isolated
 1761 electrons, isolated muons, and charged particles associated with other interaction
 1762 vertices are excluded from the clustering.

1763 The anti- k_t algorithm proceeds in a sequential recombination of PF particles; the
 1764 distance between particles i and j (d_{ij}) and the distance between particles and the
 1765 beam are defined as

$$d_{ij} = \min\left(\frac{1}{k_{ti}^2}, \frac{1}{k_{tj}^2}\right) \frac{\Delta_{ij}^2}{R^2}$$

$$d_{iB} = \frac{1}{k_{ti}^2} \quad (4.1)$$

1766 where $\Delta_{ij}^2 = (y_i - y_j)^2 + (\phi_i - \phi_j)^2$, k_{ti}, y_i and ϕ_i are the transverse momentum, ra-
 1767 pidity and azimuth of particle i respectively and R is the called jet radius. For all
 1768 the remaining PF particles, after removing the isolated ones, d_{ij} and d_{iB} are calcu-
 1769 lated⁵ and the smallest is identified; if it is a d_{ij} , particles i and j are replaced with

⁵ Notice that this is a combinatorial calculation.

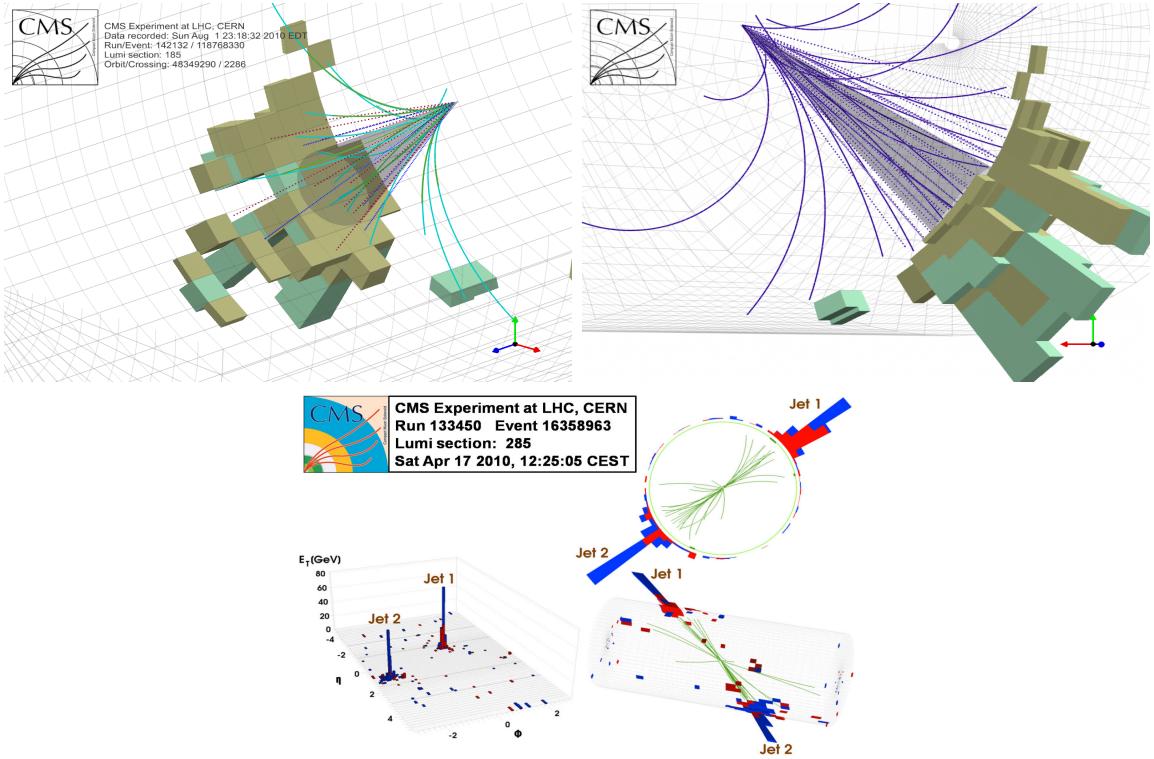


Figure 4.3: Jet reconstruction performed by the anti- k_t algorithm. Top: Two different views of a CMS recorded event are presented. Continuous lines correspond to tracks left by charged particles in the tracker while dotted lines are the imaginary paths followed by neutral particles. The green cubes represent the ECAL cells while the blue ones represent the HCAL cells; in both cases, the height of the cube represent the amount of energy deposited in the cells [101]. Bottom: Reconstruction of a recorded event with two jets [102].

1770 a new object whose momentum is the vectorial sum of the combined particles. If the
 1771 smallest distance is a d_{iB} the clustering process ends, the object i (which at this stage
 1772 should be a combination of several PF particles) is declared as a *Particle-flow-jet* (PF
 1773 jet) and all the associated PF particles are removed from the detector. The clustering
 1774 process is repeated until no PF particles remain.

1775 Even though jets can be reconstructed efficiently, there are some effects that are not in-
 1776 cluded in the reconstruction and that lead to discrepancies between the reconstructed
 1777 results and the predicted results; in order to overcome these discrepancies, a factor-
 1778 ized model has been designed in the form of jet energy corrections (JEC) [103, 104]

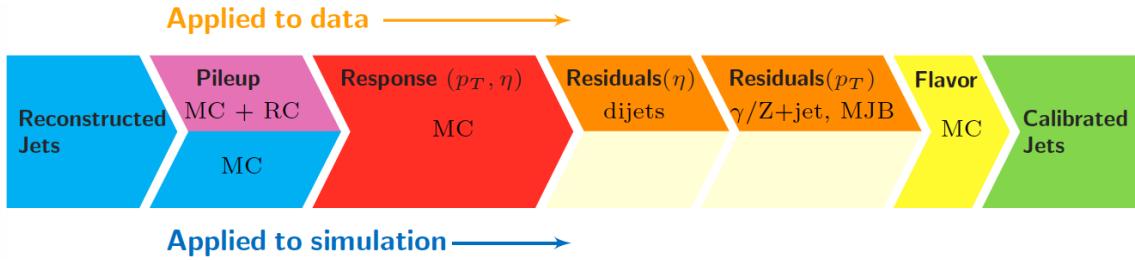


Figure 4.4: Jet energy correction diagram. Correction levels are applied sequentially in the indicated fixed order [104].

1779 applied sequentially as shown in the diagram of Figure 4.4.

1780 At each level, the jet four-momentum is multiplied by a scaling factor based on jet
1781 properties, i.e., η , flavor, etc.

- Level 1 correction removes the energy coming from pile-up. The scale factor is determined using a MC sample of QCD dijet (2 jets) events with and without pileup overlay; it is parametrized in terms of the offset energy density ρ , jet area A, jet η and jet p_T . Different corrections are applied to data and MC due to the detector simulation.
 - MC-truth correction accounts for differences between the reconstructed jet energy and the MC particle-level energy. The correction is determined on a QCD dijet MC sample and is parametrized in terms of the jet p_T and η .
 - Residuals correct remaining small differences within jet response in data and MC. The Residuals η -dependent correction compares jets of similar p_T in the barrel reference region. The Residuals p_T -dependent correct the jet absolute scale (JES vs p_T).
 - Jet-flavor corrections are derived in the same way as MC-truth corrections but using QCD pure flavor samples.

1796 ***b*-tagging of jets.**

1797 A particular feature of the hadrons containing bottom quarks (*b*-hadrons) is that
 1798 their lifetime is long enough to travel some distance before decaying, but it is not as
 1799 long as those of light quark hadrons; therefore, when looking at the hadrons produced
 1800 in pp collisions, *b*-hadrons decay typically inside the tracker rather than reaching the
 1801 calorimeters as some light-hadrons do. As a result, a *b*-hadron decay gives rise to a
 1802 displaced vertex (secondary vertex) with respect to the primary vertex as shown in
 1803 Figure 4.5; the SV displacement is in the order of a few millimeters. A jet resulting
 1804 from the decay of a *b*-hadron is called *b* jet; other jets are called light jets.

1805

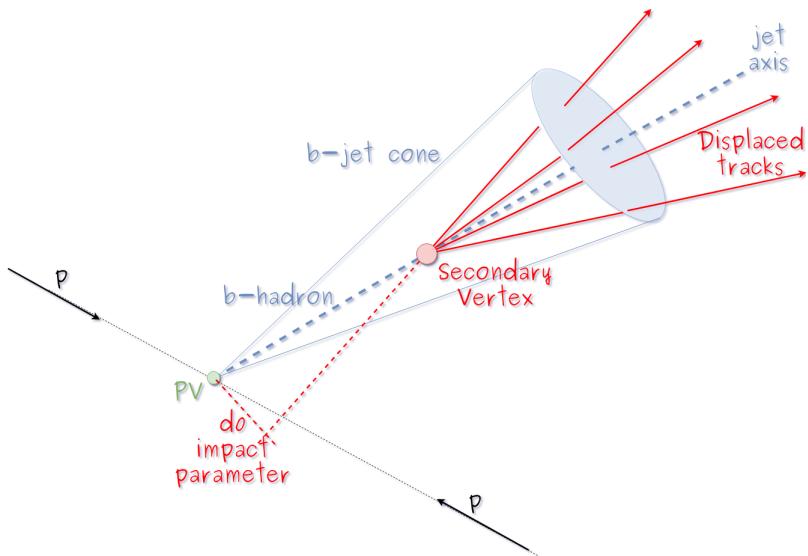


Figure 4.5: Secondary vertex in a *b*-hadron decay.

1806 Several methods to identify *b*-jets (*b*-tagging) have been developed; the method used
 1807 in this thesis is known as *Combined Secondary Vertex* algorithm in its second version
 1808 (CSVv2) [105]. By using information of the impact parameter, the reconstructed
 1809 secondary vertices, and the jet kinematics as input in a multivariate analysis that
 1810 combines the discrimination power of each variable in one global discriminator vari-

able, three working points (references): loose, medium and tight, are defined which quantify the probabilities of mistag jets from light quarks as jets from b quarks; 10, 1 and 0.1 % respectively. Although the mistagging probability decreases with the working point strength, the efficiency to correctly tag b -jets also decreases as 83, 69 and 49 % for the respective working point; therefore, a balance needs to be achieved according to the specific requirements of the analysis.

4.4.1.1 Missing transverse energy.

The fact that proton bunches carry momentum along the z -axis implies that for each event it is expected that the momentum in the transverse plane is balanced. Imbalances are quantified by the missing transverse energy (MET) and are attributed to several sources including particles escaping undetected through the beam pipe, neutrinos produced in weak interactions processes which do not interact with the detector and thus escaping without leaving a sign, or even undiscovered particles predicted by models beyond the SM.

1825

1826 The PF algorithm assigns the negative sum of the momenta of all reconstructed PF
1827 particles to the *particle-flow MET* according to

$$\vec{E}_T = - \sum_i \vec{p}_{T,i} \quad (4.2)$$

1828 JEC are propagated to the calculation of the \vec{E}_T as described in the Reference [106].

1829

1830 **4.4.2 Event reconstruction examples**

1831 Figures 4.6-4.8 show the results of the reconstruction performed on 3 recorded events.

1832 Descriptions are taken directly from the source.

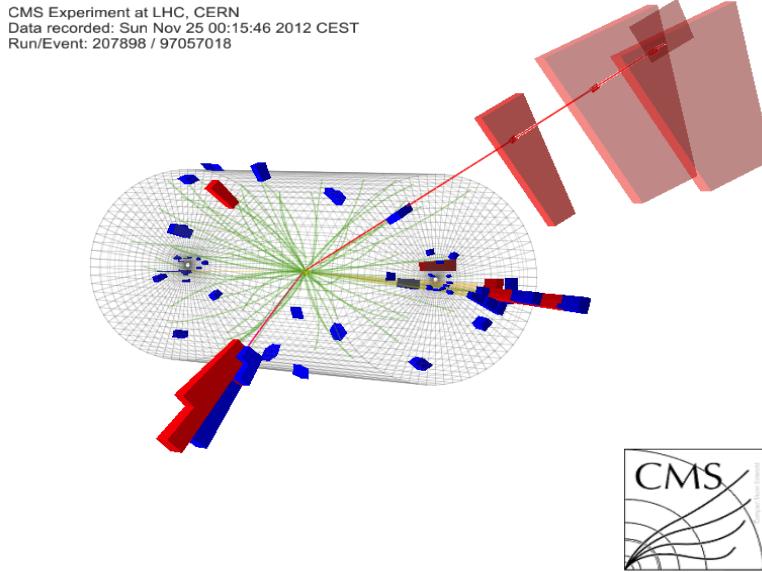


Figure 4.6: HIG-13-004 Event 1 reconstruction results; “HIG-13-004 Event 1: Event recorded with the CMS detector in 2012 at a proton-proton center-of-mass energy of 8 TeV. The event shows characteristics expected from the decay of the SM Higgs boson to a pair of τ leptons. Such an event is characterized by the production of two forward-going jets, seen here in opposite endcaps. One of the τ decays to a muon (red lines on the right) and neutrinos, while the other τ decays into a charged hadron and a neutrino.” [107].

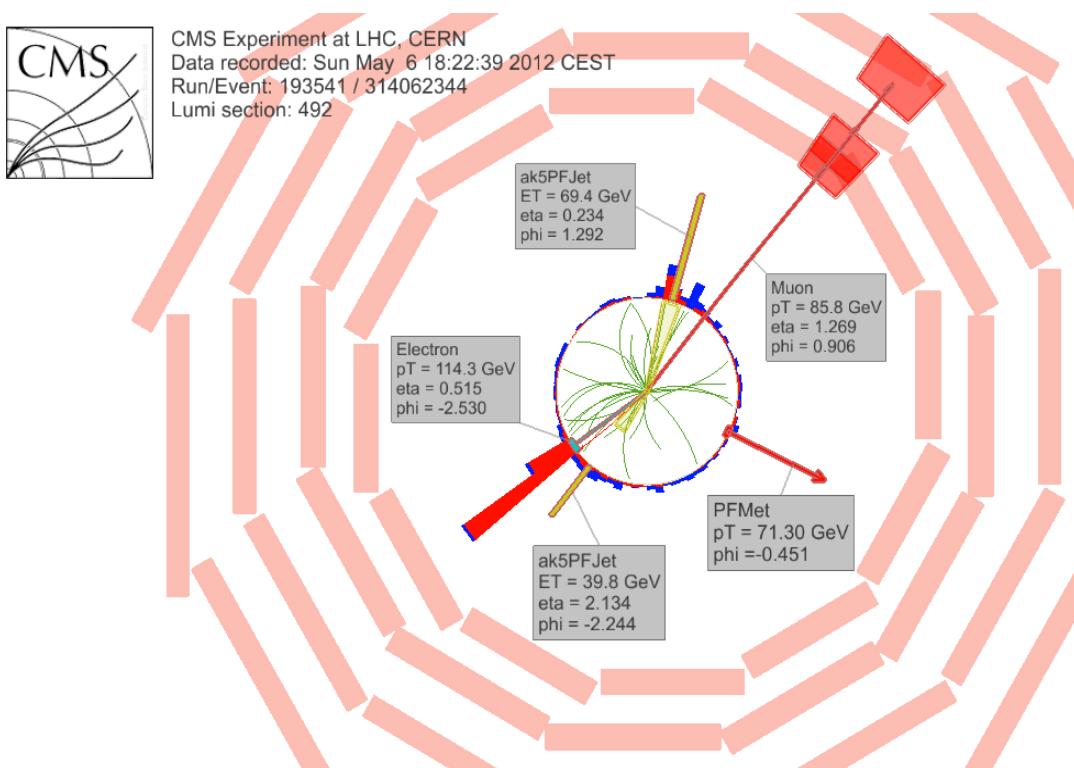


Figure 4.7: $e\mu$ event reconstruction results; “An $e\mu$ event candidate selected in 8 TeV data, as seen from the direction of the proton beams. The kinematics of the main objects used in the event selection are highlighted: two isolated leptons and two particle-flow jets. The reconstructed missing transverse energy is also displayed for reference” [108].

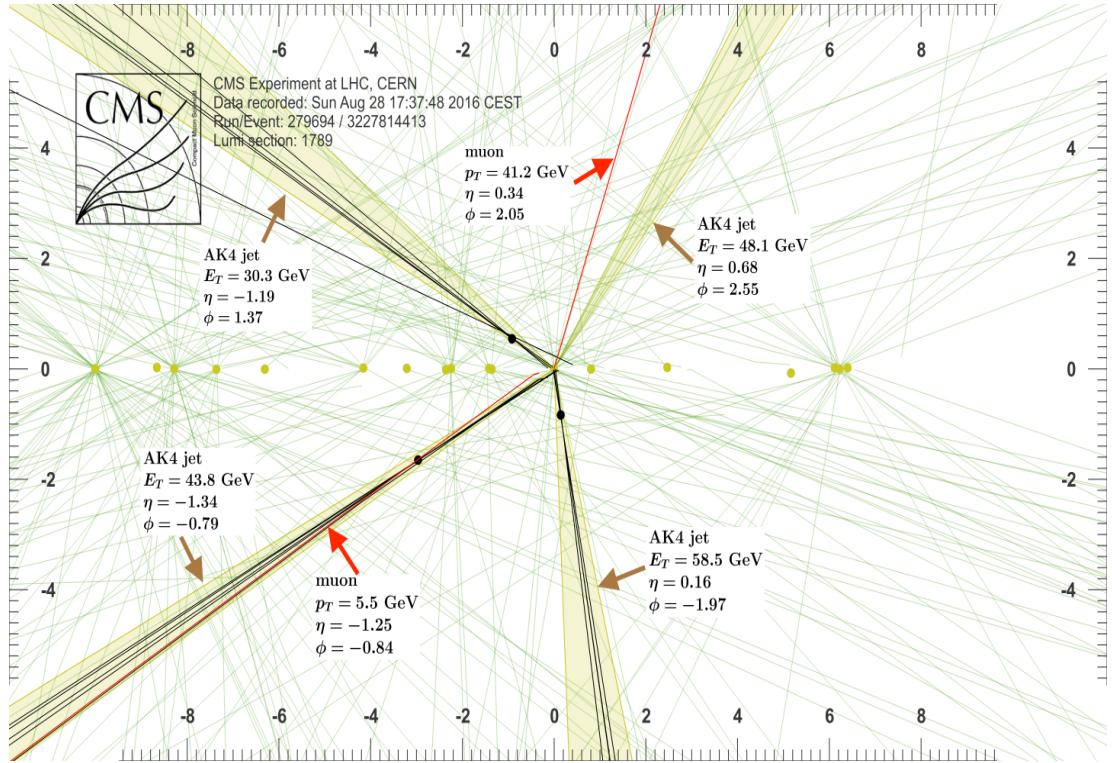


Figure 4.8: Recorded event reconstruction results; “Recorded event (ρ - z projection) with three jets with $p_T > 30 \text{ GeV}$ with one displaced muon track in 2016 data collected at 13 TeV. Each of the three jets has a displaced reconstructed vertex. The jet with $p_T(j) = 43.8 \text{ GeV}$, $\eta(j) = -1.34$, $\phi(j) = -0.79$ contains muon with $p_T(\mu) = 5.5 \text{ GeV}$, $\eta(\mu) = -1.25$, $\phi(\mu) = -0.84$. Event contains reconstructed isolated muon with $p_T(\mu) = 41.2 \text{ GeV}$, $\eta(\mu) = 0.34$, $\phi(\mu) = 2.05$ and MET with $p_T = 72.5 \text{ GeV}$, $\phi = -0.32$. Jet candidates for a b -jet from top quark leptonic and hadronic decays are tagged by CSVv2T algorithm. One of the other two jets is tagged by CharmT algorithm. Tracks with $p_T > 0.5 \text{ GeV}$ are shown. The number of reconstructed primary vertices is 18. Reconstructed $m_T(W)$ is 101.8 GeV. Beam spot position correction is applied. Reconstructed primary vertices are shown in yellow color, while reconstructed displaced vertices and associated tracks are presented in black color. Dimensions are given in cm” [109].

1833 **Chapter 5**

1834 **Statistical methods**

1835 In the course of analyzing the data sets provided by the CMS experiment and used in
1836 this thesis, several statistical tools have been employed; in this chapter, a description
1837 of these tools will be presented, starting with the general statement of the multivariate
1838 analysis method, followed by the particularities of the Boosted Decision Trees (BDT)
1839 method and its application to the classification problem. Statistical inference methods
1840 used will also be presented. This chapter is based mainly on the references [110–112].

1841 **5.1 Multivariate analysis**

1842 Multivariate data analysis (MVA) makes reference to statistical techniques that an-
1843 alyze data containing information of more than one variable, commonly taking into
1844 account the effects of all variables on the response of the particular variable under
1845 investigation, i.e., considering all the correlations between variables. MVA is em-
1846 ployed in a variety of fields like consumer and market research, quality control and
1847 process optimization. From a MVA it is possible to identify the dominant patterns
1848 in the data, like groups, outliers and trends, and determine to which group a set of

1849 values belong; in the particle physics context, MVA methods are used to perform the
 1850 selection of certain type of events, from a large data set, using a potentially large
 1851 number of measurable properties for each event.

1852 Processes with small cross section, as the tHq process, normally are hidden behind
 1853 more common processes; therefore, the data set results in a subset of events with
 1854 characteristic features of interest (signal) mixed in randomly with a much larger
 1855 number of SM events that can mimic these features of interest (background) which
 1856 implies that it is not possible to say with certainty that a given event is signal or
 1857 background. In that sense, the problem can be formulated as one where a set of
 1858 events have to be classified according to some features; these features correspond to
 1859 the measurements of several parameters like energy or momentum, organized in a
 1860 set of *input variables*. The measurements for each event can be written in a vector
 1861 $\mathbf{x} = (x_1, \dots, x_n)$ for which

- 1862 • Signal hypotheses $\rightarrow f(\mathbf{x}|s)$ is the probability density (*likelihood function*) that
 1863 \mathbf{x} is the set of measured values given that the events is a signal event.
- 1864 • Background hypotheses $\rightarrow f(\mathbf{x}|b)$ is the probability density (*likelihood function*)
 1865 that \mathbf{x} is the set of measured values given that the event is a background event.

1866 Figure 5.1 shows three ways to perform a classification of events for which mea-
 1867 surements of two properties, two input variables, have been performed; blue circles
 1868 represent signal events while red triangles represent background events. The classi-
 1869 fication on (a) is *cut-based* requiring $x_1 < c_1$ and $x_2 < c_2$; usually the cut values are
 1870 chosen according to some knowledge about the event process. In (b), the classification
 1871 is performed by stating a cut involving a linear function of the input variables and
 1872 so the boundary, while in (c) the the relationship between the input variables is not
 1873 linear thus the boundary is not linear either.

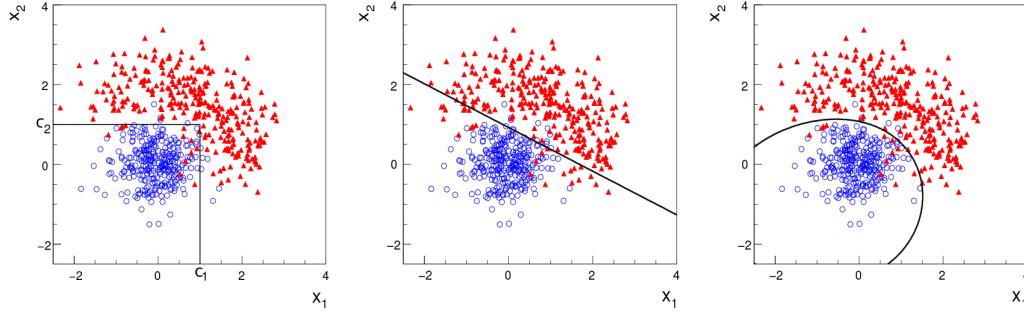


Figure 5.1: Scatter plots-MVA event classification. Distribution of two input variables x_1 and x_2 measured for a set of events; blue circles represent signal events and red triangles represent background events. The classification is based on (a) cuts, (b) linear boundary, and (c) nonlinear boundary [110]

1874 The boundary can be parametrized in terms of the input variables such that the
 1875 cut is set on the parametrization instead of on the variables, i.e., $y(\mathbf{x}) = y_{cut}$ with
 1876 y_{cut} a constant; thus, the acceptance or rejection of an event is based on what side
 1877 of the boundary is the event located. If $y(\mathbf{x})$ has functional form, it can be used to
 1878 determine the probability distribution functions $p(y|s)$ and $p(y|b)$ and then perform
 1879 a scalar test statistic with a single cut on the scalar variable y .

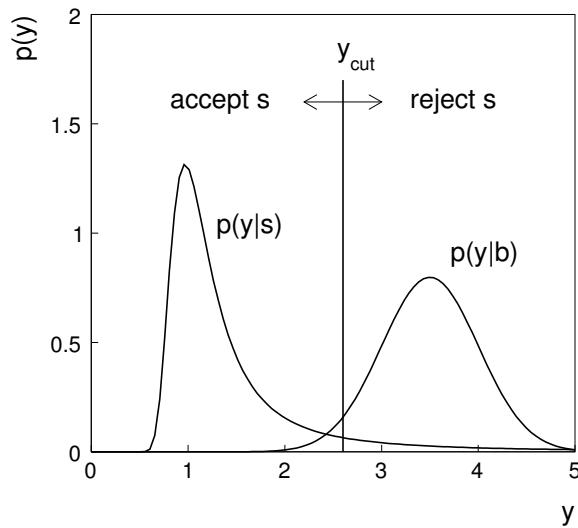


Figure 5.2: Distributions of the scalar test statistic $y(\mathbf{x})$ under the signal and background hypotheses. [110]

1880 Figure 5.2 illustrates what would be the probability distribution functions under
 1881 the signal and background hypotheses for a scalar test statistic with a cut on the
 1882 classifier y . Notice that the tails of the distributions indicate that some signal events
 1883 fall on the rejection region and some background events fall on the acceptance region;
 1884 therefore, it is convenient to define the *efficiency* with which events of a given type
 1885 are accepted, thus, the signal and background efficiencies are given by

$$\varepsilon_s = P(\text{accept event}|s) = \int_A f(\mathbf{x}|s) d\mathbf{x} = \int_{-\infty}^{y_{\text{cut}}} p(y|s) dy , \quad (5.1)$$

$$\varepsilon_b = P(\text{accept event}|b) = \int_A f(\mathbf{x}|b) d\mathbf{x} = \int_{-\infty}^{y_{\text{cut}}} p(y|b) dy , \quad (5.2)$$

1886 where A is the acceptance region. Under these conditions, the background hypothesis
 1887 corresponds to the *null hypothesis* (H_0), the signal hypothesis corresponds to the
 1888 *alternative hypothesis* (H_1), the background efficiency is the significance level of the
 1889 test, and signal efficiency is the power of the test; what is sought in an analysis is to
 1890 maximize the power of the test relative to the significance level.

1891 5.1.1 Decision trees

1892 For this thesis, the implementation of the MVA strategy, described above, is per-
 1893 formed through decision trees by using the TMVA software package [111] included in
 1894 the the ROOT analysis framework [113]. In a simple picture, a decision tree classifies
 1895 events according to their input variables values by setting a cut on each input variable
 1896 and checking which events are on which side of the cut, just as proposed in the MVA
 1897 strategy, but in addition, as a machine learning algorithm, decision trees offer the
 1898 possibility to be trained and then perform the classification efficiently.

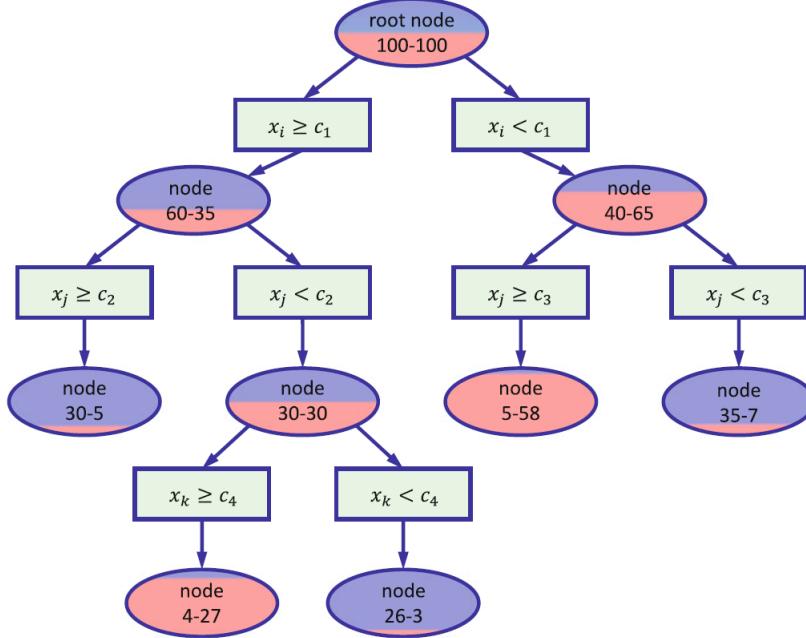


Figure 5.3: Example of a decision tree. Each node is fed with a MC sample mixing signal and background events (left-right numbers); nodes colors represent the relative amount of signal/background events [112].

1899 The training or growing of a decision tree is the process that defines the rules for
 1900 classifying events; this process is represented in figure5.3 and consist of several steps

1901 • take MC samples of signal and background events and split them into two parts
 1902 each; first parts form the training sample which will be used in the decision tree
 1903 training, while the second parts form the test sample which will be used for
 1904 testing the final classifier obtained from the training. Each event has associated
 1905 a set of input variables $\mathbf{x} = (x_1, \dots, x_n)$ which serve to distinguish between signal
 1906 and background events. The training sample is taken in at the root *node*.

1907 • pick one variable, say x_i
 1908 • pick one value of x_i , each event has its own value of x_i , and split the training
 1909 sample into two subsamples B_1 and B_2 ; B_1 contains events for which $x_i < c_1$

- 1910 while B_2 contains the rest of the training events;
- 1911 • scan all possible values of x_i and find the splitting value that provides the *best*
 1912 classification¹, i.e., B_1 is mostly made of signal events while B_2 is mostly made
 1913 of background events.
- 1914 • It is possible that variables other than the picked one produce a better classi-
 1915 fication, hence, all the variables have to be evaluated. Pick the next variable,
 1916 say x_j , and repeat the scan over its possible values.
- 1917 • At the end, all the variables and their values will have been scanned, the *best*
 1918 variable and splitting value will have been identified, say x_1, c_1 , and there will
 1919 be two nodes fed with the subsamples B_1 and B_2 .

1920 Nodes are further split by repeating the decision process until: a given number of
 1921 final nodes is obtained, nodes are largely dominated by either signal or background
 1922 events, or nodes has too few events to continue. Final nodes are called *leaves* and they
 1923 are classified as signal or background leaves according to the class of the majority of
 1924 events in them. Each *branch* in the tree corresponds to a sequence of cuts.

1925 The quality of the classification at each node is evaluated through a separation
 1926 criteria; there are several of them but the *Gini Index* (G) is the one used in the
 1927 decision trees trained for the analysis in this thesis. G is written in terms of the
 1928 purity (P), i.e. the fraction of signal events, of the samples after the separation is
 1929 made; it is given by

$$G = P(1 - P) \quad (5.3)$$

¹ Quality of the classification will be treated in the next paragraph.

1930 notice that $P=0.5$ at the root node while $G=0$ for pure leaves. For a node A split
 1931 into two nodes B_1 and B_2 the G gain is

$$\Delta G = G(A) - G(B_1) - G(B_2) \quad (5.4)$$

1932 the *best* classification corresponds to that for which the gain of G is maximized; hence,
 1933 the scanning over all event's variables and their values is of capital importance.

1934 In order to provide a numerical output for the classification, events in a sig-
 1935 nal(background) leaf are assigned an score of 1(-1) each, defining in this way the
 1936 decision tree *classifier or weak learner* as

$$f(\mathbf{x}) = \begin{cases} 1 & \mathbf{x} \text{ in signal region,} \\ -1 & \mathbf{x} \text{ in background region.} \end{cases}$$

1937 Figure 5.4 shows an example of the classification of a sample of events, containing
 1938 two variables, performed by a decision tree.

1939 5.1.2 Boosted decision trees (BDT).

1940 Event misclassification occurs when a training event ends up in the wrong leaf, i.e., a
 1941 signal event ends up in a background leaf or a background event ends up in a signal
 1942 leaf. A way to correct it is to assign a weight to the misclassified events and train
 1943 a second tree using the reweighted events; the event reweighting is performed by a
 1944 boosting algorithm, events with increased weight are known as *boosted* events, in such
 1945 a way that when used in the training of a new decision tree they get correctly classified.
 1946 The process is repeated iteratively adding a new tree to a forest and creating a set
 1947 of classifiers which are combined to create the next classifier; the final classifier offers

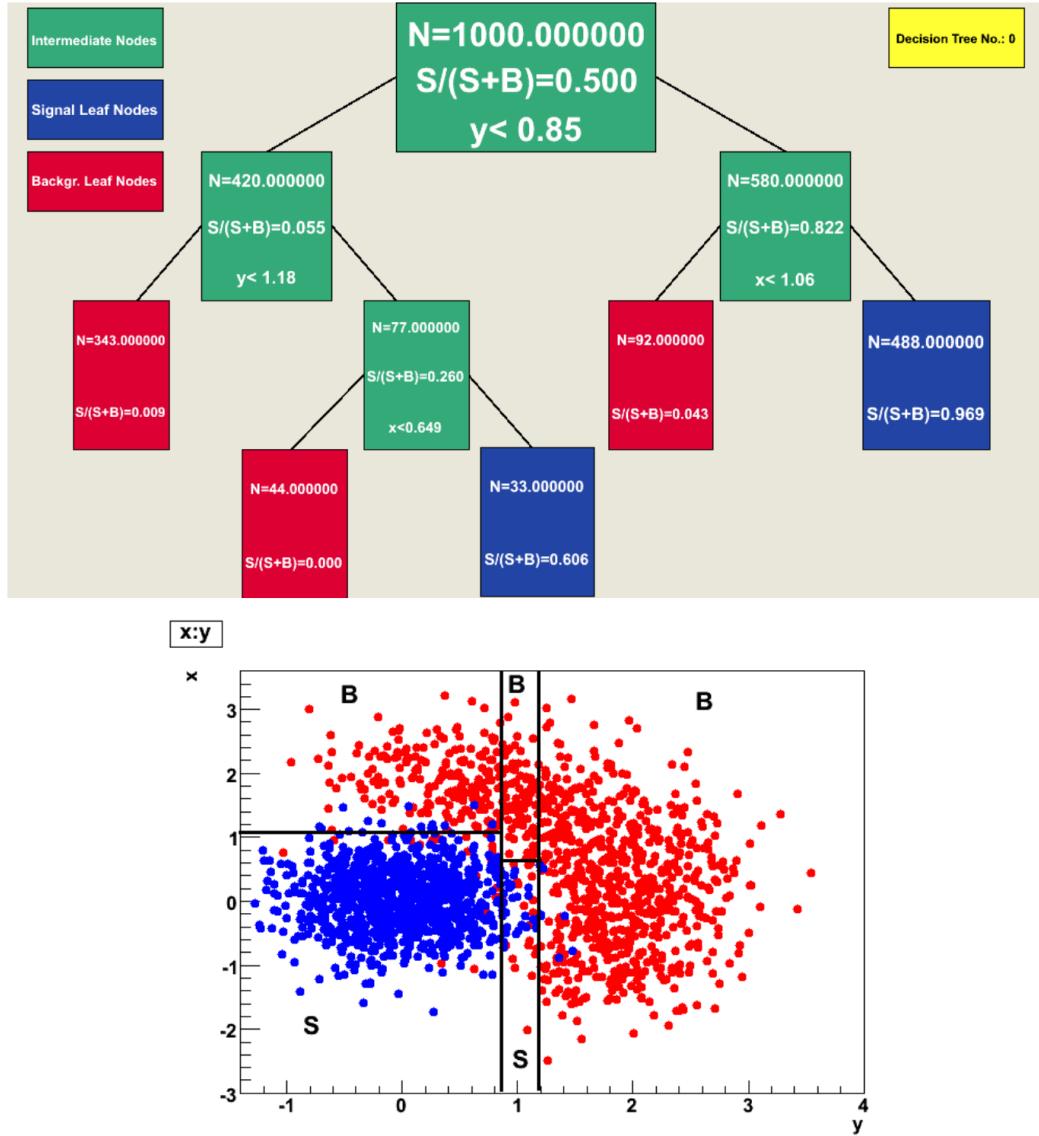


Figure 5.4: Example of a decision tree output. Each leaf, blue for signal events and red for background events, represent a region in the variables phase space [114].

1948 more stability² and has a smaller misclassification rate than any individual ones. The
 1949 resulting tree collection is known as a *boosted decision tree (BDT)*.
 1950 Thus, purity of the sample is generalized to

² Decision trees suffer from sensitivity to statistical fluctuations in the training sample which may leads to very different results with an small change in the training samples.

$$P = \frac{\sum_s w_s}{\sum_s w_s + \sum_b w_b} \quad (5.5)$$

1951 where w_s and w_b are the weights of the events; the Gini index is also generalized

$$G = \left(\sum_i^n w_i \right) P(1 - P) \quad (5.6)$$

1952 with n the number of events in the node. The final score of an event, after pass-
 1953 ing through the forest, is calculated as the renormalized sum of all the individual
 1954 (possibly weighted) scores; thus, high(low) score implies that the event is most likely
 1955 signal(background).

1956 The boosting procedure, implemented in the *Gradient boosting* algorithm used
 1957 in this thesis, produce a classifier $F(\mathbf{x})$ which is the weighted sum of the individual
 1958 classifiers obtained after each iteration,i.e.,

$$F(\mathbf{x}) = \sum_{m=1}^M \beta_m f(\mathbf{x}; a_m) \quad (5.7)$$

1959 where M is the number of trees in the forest. The *loss function* $L(F, y)$ represent the
 1960 deviation between the classifier $F(\mathbf{x})$ response and the true value y obtained from the
 1961 training sample (1 for signal events and -1 for background event), according to

$$L(F, y) = \ln(1 + e^{-2F(\mathbf{x})y}) \quad (5.8)$$

1962 thus, the reweighting is employed to ensure the minimization of the loss function;
 1963 a more detailed description of the minimization procedure can be found in reference
 1964 [115]. The final classifier output is later used as a final discrimination variable, labeled
 1965 as *BDT output/response*.

1966 **5.1.3 Overtraining.**

1967 Decision trees offer the possibility to have as many nodes as wished in order to
 1968 reduce the misclassification to zero (in theory); however, when a classifier is too much
 1969 adjusted to a particular training sample, the classifier response to a slightly different
 1970 sample may leads to a completely different classification results; this effect is know
 1971 as *overtraining*.

1972 An alternative to reduce the overtraining in BDTs consist in pruning the tree by
 1973 removing statistically insignificant nodes after the tree growing is completed but this
 1974 option is not available for BDTs with gradient boosting in the TMVA-toolkit, there-
 1975 fore, the overtraining has to be reduced by tuning the algorithm, number of nodes,
 1976 minimum number of events in the leaves, etc. The overtraining can be evaluated
 1977 by comparing the responses of the classifier when running over the training and test
 1978 samples.

1979 **5.1.4 Variable ranking.**

1980 BDTs have the couple of particular advantages related to the input variables; on one
 1981 side, they are relatively insensitive to the number of input variables used in the vector
 1982 \mathbf{x} . The ranking of the BDT input variables is determined by counting the number of
 1983 times a variable is used to split decision tree nodes; in addition, the separation gain-
 1984 squared achieved in the splitting and the number of events in the node are accounted
 1985 by applying a weighting to that number. Thus, those variables with small or no power
 1986 to separate signal and background events are rarely chosen to split the nodes,i.e., are
 1987 effectively ignored.

1988 On the other side, variables correlations play an important role for some MVA
 1989 methods like the Fisher discriminant algorithm in which the first step consist of

1990 performing a linear transformation to a phase space where the correlations between
 1991 variables are removed; in case of BDT algorithm, correlations do not affect the per-
 1992 formance.

1993 **5.1.5 BDT output example.**

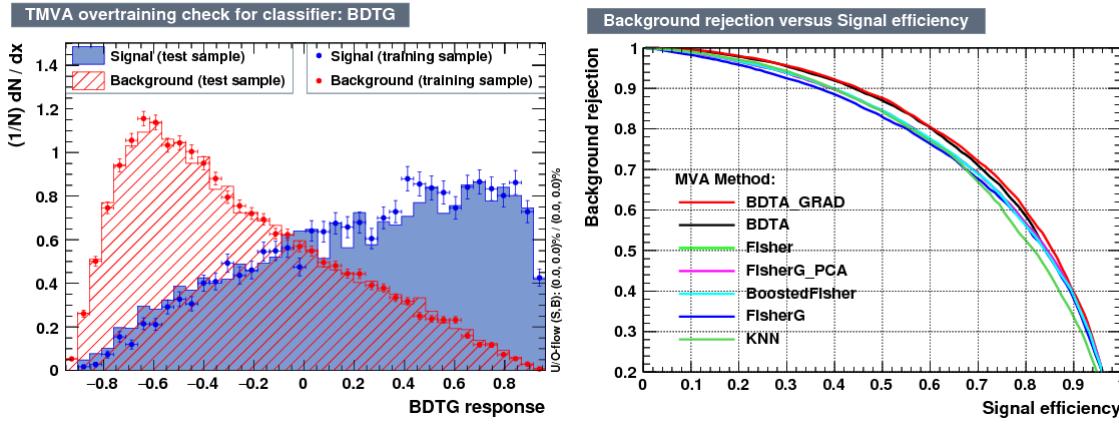


Figure 5.5: Left: Output distributions for the gradient boosted decision tree (BDTG) classifier using a sample of signal($pp \rightarrow tHq$) and background($pp \rightarrow t\bar{t}$) events. Right: Background rejection vs signal efficiency (ROC curves) for various MVA classifiers running over the same sample used to produce the plot on the left.

1994 Left side of figure 5.5 shows the BDT output distributions for signal($pp \rightarrow tHq$)
 1995 and background($pp \rightarrow t\bar{t}$) events; this plot is the equivalent to the one showed in
 1996 figure 5.2. A forest with 800 trees, maximum depth per tree = 3, and gradient
 1997 boosting have been used as training parameters. The BDTG classifier offers a good
 1998 separation power; while there is a small overtraining in the signal distribution, the
 1999 background distribution seems to be well predicted which might indicate that the
 2000 sample is composed of more background than signal events.

2001 Right side of figure 5.5 shows the background rejection vs signal efficiency curves
 2002 for several combinations of MVA classifiers-boosting algorithms; these curves are
 2003 known as ROC curves and give an indication of the performance of the classifier. The

2004 best performance is achieved with the BDTG classifier (BDTA_GRAD).

2005 5.2 Statistical inference.

2006 Once events are classified, the next step consists in finding the parameters that define
 2007 the likelihood functions $f(\mathbf{x}|s), f(\mathbf{x}|b)$ for signal and background events respectively.
 2008 In general, likelihood functions depend not only on the measurements but also on
 2009 parameters (θ_m) that define their shapes; the process of estimating these *unknown*
 2010 *parameters* and their uncertainties from the experimental data is called *inference*.
 2011 The likelihood function for N the events the in a sample is the combination of all the
 2012 likelihoods functions

$$L(\boldsymbol{\theta}) = \prod_{i=1}^N f(\mathbf{x}^i | \boldsymbol{\theta}) = \prod_{i=1}^N f(x_1^i, \dots, x_n^i; \theta_1, \dots, \theta_m) \quad (5.9)$$

2013 Thus, the estimation of the unknown parameters from experimental data samples
 2014 is written in terms of a central value using the notation

$$\theta = \hat{\theta} \pm \delta\theta \quad (5.10)$$

2015 where the interval $[\hat{\theta} + \delta\theta, \hat{\theta} - \delta\theta]$ is called *confidence interval*; it is usually inter-
 2016 preted, in the limit of infinite number of experiments, as the interval where the true
 2017 value of the unknown parameter θ is contained with a probability of 0.6827 (if no
 2018 other convention is stated).

2019 5.2.1 Nuisance parameters.

2020 The unknown parameter vector $\boldsymbol{\theta}$ is made of two types of parameters: on one side,
 2021 those parameters that provide information about the physical observables of interest

2022 for the experiment (*parameters of interest*); on the other side, the *nuisance parameters*
 2023 that are not of direct interest for the experiment but that needs to be included in
 2024 the analysis in order to achieve a satisfactory description of the data. They represent
 2025 effects of the detector response like the finite resolutions of the detection systems,
 2026 miscalibrations, and in general any source of uncertainty introduced in the analysis.

2027 In some cases the nuisance parameters are estimated using dedicated data samples,
 2028 for instance data from test beams for calibration purposes, when MC samples are
 2029 not suitable. The nuisance parameter uncertainties produce *systematic uncertainties*
 2030 while the uncertainties associated to fluctuations in data and related to the estimation
 2031 of the parameters of interest produce *statistical uncertainties*.

2032 5.2.2 Maximum likelihood estimation method

2033 The function that produce the estimate of a parameter is called *estimator*, there-
 2034 fore, estimators are usually constructed using mathematical procedures encoded in
 2035 algorithms. The estimation method used in this thesis is the *Maximum Likelihood*
 2036 *Estimation* method (MLE); it is based on the combined likelihood function defined
 2037 by eqn. 5.9 and the procedure seeks for the parameter set that corresponds to the
 2038 maximum value of the combined likelihood function, i.e., the *maximum likelihood*
 2039 *estimator* of the unknown parameter vector $\boldsymbol{\theta}$ is the function that produce the vec-
 2040 tor $\hat{\boldsymbol{\theta}}$ for which the likelihood function $L(\boldsymbol{\theta})$ evaluated at the measured sample \mathbf{x} is
 2041 maximum.

2042 Usually, the logarithm of the likelihood function is used in the numerical algo-
 2043 rithms implementations in order to avoid underflow the numerical precision of the
 2044 computers due to the product of low likelihoods. In addition, it is usual minimize the
 2045 negative logarithm of the likelihood function instead of maximizing the logarithm of

2046 it because in this way the procedure consist of differentiate a sum of therms and set
 2047 the sum to zero; therefore

$$F(\boldsymbol{\theta}) = -\ln L(\boldsymbol{\theta}) = -\sum_{i=1}^N f(\mathbf{x}^i | \boldsymbol{\theta}). \quad (5.11)$$

2048 The minimization process is performed by the software MINUIT [116] imple-
 2049 mented in the ROOT analysis framework. In case of large data samples the compu-
 2050 tational resources needed to calculate the likelihood function are too big; therefore,
 2051 the parameter estimation is performed using binned distributions of the variables of
 2052 interest for which the *binned likelihood function* is given by

$$L(data|\mu, \theta) = \prod_{i=1} \frac{(\mu s_i(\theta) + b_i(\theta))^{n_i}}{n_i!} e^{-\mu s_i(\theta) - b_i(\theta)}, \quad (5.12)$$

2053 with s_i and b_i the expected number of signal and background yields for bin i respec-
 2054 tively, n_i is the observed number of events in the bin i and $\mu = \sigma/\sigma_{SM}$ is the signal
 2055 strength. Notice that the number of entries per bin follows a Poisson distribution.
 2056 The analysis presented in this thesis is based on the binned distribution of the ratio
 2057 signal/background obtained from the BDT outputs.

2058 5.2.3 Hypothesis test

2059 The test statistic mentioned in section 5.1 involving
 2060 ; it is achieved, according to the Neyman-Pearson lemma [117],
 2061 by defining the acceptance region such that, for \mathbf{x} inside the region, the likelihood
 2062 ratio, i.e., the ratio of probability distribution functions for signal and background,

2063 **5.3 exclusion limits**

2064 **5.4 asymptotic limits**

2065 **Chapter 6**

2066 **Search for production of a Higgs**
2067 **boson and a single top quark in**
2068 **multilepton final states in pp**
2069 **collisions at $\sqrt{s} = 13 \text{ TeV}$**

2070 **6.1 Introduction**

2071 The Higgs boson discovery, supported on experimental observations and theoretical
2072 predictions made about the SM, gives the clue of the way in that elementary particles
2073 acquire mass through the Higgs mechanism; therefore, knowing the Higgs mass, the
2074 Higgs-boson and Higgs-fermion couplings can be tested. In order to test the Higgs-top
2075 coupling, several measurements have been performed, as stated in the chapter 2, but
2076 they are limited to measure the square of the coupling; however, the production of a
2077 Higgs boson in association with a single top quark (tH) not only offers access to the
2078 sign of the coupling, but also, to the CP phase of the Higgs couplings.

2079 This chapter presents the search for the associated production of a Higgs boson
 2080 and a single top quark events, focusing on leptonic signatures provided by the Higgs
 2081 decay modes to WW , ZZ , and $\tau\tau$; the 13 TeV dataset produced in 2016, which
 2082 corresponds to an integrated luminosity of 35.9fb^{-1} , is used. Constraints on the sign
 2083 of the Higgs- top coupling (y_t) have been derived from the decay rate of Higgs boson
 2084 to photon pairs [40] and from the cross section for associated production of Higgs and
 2085 Z bosons via gluon fusion [118], with recent results disfavoring negative signs of the
 2086 coupling [51,53,119]. It expands previous analyses performed at 8 TeV [120,121] and
 2087 searches for associated production of $t\bar{t}$ pair and a Higgs boson in the multilepton final
 2088 state channel [122]; it also complements searches in other decay channels targeting
 2089 $H \rightarrow b\bar{b}$ [123].

2090 As shown in section 2.4, the SM cross section of the associated production of a
 2091 Higgs boson and a single top quark (tHq) process is driven by a destructive interfer-
 2092 ence between two contributions (see Figure 2.13), where the Higgs couples to either
 2093 the W boson or the top quark; however, if the sign of the Higgs-top coupling is flipped
 2094 with respect to the SM prediction, a large enhancement of the cross section occurs,
 2095 making this analysis sensitive to such deviation. A second process, where the Higgs
 2096 boson and top quark are accompanied by a W boson (tHW) has similar behavior,
 2097 albeit with a weaker interference pattern and lower contribution to the tH cross sec-
 2098 tion, therefore, a combination of both processes would increase the sensitivity; in
 2099 this analysis both contributions are combined and referred as tH channel. A third
 2100 contribution comes from $t\bar{t}H$ process. The purpose of this analysis is to investigate
 2101 the exclusion of the presence of the $tH + t\bar{t}H$ processes under the assumption of the
 2102 anomalous Higgs-top coupling modifier ($\kappa_t = -1$). The analysis exploits signatures with
 2103 three leptons in the final state.

2104 The first sections present the characteristic tHq signature as well as the expected

backgrounds. The MC samples, data sets, and the physics object definitions are then defined. Following, the background predictions, the signal extraction, and the statistical treatment of the selected events as well as the systematic uncertainties are described. The final section present the results for the exclusion limits as a function of the ratio of κ_t and the dimensionless modifier of the Higgs-vector boson κ_V .

6.2 tHq signature

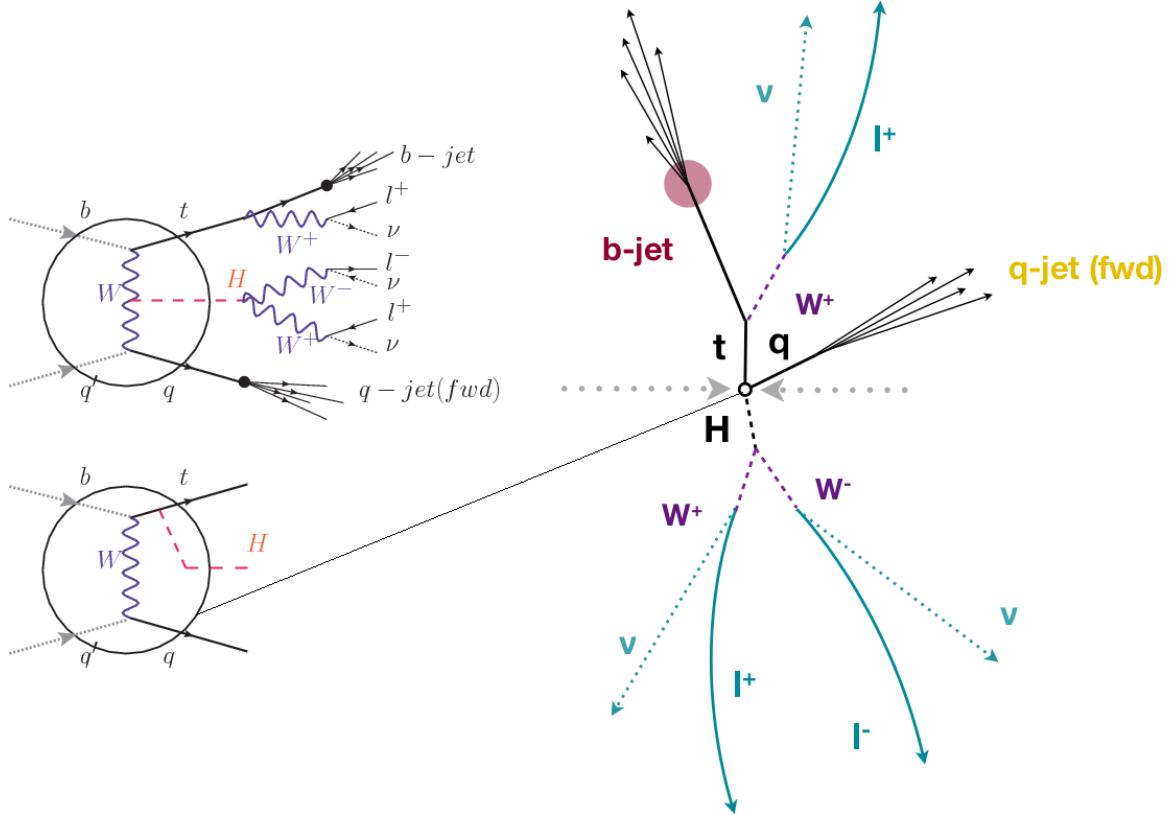


Figure 6.1: tHq event signature. Left: Feynman diagram including the whole evolution up to the final state for the case of the Higgs boson emitted by the W boson (top); Feynman diagram for the case where the Higgs boson is emitted by the top quark. Right: Schematic view as it would be seen in the detector; The circle in the Feynman diagrams on the left corresponds to the circle in the center of the schematic view as indicated by the line connecting them.

2111 In order to select events of tHq process, its features are translated into a set of
 2112 selection rules; figure 6.1 shows the Feynman diagram and an schematic view of the
 2113 tHq process from the pp collision to the final state configuration. A single top quark
 2114 is produced accompanied by a light quark, denoted as q ; this light quark is produced
 2115 predominantly in the forward region of the detector. The Higgs boson which can
 2116 be either emitted by the exchanged W boson or directly by the singly produced top
 2117 quark.

2118 The top quark and Higgs boson decay after their production in the detector due to
 2119 their high masses/low lifetimes. The Higgs boson is required to decay into a W boson
 2120 pair¹. The top quark almost always decays into a bottom quark and a W boson, as
 2121 encoded in the CMK matrix. The W bosons are required to decay leptonically while
 2122 τ leptons are not reconstructed separately and only their leptonic decays into either
 2123 electrons or muons are considered in this analysis.

2124 In summary, the signal process is characterized by a the final state with one
 2125 light-flavored forward jet, one central b-jet, three leptons (muons, electrons or a
 2126 combination of them), three neutrinos and no central light-flavored jets. The presence
 2127 of neutrinos is inferred from the presence of MET. The analysis has been made public
 2128 by CMS as a Physics Analysis Summary [124] combining the result for the three lepton
 2129 and two lepton same-sign channels. Currently, an effort to turn the analysis into a
 2130 paper is ongoing.

2131 6.3 Background processes

2132 The background processes are those that can mimic the signal signature or at least
 2133 can be reconstructed as that as a result of certain circumstances. The backgrounds

¹ ZZ and $\tau\tau$ decays are also include in the analysis but they are not separately reconstructed

2134 can be classified as

- 2135 • Irreducible backgrounds where genuine prompt leptons are produced in on-
2136 shell W and Z boson decays; they can be reliably estimated directly from MC
2137 simulated events, using higher-order cross sections or data control regions for
2138 the overall normalization.
- 2139 • Reducible backgrounds where at least one of the leptons is *non-prompt*, i.e., pro-
2140 duced within a hadronic jet, either a genuine lepton from heavy flavor decays.
2141 misreconstructed jets, also known as *mis-ID leptons* or *fake leptons*, are consid-
2142 ered non-prompt leptons as well. These non-prompt leptons leave tracks and
2143 hits in the detection systems as would a prompt lepton, but correlating those
2144 hits with nearby jets could be a way of removing them. Reducible backgrounds
2145 are not well predicted by simulation, and are estimated using data-driven meth-
2146 ods.

2147 The main sources of background events in the case of tHq process are $t\bar{t}$ process
2148 and $t\bar{t} + X (X = W, Z, \gamma)$ processes, here represented together as $t\bar{t}V$ process. Figure
2149 6.2 shows the signature for $t\bar{t}$ and $t\bar{t}W$ processes;

2150 The largest contribution to irreducible backgrounds involving prompt leptons
2151 comes from $t\bar{t}W$, $t\bar{t}Z$, processes for which the number of ($b-$)jets (($b-$)jet multipli-
2152 city) is higher than that of the signal events, while for other contributing background
2153 events, WZ , ZZ , and rare SM processes like $W^\pm W^\pm qq$, $t\bar{t}t\bar{t}$, tZq , tZW , WW ,
2154 WWZ , WZZ , ZZZ , the ($b-$)jet multiplicity is lower compared to that of the signal
2155 events. None of the irreducible backgrounds present activity in the forward region of
2156 the detector.

2157 On the side of the reducible backgrounds, the largest contribution comes from the
2158 $t\bar{t}$ events which have a very similar signature to the signal events but does no present

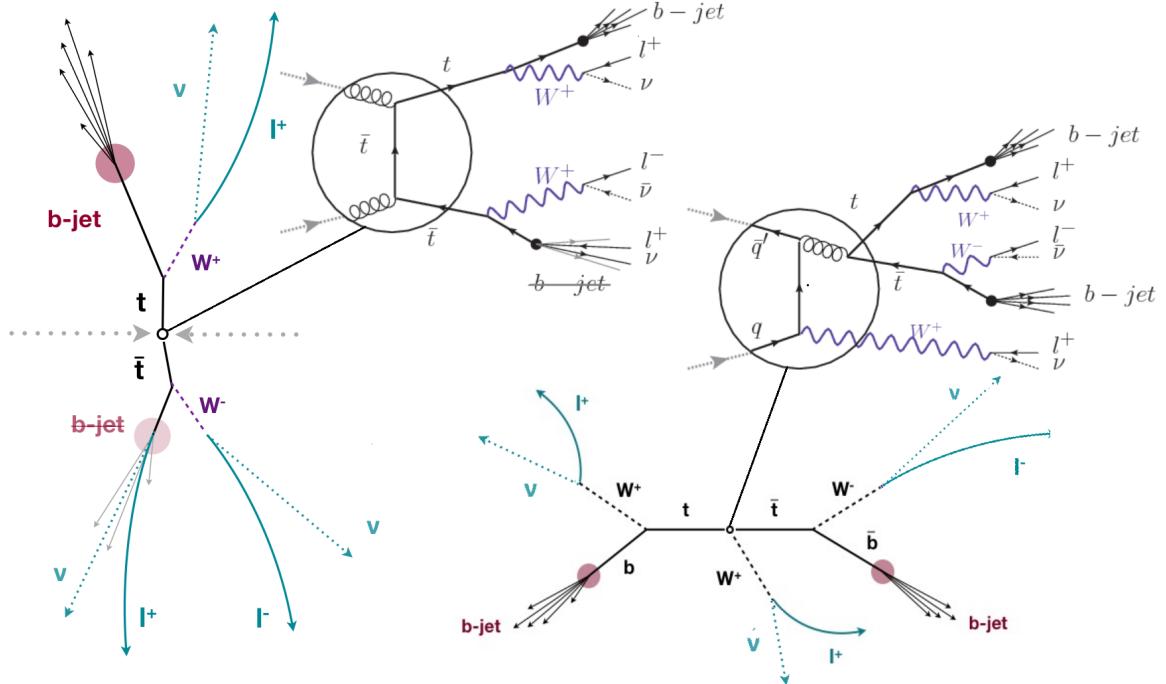


Figure 6.2: $t\bar{t}$ (left) and $t\bar{t}W$ (right) events signature as they would be seen in the detector; the Feynman diagrams including the whole evolution up to the final state are also showed. The $t\bar{t}$ process signature is very similar to that of the signal process with one fake lepton and no forward activity. The $t\bar{t}W$ process present a higher b-jet multiplicity compared to the signal process, a prompt lepton and no forward activity.

2159 activity in the forward region of the detector either; A particular feature of the $t\bar{t}$
 2160 events is their charge-symmetry which is also a difference with the signal events.

2161 6.4 Object Identification and event selection

2162 In this section, the specific definitions of the physical objects in terms of the numerical
 2163 values assigned to the reconstruction parameters are presented; thus, the provided
 2164 details summarize and complement the descriptions presented in previous chapters.
 2165 The object reconstruction and selection strategy used in this thesis is inherited from
 2166 the analyses in references [122, 127], thus, the information provided in this section is
 2167 extracted from those documents unless other references are stated.

2168 **6.4.1 Jets and b tagging.**

2169 In this analysis, jets are reconstructed by clustering PF candidates using the anti- k_t
 2170 algorithm with parameter distance $\Delta R = 0.4$; those charged hadrons that are not
 2171 consistent with the selected primary vertex are discarded from the clustering. The
 2172 jet energy is then corrected for the varying response of the detector as a function
 2173 of transverse momentum p_T and pseudorapidity η . Jets are selected for use in the
 2174 analysis only if they have $p_T > 25$ GeV and are separated from any selected leptons
 2175 by $\Delta R > 0.4$.

2176 Jets coming from the primary vertex and jets coming from pile-up vertices are
 2177 distinguished using a MVA discriminator based on the differences in the jet shapes,
 2178 in the relative multiplicity of charged and neutral components, and in the different
 2179 fraction of transverse momentum which is carried by the hardest components. Jet
 2180 tracks are also required to be compatible with the primary vertex.

2181 Jets originated from the hadronization of a b quark are selected using a MVA
 2182 likelihood discriminant which uses track-based lifetime information and reconstructed
 2183 secondary vertices (CSV algorithm). Only jets within the CMS tracker acceptance
 2184 ($\eta < 2.4$) are identified with this tool. Data samples are used to measure the efficiency
 2185 of the b tagging and the probability to misidentify jets from light quarks or gluons;
 2186 in both cases the measurements are parametrized as a function of the jet p_T and η
 2187 and later used to correct differences between the data and MC simulation in the b
 2188 tagging performance, by applying per-jet weights to the simulation, dependent on
 2189 the jet p_T , η , b tagging discriminator, and flavor (from simulation truth) [125]. The
 2190 per-event weight is taken as the product of the per-jet weights, including those of the
 2191 jets associated to the leptons. The weights are derived on $t\bar{t}$ and Z+jets events.

2192 Two working points are defined, based on the CSV algorithm output: ‘*loose*’ work-

ing point ($\text{CSV} > 0.46$) with a b signal tagging efficiency of about 83% and a mistagging rate of about 8%; and *medium* working point ($\text{CSV} > 0.80$) with b -tagging efficiency of about 69% and mistagging rate of order 1% [126]. Tagging of jets from charm quarks have efficiencies of about 40% and 18% for loose and medium working points respectively. Separate scale factors are applied to jets originating from bottom/charm quarks and from light quarks in simulated events to match the tagging efficiencies measured in the data.

6.4.2 Missing Energy MET.

As stated in section 4.4.1.1, the MET vector is calculated as the negative of the vector sum of transverse momenta of all PF candidates in the event and its magnitude is referred to as E_T^{miss} . Due to pile-up interactions, the performance in determining MET is degraded; in order to correct for that, the energy from the selected jets and leptons that compose the event is assigned to the variable H_T^{miss} . It is calculated in the same way as E_T^{miss} and although it has worse resolution than E_T^{miss} , it is more robust in the sense that it does not rely on the soft part of the event. The event selection uses a linear discriminator based on the two variables given by

$$E_T^{\text{miss}} \text{LD} = 0.00397 * E_T^{\text{miss}} + 0.00265 * H_T^{\text{miss}} \quad (6.1)$$

taking advantage of the fact that the correlation between E_T^{miss} and H_T^{miss} is less for events with instrumental missing energy than for events with real missing energy. The working point $E_T^{\text{miss}} \text{LD} > 0.2$ was chosen to ensure a good signal efficiency while keeping a good background rejection.

2213 **6.4.3 Lepton reconstruction and identification**

2214 Two types of leptons are defined in this analysis: *signal leptons* are those coming from
 2215 W, Z and τ decays which usually are isolated from other particles; *background leptons*
 2216 are defined as leptons produced in b hadron decays, light-jets misidentification, and
 2217 photon conversions.

2218 The process of reconstruction and identification of electron and muon candidates
 2219 was described in chapter4, hence, the identification variables used in order to retain
 2220 the highest possible efficiency for signal leptons while maximizing the rejection of
 2221 background leptons are listed and described in the following sections ².

2222 The identification variables include not only observables related directly to the re-
 2223 constructed leptons themselves, but also to the clustered energy deposits and charged
 2224 particles in a cone around the lepton direction (jet-related variables); an initial loose
 2225 preselection of leptons candidates is performed and then an MVA discriminator, re-
 2226 ferred to as *lepton MVA* discriminator, is used to distinguish signal leptons from
 2227 background leptons.

2228 **Muons.**

2229 The Physics Objects Groups (POG) at CMS, are in charge of studying and defining
 2230 the set of selection criteria applied on the course of reconstruction and identification
 2231 of particles. These selection criteria are implemented in the CMS framework in the
 2232 form of several object identification working points according to the strength of the
 2233 requirements.

2234 The muon candidates are reconstructed by combining information from the tracker
 2235 system and the muon detection system of CMS detector and the POG defined three

² the studies performed to optimize the identification are far from the scope of this thesis, therefore, only general descriptions are provided

2236 working points for muon identification *MuonID* [128];

2237 • *POG Loose Muon ID* is a particle identified as a muon by the PF event re-
 2238 construction and also reconstructed either as a global-muon or as an arbitrated
 2239 tracker-muon. This identification criteria is designed to be highly efficient for
 2240 prompt muons and for muons from heavy and light quark decays; it can be com-
 2241 plemented by applying impact parameter cuts in analyses with prompt muon
 2242 signals.

2243 • *POG Medium Muon ID* is a Loose muon with additional track-quality and
 2244 muon-quality (spatial matching between the individual measurements in the
 2245 tracker and the muon system) requirements. This identification criteria is de-
 2246 signed to be highly efficient in the separation of the muons coming from decay
 2247 in flight of heavy quarks and muons coming from B meson decays as well as
 2248 prompt muons. An additional category *MVA Prompt ID* is defined in this iden-
 2249 tification criteria directed to discriminated muons from B mesons and prompt
 2250 muons (from W,Z and τ decays). The Medium ID provides the same fake rate as
 2251 the Tight Muon ID but a higher efficiency on prompt and B-decays muons. [129]

2252 • *POG Tight Muon ID* is a global muon with additional muon-quality require-
 2253 ments Tight Muon ID selects a subset of the PF muons.

2254 Only muons within the muon system acceptance $|\eta| < 2.4$ and minimum p_T of 5
 2255 GeV are considered.

2256 **Electrons.**

2257 Electrons are reconstructed using information from the tracker and from the electro-
 2258 magnetic calorimeter and identified by an MVA algorithm (*MVA eID* discriminant)

2259 using the shape of the calorimetric shower variables like the shape in η and ϕ , the clus-
 2260 ter circularity, widths along η and ϕ ; track-cluster matching variables like E_{tot}/p_{in} ,
 2261 E_{Ele}/p_{out} , $\Delta\eta_{in}$, $\Delta\eta_{out}$, $\Delta\phi_{in}$, $1/E - 1/p$; and track quality variables like ξ^2 of the
 2262 GSF tracks, the number of hits used by the GSF filter [130].

2263 A loose selection based on η -dependent cuts on this discriminant is used to prese-
 2264 lect electron candidates, the full shape of the discriminant is used in the lepton MVA
 2265 selection to separate signal leptons from background leptons (described in section
 2266 6.4.3).

2267 In order to reject electrons from photon conversions, electron candidates with
 2268 missing hits in the pixel tracker layers or matched to a conversion secondary vertex
 2269 are discarded. Electrons are selected for the analysis if they have $p_T > 7$ GeV and
 2270 are located within the tracker system acceptance region ($|\eta| < 2.5$).

2271 **Lepton vertexing and pile-up rejection.**

2272 The impact parameter in the transverse plane d_0 , impact parameter along the z
 2273 axis d_z , and the impact parameter significance in the detector space SIP_{3D} , are
 2274 considered to perform the identification and rejection of pile-up, misreconstructed
 2275 tracks, and background leptons from b-hadron decays; pile-up and misreconstructed
 2276 track mitigation is achieved by imposing loose cuts on the impact parameter variables.
 2277 The full shape of the those variables is used in a lepton MVA classifier to achieve the
 2278 best separation between the signal and the background leptons.

2279 **Lepton isolation.**

2280 PF is able to recognize leptons from two different sources: on one side, leptons from
 2281 the decays of heavy particles, such as W and Z bosons, which are normally isolated
 2282 in space from the hadronic activity in the event; on the other side, leptons from the

2283 decays of hadrons and jets misidentified as leptons, which are not isolated as the
 2284 former. For highly boosted systems, like the lepton and the b -jet generated in the
 2285 semileptonic decay of a boosted top, the decay products tend to be more closer and
 2286 sometimes they even overlap; thus, the PF standard definition of isolation in terms of
 2287 the separation between the lepton candidates and other PF objects in the η - ϕ plane,

$$\Delta R = \sqrt{(\eta^l - \eta^i)^2 + (\phi^l - \phi^i)^2} < 0.3 \quad (6.2)$$

2288 which considers all the neutral, charged hadrons and photons in a cone around the
 2289 leptons, is refocused to the local isolation of the leptons through the mini-isolation
 2290 I_{mini} [131] defined as the sum of particle flow candidates p_T within a cone around
 2291 the lepton, corrected for the effects of pileup and divided by the lepton p_T

$$I_{mini} = \frac{\sum_R p_T(h^\pm) - \max\left(0, \sum_R p_T(h^0) + p_T(\gamma) - \rho \mathcal{A}\left(\frac{R}{0.3}\right)^2\right)}{p_T(l)} \quad (6.3)$$

2292 where ρ is the pileup energy density, h^\pm, h^0, γ, l , represent the charged hadron, neutral
 2293 hadrons, photons, and the lepton, respectively. The radius R of the cone depends on
 2294 the p_T of the lepton according to

$$R = \frac{10\text{GeV}}{\min(\max(p_T(l), 50\text{GeV}), 200\text{GeV})}, \quad (6.4)$$

2295 The p_T dependence of the cone size allows for greater signal efficiency. Setting a
 2296 cut on I_{mini} below a given threshold ensures that the lepton is locally isolated, even
 2297 in boosted systems. The effect of pileup is mitigated using the so-called effective area
 2298 correction \mathcal{A} listed in Table6.1.

2299 A loose cut on I_{mini} is applied to pre-select the muon and electron candidates;

$ \eta $ range	$\mathcal{A}(e)$ neutral/charged	$A(\mu)$ neutral/charged
0.0 - 0.8	0.1607 / 0.0188	0.1322 / 0.0191
0.8 - 1.3	0.1579 / 0.0188	0.1137 / 0.0170
1.3 - 2.0	0.1120 / 0.0135	0.0883 / 0.0146
2.0 - 2.2	0.1228 / 0.0135	0.0865 / 0.0111
2.2 - 2.5	0.2156 / 0.0105	0.1214 / 0.0091

Table 6.1: Effective areas, for electrons and muons used to mitigate the effect of pileup by using the so-called effective area correction.

however, the full shape is used in the lepton MVA discriminator when performing the signal lepton selection.

Jet-related variables.

In order to reject misidentified leptons from b -jets, mostly coming from $t\bar{t}$ +jets, Drell-Yan+jets, and W +jets events, the vertexing and isolation described in previous sections are complemented with additional variables related to the closest reconstructed jet to the lepton, i.e., the PF jets reconstructed³ around the leptons with $\Delta R = \sqrt{(\eta^l - \eta^{jet})^2 + (\phi^l - \phi^{jet})^2} < 0.5$. The identification variables used in the lepton MVA discriminator are the ratio p_T^l/p_T^{jet} , the CSV b-tagging discriminator value of the jet, the number of charged tracks of the jet, and the relative p_T given by

$$p_T^{rel} = \frac{(\vec{p}_{jet} - \vec{p}_l) \cdot \vec{p}_l}{||\vec{p}_{jet} - \vec{p}_l||}. \quad (6.5)$$

LeptonMVA discriminator.

Electrons and muons passing the basic selection process described above are referred to as *loose leptons*. Additional discrimination between signal leptons and background leptons is crucial considering that the rate of $t\bar{t}$ production is much larger than the signal, hence, an overwhelming background from $t\bar{t}$ production. To maximally ex-

³ charged hadrons from PU vertices are not removed prior to the jet clustering.

2315 ploit the available information in each event to that end, the dedicated lepton MVA
 2316 discriminator, based on a boosted decision tree (BDT) algorithm, has been built so
 2317 that all the identification variables can be used together.

2318 The lepton MVA discriminator training is performed using simulated signal Loose
 2319 leptons from the $t\bar{t}H$ MC sample and fake leptons from the $t\bar{t}$ + jets MC sample, sep-
 2320 arately for muons and electrons. The input variables used include vertexing, isolation
 2321 and jet-related variables, the p_T and η of the lepton, the electron MVA eID discrimina-
 2322 tor and the muon segment-compatibility variables. An additional requirement known
 2323 as *tight-charge* requirement, is imposed by comparing two independent measurement
 2324 of the charge, one from the ECAL supercluster and the other from the tracker; thus,
 2325 the consistency in the measurements of the electron charge is ensured so that events
 2326 with a wrong electron charge assignment are rejected. The tight-charge requirement
 2327 for muons is represented by the requirement of a consistently well measured track
 2328 transverse momentum given by $\Delta p_T/p_T < 0.2$.

2329 Leptons are selected for the final analysis if they pass a given threshold of the
 2330 BDT output, and are referred to as *tight leptons* in the following.

2331 The validation of the lepton MVA algorithm and the lepton identification variables
 2332 is performed using data in various control regions; the details about that validation
 2333 are not discussed here but can be found in Reference [127].

2334 Selection definitions

2335 Electron and muon object identification is defined in three different sets of selections
 2336 criteria; the *Loose*, *Fakeable Object*, and *Tight* selection. These three levels of selection
 2337 are designed to serve for event level vetoes, the fake rate estimation application region,
 2338 and the final signal selection, respectively. The p_T of fakeable objects is defined as
 2339 $0.85 \times p_T(\text{jet})$, where the jet is the one associated to the lepton object. This mitigates

2340 the dependence of the fake rate on the momentum of the fakeable object and thereby
 2341 improves the precision of the method.

2342 Tables 6.2 and 6.3 list the full criteria for the different selections of muons and
 2343 electrons.

Cut	Loose	Fakeable object	Tight
$ \eta < 2.4$	✓	✓	✓
p_T	$> 5\text{GeV}$	$> 15\text{GeV}$	$> 15\text{GeV}$
$ d_{xy} < 0.05 \text{ (cm)}$	✓	✓	✓
$ d_z < 0.1 \text{ (cm)}$	✓	✓	✓
$\text{SIP}_{3D} < 8$	✓	✓	✓
$I_{\text{mini}} < 0.4$	✓	✓	✓
is Loose Muon	✓	✓	✓
jet CSV	—	< 0.8484	< 0.8484
is Medium Muon	—	—	✓
tight-charge	—	—	✓
lepMVA > 0.90	—	—	✓

Table 6.2: Requirements on each of the three muon selections. In the cases where the cut values change between the selections, those values are listed in the table. Otherwise, whether the cut is applied is indicated.

2344 In addition to the previously defined requirements for jets, they are required to
 2345 be separated from any lepton candidates passing the fakeable object selections by
 2346 $\Delta R > 0.4$.

2347 6.4.4 Lepton selection efficiency

2348 Efficiencies of reconstruction and selecting loose leptons are measured both for muons
 2349 and electrons using a tag and probe method on both data and MC, using $Z \rightarrow \ell^+ \ell^-$.
 2350 Corresponding scale factors are derived from the ratio of efficiencies and applied to the
 2351 selected These. Events are produced for the leptonic SUSY analyses using equivalent
 2352 lepton selections and recycled for the $t\bar{t}H$ analysis as well as for this analysis. The
 2353 efficiencies of applying the tight selection as defined in Tables 6.2 and 6.3, on the
 2354 loose leptons are determined again by using a tag and probe method on a sample of

Cut	Loose	Fakeable Object	Tight
$ \eta < 2.5$	✓	✓	✓
p_T	$> 7\text{GeV}$	$> 15\text{GeV}$	$> 15\text{GeV}$
$ d_{xy} < 0.05 \text{ (cm)}$	✓	✓	✓
$ d_z < 0.1 \text{ (cm)}$	✓	✓	✓
$\text{SIP}_{3D} < 8$	✓	✓	✓
$I_{\text{mini}} < 0.4$	✓	✓	✓
MVA eID $> (0.0, 0.0, 0.7)$	✓	✓	✓
$\sigma_{in\eta} < (0.011, 0.011, 0.030)$	—	✓	✓
$\text{H/E} < (0.10, 0.10, 0.07)$	—	✓	✓
$\Delta\eta_{in} < (0.01, 0.01, 0.008)$	—	✓	✓
$\Delta\phi_{in} < (0.04, 0.04, 0.07)$	—	✓	✓
$-0.05 < 1/E - 1/p < (0.010, 0.010, 0.005)$	—	✓	✓
p_T^{ratio}	—	$> 0.5^\dagger / -$	—
jet CSV	—	$< 0.3^\dagger / < 0.8484$	< 0.8484
tight-charge	—	—	✓
conversion rejection	—	—	✓
Number of missing hits	< 2	$== 0$	$== 0$
lepton MVA > 0.90	—	—	✓

Table 6.3: Criteria for each of the three electron selections. In cases where the cut values change between selections, those values are listed in the table. Otherwise, whether the cut is applied is indicated. In some cases, the cut values change for different η ranges. These ranges are $0 < |\eta| < 0.8$, $0.8 < |\eta| < 1.479$, and $1.479 < |\eta| < 2.5$ and the respective cut values are given in the form (value₁, value₂, value₃). For the two p_T^{ratio} and CSV rows, the cuts marked with a \dagger are applied to leptons that fail the lepton MVA cut, while the loose cut value is applied to those that pass the lepton MVA cut.

2355 DY-enriched events. They are documented for the $t\bar{t}H$ analysis in Ref. [127] and are
 2356 exactly equivalent for this analysis.

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2367 The analysis is designed to efficiently identify and select prompt leptons from
2368 on-shell W and

2369 Z boson decays and to reject non-prompt leptons from b quark decays and spurious
2370 lepton

2371 signatures from hadronic jets. Events are then selected in the various lepton
2372 channels, and are

2373 required to contain hadronic jets, some of which must be consistent with b quark
2374 hadronization. Finally, the signal yield is extracted by simultaneously fitting the
2375 output of two dedicated

2376 multivariate discriminants (trained to separate the tHq signal from the two dom-
2377 inant backgrounds) in all categories

2378 . Multivariate techniques are used to discriminate the signal from the dominant
2379 backgrounds. The analysis yields a 95% confidence level (C.L.) upper limit on the
2380 combined tH + ttH production cross section times branching ratio of 0.64 pb, with
2381 an expected limit of 0.32 pb, for a scenario with $kt = \sqrt{1.0}$ and $kV = 1.0$. Values
2382 of kt outside the range of $\sqrt{1.25}$ to $\sqrt{1.60}$ are excluded at 95% C.L., assuming kV
2383 = 1.0.

2384 Dont forget to mention previous constrains to ct check reference ?? and references
2385 <https://link.springer.com/content/pdf/10.1007%2FJHEP01%282013%29088.pdf> (para-
2386 graph after eq 2)

2387 We selects events with three leptons and a b tagged jet in the final state. The tHq
2388 signal contribution is then determined in a fit of the observed data to two multivariate
2389 classifier outputs, each trained to discriminate against one of the two dominant back-

2390 grounds of events with non-prompt leptons from $t\bar{t}$ and of associated production of $t\bar{t}$
 2391 and vector bosons ($t\bar{t}W$, $t\bar{t}Z$). The fit result is then used to set an upper limit on the
 2392 combined $t\bar{t}H$, tHq and tHW production cross section, as a function of the relative
 2393 coupling strengths of Higgs and top quark and Higgs and W boson, respectively.

2394 6.5 Data and MC Samples

2395 The data considered in this analysis were collected by the CMS experiment dur-
 2396 ing 2016 and correspond to a total integrated luminosity of $35.9 fb^{-1}$. Only periods
 2397 when the CMS magnet was on were considered when selecting the data samples, that
 2398 corresponds to the 23 Sep 2016 (Run B to G) and PromptReco (Run H) versions
 2399 of the datasets. The MC samples used in this analysis correspond to the RunI-
 2400 ISummer16MiniAODv2 campaign produced with CMSSW 80X. The two signal sam-
 2401 ples (for tHq and tHW) were produced with MG5_aMC@NLO (version 5.222), in
 2402 leading-order mode, and are normalized to next-to-leading-order cross sections,
 2403 see Tab. 6.4. Each sample is generated with a set of event weights corresponding to
 2404 different values of κ_t and κ_V couplings as shown in Tab. 6.5.

2405 6.5.1 Full 2016 dataset and MC samples

Sample	σ [pb]	BF
/THQ_Hincl_13TeV-madgraph-pythia8_TuneCUETP8M1/	0.7927	0.324
/THW_Hincl_13TeV-madgraph-pythia8_TuneCUETP8M1/	0.1472	1.0

Table 6.4: Signal samples and their cross section and branching fraction used in this analysis. See Ref. [132] for more details.

2406 Different MC generators were used to generate the background processes. The
 2407 dominant sources ($t\bar{t}$, $t\bar{t}W$, $t\bar{t}Z$, $t\bar{t}H$) were produced using AMC@NLO interfaced
 2408 to PYTHIA8, and are scaled to NLO cross sections. Other processes are simulated

		<i>tHq</i>		<i>tHW</i>		
κ_V	κ_t	sum of weights	cross section [pb]	sum of weights	cross section [pb]	LHE weights
1.0	-3.0	35.700022	2.991	11.030445	0.6409	LHEweight_wgt[446]
1.0	-2.0	20.124298	1.706	5.967205	0.3458	LHEweight_wgt[447]
1.0	-1.5	14.043198	1.205	4.029093	0.2353	LHEweight_wgt[448]
1.0	-1.25	11.429338	0.9869	3.208415	0.1876	LHEweight_wgt[449]
1.0	-1.0		0.7927		0.1472	
1.0	-0.75	7.054998	0.6212	1.863811	0.1102	LHEweight_wgt[450]
1.0	-0.5	5.294518	0.4723	1.339886	0.07979	LHEweight_wgt[451]
1.0	-0.25	3.818499	0.3505	0.914880	0.05518	LHEweight_wgt[452]
1.0	0.0	2.627360	0.2482	0.588902	0.03881	LHEweight_wgt[453]
1.0	0.25	1.719841	0.1694	0.361621	0.02226	LHEweight_wgt[454]
1.0	0.5	1.097202	0.1133	0.233368	0.01444	LHEweight_wgt[455]
1.0	0.75	0.759024	0.08059	0.204034	0.01222	LHEweight_wgt[456]
1.0	1.0	0.705305	0.07096	0.273617	0.01561	LHEweight_wgt[457]
1.0	1.25	0.936047	0.0839	0.442119	0.02481	LHEweight_wgt[458]
1.0	1.5	1.451249	0.1199	0.709538	0.03935	LHEweight_wgt[459]
1.0	2.0	3.335034	0.2602	1.541132	0.08605	LHEweight_wgt[460]
1.0	3.0	10.516125	0.8210	4.391335	0.2465	LHEweight_wgt[461]
1.5	-3.0	45.281492	3.845	13.426212	0.7825	LHEweight_wgt[462]
1.5	-2.0	27.606715	2.371	7.809713	0.4574	LHEweight_wgt[463]
1.5	-1.5	20.476088	1.784	5.594971	0.3290	LHEweight_wgt[464]
1.5	-1.25	17.337465	1.518	4.635978	0.2749	LHEweight_wgt[465]
1.5	-1.0	14.483302	1.287	3.775902	0.2244	LHEweight_wgt[466]
1.5	-0.75	11.913599	1.067	3.014744	0.1799	LHEweight_wgt[467]
1.5	-0.5	9.628357	0.874	2.352505	0.1410	LHEweight_wgt[468]
1.5	-0.25	7.627574	0.702	1.789184	0.1081	LHEweight_wgt[469]
1.5	0.0	5.911882	0.5577	1.324946	0.08056	LHEweight_wgt[470]
1.5	0.25	4.479390	0.4365	0.959295	0.05893	LHEweight_wgt[471]
1.5	0.5	3.331988	0.3343	0.692727	0.04277	LHEweight_wgt[472]
1.5	0.75	2.469046	0.2558	0.525078	0.03263	LHEweight_wgt[473]
1.5	1.0	1.890565	0.2003	0.456347	0.02768	LHEweight_wgt[474]
1.5	1.25	1.596544	0.1689	0.486534	0.02864	LHEweight_wgt[475]
1.5	1.5	1.586983	0.1594	0.615638	0.03509	LHEweight_wgt[476]
1.5	2.0	2.421241	0.2105	1.170602	0.06515	LHEweight_wgt[477]
1.5	3.0	7.503280	0.5889	3.467546	0.1930	LHEweight_wgt[478]
0.5	-3.0	27.432685	2.260	8.929074	0.5136	LHEweight_wgt[479]
0.5	-2.0	13.956013	1.160	4.419093	0.2547	LHEweight_wgt[480]
0.5	-1.5	8.924438	0.7478	2.757611	0.1591	LHEweight_wgt[481]
0.5	-1.25	6.835341	0.5726	2.075247	0.1204	LHEweight_wgt[482]
0.5	-1.0	5.030704	0.4273	1.491801	0.08696	LHEweight_wgt[483]
0.5	-0.75	3.510528	0.2999	1.007273	0.05885	LHEweight_wgt[484]
0.5	-0.5	2.274811	0.1982	0.621663	0.03658	LHEweight_wgt[485]
0.5	-0.25	1.323555	0.1189	0.334972	0.01996	LHEweight_wgt[486]
0.5	0.0	0.656969	0.06223	0.147253	0.008986	LHEweight_wgt[487]
0.5	0.25	0.274423	0.02830	0.058342	0.003608	LHEweight_wgt[488]
0.5	0.5	0.176548	0.01778	0.068404	0.003902	LHEweight_wgt[489]
0.5	0.75	0.363132	0.03008	0.177385	0.009854	LHEweight_wgt[490]
0.5	1.0	0.834177	0.06550	0.385283	0.02145	LHEweight_wgt[491]
0.5	1.25	1.589682	0.1241	0.692099	0.03848	LHEweight_wgt[492]
0.5	1.5	2.629647	0.2047	1.097834	0.06136	LHEweight_wgt[493]
0.5	2.0	5.562958	0.4358	2.206057	0.1246	LHEweight_wgt[494]
0.5	3.0	14.843102	1.177	5.609519	0.3172	LHEweight_wgt[495]

Table 6.5: κ_V and κ_t combinations generated for the two signal samples and their NLO cross sections. The *tHq* cross section is multiplied by the branching fraction of the enforced leptonic decay of the top quark (0.324). See also Ref. [132].

Sample	σ [pb]
TTWJetsToLNu_TuneCUETP8M1_13TeV-amcatnloFXFX-madspin-pythia8	0.2043
TTZToLLNuNu_M-10_TuneCUETP8M1_13TeV-amcatnlo-pythia8	0.2529
tthJetToNonbb_M125_13TeV_amcatnloFXFX_madspin_pythia8_mWCutfix /store/cmst3/group/susy/gpetrucc/13TeV/u/TTLL_m1to10_L0_NoMS_for76X/	0.2151 0.0283
WGToLNuG_TuneCUETP8M1_13TeV-madgraphMLM-pythia8	585.8
ZGTo2LG_TuneCUETP8M1_13TeV-amcatnloFXFX-pythia8	131.3
TGJets_TuneCUETP8M1_13TeV_amcatnlo_madspin_pythia8	2.967
TGJets_TuneCUETP8M1_13TeV_amcatnlo_madspin_pythia8	2.967
TTGJets_TuneCUETP8M1_13TeV-amcatnloFXFX-madspin-pythia8	3.697
WpWpJJ_EWK_QCD_TuneCUETP8M1_13TeV-madgraph-pythia8	0.03711
ZZZ_TuneCUETP8M1_13TeV-amcatnlo-pythia8	0.01398
WWZ_TuneCUETP8M1_13TeV-amcatnlo-pythia8	0.1651
WZZ_TuneCUETP8M1_13TeV-amcatnlo-pythia8	0.05565
WW_DoubleScattering_13TeV-pythia8	1.64
tZq_ll_4f_13TeV-amcatnlo-pythia8_TuneCUETP8M1	0.0758
ST_tWll_5f_L0_13TeV-MadGraph-pythia8	0.01123
TTTT_TuneCUETP8M1_13TeV-amcatnlo-pythia8	0.009103
WZTo3LNu_TuneCUETP8M1_13TeV-powheg-pythia8	4.4296
ZZTo4L_13TeV_powheg_pythia8	1.256
TTJets_SingleLeptFromTbar_TuneCUETP8M1_13TeV-madgraphMLM-pythia8	182.1754
TTJets_SingleLeptFromT_TuneCUETP8M1_13TeV-madgraphMLM-pythia8	182.1754
TTJets_DiLept_TuneCUETP8M1_13TeV-madgraphMLM-pythia8	87.3
DYJetsToLL_M-10to50_TuneCUETP8M1_13TeV-amcatnloFXFX-pythia8	18610
DYJetsToLL_M-50_TuneCUETP8M1_13TeV-madgraphMLM-pythia8	6024
WJetsToLNu_TuneCUETP8M1_13TeV-amcatnloFXFX-pythia8	61526.7
ST_tW_top_5f_inclusiveDecays_13TeV-powheg-pythia8_TuneCUETP8M1	35.6
ST_tW_antitop_5f_inclusiveDecays_13TeV-powheg-pythia8_TuneCUETP8M1	35.6
ST_t-channel_4f_leptonDecays_13TeV-amcatnlo-pythia8_TuneCUETP8M1	70.3144
ST_t-channel_antitop_4f_leptonDecays_13TeV-powheg-pythia8_TuneCUETP8M1	26.2278
ST_s-channel_4f_leptonDecays_13TeV-amcatnlo-pythia8_TuneCUETP8M1	3.68064
WWTo2L2Nu_13TeV-powheg	10.481

Table 6.6: List of background samples used in this analysis (CMSSW 80X). In the first section of the table are listed the samples of the processes for which we use the simulation to extract the final yields and shapes, in the second section the samples of the processes we will estimate from data. The MC simulation is used to design the data driven methods and derive the associated systematics.

Sample	σ [pb]
ttWJets_13TeV_madgraphMLM	0.6105
ttZJets_13TeV_madgraphMLM	0.5297/0.692

Table 6.7: Leading-order $t\bar{t}W$ and $t\bar{t}Z$ samples used in the signal BDT training.

2409 using POWHEG interfaced to PYTHIA, or bare PYTHIA (see table 6.6 and [122]
2410 for more details).

Three lepton and Four lepton
HLT_DiMu9_Ele9_CaloIdL_TrackIdL_v*
HLT_Mu8_DiEle12_CaloIdL_TrackIdL_v*
HLT_TripleMu_12_10_5_v*
HLT_Ele16_Ele12_Ele8_CaloIdL_TrackIdL_v*
HLT_Mu23_TrkIsoVVL_Ele8_CaloIdL_TrackIdL_IsoVL_v*
HLT_Mu23_TrkIsoVVL_Ele8_CaloIdL_TrackIdL_IsoVL_DZ_v*
HLT_Mu8_TrkIsoVVL_Ele23_CaloIdL_TrackIdL_IsoVL_v*
HLT_Mu8_TrkIsoVVL_Ele23_CaloIdL_TrackIdL_IsoVL_DZ_v*
HLT_Ele23_Ele12_CaloIdL_TrackIdL_IsoVL_DZ_v*
HLT_Mu17_TrkIsoVVL_Mu8_TrkIsoVVL_DZ_v*
HLT_Mu17_TrkIsoVVL_TkMu8_TrkIsoVVL_DZ_v*
HLT_IsoMu22_v*
HLT_IsoTkMu22_v*
HLT_IsoMu22_eta2p1_v*
HLT_IsoTkMu22_eta2p1_v*
HLT_IsoMu24_v*
HLT_IsoTkMu24_v*
HLT_Ele27_WPTight_Gsf_v*
HLT_Ele25_eta2p1_WPTight_Gsf_v*
HLT_Ele27_eta2p1_WPLoose_Gsf_v*

Table 6.8: Table of high-level triggers that we consider in the analysis.

2411 6.5.2 Triggers

2412 We consider online-reconstructed events triggered by one, two, or three leptons.
 2413 Single-lepton triggers are included to boost the acceptance of events where the p_T of
 2414 the sub-leading lepton falls below the threshold of the double-lepton triggers. Ad-
 2415 ditionally, by including double-lepton triggers in the ≥ 3 lepton category, as well
 2416 as single-lepton triggers in all categories, we increase the efficiency, considering the
 2417 logical “or” of the trigger decisions of all the individual triggers in a given category.
 2418 Tab. 6.8 shows the lowest-threshold non-prescaled triggers present in the High-Level
 2419 Trigger (HLT) menus for both Monte-Carlo and data in 2016.

2420 Trigger efficiency scale factors

2421 The efficiency of events to pass the trigger is measured in simulation (trivially using
 2422 generator information) and in the data (using event collected by an uncorrelated

Category	Scale Factor
ee	1.01 ± 0.02
e μ	1.01 ± 0.01
$\mu\mu$	1.00 ± 0.01
3l	1.00 ± 0.03

Table 6.9: Trigger efficiency scale factors and associated uncertainties, shown here rounded to the nearest percent.

2423 MET trigger). Small differences between the data and MC efficiencies are corrected
 2424 by applying scale factors as shown in Tab. 6.9. The exact procedure and control plots
 2425 are documented in [127] for the current analysis.

2426 6.6 Background predictions

2427 The modeling of reducible and irreducible backgrounds in this analysis uses the exact
 2428 methods, analysis code, and ROOT trees used for the $t\bar{t}H$ multilepton analysis. We
 2429 give a brief description of the methods and refer to the documentation of that analysis
 2430 in Refs. [122, 127] for any details.

2431 The backgrounds in three-lepton final states can be split in two broad categories:
 2432 irreducible backgrounds with genuine prompt leptons (i.e. from on-shell W and Z
 2433 boson decays); and reducible backgrounds where at least one of the leptons is “non-
 2434 prompt”, i.e. produced within a hadronic jet, either a genuine lepton from heavy
 2435 flavor decays, or simply mis-reconstructed jets.

2436 Irreducible backgrounds can be reliably estimated directly from Monte-Carlo sim-
 2437 ulated events, using higher-order cross sections or data control regions for the overall
 2438 normalization. This is done in this analysis for all backgrounds involving prompt lep-
 2439 tons: $t\bar{t}W$, $t\bar{t}Z$, $t\bar{t}H$, WZ , ZZ , $W^\pm W^\pm qq$, $t\bar{t}t\bar{t}$, tZq , tZW , WWW , WWZ , WZZ ,
 2440 ZZZ .

2441 Reducible backgrounds, on the other hand, are not well predicted by simulation,

and are estimated using data-driven methods. In the case of non-prompt leptons, a fake rate method is used,

Additional identification criteria are applied for electrons with p_T greater than 30 GeV to mimic the identification applied at trigger level in order to ensure consistency between the measurement region and application region of the fake-rate.

where the contribution to the final selection is estimated by extrapolating from a sideband (or “application region”) with a looser lepton definition (the fakeable object definitions in Tabs. 6.2 and 6.3) to the signal selection. The tight-to-loose ratios (or “fake rates”) are measured in several background dominated data events with dedicated triggers, subtracting the residual prompt lepton contribution using MC. Non-prompt leptons in our signal regions are predominantly produced in $t\bar{t}$ events, with a much smaller contribution, from Drell–Yan production. The systematic uncertainty on the normalization of the non-prompt background estimation is on the order of 50%, and thereby one of the dominant limitations on the performance of multilepton analyses in general and this analysis in particular. It consists of several individual sources, such as the result of closure tests of the method using simulated events, limited statistics in the data control regions due to necessary prescaling of lepton triggers, and the uncertainty in the subtraction of residual prompt leptons from the control region.

The fake background where the leptons pass the looser selection are weighted according to how many of them fail the tight criteria. Events with a single failing lepton are weighted with the factor $f/(1 - f)$ for the estimate to the tight selection region, where f is the fake rate. Events with two failing leptons are given the negative weight $-f_i f_j / (1 - f_i)(1 - f_j)$, and for three leptons the weight is positive and equal to the product of $f/(1 - f)$ factor evaluated for each failing lepton.

Figures 6.3 show the distributions of some relevant kinematic variables, normalized

to the cross section of the respective processes and to the integrated luminosity.

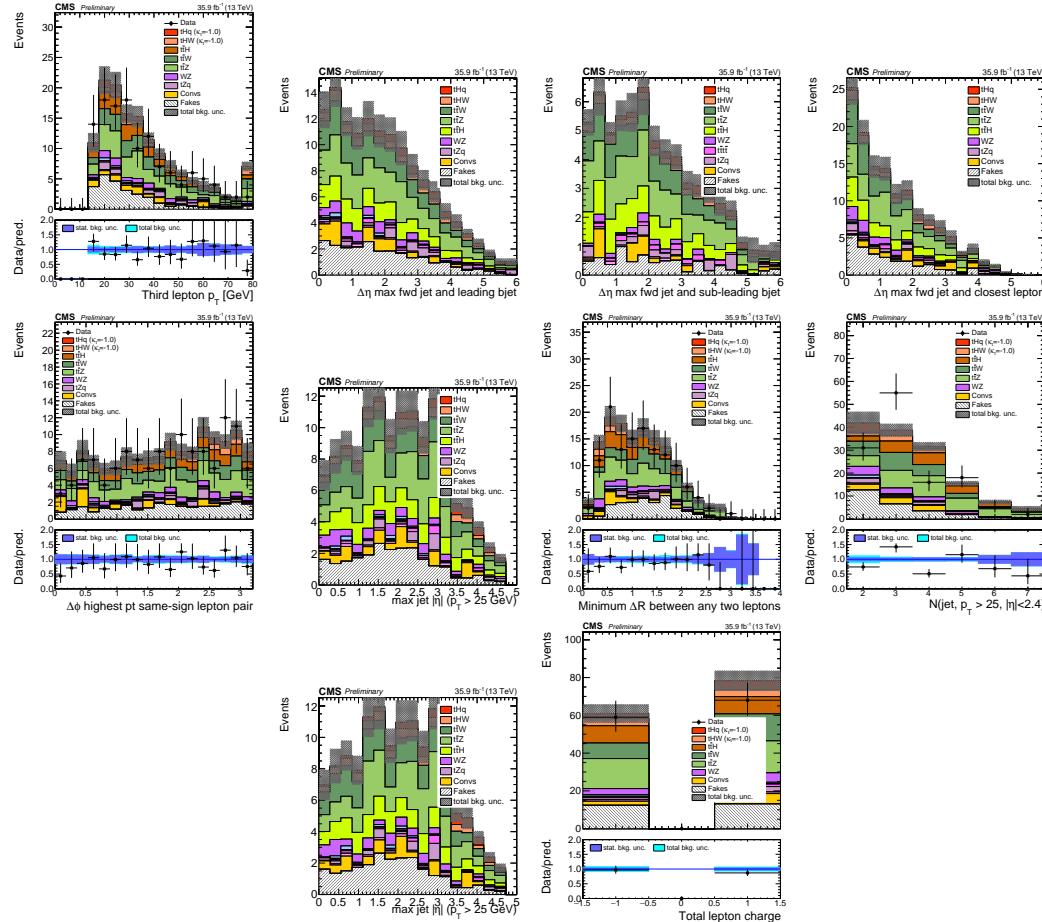


Figure 6.3: Distributions of input variables to the BDT for signal discrimination, three lepton channel, normalized to their cross section and to 35.9 fb^{-1} .

2468

2469 6.7 Signal discrimination

2470 The tHq signal is separated from the main backgrounds using a boosted decision
 2471 tree (BDT) classifier, trained on simulated signal and background events. A set
 2472 of discriminating variables are given as input to the BDT which produces a output
 2473 distribution maximizing the discrimination power. Table 6.10 lists the input variables
 2474 used while Figures 6.4 show their distributions for the relevant signal and background

samples, for the three lepton channel. Two BDT classifiers are trained for the two main backgrounds expected in the analysis: events with prompt leptons from $t\bar{t}W$ and $t\bar{t}Z$ (also referred to as $t\bar{t}V$), and events with non-prompt leptons from $t\bar{t}$. The datasets used in the training are the tHq signal (see Tab. 6.4), and LO MADGRAPH samples of $t\bar{t}W$ and $t\bar{t}Z$, in an admixture proportional to their respective cross sections (see Tab. 6.7).

Variable name	Description
nJet25	Number of jets with $p_T > 25$ GeV, $ \eta < 2.4$
MaxEtaJet25	Maximum $ \eta $ of any (non-CSV-loose) jet with $p_T > 25$ GeV
totCharge	Sum of lepton charges
nJetEta1	Number of jets with $ \eta > 1.0$, non-CSV-loose
detaFwdJetBJet	$\Delta\eta$ between forward light jet and hardest CSV loose jet
detaFwdJet2BJet	$\Delta\eta$ between forward light jet and second hardest CSV loose jet (defaults to -1 in events with only one CSV loose jet)
detaFwdJetClosestLep	$\Delta\eta$ between forward light jet and closest lepton
dphiHighestPtSSPair	$\Delta\phi$ of highest p_T same-sign lepton pair
minDRll	minimum ΔR between any two leptons
Lep3Pt/Lep2Pt	p_T of the 3 rd lepton (2 nd for ss2l)

Table 6.10: MVA input discriminating variables

The MVA analysis consist of two stages: first a “training” where the MVA method is trained to discriminate between simulated signal and background events, then a “test” stage where the trained algorithm is used to classify different events from the samples. The sample is obtained from a pre-selection (see Tab. ?? with pre-selection cuts). Figures 6.5 show the input variables distributions as seen by the MVA algorithm. Note that in contrast to the distributions in Fig. 6.4 only the main backgrounds ($t\bar{t}$ from simulation, $t\bar{t}V$) are included.

Note that splitting the training in two groups reveals that some variables show opposite behavior for the two background sources; potentially screening the discrimi-

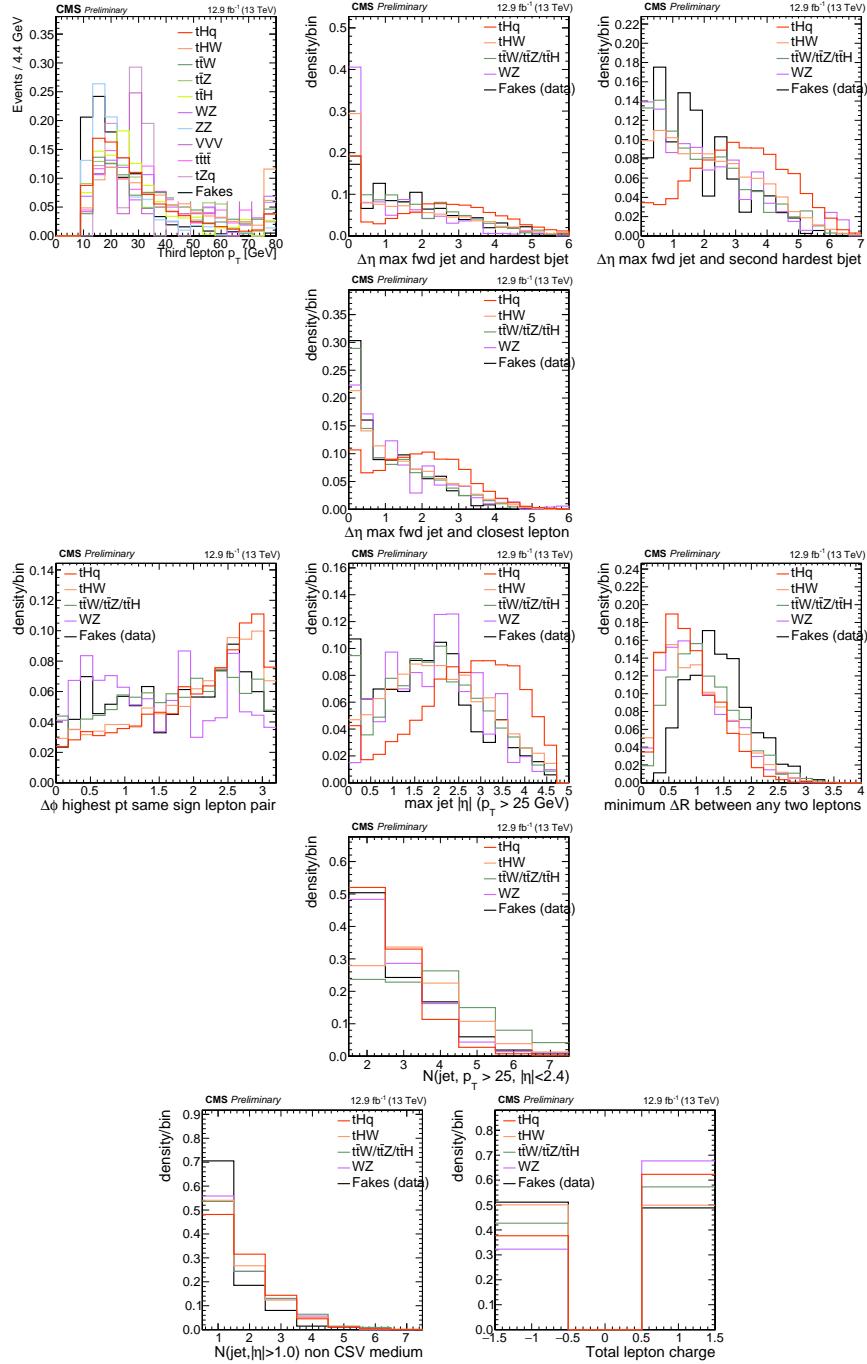


Figure 6.4: Distributions of input variables to the BDT for signal discrimination, three lepton channel.

2490 nation power if they were to be used in a single discriminant. For some other variables
 2491 the distributions are similar in both background cases.

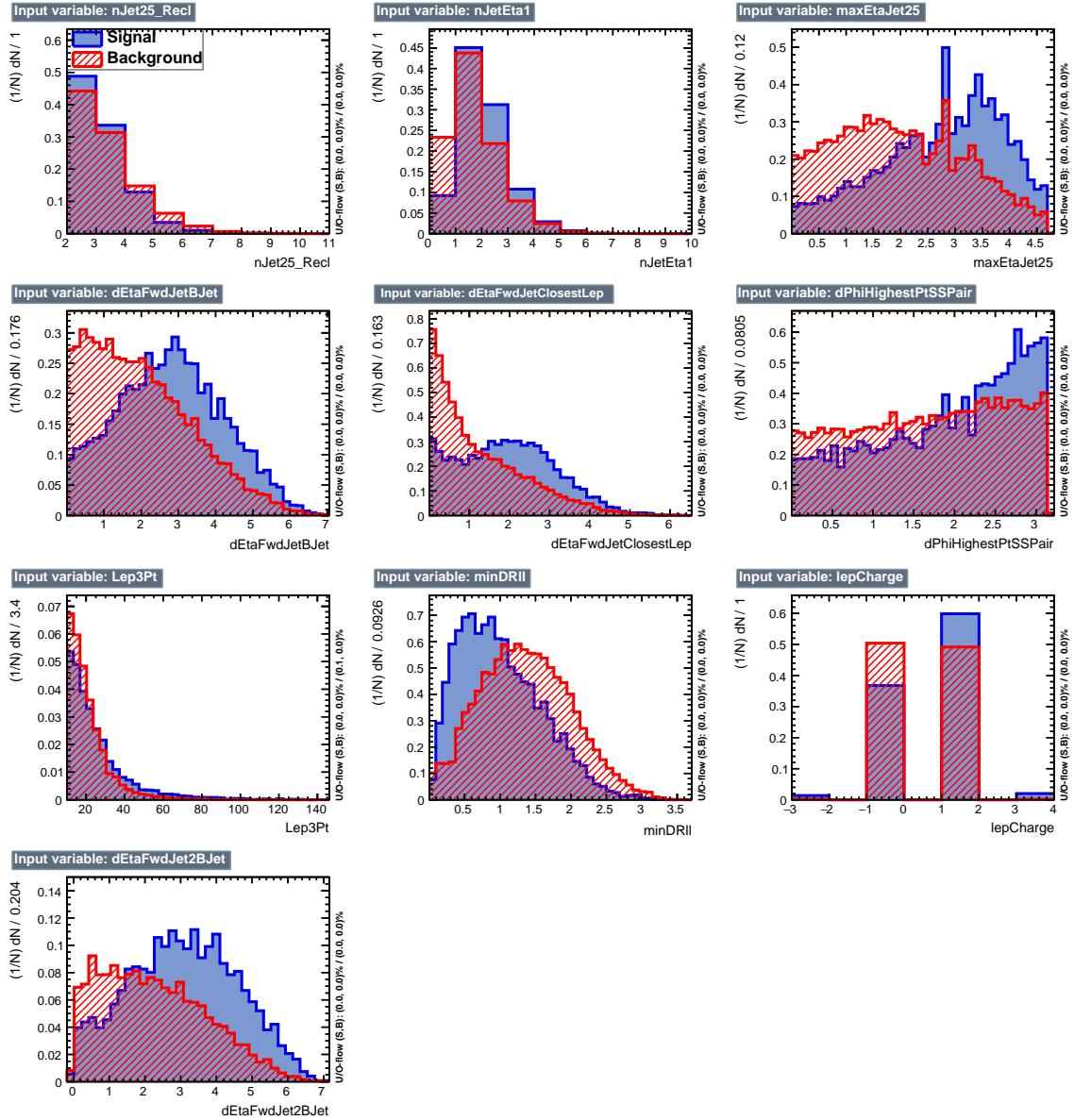


Figure 6.5: BDT inputs as seen by TMVA (signal, in blue, is tHq , background, in red, is $t\bar{t}$) for the three lepton channel, discriminated against $t\bar{t}$ (fakes) background.

From table 6.10, it is clear that the input variables are correlated to some extend. These correlations play an important role for some MVA methods like the Fisher discriminant method in which the first step consist of performing a linear transformation to an phase space where the correlations between variables are removed. In case a boosted decision tree (BDT) method however, correlations do not affect the

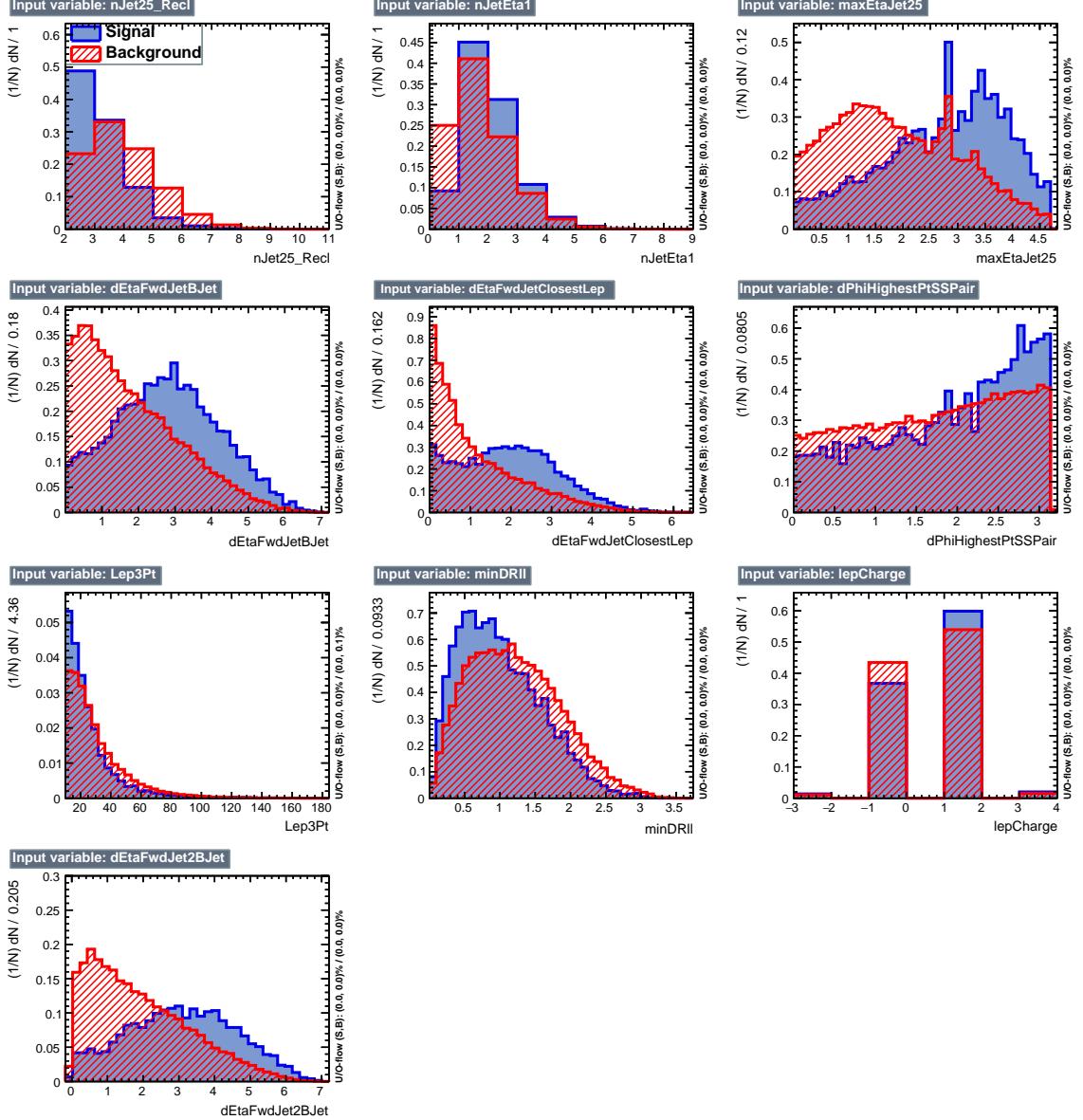


Figure 6.6: BDT inputs as seen by TMVA (signal, in blue, is tHq , background, in red, is $t\bar{t}W+t\bar{t}Z$) for the three lepton channel, discriminated against $t\bar{t}V$ background.

2497 performance. Figure 6.7 show the linear correlation coefficients for signal and back-
 2498 ground for the two training cases (the signal values are identical by construction). As
 2499 expected, strong correlations appears for variables related to the forward jet activity.
 2500 Same trend is seen in case of the same sign dilepton channel in Figure ??.

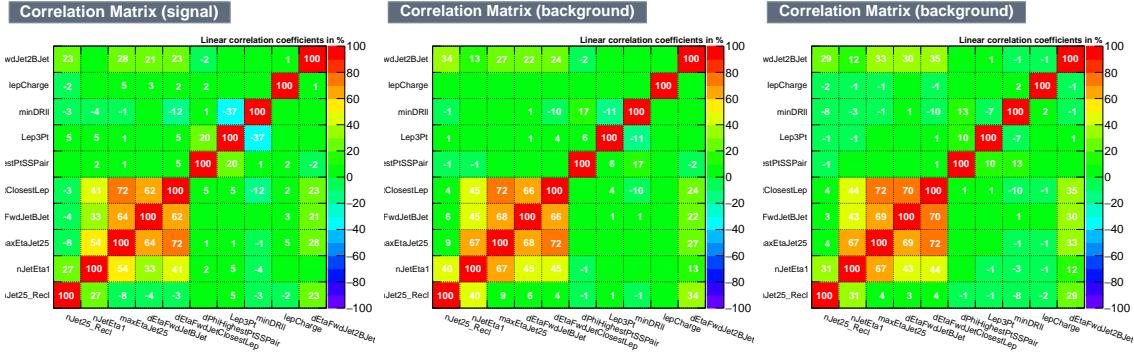


Figure 6.7: Signal (left), $t\bar{t}$ background (middle), and $t\bar{t}V$ background (right.) correlation matrices for the input variables in the TMVA analysis for the three lepton channel.

2501 6.7.1 Classifiers response

2502 Several MVA algorithms were evaluated to determine the most appropriate method
 2503 for this analysis. The plots in Fig. 6.8 (top) show the background rejection as a
 2504 function of the signal efficiency for $t\bar{t}$ and $t\bar{t}V$ trainings (ROC curves) for the different
 2505 algorithms that were evaluated.

2506 In both cases the gradient boosted decision tree (“BDTA_GRAD”) classifier offers
 2507 the best results, followed by an adaptive BDT classifier (“BDTA”). The BDTA_GRAD
 2508 classifier output distributions for signal and backgrounds are shown on the bottom of
 2509 Fig. 6.8. As expected, a good discrimination power is obtained using default discrim-
 2510 inator parameter values, with minimal overtraining. TMVA provides a ranking of the
 2511 input variables by their importance in the classification process, shown in Tab. 6.11.
 2512 The TMVA settings used in the BDT training are shown in Tab. 6.12.

2513 6.8 Additional discriminating variables

2514 Two additional discriminating variables were tested considering the fact that the
 2515 forward jet in the background could come from the pileup; since we have a real
 2516 forward jet in the signal, it could give some improvement in the discriminating power.

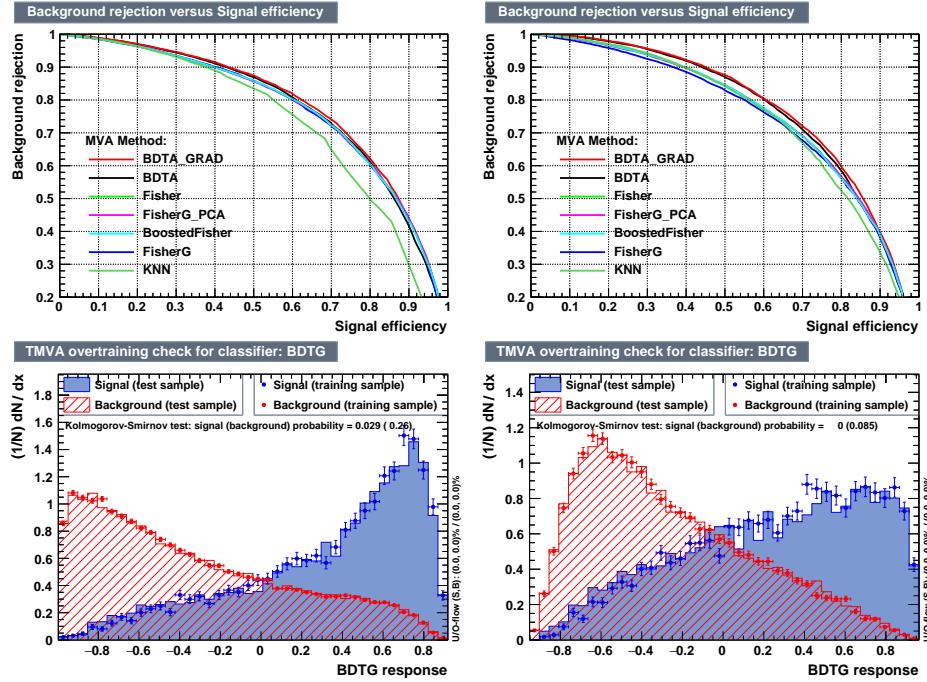


Figure 6.8: Top: background rejection vs signal efficiency (ROC curves) for various MVA classifiers (top) in the three lepton channel against $t\bar{t}V$ (left) and $t\bar{t}$ (right). Bottom: classifier output distributions for the gradient boosted decision trees, for training against $t\bar{t}V$ (left) and against $t\bar{t}$ (right).

ttbar training			ttV training		
Rank	Variable	Importance	Variable	Importance	
1	minDRll	1.329e-01	dEtaFwdJetBJet	1.264e-01	
2	dEtaFwdJetClosestLep	1.294e-01	Lep3Pt	1.224e-01	
3	dEtaFwdJetBJet	1.209e-01	maxEtaJet25	1.221e-01	
4	dPhiHighestPtSSPair	1.192e-01	dEtaFwdJet2BJet	1.204e-01	
5	Lep3Pt	1.158e-01	dEtaFwdJetClosestLep	1.177e-01	
6	maxEtaJet25	1.121e-01	minDRll	1.143e-01	
7	dEtaFwdJet2BJet	9.363e-02	dPhiHighestPtSSPair	9.777e-02	
8	nJetEta1	6.730e-02	nJet25_Recl	9.034e-02	
9	nJet25_Recl	6.178e-02	nJetEta1	4.749e-02	
10	lepCharge	4.701e-02	lepCharge	4.116e-02	

Table 6.11: TMVA input variables ranking for BDTA_GRAD method for the trainings in the three lepton channel. For both trainings the rankings show almost the same 5 variables in the first places.

2517 The additional variables describe the forward jet momentum (fwdJetPt25) and the
 2518 forward jet identification(fwdJetPUID). Distributions for these variables in the three
 2519 lepton channel are shown in the figure 6.9. The forward jet identification distribution

```

TMVA.Types.kBDT
NTrees=800
BoostType=Grad
Shrinkage=0.10
!UseBaggedGrad
nCuts=50
MaxDepth=3
NegWeightTreatment=PairNegWeightsGlobal
CreateMVApdfs

```

Table 6.12: TMVA configuration used in the BDT training.

2520 show that for both, signal and background, jets are mostly real jets.

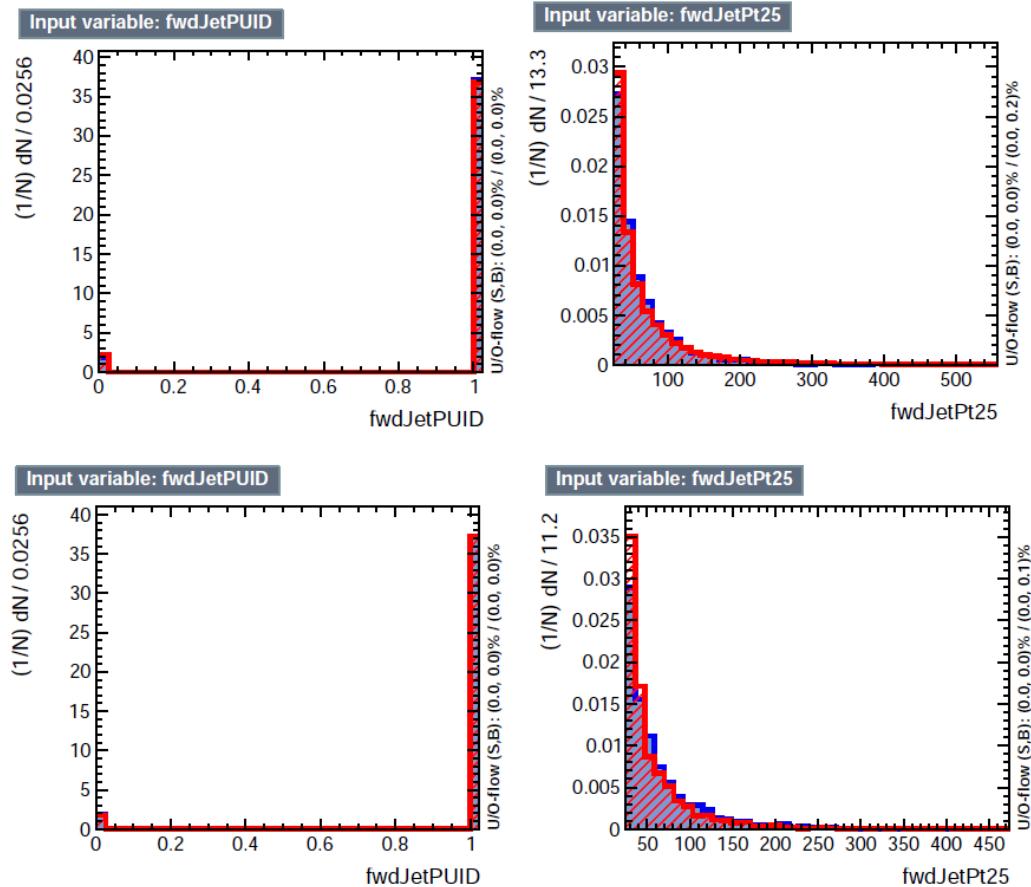


Figure 6.9: Additional discriminating variables distributions for `ttv` training (Top row) and `tt` training (bottom row) in the three lepton channel. The origin of the jets in the forward jet identification distribution is tagged as 0 for “pileup jets” while “real jets” are tagged as 1.

	ROC-integral
base 10 var ttv	0.848
+ fwdJetPUID ttv	0.849
+ fwdJetPt25 ttv	0.856
12 var ttv	0.856
base 10 var tt	0.777
+ fwdJetPUID tt	0.777
+ fwdJetPt25 tt	0.787
12 var	0.787

Table 6.13: ROC-integral for all the testing cases we made in the evaluation of the additional variables discriminating power. The improvement in the discrimination performance provided by the additional variables is about 1%

2521 The testing was made including in the MVA input one variable at a time, so we
 2522 can evaluate the dicrimination power of each variable, and then both simultaneously.
 2523 fwdJetPUID was ranked in the last place in importance (11) in both training (ttV
 2524 and tt) while fwdJetPt25 was ranked 3 in the ttV training and 7 in the tt training.
 2525 When training using 12 variables, fwdJetPt25 was ranked 5 and 7 in the ttV and tt
 2526 trainings respectively, while fwdJetPUID was ranked 12 in both cases.

2527 The improvement in the discrimination performance provided by the additional
 2528 variables is about 1%, so it was decided not to include them in the procedure. Table
 2529 6.13 show the ROC-integral for all the testing cases we made.

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