

1 SEARCH FOR  $t\bar{t}Z' \rightarrow t\bar{t}t\bar{t}$  PRODUCTION IN THE MULTILEPTON FINAL STATE IN  
2  $pp$  COLLISIONS AT  $\sqrt{s} = 13$  TEV WITH THE ATLAS DETECTOR

3 By

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**ABSTRACT**

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**PREFACE**

30 This is my preface. remarks remarks remarks

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# KEY TO ABBREVIATIONS

## Physical & Mathematical Quantities

165  $\chi^2$  chi-squared

166  $d_0$  transverse impact parameter

167  $\Delta R$  angular distance

168  $\sqrt{s}$  center-of-mass energy

169  $\eta$  pseudorapidity

170  $E_T$  transverse energy

171  $E_T^{\text{miss}}$  missing transverse energy

172  $\Gamma$  decay width

173  $\gamma_5$  chirality projection operator

174  $\gamma_\mu$  Dirac matrices

175  $H_0$  null hypothesis

176  $H_T$  scalar sum of transverse momenta  $p_T$  of all objects in an event

177  $\mathcal{L}$  Lagrangian

178  $\mathcal{L}(\theta)$  likelihood function

179  $L$  instantaneous luminosity

180  $m_{\ell\ell}$  dilepton invariant mass

181  $\mu$  signal strength

182  $\mu_F$  factorization scale

183  $\mu_R$  renormalization scale

184  $N_{\text{jets}}$  number of jets/jet multiplicity

185  $\mathcal{O}(n)$  on the order of  $n$

186  $\mathcal{P}$  Poisson probability

187  $p_T$  transverse momentum

188  $Q$  electric charge  
189  $q_\mu$  profile likelihood ratio  
190  $\sigma$  standard deviation  
191  $\sigma[\text{b}]$  cross-section  
192  $z_0$  longitudinal impact parameter

## 193 Particles & Processes

194  $\gamma^*$  virtual photon  
195  $gg$  gluon-gluon fusion  
196  $pp$  proton-proton  
197 PbPb lead-lead  
198  $q$  quark  
199  $q\bar{q}$  quark-antiquark pair  
200  $t\bar{t}$  top/anti-top quark pair  
201  $t\bar{t}$  top pair in association with another particle  
202  $t\bar{t}t\bar{t}$  four-top-quark  
203  $V$  massive vector bosons ( $W^\pm, Z$ )  
204  $H$  Higgs in association with a vector boson

## 205 Acronyms

206 **1LOS** one lepton, or two leptons of opposite charges  
207 **AF3** AtlFast3 fast simulation  
208 **ALICE** A Large Ion Collider Experiment  
209 **ATLAS** A Toroidal LHC ApparatuS  
210 **AWAKE** Advanced WAKEfield Experiment  
211 **BDT** boosted decision tree  
212 **BR** branching ratio  
213 **BSM** Beyond the Standard Model

214 **CB** combined muon  
 215 **CERN** European Organization for Nuclear Research  
 216 **CKM** Cabibbo-Kobayashi-Maskawa matrix  
 217 **CL** confidence level  
 218 **CMS** Compact Muon Solenoid  
 219 **CP** charge-parity symmetry  
 220 **CR** control region  
 221 **CSC** Cathode Strip Chambers  
 222 **CTP** Central Trigger Processor  
 223 **ECIDS** Electron Charge ID Selector  
 224 **EM** electromagnetic  
 225 **EW** electroweak  
 226 **FASER** ForwArd Search ExpeRiment  
 227 **FCal** forward calorimeter  
 228 **FS** full detector simulation  
 229 **GNN** graph neural network  
 230 **GRL** Good Run List  
 231 **GSC** Global Sequential Calibration  
 232 **GSF** Gaussian-sum filter  
 233 **GUT** Grand Unified Theory  
 234 **HEC** hadronic endcap calorimeter  
 235 **HF** heavy-flavor  
 236 **HL-LHC** High-Luminosity Large Hadron Collider  
 237 **HLT** High-Level Trigger  
 238 **ID** Inner Detector  
 239 **IP** interaction point  
 240 **JER** jet energy resolution

241 **JES** jet energy scale  
 242 **JVT** Jet Vertex Tagger  
 243 **KATRIN** Karlsruhe Tritium Neutrino Experiment  
 244 **L1** Level 1  
 245 **LAr** liquid argon  
 246 **LF** light-flavor  
 247 **LH** likelihood  
 248 **LHC** Large Hadron Collider  
 249 **LHCb** Large Hadron Collider beauty  
 250 **LINAC** linear accelerator  
 251 **LLH** log-likelihood  
 252 **LO** leading order  
 253 **MC** Monte Carlo simulation  
 254 **ME** matrix element  
 255 **ML** multilepton  
 256 **MS** Muon Spectrometer  
 257 **MDT** Monitored Drift Tubes  
 258 **MET** missing transverse energy  
 259 **NF** normalization factor  
 260 **NNJvt** Neural Network-based Jet Vertex Tagger  
 261 **NLO** next-to-leading order  
 262 **NNLO** next-to-next-to-leading order  
 263 **NP** nuisance parameter  
 264 **OP** operating point (also working point)  
 265 **OS** opposite-sign  
 266 **PCBT** pseudo-continuous  $b$ -tagging  
 267 **PDF** parton distribution function

268 **POI** parameter of interest  
 269 **PS** parton shower  
 270 **PV** primary vertex  
 271 **QCD** quantum chromodynamics  
 272 **QED** quantum electrodynamics  
 273 **QFT** quantum field theory  
 274 **QmisID** charge mis-identification  
 275 **RPC** Resistive Plate Chamber  
 276 **SCT** Semiconductor Tracker  
 277 **SF** scale factor  
 278 **SM** Standard Model  
 279 **SR** signal region  
 280 **SS** same-sign  
 281 **SSB** spontaneous symmetry breaking  
 282 **SS2L** same-sign dilepton  
 283 **SSML** same-sign dilepton, or more than two leptons of any charges  
 284 **TDAQ** Trigger and Data Acquisition  
 285 **TGC** Thin-Gap Chamber  
 286 **TRT** Transition Radiation Tracker  
 287 **VEV** vacuum expectation value  
 288 **VR** validation region  
 289 **UE** underlying-event

# Chapter 1. Introduction

The 20<sup>th</sup> century ushered in a revolutionary period for mankind's understanding of the fundamental nature of matter and the forces that govern our universe with the development of special relativity and quantum mechanics, which redefined our understanding of space, time, energy and matter at the furthest extremes of scale from the vast reaches of the cosmos to the tiniest constituents of matter. Building on these principles, Quantum Electrodynamics (QED) (citation) was developed as the first successful quantum field theory (QFT) describing electromagnetism. The discovery of beta decay (citation) and its paradoxical behaviors within the framework of QED prompted the prediction of neutrinos and development of the theory of weak interaction.

At around the same time, a spectrum of strongly interacting particles was discovered (citation) as particle accelerators probed deeper into atomic nuclei, leading to the formation of the quark model in the 1960s (citation) and with it a hypothesized new binding force, the strong force. However, the QFT framework remained incapable of describing the weak and strong interactions until advancements in gauge theory and the incorporation of non-Abelian gauge theory into QFT resulted in the formation of Yang-Mills theory (citation). This sparked a renaissance in modern physics with the unification of electromagnetism and weak force in 1967 (citation) under the framework of electroweak (EW) theory, as well as the development of Quantum Chromodynamics (QCD) (citation) to describe the strong force binding quarks.

At this point, the prediction of massless bosons within EW formalism remained a contradiction to the predicted massive  $W^{\pm}$  and  $Z$  bosons that mediate the weak force. This was resolved by the introduction of EW spontaneous symmetry breaking and the Higgs mecha-

nism in 1964 (citation), which explained the generation of masses for both the EW bosons and fermions. Together, these developments culminated in the Standard Model of particle physics SM (citation), a comprehensive theory that described the electromagnetic, weak, and strong interactions, classified all known fundamental particles and predicted mathematically consistent but not yet observed particles. Following its inception, particles predicted by the Standard Model were gradually observed experimentally, starting with the gluon in 1979 (citation), then the  $W$  and  $Z$  bosons (citation), and finally the top quark in 1995 (citation). The final missing piece was confirmed as the Higgs boson was observed in 2012 (citation) independently by the ATLAS and CMS detectors at the Large Hadron Collider, completing the Standard Model after a 40-year search and cementing it as the most successful framework so far describing fundamental constituents of matter and their governing forces.

Despite its successes, the Standard Model remains incomplete. Key unanswered questions include the nature of dark matter (citation), which makes up about 27% of the universes energy content but has no explanation within the Standard Model; the origin of neutrino masses and their oscillations (citation); the observed matter-antimatter asymmetry in the universe (citation); possible unification of the EW and strong interaction into a Grand Unified Theory (GUT) (citation); and the hierarchy problem (citation) describing the large discrepancy in scales between forces and the apparent lightness of the Higgs boson compared to values predicted from quantum corrections.

After the discovery of the Higgs boson, efforts have been underway to construct new hypotheses and models in search of beyond the Standard Model (BSM) physics via different avenues, one of which being direct searches at colliders for new resonances or particles not predicted by the SM. In particular, the top quark possesses large mass and strong coupling to the Higgs boson (citation) which gives it a special role in many proposed BSM models



as a possible connection with strong coupling to new particles and heavy resonances. In addition, top quark has a clean decay signature with well-understood final states and is produced in abundance at the LHC from  $pp$  collisions in the form of top pairs  $t\bar{t}$  (citation). This dissertation presents a search for the production of a heavy resonance that couple preferentially to top quark (top-philic) in association with a top pair ( $t\bar{t}$ ) in the final state with either two leptons of the same electric charge or at least three leptons (SSML). The search is performed using the four-top ( $t\bar{t}t\bar{t}$ ) production channel, assuming the hypothesized top-philic heavy resonance decays predominantly to  $t\bar{t}$ .

A similar search for top-philic heavy resonances was performed using a  $t\bar{t}t\bar{t}$  final state containing either one lepton or two opposite-sign leptons (1LOS) [35] with a much larger branching ratio of 56%, compared to SSML at 12%. Despite the small cross-section within the SM, the  $t\bar{t}t\bar{t}$  SSML final state provides heightened sensitivity to BSM physics and higher signal-to-background ratio than inclusive resonance searches (e.g. in dijet or dilepton final states) due to the distinctive signal signature and suppression of large SM background processes in  $t\bar{t} + X$  production (citation). Additionally, cross-section for  $t\bar{t}t\bar{t}$  production can be enhanced by many proposed BSM models including see-saw mechanism (citation), supersymmetry (SUSY) (citation), Effective Field Theory (EFT) operators (citation), vector-like quarks (citation) and two-Higgs-doublet models (2HDM) (citation). Searching within this channel is particularly motivated by the recent observed excess in measurement of four-top production in the SSML final state at the LHC by the ATLAS detector with a measured cross-section of  $24^{+7}_{-6}$  fb, almost double the SM prediction of  $13.4^{+1.0}_{-1.8}$  fb.

The search attempts to reconstruct the top-philic resonance directly to search for new physics with minimal dependency on the model choice. In addition, a simplified color-singlet vector boson model [38] is employed for model-dependent interpretations, including

setting exclusion limits on the production cross-section and model parameters. Data-driven background estimation methods are implemented for  $t\bar{t}W$  and charge misidentification background to rectify mismodeling related to jet multiplicity in simulated background that were not covered in the previous 1LOS search [35]. These methods were employed similarly to great effects in SM  $t\bar{t}t\bar{t}$  analyses [36, 108].

This dissertation is organized as follows. Chapter 2 presents the formalism of the SM and relevant BSM concepts. Chapter 3 provides an introduction to the LHC and ATLAS detector. Chapter 4 describes the reconstruction and identification of physics object from detector signals. Chapter 5 defines the data and simulated samples used in the analysis. Chapter 6 describes the analysis strategy, including object definition, analysis region description and background estimation methods. Chapter 7 summarizes the uncertainties involved in the analysis. Chapter 8 presents the statistical interpretation and analysis results. Finally, chapter 9 discusses a summary of the analysis and future outlook.

## Chapter 2. Theoretical Overview

### 2.1 The Standard Model

The Standard Model of Physics (SM) [2] is currently the most successful formalism to describe the physical world at a microscopic scale by providing descriptions for all currently known elementary particles, along with three out of four fundamental forces (electromagnetism, weak force, strong force) with the exception of gravity. The SM is however not perfect, and there remains unanswered questions that require development and discovery of new physics beyond the Standard Model (BSM). This chapter describes an overview of important components within the SM and relevant BSM aspects for this analysis.

#### 2.1.1 Elementary particles

Elementary particles in the SM can be classified into two groups: bosons consisting of particles following Bose-Einstein statistics with integer spin, and fermions consisting of particles following Fermi-Dirac statistics with half-integer spin. Fermions are the building blocks of composite particles and consequently all known matter, and can be further classified into quarks & leptons. Bosons act as force mediators for all fundamental forces described by the SM, and can either be a scalar boson with spin 0 or vector gauge bosons with spin 1. For each elementary particle, there also exists a corresponding antiparticle with identical mass and opposite charge (electric or color). Figure 2.1 shows all known elementary particles in the SM.

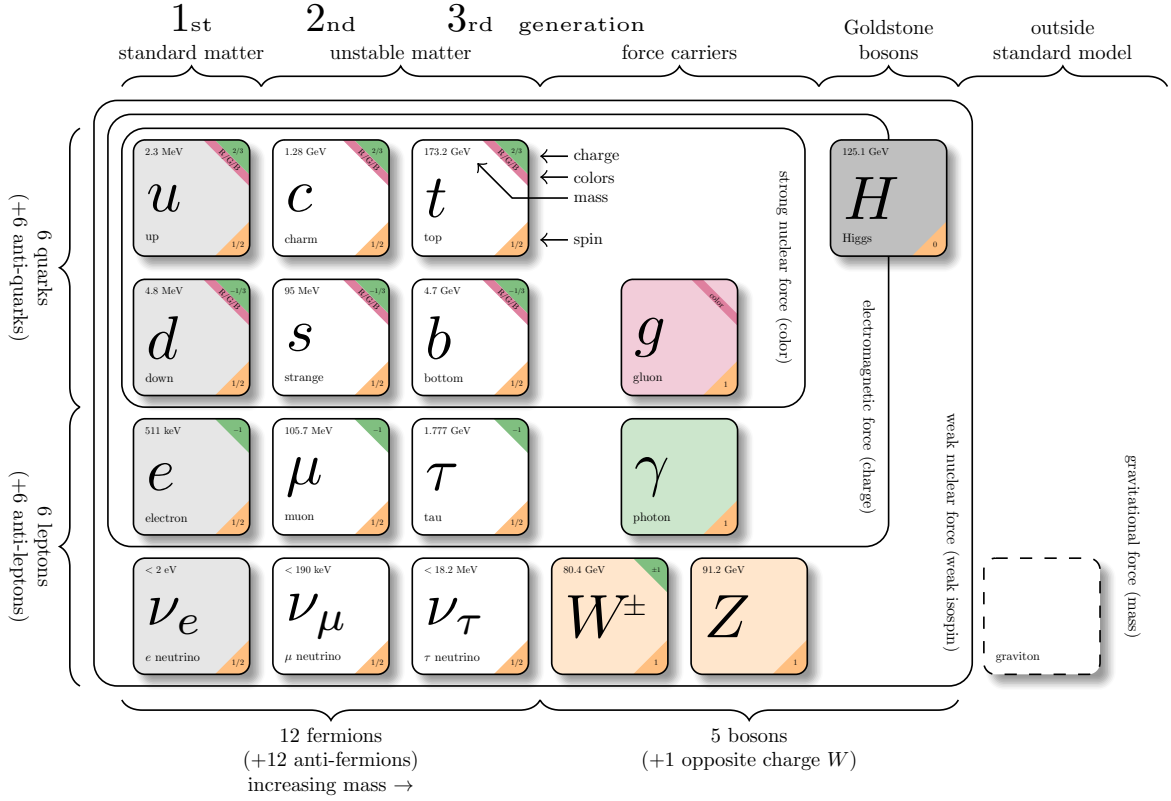


Figure 2.1: Particles within the SM and their properties [3].

## Fermions

Fermions consist of quarks and leptons with six flavors each, grouped into three generations of doublets. The six quark flavors are up ( $u$ ), down ( $d$ ), charm ( $c$ ), strange ( $s$ ), bottom ( $b$ ) and top ( $t$ ), arranged in increasing order of mass. The quark flavors form three doublets ( $u, d$ ), ( $c, s$ ) and ( $t, b$ ), with each doublet containing one quark with electric charge of  $+2/3$  ( $u, s, t$ ), and the other with charge of  $-1/3$  ( $d, c, b$ ). Each quark also possesses a property known as color charge, with possible values of red ( $R$ ), green ( $G$ ), blue ( $B$ ) or their corresponding anticolor ( $\bar{R}$ ,  $\bar{G}$ ,  $\bar{B}$ ). Color charge follows color confinement rules, which allows only configurations of quarks with total neutral color charge to exist in isolation. Neutral

charge configurations can be formed from either a set of three colors ( $R, G, B$ ), a set of a color and its anticolor, or any combination of the two. Consequently, quarks can only exist in bound states called hadrons and no isolated quark can be found in a vacuum. Quarks are the only elementary particles in the SM that can interact with all four fundamental forces.

The three leptons doublets consist of three charged leptons: electron ( $e$ ), muon ( $\mu$ ), tau ( $\tau$ ), and their respective neutrino flavors: electron neutrino ( $\nu_e$ ), muon neutrino ( $\nu_\mu$ ), tau neutrino ( $\nu_\tau$ ). Charged leptons carry an electric charge of  $-1$ , while their antiparticles carry the opposite charge ( $+1$ ) and their corresponding neutrino flavors carry no charge. Charged leptons interact with all fundamental forces except the strong force, while neutrinos only interact with the weak force and gravity.

## Bosons

The SM classifies bosons into two types: one scalar boson with spin 0 known as the Higgs ( $H$ ) boson, and vector gauge bosons with spin 1 known as gluons ( $g$ ), photon ( $\gamma$ ),  $W^\pm$  and  $Z$  bosons. Gluons and photon are massless, while the  $W^\pm$ ,  $Z$  and  $H$  bosons are massive. Each vector gauge boson serves as the mediator for a fundamental force described by the SM. Gluons are massless particles mediating the strong interaction by carrying color charges between quarks following quantum chromodynamics (QCD). Each gluon carries a non-neutral color charge out of eight linearly independent color states in the gluon color octet [4]. Photon is the massless and charge-neutral mediator particle for the electromagnetic interaction following quantum electrodynamics (QED). The  $W^\pm$  and  $Z$  bosons are massive mediator particles for the weak interaction, with the  $W^\pm$  boson carrying an electric charge of  $\pm 1$  while the  $Z$  boson is charge neutral.

Other than the vector gauge boson, the only scalar boson in the SM is the massive and

charge neutral Higgs boson. The Higgs boson does not mediate any fundamental force like vector bosons, but serve to provide the rest mass for all massive elementary particles in the SM through the Higgs mechanism described in section 2.1.2.3.

## Top quark

As of now, the top quark ( $t$ ) is the heaviest particle in the SM with mass of about 173 GeV [5], approaching the EW symmetry breaking scale. Its high mass gives the top quark the strongest Yukawa coupling to the Higgs boson ( $y_t \approx 1$ ) [6] and exotic resonances in many proposed BSM models [7–10], making the top quark and its processes attractive vehicles with which to probe new physics.

Due to its mass, the top quark has a very short lifetime of  $10^{-24}$  s [5] and decays before it can hadronize following color confinement. The top quark decays to a  $W$  boson and a  $b$ -quark with a branching ratio of almost 100%. The  $W$  boson can subsequently decay hadronically or leptonically (Figure 2.2), with branching ratios of approximately 68% and 32% respectively. All lepton flavors have similar branching ratios during a leptonic  $W$  decay, assuming lepton universality.

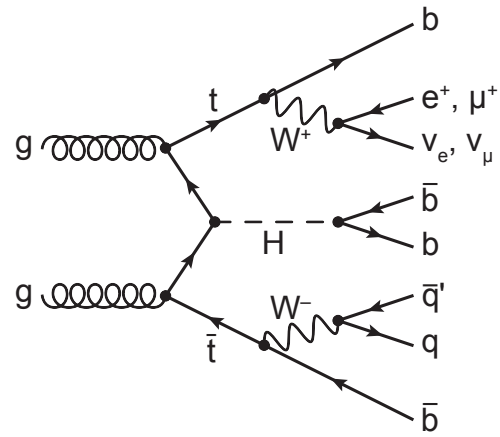


Figure 2.2: Feynman diagram for  $t\bar{t}$  production and subsequent decay processes [11]. Top quark decays into a  $W$ -boson and  $b$ -quark, and  $W$ -boson can decay to a  $q\bar{q}$  or a  $\ell\nu_\ell$  pair.

additional section on 4top production?

## 2.1.2 Mathematical formalism

The SM can be described within the formalism of quantum field theory (QFT) with the Lagrangian

$$\mathcal{L}_{\text{SM}} = \mathcal{L}_{\text{QCD}} + \underbrace{(\mathcal{L}_{\text{gauge}} + \mathcal{L}_{\text{fermion}} + \mathcal{L}_{\text{Higgs}} + \mathcal{L}_{\text{Yukawa}})}_{\mathcal{L}_{\text{EW}}} \quad (2.1)$$

where  $\mathcal{L}_{\text{QCD}}$  is the QCD term and  $\mathcal{L}_{\text{EW}}$  is the electroweak (EW) term of the Lagrangian. Formalism of QFT within the SM treats particles as excitations [12] of their corresponding quantum fields i.e. fermion field  $\psi$ , electroweak boson fields  $W_{1,2,3}$  &  $B$ , gluon fields  $G_\alpha$  and Higgs field  $\phi$ .

The foundation of modern QFT involves gauge theory. A quantum field has gauge symmetry if there exists a continuous gauge transformation that when applied to every point in a field (local gauge transformation) leaves the field Lagrangian unchanged. The set of gauge transformations of a gauge symmetry is the symmetry group of the field which comes with a set of generators, each with a corresponding gauge field. Under QFT, the quanta of these gauge fields are called gauge bosons.

The SM Lagrangian is gauge invariant under global Poincaré symmetry and local  $SU(3)_C \times SU(2)_L \times U(1)_Y$  gauge symmetry, with the  $SU(3)_C$  symmetry group corresponding to the strong interaction and  $SU(2)_L \times U(1)_Y$  to the EW interaction. Global Poincaré symmetry ensures that  $\mathcal{L}_{\text{SM}}$  satisfies translational symmetry, rotational symmetry and Lorentz boost frame invariance [13]. These symmetries give rise to corresponding conservation laws, which lead to conservation of momentum, angular momentum and energy in the SM as a result of Noether's theorem.

### 2.1.2.1 Quantum chromodynamics

Quantum chromodynamics is a non-Abelian gauge theory i.e. Yang-Mills theory [14, 15] describing the strong interaction between quarks in the SM with the gauge group  $SU(3)_C$ , where  $C$  represents conservation of color charge under  $SU(3)_C$  symmetry. According to QFT, quarks can be treated as excitations of the corresponding quark fields  $\psi$ . The free Dirac Lagrangian for the quark fields  $\mathcal{L}_0 = \bar{\psi}(i\gamma^\mu\partial_\mu - m)\psi$  is invariant under global  $SU(3)$  symmetry, but not under local  $SU(3)_C$  symmetry. To establish invariance under local  $SU(3)_C$  symmetry, the gauge covariant derivative  $D_\mu$  is defined so that

$$D_\mu\psi = (\partial_\mu - ig_s G_\mu^a T_a)\psi, \quad (2.2)$$

where  $g_s = \sqrt{4\pi\alpha_s}$  is the QCD coupling constant,  $G_\mu^a(x)$  are the eight gluon fields, and  $T_a$  are generators of  $SU(3)_C$ , represented as  $T_a = \lambda_a/2$  with  $\lambda_a$  being the eight Gell-Mann matrices [4]. Let the gluon field strength tensors  $G_{\mu\nu}^a$  be

$$G_{\mu\nu}^a \equiv \partial_\mu G_\nu^a - \partial_\nu G_\mu^a - g_s f^{abc} G_\mu^b G_\nu^c, \quad (2.3)$$

where  $f^{abc}$  are the structure constants of  $SU(3)_C$ . The gauge invariant QCD Lagrangian can then be written as

$$\begin{aligned} \mathcal{L}_{\text{QCD}} &= \bar{\psi}(i\gamma^\mu D_\mu - m)\psi - \frac{1}{4}G_{\mu\nu}^a G_a^{\mu\nu} \\ &= \underbrace{-\frac{1}{4}G_{\mu\nu}^a G_a^{\mu\nu}}_{\text{gluon kinematics \& self-interaction}} + \underbrace{\bar{\psi}(i\gamma^\mu\partial_\mu - m)\psi}_{\text{quark kinematics \& masses}} + \underbrace{\bar{\psi}^i (g_s\gamma^\mu (T_a)_{ij} G_\mu^a) \bar{\psi}^j}_{\text{quark-gluon interaction}}, \end{aligned} \quad (2.4)$$



where  $i, j$  are color indices with integer values from 1 to 3. Gluons are forced to be massless from the lack of a gluon mass term to maintain gauge invariance for the Lagrangian.

### 2.1.2.2 Electroweak theory

The electroweak interaction is the unified description of the weak interaction and electromagnetism under the  $SU(2)_L \times U(1)_Y$  symmetry group, where  $L$  represents the left-handed chirality of the weak interaction and  $Y$  represents the weak hypercharge quantum number. Fermions can have either left-handed or right-handed chirality with the exception of neutrinos which can only have left-handed chirality in the SM, and can be divided into left-handed doublets and right-handed singlets

$$\begin{aligned}\psi_L &= \begin{pmatrix} \nu_e \\ e_L \end{pmatrix}, \begin{pmatrix} \nu_\mu \\ \mu_L \end{pmatrix}, \begin{pmatrix} \nu_\tau \\ \tau_L \end{pmatrix}, \begin{pmatrix} u_L \\ d_L \end{pmatrix}, \begin{pmatrix} c_L \\ s_L \end{pmatrix}, \begin{pmatrix} t_L \\ b_L \end{pmatrix} \\ \psi_R &= e_R, \mu_R, \tau_R, u_R, d_R, c_R, s_R, t_R, b_R.\end{aligned}\tag{2.5}$$

where  $g'$  is the  $B_\mu$  coupling constant and  $B_\mu(x)$  is a vector gauge field that transforms under  $U(1)_Y$  as

$$B_\mu \rightarrow B_\mu + \frac{1}{g'} \partial_\mu \theta(x).\tag{2.6}$$

Right-handed fermion singlets are not affected by  $SU(2)_L$  transformation, so the fermion fields  $\psi$  transform under  $SU(2)_L$  as

$$\begin{aligned}\psi_L &\rightarrow e^{iI_3 \vec{\theta}(x) \cdot \vec{\sigma}/2} \psi_L \\ \psi_R &\rightarrow \psi_R.\end{aligned}\tag{2.7}$$

where  $\vec{\sigma}/2$  are generators of  $SU(2)_L$  with  $\vec{\sigma}$  being the Pauli matrices. In order to preserve local symmetry, the gauge covariant derivative for  $SU(2)_L$  and  $U(1)_Y$  can be defined [16] so

495 that the gauge covariant derivative for  $SU(2)_L \times U(1)_Y$  can be written as

$$\begin{aligned} D_\mu \psi_L &= \left( \partial_\mu - ig' \frac{Y_L}{2} B_\mu - ig \frac{\sigma_i}{2} W_\mu^i \right) \psi_L \\ D_\mu \psi_R &= \left( \partial_\mu - ig' \frac{Y_R}{2} B_\mu \right) \psi_R. \end{aligned} \quad (2.8)$$

496 where  $B_\mu(x)$  is a vector gauge field associated with  $U(1)_Y$  and  $W_\mu^i(x)$  ( $i = 1, 2, 3$ ) are three  
497 vector gauge fields associated with  $SU(2)_L$ . The  $B_\mu$  and  $W_\mu^i$  gauge fields transform under  
498 their corresponding symmetry groups  $U(1)_Y$  and  $SU(2)_L$  as

$$\begin{aligned} B_\mu &\rightarrow B_\mu + \frac{1}{g'} \partial_\mu \theta(x) \\ W_\mu^i &\rightarrow W_\mu^i + \frac{2}{g} \partial_\mu \theta_a(x) + \epsilon^{ijk} \theta_j(x) W_\mu^k, \end{aligned} \quad (2.9)$$

499 where  $g'$  is the  $B_\mu$  gauge coupling constant,  $g$  is the  $W_\mu^i$  gauge coupling constants and  $\epsilon^{ijk}$   
500 is the  $SU(2)_L$  structure constant. Similar to section 2.1.2.1, the kinetic term is added by  
501 defining field strengths for the four gauge fields

$$\begin{aligned} B_{\mu\nu} &\equiv \partial_\mu B_\nu - \partial_\nu B_\mu \\ W_{\mu\nu}^i &\equiv \partial_\mu W_\nu^i - \partial_\nu W_\mu^i - g \epsilon^{ijk} W_\mu^j W_\nu^k. \end{aligned} \quad (2.10)$$

502 The local  $SU(2)_L \times U(1)_Y$  invariant EW Lagrangian [16] is then

$$\begin{aligned} \mathcal{L}_{\text{EW}} &= i\bar{\psi}(\gamma^\mu D_\mu)\psi - \frac{1}{4}W_{\mu\nu}^i W_i^{\mu\nu} - \frac{1}{4}B_{\mu\nu}B^{\mu\nu} \\ &= \underbrace{i\bar{\psi}(\gamma^\mu \partial_\mu)\psi}_{\text{fermion kinematics}} \underbrace{- \bar{\psi} \left( \gamma^\mu g' \frac{Y}{2} B_\mu \right) \psi - \bar{\psi}_L \left( \gamma^\mu g \frac{\sigma_i}{2} W_\mu^i \right) \psi_L}_{\text{fermion-gauge boson interaction}} \underbrace{- \frac{1}{4}W_{\mu\nu}^i W_i^{\mu\nu} - \frac{1}{4}B_{\mu\nu}B^{\mu\nu}}_{\text{boson kinematics \& self-interaction}}. \end{aligned} \quad (2.11)$$

Under  $\approx 159.5$  GeV, the EW symmetry  $SU(2)_L \times U(1)_Y$  undergoes spontaneous symmetry breaking [17] into  $U(1)_{\text{QED}}$  symmetry, which corresponds to a separation of the weak and electrodynamic forces. Electroweak spontaneous symmetry breaking replaces the four massless and similarly-behaved EW gauge bosons  $B_\mu$  and  $W_\mu^i$  with the EM boson  $\gamma$  and the weak bosons  $Z/W^\pm$ , as well as giving the  $Z$  and  $W^\pm$  bosons masses via the Higgs mechanism. This is due to a specific choice of gauge for the Higgs field leading to the reparameterization of the EW bosons  $B_\mu$  and  $W_\mu^i$  to  $W^\pm/Z/\gamma$  using the relations

$$\begin{aligned} W_\mu^\pm &\equiv \frac{1}{\sqrt{2}} (W_\mu^1 \mp iW_\mu^2) \\ \begin{pmatrix} A_\mu \\ Z_\mu \end{pmatrix} &\equiv \begin{pmatrix} \cos \theta_W & \sin \theta_W \\ -\sin \theta_W & \cos \theta_W \end{pmatrix} \begin{pmatrix} B_\mu \\ W_\mu^3 \end{pmatrix} \end{aligned} \quad (2.12)$$

where  $\theta_W \equiv \cos^{-1} \left( g / \sqrt{g^2 + g'^2} \right)$  is the weak mixing angle. The boson kinetic term can also be refactorized to extract cubic (three vertices) and quartic (four vertices) self-interactions among the gauge bosons [16]. The Lagrangian can then be rewritten as

$$\begin{aligned} \mathcal{L} &= \underbrace{e A_\mu \bar{\psi} (\gamma^\mu Q) \psi}_{\text{electromagnetism}} + \underbrace{\frac{e}{2 \sin \theta_W \cos \theta_W} \bar{\psi} \gamma^\mu (v_f - a_f \gamma_5) \psi Z_\mu}_{\text{neutral current interaction}} \\ &+ \underbrace{\frac{g}{2\sqrt{2}} \sum_{\psi_L} [\bar{f}_2 \gamma^\mu (1 - \gamma_5) f_1 W_\mu^+ + \bar{f}_1 \gamma^\mu (1 - \gamma_5) f_2 W_\mu^-]}_{\text{charged current interaction}} \\ &+ \mathcal{L}_{\text{kinetic}} + \underbrace{\mathcal{L}_{\text{cubic}} + \mathcal{L}_{\text{quartic}}}_{\text{boson self-interaction}} \end{aligned} \quad (2.13)$$

where  $\gamma_5 = i\gamma^0\gamma^1\gamma^2\gamma^3$  is the chirality projection operator,  $a_f = I_3$ ,  $v_f = I_3(1 - 4|Q| \sin^2 \theta_W)$  and  $f_1, f_2$  are up and down type fermions of a left-handed doublet.

### 2.1.2.3 Higgs mechanism

So far, the EW bosons are massless since the mass terms  $-m\bar{\psi}\psi$  for fermions and  $-mA^\mu A_\mu$  for bosons are not invariant under the EW Lagrangian symmetries. The particles must then acquire mass under another mechanism. The Brout-Engler-Higgs mechanism [18–20] was introduced in 1964 to rectify this issue and verified in 2012 with the discovery of the Higgs boson [21, 22].

The Higgs potential is expressed as

$$V(\phi^\dagger\phi) = \mu^2\phi^\dagger\phi + \lambda(\phi^\dagger\phi)^2 \quad (2.14)$$

where  $\mu^2$  and  $\lambda > 0$  are arbitrary parameters, and the  $SU(2)_L$  doublet  $\phi = \begin{pmatrix} \phi^+ \\ \phi^0 \end{pmatrix}$  is the Higgs field with complex scalar fields  $\phi^+$  and  $\phi^0$  carrying +1 and 0 electric charge respectively. The Lagrangian for the scalar Higgs field is

$$\mathcal{L}_H = (\partial_\mu\phi)^\dagger (\partial^\mu\phi) - V(\phi^\dagger\phi). \quad (2.15)$$

Since the potential  $V(\phi^\dagger\phi)$  is constrained by  $\lambda > 0$ , the ground state is solely controlled by  $\mu$ . If  $\mu^2 > 0$ , the ground state energy is  $\phi = 0$ , and the EW bosons would remain massless. If  $\mu^2 < 0$ , the ground state is

$$|\phi|^2 = -\frac{\mu^2}{2\lambda} \equiv \frac{v^2}{\sqrt{2}}, \quad (2.16)$$

where  $v$  is defined as the vacuum expectation value (VEV). The standard ground state for the Higgs potential without loss of generality can be chosen as  $\phi(0) = 1/\sqrt{2}\begin{pmatrix} 0 \\ v \end{pmatrix}$ .

Having  $U(1)$  symmetry allows any  $-e^{i\theta}\sqrt{\mu^2/\lambda}$  to be a ground state energy for the Higgs

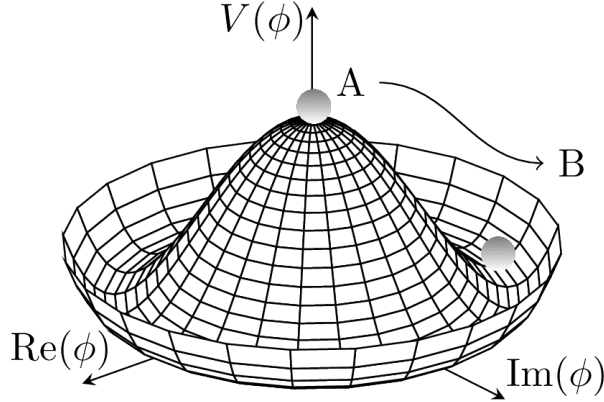


Figure 2.3: Illustration of a common representation of the Higgs potential [23]. Before SSB, the ground state  $\phi(0)$  is located at A which is symmetric with respect to the potential. A perturbation to this state fixes the ground state energy  $|\phi(0)|^2$  to a particular value at B, "spontaneously" breaking the symmetry and degeneracy in  $|\phi(0)|^2$ .

Lagrangian. This degeneracy results in spontaneous symmetry breaking of the  $SU(2)_L \times U(1)_Y$  symmetry into  $U(1)_{\text{EM}}$  symmetry when the Higgs field settles on a specific vacuum state as a result of a perturbation or excitation (Figure 2.3). The spontaneous symmetry breaking introduces three massless (Nambu-Goldstone [24]) vector gauge boson  $\xi$  and a massive scalar boson  $\eta$ , each corresponds to a generator of the gauge group. The vector field for  $\xi$  and  $\eta$  are real fields parameterized as  $\xi \equiv \phi^+ \sqrt{2}$  and  $\eta \equiv \phi^0 \sqrt{2} - v$  [25]. The Higgs field now becomes

$$\phi = \frac{v + \eta + i\xi}{\sqrt{2}} = \frac{1}{\sqrt{2}} e^{i\xi \cdot \frac{\sigma}{2v}} \begin{pmatrix} 0 \\ v + \eta \end{pmatrix}. \quad (2.17)$$

Due to  $U(1)_{\text{EM}}$  invariance, a unitary gauge with the transformation  $\phi \rightarrow \exp(-i\xi \cdot \frac{\sigma}{2v})$  can be chosen for the Higgs field to eliminate the massless bosons and incorporate them into the EM/weak bosons via Equation 2.12. This leaves the massive  $\eta$  which can now be observed as an excitation of the Higgs field from the standard ground state and must be the Higgs boson  $h$ . Using the EW covariant derivative from Equation 2.8, the Higgs Lagrangian around the

543 vacuum state becomes

$$\begin{aligned}\mathcal{L}_H &= (D_\mu\phi)^\dagger (D^\mu\phi) - \mu^2 \left(\frac{v+h}{\sqrt{2}}\right)^2 - \lambda \left(\frac{v+h}{\sqrt{2}}\right)^4 \\ &= (D_\mu\phi)^\dagger (D^\mu\phi) - \frac{1}{2}\mu^2 h^2 - \lambda v h^3 - \frac{\lambda}{4}h^4 - \dots\end{aligned}\tag{2.18}$$

544 The Higgs mass can be extracted from the quadratic term as  $m_H = \sqrt{-2\mu^2}$ . The kinetic  
545 term in the Lagrangian can be written as

$$\begin{aligned}(D_\mu\phi)^\dagger (D^\mu\phi) &= \frac{1}{2}(\partial_\mu h)^2 + \frac{g^2}{8}(v+h)^2 |W_\mu^1 - iW_\mu^2|^2 + \frac{1}{8}(v+h)^2 (g'W_\mu - gB_\mu)^2 \\ &= \frac{1}{2}(\partial_\mu h)^2 + (v+h)^2 \left( \frac{g^2}{4}W_\mu^+ W^{-\mu} + \frac{1}{8}(g^2 + g'^2) Z_\mu^0 Z^{0\mu} \right).\end{aligned}\tag{2.19}$$

546 Masses for the EW bosons can be extracted from the quadratic terms

$$m_{W^\pm} = \frac{v}{2}g, \quad m_Z = \frac{v}{2}\sqrt{g^2 + g'^2}, \quad m_\gamma = 0.\tag{2.20}$$

547 However, the fermion mass term  $-m\bar{\psi}\psi$  still breaks EW invariance after spontaneous sym-  
548 metry breaking. Instead, fermions acquire mass by replacing the mass term with a gauge  
549 invariant Yukawa term in the EW Lagrangian representing fermions' interactions with the  
550 Higgs field [25]

$$\begin{aligned}\mathcal{L}_{\text{Yukawa}} &= -c_f \frac{v+h}{\sqrt{2}} (\bar{\psi}_R \psi_L + \bar{\psi}_L \psi_R) \\ &= - \underbrace{\frac{c_f}{\sqrt{2}}v(\bar{\psi}\psi)}_{\text{fermion mass}} - \underbrace{\frac{c_f}{\sqrt{2}}(h\bar{\psi}\psi)}_{\text{fermion-Higgs interaction}},\end{aligned}\tag{2.21}$$

551 where  $c_f$  is the fermion-Higgs Yukawa coupling. The fermion mass is then  $m_f = c_f v/\sqrt{2}$ .

## 2.2 Beyond the Standard Model

### 2.2.1 Top-philic vector resonance

Many BSM models extend the SM by adding to the SM gauge group additional  $U(1)'$  gauge symmetries [26], each with an associated vector gauge boson nominally called  $Z'$ . In the case of a BSM global symmetry group with rank larger than the SM gauge group, the symmetry group can spontaneously break into  $G_{\text{SM}} \times U(1)'^n$ , where  $G_{\text{SM}}$  is the SM gauge group  $SU(3)_C \times SU(2)_L \times U(1)_Y$  and  $U(1)'^n$  is any  $n \geq 1$  number of  $U(1)'$  symmetries. The existence of additional vector bosons  $Z'$  would open up many avenues of new physics e.g. extended Higgs sectors from  $U(1)'$  symmetry breaking [27, 28], existence of flavor-changing neutral current (FCNC) mediated by  $Z'$  [29], and possible exotic production from heavy  $Z'$  decays [30].

Due to the top quark having the largest mass out of all known elementary particles in the SM, many BSM models [31–34] predict 'top-philic' vector resonances that have much stronger coupling to the top quark compared to other quarks. The analysis in this dissertation attempts to reconstruct a top-philic  $Z'$  resonance directly to avoid dependency on model choice. Previous model-independent BSM  $t\bar{t}t\bar{t}$  search for top-philic resonances [35] in the single-lepton final state and similar mass ranges showed upper limits on observed (expected)  $Z'$  production cross section between 21 (14) fb to 119 (86) fb depending on parameter choice. This analysis is also motivated by the recent observation of SM  $t\bar{t}t\bar{t}$  production in the same-sign multilepton (SSML) channel by ATLAS [36] and CMS [37] at  $6.1\sigma$  and  $5.6\sigma$  discovery significance respectively.

In addition to the model-independent search, a simplified color-singlet vector particle

model [38, 39] is employed to study model-dependent interpretations. The interaction Lagrangian assumes only  $Z'$  to top coupling and has the form

$$\begin{aligned}\mathcal{L}_{Z'} &= \bar{t}\gamma_\mu (c_L P_L + c_R P_R) t Z'^\mu \\ &= c_t \bar{t}\gamma_\mu (\cos\theta P_L + \sin\theta P_R) t Z'^\mu,\end{aligned}\tag{2.22}$$

where  $c_t = \sqrt{c_L^2 + c_R^2}$  is the  $Z'$ -top coupling strength,  $P_{L/R} = (1 \mp \gamma_5)/2$  are the chirality projection operators, and  $\theta = \tan^{-1}(c_R/c_L)$  is the chirality mixing angle. Expanding the Lagrangian results in

$$\mathcal{L}_{Z'} = \frac{1}{\sqrt{2}} \bar{t}\gamma_\mu \left[ \sin\left(\theta + \frac{\pi}{4}\right) - \left(\sqrt{2} \cos\left(\theta + \frac{\pi}{4}\right)\right) \gamma_5 \right] t Z'^\mu,\tag{2.23}$$

which bears striking resemblance to the EW Lagrangian neutral current interaction term in Equation 2.13, showing the similarity between the  $Z'$  and the  $Z$  boson that acquires mass from  $SU(2)_L \times U(1)_Y$  spontaneous symmetry breaking. Assuming the  $Z'$  mass  $m_{Z'}$  is much larger than the top mass ( $m_t^2/m_{Z'}^2 \approx 0$ ), the  $Z'$  decay width at leading-order (LO) can be approximated as

$$\Gamma(Z' \rightarrow t\bar{t}) \approx \frac{c_t^2 m_{Z'}}{8\pi}.\tag{2.24}$$

It can be observed that  $\Gamma/m_{Z'} \approx c_t^2/8\pi \ll 1$  for  $c_t \approx 1$ , which suggests a very narrow and well-defined resonance peak. This validates the narrow-width approximation for the choice of  $c_t = 1$  and supports efforts to directly reconstruct the resonance.

The main production channels for the aforementioned heavy top-philic color singlet  $Z'$  are at tree level and loop level, with the one-loop level being the dominant processes. Loop level processes are dependent on the chirality angle  $\theta$ , where  $\theta = \pi/4$  suppresses all but



gluon-initiated box sub-processes [38]. To minimize model dependence, only the tree level production was considered for this analysis by choosing  $\theta = \pi/4$ . Figure 2.4 illustrates several tree level  $Z'$  production processes.

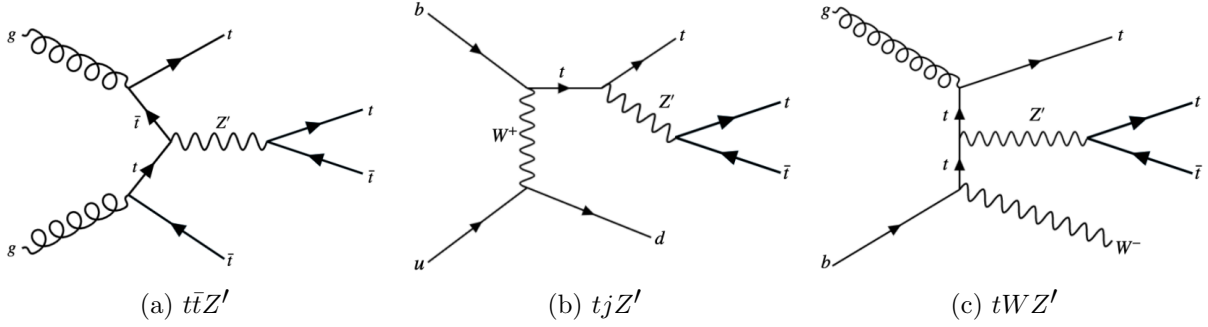


Figure 2.4: Feynman diagrams for tree level  $Z'$  production in association with (a)  $t\bar{t}$ , (b)  $tj$  (light quark) and (c)  $tW$ , decaying to final states containing (a)  $t\bar{t}t\bar{t}$  or (b)(c)  $t\bar{t}t$  [38].

The single-top-associated channels  $tjZ'$  and  $tWZ'$  are suppressed by three-body phase space [38], resulting in smaller cross sections by a factor of two compared to the  $t\bar{t}$ -associated process  $t\bar{t}Z'$ . Unlike  $tjZ'$  and  $tWZ'$  which are produced via EW and mixed QCD-EW interactions respectively,  $t\bar{t}t\bar{t}$  production is governed by the strong interaction which can overpower phase space suppression. Additionally,  $t\bar{t}t\bar{t}$  production is independent of  $\theta$  while  $tjZ'$  and  $tWZ'$  are minimally suppressed under pure left-handed interactions ( $\theta = 0$ ) and maximally suppressed under pure right-handed interactions ( $\theta = \pi/2$ ).

### 2.2.2 BSM four-top quark production

This analysis uses the  $t\bar{t}t\bar{t}$  final state signal signature to search for the existence of a heavy BSM resonance that couples strongly to the top quark. Cross section for  $t\bar{t}t\bar{t}$  production can be enhanced by many possible BSM models, in particular two-Higgs-doublet models (2HDM) [40–42] or possible production of a heavy neutral resonance boson  $Z'(\rightarrow t\bar{t})$  in association with a  $t\bar{t}$  pair in composite Higgs scenarios [31, 32]. The  $t\bar{t}Z'$  production mode

and consequently  $t\bar{t}t$  signal signature can provide a more sensitive channel for searches by avoiding contamination from the large SM  $gg \rightarrow t\bar{t}$  background in an inclusive  $Z' \rightarrow t\bar{t}$  search.

## Decay modes

The different  $W$  boson decay modes shown in Figure 2.2 result in many different final states for  $t\bar{t}Z'/t\bar{t}t$  decay, which can each be classified into one of three channels: all hadronic decays; exactly one lepton or two opposite-sign leptons (1LOS); exactly two same-sign leptons or three or more leptons (SSML). The branching ratio for each channel is shown in Figure 2.5. The all hadronic and 1LOS channels have much larger branching ratios compared to SSML channel but suffer heavily from  $gg \rightarrow t\bar{t}$  background contamination, giving the SSML channel better sensitivity at the cost of lower statistics. This is also the targeted channel for this analysis.

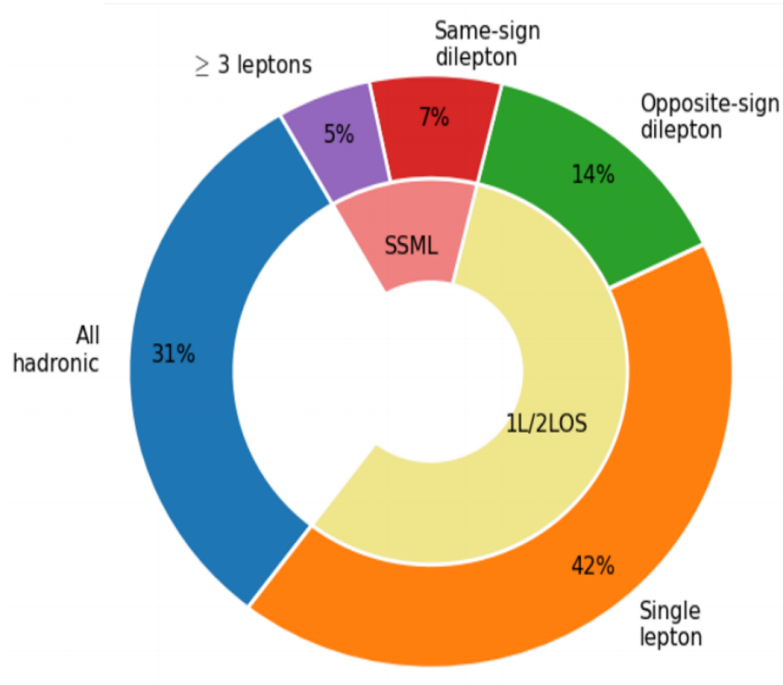


Figure 2.5: Branching ratios for  $t\bar{t}t\bar{t}$  decay [43]. The same-sign dilepton and multilepton channels together forms the SSML channel.

## Chapter 3. LHC & ATLAS Experiment

### 3.1 The Large Hadron Collider

Predictions from theoretical models are evaluated against experimental data collected from particle detectors. This chapter provides a detailed overview of the Large Hadron Collider (LHC) and the ATLAS detector, one of the key experiments designed to study high-energy collisions at the LHC.

#### 3.1.1 Overview

The Large Hadron Collider [44] (LHC) is currently the world's largest particle collider with a circumference of almost 27 km. Built by CERN on the border of Switzerland and France, the LHC is designed as a particle collider for proton-proton ( $pp$ ), sometimes heavy ions i.e. lead-lead (PbPb) and proton-lead ( $pPb$ ) beams at TeV-scale energies. Two beams of particles are injected into the LHC in opposite directions and allowed to collide at the center of four major experiments:

- **A Toroidal LHC ApparatuS** (ATLAS) [1] and **Compact Muon Solenoid** (CMS) [45]: multi-purpose detectors, designed to target a variety of phenomena including SM, BSM and heavy-ion physics.
- **Large Ion Collider Experiment** (ALICE) [46]: specialized detector to record ion collisions and study heavy-ion physics.
- **Large Hadron Collider beauty** (LHCb) [47]: detector dedicated to study properties of  $b$ -quarks and  $b$ -hadrons.

Aside from the four major experiments, the LHC also houses smaller experiments e.g. AWAKE [48], FASER [49], KATRIN [50], that either share an interaction point with one of the above experiments or make use of particle beams pre-LHC injection.

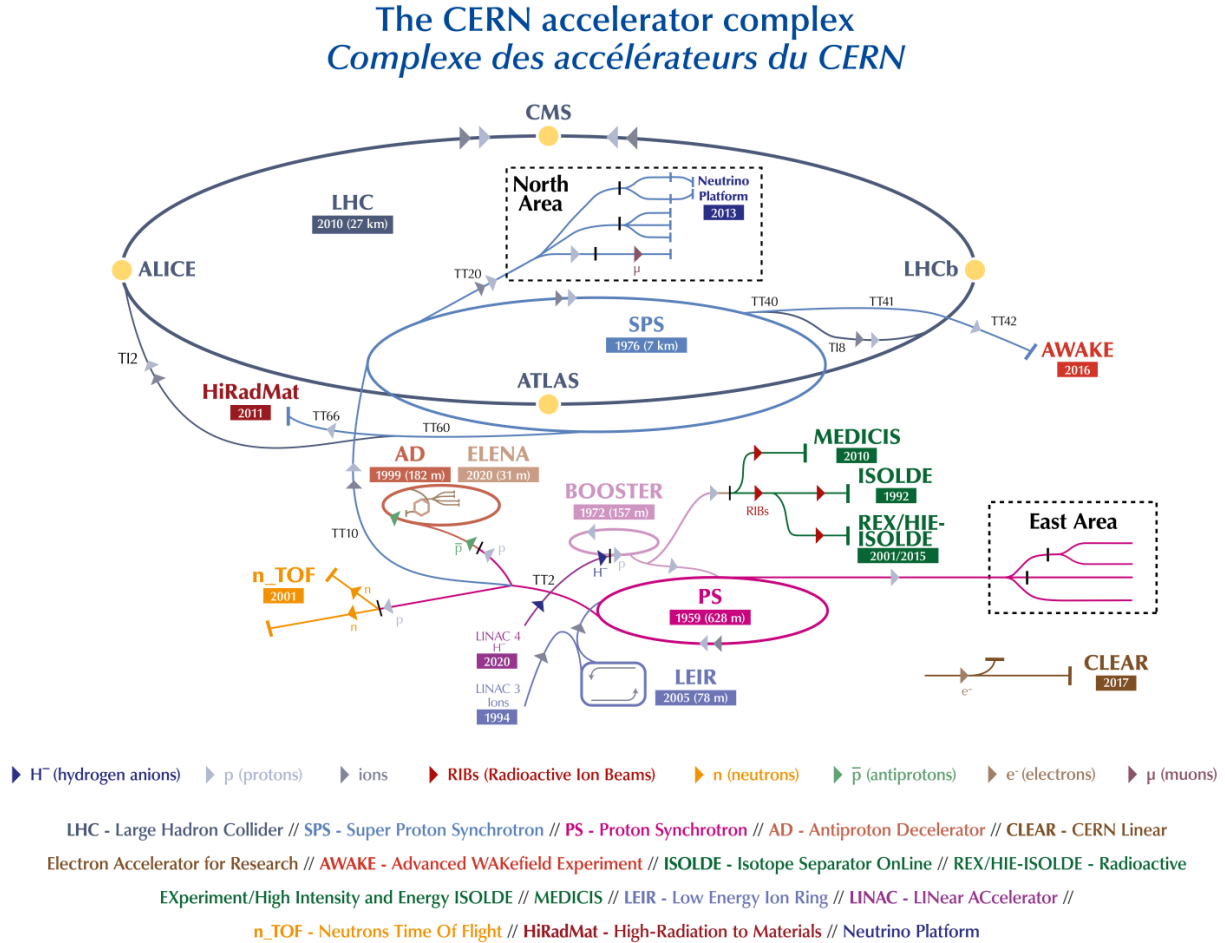


Figure 3.1: The full CERN accelerator complex as of 2022 [51].

The majority of the LHC operational time is dedicated to studying  $pp$  collisions of up to  $\sim 13$  TeV center-of-mass energy, denoted as  $\sqrt{s}$ . Reaching collision energy requires a sequence of accelerators within the CERN accelerator complex, shown in Figure 3.1. Proton production starts at LINAC 4, where hydrogen atoms are accelerated to 160 MeV then stripped of electrons. The leftover proton beams are injected into the Proton Synchrotron Booster

(PSB) and accelerated to 2 GeV before being transferred into the Proton Synchrotron (PS). Here, the beams are ramped up to 26 GeV then injected into the Super Proton Synchrotron (SPS) to further raise the energy threshold to 450 GeV. The beams are finally injected into the LHC in opposite directions, continuously increasing in energy up to 6.5 TeV per beam, reaching the 13 TeV center-of-mass energy threshold necessary for collision during Run 2. As of the start of Run 3 in 2022, proton beams can now be ramped up to 6.8 TeV per beam for a total of  $\sqrt{s} = 13.6$  TeV.

### 3.1.2 LHC operations

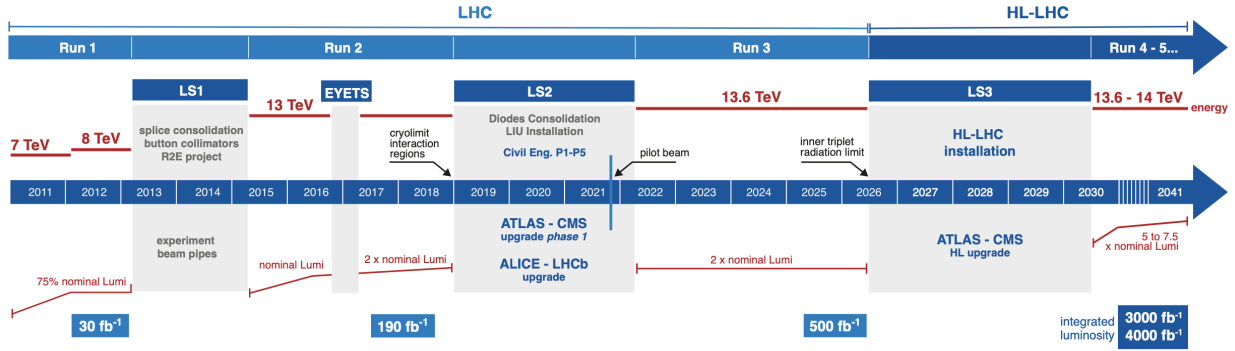


Figure 3.2: Current and future timeline of LHC operations with corresponding center-of-mass energies and projected integrated luminosities. [52].

Operations at the LHC are defined in periods of data-taking and shut-down known as runs and long shutdowns respectively; the first period (Run 1) started with first collisions at the LHC in 2010 at  $\sqrt{s} = 7$  TeV [53]. Upgrades are usually carried out for detectors and accelerators during long shutdowns, raising the maximum energy threshold in preparation for the next run. An overview of the LHC runtime and corresponding center-of-mass energies are summarized in Figure 3.2. During Run 2 from 2015-2018, the ATLAS detector recorded a total of  $1.1 \times 10^{16}$   $pp$  collisions at  $\sqrt{s} = 13$  TeV, which corresponds to an integrated

luminosity of  $140 \pm 0.83\% \text{ fb}^{-1}$  that passed data quality control and are usable for analyses [54]. This is also the data set used for the analysis in this dissertation.

status/plan for run 3 and beyond?

### 3.1.3 Physics at the LHC

The majority of physics studied at the LHC focus primarily on QCD proton-proton hard scattering processes and the resulting products. Hard scattering processes involve large momentum transfer compared to the proton mass e.g. top pair production ( $gg \rightarrow t\bar{t}$ ) and Higgs production ( $gg \rightarrow H$ ), and can be predicted using perturbative QCD [55]. Hard processes probe distance scales much lower than the proton radius and can be considered collisions between the constituent quarks and gluons i.e. partons. Soft processes involve lower momentum transfer between partons and are dominated by less well-understood non-perturbative QCD effects. The hard interaction between two partons are represented by a parton distribution function (PDF)  $f_i(x, Q^2)$ , which describes the probability of interacting with a constituent parton  $i$  that carries a fraction  $x$  of the external hadron's momentum when probed at a momentum scale of  $Q^2$  [56]. Other partons within the hadron that did not participate in the collision can still interact via lower momentum underlying-events (UE). The probability of a particular interaction occurring is defined as its cross-section  $\sigma[b]$ . Figure 3.3 gives an overview of SM processes produced within the LHC and their cross-sections.

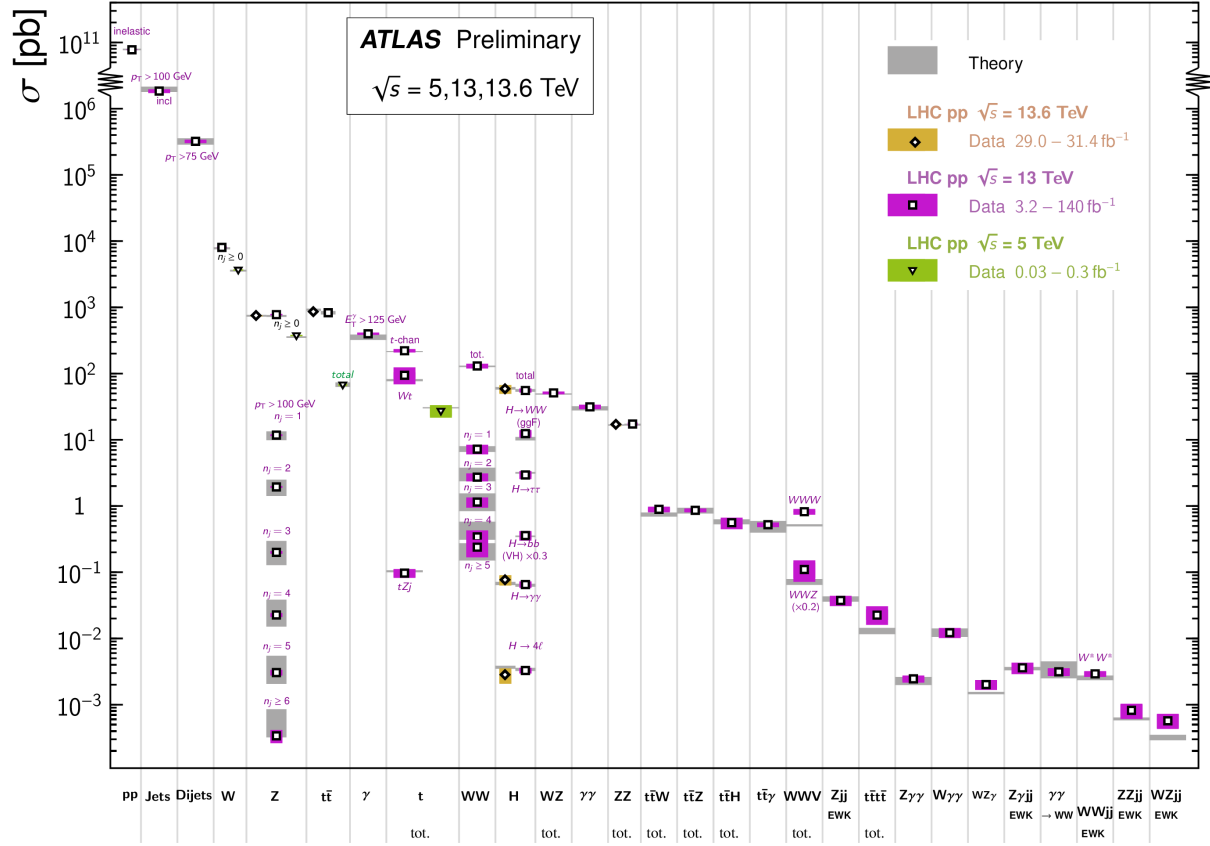


Figure 3.3: Summary of predicted and measured cross-section for SM processes at the LHC at different center-of-mass energies [57].

## 3.2 The ATLAS detector

One of the four main experiments at the LHC is ATLAS [1], designed as a multi-purpose detector for the role of studying high-energy physics in  $pp$  and heavy-ion collisions. ATLAS is a detector with symmetric cylindrical geometry with dimensions of 44 m in length and 25 m in diameter, covering a solid angle of almost  $4\pi$  around the collision point. The detector is built concentrically around the beamline with the collision point at the center to maximally capture signals produced by interactions. Figure 3.4 shows a slice of the ATLAS detector.



687 From the inside out, the main ATLAS subdetector system consists of the inner detector  
 688 (ID), calorimeter systems (electromagnetic and hadronic) and the muon spectrometer (MS).

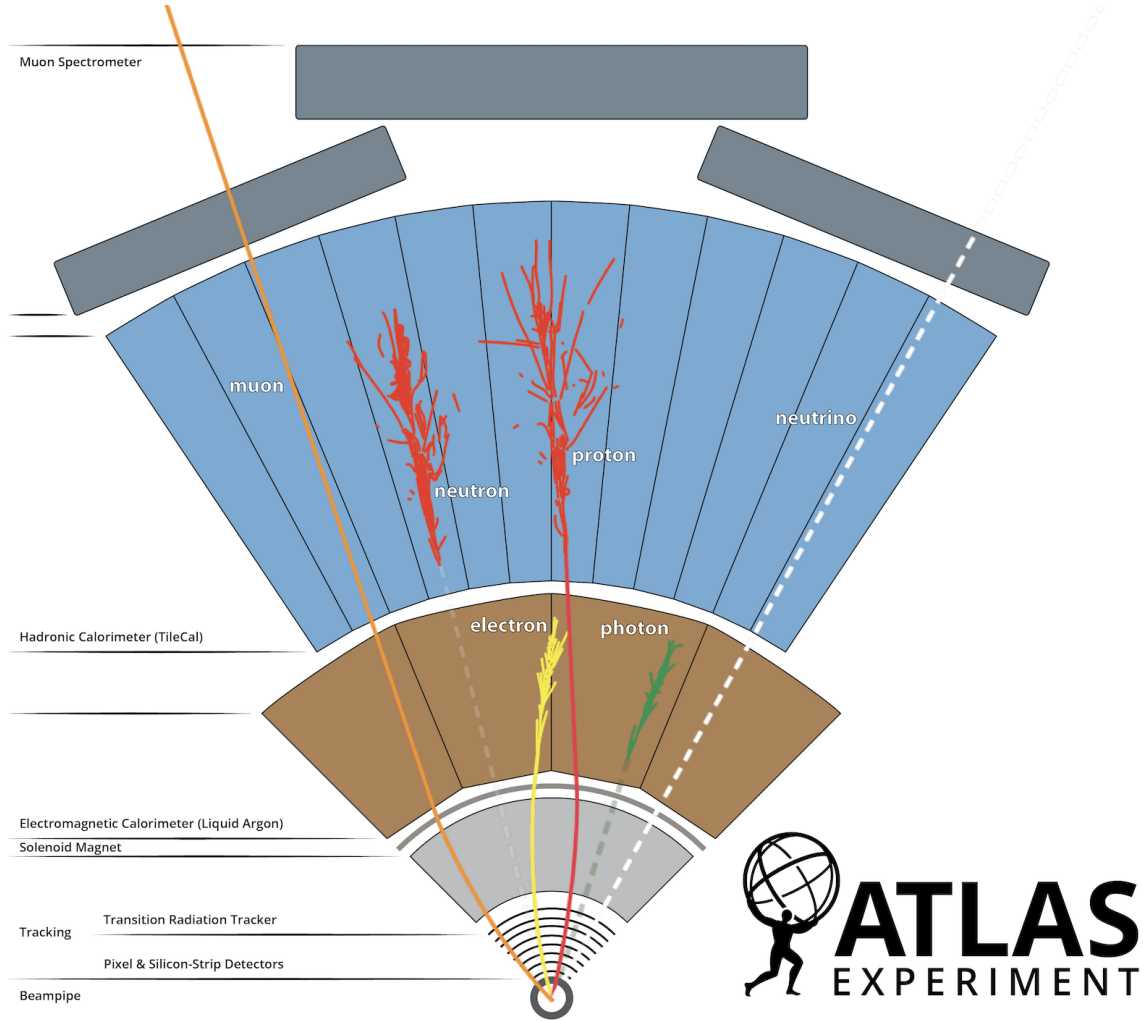


Figure 3.4: A cross section slice of the ATLAS detector showing different subsystems along with visualization of different types of particles traveling through the detector [58].

689 The ATLAS detector uses a right-handed coordinate system [1] designed to align with  
 690 the geometry of a collision interaction, with the origin set at the interaction point, the  $z$ -axis  
 691 following (either of) the beamline and the  $x$ -axis pointing towards the center of the LHC  
 692 ring. In cylindrical coordinates, the polar angle  $\theta$  is measured from the beam axis, and  
 693 the azimuthal angle  $\phi$  is measured along the transverse plane ( $xy$ -plane) starting at the  $x$ -

axis. Additional observables are defined for physics purposes: the pseudorapidity defined as  $\eta = -\ln \tan(\theta/2)$ ; angular distance within the detector defined as  $\Delta R = \sqrt{\Delta\eta^2 + \Delta\phi^2}$ ; and transverse momentum  $p_T$  (transverse energy  $E_T$ ) defined as the component of the particle's momentum (energy) projected onto the transverse plane.

### 3.2.1 Inner detector

The innermost part of ATLAS is the inner detector (ID) [1], constructed primarily for the purpose of measuring and reconstructing charged tracks within the  $|\eta| < 2.5$  region with high momentum resolution ( $\sigma_{p_T}/p_T = 0.05\% \pm 1\%$ ). Figure 3.5 shows the composition of the ID with three subsystems, the innermost being the pixel detector, then Semiconductor Tracker (SCT), and the Transition Radiation Tracker (TRT) on the outermost layer; all of which are surrounded by a solenoid magnet providing a magnetic field of 2 T.

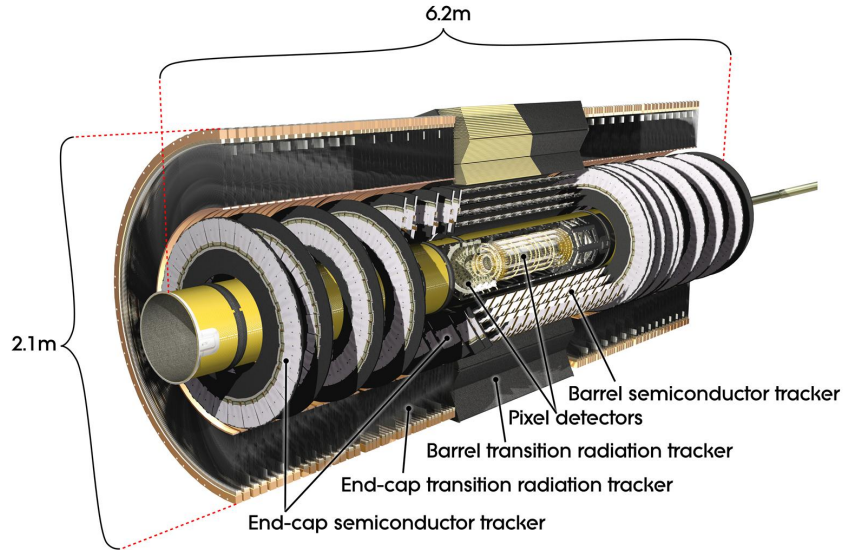


Figure 3.5: Cutaway illustration of the inner detector along with its subsystems [59].

## Pixel detector

The pixel detector subsystem [1] consists of 250  $\mu\text{m}$  silicon semiconductor pixel layers with about 80.4 million readout channels, reaching a spatial resolution of 10  $\mu\text{m}$  in the  $R-\phi$  (transverse) plane and 115  $\mu\text{m}$  in the  $z$ -direction for charged tracks. Charged particles passing through the pixel detector ionize the silicon layers and produce electron-hole pairs; the electrons drift towards the detector's electrode under an applied electric field and the resulting electric signals are collected in read-out regions. The pixel detector is used primarily for impact parameter measurement, pile-up suppression, vertex finding and seeding for track reconstruction.

## Semiconductor Tracker

The Semiconductor Tracker (SCT) [1] functions similarly to the pixel detector, using silicon semiconductor microstrips totaling about 6.3 million read-out channels, reaching a per layer resolution of 17  $\mu\text{m}$  in the  $R-\phi$  plane and 580  $\mu\text{m}$  in the  $z$ -direction [1]. The SCT plays an important role in precise  $p_{\text{T}}$  measurement of charged particles as well as track reconstruction.

## Transition Radiation Tracker

The outermost layer of the ID, the Transition Radiation Tracker (TRT) [1], consists of layers of 4 mm diameter straw tubes filled with a xenon-based gas mixture and a 30  $\mu\text{m}$  gold-plated wire in the center. The TRT contains a total of about 351 thousand readout channels with a resolution of 130  $\mu\text{m}$  for each straw tube in the  $R-\phi$  plane, and provides extended track measurement, particularly estimation of track curvature under the solenoidal

726 magnetic field. Importantly, the TRT also serves to identify electrons through absorption of  
 727 emitted transition-radiation within the Xe-based gas mixture.

### 728 3.2.2 Calorimeter systems

729 Surrounding the ID is the ATLAS calorimeter system [1] with electromagnetic (EM) and  
 730 hadronic calorimeters, covering a range of  $|\eta| < 4.9$ . The calorimeters are sampling calorime-  
 731 ters with alternating absorbing layers to stop incoming particles and active layers to collect  
 732 read-out signals from energy deposits. Incoming particles passing through the calorimeters  
 733 interact with the absorbing layers, producing EM or hadronic showers of secondary particles.  
 734 The particle showers deposit energy in the corresponding layer of the calorimeters, which  
 735 are collected and aggregated to identify and reconstruct the original particle's energy and  
 736 direction. Figure 3.6 shows a schematic overview of the ATLAS calorimeter system.

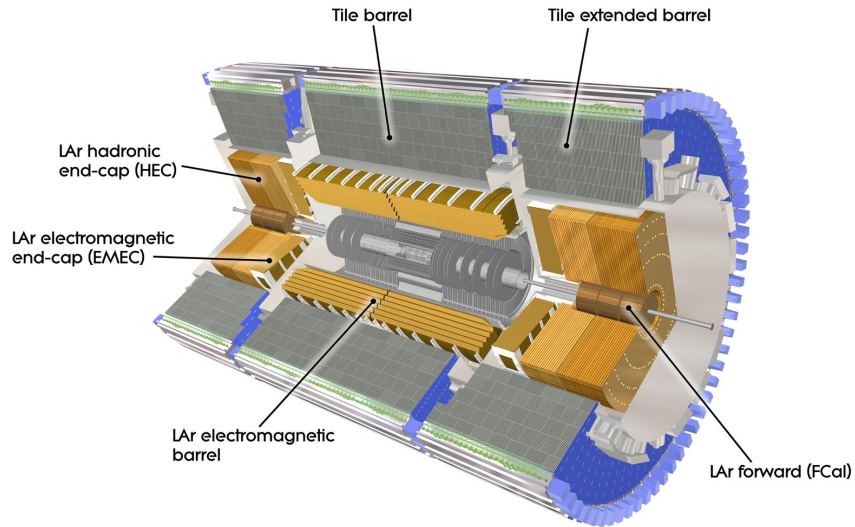


Figure 3.6: Cutaway illustration of the calorimeter system including the EM, hadronic and LAr forward calorimeters [60].

## Electromagnetic calorimeter

The EM calorimeter [1] covers the innermost part of the calorimeter system, with lead (Pb) absorbing layers and liquid argon (LAr) active layers to capture the majority of electrons and photons exiting the ID. The EM calorimeter is divided into regions depending on  $\eta$  coverage: a barrel region ( $|\eta| < 1.475$ ), two endcap regions ( $1.375 < |\eta| < 3.2$ ) and a transition region ( $1.372 < |\eta| < 1.52$ ). The endcap calorimeters are further divided into an outer wheel region ( $1.372 < |\eta| < 2.5$ ) and an inner wheel region ( $2.5 < |\eta| < 3.2$ ) in order to provide precise coverage within the same  $\eta$  range as the ID. Overlap between the barrel and endcap regions compensates for the lower material density in the transition region.

## Hadronic calorimeter

The hadronic calorimeter [1] covers up to  $|\eta| < 4.9$  and is comprised of three parts: the tile calorimeter with a barrel region ( $|\eta| < 1.0$ ) and extended barrel regions ( $0.8 < |\eta| < 1.7$ ); the hadronic endcap calorimeter (HEC) covering  $1.5 < |\eta| < 3.2$ ; and the forward calorimeter (FCal) covering  $3.2 < |\eta| < 4.9$ . The tile calorimeter covers the EM calorimeter barrel region and uses steel as material for the absorbing layers with scintillating tiles for the active layers. Signals captured by scintillating tiles are read out from both sides using photomultiplier tubes. The HEC calorimeter covers the endcap regions of the EM calorimeter and uses a copper-LAr calorimeter layer scheme. The FCal is located close to the beamline providing coverage for particles traveling close to parallel with the beam axis. The subdetector contains three modules: one with copper absorbing layers optimized for EM measurements, and two with tungsten absorbing layers targeting hadronic cascades. All modules in the FCal use LAr as the active layer.

### 3.2.3 Muon spectrometer

Generally, the only particles that penetrate past the calorimeter layer are muons and neutrinos. The muon spectrometer (MS) [1] is situated on the outermost of the ATLAS detector and aims to track and measure muons within  $|\eta| < 2.7$ . The MS utilizes an array of toroid magnets to provide a magnetic field perpendicular to the muon trajectory, bending the track in order to measure its curvature. The magnetic field is powered by a large barrel toroid ( $|\eta| < 1.4$ ) with strength of 0.5 T and two endcap toroid magnets ( $1.6 < |\eta| < 2.7$ ) of 1 T. Both types contribute to the magnetic field in the transition region ( $1.4 < |\eta| < 1.6$ ).

To measure the muon itself, four types of large gas-filled chambers known as muon chambers [1] are designed and constructed for two main goals: triggering on potential muon candidates entering the MS and tracking their trajectories through the detector with high precision. The tracking system include Monitored Drift Tubes (MDTs), which record muon track information over the entire MS  $\eta$  range ( $|\eta| < 2.7$ ). The MDTs are built with multiple layers of drift tubes and filled with a mixture of 93% Ar and 7% CO<sub>2</sub>. Muons passing through drift tubes in the MDT ionize the gas within each tube; signals are then recorded as freed electrons drift to read-out channels under an applied electric field. In the forward region ( $2.0 < |\eta| < 2.7$ ), Cathode Strip Chambers (CSCs) are included along with MDTs. The CSCs are multiwire proportional chambers built with higher granularity and shorter drift time than the MDTs to handle tracking in an environment with high background rates

.

The MS trigger system includes Resistive Plate Chambers (RPCs) [1], which provide triggering in the barrel region ( $|\eta| < 1.05$ ) using parallel electrode plates made of resistive materials with a gas mixture inbetween. High voltage is applied to the plates, accelerat-

ing the electrons freed from ionized gas and creating a fast avalanche of charge, which is collected on external read-out strips almost instantaneously. Triggering and coarse position measurements in the endcap region ( $1.05 < |\eta| < 2.5$ ) is handled by Thin-Gap Chambers (TGCs). Similar to CSCs, TGCs are multiwire proportional chambers with a small wire gap ("thin-gap") and high applied voltage across the gap, resulting in fast response time giving TGCs the capabilities to identify muon candidates in real time.

### 3.2.4 Trigger & data acquisition

The LHC produces a colossal amount of collision data at a bunch crossing rate of 40 MHz with bunch spacing of 25 ns. The ATLAS Trigger and Data Acquisition (TDAQ) system [61] synchronously identifies and records interesting events for in-depth analysis. The ATLAS trigger system in Run 2 consists of two steps: Level-1 (L1) trigger and High-Level Trigger (HLT). Events failing any step in the trigger chain are permanently lost.

The L1 trigger hardware is divided into L1 calorimeter triggers (L1Calo) and L1 muon triggers (L1Muon) [61]. L1Calo trigger uses information from ATLAS calorimeter system to quickly identify signs of high  $p_T$  objects e.g. EM clusters, jets and missing transverse energy  $E_T^{\text{miss}}$  (section 4.4). Similarly, L1Muon uses information from the RPCs and TGCs of the MS to make quick decisions on potentially interesting muon candidates. Outputs from L1Calo and L1Muon are fed into the L1 topological trigger (L1Topo) for additional filtering based on event topology and multi-object correlation, allowing for more selective and physics-motivated triggering. Decisions from all three types of L1 triggers are provided as inputs for the Central Trigger Processor (CTP) for a final Level-1 Accept (L1A) decision. The entire L1 trigger chain results in a 2.5  $\mu\text{s}$  latency and reduces the event rate to 100 kHz.

Events passing L1 triggers are sent to HLTs before being saved to offline storage at

805 CERN data centers. HLTs are software-based triggers used for more complex and specific  
806 selections on physics objects required by targeted analysis goals, in turn requiring more  
807 computing power with longer latency. After HLT selections, the event rate is reduced to 1  
808 kHz on average [\[61\]](#). Overall, the full trigger chain reduces the event rate for ATLAS by  
809 approximately a factor of  $4 \times 10^4$ .



# Chapter 4. Particle Reconstruction & Identification

Activity within the ATLAS detector are recorded as raw electronic signals, which can be utilized by ATLAS reconstruction software to derive physics objects for analysis. This chapter describes the reconstruction and identification of basic objects (e.g. interaction vertices, tracks, topological clusters of energy deposits) and subsequently of complex physics objects i.e. particles and particle signatures.

## 4.1 Primary reconstruction

### 4.1.1 Tracks

Charged particles traveling through the ATLAS detector deposit energy in different layers of the ID and MS. The ID track reconstruction software consists of two algorithm chains: inside-out and outside-in track reconstruction [62–64].

The inside-out algorithm is primarily used for the reconstruction of primary particles i.e. particles directly produced from  $pp$  collisions or decay products of short-lived particles. The process starts by forming space points from seeded hits in the silicon detectors within the pixel & SCT detectors. Hits further away from the interaction vertex are added to the track candidate using a combinatorial Kalman filter [65] pattern recognition algorithm. Track candidates are then fitted with a  $\chi^2$  filter [66] and loosely matched to a fixed-sized EM cluster. Successfully matched track candidates are re-fitted with a Gaussian-sum filter (GSF) [67], followed by a track scoring strategy to resolve fake tracks & hit ambiguity

between different tracks [68]. The track candidate is then extended to the TRT to form final tracks satisfying  $p_T > 400$  MeV. The outside-in algorithm handles secondary tracks mainly produced from long-lives particles or decays of primary particles by back-tracking from TRT segments, which are then extended inward to match silicon hits in the pixel and SCT detectors to form track reconstruction objects.

### 4.1.2 Vertices

Vertices represent the point of interaction or decay for particles within the ATLAS detector. Primary vertices (PVs) are defined as the point of collision for hard-scattering  $pp$  interactions, while secondary or displaced vertices result from particle decays occurring at a distance from its production point.

Reconstruction of PVs is crucial to accurately profile the kinematic information of an event and form a basis for subsequent reconstruction procedures. Primary vertex reconstruction occurs in two stages: vertex finding and vertex fitting [69]. The vertex finding algorithm uses the spatial coordinates of reconstructed tracks to form the seed for a vertex candidate. An adaptive vertex fitting algorithm [70] then iteratively evaluates track-vertex compatibility to estimate a new best vertex position. Less compatible tracks are down-weighted in each subsequent iteration, and incompatible tracks are removed and can be used for another vertex seed; the process is repeated until no further PV can be found. All reconstructed vertices without at least two matched tracks are considered invalid and discarded.

Secondary vertex reconstruction uses the Secondary Vertex Finder (SVF) algorithm [71] which is primarily designed to reconstruct  $b$ - and  $c$ -hadrons for flavor tagging purposes. The SVF aims to reconstruct one secondary vertex per jet and only considers tracks that

are matched to a two-track vertex and contained within a  $p_T$ -dependent cone around the jet axis. The tracks are then used to reconstruct a secondary vertex candidate using an iterative process similar to the PV vertex fitting procedure.

## Pile-up

At high luminosities, multiple interactions can be associated with one bunch crossing, resulting in many PVs. The effect is called pile-up, and usually result from soft QCD interactions. Pile-up can be categorized into two types: in-time pile-up, stemming from additional  $pp$  collisions in the same bunch crossing that is not the hard-scatter process; out-of-time pile-up, resulting from leftover energy deposits in the calorimeters from other bunch crossings [72].

### 4.1.3 Topological clusters

Topological clusters (topo-clusters) [73] consist of clusters of spatially related calorimeter cell signals. Topo-clusters are primarily used to reconstruct hadron- and jet-related objects in an effort to extract signal while minimizing electronic effects and physical fluctuations, and also allow for recovery of energy lost through bremsstrahlung or photon conversions. Cells with signal-to-noise ratio  $\varsigma_{\text{cell}}^{\text{EM}}$  passing a primary seed threshold are seeded into a dynamic topological cell clustering algorithm as part of a proto-cluster. Neighboring cells satisfying a cluster growth threshold are collected into the proto-cluster. If a cell is matched to two proto-clusters, the clusters are merged. Two or more local signal maxima in a cluster satisfying  $E_{\text{cell}}^{\text{EM}} > 500$  MeV suggest the presence of multiple particles in close proximity, and the cluster is split accordingly to maintain good resolution of the energy flow. The process continues iteratively until all cells with  $\varsigma_{\text{cell}}^{\text{EM}}$  above a principal cell filter level have been matched to a

875 cluster.

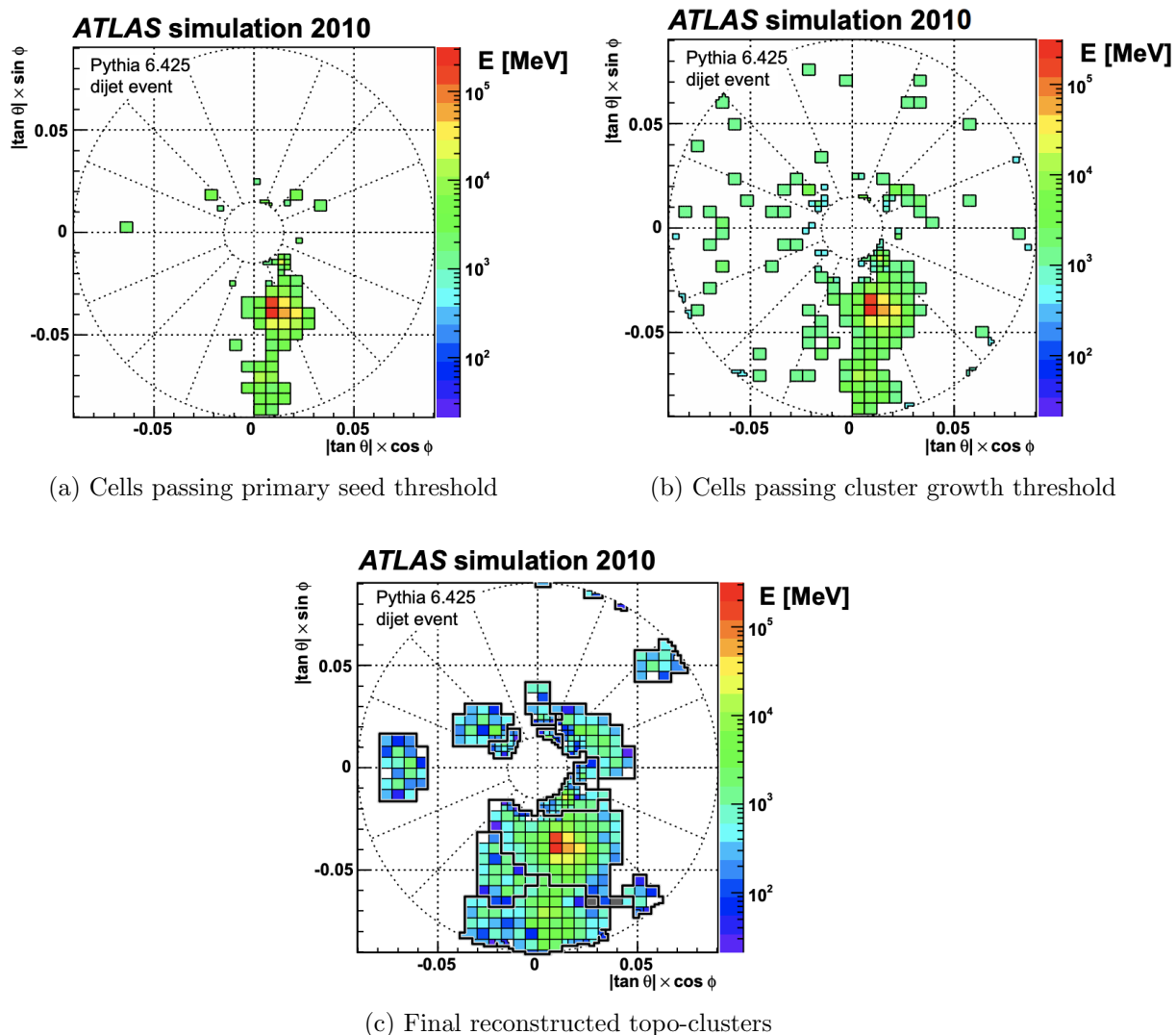


Figure 4.1: Stages of topo-cluster formation corresponding to each threshold. In (a), proto-clusters are seeded from cells with adequate signal significance  $\zeta_{\text{cell}}^{\text{EM}}$ . The clusters are further merged and split in (b) following a predefined cluster growth threshold. The process stops in (c) when all sufficiently significant signal hits have been matched to a cluster [73].

## 876 4.2 Jets

877 Quarks, gluons and other hadrons with non-neutral color charge cannot be observed  
 878 individually due to QCD color confinement, which forces a non-color-neutral hadron to

almost immediately undergo hadronization, producing a collimated cone of color-neutral hadrons defined as a jet. Jet signals can be used to reconstruct and indirectly observe the quarks or gluons from which the jet originated in the original hard-scattering process.

### 4.2.1 Jet reconstruction

The ATLAS jet reconstruction pipeline is largely carried out using a particle flow (PFlow) algorithm combined with an anti- $k_t$  jet clustering algorithm. The PFlow algorithm [74] utilizes topo-clusters along with information from both the calorimeter systems and the ID in order to make use of the tracker system’s advantages in low-energy momentum resolution and angular resolution. First, the energy from charged particles is removed from the calorimeter topo-clusters; then, it is replaced by particle objects created using the remaining energy in the calorimeter and tracks matched to topo-clusters. The ensemble of ”particle flow objects” and corresponding matched tracks are used as inputs for the iterative anti- $k_t$  algorithm [75].

The main components of the anti- $k_t$  algorithm involve the distance  $d_{ij}$  between two jet candidates  $i$  and  $j$ , and the distance  $d_{iB}$  between the harder jet candidate of the two (defined as  $i$ ) and the beamline  $B$ . If  $d_{ij} < d_{iB}$ , then the two jet candidates are combined and returned to the pool of candidates; otherwise, jet candidate  $i$  is considered a jet and removed from the pool. The distance  $d_{ij}$  is inversely proportional to a predefined radius parameter  $\Delta R$  in order to control reconstruction quality for small- $R$  and large- $R$  jets. This analysis uses  $\Delta R = 0.4$  to better handle heavily collimated small- $R$  jets resulting from parton showers.

The anti- $k_t$  jets so far have only been reconstructed at the EM level and need to be calibrated to match the energy scale of jets reconstructed at particle level. This is done via a MC-based jet energy scale (JES) calibration sequence, along with further calibrations

to account for pile-up effects and energy leakage. The full JES calibration sequence is shown in Figure 4.2. All calibration except origin correction are applied to the jet’s four-momentum i.e. jet  $p_T$ , energy and mass. Afterwards, a jet energy resolution (JER) [76] calibration step is carried out in a similar manner to JES to match the resolution of jets in dijet events. To further suppress pile-up effects, a neural-network based jet vertex tagger (NNJvt) discriminant was developed based on the previous jet vertex tagger (JVT) algorithm [72] and applied to low- $p_T$  reconstructed jets.

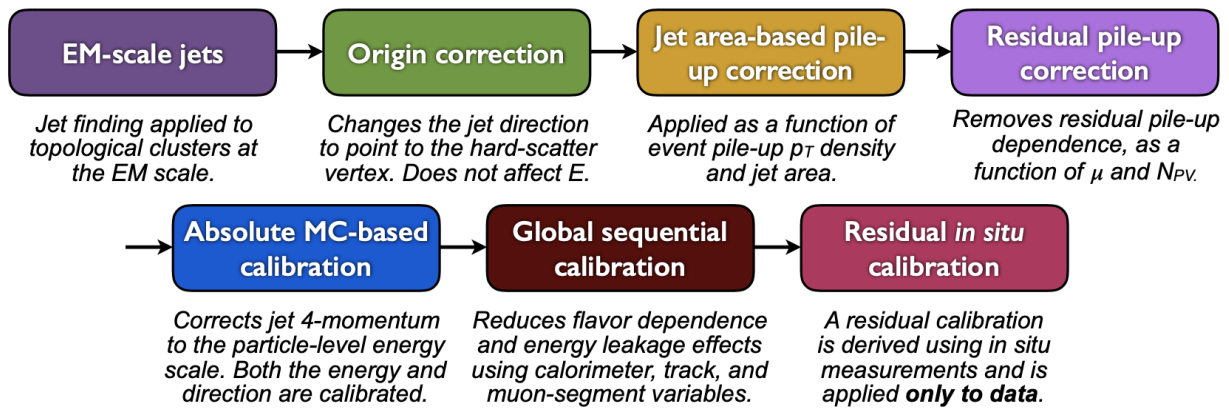


Figure 4.2: Jet energy scale calibration sequence for EM-scale jets [77].

## 4.2.2 Flavor tagging

Identifying and classifying hadronic jets are important tasks for ATLAS physics, for example analyses involving Higgs decays  $H \rightarrow b\bar{b}$  or top quarks. Flavor tagging or  $b$ -tagging is the process of identifying jets containing  $b$ -hadrons,  $c$ -hadrons, light-hadrons ( $uds$ -hadrons) or jets from hadronically decaying  $\tau$  leptons. Distinguishing  $b$ -jets is of particular interest due to their characteristically long lifetime ( $\tau \approx 1.5$  ps), displaced secondary decay vertex and high decay multiplicity.

Usage of  $b$ -tagging in this analysis is done via five operating points (OPs), corresponding

917 to 65%, 70%, 77%, 85% and 90%  $b$ -jet tagging efficiency  $\varepsilon_b$  in simulated  $t\bar{t}$  events, in order  
 918 from the loosest to tightest discriminant cut point. The OPs are defined by placing selections  
 919 on the tagger output to provide a predefined  $\varepsilon_b$  level; the selection cuts act as a variable  
 920 trade-off between  $b$ -tagging efficiency and  $b$ -jet purity i.e.  $c$ - or light-jet rejection. For this  
 921 analysis, a jet is considered  $b$ -tagged if it passes the 85% OP. The  $b$ -tagged jet is then  
 922 assigned a pseudo-continuous  $b$ -tagging (PCBT) score, which quantifies a jet's ability to  
 923 satisfy different OPs. The score can take integer values between 1 and 6, where a score of 6  
 924 is assigned to jets passing all OP thresholds; a score of 2 for jets that pass only the tightest  
 925 OP (90%); and a score of 1 for jets that pass no OP. A value of -1 is also defined for any jet  
 926 that does not satisfy  $b$ -tagging criteria.

## 927 GN2 $b$ -tagging algorithm

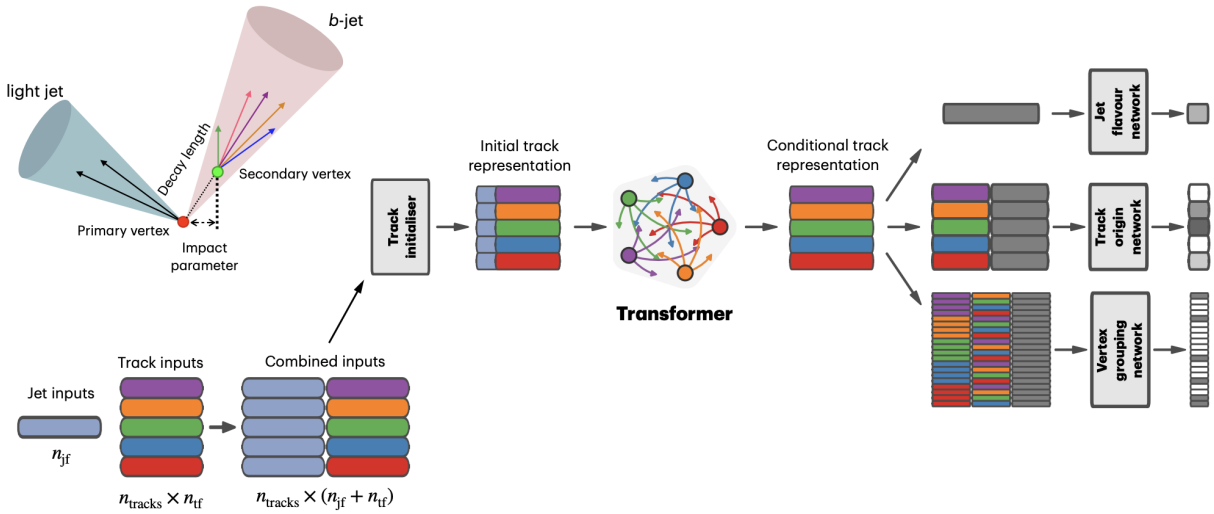


Figure 4.3: Overview of the GN2 architecture. The number of jet and track features are represented by  $n_{jf}$  and  $n_{tf}$  respectively. The global jet representation and track embeddings output by the Transformer encoder are used as inputs for three task-specific networks [78].

928 For this analysis,  $b$ -jets are identified and tagged with the GN2v01  $b$ -tagger [78]. The

GN2 algorithm uses a Transformer-based model [79] modified to incorporate domain knowl-  
 edge and additional auxiliary physics objectives: grouping tracks with a common vertex and  
 predicting the underlying physics process for a track. The network structure is shown in  
 Figure 4.3. The GN2  $b$ -tagger form the input vector by concatenating 2 jet variables and  
 19 track reconstruction variables (for up to 40 tracks), normalized to zero mean and unit  
 variance. The output consists of a track-pairing output layer of size 2, a track origin clas-  
 sification layer of 7 categories, and a jet classification layer of size 4 for the probability of  
 each jet being a  $b$ -,  $c$ -, light- or  $\tau$ -jet respectively. For  $b$ -tagging purpose, a discriminant is  
 defined using these four outputs

$$D_b = \ln \left( \frac{p_b}{f_c p_c + f_\tau p_\tau + (1 - f_c - f_\tau) p_{\text{light}}} \right) \quad (4.1)$$

where  $p_x$  is the probability of the jet being an  $x$ -jet as predicted by GN2, and  $f_c$ ,  $f_\tau$  are  
 tunable free parameters controlling balance between  $c$ - and light-jet rejection.

Simulated SM  $t\bar{t}$  and BSM  $Z'$  events from  $pp$  collisions were used as training and eval-  
 uation samples. In order to minimize bias, both  $b$ - and light-jet samples are re-sampled to  
 match  $c$ -jet distributions. Figure 4.4 shows the performance of GN2 compared to the previ-  
 ous convolutional neural network-based standard  $b$ -tagging algorithm DL1d, in terms of  $c$ -,  
 light- and  $\tau$ -jet rejection as a function of  $b$ -tagging efficiency. The network gives a factor of  
 1.5-4 improvement in experimental applications compared to DL1d [78], without dependence  
 on the choice of MC event generator or inputs from low-level flavor tagging algorithm.



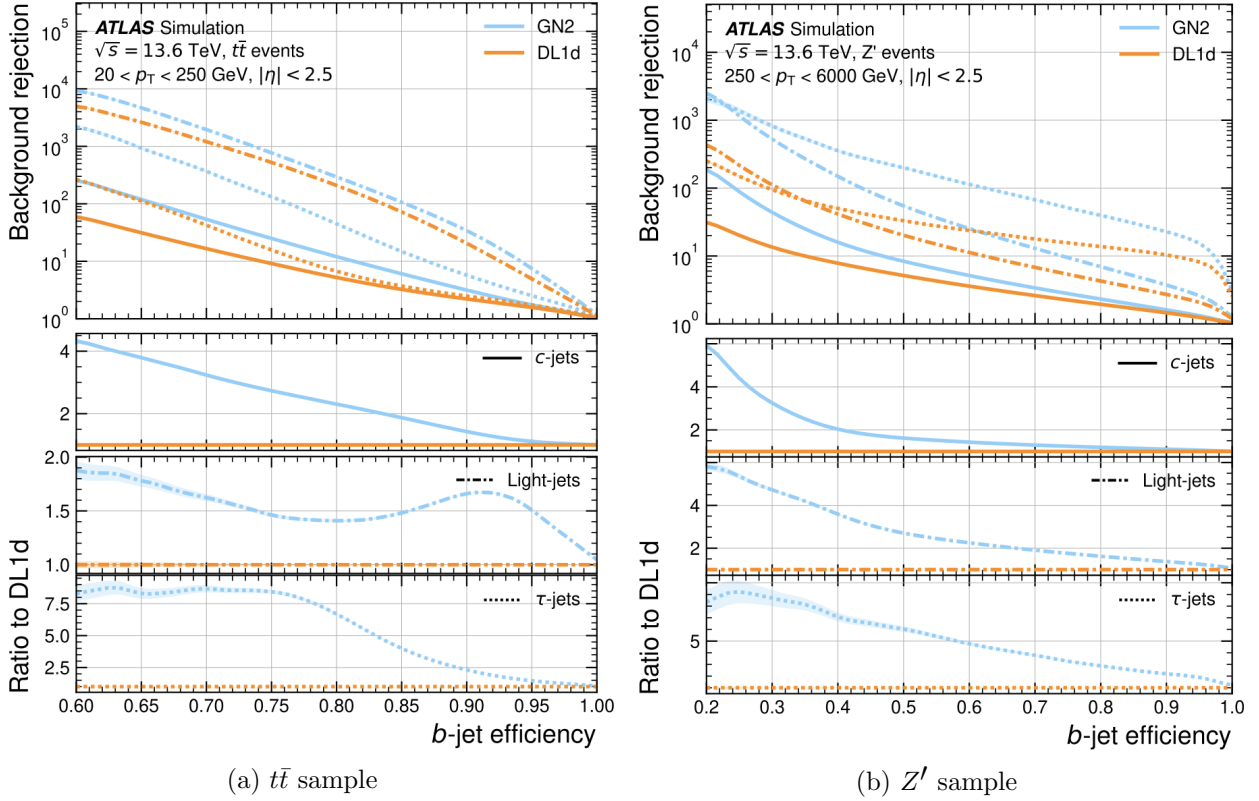


Figure 4.4: The  $c$ -, light- and  $\tau$ -jet rejection rate as a function of  $b$ -tagging efficiency for GN2 and DL1d using (a) jets in the  $t\bar{t}$  sample, and (b) jets in the  $Z'$  sample. The performance ratios of GN2 to DL1d are shown in the bottom panels [78].

## Efficiency calibration

Due to imperfect description of detector response and physics modeling effects in simulation, the  $b$ -tagging efficiency predicted by MC simulation  $\varepsilon_b^{\text{sim}}$  requires a correction factor to match the efficiency measured in collision data  $\varepsilon_b^{\text{data}}$ . The correction scale factors (SFs) are defined as  $\text{SF} = \varepsilon_b^{\text{data}} / \varepsilon_b^{\text{sim}}$  and are determined by data-to-MC calibration using samples enriched in dileptonic  $t\bar{t}$  decays [80]. The resulting SFs are applied to MC simulated jets individually.

## 4.3 Leptons

Lepton reconstruction in ATLAS involves electron and muon reconstruction since tau decays quickly, and depending on decay mode can be reconstructed using either jets or light leptons. Leptons can be classified into two categories: prompt leptons resulting from heavy particle decays and non-prompt leptons resulting from detector or reconstruction effects, or from heavy-flavor hadron decays.

### 4.3.1 Electrons

Electrons leave energy signature in the detector by interacting with the detector materials and losing energy in the form of bremsstrahlung photons. A bremsstrahlung photon can produce an electron-positron pair which can itself deposit signals in the detector, creating a cascade of particles that can leave multiple of either tracks in the ID or EM showers in the calorimeters, all of which are considered part of the same EM topo-cluster. Electron signal signature has three characteristic components: localized energy deposits in the calorimeters, multiple tracks in the ID and compatibility between the above tracks and energy clusters in the  $\eta \times \phi$  plane [81]. Electron reconstruction in ATLAS follows these steps accordingly.

Seed-cluster reconstruction and track reconstruction are performed sequentially in accordance with the iterative topo-clustering algorithm and track reconstruction method described in section 4.1. The seed-cluster and GSF-refitted track candidate not associated with a conversion vertex are matched to form an electron candidate. The cluster energy is then calibrated using multivariate techniques on data and simulation to match the original electron energy.

## Electron identification

Additional LH-based identification selections using ID and EM calorimeter information are implemented to further improve the purity of reconstructed electrons in the central region of the detector ( $|\eta| < 2.47$ ) [81]. The electron LH function is built with the signal being prompt electrons and background being objects with similar signature to prompt electrons i.e. hadronic jet deposits, photon conversions or heavy-flavor hadron decays. Three identification OPs are defined for physics analyses: *Loose*, *Medium* and *Tight*, optimized for 9 bins in  $|\eta|$  and 12 bins in  $E_T$  with each OP corresponding to a fixed efficiency requirement for each bin. For typical EW processes, the target efficiencies for *Loose*, *Medium* and *Tight* start at 93%, 88% and 80% respectively and increase with  $E_T$ . Similar to  $b$ -tagging OPs, the electron identification OPs represent a trade-off in signal efficiency and background rejection. The electron efficiency are estimated using tag-and-probe method on samples of  $J/\Psi \rightarrow ee$  and  $Z \rightarrow ee$  [81].

## Electron isolation

A characteristic distinction between prompt electrons and electrons from background processes is the relative lack of activity in both the ID and calorimeters within an  $\Delta\eta \times \Delta\phi$  area surrounding the reconstruction candidate. Calorimeter-based and track-based electron isolation variables [81] are defined to quantify the amount of activity around the electron candidate using topo-clusters and reconstructed tracks respectively.

Calorimeter-based isolation variables  $E_T^{\text{cone}XX}$  are computed by first summing the energy of topo-clusters with barycenters falling within a cone of radius  $\Delta R = \sqrt{(\Delta\eta)^2 + (\Delta\phi)^2} = XX/100$  around the direction of the electron candidate. The final isolation variables are

obtained by subtracting from the sum the energy belonging to the candidate electron at the core of the cone, then applying corrections for pile-up effects and energy leakage outside of the core. Similar to calorimeter-based variables, track-based isolation variables  $p_{\text{T}}^{\text{varconeXX}}$  are calculated by summing all track  $p_{\text{T}}$  within a cone of radius  $\Delta R$  around the electron candidate, minus the candidate's contribution. The cone radius is variable as a function of  $p_{\text{T}}$  and is described as

$$\Delta R \equiv \min \left( \frac{10}{p_{\text{T}}}, \Delta R_{\text{max}} \right), \quad (4.2)$$

where  $p_{\text{T}}$  is expressed in GeV and  $\Delta R_{\text{max}}$  is the maximum cone size, defined to account for closer proximity of decay products to the electron in high-momentum heavy particle decays. Four isolation operating points are implemented to satisfy specific needs by physics analyses: *Loose*, *Tight*, *HighPtCaloOnly* and *Gradient* [81].

## Electron charge misidentification

Charge misidentification is a crucial irreducible background, particularly for analyses with electron charge selection criteria. Electron charge is determined by the curvature of the associated reconstructed track, and misidentification of charge can occur via either an incorrect curvature measurement or an incorrectly matched track. Inaccurate measurement is more likely for high energy electrons due to the small curvature in track trajectories at high  $p_{\text{T}}$ , while track matching error usually results from bremsstrahlung pair-production generating secondary tracks in close proximity [81]. Suppression of this background is assisted via a boosted decision tree discriminant named the Electron Charge ID Selector (ECIDS) [82]. The addition of ECIDS removed 90% of electrons with incorrect charge while selecting 98%

of electrons with correct charge from electrons in  $Z \rightarrow ee$  events satisfying *Medium/Tight* identification and *Tight* isolation criteria.

### 4.3.2 Muons

Muons act as minimum-ionizing particles, leaving tracks in the MS or characteristics energy deposits in the calorimeter and can be reconstructed globally using information from the ID, MS and calorimeters. Five reconstruction strategies corresponding to five muon types [83] are utilized in ATLAS:

- Combined (CB): the primary ATLAS muon reconstruction method. Combined muons are first reconstructed using MS tracks then extrapolated to include ID tracks (outside-in strategy). A global combined track fit is performed on both MS and ID tracks.
- Inside-out combined (IO): complementary to CB reconstruction. IO muon tracks are extrapolated from ID to MS, then fitted with MS hits and calorimeter energy loss in a combined track fit.
- MS extrapolated (ME): ME muons are defined as muons with a MS track that cannot be matched to an ID track using CB reconstruction. ME muons allow extension of muon reconstruction acceptance to regions not covered by the ID ( $2.5 < |\eta| < 2.7$ )
- Segment-tagged (ST): ST muons are defined as a successfully matched ID track that satisfies tight angular matching criteria to at least one reconstructed MDT or CSC segment when extrapolated to the MS. MS reconstruction is used primarily when muons only crossed one layer of MS chambers.
- Calorimeter-tagged (CT): CT muons are defined as an ID track that can be matched to

energy deposits consistent with those of a minimum-ionizing particle when extrapolated through the calorimeter. CT reconstruction extends acceptance range to regions in the MS with sparse instrumentation ( $|\eta| < 0.1$ ) with a higher  $p_T$  threshold of 5 GeV, compared to the 2 GeV threshold used by other muon reconstruction algorithms due to large background contamination at the low  $p_T$  range of  $15 < p_T < 100$  GeV [84].

## Muon identification

Reconstructed muons are further filtered by identification criteria to select for high-quality prompt muons. Requirements include number of hits in the MS and ID, track fit properties and compatibility between measurements of the two systems. Three standard OPs (*Loose*, *Medium*, *Tight*) are defined to better match the needs of different physics analyses concerning prompt muon  $p_T$  resolution, identification efficiency and non-prompt muon rejection. The default identification OP for ATLAS physics is *Medium* which provides efficiency and purity suitable for a wide range of analyses while minimizing systematic uncertainties [83].

## Muon isolation

Muons from heavy particle decays are often produced in an isolated manner compared to muons from semileptonic decays, and is therefore an important tool for background rejection in many physics analyses. Muon isolation strategies are similar to that of electron in section 4.3.1, with track-based and calorimeter-based isolation variables. Seven isolation OPs are defined using either or both types of isolation variables [83].

## 4.4 Missing transverse momentum

Collisions at the LHC happen along the  $z$ -axis of the ATLAS coordination system between two particle beam of equal center-of-mass energy. By conservation of momentum, the sum of transverse momenta of outgoing particles should be zero. A discrepancy between measured momentum and zero would then suggest the presence of undetectable particles, which would consist of either SM neutrinos or some unknown BSM particles, making missing transverse momentum ( $E_{\text{T}}^{\text{miss}}$ ) an important observable to reconstruct. Reconstructing  $E_{\text{T}}^{\text{miss}}$  utilizes information from fully reconstructed leptons, photons, jets and other matched track-vertex objects not associated with a prompt object (soft signals), defined with respect to the  $x(y)$ -axis as

$$E_{x(y)}^{\text{miss}} = - \sum_{i \in \{\text{hard objects}\}} p_{x(y),i} - \sum_{j \in \{\text{soft signals}\}} p_{x(y),j}, \quad (4.3)$$

where  $p_{x(y)}$  is the  $x(y)$ -component of  $p_{\text{T}}$  for each particle [85]. The following observables can then be defined:

$$\begin{aligned} \mathbf{E}_{\text{T}}^{\text{miss}} &= (E_x^{\text{miss}}, E_y^{\text{miss}}), \\ E_{\text{T}}^{\text{miss}} &= |\mathbf{E}_{\text{T}}^{\text{miss}}| = \sqrt{(E_x^{\text{miss}})^2 + (E_y^{\text{miss}})^2}, \\ \phi^{\text{miss}} &= \tan^{-1}(E_y^{\text{miss}}/E_x^{\text{miss}}), \end{aligned} \quad (4.4)$$

1070 where  $E_T^{\text{miss}}$  represents the magnitude of the missing transverse energy vector  $\mathbf{E}_T^{\text{miss}}$ , and  
 1071  $\phi^{\text{miss}}$  its direction in the transverse plane. The vectorial sum  $\mathbf{E}_T^{\text{miss}}$  can be broken down into

$$\mathbf{E}_T^{\text{miss}} = - \underbrace{\sum_{\text{selected electrons}} \mathbf{p}_T^e - \sum_{\text{selected muons}} \mathbf{p}_T^\mu - \sum_{\text{accepted photons}} \mathbf{p}_T^\gamma - \sum_{\text{accepted } \tau\text{-leptons}} \mathbf{p}_T^\tau - \sum_{\text{accepted jets}} \mathbf{p}_T^{\text{jet}}}_{\text{hard term}} - \underbrace{\sum_{\text{unused tracks}} \mathbf{p}_T^{\text{track}}}_{\text{soft term}}. \quad (4.5)$$

1072 Two OPs are defined for  $E_T^{\text{miss}}$ , *Loose* and *Tight*, with selections on jet  $p_T$  and JVT criteria  
 1073 [86]. The *Tight* OP is used in this analysis; *Tight* reduces pile-up dependence of  $E_T^{\text{miss}}$   
 1074 by removing the phase space region containing more pile-up than hard-scatter jets, at the  
 1075 expense of resolution and scale at low pile-up,

## 1076 4.5 Overlap removal

1077 Since different objects are reconstructed independently, it is possible for the same de-  
 1078 tector signals to be used to reconstruct multiple objects. An overlap removal strategy is  
 1079 implemented to resolve ambiguities; the overlap removal process for this analysis applies  
 1080 selections in Table 4.1 sequentially, from top to bottom.

Table 4.1: Overlap removal process for this analysis, applied sequentially from top to bottom.

| Remove   | Keep     | Matching criteria  |
|----------|----------|--|
| Electron | Electron | Shared ID track, $p_{T,1}^e < p_{T,2}^e$                                   |
| Muon     | Electron | Shared ID track, CT muon   |
| Electron | Muon     | Shared ID track  |
| Jet      | Electron | $\Delta R < 0.2$   |
| Electron | Jet      | $\Delta R < 0.4$   |
| Jet      | Muon     | $(\Delta R < 0.2 \text{ or ghost-associated}) \ \& \ N_{\text{track}} < 3$ |
| Muon     | Jet      | $\Delta R < \min(0.4, 0.04 + 10\text{GeV}/p_T^\mu)$                        |



# Chapter 5. Data & Simulated Samples

## 5.1 Data samples

Data samples used in this analysis were collected by the ATLAS detector during Run 2 data-taking campaign between 2015-2018. The samples contain  $pp$  collisions at center-of-mass energy of  $\sqrt{s} = 13$  TeV with 25 ns bunch-spacing, which corresponds to an integrated luminosity of  $140 \text{ fb}^{-1}$  with an uncertainty of 0.83% [54]. The HLT trigger strategy is similar to that of previous  $t\bar{t}t\bar{t}$  observation analysis [36] and include single lepton and dilepton triggers. Calibration for di-muon and electron-muon triggers were not ready for the samples used in this analysis, and are therefore not included. Events are also required to contain at least one lepton matched to the corresponding object firing the trigger. Triggers used are summarized in Table 5.1.

## 5.2 Monte Carlo samples

Monte Carlo simulated samples are used to estimate signal acceptance before unblinding, profile the physics background for the analysis and to study object optimizations. Simulated samples for this analysis use are generated from ATLAS generalized MC20a/d/e samples for Run 2, using full detector simulation (FS) and fast simulation (AF3) to simulate detector response. MC samples used and simulation processes are summarized in Table 5.2

Table 5.1: Summary of all HLT triggers used in this analysis. Events are required to pass at least one trigger.

| Trigger                           | Data period |      |      |      |
|-----------------------------------|-------------|------|------|------|
|                                   | 2015        | 2016 | 2017 | 2018 |
| Single electron triggers          |             |      |      |      |
| HLT_e24_lhmedium_L1EM20VH         | ✓           | -    | -    | -    |
| HLT_e60_lhmedium                  | ✓           | -    | -    | -    |
| HLT_e120_lhloose                  | ✓           | -    | -    | -    |
| HLT_e26_lhtight_nod0_ivarloose    | -           | ✓    | ✓    | ✓    |
| HLT_e60_lhmedium_nod0             | -           | ✓    | ✓    | ✓    |
| HLT_e140_lhloose_nod0             | -           | ✓    | ✓    | ✓    |
| Di-electron triggers              |             |      |      |      |
| HLT_2e12_lhloose_L12EM10VH        | ✓           | -    | -    | -    |
| HLT_2e17_lhvloose_nod0            | -           | ✓    | -    | -    |
| HLT_2e24_lhvloose_nod0            | -           | -    | ✓    | ✓    |
| HLT_2e17_lhvloose_nod0_L12EM15VHI | -           | -    | -    | ✓    |
| Single muon trigger               |             |      |      |      |
| HLT_mu20_iloose_L1MU15            | ✓           | -    | -    | -    |
| HLT_mu40                          | ✓           | -    | -    | -    |
| HLT_mu26_ivarmedium               | -           | ✓    | ✓    | ✓    |
| HLT_mu50                          | -           | ✓    | ✓    | ✓    |

### 5.2.1 $t\bar{t}Z'$ signal samples

Signal  $t\bar{t}Z'$  samples were generated based on the simplified top-philic resonance model in section 2.2.1 where a color singlet vector resonance couples strongly to only top and antitop. Six  $Z'$  mass points were utilized for the generation of the signal sample: 1000, 1250, 1500, 2000, 2500 and 3000 GeV. The top- $Z'$  coupling  $c_t$  is chosen to be 1 for a narrow resonance peak, and the chirality angle  $\theta$  is chosen to be  $\pi/4$  to suppress loop production of  $Z'$ . The samples were then generated with MADGRAPH5\_AMC@NLO v.3.5.0 [87] at LO with the NNPDF3.1L0 [88] PDF set interfaced with PYTHIA8 [89] using A14 tune and NNPDF2.31o PDF set for parton showering and hadronization. The resonance width is calculated to be

Table 5.2: Summary of all Monte-Carlo samples used in this analysis.  $V$  refers to an EW ( $W^\pm/Z/\gamma^*$ ) or Higgs boson. Matrix element (ME) order refers to the order in QCD of the perturbative calculation. Tune refers to the underlying-event tune of the parton shower (PS) generator.

| Process                            | ME Generator      | ME Order                   | ME PDF             | PS      | Tune         | Sim. |
|------------------------------------|-------------------|----------------------------|--------------------|---------|--------------|------|
| <b>Signals</b>                     |                   |                            |                    |         |              |      |
| $t\bar{t}Z'$                       | MADGRAPH5_AMC@NLO | LO                         | NNPDF3.1LO         | PYTHIA8 | A14          | FS   |
| $t\bar{t}t\bar{t}$ and $t\bar{t}t$ |                   |                            |                    |         |              |      |
| $t\bar{t}t\bar{t}$                 | MADGRAPH5_AMC@NLO | NLO                        | NNPDF3.0nlo        | PYTHIA8 | A14          | AF3  |
|                                    | MADGRAPH5_AMC@NLO | NLO                        | MMHT2014 LO        | HERWIG7 | H7-UE-MMHT   | AF3  |
|                                    | SHERPA            | NLO                        | NNPDF3.0nnlo       | HERWIG7 | SHERPA       | FS   |
|                                    | MADGRAPH5_AMC@NLO | LO                         | NNPDF2.3lo         | PYTHIA8 | A14          | AF3  |
| $t\bar{t}V$                        |                   |                            |                    |         |              |      |
| $t\bar{t}H$                        | POWHEGBOX v2      | NLO                        | NNPDF3.0nlo        | PYTHIA8 | A14          | FS   |
|                                    | POWHEGBOX v2      | NLO                        | NNPDF3.0nlo        | HERWIG7 | H7.2-Default | FS   |
| $t\bar{t}(Z/\gamma^*)$             | MADGRAPH5_AMC@NLO | NLO                        | NNPDF3.0nlo        | PYTHIA8 | A14          | FS   |
|                                    | SHERPA            | NLO                        | NNPDF3.0nnlo       | SHERPA  | SHERPA       | FS   |
| $t\bar{t}W$                        | SHERPA            | NLO                        | NNPDF3.0nnlo       | SHERPA  | SHERPA       | FS   |
|                                    | SHERPA            | LO                         | NNPDF3.0nnlo       | SHERPA  | SHERPA       | FS   |
| $t\bar{t}$ and Single-Top          |                   |                            |                    |         |              |      |
| $t\bar{t}$                         | POWHEGBOX v2      | NLO                        | NNPDF3.0nlo        | PYTHIA8 | A14          | FS   |
| $t\bar{t}W$                        | POWHEGBOX v2      | NLO                        | NNPDF3.0nlo        | PYTHIA8 | A14          | FS   |
| $t(q)b$                            | POWHEGBOX v2      | NLO                        | NNPDF3.0nlo (s)    | PYTHIA8 | A14          | FS   |
|                                    |                   |                            | NNPDF3.0nlo 4f (t) |         |              | FS   |
| $tWZ$                              | MADGRAPH5_AMC@NLO | NLO                        | NNPDF3.0nlo        | PYTHIA8 | A14          | FS   |
| $tZ$                               | MADGRAPH5_AMC@NLO | LO                         | NNPDF3.0nlo 4f     | PYTHIA8 | A14          | FS   |
| $t\bar{t}VV$                       |                   |                            |                    |         |              |      |
| $t\bar{t}WW$                       | MADGRAPH5_AMC@NLO | LO                         | NNPDF3.0nlo        | PYTHIA8 | A14          | FS   |
| $t\bar{t}WZ$                       | MADGRAPH          | LO                         | NNPDF3.0nlo        | PYTHIA8 | A14          | AF3  |
| $t\bar{t}HH$                       | MADGRAPH          | LO                         | NNPDF3.0nlo        | PYTHIA8 | A14          | AF3  |
| $t\bar{t}WH$                       | MADGRAPH          | LO                         | NNPDF3.0nlo        | PYTHIA8 | A14          | AF3  |
| $t\bar{t}ZZ$                       | MADGRAPH          | LO                         | NNPDF3.0nlo        | PYTHIA8 | A14          | AF3  |
| $V(VV)+\text{jets}$ and $VH$       |                   |                            |                    |         |              |      |
| $V+\text{jets}$                    | SHERPA            | NLO                        | NNPDF3.0nnlo       | SHERPA  | SHERPA       | FS   |
| $VV+\text{jets}$                   | SHERPA            | NLO                        | NNPDF3.0nnlo       | SHERPA  | SHERPA       | FS   |
|                                    |                   | LO ( $gg \rightarrow VV$ ) |                    |         |              | FS   |
| $VVV+\text{jets}$                  | SHERPA            | NLO                        | NNPDF3.0nnlo       | SHERPA  | SHERPA       | FS   |
| $VH$                               | POWHEGBOX v2      | NLO                        | NNPDF3.0aznlo      | PYTHIA8 | A14          | FS   |

1107 4% for  $c_t = 1$ .

## 1108 5.2.2 Background samples

### 1109 SM $t\bar{t}t\bar{t}$ background

1110 Nominal SM  $t\bar{t}t\bar{t}$  sample was generated with MADGRAPH5\_AMC@NLO [87] at NLO  
1111 in QCD with the NNPDF3.0nlo [88] PDF set and interfaced with PYTHIA8.230 [89] using  
1112 A14 tune [90]. Decays for top quarks are simulated LO with MADSPIN [91, 92] to preserve  
1113 spin information, while decays for  $b$ - and  $c$ -hadrons are simulated with EVTGEN v1.6.0  
1114 [93]. The renormalization and factorization scales  $\mu_R$  and  $\mu_F$  are set to  $\sqrt{m^2 + p_T^2}/4$ , which  
1115 represents the sum of transverse mass of all particles generated from the ME calculation [94].  
1116 The ATLAS detector response was simulated with AF3. Additional auxiliary  $t\bar{t}t\bar{t}$  samples  
1117 are also generated to evaluate the impact of generator and PS uncertainties as shown in 5.2.

### 1118 $t\bar{t}W$ background

1119 Nominal  $t\bar{t}W$  sample was generated using SHERPA v2.2.10 [95] at NLO in QCD with  
1120 the NNPDF3.0nnlo [88] PDF with up to one extra parton at NLO and two at LO, which  
1121 are matched and merged with SHERPA PS based on Catani-Seymour dipole factorization  
1122 [96] using the MEPS@NLO prescription [97–100] and a merging scale of 30 GeV. Higher-  
1123 order ME corrections are provided in QCD by the OpenLoops 2 library [101–103] and in  
1124 EW from  $\mathcal{O}(\alpha^3) + \mathcal{O}(\alpha_S^2\alpha^2)$  (LO3 & NLO2) via two sets of internal event weights. An  
1125 alternative sample with only EW corrections at LO from  $\mathcal{O}(\alpha_S\alpha^3)$  (NLO3) diagrams were  
1126 also simulated with the same settings.

## 1127 $t\bar{t}(Z/\gamma^*)$ background

1128        Nominal  $t\bar{t}(Z/\gamma^*)$  samples were generated separately for different ranges of dilepton in-  
1129 variant mass  $m_{\ell\ell}$  to account for on-shell and off-shell  $Z/\gamma^*$  production. Sample for  $m_{\ell\ell}$   
1130 between 1 and 5 GeV was produced using MADGRAPH5\_AMC@NLO [87] at NLO with  
1131 the NNPDF3.0nnlo [88] PDF set, interfaced with PYTHIA8.230 [89] using A14 tune [90] and  
1132 NNPDF2.31o PDF set. Sample for  $m_{\ell\ell} < 5$  GeV was produced with SHERPA v2.2.10 [95]  
1133 at NLO using NNPDF3.0nnlo PDF set. To account for generator uncertainty, an alternative  
1134  $m_{\ell\ell} > 5$  GeV sample was generated with identical settings to the low  $m_{\ell\ell}$  sample. The  
1135 ATLAS detector response was simulated with full detector simulation (FS).

# Chapter 6. Analysis Strategy

## 6.1 Event selection

Events for the analysis first are preselected following a list of criteria to optimize for event quality and background rejection. The following criteria are applied sequentially from top to bottom along with cleaning and veto cuts

1. **Good Run List (GRL):** data events must be part of a predefined list of suitable runs and luminosity blocks [104].
2. **Primary vertex:** events must have at least one reconstructed vertex matched to 2 or more associated tracks with  $p_T > 500$  MeV.
3. **Trigger:** events must be selected by at least one trigger in Table 5.1.
4. **Kinematic selection:** events must have exactly two *Tight* leptons with the same electric charge, or at lease three *Tight* leptons of any charge. The leading lepton must have  $p_T > 28$  GeV, and all leptons must satisfy  $p_T > 15$  GeV.

Events are separated into two channels based on the number of leptons: same-sign dilepton (SS2L) for events with exactly two leptons of the same charge, or multilepton (ML) for events with three or more leptons. The channels are further separated into regions defined in section 6.2 to prepare for analysis.

Additional selections are applied based on the lepton flavors present. In the SS2L channel, if both leptons are electrons, the invariant mass  $m_{ll}$  must satisfy  $m_{ll} < 81$  GeV and  $m_{ll} > 101$  GeV to suppress background involving  $Z$ -bosons. In the ML channel, the same criteria must be satisfied for every opposite-sign same-flavor pair of leptons in an event.

### 6.1.1 Object definition

Table 6.1 shows the selections used in this analysis. Each selection comes with associated calibration scale factors (SFs) to account for discrepancies between data and MC simulation, and are applied multiplicatively to MC event weights.

Table 6.1: Summary of object selection criteria used in this analysis.

| Selection                                   | Electrons                                  | Muons                    | Jets   |
|---|--|--------------------------|--|
| $p_T$ [GeV]                                 | $> 15$<br>$p_T(l_0) > 28$                  | $> 15$                   | $> 20$   |
| $ \eta $                                    | $1.52 \leq  \eta  < 2.47$<br>$< 1.37$      | $< 2.5$                  | $< 2.5$  |
| Identification                              | <i>TightLH</i><br>pass ECIDS ( $ee/e\mu$ ) | <i>Medium</i>            | NNJvt <i>FixedEffPt</i><br>( $p_T < 60$ , $ \eta  < 2.4$ ) |
| Isolation                                   | <i>Tight_VarRad</i>                        | <i>PflowTight_VarRad</i> |  |
| Track-vertex assoc.                         |  |                          |  |
| $ d_0^{\text{BL}}(\sigma) $                 | $< 5$                                      | $< 3$                    |  |
| $ \Delta z_0^{\text{BL}} \sin \theta $ [mm] | $< 0.5$                                    | $< 0.5$                  |  |

### 6.1.2 Event categorization

Simulated events are categorized using truth information of leptons ( $e/\mu$ ) and their originating MC particle (mother-particle). Each lepton can be classified as either prompt or non-prompt, with non-prompt leptons further categorized for background estimation purposes. If an event contains only prompt leptons, the event is classified as its corresponding process. If the event contains one non-prompt lepton, the event is classified as the corresponding type of the non-prompt lepton. If the event contains more than one non-prompt lepton, the event is classified as other.

- **Prompt:** if the lepton originates from  $W/Z/H$  boson decays, or from a mother-particle created by a final state photon.

- **Non-prompt:**

- **Charge-flip ( $e$  only):** if the reconstructed charge of the lepton differs from that of the first mother-particle.

- **Material conversion ( $e$  only):** if the lepton originated from a photon conversion and the mother-particle is an isolated prompt photon, non-isolated final state photon, or heavy boson.

- **$\gamma^*$ -conversion ( $e$  only):** if the lepton originated from a photon conversion and the mother-particle is a background electron.

- **Heavy flavor decay:** if the lepton originated from a  $b$ - or  $c$ -hadron.

- **Fake:** if the lepton originated from a light- or  $s$ -hadron, or if the truth type of the lepton is hadron.

- **Other:** any lepton that does not belong to one of the above categories.

## 6.2 Analysis regions

Events are selected and categorized into analysis regions belonging to one of two types: control regions (CRs) enriched in background events, and signal regions (SRs) enriched in signal events. This allows for the examination and control of backgrounds and systematic uncertainties, as well as study of signal sensitivities. The signal is then extracted from the SRs with a profile LH fit using all regions. The full selection criteria for each region are summarized in Table 6.2.



Table 6.2: Definitions of signal, control and validation regions (VR) used in this analysis.  $N_{\text{jets}}$  and  $N_b$  refers to the number of jets and number of  $b$ -tagged jets respectively.  $\ell_1$  refers to the leading lepton,  $\ell_2$  refers to the subleading lepton and so on.  $H_T$  refers to the  $p_T$  scalar sum of all leptons and jets in the event.  $m_{\ell\ell}$  refers to the dilepton invariant mass, which must not coincide with the  $Z$ -boson mass range of 81-101 GeV for SS2L+3L events.

| Region                          | Channel               | $N_{\text{jets}}$ | $N_b$    | Other selections  | Fitted variable                 |
|---------------------------------|-----------------------|-------------------|----------|---|---------------------------------|
| CR Low $m_{\gamma^*}$           | SS $e\ell$            | [4, 6)            | $\geq 1$ | $\ell_1/\ell_2$ is from virtual photon decay<br>$\ell_1 + \ell_2$ not from material conversion  | event yield                     |
| CR Mat. Conv.                   | SS $e\ell$            | [4, 6)            | $\geq 1$ | $\ell_1/\ell_2$ is from material conversion   | event yield                     |
| CR HF $\mu$                     | $\ell\mu\mu$          | $\geq 1$          | 1        | $\ell_1 + \ell_2$ not conversion candidates<br>$100 < H_T < 300$ GeV<br>$E_T^{\text{miss}} > 35$ GeV<br>total charge = $\pm 1$            | $p_T(\ell_3)$                   |
| CR HF $e$                       | $e\ell\ell$           | $\geq 1$          | 1        | $\ell_1 + \ell_2$ not conversion candidates<br>$100 < H_T < 275$ GeV<br>$E_T^{\text{miss}} > 35$ GeV<br>total charge = $\pm 1$            | $p_T(\ell_3)$                   |
| CR $t\bar{t}W^+$                | SS $\ell\mu$          | $\geq 4$          | $\geq 2$ | $ \eta(e)  < 1.5$<br>for $N_b = 2$ : $H_T < 500$ GeV or $N_{\text{jets}} < 6$<br>for $N_b \geq 3$ : $H_T < 500$ GeV<br>total charge $> 0$ | $N_{\text{jets}}$               |
| CR $t\bar{t}W^-$                | SS $\ell\mu$          | $\geq 4$          | $\geq 2$ | $ \eta(e)  < 1.5$<br>for $N_b = 2$ : $H_T < 500$ GeV or $N_{\text{jets}} < 6$<br>for $N_b \geq 3$ : $H_T < 500$ GeV<br>total charge $< 0$ | $N_{\text{jets}}$               |
| CR 1b(+)                        | SS2L+3L               | $\geq 4$          | 1        | $\ell_1 + \ell_2$ not from material conversion<br>$H_T > 500$ GeV<br>total charge $> 0$   | $N_{\text{jets}}$               |
| CR 1b(-)                        | SS2L+3L               | $\geq 4$          | 1        | $\ell_1 + \ell_2$ not from material conversion<br>$H_T > 500$ GeV<br>total charge $< 0$   | $N_{\text{jets}}$               |
| VR $t\bar{t}Z$                  | 3L $\ell^\pm\ell^\mp$ | $\geq 4$          | $\geq 2$ | $m_{\ell\ell} \in [81, 101]$ GeV  | $N_{\text{jets}}, m_{\ell\ell}$ |
| VR $t\bar{t}W + 1b$             | SS2L+3L               |                   |          | CR $t\bar{t}W^\pm$    CR 1b( $\pm$ )  | $N_{\text{jets}}$               |
| VR $t\bar{t}W + 1b + \text{SR}$ | SS2L+3L               |                   |          | CR $t\bar{t}W^\pm$    CR 1b( $\pm$ )    SR  | $N_{\text{jets}}$               |
| SR                              | SS2L+3L               | $\geq 6$          | $\geq 2$ | $H_T > 500$ GeV<br>$m_{\ell\ell} \notin [81, 101]$ GeV  | $H_T$                           |

### 6.2.1 Signal regions

All events selected for the SR must satisfy the following criteria:

- Contains 6 or more jets, with at least 2 jets  $b$ -tagged at the 85% OP.
- Scalar sum of the transverse momenta of all leptons and jets  $H_T > 500$  GeV.
- Dilepton invariant mass  $m_{\ell\ell}$  does not coincide with the  $Z$ -boson mass range of  $81 - 101$  GeV

The SR is further divided into sub-regions by the number of  $b$ -jets and leptons as shown in Table 6.3 to further study signal behavior and improve sensitivity.

Table 6.3: Definitions of SR sub-regions. Events are sorted into different sub-regions based on the number of  $b$ -tagged jets and leptons present.

| Sub-region | Selection criteria |              |
|------------|--------------------|--------------|
|            | $b$ -jets          | leptons      |
| SR 2b2l    | $N_b = 2$          | $N_l = 2$    |
| SR 2b3l4l  | $N_b = 2$          | $N_l \geq 3$ |
| SR 3b2l    | $N_b = 3$          | $N_l = 2$    |
| SR 3b3l4l  | $N_b = 3$          | $N_l \geq 3$ |
| SR 4b      | $N_b \geq 4$       |              |

### 6.2.2 Control regions

Control regions are defined for each background to be enriched in the targeted process, in order to maximize the background's purity and minimize contamination from other sources within the region. This helps to constrain and reduce correlation between background normalization factors in the final fit. Fit variables and selection criteria are determined via

optimization studies performed on CRs that aimed to achieve the largest discriminating power possible between the target background and other event types.

### **$t\bar{t}W$ background CRs**

Theoretical modeling for  $t\bar{t}W$  +jets background in the phase space of this analysis suffers from large uncertainties, especially at high jet multiplicities [105]. A data-driven method was employed in a similar manner to the SM  $t\bar{t}t\bar{t}$  observation analysis [36] to mitigate this effect, and are described in further details in section 6.3.3. The method necessitates the definition of two groups of dedicated CRs to estimate the flavor composition and normalization of  $t\bar{t}W$  +jets background: CR  $t\bar{t}W$  +jets to constrain flavor composition, and CR 1b to constrain the jet multiplicity spectrum. These are further split into CR  $t\bar{t}W^\pm$  and CR 1b( $\pm$ ) due to the pronounced asymmetry in  $t\bar{t}W$  production from  $pp$  collisions, with  $t\bar{t}W^+$  being produced at approximately twice the rate of  $t\bar{t}W^-$  [106].

Events in CR  $t\bar{t}W^\pm$  are required to contain at least two  $b$ -tagged jets similar to the SR to determine the  $t\bar{t}W$  normalization within an SR-related phase space. Orthogonality with SR is ensured by requiring  $H_T < 500$  GeV or  $N_{\text{jets}} < 6$  when  $N_b = 2$ , and  $H_T < 500$  GeV when  $N_b \geq 3$ . Events in CR 1b( $\pm$ ) are required to have  $H_T > 500$  GeV and at least four jets to encompass events with high  $N_{\text{jets}}$ , which can be used to determine the  $t\bar{t}W$  jet multiplicity spectrum for fitting  $a_{0,1}$ . The selection criteria also include exactly one  $b$ -tagged jet to maintain orthogonality with the SR.

### **Fake/non-prompt background CRs**

Selection for fake/non-prompt CRs are determined using the `DFCommonAddAmbiguity` (DFCAA) variable for reconstructed leptons.

Table 6.4: List of possible assigned values for DFCAA.

| DFCAA | Description                          |
|-------|--------------------------------------|
| -1    | No 2nd track found                   |
| 0     | 2nd track found, no conversion found |
| 1     | Virtual photon conversion candidate  |
| 2     | Material conversion candidate        |

Four CRs are defined for the three main types of fake/non-prompt backgrounds in the analysis - virtual photon ( $\gamma^*$ ) conversion, photon conversion in detector material (Mat. Conv.) and heavy flavor decays (HF). The full selection criteria for fake/non-prompt CRs are shown in Table 6.2.

- **Low  $m_\gamma^*$ :** events with an  $e^+e^-$  pair produced from a virtual photon.

Events are selected if there are two same-sign leptons with at least one electron reconstructed as an internal conversion candidate, and neither reconstructed as a material conversion candidate.

- **Mat. Conv.:** events with an electron originating from photon conversion within the detector material.

Events are selected if there are two same-sign leptons with at least one electron reconstructed as a material conversion candidate.

- **HF  $e(\mu)$ :** events with a reconstructed non-prompt lepton from semi-leptonic decays of  $b$ - and  $c$ -hadrons (heavy flavor decays).

Events are selected if there are three leptons with at least two electrons (muons), with no lepton reconstructed as a conversion candidate.

## 6.3 Background estimation

Background in this analysis consist of SM processes that can result in a signal signature similar to a  $t\bar{t}t\bar{t}$  SSML final state and can be divided into two types, reducible and irreducible. Reducible background consists of processes that do not result in a SSML final state physically, but are reconstructed as such due to detector and reconstruction effects. Three main types of reducible background are considered: charge misidentification (QmisID) and fake/non-prompt leptons. Fake/non-prompt lepton backgrounds are estimated using template fitting method, where MC simulations are normalized to their theoretical SM cross section via floating normalization factors (NFs) constrained by the corresponding CRs. Lepton charge misidentification background contaminates the SR with opposite-sign events, and are estimated using a data-driven method described in section 6.3.2 along with ECIDS described in section 4.3.1.

Irreducible background consists of SM processes that result in SSML final states physically with all leptons being prompt. The dominating background in the SR are SM  $t\bar{t}t\bar{t}$ ,  $t\bar{t}W$ ,  $t\bar{t}Z$ , and  $t\bar{t}H$  production with smaller contributions from  $VV$ ,  $VVV$ ,  $VH$  and rarer processes like  $t\bar{t}VV$ ,  $tWZ$ ,  $tZq$  and  $t\bar{t}t$ . Most irreducible backgrounds are estimated using template fitting method, with the exception of  $t\bar{t}W$  +jets background. The  $t\bar{t}W$  +jets background is instead given four dedicated CRs, and estimated using a data-driven method with a fitted function parameterized in  $N_{\text{jets}}$ . All CRs and SR are included in the final profile LH fit to data.

### 6.3.1 Template fitting for fake/non-prompt estimation

Template fitting method is a semi-data-driven approach [105] that estimates fake/non-prompt background distributions by fitting the MC kinematic profile of background processes arising from fake/non-prompt leptons to data. Each of the four main sources of fake/non-prompt leptons is assigned a free-floating NF constrained by a CR enriched with the corresponding background resulting in four  $\text{NF}_{\text{HF } e}$ ,  $\text{NF}_{\text{HF } \mu}$ ,  $\text{NF}_{\text{Mat. Conv.}}$  and  $\text{NF}_{\text{Low } m_{\gamma^*}}$ . The NFs are fitted simultaneously with the signal.

### 6.3.2 Charge misidentification data-driven estimation

The  $ee$  and  $e\mu$  channels in the SS2L region are contaminated with opposite-sign (OS) dilepton events with one misidentified charge. Charge misidentification (QmisID) largely affects electrons due to muons' precise curvature information using ID and MS measurements and low bremsstrahlung rate. The charge flip rates are significant at higher  $p_T$  and varies with  $|\eta|$  which is proportional to the amount of detector material the electron interacted with.

The charge flip probability  $\epsilon$  is estimated in this analysis with a data-driven method [107] using a sample of  $Z \rightarrow e^+e^-$  events with additional constraints on the invariant mass  $m_{ee}$  to be within 10 GeV of the  $Z$ -boson mass. The  $Z$ -boson mass window is defined to be within  $4\sigma$  to include most events within the peak, and is determined by fitting the  $m_{ee}$  spectrum of the two leading electrons to a Breit-Wigner function, resulting in a range of [65.57, 113.49] for SS events and [71.81, 109.89] for OS events. Background contamination near the peak is assumed to be uniform and subtracted using a sideband method. Since the  $Z$ -boson decay products consist of a pair of opposite-sign electrons, all same-sign electron

1283 pairs are considered affected by charge misidentification.

1284 Let  $N_{ij}^{\text{SS}}$  be the number of events with SS electrons with the leading electron in the  
 1285  $i^{\text{th}}$  2D bin in  $(p_{\text{T}}, |\eta|)$  and the sub-leading electron in the  $j^{\text{th}}$  bin. Assuming the QmisID  
 1286 probabilities of electrons in an event are uncorrelated,  $N_{ij}^{\text{SS}}$  can be estimated as

$$N_{ij}^{\text{SS}} = N_{ij}^{\text{tot}} [\epsilon_i(1 - \epsilon_j) + \epsilon_j(1 - \epsilon_i)], \quad (6.1)$$

1287 where  $N_{ij}^{\text{tot}}$  is the total number of events in the  $i^{\text{th}}$  and  $j^{\text{th}}$  bin regardless of charge, and  
 1288  $\epsilon_{i(j)}$  is the QmisID rate in the  $i^{\text{th}}(j^{\text{th}})$  bin. Assuming  $N_{ij}^{\text{SS}}$  follows a Poisson distribution  
 1289 around the expectation value  $\bar{N}_{ij}^{\text{SS}}$ , the  $(i, n)^{\text{th}}$  rate  $\epsilon$  can be estimated by minimizing a  
 1290 negative-LLH function parameterized in  $p_{\text{T}}$  and  $|\eta|$ ,

$$\begin{aligned} -\ln(\mathcal{L}(\epsilon|N_{\text{SS}})) &= -\ln \prod_{ij} \frac{(N_{ij}^{\text{tot}})^{N_{ij}^{\text{SS}}} \cdot e^{-N_{ij}^{\text{tot}}}}{N_{ij}^{\text{SS}}!} \\ &= -\sum_{ij} \left[ N_{ij}^{\text{SS}} \ln(N_{ij}^{\text{tot}}(\epsilon_i(1 - \epsilon_j) + \epsilon_j(1 - \epsilon_i))) - N_{ij}^{\text{tot}}(\epsilon_i(1 - \epsilon_j) + \epsilon_j(1 - \epsilon_i)) \right]. \end{aligned} \quad (6.2)$$

1291 The QmisID rates are then calculated separately for SR and CRs with different electron  
 1292 definitions i.e. CR Low  $m_{\gamma^*}$ , CR Mat. Conv., CR  $t\bar{t}W^{\pm}$ , using events from data after  
 1293 applying region-specific lepton selections and ECIDS. The events are required to satisfy  
 1294 SS2L kinematic selections but contains OS electrons. The following weight is applied to OS  
 1295 events to correct for misidentified SS events within the region,

$$w = \frac{\epsilon_i + \epsilon_j - 2\epsilon_i\epsilon_j}{1 - \epsilon_i - \epsilon_j + 2\epsilon_i\epsilon_j}. \quad (6.3)$$

1296 The QmisID rates calculated for SR and CR  $t\bar{t}W$  are shown in Figure 6.1

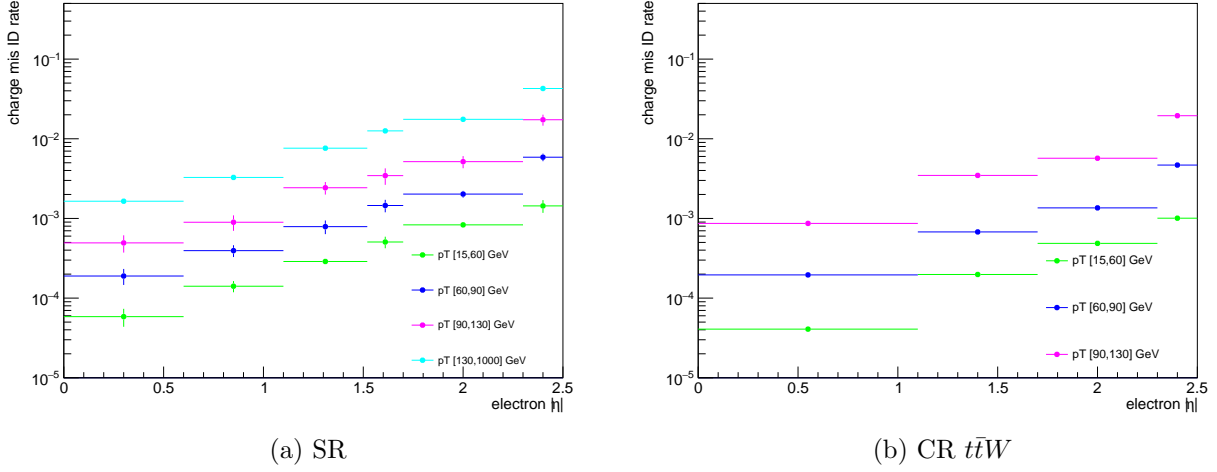


Figure 6.1: Charge flip rate calculated for SR and CR  $t\bar{t}W$  in bins of  $|\eta|$  and  $p_T$ .

1297 The QmisID rates obtained after applying  $w$  contain a dependency on jet multiplicity  
 1298 and are underestimated at higher  $N_{\text{jets}}$ . This dependency affect the SR which require events  
 1299 with  $\geq 6$  jets, and is corrected by applying a correction factor  $\text{SF}_{i,n} = \epsilon_{i,n}/\epsilon_{i,N}$  where  $N$  is  
 1300 the inclusive bin containing all  $N_{\text{jets}}$  and  $\epsilon_{i,n}$  is the QmisID rate obtained from Equation 6.2  
 1301 in the  $(i, n)^{\text{th}}$  2D bin in  $(p_T, N_{\text{jets}})$ . Jet multiplicity and consequently the obtained SFs are  
 1302 assumed to be independent of  $|\eta|$ .

### 1303 6.3.3 $t\bar{t}W$ background data-driven estimation

1304 Previously,  $t\bar{t}W$  background in  $t\bar{t}t\bar{t}$  final state analysis was handled by assigning large  
 1305 ad-hoc systematic uncertainties to  $t\bar{t}W$  events with 7 or more jets [108]. A semi-data-driven  
 1306 method [109] was shown to be effective in the SM  $t\bar{t}t\bar{t}$  observation analysis [36] by improving  
 1307  $t\bar{t}W$  modeling, especially in the showering step and switching  $t\bar{t}W$  systematic uncertainties  
 1308 from predominantly modeling to statistical.



The data-driven method applies correction factors obtained from a fitted function parameterized in  $N_{\text{jets}}$  to  $t\bar{t}W$  MC kinematic distributions. The QCD scaling patterns [110] can be represented by ratio of successive exclusive jet cross-sections

$$R_{(n+1)/n} = \frac{\sigma_{n+1}}{\sigma_n} = e^{-b} + \frac{\bar{n}}{n+1} = a_0 + \frac{a_1}{1+(j-4)}, \quad (6.4)$$

where  $a_{0(1)}$  and  $b$  are constants,  $n$  is the number of jets in addition to the hard process,  $j$  is the inclusive number of jets, and  $\bar{n}$  is the expectation value for the Poisson distribution of exclusive jet cross-section at jet multiplicity  $n$ . The  $t\bar{t}W$  ME for SS2L events gives 4 jets in the hard process, so  $n$  is defined starting from the 5<sup>th</sup> jets and the inclusive number of jets  $j = n + 4$ . The two terms in Equation 6.4 correspond to staircase and Poisson scaling in cross section between successive jet multiplicities and are sensitive to high and low jet multiplicity events respectively [110]. The scaling pattern can then be reparameterized in  $a_0$  and  $a_1$  to obtain the  $t\bar{t}W$  yield at  $j' \equiv j + 1$  jets

$$\text{Yield}_{t\bar{t}W(j')} = \text{Yield}_{t\bar{t}W(N_{\text{jets}}=4)} \times \prod_{j=4}^{j'-1} \left( a_0 + \frac{a_1}{1+(j-4)} \right) \quad (6.5)$$

with  $j \geq 4$ . The  $t\bar{t}W$  yield in the 4-jet bin can be represented by a NF applied to  $t\bar{t}W$  MC simulation

$$\text{Yield}_{t\bar{t}W(N_{\text{jets}}=4)} = \text{NF}_{t\bar{t}W(N_{\text{jets}}=4)} \times \text{MC}_{t\bar{t}W(N_{\text{jets}}=4)}. \quad (6.6)$$

To account for the asymmetry in  $t\bar{t}W^+$  and  $t\bar{t}W^-$  cross-sections,  $\text{NF}_{t\bar{t}W(N_{\text{jets}}=4)}$  is further split into  $\text{NF}_{t\bar{t}W^\pm(N_{\text{jets}}=4)}$  assuming the scaling is the same for both processes. Both NFs are left free-floating to constrain  $t\bar{t}W$  yields in the 4-jet bin within CR 1b(+) and CR 1b(-).

1325 The final  $N_{\text{jets}}$ -parameterized function can then be represented by  $\text{NF}_{t\bar{t}W(j')}$  as

$$\text{NF}_{t\bar{t}W(j')} = \left( \text{NF}_{t\bar{t}W^+(N_{\text{jets}}=4)} + \text{NF}_{t\bar{t}W^-(N_{\text{jets}}=4)} \right) \times \prod_{j=4}^{j'-1} \left( a_0 + \frac{a_1}{1+(j-4)} \right). \quad (6.7)$$

1326 The normalization is calculated and applied separately for each sub-sample of  $t\bar{t}W^+$  and  
 1327  $t\bar{t}W^-$  in a  $N_{\text{jets}}$  bin for  $4 \leq N_{\text{jets}} < 10$ . Due to small contributions in the CRs, events with  
 1328  $N_{\text{jets}} < 4$  and  $N_{\text{jets}} \geq 10$  are not normalized with this scheme. Instead,  $N_{\text{jets}} < 4$  events are  
 1329 fitted by propagating normalization in the 4-jet bin without additional shape correction. The  
 1330 correction factor for  $t\bar{t}W$  events with  $N_{\text{jets}} \geq 10$  is obtained by summing up the overflow  
 1331 from  $N_{\text{jets}} = 10$  to  $N_{\text{jets}} = 12$ , described as  $\sum_{j'=10}^{12} \prod_{j=4}^{j'-1} \left( a_0 + \frac{a_1}{1+(j-4)} \right)$ . Events with  
 1332  $N_{\text{jets}} \geq 13$  are negligible and are not included in the sum.

1333 The four regions, CR  $t\bar{t}W^\pm$  and CR 1b( $\pm$ ), are constructed to fit  $\text{NF}_{t\bar{t}W^\pm(N_{\text{jets}}=4)}$  and  
 1334 the scaling parameters  $a_{0(1)}$ , as well as validating the parameterization. Assuming the  $N_{\text{jets}}$   
 1335 distribution of  $t\bar{t}W$  is similar across bins of  $N_{b\text{-jets}}$ , a fitted  $N_{\text{jets}}$  distribution in CR 1b( $\pm$ )  
 1336 can be used to describe the  $t\bar{t}W$  parameterization at higher  $N_{\text{jets}}$ .

# Chapter 7. Systematic Uncertainties

Physics analysis inherently incurs uncertainties in the form of statistical and systematic uncertainties, depending on the source. Statistical uncertainties occur in this analysis from sample size of collected data and simulated MC samples, and from the maximizing of the LH function. Systematic uncertainties depend on identifiable sources in the analysis i.e. from detector and reconstruction effects (experimental uncertainties) or theoretical modeling (theoretical uncertainties). Systematic uncertainties are represented as nuisance parameters (NPx) in the profile LH fit. During the fit, systematic uncertainties with negligible impact on the final results can be pruned to simplify the statistical model and reduce computational complexity. This section outlines all uncertainties considered in this analysis.

## 7.1 Experimental uncertainties

### 7.1.1 Luminosity & pile-up reweighting

Uncertainty on the integrated luminosity of the 2015-2018 Run 2 data set is 0.83% [54], obtained by the LUCID-2 detector [111] for the primary luminosity measurements and complemented by the ID and calorimeters. Pile-up was modeled in MC and calibrated to data through pile-up reweighting, resulting in a set of calibration SFs and associated uncertainties.

### 7.1.2 Leptons

In general, calibrating MC simulations to match performance in data incurs uncertainties associated obtaining the MC-to-data calibration SFs, which are in turn propagated to observables in the analysis. The data-to-MC calibration of trigger, reconstruction, identification

Table 7.1: Summary of the experimental systematic uncertainties considered in this analysis.

| Systematic uncertainty  | Components |
|---|------------|
| <b>Event</b>  |            |
| Luminosity  | 1          |
| Pile-up reweighting   | 1          |
| <b>Electrons</b>  |            |
| Trigger efficiency  | 1          |
| Reconstruction efficiency <sup>†</sup>                            | 1          |
| Identification efficiency <sup>†</sup>                            | 1          |
| Isolation efficiency <sup>†</sup>                                 | 1          |
| Energy scale  | 1          |
| Energy resolution   | 1          |
| Charge identification (ECIDS) efficiency <sup>†</sup>             | 1          |
| <b>Muons</b>  |            |
| Trigger efficiency  | 2          |
| Track-to-vertex association efficiency                            | 2          |
| Reconstruction/identification efficiency                          | 2          |
| Low- $p_T$ ( $< 15$ GeV) reconstruction/identification efficiency | 2          |
| Isolation efficiency  | 2          |
| Charge-independent momentum scale                                 | 1          |
| Charge-dependent momentum scale                                   | 4          |
| Energy resolution (CB)  | 1          |
| Energy resolution (ID & MS) <sup>†</sup>                          | 2          |
| <b>Jets</b>   |            |
| JES effective NP  | 15         |
| JES $\eta$ intercalibration                                       | 3          |
| JES flavor composition  | 2          |
| JES flavor response   | 1          |
| JES pile-up   | 4          |
| JES punch-through (FS/AF3)  | 2          |
| JES non-closure   | 1          |
| JES high- $p_T$ single particle                                   | 1          |
| JES $b$ -jet response   | 1          |
| JER effective NP  | 12         |
| JER data/MC (FS/AF3)  | 2          |
| JVT efficiency  | 1          |
| GN2v01 $b$ -tagging efficiency                                    | 85         |
| GN2v01 $c$ -tagging efficiency                                    | 56         |
| GN2v01 light-tagging efficiency                                   | 42         |
| $E_T^{\text{miss}}$ <b>track-based soft terms</b>                 |            |
| Transversal resolution  | 1          |
| Longitudinal resolution   | 1          |
| Longitudinal energy scale   | 1          |

<sup>†</sup>Not ready for the analysis, but will be included

and isolation efficiencies for electrons and muons incur associated uncertainties, with separate systematic and statistical components for those related to muons. Similarly, electron and muon energy-momentum scale and resolution are also subjected to calibration uncertainties estimated by varying the corresponding calibration quantity during simulation. Electron has an additional uncertainty related to ECIDS efficiency. Muon has additional uncertainties for charge-independent and charge-dependent momentum scale, as well as detector-specific track resolution. Systematic uncertainties for electron reconstruction, identification, isolation, ECIDS efficiencies and muon ID/MS energy resolution were not ready for the sample version used in this analysis, and are therefore not included.

### 7.1.3 Jets

Experimental uncertainties for jets are dominated by flavor tagging-related uncertainties, with subleading contributions from uncertainties related to JES [77], JER [76] and JVT [112] calibrations.

#### Jet energy scale

Uncertainties associated with JES are determined using data from LHC collisions along with MC simulated samples [77], decomposed into uncorrelated components:

- **Effective NPs:** 15 total  $p_T$ -dependent uncertainty components measured in situ, grouped based on their origin (2 detector-related, 4 modeling-related, 3 mixed, 6 statistical-related)
- **$\eta$  intercalibration:** 6 total components (1 modeling-related, 4 non-closure and 1 statistical-related) associated with the correction of the forward jets' ( $0.8 \leq |\eta| < 4.5$ )

energy scale to that of the central jets ( $|\eta| < 0.8$ ).

- **Flavor composition & response:** 2 components for relative quark-gluon flavor compositions in background and signal samples, and 2 components for responses to gluon-initiated versus quark-initiated jets.
- **Pile-up subtraction:** 4 components, 2 for  $\mu$  (`OffsetMu`) and  $N_{PV}$  (`OffsetNPV`) modeling, 1 for residual  $p_T$ -dependency (`PtTerm`) and 1 for topology dependence on the per-event  $p_T$  density modeling (`RhoTopology`).
- **Punch-through effect treatment:** 2 terms for GSC punch-through jet response deviation between data and MC, one for each detector response simulation method (AF3 and FS).
- **Non-closure:** 1 term applied to AF3 sample to account for the difference between AF3 and FS simulation.
- **High- $p_T$  single-particle response:** 1 term for the response to high- $p_T$  jets from single-particle and test-beam measurements.
- **$b$ -jets response:** 1 term for the difference between  $b$ -jets and light-jets response.

## Jet energy resolution

Measurements of JER were performed in bins of  $p_T$  and  $\eta$ , separately in data using in-situ techniques and in MC simulation using dijet events [76]. This analysis uses the full correlation JER uncertainty scheme provided for Run 2 analysis with 14 total components: 12 for effective NPs and 2 for difference between data and MC, separately for AF3 and FS [76].

## Jet vertex tagging

The uncertainty associated with JVT is obtained by varying the JVT efficiency SFs within their uncertainty range [112]. This uncertainty accounts for remaining contamination from pile-up jets after applying pile-up suppression and MC generator choice.

## Flavor tagging

Calibration SFs for  $b$ -tagging efficiencies and  $c$ -/light-jets mistagging rates are derived as a function of  $p_T$  for  $b$ -,  $c$ -, light-jets and PCBT score. The full set of flavor tagging-related uncertainties was reduced in dimensions by diagonalizing the uncertainty covariance matrix via eigendecomposition [80], resulting in a compact set of orthogonal NPs for this analysis: 85 for  $b$ -jets, 56 for  $c$ -jets and 42 for light-jets.

### 7.1.4 Missing transverse energy

Uncertainties on  $E_T^{\text{miss}}$  arise from possible mis-calibration of the soft-track component and are estimated using data-to-MC comparison of the  $p_T$  scale and resolution between the hard and soft  $E_T^{\text{miss}}$  components [85]. These uncertainties are represented by three independent terms: 1 for scale uncertainty and 2 for resolution uncertainty of the parallel and perpendicular components.

## 7.2 Modeling uncertainties

### 7.2.1 Signal and irreducible background uncertainties

The signal and background samples used were modeled using MC simulation. Most uncertainties on simulation parameters (e.g. generator choice, PS model) are estimated by varying the relevant parameters and comparing them with the nominal sample. Uncertainties involving PDF in particular for most processes in the analysis are set to a flat 1% uncertainty. Cross-section uncertainties were considered for all irreducible background except  $t\bar{t}W$ . Extra uncertainties for the production of four or more  $b$ -jets (additional  $b$ -jets) in association with  $t\bar{t}X$  and HF jets were also considered due to a lack of theoretical predictions or dedicated measurements, rendering MC modeling challenging. Uncertainties from missing higher-order QCD corrections in MC simulation are estimated by varying the renormalization scale  $\mu_R$  and factorization scale  $\mu_F$  within seven different combinations

$$(\mu_R, \mu_F) = \{(0.5, 0.5), (0.5, 1), (1, 0.5), (1, 1), (1, 2), (2, 1), (2, 2)\}.$$

Process-specific uncertainty treatments are detailed below.

#### SM $t\bar{t}t\bar{t}$ background

The generator uncertainty for SM  $t\bar{t}t\bar{t}$  background was evaluated between a nominal sample of MADGRAPH5\_AMC@NLO and SHERPA. Parton shower uncertainty was evaluated between PYTHIA8 and HERWIG. The cross-section uncertainty was estimated to be 20% computed from a prediction at NLO in QCD+EW [94].



### 1433 $t\bar{t}t$ background

1434 The cross-section uncertainty for  $t\bar{t}t$  was estimated to be 30% computed from a prediction  
1435 at NLO in QCD+EW [94]. Events with additional  $b$ -jets also incur a 50% uncertainty.

### 1436 $t\bar{t}W$ , $t\bar{t}Z$ , $t\bar{t}H$ backgrounds

1437 For  $t\bar{t}W$ ,  $t\bar{t}Z$  and  $t\bar{t}H$  backgrounds, an uncertainty of 50% is assigned to events with one  
1438 additional truth  $b$ -jets that did not originate from a top quark decay, and an added 50%  
1439 uncertainty is assigned to events with two or more [113]. The generator uncertainty was  
1440 estimated for  $t\bar{t}Z$  using a MADGRAPH5\_AMC@NLO nominal sample and a SHERPA sample,  
1441 and for  $t\bar{t}H$  using POWHEGBOX samples interfaced with PYTHIA8 (nominal) and HERWIG7.  
1442 Cross-section uncertainties of 12% and 10% were applied to  $t\bar{t}Z$  and  $t\bar{t}H$  respectively [114].  
1443 No  $t\bar{t}W$  cross-section or PDF uncertainty was considered since the normalizations and jet  
1444 multiplicity spectrum for  $t\bar{t}W$  are estimated using the data-driven method described in  
1445 section 6.3.3.

### 1446 Other backgrounds

1447 Other backgrounds include processes with small overall contribution in the SR. The  
1448 cross-section uncertainty for  $tZ$  and  $tWH$  is considered to be 30% [115, 116]. A conservative  
1449 cross-section uncertainty of 50% is applied to  $t\bar{t}VV$ ,  $VVV$  and  $VH$ . For  $VV$ , the cross-  
1450 section uncertainty is dependent on jet multiplicity and is considered to be 20%/50%/60%  
1451 for events with  $\leq 3/4/\geq 5$  jets [117]. For  $VV$ ,  $t\bar{t}VV$ ,  $VVV$  and  $VH$  events with additional  
1452 truth  $b$ -jets, an uncertainty of 50% is applied.

## 7.2.2 Reducible background uncertainties

Reducible backgrounds consist of  $t\bar{t}/V$ +HF jets and single top events. Reducible background has small contamination within the SR, thus uncertainties related to reducible background have minor impact. Treatment for reducible background in this analysis largely follows Ref. [36], except for QmisID.

### Charge misidentification

Uncertainties on the QmisID background originate from the charge flip rates obtained using the data-driven method described in section 6.3.2. Four sources of uncertainty were considered: statistical uncertainty from the maximum LLH estimation using Equation 6.2; uncertainty from choice of the  $Z$ -mass window and sidebands; non-closure uncertainty defined as the relative difference between the number of SS and OS events; and statistical uncertainty from the  $N_{\text{jets}}$  dependency correction SFs. The combined uncertainties from all four sources are calculated separately for each region involved in section 6.3.2, and are treated as correlated across all regions. Figure 7.1 shows the uncertainty calculated for SR.

### Internal (low $\gamma^*$ ) and material conversion

The normalization for internal and material conversion background are free parameters in the fit, as a result the only uncertainties evaluated are from the shape of the distributions used in the template fit method (see section 6.3.1). The uncertainties on internal (material) conversion are estimated based on the difference between data and MC prediction in a region enriched in  $Z + \gamma \rightarrow \mu^+\mu^- + e^+e^-$  events.

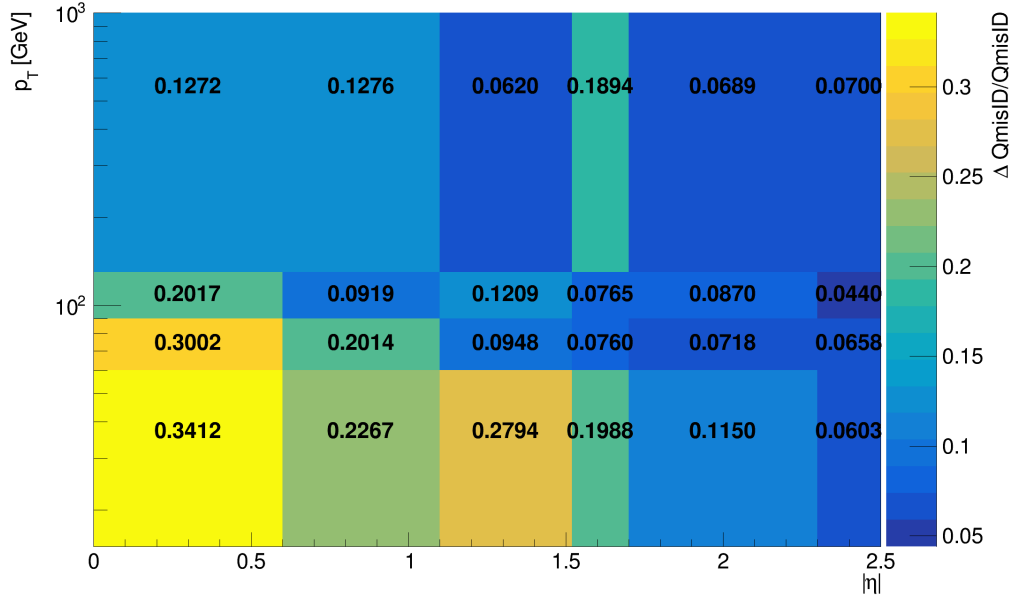


Figure 7.1: Combined QmisID uncertainty rate for SR in bins of  $|\eta|$  and  $p_T$ .

## Heavy-flavor non-prompt lepton

Similar to the conversion backgrounds, the uncertainties on non-prompt HF decays come from the shape of the distributions, and are estimated by comparing data and MC prediction between all regions in the analysis on a per bin basis. The events used are required to contain at least one *Loose* reconstructed lepton used in the region selection criteria detailed in Table 6.2 to maintain orthogonality with the SR.

## Light-flavor decays and other fake/non-prompt backgrounds

A conservative normalization uncertainty of 100% is assigned for light-flavor non-prompt lepton background [105], and an ad-hoc normalization uncertainty of 30% is applied to all other fake and non-prompt backgrounds. The shape uncertainties for these backgrounds are negligible.

# Chapter 8. Results

## 8.1 Statistical analysis

This section provides an overview of the statistical methods needed to interpret the collected and simulated data to estimate unknown physics parameters and determine compatibility between data and the analysis hypothesis. For the BSM resonance search, the null hypothesis  $H_0$  assumes only SM background contributions and none from any new resonance in the data.

### 8.1.1 Profile likelihood fit

Given a set of observed data points  $\mathbf{x} = [x_1, x_2, \dots]$  and unknown parameters  $\boldsymbol{\theta} = [\theta_1, \theta_2, \dots, \theta_n]$ , the maximum likelihood method aims to find an estimate  $\hat{\boldsymbol{\theta}}$  that maximizes the joint probability function  $f(\mathbf{x}, \boldsymbol{\theta})$ , or in other words the set of parameters that gives the highest probability of observing the collected data points for a particular model. The function to be maximized for this purpose is the log-likelihood (LLH) function  $\ln \mathcal{L}(\mathbf{x}, \boldsymbol{\theta})$  where  $\mathcal{L}(\mathbf{x}, \boldsymbol{\theta}) \equiv \prod_i f(x_i, \boldsymbol{\theta})$  is defined as the likelihood (LH) function. The LLH is maximized when  $\partial/\partial\theta_i (\ln \mathcal{L}) = 0$  for each parameter  $\theta_i$ .

For an usual binned physics analysis, the above variables for the LH function  $\mathcal{L}$  can be expressed as nuisance parameters (NP)  $\boldsymbol{\theta}$  and number of events for a model  $N_i(\mu)$  for the  $i^{\text{th}}$  bin, where  $\mu$  is the targeted parameter of interest (POI). In this analysis,  $N_i$  is assumed to follow a Poisson distribution and depends on the following quantities: the signal strength  $\mu$  defined as the ratio of observed to expected cross sections  $\sigma_{\text{obs}}/\sigma_{\text{exp}}$ ; nuisance parameters  $\boldsymbol{\theta}$  which represents the effects of systematic uncertainties, implemented in the

1505 LH function as Gaussian constraints; and normalization factors (NFs)  $\boldsymbol{\lambda}$  that control the  
 1506 normalization of background components that do not have a well-known cross section. The  
 1507 Poisson probability of observing exactly  $N_i$  events for an expected number of event  $n_i$  is

$$\mathcal{P}(N_i|n_i(\mu, \boldsymbol{\lambda})) = \frac{n_i^{N_i} e^{-n_i}}{N_i!}. \quad (8.1)$$

1508 The expected Poisson event number in a bin  $i$  can be parameterized as

$$n_i = \mu s_i(\boldsymbol{\theta}) + \sum_j \lambda_j b_{ij}(\boldsymbol{\theta}), \quad (8.2)$$

1509 where  $s_i$  is the number of signal events in bin  $i$  of every region, and  $b_{ij}$  is the number of  
 1510 events for a certain background source index  $j$  in bin  $i$ . The LH function in this analysis  
 1511 can be written as

$$\mathcal{L}(\mathbf{N}|\mu, \boldsymbol{\theta}, \boldsymbol{\lambda}) = \left( \prod_i \mathcal{P}(N_i|n_i) \right) \cdot \prod_k \mathcal{G}(\theta_k), \quad (8.3)$$

1512 where  $\mathcal{G}(\theta_k)$  is the Gaussian constraint for a NP  $k$ . The signal significance  $\mu$  and NFs  $\boldsymbol{\lambda}$  are  
 1513 left unconstrained and are fitted simultaneously in the profile LH fit. From Neyman-Person  
 1514 lemma [citation](#), the optimal test statistic for hypothesis testing is a function dependent on  
 1515 the profile LH ratio defined as

$$q_\mu \equiv -2 \ln \frac{\mathcal{L}(\mu, \hat{\boldsymbol{\theta}}_\mu, \hat{\boldsymbol{\lambda}}_\mu)}{\mathcal{L}(\hat{\mu}, \hat{\boldsymbol{\theta}}, \hat{\boldsymbol{\lambda}})}, \quad (8.4)$$

1516 where  $\hat{\mu}$ ,  $\hat{\boldsymbol{\theta}}$  and  $\hat{\boldsymbol{\lambda}}$  are parameter values that optimally maximizes the LH function, and  $\hat{\boldsymbol{\theta}}_\mu$ ,  
 1517  $\hat{\boldsymbol{\lambda}}_\mu$  are NP and NF values respectively that maximize the LH function for a given  $\mu$ .

### 8.1.2 Exclusion limits

## 8.2 Fit results

#### Fit setup

- Plain Asimov fit (**only mentioning briefly**): all regions included; simulated data used in the fit match exactly to MC prediction with nominal  $\mu_{t\bar{t}Z'}$  set to 0 and allowed to free-float.

Purpose: to perform studies on optimizing fitted parameters and expected sensitivity; refining background estimation techniques; optimizing region definition and object definition

- Real SRs-blinded fit: similar to plain Asimov, but use observed data in CRs.

Purpose: study the behavior of background estimation using real observed data in CRs on Asimov data in SRs and assessing the influence of statistical effects on fitted parameters and expected sensitivity

- Real SRs-unblinded/ $H_T$  fit: all regions included,

### Limits

1533 **Chapter 9. Summary**

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