

CHAPTER 1

QCD Sum Rules

The theory of QCD was formulated to find one single framework that describes the many hadrons that exist. Unfortunately making use of *perturbative* QCD (PQCD) is limited. QCD predicts a large coupling constant for low energies. As a consequence we can only ever observe hadrons, but our theoretical foundation is ruled by the DOF of quarks and gluons. To extract QCD parameters (the six quark masses and the strong coupling) from hadrons we need to bridge the quark-gluon picture with the hadron picture. To do so we will introduce the framework of QCDSR.

We will start by setting up the foundations of strong interaction with introducing the QCD-Lagrangian. The QCD-Lagrangian is ruled by the abelian gauge group $SU(3)$. The group implies a energy dependence of the coupling and thus limits the applicability of PT for low energies, where the coupling is large. Next we will focus on the two-point function, which plays a major role in the framework of QCDSR. The two-point function is defined as vacuum-expectation values of two local fields

$$\Pi(s) = \langle \Omega | q(x) q(y) | \Omega \rangle. \quad (1.0.1)$$

We can use it to theoretically describe processes, like τ -decays into hadrons, by matching the quantum numbers of the fields, we choose in specifying the two-point function, to the outgoing hadrons. We will see, that the two-point function $\Pi(q^2)$ is related to hadronic states, by poles for $q^2 > 0$. Here NP-effects become important and we need to introduce the OPE, which handles NP parts through QCD-condensates. The condensates form part of the full physical vacuum and would not exist regarding the perturbative vacuum solely. Con-

sequently the condensates are not accessible through PT methods and have to be fitted from experiment or calculated with the help of NP tools, like LQCD. Finally we will combine a dispersion relation and Cauchy's theorem to finalise the discussion on the QCDSR with developing the *finite energy sum rules* (FESR), which we will apply to extract the strong coupling from tau-decays into hadrons.

1.1 Quantum-chromodynamics

Since the formulation of QED in the end of the 40's it had been attempted to describe the strong nuclear force as a QFT, which has been achieved in the 70's as QCD [GellMann1972, Fritzsch1973, Gross1973, Politzer1973, Weinberg1973]. QCD is a renormalisable QFT constructed to describe the strong interaction. Its fundamental fields are given by Dirac spinors of spin-1/2, the so-called quarks, with a fractional electric charge of $\pm 1/3$ or $\pm 2/3$. The theory furthermore contains gauge fields of spin 1. These gauge fields are called gluons, do not carry electric charge and are massless. They are the force mediators, which interact with quarks and themselves, because they carry colour charge, in contrast to photons of QED, which interact only with fermions.

The corresponding gauge-group of QCD is the non-abelian group SU(3). Each of the quark flavours u, d, c, s, t and b belongs to the fundamental representation of SU(3) and contains a triplet of fields Ψ .

$$\Psi = \begin{pmatrix} \Psi_1 \\ \Psi_2 \\ \Psi_3 \end{pmatrix} \quad (1.1.1)$$

The labels of the triplet are the colours red, green and blue, which play the role of *colour charge*, similar to the electric charge of QED. The gluons belong to the adjoint representation of SU(3), contain an octet of fields and can be expressed using the Gell-Mann matrices λ_a

$$B_\mu = B_\mu^a \lambda_a \quad a = 1, 2, \dots, 8 \quad (1.1.2)$$

The classical *Lagrange density* of QCD is given by [Yndurain2006, Pascual1984]:

Flavour	Mass
u	2.50(17) MeV
d	4.88(20) MeV
s	93.44(68) MeV
c	1.280(13) GeV
b	4.198(12) GeV
t	173.0(40) GeV

Table 1.1: List of quarks and their masses. The masses of the up, down and strange quark are quoted in the four-flavour theory ($N_f = 2 + 1 + 1$) at the scale $\mu = 2 \text{ GeV}$ in the $\overline{\text{MS}}$. The charm and bottom quark are also taken in the four-flavour theory and in the $\overline{\text{MS}}$ scheme, but at the scales $\mu = m_c$ and $\mu = m_b$ correspondingly. All quarks except for the top quark are taken from the *Flavour Lattice Averaging Group* [FLAG2019]. The mass of the top quark is not discussed in [FLAG2019] and has been taken from [PDG2018] from direct observations of top events.

$$\mathcal{L}_{\text{QCD}}(x) = -\frac{1}{4} G_{\mu\nu}^a(x) G^{\mu\nu a}(x) + \sum_A \left[\frac{i}{2} \bar{q}^A(x) \gamma^\mu \overleftrightarrow{D}_\mu q^A(x) - m_A \bar{q}^A(x) q^A(x) \right], \quad (1.1.3)$$

with $q^A(x)$ representing the quark fields and $G_{\mu\nu}^a$ being the *gluon field strength tensor* given by:

$$G_{\mu\nu}^a(x) \equiv \partial_\mu B_\nu^a(x) - \partial_\nu B_\mu^a(x) + g f^{abc} B_\mu^b(x) B_\nu^c(x), \quad (1.1.4)$$

with f^{abc} as *structure constants* of the gauge-group $\text{SU}(3)$ and $\overleftrightarrow{D}_\mu$ as covariant derivative acting to the left and to the right. Furthermore we have used $A, B, \dots = 0, \dots, 5$ as flavour indices, $a, b, \dots = 0, \dots, 8$ as colour indices and $\mu, \nu, \dots = 0, \dots, 3$ as lorentz indices. Explicitly the Lagrangian writes:

$$\begin{aligned} \mathcal{L}_0(x) = & -\frac{1}{4} \left[\partial_\mu G_\nu^a(x) - \partial_\nu G_\mu^a(x) \right] \left[\partial^\mu G_\alpha^a(x) - \partial^\alpha G_\mu^a(x) \right] \\ & + \frac{i}{2} \bar{q}_\alpha^A(x) \gamma^\mu \partial_\mu q_\alpha^A(x) - \frac{i}{2} \left[\partial_\mu \bar{q}_\alpha^A(x) \right] \gamma^\mu q_\alpha^A(x) - m_A \bar{q}_\alpha^A(x) q_\alpha^A(x) \\ & + \frac{g_s}{2} \bar{q}_\alpha^A(x) \lambda_{\alpha\beta}^a \gamma_\mu q_\beta^A(x) G_\mu^a(x) \\ & - \frac{g_s}{2} f_{abc} \left[\partial_\mu G_\nu^a(x) - \partial_\nu G_\mu^a(x) \right] G_\mu^b(x) G_\nu^c(x) \\ & - \frac{g_s^2}{4} f_{abc} f_{ade} G_\mu^b(x) G_\nu^c(x) G_\mu^d(x) G_\nu^e(x) \end{aligned} \quad (1.1.5)$$

Quark propagator		$= \frac{i\delta_{\alpha\beta}\delta_{AB}}{\not{p} - m_A + i\epsilon}$
Gluon propagator		$= \frac{-i\delta_{ab}}{k^2 + i\epsilon} \left[g^{\mu\nu} - (1 - a) \frac{k_\mu k_\nu}{k^2 + i\epsilon} \right]$
Ghost propagator		$= \frac{-\delta_{ab}}{k^2 + i\epsilon}$
Fermionic vertex		$= g \left(\frac{\lambda_a}{2} \right)_{\beta\alpha} \gamma^\mu$
Triple gluon vertex		$= -igf_{abc} [g_{\mu\nu}(p - q)_\sigma + g_{\nu\sigma}(q - r)_\mu + g_{\sigma\mu}(r - p)_\nu]$
Quartic gluon vertex		$= -g^2 [f_{abe}f_{cde}(g_{\mu\sigma}g_{\nu\rho} - g_{\mu\rho}g_{\nu\sigma}) + f_{ace}f_{bde}(g_{\mu\nu}g_{\sigma\rho} - g_{\mu\rho}g_{\nu\sigma}) + f_{ade}f_{cbe}(g_{\mu\sigma}g_{\nu\rho} - g_{\mu\nu}g_{\sigma\rho})]$
Ghost vertex		$= -igf_{abc}r^\mu$

Figure 1.1: QCD Feynman rules.

The first term is the kinetic term for the massless gluons. The next three terms are the kinetic terms for the quark field with different masses for each flavour. The rest of the terms are the interaction terms. The fifth term represents the interaction between quarks and gluons and the last two terms the self-interactions of gluon fields.

The corresponding Feynman rules have been displayed in [fig. 1.1](#). The rules are based on PT, but can be enhanced with the QCD condensates, as we will see in the discussion of the OPE in [section 1.3](#)

Having derived the Lagrangian leaves us with its quantisation. The Dirac spinors can be quantised as in QED without any problems. The $\Psi(x)$ quantum

field can be written as:

$$\Psi(x) = \int \frac{d^3 p}{(2\pi)^3 2E(\vec{p})} \sum_{\lambda} \left[u(\vec{p}, \lambda) a(\vec{p}, \lambda) e^{-ipx} + v(\vec{p}, \lambda) b^\dagger(\vec{p}, \lambda) e^{ipx} \right], \quad (1.1.6)$$

where the integration ranges over the positive sheet of the mass hyperboloid $\Omega_+(m) = \{p|p^2 = m^2, p^0 > 0\}$. The four spinors $u(\vec{p}, \lambda)$ and $v(\vec{p}, \lambda)$ are solutions to the Dirac equations in momentum space

$$\begin{aligned} [\not{p} - m]u(\vec{p}, \lambda) &= 0 \\ [\not{p} + m]v(\vec{p}, \lambda) &= 0, \end{aligned} \quad (1.1.7)$$

with λ representing the helicity state of the spinors.

The quantisation of the gauge fields is more cumbersome. One is forced to introduce supplementary non-physical fields, the so-called Faddeev-Popov ghosts $c^a(x)$ [Faddeev1967], to cancel unphysical helicity degrees of freedom of the gluon fields.

The free propagators for the quark, the gluon and the ghost fields are then given by

$$\begin{aligned} iS_{\alpha\beta}^{(0)AB}(x-y) &\equiv \overline{q_\alpha^A(x)} q_\beta^B(y) \equiv \langle 0|T\{q_\alpha^A(x) \overline{q}_\beta^B(y)\}|0\rangle = \delta_{AB} \delta_{\alpha\beta} iS^{(0)}(x-y) \\ &= i\delta_{AB} \delta_{\alpha\beta} \int \frac{d^4 p}{(2\pi)^4} \frac{\not{p} + m}{p^2 - m^2 + i\epsilon} \\ iD_{ab}^{(0)\mu\nu}(x-y) &\equiv \overline{B_a^\mu(x)} B_b^\nu(y) \equiv \langle 0|T\{B_a^\mu(x) B_b^\nu(y)\}|0\rangle \equiv \delta_{ab} i \int \frac{d^4 k}{(2\pi)^4} D^{(0)\mu\nu}(k) e^{-ik(x-y)} \\ &= i\delta_{ab} \int \frac{d^4 k}{(2\pi)^4} \frac{1}{k^2 + i\epsilon} \left[-g_{\mu\nu} + (1-a) \frac{k_\mu k_\nu}{k^2 + i\epsilon} \right] e^{-ik(x-y)} \\ i\tilde{D}_{ab}^{(0)}(x-y) &\equiv \overline{\phi_a(x)} \bar{\phi}_b(y) \equiv \langle 0|T\{\phi_a(x) \bar{\phi}_b(y)\}|0\rangle = \frac{i}{(2\pi)^4} \delta_{ab} \int d^4 q \frac{-1}{q^2 + i\epsilon} e^{-iq(x-y)} \\ &\equiv \frac{i}{(2\pi)^4} \delta_{ab} \int d^4 q \tilde{D}^{(0)}(q) e^{-iq(x-y)}, \end{aligned} \quad (1.1.8)$$

The previously introduced Feynman rules and propagators all make use of the perturbative vacuum $|0\rangle$ and are thus counted as tools of PT. Consequently they need a small coupling to approximate excitations the full QCD vacuum. We will see in the following section, that the strong coupling runs with energy and unfortunately is large for small energy scales.

1.1.1 Renormalisation Group

The perturbations of the QCD Lagrangian in eq. 1.1.3 lead to divergencies, which have to be *renormalised*. Making these divergencies finite is referred to as *regularisation* and there are various approaches:

- **Λ regularisation:** In Lambda regularisation we limit the divergent momentum integrals by a cutoff $|\vec{p}| < \Lambda$. Here Λ has the dimension of mass. In QCD Λ marks the separation between short-and long-distance effects. For momenta smaller than the cutoff ($|\vec{p}| < \Lambda$) we probe short-distances. On the contrary for large momenta $|\vec{p}| > \Lambda$ we have to include long-distance effects. We will see that we can make use of PT only for high-momenta (short-distances). The cutoff regularisation breaks translational invariance, which can be guarded by making use of other regularisation methods.
- **P-I (Pauli-Villars) regularisation:** [Pauli1949] In P-I regularisation the propagator is forced to decrease faster than the divergence to appear. It replaces the nominator by

$$(\vec{p}^2 + m^2)^{-1} \rightarrow (\vec{p}^2 + m^2)^{-1} - (\vec{p}^2 + M^2)^{-1}, \quad (1.1.9)$$

where M has the dimension acts similar as the previously presented cut-off, but conserves translational invariance.

- **Dimensional regularisation:** [Bollini1972, tHooft1972, tHooft1973] Dimensional regularisation has been introduced in the beginning of the seventies to regularise non-abelian gauge theories (like QCD), where Λ - and P-V-regularisation failed. In dimensional regularisation we expand the four space-time dimensions to arbitrary D -dimensions. To compensate for the additional dimensions we introduce an additional scale μ^{D-4} . A typical Feynman-integral then has the following appearance:

$$\int \frac{d^4 p}{(2\pi)^4} \frac{1}{\vec{p}^2 + m^2} \rightarrow \mu^{2\epsilon} \int \frac{d^D p}{(2\pi)^D} \frac{1}{\vec{p}^2 + m^2}, \quad (1.1.10)$$

Dimensional regularisation preserves all symmetries, it allows an easy identification of divergences and naturally leads to the *minimal subtraction scheme* (\overline{MS}) [tHooft1973, Weinberg1973a].

In all of the three regularisation schemes we introduced an arbitrary parameter to regularise the divergence. This parameter causes a scale dependence of the strong coupling and the quark masses. As we are mainly concerned with the non-abelian gauge theory QCD we will focus on dimensional regularisation, which introduced the parameter μ . Measurable observables (*Physical quantities*) cannot depend on the renormalisation scale μ . Therefore the derivative by μ of a general physical quantity has to yield zero. A physical quantity $R(q, a_s, m)$, that depends on the external momentum q , the renormalised coupling $a_s \equiv \alpha_s/\pi$ and the renormalised quark mass m can then be expressed as

$$\mu \frac{d}{d\mu} R(q, a_s, m) = \left[\mu \frac{\partial}{\partial \mu} + \mu \frac{da_s}{d\mu} \frac{\partial}{\partial a_s} + \mu \frac{dm}{d\mu} \frac{\partial}{\partial m} \right] R(q, a_s, m) = 0. \quad (1.1.11)$$

Equation 1.1.11 is referred to as *renormalisation group equation* (RGE) and is the basis for defining the two *renormalisation group functions*:

$$\beta(a_s) \equiv -\mu \frac{da_s}{d\mu} = \beta_1 a_s^2 + \beta_2 a_s^3 + \dots \quad \beta - \text{function} \quad (1.1.12)$$

$$\gamma(a_s) \equiv -\frac{\mu}{m} \frac{dm}{d\mu} = \gamma_1 a_s + \gamma_2 a_s^2 + \dots \quad \text{anomalous mass dimension.} \quad (1.1.13)$$

The β -function dictates the running of the strong coupling, whereas the anomalous mass dimension is responsible for the running of the quark masses. We have a special interest in the running of the strong coupling, but will also shortly sum up the running of the quark masses.

Running gauge coupling

Regarding the β -function we notice, that $a_s(\mu)$ is not a constant, but that it *runs* by varying its scale μ . This has some important implications:

- The strong coupling we want to extract has different values at different scales. In the literature (e.g. [pdg2016]) α_s is commonly compared at the Z-boson scale of around 91 GeV. As we are extracting the strong coupling at the mass of the tau-lepton, around 1.776 GeV we need to run the strong coupling up to the desired scale. While running the coupling, we have to take care of the quark-thresholds. Each quark gets active at a certain energy scale, which leads to a running of α_s as shown in fig. 1.2. Typically one runs the coupling with the aid of software packages like *RunDec* [Chetyrkin2000, Herren2017], which has also been ported to support C (*CRunDec*, [Schmidt2012]) and Python [Straub2016].

- The strong coupling becomes strong for low energies. It reaches a critical value at

$$\alpha_s(1) \approx 0.5, \quad (1.1.14)$$

which questions the applicability of PT for energies lower than 1 (as seen from the grey zone in [fig. 1.2](#)).

- It leads to confinement and asymptotic freedom. Asymptotic freedom states, that for high energies (small distances), the strong coupling becomes diminishing small and quarks and gluons do not interact. Thus in isolated baryons and mesons the quarks are separated by small distances, move freely and do not interact. On the other hand we are not able to separate the quarks in a meson or baryon. No quark has been detected as single particle yet. This is qualitatively explained with the gluon field carrying colour charge. These gluons form so-called *flux-tubes* between quarks, which cause a constant strong force between particles regardless of their separation. Consequently the energy needed to separate quarks is proportional to the distance between them and at some point there is enough energy to favour the creation of a new quark pair. Thus before separating two quarks we create a quark-antiquark pair. As a result we will probably never be able to observe an isolated quark. This phenomenon is referred to as colour confinement or simply confinement.

To display the running of the strong coupling we integrate the β -function

$$\int_{\alpha_s(\mu_1)}^{\alpha_s(\mu_2)} \frac{d\alpha_s}{\beta(\alpha_s)} = - \int_{\mu_1}^{\mu_2} \frac{d\mu}{\mu} = \log \frac{\mu_1}{\mu_2}. \quad (1.1.15)$$

To analytically evaluate the above integral we can approximate the β -function to first order, with the known coefficient

$$\beta_1 = \frac{1}{6}(11N_c - 2N_f), \quad (1.1.16)$$

yielding

$$\alpha_s(\mu_2) = \frac{\alpha_s(\mu_1)}{\left(1 - \alpha_s(\mu_1)\beta_1 \log \frac{\mu_1}{\mu_2}\right)}. \quad (1.1.17)$$

As we have three colours ($N_c = 3$) and six flavours ($N_f = 6$) the first β -function [1.1.12](#) is positive. Thus for $\mu_2 > \mu_1$ $\alpha_s(\mu_2)$ decreases logarithmically and vanishes for $\mu_2 \rightarrow \infty$. This behaviour is known, as the previously mentioned, *asymptotic freedom* and *confinement*.

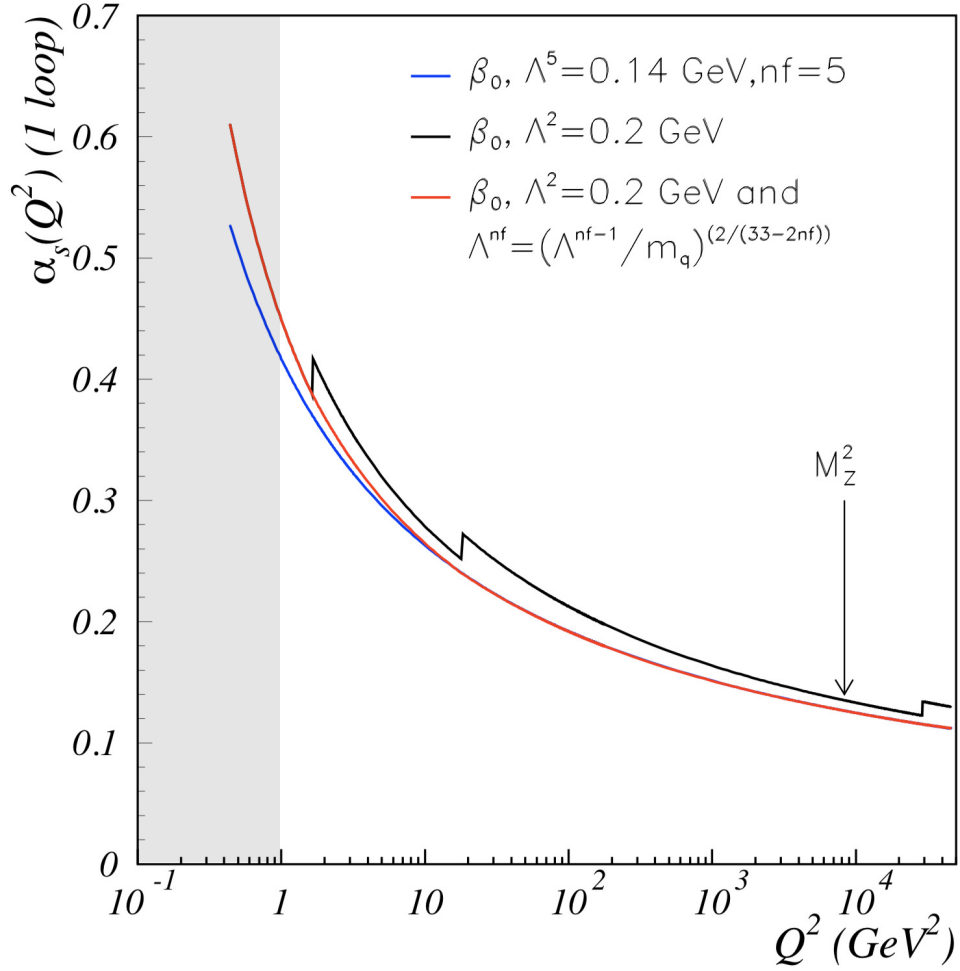


Figure 1.2: Running of the strong coupling $\alpha_s(Q^2)$ at first order. The blue line represents the uncorrected coupling constant, with an $\Lambda^{n_f=5}$ chosen to match an experimental value of the coupling at $Q^2 = M_Z^2$. The quark-thresholds are shown by the black line and the corrected running is given by the red line. We additionally marked the breakdown of pt with a grey background for $Q^2 < 1$. The image is taken from a recent review of the strong coupling [Deur2016].

From the RGE we have seen, that not only the coupling but also the masses carry an energy dependencies.

Running quark mass

The mass dependence on energy is governed by the *anomalous mass dimension* $\gamma(a_s)$. Its properties of the running quark mass can be derived similar to the gauge coupling. Starting from integrating the *anomalous mass dimension* [eq. 1.1.13](#)

$$\log \frac{m(\mu_2)}{m(\mu_1)} = \int_{a_s(\mu_1)}^{a_s(\mu_2)} da_s \frac{\gamma(a_s)}{\beta(a_s)} \quad (1.1.18)$$

we can approximate the *anomalous mass dimension* to first order and solve the integral analytically [**Schwab2002**]

$$m(\mu_2) = m(\mu_1) \left(\frac{a(\mu_2)}{a(\mu_1)} \right)^{\frac{\gamma_1}{\beta_1}} (1 + \mathcal{O}(\beta_2, \gamma_2)). \quad (1.1.19)$$

As β_1 and γ_1 (see ??) are positive the quark mass decreases with increasing μ . The general relation between different scales is given by

$$m(\mu_2) = m(\mu_1) \exp \left(\int_{a_s(\mu_1)}^{a_s(\mu_2)} da_s \frac{\gamma(a_s)}{\beta(a_s)} \right) \quad (1.1.20)$$

and can be solved numerically to run the quark mass to the needed scale μ_2 . Both, the β -function and the anomalous mass dimension are currently known up to the 5th order and listed in the appendix ??.

QCD in general has a precision problem caused by uncertainties and largeness of the strong coupling constant α_s . The fine-structure constant (the coupling QED) is known to eleven digits, whereas the strong coupling is only known to about four. Furthermore for low energies the strong coupling constant is much larger than the fine-structure constant. E.g. at the Z-mass, the standard mass to compare the strong coupling, we have an α_s of 0.11, whereas the fine structure constant would be around 0.007. Consequently to use PT we have to calculate our results to much higher orders, including tens of thousands of Feynman diagrams, in QCD to achieve a precision equal to QED. For even lower energies, around 1 GeV, the strong coupling reaches a critical value of around 0.5 leading to a break down of PT.

In this work we try to achieve a higher precision in the value of α_s . The framework we use to measure the strong coupling constant are the QCD SR. A central object needed to describe hadronic states with the help of QCD is the *two-point function* for which we will devote the following section.

1.2 Two-Point function

A lot of particle physics is dedicated to calculating the *S-matrix*, which contains all the information about how initial states evolve in time. One important tool for obtaining the S-matrix is the *LSZ (Lehmann-Symanzik-Zimmermann)-reduction formula* [Lehmann1954a, Schwartz2013]

$$\langle f|S|i\rangle = \left[i \int_0^\infty \frac{d^4 x_1}{(2\pi)^4} e^{-ip_1 x_1} (\square^2 + m^2) \right] \cdots \left[i \int_0^\infty \frac{d^4 x_n}{(2\pi)^4} e^{ip_n x_n} (\square^2 + m^2) \right] \times \langle \Omega | T\{\phi(x_1) \cdots \phi(x_n)\} | \Omega \rangle, \quad (1.2.1)$$

with the $-i$ in the exponent applying for initial states and the $+i$ for final states. The LSZ-reduction formula relates the S-matrix to the *correlator* (also referred to as *n-point function*)

$$\langle \Omega | T\{\phi(x_1) \phi(x_2) \cdots \phi(x_n)\} | \Omega \rangle, \quad (1.2.2)$$

where $T\{\cdots\}$ is the time-ordered product and $|\Omega\rangle$ is the ground state/ vacuum of the interacting theory. Note that the fields are in general given in the Heisenberg picture, which implies translational invariance.

$$\begin{aligned} \langle \Omega | \phi(x) \phi(y) | \Omega \rangle &= \langle \Omega | \phi(x) e^{i\hat{p}_y} e^{-i\hat{p}_y} \phi(y) e^{i\hat{p}_y} e^{-i\hat{p}_y} | \Omega \rangle \\ &= \langle \Omega | \phi(x - y) \phi(0) | \Omega \rangle, \end{aligned} \quad (1.2.3)$$

where we made use of the translation operator $\hat{T}(x) = e^{-i\hat{p}x}$.

In this work we are solely concerned about the *two-point function*, especially in the vacuum expectation value of the Fourier transform of two time-ordered QCD quark Noether currents

$$\Pi_{\mu\nu}(q^2) \equiv \int \frac{d^4 q}{(2\pi)^4} e^{iqx} \langle \Omega | J_\mu(x) J_\nu(0) | \Omega \rangle, \quad (1.2.4)$$

where the Noether current is given by

$$J_\mu(x) = \bar{q}(x)\Gamma q(x). \quad (1.2.5)$$

Here, Γ can be any of the following Dirac matrices $\Gamma \in \{1, i\gamma_5, \gamma_\mu, \gamma_\mu\gamma_5\}$, specifying the quantum number of the current (S: *scalar*, P: *pseudo-Scalar*, V: *vectorial*, A: *axial-vectorial*, respectively). By choosing the right quantum numbers we can theoretically represent the processes we want to study, which will be important when we want to match the hadrons produced in τ -decays.

From a Feynman diagram point of view we can illustrate the two-point function as quark-antiquark pair, which is produced by an external source, e.g. the virtual W-boson of $\tau\bar{\tau}$ -annihilation as seen in [fig. 1.3](#). Here the quarks are propagating at *short-distances*, which implies that we can make use of PT, thus avoiding *long-distance* (NPT-) effects, that would appear if the initial and final states were given by hadrons [[Colangelo2000](#)].

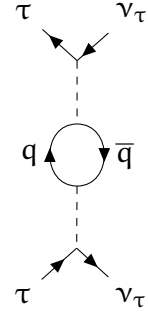


Figure 1.3: $\tau\bar{\tau}$ -annihilation with a quark-antiquark pair.

1.2.1 Short-Distances vs. Long-Distances

If we want to calculate the two-point function in QCD we have to differentiate short-and long-distances or large or small momenta. In general when we talk about small distances we refer to large momenta. Large momenta implies a small strong coupling constant. Consequently we can use PT for short-distances. On the contrary long distances involve small momenta, which implies a large coupling constant. Thus for long distances the perturbation theory has broken down and cannot be used. We can make use of Λ -regularisation ([section 1.1.1](#)) to define the differentiation of short-and long-distances. Thus for $q < \Lambda$ ¹ we have short-distances and for $q > \Lambda$ we have long-distances. In our case we need the quark-antiquark pair of ?? to be highly virtual ². To separate long-distances from short-distances using a length scale we can say that the length scale should be smaller than the radius of a hadron.

¹ Λ is a momentum-cutoff, so we have to compare momenta and not distances.

²Which is the same of saying, that the quark-antiquark pair needs a high external momentum q .

Symbol	Quark content	Isospin	J	Current
π^0	$\frac{u\bar{u}-d\bar{d}}{2}$	1	0	$\bar{u}\gamma_\mu\gamma_5 u + \bar{d}\gamma_\mu\gamma_5 d$
η	$\frac{u\bar{u}+d\bar{d}-2s\bar{s}}{\sqrt{6}}$	0	0	$\bar{u}\gamma_\mu\gamma_5 u + \bar{d}\gamma_\mu\gamma_5 d - 2\bar{s}\gamma_\mu\gamma_5 s$
η'	$\frac{u\bar{u}+d\bar{d}+s\bar{s}}{\sqrt{3}}$	0	0	$\bar{u}\gamma_\mu\gamma_5 u + \bar{d}\gamma_\mu\gamma_5 d + \bar{s}\gamma_\mu\gamma_5 s$
ρ^0	$\frac{u\bar{u}-d\bar{d}}{\sqrt{2}}$	1	1	$\bar{u}\gamma_\mu u - \bar{d}\gamma_\mu d$
ω	$\frac{u\bar{u}+d\bar{d}}{\sqrt{2}}$	0	1	$\bar{u}\gamma_\mu u + \bar{d}\gamma_\mu d$
ϕ	$s\bar{s}$	0	1	$\bar{s}\gamma_\mu\gamma_5 s$

Table 1.2: Ground-state vector and pseudoscalar mesons for the light-quarks u, d and s with their corresponding currents in the two-point function. Note that we use γ_μ for vector and $\gamma_\mu\gamma_5$ for the pseudoscalar mesons.

1.2.2 Relating Two-Point Function and Hadrons

The two-point function can be interpreted physically as the amplitude of propagating single- or multi-particle states and their excitations. The possible states, in our case hadrons we describe through the correlator is fixed by the quantum numbers of the current we set for the vacuum expectation value. For example the neutral ρ -meson has a quark content of $(u\bar{u} - d\bar{d})/\sqrt{2}$ and is a spin-1 vector meson. Consequently by choosing a current

$$J_\mu(x) = \frac{1}{2}(\bar{u}(x)\gamma_\mu u(x) - \bar{d}(x)\gamma_\mu d(x)) \quad (1.2.6)$$

the two-point function contains the same quantum numbers as the ρ -meson and is said to materialise to it. A list of some ground-state mesons for combinations of the light-quarks u, d and s is given in [table 1.2](#).

The correlator is materialising into a spectrum of hadrons. Thus if we insert a complete set of states of hadrons we can make use of the unitary relation

$$\langle\Omega|J_\mu(x)_v(0)|\Omega\rangle = \sum_X \langle\Omega|J_\mu(x)|X\rangle\langle X|J_v(0)|\Omega\rangle. \quad (1.2.7)$$

to represent the two-point correlator via a spectral function $\rho(t)$

$$\Pi(q^2) = \int_0^\infty ds \frac{\rho(s)}{s - p^2 - i\epsilon}. \quad (1.2.8)$$

The above relation is referred to as *Källén-Lehmann spectral representation* [**Kallen1952, Lehmann1954**] or *dispersion relation*. It relates the two-point function to the

spectral function ρ , which can be represented as sum over all possible hadronic states

$$\rho(s) = (2\pi)^3 \sum_X |\langle \Omega | J_\mu(0) | X \rangle|^2 \delta^4(s - p_X). \quad (1.2.9)$$

Note that the analytic properties of the two-point are in one-to-one correspondence with the newly introduced spectral function and thus determined by the possible hadrons states, which only form on positive real axis. A full derivation of the *Källén-Lehmann spectral representation* can be found in the appendix ???. We will derive the same representation to a later point by solely using the analytic properties of the correlator (see. [section 1.4](#)). The spectral function is interesting to us for two reasons. First it is experimentally measurable and second it carries a problematic “branch cut”, which we want to discuss now.

1.2.3 Analytic Structure of the Two-Point Function

The general two-point function $\rho(s)$ has some interesting, but problematic analytic properties. It has poles for single-particle states and a continuous branch cut for multi-particle states. The single and multi-particle states, for a general correlator, can be mathematically separated by

$$\rho(s) = Z\delta(s - m^2) + \theta(s - s_0)\sigma(s) + \sigma(s), \quad (1.2.10)$$

where the second term is the contribution from multi-particle states. $\sigma(s)$ is zero till we reach the threshold, where we have sufficient energy to form multi-particle states. The analytic structure is depicted by [fig. 1.4](#) and we can see that the spectral function has δ -spikes for single-particle states and a continuous contribution for $s \geq 4m$ resulting from multi-particle states. These lead to poles and a continuous branch cut of the two-point function.

correct sum up is referred to as *dispersion relation* analogous to similar relations which arise for example in electrodynamics and defines the *spectral function*

$$\rho(s) = \frac{1}{\pi} \text{Im } \Pi(s). \quad (1.2.11)$$

1.2.4 Lorentz Decomposition

Apart the spectral decomposition we can Lorentz decompose the correlator to a scalar function $\Pi(q^2)$. There are only two possible terms that can reproduce

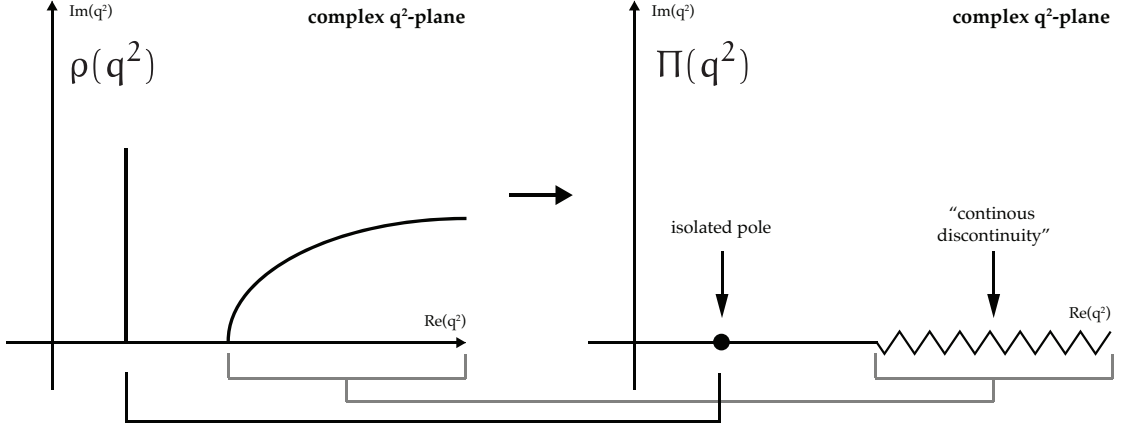


Figure 1.4: Analytic structure in the complex q^2 -plane of the Fourier transform of the two-point function. The hadronic final states are responsible for poles appearing on the real-axis. The one-particle states contribute as isolated pole and the multi-particle states contribute as bound-states poles or a continuous “discontinuity cut” [Peskin1995, Zwicky2016].

the second order tensor $q_\mu q_\nu$ and $q^2 g_{\mu\nu}$. The sum of both multiplied with two arbitrary functions $A(q^2)$ and $B(q^2)$ yields

$$\Pi_{\mu\nu}(q^2) = q_\mu q_\nu A(q^2) + q^2 g_{\mu\nu} B(q^2). \quad (1.2.12)$$

By making use of the *Ward-identity*

$$\begin{aligned} q^\mu \Pi_{\mu\nu} &= \int dx q^\mu e^{iqx} \langle 0 | J_\mu(x) J_\nu(0) | 0 \rangle \\ &= -i \int dx i q^\mu e^{iq^\nu x_\nu} \langle 0 | J_\mu(x) J_\nu(0) | 0 \rangle \\ &= i \int dx e^{iqx} \langle 0 | \partial_\mu [J_\mu(x)] J_\nu(0) | 0 \rangle \\ &= 0, \quad \text{with} \quad \partial_\mu J_\mu(x) = 0, \end{aligned} \quad (1.2.13)$$

where we used $i q^\mu e^{iq^\nu x_\nu} = \partial_\mu e^{iq^\nu x_\nu}$ in the second and integration by parts in the third line. The Ward identity is dependent on the conserved Noether-current J_μ and thus only holds for same flavour quarks. With the Ward-identity we are able to demonstrate, that the two arbitrary functions are related

$$\begin{aligned} q^\mu q^\nu \Pi_{\mu\nu} &= q^4 A(q^2) + q^4 B(q^2) = 0 \\ \implies A(q^2) &= -B(q^2). \end{aligned} \quad (1.2.14)$$

Thus redefining $A(q^2) \equiv \Pi(q^2)$ we expressed the correlator as a scalar function

$$\Pi_{\mu\nu}(q^2) = (q_\mu q_\nu - q^2 g_{\mu\nu}) \Pi(q^2). \quad (1.2.15)$$

These discontinuities can be tackled with *Cauchy's theorem*, which we will apply in [section 1.4](#).

Having dealt exclusively with the perturbative part of the theory, we have to discuss non-perturbative contributions, as QCD is known to have non-negligible contributions. Thus before continuing with the *Sum Rules* we need a final ingredient the *Operator Product Expansion* (OPE), which treats the non-perturbative contributions of our theory.

1.3 Operator Product Expansion

The OPE was introduced by Wilson in 1969 [[Wilson1969](#)] as an alternative to the in this time commonly used current-algebra. The expansion states that non-local operators can be rewritten into a sum of composite local operators and their corresponding coefficients:

$$\lim_{x \rightarrow y} A(x)B(y) = \sum_n C_n(x-y) \mathcal{O}_n(x), \quad (1.3.1)$$

where $C_n(x-y)$ are the so-called *Wilson-coefficients* and A, B and \mathcal{O}_n are operators.

The OPE lets us separate short-distance from long-distance effects. In PT we can only amount for short-distances, which are equal to high energies, where the strong-coupling α_s is small. Consequently the OPE decodes the long-distance effects in the higher dimensional operators.

The form of the composite operators are dictated by gauge- and Lorentz symmetry. Thus we can only make use of operators of even dimension. The scalar operators up to dimension six are given by [[Pascual1984](#)]

$$\begin{aligned} \text{Dimension 0: } & \mathbb{1} \\ \text{Dimension 4: } & : m_i \bar{q} q : \\ & : G_a^{\mu\nu}(x) G_{\mu\nu}^a(x) : \\ \text{Dimension 6: } & : \bar{q} \Gamma q \bar{q} \Gamma q : \\ & : \bar{q} \Gamma \frac{\lambda^a}{2} q_\beta(x) \bar{q} \Gamma \frac{\lambda^a}{2} q : \\ & : m_i \bar{q} \frac{\lambda^a}{2} \sigma_{\mu\nu} q G_a^{\mu\nu} : \\ & : f_{abc} G_a^{\mu\nu} G_b^{\nu\delta} G_c^{\delta\mu} :, \end{aligned} \quad (1.3.2)$$

where Γ stands for one of possible dirac matrices (as seen [eq. 1.2.5](#)). The operator of dimension zero is the identity and its Wilson-coefficient is solely PT. The higher dimension operators appear as normal ordered products of fields and vanish by definition in PT. On the contrary, in NPT QCD they appear as *condensates*. Condensates are remainders of the QCD vacuum, which contribute to all strong processes. For example the condensates of dimension four are the quark-condensate $\langle \bar{q} q \rangle$ and the gluon-condensate $\langle aGG \rangle$.

As we work with dimensionless functions (e.g. the correlator Π), the r.h.s. of [eq. 1.3.1](#) has to be dimensionless. As a result the Wilson-coefficients have to cancel the dimension of the operator with their inverse mass dimension. To account for the dimensions we can make the inverse momenta explicit

$$\Pi_{V/A}^{\text{OPE}}(s) = \sum_{D=0,2,4,\dots} \frac{c^{(D)} \langle \mathcal{O}^{(D)}(x) \rangle}{(-q^2)^{D/2}}, \quad (1.3.3)$$

where we used $C^{(D)} = c/(-s)^{D/2}$ with D being the dimension. Thus the OPE should converge with increasing dimension for sufficiently large momenta s .

1.3.1 A practical example

Let's show how the OPE contributions are calculated [[Shifman1978](#), [Pascual1984](#)]. We will compute the perturbative and quark-condensate Wilson-coefficients for the rho meson. To do that we have to evaluate Feynman diagrams using standard PT.

The rho meson is a vector meson of isospin one composed of u and d quarks. As a result (see. [table 1.2](#)) we can match its quantum numbers with the current

$$J^\mu(x) = \frac{1}{2} \left(: [\bar{u} \gamma^\mu u](x) - [\bar{d} \gamma^\mu d](x) : \right). \quad (1.3.4)$$

Pictorial the dimension zero contribution is given by the quark-antiquark loop Feynman diagram [fig. 1.5](#). The higher dimension contributions are given by the same Feynman diagram, but with non contracted fields. These non contracted fields are yielding the condensates. Thus not contracting the quark-antiquark field (see. [fig. 1.5 b](#)) will give us access to the Wilson coefficient of the dimension four quark-condensate $\langle \bar{q} q \rangle$.

The perturbative part (the Wilson coefficient of dimension zero) can than be

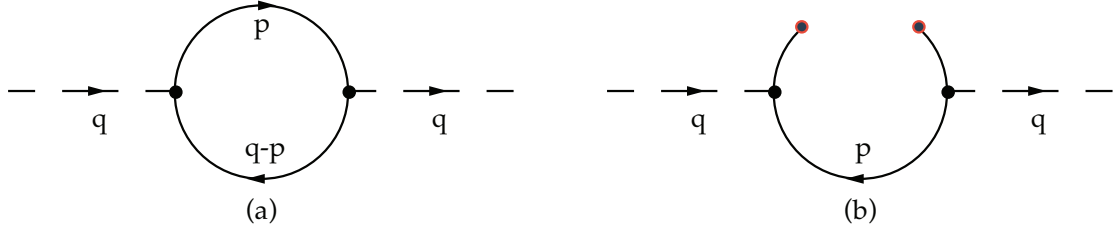


Figure 1.5: Feynman diagrams of the perturbative (a) and the quark-condensate (b) contribution. The upper part of the right diagram is not wick-contracted and responsible for the condensate.

taken from the mathematical expression for the scalar correlator

$$\begin{aligned} \Pi(q^2) = & -\frac{i}{4q^2(D-1)} \int d^D x e^{iqx} \langle \Omega | T \{ : \bar{u}(x) \gamma^\mu u(x) - \bar{d}(x) \gamma^\mu d(x) : \\ & \times : \bar{u}(0) \gamma_\mu u(0) - \bar{d}(0) \gamma_\mu d(0) : \} \rangle. \end{aligned} \quad (1.3.5)$$

To extract the dimension zero Wilson coefficient we apply Wick's theorem to contract all of the fields, which represents the lowest order of the perturbative contribution. The calculation is only using standard PT and we will restrict ourselves in displaying the result and omitting the calculation³.

$$\begin{aligned} \Pi(q^2) = & \frac{i}{4q^2(D-1)} (\gamma^\mu)_{ij} (\gamma_\mu)_{kl} \int d^D x e^{iqx} \\ & \times \left[\overline{u_{j\alpha}(x) \bar{u}_{k\beta}(0)} \cdot \overline{u_{l\beta}(0) \bar{u}_{i\alpha}(x)} + (u \rightarrow d) \right] \\ & = \frac{3}{8\pi^2} \left[\frac{5}{3} - \log \left(-\frac{q^2}{\nu^2} \right) \right]. \end{aligned} \quad (1.3.6)$$

To calculate the higher dimensional contributions of the OPE we use the same techniques as before, but leave some of the fields uncontracted. Thus instead of applying Wick's theorem for all possible contractions fields, we leave some fields uncontracted. For leaving the quark field uncontracted in [eq. 1.3.5](#) we get

$$\begin{aligned} \Pi(q^2) = & \frac{i}{4q^2(D-1)} (\gamma^\mu)_{ij} (\gamma_\mu)_{kl} \int d^D x e^{iqx} \left[\right. \\ & + \overline{u_{j\alpha}(x) \bar{u}_{k\beta}(0)} \cdot \langle \Omega | : \bar{u}_{i\alpha}(x) u_{l\beta}(0) : | \Omega \rangle \\ & \left. + \overline{u_{l\beta}(0) \bar{u}_{i\alpha}(x)} \cdot \langle \Omega | : \bar{u}_{k\beta}(0) u_{j\alpha}(x) : | \Omega \rangle + (u \rightarrow d) \right]. \end{aligned} \quad (1.3.7)$$

³The interested reader can follow [[Pascual1984](#)] for a detailed calculation.

Here we can observe the condensates as non-vanishing vacuum values of normal ordered product of fields:

$$\langle \Omega_{\text{QCD}} | \bar{q}(x) q(0) | \Omega_{\text{QCD}} \rangle \neq 0. \quad (1.3.8)$$

We emphasised the QCD vacuum Ω_{QCD} , which is responsible for vacuum expectation values different than zero. E.g. for a vacuum of QED this contributions would vanish by definition. Pictorial the condensates take form of unconnected propagators, sometimes marked with an χ , as seen in [fig. 1.5](#).

To make the non-contracted fields local, we can expanded them in x

$$\begin{aligned} \langle \Omega | : \bar{q}(x) q(0) : | \Omega \rangle &= \langle \Omega | : \bar{q}(0) q(0) : | \Omega \rangle \\ &+ \langle \Omega | : [\partial_\mu \bar{q}(0)] q(0) : | \Omega \rangle x^\mu + \dots \end{aligned} \quad (1.3.9)$$

and introduce a standard notation for the localised condensate

$$\langle \bar{q} q \rangle \equiv \langle \Omega | : \bar{q}(0) q(0) : | \Omega \rangle. \quad (1.3.10)$$

Finally, the contribution to the rho scalar correlator is then given by the following expression

$$\Pi_{(\rho)}(q^2) = \frac{1}{2} \frac{1}{(-q^2)^2} \left[m_u \langle \bar{u} u \rangle + m_d \langle \bar{d} d \rangle \right]. \quad (1.3.11)$$

Here we can clearly see that for dimension four we get a factor of $1/(-q^2)^2$, which is responsible for the suppression of the series. The condensates $\langle \bar{u} u \rangle$ and $\langle \bar{d} d \rangle$ are numbers, that have to be derived by phenomenological fits or LQCD. Fortunately once found, the value of the condensate can be used for any process.

In summary we note that the usage of the OPE and its validity is far from obvious. We are deriving the OPE from matching the Wilson-coefficients to Feynman-graph analyses. These Feynman-graphs are calculated perturbatively but the coefficients with dimension $D > 0$ correspond to NPT condensates! The condensates by themselves have to be gathered from external, NPT methods.

Now that we have a tool to deal with the problematic QCD vacuum and NPT-effects we are left with two problems. First we still do not know how to deal with hadronic states in the quark-gluon picture. This will be tackled by Duality. Secondly we have seen that we can access the two-point function theoretically on the physical sheet except for the positive real axis, due to its analytic

properties, but that the experimental measurable spectral function is solely be defined on the positive real axis. Thus we need to make use of Cauchy's Theorem. In total we will bring together the two-point function, the OPE, Duality and Cauchy's theorem to formulate the QCDSR.

1.4 Sum Rules

The QCDSR are a procedure in phenomenology to bridge the fundamental degrees of QCD, in our case the strong coupling, to the observable spectrum of hadrons. To do so we have to treat the in [section 1.2](#) introduced two-point function in non-perturbatively with the help of the OPE

$$\Pi(s) \rightarrow \Pi_{\text{OPE}}(s). \quad (1.4.1)$$

QCDSR introduce an ad hoc assumption, namely *quark-hadron duality*, of stating that the observable hadron picture can be equally described by the QCD quark-gluon picture. As the experimentally measurable hadronic states are represented in poles and cuts on the positive real axis of the two-point function, which we have encountered in the analytic properties of its spectral decomposition, the QCDSR give us a description on how to apply *Cauchy's theorem* and weight functions to take care of perturbative complications close to the positive real axis.

In the following we will follow the order of the short introduction of QCDSR to explain them, using the same order as before, in more details.

1.4.1 Dispersion Relation

We have already seen the spectral decomposition of the two-point function in [eq. 1.2.8](#), which is also referred to as dispersion relation. The relation can also be arrived by solely using the analytic properties of the two-point function, which is analytic on the physical sheet, except for the positive real axis. For the derivation we need to make use of *Cauchy's integral formula*

$$f(a) = \frac{1}{2\pi i} \oint_{\gamma} \frac{f(z)}{z-a} dz, \quad (1.4.2)$$

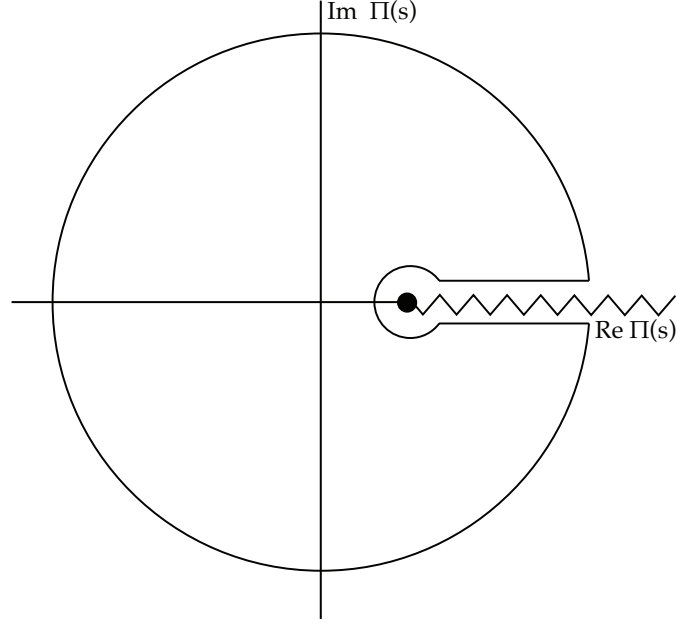


Figure 1.6: Analytical structure of $\Pi(s)$ with the used contour \mathcal{C} for the final QCD Sum Rule expression ??.

which states that, we can evaluate $f(a)$ by integrating over a closed contour, under the conditions that $f(z)$ is holomorphic on the contour γ and the point a is inside the closed contour. In addition we also make to use of *Schwartz reflection principle*:

$$f(\bar{z}) = \overline{f(z)}, \quad (1.4.3)$$

which can be applied if f is analytic and takes only real values on the real axis. Thus for the scalar two-point function we get

$$\begin{aligned} \Pi(s) &= \frac{1}{2\pi i} \oint_{\gamma} \frac{\Pi(s')}{s' - s} ds' \\ &= \frac{1}{2\pi i} \left[\int_0^R \frac{\Pi(s' + i\epsilon)}{s' - s + i\epsilon} ds' + \int_R^0 \frac{\Pi(s' - i\epsilon)}{s' - s - i\epsilon} ds' + \int_0^{2\pi} \frac{\Pi(Re^{i\theta})}{Re^{i\theta} - s} d\theta + \int_{2\pi}^0 \frac{\Pi(Re^{i\theta})}{Re^{i\theta} - s} d\theta \right] \\ &= \frac{1}{2\pi i} \int_0^R \frac{\Pi(s') - \Pi^*(s')}{s' - s - i\epsilon} ds' = \frac{2\pi i}{2\pi i} \int_0^R \frac{\rho(s')}{s' - s - i\epsilon} ds' \end{aligned} \quad (1.4.4)$$

where we have used Cauchy's integral formula in the first line, Schwartz reflection principle in the third line and been sloppy to set the circular contours to zero. Taking the circle to infinity, we can recover the previously seen spectral decomposition from purely analytic properties of the scalar two-point func-

tion, with a polynomial coming from the before neglected circular contour integrations

$$\Pi(s) = \int_0^\infty \frac{\rho(s')}{s' - s - i\epsilon} + P(s). \quad (1.4.5)$$

Note that we have used the analyticity of the two-point function to

1.4.2 Duality

We have seen, that QCD treats quarks and gluon as its fundamental DOF, but due to confinement we are only ever able to observe hadrons. The mechanism that connects the two worlds is the *quark-hadron duality* (or simply duality), which implies that physical quantities can be described equally good in the hadronic or in the quark-gluon picture. Thus we can connect experimental detected with theoretically calculated values from the two-point function in the dispersion relation as

$$\Pi_{\text{th}}(s) = \int_0^\infty \frac{\rho(s')_{\text{exp}}}{s' - s - i\epsilon} + P(s), \quad (1.4.6)$$

where we connected the theoretical correlator Π_{th} with the experimental measurable spectral function ρ_{exp} . A detailed discussion of duality has been given by the author of the SHIFMAN2000.

1.4.3 Finite Energy Sum Rules

To theoretical calculate the two-point function we have to integrate the experimental data $\rho_{\text{exp}}(s)$ to infinity. No experiment will ever take data for an infinite momentum s and for tau-decays we are currently limited to energies around the tau-mass of 1.776. To deal with the upper integration limit several approaches have been made. One of them, the *Borel transformation* is to exponentially suppress higher energy contributions (see [Weinberg1996, Rafael1997]). The technique we are using is called *finite energy sum rules* (FESR) and introduces a energy cutoff. We thus integrate the experimental data $\rho(s)$ only to a certain energy s_0 , like

$$\Pi(s) = \int_0^{s_0} \frac{\rho(s')}{s' - s - i\epsilon} + P(s). \quad (1.4.7)$$

Unfortunately we still cannot theoretically evaluate *right-hand side* (RHS) as the line integral includes the singularities of the spectral function. As a result we

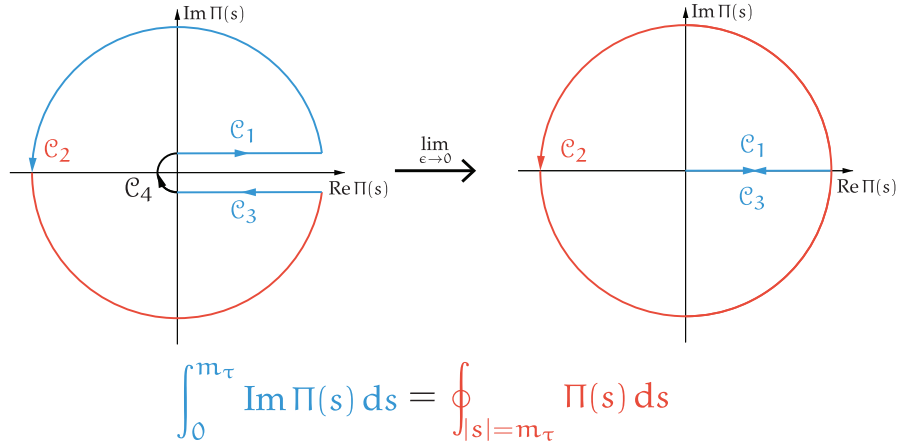


Figure 1.7: Visualization of the usage of Cauchy's theorem to transform ?? into a closed contour integral over a circle of radius s_0 .

have to apply Cauchy's theorem one last time. The calculation is similar to the dispersion relation we derived in ?? and is visualised in fig. 1.7. Therefore we can avoid the positive real axis, by introducing a closed contour integral, in the theoretical calculation of the two-point function

$$\int_0^{s_0} \rho(s) ds = \frac{-1}{2\pi i} \oint_{|s|=s_0} \Pi(s) ds. \quad (1.4.8)$$

We are furthermore free to multiply the upper equation with an analytic function $\omega(s)$, which completes the FESR

$$\int_0^{s_0} \omega(s) \rho(s) ds = \frac{-1}{2\pi i} \oint_{|s|=s_0} \omega(s) \Pi_{\text{OPE}}(s) ds \quad (1.4.9)$$

where the *left-hand side* (LHS) is given by the experiment and the RHS. can be theoretically evaluated by applying the OPE of the correlator $\Pi_{\text{OPE}}(s)$. The analytic function $\omega(s)$ plays the role of a weight. It can be used to further suppress the non-perturbative contributions coming from as *duality violations* and also enhance or suppress different contributions of the OPE as we will see.

For the interested reader we gathered several introduction texts to the QCDSR, which where of greate use to us [Narison1989, Rafael1997, Colangelo2000, Dominguez2013].