

513 CHAPTER 4

514 ANALYSIS

515 In this chapter, the details of antiproton analysis will be given, including all the steps of  
516 deriving the time averaged and time dependent antiproton to proton flux ratio. To determine  
517 the flux ratio, the definition of flux should be given first. In general, the flux is calculated  
518 by:

$$\Phi(|R|) = \frac{N(|R|)}{\Delta R \cdot T(|R|) \cdot A(|R|) \cdot \epsilon(|R|)} \quad (4.1)$$

519 where  $N(|R|)$  is the event count numbers,  $\Delta R$  is the rigidity bins,  $T(|R|)$  is the measuring  
520 time, and the  $\epsilon(|R|)$  is the trigger efficiency,  $A(|R|)$  is the effective acceptance. All the  
521 rigidity should be the true rigidity of the event, while the event number from the template  
522 fit is obtained as a function of reconstructed rigidity. Therefore unfolding procedure should  
523 be done regarding this issue. This will be discussed further in section 4.8.

524 In section 4.1, the data reconstruction and selection is discussed. Section 4.2 shows the  
525 construction of charge confusion estimator. Section 4.3 describes how the TRDlikelihood  
526 estimator is constructed. In section 4.4, the template fit procedures to get the antiproton  
527 signals in different rigidity ranges are shown. Section 4.5 gives the detail about how to  
528 calculate the effective acceptances of antiproton and proton. In section 4.6, the measuring  
529 time used in this analysis is determined. In section 4.7, the trigger efficiency used in this  
530 analysis is calculated. Section 4.8 shows the unfolding procedure. In section 4.9, the formula  
531 for calculation of antiproton to proton flux ratio is derived. In section 4.10, the different  
532 systematic uncertainties in different rigidity ranges are discussed.

533 **4.1. Data Selection**

534 **4.1.1. AMS-02 Data and Monte Carlo Simulation**

535 This section shows the data used in this analysis and the complete list of cuts and selections.  
536 In this analysis, the used AMS-02 experiment data is collected from 20.May 2011 to 03.May  
537 2021. Raw collected data need some calibration and alignment work and then could be  
538 reconstructed via AMS-02 official software (named gbatch), resulting in the analysis data  
539 stored in ROOT file format. The ROOT data analysis format is developed at CERN that is  
540 dedicated for High energy particle physics analysis [88] . Furthermore, a software developed  
541 in Aachen called ACSoft is used to generate data in a higher-level structure called ACQT  
542 [89] . The analysis in this thesis is based on the pass7 version data (reconstructed via gbatch  
543 in version B1130).

544 The rigidity bin used in this analysis is the same as the one used in the previous AMS-02  
545 proton analysis [90] , which is determined by rigidity resolution. In rigidity higher than 80.5  
546 GV, the rigidity bins are merged in every two bins to increase antiproton statistics.

547 The sun is not a solid body but is made of gas plasma. Due to the solar rotations, different  
548 latitudes would show different rotation periods. From the view of the Earth, the solar  
549 rotations can be quantified with the Bartels Rotation Numbers. The Bartels Rotation  
550 Numbers is exactly 27 days, close to the synodic rotation period [91] . The starting counting  
551 was from 8th Feb 1832, and this day was arbitrarily assigned by Julius Bartels.

552 For time dependent analysis, the collected ISS data is divided into six Bartels Rotations  
553 time bins. Because of the rigidity cutoff, the statistic in the low rigidity range in each  
554 time interval is limited. Therefore, the rigidity bins are merged in every two original time  
555 averaged rigidity bins in time dependent antiproton analysis. The data collection used in  
556 this thesis started in May 2011, which is Bartels Rotation 2426, and ended in May 2021,  
557 which is Bartels Rotation 2561. In total, the data can be divided into 23 intervals of six  
558 Bartels Rotations though the last time bin has less data than the full six Bartels Rotations.

559 Due to the technical problems in tracker pumps and a repair mission for new TTCS systems  
560 from Nov 2019 to Jan 2020, the operation mode frequently changed during some periods  
561 and the tracker had to turn off. In those periods, the data taking was excluded and not  
562 used in this analysis.

563 To validate the sub detector's performance and study the detector's operation, an extensive  
564 set of MC simulations has been done by the AMS-02 collaboration with the help of the  
565 Geant4 framework [92, 93] . This includes the interaction with all the sub-detectors and  
566 their support structure. In this thesis, all the AMS-02 MC events are generated from the  
567 top of the experiment with a 3.9 meters plane, the solid angle of the generated event is  $\pi \cdot \text{sr}$ ,  
568 and the generated momentum spectrum is either a power law with spectrum index -2.7 or  
569 a constant in  $\log(p)$  axis. By comparing the data distributions in different variables, the

570 sub-detectors response for different cosmic rays can be systematically studied.

571 In this thesis, the used MC datasets are protons, antiprotons, and electrons. They are  
572 generated in different momentum ranges for various purposes. For example, one of the main  
573 purposes of using MC proton data in this analysis is to study proton charge confusion, which  
574 is proton events but measured with the wrong rigidity sign. The reasons are finite tracker  
575 rigidity resolution and the interactions with the sub-detectors [94]. By selecting the negative  
576 rigidity data samples from the proton MC dataset, the proton charge confusion data can be  
577 selected. More detail will be discussed in 4.2. Some other usages like calculating effective  
578 acceptance and determining the systematic uncertainties due to acceptance will be shown  
579 in detail later in this chapter.

580 For the simulated MC events, the generated momentum spectrum does not perfectly match  
581 the realistic spectrum. This could introduce bias in some variable distributions in MC. In  
582 order to correct this, the weight of MC events should be reassigned by calculating the ratio  
583 of event counts over reference flux. For example, the re-weighting of the proton MC dataset  
584 uses AMS-02 published proton flux result [90] as reference flux. The re-weighting factor  
585 can be obtained by dividing the MC event count by reference event counts in each rigidity  
586 bin. The acquired re-weighting factor will be used in filling variable histograms for further  
587 procedure.

588 Up to May 2021, the AMS-02 experiment has collected more than 174 billion cosmic rays  
589 events. To select antiproton events from them, cuts and selections must be put on first.  
590 There are two levels of selection, the first is the preselection, and the second is the selection.  
591 In the next few subsections, the definition of all selections and passing ratios will be given.

#### 592 4.1.2. Preselection Cuts

593 The first level of cuts and selections is preselection. The purpose is to discard data taken in  
594 bad sub-detectors operations or in bad quality. These selections are general and should be  
595 applied before any cosmic ray component analyses. The preselection consists of two parts:  
596 data taking quality cuts and analysis data quality cuts.

597 Data taking quality cuts require all the sub-detectors running in nominal conditions, and  
598 the data taking condition is normal. The first one excludes the period that any sub-detector  
599 has some special operations or tests. For example, the TRD gas refill takes place around  
600 every month. In this period, the data taken is not included in this analysis. The second  
601 one requires that the data taking period is normal. For instance, if the ISS is in the South  
602 Atlantic Anomaly (SAA) area, the data taken in this period is not included in this analysis.  
603 In summary, the table of 4.1 shows the pass ratio of all the data taking quality cuts.

604 After the data taking quality cuts, all the pass data are taken in the normal operation period.  
605 But for analysis, further quality selections are needed to ensure the analysis based on these  
606 data is meaningful. The analysis data quality cuts are used to discard the low quality

Table 4.1: List of data taking quality cuts

Cuts	Description	Pass Ratio
Bad Runs	Remove events in bad sub-detector status	99.73 %
Second Within Run	Remove events without a run ID	99.92 %
Bad Reconstruction Period	Remove events with bad reconstruction efficiency	95.15 %
Bad Facing Angle	Remove events in rotated ISS status	99.78 %
No Missed Events	Remove seconds with more than 10% events missing	99.91 %
Bad Live Time	Remove seconds with live time fraction (see section 4.6) < 0.5	95.67 %
Too Many Events In Second	Remove seconds with too many events	97.86 %
Good Alignment	Remove events without good alignment	99.86 %
High TRD Occupancy Period	Remove events with too high TRD occupancy	97.80 %
No Hardware Errors	Remove events with hardware errors	99.91 %

607 collected data then the analysis is based on relatively golden data. In 4.2, the complete list  
 608 of analysis data quality cuts and the correspondent pass ratios are shown.

Table 4.2: List of analysis data quality cuts

Cuts	Pass Ratio
Has TOF Beta Measurement	68.02 %
Particle is Downgoing	88.03 %
Has Hits in Central Inner Tracker	70.16 %
Has Single Tracker Track	61.01 %
Tracker Track Fit Chi2 in X	97.33 %
Tracker Track Fit Chi2 in Y	90.64 %
Has Hits in all four TOF Layers	89.44 %

- 609 • The **Has TOF Beta Measurement** requires that the TOF beta measurement is  
 610 available. The TOF beta is used to separate antiproton signals and backgrounds in  
 611 low rigidity ranges.
- 612 • The **Particle is Downgoing** is the cut on particle going direction. By requiring  
 613 TOF beta measurement is positive, the particle going from upper TOF to lower TOF  
 614 is selected.
- 615 • The **Has Hits in Central Inner Tracker** requires hits in tracker layer 3 or 4, 5 or 6,  
 616 7 or 8. To have an accurate rigidity measurement, the tracker hits inside the magnet  
 617 is necessary. Therefore central inner tracker should have enough hits to construct the  
 618 rigidity.
- 619 • The **Has Single Tracker Track** requires that for each event, only one reconstructed

620 tracker track is found. To avoid multiple tracker tracks produced by interaction, this  
621 analysis only uses single tracker track events.

- 622 • The **Tracker Track Fit Chi2 in X** and **Tracker Track Fit Chi2 in Y** are the cuts  
623 on tracker track fit Chi2 less than 10 in X and Y directions respectively. To ensure  
624 the events used for analysis have good tracker track fit and rigidity correspondently,  
625 the cuts on Chi2 in bending and unbending directions are mandatory.
- 626 • The **Has Hits in all four TOF Layers** requires that all the four TOF layers have  
627 hits. Since the TOF provides trigger and also the beta measurement, hits on all four  
628 TOF layers give a precise response of TOF.

629 **4.1.3. Quality Cuts**

630 The preselection is independent of the analysis topic. For the antiproton to proton ratio  
631 analysis, some dedicated selections need to be applied further. These cuts are mainly used  
632 to select charge one particle and ensure good quality analysis events. To have good quality  
633 analysis variables like particle charge or beta, the basic reconstruction of events needs to be  
634 done with the minimum response of sub-detectors. In 4.3, the table shows all the selections  
635 used in this analysis.

Table 4.3: List of quality cuts

Cuts	Pass Ratio
Tracker Charge Cut	87.16%
Upper TOF Charge Cut	97.46%
Lower TOF Charge Cut	97.22%
TRD Number Of Raw Hits Cut	98.89%
TRD Active Layers Cut	90.71%
Tracker Track In Trd Acceptance Cut	87.48%
TRD TOF Track Match XY Cut	96.76%

- 636 • The **Tracker Charge Cut** is the cut on the inner tracker charge measurement. With  
637 the cut  $0.7 < \text{inner tracker charge} < 1.3$ , the charge one particle is selected from the  
638 tracker. In the low rigidity analysis, the hits on the tracker track L1 and L9 are not  
639 required. Therefore only the charge measurement in the inner tracker is guaranteed.
- 640 • The **Upper TOF Charge Cut** is the cut on upper TOF charge measurement. The  
641 lower value is 0, which cuts away the bad charge reconstruction events, and the higher  
642 value is 1.5, which cuts away charge two and higher events.
- 643 • The **Lower TOF Charge Cut** is the cut on lower TOF charge measurement. The  
644 lower limit is 0 and the higher limit is 2. Due to the possible interaction between the  
645 two TOF layers, the cut value on lower TOF is wider than on upper TOF.
- 646 • The **TRD Number Of Raw Hits Cut** requires  $8 < \text{TRD Number Of Raw Hits} <$

647        1000. To have a minimum response of TRD, the minimum cuts on TRD raw hits are  
648        necessary. This ensures a good reconstruction of TRD variables.

- 649        • The **TRD Active Layers Cut** requires  $14 < \text{TRD Active Layers} < 20$ . To ensure  
650        a good TRD measurement of the event and construct the TRDLikelihood precisely, a  
651        minimum of TRD active layers is required.
- 652        • The **Tracker Track In Trd Acceptance Cut** requires that the tracker track of the  
653        event is inside TRD's geometrical acceptance. Therefore, the tracker track produced  
654        from the side or from interaction could be reduced.
- 655        • The **TRD TOF Track Match XY Cut** cut on the distance between the TRD track  
656        and the TOF track less than 40 cm. This ensures that the TRD track and TOF track  
657        are consistent with each other and a clean traverse path is obtained.

658        **4.2. Charge Confusion Estimator**

659        Due to the finite rigidity resolution or the interactions with the AMS sub-detectors, protons  
660        could be misconstrued with opposite rigidity signs. This is called "Charge Confused Pro-  
661        tons". The charge confused protons can mimic the behavior of charge correct antiprotons.  
662        Therefore, the charge confused protons can go into the antiproton signal ranges when de-  
663        termining the antiprotons. With the rigidity going up, the wrongly reconstructed protons  
664        increase dramatically. So in the high rigidity range, most backgrounds of antiproton signals  
665        are charge confused protons.

666        To solve this problem, the machine learning technique is used. The separation of antiproton  
667        signals and charge confused protons depends on the sign of rigidity. Since there are only  
668        two possible categories: positive rigidity and negative rigidity, the case falls into a binary  
669        classification. After checking the data/MC matching, the proton MC simulation data can  
670        be used in this learning process. In summary, the charge confusion proton case is supervised  
671        learning with two categories.

672        To train the charge confusion classifier estimator, variables containing relevant information  
673        should be used. In this analysis, 16 variables from the sub-detectors are used for training.  
674        Most variables are from the tracker, and the others are from the TOF and the TRD. These  
675        variables are constructed by summarising the characters of charge confused proton events  
676        and are also used in previous AMS-02 antiproton analyses [50] .

677        The training samples are taken from proton MC simulation. By selecting the negative  
678        rigidity events from proton MC data in the absolute rigidity above around 20 GV, the  
679        charge confused protons can be obtained. Since the antiproton and proton only have charge  
680        differences, the antiproton's behavior in sub-detectors is assumed to be the same as the  
681        proton's, but only the rigidity sign is opposite. The charge correct antiproton samples can  
682        be replaced by charge correct proton samples but with opposite rigidity signs.

683 In the appendix A, the complete list of all the 16 variables and their definitions are shown.  
 684 In figure 4.1, the four most important variables and their responses are given as examples  
 685 to illustrate the information of separating the charge correct signal and charge confused  
 686 background.

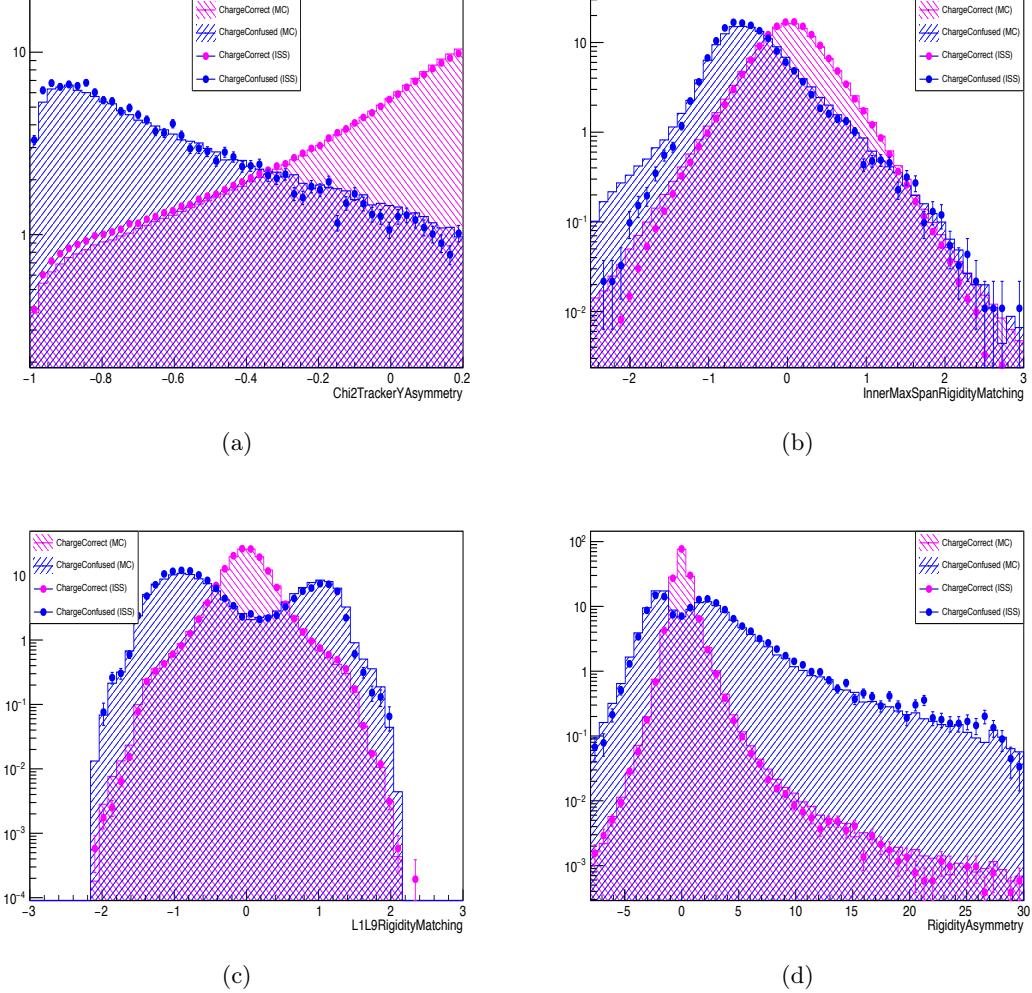


Figure 4.1: Four most important input variables used for training the charge confusion estimator: a). **Chi2TrackerYAsymmetry** b). **InnerMaxSpanRigidityMatching** c). **L1L9RigidityMatching** d). **RigidityAsymmetry**. The points are collected data, and the histograms are proton MC simulation. The pink is the distribution for the charge correct antiprotons, and the blue is the distribution for the charge confused protons.

687 The definitions of the four variables are given here:

688 1 **RigidityAsymmetry** =  $\frac{\text{RigidityInnerL1} - \text{RigidityInnerL9}}{\text{RigidityInnerL1} + \text{RigidityInnerL9}}$ . The RigidityInnerL1 is the rigid-  
 689 ity reconstructed with only the hits in the inner tracker layers and tracker layer 1. The  
 690 RigidityInnerL9 is the rigidity reconstructed with only the hits in the inner tracker

691 layers and tracker layer 9.  
 692 2 **Chi2TrackerYAsymmetry** =  $\frac{\text{Chi2TrackerYInner} - \text{Chi2TrackerY}}{\text{Chi2TrackerYInner} + \text{Chi2TrackerY}}$ . The Chi2TrackerYInner  
 693 is the Chi2 of the Y side tracker track fitting only from the inner tracker layers. The  
 694 Chi2TrackerY is the Chi2 of the Y side tracker track fitting from all the tracker layers.  
 695 3 **InnerMaxSpanRigidityMatching** =  $100 \cdot \left[ \left( \frac{1.0}{\text{RigidityInner}} \right) - \left( \frac{1.0}{\text{Rigidity}} \right) \right] \cdot \frac{R}{|R|}$ . The  
 696 RigidityInner is the rigidity reconstructed only with the hits in the inner tracker layers.  
 697 The Rigidity is the rigidity reconstructed with the hits in all the tracker layers.  
 698 4 **L1L9RigidityMatching** =  $100 \cdot \left[ \left( \frac{1.0}{\text{RigidityInnerL1}} \right) - \left( \frac{1.0}{\text{RigidityInnerL9}} \right) \right] \cdot \frac{R}{|R|}$ . The Rigid-  
 699 ityInnerL1 and RigidityInnerL9 have been defined in the previous value.  
 700 From the figure, we could see that the data and MC have similar distributions. This is  
 701 important for further steps. The estimator training process is based on MC data. In order  
 702 to make sure the trained estimator is applicable for data, the distributions of MC and data  
 703 have to match with each other.  
 704 All four variables contain information about the differences between signal and background.  
 705 From the figure, the differences between signal distribution and background distribution are  
 706 easy to observe. These differences are used for the further training process.  
 707 In the TMVA framework [95] , there are different training methods provided, like Boosted  
 708 Decision Tree (BDT), Support Vector Machine (SVM), Gradient Tree Boosting (GTB), or  
 709 Likelihood method. To achieve the best separation performance, all the methods have been  
 710 tried to get the best separation power. In this analysis, the Boosted Decision Tree (BDT)  
 711 is used as the default method since it provides the best separation between signals and  
 712 backgrounds.  
 713 The proton MC data is divided into positive and negative parts with the same amount of  
 714 events. Each part is divided into train sample, validation sample, and test sample with  
 715 a ratio of 6:3:1. To avoid overtraining, the training process requires the response on the  
 716 training sample should be the same as the response on the validation sample.  
 717 After training, the *charge confusion estimator* is obtained. In figure 4.2, the separation  
 718 between charge correct antiproton signals and charge confused proton backgrounds in an  
 719 example rigidity bin of 147-175 GV can be seen. The peak at 1 means the charge correct  
 720 events, and the peak at 0 means the charge confused events. By setting a cut on the charge  
 721 confusion estimator, the charge correct antiproton samples can be obtained. But in this way,  
 722 some antiproton signals would still be lost and some backgrounds go into the signal range.  
 723 Therefore, a template fit method is required to get the signal numbers precisely. This will  
 724 be shown in section 4.4.

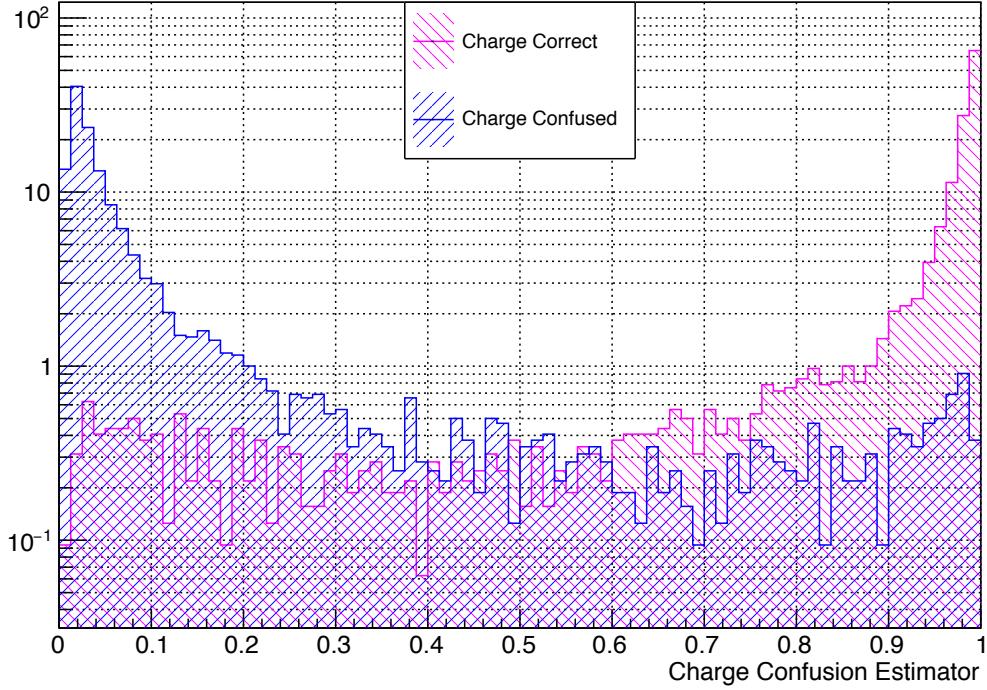


Figure 4.2: The charge confusion estimator response on charge correct antiprotons (pink) and charge confused protons (blue) in 147-175 GV

### 725 4.3. TRD Estimator

726 Except for the charge confusion estimator, another estimator to be constructed before the  
 727 antiproton signal determination is the TRDLikelihood estimator. The charge confusion  
 728 estimator is constructed to separate charge confused protons backgrounds, while the TRD-  
 729 Likelihood estimator is constructed to separate light particle backgrounds like electrons.

730 As introduced in section 3.2, the TRD sub-detector has the power to separate the heavy and  
 731 light particles. When the protons (antiprotons) pass the tubes of TRD, they leave  $dE/dX$   
 732 signals. For the electrons, due to the high Lorenz factor, they emit transition radiation,  
 733 which can be used to distinguish between electrons and protons (antiprotons).

734 In the maximum likelihood method, the energy deposit distributions in TRD are normalized  
 735 and used as the probability distributions for each hit:  $p^k(E_{dep})$ . Then the signals from the  
 736 20 layers are combined to construct a likelihood  $\mathcal{L}$  for each particle specie:

$$\mathcal{L} = \sqrt[n]{\sum_{k=1}^n P^k(E_{dep})} \quad (4.2)$$

737 For example, for electron and proton,  $\mathcal{L}_e$  and  $\mathcal{L}_p$  are constructed. According to Neyman-  
 738 Pearson lemma [63] , the separation power can reach maximum in the form of the log-  
 739 likelihood ratio. Therefore, the TRD estimator is defined as:

$$\Lambda_{TRD} = -\log\left(\frac{\mathcal{L}_A}{\mathcal{L}_A + \mathcal{L}_B}\right) \quad (4.3)$$

740 If A = electron and B = proton, then the likelihood is called *TRDLikelihood*, which provides  
 741 separation power for electron and proton. In figure 4.3, the TRD estimators for electron and  
 742 proton are shown. The two kinds of particles can be very well separated in this estimator,  
 743 as shown in this figure.

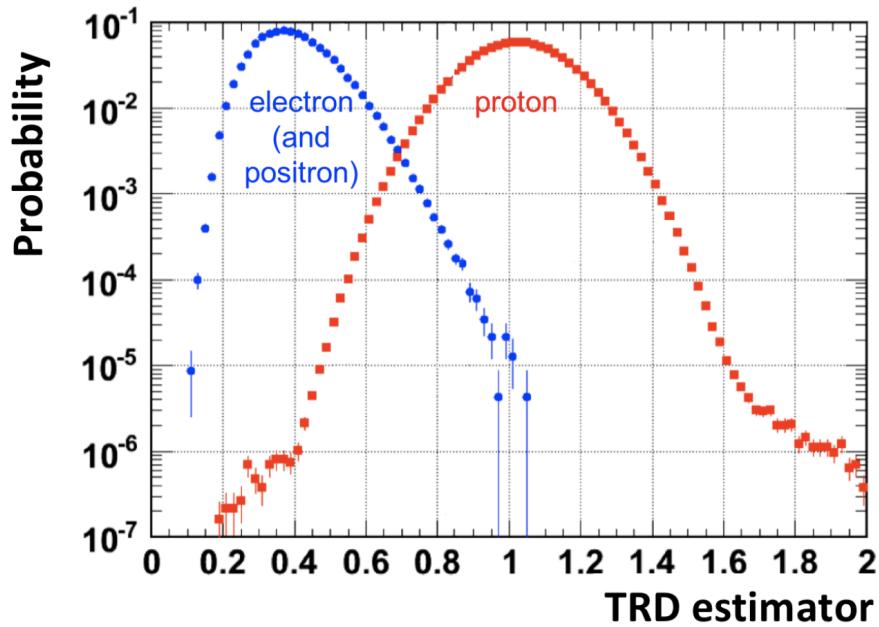


Figure 4.3: Separation between the electrons and protons in TRDLikelihood estimator. [58]

#### 744 4.4. Template Fit

745 In this section, the template fits are shown in detail for time averaged analysis and time  
 746 dependent analysis respectively. For different rigidity ranges, the template fits are different  
 747 due to sub-detector resolutions and background contributions. The selections used to get the  
 748 signal and background templates will be discussed, and then the template fit result will be  
 749 shown. In time dependent analysis, the template fit and the result in six Bartels Rotations  
 750 will be given.

751 4.4.1. Time averaged analysis

752 The first ingredient to construct the antiproton to proton flux ratio is the event number.  
753 Due to the background level is not ignorable, cut-based analysis is not enough to get clean  
754 signals. Therefore, to get the clean signals, the template fit method is needed in this analysis  
755 to extract antiproton signals.

756 In different rigidity ranges, the detector resolutions and background components are differ-  
757 ent. The whole analysis is divided into three independent parts: low rigidity range (1.0 GV  
758 to 6.5 GV), intermediate rigidity range (3.0 to 19.5 GV), and high rigidity range (14.1 to  
759 525 GV). The ranges are used as the same as the one in the previous AMS-02 antiproton  
760 analysis [50] . In each range, a dedicated template fit method is used to get antiproton  
761 signals.

762 Low Rigidity Range

763 In the low rigidity range, most backgrounds are electrons and interaction secondary particles  
764 like pions. The TOF beta can be used to separate antiprotons and backgrounds because  
765 of the different velocities of light particles and antiprotons in the low rigidity range. With  
766 the rigidity going up, the separation power from TOF beta decrease, and at the same time,  
767 the TRD separation power increase, so the TRDLikelihood can take over afterward in the  
768 intermediate rigidity range. A 2D temple fit in TRDLikelihood and TOF beta is used in the  
769 low rigidity range to have a smooth and stable separation power. The range in low rigidity  
770 is from 1.0 GV to 6.5 GV. The lower limit is due to the low statistics after the geometrical  
771 cutoff, and the higher limit is due to TOF beta resolution.

772 After cuts and selections, there are three major components in the data: antiprotons, elec-  
773 trons, and secondaries. The three templates must be constructed first to do the template  
774 fit. The antiproton template is taken from ISS positive rigidity data since the clean proton  
775 data is easy to extract from it, and the rigidity sign does not impact the absolute value  
776 of TOF beta and TRDLikelihood. The electron and the secondaries templates are taken  
777 from the ISS negative rigidity data. To get the clean electron and secondaries from it,  
778 dedicated selections should be applied respectively. Furthermore, after the preselection and  
779 selection introduced in section 4.1, the negative rigidity data to be fitted should be selected  
780 dedicatedly in the low rigidity range. In table 4.4 the full list of selections is shown.

781 In the table of 4.4, most cuts and selections are set with fixed value, while the TOFBetaCut:  
782  $\beta_{low}(R) < \frac{1}{\beta} - \frac{1}{\sqrt{(R^2)/(m_p^2 + R^2)}} < 0.3$ , and TRDLikelihoodCut:  $\Lambda_{low}(R) < \text{TRDLogLikelihood} <$   
783 1.7 are not. These two cuts are the template fit ranges, and the lower edge is rigidity-  
784 dependent. By varying the lower edge of the template fit range, the systematic uncertainty  
785 of the template fit can be evaluated. This will be discussed further later in section 4.10. For  
786 the representative result, the template fit is performed at 90% signal efficiency. The rigidity  
787 dependent lower edges are shown in figure 4.4.

Table 4.4: List of selections for templates

<b>Antiproton template</b>	<b>Electron Template</b>
TOFBetaCut	TOFBetaCut
TRDLikelihoodCut	TRDLikelihoodCut
$\text{TRDLikelihood}_{\text{P/He}} < 0.1$	$\beta_{RICH}$ in RichAgl
TRDVTracksSize=1	$\beta_{RICH} - \frac{-R}{\sqrt{m_e^2 + R^2}} > -0.002$
TRDNumberOfHits<40	TRDSegmentsXZ=1
	TRDSegmentsYZ=1
	TRDNumberOfHits<35
<b>Secondaries Template</b>	<b>Data Selection</b>
TOFBetaCut	TOFBetaCut
TRDLikelihoodCut	TRDLikelihoodCut
$\beta_{RICH}$ in RichAgl	$\text{TRDLikelihood}_{\text{P/He}} < 0.1$
$ \beta_{RICH} - \frac{-R}{\sqrt{m_\pi^2 + R^2}}  < 0.002$	TRDSegmentsXZ=1
TRDSegmentsXZ>1	TRDSegmentsYZ=1
TRDSegmentsYZ>1	
TRDNumberOfHits>50	

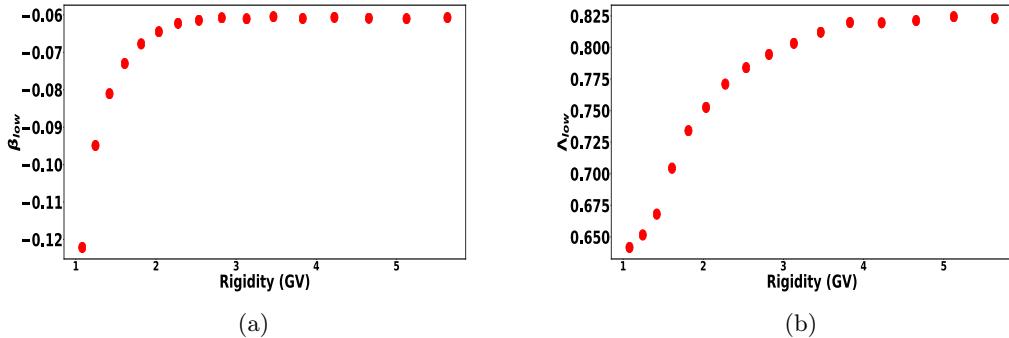
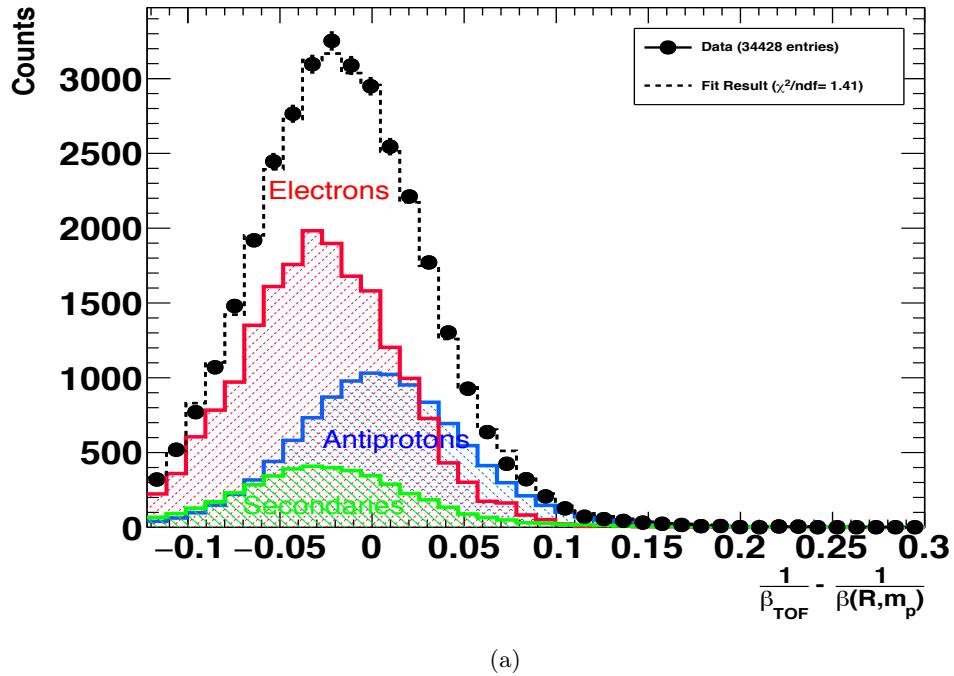
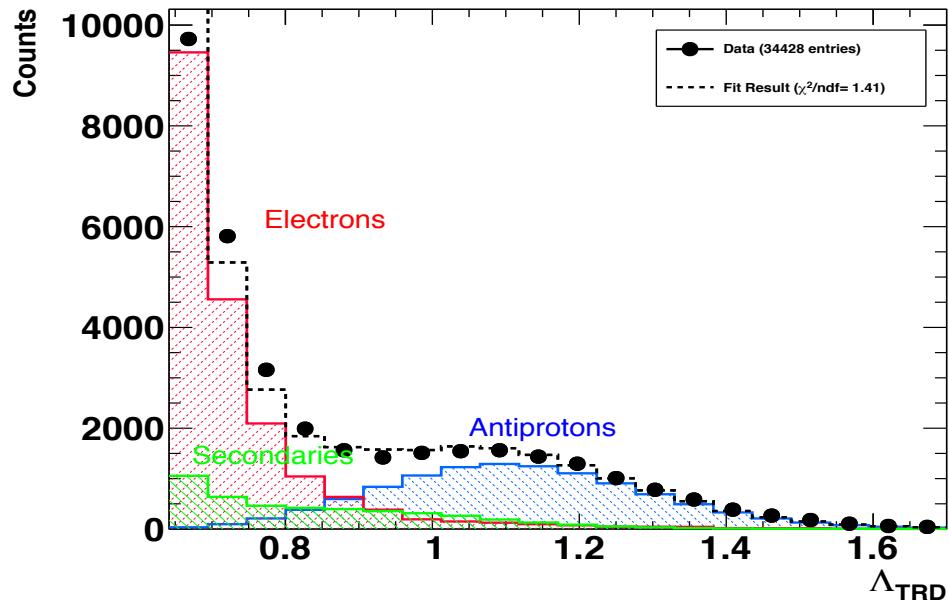


Figure 4.4: The rigidity-dependent lower edge of template fit range for 90% signal efficiency.  
a). Lower edge for TOFBeta. b). Lower edge for TRDLikelihood.

788 In figure 4.5, the two projections of an example template fit in 3.64-4.02 GV are shown. The  
789 three templates are interaction secondaries, electrons, and antiproton signals.



(a)



(b)

Figure 4.5: Example template fit in 3.64 to 4.02 GV in low rigidity range. a).  $1/\text{TOFBeta}$  projection. In this projection, the value is subtracted by the  $1/\beta$  with the assumption of antiproton mass, so the distribution can be normalized to be around 0. b).  $\text{TRDLikelihood}$  projection

790 The fit result gives the antiproton numbers in the low rigidity range. In figure 4.6 the  
791 antiproton number obtained is given. The Chi2/dof of the correspondent template fit is  
792 given in figure 4.7.

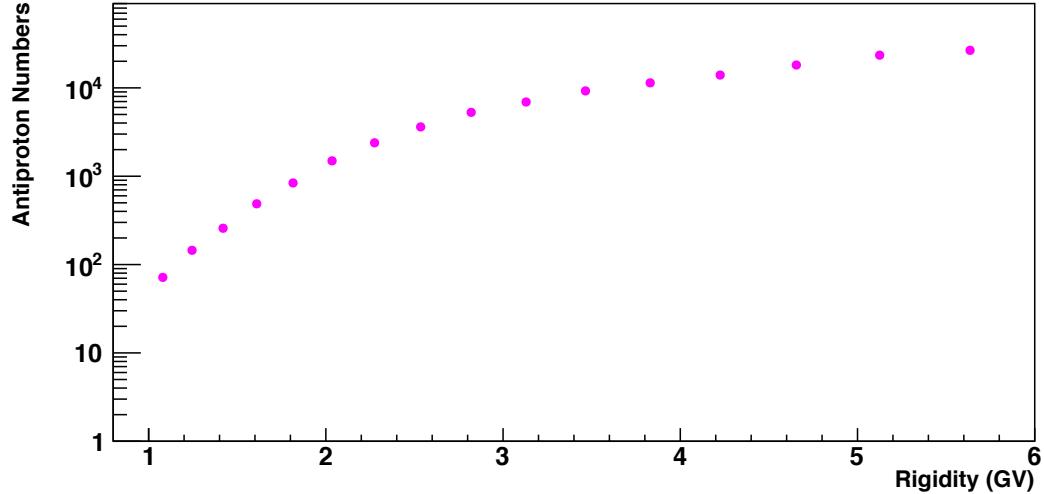


Figure 4.6: The antiproton numbers obtained from the template fit in low rigidity range

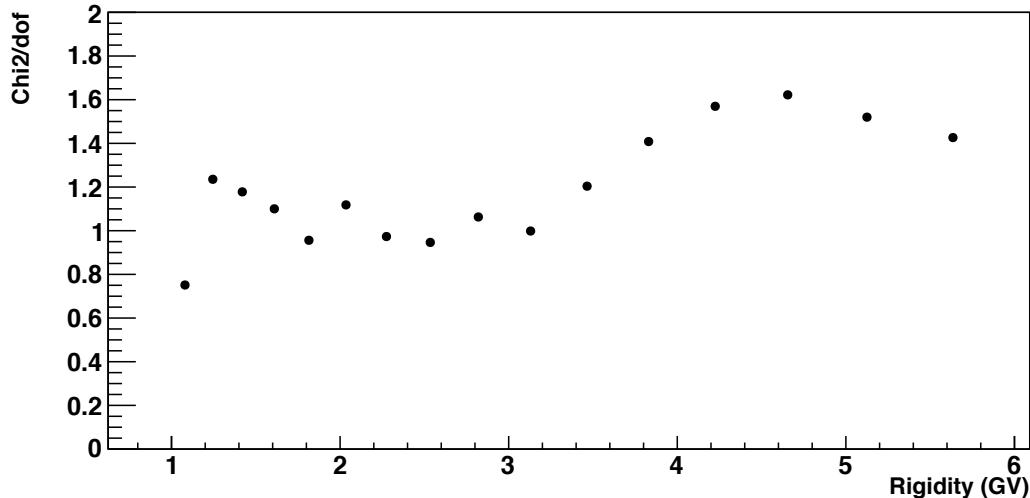


Figure 4.7: The Chi2/dof of template fit in low rigidity range

### 793 Intermediate Rigidity Range

794 In the intermediate rigidity range, the TOF Beta and TRDLikelihood 2D template fit is  
795 replaced by a 1D template fit in TRDLikelihood since the separation power of TOF Beta

796 decreases with the rigidity going up and provides little power in this rigidity range. Above  
 797 20 GV, the component of charge confused protons gradually increases, so it has to be added  
 798 as an additional template. Therefore the 1D template fit can only be implemented up to  
 799 around 20 GV.

800 In the intermediate rigidity range, the interaction secondaries component is ignorable. There-  
 801 fore, the templates in this rigidity range are only antiprotons and electrons. Like the tem-  
 802 plate fit in the low rigidity range, the templates are also taken from ISS data. The antiproton  
 803 is taken from positive rigidity data, and the electron template is taken from negative rigidity  
 804 data. The dedicated selections for data in the intermediate rigidity range are applied before  
 805 the template fit. In table 4.5, the full list of selections to get templates and data selections is  
 806 given. The TRDLikelihoodCut:  $-2.0 < \Lambda_{TRD} < \Lambda_{high}(R)$  represents the template fit range,  
 807 and the rigidity dependent  $\Lambda_{high}(R)$  has the same absolute value as the lower edge in the low  
 808 rigidity range but opposite sign. To avoid the light particle background, the RichBetaCut:  
 809  $\beta_{RICH} < \beta_{high}(R)$  is also applied to restrict in signal range. The  $\beta_{high}(R)$  is determined by  
 810 90% signal efficiency. The ECALBDT is a value trained with ECAL response variables to  
 811 separate protons and electrons. By applying a cut of 0.5 on ECALBDT, a clean electron  
 812 sample can be obtained.

Table 4.5: List of selections for templates

Antiproton template	Electron Template	Data Selection
TRDLikelihoodCut	TRDLikelihoodCut	TRDLikelihoodCut
RichBetaCut	TRDNumberOfHits<35	RichBetaCut
TRDSegmentsXZ=1	ECALBDT>0.5	TRDSegmentsXZ=1
TRDSegmentsYZ=1	TRDSegmentsXZ=1	TRDSegmentsYZ=1
	TRDSegmentsYZ=1	

813 In figure 4.8, an example template fit of 10.1-11 GV is shown. The antiproton signals can  
 814 be separated well with electron backgrounds.

815 The obtained antiproton number from the template fit is shown in figure 4.9. The corre-  
 816 spondent Chi2/dof in intermediate rigidity range is given in 4.10.

### 817 High Rigidity Range

818 In the high rigidity range, the contribution of charge confusion protons increases with the  
 819 rigidity going up. Therefore, the charge confusion estimator trained in section 4.2 should be  
 820 used to separate antiprotons and charge confused protons. For electron separation, the TRD  
 821 provides separation power, like in the low and intermediate rigidity range. In summary, a  
 822 2D template fit in charge confusion estimator and TRDLikelihood estimator is performed  
 823 in this range to get the antiproton signal.

824 In the 2D template fit, the three templates are antiprotons, electrons, and charge confused

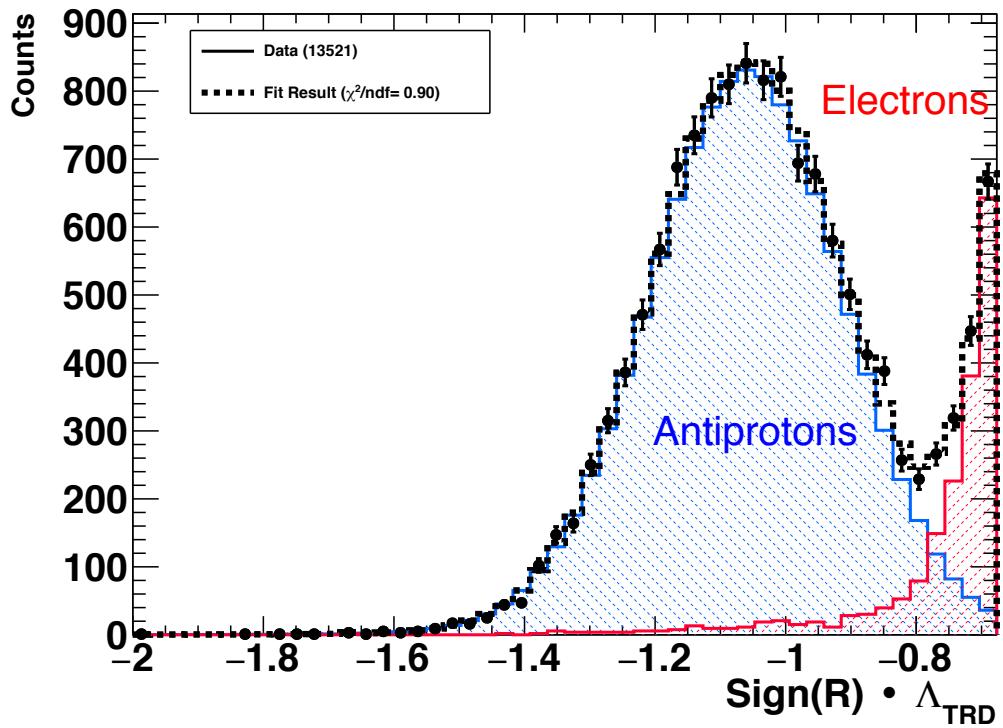


Figure 4.8: Example template fit in 10.1 to 11 GV in intermediate rigidity range

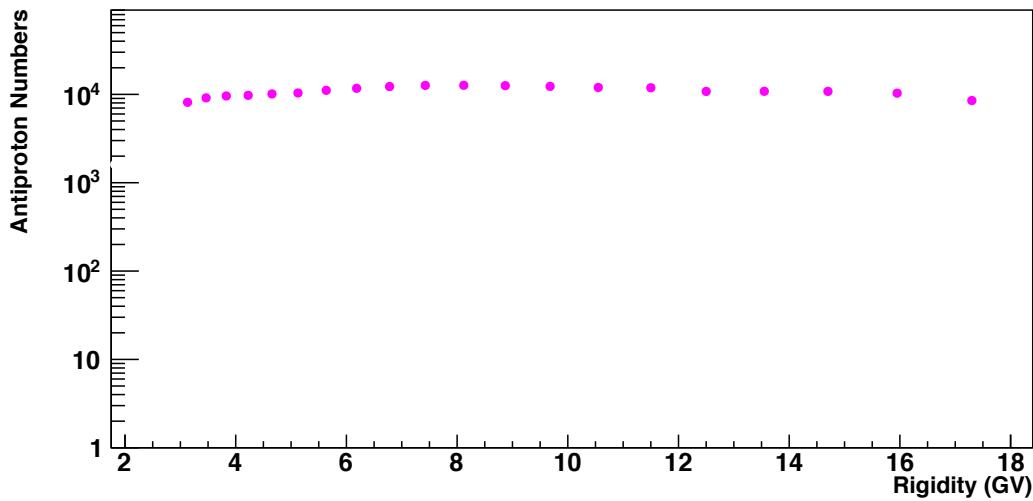


Figure 4.9: The antiproton numbers obtained from the template fit in intermediate rigidity range

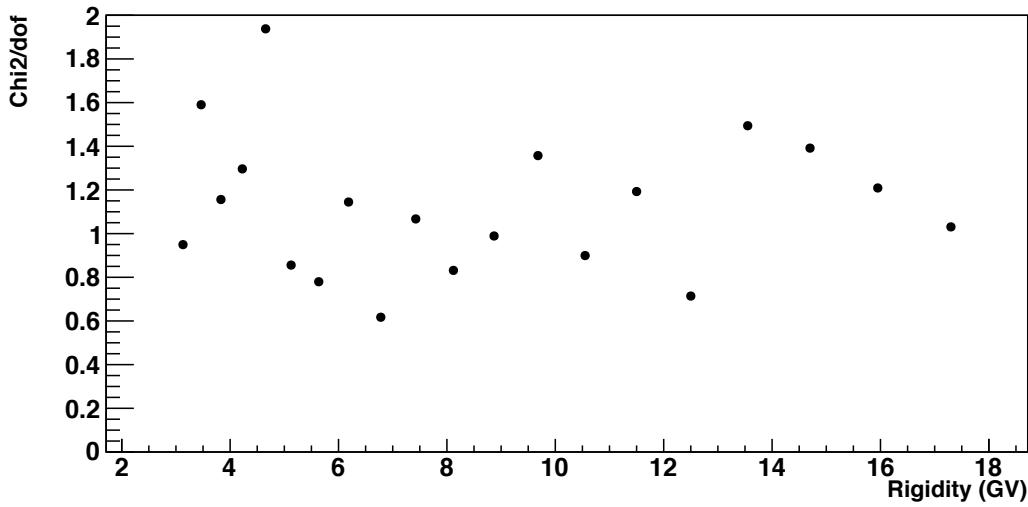


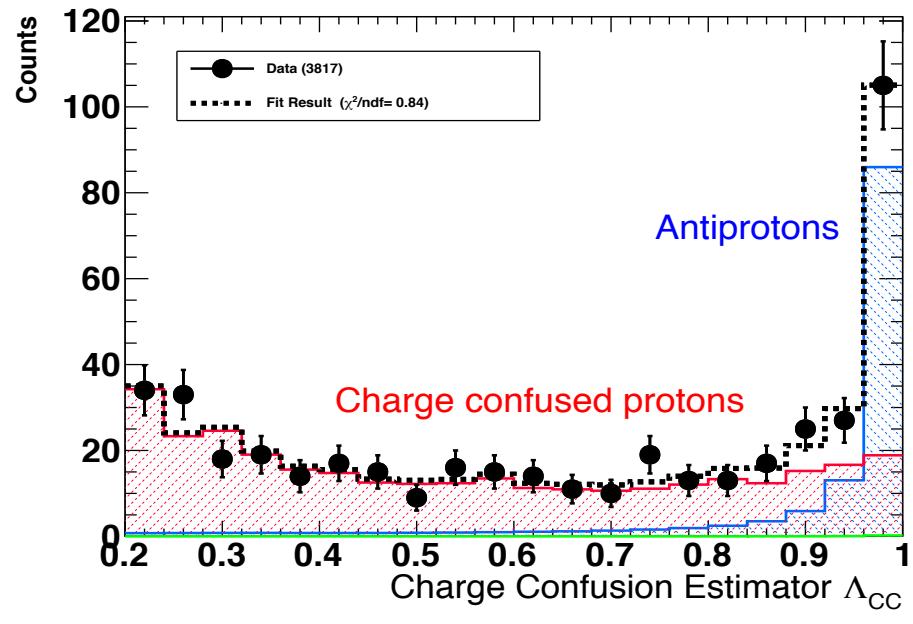
Figure 4.10: The Chi2/dof of template fit in intermediate rigidity range

825 protons. The antiproton template is taken from ISS positive rigidity data, and the electron  
 826 template is taken from ISS negative rigidity data by selecting  $0 < \text{ECALBDT}$ , the charge  
 827 confused proton is taken from proton MC simulation by selecting negative rigidity. To avoid  
 828 the contamination of Helium, the  $\text{TRDLikelihood}_{\text{P}/\text{He}} < 0.3$  cut is applied for the negative  
 829 rigidity data before template fit.

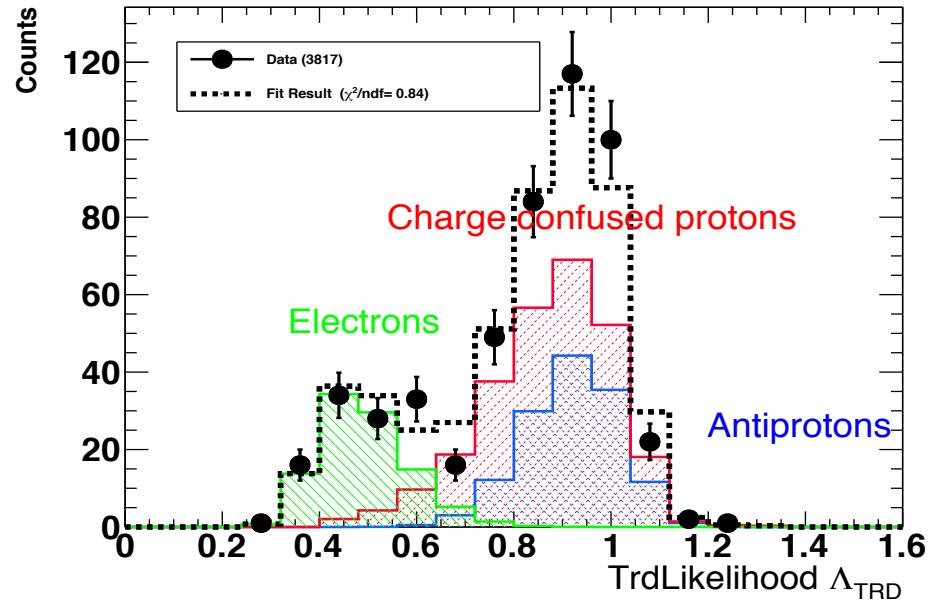
830 In figure 4.11, an example template fit in 175-211 GV is shown. To illustrate the separation,  
 831 the 2D template fit is shown in two projections. In the charge confusion estimator projec-  
 832 tion, the antiproton and charge confusion protons can be separated. In the TRDLikelihood  
 833 projection, the antiproton and electron can be separated.

834 The antiproton got from the 2D template fit in the high rigidity range is given in figure 4.12.  
 835 The correspondent Chi2/dof is given in 4.13.

836 Once the template fits in the three rigidity range is done, the antiproton numbers from 1.0  
 837 to 525 GV can be obtained. In total, 481959 antiprotons are determined in this analysis.



(a)



(b)

Figure 4.11: Example template fit in 175 to 211 GV in high rigidity range. a). The charge confusion estimator projection b). The TRDLikelihood projection

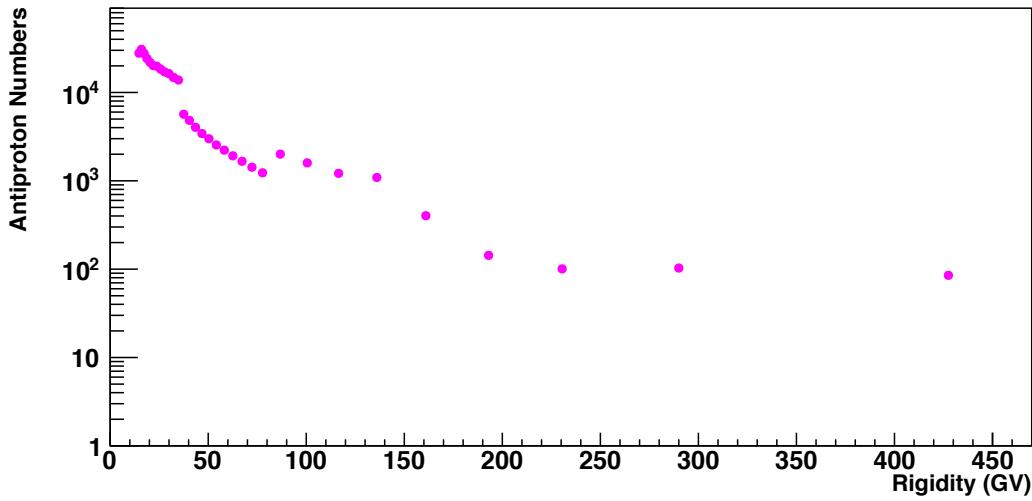


Figure 4.12: The antiproton numbers obtained from the template fit in the high rigidity range. The fluctuation is due to either merged rigidity bins width or usage of different tracker patterns.

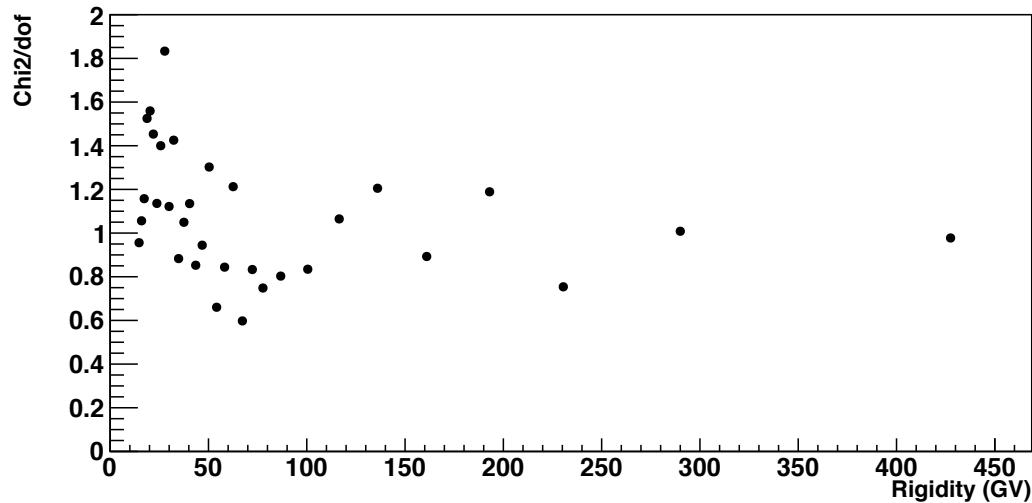


Figure 4.13: The Chi2/dof of template fit in high rigidity range

#### 838 4.4.2. Time dependent analysis

839 For the time dependent analysis, the template fit strategy is the same as the one used in  
 840 the time averaged analysis. The data is divided into every six Bartels Rotations bin. In  
 841 each time bin, a template fit is performed to get the antiproton to proton ratio. Due to the  
 842 limited statistics in each time bin, the rigidity bin is merged in every two original bins to

843 increase the statistics.

844 The template selections are the same as the ones used in time averaged analysis. The only  
845 difference is the template fit range. To increase the statistics, the signal efficiency is increased  
846 from 90% to 95% in the low rigidity range and from 90% to 98% in the intermediate rigidity  
847 range.

848 A example template fit in 6.47 to 7.76 GV is given in figure 4.14. The fitted data is six  
849 Bartels Rotations data taken from Jan.07.2020 to June.17.2020.

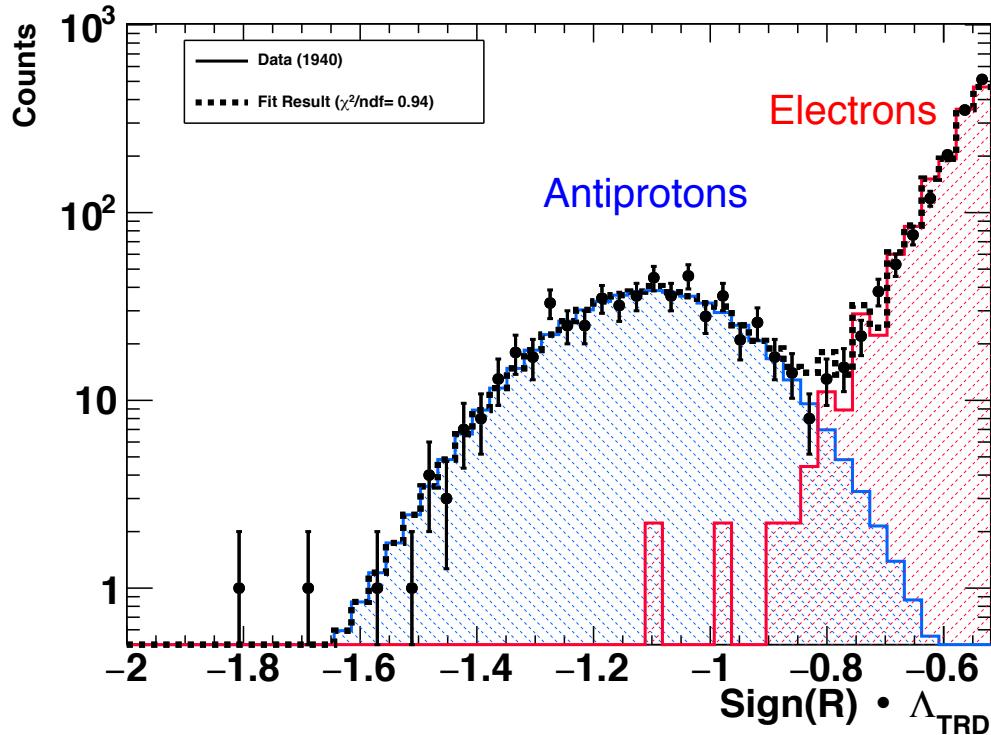


Figure 4.14: Example template fit in 6.47 to 7.76 GV with data collected Jan.07.2020 to June.17.2020.

850 The obtained antiproton numbers from the 23 six Bartel's Rotation's data is shown in figure  
851 4.15. The correspondent Chi2/dof is given in figure 4.16.

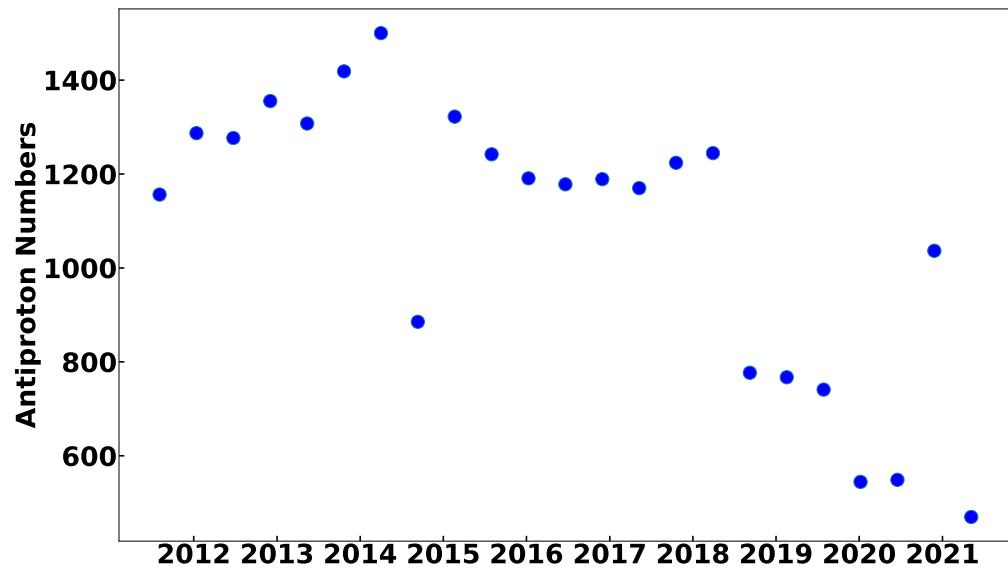


Figure 4.15: Antiproton numbers from template fit results in 6.47 to 7.76 GV with six Bartel's Rotation time resolution

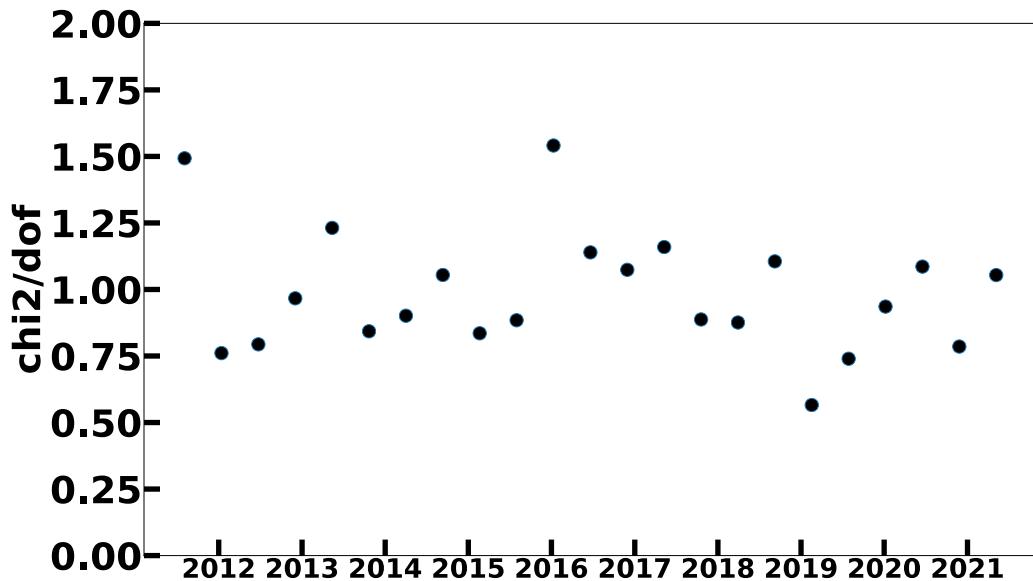


Figure 4.16:  $\chi^2/\text{dof}$  of the template fits in 6.47 to 7.76 GV with six Bartel's Rotation time resolution

852 **4.5. Effective Acceptance**

853 After the event count is determined by template fit, the next important ingredient is effective  
854 acceptance.

855 For a spectrometer, the counting rate of a given specie particle depends on the flux intensity  
856 and the gathering factor, namely geometrical acceptance [96]. The geometrical acceptance  
857 is a fixed value for a fixed apparatus, but this assumes no interaction between the traversing  
858 particles and the apparatus. While for data analysis, dedicated cuts and selections should  
859 be applied. Therefore, considering this, the geometrical acceptance should be multiplied by  
860 the efficiencies of the cuts and selections. The product is called effective acceptance. See  
861 the equation 4.4. The larger the effective acceptance is, the more events can be collected.

$$A_{eff} = A_{geo} \times \epsilon_{cut} \quad (4.4)$$

862 Calculating the acceptance directly is not easy. The more practical way is to use the MC  
863 simulation method. In the AMS-02 experiment, extensive MC models with the help of  
864 Geant4 are widely used. The models assume that the whole detector is located in a cube  
865 with an edge length of 3.9 m. Above the top surface, a hypothetical flux source  $S_{generate}$  is  
866 continuously emitting particles. These artificial particles are generated from this top plane  
867 and randomly go down through the whole detector.

868 According to [96], the acceptance can be calculated with two ingredients: the number of  
869 triggered events  $N_{triggered}$  and the number of generated events above the top plane  $N_{generate}$ .  
870 The formula is given in equation 4.5. For the calculation of geometrical acceptance, it can  
871 be achieved without applying any cuts and selections, and the triggered events can only be  
872 determined by the geometry of the detectors. For the calculation of effective acceptance,  
873 apart from the geometry of the detectors, the cut efficiency also reduces the number of  
874 triggered events.

$$A_{eff} = \pi \cdot A \cdot \frac{N_{triggered}(R_{true})}{N_{generate}(R_{true})} \quad (4.5)$$

875 where  $A = 3.9m \cdot 3.9m$ .

876 The antiproton and proton effective acceptance is taken from MC. Due to the small difference  
877 in passing efficiency between ISS data and MC, the effective acceptance from MC needs to be  
878 corrected with the Data/MC efficiency ratio. For flux analysis, this has to be done with  
879 the "Tag and Probe" method.

880 For antiproton to proton flux ratio analysis, the effective acceptance ratio is not equal  
881 to one because of the differences in cross sections between antiproton and proton. The  
882 effective acceptance ratio is rigidity dependent. While for the proton and antiproton effective  
883 acceptances, both of them should apply a data/MC correction, and this correction can

strictly be canceled out. See equation 4.6. The way to deal with it is the same as the one used in positron/electron ratio analysis in [97]. Therefore, the effective acceptance ratio is purely determined by MC simulations.

$$\frac{A_p}{A_{\bar{p}}} = \frac{A_p^{MC}}{A_{\bar{p}}^{MC}} \cdot \frac{1 + \delta_p}{1 + \delta_{\bar{p}}} = \frac{A_p^{MC}}{A_{\bar{p}}^{MC}} \quad (4.6)$$

In figure 4.17, the antiproton to proton effective acceptance ratio is shown. In different rigidity ranges, the selections are slightly different. Therefore the effective acceptance ratios are also determined individually.

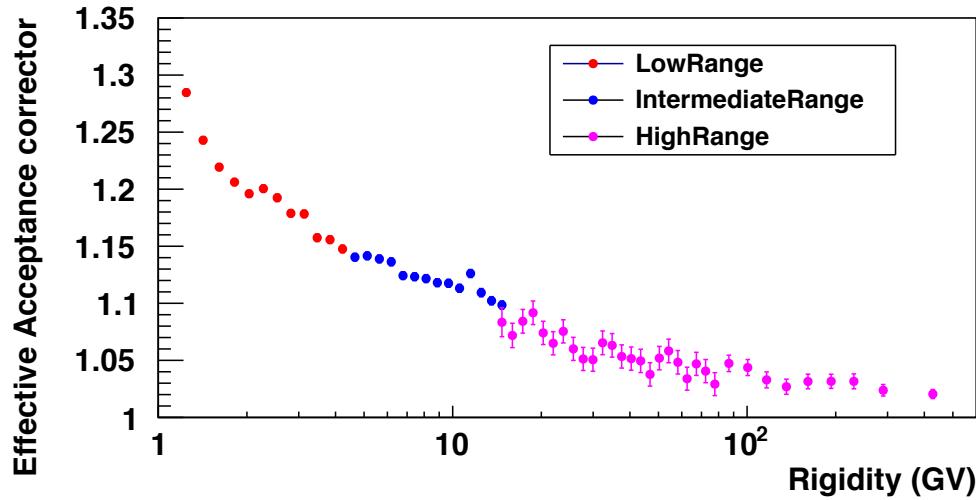


Figure 4.17: Proton to antiproton effective acceptance ratio in three rigidity ranges.

## 4.6. Measuring Time

To construct the flux, the next ingredient is measuring time. The measuring time is the total time that all the sub-detectors are in nominal operation and could record events. Due to the detector's operation cuts and the trigger dead time, the measuring time is lower than the exposure time, which is the total data-taking time when the experiment is running.

Because of the trigger dead time, if the event trigger rate goes up and surpasses the threshold, then not all the events can be fired and recorded. This leads to a ratio of recorded events over all events, called live time fraction. Because the amount of incoming particles depends on the ISS position in the geomagnetic field, the live time fraction is close to one in most areas but less than one in high latitude areas, see 4.18. Also, in SAA, there are plenty of low energy particles going through. Therefore, the trigger rate in this area is very high, and the live time fraction is very low correspondently. For the entire data-taking period, the

902 live time fraction is mostly above 90%. In figure 4.20, the trigger vs. particles per trigger is  
903 presented. For most triggers, the number of analysis particles per trigger is around 0.11.

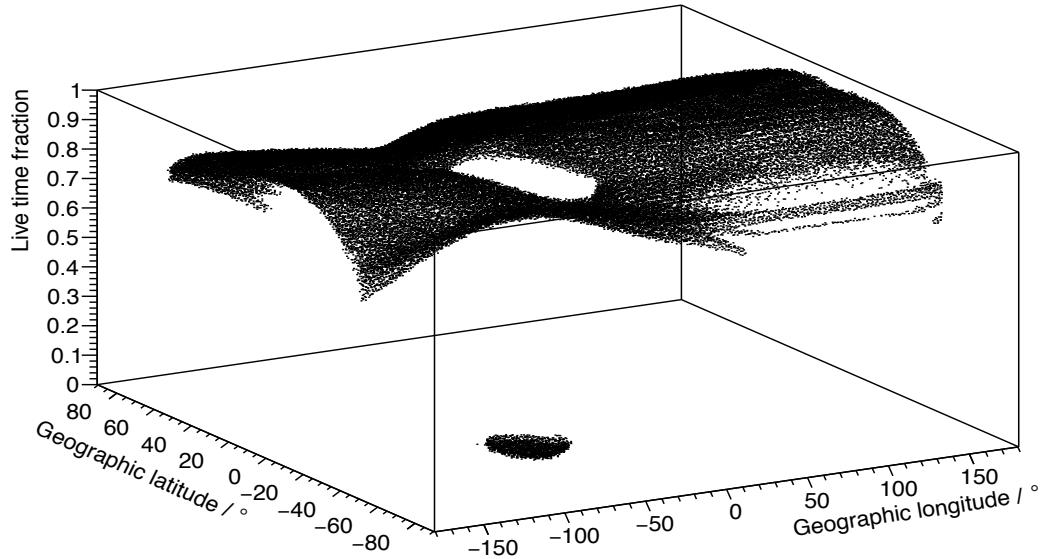


Figure 4.18: Live time fraction vs. ISS position. The live time fraction in most area is above 0.9 while in SAA is extremely low.

904 Due to the earth's magnetic field, the charged particle can be deflected before it reaches the  
905 detectors at Low Earth Orbit (LEO), where the AMS-02 is located. The deflection power  
906 depends on the particle's rigidity and the particle's relative location to the magnetic field  
907 line.

908 The earth's magnetic field is roughly tilted at  $11^\circ$  with respect to the earth's rotation axis,  
909 as illustrated in figure 4.21. Therefore, the lowest rigidity threshold to penetrate the earth's  
910 magnetic field should be a function of the earth's location. The lowest rigidity threshold is  
911 called *rigidity cutoff*.

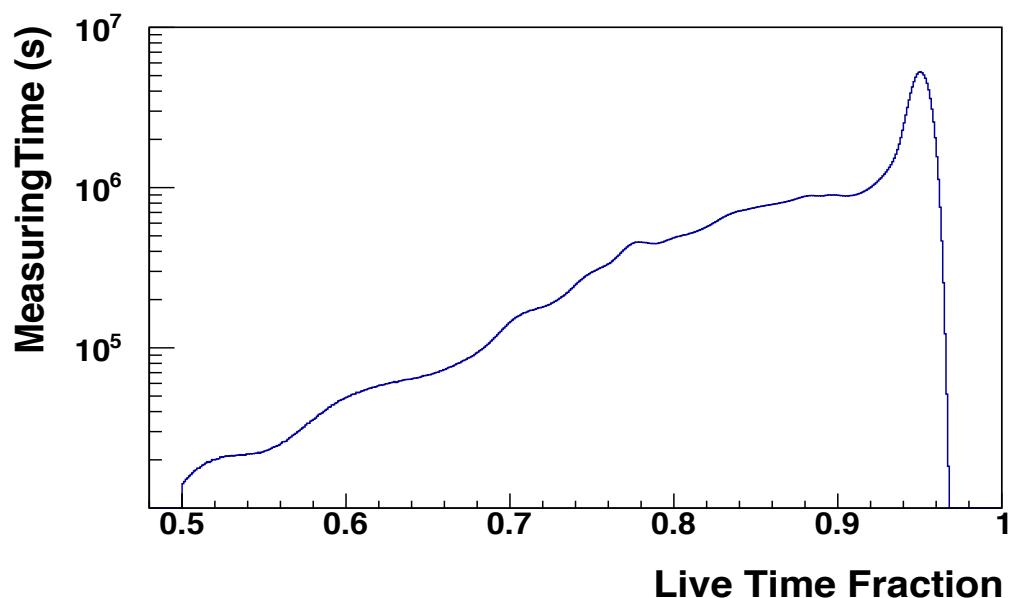


Figure 4.19: Measuring time as a function of live time fraction. In most of the measuring time, the live time fraction is above 0.9.

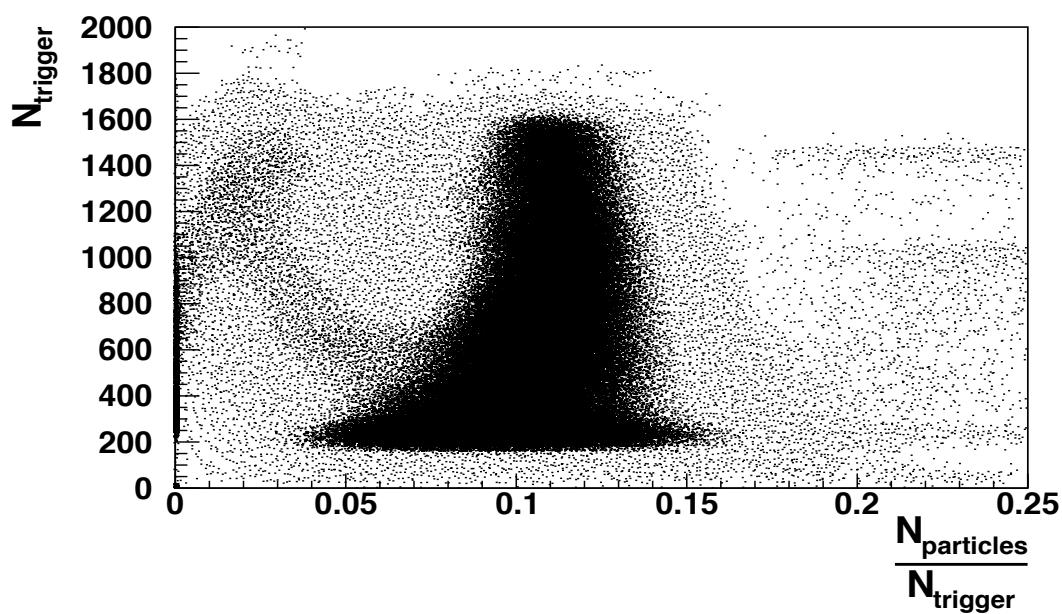


Figure 4.20: Triggers as a function of particle over trigger ratio. For most triggers, each trigger fires around 0.11 particles

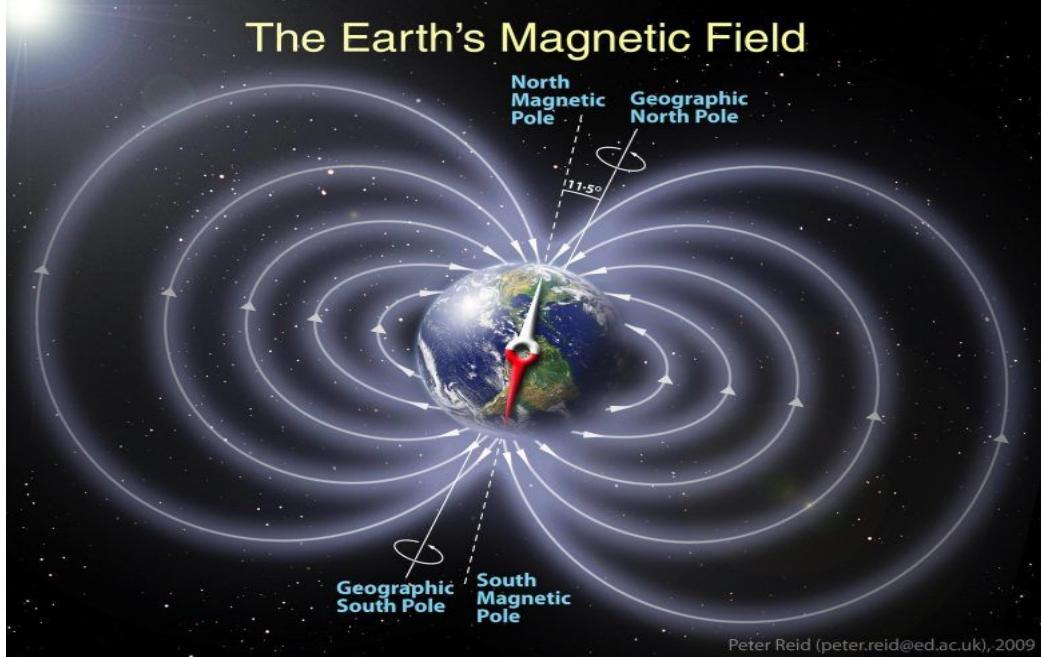


Figure 4.21: Illustration of Earth's magnetic field. Credit: Peter Reid, The University of Edinburgh

912 To calculate the rigidity cutoff, there are two methods used in AMS-02 collaboration. The  
 913 first one is the Størmer cutoff, the equation 4.7 gives the way to calculate the Størmer  
 914 rigidity cutoff  $R_c$  [98] :

$$R_c = \frac{M \cos^4 \lambda}{r^2 (1 + \sqrt{1 - \sin \epsilon \cdot \sin \delta \cdot \cos^3 \lambda})^2} \quad (4.7)$$

915 where  $M$  is the geomagnetic dipole moment,  $\lambda$  is the magnetic latitude,  $r$  is the altitude dis-  
 916 tance from the dipole center,  $\epsilon$  and  $\delta$  are the zenith angle and azimuthal angle, respectively.

917 With the cuts and selection introduced in section 4.1, the calculated Størmer rigidity cutoff  
 918 as function of ISS position is given in figure 4.22.

919 The total measuring time can be obtained by integrating the live time fraction in every  
 920 second of the whole data-taking period. With the preselection about sub-detector operation  
 921 quality introduced in section 4.1, the resulting measuring time used in this analysis is shown  
 922 in figure 4.23. The integrated data-taking time from 20. May 2011 to 03. May 2021 is  
 923 3636 days. Because of the ISS orientation, detectors operation like TRD gas refills or in the  
 924 SAA, the actual measuring time is around 68% of the total data taking time. This leads to  
 925 a measuring time of 2488 days.

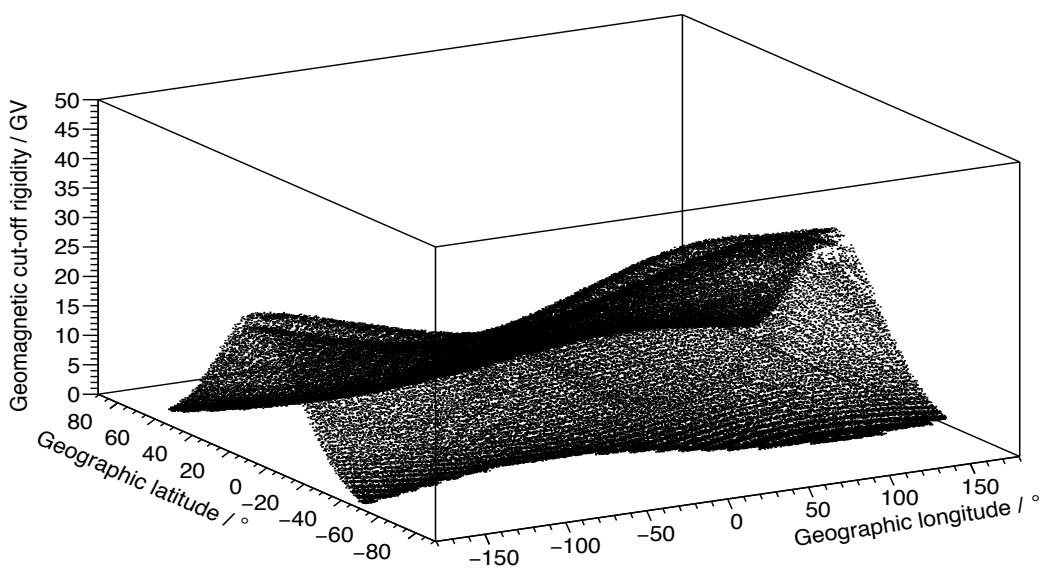


Figure 4.22: The Størmer rigidity cutoff used in this analysis as a function of ISS Position. The maximum of the cutoff is less than 30 GV.

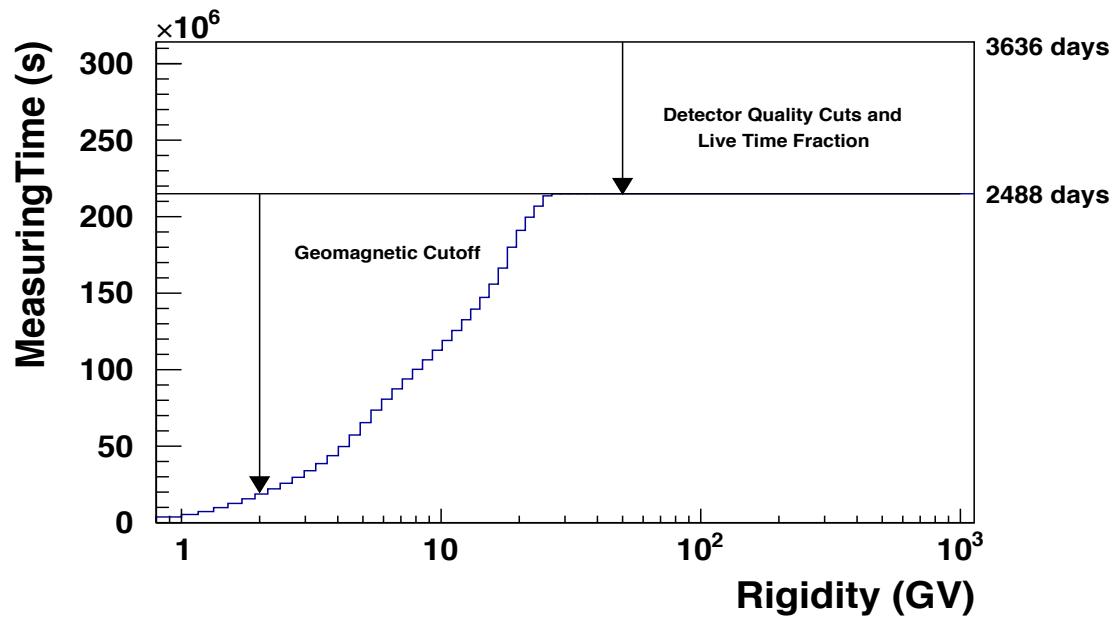


Figure 4.23: The measuring time obtained from the Størmer geomagnetic cutoff. After the quality cuts and live time fraction, the resulting total measuring time is around 2488 days.

926 Another method used in AMS-02 collaboration to calculate the rigidity cutoff is the IGRF  
 927 method. To calculate the particle penetrating the magnetic field, a solution is to consider  
 928 the backtracing particles. If all the backtracing particles from a certain position and rigidity  
 929 are primary particles, namely from outer space, the rigidity is the cutoff rigidity for this  
 930 position. The magnetic field model should be determined first in this numerical calculation  
 931 of backtracing particles. One model option is the International Geomagnetic Reference  
 932 Field (IGRF) model. Therefore, the name for calculating the rigidity cutoff is called IGRF  
 933 method.

934 Figure 4.24 shows the comparison between the measuring time achieved from the IGRF  
 935 method and the Størmer cutoff method. As shown in the figure, compared to the IGRF  
 936 method, using the Størmer cutoff leads to higher statistics in the low rigidity range. This is  
 937 important for time dependent analysis since the statistics in the fine time bin are limited.  
 938 Also, using the IGRF method leads to almost zero measuring time in the first one to two  
 939 rigidity bins. Therefore, the data could only be analyzed in higher rigidity bins. So in this  
 940 analysis, the Størmer rigidity cutoff is used to determine the measuring time.

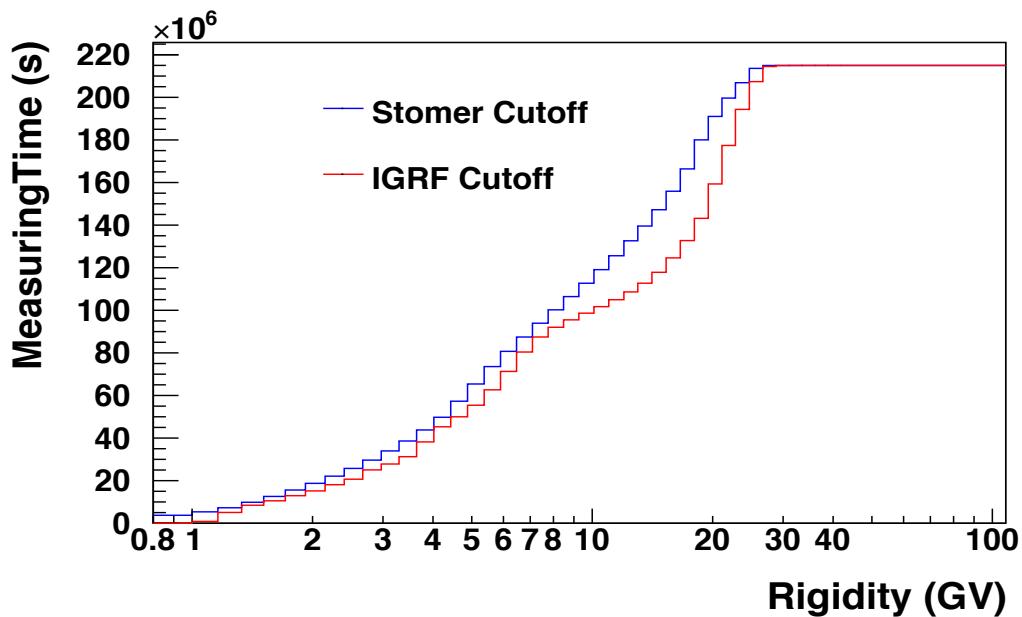


Figure 4.24: The comparison between the Størmer and IGRF cutoffs. The IGRF cutoff leads to lower measuring time

#### 941 4.7. Trigger Efficiency

942 After the measuring time, the next ingredient to construct flux is trigger efficiency.

943 The trigger efficiency is the triggered events over the total events when the particles go

944 through the detectors. In the AMS-02 experiment, the trigger logic is based on the response  
 945 of the TOF, the ACC, and the ECAL. There are three stages in AMS-02 trigger architecture:  
 946 "Fast trigger", "Level 1 trigger", and "Level 3 trigger". The three stages are processed in  
 947 sequence, namely the next stage is activated after the previous stage is fulfilled. Because  
 948 the bandwidth is enough to transfer the data to the ground, the "Level 3 trigger" is not  
 949 activated.

950 There are two kinds of "Fast trigger" [86] . The first one is using the TOF. If the FTC  
 951 and FTZ trigger decisions (see definition in [89] ) are fulfilled, the first kind of fast trigger  
 952 is set. The second one is using the ECAL. This kind of trigger is generated by showers  
 953 detected by the ECAL. The first and second fast triggers are for charged particles and  
 954 photons respectively.

955 The "Layer 1 trigger" has seven kinds:

- 956     • Single charged: Has High Threshold signals (HT) in all four TOF layers, also no ACC  
 957       hits.
- 958     • Fast ions: Has Super High Threshold (SHT) signals in all four TOF layers, also less  
 959       than five ACC hits. (From 26 Feb 2016, the second condition changed to less than  
 960       eight ACC hits to improve statistics.)
- 961     • Slow ions: Has SHT signals in all four TOF layers within 640 ns.
- 962     • Electrons: Has HT signals in all four TOF layers, also requires at least two ECAL  
 963       superlayers signals in both XZ and YZ planes.
- 964     • Photons: Has an ECAL shower with less than 20 degree zenith angle in both XZ and  
 965       YZ planes.
- 966     • Unbiased TOF: Has at least three out of four TOF layer HT signals. Prescaling to 1%  
 967       in order to reduce the trigger rate and save bandwidth.
- 968     • Unbiased ECAL: Has signals in at least two ECAL superlayers in the X-Z or Y-Z  
 969       plane. Prescaling to 0.1% to reduce the trigger rate and save bandwidth.

970 Among the seven kinds of Layer 1 triggers, the first five are called *physics trigger*. In  
 971 this analysis, only the physics triggered events are used for counting the signal numbers.  
 972 To construct the flux, the last two unbiased non-physics trigger are used to calculate the  
 973 physics trigger efficiency.

974 Due to a technical issue in the trigger, the two unbiased triggers can be triggered at the  
 975 same time, therefore the double-counting events should be corrected:

$$\frac{1}{f_{\text{both}}} = \frac{1}{f_{\text{TOF}}} + \frac{1}{f_{\text{ECAL}}} - \frac{1}{f_{\text{TOF}} \cdot f_{\text{ECAL}}} \quad (4.8)$$

976 where the  $f_{TOF}=100$  is the Unbiased TOF prescaling factor and the  $f_{ECAL}=1000$  is the  
977 Unbiased ECAL prescaling factor. So the  $f_{\text{both}} \approx 90.99$ .

978 Once the prescaling factor is determined, the trigger efficiency can be calculated by com-  
979 paring the number of physics trigger events and the unbiased non-physics trigger events:

$$\epsilon_{\text{Trigger}}(R) = \frac{N_{\text{phys}}(R)}{N_{\text{phys}}(R) + f_{\text{tof}} \cdot N_{\text{tof}}(R) + f_{\text{ecal}} \cdot N_{\text{ecal}}(R) + f_{\text{tof+ecal}} \cdot N_{\text{tof+ecal}}(R)} \quad (4.9)$$

980 In figure 4.25, the trigger efficiency of proton is shown as an example. For the antiproton,  
981 the trigger efficiency is assumed to be the same.

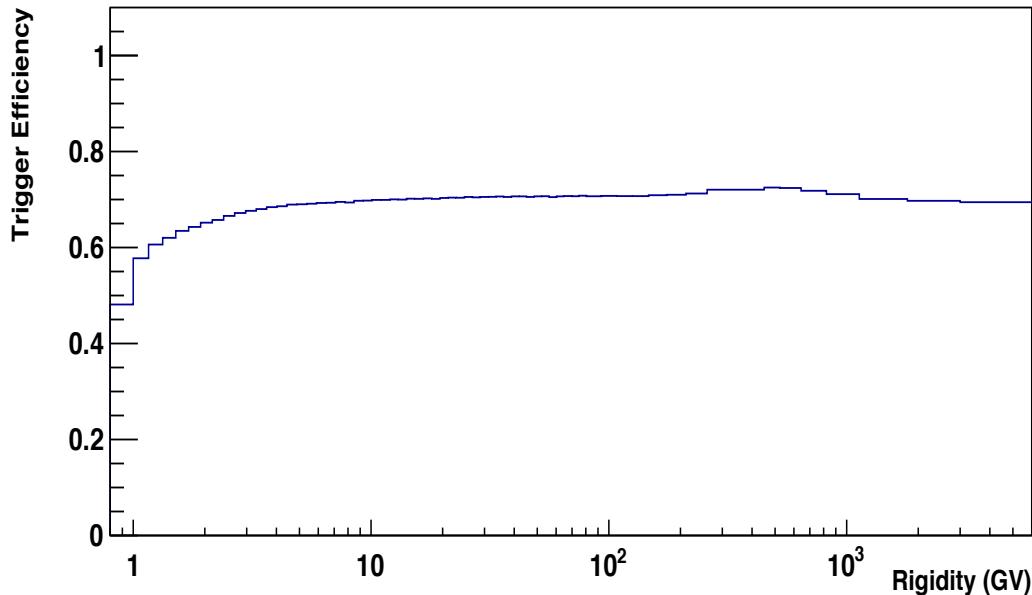


Figure 4.25: The proton trigger efficiency.

982 Since this analysis is only focused on antiproton to proton flux ratio, the trigger efficiency of  
983 proton  $\epsilon_p$  and antiproton  $\epsilon_{\bar{p}}$  should be strictly canceled out in calculation. However, trigger  
984 efficiency is still needed in the unfolding procedure in next section.

## 985 4.8. Unfolding

986 To calculate the flux, the number of events should be determined in true rigidity, which is the  
987 rigidity at the Top Of Instrument (TOI). However, the number of events from template fit is  
988 determined in reconstructed rigidity. There are some differences between these two rigidities

989 because of the limited tracker resolution. Some events may end up in other rigidity bins,  
990 and this effect is called "bin to bin migration". To correct this effect, a procedure called  
991 *unfolding* should be applied.

992 There are many unfolding methods to estimate this effect. In this analysis, the "Bayesian  
993 unfolding" method is used. The "Bayesian unfolding" [99] is provided by the "RooUnfold"  
994 package in ROOT [100], and the method is also used in AMS-02 electron and positron  
995 analysis [97].

996 The unfolded count  $\hat{n}$ , namely the event count in the true rigidity, can be obtained by mul-  
997 tiplying the raw event count  $n$  (the event count in reconstructed rigidity) and the unfolding  
998 matrix  $U$ :

$$\hat{n} = U \cdot n \quad (4.10)$$

999 A simple correction factor by matrix inversion is the easiest way to estimate the effect, but  
1000 the process is not numerically stable. Therefore the unfolding matrix  $U$  in equation 4.10 is  
1001 the unfolding matrix, which is calculated in the iteration process based on migration matrix  
1002  $M$ .

1003 The migration matrix  $M$  contains the information about the "bin to bin migration" and  
1004 can be taken from the MC simulation directly. The matrix is shown in a 2D histogram.  
1005 The X axis is the reconstructed rigidity by the tracker, and the Y axis is the true generated  
1006 rigidity simulated in the MC. In this analysis, the signals are determined with different  
1007 selections for different rigidity ranges. Also, for the different tracker patterns, the migration  
1008 matrices are different due to the different tracker pattern resolutions. In figure 4.26, the  
1009 migration matrix of full span in high rigidity range is given as an example, which is taken  
1010 from proton MC simulation. The histogram is normalized to unity for illustration. From  
1011 the figure, the diagonal elements of the matrix are the events whose true rigidity matches  
1012 the reconstructed rigidity, which is the dominant part of the total events. With the rigidity  
1013 going up, the bin contents of non-diagonal elements are going up. This is due to the tracker  
1014 resolution becoming worse in higher rigidity.

1015 As introduced in the section 4.6, the collected data have applied the rigidity cutoff. This  
1016 cutoff effect is not simulated in the MC simulation process, so it must be fixed before we  
1017 use the migration matrix. To consider this, the shape of measuring time is used as a weight  
1018 for the events under the rigidity cutoff.

1019 In this analysis, the focus is the antiproton to proton ratio. Therefore, the unfolding process  
1020 has to be done for antiproton raw numbers and proton raw numbers respectively. The  
1021 antiproton raw numbers are taken from template fit results, and the proton raw numbers  
1022 are the event numbers after the cuts and selections shown before. In figure 4.27, the residual  
1023 of raw counts and unfolded counts in the high rigidity range is given. The overall correction  
1024 effect is less than 10% in the unfolded ratio.

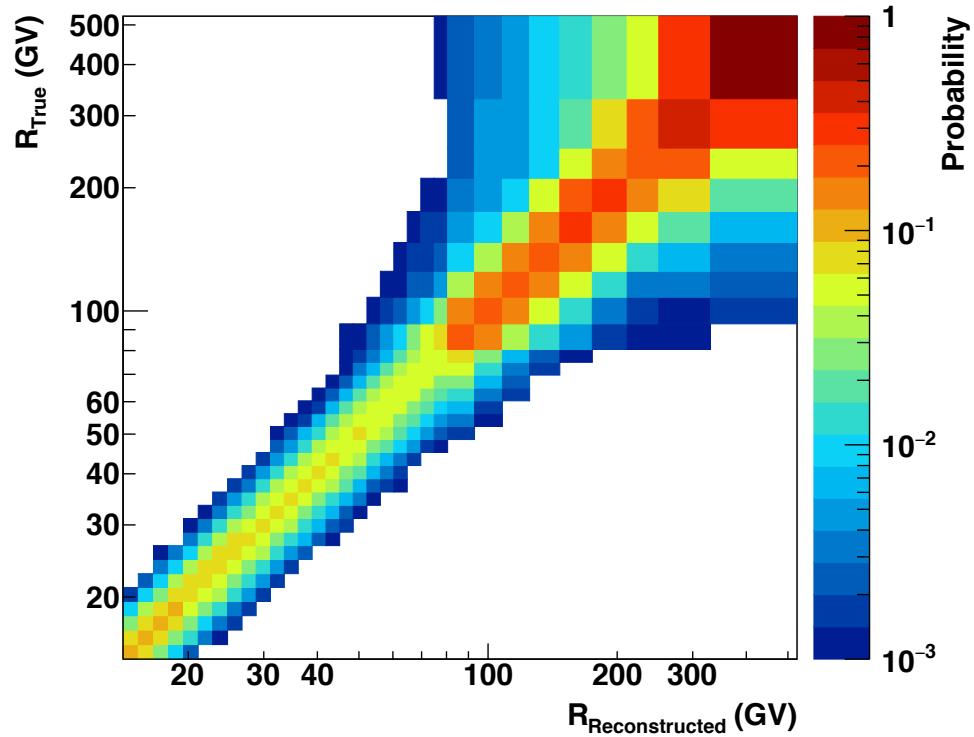


Figure 4.26: The migration matrix for full span in high rigidity range. The X axis is the reconstructed rigidity from the Tracker, the Y axis is the true rigidity from the generated momentum in MC.

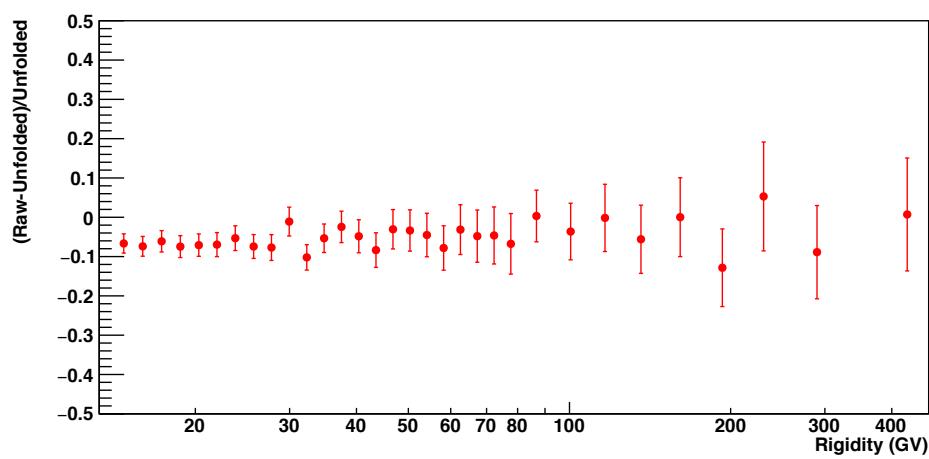


Figure 4.27: The residual over unfolded number for full span in high rigidity range

1025 **4.9. Antiproton To Proton Flux Ratio Calculation**

1026 In this section, the calculation of the antiproton to proton flux ratio is given.

1027 This thesis focuses on the antiproton to proton flux ratio. Therefore the dedicated formula  
 1028 for antiproton to proton flux ratio should also be discussed in advance based on flux calcu-  
 1029 lation equation 4.1. From previous sections in this chapter, all the ingredients have been  
 1030 shown already, so the antiproton to proton flux ratio can be calculated.

$$\begin{aligned}\Phi_{\bar{p}}(|R|) &= \frac{N_{\bar{p}}(|R|)}{\Delta R_{\bar{p}} \cdot T_{\bar{p}}(|R|) \cdot A_{\bar{p}}(|R|) \cdot \epsilon_{\bar{p}}(|R|)} \\ \Phi_p(|R|) &= \frac{N_p(|R|)}{\Delta R_p \cdot T_p(|R|) \cdot A_p(|R|) \cdot \epsilon_p(|R|)}\end{aligned}\quad (4.11)$$

1031 By definition, the antiproton to proton flux ratio is the antiproton flux divided by the proton  
 1032 flux. In this process, some terms can be strictly canceled out, like the procedure of AMS-02  
 1033 positron to electron flux ratio analysis in [97]. Therefore, the overall calculation can be  
 1034 simplified:

$$\begin{aligned}\frac{\Phi_{\bar{p}}(|R|)}{\Phi_p(|R|)} &= \frac{N_{\bar{p}}(|R|) \cdot \Delta R_p \cdot T_p(|R|) \cdot A_p(|R|) \cdot \epsilon_p(|R|)}{N_p(|R|) \cdot \Delta R_{\bar{p}} \cdot T_{\bar{p}}(|R|) \cdot A_{\bar{p}}(|R|) \cdot \epsilon_{\bar{p}}(|R|)} \\ &= \frac{N_{\bar{p}}(|R|)}{N_p(|R|)} \frac{A_p(|R|)}{A_{\bar{p}}(|R|)} \\ &= \frac{N_{\bar{p}}(|R|)}{N_p(|R|)} \frac{A_p^{MC}(|R|)}{A_{\bar{p}}^{MC}(|R|)} \frac{1 + \delta_p(|R|)}{1 + \delta_{\bar{p}}(|R|)} \\ &= \frac{N_{\bar{p}}(|R|)}{N_p(|R|)} \frac{A_p^{MC}(|R|)}{A_{\bar{p}}^{MC}(|R|)}\end{aligned}\quad (4.12)$$

1035 From the dedicated equation 4.12 for antiproton to proton flux ratio, obviously some terms  
 1036 are canceled out like measuring time, trigger efficiency, rigidity bin width, and the data/MC  
 1037 corrections of effective acceptance. This gives many conveniences for calculation. Although  
 1038 the measuring time and trigger efficiency is canceled out in the ratio calculation, they are  
 1039 still used in the unfolding process.

1040 The formula for the time dependent antiproton to proton flux ratio is the same. The only  
 1041 difference is the number of event is taken from individual template fit in every six Bartels  
 1042 Rotations bins.

## 1043 4.10. Systematic Uncertainty

1044 In this section, systematic uncertainty is discussed. Due to different template fit methods in  
1045 three different rigidity ranges. The systematic uncertainty is discussed individually in three  
1046 rigidity ranges.

1047 The antiproton to proton flux ratio is calculated in equation 4.12. There are two components  
1048 in this equation: Number of events N and effective acceptance A. Therefore, the sources of  
1049 systematic uncertainty should also be considered from these two variables.

1050 The first source of systematic uncertainty is effective acceptance. Since the effective accep-  
1051 tance data/MC correction is canceled out, so it is completely decided by the MC simulation.  
1052 Due to the asymmetry of the interaction cross sections, the antiproton and proton effective  
1053 acceptances impact the flux ratio. Therefore, two dedicated MCs are generated for antipro-  
1054 ton and proton respectively to estimate the asymmetry of the interaction cross sections. In  
1055 these two MCs, the interaction cross sections are varied with  $\pm 10\%$  change. This transfers  
1056 to systematic uncertainty from effective acceptance. In figure 4.28, the obtained systematic  
1057 error is shown.

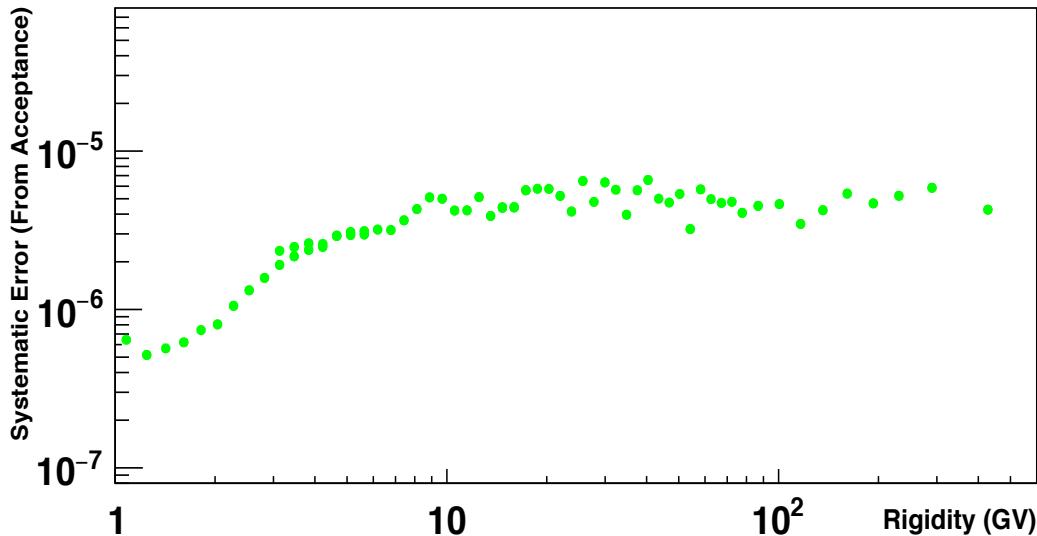


Figure 4.28: The systematic error from acceptance

1058 The second source of systematic uncertainty is the event number. In different rigidity ranges,  
1059 the antiproton signal number is determined with diverse backgrounds and different template  
1060 fit methods. Therefore, it has to be calculated individually in different rigidity ranges.

1061 In the low rigidity range, the antiproton signal is derived from a 2D template fit in 1/TOF-  
1062 Beta and TRDLikelihood. A variation of the template fit range is used to estimate the

1063 template fit result. As introduced in section 4.4, the official result is chosen from the tem-  
 1064 plate fit range in 90% signal efficiency. To estimate the systematic uncertainty, the template  
 1065 fit is performed 342 times with signal efficiency 40% to 95%. For the first five points, the  
 1066 signal efficiency range is from 65% due to the low statistics. Then the RMS of the result  
 1067 distribution is chosen as the systematic error in each rigidity bin.

1068 In the intermediate rigidity range, the same logic to calculate systematic uncertainty is  
 1069 used, but the difference is the template fit in intermediate rigidity is 1D template fit in  
 1070 TRDLikelihood. So in this range, the template fit is performed from 60% to 100% signal  
 1071 efficiency range.

1072 In figure 4.29, an example of template fit results from different signal efficiency is shown.  
 1073 The rigidity bin is 2.15 to 2.4 GV, and the RMS of the results is used as the systematic  
 1074 error in this bin.

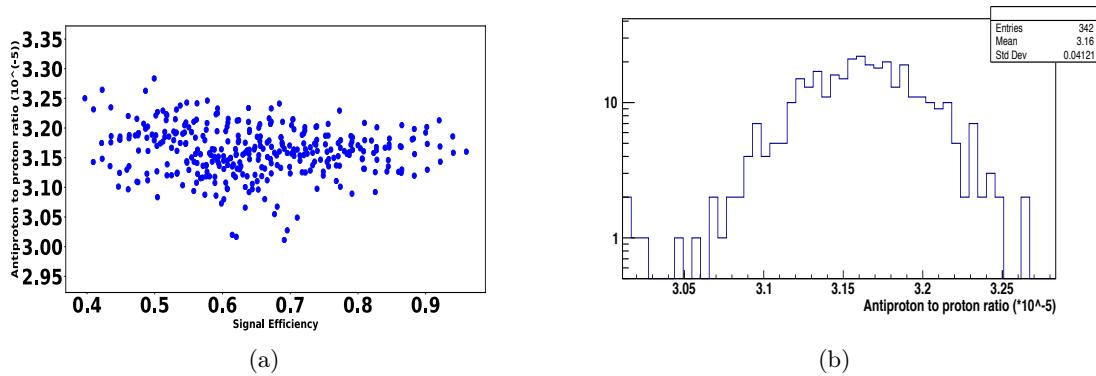


Figure 4.29: The template fit result in 2.15 to 2.4 GV with signal efficiency from 40%. a). The template fit result distribution as a function of signal efficiency. b). The template fit result histogram. The RMS of the histogram is used as the systematic error.

1075 In figure 4.30, the systematic uncertainty from the template fit range is shown. The absolute  
 1076 error is relatively stable at around  $10^{-6}$ .

1077 In the high rigidity range, the charge confused proton background rises dramatically with  
 1078 rigidity going up. The template of charge confused proton, which is taken from proton MC,  
 1079 becomes the primary source of systematic error, replacing the template fit range.

1080 To estimate the charge confusion systematic error, the charge confusion level (CC Level)  
 1081 between MC and ISS data is used. The CC Level is defined as the charge confused proton  
 1082 number over the sum of charge confused proton number and charge correct proton number.  
 1083 In figure 4.31, the MC/data CC Level ratio is shown. The uncertainty band is derived  
 1084 with 68% C.L. and used as the variation of the CC Level, which transfers to charge confused  
 1085 proton number. Then the template fit in the high rigidity range is redone with a fixed charge  
 1086 confused proton number with the variation. This leads to antiproton numbers uncertainty

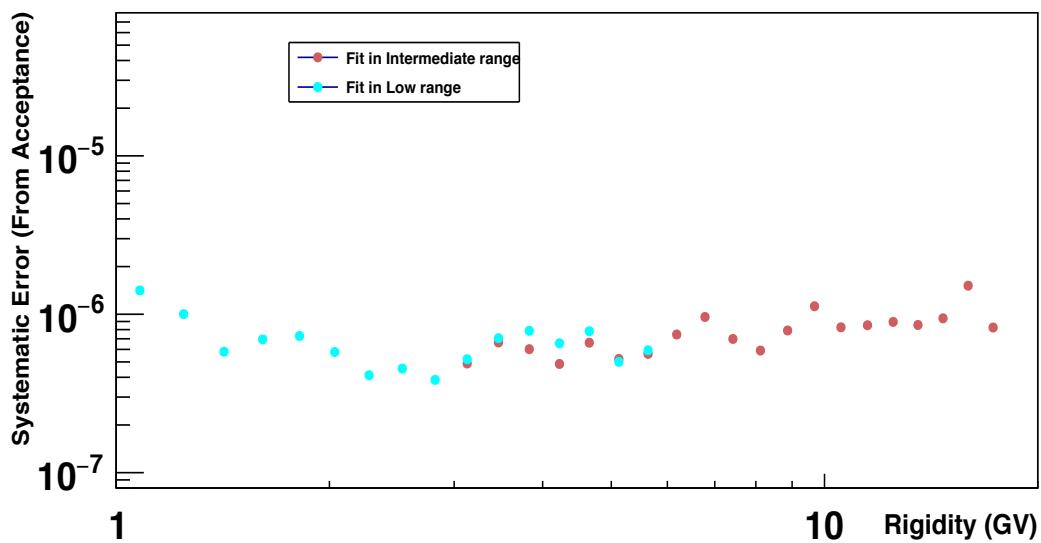


Figure 4.30: The systematic error from template fit range

<sup>1087</sup> due to charge confusion.

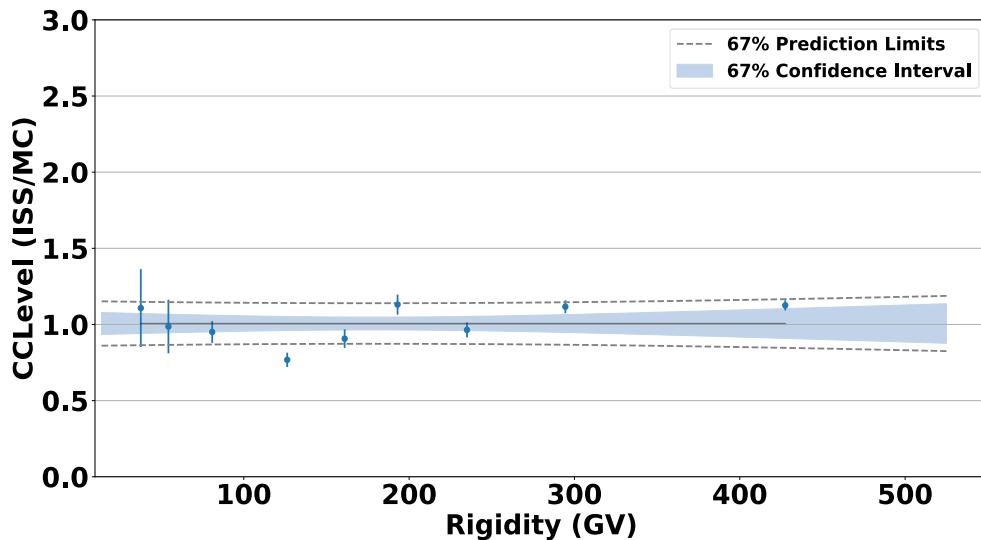


Figure 4.31: Data/MC charge confusion level ratio.

<sup>1088</sup> In figure 4.32 the systematic error due to charge confusion is shown.

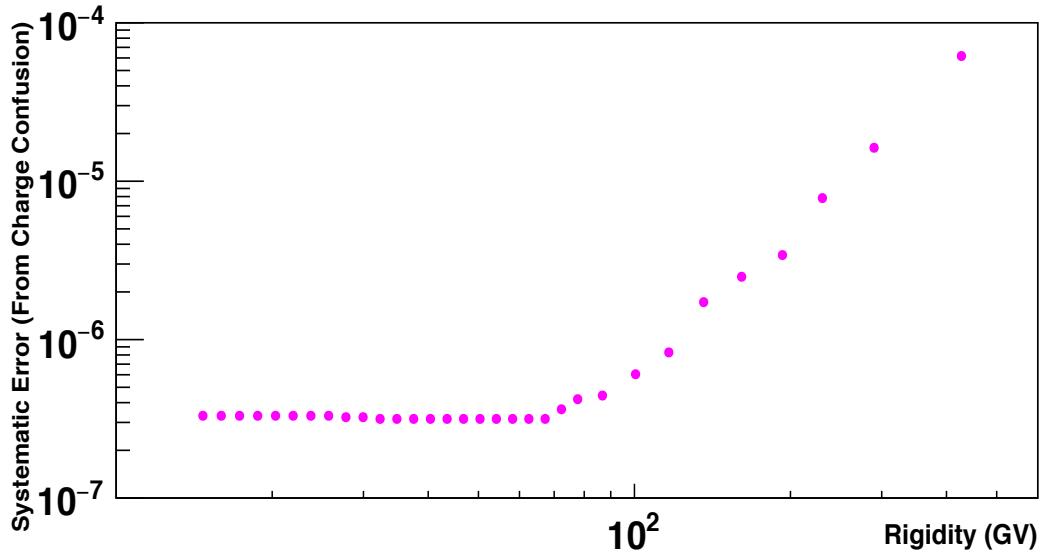


Figure 4.32: The systematic error from charge confusion

1089 The different systematic errors are added quadratically to arrive at the total systematic  
 1090 error. In figure 4.33, the total systematic error is presented.

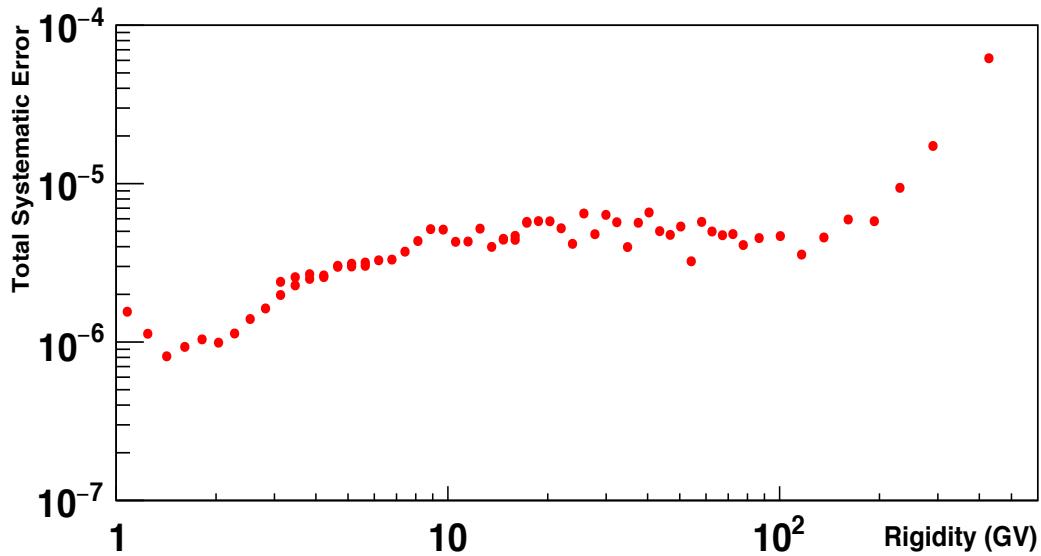


Figure 4.33: The total systematic error

1091 The statistical error is directly taken from template fit in different rigidity ranges. The total  
 1092 error of the result is calculated by the square root of the sum of squares of statistical error  
 1093 and systematic error.

1094 For the time dependent analysis, the same calculation way is used. Since the time depen-  
1095 dent analysis is only performed below 20 GV. Therefore, only the result in the low and  
1096 intermediate range is considered.

1097 In figure 4.34, the systematic error in 1.92 to 2.4 GV in six Bartels Rotation time bin is  
1098 shown as an example.

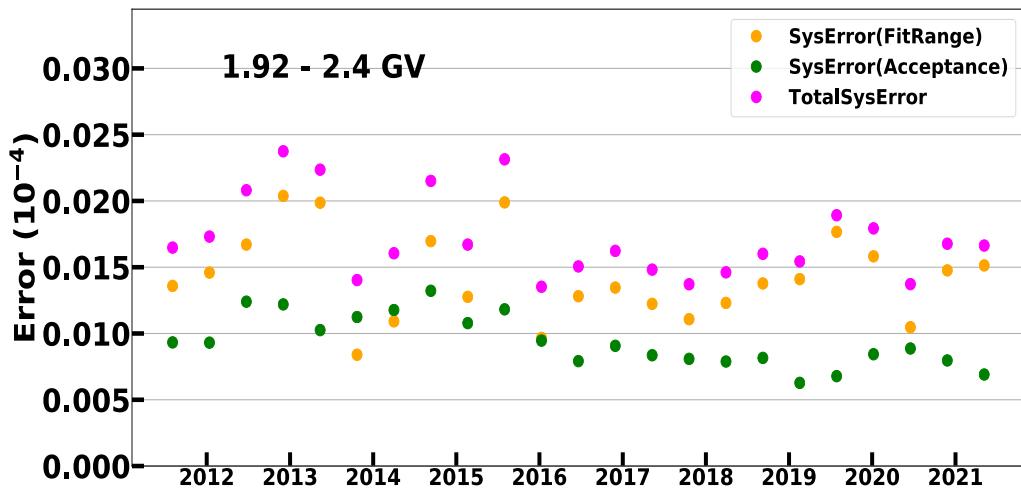


Figure 4.34: Systematic error of the antiproton to proton flux ratio in 1.92 to 2.4 GV in six Bartels Rotation time bin

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