

<sup>1</sup> SEARCH FOR EXOTIC HIGGS DECAYS TO LIGHT  
<sup>2</sup> NEUTRAL SCALARS IN FINAL STATES WITH  
<sup>3</sup> BOTTOM QUARKS AND TAU LEPTONS

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<sup>5</sup> A DISSERTATION  
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## Abstract

With the discovery of the Higgs boson with mass 125 GeV at the LHC in 2012, the Compact Muon Solenoid (CMS) experimental physics program has evolved to include the precise characterization of the Standard Model 125 GeV Higgs boson and searches for evidence of additional Higgs particles in an extended Higgs sector. Many properties of a potential extended Higgs sector remain unconstrained by current measurements, making direct searches of exotic Higgs decays a powerful probe of new physics.

The decay of the 125 GeV Higgs boson into two light neutral scalar particles ( $h \rightarrow aa$ ) is allowed in extensions of the Standard Model, such as Two Higgs Doublet Models extended with a scalar singlet (2HDM+S). We present a search at CMS for exotic decays of the 125 GeV Higgs boson to two light neutral scalars, which decay to two bottom quarks and two tau leptons ( $h \rightarrow aa \rightarrow bb\tau\tau$ ). This analysis is combined with a similar search in a different final state where the light scalars decay to two bottom quarks and two muons. The results from the  $bb\tau\tau$  analysis and the combined analyses are interpreted in 2HDM+S scenarios. In a different extension of the Standard Model, the Two Real Singlet Model (TRSM), the 125 GeV Higgs boson can decay to two light scalars with unequal mass ( $h \rightarrow a_1a_2$ ). This decay has not been searched for to date at CMS. We present ongoing work on a search for  $h \rightarrow a_1a_2$ , where the  $a_2$  decays into two  $a_1$ , resulting in four bottom quarks and two tau leptons in the final state, in the  $\mu\tau_h$  channel of the  $\tau\tau$  decay. Such searches for rare processes will directly benefit from the increased datasets that will be generated by the High-Luminosity LHC (HL-LHC), which is scheduled to increase the LHC's number of simultaneous proton-proton collisions by a factor of five to seven. To contribute to the performance of the CMS Level-1 Trigger in selecting collisions with interesting physics, this thesis presents an upgraded algorithm for reconstructing electrons and photons in the barrel calorimeter, which will use information with higher spatial granularity to distinguish genuine electrons and photons from background.

<sup>43</sup>

## Acknowledgements

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# <sup>422</sup> Chapter 1

## <sup>423</sup> Introduction

<sup>424</sup> The Standard Model is the current prevailing theoretical framework that encompasses  
<sup>425</sup> all known elementary particles to date and describes their interactions, yet falls short  
<sup>426</sup> of describing open problems in physics. Here, we describe the history of the Standard  
<sup>427</sup> Model and its particle content (Section 1.1), and provide a mathematical motivation of  
<sup>428</sup> the SM as a gauge theory (Section 1.2). We introduce the Higgs mechanism (Section  
<sup>429</sup> 1.3), and outline two groups of theoretical extensions to the Standard Model that  
<sup>430</sup> feature extended Higgs sectors (Sections 1.4 and 1.5).

### <sup>431</sup> 1.1 History of the Standard Model

<sup>432</sup> The building blocks of our modern-day understanding of particle physics were estab-  
<sup>433</sup> lished over the course of many decades by experimental discoveries and theoretical  
<sup>434</sup> advances, culminating in the development of a theoretical framework known as the  
<sup>435</sup> Standard Model (SM). In the 1880s, the electron was the first subatomic particle to  
<sup>436</sup> be identified, through measurements of particles produced by ionizing gas. By the  
<sup>437</sup> 1930s, atoms were known to consist mostly of empty space, with protons and neutrons  
<sup>438</sup> concentrated at the center and orbited by electrons. Spurred by advances in parti-  
<sup>439</sup> cle accelerator technology, the experimental discoveries of the positron, the muon,

and the pion, painted an increasingly complicated picture of particle physics that could not be described solely with atomic physics [1]. Quantum field theory (QFT) began to be developed in the early 20th century as an extension of the conceptual framework of quantum mechanics to electromagnetic fields [2]. In 1927, Dirac coined the name quantum electrodynamics (QED), which was the first part of QFT that was developed. QED quantized the electromagnetic field and supplied a relativistic theory of the electron, and could be applied to concrete physical processes such as the scattering of high-frequency photons by free electrons (Compton scattering), and the production of electron-positron pairs by photons [2]. In the 1940s the QED-only picture was challenged by the realization that the four-fermion theory of weak interactions had infinities at higher orders of perturbation theory which could not be removed via the technique of renormalization [3], i.e. shifting divergences into parts of the theory that do not influence empirical measurements [2].

In the 1950s and 1960s, QFT was extended to describe not only the electromagnetic force, but also the strong and weak force, with the final picture forming the Standard Model. This took place in the development and maturation of three principles: the quark model, the idea of gauge (or local) symmetry, and spontaneously broken symmetry [3]. In the fully fledged QFT, Lagrangians had to be formed that contained new classes of quantum fields, or particles [2].

The particle content of the Standard Model is summarized in Fig. 1.1. Particles are grouped into fermions, which comprise all known matter, and bosons, which mediate the interactions between particles. Fermions consist of quarks and leptons, and are grouped into three generations. For example, the electron belongs to the first generation of leptons. The second and third generation counterparts of the electron are the muon and the tau lepton, and are over 200 and 30,000 times heavier than the electron respectively. The quarks are also organized into three generations (top and bottom quarks, charm and strange quarks, and up and down quarks), and

467 carry fractional electric charge. Bosons are force carriers; the interaction of fermions  
468 with bosons corresponds to fundamental forces. The Standard Model describes the  
469 electromagnetic force, the strong nuclear force, and the weak nuclear force. Through  
470 the strong force, quarks can form composite particles known as hadrons. Familiar  
471 examples of hadrons are the protons and neutrons in the nucleus of an atom.

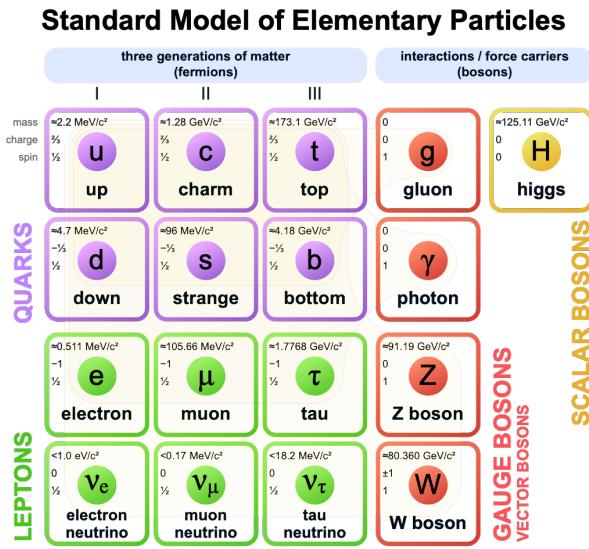


Figure 1.1: Table of Standard Model particles showing the grouping of the fermions into three generations of matter and the bosons, responsible for carrying the three fundamental forces in the Standard Model. The masses, charges, and spins of the particles are shown. The antimatter counterparts of the fermions are not shown. The possible interactions between the fermions and gauge bosons are highlighted.

## 1.2 The Standard Model as a gauge theory

<sup>473</sup> In this section we lay the theoretical foundations of the Standard Model as a gauge  
<sup>474</sup> theory, starting from the principle of gauge invariance (gauge symmetry), with local  
<sup>475</sup> gauge symmetries giving rise to interactions between particles.

<sup>476</sup> Gauge theories of elementary particle interactions originate from a freedom of  
<sup>477</sup> choice in the mathematical description of particle fields which has no effect on the  
<sup>478</sup> particles' physical states [4]. The existence and form of the particles' interactions,

479 can be deduced from the existence of physically indeterminate, gaugable quantities.

480 An example of this gauge invariance is classical physics is the electromagnetic  
481 interaction, where the fundamental field is the four-vector potential  $A^\mu$  [4]. The  
482 physical electromagnetic fields and Maxwell's equations arise from the elements of  
483 the tensor  $F_{\mu\nu}(x) = \partial_\mu A_\nu(x) - \partial_\nu A_\mu(x)$ . Any two choices of  $A^\mu$  that are related by a  
484 transformation of the form

$$A_\mu \rightarrow A_\mu + \partial_\mu \alpha \quad (1.1)$$

485 for any real, differentiable function  $\alpha(x)$ , describe the same physical configuration,  
486 and has no effect on Maxwell's equations. This "redundancy" in the choice of gauge  
487 in Eqn. 1.1 is called a gauge symmetry.

488 One important consequence of gauge symmetry comes from the application of  
489 Noether's theorem, which states that for every global transformation under which the  
490 Lagrangian density is invariant, there exists a conserved quantity. If  $\mathcal{L}(\Psi(x), \partial_\mu \Psi(x))$   
491 is invariant under the transformation of the wave function  $\Psi(x) \rightarrow \Psi'(x)$ , where  
492  $\Psi'(x) = \Psi(x) + \delta\Psi(x)$ , then there exists a conserved current

$$\partial_\mu \left( \frac{\partial \mathcal{L}(x)}{\partial (\partial_\mu \Psi(x))} \delta\Psi(x) \right) = 0 \quad (1.2)$$

493 In classical mechanics, the conservation of linear momentum, angular momentum,  
494 and energy follows from translational invariance, rotational variance, and invariance  
495 under translations in time [4]. Likewise, charge conservation can be shown to arise  
496 from the invariance of the Dirac Lagrangian density  $\mathcal{L}_{\text{Dirac}} = \bar{\Psi}(i\gamma^\mu \partial_\mu - m)\Psi$  under the  
497 particle wavefunction's phase transformation,  $\Psi'(x) = \exp(i\epsilon\chi)\Psi(x)$ . Thus Noether's  
498 theorem establishes a correspondence between a gauge symmetry and a conserved  
499 internal property (e.g. charge or momentum).

500 Interactions between particles arise if we modify the wave function with a phase

501 transformation  $\Psi'(x) = \exp(ie\chi)\Psi(x)$ , and allow the phase  $\chi$  to be a function of  
 502 spacetime [4]. A wave function of the form

$$\Psi'(x) = \exp(ie\chi(x))\Psi(x) \quad (1.3)$$

503 can be verified to *not* be a solution to the Dirac equation for free particles:  $(i\gamma^\mu\partial_\mu -$   
 504  $m)\Psi(x) = 0$ . This necessitates a modified Dirac equation, where the derivative takes  
 505 into account that the vector field  $V(x)$  needs to be compared at two displaced space-  
 506 time points in a curvilinear coordinate system:

$$\mathcal{D}_\mu \equiv \lim_{\Delta x^\mu \rightarrow 0} \frac{V_{||}(x + \Delta x) - V(x)}{\Delta x^\mu} \quad (1.4)$$

507 We define a covariant derivative,

$$D_\mu = \partial_\mu + ieA_\mu \quad (1.5)$$

508 where  $A_\mu(x)$  is a 4-vector potential. Thus the modified Dirac equation reads:

$$(i\gamma^\mu\mathcal{D}_\mu - m)\Psi(x) = 0 \quad (1.6)$$

509 The simultaneous gauge transformation  $A'_\mu(x) = A_\mu(x) - \partial_\mu\chi(x)$  and wavefunction  
 510 transformation  $\Psi'(x) = \exp(ie\chi(x))\Psi(x)$  leaves the covariant-derivative form of the  
 511 Dirac equation (Eqn 1.1) invariant.

512 The generalization of this result is as follows: if a theory is invariant for unitary  
 513 transformations  $U$  of the particle states according to

$$\Psi' = U\Psi \quad (1.7)$$

514 One must define a derivative of the form

$$D^\mu = \partial^\mu + igB^\mu \quad (1.8)$$

515 to keep the theory invariant under Eqn. 1.7. The four-potential  $B^\mu$  represents the  
516 interacting four-potential which must be added to keep the theory invariant.

517 In the case of the Standard Model, the theory is built around the gauge trans-  
518 formations  $G = SU(3) \times SU(2) \times U(1)$ .  $SU(3)$  is associated to the strong force  
519 (subscripted  $C$ );  $SU(2)$  is associated to the weak force (subscripted  $L$ ); and  $U(1)$  is  
520 hypercharge (subscripted  $Y$ ). The gauge-covariant derivative is

$$\mathcal{D}_\mu = \partial_\mu - ig'B_\mu \frac{Y}{2} - igW_\mu^\alpha \frac{\tau_a}{2} - ig_s G_\mu^k \frac{\lambda_k}{2} \quad (1.9)$$

521 • In the  $U(1)_Y$  term,  $B_\mu$  is the weak hypercharge field.

522 • In the  $SU(2)_L$  term,  $W_\mu(x) = (W_\mu^1(x), W_\mu^2(x), W_\mu^3(x))$  are a triplet of four-  
523 potentials.  $\tau/2$  are the Pauli matrices, generators of the  $SU(2)$  transformation.

524 • In the  $SU(3)_C$  term, the gluon (color) field is  $G_\mu$ .  $\lambda_k$  are the Gell-Man matrices,  
525 generators of the  $SU(3)$  transformation.

526 The invariance of the Standard Model under  $SU(3)_C \times SU(2)_L \times U(1)_Y$  requires  
527 massless fermions and massless force carriers.

### 528 1.3 The Higgs mechanism

529 To introduce mass into the theory, i.e. to change the propagation of the gauge par-  
530 ticles and all the fermions, the physical vacuum cannot have all the symmetries of  
531 the Standard Model Lagrangian [4]. The symmetries of the physical vacuum must  
532 be spontaneously broken, without affecting gauge invariance in the Lagrangian. The

533 Higgs mechanism proposes the existence of a scalar field, or fields, with nonzero vac-  
 534 um expectation values, which reduce the gauge symmetries of the physical vacuum  
 535 from  $SU(3)_C \times SU(2)_L \times U(1)_Y$  down to  $SU(3)_C \times U(1)_{EM}$ .

536 The Higgs field interacts with the gauge bosons and fermions throughout space,  
 537 impeding their free propagation. The resulting broken symmetry correctly predicts  
 538 the mass ratio of the neutral (Z) and charged (W) massive electroweak bosons, and  
 539 predicts that at least one physical degree of freedom in the Higgs field is a particle  
 540 degree of freedom, called the Higgs boson. The location of the minimum of the Higgs  
 541 potential can be constrained from previously measured Standard Model parameters,  
 542 but the shape of the mass distribution of the Higgs boson must be experimentally  
 543 measured.

544 The minimal choice of Higgs field comes from the breaking of  $SU(2)_L \times U(1)_Y$   
 545 down to  $U(1)_{EM}$ . The smallest  $SU(2)$  multiplet is the doublet. The existence of three  
 546 massive electroweak bosons leads the Higgs sector to have at least three degrees of  
 547 freedom. The minimal single-doublet complex scalar Higgs field is

$$\Phi(x) = \begin{pmatrix} \phi^+(x) \\ \phi^0(x) \end{pmatrix} = \frac{1}{\sqrt{2}} \begin{pmatrix} \phi_1^+(x) + i\phi_2^+(x) \\ \phi_1^0(x) + i\phi_2^0(x) \end{pmatrix} \quad (1.10)$$

548 where  $\phi_1^+$ ,  $\phi_2^+$ ,  $\phi_1^0$ , and  $\phi_2^0$  are real (four degrees of freedom). By convention, the  
 549 nonzero vacuum expectation value is assigned to  $\phi_1^0$ .

550 The minimal self-interacting Higgs potential that is invariant under  $SU(2)_L \times$   
 551  $U(1)_Y$  is given by

$$V(\Phi^\dagger \Phi) = -\mu^2 \Phi^\dagger \Phi + \lambda (\Phi^\dagger \Phi)^2, \quad \mu^2 > 0, \lambda > 0 \quad (1.11)$$

552 where  $\lambda$  is the coupling strength of the four-point Higgs interaction. The potential

553 energy is minimized at

$$\Phi_{\min} = \frac{1}{\sqrt{2}} \begin{pmatrix} 0 \\ v \end{pmatrix}, \text{ where } v = \sqrt{\mu^2/\lambda} \quad (1.12)$$

554 Choosing a fixed orientation of  $\langle \Phi \rangle$  out of a continuous set of possible ground states  
 555 spontaneously breaks the symmetry of the physical vacuum, as illustrated in Fig 1.2.

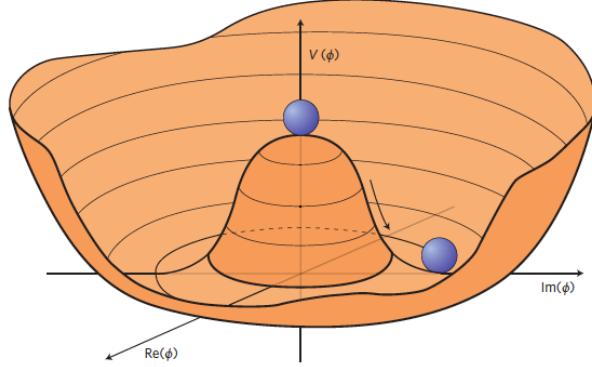


Figure 1.2: An illustration of the Higgs potential [5]. Choosing any of the points at the bottom of the potential breaks spontaneously the rotational  $U(1)$  symmetry.

556 The excitations of the Higgs field with respect to the minimum  $\Phi_{\min}$  are parame-  
 557 terized by

$$\Phi(x) = \exp(i\xi(x) \cdot \tau) \frac{1}{\sqrt{2}} \begin{pmatrix} 0 \\ v + H(x) \end{pmatrix} \quad (1.13)$$

558 Three degrees of freedom are coupled directly to the electroweak gauge bosons; this  
 559 is often referred to as the gauge bosons “eating” the Goldstone bosons to form the  
 560 longitudinal polarizations of the massive spin-1 boson states. The  $H(x)$  excitation is  
 561 in the radial direction and corresponds to the free particle state of the Higgs boson.

## 562 1.4 Two-Higgs Doublet Models

563 One of the simplest possible extensions to the Standard Model is adding a doublet  
 564 to the minimal Higgs sector of the Standard Model, which is a  $SU(2)_L$  doublet  $H$

565 with hypercharge  $Y = +\frac{1}{2}$ , denoted here as  $H \sim 2_{+1/2}$ . These extensions are found  
 566 in several theories such as supersymmetry. A general 2HDM can be extended with a  
 567 light scalar (2HDM+S) to obtain a rich set of exotic Higgs decays [6].

The charges of the Higgs fields are chosen to be  $H_1 \sim 2_{-1/2}$  and  $H_2 \sim 2_{+1/2}$ , which  
 acquire vacuum expectation values  $v_{1,2}$  which are assumed to be real and aligned [6].  
 Expanding about the minima yields two complex and four real degrees of freedom:

$$H_1 = \frac{1}{\sqrt{2}} \begin{pmatrix} v_1 + H_{1,R}^0 + iH_{1,I}^0 \\ H_{1,R}^- + iH_{1,I}^- \end{pmatrix} \quad (1.14)$$

$$H_2 = \frac{1}{\sqrt{2}} \begin{pmatrix} H_{2,R}^+ + iH_{2,I}^+ \\ v_2 + H_{2,R}^0 + iH_{2,I}^0 \end{pmatrix} \quad (1.15)$$

568 The charged scalar and pseudoscalar mass matrices are diagonalized by a rotation  
 569 angle  $\beta$ , defined as  $\tan \beta = v_2/v_1$ . One charged (complex) field and one neutral  
 570 pseudoscalar combination of  $H_{1,2,I}^0$  are eaten by the SM gauge bosons after electroweak  
 571 symmetry breaking [6]. The other complex field yields two charged mass eigenstates  
 572  $H^\pm$ , which are assumed to be heavy. The remaining three degrees of freedom yield  
 573 one neutral pseudoscalar mass eigenstate

$$A = H_{1,I}^0 \sin \beta - H_{2,I}^0 \cos \beta \quad (1.16)$$

574 and two neutral scalar mass eigenstates (where  $-\pi/2 \leq \alpha \leq \pi/2$ )

$$\begin{pmatrix} h \\ H^0 \end{pmatrix} = \begin{pmatrix} -\sin \alpha & \cos \alpha \\ \cos \alpha & \sin \alpha \end{pmatrix} \begin{pmatrix} H_{1,R}^0 \\ H_{2,R}^0 \end{pmatrix} \quad (1.17)$$

575 We assume that the 2HDM is near or in the decoupling limit:  $\alpha \rightarrow \pi/2 - \beta$ , where the  
 576 lightest state in the 2HDM is  $h$ , which we identify as the 125 GeV Higgs particle [6].  
 577 In this limit, the fermion couplings of  $h$  become identical to the Standard Model

578 Higgs, while the gauge boson couplings are very close to Standard Model-like for  
 579  $\tan \beta \gtrsim 5$ . All of the properties of  $h$  can be determined by just two parameters:  $\tan \beta$   
 580 and  $\alpha$ , and the fermion couplings to the two Higgs doublets.

581 2HDM can be extended by a scalar singlet (2HDM+S) [6]:

$$S = \frac{1}{\sqrt{2}}(S_R + iS_I) \quad (1.18)$$

582 If this singlet only couples to the Higgs doublets  $H_{1,2}$  and has no direct Yukawa  
 583 couplings, all of its couplings to SM fermions result from mixing with  $H_{1,2}$ . Under  
 584 these simple assumptions, exotic Higgs decays  $h \rightarrow ss \rightarrow X\bar{X}Y\bar{Y}$  or  $h \rightarrow aa \rightarrow$   
 585  $X\bar{X}Y\bar{Y}$ , and  $h \rightarrow aZ \rightarrow X\bar{X}Y\bar{Y}$  are permitted, where  $s(a)$  is a (pseudo)scalar mass  
 586 eigenstate mostly composed of  $S_R(S_I)$ , and  $X, Y$  are Standard Model fermions or  
 587 gauge bosons. There are two pseudoscalars in the 2HDM+S, and the mostly singlet-  
 588 like pseudoscalar can be chosen to be the one lighter than the SM-like Higgs. For  
 589  $m_a < m_h - m_Z \sim 35$  GeV, the exotic Higgs decay  $h \rightarrow Za$  is possible, and for  
 590  $m_a < m_h/2 \approx 63$  GeV, the exotic Higgs decay  $h \rightarrow aa$  is possible.

591 In 2HDM, and by extension 2HDM+S, there are four types of fermion couplings  
 592 commonly discussed in the literature that forbid flavor-changing neutral currents at  
 593 tree level [6]. These are referred to as Type I (all fermions couple to  $H_2$ ), Type II  
 594 (MSSM-like,  $d_R$  and  $e_R$  couple to  $H_1$ ,  $u_R$  to  $H_2$ ), Type III (lepton-specific, leptons  
 595 and quarks couple to  $H_1$  and  $H_2$  respectively) and Type IV (flipped, with  $u_R$ ,  $e_R$   
 596 coupling to  $H_2$  and  $d_R$  to  $H_1$ ). The exact branching ratios of the pseudoscalars to  
 597 Standard Model particles vary depending on the 2HDM+S model and the value of  
 598  $\tan \beta$  (e.g. Fig. 1.3).

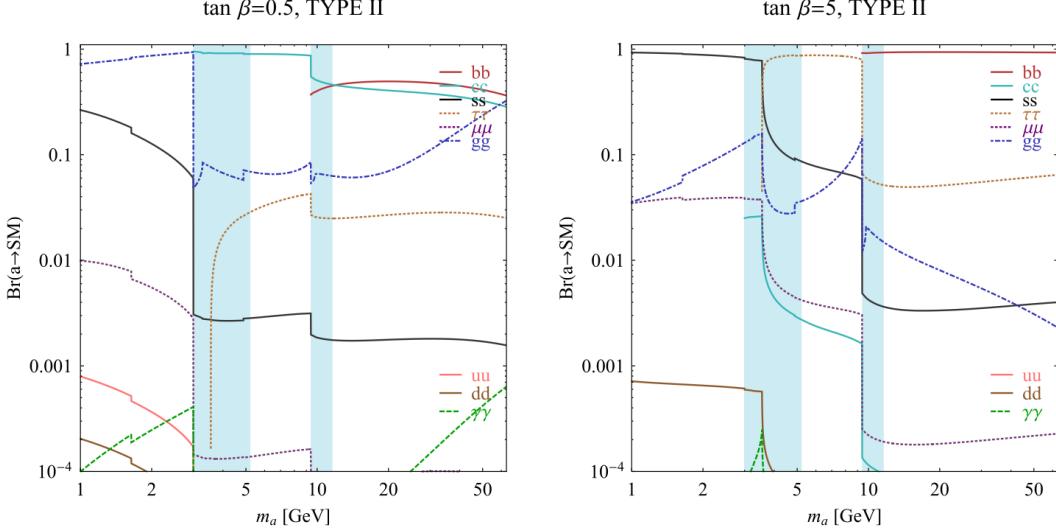


FIG. 7 (color online). Branching ratios of a singletlike pseudoscalar in the 2HDM + S for type-II Yukawa couplings. Decays to quarkonia likely invalidate our simple calculations in the shaded regions.

Figure 1.3: Branching ratios of a singlet-like pseudoscalar in Type II 2HDM+S for  $\tan\beta = 0.5$  (left) and  $\tan\beta = 5$  (right) from [6], showing the dependence of the branching ratios on  $\tan\beta$ , as well as the prominence of the branching ratios to  $bb$  and  $\tau\tau$ , the channels searched for in the analysis presented here.

## 1.5 Two Real Singlet Model

The two real singlet model (TRSM) adds two real singlet degrees of freedom to the Standard Model. These are written as two real singlet fields  $S$  and  $X$ . Depending on the vacuum expectation values acquired by the scalars, different phases of the model can be realized [7]. To reduce the number of free parameters, two discrete  $\mathbb{Z}_2$  symmetries are introduced. The fields are decomposed as

$$\Phi = \begin{pmatrix} 0 \\ \frac{\phi_h + v}{\sqrt{2}} \end{pmatrix}, S = \frac{\phi_S + v_S}{\sqrt{2}}, X = \frac{\phi_X + v_X}{\sqrt{2}} \quad (1.19)$$

To achieve electroweak-breaking symmetry,  $v = v_{SM} \sim 246$  GeV is necessary. If the vacuum expectation values  $v_S, v_X \neq 0$  the  $\mathbb{Z}_2$  are spontaneously broken, and the fields  $\phi_{h,S,X}$  mix into three physical scalar states. This is called the broken phase and leads to the most interesting collider phenomenology.

609        The mass eigenstates  $h_{1,2,3}$  are related to the fields  $\phi_{h,S,X}$  through a  $3 \times 3$  orthogonal  
610        mixing matrix denoted  $R$ . The mass eigenstates are assumed to be ordered  $M_1 \leq$   
611         $M_2 \leq M_3$ .  $R$  is parameterized by the three mixing angles  $\theta_{hS}$ ,  $\theta_{hX}$ ,  $\theta_{SX}$ . The nine  
612        parameters of the scalar potential can be expressed in terms of the three physical  
613        Higgs masses, the three mixing angles, and the three vacuum expectation values.

614        After fixing one of the Higgs masses to the mass of the observed Higgs boson, and  
615        fixing the Higgs doublet vacuum expectation value to its Standard Model value, there  
616        are seven remaining free parameters of the TRSM [7].

617        In one benchmark scenario of TRSM [7], the heaviest scalar state  $h_3$  is identified  
618        with the 125 GeV Higgs,  $h_{125}$ , and it can decay asymmetrically  $h_{125} \rightarrow h_1 h_2$ , which  
619        we also denote  $h \rightarrow a_1 a_2$  to highlight the similarity with the symmetric decay  $h \rightarrow aa$   
620        typically interpreted in 2HDM+S as discussed. The parameter values in TRSM are  
621        chosen such that the coupling of  $h_3$  to Standard Model particles are nearly identical  
622        to the Standard Model predictions.

623        In benchmark scenario 1 (benchmark plane 1, or BP1) (Fig. 1.4) [7], the maximal  
624        branching ratios for  $h_3 \rightarrow h_1 h_2$  reach up to 7 – 8% which translates into a signal  
625        rate of around 3 pb. These maximal branching ratios are reached in the intermediate  
626        mass state for  $h_2$ ,  $M_2 \sim 60 – 80$  GeV. For  $M_2 < 40$  GeV, although phase space opens  
627        up significantly for light decay products, the branching ratio becomes smaller.

628        If the decay channel  $h_2 \rightarrow h_1 h_1$  is kinematically open (i.e.  $M_2 > 2M_1$ ), it is the  
629        dominant decay mode leading to a significant rate for the  $h_1 h_1 h_1$  final state, in a  
630        “cascade” decay. In BP1,  $BR(h_2 \rightarrow h_1 h_1) \simeq 100\%$  above the red line in Fig. 1.4. If,  
631        in addition,  $M_1 \gtrsim 10$  GeV, the  $h_1$  decays dominantly to  $b\bar{b}$  leading to a sizable rate  
632        for the  $b\bar{b}b\bar{b}b\bar{b}$  final state as shown in Fig. 1.4 (*bottom right*).

633        If the  $h_2 \rightarrow h_1 h_1$  decay is kinematically closed (i.e.  $M_2 < 2M_1$ ), both scalars decay  
634        directly to Standard Model particles, with branching ratios identical to a Standard  
635        Model-like Higgs boson, i.e. with the  $b\bar{b}b\bar{b}$  final state dominating, as shown in Fig. 1.4

<sub>636</sub> (*bottom left*), while at smaller masses, combinations with  $\tau$  leptons and eventually  
<sub>637</sub> final states with charm quarks and muons become relevant [7].

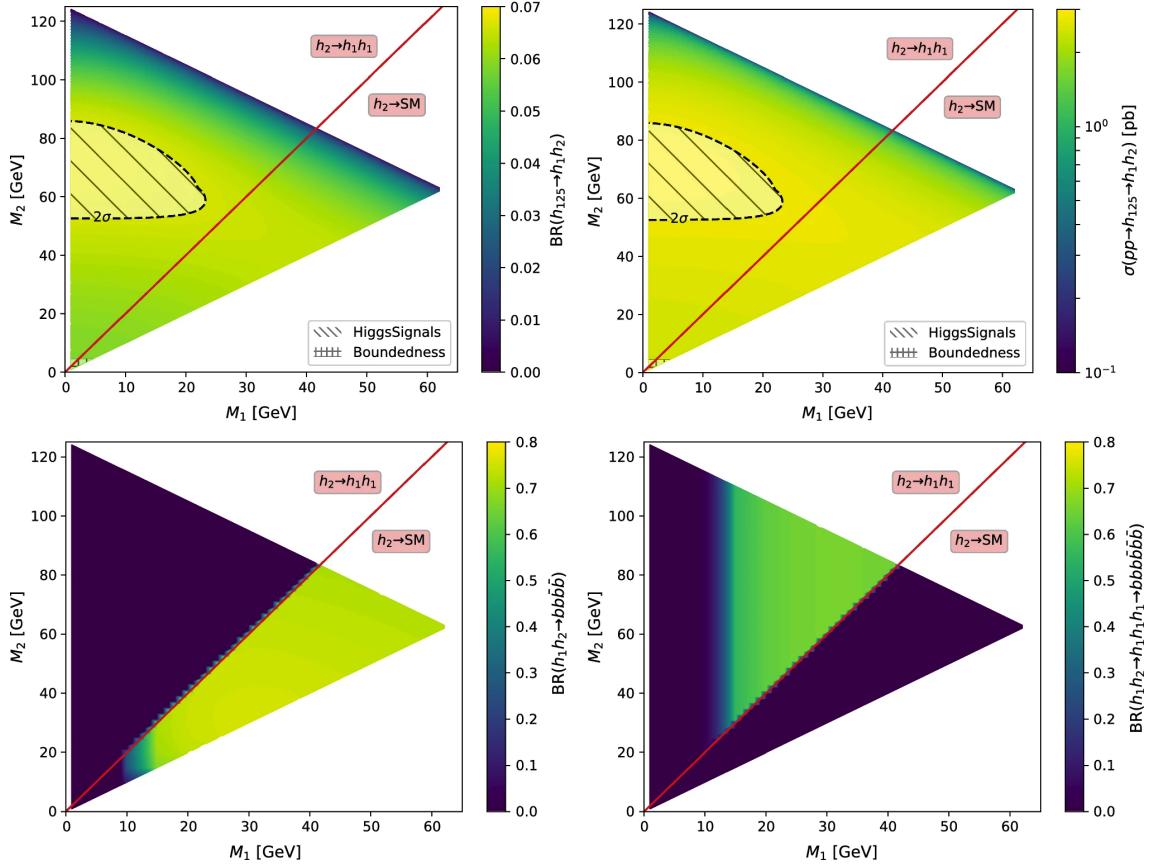


Figure 1.4: Benchmark plane BP1 for benchmark scenario 1 from [7], for the decay signature  $h_{125} \rightarrow h_1 h_2$  with  $h_{125} \equiv h_3$ , defined in the  $(M_1, M_2)$  plane. The color code shows  $\text{BR}(h_3 \rightarrow h_1 h_2)$  (*top left*) and the 13 TeV LHC signal rate for  $pp \rightarrow h_3 \rightarrow h_1 h_2$  (*top right*). The red line separates the region  $M_2 > 2M_1$ , where  $\text{BR}(h_2 \rightarrow h_1 h_1) \sim 100\%$ , from the region  $M_2 < 2M_1$ , where  $\text{BR}(h_2 \rightarrow F_{SM}) \sim 100\%$ . The *bottom left* and *right* show the branching ratio of the  $h_1 h_2$  into (respectively)  $b\bar{b}b\bar{b}$ , and through a  $h_2 \rightarrow h_1 h_1$  cascade to  $b\bar{b}b\bar{b}b\bar{b}$ . The hatched region indicates where the decay rate slightly exceeds the  $2\sigma$  upper limit inferred from the LHC Higgs rate measurements, though the region depends on the parameter choices and experimental searches should cover the whole mass range.

638 **Chapter 2**

639 **The Large Hadron Collider and the**  
640 **CMS Experiment**

641 This chapter introduces the key aspects of the CERN Large Hadron Collider (LHC)  
642 and the Compact Muon Solenoid (CMS) experiment where the work for this thesis was  
643 conducted. Section 2.1 describes the history of accelerator developments at CERN  
644 that led to the construction of the LHC, the current LHC configuration, and the  
645 largest experiments located at the LHC. The concepts of beam luminosity and pile-  
646 up, which are critical for understanding and measuring high-energy particle collisions,  
647 are described in Section 2.2 and discussed in the context of the High-Luminosity  
648 LHC (HL-LHC) upgrade in Section 2.3. Lastly, Section 2.4 describes the design  
649 and function of CMS and its subdetectors, and terminates in a description of data  
650 processing at CMS, beginning from online event filtering in the Level-1 Trigger, to  
651 processing in the High-Level Trigger, to offline particle reconstruction, and finally  
652 long-term storage and processing of measured events.

## 653    2.1 The Large Hadron Collider

654    CERN, the European Organization for Nuclear Research, is an international organiza-  
655    tion based in Meyrin, Switzerland which operates the world's largest particle physics  
656    laboratory, and is the site of the Large Hadron Collider (LHC) [8]. The very first  
657    accelerator built at CERN was the 600 MeV Synchrocyclotron (SC), which initially  
658    provided beams for CERN's first experiments. The newer and more powerful Proton  
659    Synchrotron (PS), which could accelerate particles to an energy of 28 GeV, began op-  
660    erations in 1959 and is still in use today. The first hadron collider at CERN was the  
661    Intersecting Storage Rings (ISR), which consisted of two interlaced rings each with a  
662    diameter of 200. The ISR collided protons at a center-of-mass energy of 62 GeV and  
663    began measuring collisions in 1971. In 1968 CERN began to accelerate heavy ions  
664    in the Super Proton Synchrotron (SPS), which is 7 kilometers in circumference and  
665    was the first of CERN's giant underground rings to be built. The SPS became the  
666    forefront of CERN's particle physics program in 1976, and in 1981 was converted into  
667    a proton-antiproton collider. The final and largest underground ring constructed at  
668    CERN was the Large Electron-Positron (LEP) collider, which was commissioned in  
669    July 1989 and hosted 5176 magnets and 128 accelerating cavities located around a  
670    27-kilometer circumference. Over 11 years of research, four detectors, ALEPH, DEL-  
671    PHI, L3, and OPAL measured the collisions, with collision energies reaching up to  
672    209 GeV in the year 2000. In November 2000, LEP was closed down to make way for  
673    the construction of the LHC in the same tunnel.

674    In its current configuration, the LHC accelerator complex at CERN is a suc-  
675    cession of machines that accelerate particles in stages until they reach their final energy  
676    of 6.5 TeV per beam [9] [10]. In Linear accelerator 4 (Linac4), negative hydrogen  
677    ions (hydrogen atoms with an additional electron) are accelerated to 160 MeV, and  
678    stripped of their two electrons, leaving only protons, before entering the Proton Syn-  
679    chrotron Booster (PSB). These protons are accelerated to 2 GeV, then to 26 GeV in

680 the Proton Synchrotron (PS), and 450 GeV in the Super Proton Synchrotron (SPS).  
681 The protons are transferred to the two beam pipes of the Large Hadron Collider  
682 (LHC). The LHC is a 27-kilometer ring of superconducting magnets, inside which  
683 one beam circulates clockwise and the other counterclockwise. Each LHC ring takes  
684 4 minutes and 20 seconds to fill, and it takes about 20 minutes for the protons to  
685 reach their maximum energy. During normal operating conditions, beams circulate  
686 for many hours inside the LHC ring.

687 The beams of particles in the LHC are made to collide at a center-of-mass energy  
688 of up to 14 TeV, at four positions at particle detector experiments located around  
689 the ring: ATLAS, CMS, ALICE, and LHCb. An aerial view of the four major  
690 experiments' locations is shown in Fig. 2.1 [11]. ATLAS and CMS are the two  
691 general-purpose detectors with broad physics programmes spanning Standard Model  
692 measurements and searches for signatures of new physics [12] [13]. The two experi-  
693 ments use different technical solutions and different magnet system designs. ALICE  
694 is a general-purpose detector dedicated to measuring LHC heavy-ion collisions, and  
695 is designed to address the physics of strongly interacting matter, and the properties  
696 of quark-gluon plasma [14]. The LHCb experiment specializes in investigating CP vi-  
697 olation through measuring the differences in matter and antimatter, by using a series  
698 of subdetectors to detect mainly forward particles close to the beam direction [15].

## 699 **2.2 Luminosity and pile-up**

700 In order to search for rare processes, such as those resulting from a Higgs, W, or Z  
701 boson, a large number of parton interactions per second are required at the LHC.  
702 The number of events generated per second by the LHC collisions is given by

$$N_{event} = \mathcal{L} \cdot \sigma_{event} \quad (2.1)$$

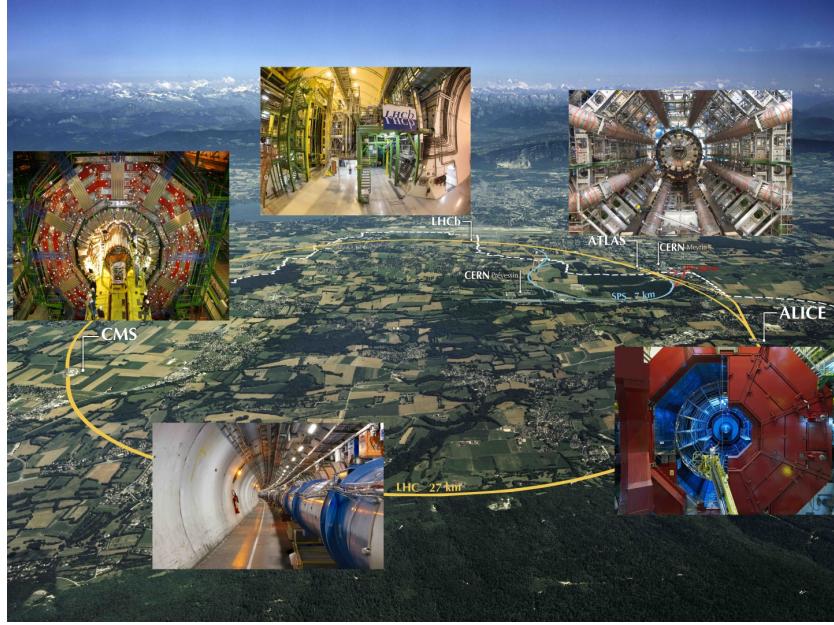


Figure 2.1: Aerial view of the Large Hadron Collider (LHC) spanning the border of France and Switzerland, and the four major experiments located around the ring: CMS (Compact Muon Solenoid), LHCb (LHC beauty), ATLAS (A Toroidal LHC Apparatus), and ALICE (A Large Ion Collider Experiment) [11].

where  $\sigma_{event}$  is the cross-section for the event under study, and  $\mathcal{L}$  the instantaneous luminosity. The instantaneous luminosity is measured in units of  $\text{cm}^{-2} \text{ s}^{-1}$ , and depends only on the beam parameters, and can be written for a Gaussian beam distribution as:

$$\mathcal{L} = \frac{N_b^2 n_b f_{rev} \gamma_r}{4\pi \epsilon_n \beta^*} F \quad (2.2)$$

where the parameters are as defined, along with some example typical nominal values in Phase-1 of the LHC [16] [17]:

- $N_b$  is the number of particles per bunch ( $N_b \approx 1.15 \times 10^{11}$  protons per bunch)
- $n_b$  is the number of bunches per beam (maximum 2808),
- $f_{rev}$  is the revolution frequency ( $\approx 11 \text{ kHz}$ ),
- $\gamma_r$  is the relativistic gamma factor,

- $\epsilon_n$  is the normalized transverse beam emittance (area in a transverse plane occupied by the beam particles),
  - $\beta^*$  is the beta function at the collision point ( $\beta^* = 0.55$  m),
  - and  $F$  is the geometric luminosity reduction factor due to the crossing angle at the interaction points ( $F \approx 0.84$  for Phase-1. Note that complete overlap would give  $F = 1$ ).

719 Peak luminosity at interaction points 1 and 5 reach values of  $\sim 1.0 \times 10^{34} \text{ cm}^{-2} \text{ s}^{-1}$ ,  
 720 with peak luminosity per bunch crossing reaching  $\sim 3.56 \times 10^{34} \text{ cm}^{-2} \text{ s}^{-1}$ .

Per Eqn. 2.1, the integrated luminosity over time is proportional to the number of events produced, and the size of LHC datasets is commonly presented in terms of integrated luminosity. Collider operation aims to optimize the integrated luminosity. Thus the exploration of rare events in the LHC collisions requires both high beam energies and high beam intensities.

The interaction vertex corresponding to the hard scattering of the protons is called the primary interaction vertex, or primary vertex (PV). The LHC’s nominal beam luminosities are sufficiently large for multiple proton-proton collisions to occur in the same time window of 25 nanoseconds in which proton bunches collide [18]. To measure a proton-proton collision, the primary vertices must be separated from overlapping collisions, called “pile-up” collisions.

The pile-up is defined as the average number of  $pp$  collisions per bunch crossing, and can be estimated from the inelastic  $pp$  cross section of  $\sigma_{\text{inel}} = 68.6$  millibarns at a center-of-mass energy of  $\sqrt{s} = 13$  TeV [19]:

$$\text{Pile-up} = \frac{\mathcal{L} \times \sigma_{\text{inel}}}{n_b \cdot f} \sim 22 \quad (2.3)$$

<sup>735</sup> A distribution of pile-up in the data-taking years 2016-2018 is shown in Fig. 2.2.

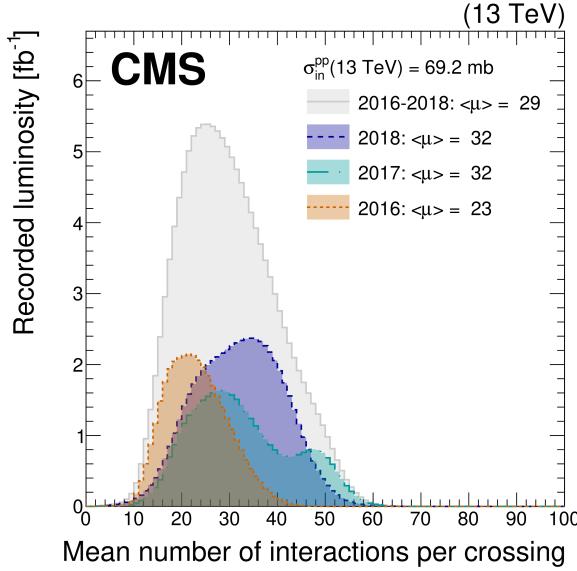


Figure 2.2: Distribution of the mean number of inelastic collisions per bunch crossing (pile-up) in data [18], for proton-proton collisions in 2016 (*dotted orange*), 2017 (*dotted light blue*), 2018 (*dotted dark blue*), and integrated over 2016-2018 (*solid grey*). A cross-section of inelastic proton-proton collisions of 69.2 mbarns is assumed. In the running conditions of the High-Luminosity LHC, pile-up will reach unprecedented levels of up to 200 per bunch crossing [20].

These multiple collisions will lead to higher occupancies in the detector, and particles originating from the pile-up interactions can be confused with those originating from the primary vertex. Thus, higher luminosities create more intense pile-up conditions, posing a greater challenge to detector performance and particle reconstruction and identification.

## 2.3 The High-Luminosity LHC

The High-Luminosity LHC (HL-LHC) is a major upgrade of the LHC scheduled to take place in the late 2020s, that will increase the instantaneous luminosity by a factor of five beyond the original design value, and the integrated luminosity by a factor of ten [20]. This will be accomplished through accelerator technological advances: for instance, reduction of the interaction point  $\beta^*$  from 0.55 m down to 0.15

747 m by installation of new final-focusing magnets, and improvements in the geometric  
748 luminosity loss factor  $F \approx 1$  through the installation of crab cavities that optimize  
749 the orientation of colliding bunches. A further discussion of the HL-LHC upgrades  
750 for the CMS detector follows in Chapter 3.

## 751 2.4 The CMS detector

752 We give a brief overview of the Compact Muon Solenoid (CMS) experiment here  
753 and discuss each of the subdetectors in more detail in the following sections. The  
754 CMS experiment was conceived to study proton-proton and lead-lead collisions at  
755 a center-of-mass energy of 14 TeV (5.5 TeV nucleon-nucleon) and at luminosities up  
756 to  $10^{34} \text{ cm}^{-2} \text{ s}^{-1}$  ( $10^{27} \text{ cm}^{-2} \text{ s}^{-1}$ ) [21] [22]. Starting from the beam interaction region  
757 at the center of the CMS detector, particles first pass through a silicon pixel and  
758 strip tracker, in which charged-particle trajectories (tracks) and origins (vertices)  
759 are reconstructed from signals (hits) in the sensitive layers. The tracker, electro-  
760 magnetic calorimeter (ECAL), and hadronic calorimeter (HCAL) are immersed in a  
761 high-magnetic-field superconducting solenoid that bends the trajectories of charged  
762 particles. After passing through the tracker, electrons and photons are then absorbed  
763 in the electromagnetic calorimeter (ECAL) comprised of lead-tungstate scintillating-  
764 crystals. The corresponding electromagnetic showers are detected as clusters of energy  
765 recording in neighboring cells, from which the direction and energy of the particles can  
766 be determined. Charged and neutral hadrons may initiate a hadronic shower in the  
767 ECAL as well, which is then fully absorbed in the hadron calorimeter (HCAL). The  
768 resulting clusters are used to estimate their direction and energies. Muons and neu-  
769 trinos pass through the calorimeters with little to no interactions. Neutrinos escaped  
770 undetected; muons produce hits in additional gas-ionization chamber muon detectors  
771 housed in the iron yoke of the flux-return. A sketch of example particle interactions

in a transverse slice of the CMS detector is shown in Fig. 2.3. The collision data is recorded with the use of the Level-1 (L1) trigger (discussed in greater detail in 2.5.5), the High-Level Trigger (HLT), and data acquisition systems ensuring high efficiency in selecting physics events of interest.

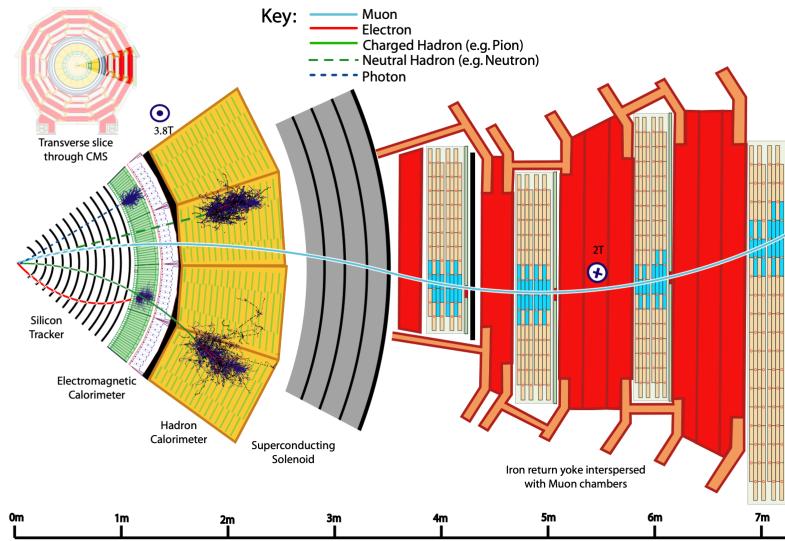


Figure 2.3: Sketch of particle trajectories of muons, electrons, charged and neutral hadrons, and photons in a transverse cross-section of the CMS detector [22].

CMS uses a right-handed coordinate system [21]. The origin is centered at the nominal collision point inside the experiment. The  $x$  axis points towards the center of the LHC, and the  $y$  axis points vertically upwards. The  $z$  axis points along the beam direction. The azimuthal angle,  $\phi$ , is measured from the  $x$  axis in the  $x$ - $y$  plane, and the radial coordinate in this plane is denoted by  $r$ . The polar angle,  $\theta$ , is measured from the  $z$  axis. The pseudorapidity,  $\eta$ , is defined as  $\eta = -\ln \tan(\theta/2)$ . The momentum and energy transverse to the beam direction, denoted by  $p_T$  and  $E_T$  respectively, are computed from the  $x$  and  $y$  components. The momentum imbalance in the transverse plane is called the missing transverse momentum, and its magnitude is denoted by  $E_T^{\text{miss}}$ .

## 786 2.5 Sub-detectors of CMS and data processing

787 This section details the sub-detectors of CMS that operate to identify and precisely  
788 measure muons, electrons, photons, and jets over a large energy range. The sections  
789 are ordered starting from the innermost sub-detectors closest to the beam interaction  
790 area: the tracker, the electromagnetic and hadronic calorimeters, and the muon de-  
791 tectors. The two-stage trigger system is described, starting with the firmware-based  
792 Level-1 Trigger and followed by the High-Level Trigger. Lastly, particle reconstruction  
793 and data storage and computational infrastructure are discussed.

### 794 2.5.1 Inner tracking system

795 The CMS Tracker performs robust tracking and detailed vertex reconstruction in the  
796 4 T magnetic field of the superconducting solenoidal magnet. The primary sensors  
797 used in the tracker are  $p^+$  on  $n$ -bulk devices, which allow high voltage operation and  
798 are radiation-resistant [23] [24]. The active envelope of the CMS Tracker extends to a  
799 radius of 115 cm, over a length of approximately 270 cm on each side of the interaction  
800 point [23]. Charged particles in the region  $|\eta| \lesssim 1.6$  benefit from the full momentum  
801 measurement precision. In this region, a charged particle with  $p_T$  of 1000 GeV has a  
802 sagitta of  $\sim 195 \mu\text{m}$ . The Tracker acceptance extends further to  $|\eta| = 2.5$ , with a  
803 reduced radius of approximately 50 cm.

804 The high magnetic field of CMS causes low  $p_T$  charged particles to travel in helical  
805 trajectories with small radii. The majority of events contain particles with a steeply  
806 falling  $p_T$  spectrum, resulting in a track density which rapidly decreases at higher  
807 radii.

808 A schematic view of the current Phase-1 CMS tracker [25], including the pixel  
809 detector, is shown in Fig. 2.4. The Phase-1 pixel detector consists of three barrel  
810 layers (BPIX) at radii of 4.4 cm, 7.3 cm, and 10.2 cm, and two forward/backward disks

811 (FPIX) at longitudinal positions of  $\pm 34.5$  cm and  $\pm 46.5$  cm, and extending in radius  
 812 from about 6 cm to 15 cm. These pixelated detectors produce 3D measurements along  
 813 the paths of charged particles with single hit resolutions between 10-20  $\mu\text{m}$ .

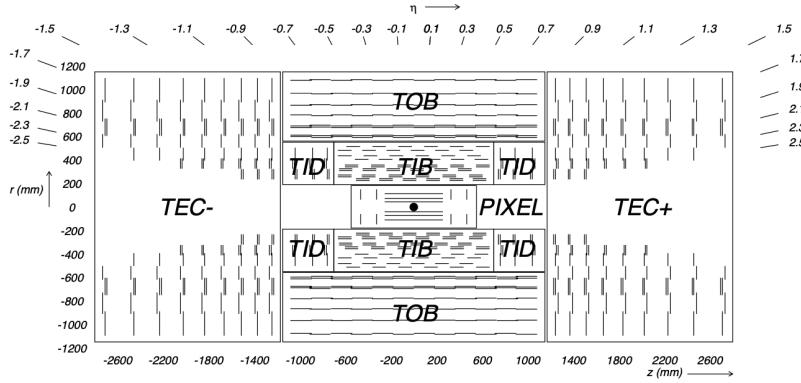


Figure 2.4: Cross section of the current Phase-1 CMS tracker [25]. Each line represents a detector module. Double lines indicate back-to-back modules which deliver two-dimensional (stereo) hits in the strip tracker.

814 After the pixel and on their way out of the tracker, particles pass through the  
 815 silicon strip tracker which reaches out to a radius of 130 cm (Fig. 2.4). The sensor el-  
 816 ements in the strip tracker are single-sided  $p$ -on- $n$  type silicon micro-strip sensors [21].  
 817 The silicon strip detector consists of four inner barrel (TIB) layers assembled in shells,  
 818 with two inner endcaps (TID), each composed of three small discs. The outer barrel  
 819 (TOB) consists of six concentric layers. Two endcaps (TEC) close off the tracker on  
 820 either end.

### 821 2.5.2 ECAL

822 The electromagnetic calorimeter (ECAL) of CMS measures electromagnetic energy  
 823 deposits with high granularity. One of the driving criteria in the design was the capa-  
 824 bility of detecting the Standard Model Higgs boson decay to two photons (in fact, the  
 825 channel in which the 125 GeV Higgs boson was discovered at CMS). ECAL is a her-  
 826 metic homogeneous calorimeter comprised of 61,200 lead tungstate ( $\text{PbWO}_4$ ) crystals

827 mounted in the central barrel, with 7,324 crystals in each of the two endcaps [21]. A  
828 preshower detector is located in front of the endcap crystals. Avalanche photodiodes  
829 (APDs) are used as photodetectors in the barrel and vacuum phototriodes (VPTs) in  
830 the endcaps.

831 The design of the ECAL is driven by the behaviour of high-energy electrons, which  
832 predominantly lose energy in matter via bremsstrahlung, and high-energy photons  
833 by  $e^+e^-$  pair production. The characteristic amount of matter traversed for these  
834 interactions is the radiation length  $X^0$ , usually measured in units of  $\text{g} \cdot \text{cm}^{-2}$ . The  
835 radiation length is also the mean distance over which a high-energy electron loses all  
836 but  $1/e$  of its energy via bremsstrahlung [26]. Thus high granularity in  $\eta$  and  $\phi$ , and  
837 the length of the ECAL crystals, is designed to capture the shower of  $e/\gamma$  produced  
838 by electrons and photons.

839 The barrel part of the ECAL (EB) covers the pseudorapidity range  $|\eta| < 1.479$  [21].  
840 The barrel granularity is 360-fold in  $\phi$  and  $(2 \times 85)$ -fold in  $\eta$ . The crystal cross-section  
841 corresponds to approximately  $0.0174 \times 0.0174$  in  $\eta - \phi$  or  $22 \times 22 \text{ mm}^2$  at the front  
842 face of the crystal, and  $26 \times 26 \text{ mm}^2$  at the rear face. The crystal length is 230 mm,  
843 corresponding to  $25.8 X_0$ .

844 The ECAL read-out acquires the signals of the photodetectors [21]. At each bunch  
845 crossing, digital sums representing the energy deposit in a trigger tower, comprising  
846  $5 \times 5$  crystals in  $\eta \times \phi$ , are generated and sent to the Level-1 trigger system (detailed  
847 in Section 2.5.5).

### 848 2.5.3 HCAL

849 The hadronic calorimeter (HCAL) of CMS measures hadronic energy, which is key to  
850 characterizing the presence of apparent missing transverse energy which could arise  
851 from hadron jets and neutrinos or exotic particles [21]. A schematic of the components  
852 of HCAL are shown in Fig. 2.5. The HCAL barrel (HB) and endcaps (HE) are located

853 outside of the tracker and the ECAL, spanning a radius of 1.77 m (outer extent of  
 854 ECAL) up to 2.95 m (inner extent of the magnet coil). An outer hadron calorimeter  
 855 (HO) is placed outside the solenoid to complement the barrel calorimeter. Beyond  
 856  $|\eta| = 3$ , the forward hadron calorimeter (HF) at 11.2 m from the interaction point  
 857 extend the pseudorapidity coverage to  $|\eta| = 5.2$ .

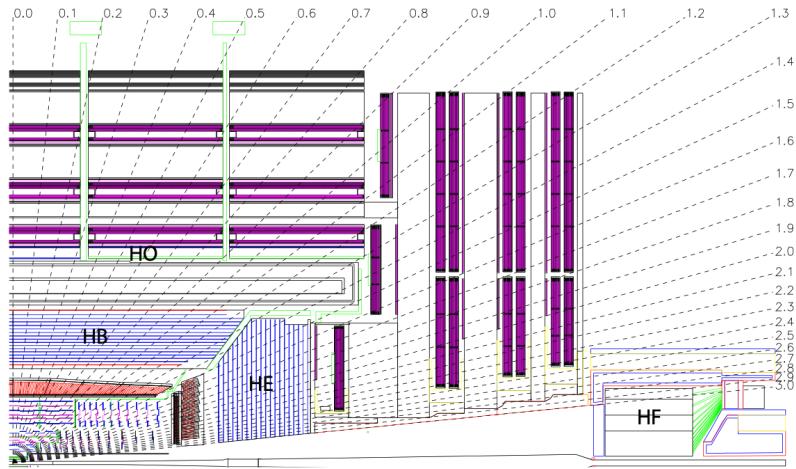


Figure 2.5: Longitudinal view of the CMS detector showing the hadron calorimeter barrel (HB), endcap (HE), outer (HO), and forward (HF) calorimeters from [21].

858 The HB is a sampling calorimeter covering the pseudorapidity range  $|\eta| < 1.3$  [21].  
 859 It consists of 36 identical azimuthal wedges which form two half-barrels (HB+ and HB-  
 860 ), with a segmentation of  $(\Delta\eta, \Delta\phi) = (0.087, 0.087)$ . The HE covers pseudorapidity  
 861  $1.3 < |\eta| < 3$ . The HB and endcap HE calorimeters are sampling calorimeters which  
 862 use brass as the absorber and plastic scintillator as the active material. Light from  
 863 the plastic scintillator is wavelength-shifted and captured in optic fibers which are  
 864 read out by front-end electronics [27].

865 The HF is a Cherenkov calorimeter based on a steel absorber and quartz fibers  
 866 which run longitudinally through the absorber and collect Cherenkov light, primarily  
 867 from the electromagnetic component of showers developed in the calorimeter [27].  
 868 Photomultiplier tubes are used to collect light from the quartz fibers. The HF is  
 869 designed to survive in the harsh radiation conditions and high particle flux of the for-

ward region. On average, 760 GeV per proton-proton interaction is deposited into the two forward calorimeters, compared to only 100 GeV for the rest of the detector [21]. Furthermore, this energy has a pronounced maximum at the highest rapidities.

#### 2.5.4 Muon detectors

The CMS muon system is designed to have the capability of reconstructing the momentum and charge of muons over the kinematic range of the LHC, since muons are a powerful handle on signatures of interesting processes over the high background rate of the LHC [21]. For instance, the decay of the Standard Model Higgs boson into  $ZZ$ , which in turn decay to 4 leptons, can be reconstructed with high 4-particle mass resolution if all the leptons are muons, since muons are less affected than electrons by radiative losses in the tracker material.

The muon system consists of a cylindrical barrel section and two planar endcap regions [21]. The barrel muon detector consists of drift tube (DT) chambers covering the pseudorapidity region  $|\eta| < 1.2$  (Fig. 2.6). The DTs can be used as tracking detectors due to the barrel region’s characteristic low neutron-induced backgrounds, low muon rate, and relatively uniform 4T magnetic field contained in the steel yoke.

In the two endcap regions, the muon rates and background levels are high and the magnetic field is large and non-uniform [21]. Here, the muon system uses cathode strip chambers (CSCs) to identify muons between  $0.9 < |\eta| < 2.4$ . The cathode strips of each chamber run radially outwards and provide a precision measurement in the  $r - \phi$  bending plane. The anode wires run approximately perpendicular to the strips and are read out in order to measure  $\eta$  and the beam-crossing time of a muon.

In addition to the DT and CSC, a dedicated trigger system consisting of resistive plate chambers (RPCs) in the barrel and endcap regions provide a fast, independent, and highly-segmented trigger with a sharp  $p_T$  threshold over a large portion of the pseudorapidity range ( $|\eta| < 1.6$ ) of the muon system [21]. RPCs have good time

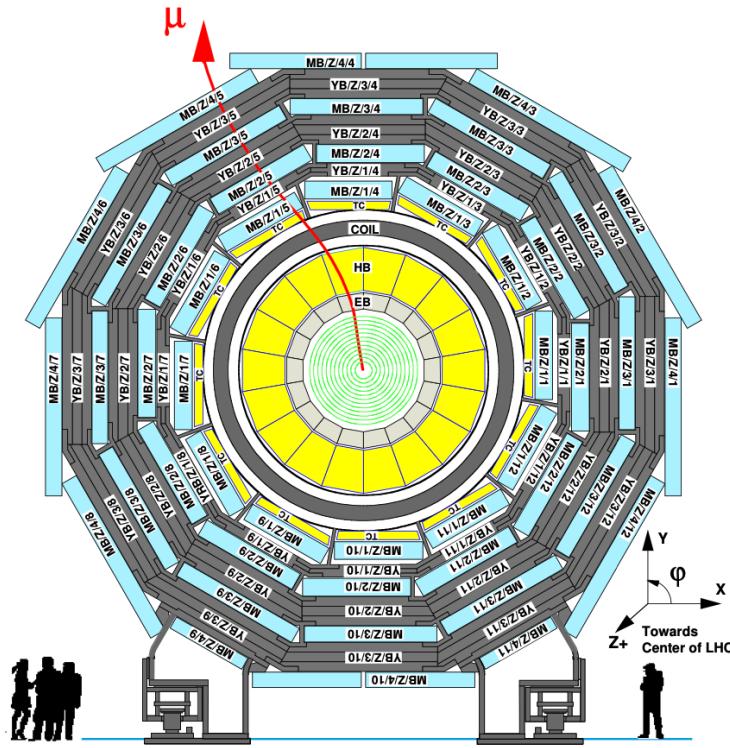


Figure 2.6: Layout of the CMS barrel muon drift tube (DT) chambers in one of the five wheels from [21]. The DTs are organized in 12 sectors of the yoke barrel (YB). In each of the 12 sectors of the yoke, there are 4 muon chambers per wheel (MB1, MB2, MB3, and MB4).

resolution but coarser position resolution compared to the DTs or CSCs. The RPCs also play a role in resolving ambiguities in reconstructing tracks from multiple hits in a chamber.

## 899 2.5.5 The Level-1 Trigger

The design performance of the LHC corresponds to an instantaneous luminosity of  $10^{34} \text{ cm}^{-2} \text{ s}^{-1}$  with a 25 ns bunch crossing rate, giving an average pile-up (number of simultaneous events) of 25 per bunch crossing [28]. However, during Run 2, in 2017 and 2018 the LHC was able to surpass this goal with a mean number of 32 interactions per bunch crossing, and reaching over 50 interactions in short periods (Fig. 904)

2.2). The large number of events from inelastic collisions (minimum bias events) per bunch crossing, combined with the small cross-sections of possible physics discovery signatures, necessitates a sophisticated event selection system for filtering this large event rate, as it is impossible to save all events. This data filtering system is implemented by CMS in two stages. The first stage is the Level-1 (L1) Trigger, which is deployed in custom electronic hardware systems and is responsible for reducing the event rate to around 100 kHz. The second stage is the High-Level Trigger (HLT) which is described in Section 2.5.6. This section describes the Phase-1 configuration of the Level-1 Trigger.

The L1 Trigger data flow of Phase-1 is shown in Fig. 2.7 [28], with organization into the L1 calorimeter trigger, the L1 muon trigger, and the L1 Global Trigger (GT).

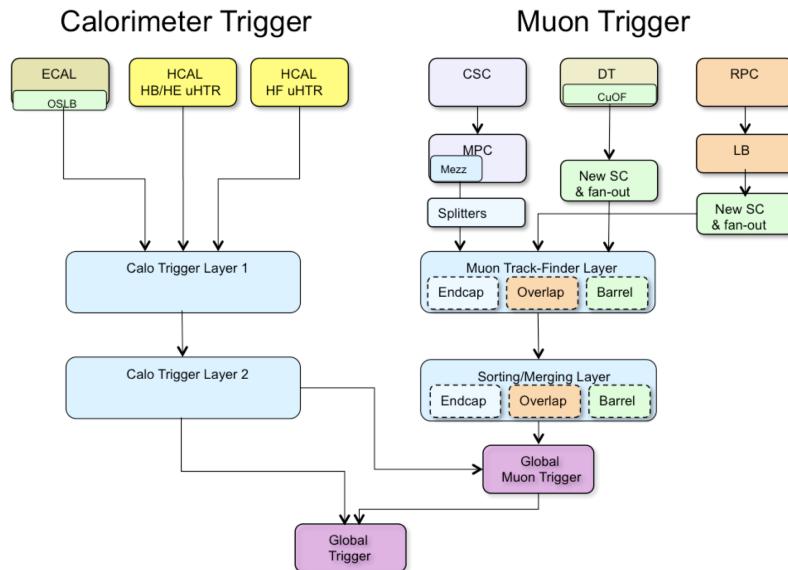


Figure 2.7: Dataflow for the Phase-1 Level-1 Trigger [28], which is implemented in custom hardware and is responsible for reducing the event rate from the LHC bunch crossing frequency of 400 MHz (bunch crossings every 25 ns) to a maximum rate of 100 kHz. In Phase-1, the Level-1 Trigger has access to information from the calorimeter and muon detectors.

The L1 calorimeter trigger begins with trigger tower energy sums formed by the ECAL, HCAL, and HF Trigger Primitive Generator (TPG) circuits from the indi-

918 individual calorimeter cell energies. In the original configuration, the ECAL energies  
919 were accompanied by a bit indicating the transverse extent of the electromagnetic  
920 energy deposits, and the HCAL energies were accompanied by a bit indicating the  
921 presence of minimum ionizing energy [29]. During Long Shutdowns 1 and 2 (LS1  
922 and LS2), HF was upgraded to provide finer granularity information to the trigger,  
923 and the HCAL barrel and endcap front-end electronics were upgraded to provide  
924 high-precision timing information and depth segmentation information.

925 In the original design of the L1 calorimeter trigger, the trigger primitives are pro-  
926 cessed by the Regional Calorimeter Trigger (RCT, upgraded to Calo Layer 1 after  
927 LS2) which finds isolated and non-isolated electron/photon candidates [28]. At this  
928 stage, electrons/photons candidates are treated together since they cannot be defini-  
929 tively distinguished at this stage due to lack of tracking information in the L1 trigger.  
930 The Global Calorimeter Trigger (GCT, upgraded to Calo Layer 2 after LS2) sorts  
931 further the candidate electrons/photons, finds jets (classified as central, forward, and  
932 tau) using the  $E_T$  sums and performs calibration of the clustered jet energies, and  
933 calculates global quantities such as missing  $E_T$ . It sends the top four candidates of  
934 each type to the Global Trigger [28].

935 During LS2 and before Run-2, the legacy calorimeter trigger was upgraded to be  
936 more flexible, maintainable, and performant [30] [31] [32]. These upgrades included  
937 the replacement of legacy VME-based electronics with the MicroTCA ( $\mu$ TCA) mod-  
938 ern telecommunication standard, and system-wide usage of the latest generation of  
939 FPGAs, Xilinx Virtex 7. Parallel copper links were replaced in almost all cases with  
940 serial optical links, allowing link speeds to increase from 1 Gb/s to 10 Gb/s [30]. A  
941 schematic of the current calorimeter trigger is shown in Fig. 2.8. The calorimeter  
942 Layer-1 is implemented in 18 Calorimeter Trigger Processor (CTP7) boards, with  
943 each card spanning 4 out of 72 towers in  $\phi$  and all of  $\eta$ . Tower-level operations are  
944 performed in Layer-1, such as the sum of ECAL and HCAL energies, energy cali-

bration, and the computation of the ratio of HCAL to ECAL energies. The Layer-1 cards each transmit 48 output links at 10 Gb/s to the nine Layer-2 Master Processor cards (MP7) cards, which host calorimeter algorithms that find particle candidates and compute global energy sums. Each MP7 takes 72 input links and has access to the whole event at trigger tower granularity, such that the algorithms are fully pipelined and start processing as soon as the minimum amount of data is received. The trigger candidates are sent to a demultiplexer (demux) board, also a MP7, which formats the data for the upgraded Global Trigger, also called the microGT ( $\mu$ GT).

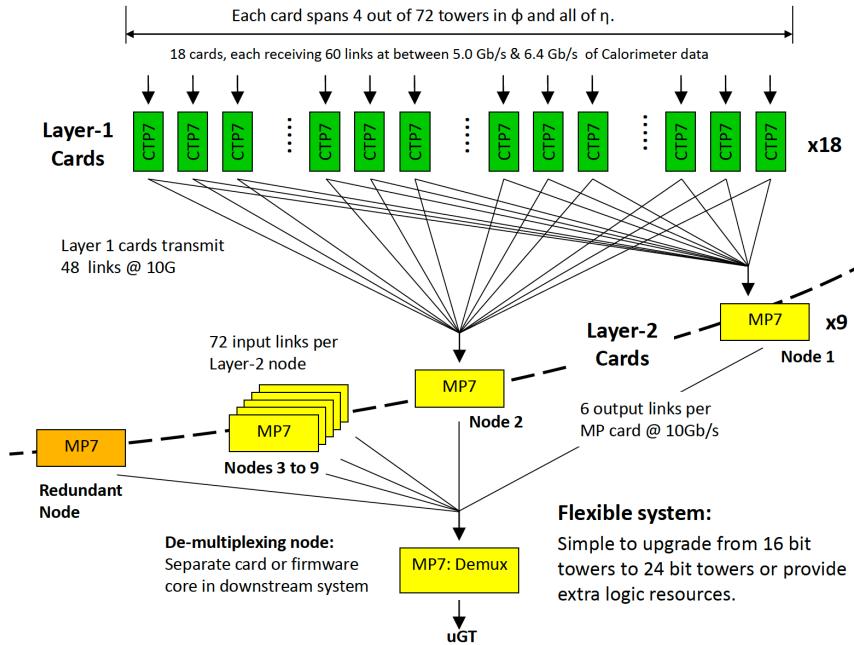


Figure 2.8: Schematic of the calorimeter trigger after Long Shutdown 2 [30]. The Layer-1 calorimeter trigger is implemented in CTP7 cards, which send time-multiplexed outputs to the Layer-2 MP7 cards. The Layer-2 cards handle the data in a round-robin style and the outputs are de-multiplexed, producing one output data stream to the Global Trigger.

Each of the L1 muon triggers has its own trigger logic [29]. The RPC strips are connected to a Pattern Comparator Trigger (PACT), which forms trigger segments that are used to build tracks and calculate  $p_T$ . The RPC logic also provides some hit data to the CSC trigger system to resolve ambiguities caused by two muons in

957 the same CSC. The CSCs form local charged tracks (LCTs) from the cathode strips,  
958 which are combined with the anode wire information. LCTs are combined into full  
959 muon tracks and assigned  $p_T$  values.

960 The Global Muon Trigger (GMT) sorts the RPC, DT, and CSC muon tracks,  
961 converts these tracks to the same  $\eta$ ,  $\phi$ , and  $p_T$  scale, and validates the muon sign [29].  
962 It improves the trigger efficiency by merging muon candidates that were detected  
963 in two complementary sub-systems (i.e. DT+RPC, or CSC+RPC). The GMT also  
964 contains logic to correlate the found muon tracks with an  $\eta-\phi$  grid of quiet calorimeter  
965 towers to determine if the muons are isolated, as well as logic to remove duplicate  
966 candidates originating in the overlap regions from both DT and CSC systems. The  
967 final collection of muons are sorted based on their initial quality, correlation, and  $p_T$ ,  
968 and the top four muons are sent to the Global Trigger [29].

969 The Global Trigger (GT) receives information from the GCT and GMT, and  
970 makes the Level-1 Accept (L1A) decision to either discard or accept the bunch cross-  
971 ing [29]. This is accomplished by sorting ranked trigger objects that are accompanied  
972 by positional information in  $\eta$  and  $\phi$ , permitting the trigger to applying criteria with  
973 thresholds that can vary based on the location of the trigger objects, and/or to re-  
974 quire trigger objects to be close to or opposite from each other. The GT L1A decision  
975 arrives at the detector front end with a  $3.8\ \mu\text{s}$  latency after the interaction at a rate  
976 which is required to be less than 100 kHz, and triggers a full readout of the detector  
977 for further processing.

### 978 2.5.6 The High-Level Trigger

979 The HLT is implemented in software running on a large computer farm of fast com-  
980 mercial processors [33] [34]. The algorithms in HLT have access to full data from  
981 all CMS sub-detectors, including the tracker, with full granularity and resolution.  
982 The HLT reconstruction software is similar to what is used offline for full CMS data

analysis. As a result, the HLT can calculate quantities with a resolution comparable to the final detector resolution, compared to the L1 Trigger. The HLT performs more computationally-intensive algorithms, such as combining tau-jet candidates in the calorimeter with high- $p_T$  stubs in the tracker, to form a hadronic tau trigger. The maximum HLT input rate from the L1 Trigger is 100 kHz, and the HLT output rate is approximately 100 Hz.

The HLT contains trigger paths, each corresponding to a dedicated trigger [35]. A path consists of several steps implemented as software modules. Each HLT trigger path must be seeded by one or more L1 trigger bits: the first module always looks for a L1 seed, consisting of L1 bit(s) and L1 object(s). Each module performs a well-defined task such as unpacking (raw to digitized quantities), reconstruction of physics objects (electrons, muons, jet, missing transverse energy, etc.), making intermediate decisions that trigger more detailed reconstruction modules, and calculating the final decision for the trigger path. If an intermediate filter decision is negative, the rest of the path is not executed, and the trigger rejects the event.

### 2.5.7 Particle reconstruction

To build a description of the physics objects present in the particle collision, the basic elements from the detector layers (tracks and clusters of energy) are correlated to identify each particle in the final state. Measurements from different sub-detectors are combined to reconstruct the particle properties. This approach is called particle-flow (PF) reconstruction [22]. Key to the success of the PF reconstruction is the fine spatial granularity of the detector layers. Coarse-grained detectors can cause the signals from different particles to merge, especially within jets. However, if the subdetectors are sufficiently segmented to separate individual particles, it becomes possible to produce a global event description that identifies all physics objects with high efficiencies and resolution.

1009 **2.5.8 Data storage and computational infrastructure**

1010 The LHC generates over 15 petabytes (15 million gigabytes) of data every year, neces-  
1011 sitating a flexible computing system that can be accessed by researchers working at  
1012 the four main LHC experiments: ALICE, ATLAS, CMS, and LHCb. The Worldwide  
1013 LHC Computing Grid (WLCG) [36] is a global collaboration of computer centers that  
1014 links thousands of computers and storage systems in over 170 centers across 41 coun-  
1015 tries. These centers are arranged in “tiers”, and provide near real-time access to users  
1016 processing, analyzing, and storing LHC data. One of the final stages of data analy-  
1017 sis at LHC experiments is large-scale data processing taking place over distributing  
1018 computing, for instance, with the use of Condor [37], a distributed, scalable, flexible  
1019 batch processing system which accepts a computing job, allocates a resource to it,  
1020 executes it, and returns the result back to a user transparently.

1021 **Chapter 3**

1022 **The Phase-2 Upgrade of CMS**

1023 This chapter gives an overview of the High-Luminosity LHC upgrade of the LHC in  
1024 Section 3.1, and the upgrades for the Phase-2 CMS Level-1 (L1) Trigger in Section  
1025 3.2. One of the major upgrades is the new availability of calorimeter crystal-level  
1026 information to the L1 calorimeter trigger, compared to the current trigger which only  
1027 has access to tower-level information (a tower being 5 by 5 in crystals). To capitalize  
1028 on the increased spatial granularity of this information, an upgraded algorithm is  
1029 presented which reconstructs and identifies electron and photon candidates in the the  
1030 Layer-1 Calorimeter Trigger. A description of the algorithm and a validation of its  
1031 performance in Phase-2 conditions is given in Section 3.3.

1032 **3.1 The High-Luminosity LHC**

1033 In order to sustain and extend the LHC’s physics discovery program and maintain  
1034 operability for a decade or more, the LHC is undergoing a major upgrade to the High-  
1035 Luminosity LHC (HL-LHC). In its final configuration, the HL-LHC will deliver a peak  
1036 luminosity of  $7.5 \times 10^{34} \text{ cm}^{-2} \text{ s}^{-1}$ , potentially leading to total integrated luminosity  
1037 of  $4000 \text{ fb}^{-1}$  after ten years of operations, scheduled to begin in 2027 [38]. This  
1038 integrated luminosity is about ten times the predicted luminosity reach of the LHC

1039 in its initial configuration. To enable the CMS experiment to continue operations and  
1040 data-taking and to maximize the discovery potential of the unprecedented amount  
1041 of data, the CMS detector is undergoing Phase-2 upgrades in order to perform high-  
1042 precision measurements and searches for physics beyond the Standard Model in the  
1043 intense running conditions of the HL-LHC.

## 1044 3.2 The Phase-2 Level-1 Trigger

1045 To achieve the goals of the HL-LHC program and to ensure the collection of information-  
1046 rich datasets in the HL-LHC, the Phase-2 upgrade of the CMS Level-1 Trigger [38]  
1047 must be upgraded in conjunction with the CMS sub-detectors and their readouts, to  
1048 maintain physics selectivity. The HL-LHC will produce an intense hadronic environ-  
1049 ment corresponding to 200 simultaneous collisions per beam crossing, necessitating  
1050 comprehensive upgrades of the trigger system outlined below.

1051 In order to cope with the increased pile-up and high occupancies of the HL-LHC,  
1052 the latency of the L1 trigger system (time available to produce a L1 Accept signal) will  
1053 be increased significantly from  $3.8 \mu\text{s}$  to  $12.5 \mu\text{s}$ , with an increased maximum output  
1054 bandwidth of 750 kHz [38]. With the increased latency, in addition to information  
1055 from calorimeters and muon detectors (as in the Phase-1 system), information from  
1056 the new tracker and high-granularity endcap calorimeter can also be included at L1  
1057 for the first time. This is illustrated in the functional diagram of the architecture of  
1058 the Phase-2 trigger system in Fig. 3.1.

1059 The key feature of the Phase-2 L1 Trigger is the introduction of a correlator layer,  
1060 where algorithms produce higher-level trigger objects by combining information from  
1061 sub-detectors, with a selectivity approaching that of offline reconstruction in the  
1062 HLT [38]. Four independent data processing paths (grouped together in Fig. 3.1) are  
1063 implemented: tracking, calorimetry, muon systems, and particle-flow techniques:

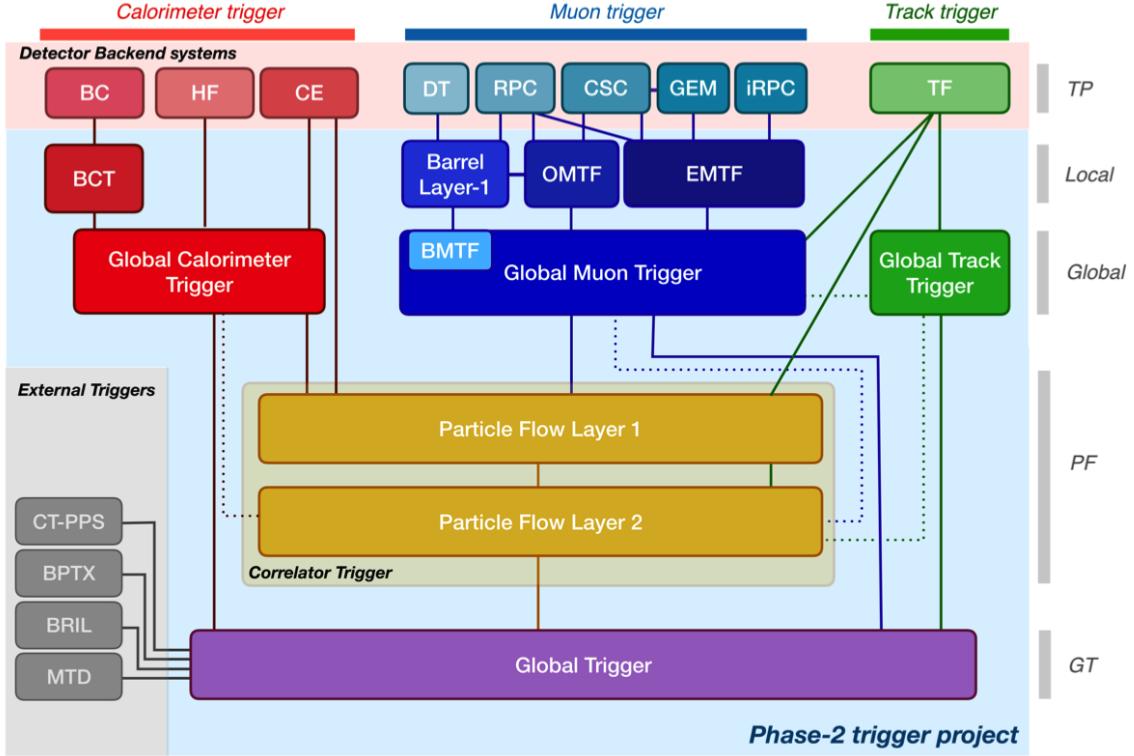


Figure 3.1: Functional diagram of the CMS L1 Phase-2 upgraded trigger design [38], showing the four trigger paths: calorimeter, muon, track, and Particle Flow. For the first time, tracking information will be available as early as the L1 Trigger.

- **Calorimeter Trigger path:** (red, Fig. 3.1) A barrel calorimeter trigger (BCT) and the HGCAL backend are used to process crystal-level information from the calorimeters to produce high-resolution clusters and identification variables used for later processing. Outputs from the BCT, HGCAL, and the HF are sent to a global calorimeter trigger (GCT), where calorimeter-only objects such as  $e/\gamma$  candidates, hadronically decaying tau lepton candidates, jets, and energy sums are built.
- **Track Trigger path:** (green, Fig. 3.1) Tracks from the Outer Tracker are reconstructed in the track finder (TF) processors as part of the detector backend. A global track trigger (GTT) will reconstruct the primary vertices of the event, along with tracker-only based objects, such as jets and missing transverse momentum.

- **Muon Trigger path:** (*blue*, Fig. 3.1) Trigger primitives are processed by muon track finder algorithms, again separated into the barrel (barrel muon track finder, BMTF), overlap (overlap muon track finder, OMTF), and endcap (endcap muon track finder, EMTF). Standalone muons and stubs containing information such as position, bend angle, and timing, as well as L1 tracks, are sent to the global muon trigger (GMT).
- **Particle-Flow Trigger path:** (*yellow*, Fig. 3.1) The correlator trigger (CT) aims to approach the performance of offline Particle Flow, and is implemented in two layers. “Layer-1” produces the particle-flow candidates from matching calorimeter clusters and tracks. “Layer 2” builds and sorts final trigger objects and applies additional identification and isolation criteria.

The outputs from the above trigger paths are combined in the Global Trigger (GT) (*purple*, Fig. 3.1), which calculates the final trigger decision (Level-1 Accept), transmitting it to the Trigger Control and Distribution System (TCDS), which distributes it to the detector backend systems, initiating the readout to the DAQ. The GT also provides the interface to external triggers (*grey*, Fig. 3.1), such as triggers for the precision proton spectrometer (PPS), beam position and timing monitors (BPTX), and luminosity and beam monitoring (BRIL) detectors [38]. The design of the Phase-2 Level-1 Trigger allows for future inclusion of triggering information, for instance information about minimum ionizing particles (MIPs) from the MIP Timing Detector (MTD) [39].

### **3.3 Standalone barrel calorimeter electron/photon reconstruction**

The reconstruction and identification of electrons and photons ( $e/\gamma$ ) begin with the trigger primitives of the barrel ECAL and HCAL detectors and endcap HGCAL calorimeters, covering the pseudorapidity region  $|\eta| < 3$ . The barrel and endcap regions of the detector are intrinsically different enough to warrant different approaches to  $e/\gamma$  reconstruction. This work presents a firmware-based emulator for the standalone  $e/\gamma$  reconstruction in the barrel calorimeter (Fig. 3.2). “Standalone” refers to the fact that the tracker information is not used in this particular reconstruction chain. This firmware-based emulator is based on the parallelized, computational logic that will be deployed in the firmware of the Phase-2 Level-1 trigger. The emulator uses fixed-precision integers to represent all values, such as in the computation of cluster energies, and closely mimics the firmware logic which uses arrays and performs computations in flattened loops. It represents an improved, more realistic understanding of the trigger, compared to the previous emulator which used idealized logic such as vector operations, and floats to represent all values [38].

#### **3.3.1 Electron/photon standalone barrel procedure**

In Phase-2, the upgrade of both on-detector and off-detector electronics of the barrel calorimeters’ trigger primitive generator (TPG) will enable the streaming of single crystal data from the on-detector to the backend electronics. Currently in Phase-1, the ECAL and HCAL TPGs is restricted to providing lower-granularity information of trigger tower sums of  $5 \times 5$  crystals to the Level-1 Trigger [38]. A schematic of the geometry of the ECAL barrel in the Phase-2 Regional Calorimeter Trigger (RCT) is shown in Fig. 3.3. The barrel is spanned by 36 RCT cards, each spanning  $17 \times 4$  towers in  $\eta \times \phi$ . Each RCT card is subdivided into five “regions” as shown in Fig.

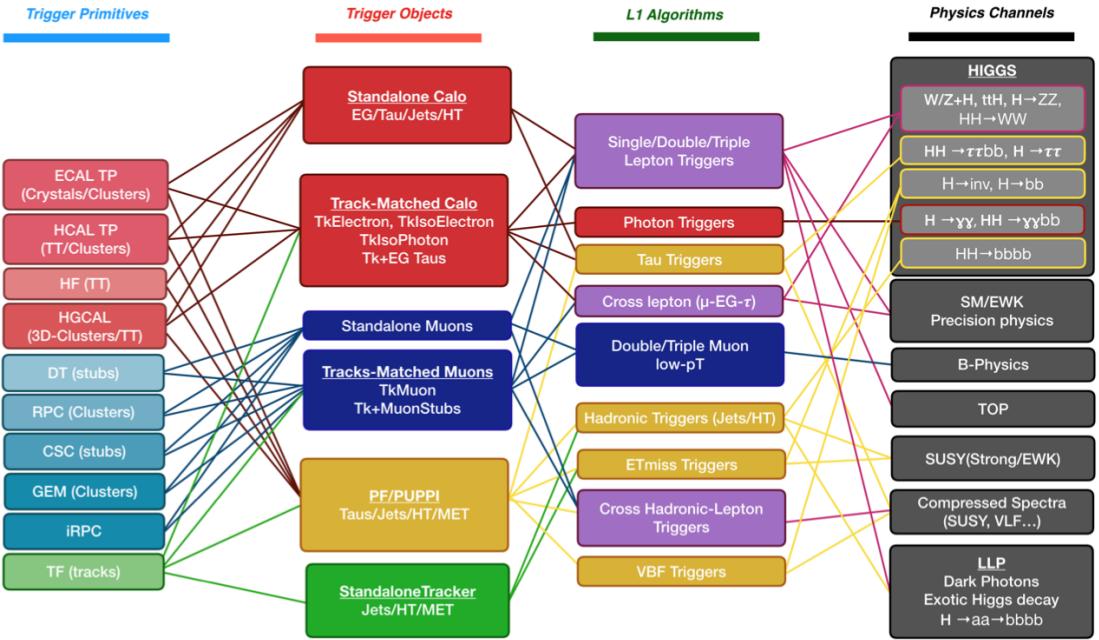


Figure 3.2: Summary of the links between the trigger primitives (*first column*), the trigger objects (*second column*), the Level-1 algorithms used in the menu (*3rd column*), and the physics channels (*4th column*), from [38], where a full description of the Phase-2 L1 algorithms can be found. This work focuses on developments for the Standalone Calorimeter electron and photon ("EG") reconstruction algorithm.

1122     3.4. After initial clustering and processing, the outputs of the RCT card are sent to  
 1123     the Global Calorimeter (GCT) trigger, which is processed in three cards as shown in  
 1124     Fig. 3.5. The reconstruction algorithm is detailed below.

1125     The standalone barrel algorithm for reconstructing and identifying electrons and  
 1126     photons in the Phase-2 Level-1 Trigger takes as input the digitized response of each  
 1127     crystal of the barrel ECAL, with a granularity  $0.0175 \times 0.0175$  in  $\eta \times \phi$ , which is 25  
 1128     times higher than the input to the Phase-1 trigger, which consisted of trigger towers  
 1129     with a granularity of  $0.0875 \times 0.0875$ . In HCAL the tower size of  $0.0875 \times 0.0875$   
 1130     is unchanged. The trigger algorithm is designed to closely reproduce the algorithm  
 1131     used in the offline reconstruction, with limitations and simplifications due to trigger  
 1132     latency.

1133     In the RCT, an initial requirement of  $p_T > 0.5$  GeV is imposed on the input

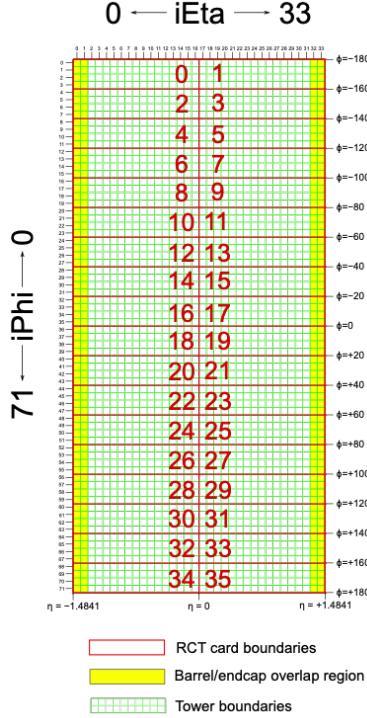


Figure 3.3: Schematic of the geometry of the Phase-2 ECAL barrel in the Regional Calorimeter Trigger (RCT), showing the division of the barrel region into 36 Regional Calorimeter Trigger (RCT) cards (*red*). Each card spans  $17 \times 4$  towers in  $\eta \times \phi$  (*green*), and each tower is  $5 \times 5$  in single crystals in  $\eta \times \phi$ . Towers in the overlap region (*shaded yellow*) are read out to both the barrel and endcap.

trigger primitives (i.e. energies from the ECAL crystals and HCAL towers) to reject contribution from pile-up. In one of the regions inside a RCT card (Fig. 3.4), the crystal containing the highest energy deposit is identified as the seed crystal, as shown in Fig. 3.6. The energy in the crystals in a window of size  $3 \times 5$  in  $\eta \times \phi$  around the seed cluster is added into a cluster. The energy is considered “clustered”. The process is repeated with the remaining “unclustered” energy, until up to four clusters are produced in the region.

To improve  $e/\gamma$  identification and to reduce background contributions, identification and reconstruction algorithms are implemented at this stage:

- Shower shape: The energy deposit sums around the seed crystal is computed in windows of size  $2 \times 5$  and  $5 \times 5$  (Fig. 3.6, *dashed lines*), with true  $e/\gamma$  clusters

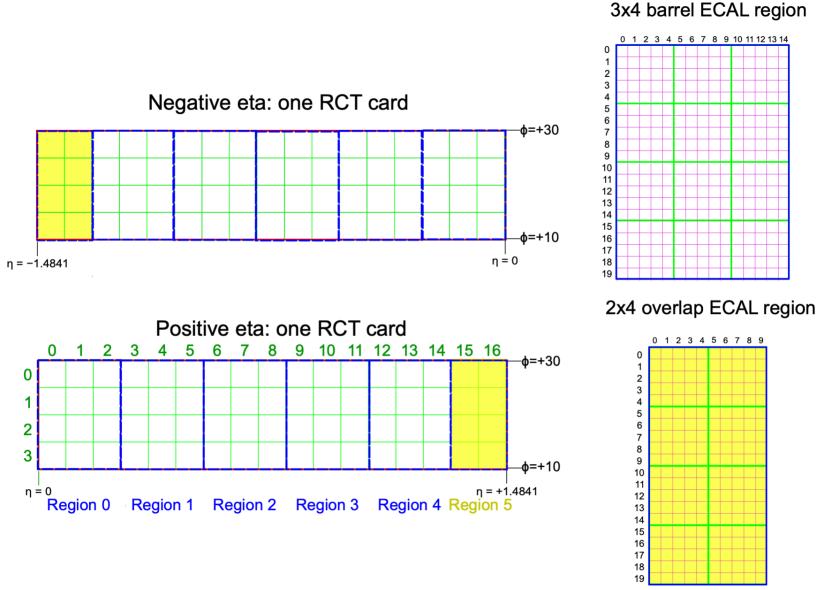


Figure 3.4: Schematic of two example RCT cards in the negative eta (*top left*) and positive eta (*bottom left*) regions of the ECAL barrel. Each RCT card is divided into six regions: five regions are of size  $3 \times 4$  towers in  $\eta \times \phi$  (*top right*), and a sixth smaller overlap region of size  $2 \times 4$  towers (*bottom right*). Each tower is  $5 \times 5$  ( $\eta \times \phi$ ) in crystals.

1145 tending to produce showers that deposit most of their energy in a  $2 \times 5$  region.

- 1146 • Bremsstrahlung recovery:  $e/\gamma$  tend to spread in the  $\phi$  direction due to charged  
 1147 particles being bent by the magnetic field of the CMS solenoid. If sufficient  
 1148 energy comparable to the core  $3 \times 5$  cluster is found in the adjacent  $3 \times 5$   
 1149 windows (Fig. 3.6, *shaded yellow*), the energy is added to the core cluster and  
 1150 no longer considered unclustered energy.

1151 After parallel processing in the regions, the clusters in a RCT card are stitched  
 1152 together if they are located directly along the borders of a region (Fig. 3.3). The  
 1153 remaining unclustered ECAL energy is summed into ECAL towers.

1154 From each RCT card, the twelve highest-energy clusters, as well as any remaining  
 1155 unclustered energy, are sent to the GCT. Since each GCT card has information from  
 1156 sixteen RCT cards (Fig. 3.5), final stitching across the boundaries of the RCT cards  
 1157 is performed. One more identification algorithm is performed at this stage:

## GCT/“Layer 2”

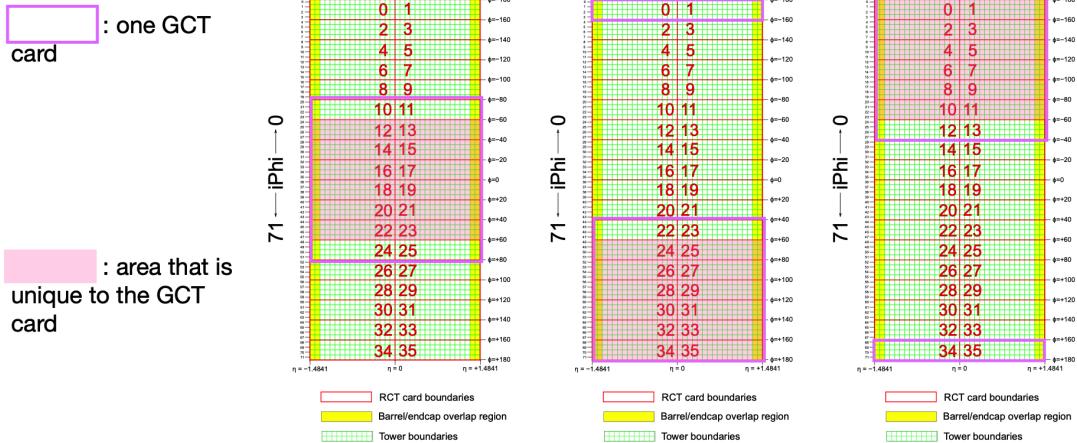


Figure 3.5: Schematic of the Phase-2 ECAL barrel in the Global Calorimeter Trigger (GCT), which will process the outputs of the Regional Calorimeter Trigger (RCT) in three GCT cards (*purple borders*). Each card in the GCT processes the equivalent of sixteen RCT cards, with the center twelve RCT cards being unique to that GCT card (*shaded pink*), and the remaining four RCT cards overlapping with one other GCT card.

1158     • Isolation: One handle to reject backgrounds from e.g. pile-up, comes from the  
 1159       tendency for background to be spread more uniformly across a large area in the  
 1160       detector, whereas genuine  $e/\gamma$  are expected to produce showers concentrated in  
 1161       the  $3 \times 5$  crystal window. The energy sum in a large window of  $7 \times 7$  in towers  
 1162       is computed and used to reject background.

1163     Flags that provide discrimination power between genuine  $e/\gamma$  and background, are  
 1164       computed using the relative isolation and shower shape quantities. The standalone  
 1165       working point (WP) is defined as the logical OR of the relative isolation and shower  
 1166       shape flags.

1167     The information of the clusters in the event, including their energies, crystal-level  
 1168       position, the relative isolation flag, the shower shape flag, the standalone WP, and  
 1169       the ratio of the HCAL over ECAL energies, are sent in 64 bits to the Correlator  
 1170       Trigger and the Global Trigger. The towers in the event are computed as the sum  
 1171       of all unclustered energy in the ECAL with the corresponding HCAL energy at each

### 3x4 barrel ECAL region

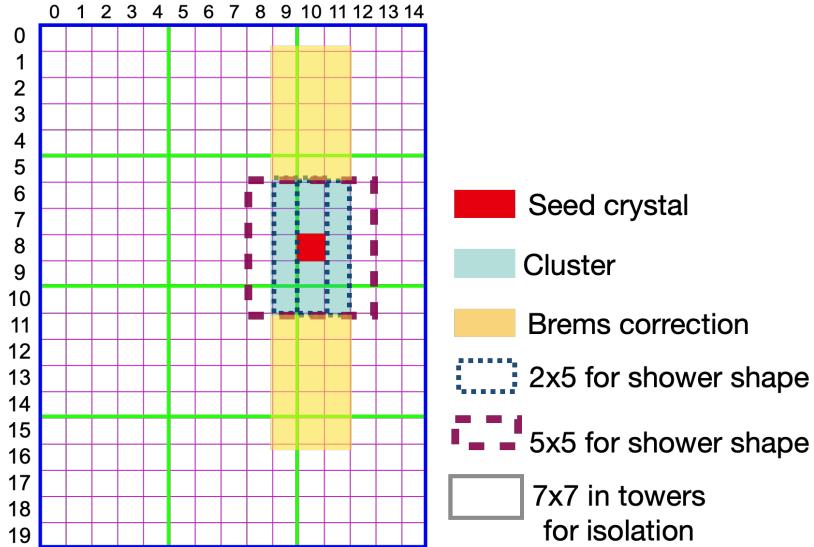


Figure 3.6: Illustration of an example electron/photon ( $e/\gamma$ ) cluster in the Phase-2 Level-1 Trigger standalone barrel  $e/\gamma$  reconstruction, in a region of  $15 \times 20$  crystals ( $3 \times 4$  towers) in  $\eta \times \phi$ . Each small pink square is one crystal, the highest-granularity ECAL trigger primitives available to the L1 Trigger in Phase-2. The core cluster consists of the energy sum in a  $3 \times 5$  window of crystals (*shaded light blue*), centered around the seed crystal (*red*). The presence of energy lost to bremsstrahlung radiation is checked in the adjacent  $3 \times 5$  windows in the  $\phi$  direction (*shaded light yellow*). The ratio of the total energies in windows of size  $2 \times 5$  and  $5 \times 5$  in crystals (*dashed dark blue and dark red*) around the seed crystal, is computed and compared to the core cluster energy to obtain shower shape flags. Lastly, the isolation, defined as the sum of the energy in a large window of size  $7 \times 7$  in towers (not shown in figure) is computed, and compared to the core cluster energy to obtain isolation flags.

<sup>1172</sup> tower location, and their energies are sent to the Correlator Trigger.

#### <sup>1173</sup> 3.3.2 Electron/photon standalone barrel results

<sup>1174</sup> The performance of the current emulator of the standalone barrel  $e/\gamma$  algorithm in  
<sup>1175</sup> Phase-2 conditions is quantified in efficiencies and rates. Efficiency is the fraction of  
<sup>1176</sup> true electrons that the algorithm can reconstruct and identify, and is evaluated in  
<sup>1177</sup> a Monte Carlo simulated sample containing electrons with transverse momentum  $p_T$   
<sup>1178</sup> ranging from 1 to 100 GeV. The efficiencies of the current and previous emulators as

1179 a function of the electron generator-level  $p_T$  are shown in Fig. 3.7.

1180 The rates are the event rates that this reconstruction and identification algorithm  
1181 would obtain if it were deployed in a trigger, assuming that proton-proton collisions  
1182 are occurring at the 40 MHz event rate of the HL-LHC. The rate is reported as a  
1183 function of the minimum energy threshold required by the trigger, and is estimated  
1184 using a simulated sample of minimum bias events, i.e. generic proton-proton colli-  
1185 sions without any specific physics selections. The rates for the current and previous  
1186 emulator are shown in Fig. 3.8.

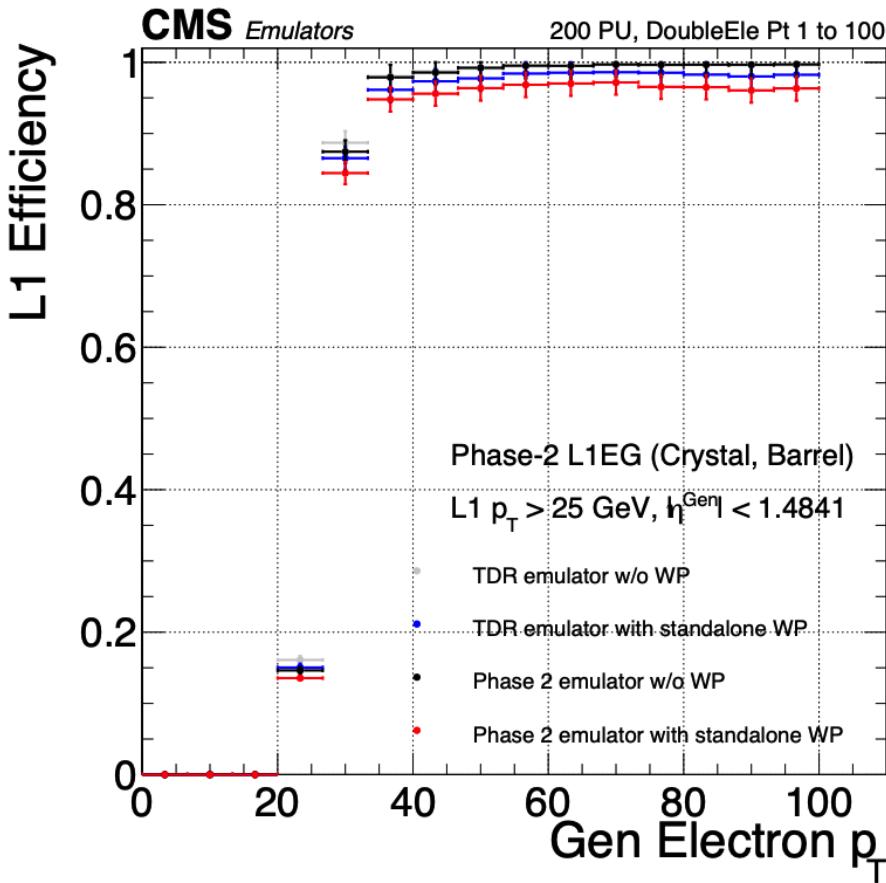


Figure 3.7: Efficiencies of the current and previous emulators of the standalone barrel  $e/\gamma$  algorithm for the Phase-2 Level-1 Trigger, evaluated in a simulated sample containing electrons, as a function of the electron's generator-level transverse momentum  $p_T$ . The standalone working point (WP) is defined as the logical OR of the isolation flag and shower shape flag. The efficiencies with and without requiring the standalone WP, are shown for the current emulator (labeled “Phase 2”, *black, red*) and the previous emulator (labeled “TDR”, *dark blue, grey*).

1187        The current emulator is incorporated into the full Phase-2 L1 menu, allowing an  
1188        estimate of the rates produced by the standalone  $e/\gamma$  barrel trigger path and all  
1189        other algorithms in the L1 Trigger. All rates are estimated with the assumption of  
1190        an average pile-up of 200 and event rate of 40 MHz. The standalone working point  
1191        single  $e/\gamma$  path with requirements on the  $e/\gamma$  candidate to have  $|\eta| < 2.4$ , offline  $p_T$   
1192        to be greater than 51 GeV, and online  $p_T$  to be greater than 41 GeV, is projected to  
1193        have a rate of around 23 kHz. The standalone working point double  $e/\gamma$  path with  
1194        requirements on the two  $e/\gamma$  candidates to have  $|\eta| < 2.4$ , offline  $p_T$  greater than 37  
1195        and 24 GeV, and online  $p_T$  greater than 29 and 18 GeV, is projected to give a rate of  
1196        around 6 kHz. For both paths, the objects efficiency plateau is 99%.

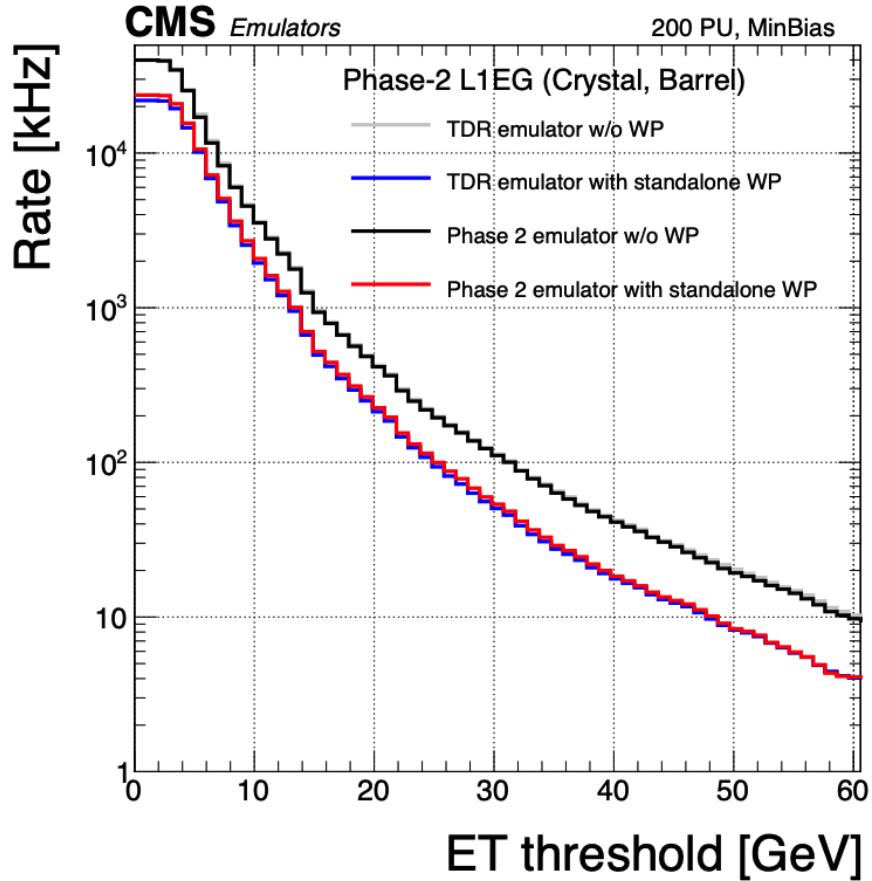


Figure 3.8: Rates in kHz of the current Phase-2 and previous (“TDR”) emulators of the standalone barrel  $e/\gamma$  algorithm for the Phase-2 Level-1 Trigger, evaluated on a minimum bias (MinBias) sample with 200 pile-up (PU), measured as a function of the minimum energy ( $E_T$ ) required of the reconstructed  $e/\gamma$  object in each event. The standalone working point (standalone WP) is defined to be the logical OR of the isolation flag and the shower shape flag. The rates with and without requiring the standalone WP, are shown for the current emulator (labeled “Phase 2”, *black, red*) and the previous emulator (labeled “TDR”, *dark blue, grey*).

<sub>1197</sub> **Chapter 4**

<sub>1198</sub> **Datasets and Monte Carlo samples**

<sub>1199</sub> The search for the exotic decay of the 125 GeV Higgs boson to two light neutral scalars  
<sub>1200</sub> decaying to a pair of bottom quarks and a pair of tau leptons ( $h \rightarrow aa \rightarrow bb\tau\tau$ ) is  
<sub>1201</sub> based on proton-proton collision data at a center-of-mass energy 13 TeV collected  
<sub>1202</sub> in Run-2 of data-taking, spanning the data-taking years 2016, 2017, and 2018. The  
<sub>1203</sub> datasets used and the triggers used to collect the data are described in Section 4.1.  
<sub>1204</sub> Section 4.2 describes the Monte Carlo simulated samples that are used to model the  
<sub>1205</sub>  $h \rightarrow aa \rightarrow bb\tau\tau$  signal and background Standard Model processes. Lastly, in order  
<sub>1206</sub> to obtain a better description of Standard Model backgrounds that contain two tau  
<sub>1207</sub> leptons, a data-Monte Carlo hybrid technique is used to generate embedded samples  
<sub>1208</sub> which model processes with genuine  $\tau\tau$  in the final state, as detailed in Section 4.3.  
<sub>1209</sub> All samples are listed in Appendix A.

<sub>1210</sub> **4.1 Datasets used**

<sub>1211</sub> The  $h \rightarrow aa \rightarrow bb\tau\tau$  analysis [40] is based on proton-proton collision data at a center-  
<sub>1212</sub> of-mass energy of 13 TeV collected in full Run-2 (2016-18) with the CMS detector.  
<sub>1213</sub> The data analyzed corresponds to a total integrated luminosity of  $138 \text{ fb}^{-1}$  ( $36.33 \text{ fb}^{-1}$   
<sub>1214</sub> for 2016,  $41.53 \text{ fb}^{-1}$  for 2017, and  $59.74 \text{ fb}^{-1}$  for 2018) [41] [42] [43]. The cumulative

1215 delivered and recorded luminosity versus time for 2015-2018 is shown in Fig. 4.1.

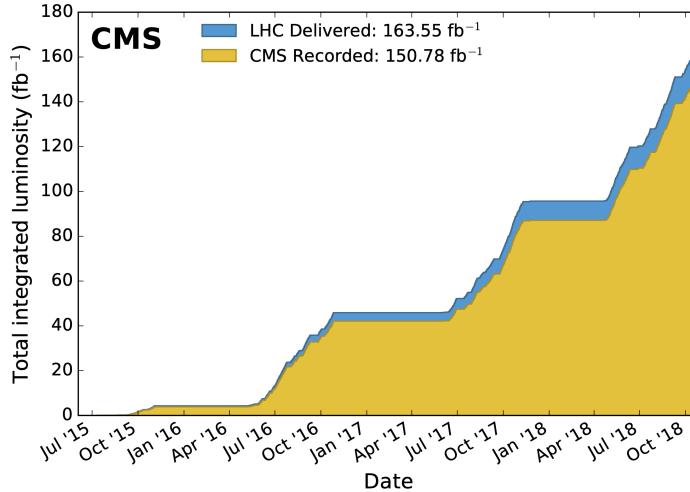


Figure 4.1: Cumulative delivered and recorded luminosity versus time for 2015-2018 at CMS, in proton-proton collision data only, at nominal center-of-mass energy [44].

1216 Data collected with the single muon trigger is used for the  $\mu\tau_h$  channel. For the  
1217  $e\tau_h$  channel, data collected with the single electron trigger is used; and for the  $e\mu$   
1218 channel, data collected with the electron + muon trigger is used. A more in-depth  
1219 discussion of the triggers used follows in a later section. The datasets are listed in  
1220 Appendix A in Tables A.1, A.2, and A.3.

## 1221 4.2 Monte Carlo samples

1222 Modeling and computing observables originating from arbitrary physics processes at  
1223 the tree level and at next-to-leading order (NLO) is performed by Monte Carlo (MC)  
1224 event generators, such as Powheg and MadGraph5\_amCNLO [45] [46]. The informa-  
1225 tion generated, e.g. the computation of the differential cross sections and kinematics  
1226 of the final state particles, is saved in a compressed file and used to generate MC sam-  
1227 ples that are used in physics analyses. The samples are digitized using GEANT4 [47],  
1228 a platform used at the LHC and other facilities to comprehensively simulate the

1229 passage of particles through matter. The digitized samples are passed through the  
1230 same detector reconstruction as real data events collected in the detector. The MC  
1231 background samples used in this analysis for 2016-2018 are listed in Appendix A in  
1232 Tables A.7, A.8, and A.9.

1233 The samples for modeling the signal ( $h \rightarrow aa \rightarrow 2b2\tau$  and  $h \rightarrow a_1a_2$ ) in the  
1234 2HDM+S and TRSM are generated at tree-level, for a range of masses of the light  
1235 neutral scalar  $a$ . For  $h \rightarrow aa$ , the mass hypotheses for the  $a$  range from  $m_a =$   
1236 (12 GeV, 62.5 GeV). For  $h \rightarrow a_1a_2$ , the mass hypotheses for the two light scalars span  
1237 combinations of  $m_{a1}$ ,  $m_{a2}$  ranging from (12 GeV, 62.5 GeV) for the two scalars. The  
1238 MC signal samples used in this analysis for 2016-2018 are listed in Appendix A in  
1239 Tables A.10, A.11 and A.12.

### 1240 4.3 Embedded samples

1241 An important background for Higgs boson studies and searches for additional Higgs  
1242 bosons is the decay of  $Z$  bosons into pairs of  $\tau$  leptons ( $Z \rightarrow \tau\tau$ ). An embedded tech-  
1243 nique was developed in the context of Standard Model Higgs to  $\tau\tau$  measurements, to  
1244 model  $Z \rightarrow \tau\tau$  decays, and was expanded to also model all Standard Model processes  
1245 that contain  $\tau\tau$  [48]. The embedded technique has since been used successfully at  
1246 CMS for the Standard Model  $H \rightarrow \tau\tau$  measurement, as well as searches for minimal  
1247 supersymmetric extensions to the Standard Model (MSSM) [49] [50].

1248 The advantage of the embedded technique is that aspects of the event that are  
1249 difficult to model and describe are directly taken from data, resulting in a better  
1250 data description than can be achieved with only the  $Z \rightarrow \tau\tau$  simulation [48]. The  
1251 simulation must be tuned extensively to accurately model aspects of the data, such  
1252 as time-dependent pile-up profiles, the production of additional jets, e.g. in multijet  
1253 and vector boson fusion topologies, the number of reconstructed primary interaction

1254 vertices, and the missing transverse momentum  $p_T^{\text{miss}}$ . Since all events with genuine  
 1255  $\tau\tau$  are estimated with samples made with the embedded technique (referred to as  
 1256 embedded samples from here on), events in Monte Carlo simulation with genuine  $\tau\tau$   
 1257 are not used, in order to avoid double-counting.

1258 Fig. 4.2 shows a schematic of how embedded samples are produced. Data events  
 1259 containing  $Z \rightarrow \mu\mu$  decays are selected. In these events, all energy deposits of the  
 1260 recorded muons are removed, and are replaced with simulated tau leptons with the  
 1261 same kinematic properties as the removed muons. This results in a hybrid data format  
 1262 containing information from both observed and simulated events, as illustrated in Fig.  
 1263 4.2 [48]. The embedded samples used for the years 2016-2018 are listed in Appendix  
 1264 A in Tables A.4, A.5, and A.6.

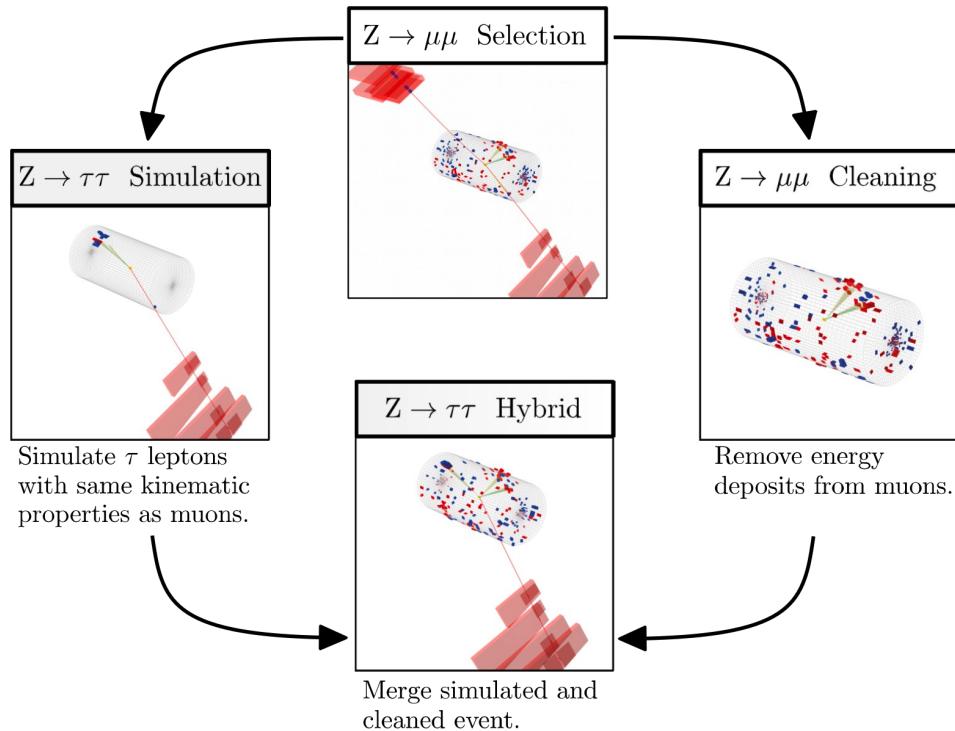


Figure 4.2: Schematic view of the four main steps of the embedding technique for  $\tau$  leptons, as described in Section 4.3 [48]. A  $Z \rightarrow \mu\mu$  event is selected in data ( $Z \rightarrow \mu\mu$  selection), all of the energy deposits associated with the muons are removed ( $Z \rightarrow \mu\mu$  cleaning), and two  $\tau$  leptons and their decays are simulated in an empty detector ( $Z \rightarrow \tau\tau$  simulation). Lastly, all energy deposits of the simulated  $\tau$  decays are combined with the data event ( $Z \rightarrow \tau\tau$  hybrid).

1265 In the selection step of the embedded technique, events are selected with at least  
 1266 one of a set of  $\mu\mu$  trigger paths, which require  $p_T > 17(8)$  GeV for the leading  
 1267 (sub-leading) muons, and a minimum requirement between 3.8 and 8.0 GeV on the  
 1268 invariant di-muon mass  $m_{\mu\mu}$  [48]. The offline reconstructed muons must match the  
 1269 objects at trigger level and also have offline  $p_T > 17(8)$  GeV. They must have  $|\eta| < 2.4$   
 1270 and be located at a distance  $|d_z| < 0.2$  cm to the primary vertex along the beam  
 1271 axis. To form a Z boson candidate, each muon is required to originate from a global  
 1272 muon track. The muon pairs must have opposite charges with an invariant mass of  
 1273  $m_{\mu\mu} > 20$  GeV. If more than two di-muon pairs are found, the pair with the invariant  
 1274 mass closest to the Z boson mass (91.19 GeV) is chosen.

1275 This selection is designed to be tight enough to ensure a high purity of genuine  
 1276  $\mu\mu$  events, and also loose enough to minimize biases of the embedded event samples.  
 1277 Isolation requirements are avoided, since they would introduce a bias towards less  
 1278 hadronic activity in the vicinities of the embedded leptons that will appear more  
 1279 isolated than expected in data. The selection results in an expected mixture of events  
 1280 summarized in Table 4.1 from [48].  $Z \rightarrow \mu\mu$  is the dominant process modeled by the  
 1281 embedded technique, with  $t\bar{t}$ , QCD, and diboson and single top processes becoming  
 1282 more significant when considering events with b-tag jets.

Process	Fraction (%)		
	Inclusive	$m_{\mu\mu} > 70$ GeV	$N(\text{b-tag jets}) > 0$
$Z \rightarrow \mu\mu$	97.36	99.11	69.25
QCD	0.84	0.10	2.08
$t\bar{t}$	0.78	0.55	25.61
$Z \rightarrow \tau\tau$	0.71	0.05	0.57
Diboson, single t	0.17	0.17	2.35
W+jets	0.08	0.02	0.14

Table 4.1: Expected event composition after selecting two muons in the embedded technique [48], before additional cuts (i.e. inclusive, *column 2*), and after adding a requirement on the di-muon mass  $m_{\mu\mu} > 70$  GeV (*column 3*), or a requirement on the number of b-tag jets in the event (*column 4*).

<sub>1283</sub> **Chapter 5**

<sub>1284</sub> **Object reconstruction and  
1285 corrections applied**

<sub>1286</sub> In the data processing workflow, data events and simulated events are analyzed to  
<sub>1287</sub> reconstruct physics objects of interest, and algorithms for distinguishing genuine par-  
<sub>1288</sub> ticle candidates from background, are employed. Section 5.1 describes the physical  
<sub>1289</sub> properties of the most important objects in the  $h \rightarrow aa \rightarrow bb\tau\tau$  analysis: taus,  
<sub>1290</sub> muons, electrons, jets, and jets originating from b-quarks (b-flavor jets), as well as  
<sub>1291</sub> their reconstruction and identification in CMS. In this analysis, the full energy and  
<sub>1292</sub> momentum of the two tau leptons ( $m_{\tau\tau}$ ) is estimated from the measured (i.e. visible)  
<sub>1293</sub> components of the tau leptons using the SVFit/FastMTT algorithm, which is de-  
<sub>1294</sub> scribed in Section 5.2. Corrections are applied to the simulated samples at the object  
<sub>1295</sub> level and the event level to account for known discrepancies between simulations and  
<sub>1296</sub> the data that the simulations are intended to model. These corrections are listed and  
<sub>1297</sub> detailed in Section 5.3.

<sub>1298</sub> **5.1 Object reconstruction**

<sub>1299</sub> **5.1.1 Taus**

<sub>1300</sub> The tau ( $\tau$ ) is the heaviest known lepton. With a rest mass of 1776.86 MeV, it can  
<sub>1301</sub> decay to not only electrons and muons, but also hadrons. In two thirds of the cases,  $\tau$   
<sub>1302</sub> leptons decay hadronically, typically into one or three charged mesons (predominantly  
<sub>1303</sub>  $\pi^+$ ,  $\pi^-$ ), often accompanied by neutral pions (that decay  $\pi^0 \rightarrow \gamma\gamma$ ), and a  $\nu_\tau$ . These  
<sub>1304</sub> hadronic decays are denoted  $\tau_h$ . In the remainder of the decays, the tau decays to  
<sub>1305</sub> the lighter leptons (electron or muon), termed leptonic decays. The mean lifetime of  
<sub>1306</sub> the  $\tau$  is  $\tau = 290 \times 10^{-15}$  seconds, corresponding to  $c\tau = 87.03 \mu\text{m}$ , which is short  
<sub>1307</sub> enough that taus decay in the CMS detector before reaching the detector elements,  
<sub>1308</sub> but also long enough that some decay length variables can help with hadronic tau  
<sub>1309</sub> identification. The tau's largest decay branching ratios (proportional to probability  
<sub>1310</sub> of decay) are listed below [26]:

- <sub>1311</sub> • 17.8% decay to  $e^-\bar{\nu}_e\nu_\tau$
- <sub>1312</sub> • 17.4% decay to  $\mu^-\bar{\nu}_\mu\nu_\tau$
- <sub>1313</sub> • 25.5% decay to  $\pi^-\pi^0\nu_\tau$  ( $\rho^-$  resonance at 770 MeV)
- <sub>1314</sub> • 10.8% decay to  $\pi^-\nu_\tau$
- <sub>1315</sub> • 9.3% decay to  $\pi^-\pi^0\pi^0\nu_\tau$  ( $a_1^-$  resonance at 1200 MeV)
- <sub>1316</sub> • 9.0% decay to  $\pi^-\pi^-\pi^+\nu_\tau$  ( $a_1^-$  resonance at 1200 MeV)

<sub>1317</sub> In all cases, at least one neutrino is produced. The neutrinos escape undetected  
<sub>1318</sub> from the CMS detector, resulting in missing transverse energy. Charged hadrons leave  
<sub>1319</sub> tracks in the tracking detector before being absorbed in the hadronic calorimeter; in  
<sub>1320</sub> CMS tau reconstruction terminology, they are often called “prongs”, i.e. the dominant

1321  $\tau_h$  decay modes are termed “1 prong” ( $\pi^\pm$ ), “1 prong +  $\pi^0$ (s)”, and “3-prong”. Neutral  
1322 pions decay to two photons which lose their energy in the electromagnetic calorimeter.  
1323 Taus that decay to electrons and muons, are typically triggered on and reconstructed  
1324 as electrons and muons respectively.

1325 **Hadron plus strips (HPS) reconstruction of  $\tau_h$**

1326 At CMS, hadronically decaying tau leptons are reconstructed with the hadron plus  
1327 strips (HPS) algorithm [51] [52]. The HPS algorithm capitalizes on photon conversions  
1328 in the CMS tracker material, which originate from the neutral pion ( $\pi^0$ ) decaying  
1329 to two photons. The bending of electron/positron tracks due to the CMS solenoid  
1330 magnetic field leads to a spread of the neutral pions’ calorimeter signatures in the  $\phi$   
1331 direction. This motivates the reconstruction of photons in “strips”: objects that are  
1332 built out of PF photons and electrons. The strip reconstruction starts with centering  
1333 a strip on the most energetic electromagnetic particle in a PF jet. Among other  
1334 electromagnetic particles located in a window of size  $\Delta\eta = 0.05$  and  $\Delta\phi = 0.20$   
1335 around the strip center, the most energetic one is associated with the strip and its  
1336 momentum is added to the strip momentum. This is repeated iteratively until no  
1337 further particles can be associated. Lastly, strips satisfying a requirement of  $p_T^{\text{strip}} > 1$   
1338 GeV are combined with charged hadrons to reconstruct individual  $\tau_h$  decay modes,  
1339 where  $h$  stands for both  $\pi$  and  $K$ :

- 1340 • *Single hadron:*  $h^- \nu_\tau$  and  $h^- \pi^0 \nu_\tau$  decay modes, in which the neutral pions have  
1341 too little energy to be reconstructed as strips.
- 1342 • *One hadron + one strip:*  $h^- \pi^0 \nu_\tau$  decay modes, where the photons from the  $\pi^0$   
1343 decay are close together in the calorimeter.
- 1344 • *One hadron + two strips:*  $h^- \pi^0 \nu_\tau$  decay modes, where the photons from the  $\pi^0$   
1345 decay are well separated.

- 1346        • *Three hadrons:*  $h^- h^+ h^- \nu_\tau$  decay modes. The three charged hadrons are re-  
1347           quired to originate from the same secondary vertex.

1348 The  $h^- \pi^0 \pi^0 \nu_\tau$  and  $h^- h^+ h^- \pi^0 \nu_\tau$  decay modes do not have their own treatment are  
1349 reconstructed with the above topologies.

1350        In the HPS algorithm, the direction of the reconstructed tau momentum  $\vec{p}^{\tau_h}$   
1351 is required to fall within a distance of  $\Delta R = 0.1$  from the original PF jet. All  
1352 charged hadrons and strips are required to be contained within a cone of size  $\Delta R =$   
1353  $(2.8 \text{ GeV})/p_T^{\tau_h}$ , from the  $\tau_h$  as reconstructed by the HPS.

1354        All charged hadrons are assumed to be pions, and they are required to be consis-  
1355 tent with the masses of the intermediate meson resonances (if applicable), with the  
1356 following allowed windows for candidates: 50-200 MeV for  $\pi^0$ , 0.3-1.3 GeV for  $\rho$ , and  
1357 0.8-1.5 GeV for  $a_1$ . If the  $\tau_h$  decay is compatible with more than one hypothesis, the  
1358 one giving the highest  $p_T^{\tau_h}$  is chosen. Lastly, an isolation requirement is applied: aside  
1359 from the  $\tau_h$  decay products, no charged hadrons or photons can be present within  
1360 an isolation cone of size  $\Delta R = 0.5$  around the direction of the  $\tau_h$ . The outputs of  
1361 the HPS algorithm are the reconstructed decay mode and the visible four-momentum  
1362 (i.e. the four-momenta of all decay products excluding the neutrinos).

### 1363 DeepTau for identifying $\tau_h$

1364 The identification of  $\tau_h$  candidates in CMS has historically been divided into separate  
1365 discriminators against jets, electrons, and muons. Discriminators versus jets and  
1366 electrons use information from derived quantities, such as the  $p_T$  sum of particles  
1367 near the  $\tau_h$  axis. Building on the previous multivariate analysis (MVA) classifier [53]  
1368 based on a boosted decision tree (BDT), DeepTau is a more recent classifier based on a  
1369 deep neural network (DNN) that simultaneously discriminates against jets, electrons,  
1370 and muons. The DNN uses a combination of high-level inputs, similar to previous  
1371 algorithms, and also uses convolutional layers in  $\eta$ - $\phi$  space to process information

1372 from all reconstructed particles near the  $\tau_h$  axis. Convolutional layers are based on  
1373 the principle that an image can be processed independently of its position.

1374 The final DeepTau discriminators against jets, muons, and electrons are given by

$$D_\alpha(y) = \frac{y_\tau}{y_\tau + y_\alpha} \quad (5.1)$$

1375 where  $y_\tau$  ( $y_\alpha$ ) are estimates of the probabilities for the  $\tau_h$  candidate to come from  
1376 a genuine  $\tau_h$  (jet,  $\mu$ ,  $e$ ). Working points for each discriminator with different  $\tau_h$   
1377 identification efficiencies are defined for  $D_e$ ,  $D_\mu$ , and  $D_{\text{jet}}$ , for usage in physics analyses  
1378 and derivation of data-to-simulation corrections [54].

### 1379 5.1.2 Muons

1380 Muons are the next lightest lepton after taus, with a mass of 105.66 MeV and a  
1381 mean lifetime of  $\tau = 2.20 \times 10^{-6}$  seconds, or  $c\tau = 658.64$  m. At CMS, muons are  
1382 identified with requirements on the quality of the track reconstruction and on the  
1383 number of measurements in the tracker and the muon systems [55]. In the standard  
1384 CMS reconstruction, tracks are first reconstructed independently in the inner tracker  
1385 (tracker track) and in the muon system (standalone-muon track). Next, these tracks  
1386 are processed in two different methods.

1387 The first is Global Muon reconstruction (outside-in) [55], which fits combined hits  
1388 from the tracker track and standalone-muon track, using the Kalman-filter technique.  
1389 At large transverse momenta,  $p_T \gtrsim 200$  GeV, the global-muon fit can improve the  
1390 momentum resolution compared to the tracker-only fit.

1391 The second is Tracker Muon reconstruction (inside-out) [55], which starts with  
1392 tracker tracks with  $p_T > 0.5$  GeV and total momentum  $p_T > 2.5$  GeV. These tracks  
1393 are extrapolated outwards to the muon system and matched to detector segments  
1394 there, taking into account the magnetic field, expected energy losses, and multiple

1395 Coulomb scattering in the detector material. Tracker Muon reconstruction is more  
 1396 efficient than the Global Muon reconstruction at low momenta,  $p \lesssim 5$  GeV, because  
 1397 it only requires a single muon segment in the muon system, whereas Global Muon  
 1398 reconstruction typically requires segments in at least two muon stations.

1399 To further suppress fake muons from decay in flight, isolation cuts are used. A  
 1400 relative isolation variable is defined to quantify the energy flow of particles near the  
 1401 muon trajectory. A relative isolation is defined similarly for muons and electrons:

$$I^\ell \equiv \frac{\sum_{\text{charged}} p_T + \max\left(0, \sum_{\text{neutral}} p_T - \frac{1}{2} \sum_{\text{charged, PU}} p_T\right)}{p_T^\ell} \quad (5.2)$$

1402 where  $\sum_{\text{charged}} p_T$  is the scalar sum of the  $p_T$  of the charged particles originating from  
 1403 the primary vertex and located in a cone of size  $\Delta R = \sqrt{(\Delta\eta)^2 + (\Delta\phi)^2} = 0.4(0.3)$   
 1404 centered on the direction of the muon (electron). The sum  $\sum_{\text{neutral}} p_T$  is the equivalent  
 1405 for neutral particles. The sum  $\sum_{\text{charged, PU}} p_T$  is the scalar sum of the  $p_T$  of the  
 1406 charged hadrons in the cone originating from pile-up vertices. The factor 1/2 comes  
 1407 from simulation estimations, which find that the ratio of neutral to charged hadron  
 1408 production in the hadronization process of inelastic  $pp$  collisions is 1/2. Thus the  
 1409 subtracted term is intended to subtract contribution from pile-up, from the neutral  
 1410 particle contribution to the isolation sum. Finally, this is divided by the lepton  
 1411 transverse momentum,  $p_T^\ell$ .

### 1412 **5.1.3 Electrons**

1413 Electrons are the lightest lepton with a mass of 0.511 MeV. At CMS, electrons are  
 1414 reconstructed by associating a track reconstructed in the silicon tracking detector  
 1415 with a cluster of energy in the ECAL. Performance is maximized via a combination  
 1416 of a stand-alone approach and the complementary global particle-flow approach [56].

1417 In the stand-alone approach, the electron energy, which is typically spread over

1418 several crystals of the ECAL, is clustered with the “hybrid” algorithm in the barrel  
1419 and the “multi- $5 \times 5$ ” in the endcaps [56]. The hybrid algorithm collects energy in a  
1420 small window in  $\eta$  and an extended window in  $\phi$ . It identifies a seed crystal, and adds  
1421 arrays of  $5 \times 1$  crystals in  $\eta \times \phi$  in a range of  $N = 17$  crystals in both directions of  
1422  $\phi$ , if their energies exceed a minimum threshold, thus forming a supercluster (SC). In  
1423 the endcap, crystals are not arranged in an  $\eta \times \phi$  geometry; instead clusters are build  
1424 around seed crystals in clusters of  $5 \times 5$  crystals that can partly overlap. Nearby  
1425 clusters are grouped into a supercluster, and energy is recovered from associated  
1426 deposits in the preshower.

1427 In the PF reconstruction [56], PF clusters are reconstructed by aggregating around  
1428 a seed all contiguous crystals with energies two standard deviations above the elec-  
1429 tronic noise observed at the beginning of a data-taking run. The energy of a given  
1430 crystal can be shared among two or more clusters.

1431 The electron track reconstruction is performed in two ways [56]: the ECAL-based  
1432 seeding, which begins with the SC energy and positioning, and the tracker-based  
1433 seeding (part of the PF reconstruction algorithm), which uses tracks reconstructed  
1434 from the general algorithm for charged particles, extrapolated towards the ECAL and  
1435 matched to an SC. Kalman filter (KF) tracks with a small number of hits or that are  
1436 not well-fitted, are re-fitted with a dedicated Gaussian sum Filter (GSF).

1437 A global identification variable [56] is defined using a multivariate analysis (MVA)  
1438 technique that combines information on track observables (kinematics, quality of the  
1439 KF track and GSF track), the electron PF cluster observables (shape and pattern),  
1440 and the association between the two (geometric and kinematic observables). For  
1441 electrons seeded only through the tracker-based approach, a weak selection is applied  
1442 on this MVA variable. For electrons seeded through both approaches, a logical OR is  
1443 taken.

1444 Electron isolation, i.e. the presence of energy deposits near the electron trajectory,

is a separate key handle in rejecting significant background. Compared to isolated electrons, electrons from misidentified jets or genuine electrons within a jet resulting from semileptonic decays of  $b$  or  $c$  quarks tend to have significant energy deposits near the primary trajectory [56]. Offline analyses benefit from the PF technique for defining isolation, which sums the PF candidates reconstructed located within a specified isolation cone around the electron candidate, as in Eqn. 5.2.

#### 5.1.4 Jets

The vast majority of processes of interest at the LHC contains quarks or gluons in the final state, but these particles cannot be observed directly. In a process called hadronization, they fragment into spatially-grouped collections of particles called jets, which can be detected in the tracking and calorimeter systems. Hadronization and the subsequent decays of unstable hadrons can produce hundreds of nearby particles in the CMS detector. Jets are reconstructed by the PF algorithm (PF jets), or from the sum of the ECAL and HCAL energies deposited in the calorimeter towers (Calo jets). In PF jets, typically used in offline analyses, jets are built using the anti- $k_T$  (AK) clustering algorithm [57]. The anti- $k_T$  algorithm iterates over particle pairs and finds the two that are closest in a distance measure  $d$ , and determines whether to combine them:

$$d_{ij} = \min(p_{T,i}^{-2}, p_{T,j}^{-2}) \frac{\Delta_{ij}^2}{R^2}, \text{ combine when } d_{ij} < p_{T,i}^{-2}; \text{ stop when } d_{ij} > p_{T,i}^{-2} \quad (5.3)$$

where  $\Delta_{ij}^2 = (\eta_i - \eta_j)^2 + (\phi_i - \phi_j)^2$  and  $p_{T,i}$ ,  $\eta_i$ ,  $\phi_i$  are the transverse momentum, rapidity, and azimuthal angle of particle  $i$ . The power  $-2$  means that higher-momentum particles are clustered first, leading to jets that tend to be centered on the hardest (highest  $p_T$ ) particle.

There are several methods to remove contributions of pile-up collisions from jet

1468 clustering [58]:

- 1469     • Charged hadron subtraction (CHS), which removes all charged hadron candi-  
1470         dates associated with a track that is not associated with the primary vertex.
- 1471     • PileUp Per Particle Identification (PUPPI), which weighs input particles based  
1472         on their likelihood of arising from pile-up. QCD particles tend to have a collinear  
1473         structure, compared to soft diffuse radiation coming from pile-up. The local  
1474         shape for charged pile-up, used as a proxy for all pile-up particles, is used on an  
1475         event-by-event basis to calculate a weight for each particle. PUPPI is deployed  
1476         in Run-2 and is more performant than CHS in high pile-up scenarios.

1477 **5.1.5 B-flavored jets**

1478 Jets that arise from bottom-quark hadronization (b-flavor jets) have overwhelming  
1479 background from processes involving jets from gluons (g) and light-flavor quarks (u, d,  
1480 s), and from c-quark fragmentation. The ability to identify b-flavor jets, or b-tagging,  
1481 exploits the b hadrons' relatively large masses, long lifetimes, and daughter particles  
1482 with hard momentum spectra [57].

1483 The impact parameter (IP) of a track is the 3-dimensional distance between the  
1484 track and the primary vertex (PV) at the point of closest approach. The IP is positive  
1485 if the track originates from the decay of particles travelling along the jet axis. The  
1486 resolution of the IP depends on the  $p_T$  and  $\eta$  of the track, motivating the use of the  
1487 impact parameter significance  $S_{\text{IP}}$  (ratio of the IP to its estimated uncertainty) as an  
1488 observable [57].

1489 Because of the large but finite lifetimes of the b hadrons, b hadrons tend to  
1490 travel a short distance before decaying at a secondary vertex (SV), which can be  
1491 measured and reconstructed separately from the primary vertex due to the excellent  
1492 position resolution of the pixel detector [57]. Previous b-tagging algorithms (e.g.

1493 CSV, cMVAv2, and DeepCSV) have capitalized on variables such as the presence of  
1494 a SV, the flight distance and direction (computed from the vector between the PV  
1495 and the SV), and kinematics of the system of associated secondary tracks (e.g. track  
1496 multiplicity, mass, and energy).

1497 The DeepJet (formerly known as DeepFlavour) algorithm [59] is a deep-neural-  
1498 network multi-classification algorithm, which uses 16 properties of up to 25 charged  
1499 and 6 properties of 25 neutral particle-flow jet constituents, as well as 17 properties  
1500 from up to 4 secondary vertices associate with the jet. Compared to the previous clas-  
1501 sifying algorithm DeepCSV, DeepJet has been demonstrated to have higher efficiency  
1502 with lower misidentification probability in Phase-1 data [60].

## 1503 5.2 Reconstruction of the di-tau mass

1504 The final signal extraction is done to the total di-tau ( $\tau\tau$ ) mass, which is estimated  
1505 from the visible  $\tau\tau$  mass using the FastMTT algorithm [61]. FastMTT is based on the  
1506 SVFit algorithm, originally developed for the Standard Model  $H \rightarrow \tau\tau$  analysis [62].  
1507 Both the SVFit algorithms, and the FastMTT algorithm, are described below, to give  
1508 a complete picture of how the algorithms attempt to reconstruct the true invariant  
1509 mass of a Higgs or  $Z$  boson decay.

1510 To specify a hadronic  $\tau$  decay, six parameters are needed [62]: the polar and  
1511 azimuthal angles of the visible decay product system in the  $\tau$  rest frame, the three  
1512 boost parameters from the  $\tau$  rest frame to the laboratory frame, and the invariant  
1513 mass  $m_{\text{vis}}$  of the visible decay products. For a leptonic  $\tau$  decay, two neutrinos are  
1514 produced, and a seventh parameter, the invariant mass of the two-neutrino system, is  
1515 necessary. The unknown parameters are constrained by four observables that are the  
1516 components of the four-momentum of the system formed by the visible decay products  
1517 of the  $\tau$  lepton, measured in the laboratory frame. The remaining unconstrained

1518 parameters for hadronic and leptonic  $\tau$  decays are thus:

1519 • The fraction of the  $\tau$  energy in the laboratory frame carried by the visible decay  
1520 products,

1521 •  $\phi$ , the azimuthal angle of the  $\tau$  direction in the laboratory frame,

1522 •  $m_{\nu\nu}$ , the invariant mass of the two-neutrino system in leptonic  $\tau$  decays (for  
1523 hadronic  $\tau$  decays,  $m_{\nu\nu}$  is set to 0).

1524  $E_x^{\text{miss}}$  and  $E_y^{\text{miss}}$ , the  $x$  and  $y$  components of the missing transverse energy  $E_T^{\text{miss}}$   
1525 provide two further constraints.

### 1526 5.2.1 Original SVFit ‘‘standalone’’: maximum likelihood

1527 In one of the original versions of SVFit, called ‘‘standalone’’ SVFit [62], a maximum  
1528 likelihood fit method is used to reconstruct the mass  $m_{\tau\tau}$  by combining the measured  
1529 observables  $E_x^{\text{miss}}$  and  $E_y^{\text{miss}}$  with a likelihood model that includes terms for the  $\tau$   
1530 decay kinematics and the  $E_T^{\text{miss}}$  resolution [62]. The likelihood function  $f(\vec{z}, \vec{y}, \vec{a}_1 \vec{a}_2)$   
1531 of the parameters  $\vec{z} = (E_x^{\text{miss}}, E_y^{\text{miss}})$  in an event is constructed, where the remaining  
1532 parameters are the kinematics of the two  $\tau$  decays, denoted  $\vec{a}_1 = (x_1, \phi_1, m_{\nu\nu,1})$  and  
1533  $\vec{a}_2 = (x_2, \phi_2, m_{\nu\nu,2})$ , and the four-momenta of the visible decay products with the  
1534 measured values  $\vec{y} = (p_1^{\text{vis}}, p_2^{\text{vis}})$ .

1535 The likelihood  $f$  is the product of three likelihood functions. The first two likeli-  
1536 hood functions model the decay parameters  $\vec{a}_1$  and  $\vec{a}_2$  of the two  $\tau$  leptons. For lep-  
1537 tonic decays, the likelihood function is modeled using matrix elements for  $\tau$  decays,  
1538 and integrated over the allowed phase space  $0 \leq x \leq 1$  and  $0 \leq m_{\nu\nu} \leq m_\tau \sqrt{1-x}$ . For  
1539 hadronic  $\tau$  decays, a model based on the two-body phase space is used and integrated  
1540 over  $m_{\text{vis}}^2/m_{\tau\tau}^2 \leq x \leq 1$ . The third likelihood function quantifies the compatibility of  
1541 a  $\tau$  decay hypothesis with the reconstructed  $\vec{E}_T^{\text{miss}}$  in an event, assuming the neutrini-  
1542 nos are the only source of missing transverse energy. The expected  $\vec{E}_T^{\text{miss}}$  resolution

1543 is represented by a covariant matrix, estimated on an event-by-event basis using a  
1544 significance algorithm [63].

### 1545 5.2.2 “Classic SVFit” with matrix element

1546 Classic SVFit is an improved algorithm of the original “standalone” SVFit using the  
1547 formalism of the matrix element (ME) method [61]. In the ME method, an estimate  
1548 for the unknown model parameter  $\Theta$  (here, the mass  $m_{\tau\tau}$ ) is obtained by maximizing  
1549 the probability density  $\mathcal{P}$ . The key ingredients of the probability density are the  
1550 squared modulus of the matrix element  $|\mathcal{M}(\mathbf{p}, \Theta)|^2$  and the transfer function  $W(\mathbf{y}|\mathbf{p})$   
1551 (probability density to observe the measured observables  $\mathbf{y}$  given the phase space  
1552 point  $\mathbf{p}$ ). The best estimate  $m_{\tau\tau}$  is obtained by computing the probability density  $\mathcal{P}$   
1553 for a range of mass hypotheses and finding the value of  $m_{\tau\tau}$  that maximizes  $\mathcal{P}$ .

1554 Distributions illustrating the performance of the classic matrix element SVFit  
1555 algorithm are shown in Fig. 5.1 from [61], showing the di-tau mass after and before  
1556 application of SVFit to recover energy lost to neutrinos. The SVFit algorithm is  
1557 found to improve the sensitivity of the Standard Model  $H \rightarrow \tau\tau$  analysis performed  
1558 by CMS by about 30%, compared to performing the same analysis using only the  
1559 visible mass  $m_{\text{vis}}$ .

### 1560 5.2.3 FastMTT: optimized SVFit

1561 FastMTT [64] is a further simplification to the matrix element method of Classic  
1562 SVFit which has comparable performance but is about 100 times faster. FastMTT  
1563 drops the matrix element component of the computation without significant impact  
1564 on the final mass resolution, and simplifies the computation of the transfer functions.  
1565 The opening angle of the  $\tau$  decay products with respect to the initial  $\tau$  momenta ap-  
1566 proaches 0 for  $\tau$  with high  $\gamma = E_\tau/m_\tau$ , with typical  $\tau$  decays from the Z boson decays  
1567 already satisfying this condition. In this collinear approximation, the dimensionality

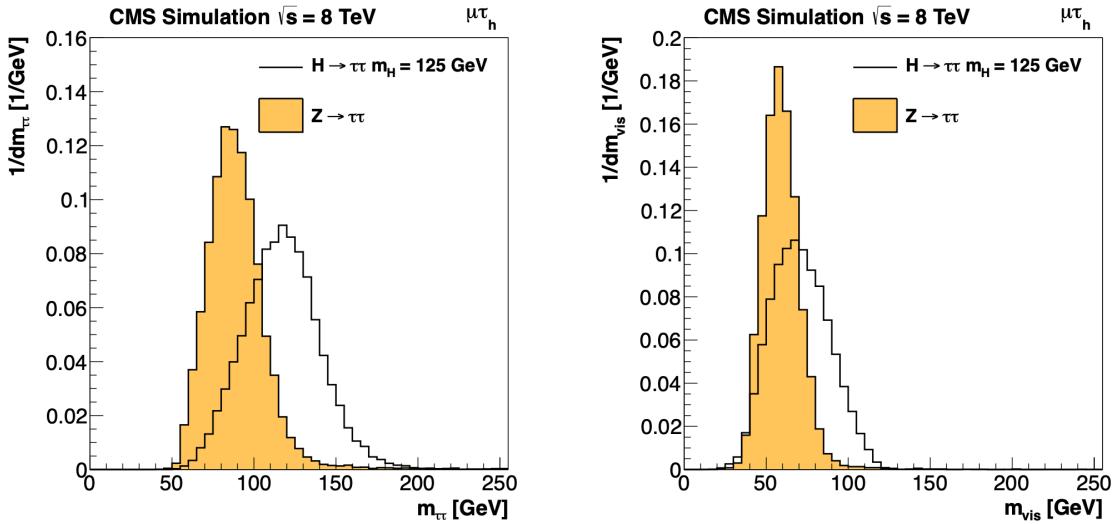


Figure 5.1: Distributions from [61], of  $m_{\tau\tau}$  after reconstruction with the original SVFit algorithm (*left*), and before SVFit with only the visible tau decay products (*right*), for  $H \rightarrow \tau\tau$  signal events of mass  $m_H = 125$  GeV (*black line*) and the  $Z/\gamma^* \rightarrow \tau\tau$  background (*orange, solid*), in the decay channel  $\tau\tau \rightarrow \mu\tau_h$ .

of the transfer function can be reduced in the computation of FastMTT, while still yielding similar results to Classic SVFit [64].

### 5.3 Corrections applied to simulation

Corrections are applied to simulated samples to account for known effects in the event modeling and reconstruction and data-taking, and are intended to bring simulations in closer agreement with data. Corrections fall into two broad categories: *energy scale corrections* applied to physics objects, and *event-level corrections*. Energy scale corrections are multiplicative factors applied to the energy and transverse momentum  $p_T$  of simulated objects (e.g. leptons or jets), and bring the average reconstructed energies of simulated particles into better agreement with those of objects reconstructed from data. Event-level corrections are applied as a per-event multiplicative weight, and account for effects such as differences in object identification efficiencies and trigger efficiencies between data and simulated samples, mis-modeling in simu-

1581 lations of the underlying physics process, or changing detector operating conditions  
 1582 during data-taking. Event-level corrections change the shapes of the distributions of  
 1583 all the physical observables.

1584 Uncertainties in scale factors and corrections are also sources of systematic errors  
 1585 in the analysis, detailed in Chapter 8. Systematic uncertainties in the tau, muon, and  
 1586 electron energy scales can shift the  $p_T$  of the leptons up or down, which can change  
 1587 whether events pass or fail the offline  $p_T$  thresholds for the trigger paths described in  
 1588 the previous section, i.e. change the number of events in the signal region.

### 1589 **5.3.1 Tau energy scale**

1590 An energy scale is applied to the transverse momentum  $p_T$  and mass of the hadronic  
 1591 tau  $\tau_h$  in the  $\mu\tau_h$  and  $e\tau_h$  channels, to correct for a deviation of the average recon-  
 1592 structed  $\tau_h$  energy from the generator-level energy of the visible  $\tau_h$  decay products.  
 1593 These correction factors are derived centrally [53], by fitting to events in  $e\tau_h$  and  $\mu\tau_h$   
 1594 final states in  $Z/\gamma^*$  events separately for the  $h^\pm$ ,  $h^\pm\pi^0$ , and  $h^\pm h^\mp h^\pm$  decays. The  
 1595 values used are shown in Table 5.1.

1596 When applying the energy scale to the  $\tau_h$ , the 4-momentum of the missing trans-  
 1597 verse energy (MET) is adjusted such that the total 4-momenta of the  $\tau_h$  and the MET  
 1598 remains unchanged [65].

Tau energy scale factor				
Decay mode	2018	2017	2016 pre-VFP	2016 post-VFP
0	$0.991 \pm 0.008$	$0.986 \pm 0.009$	$0.987 \pm 0.01$	$0.993 \pm 0.009$
1	$1.004 \pm 0.006$	$0.999 \pm 0.006$	$0.998 \pm 0.006$	$0.991 \pm 0.007$
10	$0.998 \pm 0.007$	$0.999 \pm 0.007$	$0.984 \pm 0.008$	$1.001 \pm 0.007$
11	$1.004 \pm 0.009$	$0.996 \pm 0.01$	$0.999 \pm 0.011$	$0.997 \pm 0.016$

Table 5.1: Energy scales applied to genuine hadronic tau decays  $\tau_h$  by data-taking year/era and decay mode, along with systematic errors.

1599 **5.3.2 Muon energy scale**

1600 An energy scale is applied to the  $p_T$  and mass of genuine muons from  $\tau$  decays in the  
1601  $e\mu$  and  $\mu\tau_h$  channels [66]. The applied values are the same for MC and embedded  
1602 samples and are shown in Table 5.2. Following the SM  $H \rightarrow \tau\tau$  analysis, Rochester  
1603 corrections are not applied, and instead prescriptions from [67] are followed.

Muon energy scale factor	
Eta range	Value for all years
$ \eta  \in [0.0, 1.2)$	$1.0 \pm 0.004$
$ \eta  \in [1.2, 2.1)$	$1.0 \pm 0.009$
$ \eta  \in [2.1, 2.4)$	$1.0 \pm 0.027$

Table 5.2: Energy scales and systematic errors applied to genuine muons. The values are the same for MC and embedded for all years [68] [67].

1604 **5.3.3 Electron energy scale**

1605 Corrections to the electron energy scale are applied to genuine  $e$  from  $\tau$  decays, and  
1606 are binned in two dimensions by electron  $p_T$  and  $\eta$  for barrel vs. endcap [69]. The  
1607 scale factors are binned in  $p_T$  and  $\eta$  for MC samples: e.g. values for 2018 are shown  
1608 in Fig. 5.2 from [70]. For embedded samples the electron energy scale is taken as  
1609 only binned in  $\eta$  (Table 5.3).

Electron energy scale factor for embedded samples			
Eta range	2018	2017	2016
$ \eta  \in [0.0, 1.479)$	$0.973 \pm 0.005$	$0.986 \pm 0.009$	$0.9976 \pm 0.0050$
$ \eta  \in [1.479, 2.4)$	$0.980 \pm 0.0125$	$0.887 \pm 0.0125$	$0.993 \pm 0.0125$

Table 5.3: Energy scales and systematic errors applied to electrons in embedded samples, binned in the electron  $\eta$ , by data-taking year [71] [72] [73].

1610 **5.3.4  $\tau_h$  identification efficiency**

1611 The  $\tau_h$  identification efficiency can differ in data and MC [65]. Recommended correc-  
1612 tions are provided by the Tau POG, and we use the medium DeepTau vs. jet working

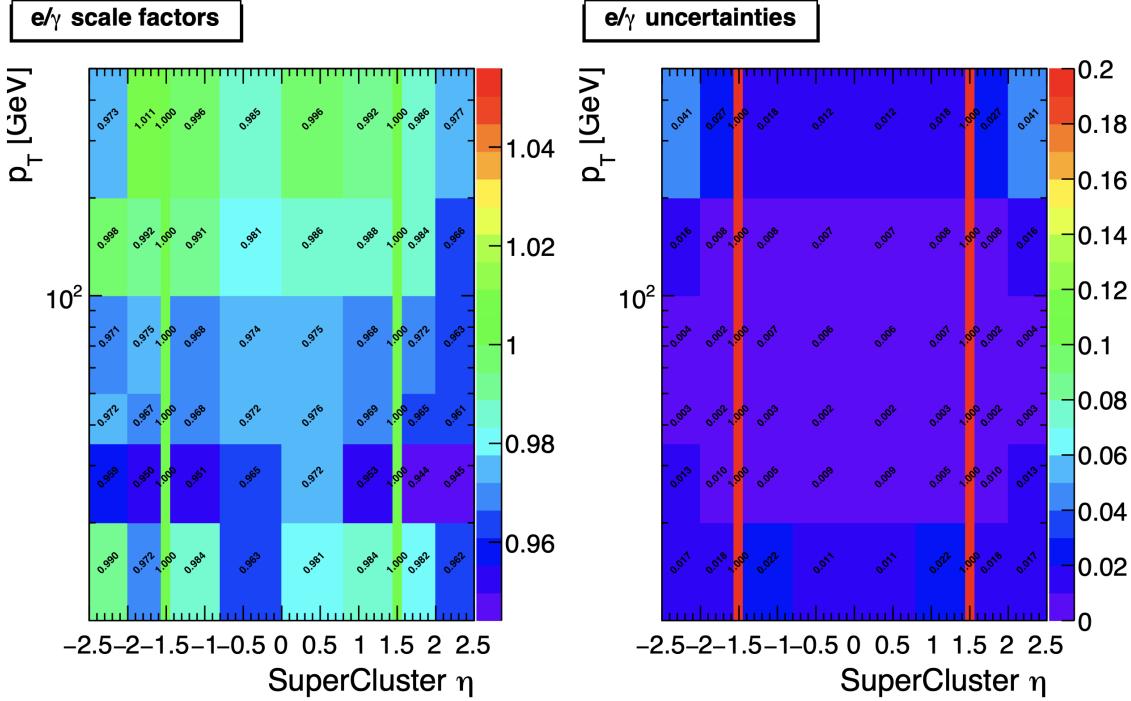


Figure 5.2: Electron/photon energy scale factors (*left*) and corresponding uncertainties (*right*) binned in the electron  $\eta$  and  $p_T$ , for the data-taking year 2018 [70].

<sub>1613</sub> point values. The identification efficiency is measured in  $Z \rightarrow \tau\tau$  events in the  $\mu\tau_h$   
<sub>1614</sub> final state, and is binned in  $p_T$  due to clear  $p_T$  dependence of the DeepTau ID.

Tau ID efficiency for DeepTau Medium vs. jet WP in 2018						
$p_T$ (GeV)	< 20	(20, 25]	(25, 30]	(30, 35]	(35, 40]	(40, 500]
Central value	0	0.945	0.946	0.916	0.921	1.005
Up value	0	1.001	0.981	0.946	0.950	1.035
Down value	0	0.888	0.981	0.883	0.893	0.953

Table 5.4: Tau ID efficiency for the DeepTau vs. jet medium working point, with central, up, and down values for 2018, binned in the tau  $p_T$  [65].

### <sub>1615</sub> 5.3.5 Trigger efficiencies definition

<sub>1616</sub> Scale factors are applied to correct for differences in trigger efficiencies between MC  
<sub>1617</sub> and embedded vs. data, with values taken from tools provided by the Standard Model  
<sub>1618</sub>  $H \rightarrow \tau\tau$  working group which uses the same trigger paths [68]. In the following

1619 sections we review relevant trigger efficiencies in data, which form the basis of the  
1620 trigger efficiency corrections applied to MC and embedded.

1621 **5.3.6 Tau trigger efficiencies**

1622 The efficiencies in data of the single- $\tau_h$  leg in  $\mu\tau_h$ ,  $e\tau_h$ , and di- $\tau_h$  triggers is computed  
1623 centrally per using a Tag and Probe (TnP) method [74] which is outlined here. In  
1624 this method,  $Z \rightarrow \tau\tau \rightarrow \mu\tau_h$  are selected in data and a Drell-Yan simulated sample  
1625 ( $Z \rightarrow \ell\ell, \ell = e, \mu, \tau_h$ ) with high purity. Cuts are applied to reject events not in this  
1626 final state, e.g. suppressing  $Z \rightarrow \mu\mu$  by vetoing events with a single loose ID muon.  
1627 An isolated muon candidate (the tag) with online  $p_T > 27$  GeV and  $|\eta| < 2.1$  is  
1628 identified and matched to an offline  $\mu$ . An offline  $\tau_h$  candidate (the probe) is selected,  
1629 which is separated from the tag  $\mu$ , and has  $p_T > 20$  GeV and  $|\eta| < 2.1$ . The probe  
1630  $\tau_h$  must pass anti-muon and anti-electron discriminators to avoid fakes from muons  
1631 and electrons, and must pass the medium MVA tau isolation to suppress fakes from  
1632 QCD jets. The trigger efficiency in the TnP method is calculated as

$$\text{Efficiency} = \frac{\text{Number of events passing the TnP selection with fires the HLT path}}{\text{Number of events passing the TnP selection}} \quad (5.4)$$

1633 The efficiencies for the hadronic tau legs in the relevant channels of this analyses  
1634 ( $\mu\tau_h$  and  $e\tau_h$ ) as a function of the offline tau  $p_T$  and  $\eta$ , are shown for data taken in  
1635 2016, 2017, and 2018 in Figures 5.3a and 5.3b [74] [75]. In both figures, the different  
1636 HLT thresholds and differences in the L1 seed result in higher efficiencies in 2016 and  
1637 differences in shapes of the 2016 efficiencies compared to 2017 and 2018. The low  
1638 pile-up in 2016 also leads to higher efficiencies in that year.

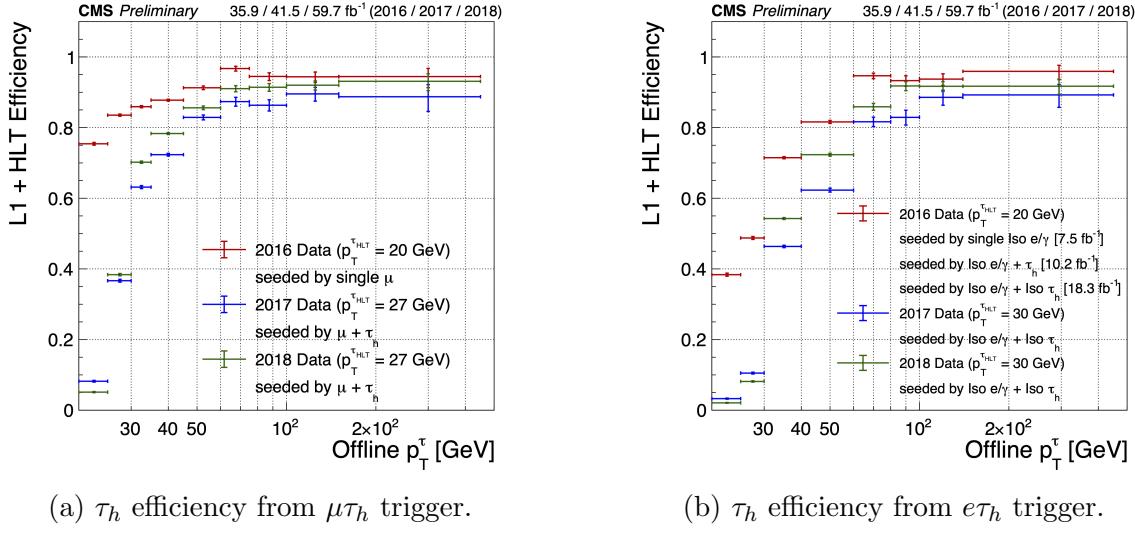
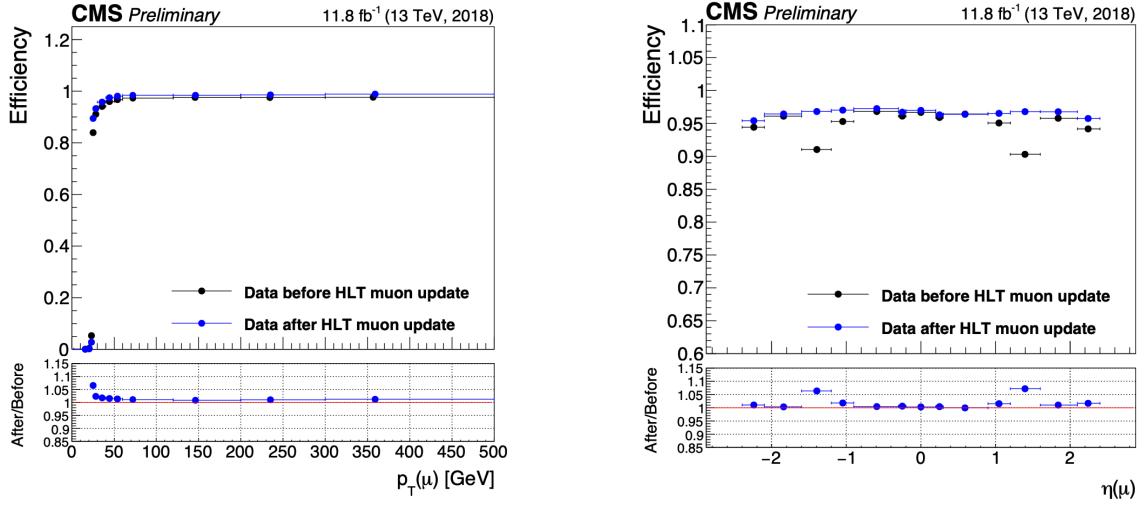


Figure 5.3: Hadronic tau leg efficiency of the cross-triggers for  $\mu\tau_h$  (left) and  $e\tau_h$  (right) triggers as a function of offline tau  $p_T$  for the years 2016 (red), 2017 (blue) and 2018 (green), from [75]. HLT  $p_T$  thresholds and L1 seeds are indicated in the legends.

### 5.3.7 Single muon trigger efficiencies

The efficiencies for the single isolated muon trigger with  $p_T > 24 \text{ GeV}$  used in this analysis, is shown for the data-taking year 2018 in Fig. 5.4a as a function of the muon  $p_T$  and as a function of the muon  $|\eta|$  in Fig. 5.4b from [76]. The data is split with respect to a HLT muon reconstruction update that was deployed on 15/05/2018. A small asymmetry in efficiencies between negative and positive  $\eta$  in Fig. 5.4b is due to disabled muon chambers (CSCs). The efficiencies shown are estimated using a Tag and Probe method using  $Z \rightarrow \mu\mu$  events, with the tag being an offline muon with  $p_T > 29 \text{ GeV}$  and  $|\eta| < 2.4$  passing a tight ID criteria, and the probe is an online (L1) trigger object with  $\Delta R < 0.3$  and passing tight ID and Particle Flow based isolation requirements with  $p_T > 26 \text{ GeV}$ .



(a) Muon efficiency vs  $p_T$  for SingleMuon.

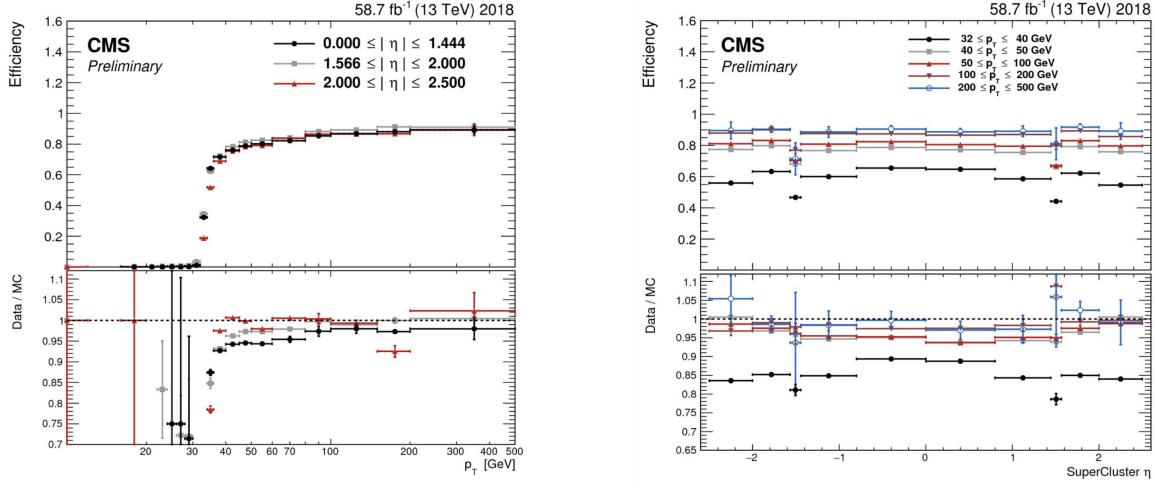
(b) Muon efficiency vs  $|\eta|$  for SingleMuon.

Figure 5.4: Trigger efficiencies in data (*top panels*) and ratio of efficiencies after/before a HLT muon reconstruction update (*bottom panels*) for the muon in the isolated single muon trigger with threshold  $p_T > 24$  GeV in the data-taking year 2018, as functions of the muon  $p_T$  (*left*) and muon  $|\eta|$  (*right*). Only statistical errors are shown [76].

### 1650 5.3.8 Single electron trigger efficiencies

1651 The efficiencies in data, and the ratio between data and MC, of the single electron  
 1652 HLT trigger with  $p_T$  threshold 32 GeV used in this analysis are shown for 2018,  
 1653 as a function of the electron  $p_T$  in Fig. 5.5a and of the electron  $|\eta|$  in Fig. 5.5b,  
 1654 from [77]. In the Tag and Probe method used for the 2018 dataset, the tag is an  
 1655 offline reconstructed electron with  $|\eta| \leq 2.1$  and not in the barrel and endcap overlap  
 1656 region, with  $p_T > 35$  GeV with tight isolation and shower shape requirements, firing  
 1657 the tag trigger. The probe is an offline reconstructed electron with  $|\eta| \leq 2.5$  with  
 1658  $E_T^{\text{ECAL}} > 5$  GeV with no extra identification criteria [77].

1659 The disagreement between data and MC, particularly at low transverse momentum,  
 1660 is in part due to detector effects that are difficult to simulate, such as crys-  
 1661 tal transparency losses in the ECAL and the evolution of dead regions in the pixel  
 1662 tracker [77].



(a) Electron efficiency vs  $p_T$  for single electron.

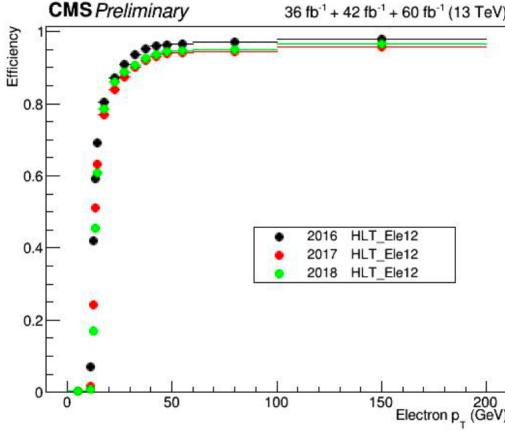
(b) Electron efficiency vs  $|\eta|$  for single electron.

Figure 5.5: Trigger efficiencies in data, and the data/MC ratio for the electron in the single electron trigger with threshold  $p_T > 32$  GeV in the data-taking year 2018, as functions of the electron  $p_T$  (*left*) and electron  $|\eta|$  (*right*) [77]. In the plot vs.  $p_T$ , the region  $1.442 \leq |\eta| \leq 1.566$  is not included as it corresponds to the transition between barrel and endcap parts of the ECAL.

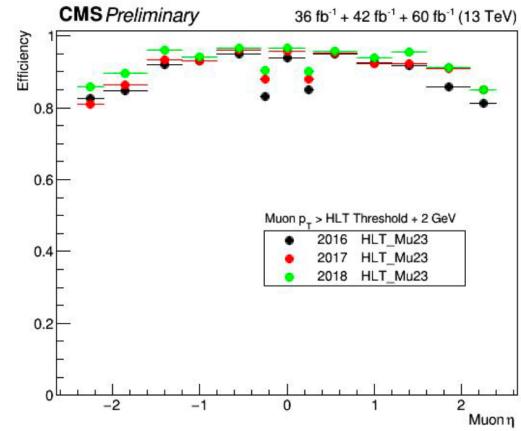
### 1663 5.3.9 $e\mu$ cross-trigger efficiencies

1664 The efficiencies of the electron and muons for the cross-trigger with leading muon  
 1665 used in the  $e\mu$  channel are shown for data in 2016, 2017, and 2018 in Figures 5.6a and  
 1666 5.6b [78]. These efficiencies were measured centrally using a Tag and Probe in events  
 1667 with  $Z$  to dileptons with the same flavor and opposite charge, where the tags are an  
 1668 isolated muon or electron, and the probe (offline) candidate is required to satisfy the  
 1669 same lepton selection as that of the tag candidate, be matched within  $\Delta R < 0.1$  with  
 1670 a corresponding online trigger object, and also to pass the cross-trigger. The trigger  
 1671 efficiency is then:

$$\text{Efficiency} = \frac{\text{Events passing lepton pair selections and probe passing trigger}}{\text{Events passing lepton pair selections}} \quad (5.5)$$



(a) Electron efficiency vs.  $p_T$ .



(b) Muon efficiency vs.  $\eta$ .

Figure 5.6: Efficiencies of the electron leg vs.  $p_T$  (*left*) and the muon log vs.  $\eta$  (*right*), for the HLT path with online thresholds of 12 GeV for the electron and 23 GeV for the muon, for the data-taking years 2016 (*black*), 2017 (*red*), and 2018 (*green*) [78].

### 1672 5.3.10 Electrons and muons faking $\tau_h$ : energy scales

1673 Energy scales for electrons misidentified as hadronic tau decays ( $e$  faking  $\tau_h$ ) are  
 1674 provided by the Tau POG, and were measured in the  $e\tau_h$  channel with the visible  
 1675 invariant mass of the electron and hadronic tau system [68]. This energy scale is  
 1676 applied for  $\tau_h$  with  $p_T > 20$  GeV regardless of which DeepTau vs. electron working  
 1677 point was used. Values for 2018 are shown in Table 5.5.

Electrons faking $\tau_h$ energy scale factor in 2018	
Reconstructed decay mode of the fake $\tau_h$	Central value and (up, down) shifts
0	1.01362 (+0.00474, -0.00904)
1	1.01945 (+0.01598, -0.01226)
10	0.96903 (+0.0125, -0.03404)
11	0.985 (+0.04309, -0.05499)

Table 5.5: Energy scales and up/down systematic uncertainties applied to electrons misidentified as hadronic taus for 2018, binned in decay mode of the fake  $\tau_h$  [68].

1678 No nominal energy scale is applied for muons mis-reconstructed as  $\tau_h$ , and the  
 1679 uncertainty is treated as  $\pm 1\%$  and uncorrelated in the reconstructed decay mode [68].

1680    **5.3.11 Electrons and muons faking  $\tau_h$ : misidentification effi-**  
 1681    **ciencies**

1682    Corrections on identification efficiencies are applied to genuine electrons and muons  
 1683    misidentified as  $\tau$  to account for differences in data and MC.

1684    The specific values depend on the vs. electron and vs. muon discriminator working  
 1685    points used. For misidentified  $\mu \rightarrow \tau_h$ , the scale factors are split into different  $|\eta|$   
 1686    regions, determined by the CMS muon and tracker detector geometries, as shown in  
 1687    Table 5.6 for 2018 [65].

Tau ID efficiency for DeepTau vs. muon WPs in 2018		
$ \eta $	Tight working point	VLoose working point
(0.0, 0.2)	$0.767 \pm 0.127$	$0.954 \pm 0.069$
(0.2, 0.6)	$1.255 \pm 0.258$	$1.009 \pm 0.098$
(0.6, 1.0)	$0.902 \pm 0.203$	$1.029 \pm 0.075$
(1.0, 1.45)	$0.833 \pm 0.415$	$0.928 \pm 0.145$
(1.45, 2.0)	$4.436 \pm 0.814$	$5.000 \pm 0.377$
(2.0, 2.53)	$1.000 \pm 0.000$	$1.000 \pm 0.000$

Table 5.6: Tau mis-identification efficiency for the DeepTau Tight and Very Loose (VLoose) working points vs. muons in 2018, binned in the muon  $|\eta|$  [65].

1688    For misidentified  $e \rightarrow \tau_h$ , the scale factors are split into barrel and endcap regions,  
 1689    dictated by the ECAL detector geometry, as shown in Table 5.7 for 2018.

Tau ID efficiency for DeepTau vs. electron WPs in 2018		
$ \eta $	Tight working point	VLoose working point
(0.0, 0.73)	$1.47 \pm 0.27$	$0.95 \pm 0.07$
(0.73, 1.509)	$1.509 \pm 0.0$	$1.00 \pm 0.0$
(1.509, 1.929)	$1.929 \pm 0.2$	$0.86 \pm 0.1$
(1.929, 2.683)	$2.683 \pm 0.9$	$2.68 \pm 0.0$

Table 5.7: Tau mis-identification efficiency for the DeepTau Tight and Very Loose (VLoose) working points vs. electrons in 2018, binned in the electron  $|\eta|$  [65].

1690 **5.3.12 Electron ID and tracking efficiency**

1691 Scale factors are applied to MC to correct for differences between MC and data in  
 1692 the performance of electron identification (ID) and tracking.

1693 Electron and photon identification, as discussed earlier, use variables with good  
 1694 signal vs. background discrimination power such as lateral shower shape and ratio  
 1695 of energy deposited in the HCAL to energy deposited in the ECAL at the position  
 1696 of the electron. The cut-based electron identification efficiencies in data and ratio of  
 1697 efficiencies in data to MC are shown in Fig. 5.7a for the multivariate analysis (MVA)  
 1698 identification working point.

1699 The tracking efficiencies in data and the data/MC ratio are shown in Fig. 5.7b  
 1700 for the Gaussian-sum filter (GSF) tracking [79].

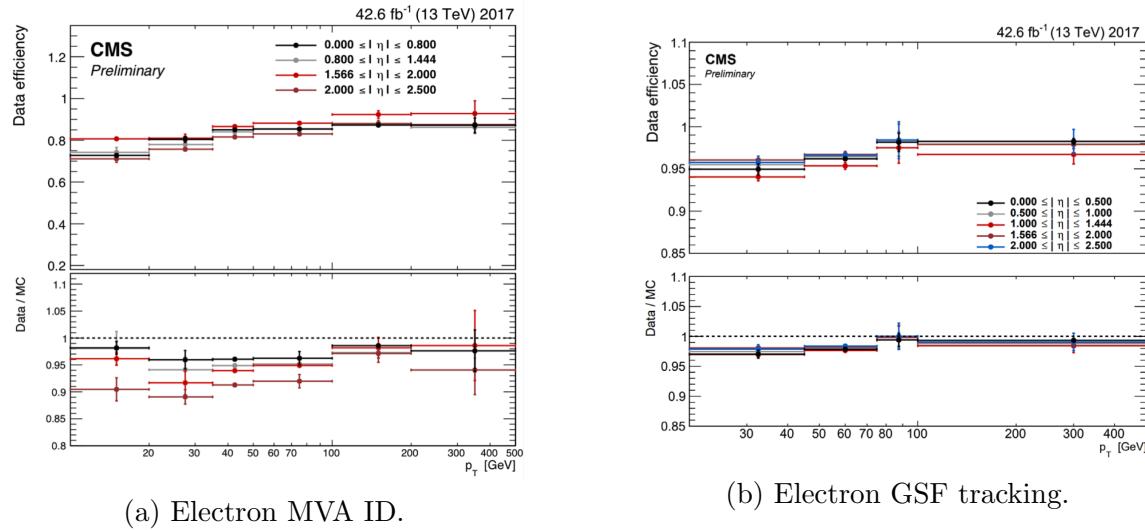


Figure 5.7: Efficiencies in data (*top panels*) and the ratio of efficiencies in data/MC (*bottom panels*), for the electron multivariate analysis (MVA) identification (*left*) and for the Gaussian-sum filter (GSF) tracking (*right*) [79]. Error bars represent statistical and systematic uncertainties.

1701 **5.3.13 Muon ID, isolation, and tracking efficiencies**

1702 Scale factors are applied to MC to correct for differences between MC and data in  
 1703 the performance of muon identification, isolation, and tracking, as detailed below.

1704        The efficiencies for muon identification measured in 2015 data and MC simulation  
 1705        are shown in Figures 5.8a and 5.8b for the loose ID and tight ID respectively [80]. The  
 1706        loose ID is chosen such that efficiency exceeds 99% over the full  $\eta$  range, and the data  
 1707        and simulation agree to within 1%. The tight ID is chosen such that efficiency varies  
 1708        between 95% and 99% as a function of  $\eta$ , and the data and simulation agree to within  
 1709        1-3%. The muon identification working point used in this analysis is the medium ID,  
 1710        which has an efficiency of 98% for all  $\eta$  and an agreement within 1-2% [80].

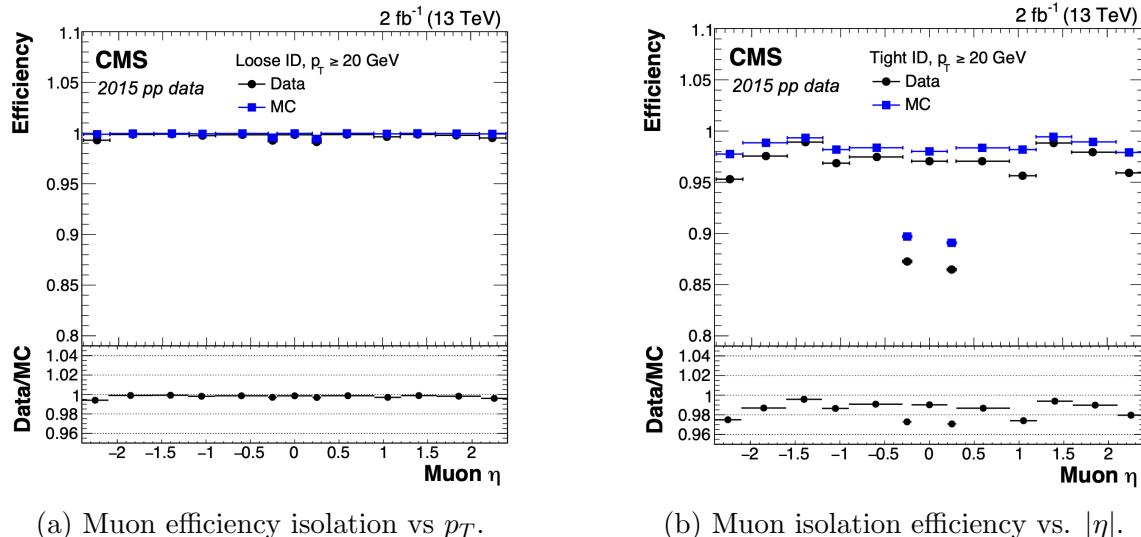
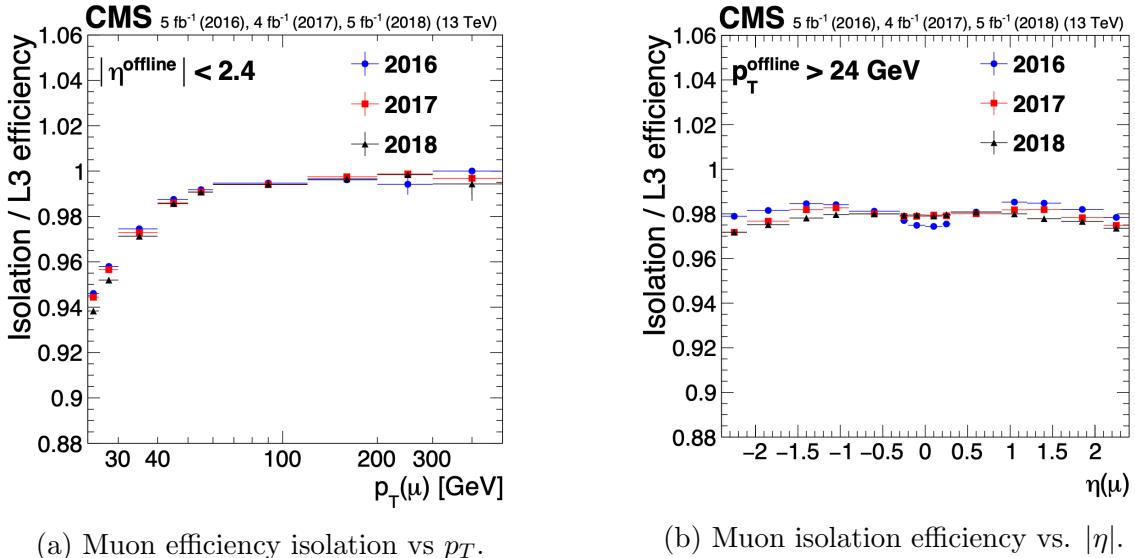


Figure 5.8: Muon identification efficiencies in 2015 data and MC as a function of the muon  $p_T$  for the loose ID (*left*) and tight ID (*right*) working points [80].

1711        The efficiencies in data for the muon isolation, as measured in Level-3 muons  
 1712        (muons in one of the final stages of reconstruction in the HLT), as a function of the  
 1713        muon  $p_T$  and  $|\eta|$  are shown in Figures 5.9a and 5.9b [80]. The HLT muon reconstruc-  
 1714        tion consists of two steps: Level-2 (L2), where the muon is reconstructed in the muon  
 1715        subdetectors only, and Level-3 (L3) which is a global fit of tracker and muon hits (i.e.  
 1716        the global muon reconstruction as described in Section 5.1.2) [81].

1717        The muon tracking efficiencies as a function of  $|\eta|$  for standalone muons (i.e. tracks  
 1718        from only the muon system, i.e. DT, CSC, and RPC, as discussed in Section 5.1.2),  
 1719        is shown for data and simulated Drell-Yan samples in Fig. 5.10 [82].



(a) Muon efficiency isolation vs  $p_T$ .

(b) Muon isolation efficiency vs.  $|\eta|$ .

Figure 5.9: Muon isolation efficiencies in Run-2 data with respect to Level-3 muons (one of the final stages of HLT muon reconstruction) as a function of the muon  $p_T$  (*left*) and  $|\eta|$  (*right*) [80].

### 1720 5.3.14 Recoil corrections

1721 In proton-proton collisions, W and Z bosons are predominantly produced through  
1722 quark-antiquark annihilation. Higher-order processes can induce radiated quarks or  
1723 gluons that recoil against the boson, imparting a non-zero transverse momentum to  
1724 the boson [83]. Recoil corrections accounting for this effect are applied to samples  
1725 with W+jets, Z+jets, and Higgs bosons [68]. The corrections are performed on the  
1726 vectorial difference between the measured missing transverse momentum and the total  
1727 transverse momentum of neutrinos originating from the decay of the W, Z, or Higgs  
1728 boson. This vector is projected onto the axes parallel and orthogonal to the boson  
1729  $p_T$ . This vector, and the resulting correction to use, is measured in  $Z \rightarrow \mu\mu$  events,  
1730 since these events have leptonic recoil that do not contain neutrinos, allowing the  
1731 4-vector of the Z boson to be measured precisely. The corrections are binned in  
1732 generator-level  $p_T$  of the parent boson and also the number of jets in the event.

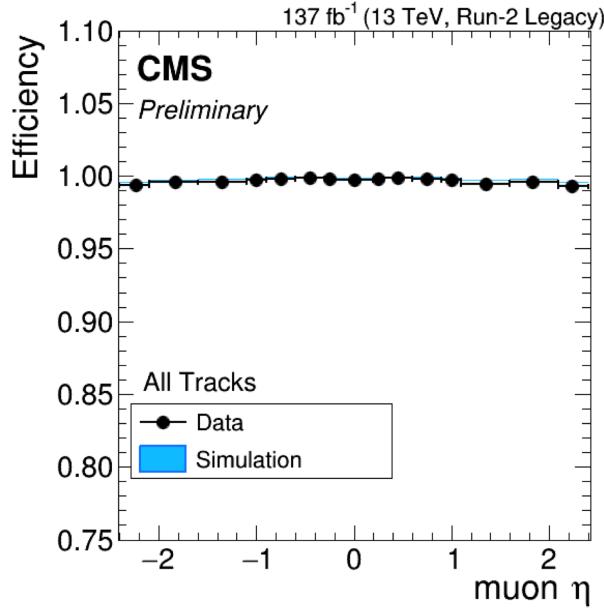


Figure 5.10: Muon tracking efficiencies as a function of  $|\eta|$  for standalone muons in Run-2 data (*black*) and Drell-Yan MC simulation (*blue*) [82]. All Tracks refers to tracks which exploit the presence of muon candidates in the muon system to seed the track reconstruction in the inner tracker, in contrast to tracks that use tracker-only hits for seeding. Uncertainties shown are statistical.

### **5.3.15 Drell-Yan corrections**

<sup>1733</sup> The Z boson transverse momentum distribution disagrees between leading-order (LO)  
<sup>1734</sup> simulations and data in a  $Z \rightarrow \mu\mu$  control region with at least one b-tag jet [84]. Per-  
<sup>1735</sup> event weights derived by the 2016 data-only version of this analysis [84] are applied to  
<sup>1736</sup>  $Z \rightarrow \tau\tau/\ell\ell$  events, as a function of the generator-level Z boson  $p_T$  to provide better  
<sup>1737</sup> matching of MC to data.  
<sup>1738</sup>

### **5.3.16 Pile-up reweighting**

<sup>1740</sup> Reweighting is performed to rescale MC events to account for differences between  
<sup>1741</sup> MC and data, in the distribution of the pile-up (number of additional proton-proton  
<sup>1742</sup> interactions per bunch crossing). A tool for calculating the pile-up reweighting for the  
<sup>1743</sup> MC samples used is provided centrally by the Luminosity POG [85].

<sub>1744</sub> **5.3.17 Pre-firing corrections**

<sub>1745</sub> In 2016 and 2017 data-taking, a gradual timing shift of ECAL was not properly  
<sub>1746</sub> propagated to L1 trigger primitives (TPs), resulting in a large fraction of high  $\eta$   
<sub>1747</sub> TPs being incorrectly associated with the previous bunch crossing. L1 trigger rules  
<sub>1748</sub> prevent two consecutive bunch crossings from firing, causing events to be rejected if  
<sub>1749</sub> significant ECAL energy was deposited in  $2.0 < |\eta| < 3.0$ . To account for this issue,  
<sub>1750</sub> MC simulations for 2016 and 2017 are corrected using an event-dependent weight.  
<sub>1751</sub> Embedded samples are not corrected [50].

<sub>1752</sub> **5.3.18 Top  $p_T$  spectrum reweighing**

<sub>1753</sub> In Run-1 and Run-2 it was observed that the  $p_T$  spectra of top quarks in  $t\bar{t}$  data  
<sub>1754</sub> was significantly softer than those predicted by MC simulations [86]. Possible sources  
<sub>1755</sub> of this discrepancy are higher order QCD and/or electroweak corrections, and non-  
<sub>1756</sub> resonant production of  $t\bar{t}$ -like final states. To account for this, corrections derived  
<sub>1757</sub> from Run-2 data by the Top Physics Analysis Group (PAG) are applied to the  $p_T$   
<sub>1758</sub> of the top and anti-top quarks in MC simulations, computed as a function of their  
<sub>1759</sub> generator-level  $p_T$  [86].

<sub>1760</sub> **5.3.19 B-tagging efficiency**

<sub>1761</sub> In order to predict correct b-tagging discriminant distributions and event yields in  
<sub>1762</sub> data, the weight of selected MC events is reweighed according to recommendations by  
<sub>1763</sub> the BTV POG [87]. The reweighing depends on the jet  $p_T$ ,  $\eta$ , and the b-tagging dis-  
<sub>1764</sub> criminant. In this method, there is no migration of events from one b-tag multiplicity  
<sub>1765</sub> bin to another.

### 1766 5.3.20 Jet energy resolution and jet energy smearing

1767 Calibration of jet energies, i.e. ensuring that the energy and momentum of the recon-  
1768 structed jet matches that of the quark/gluon-initiated jet, is a challenging task due  
1769 to time-dependent changes in the detector response and calibration and high pile-  
1770 up [88] [89]. Jet calibration is done via jet energy corrections (JECs) applied to the  
1771  $p_T$  of jets in MC samples, accounting successively for the effects of pile-up, uniformity  
1772 of the detector response, and residual data-simulation jet energy scale differences [90].  
1773 Typical jet energy resolutions reported at  $\sqrt{s} = 8$  TeV in the central rapidities are  
1774 15-20% at 30 GeV and about 10% at 100 GeV [88]. Jet energy corrections are also  
1775 propagated to the missing transverse energy.

1776 Measurements show that the jet energy resolution (JER) in data is worse than  
1777 in simulation, and so the jets in MC need to be smeared to describe the data. JER  
1778 corrections are applied after JEC on MC simulations, and adjust the width of the  $p_T$   
1779 distribution based on pile-up, jet size, and jet flavor [91]. Tools for applying JEC and  
1780 JER are provided centrally by the JER Corrections group.

# 1781 Chapter 6

## 1782 Event selection

1783 This chapter describes how events in data and simulated samples are selected in the  
1784 search for  $h \rightarrow aa \rightarrow bb\tau\tau$ . The event selection is motivated by optimization checks  
1785 aimed at maximizing the final expected limit, and is also based on recommendations  
1786 from CMS Physics Objects Groups. As described in the previous chapter, the tau  
1787 lepton can decay to electrons ( $e$ ), muons ( $\mu$ ), or hadronic states ( $\tau_h$ ). As a result,  
1788 several different final states of the  $\tau\tau$  system are possible, and are here referred to  
1789 as “channels” since they are mutually exclusive. The three  $\tau\tau$  final states studied in  
1790 this analysis are muon and hadronic tau ( $\mu\tau_h$ ), electron and hadronic tau ( $e\tau_h$ ), and  
1791 electron and muon ( $e\mu$ ). The procedure for dividing events into these three channels  
1792 begins with checking the High-Level Trigger paths passed by the events as detailed  
1793 in Section 6.1. Events are further accepted or rejected based on criteria applied to  
1794 the leptons in the event. These event selections are described for the  $\mu\tau_h$  channel in  
1795 Section 6.2, the  $e\tau_h$  channel in Section 6.3, and the  $e\mu$  channel in Section 6.4.

### 1796 6.1 General procedure for all channels

1797 For the search for  $h \rightarrow aa \rightarrow bb\tau\tau$ , three final states of the  $\tau\tau$  system are considered:  
1798  $\mu\tau_h$ ,  $e\tau_h$ , and  $e\mu$ . The  $\tau_h\tau_h$  final state is not considered because signal events in the

1799  $\tau_h\tau_h$  channel would typically produce hadronic taus with momenta below data-taking  
1800 trigger thresholds. In all three final states, events are required to have at least one  
1801 b-tag jet passing the medium working point of the DeepFlavour tagger, with  $p_T > 20$   
1802 GeV, and  $|\eta| < 2.4$ . A second b-tag jet is not required because such a requirement  
1803 would reduce signal acceptance by 80% compared to only requiring one b-tag jet.

1804 Events in MC samples are sorted into one of the three  $\tau\tau$  channels if they pass the  
1805 following trigger requirements and requirements on the offline reconstructed objects  
1806 in the event, first checking the HLT paths for the  $\mu\tau_h$  channel, then  $e\tau_h$ , and finally  $e\mu$ .  
1807 The two leading leptons (e.g. muon and hadronic tau for the  $\mu\tau_h$  channel) that were  
1808 determined to have originated from the  $\tau\tau$  decay, are called the  $\tau\tau$  “legs”. For events  
1809 in data and embedded samples, the HLT paths requirements for the corresponding  
1810 channel are checked.

1811 After sorting events by HLT paths and identifying the leading tau legs in the offline  
1812 reconstructed objects, the  $p_T$  of the offline objects is checked against the online trigger  
1813 thresholds. Trigger matching is also performed, which checks the correspondence  
1814 between each offline reconstructed object used in the analysis (e.g. a muon), and a  
1815 trigger object in the HLT (e.g. a HLT muon). An offline object is considered to be  
1816 matched, if it corresponds to a trigger object of the same object type, with  $\Delta R < 0.5$ .  
1817 This matched trigger object is also required to pass the filter(s) of the HLT trigger.  
1818 The trigger thresholds used for the  $bb\mu\mu$  final state and the  $bb\tau\tau$  final state (the focus  
1819 of this work) are summarized in Tables 6.1.

1820 After checking the HLT paths and trigger objects in each channel, events are  
1821 subject to further selection to ensure that they contain leptons and b-tag jet(s) of in-  
1822 terest. These requirements are summarized in Table 6.2, and detailed in the following  
1823 sections.

Year	Single/dilepton trigger $p_T$	$bb\mu\mu$	$bb\tau\tau$					
			$e\mu$		$e\tau_h$		$\mu\tau_h$	
		$\mu$	$e$	$\mu$	$e$	$\tau_h$	$\mu$	$\tau_h$
2016	Single lepton	24	–	–	25	–	22	–
	$p_T$ -leading lepton	17	23	23	–	–	–	20
	$p_T$ -subleading lepton	8	12	8	–	–	19	–
2017	Single lepton	24	–	–	27, 32	–	24, 27	–
	$p_T$ -leading lepton	17	23	23	–	30	–	27
	$p_T$ -subleading lepton	8	12	8	24	–	20	–
2018	Single lepton	24	–	–	32, 35	–	24, 27	–
	$p_T$ -leading lepton	17	23	23	–	30	–	27
	$p_T$ subleading lepton	8	12	8	24	–	20	–

Table 6.1: Trigger thresholds used for the leptons in the  $bb\mu\mu$  analysis and the  $bb\tau\tau$  analysis (the focus of this work). The thresholds for the three  $bb\tau\tau$  channels ( $e\mu$ ,  $e\tau_h$ , and  $\mu\tau_h$ ) are listed separately, with some channels and years taking the logical OR of two triggers with different thresholds.

## 6.2 Event selection in the $\mu\tau_h$ channel

In all three years, a single muon trigger is used if the muon has sufficiently high  $p_T$ , otherwise a dilepton  $\mu\tau_h$  cross-trigger is used (Tables 6.3, 6.4, and 6.5). For data taken in 2017-2018 (2016), the logical OR of the single muon triggers with online  $p_T$  thresholds 24 and 27 (23) GeV is used, with the corresponding offline muon required to have with  $p_T$  1 GeV above the online threshold. For data taken in 2017-2018 (2016), a dilepton  $\mu + \tau_h$  cross-trigger with  $p_T$  thresholds of 20 (19) and 27 (20) GeV for the muon and tau respectively, is used. The  $\tau_h$  is required to have  $|\eta| < 2.3$  if the single trigger is fired,  $|\eta| < 2.1$ .

The muon and  $\tau_h$  are required to have opposite charge and be separated by  $\Delta R > 0.4$ . The muon is required to have  $|\eta| < 2.4$ , and the  $\tau_h$  is required to have  $|\eta| < 2.3$  unless a cross-trigger is required, in which case we require  $|\eta| < 2.1$  as discussed above.

The muon is required to pass the medium identification (ID) working point [92], which is defined by the Muon POG as a loose muon (i.e. a Particle Flow muon that is either a global or a tracker muon - see Section 5.1.2) with additional requirements

All years (2016, 2017, 2018) and eras				
Kinematic variable	$bb\mu\mu$		$bb\tau\tau$	
	$\mu$	$e\mu$	$e\tau_h$	$\mu\tau_h$
$\Delta R$ between leptons	>0.4	>0.3	>0.4	>0.4
$ \eta $ of electron	-	<2.4	<2.1	-
$ \eta $ of muon	<2.4	<2.4	-	<2.1
$ \eta $ of hadronic tau	-	-	<2.3/< 2.1	<2.3/< 2.1
Relative isolation of electron	-	<0.10	-	<0.15
Relative isolation of muon	<0.25	<0.15	-	<0.15
Leading b-tag jet $p_T$	>15 GeV		>20 GeV	
Leading b-tag jet $ \eta $	<2.4		<2.4	
Leading b-tag jet WP	Tight		Medium	
Sub-leading b-tag jet $p_T$	>15 GeV		-	
Sub-leading b-tag jet $ \eta $	<2.4		-	
Sub-leading b-tag jet WP	Loose		-	
$\Delta R$ between jet(s) and leptons	>0.4		>0.5	

Table 6.2: Summary of requirements applied to the leptons in the  $bb\mu\mu$  analysis and the  $bb\tau\tau$  analysis (the focus of this work).  $\Delta R = \sqrt{(\Delta\eta)^2 + (\Delta\phi)^2}$  is a measure of spatial separation. Relative isolation is defined in Eqn. 5.2 and Section 5.1.2. The b-tag jets are required to pass the listed DeepFlavour working points (WP), which are described in Section 5.1.5. In the  $bb\tau\tau$  analysis, the required  $|\eta|$  of the hadronic taus are listed for the single and cross triggers respectively. The  $bb\mu\mu$  analysis requires two b-tag jets in all events, while the  $bb\tau\tau$  analysis only requires one.

1840 on track quality and muon quality. This identification criteria is designed to be  
1841 highly efficiently for prompt muons and for muons from heavy quark decays. In  
1842 addition to the ID, for prompt muons it is recommended to apply cuts on the impact  
1843 parameter [92]: we apply  $|\Delta(z)| < 0.2$  and  $|\Delta(xy)| < 0.045$ . A cut is applied on the  
1844 muon relative isolation (defined in Section 5.1.2), to be less than 0.15 in a cone size of  
1845  $\Delta R = 0.4$ , which corresponds to the Tight Particle Flow isolation requirement [92].

1846 The  $\tau_h$  is required to pass a cut on its impact parameter of  $|\Delta(z)| < 0.2$ . The  $\tau_h$   
1847 is also required to pass the VLoose (Very Loose) DeepTau working point vs. elec-  
1848 tron, the Tight DeepTau working point vs. muons, and the VVVLoose and Medium  
1849 DeepTau working point vs. jets. Events with taus reconstructed in two of the decay  
1850 modes (labeled 5 and 6) are rejected, since these decay modes are meant to recover  
1851 3-prong taus, but are only recommended for use in analyses where the benefits in final  
1852 significance outweigh the resulting increase in background [65]. Decays reconstructed  
1853 with 2 prongs are not considered as they are only recommended for taus with a very  
1854 high transverse momentum, where the prongs may overlap.

1855 For the estimation of the background from jets faking  $\tau_h$ , which is described in Sec-  
1856 tion 7.7, anti-isolated events are selected, by requiring events to pass all the selections  
1857 described above, except failing the Medium DeepTau working point vs. jets.

### 1858 6.3 Event selection in the $e\tau_h$ channel

1859 The HLT trigger paths for the  $e\tau_h$  channel are summarized in Tables 6.3, 6.4, and  
1860 6.5. Similarly to the  $\mu\tau_h$  channel, a single electron trigger is used if the electron has  
1861 sufficiently high  $p_T$  in 2018 and 2017. For data taken in 2018 (2017), the OR of the  
1862 single electron triggers with online  $p_T$  thresholds at 32 and 35 (27 and 32) GeV are  
1863 used, with the corresponding offline electrons required to have  $p_T$  greater than 33  
1864 (28) GeV. A  $e + \tau_h$  cross-trigger is used for electrons with lower offline  $p_T$  between

1865 25 and 33 GeV (25 and 28 GeV). For the 2016 dataset, there is no cross trigger but  
1866 only a single electron trigger with online  $p_T$  threshold at 25 GeV, which is used if the  
1867 offline electron has  $p_T$  greater than 26 GeV.

1868 The electron and  $\tau_h$  are required to have opposite charge and be separated by  
1869  $\Delta R > 0.4$ . The electron is required to be within  $|\eta| < 2.3$  when no cross trigger is  
1870 used, and  $|\eta| < 2.1$  when the cross trigger is fired. The  $\tau_h$  is required to have  $|\eta| < 2.3$   
1871 if no cross trigger is fired, and have  $|\eta| < 2.1$  if the cross trigger is fired.

1872 The electron is required to have a relative isolation (same definition as in Section  
1873 5.1.2) of less than 0.1 in a cone size of  $\Delta R = 0.3$ , which is the standard recommended  
1874 cone size giving minimal pile-up dependence and reduced probability of other objects  
1875 overlapping with the cone. The isolation quantity used includes an “effective area”  
1876 (EA) correction to remove the effect of pile-up in the barrel and endcap parts of the  
1877 detector [93]. The electron is also required to pass cuts on its impact parameter of  
1878  $|\Delta(z)| < 0.2$  and  $|\Delta(xy)| < 0.045$ . It is also required to pass the non-isolated MVA  
1879 working point corresponding to 90% efficiency. The electron’s number of missing hits,  
1880 which are gaps in its trajectory through the inner tracker [93], must be less than or  
1881 equal to 1. The electron must pass a conversion veto, which rejects electrons coming  
1882 from photon conversions in the tracker, which should instead be reconstructed as part  
1883 of the photon [93].

1884 The impact parameter cut for the  $\tau_h$  is  $|\Delta(z)| < 0.2$ . In contrast to the  $\mu\tau_h$  event  
1885 selection, the vs. electron and vs. muon DeepTau working points are flipped, to  
1886 reject muons faking the  $\tau_h$  leg. The  $\tau_h$  is required to pass the Tight DeepTau working  
1887 point vs. electrons, the VLoose DeepTau working point vs. muons, and the Medium  
1888 DeepTau working point vs. jets.

1889 As in the  $\mu\tau_h$  channel, for the estimation of the background from jets faking  $\tau_h$ ,  
1890 which is described in Section 7.7, anti-isolated events are selected by requiring events  
1891 to pass all the selections described above, except failing the Medium DeepTau working

1892 point vs. jets.

## 1893 6.4 Event selection in the $e\mu$ channel

1894 The HLT trigger paths for the  $e\mu$  channel are summarized in Tables 6.3, 6.4, and  
1895 6.5. Events are selected with the logical OR of two  $e + \mu$  cross triggers, where either  
1896 the electron or muon can have larger  $p_T$ : (1) leading electron, where the electron has  
1897 online  $p_T > 23$  GeV and muon has online  $p_T > 8$  GeV, or (2) leading muon, where  
1898 electron has online  $p_T > 12$  GeV and muon has online  $p_T > 23$  GeV.

1899 The leading and sub-leading leptons are required to have an offline  $p_T$  greater  
1900 than 1 GeV above the online threshold (i.e.  $p_T > 24$  GeV). If the sub-leading lepton  
1901 is the electron, the offline  $p_T$  threshold is 1 GeV above the online threshold ( $p_T > 13$   
1902 GeV), but if it is a muon, the offline  $p_T$  threshold is required to be at least 5 GeV  
1903 greater than the online threshold (i.e.  $p_T > 13$  GeV). This is because of poor data  
1904 and simulation agreement for low- $p_T$  muons with  $p_T$  between 9 GeV and 13 GeV, and  
1905 the higher probability of mis-identifying jets as muons at lower  $p_T$ . With no effect on  
1906 the expected limits, the offline  $p_T$  threshold for muons is raised to 13 GeV instead of  
1907 9 GeV, even though it may lead to loss in signal acceptance. Both the electron and  
1908 muon are required to have  $|\eta| < 2.4$ .

1909 The electron and muon are required to have opposite charge and be separated  
1910 by  $\Delta R > 0.3$  (note the decreased separation requirement compared to the other  
1911 two channels). The electron is required to pass the non-isolated MVA identification  
1912 working point corresponding to 90% efficiency, and to have a relative isolation less  
1913 than 0.1 for a cone size of  $\Delta R = 0.3$  with the EA pile-up subtraction correction.  
1914 The electron must have one or fewer missing hits and pass the conversion veto (both  
1915 described previously in Section 6.3).

1916 The muon is required to pass the medium identification working point (described

1917 earlier in 6.2), and to have a relative isolation less than 0.15 for a cone size of  $\Delta R =$   
1918 0.4. The muon impact parameter is required to have  $|\Delta(z)| > 0.2$  and  $|\Delta(xy)| < 0.045$ .

1919 For the QCD multijet background estimation described in Section 7.8, the same-  
1920 sign region is selected by requiring all the above selections, except the legs are required  
1921 to have the same electric charge rather than opposite.

2016 $\mu\tau_h$ trigger paths	
Notes	HLT Path
	HLT_IsoMu22_v
	HLT_IsoMu22_eta2p1_v
	HLT_IsoTkMu22_v
	HLT_IsoTkMu22_eta2p1_v
	HLT_IsoMu19_eta2p1_LooseIsoPFTau20_v
	HLT_IsoMu19_eta2p1_LooseIsoPFTau20_SingleL1_v
2016 $e\tau_h$ trigger paths	
Notes	HLT Path
	HLT_Ele25_eta2p1_WPTight_Gsf_v
2016 $e\mu$ trigger paths	
Notes	HLT Path
runs B-F and MC	HLT_Mu23_TrkIsoVVL_Ele12_CaloIdL_TrackIdL_IsoVL_v
runs B-F and MC	HLT_Mu8_TrkIsoVVL_Ele23_CaloIdL_TrackIdL_IsoVL_v
runs G-H	HLT_Mu23_TrkIsoVVL_Ele12_CaloIdL_TrackIdL_IsoVL_DZ_v
runs G-H	HLT_Mu8_TrkIsoVVL_Ele23_CaloIdL_TrackIdL_IsoVL_DZ_v

Table 6.3: High-Level Trigger (HLT) paths used to select data and simulation events in 2016 for the three  $\tau\tau$  channels.

## 1922 6.5 Extra lepton vetoes in all channels

1923 Events containing a third lepton (electron or muon) that is neither of the leading  $\tau\tau$   
1924 legs are rejected, and events with di-muons and di-electrons are vetoed, with criteria  
1925 taken from the Standard Model  $H \rightarrow \tau\tau$  working group [68]. These vetoes on extra  
1926 leptons also ensure orthogonality of events to analyses such as the  $bb\mu\mu$  final state,  
1927 whose results are combined with this  $bb\tau\tau$  final state as described in Section 10.2.

1928 The event is vetoed if a third electron is found with the following properties:  
1929  $p_T > 10$  GeV,  $|\eta| < 2.5$ , impact parameter  $|\Delta(z)| < 0.2$  and  $|\Delta(xy)| < 0.045$ , passing

2017 $\mu\tau_h$ trigger paths	
Notes	HLT Path
	HLT_IsoMu24_v
	HLT_IsoMu27_v
	HLT_IsoMu20_eta2p1_LooseChargedIso_PFTau27_eta2p1_CrossL1_v
2017 $e\tau_h$ trigger paths	
Notes	HLT Path
	HLT_Ele32_WPTight_Gsf_v
	HLT_Ele35_WPTight_Gsf_v
	HLT_Ele24_eta2p1_WPTight_Gsf_Loose_ChargedIsoPFTau30_eta2p1_CrossL1_v
2017 $e\mu$ trigger paths	
Notes	HLT Path
	HLT_Mu23_TrkIsoVVL_Ele12_CaloIdL_TrackIdL_IsoVL_DZ_v
	HLT_Mu8_TrkIsoVVL_Ele23_CaloIdL_TrackIdL_IsoVL_DZ_v

Table 6.4: High-Level Trigger (HLT) paths used to select data and simulation events in 2017 for the three  $\tau\tau$  channels.

1930 non-isolation MVA identification with 90% efficiency, conversion veto,  $\leq 1$  missing  
 1931 hits, and relative isolation  $< 0.3$  with cone size  $\Delta R = 0.3$ . The event is also vetoed if  
 1932 a third muon is found with the following properties:  $p_T > 10$  GeV,  $|\eta| < 2.4$ , impact  
 1933 parameter  $|\Delta(z)| < 0.2$  and  $|\Delta(xy)| < 0.045$ , medium ID, and isolation  $< 0.3$  with  
 1934 cone size  $\Delta R = 0.4$ .

1935 A di-muon veto is applied, which rejects events containing a pair of muons with  
 1936 opposite charge and separation of  $\Delta R > 0.15$ , that both pass the following selections:  
 1937  $p_T > 15$  GeV,  $|\eta| < 2.4$ , flag for global muons, flag for tracker muon, flag for Particle  
 1938 Flow muon,  $|\Delta(z)| < 0.2$ ,  $|\Delta(xy)| < 0.045$ , and isolation  $< 0.3$  with cone size  $\Delta R =$   
 1939 0.4. A similar di-electron veto is applied to reject events containing a pair of electrons  
 1940 with opposite charge and separation of  $\Delta R > 0.15$ , that both pass the following  
 1941 selections:  $p_T > 15$  GeV,  $|\eta| < 2.5$ , a dedicated electron ID (cut-based) for vetoing  
 1942 third leptons,  $|\Delta(z)| < 0.2$ ,  $|\Delta(xy)| < 0.045$ , with pile-up corrected relative isolation  
 1943  $< 0.3$  with cone size  $\Delta R = 0.3$ .

2018 $\mu\tau_h$ trigger paths	
Notes	HLT Path
	HLT_IsoMu24_v
	HLT_IsoMu27_v
only data run < 317509	HLT_IsoMu20_eta2p1_ (contd.)
	LooseChargedIsoPFTauHPS27_eta2p1_CrossL1_v
MC and data run $\geq$ 317509	HLT_IsoMu20_eta2p1_ (contd.)
	LooseChargedIsoPFTauHPS27_eta2p1_TightID_CrossL1_v
2018 $e\tau_h$ trigger paths	
Notes	HLT Path
	HLT_Ele32_WPTight_Gsf_v
	HLT_Ele35_WPTight_Gsf_v
only data run < 317509	HLT_Ele24_eta2p1_WPTight_Gsf_ (contd.)
	LooseChargedIsoPFTauHPS30_eta2p1_CrossL1_v
MC and data run $\geq$ 317509	HLT_Ele24_eta2p1_WPTight_Gsf_ (contd.)
	LooseChargedIsoPFTauHPS30_eta2p1_TightID_CrossL1_v
2018 $e\mu$ trigger paths	
Notes	HLT Path
	HLT_Mu23_TrkIsoVVL_Ele12_CaloIdL_TrackIdL_IsoVL_DZ_v
	HLT_Mu8_TrkIsoVVL_Ele23_CaloIdL_TrackIdL_IsoVL_DZ_v

Table 6.5: High-Level Trigger (HLT) paths used to select data and simulation events in 2018 for the three  $\tau\tau$  channels. In 2018 a HLT trigger path using the hadron plus strips (HPS) tau reconstruction algorithm became available.

# 1944 Chapter 7

## 1945 Background estimation

1946 This section describes methods used to estimate backgrounds from Standard Model  
1947 processes in the search for  $h \rightarrow aa \rightarrow bb\tau\tau$ . The background contributions directly  
1948 taken from MC are described in Sections 7.1 to 7.6. Section 7.7 describes the data-  
1949 driven method for estimating backgrounds from jets faking hadronic tau decays (jet  
1950  $\rightarrow \tau_h$ ), which is used in the  $\mu\tau_h$  and  $e\tau_h$  channels. Section 7.8 describes the data-driven  
1951 method for estimating background from quantum chromodynamic (QCD) processes  
1952 in the  $e\mu$  channel.

### 1953 7.1 Z+jets

1954 A major source of background for  $\tau\tau$  analyses is the Drell-Yan (DY) process (Z+jets).  
1955 The Z boson decays to  $\tau\tau/\mu\mu/ee$  with equal probability of 3.4% each, with the domi-  
1956 nant decay modes being to hadrons (around 70%) and neutrinos (invisible) (20%) [26].  
1957 The Drell-Yan contribution with genuine taus,  $Z \rightarrow \tau\tau$ , is estimated using embed-  
1958 ded samples, described in Section 4.3. To avoid double-counting between embedded  
1959 and MC samples, in all MC samples, events with legs that originated from genuine  $\tau$   
1960 are discarded.

1961 The other decays of the Z,  $Z \rightarrow ee$  and  $Z \rightarrow \mu\mu$ , are estimated from MC simulation,

1962 and are hereafter referred to as simply the Drell-Yan background. These MC samples  
1963 are generated to leading order (LO) with different numbers of jets (jet multiplicity) in  
1964 the matrix element: Z+1 jet, Z+2jets, Z+3 jets, Z+4 jets, and inclusive Z+jets. The  
1965 cross-sections of the samples with  $\geq 1$  jets are normalized to next-to-NLO (NNLO)  
1966 in QCD. For the inclusive Drell-Yan sample, two samples are used with different  
1967 thresholds for the di-lepton invariant mass ( $m_{\ell\ell}$ ) at the generator level: one with  
1968  $m_{\ell\ell} > 50$  GeV and the other with  $10 < m_{\ell\ell} < 50$ .

## 1969 **7.2 W+jets**

1970 The dominant W boson decay modes are to hadrons (67.4%),  $e + \nu_e$  (10.7%),  $\mu + \nu_\mu$   
1971 (10.6%), and  $\tau + \nu_\tau$  (11.4%) [26]. The W+jets background is estimated from MC  
1972 simulation. Similarly to the Z+jets, the W+jets samples are generated with different  
1973 jet multiplicities in the matrix element. LO samples are used for greater statistics  
1974 and are normalized to NNLO cross sections.

## 1975 **7.3 $t\bar{t}$ + jets**

1976 In hadron collisions, top quarks are produced singly with the weak interaction, or in  
1977 pairs via the strong interaction, with interference between these leading-order pro-  
1978 cesses possible in higher orders of the perturbation theory. The top quark is the  
1979 heaviest fermion in the Standard Model and has a short lifetime ( $\sim 10^{-25}$  s), decay-  
1980 ing without hadronization into a bottom quark and a W boson [26], with the decay  
1981 modes of the W boson as listed in the previous section. With two top quarks, the  
1982 final states of the two resulting W bosons can be described as fully leptonic, semilep-  
1983 tonic, and fully hadronic. These three final states are modeled separately with MC  
1984 simulation in 2018 and 2017, while for 2016 the sample used is inclusive.

## **7.4 Single top**

There are three main production modes of the single top in  $pp$  collisions [94]: the exchange of a virtual W boson ( $t$  channel), the production and decay of a virtual W boson ( $s$  channel), and the associated production of a top quark and W boson ( $tW$ , or W-associated) channel. As the  $s$  channel process is rare and only 3% of the total production, the dominant production mode of the  $t$ -channel and the  $tW$  production are considered and modeled with MC.

## **7.5 Diboson**

In  $pp$  collisions, the production of dibosons (pairs of electroweak gauge bosons, i.e. WW, WZ, and ZZ) is dominated by quark-antiquark annihilation, with a small contribution from gluon-gluon interaction [95]. MC is used to model the pair production and decays of VV to  $2\ell 2\nu$ , WZ to  $2q 2\ell$  and  $3\ell\nu$ , and ZZ to  $4\ell$  and  $2q 2\ell$  ( $q$  being quarks and  $\ell$  being leptons).

## **7.6 Standard Model Higgs**

MC is used to simulate backgrounds from major production modes of the Standard Model 125 GeV Higgs boson: gluon-gluon fusion (ggH), vector boson fusion (VBF), associated production with a W or Z (WH, ZH), and associated production with a top pair (ttH) (see Fig. 7.1 for leading-order diagrams). For these production modes, samples with the Higgs decaying to  $\tau\tau$  or to  $WW$  are used. Samples made with higher-order diagrams for WH and ZH that include the production of a jet, with the Higgs decaying to WW, are also used.

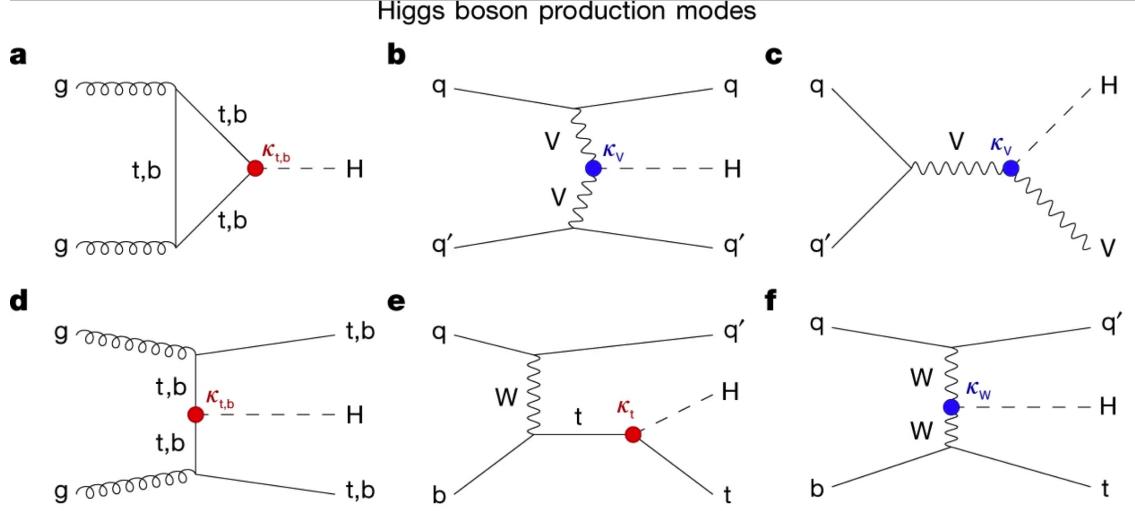


Figure 7.1: Leading-order Feynman diagrams of Higgs production from [96], in ggH (a) and vector boson fusion (VBF; b), associated production with a W or Z (V) boson (VH; c), associated production with a top or bottom quark pair (ttH or bbH); d, and associated production with a single top quark (tH; e, f).

## 2006 7.7 Jet faking $\tau_h$

2007 Events with a jet mis-reconstructed as the hadronic tau leg  $\tau_h$  are a major source of  
 2008 background in the  $\mu\tau_h$  and  $e\tau_h$  channels. The main processes contributing to jet  $\rightarrow \tau_h$   
 2009 events are QCD multijet, W+jets, and  $t\bar{t}$  production. These events are estimated  
 2010 using a data-driven method adapted from past analyses [50] [84]. This background  
 2011 includes contributions from W+jets, QCD multijets, and  $t\bar{t}$ +jets. To estimate this  
 2012 background, a sideband region is constructed, where events are required to pass all  
 2013 baseline  $\mu\tau_h/e\tau_h$  selection criteria, but fail the  $\tau_h$  isolation criteria. The events in  
 2014 this sideband region are reweighed with a factor  $f/(1 - f)$ , where  $f$  is the probability  
 2015 for a jet to be misidentified as a  $\tau_h$ . The jet  $\rightarrow \tau_h$  background is the anti-isolated,  
 2016 reweighed MC and embedded events subtracted from the anti-isolated, reweighted  
 2017 data events.

2018 The fake factor is measured in  $Z \rightarrow \mu\mu + \text{jets}$  events in data in the  $\mu\mu\tau_h$  final  
 2019 state, as any reconstructed  $\tau_h$  in these events must originate from a jet. The two  
 2020 muons are required to be isolated ( $< 0.15$ ), have opposite electric charge, and have

2021 an invariant mass between 76 and 106 GeV (close to the Z mass). These events are  
2022 selected with a double muon trigger, with the leading muon having offline  $p_T > 20$   
2023 GeV and the subleading muon  $p_T > 10$  GeV. Simulated diboson (ZZ and WZ) events  
2024 are subtracted to avoid contamination from events with real  $\tau_h$ . The denominator of  
2025 the fake rate corresponds to fake taus passing the VVVLoose working point of the  
2026 discriminator vs. jets, while the numerator corresponds to those passing the Medium  
2027 working point, i.e.  $f = N_{\text{jet passing tight}} / N_{\text{jet passing loose}}$ .

2028  $f$  is measured as a function of the  $\tau_h$  transverse momentum and is 8% - 10% in  
2029 each of the data-taking years.  $f$  is derived separately for the  $\mu\tau_h$  and  $e\tau_h$  channels  
2030 because the channels use different anti-lepton identification working points.

## 2031 7.8 QCD multijet background

2032 In the  $e\mu$  channel, events with jets faking electrons or muons originating from QCD  
2033 multijet, is estimated from data events with the same baseline selection as in the  
2034 signal region, except with same-signed (SS) charged  $e + \mu$ , ensuring orthogonality  
2035 with the signal region which requires opposite-sign (OS)  $e\mu$  pairs. All same-sign MC  
2036 events (both events with real and fake  $e + \mu$ ) are subtracted from same-sign data  
2037 events to remove contamination from other backgrounds. i.e.  $\text{QCD}_{\text{SS}} = \text{Data}_{\text{SS}} -$   
2038  $\text{MC}_{\text{SS}}$ .

2039 Three scale factors are applied to the  $\text{QCD}_{\text{SS}}$  events to compute the QCD multijet  
2040 background [84] [40]:

- 2041 • *OS-to-SS scale factor*: This scales the SS QCD to the OS region, and is mea-  
2042 sured from an orthogonal region with an isolated electron and an anti-isolated  
2043 muon. Only the muon is chosen to be anti-isolated because this scale factor was  
2044 observed to depend more strongly on electron isolation than that of the muon.  
2045 This scale factor is treated as a function of the  $\Delta R$  separation of the trajectories

2046 of the electron and muon, and is measured separately for events with 0 jets, 1,  
2047 jet, and greater than 1 jet.

- 2048 • *2D closure correction for the lepton  $p_T$ :* This factor accounts for subleading  
2049 dependencies of the first scale factor on the  $p_T$  of the two leptons. A 2D weight  
2050 is derived in a similar fashion, as a ratio of  $\text{QCD}_{OS}$  events to  $\text{QCD}_{SS}$  events,  
2051 but parameterized by both electron and muon  $p_T$ , where the SS events have the  
2052 previous scale factor applied.
- 2053 • *Isolation correction for the muon:* The third and final factor is an isolation  
2054 correction, which is a bias correction to account for the fact that the fake  
2055 factor was determined for less-isolated muons. This factor is obtained as the  
2056 ratio of the OS-to-SS scale factors measured in two other control regions: (1)  
2057 events where the electron is anti-isolated ( $0.15 < \text{iso} < 0.5$ ) and the muon is  
2058 isolated, and (2) events where both leptons are anti-isolated.

2059 **Chapter 8**

2060 **Systematic uncertainties**

2061 Uncertainties in the measurement of a physical observable can be statistical or sys-  
2062 tematic in nature. Statistical uncertainties originate from limitations on the number  
2063 of events and experiments that can be performed. Systematic uncertainties arise  
2064 from the dependence of the physical observable on quantities whose exact values are  
2065 unknown and which can only be modeled imperfectly.

2066 The handling of systematic uncertainties is separated into normalization uncer-  
2067 tainties (those that affect the total yield of a variables' distribution) and shape un-  
2068 certainties (those that shift the distribution of events). Normalization uncertainties  
2069 are expressed as multiplicative factors, while shape uncertainties are represented as  
2070 up and down shifts of a variable's distribution.

2071 Up/down shifts of shape uncertainties can change the number of background  
2072 events in a distribution. For instance, hadronic taus receive corrections from the  
2073 nominal tau energy scale, with the nominal, up, and down energy scales provided  
2074 centrally by CMS. For the  $\mu\tau_h$  channel, an event could have a  $\tau_h$  with  $p_T$  just below  
2075 the offline threshold of 20 GeV (for instance, 19.5 GeV), so in the nominal distribution  
2076 of  $m_{\tau\tau}$  (or any other variable for this channel), the event is excluded. However, when  
2077 we build our distributions with the tau energy scale “up” shift, the energy of this  $\tau_h$

2078 may be scaled up to, say, 20.5 GeV, and now the event passes the offline  $p_T$  threshold  
2079 for the single muon trigger, leading to the event’s inclusion in the distributions made  
2080 with the tau energy scale “up” shift.

2081 In evaluating the up and down shifts of a specific source of uncertainty, all other  
2082 corrections and scale factors are held at their nominal values, and the full chain of  
2083 object and event selection and event categorization is performed to obtain the observ-  
2084 able distributions. Any “downstream” variables that depend on the shifted variable,  
2085 e.g. the invariant di-tau mass  $m_{\tau\tau}$ , must be computed for the nominal case, and then  
2086 re-computed separately for each up and down shift of the tau legs’ energy scale. The  
2087 objective of this process is to quantify the effect of a single source of uncertainty on  
2088 the resulting observable distributions. Each scale factor and correction described in  
2089 Section 5.3 has an associated uncertainty. The binning of the uncertainties follows  
2090 that of the nominal scale factor value.

2091 Sections 8.1 to 8.5 describe uncertainties associated with physics objects, and  
2092 Sections 8.6 and 8.7 describe uncertainties associated with sample-level effects. The  
2093 pulls and impacts for the top sixty most important systematics are shown in Section  
2094 8.8.

## 2095 8.1 Uncertainties in the lepton energy scales

2096 The uncertainties in the tau energy scales [65] are binned by the tau decay mode and  
2097 are taken as shape uncertainties treated as uncorrelated across the tau decay modes  
2098 and years. Same as with the application of the nominal scale factor, when applying  
2099 the up or down shifts, the missing transverse energy ( $p_T^{\text{miss}}$ ) of the event is adjusted  
2100 so that the 4-vector sum of the tau  $p_T^{\text{miss}}$  is unchanged.

2101 The uncertainties in the muon energy scale [66] are 0.4% for  $|\eta| < 1.2$ , 0.9% for  
2102  $1.2 < |\eta| < 2.1$ , and 2.7% for  $2.1 < |\eta| < 2.4$ , and are treated as shape uncertainties,

2103 fully uncorrelated between embedded and MC samples.

2104 The uncertainties in the electron energy scale [69] in MC are binned in the electron  
2105  $|\eta|$  and  $p_T$ , and are shown in Fig. 5.2. The uncertainties range from 0.5% to 2.2% in  
2106 the barrel, and 0.3% to 4.1% in the endcap, across the  $p_T$  range. The uncertainties  
2107 for the embedded sample are binned only in  $|\eta|$  and are on the order of 0.5% and  
2108 1.25% for the barrel and endcap [73].

2109 There are also uncertainties in the energy scales for electrons and muons misiden-  
2110 tified as  $\tau_h$ . The uncertainty for muons misidentified as  $\tau_h$  is 1% [65]. For electrons  
2111 misidentified as  $\tau_h$ , the uncertainty is binned in barrel/endcap  $\eta$  and by 1-prong and  
2112 1-prong +  $\pi_0$  decays. The probability for  $e/\mu$  faking a 3-prong decay mode is much  
2113 lower.

## 2114 8.2 Uncertainties from other lepton corrections

2115 Uncertainties associated with the  $\tau_h$  identification efficiencies are treated as shapes,  
2116 uncorrelated across the seven  $p_T$  bins and years. The shape uncertainties in the em-  
2117 bedded samples are taken as 50% correlated with those of the MC samples. The  
2118 uncertainties on electron and muon identification efficiencies are taken as normaliza-  
2119 tion uncertainties of 2% each, with a 50% correlation between embedded and MC  
2120 samples.

2121 In the  $e\tau_h$  channel, there is an additional uncertainty for the vs. jet discrimination  
2122 efficiency [65], because the analysis uses a looser anti-lepton working point (VLoose  
2123 WP) than the working points used in the measurement of the efficiency (namely,  
2124 VLoose WP vs e, and Tight WP vs mu). For nominal  $\tau_h p_T < 100$  GeV, an additional  
2125 uncertainty of 3% (5%) is used in MC (embedded), and for high  $p_T$  an uncertainty of  
2126 15% is used for both.

2127 The uncertainties in trigger efficiencies are taken as shapes [65]. In the  $e\tau_h$  and  $\mu\tau_h$

2128 channels, there are uncertainties for the single and cross lepton triggers, and in the  
2129  $e\mu$  channel there is one uncertainty each for the two  $e + \mu$  triggers, and one combined  
2130 uncertainty since their trigger phase spaces are not mutually exclusive.

## 2131 **8.3 Uncertainties from jet energy scale and reso- 2132 lution**

2133 The jet energy scale uncertainties are taken as shape uncertainties: there are eleven  
2134 in total, with seven correlated across years (labeled “Year” below) and the remainder  
2135 uncorrelated across years. They affect the b-tag jet  $p_T$  and mass, and hence the  
2136 missing transverse energy  $p_T^{\text{miss}}$ . The shifts are propagated through the b-tagging  
2137 scale factor calculation and b-tag jet counting.

2138 The uncertainties in the jet energy correction and resolution [88] [97] are as follows:

- 2139 • *Absolute, AbsoluteYear*: flat absolute scale uncertainties.
- 2140 • *BBEC1, BBEC1Year*: for sub-detector regions, with barrel “BB” in  $|\eta| < 1.3$   
2141 and endcap region 1 “EC1”:  $1.3 < |\eta| < 2.5$ .
- 2142 • *EC2, EC2 year*: for sub-detector regions, with endcap region 2 “EC2” in  $2.5 <$   
2143  $|\eta| < 3.0$ .
- 2144 • *HF, HF year*: for sub-detector regions, with hadron forward “HF” in  $|\eta| > 3$ .
- 2145 • *FlavorQCD*: for uncertainty in jet flavor (uds/c/b-quark and gluon) estimates  
2146 based on comparing Pythia and Herwig (different MC generator) predictions.
- 2147 • *RelativeBal*: account for difference between log-linear fits of the two methods  
2148 used to study the jet energy response: MPF (missing transverse momentum  
2149 projection fraction) and  $p_T$  balance.

- 2150        • *RelativeSample*: account for  $\eta$ -dependent uncertainty due to a difference be-  
2151        tween relative residuals, observed with dijet and Z+jets in Run D of 2018 data.
- 2152        • *JetResolution*: uncertainty in the jet energy resolution.

## 2153        8.4 Uncertainties from b-tagging scale factors

2154        The b-tagging scale factor has its own set of associated uncertainties (not to be  
2155        confused with shifts in the b-tagging scale factor due to the propagation of the jet  
2156        energy scale uncertainties described in the previous section 8.3). They are:

- 2157        • *hf*: contamination from heavy flavor (b+c) jets in the light flavor region.
- 2158        • *hfstats1, hfstats2*: linear and quadratic statistical fluctuations from b-flavor jets.
- 2159        • *lf*: contamination from light flavor (udsg+c jets) in the heavy flavor region.
- 2160        • *lfstats1, lfstats2*: linear and quadratic statistical fluctuations from udsg jets.
- 2161        • *cferr, cferr2*: uncertainty for charm jets.

2162        The variations for “lf, hf, hfstats1/2, lfstats1/2” are applied to both b and udsg jets.  
2163        For c-flavor jets, only “cferr1/2” is applied.

## 2164        8.5 Uncertainties from MET

2165        Samples where recoil corrections were applied (Z+jets, W+jets, and Standard Model  
2166        Higgs, as described in Section 5.3) have uncertainties from the response and resolution  
2167        of the hadronic recoil against the leptonic system. These are each binned in jet  
2168        multiplicity.

## 2169 8.6 Uncertainties associated with samples used

2170 Normalization uncertainties related to the samples used are:

- 2171 • *Cross-section uncertainties*:  $\sigma(t\bar{t})$ : 4.2%,  $\sigma(\text{diboson})$ : 5%,  $\sigma(\text{single top})$ : 5%,  
2172  $\sigma(\text{ggH})$ : 3.2%,  $\sigma(\text{qqH})$ : 2.1%,  $\sigma(\text{WH})$ : 1.9%,  $\sigma(\text{ZH})$ : 1.3%,  $\sigma(\text{ttH})$ : 3.6%
- 2173 • *Uncertainties in QCD renormalization scale*: QCD scale(qqH): +0.43%-0.33%,  
2174 QCD scale(WH): +0.5%-0.7%, QCD scale(ttH): +5.8%-9.2%
- 2175 • *Branching ratio uncertainties*:  $\text{BR}(\text{H} \rightarrow \tau\tau)$ : 1.8%, and  $\text{BR}(\text{H} \rightarrow \text{WW})$ : 1.5%.
- 2176 • *Normalization uncertainties*: 2% for Drell-Yan, 4\$ for embedded, 20% pre-fit  
2177 for the QCD multijet background in the  $e\mu$  channel, 20% pre-fit for the jet  
2178 faking background.

2179 The  $t\bar{t}$  process has additional acceptance uncertainties from QCD scale variation  
2180 and parton shower uncertainties [98]. Parton shower uncertainties originate from  
2181 the modeling of perturbative and non-perturbative QCD effects handled in parton  
2182 shower MC generators. The scale variations are determined from the envelope of the  
2183 6 provided shapes due to variations in the factorization scale, renormalization scale,  
2184 and their combined variation [98].

2185 The uncertainty in the Z  $p_T$  reweighting in Drell-Yan samples is taken as a shape  
2186 uncertainty and the up and down values are 0.9 and 1.1 times the nominal reweighting.  
2187 This 10% uncertainty is sufficient to cover uncertainties in the weights derived from  
2188 the discrepancies between LO simulations and data in the di-muon mass in  $Z \rightarrow \mu\mu$   
2189 events.

2190 The weight applied to anti-isolated events in the  $\mu\tau_h$  and  $e\tau_h$  channels to estimate  
2191 the background from jets faking  $\tau_h$ , has shape uncertainties covering uncertainties in  
2192 the derivation of the weight. There are six shape uncertainties corresponding to the  
2193 binning of the fake rate in the  $\tau_h$  transverse momentum. For the weight applied to

2194 scale up anti-isolated events in cross-trigger regions, 20% of the nominal weight is  
2195 taken as a shape uncertainty.

## 2196 8.7 Other uncertainties

2197 A 3.6% yield uncertainty in the signal is used to cover uncertainties in the parton  
2198 distribution functions (PDFs), knowledge of the  $\alpha_s$  (fine structure constant), and  
2199 QCD scale. The size of these uncertainties was estimated by a different analysis  
2200 searching for two light scalars decaying to four muons, which compared the PDFs  
2201 from different model libraries using recommendations from the PDF4LHC Working  
2202 Group [99] [100].

2203 Uncertainties in the luminosity measurements can originate from uncertainties  
2204 in the luminosity calibration in the van de Meer scan procedure and from detector  
2205 operations [43]. Some effects are fully uncorrelated (e.g. if the systematic error is  
2206 limited by the statistical uncertainty in the calibration scans taken independently in  
2207 each year), and some are correlated, for example in the 2017 and 2018 measurements  
2208 which used a method with the same systematic bias. The luminosity normalization  
2209 uncertainties are applied all MC samples, divided into those uncorrelated across years  
2210 (0.26% for 2016, 0.60% for 2017, and 0.65% for 2018), one correlated between 2017  
2211 and 2018 (0.27%), and one correlated between all three years (1.30%) [41] [42] [43] [85].

## 2212 8.8 Pulls and impacts

2213 The top impacts and pulls computed for the combination of all channels and years is  
2214 shown in Fig. 8.1. The top impacts are related to uncertainty in the signal sample and  
2215 cross-section of the  $t\bar{t}$  cross-section, and also the yields of the jet faking  $\tau_h$  background,  
2216 which is a major background in all channels and expected to be constrained due to  
2217 the yield uncertainty which is taken to be 20% pre-fit.

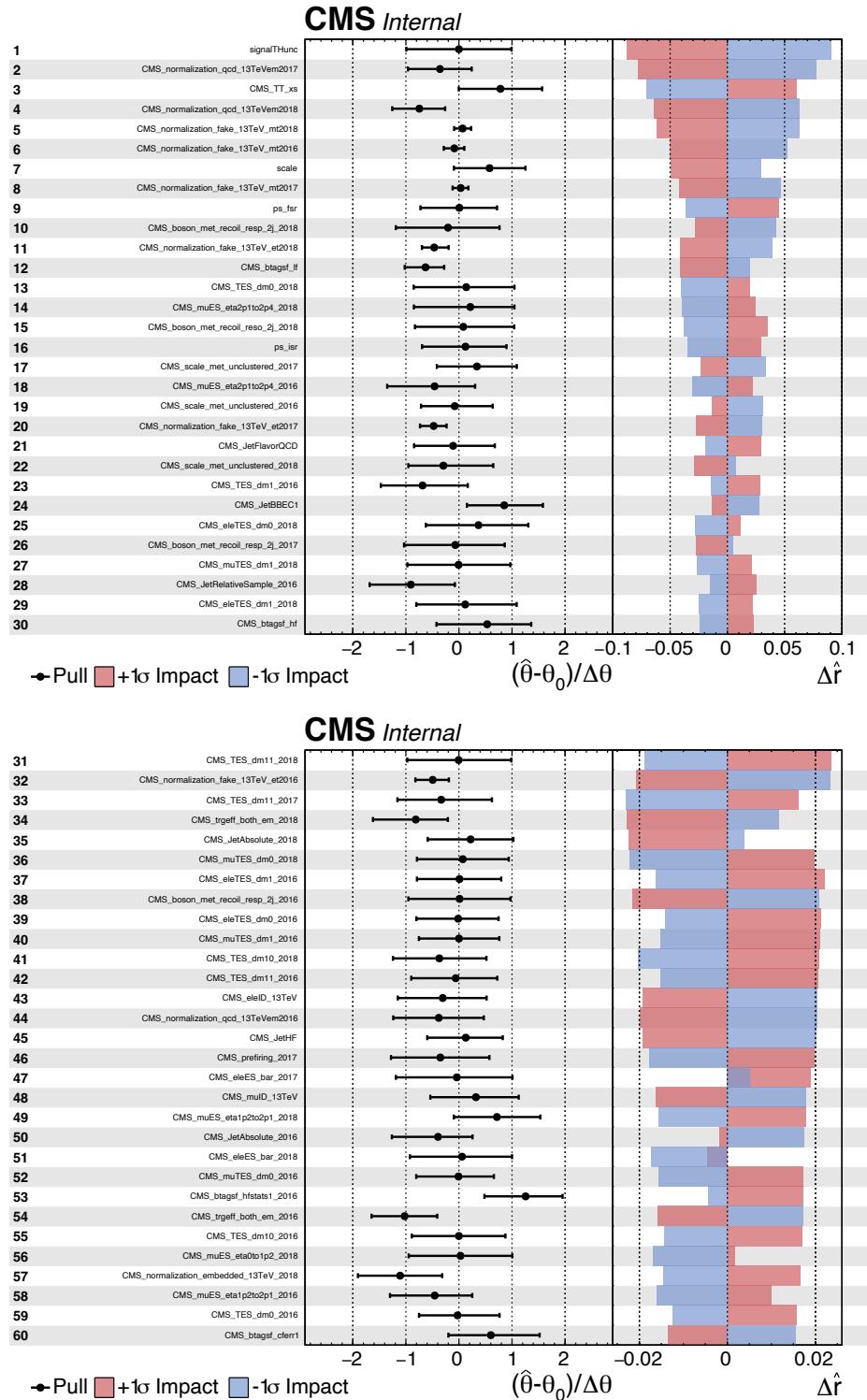


Figure 8.1: Top sixty pulls and impacts for the combination of all channels and years [101].

# 2218 Chapter 9

## 2219 Event categorization and signal 2220 extraction

2221 Measured events are divided into categories, based on cuts on values of observables  
2222 in the event, or some derived quantity based on the observables in the event. The  
2223 objective of event categorization is to divide events into signal regions, where the  
2224 signal is enhanced and the background is suppressed, and control regions, which are  
2225 signal-poor and used to check that the background estimation methods employed in  
2226 the analysis in fact accurately models the data. In this analysis, events in each di-tau  
2227 channel ( $\mu\tau_h$ ,  $e\tau_h$ , and  $e\mu$ ) are selected to contain one or more b-tag jets reconstructed  
2228 in the event as described in Section 9.1. Events are further divided into signal and  
2229 control regions using a deep learning-based approach described in Section 9.2. The  
2230 signal is extracted from the di-tau mass distribution in the signal region using the  
2231 statistical procedure described in Section 9.3.

### 2232 9.1 B-tag jet multiplicity

2233 Compared to the previous CMS  $h \rightarrow aa \rightarrow bb\tau\tau$  analysis which used 2016 data corre-  
2234 sponding to an integrated luminosity of  $35.9 \text{ fb}^{-1}$  [84], this analysis is performed on

the full Run-2 dataset corresponding to an integrated luminosity of  $138 \text{ fb}^{-1}$ . The increased statistics enables the separation of events into events with exactly 1 b-tag jet and events with greater than 1 b-tag jet, which was not possible in the previous analysis. Further event categorization is performed with deep neural networks (DNNs) described below. The DNNs are used only for separating events into signal and control regions in the 1 b-tag and 2 b-tag jets scenarios, and the final results are extracted from the di-tau mass.

## 9.2 DNN-based event categorization

Neural networks for event categorization are trained for each of the  $\mu\tau_h$ ,  $e\tau_h$ , and  $e\mu$  channels, for 1 and 2 b-tag jets, giving  $3 \times 2 = 6$  networks in total for each year. In the training, the signal is taken to be all of the possible pseudoscalar mass  $m_a$  hypotheses added together. The backgrounds for each DNN are taken to be a representative combination of the three major backgrounds:  $Z \rightarrow \tau\tau$ ,  $t\bar{t}+\text{jets}$ , and jet faking  $\tau_h$  backgrounds. The proportions of each background for each channel and b-tag jet multiplicity are taken from the yields in the  $m_{\tau\tau}$  distribution. For instance, in the  $\mu\tau_h$  1 b-tag jet category, the composition of the background for training is 17.4% from  $Z \rightarrow \tau\tau$ , 42.4% from  $t\bar{t}+\text{jets}$ , and 40.2% jet faking  $\tau_h$ .

The input variables capture the key differences between the signal and the background:

- Transverse momentum  $p_T$  of the electron and muon in the  $e\tau_h$  and  $\mu\tau_h$  channels, where the signal tends to have a softer  $p_T$  spectrum (lower energy) than the background.
- $p_T$  of the b-tag jet(s). The signal sample b-tag jet(s) tend to have softer  $p_T$ .
- Invariant masses of the various objects ( $\tau\tau$  legs and the b-tag jet(s)), which tend to be smaller for the signal samples.

- 2260     • The angular separation  $\Delta R$  between pairs of the objects, where signal samples  
 2261       peak at smaller  $\Delta R$  values.
- 2262     • The transverse mass between the missing transverse energy  $p_T^{\text{miss}}$  and each of  
 2263       the four objects [84], defined as

$$m_T(\ell, p_T^{\text{miss}}) \equiv \sqrt{2p_T^\ell \cdot p_T^{\text{miss}}[1 - \cos(\Delta\phi)]} \quad (9.1)$$

2264     where  $p_T^\ell$  is the transverse momentum of the object  $\ell$ , and  $\Delta\phi$  is the difference  
 2265       in azimuthal angle between the object and the  $p_T^{\text{miss}}$ . Events from  $t\bar{t}$ +jets and  
 2266       jets faking  $\tau_h$  backgrounds have larger  $p_T^{\text{miss}}$  resulting in larger transverse mass  
 2267       values compared to the signal, which tends to have smaller  $p_T^{\text{miss}}$  that is also  
 2268       more aligned with the lepton legs.

- 2269     • The variable  $D_\zeta$  [84], defined as

$$D_\zeta \equiv p_\zeta - 0.85p_\zeta^{\text{vis}} \quad (9.2)$$

2270     where the  $\zeta$  axis is the bisector of the transverse directions of the visible  $\tau$  decay  
 2271       products.  $p_\zeta$  is the component of the  $p_T^{\text{miss}}$  along the  $\zeta$  axis, and  $p_\zeta^{\text{vis}}$  is the sum  
 2272       of the components of the lepton  $p_T$  along the same axis. This variable captures  
 2273       the fact that in signal the  $p_T^{\text{miss}}$  is small and approximately aligned with the  $\tau\tau$ .  
 2274       In contrast, the  $Z \rightarrow \tau\tau$  background tends towards large  $D_\zeta$  values because the  
 2275        $p_T^{\text{miss}}$  is collinear to the  $\tau\tau$ , and the  $t\bar{t}$ +jets events tend to have small  $D_\zeta$  due to  
 2276       a large  $p_T^{\text{miss}}$  not aligned with the  $\tau\tau$ .

- 2277     • For events with 2 b-tag jets, one additional variable is defined to capture the  
 2278       difference in the invariant mass of the  $bb$  and the  $\tau\tau$ :

$$\Delta m_{a_1} \equiv (m_{bb} - m_{\tau\tau})/m_{\tau\tau} \quad (9.3)$$

2279 This variable peaks at zero for the  $h \rightarrow aa \rightarrow 2b2\tau$  signal.

2280 The DNN model consists of an input layer, two fully-connected hidden layers,  
2281 and one output layer, which has only one output for this binary classification of  
2282 signal versus background. Two hidden layers were used, as one hidden layer led  
2283 to undertraining, and three hidden layers led to overtraining. One dropout layer  
2284 was inserted after each of the two hidden layers, which set zero weights at nodes  
2285 chosen at a random rate (the dropout rate) during training to reduce overfitting. The  
2286 output node uses a sigmoid activation function to produce a probability-like output  
2287  $0 < y < 1$ , where background samples were assigned a score of 0 and signal samples  
2288 were assigned a score of 1. The training datasets were shuffled and divided into  
2289 training, validation, and test sets, with an equal number of signal and background  
2290 events in each set. Models were trained on the training set, and the performance on  
2291 the training set was compared to the performance on the validation set in order to  
2292 guide the tuning of hyperparameters in the DNN models (e.g. the number of nodes  
2293 in the hidden layers and the dropout rate). The test set was used only to perform an  
2294 unbiased evaluation of the final training.

2295 Events in the data, Monte Carlo, and embedded samples are evaluated with the six  
2296 trained DNNs and assigned a raw score between 0 and 1 (background-like and signal-  
2297 like respectively). In order to flatten the distribution of the score and define score  
2298 thresholds for categorizing events, the raw output scores are transformed with the  
2299 function  $\tilde{p}(n) = \text{arctanh}(p \times \tanh(n))/n$  where  $n$  is a positive integer. The thresholds  
2300 of the DNN score used for signal/control region definition are determined using scans  
2301 that optimize the signal sensitivity and are shown in Tables 9.1 and 9.2.

	1bNN $\tilde{p}(n = 1.5)$			
	SR1	SR2	SR3	CR
$\mu\tau_h$ 2018	$> 0.98$	$\in [0.95, 0.98]$	$\in [0.90, 0.95]$	$< 0.90$
$\mu\tau_h$ 2017	$> 0.97$	$\in [0.94, 0.97]$	$\in [0.90, 0.94]$	$< 0.90$
$\mu\tau_h$ 2016	$> 0.97$	$\in [0.94, 0.97]$	$\in [0.89, 0.94]$	$< 0.89$
	1bNN $\tilde{p}(n = 1.5)$			
	SR1	SR2	SR3	CR
$e\tau_h$ 2018	$> 0.97$	$\in [0.945, 0.97]$	$\in [0.90, 0.945]$	$< 0.90$
$e\tau_h$ 2017	$> 0.985$	$\in [0.965, 0.985]$	$\in [0.93, 0.965]$	$< 0.93$
$e\tau_h$ 2016	$> 0.985$	$\in [0.965, 0.985]$	$\in [0.93, 0.965]$	$< 0.93$
	1bNN $\tilde{p}(n = 2.5)$			
	SR1	SR2	SR3	CR
$e\mu$ 2018	$> 0.99$	$\in [0.95, 0.99]$	$\in [0.85, 0.95]$	$< 0.85$
$e\mu$ 2017	$> 0.985$	$\in [0.95, 0.985]$	$\in [0.85, 0.95]$	$< 0.85$
$e\mu$ 2016	$> 0.99$	$\in [0.95, 0.99]$	$\in [0.85, 0.95]$	$< 0.85$

Table 9.1: Event categorization based on DNN scores for events with exactly 1 b-tag jet (1bNN), for the three  $\tau\tau$  channels and three eras.

	2bNN $\tilde{p}(n = 1.5)$		
	SR1	SR2	CR
$\mu\tau_h$ 2018	$> 0.99$	$\in [0.96, 0.99]$	$< 0.96$
$\mu\tau_h$ 2017	$> 0.98$	$\in [0.94, 0.98]$	$< 0.94$
$\mu\tau_h$ 2016	$> 0.97$	$\in [0.93, 0.97]$	$< 0.93$
	2bNN $\tilde{p}(n = 1.5)$		
	SR1	SR2	CR
$e\tau_h$ 2018	$> 0.96$	NA	$< 0.96$
$e\tau_h$ 2017	$> 0.985$	NA	$< 0.985$
$e\tau_h$ 2016	$> 0.96$	NA	$< 0.96$
	2bNN $\tilde{p}(n = 2.5)$		
	SR1	SR2	CR
$e\mu$ 2018	$> 0.98$	$\in [0.94, 0.98]$	$< 0.94$
$e\mu$ 2017	$> 0.97$	$\in [0.93, 0.97]$	$< 0.93$
$e\mu$ 2016	$> 0.98$	$\in [0.94, 0.98]$	$< 0.94$

Table 9.2: Event categorization based on DNN scores for events with 2 b-tag jets (2bNN), for the three  $\tau\tau$  channels and three eras.

## 2302 9.3 Methodology for signal extraction

2303 After events are divided into categories, the data is compared to the expected back-  
2304 grounds in the signal region categories. Here, we describe the fundamental concepts  
2305 behind hypothesis testing in high-energy physics, as well as how exclusion limits  
2306 can be set on parameters whose true values we cannot measure, culminating in the  
2307 modified frequentist method  $CL_S$  which is used to perform signal extraction in this  
2308 analysis.

### 2309 9.3.1 Model building and parameter estimation

In the frequentist interpretation of probability, an experiment measuring an observable can be repeated, resulting in different values of the observable, e.g. the invariant mass of a candidate Higgs boson in a search for the Higgs [102]. The ensemble of values of the observable  $x$  gives rise to the probability density function (PDF)  $f(x)$ , which has the important property that it is normalized to unity:

$$\int f(x) dx = 1 .$$

A parametric family of PDFs

$$f(x|\alpha) ,$$

2310 read “ $f$  of  $x$  given  $\alpha$ ”, is referred to as a probability model or model. The parameters  $\alpha$   
2311 typically represent parameters of the theory or an unknown property of the detector’s  
2312 response. The parameters are not frequentist in nature, unlike  $x$ . Out of all the  
2313 parameters, typically only a few are of interest, and are called the parameters of  
2314 interest (POI), labeled  $\mu$  here. The remaining are referred to as nuisance parameters  
2315 (NP) [102] and are labeled  $\boldsymbol{\theta}$ .

2316  $f(x)$  is the probability density for the observable in one event and we wish to

2317 describe the probability density for a dataset with many events,  $\mathcal{D} = \{x_1, \dots, x_n\}$ ,  
 2318 called the total probability model  $\mathbf{f}$ . For instance, if we also have a prediction for  
 2319 the total number of events expected, called  $\nu$ , we also account for the overall Poisson  
 2320 probability for observing  $n$  events given  $\nu$  expected:

$$\mathbf{f}(\mathcal{D}|\nu, \alpha) = \text{Poisson}(n|\nu) \prod_{e=1}^n f(x_e|\alpha) \quad (9.4)$$

The likelihood function  $L(\alpha)$  is numerically equivalent to  $f(x|\alpha)$  for fixed  $x$ , or  
 $\mathbf{f}(\mathcal{D}|\alpha)$  with  $\mathcal{D}$  fixed [102]. The likelihood function is not a probability density for  $\alpha$   
 and is not normalized to unity:

$$\int L(\alpha) d(\alpha) \neq 1.$$

2321 i.e. the likelihood function is the value of  $f$  as a function of  $\alpha$  given a fixed value of  
 2322  $x$ .

2323 To estimate the parameter  $\alpha$  we use an estimator, which is a function of the  
 2324 data. Take for example the measurement of data distributed according to a Gaussian  
 2325 probability density  $f(x|\mu, \sigma) = \text{Gauss}(x|\mu, \sigma)$ . One possible estimator of the mean  $\mu$ ,  
 2326 is the mean of the measured data points  $\bar{x} = \sum_{i=1}^n x_i/n$  [102].

2327 A commonly used estimator in physics is the maximum likelihood estimator  
 2328 (MLE), defined as the value  $\hat{\alpha}$  which maximizes the likelihood function  $L(\alpha)$ . This  
 2329 value, labeled  $\hat{\alpha}$ , also maximizes  $\ln L(\alpha)$  and minimizes  $-\ln L(\alpha)$ . By convention the  
 2330  $-\ln L(\alpha)$  is minimized, in a process called “fitting”, and the maximum likelihood  
 2331 estimate is called the “best fit value”.

### 2332 9.3.2 Hypothesis testing

2333 In this section we next introduce concepts related to hypothesis testing such as the  
 2334 test statistic constructed from the ratio of likelihood functions.

2335        The objective of a likelihood analysis is to distinguish different models repre-  
2336        senting the various hypotheses, and determine the one that best explains the ex-  
2337        perimental outcome. In a search for new physics, a signal is additive on top of the  
2338        background. The background-only hypothesis is the null hypothesis, and the signal-  
2339        plus-background hypothesis is the alternative.

2340        As a simple example, take the  $p$ -value test, for an experiment where we count  
2341        events in the signal region,  $n_{SR}$ , and expect  $\nu_B$  background events and  $\nu_S$  events from  
2342        the signal [102]. Then

- 2343        1. The null hypothesis ( $H_0$ ), i.e. the background-only hypothesis in this experi-  
2344        ment, with the probability modeled by  $\text{Poisson}(n_{SR}|\nu_B)$ .
- 2345        2. The alternate hypothesis ( $H_1$ ), i.e. signal-plus-background hypothesis, with the  
2346        probability modeled by  $\text{Poisson}(n_{SR}|(\nu_B + \nu_S))$ .

2347        The compatibility of the observed data  $\nu_{SR}^0$  and the null hypothesis, is quantified as  
2348        the probability that the background-only hypothesis would produce at least as many  
2349        events as was observed. This probability is the  $p$ -value:

$$p = \sum_{n=n_{SR}^0}^{\infty} \text{Poisson}(n|\nu_B). \quad (9.5)$$

2350        If the  $p$ -value is very small, we might reject the null hypothesis. The  $p$ -value is not the  
2351        probability of the null hypothesis given the data; rather, it expresses the probability  
2352        that data with a certain property was obtained, assuming the null hypothesis [102].

2353        The  $p$ -value is an example of a test statistic  $T$ , which maps the data to a single  
2354        real number. The Neyman-Pearson lemma states that out of the infinite possibilities  
2355        of choices of test statistic, the uniformly most powerful test statistic is the likelihood  
2356        ratio  $T_{NP}$  [102]:

$$T_{NP}(\mathcal{D}) = \frac{L(\mathcal{D}|H_1)}{L(\mathcal{D}|H_0)} \quad (9.6)$$

To reiterate, the test statistic  $T$  is a real-valued function of the data, implying that a particular probability model  $\mathbf{f}(\mathcal{D}|\boldsymbol{\alpha})$  implies a distribution of the test statistic,  $f(T|\boldsymbol{\alpha})$ , which depends on the value of  $\boldsymbol{\alpha}$ . With this distribution in hand, the  $p$ -value can be evaluated in the following equivalent formulations:

$$p(\boldsymbol{\alpha}) = \int_{T_0}^{\infty} f(T|\boldsymbol{\alpha}) dT \quad (9.7)$$

$$= \int \mathbf{f}(\mathcal{D}|\boldsymbol{\alpha}) \theta(T(\mathcal{D}) - T_0) d\mathcal{D} \quad (9.8)$$

$$= P(T \geq T_0|\boldsymbol{\alpha}) \quad (9.9)$$

where  $T_0$  is the value of  $T$  based on the observed data, and  $\theta()$  is the Heaviside function. The size of the test is conventionally chosen to be 10%, 5%, or 1%. As the  $p$ -value depends on  $\boldsymbol{\alpha}$  (both the POI and NP), the null hypothesis should not be rejected if the  $p$ -value is larger than the size of the test for any value of the nuisance parameters.

### 9.3.3 Confidence intervals

In an example of the measurement of the Standard Model Higgs boson,  $\boldsymbol{\alpha}_{\text{POI}} = (\sigma/\sigma_{SM}, M_H)$ , with  $\sigma/\sigma_{SM}$  is the ratio of the production cross-section for Higgs with respect to its value in the SM, and  $M_H$  is the unknown mass of the Higgs, values of these parameters outside specific bounds are said to be “excluded at the 95% confidence level”. These allowed regions are called confidence levels or confidence regions, and the parameter values outside of them are considered excluded [102]. A 95% confidence interval does not mean that there is a 95% chance that the true value of the parameter is inside the interval. Rather, a 95% confidence interval covers the

2371 true value 95% of the time (even though we do not know the true value).

2372 To construct a confidence interval for a parameter  $\alpha$ , the Neyman Construction  
2373 is used to invert a series of hypothesis tests; i.e. for each possible value of  $\alpha$ , the null  
2374 hypothesis is treated as  $\alpha$ , and we perform a hypothesis test based on a test statistic.  
2375 To construct a 95% confidence interval, we construct a series of hypothesis tests with  
2376 size of 5%. The confidence interval  $I(\mathcal{D})$  is constructed by taking the set of parameter  
2377 values  $\alpha$  where the null hypothesis is accepted:

$$I(\mathcal{D}) = \{\alpha | P(T(\mathcal{D}) > k_\alpha | \alpha) < \alpha\}, \quad (9.10)$$

2378 where  $T(\mathcal{D})$  is the test statistic, and the last  $\alpha$  (not bolded) and the subscript  $k_\alpha$   
2379 refer to the size of the test. A schematic of the Neyman construction is shown in Fig.  
2380 9.1. In a more generalized case, the  $x$ -axis is the test statistic  $T$ .

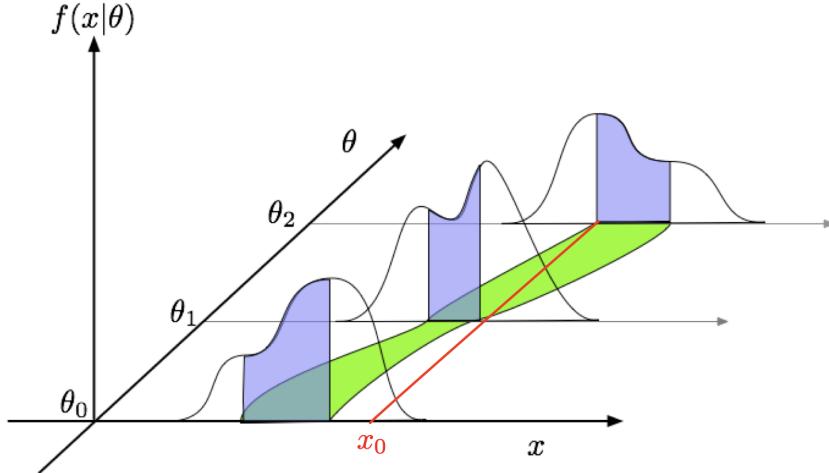


Figure 9.1: Schematic of the Neyman construction for confidence intervals [102]. For each value of  $\theta$ , we find a region in  $x$  where  $\int f(x|\theta)dx$  satisfies the size of the test (blue). These regions form a confidence belt (green). The intersection of the observation  $x_0$  (red) with the confidence belt defines the confidence interval  $[\theta_1, \theta_2]$  [102].

2381    **9.3.4 Profile likelihood ratio**

2382    In this section we describe a frequentist statistical procedure based on the profile  
 2383    likelihood ratio test statistic, which is implemented using asymptotic distributions.

2384    With a multi-parameter likelihood function  $L(\boldsymbol{\alpha})$ , the maximum likelihood of  
 2385    one specific parameter  $\alpha_p$  with other parameters  $\boldsymbol{\alpha}_o$  fixed, is called the conditional  
 2386    maximum likelihood estimate and is denoted  $\hat{\alpha}_p(\boldsymbol{\alpha}_0)$ . The process of choosing specific  
 2387    values of the nuisance parameters for a given value of  $\mu$ ,  $\mathcal{D}_{\text{simulated}}$ , and value of global  
 2388    observables  $\mathcal{G}$  is called profiling. From the full list of parameters  $\boldsymbol{\alpha}$ , we denote the  
 2389    parameter of interest  $\mu$ , and the nuisance parameters  $\boldsymbol{\theta}$ .

2390    We construct the profile likelihood ratio,

$$\lambda(\mu) = \frac{L(\mu, \hat{\boldsymbol{\theta}}(\mu))}{L(\mu, \hat{\boldsymbol{\theta}})} \quad (9.11)$$

2391    which depends explicitly on the parameter of interest  $\mu$ , implicitly on the data  $\mathcal{D}_{\text{sim}}$   
 2392    and global observables  $\mathcal{G}$ , and is independent of the nuisance parameters  $\boldsymbol{\theta}$ , which  
 2393    have been eliminated in profiling [102].

2394    The main conceptual reason for constructing the test statistic from the profile  
 2395    likelihood ratio is that asymptotically (i.e. for measurements with many events) the  
 2396    distribution of the profile likelihood ratio  $\lambda(\mu = \mu_{\text{true}})$  is independent of the values of  
 2397    the nuisance parameters [102].

2398    The following  $p$ -value is used to quantify the consistency with the hypothesis of a  
 2399    signal strength of  $\mu$ :

$$p_\mu = \int_{\tilde{q}_{\mu, \text{obs}}}^{\infty} f(\tilde{q}_\mu | \mu, \hat{\boldsymbol{\theta}}(\mu, \text{obs})) d\tilde{q}_\mu \quad (9.12)$$

### 2400 9.3.5 Modified frequentist method: $CL_S$

2401 In the modified frequentist method called  $CL_S$ , to test a hypothesis with signal, we  
2402 define  $p'_\mu$  as a ratio of  $p$ -values [102]:

$$p'_\mu = \frac{p_\mu}{1 - p_b} \quad (9.13)$$

2403 where  $p_b$  is the  $p$ -value derived under the background-only hypothesis:

$$p_b = 1 - p_0 \equiv 1 - \int_{\tilde{q}_{\mu,\text{obs}}}^{\infty} f(\tilde{q}_\mu | 0, \hat{\theta}(\mu = 0, \text{obs})) d\tilde{q}_\mu. \quad (9.14)$$

2404 The  $CL_S$  upper limit on  $\mu$ , denoted  $\mu_{up}$ , is obtained by solving for  $p'_{\mu_{up}} = 5\%$ .  
2405 If testing the compatibility of the data with the background-only hypothesis, we  
2406 consider the  $p_b$  value defined above and conventionally convert it into the quantile  
2407 or “sigma” of a unit Gaussian.  $z$  standard deviations (e.g.  $z = 5$  in “ $5\sigma$ ”) means  
2408 that the probability of falling above these standard deviations, equals  $p_b$  (e.g.  $3\sigma$   
2409 corresponds to  $p_b = 2.7 \times 10^{-3}$  or 95.43%, and  $5\sigma$  corresponds to  $p_b = 5.7 \times 10^{-7}$  or  
2410 99.999943%).

2411 **Chapter 10**

2412 **Results**

2413 In this chapter, Section 10.1 presents the results from the  $h \rightarrow aa \rightarrow bb\tau\tau$  analysis  
2414 performed on  $137 \text{ fb}^{-1}$  of data from the full CMS Run-2 dataset in the years 2016 to  
2415 2018, with interpretations provided for different 2HDM+S scenarios. This analysis  
2416 was combined with a different search in the  $h \rightarrow aa \rightarrow bb\mu\mu$  final state, which was  
2417 also performed on the full Run-2 dataset. The combination procedure and results  
2418 from the combined analyses ( $h \rightarrow aa \rightarrow bb\ell\ell$ , with  $\ell = \mu, \tau$ ) are detailed in 10.2.  
2419 The combined analysis places some of the most stringent limits to date at CMS for  
2420 2HDM+S scenarios in the light scalar mass range  $m_a = 12 \text{ GeV}$  to  $60 \text{ GeV}$ .

2421 **10.1 Results from  $bb\tau\tau$**

2422 In each of the three  $\tau\tau$  channels studied ( $\mu\tau_h$ ,  $e\tau_h$ , and  $e\mu$ ), events are divided based  
2423 on whether they contain exactly 1 or 2 b-tag jets, and further divided into signal  
2424 and control regions (SRs and CRs) using the DNN categorization score as described  
2425 in Section 9.2. The control regions demonstrate good agreement between observed  
2426 events in data, and the sum of the contributions from expected backgrounds that  
2427 are modeled in simulated and embedded samples. The signal regions are defined to  
2428 be sensitive to the  $h \rightarrow aa \rightarrow bb\tau\tau$  signal. The postfit final observed and expected

2429 distributions of the di-tau invariant mass  $m_{\tau\tau}$  reconstructed with SVFit (described  
2430 in Section 5.2) are shown in Fig. 10.1 for the  $\mu\tau_h$  channel, Fig. 10.2 for the  $e\tau_h$   
2431 channel, and Fig. 10.3 for the  $e\mu$  channel. In all figures, the hypothesized yield for  
2432 the  $h \rightarrow aa \rightarrow bb\tau\tau$  signal is shown for the pseudoscalar mass  $m_a = 35$  GeV and  
2433 assuming a branching fraction  $B(H \rightarrow aa \rightarrow bb\tau\tau) = 10\%$ .

2434 The 95% CL expected and observed exclusion limits on the signal strength of the  
2435 branching fraction  $B(h \rightarrow aa \rightarrow bb\tau\tau)$  as a function of the pseudoscalar mass  $m_a$   
2436 ranging from 12 GeV to 60 GeV, are shown for the three  $\tau\tau$  channels and all three  
2437 channels combined in Fig. 10.4. The limits are shown as percentages and normalized  
2438 to the production cross-section of the Standard Model Higgs boson. No excess of  
2439 events above the Standard Model expectations is observed. In the limits for the three  
2440  $\tau\tau$  channels combined, expected (observed) limits range from 1.4 to 5.6% (1.7 to  
2441 7.6%) for pseudoscalar masses between 12 and 60 GeV.

2442 The  $e\mu$  channel is the only channel that has signal sensitivity to the  $m_a = 12$   
2443 GeV pseudoscalar mass hypothesis, because the minimum required spatial separation  
2444  $\Delta R = \sqrt{(\Delta\eta)^2 + (\Delta\phi)^2}$  between the two  $\tau$  legs is smaller than the other two channels  
2445 ( $\Delta R < 0.3$  for  $e\mu$ , compared to  $\Delta R < 0.4$  for the other two channels). This decreased  
2446  $\Delta R$  requirement results in better signal acceptance for low mass signals for the  $e\mu$   
2447 channel. The  $\mu\tau_h$  and  $e\tau_h$  channels are most sensitive to the intermediate mass points  
2448 studied, since the analysis targets a resolved signature: at low mass points, the tau  
2449 legs are boosted, and at high mass points, the  $m_{\tau\tau}$  distributions in signal have larger  
2450 overlap with background distributions. In the combination of the three  $\tau\tau$  channels,  
2451 the limit for  $m_a = 12$  GeV comes only from the  $e\mu$  channel, and the best sensitivity  
2452 is attained at intermediate mass points around  $m_a = 20$  GeV to 45 GeV.

2453 To set limits on the branching fraction of the 125 GeV Higgs to the two pseu-  
2454 doscalars,  $B(h \rightarrow aa)$ , we interpret the results in four types of 2HDM+S, which were  
2455 introduced in Section 1.4. In 2HDM+S, the theorized branching fraction of the pseu-

2456 doscalars depends on the 2HDM+S model type, the pseudoscalar mass  $m_a$ , and the  
2457 ratio of the two Higgs doublets' vacuum expectation values  $\tan \beta$ . In Type I models,  
2458 the branching fraction is independent of  $\tan \beta$ , while in Types II, III, and IV, it is  
2459 a function of  $m_a$  and  $\tan \beta$ . Limits for the  $bb\tau\tau$  final state as a function of  $m_a$  for  
2460 2HDM+S Type I (valid for all  $\tan \beta$  values), Type II with  $\tan \beta = 2.0$ , Type III with  
2461  $\tan \beta = 2.0$ , and Type IV with  $\tan \beta = 0.6$  are overlaid and shown in Fig. 10.5a.

## 2462 10.2 Combination with $bb\mu\mu$ final state

2463 Results from this analysis for the  $h \rightarrow aa \rightarrow bb\tau\tau$  final state are combined with the  
2464 analysis for the  $h \rightarrow aa \rightarrow bb\mu\mu$  final state [103]. While the predicted branching ratio  
2465 for  $aa \rightarrow bb\mu\mu$  is comparatively small, the  $bb\mu\mu$  final state has competitive results  
2466 due to the excellent di-muon resolution measured by CMS. The  $bb\mu\mu$  analysis uses  
2467 an unbinned fit to the data using the di-muon mass  $m_{\mu\mu}$  distribution. Details can be  
2468 found in [103].

2469 Combining the results is possible since the  $bb\tau\tau$  analysis explicitly rejects events  
2470 with extra leptons, so there is no overlap between the events studied in the  $bb\tau\tau$   
2471 analysis and the  $bb\mu\mu$  analysis. In the statistical combination, several systematic  
2472 uncertainties are treated as correlated: the integrated luminosity normalization, the  
2473 b-tagging scale factor, the scale factors related to muon reconstruction, identifica-  
2474 tion, and trigger efficiencies, the inefficiency in the ECAL trigger readout, and the  
2475 theoretical uncertainties related to signal modeling.

2476 Since the results in both final states are statistically limited, the combination ben-  
2477 efits from the additional data. For  $m_a = 35$  GeV, all systematic uncertainties amount  
2478 to around 6% of the total uncertainty, with the dominant systematic uncertainties  
2479 coming from jet energy systematics in the  $bb\mu\mu$  final state, theoretical uncertainties  
2480 in the signal, and uncertainties in the QCD multijet backgrounds in the  $e\mu$  channel

2481 of the  $bb\tau\tau$  final state.

2482 The mass distributions of the di-muon and di-tau objects ( $m_{\mu\mu}$  and  $m_{\tau\tau}$ ) are  
2483 compared to the data in a combined maximum likelihood fit to derive upper limits  
2484 on  $B(h \rightarrow aa)$ . The observed limits at 95% CL on  $B(h \rightarrow aa)$  for different 2HDM+S  
2485 scenarios, are shown for the search for  $h \rightarrow aa \rightarrow bb\mu\mu$  in Fig. 10.5b, and the  
2486 combined analyses  $h \rightarrow aa \rightarrow bb\ell\ell$  in Fig. 10.6.

2487 Exclusion limits in a two-dimensional plane as a function of  $\tan\beta$  and  $m_a$  are  
2488 set for 2HDM+S Types II, III, and IV in Fig. 10.7. The most stringent constraints  
2489 are observed for 2HDM+S type III because of large branching fractions predicted in  
2490 theory, with predicted branching fractions between 0.47 and 0.42 for  $\tan\beta = 2.0$  and  
2491 values of  $m_a$  between 15 and 60 GeV, compared to the observed 95% CL upper limits  
2492 which are between 0.08 and 0.03. For 2HDM+S type IV, the predicted branching  
2493 fractions from theory are between 0.26 and 0.20 for  $\tan\beta = 0.6$  for values of  $m_a$   
2494 between 15 and 60 GeV, and the 95% CL observed upper limits are between 0.12 and  
2495 0.05.

2496 The combined results from  $h \rightarrow aa \rightarrow bb\ell\ell$  are compared with CMS results in  
2497 other final states as a function of the pseudoscalar mass  $m_a$ : for 2HDM+S type I in  
2498 Fig. 10.8, type II with  $\tan\beta = 2.0$  in Fig. 10.9, and type III with  $\tan\beta = 2.0$  in Fig.  
2499 10.10. In other scenarios, e.g. type III with  $\tan\beta = 5.0$ , more stringent limits are set  
2500 by analyses in other final states,  $\mu\mu\tau\tau$  in this case. Other summary plots for other  
2501 model types and  $\tan\beta$  values can be found at [104].

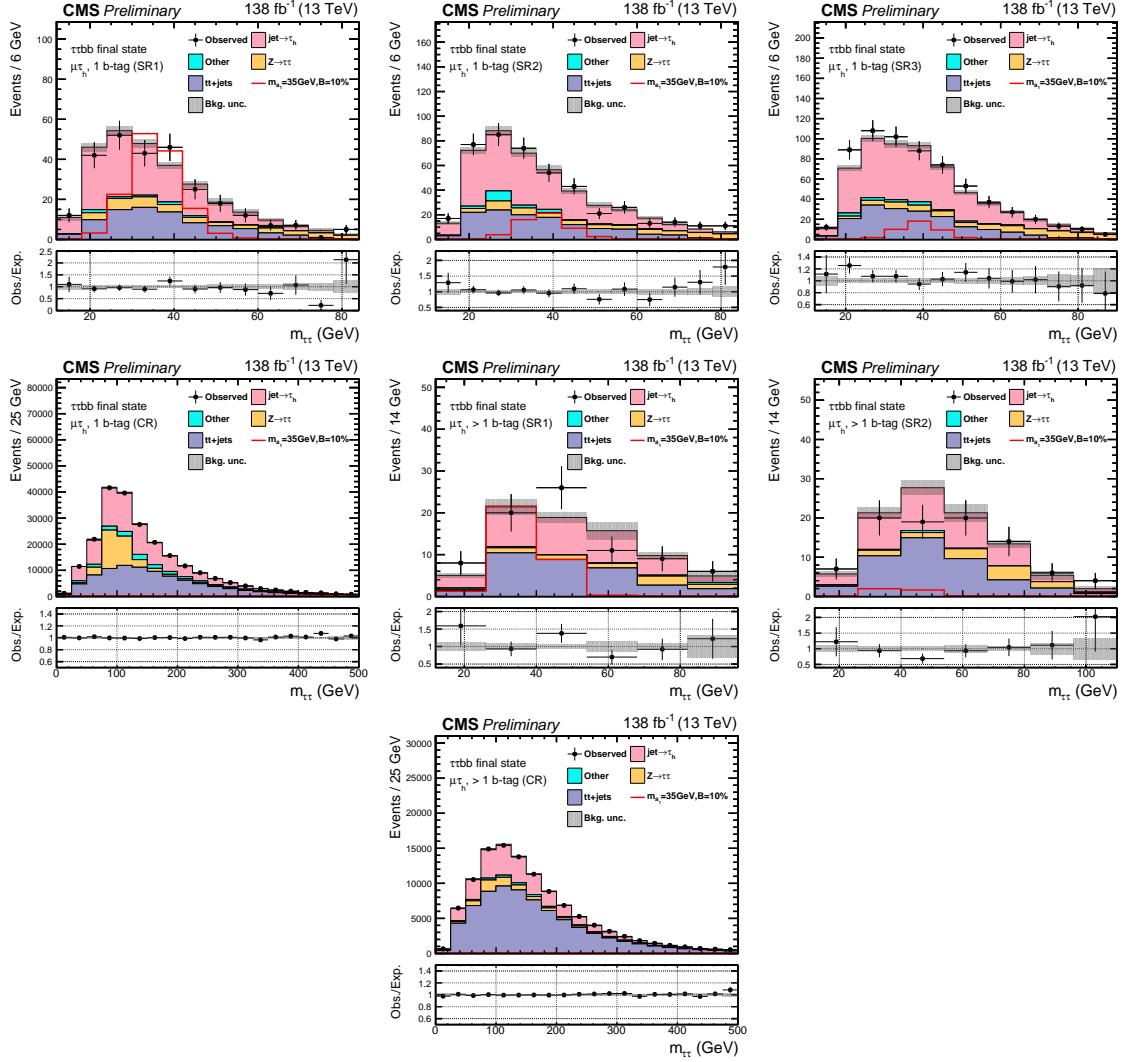


Figure 10.1: Postfit final  $m_{\tau\tau}$  observed and expected distributions, and the observed/expected ratios, in the  $\mu\tau_h$  channel [101]. Events are divided into the 1 b-tag jet signal regions (SR1, SR2, SR3) (*top row*), 1 b-tag jet control region (*middle row*), 2 b-tag jet signal regions (SR1, SR2) (*middle row*), and lastly the 2 b-tag jet control region (CR) (*bottom*). Statistical and systematic sources of uncertainties in the expected events are added in quadrature and labeled “Bkg. unc” (*shaded gray*). The dominant backgrounds in all categories are jets faking the  $\tau_h$  leg (*pink*),  $Z \rightarrow \tau\tau$  (*orange*), and  $t\bar{t}+j$ ets (*purple*). For illustrative purposes, the beyond-Standard Model signal yield from  $h \rightarrow aabb\tau\tau$  is shown for the pseudoscalar mass hypothesis  $m_a = 35$  GeV, assuming a branching fraction  $B(h \rightarrow aa \rightarrow bb\tau\tau) = 10\%$  (*red line*).

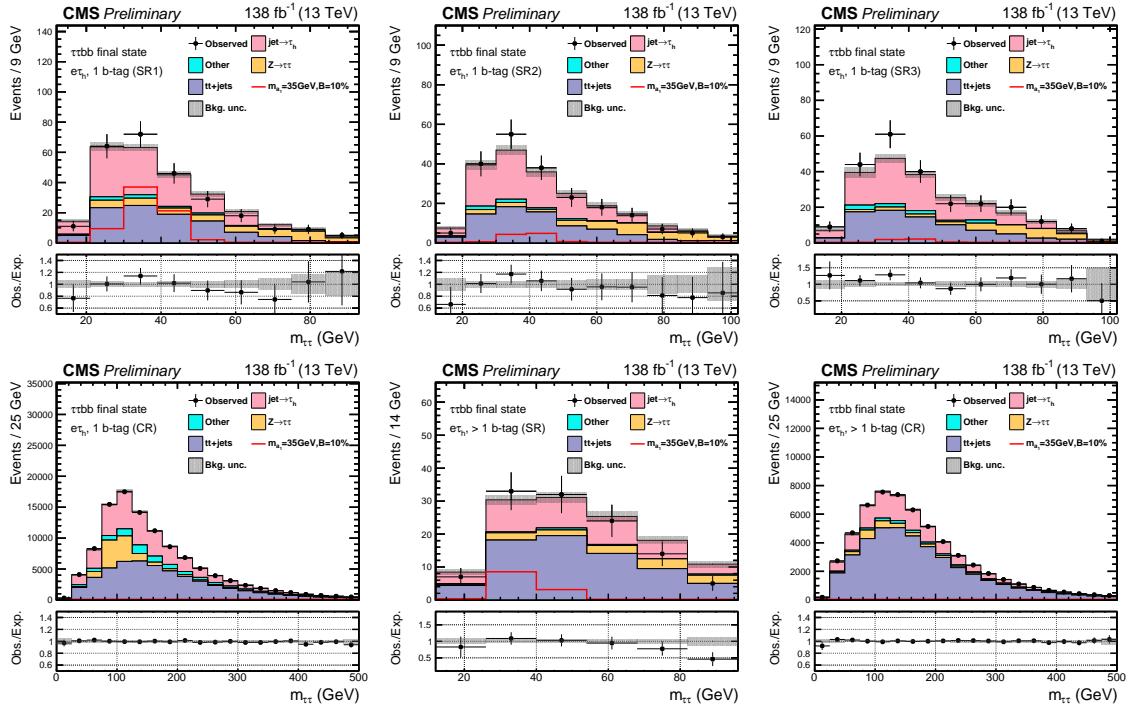


Figure 10.2: Postfit final observed and expected  $m_{\tau\tau}$  distributions, and the observed/expected ratios, in the  $e\tau_h$  channel [101]. Events are divided into the 1 b-tag jet signal regions (SR1, SR2, SR3) (*top row*), the 1 b-tag jet control region (CR) (*bottom row*), and 2 b-tag jet signal region (SR) and control region (CR) (*bottom row*). Statistical and systematic sources of uncertainties in the expected events are added in quadrature and labeled “Bkg. unc” (*shaded gray*). In this channel, the dominant backgrounds are jets faking the  $\tau_h$  leg (*pink*),  $Z \rightarrow \tau\tau$  (*orange*), and  $t\bar{t}+{\rm jets}$  (*purple*). For illustrative purposes, the beyond-Standard Model signal yield from  $h \rightarrow aabb\tau\tau$  is shown for the pseudoscalar mass hypothesis  $m_a = 35$  GeV, assuming a branching fraction  $B(h \rightarrow aa \rightarrow bb\tau\tau) = 10\%$  (*red line*).

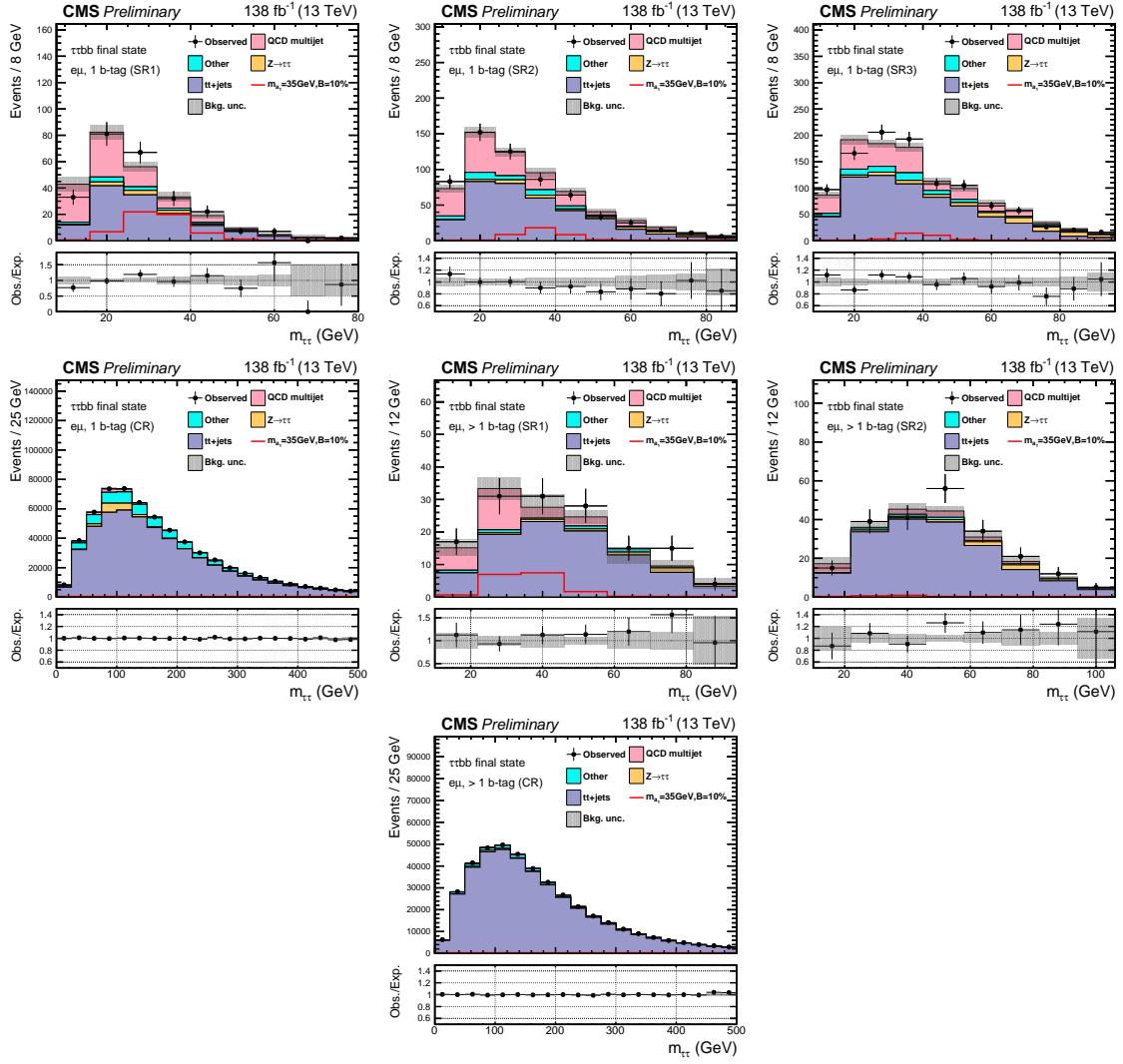


Figure 10.3: Postfit final observed and expected  $m_{\tau\tau}$  distributions, and the observed/expected ratios, in the  $e\mu$  channel [101]. Events are divided into the 1 b-tag jet signal regions (SR1, SR2, and SR3) (*top row*), 1 b-tag jet control region (CR) (*middle row*), 2 b-tag jet signal regions (SR1 and SR2) (*middle row*), and 2 b-tag jet control region (CR) (*bottom row*). Statistical and systematic sources of uncertainties in the expected events are added in quadrature and labeled “Bkg. unc” (*shaded gray*). The  $t\bar{t}+j$  process (*purple*) is a major background, and in the signal regions the QCD multijet (*pink*) is also a major background. For illustrative purposes, the pseudoscalar mass hypothesis  $m_a = 35$  GeV, assuming a branching fraction  $B(h \rightarrow aa \rightarrow bb\tau\tau) = 10\%$  (*red line*).

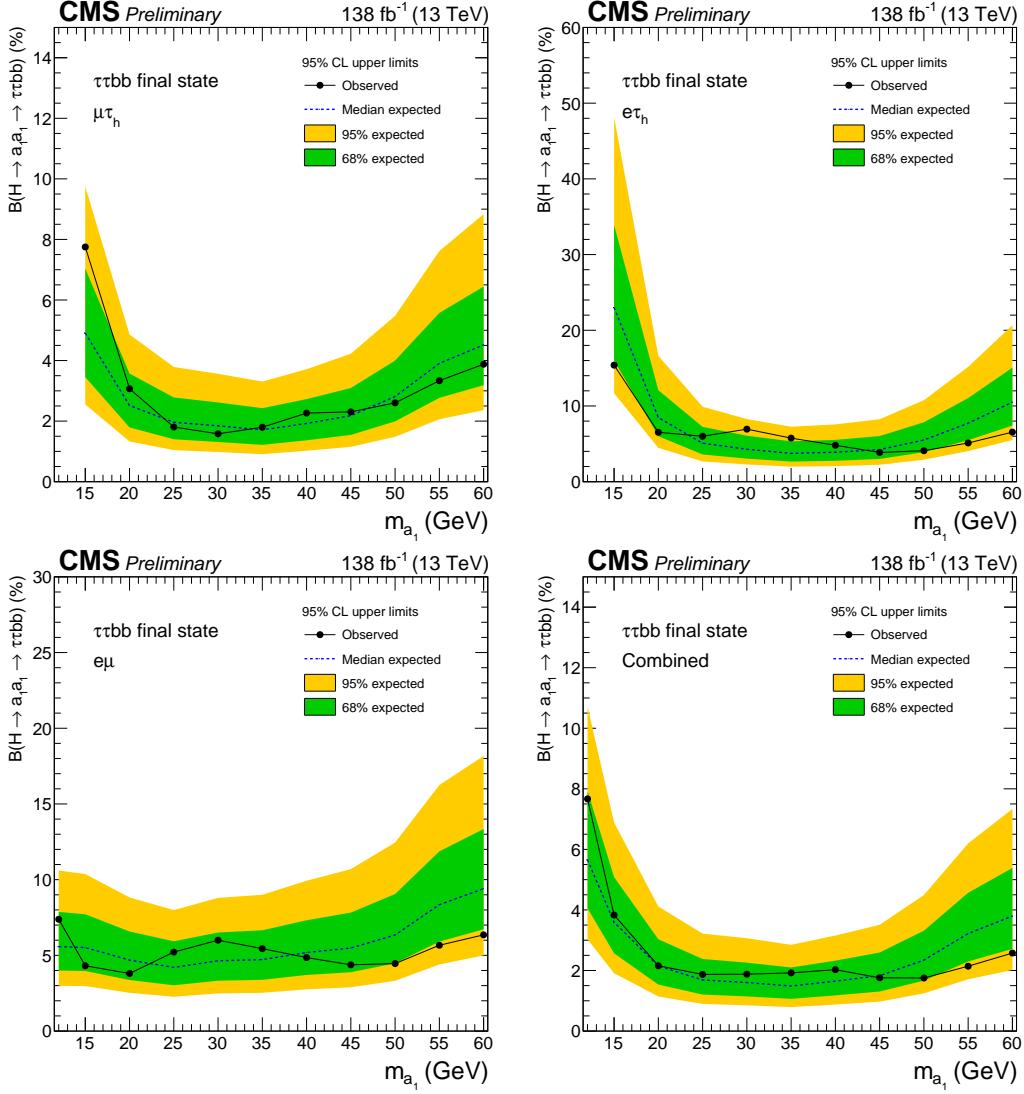
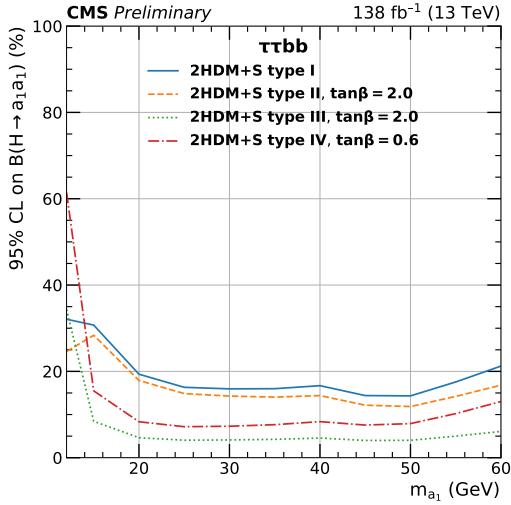
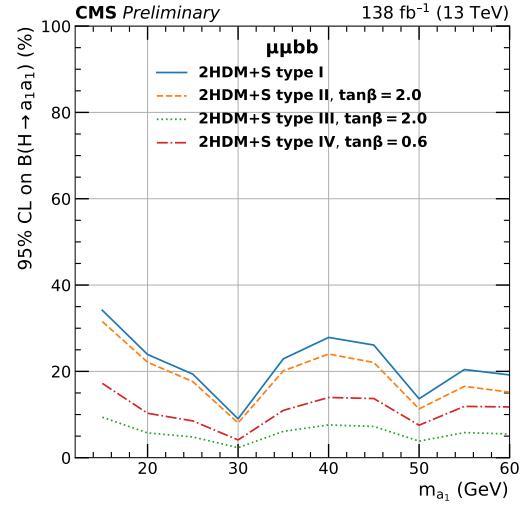


Figure 10.4: Observed 95% CL exclusion limits (*black, solid lines*) and expected 95% CL and 68% CL limits (*shaded yellow and green*) on the branching fraction  $B(h \rightarrow aa \rightarrow bb\tau\tau)$  in percentages, assuming the Standard Model production for the 125 GeV Higgs ( $h$ ). Limits are shown for the  $\mu\tau_h$  channel (*top left*), the  $e\tau_h$  channel (*top right*), and the  $e\mu$  channel (*bottom left*), and lastly the combination of all three channels (*bottom right*) [101]. The dataset corresponds to  $138 \text{ fb}^{-1}$  of data collected in the years 2016-2018 at a center-of-mass energy 13 TeV. Only the  $e\mu$  channel has sensitivity to the mass hypothesis  $m_a = 12 \text{ GeV}$ . The best sensitivity is attained at intermediate mass points.



(a)  $bb\tau\tau$  final state.



(b)  $bb\mu\mu$  final state.

Figure 10.5: Observed 95% CL upper limits on  $B(h \rightarrow aa)$  in %, for the  $bb\tau\tau$  final state (*left*) and  $bb\mu\mu$  final state (*right*) using the full Run 2 integrated luminosity of  $138 \text{ fb}^{-1}$  in 2HDM+S type I (blue), type II with  $\tan\beta = 2.0$  (orange dashed), type III with  $\tan\beta = 2.0$  (dotted green), and type IV with  $\tan\beta = 0.6$  (red dashed) [101]. Linear interpolation is used between points in the graphs. The  $\tan\beta$  values chosen here correspond to the most stringent limits in each model.

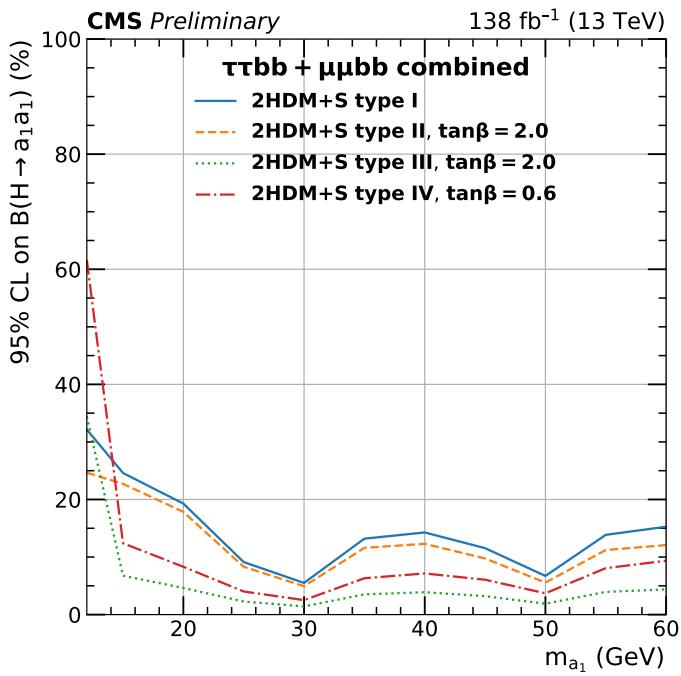


Figure 10.6: Observed 95% CL upper limits on the branching fraction of the 125 GeV Higgs boson to two pseudoscalars,  $B(h \rightarrow aa)$ , in percentages, as a function of the pseudoscalar mass  $m_a$ , in 2HDM+S type I (blue), type II with  $\tan\beta = 2.0$  (orange dashed), type III with  $\tan\beta = 2.0$  (dotted green), and type IV with  $\tan\beta = 0.6$  (red dashed), for the combination of  $bb\mu\mu$  and  $bb\tau\tau$  channels using the full Run 2 integrated luminosity of  $138 \text{ fb}^{-1}$  [101].

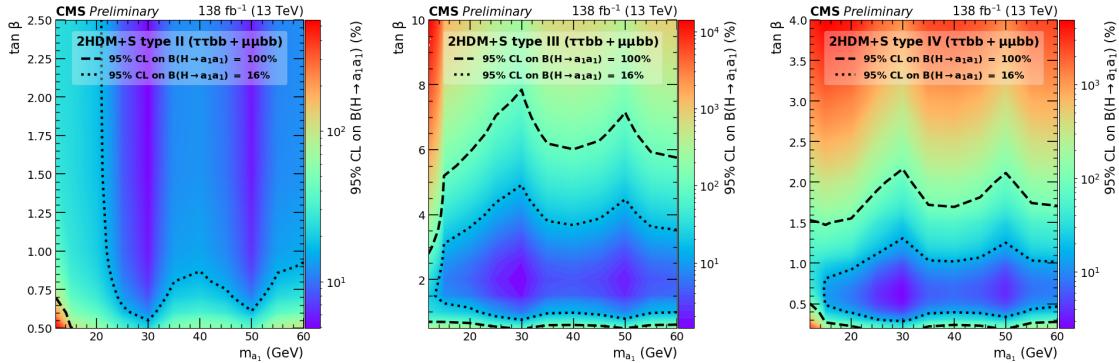


Figure 10.7: Observed 95% CL upper limits on  $\mathcal{B}(h \rightarrow aa)$  in %, for the combination of  $bb\mu\mu$  and  $bb\tau\tau$  channels using the full Run 2 integrated luminosity of  $138 \text{ fb}^{-1}$  for Type II (*left*), Type III (*middle*), and Type IV (*right*) 2HDM+S in the  $\tan \beta$  vs.  $m_a$  phase space. The contours (*dashed black*) correspond to branching fractions of 100% and 16%, where 16% is the combined upper limit on Higgs boson to undetected particle decays from previous Run-2 results. All points inside the contour are allowed within that upper limit. Linear extrapolation has been used between different points on the figures [101].

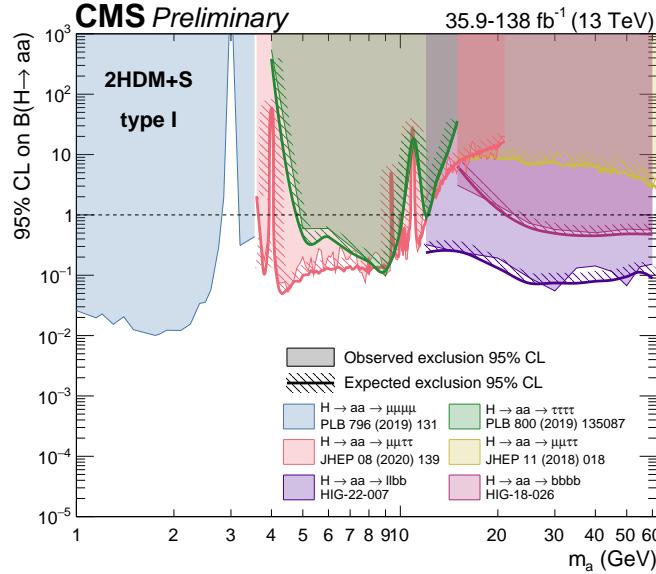


Figure 10.8: Summary plot of current 95% limits on the branching ratio of the 125 GeV Higgs boson to two pseudoscalars, normalized to the Standard Model Higgs production cross-section,  $\frac{\sigma(h)}{\sigma_{\text{SM}}} \times B(H \rightarrow aa)$  in the 2HDM+S type I scenario performed with data collected at 13 TeV [104]. Results from different final states studied at CMS are overlaid on this figure:  $\mu\mu\mu\mu$  (blue),  $\tau\tau\tau\tau$  (green), boosted  $2\mu 2\tau$  (red), resolved  $2\mu 2\tau$  (yellow),  $bbbb$  (magenta), and the combined result for  $\ell\ell bb$  ( $\ell = \mu, \tau$ ) (purple).

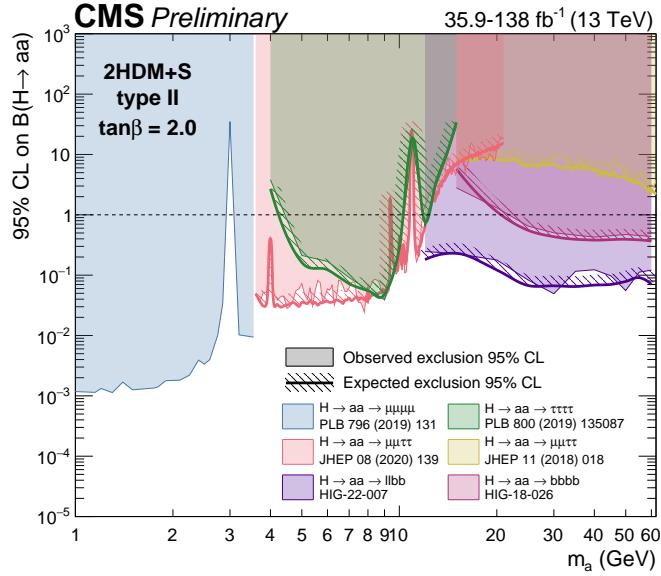


Figure 10.9: Summary plot of current observed and expected 95% CL limits on the branching ratio of the 125 GeV Higgs boson to two pseudoscalars, normalized to the Standard Model Higgs production cross-section,  $\frac{\sigma(h)}{\sigma_{SM}} \times B(h \rightarrow aa)$ , in the 2HDM+S type II scenario with  $\tan\beta = 2.0$ , obtained at CMS with data collected at 13 TeV [104]. Results from different final states studied at CMS are overlaid on this figure:  $\mu\mu\mu\mu$  (blue),  $\tau\tau\tau\tau$  (green), boosted  $2\mu 2\tau$  (red), resolved  $2\mu 2\tau$  (yellow),  $bbbb$  (magenta), and the combined result for  $\ell\ell bb$  ( $\ell = \mu, \tau$ ) (purple).

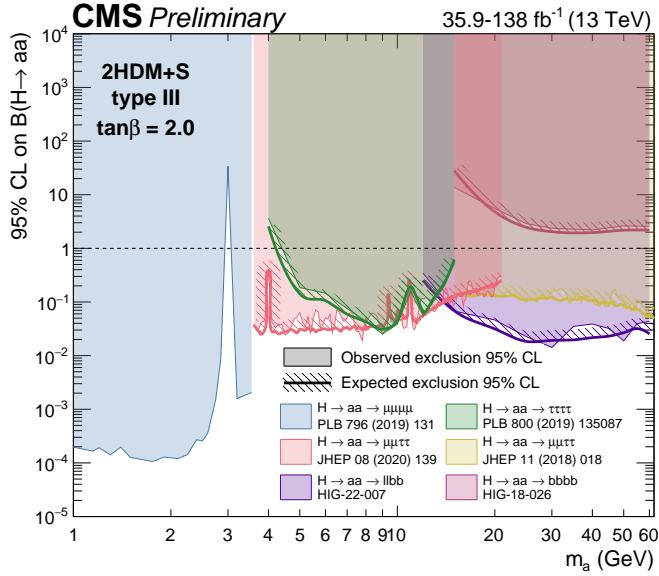


Figure 10.10: Summary plot of current observed and expected 95% CL limits on the branching ratio of the 125 GeV Higgs boson to two pseudoscalars, normalized to the Standard Model Higgs production cross section,  $\frac{\sigma(h)}{\sigma_{SM}} \times B(h \rightarrow aa)$  in the 2HDM+S type-III scenario with  $\tan \beta = 2.0$ , obtained at CMS with data collected at 13 TeV [104]. Results from different final states studied at CMS are overlaid on this figure:  $\mu\mu\mu\mu$  (blue),  $\tau\tau\tau\tau$  (green), boosted  $2\mu 2\tau$  (red), resolved  $2\mu 2\tau$  (yellow),  $bbbb$  (magenta), and the combined result for  $\ell\ell bb$  ( $\ell = \mu, \tau$ ) (purple).

2502 **Chapter 11**

2503 **Asymmetric exotic Higgs decays**

2504 This chapter presents progress towards a search for exotic Higgs decays to two light  
2505 scalars with unequal mass ( $h \rightarrow a_1 a_2$ ) final states with bottom quarks and  $\tau$  leptons,  
2506 with plans to interpret the results in the context of Two Real Singlet Models (TRSMs),  
2507 described in Section 1.5. Compared to the symmetric decay scenario  $h \rightarrow aa$  which  
2508 has been studied in multiple final states at CMS with stringent limits set on the  
2509 various 2HDM+S scenarios, this asymmetric decay scenario has not been directly  
2510 searched for at the CMS experiment. Section 11.1 lists the mass hypotheses of the  
2511 new particles  $a_1$  and  $a_2$  that will be studied. Section 11.2 describes the studies on  
2512 which channels the analysis will be carried out in. Section 11.3 shows the control  
2513 plots produced using the analysis framework that will be used for this analysis.

2514 **11.1 Signal masses**

2515 As discussed in Section 1.5,  $h \rightarrow a_1 a_2$  can result in a “cascade” decay if one of the  
2516 scalars,  $a_2$  is sufficiently heavy ( $m_{a_2} > 2m_{a_1}$ ). The “non-cascade” case is where the  
2517 light scalars decay directly to Standard Model particles.

2518 The mass hypotheses (mass points) ( $m_{a_1}, m_{a_2}$ ) studied here are:

- 2519       • *Cascade mass points:* (15, 30), (15, 40), (15, 50), (15, 60), (15, 70), (15, 80),  
 2520           (15, 90), (15, 100), (15, 110), (20, 40), (20, 50), (20, 60), (20, 70), (20, 80), (20,  
 2521           90), (20, 100), (30, 60), (30, 70), (30, 80), and (30, 90) GeV  
  
 2522       • *Non-cascade mass points:* (15, 20), (15, 30), (20, 30), (20, 40), (30, 40), (30,  
 2523           50), (30, 60), (40, 50), (40, 60), (40, 70), (40, 80), (50, 60), and (50, 70) GeV

2524       Samples were produced using the MadGraph5\_aMCatNLO event generator, for each  
 2525       signal mass point in the gluon-gluon fusion (ggF) and vector boson fusion (VBF)  
 2526       production modes of the 125 GeV Higgs boson. In the sample generation, the decays  
 2527       of  $a$  to Standard Model particles were specified to be decays to bottom quarks or  $\tau$   
 2528       leptons.

## 2529       11.2 Cascade scenario signal studies

2530       Studies of the signal phenomenology in the cascade scenario were performed to de-  
 2531       termine the viability of the  $4b2\tau$  and/or  $2b4\tau$  channels.

2532       Cross sections and branching fractions of the  $4b2\tau$  and  $2b4\tau$  final states were  
 2533       compared using cross-section predictions provided by the authors of [7]. For an  
 2534       example mass point  $m_{a_2} = 80$  GeV,  $m_{a_1} = 30$  GeV, the branching fractions to  
 2535        $4b2\tau$  is ten times larger than  $2b4\tau$ :  $B(h \rightarrow a_1 a_2 \rightarrow 3a_1 \rightarrow 4b2\tau) = 0.00857$ , vs.  
 2536        $B(h \rightarrow a_1 a_2 \rightarrow 3a_1 \rightarrow 2b4\tau) = 0.00068$ . The  $4b2\tau$  final state is chosen for this  
 2537       analysis.

2538       In general the four b-flavor jets have low  $p_T$  at generator level, as illustrated for  
 2539       example mass points (100, 15) GeV and (40, 20) GeV in Fig. 11.1. The  $p_T$  distribution  
 2540       of the sub-leading jet peaks at an energy below 20 GeV, with the third and fourth  
 2541       jets tending to have even softer energies.

2542       An event category with three or more b-tag jets was determined to be infeasible  
 2543       due to low statistics in this category, due to the difficulties in reconstructing the third

2544 and fourth b-flavor jets which have very low transverse momenta  $p_T$ . Event categories  
 2545 with exactly 1 b-tag jet and  $\geq 2$  b-tag jets will be used.

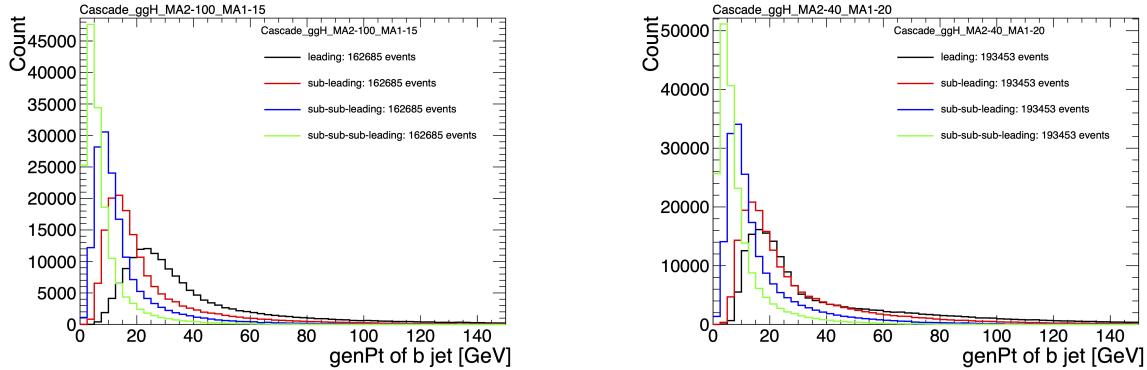


Figure 11.1: Generator-level b-flavor jet transverse momenta  $p_T$ , for  $h \rightarrow a_1 a_2$  cascade scenario in the  $4b2\tau$  final state, for mass hypotheses  $(m_{a_1}, m_{a_2}) = (100, 15)$  GeV (*left*) and  $(40, 20)$  GeV (*right*). In each plot the generator-level  $p_T$  of the leading (*black*), sub-leading (*red*), third (*blue*), and fourth (*light green*) are overlaid.

2546 In the  $4b2\tau$  final state, the possibility of the leading and sub-leading b-tag jets  
 2547 being sufficiently close in  $\Delta R$  to require boosted jet reconstruction techniques was  
 2548 explored. In the  $4b2\tau$  case, the two b-flavor-jets in the generated event that were  
 2549 spatially closest in  $\Delta R$  were considered as one object. This two b-flavor jet object was  
 2550 spatially matched in  $\Delta R$  to the jets reconstructed with the standard AK4 algorithm  
 2551 which uses a cone size of  $\Delta R = 0.4$ . The quality of the  $p_T$  resolution (computed as  
 2552  $(p_{T,\text{reconstructed}} - p_{T,\text{gen}})/p_{T,\text{gen}}$ ) and closeness in distance  $\Delta R$  of the reconstructed jet  
 2553 to the nearest generator-level jets, was seen to depend on the absolute and relative  
 2554 masses of the light scalars. The best (worst) performance occurred in samples with  
 2555 large (small) mass differences between the heavier scalar  $a_2$  and the lighter scalar  $a_1$ ,  
 2556 as illustrated for the mass hypotheses  $(m_{a_1}, m_{a_2})$  (100, 15) GeV and (40, 20) GeV in  
 2557 Fig. 11.2.

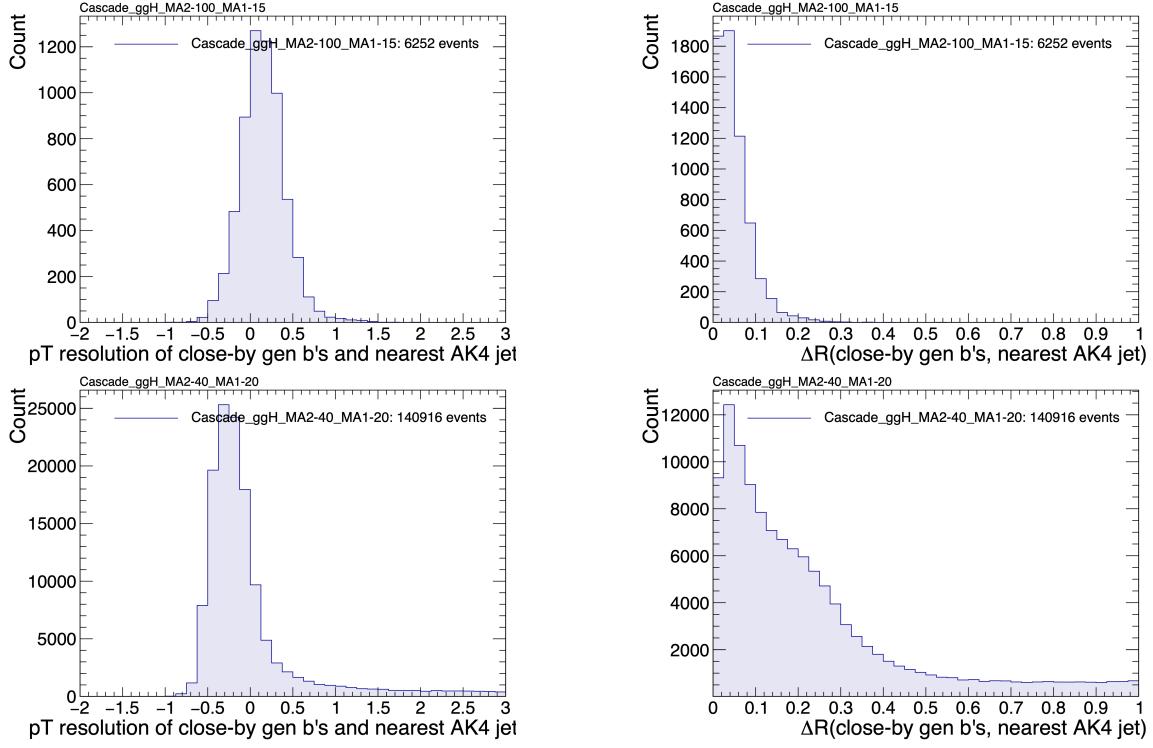


Figure 11.2: Distributions (arbitrary units) of transverse momentum  $p_T$  resolution and  $\Delta R$  between the two closest generator-level  $b$  jets, treated as one object, and the nearest reconstructed AK4 jet, for two different  $h \rightarrow a_1 a_2$  mass hypotheses  $(m_{a_1}, m_{a_2}) = (100, 15)$  GeV (top left, top right) and  $(40, 20)$  GeV (bottom left, bottom right) in the ggH production of the 125 GeV  $h$ . In the  $(40, 20)$  GeV mass point, the longer  $p_T$  resolution tail (bottom left) indicates that the reconstructed jet underestimates the generator  $b$ -flavor jets' energy, and the significant fraction of events with larger  $\Delta R$  values (bottom right) indicate worse matching.

### 11.3 Current control plots for $\mu\tau_h$ channel

The  $\tau\tau$  states for the  $h \rightarrow a_1 a_2$  to  $4b2\tau$  analysis will be similar to those studied in  $h \rightarrow aa \rightarrow bb\tau\tau$ . For the  $\mu\tau_h$  channel, histograms of the key kinematic variables are made for data and the sum of the expected backgrounds, which are estimated from Monte Carlo samples, embedded samples, and the data-driven method for estimating jets faking  $\tau_h$  as described in Chapter 7. Nominal values of the scale factors and event reweighting are applied, as described in Chapter ???. The errors shown in the figures only include statistical errors and only several of the full set of systematic errors (only those associated with the lepton energy scales and  $\tau_h$  identification efficiency,

2567 described in Sections 5.3.1, 5.3.2, and 5.3.4).

2568 The  $p_T$ ,  $\eta$ , and  $\phi$  of the leading muon and hadronic tau  $\tau_h$ , and the di-tau visible  
2569 mass  $m_{\text{vis}}$  and momentum  $p_{T,\text{vis}}$ , are shown in Fig. 11.3. The  $p_T$ ,  $\eta$ , and  $\phi$  of the the  
2570 leading and sub-leading b-tag jets, and the missing transverse energy magnitude and  
2571 azimuthal direction, are shown in Fig. 11.4.

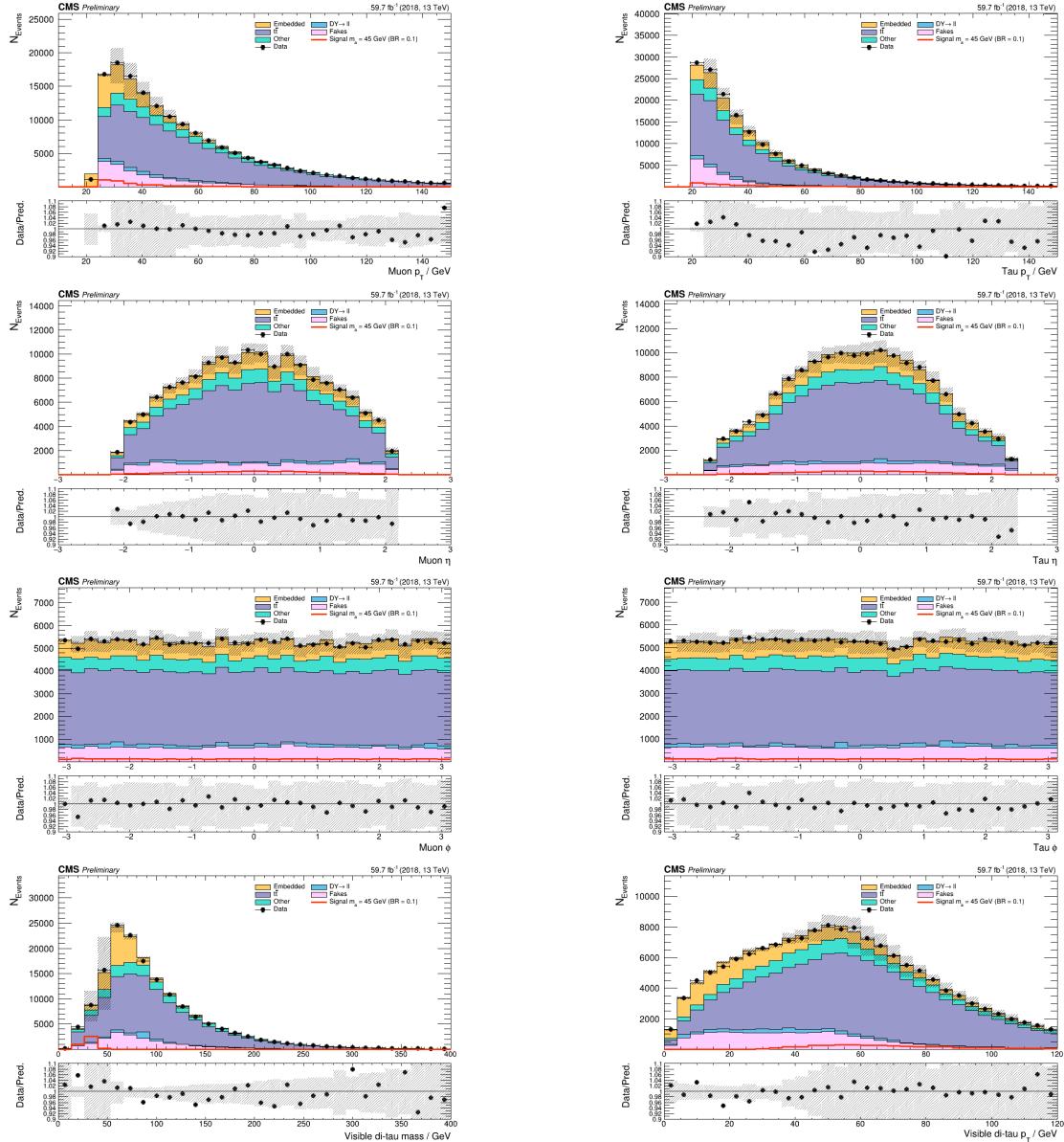


Figure 11.3: Kinematic properties of the leading muon and  $\tau_h$  in the  $\mu\tau_h$  channel:  $p_T$  (top row),  $\eta$  (second row), and  $\phi$  (third row). The visible 4-momenta of the muon and  $\tau_h$  are summed, giving the visible di-tau mass  $m_{\text{vis}}$  and transverse momentum  $p_{T,\text{vis}}$ . The errors shown in the figures only include statistical errors and only several of the full set of systematic errors (only those associated with the lepton energy scales and  $\tau_h$  identification efficiency).

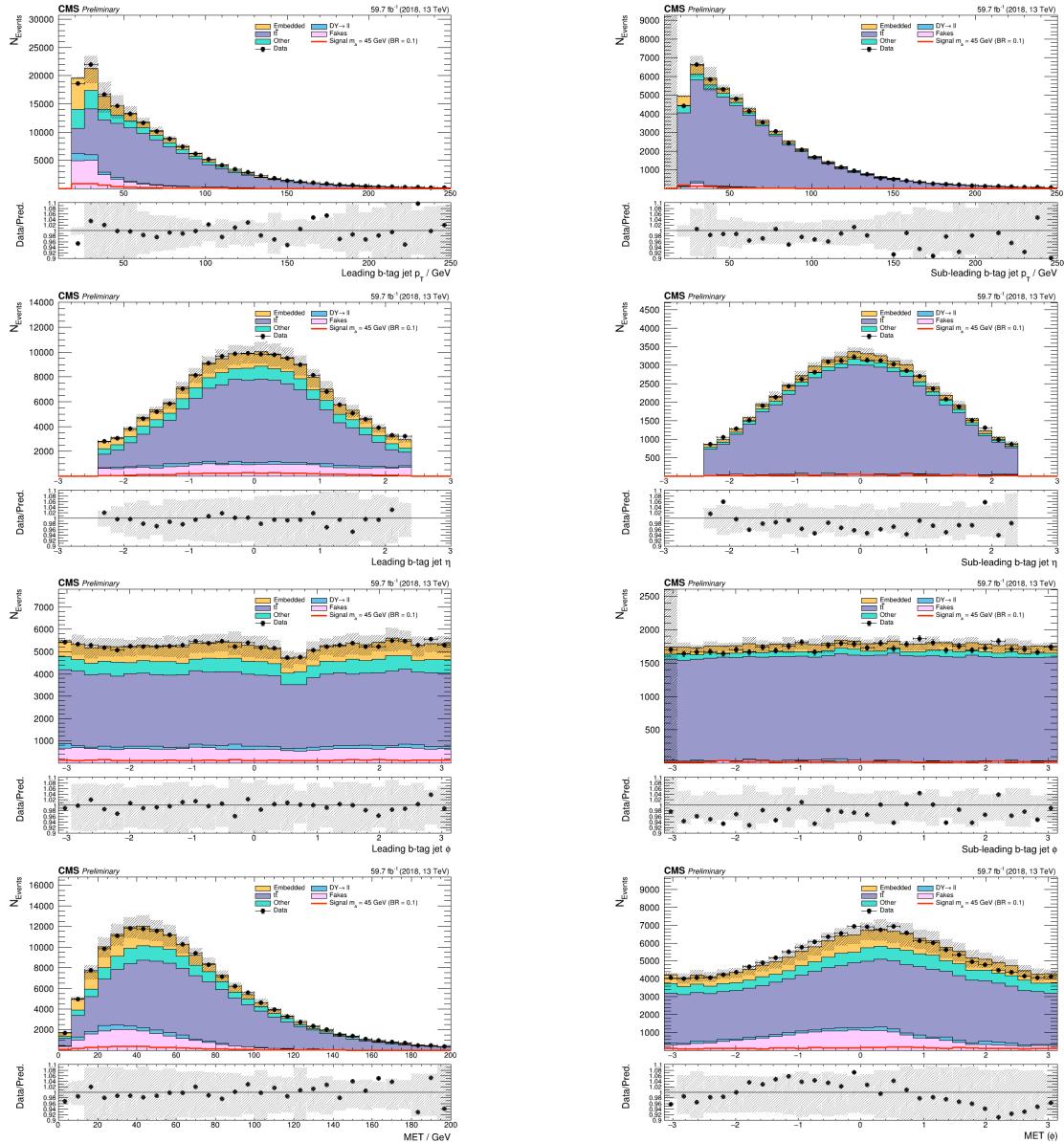


Figure 11.4: Kinematic properties of the leading and sub-leading b-tag jets in the  $\mu\tau_h$  final state: jet  $p_T$  (*top row*),  $\eta$  (*second row*),  $\phi$  (*third row*), as well as the missing transverse energy magnitude and azimuthal direction (*bottom row*). The errors shown in the figures only include statistical errors and only several of the full set of systematic errors (only those associated with the lepton energy scales and  $\tau_h$  identification efficiency).

2572

# Chapter 12

2573

## Conclusion and outlook

2574 This thesis presents a direct search at the CMS experiment for exotic decays of the  
2575 Higgs boson with mass 125 GeV in data collected in the years 2016-2018 in proton-  
2576 proton collisions at center-of-mass energy 13 TeV, to two light neutral scalar particles  
2577 that decay to two bottom quarks and two tau leptons ( $h \rightarrow aa \rightarrow bb\tau\tau$ ). The results  
2578 are combined with another search that was performed in the  $h \rightarrow aa \rightarrow bb\mu\mu$  final  
2579 state, giving the most stringent limits to date for theories with Two Higgs Doublet  
2580 Models extended with a singlet scalar (2HDM+S), for pseudoscalar masses  $m_a$  ranging  
2581 from 15 GeV to 60 GeV, in a number of 2HDM+S scenarios such as type II and III  
2582 with  $\tan\beta = 2.0$ .

2583 As the rich physics program of CMS has set stringent limits on the exotic decay  
2584  $h \rightarrow aa$ , we turn our attention to direct searches for decays to light neutral scalars  
2585 with potentially unequal mass,  $h \rightarrow a_1a_2$ , which has not been performed at CMS  
2586 to date. Preliminary studies on  $h \rightarrow a_1a_2$  signals in the Two Real Singlet Model  
2587 (TRSM) are shown, and work is ongoing to develop the analysis for  $h \rightarrow a_1a_2$  in final  
2588 states with bottom quarks and tau leptons.

2589 To ensure the continued performance of the CMS detector and to enhance its  
2590 data-taking capabilities in the intense pile-up conditions of the Phase-2 upgrade of

the High-Luminosity LHC, upgrades of the Level-1 Trigger are paramount for filtering the increased data rate of the HL-LHC. This thesis presents work on the standalone barrel calorimeter algorithm for reconstructing and identifying electron and photon candidates, using high granularity crystal-level information from the ECAL subdetector. For Phase-2, the increase in the granularity of information sent from the electromagnetic calorimeter to the Level-1 trigger, from energy sums over towers (which are  $5 \times 5$  in crystals) to crystal-level information, allows for the implementation of a more sophisticated clustering algorithm that can exploit the fact that genuine electrons and photons tend to leave energies concentrated a  $3 \times 5$  window in crystals, and use shape and isolation information to distinguish genuine electrons and photons from noise. Electrons and photons are key to characterizing Standard Model processes and performing searches for new physics, and this represents one of the many upgrades of the CMS detector in preparation for Phase-2. With the ongoing Run-3 data collecting period, and wealth of ongoing and scheduled upgrades, there remains an abundance of directions for detector development and physics at CMS heading into Phase-2 of the LHC.

2607

# Appendix A

2608

## Samples used

2609 The datasets used in the MiniAOD-based framework for the  $h \rightarrow aa \rightarrow bb\tau\tau$  analysis  
2610 are listed in this appendix. The NanoAOD-based framework uses the NanoAOD ver-  
2611 sions of these datasets. The data used for the years 2016-2018 are listed in Tables A.1,  
2612 A.2, and A.3 respectively. The embedded samples used for the years 2016-2018 are  
2613 listed in Tables A.4, A.5, and A.6 respectively. The Monte Carlo simulated samples  
2614 used to estimate backgrounds for the years 2016-2018 are listed in Tables A.7, A.8,  
2615 and A.9 respectively.

2616 The  $h \rightarrow aa \rightarrow bb\tau\tau$  signal samples are generated for 11 psuedoscalar masses  
2617 between 12 GeV and 60 GeV for gluon fusion (ggF) and vector boson fusion (VBF)  
2618 Higgs production. The 2016-2018 signal samples are listed in Tables A.10, A.11 and  
2619 A.12 respectively. A filter is applied at the generator level for each  $\tau\tau$  final state:

- 2620 •  $ee$  final state:  $p_T(e_1) > 22$  GeV,  $p_T(e_2) > 10$  GeV,  $|\eta(e_1)| < 2.6$ , and  $|\eta(e_2)| <$   
2621 2.6.

- 2622 •  $e\tau_h$  final state:  $p_T(e) > 22$  GeV,  $p_T(\tau_h) > 16$  GeV,  $|\eta(e)| < 2.6$ , and  $|\eta(\tau_h)| < 2.7$ .

- 2623 •  $e\mu$  final state:  $p_T(e) > 11$  GeV,  $p_T(\mu) > 7$  GeV,  $|\eta(e)| < 2.6$ , and  $|\eta(\mu)| < 2.5$ .

- 2624 •  $\tau_h\tau_h$  final state:  $p_T(\tau_{h1}) > 28$  GeV,  $p_T(\tau_{h2}) > 28$  GeV,  $|\eta(\tau_{h1})| < 2.5$ , and

2625  $|\eta(\tau_{h2})| < 2.5$ .

2626 •  $\mu\tau_h$  final state:  $p_T(\mu) > 19 \text{ GeV}$ ,  $p_T(\tau_h) > 16 \text{ GeV}$ ,  $|\eta(\mu)| < 2.5$ , and  $|\eta(\tau_h)| <$   
 2627  $2.7$ .

2628 •  $\mu\mu$  final state:  $p_T(\mu_1) > 17 \text{ GeV}$ ,  $p_T(\mu_2) > 8 \text{ GeV}$ ,  $|\eta(\mu_1)| < 2.5$ , and  $|\eta(\mu_2)| <$   
 2629  $2.5$ .

2630 The tables also show for each sample the filter efficiencies, which is the percentage  
 2631 of events that pass the above filters, and the number of events that were generated  
 2632 after applying the filters.

Channel	Datasets (2016)	Run range
$e\mu$	/MuonEG/Run2016B-17Jul2018_ver1-v1/MINIAOD	272760-273017
	/MuonEG/Run2016B-17Jul2018_ver2-v1/MINIAOD	273150-275376
	/MuonEG/Run2016C-17Jul2018-v1/MINIAOD	275656-276283
	/MuonEG/Run2016D-17Jul2018-v1/MINIAOD	276315-276811
	/MuonEG/Run2016E-17Jul2018-v2/MINIAOD	276831-277420
	/MuonEG/Run2016F-17Jul2018-v1/MINIAOD	277932-278808
	/MuonEG/Run2016G-17Jul2018-v1/MINIAOD	278820-280385
	/MuonEG/Run2016H-17Jul2018-v1/MINIAOD	281613-284044
$e\tau_h$	/SingleElectron/Run2016B-17Jul2018_ver1-v1/MINIAOD	272760-273017
	/SingleElectron/Run2016B-17Jul2018_ver2-v1/MINIAOD	273150-275376
	/SingleElectron/Run2016C-17Jul2018-v1/MINIAOD	275656-276283
	/SingleElectron/Run2016D-17Jul2018-v1/MINIAOD	276315-276811
	/SingleElectron/Run2016E-17Jul2018-v1/MINIAOD	276831-277420
	/SingleElectron/Run2016F-17Jul2018-v1/MINIAOD	277932-278808
	/SingleElectron/Run2016G-17Jul2018-v1/MINIAOD	278820-280385
	/SingleElectron/Run2016H-17Jul2018-v1/MINIAOD	281613-284044
$\mu\tau_h$	/SingleMuon/Run2016B-17Jul2018_ver1-v1/MINIAOD	272760-273017
	/SingleMuon/Run2016B-17Jul2018_ver2-v1/MINIAOD	273150-275376
	/SingleMuon/Run2016C-17Jul2018-v1/MINIAOD	275656-276283
	/SingleMuon/Run2016D-17Jul2018-v1/MINIAOD	276315-276811
	/SingleMuon/Run2016E-17Jul2018-v1/MINIAOD	276831-277420
	/SingleMuon/Run2016F-17Jul2018-v1/MINIAOD	277932-278808
	/SingleMuon/Run2016G-17Jul2018-v1/MINIAOD	278820-280385
	/SingleMuon/Run2016H-17Jul2018-v1/MINIAOD	281613-284044

Table A.1: Datasets used in the  $h \rightarrow aa \rightarrow bb\tau\tau$  analysis for the 2016 era.

Channel	Datasets (2017)	Run range
$e\mu$	/MuonEG/Run2017B-31Mar2018-v1/MINIAOD	297047-299329
	/MuonEG/Run2017C-31Mar2018-v1/MINIAOD	299368-302029
	/MuonEG/Run2017D-31Mar2018-v1/MINIAOD	302031-302663
	/MuonEG/Run2017E-31Mar2018-v1/MINIAOD	303824-304797
	/MuonEG/Run2017F-31Mar2018-v1/MINIAOD	305040-306460
$e\tau_h$	/SingleElectron/Run2017B-31Mar2018-v1/MINIAOD	297047-299329
	/SingleElectron/Run2017C-31Mar2018-v1/MINIAOD	299368-302029
	/SingleElectron/Run2017D-31Mar2018-v1/MINIAOD	302031-302663
	/SingleElectron/Run2017E-31Mar2018-v1/MINIAOD	303824-304797
	/SingleElectron/Run2017F-31Mar2018-v1/MINIAOD	305040-306460
$\mu\tau_h$	/SingleMuon/Run2017B-31Mar2018-v1/MINIAOD	297047-299329
	/SingleMuon/Run2017C-31Mar2018-v1/MINIAOD	299368-302029
	/SingleMuon/Run2017D-31Mar2018-v1/MINIAOD	302031-302663
	/SingleMuon/Run2017E-31Mar2018-v1/MINIAOD	303824-304797
	/SingleMuon/Run2017F-31Mar2018-v1/MINIAOD	305040-306460

Table A.2: Datasets used in the  $h \rightarrow aa \rightarrow bb\tau\tau$  analysis for the 2017 era.

Channel	Datasets (2018)	Run range
$e\mu$	/MuonEG/Run2018A-17Sep2018-v1/MINIAOD	315257-316995
	/MuonEG/Run2018B-17Sep2018-v1/MINIAOD	317080-319310
	/MuonEG/Run2018C-17Sep2018-v1/MINIAOD	319337-320065
	/MuonEG/Run2018D-PromptReco-v2/MINIAOD	320500-325175
$e\tau_h$	/EGamma/Run2018A-17Sep2018-v2/MINIAOD	315257-316995
	/EGamma/Run2018B-17Sep2018-v1/MINIAOD	317080-319310
	/EGamma/Run2018C-17Sep2018-v1/MINIAOD	319337-320065
	/EGamma/Run2018D-PromptReco-v2/MINIAOD	320497-325175
$\mu\tau_h$	/SingleMuon/Run2018A-17Sep2018-v2/MINIAOD	315257-316995
	/SingleMuon/Run2018B-17Sep2018-v1/MINIAOD	317080-319310
	/SingleMuon/Run2018C-17Sep2018-v1/MINIAOD	319337-320065
	/SingleMuon/Run2018D-PromptReco-v2/MINIAOD	320500-325175

Table A.3: Datasets used in the  $h \rightarrow aa \rightarrow bb\tau\tau$  analysis for the 2018 eras.

Channel	Embedded samples (2016)
$e\mu$	/EmbeddingRun2016B/ElMuFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016C/ElMuFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016D/ElMuFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016E/ElMuFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016F/ElMuFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016G/ElMuFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016H/ElMuFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
$e\tau_h$	/EmbeddingRun2016B/ElTauFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016C/ElTauFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016D/ElTauFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016E/ElTauFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016F/ElTauFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016G/ElTauFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016H/ElTauFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
$\mu\tau_h$	/EmbeddingRun2016B/MuTauFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016C/MuTauFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016D/MuTauFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016E/MuTauFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016F/MuTauFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016G/MuTauFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5
	/EmbeddingRun2016H/MuTauFinalState-inputDoubleMu_94X_Legacy_miniAOD-v5

Table A.4: Embedded samples used in the analysis for the 2016 era.

Channel	Embedded samples (2017)
$e\mu$	/EmbeddingRun2017B/ElMuFinalState-inputDoubleMu_94X_miniAOD-v2 /EmbeddingRun2017C/ElMuFinalState-inputDoubleMu_94X_miniAOD-v2 /EmbeddingRun2017D/ElMuFinalState-inputDoubleMu_94X_miniAOD-v2 /EmbeddingRun2017E/ElMuFinalState-inputDoubleMu_94X_miniAOD-v2 /EmbeddingRun2017F/ElMuFinalState-inputDoubleMu_94X_miniAOD-v2
$e\tau_h$	/EmbeddingRun2017B/ElTauFinalState-inputDoubleMu_94X_miniAOD-v2 /EmbeddingRun2017C/ElTauFinalState-inputDoubleMu_94X_miniAOD-v2 /EmbeddingRun2017D/ElTauFinalState-inputDoubleMu_94X_miniAOD-v2 /EmbeddingRun2017E/ElTauFinalState-inputDoubleMu_94X_miniAOD-v2 /EmbeddingRun2017F/ElTauFinalState-inputDoubleMu_94X_miniAOD-v2
$\mu\tau_h$	/EmbeddingRun2017B/MuTauFinalState-inputDoubleMu_94X_miniAOD-v2 /EmbeddingRun2017C/MuTauFinalState-inputDoubleMu_94X_miniAOD-v2 /EmbeddingRun2017D/MuTauFinalState-inputDoubleMu_94X_miniAOD-v2 /EmbeddingRun2017E/MuTauFinalState-inputDoubleMu_94X_miniAOD-v2 /EmbeddingRun2017F/MuTauFinalState-inputDoubleMu_94X_miniAOD-v2

Table A.5: Embedded samples used in the analysis for the 2017 era.

Channel	Embedded samples (2018)
$e\mu$	/EmbeddingRun2018A/ElMuFinalState-inputDoubleMu_102X_miniAOD-v1 /EmbeddingRun2018B/ElMuFinalState-inputDoubleMu_102X_miniAOD-v1 /EmbeddingRun2018C/ElMuFinalState-inputDoubleMu_102X_miniAOD-v1 /EmbeddingRun2018D/ElMuFinalState-inputDoubleMu_102X_miniAOD-v1
$e\tau_h$	/EmbeddingRun2018A/ElTauFinalState-inputDoubleMu_102X_miniAOD-v1 /EmbeddingRun2018B/ElTauFinalState-inputDoubleMu_102X_miniAOD-v1 /EmbeddingRun2018C/ElTauFinalState-inputDoubleMu_102X_miniAOD-v1 /EmbeddingRun2018D/ElTauFinalState-inputDoubleMu_102X_miniAOD-v1
$\mu\tau_h$	/EmbeddingRun2018A/MuTauFinalState-inputDoubleMu_102X_miniAOD-v1 /EmbeddingRun2018B/MuTauFinalState-inputDoubleMu_102X_miniAOD-v1 /EmbeddingRun2018C/MuTauFinalState-inputDoubleMu_102X_miniAOD-v1 /EmbeddingRun2018D/MuTauFinalState-inputDoubleMu_102X_miniAOD-v1

Table A.6: Embedded samples used in the analysis for the 2018 era.

Process	Simulated background samples (2016)	Cross section (pb)
DY	/DY1JetsToLL_M-50_TuneCUETP8M1	1012.5 (LO)
	/DY2JetsToLL_M-50_TuneCUETP8M1	332.8 (LO)
	/DY3JetsToLL_M-50_TuneCUETP8M1	101.8 (LO)
	/DY4JetsToLL_M-50_TuneCUETP8M1	54.8 (LO)
	/DYJetsToLL_M-50_TuneCUETP8M1	4963.0 (LO)
	/DY1JetsToLL_M-10to50_TuneCUETP8M1	730.3 (LO)
	/DY2JetsToLL_M-10to50_TuneCUETP8M1	387.4 (LO)
	/DY3JetsToLL_M-10to50_TuneCUETP8M1	95.0 (LO)
	/DY4JetsToLL_M-10to50_TuneCUETP8M1	36.7 (LO)
	/DYJetsToLL_M-10to50_TuneCUETP8M1	16290.0 (LO)
Top	/TTTo2L2Nu_TuneCP5_PSweights	88.29
	/TTToHadronic_TuneCP5_PSweights	377.96
	/TTToSemiLeptonic_TuneCP5_PSweights	365.35
	/ST_t-channel_antitop_4f_inclusiveDecays <sup>†</sup>	26.23
	/ST_t-channel_top_4f_inclusiveDecays <sup>†</sup>	44.07
	/ST_tW_antitop_5f_inclusiveDecays_TuneCUETP8M1	35.6
	/ST_tW_top_5f_inclusiveDecays_TuneCUETP8M1	35.6
VV	/VVTTo2L2Nu_13TeV_amcatnloFXFX_madspin_pythia8	13.84
	/WZTo2L2Q_13TeV_amcatnloFXFX_madspin_pythia8	5.52
	/WZTo3LNu_TuneCUETP8M1_13TeV-amcatnloFXFX-pythia8	4.43
	/ZZTo2L2Q_13TeV_amcatnloFXFX_madspin_pythia8	3.38
	/ZZTo4L_13TeV-amcatnloFXFX-pythia8	1.212
W	/W1JetsToLNu_TuneCUETP8M1	8104.0 (LO)
	/W2JetsToLNu_TuneCUETP8M1	2793.0 (LO)
	/W3JetsToLNu_TuneCUETP8M1	992.5 (LO)
	/W4JetsToLNu_TuneCUETP8M1	544.3 (LO)
	/WJetsToLNu_TuneCUETP8M1	52940.0 (LO)
H	/GluGluHToTauTau_M125	48.58*0.0627
	/GluGluHToWWTo2L2Nu_M125	48.58*0.2137*0.3258*0.3258
	/GluGluZH_HToWW_M125	0.1227*0.2137
	/HWminusJ_HToWW_M125	0.5328*0.2137
	/HWplusJ_HToWW_M125	0.840*0.2137
	/HZJ_HToWW_M125	0.7612*0.2137
	/VBFHToTauTau_M125	3.782*0.0627
	/VBFHToWWTo2L2Nu_M125	3.782*0.2137*0.3258*0.3258
	/WminusHToTauTau_M125	0.5328*0.0627
	/WplusHToTauTau_M125	0.840*0.0627
	/ZHToTauTau_M125	0.7612*0.0627
	/ggZH_HToTauTau_ZToLL_M125	0.1227*0.0627*3*0.033658
	/ggZH_HToTauTau_ZToNuNu_M125	0.1227*0.0627*0.2000
	/ggZH_HToTauTau_ZToQQ_M125	0.1227*0.0627*0.6991
	/ttHToNonbb_M125_TuneCUETP8M2_ttHtranche3	0.5071*(1-0.5824)
	/ttHTobb_M125_TuneCP5	0.5071*0.5824

Table A.7: Background MC samples used in the analysis for the 2016 era. Samples marked with a <sup>†</sup> are generated with the powhegV2-madspin-pythia8 tag.

Process	Simulated background samples (2017)	Cross section (pb)
DY	DY1JetsToLL_M-50_TuneCP5	877.8 (LO)
	DY2JetsToLL_M-50_TuneCP5	304.4 (LO)
	DY3JetsToLL_M-50_TuneCP5	111.5 (LO)
	DY4JetsToLL_M-50_TuneCP5	44.0 (LO)
	DYJetsToLL_M-50_TuneCP5	5343.0 (LO)
	DYJetsToLL_M-10to50_TuneCP5	15810.0 (LO)
Top	TTTo2L2Nu_TuneCP5	88.29
	TTToHadronic_TuneCP5	377.96
	TTToSemileptonic_TuneCP5	365.35
	ST_t-channel_antitop_4f_inclusiveDecays_TuneCP5 <sup>†</sup>	80.94
	ST_t-channel_top_4f_inclusiveDecays_TuneCP5 <sup>†</sup>	136.02
	ST_tW_antitop_5f_inclusiveDecays_TuneCP5	35.85
	ST_tW_top_5f_inclusiveDecays_TuneCP5	35.85
VV	VVTo2L2Nu_13TeV_amcatnloFXFX_madspin_pythia8	13.84
	WZTo2L2Q_13TeV_amcatnloFXFX_madspin_pythia8	5.52
	WZTo3LNu_TuneCP5_13TeV-amcatnloFXFX-pythia8	4.43
	ZZTo2L2Q_13TeV_amcatnloFXFX_madspin_pythia8	3.38
	ZZTo4L_TuneCP5_13TeV-amcatnloFXFX-pythia8	1.212
W	W1JetsToLNu_TuneCP5	8104.0 (LO)
	W2JetsToLNu_TuneCP5	2793.0 (LO)
	W3JetsToLNu_TuneCP5	992.5 (LO)
	W4JetsToLNu_TuneCP5	544.3 (LO)
	WJetsToLNu_TuneCP5	52940.0 (LO)
H	GluGluHToTauTau_M125	48.58*0.0627
	GluGluHToWWTo2L2Nu_M125 <sup>††</sup>	48.58*0.2137*0.3258*0.3258
	GluGluZH_HToWW_M125	0.1227*0.2137
	HWminusJ_HToWW_M125	0.5328*0.2137
	HWplusJ_HToWW_M125	0.840*0.2137
	HZJ_HToWW_M125 <sup>††</sup>	0.7612*0.2137
	VBFHToTauTau_M125	3.782*0.0627
	VBFHToWWTo2L2Nu_M125 <sup>††</sup>	3.782*0.2137*0.3258*0.3258
	WminusHToTauTau_M125	0.5328*0.0627
	WplusHToTauTau_M125	0.840*0.0627
	ZHToTauTau_M125	0.7612*0.0627
	ggZH_HToTauTau_ZToLL_M125	0.1227*0.0627*3*0.033658
	ggZH_HToTauTau_ZToNuNu_M125	0.1227*0.0627*0.2000
	ggZH_HToTauTau_ZToQQ_M125	0.1227*0.0627*0.6991
	ttHToNonbb_M125_TuneCP5	0.5071*(1-0.5824)
	ttHTobb_M125_TuneCP5	0.5071*0.5824

Table A.8: Background MC samples used in the analysis for the 2017 era. All samples use powheg, except the DYJets and WJets samples, which use madgraphMLM. Samples marked with a <sup>†</sup>, <sup>††</sup>, or <sup>†††</sup> were produced with Powheg2 and Pythia8, and Madspin, JHUGenV714, or jhugen724 respectively.

Process	Simulated background samples (2018)	Cross section (pb)
DY	DY1JetsToLL_M-50_TuneCP5	877.8 (LO)
	DY2JetsToLL_M-50_TuneCP5	304.4 (LO)
	DY3JetsToLL_M-50_TuneCP5	111.5 (LO)
	DY4JetsToLL_M-50_TuneCP5	44.0 (LO)
	DYJetsToLL_M-50_TuneCP5	5343.0 (LO)
	DYJetsToLL_M-10to50_TuneCP5	15810.0 (LO)
Top	TTTo2L2Nu_TuneCP5	88.29
	TTToHadronic_TuneCP5	377.96
	TTToSemiLeptonic_TuneCP5	365.35
	ST_t-channel_antitop_4f_InclusiveDecays_TuneCP5 <sup>†</sup>	80.94
	ST_t-channel_top_5f_TuneCP5 <sup>†</sup>	136.02
	ST_tW_antitop_5f_inclusiveDecays_TuneCP5	35.85
VV	ST_tW_top_5f_inclusiveDecays	35.85
	VVTo2L2Nu_13TeV_amcatnloFXFX_madspin	13.84
	WZTo2L2Q_13TeV_amcatnloFXFX_madspin	5.52
	WZTo3LNu_TuneCP5_13TeV-amcatnloFXFX-pythia8	4.43
	ZZTo2L2Q_13TeV_amcatnloFXFX_madspin	3.38
W	ZZTo4L_TuneCP5_13TeV-amcatnloFXFX-pythia8	1.212
	W1JetsToLNu_TuneCP5	8104.0 (LO)
	W2JetsToLNu_TuneCP5	2793.0 (LO)
	W3JetsToLNu_TuneCP5	992.5 (LO)
	W4JetsToLNu_TuneCP5	544.3 (LO)
H	WJetsToLNu_TuneCP5	52940.0 (LO)
	GluGluHToTauTau_M125	48.58*0.0627
	GluGluHToWWTo2L2Nu_M125 <sup>††</sup>	48.58*0.2137*0.3258*0.3258
	GluGluZH_HToWW_M125	0.1227*0.2137
	HWminusJ_HToWW_M125 <sup>†††</sup>	0.5328*0.2137
	HWplusJ_HToWW_M125 <sup>†††</sup>	0.840*0.2137
	HZJ_HToWW_M125 <sup>††</sup>	0.7612*0.2137
	VBFHToTauTau_M125	3.782*0.0627
	VBFHToWWTo2L2Nu_M125 <sup>†††</sup>	3.782*0.2137*0.3258*0.3258
	WminusHToTauTau_M125	0.5328*0.0627
	WplusHToTauTau_M125	0.840*0.0627
	ZHToTauTau_M125	0.7612*0.0627
	ggZH_HToTauTau_ZToLL_M125	0.1227*0.0627*3*0.033658
	ggZH_HToTauTau_ZToNuNu_M125	0.1227*0.0627*0.2000
	ggZH_HToTauTau_ZToQQ_M125	0.1227*0.0627*0.6991
	ttHTobb_M125_TuneCP5	0.5071*(1-0.5824)
	ttHTobb_M125_TuneCP5	0.5071*0.5824

Table A.9: Background Monte Carlo samples used in the analysis for the 2018 era. All samples listed are generated for 13 TeV collisions and use pythia8. All samples use powheg, except the DYJets and WJets samples, which use madgraphMLM. Samples marked with a <sup>†</sup>, <sup>††</sup>, or <sup>†††</sup>, were produced with Powheg and Pythia8, and Madspin, JHUGenV714, and Jhugen724 respectively.

Signal samples (2016)	# events	Filter eff.
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-12_FilterTauTauTrigger	0.4M	3.81%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-15_FilterTauTauTrigger	0.4M	3.54%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-20_FilterTauTauTrigger	1M	3.37
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-25_FilterTauTauTrigger	0.2M	3.56%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-30_FilterTauTauTrigger	0.2M	3.16%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-35_FilterTauTauTrigger	0.2M	3.30%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-40_FilterTauTauTrigger	1M	3.30%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-45_FilterTauTauTrigger	0.2M	3.23%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-50_FilterTauTauTrigger	0.2M	3.42%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-55_FilterTauTauTrigger	0.2M	3.65%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-60_FilterTauTauTrigger	1M	3.73
/SUSYVBFHToAA_AToBB_AToTauTau_M-12_FilterTauTauTrigger	0.2M	7.94%
/SUSYVBFHToAA_AToBB_AToTauTau_M-15_FilterTauTauTrigger	0.2M	7.38%
/SUSYVBFHToAA_AToBB_AToTauTau_M-20_FilterTauTauTrigger	0.2M	7.27%
/SUSYVBFHToAA_AToBB_AToTauTau_M-25_FilterTauTauTrigger	0.2M	7.21%
/SUSYVBFHToAA_AToBB_AToTauTau_M-30_FilterTauTauTrigger	0.2M	6.87%
/SUSYVBFHToAA_AToBB_AToTauTau_M-35_FilterTauTauTrigger	0.2M	6.80%
/SUSYVBFHToAA_AToBB_AToTauTau_M-40_FilterTauTauTrigger	0.2M	6.78%
/SUSYVBFHToAA_AToBB_AToTauTau_M-45_FilterTauTauTrigger	0.2M	6.56%
/SUSYVBFHToAA_AToBB_AToTauTau_M-50_FilterTauTauTrigger	0.2M	6.40%
/SUSYVBFHToAA_AToBB_AToTauTau_M-55_FilterTauTauTrigger	0.2M	6.54%
/SUSYVBFHToAA_AToBB_AToTauTau_M-60_FilterTauTauTrigger	0.2M	6.55%

Table A.10: Signal samples used in the analysis for the 2016 era. All belong to the RunIISummer16MiniAODv3 campaign and are produced with Madgraph and Pythia8. The second column is the number of events after the generator-level filter is applied, and the third column is the filter efficiency (percentage of all events that pass the generator-level filter).

Signal samples (2017)	# events	Filter eff.
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-12_FilterTauTauTrigger	0.4M	3.78%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-15_FilterTauTauTrigger	0.4M	3.55%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-20_FilterTauTauTrigger	1M	3.40%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-25_FilterTauTauTrigger	0.2M	3.32%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-30_FilterTauTauTrigger	0.2M	3.36%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-35_FilterTauTauTrigger	0.2M	3.27%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-40_FilterTauTauTrigger	1M	3.03%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-45_FilterTauTauTrigger	0.2M	3.03%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-50_FilterTauTauTrigger	0.2M	3.31%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-55_FilterTauTauTrigger	0.2M	3.56%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-60_FilterTauTauTrigger	1M	3.95%
/SUSYVBFHToAA_AToBB_AToTauTau_M-12_FilterTauTauTrigger	0.2M	7.73%
/SUSYVBFHToAA_AToBB_AToTauTau_M-15_FilterTauTauTrigger	0.2M	7.35%
/SUSYVBFHToAA_AToBB_AToTauTau_M-20_FilterTauTauTrigger	0.2M	7.33%
/SUSYVBFHToAA_AToBB_AToTauTau_M-25_FilterTauTauTrigger	0.2M	7.23%
/SUSYVBFHToAA_AToBB_AToTauTau_M-30_FilterTauTauTrigger	0.2M	6.84%
/SUSYVBFHToAA_AToBB_AToTauTau_M-35_FilterTauTauTrigger	0.2M	6.97%
/SUSYVBFHToAA_AToBB_AToTauTau_M-40_FilterTauTauTrigger	0.2M	6.17%
/SUSYVBFHToAA_AToBB_AToTauTau_M-45_FilterTauTauTrigger	0.2M	6.67%
/SUSYVBFHToAA_AToBB_AToTauTau_M-50_FilterTauTauTrigger	0.2M	6.61%
/SUSYVBFHToAA_AToBB_AToTauTau_M-55_FilterTauTauTrigger	0.2M	6.51%
/SUSYVBFHToAA_AToBB_AToTauTau_M-60_FilterTauTauTrigger	0.2M	6.71%

Table A.11: Signal samples used in the analysis for the 2017 era. All belong to the RunIIFall17MiniAODv2 campaign and are produced with Madgraph and Pythia8. The second column is the number of events after the generator-level filter is applied, and the third column is the filter efficiency (percentage of all events that pass the generator-level filter).

Signal samples (2018)	# events	Filter eff.
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-12_FilterTauTauTrigger	0.4M	3.78%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-15_FilterTauTauTrigger	0.4M	3.49%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-20_FilterTauTauTrigger	1M	3.36%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-25_FilterTauTauTrigger	0.2M	3.46%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-30_FilterTauTauTrigger	0.2M	3.18%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-35_FilterTauTauTrigger	0.2M	3.28%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-40_FilterTauTauTrigger	1M	3.10%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-45_FilterTauTauTrigger	0.2M	3.21%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-50_FilterTauTauTrigger	0.2M	3.14%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-55_FilterTauTauTrigger	0.2M	3.56%
/SUSYGluGluToHToAA_AToBB_AToTauTau_M-60_FilterTauTauTrigger	1M	3.38%
/SUSYVBFHToAA_AToBB_AToTauTau_M-12_FilterTauTauTrigger	0.2M	7.78%
/SUSYVBFHToAA_AToBB_AToTauTau_M-15_FilterTauTauTrigger	0.2M	7.52%
/SUSYVBFHToAA_AToBB_AToTauTau_M-20_FilterTauTauTrigger	0.2M	6.87%
/SUSYVBFHToAA_AToBB_AToTauTau_M-25_FilterTauTauTrigger	0.2M	7.21%
/SUSYVBFHToAA_AToBB_AToTauTau_M-30_FilterTauTauTrigger	0.2M	6.51%
/SUSYVBFHToAA_AToBB_AToTauTau_M-35_FilterTauTauTrigger	0.2M	6.95%
/SUSYVBFHToAA_AToBB_AToTauTau_M-40_FilterTauTauTrigger	0.2M	6.81%
/SUSYVBFHToAA_AToBB_AToTauTau_M-45_FilterTauTauTrigger	0.2M	6.62%
/SUSYVBFHToAA_AToBB_AToTauTau_M-50_FilterTauTauTrigger	0.2M	6.56%
/SUSYVBFHToAA_AToBB_AToTauTau_M-55_FilterTauTauTrigger	0.2M	6.64%
/SUSYVBFHToAA_AToBB_AToTauTau_M-60_FilterTauTauTrigger	0.2M	6.75%

Table A.12: Signal samples used in the analysis for the 2018 era. All belong to the RunIIIAutumn18MiniAOD campaign and are produced with Madgraph and Pythia8. The second column is the number of events after the generator-level filter is applied, and the third column is the filter efficiency (percentage of all events that pass the generator-level filter).

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