



UNIVERSIDADE ESTADUAL DE CAMPINAS  
Instituto de Física Gleb Wataghin

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OTIMIZAÇÃO ONLINE DA ABERTURA DINÂMICA DO SIRIUS

ONLINE OPTIMIZATION OF SIRIUS DYNAMIC APERTURE

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Dissertação apresentada ao Instituto de Física Gleb Wataghin da Universidade Estadual de Campinas como parte dos requisitos exigidos para a obtenção do título de MESTRE EM FÍSICA, na Área de FÍSICA.

Thesis presented to the Gleb Wataghin Institute of Physics of the University of Campinas in partial fulfillment of the requirements for the degree of MASTER IN PHYSICS, in the area of PHYSICS.

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ESTE TRABALHO CORRESPONDE À VERSÃO FINAL DA TESE DEFENDIDA PELO ALUNO MATHEUS MELO SANTOS VELLOSO E ORIENTADA PELO PROF. DR. LIU LIN.

CAMPINAS

2023

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# Acknowledgements

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# Resumo

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# Abstract

Beam accumulation into the SIRIUS storage ring occurs in the off-axis scheme, for which the efficiency depends on a sufficiently large dynamic aperture (DA) - the region comprising stable transverse oscillations. In the design phase, SIRIUS DA was numerically optimized in the accelerator model using various techniques and during commissioning the optimized lattice was implemented in the machine. Recent measurements indicate that SIRIUS DA, although sufficiently large for an injection efficiency of around 85%, can be yet increased upon fine-tuning of sextupole magnets strengths, which govern the beam nonlinear dynamics and determine the DA. In this master's project, the student will carry out online optimization experiments to tune the ring nonlinear lattice and improve the DA and injection efficiency into the storage ring.

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# CHAPTER 1

## Introduction

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This dissertation presents the optimization work performed on the SIRIUS storage ring sextupole magnets with the objective to improve the ring's Dynamic Aperture and injection efficiency. The text is organized as follows:

- Chapter 1 introduces synchrotron light sources and the SIRIUS project
- Chapter 2 introduces the theoretical and scientific background of dynamics of particles in particle accelerators. Nonlinear dynamics is presented and its consequences are presented. Particular attention is drawn to the Dynamic Aperture.
- Chapter 3 reviews optimization algorithms, introduces online optimization in accelerators and the Robust Conjugate Direction Search (RCDS) algorithm.
- Chapter 4 describes the experimental methods and experiments carried out at the SIRIUS storage ring.
- Chapter 5 concludes this dissertation presenting some final remarks.

### 1.1 Storage ring-based synchrotron light sources

Synchrotron radiation (SR) refers to electromagnetic radiation emitted by charged relativistic particles as a result of being accelerated. The emitted intensity is the largest along the direction perpendicular to the that of the acceleration. In a circular accelerator, this implies the emission occurs along the curved trajectory's tangent.

The phenomenon was theoretically predicted in the early 1900's when Liénard and Wiechart calculated the retarded potentials—introduced by L. Lorenz—for point particles. Liénard calculated the energy lost by the electron due to the radiation emission and recovered Larmor's famous result . Synchrotron light was first observed experimentally at a General Electric's 70 MeV synchrotron<sup>1</sup> accelerator. It was named *synchrotron radiation* for this reason.

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<sup>1</sup>The term "synchrotron" refers to the accelerator technology based on the synchronicity between the charged particles period of revolution and the frequency of the electromagnetic fields exerting work on it to achieve and maintain high-energies.

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For nuclear and particle physicists, whom the first accelerators served, SR was in fact a detrimental side-effect of achieving high-energies. But since the light is strongly colimated and covers a broad spectrum, from infrared to hard X-rays, its potential for imaging techniques in condensed matter physics, materials science, molecular biology and chemistry was soon realized.

The community interested in SR for these purposes first revolved around big high-energy and nuclear physics machines and obtained SR parasistically from them, in the early 1960's. These are the so-called first-generation synchrotron light sources. With the increase of experiments using SR, accelerators were built for this specific purpose, which ignaugurated the second-generation. In thses machines, light was produced at the bending magnets.

A figure of merit measuring the quality of a SR source is its *brightness*, defined as the photon flux per unit area and per unit solid angle at the source

$$B(\omega) = \frac{F(\omega)}{\Omega_{xx'}\Omega_{yy'}\Delta\omega/\omega}, \quad (1.1)$$

where  $F(\omega)$  is the photon flux at energy  $E = \hbar\omega$ ,  $\Omega_{uu'}$  is the the  $(u, u')$  photon phase-space volumes, which depends on both the electron beam and photon beam distributions;  $\Delta\omega/\omega$  is the frquency bandwith. The growing community based on spectroscopy and crystallography experiments soon started to require maximum flux within small phase space volume (brightness) to improve the spectral resolution and match the incident beam to the small crystal sizes

In the 1990's, the introduction of *insertion devices* (IDs) such as *wigglers* and *undulators* characterized the third-generation machines. These devices consists on arrays of alternating dipolar fields which introcue additional transverse accelerations to the beam for the light production. The additional radiation output increased radiative damping reducing emittance and increasing brightness. IDs also allowed for control of radiation energy and polarization.

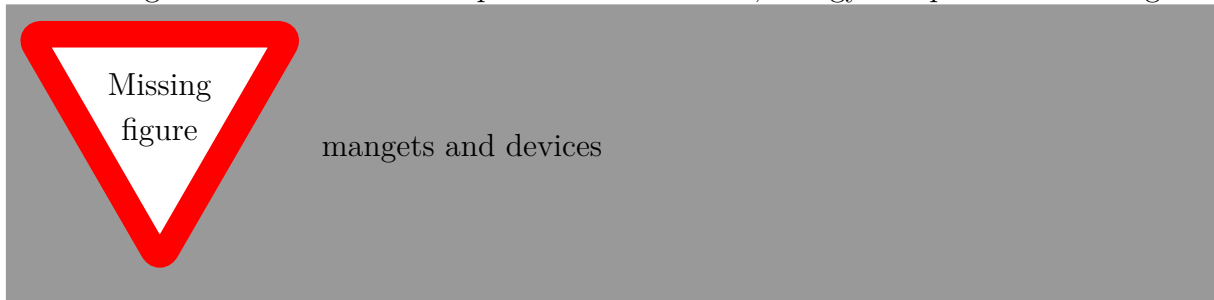
The 4th generation of SR sources was ignaugurated with the start of the comisioning of the MAX IV machine, in Lund, Sweden. The main advances with respect to the previous generatioin is the reduction by one to two orders of magnitude in the emittance, which was made possibile due to the recent technological advances. Soon after, an upgrade of the European Synchrotron Facility (ESRF) machine redered it the second 4th generation machine in the world (when?). SIRIUS, in Campinas, is the third in the world, the first in the global-south.

what about FEL's? Why are you always making sure to clarify youre talking about storage rings?

Usually, the accelerators systems of a synchrotron light source facility consists on the following devices

- electron gun (eGun): from which electrons are obtained. At SIRIUS, a cathode is used, and the electrons are ejected by thermoionic emission, at 90 keV energy.
- linear accelerator (LINAC): consisting on a array of cavities along whcih RF fields propagate with increasing group velocity, carrying the electron along with it. SIRIUS' LINAC accelerates electrons to about 150 MeV.
- booster ring: synchrotron accelerator in which the electron energy is ramped to the storage ring's nominal operating energy of 3 GeV.
- transport lines: along which the electron is transported from the linac to booster (LTB) and from the booster to the storage ring (LTS).
- storage ring: where ultra-relativistic electrons are kept stable during hours, oscillating around a closed orbit.

Synchrotron storage rings store ultra-relativistic electrons beams close to a reference design orbit. The orbit is determined by the deflection magnets strenthgs, the dipoles. The focusing towards the closed orbit is provided by gradient fields, mostly coming from quadrupole magnets at SIRIUS. Since focusing and deflection depends on the beam energy, small energy deviations in the beam's energy can lead to differential focusing. Using an analogy from geometric optics, the beam's focusing at the lens (quadrupoles) depends on its color (energy). To correct this chromatic aberration, "glasses" are necessary. They introduce geometric aberations responsible for uniform, energy-independent focusing.



The accelerators are kept within concrete tunnels for radiation safety. Tangentially to the nominal orbits, optical beamlines direct the SR photon beams to the experimental cabins where the experiments in condensed matter physics, chemistry, molecular and celular biology are carried out. SIRIUS has X experimenta beamlines.



## 1.2 The SIRIUS project

SIRIUS is the 4th generation storage ring-based synchrotron light source. It was designed, built and it operated by the Brazilian Synchrotron Light Laboratory, at the campus of the Center of Resarch in Energy and Materials (CNPEM), at Campinas, Brazil. At the time of writing, SIRIUS in one of the three machines of its kind operating in the world.

SIRIUS has finished commissioning in 2022 and since 2023 is receiving its first users. It is currently operating for user's beam with a 100 mA current, but is designed to achieve 350 mA when the system of superconducting radio-frequency cavities, as well as the higher-order-harmonic cavity are installed.

## 1.3 This dissertation problem

The persuit of low-emittances and high-brightnes pushed the accelerator community towards the 4th generation of storage rings. The particular arrangement of bending magnets which allowed for such low-emittances also requitres intese gradient fields provided by quadrupole magnets. Strong focusing, in turn, demands strong sextupolar fields for compensating chromatic effects, such as focusing dependence on the beam's small energy fluctuations. Since sextupole provide nonlinear fields, the dyamics in 4th generation storage rings has become increasingly nonlinear.

A quasi-periodic nonlinear dynamics subject to the smallest perturbations, such as small fields errors arising from rotation, alignment or excitation errors, can become unstable at large oscillation amplitudes. The instabilities result in limitations to large transverse oscillation amplitudes the machine can support. This amplitude is known as the Dynamic Aperture of the ring.

In ordinary operation condition, the equilibrium beam distribution is much smaller than the DA. One situation in which the DA is important for operation is during the injection process. The beam is extracted from the booster accelerator and enters the storage ring after passing through a transport line. It is then deflected by pulsed nonlinear magnets to make it parallel to the storage ring, but with a horizontal offset of approximately  $x = -8$  mm. If the DA is smaller than that, it limits the injection efficiency for beam accumulation.

The choice of placement, symmetry and strength of sextupoles was chosen based on the optimization of the simulated dynamic aperture and beam-lifetime in the machine computer model. The average performance of the configurations in the presence of several magnets errors (simulating the expected errors in the real machine) was optimized and the obtained optimzed lattice was then implemented in the machine during the comissioning phase. The real machine, is basically a realization of such error configurations, and renders

the machine a certain performance.

Prior to the optimization work, the Dynamic Aperture was measured to be , which rendered an average of injection efficiency. The main difficulty was the typical fluctuations in the efficiency .

Since the lattice configuration implemented is in principle close to the optimum configuration, it is reasonable to assume that small nudges and adjustments on the sextupoles strengths could accomodate the lattice to the physically realized errors distribution, improving the nonlinear dynamics performance, the DA and ultimately, the injection efficiency and its stability. Online optimization consists on choosing computer-automated direct search strategies to seek the optimum sextupole configurations rendering the larges dynamic aperture.

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## CHAPTER 2

# Theoretical Background

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Ultra-relativistic beams of electrons are injected into the SIRIUS storage ring with the ring nominal operating energy of 3 GeV. The beam is injected in the form of electron bunches, with characteristic length, width and size.

The storage ring is designed to confine the bunches and steer them along a reference closed orbit which is achieved by specifying dipolar magnetic fields along the orbit such that the integrated effect is an angular deviation of  $2\pi$  in the beam's trajectory. Additionally, to keep electrons close to the closed orbit, it is also necessary to specify gradient magnetic fields with strengths proportional to the beam's transverse deviations. These fields provide alternating focusing and defocusing of the beam in such a manner that their overall effect is to restore the beam towards the design orbit.

To correct chromatic aberrations in the beam's motion, i.e. a dependence of focusing with the beam's energy, and guarantee correct focusing despite energy deviations from the nominal value, sextupolar magnetic fields are also introduced, providing fields depending quadratically on the deviations from the nominal orbit. These fields introduce strong nonlinearities in the dynamics.

When having its trajectory bent at the dipoles and insertion devices<sup>1</sup>, the beam loses energy in the form of synchrotron radiation. To maintain the beam stored, the energy lost must be replenished. To this aim, radio-frequency (RF) cavities are placed along the ring to provide oscillating electric fields parallel to the longitudinal direction. The work done in the beam by the fields restore its energy.

The radiated photons are emitted in a narrow cone with angular aperture of  $1/\gamma$ ,  $\gamma$  being the relativistic Lorentz factor ( $\sim 6000$  at SIRIUS storage ring). The photons carry away a fraction of the beam's energy and momentum, in both the longitudinal and transverse directions, but when passing through RF cavities, only momentum in the longitudinal direction is replenished. This leads to an overall damping of transverse amplitudes.

On the other hand, the quantum nature of the emitted radiation leads to the excitation of transverse oscillations, which is known as quantum excitation. When a

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<sup>1</sup>Insertion devices (IDs) consist on arrays of magnetic blocks arranged to provide additional deflection of the beam's trajectory for the production of synchrotron radiation. IDs allow for fine-tuning of the fields and as consequence of the characteristics of the emitted radiation, such as the energy and polarization.

photon carries away energy, it depletes the electrons energy by the same amount. It thus changes the reference orbit of the electron in certain regions of the ring (dispersive regions), inducing oscillations. Eventually, equilibrium between radiative damping and quantum excitation is achieved, leading the rms values of each electron's amplitudes to reach a stationary regime.

Each one of the beam's degrees of freedom defines an acceptance: limits that when exceeded can lead to instabilities and eventually beam losses. The most obvious acceptance is the transverse acceptance: the beam motion is bounded by a vacuum chamber and collisions with the chamber's physical aperture leads to losses. Additionally, the beam also has an energy acceptance: a tolerance for energy deviations from the nominal value that when exceeded can lead to a suboptimal energetic balance, deviations from the nominal orbit and eventually collisions with the vacuum chamber.

The beam is also subject to elastic and inelastic collisions with residual gas molecules within the chamber and also the collisions between electrons within the same bunch, and other kinds of interactions with wake-fields from other bunches. The losses and their occurrence rates define the characteristic time scale at which a given electron current survives in the ring. This is the beam lifetime and determines the rate at which injections into the storage ring are required.

Because of the nonlinearities introduced by the sextupole magnets, the transverse acceptances can be limited not by the physical aperture but rather by the amplitudes above which motion is irregular, unstable and unbounded. This limiting amplitude is known as the dynamic aperture (DA), a term that can be used to refer to amplitudes in the transverse space  $x, y$  or to the phase space coordinates  $x, p_x$  and  $y, p_y$ .

Despite the complicated physics involving the transverse oscillations as well as the energy oscillations, the damping and the excitation of amplitudes, the collective effects and the instabilities, for the purpose of this dissertation, it is sufficient to model the motion of a single electron, neglecting radiation losses and any other collective interactions.

The electron travels along the ring at the speed of light and executes transverse oscillations in two orthogonal planes. The dynamics takes place in a 4-dimensional phase space which is the dynamics of two independent quasi-periodic oscillators. These simplifications are justified for our immediate purposes because:

- the linear, uncoupled dynamics it renders serves as a building block upon which elaborate modeling can be carried out, incorporating coupling, nonlinearities and perturbations
- in the machine, the amplitudes are ultimately damped out and reach an equilibrium regime. Estimating maximum amplitudes accommodated by the dynamics neglecting radiative damping corresponds to an upper bound

- radiation losses/gains are only significant over a time scale of a couple of turns. Over this period, tens of transverse oscillations are carried out.
- collective instabilities?

Next, the single-particle dynamics is presented with the aim of defining quantitatively the dynamic aperture and the characteristics of the dynamics in electron storage rings. Throughout the modelling, optical functions and parameter for the SIRIUS storage rings are also presented.

## 2.1 Motion of charged particles in magnetic fields

An electron of charge  $e$  and momentum  $p$  follows a circular orbit of radius  $\rho$  when interacting with an uniform and time-independent magnetic field of magnitude  $B$ , pointing along the perpendicular to the orbit plane. In such conditions, Lorentz force law predicts that

$$R(p) \equiv B\rho = \frac{p}{e}. \quad (2.1)$$

Consider now an electron traveling along a curve parametrized by the arclength  $s$  with respect to an arbitrary reference point. The interaction with fields  $B_x(x, y, s)$  and  $B_y(x, y, s)$ , both perpendicular to the electron's motion, results in deflections of the trajectory. The deflection angles are given by

$$\begin{aligned} d\theta_x &= \frac{ds}{\rho_x(s)} = \frac{e}{p} B_y(x, y, s) ds = \frac{1}{R(p)} B_y(x, y, s) ds, \\ d\theta_y &= \frac{ds}{\rho_y(s)} = \frac{e}{p} B_x(x, y, s) ds = \frac{1}{R(p)} B_x(x, y, s) ds. \end{aligned} \quad (2.2)$$

Where (2.1) has been used to replace the  $p/e$  ratio by the *magnetic rigidity*  $R(p)$ , which is defined as the product of the uniform field strength needed for a beam with momentum  $p$  and charge  $e$  to perform circular orbit with radius  $\rho$ . The rigidity depends solely on the electron's momentum/energy and gives the appropriate normalization to evaluate the instantaneous angular deflections in the electron's trajectory caused by magnetic fields.

Add deflection figures

## 2.2 Storage rings

draw my own figure

Figure 2.1 sketches the typical design of a storage ring. For the purpose of storing a beam of electrons in closed orbits, magnetic fields defining a closed orbit are necessary. The angular deflections should add up to  $2\pi$ , and the specification of the

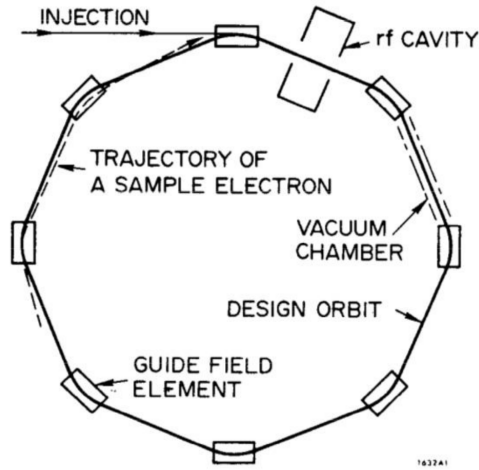


Figure 2.1: Storage ring typical configuration. From [?]

beam's operating energy determines the integrated field required for causing the closed orbit deflections.

For providing stability, focusing towards the reference closed orbit is also needed, and can be attained with the introduction of gradient fields whose strengths depend linearly on the transverse excursions from the reference orbit. Such fields are provided mainly by quadrupole magnets, which are physically realized by specifying magnetic poles with the shape of truncated hyperbolas.

Sextupole magnets are also usually included in the design of storage rings. The fields they produce is quadratic with transverse displacement and are needed for correction of chromatic errors in the dynamics.

add magnets and field profile figures

## 2.3 The coordinate system

A convenient coordinate frame to describe the dynamics in storage rings can be constructed by imagining a reference particle traveling along a curve drawn by the tip of a vector  $\mathbf{r}_0$ , as Fig. 2.2 shows. The particle travels a distance  $s$  along the ring, which can be used to parametrize the motion. The triad of direction vectors consists of a vector  $\hat{\mathbf{s}}$ , tangent to the trajectory, a vector  $\hat{\mathbf{x}}$  normal to it, pointing in the direction at which  $\hat{\mathbf{s}}$  changes and a vector  $\hat{\mathbf{y}} = \hat{\mathbf{x}} \times \hat{\mathbf{s}}$ , bi-normal to the trajectory. This construction leads to a Frenet-Serret reference frame.

Assuming no curvature in the  $y$  plane, i.e. that the accelerator defines a curve whose plane is parallel to the ground, then the unit vectors defining the frame can be calculated by [?]

$$\hat{\mathbf{s}} = \frac{d\mathbf{r}_0}{ds}, \quad \hat{\mathbf{x}} = -\rho \frac{d\hat{\mathbf{s}}}{ds}, \quad \hat{\mathbf{y}} = \hat{\mathbf{x}} \times \hat{\mathbf{s}}, \quad (2.3)$$

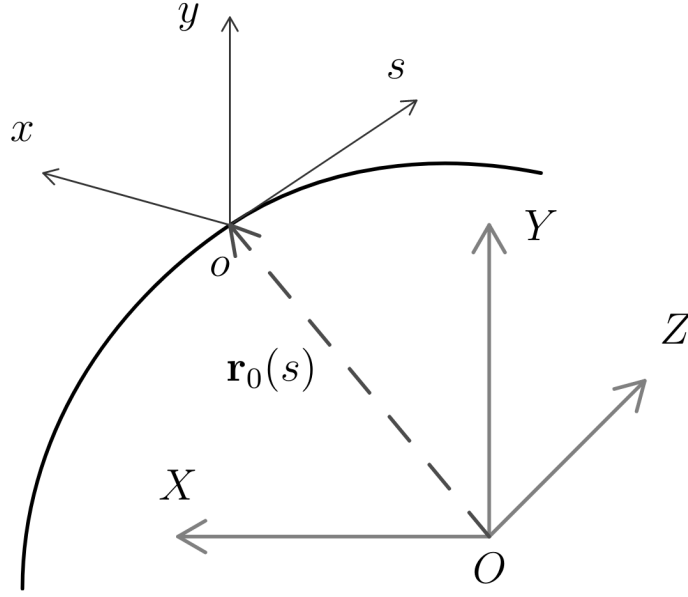


Figure 2.2: The Frenet-Serret coordinate system. From [?].

where  $\rho(s) = \|\mathrm{d}\hat{\mathbf{s}}/\mathrm{d}s\|^{-1}$  is the local curvature radius<sup>2</sup>. The vectors evolve along  $s$  as prescribed by the Frenet-Serret equations:

$$\frac{\mathrm{d}\hat{\mathbf{s}}}{\mathrm{d}s} = -\frac{1}{\rho(s)}\hat{\mathbf{x}}, \quad \frac{\mathrm{d}\hat{\mathbf{x}}}{\mathrm{d}s} = \frac{1}{\rho(s)}\hat{\mathbf{s}}, \quad \frac{\mathrm{d}\hat{\mathbf{y}}}{\mathrm{d}s} = 0, \quad (2.4)$$

The frame thus depends solely on the geometry of the specified path. Since the curvature is defined by the dipolar fields  $B_0(s)$  in the  $y$  direction, then, eq. (2.2) leads to

$$G(s) \equiv \frac{1}{\rho(s)} = \frac{B_0(s)}{R_0}, \quad (2.5)$$

where  $R_0$  is the rigidity for the beam at the nominal energy.

## 2.4 Hamiltonian for the relativistic electron

The dynamics of relativistic electrons influenced by electromagnetic fields  $(\Phi, \mathbf{A})$  is encapsulated by the Hamiltonian

$$H = \sqrt{m^2c^4 + (\mathbf{P} - q\mathbf{A})^2c^2} + e\Phi,$$

$e$  being the elementary charge and  $\mathbf{P} = \mathbf{p} + e\mathbf{A}$  the canonical momentum. The following steps are followed to obtain equations of motion for electrons in the storage ring:

- A canonical transformation to change coordinates is applied in order to describe the

<sup>2</sup>For a circular trajectory,  $\mathbf{r}_0 = (R\cos(s/R), R\sin(s/R), 0)$ ,  $0 \leq s \leq L$  (check), in the cartesian laboratory frame.  $\hat{\mathbf{s}} = (-\sin(s/R), \cos(s/R), 0)$ ,  $\mathrm{d}\hat{\mathbf{s}}/\mathrm{d}s = -R^{-1}(\cos(s/R), \sin(s/R), 0)$  and  $\rho(s) = R$

motion in terms of the Frenet-Serret frame variables  $x, y$ ;

- Instead of time  $t$ , the Hamiltonian and the dynamical variables are described as functions of  $s$ , the longitudinal position along the ring;
- Geometric quantities are used: canonical momenta are the angles  $x' = dx/ds$  and  $y' = dy/ds$  with respect to the nominal orbit;
- Paraxial approximation: transverse momenta are assumed to be way smaller than longitudinal momentum;

All of these steps are shown in detail in textbooks such as Refs. [?, ?, ?]. Neglecting RF cavities ( $\Phi = 0$ ) and radiation losses, the energy is a constant parameter and the dynamics will consist solely on the transverse degrees of freedom. In this 4-dimensional dynamics, the set of canonical variables are  $(x, p_x, y, p_y)$ , where

$$\begin{cases} p_x = x'(1 + \delta), \\ p_y = y'(1 + \delta), \end{cases} \quad (2.6)$$

and

$$\delta = \frac{P - P_0}{P_0} \approx \frac{E - E_0}{E_0} \quad (2.7)$$

where the ultra-relativistic approximation  $E \approx pc$  was used.

Hamilton's equations for the Hamiltonian in the paraxial approximation lead to the equations of motion for 4D dynamics

$$x'' = -\frac{(1 + Gx)^2}{1 + \delta} \frac{B_y}{R_0} + G(1 + Gx), \quad y'' = \frac{(1 + Gx)^2}{1 + \delta} \frac{B_x}{R_0} \quad (2.8)$$

where  $R_0 = p_0/e$  and  $G(s)$  defined as in Eq. (2.5).

Fields influencing the beam are those of dipoles, quadrupoles and sextupoles. Their functional forms are

- Horizontal Dipole:

$$B_x = 0, \quad B_y = B_0$$

- Normal quadrupole

$$B_x = B_1 y, \quad B_y = B_1 x$$

- Normal sextupole

$$B_x = B_2 xy, \quad B_y = \frac{1}{2} B_2 (x^2 - y^2)$$

These are the so-called *normal multipole fields*. There also exists *skew multipole fields*, which couple the horizontal and vertical dynamics. We will neglect skew fields and coupling for now.

In the equations of motion, eqs. (2.8), the magnetic rigidity normalizes all the fields. We define the dipolar, quadrupolar and sextupolar functions by

$$G(s) = \frac{B_0(s)}{B\rho}, \quad K(s) = \frac{B_1(s)}{B\rho}, \quad S(s) = \frac{B_2(s)}{B\rho}. \quad (2.9)$$

## 2.5 Linear Dynamics

### Linear equations of motion

Expansion of eqs. (2.8) up to first order in the  $x, y, \delta$  variables leads to [?]

$$x'' + (G^2 + K)x = G\delta, \quad y'' - Ky = 0. \quad (2.10)$$

For on-momentum particles,  $\delta = 0$ , both equations reduce to Hill's equations

$$u'' + K_u(s)u = 0, \quad (2.11)$$

which are a pair of parametric oscillators for  $u = x, y$ , with  $s$ -dependent focusing functions

$$K_x(s) = G^2(s) + K(s), \quad K_y(s) = -K(s).$$

Motion in the linear approximation thus consists on oscillations around the closed orbit, known as betatron oscillations.

### Pseudoharmonic description

The solutions for the equations of betatron motion can be cast in a amplitude-phase (WKB) form

$$u(s) = \sqrt{2\beta_u(s)J_u} \cos(\phi_u(s) + \phi_0), \quad (2.12)$$

where  $\beta_u(s)$  must satisfy the boundary value problem

$$\frac{1}{2}\beta_u'' + \beta_u K_u(s) - \frac{1}{\beta_u} \left( \frac{1}{4}\beta_u'^2 + 1 \right) = 0, \quad \begin{cases} \beta_u(0) = \beta_u(L) \\ \beta_u'(0) = \beta_u'(L) \end{cases} \quad (2.13)$$

and the phase advance must be

$$\phi_u(s) = \int_0^s \frac{1}{\beta_u(\sigma)} d\sigma. \quad (2.14)$$

The betatron functions for the SIRIUS storage ring are shown in Fig. 2.3.

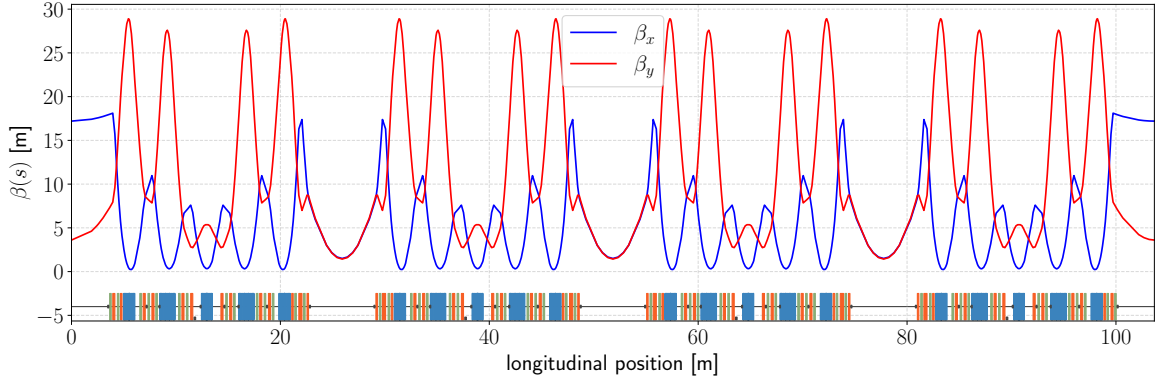


Figure 2.3: Betatron functions for the SIRIUS storage ring. Colored blocks represent the magnets of the accelerator lattice: blue for dipoles, orange for quadrupoles and green for sextupoles. The ring has a 5-fold symmetry, with the lattice and betatron function repeating the same pattern shown above five times up to  $s = 518$  m

An important feature of the dynamics is the *tune*: the phase advance per ring revolution

$$\nu_u = \frac{1}{2\pi} \int_s^{s+L} \frac{d\sigma}{\beta_u(\sigma)} \equiv \frac{1}{2\pi} \oint \frac{ds}{\beta_u(s)}.$$

The analysis of perturbations and nonlinearities shows that the tunes are a critical variables in determining the beam's response to perturbations. More specifically, the tunes impact over disturbances amplification factors, which are greatest when tunes are close to integer numbers.

### Turn-by-turn motion

In the  $u, u'$  phase space, the quasi-periodic motion traces out ellipses. This can be verified by calculating the derivative

$$u'(s) = -\sqrt{\frac{2J_u}{\beta_u}} \left[ \sin(\phi_u(s) + \phi_0) + \frac{1}{2} \beta'_u(s) \cos(\phi_u(s) + \phi_0) \right], \quad (2.15)$$

defining  $\alpha_u = \frac{\beta'_u}{2}$  and  $\gamma_u = \frac{(1+\alpha_u^2)}{\beta_u}$  and checking that  $u, u'$  satisfy the quadratic form

$$2J_u = \gamma_u u^2 + 2\alpha_u u u' + \beta_u u'^2. \quad (2.16)$$

The ellipse properties are defined by the  $\beta(s), \alpha(s)$  and  $\gamma(s)$  functions, also known as Courant-Snyder (C-S) parameters or Twiss parameters. Tracking a particle's transverse position and momenta for several turns at some fixed point along the ring results in the ellipse with shape specified by the C-S parameters. Since the parameters are functions of the position  $s$ , then, at each point along the accelerator, the Poincaré Section  $u, u'$  displays a different ellipse for each point.



Since the phase advance over a turn is  $2\pi\nu + \phi_0$ , the phase advance after the  $j$ -th turn is  $2\pi\nu j + \phi_0$ , and thus sampling the transverse motion at a fixed  $s = s_0$  position reveals a harmonic displacement

$$u_j(s_0) = \sqrt{2\beta_u(s_0)J_u} \cos(2\pi\nu_u j + \phi_u(s_0)). \quad (2.17)$$

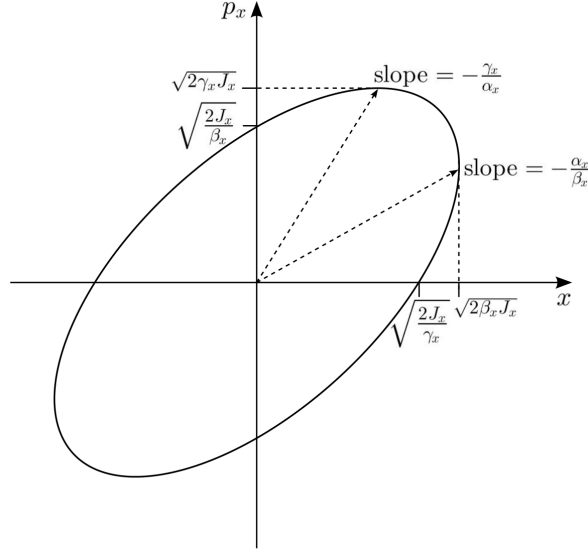


Figure 2.4: Phase space ellipse traced by tur-by-turn (TbT) motion in the  $(x, p_x)$  phase space. Optics functions determine the principal axes ratios and the inclination of the ellipse at each longitudinal position along the ring. From [?].

## Dispersion

The equation of motion for off-momentum particles in the horizontal plane is the non-homogeneous Hill's equation. The solution consists on the linear combination of the homogeneous solutions in the phase-amplitude form plus the particular solution:  $x = x_\beta + x_\delta = x_\beta + \eta(s)\delta$  where  $\eta(s)$  is the *dispersion function*, satisfying

$$\eta'' + (G^2 + K)\eta = G, \quad \begin{cases} \eta(0) = \eta(L), \\ \eta'(0) = \eta'(L). \end{cases}$$

The periodicity in the  $\eta(s)$  function is required if we want to interpret  $\eta$  as closed orbit per momentum deviation. Thus, off-momentum particles perform betatron oscillations around a dispersive orbit. The dispersion function for the SIRIUS storage ring is shown in Fig. 2.5

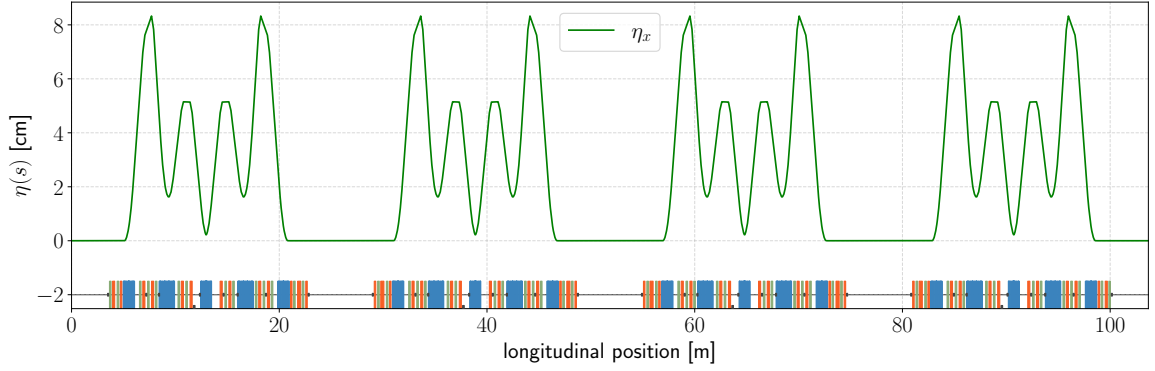


Figure 2.5: Dispersion function for SIRIUS superperiod.

### Field Errors

In the presence of additional dipolar and quadrupolar fields  $\Delta G$  and  $\Delta K$ , respectively, the orbit and focusing are changed. Assuming these are small perturbations and not strong enough to kill the beam, we can evaluate the disturbances to the unperturbed dynamics. The closed orbit distortion due to a single dipole error  $\Delta G$  reads

$$x_{\text{co}}(s) = \frac{\sqrt{\beta(s)\beta_0}}{2 \sin \pi \nu} \Delta G \cos(|\phi(s) - \phi_0| - \pi \nu). \quad (2.18)$$

For a distribution  $\Delta G(s)$  of dipolar perturbations along the ring, we sum over the contributions, and obtain the total disturbance

$$x_{\text{co}}(s) = \frac{\sqrt{\beta(s)}}{2 \sin \pi \nu} \int_s^{s+L} \Delta G(\sigma) \sqrt{\beta(\sigma)} \cos(\pi \nu + \phi(s) - \phi(\sigma)) d\sigma. \quad (2.19)$$

As for gradient errors, focusing is changed, which leads to changes in the beta function and phase advance. The tune-shift as a consequence of a gradient error present “during” a small extent  $\Delta s$  along the ring is

$$\Delta \nu \approx \frac{1}{4\pi} \beta_0 \Delta K \Delta s. \quad (2.20)$$

Again, for a distribution of errors we sum over the ring:

$$\Delta \nu \approx \frac{1}{4\pi} \oint \beta(s) \Delta K(s) ds. \quad (2.21)$$

Is also possible to show that the relative beta-function error, known as beta-beating, reads

$$\frac{\Delta \beta(s)}{\beta(s)} = -\frac{1}{2 \sin(2\pi \nu_0)} \int_s^{s+L} \Delta K(\sigma) \cos(2\phi(\sigma) - 2\phi(s) - \phi_0) d\sigma. \quad (2.22)$$

## Chromaticity

Energy deviations affect not only the closed orbit by means of the dispersion effect. A more/less energetic beam has higher/lower rigidity and thus is focused differently when passes through quadrupoles.

Expanding the equations of motion, (2.8), for off-energy particles up to the order of terms  $u\delta$  ( $u = x, y$ ) gives the additional higher-order gradient terms

$$\Delta K_x = -(K_1 + 2G^2)\delta \approx K_x\delta \quad (2.23)$$

$$\Delta K_y = K_1\delta = -K_y\delta \quad (2.24)$$

This means there exists an energy-dependent tune-shift effect, which, using eq. (2.21), reads

$$\Delta\nu_i \approx -\frac{1}{4\pi} \oint \beta K_i \delta \, ds, \quad (2.25)$$

for the  $i = x, y$  planes.

We can define the *linear chromaticity* in the  $i = x, y$  direction as energy error-induced tune-shift  $\Delta\nu_i$  per energy deviation  $\delta$

$$\xi_i = \frac{d\nu_i}{d\delta}. \quad (2.26)$$

This uncorrected chromaticity is also called natural chromaticity. Using expression (2.25) for the tune-shift, the natural chromaticity reads

$$\xi_{i,\text{nat}} \approx -\frac{1}{4\pi} \oint K_i \beta_i \, ds. \quad (2.27)$$

To correct this chromatic effect, we need to introduce sextupolar fields in the lattice, specifically in the dispersive regions. In such regions, off-energy particles should have a deviation from the design closed orbit. Their position reads  $x(s) = x_\beta(s) + \eta(s)\delta$ , where  $x_\beta(s)$  consists on the betatron oscillations. Since sextupolar fields are of the form

$$B_x = B_2xy, \quad B_y = \frac{B_2}{2}(x^2 - y^2),$$

then, the off-momentum particles “see” the fields

$$B_x = B_2(x_\beta y + \eta\delta y), \quad B_y = \frac{B_2}{2}(x_\beta^2 - y^2) + B_2x_\beta\eta\delta + \frac{B_2}{2}(\eta\delta)^2,$$

So, to lowest, order they feel a dipolar perturbation and the gradient error

$$\Delta K_{x,y}(\delta) = \pm S\eta\delta.$$

Considering both the energy deviation-induced gradient errors and the sextupole gradient effect, we have a total error  $\Delta K = (K - S\eta)\delta$  in eq. (2.21). The chromaticity in a lattice with sextupoles thus reads

$$\xi_{x,y} = \mp \frac{1}{4\pi} \oint \beta_{x,y} (K_{x,y} - S\eta) ds,$$

which depends linearly on sextupole strengths, allowing for the correction of chromaticity to specified values. The cost of correcting chromaticity is the insertion of perturbations and nonlinearities in the dynamics.

## 2.6 Nonlinear Dynamics and Perturbations

### Action-Angle Variables

Betatron motion of equation (2.11) can be obtained as Hamilton's equations for the effective, linear Hamiltonian

$$\mathcal{H} = \frac{1}{2}u'^2 + \frac{1}{2}K_u(s)u^2. \quad (2.28)$$

A transformation  $(u, u') \rightarrow (\psi, J)$  to Action-angle variables is implicitly implemented by the type-1 generating function

$$F_1(u, \phi_u) = \int u' du = \frac{u^2}{2\beta_u} \left( \tan \phi_u - \frac{\beta'_u}{2} \right). \quad (2.29)$$

The action variable reads

$$J_u = -\frac{\partial F_1}{\partial \phi_u} = \frac{u}{2\beta_u} \sec^2 \phi_u = \frac{1}{2\beta_u} [u^2 + (\beta_u u' + \alpha_u u^2)], \quad (2.30)$$

from which we recover the pseudo-harmonic form  $u = \sqrt{2\beta_u J_u} \cos(\phi_u(s) + \phi_0)$ .

In the  $J, \phi$  variables, the new hamiltonian is  $H_0(\phi, J)$ , given by

$$H_0 = \mathcal{H} + \frac{\partial F_1}{\partial s} = \frac{J}{\beta}. \quad (2.31)$$

Performing the change to action-angle variable in both the horizontal and vertical planes we find the new Hamiltonian for 4D dynamics

$$H_0 = \frac{J_x}{\beta_x} + \frac{J_y}{\beta_y}, \quad (2.32)$$

and Hamilton's equations read

$$\phi'_u = \frac{1}{\beta_u(s)}, \quad J'_u = 0. \quad (2.33)$$

### Perturbations and tune-shifts

Linear motion is integrable, since it can be written in terms of the action variable only (angle-independent Hamiltonian). This leads to the action variable being a constant of motion, and the phase advance behaving just as the pseudo-harmonic motion anticipated.

Linear motion, though, is only a useful first approximation. In reality, in an storage ring, there are higher order multipole magnets, such as sextupole magnets, and also multipole, alignment and excitation errors, all acting as perturbations to linear motion. Generically referring to perturbations as  $V(J, \phi)$ , we can write the perturbed motion Hamiltonian

$$H(J, \phi) = H_0 + V(J, \phi). \quad (2.34)$$

Hamilton's equations read

$$\phi'_u = \frac{1}{\beta_u(s)} + \frac{\partial V(J, \phi)}{\partial J_u}, \quad J'_u = \frac{\partial V(J, \phi)}{\partial \phi_u}. \quad (2.35)$$

Since the tunes consist on the phase advance per revolution, we immediately see that the presence of perturbations leads to tune-shifts. Generically thus, the tunes can be expressed in terms of the tune-shifts as

$$\nu_0 = \nu_{u0} + \xi_u(\delta)\delta + \alpha_{uu}J_u + \alpha_{uv}J_v$$

where  $\xi_u$  represents the energy-dependent tune-shifts (higher order generalization of linear chromaticity), and the other components consist on the amplitude-dependent tune-shifts, up to first order in the actions.

### Ressonances

4D linear unperturbed motion consists on the motion of two uncoupled parametric oscillators. The phase-space is diffeomorphic to the 2-Torus,  $\mathbb{T}^2$ , and there are an infinite number of such tori, corresponding to the different choices of initial conditions  $J_u$ .

Canonical perturbation theory applied to perturbed motion fails to converge whenever the ratio of tunes is sufficiently rational. The Poincare-Birkhoff theorem states that under such conditions, almost all the periodic phase-space orbits disappear. An even number of tori survives, half of which are stable and half unstable. Unstable motion in a storage ring can eventually lead to beam loss.

The condition for sufficiently rational tunes can be expressed as

$$m\nu_x + n\nu_y = \ell,$$

for  $n, m, \ell \in \mathbb{Z}$ . This condition defines lines in tune-space corresponding to the locus in which perturbation theory fails and motion can become unstable. These are resonance lines and  $|n| + |m|$  is the order of the resonance. Figure 2.6 shows resonance lines for the resonances up to second, third and fourth order respectively. First order resonances can be excited by dipolar fields, 2nd order resonances can be excited by quadrupole fields and 3rd order resonances can be driven by sextupolar fields.

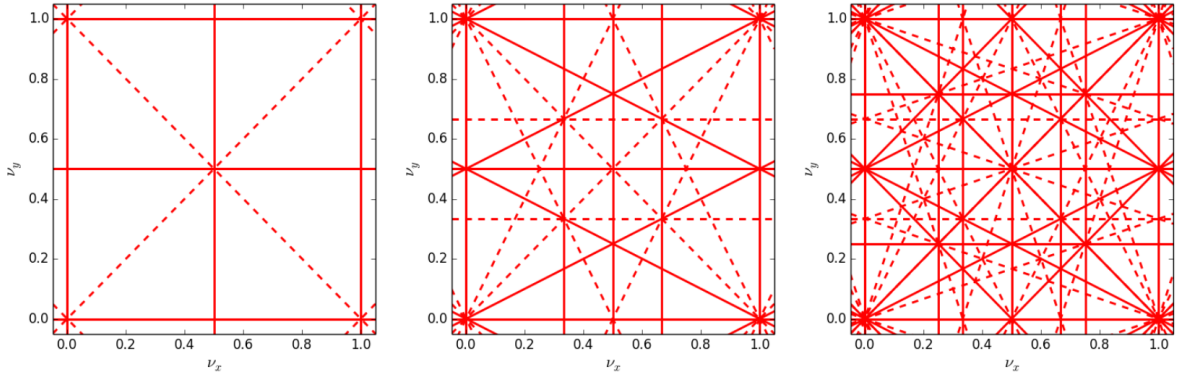


Figure 2.6: Resonance lines in tune space up to 2nd, 3rd and 4th order, respectively.

## Dynamic Aperture

Nonlinear dynamics can become sensitive to initial conditions when the amplitudes are large. Because of the tune-shifts, specially the amplitude-dependent tune shifts, the tunes can wander in tune space, eventually crossing resonance conditions that may lead to instabilities, chaotic motion and beam loss. The dynamics can impose limitations to the maximum transverse deviations in which the beam can oscillate while displaying regular and bounded motion. This is a dynamic restriction to the motion known as the *dynamic aperture*.

Exceeding the dynamic aperture eventually leads to beam loss. During injection of the beam, if the transverse offsets are larger than the dynamic aperture, the beam is not captured into the storage ring. This is specially important for off-axis injection, such as in the case for SIRIUS.

# CHAPTER 3

## Online Optimization

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This chapter defines, introduces and justifies online optimization in the context of accelerators. A brief overview of optimization algorithms and their classifications is presented. The Robust Conjugate Direction Search (RCDS) algorithm is introduced as well as the other routines from which it was derived from.

This chapter adds no novelty to the literature in optimization. It is just an overview for merely pedagogic purposes. It is mostly based on the discussion presented by the classic Numerical Recipes, as well as Refs.

### 3.1 Defining Online Optimization

Suppose we have a machine (we do) in which there is some sort of figure of merit depending on the collective state of some set of relevant components, parts or operation modes—our parameters. There is no mechanistic/deterministic or probabilistic model for the dependence of the figure of merit on the reparameters state, but we do know the parameters affect the figure of merit. We may call these relevant parameters as knobs, since we can use them to tune the figure of merit.,

Now suppose we want to tune the knobs so the figure of merit reaches a certain value, or so that it is minimized or maximized. This is an optimization problem, and we might as well call the figure of merit our objective function. Since the whole system is a black-box, to measure different values for the objective function, i.e., to sample it, we need to change the knobs and measure it again. The tuning procedure is thus based on trial-and-error.

If we are able to devise a computer-automated strategy to seek for the desired value or extremum of the objective function, then running this program while the machine is up and working is what we define as online optimization. The program must measure the objective function and read the current state of the knobs, calculate/decide and apply the changes on the knobs, measure the objective again and evaluate and judge the quality of the changes carried out. The process is iterated until the desired outcome is reached.

This black-box, heuristic optimization problem describes the Dynamic Aperture optimization problem very well. The DA is a figure of merit related to the nonlinear

dynamics—in SIRIUS’ case, the sextupole magnets. There is no analytical/statistical<sup>1</sup> model predicting DA changes given sextupole nudges so we cannot invert the problem and tune sextupoles to A desired DA value. The tuning procedure must be based on trial-and-error.

## 3.2 Justifying Online Optimization

Running online optimization in a machine will find the nearest extremum (minimum/maximum). In other words, if no stochasticity element is brought into the routine to diversify the search along the parameter space, it will find local, not global extrema. How can we be sure the local minima are the best solution for the optimization problem?

It seems that we will never know, but it actually does not matter. A good-performing solution is all we care about as long as other operation parameters are not affected (more details on the next chapter). But there are reasons to believe the local minima found are actually the global ones and it has to do with how accelerators are designed and the origins of deterioration of the dynamic aperture in the machine.

Because there are correction schemes for the linear dynamics in accelerators, the Dynamic Aperture, i.e. limitations to the allowed oscillation amplitudes, arises because of perturbations acting in a nonlinear dynamics. Other than that, the only limitation would be the physical aperture<sup>2</sup>. The strength and symmetry of the whole magnets lattice is decided based on simulating several possible machine lattice configurations and evaluating parameters such as the dynamic aperture and the beam-lifetime. The best performing and viable solution (lattice) is implemented in the real machine.

In the real machine, additional errors arising from magnets misalignment or any fields deviations can (and will) introduce additional perturbations and can deteriorate the DA. The simulating procedure actually does take into consideration the existence of errors: they are introduced in the model during evaluation of the figure of merit parameters and the best performing lattice on average is chosen.

In the machine, a particular error configuration is physically realized, and we are thus dealing with one possible lattice realization, for which the optimum configuration is not that with the largest average DA or lifetime. But we expect it to be not too far from that reference configuration chosen and applied to the machine. Online optimization thus consists on adjusting the sextupole lattice to the physically realized machine lattice so that it reaches its best-performing configuration.

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<sup>1</sup>in principle, a surrogate model could be trained to reproduce dynamic aperture given the sextupole strengths as inputs. This is not what we have done so far

<sup>2</sup>Unperturbed nonlinear motion can display no limitations to oscillation amplitudes



### 3.3 Robust Conjugate Direction Search

Optimization routines and algorithms are usually classified according to whether they rely on the calculation of derivatives (gradient-based) or solely on the comparison of the objective function values (gradient-free). The latter can yet be classified into direct- or indirect-search methods, depending on whether the search of the extremum relies on direct comparisons of the objective function itself or from a mathematical model of it, respectively [?].

Both gradient-based and gradient-free strategies rely on the comparison of the objective function at different points of the parameter space. If the objective function suffers from noise this can significantly reduce the efficiency of the optimization routine [?, ?]. In Chap. 7 of Ref. [?], a review of the most popular optimization algorithms shows how most of them suffer to find minima to, at least, the precision of the noise- $\sigma$  the objective function is subjected to.

The Robust Conjugate Direction Search (RCDS) algorithm is a indirect-search, gradient-free optimization algorithm introduced in Ref. [?]. The algorithm consists of a main loop for constructing and managing optimal search directions along the knobs space (Powell’s Method) and a one-dimensional optimizer responsible for a noise-aware search for the minimum along a given direction. The algorithm is capable of optimizing the objective function (find its local maximum/minimum) to at least the precision of the objective-function noise [?, ?], being thus adequate for online optimization problems. Specifically, for accelerator controls and optimization, the algorithm has been successfully applied to optimize beam steering and optics matching during injection [?], reducing horizontal emittance [?, ?] and optimization of dynamic aperture [?, ?, ?, ?, ?].

RCDS actually consists on small modifications of well-known indirect-search routines. To grasp how it works, a brief overview on its predecessors is presented next.

#### 3.3.1 Line methods

Let us incorporate the role of an accelerator operator and suppose we are seeking the configuration of a single knob rendering the best performance, say, the minimum of a certain figure of merit. We nudge the knobs slowly and measure the objective, scanning for the minimum. We might scan tuning the knobs up while the objective goes downhill, and stop when starts increasing. The knobs lives over the real line, so this is basically a line-scan, the basis of line optimization methods. How to teach a computer do the same?

Let  $f(x) \in \mathbb{R}$  be the objective function depending on the single parameter  $x \in \mathbb{R}$ . The task of optimizing  $f$  is achieved by a direct search over its domain. Since maximizing a function equals to minimizing the same function multiplied by  $-1$ , in what follows, we shall refer to minimization only.

The search for the minimum is usually preceeded by initially *bracketing* the

minimum. We seek for points  $a < b < c$  in the domain such that  $f(b)$  is smaller than both  $f(a)$  and  $f(c)$ . If  $f$  is reasonably smooth, we are certain there will be a minimum in the interval  $(a, c)$ . Standard bracket routines for well-behaved, noiseless objective functions can be found in the literature, and mostly consists on, starting from an initial point, scanning the line “downhill” until the function stops decreasing.

We can see the bracketing procedure as a coarse-grained scan initially performed by the operator. The minimum is then finely searched on a second line-search scan. Given an initial bracketed interval, the most common line-search methods are

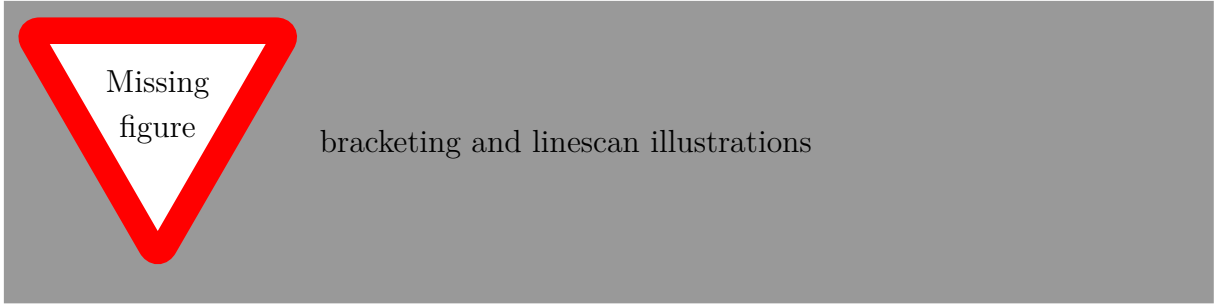
- Golden Section Search: which progressively scans within the brackets, updating it at each iteration so that it shrinks at each round until it spans only a small interval specified by the user. The machine precision  $\epsilon$  is often indicated. The guess for the minimum is taken as the mid-point along the interval. The minimum point is found to within the precision of  $\epsilon/2$ .
- Parabolic Interpolation: where a parabola is fitted to the values  $f(a), f(b), f(c)$  the function takes along the brackets. Moving along the parabola minimum takes us to  $f$ ’s minimum or pretty close to it in a single leap.

The brackets routine and the line-search methods presented rely on the comparison of the objective function at different points in the parameter space. They assume the functions to be deterministic and trust the behaviour and are completely unaware of the experimental noise.

In what follows, we assume what we actually measure in the control-room is  $\hat{f}(x) = f(x) + \xi$ , where  $\xi \sim \mathcal{N}(\mu = 0, \sigma)$  is a random variable modeling the experimental noise, with  $\sigma$  being expected noise error,  $\sigma^2 = \text{Var}[\xi]$ .

For the optimization of noisy objective functions, RCDS introduces a noise-aware bracketing routine and a parabolic interpolation scan over the bracket interval. For the brackets, instead of seeking for points  $a < b < c$  satisfying  $f(b) < f(a), f(b) < f(c)$ , RCDS requires a more strict condition  $f(b) < f(a) + 3\sigma, f(b) < f(c) + 3\sigma$ . This increases the likelihood the observed trend consists on real trends of the objection itself, rather than random errors.

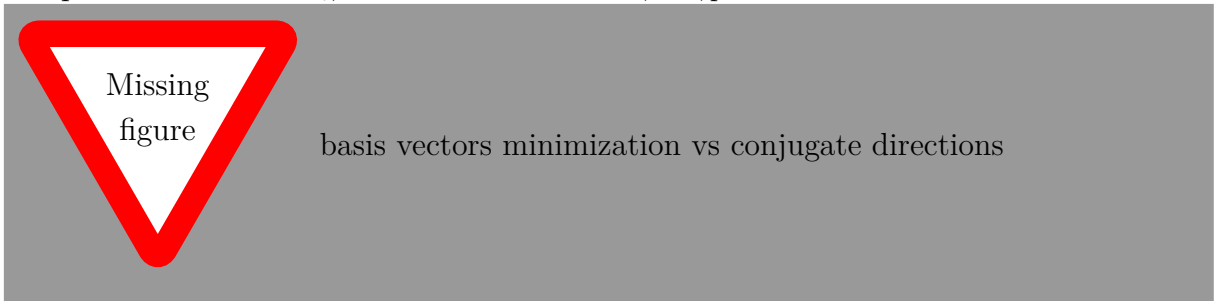
During the line-search, a parabola is fitted within the brackets and its minimum is taken as the objective function minimum. Additionally there is a comparison of the available (previously evaluated) points within the brackets used for the fitting of the parabola. If any of them is considered an outlier, it is discarded and the fitting is repeated without it.



### 3.3.2 Powell's conjugate direction set

How could we optimize an objective function  $f(\mathbf{x}) \in \mathbb{R}$  depending on the set of  $p$  parameters  $\{x_i\}_{i=1,\dots,p}$ ? The simplest idea is to iteratively optimize nudging each knob individually: optimize  $f$  by changing  $x_1$ , while the other knobs remain fixed. Next, optimize by changing  $x_2$  only, and so forth. In other words, each one of the knobs defines a direction whose basis vector is  $\hat{\mathbf{e}}_i$ , corresponding to a unit change of the knob. This is easy to automate with the noise-robust line-optimizer introduced in the previous section.

Formally, we are reducing a multi-dimensional optimization problem into a series of line-searches. That is, given an initial configuration of the parameters (an initial position)  $\mathbf{x}_0$ , and a direction  $\hat{\mathbf{n}}$ , we have the one-dimensional problem to minimize  $g(\delta) = f(\mathbf{x}_0 + \delta\hat{\mathbf{n}})$ . The minimum is then  $f(\mathbf{x}_0 + \delta_*\hat{\mathbf{n}})$ , where  $\delta_* = \arg \min_{\delta} g(\delta)$ . In the previous paragraph, we specialized to  $\mathbf{n} = \hat{\mathbf{e}}_i$ , and iterated for  $i = 1, \dots, p$ .



As can be seen in figure, scanning along each orthogonal direction can be time-consuming, specially for some functions with long narrow valleys at some angle with the coordinates basis vectors. This strategy thus is suboptimal when evaluation of the objective function is expensive.

The reason why using unit basis vectors can be so inefficient is because optimizing along a given basis vector spoils down minimization carried out in the any other of them. So the processes needs to be iterated. A more efficient strategy consists on constructing a set of special non-interfering direction vectors for which the minimizations are preserved when optimizing in a different direction.

The necessary condition for direction vectors  $\mathbf{u}$  and  $\mathbf{v}$  to be non-interfering is (proof in the appendix)

$$\mathbf{v} \cdot \mathbf{H} \cdot \mathbf{u} = 0, \quad (3.1)$$

where  $(\mathbf{H})_{ij} = \partial^2 f(\mathbf{x}_0) / \partial x_i \partial x_j$  is the Hessian matrix for function  $f$ . The  $\mathbf{u}$  and  $\mathbf{v}$  directions are said to be conjugate directions.

The problem now consists on finding an appropriate set of  $p$  conjugate directions, so we can optimize  $f(\mathbf{x})$  along them. Let  $\{\mathbf{u}_i\}$  denote our directions set. Powell proved conjugate directions can be constructed as follows

1. Set the initial directions as the basis vectors:  $\hat{\mathbf{u}}_i = \hat{\mathbf{e}}_i, i = 1, \dots, p$ .
2. Save the starting point (initial parameters state) as  $\mathbf{x}_0$ ;
3. For  $i = 1, \dots, p$  minimize along  $\hat{\mathbf{u}}_i$ . Save the minimum as  $\mathbf{x}_i$ .
4. For  $i = 1, \dots, p - 1$  set  $\hat{\mathbf{u}}_i \leftarrow \hat{\mathbf{u}}_{i+1}$
5. Set  $\mathbf{u}_p = \mathbf{x}_p - \mathbf{x}_0$ . Normalize to obtain  $\hat{\mathbf{u}}_p$ .
6. Minimize along  $\hat{\mathbf{u}}_p$ . Name the found minimum as the new  $\mathbf{x}_0$  and repeat the procedure until reaching a certain number of evaluations or until some stopping condition is reached.

That is, from steps 1–3. we optimize along each one of the unit basis vectors, updating the minimum. When finishing optimization along  $x_p$ , the current minimum will be  $\mathbf{x}_p$ . In step 4 we discard the first direction, rename directions  $\mathbf{u}_{i+1}$  to  $\mathbf{u}_i$ , and set as our new  $p$ th direction the vector from the starting point  $\mathbf{x}_0$  to the the current minimum.

Powell proved that repeating this procedure  $k$  times for a quadratic form produces a set of directions whose last  $k$  vectors are mutually, pairwise conjugate, in the sense of the Hessian matrix. So  $p$  iterations exactly minimizes the quadratic form. The method is also quadratically convergent: each iteration doubles the number of significant figures of the candidate minimum for the quadratic form.

There is a problem in throwing away for  $\hat{\mathbf{u}}_1$  for  $\mathbf{x}_p - \mathbf{x}_0$  every iteration: at some point the lines start to fold up on each other and lose linear independence. As a result the function can end up minimized only within a subspace of parameter space. To fix this, you can reinitialize the directions to the basis vectors after an iteration along the  $p$  directions, or use any new set of orthogonal directions.

The somewhat counterintuitive solution suggested by Powell is to discard not necessarily  $\hat{\mathbf{u}}_1$  in favor of the new direction, but the direction along which  $f$  had its largest decrease so far. This is justified because this direction is likely have a largest component along the new proposed conjugate direction. Accepting this advice results in a set of  $p$  directions which are no longer mutually conjugate by the end of  $p$  iterations. As a result, the method will no longer be quadratically convergent

Powell also posits some conditions in which is best not to add any new directions, keeping the old set from the previous iteration. These are presented in the appendix, as well as the pseudo-code for the Powell loop.

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In summary, Powell's direction set loop calculates and manages directions adaptatively, deciding when to change old directions in favor of newly calculated conjugated vectors, and when to avoid the changes to control build-up of linear dependence

In practice, using conjugate directions accounts to finding a good set of directions in which the number of steps along the vectors is reduced. They provide “shortcuts” towards the minimum in the objective landscape.

## CHAPTER 4

# Dynamic Aperture Optimization Experiments

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This is a “methods” chapter. Its first section presents the available diagnostics at the storage ring and describes the experimental measurements of relevant quantities such as beam positions, trajectories and orbits, beam current and lifetime, the tunes and chromaticity and how these are dialed at our will during a study. The other two sections discuss the choice of objective functions to probe the Dynamic Aperture and the appropriate selection of sextupoles to act as knobs.

## 4.1 Diagnostics and measurements at the control room

### 4.1.1 Beam Position Monitors

Beam-position-monitors (BPMs) consist on a set of four antennas placed inside the vaccum chamber. The antennas are placed in such a manner that when the electron beam passes through it, it induces mirror charges which trigger the antenna a certain voltage. The singal from the antennas is electronically processed allowing for the inference of relative changes in the beam’s centroid position. BPMs thus record the average beam’s relative trajectories changes along the transverse plane.



BPMS antennas diagram

### 4.1.2 Beam-Current Monitors

DCCTs allow us to measure the stored current on the ring. From the current in the booster or the transport line immediately before the injection into the storage ring and the measurement of the storage ring stored current immediately after we can infer the efficiency of the injection process.

### 4.1.3 Tunes monitor & tune changes

When turn-by-turn motion is viewed at a fixed  $s$  position, it consists on the sampling of harmonic motion. The fundamental frequency is the tune  $\nu$ . Precise measurement and monitoring of the tunes is achieved by placing a stripline, which constantly excites the beam in a narrow range of frequencies. The frequency which is capable of exciting a resonance peak is identified as the tune

As for changes and control of the tunes, as formula (4.1) reveals, changes in the quadrupoles, specially at large  $\beta$ -function sections allows for the control of the tunes. In fact, knowing the response is linear, a tune-response matrix can be constructed, i.e. the Jacobian of the tunes with respect to changes in quadrupoles

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$$\Delta \nu = \mathbf{J}_\nu \Delta \mathbf{K}, \quad (4.1)$$

where  $\nu = [\Delta \nu_x \quad \Delta \nu_y]^\top$  and the Jacobian has matrix elements

$$(\mathbf{J}_\nu)_{ij} = \frac{\partial \nu_i}{\partial K_j} \approx \frac{\Delta \nu_i}{\Delta K_j}, i = x, y. \quad (4.2)$$

The system can pseudo-inverted allowing for the determination of quadrupoles changes for a desired tune change.

### 4.1.4 Chromaticity changes & measurements

Chromaticity corresponds to the tune change per unit change in the relative energy deviations  $\delta$ . In practice, to we calculate the tune changes per unit RF cavity frequency changes.

Due to the linearity of the problem, chromaticity is corrected or changed according to the same pseudo-inversion procedure described above for the tunes. We relate chromaticity changes to sextupole changes

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$$\Delta \xi = \mathbf{J}_\xi \Delta \mathbf{S}, \quad (4.3)$$

where  $\boldsymbol{\xi} = [\Delta\xi_x \quad \Delta\xi_y]^\top$  and the Jacobian has matrix elements

$$(\mathbf{J}_\xi)_{ij} = \frac{\partial \xi_i}{\partial S_j} \approx \frac{\Delta \xi_i}{\Delta S_j}, i = x, y. \quad (4.4)$$

and carry-out the pseudo-inversion. In practice, though, the chromaticity jacobian was never actually calculated in the real machine, due to the time-consuming process of varying a single sextupole family, carrying out the chromaticity measurement and repeating it for the 21 families. The SIRIUS computer model is used to construct the matrix and whenever a chromaticity change is desired or required, the changes are calculated by pseudo-inversion of the model-calculated Jacobian

## 4.2 The choice of objective function

There is no analytical formula for relating the storage ring linear or nonlinear optics to the Dynamic Aperture. The optimization procedure must be a direct search procedure: changes are performed in the knobs and the effect over dynamic aperture is evaluated.

Also, we cannot measure dynamic aperture directly. We must choose an objective function to act as a probe to the DA: a figure of merit related to the dynamic aperture to represent it.

Two objectives usually adopted as probes are the injection efficiency and the beam's resilience to dipolar perturbations. The former is quite self-explanatory: the larger the dynamic aperture, the larger space for the beam to be captured during injection, and thus the larger the injection efficiency. The latter is related to the DA by the following: the larger the horizontal dipolar kicks the beam can survive, the larger the orbit distortions towards the positive or negative horizontal plane (depending on the kick direction). So the larger the amplitudes the beam explores as it oscillates, probing the DA borders. If the beam survives to large kicks, it means the ring can accomodate larger orbit distortions because of an increased dynamic aperture .

In summary, the dynamic aperture optimization procedure must consist on the exploration of sextupole (knobs) configurations yielding the largest dynamic aperture as accessed by as objective function such as injection efficiency or beam kick-resiliency.

### 4.2.1 Injection scheme for accumulation at SIRIUS storage ring

Beam accumulation into the storage ring occurs in the off-axis scheme. The beam is delivered at  $x \approx -8$  mm, and receives the kick from the nonlinear kicker field. The field profile is nonlinear, with zero field and gradient at the center of the axis, so that it does not disturbs the stored beam. In the off-axis scheme, a sufficiently large dynamic



aperture is desired to allow the beam to be captured into the storage ring. The predicted efficiency for SIRIUS setup, considering a dynamic aperture reaching  $x = -9$  mm, was nearly 100%. What was observed during 2022 was an injection efficiency of about  $88 \pm 8\%$ .

### 4.3 Selection of optimization knobs

The dynamic aperture is determined by the quality of the dynamics in terms of perturbations and nonlinearities. Considering corrected quadrupoles and dipoles (linear optics), the main factors influencing SIRIUS DA are the nonlinearities introduced by the sextupoles and possibly their field's small errors and deviations from the design parameters. The goal, thus, is to search for the sextupole configurations rendering the largest DA.

The sextupoles are the parameters which can be tuned, the knobs. SIRIUS has 21 sextupole families: magnets powered by the same power supply. 6 of them are achromatic sextupoles. They are placed where the dispersion is zero. The 15 other families are chromatic families. Table 4.1 shows the 21 sextupole families names. In

Table 4.1: SIRIUS sextupole families

achromatic	SFA0, SDA0, SFB0, SDB0, SDP0, SFP0
	SDA1, SFA1, SDA2, SFA2, SDA3, SDB1, SFB1
chromatic	SDB2, SFB2, SDB3, SFP1, SDP1, SDP2, SFP2 SDP3

principle, thus, the optimization parameter space is 21-dimensional. In reality, we would like to change sextupoles without changing chromaticity. Since we need at least one degree of freedom for correcting chromaticity in the horizontal plane and one degree of freedom for correcting the chromaticity in vertical plane, there are 19 available knobs. The dimensionality of the search space can be further reduced by imposing additional constraints to certain families variations. The specific choices of knobs for optimization experiments are discussed in more details in the Results section.

### 4.3.1 Characterization of Sextupole Magnets Configurations

Once a configuration of sextupoles (position in parameter space) is found, the nonlinear optics it provides the machine needs to be characterized. The characterizations consisted on evaluating/measuring the following figures of merit and desired features

- Injection efficiency in nominal off-axis conditions : this is the most desired characteristic. The sextupoles are to be optimized so the DA and the off-axis injection efficiency increase.
- Beam Kick resilience: a small current of 2 mA, concentrated in a single bucket is stored in the ring. The beam is kicked by the horizontal dipole kicker, which instantly provides a dipolar perturbation leading the beam to be displaced in the horizontal direction. The current before and after the kick is recorded by a current monitor (DCCT) and allows for the calculation of the fraction of the beam lost as a consequence of the kick and the transverse displacement. The procedure is repeated with progressively stronger kicks, and a curve of beam loss as a function of the kick can be constructed. The smaller the losses for larger kicks, the larger the resilience.
- Phase portrait area: it is expected that the optimization procedure increases the dynamic aperture of the machine, meaning it can accommodate larger oscillations and larger phase portraits  $x - x'$ . Using beam position monitors (BPMs) at the two ends of a straight section, which record the positions of the beam centroid at each turn, we can calculate the position and angle of the beam in the middle of the straight section, and thus reconstruct the phase-portrait from turn-by-turn (TbT) data.
- Beam lifetime: the lifetime at SIRIUS is dominated by losses due to electron-electron interactions leading to momentum transfers exceeding the energy/momentum acceptance (MA). Optimization of DA does not necessarily lead to improvements in the MA. If the MA is reduced, the rate at which the beam is lost can increase, reducing the total lifetime. It is desirable that the configurations found during DA optimization do not worsen the MA and beam lifetime considerably.
- Chromaticity: Sextupoles are introduced in the storage ring for correction of focusing chromatic aberrations. When changing the sextupole settings, it is desired to do so in such a manner that the chromaticity is unchanged. The methods for choosing the optimization knobs already take into account the need for keeping constant chromaticity. Still, after optimization is performed, we need to check whether chromaticity is unchanged.

The first two characterizations are quite similar to the two most immediate objective function candidates mentioned above. Indeed, in most nonlinear dynamics optimization experiments, optimization using injection efficiency or kick resilience as objectives seemed

to be completely interchangeable. Improvements in injection efficiency necessarily led to improvements in kick resilience, and vice-versa. As shown in more details in the results section, for the SIRIUS storage ring this appears not to be the case. The configurations can be specialized to improvements solely on injection efficiency or solely to kick resilience. This feature was observed during the characterization of the optimized sextupole settings with respect to these two figures of merit.

## CHAPTER 5

# Experiments and Results

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## CHAPTER 6

# Revenge of the Sith

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### 6.1 War!

The Republic is crumbling under attacks by the ruthless Sith Lord, Count Dooku. There are heroes on both sides. Evil is everywhere. In a stunning move, the fiendish droid leader, General Grievous, has swept into the Republic capital and kidnapped Chancellor Palpatine, leader of the Galactic Senate. As the Separatist Droid Army attempts to flee the besieged capital with their valuable hostage, two Jedi Knights lead a desperate mission to rescue the captive Chancellor [1–5].

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# APPENDIX A

## The Force Awakens

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### A.1 Luke Skywalker has vanished

In his absence, the sinister FIRST ORDER has risen from the ashes of the Empire and will not rest until Skywalker, the last Jedi, has been destroyed. With the support of the REPUBLIC, General Leia Organa leads a brave RESISTANCE. She is desperate to find her brother Luke and gain his help in restoring peace and justice to the galaxy. Leia has sent her most daring pilot on a secret mission to Jakku, where an old ally has discovered a clue to Luke's whereabouts [6].

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# APPENDIX B

## The Last Jedi

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### B.1 The FIRST ORDER reigns

Having decimated the peaceful Republic, Supreme Leader Snoke now deploys his merciless legions to seize military control of the galaxy. Only General Leia Organa's band of RESISTANCE fighters stand against the rising tyranny, certain that Jedi Master Luke Skywalker will return and restore a spark of hope to the fight. But the Resistance has been exposed. As the First Order speeds toward the rebel base, the brave heroes mount a desperate escape [7, 8].

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# APPENDIX C

## The Rise of Skywalker

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### C.1 The dead speak!

The galaxy has heard a mysterious broadcast, a threat of REVENGE in the sinister voice of the late EMPEROR PALPATINE. GENERAL LEIA ORGANA dispatches secret agents to gather intelligence, while REY, the last hope of the Jedi, trains for battle against the diabolical FIRST ORDER. Meanwhile, Supreme Leader KYLO REN rages in search of the phantom Emperor, determined to destroy any threat to his power [9–13].

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