

# 第一届**新物理**冬季学校： 中微子物理（第一讲）

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2015年10月6日，瑞典皇家科学院宣布将2015年诺贝尔物理学奖授予日本东京大学**Takaaki Kajita**教授和加拿大女王大学**Arthur B. McDonald**教授，以表彰其**发现中微子振荡现象，该现象显示中微子有质量。**

Nobelpriset i fysik 2015

The Nobel Prize in Physics 2015

# Nobelpriset i fysik 2015



**Takaaki Kajita**

Super-Kamiokande Collaboration  
University of Tokyo, Kashiwa, Japan



**Arthur B. McDonald**

Sudbury Neutrino Observatory Collaboration  
Queen's University, Kingston, Canada

*"för upptäckten av neutrinooscillationer, som visar att neutriner har massa"*  
*the discovery of neutrino oscillations, which shows that neutrinos have mass*

# Neutrino as Fundamental Particle

|                |                                              |                                             |                                               |                    |                               |
|----------------|----------------------------------------------|---------------------------------------------|-----------------------------------------------|--------------------|-------------------------------|
| mass →         | $\approx 2.3 \text{ MeV}/c^2$                | $\approx 1.275 \text{ GeV}/c^2$             | $\approx 173.07 \text{ GeV}/c^2$              | 0                  | $\approx 126 \text{ GeV}/c^2$ |
| charge →       | 2/3                                          | 2/3                                         | 2/3                                           | 0                  | 0                             |
| spin →         | 1/2                                          | 1/2                                         | 1/2                                           | 1                  | 0                             |
|                | <b>u</b><br>up                               | <b>c</b><br>charm                           | <b>t</b><br>top                               | <b>g</b><br>gluon  | <b>H</b><br>Higgs boson       |
|                |                                              |                                             |                                               |                    |                               |
| <b>QUARKS</b>  | $\approx 4.8 \text{ MeV}/c^2$<br>-1/3<br>1/2 | $\approx 95 \text{ MeV}/c^2$<br>-1/3<br>1/2 | $\approx 4.18 \text{ GeV}/c^2$<br>-1/3<br>1/2 | 0<br>0<br>1        |                               |
|                | <b>d</b><br>down                             | <b>s</b><br>strange                         | <b>b</b><br>bottom                            | <b>γ</b><br>photon |                               |
|                |                                              |                                             |                                               |                    |                               |
|                | $0.511 \text{ MeV}/c^2$<br>-1<br>1/2         | $105.7 \text{ MeV}/c^2$<br>-1<br>1/2        | $1.777 \text{ GeV}/c^2$<br>-1<br>1/2          | 0<br>0<br>1        | <b>Z</b><br>Z boson           |
|                | <b>e</b><br>electron                         | <b>μ</b><br>muon                            | <b>τ</b><br>tau                               |                    |                               |
|                |                                              |                                             |                                               |                    |                               |
| <b>LEPTONS</b> | $< 2.2 \text{ eV}/c^2$<br>0<br>1/2           | $< 0.17 \text{ MeV}/c^2$<br>0<br>1/2        | $< 15.5 \text{ MeV}/c^2$<br>0<br>1/2          | $\pm 1$<br>1       | <b>W</b><br>W boson           |
|                | <b>ν<sub>e</sub></b><br>electron neutrino    | <b>ν<sub>μ</sub></b><br>muon neutrino       | <b>ν<sub>τ</sub></b><br>tau neutrino          |                    |                               |
|                |                                              |                                             |                                               |                    |                               |
|                |                                              |                                             |                                               |                    | <b>GAUGE BOSONS</b>           |

## 2013年诺贝尔物理学奖



F. Englert



P. Higgs



其理论有助于我们理解基本粒子质量起源，并通过ATLAS和CMS实验中发现该理论预言的新的基本粒子被证实

粒子物理标准模型是目前描述强、弱和电磁相互作用最成功的理论，几乎通过所有实验的精确检验，唯一的例外是**中微子振荡**

1956年，发现核反应堆产生的反电子中微子 [Reines, 1995年获奖]

1962年，发现muon中微子 [Lederman/Schwartz/Steinberg, 1988年获奖]

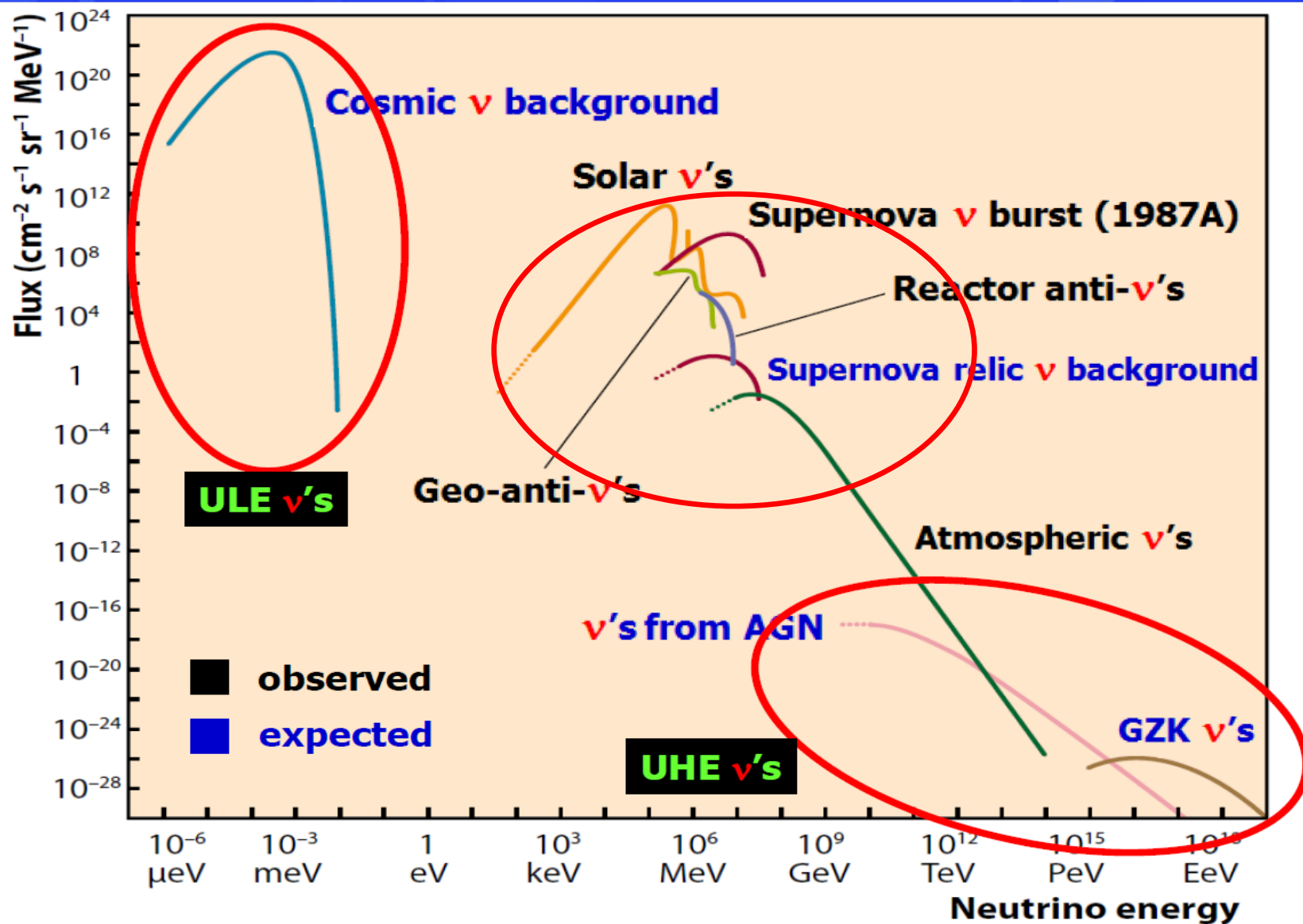
1968年，发现太阳内部核聚变产生的电子中微子 [Davis, 2002年获奖]

1987年，发现超新星SN1987A爆发产生的中微子 [Koshiba, 2002年获奖]

1998年，发现大气中微子振荡 [Kajita, 2015年获奖]

2002年，发现太阳中微子振荡 [McDonald, 2015年获奖]

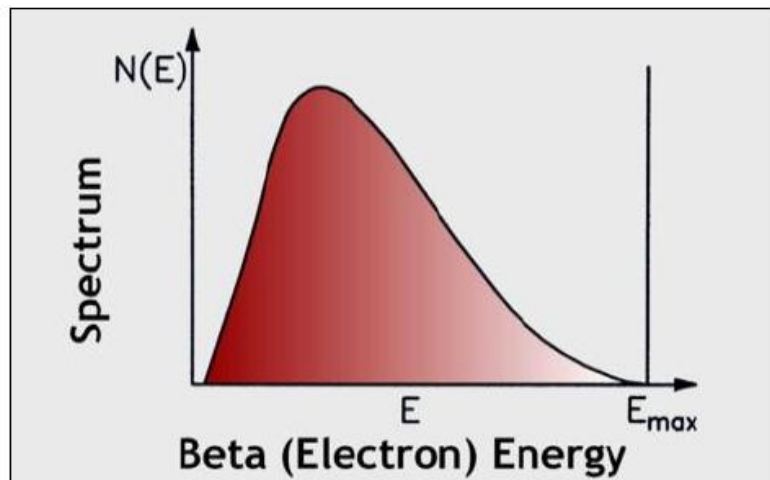
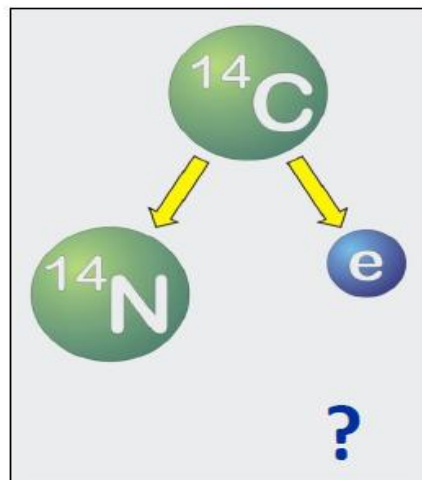
# Neutrino as Cosmic Messenger



**Part I:**

# **中微子的提出与发现**

# 1930年: 泡利的中微子假设



**1914年**,  
查德威克  
发现贝塔  
衰变末态  
电子连续  
能谱, 与  
二体衰变  
过程不符



James Chadwick  
(1891-1974)  
Nobel Prize  
1935



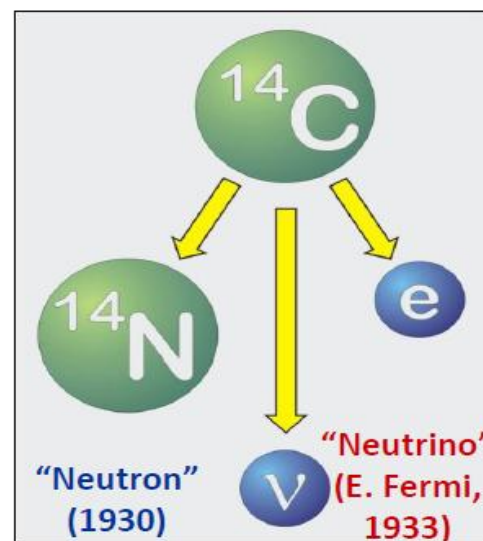
Niels Bohr  
(1885-1962)  
Nobel Prize  
1922



Wolfgang Pauli  
(1900-1958)  
Nobel Prize  
1945

**1930年**,  
泡利提出  
原子核里  
存在质量  
小且自旋  
为 $1/2$ 的  
电中性粒  
子(中子)

**一石二鸟:**



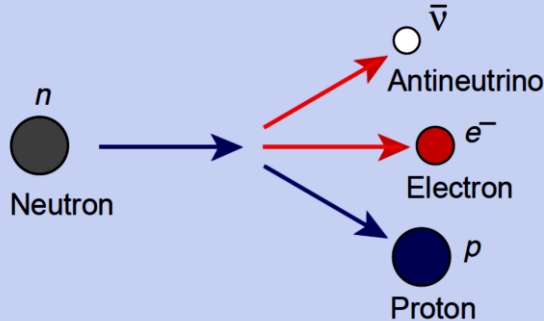
Enrico Fermi  
(1901-1954)  
Nobel Prize  
1938

能量不守恒? 存在新粒子?

可同时解释连续能谱和氮原子核自旋

# 1934年：费米的贝塔衰变理论

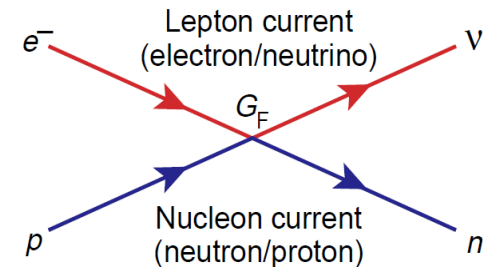
Neutron Beta Decay



## Basis of Fermi's Theory

- ◆ **Pauli's hypothesis: existence of neutrino**
- ◆ **Dirac-Jordan-Klein's theory: creation of particles**
- ◆ **Heisenberg's idea: neutron and proton as two states of nucleon**

Basic Current-Current Interaction



Fermi was fully aware of the importance of his accomplishment and said that he will be remembered for this paper...

--- E. Segre, in "Enrico Fermi, Physicist"



**Enrico Fermi**  
(1901-1954)  
Nobel Prize  
In 1938

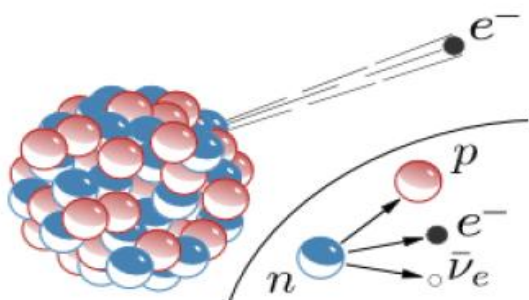
**Emilio Segre**  
(1905-1989)  
Nobel Prize  
In 1959



## Fermi's paper on $\beta$ decays (2 months)

- ◆ Letter submitted to *Nature*  
Editor: speculations too remote from physical reality
- ◆ Published in 1933 in *La Ricerca Scientifica* in Italian
- ◆ Another one published in 1934 in *Z. Phys.* in German
- ◆ Translated into English in *Am. J. Phys.* in 1968

# 1934年: 中微子无法探测?



## Bethe & Peierls (1934)

$$\bar{\nu}_e + p \rightarrow n + e^+ \quad \text{Cross section } \sigma < 10^{-44} \text{ cm}^2$$

**“It is therefore absolutely impossible to observe the processes of this kind with the neutrinos created in nuclear transformations.”**

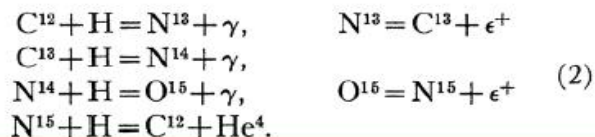


**Hans A. Bethe**  
(1906–2005)  
Nobel Prize 1967

The combination of four protons and two electrons can occur essentially only in two ways. The first mechanism starts with the combination of two protons to form a deuteron with positron emission, *viz.*



The deuteron is then transformed into  $\text{He}^4$  by further capture of protons; these captures occur very rapidly compared with process (1). The second mechanism uses carbon and nitrogen as catalysts, according to the chain reaction



**1939年, 贝特在太阳内部核聚变反应的著名文章中忽略了中微子**

**1951年, 莱因斯与费米讨论探测核爆放出的中微子的可能性**

# 1941年: A Suggestion by Kan Chang Wang

## 作业:

查询  ${}^7\text{Be}$  和  ${}^7\text{Li}$  原子核质量, 并估算中微子质量为零时末态原子核的反冲动能



王淦昌  
(1907-1998)

**Phys. Rev. 61 (1941) 97**

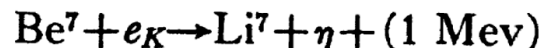
## A Suggestion on the Detection of the Neutrino

KAN CHANG WANG

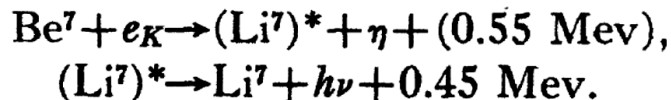
*Department of Physics, National University of Chekiang Tsunyi,  
Kweichow, China*

October 13, 1941

for all atoms, since no continuous  $\beta$ -rays are emitted. We take for example the element  $\text{Be}^7$  which decays in 43 days with  $K$  capture in two different processes:<sup>2</sup>

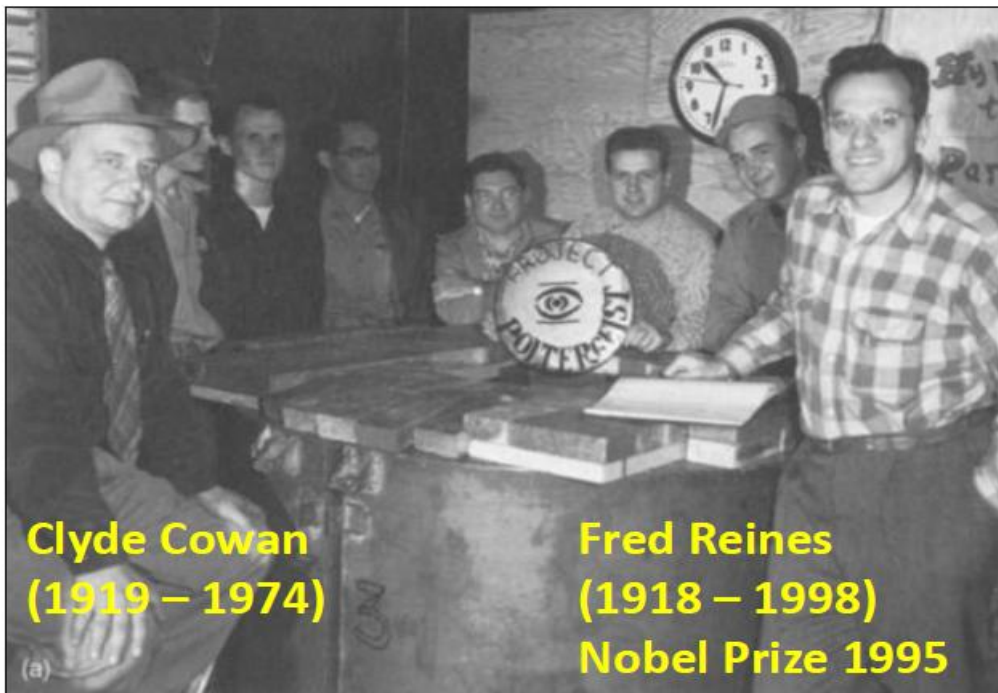


and



The first process is relatively large, about 10 to 1 in comparison with the second process. The recoil energy of the first process is, by assuming the mass of neutrino to be zero, about 77 ev while that of the second process is about one-third of that amount. This recoil energy would have to be detected and measured in some way, and a correction would have to be made for the disturbances due to the  $\gamma$ -rays and the soft x-rays (originating from the replacement of the  $K$  electrons by outer electrons). The recoil

# 1956年: 发现反应堆中微子



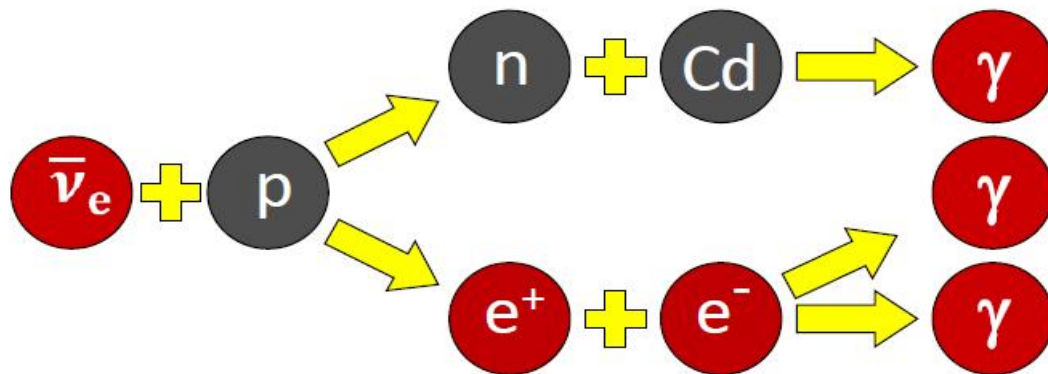
Clyde Cowan  
(1919 – 1974)

Fred Reines  
(1918 – 1998)  
Nobel Prize 1995



Neutrino Detector

1953年, 首次实验看到信号, 但是发现即使核反应堆关闭, 探测器中仍有信号(主要来自宇宙线背景)



中子被镉俘获, 产生 9 MeV  $\gamma$

正负电子湮灭产生 0.51 MeV  $\gamma$

5 微秒时间符合窗口可压低背景

# 1956年: 发现反应堆中微子



6月14日, 柯万  
和莱因斯给泡利  
发去电报, 告知

Frederick REINES and Clyde COWAN  
Box 1663, LOS ALAMOS, New Mexico  
Thanks for message. Everything comes to  
him who knows how to wait.  
Pauli



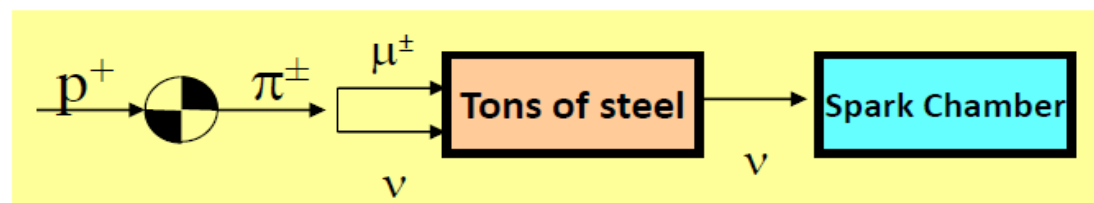
几年后, 莱因斯向贝特提起后者  
1934年的文章中说 "there is no  
practically possible way of  
observing the neutrino."

贝特回答 "Well, you shouldn't  
believe everything you read in  
the papers."

## 1962年: 发现muon中微子



Leon Lederman Melvin Schwartz Jack Steinberg



预期: 观测显示中微子总与电子和muon一起产生

结论: 探测器中只有muon出现, 所以证明  $\nu_\mu \neq \nu_e$

2000年, 美国费米实验室的DONUT实验发现第三种 $\tau$ 中微子!

# Brief History of $\nu$ Oscillation: Part A

- ▶ **1957:** Pontecorvo proposed **Neutrino Oscillations** in analogy with  $K^0 \rightleftharpoons \bar{K}^0$  oscillations (Gell-Mann and Pais, 1955)  $\implies \nu \rightleftharpoons \bar{\nu}$
- ▶ In **1957** only one neutrino type  $\nu = \nu_e$  was known! The possible existence of  $\nu_\mu$  was discussed by several authors. Maybe the first have been Sakata and Inoue in **1946** and Konopinski and Mahmoud in **1953**. Maybe Pontecorvo did not know. He discussed the possibility to distinguish  $\nu_\mu$  from  $\nu_e$  in **1959**. Lee & Yang (1960)
- ▶ **1962:** Maki, Nakagawa, Sakata proposed a model with  $\nu_e$  and  $\nu_\mu$  and **Neutrino Mixing**:  
*“weak neutrinos are not stable due to the occurrence of a virtual transmutation  $\nu_e \rightleftharpoons \nu_\mu$ ”*
- ▶ **1962:** Lederman, Schwartz and Steinberger discover  $\nu_\mu$
- ▶ **1967:** Pontecorvo: intuitive  $\nu_e \rightleftharpoons \nu_\mu$  oscillations with maximal mixing. Applications to reactor and solar neutrinos (“prediction” of the solar neutrino problem).
- ▶ **1969:** Gribov and Pontecorvo:  $\nu_e - \nu_\mu$  mixing and oscillations. But no clear derivation of oscillations with a factor of 2 mistake in the phase (misprint?).

# Brief History of $\nu$ Oscillation: Part B

- ▶ **1975-76:** Start of the “Modern Era” of Neutrino Oscillations with a general theory of neutrino mixing and a rigorous derivation of the oscillation probability by **Eliezer and Swift**, **Fritzsch and Minkowski**, and **Bilenky and Pontecorvo**.  
[Bilenky, Pontecorvo, Phys. Rep. (1978) 225]
- ▶ **1978:** **Wolfenstein** discovers the effect on neutrino oscillations of the matter potential (“**Matter Effect**”)
- ▶ **1985:** **Mikheev and Smirnov** discover the resonant amplification of solar  $\nu_e \rightarrow \nu_\mu$  oscillations due to the Matter Effect (“**MSW Effect**”)
- ▶ **1998:** the **Super-Kamiokande** experiment observed in a model-independent way the Vacuum Oscillations of atmospheric neutrinos ( $\nu_\mu \rightarrow \nu_\tau$ ).
- ▶ **2002:** the **SNO** experiment observed in a model-independent way the flavor transitions of solar neutrinos ( $\nu_e \rightarrow \nu_\mu, \nu_\tau$ ), mainly due to adiabatic MSW transitions.  
[see: Smirnov, arXiv:1609.02386]
- ▶ **2015:** **Takaaki Kajita** (Super-Kamiokande) and **Arthur B. McDonald** (SNO) received the Physics Nobel Prize “for the discovery of neutrino oscillations, which shows that neutrinos have mass”.

**Part II:**

## **中微子振荡理论**

**真空振荡**

**物质振荡**

# 中微子物理: standard (minimal) NP framework

$$N_{\text{obs}} = \left[ \int \mathcal{F}(E_\nu) \sigma(E_\nu, \dots) \epsilon(E_\nu, \dots) dE_\nu d\dots \right] \frac{M}{A m_N} T$$

$N_{\text{obs}}$  : number of neutrino events recorded

$\mathcal{F}$  : Flux of neutrinos ( $\#/\text{cm}^2/\text{s}$ )

$\sigma$  : neutrino cross section per nucleon  $\simeq 0.7 \frac{E_\nu}{[\text{GeV}]} \times 10^{-38} \text{cm}^2$

$\epsilon$  : detection efficiency

$M$  : total detector mass

$A$  : effective atomic number of detector

$m_N$  : nucleon mass

$T$  : exposure time

typical “super-beam” flux at 1000 km

typical accelerator up time in one year

$$N_{\text{obs}} = \left[ \frac{1}{\text{cm}^2 \text{s}} \right] \left[ 0.7 \times 10^{-38} \frac{E_\nu}{\text{GeV}} \text{cm}^2 \right] [\epsilon] [1 \text{ GeV}] \left[ \frac{M}{20 \cdot 1.67 \times 10^{-27} \text{ kg}} \right] [2 \times 10^7 \text{ s}]$$

$\times P(\nu_\beta \rightarrow \nu_\alpha)$

- 强大的中微子源: 太阳、大气、反应堆、加速器
- 足够大的中微子反应截面:  $\sim E$
- 足够大的探测器效率和靶质量
- 足够大的有效运行时间
- 振荡信号最优位置:  $E, L$

$$N_{\text{obs}} = 4 \times 10^{-6} \frac{E_\nu}{[\text{GeV}]} \epsilon \frac{M}{\text{kg}}$$

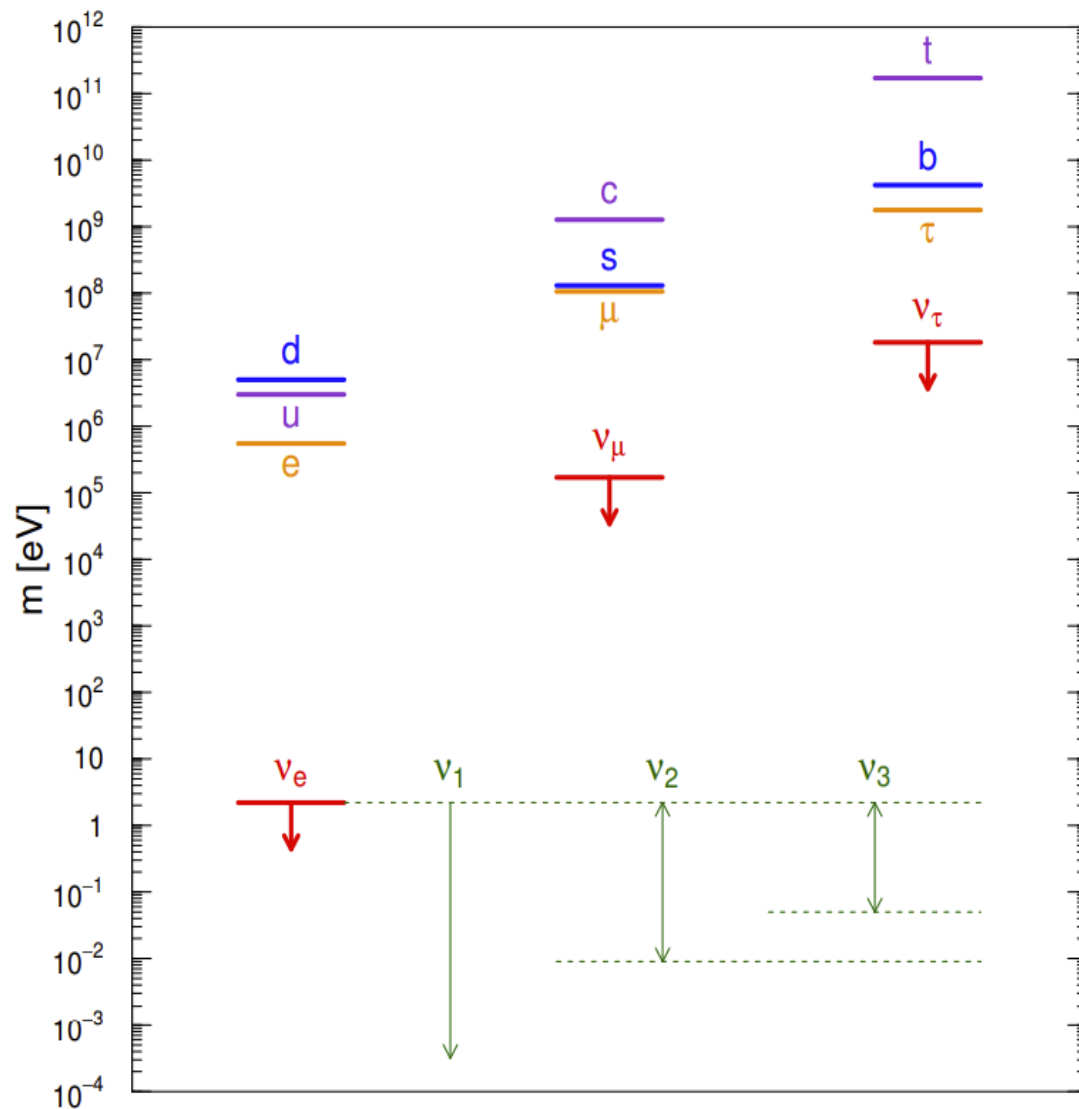
need detector masses of  $10^6 \text{ kg} = 1 \text{ kton}$  to get in the game

work at high energies if you can

push this as high as you can

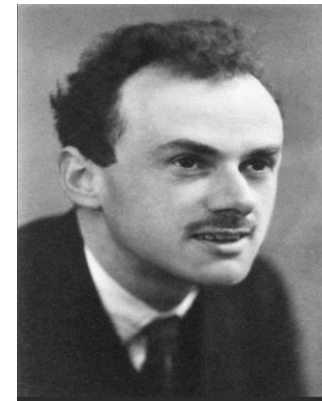
Challenge to the experimentalist: maximize efficiency and detector mass while minimizing cost

# $\nu$ masses: Dirac versus Majorana



Two possibilities to define neutrino mass:

## ➤ Dirac mass



Left & right handed  $\nu$ 's

Lepton number conservation

## ➤ Majorana mass



Only left handed  $\nu$ 's

Lepton number violation

# $\nu$ masses: Dirac versus Majorana

|                 | 1 <sup>st</sup> Generation                                                  | 2 <sup>nd</sup> Generation                                                            | 3 <sup>rd</sup> Generation                                                                |
|-----------------|-----------------------------------------------------------------------------|---------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|
| <b>Quarks:</b>  | $\begin{pmatrix} u_L \\ d_L \end{pmatrix} \quad u_R, d_R$                   | $\begin{pmatrix} c_L \\ s_L \end{pmatrix} \quad c_R, s_R$                             | $\begin{pmatrix} t_L \\ b_L \end{pmatrix} \quad t_R, b_R$                                 |
| <b>Leptons:</b> | $\begin{pmatrix} \nu_{eL} \\ e_L \end{pmatrix} \quad \boxed{\nu_{eR}}, e_R$ | $\begin{pmatrix} \nu_{\mu L} \\ \mu_L \end{pmatrix} \quad \boxed{\nu_{\mu R}}, \mu_R$ | $\begin{pmatrix} \nu_{\tau L} \\ \tau_L \end{pmatrix} \quad \boxed{\nu_{\tau R}}, \tau_R$ |

Standard Model extension:  $\nu_R \Rightarrow$  Dirac mass Lagrangian

$$\mathcal{L}_D \sim m_D \bar{\nu}_L \nu_R$$

$$\mathcal{L}_Y \sim y \bar{L}_L \tilde{\Phi} \nu_R \xrightarrow[\text{Breaking}]{\text{Symmetry}} y \nu \bar{\nu}_L \nu_R$$

Extremely small Yukawa couplings are needed to get  $m_D \lesssim 1 \text{ eV}$ :

$$y \lesssim 10^{-11}$$

It is considered unnatural, unless there is a protecting BSM symmetry.

# $\nu$ masses: Dirac versus Majorana

|                 | 1 <sup>st</sup> Generation                                                       | 2 <sup>nd</sup> Generation                                                                 | 3 <sup>rd</sup> Generation                                                                     |
|-----------------|----------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|
| <b>Quarks:</b>  | $\begin{pmatrix} u_L \\ d_L \end{pmatrix} \quad u_R, d_R$                        | $\begin{pmatrix} c_L \\ s_L \end{pmatrix} \quad c_R, s_R$                                  | $\begin{pmatrix} t_L \\ b_L \end{pmatrix} \quad t_R, b_R$                                      |
| <b>Leptons:</b> | $\begin{pmatrix} \nu_{eL} \\ e_L \end{pmatrix} \quad \boxed{\nu_{eR}} \quad e_R$ | $\begin{pmatrix} \nu_{\mu L} \\ \mu_L \end{pmatrix} \quad \boxed{\nu_{\mu R}} \quad \mu_R$ | $\begin{pmatrix} \nu_{\tau L} \\ \tau_L \end{pmatrix} \quad \boxed{\nu_{\tau R}} \quad \tau_R$ |

Majorana Mass Lagrangian for SM  $\nu_L$

$$\mathcal{L}_L^M \sim m_L \bar{\nu}_L^c \nu_L = -\nu_L^T C^\dagger \nu_L$$

No Majorana Neutrino Mass in the SM

$$\nu_L^T C^\dagger \nu_L \text{ has } I_3 = 1 \text{ and } Y = -2 \implies$$

Needs  $Y = +2$  Higgs triplet (type II), or (type I)

The introduction of  $\nu_R$  leads

$$\mathcal{L}_R^M \sim m_R \bar{\nu}_R^c \nu_R \quad \text{singlet under SM symmetries!}$$

# Dirac + Majorana mass Lagrangian

$$\mathcal{L}_{\text{mass}}^{\text{D+M}} = \mathcal{L}_{\text{mass}}^{\text{D}} + \mathcal{L}_{\text{mass}}^{\text{R}}$$

$$= -m_{\text{D}} (\bar{\nu}_L \nu_R + \bar{\nu}_R \nu_L) - \frac{1}{2} m_R (\bar{\nu}_R^c \nu_R + \bar{\nu}_R \nu_R^c)$$

$$= -\frac{1}{2} (\bar{\nu}_L \quad \bar{\nu}_R^c) \begin{pmatrix} 0 & m_{\text{D}} \\ m_{\text{D}} & m_R \end{pmatrix} \begin{pmatrix} \nu_L^c \\ \nu_R \end{pmatrix} - \frac{1}{2} (\bar{\nu}_L^c \quad \bar{\nu}_R) \begin{pmatrix} 0 & m_{\text{D}} \\ m_{\text{D}} & m_R \end{pmatrix} \begin{pmatrix} \nu_L \\ \nu_R^c \end{pmatrix}$$

Seesaw  $m_R \gg m_{\text{D}}$

$$\mathcal{L}_{\text{mass}}^{\text{D+M}} = -\frac{1}{2} \bar{n}_L^c U^T M U n_L + \text{H.c.}$$

$$U^T M U = \begin{pmatrix} m_1 & 0 \\ 0 & m_2 \end{pmatrix} \quad \text{with real } m_k \geq 0$$

$$\nu \simeq -i(\nu_L - \nu_L^c) \quad N \simeq \nu_R + \nu_R^c$$

$$\mathcal{L}_{\text{mass}}^{\text{D+M}} = -\frac{1}{2} \sum_{k=1,2} m_k (\bar{\nu}_{kL}^c \nu_{kL} + \bar{\nu}_{kL} \nu_{kL}^c) = -\frac{1}{2} \sum_{k=1,2} m_k \bar{\nu}_k \nu_k$$

$$\nu_k = \nu_{kL} + \nu_{kL}^c \implies$$

$$\boxed{\nu_k = \nu_k^c}$$

Massive neutrinos are Majorana!

# Lepton Flavor Mixing

Charged-Current Weak Interaction Lagrangian

$$\mathcal{L}_1^{(\text{CC})} = -\frac{g}{2\sqrt{2}} j_W^\rho W_\rho + \text{H.c.}$$

Weak Charged Current:  $j_W^\rho = j_{W,L}^\rho + j_{W,Q}^\rho$

Leptonic Weak Charged Current

$$j_{W,L}^{\rho\dagger} = 2 \sum_{\alpha=e,\mu,\tau} \overline{\ell'_{\alpha L}} \gamma^\rho \nu'_{\alpha L} = 2 \overline{\ell'_L} \gamma^\rho \nu'_L$$

$$\underline{\ell'_L = V_L^\ell \ell_L}$$

$$\underline{\nu'_L = V_L^\nu n_L}$$

$$j_{W,L}^{\rho\dagger} = 2 \overline{\ell_L} V_L^{\ell\dagger} \gamma^\rho V_L^\nu n_L = 2 \overline{\ell_L} \gamma^\rho V_L^{\ell\dagger} V_L^\nu n_L = 2 \overline{\ell_L} \gamma^\rho U n_L$$

Mixing Matrix:

$$U = V_L^{\ell\dagger} V_L^\nu$$

# Low Energy 3ν (Majorana) Mixing

$$\nu_\alpha = \sum_{k=1}^3 U_{\alpha k} \nu_k \quad \text{for } \alpha = e, \mu, \tau \quad \text{with } \boxed{\nu_k = \nu_k^c}$$

Standard Parameterization of Mixing Matrix (as CKM)

$$U = \begin{pmatrix} c_{12}c_{13} & s_{12}c_{13} & s_{13}e^{-i\delta_{13}} \\ -s_{12}c_{23} - c_{12}s_{23}s_{13}e^{i\delta_{13}} & c_{12}c_{23} - s_{12}s_{23}s_{13}e^{i\delta_{13}} & s_{23}c_{13} \\ s_{12}s_{23} - c_{12}c_{23}s_{13}e^{i\delta_{13}} & -c_{12}s_{23} - s_{12}c_{23}s_{13}e^{i\delta_{13}} & c_{23}c_{13} \end{pmatrix} \begin{pmatrix} 1 & 0 & 0 \\ 0 & e^{i\lambda_{21}} & 0 \\ 0 & 0 & e^{i\lambda_{31}} \end{pmatrix}$$

$$c_{ab} \equiv \cos \vartheta_{ab} \quad s_{ab} \equiv \sin \vartheta_{ab} \quad 0 \leq \vartheta_{ab} \leq \frac{\pi}{2} \quad 0 \leq \delta_{13}, \lambda_{21}, \lambda_{31} < 2\pi$$

$$\text{OSCILLATION PARAMETERS} \quad \left\{ \begin{array}{l} 3 \text{ Mixing Angles: } \vartheta_{12}, \vartheta_{23}, \vartheta_{13} \\ 1 \text{ CPV Dirac Phase: } \delta_{13} \\ 2 \text{ independent } \Delta m_{kj}^2 \equiv m_k^2 - m_j^2: \Delta m_{21}^2, \Delta m_{31}^2 \end{array} \right.$$

$$2 \text{ CPV Majorana Phases: } \lambda_{21}, \lambda_{31} \iff \boxed{|\Delta L| = 2} \text{ processes}$$

# Mixing of Flavor States

Left-handed **Flavor Neutrinos** produced in Weak Interactions

$$|\nu_e, -\rangle \quad |\nu_\mu, -\rangle \quad |\nu_\tau, -\rangle$$

$$\mathcal{H}_{CC} = \frac{g}{\sqrt{2}} W_\rho (\bar{\nu}_{eL} \gamma^\rho e_L + \bar{\nu}_{\mu L} \gamma^\rho \mu_L + \bar{\nu}_{\tau L} \gamma^\rho \tau_L) + \text{H.c.}$$

**Fields**  $\nu_{\alpha L} = \sum_k U_{\alpha k} \nu_{kL} \implies |\nu_\alpha, -\rangle = \sum_k U_{\alpha k}^* |\nu_k, -\rangle$  **States**

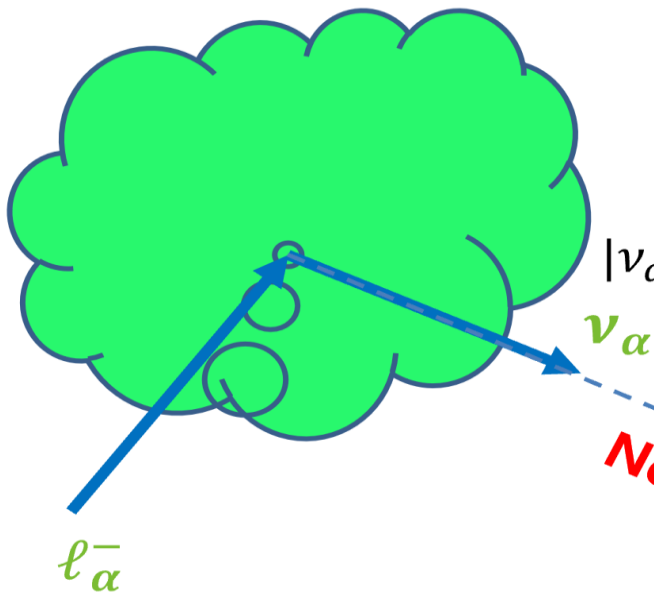
$$|\nu_1, -\rangle \quad |\nu_2, -\rangle \quad |\nu_3, -\rangle$$

Left-handed **Massive Neutrinos** propagate from Source to Detector

$3 \times 3$  Unitary Mixing Matrix:  $U = \begin{pmatrix} U_{e1} & U_{e2} & U_{e3} \\ U_{\mu 1} & U_{\mu 2} & U_{\mu 3} \\ U_{\tau 1} & U_{\tau 2} & U_{\tau 3} \end{pmatrix}$

# $\nu$ Oscillation: A QM phenomenon

## Neutrino Production



$$|\nu_{\alpha}(0)\rangle = |\nu_{\alpha}\rangle = \sum_i V_{\alpha i}^* |\nu_i\rangle$$

## Charged-current Weak Interaction

$$\mathcal{L}_{cc} = \frac{g}{\sqrt{2}} (\overline{e} \quad \overline{\mu} \quad \overline{\tau})_L \gamma^{\mu} \mathbf{V} \begin{pmatrix} \nu_1 \\ \nu_2 \\ \nu_3 \end{pmatrix}_L W_{\mu}^{-} + \text{h.c.}$$

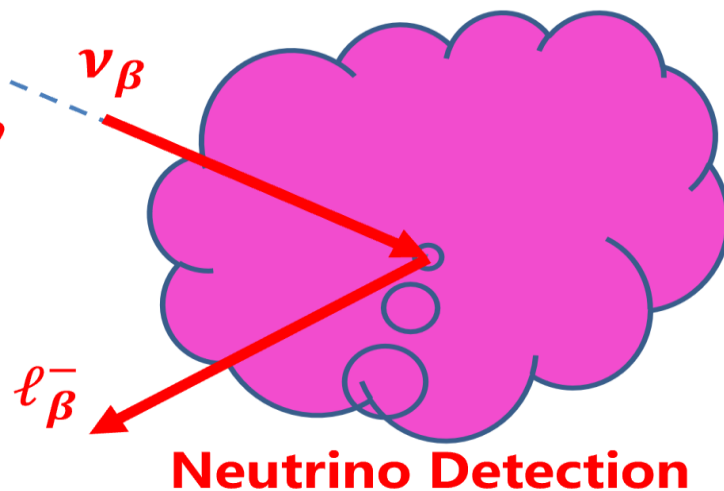
**Flavor Mixing Matrix  
or the PMNS Matrix**

$$|\nu_{\alpha}(t)\rangle = \sum_i V_{\alpha i}^* e^{-iE_i t} |\nu_i\rangle \quad |\nu_{\beta}\rangle = \sum_j V_{\beta j}^* |\nu_j\rangle$$

**Neutrino Propagation**

$$A(\nu_{\alpha} \rightarrow \nu_{\beta}) = \langle \nu_{\beta} | \nu_{\alpha}(t) \rangle = \sum_i V_{\alpha i}^* V_{\beta i} e^{-iE_i t}$$

$$P(\nu_{\alpha} \rightarrow \nu_{\beta}) = |\langle \nu_{\beta} | \nu_{\alpha}(t) \rangle|^2 = \left| \sum_i V_{\alpha i}^* V_{\beta i} e^{-iE_i t} \right|^2$$



# Ultra-relativistic Approximation

Only neutrinos with energy  $\gtrsim 0.1 \text{ MeV}$  are detectable!

## Charged-Current Processes: Threshold

$$\nu + A \rightarrow B + C$$



$$s = 2Em_A + m_A^2 \geq (m_B + m_C)^2$$



$$E_{\text{th}} = \frac{(m_B + m_C)^2}{2m_A} - \frac{m_A}{2}$$

$$\nu_e + {}^{71}\text{Ga} \rightarrow {}^{71}\text{Ge} + e^- \quad E_{\text{th}} = 0.233 \text{ MeV}$$

$$\nu_e + {}^{37}\text{Cl} \rightarrow {}^{37}\text{Ar} + e^- \quad E_{\text{th}} = 0.81 \text{ MeV}$$

$$\bar{\nu}_e + p \rightarrow n + e^+ \quad E_{\text{th}} = 1.8 \text{ MeV}$$

$$\nu_\mu + n \rightarrow p + \mu^- \quad E_{\text{th}} = 110 \text{ MeV}$$

$$\nu_\mu + e^- \rightarrow \nu_e + \mu^- \quad E_{\text{th}} \simeq \frac{m_\mu^2}{2m_e} = 10.9 \text{ GeV}$$

## Elastic Scattering Processes: Cross Section $\propto$ Energy

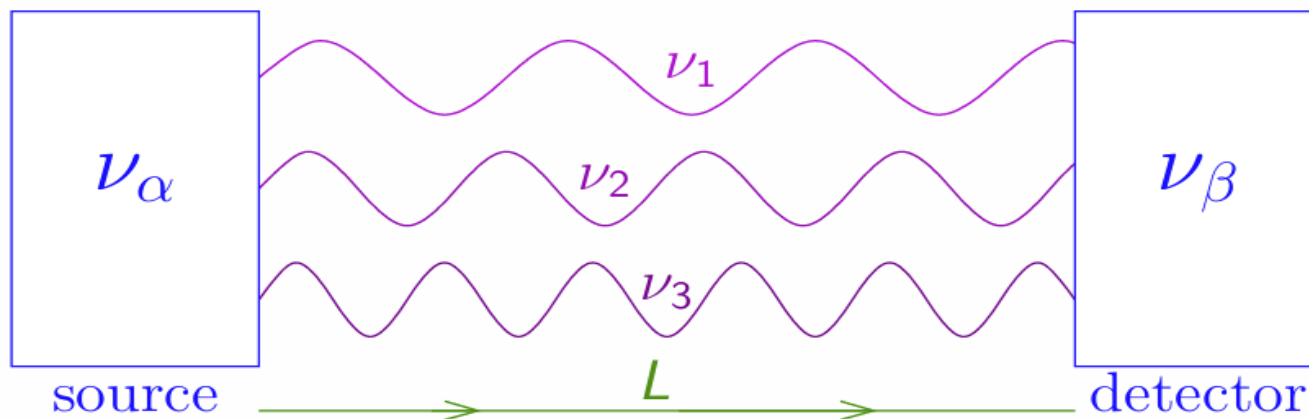
$$\nu + e^- \rightarrow \nu + e^- \quad \sigma(E) \sim \sigma_0 E/m_e \quad \sigma_0 \sim 10^{-44} \text{ cm}^2$$

Background  $\Rightarrow E_{\text{th}} \simeq 5 \text{ MeV}$  (SK, SNO),  $0.25 \text{ MeV}$  (Borexino)

Laboratory and Astrophysical Limits  $\Rightarrow m_\nu \lesssim 1 \text{ eV}$

# $\nu$ Oscillation: A QM phenomenon

$$|\nu(t=0)\rangle = |\nu_\alpha\rangle = U_{\alpha 1}^* |\nu_1\rangle + U_{\alpha 2}^* |\nu_2\rangle + U_{\alpha 3}^* |\nu_3\rangle$$



$$|\nu(t > 0)\rangle = U_{\alpha 1}^* e^{-iE_1 t} |\nu_1\rangle + U_{\alpha 2}^* e^{-iE_2 t} |\nu_2\rangle + U_{\alpha 3}^* e^{-iE_3 t} |\nu_3\rangle \neq |\nu_\alpha\rangle$$

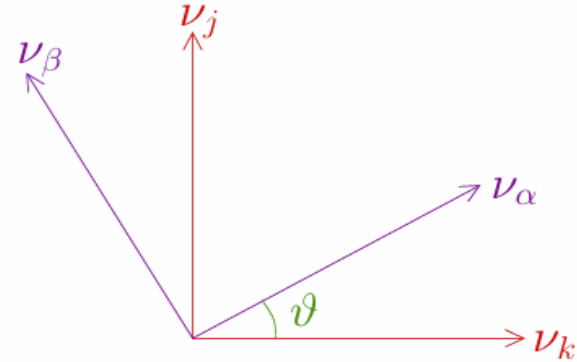
$$E_k^2 = p^2 + m_k^2 \quad t = L$$

$$P_{\nu_\alpha \rightarrow \nu_\beta}(L) = |\langle \nu_\beta | \nu(L) \rangle|^2 = \sum_{k,j} U_{\beta k} U_{\alpha k}^* U_{\beta j}^* U_{\alpha j} \exp\left(-i \frac{\Delta m_{kj}^2 L}{2E}\right)$$

the oscillation probabilities depend on  $U$  and  $\Delta m_{kj}^2 \equiv m_k^2 - m_j^2$

# $\nu$ Oscillations: 2-flavor approximation

$$\begin{aligned} |\nu_\alpha\rangle &= \cos \vartheta |\nu_k\rangle + \sin \vartheta |\nu_j\rangle \\ |\nu_\beta\rangle &= -\sin \vartheta |\nu_k\rangle + \cos \vartheta |\nu_j\rangle \end{aligned}$$



$$U = \begin{pmatrix} \cos \vartheta & \sin \vartheta \\ -\sin \vartheta & \cos \vartheta \end{pmatrix}$$

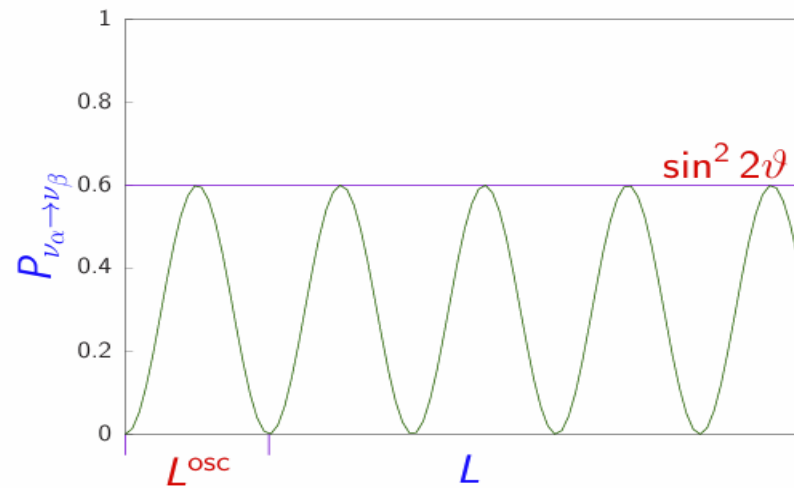
$$\Delta m^2 \equiv \Delta m_{kj}^2 \equiv m_k^2 - m_j^2$$

Transition Probability:  $P_{\nu_\alpha \rightarrow \nu_\beta} = P_{\nu_\beta \rightarrow \nu_\alpha} = \sin^2 2\vartheta \sin^2 \left( \frac{\Delta m^2 L}{4E} \right)$

Survival Probabilities:  $P_{\nu_\alpha \rightarrow \nu_\alpha} = P_{\nu_\beta \rightarrow \nu_\beta} = 1 - P_{\nu_\alpha \rightarrow \nu_\beta}$

# $\nu$ Oscillations: 2-flavor approximation

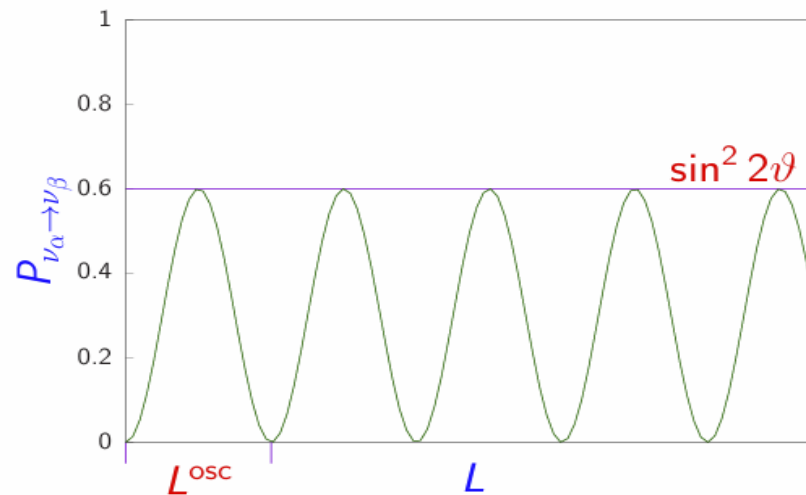
2 $\nu$ -mixing:  $P_{\nu_\alpha \rightarrow \nu_\beta} = \sin^2 2\vartheta \sin^2 \left( \frac{\Delta m^2 L}{4E} \right) \implies L^{\text{osc}} = \frac{4\pi E}{\Delta m^2}$



- ▶ The effect of a tiny  $\Delta m^2$  can be amplified by a large distance  $L$ .
- ▶ A tiny  $\Delta m^2$  generates oscillations observable at macroscopic distances!
- ▶ Neutrino oscillations are the optimal tool to reveal tiny neutrino masses!

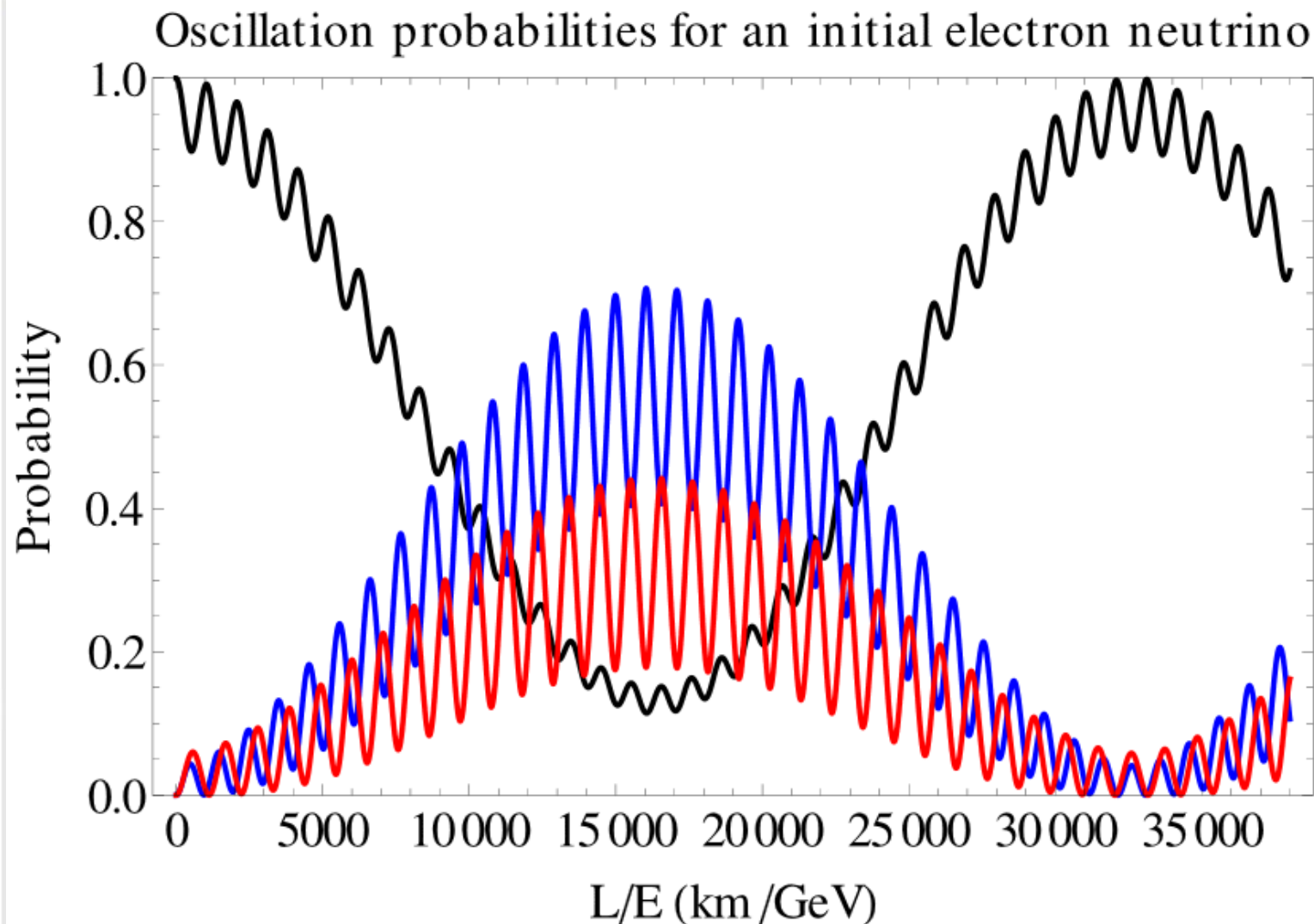
# $\nu$ Oscillations: 2-flavor approximation

2 $\nu$ -mixing:  $P_{\nu_\alpha \rightarrow \nu_\beta} = \sin^2 2\vartheta \sin^2 \left( 1.27 \frac{\Delta m^2 [\text{eV}^2] L [\text{km}]}{E [\text{GeV}]} \right)$



|                                                                                                                                                                                                                                                                                                           |                                  |                                            |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|--------------------------------------------|
| $\frac{L}{E} \gtrsim \left\{ \begin{array}{l} 10 \frac{\text{m}}{\text{MeV}} \left( \frac{\text{km}}{\text{GeV}} \right) \\ 10^3 \frac{\text{m}}{\text{MeV}} \left( \frac{\text{km}}{\text{GeV}} \right) \\ 10^4 \frac{\text{km}}{\text{GeV}} \\ 10^{11} \frac{\text{m}}{\text{MeV}} \end{array} \right.$ | short-baseline experiments       | $\Delta m^2 \gtrsim 10^{-1} \text{ eV}^2$  |
|                                                                                                                                                                                                                                                                                                           | long-baseline experiments        | $\Delta m^2 \gtrsim 10^{-3} \text{ eV}^2$  |
|                                                                                                                                                                                                                                                                                                           | atmospheric neutrino experiments | $\Delta m^2 \gtrsim 10^{-4} \text{ eV}^2$  |
|                                                                                                                                                                                                                                                                                                           | solar neutrino experiments       | $\Delta m^2 \gtrsim 10^{-11} \text{ eV}^2$ |

# $\nu$ Oscillation: A QM phenomenon



$\nu_e$



$\nu_\mu$



$\nu_\tau$



# $\nu$ Oscillations: CP, T & CPT properties

Right-handed antineutrinos are described by CP-conjugated fields:

$$\nu_{\alpha L}^{\text{CP}} = \gamma^0 \mathcal{C} \overline{\nu_{\alpha L}}^T$$

C  $\implies$  Particle  $\iff$  Antiparticle

P  $\implies$  Left-Handed  $\iff$  Right-Handed



# $\nu$ Oscillations: CP, T & CPT properties

Fields:  $\nu_{\alpha L} = \sum_k U_{\alpha k} \nu_{kL} \xrightarrow{\text{CP}} \nu_{\alpha L}^{\text{CP}} = \sum_k U_{\alpha k}^* \nu_{kL}^{\text{CP}}$

States:  $|\nu_{\alpha}\rangle = \sum_k U_{\alpha k}^* |\nu_k\rangle \xrightarrow{\text{CP}} |\bar{\nu}_{\alpha}\rangle = \sum_k U_{\alpha k} |\bar{\nu}_k\rangle$

NEUTRINOS  $U \rightleftharpoons U^*$  ANTINEUTRINOS

$$P_{\nu_{\alpha} \rightarrow \nu_{\beta}}(L, E) = \sum_{k,j} U_{\alpha k}^* U_{\beta k} U_{\alpha j} U_{\beta j}^* \exp\left(-i \frac{\Delta m_{kj}^2 L}{2E}\right)$$

$$P_{\bar{\nu}_{\alpha} \rightarrow \bar{\nu}_{\beta}}(L, E) = \sum_{k,j} U_{\alpha k} U_{\beta k}^* U_{\alpha j}^* U_{\beta j} \exp\left(-i \frac{\Delta m_{kj}^2 L}{2E}\right)$$

# $\nu$ Oscillations: CP, T & CPT properties

$$P_{\nu_\alpha \rightarrow \nu_\beta} \xrightarrow{\text{CPT}} P_{\bar{\nu}_\beta \rightarrow \bar{\nu}_\alpha}$$

$$\text{CPT Asymmetries: } A_{\alpha\beta}^{\text{CPT}} = P_{\nu_\alpha \rightarrow \nu_\beta} - P_{\bar{\nu}_\beta \rightarrow \bar{\nu}_\alpha}$$

$$\text{Local Quantum Field Theory} \implies A_{\alpha\beta}^{\text{CPT}} = 0 \quad \text{CPT Symmetry}$$

$$P_{\nu_\alpha \rightarrow \nu_\beta}(L, E) = \sum_{k,j} U_{\alpha k}^* U_{\beta k} U_{\alpha j} U_{\beta j}^* \exp\left(-i \frac{\Delta m_{kj}^2 L}{2E}\right)$$

$$\text{is invariant under CPT: } U \rightleftharpoons U^* \quad \alpha \rightleftharpoons \beta$$

$$P_{\nu_\alpha \rightarrow \nu_\beta} = P_{\bar{\nu}_\beta \rightarrow \bar{\nu}_\alpha}$$

$$P_{\nu_\alpha \rightarrow \nu_\alpha} = P_{\bar{\nu}_\alpha \rightarrow \bar{\nu}_\alpha}$$

(solar  $\nu_e$ , reactor  $\bar{\nu}_e$ , accelerator  $\nu_\mu$ )

# $\nu$ Oscillations: CP, T & CPT properties

$$P_{\nu_\alpha \rightarrow \nu_\beta} \xrightarrow{\text{CP}} P_{\bar{\nu}_\alpha \rightarrow \bar{\nu}_\beta}$$

$$\text{CP Asymmetries: } A_{\alpha\beta}^{\text{CP}} = P_{\nu_\alpha \rightarrow \nu_\beta} - P_{\bar{\nu}_\alpha \rightarrow \bar{\nu}_\beta}$$

$$A_{\alpha\beta}^{\text{CP}}(L, E) = 4 \sum_{k>j} \text{Im} [U_{\alpha k}^* U_{\beta k} U_{\alpha j} U_{\beta j}^*] \sin \left( \frac{\Delta m_{kj}^2 L}{2E} \right)$$

$$\text{Jarlskog rephasing invariant: } \text{Im} [U_{\alpha k}^* U_{\beta k} U_{\alpha j} U_{\beta j}^*] = \pm J$$

$$J = c_{12} s_{12} c_{23} s_{23} c_{13}^2 s_{13} \sin \delta_{13}$$

$$J \neq 0 \iff \vartheta_{12}, \vartheta_{23}, \vartheta_{13} \neq 0, \pi/2 \quad \delta_{13} \neq 0, \pi$$

# $\nu$ Oscillations: CP, T & CPT properties

$$\begin{aligned}\text{CPT} &\implies 0 = A_{\alpha\beta}^{\text{CPT}} \\&= P_{\nu_\alpha \rightarrow \nu_\beta} - P_{\bar{\nu}_\beta \rightarrow \bar{\nu}_\alpha} \\&= P_{\nu_\alpha \rightarrow \nu_\beta} - P_{\bar{\nu}_\alpha \rightarrow \bar{\nu}_\beta} \leftarrow A_{\alpha\beta}^{\text{CP}} \\&\quad + P_{\bar{\nu}_\alpha \rightarrow \bar{\nu}_\beta} - P_{\nu_\beta \rightarrow \nu_\alpha} \leftarrow -A_{\beta\alpha}^{\text{CPT}} = 0 \\&\quad + P_{\nu_\beta \rightarrow \nu_\alpha} - P_{\bar{\nu}_\beta \rightarrow \bar{\nu}_\alpha} \leftarrow A_{\beta\alpha}^{\text{CP}} \\&= A_{\alpha\beta}^{\text{CP}} + A_{\beta\alpha}^{\text{CP}} \implies \boxed{A_{\alpha\beta}^{\text{CP}} = -A_{\beta\alpha}^{\text{CP}}}\end{aligned}$$

# $\nu$ Oscillations: CP, T & CPT properties

$$P_{\nu_\alpha \rightarrow \nu_\beta} \xrightarrow{T} P_{\nu_\beta \rightarrow \nu_\alpha}$$

$$\text{T Asymmetries: } A_{\alpha\beta}^T = P_{\nu_\alpha \rightarrow \nu_\beta} - P_{\nu_\beta \rightarrow \nu_\alpha}$$

$$\text{CPT} \implies 0 = A_{\alpha\beta}^{\text{CPT}}$$

$$= P_{\nu_\alpha \rightarrow \nu_\beta} - P_{\bar{\nu}_\beta \rightarrow \bar{\nu}_\alpha}$$

$$= P_{\nu_\alpha \rightarrow \nu_\beta} - P_{\nu_\beta \rightarrow \nu_\alpha} \leftarrow A_{\alpha\beta}^T$$

$$+ P_{\nu_\beta \rightarrow \nu_\alpha} - P_{\bar{\nu}_\beta \rightarrow \bar{\nu}_\alpha} \leftarrow A_{\beta\alpha}^{\text{CP}}$$

$$= A_{\alpha\beta}^T + A_{\beta\alpha}^{\text{CP}}$$

$$= A_{\alpha\beta}^T - A_{\alpha\beta}^{\text{CP}} \implies \boxed{A_{\alpha\beta}^T = A_{\alpha\beta}^{\text{CP}}}$$

# $\nu$ Oscillations: Matter Effect

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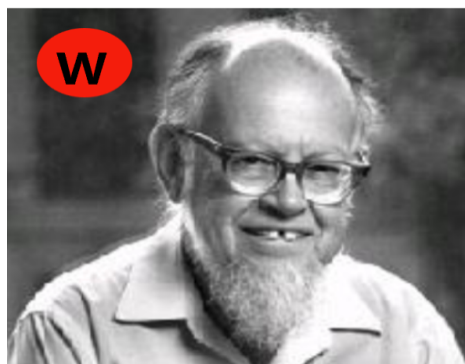
## Neutrino oscillations in matter

L. Wolfenstein

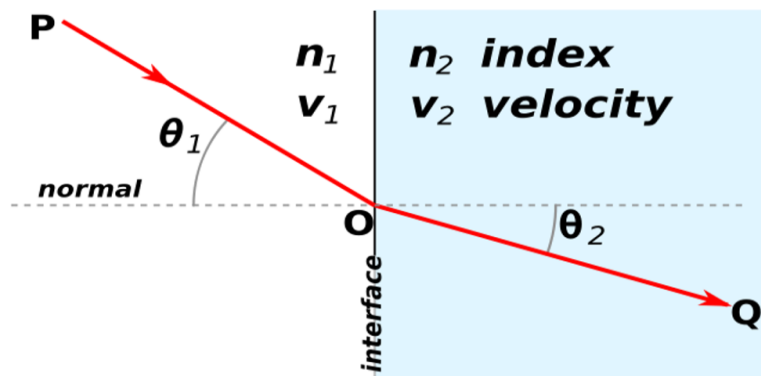
*Carnegie-Mellon University, Pittsburgh, Pennsylvania 15213*

(Received 6 October 1977; revised manuscript received 5 December 1977)

The effect of coherent forward scattering must be taken into account when considering the oscillations of neutrinos traveling through matter. In particular, for the case of massless neutrinos for which vacuum oscillations cannot occur, oscillations can occur in matter if the neutral current has an off-diagonal piece connecting different neutrino types. Applications discussed are solar neutrinos and a proposed experiment involving transmission of neutrinos through 1000 km of rock.



Lincoln Wolfenstein  
(1923-2015)



Refraction of light in media

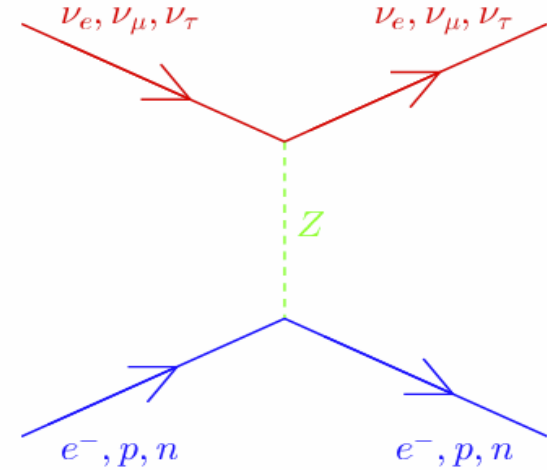
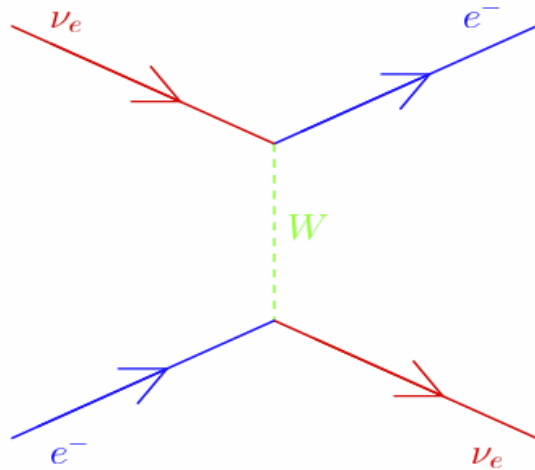
$$\begin{aligned} \nu_e &: \exp[ipx(n_{nc} + n_{cc} - 1)] \\ \nu_\mu &: \exp[ipx(n_{nc} - 1)] \\ \nu_\tau &: \exp[ipx(n_{nc} - 1)] \end{aligned}$$

Refraction of neutrinos in media, where both CC and NC interactions contribute to refractive indices (not far from 1)

When neutrinos are traveling in matter, the effect of coherent forward scattering with background particles leads to a modification of their energies. Such a modification can be described by an potential energy. The difference between the potentials of distinct neutrino flavors is relevant for neutrino oscillations.

# $\nu$ Oscillations: **Matter Effect**

coherent interactions with medium: forward elastic CC and NC scattering



$$V_{CC} = \sqrt{2} G_F N_e$$

$$V_{NC}^{(e^-)} = -V_{NC}^{(p)} \Rightarrow$$

$$V_{NC} = V_{NC}^{(n)} = -\frac{\sqrt{2}}{2} G_F N_n$$

$$V_e = V_{CC} + V_{NC}$$

$$V_\mu = V_\tau = V_{NC}$$

only  $V_{CC} = V_e - V_\mu = V_e - V_\tau$  is important for flavor transitions

antineutrinos:  $\bar{V}_{CC} = -V_{CC} \quad \bar{V}_{NC} = -V_{NC}$

# $\nu$ Oscillations: Matter Effect

► Flavor neutrino  $\nu_\alpha$  with momentum  $p$ :  $|\nu_\alpha(p)\rangle = \sum_k U_{\alpha k}^* |\nu_k(p)\rangle$

► Evolution is determined by Hamiltonian

► Hamiltonian in vacuum:  $\mathcal{H} = \mathcal{H}_0$

$$\mathcal{H}_0 |\nu_k(p)\rangle = E_k |\nu_k(p)\rangle \quad E_k = \sqrt{p^2 + m_k^2}$$

► Hamiltonian in matter:  $\mathcal{H} = \mathcal{H}_0 + \mathcal{H}_I$   $\mathcal{H}_I |\nu_\alpha(p)\rangle = V_\alpha |\nu_\alpha(p)\rangle$

► Schrödinger evolution equation:  $i \frac{d}{dt} |\nu(p, t)\rangle = \mathcal{H} |\nu(p, t)\rangle$

► Initial condition:  $|\nu(p, 0)\rangle = |\nu_\alpha(p)\rangle$

► For  $t > 0$  the state  $|\nu(p, t)\rangle$  is a superposition of all flavors:

$$|\nu(p, t)\rangle = \sum_\beta \varphi_\beta(p, t) |\nu_\beta(p)\rangle$$

► Transition probability:  $P_{\nu_\alpha \rightarrow \nu_\beta} = |\varphi_\beta|^2$

# $\nu$ Oscillations: Matter Effect

evolution equation of states

$$i \frac{d}{dt} |\nu(p, t)\rangle = \mathcal{H} |\nu(p, t)\rangle, \quad |\nu(p, 0)\rangle = |\nu_\alpha(p)\rangle$$

flavor transition amplitudes

$$\varphi_\beta(p, t) = \langle \nu_\beta(p) | \nu(p, t) \rangle, \quad \varphi_\beta(p, 0) = \delta_{\alpha\beta}$$

evolution of flavor transition amplitudes

$$i \frac{d}{dt} \varphi_\beta(p, t) = \langle \nu_\beta(p) | \mathcal{H} | \nu(p, t) \rangle$$

$$i \frac{d}{dt} \varphi_\beta(p, t) = \langle \nu_\beta(p) | \mathcal{H}_0 | \nu(p, t) \rangle + \langle \nu_\beta(p) | \mathcal{H}_I | \nu(p, t) \rangle$$

# $\nu$ Oscillations: **Matter Effect**

$$i \frac{d}{dt} \varphi_\beta(p, t) = \langle \nu_\beta(p) | \mathcal{H}_0 | \nu(p, t) \rangle + \langle \nu_\beta(p) | \mathcal{H}_I | \nu(p, t) \rangle$$

$$\langle \nu_\beta(p) | \mathcal{H}_0 | \nu(p, t) \rangle =$$

$$\begin{aligned} \sum_\rho \sum_{k,j} \underbrace{\langle \nu_\beta(p) | \nu_k(p) \rangle}_{U_{\beta k}} \underbrace{\langle \nu_k(p) | \mathcal{H}_0 | \nu_j(p) \rangle}_{\delta_{kj} E_k} \underbrace{\langle \nu_j(p) | \nu_\rho(p) \rangle}_{U_{\rho j}^*} \underbrace{\langle \nu_\rho(p) | \nu(p, t) \rangle}_{\varphi_\rho(p, t)} \\ = \sum_\rho \sum_k U_{\beta k} E_k U_{\rho k}^* \varphi_\rho(p, t) \end{aligned}$$

$$\begin{aligned} \langle \nu_\beta(p) | \mathcal{H}_I | \nu(p, t) \rangle &= \sum_\rho \underbrace{\langle \nu_\beta(p) | \mathcal{H}_I | \nu_\rho(p) \rangle}_{\delta_{\beta\rho} V_\beta} \underbrace{\langle \nu_\rho(p) | \nu(p, t) \rangle}_{\varphi_\rho(p, t)} \\ &= \sum_\rho \delta_{\beta\rho} V_\beta \varphi_\rho(p, t) \end{aligned}$$

$$i \frac{d}{dt} \varphi_\beta = \sum_\rho \left( \sum_k U_{\beta k} E_k U_{\rho k}^* + \delta_{\beta\rho} V_\beta \right) \varphi_\rho$$

# $\nu$ Oscillations: Matter Effect

ultrarelativistic neutrinos:  $E_k = p + \frac{m_k^2}{2E}$   $E = p$   $t = x$

$$V_e = V_{CC} + V_{NC}$$

$$V_\mu = V_\tau = V_{NC}$$

$$i \frac{d}{dx} \varphi_\beta(p, x) = (p + V_{NC}) \varphi_\beta(p, x) + \sum_\rho \left( \sum_k U_{\beta k} \frac{m_k^2}{2E} U_{\rho k}^* + \delta_{\beta e} \delta_{\rho e} V_{CC} \right) \varphi_\rho(p, x)$$

$$\psi_\beta(p, x) = \varphi_\beta(p, x) e^{ipx + i \int_0^x V_{NC}(x') dx'}$$



$$i \frac{d}{dx} \psi_\beta = e^{ipx + i \int_0^x V_{NC}(x') dx'} \left( -p - V_{NC} + i \frac{d}{dx} \right) \varphi_\beta$$

$$i \frac{d}{dx} \psi_\beta = \sum_\rho \left( \sum_k U_{\beta k} \frac{m_k^2}{2E} U_{\rho k}^* + \delta_{\beta e} \delta_{\rho e} V_{CC} \right) \psi_\rho$$

$$P_{\nu_\alpha \rightarrow \nu_\beta} = |\varphi_\beta|^2 = |\psi_\beta|^2$$

# $\nu$ Oscillations: Matter Effect

evolution of flavor transition amplitudes in matrix form

$$i \frac{d}{dx} \Psi_\alpha = \frac{1}{2E} \left( U \mathbb{M}^2 U^\dagger + \mathbb{A} \right) \Psi_\alpha$$

$$\Psi_\alpha = \begin{pmatrix} \psi_e \\ \psi_\mu \\ \psi_\tau \end{pmatrix} \quad \mathbb{M}^2 = \begin{pmatrix} m_1^2 & 0 & 0 \\ 0 & m_2^2 & 0 \\ 0 & 0 & m_3^2 \end{pmatrix} \quad \mathbb{A} = \begin{pmatrix} A_{CC} & 0 & 0 \\ 0 & 0 & 0 \\ 0 & 0 & 0 \end{pmatrix}$$

$$A_{CC} = 2EV_{CC} = 2\sqrt{2}EG_F N_e$$

effective  
mass-squared  
matrix  
in vacuum

$$\mathbb{M}_{\text{VAC}}^2 = U \mathbb{M}^2 U^\dagger \xrightarrow{\text{matter}} U \mathbb{M}^2 U^\dagger + 2E \underset{\substack{\uparrow \\ \text{potential due to coherent} \\ \text{forward elastic scattering}}}{V} = \mathbb{M}_{\text{MAT}}^2$$

effective  
mass-squared  
matrix  
in matter

# $\nu$ Oscillations: Matter Effect for 2 flavors

$\nu_e \rightarrow \nu_\mu$  transitions with  $U = \begin{pmatrix} \cos \vartheta & \sin \vartheta \\ -\sin \vartheta & \cos \vartheta \end{pmatrix}$

$$\begin{aligned} U M^2 U^\dagger &= \begin{pmatrix} \cos^2 \vartheta m_1^2 + \sin^2 \vartheta m_2^2 & \cos \vartheta \sin \vartheta (m_2^2 - m_1^2) \\ \cos \vartheta \sin \vartheta (m_2^2 - m_1^2) & \sin^2 \vartheta m_1^2 + \cos^2 \vartheta m_2^2 \end{pmatrix} \\ &= \frac{1}{2} \begin{pmatrix} m_1^2 + m_2^2 & 0 \\ 0 & m_1^2 + m_2^2 \end{pmatrix} + \frac{1}{2} \begin{pmatrix} -\Delta m^2 \cos 2\vartheta & \Delta m^2 \sin 2\vartheta \\ \Delta m^2 \sin 2\vartheta & \Delta m^2 \cos 2\vartheta \end{pmatrix} \end{aligned}$$

$\uparrow$   
irrelevant common phase

$$\Delta m^2 \equiv m_2^2 - m_1^2$$

## $\nu$ Oscillations: **Matter Effect for 2 flavors**

$$i \frac{d}{dx} \begin{pmatrix} \psi_e \\ \psi_\mu \end{pmatrix} = \frac{1}{4E} \begin{pmatrix} -\Delta m^2 \cos 2\vartheta + 2A_{CC} & \Delta m^2 \sin 2\vartheta \\ \Delta m^2 \sin 2\vartheta & \Delta m^2 \cos 2\vartheta \end{pmatrix} \begin{pmatrix} \psi_e \\ \psi_\mu \end{pmatrix}$$

$$\text{initial } \nu_e \implies \begin{pmatrix} \psi_e(0) \\ \psi_\mu(0) \end{pmatrix} = \begin{pmatrix} 1 \\ 0 \end{pmatrix}$$

$$\begin{aligned} P_{\nu_e \rightarrow \nu_\mu}(x) &= |\psi_\mu(x)|^2 \\ P_{\nu_e \rightarrow \nu_e}(x) &= |\psi_e(x)|^2 = 1 - P_{\nu_e \rightarrow \nu_\mu}(x) \end{aligned}$$

# $\nu$ Oscillations: **Constant Matter Density**

$$i \frac{d}{dx} \begin{pmatrix} \psi_e \\ \psi_\mu \end{pmatrix} = \frac{1}{4E} \begin{pmatrix} -\Delta m^2 \cos 2\vartheta + 2A_{CC} & \Delta m^2 \sin 2\vartheta \\ \Delta m^2 \sin 2\vartheta & \Delta m^2 \cos 2\vartheta \end{pmatrix} \begin{pmatrix} \psi_e \\ \psi_\mu \end{pmatrix}$$

$$\frac{dA_{CC}}{dx} = 0$$

diagonalization of effective Hamiltonian:  $\begin{pmatrix} \psi_e \\ \psi_\mu \end{pmatrix} = \begin{pmatrix} \cos \vartheta_M & \sin \vartheta_M \\ -\sin \vartheta_M & \cos \vartheta_M \end{pmatrix} \begin{pmatrix} \psi_1^M \\ \psi_2^M \end{pmatrix}$

$$\begin{pmatrix} \cos \vartheta_M & -\sin \vartheta_M \\ \sin \vartheta_M & \cos \vartheta_M \end{pmatrix} \begin{pmatrix} -\Delta m^2 \cos 2\vartheta + 2A_{CC} & \Delta m^2 \sin 2\vartheta \\ \Delta m^2 \sin 2\vartheta & \Delta m^2 \cos 2\vartheta \end{pmatrix} \begin{pmatrix} \cos \vartheta_M & \sin \vartheta_M \\ -\sin \vartheta_M & \cos \vartheta_M \end{pmatrix} =$$

$$= \begin{pmatrix} A_{CC} - \Delta m_M^2 & 0 \\ 0 & A_{CC} + \Delta m_M^2 \end{pmatrix}$$

$$i \frac{d}{dx} \begin{pmatrix} \psi_1^M \\ \psi_2^M \end{pmatrix} = \frac{1}{4E} \left[ \begin{pmatrix} A_{CC} & 0 \\ 0 & A_{CC} \end{pmatrix} + \begin{pmatrix} -\Delta m_M^2 & 0 \\ 0 & \Delta m_M^2 \end{pmatrix} \right] \begin{pmatrix} \psi_1^M \\ \psi_2^M \end{pmatrix}$$



irrelevant common phase

# $\nu$ Oscillations: **Constant Matter Density**

Effective Mixing Angle in Matter

$$\tan 2\vartheta_M = \frac{\tan 2\vartheta}{1 - \frac{A_{CC}}{\Delta m^2 \cos 2\vartheta}}$$

Effective Squared-Mass Difference

$$\Delta m_M^2 = \sqrt{(\Delta m^2 \cos 2\vartheta - A_{CC})^2 + (\Delta m^2 \sin 2\vartheta)^2}$$

Resonance ( $\vartheta_M = \pi/4$ )

$$A_{CC}^R = \Delta m^2 \cos 2\vartheta \quad \Rightarrow \quad N_e^R = \frac{\Delta m^2 \cos 2\vartheta}{2\sqrt{2}EG_F}$$

# $\nu$ Oscillations: Constant Matter Density

$$i \frac{d}{dx} \begin{pmatrix} \psi_1^M \\ \psi_2^M \end{pmatrix} = \frac{1}{4E} \begin{pmatrix} -\Delta m_M^2 & 0 \\ 0 & \Delta m_M^2 \end{pmatrix} \begin{pmatrix} \psi_1^M \\ \psi_2^M \end{pmatrix}$$

$$\begin{pmatrix} \psi_e \\ \psi_\mu \end{pmatrix} = \begin{pmatrix} \cos \vartheta_M & \sin \vartheta_M \\ -\sin \vartheta_M & \cos \vartheta_M \end{pmatrix} \begin{pmatrix} \psi_1^M \\ \psi_2^M \end{pmatrix} \Rightarrow \begin{pmatrix} \psi_1^M \\ \psi_2^M \end{pmatrix} = \begin{pmatrix} \cos \vartheta_M & -\sin \vartheta_M \\ \sin \vartheta_M & \cos \vartheta_M \end{pmatrix} \begin{pmatrix} \psi_e \\ \psi_\mu \end{pmatrix}$$

$$\nu_e \rightarrow \nu_\mu \Rightarrow \begin{pmatrix} \psi_e(0) \\ \psi_\mu(0) \end{pmatrix} = \begin{pmatrix} 1 \\ 0 \end{pmatrix} \Rightarrow \begin{pmatrix} \psi_1^M(0) \\ \psi_2^M(0) \end{pmatrix} = \begin{pmatrix} \cos \vartheta_M \\ \sin \vartheta_M \end{pmatrix}$$

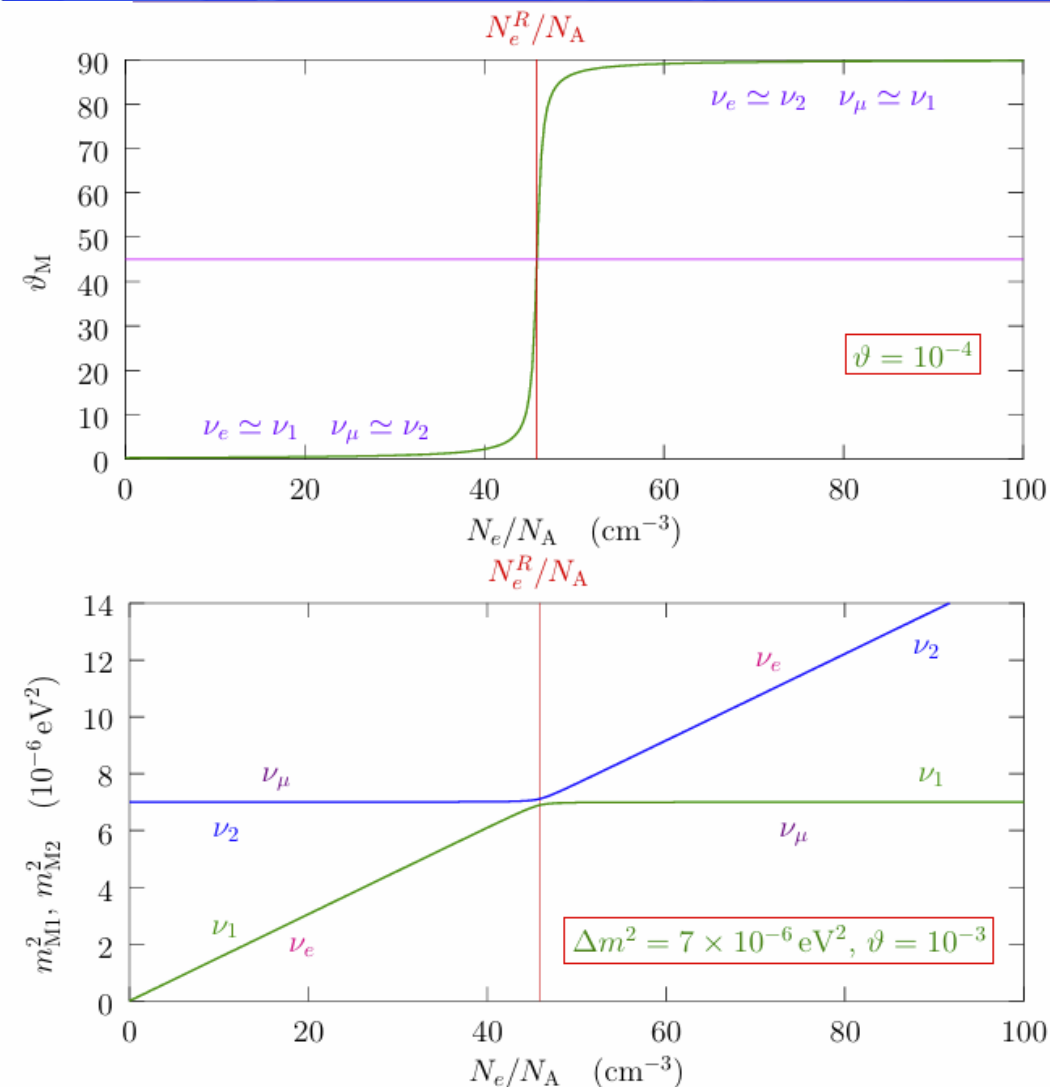
$$\psi_1^M(x) = \cos \vartheta_M \exp \left( i \frac{\Delta m_M^2 x}{4E} \right)$$

$$\psi_2^M(x) = \sin \vartheta_M \exp \left( -i \frac{\Delta m_M^2 x}{4E} \right)$$

$$P_{\nu_e \rightarrow \nu_\mu}(x) = |\psi_\mu(x)|^2 = \left| -\sin \vartheta_M \psi_1^M(x) + \cos \vartheta_M \psi_2^M(x) \right|^2$$

$$P_{\nu_e \rightarrow \nu_\mu}(x) = \sin^2 2\vartheta_M \sin^2 \left( \frac{\Delta m_M^2 x}{4E} \right)$$

# $\nu$ Oscillations: Constant Matter Density



$$\begin{aligned}\nu_e &= \cos \vartheta_M \nu_1 + \sin \vartheta_M \nu_2 \\ \nu_\mu &= -\sin \vartheta_M \nu_1 + \cos \vartheta_M \nu_2\end{aligned}$$

$$\tan 2\vartheta_M = \frac{\tan 2\vartheta}{1 - \frac{A_{\text{CC}}}{\Delta m^2 \cos 2\vartheta}}$$

$$\Delta m_M^2 = \left[ (\Delta m^2 \cos 2\vartheta - A_{\text{CC}})^2 + (\Delta m^2 \sin 2\vartheta)^2 \right]^{1/2}$$

MSW Effect !

# $\nu$ Oscillations: **Non-constant Matter Density**

$$i \frac{d}{dx} \begin{pmatrix} \psi_e \\ \psi_\mu \end{pmatrix} = \frac{1}{4E} \begin{pmatrix} -\Delta m^2 \cos 2\vartheta + 2A_{CC} & \Delta m^2 \sin 2\vartheta \\ \Delta m^2 \sin 2\vartheta & \Delta m^2 \cos 2\vartheta \end{pmatrix} \begin{pmatrix} \psi_e \\ \psi_\mu \end{pmatrix}$$

tentative diagonalization:  $\begin{pmatrix} \psi_e \\ \psi_\mu \end{pmatrix} = \begin{pmatrix} \cos \vartheta_M & \sin \vartheta_M \\ -\sin \vartheta_M & \cos \vartheta_M \end{pmatrix} \begin{pmatrix} \psi_1^M \\ \psi_2^M \end{pmatrix}$

$$i \frac{d}{dx} \begin{pmatrix} \cos \vartheta_M & \sin \vartheta_M \\ -\sin \vartheta_M & \cos \vartheta_M \end{pmatrix} \begin{pmatrix} \psi_1^M \\ \psi_2^M \end{pmatrix} =$$

$$= \frac{1}{4E} \begin{pmatrix} -\Delta m^2 \cos 2\vartheta + 2A_{CC} & \Delta m^2 \sin 2\vartheta \\ \Delta m^2 \sin 2\vartheta & \Delta m^2 \cos 2\vartheta \end{pmatrix} \begin{pmatrix} \cos \vartheta_M & \sin \vartheta_M \\ -\sin \vartheta_M & \cos \vartheta_M \end{pmatrix} \begin{pmatrix} \psi_1^M \\ \psi_2^M \end{pmatrix}$$

if matter density is not constant  $d\vartheta_M/dx \neq 0$

$$i \frac{d}{dx} \begin{pmatrix} \psi_1^M \\ \psi_2^M \end{pmatrix} = \left[ \underbrace{\frac{A_{CC}}{4E}}_{\uparrow} + \frac{1}{4E} \begin{pmatrix} -\Delta m_M^2 & 0 \\ 0 & \Delta m_M^2 \end{pmatrix} + \begin{pmatrix} 0 & -i \frac{d\vartheta_M}{dx} \\ i \frac{d\vartheta_M}{dx} & 0 \end{pmatrix} \right] \begin{pmatrix} \psi_1^M \\ \psi_2^M \end{pmatrix}$$

irrelevant common phase

# $\nu$ Oscillations: **Non-constant Matter Density**

$$i \frac{d}{dx} \begin{pmatrix} \psi_1^M \\ \psi_2^M \end{pmatrix} = \left[ \frac{1}{4E} \begin{pmatrix} -\Delta m_M^2 & 0 \\ 0 & \Delta m_M^2 \end{pmatrix} + \begin{pmatrix} 0 & -i \frac{d\vartheta_M}{dx} \\ i \frac{d\vartheta_M}{dx} & 0 \end{pmatrix} \right] \begin{pmatrix} \psi_1^M \\ \psi_2^M \end{pmatrix}$$

$\uparrow$   
adiabatic
 $\uparrow$   
non-adiabatic  
maximum at resonance

initial conditions:

$$\begin{pmatrix} \psi_1^M(0) \\ \psi_2^M(0) \end{pmatrix} = \begin{pmatrix} \cos \vartheta_M^0 & -\sin \vartheta_M^0 \\ \sin \vartheta_M^0 & \cos \vartheta_M^0 \end{pmatrix} \begin{pmatrix} 1 \\ 0 \end{pmatrix} = \begin{pmatrix} \cos \vartheta_M^0 \\ \sin \vartheta_M^0 \end{pmatrix}$$

solution approximating all non-adiabatic  $\nu_1^M \leftrightarrow \nu_2^M$  transitions in resonance

$$\begin{aligned} \psi_1^M(x) &\simeq \left[ \cos \vartheta_M^0 \exp \left( i \int_0^{x_R} \frac{\Delta m_M^2(x')}{4E} dx' \right) \mathcal{A}_{11}^R + \sin \vartheta_M^0 \exp \left( -i \int_0^{x_R} \frac{\Delta m_M^2(x')}{4E} dx' \right) \mathcal{A}_{21}^R \right] \\ &\quad \times \exp \left( i \int_{x_R}^x \frac{\Delta m_M^2(x')}{4E} dx' \right) \\ \psi_2^M(x) &\simeq \left[ \cos \vartheta_M^0 \exp \left( i \int_0^{x_R} \frac{\Delta m_M^2(x')}{4E} dx' \right) \mathcal{A}_{12}^R + \sin \vartheta_M^0 \exp \left( -i \int_0^{x_R} \frac{\Delta m_M^2(x')}{4E} dx' \right) \mathcal{A}_{22}^R \right] \\ &\quad \times \exp \left( -i \int_{x_R}^x \frac{\Delta m_M^2(x')}{4E} dx' \right) \end{aligned}$$

# $\nu$ Oscillations: **Non-constant Matter Density**

$$\psi_e(x) = \cos \vartheta \psi_1^M(x) + \sin \vartheta \psi_2^M(x)$$

Applied to Solar & Supernova neutrinos  
neglect interference (averaged over energy spectrum)

$$\begin{aligned} \overline{P}_{\nu_e \rightarrow \nu_e}(x) = |\langle \psi_e(x) \rangle|^2 &= \cos^2 \vartheta \cos^2 \vartheta_M^0 |\mathcal{A}_{11}^R|^2 + \cos^2 \vartheta \sin^2 \vartheta_M^0 |\mathcal{A}_{21}^R|^2 \\ &+ \sin^2 \vartheta \cos^2 \vartheta_M^0 |\mathcal{A}_{12}^R|^2 + \sin^2 \vartheta \sin^2 \vartheta_M^0 |\mathcal{A}_{22}^R|^2 \end{aligned}$$

conservation of probability (unitarity)

$$|\mathcal{A}_{12}^R|^2 = |\mathcal{A}_{21}^R|^2 = P_c \qquad |\mathcal{A}_{11}^R|^2 = |\mathcal{A}_{22}^R|^2 = 1 - P_c$$

$P_c \equiv$  crossing probability

$$\overline{P}_{\nu_e \rightarrow \nu_e}(x) = \frac{1}{2} + \left( \frac{1}{2} - P_c \right) \cos 2\vartheta_M^0 \cos 2\vartheta$$

[Parke, PRL 57 (1986) 1275]

# $\nu$ Oscillations: **Non-constant Matter Density**

$$P_c = \frac{\exp\left(-\frac{\pi}{2}\gamma F\right) - \exp\left(-\frac{\pi}{2}\gamma \frac{F}{\sin^2 \vartheta}\right)}{1 - \exp\left(-\frac{\pi}{2}\gamma \frac{F}{\sin^2 \vartheta}\right)}$$

[Kuo, Pantaleone, PRD 39 (1989) 1930]

adiabaticity parameter:  $\gamma = \frac{\Delta m_M^2 / 2E}{2|d\vartheta_M/dx|} \bigg|_R = \frac{\Delta m^2 \sin^2 2\vartheta}{2E \cos 2\vartheta} \bigg|_{\frac{d \ln A_{CC}}{dx}} \bigg|_R$

$A \propto x$   $F = 1$  (Landau-Zener approximation) [Parke, PRL 57 (1986) 1275]

$A \propto 1/x$   $F = (1 - \tan^2 \vartheta)^2 / (1 + \tan^2 \vartheta)$  [Kuo, Pantaleone, PRD 39 (1989) 1930]

$A \propto \exp(-x)$   $F = 1 - \tan^2 \vartheta$  [Pizzochero, PRD 36 (1987) 2293]

$A \propto \exp(-x)$   $F = 1 - \tan^2 \vartheta$  [Toshev, PLB 196 (1987) 170]

[Petcov, PLB 200 (1988) 373]

Review: [Kuo, Pantaleone, RMP 61 (1989) 937]

# In $\nu$ Oscillations **Dirac = Majorana**

Evolution of Amplitudes: 
$$i \frac{d\psi_\alpha}{dx} = \frac{1}{2E} \sum_\beta \left( U M^2 U^\dagger + 2EV \right)_{\alpha\beta} \psi_\beta$$

difference: 
$$\left\{ \begin{array}{ll} \text{Dirac:} & U^{(D)} \\ \text{Majorana:} & U^{(M)} = U^{(D)} D(\lambda) \end{array} \right.$$

$$D(\lambda) = \begin{pmatrix} 1 & 0 & \cdots & 0 \\ 0 & e^{i\lambda_{21}} & \cdots & 0 \\ \vdots & \vdots & \ddots & \vdots \\ 0 & 0 & \cdots & e^{i\lambda_{N1}} \end{pmatrix} \Rightarrow D^\dagger = D^{-1}$$

$$M^2 = \begin{pmatrix} m_1^2 & 0 & \cdots & 0 \\ 0 & m_2^2 & \cdots & 0 \\ \vdots & \vdots & \ddots & \vdots \\ 0 & 0 & \cdots & m_N^2 \end{pmatrix} \Rightarrow DM^2 = M^2 D \Rightarrow DM^2 D^\dagger = M^2$$

$$U^{(M)} M^2 (U^{(M)})^\dagger = U^{(D)} D M^2 D^\dagger (U^{(D)})^\dagger = U^{(D)} M^2 (U^{(D)})^\dagger$$

# Common Question: Do Charged Leptons Oscillate?

- ▶ Mass is the only property which distinguishes  $e$ ,  $\mu$ ,  $\tau$ .
- ▶ The flavor of a charged lepton is defined by its mass!
- ▶ By definition, the flavor of a charged lepton cannot change.

THE FLAVOR OF CHARGED LEPTONS DOES NOT OSCILLATE

[CG, Kim, FPL 14 (2001) 213] [CG, hep-ph/0409230] [Akhmedov, JHEP 09 (2007) 116]

## 参考资料

C. Giunti & C.W. Kim

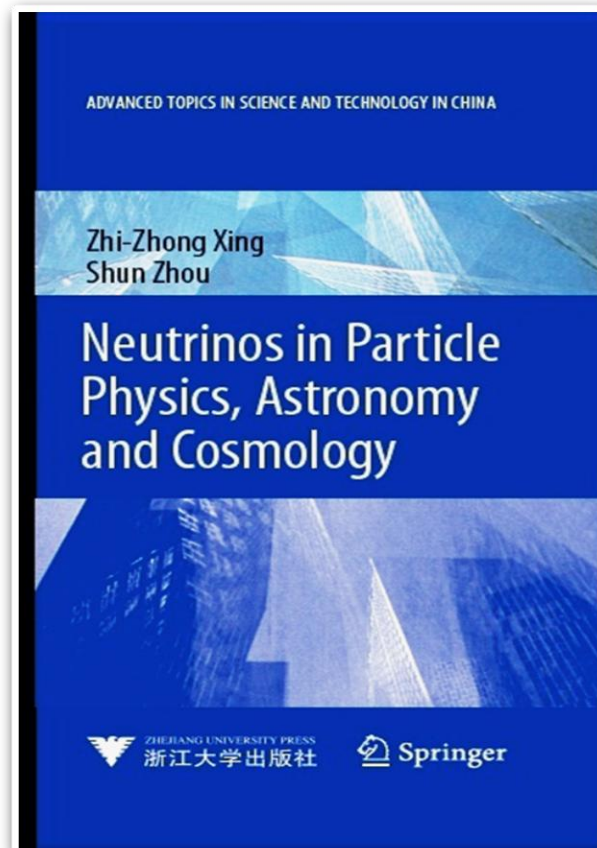
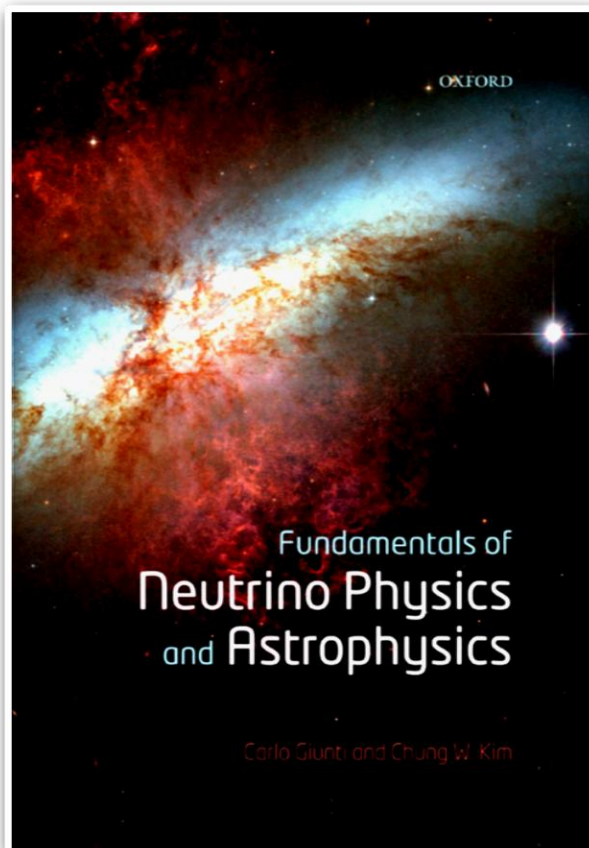
Z.Z. Xing & S. Zhou

A. Strumia & F. Vissani

hep-ph/0606054

## 文献搜索

- <http://inspirehep.net/>
- <https://arxiv.org/>
- <https://ui.adsabs.harvard.edu/>



**Thanks!**

**谢谢!**

# 弱相互作用: 费米理论 v.s. 标准模型

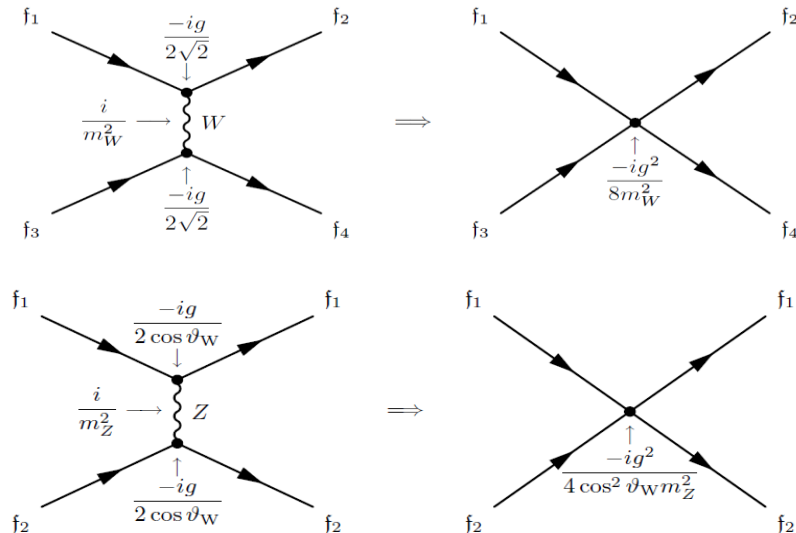
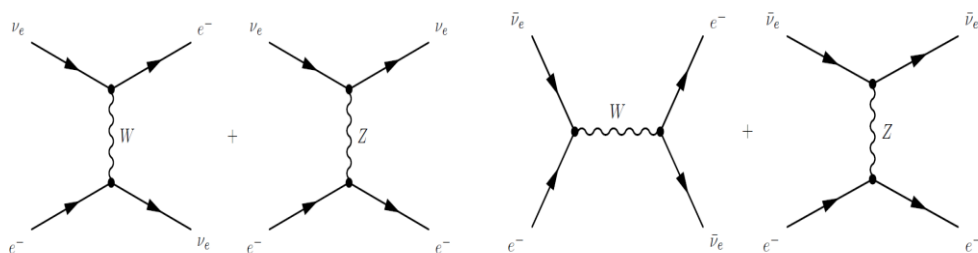
## 费米相互作用: Current-current interaction *Fermi (1934)*

$$\frac{G_F}{\sqrt{2}} = \frac{g^2}{8m_W^2}$$

$$j_{W,L}^\rho = 2 \sum_{\alpha=e,\mu,\tau} \bar{\nu}_{\alpha L} \gamma^\rho \ell_{\alpha L} = \sum_{\alpha=e,\mu,\tau} \bar{\nu}_\alpha \gamma^\rho (1 - \gamma^5) \ell_\alpha$$

$$j_{Z,\nu}^\rho = \sum_{\alpha=e,\mu,\tau} \bar{\nu}_{\alpha L} \gamma^\rho \nu_{\alpha L} = \frac{1}{2} \sum_{\alpha=e,\mu,\tau} \bar{\nu}_\alpha \gamma^\rho (1 - \gamma^5) \nu_\alpha$$

$$\mathcal{L}_{I,L}^{(CC)} = -\frac{g}{2\sqrt{2}} (j_{W,L}^\rho W_\rho + j_{W,L}^\rho W_\rho^\dagger) \quad \mathcal{L}_{I,\nu}^{(NC)} = -\frac{g}{2\cos\vartheta_W} j_{Z,\nu}^\rho Z_\rho$$



| Fermions                   | $g_L$                                     | $g_R$                       | $g_V$                                     | $g_A$                   |
|----------------------------|-------------------------------------------|-----------------------------|-------------------------------------------|-------------------------|
| $\nu_e, \nu_\mu, \nu_\tau$ | $g_L^\nu = \frac{1}{2}$                   | $g_R^\nu = 0$               | $g_V^\nu = \frac{1}{2}$                   | $g_A^\nu = \frac{1}{2}$ |
| $e, \mu, \tau$             | $g_L^l = -\frac{1}{2} + s_W^2$            | $g_R^l = s_W^2$             | $g_V^l = -\frac{1}{2} + 2s_W^2$           | $g_A^l = -\frac{1}{2}$  |
| $u, c, t$                  | $g_L^U = \frac{1}{2} - \frac{2}{3}s_W^2$  | $g_R^U = -\frac{2}{3}s_W^2$ | $g_V^U = \frac{1}{2} - \frac{4}{3}s_W^2$  | $g_A^U = \frac{1}{2}$   |
| $d, s, b$                  | $g_L^D = -\frac{1}{2} + \frac{1}{3}s_W^2$ | $g_R^D = \frac{1}{3}s_W^2$  | $g_V^D = -\frac{1}{2} + \frac{2}{3}s_W^2$ | $g_A^D = -\frac{1}{2}$  |

**Z 耦合**

$$\mathcal{L}_{\text{eff}}^{(-)}(\bar{\nu}_e e^- \rightarrow \bar{\nu}_e e^-) = -\frac{G_F}{\sqrt{2}} \left\{ [\bar{\nu}_e \gamma^\rho (1 - \gamma^5) e] [\bar{e} \gamma_\rho (1 - \gamma^5) \nu_e] + [\bar{\nu}_e \gamma^\rho (1 - \gamma^5) \nu_e] [\bar{e} \gamma_\rho (g_V^l - g_A^l \gamma^5) e] \right\}$$

$$\mathcal{L}_{\text{eff}}^{(-)}(\bar{\nu}_e e^- \rightarrow \bar{\nu}_e e^-) = -\frac{G_F}{\sqrt{2}} [\bar{\nu}_e \gamma^\rho (1 - \gamma^5) \nu_e] [\bar{e} \gamma_\rho ((1 + g_V^l) - (1 + g_A^l) \gamma^5) e]$$

|                       | Natural units                                   | Realistic units                                                                       |
|-----------------------|-------------------------------------------------|---------------------------------------------------------------------------------------|
| Phase factors         | $\exp(-iE_{1,2}t)$                              | $\exp\left(-i\frac{E_{1,2}}{\hbar}t\right)$                                           |
| Energies and momentum | $E_{1,2} = \sqrt{p^2 + m_{1,2}^2}$              | $E_{1,2} = \sqrt{p^2c^2 + m_{1,2}^2c^4}$                                              |
| Energy difference     | $\Delta E = \frac{\Delta m^2}{2E}$              | $\Delta E = \frac{\Delta m^2c^3}{2p} = \frac{\Delta m^2c^4}{2E}$                      |
| Time and distance     | $t = L$                                         | $t = \frac{L}{c}$                                                                     |
| Oscillation argument  | $\frac{1}{2}\Delta Et = \frac{\Delta m^2L}{4E}$ | $\frac{1}{2}\frac{\Delta E}{\hbar}t = \frac{c^3}{\hbar} \cdot \frac{\Delta m^2L}{4E}$ |