

New Physics searches at NA62

(Search for Lepton Number and Lepton Flavour violation and Heavy Neutral Lepton)

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Workshop on status and perspectives of physics at high intensity

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NA62: a general purpose experiment



The NA62 experiment



2016-2018 data taking ~ 10 trigger lines implemented

Lepton Number and Lepton Flavour violation (LNV&LFV) $K^+ \rightarrow \pi^{\pm} \mu^{\mp} e^+, K^+ \rightarrow \pi^{-} \mu^{+} \mu^+, K^+ \rightarrow \pi^{-} (\pi^0) e^+ e^+, K^+ \rightarrow \mu^{-} v e^+ e^+, \pi^0 \rightarrow \mu^{-} e^+$

Heavy Neutral Lepton (HNL)

 $K^+ \rightarrow \mu^+ N, K^+ \rightarrow e^+ N$

Search motivation

Lepton Number (L) and Lepton Flavour(L_e, L_{μ}, L_{τ}) are approximately conserved numbers within the Standard Model: their conservation is not imposed by any local gauge symmetry \rightarrow interesting to search for New Physics effects, exploring high mass scale $\mathcal{O}(100 \text{ TeV})^*$.

Decays as:

- Pure leptonic LFV processes: $\mu \rightarrow e\gamma$ or $\mu \rightarrow 3e$ (MEG, MU2E, MU3E)
- Quark-lepton LFV processes of the type $\mathbf{d} \rightarrow \mathbf{d} \mu \mathbf{e}$ as the neutrino-less conversion $\mu + (A, Z) \rightarrow \mathbf{e} + (A, Z)$
- Quark-lepton LFV processes of the type $\mathbf{s} \to \mathbf{d} \mu \mathbf{e}$ as the kaon decays: $K^+ \to \pi^+ \mu e$ (NA62)
- Lepton number violating decays as the neutrino-less 2β -decay or $\mathbf{K}^+ \to \pi^- \mathbf{l}^+ \mathbf{l}^+$, $\mathbf{B}^+ \to \mathbf{X}^- \mathbf{l}^+ \mathbf{l}^+$, where $\mathbf{X} = \pi, \mathbf{K}, \rho$ (NA62, LHCb, Belle II)

are forbidden within the Standard Model

Observation of neutrino oscillations provided the first proof of the non-conservation of LF, however no evidence of LNV has been observed so far. New physics models which explain experimental observations, such as neutrino oscillations or the possible flavour anomalies in B-physics, can introduce LN and LF violation involving charged leptons.

^{*}assuming contribution at tree level without any specific flavour structure

Lepton Number & Lepton Flavour violation in K⁺ decay

Lepton Number Violation



E.g: <u>Type I see-saw mechanism</u> $\Delta L = 2$ via exchange of Majorana neutrinos

Investigate the neutrino nature: Dirac or Majorana particles?

 \rightarrow directly searching for HNL production and decays \rightarrow searching for LNV processes

Lepton Flavour Violation



 $\Delta L_i = 1 \& \Delta L_j = 1 i, j = [\mu, e]$ E.g mediated at tree level by: <u>leptoquark</u> that can couples with fermions of more than one families <u>new heavy Z' boson</u> with family non-universal coupling <u>flavour violating ALPs</u> Searches in K decays are complementary to searches in B-physics and in purely leptonic processes

Search for LNV and LFV

- Blinded analysis strategy: signal region kept closed until final background validation in control regions
 Run1 = 2017+2018 data
- analysis performed under the hypothesis that tracks and clusters, reconstructed in the detectors downstream the FV, are coming from the same decay point \rightarrow Invariant Mass, M_{inv} , is the kinematic variable used to distinguish between signal and background

$$M_{inv} = \sqrt{(\sum_i P_i)^2}$$
 where $P_{_i}$ is the four momentum of the selected track

Normalization channel chosen according to the different final states, in order to optimise the cancellation of systematic effects such as trigger efficiency or intrinsic detector inefficiencies



Background mechanism

1.

Probabilities measured from data

- Mis-identification (mis-ID) abilities measured from data $\pi^{\pm} \Rightarrow e^{\pm}$ from pure sample of $\mathbf{K}^{+} \rightarrow \pi^{+}\pi^{-}\pi^{-}e^{\pm} \Rightarrow \pi^{\pm}$ from pure sample of $K^{+} \rightarrow \pi^{+}\pi^{0}, \pi^{0} \rightarrow e^{+}e^{-}e^{-}$

 $\pi^{\pm} \Rightarrow \mu^{\pm}$ and $\mu^{\pm} \Rightarrow e^{\pm}$ have been considered (accidentals in muon detector (MUV3))

- 2. Decay in flight (DIF)
- $\pi^{\pm} \rightarrow \mu^{\pm} v_{\mu}$ $\mu^{\pm} \rightarrow e^{\pm} v_{\mu}^{\mu}$ $\pi^{\theta} \rightarrow e^{+} e^{-} \gamma$ (Dalitz decay)
- Accidental background 3. mostly due to pile-up muon coming from beam particles decays

(from K'
$$\rightarrow \pi \mu e$$
 analysis) (from K' $\rightarrow K^+ \rightarrow \mu^- v e^+ e^+$
K⁺ $\rightarrow \pi^+ \pi^- \pi^- (\text{decay upstream FV})$
mis-ID as e^+
DIF to $\mu^- v_{\mu}$



mis-ID

Consideration to background evaluation

Background evaluated from MC simulation of kaon decays

For the main kaon decays as $\mathbf{K}^+ \rightarrow \pi^+ \pi^- (\text{Br}=5.583\%)$ it's impossible to produce the same statistics in data ($\mathcal{O}(10^{12})$) limited by CPU and storage space

To boosts statistical power

PID models applied to simulation Biased $K^+ \rightarrow \pi^+ \pi^- MC$ simulation forcing pion decays in flight

MC simulation needs to be corrected:

Data samples collected using trigger conditions including a cut on the total energy deposited in the LKr detector \rightarrow due to non perfect simulation of pion energy deposition in the LKr corrections are applied based on data distribution

Search for $K^+ \rightarrow \pi^- \mu^+ \mu^+$ (PLB 797 134794 (2019))



Process	Expected background
$K_{3\pi}$ (no π^{\pm} decays)	0.007 ± 0.003
$K_{3\pi}$ (one π^{\pm} decay)	0.25 ± 0.25
$K_{3\pi}$ downstream (at least two π^{\pm} decays)	0.20 ± 0.20
$K_{3\pi}$ upstream (at least two π^{\pm} decays)	0.24 ± 0.24
$K^+ \rightarrow \pi^+ \mu^+ \mu^-$	0.08 ± 0.02
$K^+ \to \pi^+ \pi^- \mu^+ \nu$	0.05 ± 0.05
$K^+ \to \pi^+ \pi^- e^+ \nu$	0.07 ± 0.05
$K^+ \rightarrow \mu^+ \nu \mu^+ \mu^-$	0.01 ± 0.01
Total	0.91 ± 0.41



Expected background in the signal region

 $A_{\pi\mu\mu} = 9.81 \%$ (signal acceptance)

$$Br_{SES} = (1.28 \pm 0.04) \times 10^{-11}$$

1 event observed in the signal region

Search for $K^+ \rightarrow \pi^- e^+ e^+$ (PLB 830, 137172 (2022))



Normalization Channel Br(K⁺ $\rightarrow \pi^+ e^+ e^-$) = (3.00 ± 0.09) × 10⁻⁷

Mode	Lower region	Upper region	Masked region	Signal region
$K^+ \rightarrow \pi^+ \pi^+ \pi^-$	0.9		<u></u>	
$K^+ \to \pi^+\pi^- e^+ \nu$	3.3	8		
$K^+ \rightarrow \pi^+ \pi_D^0$	-	0.02	0.01	
$K^+ \rightarrow \pi_D^0 e^+ \nu$	3.7 ± 0.7	1.20 ± 0.24	1.23 ± 0.25	0.29 ± 0.06
$K^+ \rightarrow e^{\mp} \nu e^+ e^-$	0.7 ± 0.1	0.76 ± 0.15	0.47 ± 0.09	0.14 ± 0.03
Total	8.6 ± 0.9	1.98 ± 0.39	1.71 ± 0.34	0.43 ± 0.09
Data	8	1	1	0



 $A_{\pi ee} = 4.32 \%$ (signal acceptance)

$$Br_{SES} = (2.28 \pm 0.07) \times 10^{-11}$$

0 event observed in the signal region

Search for $K^+ \rightarrow \pi^- \pi^0 e^+ e^+$ (PLB 830, 137172 (2022))



Normalization Channel

Mode	Control region	Signal region
$K^+ \to \pi^+ \pi^0 \pi_D^0$	0.16 ± 0.01	0.019
$K^+ \to \pi^+ \pi_D^0 \gamma$	0.06 ± 0.01	0.004
$K^+ \to \pi^0_D e^+ \nu \gamma$	0.05 ± 0.02	
$K^+ \rightarrow \pi^+ \pi^0 e^+ e^-$	0.01	0.001
Pileup	0.20 ± 0.20	0.020 ± 0.020
Total	0.48 ± 0.20	0.044 ± 0.020
Data	1	0



 $A_{\pi ee} = 0.271 \%$ (signal acceptance)

0 event observed in the signal region

Br < 8.5 ×
$$10^{-10}$$
 @ 90% C.L

Search for $K^+ \rightarrow \mu^- v e^+ e^+$

Normalization Channel Br(K⁺ $\rightarrow \pi^+ e^+ e^-$) = (3.00 ± 0.09) × 10⁻⁷

 $N_{\rm K} = (1.97 \pm 0.02_{\rm stat} \pm 0.02_{\rm sys} \pm 0.06_{\rm ext}) \times 10^{12}$

$$\frac{\text{Trigger line}}{\text{PNN}} \quad \frac{1}{1} \qquad \frac{1540}{1540} \qquad \frac{74}{74}$$

$$\frac{\text{Non-}\mu}{200} \qquad \frac{30}{30} \qquad \frac{12}{12}$$

$$\frac{\text{MT}}{100} \qquad \frac{100}{39} \qquad \frac{4}{2}$$

$$\frac{2\mu\text{MT}}{2} \qquad \frac{2}{150} \qquad \frac{30}{30}$$

$$e\text{MT} \qquad \frac{8}{193} \qquad \frac{193}{22}$$

$$\frac{\mu\text{MT}}{5} \qquad \frac{99}{10}$$

$$\frac{10}{9} \qquad 0.3$$

$$\frac{10}{9} \qquad \frac{10}{100} \qquad \frac{100}{100} \qquad \frac{1$$

Mode / Region	Lower	Signal	Upper
$K_{3\pi}$	< 0.07	< 0.07	1412 ± 11
$K_{3\pi}$ (upstream)	< 0.03	0.06 ± 0.03	1.5 ± 0.3
$K^+ \to \pi^+ \pi^- e^+ \nu$	0.01 ± 0.01	0.16 ± 0.02	867 ± 1
$K^+ \to \pi^+ \pi^- e^+ \nu$ (upstream)	0.01 ± 0.01	0.01 ± 0.01	0.14 ± 0.03
$K^+ \rightarrow \pi_D^0 e^+ \nu$	0.02 ± 0.01	0.01 ± 0.01	0.02 ± 0.01
Total	0.04 ± 0.02	0.26 ± 0.04	2281 ± 11
Data	0	masked	2271





	$K^+ \to \pi^- \mu^+ e^+$	$K^+ \rightarrow \pi^+ \mu^- e^+$	$\pi^0 \rightarrow \mu^- e^+$
$A_{\rm s} \times 10^2$	4.90 ± 0.02	6.21 ± 0.02	3.11 ± 0.02
$\varepsilon_{\rm LKr10} \times 10^2$	97.5 ± 1.3	97.5 ± 1.3	92.9 ± 1.2
$\varepsilon_{\rm LKr20} \times 10^2$	74.1 ± 1.6	73.3 ± 1.6	45.3 ± 1.0
$\mathcal{B}_{SES} \times 10^{11}$	1.82 ± 0.08	1.44 ± 0.05	13.9 ± 0.9

$$\mathcal{B}_{\rm SES}^{i} = \frac{1}{N_{K}^{i} A_{\rm s} \varepsilon_{\rm s}^{i}} \qquad \mathcal{B}_{\rm SES} = \left[\sum_{i} (\mathcal{B}_{\rm SES}^{i})^{-1}\right]^{-1}$$

Source	$K^+ \to \pi^- \mu^+ e^+$	$K^+ \to \pi^+ \mu^- e^+$	$\pi^0 \to \mu^- e^+$
$K^+ \to \pi^+ \pi^+ \pi^-$	0.22 ± 0.15	0.84 ± 0.34	0.22 ± 0.15
$K^+ \rightarrow \pi^+ e^+ e^-$	0.63 ± 0.13	negligible	negligible
$K^+ \to \mu^+ \nu_\mu e^+ e^-$	0.13 ± 0.02	negligible	negligible
$K^+ \to \pi^+ \pi^- e^+ \nu_e$	0.07 ± 0.02	0.05 ± 0.03	0.01 ± 0.01
$K^+ \to \pi^+ \mu^+ \mu^-$	0.01 ± 0.01	0.02 ± 0.01	negligible
$K^+ \to e^+ \nu_e \mu^+ \mu^-$	0.01 ± 0.01	0.01 ± 0.01	negligible
Total	1.07 ± 0.20	0.92 ± 0.34	0.23 ± 0.15

Search for $K^+ \rightarrow \pi^{\pm} \mu^{\mp} e^+$ and $\pi^0 \rightarrow \mu^{\pm} e^+ (\underline{PRL 127, 1131802 (2021)})$



Heavy Neutral Lepton searches







not possible to perform such search

Search for HNL production in $\mathbf{K}^{\!\!+}$ decays to lepton

- precise tracking and powerful PID to reconstruct both the K^+ and e^+/μ^+
- matching the two tracks together
- veto any other in-time activity, time resolution O(100 ps)
- $K^+ \rightarrow l^+ N$ decays should appear as a sharp bump in the positive m^2_{miss} side-band of candidate $K^+ \rightarrow l^+ v$ decays



HNL mass resolution and acceptance

Selection for each HNL mass hypothesis (m_N) includes a "mass window" condition: $|m-m_N| < 1.5 \sigma_m$: background is proportional to mass resolution.

Resolution is crucial to resolve possible HNL mass splitting.



Results from full Run 1 data set



 $\mathcal{O}(10^{-9})$ limits on $|U_{e4}|^2$ and $\mathcal{O}(10^{-8})$ limits on $|U_{u4}|^2$

More than 2(1) orders of magnitude improvements from run 1 data for e^+ (μ^+) with respect to previous results.

For $\mu^{\scriptscriptstyle +}$: NA62 consistent with the E949 result and extends UL to higher masses

For e⁺: values favored by the Big Bang Nucleosynthesis (BBN) constraint (dashed red line) are excluded for HNL masses up to 340 MeV/c²

PLB 816 136259 (2021) PLB 807 135599 (2020)

Summary: new upper limits on LNV and LFV decays from NA62

	Previous UL @ 90% C.L	NA62 UL @ 90% C.L	
$K^+ \rightarrow \pi \bar{\mu}^+ \mu^+$	8.6 × 10 ⁻¹¹	4.2 × 10 ⁻¹¹	2017 data \rightarrow improved by factor 2
$K^+ \rightarrow \pi^- e^+ e^+$	6.4 × 10 ⁻¹⁰	5.3 × 10 ⁻¹¹	2017+2018 data \rightarrow improved by factor 12
$K^+ \rightarrow \pi^- \pi^0 e^+ e^+$	no limit	8.5 × 10 ⁻¹⁰	2017+2018 data \rightarrow first limit
$K^+ \rightarrow \pi^- \mu^+ e^+$	5.0 × 10 ⁻¹⁰	4.2 × 10 ⁻¹¹	2017+2018 data \rightarrow improved by factor 12
$K^+ \rightarrow \pi^+ \mu^- e^+$	5.2 × 10 ⁻¹⁰	6.6 × 10 ⁻¹¹	2017+2018 data \rightarrow improved by factor 8
$\pi^{0} \rightarrow \mu^{-} e^{+}$	3.4 × 10 ⁻⁹	3.2 × 10 ⁻¹⁰	2017+2018 data \rightarrow improved by factor 13
$K^+ \rightarrow \pi^+ \mu^+ e^-$	1.3 × 10 ⁻¹¹	-	sensitivity similar to the previous search
$\pi^0 { ightarrow} \mu^+ e^-$	3.8 × 10 ⁻¹⁰	-	sensitivity similar to the previous search
$K^+ \rightarrow \mu^- v e^+ e^+$	2.1 × 10 ⁻⁸	8.1 × 10 ⁻¹¹	2017+2018 data \rightarrow improved by more than 2 order of magnitude
$K^+ \rightarrow e^- v \mu^+ \mu^+$	no limit	-	Ongoing analysis: 2017+2018 data <i>S.E.S</i> ~ 10 ⁻¹¹

The NA62 2016-2018 data taking led to a lot of new results:

- Large improvements on most of the LN and LF violating K^+ and π^0 decays \rightarrow sensitivity up to 10^{-11}
- New limits on the $|U_{4l}|^2$ up to 10⁻⁹, searching for HNL production in K⁺ decays to leptons have been set, improving on previous results and covering larger mass range

NA62 resumed the data taking in 2021, with detector upgrades and optimizations of the trigger lines.

New data have been already collected and new results on LNV, LFV and HNL searches are expected.

