



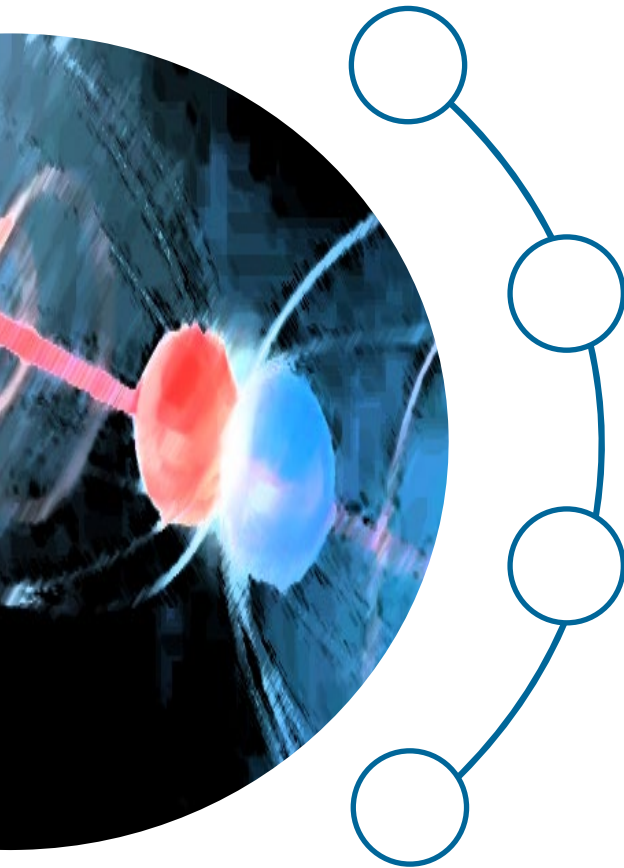
BESIII NPG Workshop 2021

FCNC searches at BESIII

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2021.11.05

¹Lanzhou University



Introduction

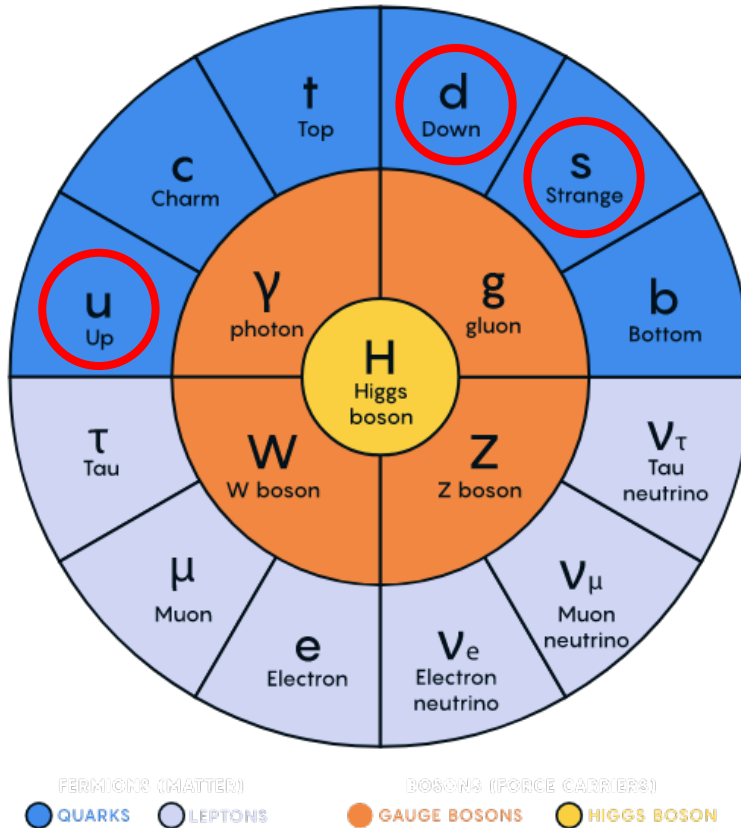
Experiment

Prospect

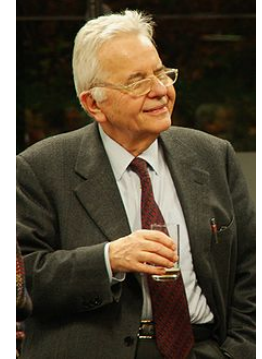
Summary

- Standard Model (SM):

The Standard Model



1964, **Nicola Cabibbo**



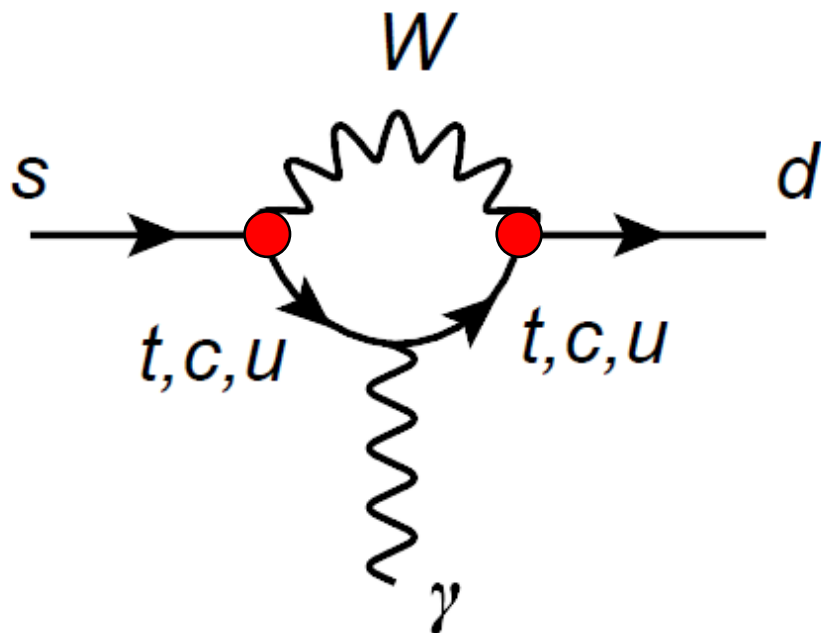
$$\bar{u}u + \bar{d}'d' = \bar{u}u + (\cos^2 \theta_c \bar{d}d + \sin^2 \theta_c \bar{s}s) + \sin \theta_c \cos \theta_c (\bar{d}s + \bar{s}d)$$

1970, **S.Glashow, J.Iliopoulos, L.Maiani**

$$\bar{u}u + \bar{c}c + \bar{d}'d' + \bar{s}'s' = \bar{u}u + \bar{c}c + \bar{d}d + \bar{s}s$$

$$V_{CKM} = \begin{pmatrix} V_{ud} & V_{us} & V_{ub} \\ V_{cd} & V_{cs} & V_{cb} \\ V_{td} & V_{ts} & V_{tb} \end{pmatrix}$$

- Flavor-changing neutral current (FCNC) process:



$$\mathcal{A}_x \propto (V_{ts}V_{td}^* + V_{cs}V_{cd}^* + V_{us}V_{ud}^*),$$

$$V_{ud}^*V_{us} + V_{cd}^*V_{cs} + V_{td}^*V_{ts} = 0,$$

$$V_{ud}^*V_{ub} + V_{cd}^*V_{cb} + V_{td}^*V_{tb} = 0,$$

$$V_{us}^*V_{ud} + V_{cs}^*V_{cd} + V_{ts}^*V_{td} = 0,$$

$$V_{us}^*V_{ub} + V_{cs}^*V_{cb} + V_{ts}^*V_{tb} = 0,$$

$$V_{ub}^*V_{ud} + V_{cb}^*V_{cd} + V_{tb}^*V_{td} = 0,$$

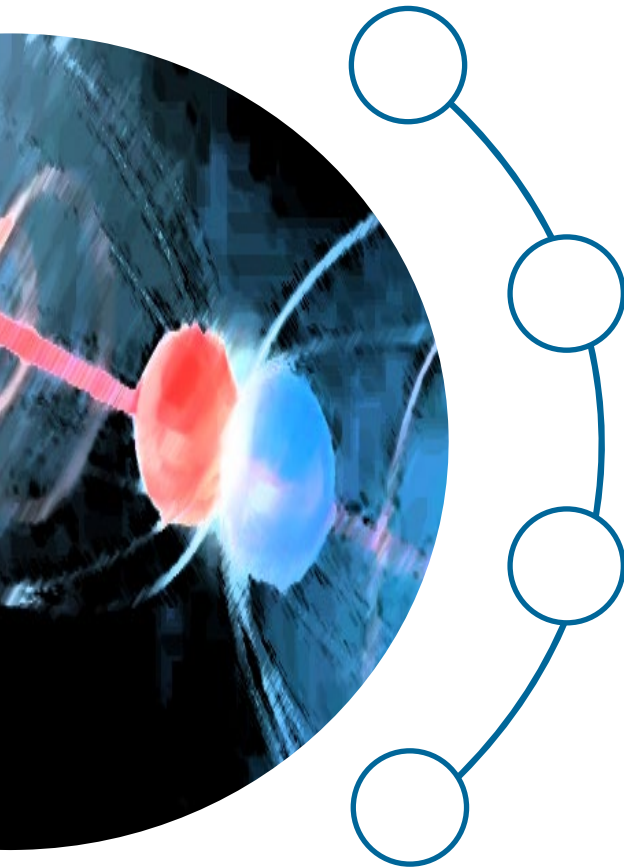
$$V_{ub}^*V_{us} + V_{cb}^*V_{cs} + V_{tb}^*V_{ts} = 0.$$

- GIM mechanism

$$\mathcal{A}_y \propto (V_{ts}V_{td}^*G(m_t) + V_{cs}V_{cd}^*G(m_c) + V_{us}V_{ud}^*G(m_u)),$$

$$\mathcal{A}_y \sim V_{ts}V_{td}^*G(m_t) \sim V_{ts}V_{td}^*F\left(\frac{m_t^2}{m_W^2}\right)$$

$$|V_{CKM}| = \begin{pmatrix} 0.97446 \pm 0.00010 & 0.22452 \pm 0.00044 & 0.00365 \pm 0.00012 \\ 0.22438 \pm 0.00044 & 0.97359^{+0.00010}_{-0.00011} & 0.04214 \pm 0.00076 \\ 0.00896^{+0.00024}_{-0.00023} & 0.04133 \pm 0.00074 & 0.999105 \pm 0.000032 \end{pmatrix}$$



Introduction

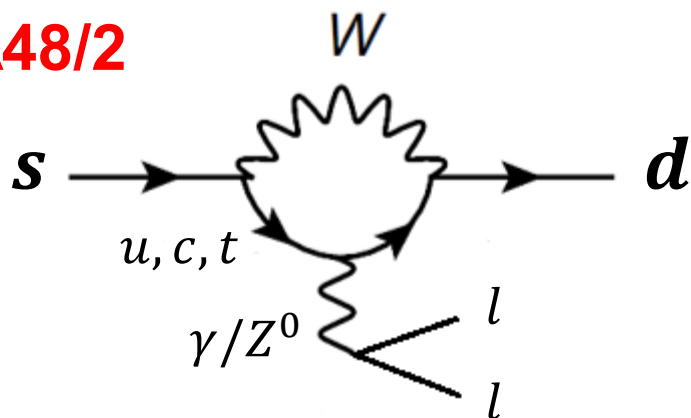
Experiment

Prospect

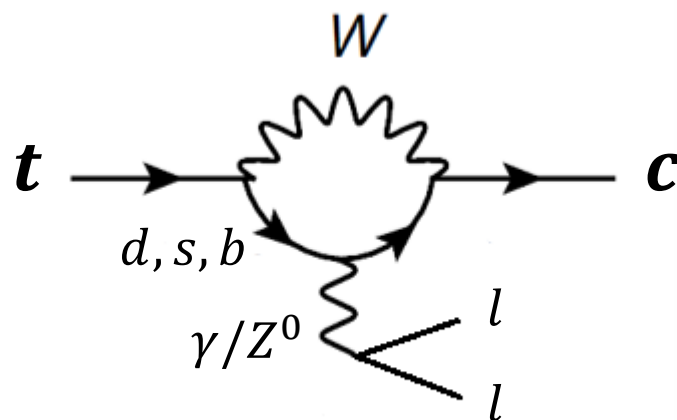
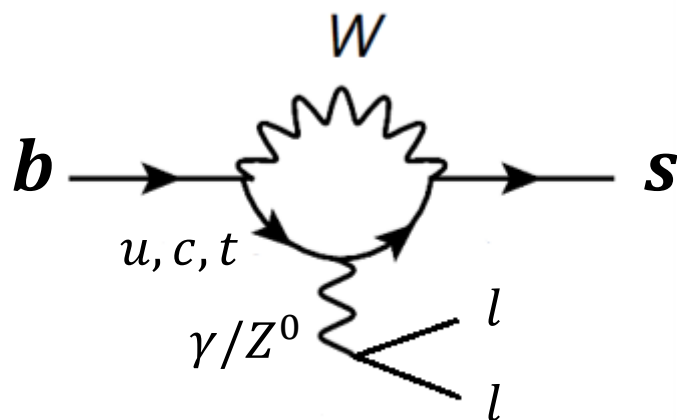
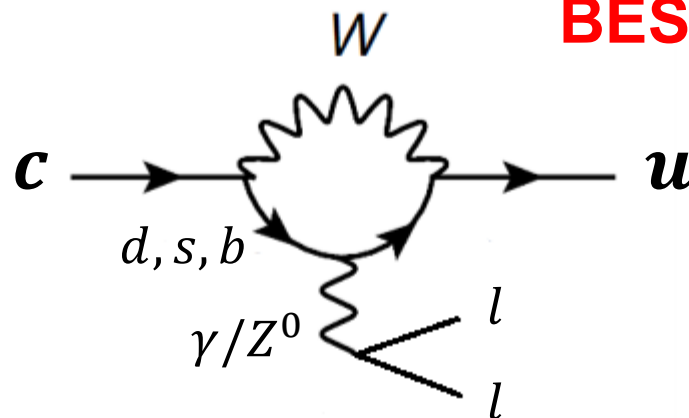
Summary

• FCNC process:

NA48/2



BESIII ✓



Belle, BaBar

- **Features of FCNC:**

- **Very small Branching fraction:**

- $10^{-13} \sim 10^{-10}$ in theoretical prediction in SM.
- Enhanced to above 10^{-6} in other model, e.g. MSSM, 2HDM.

- **Hard to fully reconstruct:**

- Contains at least a γ (no tracks, fake γ , FSR).
- Contains $l^+ l^-$ pairs (identification of l).
- Contains $\nu_l \bar{\nu}_l$ pairs (invisible).

- **Confusable background:**

- γ conversion ($\gamma \rightarrow e^+ e^-$).
- Long-distance process (through vector particle).

- FCNC at BESIII (from [BESIII publication page](#)):

- $D^0 \rightarrow \gamma\gamma$: PRD 91, 112015 (2015)
- $J/\psi, \psi(3686) \rightarrow D^0 e^+ e^-$: PRD 96, 111101(R) (2017)
- $\psi(3686) \rightarrow \Lambda_c^+ \bar{p} e^+ e^-$: PRD 97, 091102(R) (2018)
- $D^+(D^0) \rightarrow h(h') e^+ e^-$: PRD 97, 072015 (2018)

4 FCNC out of **369** papers!

• Techniques in FCNC research:

• Blind analysis

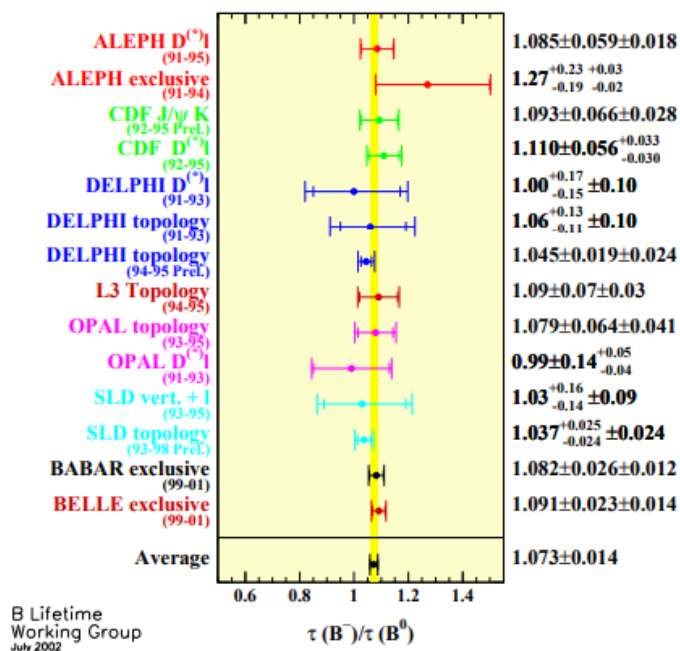
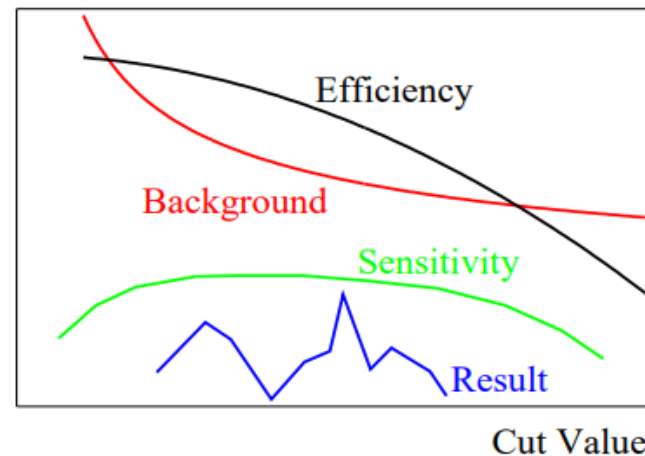


Figure 2: Summary of B meson lifetime ratio measurements. The average has a $\chi^2 = 4.5$ for 13 degrees of freedom.



Hide results to seek the truth

More fields should, like particle physics, adopt blind analysis to thwart bias, urge Robert MacCoun and Saul Perlmutter.

“Blind Analysis in Particle Physics”

Nature volume 526, pages187–189 (2015)

- Techniques in FCNC research:

$$N_i^{\text{tag}} = 2N_{D^+D^-} \cdot \mathcal{B}_i^{\text{tag}} \cdot \varepsilon_i^{\text{tag}}$$

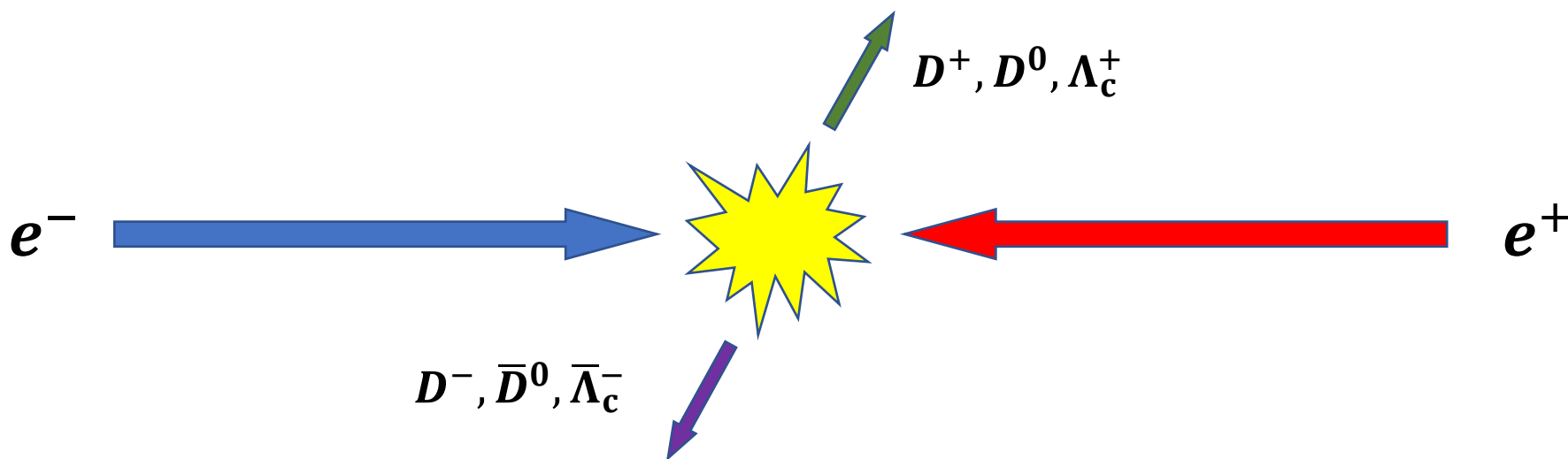
- Single-tag/Double-tag:

$$N_i^{\text{sig}} = 2N_{D^+D^-} \cdot \mathcal{B}_i^{\text{tag}} \cdot \mathcal{B}_i^{\text{sig}} \cdot \varepsilon_i^{\text{sig}} \cdot \varepsilon_i^{\text{tag}}$$

- Single-tag -> larger sample, higher background

$$\mathcal{B}^{\text{sig}} = \frac{\sum_i N_i^{\text{sig}} / \varepsilon_i^{\text{sig}}}{\sum_i N_i^{\text{tag}}}$$

- Double-tag -> smaller sample, lower background

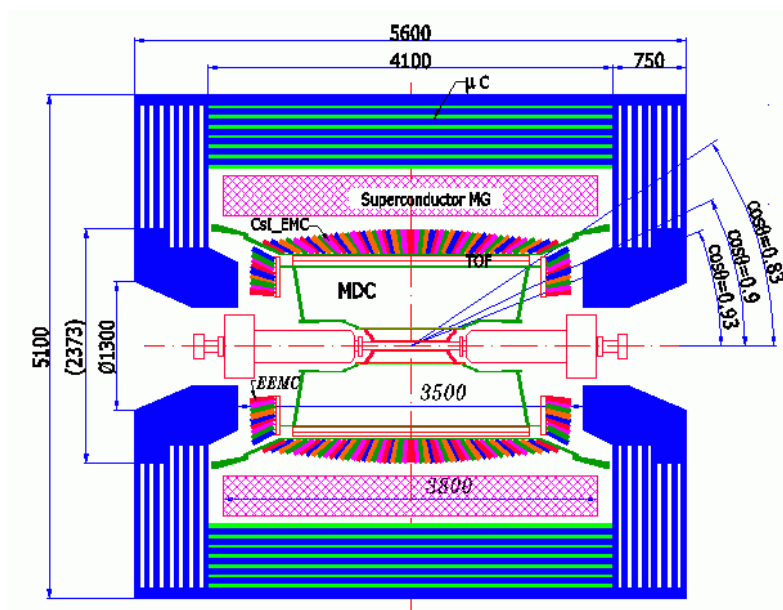
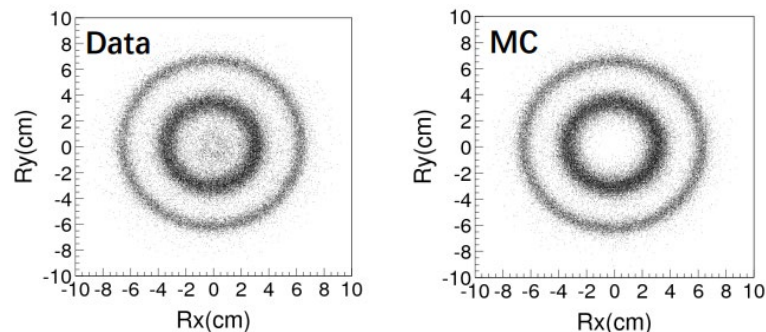
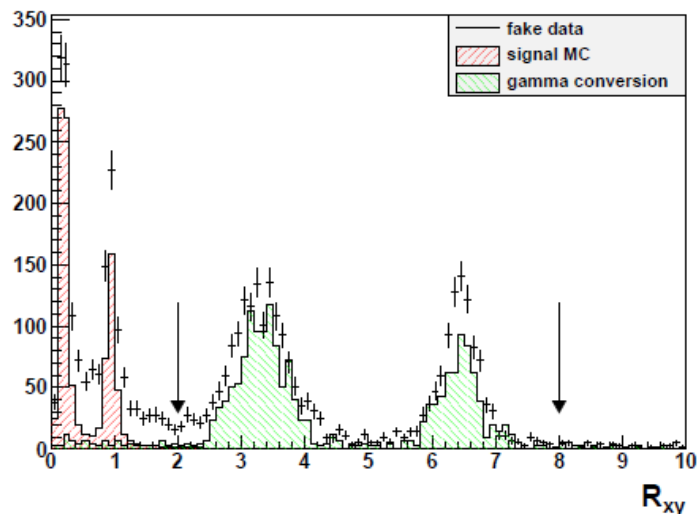


- Techniques in FCNC research:

- γ conversion veto:

- Occurs when γ through matter.
(Beam pipe and inner wall of MDC)

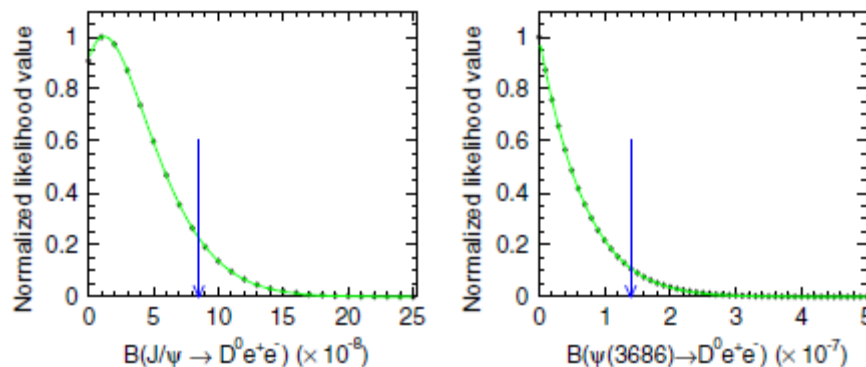
- Veto through vertex fit of e^+e^- .



- Techniques in FCNC research:

- Calculate upper limits:

- Likelihood scan.



- TRolke package.

TRolke Class Reference

Math > Physics Vectors

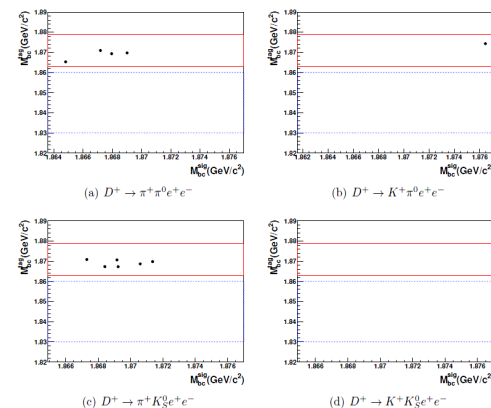
This class computes confidence intervals for the rate of a Poisson process in the presence of uncertain background and/or efficiency.

The treatment and the resulting limits are fully frequentist. The limit calculations make use of the profile likelihood method.

Author

Jan Conrad (CERN) 2004, Updated: Johan Lundberg (CERN) 2009

For a full list of methods and their syntax, and build instructions, consult the header file TRolke.h.



- $D^0 \rightarrow \gamma\gamma$: **PRD 91, 112015 (2015)**

[Hajime Muramatsu, Xianghu Zhao and Daniel Ambrose et al.]

- Theoretical prediction:

MSSM
----- 10^{-6}

- BaBar previous result:

- **$< 2.2 \times 10^{-6}$, based on 250 million D^0 .**

SM long distance
----- 10^{-8}

SM short distance
----- 10^{-13}

- This analysis:

- **Using 2.92 fb^{-1} data taken at $\sqrt{s} = 3.773 \text{ GeV}$, 20 million D^0 .**
- **Double-tag.**

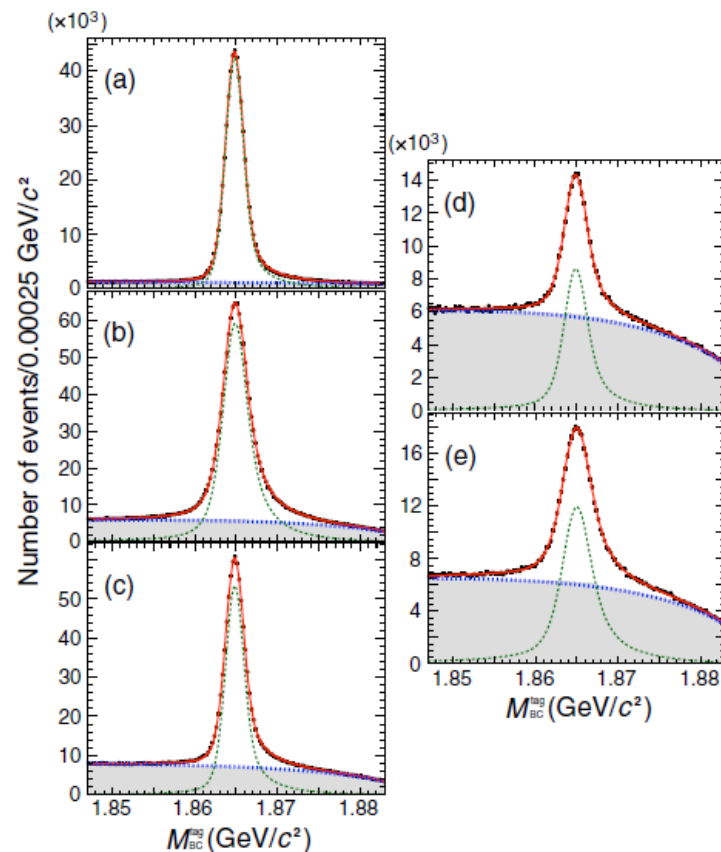
- $D^0 \rightarrow \gamma\gamma$: **PRD 91, 112015 (2015)**

[Hajime Muramatsu, Xianghu Zhao and Daniel Ambrose et al.]

- **Analysis strategy:**

- Tag reconstruction: **5 tag modes.**

modes	ϵ_{tag}^i (%)	N_{tag}^i	$\epsilon_{\text{tag},\gamma\gamma}^i$ (%)
$K^+\pi^-$	66.12 ± 0.04	551800 ± 936	44.8 ± 0.4
$K^+\pi^-\pi^0$	35.06 ± 0.02	1097113 ± 1386	24.5 ± 0.1
$K^+\pi^-\pi^+\pi^-$	39.70 ± 0.03	734825 ± 1170	24.7 ± 0.2
$K^+\pi^-\pi^+\pi^-\pi^0$	15.32 ± 0.04	155899 ± 872	9.6 ± 0.1
$K^+\pi^-\pi^0\pi^0$	15.23 ± 0.04	268832 ± 976	8.9 ± 0.1
All Tags		2808469 ± 2425	

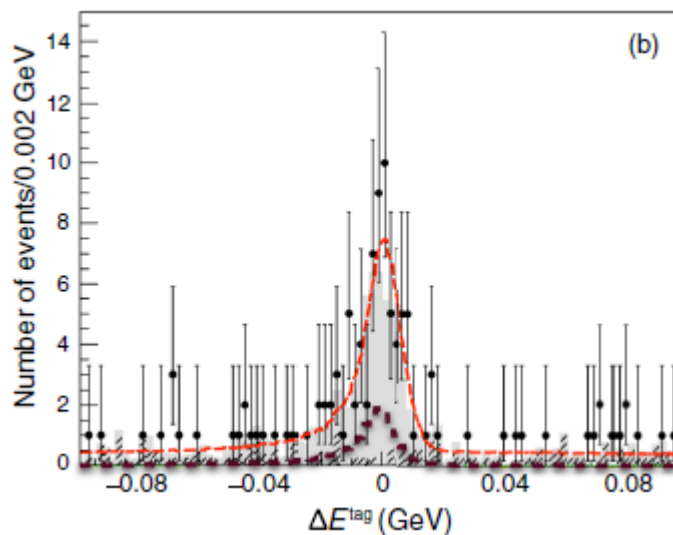
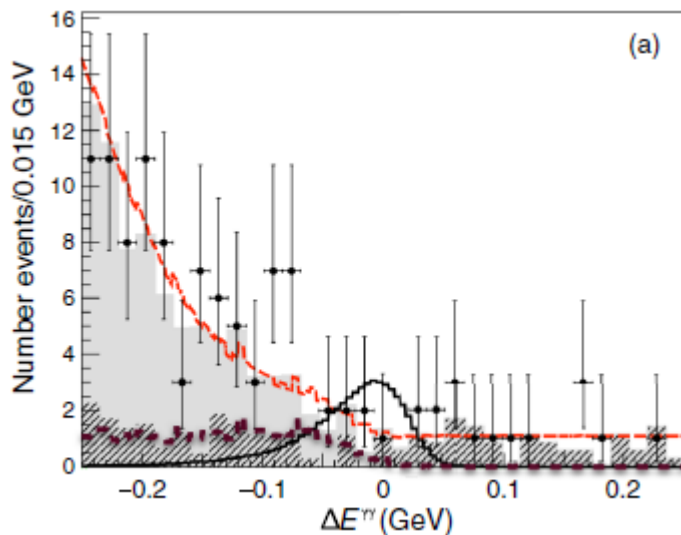


- $D^0 \rightarrow \gamma\gamma$: **PRD 91, 112015 (2015)**

[Hajime Muramatsu, Xianghu Zhao and Daniel Ambrose et al.]

- **Analysis strategy:**

- **Signal reconstruction: $\Delta E_{\gamma\gamma}$, ΔE_{tag} .**



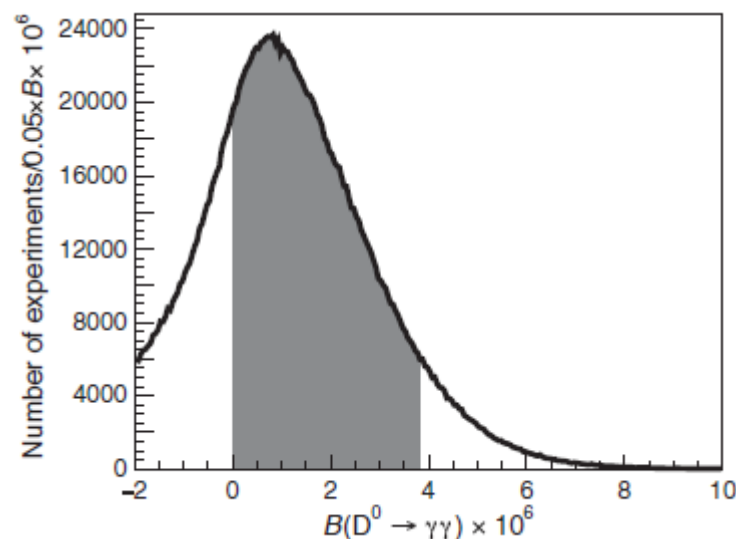
- $D^0 \rightarrow \gamma\gamma$: **PRD 91, 112015 (2015)**

[Hajime Muramatsu, Xianghu Zhao and Daniel Ambrose et al.]

- **Results:**

- **Likelihood scan.**
- **Systematic uncertainties & upper limits.**

Uncertainties independent of fitting procedure	
Source	Relative uncertainty (%)
Photon reconstruction	2.0
$M_{BC}^{\gamma\gamma}$ requirement	3.1
ST D^0 yields	1.0
Total	3.8



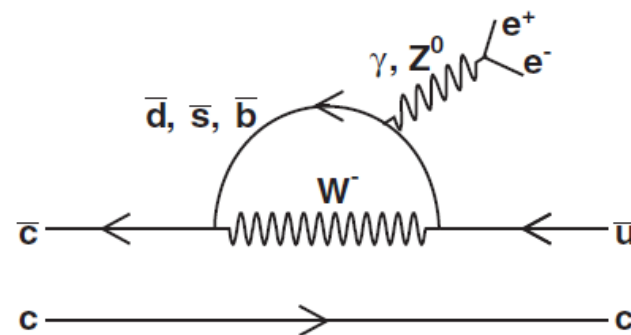
$$\mathcal{B}(D^0 \rightarrow \gamma\gamma) < 3.8 \times 10^{-6}$$

- $J/\psi, \psi(3686) \rightarrow D^0 e^+ e^-$: **PRD 96, 111101(R) (2017)**

[Yateng Zheng et al.]

- Theoretical prediction: **$10^{-13} \sim 10^{-10}$**

- **MSSM/2HDM prediction:**
enhance 2~3 order



- BESIII previous result:

- To the order of 10^{-5} , based on $58 \times 10^6 J/\psi$ data.

- This analysis:

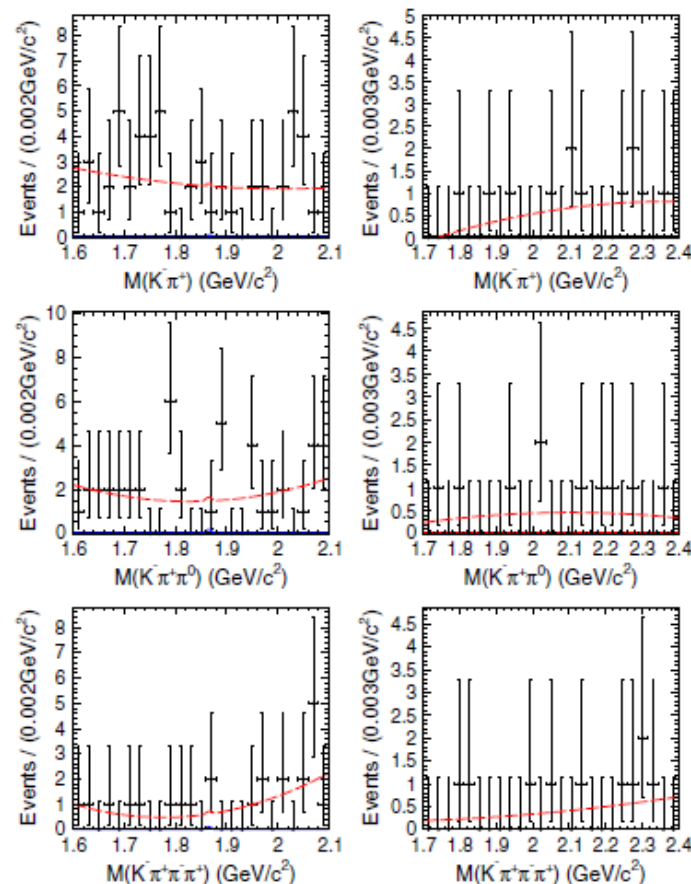
- Using $1310 \times 10^6 J/\psi$ data and $448 \times 10^6 \psi(3686)$ data.
- Single-tag.

• $J/\psi, \psi(3686) \rightarrow D^0 e^+ e^-$: **PRD 96, 111101(R) (2017)**

[Yateng Zheng et al.]

• **Analysis strategy:**

- **Fully single-tag reconstruction.**
- **Reconstruction of D^0 .**
- **Require a pair of $e^+ e^-$ to be found.**

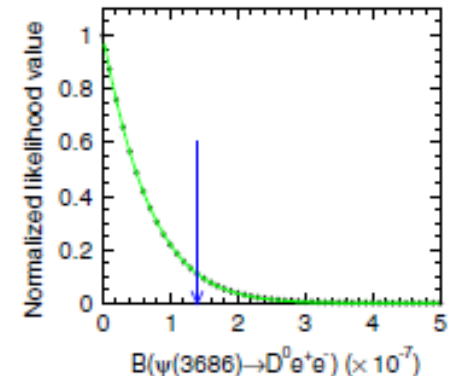
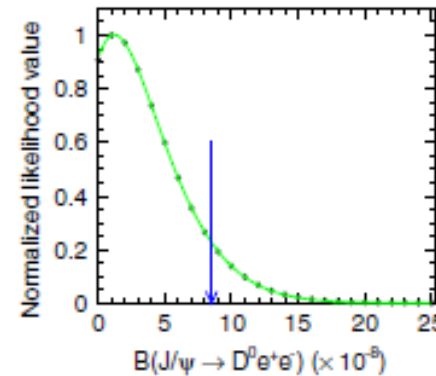


- $J/\psi, \psi(3686) \rightarrow D^0 e^+ e^-$: **PRD 96, 111101(R) (2017)**
[Yateng Zheng et al.]

• Results:

- Likelihood scan.
- Systematic uncertainties & upper limits.

	$D^0 \rightarrow K^- \pi^+$		$D^0 \rightarrow K^- \pi^+ \pi^0$		$D^0 \rightarrow K^- \pi^+ \pi^+ \pi^-$	
	J/ψ	$\psi(3686)$	J/ψ	$\psi(3686)$	J/ψ	$\psi(3686)$
Tracking*	4.0	4.0	4.0	4.0	6.0	6.0
PID*	6.0	6.0	6.0	6.0	8.0	8.0
γ detection	...	...	1.2	1.2	...	...
Kinematic fit	1.7	1.6	1.1	1.8	2.2	2.0
Veto γ conversion*	1.7	1.7	1.7	1.7	1.7	1.7
Veto $K_S \rightarrow \pi^0 \pi^0$	...	...	0.6	...	...	...
Veto $K_S \rightarrow \pi^+ \pi^-$	...	...	...	...	2.1	2.2
Veto $J/\psi \rightarrow e^+ e^-$	...	0.1	...	...	...	...
Branching fraction	1.3	1.3	3.6	3.6	2.6	2.6
ψ total number*	0.55	0.62	0.55	0.62	0.55	0.62
Others	1.0	1.0	1.0	1.0	1.0	1.0
Total	7.8	7.8	8.5	8.7	11.0	10.9



$$\mathcal{B}(J/\psi \rightarrow D^0 e^+ e^-) < 8.5 \times 10^{-8}$$

$$\mathcal{B}(\psi(3686) \rightarrow D^0 e^+ e^-) < 1.4 \times 10^{-7}$$

- $\psi(3686) \rightarrow \Lambda_c^+ \bar{p} e^+ e^-$: **PRD 97, 091102(R) (2018)**

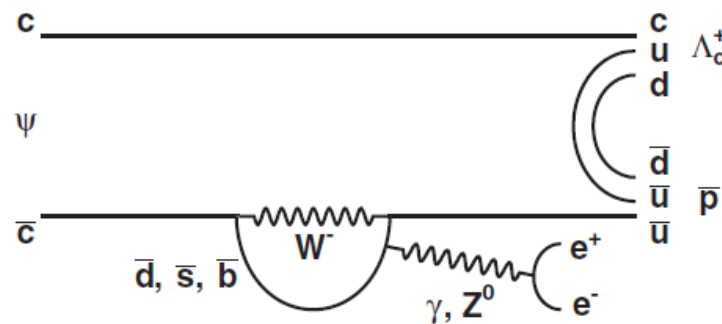
[Yang Zhang et al.]

- Theoretical prediction: **$10^{-14} \sim 10^{-10}$**

- **MSSM/2HDM prediction:**
enhance 2~3 order

- This analysis:

- **First search.**
- **Using 448×10^6 $\psi(3686)$ data.**
- **Single-tag.**



- $\psi(3686) \rightarrow \Lambda_c^+ \bar{p} e^+ e^-$: **PRD 97, 091102(R) (2018)**

[Yang Zhang et al.]

- **Analysis strategy:**

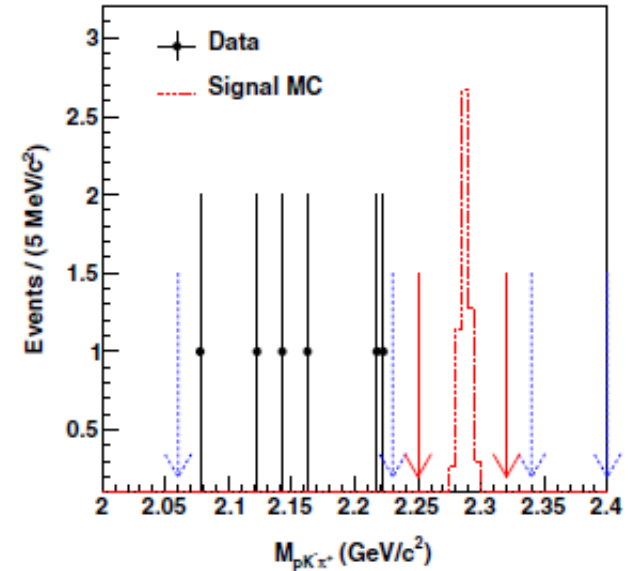
- Fully reconstruct 6 charged tracks.
- Looking at $m_{pK^-\pi^+}$.

- **Results:**

- Using TRolke package.

$$B \leq \frac{N_{\text{up}}}{N_{\psi(3686)} \times \text{BF}(\Lambda_c^+ \rightarrow pK^-\pi^+)},$$

$$\mathcal{B}(\psi(3686) \rightarrow \Lambda_c^+ \bar{p} e^+ e^-) < 1.7 \times 10^{-6}$$



Sources	Systematic uncertainty (%)
Number of $\psi(3686)$ decays	0.6
Track reconstruction	9.0
Particle identification	9.0
4C kinematic fit	1.0
BF of $\Lambda_c^+ \rightarrow pK^-\pi^+$	5.2
Signal region	4.0
$M_{p\pi^-}/M_{\bar{p}\pi^+}$ criteria	1.0
Physics model	34.3
Total	37.2

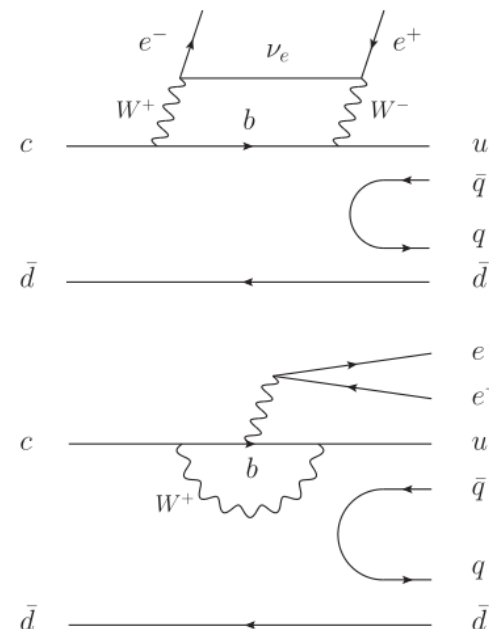
- $D^+(D^0) \rightarrow h(h')e^+e^-$: **PRD 97, 072015 (2018)**

[Dong Xiao, Yu Zhang et al.]

- Theoretical prediction: **$<10^{-9}$**
 - **MSSM/2HDM prediction: 10^{-6}**

- CLEO2 previous results:
 - **$\sim 10^{-5}$**

- This analysis:
 - **First search for D^+ .**
 - **Using 2.93 fb^{-1} data at $\sqrt{s} = 3.773 \text{ GeV}$.**
 - **Double-tag.**

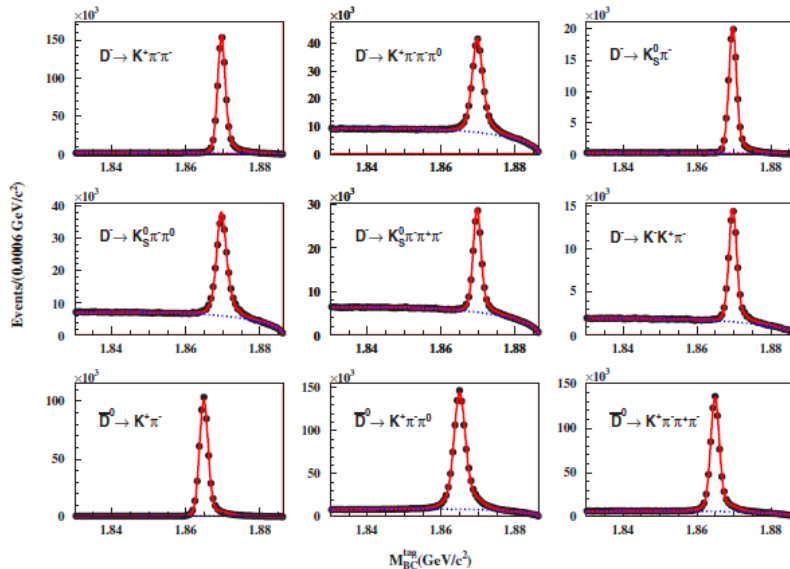


- $D^+(D^0) \rightarrow h(h')e^+e^-$: **PRD 97, 072015 (2018)**

[Dong Xiao, Yu Zhang et al.]

- Analysis strategy:

- Tag reconstruction: **6 tag modes for D^+ , 3 tag mods for D^0 .**



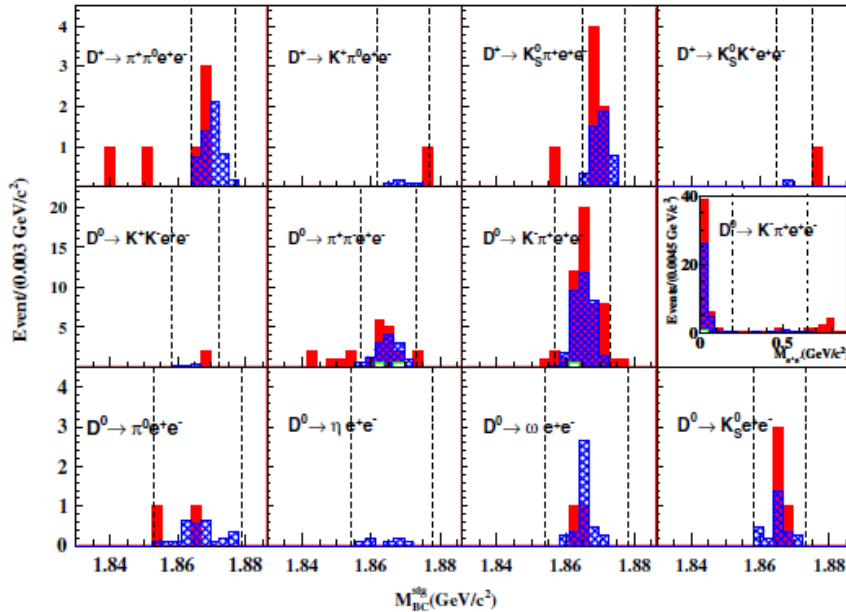
D^- decays	ΔE_{tag} (GeV)	$\epsilon_{\text{tag}}^{i,\text{MC}}$ (%)	n_{tag}^i
$K^+\pi^-\pi^-$	(-0.022, 0.021)	50.47 ± 0.06	755661 ± 922
$K^+\pi^-\pi^-\pi^0$	(-0.060, 0.034)	24.65 ± 0.05	231322 ± 729
$K_S^0\pi^-$	(-0.019, 0.021)	54.44 ± 0.17	95346 ± 330
$K_S^0\pi^-\pi^0$	(-0.071, 0.041)	27.44 ± 0.06	210535 ± 638
$K_S^0\pi^+\pi^-\pi^-$	(-0.025, 0.023)	31.80 ± 0.09	119249 ± 451
$K^+K^-\pi^-$	(-0.019, 0.018)	40.71 ± 0.16	64904 ± 259
$\bar{D}^0$ decays	ΔE_{tag} (GeV)	$\epsilon_{\text{tag}}^{i,\text{MC}}$ (%)	n_{tag}^i
$K^+\pi^-$	(-0.023, 0.022)	64.64 ± 0.03	523265 ± 763
$K^+\pi^-\pi^0$	(-0.064, 0.035)	33.60 ± 0.01	1022697 ± 1448
$K^+\pi^-\pi^+\pi^-$	(-0.026, 0.023)	38.26 ± 0.02	707936 ± 1129

- $D^+(D^0) \rightarrow h(h')e^+e^-$: **PRD 97, 072015 (2018)**

[Dong Xiao, Yu Zhang et al.]

- **Analysis strategy:**

- **Signal reconstruction: count & sideband subtraction & MC.**



D^+ decays	ΔE_{sig} (GeV)	M_{BC}^{sig} (GeV/ c^2)	n_{obs}	n_{bkg1}^{SB}	$n_{bkg2}^{MC} \pm \sigma_{bkg2}^{MC}$
$\pi^+\pi^0 e^+e^-$	(-0.060, 0.030)	(1.864, 1.877)	4	0	5.3 ± 0.7
$K^+\pi^0 e^+e^-$	(-0.063, 0.037)	(1.862, 1.877)	1	0	0.5 ± 0.2
$K_S^0\pi^+ e^+e^-$	(-0.038, 0.020)	(1.865, 1.877)	6	0	4.6 ± 0.7
$K_S^0K^+ e^+e^-$	(-0.038, 0.021)	(1.865, 1.875)	0	0	0.2 ± 0.1
D^0 decays	ΔE_{sig} (GeV)	M_{BC}^{sig} (GeV/ c^2)	n_{obs}	n_{bkg1}^{SB}	$n_{bkg2}^{MC} \pm \sigma_{bkg2}^{MC}$
$K^-K^+ e^+e^-$	(-0.044, 0.015)	(1.858, 1.872)	2	0	0.9 ± 0.3
$\pi^+\pi^- e^+e^-$	(-0.053, 0.020)	(1.857, 1.873)	11	2	11.8 ± 1.1
$K^-\pi^+ e^+e^-$	(-0.040, 0.018)	(1.857, 1.873)	49	1	32.4 ± 1.7
$\pi^0 e^+e^-$	(-0.043, 0.020)	(1.853, 1.879)	2	0	2.1 ± 0.4
ηe^+e^-	(-0.094, 0.031)	(1.854, 1.878)	0	0	0.6 ± 0.3
ωe^+e^-	(-0.086, 0.035)	(1.854, 1.878)	2	0	4.0 ± 0.6
$K_S^0 e^+e^-$	(-0.078, 0.035)	(1.858, 1.873)	4	0	2.2 ± 0.5

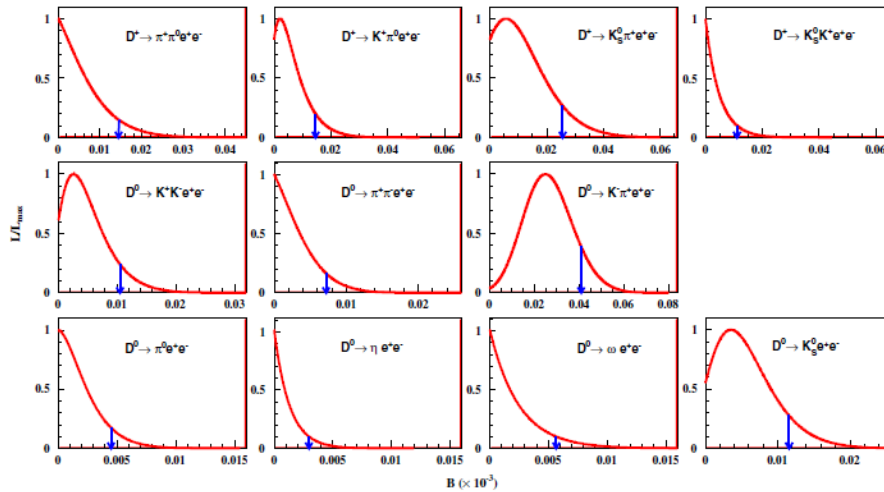
• $D^+(D^0) \rightarrow h(h')e^+e^-$: PRD 97, 072015 (2018)

[Dong Xiao, Yu Zhang et al.]

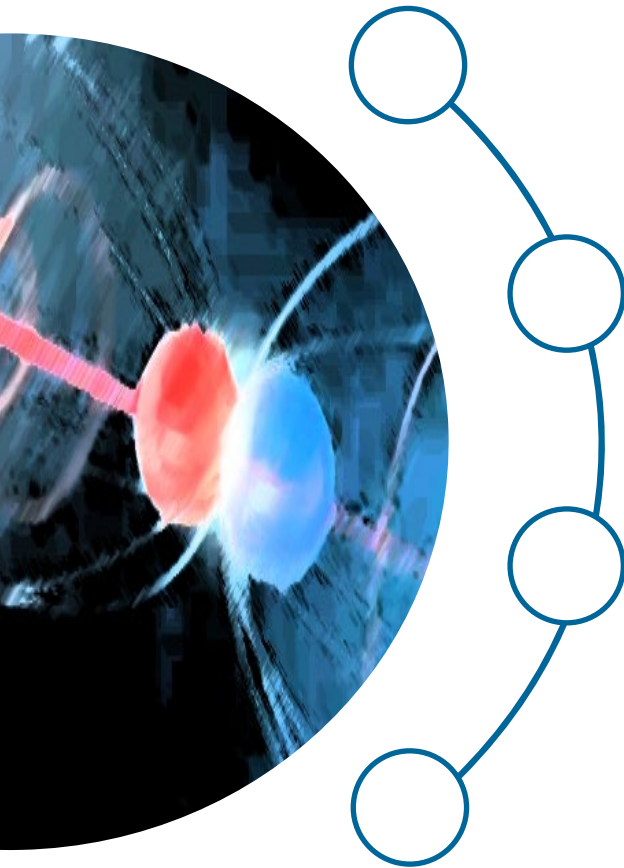
• Results:

- Likelihood scan.
- Systematic uncertainties & upper limits.

Source (%)	$K^-K^+e^+e^-$	$\pi^+\pi^-e^+e^-$	$K^-\pi^+e^+e^-$	$\pi^0e^+e^-$	ηe^+e^-	ωe^+e^-	$K_S^0e^+e^-$	$\pi^+\pi^0e^+e^-$	$K^+\pi^0e^+e^-$	$K_S^0\pi^+e^+e^-$	$K_S^0K^+e^+e^-$
$K^\pm/\pi^\pm$ tracking	2.0	2.0	2.0	...	...	2.0	...	1.0	1.0	1.0	1.0
$K^\pm/\pi^\pm$ PID	1.0	1.0	1.0	...	...	1.0	...	0.5	0.5	0.5	0.5
$e^\pm$	6.9	2.8	4.5	0.8	1.8	3.6	2.0	3.9	5.2	5.2	6.7
K_S^0	...	...	...	...	...	...	1.5	...	...	1.5	1.5
π^0	...	...	...	2.0	...	2.0	...	2.0	...	...	...
η	...	...	...	...	1.2	...	...	...	...	...	...
γ -conversion veto	1.8	1.8	1.8	1.8	1.8	1.8	1.8	1.8	1.8	1.8	1.8
MC modeling	3.0	12.8	24.6	12.6	13.6	13.1	6.6	2.1	5.6	4.9	4.9
B_{inter}	...	...	...	0.1	0.5	0.8	0.1	0.1	0.1	0.1	0.1
Total	8.0	13.4	25.2	12.9	13.9	14.0	7.3	5.3	8.2	7.5	8.6



Signal decays	$B (\times 10^{-5})$	PDG [9] ($\times 10^{-5}$)
$D^+ \rightarrow \pi^+\pi^0e^+e^-$	<1.4	...
$D^+ \rightarrow K^+\pi^0e^+e^-$	<1.5	...
$D^+ \rightarrow K_S^0\pi^+e^+e^-$	<2.6	...
$D^+ \rightarrow K_S^0K^+e^+e^-$	<1.1	...
$D^0 \rightarrow K^-K^+e^+e^-$	<1.1	<31.5
$D^0 \rightarrow \pi^+\pi^-e^+e^-$	<0.7	<37.3
$D^0 \rightarrow K^-\pi^+e^+e^-$	<4.1	<38.5
$D^0 \rightarrow \pi^0e^+e^-$	<0.4	<4.5
$D^0 \rightarrow \eta e^+e^-$	<0.3	<11
$D^0 \rightarrow \omega e^+e^-$	<0.6	<18
$D^0 \rightarrow K_S^0e^+e^-$	<1.2	<11
† in $M_{e^+e^-}$ regions:		
[0.00, 0.20) GeV/c ²	$<3.0 (1.5^{+1.0}_{-0.9})$	...
[0.20, 0.65) GeV/c ²	<0.7	...
[0.65, 0.90) GeV/c ²	$<1.9 (1.0^{+0.5}_{-0.4})$	...



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- BESIII data set: (from [BESIII physics page](#))

For J/ψ

Sample type	Ecms (GeV)	Run ID	Event number (Int. luminosity)
On- J/ψ (2009)	3.097	9947-10878	$224.0 \pm 1.3\text{M}$ (80 pb ⁻¹)
On- J/ψ (2012)	3.097	27255-28236	$1088.5 \pm 4.4\text{M}$ (315 pb ⁻¹)
On- J/ψ (2017-2019)	3.097	52940-54976 55861-56546 56788-59015	$8774.0 \pm 39.4\text{M}$ (2571 pb ⁻¹)

For $\psi(3686)$

Sample type	Ecms (GeV)	Run ID	Event number (Int. luminosity)
On- $\psi(3686)$ (2009)	3.686	8093-9025	$107.0 \pm 0.8\text{M}$ (161.63 $\pm$ 0.13 pb ⁻¹)
On- $\psi(3686)$ (2012)	3.686	25338-27090	$341.1 \pm 2.1\text{M}$ (506.92 $\pm$ 0.23 pb ⁻¹)

For $\psi(3770)$

Sample type	Ecms (GeV)	Run ID	Int. luminosity
On- $\psi(3770)$ (2010)	3.773	11414-13988 14395-14604	$2931.8 \pm 0.2 \pm 13.8$ pb ⁻¹
On- $\psi(3770)$ (2011)	3.773	20448-23454	

For above 4.6 GeV:

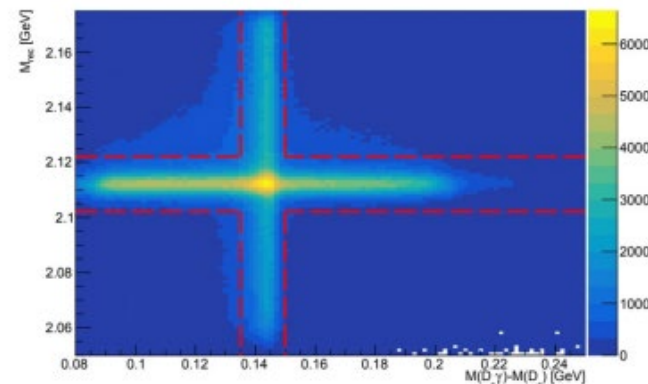
Energy points	4.600 GeV	4.612 GeV	4.628 GeV	4.641 GeV	4.661 GeV	4.682 GeV	4.698 GeV
Lumi(pb ⁻¹)	566.90	103.45	519.93	548.15	527.55	1664.34	534.40

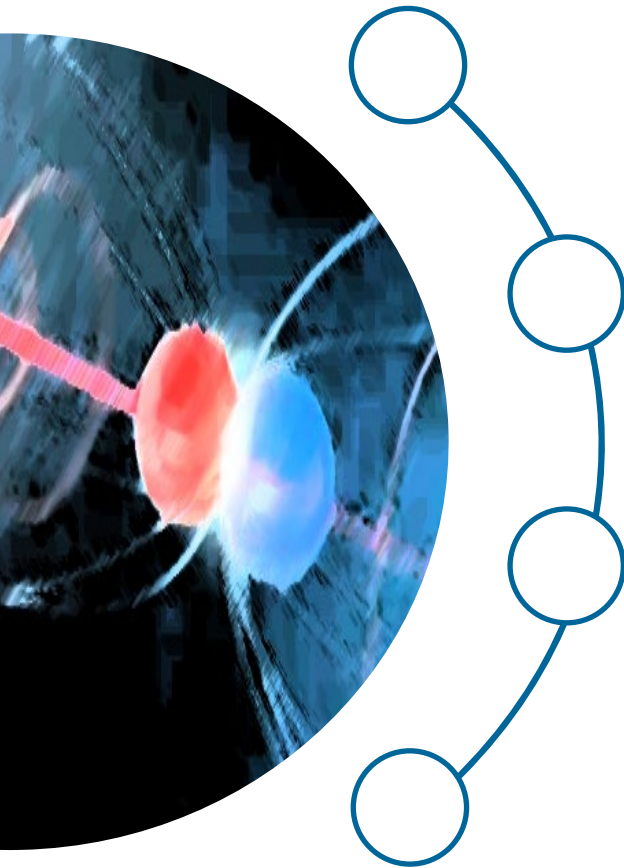
- On-going analysis:

- $D_s^+ \rightarrow h(h')e^+e^-$, [Liang Sun, WHU]
[NPG Group meeting Report]

- Analysis suggest in future:

- Update of $J/\psi \rightarrow D^0 e^+ e^-$: more data sample
- Update of $J/\psi \rightarrow \Lambda_c^+ \bar{p} e^+ e^-$: more data sample
- Search for $\Lambda_c^+ \rightarrow p e^+ e^-$: large data sample + sufficient tag modes
- Other suggestion ? ...





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- BESIII has advantages in search for $c \rightarrow u$ FCNC process.
- 4 Analysis of different kind FCNC have been carried out at BESIII, 4 papers produced.
 - $D^0 \rightarrow \gamma\gamma$: PRD 91, 112015 (2015)
 - $J/\psi, \psi(3686) \rightarrow D^0 e^+ e^-$: PRD 96, 111101(R) (2017)
 - $\psi(3686) \rightarrow \Lambda_c^+ \bar{p} e^+ e^-$: PRD 97, 091102(R) (2018)
 - $D^+(D^0) \rightarrow h(h') e^+ e^-$: PRD 97, 072015 (2018)
- Techniques are mature for FCNC analysis at BESIII.
- More data sample is needed.
- More analysis can be studied in future.

Thanks for your attention!