



Tau Neutrinos with IceCube

Third-Generation ν_{τ} (and τ) Physics Spanning over Five Orders of Magnitude in Energy

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Mascot Observations

Penn State's "Nittany Lion" U. of Louisville's Cardinal



Has teeth but does not need to show them.



Anatomically incorrect. Birds don't have teeth.

IceCube Discovery Timeline

ICEDLIEE



Sources of ν_{τ} in IceCube



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Sources of ν_{τ} in IceCube

Atmospheric neutrinos

- Created when cosmic rays hit atm.
- Resulting particle showers make $\nu_{e,\mu}$ with $E_{\nu} \approx 10^{9-12} \, {\rm eV}$
- For $(E_{\nu}, L_{\nu}) \sim (20 \text{ GeV}, d_E)$, $P(\nu_{\mu} \rightarrow \nu_{\tau}) \sim 1$



- Astrophysical high energy neutrinos
 - Created in cosmic accelerators
 - IceCube sees at $E_{\nu} > \sim 50 \text{ TeV}$
 - Expect $\nu_e : \nu_\mu : \nu_\tau \sim 1 : 1 : 1$ under standard oscillation picture



Sources of ν_{τ} in IceCube

Atmospheric neutrinos

- Created when cosmic rays hit atm.
- Resulting particle showers make $\nu_{e,\mu}$ with $E_{\nu} \approx 10^{9-12} \, {\rm eV}$

• For
$$(E_{\nu}, L_{\nu}) \sim (20 \text{ GeV}, d_E)$$
,
 $P(\nu_{\mu} \rightarrow \nu_{\tau}) \sim 1$



- Astrophysical high energy neutrinos
 - Created in cosmic accelerators
 - IceCube sees at $E_{\nu} > \sim 50 \text{ TeV}$
 - Expect $\nu_e : \nu_\mu : \nu_\tau \sim 1 : 1 : 1$ (std. ν osc., independent of sources' $\nu_e : \nu_\mu : \nu_\tau$)



The IceCube Detector



ν_{τ} Signatures in IceCube



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ν_{τ} Signatures in IceCube



Charged Current v

At ~200 TeV, $\nu_{e,\tau}$ look very similar by eye.

Atmospheric Tau Neutrinos

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$$P(\nu_{\mu} \to \nu_{\tau}) = \sin^2 \left(2\theta_{23}\right) \sin^2 \left(1.27 \frac{\Delta m_{32}^2 L}{E}\right)$$

- Inclusive analysis:
 - Look for excess of cascadelike events: " ν_{τ} appearance"

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Atmospheric Tau Neutrinos

• Inclusive analysis:

CECLEE

- Measure $\nu_{\tau}^{\text{norm}} \equiv \nu_{\tau}^{\text{meas.}} / \nu_{\tau}^{\text{pred.}}$
- ν_{τ}^{norm} sensitive to new physics:
 - "non-unitarity"
 - $(\nu_{\mu} \rightarrow \nu_{s})$
 - \bullet unexpected $\sigma_{\!\nu_\tau N}\,{\rm cross}$ section behavior

All consistent with standard oscillations @30% level.

Atmospheric Tau Neutrinos

• Inclusive analysis:

- Measure $\nu_{\tau}^{\text{norm}} \equiv \nu_{\tau}^{\text{meas.}} / \nu_{\tau}^{\text{pred.}}$
- ν_{τ}^{norm} sensitive to new physics:
 - "non-unitarity" ($\nu_{\mu} \rightarrow \nu_{s}$)
 - \bullet unexpected $\sigma_{\nu_{\tau}N}$ cross section behavior

Have data now for ~10% msmt.; Upgrade \rightarrow ~5%.

ICE DUBE

For standard oscillations over astrophysical distances, expect $\nu_e: \nu_\mu: \nu_\tau \sim 1:1:1$, and to see some ν_τ , independent of source's $\nu_e: \nu_\mu: \nu_\tau$ while strong deviations from 1:1:1 could signify new physics:

Example: Effect of quantum gravity.

These Events are Huge

Not easy to identify the neutrino flavor.

~1 km

Assigned Color: relative time of detection of Cherenkov photon(s) Sphere Size: proportional to number of photons detected

https://youtu.be/vTya9hoKsfM

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- Previous IceCube msmts. looked for ν_{τ} via
 - "Double bang":

(Contraction of the second

 $L_{\tau} \simeq 50 \text{m} \cdot E_{\tau}$ /PeV. Severely limited phase space. Not yet seen.

Search for ν_{τ} -induced waveforms on 1-2 DOMs.

Candidate ν_{τ} seen, but at low significance.

Note: $(\phi_{\nu}^{\text{astro.}} \cdot \sigma_{\nu N}) \propto E_{\nu}^{-1}$, so lowering energy threshold will increase signal level.

- Also inclusively with "HESE" 60-event sample:
 - LLH-based fit classified 41 single cascades, 2 double cascades, & 17 tracks

Candidate ν_{τ} : "Double Double"

• Excluded null hypothesis $(\Phi_{\nu_{\tau}} = 0)$ at 2.8σ

Measured flavor composition of IceCube HESE events. \star is best fit point, consistent with presence of all 3 flavors, but ν_{τ} flux only weakly constrained.

• Current (exclusive) measurement starts with 2-d images, one per string:

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- Expected 4–8 ν_{τ} on a bkgd. of ~0.5 with 9.7 years of data; predicted ~50% chance of excluding null hypothesis of $\Phi_{\nu_{\tau}}^{\text{astro}} = 0$ at $> 5\sigma$
 - (S,B) levels depend on chosen Φ_{ν}^{astro} ; assume 1:1:1 flavor ratio
 - IceCube has 4 $\Phi_{
 u}^{
 m astro}$ msmts.; use one w/least-significant exclusion of null hypothesis
- Main contributors to the \sim 0.5 background events
 - • $\nu_{\text{other}}^{\text{astro}}$: Dependent on chosen Φ_{ν} (IceCube msmts.)
 - • ν^{atm} : Conventional flux (Honda et al.; IceCube msmts.); Possible prompt* flux (Bhattacharya et al.; IceCube exclusion)
 - • μ_{\downarrow} : <u>Only</u> conventional (prompt* not yet seen)
 - Other: Charm in ν^{astro} interactions; on-shell W; Earth-crossing $\nu_e, \nu_\mu \rightarrow \nu_\tau$

	Signal	Backgrounds				
	$ u^{ m astro}_{ au,CC}$	$ u_{ m other}^{ m astro}$	$ u^{ m atm}_{ m conventional}$	$ u_{ m prompt}^{ m atm}$	$\mu^{\rm atm}$	all background
initial	$160 \pm 0.2 (190 \pm 0.3)$	$400 \pm 0.7 \ (490 \pm 0.8)$	580 ± 7	72 ± 0.1	8400 ± 110	$9450 \pm 110~(9540 \pm 110)$
final	$6.4 \pm 0.02 \ (4.0 \pm 0.02)$	$0.3 \pm 0.02 (0.2 \pm 0.01)$	0.1 ± 0.008	0.1 ± 0.001	0.005 ± 0.004	$0.5 \pm 0.02 (0.4 \pm 0.02)$

IceCube's GlobalFit flux assumed (HESE flux in parentheses).

*From charm decays.

[•] Searching for Astrophysical ν_{τ}

Opening the box, we saw 7 events.

4 events are brand new.

3 events are old; 1 of which had been identified as a ν_{τ} candidate. Tau-ness: $P_{\tau}(i) = n_s(i)/(n_s(i) + n_b(i)) \rightarrow (0.90 - 0.92, 0.94 - 0.95)$

Post-Unblinding Checks

- Apply single-pulse reco. to
 - $\bullet\,{\rm simulated}\,\,\nu_\tau$
 - candidate ν_{τ}
- Good data-MC agreement...
 - ...but take numbers with a grain of salt
- Event vertices (see backup)
 - Over-clustered but consistent with stat. fluctuation
 - Loosening C_1 score
 - admits 12 total events without visible clustering
 - retains high significance level

(IceCube's "GlobalFit" flux assumed above.)

$\nu_{\tau}^{\text{astro}}$ Conclusions: Exclusion of Null Hypothesis

- For IceCube's *GlobalFit* flux, exclude $\phi(\nu_{\tau}^{\text{astro}}) = 0$ at 5.1σ
 - Other fluxes: 5.2σ , 5.2σ , 5.5σ (*Inelasticity*, *Diffuse*, *HESE*)
 - Measured $\phi(\nu_{\tau}^{\mathrm{astro}})$ is consistent with all four $\phi(\nu^{\mathrm{astro}})$
- Alternatively, this is a 40%-level confirmation of the standard oscillation picture: $7 \pm \sqrt{7}$ events.
- Also, since $u_{ au}^{\mathrm{atm}}$ negligible at these $E_{
 u}$
 - Detection of energetic ν_{τ} powerfully confirms IceCube's earlier $\nu^{\rm astro}$ discovery.

$\nu_{\tau}^{\text{astro}}$: What's Next?

- Used just 3 (of 86) strings. Using more strings would:
 - \bullet Improve bkgd rejection, allowing for relaxation of cuts \rightarrow more signal
 - Improve $\phi(\nu_{\tau}^{\mathrm{astro}})$ measurement
 - \bullet Update "triangle plot" with ν_{τ} information
 - Search for new physics (e.g., quantum gravity)
 - Identify likely astrophysical-source acceleration scenarios; maybe exclude some
- Apply a dedicated ν_{τ} reconstruction for direction, E,...
 - \bullet Study parameters of highest-energy ν_{τ} and τ ever detected
 - • L_{τ} , energy asymmetry, ...
 - \bullet Use high-astrophysical-purity ν_{τ} to look for point sources

Conclusions

- \bullet IceCube has world-leading sensitivity to atmospheric $\,\nu_{\mu} \rightarrow \nu_{\tau}\,$ oscillations
 - Current ~30% measurement with 3 yrs DeepCore
 - Future measurements will have sensitivity to new physics
 - •~10% measurement with ~decade of DeepCore: already have these data
 - ~5% measurement with ~3 years Upgrade: deployment in 2025/26
- \bullet IceCube has world's only sample of astrophysical ν_{τ}
 - New analysis yielded considerable sensitivity boost: 5σ -level achieved!
 - Future analyses will further increase sample and exploit physics content
 - Enhance sensitivity to astrophysical source acceleration environment
 - \bullet Study the most energetic τ leptons available
 - Search for new 3rd-generation physics

IceCube Collaboration

Spring 2022 Collaboration Meeting, Brussels, Belgium

[•] Searching for Astrophysical ν_{τ}

- Initial ν_{τ} DP selection criteria
 - Require ≥ 2000 p.e. on highestcharge string and ≥ 10 p.e. on two neighbors
 - Require cascade topology

 After initial criteria, have ~300x more background than signal

[•] Searching for Astrophysical ν_{τ}

- Trained 3 independent CNNs • C_1 : DP vs. SP (ν_{τ}^{CC} vs. ν_{e}^{CC} , ν_{x}^{NC}) • C_2 : DP vs track (ν_{τ}^{CC} vs. μ_{\downarrow})
 - C_3 : DP vs Track (ν_{τ}^{CC} vs. ν_{μ}^{CC})
- $C_1 \ge 0.99, C_2 \ge 0.98, C_3 \ge 0.85$ • Gives S/N ~ 14.
- Backgrounds
 - Dominant: $\nu_{\rm astro.}$ and $\nu_{\rm atm.}$
 - Sub-dominant: μ_{\downarrow}
- 3 separate CNNs worked better than 1 all-purpose CNN
- Off-signal region Data-MC agreement is good for $C_{1,2,3}$

Cumulative rate; signal region excluded

- After final (CNN) cuts, peaks at ~200 TeV
 - Lower $E_{\nu_{\tau}}$ threshold translates to higher $N_{\nu_{\tau}}$
 - Peak signal efficiency at several PeV, but flux there is v. low

Searching for Astrophysical ν_{τ}

- Backgrounds/Systematics in more detail: Charm
 - Charm: $\nu_e^{\text{astro}} \rightarrow eW$; $W \rightarrow cs \text{ (and } \nu_{\text{NC}}^{\text{astro}}; Z \rightarrow c\bar{c}\text{)}$
 - • $\lambda_{\text{charm}} \simeq \mathcal{O}(\text{m}), \ E_{\text{dep.}} \simeq 10^{12-14} \text{ eV}$
 - Double pulse from first shower of *e* and second shower due to large (λ_{charm} , $E_{dep.}$)
 - Full charm MC: ~20% increase in ν^{astro} bkgd.
 - Small correction to account for MC's older PDFs
 - Added to estimated background *after unblinding*
 - (Future improvement: Charm event morphology may be sufficiently different from ν_{τ} that new CNN could reject.)

Searching for Astrophysical u_{τ}

- Backgrounds/Systematics, cont'd:
 - • μ_{\downarrow} , μ_{DIS} ($\mu + X \rightarrow \nu_{\mu} + X'$): considerably smaller than ν^{astro}
 - Impact of detector-related systematics all found to be small. Uncertainties in the following items were modeled via randomly fluctuating non- ν_{τ} fluxes within their expected range:
 - bulk ice scattering & absorption
 - hole ice scattering & absorption
 - DOM efficiencies
 - Other physics processes determined to be sub-dominant:
 - On-shell *W* production $(\nu_e \to eW; W \to \tau \nu_{\tau}; \tau \to (e, h))^*$
 - High-energy Earth-crossing $\nu_e, \nu_\mu \rightarrow {\nu_\tau}^{**}$

*B. Zhou and J.F. Beacom, PRD 101, 036010 (2020) **A. G. Soto et al., PRL 128, 171101 (2022)

[•] Searching for Astrophysical ν_{τ}

- Confidence intervals calculation (Feldman & Cousins)
 - Test statistic $TS(\lambda_{\tau}) = \ln L(\hat{\lambda_{\tau}}) \ln L(\lambda_{\tau})$

• where $\lambda_{\tau} = \frac{\phi_{\nu_{\tau}, \text{ astro.}}}{\phi_{\nu_{\tau}, \text{ astro.}}}$ and $\hat{\lambda}_{\tau}$ maximizes Poisson-based LLH

across 16 bins in (C_3, C_1) space:

CNN Robustness: Saliency Maps

Saliency maps "rank the pixels in an image based on their contribution to the final score from a CNN." Saliency = gradient of CNN score vs. pixel content.

These saliency maps show what parts of the photos the CNN finds most useful for identifying the dog in the dog photo, and the cat in the cat photo.

(Evidently, the training sample had many of its cats sitting on tables.)

https://usmanr149.github.io/urmlblog/cnn/2020/05/01/Salincy-Maps.html

"BarnOwl," with log $Q_{\rm str}$ and saliency maps:

Large $S(C_1)$ show where & when light-level change most effectively changes C_1 . Bright pixels with small $S(C_1)$ show where C_1 is less sensitive to light-level changes. Generally, $S(C_1)$ shows C_1 sensitive to overall event shape.

(CECLEE

DoubleDouble, with $\log Q_{\rm str}$ and saliency maps:

time/ns

(Gratifying to see this event again.)

All event pics in backup.

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CNN Robustness

- Data-driven tests
 - Randomly scale pre-CNN data events' light levels within known uncertainties
 - •Use patterns to mimic detector systematics (module efficiency, ice properties) with ~6M pseudo-data events
 - Estimated signal \rightarrow background migration probability: $< 0.3\% \pm 0.08\%$ in all cases (< 0.02 signal events)
 - Estimated background \rightarrow signal: < 0.002% ± 0.0002% (<0.2 background events)
 - Adding in 0.2 background events modestly reduces significance
 - Analysis already includes these systematics, estimated from MC; replacing one estimate with the other would not impact the final result.

CNN Robustness

- For 7 candidate signal events:
 - Manually merged double pulse waveforms, manually shifted light arrival times: CNN response unchanged
 - "Adversarial Attack" (DeepFool): Find closest decision boundary and compute perturbation required to cross it
 - Only with pixel variations outside uncertainties could one event could be forced to migrate
 - With random $\pm 10\%$ pixel variations, 10^4 trials/event, one candidate event had $(2.1 \pm 0.14)\%$ migration probability

• For background events:

- $+\epsilon$ $+\epsilon$ = $\frac{\text{"panda"}}{\text{57.7\% confidence}}$
- Attacks did not reveal any exceptionally susceptible region; changes required to get $B \rightarrow S$ migration outside uncertainties
- Attacked 634 simulated ν_e , allowing pixels to change ±10 %, and only 1 $\nu_e \rightarrow \nu_\tau$

Data-Driven Systematic Checks

- Starting point: 8,188 events
 - Use 8,175 at slight distance signal box edge
- Vary waveforms to estimate migration probability
 - Procedure:
 - Apply variation randomly to each event,
 - evaluate CNN scores,
 - calculate migration probabilities.
 - Repeat 750 times/event. ~6M trials for bkgd; ~5k for signal.

Data-Driven Systematic Checks

- Variations studied:
 - DOMEff: scale waveforms w/ $\sigma=\pm$ 10 %
 - Ice absorption and scattering: scale in groupings in z: every 3, 4, 5 DOMs (every 51m, 68m, 85m) w/ $\sigma=\pm$ 20 %
 - Ice scattering: shift times in groups of 4 DOMs with $\sigma = \pm 10$ ns
 - Ice birefringence: scale all 120 DOMs in 2nd and 3rd strings w/ central value dependent on azimuth w/ $\sigma = \pm 20 \%$
 - Note: scaling inverted from expectation: MC did not have full birefringence but data does

Data-Driven Systematic Checks

- Outcomes:
 - Migration out of signal box:
 - Very unlikely: $< 0.3\% \pm 0.08\%$ in all cases (< 0.02 signal events)
 - Migration into signal box:
 - Also very unlikely: $< 0.002\% \pm 0.002\%$ (<0.2 background events)
 - Adding in 0.2 background events would modestly reduce our significance.
 - Current analysis already includes these systematics, estimated from MC
 - Replacing one estimate with the other (so as not to double count) would not impact the final result.

Post-Unblinding Checks

- The event vertex distribution did not look as uniform as expected
 - Several events' highest charge string was near detector's edge
 - More clustered in z above and below the "dust band"

• A \sim 3 σ -ish effect, depending on assumptions

Event Vertex Distribution

- Geometry: There's a lot of physical volume near the edge
- Loosening CNN scores $C_{2,3} (\nu_{\tau}^{CC} vs. (\nu_{\mu}^{CC}, \mu))$ adds new events mostly at top of detector

EEG.LEE

• Very unlikely all 4 edge events are μ : $p_{\text{KS}}(C_3 > 0.75) = 0.1$ $[p_{\text{KS}}(C_3 > 0.85) = 0.004]$

- One of the four events reconstructs as outward-going
 - Likely ν : absence of light on ~0.5 km path toward vertex

Event Vertex Distribution

- Loosening C_1 score $(\nu_{\tau}^{\text{CC}} \text{ vs. } (\nu_e^{\text{CC}}, \nu_x^{\text{NC}}))$
 - Expected 9.4 u_{τ} and 2.9 bkgd events
 - Saw 12 (see figure)
- New events more evenly distributed in (ρ, z)
- Note: The 12 events would also exclude null hypothesis of $\phi(\nu_{\tau}^{\text{astro}}) = 0$ at high significance.

Conclusions: The 7 candidates' vertex distribution is an unfortunate statistical fluctuation, and the edge events are inconsistent with cosmic ray muons.

Conclusions: Fitted ν_{τ} Fluxes

Excellent agreement with all four IceCube (non- ν_{τ}) measured fluxes.

ScarletMacaw, with log $Q_{\rm str}$ and saliency maps:

time/ns

AtlanticPuffin, with log $Q_{\rm str}$ and saliency maps:

time/ns

Estragon, with log $Q_{\rm str}$ and saliency maps:

time/ns

MacaroniPenguin, with $\log Q_{\rm str}$ and saliency maps:

time/ns

Ernie, with $\log Q_{\rm str}$ and saliency maps:

time/ns

CECLEE

 L_{τ} vs. E_{τ}

Analysis prefers events with τ 's with above-average lifetimes:

() ICECLIEE

CNN Scores vs. Charge

• High charge is neither sufficient nor necessary

 $C_3 \text{ vs. } C_1 (Q_{\text{str}} > 2000 \text{ p.e.})$

Jnweighted

Searching for Astrophysical u_{τ}

NUECC

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- $C_1 \ge 0.99, C_2 \ge 0.98, C_3 \ge 0.85$ • Gives S/N ~ 14.
- $I \leq C_{1} \leq C_{1} \leq 1$

NuAtmos

Corsika

BurnSample

NuTauCC

- Backgrounds
 - Dominant: $\nu_{\rm astro.}$ and $\nu_{\rm atm.}$
 - Sub-dominant: μ_{\downarrow}
- 3 separate CNNs worked better than 1 all-purpose CNN

(Events not weighted.)

IceCube Fluxes

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Searching for Astrophysical ν_{τ}

- Backgrounds, cont'd:
 - μ_{\downarrow} : sub-dominant but presented lowhanging background fruit
 - "Corner-clippers" could look like ν_{τ} DP, only 1/200 yrs., but nevertheless:
 - Add requirement $C_3 \ge 0.95$ if highest-charge string at outer edge.
 - Reduced background to 1/2,000yrs, at a cost of 15% of the expected signal.
 - Saw excess edge events in pre-defined bkgd region
 - Would have failed CNN criteria, but had highly asymmetric light deposition pattern
 - •Asymmetry cut reduced this excess by 10x, at cost of 3% of signal

"Corner-clipper" background. Intrinsically rare; made 10x rarer.

Searching for Astrophysical ν_{τ}

• Backgrounds, cont'd:

•
$$\mu_{\text{DIS}}$$
: $\mu + X \rightarrow \nu_{\mu} + X'$

- \bullet Initial μ deposits light, followed by light from hadronic shower
- Not directly simulated
- At E > 100 TeV expect $N_{\mu}^{\text{atm.}} \simeq N_{\nu_{\mu}}^{\text{atm.}}$, but μ will lose energy traveling through atmosphere and ice
 - Conservatively doubled estimated background from $\nu_{\mu,\rm atm.}^{\rm CC}$

CNN Scores ($Q_{str} > 2000 \text{ p.e.}$)

 C_1 : Cascade vs. ν_{τ}

CECLISE ICECLISE

 C_1 : Cascade vs. ν_{τ}

 C_2 : μ_{\perp} vs. ν_{τ}

EECLIGE

 $C_3: \nu_\mu \text{ vs. } \nu_\tau$

EECLIGE

Mostly astrophysical ν_{τ} but not in signal region

Signal ν_{τ} mostly downgoing

Importance of Flavor ID for ν^{astro}

Status quo:

Measured flavor composition of IceCube HESE events. \star is best fit point, consistent with presence of all 3 flavors, but ν_{τ} flux only weakly constrained. Better identification of ν_{τ} would help to shrink the contour and maybe signpost new physics.

Also:

- -Study ν_{τ} (and τ) behavior at ultrahigh energies;
- Leverage their very high astrophysical purity;
- Get bragging rights with the largest exclusive sample of ν_{τ} .

Event Pics

Here's "Double Double," an old event & prior ν_{τ} candidate:

time/ns

Gratifying to find this event again.

A Less Obvious Event Pic

Here's "Barn Owl," another new event:

No clear double pulse waveform. What makes it a $\nu_{\tau}^{\text{astro}}$ candidate? To better understand CNN, use saliency maps.

Ice Optical Properties: Birefringence

Event Pics

Here's "Scarlet Macaw," a new event:

Clear double pulse structure. Detected in 2019 (too recent for previous analyses to have seen).

The IceCube Upgrade

• 7 new strings with new modules

The IceCube Upgrade

• 7 new strings with new modules

