



Small-Instanton induced Flavor Invariants and the Axion Potential

based on arXiv: [2402.09361](https://arxiv.org/abs/2402.09361)

to appear in JHEP

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Preliminary & Outline of this talk

- Strong CP problem & Axion solution

1.) QCD vacuum allows an effective(CP violating) term in the Lagrangian:

$$\mathcal{L} \supset \bar{\theta} \frac{g_s^2}{32\pi^2} G_{\mu\nu} \tilde{G}^{\mu\nu}$$

#Key feature: $\bar{\theta} = \theta_{\text{QCD}} - \arg(\det M_q)$ received contributions from both Strong & Electroweak sectors => theta-bar expected to be O(1)

Preliminary & Outline of this talk

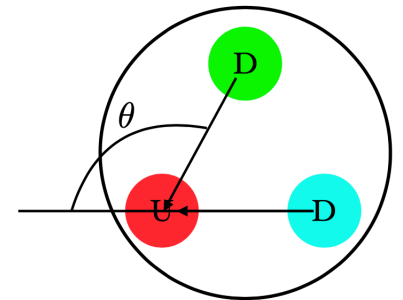
● Strong CP problem & Axion solution

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2.) Bound from Neutron EDM: $\bar{\theta} < 10^{-10}$



Strong CP problem: Why is theta-bar so small?

Alternative questions: why no CP-violation in QCD? What make theta-bar so small?
(any mechanism behind?)

Preliminary & Outline of this talk

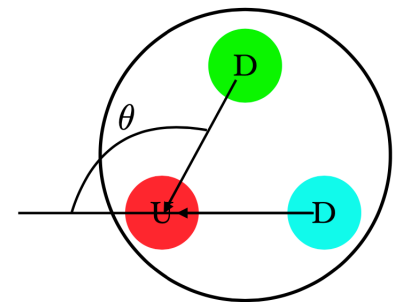
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3.) **Axion solution:** dynamically relaxes theta-bar to zero

$$\mathcal{L} \supset \left(\bar{\theta} + \frac{a}{f_a} \right) \frac{g_s^2}{32\pi^2} G_{\mu\nu} \tilde{G}^{\mu\nu}$$

Preliminary & Outline of this talk

Instanton #101:

QCD θ -vacuum = Superposition of n-vacua (energy degenerate but topologically distinct)

$$|\theta\rangle = \sum_{n=-\infty}^{\infty} e^{-in\theta} |n\rangle = \cdots |0\rangle + e^{-i\theta} |1\rangle + \cdots$$



Instanton describes the tunnelling effect between degenerate n-vacua

Instanton: localized objects in Euclidean spacetime, satisfying the Euclidean equation of motion with non-trivial topologies and therefore minimize the Euclidean action.

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Explicit SU(2) BPST instanton solution with Q = 1: $\frac{g^2}{32\pi^2} \int d^4x G_{\mu\nu}^A \tilde{G}^{A,\mu\nu}(x) \Big|_{\text{inst.}} = Q$, where $Q \in \mathbb{Z}$.
(Background field configuration)

$$G_{\mu}^a(x) \Big|_{1\text{-inst.}} = 2 \eta_{a\mu\nu} \frac{(x - x_0)_{\nu}}{(x - x_0)^2 + \rho^2}$$

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Characterized by a set of collective coordinates (family of solutions):

x_0

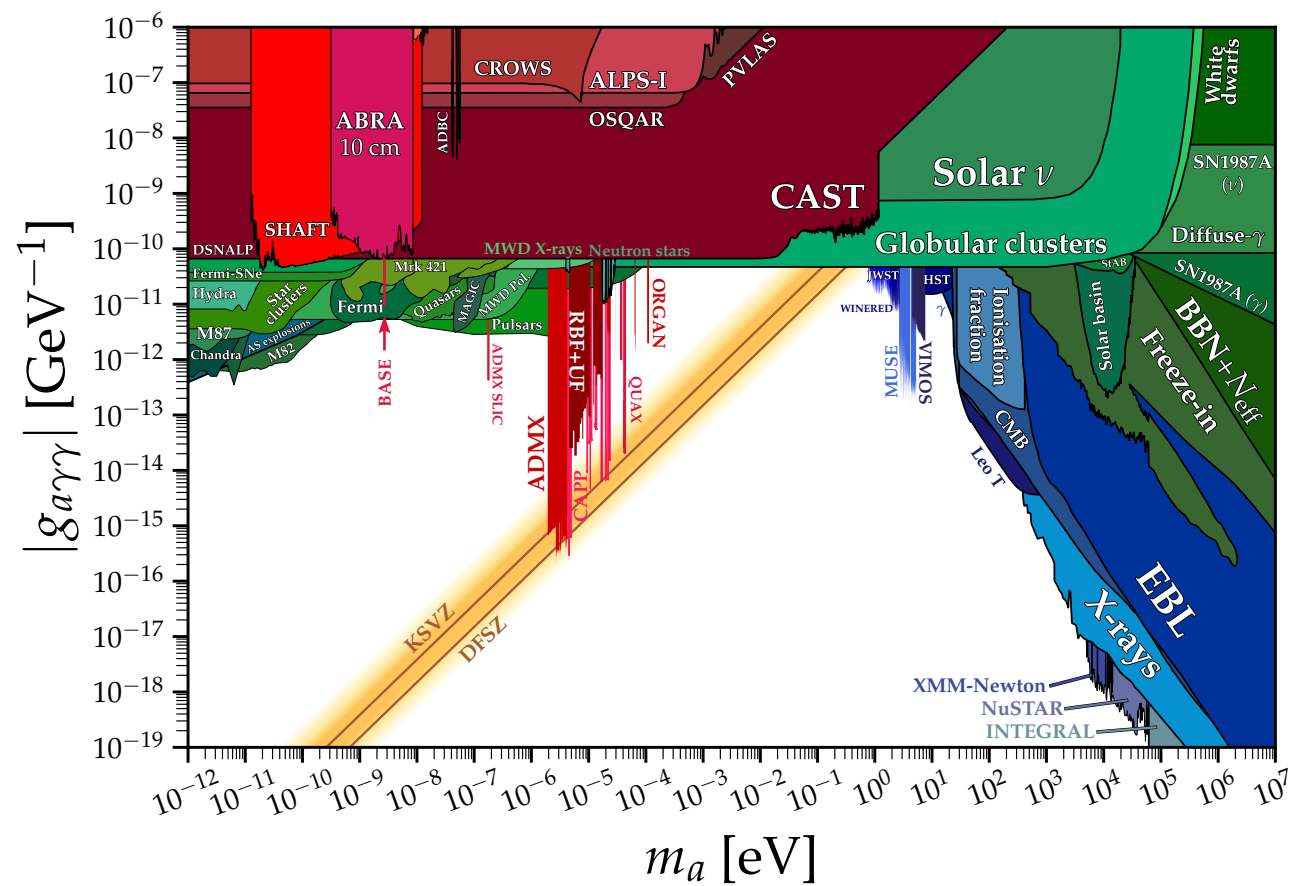
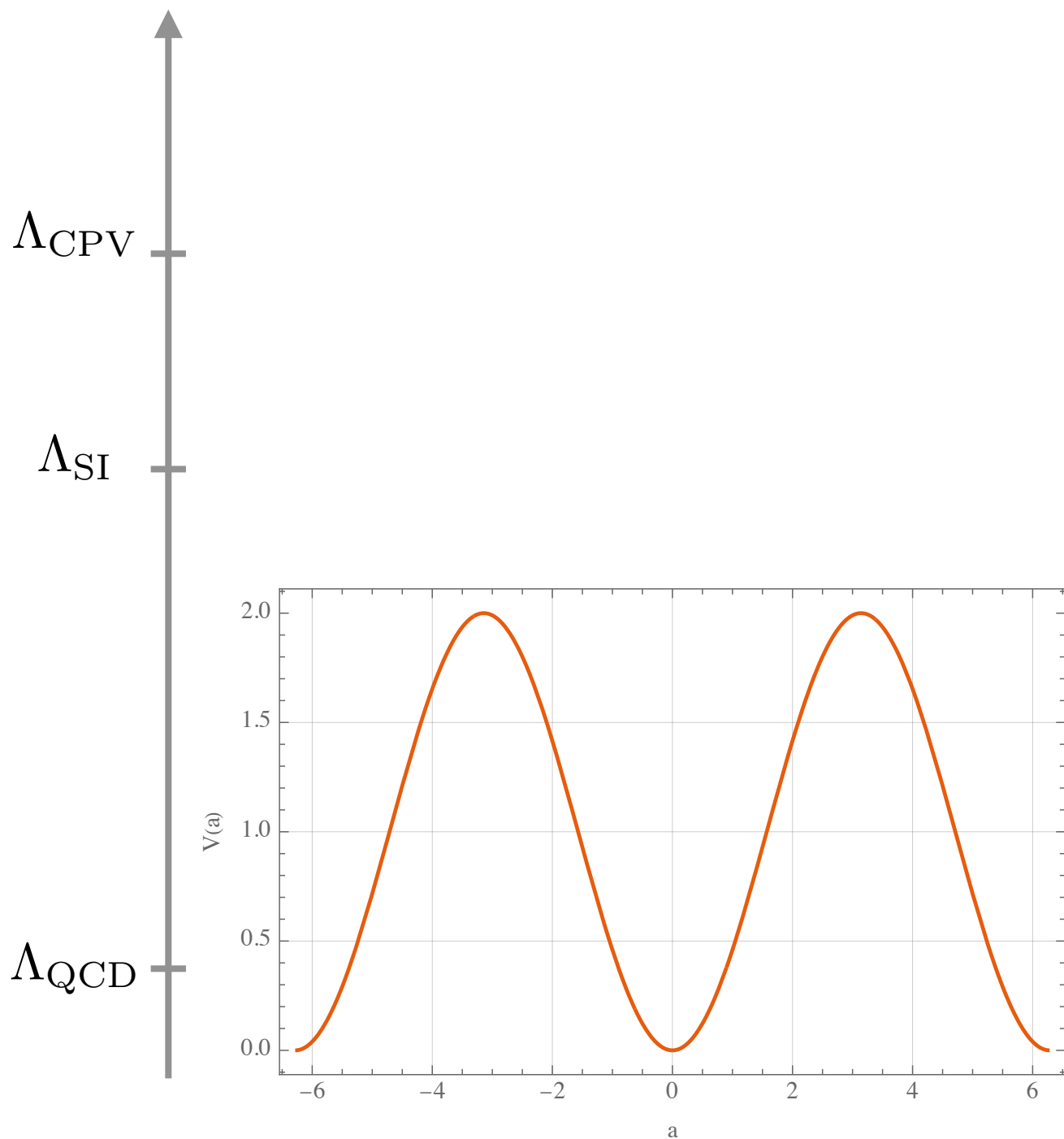
Location of instanton

ρ

Size of instanton

Preliminary & Outline of this talk

- Axion potential: QCD contribution

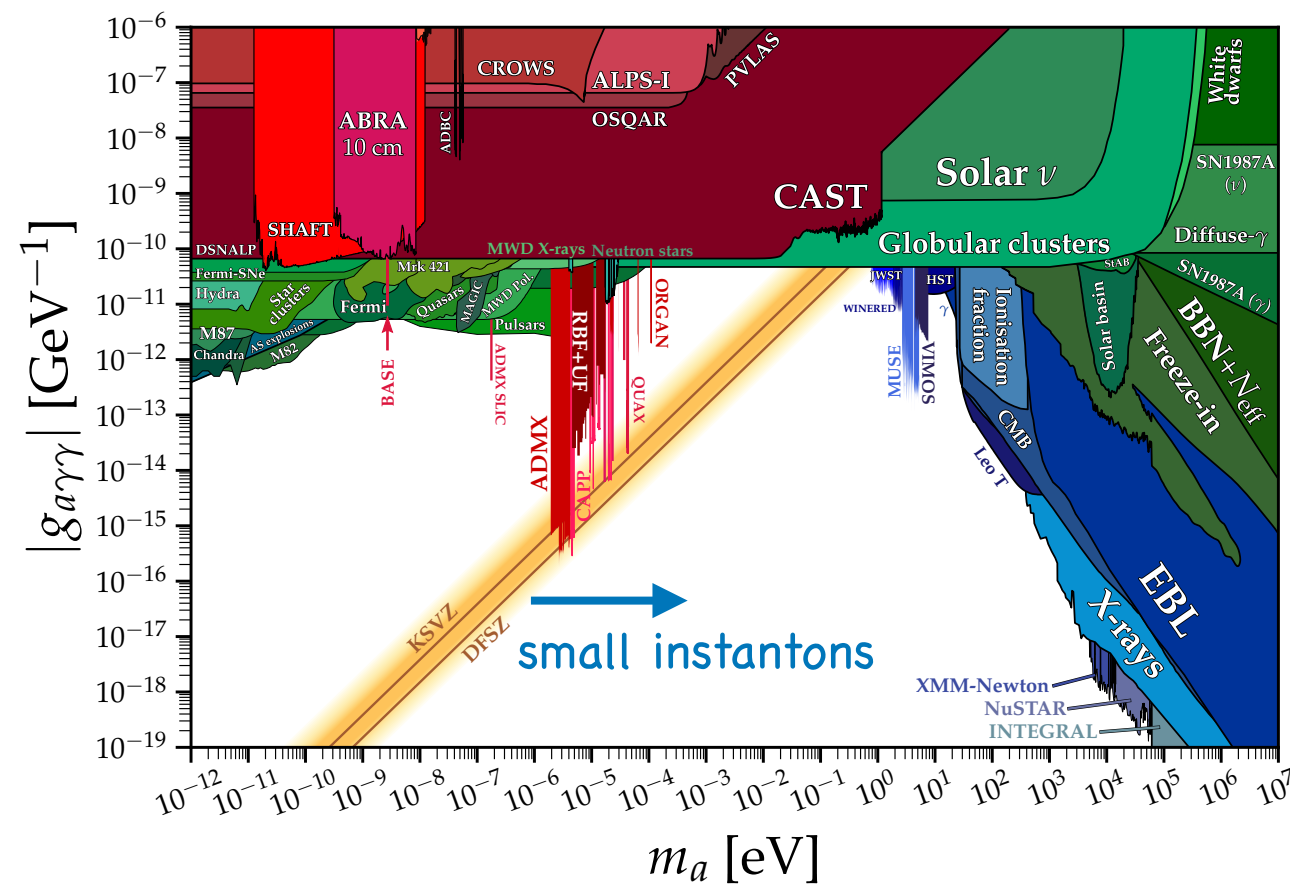
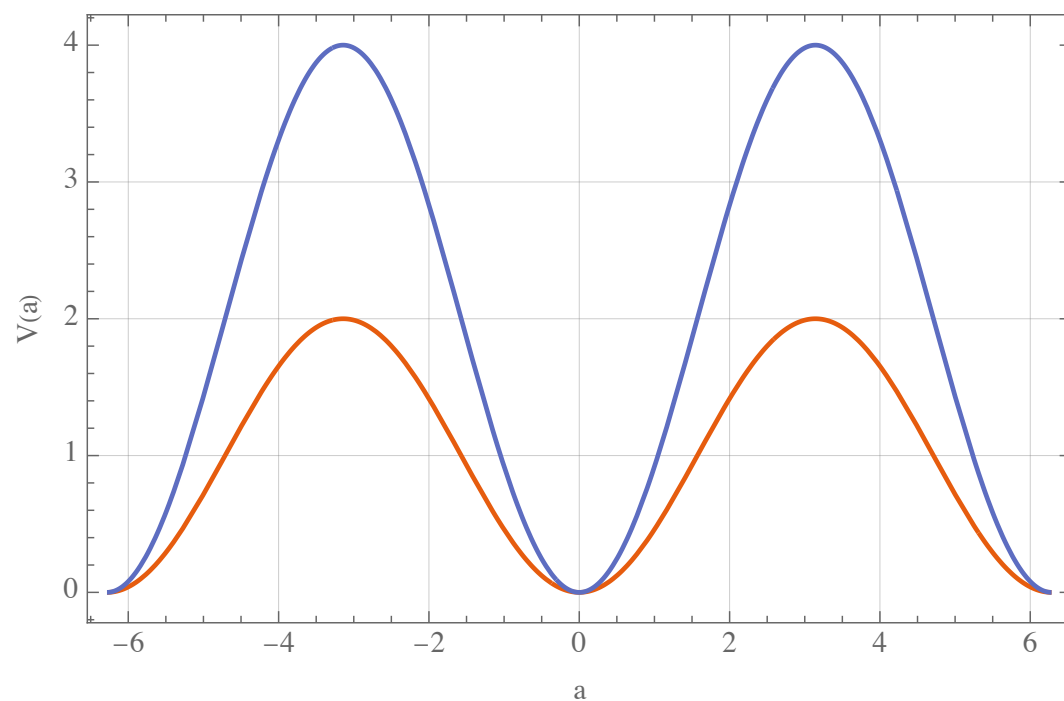
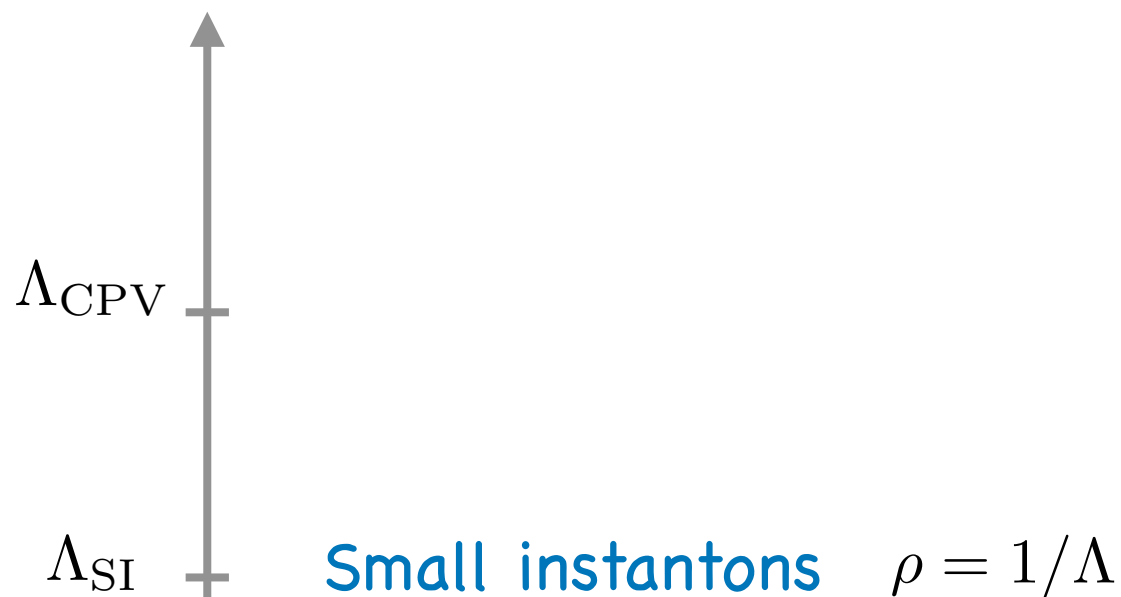


$$V(a) \sim m_\pi^2 f_\pi^2 \left[1 - \cos \frac{a}{f_a} \right] \rightarrow \left\langle \frac{a}{f_a} \right\rangle = 0$$

$$m_a^2 f_a^2 = \frac{m_u m_d}{(m_u + m_d)^2} m_\pi^2 f_\pi^2$$

Preliminary & Outline of this talk

- Axion potential: UV aligned contribution

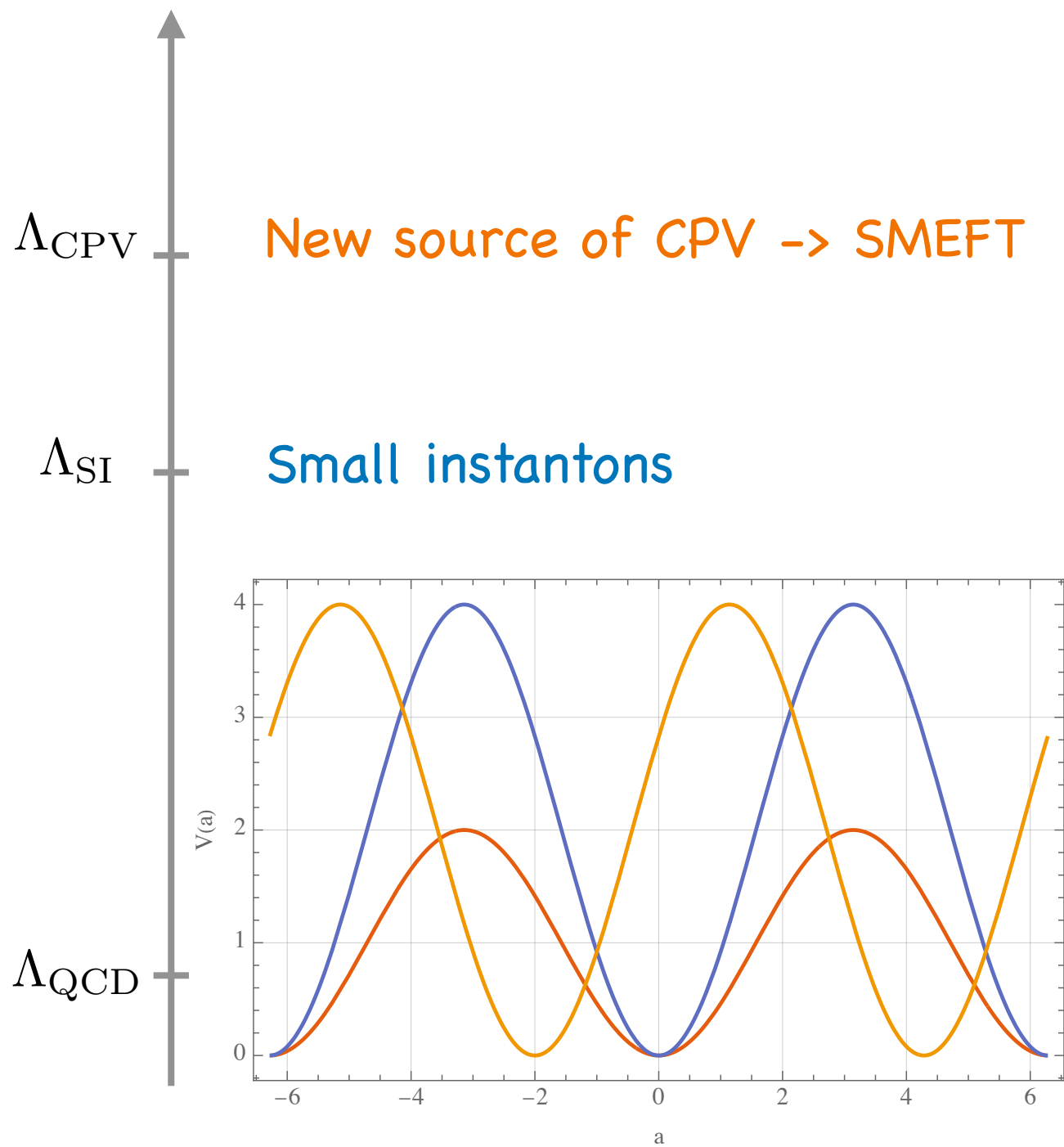


$$V(a) \sim (m_\pi^2 f_\pi^2 + \Lambda_{UV}^4) \left[1 - \cos \frac{a}{f_a} \right]$$

Enhance axion mass & solve strong CP problem

Preliminary & Outline of this talk

- Axion potential: UV misaligned contribution



$$V(a) \sim (m_\pi^2 f_\pi^2 + \Lambda_{UV}^4) \left[1 - \cos \left(\frac{a}{f_a} + \delta_{CPV} \right) \right]$$

Can destroy the Axion solution

Preliminary & Outline of this talk

- SMEFT Flavour invariants: Systematically capture the CPV phases of SMEFT operators

CP-violation in the SM is parametrised by

$$J_4 = \text{Im} \left(\text{Tr} \left[Y_u Y_u^\dagger, Y_d Y_d^\dagger \right] \right)$$

Jarlskog 85

Bernabeu, Branco, Gronau 85

Construct Jarlskog-like CPV invariants for the SMEFT: Example $\mathcal{O}_{uH} = |H|^2 \bar{Q} \tilde{H} u$

$$\text{ImTr} \left(X_u^a X_d^b X_u^c X_d^d C_{uH} Y_u^\dagger \right) \quad X_{u,d} = Y_{u,d} Y_{u,d}^\dagger$$

Has 9 complex parameters

Preliminary & Outline of this talk

- Small instanton & Axion potential: UV misaligned contributions

Small instantons generate axion potential of the form:

$$V(a) = \chi_{\mathcal{O}}(0) \frac{a}{f_a} + \frac{1}{2} \chi(0) \left(\frac{a}{f_a} \right)^2 \quad \longrightarrow \quad \left\langle \frac{a}{f_a} \right\rangle \equiv \theta_{\text{ind}} = - \frac{\chi_{\mathcal{O}}(0)}{\chi(0)}$$

Induced by CP-violating operator This talk

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Induced by CP-violating operator
This talk

Coefficients in the potential can be computed from following correlators:

$$\chi(0) = -i \lim_{k \rightarrow 0} \int d^4x e^{ikx} \left\langle 0 \left| T \left\{ \frac{g^2}{32\pi^2} G \tilde{G}(x), \frac{g^2}{32\pi^2} G \tilde{G}(0) \right\} \right| 0 \right\rangle \Big|_{1-(a.-)inst.}$$

$$\chi_{\mathcal{O}}(0) = -i \lim_{k \rightarrow 0} \int d^4x e^{ikx} \left\langle 0 \left| T \left\{ \frac{g^2}{32\pi^2} G_{\mu\nu}^a \tilde{G}_a^{\mu\nu}(x), \frac{C_{\mathcal{O}}^{ij\dots}}{\Lambda_{\text{CP}}^{D-4}} \mathcal{O}^{D,ij\dots}(0) \right\} \right| 0 \right\rangle \Big|_{1-(a.-)inst.}$$

Evaluating these correlation functions within perturbative regime and one-(anti)instanton approximation. Making connection with SMEFT flavour invariants => Simplify the calculations

Small instanton & Axion potential: Evaluating the correlator $\chi_{\mathcal{O}}(0)$

● Core technique 1: Path Integral & Instanton background

$$\begin{aligned}\chi_{\mathcal{O}}(0) &= -i \lim_{k \rightarrow 0} \int d^4x e^{ikx} \left\langle 0 \left| T \left\{ \frac{g^2}{32\pi^2} G\tilde{G}(x), \frac{C_{\mathcal{O}}}{\Lambda_{\mathcal{CP}}^2} \mathcal{O}[\varphi_I, \varphi](0) \right\} \right| 0 \right\rangle, \\ &= e^{-i\theta_{\text{QCD}}} \int d^4x_0 \int \frac{d\rho}{\rho^5} d_N(\rho) \int \prod_{f=1}^{N_f} (\rho d\xi_f^{(0)} d\bar{\xi}_f^{(0)}) \\ &\times \int \mathcal{D}\varphi e^{-S_0[\varphi] - S_{\text{int}}[\varphi_I, \varphi]} \int d^4x \frac{g^2}{32\pi^2} G\tilde{G}(x) \times \frac{C_{\mathcal{O}}}{\Lambda_{\mathcal{CP}}^2} \mathcal{O}[\varphi_I, \varphi](0) \Big|_{1-(\text{a.-})\text{inst.}}\end{aligned}$$

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Fields with instanton solutions (e.g. gluon, quark): φ_I

=> Expand the fields in their eigenmodes, replace zero mode wave function by instanton solutions, **and integrate out non-zero modes:**

$$\int \mathcal{D}\varphi_I e^{-S_E[\varphi_I]} \rightarrow e^{-i\theta_{\text{QCD}}} \int d^4x_0 \int \frac{d\rho}{\rho^5} d_N(\rho) \int \prod_{f=1}^{N_f} (\rho d\xi_f^{(0)} d\bar{\xi}_f^{(0)})$$

Instanton density

Path integral measure of zero modes
=> Integration over collective coordinates

Small instanton & Axion potential: Evaluating the correlator $\chi_{\mathcal{O}}(0)$

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Fields without instanton solutions: φ

=> Integrate over without performing the eigenmode expansion

Small instanton & Axion potential: Evaluating the correlator $\chi_{\mathcal{O}}(0)$

Core technique 2: Fermion zero mode & Grassmann integral

Fermion eigenmode expansion & fermion zero-mode solutions:

$$\psi_f(x) = \sum_k \xi_f^{(k)} \psi^{(k)}(x); \quad \bar{\psi}_f(x) = \sum_k \bar{\xi}_f^{(k)} \bar{\psi}^{(k)}(x)$$

$$-i\not{D}\Big|_{1\text{-inst.}} \psi^{(0)}(x) = 0. \quad \longrightarrow \quad \psi^{(0)}(x)\Big|_{1\text{-inst.}} = \begin{pmatrix} \chi_L \\ \chi_R \end{pmatrix} = \frac{1}{\pi} \frac{\rho}{[(x-x_0)^2 + \rho^2]^{3/2}} \begin{pmatrix} 0 \\ \varphi \end{pmatrix}, \quad \varphi_{\alpha m} = \epsilon^{\alpha m}$$

Fermion zero modes & Grassmann integral give rise to determinant-like structures:

$$\int d^3\xi_1 d^3\xi_2 e^{\xi_1 A \xi_2} = \det A,$$

$$\int d^3\xi_1 d^3\xi_2 e^{\xi_1 A \xi_2} \xi_1 B \xi_2 = \frac{1}{2} \epsilon^{i_1 i_2 i_3} \epsilon^{j_1 j_2 j_3} A_{i_1 j_1} A_{i_2 j_2} B_{i_3 j_3}$$

$$\det A = \frac{1}{n!} \epsilon_{i_1 \dots i_n} \epsilon_{j_1 \dots j_n} A_{i_1 j_1} \dots A_{i_n j_n}$$

=> First hint of determinant-like flavour invariants will appear in the final result

Small instanton & Axion potential: Evaluating the correlator $\chi_{\mathcal{O}}(0)$

Core technique 3: Determinant-like flavour invariants

Considering non-perturbative effects \Rightarrow Use θ_{QCD} as a spurion:

	$U(3)_Q$	$U(3)_u$	$U(3)_d$	$U(3)_L$	$U(3)_e$
$e^{i\theta_{\text{QCD}}}$	$\mathbf{1}_{+6}$	$\mathbf{1}_{-3}$	$\mathbf{1}_{-3}$	$\mathbf{1}_0$	$\mathbf{1}_0$
Y_u	$\mathbf{3}_{+1}$	$\bar{\mathbf{3}}_{-1}$	$\mathbf{1}_0$	$\mathbf{1}_0$	$\mathbf{1}_0$
Y_d	$\mathbf{3}_{+1}$	$\mathbf{1}_0$	$\bar{\mathbf{3}}_{-1}$	$\mathbf{1}_0$	$\mathbf{1}_0$
Y_e	$\mathbf{1}_0$	$\mathbf{1}_0$	$\mathbf{1}_0$	$\mathbf{3}_{+1}$	$\bar{\mathbf{3}}_{-1}$

SM has one more CP-odd flavour invariant:

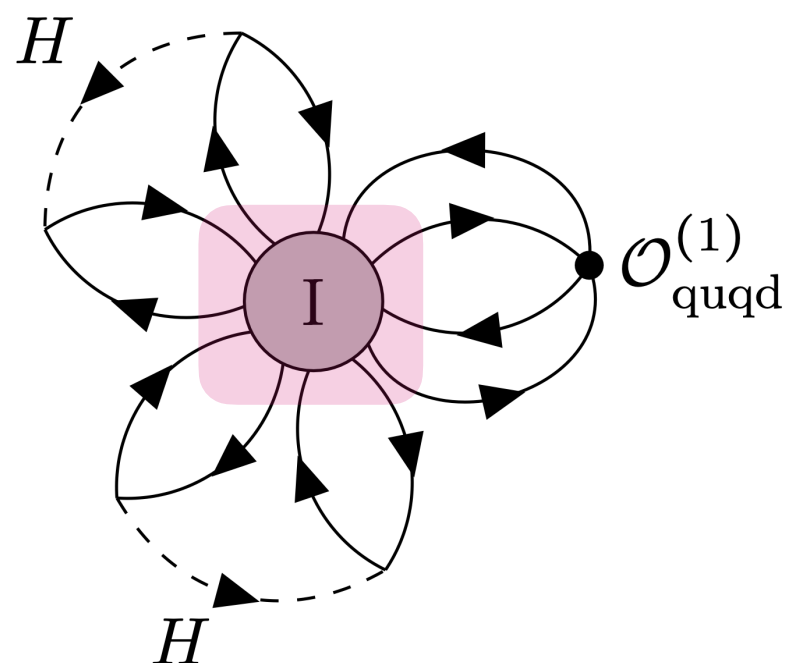
$$J_{\theta} = \text{Im}[e^{-i\theta_{\text{QCD}}} \det(Y_u Y_d)]$$

Built invariants featuring θ_{QCD} for CP-violating SMEFT operators:

$$\mathcal{O}_{quqd}^{(1)} = \bar{Q}u\bar{Q}d$$

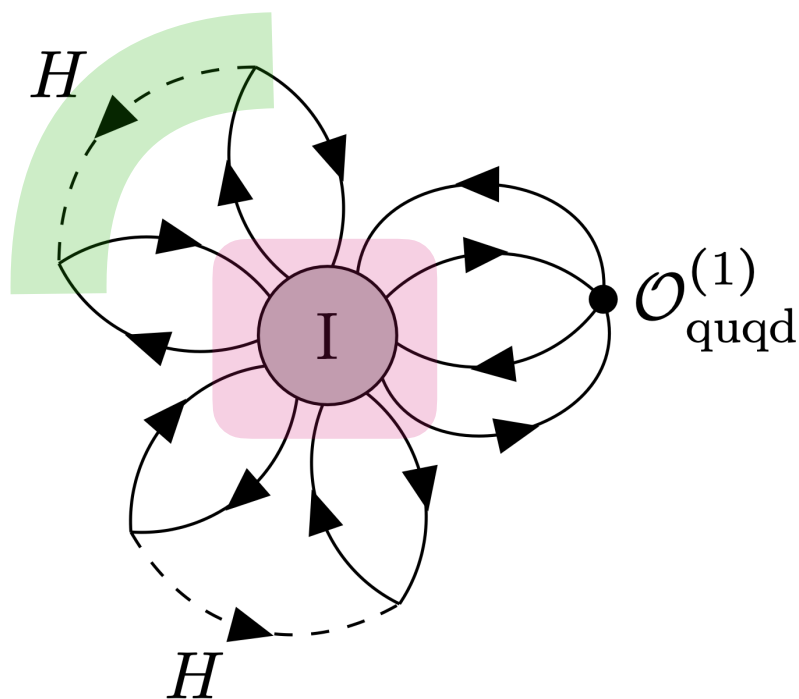
$$\mathcal{I}(C_{quqd}^{(1,8)}) = \text{Im} \left[e^{-i\theta_{\text{QCD}}} \epsilon^{ABC} \epsilon^{abc} \epsilon^{DEF} \epsilon^{def} Y_{u,Aa} Y_{u,Bb} C_{quqd,CcDd}^{(1,8)} Y_{d,Ee} Y_{d,Ff} \right]$$

Topological Susceptibilities & Flavor invariants: Four-quark operator



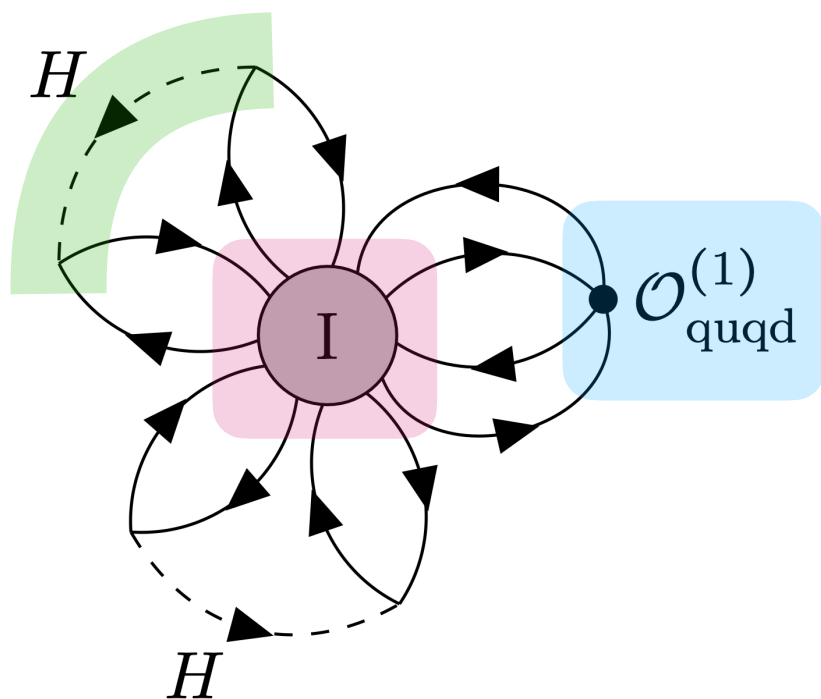
$$\begin{aligned}
 \chi_{\text{quqd}}^{(1)}(0)^{1\text{-inst.}} &= -i \lim_{k \rightarrow 0} \int d^4x e^{ikx} \left\langle 0 \left| T \left\{ \frac{1}{32\pi^2} G\tilde{G}(x), \frac{C_{\text{quqd}}^{(1)}}{\Lambda_{\text{CP}}^2} \mathcal{O}_{\text{quqd}}^{(1)}(0) \right\} \right| 0 \right\rangle, \\
 &= e^{-i\theta_{\text{QCD}}} \int d^4x_0 \int \frac{d\rho}{\rho^5} d_N(\rho) \int \mathcal{D}H \mathcal{D}H^\dagger e^{-S_0[H, H^\dagger]} \int \prod_{f=1}^3 \left(\rho^2 d\xi_{u_f}^{(0)} d\xi_{d_f}^{(0)} d^2 \bar{\xi}_{Q_f}^{(0)} \right) \\
 &\times e^{\int d^4x (\bar{Q} Y_u \tilde{H} u + \bar{Q} Y_d H d + \text{h.c.})(x)} \frac{1}{32\pi^2} \int d^4x G\tilde{G}(x) \left(\frac{C_{\text{quqd}}^{(1)}}{\Lambda_{\text{CP}}^2} \bar{Q} u \bar{Q} d(0) + \text{h.c.} \right), \\
 &\quad Q = 1
 \end{aligned}$$

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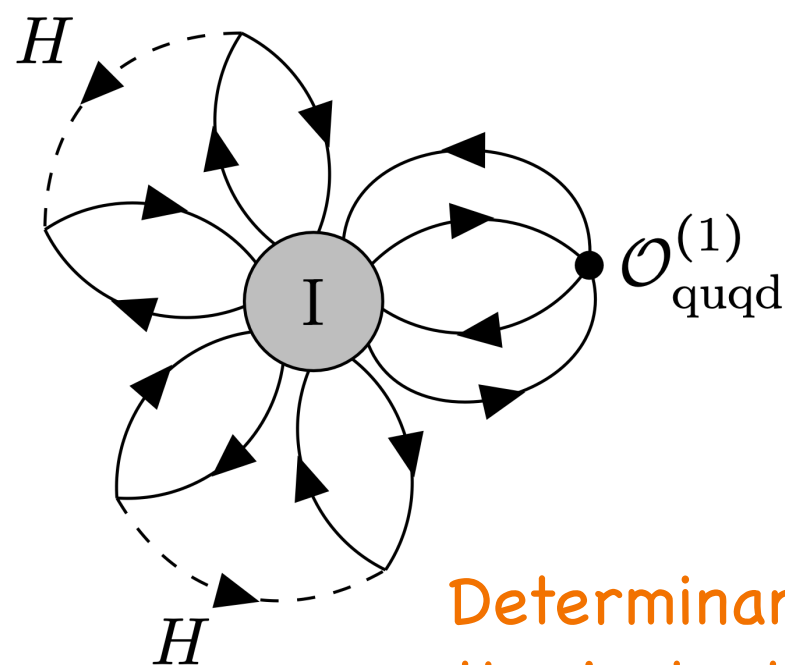
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Topological Susceptibilities & Flavor invariants: Four-quark operator



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Topological Susceptibilities & Flavor invariants: Four-quark operator

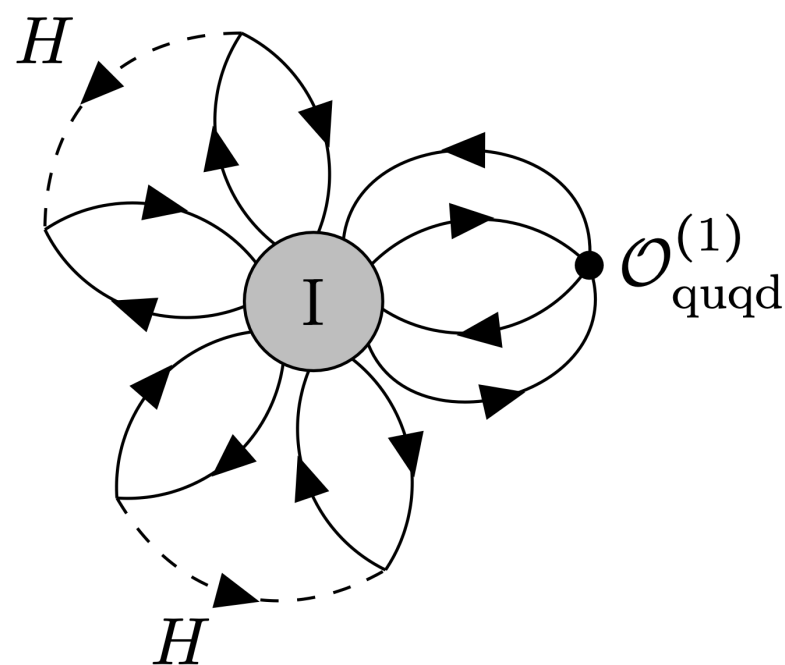


Determinant-like flavour invariants naturally arise in the instanton calculations

$$\begin{aligned}
 \chi_{\text{quqd}}^{(1)}(0)^{1-\text{inst.}} &= \frac{1}{4\Lambda_{\text{CP}}^2} \left[e^{-i\theta_{\text{QCD}}} \epsilon^{i_1 i_2 m} \epsilon^{j_1 j_2 n} Y_{u, i_1 j_1} Y_{u, i_2 j_2} C_{\text{quqd}, mnop}^{(1)} \epsilon^{k_1 k_2 o} \epsilon^{l_1 l_2 p} Y_{d, k_1 l_1} Y_{d, k_2 l_2} \right. \\
 &\quad \left. + e^{-i\theta_{\text{QCD}}} \epsilon^{i_1 i_2 m} \epsilon^{j_1 j_2 n} Y_{u, i_1 j_1} Y_{u, i_2 j_2} C_{\text{quqd}, onmp}^{(1)} \epsilon^{k_1 k_2 o} \epsilon^{l_1 l_2 p} Y_{d, k_1 l_1} Y_{d, k_2 l_2} \right] \int d^4 x_0 \int \frac{d\rho}{\rho^5} d_N(\rho) \rho^6 \\
 &\times \underbrace{\int \mathcal{D}H \mathcal{D}H^\dagger e^{-S_0[H, H^\dagger]} \left[\int d^4 x_1 d^4 x_2 (\bar{\psi}^{(0)} H_I^\dagger \epsilon^{IJ} P_R \psi^{(0)})(x_1) (\bar{\psi}^{(0)} \epsilon_{JK} H^K P_R \psi^{(0)})(x_2) \right]^2}_{= 2! \left[\int d^4 x_1 d^4 x_2 (\bar{\psi}^{(0)} P_R \psi^{(0)})(x_1) \Delta_H(x_1 - x_2) \epsilon_{IJ} \epsilon^{JI} (\bar{\psi}^{(0)} P_R \psi^{(0)})(x_2) \right]^2 \equiv 2! \mathcal{I}^2} \\
 &\times \left(\epsilon_{MNP} \epsilon^{MNP} \bar{\psi}^{(0)} P_R \psi^{(0)} \bar{\psi}^{(0)} P_R \psi^{(0)} \right) (0) \int d^4 x \frac{G \tilde{G}(x)}{32\pi^2}.
 \end{aligned}$$

Fermion zero modes

Topological Susceptibilities & Flavor invariants: Four-quark operator

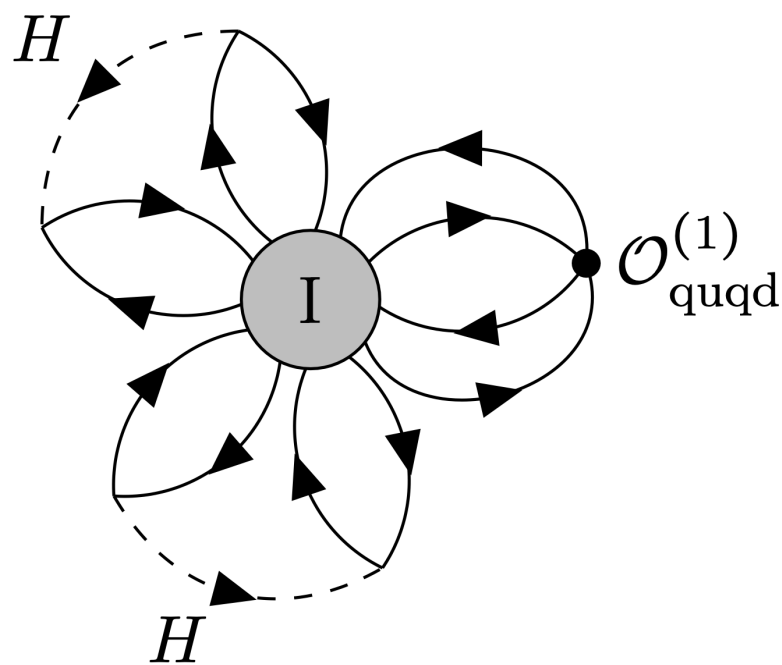


Plugging explicit form of fermion zero modes
Integrate over loop momenta,
collective coordinates

$$\chi_{\text{quqd}}^{(1)(\text{UV})}(0) = \frac{i}{\Lambda_{\text{CP}}^2} \left(\mathcal{A}_{0000}^{0000} \left(C_{\text{quqd}}^{(1)} \right) + \mathcal{B}_{0000}^{0000} \left(C_{\text{quqd}}^{(1)} \right) \right) \int \frac{d\rho}{\rho^5} d_N(\rho) \frac{2!}{(6\pi^2)^2} \frac{2}{5\pi^2 \rho^2}$$

Contraction of Yukawa matrices
encapsulated in the Flavour invariants

Topological Susceptibilities & Flavor invariants: Four-quark operator



Can also use Instanton Naive Dimensional Analysis (NDA), result up to $\mathcal{O}(1)$

Csáki, D'Agnolo, Kuflik, Ruhdorfer (2311.09285)

$$\chi_{\text{quqd}}^{(1)(UV)}(0) = \frac{i}{\Lambda_{\text{CP}}^2} \left(\mathcal{A}_{0000}^{0000} \left(C_{\text{quqd}}^{(1)} \right) + \mathcal{B}_{0000}^{0000} \left(C_{\text{quqd}}^{(1)} \right) \right) \int \frac{d\rho}{\rho^5} d_N(\rho) \frac{1}{(256\pi^6)\rho^2}$$

Contraction of Yukawa matrices
encapsulated in the Flavour invariants

Combining Flavour invariants & Instanton NDA
=> quickly estimate 't Hooft flower diagrams

Topological Susceptibilities & Flavor invariants: Semi-leptonic operator

- Now start from the Flavour invariants:

$$\text{Im} \left(I_{\text{lequ}}^{(1)} \right) = \text{Im} \left[e^{-i\theta_{\text{QCD}}} \epsilon^{i_1 i_2 m} \epsilon^{j_1 j_2 n} Y_{u, i_1 j_1} Y_{u, i_2 j_2} C_{\text{lequ}, opmn}^{(1)} Y_{e, po}^\dagger \det Y_d \right] = \mathcal{I}_{0000}^0 \left(C_{\text{lequ}}^{(1)} \right)$$

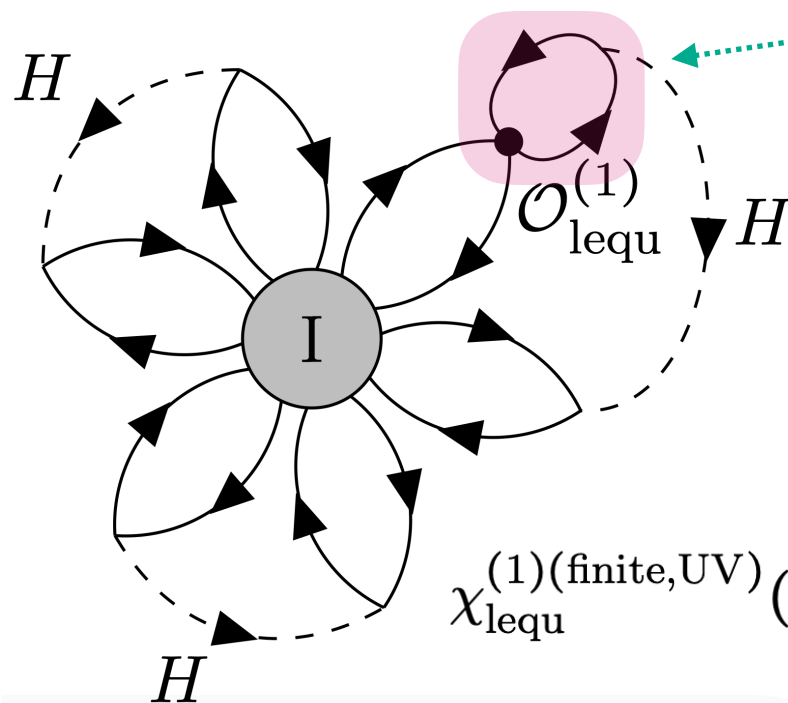
Trace-like contractions

Topological Susceptibilities & Flavor invariants: Semi-leptonic operator

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Trace-like contractions



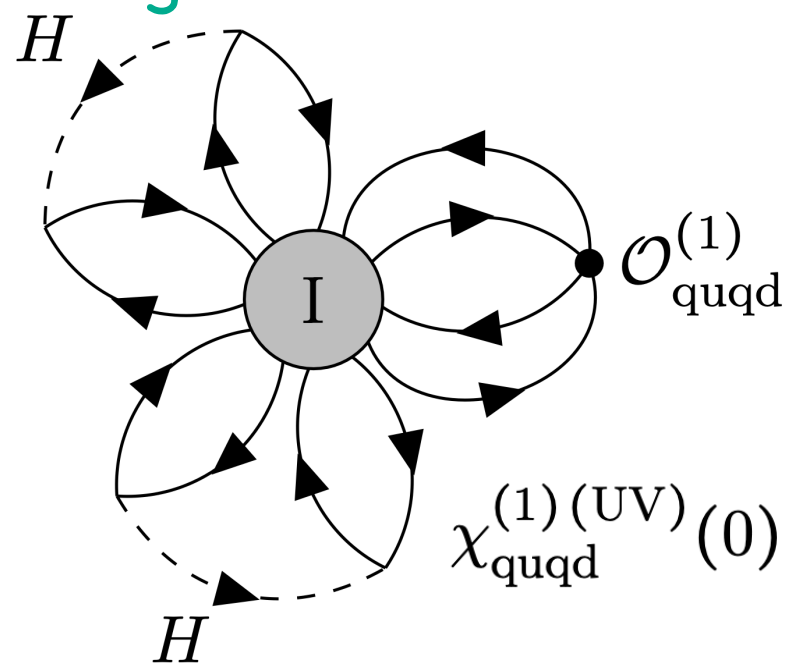
1-loop suppression induced by leptonic fields

$$\chi_{\text{lequ}}^{(1)(\text{finite, UV})}(0) = \frac{i}{\Lambda_{\text{CP}}^2} \mathcal{I}_{0000}^0 \left(C_{\text{lequ}}^{(1)} \right) \int \frac{d\rho}{\rho^5} d_N(\rho) \frac{3!}{(6\pi^2)^2} \frac{11 + 30 (\log(\rho \Lambda_{\text{CP}}) + \gamma_E - \log 2)}{600\pi^4 \rho^2}$$

- Anticipating how CPV SMEFT operators participate in the instanton computations
- Classifying the leading effects from the Wilson coefficients

Topological Susceptibilities & Flavor invariants: Four-quark operator

#Integration over the size of instanton

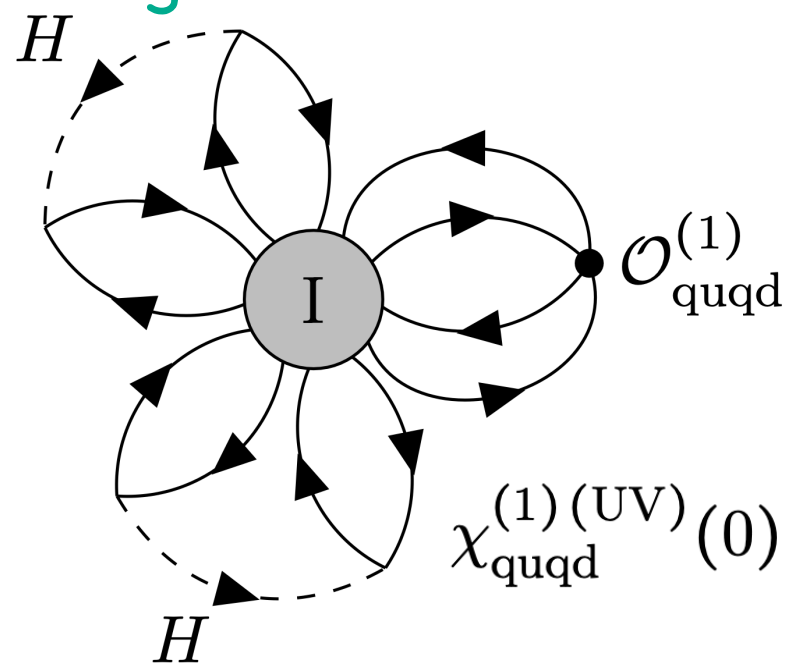


$$\chi_{\text{quqd}}^{(1)(\text{UV})}(0) = \frac{i}{\Lambda_{\text{CP}}^2} \left(\mathcal{A}_{0000}^{0000} \left(C_{\text{quqd}}^{(1)} \right) + \mathcal{B}_{0000}^{0000} \left(C_{\text{quqd}}^{(1)} \right) \right) \int \frac{d\rho}{\rho^5} d_N(\rho) \frac{2!}{(6\pi^2)^2} \frac{2}{5\pi^2 \rho^2}$$

ρ -integral is IR divergent
 \Rightarrow Need a physical IR cut-off

Topological Susceptibilities & Flavor invariants: Four-quark operator

#Integration over the size of instanton



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- Possible UV completion of small-instantons:

Product of gauge groups

Higgsing $SU(3)_1 \times \dots \times SU(3)_k \rightarrow SU(3)_c$
 via Bifundamental scalars σ , vev $\langle \sigma \rangle$

$$d_N(\rho) \rightarrow d_N(\rho) e^{-2\pi^2 \rho^2 \sum |\langle \sigma \rangle|^2}$$

5D instantons

Uplift BPST instanton to a compact extra dimension of size R

$$d_N(\rho) \rightarrow d_N(\rho) e^{R/\rho}$$

Bounds from non-measurement of theta-induced: Four-quark operator

- Product of gauge groups

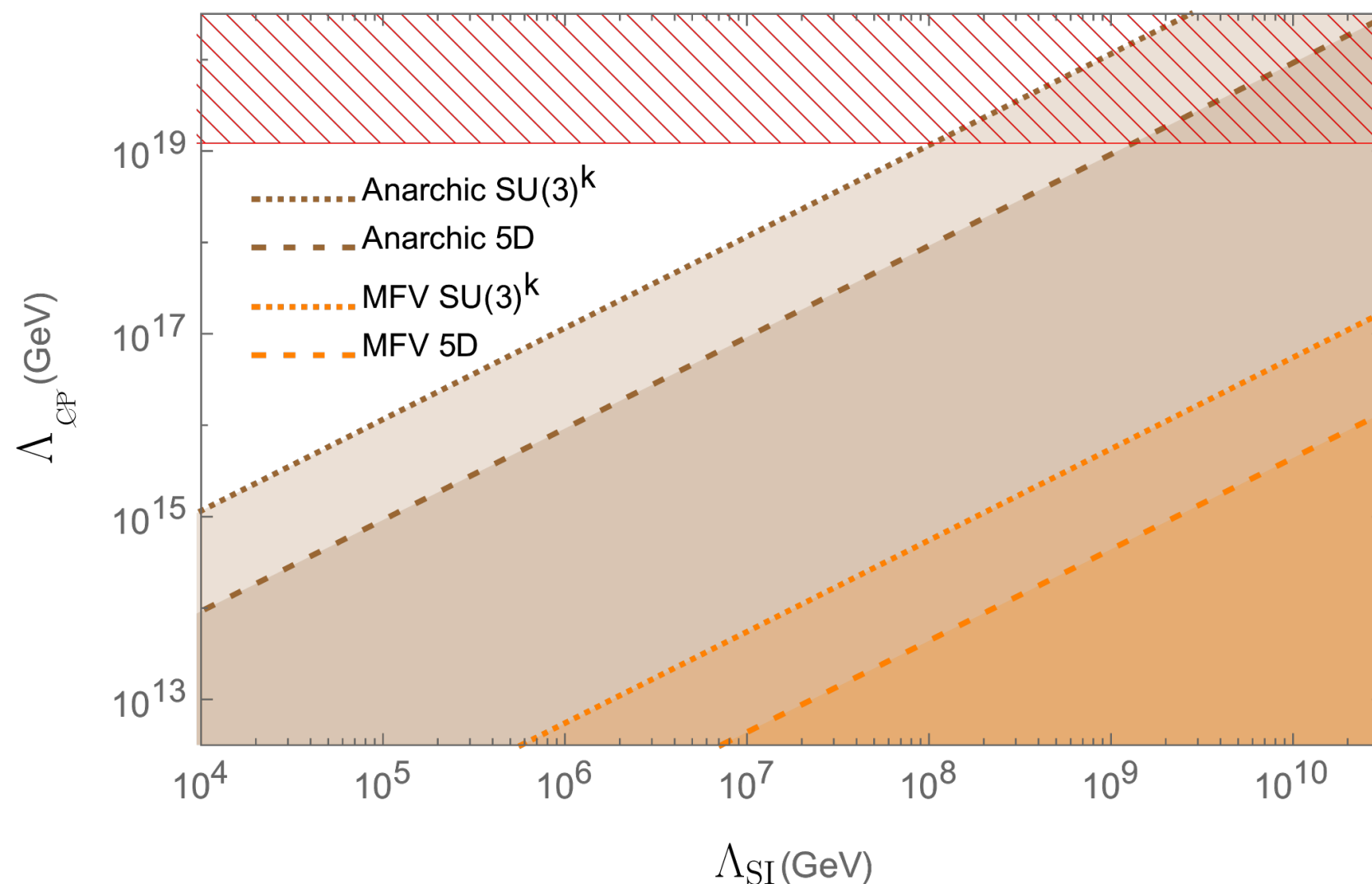
$$\theta_{\text{ind}} = \frac{16\pi^2}{5(b_0 - 6)K_\theta} \left(\mathcal{A}_{0000}^{0000} \left(C_{\text{quqd}}^{(1)} \right) + \mathcal{B}_{0000}^{0000} \left(C_{\text{quqd}}^{(1)} \right) \right) \frac{\Lambda_{\text{SI}}^2}{\Lambda_{\text{CP}}^2}$$

Test different flavour scenarios

Finite ratio in the decoupling limit

$$K_\theta = \text{Re} \left[e^{-i\theta_{\text{QCD}}} \det(Y_u Y_d) \right]$$

$\mathcal{O}_{\text{quqd}}^{(1)}$



Conclusions

- Enhancing the axion mass via small-instanton also (accidentally) enhances CPV effects that misalign potential
 - => Dangerous effects which spoil Axion solution
 - => The quality of Axion solution depends on UV scenarios
- The estimation of these effects can be made easier with the help of determinant-like invariants
- We can also use the invariants to study the contributions of all remaining CP-odd SMEFT operators

Backup slides

BPST instanton

$$G_{\mu}^a(x)|_{1\text{-inst.}} = 2\eta_{a\mu\nu} \frac{(x-x_0)_{\nu}}{(x-x_0)^2 + \rho^2}, \quad \eta_{a\mu\nu} = \begin{cases} \epsilon_{a\mu\nu}, & \mu, \nu \in \{1, 2, 3\} \\ -\delta_{a\nu}, & \mu = 0 \\ +\delta_{a\mu}, & \nu = 0 \\ 0, & \mu = \nu = 0 \end{cases}$$

An important property of the one-(anti-)instanton solution is that it satisfies the (*anti*-) *self-dual* equation

$$G_{\mu\nu}^a = \pm \tilde{G}_{\mu\nu}^a, \quad (\text{C.6})$$

and thus, due to the Bianchi identity, automatically solves the gluon equation of motion $D^{\mu}G_{\mu\nu}^a = D^{\mu}\tilde{G}_{\mu\nu}^a = 0$. With all of these properties, the one-(anti-)instanton solution then yields the finite QCD classical action

$$S_{\text{YM}}^{1\text{-inst.}} = \int d^4x \left(\frac{1}{4} G_{\mu\nu}^A G^{A,\mu\nu} + i\theta_{\text{QCD}} \frac{g^2}{32\pi^2} G_{\mu\nu}^A \tilde{G}^{A,\mu\nu} \right) \Big|_{1\text{-(a.-)inst.}} = \frac{8\pi^2}{g^2} \pm i\theta_{\text{QCD}}. \quad (\text{C.7})$$

Instanton density

$$d_N(\rho) = C[N] \left(\frac{8\pi^2}{g^2} \right)^{2N} e^{-8\pi^2/g^2(1/\rho)}$$

$$C[N] = \frac{C_1 e^{-C_2 N}}{(N-1)!(N-2)!} e^{0.292 N_f}$$

$$\frac{8\pi^2}{g^2(1/\rho)} = \frac{8\pi^2}{g_0^2(\Lambda_{UV})} - b_0 \log \rho \Lambda_{UV}, \quad b_0 = \frac{11}{3}N - \frac{2}{3}N_f$$

Bounds from non-measurement of theta-induced: Semi-leptonic operator

