Machine Learning application for Λ hyperon reconstruction in CBM at FAIR

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for the CBM Collaboration

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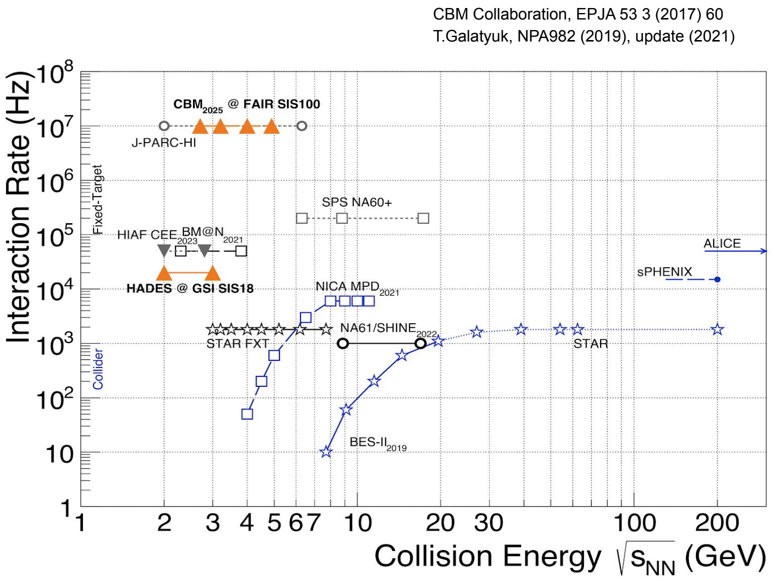
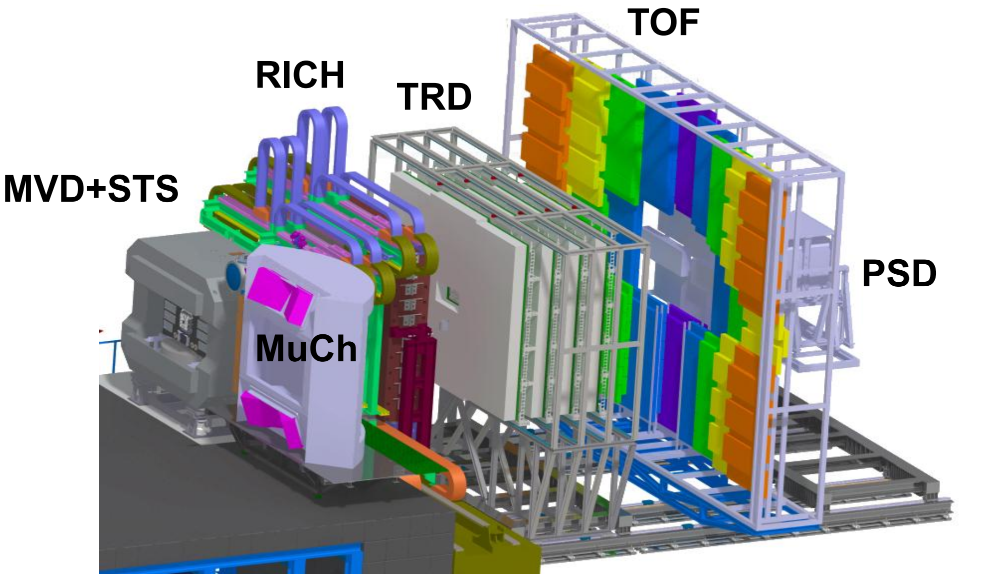
Strangeness in Quark Matter
17-22 May 2021

CBM physics goals and experimental challenges





Main CBM physics cases:

- QCD matter equation-of-state at large baryon densities
- The production of strange quarks is sensitive to the properties of created matter in high energy nuclear collisions
  - (Multi)-Strange particles
- Extend nuclei chart with hypernuclei measurements

- Tracking: Micro-Vertex Detector (MVD), Silicon Tracking System (STS)
- Particle identification: Muon Chamber (MuCh), Ring Imaging Cherenkov (RICH), Transition Radiation Detector (TRD), Time of Flight (TOF)
- Collision geometry: Projectile Spectator Detector (PSD)

To study rare probes CBM will operate at an unprecedented interaction rate, up to 10 MHz!

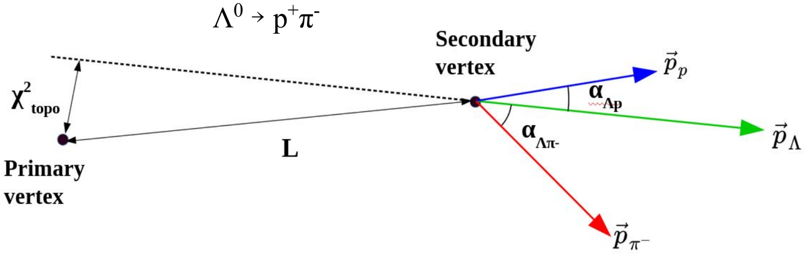

FAIR
CBM
cave
Full video
CBM experiment overview:
Norbert Herrmann on 22 May 2021, 11:00

(Multi)-Strange reconstruction via weak decays

- Λ hyperons are the most abundant strange baryons produced at FAIR energies
- Collisions generated by URQMD and DCM-QGSM-SMM with Au+Au collisions at p_{beam} = 12*A* GeV/*c* ($\sqrt{s_{NN}}$ = 4.93), mbias, 100k
- Using GEANT4 simulation, CA tracking within CbmRoot framework

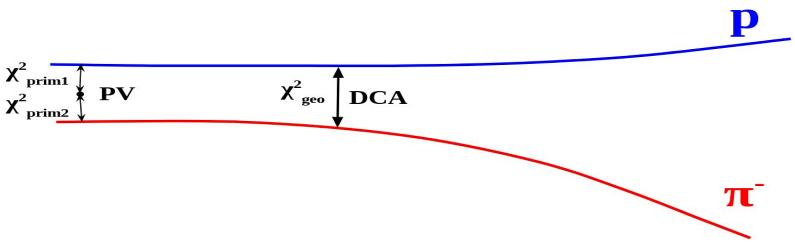
Λ candidates reconstruction:

- Combine all proton and pion tracks
- Signal from a lambda decay
- Combinatorial background



Variables :

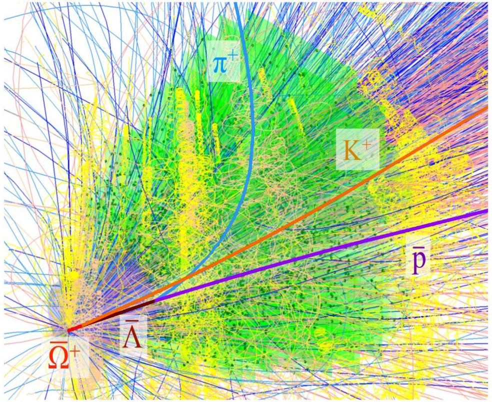
- χ^2_{prim} - squared distance between the daughter track and the primary vertex divided by its Covariance Matrix (CV)
- **DCA** - distance of closest approach between proton & pion tracks
- χ^2_{geo} - squared distance between daughter tracks divided by CV
- **L/ΔL** - distance between primary and secondary vertex divided by CV
- **cos** $\alpha_{p\Lambda}$, **cos** $\alpha_{\Lambda\pi}$, χ^2_{topo} (future investigation)



Selection criteria are optimized multi-dimensionally, non-linearly and in an automatized way with Machine Learning algorithms

Machine Learning (ML)

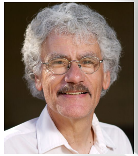
- ML algorithms can perform a specific task by analyzing examples and can learn from data
- Variables associated with decay tracks are analyzed by the algorithm to classify Λ candidates
- Various ML algorithms tested: (SVM, Regression, MLP, Decision Trees, Gradient Boosting (GB), Extreme GB (XGB))
    - XGB works better in terms of performance



CBM Au+Au collisions @ 12*A* GeV/*c*

Gradient Boosting (GB)

Jerome Friedman:



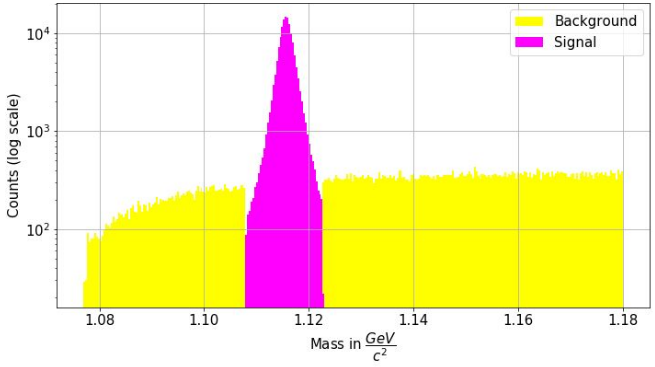
> empirical evidence shows that taking lots of small steps in the right direction results in better predictions with the Testing Data

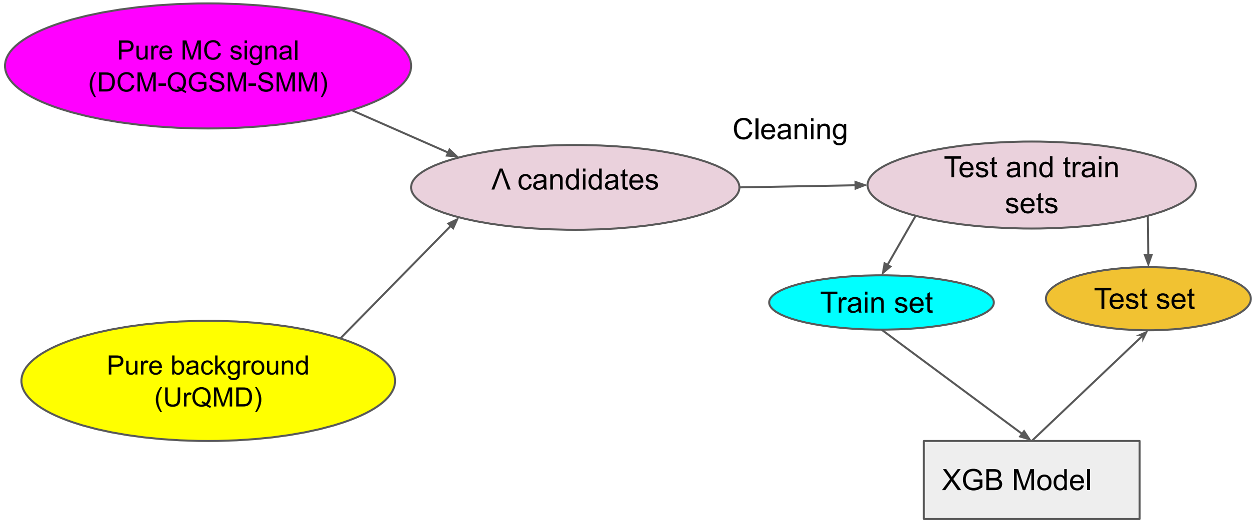
- Boosting combines weak learners (error rate <50%) to make a strong learner (error rate <25%)
- Decision trees (weak learners) are combined together to make a GB algorithm
- In each step a new tree is used to improve the previous prediction
- XGB is an extension of GB with:
    - better control over overfitting
    - parallel processing
    - additional features

Following the implementation of the ALICE Collaboration ML package

XGB implementation for Λ

- UrQMD sample is taken as experimental data (pure background)
- DCM-QGSM-SMM sample as simulated data (pure signal)
- Λ candidates are cleaned by removing nonphysical values
- Λ candidates are divided into train and test samples

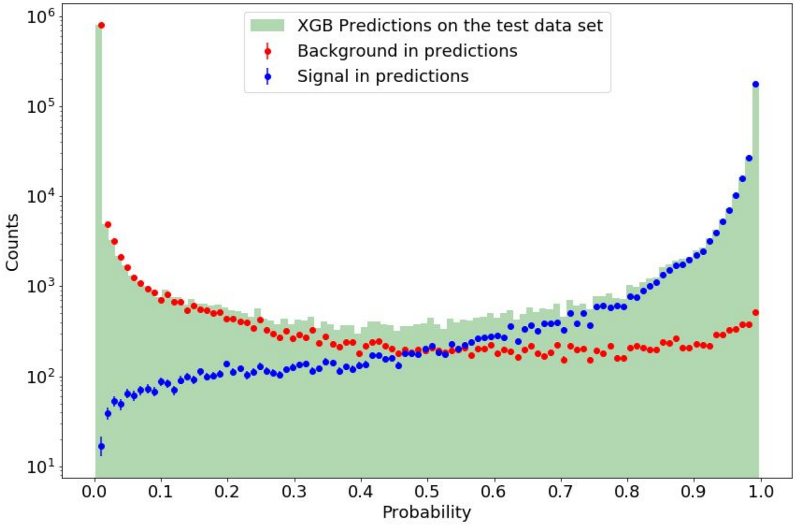




Background is selected ± 5σ away from the Λ peak mean

XGB Model evaluation

Model trained on the train sample is applied to the test sample

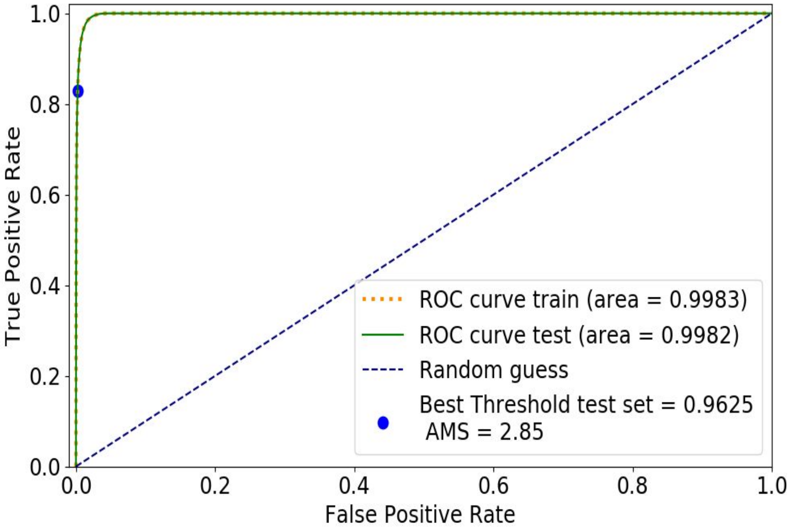


True positive rate = tpr; Signal = S ; Background = B

$$tpr = \frac{S\ classified\ as\ S}{S\ classified\ as\ S + S\ classified\ as\ B}$$

$$fpr = \frac{B\ classified\ as\ S}{B\ classified\ as\ B + B\ classified\ as\ S}$$

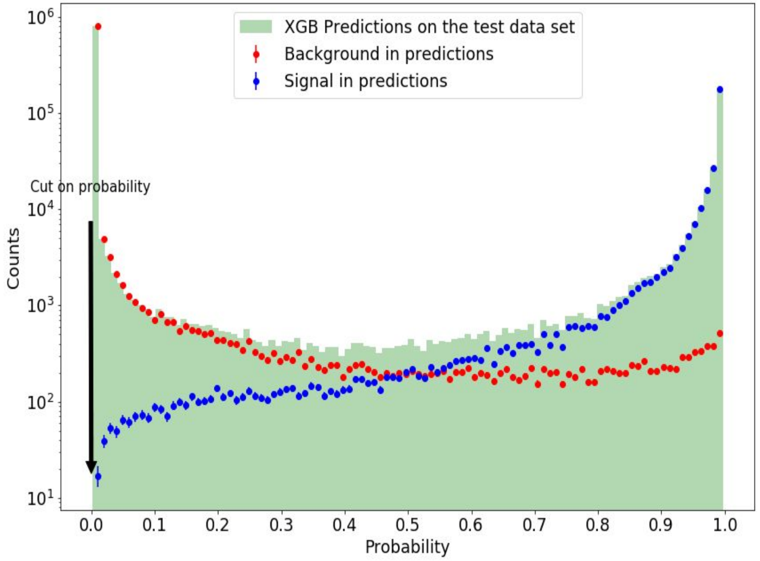
Optimize Λ candidates selection for significance

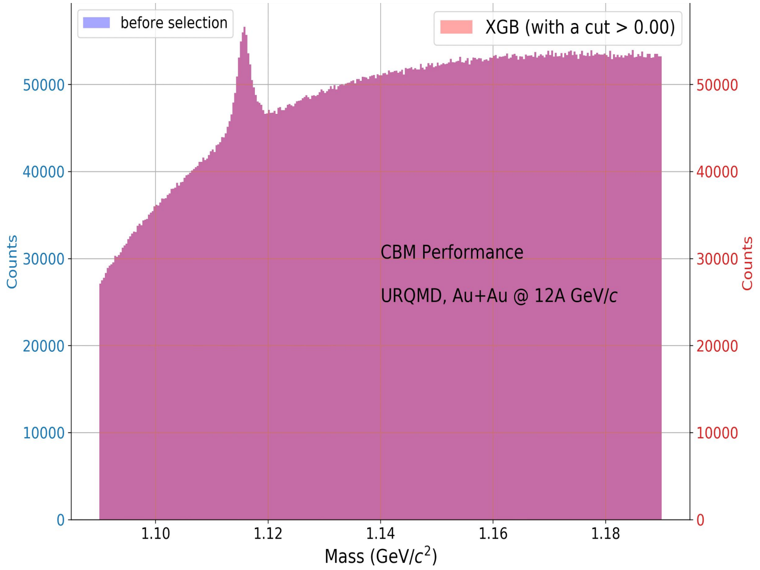


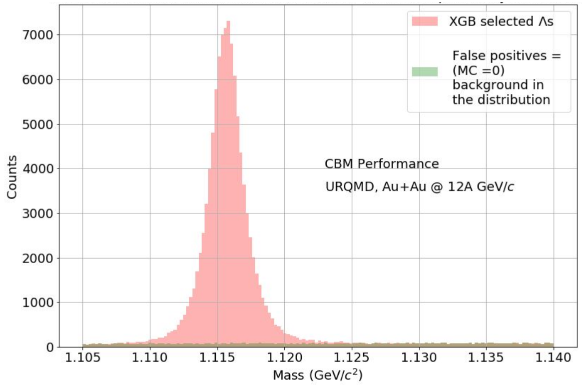
Threshold on the ROC (Receiver Operating Characteristic) curve which maximizes Approximate Median Significance (AMS) on the test sample is our Best Threshold

$$AMS = \sqrt{2\ [(tpr + fpr)\ \log(1 + tpr/fpr) - tpr]}$$

XGB performance for Λ candidates selection



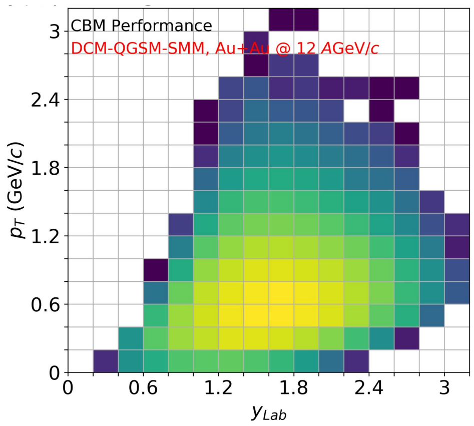




- Preserve smooth background shape after XGB selection
- Optimal XGB probability (0.96) is applied

Yield Extraction: fitting procedure

Divide (p_T,y) phase space into 15x15 bins

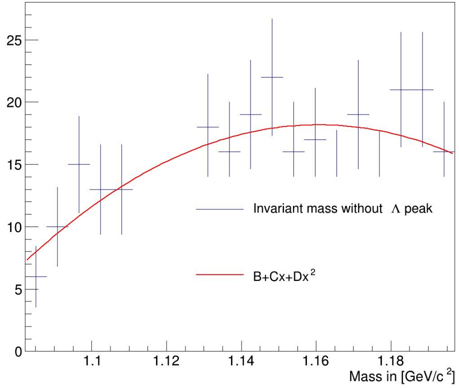


Lorentzian function is used for signal and 2nd order polynomial for background:

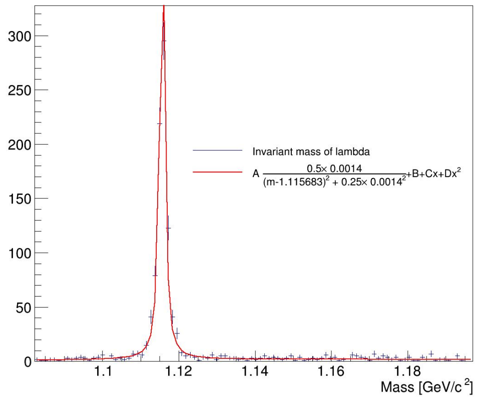
$$Fit(m) = A\frac{(1/2)\Gamma}{(m-m_0)^2+(\Gamma/2)^2} + pol2(m)$$

1. Exclude signal region ($m<1.108$ & $m>1.13$) and fit background with $pol2(m)$
2. Use background fit parameters as initial values for next iteration, where signal (Lorentzian) fit function has fixed $m_0 = 1.1156\text{GeV/c}^2$ and width $\Gamma=0.0014$ GeV
3. Use fit parameters as initial values for unconstrained fit to the whole inv. mass range

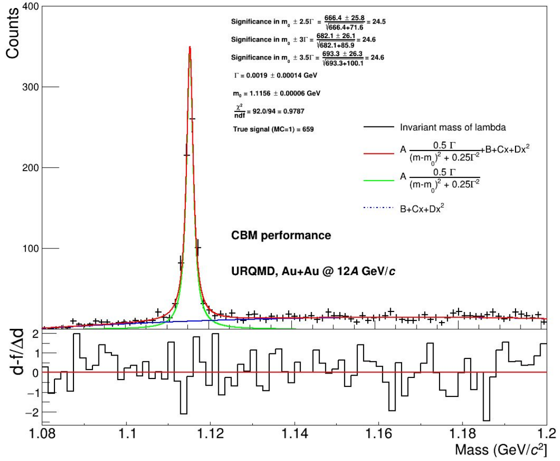
Step 1



Step 2



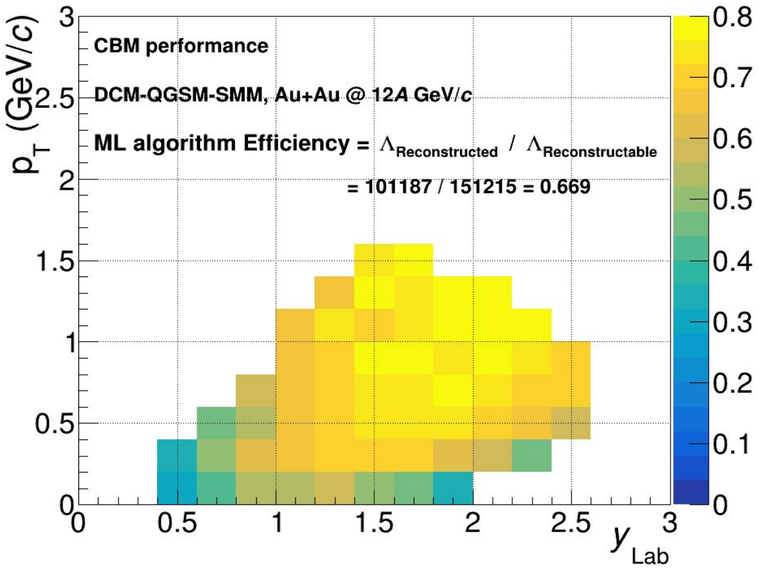
Step 3



Fits for all (p_T,y) bins available here

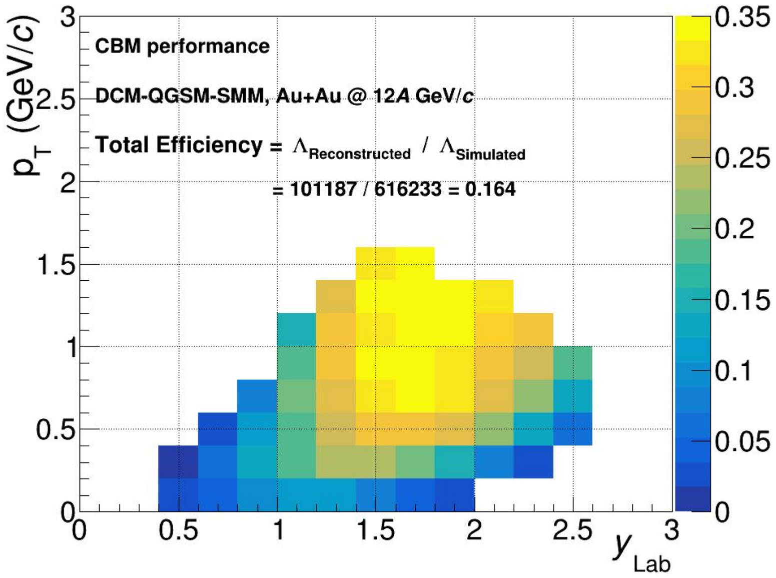
Results: acceptance and efficiency of Λ reconstruction

XGB algorithm efficiency



XGB algorithm shows high efficiency ~ 80%

Acceptance and efficiency

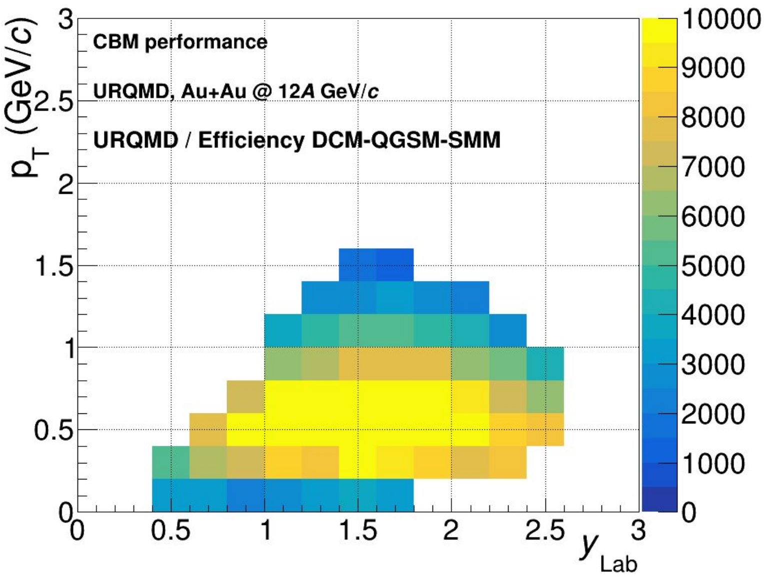


Total reconstruction (acc x efficiency) ~ 35%

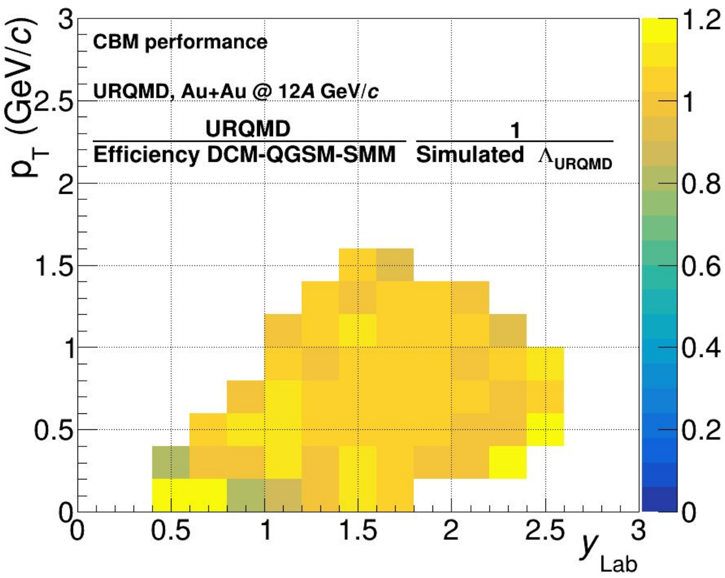
- Reconstructed = reconstructed + selected Λ
- Reconstructable = both daughters are reconstructed

Results: efficiency and acceptance corrected Λ yield

Corrected Λ yield

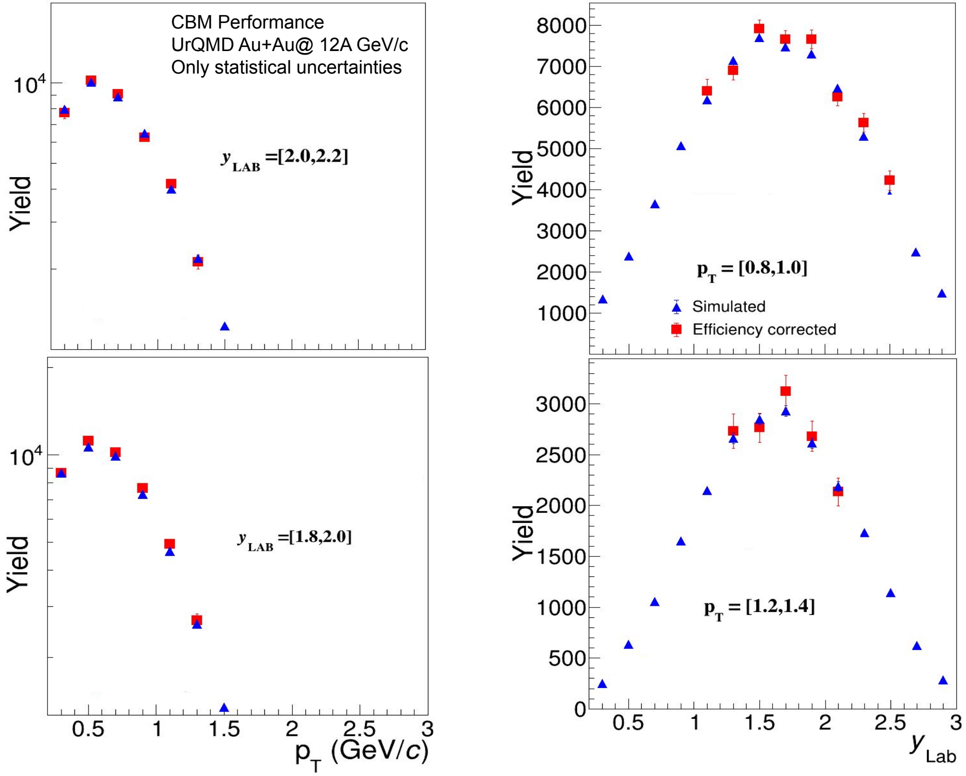


(Corrected Λ yield) / true Λ

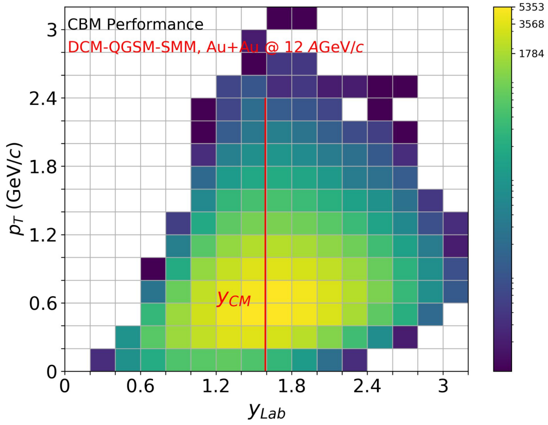


XGB selection, yield extraction procedure, and efficiency correction allow to recover true Λ yield

Results: Efficiency and acceptance corrected yield (p_T/y projections)



True Λ yield



Reconstructed input signal without introducing any bias due to XGB model

Summary and outlook

- Λ baryon reconstruction in CBM@FAIR with Machine Learning techniques
  - Optimization of selection criteria performed via XGB
  - High signal purity and efficiency achieved, preserved smooth background shape
- Λ yield extraction and efficiency
  - Yield, extracted after XGB selection and (acceptance x efficiency) corrected is compatible with initial model spectra

Outlook

- Include more variables to improve XGB selection and signal to background ratio
- Study different Λ samples to minimize overfitting and investigate stability
  - multi-differential (p_T, y, centrality) XGB selection, test and training
- Evaluate systematic uncertainties
  - XGB selection variation
  - Yield extraction: variation of fit ranges, background and signal fit functions
- Apply developed procedure for multi-strange hadrons and hyper-nuclei

The CBM Collaboration

56 institutions, 12 countries, ~450 members

Germany
Darmstadt TU
FAIR
Frankfurt Univ. IKF
Frankfurt Univ. FIAS
Frankfurt Univ. ICS
GSI Darmstadt
Giessen Univ.
Heidelberg Univ. P.I.
Heidelberg Univ. ZITI
HZ Dresden-Rossendorf
KIT Karlsruhe
Münster Univ.
Tübingen Univ.
Wuppertal Univ.
ZIB Berlin

India
Aligarh Muslim Univ.
Bose Inst. Kolkata
Panjab Univ.
Univ. of Jammu
Univ. of Kashmir
Univ. of Calcutta
B.H. Univ. Varanasi
VECC Kolkata
IOP Bhubaneswar
IIT Kharagpur
IIT Indore
Gauhati Univ.

Korea
Pusan Nat. Univ.

Romania
NIPNE Bucharest
Univ. Bucharest

Poland
AGH Krakow
Jag. Univ. Krakow
Warsaw Univ.
Warsaw TU

Russia
IHEP Protvino
INR Troitzk
ITEP Moscow
Kurchatov Inst., Moscow
MEPHI Moscow
PNPI Gatchina
SINP MSU, Moscow

Ukraine
T. Shevchenko Univ. Kiev
Kiev Inst. Nucl. Research

JINR
VBLHEP,

Backup slides

- Well go and check out the following
- Two easy to use jupyter notebooks are available on the following links
  - https://colab.research.google.com/drive/10fD3XNnf_0qt12DiAzIQunbW7IVEqqIE?usp=sharing
  - https://colab.research.google.com/drive/1yV3xboB67trorfOKy1-VLT1kLxYdN6dn?usp=sharing
- our code on github

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ZIB Berlin

India
Aligarh Muslim Univ.
Bose Inst. Kolkata
Panjab Univ.
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Univ. of Kashmir
Univ. of Calcutta
B.H. Univ. Varanasi
VECC Kolkata
IOP Bhubaneswar
IIT Kharagpur
IIT Indore
Gauhati Univ.

Korea
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Romania
NIPNE Bucharest
Univ. Bucharest

Poland
AGH Krakow
Jag. Univ. Krakow
Warsaw Univ.
Warsaw TU

Russia
IHEP Protvino
INR Troitzk
ITEP Moscow
Kurchatov Inst., Moscow
MEPHI Moscow
PNPI Gatchina
SINP MSU, Moscow

Ukraine
T. Shevchenko Univ. Kiev
Kiev Inst. Nucl. Research

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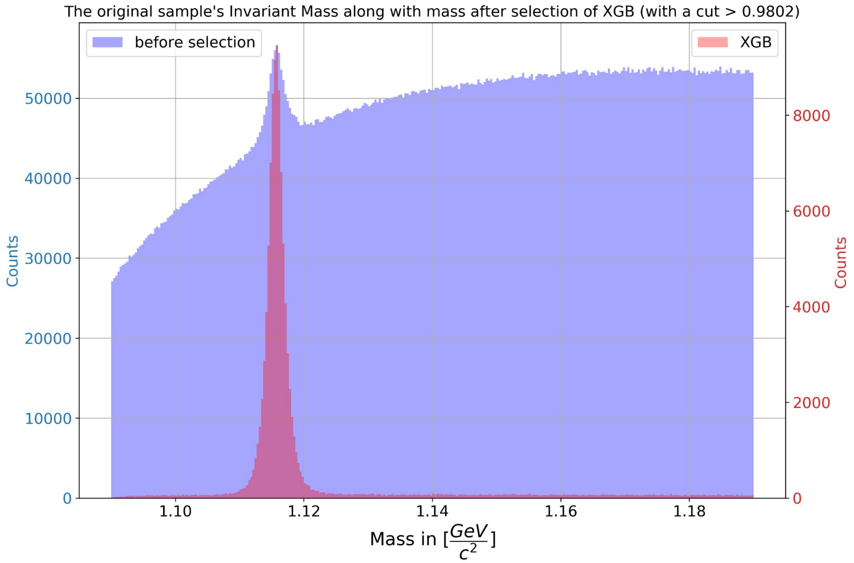
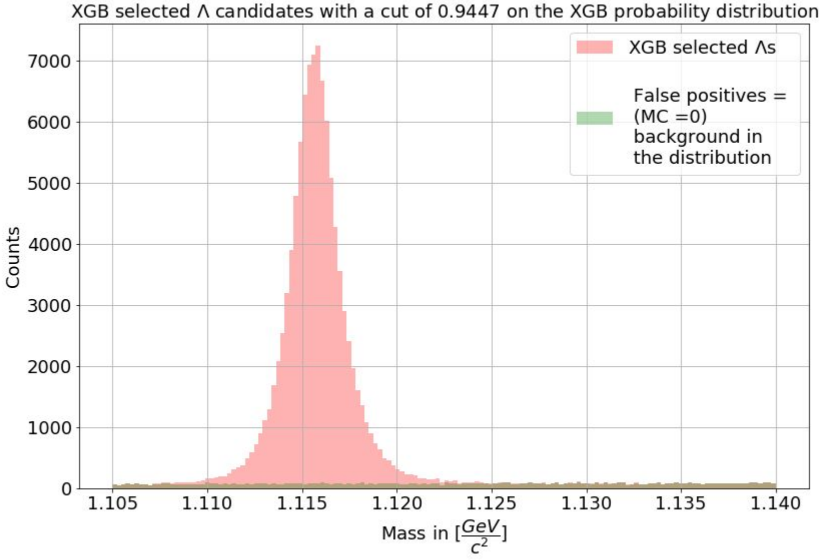
VBLHEP, Dubna
LIT, Dubna

Applying the model on the URQMD data set





The threshold on the ROC curve which maximizes AMS on the test data set is applied on the URQMD 100k events data set

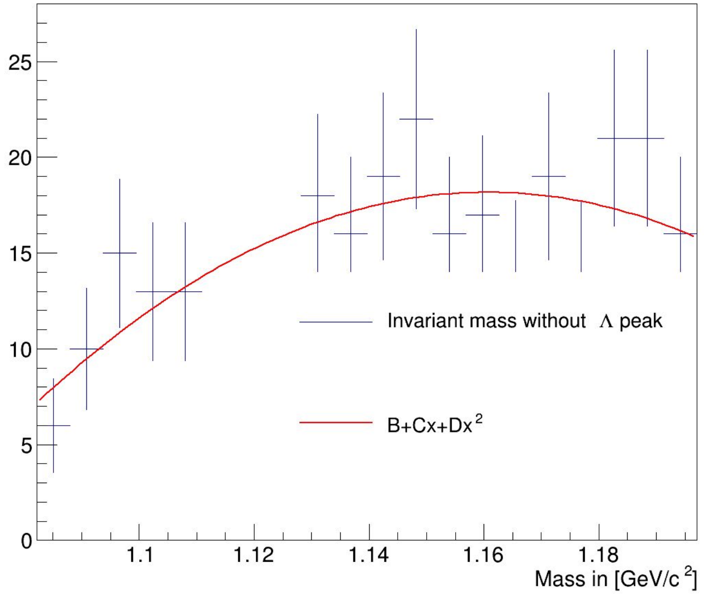
ML does not cut the background in an unexpected way, therefore, not introducing any bias

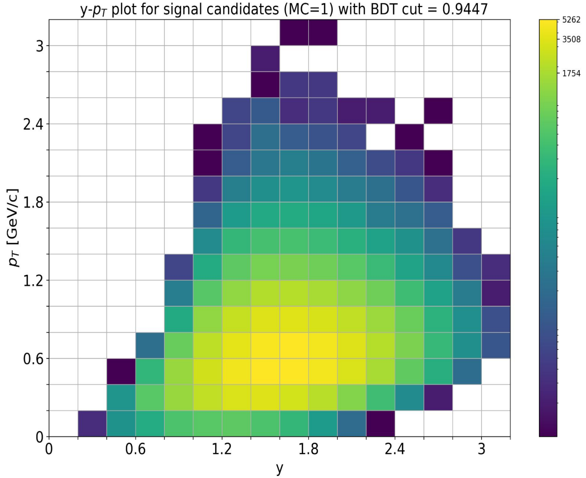
Yield Extraction: The Fitting Procedure

- Divide the data into p_T-y bins
- Applied fitting to all the bins individually
- Apply a mass cut of 1.13<m<1.108 for a 2nd order pol background fit

- Get the fit parameters and use them as initial fit parameters for the whole mass range, the fitting function is $A\frac{0.5\times0.0014}{(m-1.115683)^2+0.25\times0.0014^2}+B+Cm+Dm^2$

- Get the fit parameters and use them as initial parameters
- The final fit function $A\frac{0.5\Gamma}{(m-m_0)^2+0.25\Gamma^2}+B+Cx+Dx^2$

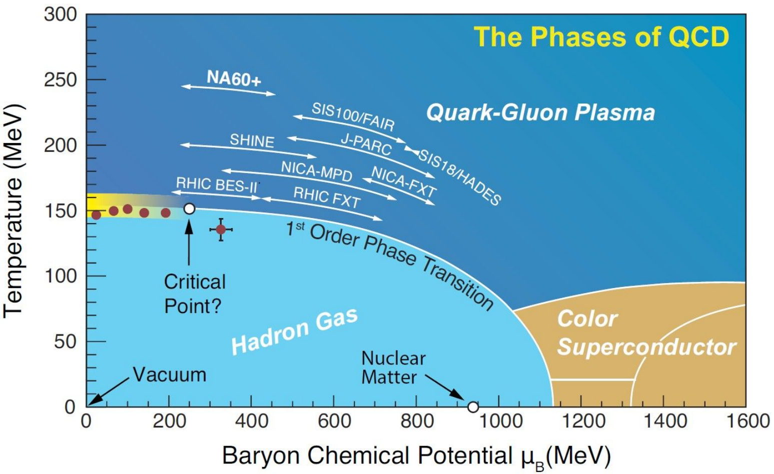




pdf of pT rapidity bins divided data, with fitting

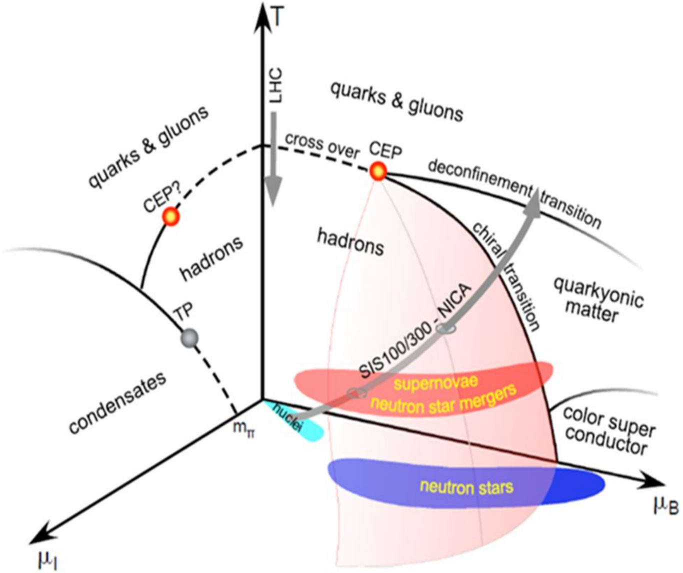
Phase diagram

Alessandro D. Falco, CPOD-2021

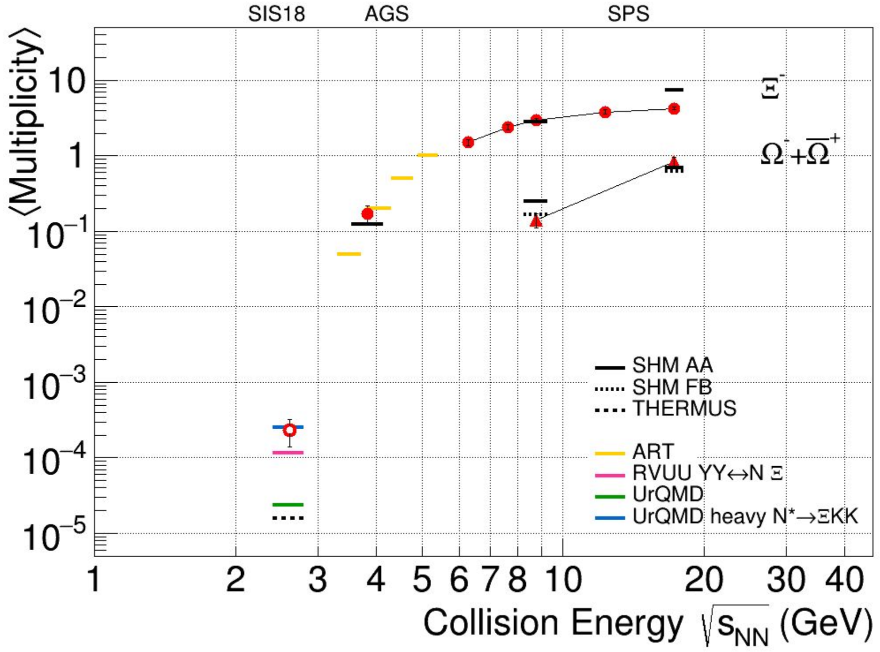


https://indico.cern.ch/event/985460/contributions/4264615/attachments/2211234/3742919/adf_cpod.pdf

NUPECC Long Range Plan 2017



Multi-strange yields

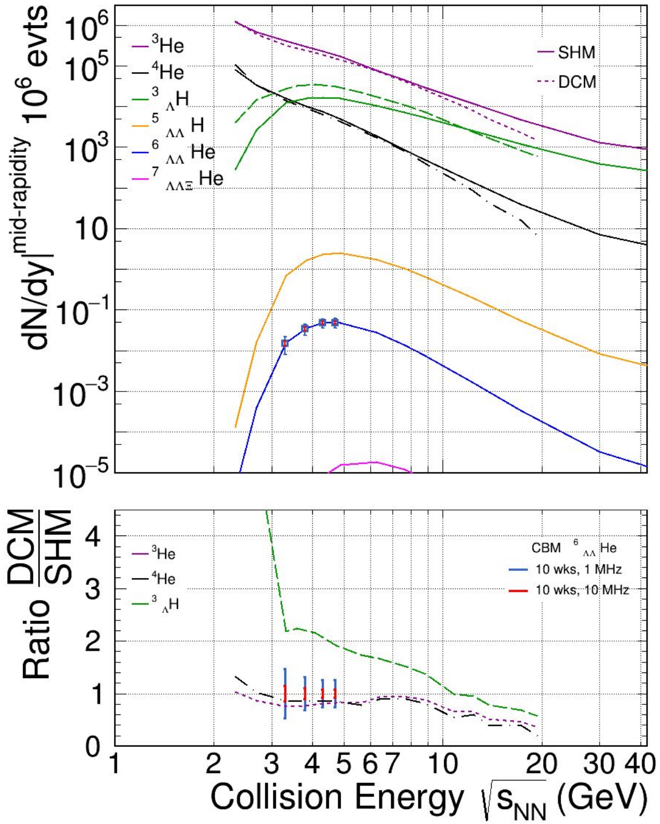


	$\sqrt{s_{NN}}$	Run time	$R_{int,}$ kHz	X^-	X^+	Ω^+
HADES (Ag)	2.6 GeV	4 wks	10	2.5×10^3		
MPD S1	11 GeV	10 wks	5	1.5×10^6	8×10^4	1.5×10^4
CBM	3.8 GeV	1 wk	1000	4×10^9	5×10^6	3.3×10^5

Compilation TG, QM2018

C. Blume, C. Markert, PPNP 66 (2011)
HADES Coll., PLB 778 (2018)
HADES Coll., PRL 103 (2009) 132301
RVUU: F. Li et al., PRC 85 (2012) 064902
UrQMD: J. Steinheimer et al., J.Phys. G43 (2016) 015104
ART: C.M. Ko et al., PLB595 (2004) 158-164
A. Andronic et al., NPA 772 (2006)
F. Becattini et al., PRC69 (2004) 024905
E. Seifert et al., PRC97 (2018)

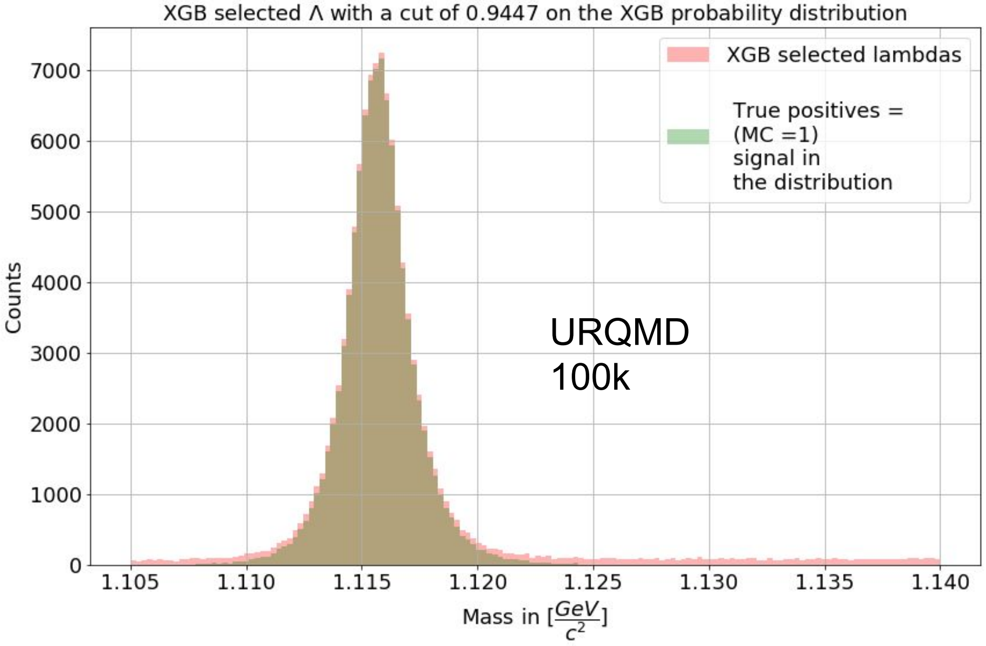
Hypernuclei yield: CBM projections



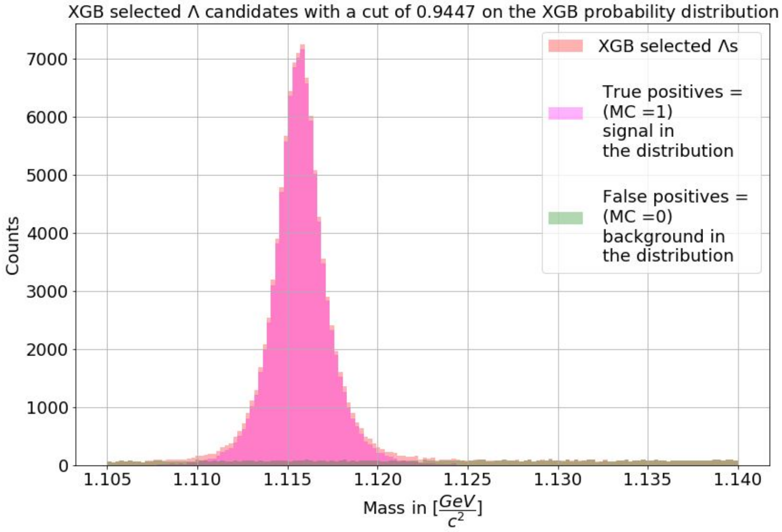
CBM	$\sqrt{s_{NN}}$	Run time	e %	R_{int}	*Duty F %*	Yield
${}^{3}_{L}H$	4.7 GeV	1 wks	19	10 MHz	50	5.5×10^{9}
${}^{4}_{L}He$	4.7 GeV	1 wks	15	10 MHz	50	2.7×10^{8}
${}^{6}_{LL}He$	4.7 GeV	10 wks	1	10 MHz	50	146

Blue and red lines are the precision with which we can measure yields assuming various scenario

Compilation TG, QM2018


XGB selected Λ with a cut of 0.9447 on the XGB probability distribution
XGB selected lambdas
True positives = (MC =1) signal in the distribution
Counts
Mass in [$\frac{GeV}{c^2}$]

URQMD
100k


XGB selected Λ candidates with a cut of 0.9447 on the XGB probability distribution
XGB selected Λs
True positives = (MC =1) signal in the distribution
False positives = (MC =0) background in the distribution
Counts
Mass in [$\frac{GeV}{c^2}$]

Data cleaning/skimming

The data contains some entries which does not make sense, so we clean it by pre cuts

p<20	pz > 0	$0<X^2$primpos $< 1x10^6$	cosinepos > 0.5	0<l/dl<8000
pT<3	-1< z <80	$0<X^2$geo $< 10^3$	cosineneg>0.1	abs (x) < 50
1<eta<6.5	0<distance< 100	$0<X^2$primneg$<3x10^7$	Remove nan	abs (y) < 50
1.07<mass<2.5	l<80	$0<X^2$topo$< 10^5$	infinite values	0<l/dl<8000

Removes 3.2 % signal candidates from a set of 10k events (AU 12AGeV mbias URQMD)

But also removes 57 % background

mass can't be negative and we select mass greater or equal to the mass of proton and pion

Fixed target experiment, target position: (0,0,0)

X^2 can't be negative

Gradient boost: regressor, in simple words

- GB: Trees predicting residuals and a learning rate to prevent overfitting

2 samples

		X_1	X_2
variables	$Variable_1$	1	2
	$Variable_2$	3	4
	$Variable_3$	5	6
target	y	1	0
First prediction	Average of y = y’	0.5	0.5
Pseudo residuals	Residual = y - y’	0.5	-0.5
	$Tree=h_1$	0.5	-0.5
2nd prediction	Predicted=y’’ =y’+tree	1	0
controls	Learning rate=0.1	0.1	0.1
3rd prediction	New prediction=y’’’=y’+ 0.1* (tree)	0.55	0.45

Using these

Predicts this

Over fits: Low bias High variance

Step towards the main target

New residuals=y-y’’’	0.45	-0.45
Tree 2 = h_2	0.45	-0.45
Newest prediction= y’’’’ = y’’’+0.1 * (tree 2)	0.595	0.405
Goes on		

Further reading
https://xgboost.readthedocs.io/en/latest/tutorials/model.html

Detailed Explanation GB

1. Input: Data $\{(x_i,y_i)\}^n_{i=1}$ and a differentiable **Loss Function** $L(y_i,F(x))$

   If we choose $L = \frac{1}{2}\ \{ y_i - F(x) \}^2$

   Then

   $d/dF(x) \{\frac{1}{2}\ \{ y_i - F(x) \}^2\} = (-(y_i - F(x))) = F(x) - y_i = -(\text{residuals})$

   We minimize this $F(x)-y_i$ for all values

$$\sum_i^n F(x) - y_i = 0$$

   A predicted value which can minimize this sum is the average

$$F(x) = \frac{\sum_i^n y_i}{n}$$ = average = $F_o(x)$

2. Fit m = 1 upto m=M number of trees
   a. Compute $r_{im} = -\left[\frac{\partial L(y_i,F(x_i))}{\partial F(x_i)}\right]$ at $F(x) = F_{m-1}(x)$ for i =1,...,n

since first iteration so $F(x)=F_o(x)$

$-d/dF(x) \{\frac{1}{2}\ \{ y_i - F(x) \}^2\} = -(-(y_i - F(x))) = y_i - F(x)$ Residuals

Detailed Explanation GB

- Fit m = 1 upto m=M trees
  a. Compute $r_{im} = -\left[\frac{\partial L(y_i, F(x_i))}{\partial F(x_i)}\right]$ at $F(x) = F_{m-1}(x)$ for i =1,...,n
  b. Fit a regression tree to the r_{im} values and create terminal regions R_{jm}, for $j=1,..,J_m$ (leaves but not with output values)
  c. Determine the output value for each leaf:
     for $j=1,..,J_m$ compute
     again will turn out to be average if $L = ½ \{ y_i - F(x) \}^2$
  d. Update $\gamma_{jm} = argmin \sum_{x_i \epsilon R_{ij}} L(y_i, F_{m-1}(x_i) + \gamma)$
     v is learning rate and the equation in the box is the tree we just made
     We started with F_0 so

$$F_m(x) = F_{m-1}(x) + \nu \boxed{\sum_{j=1}^{J_m} \gamma_{jm} I(x \epsilon R_{jm})}$$

- Output $F_M(x)$ (The final classifier)

$$F_1(x) = F_0(x) + \nu \sum_{j=1}^{J_m} \gamma_{jm} I(x \epsilon R_{jm})$$