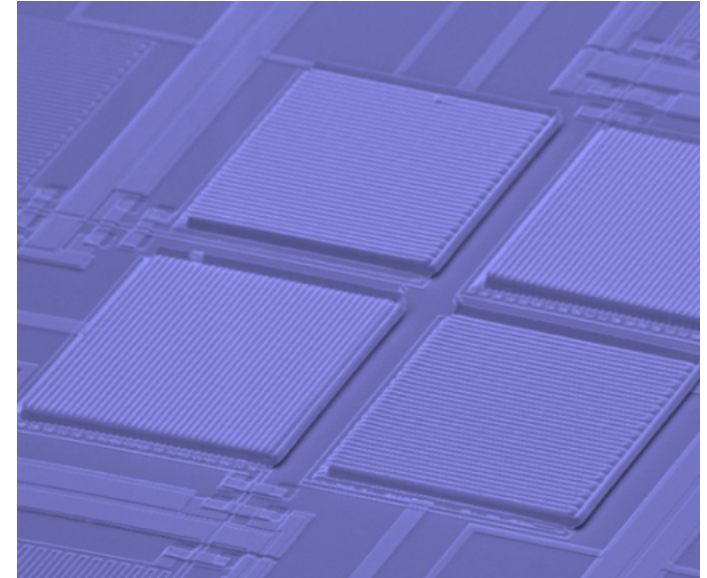
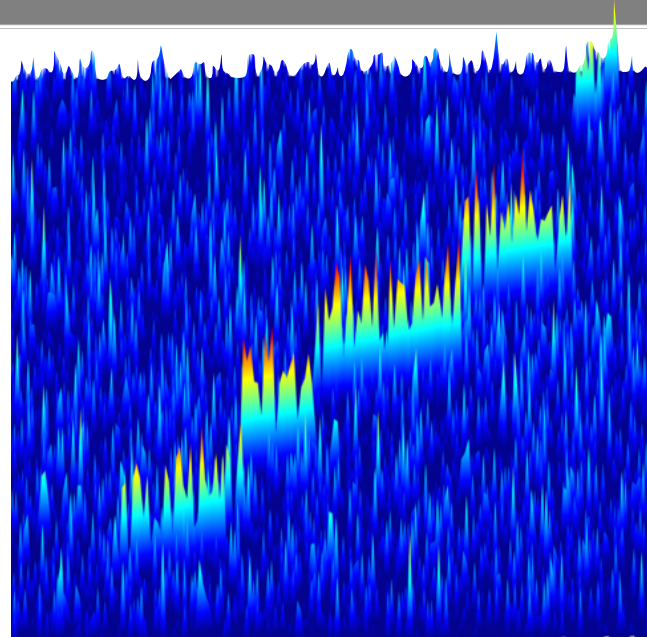


Direct probes of neutrino mass

β -decay and electron capture

KATHRIN VALERIUS | KIT, Institute for Nuclear Physics



What's on the menu?

■ I. Introduction

Why measure the ν mass scale?

■ II. Overview

Methods: How can we access the ν mass scale?

■ III. Main

Direct kinematic neutrino mass measurement using weak decays:
Reach of current experiments and prospects for the future

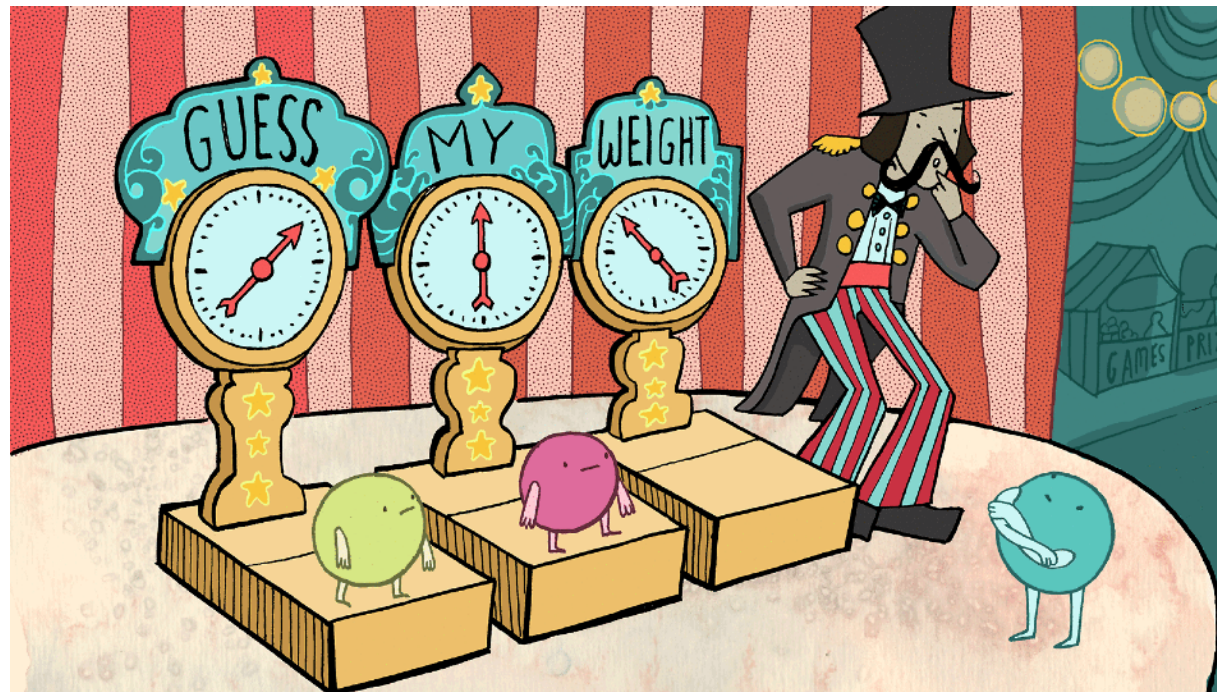
■ IV. Extra

Other interesting physics
in precision weak decays



I. Motivation

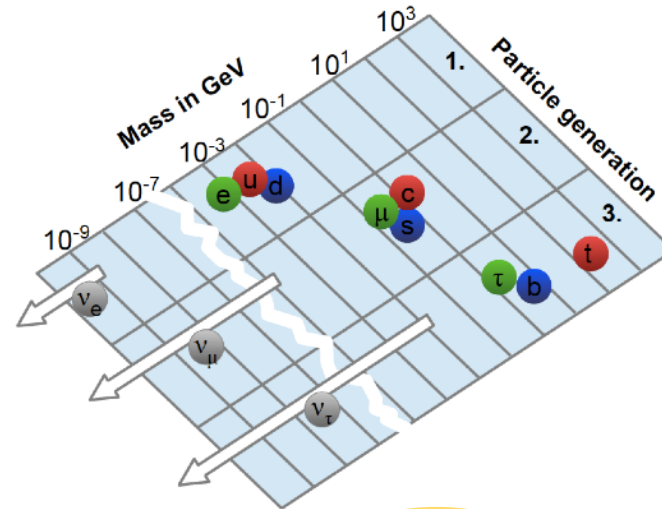
Why is the neutrino mass scale important?



[symmetrymagazine.org]

The role of massive neutrinos

Mass generation: new concepts

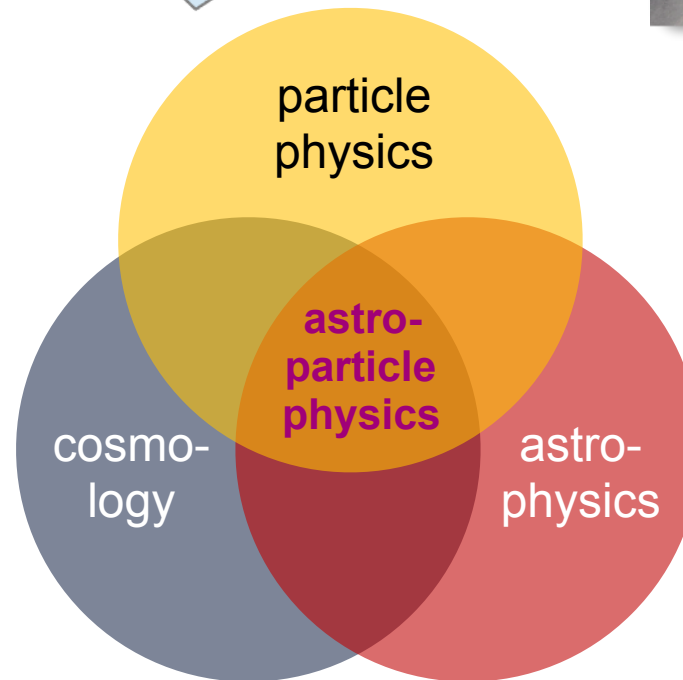
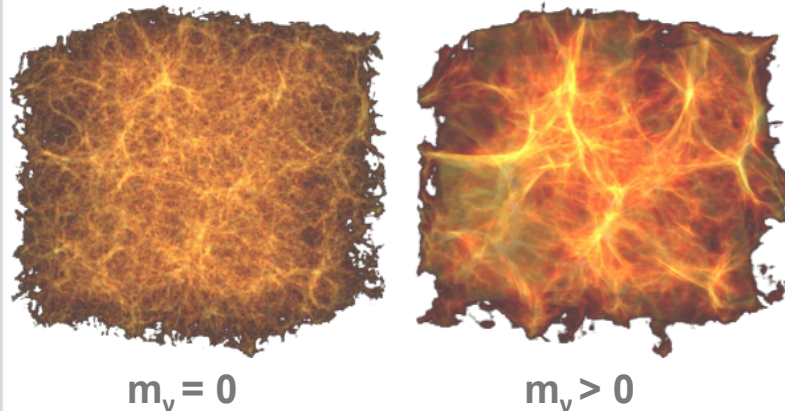


Mass measurement: new concepts

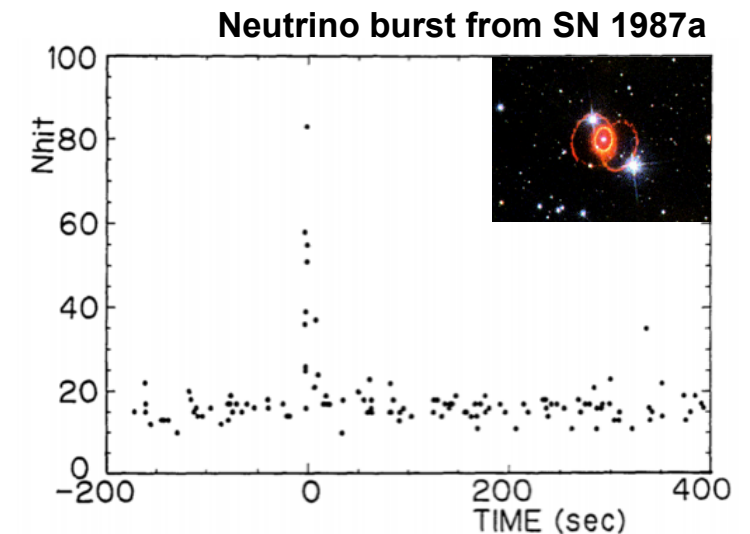


Massive neutrinos as “cosmic architects”

336 ν / cm^3 in the Universe today



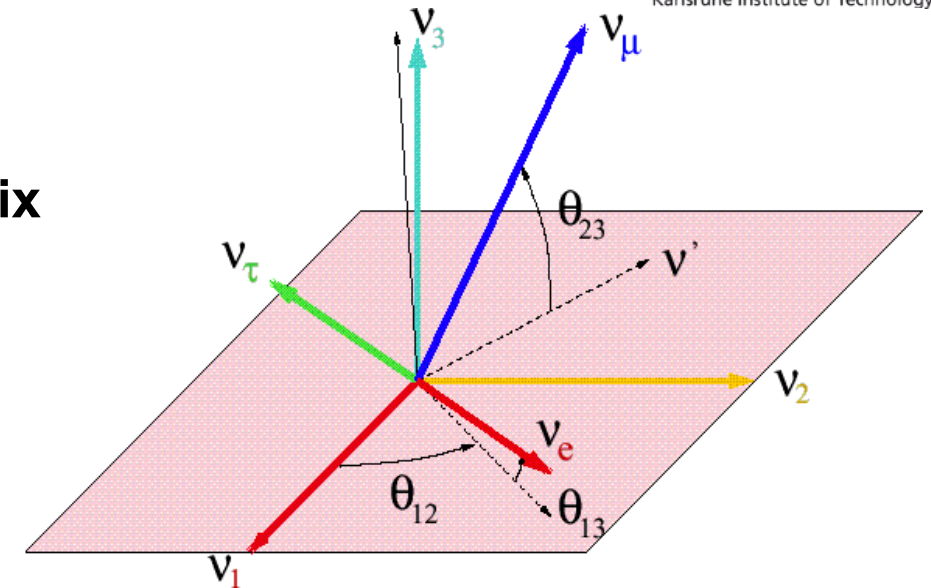
Understanding astrophysical processes



Three-flavour neutrino oscillations



3 x 3 unitary mixing matrix
analogous to CKM:
“Pontecorvo Maki
Nakagawa Sakata”
(PMNS)



- 3 mixing angles: θ_{12} , θ_{23} , θ_{13} ,
- 1 Dirac phase: δ , possibly 2 Majorana phases $\alpha_{1,2}$
- 2 independent “splittings” Δm^2 and lightest mass m_0

→ Several lectures
at this School

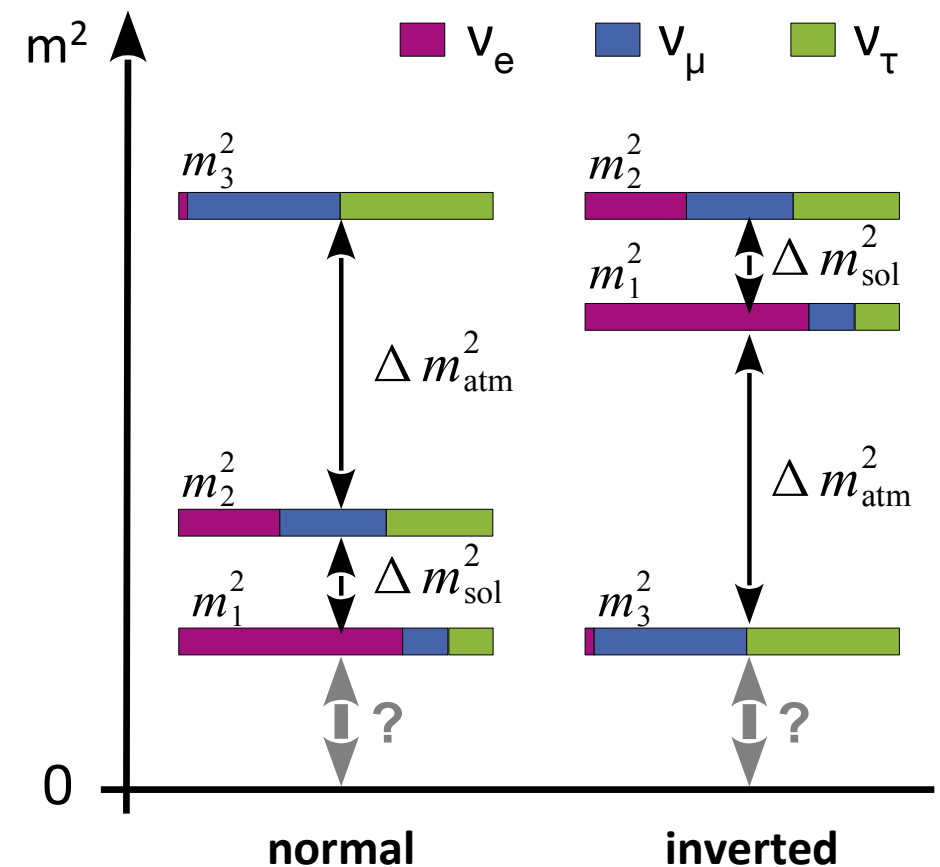
$$U = \begin{pmatrix} 1 & 0 & 0 \\ 0 & \cos\theta_{23} & \sin\theta_{23} \\ 0 & -\sin\theta_{23} & \cos\theta_{23} \end{pmatrix} \cdot \begin{pmatrix} \cos\theta_{13} & 0 & \sin\theta_{13}e^{-i\delta} \\ 0 & 1 & 0 \\ -\sin\theta_{13}e^{-i\delta} & 0 & \cos\theta_{13} \end{pmatrix} \cdot \begin{pmatrix} \cos\theta_{12} & \sin\theta_{12} & 0 \\ -\sin\theta_{12} & \cos\theta_{12} & 0 \\ 0 & 0 & 1 \end{pmatrix}$$

The big picture: What have we learned from oscillation data?

→ Several lectures
at this School

- Large neutrino mixing and tiny neutrino masses $m(\nu_i) \neq 0$:
- Non-zero θ_{13} measured
- Hints for non-maximal $\theta_{23} \neq \pi/4$
- Expectation of CP-violating phase δ
- Majorana vs Dirac nature of neutrinos?
- Absolute mass scale cannot be determined from oscillations
- Expect $m_\nu > 10$ meV for normal ordering, $m_\nu > 50$ meV for inverted ordering

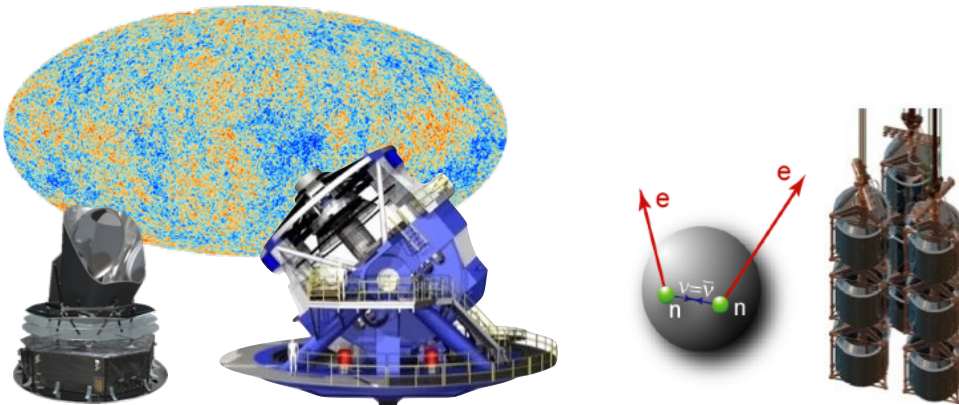
New!
BSM physics!



II. How can we measure neutrino masses?

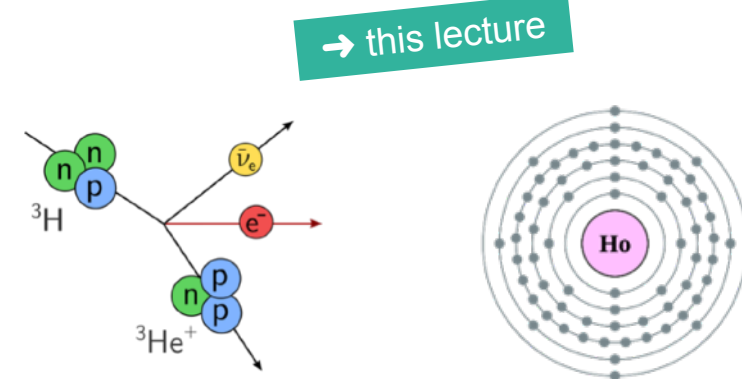
Indirect (model-dependent) probes:

- Observational cosmology → R. Battye
- Search for $0\nu\beta\beta$ → A. Giuliani, J. Menendez



Direct (less model-dep.) probes:

- Supernova ν time-of-flight
- Kinematics of weak decays (^3H β -decay, ^{163}Ho electron capture)



Overview: Neutrino mass observables

Cosmology

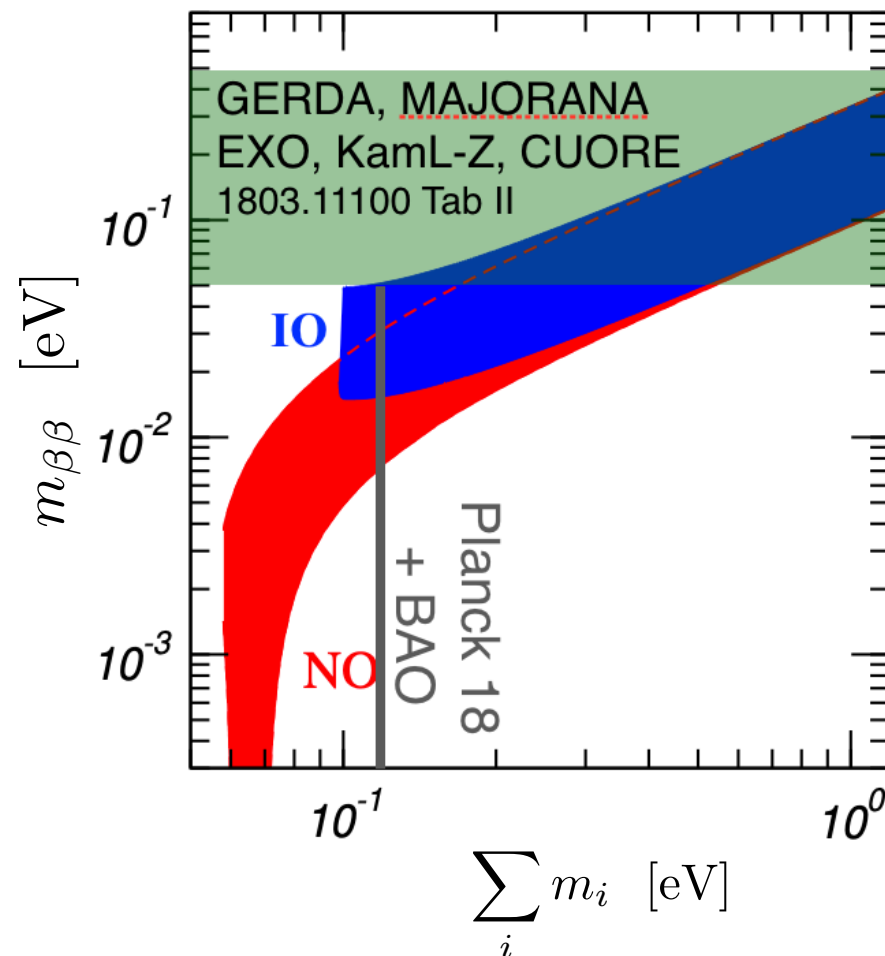
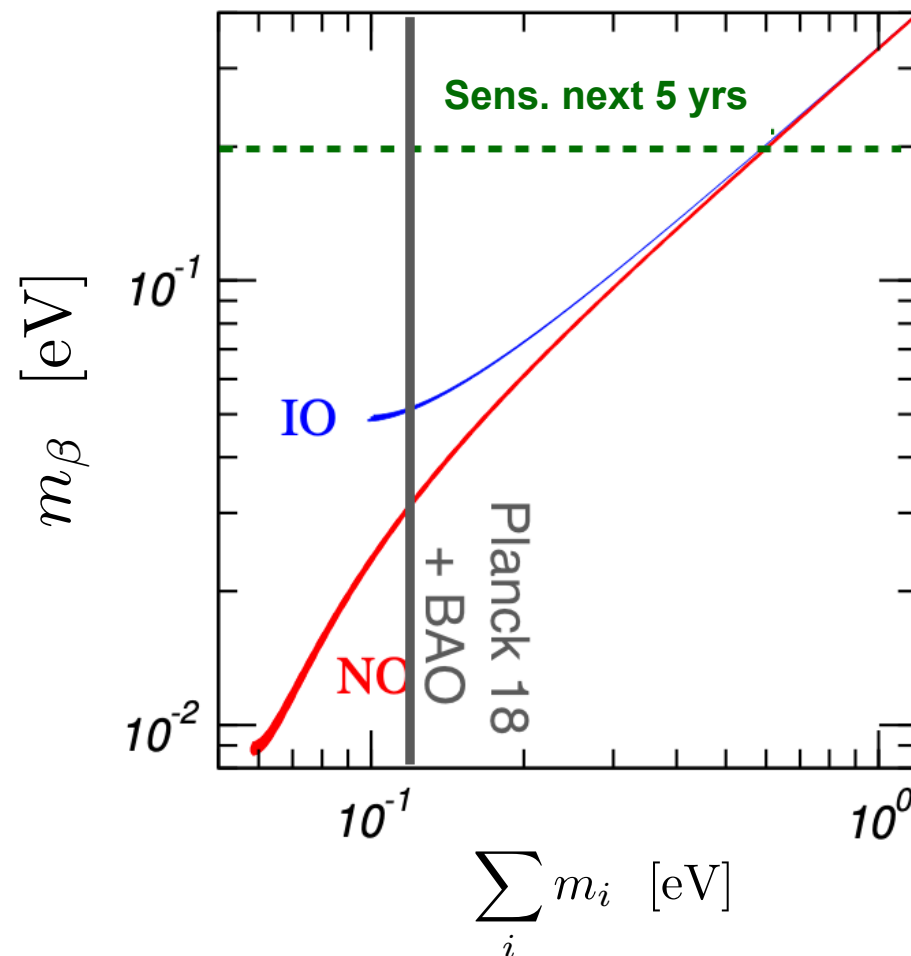
$$M_\nu = \sum_i m_i$$

$0\nu\beta\beta$ decay

$$m_{\beta\beta}^2 = \left| \sum_i U_{ei}^2 m_i \right|^2$$

β decay and EC

$$m_\beta^2 = \sum_i |U_{ei}|^2 m_i^2$$

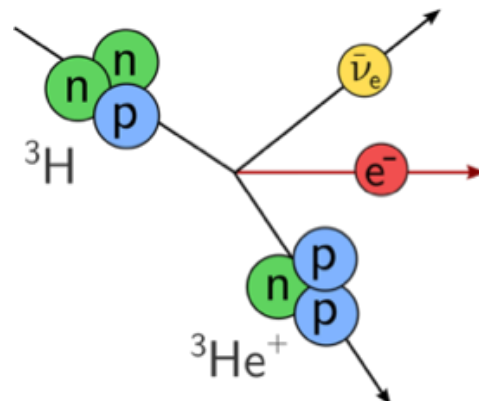
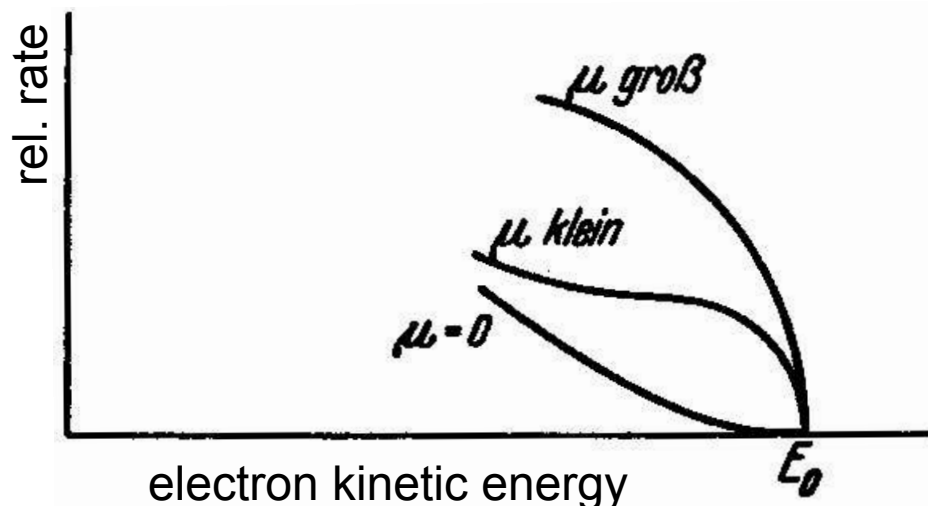


NuFIT 4.0 (2018)
from Th. Schwetz-Mangold

Neutrino mass from β -decay kinematics

Theory: Starting from Fermi's seminal paper (Z. Phys., 1934)

Experiment: Tritium identified early on as most suitable β -emitter



NATURE

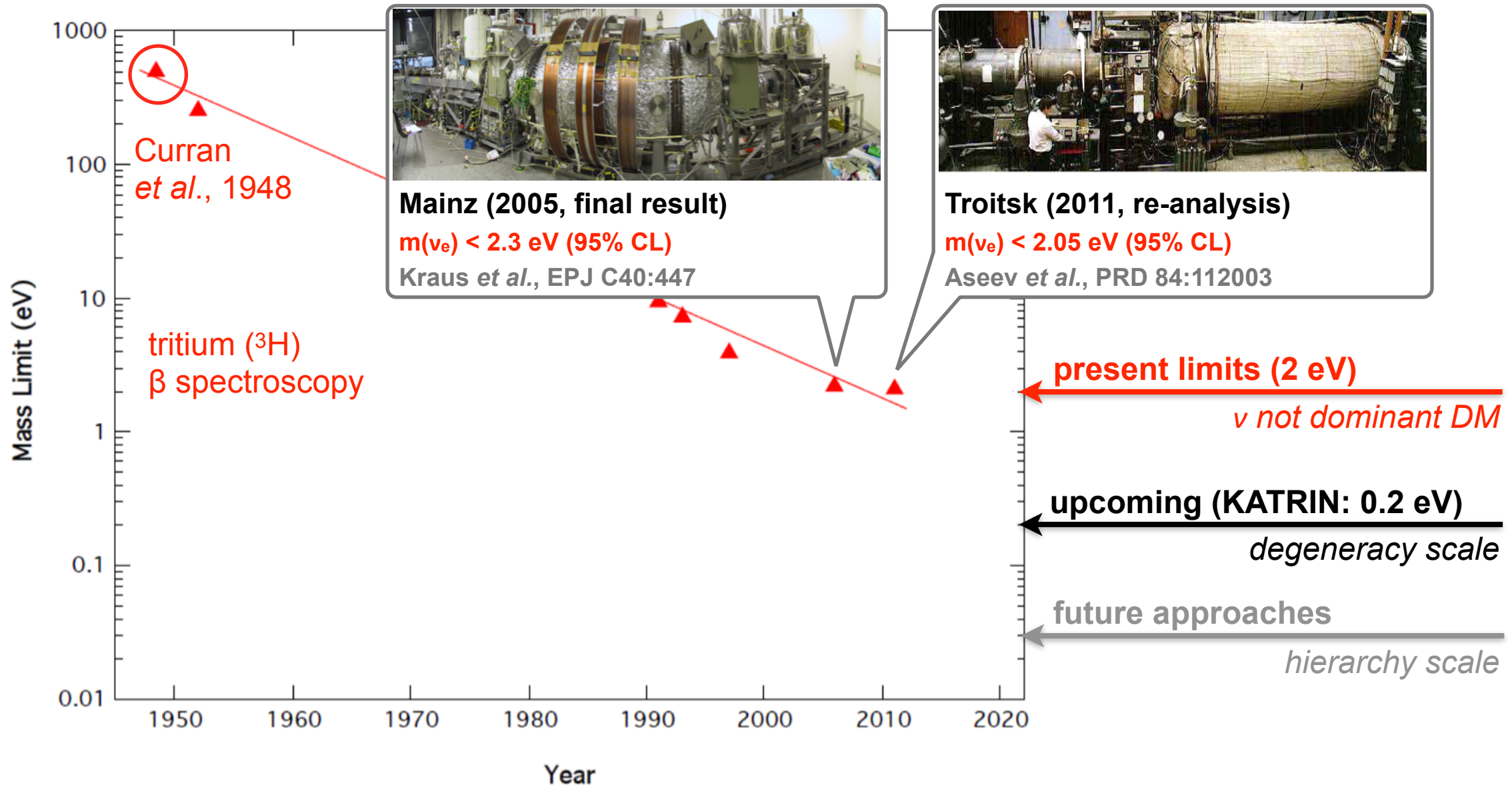
August 21, 1948 Vol. 162

Beta Spectrum of Tritium

THE β -spectrum of tritium (${}^3\text{H}$) is of particular interest because: (1) the relatively simple structure of the ${}^3\text{H}$ nucleus makes it well suited to a test of the Fermi theory of β -decay; (2) the unusually low energy of the β -particles means that the shape of the spectrum near the upper limit is an extremely sensitive function of the rest mass of the neutrino if the Fermi theory is confirmed; (3) a theoretical discrepancy¹ exists between the half-life² and the upper energy limit, as recently measured³; (4) the mass difference (${}^3\text{H} - {}^3\text{He}$) can be accurately determined.

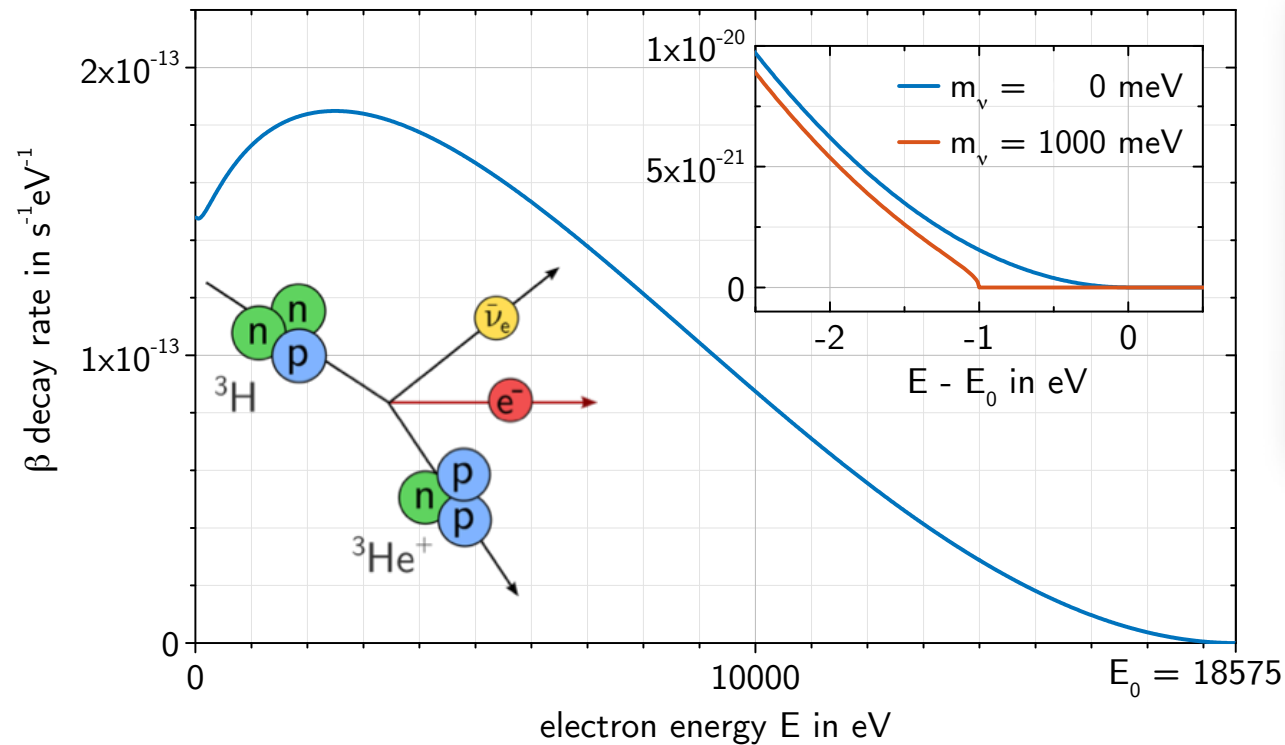
Curran *et al.*

Neutrino mass from β -decay kinematics



Neutrino mass from β -decay kinematics

$$\frac{d\Gamma}{dE} = K \cdot F(Z, E) \cdot \underbrace{p}_{p_e} \cdot \underbrace{E_{\text{tot}}}_{E_e} \cdot \underbrace{(E_0 - E)}_{E_\nu} \cdot \underbrace{\sum_i |U_{ei}|^2 \sqrt{(E_0 - E)^2 - m_i^2}}_{p_\nu}$$



Key requirements & technologies

- Low-endpoint β /EC nuclide:
 $E_0 = 18.6$ keV for ${}^3\text{H}$
- High-activity source:
 $T_{1/2} = 12.3$ yr for ${}^3\text{H}$
- Excellent energy resolution

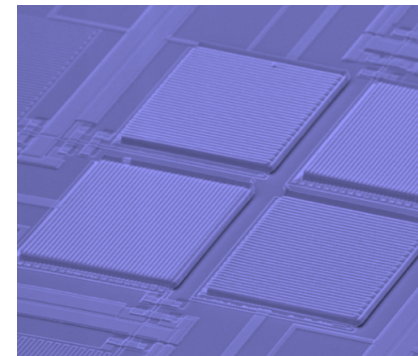
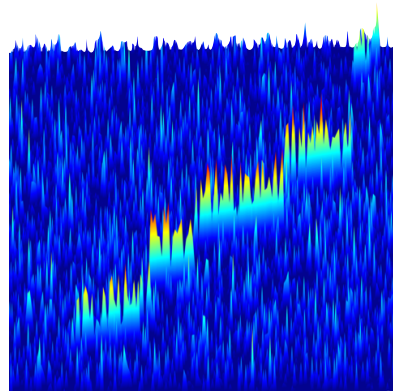
Kinematic measurement can probe for **heavier neutrino states**

→ eV-scale and keV-scale sterile ν

Spectral distortion measures **“effective” mass square:**

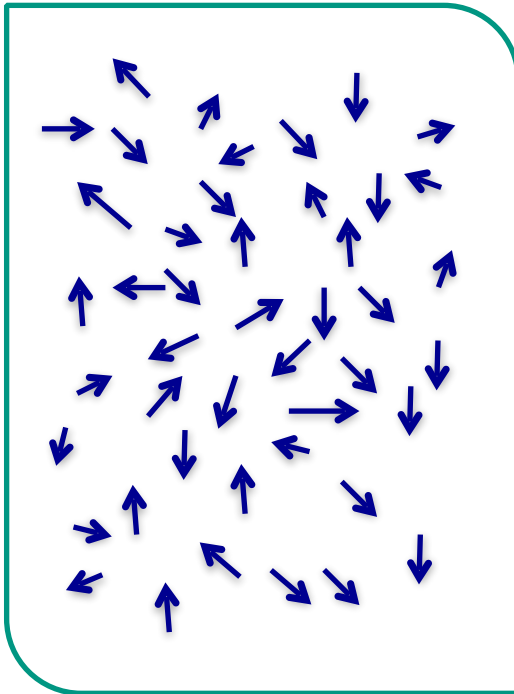
$$m^2(\nu_e) := \sum_i |U_{ei}|^2 m_i^2$$

III. Experimental techniques for direct ν -mass measurement

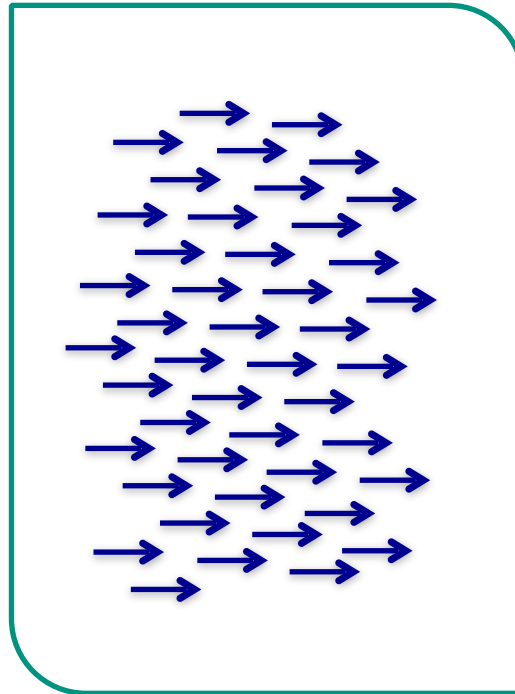


High-resolution spectroscopy with electric and magnetic fields

Source: isotropic emission of β -electrons



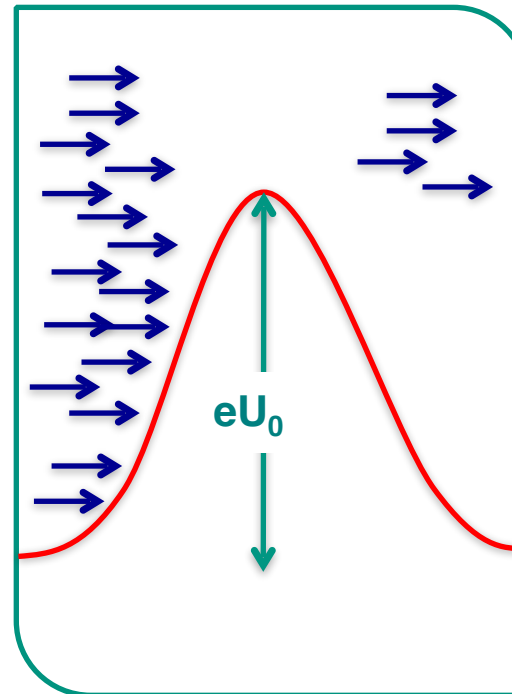
Transport: magn. guiding and adiabatic collimation



$$\mu = \frac{E_{\perp}}{B} = \text{const.}$$

$$E_{\perp} \longrightarrow E_{\parallel}$$

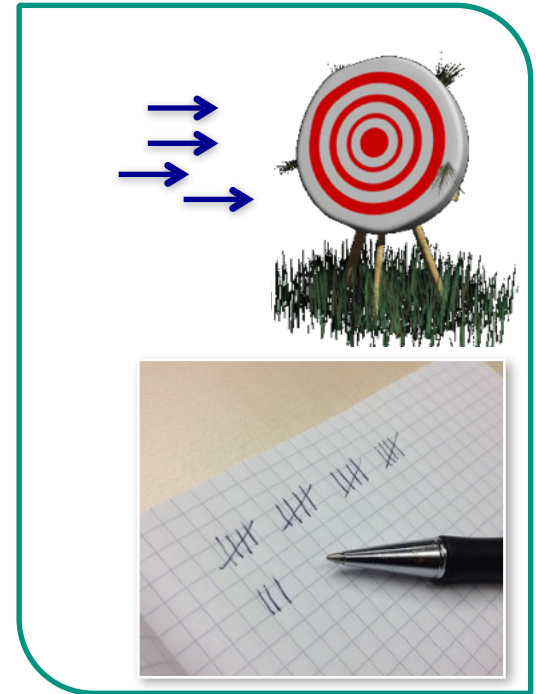
Spectrometer: variable electrostatic filter



high-pass filter for $E_{\parallel} > eU_0$

$$\frac{\Delta E}{E} = \frac{B_{\min}}{B_{\max}}$$

Detector: electron counter

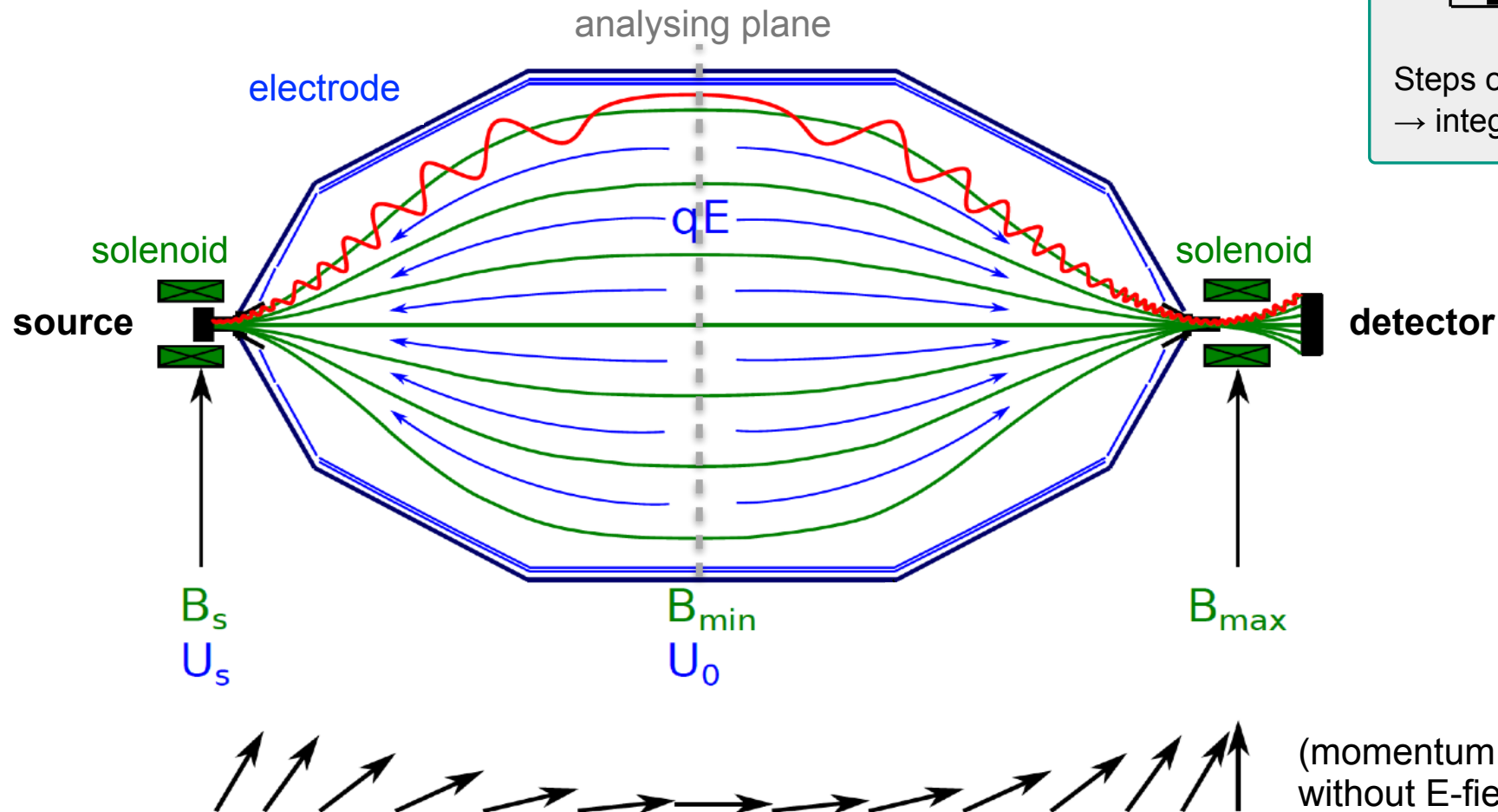


MAC-E filter technique

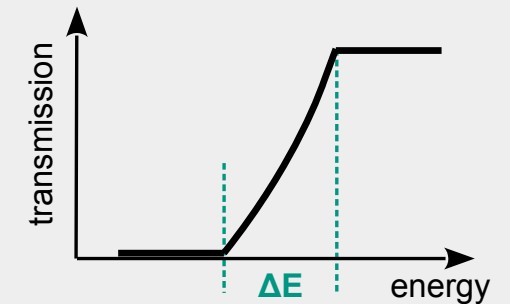
Magnetic Adiabatic Collimation & Electrostatic Filter

- integrating electrostatic filter ($E_{\text{kin}} > eU_0$)
- “clean” analytic response function
- $\Delta E < 1 \text{ eV}$ at 18.6 keV

$$\frac{\Delta E}{E} = \frac{B_{\min}}{B_{\max}}$$



Sharp high-pass filter:



Steps of filter potential

→ integrated β spectrum

The Karlsruhe Tritium Neutrino Experiment: working principle

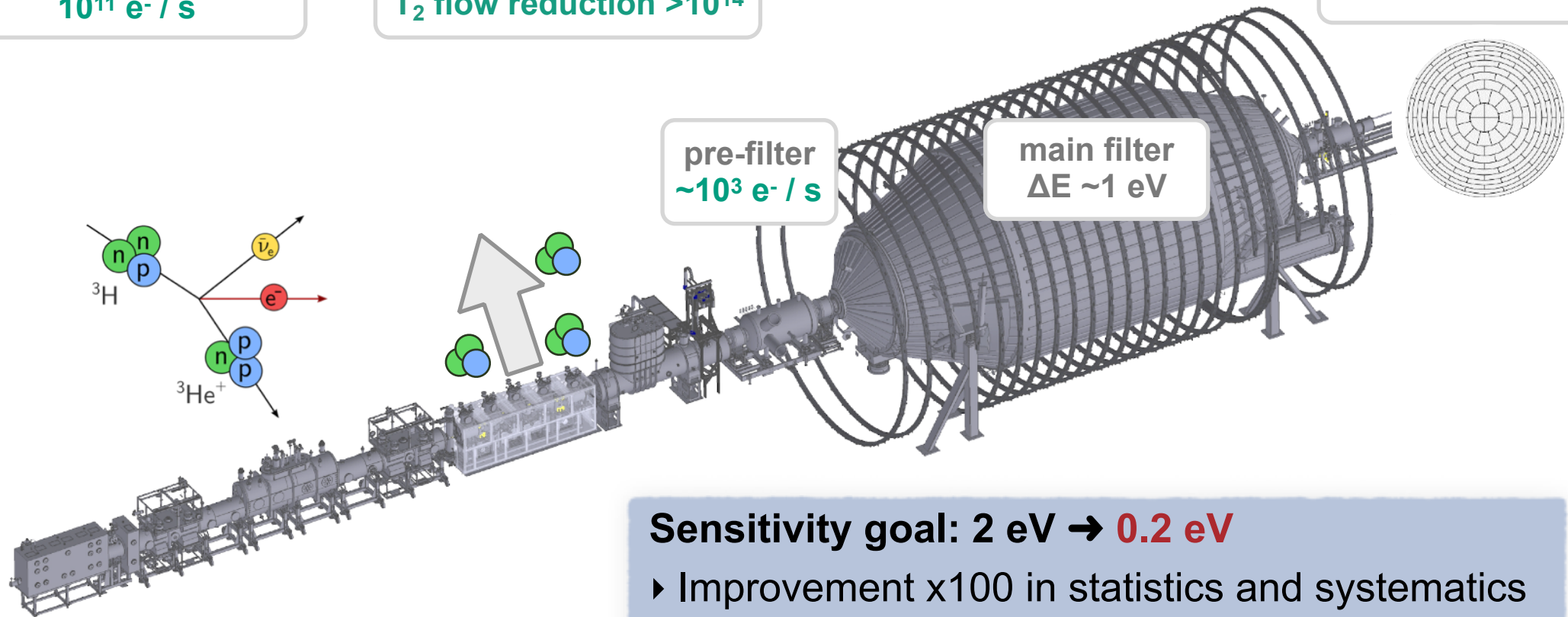


windowless
gaseous T_2 source
 $10^{11} \text{ e}^- / \text{s}$

tritium pumping
& e^- transport
 T_2 flow reduction $>10^{14}$

high-pass energy filters

counting detector
 $< 1 \text{ e}^- / \text{s}$



Sensitivity goal: $2 \text{ eV} \rightarrow 0.2 \text{ eV}$

- Improvement x100 in statistics and systematics
- Background comparable to predecessors
- Scaled-up dimensions; 70 m total beam line

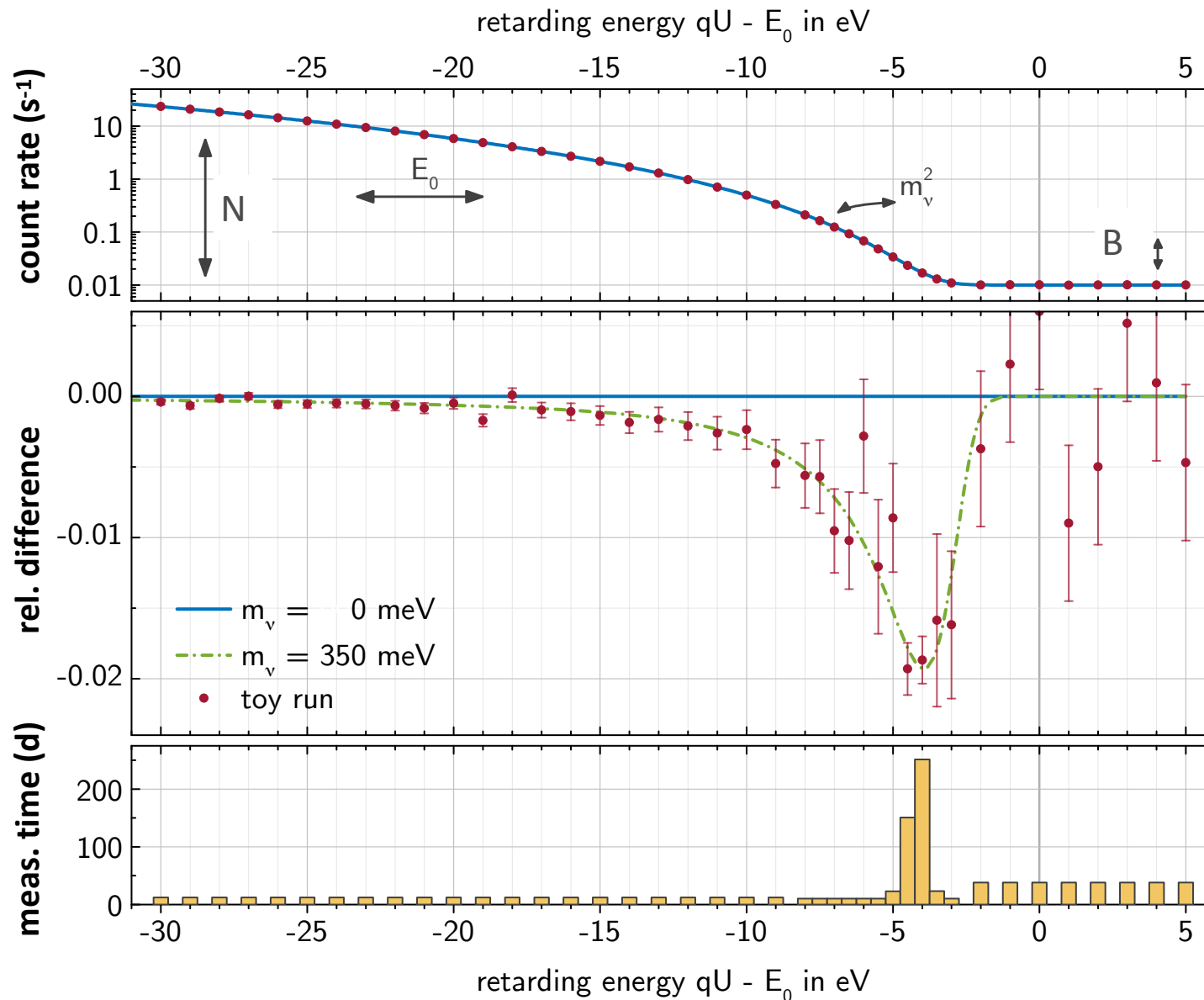
Looks simple on paper, but ...



KATRIN's epic voyage

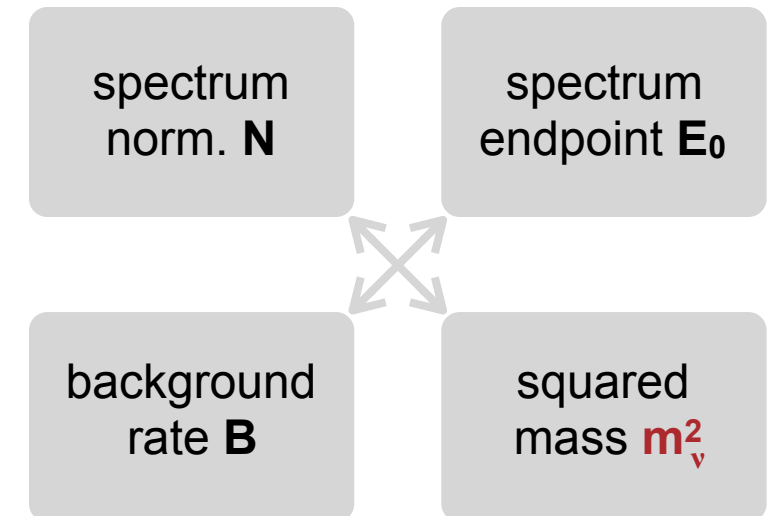


Measurement principle of KATRIN



Direct **shape** measurement
of **integrated β spectrum**

Four fit parameters:



Windowless gaseous tritium source

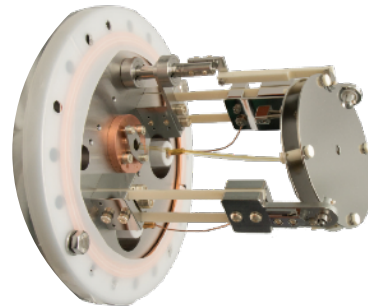
Gaseous molecular tritium (T_2) source:

- high activity (~ 100 GBq)
- high isotopic purity ($\epsilon_T > 95\%$)

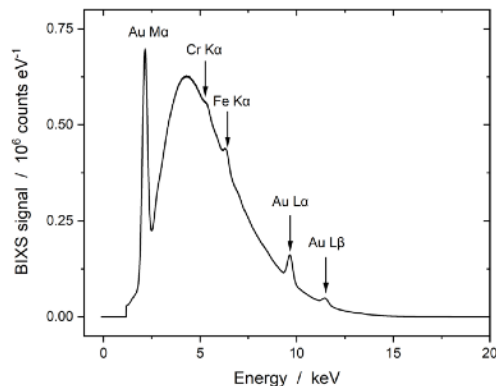
Challenge: gas column stability (0.1%)

$$n \sim \epsilon_T \cdot p \cdot V / (R \cdot T)$$

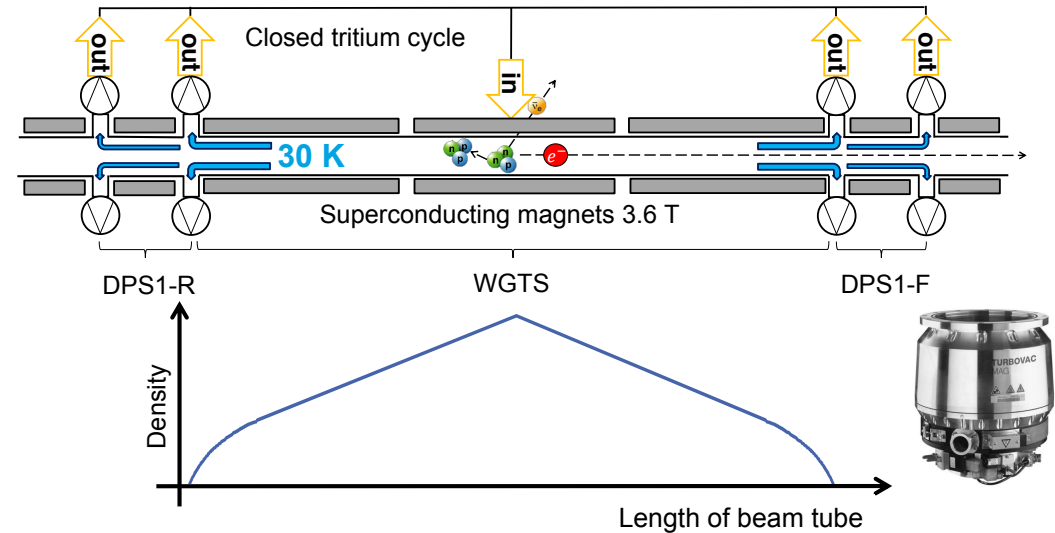
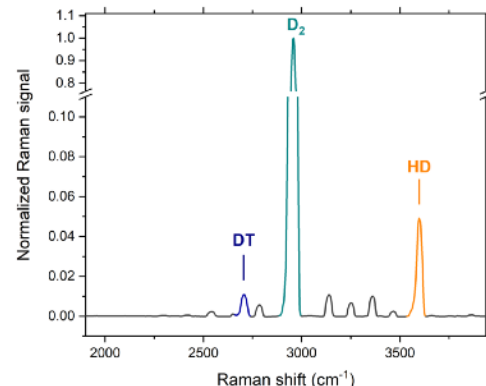
precision “electron gun”
to measure scattering
of electrons in source



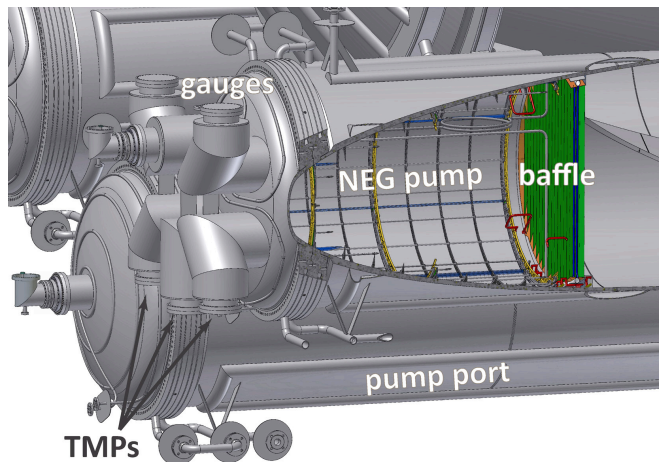
activity monitoring (BIXS)



gas composition
(laser Raman spec.)

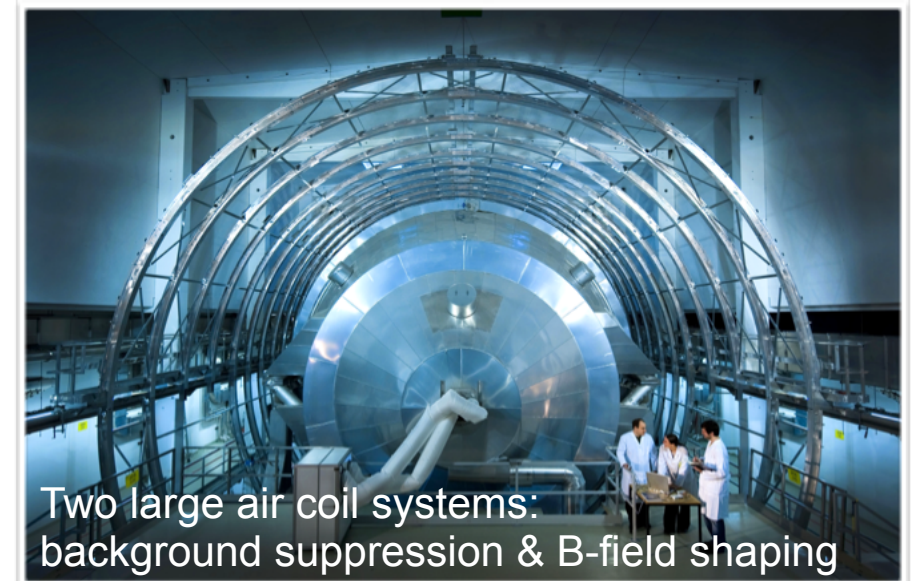


KATRIN main spectrometer

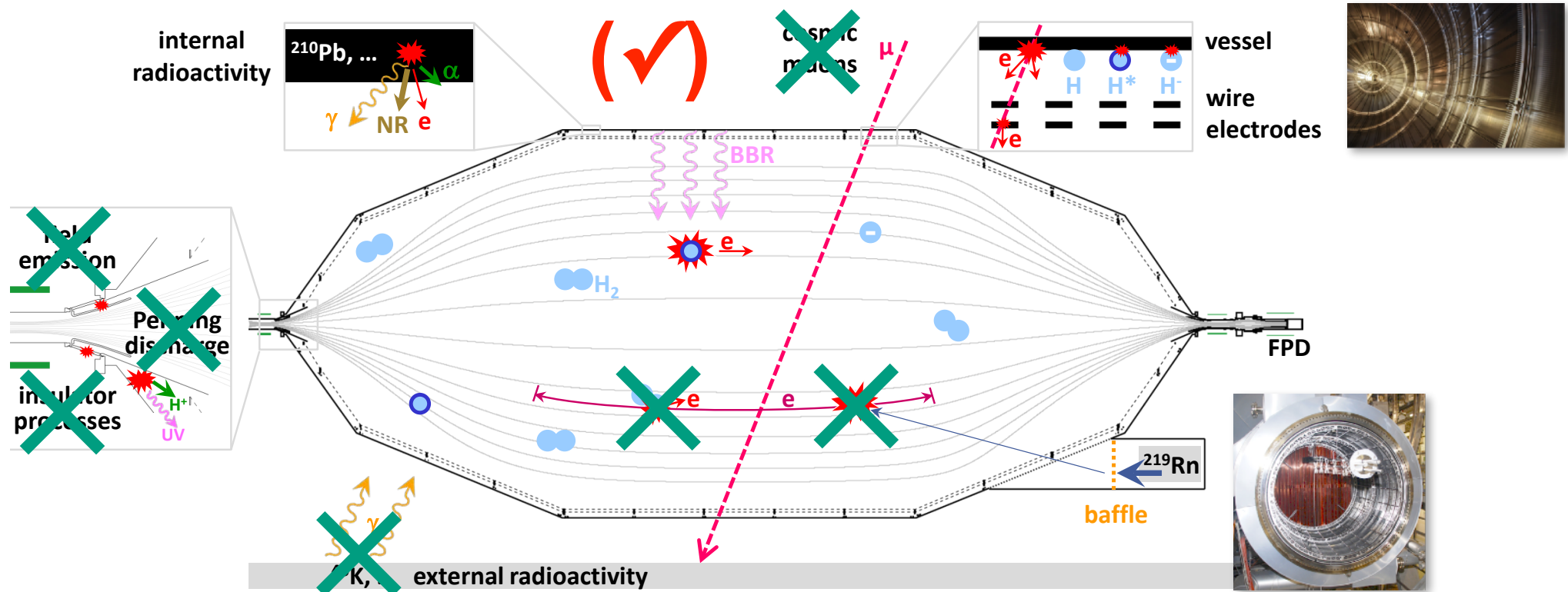


UHV system for
spectrometer
(~1240 m³)

Large NEG pumps to reach $p \sim 10^{-11}$ mbar
and LN₂-cooled baffles for radon trapping



Background sources in KATRIN



- Actively eliminated 7 out of 8 known sources of background.
- Remaining backgrounds predominantly originate from main spectrometer: stored particles from radon decays, ionisation of Rydberg states.
- Currently investigating how to mitigate these further (e.g. field configuration).

2018 milestone: *First Tritium* campaign

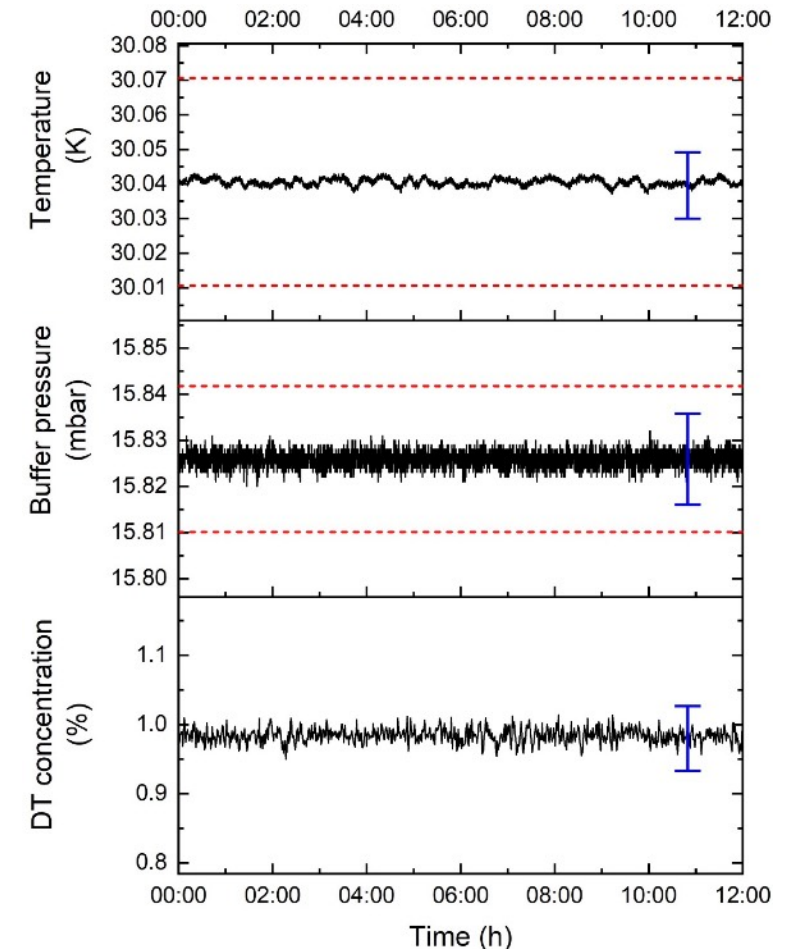
- Commissioning of the system with traces of tritium, but nominal loops operation: **D₂ (99%) + DT (1%)**
- Demonstrate **0.1%** global system stability →
- Obtain high-quality beta spectra with good statistics (~500 MBq), large energy window (few 100 eV)
- Study systematic effects, verify analysis tools & model



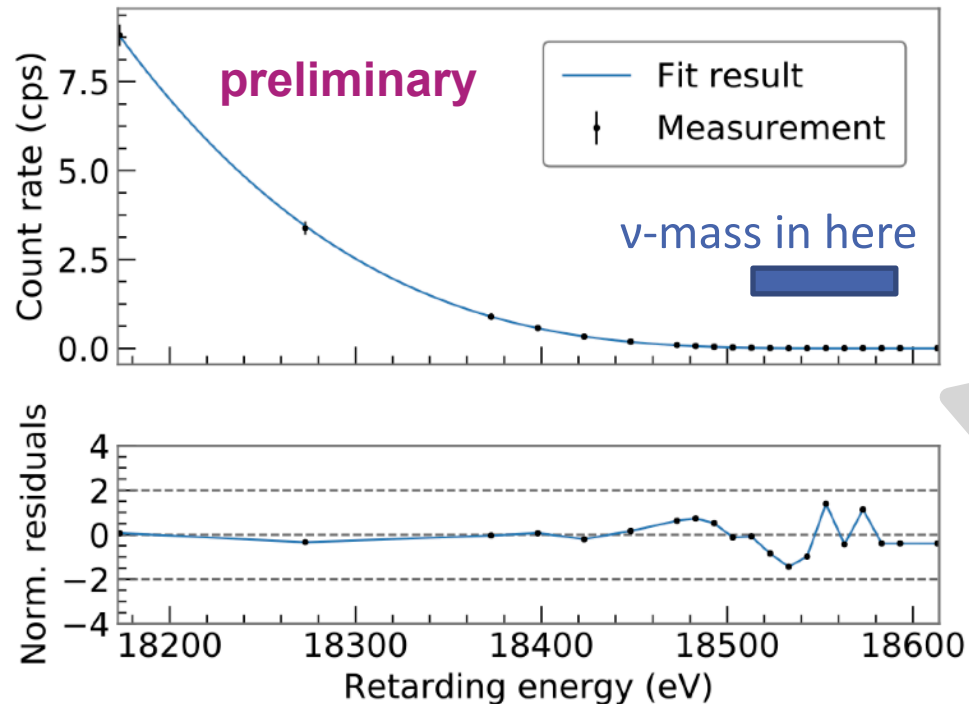
First tritium injection
Friday, May 18th,
7:48 UTC



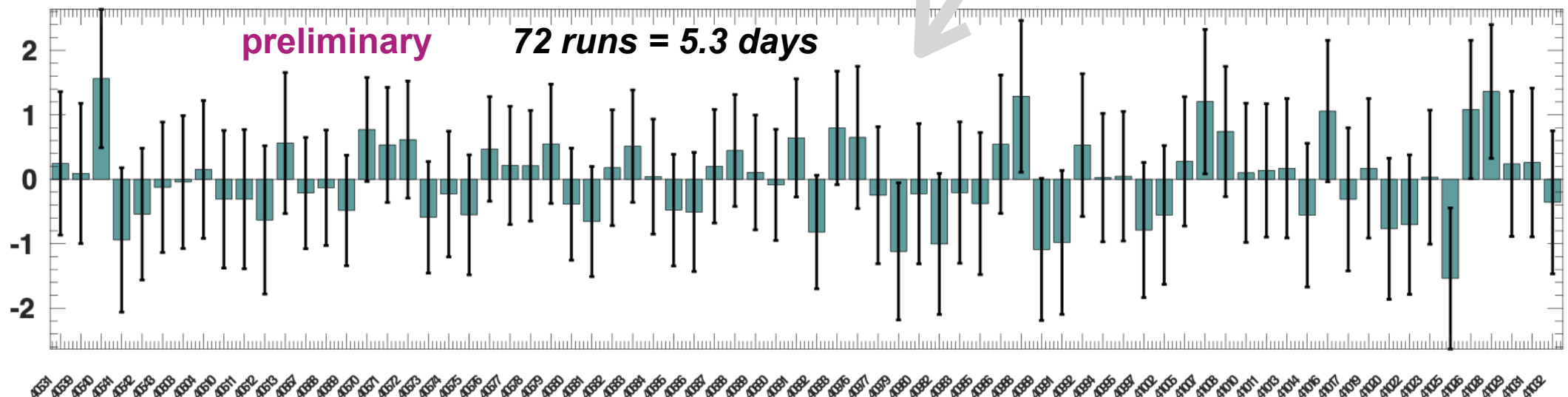
14 days
of stable,
reliable operation



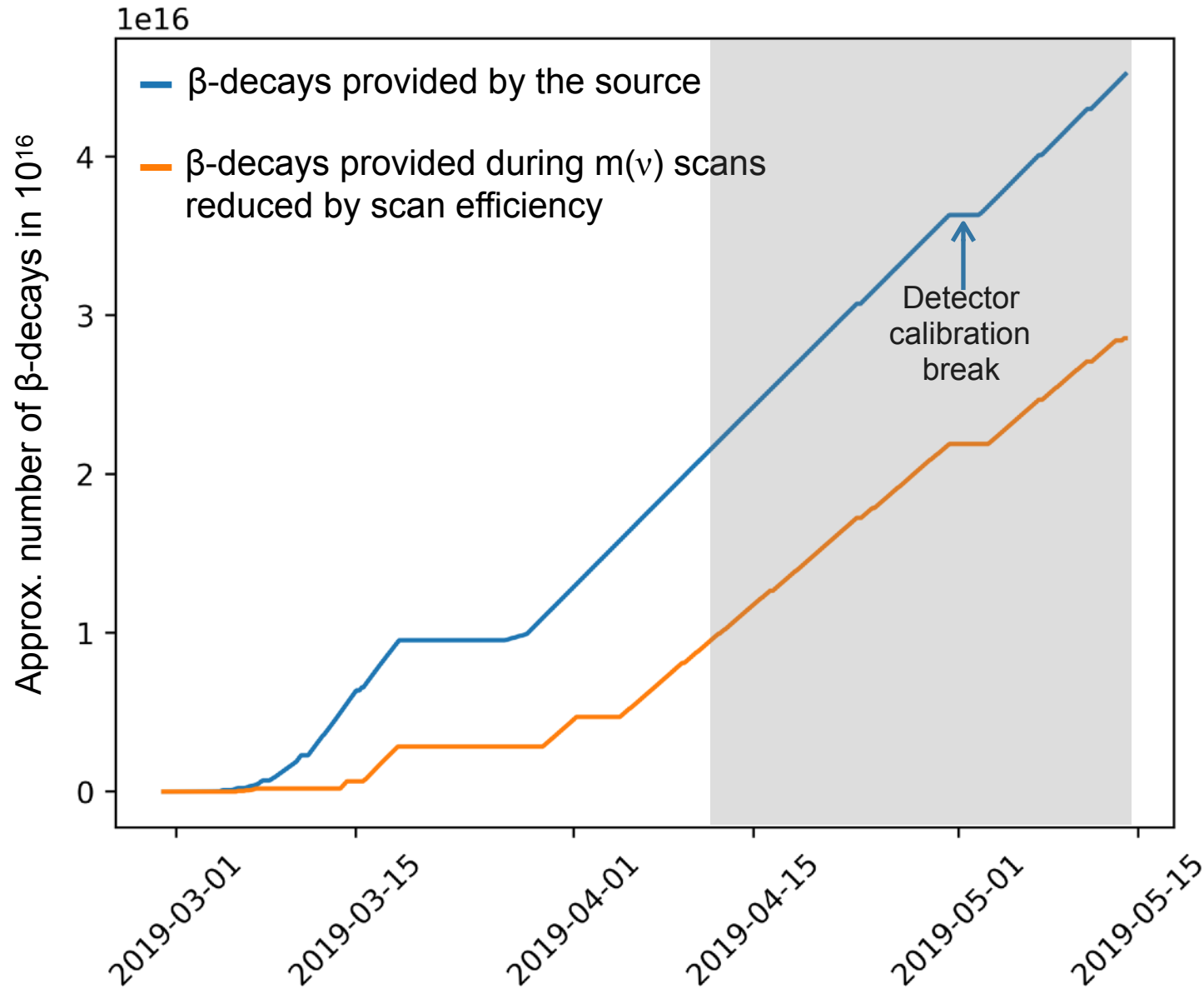
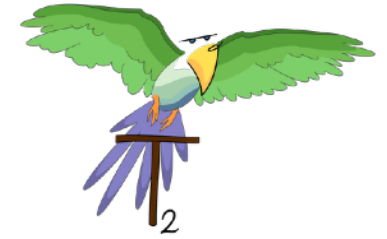
Analysis of the first tritium beta spectra



- Shown: single run (3 h), single pixel
 - Extended energy range out to 400 eV
 - Three-parameter fit: $m^2(\nu) = 0$ fixed
 - Here: only statistical uncertainty
- Excellent match of model expectation and data in rate and spectral shape.
- Endpoint is stable and agrees with expectation within errors.



2019 milestone: Start of ν -mass data-taking of KATRIN



Ca. 300 spectrum scans recorded

April 10 - May 13:
spectrum scans at
 $\sim 2 \cdot 10^{10}$ β -decays/sec

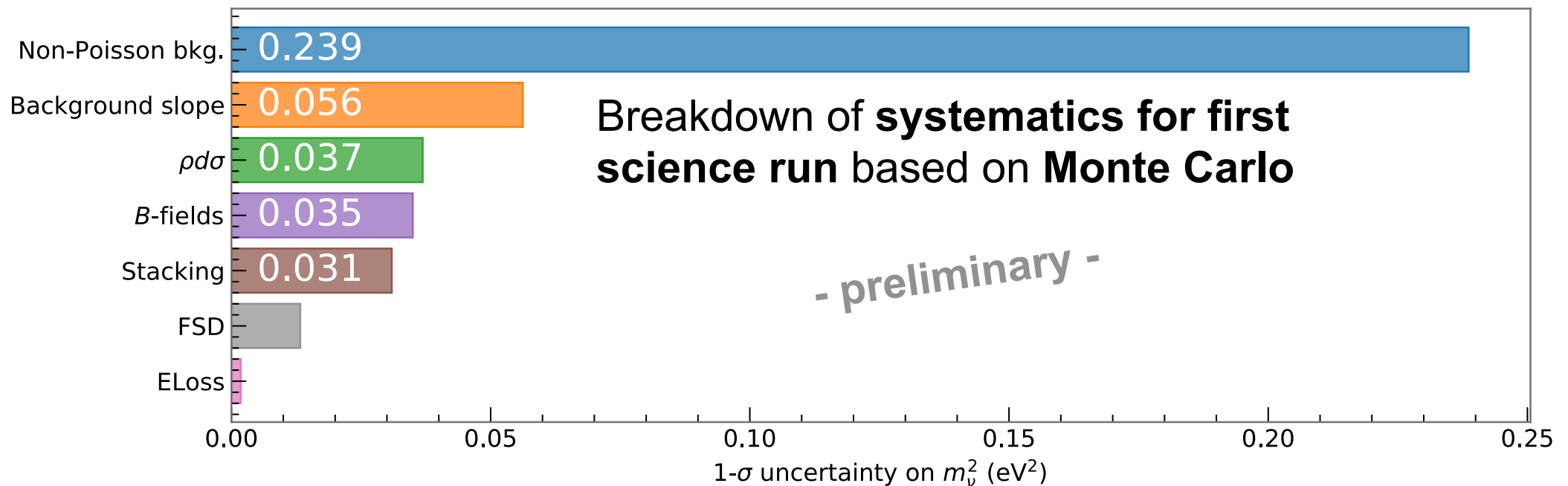
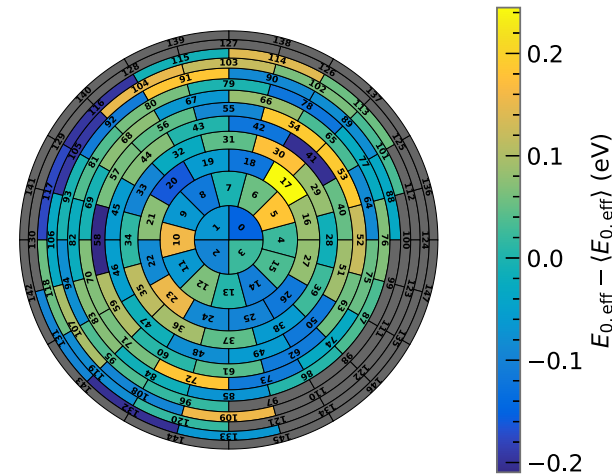
Gradual ramp-up
to source strength
50x “First Tritium”

March 4th: Start of
tritium circulation

What to expect from this first science run?

First release of
results coming up
at TAUP 2019!

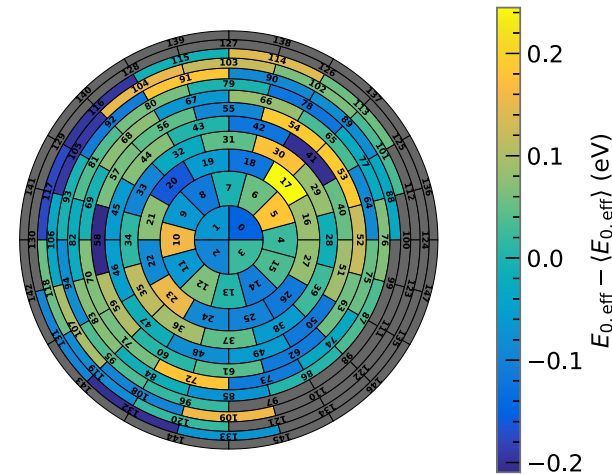
- Excellent quality of data: Endpoint value observed to be stable in time and over pixels.
- About 2 million counts in region of interest close to endpoint $E_0 \rightarrow$ stat. error dominates.
- Expected m_ν sensitivity including systematics estimate: ~ 1.13 eV (90% C.L.)



What to expect from this first science run?

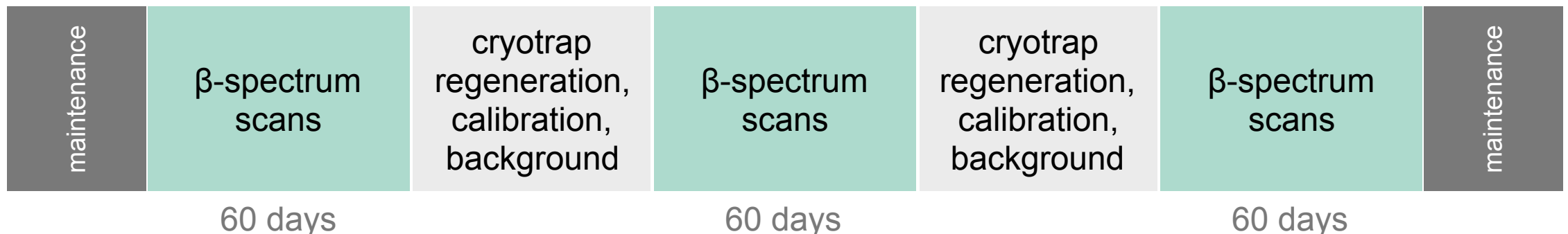
First release of results coming up at TAUP 2019!

- Excellent quality of data: Endpoint value observed to be stable in time and over pixels.
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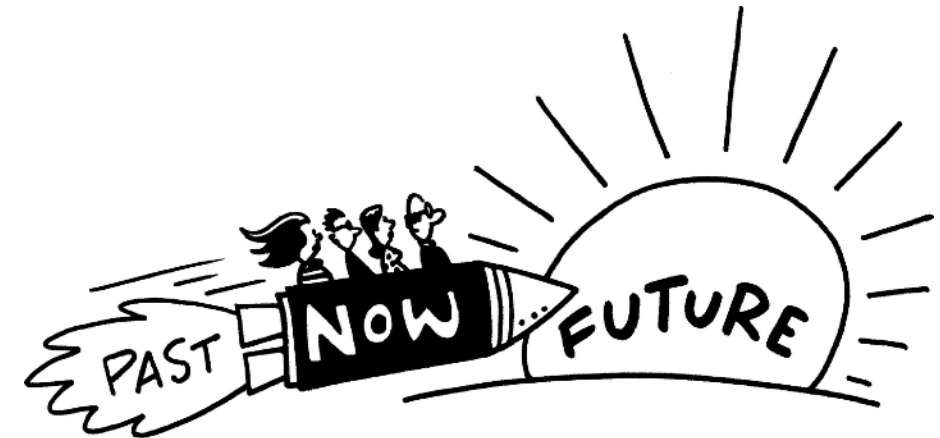
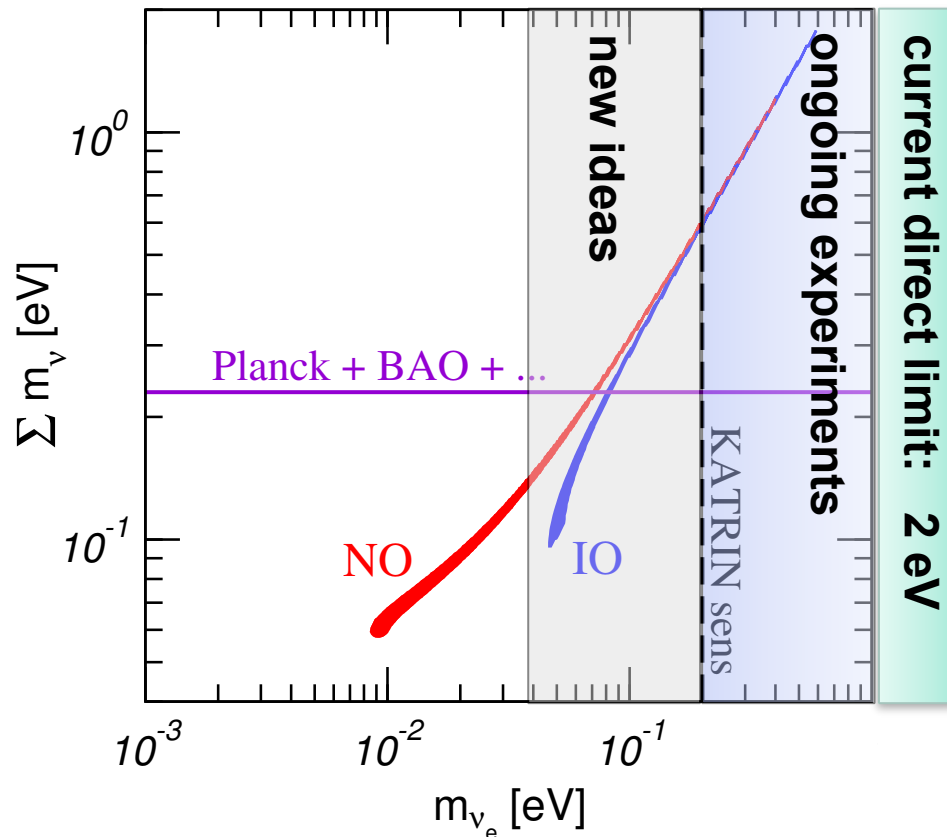


Outlook:

- Next ν -mass run (at full source strength) coming this Fall.
- Expect to be running until 2024 for target m_ν sensitivity of 200 meV.



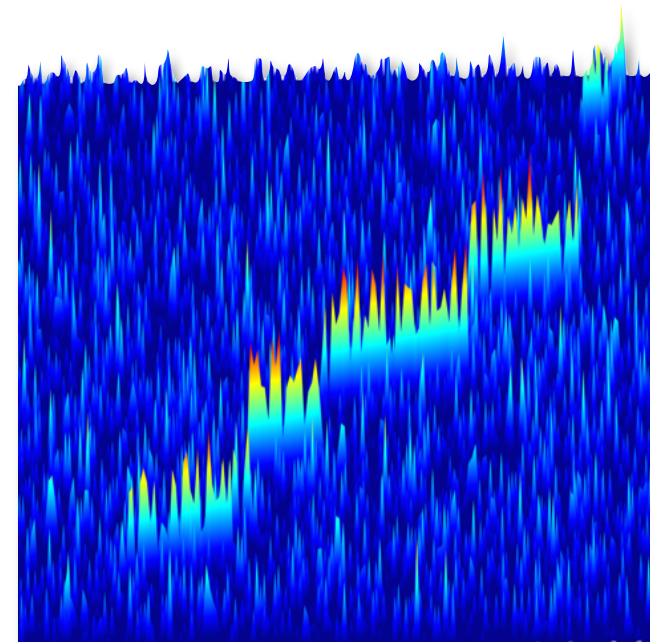
III b. Novel approaches



Challenges for further improvement:

- Upscaling requires much larger dimensions (resolution, source opacity)
- MAC-E filter measures integral spectrum
- Molecular final state excitations (vib: ~ 100 meV) as ultimate limitation for T_2

Energy measurement through cyclotron radiation



“Never measure anything but frequency.” — Arthur L. Schawlow

Cyclotron Radiation Emission Spectroscopy (CRES)

PROJECT 8

UW Seattle, MIT,
Case Western Reserve, Pacific
NW, CfA, Yale, Penn State,
Livermore, U Mainz, KIT

Non-destructive measurement of electron **energy** via **cyclotron frequency**:

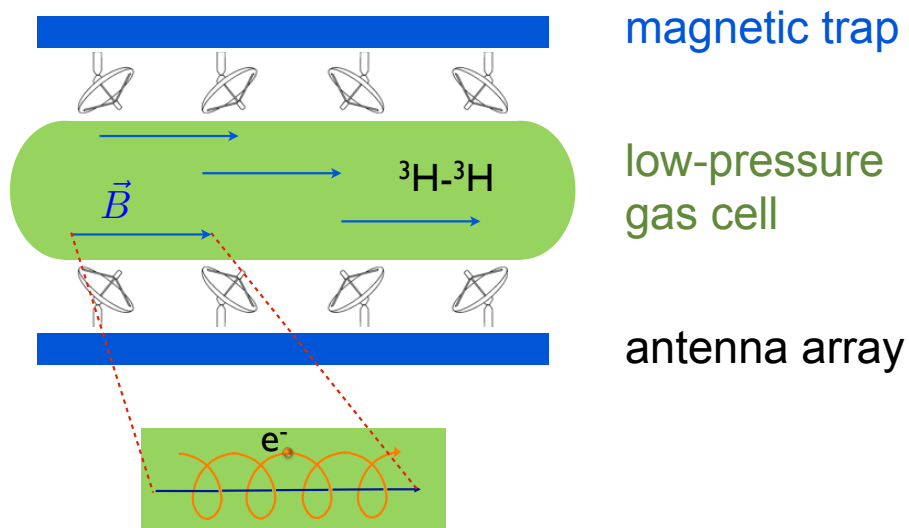
$$f(\gamma) = \frac{1}{2\pi} \frac{f_c}{\gamma} = \frac{eB}{m_e + E_{\text{kin}}}$$

Appeal of the method:

- Source transparent to microwaves
- No e⁻ transport from source to detector
- Precision inherent in frequency techniques

Challenges of the method:

- Energy resolution: $\Delta E/E \sim \Delta f/f \sim \text{ppm}$
- Frequency resolution: $\Delta f \sim 1/\Delta t$
 $\Delta t \sim 20 \mu\text{s} \rightarrow 1400 \text{ m at } 18 \text{ keV}$
need multiple passes in a trap



Cyclotron Radiation Emission Spectroscopy (CRES)

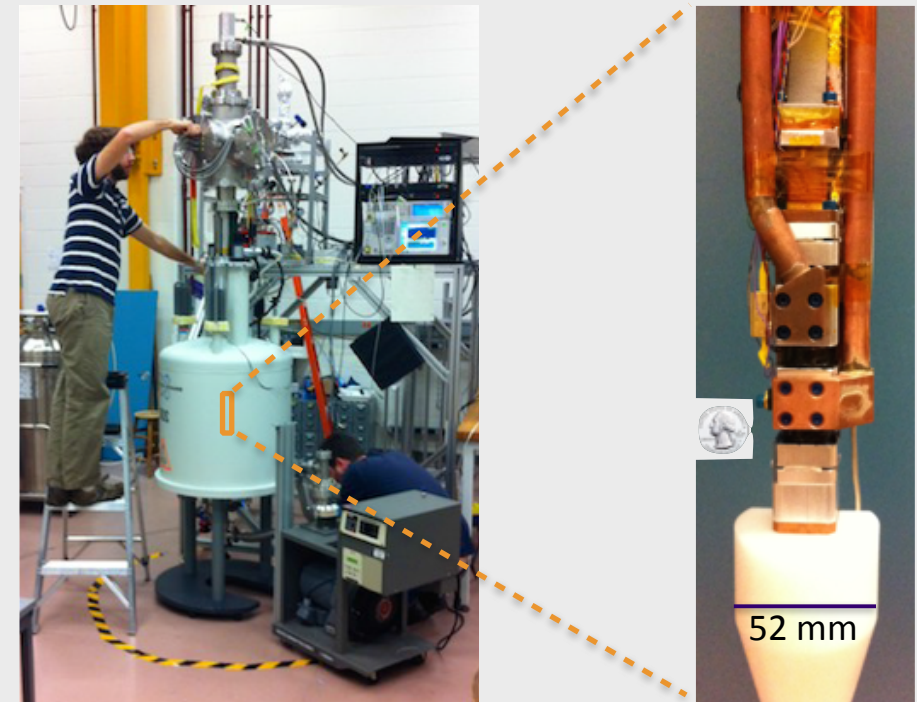
PROJECT 8

UW Seattle, MIT,
Case Western Reserve, Pacific
NW, CfA, Yale, Penn State,
Livermore, U Mainz, KIT

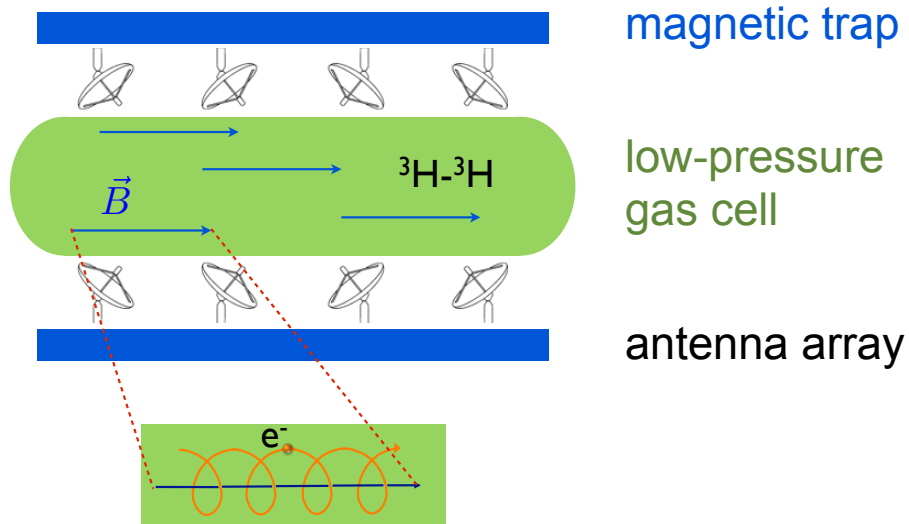
Non-destructive measurement of
electron **energy** via **cyclotron**
frequency:

$$f(\gamma) = \frac{1}{2\pi} \frac{f_c}{\gamma} = \frac{eB}{m_e + E_{\text{kin}}}$$

From theoretical idea to experimental
reality within 5 years



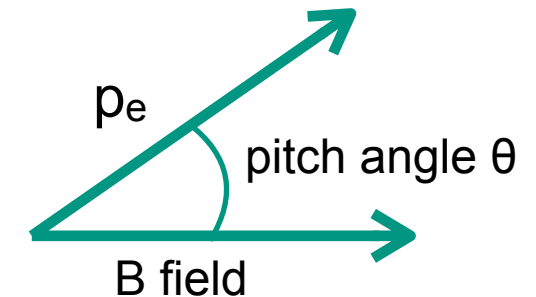
→ Proof of principle of CRES technique



Cyclotron Radiation Emission Spectroscopy — some practical points

Larmor formula gives emitted power:

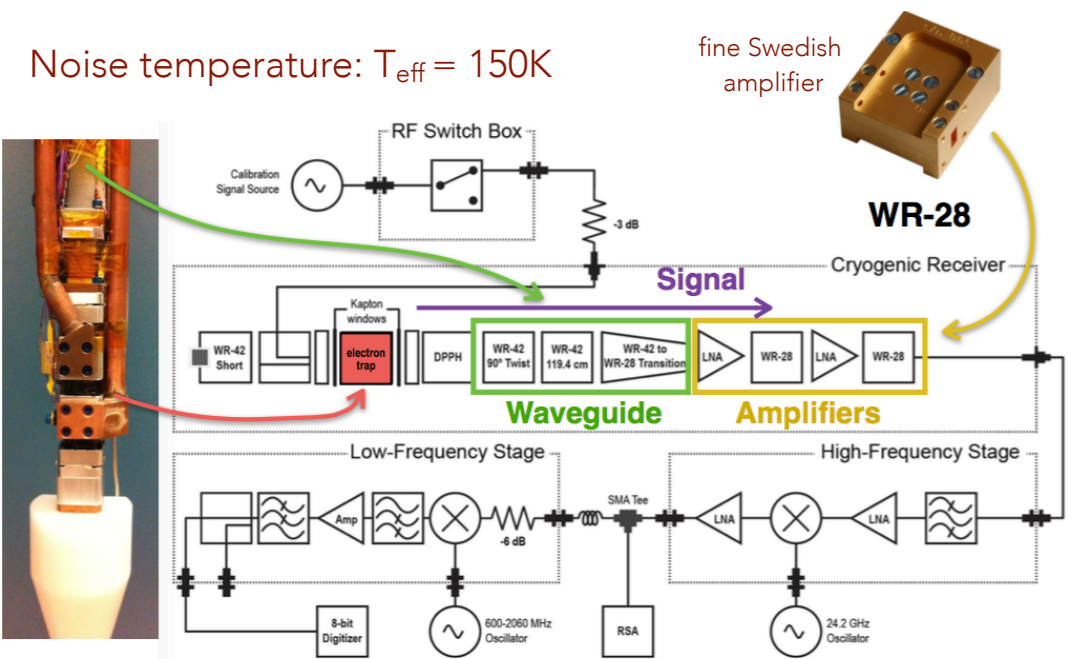
$$P(\gamma, \theta) = \frac{1}{4\pi\epsilon_0} \frac{2}{3} \frac{q^4 B^2}{m_e^2} (\gamma^2 - 1) \sin^2 \theta$$



Realistic case:

- **1.7 fW** for 30.4 keV at $\theta = 90^\circ$
- **1.1 fW** for 18 keV at $\theta = 90^\circ$

➔ Need low-noise cryogenic RF system

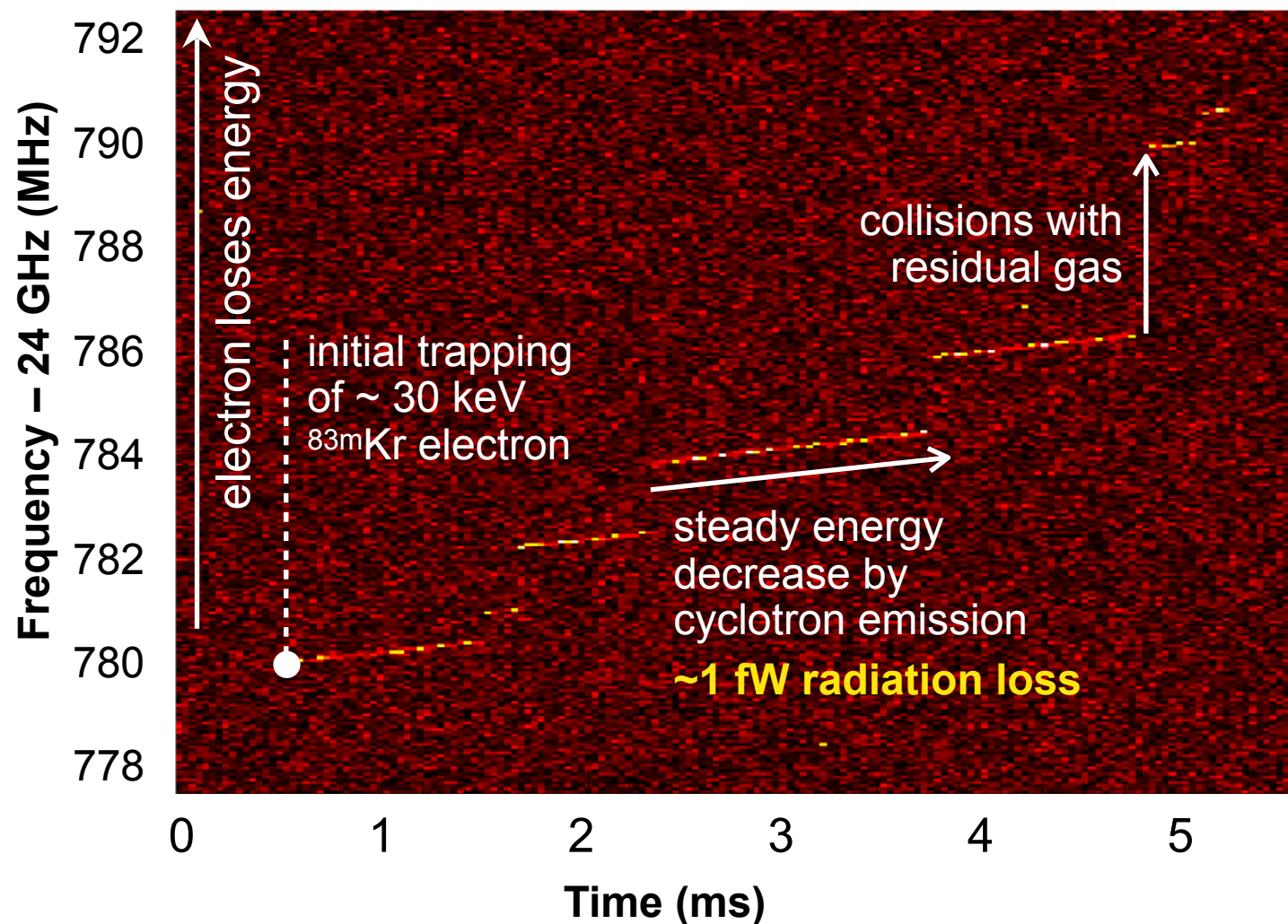


from S. Böser

Project 8: phased approach

■ Phase I (2010-2016): proof of principle

Single-electron CRES demonstrated with conversion electron lines from $^{83\text{m}}\text{Kr}$



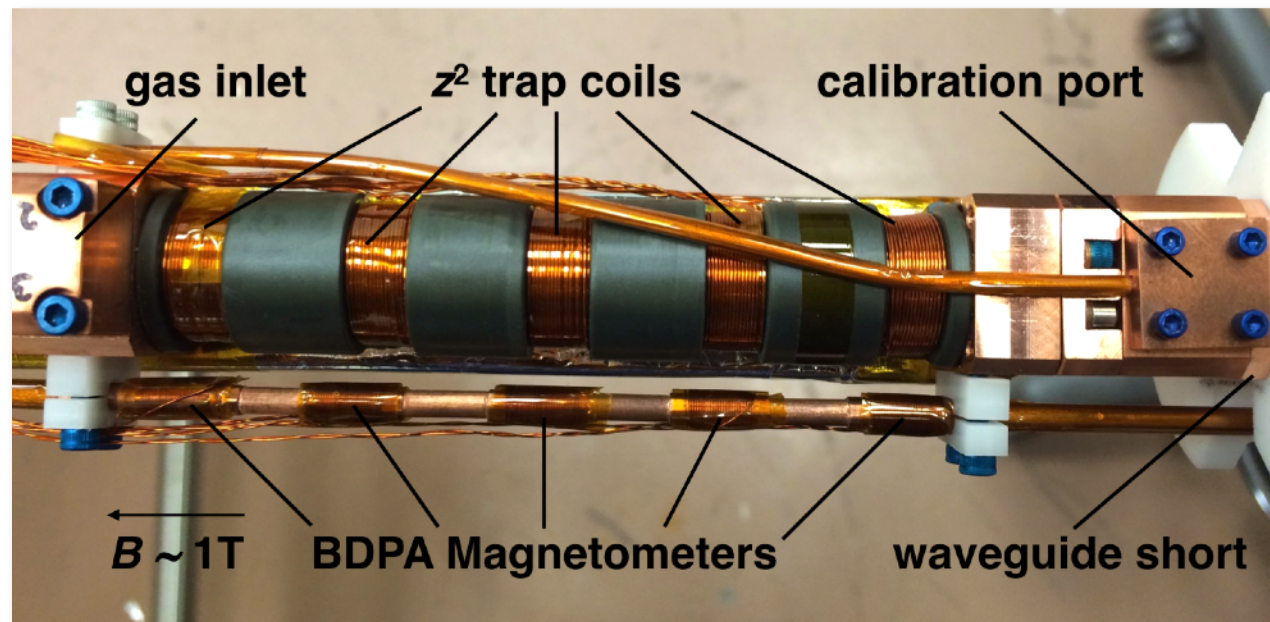
Project 8: phased approach

■ Phase I (2010-2016): proof of principle

Single-electron CRES demonstrated with conversion electron lines from ^{83m}Kr

■ Phase II (2015-2019): tritium demonstrator

- Improved waveguide, read-out, energy resolution, systematics studies
- Continuous T_2 β -spectrum, $m(\nu_e) \sim 100 \dots 10 \text{ eV}$

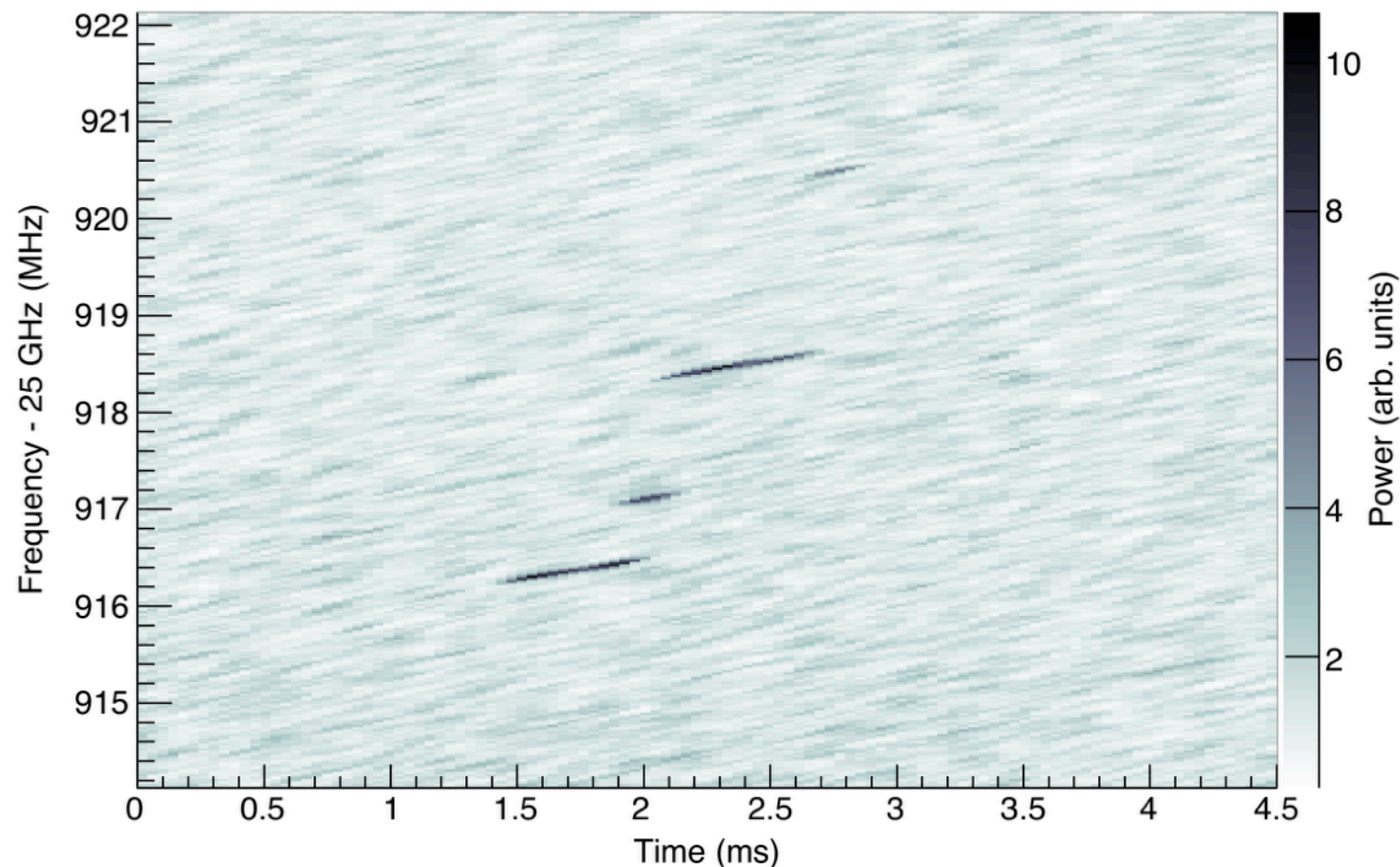


Phase II set-up

T₂ data-taking started in fall 2018

Project 8: phase II results

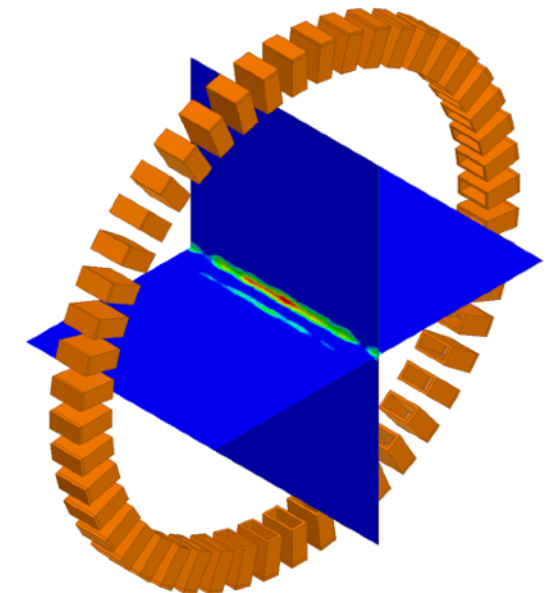
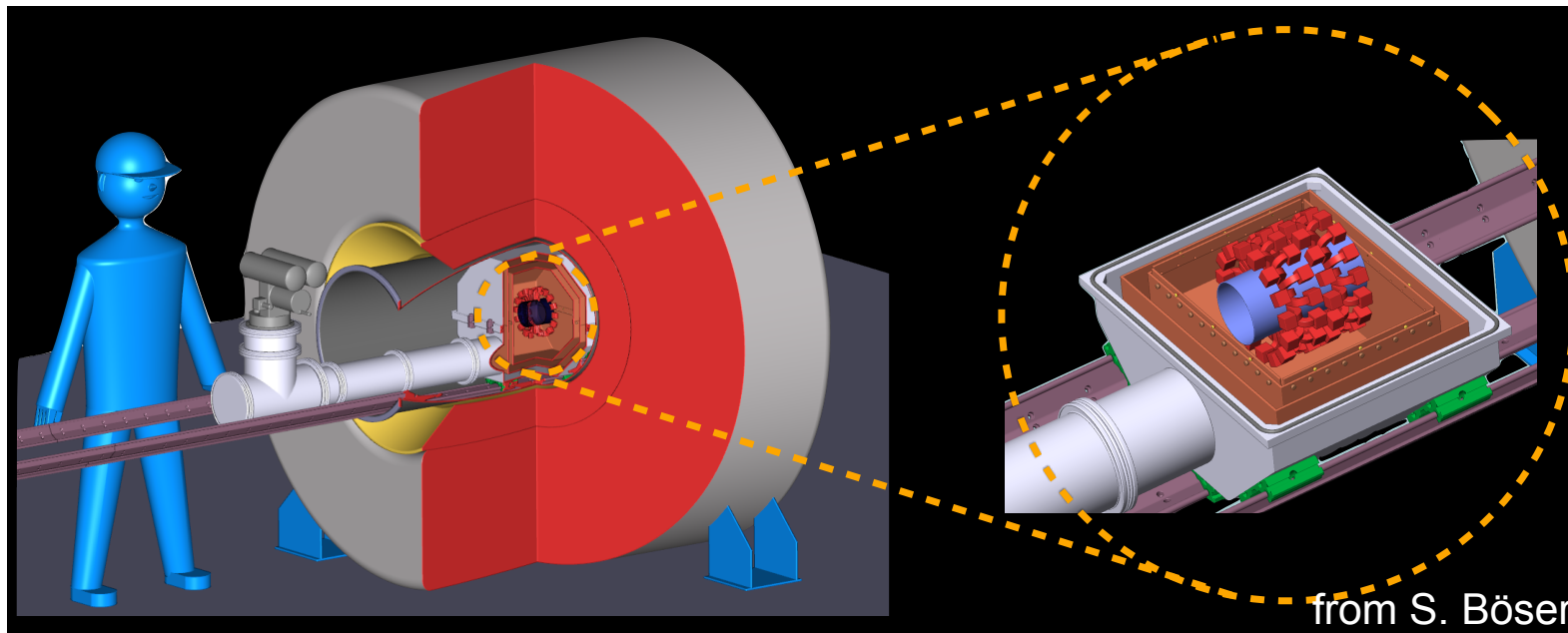
- First tritium CRES events observed in October 2018
- Spectrum describes the data well; no events recorded above endpoint E_0
- Currently taking another 100-day run to complete phase II



Project 8: next steps

Phase III (2016-2020): large volume demonstrator

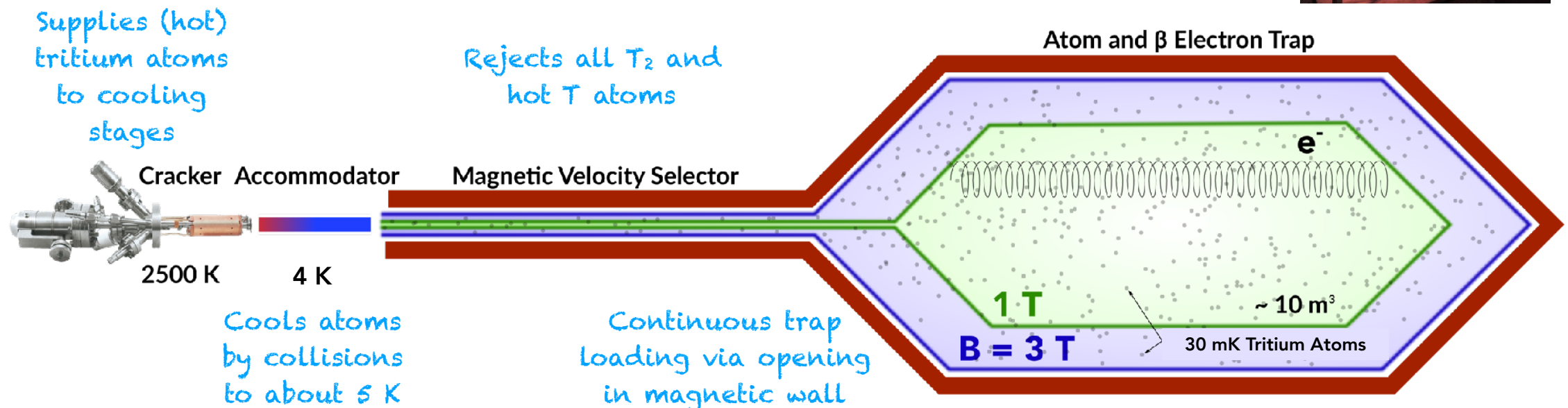
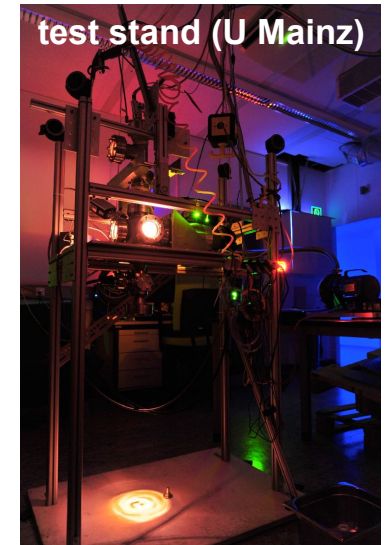
- 10^5 Bq in 200 cm^3 volume ($10\text{-}20 \text{ cm}^3$ effective) $\rightarrow$ 1 yr for $m(\nu_e) \sim 2 \text{ eV}$
- Open-bore MRI magnet: cryostat moved in on rails
- Phased-array read-out, digital beam-forming
- Ongoing design for trap, cryo-system, antenna array



Project 8: towards atomic tritium

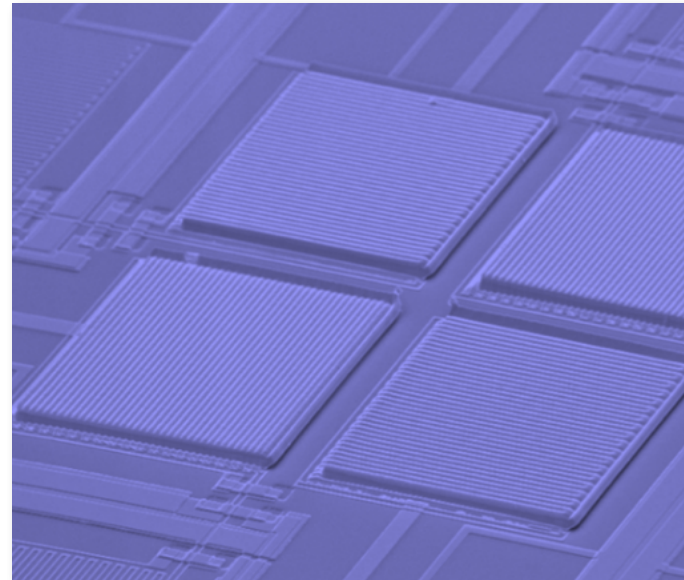
Phase IV (2017+): development of source concepts

- goal: sub-eV sensitivity at inverted hierarchy scale
- R&D for large-volume magnetic trap for atomic tritium (< 50 mK)
- 10^{18} atoms ($\sim 10^9$ Bq activity) in fiducial volume of $10+ \text{ m}^3$



from A. Lindman

Calorimetric approach using ^{163}Ho



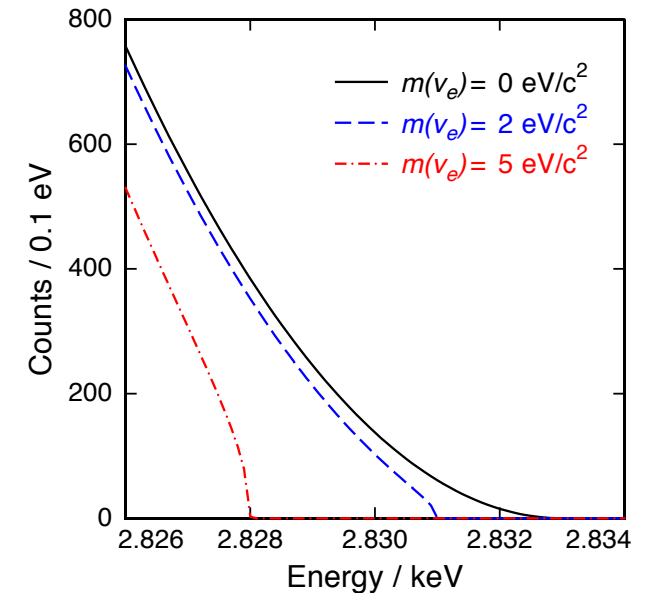
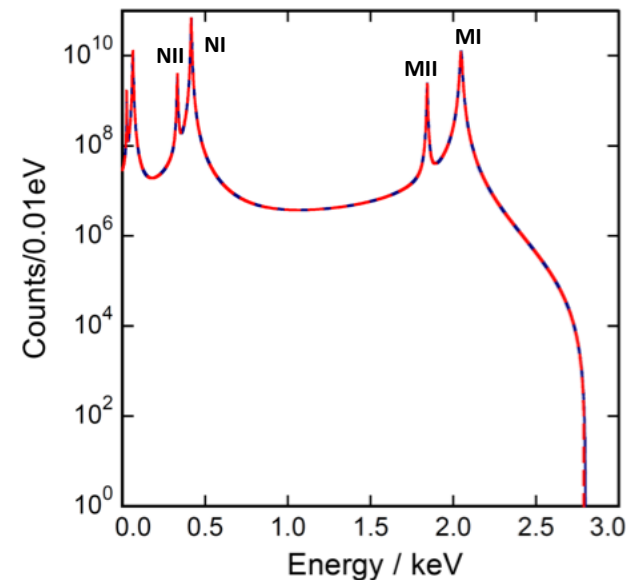
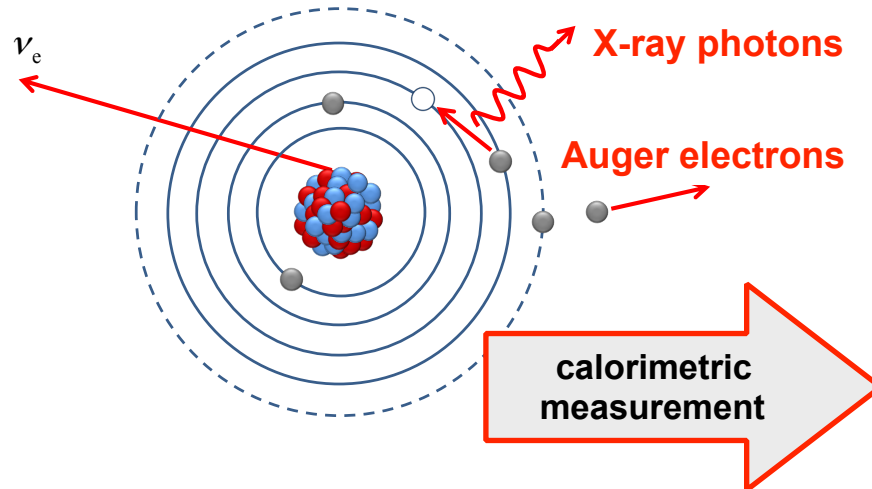
ν -mass from ^{163}Ho electron capture



Low $Q_{\text{EC}} \sim 2.8 \text{ keV}$ and $T_{1/2} \sim 4570 \text{ years}$

Proposed by de Rujula & Lusignoli (1982)

Present limit: $m(\nu_e) < 225 \text{ eV}$ (90% C.L.)



[L. Gastaldo]

$$\frac{dW}{dE_C} = A(Q_{\text{EC}} - E_C)^2 \sqrt{1 - \frac{m_\nu^2}{(Q_{\text{EC}} - E_C)^2}} \sum_H B_H \varphi_H^2(0) \frac{\frac{\Gamma_H}{2\pi}}{(E_C - E_H)^2 + \frac{\Gamma_H^2}{4}}$$

v-mass from ^{163}Ho electron capture

Challenges (experiment):

- Production & purification of isotope ^{163}Ho
- Incorporation of ^{163}Ho into high-resolution detectors ($2 \cdot 10^{11}$ atoms for 1 Bq)
- Operation & readout of large arrays

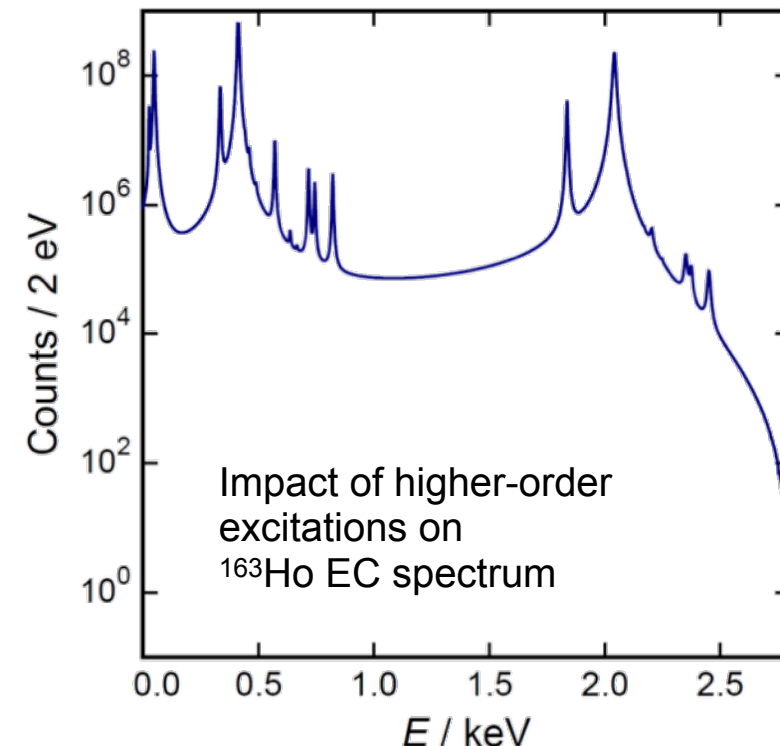
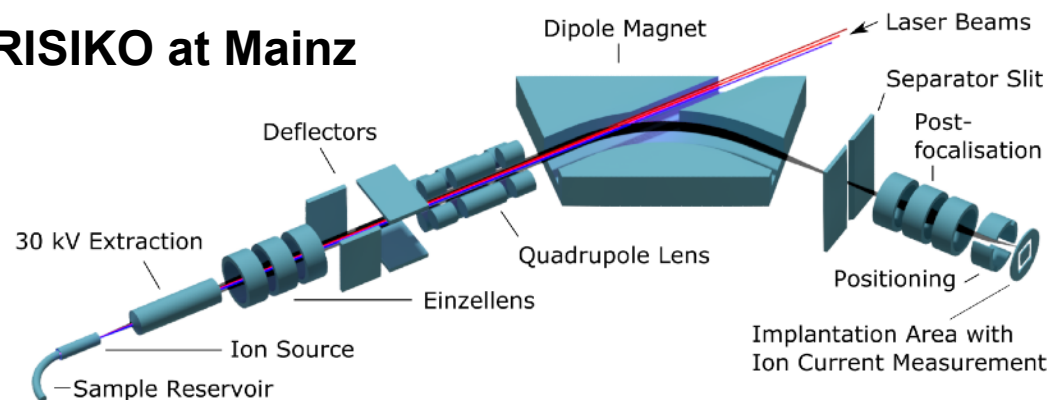
Challenges (theory & spectral shape):

- Precise understanding of calorimetric spectrum (nuclear/atomic physics + detector response)
- Independent determination of Q_{EC} by Penning-trap mass spectrometry

Er161 3.21 h 3/2-	Er162 0+	Er163 75.0 m 5/2-	Er164 0+	Er165 10.36 h 5/2-	Er166 0+
EC	0.14	EC	1.61	EC	33.6
Ho160 25.6 m 5+	Ho161 2.48 h 7/2-	Ho162 15.0 m 1+	Ho163 4570 y 7/2-	Ho164 29 m 1+	Ho165 7/2-
EC *	EC *	EC *	EC *	EC *	100



RISIKO at Mainz



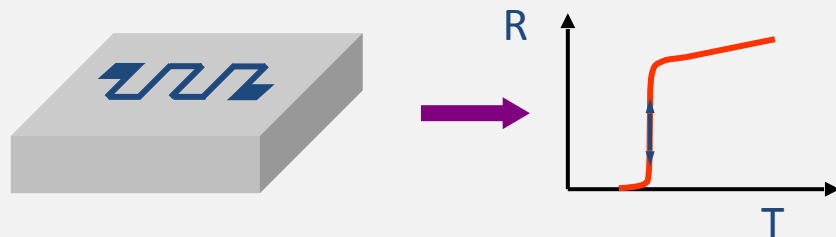
[A. Faessler et al.,
PRC 91 (2015) 045505, 064302]

ν -mass from ^{163}Ho electron capture: technologies

- Two experiments to address sub-eV neutrino masses by calorimetric spectrum
- Two different techniques for temperature sensing

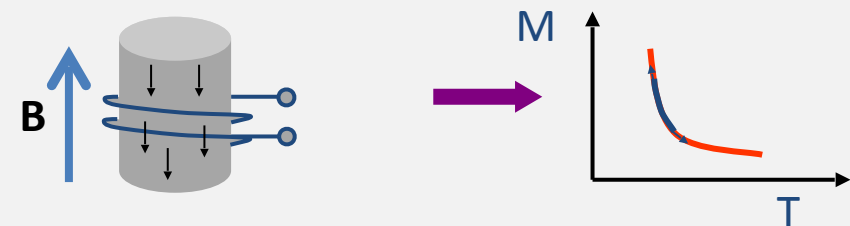
HOLMES approach:

Resistance R at superconducting transition:
Transition Edge Sensors (TES)



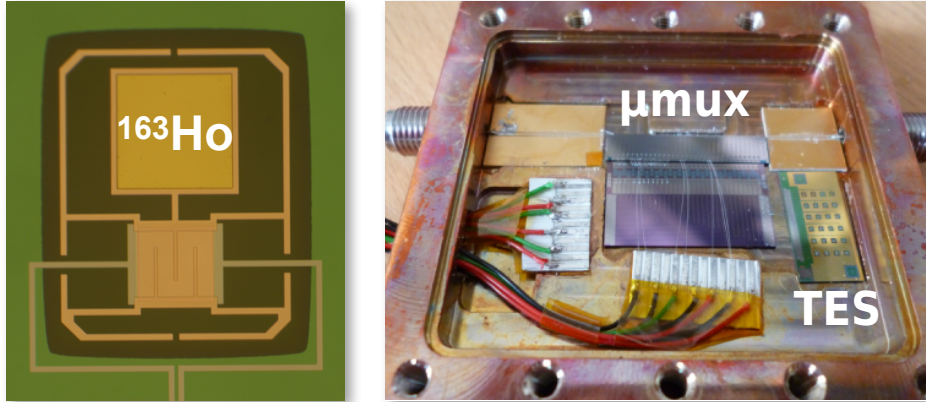
EC Ho approach:

Magnetization of paramagnetic material
Metallic Magnetic Calorimeters (MMC)

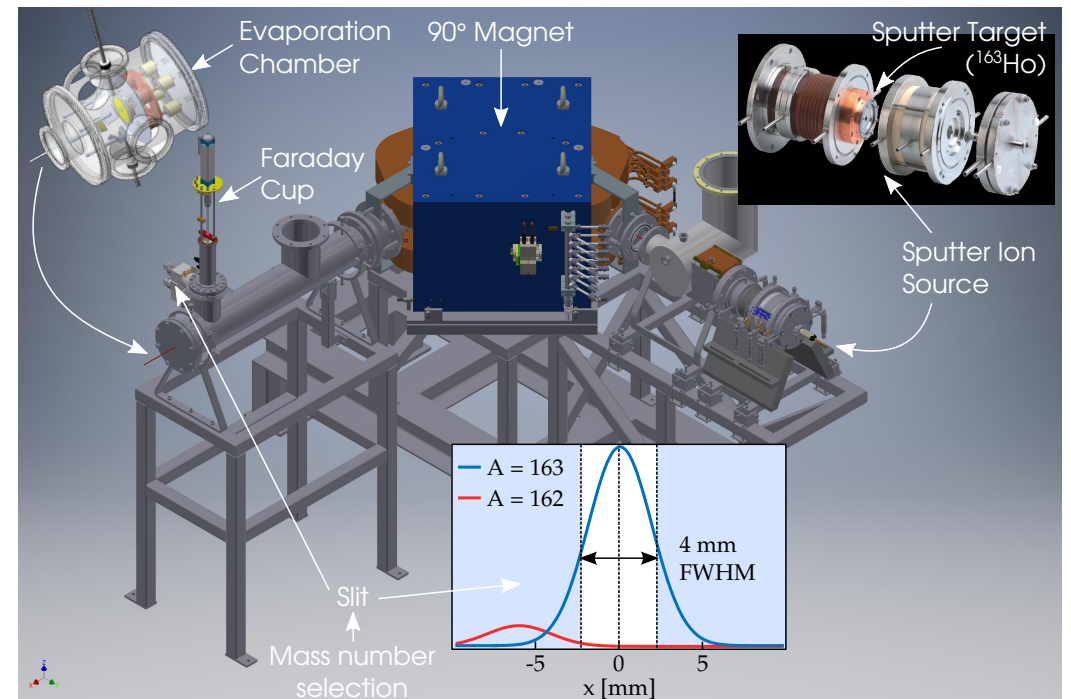
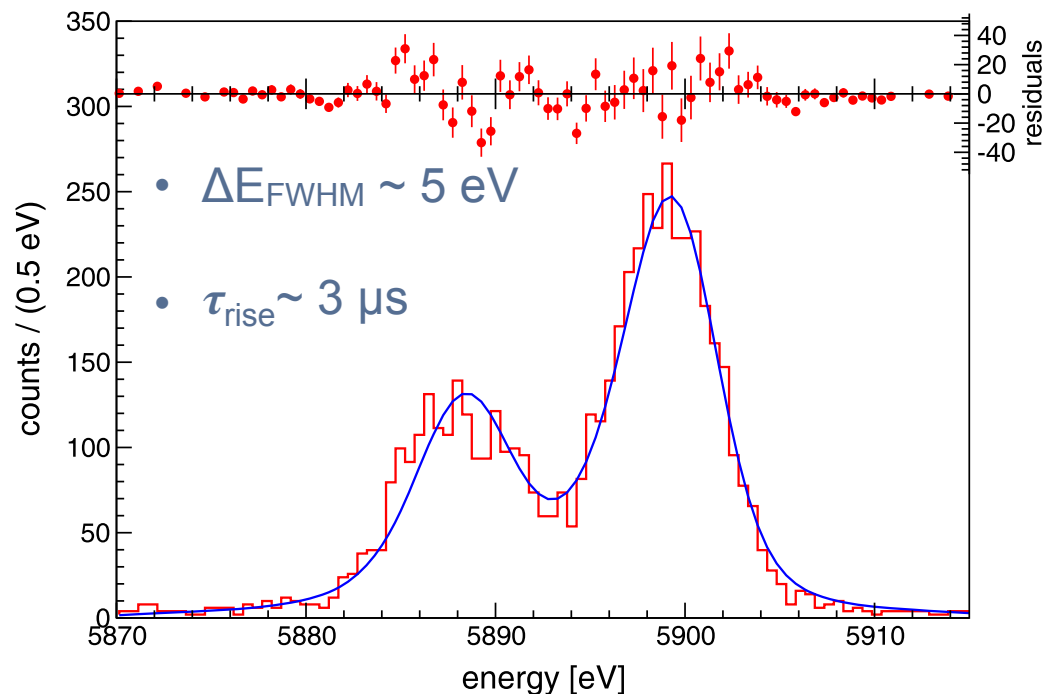


[Cryogenic Particle Detection, (ed. C. Enss), Topics Appl. Phys. 99 (Springer, 2005)]

TES technology: **HOLMES**



Detector design & fabrication at Milano

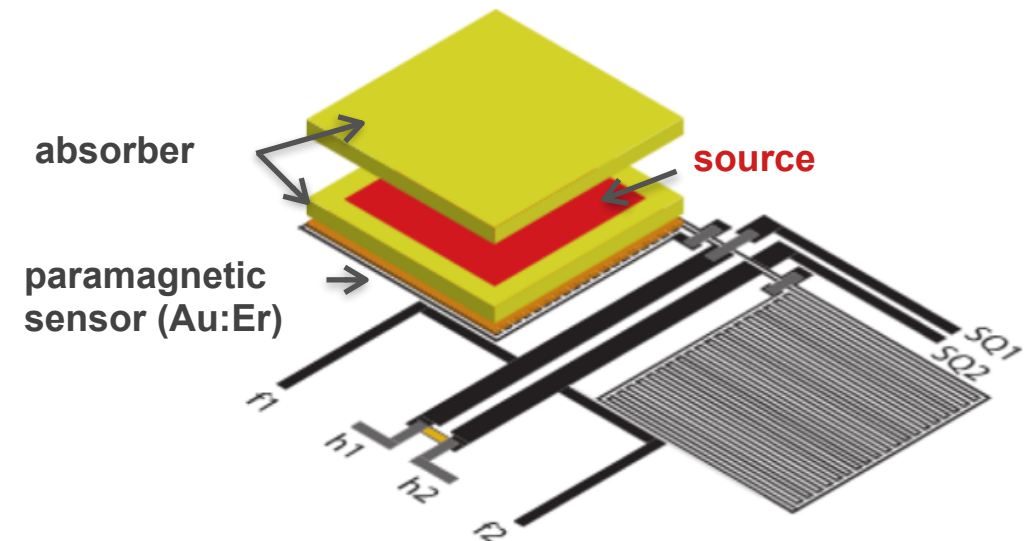
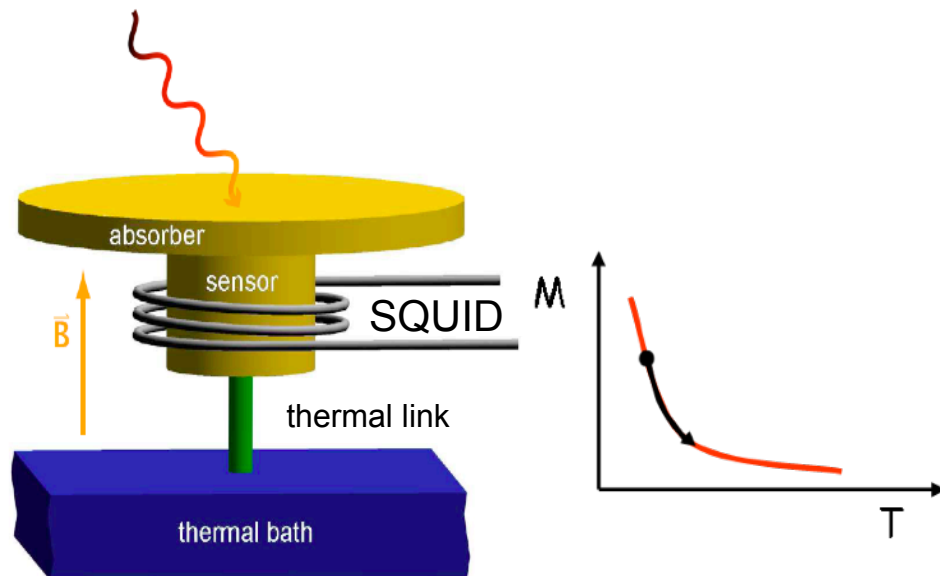


Custom mass-separator ion implanter at Genova

HOLMES design & timeline:

- 6.5×10^{13} nuclei ^{163}Ho ($\sim 300 \text{ Bq}$) per pixel
- $\Delta E \sim 1 \text{ eV}$ (FWHM), $\tau_{\text{rise}} \sim 1 \mu\text{s}$;
1000-pix array for 1 eV goal
- TES array + DAQ ready, first implant. coming up
- **32 pixels for 1 month $\rightarrow m_\nu$ sensitivity $\sim 10 \text{ eV}$**

Metallic **M**agnetic **C**alorimeters (**MMC**) with paramagnetic Au:Er sensor read out by SQUID



δT in absorber from EC-decay

⇒ change in magnetization M of sensor

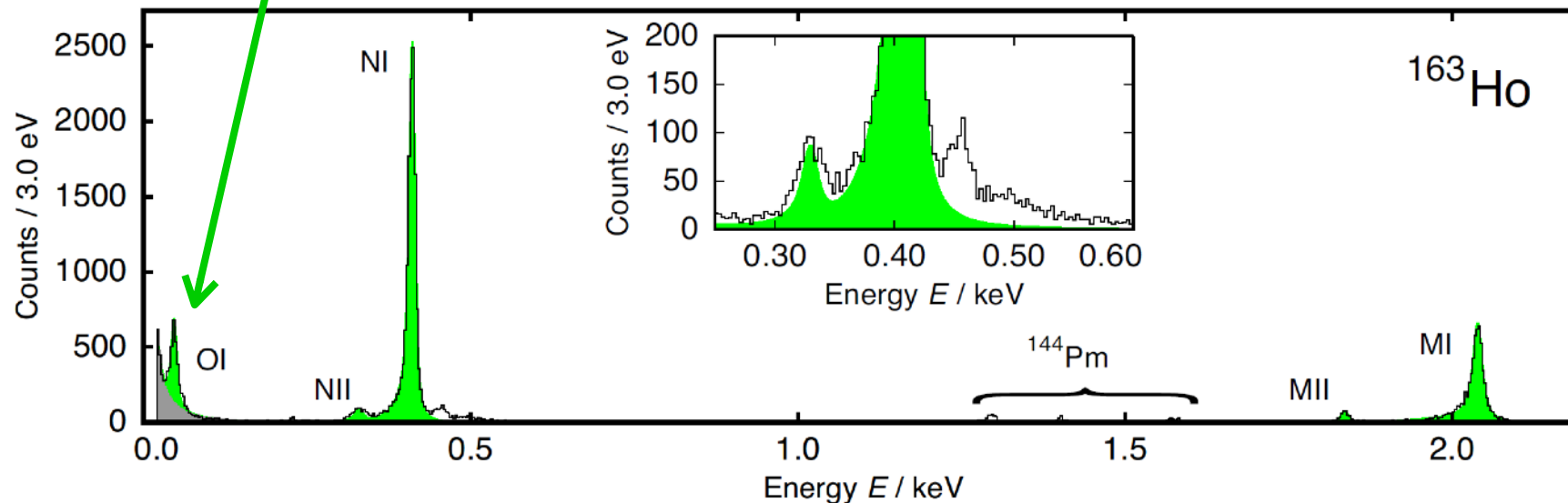
signal:
$$\delta \Phi_s \sim \frac{\partial M}{\partial T} \cdot \Delta T \sim \frac{\partial M}{\partial T} \cdot \frac{1}{C_{tot}} \cdot \delta E$$

- Fast rise time (~ 130 ns) and excellent linearity & resolution ($\Delta E_{FWHM} < 5$ eV)
- Multiplexed readout of MMC arrays

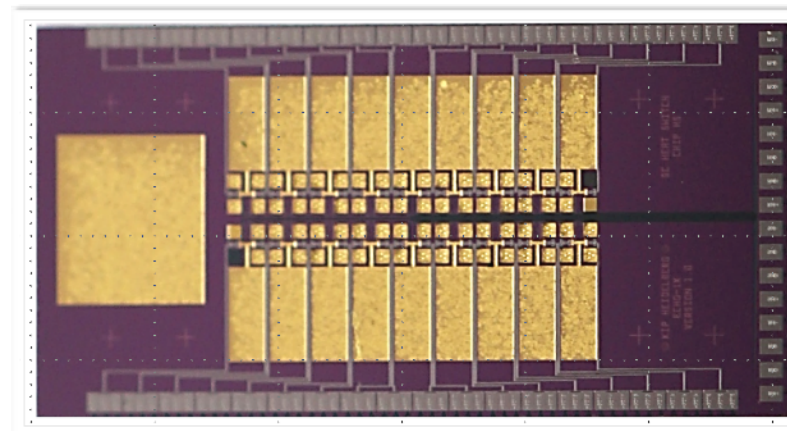
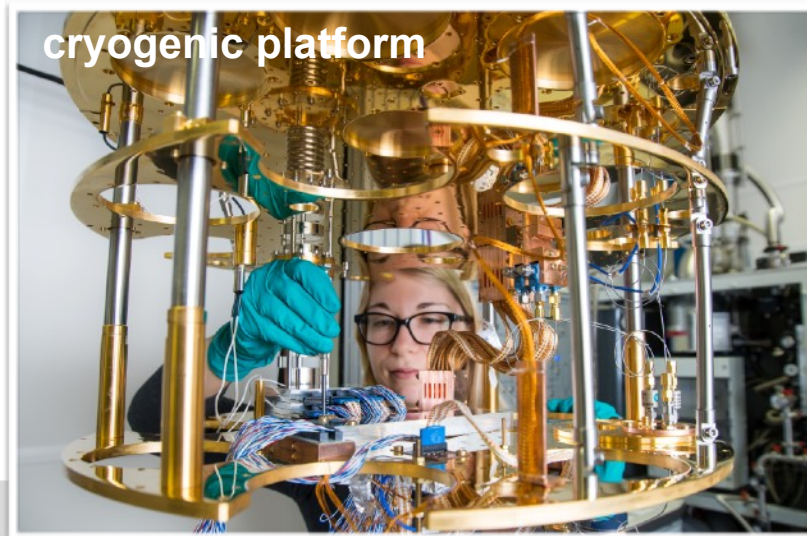
MMC technology: ECHo

Precision ^{163}Ho spectrum

first calorimetric measurement of OI-line



**Ranitzsch *et al.*,
PRL 119 (2017)
122501**

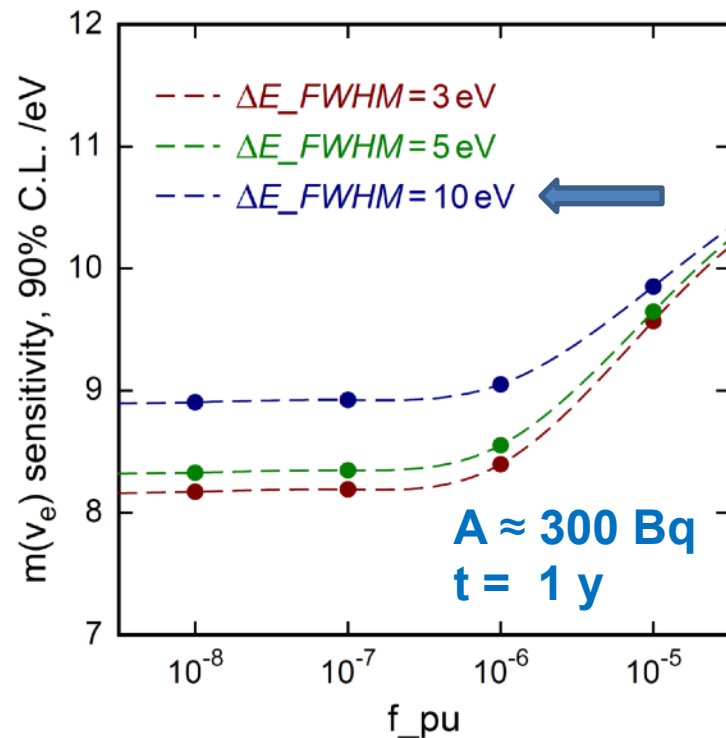


**64-pix detectors
optimized for
implantation**

**microwave
SQUID
multiplexing
readout**

ECHo-1k – revised (2015 – 2018)

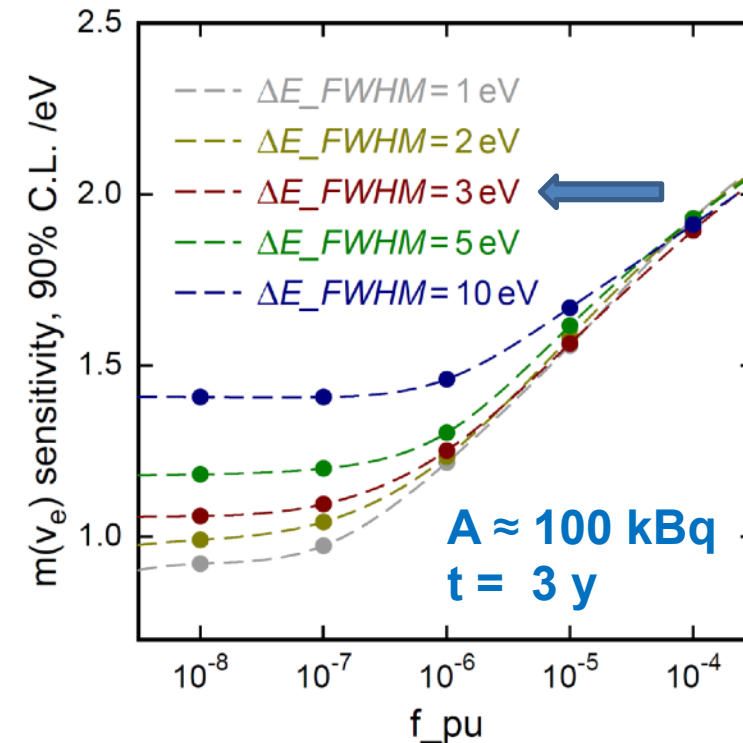
Activity per pixel: 5 Bq
Number of detectors: 60
Readout: parallel two-stage SQUID



$m(\nu_e) < 10 \text{ eV}$ 90% C.L.

ECHo-100k (2018 – 2021)

Activity per pixel: 10 Bq
Number of detectors: 12000
Readout: microwave SQUID multiplexing



$m(\nu_e) < 1.5 \text{ eV}$ 90% C.L.

[ECHo collaboration, EPJ-ST 2017]

Improved neutrino mass limit
from ECHO-1k is under way!

Direct ν -mass experiments: status and outlook

First ν -mass result from 2019 science run about to be released!

KATRIN

Long-term data-taking (5 yrs) for full sensitivity (**0.2 eV**)

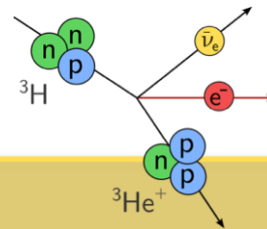
CRES proof of principle in 2014, T_2 operation started in fall 2018

Project 8

Develop CRES for **10 $\rightarrow$ 2 eV**, and towards IH (atomic source)

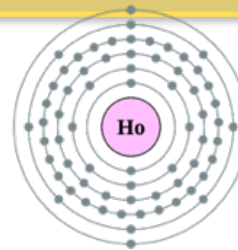
current achievements

- Advanced detector development (MMC and TES technologies)
- Test of scalable arrays, readout
- First ν -mass result from ECHo-1k is coming up



next goals

- Operate medium-size arrays ($\sim 10^{10}$ counts) for **10 eV** sens.
- Prepare large arrays ($\sim 10^{14}$ counts) for **sub-eV** sens.



**ECHo
HOLMES**

IV. Extra course



More physics questions for direct kinematic experiments

- How many neutrino states are there?

- Can kinematic experiments probe novel forms of interaction?



left-right
symmetric
model

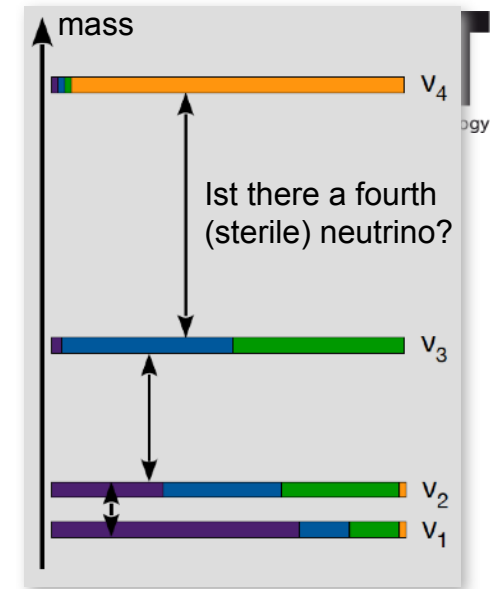
right-handed
charged currents

non- V-A
interactions

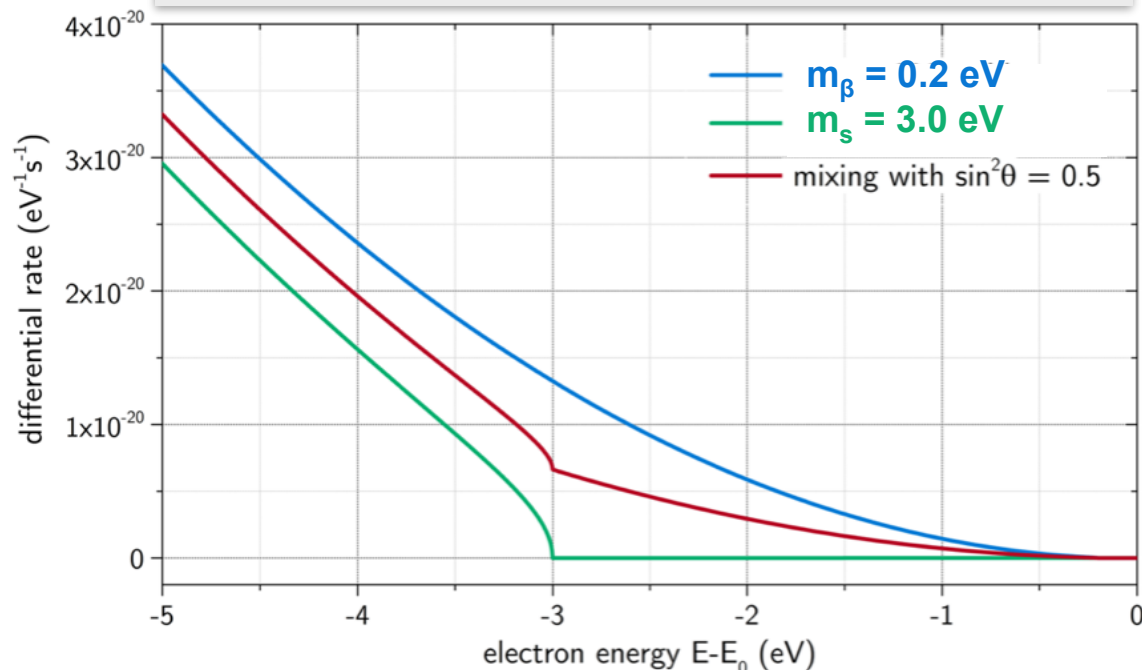
Imprint of sterile neutrinos on β spectrum

$$\frac{d\Gamma}{dE} = \cos^2(\theta_s) \frac{d\Gamma}{dE}(m_\beta^2) + \boxed{\sin^2(\theta_s) \frac{d\Gamma}{dE}(m_s^2)}$$

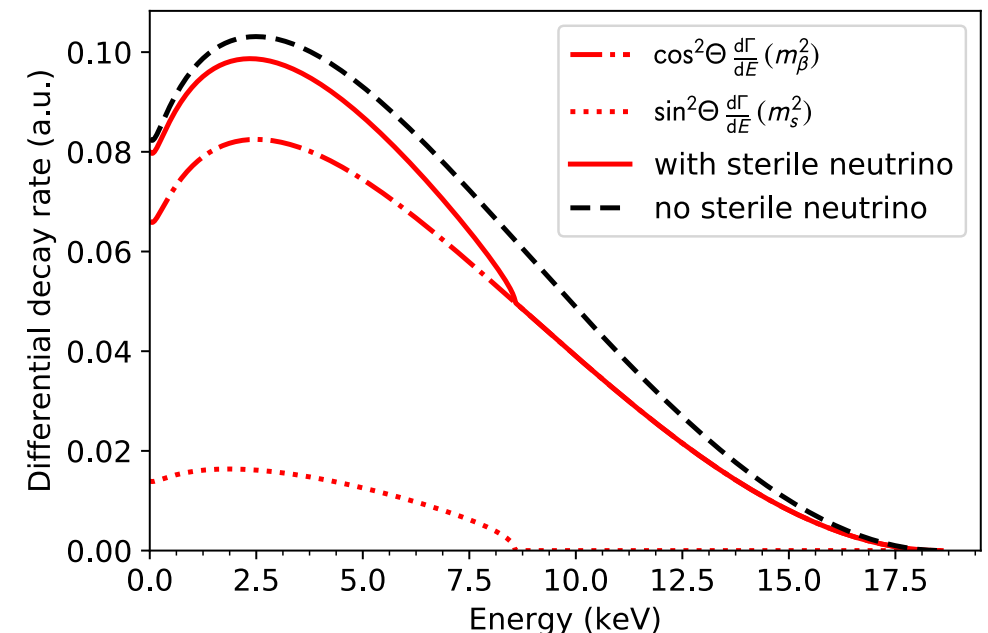
Mixing: sterile ν generates “kink” in β spectrum at $E = E_0 - m_s$



light sterile ν , $m_s \sim \text{few eV}$
motivated by oscillation anomalies



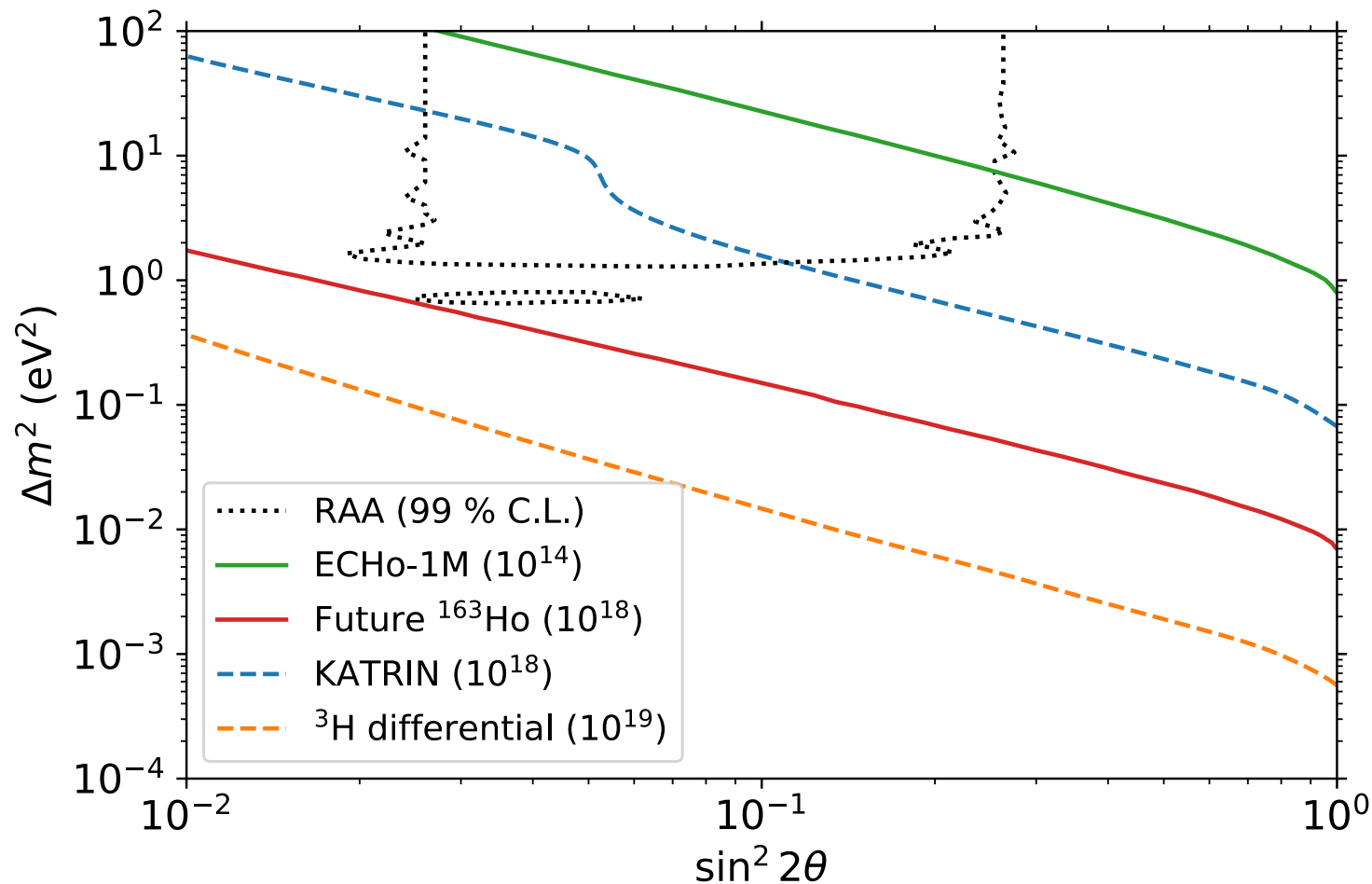
heavy sterile ν , $m_s \sim \text{few keV}$
motivated as DM candidate



Imprint of sterile neutrinos on β spectrum

... close to the **spectral endpoint E_0** :

light sterile neutrinos



Reactor anti-nu anomaly

ECHo-1M experiment

KATRIN experiment

future ^{163}Ho experiment

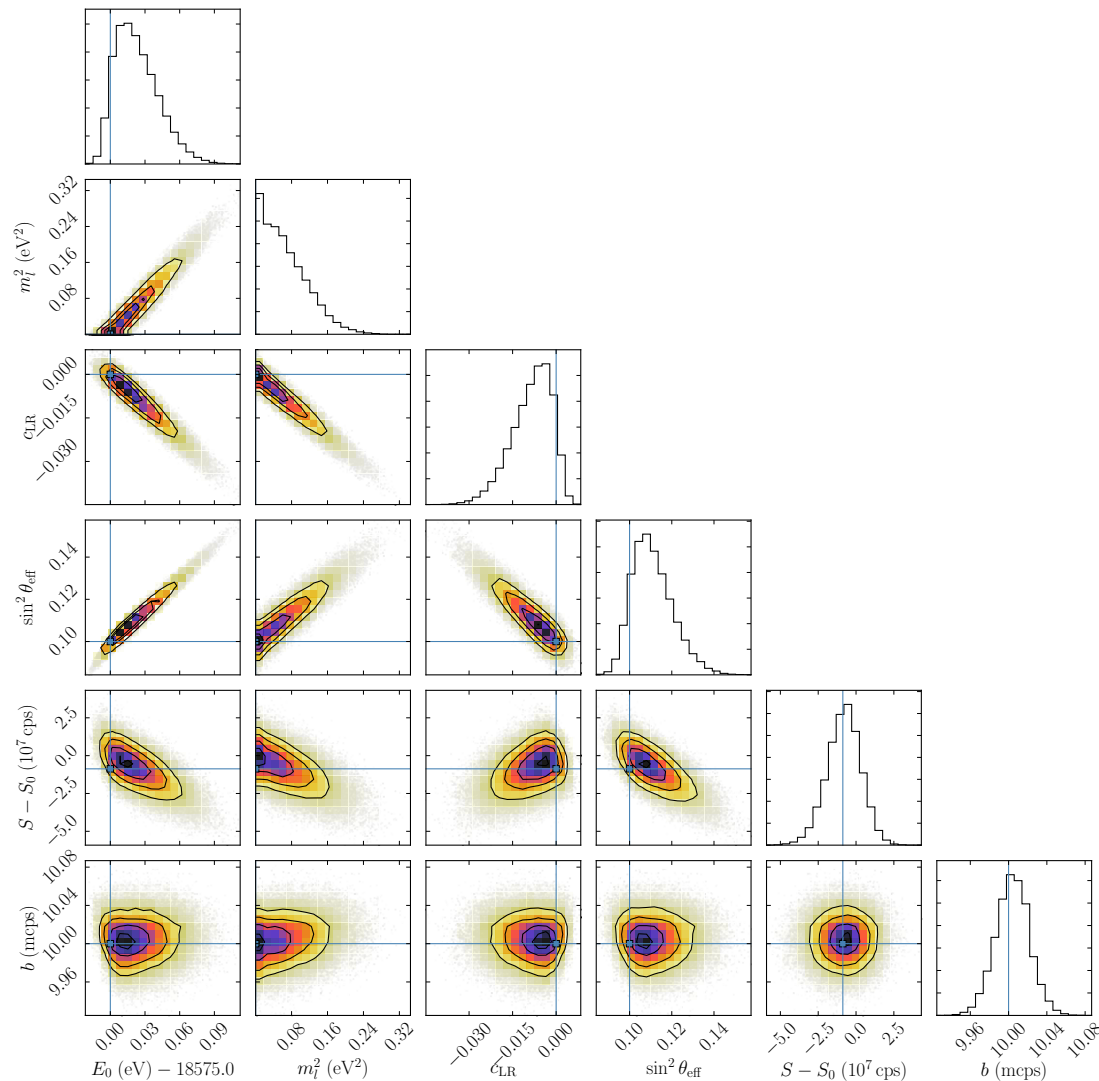
future atomic tritium exp.

[compilation: Böser et al., arXiv:1906.01739]

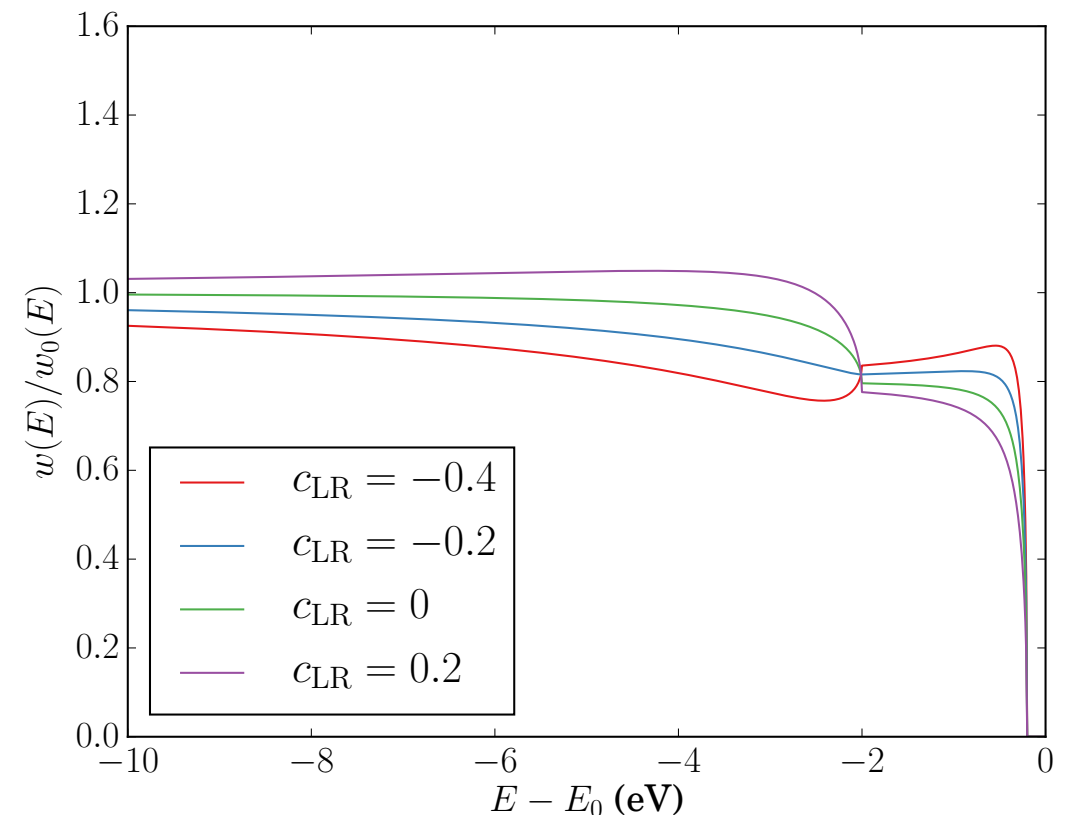
Imprint of sterile neutrinos on β spectrum

... close to the **spectral endpoint E_0** :

light sterile neutrinos
+ novel interactions



Spectral shape distortion close to E_0
due to interference term in left-right
symmetric model

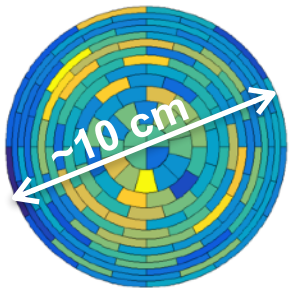


Search for keV-scale sterile ν with TRISTAN at KATRIN

- High count rates at ~few keV below endpoint
- Tiny sterile admixture $\sin^2(\theta_s)$ expected
- Best sensitivity for differential measurement, need energy resolution ~300 eV or better

A. KATRIN Phase-0

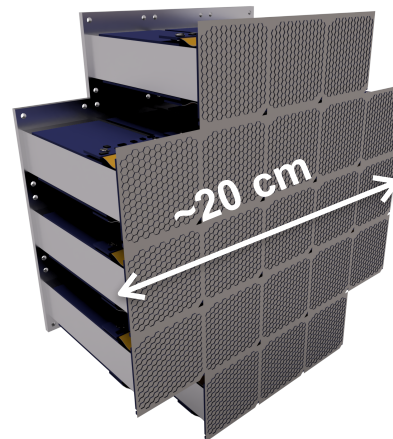
initial ramp-up phase
of KATRIN at reduced
source strength



148 pixels
KATRIN 2018/19

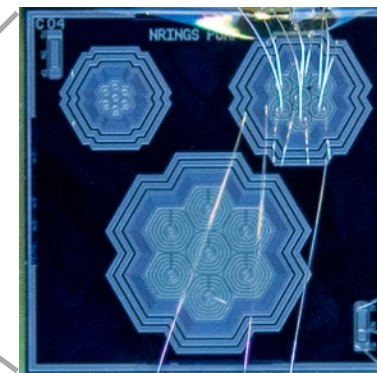
B. TRISTAN project

detector upgrade after completion
of 5-year KATRIN running



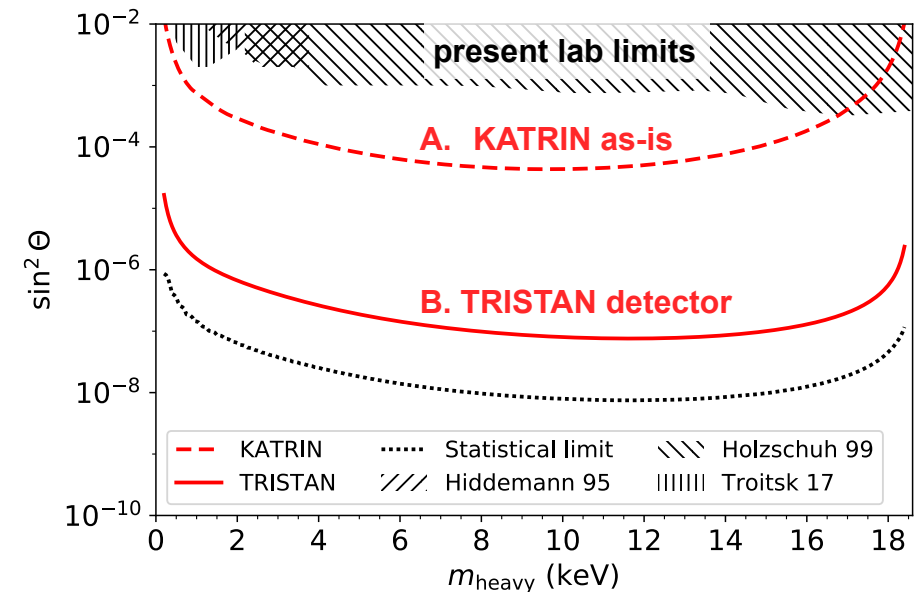
~ 3500 pixels
KATRIN ca. 2024

7-pixel SDD prototype
(MPP/HLL Munich)



166-pix module test
at KATRIN in 2019

Concept paper:
Mertens et al., J.
Phys. G 46
(2019) 065203



Summary

- The absolute neutrino mass scale is one of the big open questions in astroparticle physics.
- Complementary sources of information: cosmology, $0\nu\beta\beta$ search, direct kinematic experiments (^3H , ^{163}Ho).
- Several experiments have just started and are delivering first results!
- Much larger data sets and refined analyses are expected during the next years. In parallel, new technologies are being developed.
- Bonus: Precision β/EC spectra give access to a broad range of physics topics, e.g. heavy neutrinos at eV and keV scales, exotic weak interactions, ...



→ Stay tuned and/or join us!