



Direct measurements of neutrino mass

- Motivation
- Impact of v oscillations and mixing
- Interpretation of β -decay endpoint results in terms of ν mass eigenstates

Current β-decay endpoint experiments

- INR Troitsk
- Mainz

O 2000 4000 6000 8000 10000 12000 14000 16000 18000 Electron Energy (eV)

Future experiments and prospects for sub-eV sensitivities

- ¹⁸⁷Re bolometers
- Karlsruhe Tritium Neutrino Experiment (KATRIN)



J.F. Wilkerson WIN02 Workshop Christchurch, New Zealand January 25, 2002

The absolute scale of v masses

- Addresses key issues in particle physics
 - hierarchical or degenerate neutrino mass spectrum
 - understanding the scale of new physics beyond SM
 - potential insight into origin of fermion masses
- Impacts cosmology and astrophysics
 - early universe, relic neutrinos (HDM), structure formation, anisotropies of CMBR
 - supernovae, r-process, origin of elements
 - potential influence on UHE cosmic rays

v mass & mixing - oscillation experiments

For a 3 neutrino scenario the lepton mixing matrix (Maki-Nakagawa-Sakata-Pontecorvo), which relates v mass eigenstates to weak or flavor eigenstates, is:

$$\begin{pmatrix} v_e \\ v_{\mu} \\ v_{\tau} \end{pmatrix} = \begin{pmatrix} U_{e1} & U_{e2} & U_{e3} \\ U_{\mu 1} & U_{\mu 2} & U_{\mu 3} \\ U_{\tau 1} & U_{\tau 2} & U_{\tau 3} \end{pmatrix} \begin{pmatrix} v_1 \\ v_2 \\ v_3 \end{pmatrix}$$

Oscillation experiments yield mass squared differences:

$$\Delta m_{12}^2 = \left| m_{\nu_1}^2 - m_{\nu_2}^2 \right|$$
$$\Delta m_{23}^2 = \left| m_{\nu_2}^2 - m_{\nu_3}^2 \right|$$
$$\Delta m_{13}^2 = \left| m_{\nu_1}^2 - m_{\nu_3}^2 \right|$$

These experiments yield only a *lower bound* on absolute v mass

$$m_i \ge \sqrt{\Delta m_{ij}^2}$$

So, from the Superkamiokande atmospheric neutrino oscillation result:

$$m_3 \ge \sqrt{\Delta m_{atm}^2} \sim (0.04 - 0.07) \text{ eV}$$

The solar neutrino result is much smaller:

$$m_2 \ge \sqrt{\Delta m_{sol}^2} \sim (0.0001 - 0.01) \text{ eV}$$

The LSND result (in a 4 neutrino scenario) would mean

$$m_4 \ge \sqrt{\Delta m_{LSND}^2} \sim 1 \text{ eV}$$

sub-eV absolute v mass measurements

hierarchical

 $m_{\nu_{-}} << m_{\nu_{-}} << m_{\nu_{-}}$

degenerate





Direct or indirect $(0v-\beta\beta-decay, cosmology)$ mass measurements with sub-eV sensitivity are needed

Direct measurements of neutrino mass

• Techniques

- time of flight (SN1987a)
- particle decay kinematics
 - beta decay (and electron capture) spectrum shape
 - muon momentum in pion decay
 - invariant mass studies of multiparticle semileptonic decays

Advantages

- sensitive to absolute mass scale
- purely kinematical observables
- few, if any, assumptions about v properties
- Direct measurements combined with observables from oscillation & 0ν-ββ decay experiments can potentially:
 - help distinguish 3 or 4 neutrino scenarios
 - yield understanding of hierarchy and ordering of masses
 - measure CP-violating phases in lepton sector

Past: history of direct v mass measurements (v flavor eigenstates)



But v oscillations with large mixing angles - forces one to consider direct techniques in terms of v mass eigenstates!

points without error bars represent upper limits

β-decay endpoint measurement

Essentially a search for a distortion in the shape of the b-spectrum in the endpoint energy region



 $dN(E) = K|M|^{2}F(Z,R,E) p_{e}E(E_{0}-E) \{(E_{0}-E)^{2}-m_{v_{e}}^{2}c^{4}\}^{1/2} dE$

β-decay in terms of v mass eigenstates Taking into account v mass eigenstates, the original spectrum $dN(E) = K|M|^2F(Z,R,E) p_eE(E_0-E) \{(E_0-E)^2 - m_{v_e}^2 c^4\}^{1/2} dE$ becomes

 $dN(E) = K|M|^{2}F(Z,R,E) p_{e}E(E_{0}-E) \sum_{i} |U_{ei}|^{2} \{(E_{0}-E)^{2}-m_{v_{i}}^{2}c^{4}\}^{1/2} dE$

The observed beta spectrum shape will depend on:

- \succ the neutrino masses
- \succ the number of neutrino mass eigenstates
- \succ the leptonic mixing matrix elements
- > the total resolution/sensitivity of the measurement

For 3 v mass spectrum, with degenerate states, the beta spectrum simplifies to an "effective mass" : $m_{\beta} = \sum |U_{ei}|^2 m_{v_i}^2$

3 v mass eigenstates - degenerate spectrum

90% CL LMA

current β -decay

current 0vββ

future $0\nu\beta\beta$

 $m_{ee}^{<} 0.34 \text{ eV}^{-}$

2.5

2

m_b (eV)

Combining β -decay, $0\nu\beta\beta$, and neutrino matrix information can potentially distinguish various scenarios

See: Y. Farzan, O.L.G. Peres, and A. Yu. Smirnov Nucl.Phys. **B612**, 59 (2001) hep-ph/0105105

 $m_{ee} < 0.05 \text{ eV}$ $m_{\beta} = \sum |U_{ei}|^2 m_{v_i}^2$ 0.5 future β -decay $m_{ee} = \left| \sum U_{ei}^2 m_{v_i} \right|$ 0 0.2 0.4 0.6 0.8 1.2 1.8 1.4 1.6 0 2 m_{ee} $\tan^2(\theta_{solar})$ $m_{ee} < m_{\beta}$ $|\cos 2\theta_{sol}|(1 - |U_{e3}|^2) - |U_{e3}|^2|$ $0\nu\beta\beta$ curves assume $|U_{e3}| = 0$

Keys to β -decay shape measurements

- Statistics and uncertainty budget
 - Only $2 \sum 10^{-13}$ decays in last 1 eV below endpoint.
 - For 10 eV sensitivity, 100 eV², for 1 eV sensitivity, 1 eV²
 - Must reduce backgrounds (~mHz) and ensure that they are very stable with time.
- One must precisely eliminate or characterize all possible shape effects
 - atomic final state effects
 - use atomic or molecular tritium source (${}^{3}H \not= {}^{3}He + e^{-} + \nu_{e}$)
 - utilize spectrum above atomic states (last 20 eV below endpoint)
 - energy loss shape effects
 - directly measure
 - use only no-loss portion of spectrum (last 9 eV below endpoint)
 - instrumental shape effects
 - direct measurements, using ⁸³Kr^m
 - use integral spectrometers with very good resolution ($\sim eV$)

Tritium β -decay experiments

ITÊP	m _v	experimental results		
T ₂ in complex molecule magn. spectrometer (Tret'yakov)	17-40 eV	100	Τ	
Zürich T ₂ - source impl. on carrier magn. spectrometer (Tret'yakov)	< 11.7 eV	c4 [e/ ²		<u>-</u> - <u>-</u>
Los Alamos gaseous T ₂ - source magn. spectrometer (Tret'yakov)	< 9.3 eV	ε ε -50		I▲ Zürich
Tokyo T - source magn. spectrometer (Treťyakov)	< 13.1 eV	-100 -		 ▲ Los Alamos ■ Tokyo ▼ Livermore
Livermore gaseous T ₂ - source magn. spectrometer (Tret'yakov)		-200 -]	 Mainz Troitsk Troitsk (step
Mainz (1994-today) frozen T ₂ - source electrostat. spectrometer	< 2.2 eV	-250	⊥ magnotia	electrostatic spectrometers
Troitsk (1994-today) gaseous T ₂ - source electrostat. spectrometer	(<2.5 eV)	-300 -350 1986	spectrometers 1988 1990 1992	

Solenoid Retarding Spectrometer

Magnetic Adiabatic Collimation with Electrostatic Filter (MAC-E)

guiding by magnetic fields (magnetic adiabatic collimation) $\Delta \Omega \sim 2 \pi$

electric (retarding-) field : analysis of electron energies (electrostatic filter) integral transmission : E > U₀

$$\vec{F} = (\vec{\mu} \cdot \vec{\nabla}) \vec{B} + q \vec{E}$$

 $\mu = E_{\perp} / B = const$

adiabatic motion



adiabatic transformation $\mathsf{E}_{\bot} \mathop{\rightarrow} \mathsf{E}_{\parallel}$

Troitsk tritium β -decay experiment





Troitsk Results

Claims there is a step function anomaly that varies in **both** amplitude and position above the endpoint.

It is difficult to have much confidence in their reported limit

 $m_{\beta} \le 2.5 \text{ eV} (95\% \text{CL})$ since it requires removing the step function (excess counts)

Likely systematic problems



Lobashev et al., Phys. Lett. **B460** 227 (1999)



Mainz Neutrino Mass Experiment

overall length source - detector ~6 m

Quench condensed solid T₂ source

Early results (94) showed systematic effects, traced to source film roughening transition. (fixed by lowering temperature)

95-97 significant background reduction, signal improvement



9 electrodes P electrodes $P \text{$



Mainz Results

Recent runs (Q5 and greater) exhibit good reduced χ^2 and are stable over a varying fit interval.

Change made to "sweep" spectrometer backgrounds between data points starting at run Q5.

Detailed studies published on source systematics.

 $m_{\beta}{}^2 {=} {-}1.6 \pm 2.5 \pm 2.1 \ eV^2$

 $m_{\beta} \le 2.2 \text{ eV} (95\% \text{CL})$

A solid result.



Weinheimer et al., Phys. Lett. B460 219 (1999)

Future β -decay endpoint measurements

- Ultimate sensitivity of spectrometers
 - require instrumental resolution of $\sim m_v/E_o$
 - spectral fraction per decay that falls in the last m_{ν} of the spectrum is $\sim (m_{\nu}/E_o\,)^3$
 - source thickness is set by the inelastic scattering cross-section (3.4 x 10^{-18} cm²), $\sigma n \le 1$
 - If one wants ~1 event/day in last m_v of the spectrum
 - for a 10 m magnetic spectrometer $m_v \sim 1.7 \text{ eV}$
 - for a 3 m dia. solenoid retarding field spectrometer $m_{\nu} \sim 0.3 \ eV$
- Calorimetic detector sensitivity
 - evade source-thickness limit, because no e-loss problem
 - limited by response time, and eventually pileup
 - requires fine segmentation, many detectors

See Wilkerson and Robertson, Direct Measurements of Neutrino Mass, Sect 3.6

¹⁸⁷Re β -decay microbolometers

¹⁸⁷Re Æ ¹⁸⁷Os + $e^- + \overline{v}_e$

- lowest Q-value: 2.6 keV
- 63% abundance
- 5/2⁺ Æ 1/2⁻ first forbidden transition (requires shape correction)





Fiorini, INFN Milano - AgReO₄



Gatti, INFN Genoa - Re crystal



10 µcalorimeters (250 µg, $\Delta E \sim 25$ eV, $t_{rise} \sim 1$ ms) m_v sensitivity: 10 eV in 1 year

planning the next-generation direct v mass experiment

experimental observable in ß-decay is m_{ν}^2

aim : improvement of m_v by one order of magnitude (3 eV \rightarrow 0.3 eV) requires : improvement of m_v^2 by two orders of magnitude (9 eV² \rightarrow 0.09 eV²) improve statistics :

- stronger tritium source (factor 40) (& larger analysing plane)
- longer measuring period (~100 days \rightarrow ~1000 days)

improve energy resolution :

- large electrostatic spectrometer with $\Delta E=1 \text{ eV}$ (factor 4 improvement)

but : count rate close to ß-end point drops very fast (~ δE^3)

last 10 eV: 2×10^{-10} of total ß-intensity last 1 eV: 2×10^{-13}

Karlsruhe Tritium Neutrino Experiment (KATRIN)

next-generation experiment with sub-eV neutrino mass sensitivity

FH Fulda - FZ & U Karlsruhe - U Mainz - INP Prague - U Seattle - INR Troitsk





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KATRIN Collaboration

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electrostatic spectrometers - properties and geometry

electrostatic analysis of tritium ß-decay electrons (electrode system)

XUHV - conditions : $p < 10^{-11}$ mbar (degassing rate 10^{-13} mbar l / cm² s)





Technological Challenges

electrostatic spectrometer

construction large vessel (Ø=7m, I=20m) XHV (p < 10⁻¹¹ mbar) HV control & stabilization optimized electrode system

tritium sources

stable & safe tritium supply high luminosity & reliability control of syst. effects (TOF op., calib.)

electron transport

> 30 superconducting solenoids
 IHe and IN₂ supply (200W cooling power)
 optimized particle tracking (I > 60 m)
 reliable extinction of tritium (freeze out)

solid state detector

excellent ∆E/E in high B-field (< 1keV) good position resolution mK operation of bolometer

experiment will be operational for several years interdisciplinary solutions are required



Forschungszentrum Karlsruhe

IK

ITP

and sounds

KATRIN & TLK

KATRIN

Estimated KATRIN sensitivity for neutrino masses

realistic MC simulation of sub-eV v-mass signal close to sensitivity limit

narrow interval close to ß end point (last 5 eV) from WGTS



input paramters for simulation :

measuring time : 3 years $\Delta E = 1 \text{ eV}$ (spectrometer) background rate = 11 mHz WGTS : column density 5 x 10¹⁷/cm² max. accepted angle 51° molecular excitations included



Systematic Uncertainties

δE-interval = 15-20 eV KATRIN focuses on very narrow region below E_0 $(\Delta E=1 \text{ eV}, high T_2 \text{ luminosity})$: many systematic uncertainties reduced

- no contribution from excited electronic states of 3 He-T ($\delta E > 25 eV$)
- small contribution from inelastic scattering in source (for δE -Interval of 25 eV : 2% of signal from scattered electrons)
- + better vacuum & higher T_2 purity

remaining uncertainties :

- calculations of rotational-vibrational excitations of ³He-T ground state (0.2% theory uncertainty)
- inelastic scattering of ß-electrons in WGTS (2% uncertainty on σ_{tot} , can be improved)
- solid state effects (self-charging of film, neighbour excitations, ...) only QCTS
- stability of settings : HV calibration and stabilisation WGTS activity and T₂ -purity



estimates of KATRIN sensitivity for m_{ν}



assumptions for simulation:

 $\Delta E = 1 \text{ eV} \text{ (spectrometer)}$ background rate = 11 mHz WGTS : $pd = 5 \times 10^{17} / cm^2$ area = 29 cm² max. accepted angle 51° systematic error : 2% energy loss in WGTS

 $m_v < 0.35 \text{ eV} (90\% \text{ CL.})$



KATRIN - time schedule

- 1/2001 first presentation at international workshop at Bad Liebenzell
- 6/2001 formal founding of KATRIN collaboration
- 9/2001 Letter of Interest (LoI) submitted hep-ex/0109033 BMBF funding 'astroparticle physics' for german universities
- 7/2002 Submission of proposal
- 2002-03 sytematic studies of background processes and design optimisation funding requests (HGF, DOE, ...) and reviews pre-spectrometer measurements and R&D studies
- 2004-06 set up of spectrometer, solenoid system, transport system, detector and tritium sources, hall construction, cryo supply
- 2007 commissioning and begin of data taking



Summary

- There are compelling reasons to attempt sub-eV sensitivity absolute neutrino mass measurements.
 - Understanding neutrino properties.
 - Impact on cosmology and astrophysics
- Large leptonic matrix mixing angles make sub-eV βdecay endpoint measurements an ideal method to directly probe neutrino mass.
- Direct measurements combined with oscillation and 0vββ decay results can discriminate between a variety of 3 and 4 neutrino mass spectrum scenarios.
- KATRIN should be able to achieve a mass sensitivity of 0.35 eV, nearly an order of magnitude improvement over current experiments.

neutrino masses in cosmology

primordial neutrinos as hot dark matter

 Ω = 1 critical density & flat universe (inflation)

 $\Omega_{\rm V} \, {\rm h}^2$ = $\Sigma \, {\rm m}_{\rm V}$ / 92 eV

Hubble parameter h= 0.65 (65 km/s/Mpc)



evolution of large scale structures



v-masses: sensitivity from a SN v - signal



future m_{ν} limits expected from SN- ν cutoff due to early black hole formation



'standard' method :

use time delay due to rest mass: f (E_v, Δt_v)

 Δt_{v} [sec] = 0.026 · d [50 kpc] · m_v [1eV] · E_v⁻² [10 MeV]

limit from SN1987a : 11 v's in Kamiokande and 9 v's in IMB-3

 $m(v_e) < 23 eV$

improved methods (SN - network) :

- a) cutoff due to early black hole
 formation (problem : neutron star
 black hole ratio uncertain)
- b) correlation of v-signal with gravitational waves (Virgo,Ligo)

Dealing with excess counts near the endpoint

Directly comparing results with excess counts is impossible since each experiment uses different functional forms to accommodate excess counts near the endpoint.



KATRIN experiment in linear configuration





Molecular Tritium Sources : WGTS & QCTS

two sources : independent measurements with different systematic effects

Windowless Gaseous Tritium Source

Quench Condensed Tritium Source





WGTS - Windowless Gasous Tritium Source

WGTS : maximum T₂ luminosity & smallest possible systematic errors adiabatic electron transport in strong magnetic field & tritium diffusion

source parameters : L = 10 m, Ø = 70 mm, B_s = 6 T, gas purity > 99.5% T₂ T = 30 K (± 0.2°), column density pd : 5 x 10¹⁷ T₂ / cm²



WGTS parameters: column density pd

choice of column density ρd and θ_{max} to maximise ß-count rate



Signal rate S close to ß-end point ('no loss' electrons : no inelastic scattering in WGTS)



$$S \sim A_A \cdot \Delta E / E \cdot \rho d_{eff}$$

'effective' column density pdeff virtual source of no loss ß-electrons at B_{max}

KATRIN WGTS delivers almost maximum count rate close to E₀





QCTS design parameters :

thickness : 340 Å (100 monolayers) source diameter : 70 mm energy resolution : 2-3 eV temperature :1.6 K (avoid roughening transitions) effective lifetime : ~300 days (due to tritium evaporation)

The QCTS will provide results with independent systematic effects



layout of the differential pumping



differential pumping by turbo molecular pumps

task :

tritium extinction by factor 10^9 transfer of used gas to TLK : T₂ purification (>99.5%)

upstream : tritium pressure < 10⁻⁷ mbar

tritium tubes and solenoids : 1 m long sections tilted by 20°



Electron transport and cryotrapping

tasks : transport of electrons to the spectrometer (B = 5 T) inner tritium tube d = 90mm cryotrapping of tritium & residual gases on IHe-cold bore



guided magnetic flux ~ 190 Tcm² indvidual solenoids and pipes are tilted by 20° relative to each other no direct line of sight !

> cryptrapping part guarantees non-contamination of the spectrometer with tritium



KATRIN electrostatic pre-spectrometer

purpose : reject all ß-electrons with E<18.45 keV to suppress background in main spectrometer ß-electron transmission factor : ~10⁻⁷ with Δ E < 80 eV



pre-spectrometer parameters: I = 4.0 m $\emptyset = 1.7 \text{ m}$ $p < 10^{-12} \text{ mbar}$ pumping by getters and TMPs



Optimization of the electrode design for the central spectrometer

symmetric drop of electrostatic potential in central plane requirement: $\Delta U < 1$ V is met !



main spectrometer



transport of the spectrometer to FZK



possible option : Cargolifter CL160 with 160 t transport capacity





Length 260 m , d = 65 m

cruising altitude : maximum 2000 m

traveling speed : 80-100 km/h

costs : central european manufacturer to FZK

~60 kEuro



Detector Requirements

large sensitive area ($\emptyset = 100 \text{ mm}$, i.e. $\sim 10^4 \text{ mm}^2$) high efficiency for <20 keV e⁻ (minimum dead layer) good spatial resolution to measure source profile background studies ($\Delta x \times \Delta y \sim 5-10 \text{ mm}^2$) good time resolution for ToF mode ($\tau_{rise} < 0.1 \ \mu s$) good energy res. / low el. noise ($\Delta E < 250-300 \text{ eV}$) low γ -efficiency (thickness $\leq 300 \ \mu$ m) small backscatter prob. for ß's (low Z, small angles) low intrinsic background (bg rate $\sim 1 \text{ mHz}$) long-term operation a) strong B-fields (~ few T) b) XUHV conditions

B = 3 XUHV 8 35-45 0 detector environment

no LHC/Tesla radiation hardness required (rate ~ few mHz)



Silicon Drift Diodes for detection of keV ß-electrons

manufacturers : Halbleiterlabor Garching & KETEK, Canberra



- layout : active area 5-10 mm² small collect. anode diameter 100-400 µm segmented p⁺ junctions
- advantages: low capacitance ~ 0.1 pF red. electronics noise (~90eV) thin dead layer (30-50 nm) integrated jFET Peltier cooling sufficient



energy resolution from Fe-55 source

expected energy resolution @ 18.6 keV $\Delta E (FWHM) = \sim 230 \text{ eV}$

<u>□____</u>D-U-U+U+U+U-(KATRIN)+=

Multichannel Silicon Drift Diodes



(_______ [>-↓↓↓↓↓↓ (KATRIN) (===)

KATRIN response function

calculated response function for monoenergetic electrons (energy E) emitted isotropically from WGTS close to tritium ß-endpoint at 18.6 keV





Molecular Excitations of ³HeT⁺

ß-decay of molecular T2: recoil energy, electronic & rotational-vibrational excitations

E_R = 1.72 eV @18.6 keV



absolute accuracy of theory = 0.2 %

A. Saenz, S. Jonsell, P. Froelich, Phys. Rev. Lett. 84 (2000) 242

improved calculations of molecular final states



integration of spectrum yields 99.93% of total population probability



,non v-mass' physics with KATRIN

- tritium ß-decay as test for non-SM interactions :



SM process scalar exchange direct RH current mixing

G.J. Stephenson, T. Goldman, B.H.J. McKellar, Phys.Rev. D62 (2000) 093013

- tritium ß-decay as test of tachyonic neutrinos

J. Ciborowski, J. Rembielinski, Eur.Phys.J. C8 (1999) 157

