The Heavy Top Quark And Supersymmetry*

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ABSTRACT

Three aspects of supersymmetric theories are discussed: electroweak symmetry breaking, the issues of flavor, and gauge unification. The heavy top quark plays an important, sometimes dominant, role in each case. Additional symmetries lead to extensions of the Standard Model which can provide an understanding for many of the outstanding problems of particle physics. A broken supersymmetric extension of spacetime allows electroweak symmetry breaking to follow from the dynamics of the heavy top quark; an extension of isospin provides a constrained framework for understanding the pattern of quark and lepton masses; and a grand unified extension of the Standard Model gauge group provides an elegant understanding of the gauge quantum numbers of the components of a generation. Experimental signatures for each of these additional symmetries are discussed.

*This work was supported in part by the Director, Office of Energy Research, Office of High Energy and Nuclear Physics, Division of High Energy Physics of the U.S. Department of Energy under contract DE-AC03-76SF00098, and in part by the National Science Foundation under grant PHY-95-14797.

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I. Symmetries and Symmetry Breaking

I.1 Symmetries

Much progress in particle physics has been made possible by understanding phenomena in terms of symmetries, which can be divided into four types: global or local action in spacetime or in an internal space. A symmetry of any of these types can be further classified as exact or broken, according to whether any breaking has been measured in experiments, as illustrated by well-known examples in Table 1. In these lectures, I discuss three of the four symmetry types, leaving out the gauging of spacetime symmetries which is expected to occur at the Planck scale.

An interesting feature of Table 1 is that of the six entries, only five have been discovered in nature: there is no experimental evidence for a broken, global symmetry of spacetime, hence the blank entry.

Table 1. Symmetries

	Exact	**Broken**
Local Internal	$SU(3)_{QCD}$ $U(1)_{EM}$	$SU(2) \times U(1)_Y$
Global Internal	Baryon number: B Individual lepton numbers: L_i	Isospin: $SU(2)_I$
Global Spacetime	Displacements: P Angular momentum: J Lorentz boosts: K	

I.2 Flavor Symmetries

With one exception, the entries of Table 1 provide a complete list of what has been discovered experimentally for these categories, ignoring the discrete spacetime symmetries such as parity. The exception is provided by global internal symmetries. Including color and weak degrees of freedom, 45 species of quarks and leptons have been found; experiments have therefore uncovered a $U(45)$ global internal, or flavor, symmetry, which is broken to $B \times L_i$ by the known gauge interactions and particle masses. The existence and masses of these 45 states, together with the way the known gauge forces act on them, is the flavor puzzle of particle physics. It is instructive to consider separately the breaking of $U(45)$ by gauge interactions and by masses. The known gauge interactions divide the 45 states into three identical periods, or generations, each of which contains five multiplets transforming irreducibly under the gauge group: q, u, d, l, and e, as shown in Table 2. I have chosen to write each fermion as a left-handed spinor of the Lorentz groups, so that u, d, and e are left-handed antiquarks and antileptons. In Table 2, the number of states for each of the five representations is shown in parenthesis, the total being 15 for each of the three generations.

Table 2. The Aperiod Table

	$SU(3)$	$SU(2)$	$U(1)_Y$
$q(6)$	3	2	$\frac{1}{6}$
$u(3)$	$\overline{3}$	—	$-\frac{2}{3}$
$d(3)$	$\overline{3}$	—	$\frac{1}{3}$
$l(2)$	—	2	$-\frac{1}{2}$
$e(1)$	—	—	1

The known gauge interactions distinguish between the 15 states of a generation, but do not distinguish between the three generations; they break the flavor symmetry group from $U(45)$ to $U(3)^5$, with one $U(3)$ factor acting in generation space on each of the five multiplets q, u, d, l, and e.

This $U(3)^5$ symmetry is broken in hierarchical stages by the quark and lepton mass matrices. For example, the up quark matrix provides an explicit breaking of $U(3)_q \times U(3)_u$ transforming as a (3, 3). The largest entry in the matrix is clearly the top quark mass, which strongly breaks this group to $U(2)_q \times U(2)_u \times U(1)_{q_3-u_3}$. The fermion mass problem, which is part of the flavor puzzle, is the question of why the quark and lepton mass matrices break $U(3)^5$ in the hierarchical fashion measured by experiment. Since we are dealing with matrices, a solution of this problem would provide an understanding of both quark and lepton masses and the Kobayashi-Maskawa mixing matrix. All questions about the quark and lepton masses and mixings can be rephrased in terms of $U(3)^5$ breaking. For example, "why is $m_t \gg m_b$?" becomes "why is the breaking $U(3)_u \rightarrow U(2)_u$ stronger than that of $U(3)_d \rightarrow U(2)_d$?" In the context of the Standard Model, this rephrasing does not seem very important; however, in the context of supersymmetry, it is of great importance.

I.3 The Major Problems of the High-Energy Frontier

All physicists should spend a great deal of time debating and deciding what are the most important issues in their subfield. At the high-energy frontier, I think the four most important puzzles are:

1. What breaks $SU(2) \times U(1)$?

   The weak interactions appear weak and are short range, because they, alone among the known forces, are generated from a symmetry group which is broken. Perturbative gauge forces do not break themselves—new interactions are required to break them. Such a fifth force must exist and be accessible to experiments designed to probe the weak scale. It is guaranteed to be exciting: it has a dynamic which is different from any of the known forces, and it should shed light on the fundamental question of what sets the mass scale of weak symmetry breaking. I will call this mass scale M_Z, even though the weak symmetry breaking mechanism of the fifth force is responsible for the dominant contribution to the mass of all of the known massive elementary particles.

2. What breaks the $U(3)^5$ flavor symmetry?

   We know that this flavor symmetry is broken at least to $B \times L_i$ because of the observed quark and lepton masses and the Kobayashi-Maskawa mixing matrix. However, such masses and mixings cannot simply be inserted into the theory because they break $SU(2)$; they must originate from some new interactions which break $U(3)^5$. In the Standard Model, these new interactions are the Yukawa couplings of the Higgs boson, but there are other possibilities. We might call these $U(3)^5$ breaking interactions the "sixth force." I think that future experiments will uncover this force also, at least the pieces of it which are strong and are responsible for the large top quark mass. Whatever the description of $U(3)^5$ breaking at the weak scale, there is still the puzzle as to why $U(3)^5$ is hierarchically broken. I think that physics at the weak scale could shed light on some aspects of this; but this is much more uncertain. It is likely that some, and perhaps all, of the understanding of flavor physics occurs at some very much higher energy scale. Nevertheless, at the very minimum, experiments must be done which uncover the weak scale description of $U(3)^5$ breaking, i.e., the sixth force. I find a sense of excitement building up in our field as experiments enter the domain where signals of the fifth and sixth forces will be discovered.

3. Why are the symmetries and fundamental constants of nature what they are?

   The most basic properties of nature can be summarized in terms of a set of gauge, flavor, and spacetime symmetries, and a set of fundamental parameters, such as the gauge couplings and the quark and lepton masses. The next question is embarrassingly obvious: Why these symmetries and why these values of the parameters? The anthropic argument, that without them we could not exist to make the observations, is fraught with problems; it seems to me better to look boldly for a true theory. A complete answer to these questions requires going beyond four-dimensional, point particle quantum field theory, and at the moment, superstring theory provides the unique such direction. However, string theory is very ambitious, and despite exciting developments, the time scale for making definitive connections to physics is completely unknown. The central thesis of these lectures is that we may already have the basic tools required to make considerable progress in furthering our understanding of nature. The familiar tools of unified gauge symmetries, flavor symmetries, and the properties of supersymmetry and the renormalization group can carry us very far and can be tested by experiment. The gauge group $SO(10)$ explains the quantum numbers of Table 2. If the 15 known states of a generation, together with a right-handed neutrino, are placed in the 16 dimensional spinor representation of $SO(10)$, then every entry of Table 2 follows from the simple group theoretic embedding of $SU(3) \times SU(2) \times U(1)$ into $SO(10)$. This is an extraordinary achievement. The vertical unification of a generation also reduces the flavor symmetry group from $U(3)^5$ to $U(3)$, which is much more constraining. Such grand unified theories can reduce the number of free parameters on which all of low-energy physics depends. Several supersymmetric theories based on the flavor group $U(3)$, or on one of its subgroups, have been developed recently and make many predictions for the flavor-changing interactions of the superpartners. Such grand unified theories of flavor are not the ultimate theory, but they can explain a great deal very simply. For grand unified and flavor symmetries, the real question is: how can they be subjected to experimental tests? I will begin the answer to this question in these lectures.

4. How is a quantum theory of gravity to be constructed?

   Superstring theory provides the only known direction for progress.

I.4 Supersymmetry

The current interest in supersymmetry is largely because it offers interesting new directions for attacking each of the above problems. In summary, these new directions are:

1. Supersymmetry is the only symmetry which can give rise to a light, elementary Higgs boson for electroweak symmetry breaking. The puzzle of the scale of weak interactions is replaced with the puzzle of the origin of the scale of supersymmetry breaking.
2. The hierarchical breaking of $U(3)^5$ governs not only the form of the Yukawa interactions of the Higgs, but also the squark and slepton mass matrices. Since the latter are severely constrained by flavor-changing phenomenology, severe restrictions are placed on the group theoretic structure of the pattern of $U(3)^5$ breaking. In addition, supersymmetry allows for the possibility that above the weak scale, some of the $U(3)^5$ breaking which generates the quark and lepton masses arises from the scalar mass matrices rather than from the Higgs-Yukawa interactions.
3. Supersymmetric grand unification provides a successful prediction, at the percent level, of the weak mixing angle. Although less significant, m_b/m_t and m_t can also be successfully predicted in supersymmetric unified models. With further simplifying assumptions, such as the nature and breaking of the flavor group, other predictions can also be obtained.
4. A supersymmetric string theory offers the prospect of a quantum theory of gravity, unified with the other forces.

In these lectures, I will elaborate on the first three of the above: $SU(2) \times U(1)$ breaking, flavor symmetry breaking, and supersymmetric grand unification, in Chaps. II, III, and IV, respectively.

There are many excellent books and review articles on supersymmetry,[1] the supersymmetric extension of the Standard Model,[2] and supersymmetric grand unification. The aim of the present lectures is not to refine or update these works, but to explain why I think the study of supersymmetry is interesting, why the direct search for superpartners is of crucial importance, and what may be learned from a variety of other measurements. Nevertheless, it may be useful to say a few words about supersymmetry and the supersymmetric extension of the Standard Model.

Supersymmetry is an extension of the Poincaré group of spacetime transformations. Spinorial generators, Q and $\overline{Q}$, are added to the usual generators p, J, and K of translations, rotations, and boosts. The only nontrivial extension of the Poincaré algebra involving Q or $\overline{Q}$ is the anticommutation $\{Q, \overline{Q}\} = p$. Consider the evolution of our understanding of the spacetime properties of the electron. When discovered nearly a century ago[†] by J. J. Thompson, it was conceived as a negatively charged particle with just two properties: its mass and electric charge. We view the charge as a consequence of the behavior with respect to the electromagnetic $U(1)$ charge generator, and the mass as a consequence of the translation generator p. The discoveries of Stern and Gerlach dictated that it should be given another attribute, intrinsic spin, which describes its properties with respect to the angular momentum generator, J. The splitting of an atomic beam by an inhomogeneous magnetic field, which they discovered in 1922, is caused by the doubling of the number of electron states which follows from their nontrivial properties under the angular momentum generator: $e \xrightarrow{J} (e^{\uparrow}, e^{\downarrow})$. In the relativistic case, this description is inadequate. The Lorentz boost generator K requires a further doubling of the number of particle states; we call the resulting Lorentz-partners the antiparticles: $e \xrightarrow{K} (e, \overline{e})$. Their properties are dictated by Lorentz symmetry, having equal mass and opposite charge to the particles.

The extension of spacetime symmetries which results from the introduction of the supersymmetry generator, Q, causes a further doubling of the particles: $e \xrightarrow{Q} (e, \widetilde{e})$; while $\overline{e}$ is the Lorentz-partner of the electron, $\widetilde{e}$ is the supersymmetry-partner, or superpartner, of the electron. It has properties which are determined by the supersymmetry algebra: the mass and charge are identical to that of the electron, but because Q is spinorial, it has intrinsic spin which differs by $1/2$ relative to the electron; it is a Lorentz scalar. Many people laugh when they hear about supersymmetry and how it leads to the introduction of a new hypothetical particle for each of the observed particles. However, it is just history repeating itself; perhaps physicists of old laughed at the prospect of antielectrons and antiprotons, but the sniggering soon stopped.

The super-electron is not degenerate with the electron; supersymmetry, if it exists, must be sufficiently broken that the s-electron mass is larger than about 65 GeV. The discovery of supersymmetry would be doubly exciting: not only would it herald an exciting new era of spectroscopy, but it would represent the

[†]I expect we will have celebrations in 1997 for the centenary of the discovery of the first particle which, as far as we know today, is elementary.

discovery of a completely new type of symmetry: a broken spacetime symmetry. The empty box of Table 1 would be filled by Q; nature would have provided examples of all six varieties of symmetries. What could be more interesting?

I.5 Summary

Three types of symmetries are shown in Table 1: local internal, global internal, and global spacetime, which I shall frequently call gauge, flavor, and spacetime symmetries, respectively. Each of these types of symmetry may be broken at scales beneath the Planck scale M_{Pl}. In these lectures, I consider the breaking of a unified group

$$G_{unified} \xrightarrow{M_G} SU(3) \times SU(2) \times U(1) \xrightarrow{M_Z} SU(3) \times U(1), \qquad (I.1)$$

the breaking of the flavor symmetry group $G_f \subset U(3)^5$

$$G_f \xrightarrow{M_F} B \times L_i, \qquad (I.2)$$

and the breaking of supersymmetry

$$(p, J, K, Q, \overline{Q}) \xrightarrow{M_S} (p, J, K). \qquad (I.3)$$

The mass scales represent the scales of the vacuum expectation values of fields which break the symmetry. There could be several stages of breaking of the unified gauge group, and there will almost certainly be several stages in the sequential breaking of the flavor group, so M_G and M_F represent a set of scales. Assuming that only one supersymmetry survives beneath M_{Pl}, M_S is unique. In the limit that $M_S \to 0$, the superparticle and particle masses become degenerate; however, in most schemes of supersymmetry breaking, the mass scale m_s of the superpartners of the known particles is not given by M_S. For example, in supergravity $m_s = M_S^2/M_{Pl}$, and in dynamical supersymmetry breaking models $m_s = \alpha M_S^2/M_X$, where M_X is some other mass scale larger than M_S. The scale M_X or M_{Pl} is known as the messenger scale, M_{mess}; it is the energy scale below which the superpartners possess local supersymmetry breaking masses and interactions.

There is no guarantee that M_F is less than M_{Pl}. The physics of flavor may be understood only at the Planck scale. Indeed, of all the mass scales introduced in this subsection, M_F is perhaps the most uncertain. If $M_F \approx M_{Pl}$, then G_f breaking interactions must occur explicitly at the boundary at M_{Pl}, with small dimensionless coefficients. An advantage to having M_F beneath M_{Pl} is that the small dimensionless fermion mass ratios can then appear as ratios of these scales. In Chap. III, we will explore the case of $M_F < M_{Pl}$, which allows for an understanding of at least some aspects of flavor beneath M_{Pl}.

II. $SU(2) \times U(1)$ Breaking and the Weak Scale

II.1 A Symmetry Description

In the Standard Model, the $SU(2) \times U(1)$ electroweak symmetry is broken by introducing a Higgs sector to the theory, which involves an electroweak scalar doublet, h. The mass squared parameter for this field, m_h^2, determines the order parameter of the symmetry breaking: if it is negative, the electroweak symmetry breaks, while if it is positive, all the elementary particles are massless. The Higgs sector certainly provides an economical description of electroweak symmetry breaking, but it is inadequate for two reasons. There is no dynamical understanding of why symmetry breaking occurs; one simply inserts it into the theory by hand by making m_h^2 negative. Secondly, there is no symmetry understanding of the scale of the breaking, which I refer to as the Z mass, M_Z.

In physics, we have learned that mass scales should be both described and understood in terms of symmetries. Great progress has been made in providing symmetry descriptions of phenomena, but understanding the origin of the symmetry behavior at a deeper level often eludes us, as we illustrate with a few examples.

Why is the photon massless? The symmetry description is clear: electromagnetic gauge invariance is unbroken. However, the deeper question is: *why* is it unbroken? This brings us back to the breaking of $SU(2) \times U(1)$ electroweak symmetry. Why is it accomplished by a single doublet, reducing the rank by one but not by two?

Why are the neutrinos massless? A symmetry description is that nature possesses lepton number as an exact global symmetry. At a deeper level, however, many questions arise: why are there no right-handed neutrinos, why is the lepton number exact? If the neutrinos do have small masses, why are the lepton numbers such good approximate symmetries? An interesting feature of supersymmetric theories is that the standard answers to these questions are inadequate, as discussed in Secs. II.2 and III.7.

Why do the quark and charged leptons have their observed masses? Since the masses break the electroweak symmetry, they can be written as λv, where v is the dimensionful order parameter of the symmetry breaking and λ is a dimensionless parameter, different for each quark and lepton. The overall scale of the masses is determined by v, while the mass ratios are determined by ratios of λ couplings. Many of the λ are small, which we describe in Chap. III in terms of approximate flavor symmetries. But what is the origin for these symmetries and their breaking? Why are there three generations? Why is the up quark so much lighter than the top quark: $\lambda_{up}/\lambda_{top} \approx 10^{-5}$?

What is the origin of the hadronic mass scale of the proton and neutron? This scale is the scale at which the QCD coupling constant, α_s, becomes large and non-perturbative. It arises, through renormalization, as a dimensional transmutation of this gauge coupling, and hence, is described in terms of the QCD symmetry group, $SU(3)$.

These examples illustrate how we turn to symmetries for both a description and a deeper understanding of the phenomena. This applies to all phenomena of particle physics, but here I stress the application to masses.

Now we can better appreciate the inadequacy of the Standard Model Higgs sector description of electroweak symmetry breaking. What symmetry description or understanding does it proscribe for the order parameter v which determines M_Z and the fermion masses? *None.* The crucial point is that it does not even provide a symmetry description for the scale v, let alone any deep understanding. Because the Standard Model Higgs sector is so economical, and because the Standard Model provides an accurate description of so much data, many have concluded that the Standard Model will be the final story—there will be no physics beyond the Standard Model. I strongly disagree with this viewpoint. First, there is not a shred of evidence for the Standard Model Higgs sector, but, more importantly, our experience in physics tells us that the physics responsible for electroweak symmetry breaking will, at the very least, allow a description of the mass scale in terms of a symmetry.

What will this new symmetry be? There are many possibilities, but it is useful to group them according to the fate of the hypothetical Higgs boson. There are three logical possibilities:

1. There is no Higgs boson.
2. The Higgs boson is composite (at a scale close to the weak scale).
3. The Higgs boson is elementary.

The first option is realized in technicolor theories where the weak scale arises by dimensional transmutation from a gauge coupling, just like in QCD. The second option can also be realized by having a new strong gauge force. In this case, the new strong force first produces a composite scalar bound state, which then becomes the Higgs boson of electroweak symmetry breaking. In both of these examples, the symmetry description of the weak scale is in terms of the symmetry group of some new gauge force.

The third option is quite different. The only known symmetry description for a fundamental Higgs boson involves supersymmetry. The lightness of the Higgs may be related to a chiral symmetry acting on its fermionic superpartner, or it may be due to the Higgs being a pseudo-Goldstone boson. In either case, the weak scale is the scale at which supersymmetry is broken. To get a deeper understanding of the weak scale, one must then address the question of how supersymmetry is broken. Presumably, the reason for why the weak scale is much less than the Planck scale is the same as for the technicolor and composite Higgs options: it occurs as a dimensional transmutation due to the strong dynamics of a new interaction. Whereas in the technicolor case, one can simply appeal to the analogy with QCD; in the supersymmetry case there is no analogy—nature has not provided us with other examples of broken spacetime symmetries—hence, there is no substitute for understanding the dynamics of the field theory.

II.2 Matter vs. Higgs

In the Standard Model, it is obvious what distinguishes matter fields, the quarks and leptons, from the Higgs field: matter fields are fermions, while Higgs fields are bosons. In supersymmetry, this distinction disappears! Once superpartners are added, there is no spacetime distinction between quarks $(q, \widetilde{q})$, leptons $(\ell, \widetilde{\ell})$, and Higgs $(\widetilde{h}, h)$ supermultiplets, since each contains a fermion (q, ℓ, or $\widetilde{h}$) and a boson ($\widetilde{q}, \widetilde{\ell}$, or h). Indeed, the distinction between the lepton doublet and the Higgs doublet becomes a puzzle of fundamental importance. Since these have the same gauge quantum members, what is the theoretical distinction between the Higgs and the lepton superfield?

Supersymmetry apparently allows us to do without a Higgs supermultiplet: why not identify the Higgs boson with one of the sneutrino fields, $\widetilde{\nu}$? If there are three generations of matter, then this is not possible: a sneutrino vev $\langle \widetilde{\nu} \rangle$ leads to a Dirac mass of size M_Z coupling the corresponding ν state to the $\widetilde{Z}$. Such a theory would only have two neutrinos of mass less than M_Z. The sneutrino as Higgs idea is so attractive, that it is worth considering the Higgs to be the sneutrino of a fourth generation. In this case, it is the fourth neutrino which marries the

$\tilde{Z}$ to acquire mass M_Z, which has the added advantage of explaining why only three neutrinos are seen in the Z width. The problem with this scheme is that supersymmetry forbids a tree-level coupling of the sneutrino to the up type quarks: the t and t' masses would have to occur via radiative corrections. Given these large masses, this would necessarily involve new nonperturbative interactions. With just four generations of chiral superfields, and the known gauge interactions, the only interactions which could break the chiral symmetry on u_R is the trilinear scalar interaction $\tilde{q}\tilde{u}\tilde{\ell}^\dagger$. Such nonholomorphic supersymmetry breaking interactions are not usually considered—however, they do not introduce quadratic divergences. This interaction is asymptotically free, so that it could become nonperturbative at low energies. However, it is very unclear whether it could give rise to sufficiently large masses for t and t' quarks.

Perhaps the above line of reasoning has not been developed further because the unification of gauge couplings in supersymmetric theories suggests that there are two light Higgs supermultiplets at the weak scale which are distinct from the matter. The conventional picture of weak scale supersymmetry has Higgs superfields, h_1 and h_2, which are distinct from the lepton superfields, although the origin of the distinction indicates that there must be yet another symmetry. The nature of this symmetry is discussed in Sec. III.7.

II.3 A Heavy Top Quark Effect

As mentioned in Sec. II.1, supersymmetry is the only known tool that allows a fundamental Higgs boson at the electroweak scale to be understood in terms of symmetries. This understanding has two aspects:

- The size of $|m_h^2|$ is controlled by the scale of supersymmetry breaking, which is presumably determined by some strong dynamics leading to a dimensional transmutation. Candidate field theories for this exist, but we are far from having a standard picture for the origin of supersymmetry breaking, and I will not discuss it further in these lectures.
- The sign of m_h^2 is controlled by the dynamics which connects the particles of the Standard Model to the supersymmetry breaking interactions, and also by radiative corrections to m_h^2. A given model makes this dynamics explicit, and, if it is perturbative, the sign of m_h^2 is calculable.

In the most popular schemes for giving mass to the superpartners, the supergravity and gauge messenger schemes mentioned in Sec. I.5, the messenger dynamics is perturbative and leads to positive mass squareds for all scalars in the theory. This makes the issue of how $SU(2) \times U(1)$ breaks, i.e., of why m_h^2 is negative, particularly pressing. In particular, what distinguishes the Higgs boson from the other scalars in the theory, the scalar quarks and leptons, which must have positive mass squareds?

The answer to this puzzle is made plausible by its simplicity. There are two important radiative corrections to any scalar mass, m^2:

- gauge contributions, which increase m^2, and
- Yukawa contributions, which typically decrease m^2.

The only important Yukawa radiative corrections are induced by the large top Yukawa coupling λ_t.[‡] Hence, all m^2 are kept positive by the gauge radiative corrections, with the possible exceptions of m_h^2 and $m_{\tilde{t}}^2$, since only h and $\tilde{t}$ couple to λ_t. The λ_t^2 radiative correction is more powerful for m_h^2 than for $m_{\tilde{t}}^2$, meaning that it is m_h^2 which has the greater tendency to go negative. This is due to the fact that colored triplets have a larger multiplicity than weak doublets: $SU(2)$ breaks rather than $SU(3)$ because it is a smaller group. Once m_h^2 is negative, the Yukawa corrections to $m_{\tilde{t}}^2$ actually change sign, preventing $m_{\tilde{t}}^2$ from becoming negative. In addition, $m_{\tilde{t}}^2$ has QCD radiative corrections which also make it more positive than m_h^2.

Electroweak symmetry breaking is therefore understood to be a large top quark mass effect; a result which was obtained before the top quark was known to be very heavy.[3,4] Keeping other parameters of the theory fixed, λ_t is the order parameter for electroweak symmetry breaking in supersymmetric models. For low values of λ_t, $SU(2) \times U(1)$ is unbroken, whereas for high values of λ_t, it is broken. The critical value for λ_t does depend on other parameters of the theory, for example, the superpartner masses. However, now that we know that the top quark is about 175 GeV, λ_t is above the critical value for a very wide range of parameters. I am tempted to say that electroweak symmetry breaking is hard to avoid, but such a statement would require a detailed numerical study.

The size of $|m_h^2|$, and therefore M_Z, and the superpartner masses are both determined by the scale of supersymmetry breaking. Does this allow a prediction of the masses of the superpartners? Since there is more than one supersymmetry breaking parameter, the answer is no. Nevertheless, the understanding of the weak scale from symmetry principles requires that the superpartners not be much

‡The b and τ Yukawa couplings could also be large, in which case the conclusions of this section are strengthened.

heavier than M_Z. Denote the set of supersymmetry breaking parameters by the scale m_s and the dimensionless parameters a. For example, m_s could be defined to be the mass of the lightest chargino, and one of the a parameters would be the ratio of the top squark mass to this chargino mass. Since M_Z has its origin in supersymmetry breaking, it is necessarily given by a formula of the form $M_Z^2 = m_s^2 f(a)$. The scale of the superpartner masses, m_s, can be made much larger than M_Z only at the expense of a fine tuning amongst the a parameters to make $f(a)$ small. Hence:

- We cannot predict the mass of the superpartners. (Certain superpartner mass ratios are predicted in given messenger schemes, and in certain theories with flavor symmetries, and are important tests of these theories.)
- The superpartner mass scale, m_s, can be made much larger than M_Z only by a fine tune between dimensionless parameters which increases as m_s^2/M_Z^2.

The amount of fine tuning can be characterized by the sensitivity of M_Z^2 to small changes in the a parameters: $c_a = (a/M_Z^2)\delta M_Z^2/\delta a$ (Ref. 5). A refined definition of the sensitivity parameter, $\gamma_a = c_a/\bar{c}_a$, has been advocated, where $\bar{c}_a$ is an average of c_a (Ref. 6). Although there are no rigorous, mathematical upper bounds on the superpartner masses, it is possible to give upper bounds on the superpartner masses if the amount of fine tuning, taken to be $\tilde{\gamma}$, the largest of the γ_a, is restricted to be less than a certain value. Such naturalness bounds are shown for the Higgs scalar masses as well as the superpartner masses in the figure. The upper extent of the line corresponds to $\tilde{\gamma} = 10$, the error bar symbol to $\tilde{\gamma} = 5$, and the squares give values of the masses for which the fine tuning is minimized. This plot applies to the case of universal boundary conditions on the scalar masses at very high energies. Relaxing this condition will allow some superpartner masses, for example, the scalars of the first two generations, to increase substantially. However, there will still be several superpartners, such as the lighter charginos (χ^+), the lighter neutralinos (χ^0), and the top squarks, which will prefer to be lighter than 300 GeV. The absence of any superpartners beneath 1 TeV would mean that the understanding of the weak scale described in this chapter has very serious problems. LEP II and the Fermilab Main Injector are well-positioned to discover supersymmetry, although the absence of superpartners at these machines would not be conclusive.

III. Flavor in Supersymmetric Theories

III.1 The Fermion Mass and Flavor-Changing Problems

In nature, fermions exist in 45 different helicity states. What is the origin of these states, and why do they assemble into three generations of quarks and leptons with such diverse masses, mixings, gauge, and global quantum numbers? This is the flavor problem. Two important aspects of the flavor problem are:

1. The fermion mass problem. What is the origin of the observed hierarchy of quark and lepton masses and mixings?

   Models of particle physics can be divided into two groups. *Descriptive models* are those which describe the observed quark and lepton masses and mixings with 13 free parameters and make no attempt to understand the hierarchies. The Standard Model is a descriptive model. *Predictive models* are those which either describe the 13 observed masses and mixings with fewer than 13 parameters, or which provide some understanding of the mass and mixing angle hierarchies.

2. The flavor-changing problem. Why are processes which involve flavor-changing neutral currents (FCNC) so rare? Three such highly suppressed quantities are $\Delta m_K, \epsilon_K$, and the rate for $\mu \to e\gamma$.

Coupling constants which distinguish between generations are called flavor parameters, and include the parameters which generate the observed quark and lepton masses and mixing. In the Standard Model, there are 13 flavor parameters, precisely one for each of the 13 observed fermion masses and mixings, and they all originate from the Yukawa coupling matrices. In extensions of the Standard Model, there may be more flavor parameters, so that they cannot all be experimentally determined from the quark and lepton masses and mixings.

A model is considered natural if it suppresses FCNC processes for *generic* values of the flavor parameters, i.e., for a wide range of the parameters that is consistent with the observed fermion masses and mixing. The Standard Model is natural in this sense: all the Yukawa parameters are determined from the experimentally measured fermion masses and mixings, and the GIM mechanism[7] ensures the smallness of FCNC processes. For models with more flavor parameters, we must address the question of what values of the parameters are generic.

In this chapter, I assume that below some high scale Λ, physics is described by a softly broken, supersymmetric $SU(3) \times SU(2) \times U(1)$ gauge theory of minimal field content: three generations of quark and lepton superfields q_i, u_i, d_i, l_i, and e_i, and two Higgs doublet superfields h_1 and h_2. Assuming invariance under R parity, the flavor parameters of this theory can be written as 11 matrices in generation space. Three of these are Yukawa coupling matrices of the superpotential

$$W = q\boldsymbol{\lambda}_U u h_2 + q\boldsymbol{\lambda}_D d h_1 + \ell\boldsymbol{\lambda}_E e h_1. \qquad (III.1)$$

The supersymmetric interactions have identical flavor structure to the Standard Model and lead to a supersymmetric GIM mechanism suppressing FCNC effects. The other eight matrices contain soft supersymmetry breaking parameters

$$\begin{aligned} V_{soft} &= \tilde{q}\boldsymbol{\xi}_U \tilde{u} h_2 + \tilde{q}\boldsymbol{\xi}_D \tilde{d} h, + \tilde{\ell}\boldsymbol{\xi}_E \tilde{e} h_1 + h.c. \\ &\quad + \tilde{q} m_q^2 \tilde{q}^\dagger + \tilde{u}^\dagger m_u^2 \tilde{u} + \tilde{d}^\dagger m_d^2 \tilde{u} + \tilde{\ell} m_\ell^2 \tilde{\ell}^\dagger + \tilde{e}^\dagger m_e^2 \tilde{e}. \end{aligned} \qquad (III.2)$$

If these eight matrices are given values which are "generic," that is, the size of any entry in a matrix is comparable to the size of any other entry, then loop diagrams involving superpartners lead to very large FCNC effects, even for superpartners as heavy as 1 TeV (Ref. 8). For example, the quantities ϵ_K and $\Gamma(\mu \to e\gamma)$ are about 10^7 larger than allowed by experiment. This is the flavor-changing problem of supersymmetry.

Over the last few years, an interesting new development has occurred. Progress has been made simultaneously on the fermion mass and flavor-changing problems of supersymmetry by introducing flavor symmetries which constrain the forms of both the Yukawa couplings of Sec. III.1 and the scalar masses and interactions of Sec. III.2. In the symmetry limit, many of the Yukawa coupling entries vanish, and the form of the scalar masses are strongly constrained. Small hierarchical breakings of the flavor symmetry introduce small parameters that govern both the small masses and mixings of the fermions, and the small violations of the superGIM mechanism which give small contributions to FCNC processes. This linking of two problems is elegant and constraining; it is so simple that it is hard to understand why it was not explored in the early '80s. Perhaps we are taking supersymmetry more seriously these days.

In Sec. III.5, I will discuss the literature on this subject, which began in 1990 and has grown into a minor industry recently. Each of the papers to date studies a particular flavor symmetry, G_f, and a particular breaking pattern. Many of the models illustrate a special point or aim for a particular fermion mass prediction. In Secs. III.2 and III.3 below, my aim is to demonstrate the generality and power of this approach. In fact, from this viewpoint, I argue that the flavor-changing problem has arisen because of an unreasonable definition of "generic." We know from the observed masses and mixings of quarks that $\lambda_{D_{12}}$ and $\lambda_{D_{21}}$ are very small. A solution to the fermion mass problem would give us an understanding of why this is so, but no matter what the understanding, the flavor symmetries acting on the down and strange quarks are broken only very weakly. Experiment has taught us that approximate flavor symmetries (AFS) are a crucial aspect of flavor physics. It is therefore quite unreasonable to take $m^2_{q_{12}} \approx m^2_{q_{11}}$; the former breaks strange and down flavor symmetries and hence should be very suppressed compared to the latter, which does not. (A crucial difference between scalar and fermion mass matrices is that the diagonal entries of fermion mass matrices break Abelian flavor symmetries, while diagonal entries of scalar mass matrices do not.)

In this chapter, I explore the consequences of linking the flavor-changing problem to the fermion mass problem. I require that *all flavor parameters of the theory are subject to the same approximate flavor symmetries*. I take this to be an improved meaning of the word "generic" in the statement of the flavor-changing problem. With this new viewpoint, it could be that there is no flavor-changing problem in supersymmetry. Perhaps if one writes down the most generic soft parameters at scale Λ, the FCNC processes are sufficiently suppressed.

Let G_f be the approximate flavor symmetry group of the theory below scale Λ, and suppose that G_f is explicitly broken by some set of parameters $\{\epsilon(R)\}$, which transform as some representation R of G_f, and take values which lead naturally to the observed pattern of fermion masses and mixings. We will discover that for some G_f and $\{\epsilon(R)\}$, the flavor problem is solved, while for others it is not. Hence, the flavor-changing problem of supersymmetry is transformed into understanding the origin of those G_f and $\{\epsilon(R)\}$ which yield natural theories.

Below scale Λ, models are typically (but not always) *descriptive*; they do not provide an understanding of the fermion masses. However, knowing which $G_f, \{\epsilon(R)\}$ solve the flavor-changing problem serves as a guide to building *predictive* models above Λ. The theory above Λ should possess an exact flavor symmetry G_f that is broken spontaneously by fields $\{\phi\}$, which transform as R under G_f and have vacuum expectation values $\langle\phi\rangle = \epsilon\Lambda$.

In Sec. III.2, I introduce the ideas of Approximate Flavor Symmetries (AFS), and in Sec. III.3, I give a set of simple conditions which are sufficient for an AFS to solve the flavor-changing problem. In Sec. III.4, I show that the flavor-changing problem is solved when G_f is taken to be the maximal flavor symmetry. I delay a discussion of previous work on this subject until Sec. III.5. In Sec. III.6, I discuss the case $G_f = U(2)$, where the flavor-changing constraints dictate a special and interesting texture for the fermion mass matrices. In Sec. III.7, I show that R parity finds a natural home as a subgroup of the flavor symmetry. Sections III.5 and III.7 are taken from Ref. 27. This chapter is the most technical of these lectures; a brief statement of the conclusions is given in Sec. III.8.

III.2 Approximate Flavor Symmetries

Using approximate flavor symmetries to describe the breaking of flavor is hardly new, but it is certainly powerful. QCD with three flavors has an approximate flavor symmetry $G_f = SU(3)_L \times SU(3)_R$, explicitly broken by a various parameter $\{\epsilon(R)\}$, which includes the quark mass matrix $M(3,\bar{3})$, and electric-charge matrices $Q_L(8,1)$ and $Q_R(1,8)$. Below Λ_{QCD}, the flavor symmetries are spontaneously broken to the vector subgroup and G_f is realized nonlinearly. The interactions of the Goldstone bosons can be described by constructing an invariant chiral Lagrangian ($\mathcal{L}$) for $\Sigma(3,\bar{3}) = exp(2i\pi/f)$. For our purposes, the crucial point is that the flavor symmetry breaking beneath Λ_{QCD} can be described by constructing the chiral Lagrangian to be a perturbation series in the breaking parameters $\{\epsilon\} = \{M, Q_L, Q_R ...\}$. Thus, $\mathcal{L} = \mathcal{L}_0 + \mathcal{L}_1 + \mathcal{L}_2 + ...$ where $\mathcal{L}_N$ contains terms of order ϵ^N. For example,

$$\mathcal{L}_1 = a_1 \Lambda^3_{QCD} Tr(M\Sigma^\dagger) + ... \qquad (III.3a)$$

$$\mathcal{L}_2 = a_2 \Lambda^2_{QCD} Tr(M\Sigma^\dagger M\Sigma^\dagger) + a_3 \Lambda^4_{QCD} Tr(Q_L \Sigma Q_R \Sigma^\dagger) + ... \qquad (III.3b)$$

where all the unknown dynamics of QCD appear in the set of dimensionless strong interaction parameters $\{a\}$, which are $O(1)$. This illustrates the basic tool which we use in this chapter.

The full-flavor symmetry of the 45 fermions of the Standard Model is $U(45)$. This is broken to the group $U(3)^5$ by the Standard Model gauge interactions. Each $U(3)$ acts in the three-dimensional generation space and is labeled by A, which runs over the five types of fermion representation (q, u, d, ℓ, e).

The $U(3)^5$ flavor symmetry of the Standard Model gauge interactions is broken explicitly by the Yukawa couplings of the Standard Model, which have the transformation properties

$$\begin{aligned} &\boldsymbol{\lambda}_U \ (\bar{3}, \bar{3}, 1, 1, 1) \\ &\boldsymbol{\lambda}_D \ (\bar{3}, 1, \bar{3}, 1, 1) \\ &\boldsymbol{\lambda}_E \ (1, 1, 1, \bar{3}, \bar{3}). \end{aligned} \qquad (III.4)$$

In this section, we speculate that these Yukawa parameters result from some new physics above scale Λ, which possesses an AFS G_f, broken explicitly by a set of parameters $\{\epsilon(R)\}$. The theory beneath Λ can be written as a perturbation series in the ϵ. The Standard Model gauge Lagrangian appears at zeroth order, while the flavor-violating fermion masses appear at higher order.

Such a picture is not new: the composite technicolor standard models were based on this picture.[9] In this case, the theory above Λ was taken to be a preonic theory with strong dynamics which leaves a $U(3)^5$ flavor symmetry unbroken. The strong dynamics produces composite quarks, leptons, and Higgs bosons. The preonic theory contains parameters $\{\epsilon(R)\}$ which explicitly break $U(3)^5$; in fact, these parameters are assumed to be preon mass matrices $M_{U,D,E}$ with the same transformation properties as $\boldsymbol{\lambda}_{U,D,E}$. At first order in perturbation theory, $\boldsymbol{\lambda}_{U,D,E}$ are generated proportional to $M_{U,D,E}$. At higher order, various phenomenologically interesting four-quark and four-lepton operators are generated. For example, the operator $1/\Lambda^6(qM_U M_U^\dagger q)(qM_U M_U^\dagger q)$ leads to an additional contribution to ϵ_K.

This picture is very close to that adopted here, except that:

(a) The theory beneath Λ is one with softly broken supersymmetry, and contains eight flavor matrices in the soft supersymmetry breaking interactions in addition to the three supersymmetric Yukawa matrices.

(b) A large variety of AFS groups G_f and explicit symmetry breaking parameters $\{\epsilon(R)\}$ are of interest. In Sec. III.4, we consider the obvious possibility that $G_f = G_{max} = U(3)^5$, and $\{\epsilon(R)\} = \boldsymbol{\epsilon}_U, \boldsymbol{\epsilon}_D, \boldsymbol{\epsilon}_E$ transforming as $\boldsymbol{\lambda}_{U,D,E}$ are the only symmetry breaking parameters.

(c) The more fundamental theory above Λ need not involve strong, nonperturbative dynamics. Each possible term in the low-energy theory will be given an arbitrary dimensionless coefficient (labelled by $\{a\}$), which we think of as being $O(1)$ if the dynamics at Λ is strong. However, if the dynamics at Λ is perturbative, then $\{a\}$ will be less than unity, and the flavor-changing effects will be milder.

As a final example of the previous use of AFS, we consider the Standard Model extended to contain several Higgs doublets. It was frequently argued that these theories had a flavor-changing problem. Those doublets orthogonal to the one with a vev could have Yukawa matrices unconstrained by fermion masses. With all such couplings of order unity, the tree-level exchange of such Higgs bosons generates large FCNC for fermion interactions, such as $(1/m_h^2)(q_1 d_2)^2$ for Δm_K

and ϵ_K. For theories with several Higgs doublets at the weak scale, this flavor problem was frequently solved by imposing a discrete symmetry which allowed only a single Higgs to couple to the u_i and only a single Higgs to the d_i quarks.[10]

From the viewpoint of AFS, however, such discrete symmetries are unnecessary.[11,12] Suppose the Higgs doublet which acquires a vev is labelled h_1. The hierarchical pattern of quark masses implies that the Yukawa interactions of h_1 possess an AFS. It is unreasonable that $h_{2,3...}$ should have interactions which are all $O(1)$ and are unconstrained by these AFS. If one set of interactions possesses an AFS, it is only natural that the entire theory is constrained by the same AFS. One possibility is that the AFS of the quark sector $G_Q = U(1)^9$, a $U(1)$ factor for each of q_i, u_i, and d_i (Refs. 11 and 12), with each $U(1)$ having its own symmetry breaking parameter. Thus ϵ_{q_i} transforms under $U(1)_{q_i}$ but not under any other $U(1)$, etc. In this case, all Yukawa couplings of h_a to up quarks would have the structure $(\lambda^a_U)_{ij} \approx \epsilon_{q_i}\epsilon_{u_j}$ and to down quarks $(\lambda^a_D)_{ij} \approx \epsilon_{q_i}\epsilon_{dj}$. The nine parameters $\{\epsilon_{q_i}, \epsilon_{u_i}, \epsilon_{d_i}\}$ can be estimated from the six quark masses and the three Euler angles of the Kobayashi-Maskawa matrix. The flavor-changing problem of these multi-Higgs models is solved by such a choice of AFS, if the masses of the additional scalars are several hundred GeV. This simple Abelian symmetry is insufficient to solve the supersymmetric flavor-changing problem. It provides for no approximate degeneracy between $\tilde{d}$ and $\tilde{s}$ squarks, and allows Cabibbo-sized mixing between them, which, as shown in the next section, leads to a disastrously large contribution to ΔM_K.

III.3 The Flavor-Changing Constraints

A brief, somewhat heuristic, view of the general conditions required to solve the supersymmetric flavor-changing problem will be given in this section. The results will allow us to understand whether AFS's are likely to be of use in solving this problem. My aim is to provide a set of sufficient conditions which I find to be both simple and useful; I do not attempt to determine the necessary conditions.

Consider the case when $\boldsymbol{\xi}_{U,D,E} = O$. Unitary transformations are performed on the fermion fields to diagonalize $\boldsymbol{\lambda}_{U,D,E}$ and on the scalar fields to diagonalize $m_a^2, a = q, u, d, \ell, e$. In this *mass basis*, there will be unitary mixing matrices at the gaugino vertices, which, for the neutral gauginos, we write as W^α where $\alpha = u_L, u_R, d_L, d_R, e_L, e_R$. Flavor and CP-violating effects are induced by Feynman diagrams involving internal gauginos and scalar superpartners. These are box diagrams for $\Delta m_K, \epsilon_K, \Delta m_B$ ... and penguin-type diagrams for $\mu \rightarrow e\gamma, d_e, b \rightarrow$

$s\gamma$ .... The exchange of a scalar of generation k between external fermions (of given α) of generations i and j leads to a factor in the amplitude of

$$X^{\alpha}_{ij} = m_s^2 \sum_k W^{\alpha}_{ki} W^{\alpha *}_{kj} P^{\alpha}_k \ , \qquad (III.5)$$

where P^{α}_k is the propagator for the scalar of mass m^{α}_k. X^{α} is made dimensionless by inserting a factor m_s^2, where m_s describes the scale of supersymmetry breaking. Studies of flavor and CP-violating processes allows bounds to be placed on the magnitudes and imaginary parts of X^{α}_{ij} of the form

$$X^{\alpha}_{ij} \lesssim X^{\alpha}_{oij} \left(\frac{m_s}{m_{so}}\right)^P , \qquad (III.6)$$

where the bound is X_0 when m_s is taken to be the reference value m_{so}. The quantity p is a positive integer, so that the bounds become weaker for higher m_s. For box diagram contributions, $p = 1$, while for penguin-like diagrams, $p = 2$. Useful results for these bounds are tabulated in Refs. 13–15, as are references to earlier literature. For our purposes, we extract the following results:

If W^{α} are "KM-like," that is, if

$$|W^{\alpha}_{ij}| \lesssim |V_{ij}| (i \neq j), \qquad (III.7)$$

where V is the Kobayashi-Maskawa matrix, important limits only result for processes where the external fermions are of the first two generations (i.e., neither i nor j is three).

The most important flavor-changing limits arise when $(i, j) = (1, 2)$. For example, taking the relevant phases to be of order unity, ϵ_K implies

$$|X^{\alpha}_{12}| = m_s^2 |W^{\alpha}_{21} W^{\alpha *}_{22} (P^{\alpha}_2 - P^{\alpha}_1) + W^{\alpha}_{31} W^{\alpha *}_{32} (P^{\alpha}_3 - P^{\alpha}_1)| \lesssim 10^{-4}. \qquad (III.8)$$

Here and below, I take $m_s = 1$ TeV. For W^{α} KM-like, $|W^{\alpha}_{31} W^{\alpha *}_{32}| \lesssim |V_{td}|\, |V_{ts}| \approx 4 \times 10^{-4}$, so there is no constraint from the last term of Eq. (8) even if there is large nondegeneracy between the scalars of the first and third generation. It is the first term which is typically the origin of the supersymmetric flavor-changing problem. This first term I call the "1–2" problem; while the second term I call the "1, 2–3" signature, because if the W^{α} are CKM-like this contribution is close to the experimental value. One way to solve the problem is to make W^{α}_{21} small

$$|W^{\alpha}_{21}| \lesssim |V_{td}|\, |V_{ts}| \, . \qquad (III.9a)$$

Another is to make the scalars $\tilde{\alpha}_1$ and $\tilde{\alpha}_2$ degenerate:

$$|D^\alpha_{21}| \lesssim \frac{|V_{td}|\,|V_{ts}|}{|V_{us}|}, \qquad (III.9b)$$

where $D^\alpha_{ij} = (m_i^{\alpha^2} - m_j^{\alpha^2})/m_i^{\alpha^2}$, and in the limit of near degeneracy $D^\alpha_{12} \approx m_s^2(P^\alpha_2 - P^\alpha_1)$. In fact, the condition (8) and (9a) or (9b) need only be applied for $\alpha = d_L, d_R, e_L$, and e_R. The limits to flavor-changing processes in the up sector are much weaker and are not problematic. Of course, the flavor problem can also be solved by having smaller suppressions of both W^α_{21} and D^α_{21}. Nevertheless, I find it useful to keep in mind that, for $\boldsymbol{\xi}_{U,D,E} = 0$, the flavor problem is solved if:

I. All W^α are KM-like.

II. Either Eq. (III.9a) or Eq. (III.9b) holds in the d and e sectors.

Since the X^α_{12} quantities are small, it is often convenient to work in the *gaugino basis*. In this basis, superfield unitary transformations are performed to diagonalize $\boldsymbol{\lambda}_{U,D,E}$ so that the neutral gaugino vertices are flavor conserving. The scalar mass matrices now have off-diagonal entries which, assuming they are small, can be treated in perturbation theory as flavor-violating interactions. In this basis, Eq. (III.8) and Eq. (III.9a) or Eq. (III.9b) are replaced by

$$\left|\frac{m_{12}^{\alpha^2}}{m_s^2}\right| \lesssim 4 \times 10^{-4}. \qquad (III.9c)$$

Until now, we have avoided discussing the flavor matrices $\boldsymbol{\xi}_{U,D,E}$ of Eq. (III.1). Inserting the Higgs vev induces mass mixing between left and right scalars; hence 6×6 rotations are required to reach the mass basis. It is easier to use the gaugino basis and treat these masses in perturbation theory, writing them as:

$$\boldsymbol{\xi}_{U,D,E} = W'^{u_L,d_L,e_L}\overline{\boldsymbol{\xi}}_{U,D,E}W'^{u_R,d_R,e_R}, \qquad (III.10)$$

where $\overline{\boldsymbol{\xi}}_{U,D,E}$ are diagonal matrices. Experiments place many limits on the elements $\overline{\xi}_{U,D,Eii}$. For our purposes, it is useful to know that all these limits are satisfied if:

III. All W'^α are KM-like.

IV. $\overline{\xi}_{U,D,Eii}$ are of order $m_s\overline{\lambda}_{U,D,Eii}$.

The basic reason for this is that the only large contributions to flavor-changing processes involving the first two generations then come from terms of order $|W'^{\alpha_L}_{31}W'^{\alpha_R}_{32}|\lambda_{b,t}$ which are $\lesssim |V_{td}V_{ts}|$.

Now that we have argued that the four statements I–IV are sufficient to solve the supersymmetric flavor problem, we can ask whether it is reasonable to expect that AFS will be of use. It should be apparent that the general expectation is that any AFS which leads to the hierarchy of fermion masses, as parameterized by $\overline{\lambda}_{U,D,E_i}$, and to the KM pattern of flavor violation, described by V_{ij}, will automatically lead to I, III, and IV being satisfied. The only remaining question is whether AFS can satisfy II, i.e., whether they can produce either Eq. (III.9a) or Eq. (III.9b) [or Eq. (III.9c) in the insertion approximation]. The Abelian G_f discussed earlier ($U(1)^9$ in the quark sector) is clearly insufficient since it gives $D_{21}^{\alpha} \approx 1$ and $W_{21}^{\alpha} \approx V_{us}$. In the next section, I show that the maximal AFS is easily sufficient.

III.4 The Maximal Approximate Flavor Symmetry

We assume that below some high scale, Λ, physics is described by a softly broken, supersymmetric $SU(3) \times SU(2) \times U(1)$ gauge theory with minimal field content. The flavor interactions are those of the superpotential and soft supersymmetry breaking interactions shown in Eqs. (III.1) and (III.2). We assume that the dynamics above Λ, which may be strong, possesses an approximate flavor symmetry G_f. Below Λ, the breaking of this AFS is characterized by a set of parameters $\{\epsilon(R)\}$ transforming as R under G_f. In this section, we take G_f to be $G_{max} = U(3)^5$, the maximal AFS which commutes with the Standard Model gauge group. Although strong dynamics could preserve a larger AFS, the breaking parameters $\{\epsilon(R)\}$ cannot violate $SU(3) \times SU(2) \times U(1)$, so that G_{max} is the largest group under which the set $\{\epsilon\}$ form complete representations. Each factor of G_{max} is labelled as $U(3)_a$ where $a = q, u, d, l$, or e. We assume that the $\{\epsilon\}$ fill out three irreducible representations: $\boldsymbol{\epsilon}_U \sim (3_q, \overline{3}_u), \boldsymbol{\epsilon}_D \sim (3_q, \overline{3}_d)$, and $\boldsymbol{\epsilon}_L \sim (3_l, \overline{3}_e)$. In the case of QCD with approximate $SU(3)_L \times SU(3)_R$ broken explicitly by the quark mass matrix M, there is no loss of generality in choosing a basis for the quark fields in which M is real and diagonal. Similarly, we may choose a basis for the lepton fields in which $\boldsymbol{\epsilon}_E$ is real and diagonal $\overline{\boldsymbol{\epsilon}}_E$. We may choose the quark basis so that $\boldsymbol{\epsilon}_U = \overline{\boldsymbol{\epsilon}}_U$ is diagonal and $\boldsymbol{\epsilon}_D = V^* \overline{\boldsymbol{\epsilon}}_D$, where $\overline{\boldsymbol{\epsilon}}_D$ is diagonal and V is a unitary matrix. All flavor-changing effects of this theory are described by a single matrix, which to high accuracy is the KM matrix. Criteria I and III of the previous section are satisfied. This theory has no violation of the lepton numbers.

To zeroth order in $\{\epsilon\}$, the only interactions of the quarks and leptons are the gauge interactions and the zeroth order supersymmetry breaking potential

$$V_0 = q m_q^2 1 q^\dagger + u^\dagger m_u^2 1 u + d^\dagger m_d^2 1 d + \ell m_\ell^2 1 \ell^\dagger + e^\dagger m_e^2 1 e. \qquad (III.11)$$

We see that the non-Abelian nature of G_f enforces squark and slepton degeneracy at zeroth order in ϵ. However, Eq. (III.11) differs from the universal boundary condition of supergravity because the five parameters m_a^2 are all independent and are not constrained to be equal. Similarly, they can differ from the Higgs mass parameters. Equation (III.9b), and therefore criterion II, is satisfied at zeroth order, but corrections appear at higher order.

At first order in ϵ, superpotential interactions are generated:

$$W_1 = a_1\ q\boldsymbol{\epsilon}_U uh_2 + a_2\ q\boldsymbol{\epsilon}_D dh_1 + a_3\ \ell\boldsymbol{\epsilon}_L eh_1, \qquad (III.12)$$

where $a_{1,2,3}$ are "strong interaction" parameters of order unity. The $U(3)$ transformations are shown explicitly in Appendix A at the end of this chapter.

The assumed transformation properties of the $\{\epsilon\}$ are sufficient to guarantee that W preserves R parity invariance to all orders in ϵ. There is no need to impose R parity as a separate exact symmetry. The Yukawa couplings can be written as expansions in ϵ, for example, $\lambda_U = a_1\epsilon_U + a_4\epsilon_U\epsilon_U^\dagger\epsilon_U + a_5\epsilon_D\epsilon_D^\dagger\epsilon_U + ...$ If we work only to second order, we can simply take $\lambda_U = a_1\epsilon_U$, etc. Even if we work to higher order, we can rearrange the perturbation series as an expansion in $\boldsymbol{\lambda}_{U,D,E}$ rather than $\boldsymbol{\epsilon}_{U,D,E}$. Either way, to second order in the expansion:

$$W_1 = q\boldsymbol{\lambda}_U uh_2 + q\boldsymbol{\lambda}_D dh_1 + \ell\boldsymbol{\lambda}_E eh_1 \qquad (III.13a)$$

$$W_2 = \frac{a_1}{\Lambda^2}(q\boldsymbol{\lambda}_U u)(q\boldsymbol{\lambda}_D d) + ... \qquad (III.13b)$$

$$V_1 = m_s(a_U q\boldsymbol{\lambda}_U uh_2 + a_D q\boldsymbol{\lambda}_D dh_1 + a_E \ell\boldsymbol{\lambda}_E eh_1) \qquad (III.13c)$$

$$\begin{aligned} V_2 \ &= m_s^2\Big(q(a_2\boldsymbol{\lambda}_U\boldsymbol{\lambda}_U^\dagger + a_3\boldsymbol{\lambda}_D\boldsymbol{\lambda}_D^\dagger)q^\dagger + a_4 d^\dagger\boldsymbol{\lambda}_D^\dagger\boldsymbol{\lambda}_D d + a_5 u^\dagger\boldsymbol{\lambda}_U^\dagger\boldsymbol{\lambda}_U u + a_6\ell\boldsymbol{\lambda}_E\boldsymbol{\lambda}_E^\dagger\ell^\dagger \\ &+ a_7 e^\dagger\boldsymbol{\lambda}_E^\dagger\boldsymbol{\lambda}_E e\Big) + \frac{m_s^2}{\Lambda^2}a_8(q\boldsymbol{\lambda}_U\boldsymbol{\lambda}_U^\dagger q^\dagger)(u^\dagger u) + \frac{m_s^2}{\Lambda^2}a_9(q\boldsymbol{\lambda}_U u)(q\boldsymbol{\lambda}_D d). \end{aligned} \qquad (III.13d)$$

Given the nonrenormalization theorems, one might question whether the interactions in W really are generated. In general, the answer is yes: they are generated by integrating out heavy particles at tree level and by radiative corrections to D-terms followed by field rescalings. However, in specific simple models, one discovers that the structure of the supersymmetric theory is such that not all interactions allowed by the symmetries of the low-energy theory are generated. Hence, if the symmetry structure of the low-energy theory is insufficient to solve the flavor-changing problem, it may still be that a theory above Λ with this symmetry can be constructed which does not generate the troublesome interactions.

In QCD, the strong interaction parameters are real—the strong dynamics of QCD preserves CP. Also, the strong dynamics is well-separated from the origin of the explicit breaking parameters $\boldsymbol{\epsilon} = M, Q$. The "strong" dynamics of the supersymmetric theory above Λ may conserve CP so that $a_1 ... a_9$ are real. This would explain the smallness of the neutron electric dipole moment which has contributions from $Im(a_u)$ and $Im(a_d)$ (Ref. 16). However, it may be that the dynamics above Λ which generates these coefficients is not very separate from that which generates the $\{\epsilon\}$. Since the KM phase comes from $\{\epsilon\}$, in this case there would also be phases in $\{a\}$.

Does the boundary condition of Eq. (III.11) and Eq. (III.13) at scale Λ solve the flavor-changing problem? In the lepton sector, the answer is obviously yes: $\boldsymbol{\lambda}_E$ can be made real and diagonal so there is no lepton-flavor violation.

In the quark sector, the only mixing matrix is the KM matrix, so that criteria I and III are satisfied. In fact, the only unitary transformations needed to reach the mass basis are a rotation of V on d_L quarks, and a rotation of q squarks. This latter rotation is awkward; it is more convenient to make the V rotation on d_L to be a superfield rotation, and to treat the remaining scalar mass flavor violation as a perturbation:

$$\frac{\delta m_{21}^{d_L^2}}{m_s^2} = a_2 (V^T \overline{\boldsymbol{\lambda}}_U^2 V^*)_{21} \approx a_2 \left| V_{ts} V_{td} \right|^* \lambda_t^2 \approx 4 \times 10^{-4}. \qquad (III.14)$$

We can see that the condition of Eq. (III.9c), and therefore criterion II, is satisfied. Finally, the trilinear scalar interactions of V_1 in Eq. (III.13c) clearly satisfy the criterion IV. The matrices $W'^{\alpha} = I + O(\boldsymbol{\epsilon}^2)$ so that criterion III is also satisfied.

The flavor structure of this theory with $G_f = G_{max} = U(3)^5$ is very similar to that which results from the universal boundary conditions of supergravity discussed below. In that theory, the terms $a_2 ... a_9$ are assumed to be absent at the boundary, but are generated via renormalization groups scalings from $\Lambda = M_{Pl}$ to m_s, and end up being of order unity. What features of this flavor sector are crucial to solving the flavor-changing problem?

(i) At zeroth order in ϵ, the scalars of each A are degenerate and the soft operators have no flavor violation.

(ii) At linear order in ϵ, the superfield rotations which diagonalize the quark masses also diagonalize the soft scalar trilinear couplings. Hence, at this order, the soft operators contain no flavor-changing neutral currents.

(iii) The corrections to m_a^2, induced at second order in ϵ, induce flavor-changing effects proportional to $\boldsymbol{\lambda}_U \boldsymbol{\lambda}_U^\dagger$ and $\boldsymbol{\lambda}_D \boldsymbol{\lambda}_D^\dagger$. If we restrict $\boldsymbol{\lambda}_U$ and $\boldsymbol{\lambda}_D$ to their light 2×2 subspaces, then all contributions are less than 10^{-4}. Hence, we need only consider contributions involving the heavy generation. For external light quarks, this gives small contributions because V_{ts} and V_{td} are small.

We finish this section by briefly comparing the AFS method to several well-known solutions of the supersymmetric flavor-changing problem. The low-energy structure of these theories can be understood as examples of the AFS technique.

The most popular treatment of the supersymmetric flavor-changing problem is to assume that at some high scale, usually taken to be the reduced Planck mass, the flavor matrices possess a "universal" form[17,18]:

$$m_a^2 = m_0^2 I \qquad (III.15a)$$

$$\boldsymbol{\xi}_{U,D,E} = A\ \boldsymbol{\lambda}_{U,D,E} \quad , \qquad (III.15b)$$

which generalizes the idea of squark degeneracy.[8] This form is the most general which results from hidden sector supergravity theories, provided the Kähler potential is $U(N)$ invariant, where N is the total number of chiral superfields.[18] However, imposing this $U(N)$ invariance as an exact symmetry on one piece of the Lagrangian is ad hoc because it is broken explicitly by the gauge and superpotential interactions.

We advocate replacing this $U(N)$ idea with an approximate flavor symmetry G_f acting on the entire theory, broken explicitly by a set of parameters $\{\epsilon(R)\}$, allowing the Lagrangian to be written as a power series in ϵ: $\mathcal{L}_0 + \mathcal{L}_1 + \ldots$. At each order, the most general set of interactions is written which is consistent with the assumed transformation properties of $\{\epsilon(R)\}$. Taking $G = U(3)^5$, we have found that a modified universal boundary condition emerges. At zeroth order in ϵ, we found Eq. (III.15a) to be replaced by

$$m_a^2 = m_a^2 I, \qquad (III.16a)$$

and at first order in ϵ, Eq. (III.15b) is replaced by

$$\boldsymbol{\xi}_{U,D,E} = A_{U,D,E} \boldsymbol{\lambda}_{U,D,E}. \qquad (III.16b)$$

These boundary conditions are corrected at higher orders by factors of $(1 + O(\epsilon^2))$ but are sufficient to solve the supersymmetric flavor-changing problem. While Eq. (III.15) was invented as the most economical solution to the flavor-changing problem, the symmetry structure of the theory demonstrates that it is ad hoc, and from the phenomenological viewpoint, it is overkill. The flavor structure of the low-energy theory provides a motivation for Eq. (III.16), together with the $1+O(\epsilon^2)$ correction factors. Phenomenological results, which follow from assuming the boundary condition (15) but do not result from Eq. (III.16), should be considered suspect. For example, the flavor-changing problem provides no motivation for the belief that the squarks of the lightest generation ($\tilde{q}_L, \tilde{d}_R$, and $\tilde{u}_R$) are degenerate (up to electroweak renormalizations and breaking). Similarly, the flavor-changing problem provides no motivation for a boundary condition where $m^2_{h_1}$ and $m^2_{h_2}$ are both set equal to squark and slepton masses.

Perhaps the most straightforward idea to solve the flavor-changing problem is to assume that supersymmetry breaking is transferred to the observable sector by the known gauge interactions.[4] Suppose this happens at scale Λ, and that below Λ the observable sector is the minimal field content supersymmetric $SU(3)\times SU(2)\times U(1)$ theory. At scale Λ, the dominant soft supersymmetry breaking operators are the three gaugino mass terms, which are generated by gauge mediation at the one-loop level. At higher loop levels, at scale Λ, the eight flavor matrices m^2_a and $\boldsymbol{\xi}_{U,D,E}$ are generated. However, since the only violation of the $U(3)^5$ flavor symmetry is provided by $\boldsymbol{\lambda}_{U,D,E}$, *the most general theory of this sort is described at scale Λ by Eqs. (III.11) and (III.13), and hence, possesses the boundary condition (III.16).* The parameters $\{a\}$ are now each given by a power series in the Standard Model gauge couplings, α_i, with coefficients which depend on the representation structure of the supersymmetry breaking sector. The gaugino masses M_i are very large, and at low energy, the parameters m^2_A of Eq. (III.11) receive contributions $\propto \sum_i C_{iA}\alpha_i M_i^2 \ln \Lambda/m_s$, where C_{iA} involve quantum numbers. This may dominate m^2_a boosting the importance of V_0, and thereby decreasing the flavor-violating effects induced by $V_{1,2}$.

The AFS technique is sufficiently general that it can be used no matter how supersymmetry is broken and transmitted to the observable sector. This almost guarantees that it will be a useful tool in studying the flavor questions of supersymmetry. It may be that nature chooses a more complicated G_f and ϵ than the above example. At scale Λ, the observable sector may involve additional fields, and there may be additional flavor-breaking matrices. Simple group theory can be used to determine the additional terms which these induce in V_1 and V_2, allowing an easy estimation of potential flavor-changing difficulties.

In the previous section, we argued that approximate flavor symmetries which lead to the observed hierarchy of quark and lepton masses and mixings are very likely to give supersymmetric theories where all mixing matrices are KM like, and the eigenvalues of $\boldsymbol{\xi}_{U,D,E}$ possess a hierarchy similar to the eigenvalues of $\boldsymbol{\lambda}_{U,D,E}$. Hence, the criteria I, III, and IV are easily satisfied, and the real flavor problem is that either Eqs. (III.9a) or (III.9b) must be imposed. This means that either the mixing in the first two generations, W_{21}^{α}, is much smaller than expected from the Cabibbo angle, or the squarks of the first two generations must be highly degenerate. This degeneracy can be understood as the consequence of a non-Abelian symmetry, continuous or discrete, which acts on the first two generations. The low-energy limit of any such theories can be analyzed using AFS. An alternative possibility is to seek Abelian symmetries, allowing squark nondegeneracies, which lead to the suppression of $W_{21}^{\alpha}A$.

It is well-known that the experimental constraints on FCNC imply that W_{21}^{α} need be suppressed only in the d and e sectors ($\alpha = d_L, d_R, e_L, e_R$): $W_{21}^{u_L} \approx W_{21}^{u_R} \approx V_{us}$ leads to interesting $D^0\overline{D}^0$ mixing but is not a problem. This opens the possibility that symmetries can be arranged so that Cabibbo mixing originates in the u sector, while mixing of the generations is highly suppressed in the d and e sectors. This idea has been used to construct models with Abelian flavor symmetries and nondegenerate squarks.[21]

III.5 A Brief Introduction to the Literature

In supersymmetric models of particle physics, there are two aspects to the flavor problem. The first is the problem of quark and lepton mass and mixing hierarchies: why are there a set of small dimensionless Yukawa couplings in the theory? The second aspect of the problem is why the superpartner gauge interactions do not violate flavor at too large a rate. This requires that the squark and slepton mass matrices not be arbitrary; rather, even though all eigenvalues are large, these matrices must also possess a set of small parameters which suppresses flavor-changing effects. What is the origin of this second set of small dimensionless parameters?

An extremely attractive hypothesis is to assume that the two sets of small parameters, those in the fermion mass matrices and those in the scalar mass matrices, have a common origin: they are the small symmetry breaking parameters of an approximate flavor symmetry group G_f. This provides a link between the fermion mass and flavor-changing problems; both are addressed by the same symmetry. Such an approach was first advocated using a flavor group $U(3)^5$, broken only by the three Yukawa matrices $\lambda_{U,D,E}$ in the up, down, and lepton sectors,[19] as discussed in the previous section. This not only solved the flavor-changing problem, but suggested a boundary condition on the soft operators which has a more secure theoretical foundation than that of universality. However, this framework did not provide a model for the origin of the Yukawa matrices themselves and left open the possibility that G_f was more economical than the maximal flavor group allowed by the Standard Model gauge interactions.

The first explicit models in which spontaneously broken flavor groups were used to constrain both fermion and scalar mass matrices were based on $G_f = SU(2)$ (Ref. 20) and $G_f = U(1)^3$ (Ref. 21). In the first case, the approximate degeneracy of scalars of the first two generations was guaranteed by $SU(2)$. In retrospect, it seems astonishing that the flavor-changing problem of supersymmetry was not solved by such a flavor group earlier. The well-known supersymmetric contributions to the $K_L - K_S$ mass difference can be rendered harmless by making the $\tilde{d}$ and $\tilde{s}$ squarks degenerate. Why not guarantee this degeneracy by placing these squarks in a doublet of a non-Abelian flavor group $(\tilde{d}, \tilde{s})$? Perhaps one reason is that $SU(2)$ allows large degenerate masses for d and s quarks. In the case of Abelian G_f, the squarks are far from degenerate; however, it was discovered that the flavor-changing problem could be solved by arranging for the Kobayashi-Maskawa mixing matrix to have an origin in the up sector rather than the down sector.

A variety of supersymmetric theories of flavor have followed, including ones based on $G_f = 0(2)$ (Ref. 22), $G_f = U(1)^3$ (Ref. 23), $G_f = \Delta(75)$ (Ref. 24), $G_f = (S_3)^3$ (Refs. 25-27), and $G_f = U(2)$ (Refs. 28, 29). Progress has also been made on relating the small parameters of fermion and scalar mass matrices using a gauged $U(1)$ flavor symmetry in a $N = 1$ supergravity theory, taken as the low-energy limit of superstring models.[30] Development of these and other theories of flavor is of great interest because they offer the hope that an understanding of the quark and lepton masses, and the masses of their scalar superpartners, may be obtained at scales well beneath the Planck scale, using simple arguments about fundamental symmetries and how they are broken. These theories, to varying degrees, provide an understanding of the patterns of the mass matrices, and may, in certain cases, also lead to very definite mass predictions. Furthermore, flavor symmetries may be of use to understand a variety of other important aspects of the theory.

The general class of theories which address both aspects of the supersymmetric flavor problem have two crucial ingredients: the flavor group, G_f, and the flavor fields, ϕ, which have a hierarchical set of vacuum expectation values allowing a sequential breaking of G_f. These theories can be specified in two very different forms. In the first form, the only fields in the theory beyond ϕ are the light matter and Higgs fields. An effective theory is constructed in which all gauge and G_f invariant interactions are written down, including nonrenormalizable operators scaled by some mass scale of flavor physics, M_f. An example of such a theory, with $G_f = U(3)^5$, was discussed in Sec. III.4. The power of this approach is that considerable progress is apparently possible without having to make detailed assumptions about the physics at scale M_f which generates the nonrenormalizable operators. Much, if not all, of the flavor structure of fermion and scalar masses comes from such nonrenormalizable interactions, and it is interesting to study how their form depends only on G_f, G_f breaking, and the light field content.

A second, more ambitious approach is to write a complete, renormalizable theory of flavor at the scale M_f. Such a theory possesses a set of heavy fields which, when integrated out of the theory, lead to the effective theory discussed above.[31] However, it is reasonable to question whether the effort required to construct such full theories is warranted. Clearly, these complete theories involve further assumptions beyond those of the effective theories, namely the G_f properties of the fields of mass M_f, and it would seem that the low-energy physics of flavor is independent of this, depending only on the properties of the effective theory. In nonsupersymmetric theories, such a criticism may have some validity, but in supersymmetric theories it does not. This is because in supersymmetric theories, on integrating out the states of mass M_f, the low-energy theory may not be the most general effective theory based on flavor group G_f. Several operators which are G_f invariant, and could be present in the effective theory, are typically not generated when the heavy states of mass M_f are integrated out. Which operators are missing depends on what the complete theory at G_f looks like. This phenomena is well-known and is illustrated, for example, in Refs. 24, 29, and 32, and it casts doubt on the effective theory approach to building supersymmetric theories of flavor. Finally, one might hope that a complete renormalizable theory of flavor at scale M_f might possess a simplicity which is partly hidden at the level of the effective theory.

III.6 The Minimal U(2) Theory of Flavor

The largest flavor group which acts identically on each component of a generation, and is therefore consistent with grand unification, is $U(3)$, with the three generations forming a triplet. This is clearly strongly broken to $U(2)$ by whatever generates the Yukawa coupling for the top quark. Hence, the largest such flavor group which can be used to understand the small parameters of the fermion and scalar mass matrices is $U(2)$. In this section, I briefly mention aspects of the $U(2)$ theory constructed in Ref. 29.

While the third generation is a trivial $U(2)$ singlet, ψ_3, the two light generations are doublets, ψ_a:

$$q_a = \begin{pmatrix} q_1 \\ q_2 \end{pmatrix} \quad u_a = \begin{pmatrix} u_1 \\ u_2 \end{pmatrix} \quad d_a = \begin{pmatrix} d_1 \\ d_2 \end{pmatrix} \quad \ell_a = \begin{pmatrix} \ell_1 \\ \ell_2 \end{pmatrix} \quad e_a = \begin{pmatrix} e_1 \\ e_2 \end{pmatrix}. \qquad (III.17)$$

In the symmetry limit, only the fermions of the third generation have mass, while the scalars of the first two generations are degenerate: clearly a promising zeroth order structure.

The dominant breaking of $U(2)$ is assumed to occur via the vev of a doublet: $\langle\phi^a\rangle$. If we study the most general theory beneath some flavor scale M_f, then the nonrenormalizable operators for fermion masses are:

$$\frac{1}{M_f}\,[\psi_3\phi^a\psi_a h]_F, \qquad (III.18)$$

which generates V_{cb}, and

$$\frac{1}{M_f^2}\,[\psi_a\phi^a\phi^b\psi_b\; h]_F, \qquad (III.19)$$

which generates a 22 entry in the Yukawa matrices. An immediate difficulty is that $U(2)$ also allows the supersymmetry breaking scalar mass

$$\frac{1}{M_f^2}\,[\psi^{\dagger a}\phi_a^\dagger\phi^b\psi_b\; z^\dagger z]_D, \qquad (III.20)$$

where z is a supersymmetry breaking spurion, taken dimensionless, $z = m\theta^2$, which leads to a splitting of the degeneracy of the scalar masses of the first two generations:

$$\frac{m_{\tilde{e}}^2 - m_{\tilde{\mu}}^2}{m_{\tilde{e}}^2 + m_{\tilde{\mu}}^2} \approx O\left(\tfrac{m_\mu}{m_\tau}\right) \qquad (III.21)$$

in the lepton sector, and

$$\frac{m_{\tilde{d}}^2 - m_{\tilde{s}}^2}{m_{\tilde{d}}^2 + m_{\tilde{s}}^2} \approx O\left(\tfrac{m_s}{m_b}\right) \qquad (III.22)$$

in the down quark sector. These lead to violations of the flavor-changing constraints of Sec. III.3 (Ref. 28). However, if these operators are generated by Froggatt-Nielsen type theories,[31] one discovers that Eq. III.21 and Eq. III.22 are not generated if the exchanged heavy vector generations transform as $U(2)$ doublets.

If the final breaking of $U(2)$ occurs via a two-indexed antisymmetric tensor, $\langle A_{ab}\rangle$, then the final operator contributing to fermion masses is

$$\frac{1}{M_f}\,[\psi_a A^{ab}\psi_b h]_F. \qquad (III.23)$$

It is remarkable that theories of flavor can be based on the two interactions of Eq. III.18 and Eq. III.23, in addition to the third-generation coupling $[\psi_3\psi_3 h]_F$. The Yukawa matrices take the form

$$\boldsymbol{\lambda} = \begin{pmatrix} 0 & \epsilon' & 0 \\ -\epsilon' & 0 & \epsilon \\ 0 & \epsilon & 1 \end{pmatrix}, \qquad (III.24)$$

where $\epsilon = \langle\phi^2\rangle/M_f$ and $\epsilon' = \langle A^{12}\rangle/M_f$, and the scalar mass matrices are

$$m^2 = \begin{pmatrix} m_1^2+\epsilon'^2m^2 & 0 & \epsilon\epsilon' m^2 \\ 0 & m_1^2+\epsilon'^2m^2 & 0 \\ \epsilon\epsilon' m^2 & 0 & m_3^2+\epsilon^2m^2 \end{pmatrix}. \qquad (III.25)$$

The splitting between the masses of the scalars of the lightest two generations is

$$\frac{m_{\tilde{e}}^2 - m_{\tilde{\mu}}^2}{m_{\tilde{e}}^2 + m_{\tilde{\mu}}^2} \approx O\left(\tfrac{m_e m_\mu^2}{m_\tau^3}\right) \qquad (III.26)$$

in the lepton sector, with similar equations in the quark sector. The "1-2" aspect of the supersymmetric flavor-changing problem is completely solved. However, because λ_{22} vanishes, the mixings to the third generation are larger than those of the CKM matrix, so that the conditions of Sec. III.3 are not immediately satisfied. The splittings between the third-generation scalar mass and the lightest two generations should not be of order unity, or the contribution to ϵ_K from the "1, 2-3" effects in this model will be too large. This splitting cannot be computed within a $U(2)$ theory but will be an important constraint on $U(3)$ theories.

This $U(2)$ theory of flavor has a significant economy of parameters. Two of the Standard Model flavor parameters are predicted:

$$\left|\frac{V_{td}}{V_{ts}}\right| = s_1 = \sqrt{\frac{m_d}{m_s}} = 0.230 \pm 0.008 \qquad (III.27a)$$

$$\left|\frac{V_{ub}}{V_{cb}}\right| = s_2 = \sqrt{\frac{m_u}{m_c}} = 0.063 \pm 0.009. \qquad (III.27b)$$

As measurements of these quantities improve, it will be interesting to see whether they remain within the uncertainties of the above predictions. There are six unitary 3×3 flavor-mixing matrices at neutralino vertices; in the $U(2)$ theory, they are real and given by six angles s_{Iij} and s^c_{Iij} where $I = U, D, E$ labels the up, down, and lepton sectors, and $ij = 12, 23, 31$ labels the generations being mixed. These angles are predicted in terms of just three free parameters r_I

$$s_{I12} = -s^c_{I12} = \left(\sqrt{\frac{m_1}{m_2}}\right)_I \qquad (III.28a)$$

$$s_{I23} = \left(\sqrt{r\frac{m_2}{m_3}}\right)_I \qquad (III.28b)$$

$$s^c_{I23} = \left(\sqrt{\frac{1}{r}\frac{m_2}{m_3}}\right)_I, \qquad (III.28c)$$

where $(m_{1,2,3})_I$ are the fermion mass eigenvalues of generations (1,2,3), renormalized at the flavor scale M_f.

Further aspects of this $U(2)$ theory of flavor can be found in Ref. 29, on which this section was based.

III.7 The Suppression of Baryon and Lepton Number Violation

The Standard Model, for all its shortcomings, does provide an understanding for the absence of baryon and lepton number violation: the field content simply does not allow any renormalizable interactions which violate these symmetries. This is no longer true when the field content is extended to become supersymmetric; squark and slepton exchange mediate baryon and lepton number violation at unacceptable rates, unless an extra symmetry, such as R parity, is imposed on the theory. It is worth stressing that some new symmetry, which in general we label by X, really is required: the known gauge and spacetime symmetries are insufficient. The need for X was first realized in the context of a supersymmetric $SU(5)$ grand unified theory.[33] As will become clear, there are a wide variety of possibilities for the X symmetry. Matter parity,[8] Z_N symmetries other than matter parity,[34,35] and baryon or lepton numbers[36] provide well-known examples; each giving a distinctive phenomenology. One of the most fundamental questions in constructing supersymmetric models is Ref. 37. *What is the origin of this extra symmetry needed to suppress baryon and lepton number-violating processes?*

The X symmetry must have its origin in one of the three categories of symmetries which occur in field theory models of particle physics: spacetime symmetries, gauge (or vertical) symmetries, and flavor (or horizontal) symmetries. The X symmetry is most frequently referred to as R parity,[§] R_p, which is a Z_2 parity acting on the anticommuting coordinate of superspace: $\theta \to -\theta$. We view this as unfortunate, since it suggests that the reason for the suppression of baryon and lepton number violation is to be found in spacetime symmetries, which certainly need not be the case. R_p can be viewed as a superspace analogue of the familiar discrete spacetime symmetries, such as P and CP. In the case of P and CP, we know that they can appear as accidental symmetries in gauge models which are sufficiently simple. For example, P is an accidental symmetry of QED and QCD, while CP is an accidental symmetry of the two-generation Standard Model. Nevertheless, in the real world P and CP are broken. This suggests to us that discrete spacetime symmetries are not fundamental and should not be imposed on a theory, so that if R_p is a good symmetry, it should be understood as being an accidental symmetry resulting from some other symmetry. These arguments can also be applied to alternative spacetime origins for X, such as a Z_4 symmetry on the coordinate θ (Ref. 34).[¶] Hence, while the symmetry X could have a spacetime origin, we find it more plausible that it arises from gauge or flavor symmetries.

In this case, what should we make of R_p? If it is a symmetry at all, it would be an accidental symmetry, either exact or approximate. If R_p is broken by operators of dimension 3, 4, or 5, then a weak-scale, lightest superpartner (LSP) would not be the astrophysical dark matter. The form of the R_p breaking interactions will determine whether the LSP will decay in particle detectors or whether it will escape leaving a missing energy signature. The realization that X may well have an origin in gauge or flavor symmetries has decoupled the two issues of the suppression of B and L violation, due to X, and the lifetime of the LSP, governed by R_p.[35,39]

At first sight, the most appealing origin for X is an extension of the Standard Model gauge group, either at the weak scale[37] or at the grand unified scale.[40] An interesting example is provided by the crucial observation that adding $U(1)_{B-L}$ (Ref. 40), or equivalently $U(1)_{T_{3R}}$, is sufficient to remove all renormalizable B and

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[§] R_p was first introduced in a completely different context.[38]

[¶] Clearly, these arguments need not be correct: for example, it could be that both P and CP are fundamental symmetries, but they have both been spontaneously broken. However, in this case the analogy would suggest that R_p is also likely to be spontaneously broken.

L violation from the low-energy theory. Matter parity is a discrete subgroup of $U(1)_{B-L} \times U(1)_{T_{3R}}$. This is clearly seen in SO(10) (Ref. 41), where the requirement that all interactions have an even number of spinor representations immediately leads to matter parity, generated by the Z_2 element

$$X(SO(10)) = e^{i\pi(2T_{3L}+2T_{3R})} = e^{i\pi(N_{16}+N_{144}\ldots)}, \qquad (III.29)$$

where $N_{16,144,\ldots}$ is 1 for a 16, 144, ... representation.

However, this example has a gauge group with rank larger than that of the Standard Model, and the simplest way to spontaneously reduce the rank, for example, via the vev of a spinor 16-plet in $SO(10)$, leads to a large spontaneous breaking of the discrete matter parity subgroup of $SO(10)$ (Refs. 42, 43). Thus, theories based on $SO(10)$ need a further ingredient to ensure sufficient suppression of B and L violation of the low-energy theory. One possibility is that the spinor vev does not introduce the dangerous couplings, which typically requires a discrete symmetry beyond $SO(10)$. Alternatively, the rank may be broken by larger Higgs multiplets,[42] for example, the 126 representation of $SO(10)$. Finally, if the reduction of rank occurs at low energies, the resulting R_p-violating phenomenology may be acceptable[43]; however, the weak mixing angle prediction is then lost. The flipped $SU(5)$ gauge group allows for models with renormalizable L violation, but highly suppressed B violation[44]; however, these theories also lose the weak mixing angle prediction.

There are other possibilities for X to be a discrete subgroup of an enlarged gauge symmetry. Several Z_N examples from E_6 are possible.[35] Such a symmetry will be an anomaly-free discrete gauge symmetry, and it has been argued that if X is discrete, it should be anomaly free in order not to be violated by Planck scale physics.[45] With the minimal low-energy field content, there are only two such possibilities which commute with flavor: the familiar case of matter parity, and a Z_3 baryon parity,[46] which also prohibits baryon number violation from dimension five operators. While the gauge origin of X remains a likely possibility, we are not aware of explicit compelling models which achieve this.

Finally, we discuss the possibility that the X symmetry is a flavor symmetry: the symmetry which is ultimately responsible for the small parameters of the quark and lepton mass matrices, and also of the squark and slepton mass matrices, might provide sufficient suppression for B and L violation. Indeed, this is an extremely plausible solution for the suppression of L violation since the experimental constraints on the coefficients of the L-violating interactions are quite weak, and would be satisfied by having amplitudes suppressed by powers of small lepton masses. However, the experimental constraints involving B violation are so strong that suppression by small quark mass factors are insufficient.[47] Hence, the real challenge for these theories is to understand the suppression of B violation.

Some of the earliest models involving matter parity violation had a discrete spacetime[34] or gauge[44] origin for B conservation, but had L violation at a rate governed by the small fermion masses. This distinction between B and L arises because left-handed leptons and Higgs doublets are not distinguished by the Standard Model gauge group, whereas quarks are clearly distinguished by their color. This provides a considerable motivation to search for supersymmetric theories with matter parity broken only by the L-violating interactions.

It is not difficult to understand how flavor symmetries could lead to exact matter parity. Consider a supersymmetric theory, with minimal field content and gauge group, which has the flavor group $U(3)^5$ broken only by parameters which transform like the usual three Yukawa coupling matrices. The Yukawa couplings and soft interactions of the most general, such effective theory can be written as a power series in these breaking parameters, leading to a theory known as weak scale effective supersymmetry.[19] The flavor group and transformation properties of the breaking parameters are sufficient to forbid matter parity-violating interactions to all orders: each breaking parameter has an even number of $U(3)$ tensor indices, guaranteeing that all interactions must have an even number of matter fields.[‖] To construct an explicit model along these lines, it is perhaps simplest to start with a $U(3)$ flavor group, with all quarks and leptons transforming as triplets, but Higgs doublets as trivial singlets. The X symmetry is generated by the Z_2 element

$$X(U(3)) = e^{i\pi N_T}, \qquad (III.30)$$

where N_T is the triality of the representation. An exact matter parity will result if the spontaneous breaking of this flavor group occurs only via fields with an even triality.

III.8 Conclusions

The use of flavor symmetries to study both the fermion and scalar masses leads to a new viewpoint. While fermion mass hierarchies remain a very fundamental puzzle, the flavor-changing constraints are definitely *not* a problem for supersymmetry;

[‖]This point was missed in Ref. 19 where R_p was imposed unnecessarily as an additional assumption. We believe that the automatic conservation of R_p makes this scheme an even more attractive framework as a model-independent low-energy effective theory of supersymmetry.

rather they are an advantage. Instead of a flavor-changing problem, we have a tool that allows us to identify which flavor symmetries are acceptable. Furthermore, many acceptable flavor symmetries lead to flavor-changing phenomena beyond the Standard Model which should be discovered in the not too distant future. Such discoveries provide the best hope for progress on the fermion mass puzzle.

In this chapter, I have pursued the idea that both fermion and scalar masses should be constrained by the same approximate flavor symmetries. However, fermion masses are supersymmetric while the soft scalar masses are not, so that some decoupling of their symmetry behavior is possible. Suppose that fermion masses are understood in terms of physics at some flavor scale M_f. If $M_f < M_{mess}$, the messenger scale of supersymmetry breaking discussed in Sec. I.5, then both fermion and scalar masses are subject to the same flavor symmetries. However, if $M_{mess} < M_f$, as in models with low-energy gauge mediation of supersymmetry breaking,[4] the soft operators can be protected from the physics of fermion mass generation, leading to flavor-changing effects which are milder than those dictated by approximate flavor symmetries.

Broken flavor symmetries are the natural way to describe flavor sectors of supersymmetric theories. For this reason, the MSSM with universal boundary conditions is badly flawed. We advocate replacing the universal boundary condition of Eq. (III.15) with the modified boundary condition of Eq. (III.16) which results from the minimal necessary breaking of $G_{max} = U(3)^5$ (Ref. 19). Any relations between $A_{U,D,E}$ or between m_a^2 should be viewed as probes of gauge unification in the vertical direction. In general, corrections to Eq. (III.16) are expected, as shown in Eq. (III.13d). Finally, in the simplest schemes, the Higgs doublets are not related by flavor symmetries to the three generations of matter, so the Higgs mass parameters should be taken to be independent of m_a^2.

III.9 Appendix A

As an example of the $U(3)$ transformation conventions used in this chapter, I consider the first interaction of Eq. (III.12). Making the transposition explicit, this is

$$W = a\ q^T \boldsymbol{\epsilon}_U u\ h_2. \tag{A1}$$

Under $U(3)_q$ I take

$$q \to L^* q. \tag{A2}$$

Under $U(3)_u$ I take

$$u \to R u. \tag{A3}$$

Hence, if I assign the transformation property

$$\boldsymbol{\epsilon}_U \to L \boldsymbol{\epsilon}_U R^\dagger \ , \tag{A4}$$

(A1) transforms to $q^T L^\dagger L \ \boldsymbol{\epsilon}_U \ R^\dagger R u \ h_2$ and is therefore invariant. I say that $\boldsymbol{\epsilon}_U$ transforms as $(3, \overline{3})$ under $(U(3)_q, U(3)_u)$.

I write the scalar masses as

$$V = q^T m_q^2 q^* + u^\dagger m_u^2 u \tag{A5}$$

so that $m_q^2 \to L m_q^2 L^\dagger, m_u^2 \to R m_u^2 R^\dagger$. In building invariant terms, it is useful to notice that $\boldsymbol{\epsilon}_U \boldsymbol{\epsilon}_U^\dagger, \boldsymbol{\epsilon}_D \boldsymbol{\epsilon}_D^\dagger$ transform like m_q^2, while $\boldsymbol{\epsilon}_U^\dagger \boldsymbol{\epsilon}_U$ transforms like m_u^2.

IV. Supersymmetric Grand Unification

IV.1 Introduction

How will we ever be convinced that grand unification, or string theory, or some other physics at very high energies, is correct? Two ways in which this could happen are:

1. The structure of the theory is itself so compelling and tightly constrained, and the links to observed particle interactions are sufficiently strong, that the theory is convincing and is accepted as the standard viewpoint. String theory is a candidate for such a theory, but connections to known physics will require much further understanding of the breaking of its many symmetries.
2. The theory predicts new physics beyond the Standard Model, which is discovered. If the structure of the theory is not very tightly constrained, several such predictions will be necessary for it to become convincing. Grand unification is a candidate for such a theory, but as yet there have been no discoveries beyond the Standard Model. Supersymmetric grand unified theories do have a constrained gauge structure, and this has led to the successful prediction of the weak mixing angle at the percent level of accuracy.[8,48–50**] While significant, this is hardly convincing. Nevertheless, supersymmetric grand unified

**While giving the lectures at SLAC, a bright spark in the audience asked why I chose to quote $\sin^2\theta = 0.231 \pm 0.003$, which suggests a significance of 1%, rather than using the well-measured weak mixing angle as input and quoting a prediction for the less well-measured strong coupling $\alpha_s = 0.126 \pm 0.013$, which looks to only have a significance of 10%. This is an excellent question. The reason I believe that the significance is 1% rather than 10% is as follows. Consider the $\sin^2\theta/\alpha_s$ plane, with $\sin^2\theta$ varying from zero to one, and α_s varying from zero to some large value α_s^c which is still perturbative. The area of this plane is α_s^c, and it could have been that the theories offer the prospect of many further tests. In this talk, I make the case that experiments of this decade, and the next, allow for the possibility that we might become convinced that grand unification is correct.

Any grand unified theory must have at least two sectors: the gauge sector, which contains the gauge interactions, and the flavor sector containing the interactions which generate the quark and lepton masses. In supersymmetric versions, there are also the supersymmetry breaking interactions. I include the gaugino masses in the gauge sector, the supersymmetry breaking squark, slepton and Higgs masses, and interactions in the flavor sector. There are no known direct observable consequences of the interactions of the superheavy gauge bosons: they are predicted to be too heavy even to mediate proton decay at an observable rate.

I know of only one prediction in the gauge sector, other than $\sin^2\theta$: ratios of the gaugino mass parameters, $M_i, i = 1, 2, 3$ for $U(1), SU(2)$, and $SU(3)$. If the supersymmetry breaking is hard up to scales above the unification mass, M_G, and if the breaking of supersymmetry in the gauge kinetic function is dominantly $SU(5)$ preserving, then M_i will be independent of i at M_G. Beneath M_G, renormalizations induce splittings between the M_i; in fact, they scale exactly like the gauge couplings: $M_i = \alpha_i M$. The prediction of two gaugino mass ratios is a very important consequence of super unification. These predictions occur in the gauge sector; however, unlike the weak mixing angle, these predictions involve the supersymmetry breaking sector, and even if the supersymmetry breaking is hard at M_G, there are situations when they are broken.[51] Furthermore, these relations can occur without grand unification.[††]

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parameters lie anywhere in this plane. The condition that the three gauge couplings unify can be represented as a band in this plane, with the width of the band representing the theoretical uncertainties, such as the various threshold corrections. By sketching the plane, you can convince yourself that the area of this band is given by $\alpha_s^c \Delta$, where Δ is the theoretical uncertainty in $\sin^2\theta$. Hence, the fraction of the area of the plane which the theory allows is Δ, which is of order 1%, and this is a measure of the significance of the prediction. This argument can be rephrased by starting in some other basis for the parameters, *e.g.*, the space of g_1, g_2, and g_3 with α held fixed, but the conclusion will be the same.

[††]Suppose supersymmetry is broken in a sector which communicates with the observable sector only via Standard Model gauge interactions. Then one expects $M_i \propto \alpha_i$ as before. The constant of proportionality is not guaranteed to be independent of i, although such an independence follows if the particles communicating the supersymmetry breaking fill out complete $SU(5)$ multiplets, as suggested by the weak mixing angle prediction.

IV.2 Flavor Signals Compared

Fortunately, the flavor sector has many signatures, listed in Table 3 in five categories. Proton decay[52,53] and neutrino masses[54,55] are the earliest and most well-known signatures of grand unification. However, the theoretical expectation for these classic signals is plagued by a power dependence on an unknown superheavy mass scale. For neutrino masses, this is the right-handed Majorana mass M_R. If we naively set $m_{\nu_i} = m_{u_i}^2/M_R$ with $M_R = M_G = 2 \times 10^{16}$ GeV, then all three neutrino masses are too small to be detected in any laboratory experiment, although they could lead to MSW oscillations in the sun.

While the many hints for detection of neutrino oscillations are extremely interesting, and theorists are full of ideas for suppressing M_R, if we fail to detect neutrino masses then we learn very little about grand unification. On the other hand, several observations hint at the presence of neutrino masses, and measurements of neutrino mass ratios and mixing angles would provide a very important probe of the flavor structure of unified models.

	Requires BSM discovery	"Present" in all models	Requires SUSY breaking hard at M_G
(I) p decay	$\surd$	No	No
(II) ν masses	$\surd$	No	No
(III) u, d, e masses and mixings	No	No	No
(IV) $\tilde{u}, \tilde{d}, \tilde{e}$ masses	$\surd$	$\surd$	$\surd$
(V) $L_{e,\mu,\tau}$ and CP violation	$\surd$	$\surd$	$\surd$

Table 3. Characteristic features of the five flavor tests of supersymmetric grand unification.

The leading supersymmetric contribution to the proton decay rate is proportional to M_H^{-2} (Refs. 37 and 40), where M_H is a model-dependent parameter, which arises from the unified symmetry breaking sector of the theory. The simple expectation that $M_H \simeq M_G$ is excluded as it produces too short a proton lifetime.[37,40] There are many mechanisms that effectively allow M_H to be enhanced, thereby stabilizing the proton, but there is no argument, which I would defend, demonstrating that proton decay will be within reach of future experiments. If we are lucky, proton decay may be discovered, and the decay modes and branching ratios will probe flavor physics in an important way. However, as for neutrino masses, if a signal is not seen, little of use is learned about the question of grand unification, hence the "No" in the middle column of Table 3.

The third signature of the flavor sector of grand unified theories is provided by relations amongst the masses and mixings of the quarks and charged leptons, which was also first studied in the 1970s (Ref. 56). This signature has the very great advantage over all others that data exists: there is no need for discoveries beyond the Standard Model. Since the late '70s, this field has developed considerably, in step with our continually increasing knowledge of the quark and lepton masses and the Kobayashi-Maskawa matrix elements. These signatures are based on the hope that the flavor interactions which generate the fermion masses are relatively simple, involving few enough parameters that relations among the 13 observables can be derived. While there is no guarantee that this is true, it is an assumption which is reasonable and which could have an enormous payoff. A considerable fraction of high-energy physics experiments aim at extracting more precise values for the quark masses and mixings; each time an error bar is reduced, this probe of grand unification becomes more incisive. Among the interesting results obtained so far are:

- Evolution of the b and τ Yukawa couplings to high energies in the Standard Model does not lead to their unification, as expected from the simple $SU(5)$ boundary condition. Such a unification does work well if evolution is done with weak scale supersymmetry and a heavy top quark.[57–60]
- The unification of the three Yukawa couplings of the heavy generation in the MSSM,[61] expected from a simple $SO(10)$ boundary condition, can occur perturbatively only if 165 GeV $< m_t <$ 190 GeV (Ref. 62).
- It is possible to construct $SO(10)$ models where all observed fermion masses and mixings are generated from just four interactions. Seven of the 13 flavor parameters are predicted.[32]

- The observed quark masses and mixings may be consistent with several patterns of the Yukawa matrices at the unification scale in which many of the entries are zero, suggesting they have a simple origin.[63]

I have discussed the first three signatures of Table 1, stressing that only for fermion mass relations do we have any useful data, and stressing that none of these signatures is a necessary consequence of grand unification. These features are shown in the first two columns of the table. We must now discuss supersymmetry breaking, which is relevant for the third column of Table 3. The fundamental origin of the first three signatures (baryon number violation, lepton number violation, and Yukawa coupling relations) does not depend on supersymmetry breaking. However, for the last two signatures, the supersymmetry breaking interactions of the low-energy effective theory contain all the information relevant to the signals.

A crucial question for these two signatures is: at what scale do the interactions which break supersymmetry become soft? This has nothing to do with the size of the parameters which violate supersymmetry—they are of order of the weak scale. At any energy scale, μ, we can consider our theory to be a local effective field theory. What is the "messenger scale," M_{mess}, above which the supersymmetry breaking parameters, such as squark and gluino masses, do not arise from a single local interaction? Consider models where supersymmetry is broken spontaneously in a sector with a single mass scale, M, and is communicated to the observable sector by the known gauge interactions.[4,64] It is only when the particles of mass M are integrated out of the theory that local interactions are generated for squark and gluino masses. Hence, for these models, the messenger scale is given by $M_{mess} = M$, which is of order M_W/α, or 10 TeV.

The breaking of supersymmetry in a hidden sector of $N = 1$ supergravity theories[17,18] has become a popular view (although it is not satisfactory in several respects). The interactions which generate squark and slepton masses are produced when supergravity auxiliary fields are eliminated from the theory, and hence are local at all energies up to the Planck scale, giving a messenger scale $M_{mess} = M_{Pl}$. For signatures IV and V, the critical question is whether M_{mess} is larger or smaller than M_G, the unification mass. If $M_{mess} \ll M_G$, then the local interactions which break supersymmetry are produced at energies beneath M_G, and hence these interactions are not renormalized by the interactions of the unified theory. On the other hand, if $M_{mess} \geq M_G$, then the supersymmetry breaking interactions appear as local interactions in the grand unified theory itself. At energies above M_G, they take a form which is constrained by the unified symmetry. Furthermore, they are modified by radiative corrections induced by the unified theory, giving low-energy signals which are not power suppressed by M_G (Ref. 65).

For example, in any grand unified theory in which $\tilde{u}, \tilde{u}^c$, and $\tilde{e}^c$ are unified in the same irreducible representation, the unified theory will possess $m^2_{\tilde{u}} = m^2_{\tilde{u}^c} = m^2_{\tilde{e}^c}$. When the unified gauge symmetry is broken, such relations can be modified both radiatively and at tree level. However, it has been shown that in all models where the weak mixing angle is a significant prediction of the theory, there will be two scalar superpartner mass relations for each of the lightest generations.[66]

It is possible that the gauge forces are unified, but the low-energy matter particles are not; for example, $\tilde{u}, \tilde{u}^c$, and $\tilde{e}^c$ could lie in different irreducible representations of the unified group. In this case, the unified gauge group clearly does not lead to scalar mass relations amongst the light states. While this situation is a logical possibility, I do not find it very plausible. It is not straightforward to construct such theories and maintain an understanding for the smallness of the flavor-mixing angles of the Kobayashi-Maskawa mixing matrix. Much more likely is the possibility that the light mass eigenstate fields $\tilde{u}, \tilde{u}^c$, and $\tilde{e}^c$ lie dominantly in one irreducible representation, but have small components in other representations.[67] This happens automatically in Froggatt-Nielsen theories of fermion masses[31] which rely heavily on mass mixing between heavy and light states. Such small mixings will lead to corresponding small deviations from the exact unified scalar mass relations of Ref. 66. In principle, these shifts in the scalar mass eigenvalues would allow s-particle spectroscopy to be used as a probe of the unified theory.[67] However, I doubt they will be big enough to be directly seen in spectroscopy. This is because the mass mixings also induce flavor-changing effects in the scalar sector, and these are powerfully constrained by experiment. Since this phenomenon occurs at tree level, it is likely to dominate over the flavor-changing effects that the unified theory will induce at the loop level,[65] and hence will become one of the most important constraints on building theories of fermion masses using the Froggatt-Nielsen method. Hence, I think that simple scalar mass relations are likely to result in unified theories, while the flavor-changing phenomenology will probe details of the flavor structure of the unified theory.

IV.3 Flavor-Changing and CP-Violating Signals

Riccardo Barbieri and I have recently shown that a new class of signatures arises in supersymmetric theories which unify the top quark and τ lepton, and which have a high messenger scale $M_{mess} > M_G$ (Ref. 68). These effects are induced by radiative corrections involving the large top Yukawa coupling of the unified theory, λ_{tG}. The most promising discovery signatures are lepton flavor violation, such as $\mu \to e\gamma$ (Refs. 68 and 69) and electric dipole moments for the electron and neutron, d_e and d_n (Refs. 69 and 70).

These signatures are complementary to the classic tests of proton decay and neutrino masses, as shown in the last two columns of Table 1. We believe that these new signatures are much less model dependent than the classic tests: they are present in a very wide range of models with $M_{mess} > M_G$. A second crucial point, when comparing with the classic tests, is the size of these signals, which does not depend on the power of an unknown superheavy mass.

A complete calculation in the minimal $SU(5)$ and $SO(10)$ models[69] concludes that searches for the L_i and CP-violating signatures provide the most powerful known probes of supersymmetric quark-lepton unification with supersymmetry breaking generated at the Planck scale. For example, an experiment with a sensitivity of 10^{-13} to B.R. ($\mu \to e\gamma$) would probe (apart from a small region of parameter space where cancellations in the amplitude occur) the $SU(5)$ model to $\lambda_{tG} = 1.4$ and $m_{\tilde{e}_R} = 100$ GeV, and would explore a significant portion of parameter space for $m_{\tilde{e}_R} = 300$ GeV. In the $SO(10)$ case, where the present bound on $\mu \to e\gamma$ is already more stringent than the limits from high-energy accelerator experiments, a sensitivity of 10^{-13} would probe the theory to $\lambda_{tG} = 1.25$ and $m_{\tilde{e}_R}$ close to 1 TeV.

Which search probes the theory more powerfully: rare muon processes or the electric dipole moments? In the minimal SU(5) theory, the electric dipole moments are very small so that the rare muon processes win. In the minimal SO(10) theory, the electric dipole moments are proportional to $\sin\phi$ where $\phi = \phi_d - 2\beta$, where $-\beta$ is the phase of the Kobayashi-Maskawa matrix element V_{td}, and where ϕ_d is a new phase. There is a simple relation between B.R. ($\mu \to e\gamma$) and d_e:

$$\frac{|d_e|}{10^{-27}\mathrm{e\ cm}} = 1.3\ \sin\phi \sqrt{\frac{\mathrm{B.R.}(\mu \to e\gamma)}{10^{-12}}}. \qquad (IV.1)$$

For $\sin\phi = 0.5$, the present limits imply that the processes have equal power to probe the theory. The analysis of the data from the MEGA experiment should put the rare muon decay ahead, but eventually d_e may win because it falls only as the square of the superpartner mass, whereas the rare muon decay rate falls as the fourth power. At some point, these processes could force the s-electron masses to be higher than is reasonable from the viewpoint of electroweak symmetry breaking, discussed in Sec. II.3.

Similar new flavor-changing tests of supersymmetric quark-lepton unification occur in the hadronic sector, where the best probes are nonstandard model contributions to $\epsilon, b \to s\gamma$ and to CP violation in neutral B meson decays.[71] These signals could provide a powerful probe of the flavor sector of unified theories. However, unlike the lepton flavor-violating and electric dipole signatures, they must be distinguished from the Standard Model contribution, and they are small when the gluino is heavy due to a gluino focusing effect on the squark masses.

Unified flavor sectors which are more complicated than the minimal ones lead to a larger range of predictions for these signals. There may be additional sources of flavor and CP violation other than those generated by the top Yukawa coupling. While cancelling contributions cannot be ruled out, they are unlikely to lead to large suppressions. Many other sources could provide effects which are larger than those generated by λ_{tG}, and hence, it is reasonable to take the top contribution as an indication of the minimum signal to be expected.

IV.4 The Top Quark Origin of New Flavor and CP Violation

At first sight, it is surprising that the top quark Yukawa coupling should lead to any violation of L_e or L_μ. What is the physical origin of this effect, and why is it not suppressed by inverse powers of M_G? The answer lies in new flavor-mixing matrices, which are analogous to the Kobayashi-Maskawa matrix.

In the Standard Model, the quark mass eigenstate basis is reached by making independent rotations on the left-handed up and down type quarks, u_L and d_L. However, these states are unified into a doublet of the weak SU(2) gauge group: $Q = (u_L, d_L)$. A relative rotation between u_L and d_L therefore leads to flavor mixing at the charged W gauge vertex. This is the well-known Cabibbo-Kobayashi-Maskawa mixing. With massless neutrinos, the Standard Model has no analogous flavor mixing amongst the leptons: the charged lepton mass eigenstate basis can be reached by a rotation of the entire lepton doublet $L = (\nu_L, e_L)$.

How are these considerations of flavor mixing altered in supersymmetric unified theories? There are two new crucial ingredients. The first is provided by weak-scale supersymmetry, which implies that the quarks and leptons have scalar partners. The mass eigenstate basis for these squarks and sleptons requires additional flavor rotations. As an example, consider softly broken supersymmetric QED with three generations of charged leptons. There are three arbitrary mass matrices, one for the charged leptons, $e_{L,R}$, and one each for the left-handed and right-handed sleptons, $\tilde{e}_L$ and $\tilde{e}_R$. To reach the mass basis therefore requires a relative rotation between $e_{L,R}$ and $\tilde{e}_{L,R}$, resulting in a flavor-mixing matrix at the photino gauge vertex. These matrices were called W^{e_L,e_R} in Sec. III.3.

In supersymmetric extensions of the Standard Model, these additional flavor-changing effects are known to be problematic. With a mixing angle comparable to the Cabibbo angle, a branching ratio for $\mu \to e\gamma$ of order 10^{-4} results. In the majority of supersymmetric models which have been constructed, such flavor-changing effects have been suppressed by assuming that the origin of supersymmetry breaking is flavor blind. In this case, the slepton mass matrix is proportional to the unit matrix. The lepton mass matrix can then be diagonalized by identical rotations on $e_{L,R}$ and $\tilde{e}_{L,R}$, without introducing flavor-violating mixing matrices at the gaugino vertices. *Slepton degeneracy renders lepton flavor-mixing matrices nonphysical.*

The unification of quarks and leptons into larger multiplets provides the second crucial new feature in the origin of flavor mixing. The weak unification of u_L and d_L into q_L is extended in SU(5) to the unification of q_L with u_R and e_R into a ten-dimensional multiplet $T(q_L, u_R, e_R)$. Since higher unification leads to fewer multiplets, there are fewer rotations which can be made without generating flavor-mixing matrices.

In any supersymmetric unified model, there must be at least two coupling matrices, $\boldsymbol{\lambda}_1$ and $\boldsymbol{\lambda}_2$, which describe quark masses. If there is only one such matrix, it can always be diagonalized without introducing quark mixing. One of these coupling matrices, which we take to be $\boldsymbol{\lambda}_1$, must contain the large coupling λ_t, which is responsible for the top quark mass. We choose to work in a basis in which $\boldsymbol{\lambda}_1$ is diagonal. The particles which interact via λ_t are those which lie in the same unified multiplet with t_L and t_R. In all unified models, this includes a right-handed charged lepton, which we call e_{R_3}. This cannot be identified as the mass eigenstate τ_R, because significant contributions to the charged lepton masses must come from the matrix $\boldsymbol{\lambda}_2$, which is not diagonal.

The assumption that the supersymmetry breaking mechanism is flavor blind leads to mass matrices for both $\tilde{e}_L$ and $\tilde{e}_R$, which are proportional to the unit matrix at the Planck scale, M_{Pl}. As we have seen, without unified interactions, lepton superfield rotations can diagonalize the lepton mass matrix without introducing flavor-mixing matrices. However, the unification prevents such rotations: the leptons are in the same multiplets as quarks, and the basis has already been chosen to diagonalize $\boldsymbol{\lambda}_1$. As the theory is renormalization group scaled to lower energies, the λ_t interaction induces radiative corrections which suppress the mass of $\tilde{e}_{R_3}$ beneath that of $\tilde{e}_{R_1}$ and $\tilde{e}_{R_2}$. Beneath M_G, the superheavy particles of the theory can be decoupled, leaving only the interactions of the minimal supersymmetric Standard Model. Now that the unified symmetry which relates quarks to leptons is broken, a lepton mass basis can be chosen by rotating lepton fields relative to quark fields. However, at these lower energies, the sleptons are no longer degenerate, so that these rotations do induce lepton flavor-mixing angles. *Radiative corrections induced by λ_t lead to slepton nondegeneracies, which render the lepton mixing angles physical.*

This discussion provides the essence of the physics mechanism for $L_{e,\mu,\tau}$ violation in superunified models. It shows the effect to be generic to the idea of quark-lepton unification, requiring only that supersymmetry survive unbroken to the weak scale, and that supersymmetry breaking be present at the Planck scale. The imprint of the unified interactions is made on the soft supersymmetry breaking coefficients, including the scalar trilinears, which are taken to be universal at the Planck scale. Eventually, this imprint will be seen directly by studying the superpartner spectrum, but it can also be probed now by searching for $L_{e,\mu,\tau}$ and CP-violating effects.

The above discussion assumed a universal scalar mass at high energies. We argued in Chap. III that it is preferable to replace this ad hoc form with scalar masses that are the most general allowed by an appropriate flavor group, G_f. This group solves the “1–2” flavor problem, as discussed in Sec. III.3, but the “1, 2–3” flavor signature discussed here, which results from the large splitting between the scalars of the third generation and those of the lighter two generations, will persist.

IV.5 Summary

Supersymmetric grand unified theories are a leading candidate for physics beyond the Standard Model because:

- They provide an elegant group theoretic understanding of the gauge quantum numbers of a generation.
- $\sin^2\theta$ is the only successful prediction of any parameter of the Standard Model at the percent level of accuracy.

I have not yet mentioned the most crucial experimental hurdle which these theories must pass: superpartners must be discovered at the weak scale. Without this, I will never be convinced that these theories are correct. As I write, I imagine the skeptics who may read this (I dare to hope!) saying "suppose by 2010 we have measured neutrino masses and mixing angles, seen proton decay and other rare processes such as $\mu \to e\gamma$, d_e and d_n, found nonstandard CP violation in B meson decays, and that we have even discovered superpartners and measured their masses. This still will not convince me that the theory behind this physics is quark-lepton unification." My reply is:

- These discoveries will not necessarily make quark-lepton unification convincing, but they will make it the standard picture.
- These discoveries might make a particular model of quark-lepton unification completely convincing.

There is certainly no guarantee of the latter point, but let me illustrate it with an optimistic viewpoint. There are millions of possible flavor sectors of unified models. Some are so complicated that, if this is the way nature is, we are unlikely to ever uncover this structure from low-energy experiments alone. Others are very simple with few interactions and parameters. Why should nature be kind to us and provide a simple flavor sector with few interactions? Quite apart from our general belief that the underlying laws of physics will be simple, I think that the answer is illustrated by the $U(2)$ model of Sec. III.7. A flavor symmetry provides a convincing solution to the flavor-changing problem. Since it must severely constrain the scalar sector, it is expected to also severely restrict the fermion mass operators. The most constrained scheme which I know has ten parameters (eight flavor and two supersymmetry breaking) to describe all the flavor physics signals. As an example, consider something in between with, say, 15 parameters (e.g., 12 flavor and three supersymmetry breaking). This has two parameters more than the flavor sector of the Standard Model. Suppose that we discover such a unified model with these two parameters correctly describing the entire superpartner spectrum, the neutrino masses and mixing angles and the magnitudes of the nonstandard model signals for $\mu \to e\gamma, d_e, d_n$ and B meson CP violation, and the masses of the two Higgs bosons, the pseudoscalar boson and the charged Higgs boson. It is certainly an optimistic scenario, but it is one which I would find convincing.

V. The High-Energy Frontier

What are the liveliest debates at the high-energy frontier today? Particle physics, like other branches of physics, is driven first and foremost by experimental discoveries. Many experimental discoveries laid the groundwork for the development of the gauge structure of the Standard Model, and we will need many further experiments to guide us beyond. Hence, it is not surprising that the dominant debate of the field is about which accelerators should be built and which experiments should be done.

The phenomena uncovered by experiments have led to a stunning array of theoretical developments over the last 30 years. These theoretical tools allowed the construction of the Standard Model. A dominant debate in theoretical circles is whether the tools of point particle field theories and their symmetries will take us much further, or whether further tools, such as string theory, are necessary.

There is no doubt that there are limits to point particle gauge theory, the clearest of which is that they cannot describe gravity. Nevertheless, point particle gauge theories and their symmetries are an extraordinarily rich and powerful tool. In these lectures, I have explored the possibility that they provide a deeper understanding of many of the outstanding questions of particle physics.

- A dynamical origin of electroweak symmetry breaking as a heavy top quark effect.
- A flavor symmetry origin for the pattern of fermion masses and mixing.
- A unified gauge symmetry—allowing for a highly constrained and predictive theory of flavor, in addition to the well-known picture of a unified family and unified gauge couplings.

It is extraordinary that such a comprehensive vision of particle interactions has been developed. It seems unlikely that a complete picture of particle physics can be constructed without nonperturbative dynamics entering at some point; but what is that point? It is possible that the failure to develop a comprehensive vision of particle physics beyond the Standard Model based on either technicolor or a composite Higgs is because in these cases, the issue of nonperturbative dynamics provides a barrier at the very first step. The vision developed here is largely perturbative and is based on weak-scale supersymmetry, a heavy top quark leading to perturbative dynamics for electroweak symmetry breaking, and perturbative unification. The only new nonperturbative dynamics beneath the Planck scale occurs in the supersymmetry breaking sector, which I have not discussed. Fortunately, there are many experimentally testable aspects of the theory which follow from a few minimal assumptions, and no detailed understanding, about how supersymmetry breaking occurs. Measurements of the superpartner masses will provide a crucial guide as to how the supersymmetry breaking interactions should be generated.

The vision of weak scale supersymmetry and perturbative unification receives considerable motivation from precision electroweak measurements, but only further experiments will prove whether these ideas are correct. The discovery of supersymmetry at the weak scale would be a revolution for High-Energy Physics, as important as any the field has seen, heralding a new era. Decades of experimentation would be needed to fully elucidate the ramifications of this new symmetry; for example, measurements of the many new flavor observables would provide a new handle on the flavor problem.

Acknowledgments

I am grateful to the organizers for arranging a very stimulating school.

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Figure Caption

Upper bounds on superpartner and Higgs boson masses which follow from requiring a limit to the amount of fine tuning among parameters. This figure applies to the supersymmetric extension of the Standard Model with minimal field content, with all scalar masses taken equal at the unification scale, and similarly for the three gaugino masses. The upper extent of the lines for each particle correspond to $\tilde{\gamma} = 10$, the error bar symbol to $\tilde{\gamma} = 5$, and the squares to the masses which result from minimizing the amount of fine tuning. This figure was supplied to me by Greg Anderson; for further figures, see Ref. 6.