

Desy Seminar November 20/21, 2001

KATRIN - neutrino masses in the sub-eV region

Status and perspectives of direct measurements of neutrino masses



Introduction - massive v's in cosmology and particle physics tritium ß-decay experiments - the eV scale KATRIN - the sub-eV scale Conclusion



Neutrino Oscillations : 2 flavour mixing

excluded parameter areas

Neutrino Oscillations : mixings & mass scale

flavour mixing : 3x3 unitary matrix U_{ij} differences of mass (Maki-Nakagawa-Sakata matrix) squares = rel. parameter

$$\begin{pmatrix} v_{e} \\ v_{\mu} \\ v_{\tau} \end{pmatrix} = \begin{pmatrix} U_{e1} & U_{e2} & U_{e3} \\ U_{\mu 1} & U_{\mu 2} & U_{\mu 3} \\ U_{\tau 1} & U_{\tau 2} & U_{\tau 3} \end{pmatrix} \times \begin{pmatrix} v_{1} \\ v_{2} \\ v_{3} \end{pmatrix}$$
$$\Delta m_{13}^{2} = | m_{1}^{2} - m_{2}^{2} | \Delta m_{13}^{2} = | m_{1}^{2} - m_{3}^{2} | \Delta m_{13}^{2} = | m_{1}^{2} - m_{1}^{2} | \Delta m_{13}^{2} = | m_{1}^{2} - m_{1}^{2} | \Delta m_{13}^{2} | \Delta m_{13}^{2} = | m_{1}^{2} - m_{1}^{2} | \Delta m_{13}^{2} | \Delta m_{13}^{2} | \Delta m_{13}^{2} = | m_{1}^{2} - m_{1}^{2} | \Delta m_{13}^{2} | \Delta m_{1$$

v-oscillation experiments provide detailed informations on the mixing amplitudes U_{ij} and mass differences Δm_{ij}^2

...but oscillations only provide a *lower* limit on the v-mass scale !

$$m_3 \ge \sqrt{\Delta m_{atmos}^2} = (0.04 - 0.07) eV$$

need determination of absolute mass scale



Neutrino Masses & Particle Physics

are neutrino masses hierarchical or degenerate ?

hierarchical scenarios degenerate scenarios 10⁰ 10² m_v [eV] m_v [eV] bi-maximal mixing bi-maximal mixing **10⁻¹** 10¹ 10⁻² 10⁰ 1m² 10⁻³ **10⁻¹** Δm^2_{solar} Δm^2_{atmos} Δm^2_{solar} 10⁻² 10⁻⁴ 10⁻⁵ 10⁻³ v_1 v_1 v_2 v_2 ν₃ v_3

 Δm_{ij}^2 -values and mixings sin² 2 θ_{ij} measured by v-oscillation experiments need absolute mass scale of neutrinos

neutrino masses in cosmology

primordial neutrinos as hot dark matter

 Ω = 1 critical density & flat universe (inflation)

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

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





evolution of large scale structures



microcalorimeters and ¹⁸⁷Re ß-decay

$${}^{187}_{85}\text{Re} \rightarrow {}^{187}_{86}\text{Os} + \text{e}^- + \bar{\nu}_e$$

Q= 2.6 keV (lowest Q-value!) isotopic abundance 63%

 $5/2^+ \rightarrow 1/2^-$: unique first forbidden transition (shape factor calculation is required)

lower Q improves sensitivity to v-mass fraction close to E_0 (~ E_0^3)





ß-source = detector

AgReO4



advantages : measure entire decay energy, less statistics required ($\sim E_0^3$)

problems : long term energy resolution, gain stability , energy leakage, ext. E_o increase of ß-activity (pulse pile-up?)

experiments like MANU2 (30 mg Re) still in R&D phase (INFN Genova, INFN Milano)

tritium ß-decay and the neutrino rest mass

 $^{3}\text{H} \rightarrow ^{3}\text{He} + e^{-} + \overline{v}_{e}$ superallowed

half life : $t_{1/2} = 12.32 a$ ß end point energy : $E_0 = 18.57 \text{ keV}$



Fermi theory : ß spectrum and v rest mass

if recoil effects and excitations neglected: transition energy $E_0 = E_e + E_v$

$$N(E) = \frac{dN}{dE} = K \times F(E,Z) \times p_e \times E_e \times p_v \times E_v$$
$$= K \times F(E,Z) \times p \times E \times \sqrt{(E_0 - E)^2 - m_v^2} \times (E_0 - E)$$

experimental observable is m_V^2

 $m_v = \text{'mass' of the electron(anti-)neutrino} (\sum_i |U_{ei}|^2 m_i)$

$$\begin{split} &\mathsf{K} \sim \left[\begin{array}{c} g_V^2 \left| \mathsf{M}_{\mathsf{F}} \right|^2 + g_A^2 \left| \mathsf{M}_{\mathsf{GT}} \right|^2 \right] \quad g_A / g_V = -1.26 \qquad \text{nsitions:} \\ &\mathsf{M}_{\mathsf{F}} \text{ (Fermi transition)} \qquad : \Delta \mathsf{J} = 0 \\ &\mathsf{M}_{\mathsf{GT}}(\mathsf{Gamov-Teller transition}) \quad : \Delta \mathsf{J} = 0, \pm 1 \\ &\mathsf{Fermi function} \ \mathsf{F}(\mathsf{E},\mathsf{Z}) = \frac{\mathsf{x}}{1 - \mathrm{e}^{-\mathsf{x}}} \\ &\mathsf{with} \ \mathsf{x} = 2\pi \left(\mathsf{Z}+1\right) \alpha / \beta \end{split}$$



Tritium ß-decay experiments

ITEP	m _v	
T ₂ in complex molecule magn. spectrometer (Tret'yakov)	17-40 eV	experimental results
Los Alamos		100
gaseous T ₂ - source magn. spectrometer (Tret'yakov)	< 9.3 eV	
Tokio		
T - source magn. spectrometer (Tret'yakov)	< 13.1 ev	^N ε ⁻ 50 −
Livermore		100 – Los Alamos
gaseous T ₂ - source	< 7.0 eV	
		Troitsk (step)
T ₂ - source impl. on carrier magn. spectrometer (Tret'yakov)	< 11.7 ev	-200 – 📕 Zürich
Troitsk (1994-today)		-250 - electrostatic
gaseous T ₂ - source electrostat. spectrometer	< 2.5 eV	-300 <i>magnetic spectrometers</i>
Mainz (1994-today)		
frozen T ₂ - source	< 2.2 eV	1986 1988 1990 1992 1994 1996 1998 2000
electrostat. spectrometer		year

principles of an electrostatic spectrometer

guiding by magnetic fields (magnetic adiabatic collimation)

 $\Delta \Omega \sim 2 \pi$

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

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

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

adiabatic motion



adiabatic transformation $E_{\perp} \rightarrow E_{\parallel}$

Troitsk tritium-ß-decay experiment

gaseous tritium source and electrostatic spectrometer



Troitsk neutrino mass results

observation of a step like function close to end point

Intensity $N_{step} \sim 6 \times 10^{-11}$ of total T_2 -decay rate (on average) location : 5-15 eV below E_0 (run-specific !)



periodicity = 0.5 y?

strong correlation between N_{step} and m_v^2

requires phenomological fit to step function (taken into account for systematic error)

$$\label{eq:mv2} \begin{split} m_{v}^{2} &= -1.0 \pm 3.0 \pm 2.5 \; eV^{2} \\ m_{v} &\leq \quad 2.5 \; eV \; (95\% \; CL.) \end{split}$$

~ limit of the intrinsic sensitivity

V.M. Lobashev et al. , Phys. Lett. B 460 (1999) 227

Mainz neutrino mass experiment



quench condensed T_2 film and electrostatic retarding spectrometer

overall length source - detector ~6 m



Mainz Experiment : Results 1994 - 99

new set-up since 1998 : signal/background ratio improved by factor 10 many systematic effects eliminated (film roughening, ...)



planning the next-generation direct v mass experiment

experimental observable in ß-decay is m_v^2

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

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

improve energy resolution :

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

but : count rate close to ß-end point drops very fast ($\sim \delta E^3$)

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

Karlsruhe Tritum Neutrino Experiment KATRIN

next-generation experiment with sub-eV neutrino mass sensitivity

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



KATRIN experiment in linear configuration



total length of KATRIN experimental hall in linear set up ~ 70 m

Forschungszentrum Karlsruhe

IK

KATRIN & TLK

Molecular Tritium Sources : WGTS & QCTS

two sources : independent measurements with different systematic effects

Windowless Gaseous Tritium Source

Quench Condensed Tritium Source

K



WGTS		QCTS	
design parameters :	length 10 m diameter : 70 mm temperature : 30 K	design parameters :	thickness ~35 nm diameter : 70 mm temperature : 1.6

WGTS - Windowless Gasous Tritium Source

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

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



WGTS parameters: column density pd

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



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

 $S \sim (A_{s} \times \rho d) \cdot (1 - \cos \theta_{max}) \cdot P_{0}(\rho d, \cos \theta_{max})$ N(T₂) dΩ no loss

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

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

KATRIN WGTS delivers almost maximum count rate close to E_0

QCTS Quench Condensed Tritium Source

thin molecular T_2 film quench condensed on highly oriented pyrolithic graphite crystal



5 T

cryo trap

UHV cryostate base temp. 1.6 K

> manipulator x, y = 25mmz = 1500mm

1.6 K	Tritium source
4.5 K	L He shield
20 K	precooling of tritium
77 K	LN ₂ shield

cryostate for source preparation precooling of tritium to 20 K condensation onto graphite at 1.6K

x, y = 25mm

z = 500 mm

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electron transport and cryo trap

QCTS design parameters :

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

The QCTS will provide results with independent systematic effects

layout of the differential pumping



differential pumping by turbo molecular pumps

task :

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

upstream : tritium pressure < 10⁻⁷ mbar

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

Electron transport and cryotrapping

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



guided magnetic flux ~ 190 Tcm²

indvidual solenoids and pipes are tilted by 20° relative to each other no direct line of sight !

cryptrapping part guarantees non-contamination of the spectrometer with tritium electrostatic spectrometers - properties and geometry

electrostatic analysis of tritium ß-decay electrons (electrode system) XUHV - conditions : $p < 10^{-11}$ mbar (degassing rate 10^{-13} mbar I / cm² s)



pre-spectrometer

fixed retarding potential 18.4 kV

 $\emptyset = 1.7 \text{ m} / \text{L} = 4.0 \text{ m}$ $\Delta \text{E} = 80 \text{ eV}$ main spectrometer variable retarding potential 18.5-18.6 kV $\emptyset = 7 \text{ m} / \text{L} = 20 \text{ m}$ $\Delta \text{E} = 1 \text{ eV}$

KATRIN electrostatic pre-spectrometer

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



pre-spectrometer parameters: I = 4.0 m $\emptyset = 1.7 \text{ m}$ $p < 10^{-12} \text{ mbar}$ pumping by getters and TMPs Optimization of the electrode design for the central spectrometer

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



main spectrometer

transport of the spectrometer to FZK



possible option : Cargolifter CL160 with 160 t transport capacity





Length 260 m , d = 65 m

cruising altitude : maximum 2000 m

traveling speed : 80-100 *km/h*

costs : central european manufacturer to FZK ~60 kEuro

Detector Requirements

large sensitive area ($\emptyset = 100 \text{ mm}$, i.e. $\sim 10^4 \text{ mm}^2$)

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high efficiency for <20 keV e<sup>-</sup> (minimum dead layer)
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good spatial resolution to measure source profile background studies ($\Delta x \times \Delta y \sim 5-10 \text{ mm}^2$)

good time resolution for ToF mode $(\tau_{rise} < 0.1 \ \mu s)$

good energy res. / low el. noise ($\Delta E < 250-300 \text{ eV}$)

low γ -efficiency (thickness $\leq 300 \ \mu m$)

small backscatter prob. for ß's (low Z, small angles)

low intrinsic background (bg rate ~ 1 mHz)

long-term operation

a) strong B-fields (~ few T) b) XUHV conditions

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



detector environment

Silicon Drift Diodes for detection of keV ß-electrons

manufacturers : Halbleiterlabor Garching & KETEK, Canberra



layout : active area 5-10 mm² small collect. anode diameter 100-400 μm segmented p⁺ junctions

advantages : low capacitance ~ 0.1 pF red. electronics noise (~90eV) thin dead layer (30-50 nm) integrated jFET Peltier cooling sufficient



energy resolution from Fe-55 source

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

Multichannel Silicon Drift Diodes

current arrays of 19 SDDs (each 5 mm²) 154 channels 6 inch wafer いたる r = 115 mm 0006 Anode (gnd) Rings + HV Guard Ring 300 µm n⁺ doped p⁺ doped

Monolithic Array (very prelim.)



Estimated KATRIN sensitivity for neutrino masses

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

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



input paramters for simulation :

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

estimates of KATRIN sensitivity for m_{v}



assumptions for simulation:

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

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

Systematic Uncertainties

KATRIN focuses on very narrow region below E_0

($\Delta E=1eV$, high T₂ luminosity): many systematic uncertainties reduced

- no contribution from excited electronic states of 3 He-T (δE > 25 eV)
- small contribution from inelastic scattering in source (for δE -Interval of 25 eV : 2% of signal from scattered electrons)
- + better vacuum & higher T₂ purity

remaining uncertainties :

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

KATRIN response function

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



electrostatic spectrometer

analytical transmission function T : depends only on B_S / B_A and B_A / B_{max} no tails of resolution !! <u>molecular source WGTS</u> calculation of energy losses : $\sigma \times L(\theta)$ total cross section $\sigma = 3.4 \times 10^{-18} \text{ cm}^2$ parameters: $\rho d = 5 \times 10^{17} \text{ mol/cm}^2$ max. accepted angle 51°

> last 12 eV below E_0 : only 'no loss' electrons !

Molecular Excitations of ³HeT⁺

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

E_R = 1.72 eV @18.6 keV

final state probability	electronic final state	
14 %	continuum	
29 %	excited states	
57 %	ground state	



absolute accuracy of theory = 0.2 %

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

improved calculations of molecular final states



integration of spectrum yields 99.93% of total population probability

Implications of KATRIN result

cosmology

- measure or constrain v-HDM : Ω_v
- m_v as input for analysis of high precision CMB data (MAP, Planck)

astrophysics

- m_v as input for analysis of v-ToF signal (black hole formation)
- test model of v-origin of UHE-CRs above GZK cutoff (Z burst)

particle physics

- confirm or rule out most of the parameter space of models with degenerate neutrino masses, fix or constrain v-mass scale
- possibility for indirect evidence for Majorana CP-phases from combination with 0vßß results (for specific parameter range)
- non-SM physics

Bounds on effective ß-decay mass mß

Y. Farzan, O.L.G. Peres and A. Yu. Smirnov, Nucl. Phys. B612 (2001) 59-97



v–masses: sensitivity from a SN v – signal



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



'standard' method :

use time delay due to rest mass: $f(E_v, \Delta t_v)$

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

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

 $m(v_e) < 23 eV$

improved methods (SN - network) :

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

,non v-mass' physics with KATRIN

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



SM processscalar exchangedirect RH currentmixingG.J. Stephenson, T. Goldman, B.H.J. McKellar, Phys.Rev. D62 (2000) 093013

- tritium ß-decay as test of tachyonic neutrinos

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

Technological Challenges

electrostatic spectrometer

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

tritium sources

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

electron transport

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

solid state detector

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

experiment will be operational for several years interdisciplinary solutions are required

KATRIN - time schedule

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

KATRIN Collaboration

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Conclusions & Outlook

KATRIN : a next generation tritium ß-decay experiment with sensitivity to a sub-eV electron neutrino mass

motivations : cosmology (neutrino HDM) particle physics (mass models)

many technological challenges strong international collaboration has formed

2002 : pre-spectrometer running at Karlsruhe

more KATRIN information : www-ik1.fzk.de/tritium/