# 1: BUILDING NON-VANILLA QCD AXION MODELS &

## **2: PERSPECTIVES ON DEI FROM AN AMERICAN SCIENTIST IN GERMANY**

#### Felix Yu, Johannes Gutenberg Universität Mainz

Based on Kivel, Laux, FY, JHEP **11** (2022) 88, [2207.08740] Elahi, Elor, Kivel, Laux, Najjari, FY, PRD **108** (2023) 3, L031701 [2301.08760]



Brookhaven Forum 2023 October 6, 2023



## Intro: Axions and strong CP

• nEDM constraint gives severe constraint on  $|\theta| <$  $7.5 \times 10^{-11}$ See, e.g. FY [2308.08612], published in

 $-|d_n| < 1.8 \times 10^{-26} e \text{cm}$ 

Annalen der Physik

Abel, et. al. [nEDM collaboration], 2001.11966

- Most attractive current solution is QCD axion
  - PNGB of U(1) Peccei-Quinn global anomalous symmetry gains instanton-induced potential Peccei, Quinn PRL 38, 1440 (1977)
    - QCD axion acts as spurion for  $\overline{\theta}$ , rolls to cancel  $\overline{\theta}$
  - Two canonical (vanilla) models functionally generate  $U(1)_{PO}$  anomaly with QCD

KSVZ – Add heavy VLQs; DFSZ – Adopt 2HDM

Kim (1979), Shifman, Vainshtein, Zakharov (1980); Dine, Fischler, Srednicki (1981), Zhitnitsky (1980)

### Basic axion phenomenology

- Vanilla axion mass driven by topological susceptibility of QCD:  $m_a f_a = \sqrt{\chi} \approx m_\pi f_\pi$  in SM
  - Also need mixing with SM neutral mesons

$$\mathcal{L} \simeq \Lambda_{\rm QCD}^4 \cos\left(\frac{a}{f_a}\right)$$

- Main consequence: Vanilla QCD axion physics is essentially a one-parameter model
  - Primary target: axion-photon coupling
  - Some residual dependence on UV model via EM and color anomaly factors

#### Very active experimental program $m_a = 5.70 \pm 0.06 \pm 0.04 \,\mu\text{eV} \left(\frac{10^{12} \,\text{GeV}}{f}\right)$ $m_a$ : quark mass and higher order $m_a: \text{quark mass and higher order}$

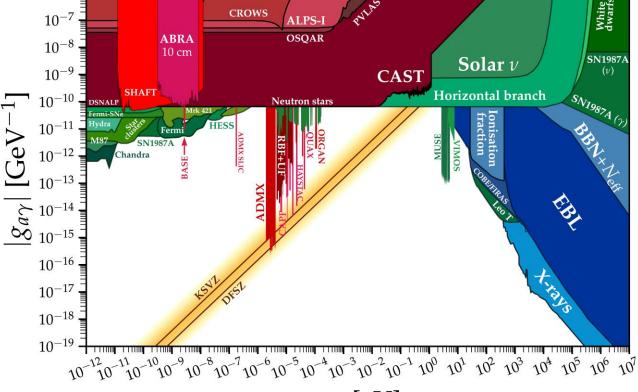
 $10^{-6}$ 

$$\begin{split} m_a &= 5.70 \pm 0.06 \pm 0.04 \; \mu \text{eV} \\ g_{a\gamma\gamma} &= \frac{\alpha_{EM}}{2\pi f_a} \bigg( \frac{E}{N} - 1.92(4) \bigg) \end{split}$$

m<sub>a</sub>: quark mass and higher order uncertainties  $g_{a\gamma\gamma}$ : O(α) in QED and NNLO in  $\chi$ PT Gorghetto, Villadoro [1812.01008]

The standard QCD axion band focuses on sub-eV axion masses and tiny axion-photon couplings

Width of band roughly given by E/N = 44/3 and E/N = 5/3 as boundary values



PDG (from AxionLimits by Ciaran O'Hare)

 $m_a$  [eV]

## Motivating PNGB field theory

- Axions are interesting objects for field theory
  - PQ mechanism transforms strong CP problem into vacuum energetics problem
    - PNGBs have no preferred origin in field space
  - Global PQ symmetries and axion PNGBs are cousins of flavor symmetries and chiral Lagrangians
    - Anomalous and explicit symmetry breaking on equal footing
      - Can also study effects of gauging U(1) subgroup: see Kivel, Laux, FY, JHEP 03 (2023) 078 [2211.12155]
- Reconceptualize axion quality problem as new example of non-decoupling in EFTs

– UV-IR matching of Theta terms and CP symmetry

## Supersizing axions with smallsize instantons

Kivel, Laux, FY, JHEP 11 (2022) 88 [2207.08740]

### Small-size instanton effects

• Key insight: Use axion sensitivity to UV physics to enhance quality of axion solution

Agrawal, Howe [1710.04213, 1712.05803]

- Embed  $SU(3)_{c}$  in larger UV gauge group
  - Confinement of extended color gauge group will give additional instanton-induced potential terms to light axion
  - Requires non-trivial book-keeping to trace PQ symmetry from IR to UV
- Practical consequence: Extended color groups typically involve coloron/axigluon color octet vectors and additional collider signatures

### **Refresher: SM instanton effects**

• SM + axion Lagrangian

$$\mathcal{L} = \frac{1}{2} \partial_{\mu} a \partial^{\mu} a + \frac{\partial_{\mu} a}{F_a} \left( \sum_{i=1}^{N_f} c_1^i \bar{q}_i \gamma_{\mu} \gamma_5 q_i \right) - \left( \sum_{i=1}^{N_f} m_i \bar{q}_L^i e^{i c_2^i a / F_a} q_R^i + \text{h.c.} \right)$$

$$-\frac{a}{F_a} \left( c_3^G \frac{g_s^2}{32\pi^2} G\tilde{G} + c_3^W \frac{g^2}{32\pi^2} W\tilde{W} + c_3^B \frac{g'^2}{32\pi^2} B\tilde{B} \right) , \qquad \text{Kim, Carosi (2008)}$$

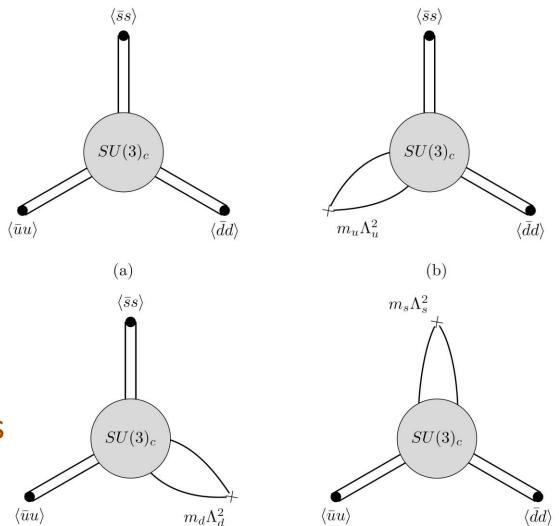
- Axion mass is generated by gluon operator
  - Via index theorem, instanton action induces 't Hooft determinantal operator according to PQ color anomaly

$$\mathcal{L}_{det} = (-1)^{N_f} K^{4-3N_f} \left( \prod_{i=1}^{N_f} \det(\bar{q}_L^i q_R^i) \right) e^{-ic_3^G \frac{a}{F_a}} + h.c.$$

### Refresher: SM instanton effects

- Calculate leading determinantal operators
  - Correspond to
     "instanton flower"
     diagrams
  - Power counting in chiral symmetry breaking parameters

$$\mathcal{L}_{\rm det} = -\frac{1}{K^5} \sum_i A_i$$



### Refresher: SM instanton effects

Operators lead to mixing of π<sup>0</sup>, η, η' and axion

$$\begin{split} A_1 &= \left(\prod_i \det(\bar{q}_{i,L} \, q_{i,R})\right) e^{-ic_3^G \theta_a} + \text{ h.c. }, \\ &\sim \left(\frac{v^3}{2} \exp\left(i(\theta_{\pi^0} + \theta_{\eta'})\right)\right) \left(\frac{v^3}{2} \exp\left(i(-\theta_{\pi^0} + \theta_{\eta'})\right)\right) \left(\frac{v^3}{2}\right) e^{-ic_3^G \theta_a} + \text{ h.c. }, \end{split}$$

$$=\frac{v^9}{8}\left(\exp\left(i(2\theta_{\eta'}-c_3^G\theta_a)\right)+\text{h.c.}\right)=\frac{v^9}{4}\cos\left(2\theta_{\eta'}-c_3^G\theta_a\right)\,,$$

$$A_2 = \frac{v^6}{2} m_u \Lambda_u^2 \cos\left(\theta_{\pi^0} + \theta_{\eta'} - c_3^G \theta_a\right) ,$$
  

$$A_3 = \frac{v^6}{2} m_d \Lambda_d^2 \cos\left(-\theta_{\pi^0} + \theta_{\eta'} - c_3^G \theta_a\right) ,$$
  

$$A_4 = \frac{v^6}{2} m_s \Lambda_s^2 \cos\left(2\theta_{\eta'} - c_3^G \theta_a\right) .$$

Encapsulate relevant instanton effects via chiral insertions

# Color-Unified SU(6) x SU(3)' model

- Gaillard, Gavela, Houtz, Quilez, del Rey [1805.064365] • Embed SU(3)<sub>c</sub> into SU(6) at high scales, SU(6) has massless Q fermion to solve  $\theta_6$ 
  - Use SU(3)' to make SM-charged exotic multiplets decouple at  $\Lambda_{CUT}$  scale by bifundamental scalar  $\Delta$

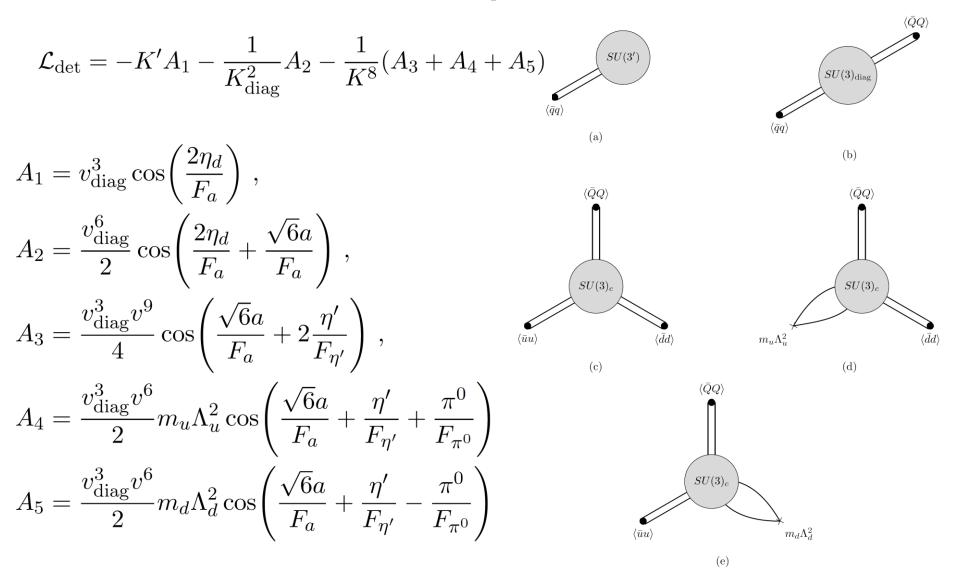
 $SU(6) \times SU(3') \xrightarrow{\Lambda_{\text{CUT}}} SU(3)_c \times SU(3)_{\text{diag}} \xrightarrow{v_{\text{diag}}} SU(3)_c$ 

– M1 (KSVZ-like) or M2 (DFSZ-like) variants solve  $\theta'$ 

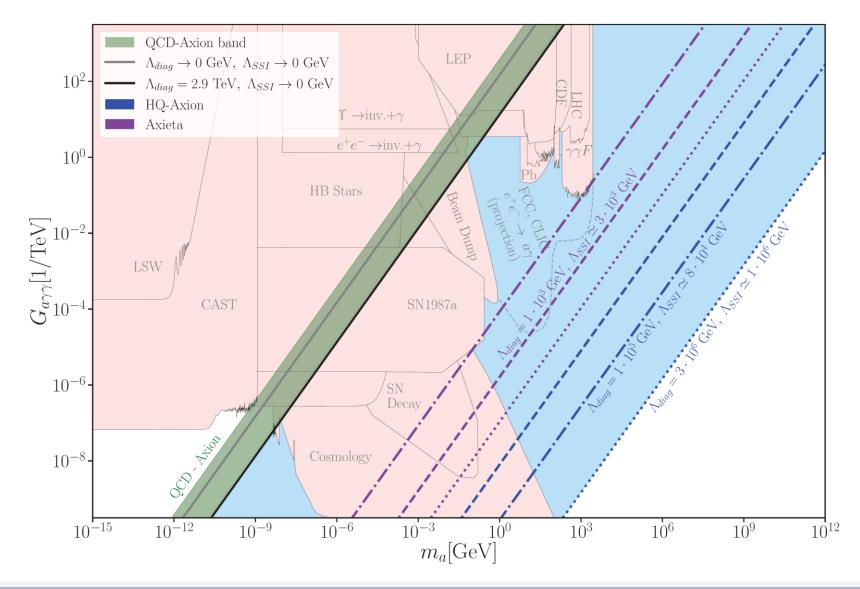
	$SU(3)_{ m diag}$	$SU(3)_c$	SU(3')	SU(6)	_		$SU(3)_{\rm diag}$	$SU(3)_c$	SU(3')	SU(6)
Q			1	20		Q	$\overline{\Box}$		1	20
q		1		1	2	$\Delta_2$	-	-		

- v<sub>diag</sub> separates exotic colored states from EW scale

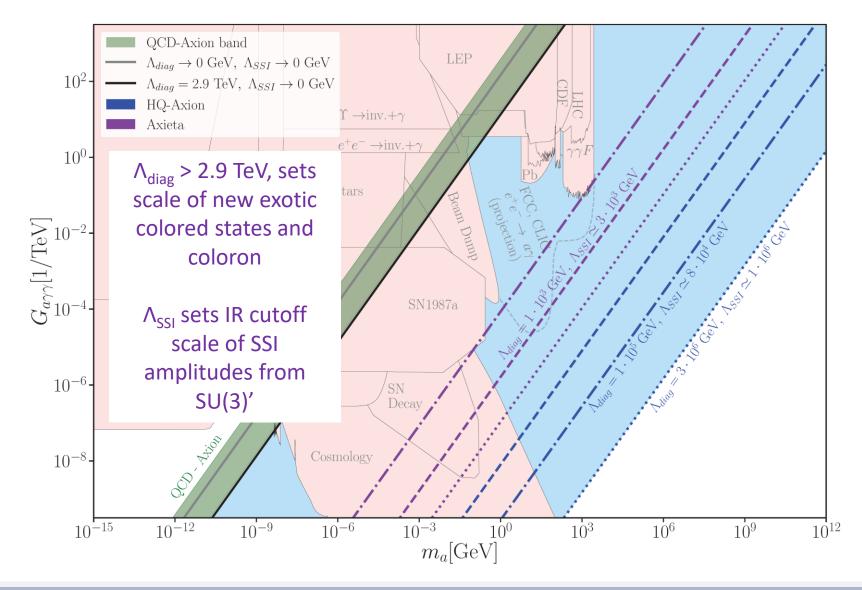
### M1 variant – SSI amplitudes



#### SSI-driven mass enhancements – M1 variant



#### SSI-driven mass enhancements – M1 variant



### Beyond vanilla axions

- How to make axions heavier?
  - Smoothly match Theta parameter in IR with vanishing Theta in UV
  - Use BSM topological susceptibility to enhance axion potential
- How to make axions lighter?
  - Need to cancel off instanton-induced potential but keep vacuum energetics aligned
  - Inevitably fine-tuned?

#### The anarchic axion

Elahi, Elor, Kivel, Laux, Najjari, FY, PRD 108 (2023) 3, L031701 [2301.08760]

### Anarchic axion

- Revisit fundamental origin of PQ symmetry: anomalous global symmetry
  - In general, global symmetries stem from field content multiplicity, explicit breaking by Lagrangian interaction terms
    - Not necessarily renormalizable
- Vanilla axion: sole source of PQ breaking arises from U(1)<sub>PQ</sub> × SU(3)<sup>2</sup> anomaly
  - But no generally rigorous embedding between low-scale
     PQ symmetry and UV PQ symmetries = quality problem
- Consequence of soft PQ breaking understudied

- Break PQ softly
- Begin with DFSZ axion

Field	$SU(3)_{c}$	$SU(2)_L$	$U(1)_Y$	$\mathbb{Z}_5$	$U(1)_{PQ}$
$Q_L^i$	3	2	1/6	0	$X_Q$
$\left  \begin{array}{c} u_{R}^{i} \end{array} \right $	3	1	2/3	1	$X_Q - X_1$
$d_R^i$	3	1	-1/3	0	$X_Q - X_2$
$\begin{bmatrix} L_{L}^{i} \end{bmatrix}$	1	2	-1/2	0	$X_L$
$e_R^{i}$	1	1	-1	0	$X_L - X_2$
$H_1$	1	2	-1/2	4	$X_1$
$H_2$	1	2	1/2	0	$X_2$
$\Phi$	1	1	0	1	X3

- Scalar potential (1a) leaves global U(1)<sub>H1</sub> × U(1)<sub>H2</sub> × U(1)<sub> $\oplus$ </sub> symmetry charges undefined
- Canonical DFSZ scalar term (1b) defines PQ charges

$$V = \sum_{i=1,2} \left( \mu_i^2 |H_i|^2 + \lambda_i |H_i|^4 \right) + \lambda |H_1|^2 |H_2|^2 + \lambda' |H_1H_2|^2 + \mu_3^2 |\Phi|^2 + \lambda_3 |\Phi|^4 + \lambda_{13} |H_1|^2 |\Phi|^2 + \lambda_{23} |H_2|^2 |\Phi|^2 ,$$
(1a)  
$$V^C_{\lambda} = C H H \Phi + h c$$
(1b)

$$V_{\text{break}}^{C_{\lambda}} = -C_{\lambda}H_1H_2\Phi + \text{h.c.}, \qquad (1b)$$

$$V = \sum_{i=1,2} \left( \mu_i^2 |H_i|^2 + \lambda_i |H_i|^4 \right) + \lambda |H_1|^2 |H_2|^2 + \lambda' |H_1H_2|^2 + \mu_3^2 |\Phi|^2 + \lambda_3 |\Phi|^4 + \lambda_{13} |H_1|^2 |\Phi|^2 + \lambda_{23} |H_2|^2 |\Phi|^2 ,$$
(1a)
$$V_{\text{break}}^{C_{\lambda}} = -C_{\lambda} H_1 H_2 \Phi + \text{h.c.},$$
(1b)

$$V_{\text{break}}^{B_{\mu}} = -B_{\mu}H_1H_2 + \text{h.c.},$$

- Two sources of PQ breaking: color anomaly and B<sub>μ</sub>
  - Three neutral Goldstones: one for SM Z, one 2HDM A, one axion
  - "Standard" 2HDM potential terms forbidden by Z<sub>5</sub> symmetry

- Define angular fields  $\alpha \equiv a/v_a, \ \alpha' \equiv A/v_A$
- Use  $C_{\lambda}$  to effectively decouple 2HDM A

$$\begin{split} -V_{\mathrm{ang}} &= \Lambda_{\mathrm{QCD}}^4 \cos\left(N_g \left(\alpha + \alpha' \delta^2\right)\right) \\ &+ \Lambda_{\mathrm{QCD}}^4 \frac{v_a}{v_{\mathrm{max}}} \cos\left(\alpha + \alpha' \delta^2 + \bar{\theta}\right) \\ &+ \frac{|C_\lambda| v v_A^2}{\sqrt{2} \delta(1 + \delta^2)} \cos\left(\alpha' (1 + \delta^2)\right) \\ - \text{Second line is effect of finite } \mathsf{B}_\mu \qquad v_{\mathrm{max}} \equiv \frac{\Lambda_{\mathrm{QCD}}^4}{|B_\mu| v} \sqrt{1 + \delta^2} \\ - \mathsf{v}_{\mathrm{max}} &= \mathrm{maximal value of PQ vev v_a} \qquad \delta = v_A / v_a \end{split}$$

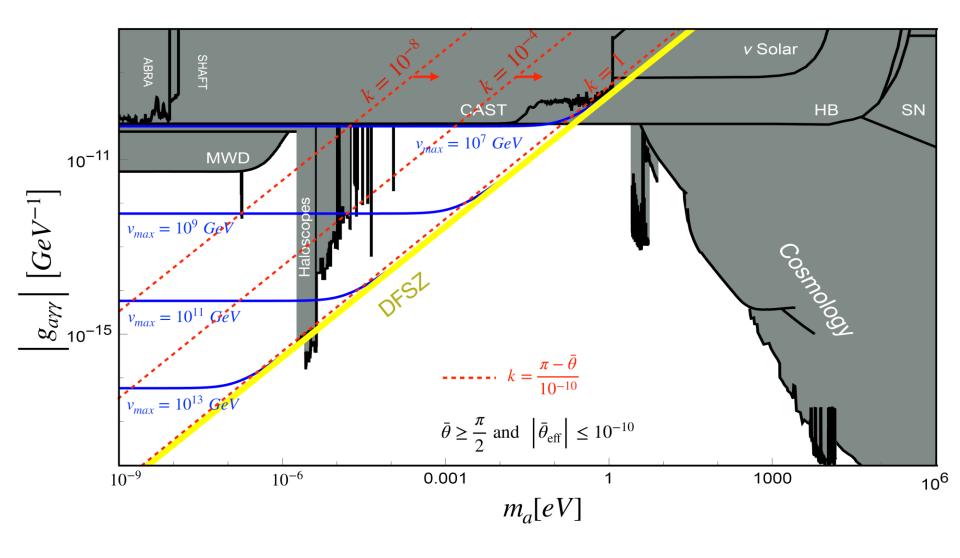
- UV phases shuffled into  $N_g \ \bar{\theta} = \theta_{SM} N_g \theta_{\mu}$
- Tadpole of axion = observable  $|\theta_{eff}|$
- Axion mass arises from canonical DFSZ contribution and soft-breaking  $B_{\mu}$  piece

$$m_a^2 = \frac{\Lambda_{\rm QCD}^4}{v_a^2} \left( N_g^2 \cos\left(N_g \bar{\theta}_{\rm eff}\right) + \frac{v_a}{v_{\rm max}} \cos\left(\bar{\theta} - \bar{\theta}_{\rm eff}\right) \right)$$

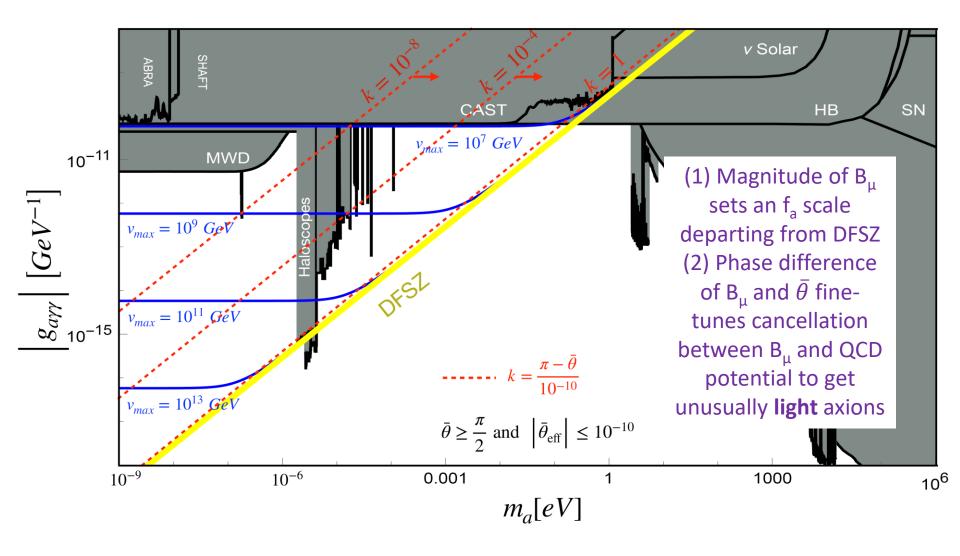
$$\frac{1}{f_a} \equiv \frac{N_g}{v_a} = -\frac{\cos(\bar{\theta} - \bar{\theta}_{\rm eff})}{2N_g v_{\rm max} \cos\left(N_g \bar{\theta}_{\rm eff}\right)} \tag{11}$$

$$+ \sqrt{\frac{m_a^2}{\Lambda_{\rm QCD}^4 \cos\left(N_g \bar{\theta}_{\rm eff}\right)} + \left(\frac{\cos(\bar{\theta} - \bar{\theta}_{\rm eff})}{2N_g v_{\rm max} \cos\left(N_g \bar{\theta}_{\rm eff}\right)}\right)^2}.$$

#### Anarchic axion deviates from DFSZ band



#### Anarchic axion deviates from DFSZ band



### Fine-tuning measure

• Since finite residual nEDM is *calculable*, can use Giudice-Barbieri fine-tuning measure

 Open model-building question whether more complicated UV model can reduce fine-tuning

– Ongoing work with Nelson-Barr origin of  $B_{\mu}$  term

• Anarchic axion model serves as target toy effective description aiming for light axions

## Part 1 Conclusions – Non-vanilla axions

- Axion field theory is rich with phenomenological applications and diverse model-building tools
  - Viable strong CP axion models with SSIs
     enhance axion mass into collider reach and beyond
  - Soft-breaking PQ symmetry motivates
     unusually light axions prime targets for host of experiments
- Future work will focus on Goldstone field theories and their breaking (beyond CCWZ)
  - Field theoretic synthesis of other PNGB EFTs
    - Relaxion, clockwork, linear dilaton, etc.
  - Connections to generalized global symmetries



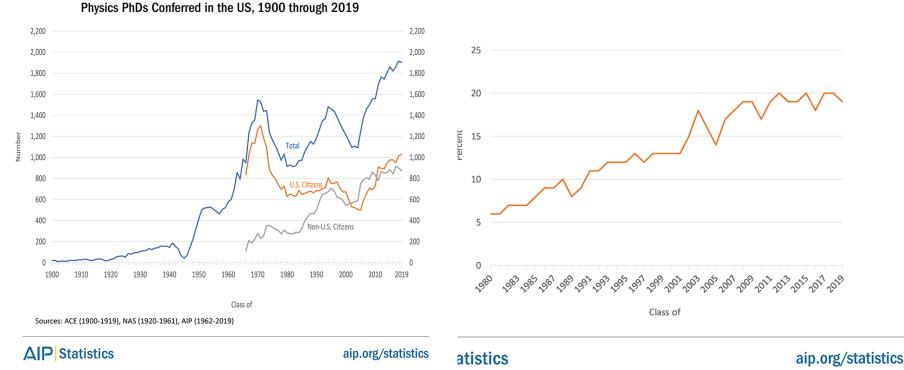
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## Perspective on Diversity, Equity, and Inclusion



Perspective on DEI – Felix Yu

# Current status for physics as a field – US Progress in gender balance has stalled



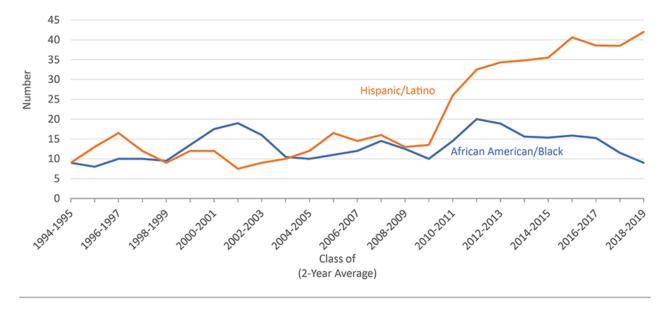
Classes 1980 through 2019

Percent of Physics PhDs Earned by Women,

#### Perspective on DEI – Felix Yu

# Current status for physics as a field – US Uneven improvement in ethnic diversity

Number of African American and Hispanic People Earning a Physics Doctorate, Classes of 1994 through 2019



**AIP** Statistics

aip.org/statistics

# Current status for physics as a field – US Uneven improvement in ethnic diversity

Race and Ethnicity of Physics PhDs, Classes of 2018 and 2019 Combined.

	Number (2-Year Average)	Percent of all Physics PhDs	Percent of US Physics PhDs*	US Census
White	860	45%	84%	58.9%
Asian American	92	5%	9%	6.3%
Hispanic American	42	2%	4%	0.070
African American	9	<1%	1%	19.1%
Other US Citizens	20	1%	2%	13.6%
Non-US Citizens	887	47%	-	
Total	1,910	100%	100%	4.3%

\*Based on a 2-year average of 1,022 US Citizens.



aip.org/statistics

#### Current status for physics as a field – US

#### • Numerical breakdown into categories for reference

The Number of Doctorates Earned in Physics, 2014-15 to 2018-19

Number of Doctorates Earned in Physics by People who are:	2014–15	2015–16	2016–17	2017–18	2018–19
American Indian or Alaska Native men	5	0	1	2	2
American Indian or Alaska Native women	0	1	0	0	0
Asian men	56	55	61	66	70
Asian women	17	20	19	18	27
Black or African American men	13	15	16	8	8
Black or African American women	5	9	3	4	1
Hispanic or Latino men	34	40	50	42	40
Hispanic or Latino women	10	5	7	11	10
Native Hawaiian or Other Pacific Islander men	2	1	1	1	1
Native Hawaiian or Other Pacific Islander women	0	0	0	1	0
White men	639	650	648	609	651
White women	135	142	115	165	123
Two or more races men	9	11	11	24	22
Two or more races women	1	8	6	6	6
All Other Race/Ethnicity and Gender Combinations (NonResident Alien and Unknown)	915	889	894	923	914
Totals:					
Non-White Only	152	165	175	183	187
White Only	774	792	763	774	774
Grand Totals:					
Men	1,474	1,489	1,511	1,478	1,497
Women	367	357	321	402	378
All	1,841	1,846	1,832	1,880	1,875

These data are publicly available from the National Center for Education Statistics (NCES) here: https://nces.ed.gov/ipeds/use-the-data.

**AIP** Statistics

aip.org/statistics

#### Current status – United States as attractor

#### • Addressing geographic diversity

Regions and Countries of Citizenship for Non-US Physics PhD Degree Recipients, Classes of 2017 and 2018 Combined

Asia	70%
China	30%
India	15%
Nepal	7%
Taiwan	4%
Sri Lanka	3%
Other Asian Countries	11%
Europe	11%
Americas	5%
Middle East	9%
Africa	4%
Australia, New Zealand	1%

AIP Statistics

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Perspective on DEI – Felix Yu

### Current status for physics as a field – US

#### • Aside: Physics as a career

Response to the Question: "If You Had to Do it Over Again, Would You Still Get a PhD in Physics?" Classes of 2017 and 2018 Combined

	US Citizens	Non-US Citizens
Yes, at the same institution	70%	53%
Yes, at a different institution	13%	24%
No, I would get a PhD in another subject	5%	15%
No, I would not get a PhD	12%	8%

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Do not know the reason for the other answers

- No equivalent demographic survey information
- More specialized survey was conducted by KET (roughly the German equivalent to APS Particles and Fields Section)
  - Target group for survey were people who moved to a permanent position in particle physics in Germany since 2010 and are working in particle physics in Germany 92 responses

#### Gender balance

#### 2.2 How is the gender balance?

33%) of those who obtained a permanent position since 2010 are women. An earlier survey conducted by KET in 2021 in the *full* community showed that the fraction of women in each of the three categories doctoral researchers, postdoctoral researchers, and leading and permanent positions is around (22%). In the third category of leading and permanent positions this represented a significant increase from about 10% in 2014. The recent hires since 2010 have therefore significantly increased the share of women in permanent positions in particle physics. The fraction of hired women is higher than their share in doctoral and postdoctoral researchers, and also beyond the share of women in bachelor graduates in physics of 24%-in 2020. The fraction of hired women is very different between hires at universities (23%) excluding joint appointments with research laboratories) and at research laboratories (45%). Therefore the increase is, at least on average, mainly due to hires at research laboratories while universities hire women roughly according to their share in earlier career levels. The Helmholtz Association has two programs to recruit excellent female scientists to their laboratories with an association to a German university, see Section 4.2.3. These positions likely contribute to a higher fraction of women hired at the laboratories.

 Personal view: takes longer to get to permanent jobs in Germany (in theory)

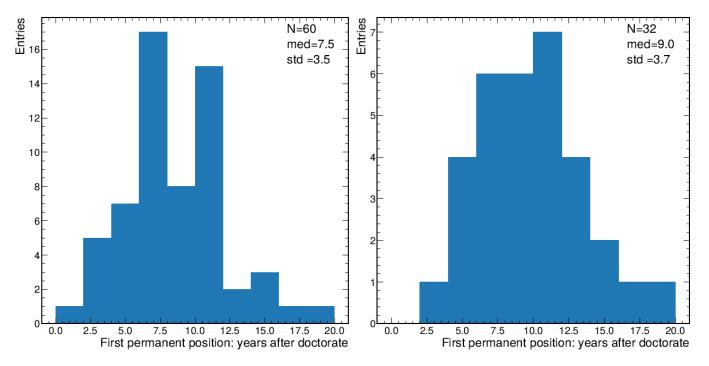


Figure 3: Number of years between conclusion of doctorate and first permanent position in experimental particle physics (left) and in theoretical particle physics (right).

 Some significant (co-)dependence on "feeder" programs

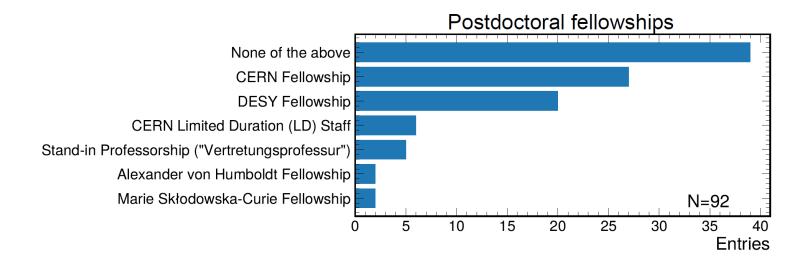


Figure 4: Types of fellowships granted to members of the target group prior to assuming their permanent position in Germany (multiple answers were possible).

#### https://www.ketweb.de/veroeffentlichungen/karrieren\_2023/

#### Perspective on DEI – Felix Yu

 Self-reflection: "What seems most significant to a permanent job in Germany?" (1 to 5 scale)

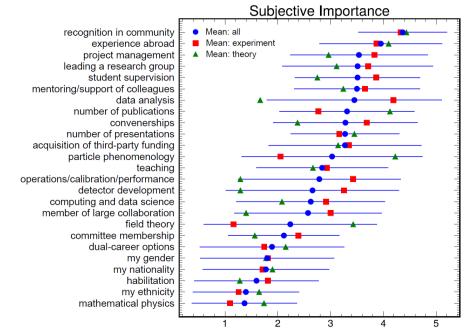


Figure 7: Subjective importance assigned to various factors for obtaining a permanent position, on a scale from 1 (not important) to 5 (very important). The factors are sorted by the mean importance of the entire target group (blue circles). In addition the plot shows the standard deviation of the entire group (error bar) as well as the mean for colleagues currently working in experimental physics (red squares) and in theoretical physics (green triangles).

 Self-reflection: "What seems most significant to a permanent job in Germany?" (1 to 5 scale)

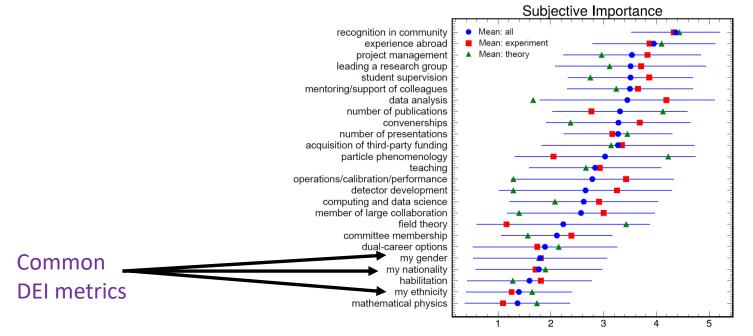


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#### https://www.ketweb.de/veroeffentlichungen/karrieren\_2023/

#### Perspective on DEI – Felix Yu

### Survey takeaways

- Leaky pipeline is intact
- Selection is a fact
- Diversity means different things in USA and Germany
  - Visibility is important, sociological data is lacking

I will not address the leaky pipeline or selection

 Thorny issue: perception/reality of a zero-sum game in faculty hiring

### A personal best practice to help DEI

• I am not a policy maker, but I want to do my part in helping DEI

### A personal best practice to help DEI

- I am not a policy maker, but I want to do my part in helping DEI
- Engage people outside your comfort zone at workshops, seminars, conferences, schools
  - Everyone has a shared interest in physics
  - Can invariably learn something new
  - Avoid prejudice poor physics knowledge becomes teachable moment

#### Science transcends barriers

#### The New York Times

#### OUT THERE

#### A Tiny Particle's Wobble Could Upend the Known Laws of Physics

Experiments with particles known as muons suggest that there are forms of matter and energy vital to the nature and evolution of the cosmos that are not yet known to science.

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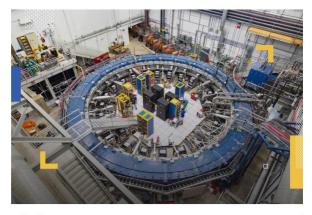


علحل | رويترز عن التلفزيون الإيراني: حريق بأحد خطوط الطوارئ للغاز الطبيعي جنوبي طهران ولا أنباء عن خسائر بشرية

South China Morning Post

China science

نتائج أهم تجربة في العالم.. هل نحن على مشارف فيزياء جديدة تماما؟!



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<mark>شادي عبد الحافظ</mark> 21/4/2021

ميدان

#### SPIEGEL Wissenschaft

Neue Erkenntnisse in der Teilchenphysik

#### Kundschafter ins Unbekannte

Seit 50 Jahren ersehnen Forscher Einblicke in die Welt jenseits der bekannten Naturgesetze. Jetzt öffnet sich das Tor zu einer neuen Physik.

Von Johann Grolle

 $\Box$ 

07.04.2021, 16.48 Uhr





China / Science

Comment

News"

#### Chinese physicist hunts for a ghost particle, undeterred by US-China friction

 Li Liang has worked for nearly a decade on the Muon g-2 experiment involving 200 researchers from seven countries at Fermilab in the US

Teams in China are working on the blueprint for a muon collider with sites in Guangdong province
 among candidates to host the potential project



Why you can trust SCMP



#### Perspective on DEI – Felix Yu