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## TRITIUM NEUTRINO MASS EXPERIMENTS

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### ABSTRACT

The current status of the experimental search for neutrino mass is reviewed, with emphasis on direct kinematic methods, such as the beta decay of tritium. The situation concerning the electron neutrino mass as measured in tritium beta decay is essentially unchanged from a year ago, although a great deal of experimental work is in progress. The ITEP group continues to find evidence for a nonzero mass, now slightly revised to 26(5) eV. After correcting for recently discovered errors in the energy loss distribution and source thickness, however, the Zürich group still claims an upper limit of 18 eV. There may be evidence for neutrino mass and mixing in the SN1987a data, in the same range suggested by the ITEP experiment.

### 1. INTRODUCTION

The continuing intensive experimental search for neutrino mass is motivated by the profound implications for cosmology and for particle physics. As is well known, the universe would be gravitationally closed by a neutrino having a mass of a few tens of eV, and the 1980 report<sup>1)</sup> by the group at the Institute for Theoretical and Experimental Physics (ITEP) in Moscow of a 35 eV electron neutrino mass therefore aroused great interest. In the intervening 8 years, the ITEP group have improved their apparatus,

taken more data, refined their analysis, and still find qualitatively the same result. The dissenting experimental voice is that of the Zürich group, who in 1985 reported<sup>2]</sup> an upper limit of 18 eV on the mass.

In our review we survey mainly the direct methods for determining neutrino mass, i.e. those methods that do not depend for their success on the violation of lepton family number (or lepton number). Neutrino oscillations and double beta decay are discussed by others at this meeting.

In the following, the neutrinos are identified as  $\nu_1$ ,  $\nu_2$ , and  $\nu_3$ , and their masses are  $m_1$ ,  $m_2$ , and  $m_3$ . This is both to achieve a simple notation and to serve as a reminder that neutrino mass eigenstates may not necessarily be flavor (current) eigenstates. Thus  $\nu_1$  is *predominantly* the electron neutrino, etc. No distinction will be made between the masses of neutrinos and antineutrinos, their equality being assured under CPT.

## 2. COSMOLOGICAL CONSTRAINTS

Fortified by the remarkable successes of the standard big-bang theory, cosmologists have been able to constrain the physics of elementary particles in several unique ways. One of these results is relevant to this discussion: The sum of the masses of the stable neutrinos must be less than about 65 eV. As has been discussed by many authors<sup>3-5]</sup>, the present-epoch density of primordial neutrinos may be related directly to the 3-K microwave background.

The neutrino plus antineutrino density per flavor is  $109 \text{ cm}^{-3}$ , and a neutrino mass of 96 eV is sufficient to close the universe. More generally,

$$\Sigma m_\nu = 96 \Omega_\nu h_0^2 \text{ eV} \quad ,$$

where  $\Sigma m_\nu$  is the sum of all neutrino masses and  $h_0$  the Hubble in units of  $100 \text{ km s}^{-1} \text{ Mpc}^{-1}$ . This simple relationship must be modified in two respects, however. First, normal baryonic matter also fills the universe and contributes a mass density. It is one of the triumphs of big-bang nucleosynthesis that the abundances of the light isotopes

$^4\text{He}$ ,  $^2\text{H}$ ,  $^3\text{He}$ , and  $^7\text{Li}$  can be quantitatively explained and that a single, concordant value of the baryon density emerges from the analysis. The result<sup>3]</sup> may be expressed as:

$$\Omega_N = (0.018 \pm 0.008) h_0^{-2}.$$

The second modification has been emphasized by Steigman<sup>3]</sup>: Simultaneously large values of  $\Omega$  and  $H_0$  imply an impossibly young universe and must be excluded. The age of the universe in Gy may be written<sup>5]</sup>,

$$t_0 = \frac{9.78}{h_0} \int_0^\infty \frac{dz}{(1+z)^2 (1+\Omega z)^{1/2}}$$

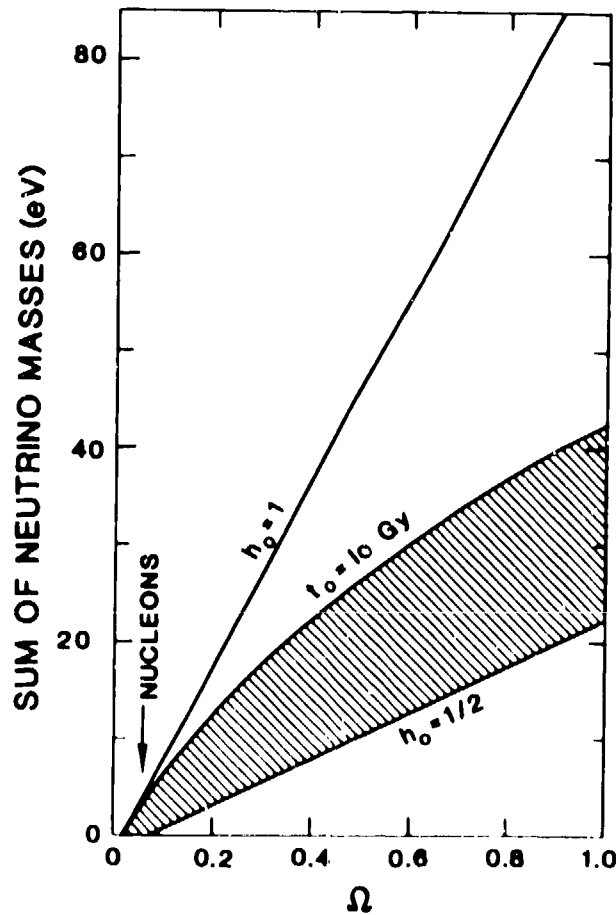


Fig.1 Allowed region (shaded) for neutrino mass, in the absence of other sources of dark matter.

The integral varies smoothly from 1 for  $\Omega$  small to  $2/3$  for  $\Omega = 1$ . The age of the universe is at least 10 Gy. Given that  $h < h_0 < 1$ , we may plot the allowed region for neutrino mass as shown in Fig. 1. It is clear that the allowable mass in neutrinos is severely restricted by the age of the universe -- ages longer than 10 Gy restrict the range more strongly. There is room for neutrino mass in the range suggested by the ITEP experiments<sup>1,6]</sup> on tritium beta decay, although it would be surprising if the electron neutrino were the heavyweight.

### 3. TRITIUM BETA DECAY EXPERIMENTS

As is well known, the ITEP group in Moscow has reported<sup>1]</sup> since 1980 that the electron antineutrino has a mass of about 35 eV (now revised<sup>6]</sup> to 26 eV). The method is a careful study of the beta spectrum from tritium decay:

$$N(E) = C F(Z_f, R, E) p_e E \sum_i w_i (E_0 - E_i - E) [(E_0 - E_i - E)^2 - m_\nu^2 c^4]^{1/2} \\ \times [1 + \alpha_1 (E_0 - E) + \alpha_2 (E_0 - E)^2] ; \quad E \leq E_0 - E_i - m_\nu c^2$$

where  $F(Z_f, R, E)$  is the Fermi Coulomb distortion factor, a smoothly varying function of energy. The total energy is  $E_0$ . Weak magnetism and nuclear recoil give<sup>7]</sup>  $\alpha_1$  a value of  $2.312 \times 10^{-9} \text{ eV}^{-1}$ . The summation is over all final states of the daughter system. Each final state has a different energy, and calculating the energies  $E_i$  and branching ratios  $w_i$  to the final states is a matter of fundamental importance in all tritium experiments. Equally important, but more amenable to experimental checks, are energy loss as the electron traverses the source material, instrumental resolution, and backscattering.

The development of tritium beta decay studies has been reviewed frequently<sup>8,9]</sup>. We will not repeat the historical material, but mention only recent work and prospects for the future.

The ITEP group has continued to improve the apparatus and the analysis. Most recently, the ITEP group became concerned about the large discrepancy between the variance of the final state spectrum for valine actually used in the 1985 analysis,  $697 \text{ eV}^2$ , and the sum-rule

value,  $1282 \text{ eV}^2$ , recently obtained by Kaplan & Smelov<sup>10]</sup>. In previous analyses the continuum in valine had been represented by a single state that gave the correct normalization and average excitation energy. They replaced the single state in the continuum with two, so positioned as to reproduce the first three moments correctly. Power-law distributions were also tried. The result<sup>6]</sup> of a reanalysis of the 1985 data augmented with some new data was to decrease the neutrino mass slightly to  $26(5) \text{ eV}$  (no CL given). The "model-independent" lower limit, established from the endpoint energy as described below, remained at  $17 \text{ eV}$ .

In preparation for a new cycle of experiments, the resolution of the spectrometer has been improved from  $20 \text{ eV}$  to about  $15 \text{ eV}$  by reducing the size of the slit in front of the proportional counters from  $0.8$  to  $0.5 \text{ mm}$ . To avoid a concomitant loss of data rate, the spacing between the counters has been reduced from  $4$  to  $2 \text{ mm}$ . Electrons are not fully stopped in such a small detector and it remains to be seen whether the efficiency and background rate will be satisfactory. The valine source material now has 6 tritium atoms per molecule instead of 2, and the thickness has been reduced a factor of 3. It will be most interesting to see the effect of these improvements.

The Zürich group reported<sup>2]</sup> in 1985 an upper limit of  $18 \text{ eV}$ , in some conflict with the ITEP result. Since then, they have concentrated on reducing the background in their apparatus, much of which arises from tritium leaving the source material (tritium-implanted carbon) and migrating around in the spectrometer. Both the source and spectrometer are now cooled with the intent of reducing the mobility of the tritium. Thinner implanted sources with a no-loss fraction of 80% are being prepared, and Langmuir-Blodgett films are under development.

A puzzling feature of the disagreement between the ITEP and Zürich works was the substantial difference in the energy-loss spectra (see ref. 8). The Zürich group had calculated the energy loss using a plasmon model, while ITEP had measured it by depositing different thicknesses of source material on a calibration source. At the INS International Symposium on Neutrino Mass and Related Topics in Tokyo

earlier this year, W. Kündig of the Zürich group reported<sup>11]</sup> that the energy loss spectrum was underestimated by a factor of 2, which would approximately reconcile the difference between ITEP and Zürich. However, at the same time the source thickness was overestimated by a factor of 2, and the Zürich result is therefore reportedly unchanged.

Following initial publication<sup>12]</sup> of a 32-eV upper limit the group at the Institute for Nuclear Studies (INS), Tokyo, have brought<sup>13]</sup> the total statistics in the last 100 eV to 14000 from 5000. The shakeup and shakeoff spectrum of  $^{109}\text{Cd}$ , needed to derive the instrumental resolution, was obtained by making measurements with two different source thicknesses and unfolding the energy loss contribution. Backscattering was found by examination of the spectrum far below the  $^{109}\text{Cd}$  KLL Auger lines to be negligible. The final state spectrum of valine calculated by Kaplan and collaborators<sup>14]</sup> was used for the arachidic acid source. The previous data set gave  $m_1^2 = 287(341) \text{ eV}^2$ , and the more recent set  $m_1^2 = 155(349) \text{ eV}^2$ . The weighted mean is  $m_1^2 = 223(244) \text{ eV}^2$ . The uncertainties are statistical only. With the inclusion of systematic uncertainties, the upper limit from the INS work is now 28 eV.

In the future, the INS group plans to use a new, larger source and a larger position-sensitive detector to achieve a 30-fold increase in data rate. Through compensation of third-order aberrations, it is expected that a 2 eV FWHM resolution can be achieved. This will be truly remarkable performance for a magnetic spectrometer, and the main limitation in the neutrino mass determination will likely be uncertainties in the final-state spectrum.

The Los Alamos experiment<sup>15]</sup>, in which a source of gaseous  $\text{T}_2$  is used, produced an upper limit of 27 eV at the 95% CL. The accuracy of the result was limited almost entirely by statistics, and the Los Alamos group has concentrated on improving the data rates. The single-element proportional counter at the focus of the spectrometer has been replaced by a 96-pad Si microstrip array. This has resulted in an improvement of a factor of 7.8 in the gross data rate and 2.7 in the signal-to-noise ratio. Furthermore, during these measurements, the spectrometer acceptance was restricted in order to obtain a resolution improvement of about 30%. Data-taking with the new system



has commenced. In the future the Los Alamos group intends to measure the K-shell photoionization spectrum of Kr in order to reduce the uncertainties associated with the shakeup and shakeoff satellites of  $^{83}\text{Kr}^m$ . That isotope is used to determine the spectrometer response function.

Other groups are continuing to make progress. The Oxford experiment<sup>16]</sup> makes use of a cylindrical mirror analyzer and a Cd-palmitate-T source. Initial tests show 15 eV resolution and a background rate of only  $8 \text{ hr}^{-1}$ . With an iron-core spectrometer and a Langmuir-Blodgett source, the group at the Institute for Atomic Energy in Beijing reports<sup>17]</sup> a preliminary upper limit of 30 eV on  $m_1$ . Two new experiments with gaseous  $\text{T}_2$ , one<sup>18]</sup> utilizing a toroidal magnetic spectrometer at Lawrence Livermore National Laboratory (LLNL), and the other<sup>19]</sup> a magnetic-electrostatic retarding potential analyzer at the Institute for Nuclear Research in Moscow, are expected to begin operation shortly. At the Yorktown Heights laboratories of IBM, Clark and Frisch<sup>20]</sup> will make use of a metal tritide source and an electrostatic retarding-potential analyzer. Source-in background rates have been reduced to a satisfactory level. Three groups, at LLNL<sup>21]</sup>, at the University of Mainz<sup>22]</sup>, and at the Ohio State University<sup>23]</sup>, are working on frozen  $\text{T}_2$  sources.

#### 4. THE $^3\text{H} - ^3\text{He}$ MASS DIFFERENCE

The neutrino mass is derived only from the shape of the  $\beta$  spectrum and is thus independent of the endpoint energy. Nevertheless, the endpoint energy is a fitted parameter whose value may be compared with other determinations of the mass difference between  $^3\text{H}$  and  $^3\text{He}$ . It thus serves as a check (one of very few available) on some kinds of systematic error.

It may be shown<sup>8]</sup> that the experimental endpoint energy found by fitting data from lower energies with no assumption about the final-state spectrum is

$$E_{\text{exp}} = E_0 - \langle V_i \rangle,$$

where  $E_0$  is the endpoint energy for the transition to the lowest final state and  $\langle V_1 \rangle$  is the average excitation energy of the residual molecule. The atomic mass difference,  $\Delta M = M(^3\text{H}) - M(^3\text{He})$ , is then given by

$$\Delta M = E_{\text{exp}} + \langle V_1 \rangle - B(\text{T}) + B(\text{He}) - B(\text{R:He}^+) + B(\text{R:T}) + E_{\text{rec}},$$

where  $B(x)$  is the atomic binding energy of the molecule  $x$ . (Generally it is  $E_0 = E_{\text{exp}} + \langle V_1 \rangle$  that is quoted by experimental groups as the "endpoint energy".) The recoil energy  $E_{\text{rec}}$  is about 3.4 eV.

Hence, the experimental endpoint energy is related to  $\Delta M$  through the first moment  $\langle V_1 \rangle$  of the final-state distribution, whereas the derived neutrino mass depends mainly on the second moment. The ITEP collaboration, recognizing that there is some uncertainty in the final-state spectrum, have explored the effect of using a variety of different theoretical spectra. Both the first and second moments are

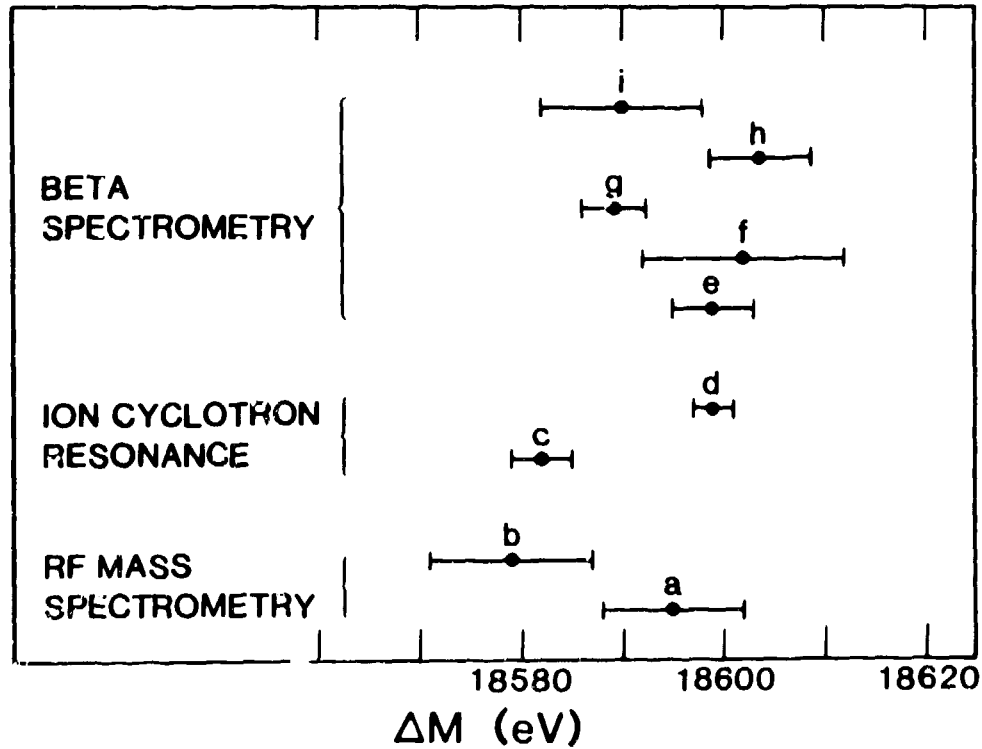


Fig. 2. Determinations of the  $^3\text{H} - ^3\text{He}$  mass difference  $\Delta M$ . a, b: ref. 27, 28; c: ref. 29; d: refs. 24, 25; e: ref. 6; f: ref. 2; g: ref. 30; h: ref. 13; i: ref. 31.

altered, and at some point the good agreement between the  $\Delta M$  from the ITEP<sup>6]</sup> tritium spectrum [18599(4) eV] and from the ion-cyclotron-resonance work of Lippmaa et al.<sup>24,25]</sup> [18599(2)] is lost. The ITEP group argue<sup>26]</sup> that the point where these disagree at the 1.3SD level constitutes a model-independent limit on possible variations in the final-state spectrum, and find a range of 17 to 40 eV for  $m_1$ . The necessary precision in  $\Delta M$  is very high -- a 6-eV change would be sufficient to reduce the lower limit on  $m_1$  from 17 eV to 0. As may be seen in Fig. 2, the experimental picture on the  ${}^3\text{H} - {}^3\text{He}$  mass difference is rather unsatisfactory, with several precise measurements in serious disagreement. Moreover, this test, while informative, does not lead to a completely model-independent limit inasmuch as the first and second moments of distributions are not functionally related. Nevertheless, the usefulness of the kind of comparison made by ITEP for disclosing systematic problems cannot be overstated, and it is to be hoped that direct determinations of  $\Delta M$  at the 1 eV level will soon be made.

## 5. SUPERNOVA SN1987a<sup>\*</sup>

The historic observation<sup>32-35]</sup> of neutrinos from the supernova SN1987a in the Large Magellanic Cloud on February 23, 1987, provided a new window on neutrino physics and astrophysics. Among the many interesting physics questions to be addressed was that of neutrino mass. Space does not permit us to do justice to the enormous literature on this topic, but most works have sought to demonstrate that the mass of the electron neutrino must be quite small. Limits ranging from a fraction of an eV to about 15 eV have been published. Kolb, Stebbins, and Turner<sup>36]</sup> have emphasized the need for caution in such analyses in light of the considerable model dependence that is inherent when little is known about the temporal and thermal evolution of a supernova and the particle properties of neutrinos. Nevertheless, a careful statistical analysis by Spergel and Bahcall<sup>37]</sup> appears to show conclusively that, at the 95% CL, a mass  $m_1$  greater than 16 eV can be ruled out. It is stated that this limit is substantially better than terrestrial measurements.

<sup>\*</sup>Not included in oral presentation.

Because of the influential nature of this latter paper (and an earlier one claiming an 11-eV limit<sup>38]</sup>), we thought it appropriate to draw attention to an alternative interpretation that has been advanced by at least four groups<sup>39-42]</sup>. If neutrinos have mass, then neutrino mixing is possible, even likely. The events in the water Cherenkov detectors are, with one possible exception, charged current interactions on the proton induced by "electron antineutrinos". There may be three (or more) mass eigenstates with some electron current component, and they will propagate at different velocities. The arrival time  $t_i$  (s) for a neutrino of mass  $m$  (eV), energy  $W_i$  (MeV) from the LMC is

$$t_i = T_0 + d_{\text{LMC}} m^2 / W_i^2,$$

where  $d_{\text{LMC}}$  is 2.68(26) in these units<sup>36]</sup>, and  $T_0$  is the arrival time for a massless particle. On a log-log plot of  $W_i$  vs  $t_i - T_0$ , events will fall on straight lines of slope  $-1/2$  if neutrino mass is the source of the dispersion. Fig. 4 shows that plot with all known data in the vicinity of 7:35 UT (from Kamiokande II<sup>32]</sup>, IMB<sup>33]</sup>, Baksan<sup>34]</sup>, and Mont Blanc<sup>35]</sup>) on it. The 30 points are fit with 5 parameters:

$T_0$	7:35:40.90
Kamiokande first event	7:35:41.20
Baksan first event	7:35:41.15
$m_1$	6.1 eV
$m_2$	26.0 eV

One can see that this hypothesis organizes the data in a very striking fashion. There appears to be no conflict with known limits on oscillations if the two groups correspond to  $\nu_1$  and  $\nu_3$ , and it may even be possible to accommodate  $\nu_2$  as the lighter neutrino. The plot shown here is qualitatively the one originally given by Lyubimov<sup>42]</sup>; others find slightly different values for the two masses. The time evolution of the supernova is ignored in all these studies, and needs to be considered. A decay time of a few seconds has no effect on the upper branch, but eliminates the indication for nonzero mass in the lower branch. Longer times affect the upper branch, progressively reducing the mass.

It would be hazardous to hold that this argument "proves"

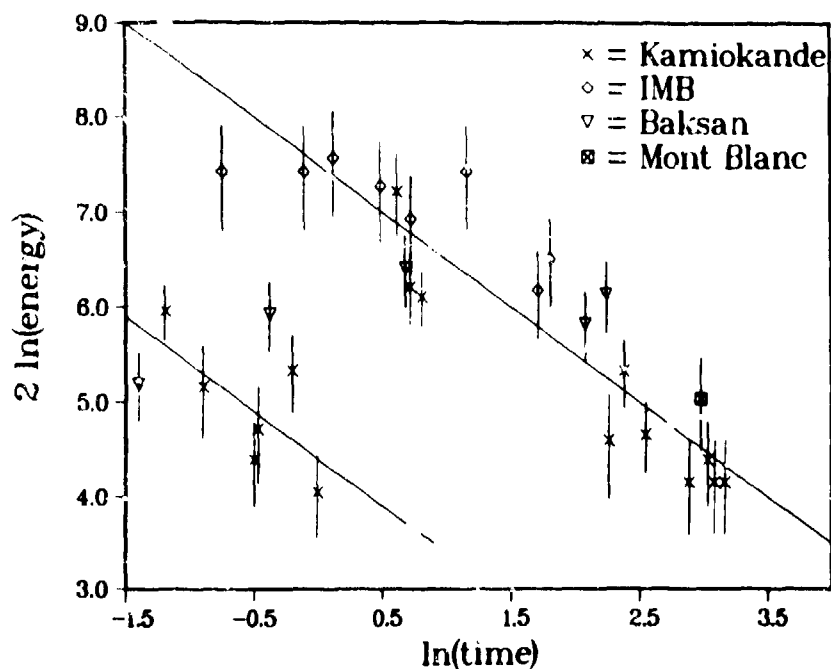


Fig. 3. Log-log plot of neutrino arrival time against neutrino energy. The upper line corresponds to a neutrino mass of 26 eV and the lower one 6 eV.

neutrinos have mass, but it does cogently demonstrate that, from SN1987a, there is no basis for a limit on the electron neutrino mass smaller than about 30 eV.

## 6. CONCLUSION

The controversy surrounding the mass of the electron neutrino remains unresolved. A limit of 27 eV (95% confidence level) on the mass has been set<sup>15]</sup> that is relatively free of model assumptions, but it is not in conflict with either the positive ITEP result<sup>6]</sup>, 26(5) eV, or the null Zürich result<sup>2]</sup>,  $m_1 < 18$  eV, both of which are model dependent. The neutrino data from supernova SN1987a does not rule out an electron neutrino mass smaller than about 30 eV, and<sup>36,39-42]</sup> may even favor one in the range 20 to 30 eV.

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