# Baryon Asymmetry of the Universe

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## $\S1.$ Evidence of the BAU

#### Baryon Asymmetry of the Universe

$$\frac{n_B}{s} = \frac{n_b - n_{\bar{b}}}{s} = (0.48 - 0.98) \times 10^{-10}$$

 $s = rac{\pi^2}{45} g_* T^3 \simeq 7.04 n_\gamma$ : entropy density  $g_* =$  massless degrees of freedom

— constant during the expansion of the universe, once  $\Delta B \neq 0$  is turned off

 $n_b, n_{\bar{b}} \propto a(t)^{-3} \propto T^3$  [entropy  $a^3 s \propto a^3 T^3 = \text{const.}$ , where a = scale factor]

This value is determined by the data of

 WMAP — observation of fluctuation in the Cosmic Microwave Background Radiation The evolution of the fluctuation is determined by the components of the universe (baryon, CDM, electron, photon) at the decoupling.

 $\longrightarrow T_0$ ,  $H_0$  ( $\rightarrow \rho_C = 3H_0^2/(8\pi G)$ ),  $\Omega_B = \rho_B/\rho_C$  ( $\rho$  = energy density)

★ Big Bang Nucleosynthesis

• 
$$T \gg 1$$
MeV  
 $n + \nu_e \rightleftharpoons p + e^ \therefore$   $n_n \simeq n_p$   
•  $T = T_F \simeq 1$ MeV  $(\Gamma_{n \leftrightarrow p} \simeq H)$   
 $\frac{n_n}{n_p} \simeq e^{-(m_n - m_p)/T_F} \simeq \frac{1}{6}$ 

• 
$$T = 0.3 - 0.1 \text{MeV}$$
  
depending on  $\eta = \frac{n_B}{n_\gamma}$ ,  $\frac{n_n}{n_p} = \frac{1}{7} - \frac{1}{6}$ 

<sup>4</sup>He mass fraction  $Y \equiv \frac{2n_n}{n_n + n_p} \quad (= 0.25 \leftrightarrow \frac{n_n}{n_p} = \frac{1}{7})$ 

- 1. observed antiparticles in cosmic rays = secondary antiparticles
- 2. clusters of galaxies are stable

mass of a cluster:  $M_{\rm cluster} \simeq 10^{12-14} M_{\odot}$  ( $M_{\odot} =$  solar mass)

In the universe, is there net baryon number?

Starting from a Baryon-symmetric universe, can we extract finite  $n_B$ ?

At T < 1GeV,  $a \ bit \ of$  nucleons and anti-nucleons exist with the same number because of thermal fluctuation:  $n_N = n_{\bar{N}} = (m_N T)^{3/2} e^{-m_N/T}$ 

 $\frac{n_b}{s} = \frac{n_{\bar{b}}}{s} \simeq 8 \times 10^{-11} \quad \text{at } T = 38 \text{MeV}$ 

At this T, total energy within a causal volume  $(\sim H^{-3})$  is  $10^{-7} M_\odot \ll 10^{12} M_\odot$ 

At a higher T, there are more  $n_b/s$  and  $n_{\bar{b}}/s$ , but

$$E_{\text{causal}} \sim \rho(T) H^{-3}(T) \sim T^4 (T^2/m_{\text{Pl}})^{-3} = m_{\text{Pl}}^3 T^{-2} < 10^{-7} M_{\odot},$$

where

$$H = \frac{\dot{a}(t)}{a(t)} = \sqrt{\frac{8\pi G}{3}\rho(T)} \quad \text{with} \quad \rho(T) = g_* \frac{\pi^2}{30}T^4$$

Even the *Maxwell's demon* could not separate matter and antimatter to create the present universe, without violating causality.

Before the era of nucleosynthesis, we must have  $\frac{n_B}{s} = (0.48-0.98)\times 10^{-10}$  over a region broader than a causal region at  $T=1{\rm MeV}.$ 

### §2. Requirements for the baryogenesis

= generating B starting from B-symmetric universe

Sakharov's 3 conditions

(1) Baryon number violating process

(2) Violation of C and CP symmetries

(3) Out of equilibrium

(1) is obvious.

(3) In equilibrium,  $\Delta B \neq 0$ -process and its inverse occur with the same probability. Then no B is generated.

#### Let us consider the case in which (2) is not satsified.

Suppose that a local state of the spatially uniform universe is described by **density operator** 

 $ho(t) = \sum_{n} p_n |n(t)\rangle \langle n(t)|$  ( $p_n = \text{prob. to find the universe in the state } |n(t)\rangle$ )

Expectation value of some observable  $\mathcal{O}$ :

$$\langle \mathcal{O} \rangle(t) = \operatorname{Tr}\left[\rho(t)\mathcal{O}\right] = \sum_{n} p_n \langle n(t) | \mathcal{O} | n(t) \rangle$$

time evolution of  $\rho(t)$  is governed by the Liouville equation:

$$i\hbar \frac{\partial \rho(t)}{\partial t} + [\rho(t), H] = 0$$

( Schrödinger eq. 
$$i\hbar \frac{\partial}{\partial t} |n(t)\rangle = H |n(t)\rangle$$
)

 $\rho_0$ : density operator of an initial state with  $n_B = 0$   $\langle n_B \rangle_0 \equiv \text{Tr} [\rho_0 n_B] = 0$ density operator  $\rho(t)$  at a later time is given by the solution to

$$i\hbar \frac{\partial \rho(t)}{\partial t} + [\rho(t), H] = 0$$

with the initial condition  $\rho(t_0) = \rho_0$ 

The solution is formally written in terms of H and  $ho_0$ 

 $\Rightarrow \text{ If } H \text{ is invariant under } C\text{- } or \ CP\text{-trf.} \Longrightarrow [\rho, \mathcal{C}] = 0 \quad or \quad [\rho, \mathcal{CP}] = 0$ 

$$CBC^{-1} = -B, \quad CPB(CP)^{-1} = -B \quad (i.e., B \text{ is vectorlike and odd under } C)$$

$$\Rightarrow \begin{cases} \langle n_B \rangle = \operatorname{Tr}[\rho n_B] = \operatorname{Tr}[\rho C n_B C^{-1}] = -\operatorname{Tr}[\rho n_B] = 0 \\ \text{or} \\ \langle n_B \rangle = \operatorname{Tr}[\rho CP n_B (CP)^{-1}] = -\operatorname{Tr}[\rho n_B] = 0 \end{cases}$$

 $\therefore$  Both *C* and *CP* must be violated to have  $\langle n_B \rangle \neq 0$ 

## §3. Scenarios of baryogenesis

- models of particle physics realizing baryogenesis

(1)  $\Delta B \neq 0$  process

• quark-lepton mixing — in Grand Unified Theories (GUTs)



• in Supersymmetric theories,

quark:  $q \leftrightarrow \tilde{q}$  :scalar quark (squark)lepton:  $l \leftrightarrow \tilde{l}$  :scalar lepton (slepton) $\Rightarrow \langle \tilde{q} \rangle \neq 0, \langle \tilde{l} \rangle \neq 0$ 

• axial U(1) anomaly in the (B + L)-current

- exists in the Standard Model

$$\partial_{\mu} j^{\mu}_{B+L} = \frac{N_f}{16\pi^2} [g_2^2 \text{Tr}(F_{\mu\nu} \tilde{F}^{\mu\nu}) - g_1^2 B_{\mu\nu} \tilde{B}^{\mu\nu}] \neq 0$$
  
for some specific configuration of the  $SU(2)$ -gauge field  
We shall discuss

All these processes must be suppressed at T = 0, in order for a proton not to decay

- in GUTs,  $m_X$  must be heavier than some value  $\sim 10^{16} {
  m GeV}$
- The potential for the squark fields must have such a form that  $\langle \tilde{q} \rangle \neq 0$  is realized in the early universe, while  $\langle \tilde{q} \rangle = 0$  at T = 0
- at T = 0,  $\Delta(B + L) \neq 0$  process occurs by quantum tunneling As shown later, the probability is negligible

this process later.

### (2) C and CP violation

\* C violation  $\leftarrow$  chiral gauge interactions in EW theory and GUTs  $SU(2)_L$  gauge int., different  $U(1)_Y$  charges for L- and R-fermions

 $\star$  *CP* violation  $\leftarrow$  complex parameters with irreducible phases

In renormalizable field theories, only some types of interactions can violate CP.

• In the SM, KM phase and  $F_{\mu\nu}\tilde{F}^{\mu\nu}$  ( $\theta$ -term)

 $|\theta_{\rm QCD}| \simeq 0$  by neutron EDM experiment

- Extended models:
- $\triangleright$  SUSY models: relative phases of  $\mu$ , gaugino mass, A, B (soft-SUSY-br.)
- Extended Higgs sector: complex Higgs self-couplings

magnitude of CP violation is limited by experiments

- e.g., B-factory, EDM of neutron and lepton, K-rare processes

### (3) Out of equilibrium

"equilibrium in the expanding universe"  $\Leftrightarrow$  time scale of process:  $\tau < H(T)^{-1}$ 

for relativistic particles,  $\tau \simeq \lambda$ : mean free path



relativistic degrees of freedom for SM with  $N_f$  generation,  $N_H$  Higgs doublets

$$g_* = 24 + 4N_H + \frac{7}{8} \cdot 30N_f \stackrel{\text{MSM}}{=} 106.75$$

number density: 
$$n(T) = g \int \frac{d^3k}{(2\pi)^3} \frac{1}{e^{\sqrt{k^2 + m^2}/T} \mp 1} \stackrel{m \leq T}{\simeq} g \begin{cases} \frac{\zeta(3)}{\pi^2} T^3 \\ \frac{3}{4} \frac{\zeta(3)}{\pi^2} T^3 \\ \frac{\zeta(3)}{\pi^2} T^3 \\ \zeta(3) = 1.2020569 \cdots \end{cases}$$

for relativistic particles, 
$$\sigma \simeq \frac{\alpha^2}{s} \simeq \frac{\alpha^2}{T^2}$$
  $\therefore$   $\lambda \simeq \frac{10}{gT^3} \left(\frac{\alpha^2}{T^2}\right)^{-1} = \frac{10}{g\alpha^2 T}$ 

$$T = 100 \text{GeV}: \begin{cases} H(T)^{-1} \simeq 10^{14} \,\text{GeV}^{-1} & \text{expansion} \\ \lambda_s \simeq \frac{1}{\alpha_s^2 T} \sim 1 \,\text{GeV}^{-1} & \text{strong interactions} \\ \lambda_{EW} \simeq \frac{1}{\alpha_W^2 T} \sim 10 \,\text{GeV}^{-1} & \text{EW interactions} \\ \lambda_Y \simeq \left(\frac{m_W}{m_f}\right)^4 \lambda_{EW} & \text{Yukawa interactions} \end{cases}$$

### time scale of EW interaction vs that of the expansion



$$\tau_{\rm process} < H(T)$$
 ?

#### • Expansion of the universe

EW or GUTs interaction in the radiation dominated universe at  $T > 10^{15}$ GeV Heavy particle (e.g., heavy Majorana neutrino) at  $T > 10^{10}$ GeV

### • First-order phase transition

some <u>rare process</u> runs out of equil. even at T = 100 GeV— (B + L)-violating process in EW theory

#### • Reheating or preheating after inflation

accompanying production of a large amount of entropy

 $\longrightarrow$  dilution of baryon number density

#### An example — GUTs

minimal SU(5) model:

matter: 
$$\begin{cases} \mathbf{5}^* : \psi_L^i & \ni \ d_R^c, l_L \\ \mathbf{10} : \chi_{[ij]L} & \ni \ q_L, u_R^c, e_R^c \end{cases} \quad \text{gauge: } A_\mu = \begin{pmatrix} G_\mu, B_\mu & X_\mu^{a\alpha} \\ X_\mu^{a\alpha} & W_\mu, B_\mu \end{pmatrix}$$
$$i = 1 - 5 \rightarrow (\alpha = 1 - 3, a = 1, 2)$$

$$\mathcal{L}_{\rm int} \ni g\bar{\psi}\gamma^{\mu}A_{\mu}\psi + g\mathrm{Tr}\left[\bar{\chi}\gamma^{\mu}\{A_{\mu},\chi\}\right]$$
$$\ni gX^{a}_{\alpha\mu}\left[\varepsilon^{\alpha\beta\gamma}\bar{u}^{c}_{R\gamma}\gamma^{\mu}q_{L\beta a} + \epsilon_{ab}\left(\bar{q}^{\alpha}_{Lb}\gamma^{\mu}e^{c}_{R} + \bar{l}_{Lb}\gamma^{\mu}d^{c\alpha}_{R}\right)\right]$$

Expectation value of  $\Delta B$  in decays of  $X\text{-}\bar{X}$  pairs generated from the plasma

$$\langle \Delta B \rangle = \frac{2}{3}r - \frac{1}{3}(1-r) - \frac{2}{3}\bar{r} + \frac{1}{3}(1-\bar{r}) = r - \bar{r}$$
  
 $\therefore C \text{ or } CP \text{ is conserved}(r = \bar{r})$   
 $\implies \Delta B = 0$ 

process	BR	$\Delta B$
$X \longrightarrow qq$	r	2/3
$X \longrightarrow \bar{q}\bar{l}$	1-r	-1/3
$\bar{X} \longrightarrow \bar{q}\bar{q}$	$ar{r}$	-2/3
$\bar{X} \longrightarrow q, l$	$1-\bar{r}$	1/3

If the inverse process is suppressed,  $B \propto r - \bar{r}$  is generated.

Indeed, at  $T \simeq m_X$ , the decay rate of X:  $\Gamma_D \simeq \alpha m_X \ (\alpha \sim 1/40)$ 

 $\Rightarrow \Gamma_D \simeq H(T = m_X)$   $\therefore$  annihilation and production of  $X\bar{X}$  out of equil.

$$H(T) \simeq 1.66\sqrt{g_*} \frac{T^2}{m_{\rm Pl}}$$

SU(5) GUT conserves B - L - (B + L)-genesis

EW  $\Delta(B+L) \neq 0$  process in equilibrium $\rightarrow B+L \rightarrow 0$  $\Downarrow$  $\Downarrow$ new possibility of baryogenesis

 $B - L \neq 0$  before EW  $\Delta(B + L) \neq 0$  process in equil. Leptogenesis:  $\Delta L \neq 0 \rightarrow B = -L$  **EW**  $\Delta(B+L) \neq 0$  process  $\leftarrow$  chiral U(1) anomaly in (B+L)-current

$$\partial_{\mu} j^{\mu}_{B+L} = \frac{N_f}{16\pi^2} [g_2^2 \text{Tr}(F_{\mu\nu} \tilde{F}^{\mu\nu}) - g_1^2 B_{\mu\nu} \tilde{B}^{\mu\nu}]$$
$$\partial_{\mu} j^{\mu}_{B-L} = 0$$

$$N_f = \#$$
 of genenrations  
 $\tilde{F}^{\mu
u} \equiv rac{1}{2} \epsilon^{\mu
u
ho\sigma} F_{
ho\sigma}$ 

integrating the sum of these eqs.

$$B(t_f) - B(t_i) = \frac{N_f}{32\pi^2} \int_{t_i}^{t_f} d^4x \left[ g_2^2 \text{Tr}(F_{\mu\nu} \tilde{F}^{\mu\nu}) - g_1^2 B_{\mu\nu} \tilde{B}^{\mu\nu} \right] \\
 = N_f \left[ N_{CS}(t_f) - N_{CS}(t_i) \right]$$

where  $N_{CS}$  is the Chern-Simons number: in the  $A_0 = 0$ -gauge

$$N_{CS}(t) = \frac{1}{32\pi^2} \int d^3x \,\epsilon_{ijk} \left[ g_2^2 \operatorname{Tr} \left( F_{ij} A_k - \frac{2}{3} g A_i A_j A_k \right) - g_1^2 B_{ij} B_k \right]_t$$

classical vacuum of the gauge fields:  $\mathcal{E} = \frac{1}{2}(\mathbf{E}^2 + \mathbf{B}^2) = 0 \iff F_{\mu\nu} = B_{\mu\nu} = 0$  $\iff A = iU^{-1}dU, B = dv$  with  $U \in SU(2)$  $U(\mathbf{x}) : S^3 \to U \in SU(2) \simeq S^3$  $\pi_3(S^3) \simeq \mathbf{Z} \implies U(\mathbf{x})$  is classified by the integer  $N_{CS}$ 



#### $\star$ (B + L)-transition (sphaleron transition) rate $\star$



sphaleron = static saddle-point solution of SU(2)-gauge-Higgs system



 $E_{\rm sph} = O(1) {
m TeV}$ first found by Manton [Phys. Rev. D28 ('83)] Now found in the MSSM (2HDM), the Next-to-MSSM time scale of the sphaleron transition vs that of the expansion



— Baryon Asymmetry of the Universe — 22/30



For the matter in the Universe to be left at present, either

- (i)  $B L \neq 0$  must exist before the sphaleron process decouples, or
- (ii) B + L must be generated at the EW phase transition and the sphaleron process becomes ineffective after that.

(i) 
$$\Rightarrow (B - L)$$
-violating GUTs, Leptogenesis

(ii)  $\Rightarrow$  Electroweak baryogenesis

sphaleron decoupling condition:  $\Gamma_{\rm sph}^{(b)}(T_C) < H(T_C)$ 

 $\longrightarrow$  lower bound on  $E_{sph}(T_C) \propto v(T_C)$  ( $v(T) = \langle \Phi \rangle$ ;  $\Phi = Higgs$  doublet)

 $\rightarrow$  upper bound on the Higgs mass (see below)

## §4. Electroweak baryogenesis

— closely related to the particle physics at the weak scale

 (i) Baryon number violation ← sphaleron process in the symmetric phase must decouple just after the EW phase transition

(ii) C and CP violation  $\leftarrow$  KM phase, or complex parameters in extended models

(iii) Out of equilibrium  $\leftarrow$  sphaleron process can be out of equilibrium at the EWPT if  $E_{sph}(T_C)/T_C$  is sufficiently large — strongly first-order PT

As we shall see, the conditions (ii) and (iii) require an extension of the standard model, because

- **\*** KM phase is insufficient to produce the present BAU
- ★ EWPT is not of first order for the Higgs mass  $m_h > 114$ GeV (LEP bound)

for reviews, see • KF, Prog. Theor. Phys. 96 (1996) 475

- Riotto and Trodden, Ann. Rev. Nucl. Part. Sci. 49 (1999) [hep-ph/9901362]
- Bernreuther, Lec. Notes Phys. 591 (2002) 237 [hep-ph/0205279]

#### Electroweak phase transition (EWPT)



Minimal SM — perturbation at the 1-loop level (W, Z, top quark loop)

$$V_{\text{eff}}(\varphi;T) = -\frac{1}{2}\mu^2\varphi^2 + \frac{\lambda}{4}\varphi^4 + 2Bv_0^2\varphi^2 + B\varphi^4 \left[\log\left(\frac{\varphi^2}{v_0^2}\right) - \frac{3}{2}\right] + \bar{V}(\varphi;T)$$

where

$$B = \frac{3}{64\pi^2 v_0^4} (2m_W^4 + m_Z^4 - 4m_t^4),$$

$$\bar{V}(\varphi;T) = \frac{T^4}{2\pi^2} \left[ 6I_B(a_W) + 3I_B(a_Z) - 6I_F(a_t) \right], \qquad (a_A = m_A(\varphi)/T)$$
$$I_{B,F}(a) \equiv \int_0^\infty dx \, x^2 \log\left(1 \mp e^{-\sqrt{x^2 + a^2}}\right).$$

high-temperature expansion  $[m/T \ll 1]$ 

 $\gamma_E = 0.5772\cdots$ 

$$I_B(a) = -\frac{\pi^4}{45} + \frac{\pi^2}{12}a^2 - \frac{\pi}{6}(a^2)^{3/2} - \frac{a^4}{16}\log\frac{\sqrt{a^2}}{4\pi} - \frac{a^4}{16}\left(\gamma_E - \frac{3}{4}\right) + O(a^6)$$
$$I_F(a) = \frac{7\pi^4}{360} - \frac{\pi^2}{24}a^2 - \frac{a^4}{16}\log\frac{\sqrt{a^2}}{\pi} - \frac{a^4}{16}\left(\gamma_E - \frac{3}{4}\right) + O(a^6)$$

Applying the high-T expansion assuming  $T > m_W, m_Z, m_t$ ,

$$V_{\text{eff}}(\varphi;T) \simeq D(T^2 - T_0^2)\varphi^2 - ET\varphi^3 + \frac{\lambda_T}{4}\varphi^4$$

where

$$\begin{split} D &= \frac{1}{8v_0^2} (2m_W^2 + m_Z^2 + 2m_t^2), \qquad E = \frac{1}{4\pi v_0^3} (2m_W^3 + m_Z^3) \sim 10^{-2} \\ \lambda_T &= \lambda - \frac{3}{16\pi^2 v_0^4} \left( 2m_W^4 \log \frac{m_W^2}{\alpha_B T^2} + m_Z^4 \log \frac{m_Z^2}{\alpha_B T^2} - 4m_t^4 \log \frac{m_t^2}{\alpha_F T^2} \right) \\ T_0^2 &= \frac{1}{2D} (\mu^2 - 4Bv_0^2), \qquad \log \alpha_{F(B)} = 2\log(4)\pi - 2\gamma_E \end{split}$$

At  $T_C$ ,  $\exists$ degenerate minima:  $\varphi_C = \frac{2E T_C}{\lambda_{T_C}}$   $\Gamma_{\rm sph}^{(\rm br)} < H(T_C) \iff \frac{\varphi_C}{T_C} \gtrsim 1 \implies$  upper bound on  $\lambda$   $[m_H = \sqrt{2\lambda}v_0]$  $\longrightarrow m_H \lesssim 46 \text{GeV} \implies$  Minimal SM is excluded! Nonperturbative study by Lattice Gauge Theory:

 $m_h > 73 \text{GeV} \Rightarrow \text{PT} \text{ disappears} (\text{crossover})$ 

 $\therefore$  The EWBG does not work in the Standard Model with  $m_h \ge 114$ GeV.

#### If the EWPT is of first order,

it proceeds accompanying nucleation and growth of the bubble walls:

 $\longrightarrow$  sphaleron process becomes out of equilibrium





Difference in the reflection rate for  $\psi_L$  and  $\psi_R$   $\psi$ chiral charge flux into the sym. phase  $Q_L \neq Q_R$ , conserved in sym. phase: Y,  $I_3$   $\psi$ bias on the sphaleron process  $\psi$   $B + L \neq 0$  in the symmetric phase  $\psi$ B + L frozen in the broken phase





 $m_i \neq m_j$ :  $O(\alpha_W)$  effect in the dispersion

[Farrar, Shaposhnikov, Phys. Rev. 50 ('94)]

decoherence by QCD correction

$$\longrightarrow \left|\frac{n_B}{s}\right| < 10^{-26}$$

[Gavela, et al., Nulc. Phys. B430 ('94)]

effective  ${\cal CP}$  violation at the tree level

★ relative phase of Higgs doublets in the extended models  $m_f(x) = y_f |\phi(x)| e^{i\theta(x)}$  — spacetime-dependent phase

★ complex parameters in the mass matrices of SUSY particles

e.g. chargino: 
$$M_{\chi^{\pm}} = \begin{pmatrix} M_2 & -\frac{i}{\sqrt{2}}g_2 v_u e^{-i\theta} \\ -\frac{i}{\sqrt{2}}g_2 v_d & -\mu \end{pmatrix}$$

*x*-dependent  $v_d$  and  $v_u \longrightarrow$  effectively *x*-dependent phases

For the EWBG to work, we need an extension of the Standard Model.

▷ Higgs sector — MSSM:  $m_{H_1} \le 120$ GeV and a light stop  $m_{\tilde{t}_1} \le m_t$ 2HDM, NMSSM: possible for  $m_h > 130$ GeV

CP violation — Higgs doublets more than 2 complex parameters in the SUSY models