Search for Lepton Flavor Violation in the Decay $\tau^+ \to e^+ \gamma$

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A search for the nonconservation of lepton flavor in the decay \( \tau^\pm \rightarrow e^\pm \gamma \) has been performed with \( 2.07 \times 10^8 \, e^+ e^- \rightarrow \tau^+ \tau^- \) events collected by the \textit{BABAR} detector at the SLAC PEP II storage ring at a center-of-mass energy near 10.58 GeV. We find no evidence for a signal and set an upper limit on the branching ratio of \( \mathcal{B}(\tau^\pm \rightarrow e^\pm \gamma) < 1.1 \times 10^{-7} \) at 90% confidence level.

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Lepton flavor conservation differs from other conservation laws in the standard model (SM) because it is not associated with an underlying conserved current symmetry. Consequently, new theories attempting to describe nature beyond the SM often include lepton flavor violating processes such as the neutrinoless decay of a \( \mu \) or \( \tau \) lepton, which have long been identified as unambiguous signatures of new physics. If no specific theoretical model is assumed, any or all of the \( \mu \rightarrow e \gamma, \tau \rightarrow \mu \gamma, \) and \( \tau \rightarrow e \gamma \) decays can be expected to be observed, and therefore independent searches for each of these modes are required. Some theoretical models [1,2] respecting the current limits on \( \mathcal{B}(\mu \rightarrow e \gamma) \) [3] and \( \mathcal{B}(\tau \rightarrow \mu \gamma) \) [4], in fact, allow \( \tau^\pm \rightarrow e^\pm \gamma \) decays to occur up to the existing experimental bound [5].

A significant improvement on this \( \tau^\pm \rightarrow e^\pm \gamma \) limit is presented here using data recorded by the \textit{BABAR} detector at the SLAC PEP II asymmetric-energy \( e^+ e^- \) storage ring. The data sample consists of an integrated luminosity of \( \mathcal{L} = 210.6 \, \text{fb}^{-1} \) recorded at a center-of-mass (c.m.) energy of \( \sqrt{s} = 10.58 \) GeV, and 21.6 \( \text{fb}^{-1} \) recorded at \( \sqrt{s} = 10.54 \) GeV. With an average cross section of \( \sigma_{e^+ e^- \rightarrow \tau^+ \tau^-} = (0.89 \pm 0.02) \, \text{nb} \) [6] as determined using the \textit{KK2F} Monte Carlo (MC) generator [7], this corresponds to a data sample of \( 2.07 \times 10^8 \) \( \tau^- \)-pair events.

The \textit{BABAR} detector is described in detail in Ref. [8]. Charged particles are reconstructed as tracks with a 5-layer silicon vertex tracker and a 40-layer drift chamber (DCH) inside a 1.5 T solenoidal magnet. An electromagnetic calorimeter (EMC) consisting of 6580 CsI(Tl) crystals is used to identify electrons and photons. A ring-imaging Cherenkov detector (DIRC) is used to identify charged hadrons and provides additional electron identification information.

The signature of the signal process is the presence of an isolated \( e \gamma \) pair having an invariant mass consistent with that of the \( \tau \) \((1.777 \, \text{GeV}/c^2) \) and a total energy \( (E_{e\gamma}) \) equal to \( \sqrt{s}/2 \) in the c.m. frame, along with other particles in the event with properties consistent with a SM \( \tau \) decay. Such events are simulated with higher-order radiative corrections using the \textit{KK2F} MC generator [7] where one \( \tau \) decays into \( e \gamma \) according to phase space [10], while the other \( \tau \) decays according to measured branching ratios [11] simulated with the \textit{TAUOLA} MC generator [12,13]. The detector response is simulated with the \textit{GEANT4} package [14]. The simulated events for signal as well as SM background processes [7,12,13,15–17] are then reconstructed in the same manner as data. The MC backgrounds are used to optimize the selection criteria and study systematic errors in the efficiency estimates, but not for the estimation of the final background rate, which relies solely on data. For the background from Bhabha events, we do not rely upon MC predictions because the large Bhabha cross section makes generation of a sufficiently large MC sample impractical.

Events with zero total charge and with two or four well-reconstructed tracks inconsistent with coming from a photon conversion are selected. The event is divided into hemispheres by the plane perpendicular to the thrust axis. The thrust axis, which characterizes the direction of maximum energy flow in the c.m. frame of the event [18], is calculated using all observed charged and neutral particles.

The signal-side hemisphere is required to contain at least one \( \gamma \) with a c.m. energy greater than 500 MeV, and one track identified as an electron. The electron identification uses DCH, EMC, and DIRC information, including a requirement that the \( E/p \) ratio (the energy deposited in the EMC by the charged particle divided by its momentum as measured in the DCH) lies between 0.89 and 1.2. The electron candidate is required to lie within the fiducial acceptance of the EMC and to have a momentum greater than 500 MeV/c. These criteria yield a \( \pi \) misidentification rate of less than 0.3%. The efficiency for correctly identifying reconstructed tracks in the fiducial volume as electrons in \( \tau^\pm \rightarrow e^\pm \gamma \) MC events is greater than 91%. For events with more than one signal-side \( \gamma \) candidate, we choose the \( \gamma \) that gives the mass of the \( e \gamma \) system closest to the \( \tau \) mass. This provides the correct pairing for 99.9% of selected signal MC events.

The resolution of the \( e \gamma \) mass is improved by assigning the point of closest approach of the \( e \) track to the \( e^+ e^- \) collision axis as the origin of the \( \gamma \) candidate and by using a kinematic fit with \( E_{e\gamma} \) constrained to \( \sqrt{s}/2 \). The resulting energy-constrained mass \( (m_{e\gamma}) \) and \( \Delta E = E_{e\gamma} - \sqrt{s}/2 \) are independent variables apart from small correlations arising from initial and final state radiation. The mean and standard deviation of the \( m_{e\gamma} \) and \( \Delta E \) distributions for reconstructed MC signal events are \( \langle m_{e\gamma} \rangle = 1777 \, \text{MeV}/c^2, \sigma(m_{e\gamma}) = 9 \, \text{MeV}/c^2, \langle \Delta E \rangle = -15 \, \text{MeV}, \) and \( \sigma(\Delta E) = 51 \, \text{MeV} \) where the shift in \( \Delta E \) comes from photon energy reconstruction effects. To minimize possible biases, we perform a blind analysis by excluding all events in the data within a \( \pm 3\sigma \) rectangular box centered on \( \langle m_{e\gamma} \rangle \) and \( \langle \Delta E \rangle \) until all optimiza-
tion and systematic studies of the selection criteria have been completed. We optimize the selection to obtain the smallest expected upper limit in a background-only hypothesis for observing events inside a $\pm 2\sigma$ rectangular box signal box defined by $|\Delta E - \langle \Delta E \rangle| < 2\sigma(|\Delta E|)$ and $|m_{EC} - m_1| < 2\sigma(m_{EC})$, as shown in Fig. 1.

The dominant backgrounds arise from Bhabha and $e^+e^- \rightarrow \tau^+\tau^-$ (with a $\tau \rightarrow e\nu\bar{\nu}$ decay) processes with an energetic $\gamma$ from initial or final state radiation or from $\tau \rightarrow e\nu\bar{\nu}\gamma$ decays. Backgrounds arising from radiation are reduced by requiring that the total c.m. energy of all non-$\gamma$ candidates in the signal-side hemisphere be less than 200 MeV. To suppress non-$\tau$ backgrounds with significant radiation along the beam directions, the polar angle ($\theta_{miss}$) of the missing momentum associated with the neutrino(s) in the event is required to lie within the detector acceptance ($-0.76 < \cos\theta_{miss} < 0.92$).

The tag-side hemisphere, defined to be that opposite to the signal-side hemisphere, is expected to contain a SM $\tau$ decay characterized by the presence of one or three charged particles and missing momentum due to unobserved neutrino(s). Taking the direction of the tag-side $\tau$ to be opposite the signal $e\gamma$ candidate, we use all tracks and $\gamma$ candidates in the tag-side hemisphere to calculate the invariant mass squared of the tag-side missing momentum ($m_{\tau}^2$), which peaks around zero for the signal. To reduce backgrounds from radiative $e^+e^- \rightarrow \tau^+\tau^-$ processes, we require $m_{\tau}^2 > -0.25$ GeV$^2/c^4$.

The component of the missing momentum of the event transverse to the collision axis scaled to the beam energy $\left(2 \times p_{miss}\sqrt{s}\right)$ is expected to be large for signal and $e^+e^- \rightarrow \tau^+\tau^-$ events, but small for Bhabha and 2-photon events. We exploit an observed correlation between $m_{\tau}^2$ and $\left(2 \times p_{miss}\sqrt{s}\right)$ in the non-$\tau$ backgrounds to significantly suppress them. We require the following: $m_{EC}^2/1.8$ GeV$^2/c^4 - \ln(2 \times p_{miss}\sqrt{s}/\sqrt{5})/2.0 < 1$, the highest c.m. momentum track on the tag-side hemisphere to be inconsistent with being an electron, including requirements that $E/p < 0.5$ and that the momentum be greater than 500 MeV/$c$, and the tag-side hemisphere to have a total c.m. momentum of all charged and neutral particles less than 4.75 GeV/$c$.

Backgrounds from $e^+e^- \rightarrow q\bar{q}$ processes are further reduced by requiring the total invariant mass of particles in the tag-side hemisphere to be less than 1.8 GeV/$c^2$.

After this selection, 8.9% of the total generated MC signal events survive within a grand signal box (GSB) region defined as follows: $m_{EC} \in [1.5, 2.0]$ GeV/$c^2$, $\Delta E \in [-1.0, 0.5]$ GeV. The data distribution of $m_{EC}$ and $\Delta E$ inside the GSB is plotted as dots in Fig. 1, along with a shaded region containing 50% of the selected signal MC events shown for illustrative purposes. The GSB excluding the $\pm 3\sigma$ blind region contains 1110 data events, while the luminosity-normalized sum of the non-Bhabha MC backgrounds yield 1045 events. Of these MC events, 99.8% are $e^+e^- \rightarrow \tau^+\tau^-$ events, 99.9% of which have $\tau \rightarrow e\nu\bar{\nu}$ decays on the signal side.

The $(5.9 \pm 3.7)\%$ difference between the number of data and $\tau$-pair dominated MC events indicates that the Bhabha background level in the GSB is low. However, in the more restrictive $|\Delta E - \langle \Delta E \rangle| < 2\sigma(|\Delta E|)$ region, the Bhabha background is expected to contribute a substantially higher background fraction because of the greater likelihood of a Bhabha than a $\tau$-pair event to have a hemisphere containing the full beam energy. This residual Bhabha contamination is studied using data distributions of the deviation ($\Delta E_{\gamma}$) of the measured photon c.m. energy from the corresponding prediction assuming a fully contained $e^+e^- \rightarrow e^+e^-\gamma$ event. The predicted photon energy is obtained from the beam energy and kinematic information from all particles in the event except the measured photon energy. We observe that the excess of data over non-Bhabha MC events is clustered at low $\Delta E_{\gamma}$, where the Bhabha events are expected to appear. As we progressively loosen the electron veto on the tag-side track, the excess in the number of data events over the non-Bhabha MC background grows in the region with small $\Delta E_{\gamma}$, providing further confirmation that the Bhaba background is well understood.

We cross-check the Bhabha contamination in the $|\Delta E - \langle \Delta E \rangle| < 2\sigma(|\Delta E|)$ region from a data sample without a tag-side electron veto, by removing the $E/p$ requirement on the tag side. To estimate the Bhaba contamination surviving our final event selection, which includes a cut of tag side $E/p < 0.5$, we use the data in the adjacent Bhaba-dominated $E/p$ region, $0.5 < E/p < 1.2$. We extrapolate the rate from the $0.5 < E/p < 1.2$...
region to the $E/p < 0.5$ region, using a high statistics
and high purity Bhabha control sample obtained by
reversing the requirement on $(m_{EC}^2/1.8\text{ GeV}^2/c^4) – \ln(2 \times
p_{miss}^2/\sqrt{5})/2.0$ given above. We estimate the residual
Bhabha contamination in our final selection by multiplying
the number of events in the $0.5 < E/p < 1.2$ region of the
no tag-side electron veto sample by the ratio of the number of
events in the Bhabha control sample in the $E/p < 0.5$
region to that in the $0.5 < E/p < 1.2$ region. This method
gives an estimate of $10.3 \pm 1.1$ Bhabha events inside the
$\pm2\sigma(\Delta E)$ band once the tag-side electron veto is applied.

In this band, we expect $12.9 \pm 2.5$ events from the
non-Bhabha MC backgrounds, thus obtaining a total
background estimate of $23.2 \pm 2.7$ events. This com-
pares well with the 25 events observed inside the
$\pm2\sigma(\Delta E)$ band in the data. We also find good agreement
between the observed and expected number of events
separately for the subsamples with one and three tracks
on the tag side.

For the final background estimate we use the $m_{EC}$ dis-
tribution of data events inside the $\pm2\sigma(\Delta E)$ band, as
shown in Fig. 2 along with the signal shape included for
illustrative purposes. The backgrounds from data inside the
$\pm2\sigma(\Delta E)$ band with $|m_{EC}^2 - m_{\tau}\tau|^2 > 3\sigma(m_{EC})$ are fitted to
different orders of polynomials in $m_{EC}$ using a maximum
likelihood approach. A fit with a constant probability
density function (PDF) yields a total $\chi^2$ of 4.7 for the 10
bins shown in Fig. 2, and predicts $1.9 \pm 0.4$ events inside
the final $\pm2\sigma(m_{EC})$ signal region. Equally acceptable
goodness of fit is obtained with higher-order polynomials.
However, the coefficients of the higher-order terms are
statistically compatible with zero. The background predic-
tions from these PDFs agree with the prediction from the
constant PDF to within $\pm0.3$ events. As these deviations
are smaller than the statistical error on the prediction from
the constant PDF, we conclude that the data $m_{EC}$ distribution
is consistent with being uniform.

A cross-check using non-Bhabha MC background con-
tributions combined with residual Bhabha contamination
estimates obtained from the data is also found to be rea-
sonably uniform in $m_{EC}$ (Fig. 2) and predicts $1.7 \pm 0.2$
events inside the $\pm2\sigma(m_{EC})$ signal box.

The $(5.9 \pm 3.7)\%$ difference between data and $\tau$-pair
MC predictions also provides a measure of our ability
to model the signal-like events in the GSB, since these
data events have very similar characteristics to the signal,
both in terms of the trigger response of the experiment as
well as for the distributions of all the selection variables
apart from $m_{EC}$ and $\Delta E$. The systematic error due to a
particular cut is taken as the product of the marginal
acceptance of the cut and the relative discrepancy between
data and MC in the GSB after all other cuts have been
applied. The contributions from all the different cuts added
in quadrature yield a $2.3\%$ relative systematic error, the
only appreciable effect being associated with the require-
ments on $m_{EC}^2$ and $p_{miss}^2$. This approach yields a more
conservative estimate of the systematic uncertainty on
the signal efficiency than the more traditional approach
derived from considering the difference between the data
and MC prediction for each selection variable, which gives
a total estimate of $2.0\%$ relative contribution from all
the cuts.

The relative systematic uncertainties on the trigger effi-
ciency, tracking and photon reconstruction efficiencies,
and particle identification are estimated to be $1.4\%$,
$1.3\%$, $1.8\%$, and $1.3\%$, respectively. The requirement
that the events fall within the $\pm2\sigma$ signal box in $m_{EC}$ and $\Delta E$
contributes a $4.4\%$ systematic error associated with the
scale and resolution uncertainties of these variables and a
small contribution from the beam energy uncertainty. As
we use $1.3 \times 10^6$ MC signal events, the contribution to the
uncertainty arising from signal MC statistics is negligible.
Adding the contributions of the individual terms in quad-
rature with an additional $2.3\%$ normalization error on the
product $L\sigma_{\tau}\tau$, gives a $6.2\%$ total relative systematic uncer-
tainty on $L\sigma_{\tau}\tau$, in the signal box, where the efficiency is
$\epsilon = (4.7 \pm 0.3)\%$. We note that our final limit on the
branching ratio is insensitive to the systematic uncertainty
as long as this uncertainty is below $10\%$.

We find one event in the signal box for an expected
background of $1.9 \pm 0.4$ events. Because of the low back-
ground levels, we do not fit for a signal in the $m_{EC}$ dis-
btribution as is done in our recent search for $\tau^\pm \to \mu^\pm \gamma$ [4].
Rather, we set an upper limit employing the same tech-
nique used in our search for $\tau^\pm \to e^\pm \ell^\pm \ell^- [19]$ where the
background levels were also small. A $90\%$ C.L. upper
limit on the branching ratio is calculated according to
$B_{UL}^{90\%} = N_{UL}^{90\%}/(2\epsilon L\sigma_{\tau}\tau)$, where $N_{UL}^{90\%}$ is the $90\%$ C.L. upper limit.
with one event observed when $1.9 \pm 0.4$ events are expected. The limit is calculated including all uncertainties using the technique of Cousins and Highland [20] following the implementation of Barlow [21]. At 90% C.L. this procedure gives an upper limit of $B(\tau^\pm \rightarrow e^\pm \gamma) < 1.1 \times 10^{-7}$ with $\tan \beta = 10, 20$, and 40.

As an example of how this result constrains theories beyond the SM, we set bounds on the ratio of the first and the third generation elements to the first generation diagonal mass element ($M_{L_{13}}^2/M_{L_{11}}^2$) of the left-handed slepton mass matrix based on predictions from a minimal supergravity model [23,24]. Figure 3 shows the upper limits on $M_{L_{13}}^2/M_{L_{11}}^2$ as a function of the ratio of the Higgs vacuum expectation values ($\tan \beta$) and the universal scalar mass ($m_0$), which, for simplicity, is set equal to the universal gaugino mass.

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[10] Our limit is insensitive to the phase space assumption as cross-checked with the two extreme cases of a $V \rightarrow A$ and a $V \rightarrow A + A$ form of interaction for the signal MC.
[22] For an equivalent toy MC experiment with no signal, the expected upper limit at 90% C.L. is $B(\tau^\pm \rightarrow e^\pm \gamma) < 1.2 \times 10^{-7}$, similar to that obtained in Ref. [4].