# Treatment of event-by-event fluctuations for comparison with experiment

Volodymyr Vovchenko (LBNL)

On-line seminar series III on "RHIC Beam Energy Scan: Theory and Experiment"

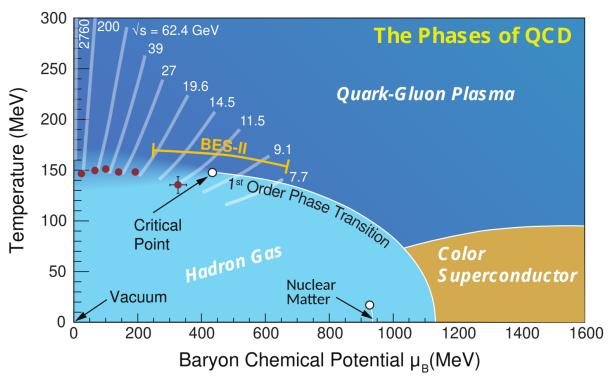
November 30, 2021







#### QCD phase diagram with heavy-ion collisions



STAR

STAR event display

Figure from Bzdak et al., Phys. Rept. '20

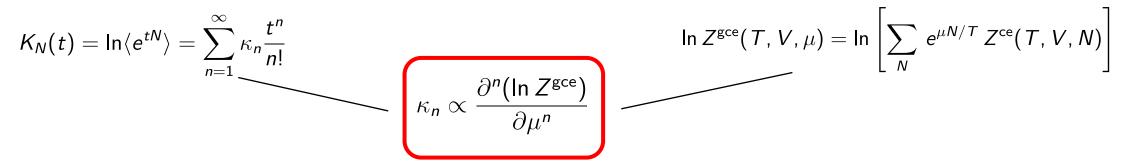
Thousands of particles created in relativistic heavy-ion collisions



#### **Event-by-event fluctuations and statistical mechanics**

#### Cumulant generating function

#### Grand partition function



Cumulants measure chemical potential derivatives of the (QCD) equation of state

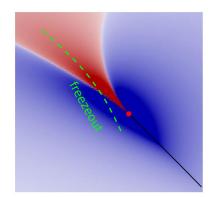
#### **Event-by-event fluctuations and statistical mechanics**

#### Cumulant generating function

# 

Cumulants measure chemical potential derivatives of the (QCD) equation of state

• (QCD) critical point



M. Stephanov, PRL '09
Energy scans at RHIC (STAR)
and CERN-SPS (NA61/SHINE)

• Test of (lattice) QCD at  $\mu_B \approx 0$ 

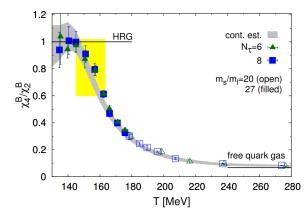
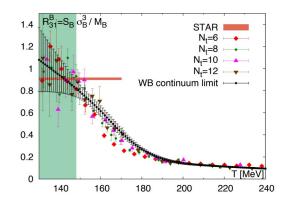


Figure from Bazavov et al. PRD 95, 054504 (2017) Probed by LHC and top RHIC

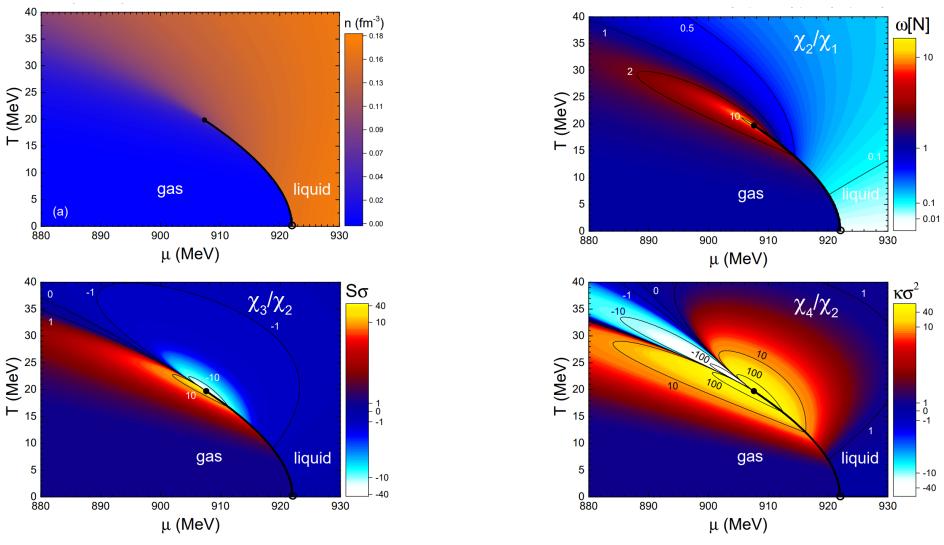
Freeze-out from fluctuations

Grand partition function



Borsanyi et al. PRL 113, 052301 (2014) Bazavov et al. PRL 109, 192302 (2012)

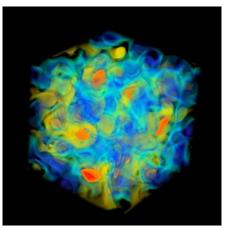
### **Example: Nuclear liquid-gas transition**



VV, Anchishkin, Gorenstein, Poberezhnyuk, PRC 92, 054901 (2015)

#### Theory vs experiment

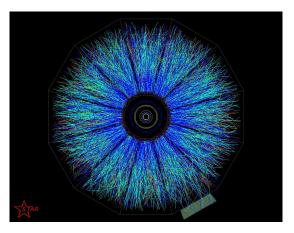
#### **Theory**



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- Coordinate space
- In contact with the heat bath
- Conserved charges
- Uniform
- Fixed volume

#### **Experiment**



STAR event display

- Momentum space
- Expanding in vacuum
- Non-conserved particle numbers
- Inhomogenous
- Fluctuating volume

#### Theory vs experiment

- accuracy of the grand-canonical ensemble (global conservation laws)
  - subensemble acceptance method (SAM)

VV, Savchuk, Poberezhnyuk, Gorenstein, Koch, PLB 811, 135868 (2020); JHEP 089(2020); arXiv:2106.13775

coordinate vs momentum space

Ling, Stephanov, PRC 93, 034915 (2016); Ohnishi, Kitazawa, Asakawa, PRC 94, 044905 (2016)

 proxy observables in experiment (net-proton, net-kaon) vs conserved charges in QCD (net-baryon, net-strangeness)

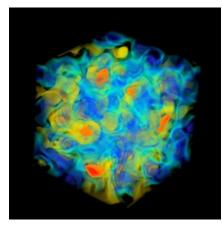
Kitazawa, Asakawa, PRC 85, 021901 (2012); VV, Jiang, Gorenstein, Stoecker, PRC 98, 024910 (2018)

- volume fluctuations
  - Gorenstein, Gazdzicki, PRC 84, 014904 (2011); Skokov, Friman, Redlich, PRC 88, 034911 (2013) X. Luo, J. Xu, B. Mohanty, JPG 40, 105104 (2013); Braun-Munzinger, Rustamov, Stachel, NPA 960, 114 (2017)
- hadronic phase

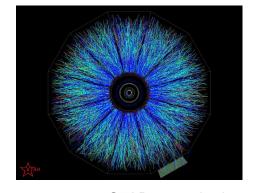
Steinheimer, VV, Aichelin, Bleicher, Stoecker, PLB 776, 32 (2018)

non-equilibrium (memory) effects

Mukherjee, Venugopalan, Yin, PRC 92, 034912 (2015) Asakawa, Kitazawa, Müller, PRC 101, 034913 (2020)



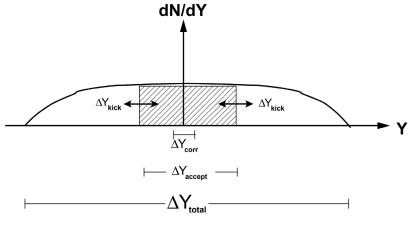
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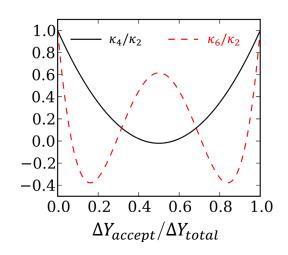
STAR event display

#### When are the measured fluctuations grand-canonical?

- Consider event-by-event fluctuations of particle number in acceptance  $\Delta Y_{accept}$  around midrapidity
- Scales
  - $\Delta Y_{accept}$  acceptance
  - $\Delta Y_{total}$  full space
  - $\Delta Y_{corr}$  rapidity correlation length (thermal smearing)
  - $\Delta Y_{kick}$  diffusion in the hadronic phase
- GCE applies if  $\Delta Y_{total} \gg \Delta Y_{accept} \gg \Delta Y_{kick}$ ,  $\Delta Y_{corr}$
- In practice  $\Delta Y_{total} \gg \Delta Y_{accept}$  and  $\Delta Y_{accept} \gg \Delta Y_{corr}$  are not simultaneously satisfied
  - Corrections from global conservation are large [Bzdak et al., PRC '13]
  - $\Delta Y_{corr} \sim 1 \sim \Delta Y_{accept}$  [Ling, Stephanov, PRC '16]



V. Koch, arXiv:0810.2520



#### Subensemble acceptance method

VV, Savchuk, Poberezhnyuk, Gorenstein, Koch, PLB 811, 135868 (2020)

**Subensemble acceptance method (SAM)** – method to correct *any* EoS (e.g. *lattice QCD*) for **charge conservation** and extract the **susceptibilities** 

Partition a thermal system with a globally conserved charge B (canonical ensemble) into two subsystems which can exchange the charge

Assume thermodynamic limit:

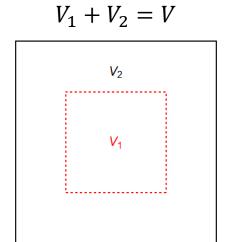
$$V$$
,  $V_1$ ,  $V_2 \to \infty$ ;  $\frac{V_1}{V} = \alpha = const$ ;  $\frac{V_2}{V} = (1 - \alpha) = const$ ;  $V_1$ ,  $V_2 \gg \xi^3$ ,  $\xi = correlation length$ 

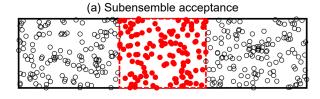
The canonical partition function then reads:

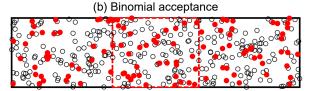
$$Z^{ ext{ce}}(T, V, B) = \operatorname{Tr} e^{-eta \hat{H}} pprox \sum_{B_1} Z^{ ext{ce}}(T, V_1, B_1) Z^{ ext{ce}}(T, V - V_1, B - B_1)$$

The probability to have charge  $B_1$  is:

$$P(B_1) \propto Z^{\text{ce}}(T, \alpha V, B_1) Z^{\text{ce}}(T, (1-\alpha)V, B-B_1), \qquad \alpha \equiv V_1/V$$







### **SAM:** Computing the cumulants

VV, Savchuk, Poberezhnyuk, Gorenstein, Koch, PLB 811, 135868 (2020)

Cumulant generating function for  $B_1$ :

$$G_{B_1}(t) \equiv \ln \langle e^{t B_1} \rangle = \ln \left\{ \sum_{B_1} e^{t B_1} \exp \left[ -\frac{\alpha V}{T} f(T, \rho_{B_1}) \right] \exp \left[ -\frac{\beta V}{T} f(T, \rho_{B_2}) \right] \right\} + \tilde{C}$$

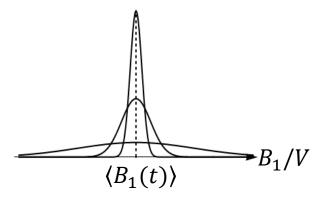
$$\beta = 1 - \alpha V$$

$$ilde{\kappa}_1[B_1(t)] = rac{\sum_{B_1} B_1 \, ilde{P}(B_1;t)}{\sum_{B_1} ilde{P}(B_1;t)} \equiv \langle B_1(t) 
angle \qquad ext{with} \qquad ilde{P}(B_1;t) = \exp\left\{tB_1 - V \, rac{lpha f(T,
ho_{B_1}) + eta f(T,
ho_{B_2})}{T}
ight\}.$$

Thermodynamic limit:  $\tilde{P}(B_1;t)$  highly peaked at  $\langle B_1(t) \rangle$ 

 $\langle B_1(t) \rangle$  is a solution to equation  $d\tilde{P}/dB_1=0$ :

$$t=\hat{\mu}_B[T,
ho_{B_1}(t)]-\hat{\mu}_B[T,
ho_{B_2}(t)]$$
 where  $\hat{\mu}_B\equiv\mu_B/T$ ,  $\mu_B(T,
ho_B)=\partial f(T,
ho_B)/\partial
ho_B$ 



t = 0:  $\rho_{B_1} = \rho_{B_2} = B/V$ ,  $B_1 = \alpha B$ , i.e. charge uniformly distributed between the subsystems

### SAM: Cumulant ratios in terms of GCE susceptibilities

$$\kappa_n[B_1] = \frac{\partial^{n-1} \tilde{\kappa}_1[B_1(t)]}{\partial t^{n-1}} \bigg|_{t=0} \qquad \longrightarrow \qquad \frac{\partial^n}{\partial t^n} : \ t = \hat{\mu}_B[T, \rho_{B_1}(t)] - \hat{\mu}_B[T, \rho_{B_2}(t)]$$

scaled variance 
$$\frac{\kappa_2[B_1]}{\kappa_1[B_1]} = (1-\alpha)\frac{\chi_2^B}{\chi_1^B}, \qquad \qquad \chi_n^B \equiv \partial^{n-1}(\rho_B/T^3)/\partial(\mu_B/T)^{n-1}$$

skewness 
$$\frac{\kappa_3[B_1]}{\kappa_2[B_1]} = (1-2\alpha)\frac{\chi_3^B}{\chi_2^B}$$
,

kurtosis 
$$\frac{\kappa_4[B_1]}{\kappa_2[B_1]} = (1 - 3\alpha\beta) \frac{\chi_4^B}{\chi_2^B} - 3\alpha\beta \left(\frac{\chi_3^B}{\chi_2^B}\right)^2.$$

- Global conservation  $(\alpha)$  and equation of state  $(\chi_n^B)$  effects factorize in cumulants up to the 3<sup>rd</sup> order, starting from  $\kappa_4$  not anymore
- $\alpha \to 0$  GCE limit\*,  $\alpha \to 1$  CE limit \*As long as  $V_1 \gg \xi^3$  holds

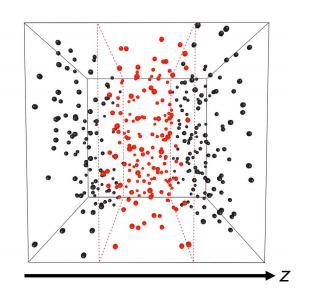
For multiple conserved charges (joint B,Q,S cumulants up to 6<sup>th</sup> order) see VV, Poberezhnyuk, Koch, JHEP 10, 089 (2020)

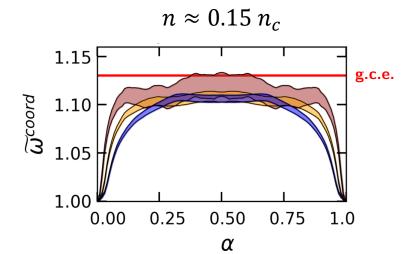
Classical molecular dynamics simulations\* of a **Lennard-Jones fluid** along the (super)critical isotherm of the liquid-gas transition

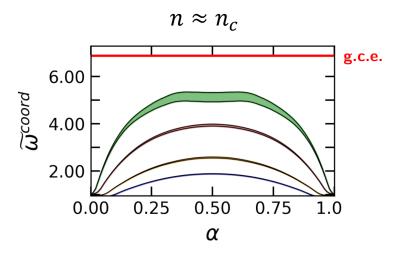
Microcanonical (const. EVN) ensemble with periodic boundary conditions

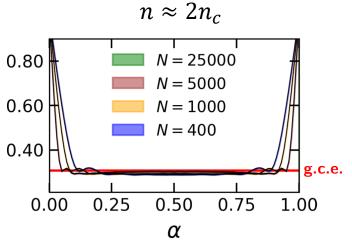
Variance of conserved particle number distribution inside coordinate space subvolume  $|z| < z^{max}$  as time average

$$ilde{\omega}^{\mathsf{coord}} = rac{1}{1-lpha}\,rac{\langle extsf{ extit{N}}^2
angle - \langle extsf{ extit{N}}
angle^2}{\langle extsf{ extit{N}}
angle}$$









11

## Net baryon fluctuations at LHC from lattice QCD ( $\mu_B = 0$ )

Momentum rapidity  $y \approx$  space-time rapidity  $\eta_s$ 

VV, Savchuk, Poberezhnyuk, Gorenstein, Koch, PLB 811, 135868 (2020)

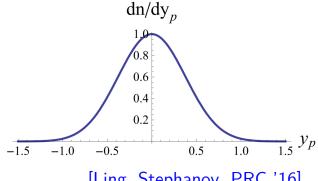
**Theory:** negative  $\chi_6^B/\chi_2^B$  is a possible signal of chiral criticality [Friman, Karsch, Redlich, Skokov, EPJC '11]

**Experiment:**  $\alpha \approx \frac{N_{ch}(\Delta y)}{N_{ch}(\infty)} \approx \text{erf}\left(\frac{\Delta y}{2\sqrt{2}\sigma_y}\right)$ , for  $\Delta y \approx 1$  the  $\kappa_6/\kappa_2$  is mainly sensitive to the EoS

### **SAM: Applicability and limitations**

- Argument is based on partition in coordinate space but experiments measure in momentum space
  - OK at high energies where we have Bjorken flow  $[Y \sim \eta_s = \mathrm{atanh}(z/t)]$ 
    - For small  $\Delta Y_{acc} < 1$ : corrections due to thermal smearing and resonance decays
    - Limited applicability at lower energies
- Thermodynamic limit i.e.  $V_1, V_2 \gg \xi^3$ :
  - OK at LHC where  $\frac{dV}{dy} \sim 4000 5000$  fm<sup>3</sup> vs.  $V_{lattice} \sim 125$  fm<sup>3</sup>
  - Applicability is more limited near the critical point
- Assumes T,  $\mu_B = const$  everywhere





[Ling, Stephanov, PRC '16]

#### Approaches to dynamical modeling of fluctuations

- 1. Dynamical model calculations of critical fluctuations
  - Fluctuating hydrodynamics
  - Equation of state with tunable critical point
  - Predict CP signatures dependent on its location

Under development within the Beam Energy Scan Theory (BEST) Collaboration

[X. An et al., Nucl. Phys. A 1017, 122343 (2022)]

#### 2. Study deviations from the non-critical baseline

- Include essential non-critical contributions to (net-)proton number cumulants
- Exact baryon conservation + baryon excluded volume
- Based on realistic hydrodynamic simulations

[VV, C. Shen, V. Koch, arXiv:2107.00163]

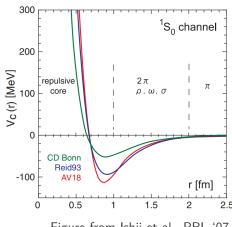


Figure from Ishii et al., PRL '07

#### Hydrodynamic description in a non-critical scenario

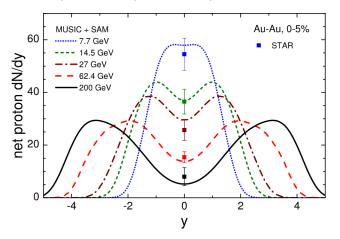
- Collision geometry based 3D initial state [Shen, Alzhrani, PRC '20]
  - Constrained to net proton distributions
- Viscous hydrodynamics evolution MUSIC-3.0
- (9)
- Energy-momentum and baryon number conservation
- NEOS-BQS crossover equation of state [Monnai, Schenke, Shen, PRC '19]
- Shear viscosity via IS-type equation
- Cooper-Frye particlization at  $\epsilon_{sw} = 0.26 \; \mathrm{GeV/fm^3}$

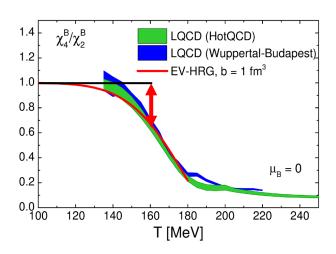
$$\omega_p rac{dN_j}{d^3p} = \int_{\sigma(x)} d\sigma_\mu(x) \, p^\mu \, rac{d_j \, \lambda_j^{
m ev}(x)}{(2\pi)^3} \, \exp\left[rac{\mu_j(x) - u^\mu(x) p_\mu}{T(x)}
ight].$$

- Particlization includes QCD-based baryon number distribution
  - Here incorporated via baryon excluded volume

[VV, Pasztor, Fodor, Katz, Stoecker, PLB 775, 71 (2017)]

#### VV, C. Shen, V. Koch, arXiv:2107.00163





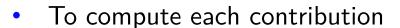
### Calculating cumulants from hydrodynamics

- Strategy:
  - 1. Calculate proton cumulants in the experimental acceptance in the grand-canonical limit
  - 2. Apply correction for the exact global baryon number conservation

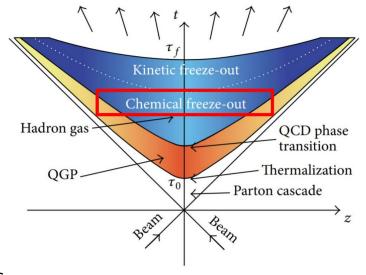
#### First step:

- Sum contributions from each hypersurface element  $x_i$  at freeze-out
  - Cumulants of joint (anti)proton/(anti)baryon distribution

$$\kappa_{n,m}^{B^\pm,p^\pm, ext{gce}}(\Delta p_{ ext{acc}}) = \sum_{i\in\sigma} \, \delta \kappa_{n,m}^{B^\pm,p^\pm, ext{gce}}(x_i;\Delta p_{ ext{acc}})$$



- GCE susceptibilities  $\chi^{B^{\pm}}(x_i)$  define the distribution of the emitted (anti)baryons
- Each baryon ends up in acceptance  $\Delta p_{acc}$  with binomial probability via the Cooper-Frye formula
- Each baryon is a proton with probability  $q(x_i) = \langle N_p(x_i) \rangle / \langle N_B(x_i) \rangle$



#### Correcting for baryon number conservation with SAM-2.0

$$P_1^{ ext{ce}}(B_1) \propto \sum_{B_1,B_2} P_1^{ ext{gce}}(B_1) P_2^{ ext{gce}}(B_2) imes rac{\delta_{\mathcal{B},B_1+B_2}}{\delta_{\mathcal{B},B_1+B_2}}$$

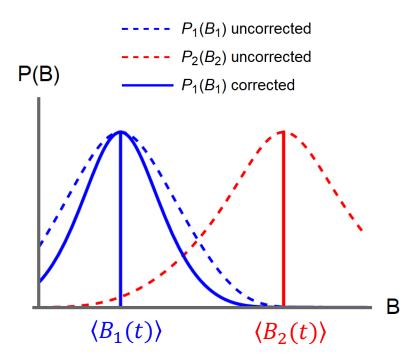
**SAM-1.0:** uniform thermal system and coordinate space

**SAM-2.0:** apply the correction for *arbitrary* distributions inside and outside the acceptance that are peaked at the mean

- Spatially inhomogeneous systems (e.g. RHIC)
- Momentum space
- Non-conserved quantities (e.g. proton number)
- Map "grand-canonical" cumulants inside and outside the acceptance to the "canonical" cumulants inside the acceptance

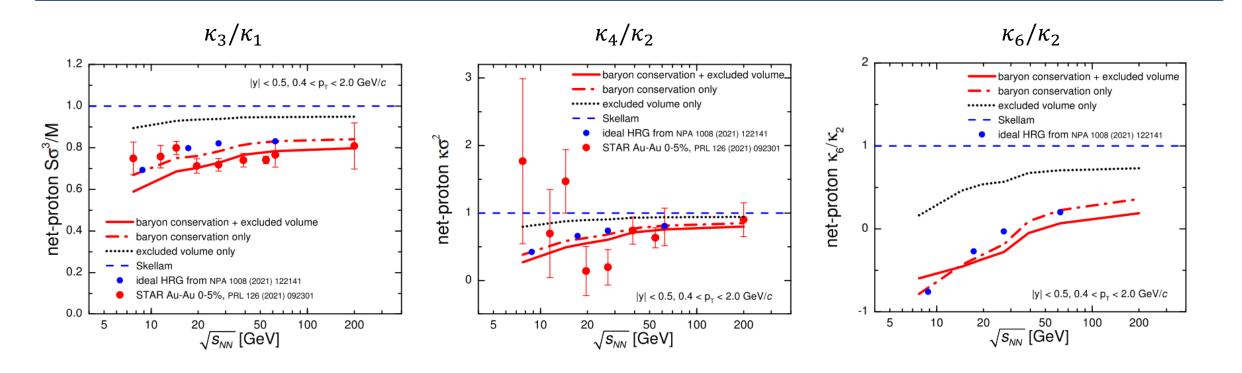
$$\kappa_{p,B}^{
m in,ce} = {\sf SAM}\left[\kappa_{p,B}^{
m in,gce},\kappa_{p,B}^{
m out,gce}
ight]$$

VV, arXiv:2107.00163 (to appear in PRC)



<sup>17</sup> 

#### Net proton cumulant ratios



- Both the baryon conservation and repulsion needed to describe data at  $\sqrt{s_{NN}} \geq 20$  GeV quantitatively
- Effect from baryon conservation is larger than from repulsion
- Canonical ideal HRG limit is consistent with the data-driven study of [Braun-Munzinger et al., NPA 1008 (2021) 122141]
- $\kappa_6/\kappa_2$  turns negative at  $\sqrt{s_{NN}} \sim 50$  GeV

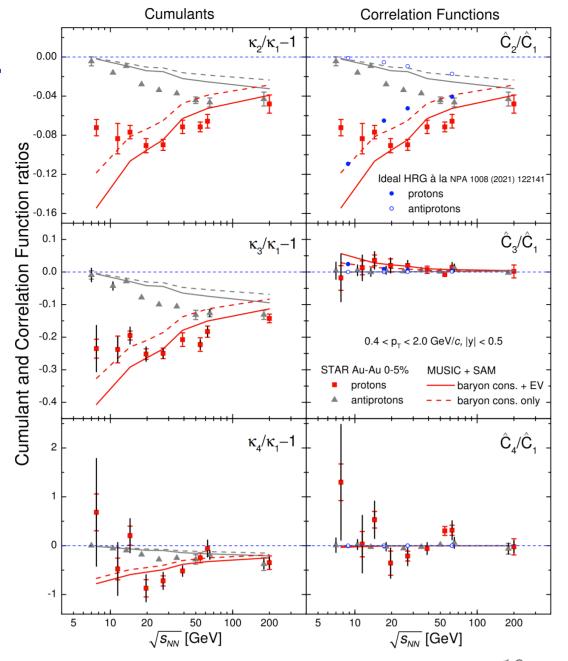
#### **Cumulants vs Correlation Functions**

 Analyze genuine multi-particle correlations via factorial cumulants [Bzdak, Koch, Strodthoff, PRC '17]

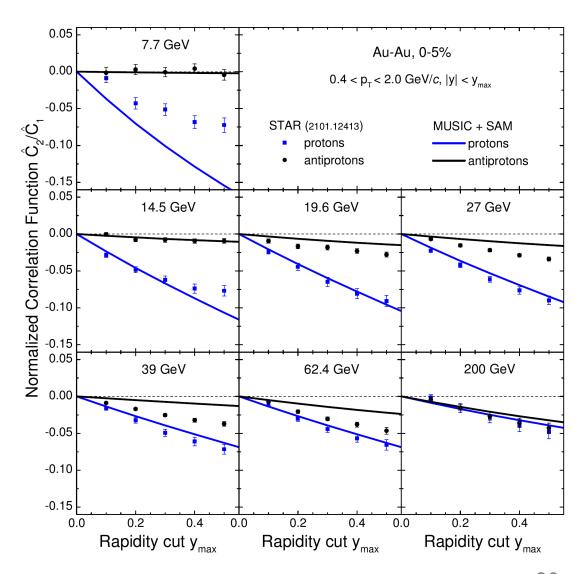
$$\hat{C}_1 = \kappa_1,$$
  $\hat{C}_3 = 2\kappa_1 - 3\kappa_2 + \kappa_3,$   $\hat{C}_2 = -\kappa_1 + \kappa_2,$   $\hat{C}_4 = -6\kappa_1 + 11\kappa_2 - 6\kappa_3 + \kappa_4.$ 

$$\hat{C}_n^{
m cons} \propto lpha^n$$
,  $\hat{C}_n^{
m EV} \propto b^n$  [VV et al, PLB '17]

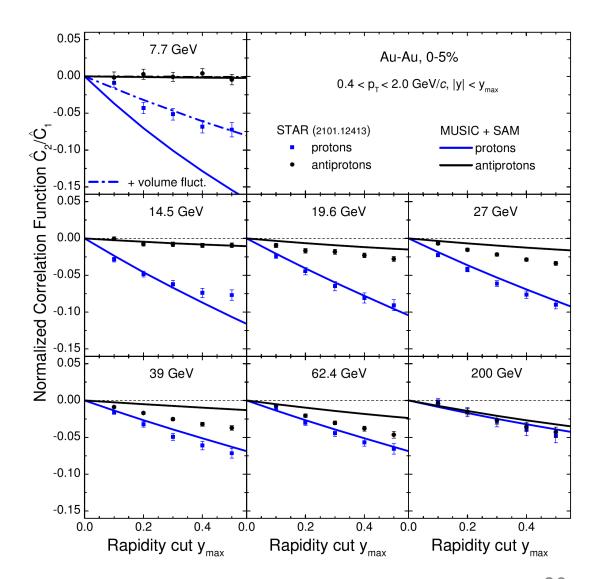
- Three- and four-particle correlations are small
  - Small positive  $\hat{C}_3/\hat{C}_1$  in the data is explained by baryon conservation + excluded volume
  - Strong multi-particle correlations would be expected near the critical point [Ling, Stephanov, 1512.09125]
- Two-particle correlations are negative
  - Protons at  $\sqrt{s_{NN}} \le 14.5$  GeV overestimated
  - Antiprotons at  $19.6 \le \sqrt{s_{NN}} \le 62.4$  GeV underestimated



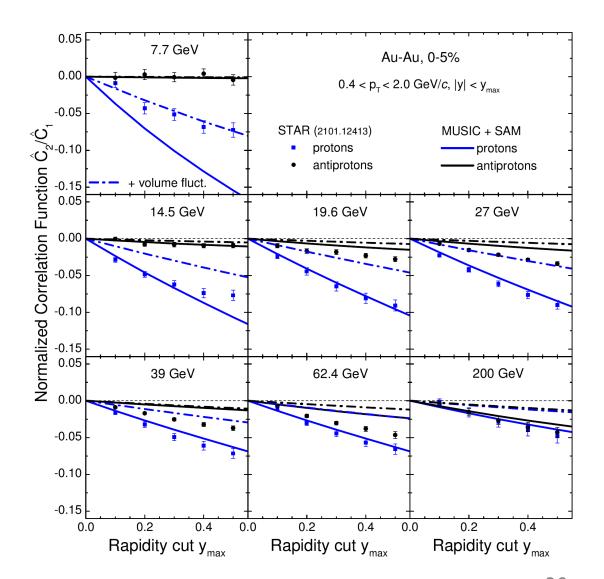
• Changing  $y_{max}$  slope at  $\sqrt{s_{NN}} \le 14.5$  GeV?



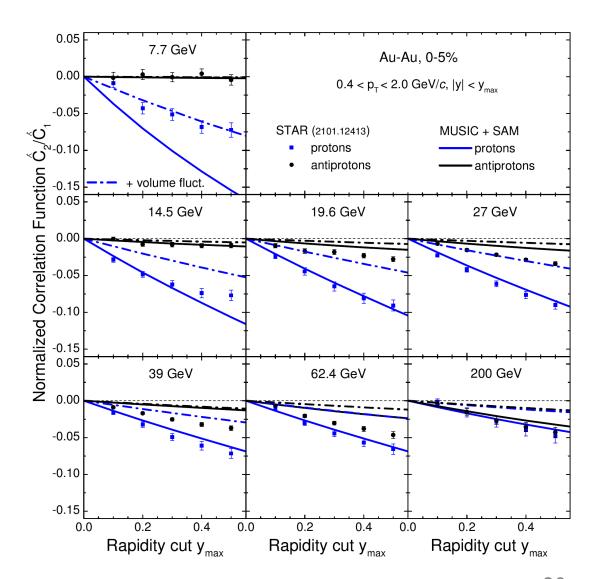
- Changing  $y_{max}$  slope at  $\sqrt{s_{NN}} \le 14.5$  GeV?
- Volume fluctuations? [Skokov, Friman, Redlich, PRC '13]
  - $C_2/C_1 += C_1 * v_2$



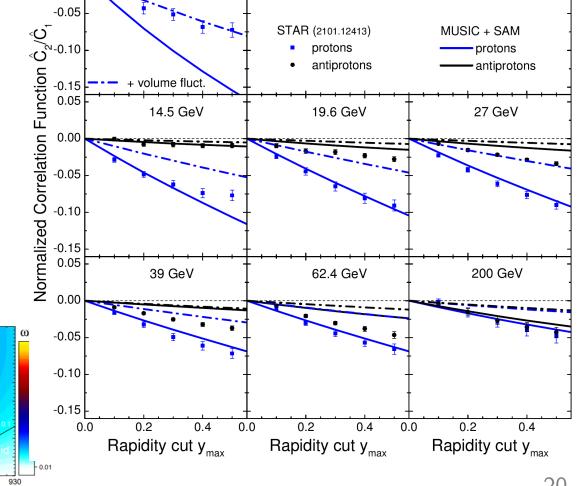
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  - Can improve low energies but spoil high energies?



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- Exact electric charge conservation?
  - Worsens the agreement at  $\sqrt{s_{NN}} \leq 14.5$  , higher energies virtually unaffected



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- Exact electric charge conservation?
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- **Attractive interactions?** 
  - Could work if baryon repulsion turns into attraction in the high- $\mu_B$  regime
  - **Critical point?**



Au-Au, 0-5%

 $0.4 < p_T < 2.0 \text{ GeV/}c, |y| < y_{max}$ 

7.7 GeV

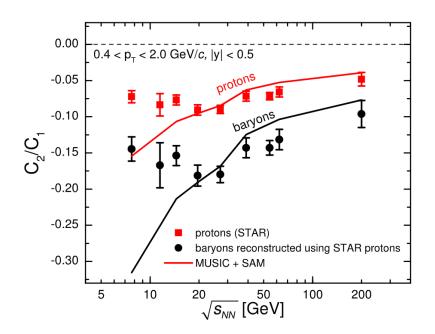
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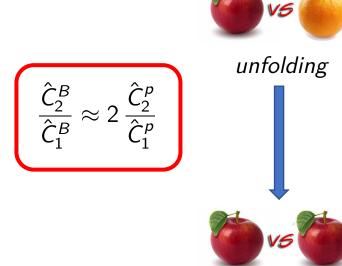
 $\chi_2/\chi_1$ 

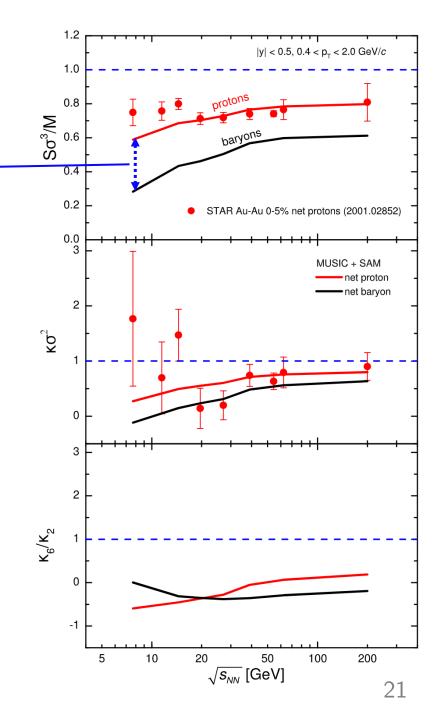
μ (MeV)

### Outlook: baryon cumulants from protons

- net baryon ≠ net proton
- Baryon cumulants can be reconstructed from proton cumulants via binomial (un)folding based on isospin randomization [Kitazawa, Asakawa, Phys. Rev. C 85 (2012) 021901]
  - Amounts to an additional "efficiency correction" and requires the use of joint factorial moments, only experiment can do it model-independently

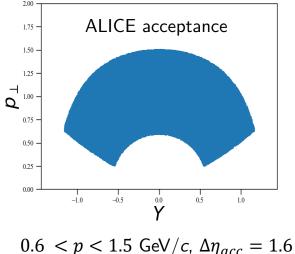




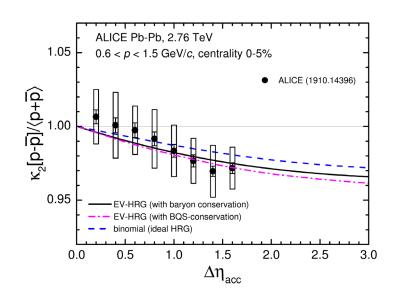


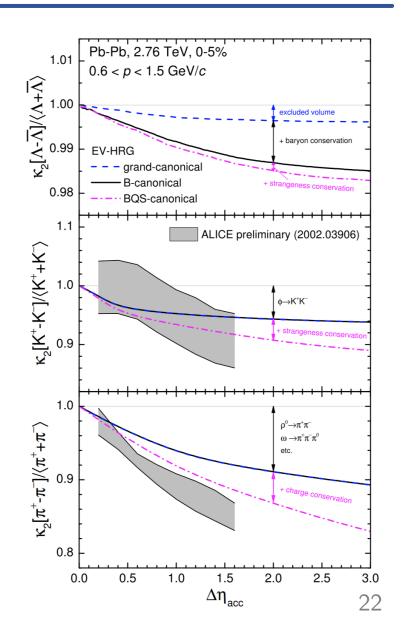
#### **Net-particle fluctuations at the LHC**

- Net protons described within errors but not sensitive to the equation of state for the present experimental acceptance
- Large effect from resonance decays for lighter particles + conservation of electric charge/strangeness
- Future measurements will require larger acceptance





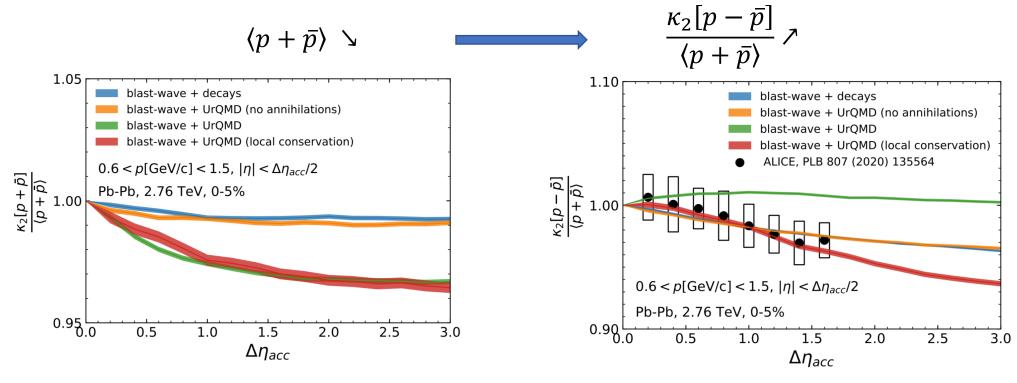




#### Effects of baryon annihilation and local conservation

O. Savchuk, V.V., V. Koch, J. Steinheimer, H. Stoecker, arXiv:2106.08239

Baryon annihilation  $B\bar{B} \to n\pi$  in afterburners (UrQMD, SMASH) suppresses baryon yields



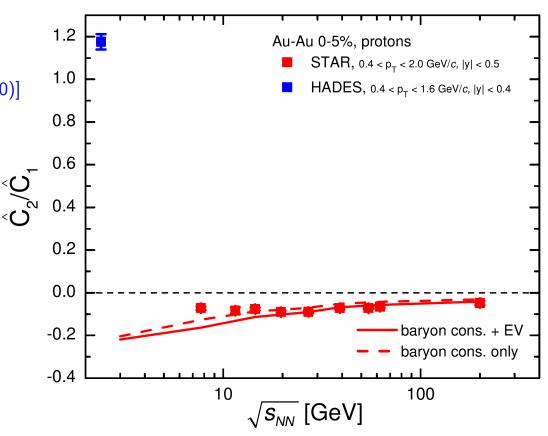
- ALICE data requires local baryon conservation across  $\Delta y \sim \pm 1.5$  with UrQMD annihilations (no regenerations) or global conservation ( $\Delta y \sim \Delta y_{tot}$ ) without annihilations
- Local conservation and  $B\bar{B}$  annihilation can be constrained from data through the combined analysis of  $\kappa_2[p-\bar{p}]$  and  $\kappa_2[p+\bar{p}]$

# Lower energies $\sqrt{s_{NN}} \le 7.7$ GeV

• Intriguing hint from HADES @  $\sqrt{s_{NN}} = 2.4$  GeV: huge two-particle correlations!

[HADES Collaboration, PRC 102, 024914 (2020)]

- Extend the calculations down to  $\sqrt{s_{NN}}=3$  GeV by means of the blast-wave model
- No change of trend in the non-critical baseline
- Other important effects to consider
  - Light nuclei formation
  - Nuclear liquid-gas transition



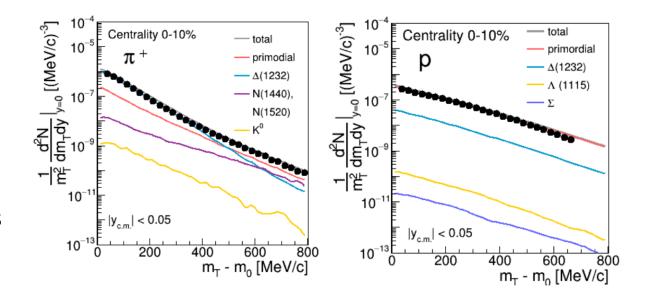
Data from STAR-FXT eagerly awaited!

### Thermodynamic analysis of HADES data

- Single freeze-out scenario: Emission from Siemens-Rasmussen hypersurface with Hubblelike flow
  - $\rightarrow$  Pion and proton spectra o.k.

[S. Harabasz et al., PRC 102, 054903 (2020)]

Uniform  $T \approx 70$  MeV,  $\mu_B \approx 875$  MeV across the fireball [A. Motornenko et al., PLB 822, 136703 (2021)]



#### Fluctuations:

- Same as before but incorporate additional binomial filtering to account for protons bound in light nuclei
- Uniform fireball  $\rightarrow$  Final proton cumulants are linear combinations of baryon susceptibilities  $\chi_n^B$



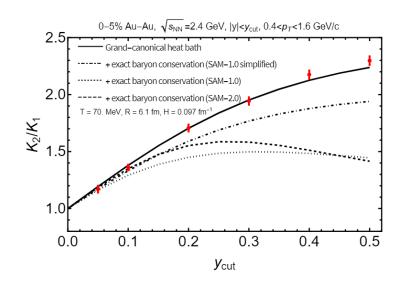
Extract  $\chi_n^B$  directly from experimental data

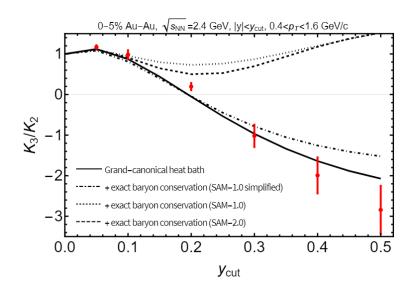
### Thermodynamic analysis of HADES data

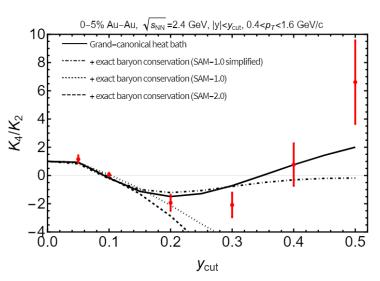
In the grand-canonical limit (no baryon conservation) the data are described well with

$$\frac{\chi_2^B}{\chi_1^B} = 9.35 \pm 0.40,$$
  $\frac{\chi_3^B}{\chi_2^B} = -39.6 \pm 7.2,$   $\frac{\chi_4^B}{\chi_2^B} = 1130 \pm 488$ 

- Could be indicative of a critical point near the HADES freeze-out at  $T \approx 70$  MeV,  $\mu_B \approx 875$  MeV
- However, the results are challenging to describe with baryon conservation included







### **Summary**

- Fluctuations are a powerful tool to explore the QCD phase diagram
  - test of lattice QCD and equilibration, probe the QCD critical point
- Quantitative analysis of central collisions at  $\sqrt{s_{NN}}$ =2.4-2760 GeV
  - Protons are described quantitatively at  $\sqrt{s_{NN}} \geq 20$  GeV without critical point
  - Possible evidence for attractive proton interactions at  $\sqrt{s_{NN}} \leq 14.5$  GeV
  - Significant quantitative difference between protons and baryons
- Factorial cumulants carry rich information
  - Small three- and four-particle correlations in absence of critical point effects
- HADES data point to potentially huge (multi-)proton correlations but at odds with baryon conservation

#### Thanks for your attention!

