## **New Results on Nucleon Spin Structure**

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#### Outline

- Some phenomenlogical models
- Quark polarization: status
- Gluon polarization: new results
- Transversity & Friends: new structures to explore
- New transverse-spin data

New results from several experiments!

- This talk: HERMES, SMC, STAR, PHENIX
- COMPASS talk by F. Bradamante

JLAB 📥 talk by Z.-E. Mezziani

## Flavor Structure of the Proton





- quark degrees of freedom in a pion mean-field
- nucleon = chiral soliton
- one parameter: dynamically-generated quark mass
- expand in  $1/N_c$



'tHooft instanton vertex  $\sim \overline{u}_R u_L \overline{d}_R d_L$ 



## **Spin Structure of the Proton**

$$\frac{1}{2} = \frac{1}{2}\Delta\Sigma + \Delta G + L_q + L_g$$

#### **Parton Distribution Functions**

unpolarized:

polarized:

$$q(x) = q^{\uparrow}(x) + q^{\downarrow}(x)$$
$$\Delta q(x) = q^{\uparrow}(x) - q^{\downarrow}(x)$$

#### Constituent Quark Model

$$\Delta u = +\frac{4}{3}, \ \Delta d = -\frac{1}{3} \rightarrow \quad \Delta \Sigma = 1$$

#### Relativistic Quark Model

relativistic *current quarks* with light masses, orbital angular momentum is important

 $\Delta \Sigma \simeq 0.60 - 0.75 \qquad L_q = \frac{1}{2}(1 - \Delta \Sigma)$ 

#### **Neutron/Hyperon** $\beta$ **-decay Constants**

give 2 conserved moments:

$$a_3 = \Delta u - \Delta d = 1.267$$
$$a_8 = \Delta u + \Delta d - 2\Delta s = 0.585$$

• Neglecting sea quarks entirely,

$$\Delta \Sigma = \Delta u + \Delta d = a_8 = 0.59$$

Now add sea:  $\Delta u \rightarrow \Delta u_v + \Delta u_s + \Delta \overline{u}$ 

• Assuming SU(3)-symmetric sea ,

$$\Delta u_s = \Delta \overline{u} = \Delta d_s = \Delta \overline{d} = \Delta s = \Delta \overline{s},$$

$$\Delta u_v = (a_8 + a_3)/2 = +0.93$$
$$\Delta d_v = (a_8 - a_3)/2 = -0.34$$

 $\Delta \Sigma = \Delta u + \Delta d + \Delta s = a_8 + 6 \, \Delta \overline{q} = ?$ 

**Anti-quark Spin in the Proton** 

#### **Meson Cloud Models**

Li, Cheng, hep-ph/9709293



"Higher-order" cloud of vector mesons can generate a small  $\Delta \overline{q}$  polarization.

#### **Chiral-Quark Soliton Model**

Goeke et al, hep-ph/0003324

Light anti-quarks polarized:





#### Instanton Mechanism



'tHooft instanton vertex  $\sim \overline{u}_R u_L \overline{d}_R d_L$  transfers helicity from valence u quarks to  $d\overline{d}$  pairs

#### **Polarized Deep-Inelastic Scattering**



Measure  $g_1$  structure function

$$g_1(x,Q^2) = \frac{1}{2} \sum_q e_q^2 \Delta q(x,Q^2)$$

via inclusive double-spin asymmetries

$$A_1 = \frac{\sigma_{J=1/2} - \sigma_{J=3/2}}{\sigma_{J=1/2} + \sigma_{J=3/2}} = \frac{g_1}{F_1}$$



 $\Gamma_1^p = \int g_1^p \, dx = 0.118 \pm 0.008$ 

Assuming flavour-symmetric sea,

$$\Gamma_1^p = \frac{1}{6} \left[ \frac{a_3}{2} + \frac{5 a_8}{6} + 4 \Delta \overline{q} \right]$$
$$\Delta \overline{q} \simeq -0.10 \quad \Rightarrow \quad \Delta \Sigma \simeq 0!$$

*i.e., the "Spin Crisis" ... but we can do a lot better than this analysis ... !* 

## **NLO pQCD** Fits to World Data on $g_1^p$ , $g_1^n$ , $g_1^d$

$$g_1^{p(n)}(x,Q^2) = \frac{1}{9} \left( C_{NS} \otimes \left[ \pm \frac{3}{4} \Delta q_3 + \frac{1}{4} \Delta q_8 \right] + C_S \otimes \Delta \Sigma + 2N_f C_g \otimes \Delta G \right)$$

#### Ingredients:

- Parametrization at some scale  $\mu_0$ , e.g.  $\Delta q(x,\mu_0^2) = N \, x^{\alpha} (1-x)^{\beta} q(x,\mu_0^2)$
- Moments from  $\beta$ -decay:

$$\begin{array}{l} a_3 = 1.267 = \Delta U + \Delta D \\ a_8 = 0.585 = \Delta U + \Delta D - 2\Delta S \\ \text{where } Q \equiv q + \overline{q} \end{array}$$

• Sea-flavour assumption:

(a) 
$$\Delta u_s = \Delta \overline{u} = \Delta d_s = \Delta \overline{d} = \dots$$

(GRSV-standard, AAC, BB, HERMES)

(b)  $\Delta \overline{d} / \Delta \overline{u} = \Delta u / \Delta d$  $\Delta s = \Delta \overline{s} = 0$  (GRSV-valence)



- Factorization scheme (usu.  $\overline{\mathrm{MS}}$ )
- Optional: higher-twist terms  $\sim 1/Q$

## **NLO pQCD Fits to** $g_1$ : **Quark-Polarization Results**



#### First moments at $Q^2 = 4.0 \text{ GeV}^2$ :

#### SU(3)-symmetric sea assumption:

(all:  $\Delta u_v = 0.93 \pm 0.07$ ,  $\Delta d_v = -0.34 \pm 0.12$ )

	$\Delta \overline{q}$	$\Delta\Sigma$
GRSV 2000 std	-0.064	0.197
BB 2002	$-0.072 \pm 0.015$	$0.153 \pm 0.093$
AAC 2003	$-0.062 \pm 0.023$	$0.213 \pm 0.138$
HERMES prelim	$-0.064 \pm 0.021$	$0.201 \pm 0.119$

#### **GRSV** "valence" scenario:

	$\Delta \overline{u}$	$\Delta \overline{d}$	$\Delta\Sigma$
GRSV 2000 valence	0.085	-0.235	0.273

 $\chi^2$ /dof cannot distinguish between SU(3)-symmetric sea (GRSV-"standard") and fully flavour-broken "valence" scenario

## **Quark Polarization from Semi-Inclusive DIS**

In <u>semi-inclusive DIS</u> a hadron h is detected in coincidence with the scattered lepton ...

Goal: flavor separation of quark and antiquark helicity distributions



#### **Technique: Flavor Tagging**

The flavor content of final state hadrons is related to the flavor of the struck quark via the fragmentation functions  $D_q^h(z, Q^2)$ . In LO QCD:

$$A_1^h(x,Q^2) = \frac{\int_{z_{\min}}^1 dz \sum_q e_q^2 \,\Delta q(x,Q^2) \cdot D_q^h(z,Q^2)}{\int_{z_{\min}}^1 dz \sum_q e_q^2 \,q(x,Q^2) \cdot D_q^h(z,Q^2)} = \sum_q P_q^h(x,z) \frac{\Delta q(x)}{q(x)}$$

**Purity matrix**  $P_q^h$  is spin-independent & may be computed by Monte Carlo

## Final HERMES $\Delta q$ Measurement from SIDIS





- input:  $A_{1,p}$ ,  $A_{1,p}^{\pi^{\pm}}$ ,  $A_{1,d}$ ,  $A_{1,d}^{\pi^{\pm}}$ ,  $A_{1,d}^{K^{\pm}}$
- Assumption:  $\Delta \overline{s} = 0 \pm 1/\sqrt{3}$



First 5-flavor fit to 
$$\Delta q(x)$$

No significant  $\overline{q}$  polarization seen

... but ...

- Results **perfectly consistent** with **inclusive** fits  $\Rightarrow \chi^2/\text{dof} = 0.6 - 1.6 \text{ vs}$ BB (SU3-sym) <u>and</u> GRSV-valence  $\odot$
- In **measured range** (x = .023 .6),

$$\int \Delta \overline{u} = -0.002 \pm 0.043$$

$$\int \Delta \overline{d} = -0.054 \pm 0.035$$

 $\int \Delta s = +0.028 \pm 0.034$ 

## Flavor-Asymmetry of Sea & Future Data on $\Delta q(x)$

Comparison with Chiral-Quark Soliton Model calculation "not great" ...



Lack of flavor-asym  $\Delta \overline{u} \neq \Delta \overline{d}$  more reminiscent of *meson-cloud picture* ...

#### More SIDIS data coming from COMPASS!

# New channel coming from RHIC $\Rightarrow$ *W*-production!



## Gluon Polarization from NLO Fits to $g_1(x, Q^2)$

$$g_1^{p(n)}(x,Q^2) = \frac{1}{9} \left( C_{NS} \otimes \left[ \pm \frac{3}{4} \Delta q_3 + \frac{1}{4} \Delta q_8 \right] + C_S \otimes \Delta \Sigma + 2N_f C_g \otimes \Delta G \right)$$





## **Gluon Polarization from SIDIS**



Find SIDIS channel that enhances Photon-Gluon Fusion process

(1) Charm production > COMPASS talk (F. Bradamante)!

**(2)** High-pT hadron-pair production

• HERMES 1997:  $Q^2 \approx 0$ ,  $\sum p_T > 2.5 \text{ GeV}$ 

 $\Delta G/G = +0.41 \pm 0.18 \pm 0.03$  at  $\langle x_G \rangle = 0.17$ 

• **new** SMC analysis #1: 
$$Q^2 > 1$$
,  $\sum p_T^2 > 2.5 \text{ GeV}^2$ 

 $\Delta G/G = -0.07 \pm 0.40 \pm 0.12$  at  $\langle x_G \rangle = 0.09$ 

**new** SMC analysis #2:  $Q^2 > 1$ , neural-net cuts

 $\Delta G/G = -0.20 \pm 0.28 \pm 0.10$  at  $\langle x_G \rangle = 0.07$ 





#### Channels: 1 Direct-photon 2 Heavy-quark production 3 Jet / hadron production

Uncomfortable scale-dependence of hadron-pair xsec at HERMES and COMPASS kinematics ...

Happier situation at RHIC: much less scale-dependence ...  $\pi^0$  xsec well explained by NLO-pQCD:



## **New Results from PHENIX!** $A_{LL}^{\pi^0}$ at mid-rapidity



Jäger, Stratmann, Kretzer, Vogelsang, PRL 92 (2004) 121803

**PH**<sup>\*</sup>ENIX

Many subprocesses ... but only  $gg \rightarrow q\overline{q}$  has negative subprocess asymmetry  $\hat{a}_{LL} < 0$  ...



## Interpretation of PHENIX $A_{LL}^{\pi^0}$



-0.1

10

10<sup>-2</sup>

10<sup>-1</sup>

х

Answers await more statistics  $\rightarrow$  higher  $p_T$  coverage

### **New Spin-Structure Function: Transversity** $\delta q(x)$

Proton Matrix Elements vector charge  $\langle PS|\overline{\psi}\gamma^{\mu}\psi|PS\rangle = \int_{0}^{1} dx \ q(x) - \overline{q}(x) \rightarrow \#$  valence quarks axial charge  $\langle PS|\overline{\psi}\gamma^{\mu}\gamma_{5}\psi|PS\rangle = \int_{0}^{1} dx \ \Delta q(x) + \Delta \overline{q}(x) \rightarrow \text{net quark spin}$ tensor charge  $\langle PS|\overline{\psi}\sigma^{\mu\nu}\gamma_{5}\psi|PS\rangle = \int_{0}^{1} dx \ \delta q(x) - \delta \overline{q}(x) \rightarrow ???$ 

#### Forward Helicity Amplitudes



(optical theorem applied to DIS)



**Properties of Transversity** 

In Non-Relativistic Case, boosts and rotations commute:

... but bound quarks are highly *relativistic* in nature

No Gluons



Angular momentum conservation:  $\Lambda - \lambda = \Lambda' - \lambda'$ 

- $\Rightarrow$  transversity has **no gluon** component
- $\Rightarrow$  different  $Q^2$  evolution than  $\Delta q(x)$

#### Chiral Odd

Helicity flip amplitudes occur only at  $\mathcal{O}(m_q/Q)$  in inclusive DIS ...



but they are observable in e.g. semi-inclusive reactions

 $\delta q(x) = \Delta q(x)$ 



## **Single-Spin Asymmetries at Hard Scales**



#### **T-odd observables**

SSA observables  $\sim \vec{J} \cdot (\vec{p_1} \times \vec{p_2})$  $\Rightarrow$  *odd* under naive *time-reversal* 

Since QCD amplitudes are T-even, must arise from **interference** between **spin-flip** and non-flip amplitudes with **different phases** 

#### Suppressed in pQCD hard-scattering

- q helicity flip suppressed by  $m_q/\sqrt{s}$
- need  $\alpha_s$ -suppressed loop-diagram to generate necessary phase

At hard (enough) scales, SSA's must arise from soft physics: T-odd distribution / fragmentation functions **Results from STAR:**  $A_N^{\pi^0}$  at forward rapidity

#### Was E704 at a hard-enough scale for reliable pQCD analysis? well RHIC certainly is!

#### Clear evidence of analyzing power

#### Xsec well-described by pQCD



Asymmetry shows similar rise with  $x_F$  as observed at E704

### **Possible Mechanism #1:** The "Collins Effect"

 $H_1^{\perp}(z, k_T)$  T-odd fragmentation func

- intrinsically  $k_T$ -dependent
- chiral-odd, like transversity



based on Lund-string fragmentation picture

Artru model

Collins

Effect

#### Possible Mechanism #2: The "Sivers Effect"



New type of DF: T-odd, and depends **intrinsically** on **quark transverse-momentum** 

 $\Rightarrow$  on quark orbital motion





Forward  $\pi^+$  produced from orbiting  $u_v$  quark by recombination at *front surface* of beam

## How to Separate?



Until 2002, it was believed that the <u>Sivers</u> effect could <u>not exist</u> in <u>DIS</u> → requires T-odd interference effect in initial state ...

## The Leading-Twist Sivers Function: Can it Exist in DIS?

A T-odd function like  $f_{1T}^{\perp}$  <u>must</u> arise from <u>interference</u> ... but a distribution function is just a forward scattering amplitude, how can it contain an interference?



#### Brodsky, Hwang, & Schmidt 2002



It <u>looks</u> like higher-twist ... but <u>no</u>, these are <u>soft gluons</u> = "gauge links" required for color gauge invariance

Such soft-gluon reinteractions with the soft wavefunction are *final (or initial) state interactions* ... and may be *process dependent* ! I new *universality issues* 



## **T-odd Distribution vs Fragmentation Function**



**First Data from HERMES Run 2** 



#### Transverse Hydrogen target installed in 2001







"Collins" Moments



#### **Interpretation of Collins Results**



HERMES

**\**π**+** 

The Collins results for  $\pi^+$ ,  $\pi^-$ ,  $\pi^0$  show an unexpected pattern ...



#### **Interpretation: Minimal Assumptions**

- $A_{\rm UT}^{\rm Collins}$  is *leading twist*
- Collins FF obeys *favored / disfav* symmetry:

$$H_{\text{fav}} \equiv H_{1\perp}^{u \to \pi^+} = H_{1\perp}^{d \to \pi^-} = H_{1\perp}^{\overline{u} \to \pi^-} = H_{1\perp}^{\overline{d} \to \pi^+}$$
$$H_{\text{dis}} \equiv H_{1\perp}^{u \to \pi^-} = H_{1\perp}^{d \to \pi^+} = H_{1\perp}^{\overline{u} \to \pi^+} = H_{1\perp}^{\overline{d} \to \pi^-}$$
$$\Rightarrow A^{\pi^+} = k \frac{(4\delta u + \delta \overline{d})H_{\text{fav}} + (\delta d + 4\delta \overline{u})H_{\text{dis}}}{(4u + \overline{d})D_{\text{fav}} + (d + 4\overline{u})D_{\text{dis}}}$$

#### **Some definitions**

$$r \equiv \frac{d + 4\overline{u}}{u + \overline{d}/4} \qquad \eta \equiv \frac{D_{\text{dis}}}{D_{\text{fav}}}$$
$$\delta r \equiv \frac{\delta d + 4\delta\overline{u}}{\delta u + \delta\overline{d}/4} \quad \eta_H \equiv \frac{H_{\text{dis}}}{H_{\text{fav}}}$$

#### **Consider Asymmetry Ratios**

$$\alpha^{-} \equiv \frac{A^{\pi^{-}}}{A^{\pi^{+}}} = \left(\frac{4\eta_{H} + \delta r}{4\eta + r}\right) \left(\frac{4 + r\eta}{4 + \delta r\eta_{H}}\right), \quad \alpha^{0} \equiv \frac{A^{\pi^{0}}}{A^{\pi^{+}}} = \frac{(4 + \delta r)(1 + \eta_{H})}{(4 + r)(1 + \eta)} \left(\frac{4 + r\eta}{4 + \delta r\eta_{H}}\right)$$

 $\Rightarrow$  Leads to Constraint Equ<sup>n</sup> involving <u>only unpolarized</u> quantities

$$\alpha^{-}C = \alpha^{0}(1+C) - 1$$
 where  $C \equiv \frac{4\eta + r}{4 + \eta r}$ 

 $\Rightarrow$  Solution Space in  $\eta_H$  vs  $\delta r$  can be determined:

$$\eta_H = \frac{\delta r - 4(\alpha^- C)}{(\alpha^- C)\delta r - 4} \quad \text{and} \quad \eta_H = \frac{\delta r - 4(\alpha^0(1 + C) - 1)}{(\alpha^0(1 + C) - 1)\delta r - 4}$$

## **Interpretation of Collins Results**

**(1)** Constraint equation: well satisified by both weighted and unweighted asymmetries (within  $1\sigma$  statistical)  $\rightarrow$  no problem with internal consistency



<u>Neglecting</u> possible diffractive contamination , there seems to be a pronounced indication that  $H_{\rm fav} \approx -H_{
m dis}$ 

## **Interpretation of Collins Results**

<u>Artru model</u>, based on phenomenological Lund string-fragmentation model and <sup>3</sup> $P_0$  hypothesis for  $q\overline{q}$ -pair formation



I leading  $\pi^+$  = *favored* transition, heads *into page*Subleading pcle (prob  $\pi^-$ ) = *disfavored* transition, heads *out of page Perhaps*  $H_{dis} \approx -H_{fav}$  *is not only reasonable, but likely ?* 





1-2 -- 1- -





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## Universality of $k_T$ -dependent Functions



**Expectation:** T-odd functions will change sign between spacelike (SIDIS) and time-like ( $e^+e^-$  and DY) processes

#### **BELLE** $e^+e^-$ **Experiment**

- Analysis of *Collins function* from high-statistics BELLE data in progress!
- Critical for providing *normalization point* for SIDIS and *pp* data  $\sim h_1 H_1^{\perp}$

Universality of E704 / RHIC  $p^{\uparrow}p \rightarrow \pi X$  not yet clear ...



3 "soft blobs" ... gauge-link topology more complex

## **Conclusions: A lot has happened in the past year!**

#### **Sea-Quark Polarization**

- Inclusive DIS data favour  $\Delta q_s$  of about -6% per flavor ... but can't separate by flavor
- Final HERMES **SIDIS data** place **new constraints** on  $\Delta \overline{u}$ ,  $\Delta \overline{d}$ ,  $\Delta s$

#### **Gluon Polarization**

First A<sub>LL</sub> data from <u>PHENIX</u>: Unexpectedly, asymmetry favors negative sign, origin not yet understood

#### **Transverse Effects & Single-Spin Asymmetries**

- First A<sub>UT</sub> data from <u>HERMES</u>: <u>Sivers</u> effect <u>non-zero</u>
   ... but <u>Collins</u> function shows unexpected behavior
- **STAR**  $A_N^{\pi^0}$  confirms "E704 effect" at forward rapidity
- Mid-rapidity  $A_N^h$  at **PHENIX** is zero, not surplising, ... but **unexpected**  $A_N^n \approx -10\%$  seen at 0°







And this is only the beginning ! 🙂