Measurement and QCD Analysis of Jet Cross Sections in Deep-Inelastic Positron-Proton Collisions at $\sqrt{s} = 300$ GeV

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“Science is an intellectual dead end, you know?
It’s a lot of little guys in tweed suits cutting up frogs on foundation grants.”

Miles Monroe in: Woody Allen, The Sleeper, 1973

To Christel, Walter and Tobias

Contents

Introduction

According to our present understanding all phenomena are described by the interactions of elementary particles due to four fundamental forces: gravity and the electromagnetic, the weak and the strong interactions. The properties of gravity are described by the general theory of relativity. The electromagnetic, the weak and the strong interactions are described in the framework of the "Standard Model" of particle physics.

In this thesis we perform tests of Quantum Chromodynamics (QCD), the theory of the strong interaction, which describes the interactions of quarks and gluons due to their color charge. QCD does, however, not predict the absolute strength of the strong interaction, the "strong coupling constant" α_s. The value of α_s enters the theory as a parameter which has to be determined experimentally. Furthermore available calculational techniques do not allow to predict the momentum distributions of quarks and gluons inside a composite particle as the proton. These "quark and gluon density functions" have therefore also to be obtained from experiment.

The direct determination of α_s and the gluon and quark densities in the proton is the subject of the present work.

Deep-inelastic lepton-proton scattering experiments have played an important role in the understanding of the structure of the proton and in establishing QCD as the theory of the strong interaction [1]. Compared to earlier experiments with fixed proton targets the electron-proton collider HERA with its much larger lepton-proton center-of-mass energy allows to explore the proton structure at a significantly higher resolution.

The inclusive electron-proton cross section is directly sensitive to the quark densities in the proton, but allows only indirect conclusions on α_s and the gluon content. Observables which are *directly* sensitive to α_s and the gluon density in the proton are the multi-jet cross sections, i.e. the production rates of events in which the final state contains (besides the proton remnant) more than one collimated spray of hadrons, so called "jets".

Multi-jet cross sections in deep-inelastic scattering were measured for the first time by the E665 collaboration in a fixed target experiment [2]. The high center-of-mass energy at HERA produces more pronounced jet structures and provides a clean testing ground for QCD dynamics in analyses of the hadronic final state. In previous analyses at HERA the production rates of dijet events in deep-inelastic scattering at large momentum transfers Q^2 were used to determine the strong coupling constant α_s [3, 4, 5].

The aim of this thesis is to extend these analyses regarding both the experimental measurement and the scope of the QCD analysis. A large variety of jet observables is measured as a function of kinematic and jet specific quantities using different jet algorithms. The predictions of perturbative QCD are tested in inclusive jet, in dijet, in three-jet and in four-jet production. The internal structure of jets is studied in a dijet event sample.

In a QCD analysis of the inclusive jet and the dijet cross sections we determine α_s and study its "running" as a function of the transverse jet energy. The inclusion of H1 structure function data with their direct sensitivity to the quark densities provides the opportunity to perform a consistent direct determination of the gluon density simultaneously with the quark densities in the proton. Since both data sets are measured by one experiment the correlated experimental uncertainties can fully be taken into account. We perform the first simultaneous direct determination of α_s, the gluon and the quark densities in the proton.

The thesis is organized in three parts.

- The first part is devoted to the theoretical basis of the analysis.
  In chapter 1 we describe the theoretical framework in which α_s and the parton density functions are defined and discuss in what way different processes in positron-proton scattering are sensitive to these parameters. The concept of jet observables is introduced in chapter 2. We give the exact definitions of the jet algorithms and motivate the choice of the jet phase space used in the analysis. Properties of the theoretical predictions are studied in chapter 3 to identify those phase space regions and observables for which theoretical uncertainties are smallest.

- The second part contains all details of the experimental work.
  A brief description of the H1 detector is given in chapter 4 together with the experimental methods applied in the analysis. In chapter 5 we discuss the data selection and provide numerous control distributions which are the basis of the unfolding of the data as performed in chapter 6. All experimental results are presented in chapter 7 where they are compared to theoretical predictions.

- In part three we interpret the measurements in the framework of QCD.
  An outline of the QCD analysis and a description of the technical details of the fitting procedure is given in chapter 8. In chapter 9 we perform QCD fits in which we determine α_s and the gluon and quark densities in the proton.

Remarks:

Throughout this thesis we set $\hbar = c = 1$.

The results of this work fall in two categories: observables (e.g. jet cross sections) and theoretical parameters (e.g. the gluon density in the proton). Correspondingly we will carefully distinguish between the usage of the words "measurement" and "determination" (or "extraction").

Observables are *measurable* quantities which correspond to properties of phenomena in the physical world. Once they are (correctly) measured they constitute facts, which have to be described by any physical theory which claims to describe nature.

Theoretical parameters, on the other hand, are quantities which are defined (and have a meaning) only in a given theoretical framework. In this framework they are related to observables and can therefore be *determined* (or *extracted*) in a theoretical analysis of the observables. Once, however, the corresponding theory is disproven, the results of the parameters loose their relevance, whereas the observables measured are for eternity ...

Part I

Foundation: Theory of Jet Production in Deep-Inelastic Scattering

1

Basic Theoretical Concepts

In this chapter we give an overview of the general structure of cross sections in perturbative Quantum Chromodynamics (pQCD) and discuss the definitions of the strong coupling constant α_s and the parton density functions. We also introduce the kinematic variables and the structure functions needed to describe deep-inelastic scattering.

This chapter does not contain any new results. All information presented is taken from textbooks [6, 7, 8, 9, 10], lecture notes [11, 12] or other literature (as cited).

1.1 The Strong Coupling Constant α_s – Renormalization

Quantum Chromodynamics (QCD), the theory of the strong interaction, describes the interactions of quarks and gluons. Predictions for scattering processes are obtained by perturbative methods using the Feynman rules which can be derived from the Lagrangian density. Any cross section is then computed as a power series in the strong coupling constant $\alpha_s \equiv g_s^2/4\pi$ where g_s is the gauge coupling of QCD. The contributions from each order can be visualized by so-called Feynman diagrams, each of which is a combination of a number of fundamental vertices. In Fig. 1.1 the fundamental vertices of QCD are displayed. Quarks are represented by straight solid lines and gluons by helixes. Each vertex of Fig. 1.1 a) and b) in a Feynman diagram contributes one factor of $\sqrt{\alpha_s}$ and each vertex 1.1 c) a factor of α_s to the corresponding matrix element. The cross section of the process is then calculated as the absolute value squared of the sum of all contributing matrix elements, integrated over the available phase space.

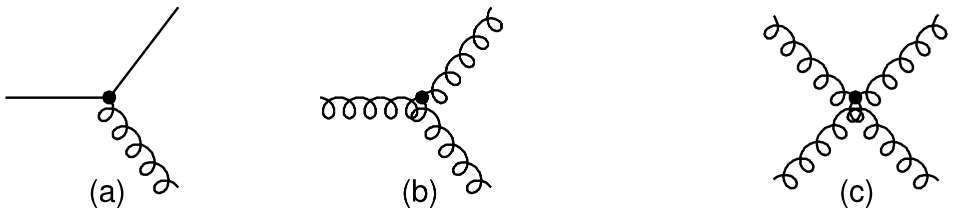

Figure 1.1: The fundamental vertices of QCD

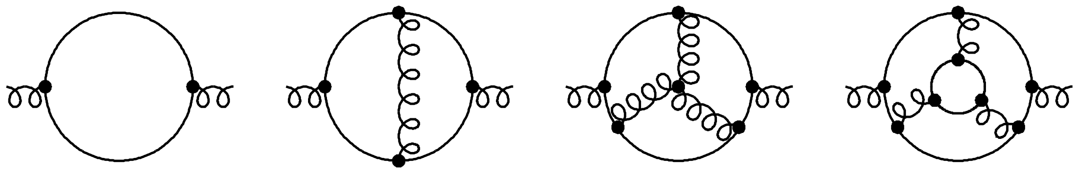

Figure 1.2: Loop corrections to the gluon propagator in QCD Feynman diagrams

Perturbative calculations in leading order (i.e. the lowest order in α_s contributing to the observable) contain only "tree-level" diagrams without internal loops. At higher orders in α_s any observable receives contributions from diagrams including loops as displayed in Fig. 1.2. The loop integrals in these graphs are performed over all (internal) loop momenta P. These integrals are divergent due to the contributions from $P \to \infty$. These so-called ultraviolet (UV) divergences can be made temporarily finite by some "regularization" procedure, e.g. by the introduction of an ultraviolet momentum cut-off or by dimensional regularization [13]. The regularized divergences are then removed by absorbing them into the definition of the coupling strength via a "renormalization procedure". This is done according to a specific (but arbitrary) prescription, which introduces a new dimensional scale μ_r (the "renormalization scale"). The "modified minimal-subtraction scheme" ($\overline{\mathrm{MS}}$ scheme) [14] is widely used for this purpose and will also be employed in all calculations in this thesis.

The renormalization scale can be regarded as the momentum at which the subtractions which remove the UV divergences are performed. It follows that the renormalized coupling $\alpha_s(\mu_r)$ as well as the perturbative coefficients in the power series for the matrix elements depend on the choice made for μ_r. However, since μ_r is an arbitrary parameter, the value of any physical observable R (if calculated to all orders in α_s) has to be independent of μ_r. This is expressed mathematically by the "renormalization group equation"

$$\mu_r^2 \frac{\partial R}{\partial \mu_r^2} + \mu_r^2 \frac{\partial \alpha_s}{\partial \mu_r^2} \frac{\partial R}{\partial \alpha_s} = 0\,. \tag{1.1}$$

From (1.1) follows a differential equation in which the μ_r dependence of $\alpha_s(\mu_r)$ is given by the β function of QCD which can be expanded as a power series in $\alpha_s(\mu_r)$

$$\frac{\partial a}{\partial \ln \mu^2} = \beta(a) = -\beta_0 a^2 - \beta_1 a^3 - \beta_2 a^4 - \beta_3 a^5 + \mathcal{O}(a^6)\,. \tag{1.2}$$

with $a(\mu_r) \equiv \alpha_s(\mu_r)/(4\pi)$. The coefficients β_0 [15] and β_1 [16] are universal (i.e. scheme independent). The results for β_2 [17] and β_3 [18] are available for the $\overline{\mathrm{MS}}$ scheme. One finds

$$\begin{aligned}
\beta_0 &= 11 - \frac{2}{3} n_f\,,\\
\beta_1 &= 102 - \frac{38}{3} n_f\,,
\end{aligned}$$

$$
\begin{aligned}
\beta_2 &= \frac{2857}{2} - \frac{5033}{18} n_f + \frac{325}{54k} n_f^2 \,, \\
\beta_3 &= \left(\frac{149753}{6} + 3564\,\zeta_3\right) - \left(\frac{1078361}{162} + \frac{6508}{27}\,\zeta_3\right) n_f \\
&\quad + \left(\frac{50065}{162} + \frac{6472}{81}\,\zeta_3\right) n_f^2 + \frac{1093}{729}\, n_f^3 \,.
\end{aligned} \tag{1.3}
$$

Here ζ is the Riemann zeta-function ($\zeta_3 = 1.202056903\cdots$) and n_f is the number of active quark flavors[1]. To simplify the notation we define $b_N \equiv \beta_N/\beta_0$ $(N = 1, 2, 3)$. Integrating (1.2) leads to [19]

$$
\begin{aligned}
\ln \frac{\mu^2}{\Lambda^2} &= \int \frac{\mathrm{d}a}{\beta(a)} \\
&= \frac{1}{\beta_0}\left[\frac{1}{a} + b_1 \ln a + (b_2 - b_1^2)a + \left(\frac{b_3}{2} - b_1 b_2 + \frac{b_1^3}{2}\right) a^2\right] + \frac{b_1}{\beta_0} \ln \beta_0 \,.
\end{aligned} \tag{1.4}
$$

The integration introduces a constant Λ, the so-called asymptotic scale parameter, which specifies the value of the renormalization scale μ_r at which $\alpha_s(\mu_r)$ diverges.

Using (1.4) one can determine the value of α_s at any scale μ_r if either Λ or, alternatively, the value of α_s at an arbitrary scale is known. The procedure of using the Λ parameter (which is typically of the order of $200 - 300\,\mathrm{MeV}$) is nowadays disfavored since it is not uniquely defined beyond leading order [20] and its value depends on the number of active quark flavors. Instead it has become conventional to quote the value of α_s in the $\overline{\mathrm{MS}}$ scheme at the scale $\mu_r = M_Z = 91.187\,\mathrm{GeV}$ [21], the mass of the Z^0 boson which is very precisely measured ($\pm 0.007\,\mathrm{GeV}$). This value of the scale is safely in the perturbative region ($\alpha_s(M_Z) \ll 1$) and far away from the quark thresholds ($m_b \ll M_Z \ll m_t$).

To eliminate Λ and to obtain $\alpha_s(\mu_r)$ as a function of $\alpha_s(M_Z)$ one may set $\mu_r = M_Z$ in (1.4) and subtract this from (1.4) at an arbitrary scale μ_r. This yields

$$
a(\mu_r) = \frac{a(M_Z)}{1 + a(M_Z)L} \,, \tag{1.5}
$$

$$
\begin{aligned}
\text{with} \qquad L &= \beta_0 \ln \frac{\mu_r^2}{M_Z^2} + b_1 \ln \frac{a(M_Z)}{a(\mu_r)} + (b_2 - b_1^2)(a(M_Z) - a(\mu_r)) \\
&\quad + \left(\frac{b_3}{2} - b_1 b_2 + \frac{b_1^3}{2}\right) (a^2(M_Z) - a^2(\mu_r)) \,.
\end{aligned}
$$

For a given value of $\alpha_s(M_Z)$ the value of $\alpha_s(\mu_r)$ can now be evaluated using two different procedures. One can obtain an approximate solution (at N-loop accuracy) by iteratively solving (1.6) and discarding the terms of $\mathcal{O}(1/\ln^N(\mu_r^2/\Lambda^2))$. Alternatively one may solve (1.6) exactly using numerical methods. The latter method was used in a recent determination of the world average value of $\alpha_s(M_Z)$ [22] and will also be used in this thesis.

[1] In this thesis we always work in phase space regions where the process relevant energy scales are above the mass of the bottom quark ($m_b \simeq 4.5\,\mathrm{GeV}$) and below the mass of the top quark ($m_t \simeq 173\,\mathrm{GeV}$), and hence $n_f = 5$ is used in all cases.

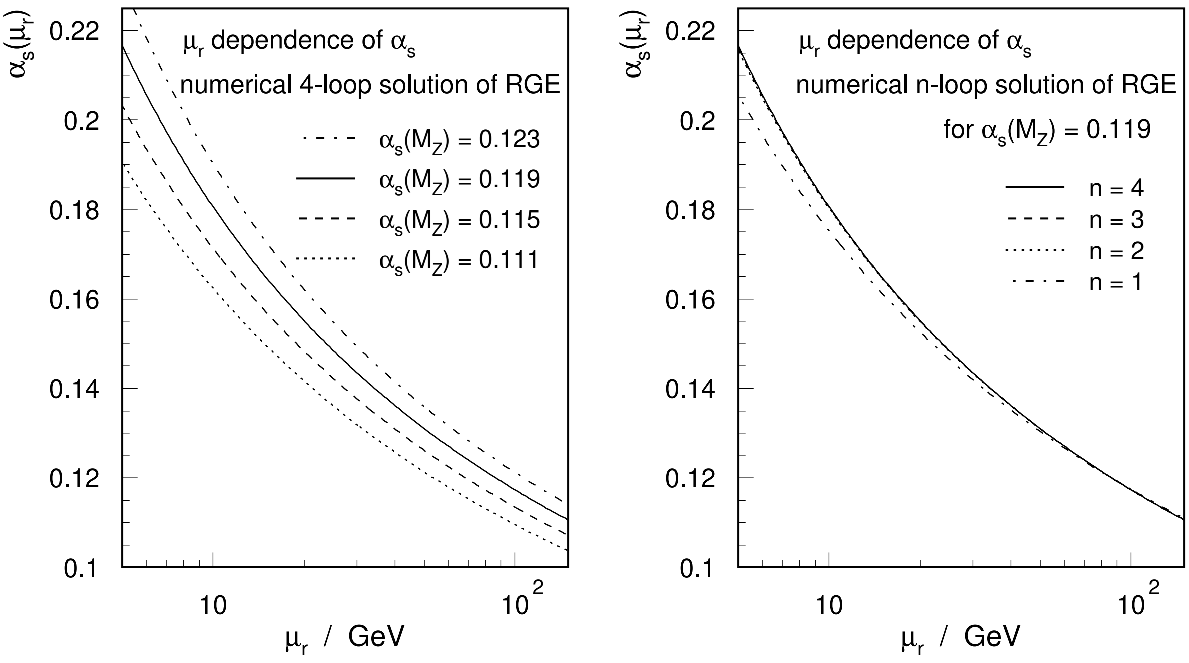

Figure 1.3: Solutions of the renormalization group equation ($\overline{\mathrm{MS}}$ scheme, $n_f = 5$). On the left the running of $\alpha_s(\mu_r)$ is displayed for different values of $\alpha_s(M_Z)$ using the 4-loop formula. The right plot shows the running of $\alpha_s(\mu_r)$ in different approximations of the renormalization group equation.

Solution of the Renormalization Group Equation

The basic property of the solution (1.6) of the renormalization group equation manifests itself already at 1-loop accuracy (i.e. $b_1 = b_2 = b_3 = 0$). $\alpha_s(\mu_r)$ depends logarithmically on μ_r ("the running coupling") and approaches zero as μ_r becomes large. At large energies where $\alpha_s(\mu_r) \ll 1$ the quarks and gluons can therefore be considered as free particles whose interactions are calculable in perturbation theory as a power series in α_s. This is the "asymptotic freedom" of QCD.

In Fig. 1.3 we display the running of α_s in the range $5 < \mu_r < 130\,\mathrm{GeV}$. The left plot shows the 4-loop solution for different values of $\alpha_s(M_Z)$. A 7% difference at $\mu_r = M_Z$ leads to an increased difference of 14% at $\mu_r = 5\,\mathrm{GeV}$. On the right we compare the solutions of (1.6) in 1-, 2-, 3- and 4-loop accuracy. The 1-loop result deviates from the others, but the differences between the 2-, 3- and 4-loop solutions are too small to be visible in the plot. We therefore display the ratios of the different curves in Fig. 1.4. The left plot shows the ratio of the 2-, 3- and 4-loop curves to the 1-loop solution and the right plot the corresponding ratios to the 4-loop result. While the corrections to the 1-loop result are significant at small scales (5% at $\mu_r = 5\,\mathrm{GeV}$) the higher order corrections to the 2-loop result are negligible (5 per mil at $\mu_r = 5\,\mathrm{GeV}$).

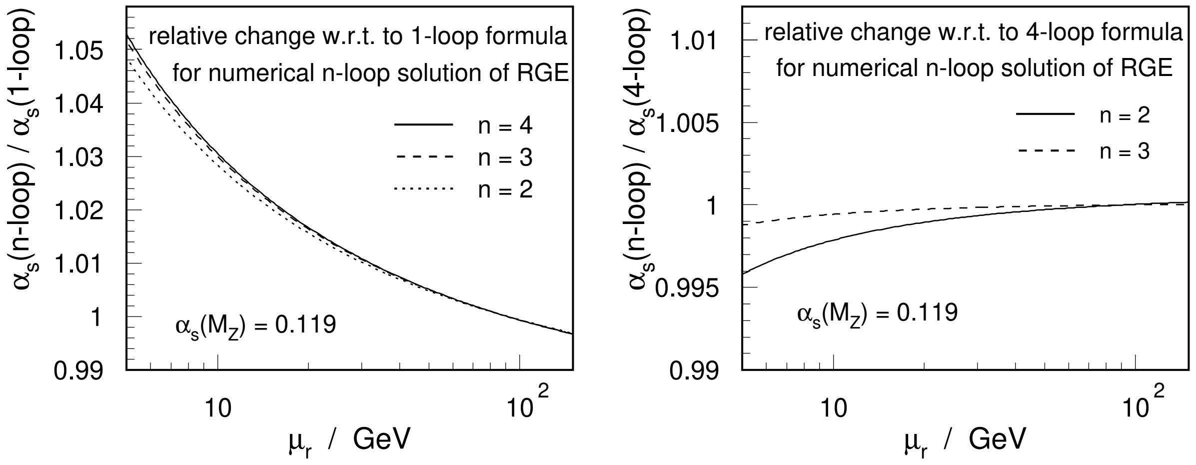

Figure 1.4: A comparison of the 1-, 2-, 3- and 4-loop solutions of the renormalization group equation for $\alpha_s(M_Z) = 0.119$. Shown are the ratios of the different results to the 1-loop result (left) and to the 4-loop result (right).

The Current World Average Value of $\alpha_s(M_Z)$

The value of $\alpha_s(M_Z)$ is a *universal* (i.e. process independent) parameter in QCD which has to be determined from experiment. The status of $\alpha_s(M_Z)$ determinations in different processes has been summarized by the Particle Data Group throughout the last decade (see Fig. 1.5). Recent reviews in [20, 23, 21, 22] have determined a world average value of

$$\begin{aligned} \alpha_s(M_Z)_{\text{world average}} &= 0.118 \pm 0.004 && \text{W.J. Stirling (1997) [20]}\,, \\ &= 0.119 \pm 0.005 && \text{S. Catani (1997) [23]}\,, \\ &= 0.119 \pm 0.002 && \text{Particle Data Group (1998) [21]}\,, \\ &= \underline{\underline{0.119 \pm 0.004}} && \text{S. Bethke (1998) [22]}\,. \end{aligned}$$

The central values and the estimated uncertainties are similar for all authors. Only the Particle Data Group obtains a significantly smaller uncertainty as a consequence of not taking into account the correlations between the theoretical uncertainties of the single values. The analysis by S. Bethke [22] contains the most recent experimental results and studies regarding the influence of the statistical methods used in the averaging procedure on the result. In this thesis we will therefore refer to this value and its uncertainty as the world average value.

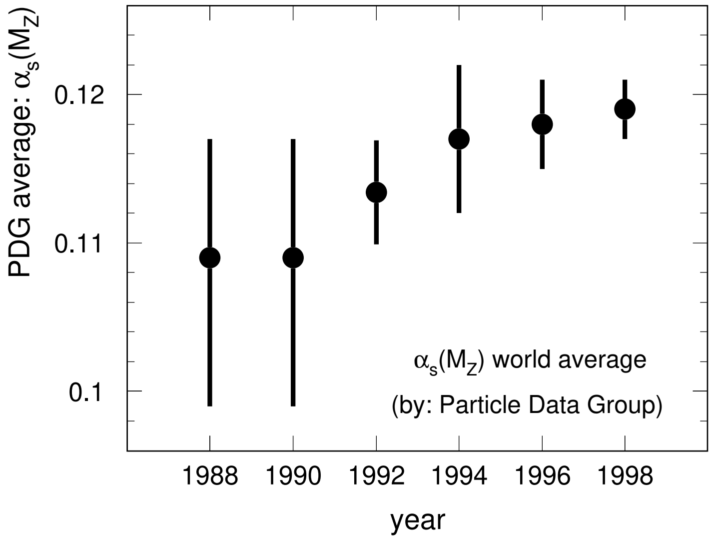

Figure 1.5: The development of the world average value of $\alpha_s(M_Z)$ over the last decade as determined by the Particle Data Group [21].

1.2 Parton Density Functions – Factorization

At short distances (corresponding to high energies) where $\alpha_s(\mu_r) \ll 1$, the interactions of single partons (i.e. quarks and gluons) can be calculated in perturbative QCD whereas at macroscopic distances partons appear only in bound states of colorless hadrons ("color confinement"). The interactions of partons in a hadron take place at long distances (i.e. low energies) where perturbation theory is no longer applicable. The momentum distributions of partons inside a hadron can therefore not be computed from first principles but have to be parameterized by so-called "parton density functions" $\tilde{f}_{a/h}(x)$ which give the probability density of finding a parton a inside the hadron h carrying a fraction x of the hadron's (longitudinal) momentum. Any cross section involving partons in the initial state is then given by the product of the partonic cross section and the parton density function, summed over all contributing partons and integrated over all values of x.

This procedure is called "factorization" of the perturbative (short-distance) and the non-perturbative (long-distance) process. The non-perturbative contributions are factorized into the parton density functions which have to be determined from experiment. The parton density functions specify a *universal* (i.e. process independent) property of the corresponding hadron. Once determined in a single process they can be used as input for perturbative calculations of any other process involving this hadron.

The scattering of a virtual photon $\gamma^\star$ and a quark q in the proton is described in lowest order by the diagram in Fig.1.6 a). The higher order corrections to this process include graphs as the one shown in Fig.1.6 b) with additional gluon emissions. The contributions from these diagrams have to be integrated over all transverse momenta $k_\perp$ of the gluons relative to the

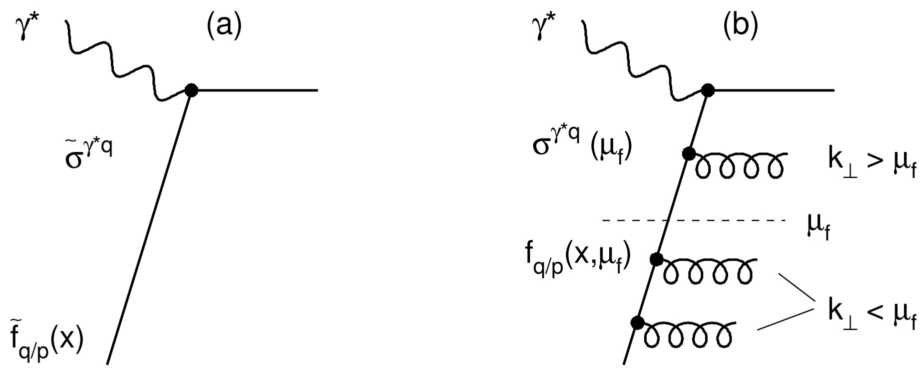

Figure 1.6: Feynman diagrams for the scattering of a virtual photon and a quark in lowest order (left) and in higher orders α_s (right). The redefinition of the quark density function absorbs all gluon emissions with relative transverse momenta $k_\perp < \mu_f$ into the quark density. This introduces a dependence on the chosen factorization scale μ_f in both, the quark density $f_{a/p}(x, \mu_f)$ and the partonic cross section $\sigma^{\gamma^* q}(\mu_f)$ of the hard scattering process.

initial quark and become divergent at $k_\perp \to 0$, i.e. for collinear gluon emissions. These divergences are not cured by renormalization.

It is, however, possible to extract the collinear divergences mentioned from the perturbative coefficients to all orders in perturbation theory as universal factors which can be absorbed into a redefinition of the parton density functions according to a given prescription, called "factorization scheme". This procedure introduces a new scale μ_f (the factorization scale) corresponding to the transverse momentum $k_\perp$ below which parton emissions are included in the (redefined) parton density functions $f_{a/h}(x, \mu_f)$.

The parton density functions are now only defined within the given scheme and depend, just like the perturbative coefficients, on the choice of μ_f. A common factorization scheme which will also be used in this thesis is again the $\overline{\mathrm{MS}}$ scheme. In analogy to the renormalization group equation (1.1) there is an equation expressing that any physical observable (when calculated to all orders in α_s) is independent of the choice of μ_f. This relation, known as the Dokshitzer-Gribov-Lipatov-Altarelli-Parisi (DGLAP) equation [24, 25], is a system of coupled differential equations describing the μ_f dependence of the parton density functions

$$\mu_f \frac{\partial}{\partial \mu_f} \begin{pmatrix} q_i(x, \mu_f) \\ g(x, \mu_f) \end{pmatrix} = \frac{\alpha_s}{2\pi} \sum_{q_j, \bar{q}_j} \int_x^1 \frac{\mathrm{d}\eta}{\eta} \begin{pmatrix} P_{q_i, q_j}\left(\frac{x}{\eta}, \alpha_s\right) & P_{q_i, g}\left(\frac{x}{\eta}, \alpha_s\right) \\ P_{g, q_j}\left(\frac{x}{\eta}, \alpha_s\right) & P_{g, g}\left(\frac{x}{\eta}, \alpha_s\right) \end{pmatrix} \begin{pmatrix} q_i(\eta, \mu_f) \\ g(\eta, \mu_f) \end{pmatrix}, \tag{1.6}$$

where g is the gluon density and q_i are the quark densities for flavor i. We have used the short-hand notation $\alpha_s \equiv \alpha_s(\mu)$. The DGLAP splitting functions (or "evolution kernels") $P_{ab}(z)$ are calculable as power series in α_s

$$P_{q_i q_j}(z, \alpha_s) \quad = \quad \delta_{ij} P_{qq}^{(0)}(z) + \frac{\alpha_s}{2\pi} P_{q_i q_j}^{(1)}(z) + \cdots ,$$

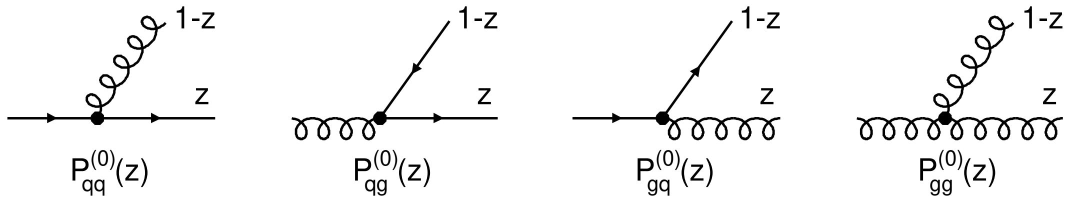

Figure 1.7: The Feynman diagrams of the leading-order splitting functions

$$
\begin{aligned}
P_{qg}(z,\alpha_s) &= P^{(0)}_{qg}(z) + \frac{\alpha_s}{2\pi} P^{(1)}_{qg}(z) + \cdots\,, \\
P_{gq}(z,\alpha_s) &= P^{(0)}_{gq}(z) + \frac{\alpha_s}{2\pi} P^{(1)}_{gq}(z) + \cdots\,, \\
P_{gg}(z,\alpha_s) &= P^{(0)}_{gg}(z) + \frac{\alpha_s}{2\pi} P^{(1)}_{gg}(z) + \cdots\,. \qquad (1.7)
\end{aligned}
$$

The diagrams corresponding to the leading order contributions $P^{(0)}_{ab}(z)$ are displayed in Fig. 1.7. These splitting functions can be interpreted as the probability densities of finding a parton a in a parton b with a longitudinal momentum fraction z of the parent parton and a transverse momentum much less than μ_f [25]. The perturbative expansion of the splitting functions has been calculated to next-to-leading order ($\mathcal{O}(\alpha_s)$) [26] (the analytical expressions are e.g. given in [10]). The DGLAP equations (1.6) are usually solved by direct numerical integration in x space [27] or analytically in moment space [28].

While the x dependence of the parton distributions is not predicted by perturbative QCD, the μ_f dependence is given by the DGLAP equations (1.6), in a similar way as the running of α_s is described by the renormalization group equation. However, the evolution of a single parton density function involves mixing with other parton flavors and therefore requires the full knowledge of *all* parton distributions over the *entire* range $0 \le x \le 1$.

The Parton Density Functions of the Proton

The best knowledge of the parton density functions of the proton is obtained in global fits to a large number of data sets which are separately sensitive to different parton flavors or to different linear combinations of parton flavors. In these fits the x dependence of the single parton distributions is parameterized by flexible functional forms (over the whole range $0 \le x \le 1$) at a "starting scale" $\mu_{f,0}$ (typically chosen in the range $1 \le \mu_{f,0} \le 2\,\text{GeV}$). These parton densities are evolved by the DGLAP equations to larger μ_f where they are used to compute the perturbative cross sections which are then compared to the data. The parameters of the functional forms are iteratively adjusted in a χ^2 minimization procedure to give an optimized description of all data sets.

The most recent results have been obtained in the fits by the CTEQ collaboration [29] and by the groups MRST [30] and GRV [31]. These results are available in the form of tables over the whole x and μ_f range along with computer code to perform the interpolations between

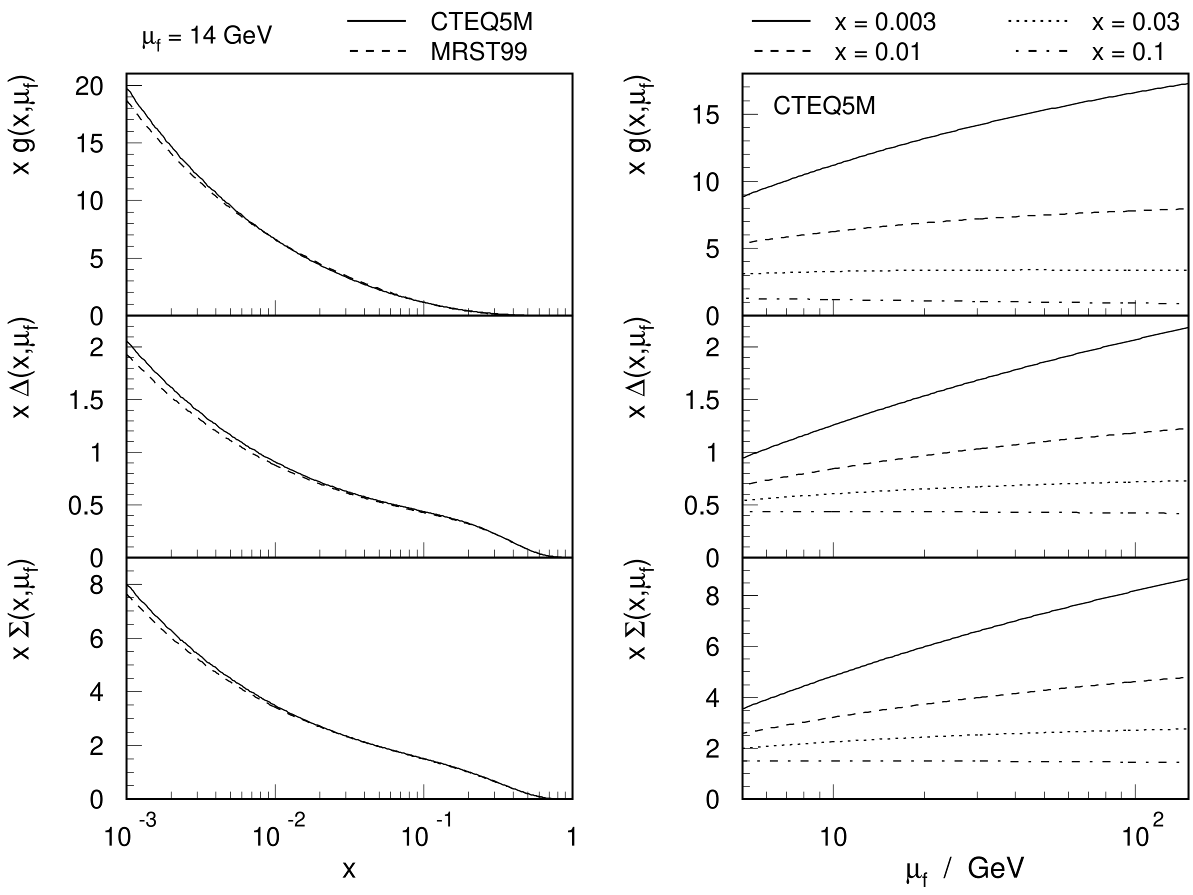

Figure 1.8: The x dependence (left) and the μ_f dependence (right) of parton density functions obtained in global fits.

the single values. The global fits give parameterizations of the world's best knowledge of the parton distributions. However, a determination of the uncertainties of these results, important to estimate the uncertainties of the theoretical predictions for other processes, is still missing.

In Fig. 1.8 parton distributions obtained from recent global fits are displayed. In addition to the gluon density $xg(x, \mu_f)$ we have plotted two linear combinations of the quark densities (a motivation for these choices will be given later in section 8.2.2) defined as

$$x\Sigma(x, \mu_f) \equiv x \sum_a \left(q_a(x, \mu_f) + \bar{q}_a(x, \mu_f)\right),$$
$$x\Delta(x, \mu_f) \equiv x \sum_a e_a^2 (q_a(x, \mu_f) + \bar{q}_a(x, \mu_f)),$$

where the sums run over all quark flavors a and e_a denotes the electrical charge of the quarks. Fig. 1.8 shows the x dependence of these parton distributions at fixed μ_f (left) and the μ_f dependence at four different x values (right).

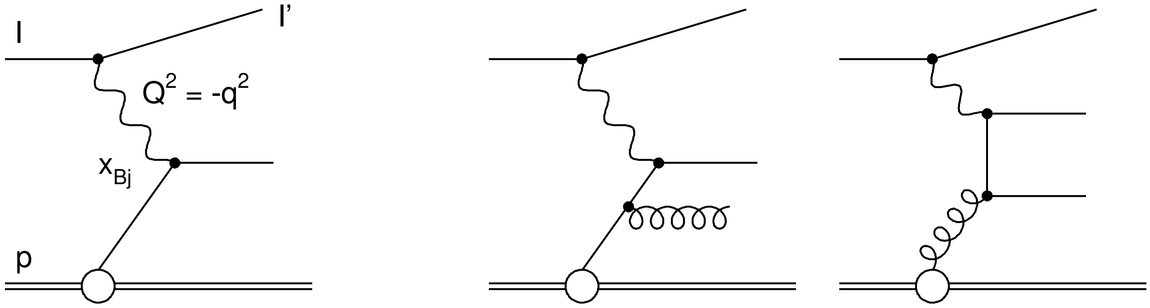

Figure 1.9: Diagrams of different processes in deep-inelastic lepton-proton scattering: The Born process (left), the QCD-Compton process (middle) and the boson-gluon fusion process (right).

1.3 Deep-Inelastic Lepton-Proton Scattering

The deep-inelastic scattering process of a charged lepton and a proton proceeds either via the exchange of a photon, Z^0 ("neutral current") or $W^\pm$ boson ("charged current"). In the following we discuss the neutral current reaction which is at lowest order described by the Feynman diagram shown in Fig. 1.9 (left) where l (l') denotes the four-momentum of the incoming (scattered) lepton and p the four-momentum of the proton. At a fixed center-of-mass energy $\sqrt{s} = \sqrt{(l+p)^2}$ the kinematics is completely given by two variables. Usually these are selected from the four-momentum transfer Q^2, the Bjorken scaling variable $x_{\rm Bj}$ and the inelasticity variable y defined as[2]

$$Q^2 \;=\; -q^2 \equiv -(l-l')^2\,, \qquad x_{\rm Bj} \;\equiv\; \frac{Q^2}{2\,p\cdot q}\,, \qquad y \;\equiv\; \frac{p\cdot q}{p\cdot l}\,. \tag{1.8}$$

The double differential cross section can be decomposed into a Born cross section and two factors which include the QED and the weak radiative corrections from higher orders

$$\frac{{\rm d}^2\sigma_{\rm NC}}{{\rm d}x_{\rm Bj}\,{\rm d}Q^2} \;=\; \left(\frac{{\rm d}^2\sigma_{\rm NC}}{{\rm d}x_{\rm Bj}\,{\rm d}Q^2}\right)_{\rm Born} \left(1+\delta_{\rm NC}^{\rm QED}(x_{\rm Bj},Q^2)\right)\,\left(1+\delta_{\rm NC}^{\rm weak}(x_{\rm Bj},Q^2)\right)\,. \tag{1.9}$$

The double differential Born cross section can be written as

$$\left(\frac{{\rm d}^2\sigma_{\rm NC}}{{\rm d}x_{\rm Bj}\,{\rm d}Q^2}\right)_{\rm Born} \;=\; \frac{2\pi\alpha^2}{x_{\rm Bj}\,Q^4}\,\phi_{\rm NC}(x_{\rm Bj},Q^2)\,, \tag{1.10}$$

where α is the electromagnetic coupling constant and $\phi_{\rm NC}$ is a linear combination of structure functions which are used to parameterize the structure of the proton

$$\phi_{\rm NC}(x_{\rm Bj},Q^2) \;=\; Y_+\tilde{F}_2(x_{\rm Bj},Q^2) \;-\; Y_-\,x_{\rm Bj}\tilde{F}_3(x_{\rm Bj},Q^2) \;-\; y^2\tilde{F}_L(x_{\rm Bj},Q^2)\,. \tag{1.11}$$

[2]In this thesis the Bjorken scaling variable $x_{\rm Bj}$ is always written with a subscript to distinguish it from the "proton momentum fraction" x which appears in the formulae for the parton density functions. While the Bjorken scaling variable is an *observable* event property, the variable x is (as described in section 1.2) only defined in a theoretical calculation within a given factorization scheme.

The helicity dependences of the electroweak interactions are contained in the functions $Y_\pm = 1 \pm (1-y)^2$. The structure function $\tilde{F}_2$ receives contributions from γ exchange, from γ/Z^0 interference and from Z^0 exchange while $\tilde{F}_3$ has only contributions from γ/Z^0 interference and Z^0 exchange. In the kinematic region $Q^2 \ll M_Z^2$ the latter contributions are, however, negligible and $\tilde{F}_2$ is reduced to the electromagnetic structure function F_2. Defining $R \equiv F_L/(F_2 - F_L)$ the neutral current cross section can be written as

$$\left(\frac{\mathrm{d}^2\sigma_{\mathrm{NC}}}{\mathrm{d}x_{\mathrm{Bj}}\,\mathrm{d}Q^2}\right)_{\mathrm{Born}} = \frac{2\pi\alpha^2}{x_{\mathrm{Bj}}\,Q^4}\left[2 - 2y + \frac{y^2}{1+R}\right] F_2(x_{\mathrm{Bj}}, Q^2)\,. \tag{1.12}$$

It is seen that the structure function $F_2(x_{\mathrm{Bj}}, Q^2)$ is not directly related to the observable cross section, but can only be extracted under an assumption for R. This initial assumption may lead to a bias in a further QCD analysis of the structure function data. To avoid this bias one can define a "reduced cross section" $\tilde{\sigma}_{\mathrm{NC}}(x_{\mathrm{Bj}}, Q^2)$ which is *directly* related to the measured cross section by

$$\tilde{\sigma}_{\mathrm{NC}}(x_{\mathrm{Bj}}, Q^2) \equiv \frac{1}{Y_+}\frac{Q^4\,x_{\mathrm{Bj}}}{2\pi\alpha^2}\left(\frac{\mathrm{d}^2\sigma_{\mathrm{NC}}}{\mathrm{d}x_{\mathrm{Bj}}\,\mathrm{d}Q^2}\right)\,. \tag{1.13}$$

In a QCD fit to the reduced cross section one can then determine the value of R and quote the corresponding value of $F_2(x_{\mathrm{Bj}}, Q^2)$. This method is used in recent measurements by the H1 collaboration [32].

The perturbative expansion for $\tilde{\sigma}_{\mathrm{NC}}(x_{\mathrm{Bj}}, Q^2)$ (and for $F_2(x_{\mathrm{Bj}}, Q^2)$) has been calculated to next-to-leading order [26]

$$\tilde{\sigma}_{\mathrm{NC}}(x_{\mathrm{Bj}}, Q^2) = \tilde{\sigma}_{\mathrm{NC}}(x_{\mathrm{Bj}}, Q^2)_{\mathrm{LO}} + \tilde{\sigma}_{\mathrm{NC}}(x_{\mathrm{Bj}}, Q^2)_{\mathrm{NLO}} + \mathcal{O}(\alpha_s^2)\,. \tag{1.14}$$

Differences between $\tilde{\sigma}_{\mathrm{NC}}(x_{\mathrm{Bj}}, Q^2)$ and $F_2(x_{\mathrm{Bj}}, Q^2)$ are due to higher order contributions while at leading order both are identical. They are related to the quark densities via

$$\tilde{\sigma}_{\mathrm{NC}}(x_{\mathrm{Bj}}, Q^2)_{\mathrm{LO}} = F_2(x_{\mathrm{Bj}}, Q^2)_{\mathrm{LO}} = x_{\mathrm{Bj}} \sum_a e_a^2 \left(q_a(x_{\mathrm{Bj}}, \mu_f^2) + \bar{q}_a(x_{\mathrm{Bj}}, \mu_f^2)\right)\,, \tag{1.15}$$

where the sum runs over all quark flavors a. For the choice $\mu_f^2 = Q^2$ one obtains in leading order the direct correspondence between the quark densities and the structure function and the reduced cross section. At next-to-leading order the reduced cross section and the structure function receive contributions from the middle and right diagram in Fig. 1.9. At this order also the gluon density starts to contribute to the cross section.

Recent H1 results [32, 33] of the structure function $F_2(x_{\mathrm{Bj}}, Q^2)$ are shown in Fig. 1.10 together with data from fixed target experiments. The H1 data alone cover a wide kinematic range of $1.5 < Q^2 < 30000\,\mathrm{GeV}^2$ and $8 \cdot 10^{-5} < x_{\mathrm{Bj}} < 0.65$. A next-to-leading order QCD fit to the combined data sets has been performed based on the DGLAP equations. The resulting parton distributions give a good description of the data over the whole kinematic range.

In the QCD analysis in part three of this thesis we will use the data from [32] as additional input for their sensitivity to the quark densities.

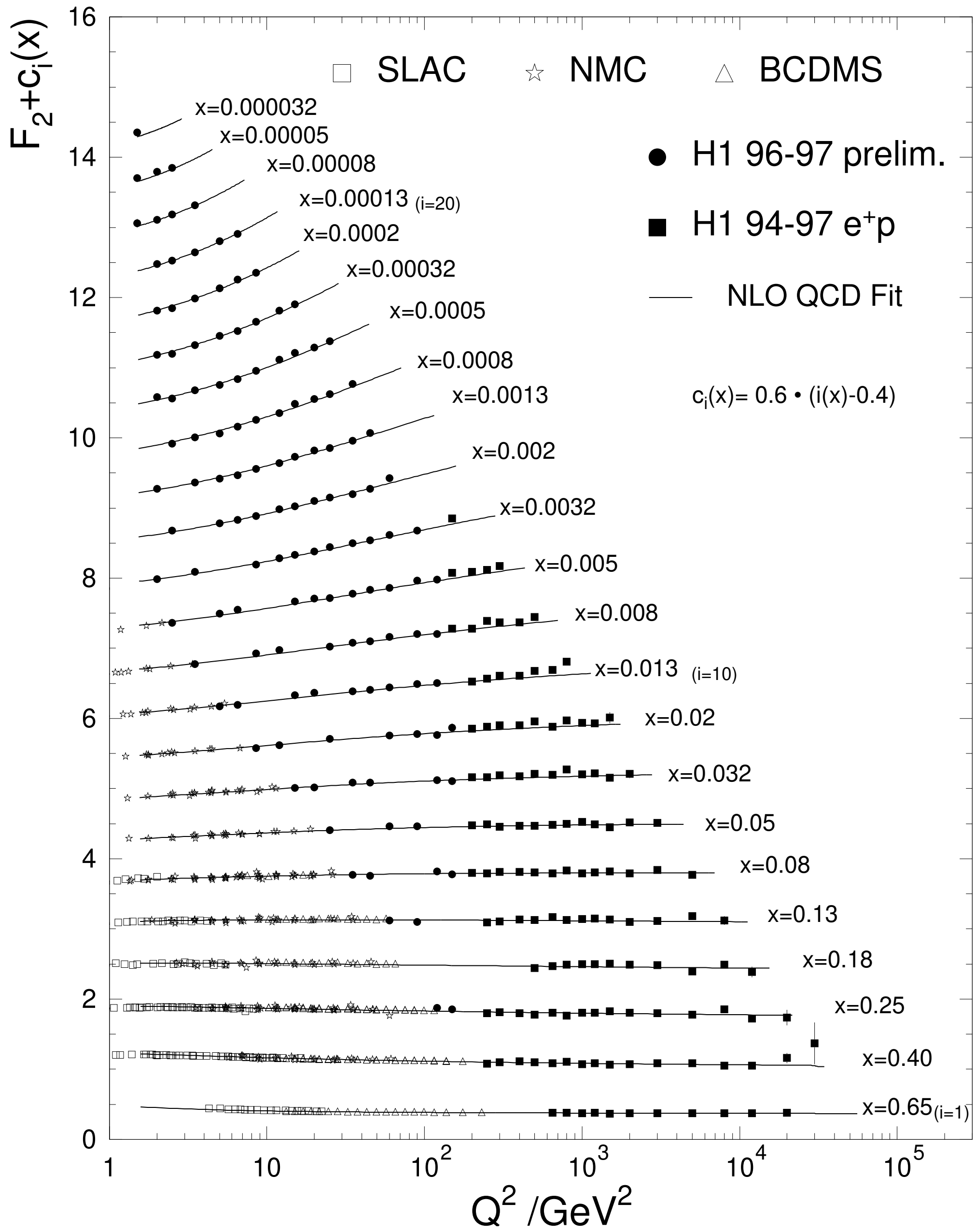

Figure 1.10: The proton structure function $F_2(x_{\mathrm{Bj}}, Q^2)$ obtained from recent measurements by the H1 collaboration along with measurements from fixed target experiments. The results from a next-to-leading order QCD fit to these data are compared to the measurements.

2

Jet Production in Deep-Inelastic Scattering

In this chapter we introduce the jet algorithms used in this analysis and give the exact definitions of all observables to be measured. We also give an overview of the theoretical models used in the QCD analysis and in the unfolding procedure of the data.

2.1 Jet Observables

In perturbative QCD cross sections for short distance processes are formulated in terms of interactions of partons (quarks and gluons), i.e. particles carrying non-zero color charge. Subsequent long distance processes, as showering and hadronization of the primary partons result in final states which consist of colorless hadrons. Due to the confinement of the color charge there can be no unique association of a collimated spray of final state hadrons (a "jet") with a single initial quark or gluon.

To be able to compare the partonic cross sections predicted by the theory with observables measured on the level of hadrons one deliberately chooses event properties which are only weakly effected by long distance processes and which have a close correspondence between partonic and hadronic final states, so-called "jet observables". The residual extent to which a jet observable is influenced by long distance processes depends on the exact definition. To be calculable order-by-order in perturbation theory, jet observables have to fulfill certain requirements.

2.1.1 General Requirements: Infrared and Collinear Safety

Cross sections in perturbative QCD become divergent for the emission of low energy particles[1] (infrared divergence) and whenever two massless partons become parallel (collinear

[1] "Particle" refers throughout this work either to an energy deposit in the detector, to a parton in a perturbative QCD calculation or to a hadron (i.e. to any particle produced in the hadronization process including soft photons and leptons from secondary hadron decays). The masses of particles are neglected. In deep-inelastic scattering the scattered lepton is excluded from the final state.

divergence). For inclusive cross sections these singularities are canceled by contributions from virtual corrections. For this cancellation to also take place in the jet cross section, it is necessary that the observable is infrared and collinear safe.

- **Infrared Safety**
  An observable is infrared safe if it is insensitive to the emission of low energy particles. This is the case if it has the same value for a n-parton configuration as for a corresponding $(n+1)$-parton configuration obtained by adding an additional parton with $E \rightarrow 0$ to the final state.

- **Collinear Safety**
  An observable is collinear safe if its value is not changed when replacing a pair of collinear particles by a single particle carrying the summed momentum.

While these requirements are absolutely necessary for an observable to be calculable in perturbation theory they also reduce the sensitivity to experimental limitations such as limited angular resolutions and trigger thresholds of calorimeter cells.

Examples of observables which are not collinear safe are the sum over all momenta squared of the final state particles or any variable which uses the properties of the most energetic particle in the event.

Observables which are not infrared safe are for instance the angle of the jet with the highest transverse energy in $\bar{p}p$ collisions or (for the reasons discussed below) in deep-inelastic scattering in the Breit frame. In leading order two jets are produced with identical transverse energies, such that the decision which of the jets end up with the highest transverse energy depends on the emission of arbitrary soft gluons.

2.1.2 Process Specific Requirements in Deep-Inelastic Scattering

In addition to the infrared and collinear safety of a jet observable further requirements are needed in processes that involve hadrons in the initial state. While in e^+e^- annihilation the total final state arises from the short distance interaction, this is not the case in processes with initial state hadrons, where a fraction of the final state particles is not related to the hard process but to soft interactions of the remaining partons in the incident hadrons (i.e. the hadron remnant).

In perturbative QCD the cross section diverges for particles produced collinear to the hadron direction. These initial state collinear singularities are not canceled by corresponding virtual corrections but are dealt with by the factorization of the singular contributions in a universal (i.e. process independent) way into the parton density functions of the hadron.

According to the factorization theorem of QCD [10] the universal factorizability of initial state divergences is guaranteed for inclusive cross sections. In order to be applicable for jet cross sections in hadron collisions and in deep-inelastic scattering the definition of the jet observable has to enable us to factorize the initial state collinear singularities into universal

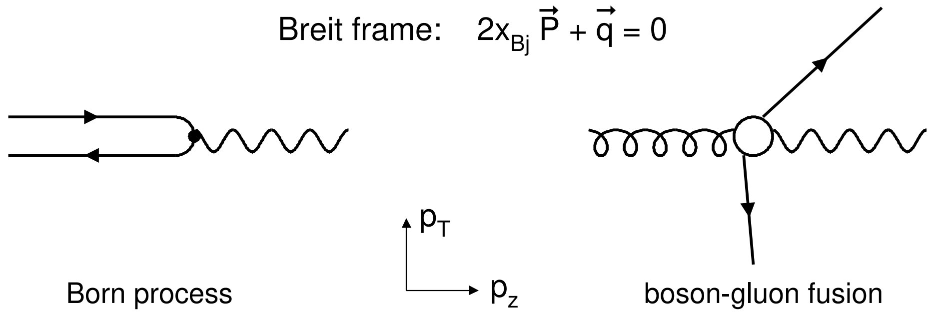

Figure 2.1: Deep-inelastic scattering in the Breit frame: in the Born process at $\mathcal{O}(\alpha_s^0)$ (left) and in boson-gluon fusion at $\mathcal{O}(\alpha_s)$ (right).

parton distributions [34, 35]. It has been discussed in [35] that in jet production in deep-inelastic scattering the factorization property is only given in a special family of reference frames, one of them being the "Breit frame".

2.1.3 The Breit Frame

The Breit frame is defined by $2x_{\mathrm{Bj}}\vec{P} + \vec{q} = 0$, where $\vec{p}$ and $\vec{q}$ are the momenta of the incoming proton and the exchanged virtual boson (photon/Z^0), respectively. The z-axis is chosen to be the direction of the incoming proton and the rotation in the x-y plane is performed such that the scattered lepton points in the positive x direction (i.e. $\phi_{e,\mathrm{Breit}} = 0°$). In the Breit frame the virtual photon (which is purely space-like with a four-momentum $q = \{0, 0, 0, -Q\}$) interacts head-on with a parton from the proton. In the Born process (Fig. 2.1, left) the incoming quark with longitudinal momentum $p_{z,\mathrm{quark}} = Q/2$ is back-scattered with momentum $p_{z,\mathrm{quark}} = -Q/2$. In processes of $\mathcal{O}(\alpha_s)$ (e.g. boson-gluon fusion in Fig. 2.1, right) two partons emerge with balanced transverse momenta[2]. In the special case when $x_p \equiv x_{\mathrm{Bj}}/x = 1/2$ the Breit frame coincides with the photon-gluon center-of-mass frame while in general both frames are related to each other by a longitudinal boost along the z axis. The transverse energies of particles and jets are therefore identical in both frames.

It follows from the definition of the Breit frame that the transverse energy of the hadronic final state does not have to balance the transverse energy of the scattered lepton (as this is the case in the laboratory frame), but directly reflects the hardness of the underlying QCD process. The Breit frame is hence very well suited to study QCD jets.

All jet observables measured in this thesis are defined in the Breit frame.

[2]By "transverse" we refer to the component perpendicular to the z-axis. The transverse energy is defined as $E_T \equiv E \sin\theta$ where θ is the polar angle. Throughout this work "transverse energy" will always refer to transverse energies in the Breit frame (unless stated otherwise).

2.2 Jet Algorithms

One sort of jet observables are the "jet shape variables" (or "event shapes") which are defined by linear sums over all momenta of the hadronic final particles. In deep-inelastic scattering the soft physics, related to the proton remnant, is usually separated by simply restricting the phase space of the analysis to the photon hemisphere of the Breit frame (i.e. including only momenta with $p_z < 0$) [36, 37, 38]. Each final state topology is assessed with a continuous number between zero and a maximum value (the latter is different for different variables) which reflects the amount of QCD radiation in an event.

A more detailed look into the properties of the hadronic final state can be obtained by using "jet algorithms" which decompose the topology of the final state into local regions of collimated energy flow, the so-called "jets". This procedure provides a flexible way to separate the proton remnant from the hadronic final state resulting from the hard process, based on the transverse momenta of particles relative to the proton direction. Properties of the jets, such as jet multiplicities, angular distributions and distributions of the invariant mass of the multi-jet system can then be used to study various aspects of the dynamics of the underlying short distance process.

There is, however, no unique procedure to define jets. Any jet cross section, as well as the properties of the jets will always depend on the exact definition. Different jet definitions are in different ways sensitive to low-energy particles and therefore differently affected by higher order corrections and by hadronization corrections. In this section we give a detailed description of the jet algorithms used in the present analysis and compare their basic features.

2.2.1 Classifications of Jet Definitions

A large variety of jet definitions has been proposed in the last decades (see e.g. [39] and references therein). The different jet definitions can be classified according to the following criteria.

Jet Clustering Algorithms and Other Definitions

"Jet clustering algorithms" define jets by successive recombinations of pairs of particles in an iterative procedure (the ARCLUS algorithm [40] iteratively recombines three particles into two). Other approaches are used in cone algorithms which define jets by maximizing the transverse energy flow through a cone of fixed size [41, 42] or by the DECO procedure [43] where the event is decomposed by a topological function which is calculated from all particles simultaneously.

It has been shown [44, 45] that cone jet definitions suffer from several ambiguities (related to the assignment of particles to jets) which introduce uncertainties when comparing the predictions of perturbative calculations to measured jet cross sections. We will therefore only use clustering algorithms which allow an unambiguous assignment of particles to jets.

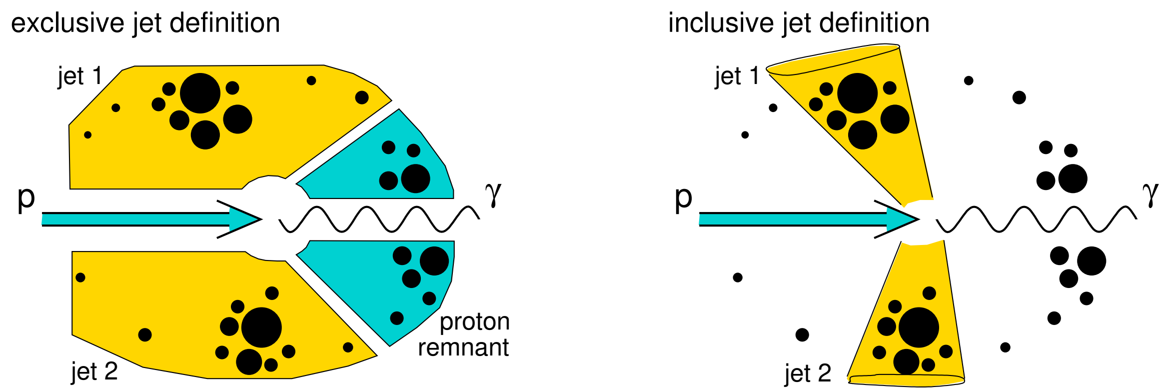

Figure 2.2: An example of how the final state particles in a deep-inelastic scattering event in the Breit frame are combined into jets by an exclusive jet definition (left) and by an inclusive jet definition (right).

The Order of the Clustering Steps

For jet clustering algorithms one has to specify the *order* in which particles are recombined into jets. The oldest clustering scheme, the JADE algorithm [46, 47] uses the invariant mass as the ordering variable. This introduces, however, a strong attractive kinematic correlation between soft particles leading to a non-intuitive assignment of particles to jets and producing many soft and wide-angle jets [48].

It has been proposed [49, 50, 51] that the relative transverse momenta $k_\perp$ or the angles between particles are better suited as ordering variables. In this analysis we will use both $k_\perp$ and angular ordered jet algorithms.

Inclusive and Exclusive Jet Definitions

The way in which the event is decomposed into jets and (depending on the process) the remnant(s) of the beam hadron(s) is very characteristic for the various jet definitions. In e^+e^- annihilation, where the entire final state emerges from the hard process, one typically uses *exclusive* jet definitions which cluster every final state particle into one of the hard jets. The final state consists of a specific number of hard jets and nothing else. In hadron collisions the final state contains also energy flow associated with the remnants of the beam hadrons. In typical jet definitions used in this process only a fraction of the final state particles is therefore included into the hard jets. The final state of an event contains some number of hard jets with specified properties plus any number of particles not included in jets. We will call these jet definitions “inclusive”.

The exclusive jet definitions can be extended to processes involving initial state hadrons by explicitly introducing beam remnant jets to which particles can be clustered [47, 50]. In Fig. 2.2 an example is shown of how the final state of a deep-inelastic scattering event in the

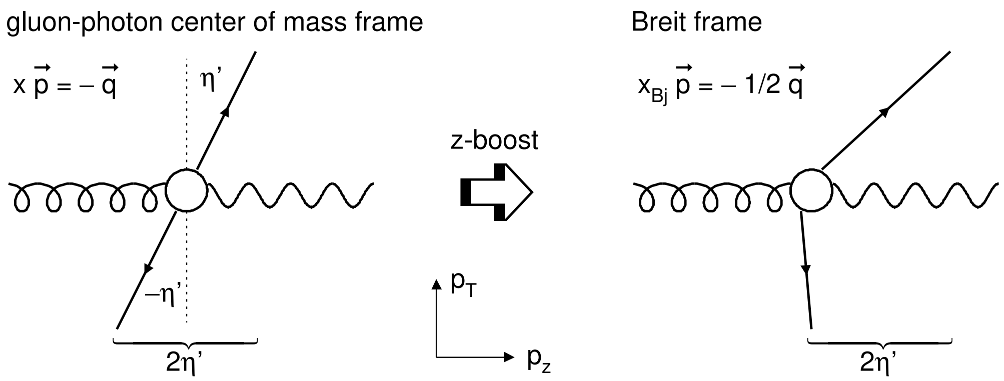

Figure 2.3: A photon-gluon fusion event in deep-inelastic scattering in the center-of-mass frame (left) and in the Breit frame (right). Both frames are related to each other by a longitudinal boost along the z direction. Since differences in the pseudorapidity are invariant under longitudinal boosts the pseudorapidity of the jets in the center of mass frame can be reconstructed from the difference of the pseudorapidities in the Breit frame.

Breit frame is decomposed by an exclusive (left) and by an inclusive jet definition (right)

$$\begin{array}{lrcl} \text{exclusive jet definition:} & e\,p & \rightarrow & e + n\,\text{hard jets} + \text{beam remnant}\ (+\,\text{nothing})\,, \\ \text{inclusive jet definition:} & e\,p & \rightarrow & e + n\,\text{hard jets} + \text{anything}\,. \end{array}$$

Symmetries and Variables Defining the Distance Measure

The choice of variables used to define the distance measure in the clustering procedure is influenced by the symmetries present in the reaction. In e^+e^- annihilation the laboratory frame (where the jet finding is usually performed) coincides with the center-of-mass frame of the hard process. Emphasizing the rotational invariance the distance measure is usually defined in terms of energies E, polar angles θ and azimuthal angles ϕ of particles.

The laboratory frame in $\bar{p}p$ collisions and the Breit frame in deep-inelastic scattering have the common property that the center-of-mass frame is typically boosted along the z direction (see Fig. 2.3). Therefore one prefers to use variables which are invariant under longitudinal boosts such as the transverse energy $E_T \equiv E \sin\theta$, the pseudorapidity[3] $\eta \equiv -\ln(\tan(\theta/2))$ and the azimuthal angle ϕ.

Recombination Schemes

Whenever a pair of particles is merged during the clustering procedure into one four-vector this is done according to a given "recombination scheme" which specifies how the new vector

[3] The pseudorapidity can also be defined by $\eta \equiv \frac{1}{2} \ln \frac{p+p_z}{p-p_z}$. For massless particles pseudorapidity differences are invariant under longitudinal boosts. For massive particles this is only the case for differences in the (true) rapidity defined by $y \equiv \frac{1}{2} \ln \frac{E+p_z}{E-p_z}$.

is calculated. Different schemes have been proposed in the literature [52, 50]. They differ by the properties of the four-vectors in the intermediate clustering steps and also in the properties of the final jets. In our analysis we will use recombination schemes which are formulated in the variables that are also used to evaluate the respective distance measure.

For the exclusive jet definitions (which perform the clustering based on energies and angles) we are using the "E-scheme" in which particles are merged by adding their four-vectors

$$E\text{-scheme:} \qquad \mathbf{p}' \;=\; \mathbf{p}_1 + \mathbf{p}_2 \,. \tag{2.1}$$

In this procedure the merged particles and the resulting jets are massive.

The inclusive jet definitions in our analysis are using a distance measure which, being based on transverse energies E_T and differences in the pseudorapidities $\Delta\eta$ and azimuthal angles $\Delta\phi$, is invariant under longitudinal boosts. To maintain this property during the whole clustering procedure the merged particles and the final jets have to be defined to be massless (otherwise we would have to use differences in the true rapidity Δy instead of $\Delta\eta$). We therefore use the E_T-recombination scheme in which the transverse energy of the combined four-vector is given by the (scalar) sum of the transverse particle energies. The direction of the (massless) four-vector is calculated from the E_T weighted averages of the particle variables η and ϕ

$$\begin{aligned} E_T\text{-scheme:} \qquad E'_T \;&=\; E_{T,1} + E_{T,2}\,, \\ \eta' \;&=\; \frac{E_{T,1}\,\eta_1 \;+\; E_{T,2}\,\eta_2}{E_{T,1} + E_{T,2}}\,, \qquad \phi' = \frac{E_{T,1}\,\phi_1 \;+\; E_{T,2}\,\phi_2}{E_{T,1} + E_{T,2}}\,. \end{aligned} \tag{2.2}$$

The resulting jets are massless.

2.2.2 Exclusive Jet Definitions

The exclusive $k_\perp$ Algorithm for DIS

The (exclusive) $k_\perp$ algorithm for DIS has been proposed in [50] as a modification of the Durham algorithm (invented for e^+e^- annihilation, see e.g. [49]) to account for the proton remnant. In this definition the proton remnant is implicitly considered as a particle of infinite momentum. Unlike in the definition of the modified JADE algorithm for DIS [47] it does, however, not appear explicitly in the clustering procedure as an additional particle. The clustering procedure is defined by a reference scale S and a resolution parameter $y_{\rm cut}$ which specify at which relative $k_\perp^2 = y_{\rm cut} S^2$ the final jets are separated from each other and from the proton remnant. The relative $k_{\perp ij}^2$ between two particles i, j is here defined as

$$k_{\perp ij}^2 \equiv 2\min(E_i^2, E_j^2)\,(1 - \cos\theta_{ij})\,. \tag{2.3}$$

At small θ_{ij} the $k_{\perp ij}^2$ such defined is an approximation of the relative transverse momentum squared of the lower energetic particle with respect to the higher energetic one, but has the advantage of being monotone with θ_{ij}, while the relative transverse momentum becomes smaller again for $\theta_{ij} > 90°$.

The clustering procedure starts with a list of all particles.

1. We compute the distance y_{ip} of every final state particle i to the proton remnant and the relative distance y_{ij} of every pair of particles i, j

$$y_{ip} = 2\,\frac{E_i^2}{S^2}\,(1 - \cos\theta_{ip})\,, \qquad y_{ij} = 2\,\frac{\min(E_i^2, E_j^2)}{S^2}\,(1 - \cos\theta_{ij})\,, \tag{2.4}$$

   where θ_{ip} is the angle between the i-th particle and the $+z$ direction and θ_{ij} is the angle between the particles i and j.

2. The smallest value of all $\{y_{ip}, y_{ij}\}$ is labeled $y_{\min}$.

   - If $y_{\min}$ belongs to the set $\{y_{ip}\}$ and $y_{\min} < y_{\text{cut}}$ the particle i is considered to be part of the proton remnant and removed from the list of particles.
   - If $y_{\min}$ belongs to the set $\{y_{ij}\}$ and $y_{\min} < y_{\text{cut}}$ the particles i and j are recombined in the E-scheme.

3. The procedure is repeated until $y_{\min} > y_{\text{cut}}$. The remaining particles are the hard jets which are considered in the analysis.

The Angular Ordered Cambridge Algorithm

The Cambridge algorithm for e^+e^- annihilation has been proposed in [51] as a modification of the Durham algorithm in that now the clustering is performed in the order of smallest angles θ_{ij} between particles. We have extended this definition to consider the proton remnant in deep-inelastic scattering according to the prescription in the exclusive $k_\perp$ algorithm. A brief description has already been given in [53].

In the exclusive $k_\perp$ algorithm the variables y_{ij} and y_{ip} act both as ordering variables (step 1) and "test variables" which define the end of the clustering procedure (steps 2 and 3). In the Cambridge algorithm these functions are separated. While the y_{ij} and y_{ip} (as defined before) are still used as test variables, the ordering variables are chosen to be v_{ij} and v_{ip} which are defined in terms of angles only (see below).

The clustering procedure starts with a list of all particles and an empty list of jets.

1. We compute the distance v_{ip} of every final state particle i to the proton remnant as well as the relative distance v_{ij} of every pair of particles i, j

$$v_{ip} = 2\,(1 - \cos\theta_{ip})\,, \qquad v_{ij} = 2\,(1 - \cos\theta_{ij})\,. \tag{2.5}$$

2. The smallest value of all $\{v_{ip}, v_{ij}\}$ is labeled $v_{\min}$.

- If $v_{\min}$ belongs to the set $\{v_{ip}\}$ and the corresponding value y_{ip} (as defined in (2.4)) fulfills $y_{ip} < y_{\text{cut}}$ the particle i is considered to be part of the proton remnant and removed from the list of particles.
- If $v_{\min}$ belongs to the set $\{v_{ij}\}$ and the corresponding value y_{ij} (as defined in (2.4)) fulfills $y_{ij} < y_{\text{cut}}$ the particles i and j are recombined in the E-scheme.

3. If in any of the two cases above $y_{ij} > y_{\text{cut}}$ or $y_{ip} > y_{\text{cut}}$ the corresponding merge is not carried out but the lower energetic particle of i and j (or particle i if $v_{\min}$ was from the set $\{v_{ip}\}$) is put into the list of jets and removed from the list of particles. This step of singling out the lower energetic particle is called "soft freezing" [51].

4. This procedure is repeated until only a single particle is left which is then also included in the list of jets.

Both exclusive jet definitions require two parameters, the reference scale S and the resolution parameter y_{cut}. When the clustering procedures are finished the hard jets are separated from each other and from the proton remnant by relative transverse momenta $k_\perp^2 \geq y_{\text{cut}} S^2$. No further "hardness cuts" need to be applied.

2.2.3 Inclusive Jet Definitions

The inclusive $k_\perp$ Algorithm

The inclusive $k_\perp$ algorithm has been proposed in [54, 34]. The clustering procedure starts with a list of all particles and an empty list of jets.

1. For each particle i as well as for each pair of particles i, j the distances d_i and d_{ij} are calculated

$$d_i = E_{T,i}^2 \quad \text{and} \quad d_{ij} = \min(E_{T,i}^2, E_{T,j}^2)\,\frac{R_{ij}^2}{R_0^2} \quad \text{with} \quad R_{ij}^2 = (\Delta\eta_{ij})^2 + (\Delta\phi_{ij})^2\,, \tag{2.6}$$

   where R_0 is a parameter which is always set to $R_0 = 1$ in this analysis (as recommended in [54, 34]).

2. The smallest value of all d_i and d_{ij} is labeled $d_{\min}$.

3. If $d_{\min}$ belongs to the set $\{d_{ij}\}$, the particles i and j are merged into a new particle using the E_T recombination scheme.

4. If $d_{\min}$ belongs to the set $\{d_i\}$, the particle i is removed from the list of particles and added to the list of jets.

5. The procedure is finished when no particles are left (i.e. all particles are included in jets).

The last jets that entered the list are the ones with highest transverse energies. These jets are considered in the analysis.

The Angular Ordered Aachen Algorithm

The Aachen algorithm is a new jet definition, invented for the present work (a brief description has already been given in a previous publication [53]). In analogy to the modification from the exclusive $k_\perp$ algorithm to the Cambridge algorithm, we have modified the inclusive $k_\perp$ algorithm to obtain an inclusive algorithm with angular ordering.

The clustering procedure starts with a list of all particles.

1. Find the pair of particles i, j for which the distance d_{ij} is smallest
$$d_{ij} = \frac{R_{ij}^2}{R_0^2} = \frac{(\Delta\eta_{ij})^2 + (\Delta\phi_{ij})^2}{R_0^2}\,. \tag{2.7}$$
2. If $d_{ij} < 1$ the particles i and j are merged into a new particle using the E_T recombination scheme. As for the inclusive $k_\perp$ algorithm we set $R_0 = 1$.
3. The procedure is finished when all distances between pairs of particles are $d_{ij} > 1$. The remaining particles are sorted in the order of their transverse energies. The particles with the largest transverse energies are the jets which are considered in the analysis.

In inclusive jet and dijet production in the Breit frame this definition is identical to the inclusive $k_\perp$ algorithm for perturbative calculations at NLO.

While for the exclusive jet definitions the parameters S and $y_{\rm cut}$ define the resolution by which jets are resolved, the clustering procedure for both inclusive jet definitions is independent of an external resolution scale. In the inclusive jet definitions particles with $R_{ij} < R_0$ are subsequently merged, so that all final jets are separated by distances $R_{ij} > R_0$. It is still possible that particles inside a jet have a distance $R_{ij} > R_0$ to the jet axis and that particles with $R_{ij} < R_0$ are not part of the jet.

The inclusive jet definitions provide a list of many jets, from which, however, only those of highest E_T are of physical interest. To measure the n-jet cross section one would use the n jets of largest E_T. Additional hardness cuts can be applied for example on the transverse energies of the single jets or on properties of the n-jet system.

2.3 Jet Cross Sections in QCD

The predictions of perturbative QCD for jet production in deep-inelastic scattering have been calculated in various approximations. Phenomenological models have been constructed to simulate non-perturbative (hadronization) processes. Here we introduce the calculations and models used in this analysis.

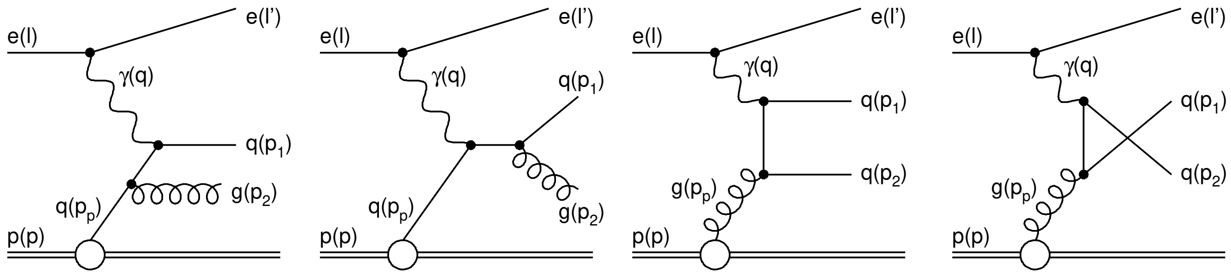

Figure 2.4: The leading order diagrams for jet production of high E_T (in the Breit frame) in deep-inelastic scattering.

2.3.1 Leading Order Matrix Elements

The main observables investigated in this analysis are the inclusive jet and the dijet cross sections in the Breit frame. The leading order contributions to these processes are represented by the diagrams displayed in Fig. 2.4. These diagrams which are of order $\mathcal{O}(\alpha_s)$ describe (from left to right) the QCD-Compton process with initial and final state gluon radiation and the boson-gluon fusion process. An important qualitative difference between the jet cross section and the inclusive cross section (i.e. the structure function) is that the former are *directly* (i.e. already at leading order) sensitive to the gluon density in the proton. In most phase space regions the jet cross section is dominated by boson-gluon fusion.

At leading order there is a one-to-one correspondence between partons and jets. The leading order jet cross section does therefore not depend on details of the jet definition (as the radius parameter R_0 for the inclusive jet definitions introduced in section 2.2.3). Furthermore the predictions are subject to the ambiguities in the choice of the renormalization and factorization scales. Hence we can not expect this calculation to make reliable quantitative predictions for jet cross sections. However, if the perturbative expansion is well behaved, we can expect the leading order calculation to predict the order of magnitude of a given cross section and the rough features of an observable.

In addition to the kinematic variables x_{Bj} and Q^2 as introduced in section 1.3 we need three further variables to describe the leading order jet cross section. These are usually chosen to be z, x_p and ϕ (see e.g. [55]). The variable ϕ denotes the angle between the plane given by the incoming and the scattered lepton and the plane given by the incoming parton and the jets in the photon-parton center-of-mass frame (see Fig. 2.5). The other variables are defined as

$$z \equiv \frac{p_p \cdot p_1}{p_p \cdot q} \quad (0 \leq z \leq 1)\,, \qquad x_p \equiv \frac{Q^2}{2p_p \cdot q} \quad (x_{\mathrm{Bj}} \leq x_p \leq 1)\,, \tag{2.8}$$

where the particle momenta are labeled according to Fig. 2.4. In these variables the singularity structure of the QCD-Compton and the boson-gluon fusion process is exhibited

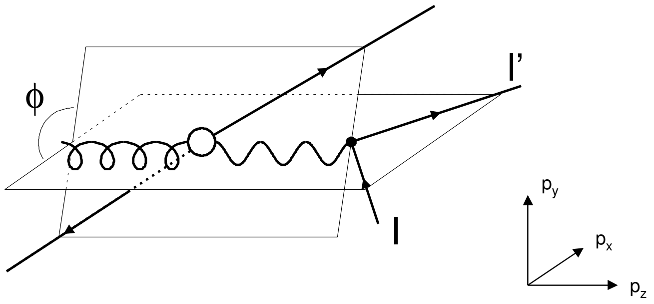

Figure 2.5: The variable ϕ denotes the angle between the plane given by the incoming and the scattered lepton and the plane given by the incoming parton and the jets in the photon-parton center-of-mass frame.

by [55]

$$\mathrm{d}\sigma_{\mathrm{jet}}^{\mathrm{QCDC}} \propto \frac{4\left[(p_p q - p_1 p_2)^2 (p_p p_1)^2 + (p_p q)^4\right]}{2 p_p p_2 \, 2 p_1 p_2 (p_p q)^2} = \frac{1 + x_p^2 z^2}{(1-z)(1-x_p)}, \tag{2.9}$$

$$\mathrm{d}\sigma_{\mathrm{jet}}^{\mathrm{BGF}} \propto \frac{4\left[(p_p p_1)^2 + (p_p p_2)^2\right]\left[(p_p q - p_1 p_2)^2 + (p_1 p_2)^2\right]}{2 p_p p_1 \, 2 p_p p_2 (p_p q)^2} = \frac{\left[z^2 + (1-z)^2\right]\left[x_p^2 + (1-x_p)^2\right]}{z(1-z)}. \tag{2.10}$$

The matrix elements of both processes diverge for the following kinematic configurations

QCD-Compton			boson-gluon fusion		
p_2 collinear to p_p	$\Rightarrow$	$z \to 1$,	p_1 collinear to p_p	$\Rightarrow$	$z \to 0$,
p_2 collinear to p_1	$\Rightarrow$	$x_p \to 1$,	p_2 collinear to p_p	$\Rightarrow$	$z \to 1$,
p_2 soft	$\Rightarrow$	$z,\, x_p \to 1$,	p_1 soft	$\Rightarrow$	$z \to 0$,
			p_2 soft	$\Rightarrow$	$z \to 1$.

Now we express the variables z and x_p in terms of the dijet variables E_T and η' and demonstrate to which regions of the jet phase space these configurations belong. While the variables E_T and η' are defined in the Breit frame they are both invariant under longitudinal boosts and therefore identical to the corresponding variables in the center-of-mass (CM) frame (see Fig. 2.3)

$$\begin{aligned} \eta' &\equiv \frac{1}{2}\left|\eta_{1,\mathrm{Breit}} - \eta_{2,\mathrm{Breit}}\right| = \frac{1}{2}\left|\eta_{1,\mathrm{CM}} - \eta_{2,\mathrm{CM}}\right| = \left|\eta_{1,\mathrm{CM}}\right| = \left|\eta_{2,\mathrm{CM}}\right|, \\ E_T &\equiv E_{T,\mathrm{jet,Breit}} = E_{T,\mathrm{jet,CM}}. \end{aligned} \tag{2.11}$$

Using these variables we can disentangle the angular dependence (η') and the dependence on the hardness scale (E_T) of the matrix elements. We introduce the center-of-mass energy $\hat{s} \equiv (p_p + q)^2$ of the photon-parton system and obtain from (2.8)

$$\frac{Q^2}{\hat{s}} = \frac{x_p}{1-x_p} \qquad \text{and} \qquad \frac{E_T^2}{\hat{s}} = z(1-z). \tag{2.12}$$

Using the relation $\hat{s} = 4E_T^2 \cosh^2(\eta')$ it follows that

$$\frac{E_T^2}{Q^2} = \frac{1-x_p}{x_p}\, z(1-z)\,, \qquad 4\cosh^2(\eta') = \frac{1}{z(1-z)}\,. \tag{2.13}$$

Comparing (2.13) to (2.9) and (2.10) one sees that all divergences are either in the region of vanishing transverse jet energies $E_T \to 0$ or infinitely large pseudorapidities $\eta' \to \infty$. The requirement $E_T > E_{T,\text{min}} > 0$ alone is sufficient to remove all divergences from both contributions. If we apply a hard cut on the transverse jet energy it is therefore not necessary to make further angular jet cuts. This allows to investigate the inclusive jet cross section at large E_T where only properties of single jets are measured, regardless of the properties of the other jet(s) in the event.

The momentum fraction x of the parton emerging from the parton density function of the proton is related to the center-of-mass energy by $x = x_{\text{Bj}}(1 + \hat{s}/Q^2)$. A special property of the (simplified) leading-order picture in which the final state contains no further partons apart from the ones that are identified as jets, is that the center-of-mass energy of the partonic subprocess is identical with the invariant mass of the dijet system $\hat{s} = M_{jj}^2$. The fractional parton momentum x is therefore identical to the observable ξ which we define as $\xi \equiv x_{\text{Bj}}(1 + M_{jj}^2/Q^2)$. In this approximation one can directly conclude from the dijet cross section measured differentially in ξ to the parton densities in the proton $f_{a/p}(x = \xi)$.

At higher orders in the perturbative expansion the final state may contain further partons which are not contained in the jets. In general the dijet mass can be lower than the center-of-mass energy such that the observable ξ gives only an approximate representation of the parton momentum fraction ($M_{jj}^2 \leq \hat{s} \Rightarrow \xi \leq x$). This reflects that (as described in section 1.2) the fractional parton momentum x is not an observable quantity. The value of x specifies only the (arbitrary) point within the theoretical calculation below which parton emissions are calculated via the (process specific) matrix elements and above which these are considered to be part of the proton's (universal) parton density functions.

Beyond the leading order approximation there is no longer any linear relation between the dijet cross section in a specific ξ range and the parton densities in the corresponding x range. Instead the variable ξ serves only as a lower bound of the integral over all momentum fractions x in the convolution of the matrix element and the parton density functions. The x-dependence of the parton density functions can only be extracted from the differential cross section through an unfolding procedure (as a fit).

2.3.2 Next-to-Leading Order Corrections

In the leading order approximation perturbative QCD can explain the appearance of specific event topologies. In order to make reliable quantitative predictions the perturbative calculations have to be performed (at least) in next-to-leading order (NLO). In inclusive jet and dijet production in DIS such calculations include diagrams as the ones shown in Fig. 2.6.

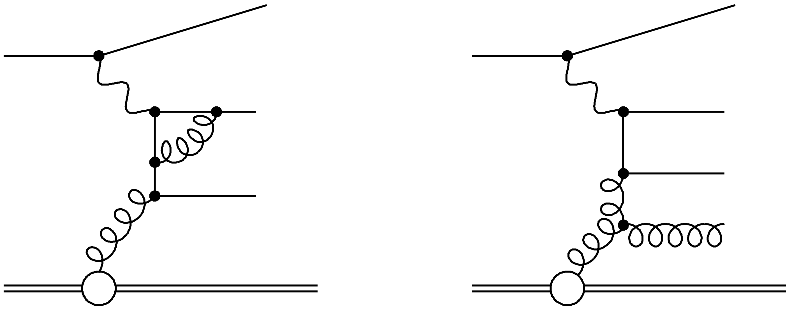

Figure 2.6: Contributions to the next-to-leading order corrections from virtual (left) and real diagrams (right) to the inclusive jet and the dijet cross section in the Breit frame. The diagram on the right contributes also to the leading order cross section in three-jet production.

Next-to-leading order calculations have two essential features. The real corrections (Fig. 2.6, right) are a first step in the modeling of the internal structure of jets, introducing a dependence of the jet cross section on the exact definition. The contributions from the virtual corrections (Fig. 2.6, left) have the effect of introducing a dependence of the perturbative coefficient functions on the renormalization scale which cancels part of the scale dependence of α_s. In the same way contributions from collinear initial state radiation introduce a dependence of the coefficients on the factorization scale which cancels part of the scale dependence of the parton distributions. The NLO corrections can substantially reduce the scale dependence and thereby allow reliable predictions for cross sections and a determination α_s and the parton density functions.

The realization of a NLO calculation for jet cross sections involves several complications related to the cancellation of the divergences from real and virtual contributions. Since the phase space integrals are too difficult to allow analytical calculations, numerical methods have to be used. However, before numerical methods are directly applicable the singular parts of the phase space have to be treated analytically. Two methods have been proposed for this purpose and four different computer programs are available for NLO calculations of jet cross sections in deep-inelastic scattering.

The Phase Space Slicing Method

The phase space slicing method [56] introduces a cut-off parameter (e.g. on the invariant mass of a two-parton system) below which soft and collinear radiation is considered to be unresolvable. In this phase space region soft and collinear approximations are applied. The contribution is integrated over analytically and added to the contributions from virtual corrections, yielding a finite result. The integration over the resolved region can safely be performed using Monte Carlo integration. In this approach it has to be checked that the cut-off parameter is chosen small enough for the soft and collinear approximations to be valid. Only in this case does the calculation become stable with respect to a variation of the cut-off. The two programs MEPJET [57] and JETVIP [58] are based on this technique.

The Subtraction Method

In the subtraction method [59] a local counterterm is computed which exactly matches the singular behavior of the real and of the virtual corrections. Adding and subtracting this term respectively from both singular parts yields finite results for both, allowing the Monte Carlo integration to be performed over the whole phase space. This approach is followed in the programs DISENT [60] and DISASTER++ [61].

We have performed a detailed comparison of the four programs in [62] with a statistical precision of better than 0.5%. All programs are in perfect agreement for leading order calculations. For NLO calculations the programs DISENT and DISASTER++ are also seen to be in good agreement with each other. The MEPJET program is typically 5% lower than the other programs. The JETVIP results are found to be unstable with respect to variations of the cut-off parameter and the program tends to underestimate statistical errors. Although a better agreement between the four programs is desirable, we take the agreement between DISENT and DISASTER++ (both using different subtraction terms) as an indication that these programs represent valid implementations of the NLO matrix elements.

In this analysis all NLO calculations are performed using the program DISENT (which is significantly faster than DISASTER++). The unique features of MEPJET are used to perform leading order calculations including quark mass effects in dijet production and to compute the three- and four-jet cross sections in leading order.

2.3.3 Parton Cascades

Perturbative fixed order calculations (beyond leading order) can give reliable quantitative predictions for observables for which multiple emission effects and non-perturbative contributions are small. They fail, however, to predict details of the structure of multi-particle final states as observed in the experiment. A complementary approach to describe these properties of the hadronic final state is used in "parton cascade models". Starting from the leading order matrix elements of a process subsequent parton emissions are calculated based on soft and collinear approximations. These parton cascade models are included in event generators together with models of the hadronization process.

Parton Showers

In the collinear limit the cross section for multiple emissions factorizes and can be described as a probabilistic series of parton splittings. The parton shower is divided into the time-like final state shower and the space-like initial state shower. The final state shower arises from the outgoing partons produced by fixed order, tree-level matrix elements. The initial state parton shower uses a backwards evolution [63], starting from the hard interaction and evolving downwards in scale back towards the incoming hadron, taking into account the parton density functions. Further emissions from the partons produced by initial-state radiation are then calculated using the final-state shower.

The implementation of the parton shower in the program HERWIG [64] uses evolution variables which naturally restrict the branching phase space to an angular ordered region, thus automatically including coherence effects. In the virtuality-ordered parton shower by LEPTO [65] these coherence effects are included by disallowing angular disordered emissions. In both programs HERWIG and LEPTO the parton shower is matched to to the $\mathcal{O}(\alpha_s)$ matrix elements.

Dipole Cascades

An alternative approximation of higher order emissions is the color dipole model (CDM) [66] which is implemented in the program ARIADNE [67]. In the CDM gluon emissions are described as radiations from the color dipole between pairs of partons. Since this procedure only produces further gluons the process $g \to q\bar{q}$ is added to the model. For deep-inelastic scattering the probability of the first emission is corrected to reproduce the matrix elements of $\mathcal{O}(\alpha_s)$ [68].

2.3.4 Hadronization Models

In the parton cascade models described above the higher order emissions are restricted to parton virtualities above a cut-off Q_0 which is typically chosen to be 1 GeV. At this point the perturbative evolution is stopped. The non-perturbative phase is described by a phenomenological hadronization model which performs the conversion of the final state partons into hadrons locally in phase space. Due to the universal cut-off of the parton cascade the hadronization procedure is independent of the hard process. The most successful hadronization models are the "cluster model" [69] (implemented in HERWIG) and the Lund "string fragmentation model" [70] (implemented in JETSET [71] and used by LEPTO and ARIADNE).

Cluster Fragmentation

In the first step of the cluster fragmentation model all outgoing gluons are split non-perturbatively into light (u and d) quark-antiquark pairs. Neighboring (color connected) $q\bar{q}$-pairs are then combined to form color-singlet "clusters" (see Fig. 2.7 (a)). Clusters which are too light to decay into two hadrons, are taken to represent the lightest single hadron of its flavor. Those clusters whose mass is above some limit are broken into sub-clusters, taking into account the available phase space and spin conservation. The resulting clusters are identified with hadrons according to their flavor content.

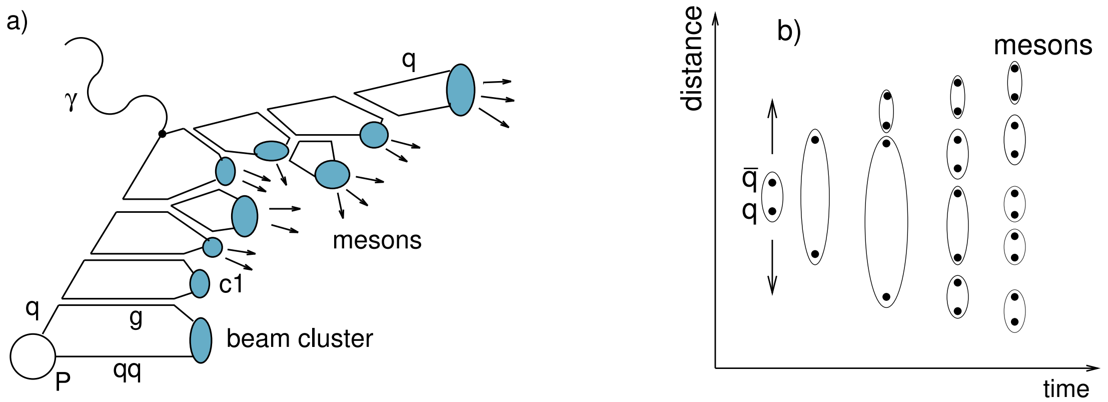

Figure 2.7: The hadronization of a partonic final state in the cluster model (left) and in the string fragmentation model (right).

String Fragmentation

The string model of fragmentation is based on the picture of a classical potential between two partons. The color field between a $q\bar{q}$-pair is visualized as a string and described by a Coulomb potential which turns into a linearly rising function towards larger distances r between partons, i.e. $V(r) \propto a/r + br$. At large separations r the energy stored in the string is proportional to r due to the linear term. In deep-inelastic scattering, strings are also assumed between the (anti-)quark and the proton remnant. Gluons cause kinks in the string with the four-momentum of the gluon. When the energy stored in the string is large enough, the string breaks up creating a new $q\bar{q}$-pair and forming new string pieces. The process is iterated until all the available energy is been used up. The resulting string fragments are combined into mesons and baryons (see Figure 2.7 (b)). The kinematics of the produced hadrons is given by the "Lund symmetric fragmentation function"

$$f(z) \propto \frac{(1-z)^a}{z} \exp\left(\frac{b\, m_\perp}{z}\right), \tag{2.14}$$

where z is the longitudinal momentum fraction of a primary quark carried by the hadron. The transverse mass $m_\perp \equiv \sqrt{m^2 + p_\perp^2}$ is obtained from the mass m and the transverse momentum $p_\perp$ of the hadron (with respect to the original quark). In this model the $p_\perp$ distribution is assumed to be a Gaussian of width σ_q which enters (together with a and b) as a parameter.

2.3.5 Radiative QED Corrections

For a correct description of cross sections in deep-inelastic scattering it is important to take into account higher order QED corrections. Especially hard photon radiation may strongly influence the reconstruction of the event kinematics and (as in our case) the boost vector

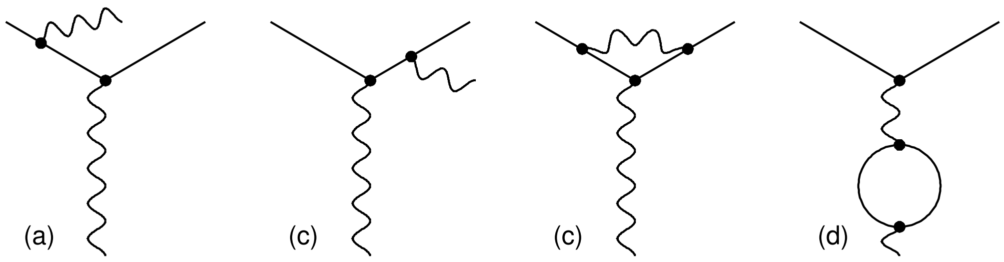

Figure 2.8: QED corrections at the leptonic vertex as included in the program DJANGO

to the Breit frame (as discussed in appendix A). Since the cross section for real photon emissions is proportional to the inverse mass squared of a particle, the largest corrections are those from the lepton line. The program DJANGO [72] is an interface of the program HERACLES [73] and the programs LEPTO and ARIADNE and provides a calculation of the diagrams shown in Fig. 2.8. These are the initial and the final state emissions of photons from the lepton, virtual corrections at the lepton vertex and loop-corrections to the photon propagator.

2.4 Definitions of the Jet Observables

In this section we give the exact definitions of the observables to be measured in this analysis and provide all information needed to perform the theoretical calculations for comparisons. All observables are measured in positron-proton collisions with beam energies of 27.5 GeV for the positrons, and 820 GeV for the protons. In all cases we measure *inclusive* jet cross sections (i.e. the n-jet cross section includes all events with n or more jets).

2.4.1 Multi-differential Jet Cross Sections

The kinematic range in which the jet cross sections are measured is solely defined by the kinematic variables y and Q^2.

$$0.2 < y < 0.6\,, \qquad 150 < Q^2 < 15\,000\,\mathrm{GeV}^2 \quad \text{or} \;\; 10 < Q^2 < 70\,\mathrm{GeV}^2 \tag{2.15}$$

The two regions of Q^2 will be labeled “high Q^2” and “low Q^2”, respectively. The gap in the Q^2 range is caused by the geometry of the H1 calorimeter which does not provide a uniform acceptance of the scattered positron over the whole range of y at intermediate Q^2 values. The lower limit on y has been chosen to exclude the kinematic region of large x-Bjorken where jets are predominantly produced in the forward direction (i.e. at the edge of the detector acceptance). The upper limit on y guarantees large energies of the scattered positron where trigger efficiencies are high (see section 5.1).

The jet finding is performed on the (massless) particles in the Breit frame (defined in section 2.1) using the inclusive and the exclusive jet algorithms introduced in section 2.2.

Any extrapolation of a jet cross section beyond the detector acceptance may introduce a bias towards the model used for the extrapolation. We therefore restrict the jet phase space to the angular range in which jets are well contained in the acceptance of the H1 detector. The four-vectors of the jets found in the Breit frame are boosted back to the laboratory frame where we apply the pseudorapidity cut

$$-1 < \eta_{\mathrm{lab}} < 2.5\,. \tag{2.16}$$

As discussed in section 2.3.1 at order $\mathcal{O}(\alpha_s)$ jet production is described by three "jet variables" in addition to the two kinematic variables Q^2 and x_{Bj}. Integrating over the azimuthal angle ϕ between the jet and the lepton plane, two independent jet variables are left. These can be chosen e.g. as the "jet hardness scale" E_T and the angular variable η' (see section 2.3.1). However, different linear combinations of these (and the kinematic variables) are sensitive to different properties of the hard process.

In this analysis we measure the inclusive jet and the dijet cross sections. Since the theoretical predictions for both are calculated to next-to-leading order both can be used to determine α_s and the gluon density in the proton. The measurement of the properties of the dijet system provides more information than is provided by the single jet properties measured in the inclusive jet cross section. The dijet cross section therefore allows to perform more detailed tests of the theoretical predictions. For the same reason, however, the dijet cross section is also more sensitive to the limitations of fixed order predictions (as discussed below) whereas the predictions for the inclusive jet cross section are not effected.

The dijet cross section is thus better suited to *test* the theoretical predictions while the inclusive jet cross section is preferable to *determine the parameters* of the theory. The final aim is, however, to demonstrate consistency between the results obtained using both observables.

The Inclusive Jet Cross Section

To test the prediction of the renormalization group equation one wants to determine the value of the strong coupling constant at different values of the "process relevant hard scale" (which is then chosen to be the renormalization scale in the theoretical calculation). In jet production in deep-inelastic scattering two large scales are present. These are the four-momentum transfer at the lepton vertex Q^2 (which is only indirectly related to the hard QCD process) and the transverse jet energy in the Breit frame E_T (the physical scale at which e.g. hard gluon radiation from a quark is resolved). The conceptually simplest observable which is sensitive to both hard scales is the inclusive jet cross section measured double differentially as $\mathrm{d}^2\sigma_{\mathrm{jet}}/(\mathrm{d}E_T\mathrm{d}Q^2)$ while integrating over all jet angles. In the inclusive jet cross section all jets are counted that pass the required cuts. A single event may therefore give multiple contributions to the distribution.

We measure the inclusive jet cross section using the inclusive jet algorithms only. Every jet found by the algorithms is included in the analysis if it passes the angular cut in (2.16). The results are presented for $E_T > 7\,\mathrm{GeV}$.

The Dijet Cross Section

The Breit frame (in which the jet algorithms are applied) is in general shifted with respect to the center-of-mass frame of the hard process by a longitudinal boost. The reconstruction of the properties of the hard process in the center-of-mass frame requires information of both jets which can only be obtained in the measurement of the dijet cross section. For a comprehensive test of the theoretical predictions we measure the dijet cross section as a function of the following (dijet-) variables

$$\begin{aligned} \overline{E}_T &\equiv \frac{1}{2}\left(E_{T,1} + E_{T,2}\right), & M_{\mathrm{jj}} &\equiv \sqrt{(\mathbf{p}_1 + \mathbf{p}_2)^2}\,, \\ \eta' &\equiv \frac{1}{2}\left|\eta_1 - \eta_2\right|, & \xi &\equiv x_{\mathrm{Bj}}\left(1 + \frac{M_{\mathrm{jj}}^2}{Q^2}\right), \\ & & x_p &\equiv \frac{x_{\mathrm{Bj}}}{\xi}\,. \end{aligned}$$

where the index 1 (2) refers to the jet of highest (second highest) transverse energy in the event and $\mathbf{p}_i$ denotes the four-vector of the i-th jet. The $\overline{E}_T$ distribution is a similar observable as the E_T distribution of the inclusive jet cross section and will enable us to repeat the α_s analysis in a similar way. As discussed in section 2.3.1 the variable η' is (in the leading order approximation) identical to the jet pseudorapidity in the dijet center-of-mass frame and therefore allows to test the QCD prediction of the angular jet distribution. The invariant dijet mass M_{jj} reflects the center-of-mass energy of the QCD process. In the leading order picture the proton momentum fraction carried by the incoming parton is given by the variable ξ. The ξ distribution is directly sensitive to the x dependence of the parton density functions and therefore important in the determination of the gluon density in the proton. The last dijet variable is x_p, the partonic scaling variable (see (2.8)). Furthermore we measure the distributions of the kinematic variables Q^2, y and x_{Bj} and also the pseudorapidity distributions of the most forward and the most backward jet in the laboratory frame (where the angular cuts are applied) to test the overall description of the data by the theory.

Care has to be taken in the choice of the dijet selection cuts in order to minimize the influence of "infrared sensitive" phase space regions. These are the regions at the exclusive boundary of the phase space where, due the suppression of real emissions, the cancellation between soft and collinear singularities in fixed order calculations becomes incomplete and reliable results can only be obtained using resummed calculations [74]. These are however not (yet) available.

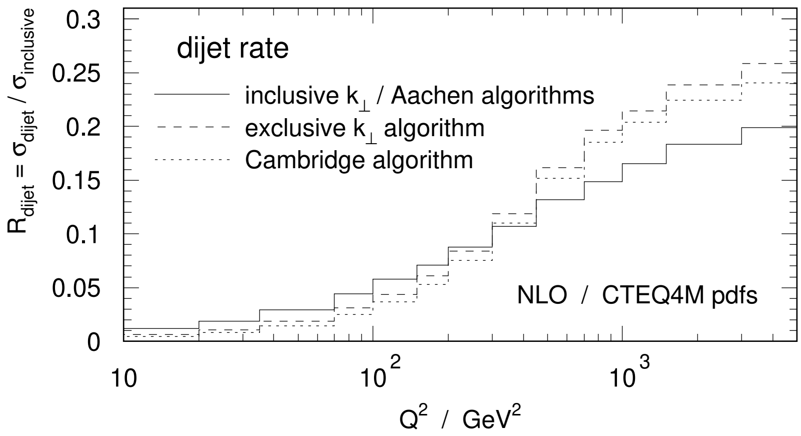

Figure 2.9: The next-to-leading order prediction of the dijet rate, defined as the ratio of the dijet cross section and the inclusive *ep* cross section in the same kinematic region. The dijet rate is shown for four different jet algorithms (from which two are identical at next-to-leading order).

Dijet selection cuts on the variable $k_\perp$ (as defined in (2.3)) avoid the infrared sensitive regions intrinsically. Therefore no further cuts are needed for the exclusive jet algorithms in addition to the intrinsic cuts which are applied due to the resolution parameter $y_{\rm cut}$ and the reference scale S^2 (as defined in section 2.2.2). These are chosen as

$$\text{exclusive jet algorithms:} \qquad S^2 = 100\,\mathrm{GeV}^2 \quad \text{and} \quad y_{\rm cut} = 1\,. \tag{2.17}$$

If more than two jets are found we consider the two jets of highest transverse energy.

The inclusive jet definitions do not require any "hardness cuts" during the clustering procedure. Since these algorithms use the variable E_T for the clustering procedure it is a natural choice to use it also for the final dijet selection. While a simple cut $E_{T\,1,2} > E_{T\,\rm cut}$ is infrared sensitive (as discussed and demonstrated in [75, 76]) an additional (harder) cut on either the sum of the transverse jet energies, the E_T of the highest E_T jet or on the dijet mass can minimize the influence of the infrared sensitive phase space regions. Since both of the latter choices lead to significantly larger NLO corrections or larger hadronization corrections we decide to use the first scenario and apply the following cuts

$$\text{inclusive jet algorithms:} \qquad (E_{T,1} + E_{T,2}) > 17\,\mathrm{GeV} \quad \text{and} \quad E_{T\,1,2} > 5\,\mathrm{GeV}\,. \tag{2.18}$$

Using these selection cuts we compare in Fig. 2.9 the theoretical predictions of the dijet rate (i.e. the ratio of the dijet cross section and the inclusive *ep* cross section) for the different algorithms. One sees that due to the specific selection criteria the dijet rates have a slightly different Q^2 dependence. In the high Q^2 region the rates are, however, approximately of the same size for all algorithms, rising towards higher Q^2 up to 25%.

Three- and Four-Jet Cross Sections

The three- and four-jet cross sections are measured using the inclusive $k_\perp$ algorithm. In addition to the pseudorapidity cut in the laboratory frame (2.16) we require

$$\begin{array}{rll} \text{three-jet selection:} & E_{T\,1,2,3} > 5\,\text{GeV} \quad \text{and} & M_{3-\text{jet}} > 25\,\text{GeV} \\ \text{four-jet selection:} & E_{T\,1,2,3,4} > 5\,\text{GeV} \quad \text{and} & M_{4-\text{jet}} > 25\,\text{GeV} \end{array}$$

where $M_{3-\text{jet}}$ ($M_{4-\text{jet}}$) is the invariant mass of the three (four) jets with largest transverse energies.

2.4.2 Internal Jet Structure

In addition to the measurements of jet production rates it is also of interest to study the internal structure of jets. The internal jet structure is sensitive to QCD processes at smaller relative transverse momenta and also to the hadronization process. The phase space definition is given together with the results of the analysis in section 7.4. Here we introduce the definitions of the observables which are applied to the jets measured in an inclusive dijet event sample using the inclusive $k_\perp$ algorithm.

We investigate two observables which are sensitive to different aspects of jet broadening. The "jet shape" measures the radial distribution of the transverse jet energy and is effected by hard and by soft processes over the whole radial range. The multiplicities of subjets, resolved at a resolution scale which is a fraction of the jet's transverse energy are sensitive to more local structures of relative transverse momentum within a jet. Here the perturbative and the non-perturbative contributions are better separated. While at larger values of the resolution parameter perturbative contributions dominate, non-perturbative contributions become increasingly important towards smaller values.

Jet Shapes

The jet shape $\Psi(r/R_0)$ is defined as the fractional transverse jet energy contained in a subcone of radius r concentric with the jet axis (see Fig. 2.10), averaged over all considered jets in the event sample

$$\Psi(r/R_0) \equiv \frac{1}{N_{\text{jets}}} \sum_{\text{jets}} \frac{E_T(r/R_0)}{E_{T,\text{jet}}}\,, \tag{2.19}$$

where N_{jets} is the total number of these jets. As proposed in [44], only particles assigned by the jet algorithm to the jet are considered.

Often the denominator in the definition of Ψ is chosen to be the summed E_T of all particles within a radius R_0 to the jet axis. This means that $\Psi(r/R_0 = 1) = 1$. In our definition (2.19) of Ψ the denominator is given by the transverse energy of the jet. Since for the inclusive $k_\perp$ algorithm the particles assigned to a jet are not necessarily within a radius

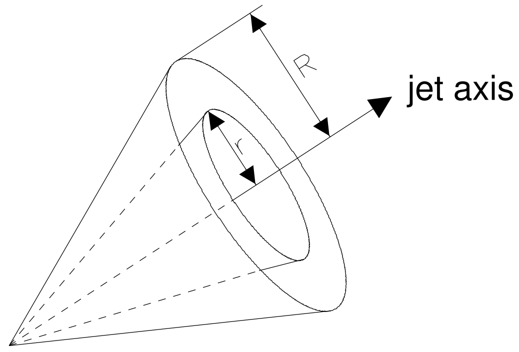

Figure 2.10: The jet shape $\Psi(r/R)$ is defined as the fractional transverse jet energy contained in a subcone of radius r concentric with the jet axis of a jet which is defined by the radius R.

of $r/R_0 < 1$ to the jet axis, $\Psi(r/R_0 = 1)$ is not constrained to have the value of one. With this choice of our observable we are also sensitive to the amount of transverse jet energy outside the radius R_0.

Subjet Multiplicities

For each jet in the sample the clustering procedure is repeated for all particles assigned to the jet. The clustering is stopped when the distances y_{ij} between all particles i, j are above some cut-off $y_{\rm cut}$

$$y_{ij} = \frac{\min(E_{T,i}^2, E_{T,j}^2)}{E_{T,\rm jet}^2} \frac{(\Delta\eta_{ij})^2 + (\Delta\phi_{ij})^2}{R_0^2} > y_{\rm cut} \tag{2.20}$$

and the remaining particles are called "subjets". The parameter $y_{\rm cut}$ defines the minimal relative transverse energy between subjets inside the jet and thus determines the extent to which the internal jet structure is resolved. From this definition it follows that for $y_{\rm cut} > 0.25$ no subjet is resolved (therefore the number of subjets is one), while for $y_{\rm cut} \to 0$ every particle in the jet is a subjet. The observable that is studied in this analysis is the average number of subjets for a given value of the resolution parameter, for values $y_{\rm cut} \geq 10^{-3}$.

3

On the Feasibility of a QCD Analysis of Jet Production in DIS

Stringent tests of a theory and reliable determinations of its parameters can only be performed through comparisons or fits to observables for which the theory is predictive, i.e. for which approximations are expected to be valid and uncertainties are small. This chapter is devoted to the identification of such observables and to the estimation of the size of remaining theoretical uncertainties.

In the previous chapter we have described the jet algorithms and defined the phase space in which the jet analysis will be performed. Furthermore we have introduced the available theoretical models. In this chapter we use the predictions of these models to investigate the properties of the different jet definitions. In the first section we study the size of non-perturbative contributions to different jet observables and the uncertainties arising from the model and parameter dependence of the predictions. The topic of the second section are the predictions of perturbative next-to-leading order (NLO) calculations for jet cross sections. We investigate the size of the next-to-leading order corrections and the renormalization scale dependence for different choices of scales.

All predictions are obtained using the programs HERWIG5.9 [64], LEPTO6.5 [65] and ARIADNE4.08 [67]. The calculations are performed for the HERA running conditions of 1997 (820 GeV protons collided with 27.5 GeV positrons) using the CTEQ4L parameterization [77] of the parton distributions and the 1-loop formula for the running of α_s. The LEPTO predictions are obtained without the soft color interaction model.

The NLO calculations are performed in the $\overline{\text{MS}}$-scheme by the program DISENT [60] using CTEQ4M parton distributions and the 2-loop formula for the running of α_s. The renormalization scale is set to the transverse jet energy $\mu_r = E_T$, the factorization scale to the mean E_T of the jets $\mu_f = \sqrt{200}\,\text{GeV} \simeq \langle E_T \rangle$ (unless stated otherwise; see also the discussion in section 8.2).

The phase space definition and the jet selection criteria are as defined in section 2.4.

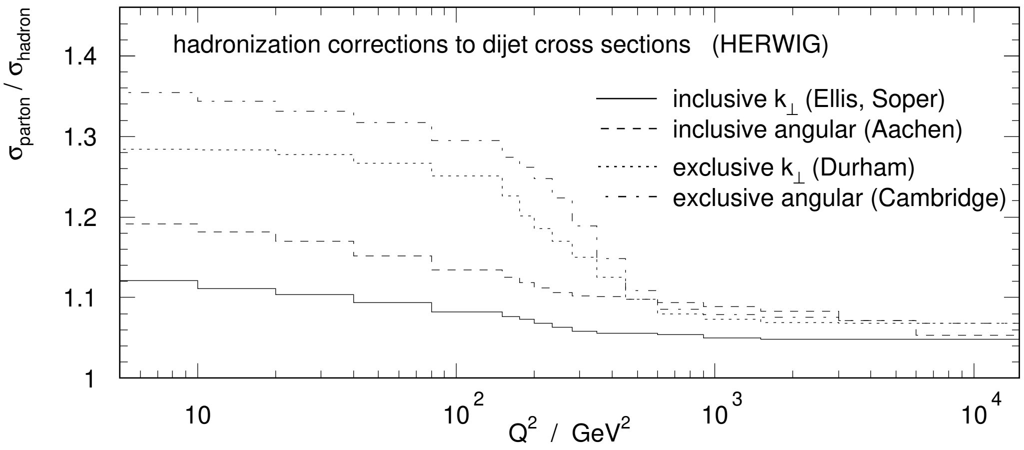

Figure 3.1: The hadronization corrections to the dijet cross section for different jet definitions as a function of Q^2 as predicted by the HERWIG cluster fragmentation model.

3.1 Hadronization Corrections to Jet Cross Sections

Before the prediction of a perturbative QCD calculation ("parton-level" cross section) can be compared to a measured "hadron-level" jet cross section, the size of non-perturbative contributions ("hadronization corrections") has to be estimated. There is, however, no unique way to separate perturbative and non-perturbative contributions in theoretical calculations. A consistent treatment requires a well defined matching of both contributions, e.g. by the introduction of an "infrared matching scale" [36]. Such approaches are not (yet) available for high E_T jet cross sections in deep-inelastic scattering and the only predictions are those of the phenomenological hadronization models described in section 2.3.4. These models are implemented in event generators that include leading order matrix elements and a perturbative parton cascade which is matched to the hadronization model. Based on these models, hadronization corrections are compared for the different jet definitions introduced in section 2.2.

3.1.1 The Size of Hadronization Corrections

We define the hadronization corrections to an observable $\mathcal{O}$ as the ratio of its value in a perturbative calculation ("parton-level": $\mathcal{O}_{\text{parton}}$) and its value in a calculation including both perturbative and non-perturbative contributions ("hadron-level": $\mathcal{O}_{\text{hadron}}$)

$$c_{\text{hadr.corr.}} = \mathcal{O}_{\text{parton}} \,/\, \mathcal{O}_{\text{hadron}} \,.$$

The HERWIG predictions of the hadronization corrections to the dijet cross section are shown in Fig. 3.1 as a function of Q^2 for the different jet definitions. While at $Q^2 \gtrsim 1000\,\text{GeV}^2$ all jet definitions have similar and reasonably small corrections (below 10%), large differences

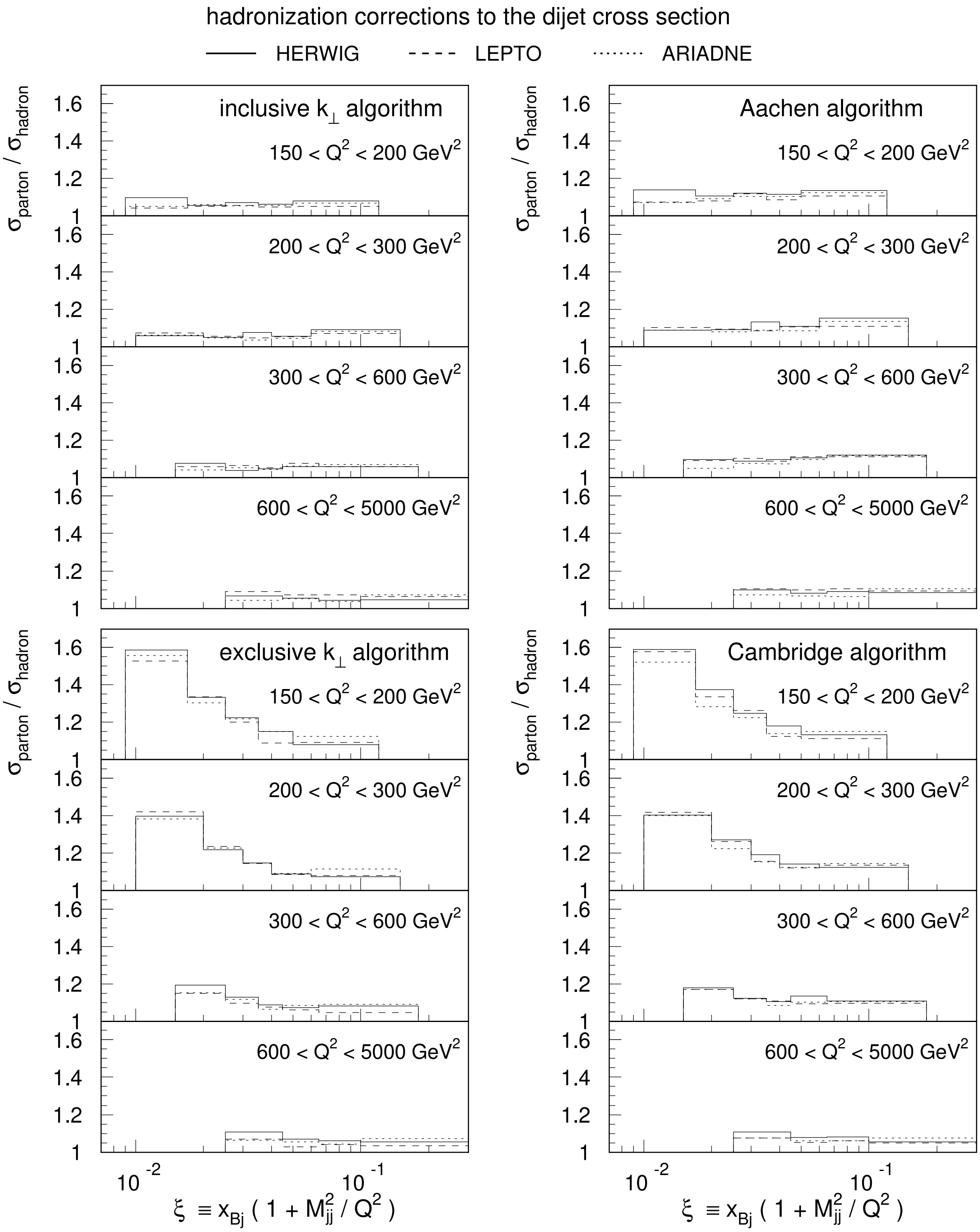

Figure 3.2: Hadronization corrections to the ξ distribution of the dijet cross section for different jet definitions.

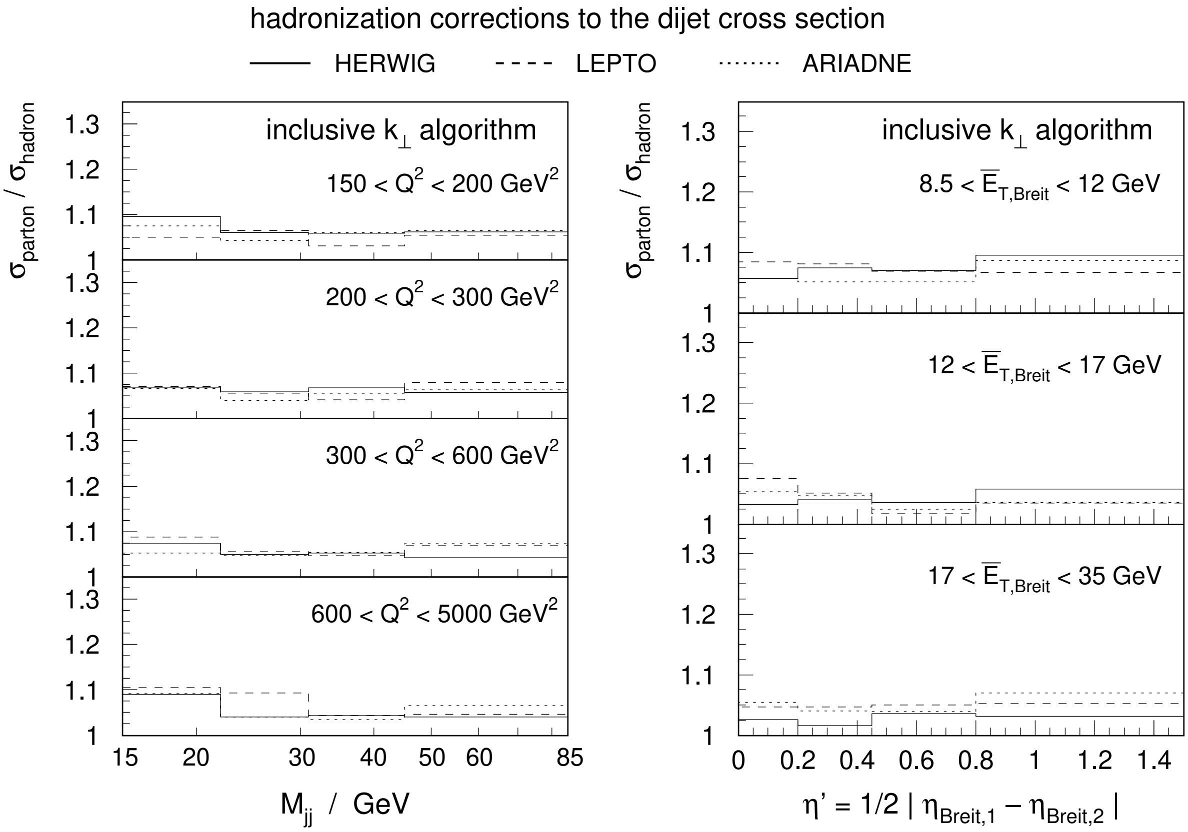

Figure 3.3: Hadronization corrections to the dijet cross section as defined by the inclusive $k_\perp$ algorithm for the dijet mass distribution (left) and the variable η' (right).

are seen at $Q^2 \lesssim 300\,\text{GeV}^2$. In all cases the corrections are smaller for the inclusive jet definitions than for the exclusive definitions and smaller for the $k_\perp$ ordered than for the angular ordered algorithms. Only the inclusive $k_\perp$ algorithm shows a small Q^2 dependence and acceptably small corrections (below 10%) even down to $Q^2 = 10\,\text{GeV}^2$. In Fig. 3.2 we display the hadronization corrections differentially in the variable ξ in different Q^2 regions for the four jet algorithms. For both inclusive algorithms the corrections are small and independent of ξ while a strong ξ dependence is observed for the exclusive algorithms. The predictions from the different models are in good agreement for all jet algorithms even in regions where the size of the correction is large. For the inclusive $k_\perp$ algorithm the model predictions agree better than 3%.

Having the smallest hadronization corrections, the inclusive $k_\perp$ algorithm seems to be the preferable choice for tests of perturbative QCD. We study the hadronization corrections of this algorithm also for other dijet distributions. In Fig. 3.3 the model predictions are shown for the distributions of the invariant dijet mass (left) and the variable η' (right) in different regions of Q^2 and $\overline{E}_T$, respectively. Also in these variables the hadronization corrections are flat and close to one, decreasing slightly towards higher $\overline{E}_T$.

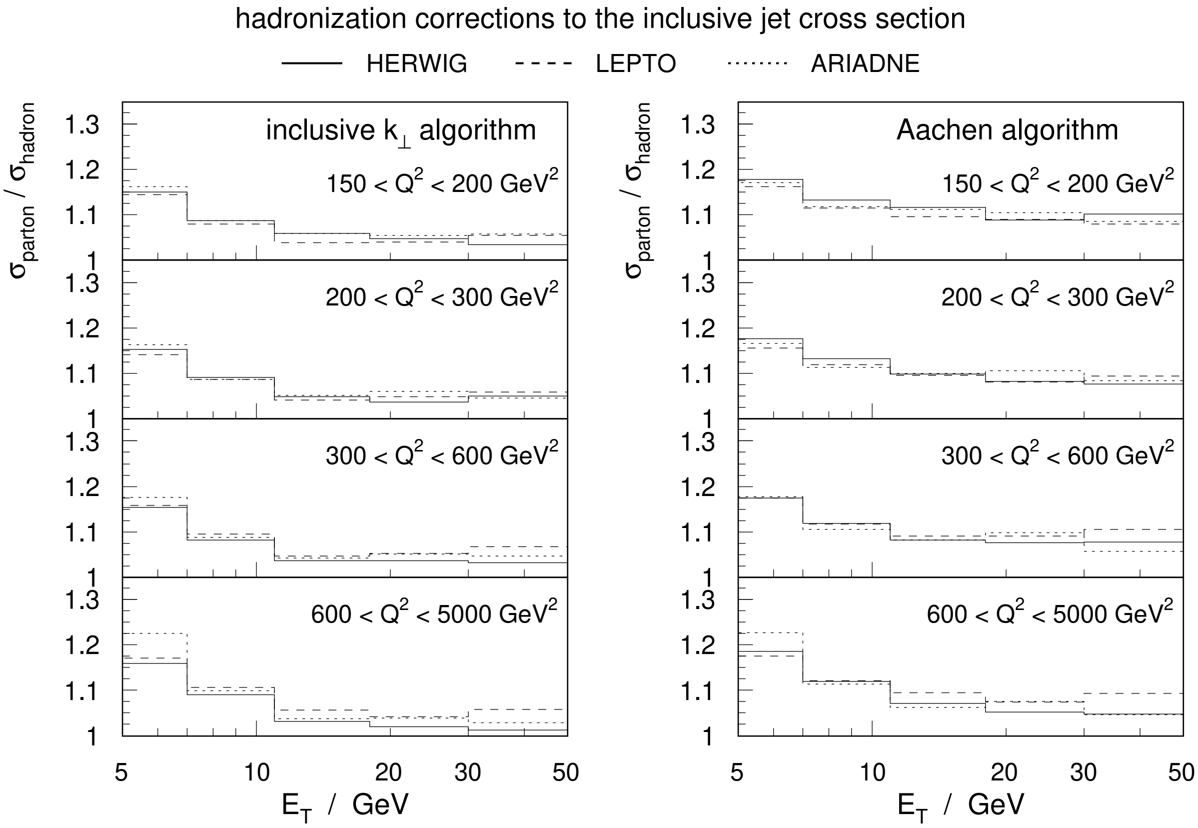

Figure 3.4: Hadronization corrections to the inclusive jet cross section for the inclusive $k_\perp$ algorithm (left) and the Aachen algorithm (right).

The corrections to the inclusive jet cross section are displayed in Fig. 3.4 as a function of the transverse jet energy E_T for the inclusive $k_\perp$ algorithm (left) and for the Aachen algorithm (right). At small transverse jet energies $5 < E_T < 7\,\mathrm{GeV}$ the hadronization corrections are 15–20%. At $E_T > 7\,\mathrm{GeV}$ (where the analysis is performed) the corrections for the inclusive $k_\perp$ algorithm are below 10%, decreasing slightly towards higher E_T. The corrections for the Aachen algorithm are 2–3% larger than those for the inclusive $k_\perp$ algorithm but show a similar E_T dependence.

3.1.2 Uncertainties in the Estimates of Hadronization Corrections

The predictions of the hadronization corrections may be different for different models and may also depend on the properties of the partonic final state that is fed into the hadronization model. In the discussion above we have already seen that the predictions for the jet observables under investigation are similar for the HERWIG cluster model and for the Lund string model. For the latter we have also shown that the predictions are independent of the partonic final state to which the hadronization is applied (the parton shower of LEPTO or the dipole cascade of ARIADNE).

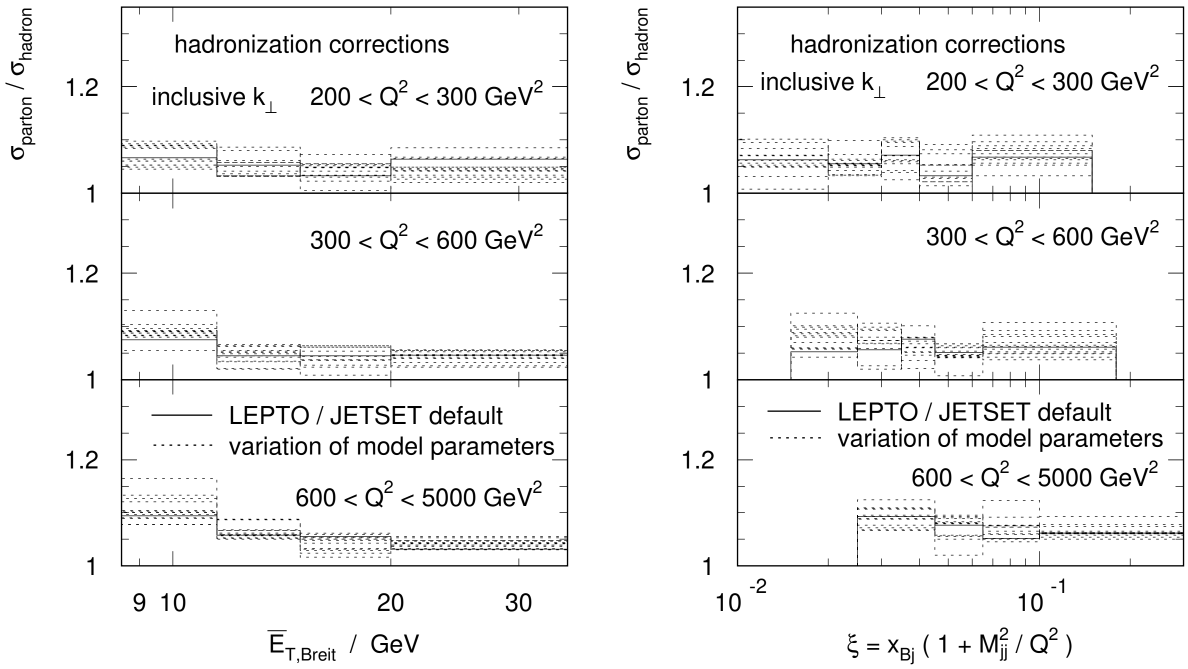

Figure 3.5: Hadronization corrections to the dijet cross section obtained using the inclusive $k_\perp$ algorithm. Displayed are the LEPTO/JETSET predictions for the $\overline{E}_T$ (left) and the ξ distribution (right) for different settings of the model parameters (dotted lines) and for the default settings (solid line).

LEPTO / JETSET model parameters	default	variation
Λ_{QCD} in initial state parton shower	0.25 GeV	0.25 – 0.4 GeV
Λ_{QCD} in final state parton shower	0.23 GeV	0.23 – 0.4 GeV
Q_0^{ISR} cutoff for initial state parton shower	1 GeV	0.7 – 2.0 GeV
Q_0^{FSR} cutoff for final state parton shower	1 GeV	0.5 – 4.0 GeV
width of Gaussian primordial k_t of partons in the proton	0.44 GeV	0.44– 0.7 GeV
width of Gaussian distribution in k_t when a non-trivial target remnant is split into a particle and a jet	0.35 GeV	0.35– 0.7 GeV
Gaussian width of p_t for primary hadrons	0.36 GeV	0.25 – 0.45 GeV
a parameter in the symm. Lund fragmentation function	0.3	0.1 – 1.0
b parameter in the symm. Lund fragmentation function	0.58	0.44 – 0.7

Table 3.1: Overview of the LEPTO and JETSET parameters and the ranges in which they are varied in the studies of the hadronization corrections.

The model predictions may, of course, depend on the settings of the parameters that define the perturbative parton cascade, as well as on parameters of the hadronization model. We investigate the sensitivity of the LEPTO/JETSET model predictions to variations of such parameters. The variations can be classified in two categories.

- Parameters defining the partonic final state, i.e. the evolution and the cut-off of the parton cascade

- Parameters defining the hadronization model

The full list of parameters and the ranges of their variations is given in table 3.1. Fig. 3.5 gives an overview of the effects of these variations for the dijet cross section as a function of $\overline{E}_T$ (left) and ξ (right). The default setting of LEPTO/JETSET is indicated by the solid line and all variations as dotted lines. The variations for the different parameter settings are throughout within a few percent, i.e. of the same size as the model dependence that we have observed before.

3.2 Properties of Jet Cross Sections in Perturbative QCD

3.2.1 Sensitivity to the Parton Distributions

One aim of the QCD analysis of the jet data is the determination of the gluon density in the proton as a function of the momentum fraction x. The dijet cross section is therefore measured as a function of the variable ξ which is in the leading order picture equal to the proton momentum fraction x carried by the parton. From the ξ distribution of the data (the results are shown in Fig. 7.8, left) one sees directly that the dijet cross section is sensitive to fractional parton momenta in the range $0.01 < x < 0.3$.

The inclusive jet cross section is measured in different regions of Q^2 as a function of the transverse jet energy E_T which is not directly related to the parton momentum fraction. In Fig. 3.6 we therefore display the x ranges which contribute to the inclusive jet cross section in the next-to-leading order calculation in the different Q^2 and E_T bins of the analysis (see Fig. 7.1). One sees that the accessible x range depends weakly on Q^2 and strongly on E_T. The inclusive jet cross section covers a similar x range as the dijet cross section.

The gluon induced fraction to the total jet cross section is also shown in Fig. 3.6. At moderate Q^2 ($150 < Q^2 < 200\,\mathrm{GeV}^2$) the inclusive jet cross section is dominated by gluon induced processes which account for 72% of the cross section at lower E_T ($7 < E_T < 11\,\mathrm{GeV}$) and 45% at high E_T ($30 < E_T < 50\,\mathrm{GeV}$). At higher Q^2 ($600 < Q^2 < 5000\,\mathrm{GeV}^2$) the latter value is reduced to $\approx 40\%$ and is almost independent of E_T.

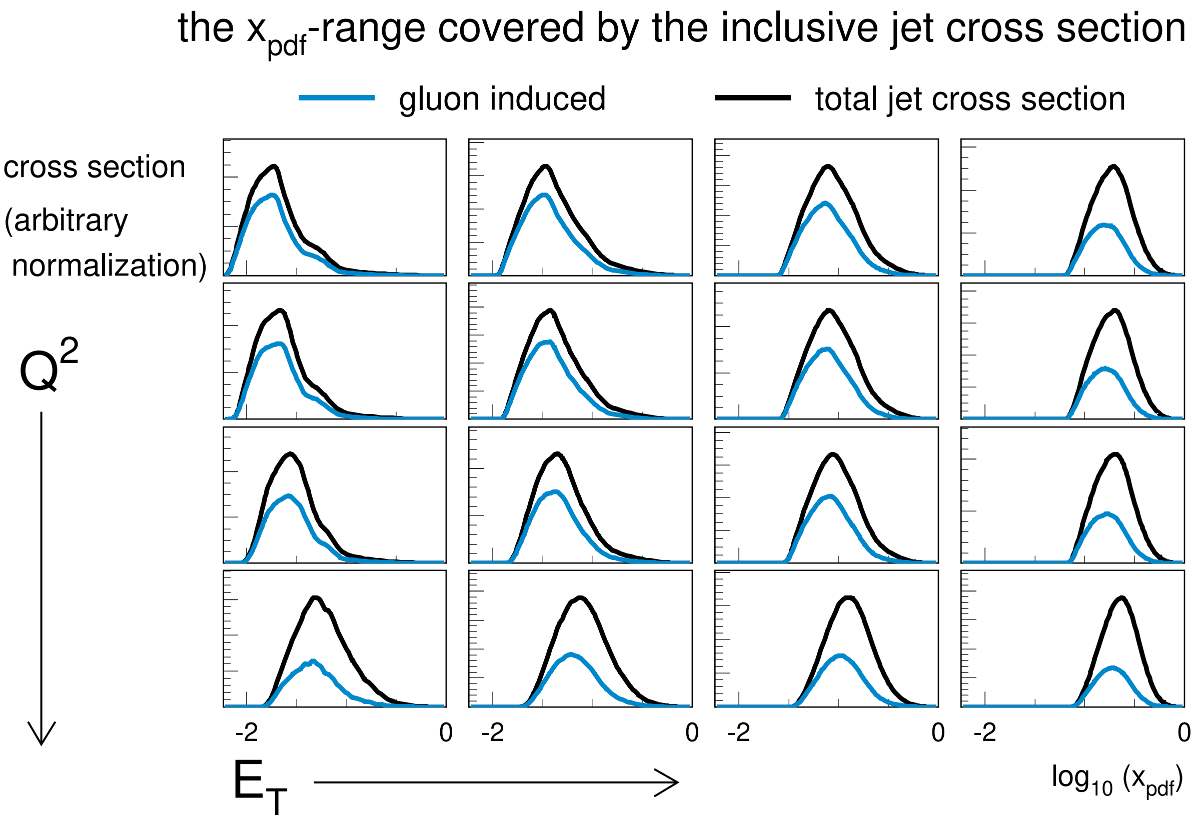

Figure 3.6: The next-to-leading order prediction for the inclusive jet cross section. Displayed is the total jet cross section (in arbitrary normalization) and the gluon induced contribution as a function of the proton momentum fraction x carried by the parton in the Q^2 and E_T bins of the analysis.

3.2.2 Z⁰ Exchange and Quark Mass Effects

In the present work we use the next-to-leading order calculation as implemented in the program DISENT which includes neither contributions from Z^0 exchange nor the QCD matrix elements for massive quarks. To estimate the size of these effects we use the leading order calculation as implemented in the program MEPJET and calculate the dijet cross section for the inclusive $k_\perp$ algorithm with and without these effects.

In Fig. 3.7 we show the ratios of these calculations as a function of Q^2. The effects from Z^0 contributions (shown on the left hand side) reduce the dijet cross section at large Q^2. At $Q^2 < 2500\,\mathrm{GeV}^2$ these corrections are, however, below 2%. Integrated over the highest Q^2 bin chosen in our analysis ($600 < Q^2 < 5000\,\mathrm{GeV}^2$) the effect is already negligible.

The effects of quark masses in the leading order dijet cross section (shown on the right hand side) are 2.5% at $Q^2 = 10\,\mathrm{GeV}^2$ and are decreasing towards higher Q^2. At $Q^2 > 150\,\mathrm{GeV}^2$ the effect is below 1.5%. Massive NLO calculations are not available for jet cross sections, but given the small size of the effect we consider it safe to neglect this influence.

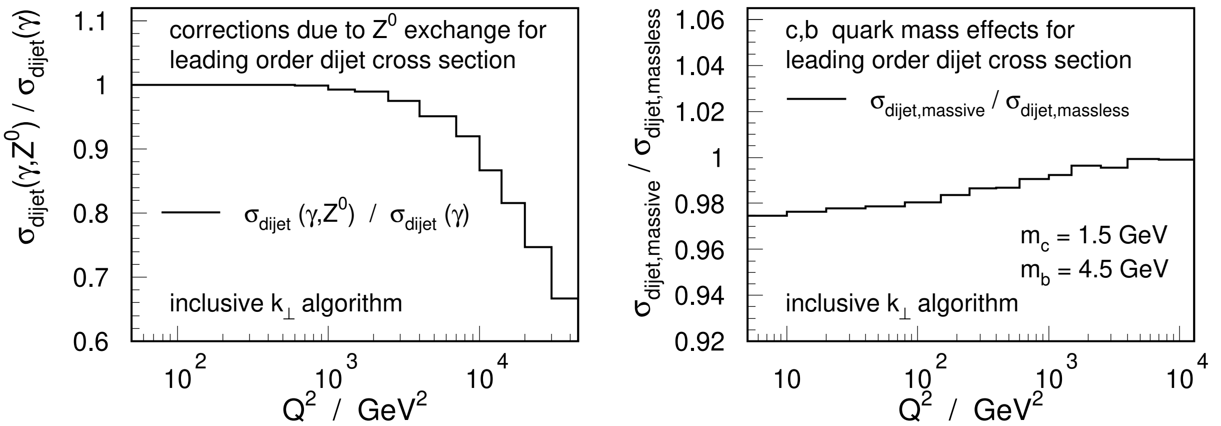

Figure 3.7: Contributions from Z^0 exchange and γ/Z^0 interference to the dijet cross section (left) and effects of quark masses (right) in the leading order calculation.

3.2.3 Next-to-Leading Order Corrections, Renormalization and Factorization Scale Dependence

The predictions of perturbative QCD are calculated as a power series in the strong coupling constant α_s. When calculated to all orders, the perturbative cross sections do not depend on the choice of the renormalization and factorization scales. The truncation of the perturbative expansion at a fixed order, however, introduces a dependence of the cross section on these scales. Since both contributions, the truncated fixed order calculation and the higher order corrections depend on the scales, a "good" choice of the scales can reduce the size of the higher order corrections.

For inclusive jet and dijet production in the Breit frame in deep-inelastic scattering only the coefficients of the leading and the next-to-leading order (i.e. $\mathcal{O}(\alpha_s)$ and $\mathcal{O}(\alpha_s^2)$) are known [78]. The determination of parameters of the theory, based on the next-to-leading order approximation, is only meaningful when the contributions from higher orders ($\mathcal{O}(\alpha_s^3)$) can be expected to be small. The size of these contributions depends on the choice of the renormalization and factorization scale in the calculation. To obtain an indication of the possible size of higher order corrections, we study the next-to-leading order (NLO) corrections and the renormalization and factorization scale dependence of the jet cross sections. Three different choices of the renormalization scale are used in these studies: $\mu_r^2 = E_T^2$, $\mu_r^2 = Q^2$ and $\mu_r^2 = E_T^2 + Q^2$. The factorization scale is set to the average transverse jet energy $\mu_f^2 = 200\,\mathrm{GeV}^2 \simeq \langle E_T^2 \rangle$ (see the discussion in section 8.2).

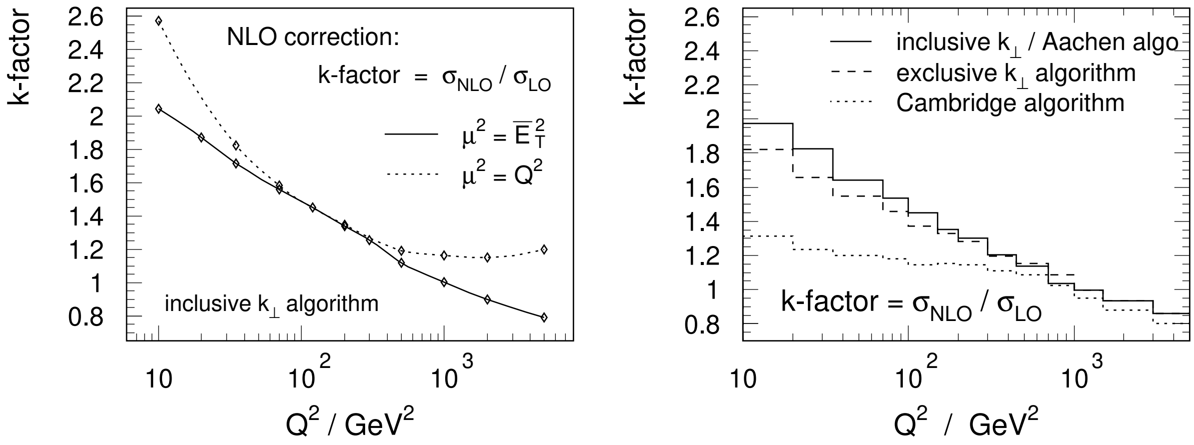

Figure 3.8: The next-to-leading order corrections to the dijet cross section as a function of Q^2 for the inclusive $k_\perp$ algorithm (left) using different renormalization scales μ_r^2 and for different jet algorithms (right) at $\mu_r^2 = \overline{E}_T^2$.

NLO Corrections

The contributions from higher orders have not yet been calculated. If we assume, however, that the perturbative expansion is well behaved, the contributions from higher orders should be small in those regions where the NLO corrections are small. We define the NLO correction (the "k-factor") as the ratio of the NLO cross section and the leading order (LO) cross section

$$k \equiv \frac{\sigma_{\mathrm{NLO}}}{\sigma_{\mathrm{LO}}} = \frac{\sigma(\mathcal{O}(\alpha_s)) + \sigma(\mathcal{O}(\alpha_s^2))}{\sigma(\mathcal{O}(\alpha_s))} . \tag{3.1}$$

This definition is, of course, only meaningful if the cross sections in the numerator and the denominator are calculated using the same parton density functions and the same α_s value.

The NLO corrections to the dijet cross section are shown in Fig. 3.8 as a function of Q^2. On the left hand side the k-factor for the inclusive $k_\perp$ algorithm is plotted for two choices of the renormalization scale, $\mu_r^2 = \overline{E}_T^2$ and $\mu_r^2 = Q^2$. For both choices the k-factor shows a strong Q^2 dependence and becomes large at small Q^2. The NLO corrections are smaller throughout for the scale $\mu_r^2 = \overline{E}_T^2$ than for $\mu_r^2 = Q^2$ (except at $Q^2 \simeq 150\,\mathrm{GeV}^2$ where the corrections are equal since both scales are of the same size). The k-factors obtained for the different jet definitions are compared in Fig. 3.8 (right) for $\mu_r^2 = \overline{E}_T^2$. For all jet definitions we observe a similar Q^2 dependence. At $Q^2 = 10\,\mathrm{GeV}^2$ the k-factors are extremely large, except for the Cambridge algorithm where a reasonably small value is found ($k < 1.3$).

In Fig. 3.9 we display the NLO corrections to the inclusive jet cross section in different bins of E_T and Q^2 (the bins are identical to those in the subsequent analysis). The k-factor is plotted as a function of the scale factor x_μ defined as the ratio of μ_r^2 to the nominal value $\mu_{r,0}^2$. As in the case of the dijet cross section we observe a decrease of the k-factors towards larger Q^2 for all choices of $\mu_{r,0}^2$. In most bins the k-factor is closest to one for $\mu_r^2 = E_T^2$,

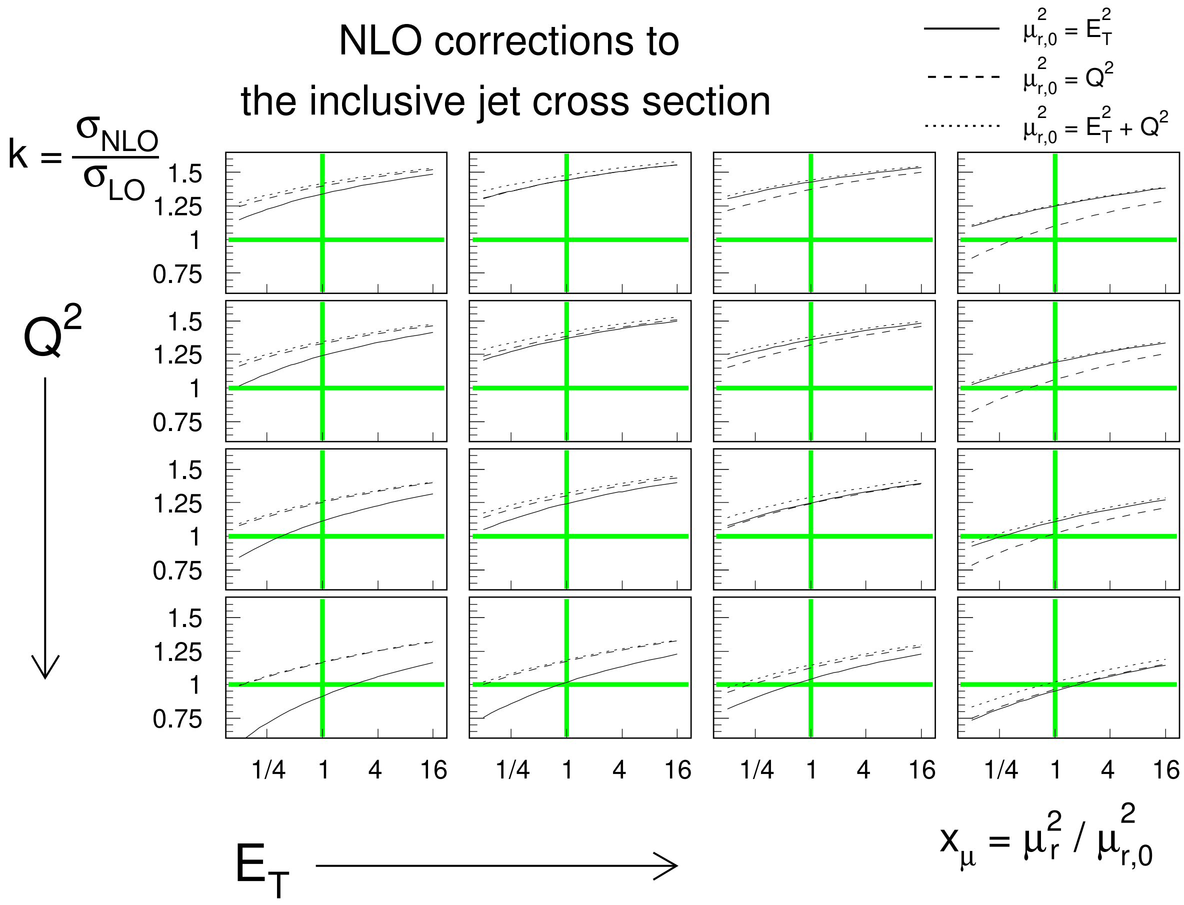

Figure 3.9: The k-factor for the inclusive jet cross section in bins of E_T (horizontal) and Q^2 (vertical) for three different choices of the renormalization scale: $\mu_r^2 = E_T^2$, $\mu_r^2 = Q^2$ and $\mu_r^2 = E_T^2 + Q^2$, as a function of the scale factor x_μ.

except in the region where E_T is large and Q^2 is small. The scale $\mu_r^2 = E_T^2 + Q^2$ gives always larger NLO corrections than $\mu_r^2 = E_T^2$.

Renormalization and Factorization Scale Dependence

The scale dependence of the cross section in the fixed order calculation is of the same order in α_s as the uncalculated higher order contributions [11] and can therefore be used to estimate the size of these contributions. The range within which the scale dependence is tested is, however, a matter of taste and convention. It is customary to vary the scales μ^2 by a factor x_μ ranging from 0.25 to 4 and quote the resulting change in the cross section as the corresponding uncertainty. Although the resulting number has no precise meaning, this convention allows at least a qualitative comparison of the corresponding uncertainties between different processes.

In the following we investigate the renormalization scale dependence of the jet cross

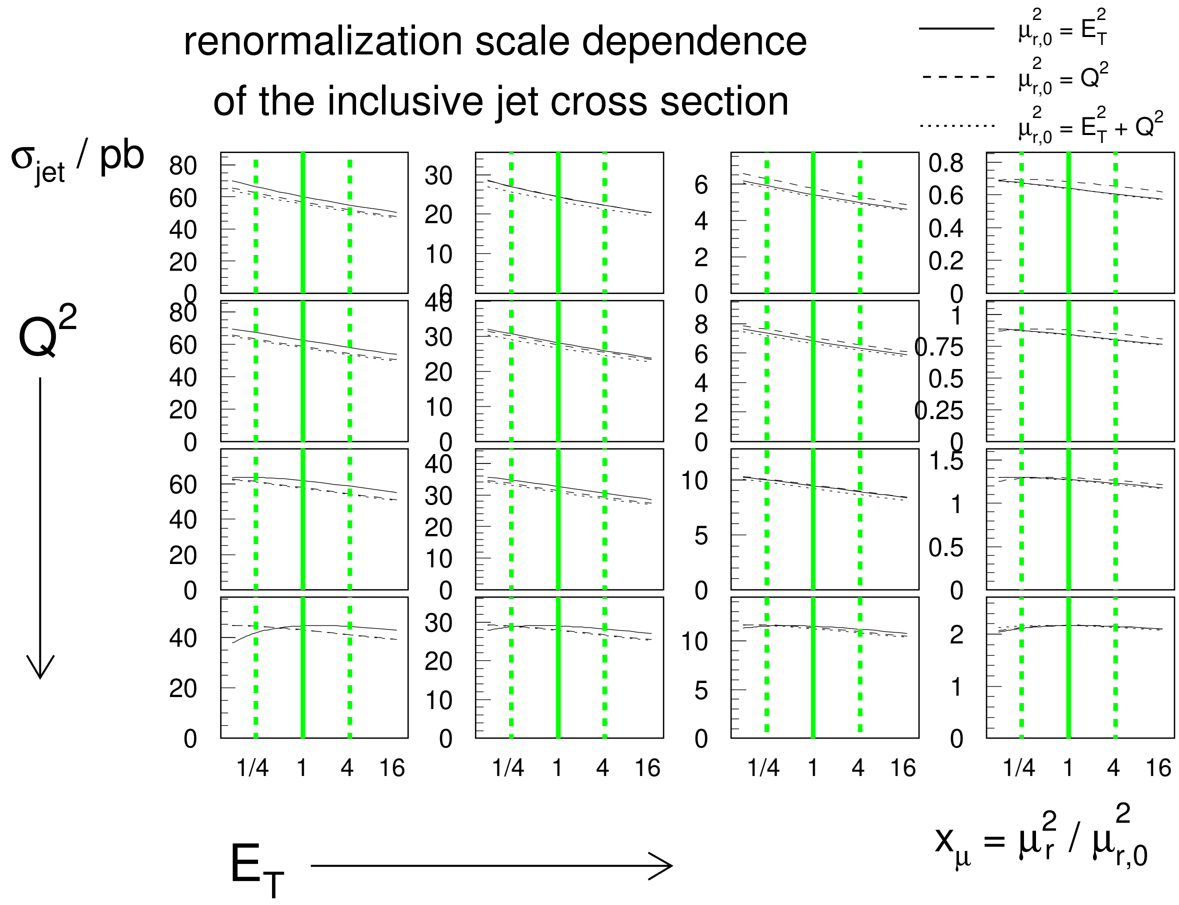

Figure 3.10: The renormalization scale dependence of the inclusive jet cross section in bins of E_T (horizontal) and Q^2 (vertical) for three different choices of the nominal renormalization scale: $\mu_r^2 = E_T^2$, $\mu_r^2 = Q^2$ and $\mu_r^2 = E_T^2 + Q^2$. Shown is the change of the cross section under variations of μ_r^2 by a factor x_μ around the central value $\mu_{r,0}^2$.

sections for different choices of the nominal scale. The renormalization scale dependence of the inclusive jet cross section is displayed in Fig. 3.10 in bins of E_T and Q^2 (as chosen in the analysis) for $\mu_r^2 = E_T^2$, $\mu_r^2 = Q^2$ and $\mu_r^2 = E_T^2 + Q^2$. We see that the renormalization scale dependence is directly related to the k-factor (c.f. Fig. 3.9). In those regions where the k-factors are large (especially at low Q^2) we also observe a large scale dependence. At large Q^2 the scale dependence is significantly reduced for all choices of $\mu_{r,0}^2$. For $\mu_r^2 = E_T^2$ the cross section becomes even flat within the range $0.25 < x_\mu < 4$ at high Q^2 (where the k-factors are close to one).

Similar studies have been performed for the dijet cross section using the inclusive $k_\perp$ algorithm. Fig. 3.11 shows the x_μ dependence at four different values of Q^2 for the leading order and the next-to-leading order calculation using $\mu_{r,0}^2 = \overline{E}_T^2$ and $\mu_{r,0}^2 = Q^2$. At $Q^2 > 500\,\mathrm{GeV}^2$ the scale dependence is significantly reduced at NLO compared to the LO calculation for both choices of $\mu_{r,0}^2$.

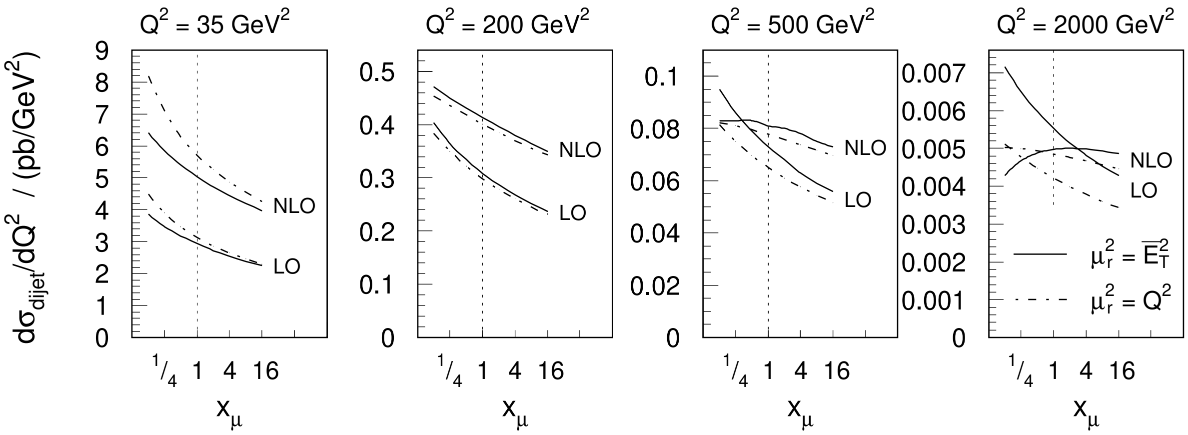

Figure 3.11: The renormalization scale dependence of the dijet cross section as defined by the inclusive $k_\perp$ algorithm. Shown is the change of the dijet cross section in leading order (lower lines) and in next-to-leading order (upper lines) under variations of the scale μ_r^2 by a factor of x_μ for $\mu_{r,0}^2 = \overline{E}_T^2$ (solid lines) and $\mu_{r,0}^2 = Q^2$ (dashed-dotted lines).

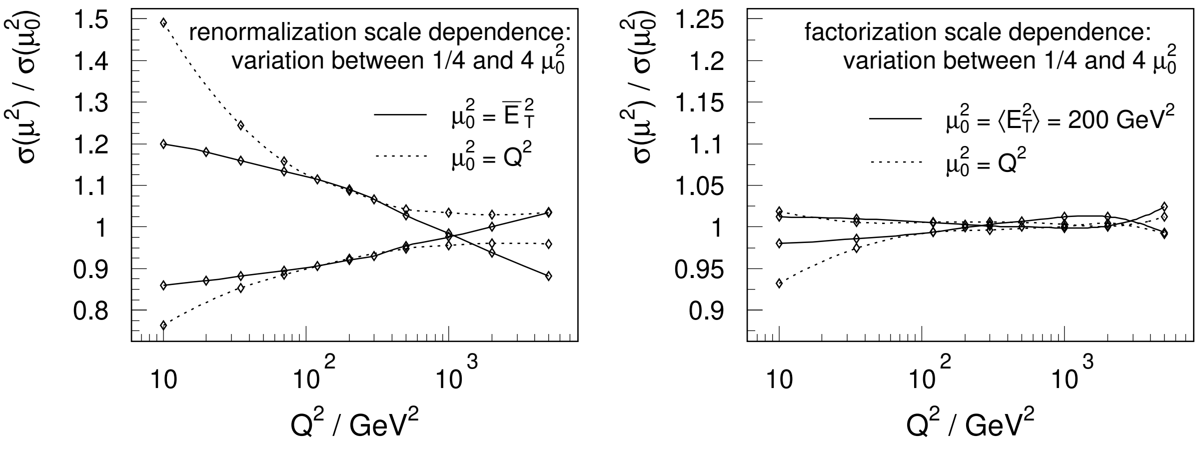

Figure 3.12: The renormalization (left) and factorization scale dependence (right) of the dijet cross section for the inclusive $k_\perp$ algorithm as a function of Q^2. Shown are the ratios of the cross sections obtained when varying the scales by a factor of 1/4 and 4 to the one obtained for the nominal scale.

At $Q^2 = 200\,\mathrm{GeV}^2$ it is already visible that the scale dependence of the NLO calculation becomes larger and at $Q^2 = 35\,\mathrm{GeV}^2$ (where the k-factor is almost two) the scale dependence of the NLO calculation is of the same size as that of the leading order calculation.

The relative change of the dijet cross section under variation of the scale μ_r^2 over the range $0.25 < x_\mu < 4$ is shown in Fig. 3.12 (left) as a function of Q^2. In this plot the reduced scale dependence for $\mu_{r,0}^2 = \overline{E}_T^2$ compared to $\mu_{r,0}^2 = Q^2$ is clearly seen. At $Q^2 > 150\,\mathrm{GeV}^2$ the scale dependence is below 10% and independent of $\mu_{r,0}^2$.

The factorization scale dependence of the dijet cross section is shown in the same representation in Fig. 3.12 (right) and can be seen to be significantly smaller (below 2% over the whole Q^2 range) than that of the renormalization scale.

3.3 Summary: Uncertainties in the QCD Predictions

The QCD predictions for the jet cross sections to be used in the QCD analysis of the jet data fall into perturbative and non-perturbative contributions. Both parts are affected by uncertainties which have been investigated in this chapter.

Uncertainties in the Hadronization Corrections

While the perturbative contributions are well defined this is not the case for the non-perturbative contributions. The application of predictions of phenomenological hadronization models which are matched to parton cascade models introduces two kinds of uncertainties. The first category consists of intrinsic uncertainties of the model predictions. These have been estimated by comparing the differences between different models and by variations of model parameters and are found to be of the order of a few percent. The second uncertainty concerns the ambiguity when applying the (unmatched) model predictions to next-to-leading order calculations. Investigations on this topic have been performed in a previous publication [53] based on comparisons of the final state topologies in parton cascade models and NLO calculations. It was found that although some properties (such as angular jet distributions) are very similar, other final state properties (such as the internal jet structure) are very much different.

In summary we draw the conclusion that the phenomenological models can be used to compare the size of the hadronization corrections for different observables. The application of these corrections to NLO calculations introduces uncertainties which can not be reliably estimated. Such a procedure should only be used when the estimated corrections are small, i.e. not much larger than 10%. As we have shown in this chapter this is the case for the inclusive jet definitions (inclusive $k_\perp$ and Aachen algorithm) if sufficiently hard cuts on the transverse jet energies are applied ($E_T > 7\,\mathrm{GeV}$). The inclusive jet algorithms shall therefore be used in this analysis to obtain the main results. The exclusive jet algorithms for which the hadronization corrections are very large (up to 60%) are only used to demonstrate the consistency of the procedure.

For the inclusive jet algorithms the uncertainties from the model and parameter dependence of the predictions are always below 3%. We take the uncertainty due to the matching of the parton level into account by increasing the quoted uncertainty in those kinematic regions where the corrections are large. In detail we define the uncertainty for each bin of the observables to be half of the size of the correction, but at least 3%.

For the hadronization corrections we use the averages of the model predictions by HERWIG, LEPTO and ARIADNE.

Uncertainties in the Perturbative Calculations

The perturbative QCD calculations in next-to-leading order depend on two purely technical parameters, namely the renormalization and the factorization scale.

We have shown that the factorization scale dependence is very small (below 2%). The choice of a fixed value of the factorization scale of $\mu_f^2 = 200\,\mathrm{GeV}^2 \simeq \langle E_T^2 \rangle$ for the QCD analysis is motivated later in section 8.2.

The renormalization scale dependence of the jet cross sections is seen to be directly related to the size of the next-to-leading order corrections. We have shown that the NLO corrections are sizable at $Q^2 \lesssim 100\,\mathrm{GeV}^2$ (the k-factor being larger than 1.5). We conclude that in this kinematic region the NLO calculation is only a poor approximation of perturbative QCD and not predictive since contributions from higher orders in α_s may be large. This means that jet data measured in this region can not be used for precise determinations of α_s and the gluon density in the proton.

In the region of large momentum transfers $Q^2 \gtrsim 150\,\mathrm{GeV}^2$ the renormalization scale dependence and the NLO corrections are reasonably small (the k-factors are below 1.4 and decreasing towards larger Q^2). In most phase space regions both effects are smaller for the scale $\mu_r^2 = E_T^2$ than for $\mu_r^2 = Q^2$. We therefore decide to use $\mu_r^2 = E_T^2$ to obtain the main results of this analysis. A further motivation for this choice is the fact that in jet production (in deep-inelastic scattering as in in other processes) the transverse jet energy E_T^2 is the *physical* scale at which hard QCD radiation is resolved.

The uncertainties of the NLO calculations from the renormalization and factorization scale dependence are defined as the relative change of the cross sections when the respective scale is varied by a factor x_μ in the range $0.25 < x_\mu < 4$.

Part II

Observation: Measurement of Jet Cross Sections in Deep-Inelastic Positron-Proton Collisions at $\sqrt{s} = 300\,\mathrm{GeV}$

4

Experimental Setup and Methods

The "Deutsches Elektronen-Synchrotron" (DESY) in Hamburg, Germany, started a series of high energy physics experiments in the year 1964 with the electron-synchrotron. In subsequent years the e^+e^- colliders DORIS and PETRA were added. The construction of the "Hadron-Electron Ring Accelerator" (HERA) started in 1984 and in 1991 HERA was put into operation. HERA is the first electron-proton collider in the world. The electron-proton center-of-mass energy of $\sqrt{s} \simeq 300\,\mathrm{GeV}$ is by more than a factor of ten larger than those reached in previous electron-proton scattering experiments with fixed proton targets.

In this chapter we give a brief overview of the HERA collider and the layout of the H1 detector and we describe those detector components that are needed for the measurement of jet cross sections at large momentum transfers. We introduce different methods to reconstruct the event kinematics and give an outline of the experimental method of unfolding measured data distributions.

4.1 The Hadron-Electron Ring Accelerator

The HERA collider consists of two separate storage rings, placed in a subterranean ring tunnel of 6.3 km circumference. Electrons (or positrons) and protons are separately accelerated up to energies of 27.5 GeV and 820 GeV respectively, and brought to collision at the North Hall and the South Hall where the multi-purpose detectors of the H1 and the ZEUS experiments are located[1] (Fig. 4.1, left). These experiments have been taking data since 1992. The fixed target experiments HERMES and HERA-B are located in the West Hall and in the East Hall. Since 1995 the HERMES experiment measures collisions of the polarized positron beam with polarized gas targets (H_2, D, ^{3}He, ^{4}He) to study phenomena related to the spin of the target particles. The HERA-B experiment utilizes the proton beam by inserting tungsten wire targets into the beam halo, to search for decay modes of the B^0-$\bar{B}^0$ system, indicating a violation of the combined charge conjugation and parity (CP) conservation.

[1] The present analysis is based on the data taken between April 1994 and 1997 where HERA was operated with positron beams rather than electron beams because the former showed a much larger lifetime. In 1998 the protons were accelerated to 920 GeV and the positron beam was again replaced by an electron beam.

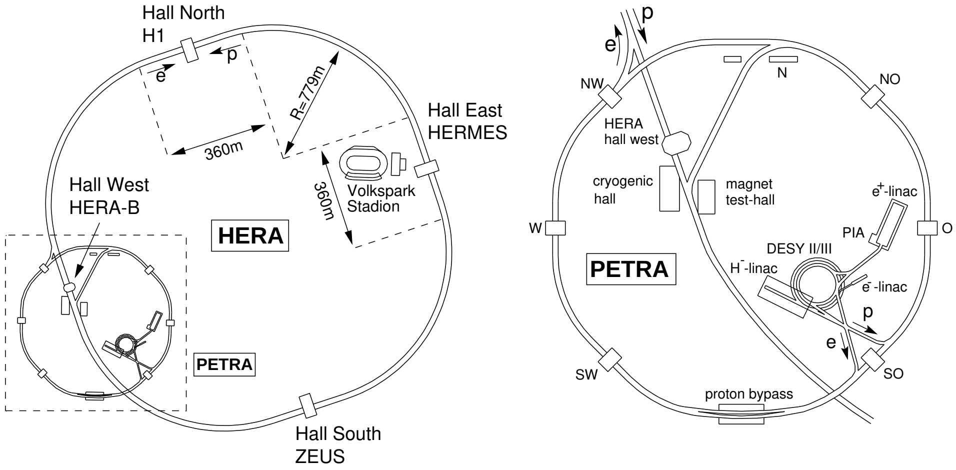

Figure 4.1: The electron-proton collider HERA (left), and the area of the DESY (right) including the preaccelerators LINAC I–III, DESY I–III and PETRA.

The protons are produced by passing H^- ions (accelerated to an energy of 50 MeV in LINAC III) through a stripper foil. The protons are collected in bunches and accelerated in DESY III (to 7.5 GeV) and in PETRA (to 40 GeV) before they are injected into HERA.

Positrons are provided by a 500 MeV linear accelerator, and are accelerated in DESY II (to 7 GeV), in PETRA (to 12 GeV) and are finally injected into HERA (Fig. 4.1, right). The positrons and protons are stored in typically 190 colliding bunches, with a length of ≈ 8 mm (110 mm) and typical currents of 30 mA (80 mA) for the positrons (protons). The bunch crossing interval is 96 ns, corresponding to a bunch crossing rate of 10.4 MHz. The lifetime of the positron (proton) beam is ≈ 10 (100) hours.

The HERA laboratory frame is defined by a right-handed coordinate system where the positive z-axis points along the proton beam direction. The x-axis and the y-axis point to the center of the HERA ring and upwards respectively. The nominal interaction point is taken as the origin. Polar angles θ are defined with respect to the positive z-direction and azimuthal angles ϕ are defined such that $\phi = 0$ points to the positive x-direction.

4.2 The H1 Detector

The final state particles from the positron-proton collisions are detected by the HERA detectors H1 and ZEUS. Both are designed as nearly hermetic multi-purpose detectors. An isometric view of the H1 detector is shown in Fig. 4.2. To account for the asymmetric beam energies of the colliding particles the forward region (i.e. the region towards the proton direction) is equipped with enhanced instrumentation. A detailed description of the H1 detector can be found in [79]. In the measurement of jet cross sections in deep-inelastic scattering,