

# Sterile Neutrinos in Physics, Astrophysics, Cosmology

## Part II: Light Active and Sterile Neutrinos in Cosmology

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Theoretical Aspects of Astroparticle Physics,  
Cosmology and Gravitation

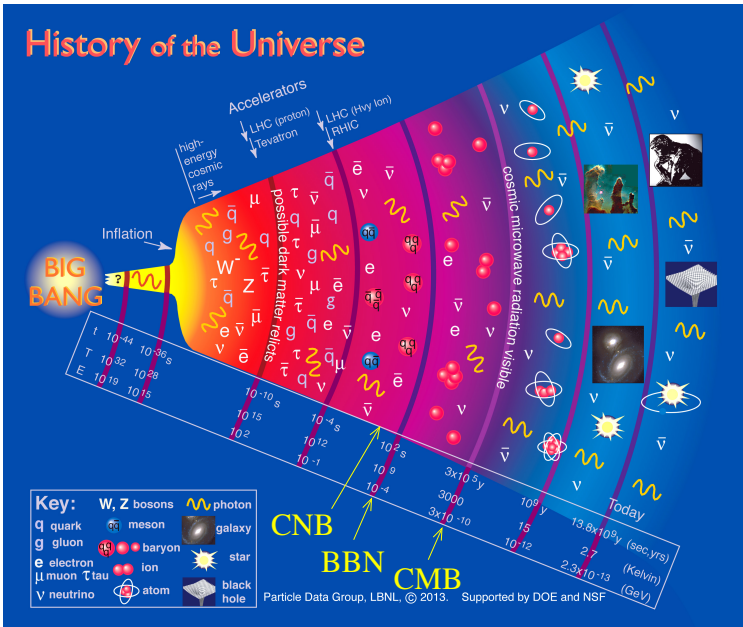
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# History of the Universe



## Basic Formalism

- ▶ Einstein equations of gravity:  $\mathcal{R}^{\mu\nu} - \frac{1}{2} \mathcal{R} g^{\mu\nu} - \Lambda g^{\mu\nu} = 8\pi G_N T^{\mu\nu}$
- ▶ Observations have shown that the Universe is **spatially homogeneous** and **isotropic** on large scales:  $\gtrsim 100$  Mpc.
- ▶ The Standard Cosmological Model assumes that there is a frame in which the total matter and radiation of the Universe can be described on large scales by a **perfect fluid** with the energy momentum tensor

$$T^{\mu\nu} = \text{diag}(\rho, p, p, p)$$

- ▶ In this **comoving frame**, the geometry of space-time is described by the **Friedmann–Robertson–Walker metric**

$$d\tau^2 = dt^2 - R^2(t) \left[ \frac{dr^2}{1 - k r^2} + r^2 (d\theta^2 + \sin^2 \theta d\phi^2) \right]$$

- ▶ The rate of expansion is given by the **Friedmann equation**:

$$H^2 = \frac{8\pi G_N}{3} \rho - \frac{k}{R^2} \qquad H(t) \equiv \frac{\dot{R}(t)}{R(t)}$$

▶ Redshift:  $z \equiv \frac{\lambda_0 - \lambda_e}{\lambda_e} = \frac{\Delta\lambda}{\lambda} \implies 1 + z = \frac{R(t_0)}{R(t_e)}$

▶ Radiation, matter and vacuum energy densities:  $\rho = \rho_R + \rho_M + \rho_\Lambda$

▶ Equation of state:  $p_i = w_i \rho_i$

Radiation:  $w_R = 1/3 \implies \rho_R \propto R^{-4} \propto (1+z)^4$

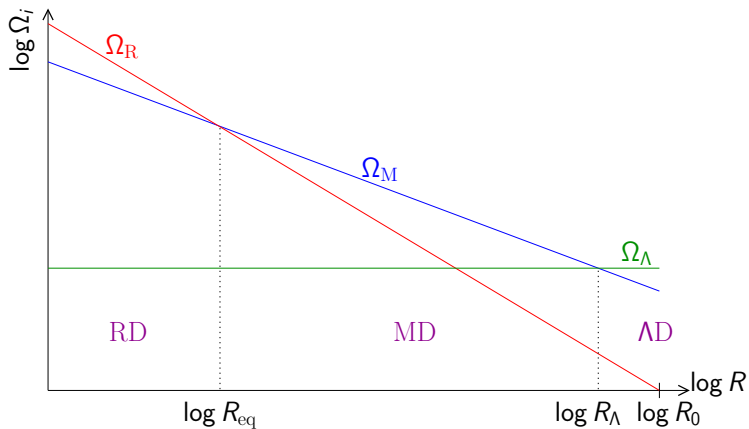
Matter:  $w_M = 0 \implies \rho_M \propto R^{-3} \propto (1+z)^3$

Vacuum Energy:  $w_\Lambda = -1 \implies \rho_\Lambda = \text{constant}$

▶ Flat Universe:  $k = 0 \implies \rho = \rho_c \equiv \frac{3H^2}{8\pi G_N}$  critical density

$$\rho_c^0 = \frac{3H_0^2}{8\pi G_N} = 10.54 h^2 \text{ keV cm}^{-3} \quad \text{with} \quad H_0 = 100 h \text{ km s}^{-1} \text{ Mpc}^{-1}$$

▶  $\Omega_i \equiv \frac{\rho_i}{\rho_c} \implies \Omega_R + \Omega_M + \Omega_\Lambda = 1$  for a flat Universe



$$\Omega_\Lambda^0 \simeq 0.7$$

$$\Omega_\Lambda = \Omega_\Lambda^0$$

$$\Omega_M^0 \simeq 0.3$$

$$\Omega_M = \Omega_M^0 (R/R_0)^{-3} = \Omega_M^0 (1+z)^3$$

$$\Omega_R^0 \simeq 10^{-4}$$

$$\Omega_R = \Omega_R^0 (R/R_0)^{-4} = \Omega_M^0 (1+z)^4$$

Friedmann equation for a flat Universe:  $H^2 = \frac{8\pi}{3 M_{\text{P}}^2} \rho$

$$\frac{H^2}{H_0^2} = \frac{\rho}{\rho^0} \implies H^2 = H_0^2 \frac{\rho_{\Lambda} + \rho_{\text{M}} + \rho_{\text{R}}}{\rho_{\text{c}}^0}$$

$$\rho_{\Lambda} = \rho_{\Lambda}^0$$

$$\rho_{\text{M}} = \rho_{\text{M}}^0 \left( \frac{R_0}{R} \right)^3 = \rho_{\text{M}}^0 (1+z)^3$$

$$\rho_{\text{R}} = \rho_{\text{R}}^0 \left( \frac{R_0}{R} \right)^4 = \rho_{\text{R}}^0 (1+z)^4$$

$$H^2 = H_0^2 \frac{\rho_{\Lambda}^0 + \rho_{\text{M}}^0 (1+z)^3 + \rho_{\text{R}}^0 (1+z)^4}{\rho_{\text{c}}^0}$$

$$H^2(z) = H_0^2 \left[ \Omega_{\Lambda}^0 + \Omega_{\text{M}}^0 (1+z)^3 + \Omega_{\text{R}}^0 (1+z)^4 \right]$$

The **expansion rate** depends on  $H_0$  and on  $\Omega_{\Lambda}^0$ ,  $\Omega_{\text{M}}^0$ ,  $\Omega_{\text{R}}^0$

$$t(z) = H_0^{-1} \int_0^{(1+z)^{-1}} \frac{dx}{\sqrt{\Omega_{\Lambda}^0 x^2 + \Omega_{\text{M}}^0 x^{-1} + \Omega_{\text{R}}^0 x^{-2}}}$$

# Thermodynamics of the Early Universe

- ▶ Thermal equilibrium:

$$n_\chi = \frac{g_\chi}{(2\pi)^3} \int f_\chi(\vec{p}) d^3p$$

$$\rho_\chi = \frac{g_\chi}{(2\pi)^3} \int E_\chi(\vec{p}) f_\chi(\vec{p}) d^3p$$

$$p_\chi = \frac{g_\chi}{(2\pi)^3} \int \frac{|\vec{p}|^2}{3E_\chi(\vec{p})} f_\chi(\vec{p}) d^3p$$

- ▶ Statistical distribution:  $f_\chi(\vec{p}) = \frac{1}{e^{(E_\chi(\vec{p}) - \mu_\chi)/T_\chi} \pm 1}$

- ▶ Chemical potential:

- ▶  $a + b \leftrightarrow c + d \implies \mu_a + \mu_b = \mu_c + \mu_d$

- ▶  $\mu_\gamma = 0$  and  $\chi + \bar{\chi} \rightarrow \gamma\gamma \implies \mu_\chi = -\mu_{\bar{\chi}}$

- ▶ Conserved charge  $\implies \mu_\chi \neq 0$  if  $n_\chi \neq n_{\bar{\chi}}$

► Relativistic limit:  $T_\chi \gg m_\chi$  and  $T_\chi \gg \mu_\chi \implies f_\chi(\vec{p}) \simeq \frac{1}{e^{|\vec{p}|/T_\chi} \pm 1}$

$$n_\chi \simeq \begin{cases} \frac{\zeta(3)}{\pi^2} g_\chi T_\chi^3 & (\chi = \text{boson}) \\ \frac{3}{4} \frac{\zeta(3)}{\pi^2} g_\chi T_\chi^3 & (\chi = \text{fermion}), \end{cases}$$

$$\varrho_\chi \simeq \begin{cases} \frac{\pi^2}{30} g_\chi T_\chi^4 & (\chi = \text{boson}) \\ \frac{7}{8} \frac{\pi^2}{30} g_\chi T_\chi^4 & (\chi = \text{fermion}), \end{cases}$$

$$p_\chi \simeq \frac{1}{3} \varrho_\chi,$$

► Average energy:

$$\langle E_\chi \rangle \simeq \langle |\vec{p}_\chi| \rangle \simeq \begin{cases} \frac{\pi^4}{30 \zeta(3)} T_\chi \simeq 2.701 T_\chi & (\chi = \text{boson}) \\ \frac{7\pi^4}{180 \zeta(3)} T_\chi \simeq 3.151 T_\chi & (\chi = \text{fermion}) \end{cases}$$



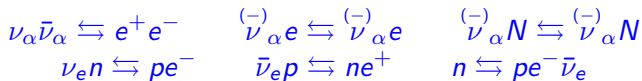
## Radiation Temperature Scaling

$$\left. \begin{array}{l} \rho_R \propto R^{-4} \\ \rho_R \propto T^4 \end{array} \right\} \implies T \propto R^{-1}$$

The Universe cools during expansion!

# Neutrino Decoupling

- ▶ Active neutrinos are in equilibrium in the early Universe through weak interactions ( $\alpha = e, \mu, \tau$ ):



- ▶ Interaction rate:  $\Gamma_{\nu_\alpha} = n_{\nu_\alpha} \langle \sigma_{\nu_\alpha} v \rangle \sim G_F^2 T^5$

$$n_{\nu_\alpha} \sim T^3 \quad \sigma_{\nu_\alpha} \sim G_F^2 T^2 \quad v \simeq 1$$

- ▶ In the radiation-dominated era:  $H^2 \simeq \frac{8\pi}{3 M_{\text{Pl}}^2} \rho_{\text{R}}$  with  $\rho_{\text{R}} = \frac{\pi^2}{30} g_* T^4$

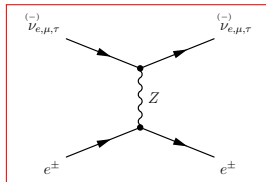
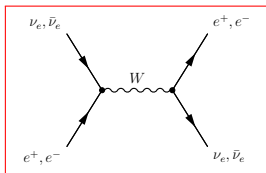
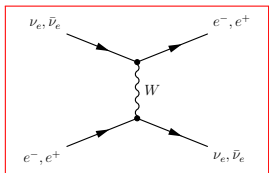
$$H \simeq \frac{2\pi^{3/2}}{3\sqrt{5} M_{\text{Pl}}} \sqrt{g_*} T^2 \quad g_* = \sum_{\chi=\text{relativistic bosons}} g_\chi + \frac{7}{8} \sum_{\chi=\text{relativistic fermions}} g_\chi$$

- ▶ Before  $\nu$  decoupling:  $g_* = g_*^{(\gamma)} + g_*^{(e^\pm)} + g_*^{(\nu)} = 2 + \frac{7}{8} 4 + \frac{7}{8} 6 = 10.75$

▶ Neutrino decoupling:  $\Gamma_{\nu_\alpha} \sim H \implies T^{\nu_\alpha\text{-dec}} \sim (M_{\text{P}} G_{\text{F}}^2)^{-1/3} \sim 1 \text{ MeV}$

▶ A more precise calculation takes into account that the dominant processes for  $T \lesssim 100 \text{ MeV}$  are

$$\nu_\alpha \bar{\nu}_\alpha \leftrightarrow e^+ e^- \quad \bar{\nu}_\alpha e \leftrightarrow \bar{\nu}_\alpha e$$



▶ Since the rates of these processes depend on neutrino energy  $E \simeq p$ , the decoupling temperature is not instantaneous and depends on  $p$ :

$$T^{\nu_e\text{-dec}}(p) \simeq 2.7 \left(\frac{p}{T}\right)^{-1/3} \quad T^{\nu_{\mu,\tau}\text{-dec}}(p) \simeq 4.5 \left(\frac{p}{T}\right)^{-1/3}$$

▶ Taking into account that  $\langle E \rangle \simeq 3T$ , one obtains:

$$T^{\nu_e\text{-dec}} \simeq 1.9 \text{ MeV} \quad T^{\nu_{\mu,\tau}\text{-dec}} \simeq 3.1 \text{ MeV}$$

▶ Hot relics: relativistic at decoupling  $\implies f_{\nu}^{\nu\text{-dec}}(\vec{p}) \simeq \frac{1}{e^{|\vec{p}|/T^{\nu\text{-dec}}} + 1}$

▶ After decoupling:  $f_{\nu}(\vec{p}) = f_{\nu}(\vec{p})|_{\nu\text{-dec}} = f_{\nu}^{\nu\text{-dec}}(\vec{p}_{\nu\text{-dec}})$

▶ Momentum scaling with expansion:  $\vec{p} = \vec{p}_{\nu\text{-dec}} \left( \frac{R}{R_{\nu\text{-dec}}} \right)^{-1}$

$$f_{\nu}(\vec{p}) \simeq \left[ \exp\left( \frac{|\vec{p}| (R/R_{\nu\text{-dec}})}{T^{\nu\text{-dec}}} \right) + 1 \right]^{-1} = \frac{1}{e^{|\vec{p}|/T_{\nu}} + 1}$$

Effective temperature scales with expansion:

$$T_{\nu} = T^{\nu\text{-dec}} \left( \frac{R}{R_{\nu\text{-dec}}} \right)^{-1}$$

## Electron-Positron Annihilation

- ▶ After neutrino decoupling at  $T \simeq 1 \text{ MeV}$   $e^\pm$  and  $\gamma$  are the only relativistic particles in thermal equilibrium.
- ▶ At  $m_e/3 \simeq 0.2 \text{ MeV}$  electrons and positrons became nonrelativistic: out-of-equilibrium  $e^- e^+ \rightarrow \gamma\gamma$  heat the photon distribution.
- ▶ During this phase the photon temperature does not scale as  $R^{-1}$ .

▶ Entropy density: 
$$s = \frac{\rho + p}{T} = \frac{2\pi^2}{45} g_s T_\gamma^3$$

$$g_s = \sum_{\chi=\text{interacting relativistic bosons}} g_\chi + \frac{7}{8} \sum_{\chi=\text{interacting relativistic fermions}} g_\chi$$

▶ Entropy conservation:  $s \propto R^{-3} \implies T_\gamma \propto g_s^{-1/3} R^{-1}$

▶ Before and after  $e^-e^+$  annihilation:  $\frac{T_\nu^{\text{after}}}{T_\nu^{\text{before}}} = \left( \frac{R^{\text{after}}}{R^{\text{before}}} \right)^{-1}$

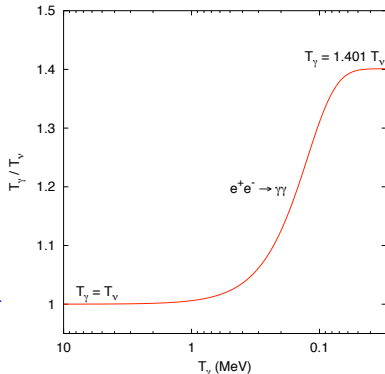
$$\frac{T_\gamma^{\text{after}}}{T_\gamma^{\text{before}}} = \left( \frac{g_s^{\text{after}}}{g_s^{\text{before}}} \right)^{-1/3} \left( \frac{R^{\text{after}}}{R^{\text{before}}} \right)^{-1} = \left( \frac{g_s^{\text{after}}}{g_s^{\text{before}}} \right)^{-1/3} \frac{T_\nu^{\text{after}}}{T_\nu^{\text{before}}}$$

▶  $T_\gamma^{\text{before}} = T_\nu^{\text{before}}$

▶  $g_s^{\text{before}} = g_s^{(\gamma)} + g_s^{(e^\pm)} = 2 + \frac{7}{8} 4 = \frac{11}{2}$

▶  $g_s^{\text{after}} = g_s^{(\gamma)} = 2$

▶  $T_\nu^{\text{after}} = \left( \frac{4}{11} \right)^{1/3} T_\gamma^{\text{after}} \simeq 0.7138 T_\gamma^{\text{after}}$



▶  $T_\nu^0 = \left( \frac{4}{11} \right)^{1/3} T_\gamma^0 = 1.945 \pm 0.001 \text{ K} = (1.676 \pm 0.001) \times 10^{-4} \text{ eV}$

# Effective Number of Relativistic Degrees Of Freedom

- ▶ Radiation density:

$$\rho_R = \left[ 1 + \frac{7}{8} \left( \frac{4}{11} \right)^{4/3} N_{\text{eff}} \right] \rho_\gamma$$

- ▶ Three standard neutrinos:  $N_{\text{eff}}^{3\nu} = 3.0440 \pm 0.0002$

[Bennett, Buldgen, de Salas, Drewes, Gariazzo, Pastor, Wong, arXiv:2012.02726]

$$N_{\text{eff}}^{3\nu} = 3.046 \text{ [Mangano et al, arXiv:hep-ph/0506164]}$$

$$N_{\text{eff}}^{3\nu} = 3.045 \text{ [de Salas, Pastor, arXiv:1606.06986]}$$

- ▶  $N_{\text{eff}}^{3\nu} > 3$  because neutrino decoupling was not instantaneous at  $T^{\nu\text{-dec}}$ : higher-energy neutrinos decoupled later and were not completely decoupled during  $e^-e^+$  annihilation. The non-thermal distortions of the energy distribution generate an effective  $N_{\text{eff}}^{3\nu} > 3$ .
- ▶ **Light sterile neutrinos** can be produced by active-sterile oscillations before the decoupling of the active neutrinos, increasing  $N_{\text{eff}}$ .
- ▶ BSM light particles contribute to  $\Delta N_{\text{eff}} \equiv N_{\text{eff}} - N_{\text{eff}}^{3\nu}$ .
- ▶ A completely thermalized **sterile neutrino** contributes with  $\Delta N_{\text{eff}} = 1$ .
- ▶ It is possible to have partial thermalizations with  $\Delta N_{\text{eff}} < 1$ .

## $\nu$ oscillations in the early universe

comoving coordinates:  $a = 1/T$   $x \equiv m_e a$   $y \equiv p a$   $z \equiv T_\gamma a$   $w \equiv T_\nu a$

$$\text{density matrix: } \varrho(x, y) = \begin{pmatrix} \varrho_{ee} \equiv f_{\nu_e} & \varrho_{e\mu} & \varrho_{e\tau} & \varrho_{es} \\ \varrho_{\mu e} & \varrho_{\mu\mu} \equiv f_{\nu_\mu} & \varrho_{\mu\tau} & \varrho_{\mu s} \\ \varrho_{\tau e} & \varrho_{\tau\mu} & \varrho_{\tau\tau} \equiv f_{\nu_\tau} & \varrho_{\tau s} \\ \varrho_{se} & \varrho_{s\mu} & \varrho_{s\tau} & \varrho_{ss} \equiv f_{\nu_s} \end{pmatrix}$$

$$\frac{d\varrho(y, x)}{dx} = \sqrt{\frac{3m_{\text{Pl}}^2}{8\pi\rho_T}} \left\{ -i \frac{x^2}{m_e^3} \left[ \frac{M_F}{2y} - \frac{8\sqrt{2}G_F y m_e^6}{3x^6} \left( \frac{\mathbb{E}_\ell}{m_W^2} + \frac{\mathbb{E}_\nu}{m_Z^2} \right), \varrho \right] + \frac{m_e^3 G_F^2}{(2\pi)^3 x^4 y^2} \mathcal{I}(\varrho) \right\}$$

$m_{\text{Pl}}$  Planck mass –  $\rho_T$  total energy density –  $m_{W,Z}$  mass of the  $W, Z$  bosons –  $G_F$  Fermi constant –  $[\cdot, \cdot]$  commutator



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$$\mathbb{M}_F = U M U^\dagger$$

$$M = \text{diag}(m_1^2, \dots, m_N^2)$$

$$U = R^{34} R^{24} R^{14} R^{23} R^{13} R^{12}$$

$$\text{e.g. } R^{14} = \begin{pmatrix} \cos \theta_{14} & 0 & 0 & \sin \theta_{14} \\ 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \\ -\sin \theta_{14} & 0 & 0 & \cos \theta_{14} \end{pmatrix}$$

$$|U|^2 = \begin{pmatrix} \dots & \dots & \dots & \sin^2 \theta_{14} \\ \dots & \dots & \dots & \cos^2 \theta_{14} \sin^2 \theta_{24} \\ \dots & \dots & \dots & \cos^2 \theta_{14} \cos^2 \theta_{24} \sin^2 \theta_{34} \\ \dots & \dots & \dots & \cos^2 \theta_{14} \cos^2 \theta_{24} \cos^2 \theta_{34} \end{pmatrix}$$

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$$\mathbb{M}_F = U M U^\dagger$$

$$\mathbb{E}_\ell = \text{diag}(\rho_e, \rho_\mu, 0, 0) \quad \mathbb{E}_\nu = S_a \left( \int dy y^3 \varrho \right) S_a \quad \text{with } S_a = \text{diag}(1, 1, 1, 0)$$

lepton densities                      neutrino densities                      (only for active neutrinos)

take into account matter effects in oscillations

## $\nu$ oscillations in the early universe

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$\mathcal{I}(\varrho)$  collision integrals

take into account neutrino-electron scattering and pair annihilation

2D integrals over the momentum, take most of the computation time

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$\mathcal{I}(\rho)$  collision integrals

from continuity  
equation  
 $\dot{\rho} = -3H(\rho + P)$

$$\frac{dz}{dx} = \frac{\sum_{\ell=e,\mu} \left[ \frac{r_\ell^2}{r} J(r_\ell) \right] + G_1(r) - \frac{1}{2\pi^2 z^3} \int_0^\infty dy y^3 \sum_{\alpha=e}^s \frac{d\rho_{\alpha\alpha}}{dx}}{\sum_{\ell=e,\mu} \left[ r_\ell^2 J(r_\ell) + Y(r_\ell) \right] + G_2(r) + \frac{2\pi^2}{15}}$$

$r = x/z$ ,  $r_\ell = m_\ell/m_e r$   $J(r)$ ,  $Y(r)$  from non-relativistic transition of  $e^\pm$ ,  $\mu^\pm$   
 $G_1(r)$  and  $G_2(r)$  from electromagnetic corrections

## $\nu$ oscillations in the early universe

comoving coordinates:  $a = 1/T$   $x \equiv m_e a$   $y \equiv p a$   $z \equiv T_\gamma a$   $w \equiv T_\nu a$

$$\text{density matrix: } \rho(x, y) = \begin{pmatrix} \rho_{ee} \equiv f_{\nu_e} & \rho_{e\mu} & \rho_{e\tau} & \rho_{es} \\ \rho_{\mu e} & \rho_{\mu\mu} \equiv f_{\nu_\mu} & \rho_{\mu\tau} & \rho_{\mu s} \\ \rho_{\tau e} & \rho_{\tau\mu} & \rho_{\tau\tau} \equiv f_{\nu_\tau} & \rho_{\tau s} \\ \rho_{se} & \rho_{s\mu} & \rho_{s\tau} & \rho_{ss} \equiv f_{\nu_s} \end{pmatrix}$$

$$\frac{d\rho(y, x)}{dx} = \sqrt{\frac{3m_{\text{Pl}}^2}{8\pi\rho_T}} \left\{ -i \frac{x^2}{m_e^3} \left[ \frac{\mathbb{M}_F}{2y} - \frac{8\sqrt{2}G_F y m_e^6}{3x^6} \left( \frac{\mathbb{E}_\ell}{m_W^2} + \frac{\mathbb{E}_\nu}{m_Z^2} \right), \rho \right] + \frac{m_e^3 G_F^2}{(2\pi)^3 x^4 y^2} \mathcal{I}(\rho) \right\}$$

$m_{\text{Pl}}$  Planck mass –  $\rho_T$  total energy density –  $m_{W,Z}$  mass of the  $W, Z$  bosons –  $G_F$  Fermi constant –  $[\cdot, \cdot]$  commutator

$$\mathbb{M}_F = U M U^\dagger \quad \mathbb{E}_\ell = \text{diag}(\rho_e, \rho_\mu, 0, 0) \quad \mathbb{E}_\nu = S_a \left( \int dy y^3 \rho \right) S_a$$

$\mathcal{I}(\rho)$  collision integrals

from continuity  
equation

$$\dot{\rho} = -3H(\rho + P)$$

$$\frac{dz}{dx} = \frac{\sum_{\ell=e,\mu} \left[ \frac{r_\ell^2}{r} J(r_\ell) \right] + G_1(r) - \frac{1}{2\pi^2 z^3} \int_0^\infty dy y^3 \sum_{\alpha=e}^s \frac{d\rho_{\alpha\alpha}}{dx}}{\sum_{\ell=e,\mu} \left[ r_\ell^2 J(r_\ell) + Y(r_\ell) \right] + G_2(r) + \frac{2\pi^2}{15}}$$

neutrino temperature  $w$ : same equation as  $z$ , but electrons always relativistic

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neutrino temperature  $w$ : same equation as  $z$ , but electrons always relativistic

initial conditions:  $\varrho_{\alpha\alpha} = \text{Fermi-Dirac}$  at  $x_{\text{in}} \simeq 0.001$ , with  $w = z \simeq 1$

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$$\frac{d\varrho(y, x)}{dx} = \sqrt{\frac{3m_{\text{Pl}}^2}{8\pi\rho_T}} \left\{ -i \frac{x^2}{m_e^3} \left[ \frac{M_F}{2y} - \frac{8\sqrt{2}G_F y m_e^6}{3x^6} \left( \frac{\mathbb{E}_\ell}{m_W^2} + \frac{\mathbb{E}_\nu}{m_Z^2} \right), \varrho \right] + \frac{m_e^3 G_F^2}{(2\pi)^3 x^4 y^2} \mathcal{I}(\varrho) \right\}$$

### FORTRAN-EVOLVED PRIMORDIAL NEUTRINO OSCILLATIONS (FORTEPIANO)

[https://bitbucket.org/ahep\\_cosmo/fortepiano\\_public](https://bitbucket.org/ahep_cosmo/fortepiano_public)

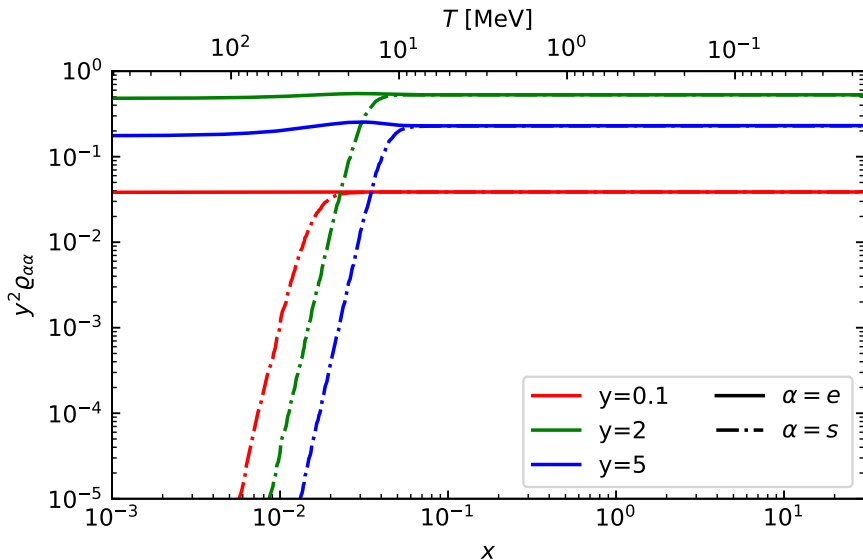
from continuity  
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 $\dot{\rho} = -3H(\rho + P)$

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# Momentum distributions

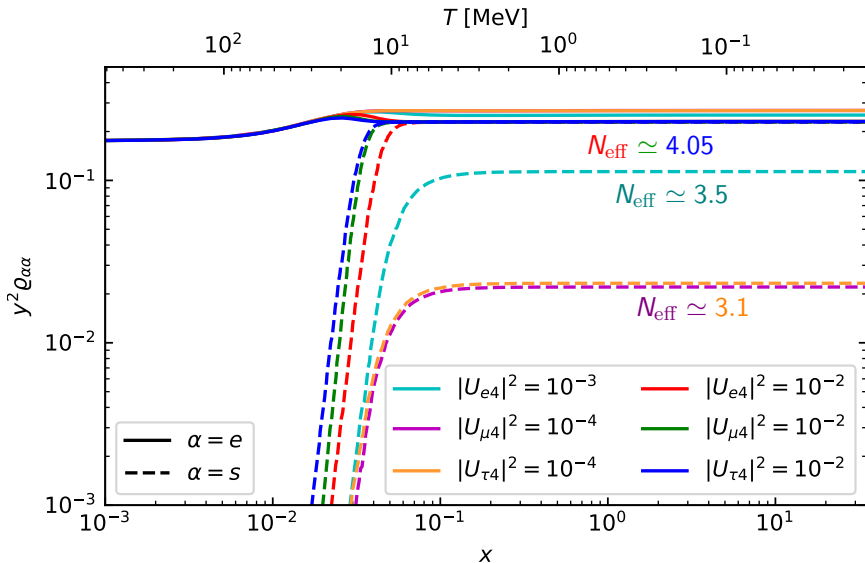
$$\Delta m_{41}^2 = 1.29 \text{ eV}^2, |U_{e4}|^2 = 10^{-2}, |U_{\mu 4}|^2 = |U_{\tau 4}|^2 = 0, N_{\text{eff}} \simeq 4.05$$





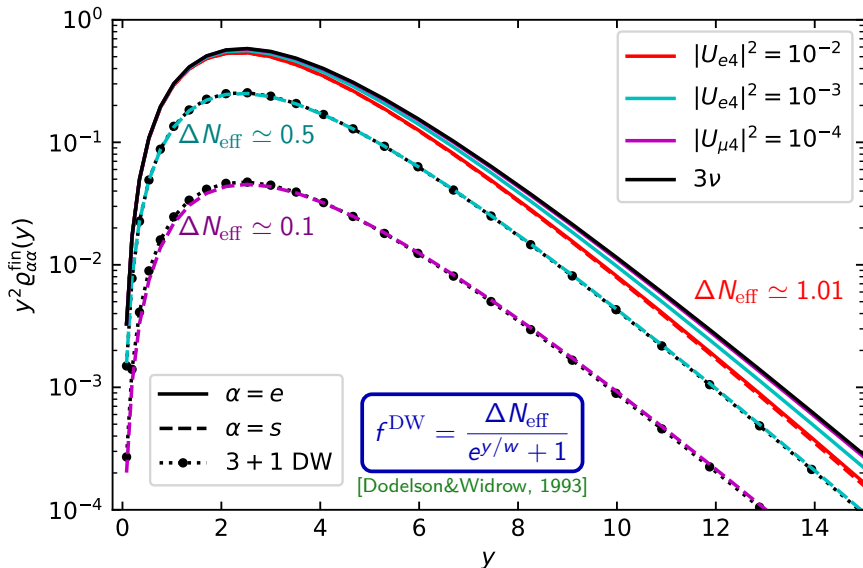
# Momentum distributions

$$\Delta m_{41}^2 = 1.29 \text{ eV}^2, \text{ other } |U_{\beta 4}|^2 = 0, y = 5$$



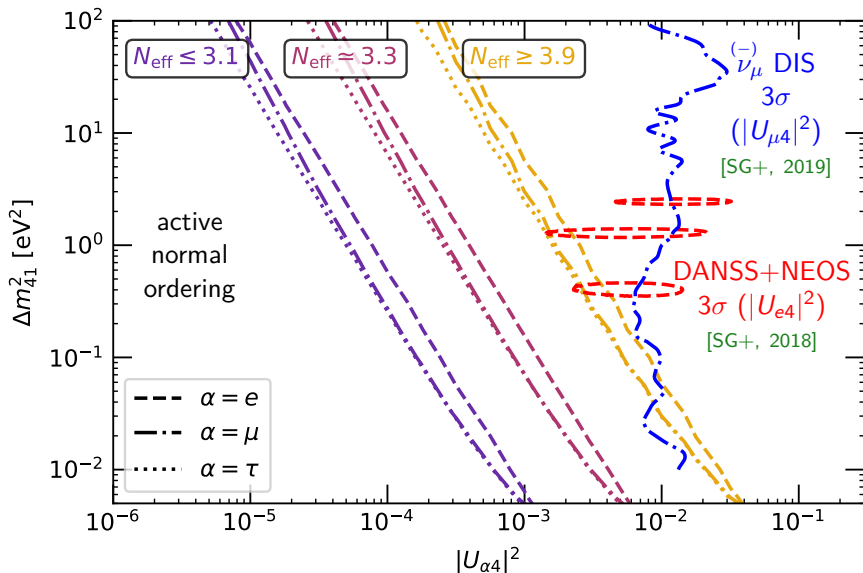
# Momentum distributions

$$\Delta m_{41}^2 = 1.29 \text{ eV}^2, \text{ other } |U_{\beta 4}|^2 = 0, \Delta N_{\text{eff}} = N_{\text{eff}} - N_{\text{eff}}^{\text{active}}$$



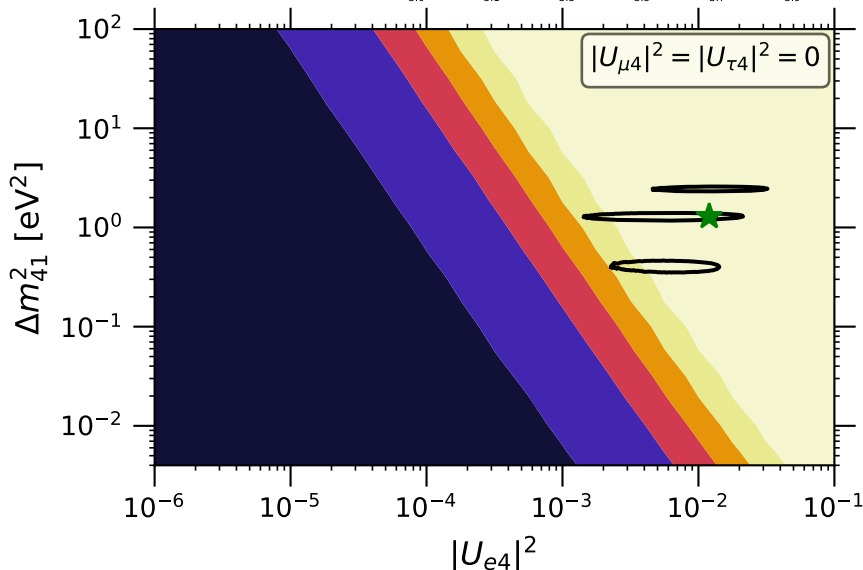
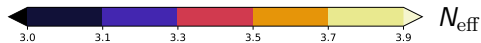
# $N_{\text{eff}}$ and the new mixing parameters

Only vary one angle and fix two to zero: do they have the same effect?



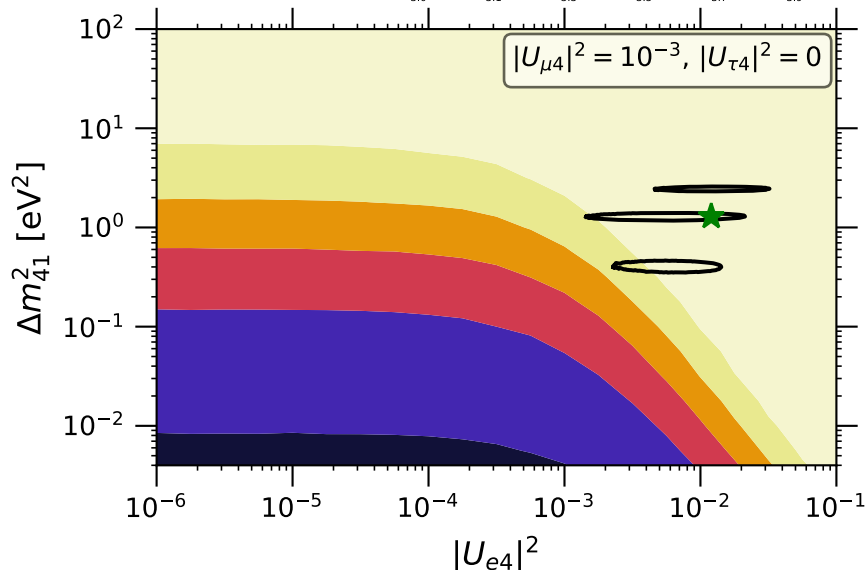
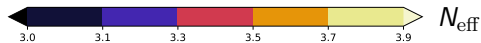
# $N_{\text{eff}}$ and the new mixing parameters

We can vary more than one angle:



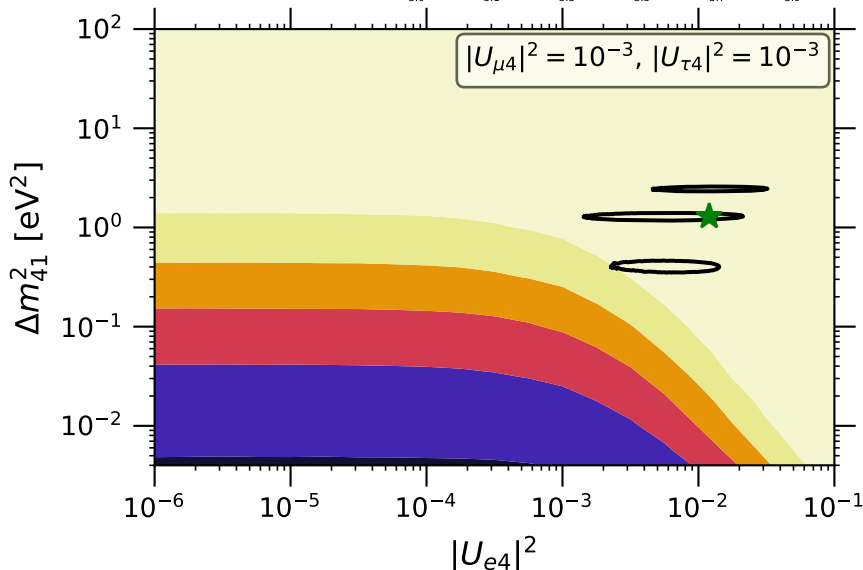
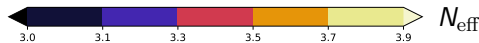
# $N_{\text{eff}}$ and the new mixing parameters

We can vary more than one angle:



# $N_{\text{eff}}$ and the new mixing parameters

We can vary more than one angle:



# Nonrelativistic Transition

- ▶ After decoupling  $T_\nu \propto R^{-1} \implies T_\nu = T_\nu^0 \left( \frac{R_0}{R} \right) = T_\nu^0 (1+z)$
- ▶ Nonrelativistic transition:  $T_{\nu_i}^{\text{nr}} \simeq 3m_i \implies z_{\nu_i}^{\text{nr}} \simeq \frac{m_i}{3T_\nu^0} \simeq 2.0 \times 10^3 \left( \frac{m_i}{\text{eV}} \right)$   
 $m_3 \gtrsim 5 \times 10^{-2} \text{ eV} \implies z_{\nu_3}^{\text{nr}} \gtrsim 100$        $m_2 \gtrsim 8 \times 10^{-3} \text{ eV} \implies z_{\nu_2}^{\text{nr}} \gtrsim 16$
- ▶ After the nonrelativistic transition:  $\rho_{\nu_i} \simeq m_i n_{\nu_i}$
- ▶  $n_\nu^0 + n_{\bar{\nu}}^0 \simeq \frac{3}{2} \frac{\zeta(3)}{\pi^2} (T_\nu^0)^3 \simeq \frac{6}{11} \frac{\zeta(3)}{\pi^2} (T_\gamma^0)^3 = \frac{3}{11} n_\gamma^0 \simeq 112 \text{ cm}^{-3}$
- ▶  $\rho_c^0 \equiv \frac{3H_0^2}{8\pi G_N} \simeq 10.54 h^2 \text{ keV cm}^{-3} \implies \Omega_{\nu_i}^0 \simeq \frac{m_i(n_\nu^0 + n_{\bar{\nu}}^0)}{\rho_c^0} \simeq \frac{m_i}{94.1 h^2 \text{ eV}}$
- ▶ Nonthermal distortions  $\implies \Omega_{\nu_i}^0 \simeq \frac{m_i}{93.1 h^2 \text{ eV}}$        $\Omega_{\nu_3}^0 \gtrsim 5 \times 10^{-4}$   
 $\Omega_{\nu_2}^0 \gtrsim 9 \times 10^{-5}$

- ▶ Total contribution of SM neutrinos to the current energy density of the Universe: [Gershtein, Zeldovich, JETP Lett. 4 (1966) 120; Cowsik, McClelland, PRL 29 (1972) 669]

$$\Omega_{3\nu}^0 \simeq \frac{\sum_i m_i}{93.1 h^2 \text{ eV}}$$

$$\left. \begin{array}{l} \Omega_{3\nu}^0 \leq \Omega_M^0 - \Omega_B^0 \simeq 0.25 \\ h \simeq 0.7 \end{array} \right\} \Rightarrow \sum_{i=1}^3 m_i \lesssim 10 \text{ eV}$$

- ▶ This bound is not competitive with the current kinematical laboratory limit from the KATRIN experiment:

$$m_1, m_2, m_3 \lesssim m_\beta \lesssim 1 \text{ eV} \Rightarrow \sum_{i=1}^3 m_i \lesssim 3 \text{ eV}$$

- ▶ For a completely thermalized non-standard (mainly sterile) massive neutrino  $\nu_4$ :

$$\Omega_{\nu_4}^0 \simeq \frac{m_4}{94.1 h^2 \text{ eV}} \Rightarrow m_4 \lesssim 10 \text{ eV}$$



# Matter-Radiation Equality

- ▶ Matter-radiation equality is important because subhorizon matter density fluctuations can grow only during the matter-dominated era.
- ▶ Therefore structure formation starts at matter-radiation equality.
- ▶ Where neutrino still relativistic at matter-radiation equality?
- ▶ The answer to this question is important in order to determine the effect of neutrinos on structure formation.
- ▶ Redshift of matter-radiation equality:

$$\left. \begin{array}{l} \rho_M \propto R^{-3} \\ \rho_R \propto R^{-4} \end{array} \right\} \Rightarrow \frac{\rho_M}{\rho_R} = \frac{\rho_M^0}{\rho_R^0} \frac{R}{R_0} = \frac{\rho_M^0}{\rho_R^0} (1+z)^{-1} \Rightarrow 1+z_{\text{eq}} = \frac{\rho_M^0}{\rho_R^0} = \frac{\Omega_M^0}{\Omega_R^0}$$

- ▶ This relation assumes that the number of relativistic particles is not changed.

- If neutrinos were relativistic at matter-radiation equality:

$$1 + z_{\text{eq}} = \frac{\Omega_{\text{M}}^0}{\Omega_{\text{R}}^0}(m_\nu = 0) = \frac{\Omega_{\text{M}}^0}{\Omega_\gamma^0 + \Omega_\nu^0(m_\nu = 0)}$$

$$\begin{aligned}\Omega_{\text{R}}^0(m_\nu = 0) &= \left[ 1 + 3 \left( \frac{4}{11} \right)^{4/3} \right] \Omega_\gamma^0 \simeq 4.4 \times 10^{-5} h^{-2} \\ &\simeq 8.9 \times 10^{-5} \quad \text{for } h \simeq 0.7\end{aligned}$$

$$z_{\text{eq}} \simeq 2.4 \times 10^4 (\Omega_{\text{M}}^0) h^2 \simeq 3.5 \times 10^3 \quad \text{for } \Omega_{\text{M}}^0 \simeq 0.3$$

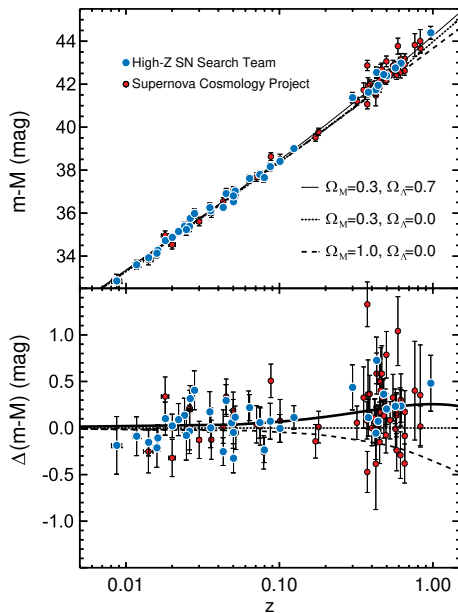
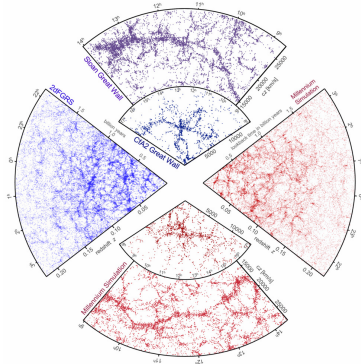
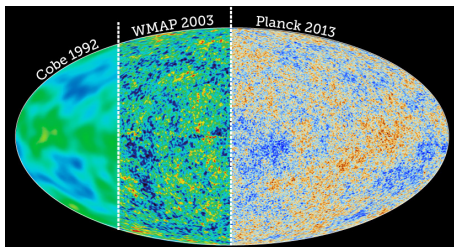
$$z_{\nu_i}^{\text{nr}} \simeq 2.0 \times 10^3 \left( \frac{m_i}{\text{eV}} \right) < z_{\text{eq}} \quad \text{for } m_i \lesssim 1.75 \text{ eV}$$

- ▶ Therefore light massive neutrinos with  $m_i \lesssim 1 \text{ eV}$  became nonrelativistic after matter-radiation equality.
- ▶ Before  $t_{\nu_i}^{\text{nr}}$  neutrinos free stream  $\implies$  subhorizon matter density fluctuations are suppressed by neutrino free streaming from  $t_{\text{eq}}$  to  $t_{\nu_i}^{\text{nr}}$ .
- ▶ Current physical free-streaming scale:  $\lambda_{\nu_i\text{-fs}}^0 \simeq z_{\nu_i\text{-nr}} d_H(z_{\nu_i\text{-nr}})$
- ▶ Matter-dominated era:  $d_H(z) \simeq 2 H_0^{-1} z^{-3/2} (\Omega_M^0)^{-1/2}$

$$\lambda_{\nu_i\text{-fs}}^0 \simeq 0.013 \left( \frac{m_i}{\text{eV}} \right)^{-1/2} (\Omega_M^0)^{-1/2} h^{-1} \text{ Mpc}$$

$$k_{\nu_i\text{-fs}}^0 \simeq \frac{2\pi}{\lambda_{\nu_i\text{-fs}}^0} \simeq 0.047 \left( \frac{m_i}{\text{eV}} \right)^{1/2} \sqrt{\Omega_M^0} h \text{ Mpc}^{-1}$$

# Cosmological Data



# Power Spectrum of Density Fluctuations

- ▶ Density fluctuations:  $\delta(t, \vec{x}) \equiv \frac{\rho(t, \vec{x}) - \langle \rho(t) \rangle}{\langle \rho(t) \rangle} = \int \frac{d^3k}{(2\pi)^3} \delta(t, \vec{k}) e^{i\vec{k}\cdot\vec{x}}$
- ▶ The Fourier transform converts differential equations into algebraic equations.
- ▶ In the linear theory, the algebraic equations for the amplitude of each fluctuation mode with wavenumber  $\vec{k}$  are independent.
- ▶ The amplitude  $\delta(t, \vec{k})$  of each fluctuation mode evolves in time independently of the others and can be conveniently studied separately.

- ▶ In a cosmological model, it is not possible to calculate the **exact amount of perturbations** in the observable Universe, because **we do not know the initial conditions**.
- ▶ One can calculate the **statistical properties** of the perturbations, extracted from a statistical ensemble of possible universes.
- ▶ Since we do not have experimental access to an ensemble of universes the statistical properties of perturbations are obtained by **averaging over large volumes or different directions in the sky**.

- ▶ Two-point correlation function:

$$\xi(t, y) \equiv \langle \delta(t, \vec{x}) \delta(t, \vec{x} + \vec{y}) \rangle$$

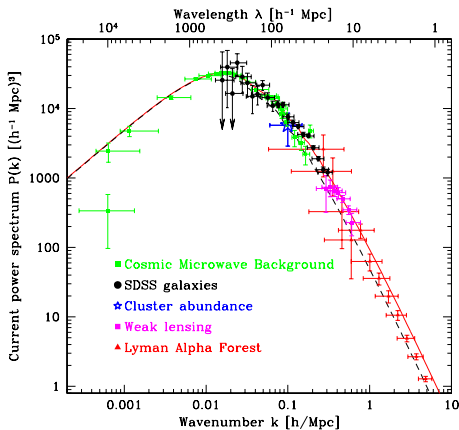
- ▶ If the fluctuations are **statistically homogeneous in space**, the two-point correlation function does not depend on  $\vec{x}$ .
- ▶ If the fluctuations are **statistically isotropic**,  $\xi(t, y)$  depends only on  $y \equiv |\vec{y}|$ .
- ▶ Two-point correlation function in Fourier space:

$$\langle \delta(t, \vec{k}) \delta(t, \vec{k}') \rangle = (2\pi)^3 \delta^3(\vec{k} + \vec{k}') P(k, t)$$

- ▶ **Power spectrum:**

$$P(k, t) = \langle |\delta(t, \vec{k})|^2 \rangle$$

- ▶ The power spectrum is the **variance of the distribution of fluctuations** in Fourier space.
- ▶ **Gaussian fluctuations** are completely characterized by their variance, i.e. by the power spectrum.



[Tegmark, arXiv:hep-ph/0503257]

Solid Curve: flat  $\Lambda$ CDM model

$$h = 0.72$$

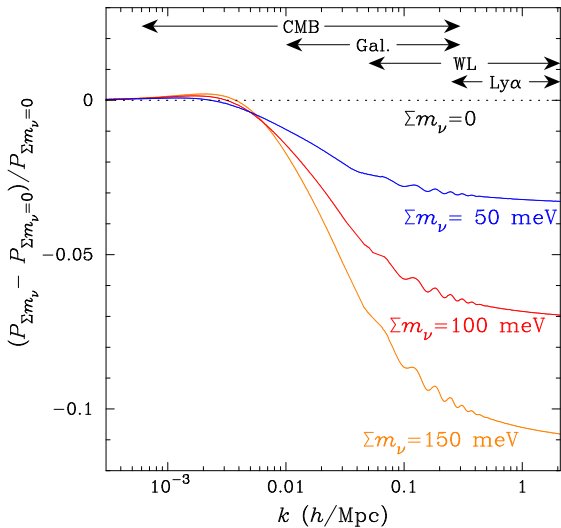
$$\Omega_M^0 = 0.28$$

$$\Omega_B^0 / \Omega_M^0 = 0.16$$

Dashed Curve:  $\sum_{i=1}^3 m_i = 1 \text{ eV}$

$$f_\nu \equiv \frac{\Omega_\nu^0}{\Omega_M^0} \approx \frac{\sum_i m_i}{93.1 h^2 \text{ eV} \Omega_M^0} \approx 0.07$$





[Abazajian et al, arXiv:1309.5383]

# Cosmic Microwave Background Radiation

▶ Temperature fluctuations: 
$$\frac{\Delta T_\gamma(\theta, \phi)}{T_\gamma} = \sum_{\ell=0}^{\infty} \sum_{m=-\ell}^{\ell} a_{\ell m} Y_\ell^m(\theta, \phi)$$

▶ Two-point correlation function:

$$C^{TT}(\theta) \equiv \left\langle \frac{\Delta T_\gamma(\theta_1, \phi_1)}{T_\gamma} \frac{\Delta T_\gamma(\theta_2, \phi_2)}{T_\gamma} \right\rangle$$

where  $\theta$  is the angle between the directions  $(\theta_1, \phi_1)$  and  $(\theta_2, \phi_2)$ .

▶ If the multipoles are independent random variables:

$$C^{TT}(\theta) = \sum_{\ell} \frac{2\ell + 1}{4\pi} C_\ell^{TT} P_\ell(\cos \theta)$$

▶ Angular power spectrum:

$$C_\ell^{TT} = \frac{1}{2\ell + 1} \sum_{m=-\ell}^{\ell} \langle |a_{\ell m}|^2 \rangle$$

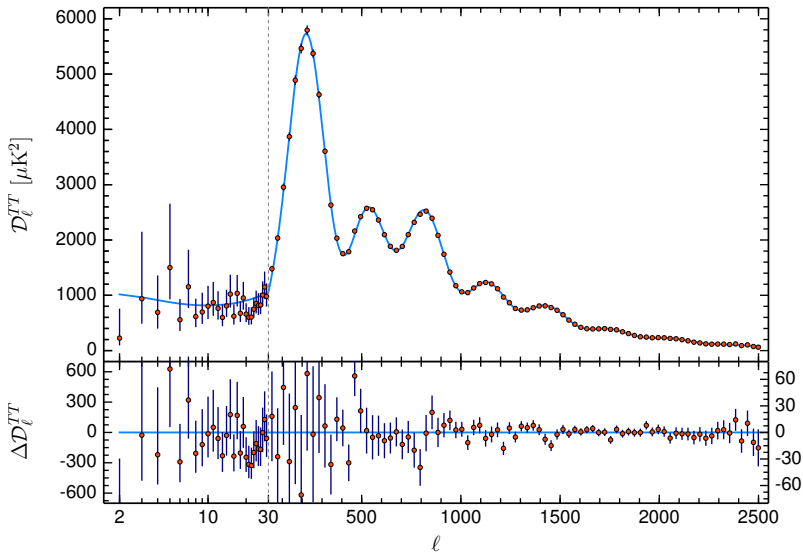
▶ The  $C_\ell^{TT}$  are the variances of the multipole moments  $a_{\ell m}$ .

▶ Gaussian fluctuations are completely characterized by the variances  $C_\ell^{TT}$ .

▶ Angular variations:  $\Delta\theta \sim \pi/\ell$

# Planck

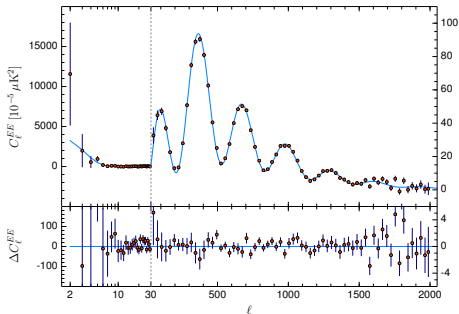
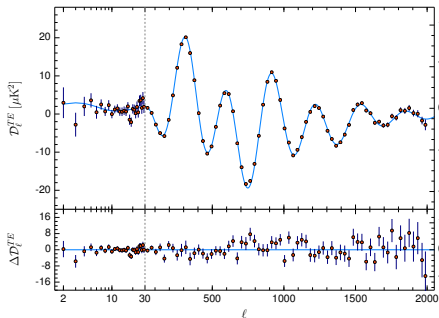
[Planck, arXiv:1807.06209]



$$D_\ell^{TT} = \ell(\ell + 1)C_\ell^{TT}/2\pi$$

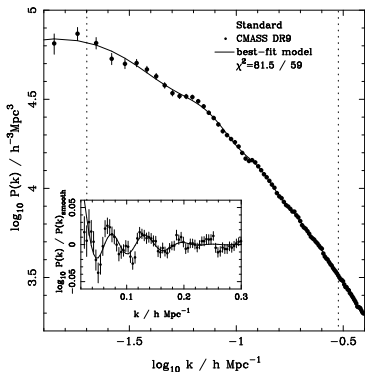
# Planck Polarization Data

[Planck, arXiv:1807.06209]



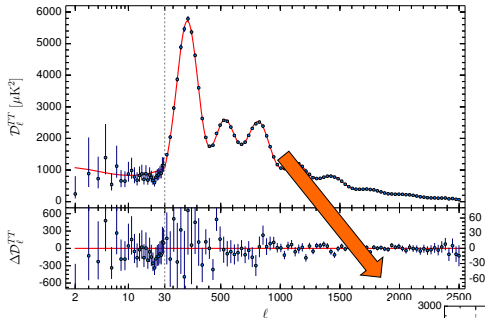
# Planck Terminology

- ▶ TT: the Planck TT data (low- $\ell$  for  $\ell < 30$  and high- $\ell$  for  $\ell \geq 30$ ).
- ▶ lowE (lowP): the Planck polarization data at multipoles  $\ell < 30$  (low- $\ell$ ).
- ▶ TE: the Planck TE data at  $\ell \geq 30$ .
- ▶ EE: the Planck EE data at  $\ell \geq 30$ .
- ▶ Lensing: the Planck weak lensing data.
- ▶ BAO: the Baryon Acoustic Oscillation data.



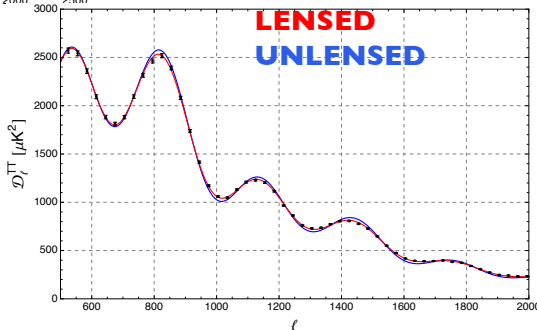
Baryon Oscillation Spectroscopic Survey  
(BOSS)  
part of the Sloan Digital Sky Survey III  
(SDSS-III)  
Data Release 9 (DR9) CMASS sample

[arXiv:1203.6594]



Lensing smooths the peaks of the CMB power spectrum...  
 ... and introduces nongaussianities in the map (nonzero 4-point c.f.)

Neutrino free streaming damps matter perturbations and *reduces* lensing  
 The effect is proportional to  $\nu$  energy density



[M. Lattanzi @ Moriond EW 2018]

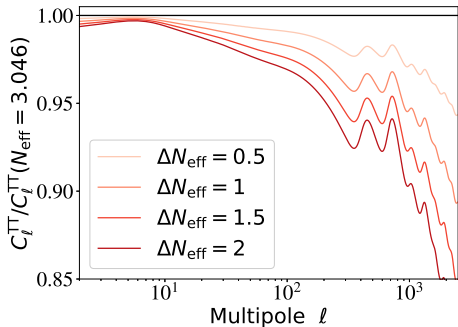
# Planck Limits on $\sum_{k=1}^3 m_\nu$

[Planck, arXiv:1807.06209]

Cosmological data set	$\sum_{k=1}^3 m_\nu$ (95% B.P.)
Planck TT + lowE	$< 0.54$ eV
Planck TT,TE,EE + lowE	$< 0.26$ eV
Planck TT + lowE + lensing	$< 0.44$ eV
Planck TT,TE,EE + lowE + lensing	$< 0.24$ eV
Planck TT + lowE + BAO	$< 0.16$ eV
Planck TT,TE,EE + lowE + BAO	$< 0.13$ eV
Planck TT + lowE + lensing + BAO	$< 0.13$ eV
Planck TT,TE,EE + lowE + lensing + BAO	$< 0.12$ eV

B.P.: Bayesian Probability

# Very Light Sterile Neutrinos: Dark Radiation



[Lesgourgues, Verde, Review of Particle Physics 2017]

- ▶ Photons feel gravitational forces from a denser neutrino component.
- ▶ Decreases the acoustic peaks because the distribution of free-streaming neutrinos is smoother than that of the photons.

$$\rho_R = \left[ 1 + \frac{7}{8} \left( \frac{4}{11} \right)^{4/3} N_{\text{eff}} \right] \rho_\gamma$$

$$\Delta N_{\text{eff}} = N_{\text{eff}} - 3.044$$

▶ Fixed  $z_{\text{eq}}, z_\Lambda, \omega_B^0$

$$z_{\text{eq}} \simeq \frac{\Omega_M^0 h^2}{\omega_\gamma^0 (1 + 0.227 N_{\text{eff}})}$$

$$z_\Lambda \simeq \left( \frac{\Omega_\Lambda^0}{\Omega_M^0} \right)^{1/3} \simeq \left( \frac{1 - \Omega_M^0}{\Omega_M^0} \right)^{1/3}$$

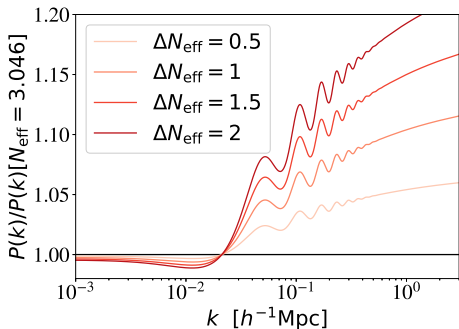
▶ Therefore fixed  $\Omega_M^0$

$$\omega_B^0 = \Omega_B^0 h^2$$

▶ It can be done by increasing  $h^2$  and decreasing  $\Omega_B^0$  with an increase of  $\Omega_{\text{CDM}}^0 = \Omega_M^0 - \Omega_B^0$



# Very Light Sterile Neutrinos: Dark Radiation



[Lesgourgues, Verde, Review of Particle Physics 2017]

- ▶ Increased fluctuations due to increased  $\Omega_{\text{CDM}}^0$ .
- ▶ Decreased BAO due to decreased  $\Omega_{\text{B}}^0$ .

$$\text{▶ } \varrho_{\text{R}} = \left[ 1 + \frac{7}{8} \left( \frac{4}{11} \right)^{4/3} N_{\text{eff}} \right] \varrho_{\gamma}$$

$$\text{▶ } \Delta N_{\text{eff}} = N_{\text{eff}} - 3.044$$

▶ Fixed  $z_{\text{eq}}, z_{\Lambda}, \omega_{\text{B}}^0$

$$\text{▶ } z_{\text{eq}} \simeq \frac{\Omega_{\text{M}}^0 h^2}{\omega_{\gamma}^0 (1 + 0.227 N_{\text{eff}})}$$

$$\text{▶ } z_{\Lambda} \simeq \left( \frac{\Omega_{\Lambda}^0}{\Omega_{\text{M}}^0} \right)^{1/3} \simeq \left( \frac{1 - \Omega_{\text{M}}^0}{\Omega_{\text{M}}^0} \right)^{1/3}$$

▶ Therefore fixed  $\Omega_{\text{M}}^0$

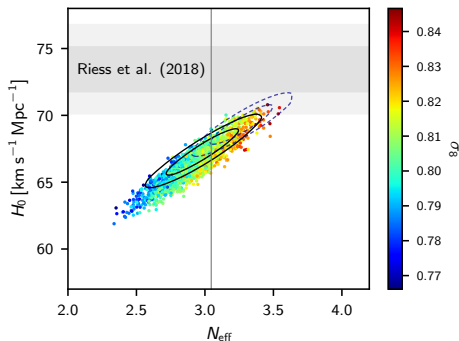
$$\text{▶ } \omega_{\text{B}}^0 = \Omega_{\text{B}}^0 h^2$$

▶ It can be done by increasing  $h^2$  and decreasing  $\Omega_{\text{B}}^0$  with an increase of  $\Omega_{\text{CDM}}^0 = \Omega_{\text{M}}^0 - \Omega_{\text{B}}^0$

# Planck Limits on Dark Radiation

[Planck, arXiv:1807.06209]

Cosmological data set	$N_{\text{eff}}$ (95% B.P.)
Planck TT + lowE	$3.00^{+0.57}_{-0.53}$
Planck TT,TE,EE + lowE	$2.92^{+0.36}_{-0.37}$
Planck TT + lowE + lensing + BAO	$3.11^{+0.44}_{-0.43}$
Planck TT,TE,EE + lowE + lensing + BAO	$2.99^{+0.34}_{-0.33}$



Planck TT,TE,EE + lowE + lensing  
+ BAO + R18 (68% B.P.)

$$N_{\text{eff}} = 3.27 \pm 0.15$$

$$H_0 = (69.32 \pm 0.97) \text{ km s}^{-1} \text{ Mpc}^{-1}$$

Tension with  $\sigma_8 = 0.8101 \pm 0.0061$

# Massive Sterile Neutrinos

- ▶ Sterile neutrinos can be produced by  $\nu_{e,\mu,\tau} \rightarrow \nu_s$  oscillations before active neutrino decoupling ( $t_{\nu\text{-dec}} \sim 1\text{ s}$ )
- ▶ Energy density of radiation before matter-radiation equality:

$$\rho_R = \left[ 1 + \frac{7}{8} \left( \frac{4}{11} \right)^{4/3} N_{\text{eff}} \right] \rho_\gamma \quad (t < t_{\text{eq}} \sim 6 \times 10^4 \text{ y})$$
$$N_{\text{eff}}^{\text{SM}} = 3.044 \quad \Delta N_{\text{eff}} = N_{\text{eff}} - N_{\text{eff}}^{\text{SM}}$$

- ▶ Contribution of sterile neutrinos with a **thermal** FD distribution with temperature  $T_s$ :  $\rho_s = (T_s/T_\nu)^4 \rho_\nu \implies \Delta N_{\text{eff}} = (T_s/T_\nu)^4$
- ▶ A sterile neutrino  $\nu_s \simeq \nu_4$  with mass  $m_s \equiv m_4 \sim 1\text{ eV}$  becomes non-relativistic at  $T_\nu \sim m_s/3$ , that is at  $t_{\nu_s\text{-nr}} \sim 2.0 \times 10^5 \text{ y}$ , before recombination at  $t_{\text{rec}} \sim 3.8 \times 10^5 \text{ y}$
- ▶ Current energy density of sterile neutrinos:

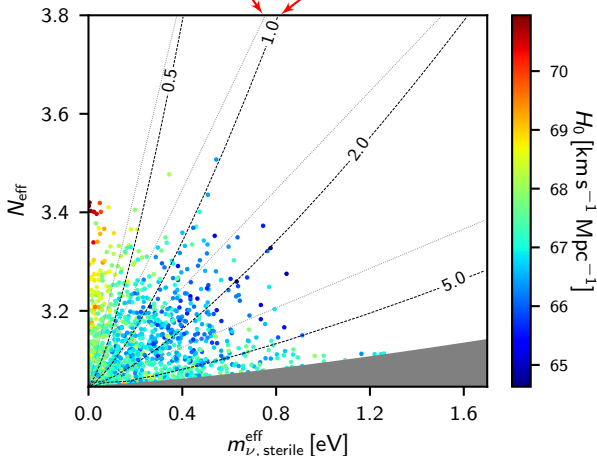
$$\Omega_s = \frac{n_s m_s}{\rho_c} \simeq \frac{(T_s/T_\nu)^3 m_s}{94.1 \text{ h}^2 \text{ eV}} = \frac{\Delta N_{\text{eff}}^{3/4} m_s}{94.1 \text{ h}^2 \text{ eV}} = \frac{m_s^{\text{eff}}}{94.1 \text{ h}^2 \text{ eV}}$$
$$m_s^{\text{eff}} = \Delta N_{\text{eff}}^{3/4} m_s = (T_s/T_\nu)^3 m_s = \Omega_s 94.1 \text{ h}^2 \text{ eV}$$

# Planck Limits on Massive Sterile Neutrinos

[Planck, arXiv:1807.06209]

Planck TT,TE,EE + lowE + lensing

Constant  $m_s$ : DW and Thermal



▶  $m_s^{\text{eff}} \equiv 94.1 \Omega_s h^2 \text{ eV}$

▶ Thermal distribution:

$$f_s(E) = \frac{1}{e^{E/T_s} + 1}$$

$$m_s^{\text{eff}} = \left(\frac{T_s}{T_\nu}\right)^3 m_s \\ = (\Delta N_{\text{eff}})^{3/4} m_s$$

▶ Dodelson-Widrow (DW):

$$f_s(E) = \frac{\Delta N_{\text{eff}}}{e^{E/T_\nu} + 1}$$

$$m_s^{\text{eff}} = \Delta N_{\text{eff}} m_s$$

The limits on  $N_{\text{eff}}$  and  $m_s^{\text{eff}}$  depend on the prior on  $m_s$ , that is necessary to exclude the parameter space that is degenerate with a change in the CDM density.

Planck TT,TE,EE + lowE + lensing + BAO

For prior  $m_s$  bounds in the thermal distribution scenario, at 95% B.P.:

$$m_s < 10 \text{ eV} \implies N_{\text{eff}} < 3.29 \quad \text{and} \quad m_s^{\text{eff}} < 0.65 \text{ eV}$$

$$m_s < 2 \text{ eV} \implies N_{\text{eff}} < 3.34 \quad \text{and} \quad m_s^{\text{eff}} < 0.23 \text{ eV}$$

$\Delta N_{\text{eff}} = 1$  is excluded at about  $6\sigma$  for any  $m_s$ !

Main proposed mechanisms to avoid the thermalization of the sterile neutrinos:

- ▶ A large lepton asymmetry [Hannestad, Tamborra, Tram, JCAP 1207 (2012) 025; Mirizzi, Saviano, Miele, Serpico, PRD 86 (2012) 053009; Saviano et al., PRD 87 (2013) 073006; Hannestad, Hansen, Tram, JCAP 1304 (2013) 032]
- ▶ A secret interaction in the sterile neutrino sector [Hannestad, Hansen, Tram, PRL 112 (2014) 031802; Dasgupta, Kopp et al, PRL 112 (2014) 031803, JCAP 1510 (2015) 011; Bringmann, Hasenkamp, Kersten, JCAP 1407 (2014) 042; Ko, Tang, PLB 739 (2014) 62; Archidiacono, Hannestad et al, PRD 91 (2015) 065021, PRD 93 (2016) 045004, JCAP 1608 (2016) 067, JCAP 1212 (2020) 029; Mirizzi, Mangano, Pisanti, Saviano, PRD 90 (2014) 113009, PRD 91 (2015) 025019; Tang, PLB 750 (2015) 201; Cherry, Friedland, Shoemaker, arXiv:1411.1071]

## Conclusions

- ▶ Light massive neutrinos are Hot Dark Matter.
- ▶ Their effects on cosmological observables depend on their abundances and their masses.
- ▶ Cosmological data give information on neutrino physics, but it is model-dependent.
- ▶ Neutrino physics may contribute to solve tensions in the Cosmological data.
- ▶ Light sterile neutrinos are allowed only if their thermalization is suppressed.
- ▶ Heavy sterile neutrinos with mass of the order of keV can contribute to the Dark Matter (not discussed).