

# *Possibility of experimental confirmation of $3 + 1$ neutrino model with one sterile neutrino*

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## **Neutrino-4 collaboration**

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*<sup>3</sup>Dimitrovgrad Engineering and Technological Institute MEPhI, Dimitrovgrad, Russia*

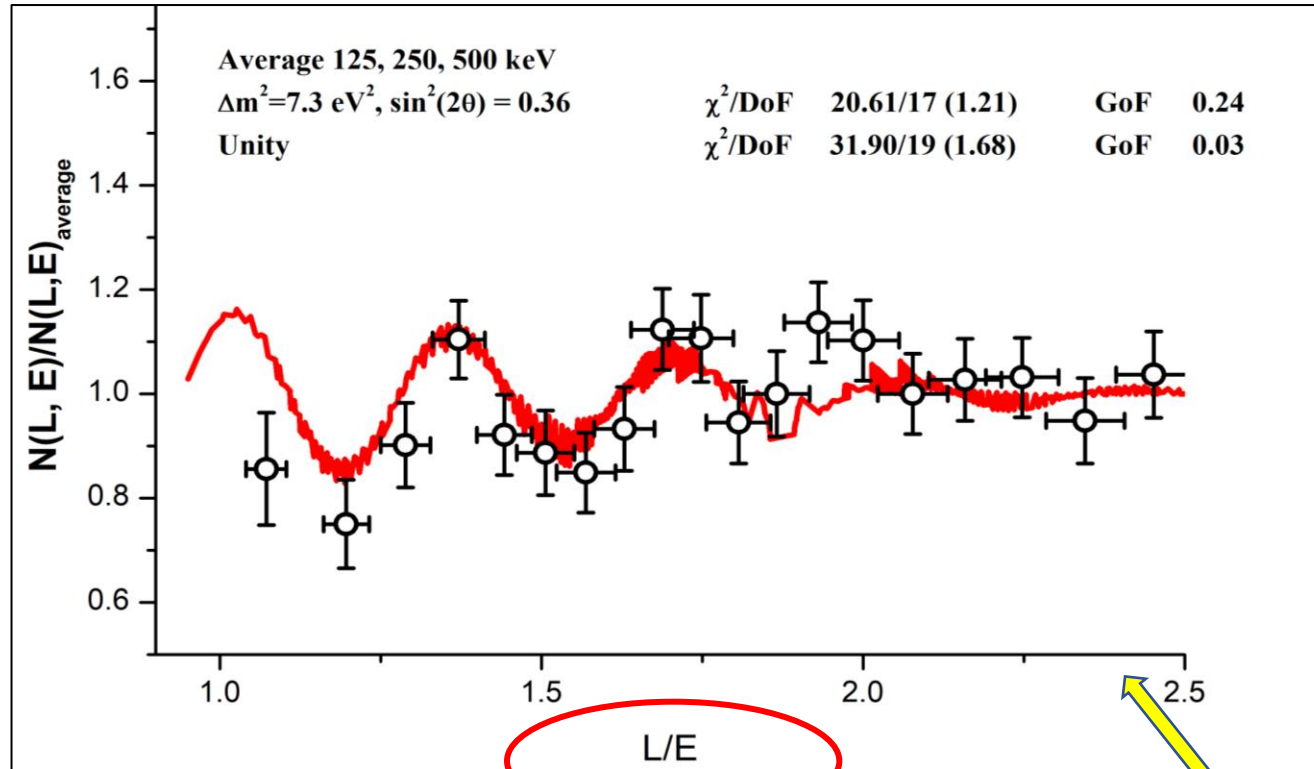
***NRC KI - Petersburg Nuclear Physics Institute***

***16 September 2021***

- 1. The direct observation of effect of oscillation in Neutrino-4 experiment on search for sterile neutrino**
- 2. Comparison of results of Neutrino-4 experiment with results of other experiments**
  - a) with the results of reactor, gallium anomaly, KATRIN, DANSS and NEOS
  - b) MiniBoone and LSND
  - c) with IceCube
- 3. Possibility of experimental confirmation of the 3 + 1 neutrino model with one sterile neutrino**
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  - b) Prediction of the effective mass of electron neutrino from Neutrino-4 experiment
  - c) Comparison with experiments on measuring neutrino mass: KATRIN
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# The direct observation of effect of oscillation in Neutrino-4 experiment on search for sterile neutrino

A.P. Serebrov, et al. PHYSICAL REVIEW D 104, 032003 (2021)



The period  
of oscillation  
for neutrino energy  
4 MeV is 1.4 m

A.P.Serebrov, et al.  
**JETP Letters,**  
 Volume 109, 2019  
 Issue 4, pp 213–221.

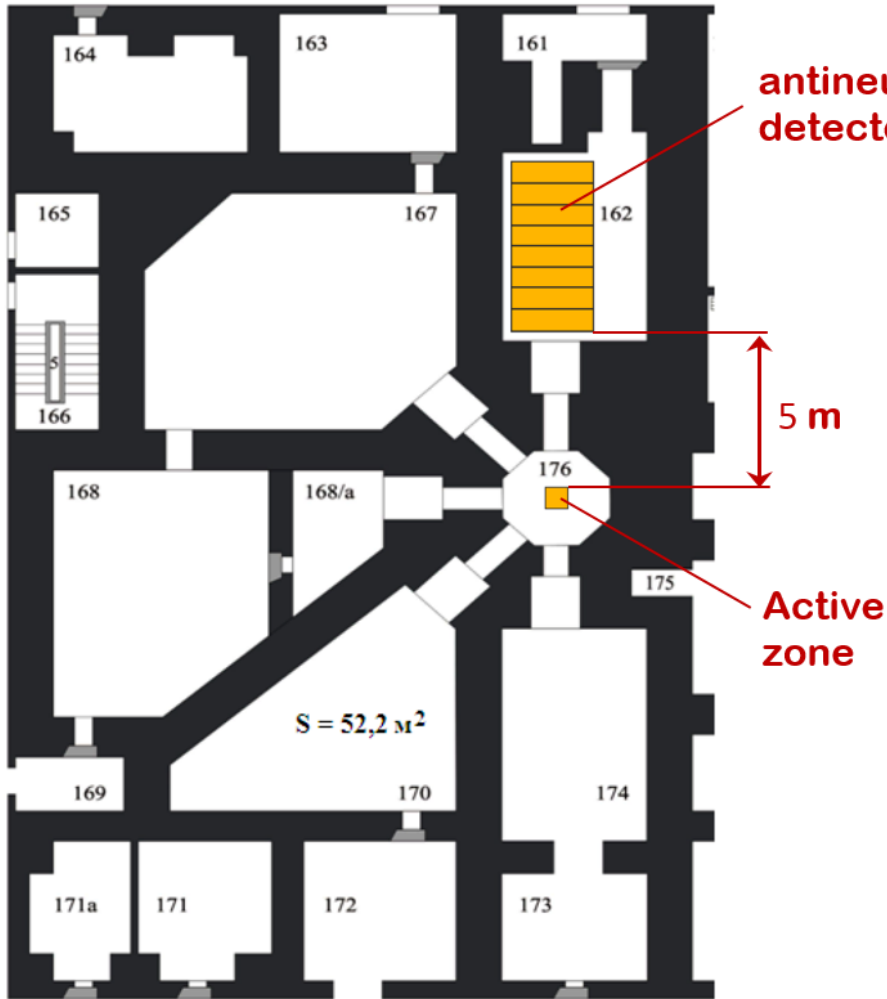
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[arxiv:2003.03199](https://arxiv.org/abs/2003.03199)  
[arXiv:2005.05301v 8](https://arxiv.org/abs/2005.05301v8)

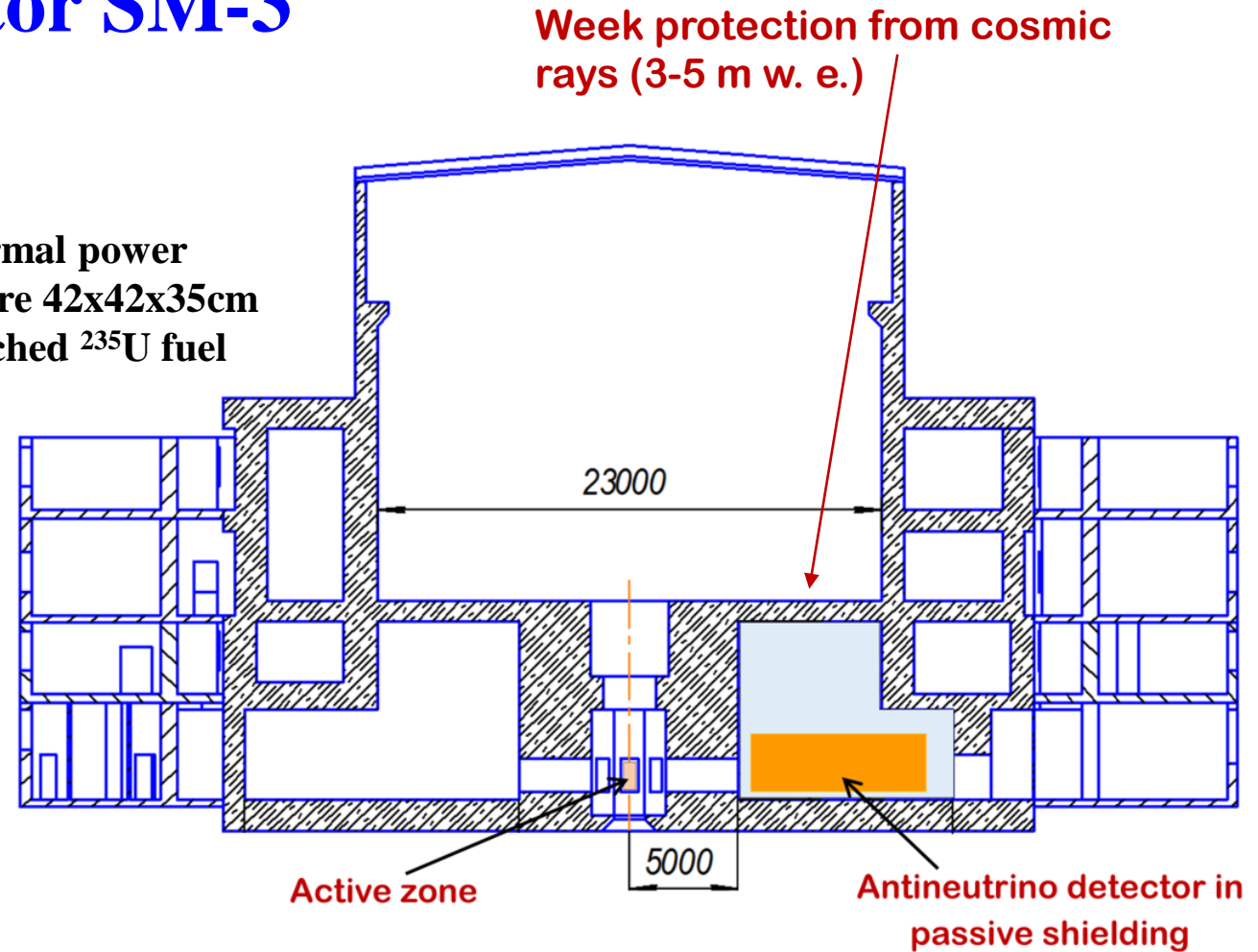
$$P(\tilde{\nu}_e \rightarrow \tilde{\nu}_e) = 1 - \sin^2 2\theta_{14} \sin^2 \left( 1.27 \frac{\Delta m_{14}^2 [\text{eV}^2] L [\text{m}]}{E_{\tilde{\nu}} [\text{MeV}]} \right)$$



# Reactor SM-3

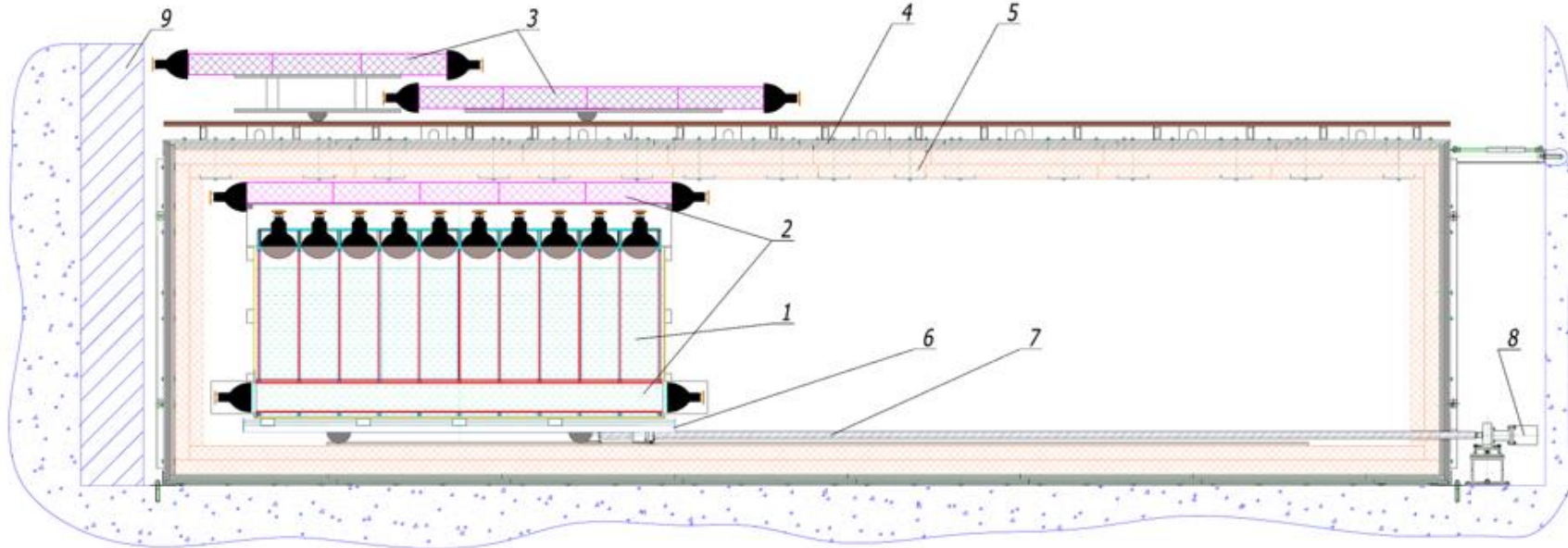
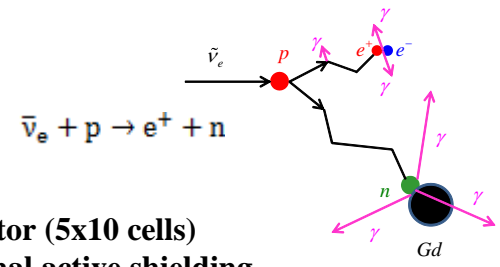


90 MW thermal power  
Compact core 42x42x35cm  
Highly enriched  $^{235}\text{U}$  fuel



Due to some peculiar characteristics of its construction, reactor SM-3 provides the most favorable conditions to search for neutrino oscillations at short distances. However, SM-3 reactor, as well as other research reactors, is located on the Earth's surface, hence, cosmic background is the major difficulty in considered experiment.

# Movable and spectrum sensitive antineutrino detector at SM-3 reactor



1. detector (5x10 cells)
2. internal active shielding
3. external active shielding
4. steel and lead
5. borated polyethylene
6. moveable platform
7. feed screw
8. step motor
9. shielding



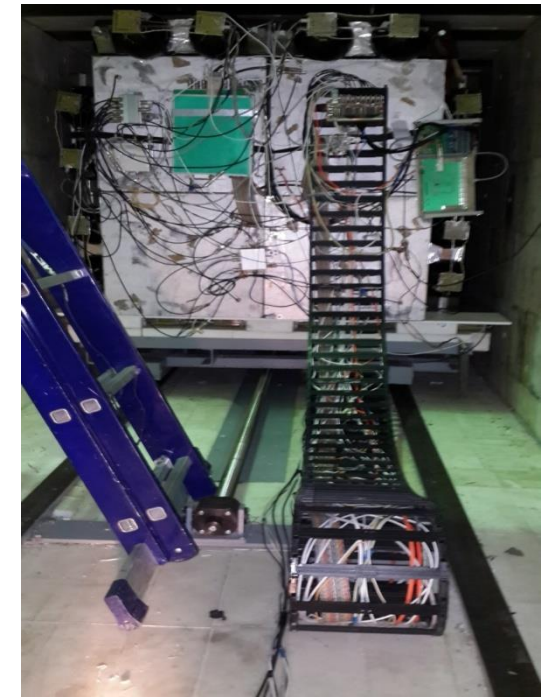
Passive shielding - 60 tons

Neutrino channel outside and inside



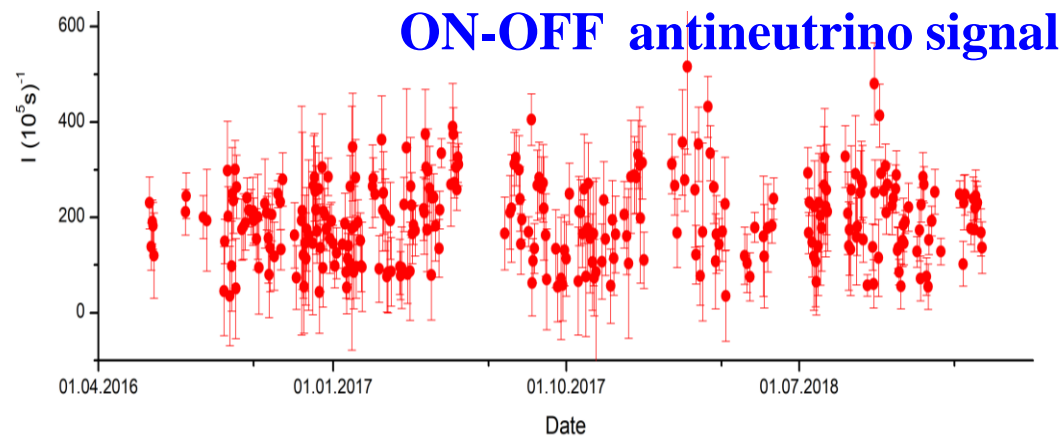
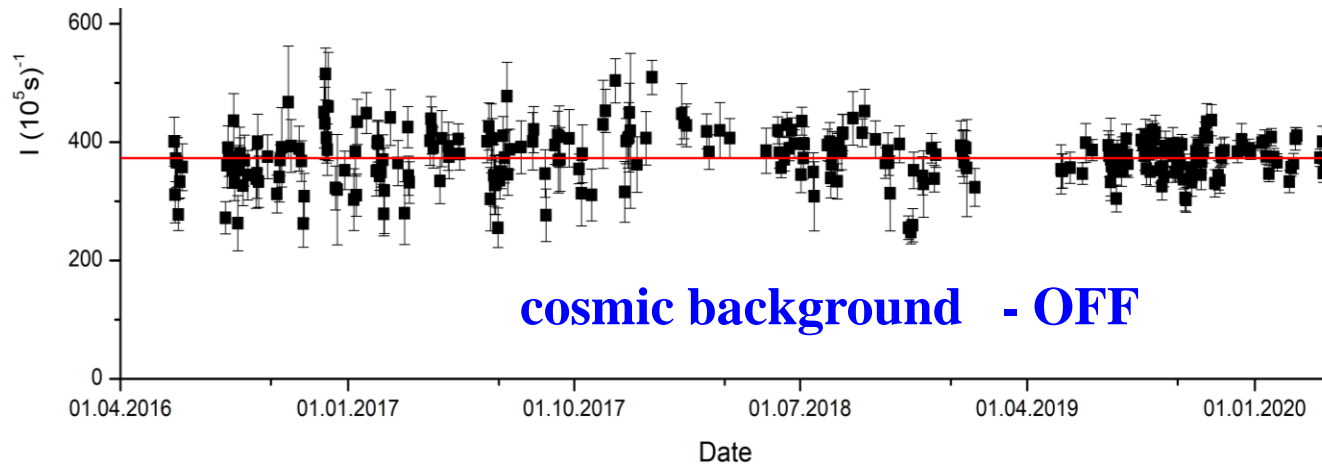
Detector prototype

Full-scale detector

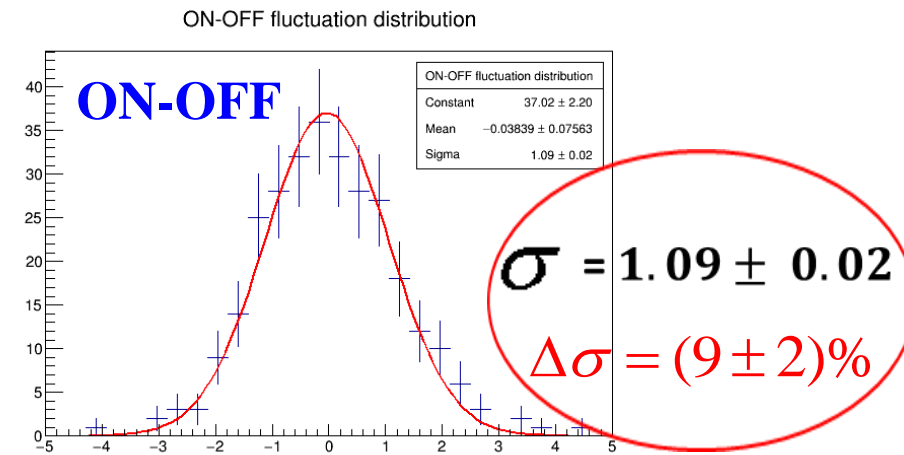
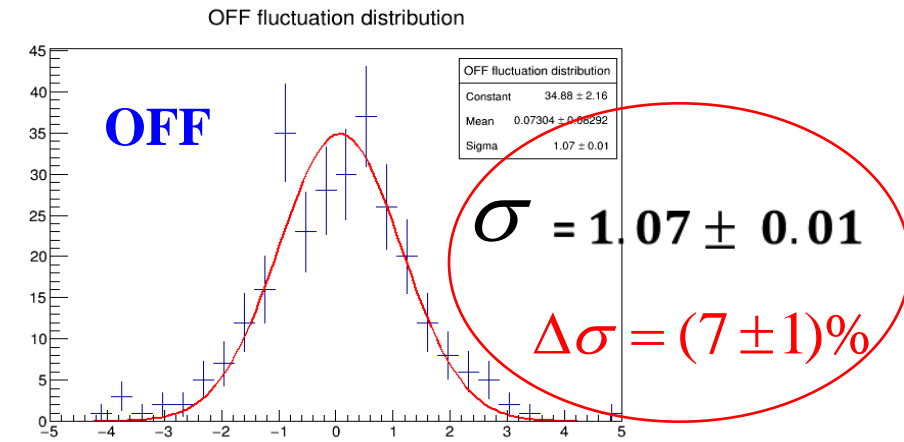


Liquid scintillator detector  
50 sections 0.235x0.235x0.85m<sup>3</sup>

Range of measurements is 6 - 12 meters

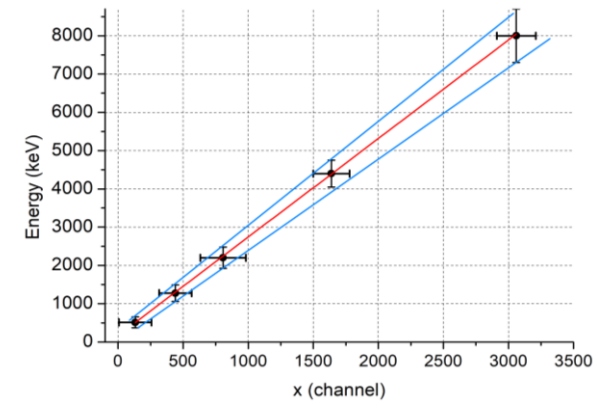
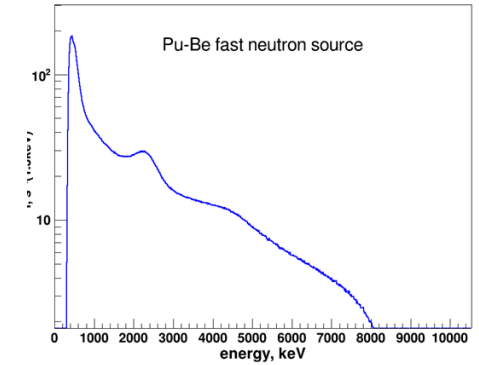
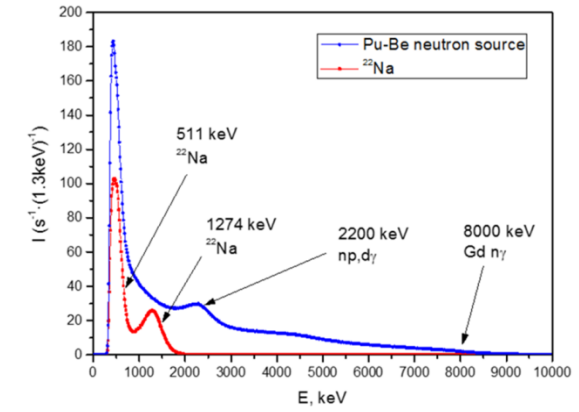
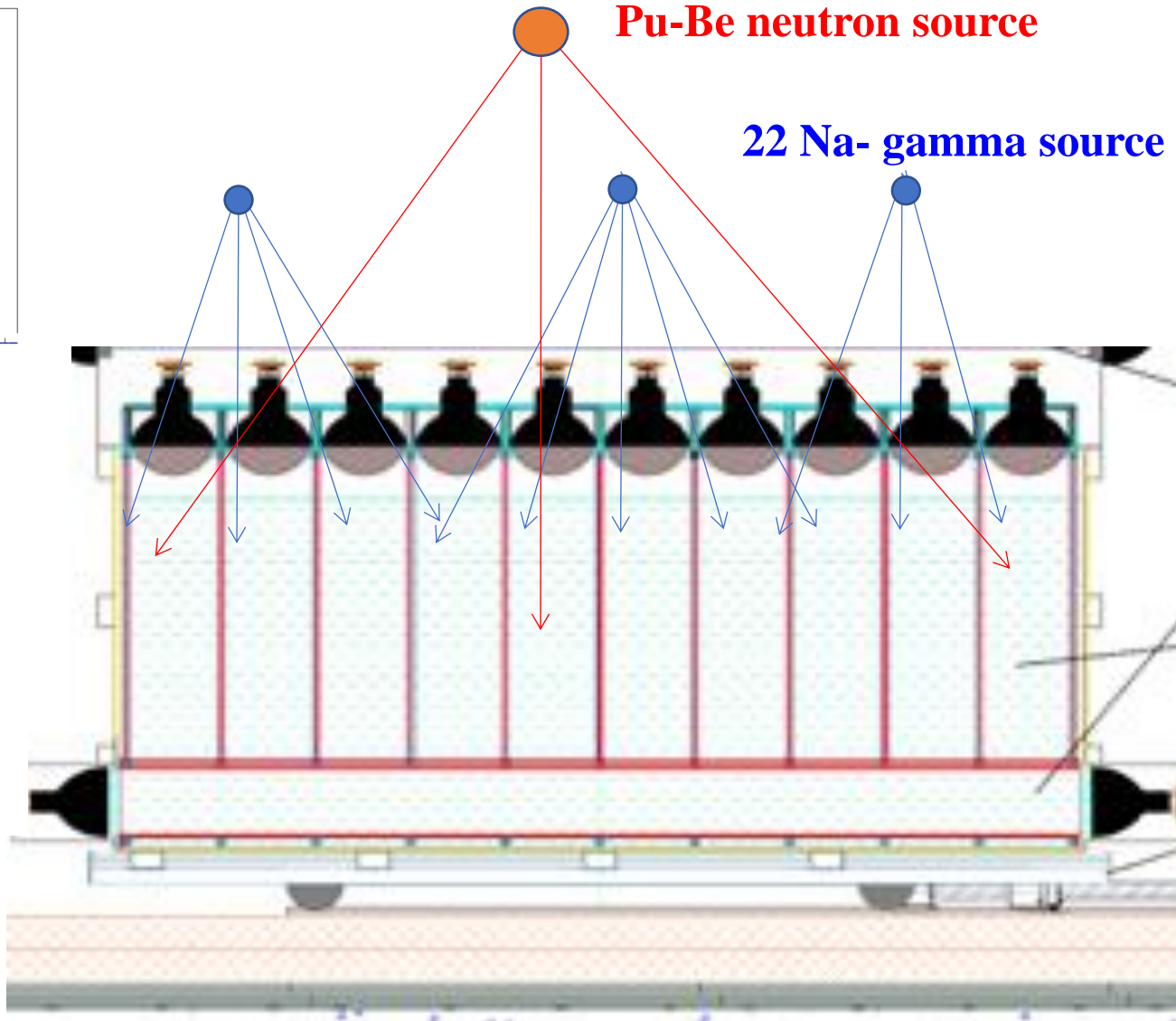
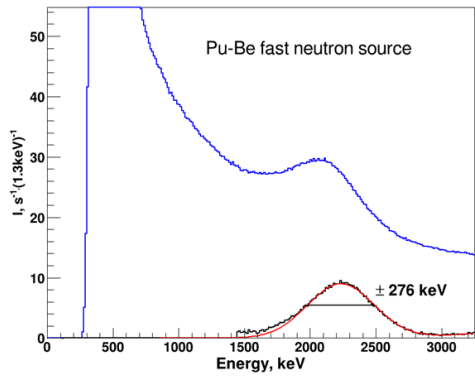
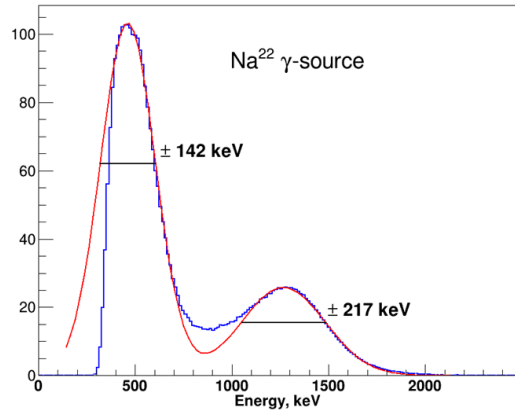


The correlated signal produced by the cosmic background measured over the whole time (up). The correlated ON-OFF signal over the whole time (down).

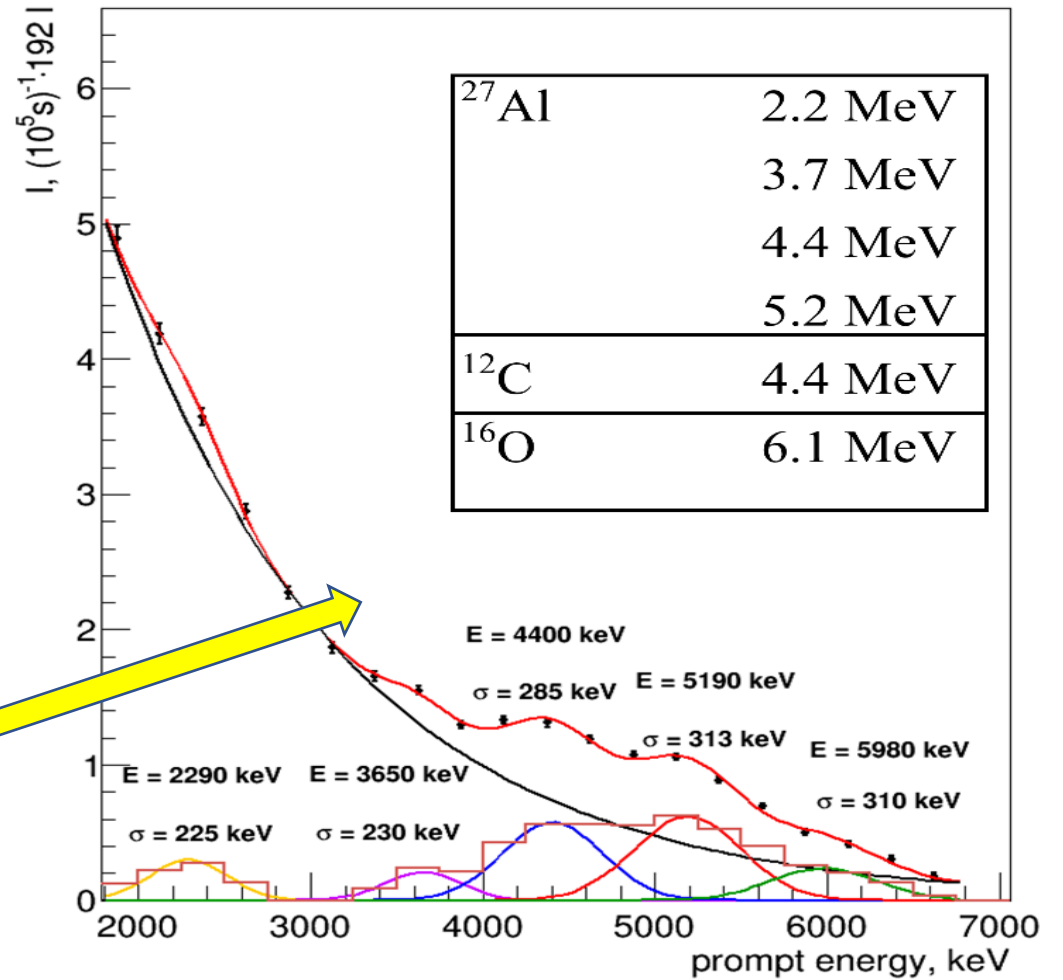
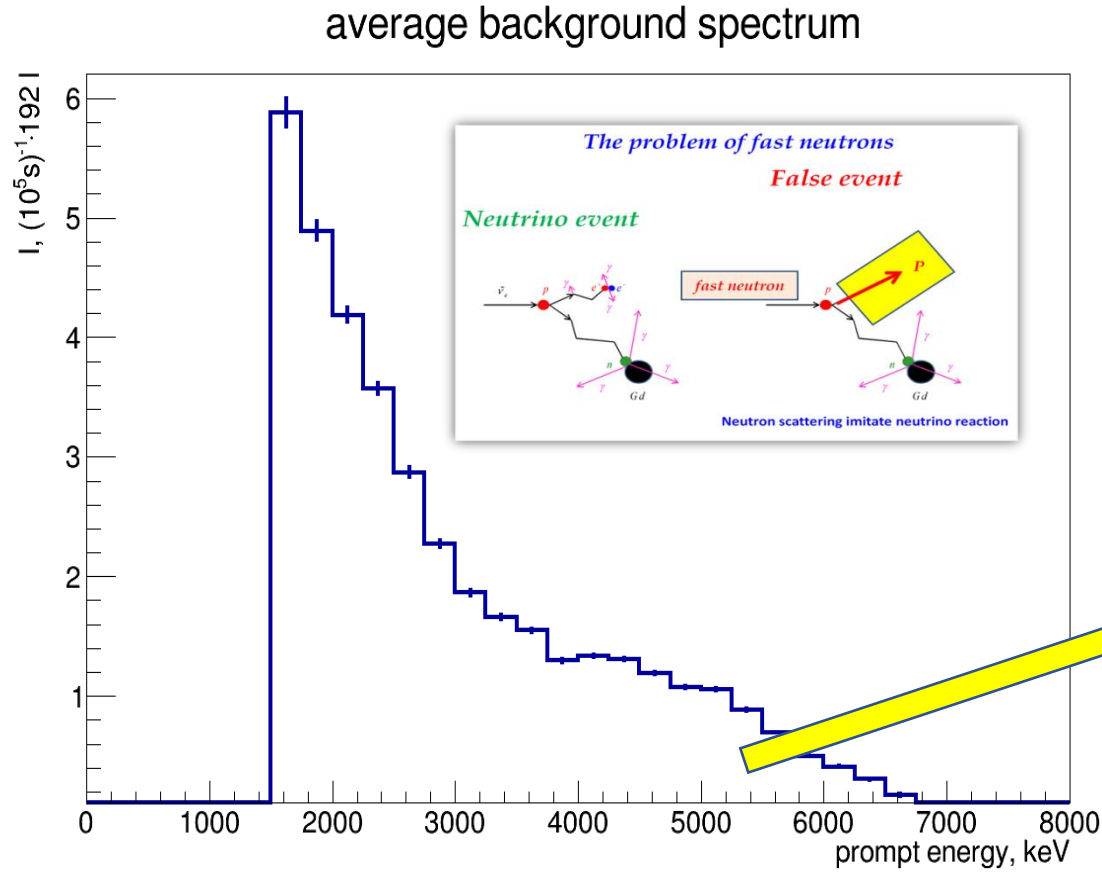


The distribution of deviations from average value of correlated events rates background (OFF) and differences (ON-OFF) normalized on their statistical uncertainties.

# Energy calibration of the full-scale detector



# BACKGROUND SPECTRUM

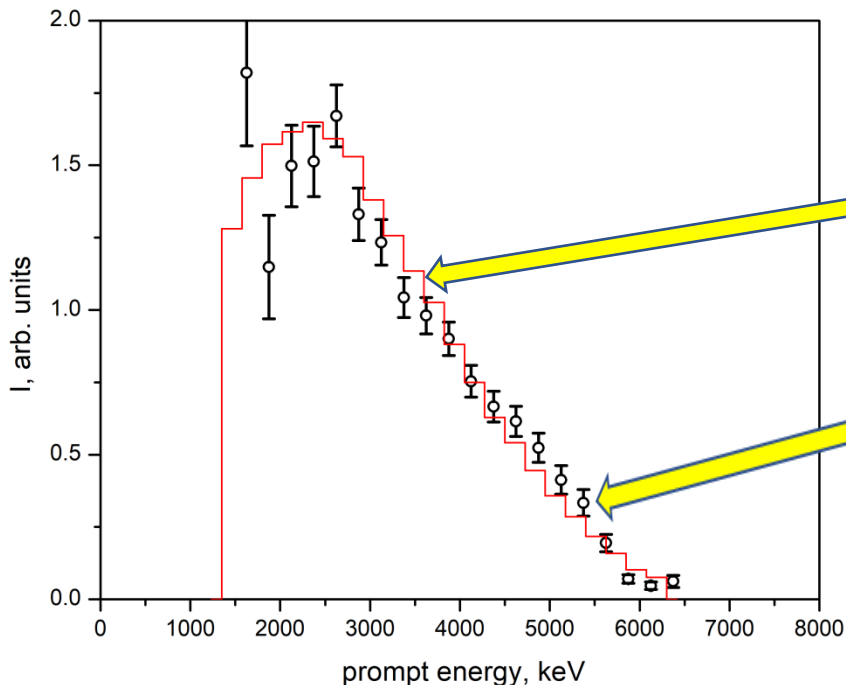


Presence of that structure in the energy spectrum indicates that energy calibration of the detector was the same in all measurements.

Energy resolution of the detector  $\sigma=250 \text{ keV}$  which does not depend on the energy of a positron.



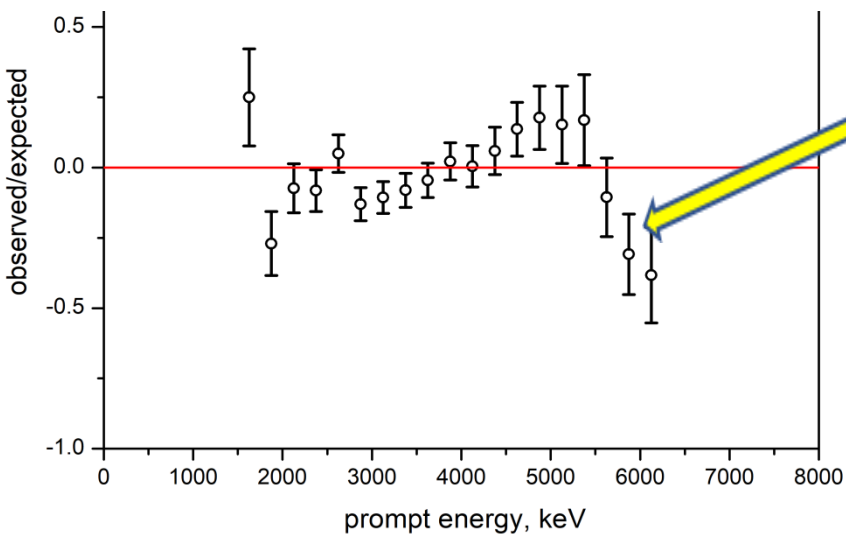
# Comparison of MC spectrum of antineutrino for $^{235}\text{U}$ with the experimental ON-OFF spectrum



calculated MC spectrum of antineutrino for  $^{235}\text{U}$

experimental ON-OFF spectrum.

difference normalized to the calculated spectrum



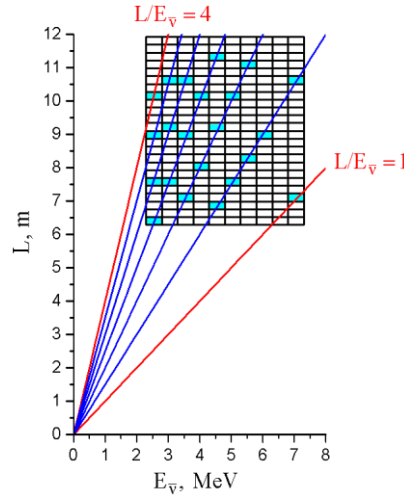
**Spectrally independent method for analyzing experimental data is needed**

# Probability of antineutrino disappearance

$$N(E_i, L_k)$$

Number of  
antineutrino  
events

$$P(\tilde{\nu}_e \rightarrow \tilde{\nu}_e) = 1 - \sin^2 2\theta_{14} \sin^2 \left( 1.27 \frac{\Delta m_{14}^2 [\text{eV}^2] L [\text{m}]}{E_{\tilde{\nu}} [\text{MeV}]} \right) \quad (1)$$



## The spectrum independent method of experimental data analysis

$$R_{i,k}^{\text{exp}} = \frac{N(E_i, L_k) L_k^2}{K^{-1} \sum_k N(E_i, L_k) L_k^2} = \frac{S(E) \mathcal{E}(E) [1 - \sin^2 2\theta_{14} \sin^2 (1.27 \Delta m_{14}^2 L_k / E_i)]}{S(E) \mathcal{E}(E) K^{-1} \sum_k [1 - \sin^2 2\theta_{14} \sin^2 (1.27 \Delta m_{14}^2 L_k / E_i)]} = R_{i,k}^{\text{th}} \quad (2)$$

The denominator is significantly simplified with a range of measurement distances significantly greater than the characteristic oscillation period:

$S(E)$  - Spectrum

$\mathcal{E}(E)$  - Detector efficiency

$$R_{ik}^{\text{th}} \approx \frac{1 - \sin^2 2\theta_{14} \sin^2 (1.27 \Delta m_{14}^2 L_k / E_i)}{1 - 1/2 \sin^2 2\theta_{14}} \xrightarrow{\theta_{14}=0} 1 \quad (3)$$

$$\sum_{i,k} [(R_{i,k}^{\text{exp}} - R_{i,k}^{\text{th}})^2 / (\Delta R_{i,k}^{\text{exp}})^2] = \Delta \chi^2 (\sin^2 2\theta_{14}, \Delta m_{14}^2) \quad (4)$$

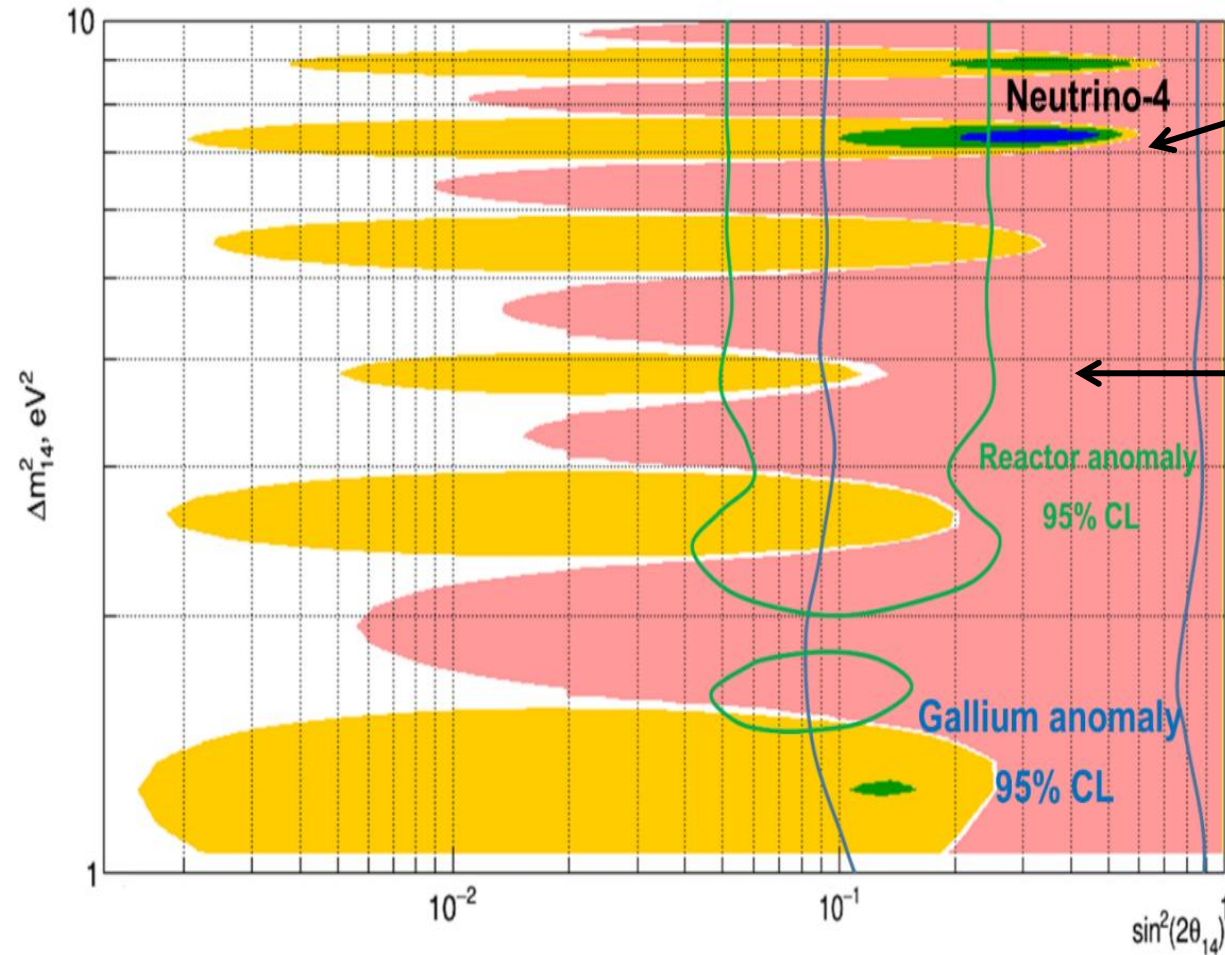
The results of the analysis of optimal parameters  $\Delta m_{14}^2$  and  $\sin^2 2\theta_{14}$  using  $\Delta\chi^2$  method

$$\sum_{i,k} [(R_{i,k}^{\text{exp}} - R_{i,k}^{\text{th}})^2 / (\Delta R_{i,k}^{\text{exp}})^2] = \chi^2(\sin^2 2\theta_{14}, \Delta m_{14}^2)$$

We observed the oscillation effect at C.L. 2.9  $\sigma$  in vicinity of :

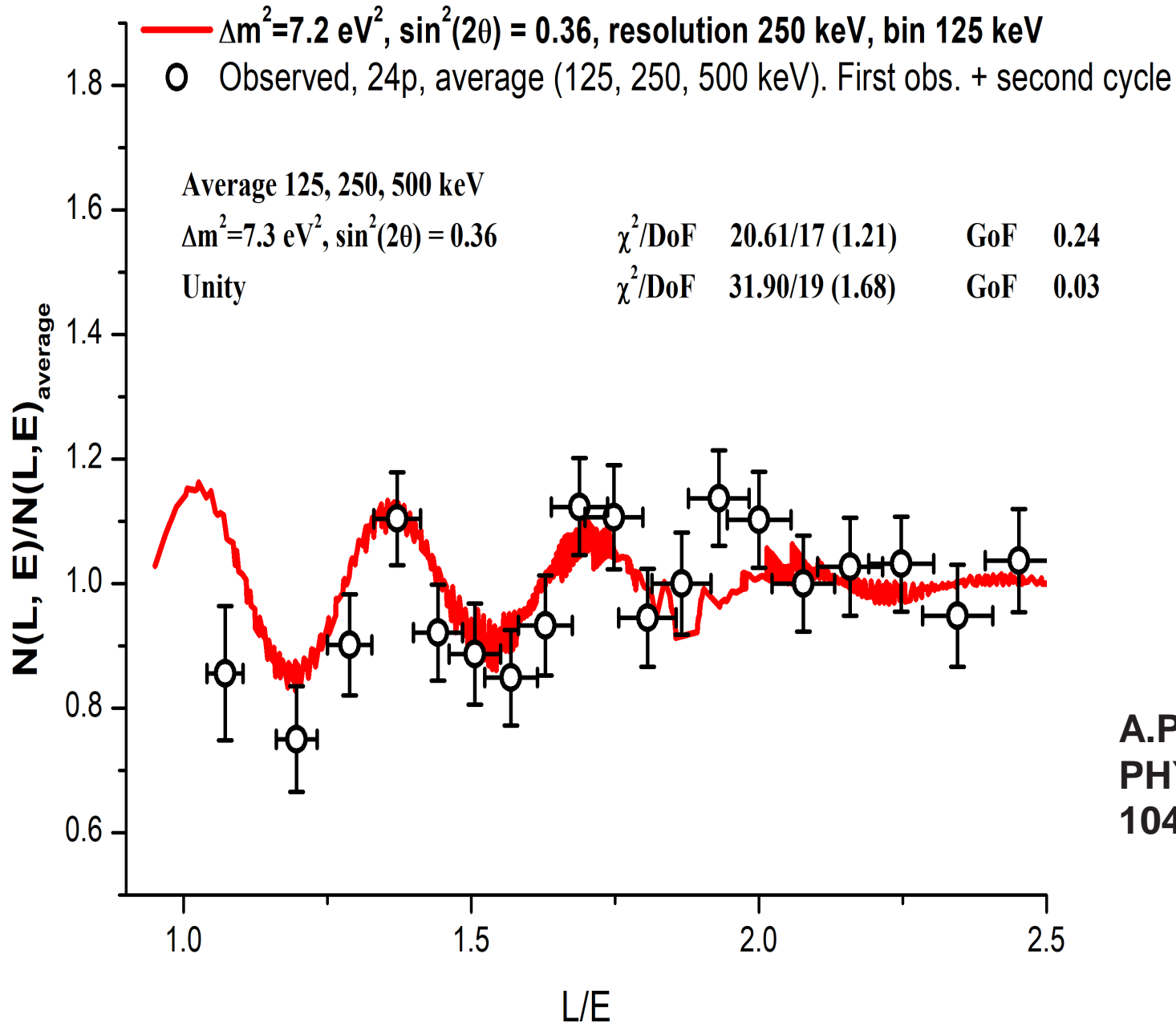
$$\Delta m_{14}^2 \approx 7.25 \text{eV}^2$$

$$\sin^2 2\theta_{14} \approx 0.36$$



Expected from Neutrino-4 CL 99.7%

Excluded from Neutrino-4 CL >99.9% CL



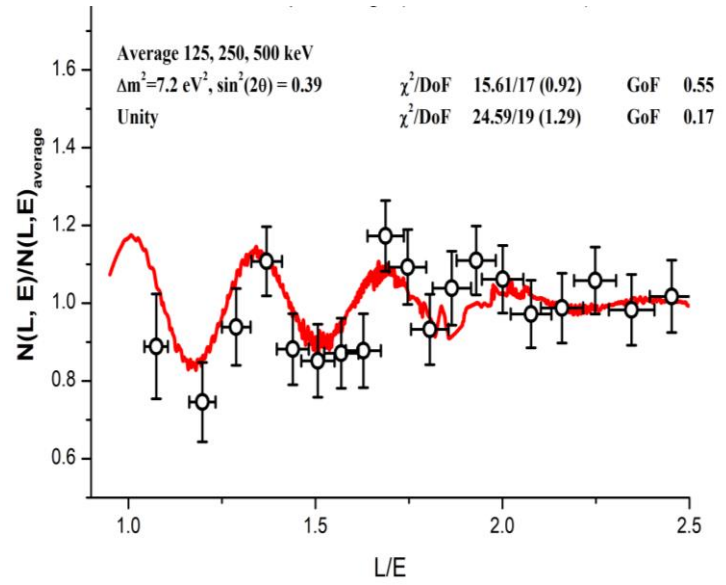
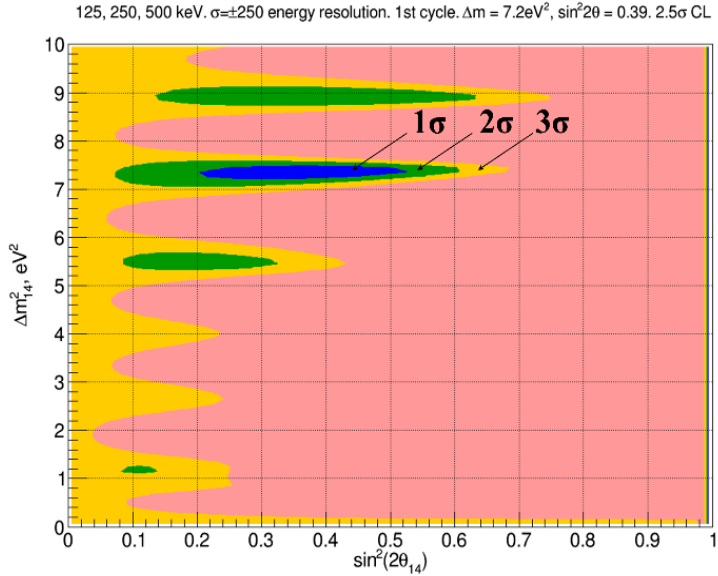
$$\Delta m_{14}^2 = 7.30 \pm 0.13_{st} \pm 1.16_{syst}$$

$$\sin^2 2\theta_{14} = 0.36 \pm 0.12$$

The period  
of oscillation  
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4 MeV is 1.4 m

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[arxiv:2003.03199](https://arxiv.org/abs/2003.03199)  
[arXiv:2005.05301v 8](https://arxiv.org/abs/2005.05301v8)



Best fit oscillation parameters

$$\Delta m_{14}^2, \sin^2 2\theta_{14}$$

$$7.2 \text{ eV}^2, 0.39(2.5\sigma)$$

$$7.3 \text{ eV}^2, 0.36(2.9\sigma)$$

$\chi^2/\text{d.o.f.}$  (Reduced  $\chi^2$ )  
 fit w/ and w/o oscillation

$$15.61/17(0.92) \quad 24.59/19 (1.29)$$

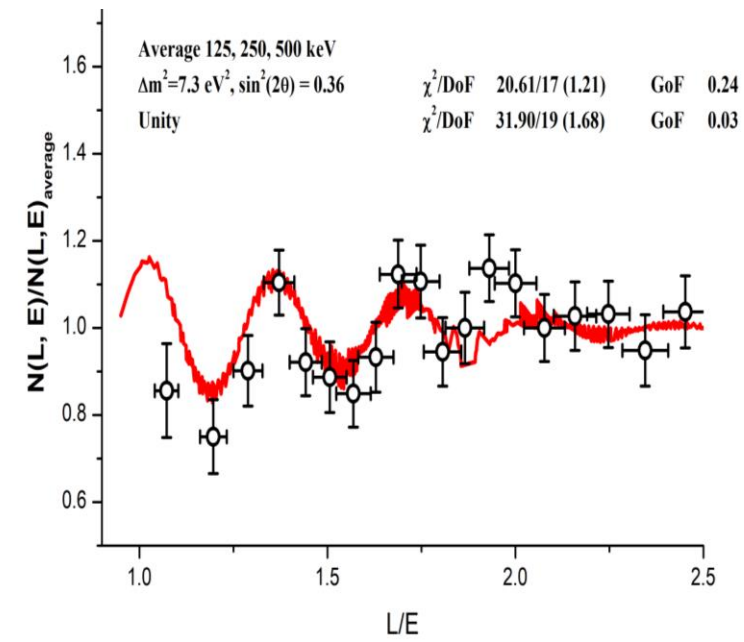
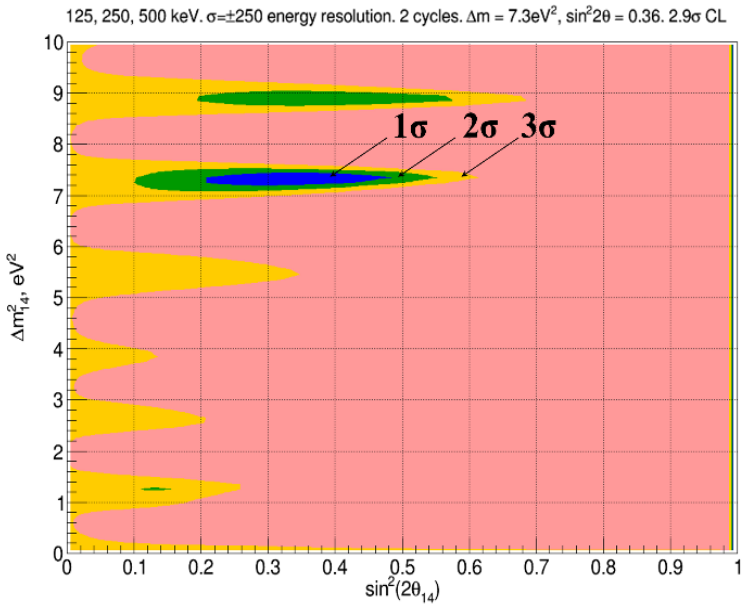
$$20.61/17(1.21) \quad 31.90/19 (1.68)$$

Goodness of fit w/  
 and w/o oscillation

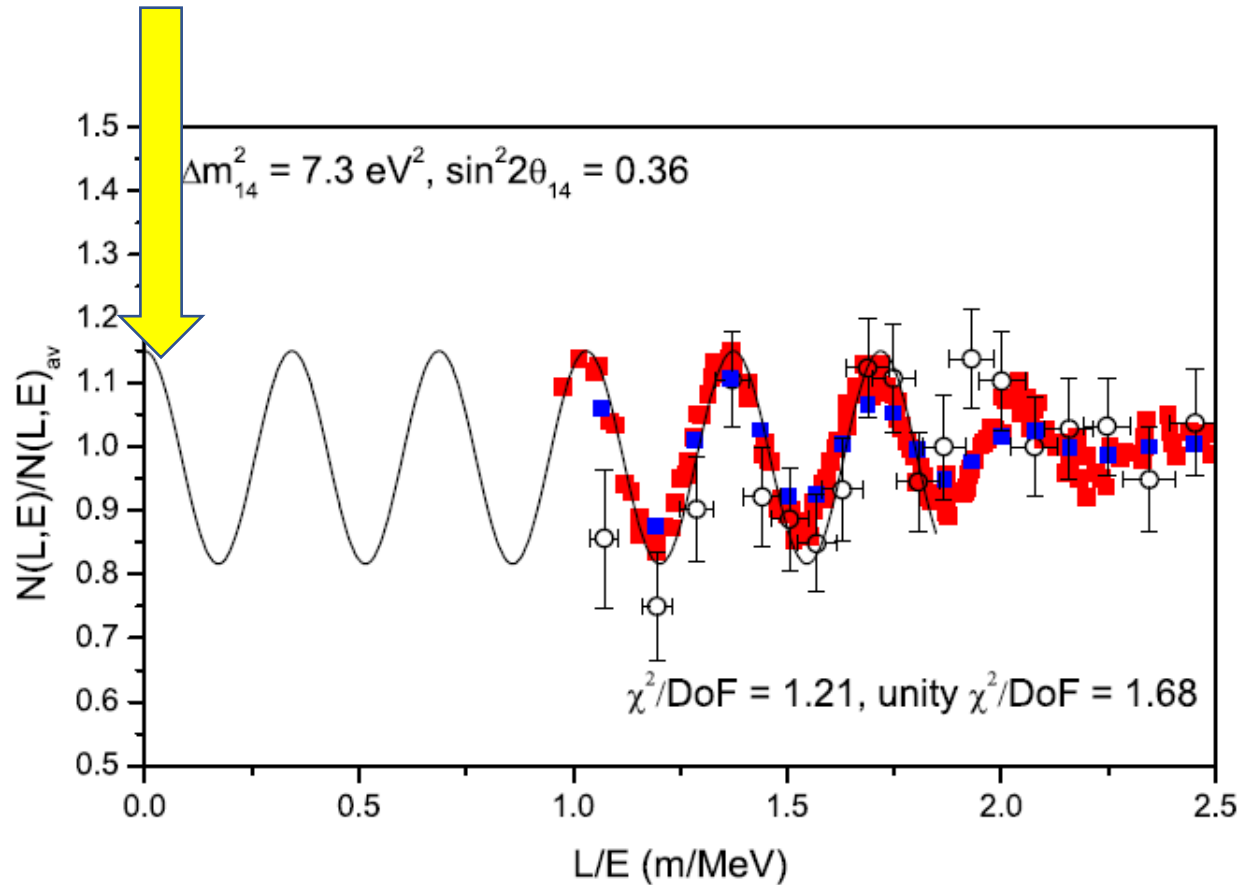
$$0.55 \quad 0.17$$

$$0.24 \quad 0.03$$

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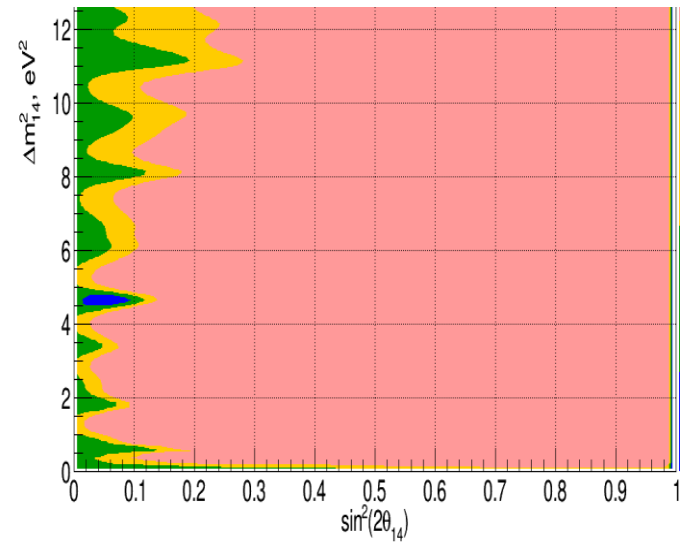
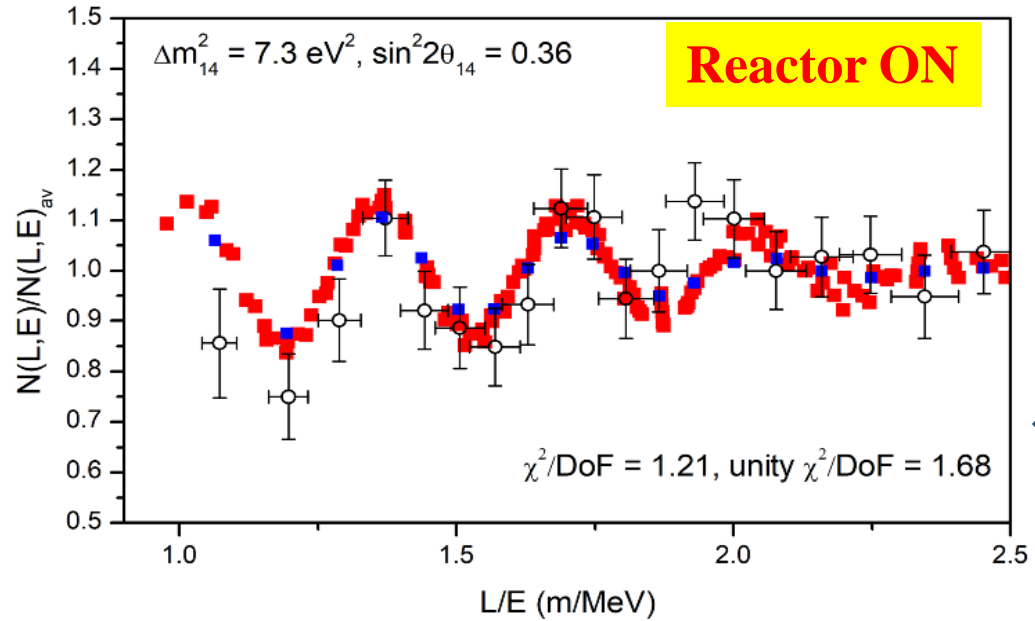
**There is a maximum at zero, from here the process of oscillations begins**



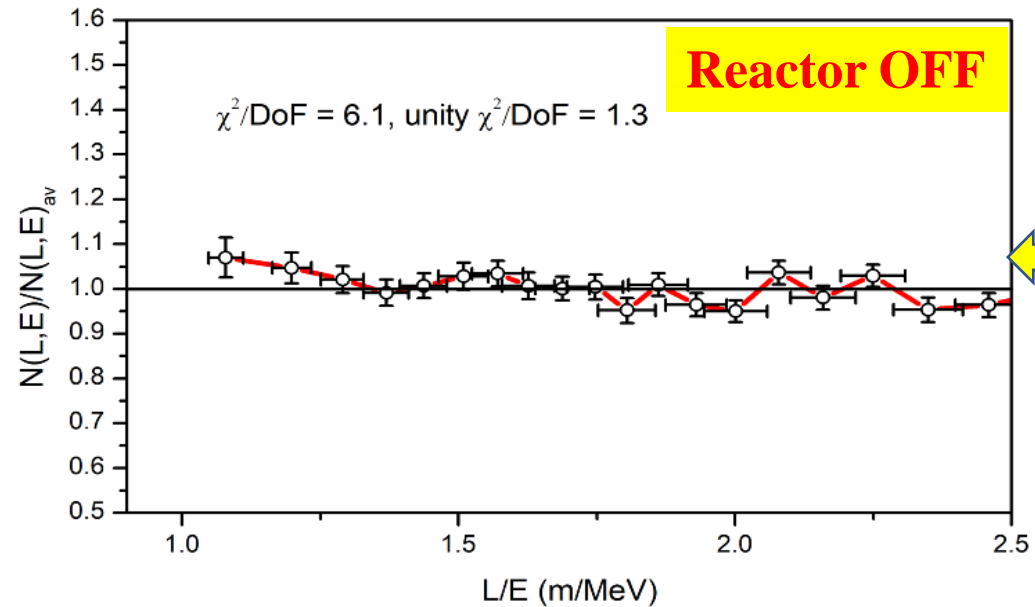
It should be noted that the experimental points should be fitted with such a sinusoidal dependence, which has a maximum at the origin, since the process of oscillations starts from the source. This significantly reduces the set of sinusoids available for fitting. FIG. shows the complete curve of the oscillation process starting from the reactor.

FIG. 47. Complete curve of the oscillation process starting from the reactor core center.

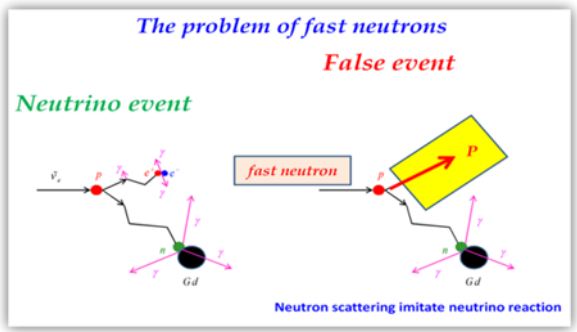
# ANALYSIS OF POSSIBLE SYSTEMATIC EFFECTS



Comparison of the R-ratio versus L/E for the neutrino signal (top)



and the R-ratio versus L/E for the background (bottom).



# RESULT OF EXPERIMENT NEUTRINO-4

$$\Delta m_{14}^2 = 7.30 \pm 0.13_{st} \pm 1.16_{syst} = 7.30 \pm 1.17$$

$$\sin^2 2\theta_{14} = 0.36 \pm 0.12(2.9\sigma)$$

Monte Carlo based statistical analysis gave an estimation of the confidence level at  $2.7\sigma$ .

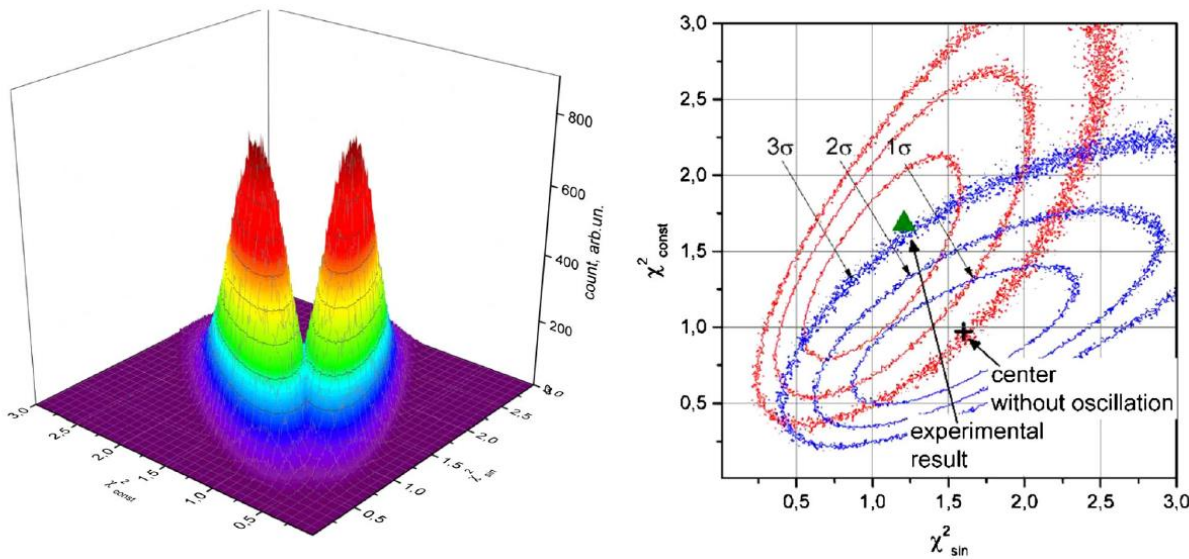


FIG. 53. On the left, the distribution of the reduced  $\chi^2$  on the plane  $(\chi_{\text{const}}^2, \chi_{\text{sin}}^2)$  is shown for modeling with accuracy according to the experimental statistics and with a background level corresponding to the experimental background. Two cases were simulated with the hypothesis of oscillations and with the hypothesis without oscillations. For each case, an analysis was carried out with the hypothesis of oscillations and with the hypothesis without oscillations. On the right is the same picture, where the center of the distribution without oscillations (black cross), and the deviation from this center of the experimental result (green triangle—first and second cycle) are indicated. The result of the analysis of the experimental data when processed with the hypothesis with and without oscillations gives  $\chi_{\text{sin}}^2 = 1.21$  or  $20.6$  for 17 degrees of freedom and  $\chi_{\text{const}}^2 = 1.68$ , or  $31.9$  for 19 degrees of freedom, respectively, and  $\Delta\chi^2 = 11.3$ . Distribution contours with  $1\sigma$ ,  $2\sigma$ , and  $3\sigma$  are marked. The deviation of the experimental result from the center of the distribution without oscillations is approximately  $3\sigma$ .

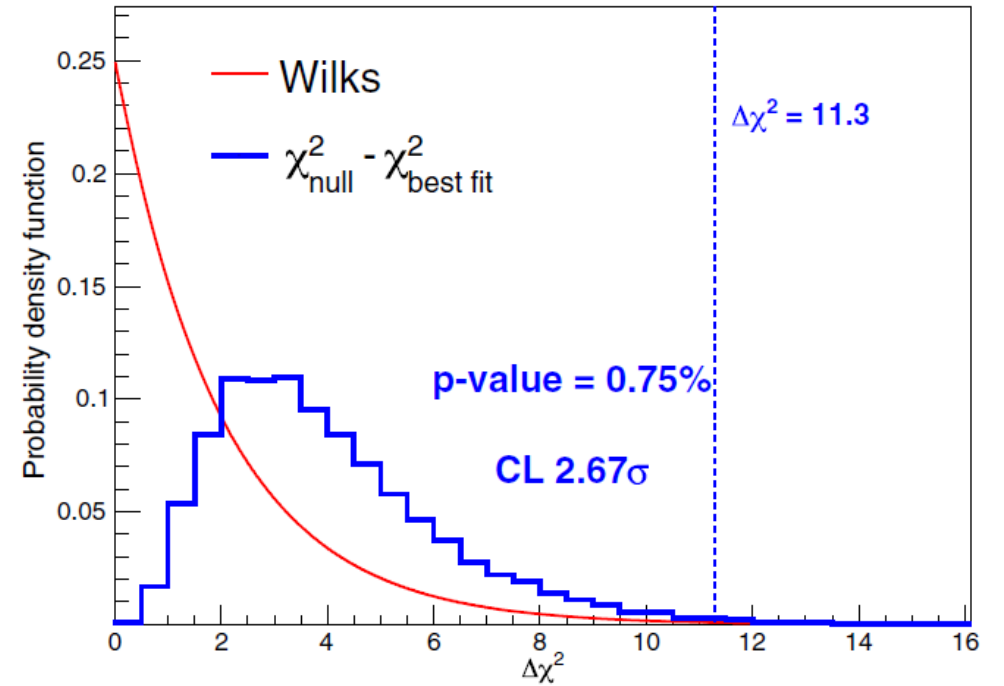
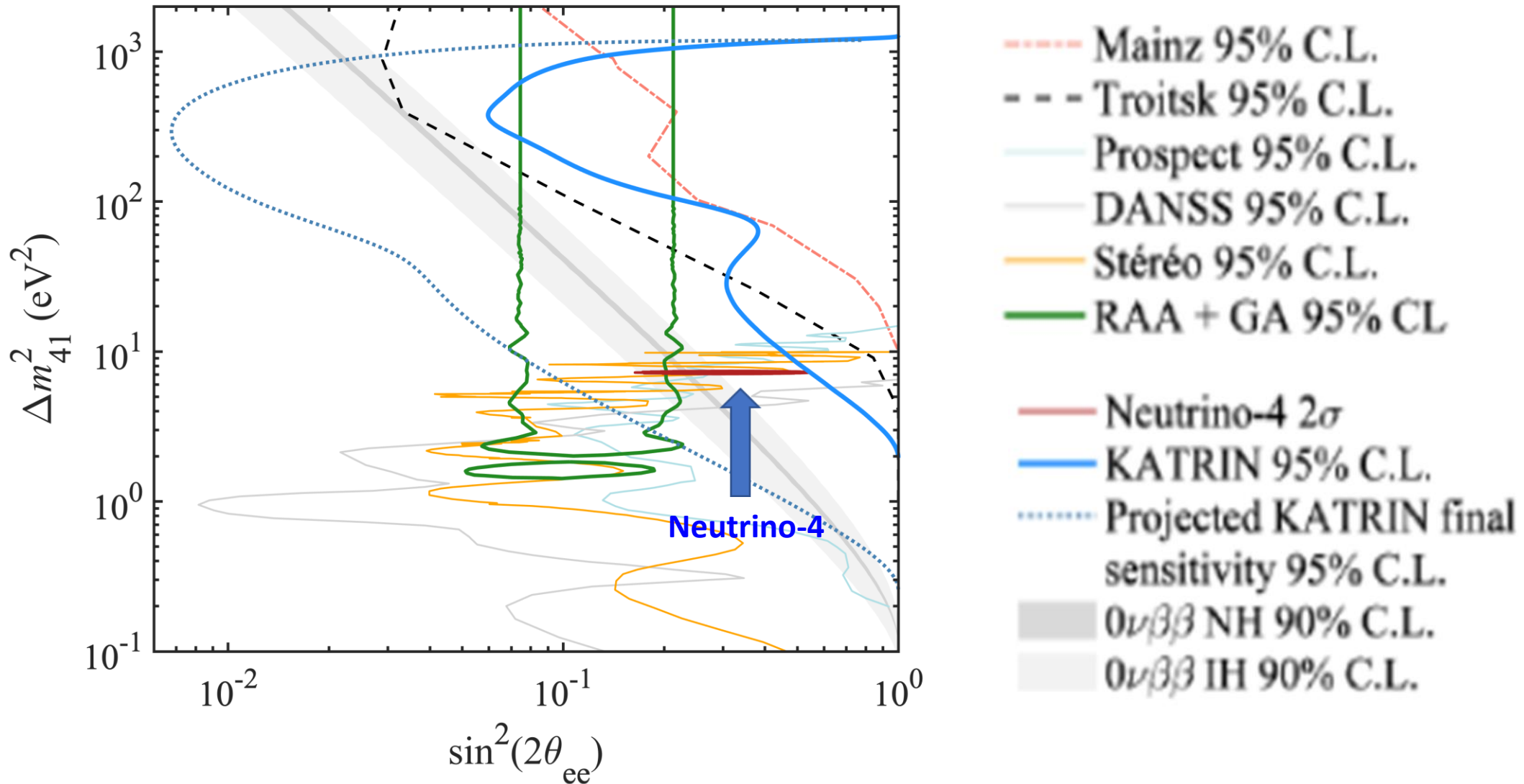


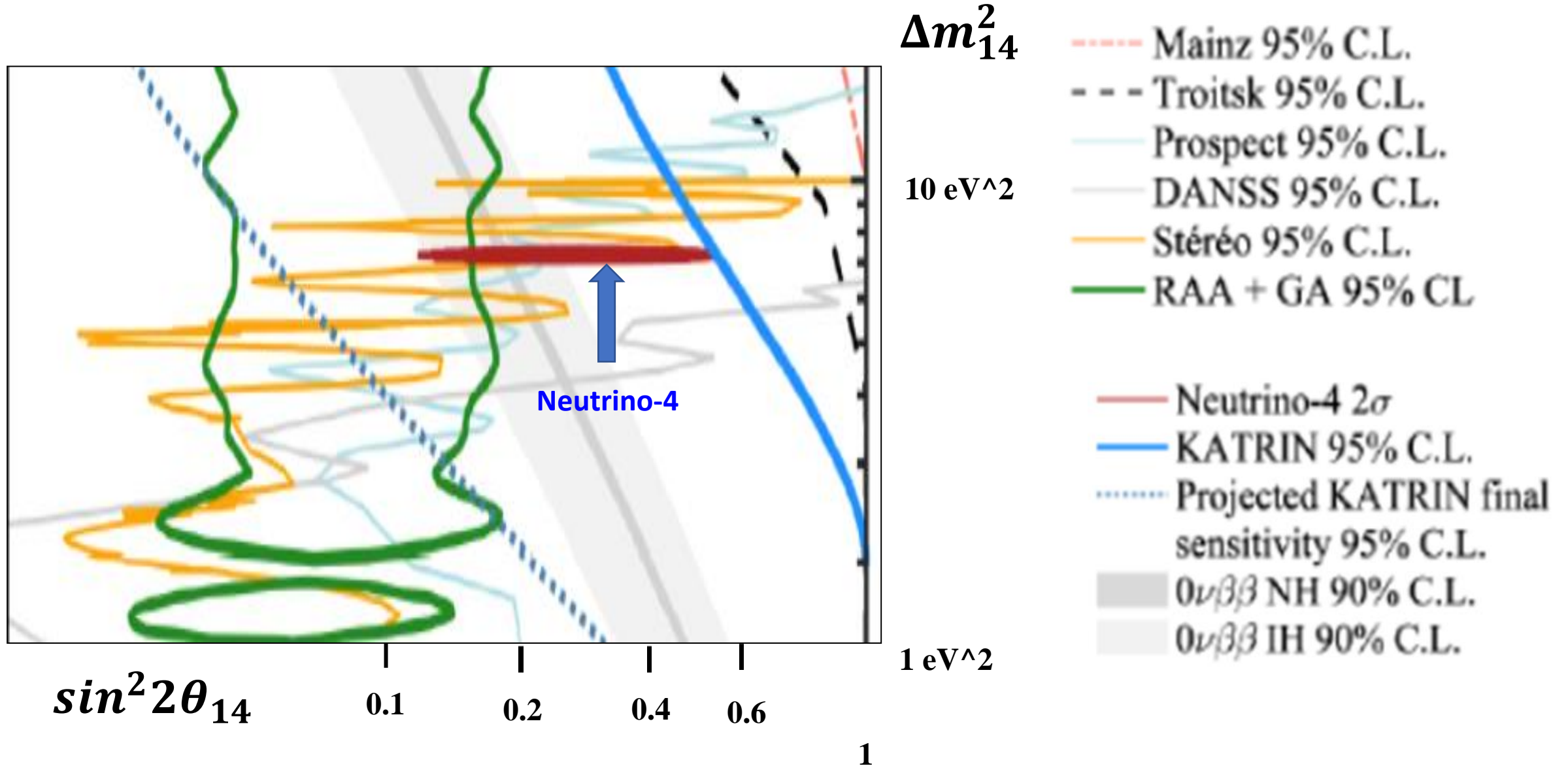
FIG. 54.  $T$  distribution for MC based approach to the statistical analysis (blue line) and  $\chi^2$  with 2 degrees of freedom function, which is claimed by Wilks's theorem.



# Comparison of results of Neutrino-4 experiment with results of other experiments



# Comparison of results of Neutrino-4 experiment with results of other experiments



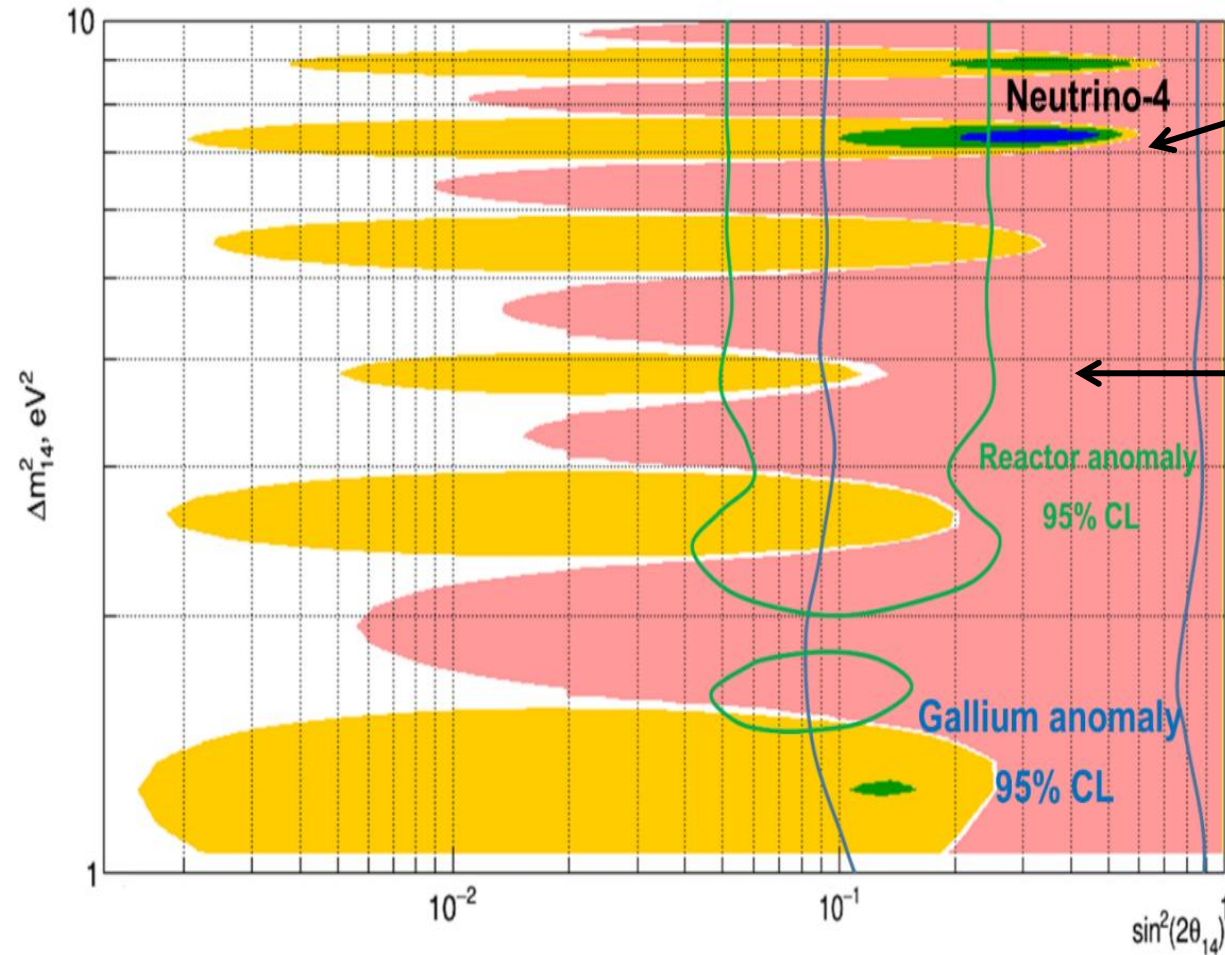
The results of the analysis of optimal parameters  $\Delta m_{14}^2$  and  $\sin^2 2\theta_{14}$  using  $\Delta\chi^2$  method

$$\sum_{i,k} [(R_{i,k}^{\text{exp}} - R_{i,k}^{\text{th}})^2 / (\Delta R_{i,k}^{\text{exp}})^2] = \chi^2(\sin^2 2\theta_{14}, \Delta m_{14}^2)$$

We observed the oscillation effect at C.L.  $2.9 \sigma$  in vicinity of :

$$\Delta m_{14}^2 \approx 7.25 \text{eV}^2$$

$$\sin^2 2\theta_{14} \approx 0.36$$

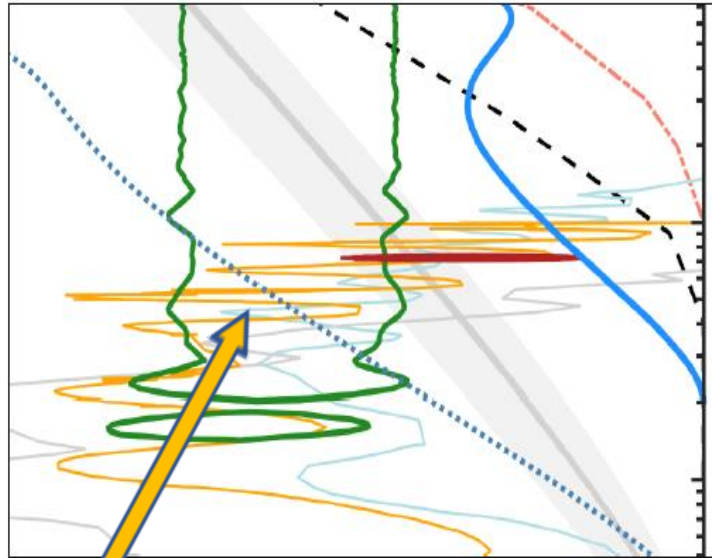


Expected from Neutrino-4 CL 99.7%

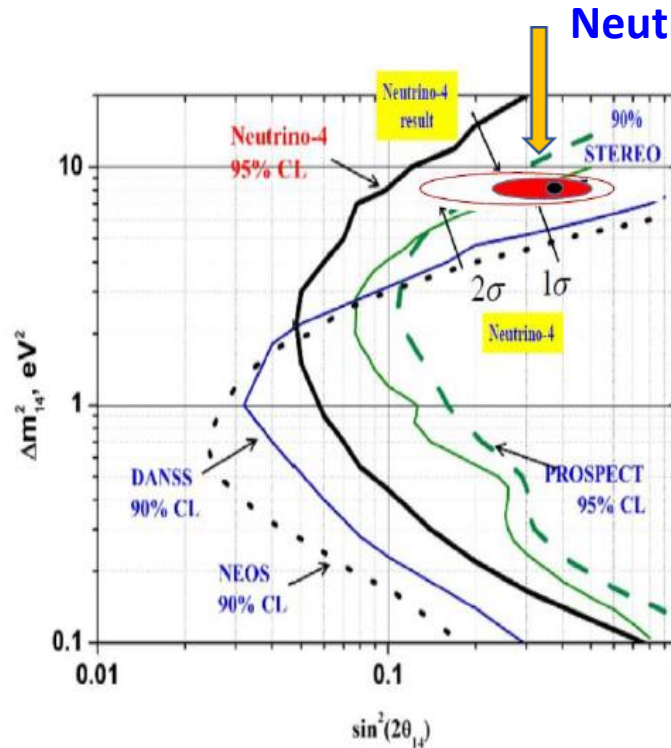
Excluded from Neutrino-4 CL >99.9% CL

# Comparison of the results of Neutrino-4 experiment with the results of reactor, gallium anomaly and results of the KATRIN and GERDA experiments and results of BEST experiment

- Mainz 95% C.L.
- Troitsk 95% C.L.
- Prospect 95% C.L.
- DANSS 95% C.L.
- Stéréo 95% C.L.
- RAA + GA 95% CL
- Neutrino-4 2σ
- KATRIN 95% C.L.
- Projected KATRIN final sensitivity 95% C.L.
- 0νββ NH 90% C.L.
- 0νββ IH 90% C.L.

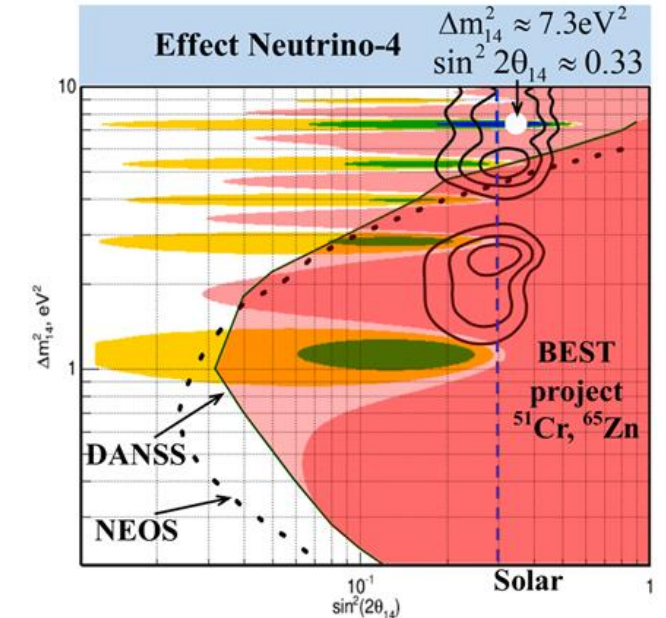


**RAA**  $\sin^2 2\theta_{14} \approx 0.13 \pm 0.05 (2.6\sigma)$



$\sin^2 2\theta_{14} \approx 0.36 \pm 0.12 (2.9\sigma)$

**Neutrino-4**



$\sin^2 2\theta_{14} \approx 0.32 \pm 0.10 (3.2\sigma)$

**gallium anomaly**

**$\sin^2 2\theta_{14} \approx 0.34 \pm 0.08 (4.3\sigma)$**

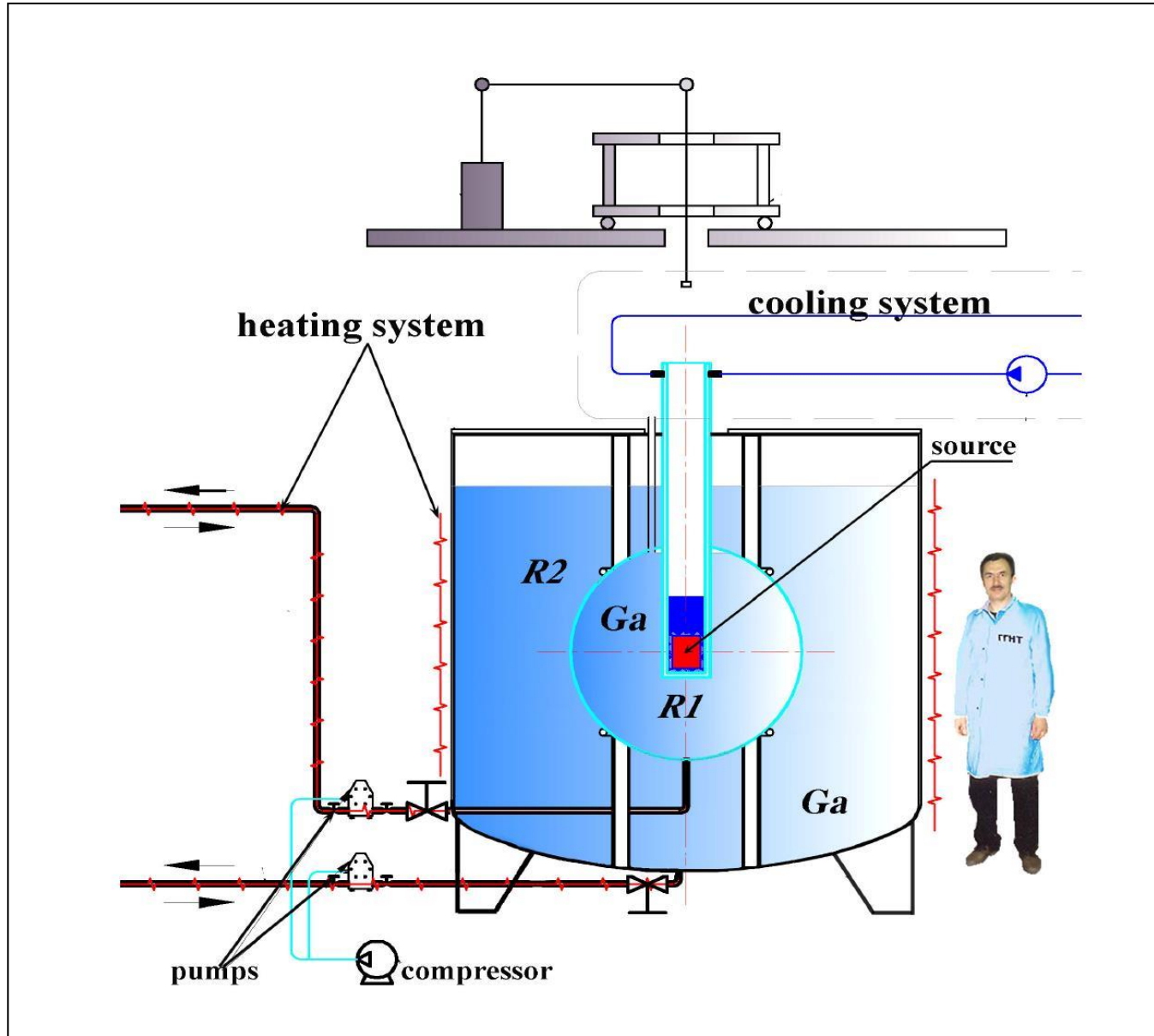
**We use the sterile neutrino parameters**

$\sin^2 2\theta_{14} \approx 0.34 \pm 0.08, \Delta m^2_{14} = (7.3 \pm 0.13_{st} \pm 1.16_{syst}) eV^2$

**Neutrino-4 + gallium anomaly**

**in our further analysis.**

## Results from the Baksan Experiment on Sterile Transitions (BEST)

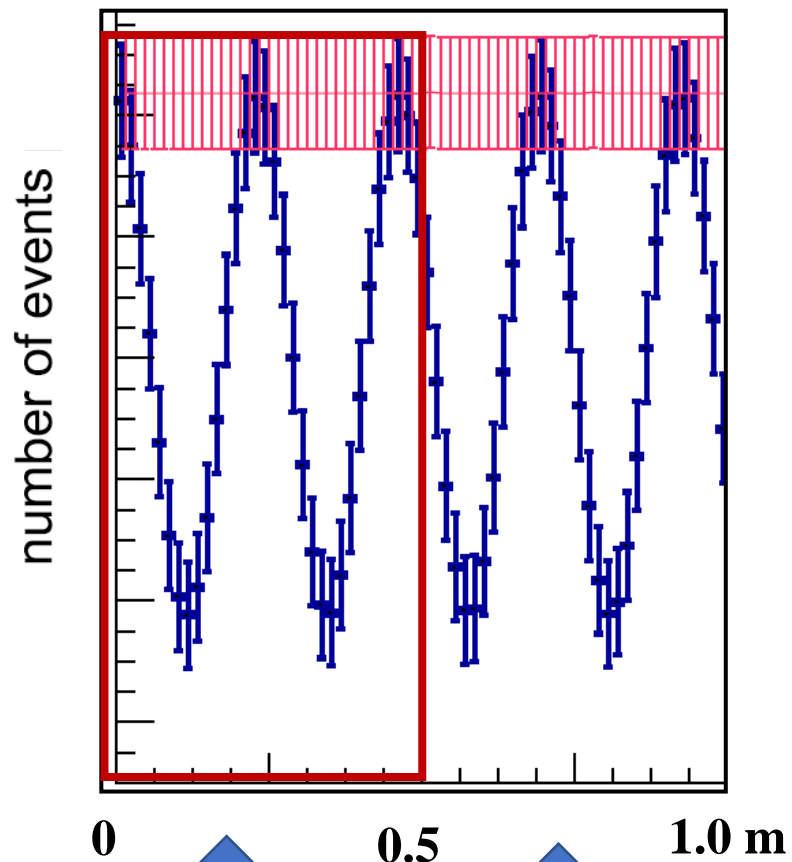


The source was delivered to the Baksan Neutrino Observatory (BNO) on July 5, 2019 and was placed into the two-zone target at 14:02 that same day and this is our chosen reference time for the source strength. The source was manufactured by irradiating 4 kg of  $^{50}\text{Cr}$ -enriched metal for 100 d in a reactor at the State Scientific Center Research Institute of Atomic Reactors, Dimitrovgrad, Russia. The activity (A) at the reference time is 3.4140.008 MCi.

The  $^{51}\text{Cr}$  isotope emits at 4 energies;  
747 keV (81.63%),  
427 keV (8.95%),  
752 keV (8.49%) and  
432 keV (0.93%).

Result for

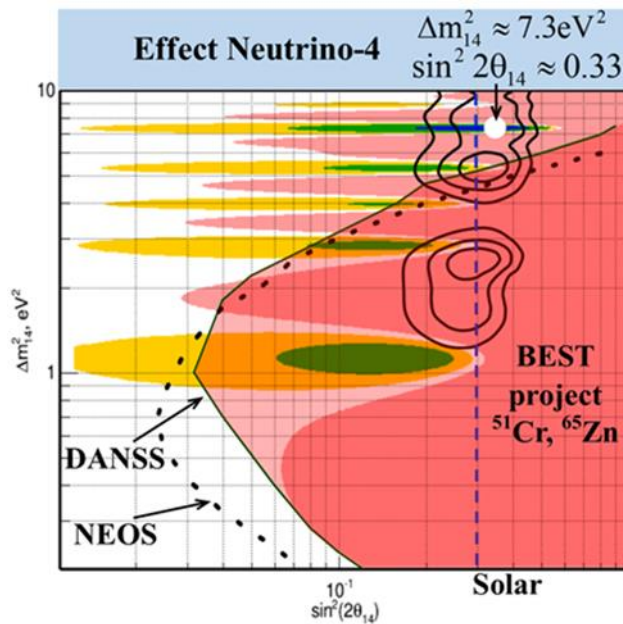
$$\Delta m_{14}^2 = 7.3 \text{ eV}^2$$



Inner  
Volume

Outer  
Volume

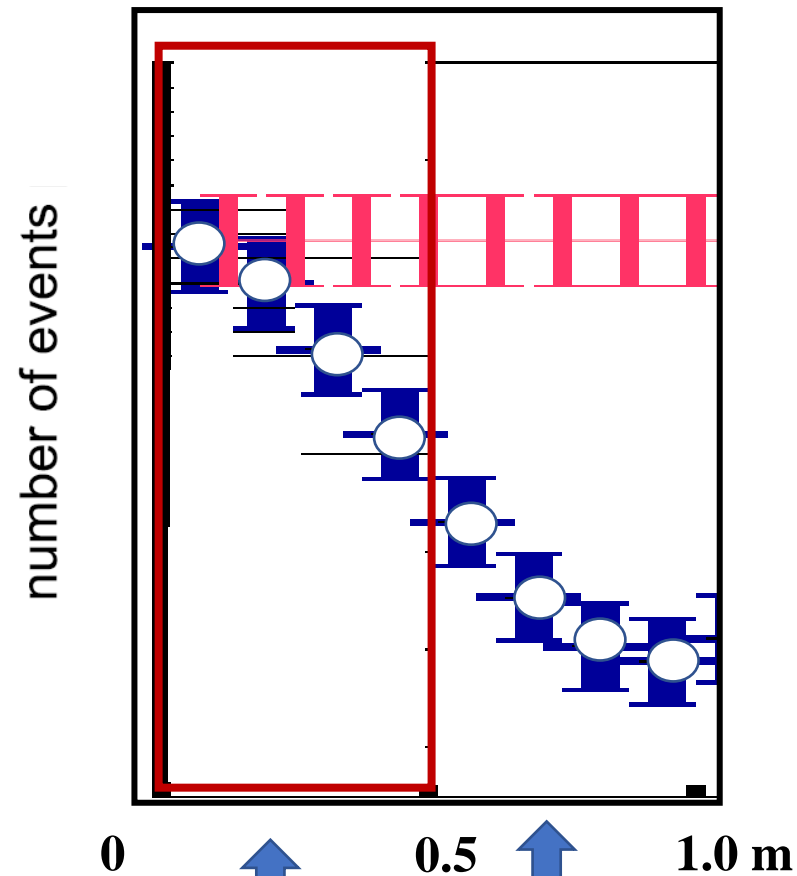
## Experiment BEST



$$\sin^2 2\theta_{14} \approx 0.32 \pm 0.10 (3.2\sigma)$$

Project for

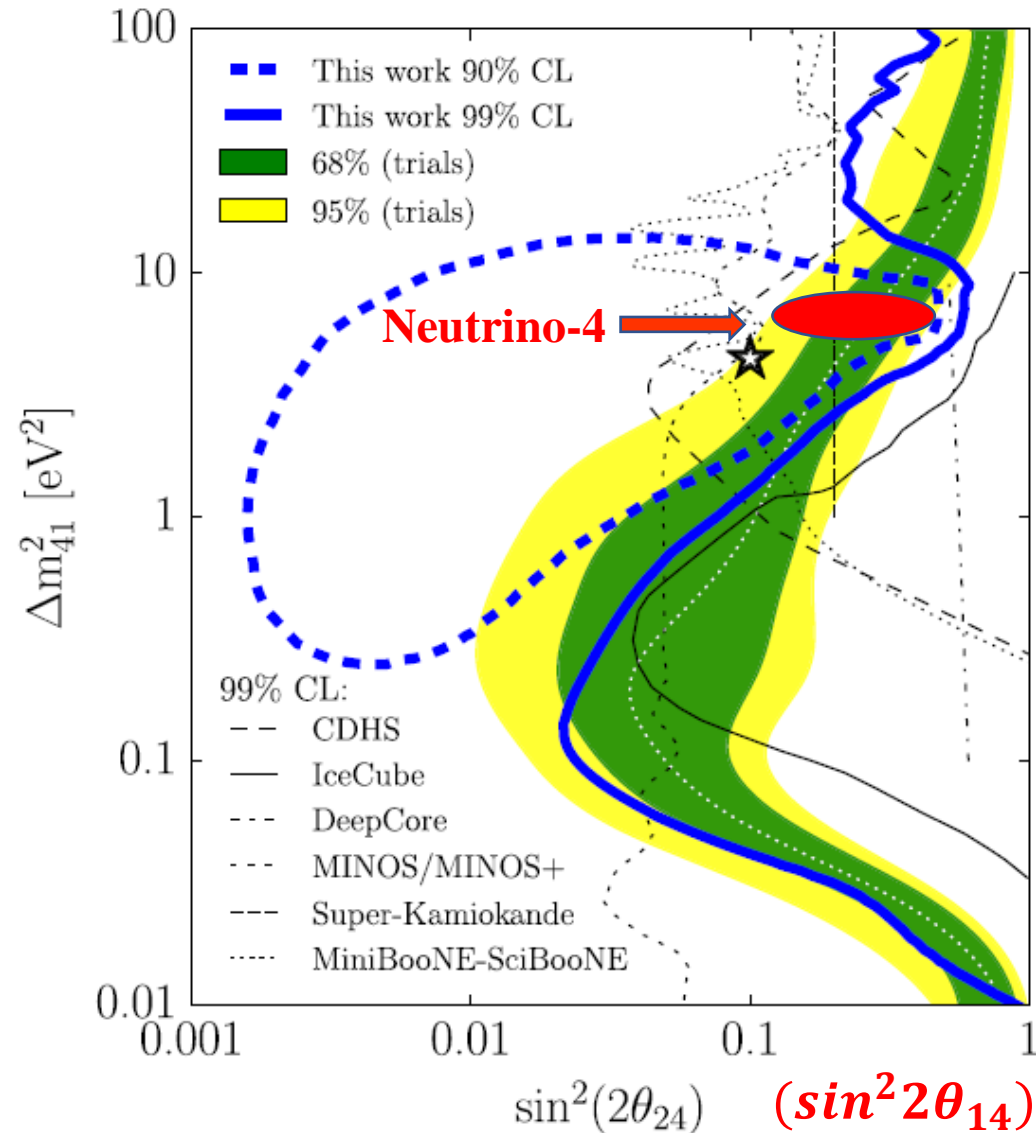
$$\Delta m_{14}^2 = 1.0 \text{ eV}^2$$



Inner  
Volume

Outer  
Volume

## Comparison of results of Neutrino-4 experiment with results of IceCube experiment



$$\Delta m_{14}^2 = 4.47_{-2.08}^{+3.53}$$

$$\sin^2(2\theta_{24}) = 0.10_{-0.07}^{+0.102}$$

FIG. 4. Frequentist analysis result. The 90% and 99% C.L. contours, assuming Wilks's theorem, shown as dashed and solid bold blue lines, respectively. The green and yellow band shows the region where 68% and 95% of the pseudoexperiment 99% C.L. observations lie; the dashed white line corresponds to the median. Other muon-neutrino disappearance measurements at 99% C.L. are shown in black [25–30,123,124]; where results were not available at 99% C.L., methods of Ref. [11] were applied using public data releases. Finally, the star marks the analysis best-fit point location.

**Possibility of experimental confirmation  
of the 3 + 1 neutrino model  
with one sterile neutrino**



## THE STRUCTURE OF 3+1 NEUTRINO MODEL AND REPRESENTATION OF PROBABILITIES OF VARIOUS OSCILLATIONS

$$\begin{bmatrix} \nu_e \\ \nu_\mu \\ \nu_\tau \\ \nu_s \end{bmatrix} = \begin{bmatrix} U_{e1} & U_{e2} & U_{e3} & U_{e4} \\ U_{\mu1} & U_{\mu2} & U_{\mu3} & U_{\mu4} \\ U_{\tau1} & U_{\tau2} & U_{\tau3} & U_{\tau4} \\ U_{s1} & U_{s2} & U_{s3} & U_{s4} \end{bmatrix} \begin{bmatrix} \nu_1 \\ \nu_2 \\ \nu_3 \\ \nu_4 \end{bmatrix} \quad \begin{aligned} |U_{e4}|^2 &= \sin^2(\theta_{14}) \\ |U_{\mu4}|^2 &= \sin^2(\theta_{24}) \cdot \cos^2(\theta_{14}) \\ |U_{\tau4}|^2 &= \sin^2(\theta_{34}) \cdot \cos^2(\theta_{24}) \cdot \cos^2(\theta_{14}) \end{aligned}$$

$$P_{\nu_e \nu_e} = 1 - 4|U_{e4}|^2(1 - |U_{e4}|^2) \sin^2\left(\frac{\Delta m_{14}^2 L}{4E_{\nu_e}}\right) = 1 - \sin^2 2\theta_{ee} \sin^2\left(\frac{\Delta m_{14}^2 L}{4E_{\nu_e}}\right)$$

$$P_{\nu_\mu \nu_\mu} = 1 - 4|U_{\mu4}|^2(1 - |U_{\mu4}|^2) \sin^2\left(\frac{\Delta m_{14}^2 L}{4E_{\nu_\mu}}\right) = 1 - \sin^2 2\theta_{\mu\mu} \sin^2\left(\frac{\Delta m_{14}^2 L}{4E_{\nu_\mu}}\right)$$

$$P_{\nu_\mu \nu_e} = 4|U_{e4}|^2|U_{\mu4}|^2 \sin^2\left(\frac{\Delta m_{14}^2 L}{4E_{\nu_e}}\right) = \sin^2 2\theta_{\mu e} \sin^2\left(\frac{\Delta m_{14}^2 L}{4E_{\nu_e}}\right)$$

**The relations of oscillations parameters required for comparative analysis of experimental results are:**

$$\begin{aligned}\sin^2 2\theta_{ee} &\equiv \sin^2 2\theta_{14} \\ \sin^2 2\theta_{\mu\mu} &= 4 \sin^2 \theta_{24} \cos^2 \theta_{14} (1 - \sin^2 \theta_{24} \cos^2 \theta_{14}) \approx \sin^2 2\theta_{24} \\ \sin^2 2\theta_{\mu e} &= 4 \sin^2 \theta_{14} \sin^2 \theta_{24} \cos^2 \theta_{14} \approx \frac{1}{4} \sin^2 2\theta_{14} \sin^2 2\theta_{24}\end{aligned}$$

**The first important conclusion of the 3 + 1 model is that the oscillation frequency in all processes should be the same, i.e. it is determined by the value**

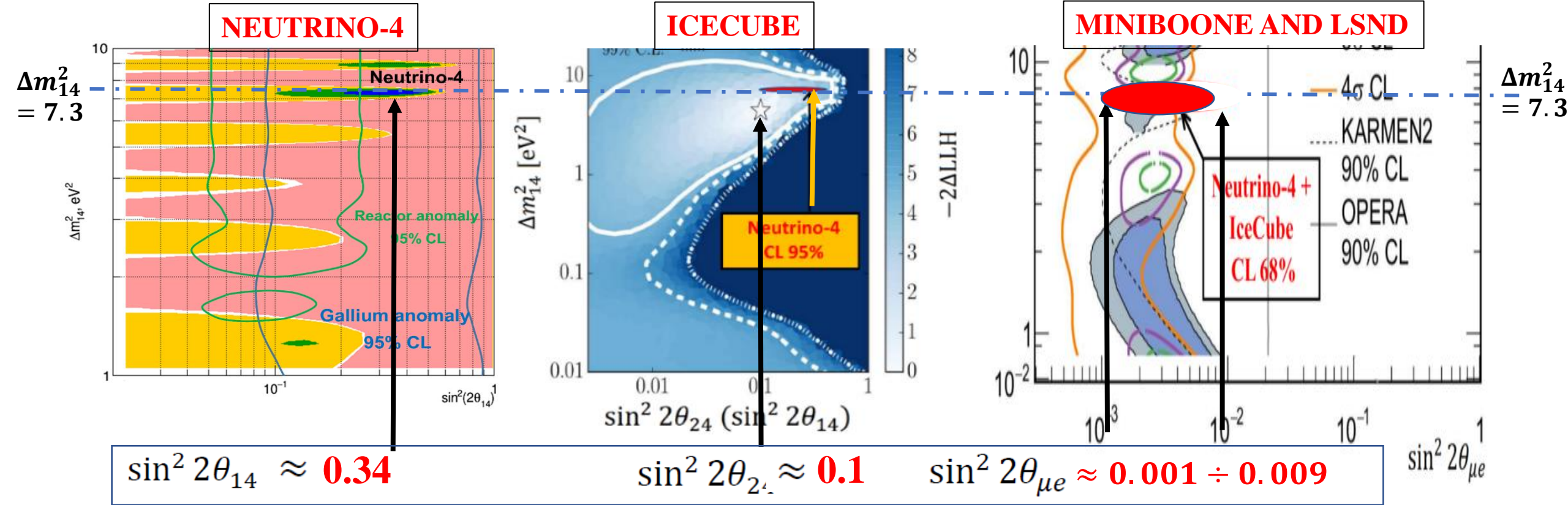
$$\Delta m_{14}^2$$

**The second important relation for experimental verification of the 3 + 1 model.**

$$\sin^2 2\theta_{\mu e} \approx \frac{1}{4} \sin^2 2\theta_{14} \sin^2 2\theta_{24}$$

**This relationship can be interpreted in fairly simple way. The appearance of electron neutrinos in muon neutrino beam: this is a second-order process, i.e. transition of muon neutrino to sterile neutrino, and then the transition of sterile neutrino into electron neutrino.**

# COMPARISON OF NEUTRINO-4 WITH ICECUBE, MINIBOONE AND LSND



$$\sin^2 2\theta_{\mu e} \approx \frac{1}{4} \sin^2 2\theta_{14} \sin^2 2\theta_{24}$$

**Test of neutrino model 3+1**

A.P. Serebrov \*, R.M. Samoilov JETP Letters,  
Volume 112, 2020 Issue 4, pp 211–225  
[arxiv:2003.03199](https://arxiv.org/abs/2003.03199)

$$\Delta m_{14}^2 = 4.47_{-2.08}^{+3.53} \quad \sin^2(2\theta_{24}) = 0.10_{-0.07}^{+0.102}$$

**ICECUBE**

# Prediction of the effective mass of electron neutrino from Neutrino-4 experiment and comparison with experiments on measuring neutrino mass: KATRIN and GERDA

$$m_{4\nu_e}^{eff} = \sqrt{\sum m_i^2 |U_{ei}|^2}; \quad \sin^2 2\theta_{14} \approx 4|U_{14}|^2; \quad \sum m_\nu = m_1 + m_2 + m_3 \approx 0.54 \div 0.11 \text{eV}$$

$$\Delta m_{14}^2 \approx m_4^2 \approx 7.25 \text{eV}^2, \quad m_1^2, m_2^2, m_3^2 \ll m_4^2$$

$$m_4 = (2.70 \pm 0.22) \text{eV}$$

$$\sin^2 2\theta_{14} \approx 0.34 \pm 0.08 (4.3\sigma)$$

$$m_{4\nu_e}^{eff} \approx \sqrt{m_4^2 |U_{e4}|^2} \approx \frac{1}{2} \sqrt{m_4^2 \sin^2 2\theta_{14}}$$

$$m_{4\nu_e}^{eff} = (0.82 \pm 0.18) \text{eV}$$

$$m_{4\nu_e}^2 = 0.68 \pm 0.29$$

The majorana mass is determined in the double  $\beta$ -decay experiments by the ratio:

$$m(0\nu\beta\beta) = \left| \sum U_{ei}^2 m_i \right|$$

$$m(0\nu\beta\beta) \approx m_4 U_{14}^2$$

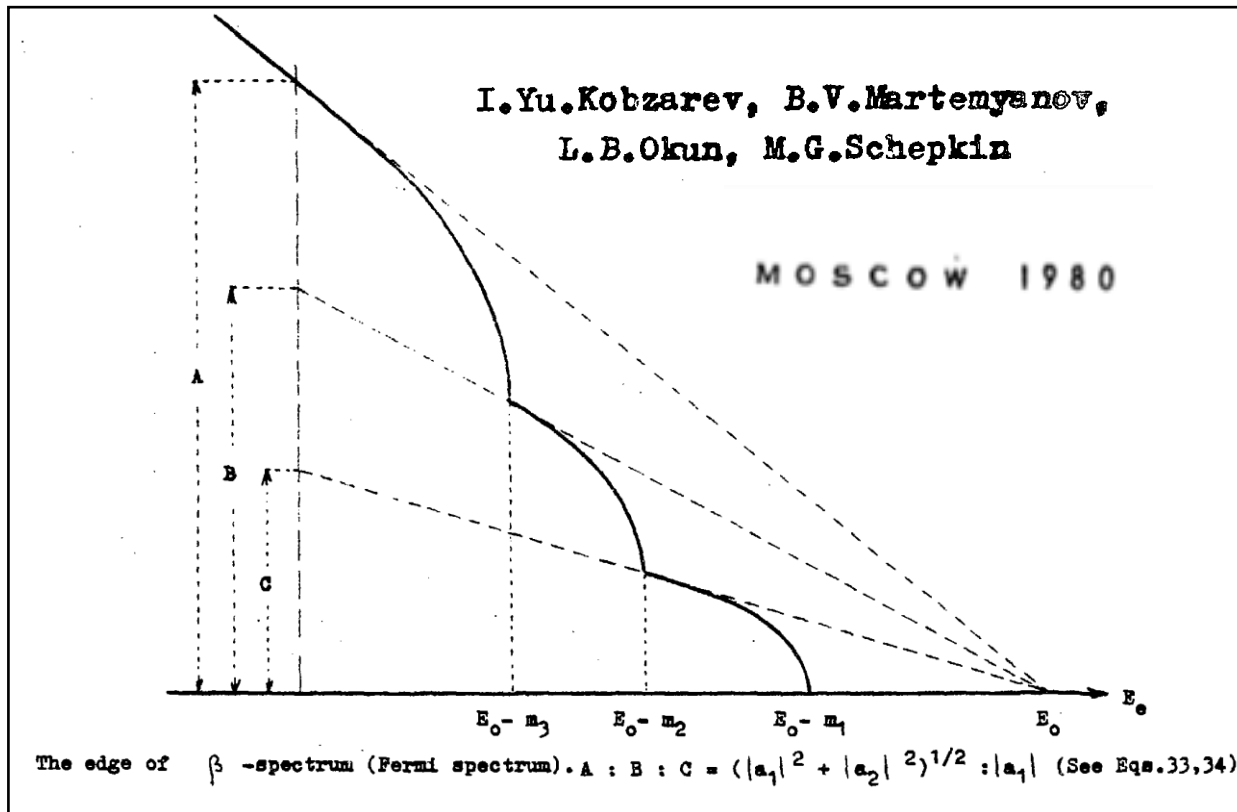
$$m(0\nu\beta\beta) = (0.25 \pm 0.09) \text{eV}$$

# Karlsruhe Tritium Neutrino (KATRIN) experiment

## First direct neutrino-mass measurement with sub-eV sensitivity

arXiv:2105.08533v1 [hep-ex] 18 May 2021

### THE PHENOMENOLOGY OF NEUTRINO OSCILLATIONS



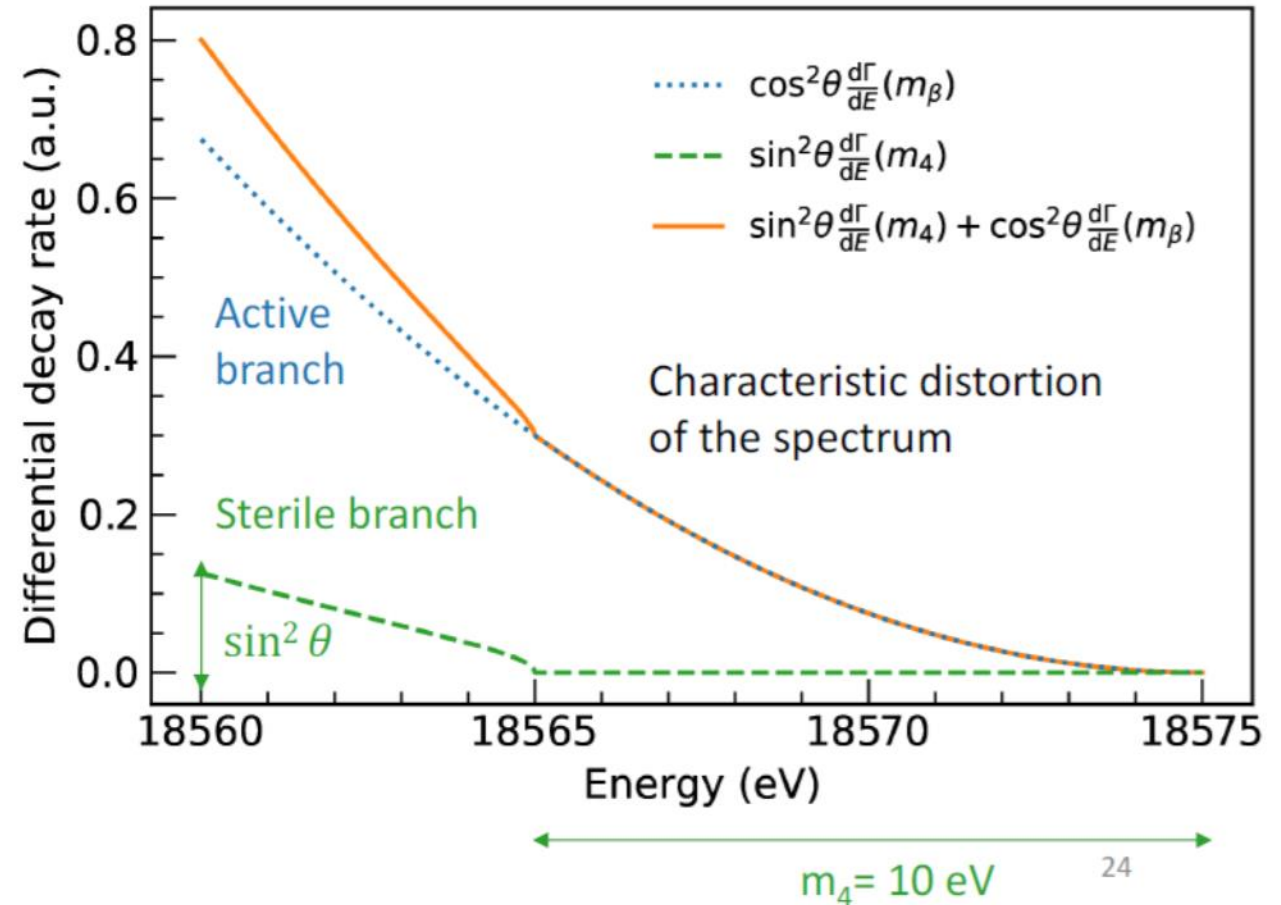
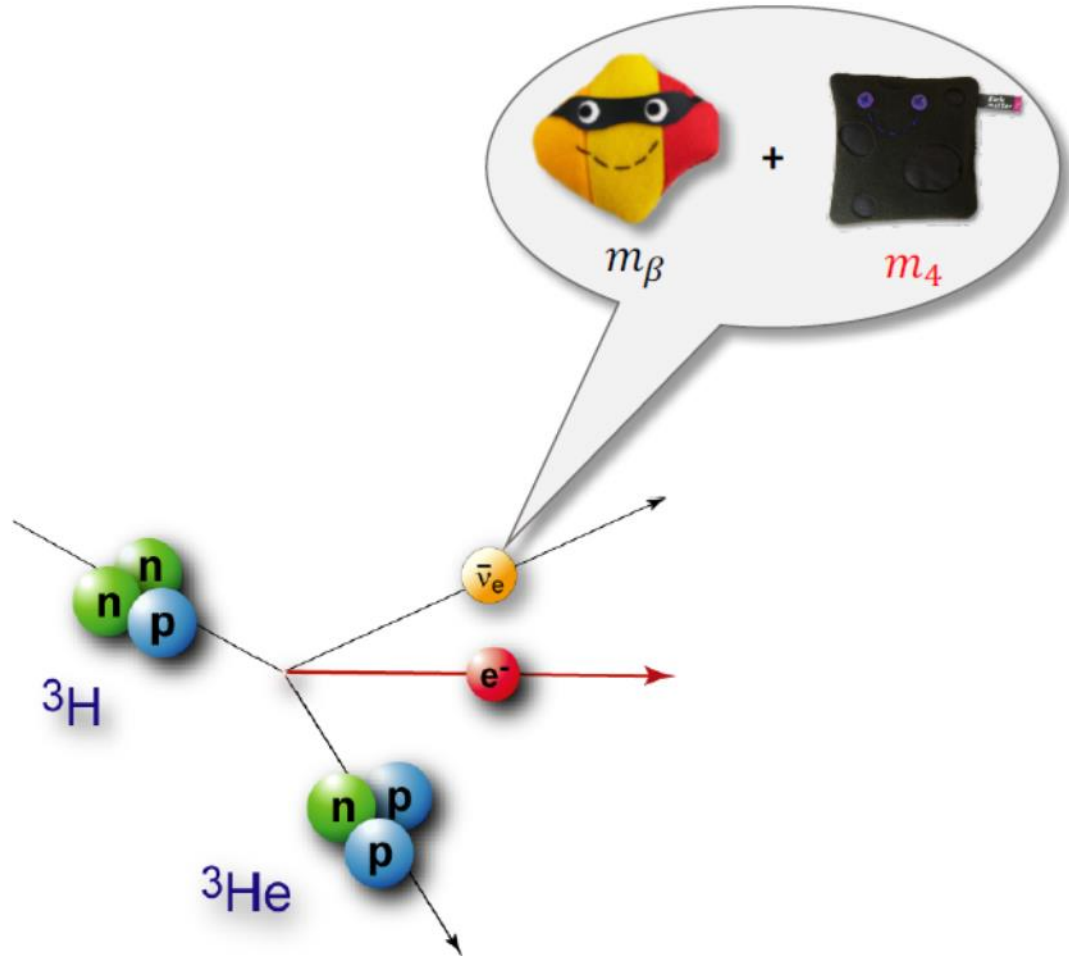
The best fit to the spectral data yields  $m_{\nu_e}^2 = 0.26 \pm 0.34$ , resulting in an upper limit of  $m_{\nu_e} < 0.9 \text{ eV}$  (90%)

By combining this result with the first neutrino mass campaign, we find an upper limit of  $m_{\nu_e} < 0.8 \text{ eV}$  (90%)

# What does KATRIN measure?

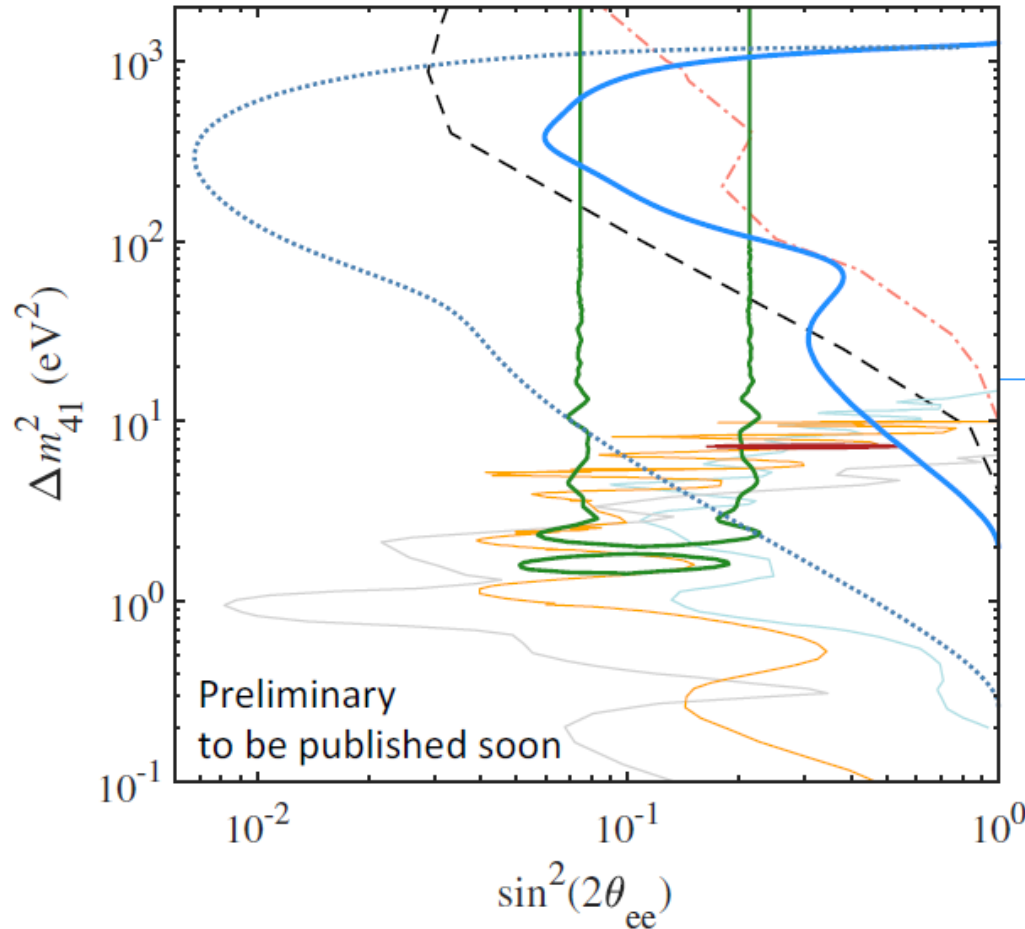
## Signature of light sterile neutrino

→ See Reactor and Geo  $\nu$  session on 25 June  
 → See sterile  $\nu$  session on 2 July



# eV-scale sterile neutrino search

- Mainz 95% C.L.
- Troitsk 95% C.L.
- Prospect 95% C.L.
- DANSS 95% C.L.
- Stéréo 95% C.L.
- RAA + GA 95% CL
- Neutrino-4  $2\sigma$
- KATRIN KSN1 95% C.L. (stat. and syst.)
- Projected KATRIN final sensitivity 95% C.L. (stat. and syst.)



## High $\Delta m_{41}$ region:

- ✓ Improve exclusion with respect to DANSS, PROSPECT, and STEREO
- ✓ Exclude parameter space of Reactor Anomaly (RAA)

## Low $\Delta m_{41}$ region:

- ✓ Improve MAINZ and TROITSK limit
- ✓ The NEUTRINO-4 hint at the edge of exclusion limit

# KATRIN

$$m_{3\nu_e}^{\text{eff}} < 0.8 \text{ eV (90\%)}$$

$$(m_{3\nu_e}^{\text{eff}})^2 = 0.26 \pm 0.34$$

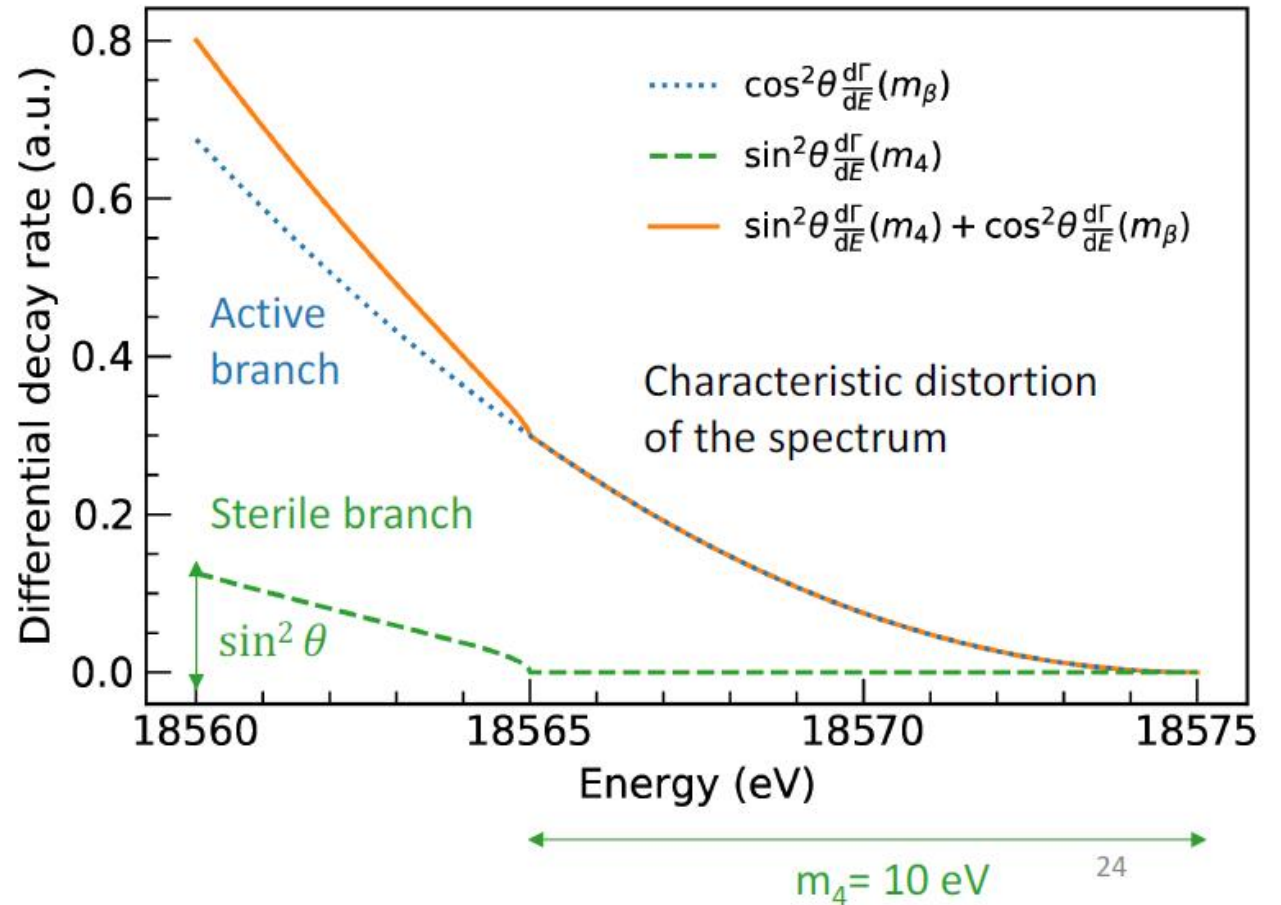
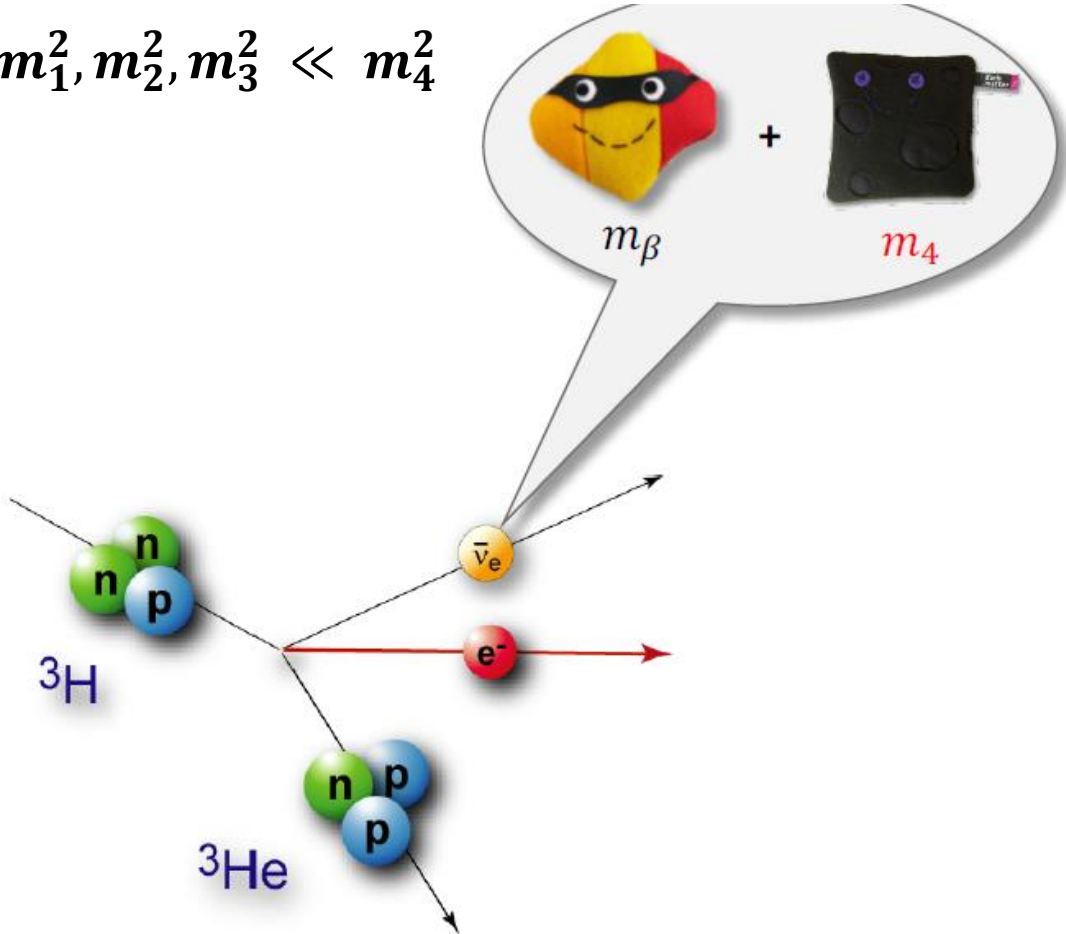
$$m_{4\nu_e}^{\text{eff}2} = ?$$

$$m_{4\nu_e}^{\text{eff}} = (0.82 \pm 0.18) \text{ eV}$$

Neutrino4

$$(m_{4\nu_e}^{\text{eff}})^2 = 0.68 \pm 0.29$$

$$m_1^2, m_2^2, m_3^2 \ll m_4^2$$





$$R_\beta(E, m_\nu) = \frac{G_F^2 \cos^2 \theta_C}{2\pi^3} |\mathcal{M}|^2 F(E, Z + 1)$$

$$\times (E + m_e) \sqrt{(E + m_e)^2 - m_e^2}$$

$$\times \sum_i \zeta_f \sqrt{(E_0 - E - V_i)^2 - m_\nu^2} \Theta(E_0 - E - V_i - m_\nu)$$

$$R_\beta^S(E, m'_\nu, m_4) = (1 - |U_{e4}|^2) R_\beta(E, m'_\nu) + |U_{e4}|^2 R_\beta(E, m_4)$$

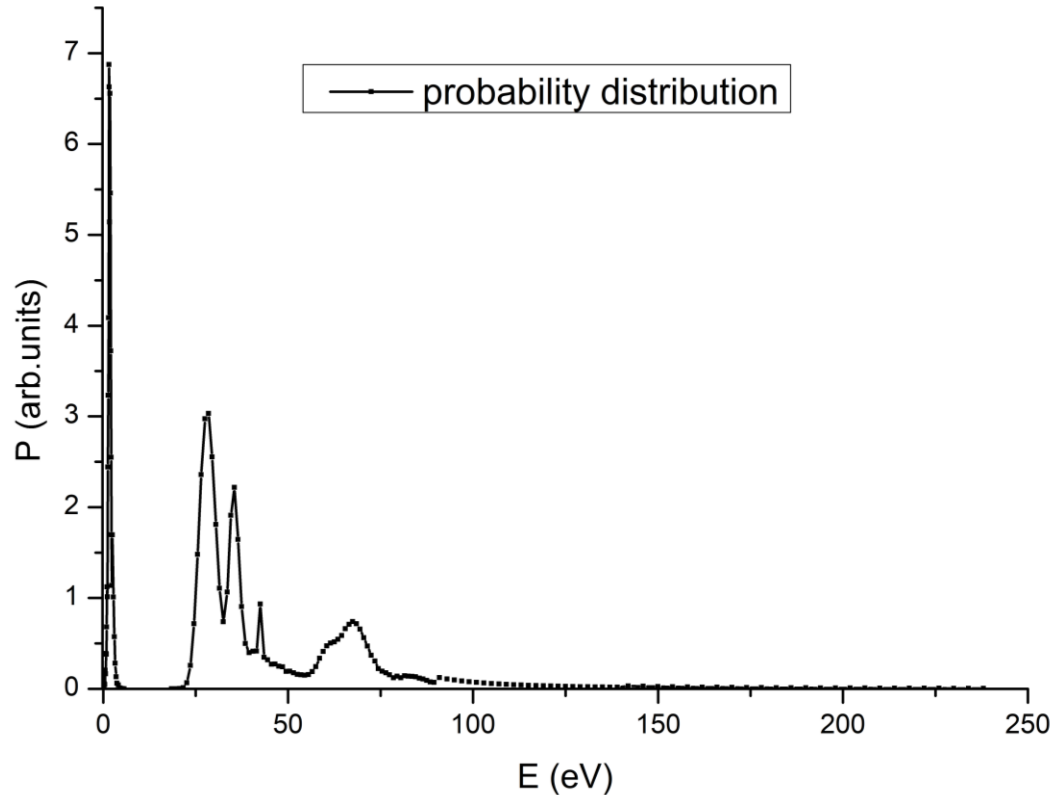


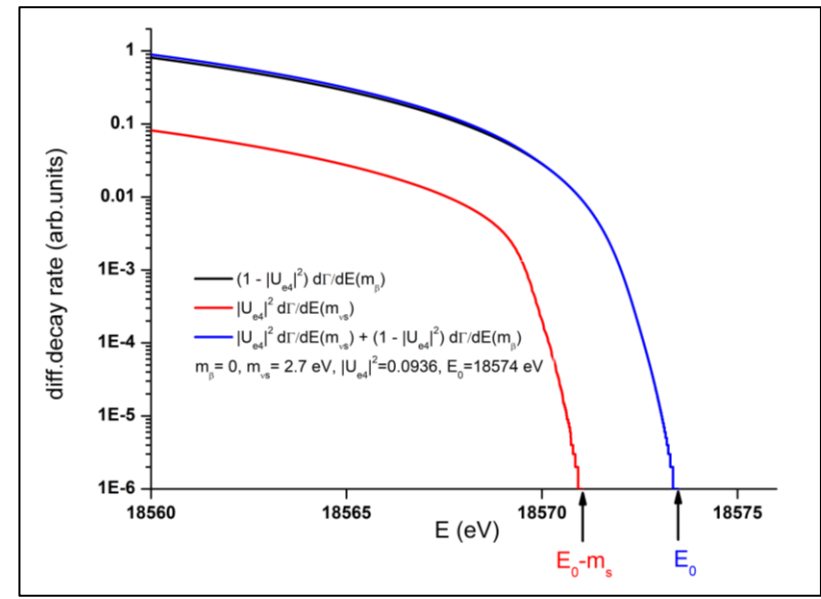
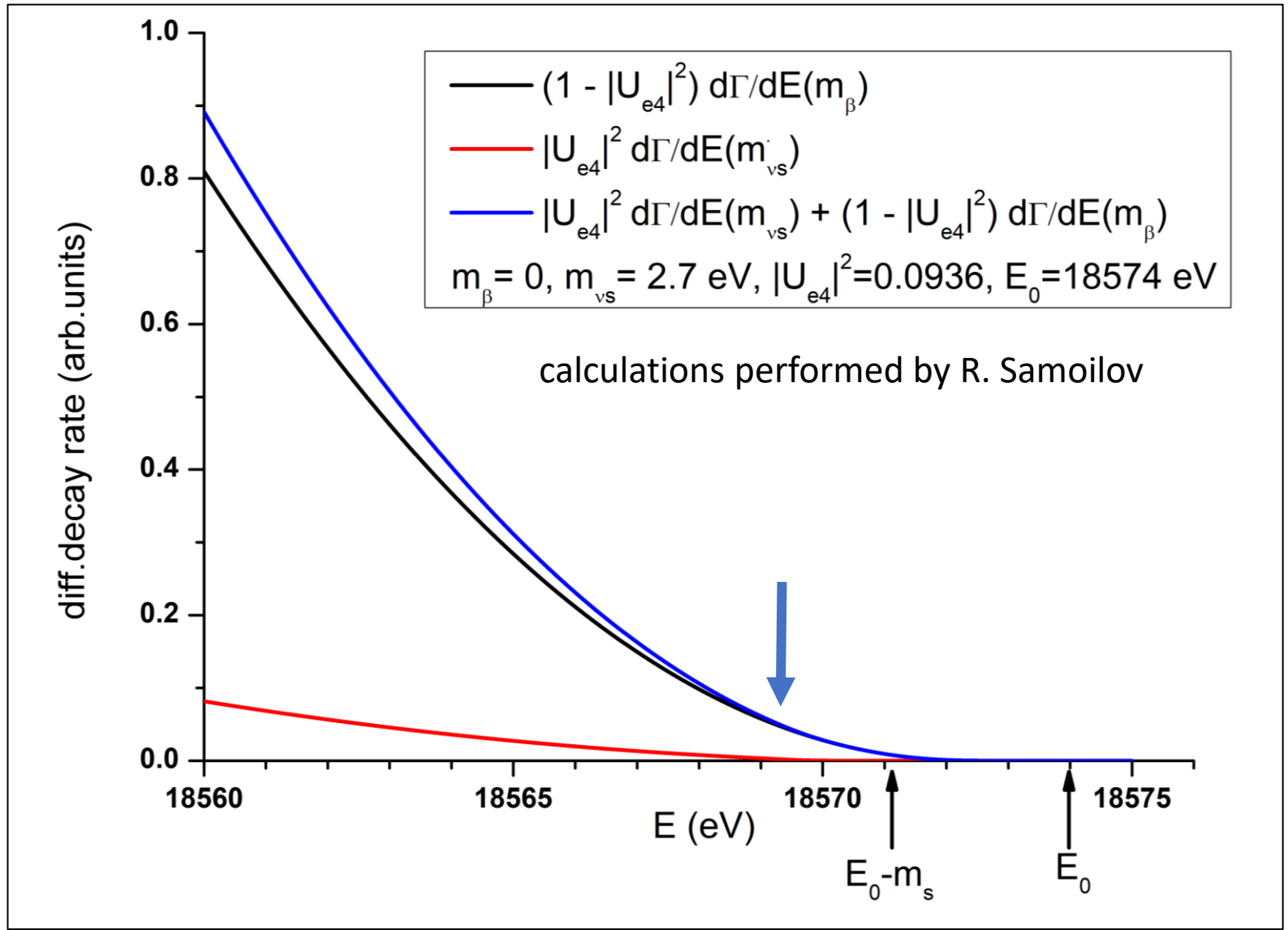
TABLE I. Discretized final-state probability distribution  $P(E_i)$  for  ${}^3\text{HeT}^+$  ( ${}^3\text{HeH}^+$ ) following the  $\beta$  decay of a free  $\text{T}_2$  (HT) molecule within the sudden approximation. The mean excitation energies  $E_i$  for both isotopes are given relative to the rovibronic ground state of  ${}^3\text{HeT}^+$  and the recoil energy for  ${}^3\text{HeT}^+$ . The spectrum extends to 240 eV after which an atomic distribution may be used (see text for details).

$E_i$ (eV)	$P(E_i)$ (%)	$E_i$ (eV)	$P(E_i)$ (%)	$E_i$ (eV)	$P(E_i)$ (%)
0.053( 0.049)	0.0069(0.0000)	36.459( 36.467)	1.6434(1.5166)	88.498( 88.493)	0.0757(0.0806)
0.124( 0.147)	0.0046(0.0000)	37.445( 37.457)	0.9037(0.9546)	89.495( 89.498)	0.0696(0.0715)
0.247( 0.247)	0.0233(0.0000)	38.463( 38.467)	0.4989(0.5951)	90.967( 90.962)	0.1236(0.1276)
0.351( 0.347)	0.0553(0.0000)	39.499( 39.485)	0.3978(0.4492)	92.983( 92.979)	0.1080(0.1102)
0.442( 0.447)	0.0457(0.0000)	40.506( 40.504)	0.4124(0.4280)	94.982( 94.981)	0.0966(0.0973)
0.556( 0.547)	0.2033(0.0000)	41.498( 41.502)	0.4152(0.3905)	96.982( 96.981)	0.0864(0.0867)
0.665( 0.647)	0.1649(0.0000)	42.498( 42.494)	0.3925(0.3795)	98.981( 98.979)	0.0776(0.0779)
0.759( 0.747)	0.3877(0.0000)	43.504( 43.486)	0.3457(0.3308)	100.981(100.980)	0.0703(0.0707)
0.850( 0.876)	0.3808(0.2252)	44.511( 44.474)	0.3186(0.3122)	102.983(102.982)	0.0636(0.0638)
0.937( 0.955)	0.6809(0.5814)	45.494( 45.495)	0.2701(0.2906)	104.984(104.984)	0.0578(0.0580)
1.048( 1.087)	1.1214(1.2129)	46.481( 46.494)	0.2713(0.2538)	106.985(106.985)	0.0528(0.0529)
1.143( 1.162)	1.0112(0.6216)	47.483( 47.472)	0.2481(0.2438)	108.986(108.986)	0.0483(0.0484)
1.249( 1.260)	2.4406(0.6313)	48.513( 48.452)	0.2412(0.2236)	110.986(110.986)	0.0444(0.0445)
1.359( 1.344)	3.2337(3.0441)	49.498( 49.445)	0.1907(0.2201)	112.987(112.986)	0.0409(0.0410)
1.451( 1.452)	4.0864(9.5173)	50.462( 50.472)	0.1938(0.1989)	114.987(114.987)	0.0378(0.0378)
1.552( 1.585)	6.8745(5.7372)	51.501( 51.513)	0.1760(0.1808)	116.987(116.987)	0.0350(0.0350)
1.657( 1.663)	6.6279(6.9898)	52.496( 52.491)	0.1575(0.1609)	118.988(118.988)	0.0325(0.0324)
1.745( 1.739)	5.1412(5.7803)	53.491( 53.494)	0.1541(0.1627)	120.988(120.988)	0.0302(0.0302)
1.834( 1.847)	6.5561(7.1064)	54.502( 54.507)	0.1485(0.1632)	122.988(122.988)	0.0282(0.0281)
1.940( 1.942)	5.4588(4.1076)	55.508( 55.512)	0.1557(0.1963)	124.989(124.989)	0.0263(0.0262)
2.044( 2.044)	3.7231(3.3984)	56.526( 56.531)	0.1895(0.2533)	126.989(126.989)	0.0246(0.0245)
2.144( 2.150)	2.5473(2.7572)	57.518( 57.520)	0.2427(0.3266)	128.989(128.989)	0.0230(0.0229)
2.244( 2.270)	1.6959(1.2274)	58.529( 58.535)	0.3357(0.3956)	130.989(130.989)	0.0216(0.0215)
2.344( 2.346)	1.1369(1.0046)	59.518( 59.507)	0.4095(0.4490)	132.990(132.990)	0.0203(0.0202)
2.510( 2.509)	1.6947(1.4798)	60.505( 60.501)	0.4714(0.4895)	134.990(134.990)	0.0191(0.0190)
2.762( 2.756)	1.0094(0.8381)	61.505( 61.506)	0.5034(0.5065)	136.990(136.990)	0.0180(0.0179)
3.009( 3.009)	0.5732(0.4292)	62.501( 62.504)	0.5152(0.5320)	138.990(138.990)	0.0169(0.0168)
3.257( 3.257)	0.2806(0.2117)	63.503( 63.500)	0.5442(0.5690)	141.962(141.962)	0.0311(0.0309)
3.507( 3.506)	0.1316(0.0985)	64.512( 64.496)	0.5859(0.6180)	145.964(145.964)	0.0278(0.0277)
3.757( 3.756)	0.0623(0.0446)	65.504( 65.496)	0.6617(0.7003)	149.965(149.965)	0.0250(0.0249)
4.083( 4.082)	0.0420(0.0288)	66.510( 66.507)	0.7094(0.6969)	153.966(153.967)	0.0225(0.0225)
4.579( 4.579)	0.0080(0.0054)	67.501( 67.497)	0.7404(0.6898)	157.967(157.968)	0.0204(0.0203)
5.132( 5.076)	0.0015(0.0009)	68.492( 68.488)	0.7164(0.6457)	161.969(161.969)	0.0185(0.0185)
5.647( 5.658)	0.0000(0.0002)	69.489( 69.488)	0.6563(0.5835)	165.970(165.970)	0.0169(0.0169)
18.500( 18.773)	0.0000(0.0001)	70.486( 70.487)	0.5620(0.5037)	169.971(169.971)	0.0154(0.0154)
19.500( 19.680)	0.0000(0.0016)	71.473( 71.475)	0.4691(0.4318)	173.972(173.972)	0.0141(0.0142)
20.696( 20.645)	0.0012(0.0125)	72.478( 72.485)	0.3680(0.3547)	177.973(177.973)	0.0130(0.0130)
21.658( 21.615)	0.0113(0.0618)	73.486( 73.487)	0.3049(0.3003)	181.973(181.973)	0.0120(0.0120)
22.627( 22.590)	0.0656(0.2137)	74.443( 74.447)	0.2210(0.2437)	185.974(185.974)	0.0111(0.0111)
23.598( 23.568)	0.2567(0.5507)	75.446( 75.469)	0.1928(0.2029)	189.975(189.975)	0.0103(0.0103)
24.573( 24.549)	0.7149(1.1046)	76.465( 76.465)	0.1761(0.1862)	193.976(193.975)	0.0095(0.0095)
25.550( 25.532)	1.4804(1.7838)	77.430( 77.428)	0.1530(0.1723)	197.976(197.976)	0.0089(0.0089)
26.529( 26.517)	2.3583(2.3800)	78.512( 78.518)	0.1215(0.1236)	201.977(201.977)	0.0083(0.0083)
27.510( 27.503)	2.9715(2.6793)	79.464( 79.474)	0.1390(0.1597)	205.977(205.977)	0.0077(0.0077)
28.493( 28.491)	3.0307(2.5894)	80.504( 80.522)	0.1216(0.1238)	209.978(209.978)	0.0072(0.0072)
29.478( 29.480)	2.5527(2.1803)	81.510( 81.515)	0.1422(0.1459)	213.979(213.978)	0.0068(0.0067)
30.464( 30.471)	1.8080(1.6225)	82.523( 82.504)	0.1384(0.1356)	217.979(217.979)	0.0064(0.0063)
31.455( 31.470)	1.1070(1.1150)	83.505( 83.503)	0.1368(0.1325)	221.979(221.979)	0.0060(0.0059)
32.490( 32.507)	0.7377(0.9290)	84.499( 84.497)	0.1316(0.1266)	225.980(225.980)	0.0056(0.0056)
33.557( 33.539)	1.0637(1.2964)	85.490( 85.493)	0.1153(0.1082)	229.980(229.980)	0.0053(0.0053)
34.534( 34.519)	1.9095(1.8714)	86.491( 86.499)	0.1076(0.1036)	233.981(233.980)	0.0050(0.0050)
35.492( 35.490)	2.2178(1.9702)	87.498( 87.480)	0.0921(0.0912)	237.981(237.981)	0.0047(0.0047)

What should be seen *KATRIN* taking into account sterile neutrino with parameters:

$$m_4 = (2.70 \pm 0.22) \text{ eV}$$

$$\sin^2 2\theta_{14} \approx 0.34 \pm 0.08 (4.3\sigma)$$



## COMPARISON OF NEUTRINO-4 MASS PREDICTION WITH MEASUREMENT OF NEUTRINO MASS

	<b>Neutrino-4</b>	<b>KATRIN</b>	<b>GERDA</b> <i>m(0νββ)</i>
$m_{\nu_e}^{eff} = \sqrt{\sum m_i^2  U_{ei} ^2}$ $\Delta m_{14}^2 \approx m_4^2$ <p>Effective mass and mass squared: <math>m_{\nu_e}^{eff}</math>, <math>m_{\nu}^2</math></p>	$m_{4\nu_e}^{eff} = 0.82 \pm 0.18$ $(m_{4\nu_e}^{eff})^2 = 0.68 \pm 0.29$ $m_1^2, m_2^2, m_3^2 \ll m_4^2$	$m_{3\nu_e}^{eff} < 0.8 \text{ eV (90\%)}$ $m_{3\nu_e}^{eff\ 2} = 0.26 \pm 0.34$ $m_{4\nu_e}^{eff\ 2} = ?$	
<p>Maiorana mass <i>m(0νββ)</i></p>	$m(0\nu\beta\beta)$ $= (0.25 \pm 0.09)\text{eV}$		$m_{\beta\beta}$ $< [0.080$ $- 0.182]\text{eV}$

## Comparison with neutrino mass constraints from experiments for neutrino less double beta-decay search

This expression for the model 3 + 1 and with  $m_1, m_2, m_3 \ll m_4$  assumption can be simplified:

$$m_{ee} = \left| \sum_i m_i U_{ei}^2 \right| = \begin{cases} \left| m_0 c_{12}^2 c_{13}^2 + \sqrt{\Delta m_{21}^2 + m_0^2 s_{12}^2 c_{13}^2} e^{2i(\eta_2 - \eta_1)} + \sqrt{\Delta m_{32}^2 + \Delta m_{21}^2 + m_0^2 s_{13}^2} e^{-2i(\delta_{CP} + \eta_1)} \right| & \text{in NO,} \\ \left| m_0 s_{13}^2 + \sqrt{m_0^2 - \Delta m_{32}^2} s_{12}^2 c_{13}^2 e^{2i(\eta_2 + \delta_{CP})} + \sqrt{m_0^2 - \Delta m_{32}^2 - \Delta m_{21}^2} c_{12}^2 c_{13}^2 e^{2i(\eta_1 + \delta_{CP})} \right| & \text{in IO,} \end{cases}$$

The numerical for this with Neutrino-4 and other experiments average result is shown below.

$$m(0\nu\beta\beta) = (0.25 \pm 0.09) \text{eV}$$

our estimation

$$m(0\nu\beta\beta) \approx m_4 U_{14}^2$$

$$m(0\nu\beta\beta) < [0.080 - 0.182] \text{eV}$$

experiments

The best restrictions on Majorana mass were obtained in GERDA experiment . In these experiments, the half-life of the isotope is measured, which depends on Majorana mass as follows:

$$1/T_{1/2}^{0\nu} = g_A^4 G^{0\nu} |M^{0\nu}|^2 \frac{\langle m_{\beta\beta} \rangle^2}{m_e^2}$$

The upper limit for the lower limit - the upper limit for the Majorana mass:

$$\text{Lower limit for } T_{1/2}/0\nu > 1.8 \times 10^{26} \text{ years (90\% CL)}$$

$$\text{Upper limit for } m_{\beta\beta} < [80 - 182] \text{meV}$$

*Neutrino model  
with one sterile neutrino*

**Sterile Neutrino Parameters**

# RESULTS

$$\Delta m_{14}^2 = 7.30 \pm 0.13_{stat} \pm 1.16_{syst} = 7.30 \pm 1.17$$
$$\sin^2 2\theta = 0.36 \pm 0.12_{stat} (2.9\sigma)$$

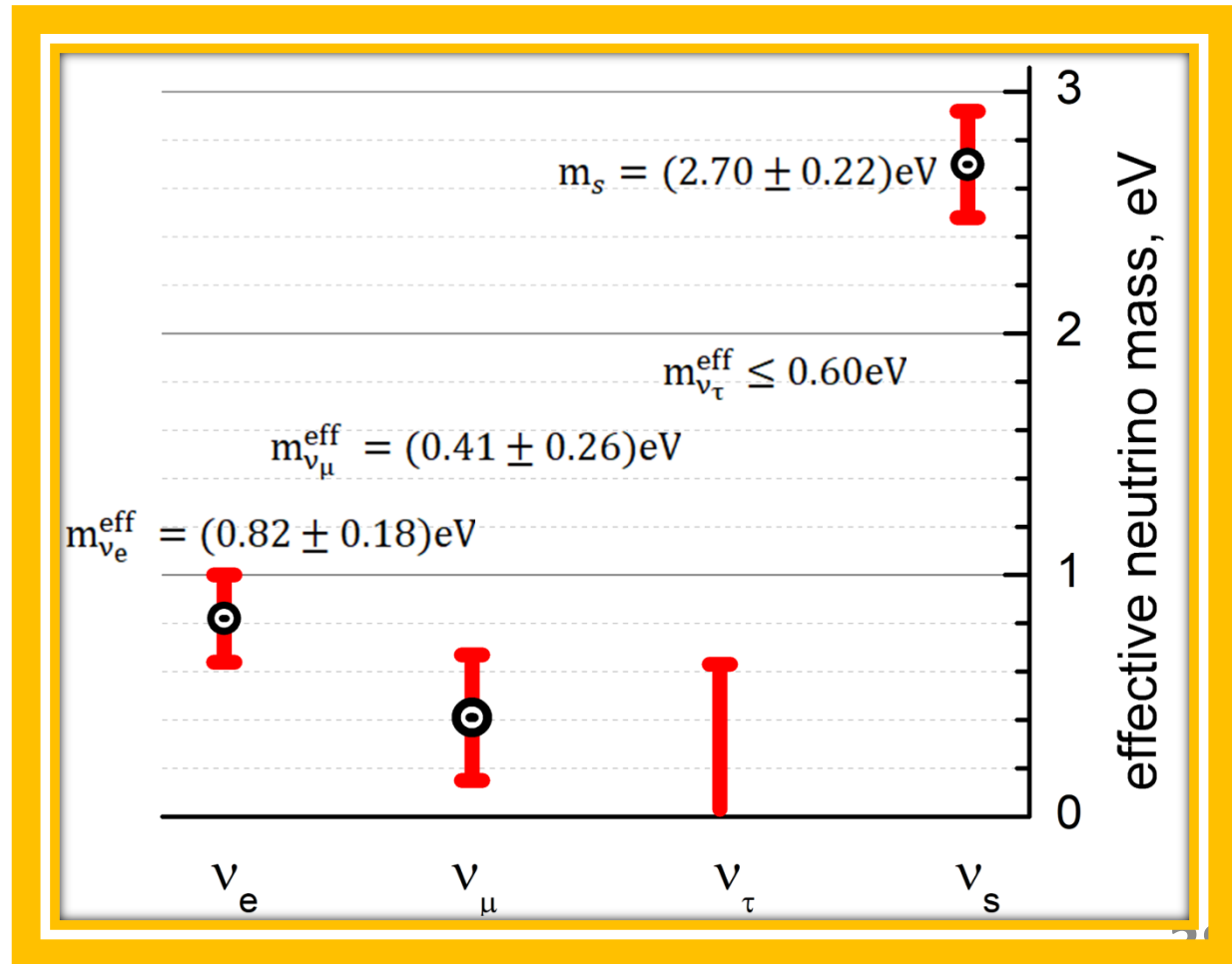
$$m_4 = (2.70 \pm 0.22)\text{eV}$$

$$\sin^2 2\theta_{14} \approx 0.34 \pm 0.08 (4.3\sigma)$$

$$m_{4\nu_e}^{\text{eff}} = (0.82 \pm 0.18)\text{eV}$$

$$m_{4\nu_\mu}^{\text{eff}} = (0.41 \pm 0.26)\text{eV}$$

$$m_{4\nu_\tau}^{\text{eff}} \leq 0.60\text{eV}$$

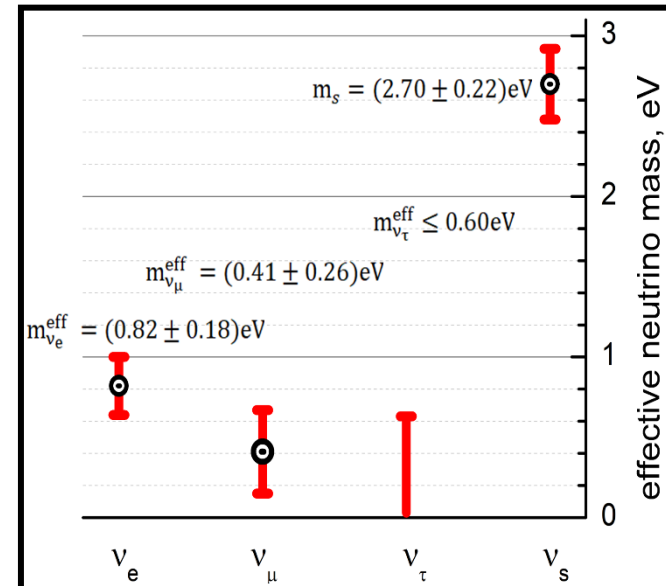
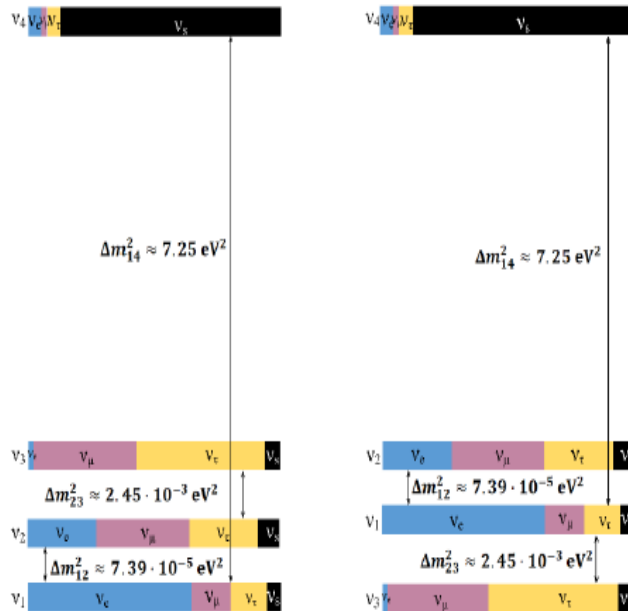


# Neutrino flavors mixing scheme including sterile neutrino and effective mass hierarchy

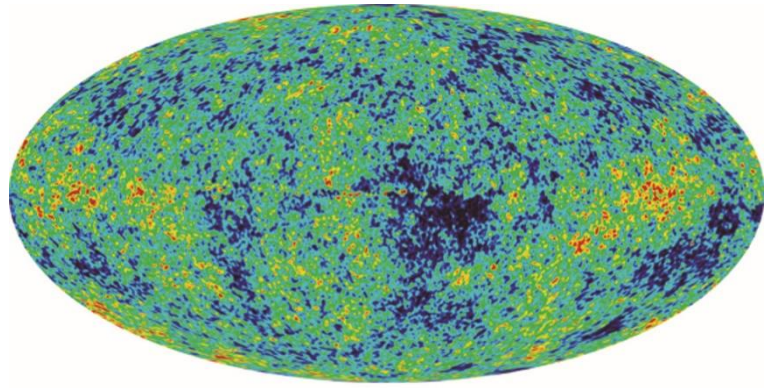
A.P. Serebrov \*, R.M. Samoiloov JETP Letters, Volume 112, 2020 Issue 4, pp 211–225 [arxiv:2003.03199](https://arxiv.org/abs/2003.03199)

## PMNS matrix for 3 + 1 model

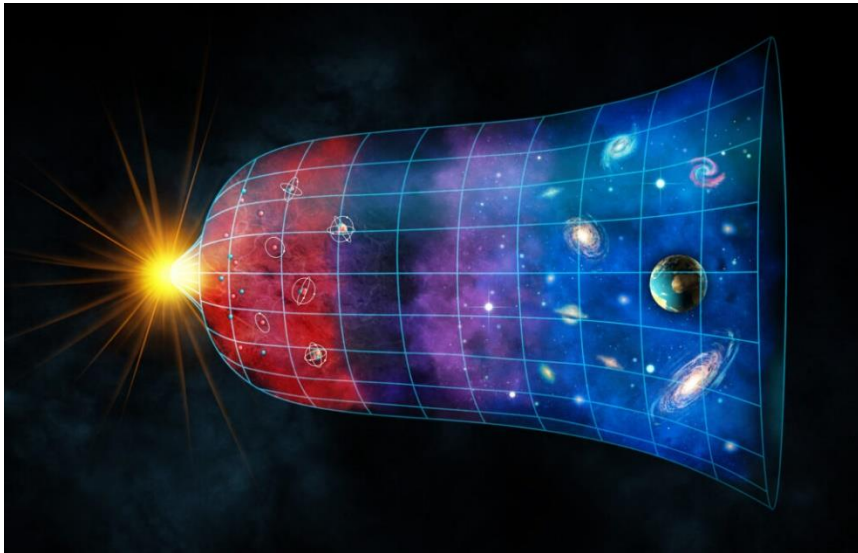
$$U_{PMNS}^{(3+1)} = \begin{pmatrix} 0.824_{-0.008}^{+0.007} & 0.547_{-0.011}^{+0.011} & 0.147_{-0.003}^{+0.003} & 0.306_{-0.041}^{+0.041} \\ 0.409_{-0.060}^{+0.036} & 0.634_{-0.065}^{+0.022} & 0.657_{-0.014}^{+0.044} & 0.15_{-0.06}^{+0.08} \\ 0.392_{-0.048}^{+0.025} & 0.547_{-0.028}^{+0.056} & 0.740_{-0.048}^{+0.012} & < 0.222 \\ < 0.24 & < 0.30 & < 0.26 & > 0.91 \end{pmatrix}$$



# Cosmology – the role of sterile neutrinos during the formation of Universe and the pace of its expansion



-200    -100    0    +100    +200  
Temperature difference from average ( $\mu\text{K}$ )

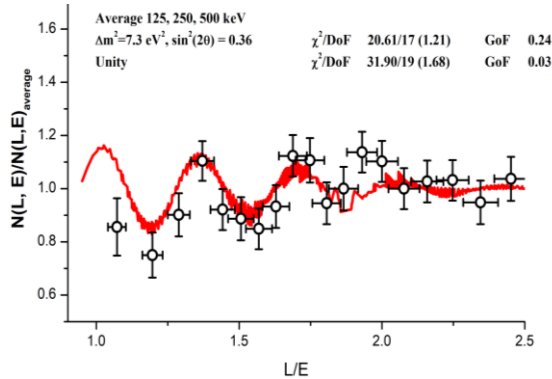


Neutrinos of different masses can affect the early Universe or be responsible for the baryon asymmetry of the Universe and Dark Matter. However, a sterile neutrino with a low mass and a small mixing angle can exist without any significant influence on the formation of the structure of the Universe. **Due to the superweak interaction, such sterile neutrinos do not thermalize in the primary plasma and leave it at an early stage.** Moreover, leaving the primary plasma at an early stage, they reduce its gravitational mass, which accelerates the expansion of the Universe.



# Conclusion

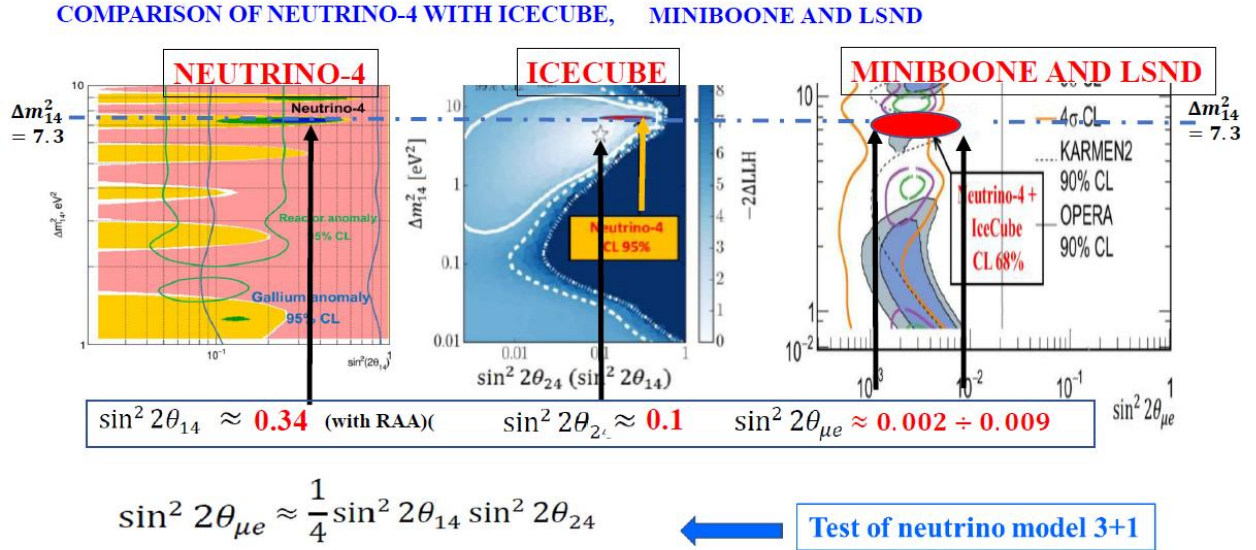
## 1. The direct observation of sterile neutrino oscillation in Neutrino-4 experiment



$$\Delta m_{14}^2 = 7.30 \pm 0.13_{st} \pm 1.16_{syst}$$

$$\sin^2 2\theta = 0.36 \pm 0.12_{stat} (2.9\sigma)$$

## 2. Possibility of experimental confirmation of the 3 + 1 neutrino model with one sterile neutrino

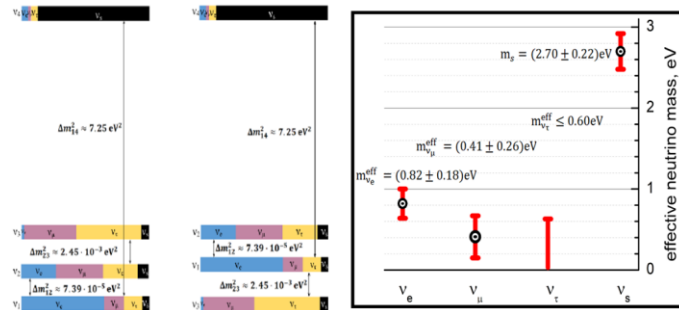


## 3. COMPARISON OF NEUTRINO-4 MASS PREDICTION WITH MEASUREMENT OF NEUTRINO MASS

COMPARISON OF NEUTRINO-4 MASS PREDICTION WITH MEASUREMENT OF NEUTRINO MASS  
A.P. Serebrov\*, R.M. Samoilov JETP Letters, Volume 112, 2020 Issue 4, pp 211–225 arxiv:2003.00319

	Neutrino-4	KATRIN	GERDA $m(0\nu\beta\beta)$
Effective mass and mass squared: $m_{\nu_e}^{eff}, m_{\nu}^2$	$m_{4\nu_e}^{eff} = 0.82 \pm 0.18$ $(m_{4\nu_e}^{eff})^2 = 0.68 \pm 0.29$	$m_{3\nu_e}^{eff} < 0.8 \text{ eV (90\%)}$ $m_{3\nu_e}^{eff 2} = 0.26 \pm 0.34$ $m_{4\nu_e}^{eff 2} = ?$	
Majorana mass $m(0\nu\beta\beta)$	$m(0\nu\beta\beta) = (0.25 \pm 0.09) \text{ eV}$		$m_{\beta\beta} < [0.080, -0.182] \text{ eV}$

## 4. Neutrino flavors mixing scheme including sterile neutrino and effective mass hierarchy



## 5. PMNS matrix for 3 + 1 model

$$U_{PMNS}^{(3+1)} = \begin{pmatrix} 0.824^{+0.007}_{-0.008} & 0.547^{+0.011}_{-0.011} & 0.147^{+0.003}_{-0.003} & 0.306^{+0.041}_{-0.041} \\ 0.409^{+0.036}_{-0.060} & 0.634^{+0.022}_{-0.065} & 0.657^{+0.044}_{-0.014} & 0.15^{+0.08}_{-0.06} \\ 0.392^{+0.025}_{-0.048} & 0.547^{+0.056}_{-0.028} & 0.740^{+0.012}_{-0.048} & < 0.222 \\ < 0.24 & < 0.30 & < 0.26 & > 0.91 \end{pmatrix}$$

Thus, the analysis performed provides quite interesting generalizations and indication of the possibility of the validity of the 3 + 1 neutrino model with one sterile neutrino.