

# Impact of cross-section uncertainties on supernova neutrino spectral parameter fitting in the Deep Underground Neutrino Experiment

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 89 M. Kordosky,<sup>217</sup> T. Kosc,<sup>76</sup> U. Kose,<sup>34</sup> V. A. Kostecký,<sup>91</sup> K. Kotheke,<sup>18</sup> I. Kotler,<sup>55</sup> V. Kozhukalov,<sup>120</sup>  
 90 R. Kralik,<sup>197</sup> L. Kreczko,<sup>18</sup> F. Krennrich,<sup>110</sup> I. Kreslo,<sup>13</sup> W. Kropp,<sup>23</sup> T. Kroupova,<sup>168</sup> S. Kubota,<sup>138</sup> M. Kubu,<sup>34</sup>  
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A primary goal of the upcoming Deep Underground Neutrino Experiment (DUNE) is to measure the  $\mathcal{O}(10)$  MeV neutrinos produced by a Galactic core-collapse supernova if one should occur during the lifetime of the experiment. The liquid-argon-based detectors planned for DUNE are expected to be uniquely sensitive to the  $\nu_e$  component of the supernova flux, enabling a wide variety of physics and astrophysics measurements. A key requirement for a correct interpretation of these measurements is a good understanding of the energy-dependent total cross section  $\sigma(E_\nu)$  for charged-current  $\nu_e$  absorption on argon. In the context of a simulated extraction of supernova  $\nu_e$  spectral parameters from a toy analysis, we investigate the impact of  $\sigma(E_\nu)$  modeling uncertainties on DUNE's supernova neutrino physics sensitivity for the first time. We find that the currently large theoretical uncertainties on  $\sigma(E_\nu)$  must be substantially reduced before the  $\nu_e$  flux parameters can be extracted reliably: in the absence of external constraints, a measurement of the integrated neutrino luminosity with less than 10% bias with DUNE requires  $\sigma(E_\nu)$  to be known to about 5%. The neutrino spectral shape parameters can be known to better than 10% for a 20% uncertainty on the cross-section scale, although they will be sensitive to uncertainties on the shape of  $\sigma(E_\nu)$ . A direct measurement of low-energy  $\nu_e$ -argon scattering would be invaluable for improving the theoretical precision to the needed level.

## I. INTRODUCTION

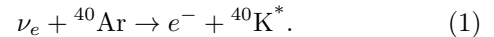
A massive star ( $M > 8M_\odot$ ) employs nuclear fusion to sustain itself by first consuming lighter elements such as hydrogen and helium and later consuming heavier elements. In the canonical narrative, at the end of the star's lifetime, the innermost nickel-iron core can no longer undergo nuclear fusion. Gravity causes the core to collapse into a proto-neutron star. Neutron degeneracy stalls the collapse; the core rebounds and produces shock waves which propagate outward from the core. Once the shock waves breach the surface of the star, they expel stellar material and leave behind a compact remnant. This process is referred to as a core-collapse supernova.

A core collapse releases 99% of the star's gravitational potential energy via neutrinos in a prompt burst lasting several seconds [1]. While the proto-neutron star traps photons and other particles with electromagnetic and strong interactions, neutrinos easily escape because they interact weakly. The neutrino flux is expected to contain interesting signatures related to different phenomena occurring during a core-collapse supernova [2–6], including insight into the explosion mechanism. While the neutrinos detected from SN1987A [7–10] did help to confirm the basic outline of the core-collapse supernova process, they did not provide tight constraints on astrophysical models. Additional neutrino signals from core-collapse supernovae observed in detectors worldwide [11] will provide data to study the mechanism behind the core-collapse, as well as information on the properties of neutrinos themselves.

Obtaining a high-statistics measurement of core-collapse supernova neutrinos is among the primary physics goals for the Deep Underground Neutrino Experiment (DUNE). To detect these low-energy neutrinos, DUNE will utilize its far detector (relative to the beam at Fermilab) located 1.5 km underground at the Sanford

Underground Research Facility in South Dakota. The DUNE far detector is currently planned to consist of four liquid argon time projection chambers (LArTPCs) each with a total volume of around seventeen kilotons [12]. These LArTPC detectors will be sensitive to interactions of neutrinos in the few tens of MeV range [13].

Among large neutrino experiments, DUNE will be uniquely sensitive to the  $\nu_e$  component of the supernova signal via the charged-current reaction



The  $\nu_e$  component of the supernova neutrino flux is expected to contain unique features which make its future detection with DUNE a valuable scientific opportunity [12].

The neutrinos generated by a core-collapse supernova have much lower energies (few to tens of MeV) than the GeV-scale neutrino beams of interest for DUNE's accelerator-based oscillation physics program. Below 100 MeV, no measurements of charged-current neutrino-argon cross sections are currently available [14], and competing theoretical calculations have significant discrepancies [15]. While the importance of obtaining a precise understanding of neutrino-nucleus scattering at accelerator energies is widely recognized [16–18], and the impact of related uncertainties has been studied in detail by the DUNE collaboration [19], the same cannot yet be said for the tens of MeV regime relevant for supernova neutrino detection. This situation exists despite shared analysis challenges between the two energy scales: in both cases, a reliable cross-section model is needed for neutrino calorimetry, efficiency estimation, and removal of some classes of background events. Theoretical uncertainties on the cross-section model provide an important limitation on the achievable experimental precision.

In this paper, we examine for the first time the impact of cross-section uncertainties on the interpretation of a



possible future observation of supernova neutrinos with DUNE. No attempt is made here to be comprehensive in either the uncertainty budget or in the analysis topics considered; for instance, these studies assume that the distance to the core collapse is known precisely. Our aim is instead to explore how variations of the adopted model of the neutrino-argon cross section affect the results of a measurement of simulated data. The present study is restricted to variations of  $\sigma(E_\nu)$ , the total charged-current cross section as a function of neutrino energy. The studies presented in this paper use simplified assumptions about detector response, but a realistic efficiency for DUNE includes sensitivity to neutrino energies as low as 5 MeV [20]. Although these studies require an assumption about DUNE's expected energy resolution, similar studies performed in Ref. [12] show that results are not sensitive to the specific choice of energy resolution [21]. Variations to other aspects of the neutrino interaction model, including predictions of exclusive final-state differential distributions and the description of  $^{40}\text{K}^*$  nuclear de-excitations, as well as subdominant neutral-current and  $\bar{\nu}_e$  charged-current interactions, are left to future work, both for simplicity and because the related uncertainties are difficult to fully quantify at present.

The algorithm used in our measurements to extract supernova  $\nu_e$  flux parameters from simulated DUNE data is presented in Sec. II. In Sec. III, we describe three different procedures for varying the  $\nu_e - ^{40}\text{Ar}$  total cross section, and the impact on the simulated measurements is examined for each approach. We discuss the results, their implications for DUNE's future supernova neutrino effort, and prospects for the future in Sec. IV and conclude in Sec. V.

## II. SUPERNOVA PARAMETER FITTING

### A. Pinched-thermal form

A commonly-used representation for the supernova neutrino fluence (i.e., the time integral of the flux)  $\Phi$  passing through the Earth is the pinched-thermal form [22, 23]:

$$\Phi(E_\nu) = \frac{\varepsilon}{4\pi d^2} \mathcal{N} \left( \frac{E_\nu}{\langle E_\nu \rangle} \right)^\alpha \exp \left[ -(\alpha + 1) \frac{E_\nu}{\langle E_\nu \rangle} \right], \quad (2)$$

where

$$\mathcal{N} \equiv \frac{(\alpha + 1)^{\alpha+1}}{\langle E_\nu \rangle^2 \Gamma(\alpha + 1)}, \quad (3)$$

is a normalization constant,  $\varepsilon$  is the neutrino luminosity,  $E_\nu$  is the neutrino energy,  $\langle E_\nu \rangle$  is the mean neutrino energy (related to the temperature of the supernova), and  $d$  is the distance from the supernova to Earth. The ‘‘pinching parameter’’  $\alpha$  describes the shape of the tails of the neutrino energy distribution.

The expression in Eq. 2 may be used to represent either an instantaneous flux (with dimensions of neutrinos per area per time) or a fluence in a specific time interval (flux integrated over time, with dimensions of neutrinos per area), depending on the units used for  $\varepsilon$ . In the instantaneous case, the parameters  $\langle E_\nu \rangle$  (MeV) and  $\alpha$  (dimensionless) are implicitly time-dependent, while for the time-integrated case they should be interpreted as average values. The time-integrated spectrum is also well described by Eq. 2, and the parameters should be interpreted as being applied to the fluence spectrum over the entire burst. For simplicity, we choose to consider only the time-integrated neutrino flux in which  $\varepsilon$  may be expressed in ergs. A distance of  $d = 10$  kiloparsecs (kpc) is assumed throughout. Different values of the flux parameters describe each neutrino species separately (i.e., the  $\nu_e$  parameters are not the same as the  $\bar{\nu}_e$  or  $\nu_x \equiv \nu_\mu, \nu_\tau, \bar{\nu}_\mu, \bar{\nu}_\tau$  parameters), but only the  $\nu_e$  portion of the flux is of interest for the present study given its dominance in the expected supernova signal in DUNE [12]. For the studies in this paper, we assume equipartition between flavors, i.e.,  $\alpha_{\nu_e} = \alpha_{\bar{\nu}_e} = \alpha_{\nu_x}$  and  $\varepsilon_{\nu_e} = \varepsilon_{\bar{\nu}_e} = \varepsilon_{\nu_x}$ , and we adopt the hierarchy in Ref. [24] for the mean neutrino energies. The simulated measurements considered here involve an extraction of the  $\nu_e$  pinched-thermal flux parameters  $\varepsilon$ ,  $\langle E_\nu \rangle$ , and  $\alpha$  from the reconstructed neutrino energy spectrum expected for DUNE. Figure 1 shows fluences calculated for a pinched-thermal flux.

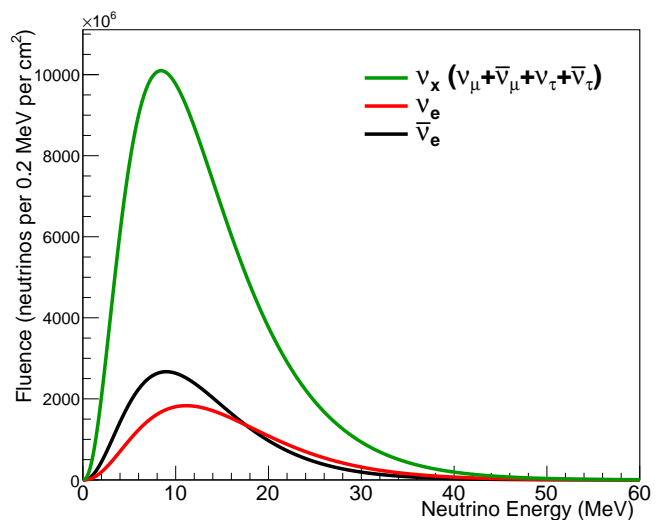


FIG. 1. Pinched-thermal neutrino fluences for a supernova at a distance of 10 kpc. Following Ref. [25], the results are time-integrated over the first ten seconds. The initial fluence parameter values for  $\nu_e$  are  $(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0) = (2.5, 9.5 \text{ MeV}, 5 \times 10^{52} \text{ ergs})$ , for  $\bar{\nu}_e$  are  $(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0) = (2.5, 12.0 \text{ MeV}, 5 \times 10^{52} \text{ ergs})$ , and for  $\nu_x$  are  $(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0) = (2.5, 15.6 \text{ MeV}, 5 \times 10^{52} \text{ ergs})$ . Normal mass ordering and Mikheyev-Smirnov-Wolfenstein (MSW) resonances [26, 27] were assumed via Equation 5.

Beyond the neutrino-argon cross section, the super-nova signal observed by DUNE will also be affected by the supernova flux, the detector response, efficiency, and energy reconstruction. The SuperNova Observatories with General Long-Baseline Experiment Simulator (SNOWGLOBES) software incorporates the effect of detector response factors, including the cross section, into a simulated supernova neutrino signal. This widely used, open source event rate calculation tool offers a quick option to model the DUNE far detector response for supernova neutrino signals [28].

SNOWGLOBES requires several inputs to perform the simulation, including a cross-section model and a “smearing matrix,” i.e., a transfer matrix that can be used to calculate a reconstructed neutrino energy spectrum when applied to the true neutrino energy spectrum (see Fig. 2). In addition, there is an assumed post-smearing detection efficiency. SNOWGLOBES makes use of GLOBES [29] software to convolve a specified flux with a cross section and a smearing matrix. We used fluxes given by Eq. 2 and computed the smearing matrix using simulated  $\nu_e - {}^{40}\text{Ar}$  interactions produced by the MARLEY event generator [30, 31] with 10% Gaussian smearing applied to the visible energy. The exact value of 10% is modestly optimistic for DUNE’s expected capabilities, but the results are not sensitive to the specific value [12].

For our simulated signal predictions, we adopted one of the more optimistic neutrino energy reconstruction scenarios described in Ref. [30]. Under this scenario, the reconstructed neutrino energy is taken to be the *visible energy*  $E_{\text{vis}}^{\text{reco}}$  defined by the expression

$$E_{\text{vis}}^{\text{reco}} \equiv E_{\text{bind}}^{\text{min}} + E_e + \mathcal{T}_\gamma + \mathcal{T}_{\text{ch}}. \quad (4)$$

Here,  $E_{\text{bind}}^{\text{min}} = 0.99$  MeV is the minimum possible change in nuclear binding energy for the charged-current reaction,  $E_e$  is the total energy of the outgoing electron,  $\mathcal{T}_\gamma$  is the summed energy of all de-excitation  $\gamma$ -rays, and  $\mathcal{T}_{\text{ch}}$  is the summed kinetic energy of all final-state charged hadrons. The bimodal behavior of the smearing matrix seen in Fig. 2 is due to neutron emission. Events with final states containing one or more neutrons (assumed to be undetected according to our treatment of  $E_{\text{vis}}^{\text{reco}}$ ) will reconstruct with lower energy.

SNOWGLOBES outputs binned energy spectra (Asimov data sets) corresponding to different detector parameter assumptions and for given pinched-thermal spectral parameters  $(\alpha, \langle E_\nu \rangle, \varepsilon)$ . Figure 3 shows the two types of SNOWGLOBES output energy spectra; “interaction rates” refers to the energies of neutrinos that interacted (before detector response), while “observed rates” refers to the prediction of the observed spectra in the proposed detector. The observed rates are what the proposed DUNE far detector would observe during the first ten seconds of a 10 kpc supernova burst. The energy loss in the observed rates is due to smearing and neutron emission.

The different neutrino flavor amplitudes will change as they move through the collapsing star and in the vacuum of space toward Earth. These flavor transitions will affect the  $\nu_e$  flux that reaches the DUNE detector, and consequently the flavor transitions will affect the  $\nu_e - {}^{40}\text{Ar}$  event rates. SNOWGLOBES provides a simple evaluation of the matter effect for both normal and inverted mass ordering assumptions; we assumed  $\theta_{12} = 33.71^\circ$  [32] and the following relations for flavor content for normal mass ordering (NMO) according to the standard prescription in Ref. [33]:

$$F_{\nu_e} = F_{\nu_x}^0, \quad (5a)$$

$$F_{\bar{\nu}_e} = \cos^2(\theta_{12})F_{\bar{\nu}_e}^0 + \sin^2(\theta_{12})F_{\bar{\nu}_x}^0. \quad (5b)$$

Here,  $F_\nu$  is the flux for one (or more) neutrino flavor, and  $F_\nu^0$  is the flux before the flavor transition. In the presence of flavor transitions, the observed  $\nu_e$  rate at Earth will depend on both the mass ordering and the other produced flavors. To take into account effects produced by flavor transitions, we define a range of flux parameters for  $\bar{\nu}_e$  and  $\nu_x$  using the  $\nu_e$  parameters and the relations outlined in Section II A.

#### D. Forward fitting

The resulting reconstructed energy spectra from SNOWGLOBES are influenced by the choice of pinched-thermal flux parameters. Measurements of the spectral parameters might contain biases partly introduced by uncertainties in our input assumptions such as the cross-section model. We developed an algorithm that fits a reconstructed neutrino energy spectrum to obtain estimated values of the pinched-thermal parameters; this then enables us to study the impact of the  $\nu_e - {}^{40}\text{Ar}$  cross section model on the fit results.

Our algorithm employs a “forward-fitting” approach as an alternative to unfolding; in a forward-fitting approach, a theory prediction convolved with the response of a given detector is compared directly with data. Forward fitting requires two inputs: (1) a reconstructed neutrino energy spectrum produced by SNOWGLOBES for a supernova at a given distance and (2) a “true” set of pinched-thermal parameters  $(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0)$ . The algorithm uses this spectrum as a “true spectrum” to compare against a reference grid of reconstructed energy spectra generated with many different combinations of  $(\alpha, \langle E_\nu \rangle, \varepsilon)$ . The spectra in the reference grid are also produced by SNOWGLOBES, and the parameter bounds and spacing used in this paper are listed in Section II E. In this paper, the true spectrum refers to the assumed true spectrum under test in the algorithm. To quantify goodness-of-fit, the algorithm uses

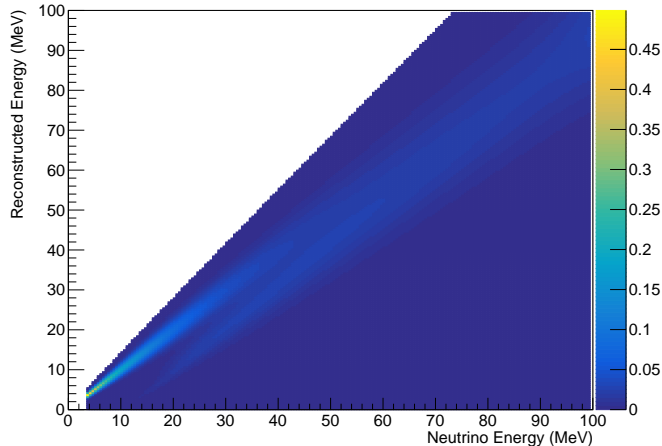


FIG. 2. SNOwGLoBES smearing matrix made with MARLEY modeling and 10% Gaussian-smearred reconstructed energy. An energy column contains the reconstructed energy distribution for neutrino-argon events at a given true neutrino energy.

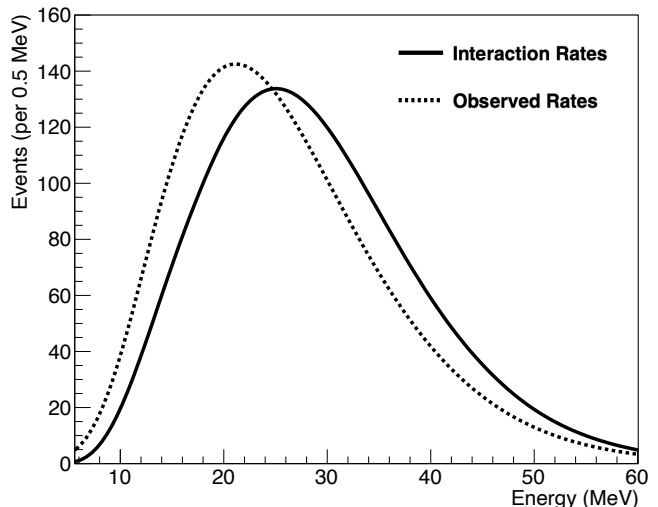


FIG. 3. Interacted and observed event rates calculated using SNOwGLoBES for  $\nu_e$ - $^{40}\text{Ar}$  interactions in the proposed DUNE far detector. The post-smearing efficiency model imposed a sharp cut at 5 MeV onto the observed rates.

680 a  $\chi^2$  function defined by

$$\chi^2 \equiv \sum_{i=1}^{n_b} \frac{[N_i(\alpha, \langle E_\nu \rangle, \varepsilon) - N_i(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0)]^2}{\sigma_i^2}. \quad (6)$$

681 Here  $n_b$  is the number of reconstructed energy bins,  $N_i$  712  
682 is the number of events in the  $i$ th bin,  $\sigma_i$  is the statistical  
683 uncertainty on the number of events in the  $i$ th bin of the 713  
684 true spectrum,  $(\alpha, \langle E_\nu \rangle, \varepsilon)$  is the set of flux parameters 714  
685 used to generate a reconstructed energy spectrum in the 715  
686 grid, and  $(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0)$  are the flux parameters used to  
687 generate the true spectrum. We assume statistics corresponding  
688 to the approximately expected flux for a core  
689 collapse at 10 kpc.

690 Figure 4 shows an example comparison of a true spec-  
691 trum against one arbitrary grid element. Both spectra  
692 are represented by Asimov data sets; the error bars of  
693 the true spectrum are derived from the Poisson distribu-  
694 tion. The true spectrum represents the predicted data  
695 that DUNE would observe during a supernova burst.

696 The collection of  $\chi^2$  values for each of the grid elements  
697 is used to determine the measurement uncertainty of the  
698 pinched-thermal parameters. We consider uncertainty re-  
699 gions in 2D parameter spaces  $(\langle E_\nu \rangle, \alpha)$ ,  $(\langle E_\nu \rangle, \varepsilon)$ , and  
700  $(\alpha, \varepsilon)$ . The smallest  $\chi^2$  in a given 2D parameter space  
701 is determined by profiling over the third parameter,  $\varepsilon$ ,  
702  $\alpha$  or  $\langle E_\nu \rangle$ , respectively. We determine the approximate  
703 “sensitivity regions” by placing a cut of  $\chi^2 - \chi_{\min}^2 = 4.61$   
704 corresponding to a 90% confidence level for two free pa-  
705 rameters [32][34]. A sensitivity region is equivalent to the  
706 Asimov confidence region for a perfect prediction [35].

707 Figure 5 shows sensitivity regions in  $(\langle E_\nu \rangle, \varepsilon)$  space for  
708 three different supernova distances; the number of events

709 scales with the inverse square of the supernova distance,  
710 meaning the regions will grow larger for a more distant  
711 supernova.

### E. Figure of merit for forward fitting

We developed a figure of merit as a proxy for the sys-  
tematic error due to the cross section uncertainty, where  
the figure of merit describes the best-fit measurement and

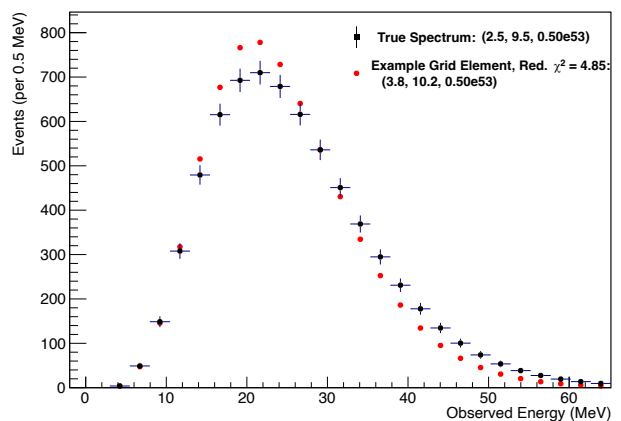


FIG. 4. Event rates calculated using SNOwGLoBES for a true spectrum with initial fluence parameters  $(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0) = (2.5, 9.5 \text{ MeV}, 5 \times 10^{52} \text{ ergs})$  and an example grid element with fluence parameters  $(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0) = (3.8, 10.2 \text{ MeV}, 5 \times 10^{52} \text{ ergs})$  and reduced  $\chi^2 = 4.85$  based on Eq. 6. The error bars are statistical.

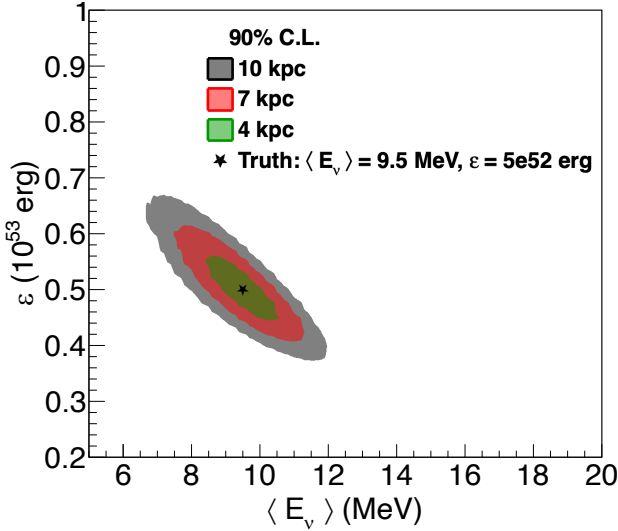


FIG. 5. Sensitivity regions in  $(\langle E_\nu \rangle, \varepsilon)$  space for three different supernova distances. These regions were generated from the smearing matrix shown in Fig. 2, a cross section model from MARLEY [31], and a step efficiency function with a 5 MeV detection threshold.

characterizes DUNE’s expected sensitivity to the supernova flux parameters. The figure of merit  $B_x$  is defined as the fractional bias on the measurement of a parameter  $x$  obtained from the fitting procedure:

$$B_x \equiv \frac{x^{\text{b.f.}} - x^0}{x^0}. \quad (7)$$

The figure of merit depends on the best-fit value  $x^{\text{b.f.}}$  and true value  $x^0$  of  $x \in \{\alpha, \langle E_\nu \rangle, \varepsilon\}$ , where here we express  $\langle E_\nu \rangle$  in MeV and  $\varepsilon$  in ergs.

For the studies presented in this paper, we define all of our grids using the same range of  $\alpha$  and  $\langle E_\nu \rangle$  values. The allowed ranges are defined using the  $\nu_e$  truth values  $(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0) = (2.5, 9.5, 5 \times 10^{52})$  and the following bounds for reasonable  $\alpha$  and  $\langle E_\nu \rangle$  values are taken from Ref. [25]:

- $\alpha \in [0.1, 7.0]$  with 0.1 spacing, corresponding to fractional bias values  $B_\alpha \in [-0.96, 1.8]$
- $\langle E_\nu \rangle \in [5.0, 20.0]$  with 0.1 spacing, corresponding to fractional bias values  $B_{\langle E_\nu \rangle} \in [-0.47, 1.10]$

For the  $\varepsilon$  parameter, Ref. [25] defined a reasonable range of  $[2 \times 10^{52}, 1 \times 10^{53}]$  with  $2.5 \times 10^{51}$  spacing, corresponding to bias values  $B_\varepsilon \in [-0.6, 1.0]$ . We used this range for the study outlined in Sec. III B. However, the studies outlined in Secs. III A and III D, this range was insufficient to study the totality of the cross-section space covered by the various  $\nu_e$ - $^{40}\text{Ar}$  scattering models used in this paper. Therefore, we used the following (more conservative) range of  $\varepsilon \in [1.0 \times 10^{51}, 1.0 \times 10^{54}]$  over several grids with spacings ranging from  $2 \times 10^{51}$  to

$5 \times 10^{52}$ ; the total range of  $\varepsilon$  values corresponds to bias values  $B_\varepsilon \in [-1.0, 19.0]$ .

## F. Study assumptions

Here we summarize the assumptions used for the studies presented in this paper:

- All neutrino species contribute to the pinched-thermal flux, where the true parameters for each flavor (before any flavor transition) are defined below [25].
  - $\nu_e$  flux:  $(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0) = (2.5, 9.5, 5 \times 10^{52})$
  - $\bar{\nu}_e$  flux:  $(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0) = (2.5, 12.0, 5 \times 10^{52})$
  - $\nu_x \equiv \nu_\mu, \nu_\tau, \bar{\nu}_\mu, \bar{\nu}_\tau$  flux:  $(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0) = (2.5, 15.6, 5 \times 10^{52})$
- A pure pinched-thermal supernova flux.
- Normal mass ordering with standard MSW transition effects implemented using Eq. 5; no “collective” effects, spectral swaps, matter effects in the Earth, or non-standard flavor transition effects.
- A supernova distance of 10 kpc with no distance uncertainty.
- Event rates integrated over a supernova burst lasting 10 seconds.
- Only charged-current  $\nu_e - ^{40}\text{Ar}$  interactions in the simulated observed signal.
- SNOwGLoBES smearing matrix made with MARLEY modeling [31] and 10% Gaussian smearing.
- Post-smearing efficiencies in SNOwGLoBES of 100% efficiency above a 5 MeV detection threshold.

## G. Additional information to reproduce the results

The studies in this paper used the following software:

- SNOwGLoBES 1.2 [28]
- MARLEY 1.2.0 [31]
- ROOT 6.20 [36]

The studies rely heavily on simulated supernova event rates calculated with SNOwGLoBES. Instructions for how to produce single event rate files, along with grids of flux files, are included in the SNOwGLoBES software package. We used the MARLEY event generator to simulate  $\nu_e - ^{40}\text{Ar}$  interactions while creating a smearing matrix for usage in SNOwGLoBES. The smearing matrix was created using SNOwGLoBES with 10% Gaussian smearing applied. The forward-fitting algorithm and studies were conducted using ROOT; the forward-fitting algorithm is publicly available on GitHub at <https://github.com/erinecon/forward-fitting>.

### III. CROSS-SECTION STUDIES

With the forward-fitting algorithm implemented to measure the spectral parameters, construct sensitivity regions, and calculate the bias figure of merit, we studied how the choice of  $\nu_e - {}^{40}\text{Ar}$  cross-section model could impact a supernova neutrino measurement in DUNE. Section III A introduces the various theoretical  $\nu_e - {}^{40}\text{Ar}$  cross section models used in this work. Section III B summarizes a study of one particular cross section model using a constant over-all scaling factor. Section III C details a study over all cross section models available for this work. Finally, the study in Section III D considers a restricted range covered by the family of cross section models. Understanding systematic uncertainties and potential biases introduced by mismodeling of the cross section will be essential for a correct interpretation of any future core-collapse supernova observation.

#### A. Neutrino-argon cross section models

Many calculations of the  $\nu_e - {}^{40}\text{Ar}$  cross section have emerged over time using various nuclear structure models. In the studies performed for this paper, twelve cross-section models are considered. Table I briefly summarizes the features of the models. Figures 6 and 7 show the total charged-current cross sections predicted by each of the models in the energy region of interest. The models were split into two plots for easier readability; the RPA models are all contained in Fig. 6, while the GTBD model and the cross-sections calculated by MARLEY are contained in Fig. 7.

The majority of these cross-section models are based on microscopic calculations using formalisms such as the Random Phase Approximation (RPA) or Quasiparticle RPA (QRPA). Under these approaches, collective states of nuclei are described using particle-hole (quasiparticle) excitations. The RPA-based calculations include contributions from forbidden (or high-multipole-order) nuclear transitions, which become especially important for neutrinos with  $E_\nu > 50$  MeV. A hybrid microscopic calculation [37] in which the allowed (lowest-multipole-order, i.e., Fermi and Gamow-Teller transitions) contributions were computed using the nuclear shell model (NSM) and the forbidden contributions were treated using the RPA is also considered. Alternative macroscopic models like that in Ref. [38] use calculations based on the gross theory of beta decay (GTBD) that describe the global properties of allowed  $\beta$ -decay processes. The calculations from MARLEY [31] are partially data-driven and neglect forbidden nuclear transitions. A QRPA calculation is used by MARLEY at excitation energies where relevant data are not currently available.

The models include those based on microscopic formalisms such as RPA [39, 40], QRPA [41], PQRPA [43], RQRPA [42], and NSM+RPA [37]; macroscopic models such as GTBD [38, 44]; and the MARLEY phe-

nomenological calculation based on a Monte Carlo approach. In the absence of any direct measurements of charged-current neutrino-argon scattering in the relevant energy range, experimental constraints on these theoretical approaches are poor. Nevertheless, we can make some general observations about the physics content of these models.

First, all of the microscopic models used here employ different residual interactions. These include the Skyrme interaction (including a spin-orbit term) in the RPA calculation, the Bonn CD potential in QRPA, the  $\delta$ -interaction in PQRPA, the DDME2 relativistic nuclear energy density functional in RQRPA, and the monopole-based-universal interaction (VMU) in NSM+RPA. The choice of residual interaction in each case was motivated by a successful description of some relevant experimental data, such as Gamow-Teller (GT) strengths,  $\beta$ -decay rates, or energies of odd-odd neighboring nuclei.

Second, using a sufficiently large configuration space of nucleon states is important to prevent underestimation of the energy-dependent total cross section  $\sigma(E_\nu)$  as the neutrino energy rises. This is due in part to the increasing contribution of higher-order multipoles at high energies. The inclusive or total cross section as function of neutrino energy is a sum over all nuclear multipole states:

$$\sigma(E_\nu) = \sigma(E_\nu, 0^+) + \sigma(E_\nu, 1^+) + \sigma(E_\nu, 0^-) + \sigma(E_\nu, 1^-) + \sum_{J^\pi \geq 2^\pm}^{J^\pi \max} \sigma(E_\nu, J^\pi) \quad (8)$$

Here,  $\sigma(E_\nu, J^\pi)$  is the cross section contribution due to multipole  $J^\pi$ ; for example, see Eq. 2.25 in Ref. [50], or Eq. 3 in Ref. [37] for integration over neutrino angle. Usually, the contribution of the multipoles  $0^+$  and  $1^+$ , allowed transitions, are the most important below neutrino energies of 50 MeV. Previous work with PQRPA and RQRPA on  $(\nu/\bar{\nu})$  reactions on  ${}^{12}\text{C}$  has examined the variation of  $\sigma(E_\nu)$  as a function of the space of single particle energies and the chosen value of the multipole cutoff  $J^\pi \max$  [50]. It was found that the magnitudes of the resulting cross sections were close to the sum-rule limit at low energies but significantly smaller than this limit at high energies. As the size of the configuration space is augmented,  $\sigma(E_\nu)$  increases steadily, particularly for  $(\nu/\bar{\nu})$  energies greater than 200 MeV. Convergence is achieved when the configuration space and multipole cutoff ( $J^\pi \max$ ) are both chosen to be sufficiently large [50].

A few words are necessary for the GTBD result. This is a parametric model for  $\beta$ -decay rates, which includes statistical arguments in a phenomenological way through a convolution between the independent particle model  $\beta$ -amplitude and the level density of the Fermi gas model corrected to take into account shell effects. The GTBD calculation considers only the contributions of allowed transitions,  $\sigma(E_\nu, 0^+)$  and  $\sigma(E_\nu, 1^+)$ , with a realistic description of the energy of the GT resonance peak [38, 44].

Third, some calculations use an effective (or *quenched*) value of the nucleon axial-vector coupling constant for

TABLE I. Brief features of  $\nu_e - {}^{40}\text{Ar}$  cross-section models used in this work.

Cross section model	Model name	Comments
Default model implemented in SNOwGLoBES [28]	SNOwGLoBES or S	Based on RPA calculations for all multipole transitions up to $J^\pi = 4^\pm$ .
Calculation by Martinez-Pinedo et al. [39, 40]	RPA	Based on RPA calculations including all the multipole transitions up to $J^\pi = 6^\pm$ .
Calculation by M. Cheoun et al. [41]	QRPA-C	Based on QRPA calculations. The results are consistent with data from $(p, n)$ scattering reactions and Gamow-Teller strengths.
Calculation by N. Paar et al. [42]	RQRPA	Based on a self-consistent theory framework for a relativistic nuclear energy density functional. The cross sections are including higher-order multipole transitions up to $J^\pi = 5^\pm$ . The calculations provide a larger cross sections for ${}^{40}\text{Ar}$ .
Calculation by A. Samana et al. [43]	PQRPA	Based on projected number QRPA including higher-order multipole transitions up to $J^\pi = 6^\pm$ . These calculations were able to describe consistently the weak processes on ${}^{12}\text{C}$ [43] using a projection number particle procedure.
Calculation by A. Samana et al. [38, 44]	GTBD	Based on Gross Theory of Beta Decay, that describes global properties of $\beta$ -decay processes. Refs. [38, 44] state that this model for heavy elements overestimated available data. Ref. [45] states that GTBD is less reliable compared to $(p, n)$ scattering data.
Calculation by T. Suzuki and M. Honma [37]	NSMRPA or NSM+RPA	Based on a hybrid model calculation where partial cross sections for Fermi and Gamow-Teller transitions obtained using NSM, while other multipoles computed using RPA calculations.
MARLEY calculation based upon ${}^{40}\text{Ti}$ $\beta$ decay data [31]	B 1998	Gamow-Teller matrix elements were extracted from a 1998 measurement by Bhattacharya <i>et al.</i> [46]. These are supplemented with QRPA matrix elements from Ref. [41] at high excitation energies.
MARLEY calculation based upon an alternative ${}^{40}\text{Ti}$ $\beta$ decay data set [31]	L 1998	Gamow-Teller matrix elements were extracted from a 1998 measurement by Liu <i>et al.</i> [47]. These are supplemented with QRPA matrix elements from Ref. [41] at high excitation energies.
MARLEY calculation based upon $(p, n)$ scattering data [31]	B 2009	Gamow-Teller matrix elements were extracted from a 2009 measurement by Bhattacharya <i>et al.</i> [48]. These are supplemented with QRPA matrix elements from Ref. [41] at high excitation energies.
Unpublished calculation by Samana and dos Santos [49]	QRPA-S	Based on QRPA calculations and using the same parametrization of present PQRPA, including higher-order multipole transitions up to $J^\pi = 6^\pm$ .

896 which its bare value  $g_A = 1.2756$  from the experimental<sub>912</sub>  
 897 data [32] is multiplied by a factor of around 0.8. There<sub>913</sub>  
 898 is still a lack of consensus in the nuclear physics com-<sub>914</sub>  
 899 munity about whether this quenching is needed. For<sub>915</sub>  
 900 the family of models considered in this paper, the RPA<sub>916</sub>  
 901 calculations do not use a re-normalization of  $g_A$  [40],<sub>917</sub>  
 902 while the RQRPA model used  $g_A = 1$ . The PQRPA<sub>918</sub>  
 903 calculations also adopted  $g_A = 1$  to be consistent with<sub>919</sub>  
 904 comparisons of 2s1d and 2p1f shell- model predictions<sub>920</sub>  
 905 with measured allowed  $\beta$ -decay rates [50] and with re-<sub>921</sub>  
 906 cent double beta decay calculations. The QRPA cal-<sub>922</sub>  
 907 culations reported in Ref. [41] use a universal quench-<sub>923</sub>  
 908 ing factor  $f_q = g_A^{\text{eff}}/g_A = 0.74$  to reproduce measured<sub>924</sub>  
 909 GT strength distributions. The NSM+RPA calculations<sub>925</sub>  
 910 within the VMU potential used a similar quenching fac-<sub>926</sub>  
 911 tor  $f_q = 0.775$  with  $g_A = 1.263$ . This choice enabled the<sub>927</sub>

NSM+RPA model to describe the experimental cumula-  
 tive sum of the GT strength rather well. On the other  
 hand, recent studies on variations of  $g_A$  in the GTBD  
 have shown that best results for a set of 94 nuclei of  
 interest are obtained with  $g_A = 1$  [51]. The GT distribu-  
 tion used for the NSM+RPA calculation is shifted toward  
 higher energy values with significantly smaller strengths  
 for  $<10$  MeV neutrino energies, resulting in a character-  
 istic cut-off at energies below about 8 MeV.

Despite the differences explored above, the main fea-  
 tures of measured weak interaction observables, such  
 as  $\beta$ -decay strengths and inclusive muon capture rates,  
 are reasonably well described for multiple nuclei by  
 the majority of the nuclear structure models considered  
 herein. By incorporating these cross-section models into  
 our SNOwGLoBES calculations, we studied the impact

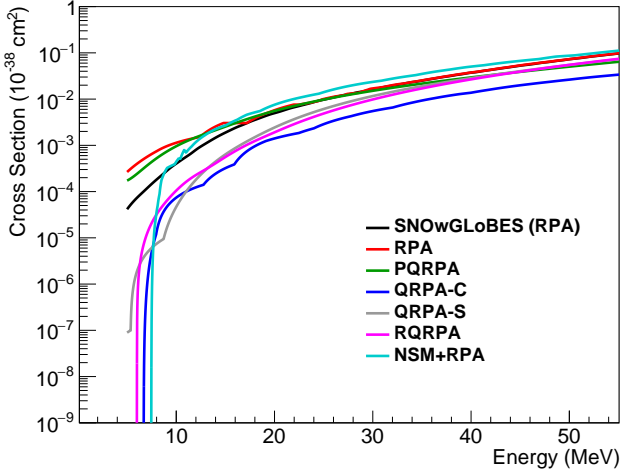


FIG. 6. Cross-section calculations for the  $\nu_e - {}^{40}\text{Ar}$  interaction from Refs. [28], [39, 40], [42], [37], [43], [41], and [49]. The labels are explained in Table I. Note the log scale on the y-axis.

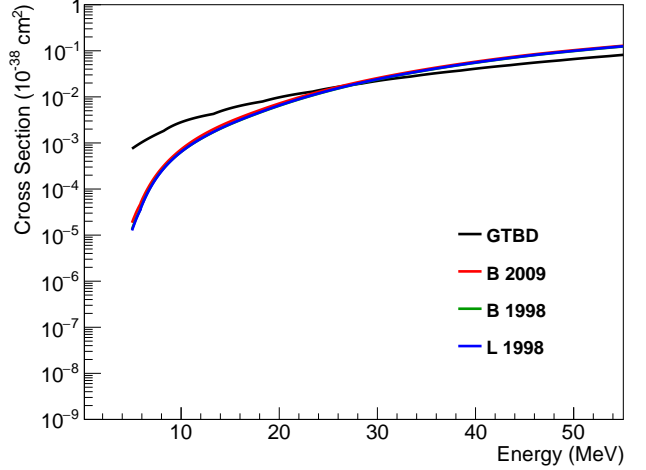


FIG. 7. Cross section calculations for the  $\nu_e - {}^{40}\text{Ar}$  interaction from Refs. [30] and [38]. The labels are explained in Table I. The y-axis range is the same as Fig. 6.

928 of variations in the shape of  $\sigma(E_\nu)$  on the simulated  
 929 measurements of supernova neutrino flux parameters.  
 930 Many of the cross section models required re-formatting  
 931 with extra data-points for usage in SNOWGLoBES; ap-  
 932 pendix A provides more details on the interpolation pro-  
 933 cedure that was used. Figures 6 and 7 show that the  
 934 cross-section models differ considerably and lead to a  
 935 wide range of predictions for the supernova  $\nu_e$  signal in  
 936 DUNE. Appendix B provides a table of the corresponding  
 937 event rates as output by SNOWGLoBES.

938 Figure 8 shows representative expected event rates in  
 939 DUNE for the CC  $\nu_e - {}^{40}\text{Ar}$  absorption process and a su-  
 940 pernova at a distance of 10 kpc from Earth. The large  
 941 differences in the cross-section model predictions at low  
 942 neutrino energy translate to large variations in the plot-  
 943 ted observed energy distributions. Apart from effects of  
 944 cross-section mismodeling (which are considered in the  
 945 next section), the expected statistical uncertainty on the  
 946 event rate has a strong effect on the precision with which  
 947 the supernova flux parameter values may be measured.  
 948 The sensitivity regions shown in Fig. 9 are obtained by  
 949 considering the statistical uncertainty and using the same  
 950 cross-section model to generate the fake data and extract  
 951 the results. The GTBD cross section model, which pre-  
 952 dicts 7770  $\nu_e$  CC events, results in the tightest constraints  
 953 on the flux parameters. The QRPA-C model predicts  
 954 1383 events and thus provides the loosest constraints.

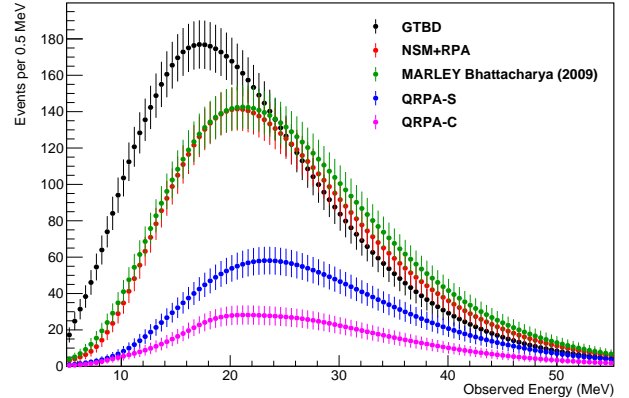


FIG. 8. SNOWGLoBES event rates for select cross-section calculations from Refs. [30, 37, 38, 41, 44, 49]. The initial fluence parameter values for  $\nu_e$  are  $(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0) = (2.5, 9.5 \text{ MeV}, 5 \times 10^{52} \text{ ergs})$ , for  $\bar{\nu}_e$  are  $(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0) = (2.5, 12.0 \text{ MeV}, 5 \times 10^{52} \text{ ergs})$ , and for  $\nu_x$  are  $(\alpha^0, \langle E_\nu \rangle^0, \varepsilon^0) = (2.5, 15.6 \text{ MeV}, 5 \times 10^{52} \text{ ergs})$ . Normal mass ordering and MSW resonance were assumed. Note that “QRPA-C” and “QRPA-S” contain the same type of calculation performed by different groups, with the former by M. Cheoun et al. [41] and the latter by Samana and dos Santos [49]. More details about the various models are provided in Table I. The error bars are statistical.

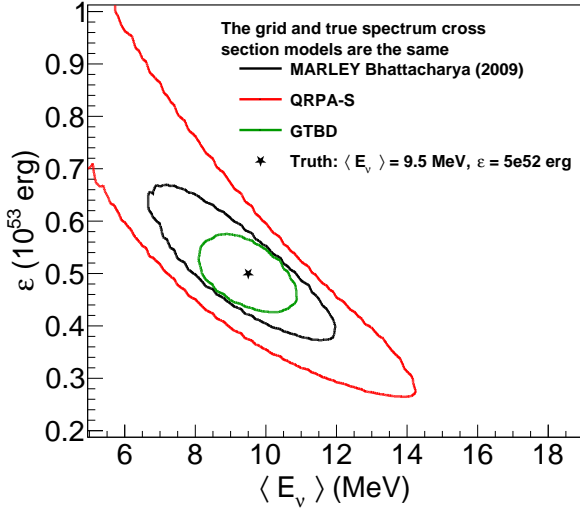


FIG. 9. Sensitivity regions (90% C.L.) in  $(\langle E_\nu \rangle, \epsilon)$  space generated from the cross-section models in Refs. [30, 38, 49]. Only statistical uncertainties are considered. In each case, the same cross-section model is used both to produce the fake data and to calculate the sensitivity region.

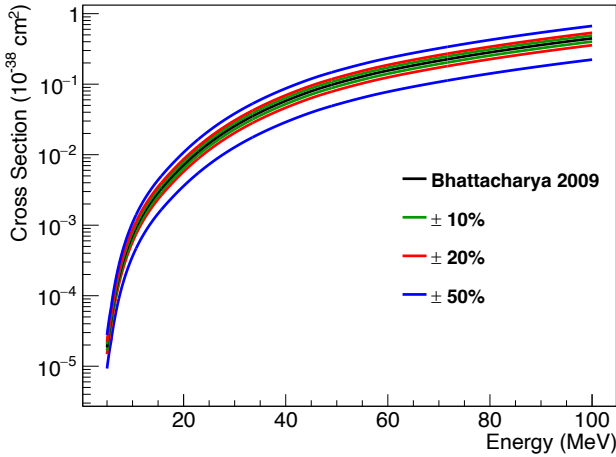


FIG. 10.  $\nu_e - {}^{40}\text{Ar}$  cross section versus energy with various scaling factors applied. Ref. [30] provided the cross section model obtained from Bhattacharya (2009) data [48].

## B. Cross section normalization uncertainty

As a first examination of the impact of cross-section uncertainties on the extraction of supernova flux parameters from a future DUNE data set, we consider model variations that involve the application of a constant over all scaling factor. These variations shift a plot of  $\sigma(E_\nu)$  vertically while leaving the shape unchanged (see Fig. 10). We adopt as a reference model a cross section from MARLEY version 1.2.0 [30] [52].

The data-driven nuclear matrix elements in this model were obtained from a measurement of very forward ( $p, n$ )

scattering reported in Ref. [48]. The unaltered reference model is used together with versions changed by factors of  $\pm(5$  to  $20)\%$  in 5% steps,  $\pm 50\%$ , and  $+100\%$ . This procedure yields a total of twelve unique cross section models, and those models generate different true spectra and grids that we used as input into the forward-fitting algorithm.

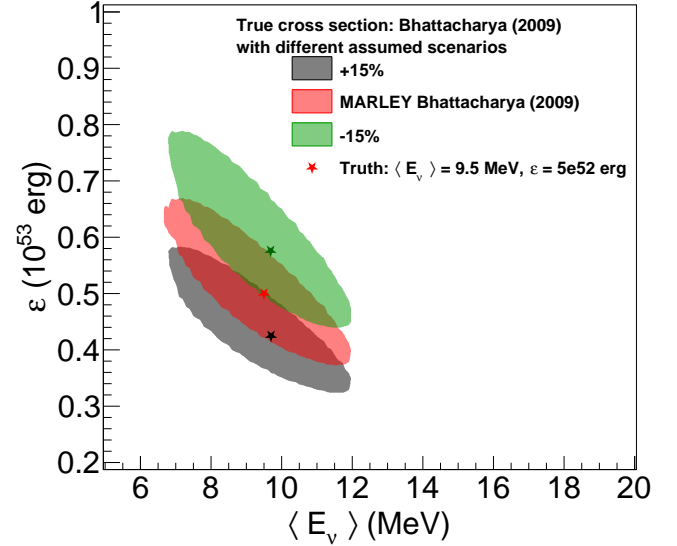


FIG. 11. Sensitivity regions (90% C.L.) for a 10 kpc supernova to study different combinations of assumed and true total cross section normalizations.

Figure 11 shows sensitivity regions for a 10 kpc supernova, the true scenario outlined in Sec. II F, and three different sets of assumptions. The sensitivity regions shift for changes in  $\epsilon$ ; the cross section scaling factors affect the statistics and thus  $\epsilon$ . The sensitivity regions shift vertically for change in cross-section normalization, with near-negligible shape change, as expected.

Figure 12 shows the bias in the best-fit parameter values for each possible combination of true cross-section model (i.e., the model used to simulate the fake data set) and assumed cross-section model (i.e., the model used to perform the parameter fits). The best fit within the grid bounds is determined, and that constraint can introduce an artificial bias to the best fit once a boundary is reached for one or more parameters. The results are shown separately for  $\alpha$ ,  $\langle E_\nu \rangle$ , and  $\epsilon$ . For each parameter, a two-dimensional histogram is plotted in which each bin represents a particular combination of cross-section models. The color of the bin represents the bias value, i.e., the fractional difference between the best-fit parameter value and its true value.

We first notice that the biases on  $\alpha$  and  $\langle E_\nu \rangle$  are relatively small unless the assumptions significantly differ from reality. If we assume an enhanced cross section (using positive scaling factors), the large mismatch in statistics causes an  $\epsilon$  under-estimation. The difference in statistics forces the algorithm to select lower  $\epsilon$  val-



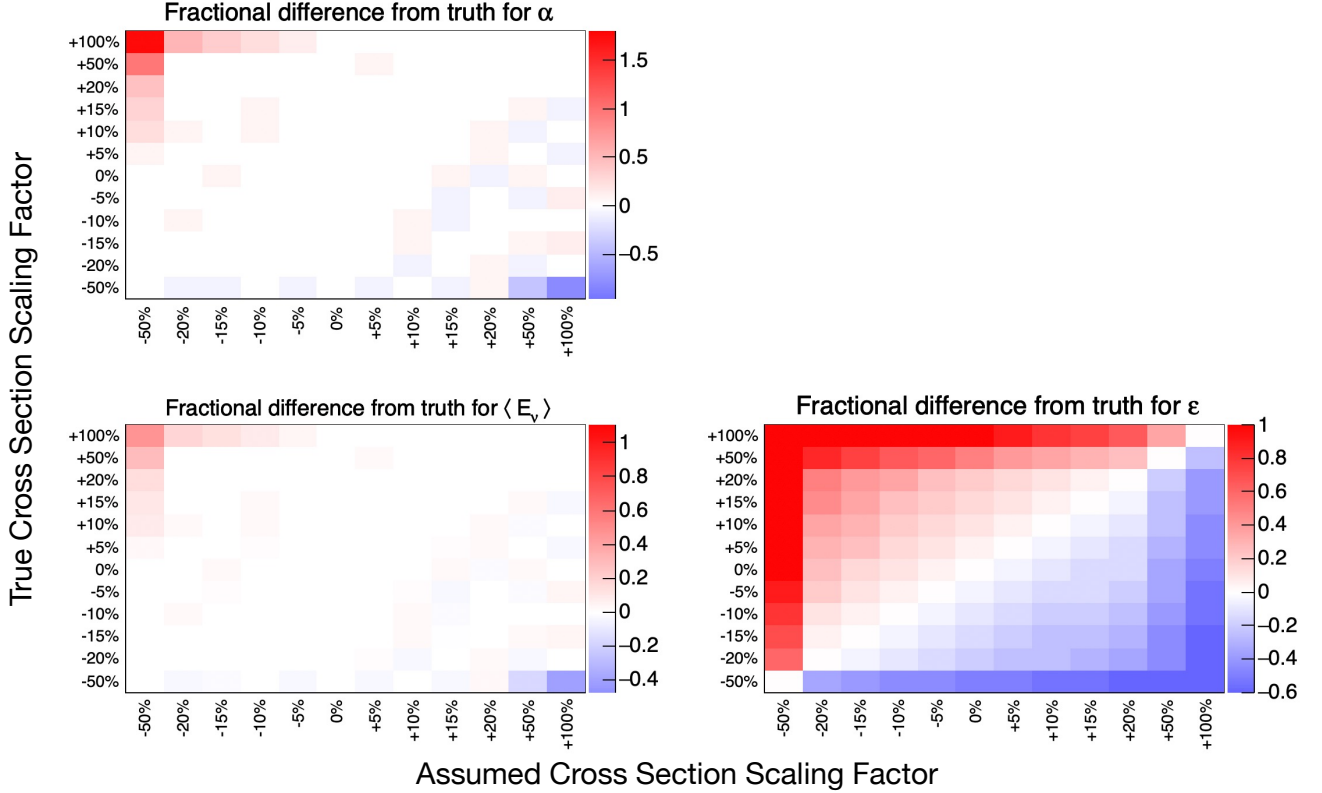


FIG. 12. 2D fractional difference plots to study effects produced by normalization uncertainties on the total cross section.

ues. If we assume a reduced cross section (using negative  
scaling factors), we expect a lower event rate than we ac-  
tually observe; thus the forward-fitting algorithm prefers  
higher  $\epsilon$  values to compensate for the discrepancy. When  
the algorithm reaches a boundary (i.e., at the minimum  
or maximum  $\epsilon$  value allowed), the biases in  $\alpha$  and  $\langle E_\nu \rangle$   
will increase to compensate for spectral shape differences  
between the true spectrum and grid elements.

### C. Combined cross-section normalization and shape uncertainty

To characterize the impact of using an inaccurate  
cross-section model to extract values of the supernova  
flux parameters, we consider scenarios in which differ-  
ent combinations of the theoretical models described in  
Sec. III A are used to (1) simulate a fake data set, and  
(2) perform fits of the flux parameters. Figure 13 dis-  
plays the 2D bias plots for the different combinations of  
assumed and true total cross section models. A logarith-  
mic color scale is used for  $\epsilon$  due to the very large range of  
biases allowed for that parameter. In the 2D plots, the  
cross-section models are ordered along each histogram  
axis from smallest to largest expected number of events  
integrated over a neutrino energy range of [5, 15] MeV  
Appendix B also contains the numerical values for the

expected event counts for each model in the [5, 15] MeV  
range.

Further insight into cross-section model effects on the  
extraction of supernova neutrino flux parameters can be  
gained from Fig. 14, which shows sensitivity regions com-  
puted based on a fake data set produced using the MAR-  
LEY B 2009 cross-section model. When supernova flux  
parameters are extracted using the same cross-section  
model (red sensitivity regions), the best-fit values (red  
stars) are identical to the true ones by construction. A  
small bias is seen when the extraction procedure is re-  
peated using the MARLEY L 1998 model (black stars).  
However, the difference between the assumed (L 1998)  
and true (B 2009) cross sections is small enough that the  
gray sensitivity regions obtained from the new fit cover  
the true parameter values in all cases. A more prob-  
lematic bias (green stars) is seen when the fit is re-  
peated using the PQRPA model as the assumed cross section.  
In this case, the difference between the PRQPA and MAR-  
LEY B 2009 predictions is large enough to lead to green  
sensitivity regions which do not enclose the true results.  
This bias would need to be corrected in the context of  
a real analysis by introducing a cross-section-related sys-  
tematic uncertainty to inflate the sensitivity regions. The  
significant corresponding loss of precision can be visually  
estimated from Fig. 14 by examining the degree to which  
the green sensitivity regions “miss” the red star that rep-

1051 represents the true parameter values.

1052 Some general trends were seen in the course of these  
 1053 fake data studies. If the cross-section model used for  
 1054 fitting gives higher values than the true one used to gen-  
 1055 erate the fake data, then the fitting algorithm tends to  
 1056 overestimate  $\alpha$  and  $\langle E_\nu \rangle$  while underestimating  $\varepsilon$ . Be-  
 1057 cause  $\varepsilon$  is directly proportional to the expected number  
 1058 of events, the best-fit value of  $\varepsilon$  is driven lower for fake  
 1059 data sets with low statistics.

## D. Total cross section uncertainty envelope

The cross-section models considered above are not expected to produce results of equal quality in the energy region of interest for supernova neutrinos (see, e.g., the discussion in the supplemental materials from Ref. [45]), and furthermore, uncertainties are typically not available for them. As a means of assigning a theoretical uncertainty which neglects implausibly extreme variations, we consider the spread between three cross-section predictions: the partially data-driven MARLEY models [30], the NSM+RPA calculation [37], and the QRPA-S calculation [49]. In the absence of a direct measurement of the  $\nu_e$  capture process on argon, we selected this subset of the available models based upon purely a priori considerations. Predictions from our chosen subset of cross-section models are shown in Fig. 15. An uncertainty envelope defined as the range between the minimum and maximum cross-section predictions from this subset of models is also shown as the crosshatched region. Predicted supernova neutrino event rates in DUNE for each of the models used to define the envelope are displayed in Fig. 17.

With a restricted range of cross-section variations defined in this way, we repeated our fake data studies using a new family of toy cross section models. The lower (Min) and upper (Max) bounds of the uncertainty envelope were treated as two of the new models, and the MARLEY B 2009 cross section [31] was treated as a midpoint. We further define four additional toy models in which three of the models attempt to cover the lower half of the envelope. The first toy model (“Lower bound toy model 1”) is an average between the MARLEY B 2009 cross section and the lower (Min) bound. The second toy model (“Lower bound toy model 2”) is defined as the average between the first toy model and the MARLEY B 2009 cross section. Finally, the third toy model (“Lower bound toy model 3”) is defined as the average between the first toy model and the lower (Min) bound. The complete set of toy cross section models is shown in Fig. 16. Note that the two “kinks” in the Min model are artifacts from linear interpolations of the NSM+RPA [37] and QRPA-S [49] models, respectively.

Figure 18 shows the 2D fractional difference plots for the toy cross section models within the uncertainty envelope. When compared to Fig. 13, the biases are less extreme for all three parameters. Similar to the previous fake data studies, extraction of best-fit values for  $\alpha$  and  $\langle E_\nu \rangle$  is less affected by cross-section mismodeling while estimation of  $\varepsilon$  is impacted the most. Also similar to the previous studies, assuming a cross-section higher than the true one leads to an underestimation of  $\varepsilon$ . Example sensitivity regions are shown in Fig. 19 using several assumed cross sections for fake data generated using the MARLEY B 2009 model. In this case, the black star represents the true parameter values. The observed biases are still significant for  $\varepsilon$  but relatively modest for the other supernova flux parameters.

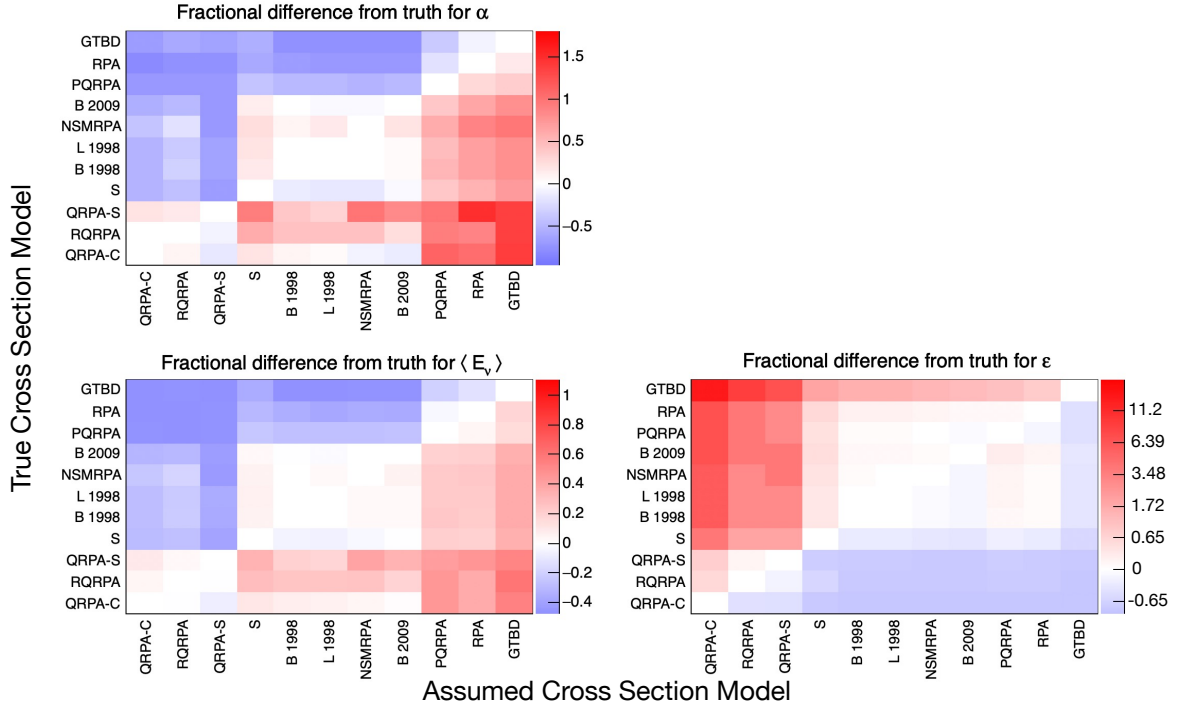


FIG. 13. 2D fractional difference plots to study effects produced by different cross section models. Note that “S” stands for the cross section model implemented into SNOwGLoBES [28]. Also note that the  $\epsilon$  color-scale is log to account for the wide range of values. The number scale shows the raw fractional difference values to conform with the  $\alpha$  and  $\langle E_\nu \rangle$  plots.

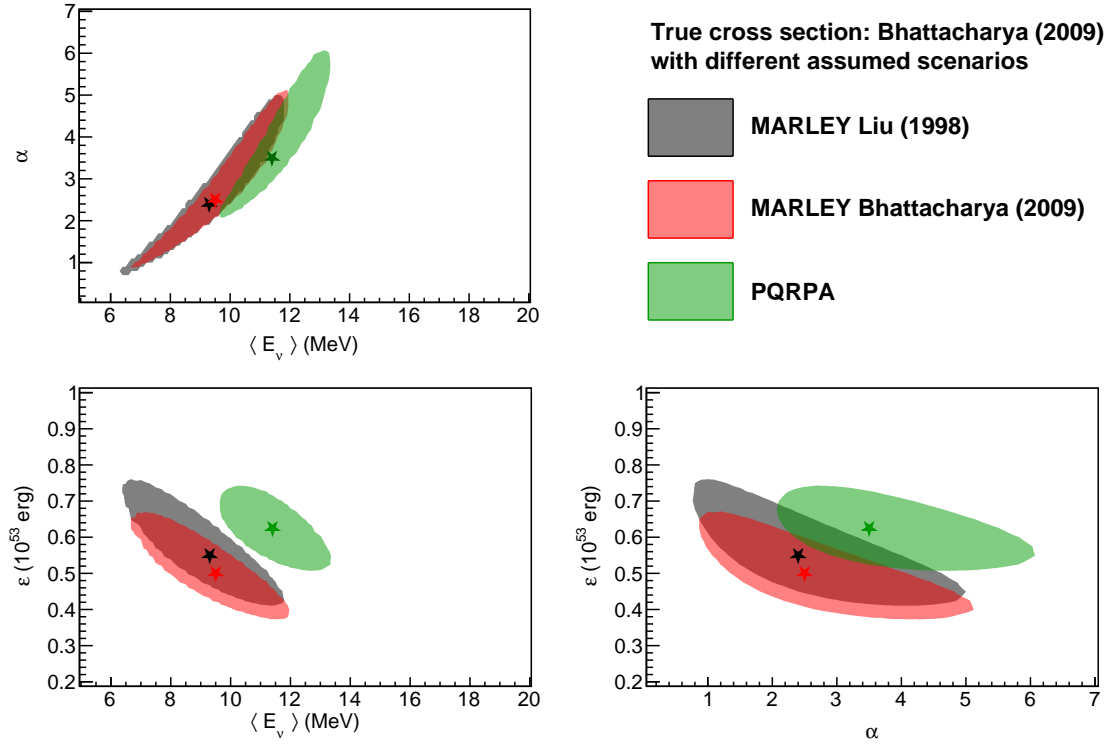


FIG. 14. Sensitivity regions (90% C.L.) calculated with different assumed cross-section models for a fake data set generated using the MARLEY B 2009 model. The stars mark the best-fit measurements from the fitting algorithm. The red stars also indicate the true parameter values, i.e., when the assumed cross section model is identical to the true model.

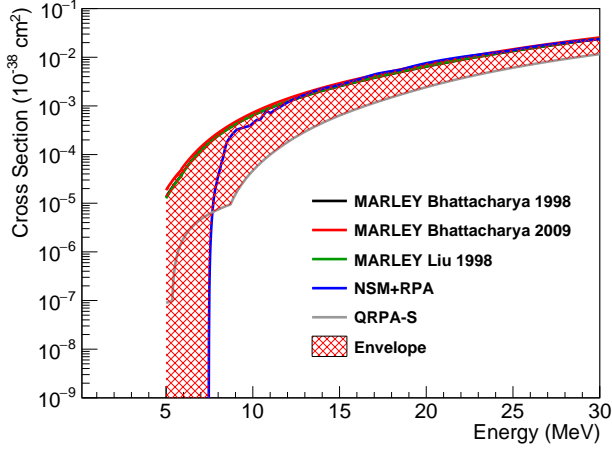


FIG. 15. Total cross section predictions for the  $\nu_e - {}^{40}\text{Ar}$  interaction from the selected subset of models discussed in Section III D. The shaded region represents the adopted uncertainty envelope based on the spread of these models.

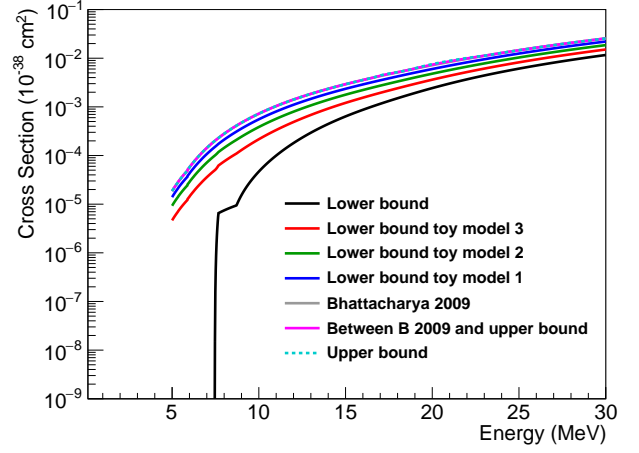


FIG. 16. Toy total cross-section models for the  $\nu_e - {}^{40}\text{Ar}$  interaction covering portions of the uncertainty envelope shown in Fig. 15.

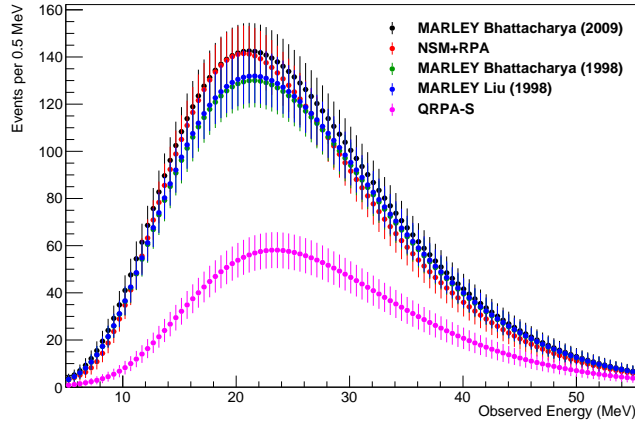


FIG. 17. SNOwGLoBES event rates for the selected cross-section calculations discussed in the text. The error bars are statistical.

#### IV. DISCUSSION

A proper interpretation of a DUNE supernova neutrino data set will require a good understanding of neutrino-argon scattering cross sections in the tens of MeV regime. Since direct measurements of the dominant charged-current  $\nu_e$  absorption process on argon are currently unavailable, our present consideration of cross-section uncertainties necessarily relies on calculations available in the theoretical literature. Furthermore, because few published calculations of observables beyond energy-dependent total cross sections  $\sigma(E_\nu)$  are available for CC  $\nu_e$ - $^{40}\text{Ar}$  scattering, we focus entirely upon variations to the total cross section. For the studies reported here, the remaining aspects of the interaction modeling needed to connect the true neutrino energy to the observed energy distribution in DUNE are provided by the MARLEY event generator, which currently implements the only realistic predictions of complete final states for low-energy CC neutrino-argon scattering. We expect the theoretical uncertainties on these additional modeling details to be significant, and future work will be needed to reliably quantify them.

To examine the impact of total cross-section modeling on the interpretation of DUNE supernova neutrino data, we employed three strategies for model variations: applying a constant scaling factor to the MARLEY B 2009 model (Sec. III B), considering the full range of a variety of cross-section predictions (Sec. III C), and defining an uncertainty envelope based on the spread of a subset of selected predictions (Sec. III D). Beyond phenomenological models available in MARLEY, the theoretical calculations that we reviewed and employed the latter two strategies included the global GTBD treatment and microscopic evaluations such as the QRPA, PQRPA, NSM, and hybrid approaches. All of these models have significant differences coming from the description of nuclear correlations, the residual interaction, and the value of the nucleon axial-vector coupling. Nevertheless, these models reasonably describe the main features of measured weak interaction observables such as  $\beta$ -decay strengths and inclusive muon capture rates.

For all three strategies, the cross-section model variations were applied to toy measurements of supernova neutrino flux parameters performed using fake data sets produced using the SNOWGLOBES framework. Different combinations of true and assumed cross section models (used to create the fake data and interpret the toy measurement results, respectively) were employed, and the impact on the extracted values of the flux parameters was assessed.

Table II provides a high-level summary of the conclusions from our fake data studies. For each of the three supernova neutrino flux parameters that we considered, an uncertainty on the total CC neutrino-argon cross-section of -50/+100% and  $\pm 20\%$  is translated into a corresponding range of observed biases on the best-fit parameter value extracted from the toy measurements. The val-

ues of the bias were read directly off the 2D fractional difference plots. For the -50/+100% combination, the forward-fitting algorithm reached the most extreme allowed values of  $\varepsilon$ , causing the biases in  $\alpha$  and  $\langle E_\nu \rangle$  to increase in an attempt to compensate for the spectral shape differences between the true spectrum and grid elements.

For total cross section known at about the 20% level, bias on best-fit  $\alpha$  and  $\langle E_\nu \rangle$  is in the 3-8% range. Achieving less than 10% bias on the best-fit value of  $\varepsilon$  requires the cross section to be known to about 5%. These requirements may be somewhat relaxed in light of possible constraints from simultaneous observations of the supernova by other detectors, which we do not consider here. On the other hand, more stringent requirements may ultimately be needed when additional interaction modeling uncertainties (beyond those on the total cross section) are fully taken into account.

While we are optimistic that the theoretical understanding of low-energy neutrino-argon cross sections will continue to improve, there is no substitute for actually measuring the cross sections with a well-characterized neutrino flux. Pions decaying at rest represent a near-ideal source of neutrinos for such measurements. Decays of  $\pi^+$  produce monochromatic  $\nu_\mu$  on a short timescale, plus  $\bar{\nu}_\mu$  and  $\nu_e$  from delayed decay of the stopped daughter muon on a 2.2  $\mu\text{s}$  timescale. The spectrum and timing are very well understood. The neutrino energies extend to 52 MeV, overlapping nicely with the supernova spectrum. It is also possible to study neutral-current argon inelastic events given the time structure of the beam. Spallation-based neutron beams such as the Spallation Neutron Source at Oak Ridge National Laboratory [53], the Lujan Neutron Science Center at Los Alamos National Laboratory [54], the J-PARC Spallation Neutron Source [55], and the future European Spallation Source [56] (currently under construction) are intense sources of pion decay-at-rest neutrinos. Measurements of these neutrinos may also be possible at high-energy physics facilities including the Large Hadron Collider beam dump [57] and the meson decay-in-flight neutrino beams at Fermilab [58].

Future direct measurements of CC  $\nu_e$ -argon cross sections using a pion decay-at-rest source could pursue several distinct observables to better constrain interaction

TABLE II. Parameter biases caused by normalization uncertainties on the total cross section.

$\sigma(E_\nu)$ uncertainty	Parameter	Measurement bias
-50/+100%	$\alpha$	-80% to +176%
	$\langle E_\nu \rangle$	-41.1% to +47.4%
	$\varepsilon$	-60% to +100%
$\pm 20\%$	$\alpha$	0% to +8%
	$\langle E_\nu \rangle$	-3% to 0%
	$\varepsilon$	-45% to +50%

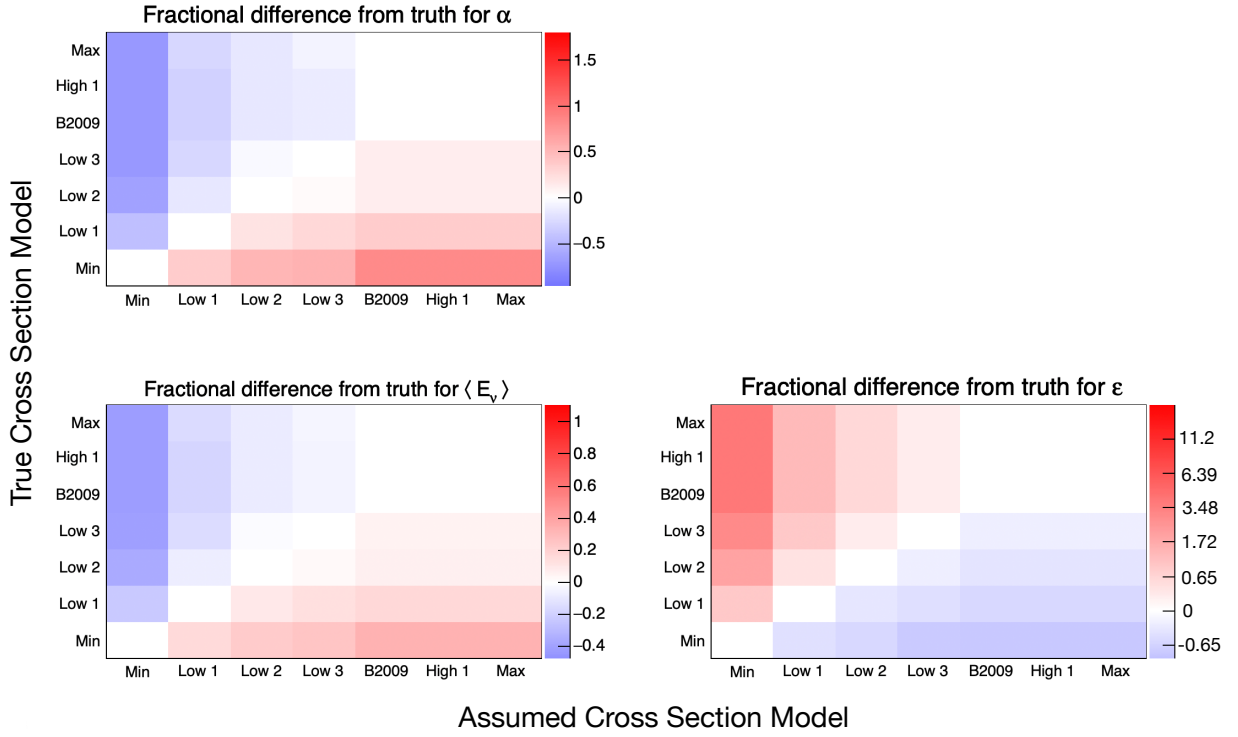


FIG. 18. 2D fractional difference plots to study effects produced by toy models within the cross section uncertainty envelope discussed in Section III D.

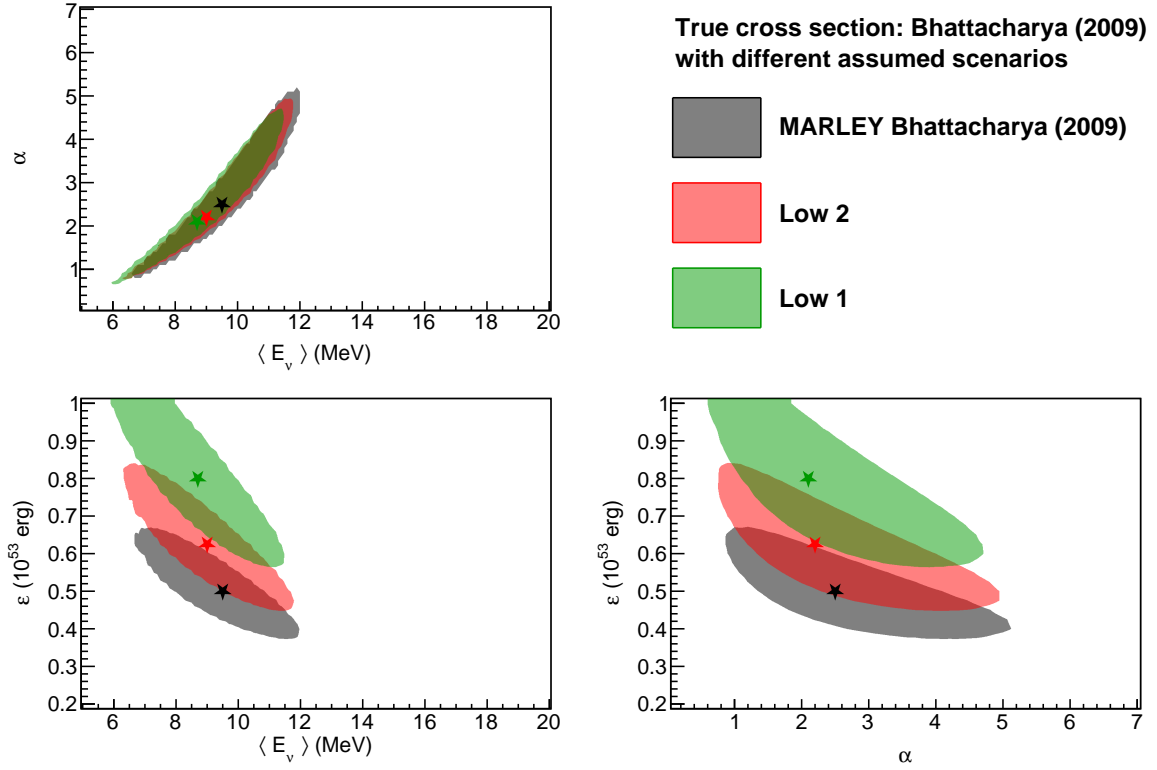


FIG. 19. Sensitivity regions (90% C.L.) with different combinations of assumed and true cross section models. Two of the models are toy models generated from the midpoint (B 2009) and minimum cross section values from the set of selected models. The stars mark the best-fit values from the fitting algorithm. The black stars also represent the true parameter values.

1219 modeling uncertainties for the DUNE supernova neutrino<sub>267</sub>  
 1220 program. The most straightforward of these (and most<sub>268</sub>  
 1221 directly relevant to the specific uncertainties considered<sub>269</sub>  
 1222 in this paper) would be an inclusive total cross section<sub>270</sub>  
 1223  $\langle\sigma\rangle$  averaged over the  $\nu_e$  flux  $\phi(E_\nu)$  from  $\pi^+$  decays at<sub>271</sub>  
 1224 rest:

$$\langle\sigma\rangle \equiv \frac{\int_0^{m_\mu/2} \sigma(E_\nu) \phi(E_\nu) dE_\nu}{\int_0^{m_\mu/2} \phi(E_\nu) dE_\nu}, \quad (9)$$

1225 where  $m_\mu$  is the muon mass and

$$\phi(E_\nu) \propto E_\nu^2 m_\mu^{-4} (m_\mu - 2E_\nu). \quad (10)$$

1226 Measurements of both  $\langle\sigma\rangle$  and a differential cross section<sub>281</sub>  
 1227 as a function of the total visible energy would likely be<sub>282</sub>  
 1228 obtainable with a suitably large (several-ton-scale) argon<sub>283</sub>  
 1229 detector. As an example, 5-10% statistical uncertainty on<sub>284</sub>  
 1230 the total cross section could be obtained in a few years<sub>285</sub>  
 1231 with a ton-scale detector a few tens of meters from the  
 1232 Spallation Neutron Source.

1233 The fine spatial resolution of a LArTPC detector would<sub>286</sub>  
 1234 potentially allow for more detailed measurements. In  
 1235 particular, topological separation between the outgoing<sub>287</sub>  
 1236 electron and  $\gamma$ -rays emitted due to neutrino-induced nu-<sub>288</sub>  
 1237 clear de-excitations could allow separate measurements<sub>289</sub>  
 1238 of differential distributions for both particle species. Re-<sub>290</sub>  
 1239 cent studies (e.g., Ref. [59]) suggest that such a separa-<sub>291</sub>  
 1240 tion would be feasible, and a successful implementation<sub>292</sub>  
 1241 would yield a rich data set: the inclusive electron en-<sub>293</sub>  
 1242 ergy and angular distributions are known to be sensitive<sub>294</sub>  
 1243 to the modeling of forbidden contributions to the cross<sub>295</sub>  
 1244 section [60], while the  $\gamma$ -rays would provide a helpful con-<sub>296</sub>  
 1245 straint on de-excitation modeling and, in principle, the<sub>297</sub>  
 1246 opportunity to measure partial cross sections for specific<sub>298</sub>  
 1247 nuclear transitions. Measuring the neutrino angular dis-<sub>299</sub>  
 1248 tribution is particularly important for supernova point-<sub>300</sub>  
 1249 ing measurements relevant for prompt multi-messenger<sub>301</sub>  
 1250 astrophysics [12, 61].

1251 An especially impactful but highly challenging mea-<sub>302</sub>  
 1252 surement would involve the detection of final-state neu-<sub>303</sub>  
 1253 trons produced by CC  $\nu_e$ -argon interactions. Missing en-<sub>304</sub>  
 1254 ergy attributable to these neutrons is expected to have a  
 1255 significant impact on neutrino energy reconstruction at  
 1256 supernova energies [30], and the modeling needed to ac-<sub>305</sub>  
 1257 count for it is complicated and poorly constrained by ex-<sub>306</sub>  
 1258 perimental data. In the absence of any new experimental  
 1259 techniques to increase the sensitivity of argon-based de-<sub>307</sub>  
 1260 tectors to neutrons at and below MeV energies, external<sub>308</sub>  
 1261 instrumentation designed to capture and detect escaping<sub>309</sub>  
 1262 neutrons would likely be the only means of attempting<sub>310</sub>  
 1263 such a measurement.

## 1264 V. CONCLUSION

1265 A possible future observation by DUNE of neutrinos<sub>316</sub>  
 1266 from a core-collapse supernova would represent a rare<sub>317</sub>

and valuable scientific opportunity. In particular, the  
 unique sensitivity of DUNE’s LArTPC detectors to the  
 $\nu_e$  component of the supernova neutrino flux would be  
 highly complementary to other current and anticipated  
 large neutrino experiments. In the studies reported in  
 this paper, we have examined the effects of cross-section  
 modeling uncertainties on a simulated analysis of super-  
 nova neutrinos in DUNE.

Significant experimental and theoretical challenges re-  
 main before a precise understanding of tens of MeV  
 neutrino-argon scattering can be achieved. Nevertheless,  
 pursuing this understanding will be essential to maxi-  
 mize the discovery potential from a core-collapse super-  
 nova observation (and a potentially broader program of  
 low-energy physics) in DUNE. We hope that the initial  
 studies of neutrino-argon interaction modeling uncertain-  
 ties reported here may serve as a useful foundation for the  
 more comprehensive investigations that will be required  
 in the future.

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### Appendix A: Interpolation/extrapolation methods used on cross section models

In order to study the measurement biases introduced  
 by the cross-section modeling, we obtained numerical ta-  
 bles of model predictions for the total charged-current  
 $\nu_e$ - $^{40}\text{Ar}$  cross section (see Table I). SNOwGLoBES re-  
 quires 1001 data points in a cross section file for neutrino  
 energies between 5-100 MeV. While some of the models of  
 interest are already available within SNOwGLoBES (in-  
 cluding its default cross section model, along with some  
 MARLEY cross section models from Ref. [30]), input files  
 for the other models required extra preparation to con-  
 form to the requirements of the SNOwGLoBES format.

Table III summarizes the interpolation and extrapolation methods used for the various models. Excluding the cross section models already available within SNOwGLOBES, all models required interpolation between their tabulated data points to obtain cross section values at intermediate neutrino energies. For models which were tabulated over the entire energy range of interest, either a cubic spline or a linear spline was used to interpolate between the given data points. A cubic spline was generally preferred, but the linear spline was used in cases where the cubic spline caused unphysical fluctuations in the interpolated total cross section.

The available cross-section tables for some models did not cover the entire 5–100 MeV energy range required by SNOwGLOBES. In such cases, extrapolation techniques were used to extend the existing predictions. The models from Refs. [37–40, 44] required extrapolation down to 5 MeV, while the model from Ref. [41] required extrapolation down to 5 MeV and up to 100 MeV. All of the extrapolations used to prepare the SNOwGLOBES input files employed a quadratic fit of the form

$$\sigma(E_\nu) = p_0(E_\nu - p_1)^2 \quad (\text{A1})$$

where  $p_0$  and  $p_1$  are the free parameters used for fitting. All extrapolation fits used five data points.

In the fits for low energies,  $p_1$  (which has units of MeV) holds special significance as the “endpoint” of the cross section model because it is the minimum of the quadratic function. For  $p_1 > 5$  MeV, the fit would introduce unphysical behavior into the model in the form of an increasing cross section as the neutrino energy  $E_\nu$  approaches 5 MeV from above. To prevent this behavior, the total cross section  $\sigma(E_\nu)$  was zeroed out for all energies  $E_\nu < p_1$  whenever  $p_1 > 5$  MeV. The same quadratic functional form was also fit to the last five data points of the model from Ref. [41] to extrapolate up to 100 MeV. In this case, the low- and high-energy fits were handled independently. In order to avoid discontinuities between the interpolation and extrapolation methods, the fits performed at low (high) neutrino energy were required to pass through the first (last) tabulated data point for the cross-section model of interest. Fig. 20 shows the cross section model from Refs. [38, 44] as an example of the interpolation between points (in this case, with a linear spline) as well as an extrapolation to low energies.

## Appendix B: SNOwGLOBES event rates for different cross section models

TABLE IV. SNOwGLOBES estimated number of  $\nu_e$ CC events in the DUNE far detectors for pinched-thermal flux parameters  $(\alpha, \langle E_\nu \rangle, \varepsilon) = (2.5, 9.5, 5 \times 10^{52})$  for the  $\nu_e$  flavor, a 10-kpc supernova, and assuming NMO and MSW oscillations via Equation 5.

Cross section model	Number of $\nu_e$ CC events	Number of $\nu_e$ CC events between [5, 15] MeV
QRPA-C [41]	1383	134
RQRPA [42]	2243	220
QRPA-S [49]	2791	243
SNOwGLOBES [28]	4486	624
B 1998 [31]	6307	874
L 1998 [31]	6390	883
NSM+RPA [37]	6391	897
B 2009 [31]	6852	988
PQRPA [43]	4562	909
RPA [39, 40]	5064	998
GTBD [38, 44]	7770	2070

## Appendix C: Interpolating sensitivity regions

To keep computation time reasonable, the algorithm used to compute flux parameter sensitivity regions (see Sec. IID) uses a limited number of elements in the grid of reference  $(\alpha, \langle E_\nu \rangle, \varepsilon)$  values. The limited number of grid elements leads to unphysical jagged edges in plots of the 90% confidence contours used in this paper to estimate DUNE sensitivity regions for the supernova spectral parameters. To remove these artifacts from the sensitivity region plots, we developed an interpolation technique to smooth the contour edges. Each contour was stored as a two-dimensional histogram, where the weight in each bin was calculated as the minimum  $\chi^2$  value obtained in that region of 2D flux parameter space. Bilinear interpolation [62] between histogram bins was then used to increase the number of bins along each axis to 1000. Example sensitivity regions for the MARLEY B 2009 model are shown in Fig. 21 before (black) and after (blue) applying the smoothing procedure. The impact of the smoothing is most noticeable in the plots involving  $\varepsilon$  since the reference grid is coarsest for that parameter. Specifically, the interpolated contours are slightly smaller than the original contours.

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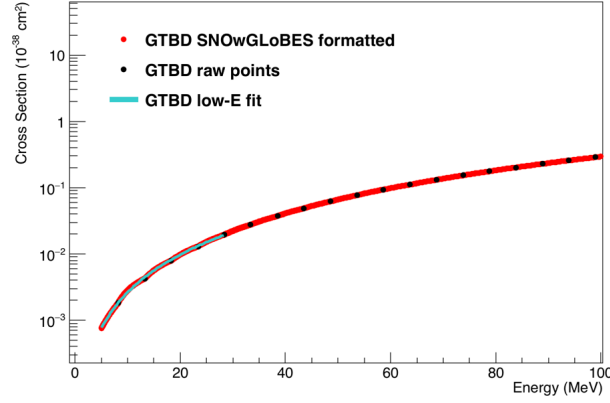


FIG. 20. Cross section model from Ref. [38, 44] with the interpolation (with a linear spline) and extrapolation (using a quadratic fit) shown. See Table III for the quadratic fit parameters for the low-energy fit.

TABLE III. Table summarizing the interpolation and extrapolation methods performed on the various cross section models to format them for usage in SNOwGLoBES [28]. Parameters from the quadratic fits described in the text are also given when extrapolation was used.

Cross section model	Interpolation method used	Extrapolation method used
SNOwGLoBES [28]	N/A	N/A
RPA [39, 40]	Linear spline	Low-energy quadratic fit: $\sigma = 1.35027e-05(E - 0.567063)^2$
QRPA-C [41]	Linear spline	Low-energy quadratic fit: $\sigma = 7.29830e-06(E - 6.67699)^2$ ; for all energy values below $p_1 = 6.68$ MeV, the cross section was set to zero. High-energy quadratic fit: $\sigma = 1.83273e-05(E - 12.3510)^2$
GTBD [38, 44]	Linear spline	Low-energy quadratic fit: $\sigma = 2.26358e-05(E + 0.761242)^2$
NSM+RPA [37]	Linear spline	Low-energy quadratic fit: $\sigma = 1.49812e-04(E - 7.45969)^2$ ; for all energy values below $p_1 = 7.46$ MeV, the cross section was set to zero.
QRPA-S [49]	Linear spline	N/A
RQRPA [42]	Cubic spline	N/A
PQRPA [43]	Cubic spline	N/A
B 1998 [31]	Cubic spline	N/A
B 2009 [31]	Cubic spline	N/A
L 2009 [31]	Cubic spline	N/A

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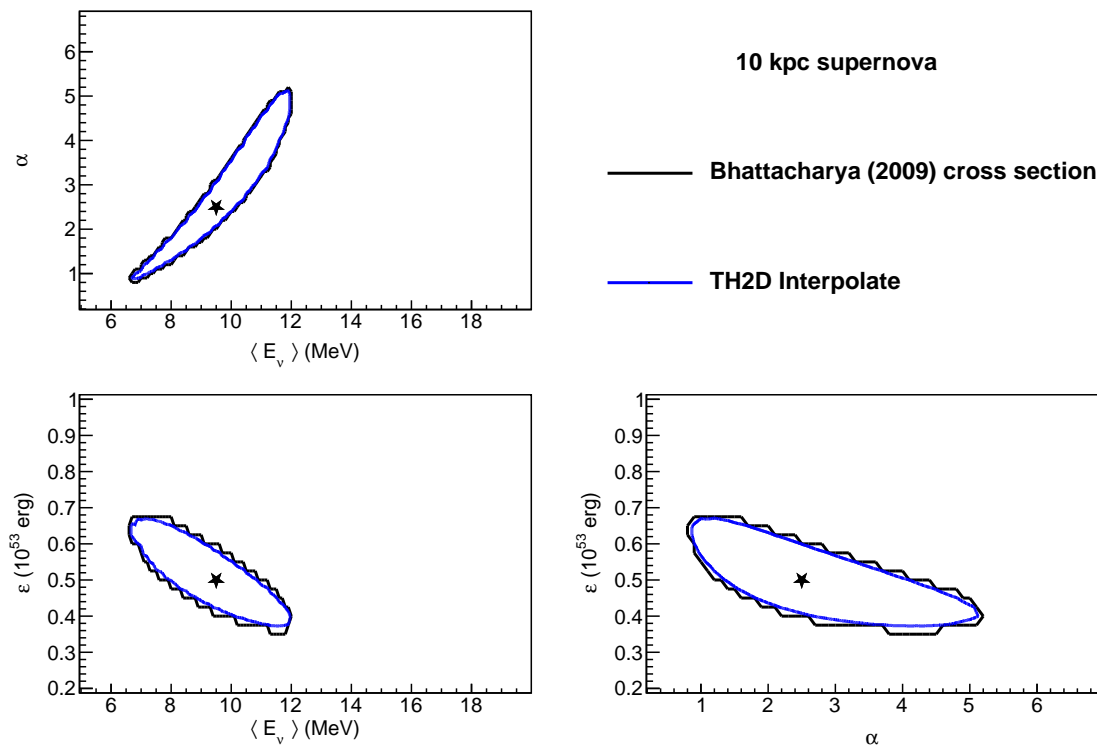


FIG. 21. 90% C.L. contours for the three parameter spaces with NMO assumptions and the MARLEY B 2009 cross section model [31]. The contours before interpolation have prominent jagged edges due to a limited number of reference grid points. The edges are most noticeable for the  $\epsilon$  parameter.

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