



Istituto Nazionale di Fisica Nucleare  
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# Theoretical overview of heavy-flavour hadronization

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# Outline

## Hadronization:

- Fragmentation
- Recombination models
- Statistical Hadronization

## Heavy hadrons in AA collisions:

- $\Lambda_c$ , D spectra and ratio: RHIC and LHC

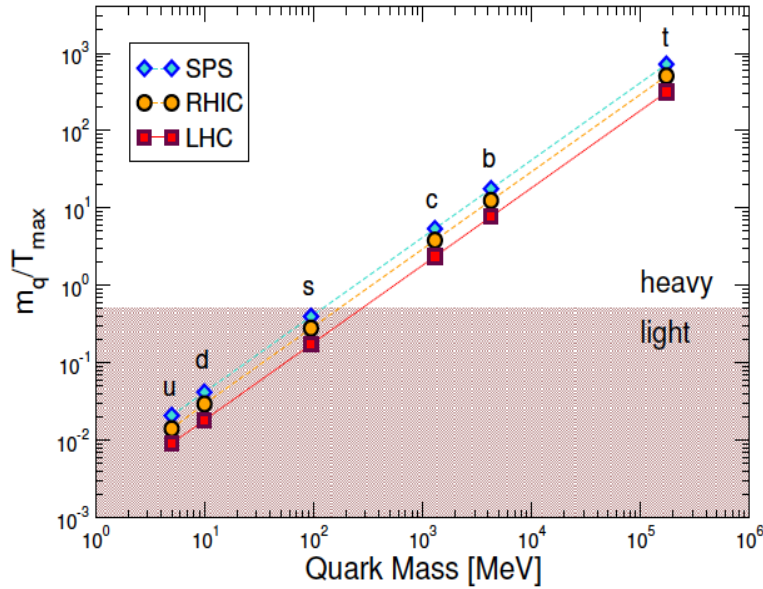
## Heavy hadrons in small systems (pp @ 5.02 TeV):

- $\Lambda_c/D^0$
- $\Xi_c/D^0$ ,  $\Omega_c/D^0$

# Specific of Heavy Quarks

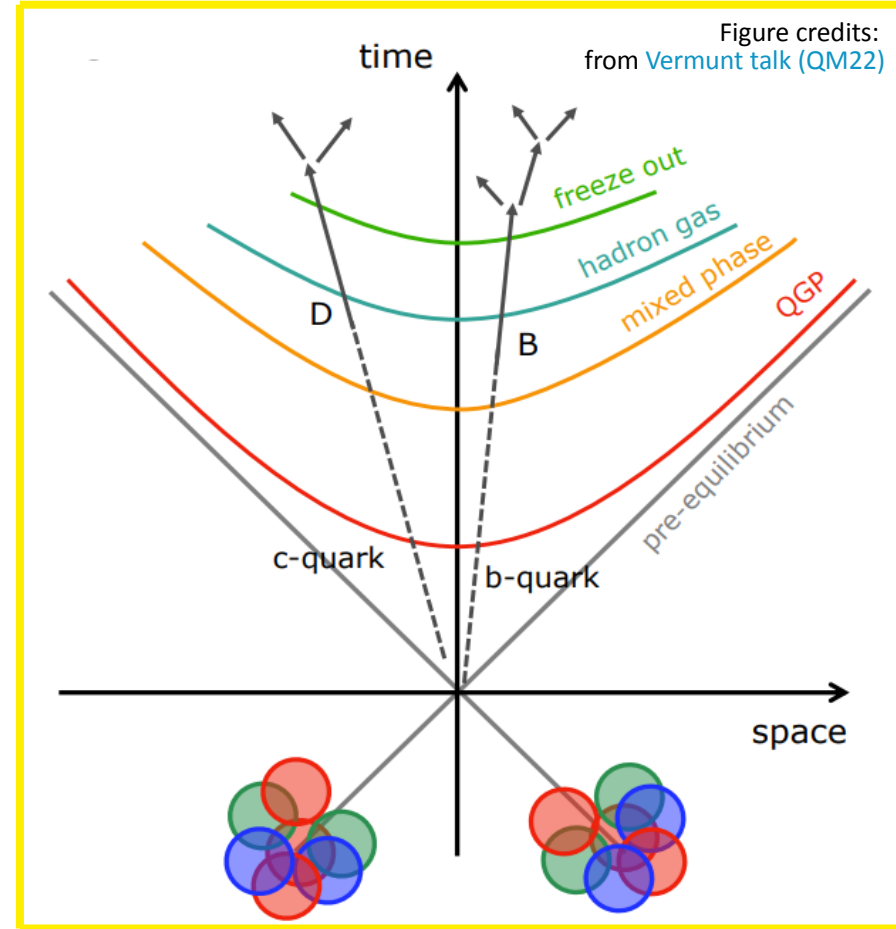
- $m_{c,b} \gg \Lambda_{\text{QCD}}$   
produced by pQCD process (out of equilibrium)
- $m_{c,b} \gg T_0$   
negligible thermal production
- $\tau_0 \ll \tau_{\text{QGP}}$  formation in initial stages of collision
- $\tau_{\text{therm.}} \approx \tau_{\text{QGP}} \gg \tau_{g,q}$  large thermalization time

HQs experience the full QGP evolution  
Carry informations about initial stages, more than light quarks



Recent reviews:

- 1) X.Dong, V. Greco Prog. Part. Nucl. Phys. 104 (2019)
- 2) A.Andronic Eur.Phys.J.C 76 (2016) 3, 107
- 3) F.Prino, R.Rapp, J.Phys.G 43 (2016) 9, 093002



# Heavy flavour Hadronization

*Microscopic approach:*

## Fragmentation:

production from hard-scattering processes (PDF+pQCD).

Fragmentation functions: data parametrization, assumed “universal”

$$\sigma_{pp \rightarrow h} = PDF(x_a, Q^2) PDF(x_b, Q^2) \otimes \sigma_{ab \rightarrow q\bar{q}} \otimes D_{q \rightarrow h}(z, Q^2)$$

Parton shower: String fragmentation(Lund model – PYTHIA)

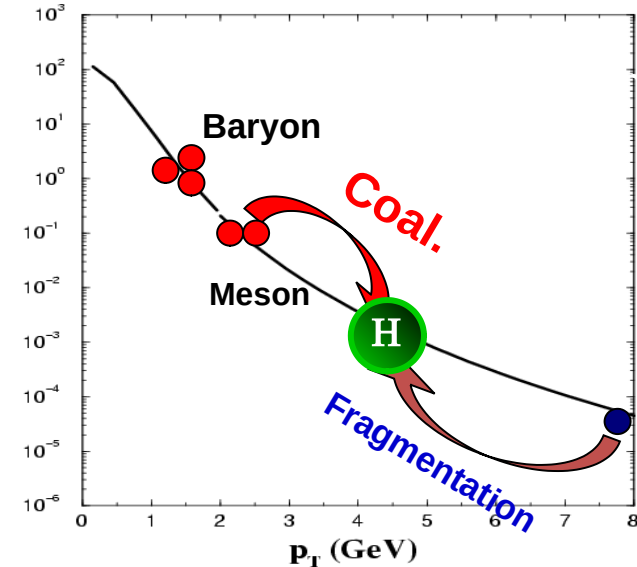
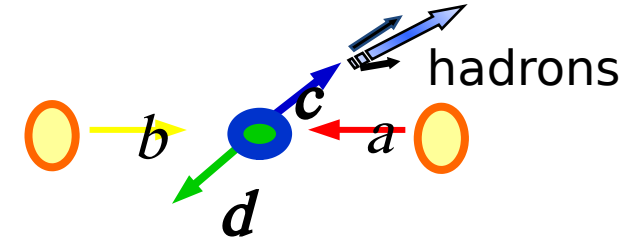
+colour reconnection(interaction from different scattering)

Cluster decay (HERWIG)

**Coalescence:** recombination of partons in QGP close in phase space

$$\frac{dN_{Hadron}}{d^2 p_T} = g_H \int \prod_{i=1}^n p_i \cdot d\sigma_i \frac{d^3 p_i}{(2\pi)^3} f_q(x_i, p_i) f_W(x_1, \dots, x_n; p_1, \dots, p_n) \delta(p_T - \sum_i p_{iT})$$

Have described first AA observations in light sector for the enhanced baryon/meson ratio and elliptic flow splitting



# Catania Model: Coalescence + Fragmentation

Statistical factor colour-spin-isospin

$$\frac{dN_{Hadron}}{d^2 p_T} = g_H \int \prod_{i=1}^n p_i \cdot d\sigma_i \frac{d^3 p_i}{(2\pi)^3} f_q(x_i, p_i) f_W(x_1, \dots, x_n; p_1, \dots, p_n) \delta(p_T - \sum_i p_{iT})$$

Parton Distribution function

Hadron Wigner function

LIGHT

Thermal+flow for **u,d,s** ( $p_T < 3$  GeV)

$$\frac{dN_{q,\bar{q}}}{d^2 p_T} \sim \exp\left(-\frac{\gamma_T - p_T \cdot \beta_T \mp \mu_q}{T}\right)$$

$$\beta(r) = \frac{r}{R} \beta_{max}$$

$$V = \pi R^2 \tau \cosh(y_z), R(\tau_f) = R_0(1 + \beta_{max} \tau_f)$$

$$\text{PbPb@5ATeV(0-10\%): } \tau_f = 8.4 \frac{fm}{c} \rightarrow V_{|y|<0.5} = 4500 fm^3$$

+quenched minijets for **u,d,s** ( $p_T > 3$  GeV)

CHARM

In AA collisions charm distribution from the studies of  $R_{AA}$  and  $v_2$  of **D-meson** to determine the Space Diffusion coefficient:

parton simulations solving relativistic Boltzmann transport equation

Coalescence simulation in a fireball with radial flow for light quarks  $\rightarrow$  dimension set by experimental constraints

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Parton Distribution function

Hadron Wigner function

Wigner function – Wave function

Wigner function width fixed by root-mean-square charge radius from quark model

C.-W. Hwang, EPJ C23, 585 (2002)  
C. Albertus et al., NPA 740, 333 (2004)

$$\Phi_M^W(\mathbf{r}, \mathbf{q}) = \int d^3 r' e^{-i\mathbf{q}\cdot\mathbf{r}'} \phi_M(\mathbf{r} + \frac{\mathbf{r}'}{2}) \phi_M^*(\mathbf{r} - \frac{\mathbf{r}'}{2})$$

$\phi_M(\mathbf{r})$  meson wave function

$$\langle r^2 \rangle_{ch} = \frac{3}{2} \frac{m_2^2 Q_1 + m_1^2 Q_2}{(m_1 + m_2)^2} \sigma_{r1}^2 + \frac{3}{2} \frac{m_3^2 (Q_1 + Q_2) + (m_1 + m_2)^2 Q_3}{(m_1 + m_2 + m_3)^2} \sigma_{r2}^2$$

Assuming gaussian wave function

$$f_H(\dots) = \prod_{i=1}^{N_q-1} A_W \exp\left(-\frac{x_{ri}^2}{\sigma_{ri}^2} - p_{ri}^2 \sigma_{ri}^2\right)$$

$$\sigma_{ri} = 1/\sqrt{\mu_i \omega}$$

$$\mu_1 = \frac{m_1 m_2}{m_1 + m_2}$$

$$\mu_2 = \frac{(m_1 + m_2) m_3}{m_1 + m_2 + m_3}$$

Meson	$\langle r^2 \rangle_{ch}$	$\sigma_{p1}$	$\sigma_{p2}$
$D^+ = [c\bar{d}]$	0.184	0.282	—
$D_s^+ = [\bar{s}c]$	0.083	0.404	—
Baryon	$\langle r^2 \rangle_{ch}$	$\sigma_{p1}$	$\sigma_{p2}$
$\Lambda_c^+ = [udc]$	0.15	0.251	0.424
$\Xi_c^+ = [usc]$	0.2	0.242	0.406
$\Omega_c^0 = [ssc]$	-0.12	0.337	0.53

only one width coming from  $\phi_M(\mathbf{r})$ ,  
constraint  $\sigma_r \sigma_p = 1$

- Normalization of  $f_W(\dots)$  requiring that  $P_{\text{coal}} = 1$  at  $p=0$
- The charm that does not coalesce undergo fragmentation

# Heavy flavour: Resonance decay

Meson	Mass(MeV)	I (J)	Decay modes	B.R.
$D^+ = \bar{d}c$	1869	$\frac{1}{2} (0)$		
$D^0 = \bar{u}c$	1865	$\frac{1}{2} (0)$		
$D_s^+ = \bar{s}c$	2011	$0 (0)$		
Resonances				
$D^{*+}$	2010	$\frac{1}{2} (1)$	$D^0\pi^+; D^+X$	68%,32%
$D^{*0}$	2007	$\frac{1}{2} (1)$	$D^0\pi^0; D^0\gamma$	62%,38%
$D_s^{*+}$	2112	$0 (1)$	$D_s^+X$	100%
Baryon				
$\Lambda_c^+ = udc$	2286	$0 (\frac{1}{2})$		
$\Xi_c^+ = usc$	2467	$\frac{1}{2} (\frac{1}{2})$		
$\Xi_c^0 = dsc$	2470	$\frac{1}{2} (\frac{1}{2})$		
$\Omega_c^0 = ssc$	2695	$0 (\frac{1}{2})$		
Resonances				
$\Lambda_c^+$	2595	$0 (\frac{1}{2})$	$\Lambda_c^+\pi^+\pi^-$	100%
$\Lambda_c^+$	2625	$0 (\frac{3}{2})$	$\Lambda_c^+\pi^+\pi^-$	100%
$\Sigma_c^+$	2455	$1 (\frac{1}{2})$	$\Lambda_c^+\pi$	100%
$\Sigma_c^+$	2520	$1 (\frac{3}{2})$	$\Lambda_c^+\pi$	100%
$\Xi_c^{\prime+0}$	2578	$\frac{1}{2} (\frac{1}{2})$	$\Xi_c^{\prime+0}\gamma$	100%
$\Xi_c^+$	2645	$\frac{1}{2} (\frac{3}{2})$	$\Xi_c^+\pi^-$ ,	100%
$\Xi_c^+$	2790	$\frac{1}{2} (\frac{1}{2})$	$\Xi_c^+\pi$ ,	100%
$\Xi_c^+$	2815	$\frac{1}{2} (\frac{3}{2})$	$\Xi_c^+\pi$ ,	100%
$\Omega_c^0$	2770	$0 (\frac{3}{2})$	$\Omega_c^0\gamma$ ,	100%

In our calculations we take into account hadronic channels including the ground states + first excited states

**Statistical factor suppression for resonances**

$$\frac{[(2J+1)(2I+1)]_{H^*}}{[(2J+1)(2I+1)]_H} \left( \frac{m_{H^*}}{m_H} \right)^{3/2} e^{-(m_{H^*}-m_H)/T}$$

# Catania Model: Coalescence + Fragmentation

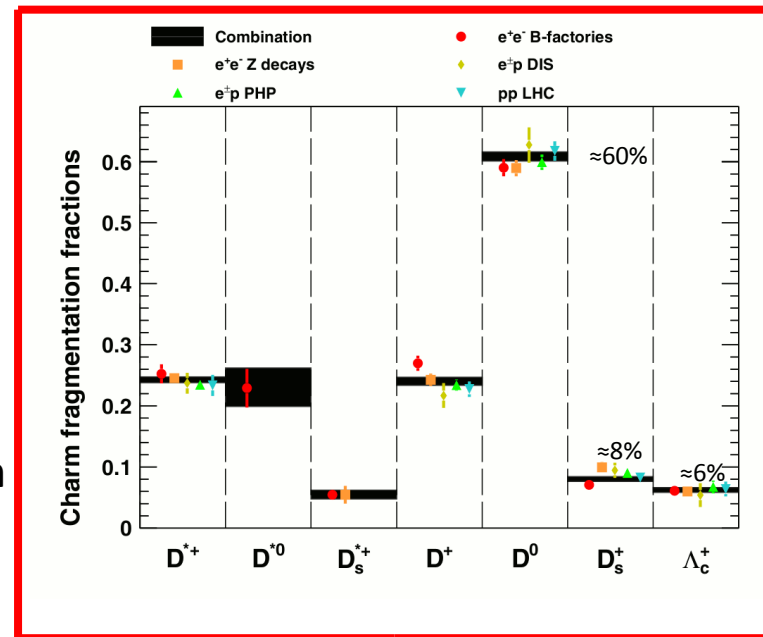
$$\frac{dN_h}{d^2 p_h} = \sum_f \int dz \frac{dN_f}{d^2 p_f} D_{f \rightarrow h}(z)$$

*Fragmentation function*

**Fixed-Order plus Next-to-Leading-Log (FONLL) distribution function**

M. Cacciari, P. Nason, R. Vogt, PRL 95 (2005) 122001

## In AA: bulk+charm evolution with Relativistic Transport Boltzmann Equation



M. Lisovskyi, et al. EPJ C76 (2016) no.7, 397

## Peterson fragmentation function

C. Peterson, D. Schaller, I. Schmitt, P.M. Zerwas PRD 27 (1983) 105

$$D_{f \rightarrow h}(z) \propto \frac{1}{z \left[ 1 - \frac{1}{z} - \frac{\epsilon}{1-z} \right]^2}$$

## Charm Fragmentation Fraction (c → h)

Measurement in  $e^\pm p$ ,  $e^+ e^-$  and old  $pp$  data

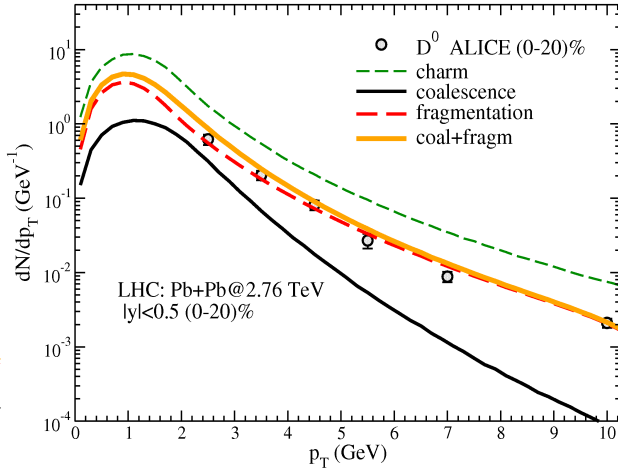
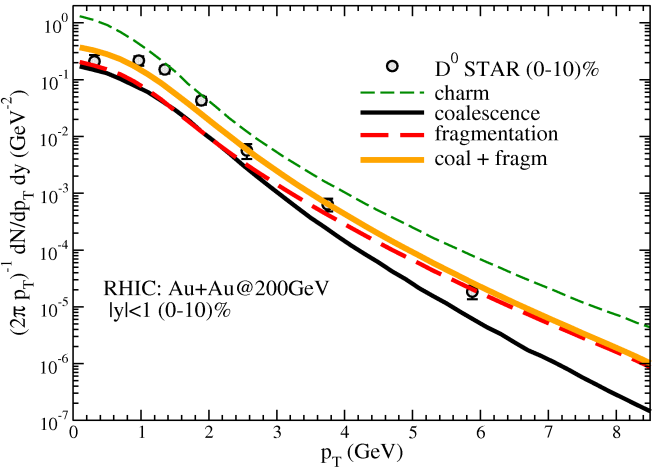
$$\left( \frac{\Lambda_c^+}{D^0} \right)_{e^+ e^- pp} \simeq 0.1 \qquad \left( \frac{D_s^+}{D^0} \right)_{e^+ e^- pp} \simeq 0.13$$



# AA @ RHIC & LHC

wave function widths  $\sigma_p$  of baryon and mesons are the same at RHIC and LHC!

Data from ALICE Coll. JHEP 09 (2012) 112

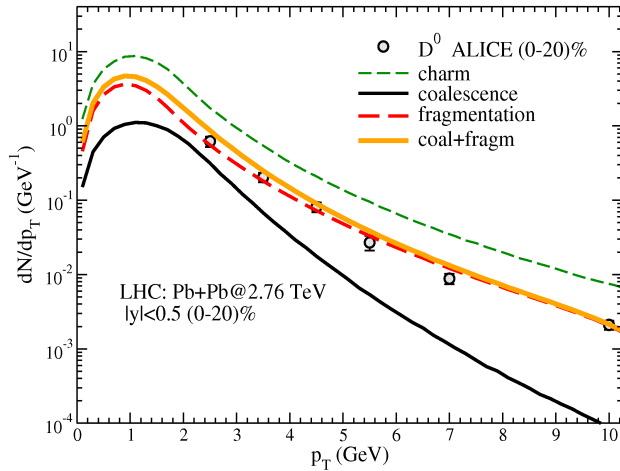
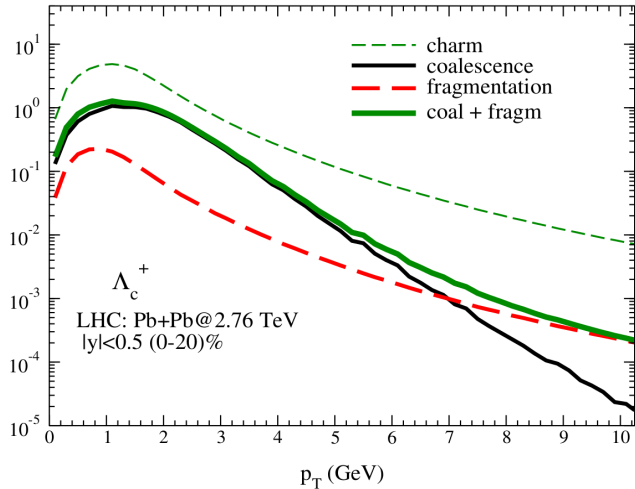


## $D^0$

Coalescence contribution is smaller at LHC w.r.t. RHIC:  
-effect of the slope in  $p_T$

wave function widths  $\sigma_p$  of baryon and mesons are the same at RHIC and LHC!

Data from ALICE Coll. JHEP 09 (2012) 112



Only Coalescence ratio is similar at both energies.

Fragmentation  $\sim 0.1$  at both energies.

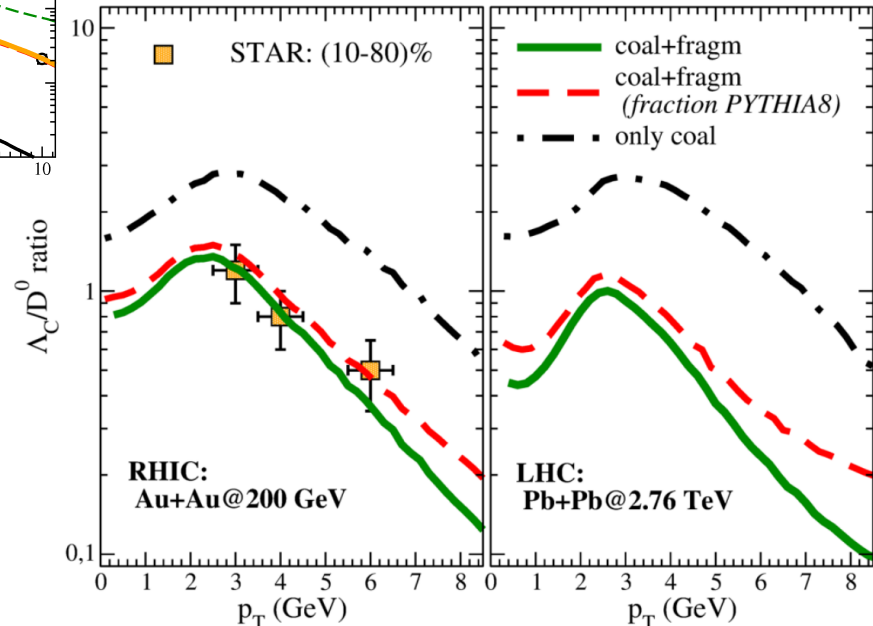
the **combined ratio is different** because the coalescence over fragmentation ratio at LHC is smaller than at RHIC

Therefore at LHC the larger contribution in particle production from fragmentation leads to a final ratio that is smaller than at RHIC.

$$\Lambda_c/D^0$$

## D<sup>0</sup>

Coalescence contribution is smaller at LHC w.r.t. RHIC:  
-effect of the slope in  $p_T$

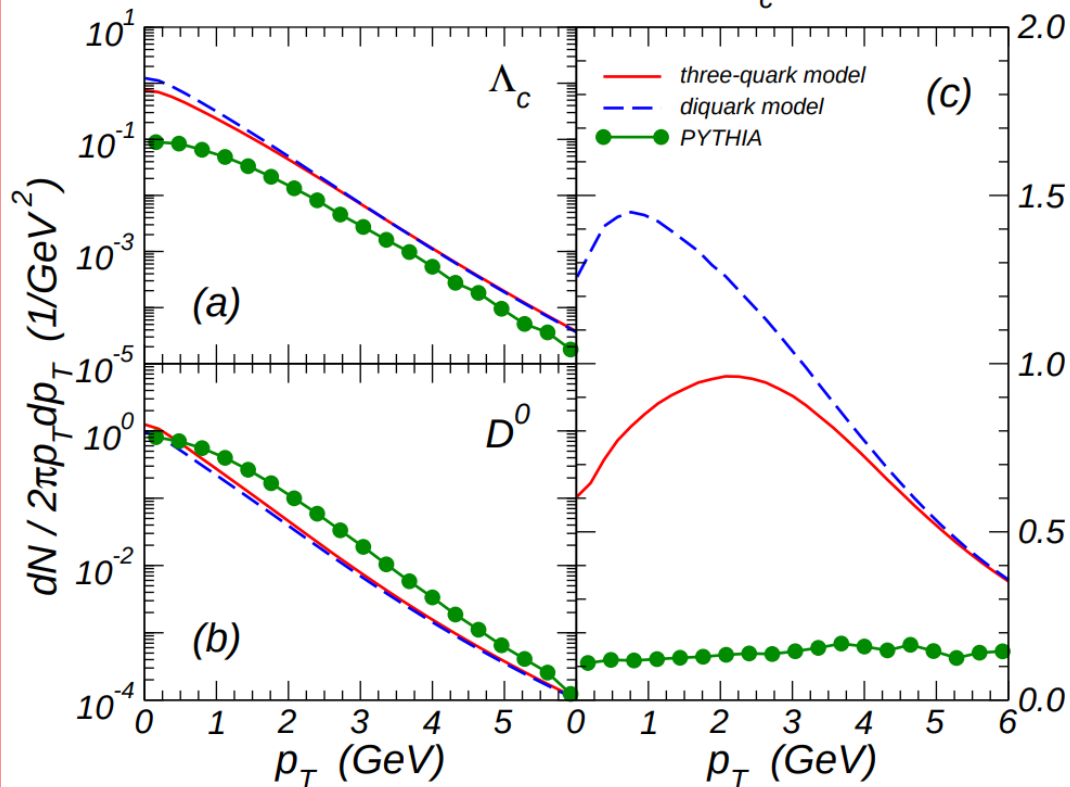


STAR Coll., Phys.Rev.Lett. 124 (2020) 17, 172301

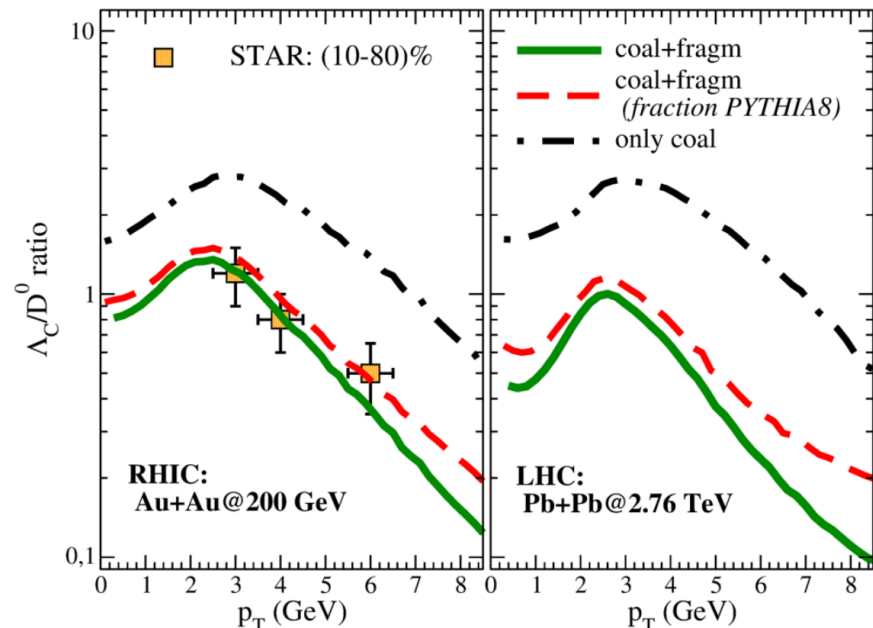
S. Plumari, V. Minissale et al., Eur. Phys. J. C78 no. 4, (2018) 348

RHIC@200GeV

$\Lambda_c / D^0$



First prediction about baryon over meson ratio in charm sector by Oh,Ko,Lee,Yasui Phys.Rev.C 79 (2009) 044905



STAR Coll., Phys.Rev.Lett. 124 (2020) 17, 172301

S. Plumari, V. Minissale et al., Eur. Phys. J. C78 no. 4, (2018) 348

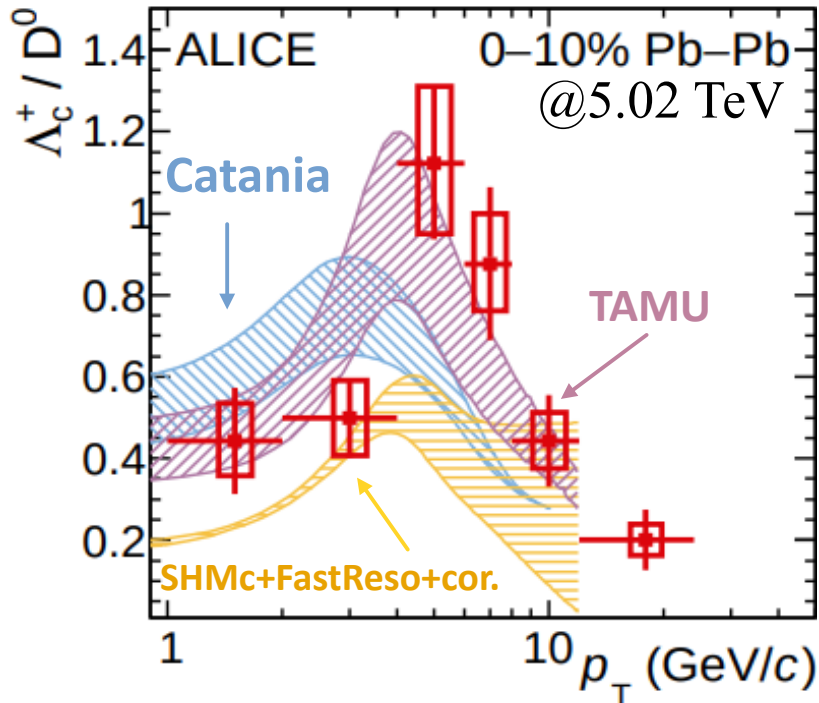
# AA @ RHIC & LHC

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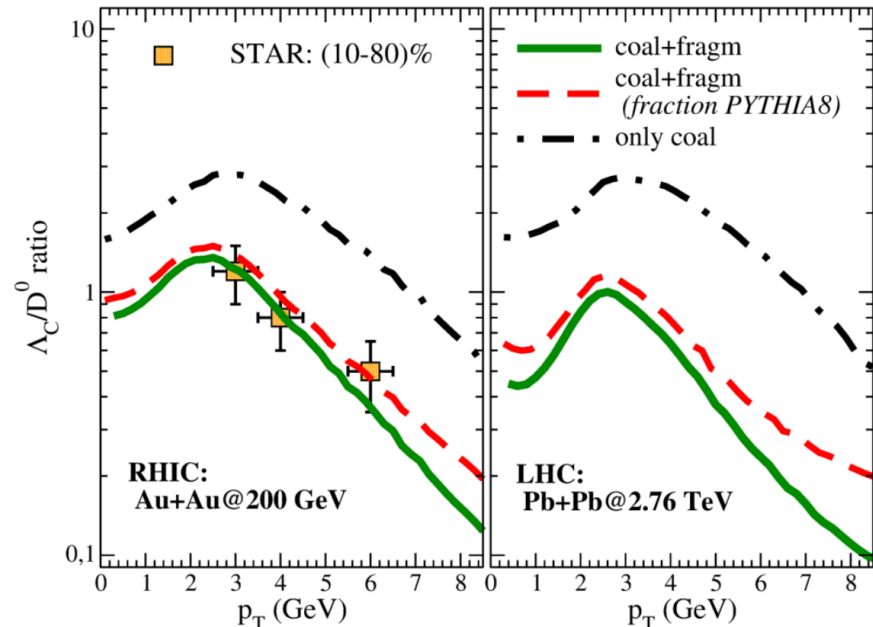
Results for 0-10% in PbPb @5.02TeV:

Consistent with the trend shown at RHIC and LHC @2.76TeV

Available data at low  $p_T \rightarrow$  differences recombination vs SHM



ALICE Coll. arXiv:2112.08156v1



STAR Coll., Phys.Rev.Lett. 124 (2020) 17, 172301

S. Plumari, V. Minissale et al., Eur. Phys. J. C78 no. 4, (2018) 348

# **Baryons in Resonance Recombination Model (RRM - TAMU)**

The 3-body hadronization process in RRM are conducted in 2 steps

## **STEP 1**

quark-1 and quark-2 recombine into a diquark,

$$q_1(p_1) + q_2(p_2) \rightarrow dq(p_{12})$$

The diquark spectrum in analogy to meson formation

## **STEP 2**

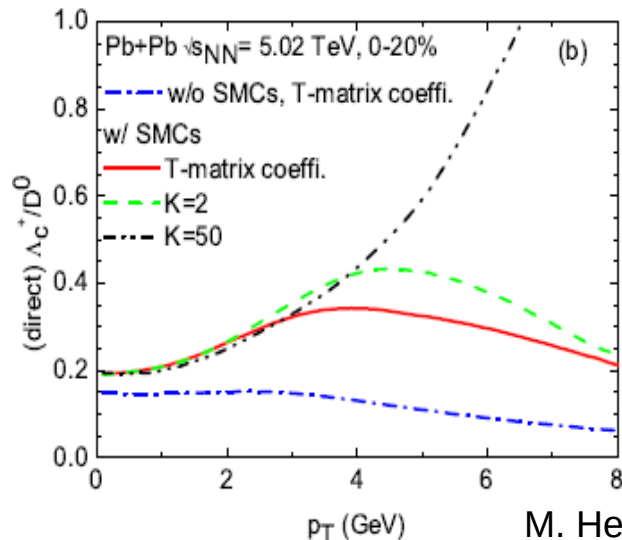
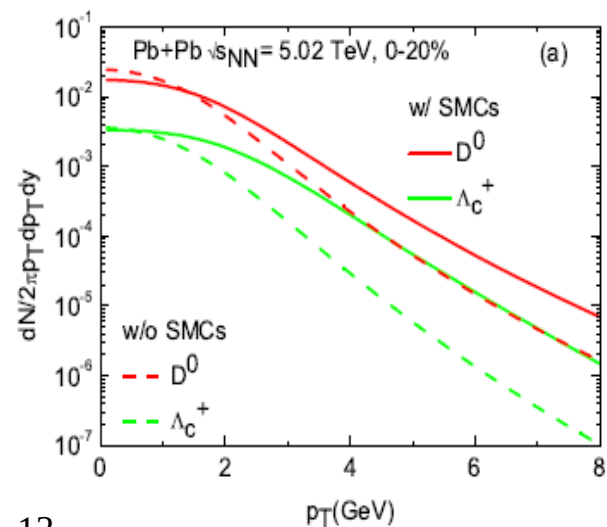
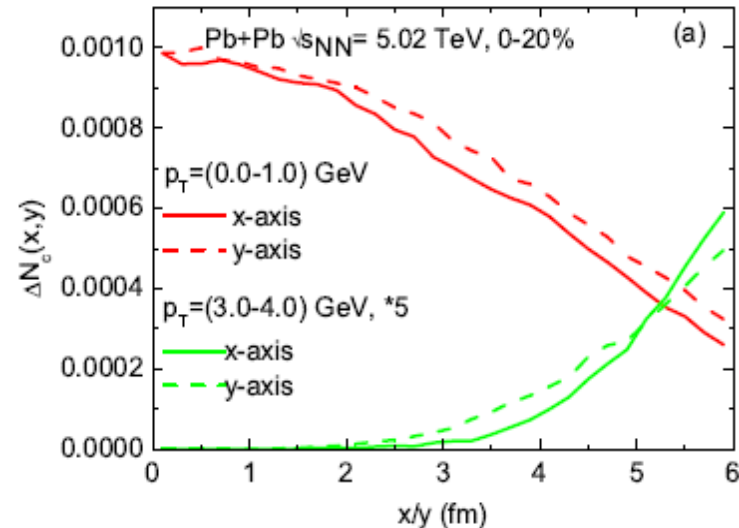
the diquark recombines with quark-3 into a baryon

$$dq_1(p_{12}) + q_3(p_3) \rightarrow B$$

The baryon spectrum in analogy to meson formation

$$f_B(\vec{x}, \vec{p}) = \frac{\gamma_B}{\Gamma_B} \int \frac{d^3\vec{p}_1 d^3\vec{p}_2 d^3\vec{p}_3}{(2\pi)^6} \frac{\gamma_{dq}}{\Gamma_{dq}} f_1(\vec{x}, \vec{p}_1) f_2(\vec{x}, \vec{p}_2)$$

$$\times f_3(\vec{x}, \vec{p}_3) \sigma_{dq}(s_{12}) v_{rel}^{12} \sigma_B(s) v_{rel}^{dq3} \delta^3(\vec{p} - \vec{p}_1 - \vec{p}_2 - \vec{p}_3)$$



## **Space-momentum correlation**

**$p_T=0-1\text{GeV}$** : c quarks preferentially populate the inner regions of the fireball

**$p_T=3-4\text{GeV}$** : c quarks populate the outer regions of the fireball

# Baryons in Resonance Recombination Model (RRM - TAMU)

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The diquark spectrum in analogy to meson formation

## STEP 2

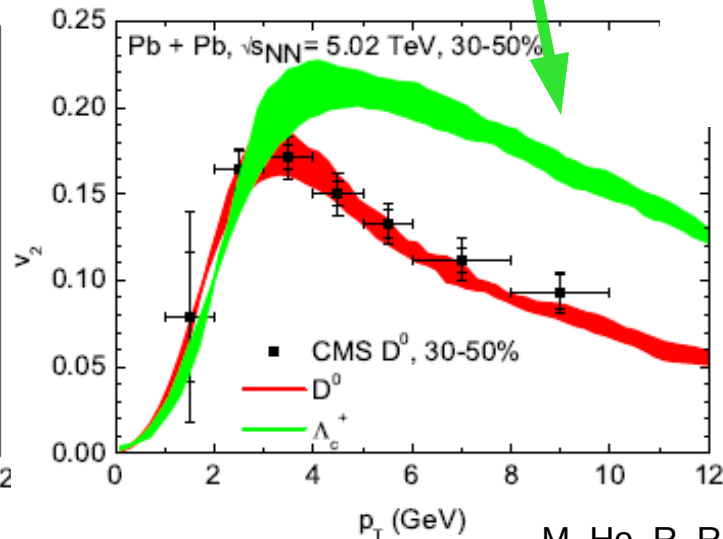
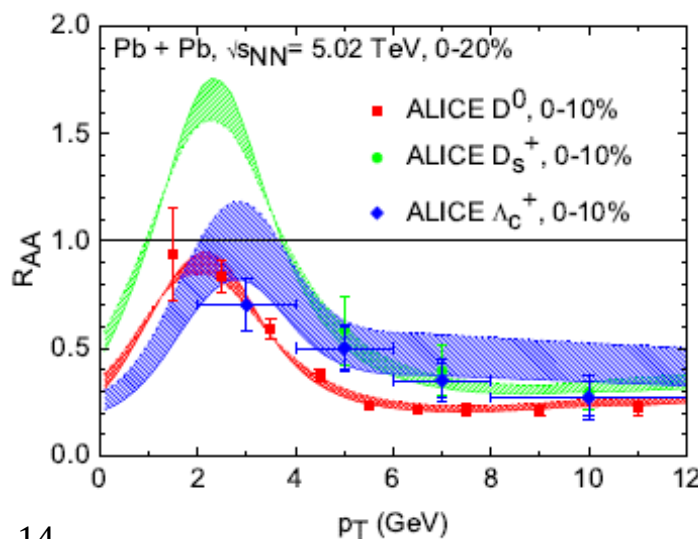
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The baryon spectrum in analogy to meson formation

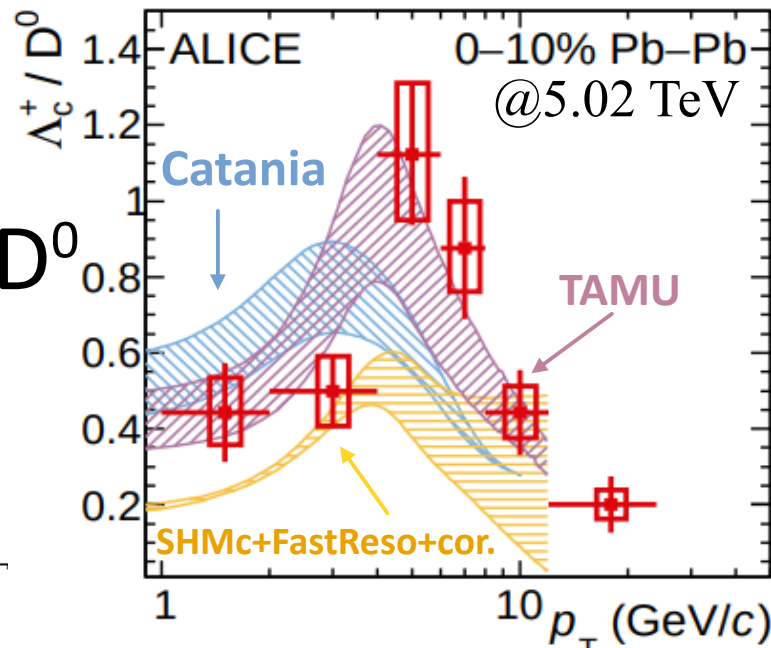
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$$\times f_3(\vec{x}, \vec{p}_3) \sigma_{dq}(s_{12}) v_{rel}^{12} \sigma_B(s) v_{rel}^{dq3} \delta^3(\vec{p} - \vec{p}_1 - \vec{p}_2 - \vec{p}_3)$$



$$\Lambda_c/D^0$$

Elliptic flow splitting between baryon and meson



HF hadro-chemistry improved by employing a large set of "missing" HF baryon states not listed by PDG, but predicted by the relativistic-quark model

PDG:  $5\Lambda_c, 3\Sigma_c, 8\Xi_c, 2\Omega_c$

RQM:  $18\Lambda_c, 42\Sigma_c, 62\Xi_c, 34\Omega_c$

## Instantaneous coalescence model

### Mesons

$$\frac{dN_M}{d^3p_M} = \int d^3p_1 d^3p_2 \frac{dN_1}{d^3p_1} \frac{dN_2}{d^3p_2} f_M^W(\vec{p}_1, \vec{p}_2) \delta(\vec{p}_M - \vec{p}_1 - \vec{p}_2) \quad f_M^W(q^2) = g_M \frac{(2\sqrt{\pi}\sigma)^3}{V} e^{-q^2\sigma^2} \quad \vec{q} \equiv \frac{E_2^{\text{cm}}\vec{p}_1^{\text{cm}} - E_1^{\text{cm}}\vec{p}_2^{\text{cm}}}{E_1^{\text{cm}} + E_2^{\text{cm}}}$$

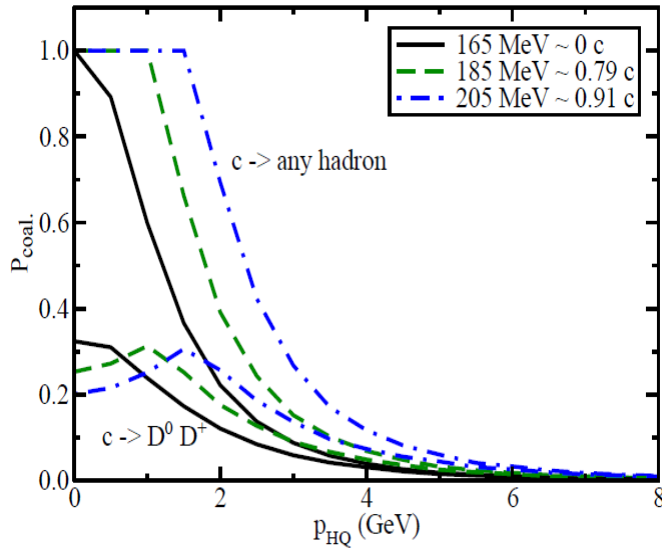
### Baryons

$$\frac{dN_B}{d^3p_B} = \int d^3p_1 d^3p_2 d^3p_3 \frac{dN_1}{d^3p_1} \frac{dN_2}{d^3p_2} \frac{dN_3}{d^3p_3} f_B^W(\vec{p}_1, \vec{p}_2, \vec{p}_3) \times \delta(\vec{p}_M - \vec{p}_1 - \vec{p}_2 - \vec{p}_3)$$

$$f_B^W(q_1^2, q_2^2) = g_B \frac{(2\sqrt{\pi})^6 (\sigma_1 \sigma_2)^3}{V^2} e^{-q_1^2 \sigma_1^2 - q_2^2 \sigma_2^2}$$

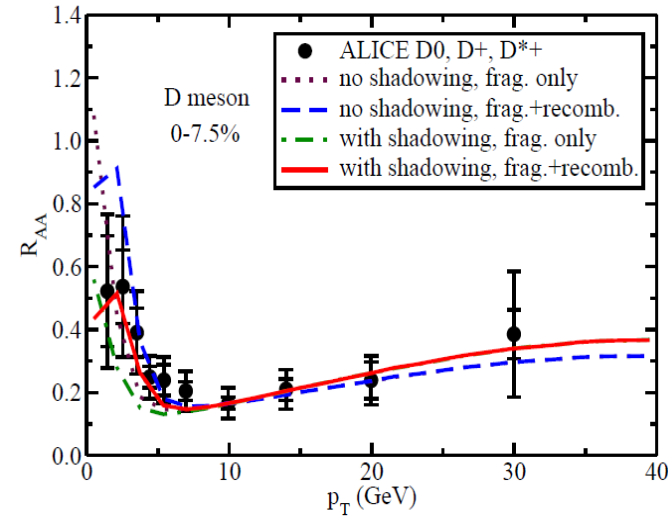
$$\vec{q}_1 \equiv \frac{E_2^{\text{cm}}\vec{p}_1^{\text{cm}} - E_1^{\text{cm}}\vec{p}_2^{\text{cm}}}{E_1^{\text{cm}} + E_2^{\text{cm}}}, \quad \vec{q}_2 \equiv \frac{E_3^{\text{cm}}(\vec{p}_1^{\text{cm}} + \vec{p}_2^{\text{cm}}) - (E_1^{\text{cm}} + E_2^{\text{cm}})\vec{p}_3^{\text{cm}}}{E_1^{\text{cm}} + E_2^{\text{cm}} + E_3^{\text{cm}}}$$

Harmonic oscillator relation  
 $\sigma_{ri} = 1/\sqrt{\mu_i \omega}$   
 $\mu_1 = \frac{m_1 m_2}{m_1 + m_2}, \quad \mu_2 = \frac{(m_1 + m_2) m_3}{m_1 + m_2 + m_3}$



**Hadron Wigner functions are averaged over the position space**

Shadowing in the low momentum region, big effect on  $R_{AA}$





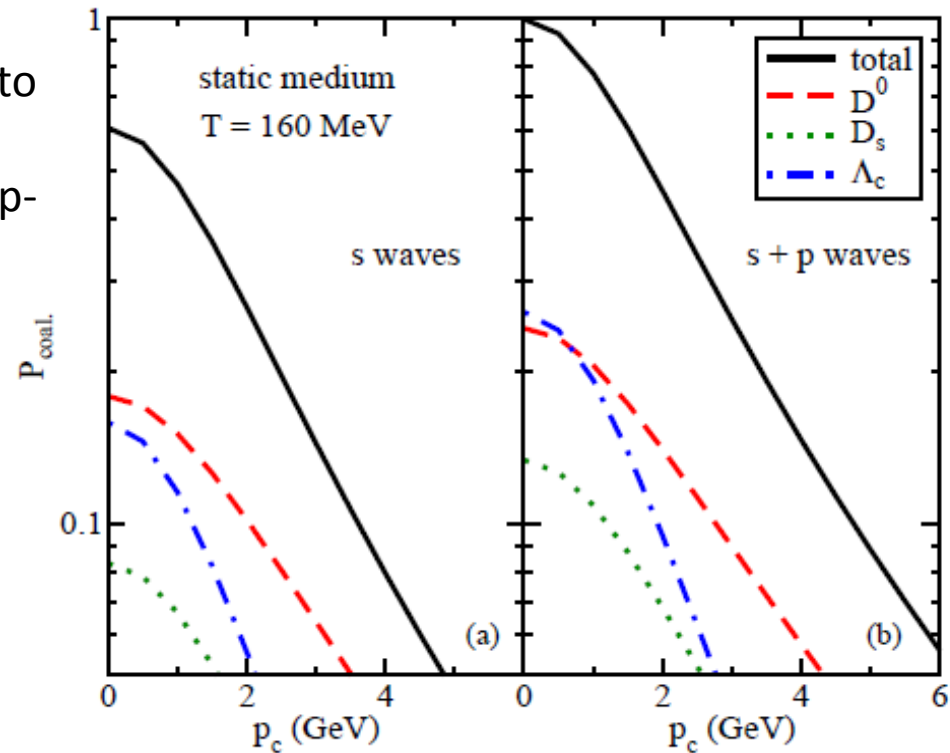
$$f_h(\mathbf{p}'_h) = \int \left[ \prod_i d\mathbf{p}_i f_i(\mathbf{p}_i) \right] W(\{\mathbf{p}_i\}) \delta(\mathbf{p}'_h - \sum_i \mathbf{p}_i)$$

- The quark wave functions in the meson is assumed to be those of a harmonic oscillator potential
- The Wigner functions for mesons are in the s and p-wave states

$$W_s = g_h \frac{(2\sqrt{\pi}\sigma)^3}{V} e^{-\sigma^2 \mathbf{k}^2},$$

$$W_p = g_h \frac{(2\sqrt{\pi}\sigma)^3}{V} \frac{2}{3} \sigma^2 \mathbf{k}^2 e^{-\sigma^2 \mathbf{k}^2}$$

The oscillator frequency is fixed to impose that the total coalescence probability for zero-momentum charm quark is equal to 1 when s and p states are included.

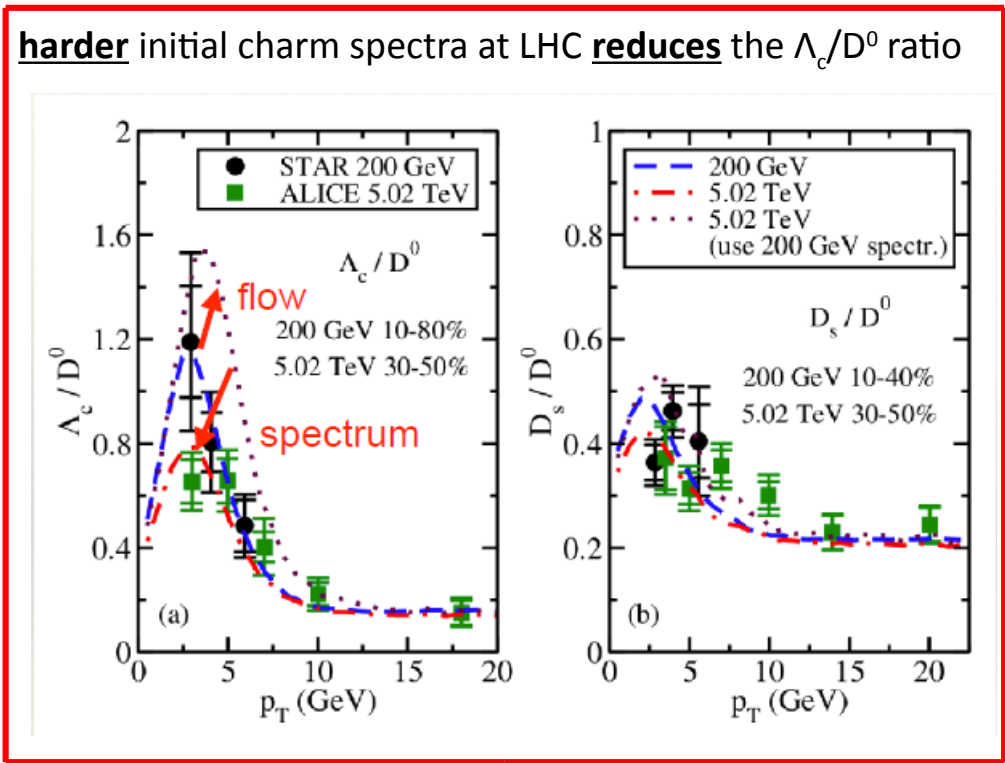
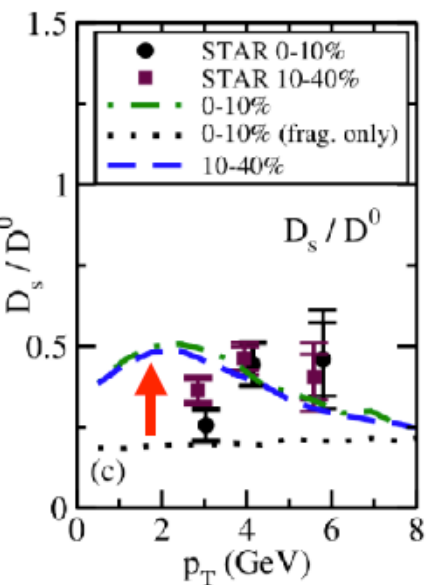
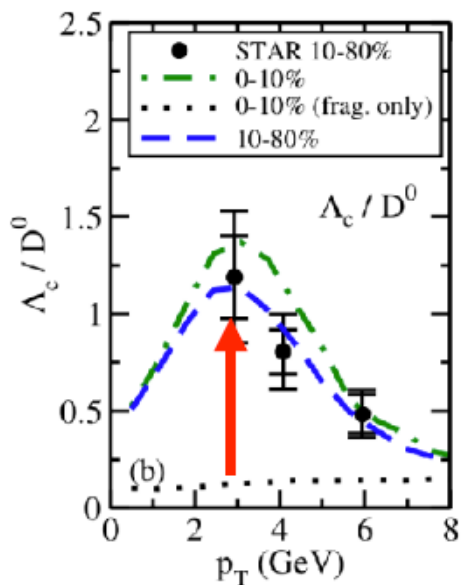
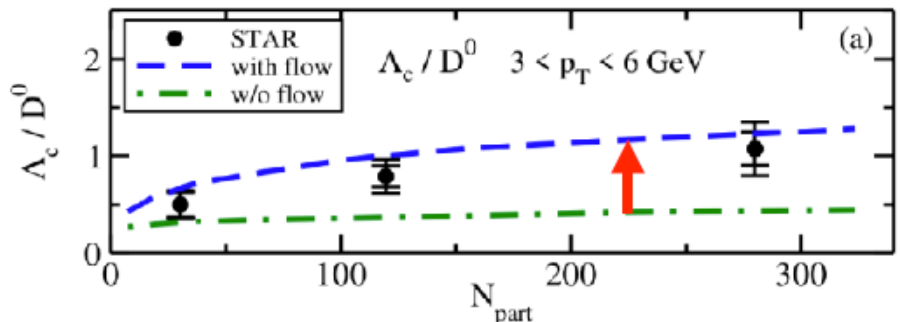


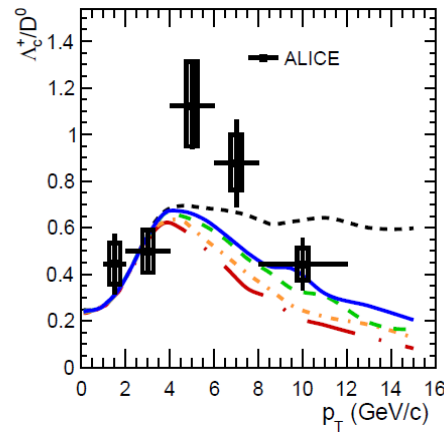
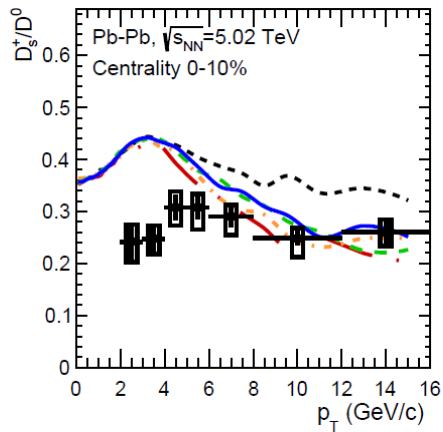
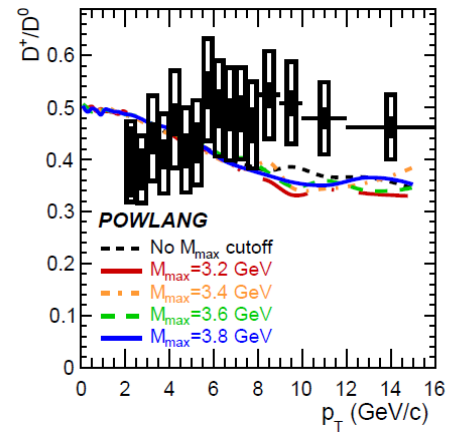


**s+p waves resonances**

S. Cao, K. Sun, S. Li, S. Liu, W. Xing, G. Qin, and C. Ko, PLB 807 (2020) 135561.  
 F. Liu, W. Xing, X. Wu, G. Qin, S. Cao, and X. Wang, EPJC 82 (2022) 4, 350.

**Stronger QGP flow boost on heavier hadrons**  
**=> increasing  $\Lambda_c/D^0$  ratio with  $N_{part}$**

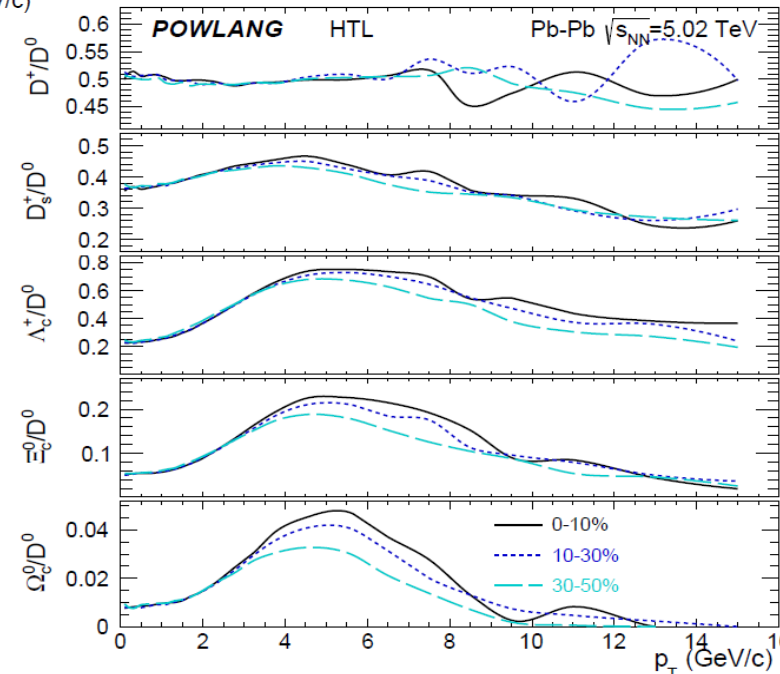




HQ hadronization in the presence of a reservoir of lighter thermal particles:

Recombination of the HQ with light antiquark or diquarks:

- Color-singlet clusters with low invariant mass  $M$  ( $M < 4$  GeV) are assumed to undergo an isotropic 2-body decay in their local rest-frame.
- Heavier clusters are instead fragmented as Lund strings.
- Recombination with light diquarks  $\rightarrow$  enhances the yields of charmed baryons.
- The local color neutralization  $\rightarrow$  strong space-momentum correlation  $\rightarrow$  enhancement of the collective flow of the final charmed hadrons



# Statistical Thermal Model (SHM) + charm(SHM<sub>c</sub>)

## grand canonical partition function

$$\ln Z_i = \frac{V g_i}{2 \pi^2} \int_0^\infty \pm p^2 dp \ln [1 \pm \exp(-(E_i - \mu_j)/T)]$$

chemical potential  $\leftrightarrow$   
 conservation quantum numbers  
 ( $N_B, N_s, N_c$ )

## Equilibrium + hadron-resonance gas + freeze-out temperature.

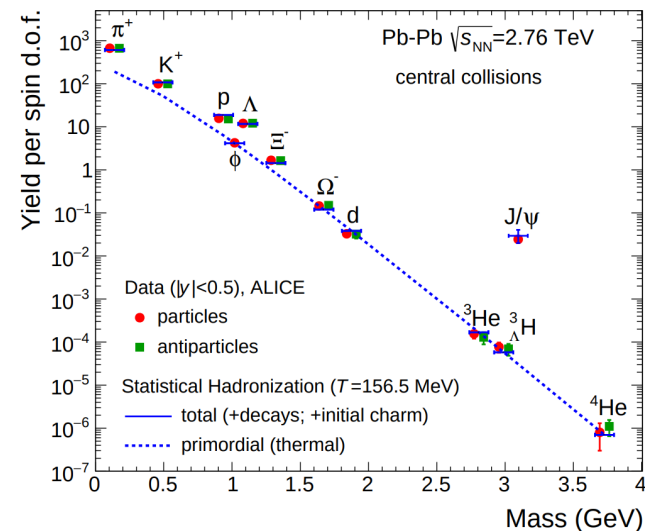
Production depends on hadron masses and degeneracy, and on system properties.

## Charm hadrons according to thermal weights

the total charm content of the fireball is fixed by the measured open charm cross section.

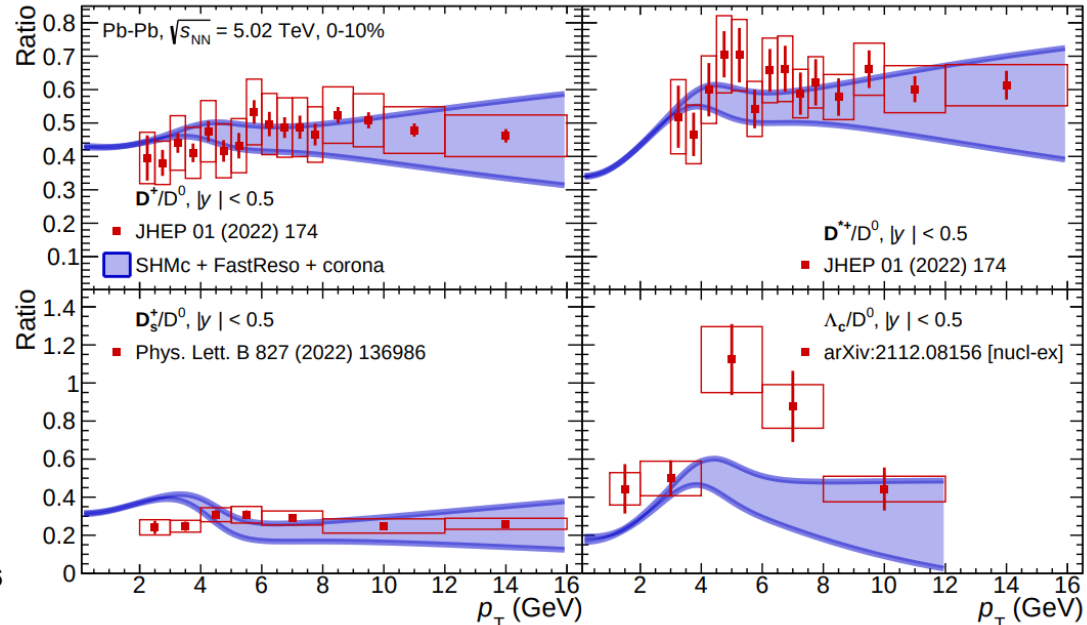
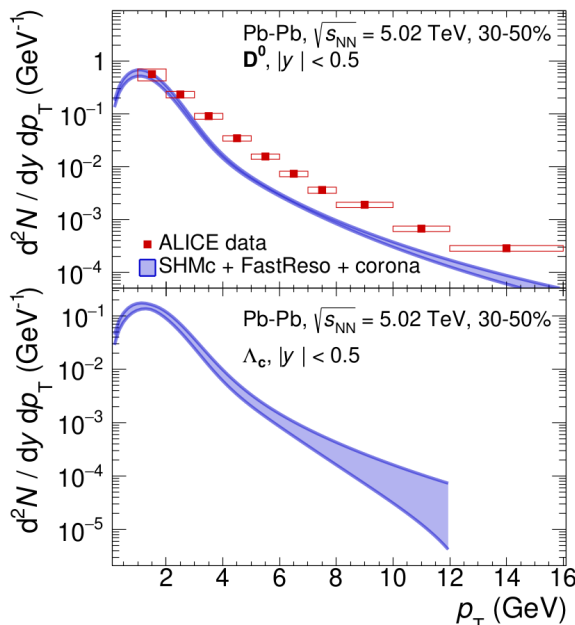
$$N_{c\bar{c}}^{dir} = \frac{1}{2} g_c V \left( \sum_i n_{D_i}^{th} + n_{\Lambda_{ci}}^{th} \right) + g_c^2 V \left( \sum_i n_{\psi_i}^{th} + n_{\chi_i}^{th} \right)$$

pQCD production  $N_{c,anti-c} = 9.6 \rightarrow g_c = 30.1$  (charm fugacity)



Andronic et al.,  
 JHEP 07 (2021) 035

SHM<sub>c</sub> yields+blast wave  
 $\rightarrow p_T$  spectra



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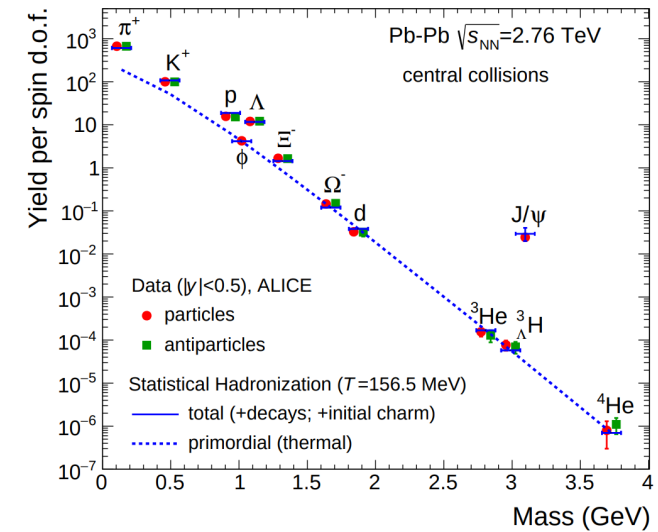
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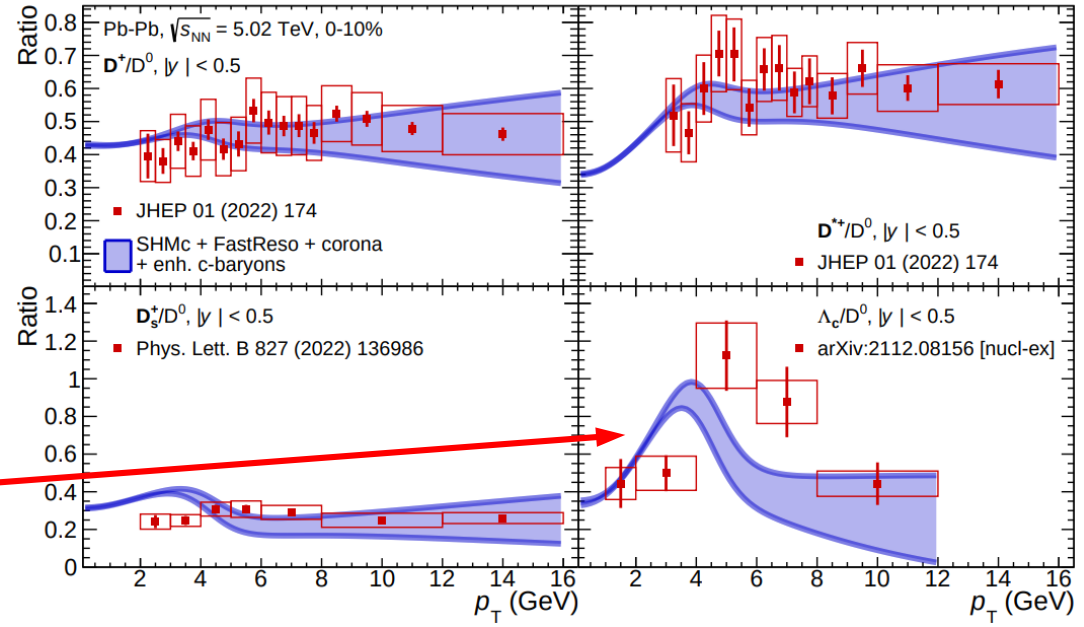
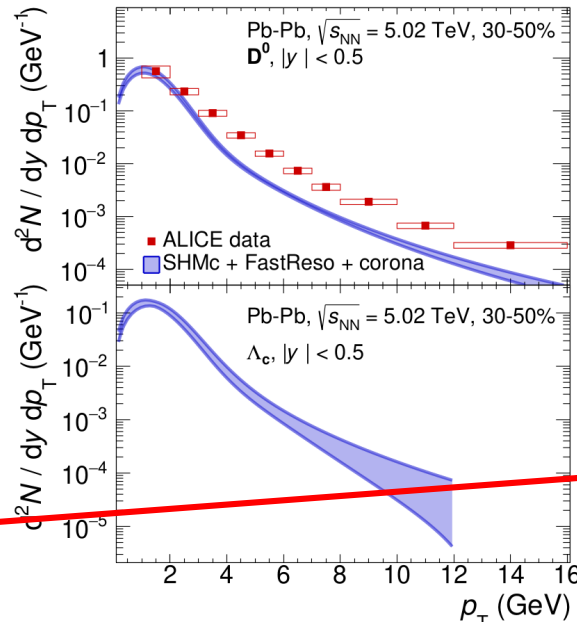
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With enhanced set  
 of charmed baryons



# Small systems: Coalescence in pp?

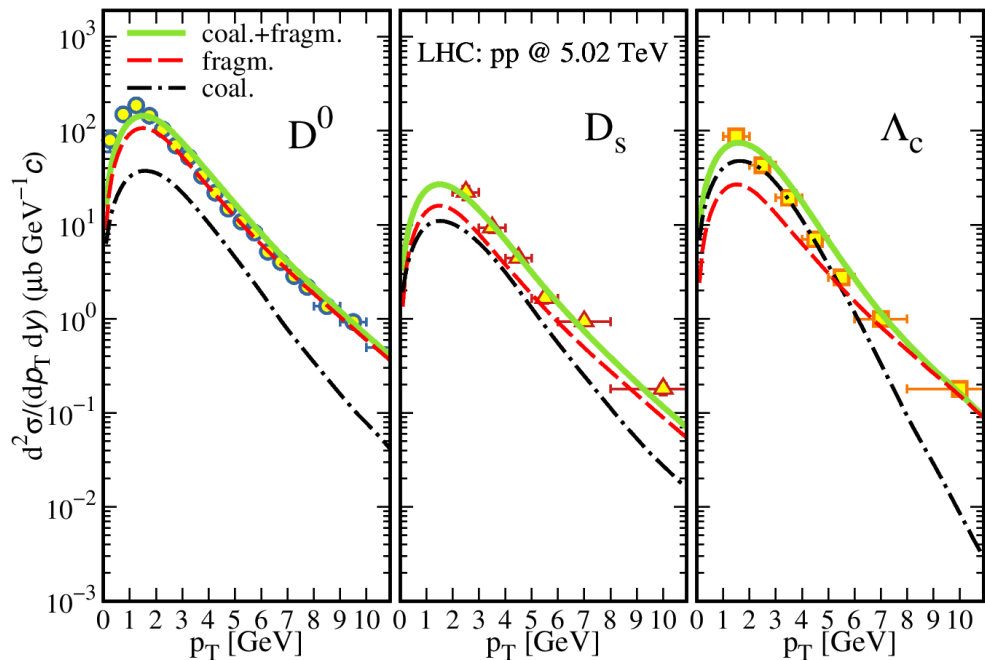
What if:

- Assuming QGP formation also in pp?
- What coalescence+fragmentation predicts in this case?

*If we assume in p+p @ 5 TeV a medium similar to the one simulated in hydro:*

**p+p @ 5 TeV**

- $\tau_{pp}=2$  fm/c
- $\beta_0=0.4$
- $R=2.5$  fm
- $V\sim 30$  fm<sup>3</sup>



Data from:

*S. Acharya et al. (ALICE), Eur. Phys. J. C 79, 388 (2019)*

*ALICE Coll., Phys.Rev.Lett. 127 (2021) 20, 202301 - Phys.Rev.C 104 (2021) 5, 054905*

■ Thermal Distribution ( $p_T < 2$  GeV)

LIGHT

$$\frac{dN_q}{d^2 r_T d^2 p_T} = \frac{g_q \tau m_T}{(2\pi)^3} \exp\left(-\frac{y_T(m_T - p_T \cdot \beta_T)}{T}\right)$$

■ Minijet Distribution ( $p_T > 2$  GeV)  
NO QUENCHING

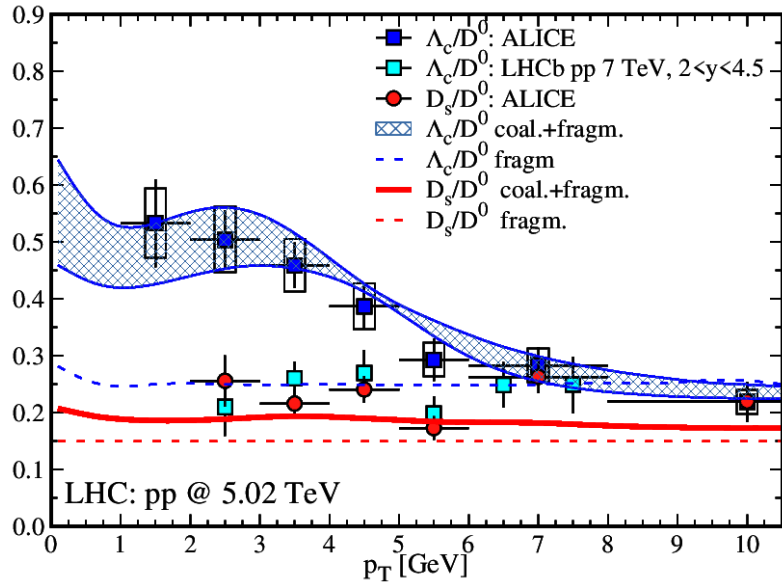
CHARM

FONLL Distribution

**wave function widths  $\sigma_p$  of baryon and mesons kept the same from AA to pp**

# Small systems: Coalescence in pp?

V. Minissale, S. Plumari, V. Greco, *Physics Letters B* 821 (2021) 136622

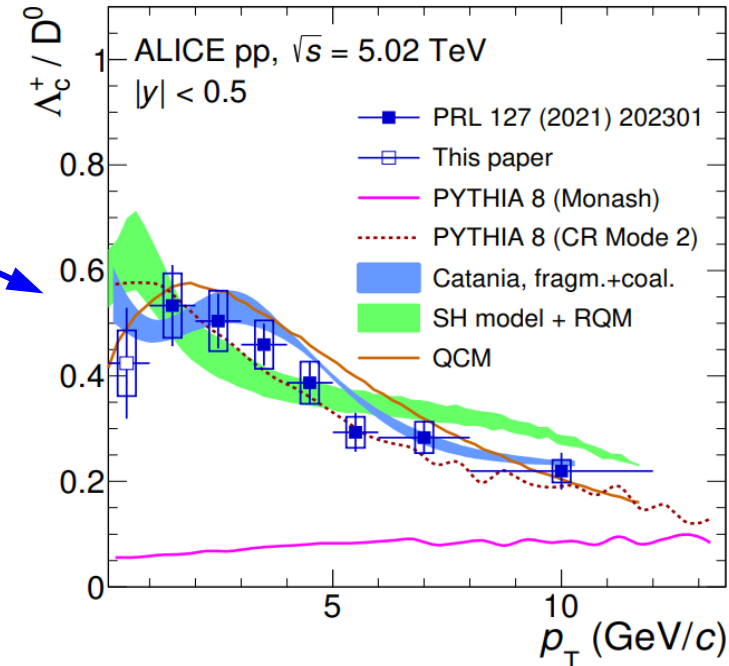


Reduction of rise-and-fall behaviour in  $\Lambda_c / D^0$  ratio:

- Confronting with AA: Coal. contribution smaller w.r.t. Fragm.
- FONLL distribution flatter w/o evolution trough QGP
- Volume size effect

ALICE, *Phys.Rev.Lett.* 127 (2021) 20, 202301  
ALICE,CERN-EP-2022-261, arXiv:2211.14032 (sub. to PRC)

new low  $p_T$  point

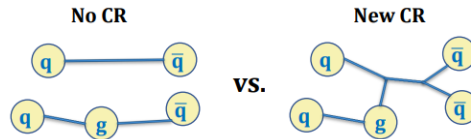


Error band correspond to  $\langle r^2 \rangle$  uncertainty in quark model

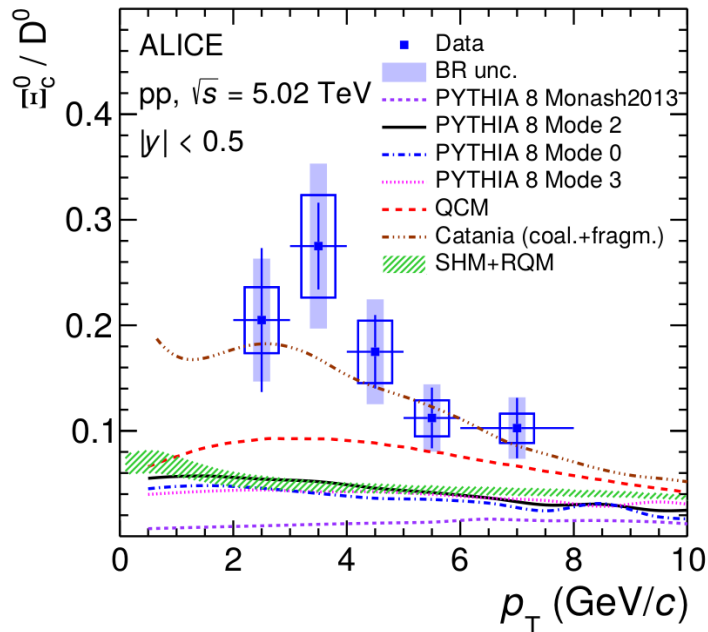
## Other models:

**He-Rapp, *Phys.Lett.B* 795 (2019) 117-121:** Increase  $\approx 2$  to  $\Lambda_c$  production: SHM with resonance not present in PDG

**PYTHIA8 + color reconnection**  
CR with SU(3) weights and string length minimization



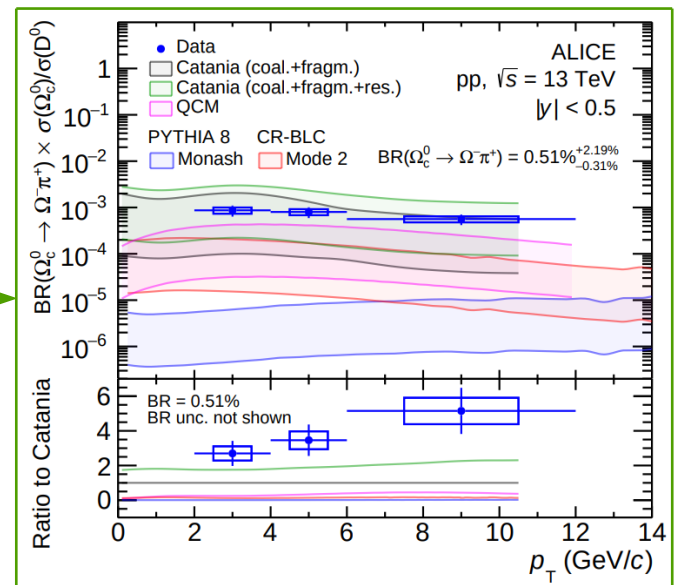
# Small systems: Coalescence in pp?



## New measurements of heavy hadrons at ALICE:

- $\Xi_c / D^0$  ratio, same order of  $\Lambda_c / D^0$ : coalescence gives enhancement
- very large  $\Omega_c / D^0$  ratio, our model does not get the big enhancement

Uncertainties bands coming from the Branching Ratio error

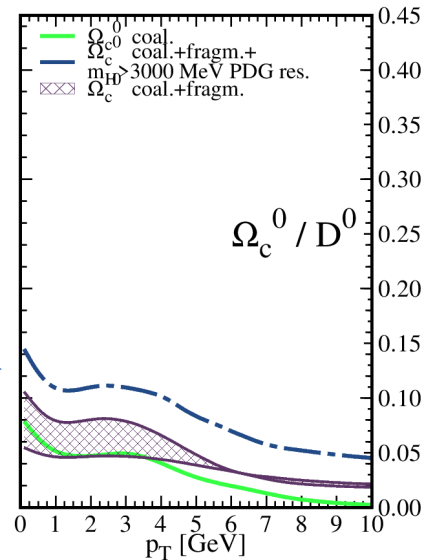


Assuming additional PDG resonances with  $J=3/2$  and decay to  $\Omega_c$  additional to  $\Omega_c^0(2770)$

$\Omega_c^0(3000), \Omega_c^0(3005), \Omega_c^0(3065), \Omega_c^0(3090), \Omega_c^0(3120)$

supply an idea of how these states may affect the ratio

Error band correspond to  $\langle r^2 \rangle$  uncertainty in quark model



ALICE Coll. JHEP 10 (2021) 159  
ALICE Coll. arXiv:2205.13993

V. Minissale, S. Plumari, V. Greco, Physics Letters B 821 (2021) 136622

Thank you