

*A positive-definite formulation of tunneling
& Curvature perturbation from first-order phase transitions*



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Focus workshop@IBS, 2025/11/23*



collaborators

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Jose Ramon Espinosa, Thomas Konstandin, Shogo Matake, Taiga Miyachi

[Franciolini, RJ, Gouttenoire 2503.01962]

[Ellor, RJ, Kumar, McGehee, Tsai PRL 133 (2024) 21, 211003, 2311.16222]

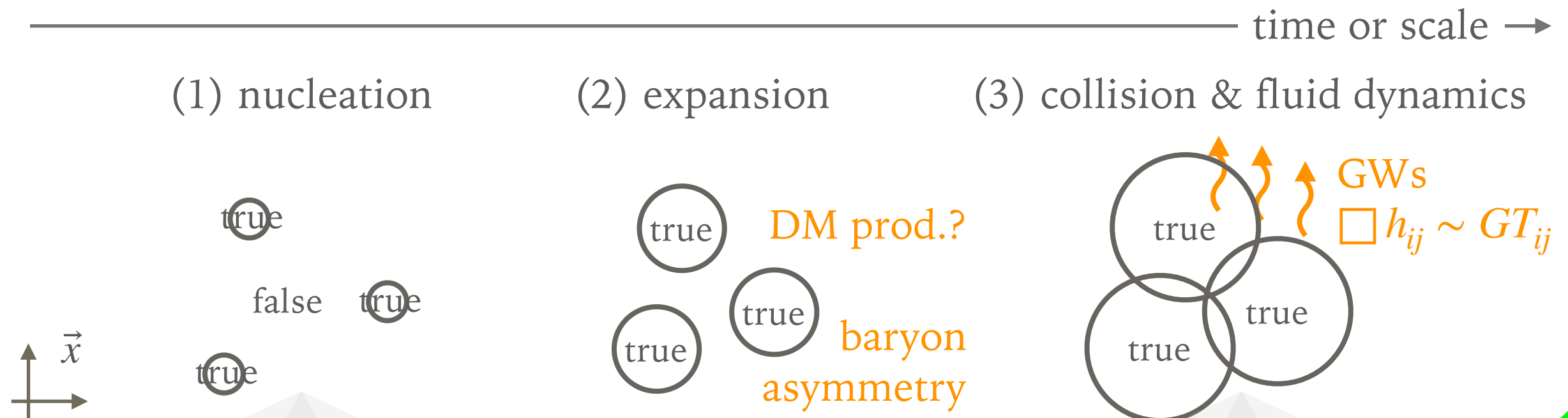
[Espinosa, RJ, Konstandin JCAP 02 (2023) 021, 2209.03293] [+Matake, Miyachi in progress]

FIRST-ORDER PHASE TRANSITIONS IN THE EARLY UNIVERSE

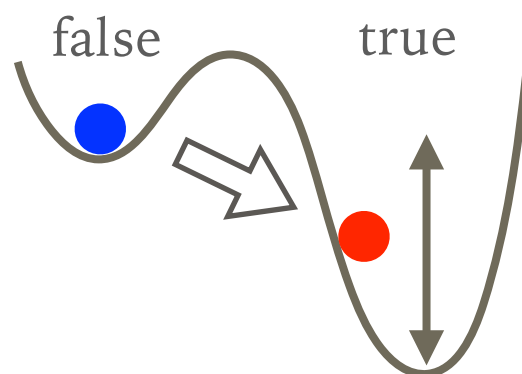
microphysics

Dynamics of bubbles

macrophysics



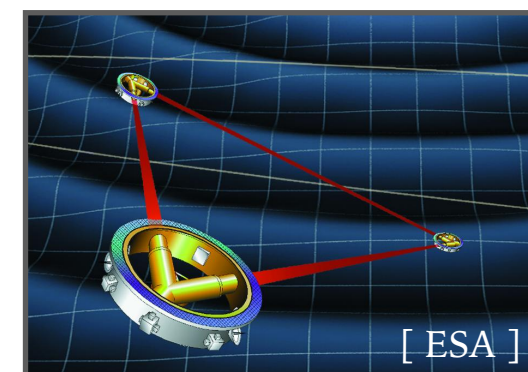
Physics of the Higgs sector



FOPTs in BSM

GWs

GW observations



OUTLINE

1. A positive definite formulation of tunneling

[Espinosa, RJ, Konstandin JCAP 02 (2023) 021, 2209.03293] [+Matake, Miyachi in progress]

2. Curvature perturbation from first-order phase transitions

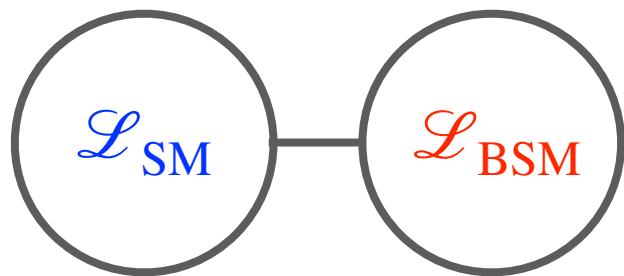
2-1) Superhorizon scales [Ellor, RJ, Kumar, McGhee, Tsai PRL 133 (2024) 21, 211003, 2311.16222]

2-2) Horizon scales [Franciolini, RJ, Gouttenoire 2503.01962]

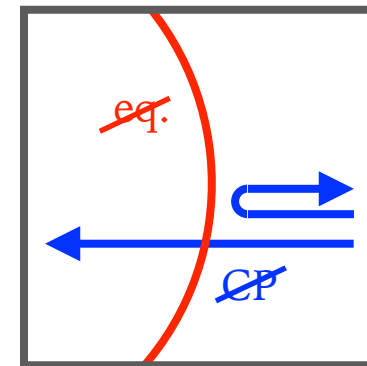
TUNNELING IN QFT

► Implications of tunneling in QFT

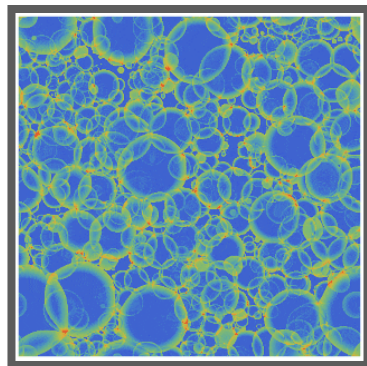
- New physics in the Higgs sector



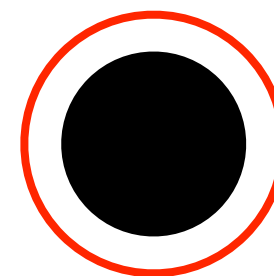
- EW baryogenesis



- Gravitational wave production



- Nucleation around compact objects



ESTIMATE ON THE TUNNELING RATE

[Coleman '77]

[Callan, Coleman '77]

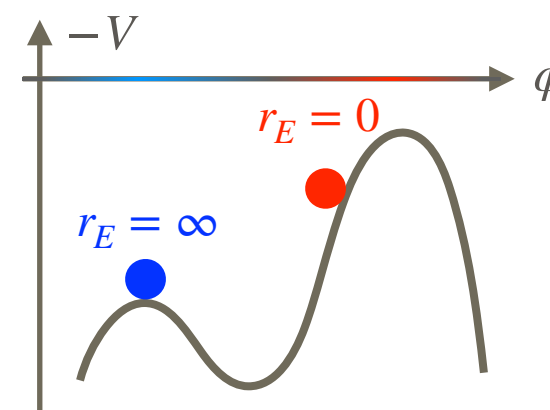
- Tunneling rate Γ is estimated from the Euclidean action $S[\phi]$

$$S[\phi] = \int d^4x \left[\frac{1}{2}(\partial\phi)^2 + V(\phi) \right] \begin{cases} \text{O(4)}_{\text{inv.}} \int 2\pi^2 r_E^3 dr_E \left[\frac{1}{2}(\partial_{r_E}\phi)^2 + V(\phi) \right] \\ \text{O(3)}_{\text{inv.}} \int dt \int 4\pi r^2 dr \left[\frac{1}{2}(\partial_t\phi)^2 + \frac{1}{2}(\partial_r\phi)^2 + V(\phi) \right] \end{cases}$$

- Tunneling rate is estimated as $\Gamma \sim e^{-S[\bar{\phi}]}$,

with "bounce" $\bar{\phi}$ being the solution for the equation of motion

$$\text{O(4) case: } \partial_{r_E}^2 \bar{\phi} + \frac{3}{r_E} \partial_{r_E} \bar{\phi} - \partial_{\bar{\phi}} V(\bar{\phi}) = 0$$



A DIFFERENT FORMULATION?

- Can we reformulate the bounce?

Step 1: Start from the Euclidean action, and translate $\phi(t, \vec{x})$ into $t(\phi, \vec{x})$

$$S[\phi] = \int \underline{dt} \int d^3x \left[\frac{1}{2} \left(\frac{\partial \phi}{\partial t} \right)^2 + \frac{1}{2} (\nabla \phi)^2 + V \right]$$

$$= \int \underline{d\phi} \int d^3x \left[\frac{1 + (\nabla t)^2}{2i} + iV \right] =: S[t]$$

dot is ϕ derivative

Why do I do this? Because I feel like doing so

A DIFFERENT FORMULATION?

- Can we reformulate the bounce?

Step 2: Add $(\nabla t) \cdot \dot{\mathbf{p}} - i(\nabla \cdot \mathbf{p})$ (just a total derivative) and complete the square

$$\begin{aligned} S[t] &= \int d\phi \int d^3x \left[\frac{1 + (\nabla t)^2}{2i} + \underline{(\nabla t) \cdot \dot{\mathbf{p}}} + i(V - \underline{\nabla \cdot \mathbf{p}}) \right] \\ &= \int d\phi \int d^3x \left[\frac{1 + (\nabla t + i\dot{\mathbf{p}})^2}{2i} + i \left(V - \nabla \cdot \mathbf{p} - \frac{\dot{\mathbf{p}}^2}{2} \right) \right] \end{aligned}$$

Why do I do this? Because I feel like doing so

A DIFFERENT FORMULATION?

- Can we reformulate the bounce?

Step 3: Integrate \dot{t} and ∇t out

$$S[t] = \int d\phi \int d^3x \left[\frac{1 + \cancel{(\nabla t + i\dot{\mathbf{p}})^2}}{\cancel{2i}} + \cancel{i} \left(V - \nabla \cdot \mathbf{p} - \frac{\dot{\mathbf{p}}^2}{2} \right) \right]$$
$$= \int d\phi \int d^3x \sqrt{2(V - \nabla \cdot \mathbf{p}) - \dot{\mathbf{p}}^2} =: S[\mathbf{p}]$$

Why do I do this? Because I feel like doing so

A DIFFERENT FORMULATION?

- Can we reformulate the bounce?

Step 4: If you seriously think about it, a magic factor 2 and a surface term appear

$$S[\mathbf{p}] = \int d^3x \int_{\phi=\phi_{\min}(\mathbf{x})}^{\phi=\phi_{\max}(\mathbf{x})} d\phi \, 2\sqrt{2(V - \nabla \cdot \mathbf{p}) - \dot{\mathbf{p}}^2} + (\text{surface})$$

value of ϕ at which $\sqrt{\cdots}$ becomes zero

ϕ at the false vacuum

relevant only to Fubini-type
slowly decaying bounces

- This action reproduces O(4) Euclidean results
- This action works as a generalization of the "tunneling potential"
to non-O(4) cases after the identification $\nabla \cdot \mathbf{p} = V_t(\phi)$ (r -independent)

TUNNELING POTENTIAL

- Originally derived by J.R.Espinosa for O(4) bounce [Espinosa '18]
- Tunneling potential $V_t(\phi)$ possesses interesting properties suggesting that it is not just a reformulation of the Euclidean method
 - Solution of the eom is *a minimum, not a saddle point*
 - The action is *obviously positive definite*: $S[V_t] = \int_0 d\phi \frac{54\pi(V - V_t)^2}{(-\dot{V}_t)^3}$
 - Once one takes gravity into account, *both CdL and HM actions are obtained in a unified manner* (without the annoying boundary term)

$$S[V_t] = \int_0 d\phi \frac{6\pi^2 M_P^2 (D + \dot{V}_t)^2}{D V_t^2} \quad \text{with} \quad D = \sqrt{\dot{V}_t^2 + \frac{6(V - V_t)V_t}{M_P^2}}$$

SUMMARY FOR PART 1

- Tunneling rate is usually estimated as $\Gamma \sim e^{-S[\bar{\phi}]}$
with the saddle-point configuration $\bar{\phi}$ of the Euclidean action
- Recently(?) a new formulation with so-called tunneling potential V_t
has been proposed for $O(4)$ case
- We generalize it to less symmetric cases
(which might be useful in calculating nucleation around impurities)

OUTLINE

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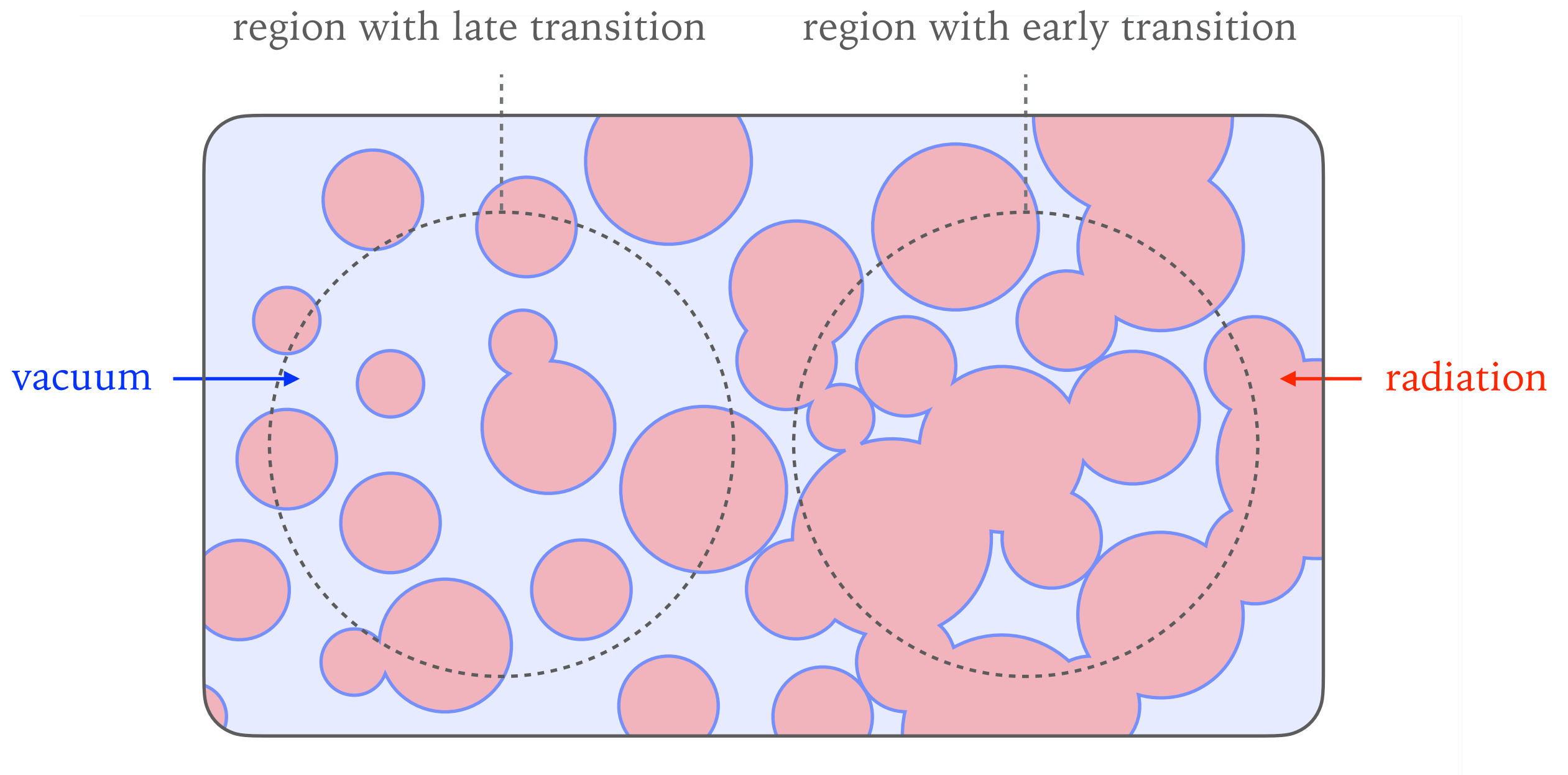
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CURVATURE PERTURBATION FROM FIRST-ORDER PHASE TRANSITIONS

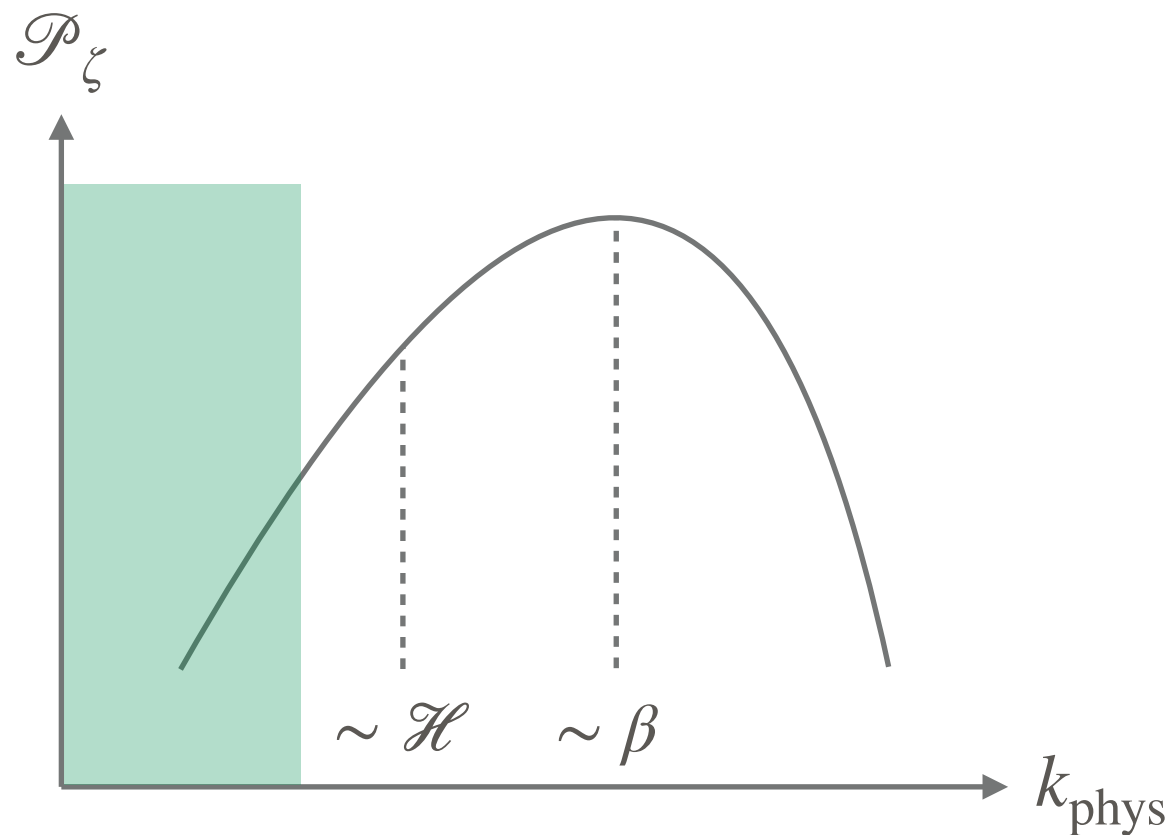
- How large can the curvature perturbation be? (\rightarrow PBHs? GWs?)



CURVATURE PERTURBATION FROM FIRST-ORDER PHASE TRANSITIONS

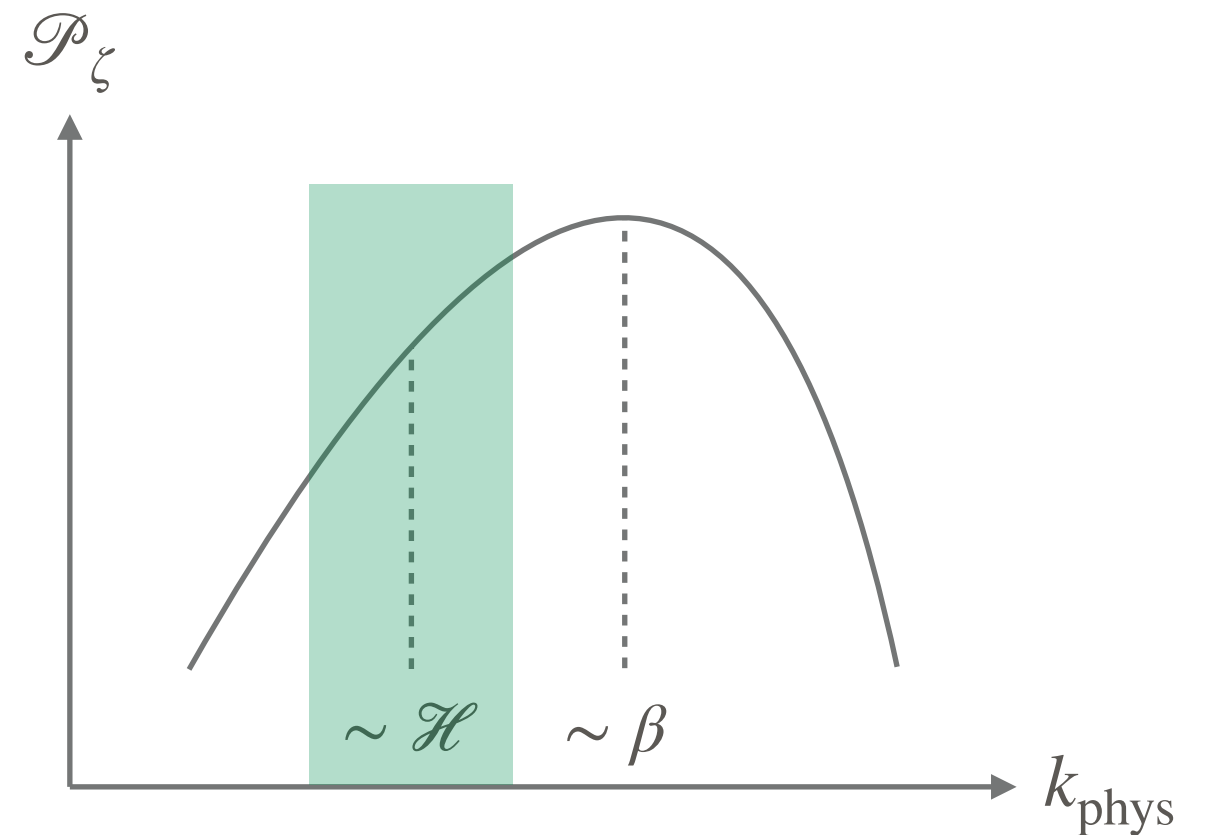
$$k_{\text{phys}} \ll H$$

(plus, we assume $H \ll \beta$
for technical reasons)



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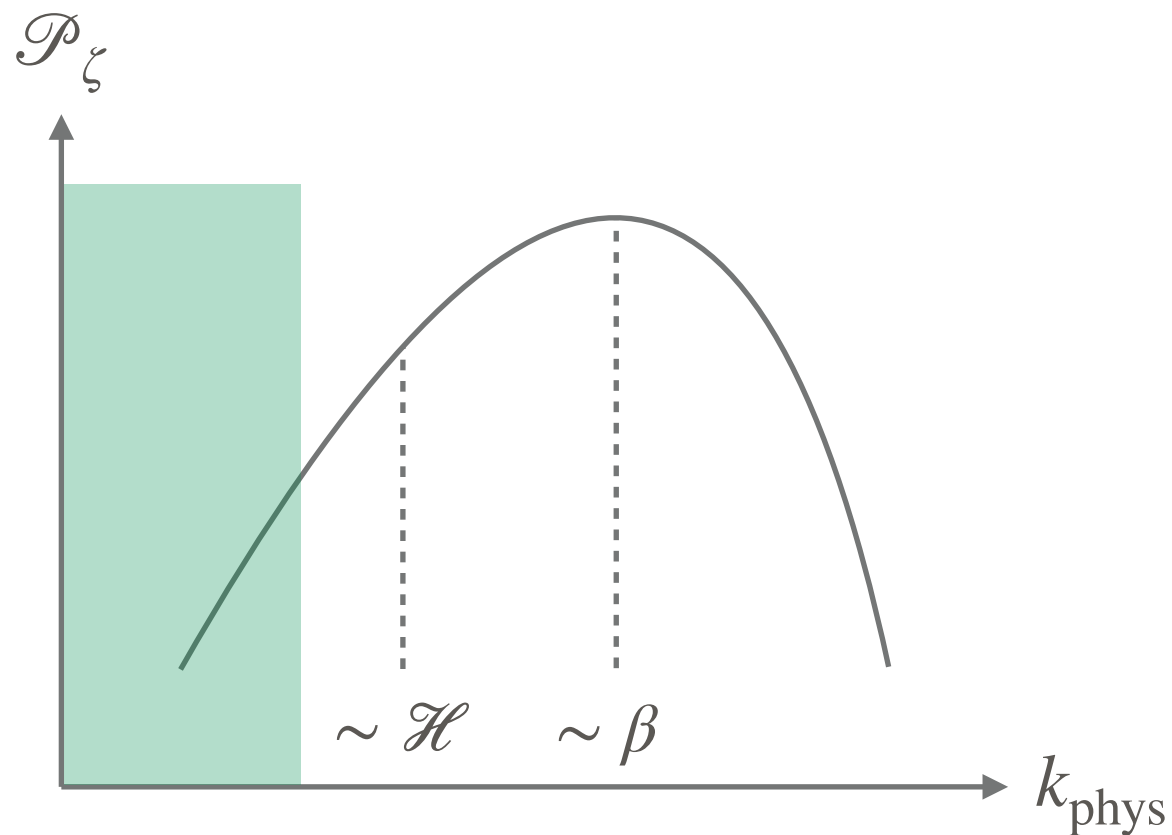


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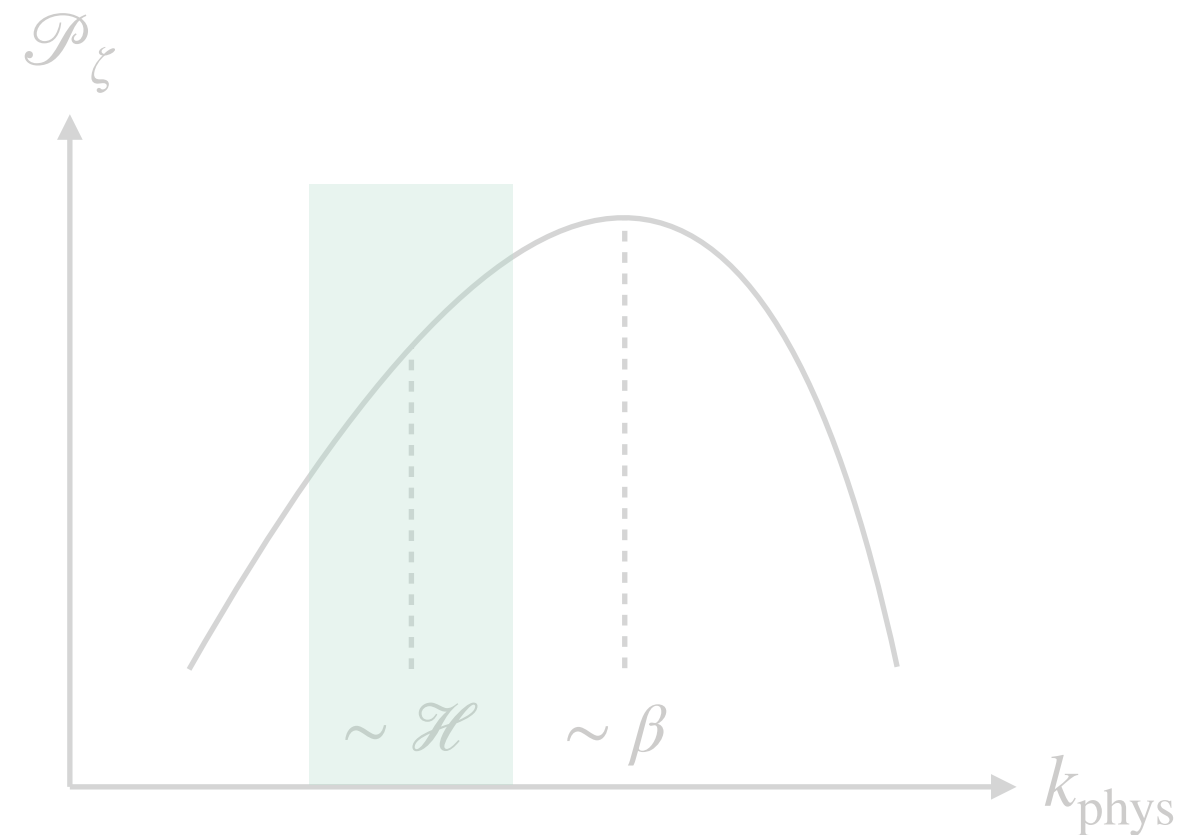
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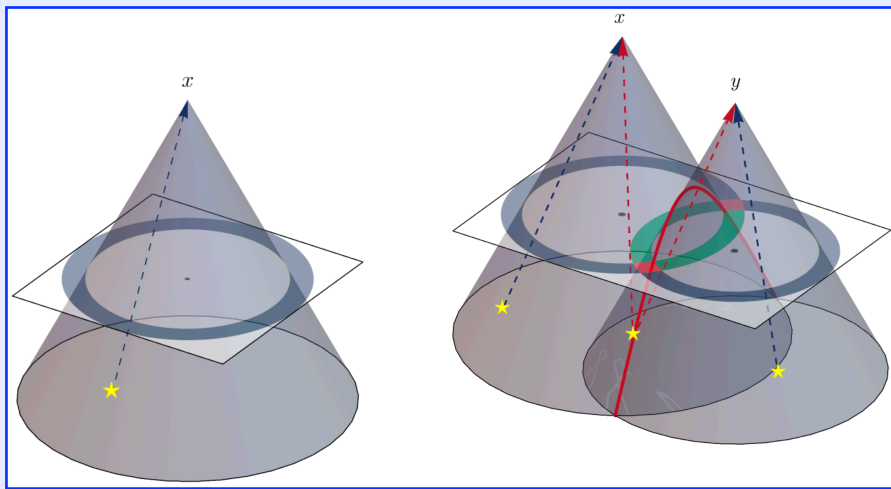
[Franciolini, RJ, Gouttenoire 2503.01962]

SUMMARY FOR PART 2-1

- To estimate superhorizon curvature perturbation in FOPTs,
we develop "vacuum-bubble δN -formalism"
- Based on this, we report constraints on late-time FOPTs
in a dark sector

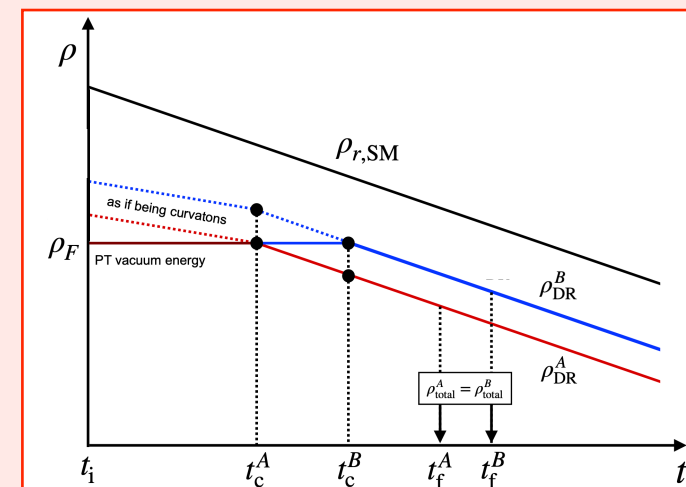
VACUUM BUBBLE δN -FORMALISM

Light-cone formalism for vac. bubbles

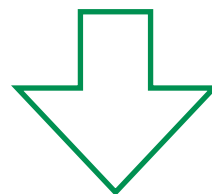


e.g. [RJ, Takimoto '16]

δN -formalism



[Starobinsky '85] [Salopek & Bond '90] [Sasaki & Stewart '96]
[Sasaki & Tanaka '98] [Wands, Malik, Lyth, Liddle '00] ...

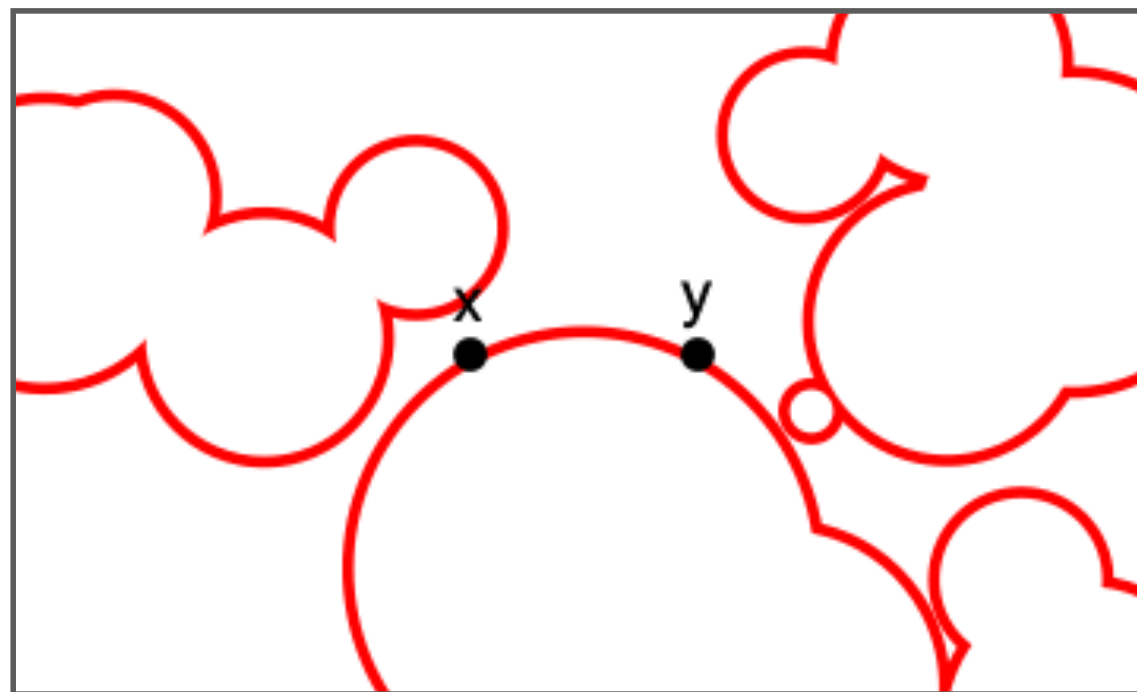


vacuum bubble δN -formalism

LIGHT-CONE FORMALISM FOR VACUUM BUBBLES

e.g. [RJ, Takimoto '16]

- A formalism to calculate multi(mostly two)-point functions of quantities determined by the spacetime distribution of vacuum bubbles
- Intuitively: Fix $(t_x, \vec{x}), (t_y, \vec{y})$ and sum up all possible configurations

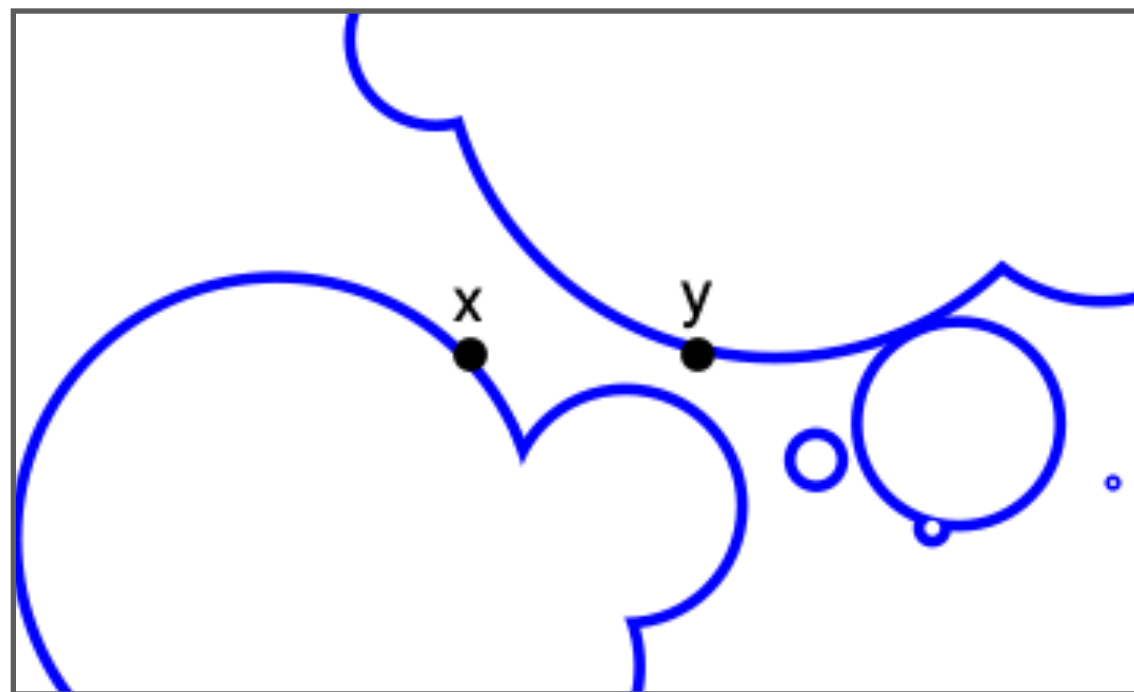


- In the following we assume $\beta \gg H$ and $\Gamma(t) = \Gamma_* e^{\beta(t-t_*)}$

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LIGHT-CONE FORMALISM FOR VACUUM BUBBLES

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- To estimate curvature perturbation, we need $\langle \delta t_c(\vec{x}) \delta t_c(\vec{y}) \rangle$

$t_c(\vec{x})$: transition time for each spatial point \vec{x}

$\delta t_c(\vec{x}) = t_c(\vec{x}) - \langle t_c \rangle$: difference of $t_c(\vec{x})$ from average

$\langle \cdots \rangle$: average over infinitely many realizations of bubble configurations

- $\langle \delta t_c(\vec{x}) \delta t_c(\vec{y}) \rangle$ can be decomposed as

(expectation value) = \sum (probability) \times (value)

$$\langle \delta t_c(\vec{x}) \delta t_c(\vec{y}) \rangle = \int dt_x \int dt_y \left(\begin{array}{c} \text{prob. for} \\ t_x < t_c(\vec{x}) < t_x + dt_x \\ t_y < t_c(\vec{y}) < t_y + dt_y \end{array} \right) \times \left(t_x - \langle t_c \rangle \right) \left(t_y - \langle t_c \rangle \right)$$

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LIGHT-CONE FORMALISM FOR VACUUM BUBBLES

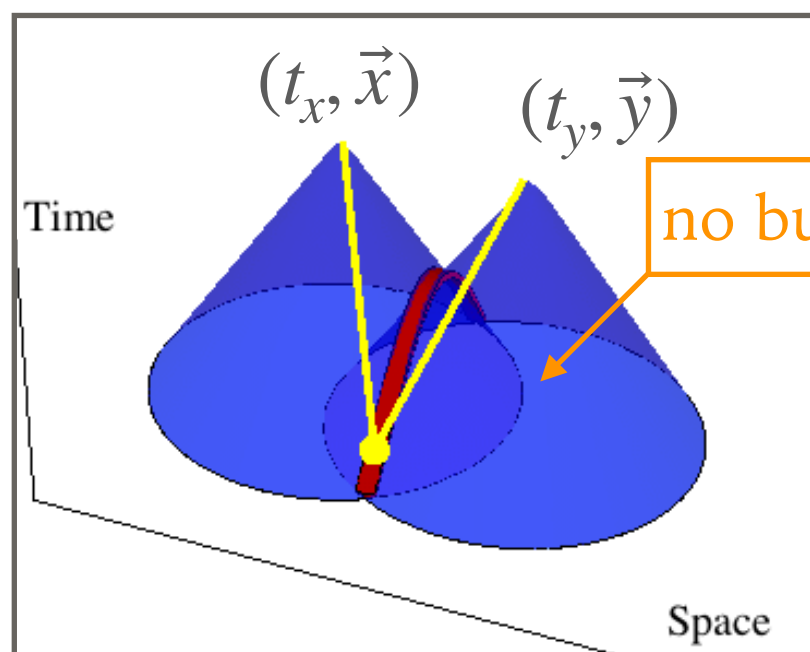
e.g. [RJ, Takimoto '16]

- Probability part can be decomposed into two factors

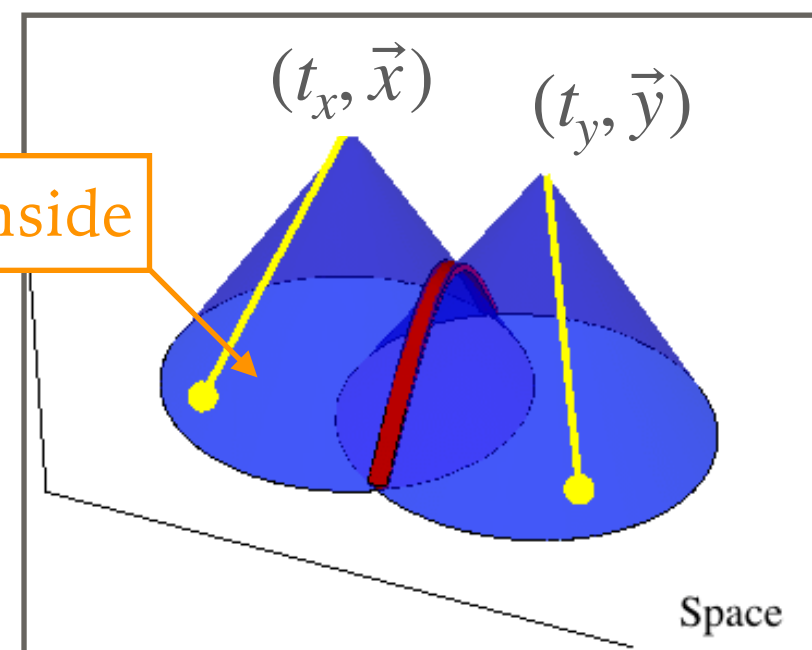
$$P = P_{\text{surv}} \times P_{\text{nuc}}$$

- 1) Survival probability P_{surv} : no bubble must nucleate inside the blue past cones
(otherwise such bubbles hit \vec{x} or \vec{y} before the evaluation time t_x or t_y)

case 1 (single-bubble)



case 2 (double-bubble)



LIGHT-CONE FORMALISM FOR VACUUM BUBBLES

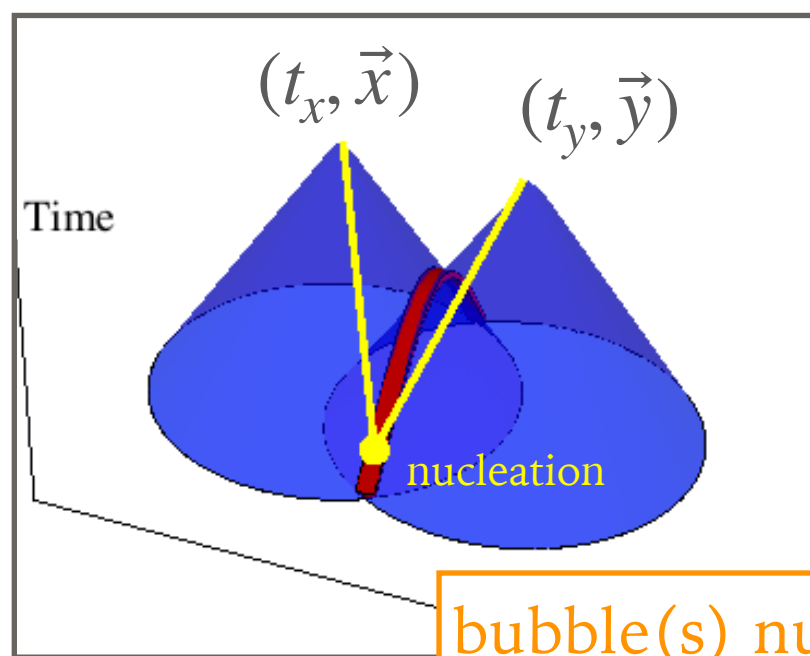
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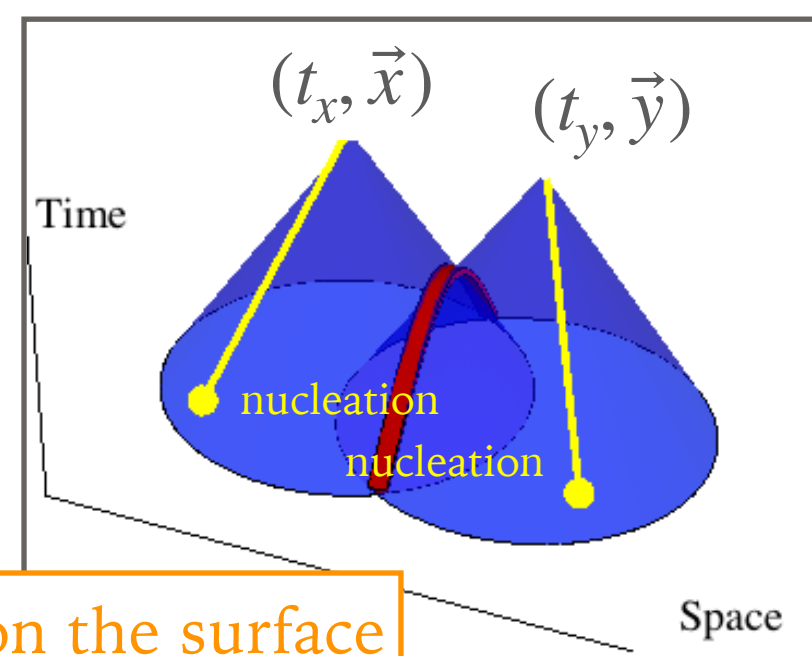
$$P = P_{\text{surv}} \times P_{\text{nuc}}$$

- 2) Nucleation probability P_{nuc} : bubble(s) must nucleate at the right time and position on the surface of the past cones

case 1 (single-bubble)



case 2 (double-bubble)



bubble(s) nucleate on the surface

LIGHT-CONE FORMALISM FOR VACUUM BUBBLES

e.g. [RJ, Takimoto '16]

► Now calculation of $\langle \delta t_c(\vec{x}) \delta t_c(\vec{y}) \rangle$ is straightforward

$$\langle \delta t_c(\vec{x}) \delta t_c(\vec{y}) \rangle = \langle \delta t_c(\vec{x}) \delta t_c(\vec{y}) \rangle^{(s)} + \langle \delta t_c(\vec{x}) \delta t_c(\vec{y}) \rangle^{(d)}$$

$$\langle \delta t_c(\vec{x}) \delta t_c(\vec{y}) \rangle^{(s)} = \int_{-r}^r dt_{x,y} \frac{2\pi e^{-r/2}}{r \mathcal{I}(x,y)} \left(\frac{r^2}{4} + r + 2 - \frac{t_{x,y}^2}{4} \right) \left[\left(\ln \left(\frac{\mathcal{I}(x,y)}{8\pi} \right) \right)^2 - \frac{t_{x,y}^2}{4} + \frac{\pi^2}{6} \right]$$

$$\begin{aligned} \langle \delta t_c(\vec{x}) \delta t_c(\vec{y}) \rangle^{(d)} = & \int_{-r}^r dt_{x,y} \frac{16\pi^2}{\mathcal{I}^2(x,y)} \\ & \times \left[4 - \frac{e^{-t_{x,y}/2-r/2}}{2r} (r + t_{x,y} + 4)(r - t_{x,y}) - \frac{e^{t_{x,y}/2-r/2}}{2r} (r - t_{x,y} + 4)(r + t_{x,y}) \right. \\ & \left. + \frac{e^{-r}}{16r^2} ((r+4)^2 - t_{x,y}^2)(r^2 - t_{x,y}^2) \right] \left[\left(\ln \left(\frac{\mathcal{I}(x,y)}{8\pi} \right) - 1 \right)^2 - \frac{t_{x,y}^2}{4} + \frac{\pi^2}{6} - 1 \right]. \end{aligned}$$

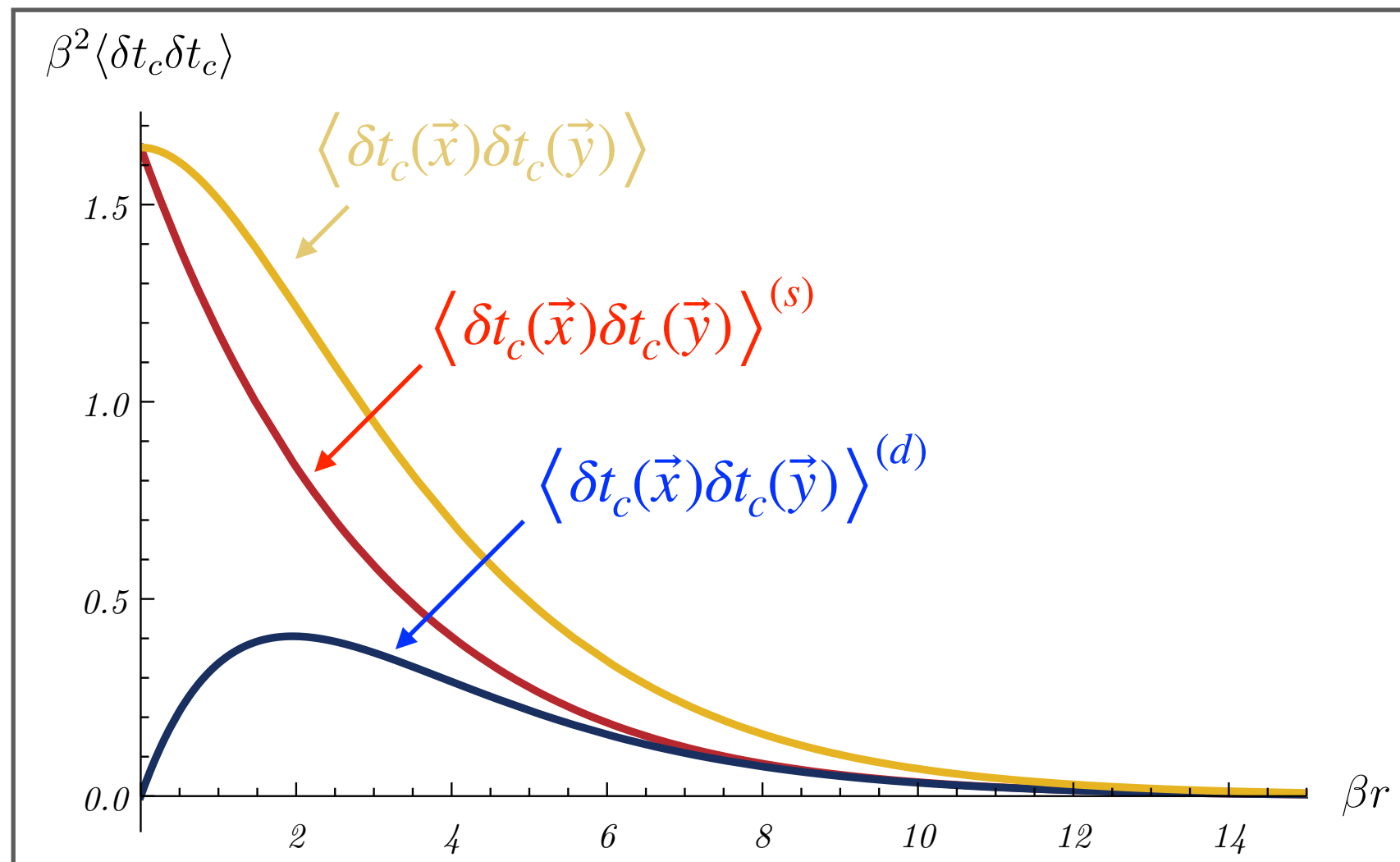
$$\left(\beta = 1 \text{ unit}, \quad r \equiv |\vec{x} - \vec{y}|, \quad t_{x,y} = t_x - t_y, \quad \mathcal{I}(x,y) = 8\pi \left[e^{t_{x,y}/2} + e^{-t_{x,y}/2} + \frac{t_{x,y}^2 - (r^2 + 4r)}{4r} e^{-r/2} \right] \right)$$

LIGHT-CONE FORMALISM FOR VACUUM BUBBLES

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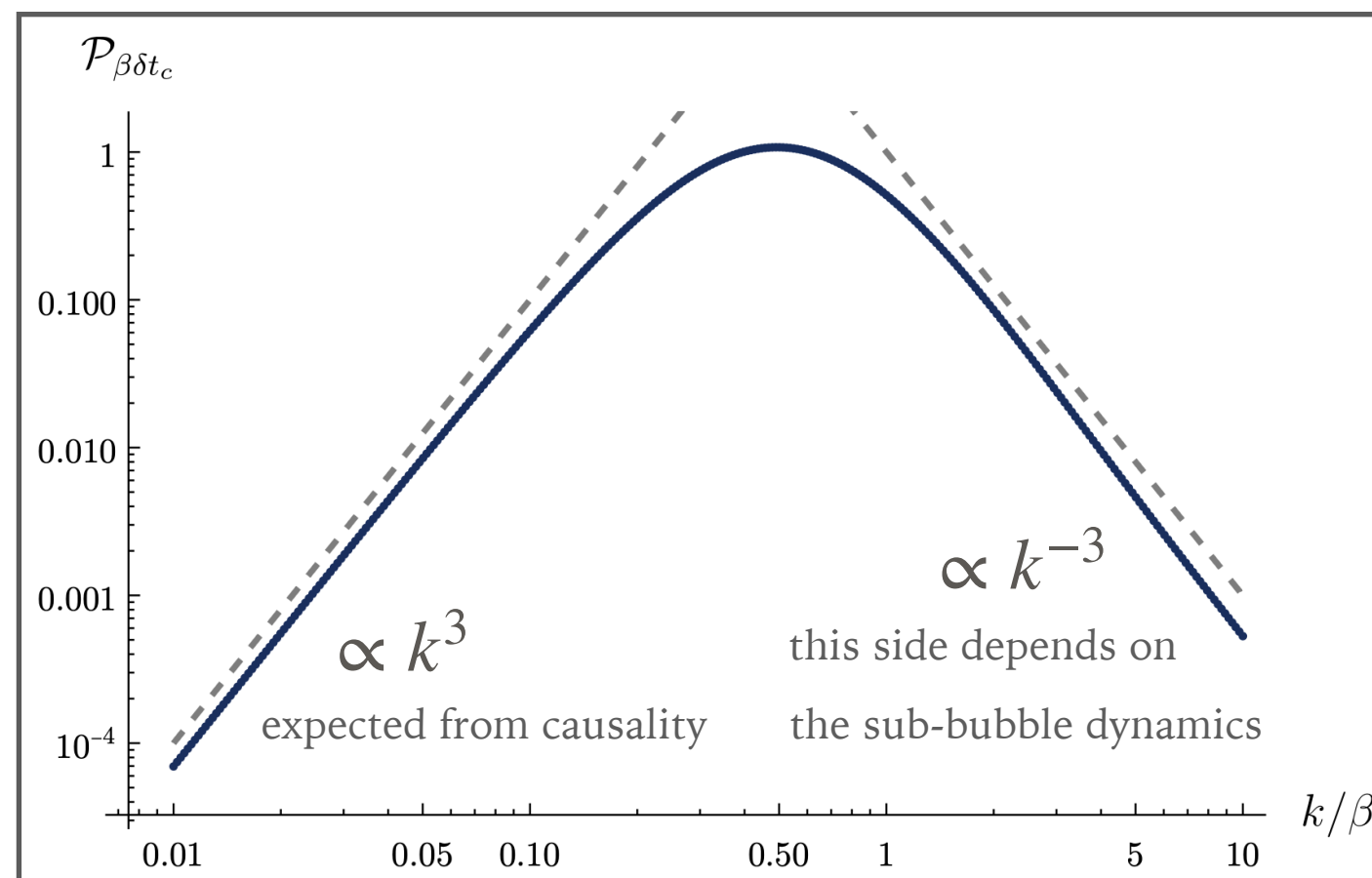
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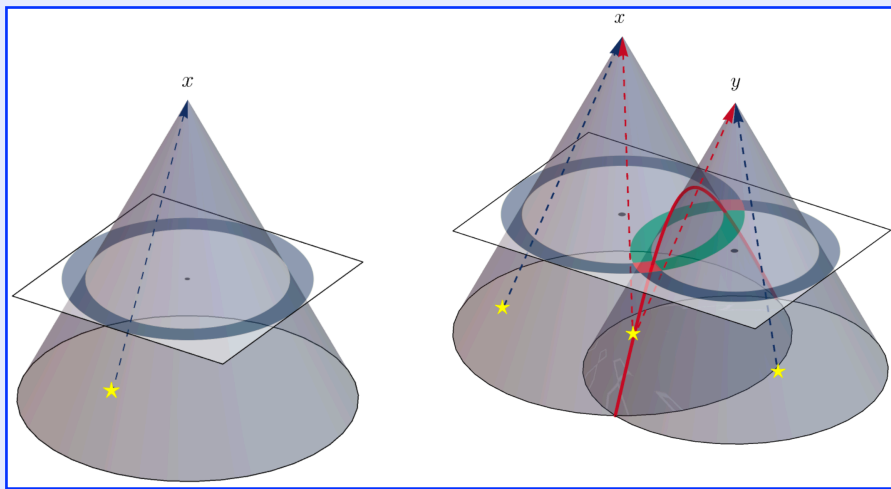
$$\langle \delta t_c(\vec{x}) \delta t_c(\vec{y}) \rangle = \langle \delta t_c(\vec{x}) \delta t_c(\vec{y}) \rangle^{(s)} + \langle \delta t_c(\vec{x}) \delta t_c(\vec{y}) \rangle^{(d)}$$

which can be translated into $\mathcal{P}_{\beta \delta t_c}(k) = \int d^3 r e^{i\vec{k} \cdot \vec{r}} \beta^2 \langle \delta t_c(\vec{x}) \delta t_c(\vec{y}) \rangle$



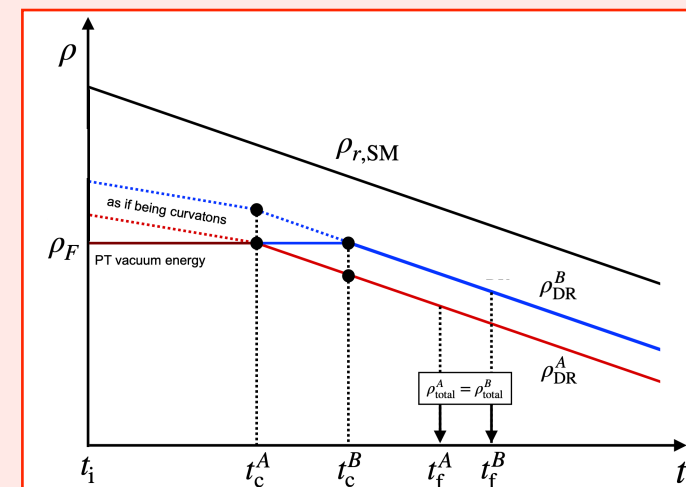
VACUUM BUBBLE δN -FORMALISM

Light-cone formalism for vac. bubbles

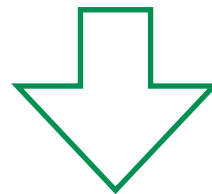


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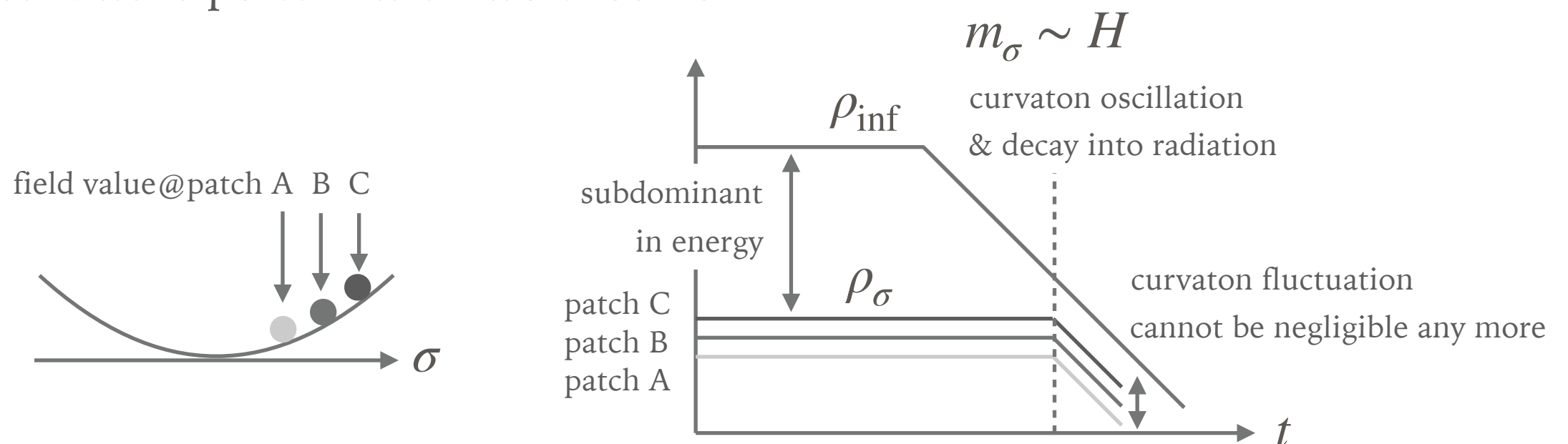
vacuum bubble δN -formalism

δN -FORMALISM

- Formalism to calculate curvature perturbation on superhorizon scales
- Often used to estimate curvature perturbation from curvatons

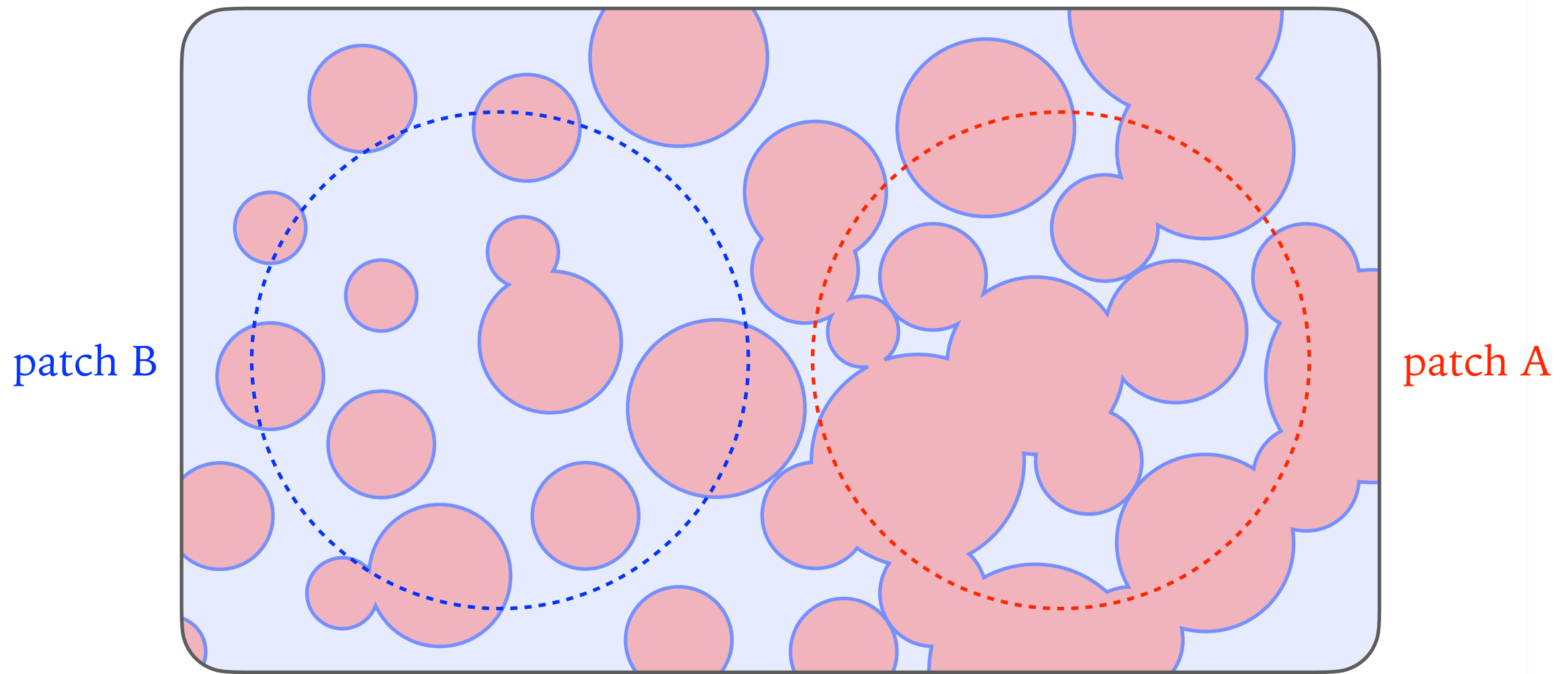
Curvaton?

- ① A hypothetical scalar field subdominant during inflation
- ② Though subdominant in energy, it generates a dominant fraction of the curvature perturbation we observe



δN -FORMALISM

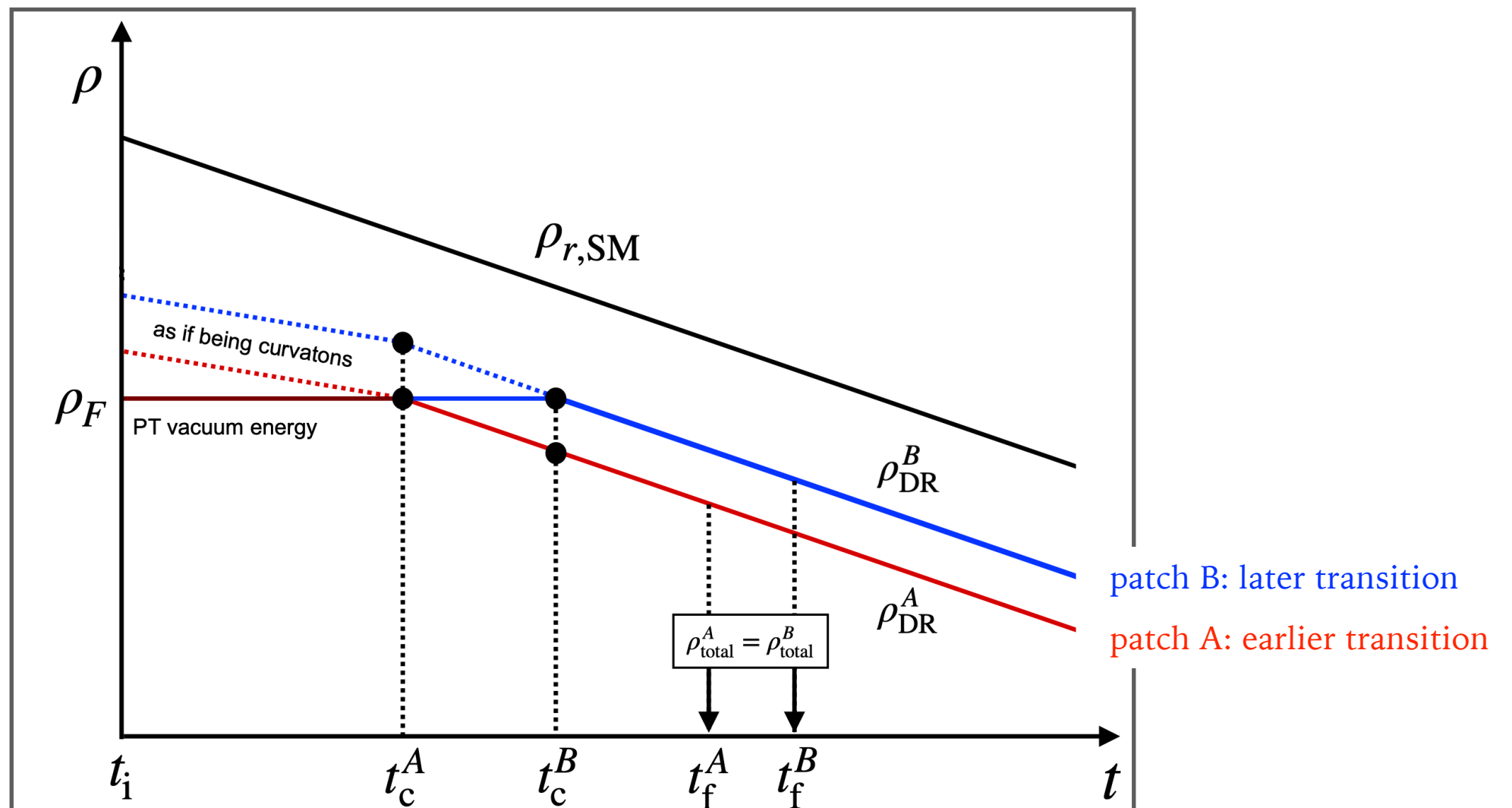
- The probabilistic completion of the transition by vacuum bubbles looks like a curvaton



- We assume a transition in the dark sector (producing dark radiation)

δN -FORMALISM

- The probabilistic completion of the transition by vacuum bubbles looks like a curvaton



δN -FORMALISM

➤ Prescription of the δN -formalism

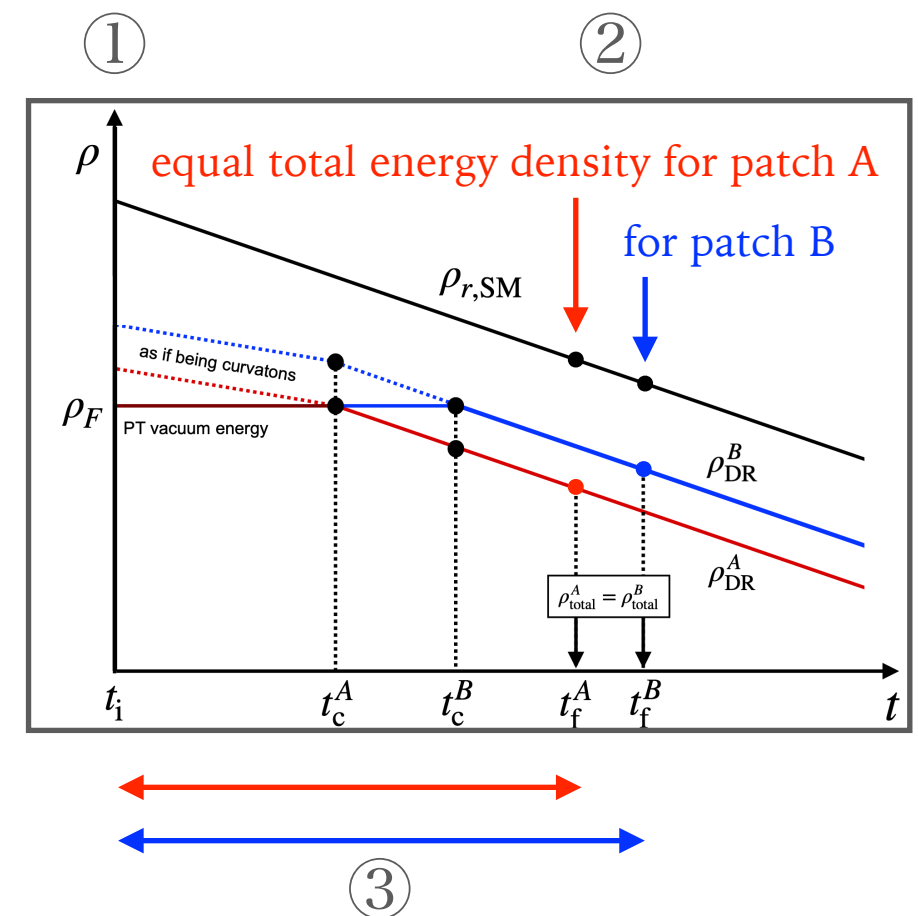
- ① Start from the spatially flat hypersurface
- ② Evaluate the e -folding N
at the equal energy density hypersurface
- ③ Fluctuation δN in this e -folding N is
the curvature perturbation ζ

➤ After all, we get the relation between ζ and δt_c

$$\zeta \simeq \frac{f_{\text{DR}}}{2} \frac{\delta t_c}{\langle t_c \rangle} (+ \zeta_{\text{inf}}) = f_{\text{DR}} H_* \delta t_c (+ \zeta_{\text{inf}})$$

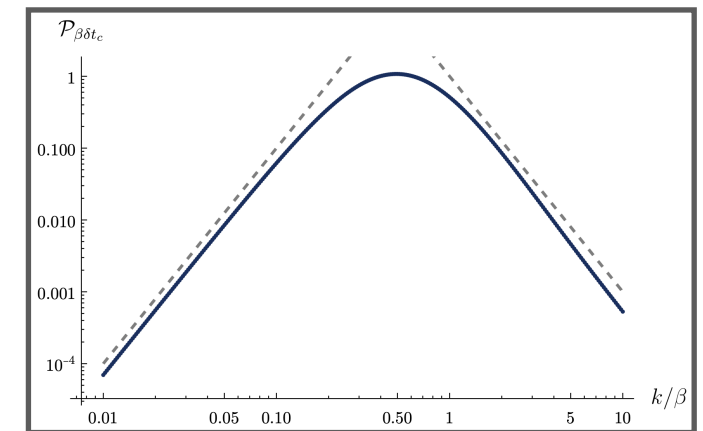
inflationary ζ is an independent source

$f_{\text{DR}} \ll 1$: average fraction of dark radiation after the completion of the transition



COMBINING THE TWO

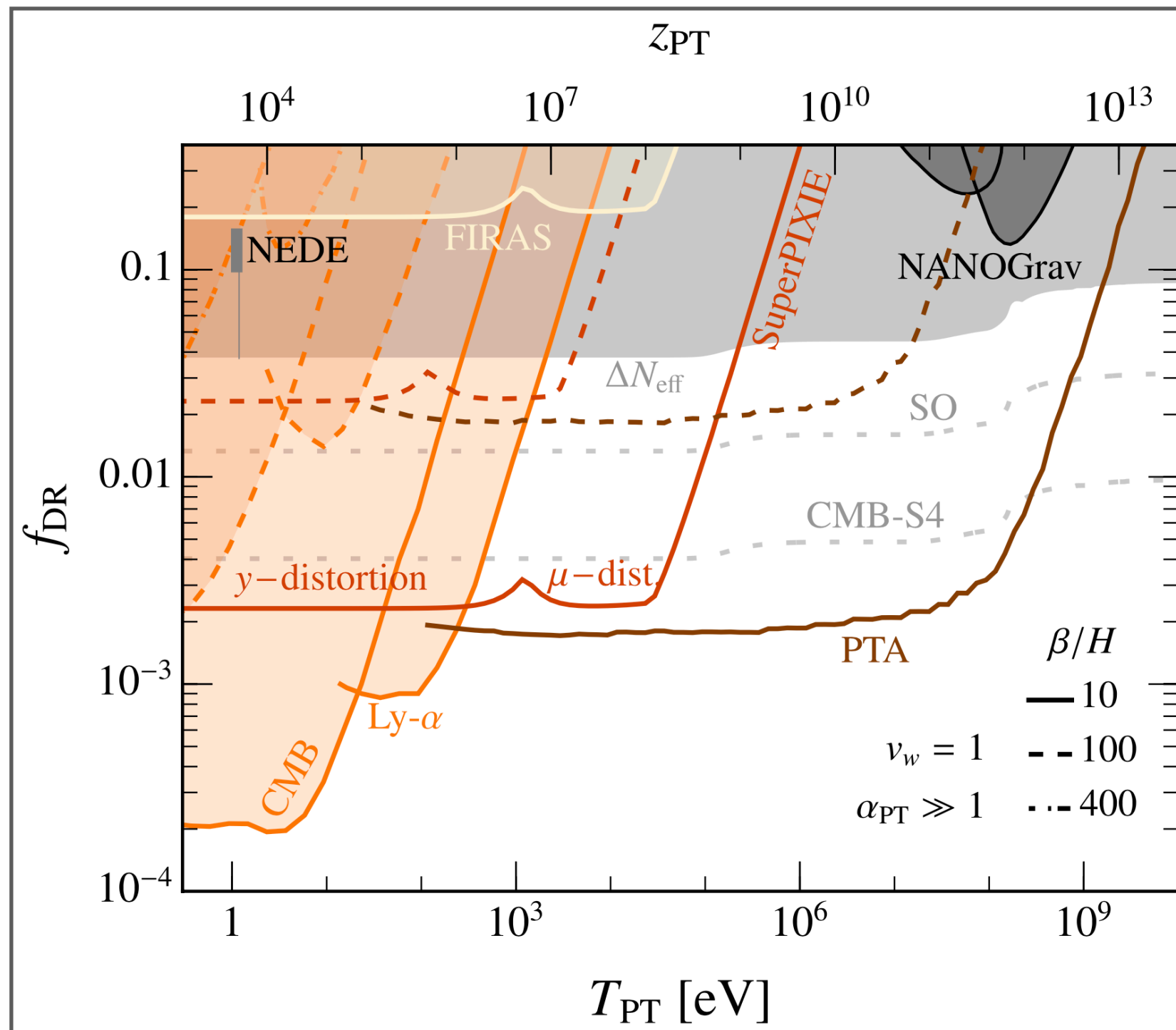
- From the light-cone formalism, we get $\mathcal{P}_{\beta\delta t_c} =$



- From the δN -formalism, we get $\mathcal{P}_\zeta \simeq f_{\text{DR}}^2 \mathcal{P}_{H_*\delta t_c} = \left(\frac{H_*}{\beta}\right)^2 f_{\text{DR}}^2 \mathcal{P}_{\beta\delta t_c}$
- \nearrow power spectrum of $\langle H_*\delta t_c(x) H_*\delta t_c(y) \rangle$ power spectrum of $\langle \beta\delta t_c(x) \beta\delta t_c(y) \rangle \nwarrow$

- Using the \mathcal{P}_ζ obtained as an input for Boltzmann solvers (like CLASS), we can derive constraints on late-time transitions in the dark sector

CONSTRAINTS ON LATE-TIME TRANSITIONS IN A DARK SECTOR



[Elor, RJ, Kumar, McGehee, Tsai '24]

SUMMARY FOR PART 2-1

- To estimate superhorizon curvature perturbation in FOPTs,
we develop "vacuum-bubble δN -formalism"
- Based on this, we report constraints on late-time FOPTs
in a dark sector

OUTLINE

1. A positive definite formulation of tunneling

[Espinosa, RJ, Konstandin JCAP 02 (2023) 021, 2209.03293] [+Matake, Miyachi in progress]

2. Curvature perturbation from first-order phase transitions

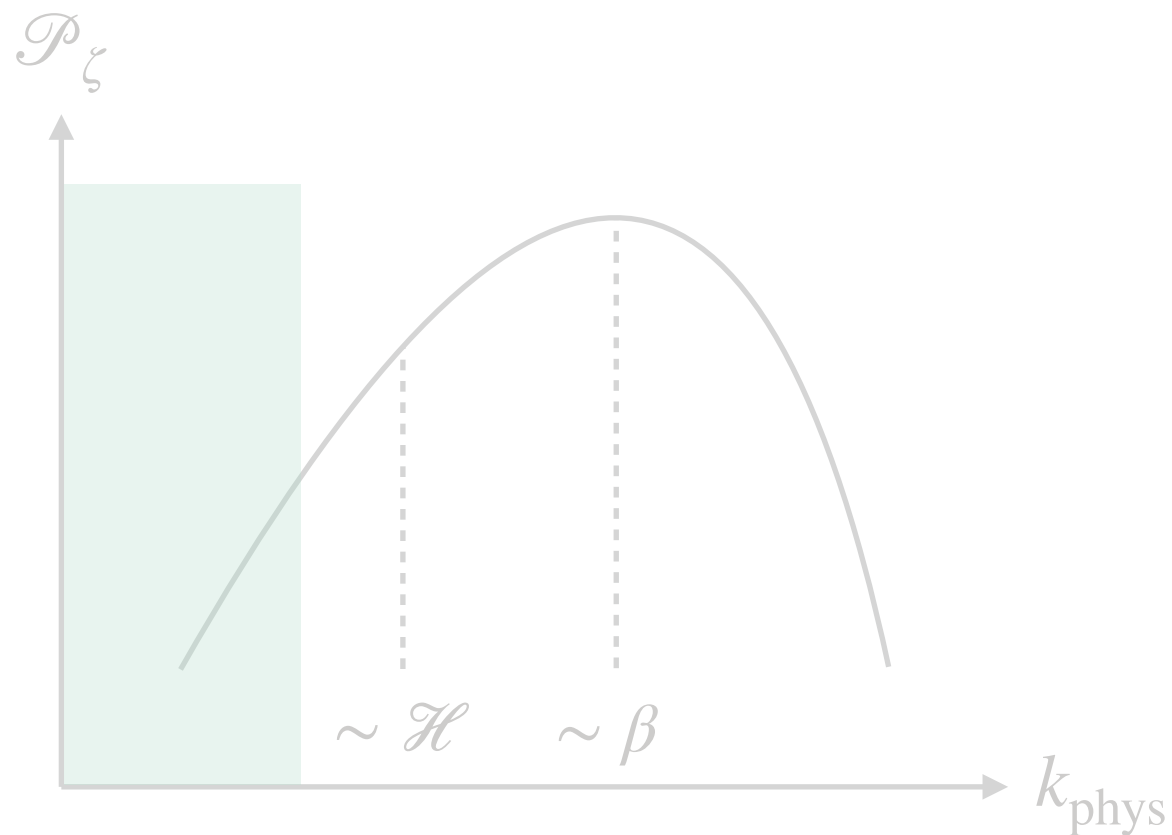
2-1) Superhorizon scales [Ellor, RJ, Kumar, McGhee, Tsai PRL 133 (2024) 21, 211003, 2311.16222]

2-2) Horizon scales [Franciolini, RJ, Gouttenoire 2503.01962]

CURVATURE PERTURBATION FROM FIRST-ORDER PHASE TRANSITIONS

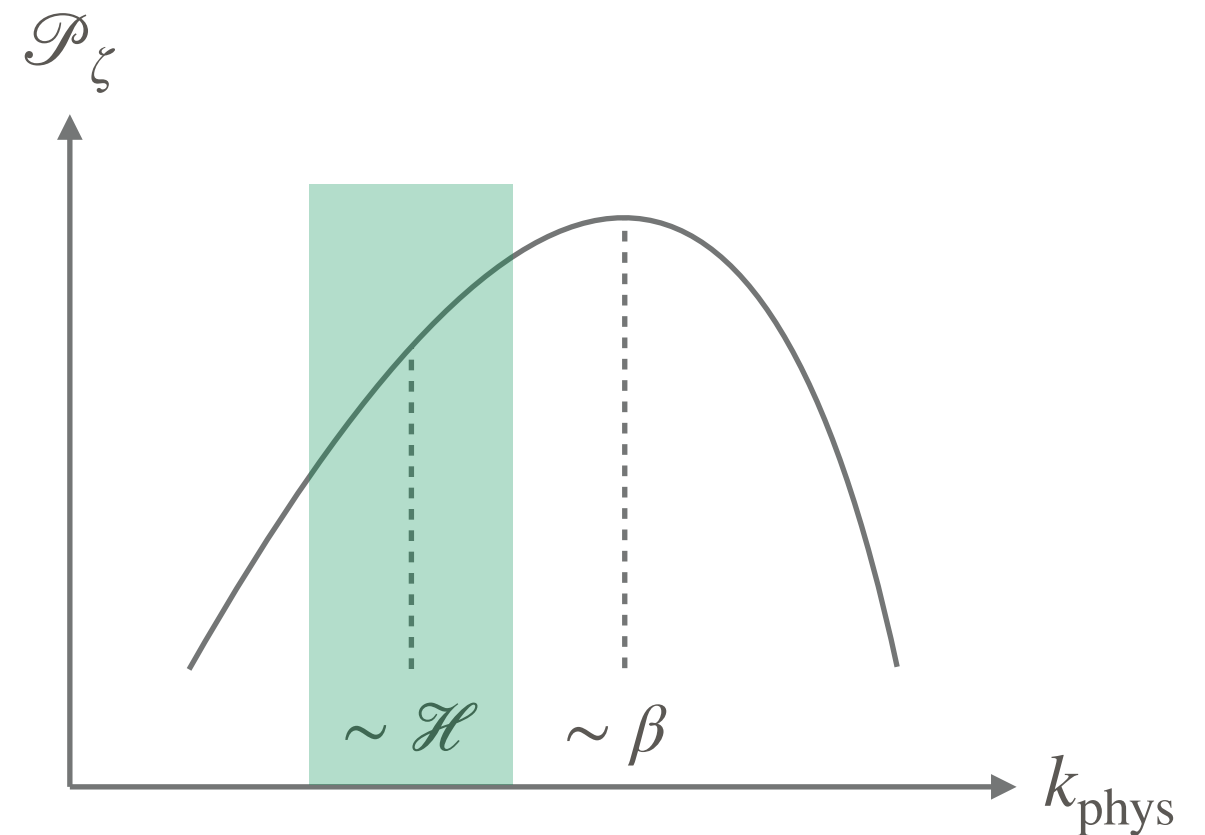
$$k_{\text{phys}} \ll H$$

(plus, we assume $H \ll \beta$
for technical reasons)



[Ellor, Kumar, McGhee, Tsai PRL 133 (2024) 21, 211003, 2311.16222]

$$k_{\text{phys}} \sim H$$



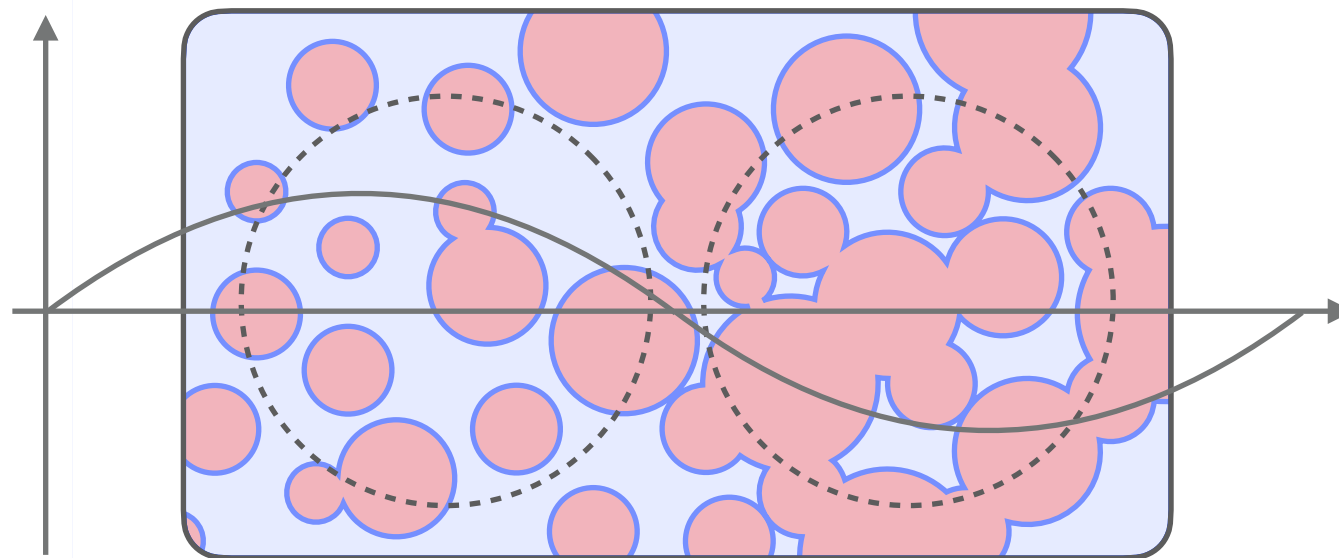
[Franciolini, RJ, Gouttenoire 2503.01962]

SLOW TRANSITION AND PBH FORMATION

- Can PBHs form from curvature perturbation generated by small β/H (but still \gtrsim a few) FOPTs?

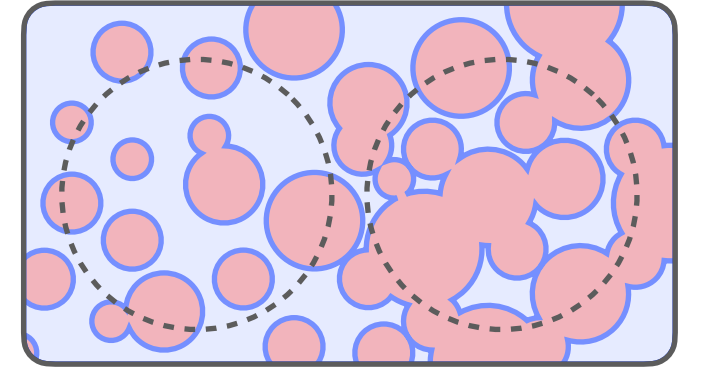
Intuitively

$$\delta \left(= \frac{\delta\rho}{\rho} \right)$$



- With a careful treatment of gauges (in cosmological perturbations), we answered to this question in the negative

SLOW TRANSITION AND PBH FORMATION



➤ Setup & findings of [Lewicki, Troczek, Vaskonen '24]

① Background

- Radiation & vacuum energy $\bar{\rho}'_r + 4\mathcal{H}\bar{\rho}_r = -\bar{\rho}'_V$
- Initially the universe is vacuum energy dominated $\bar{\rho}_V(t = -\infty) = \Delta V$,
and then radiation takes over
- Vacuum energy decays with the exponential nucleation of bubbles

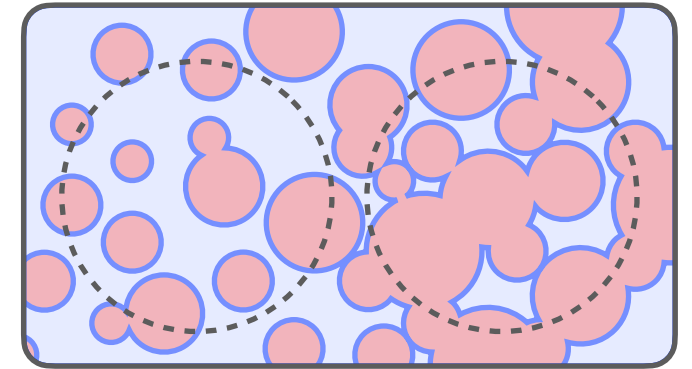
$$\Gamma(t) = H_*^4 e^{\beta(t-t_*)}$$

meaning that $\bar{\rho}_V$ decreases with the average false vacuum fraction $\bar{F}(t)$ as

$$\bar{\rho}_V = \bar{F}(t) \times \Delta V \quad \bar{F}(t) = \exp \left[-\frac{4\pi}{3} \int_{-\infty}^t dt_n \Gamma(t_n) a(t_n)^3 \left(\int_{t_n}^t \frac{d\tilde{t}}{a(\tilde{t})} \right)^3 \right]$$

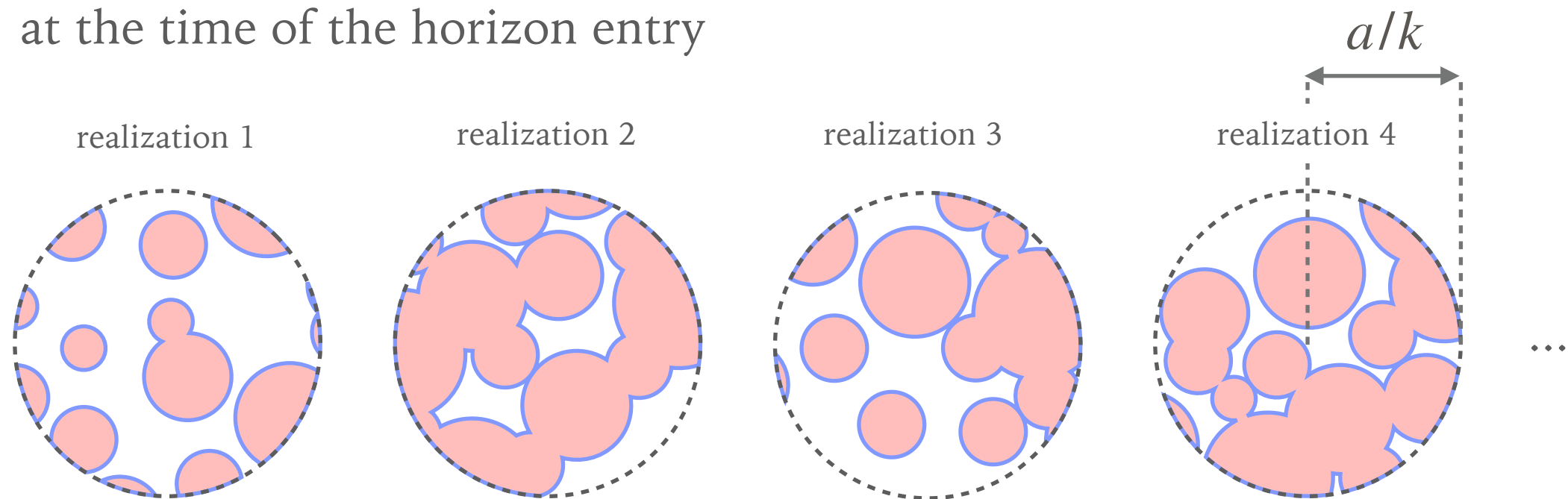
SLOW TRANSITION AND PBH FORMATION

➤ Setup & findings of [Lewicki, Troczek, Vaskonen '24]



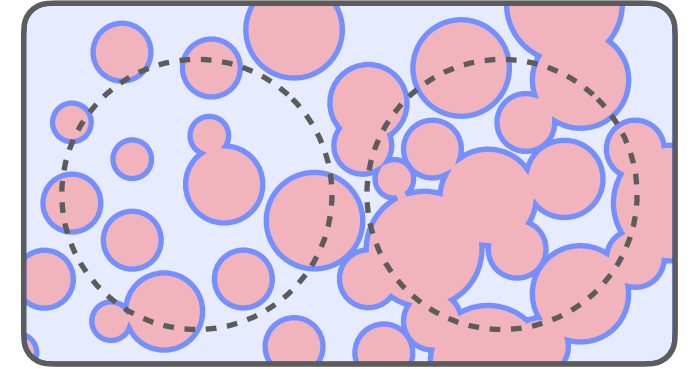
② Perturbation

- Stochastic process of bubble nucleation induces density fluctuations
- For a fixed comoving wavenumber k , consider a sphere of comoving radius $1/k$, and numerically calculate the PDF of the density contrast of this region at the time of the horizon entry



These pictures are just for illustration: they develop a much more efficient algorithm than naively generating bubbles

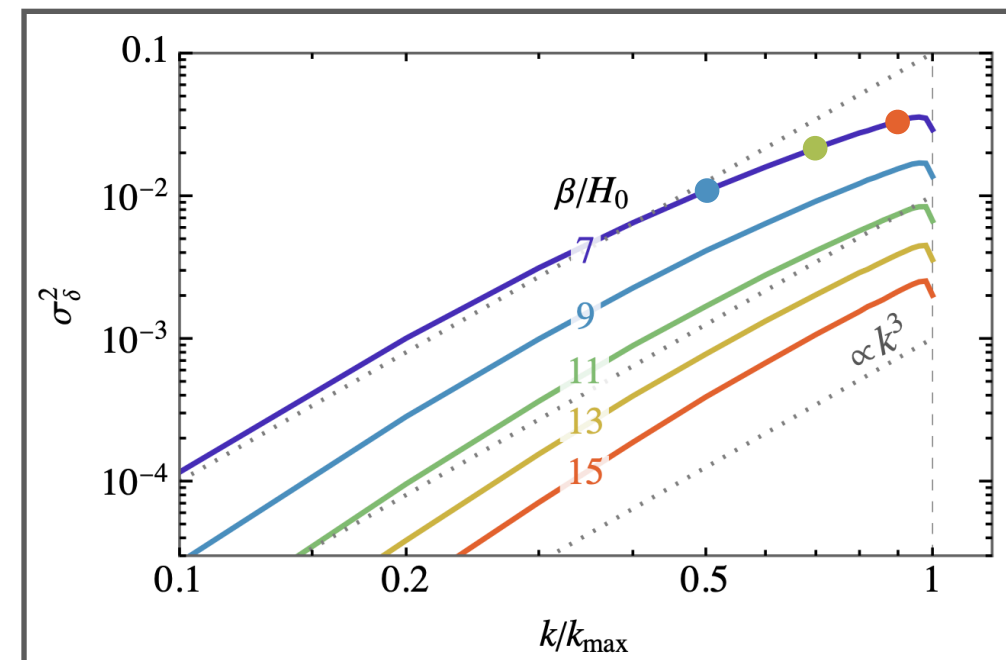
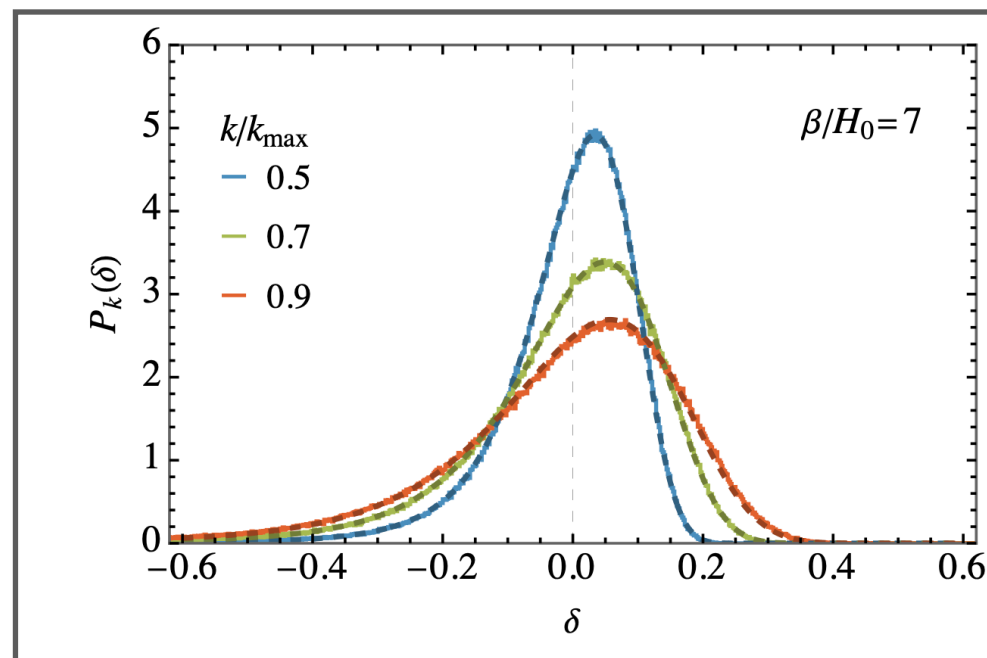
SLOW TRANSITION AND PBH FORMATION



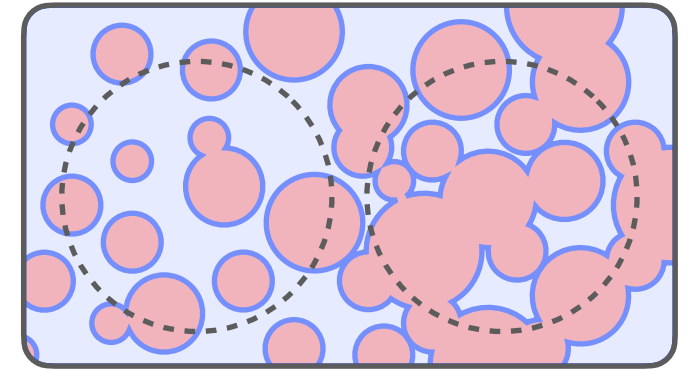
➤ Setup & findings of [Lewicki, Troczek, Vaskonen '24]

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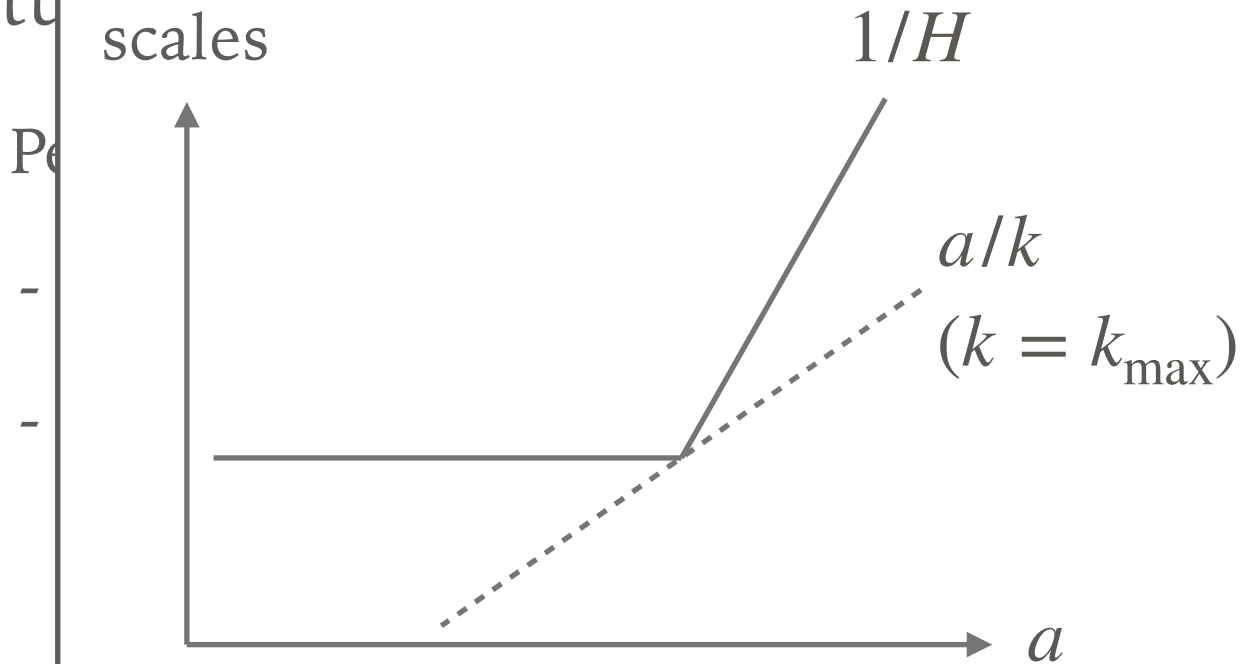
SLOW TRANSITION AND PBH FORMATION



➤ Setup

② Perturbation

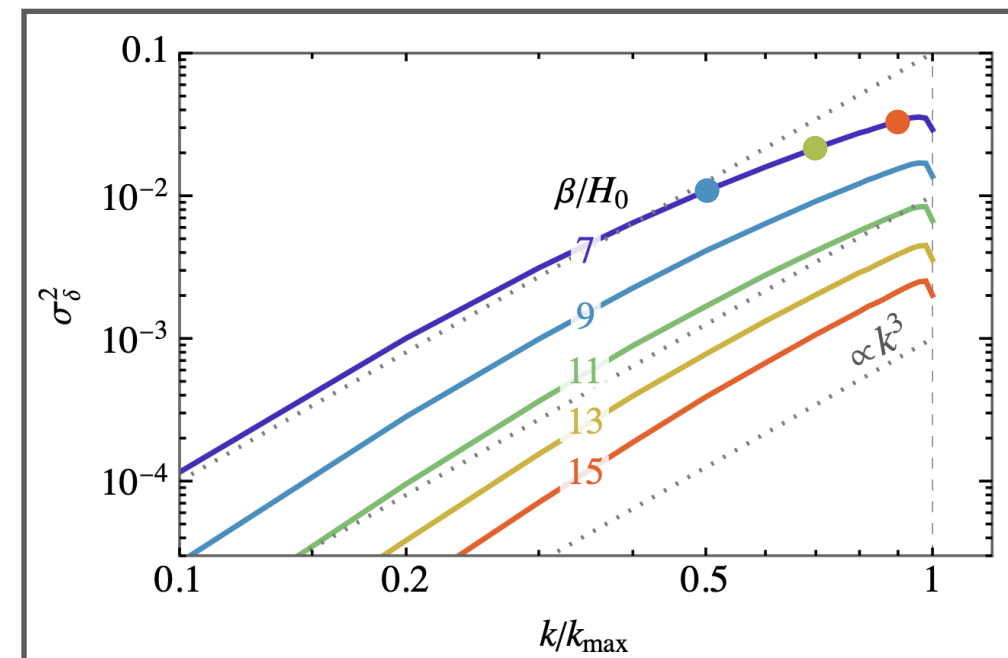
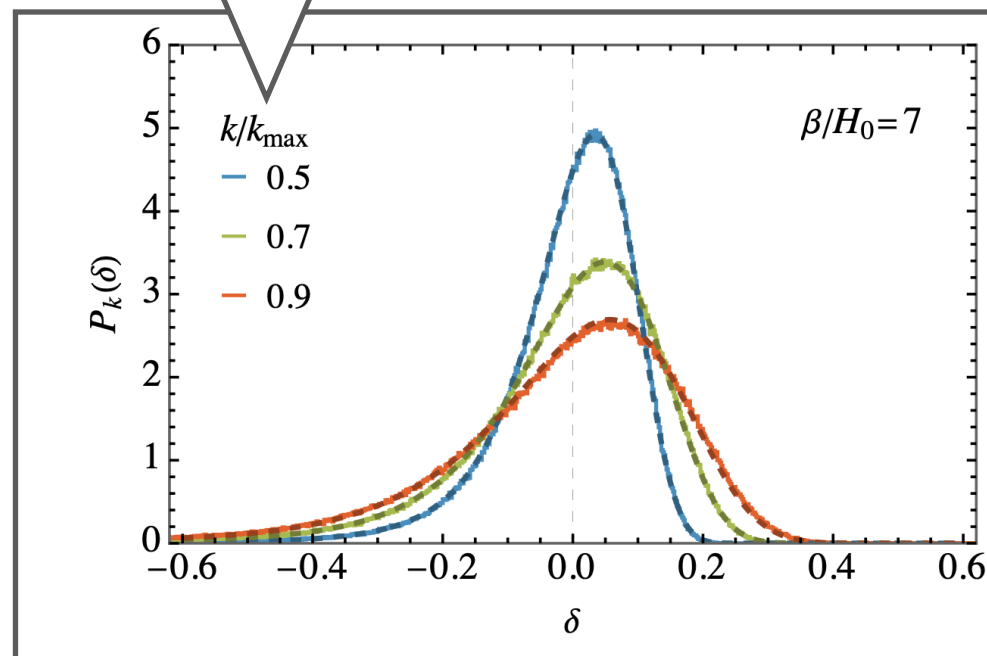
scales



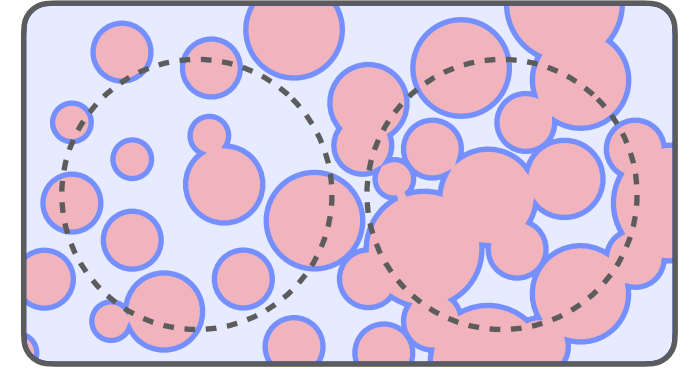
induces density fluctuations

consider a sphere of comoving radius $1/k$,

density contrast of this region



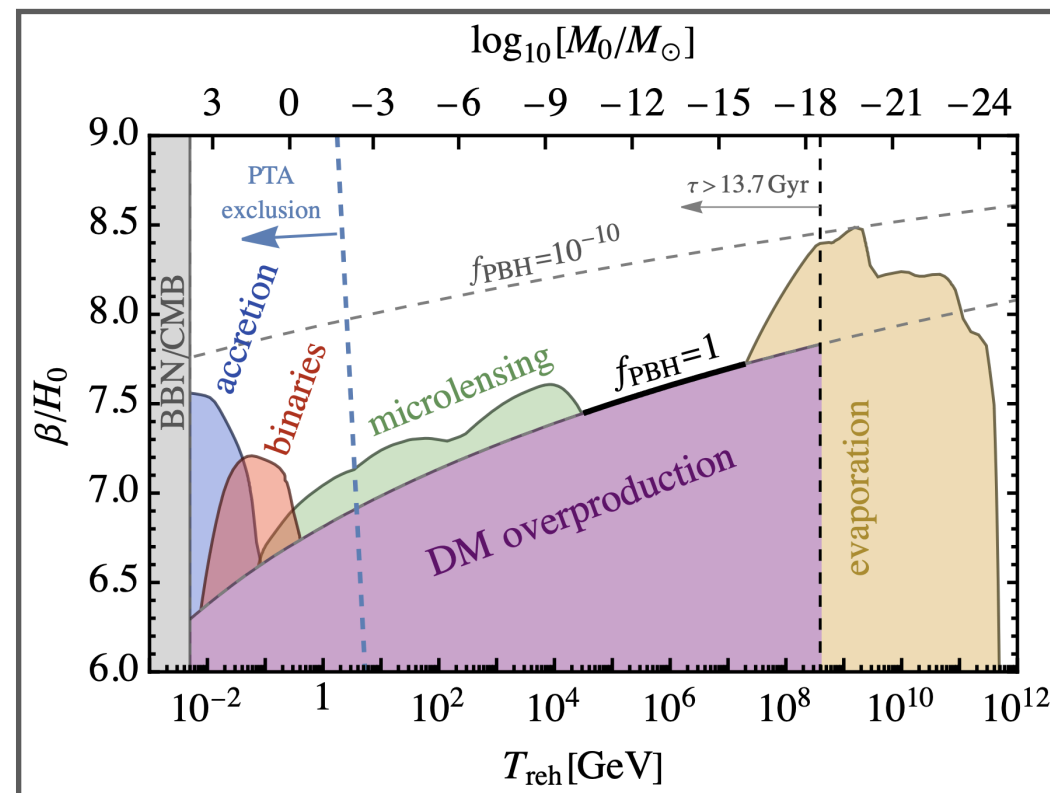
SLOW TRANSITION AND PBH FORMATION



➤ Setup & findings of [Lewicki, Troczek, Vaskonen '24]

② Perturbation

- For $\beta/H_* \lesssim 7$ the variance of the density contrast is so large that the density contrast δ exceeds the threshold for PBH formation $\delta_c = 0.55$ frequently enough to explain the whole DM by PBHs



GAUGE ISSUES?

[Franciolini, RJ, Gouttenoire 2503.01962]

.....

- δ is the density contrast, but in which gauge?
- Our point: δ should be interpreted as the density contrast in the flat gauge $\delta^{(F)}$, since in the algorithm of [Lewicki, Troczek, Vaskonen '24] the density contrast is computed in a *flat* FLRW universe
- On the other hand, the threshold $\delta_c \sim 0.5$ is estimated in the comoving gauge
- How would the conclusion change if we use the gauge consistently?

CONSISTENT TREATMENT OF THE GAUGE

[Franciolini, RJ, Gouttenoire 2503.01962]

► Perturbation equations we solve

encodes the false-vacuum fraction

$$\begin{aligned}\delta_k^{(F)'} + 3\mathcal{H}(c_s^2 - w)\delta_k^{(F)} &= (1 + w)\mathcal{V}_k - 3\mathcal{H}\delta_{p,\text{nad},k} \\ \Phi_k'' + 3(1 + c_s^2)\mathcal{H}\Phi_k' + [3(c_s^2 - w)\mathcal{H}^2 + c_s^2k^2]\Phi_k &= \frac{3}{2}\mathcal{H}\delta_{p,\text{nad},k} \\ \mathcal{V}_k &= -\frac{2}{3(1 + w)}\frac{\Phi_k' + \mathcal{H}\Phi_k}{\mathcal{H}}\end{aligned}$$

- Equation of state $w = \bar{p}/\bar{\rho}$ & sound speed $c_s^2 = \bar{p}'/\bar{\rho}'$
- Gauge-invariant Newtonian potential Φ & scalar velocity \mathcal{V}
- Gauge-invariant non-adiabatic pressure $\delta_{p,\text{nad}} = \frac{\delta p_{\text{nad}}}{\bar{\rho}}$, $\delta p_{\text{nad}} = \delta p^{(F)} - c_s^2\delta\rho^{(F)}$
- In the present case $\delta p_{\text{nad}} = \frac{1 - 3c_s^2}{3}\bar{\rho}\delta^{(F)} + \frac{4}{3}\Delta V \delta F^{(F)}$ fluctuation in the false-vacuum fraction

CONSISTENT TREATMENT OF THE GAUGE

[Franciolini, RJ, Gouttenoire 2503.01962]

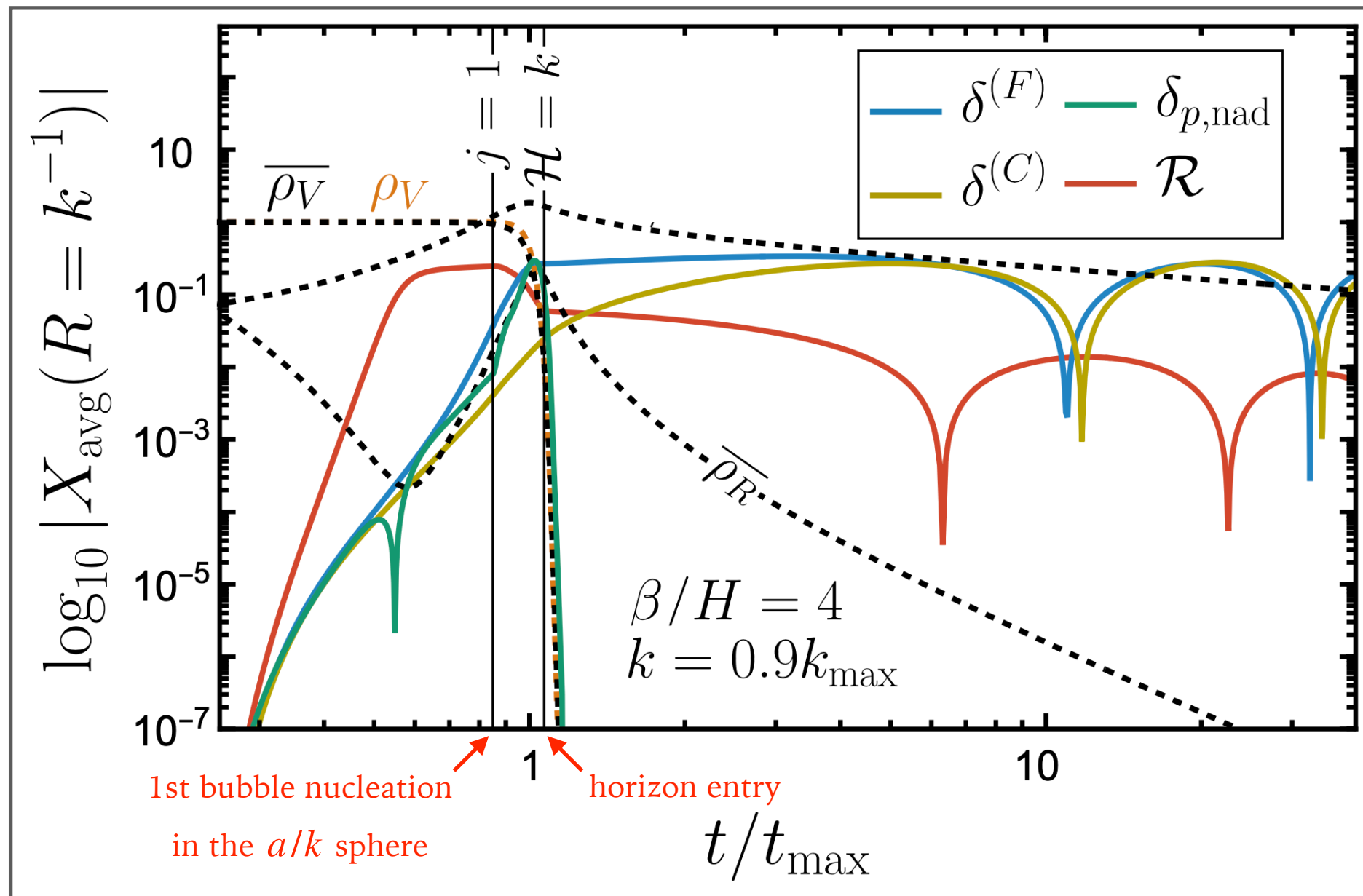
.....

- We use the (very efficient) code developed in [Lewicki, Troczek, Vaskonen '24]
to calculate the distribution of the fluctuation $\delta F^{(F)}$
- The only difference is we identify it as the quantity in the flat gauge
- Once the perturbation equations are solved, we also estimate $\delta_k^{(C)}$ with

$$\delta_k^{(C)} = \delta_k^{(F)} + (5 + 3w)\Phi_k + \frac{2\Phi'_k}{\mathcal{H}}$$

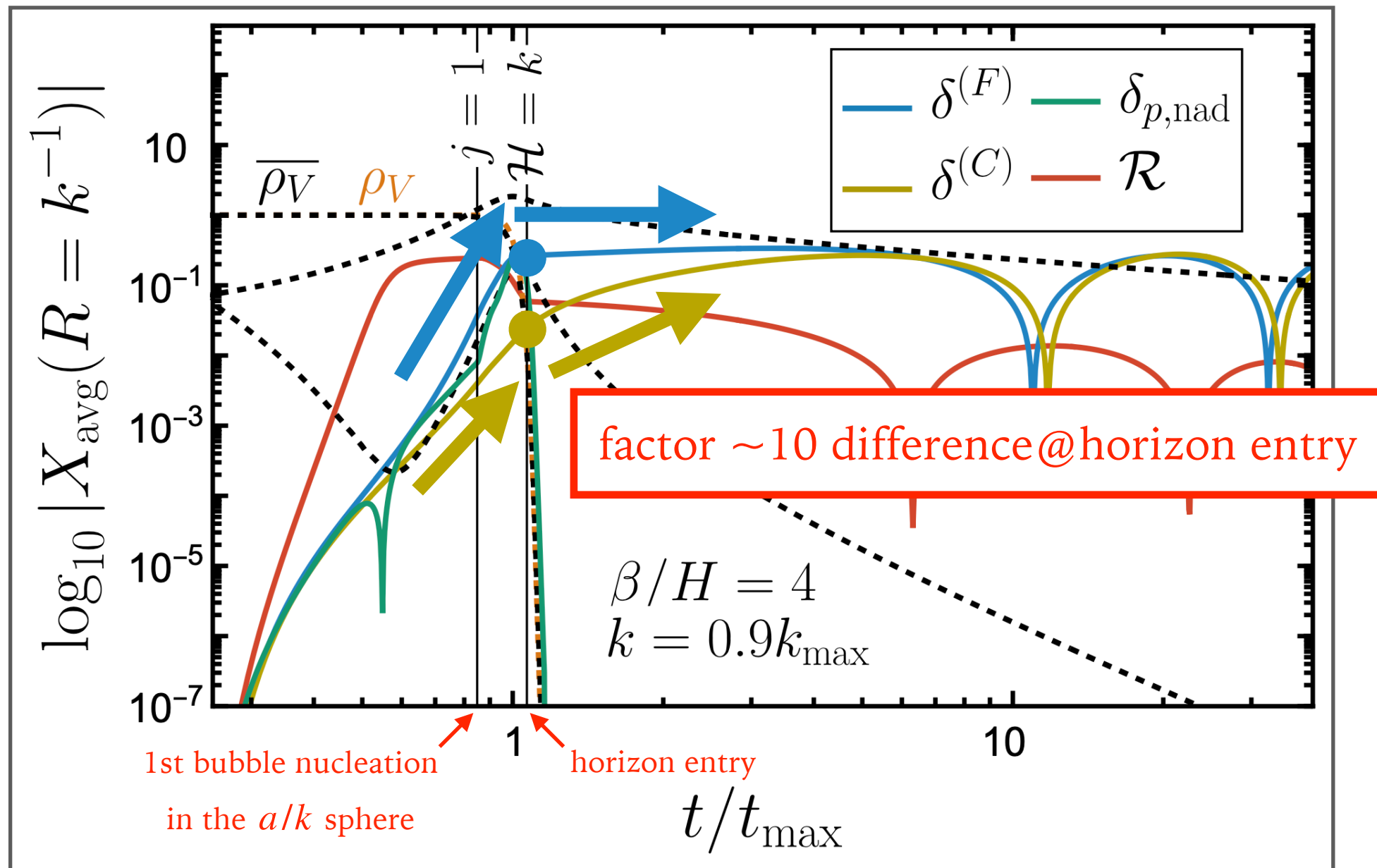
TYPICAL TIME EVOLUTION

- Point: difference between $\delta_k^{(F)}$ and $\delta_k^{(C)}$ around the horizon entry

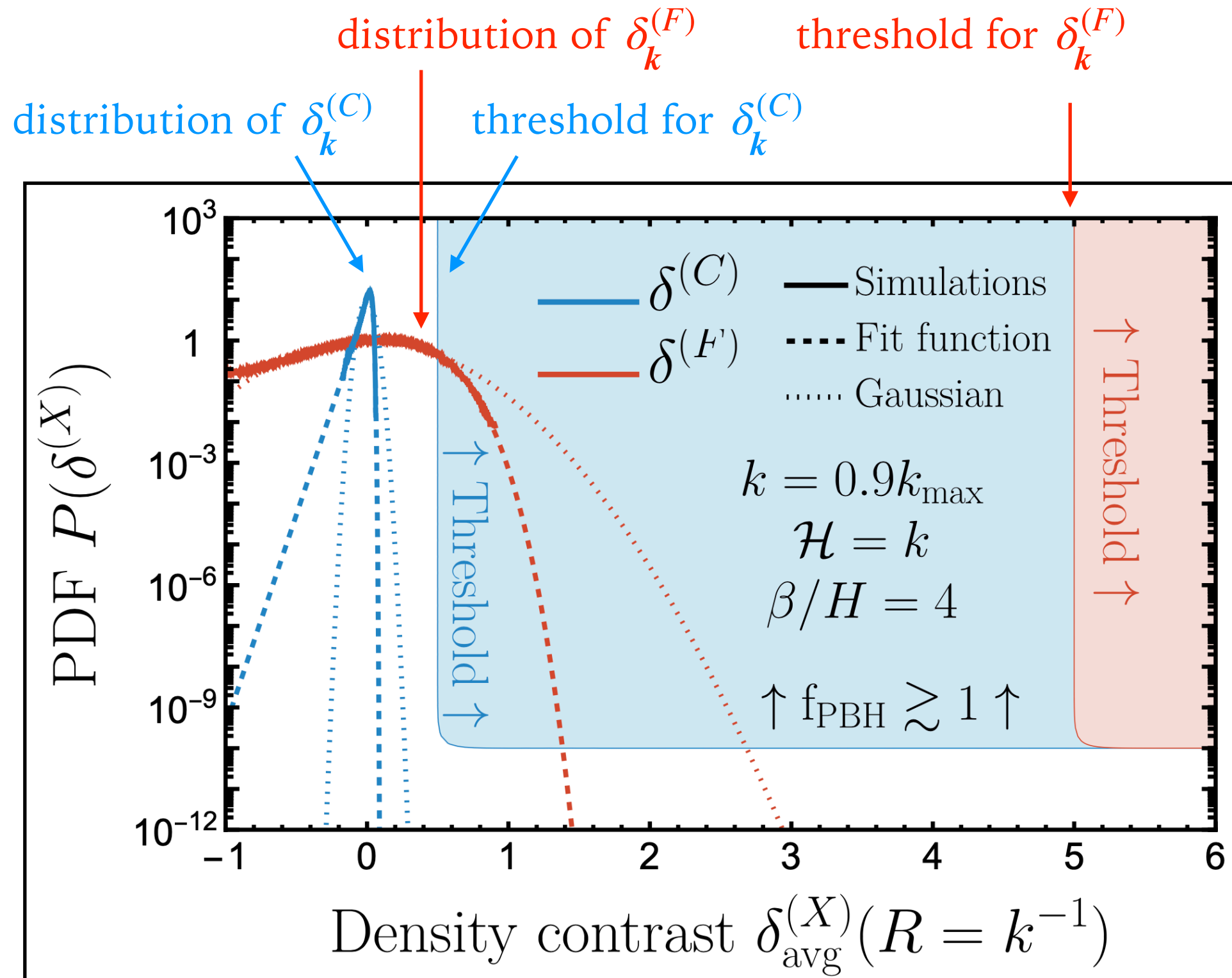


TYPICAL TIME EVOLUTION

- Point: difference between $\delta_k^{(F)}$ and $\delta_k^{(C)}$ around the horizon entry



IMPLICATION TO PBH FORMATION



SUMMARY FOR PART 2-2

- After carefully treating the gauge, PBH formation in supercooled FOPTs with $\beta/H \sim 7$ seems difficult
- Still missing some aspects?