Nuclear Dependence of the Transverse Single-Spin Asymmetry in the Production of Charged Hadrons at Forward Rapidity in Polarized p+p, p+Al, and p+Au Collisions at $\sqrt{s_{NN}}=200$ GeV

Mike Daugherity
Donald Isenhower
Rusty Towell

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C. Aidala,40 Y. Akiba,52,53 M. Alfred,3 V. Andrieux,40 N. Apadula,28 H. Asano,33,52 B. Azmoun,7 V. Babintsev,24 N. S. Bandara,12 K. N. Barish,9 S. Bathe,15 A. Bazilevsky,7 M. Beaumier,8 R. Belmont,12,46 A. Berdnikov,5 Y. Berdnikov,55 D. S. Blau,5,13 J. S. Bok,45 M. L. Brooks,35 J. Brulsawjky,45,5,8 V. Bumazhnov,24 S. Campbell,13
V. Canoa Roman,58 C. R. Cervantes,58 C. Y. Chi,13 M. Chiu,7 J. J. Choi,25 J. B. Choi,10,7 Z. Citron,63 M. Connors,21,53 N. Cronin,58 M. Csanád,16 T. Csörgő,17,64 T. W. Danley,47 M. S. Daugherity,1 G. David,7,15,58 K. DeBlasio,44 K. Dehmelt,58 A. Denisov,24 A. Deshpande,7,53 E. J. Desmond,7 A. Dion,58 D. Dixit,58 J. H. Do,65 A. Drees,8 K. A. Drees,6 J. M. Durham,35 A. Durum,24 A. Enokizono,52,54 E. J. Espinosa,7 A. Frawley,20 Y. Fukuda,61 C. Gal,58 P. Gallus,6 E. A. Gamez,40 P. Garg,5,54 H. Ge,58 F. Giordano,25 Y. Goto,52,53 N. Grau,2 S. V. Greene,62 M. Grosse Perdekamp,25 T. Gunji,11 H. Guragain,21 T. Hachiya,42,52,53 J. S. Haggerty,7 K. I. Hahn,18 H. Hamagaki,11 H. F. Hamilton,1 S. Y. Han,7 J. Hanks,59 T. L. Haseler,7 X. He,21 T. K. Hemmick,58 J. C. Hill,28 A. Hodges,21 R. S. Hollis,8 K. Homma,22 B. Hong,31 T. Hoshino,22 N. Hotvedt,28 J. Huang,7 S. Huang,62 K. Imai,29 M. Inaba,61 A. Iordanova,8 D. Isenhower,1 S. Ishimaru,42 D. Ivanishchev,51 B. V. Jacak,58 M. Jezghani,21 Z. Ji,58 X. Jiang,35 B. M. Johnson,7,21 D. Jouan,49 D. S. Jumper,22 J. H. Kang,65 D. Kapukchyan,8 S. Karthas,58 D. Kincses,16 E. Kistenev,7 J. Klatsky,20 P. Kline,58 T. Koblesky,12 D. Kotov,51,55 S. Kudo,61 B. Kurgyis,16 K. Kurita,54 Y. Kwon,65 J. G. Lajoie,28 A. Lebedev,28 S. Lee,65 S. H. Lee,28,58 M. J. Leitch,35 Y. H. Leung,58 N. A. Lewis,40 X. Li,35 S. H. Lim,35,65 M. X. Liu,35 V. -R. Loggins,25 S. Lökös,16,17 K. Lovasz,15 D. Lynch,7 T. Majoros,15 Y. I. Makdisi,7 C. A. Ogilvie,28 J. D. Orjuela Koop,12 J. D. Osborn,40 A. Oskarsson,36 G. J. Ottino,44 K. Ozawa,30,61 V. Pantuev,26 V. Papavassiliou,45 J. S. Park,5,7 S. Park,5,22,56,58 S. F. Pate,45 M. Patel,28 W. Peng,62 D. V. Perepelitsa,24 C. E. PerezLara,58 J. Perry,28 R. Petti,7 M. Phipps,7,25 C. Pinkenburg,7 R. P. Pisani,7 A. Pun,47 M. L. Purschke,7 P. V. Radzевич,55 K. F. Read,48,59 D. Reynolds,57 V. Riabov,43,51 Y. Riabov,51,55 D. Richford,7 T. Rinn,28 S. D. Rolnick,8 M. Rosati,28 Z. Rowan,5 J. Runchey,28 A. S. Safonov,55 T. Sakaguchi,1 H. Sako,79 V. Samsonov,43,51 M. Sarsour,21 S. Satow,29 C. Y. Scarlatt,19 B. Schaefer,62 B. K. Schmoll,59 K. Sedgwick,8 R. Seidl,52,53 A. Sen,28 R. Seto,8 A. Sexton,38 D. Sharma,58 I. Shein,24 T. A. Shibata,54 K. Shigaki,22 M. Shimomura,28,42 T. Shioya,61 P. Shukla,4 A. Sickles,25 C. Silvermyr,36 B. K. Singh,3 C. P. Singh,3 V. Singh,3 M. J. Skoby,40 M. Slunečka,9 K. L. Smith,20 M. Snowball,35 R. A. Soltz,34 W. E. Sondheim,35 S. P. Sorensen,59 I. V. Sourikova,7 P. W. Stankus,48 S. P. Stoll,7 T. Sugitate,22 A. Sukhanov,7 T. Sumita,52 J. Sun,58 Z. Sun,15 S. Suzuki,42 J. Szakal,56 K. Tanida,29,56 M. J. Tannenbaum,7 S. Tarafdar,62,65 A. Taranenko,43 G. Tarnai,15 R. Tieulent,21,37 A. Timilsina,28 T. Todorki,53,61 M. Tomášek,14 C. L. Towell,1 R. S. Towell,1 I. Tserurya,63 Y. Ueda,72 B. Ujvari,15 H. W. van Hecke,35 J. Velkovska,62 M. Virtus,14 V. Vrabec,14 N. Vukman,46 X. R. Wang,45,53 Z. Wang,5 Y. S. Watanabe,11 C. P. Wong,21 C. L. Woody,7 C. Xu,45 Q. Xu,62 L. Xue,21 S. Yalcin,58 Y. L. Yamaguchi,53,58 H. Yamamoto,61 A. Yanovich,24 J. H. Yoo,31,53 I. Yoon,56 H. Yu,45,50 I. E. Yushmanov,32 W. A. Zajc,13 A. Zelenski,6 Y. Zhai,28 S. Zharko,55 and L. Zou8

(PHENIX Collaboration)

1Abilene Christian University, Abilene, Texas 79699, USA
2Department of Physics, Augustana University, Sioux Falls, South Dakota 57197, USA
3Department of Physics, Banaras Hindu University, Varanasi 221005, India
4Bhabha Atomic Research Centre, Bombay 400 085, India
5Baruch College, City University of New York, New York, New York 10010, USA

Published by the American Physical Society
Collider-Accelerator Department, Brookhaven National Laboratory, Upton, New York 11973-5000, USA

Physics Department, Brookhaven National Laboratory, Upton, New York 11973-5000, USA

University of California-Riverside, Riverside, California 92521, USA

Charles University, Ovocný trh 5, Praha 1, 116 36, Prague, Czech Republic

Chonbuk National University, Jeonju, 561-756, Korea

Center for Nuclear Study, Graduate School of Science, University of Tokyo, 7-3-1 Hongo, Bunkyo, Tokyo 113-0033, Japan

University of Colorado, Boulder, Colorado 80309, USA

Columbia University, New York, New York 10027 and Nevis Laboratories, Irvington, New York 10533, USA

Czech Technical University, Zikova 4, 166 36 Prague 6, Czech Republic

ELTE, Eötvös Loránd University, H-1117 Budapest, Pázmány P. s. 1/A, Hungary

Eötvös Károly University, Károly Róbert Campus, H-3200 Göögyös, Mátraút 36, Hungary

Ewha Womans University, Seoul 120-750, Korea

Florida A&M University, Tallahassee, Florida 32307, USA

Florida State University, Tallahassee, Florida 32306, USA

Georgia State University, Atlanta, Georgia 30303, USA

Hiroshima University, Kagamiyama, Higashi-Hiroshima 739-8526, Japan

Department of Physics and Astronomy, Howard University, Washington, D.C. 20059, USA

IHEP Protvino, State Research Center of Russian Federation, Institute for High Energy Physics, Protvino, 142281, Russia

University of Illinois at Urbana-Champaign, Urbana, Illinois 61801, USA

Institute for Nuclear Research of the Russian Academy of Sciences, prospekt 60-letiya Oktaybrya 7a, Moscow 117312, Russia

Institute of Physics, Academy of Sciences of the Czech Republic, Na Slovance 2, 182 21 Prague 8, Czech Republic

Iowa State University, Ames, Iowa 50011, USA

Advanced Science Research Center, Japan Atomic Energy Agency, 2-4 Shirakata Shirane, Tokai-mura, Naka-gun, Ibaraki-ken 319-1195, Japan

KEK, High Energy Accelerator Research Organization, Tsukuba, Ibaraki 305-0801, Japan

Korea University, Seoul 02841, Korea

National Research Center “Kurchatov Institute”, Moscow, 123098 Russia

Kyoto University, Kyoto 606-8502, Japan

Lawrence Livermore National Laboratory, Livermore, California 94550, USA

Los Alamos National Laboratory, Los Alamos, New Mexico 87545, USA

Department of Physics, Lund University, Box 118, SE-221 00 Lund, Sweden

IPNL, CNRS/IN2P3, Univ Lyon, Université Lyon 1, F-69622, Villeurbanne, France

University of Maryland, College Park, Maryland 20742, USA

Department of Physics, University of Massachusetts, Amherst, Massachusetts 01003-9337, USA

Department of Physics, University of Michigan, Ann Arbor, Michigan 48109-1040, USA

Muhlenberg College, Allentown, Pennsylvania 18104-5586, USA

Nara Women’s University, Kita-uyo Nishi-machi Nara 630-8506, Japan

National Research Nuclear University, MEPhI, Moscow Engineering Physics Institute, Moscow, 115409, Russia

University of New Mexico, Albuquerque, New Mexico 87131, USA

New Mexico State University, Las Cruces, New Mexico 88003, USA

Physics and Astronomy Department, University of North Carolina at Greensboro, Greensboro, North Carolina 27412, USA

Department of Physics and Astronomy, Ohio University, Athens, Ohio 45701, USA

Oak Ridge National Laboratory, Oak Ridge, Tennessee 37831, USA

IPN-Orsay, Univ. Paris-Sud, CNRS/IN2P3, Université Paris-Saclay, BP1, F-91406, Orsay, France

Peking University, Beijing 100871, People’s Republic of China

Petersburg Nuclear Physics Institute, Gatchina, Leningrad region, 188300, Russia

RIKEN Nishina Center for Accelerator-Based Science, Wako, Saitama 351-0198, Japan

RIKEN BNL Research Center, Brookhaven National Laboratory, Upton, New York 11973-5000, USA

Physics Department, Rikkyo University, 3-34-1 Nishi-Ikebukuro, Toshima, Tokyo 171-8501, Japan

Saint Petersburg State Polytechnical University, St. Petersburg, 195251 Russia

Department of Physics and Astronomy, Seoul National University, Seoul 151-742, Korea

Chemistry Department, Stony Brook University, SUNY, Stony Brook, New York 11794-3400, USA

Department of Physics and Astronomy, Stony Brook University, SUNY, Stony Brook, New York 11794-3800, USA

University of Tennessee, Knoxville, Tennessee 37996, USA

Department of Physics, Tokyo Institute of Technology, Oh-okayama, Meguro, Tokyo 152-8551, Japan

Tomonaga Center for the History of the Universe, University of Tsukuba, Tsukuba, Ibaraki 305, Japan

Vanderbilt University, Nashville, Tennessee 37235, USA

Weizmann Institute, Rehovot 76100, Israel
We report on the nuclear dependence of transverse single-spin asymmetries (TSSAs) in the production of positively charged hadrons in polarized $p^\uparrow + p$, $p^\uparrow + Al$, and $p^\uparrow + Au$ collisions at $\sqrt{s_{NN}} = 200$ GeV. The measurements have been performed at forward rapidity ($1.4 < \eta < 2.4$) over the range of transverse momentum ($1.8 < p_T < 7.0$ GeV/c) and Feynman $x$ ($0.1 < x_F < 0.2$). We observed positive asymmetries for positively charged hadrons in $p^\uparrow + p$ collisions, and significantly reduced asymmetries in $p^\uparrow + A$ collisions. These results reveal a nuclear dependence of TSSAs for charged-hadron production in a regime where perturbative techniques are applicable. These results provide new opportunities to use $p^\uparrow + A$ collisions as a tool to investigate the rich phenomena behind TSSAs in hadronic collisions and to use TSSAs as a new handle in studying small-system collisions.

DOI: 10.1103/PhysRevLett.123.122001

Understanding the transverse-single-spin asymmetries (TSSAs) that describe the azimuthal-angular dependence of particle production relative to the transverse-spin direction of the polarized proton in the reaction $p^\uparrow + p \to h + X$ has been a long-standing puzzle. The first observations in pion production at large Feynman $x$ ($x_F$) [1] showed measured TSSAs that were considerably larger than early theoretical predictions (in the collinear leading twist approach) [2]. Surprisingly large measured TSSAs continued to persist in hadronic collisions at high energies up to $\sqrt{s} = 500$ GeV [3–14]. To explain these large TSSAs, two approaches were proposed within perturbative quantum chromodynamics (pQCD). One approach is called transverse-momentum-dependent factorization, in which TSSAs are generated by correlations between the nucleons transverse spin direction and the transverse momentum of a parton in the polarized nucleon (Sivers effect [15,16]), and from the fragmentation of a transversely polarized parton into a final-state hadron (Collins effect [17]). Another approach, directly applicable to single-hadron production (with $p_T \gg \Lambda_{QCD}$) presented in this Letter is the twist-3, collinear-factorization framework [18]. The full description of TSSAs in $p^\uparrow + p \to h + X$ in the twist-3 collinear factorization includes twist-3 functions from the polarized proton, the unpolarized proton, and the parton fragmentation into final-state hadrons. The twist-3 functions describe quark-gluon-quark correlations and trigluon correlations in the polarized proton and have been studied in detail [19–27]. Recently, calculations of the twist-3 contribution from parton fragmentation have been carried out and have shown this to be an important mechanism for understanding TSSA measurements [28–30].

The Relativistic Heavy Ion Collider (RHIC) is a unique facility that can accelerate polarized protons and collide them with other (polarized) protons or nuclei [31]. The extension of TSSA measurements to $p^\uparrow + A$ collisions not only gives us a crucial tool for understanding the nature of TSSAs, but also provides a new handle for studying $p + A$ collisions and the parton dynamics inside nuclei, where many emergent effects remain to be understood. These include the so-called “Cronin” effect, an enhancement in the inclusive hadron $p_T$ spectrum with respect to $p + p$ collisions at moderate $p_T$ of approximately $2 < p_T < 6$ GeV/c that is proposed to be due to multiple scattering effects in the nuclear medium and modified hadronization mechanism [32–35]. Another exciting observation is that the collective behavior across large pseudorapidity ranges in high multiplicity $p + A$ collisions may indicate quark-gluon-plasma formation [36–38]. Furthermore, when hadron production is measured in the proton-going direction, the properties of nuclear gluons in the small-$x$ region can be probed, where $x$ is the fraction of the proton’s longitudinal momentum carried by the parton. The dynamics of gluons in the small-$x$ regime, where the gluon density is predicted to increase drastically, can be described by the color-glass condensate (CGC) formalism [39] at the saturation scale $Q_s$, where $Q^2_{sA} \propto A^{1/3}$ for the target nucleus [40,41]. In recent years, substantial attention has been given to an interplay between small-$x$ physics and spin physics by studying TSSAs in transversely polarized proton and ion collisions ($p^\uparrow + A$) and gluon saturation effects in a nucleus are taken into account for various calculations of TSSAs in $p^\uparrow + A$ collisions [40–51]. An $A$ dependence of TSSAs can arise from the $A$ dependence of $Q_s$ when the probe is at or below $Q_s$, while TSSAs are expected to be $A$ independent at higher scales [42,43,49–51]. Therefore, experimental data

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on hadron TSSAs measured in \( p + A \) collisions with varying \( A \) size will provide valuable information testing these models and bring new insights in understanding the dynamics of the \( p + A \) collisions.

We report here on the observation of a nuclear dependence of TSSAs of positively charged-hadron production at forward rapidity (0.1 < \( x_F \) < 0.2 and 1.4 < \( \eta \) < 2.4, probing 0.004 < \( x \) < 0.1 in the nucleus) in collisions between transversely polarized protons and unpolarized protons or nuclei, \( p^+ + p \), \( p^+ + Al \), \( p^+ + Au \) at \( \sqrt{s_{NN}} = 200 \text{ GeV} \) measured with the PHENIX detector. The positively charged hadron is preferred in the nuclear-dependence measurement because the significance of TSSAs for negatively charged hadrons will be reduced by the partial cancellation of the asymmetry due to opposite signs of TSSAs for \( \pi^- \) and \( K^- \) in \( p^+ + p \) collisions [8,10]. In this measurement, we follow the convention to quantify TSSAs as \( A_N \), where \( A_N \) is the modulation of the azimuthal angle of the hadron (\( \phi_h \)) relative to the azimuthal angle of the transverse spin of the proton (\( \phi_{pol} \)), i.e., hadron-production cross section \( \sigma = 1 + A_N \sin(\phi_{pol} - \phi_h) \).

The data from transversely polarized \( p^+ + p \), \( p^+ + Al \), and \( p^+ + Au \) collisions at \( \sqrt{s_{NN}} = 200 \text{ GeV} \) were collected with the PHENIX detector during the RHIC 2015 running period. Proton beams were polarized vertically with respect to the beam direction with an average polarization of 58\% (clockwise beam) or 57\% (counterclockwise beam) for \( p^+ + p \), 58\% for \( p^+ + Al \), and 61\% for \( p^+ + Au \) collisions, with a relative uncertainty of 3\% due to uncertainty in the polarization normalization. The beams are bunched. To minimize systematic effects due to time dependence of machine and detector performance, the spin configuration of the colliding bunches is alternated every 106 ns.

The PHENIX detector comprises two central arms at midrapidity and two muon arms at forward rapidity [52,53]; only reconstructed tracks from the muon arms are used for this analysis. The two muon spectrometers cover 1.2 < \( \eta \) < 2.4 (polarized \( p \)-going direction) and −2.2 < \( \eta \) < −1.2 (A-going direction) in pseudorapidity with full azimuthal angle coverage. Each muon arm has 7.5 nuclear interaction lengths (\( \lambda_d \)) of hadron absorber followed by a muon tracker (MuTr), which is a set of three stations of cathode strip chambers for momentum measurements of charged particles. The MuTr determines the momentum of a charged particle in a radial magnetic field of \( \int Bdl = 0.72 \text{ Tm} \) with a momentum resolution of\( \delta p/p \approx 0.05 \) for hadrons in the kinematic range of this analysis. A muon identifier (MuID), located behind the MuTr, comprises five layers of stainless-steel absorbers (≈5\( \lambda_d \) total) and Iarocci tube planes. The MuID helps to identify muons and hadrons based on the penetration depth of the tracks at \( p_z \gtrsim 3.5 \text{ GeV}/c \) [54].

The beam-beam counters (BBCs) [55], at \( z = \pm 144 \text{ cm} \) from the nominal interaction point, comprise two arrays of 64 quartz Cherenkov detectors and cover the full azimuth and the pseudorapidity range 3.1 < \( \eta \) < 3.9. The BBCs are used to determine the collision vertex \( z \) position (\( |z| < 30 \text{ cm cut was used in this analysis} \)) as well as to provide a minimum-bias (MB) trigger with efficiencies of 55\% for \( p + p \), 72\% for \( p + Al \), and 84\% for \( p + Au \) collisions. The A-going side of the BBC is also used to determine the event centrality based on the distribution of the charge sum [56]. The recorded events are sampled by the MB trigger combined with muon triggers to enrich good muon and hadron tracks. The MuID provides a trigger for events containing one or more hadron or muon candidates. Momentum-sensitive triggering is provided by hit information from the MuTr to enrich tracks with \( p_T > 3 \text{ GeV}/c \) [57].

This analysis uses only charged tracks that stop in the middle of the MuID planes (third or fourth plane out of five planes) due to a hadronic interaction with the absorber material. In the kinematic region of 0.1 < \( x_F \) < 0.2, where the longitudinal momentum of particles is larger than 10 \text{ GeV}/c, positively charged hadron candidates mostly comprise \( \pi^+ \) and \( K^+ \).

The particle composition in the measured charged-hadron sample was estimated with a method developed in Refs. [54,58], based on identified charged-hadron spectra measured at midrapidity in \( p + p \) and \( d + Au \) collisions at RHIC [35,59,60], and extrapolated to PHENIX muon arm rapidity region of 1.2 < \( \eta \) < 2.4 for \( p + p \), \( p + Al \) and \( p + Au \) collisions using PYTHIA [61] and HIJING [62] event generators. The \( K^+/\pi^+ \) ratio of \( \sim 0.35 \), as measured at RHIC at midrapidity at \( p_T \sim 2 \text{ GeV}/c \) (typical for our data) [35,59,60], was found approximately unchanged when extrapolated to forward rapidity in both \( p + p \) and \( p + A \) collisions. The \( p/\pi^+ \) ratio of \( \sim 0.25 \) (\( \sim 0.35 \)) at midrapidity in \( p + d \) (\( d + Au \) collisions) [35,59,60] was extrapolated to the value of \( \sim 0.3 \) (\( \sim 0.5 \)) at the muon arm rapidity, with ratios in \( p + Al \) and \( p + Au \) collisions being in between values for \( p + p \) and \( d + Au \) collisions. The initial charged hadron composition is significantly modified due to particle interaction in the detector material, which according to Geant4-based [63] detector simulation modifies the initial \( K^+/\pi^+ \) (\( p/\pi^+ \)) ratio by a factor of 2.7 (0.4), which varies by \( \approx 5\% \) for different hadron interaction models [63]. As a result, the \( \pi^+/K^+/p \) particle composition in our measured positively charged-hadron sample is evaluated to be 45\%/47\%/5\% in \( p + p \) collisions, with increased proton fraction to 7\% (9\%) in \( p + Al \) (\( p + Au \)) collisions.

The unbinned maximum-likelihood method for extracting \( A_N \) was established in a previous study [64] that used the same detectors. Compared to binned approaches, this method is robust even for low-statistics data. The extended log-likelihood is defined to be

\[
\log L = \sum_i \log [1 + P A_N \sin(\phi_{pol} - \phi_h^i)] + \text{const.}
\]
where $\phi_h^i$ is the azimuthal angle of the $i$th hadron with respect to the direction of the polarized proton beam, $\phi_{\text{pol}}^i$ is the azimuthal angle for the beam polarization direction, which in the 2015 PHENIX run takes the values $+/-(\pi/2)$ for $\uparrow/\downarrow$ spin-signed beam bunches, respectively, and $P$ is the beam polarization. The asymmetry $A_N$ is determined by maximizing log $L$. For $p^+ + p$ collisions, both beams are polarized; therefore the values of $A_N$ were measured separately for each beam, found to be consistent, and were averaged in the final result. For $p^+ + A$ collisions, only the clockwise proton beam was polarized. The statistical uncertainty was calculated from the second derivative of the log-likelihood estimator,

$$\sigma^2(A_N) = \left(-\frac{\partial^2 L}{(\partial A_N)^2}\right)^{-1}. \quad (2)$$

The $A_N$ calculated from the likelihood method is compared with the following azimuthal-fitting method based on the polarization formula [65]:

$$A_N(\phi) = \frac{\sigma^\uparrow(\phi) - \sigma^\downarrow(\phi)}{\sigma^\uparrow(\phi) + \sigma^\downarrow(\phi)} = \frac{N^\uparrow(\phi) - R N^\downarrow(\phi)}{P N^\uparrow(\phi) + R N^\downarrow(\phi)}, \quad (3)$$

where $A_N(\phi)$ is the simple count-based transverse single-spin asymmetry in each of the 16 azimuthal $\phi$-bins, $\sigma^\uparrow$, $\sigma^\downarrow$ are cross sections for each polarization of spin up or down, $N^\uparrow$, $N^\downarrow$ are yields, and $R = L^\uparrow/L^\downarrow$ is the luminosity ratio (relative luminosity) between bunches with spin up and down, determined from the number of sampled MB triggers corresponding to different spin orientations. From this, $A_N$ is extracted from the fit of Eq. (3) with a function $A_N^i \sin(\phi_{\text{pol}}^i - \phi)$, where $\phi_{\text{pol}}^i = \pi/2$ is the azimuthal direction of the upward polarized bunches. Because every detector element is simultaneously used for the measurements with spin-up and -down, the possible systematic effects from acceptance nonuniformity and acceptance variation versus time are largely canceled. The relative variation between this method and the log likelihood method is included in the systematic uncertainty.

Figure 1 shows the reconstructed azimuthal modulation of positively charged hadrons for $0.1 < x_F < 0.2$ and $1.8 < p_T < 7.0$ GeV/c in $p^+ + p$, $p^+ + Al$, and $p^+ + Au$ collisions at $\sqrt{s_{NN}} = 200$ GeV, as calculated using Eq. (3). The relatively larger statistical uncertainty in the bin at $\phi \sim 0.6$ rad is caused by a known detector inefficiency. The $\chi^2/NDF$ of the fits are 10.1/15 for $p^+ + p$, 13.5/15 for $p^+ + Al$, and 9.8/15 for $p^+ + Au$. The $p^+ + p$ results show a clear nonzero modulation, while the $p^+ + Al$ results show a weaker modulation. In $p^+ + Au$ collisions, the modulation is consistent with zero within the statistical uncertainty.

The finite momentum and azimuthal angle $\phi$ resolution in the MuTr and the interactions of particles with the materials prior to entering the MuTr lead to a kinematic smearing for the $A_N$ measurement. This smearing effect was studied and corrected with a full detector Geant4 simulation. The effect due to the $\phi$ smearing was found to be negligible. The momentum smearing effect was evaluated by solving a set of linear equations connecting $A_N$ for the true $x_F$ bins ($A_N^{\text{truth}}$) and $A_N$ for the reconstructed $x_F$ bins ($A_N^{\text{reco}}$):

$$A_N^{\text{reco},m} = \sum_i f^{i-m} \cdot A_N^{\text{truth},i}, \quad (4)$$

where $A_N^{\text{reco},m}$ is $A_N$ for the $m$-th reconstructed $x_F$ bin from this measurement and $A_N^{\text{truth},i}$ is that for the $i$th true $x_F$ bin. $f^{i-m}$ represents the fraction of charged particles whose true $x_F$ at the collision vertex belongs to the $i$th true $x_F$ bin and is reconstructed as being in the $m$th $x_F$ bin. $f^{i-m}$ is obtained from the Geant4 detector simulation. For calculating $A_N^{\text{truth}}$ by solving Eq. (4), the $A_N^{\text{reco}}$ is measured in a wider $x_F$ range $0.035 < x_F < 0.3$, by including two bins at lower $x_F$ and one bin at higher $x_F$. The resulting smearing-corrected $A_N^{\text{truth}}$ of the positively charged hadrons in bins $0.1 < x_F < 0.2$ are shown in Table I. The difference between the obtained $A_N^{\text{true}}$ and the measured $A_N^{\text{reco}}$ is small compared to the statistical uncertainty and is accounted for in the systematic uncertainty.

Table I also summarizes the systematic uncertainties for the $A_N$ measurements. The difference of $A_N$ extracted with two methods, Eqs. (1) and (3), is shown as $\delta A_N^{\text{method}}$. The difference between the obtained $A_N^{\text{true}}$ and measured $A_N^{\text{reco}}$
is assigned as a conservative systematic uncertainty due to the smearing effect, $\delta A_N^{\text{smear}}$. The total systematic uncertainty $\delta A_N^{\text{sys}}$ is calculated as a quadratic sum of these two uncertainties.

Figure 2 shows $A_N$ of positively charged hadrons in $p^\uparrow + p$, $p^\uparrow + Al$, and $p^\uparrow + Au$ collisions vs $A^{1/3}$ and the average number of nucleon-nucleon collisions $N_{\text{coll}}^{\text{avg}}$. The $N_{\text{coll}}^{\text{avg}}$ is calculated using the Glauber model [66] for each centrality class in $p^\uparrow + A$ collisions [56]. The figure caption and legends denote the ranges of parameters and give the determined values of the power parameters $\alpha$ and $\beta$. Panels (b) and (d) show the $\chi^2$ distributions with only statistical uncertainties included.

The recent efforts to calculate $A_N$ in $p^\uparrow + p$ and $p^\uparrow + A$ collisions, accounting for gluon saturation effects [30, 49–51] suggested that $A_N$ could be $A$ independent or $A^{-1/3}$ dependent for the different contributions to $A_N$ in the region where $p_T < Q_s$. However, $(p_T) \sim 2.9 \text{ GeV}/c$ in our results is much larger than the saturation scale in the Au nucleus ($Q_s^{\text{Au}} \sim 0.9 \text{ GeV}$) for the kinematics of this measurement and would lead to no strong $A$ dependence of TSSAs under these models, as calculated in Ref. [51]. Nevertheless, the results in this Letter strongly disfavor the $A$-independent scenario.

The $N_{\text{coll}}^{\text{avg}}$ dependence of $A_N$ also suggests the decrease of $A_N$ is related to the density of nuclear matter inside the target nucleus which the projectile proton traverses. This $N_{\text{coll}}^{\text{avg}}$ dependence of $A_N$ could be related to novel effects in $p + A$ collisions, such as multiple scattering of partons in the initial and/or final stages of the hard scattering, which is also indicated in the recent results of the nuclear modification of single hadron production and transverse momentum broadening in dihadron correlations in $p + A$ collisions [35,67,68]. Another possibility is interaction of the parton with hot QCD matter produced in $p + A$ collisions, as suggested by recent results in small systems [36–38].

We note preliminary results from the STAR Collaboration [69] of measured $A_N$ for $s^0$ in $p^\uparrow + p$ and $p^\uparrow + Au$ collisions in more forward kinematics at $2.6 < \eta < 4.0$, $0.2 < x_F < 0.7$, and $p_T > 1.5 \text{ GeV}/c$ that show small or no $A$ dependence. The dramatic difference in $A$-dependence of TSSAs in different particle species and kinematic range emphasizes the importance of further detailed studies of $A_N$ for different particle species over wide kinematics.

To summarize, we have reported $A_N$ of positively charged hadrons for $1.4 < \eta < 2.4$, $0.1 < x_F < 0.2$, and $1.8 < p_T < 7.0 \text{ GeV}/c$ in $p^\uparrow + p$, $p^\uparrow + Al$, and $p^\uparrow + Au$ collisions at $\sqrt{s_{\text{NN}}} = 200 \text{ GeV}$. For the first time, we observed an $A$ independent $A_N$ in light hadron production in $p + A$ collisions, with the asymmetry values dropping from $\sim 3\%$ in $p + p$ collisions to a value consistent with zero in $p + Au$ collisions. These results may provide new insights into the origin of $A_N$ and a unique tool to investigate the rich phenomena behind TSSAs in hadronic collisions and to use TSSAs as a new approach to studying the small-system collisions.

We thank the staff of the Collider-Accelerator and Physics Departments at Brookhaven National Laboratory and the staff of the other PHENIX participating institutions for their vital contributions. We also thank D. Pitonyak and M. Sievert for very useful discussions. We acknowledge support from the Office of Nuclear Physics in the Office of Science of the Department of Energy, the National Science Foundation, Abilene Christian University Research Council, Research Foundation of SUNY, and Dean of the College of Arts and Sciences, Vanderbilt University (U.S.A), Ministry of Education, Culture, Sports, Science, and Technology and the Japan Society for the Promotion of Science (Japan), Conselho Nacional de Desenvolvimento Científico e Tecnológico and Fundação de Amparo à Pesquisa do Estado de São Paulo (Brazil), National Science Foundation of China (People’s Republic of China), Croatian Science Foundation and Ministry of Science and Education (Croatia), Ministry of Education, Youth and Sports (Czech Republic), Centre National de la Recherche Scientifique, Commissariat à l’Énergie Atomique, and Institut National de Physique Nucléaire et de Physique des Particules (France), Bundesministerium für Bildung und Forschung, Deutscher Akademischer Austausch Dienst, and Alexander von Humboldt Stiftung (Germany), J. Bolyai Research Scholarship, EFOP, the
New National Excellence Program (ÚNKP), NKFIH, and OTKA (Hungary), Department of Atomic Energy and Department of Science and Technology (India), Israel Science Foundation (Israel), Basic Science Research and SRC(CENuM) Programs through NRF funded by the Ministry of Education and the Ministry of Science and ICT (Korea). Physics Department, Lahore University of Management Sciences (Pakistan), Ministry of Education and Science, Russian Academy of Sciences, Federal Agency of Atomic Energy (Russia), VR and Wallenberg and Science, Russian Academy of Sciences, Federal ICT (Korea). Physics Department, Lahore University of Ministry of Education and the Ministry of Science and Technology (India), Israel Science Foundation, Fulbright Foundation, and the US-Israel Binational Enterprise Scholarship Fund, the US-Hungarian Fulbright Foundation, and the US-Israel Binational Science Foundation.

*Deceased.

PHENIX Spokesperson.
akiba@rcf.rhic.bnl.gov

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