Assumptions of Physics Summer School 2024

Quantum Physics

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Main goal of the project

Identify a handful of physical starting points from which the basic laws can be rigorously derived

For example:





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This also requires rederiving all mathematical structures from physical requirements

For example:

Science is evidence based \Rightarrow scientific theory must be characterized by experimentally verifiable statements \Rightarrow topology and σ -algebras





If physics is about creating models of empirical reality, the foundations of physics should be a theory of models of empirical reality

Requirements of experimental verification, assumptions of each theory, realm of validity of assumptions, ...





Reverse physics: Start with the equations, reverse engineer physical assumptions/principles

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Goal: find the right overall physical concepts, "elevate" the discussion from mathematical constructs to physical principles

Physical mathematics: Start from scratch and rederive all mathematical structures from physical requirements



Goal: get the details right, perfect one-to-one map between mathematical and physical objects



This session

Reverse Physics: Quantum Physics



Classical failure (isolation)



To define a system, we have to define a boundary The interaction at the boundary determines what states can be defined for the system https://assumptionsofphysics.org/ Assumptions Physics

Suppose we want to study the motion of a cannonball

However, the effect will be negligible



Air will scatter off its surface

The state of the cannonball can be taken to be a precise value of position and momentum



Suppose we want to study the motion of a speck of dust

The effect will not be negligible



Air will scatter off its surface

The state of the speck of dust will be a probability distribution over position and momentum



Suppose we want to study the motion of a cannonball on the surface of the sun

The effect will be catastrophic



Plasma will scatter off its surface

The cannonball will melt and cease to exist as a cannonball



Interaction at the boundary is important for the very definition of a system

Classical mechanics assumes objects can be adequately isolated

 $x + \eta$



Classical mechanics assumes we can study parts of objects, as small as we want

These two assumptions are "incompatible": at some point parts are going to be so small that they cannot be assumed to be adequately isolated



Classical mechanics fails because we can never completely isolate a system

On practical grounds – we simply cannot do it

On theoretical grounds – we cannot shield gravitational interactions, we cannot eliminate thermal radiation

On logical grounds – complete isolation means no possible interaction with the system, signals would pass through, no possible measurement, no gravity, the system disappears from our universe

therefore the most accurate description must be statistical/probabilistic in nature



Classical failure (entropy)



Logarithm of accessible microstates

 $\log W$

W is the phase-space volume

volume of a point is zero

$$\log 0 \rightarrow -\infty$$

Gibbs/Shannon entropy

$$-\int \rho \log \rho$$

 ρ is a $\delta\text{-function}$

 ρ non-zero only where $\rho \rightarrow \infty$

$$-\infty \log \infty \rightarrow -\infty$$

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The entropy of a "pure" microstate in classical statistical mechanics is $-\infty$

Recall the third law of thermodynamics

Every system has positive finite entropy. The entropy of a perfect crystal at absolute zero temperature is zero

Classical perfect crystal \rightarrow single microstate \rightarrow entropy is $-\infty$

Classical mechanics is inconsistent with the third law of thermodynamics

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Assumptions

Physics



Recall the second law of thermodynamics

We cannot create an engine that converts heat into work without increasing entropy

A system with entropy $-\infty$ provides a loophole: since $-\infty + \Delta S = -\infty$ for all finite ΔS , we can effectively "dump" all the entropy increase into it

We could avoid the effects of the second law of thermodynamics



What is zero entropy?

Entropy is additive for independent systems: $S_{A+B} = S_A + S_B$

The empty system \emptyset acts as a zero under system combination: $A + \emptyset = A$

Therefore it must be that the entropy of the empty system is zero: $S_{\phi} = 0$

There is only one possible state for the empty system, and it is a complete description

Entropy lower than zero would correspond to a description that is more refined, more precise, than that of an empty system

From an information theory perspective, no system can have entropy lower than zero



Classical mechanics fails because it allows for the possibility of statistical ensembles that can never exist

On practical grounds – they would allow us to bypass the second law

On theoretical grounds – they fail to respect the third law

On logical grounds – they would provide more information about the system than stating that the system does not exist, which is already a complete description of the system

Quantum mechanics solves this: all pure states have zero entropy and mixed states have positive entropy



Takeaways

- Classical mechanics fails at a conceptual level
- It doesn't take into account the relationship between system and environment
- It does not provide a lower bound on entropy



Quantum states as equilibrium ensembles



Parallels between QM and thermodynamics

 $U = e^{\frac{O\Delta t}{\hbar}}$ Eigenstates \rightarrow states unchanged by the process \rightarrow equilibria of the process

Every state is an eigenstate of some unitary / Hermitian operator \rightarrow all states are equilibria

Every mixed state commutes with some unitary operator (same eigenstates used to calculate entropy)

			between system and
		Spin up meas.	environment
	A A A		Equilibration
	$[N_1, V, T]$	$ x^+\rangle$ $ z^+\rangle$	$Projections \Leftrightarrow Measurements$
μ, ν , Ι]	$[N_2,V,T]$	$ z^{-}\rangle$	Unitary \Leftrightarrow Quasi-static
Different equilibria, different variables	$[\ldots, V, T]$	different contexts, different variables	
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Quantum contexts

Boundary conditions











All quantum states are eigenstates of an observable $|\psi\rangle$ $O = |\psi\rangle\langle\psi|$ $|\psi\rangle$ all other cases All quantum states are equilibria of measurements https://assumptionsofphysics.org/ Assumptions Physics

Every observable generates a unitary transformation

 $e^{-\frac{\partial\alpha}{\iota\hbar}}e^{\frac{\partial\alpha}{\iota\hbar}} = I$

Same eigenstates

⇒ All quantum states are equilibria of unitary processes

 $0 \rightarrow e^{\frac{0\alpha}{\iota\hbar}}$



Same is true for every mixed state

All quantum states (pure and mixed) are equilibria of some time evolution and some measurement processes



Pure states can be always understood as ensembles with lowest entropy

All quantum states (pure and mixed) are equilibrium ensembles for some time evolution and some measurement processes

Not up to interpretation: mathematical fact in QM



Can we argue the converse?

The goal of physics is to establish laws that are valid in all circumstances

$$F = ma \qquad A = B \quad \vec{\nabla} \cdot \vec{E} = \rho$$

Whenever I prepare this...

... I find this

Repeatability (i.e. whenever) is implicitly assuming ensembles (i.e. infinite copies)



 $2H_2 + O_2 \rightarrow 2H_2O + Energy$

 $n \rightarrow p + e^- + \bar{\nu}_e$

Н

To define/manipulate an object it must "stay the same" for long enough

 ${}^{12}_{6}C + {}^{4}_{}He \rightarrow {}^{16}_{8}O + Energy$

Every level is an equilibrium of the lower one



⇒ Makes sense to assume that states are ensembles in equilibrium



In classical mechanics, we saw connections between geometry, probability and information theory



Classical geometric structure is exactly the structure that allows us to define ensembles (i.e. statistics) and entropy



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What about quantum mechanics?



Inner product is equivalent to defining entropy of mixtures

Even in quantum mechanics, geometry/probability/information theory are different aspects of the same structure



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Uncertainty principle makes it look like some states are more determined than others

 $\sigma_X \sigma_P \geq \frac{1}{2}$

Recall, same bound in classical mechanics from imposing lower bound in entropy

But: all pure states from have the same entropy

Property of the ensemble,

not of measurement

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Assumptions Physics
For every state $|\psi\rangle$, we can find a pair of observables A and B such that $\sigma_A \sigma_B = \hbar/2$

Let $|\phi\rangle$ be a gaussian wave packet for X and P

Always exists

Let U be a unitary operator such that $U|\psi\rangle = |\phi\rangle$

Consider $A = U^{\dagger}XU$ and $B = U^{\dagger}PU$, we have:

 $\langle A \rangle_{\psi} = \langle \psi | A | \psi \rangle = \langle \psi | U^{\dagger} X U | \psi \rangle = \langle \phi | X | \phi \rangle = \langle X \rangle_{\phi}$

 $\langle A^2 \rangle_{\psi} = \langle \psi | AA | \psi \rangle = \langle \psi | U^{\dagger} X U U^{\dagger} X U | \psi \rangle = \langle \phi | XX | \phi \rangle = \langle X^2 \rangle_{\phi}$

$$\langle B \rangle_{\psi} = \langle P \rangle_{\phi} \qquad \langle B^2 \rangle_{\psi} = \langle P^2 \rangle_{\phi}$$



For every state $|\psi\rangle$, we can find a pair of observables A and B such that $\sigma_A \sigma_B = \hbar/2$

$$\langle A \rangle_{\psi} = \langle X \rangle_{\phi} \qquad \langle A^2 \rangle_{\psi} = \langle X^2 \rangle_{\phi}$$

 $\langle B \rangle_{\psi} = \langle P \rangle_{\phi} \qquad \langle B^2 \rangle_{\psi} = \langle P^2 \rangle_{\phi}$



For every state $|\psi\rangle$, we can find a pair of observables A and B such that $\sigma_A \sigma_B = \hbar/2$ $[A, B] = AB - BA = U^{\dagger}XUU^{\dagger}PU - U^{\dagger}PUU^{\dagger}XU$ $= U^{\dagger}XPU - U^{\dagger}PXU = U^{\dagger}[X, P]U = \iota\hbar U^{\dagger}U = \iota\hbar$

$$[A,B] = \iota\hbar$$

Every state is a Gaussian state for some pair of operators!



Takeaways

- Quantum states are (at least) ensembles in equilibrium
- It doesn't take into account relationship between system and environment
- TODOs
 - Clean up and organize the ideas
 - Connect to other literature (theoretical and experimental)
 - Typicality, Eigenstate Thermalization Hypothesis, ...



Quantum processes



Time evolution and measurements

Any process (deterministic or stochastic) will take an ensemble as input and return an ensemble as output

$$\rho_I \longrightarrow P \longrightarrow \rho_0 = P(\rho_I)$$

$$P(p_1\rho_1 + p_2\rho_2) = p_1P(\rho_1) + p_2P(\rho_2)$$



Geometry of mixed states Pure states: Bloch ball surface



Mixed states: Bloch ball interior



Time evolution

Measurement

Two steps:



Change at constant energy and constant entropy



Change at constant energy that maximizes entropy

1) Prepare a mixture of possible outcomes entropy-increasing irreversible process

> 2) Determine the outcome same as classical







Equilibrium of an open system does not define a unique number of particles





Equilibrium of a closed system defines a unique number of particles







Think of quantum states as different ensembles identified by different quantities





In both cases, we cannot describe the equilibration process: it is not in terms of equilibrium states!







- $= 1 + dt(\langle \mathcal{T}(t)\psi(t)|\psi(t)\rangle + \langle \psi(t)|\mathcal{T}(t)\psi(t)\rangle) + O(dt^2)$
- $= 1 + (\langle d\psi(t) | \psi(t) \rangle + \langle \psi(t) | d\psi(t) \rangle) + O(dt^2)$
- $= (1 + \langle d\psi(t) | \psi(t) \rangle)(1 + \langle \psi(t) | d\psi(t) \rangle)$
- $= \langle \psi(t+dt) | \psi(t) \rangle \langle \psi(t) | \psi(t+dt) \rangle$

 $|\psi(t)\rangle$

- $|\langle \psi(t+dt)|\psi(t)\rangle|^2 = 1$





sequence of infinitesimal projections

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Unitary evolution \Leftrightarrow quasi-static evolution

 $|\psi(t+dt)\rangle$

 $\Rightarrow \mathcal{T}(t)^{\dagger} = -\mathcal{T}(t)$

 $|x_2\rangle$

Deterministic and reversible evolution

Quasi-static evolution

Unitary evolution

Every preparation is a measurement Time evolution prepares the system at each time ⇒ Time evolution is a series of measurements





Takeaways

- Projections are processes with equilibria
 - Measurements are processes with equilibria
- Unitary evolution is deterministic and reversible evolution
- Solution to the inverse measurement problem: unitary evolution is a series of measurements
- TODOs
 - Clean up and organize the ideas



Quantum irreducibility



Quantum mechanics as irreducibility





Superluminar effects that can't carry information



Can't refine ensembles \Rightarrow Can't extract information

Probability of transition



Symmetry of the inner product





VS



divisible but not reducible



reducible but not divisible



time









Reducibility in terms of ensembles

Common component



 $\rho_1 = p\rho_3 + (1-p)\rho_4$ $\rho_2 = \lambda\rho_3 + (1-\lambda)\rho_5$ $\exists \rho_3$

 $\int_{X} \rho_1 \rho_2 dx \neq 0$

Not orthogonal

Classical physics: common component ⇔ not orthogonal

If two ensembles have something in common, there exists an ensemble for the common part

Two ensembles can have something in common, but the common part cannot be reliably prepared and studied E.g. spin up and spin left common component \Rightarrow not orthogonal



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Assumptions Physics Statistical distribution: the matter is spread across space i.e. 50% of the mass is in a particular region



Probability distribution: the matter is concentrated but "jumps around" i.e. the whole mass is in a particular region 50% of the time Wave nature of the quantum system

These cases merge in quantum mechanics The ability to tell statistical from probability distributions requires having access to the ensembles at lower entropy

Particle nature of the quantum system







Quantum

Classical discrete infinite

Quantum mechanics is a hybrid between discrete and continuum

Quantum pure states form a manifold (like classical continuum) where each state has zero entropy (like classical discrete)

Quantum mixed states have no single decomposition in terms of pure states, classical continuum mixed states have no single decomposition in terms of zero entropy states



Takeaways

- Irreducibility is the key difference for quantum systems
- All quantum properties can be qualitatively understood in terms of irreducibility
- TODOs
 - Prove mathematically that it is the only difference (i.e. QM can be fully recovered)



Non-additive measures



Need for non-additive measure



Failure of classical probability in quantum mechanics

CHSH inequality

Bell type theorems

$$|E(a,b) - E(a,b') + E(a',b') + E(a',b)| \le 2$$

In quantum mechanics, $2 < |\cdot| \le 2\sqrt{2}$

Wigner quasiprobability distribution

$$W(x,p) = \frac{1}{\pi\hbar} \int_X \psi^*(x+y)\psi(x-p)e^{2\iota py/\hbar} dy$$

$$|\psi(x)|^2 = \int W(x,p)dp \quad |\psi(p)|^2 = \int W(x,p)dx$$

Sample space (i.e. classical states)

Wigner function $\int W(q,p)dqdp = 1$

Not the sample space (i.e. quantum states)

Generalized probability

Probability of a subset: weight for the biggest part that has support in that subset

$$p(x) = p(x|U)p(U) + p(x|U^{C})p(U^{C})$$

Maximally mixed state: probability for each pure state equals 1/2

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Physics

Takeaways

- Classical (Kolmogorov) probability does not work in QM
- Successful use of signed probability (e.g. Wigner function)
 - No physical interpretation for negative probability
- Potential use of non-additive measures
- TODOs
 - Construct a full theory of non-additive probability

Classical limit

Quantum effects at large scale Constants of nature are the same for all systems

Classical statistical mechanics fails at low entropy

Classical system has high entropy; ħ quantifies uncertainty at zero entropy

represented by uncertainty on classical variables

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May be able to recycle formal proofs $\hbar \to 0$

Takeaways

- Classical mechanics may be recovered for high entropy states
- No mechanism: high entropy "hides" quantum effects
- TODOs
 - Actually prove the conjecture

Wrapping it up

- Quantum mechanics can be seen as a combination of classical mechanics and thermodynamics
- Minimal interpretation: using concepts and only concepts that are strictly in the equations (e.g. ensembles in equilibrium is supported by the math)
- Main goal is to clean up all these ideas and make it a consistent theory (conceptual/mathematical) with experimental support



