

# Many-body adiabatic theory

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‘Would you like to know what fascinates me in science? I find the ultimate poetry in it: in mathematics, the exhilarating vertigo of numbers; with astronomy, the mysterious whisper of the universe. But please, don’t mention truth!’

Amin Maalouf

# αδιβατος, impassable

## Plan of the course:

- ▷ Part 1. The adiabatic principle
- ▷ Part 2. Locality in quantum spin systems
- ▷ Part 3. The many-body adiabatic theorem
- ▷ Part 4. Linear response theory

## References:

- ▷ *Elementary Exponential Error Estimates for the Adiabatic Approximation*  
G. Hagedorn and A. Joye, J. Math. Anal. Appl., 2002
- ▷ *Adiabatic Theorem for Quantum Spin Systems*  
SB, W. De Roeck, and M. Fraas, Phys. Rev. Lett. 2017
- ▷ *The adiabatic theorem and linear response theory for extended quantum systems*  
SB, W. De Roeck, and M. Fraas, Commun. Math. Phys. 2018

# Many-body quantum systems

The general themes of the course

- ▷ Use **locality** properties, a.k.a. propagation estimates, of quantum systems to go beyond the noninteracting approximation in condensed matter physics
- ▷ Combine the **long time** limit and the **thermodynamic** limit for non-autonomous dynamics

Common issues to many current topics in **quantum information theory**, **quantum control** and **quantum statistical mechanics**

# PART I

## Adiabatic Principle

# The adiabatic approximation I

A classical example: a pendulum with **slowly** varying length:

$$l_s, \quad s = \epsilon t$$

Here  $t$  is the physical time, in the regime:

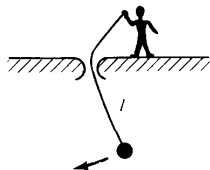
$$\epsilon \ll 1, \quad t \sim \epsilon^{-1} \gg 1, \quad s \sim 1$$

Two a priori different periods of oscillations:

- ▷  $T_\epsilon(s)$  associated with the **driven dynamics** (Newton's equations)
- ▷  $T_s$  associated with the **instantaneous length**

Adiabatic approximation: during the driving,

$$|T_\epsilon(s) - T_s| \leq C\epsilon, \quad s \in [0, 1]$$



# Slow driven dynamics

Evolution equation in a Banach space  $\mathcal{B}$

$$\dot{\varphi}(t) = L(\varphi(t), \alpha_t), \quad \varphi \in \mathcal{B},$$

$L : \mathcal{B} \times \mathbb{R} \rightarrow \mathcal{B}$  smooth

$t \mapsto \alpha_t$  given: parametric dependence describes the driving

**Assumption.** Convergence to fixpoint

$$\varphi(t) \longrightarrow \varphi_\alpha, \quad L(\varphi_\alpha, \alpha) = 0,$$

for constant (frozen)  $\alpha$ .

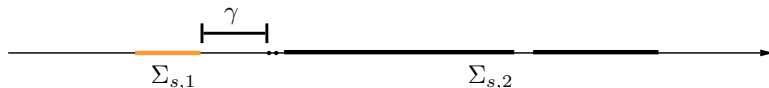
**Adiabatic Principle.** If  $\alpha$  changes slowly in time and if  $\varphi(0) \sim \varphi_{\alpha_0}$  then

$$\varphi(t) \sim \varphi_{\alpha_t}$$

for all  $t \in [0, T]$

## In quantum mechanics

A smooth family  $H_s = H_s^*$  of Hamiltonians on a Hilbert space  $\mathcal{H}$   
Spectrum with uniform gap  $\gamma$



and  $P_s$  is the spectral projection associated with  $\Sigma_{s,1}$

Dynamical equation (recall  $s = \epsilon t$ ):

$$\begin{cases} i\epsilon \dot{\rho}_\epsilon(s) = [H_s, \rho_\epsilon(s)], & s \in [0, 1] \\ \rho_\epsilon(0) = P_0 \end{cases}$$

The adiabatic theorem [Born, Fock, Kato,...]:

$$\|\rho_\epsilon(s) - P_s\| \leq C\epsilon, \quad s \in [0, 1]$$



# Proof I

We call

$$L_s = -i[H_s, \cdot]$$

Equation for the error  $r(s) = \rho_\epsilon(s) - P_s$ :

$$\left( \epsilon \frac{d}{ds} - L_s \right) r(s) = -\epsilon \dot{P}_s, \quad \text{since } L_s P_s = 0$$

By Duhamel's principle

$$r(s) = - \int_0^s \sigma^{s,s'}(\dot{P}_{s'}) ds'$$

where  $\sigma^{s,s'}$  is the Heisenberg flow

$$\left( \epsilon \frac{d}{ds} - L_s \right) \sigma^{s,s'}(O) = 0$$

## Proof II

Continue from

$$\rho_\epsilon(s) = P_s - \int_0^s \sigma^{s,s'} (\dot{P}_{s'}) ds'$$

Using  $\sigma^{s,s'} \circ \sigma^{s',s} = \text{id}$

$$\epsilon \frac{d}{ds'} \sigma^{s,s'} (\zeta) = -\sigma^{s,s'} (L_{s'} \zeta)$$

to integrate by parts:

$$\rho_\epsilon(s) - P_s = \epsilon \int_0^s \frac{d}{ds'} \left( \sigma^{s,s'} (L_{s'}^{-1} \dot{P}_{s'}) \right) ds' - \epsilon \int_0^s \sigma^{s,s'} \left( \frac{d}{ds'} (L_{s'}^{-1} \dot{P}_{s'}) \right) ds'$$

## Observations

$$\text{If } \dot{P}_0 = \dot{P}_1 = 0$$

$$\rho_\epsilon(1) - P_1 = \epsilon \int_0^1 \sigma^{1,s} \left( \frac{d}{ds} (L_s^{-1} \dot{P}_s) \right) ds$$

Conclude by

$$\|\sigma^{1,s}(O)\| = \|O\| \quad \text{and} \quad \|L_s^{-1} \dot{P}_s\| < C$$

- ▷ The argument needs the uniform topology
- ▷ The key step (recall  $L_s = -i[H_s, \cdot]$ )

$$\dot{P}_s = L_s L_s^{-1} \dot{P}_s$$

presupposes that  $\dot{P}_s \notin \text{Ker}(L_s)$  and a **spectral gap**

## Inverting $L$

Spectrum of  $L$ :

$$L|\psi_i\rangle\langle\psi_j| = H|\psi_i\rangle\langle\psi_j| - |\psi_i\rangle\langle\psi_j|H = (E_i - E_j)|\psi_i\rangle\langle\psi_j|$$

Define

$$Q(A) = PA(1 - P) + (1 - P)AP$$

and note

$$Q(L(A)) = LQ(A)$$

If  $\gamma$  is the spectral gap of  $H$ , then

$$L \upharpoonright \text{Ran} Q$$

has a gap in  $(-\gamma, \gamma)$ . Hence

$$\|L^{-1}Q(A)\| \leq C \frac{\|Q(A)\|}{\gamma}$$

## Adiabatic estimate: the gapped case

$P^2 = P$  implies

$$\dot{P} = Q(\dot{P})$$

Riesz' formula

$$P = -\frac{1}{2\pi i} \oint_{\Gamma} (H - z)^{-1} dz, \quad \dot{P} = -\frac{1}{2\pi i} \oint_{\Gamma} (H - z)^{-1} \dot{H} (H - z)^{-1} dz$$

and the gap assumption yields

$$\|\dot{P}\| \leq C \frac{\|\dot{H}\|}{\gamma}$$

Conclusion

$$\|\rho_{\epsilon}(s) - P_s\| \leq C\epsilon \sup_{s \in [0,1]} \frac{\|\dot{H}_s\|}{\gamma_s^2}$$

# Remarks

## Other proved cases:

- ▷ In the gapless case, the error  $\mathcal{O}(\epsilon)$  replaced by  $o(1)$ , see J.E. Avron, A. Elgart, Commun. Math. Phys., 1999
- ▷ For non-linear evolution equations with small data, see Z. Gang, P. Grech, Commun. PDE, 2017
- ▷ Open quantum system, i.e. Lindblad evolutions, see J.E. Avron, M. Fraas, G.M. Graf, P. Grech, Commun. Math. Phys., 2012

## Missing:

- ▷ The statistical mechanical setting: quasi-static processes at positive temperature
- ▷ The quantum information setting: **extended systems** at zero temperature

## A variational example

The **Gross-Pitaevskii** equation in  $L^2(\mathbb{R}^3)$ :

$$i\epsilon \dot{\Psi}_\epsilon(s) = -\Delta \Psi_\epsilon(s) + V_s \Psi_\epsilon(s) + |\Psi_\epsilon(s)|^2 \Psi_\epsilon(s)$$

A **ground state**  $\Phi_s$  is a minimizer of the functional

$$\mathcal{E}_s(\Phi) = \int \left( \frac{1}{2} |\nabla \Phi|^2 + V_s |\Phi|^2 + \frac{1}{4} |\Phi|^4 \right)$$

with  $\|\Phi\|_{L^2(\mathbb{R}^3)} = \eta$  fixed.

The **non-linear** adiabatic theorem: If  $\Psi_\epsilon(0)$  is a ground state, then

$$\|\Psi_\epsilon(s) - \Phi_s\|_{H^2(\mathbb{R}^3)} \leq C\epsilon$$

Describes the adiabatic dynamics of  $N$  bosons in the mean-field limit

# Exponential estimates I

In the Schrödinger picture

$$i\epsilon\dot{\psi}_\epsilon(s) = H_s\psi_\epsilon(s)$$

Isolated eigenvalue

$$H_s\Omega_s = E_s\Omega_s$$

Adiabatic expansion Ansatz

$$\psi_\epsilon(s) = e^{-\frac{i}{\epsilon} \int_0^s E_s dr} (\varphi^0(s) + \epsilon\varphi^1(s) + \epsilon^2\varphi^2(s) + \dots)$$

and solve order by order:

▷ Order 0:  $E\varphi^0 = H\varphi^0$  yields  $\varphi^0$  proportional to  $\Omega$ :

$$\varphi^0 = A^0\Omega$$



## Exponential estimates II

- ▷ Order 1:  $i\dot{\varphi}^0 + E\varphi^1 = H\varphi^1$  yields

$$i\dot{A}^0\Omega + iA^0\dot{\Omega} = (H - E)\varphi^1$$

Decompose on  $\text{span}\{\Omega\} \oplus \text{span}\{\Omega\}^\perp$

$$\dot{A}^0 = 0$$

$$iA^0\dot{\Omega} = (H - E)\varphi^1$$

namely  $A_0 = 1$  and

$$\varphi^1 = A^1\Omega + i(H - E)^{-1}\dot{\Omega}$$

Notes:

- ▷ The ground state amplitude  $A^1$  to be determined by the next order
- ▷ Well-defined resolvent since  $\dot{\Omega} \perp \Omega$

# Exponential estimates, conclusion

Repeat inductively to obtain

$$\psi_\epsilon^N(s) = e^{-\frac{i}{\epsilon} \int_0^s E_s dr} (\varphi^0(s) + \dots + \epsilon^N \varphi^N(s) + \epsilon^{N+1} \varphi_\perp^N(s))$$

- ▷ Key step: Decomposition  $\text{span}\{\Omega\} \oplus \text{span}\{\Omega\}^\perp$  with a gap  $\gamma$
- ▷ Control up to order  $k$  requires  $H \in C^{k+1}$
- ▷ If  $H \in C^\infty$ , the error estimate  $\mathcal{O}(\epsilon^\infty)$ . In fact

$$\|\psi_\epsilon - \psi_\epsilon^N\| \leq \kappa(\gamma) e^{-\frac{C(\gamma)}{\epsilon}}$$

G.A. Hagedorn and A. Joye, J. Math. Anal. Appl., 2002

# The many-body problem

Recall

$$\|\rho_\epsilon(s) - P_s\| \leq C(\gamma) \epsilon \sup_{s \in [0,1]} \|\dot{H}_s\|$$

The energy is **extensive**: In a volume  $V$ ,

$$\|H_s\| \sim V$$

and if the driving is uniform

$$\|\dot{H}_s\| \sim V$$

The adiabatic estimate is meaningful only in the few-body regime:

$$\epsilon V \ll 1$$

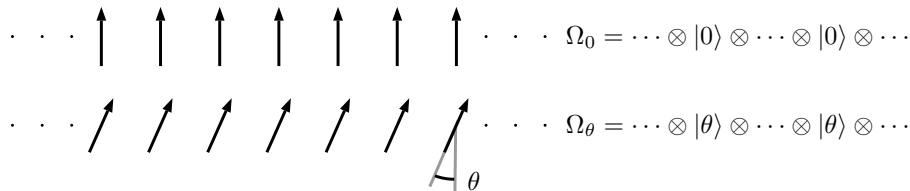
What about the **many-body** regime  $\epsilon \ll 1$  **uniformly** as  $V \rightarrow \infty$ ?

# Infrared catastrophe

A non-interacting spin-1/2 chain

$$H_{[-L,L],h} = \sum_{x=-L}^L h \cdot \sigma_x$$

where  $\sigma_x$  is the vector of Pauli matrices at site  $x$ , and  $h \in \mathbb{S}^2$



Many-body catastrophe:  $\Omega_\theta \perp \Omega_0$  for large  $L$

$$\langle \Omega_\theta, \Omega_0 \rangle = (\cos \theta)^{2L+1} \rightarrow 0 \quad (L \rightarrow \infty)$$

## PART II

# Locality in quantum spin systems

# Extended systems

Two kinds of many-body quantum systems

- ▷ Quantum spin systems (QSS): A **countable** collection of **finite-dimensional** quantum systems
- ▷ Interacting fermions hopping on a lattice

In both cases:

- ▷ The 'lattice' is equipped with a metric: notion of **locality**
- ▷ The **infinite volume**, finite density, limit can be controlled

Here, only QSS. For lattice fermions, see

B. Nachtergaele, R. Sims, A. Young, arXiv:1705.08553

and for adiabatic theorems:

D. Monaco, S. Teufel, arXiv:1707.01852

# Quantum spin systems

A **countable collection** of quantum systems, labelled by  $x \in \Gamma$  with **finite dimensional** Hilbert spaces  $\mathcal{H}_x$

Typically:

- ▷  $\Gamma = \mathbb{Z}^d$  equipped with graph distance  $d(\cdot, \cdot)$
- ▷  $\mathcal{H}_x = \mathbb{C}^{2S+1}$  the Hilbert space of states of a spin- $S$

For finite  $\Lambda \subset \Gamma$

- ▷ Local Hilbert space

$$\mathcal{H}_\Lambda = \bigotimes_{x \in \Lambda} \mathcal{H}_x$$

- ▷ The algebra of local observables

$$\mathcal{A}_\Lambda = \bigotimes_{x \in \Lambda} \mathcal{L}(\mathcal{H}_x) = \mathcal{L}(\mathcal{H}_\Lambda)$$

# Quantum spin systems

Natural identification  $\Lambda_1 \subset \Lambda_2 \Rightarrow \mathcal{A}_{\Lambda_1} \subset \mathcal{A}_{\Lambda_2}$  by

$$B \in \mathcal{A}_{\Lambda_1} \longleftrightarrow B \otimes 1_{\Lambda_2 \setminus \Lambda_1} \in \mathcal{A}_{\Lambda_2}$$

An **interaction** is a map

$$\Phi : Z \mapsto \Phi(Z) = \Phi(Z)^* \in \mathcal{A}_Z$$

and  $\|\Phi(Z)\|$  decays in the diameter of  $Z$

A Hamiltonian is an **extensive operator**

$$H_\Lambda = \sum_{Z \subset \Lambda} \Phi(Z) \in \mathcal{L}(\mathcal{H}_\Lambda)$$

Note: The decomposition of  $H_\Lambda$  is not unique



# Example

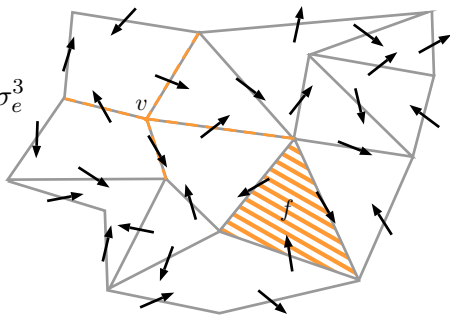
The **toric code** Hamiltonian

$\Lambda$ : set of edges

$$H_{\Lambda,h} = - \sum_{v:\text{vertex}} A_v - \sum_{f:\text{face}} B_f - \sum_{e \in \Lambda} h \sigma_e^3$$

where

$$A_v = \prod_{i \in v} \sigma_i^1, \quad B_f = \prod_{i \in f} \sigma_i^3$$



Can be defined on  $\mathbb{Z}^2$

or on cell decompositions of compact 2d surfaces

**Topologically ordered** ground states, see B. Nachtergaele's talk

# Dynamics and states: Heisenberg picture

Finite volume dynamics

$$\tau_{t,\Lambda}(A) = e^{itH_\Lambda} A e^{-itH_\Lambda}$$

The operator  $H_\Lambda$  has no limit as  $\Lambda \rightarrow \Gamma$ , but the **dynamics does**

$$\tau_t^H(A) = \lim_{\Lambda \rightarrow \Gamma} \tau_{t,\Lambda}(A), \quad A \in \mathcal{L}(\mathcal{H}_Z)$$

**States** are a normalized positive linear functionals

$$A \longmapsto \text{Tr}(\rho_\Lambda A) \in \mathbb{C}$$

with dynamics

$$i \frac{d}{dt} \rho_\Lambda(t) = [H_\Lambda, \rho_\Lambda(t)]$$

# Locality I

Let  $A \in \mathcal{A}_X$  and  $B \in \mathcal{A}_Y$  with  $d(X, Y) = d > 0$ . Then

$$[\tau_{0,\Lambda}(A), B] = [A, B] = [A \otimes 1_{\Lambda \setminus X}, 1_{\Lambda \setminus Y} \otimes B] = 0.$$

Propagation estimate: the **Lieb-Robinson bound (LRB)**

$$\|[\tau_{t,\Lambda}(A), B]\| \leq C(A, B)e^{-\mu(d-v|t|)}$$

for constant  $\mu, v > 0$ .

- ▷ Message: For times  $|t| \leq d/v$ ,  $\tau_{t,\Lambda}(A)$  **almost commutes** with  $B$
- ▷ Rate  $\mu$  depends on the decay of  $\Phi$
- ▷ Key to prove the existence of the limit  $\tau_{t,\Lambda}(A)$  as  $\Lambda \rightarrow \Gamma$

E.H. Lieb and D. Robinson, Commun. Math. Phys., 1972

M.B. Hasting and T. Koma, Commun. Math. Phys., 2006

B. Nachtergaele and R. Sims, Commun. Math. Phys., 2006 & Contemp. Math., 2010

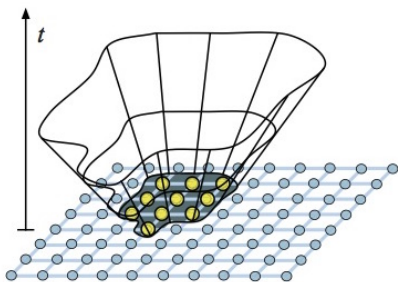
## Locality II

The Schrödinger equation has infinite propagation speed, but...

Corollary of the LRB: for any  $\delta > 0$  and any  $t \in \mathbb{R}$ , there exists  $A_t^\delta \in \mathcal{A}_{X^{v|t|+\delta}}$  such that

$$\left\| \tau_t(A) - A_t^\delta \right\| \leq C(A)e^{-\mu\delta}$$

where  $X^r := \{x \in \mathbb{Z}^d : \text{dist}(x, X) \leq r\}$



Schuch et. al., Phys. Rev. A, 2011

## Almost commuting operators

Let  $\mathcal{H} = \mathcal{H}_1 \otimes \mathcal{H}_2$ . If  $A \in \mathcal{L}(\mathcal{H}_1)$  and  $B \in \mathcal{L}(\mathcal{H}_2)$ , then  $[A, B] = 0$ .  
Also: if  $A \in \mathcal{L}(\mathcal{H})$  and

$$[A, B] = 0 \quad \forall B \in \mathcal{L}(\mathcal{H}_2) \quad \implies \quad A \in \mathcal{L}(\mathcal{H}_1)$$

More generally: If  $A \in \mathcal{L}(\mathcal{H})$  is such that

$$\|[A, 1 \otimes B]\| \leq \epsilon \|B\|$$

for all  $B \in \mathcal{L}(\mathcal{H}_2)$ , then there exists  $\Pi(A) \in \mathcal{L}(\mathcal{H}_1)$  such that

$$\|\Pi(A) \otimes 1 - A\| \leq 2\epsilon.$$

In other words, **almost commutation implies almost localization**

# Almost commuting operators

Let

$$\Pi(A) = \int_{\mathcal{U}(\mathcal{H}_2)} (1_{\mathcal{H}_1} \otimes U)^* A (1_{\mathcal{H}_1} \otimes U) d\mu(U)$$

where  $\mu$  is the normalized Haar measure  $\mu(\mathcal{S}) = \mu(SU')$ ,  $U' \in \mathcal{U}(\mathcal{H}_2)$

Then

▷  $\Pi(A) = \Pi(A) \otimes 1_{\mathcal{H}_2}$  because

$$\begin{aligned} \Pi(A)(1_{\mathcal{H}_1} \otimes V) &= \int_{\mathcal{U}(\mathcal{H}_2)} (1_{\mathcal{H}_1} \otimes \tilde{U}V^*)^* A (1_{\mathcal{H}_1} \otimes \tilde{U}) d\mu(\tilde{U}V^*) \\ &= (1_{\mathcal{H}_1} \otimes V)\Pi(A) \end{aligned}$$

▷ Approximation

$$\Pi(A) \otimes 1_{\mathcal{H}_2} - A = \int_{\mathcal{U}(\mathcal{H}_2)} (1_{\mathcal{H}_1} \otimes U)^* [A, (1_{\mathcal{H}_1} \otimes U)] d\mu(U)$$

## Parallel transport

Back to spectral projections  $P_s$  and vectors  $P_s\Omega_s = \Omega_s$ , namely

$$\dot{P}_s\Omega_s = (1 - P_s)\dot{\Omega}_s$$

Motion of  $\Omega_s$  within  $\text{Ran}(P_s)$  free.

A natural choice: No motion, a.k.a. **parallel transport**

$$P_s\dot{\Omega}_s = 0$$

yields

$$\dot{\Omega}_s = \dot{P}_s\Omega_s = (1 - P_s)\dot{P}_sP_s\Omega_s = [\dot{P}_s, P_s]\Omega_s$$

**Kato's flow** of ground states

$$\Omega_s = U^K(s)\Omega_0, \quad i\dot{U}(s) = i[\dot{P}_s, P_s]U^K(s)$$

T. Kato, J. Phys. Soc. Japan, 1950

## Remarks

Two choices made:

- ▷ Choice of flow within  $\text{Ran}(P_s)$ :  $\Omega_0 \mapsto \Omega_s$
- ▷ Choice of unitary to implement the flow  $\Omega_s = U(s)\Omega_0$

But: the self-adjoint generator

$$G_s^K = i[\dot{P}_s, P_s]$$

is **non-local**.

Better (local) choice?

$$P_s = U(s)P_0U(s)^*$$

with generator  $G_s = i\dot{U}(s)U(s)^* = -iU(s)\dot{U}(s)^*$ , namely

$$\dot{P}_s = -i[G_s, P_s]$$



## Quasi-adiabatic flow I

Yes, using the gap! **Hastings' generator**:

$$G_s^H = \int_{\mathbb{R}} W(t) e^{itH_s} \dot{H}_s e^{-itH_s} dt$$

where  $W \in L^1(\mathbb{R}; \mathbb{R})$

M.B. Hastings, Phys. Rev. Lett, 2004

SB, S. Michalakis, B. Nachtergaele and R. Sims, Commun. Math. Phys. 2012

▷ **Good flow**:  $[H, P] = 0$  implies  $[\dot{H}, P] = [\dot{P}, H]$ , hence

$$-i[G^H, P] = -i \int_{\mathbb{R}} W(t) e^{itH} [\dot{P}, H] e^{-itH} dt = \int_{\mathbb{R}} W(t) \frac{d}{dt} \tau_t(\dot{P}) dt$$

Choice 1:  $W(t) = \Theta(t) - 1/2$  yields  $\dot{P}$  but divergent

## Quasi-adiabatic flow II

$$-i[G^H, P] = \int_{\mathbb{R}} W(t) \frac{d}{dt} \tau_t(\dot{P}) dt$$

Choice 2:  $W(t) = \Theta(t) - 1/2 + T(t)$  with

$$\widehat{T}'(\xi) = 0 \quad \text{whenever } |\xi| \geq \gamma.$$

because  $(e^{-iHt} = \int e^{-i\lambda t} dE(\lambda))$

$$- \int T'(t) e^{itH} \dot{P} e^{-itH} dt = -\sqrt{2\pi} \int \widehat{T}'(\mu - \lambda) dE(\lambda) \dot{P} dE(\mu) = 0$$

since  $\dot{P}$  is off-diagonal

▷ Parallel transport: If  $\widehat{W}(0) = 0$  ie  $W$  is odd, then

$$PG^HP = \int W(t) P \dot{H} P dt = \sqrt{2\pi} \widehat{W}(0) P \dot{H} P = 0$$

## Quasi-adiabatic flow: Locality

Finally assume fast decay

$$W(t) = \mathcal{O}(|t|^{-\infty})$$

Then for  $A \in \mathcal{A}_X$

$$\int W(t)\tau_t(A)dt$$

is almost local:

- ▷ For  $|t| \leq T$ ,  $\tau_t(A)$  is supported near  $X$
- ▷ For  $|t| \geq T$ , use the decay of  $W$

Hence

$$G^H = \int W(t)\tau_t(\dot{H})dt = \sum_Z \int W(t)\tau_t(\dot{\Phi}(Z))dt$$

is a sum of almost local terms, a.k.a. a Hamiltonian

## Summary and perspective

- ▷ Both  $G^K, G^H$  generate parallel transport
- ▷  $G^K$  has no good locality properties
- ▷  $G^H$  generates  $U^H$  **satisfying a Lieb-Robinson bound**: suited for many-body applications
- ▷ So far: no adiabatic dynamics (no  $\epsilon$ ), but anticipating:  
 $U_s^H$  is the zeroth order of the local adiabatic expansion of the Schrödinger unitary  $U_\epsilon(s)$

# PART III

## Many-body adiabatic theorem

## Recap: the goal

Time dependent quantum spin Hamiltonian in volume  $\Lambda$

$$H_{\Lambda,s} = \sum_{Z \subset \Lambda} \Phi_s(Z)$$

with gapped spectral projection  $P_{\Lambda,s}$

Dynamics

$$\begin{cases} i\epsilon \dot{\psi}_{\Lambda,\epsilon}(s) = H_{\Lambda,s} \psi_{\Lambda,\epsilon}(s), & s \in [0, 1] \\ \psi_{\Lambda,\epsilon}(0) = \Omega_{\Lambda,0} \end{cases}$$

where  $\Omega_{\Lambda,0} = P_{\Lambda,0} \Omega_{\Lambda,0}$

Goal: control the **long time** dynamics

$$\psi_{\Lambda,\epsilon}(s) - \Omega_{\Lambda,s} = \mathcal{O}(\epsilon), \quad s \in [0, 1]$$

**uniformly in the volume.** But in which sense?

## Local changes

Uniform topology is too strong (infrared catastrophe)

Test  $\psi_{\Lambda,\epsilon}(s)$  only locally:

$$\langle \psi_{\Lambda,\epsilon}(s), O\psi_{\Lambda,\epsilon}(s) \rangle - \langle \tilde{\psi}_{\Lambda,\epsilon}(s), O\tilde{\psi}_{\Lambda,\epsilon}(s) \rangle = \mathcal{O}(\epsilon)$$

where

$$\tilde{\psi}_{\epsilon}(s) = P_s \psi_{\epsilon}(s)$$

and  $O$  is local, arbitrary but fixed

No uniformity in  $O$ , expect error bounds to depend on

$$\|O\|, \quad |\text{supp}(O)|,$$

but **not on  $\Lambda$**

# Many-body adiabatic theorem

Spectral gap: With  $E_{\Lambda,s} := \inf \text{Spec}(H_{\Lambda,s})$ ,

$$\gamma := \inf_{\Lambda \in \mathcal{F}(\Gamma), s \in [0,1]} \sup \{ \delta : (E_{\Lambda,s}, E_{\Lambda,s} + \delta) \cap \text{Spec}(H_{\Lambda,s}) = \emptyset \}$$

**Theorem** [SB-Fraas-De Roeck]

Let  $\Gamma$  be  $d$ -dimensional. If the Hamiltonian is

- ▷ *gapped*:  $\gamma > 0$ ,
- ▷ *smooth*:  $H_s \in \mathcal{C}^{d+1}([0, 1])$

then there is  $\tilde{\psi}_{\Lambda,\epsilon}(s) = P_{\Lambda,s} \tilde{\psi}_{\Lambda,\epsilon}(s)$  such that

$$\left| \langle \psi_{\Lambda,\epsilon}(s), O \psi_{\Lambda,\epsilon}(s) \rangle - \langle \tilde{\psi}_{\Lambda,\epsilon}(s), O \tilde{\psi}_{\Lambda,\epsilon}(s) \rangle \right| \leq C |\text{supp}(O)|^2 \|O\| \epsilon$$

for all  $\Lambda \in \mathcal{F}(\Gamma)$ , with  $C$  independent of  $\Lambda$



## On parallel transport

If  $\text{Ran}(P_{\Lambda,s})$  is nearly degenerate of width

$$w \leq C \min \left\{ \epsilon^2, \frac{\epsilon}{|\Lambda|} \right\}$$

Then

$$\tilde{\psi}_{\Lambda,\epsilon}(s) = \Omega_{\Lambda}(s)$$

is parallel transported

$$i\dot{\Omega}_{\Lambda}(s) = i[\dot{P}_{\Lambda,s}, P_{\Lambda,s}]\Omega_{\Lambda}(s)$$

and independent of  $\epsilon$

## Locality again

Looking at expectation values of local observables has

- ▷ An advantage: Essentially ignores  $\Lambda$
- ▷ A disadvantage: Recall

$$\rho_\epsilon(s) - P_s = \epsilon \int_0^s \sigma^{s,s'} \left( \frac{d}{ds'} (L_{s'}^{-1} \dot{P}_{s'}) \right) ds'$$

$\sigma^{s,s'}$  is **norm preserving**

but it spreads local observables over volume

$$|s' - s|^d = \epsilon^{-d} |t' - t|^d$$

yielding a naive bound

$$\mathcal{O}(\epsilon^{1-d}) \quad \text{as } \epsilon \rightarrow 0$$

Solution: Expand to **higher order** in adiabatic perturbation theory

## The map $\mathcal{I}$

Define  $\mathcal{I}_s : \mathcal{A} \rightarrow \mathcal{A}$  by

$$\mathcal{I}_s(A) := \int_{\mathbb{R}} W(t) e^{itH_s} A e^{-itH_s} dt$$

where  $W \in L^1(\mathbb{R})$  **decays faster than any inverse power** and such that

$$\widehat{W}(\xi) = \frac{-i}{\sqrt{2\pi\xi}}, \quad \text{if } |\xi| \geq \gamma.$$

Fact: If  $A$  is local, then  $\mathcal{I}_s(A)$  is almost local

- ▷ for short times:  $\tau_t(A)$  almost local by LRB
- ▷ for long times:  $W(t) \|\tau_t(A)\| = W(t) \|A\|$  vanishes by decay of  $W$

## Local spectral flow

Claim:  $\mathcal{I}(\cdot)$  is a local **inverse of**  $-i[H, \cdot]$

$$A = -i[H, \mathcal{I}(A)]$$

whenever

$$A = PA(1 - P) + (1 - P)AP$$

Indeed

$$\mathcal{I}(A) = \int W(t)e^{i\lambda t}e^{-i\mu t}dE_\lambda A dE_\mu dt = \sqrt{2\pi} \int \widehat{W}(\mu - \lambda)dE_\lambda A dE_\mu$$

and

$$\begin{aligned} -i[H, \mathcal{I}(A)] &= -i\sqrt{2\pi} \int_{|\lambda - \mu| \geq \gamma} (\lambda - \mu) \widehat{W}(\mu - \lambda) dE_\lambda A dE_\mu \\ &= -i\sqrt{2\pi} \int_{|\lambda - \mu| \geq \gamma} (\lambda - \mu) \frac{i}{\sqrt{2\pi}(\lambda - \mu)} dE_\lambda A dE_\mu = A \end{aligned}$$

## Quasi-adiabatic evolution, revisited

For a spectral projection

$$\dot{P}_s = P_s \dot{P}_s (1 - P_s) + (1 - P_s) \dot{P}_s P_s$$

Hence

$$\dot{P}_s = -i[H_s, \mathcal{I}_s(\dot{P}_s)] = -i\mathcal{I}_s([H_s, \dot{P}_s]) = i\mathcal{I}_s([\dot{H}_s, P_s])$$

namely

$$\dot{P}_s = i[\mathcal{I}_s(\dot{H}_s), P_s]$$

and

$$G_s^H = \mathcal{I}_s(\dot{H}_s) = \sum_Z \mathcal{I}_s(\dot{\Phi}_s(Z))$$

is a sum of almost **local terms**

## Local spectral flow

Another consequence: For any  $B$ ,  $[B, P]$  is off-diagonal, hence

$$\begin{aligned}[B, P] &= -i[H, \mathcal{I}([B, P])] \\ &= -i[H, [\mathcal{I}(B), P]] \\ &= -i[[H, \mathcal{I}(B)], P]\end{aligned}$$

by Jacobi's identity and

$$[H, P] = 0$$

# The dressed states

Key idea:

Compare the evolved  $\rho_\epsilon(s)$  with a **dressed ground state projection**

$$\Pi_\epsilon(s) = V_\epsilon(s)P_sV_\epsilon(s)^*, \quad V_\epsilon(s) = e^{i\epsilon A_1(s)+\epsilon^2 A_2(s)+\dots}$$

such that  $A_j$ 's are extensive operators,  $\Pi_\epsilon(s)$  solves

$$i\epsilon\dot{\Pi}_\epsilon(s) = [H_s + R_\epsilon(s), \Pi_\epsilon(s)]$$

where  $R_\epsilon(s)$  is  $\mathcal{O}(\epsilon^n)$

Then, when tested against a local observable:

▷  $\rho_\epsilon(s) - \Pi_\epsilon(s)$  is of order  $\epsilon^{n-d}$  since

$$i\epsilon\dot{\rho}_\epsilon = [H_s, \rho_\epsilon(s)]$$

▷  $\Pi_\epsilon(s) - P_s$  is of order  $\epsilon$

# Adiabatic expansion I

Ansatz  $\Pi = V P V^*$

$$i\epsilon\dot{\Pi} = [H, \Pi] + V \left[ i\epsilon V^* \dot{V} - \epsilon \mathcal{I}(\dot{H}) + (H - V^* H V), P \right] V^*$$

with

$$V = e^{i\epsilon A_1 + \epsilon^2 A_2 + \dots}$$

Now

$$H - V^* H V = i\epsilon [A_1, H] + \mathcal{O}(\epsilon^2)$$

and

$$\dot{V} = \mathcal{O}(\epsilon)$$

No zeroth order: The zeroth order dynamics is fully within  $\text{Ran} P$



## Adiabatic expansion II

First order is zero if

$$i[[A_1, H], P] = [\mathcal{I}(\dot{H}), P]$$

to be solved for  $A_1$ . By the local inverse lemma

$$A_1 = \mathcal{I}(\mathcal{I}(\dot{H}))$$

Continue inductively: By choosing  $A_1, \dots, A_n$ , the remainder

$$V^*RV = i\epsilon V^*\dot{V} - \epsilon\mathcal{I}(\dot{H}) + H - V^*HV$$

is of order  $\epsilon^{n+1}$ .

In which sense? All  $A_j$ 's are local extensive operators, so that

$$|\mathrm{Tr}(V^*RVO)| \leq C\|O\|\mathrm{supp}(O)|\epsilon^{n+1}$$

# Proof I

Starting from a  $\Omega_0 \in \text{Ran}P_0$ , define

$$\phi_{n,\epsilon}(s) = V_{n,\epsilon}(s, 0)\Omega_0$$

where

$$i\epsilon \dot{V}_{n,\epsilon}(s, s') = (H_s + R_{n,\epsilon})V_{n,\epsilon}(s, s'), \quad V_{n,\epsilon}(s', s') = 1$$

Then

$$\begin{aligned} & \langle \psi_\epsilon(s), O\psi_\epsilon(s) \rangle - \langle \phi_{n,\epsilon}(s), O\phi_{n,\epsilon}(s) \rangle \\ &= -\frac{i}{\epsilon} \int_0^s \langle \phi_{n,\epsilon}(r), [R_{n,\epsilon}(r), U_\epsilon(s, r)^* O U_\epsilon(s, r)] \phi_{n,\epsilon}(r) \rangle dr \\ &= \mathcal{O}(\epsilon^{-1+(n+1)-d}) \end{aligned}$$

## Proof II

By construction

$$\phi_{n,\epsilon}(s) \in \text{Ran}(\Pi_{n,\epsilon}(s))$$

so that there is  $\tilde{\psi}_{n,\epsilon}(s) \in \text{Ran}P_s$  such that

$$\langle \tilde{\psi}_{n,\epsilon}(s), O\tilde{\psi}_{n,\epsilon}(s) \rangle - \langle \phi_{n,\epsilon}(s), O\phi_{n,\epsilon}(s) \rangle = \mathcal{O}(\epsilon)$$

Summarizing:

- ▷  $\psi_\epsilon(s)$  the dynamically evolved vector
- ▷  $\phi_{n,\epsilon}(s)$  a ‘dressed’ state
- ▷  $\tilde{\psi}_{n,\epsilon}(s)$  a state in  $\text{Ran}P_s$

with

$$\psi_\epsilon(s) = \phi_{n,\epsilon}(s) + \mathcal{O}(\epsilon^{n-d}), \quad \phi_{n,\epsilon}(s) = \tilde{\psi}_{n,\epsilon}(s) + \mathcal{O}(\epsilon)$$

Choose  $n \geq d + 1$

# Remarks

- ▷ Differentiability assumption

$$A_1(s) = \mathcal{I}_s(\mathcal{I}_s(\dot{H}_s))$$

Generally:  $A_n(s)$  depends on  $H_s^{(k)}$ , for  $1 \leq k \leq n$

- ▷ **Local-in-time dependence:** If  $H_{s=1}^{(k)} = 0$  for  $1 \leq k \leq n$ , then

$$\Pi_{n,\epsilon}(1) - P_1 = \mathcal{O}(\epsilon^n)$$

yielding an improved adiabatic estimate: e.g.  $\mathcal{O}(\epsilon^\infty)$  if  $H \in C^\infty$

- ▷ **Parallel transport:** The dynamics of  $\tilde{\psi}_{n,\epsilon}(s)$  is generated by

$$i[A_1, H]P = i[[A_1, H], P]P = i[\mathcal{I}(\dot{H}), P]P = i[G^H, P]P$$

to  $\mathcal{O}(\epsilon)$

# On the gap assumption

Crucial assumption: open spectral gap, uniformly in  $\Lambda, s$

- ▷ When can it be proved?

Perturbations of frustration-free systems

S. Bravyi, M.B. Hasting and S. Michalakis, J. Math. Phys., 2010

S. Michalakis and J. Zwolak, Commun. Math. Phys., 2013

Perturbations of non-interacting fermion systems

A. Giuliani, V. Mastropietro, M. Porta, Commun. Math. Phys., 2016

M.B. Hasting, arXiv:1706.02270

W. De Roeck and M. Salmhofer, arXiv:1712.00977

B. Nachtergaele, R. Sims, A. Young, arXiv:1705.08553

- ▷ What about gapless (disordered) systems?

# PART IV

## Linear response theory

# Motivation

Ohm's law of electric conductivity, Fourier's law of thermal conductivity

General form

$$J = \chi F$$

$J$  is a current

$F$  is a force

$\chi$  is the matrix of **linear response coefficients**

Three connected mathematical problems:

- ▷ Validity of the linear relation
- ▷ Derivation of a general formula for  $\chi$
- ▷ Computation of  $\chi$  in a given setting

One famous example (see A. Bols' talk):

The **quantisation of the quantum Hall conductivity**

# State-of-the-art

In Physics: Well understood

- ▷ Derivation by the first order perturbation theory
- ▷ Kubo formula (1957)
- ▷ Some doubts about the order of limits, van Kampen (1971)

In Math: Very few results

- ▷ One of the open problems on Simon's 1984 list
- ▷ Non-interacting gapped systems (Elgart, Schlein 2004)
- ▷ Disordered systems (Bouclet et al 2005)
- ▷ Smoothed in frequency (Klein et al 2007, Bru, Pedra 2017)
- ▷ Compactly supported driving (Jakšić et al 2006)



## Linear response: Setting

Setting: An adiabatically switched on perturbation

$$H = H_i + e^{et}\alpha V, \quad t \in (-\infty, 0]$$

with  $\alpha \in \mathbb{R}$ . Also,

$$P_i = P\{\alpha = 0, s\} = P_{\{\alpha, t=-\infty\}}$$

the ground state projection of  $H_i$

Linear **response coefficient** of a local observable  $J$ :

$$\chi_{J,V} := \lim_{\alpha \rightarrow 0} \lim_{\epsilon \rightarrow 0} \lim_{\Lambda \rightarrow \Gamma} \frac{\text{Tr}(J\rho_{\alpha,\epsilon}(0)) - \text{Tr}(JP_i)}{\alpha}$$

Example:  $V$  is an electromotive force

$J$  is an electric current

$\chi_{J,V}$  is the **conductivity**

# Formal derivation I

Initial condition

$$\lim_{t \rightarrow -\infty} e^{iH_i t} \rho_{\epsilon, \alpha}(t) e^{-iH_i t} = P_i$$

For  $\varrho(t) := e^{iH_i t} \rho_{\epsilon, \alpha}(t) e^{-iH_i t}$ ,

$$\varrho_{\epsilon, \alpha}(t) = \varrho_{\epsilon, \alpha}(t_0) - i\alpha \int_{t_0}^t e^{\epsilon\tau} [e^{iH_i \tau} V e^{-iH_i \tau}, \varrho_{\epsilon, \alpha}(\tau)] d\tau$$

Let  $t = 0, t_0 \rightarrow -\infty$ ,

$$\rho_{\epsilon, \alpha}(0) - P_i = -i\alpha \int_{-\infty}^0 e^{\epsilon\tau} e^{iH_i \tau} [V, \rho_{\epsilon, \alpha}(\tau)] e^{-iH_i \tau} d\tau$$

to obtain to **first order in  $\alpha$**  (only linear response)

$$\text{Tr}(J(\rho_{\alpha, \epsilon}(0) - P_i)) = -i\alpha \int_{-\infty}^0 e^{\epsilon\tau} \text{Tr}(P_i [e^{-iH_i \tau} J e^{iH_i \tau}, V]) d\tau$$

## Formal derivation II

We obtained **Kubo's formula**

$$\chi_{J,V}^{\text{Kubo}} = \lim_{\epsilon \rightarrow 0} i \int_{-\infty}^0 e^{\epsilon\tau} \text{Tr}(P_i [V, e^{-iH_i\tau} J e^{iH_i\tau}]) d\tau$$

The catch:

$$\| [V, e^{-iH_i\tau} J e^{iH_i\tau}] \| \sim \tau^d$$

and since

$$\int e^{\epsilon\tau} \tau^d d\tau \sim \frac{1}{\epsilon^{d+1}}$$

the limit  $\epsilon \rightarrow 0$  **may not exist**

# Adiabaticity and the spectral flow

- ▷ By the adiabatic theorem

$$\rho_{\alpha,\epsilon}(0) - P_{\{\alpha,s=0\}} \longrightarrow 0$$

locally as  $\epsilon \rightarrow 0$ , uniformly in  $\Lambda$

- ▷ Since  $H_\alpha = H_i + \alpha V$ ,

$$\partial_\alpha H_\alpha = V$$

so that the spectral flow yields

$$\lim_{\alpha \rightarrow 0} \alpha^{-1} (P_{\{\alpha,s=0\}} - P_i) = i[\mathcal{I}_i(V), P_i]$$

uniformly in  $\Lambda$

# The linear response coefficient

Hence  $(\overline{\text{Tr}} = \sup_{\Lambda} \text{Tr})$

$$\begin{aligned} & \alpha^{-1} \overline{\text{Tr}}(J(\rho_{\alpha,\epsilon}(0) - P_i)) \\ & \leq \alpha^{-1} \overline{\text{Tr}}(J(\rho_{\alpha,\epsilon}(0) - P_{\{\alpha,s=0\}})) + \alpha^{-1} \overline{\text{Tr}}(J(P_{\{\alpha,s=0\}} - P_i)) \\ & \longrightarrow \alpha^{-1} \overline{\text{Tr}}(J(P_{\{\alpha,s=0\}} - P_i)) \quad (\epsilon \rightarrow 0) \\ & \longrightarrow i \overline{\text{Tr}}(J[\mathcal{I}_i(V), P_i]) \quad (\alpha \rightarrow 0) \end{aligned}$$

**Theorem.** [SB-Fraas-de Roeck]

*If  $H = H_i + \beta V$  is gapped for in a neighbourhood of  $\beta = 0$ , then*

$$\chi_{J,V} = -i \overline{\text{Tr}}(P_i[\mathcal{I}_i(V), J])$$

And again:  $\chi_{J,V}$  expressed only in terms of ‘unperturbed’ quantities

# Kubo?

Kubo's formula, again:

$$\chi_{J,V}^{\text{Kubo}} = \lim_{\epsilon \rightarrow 0} i \int_{-\infty}^0 e^{\epsilon\tau} \text{Tr}(P [V, e^{-iH\tau} J e^{iH\tau}]) d\tau$$

Replace  $V \rightarrow \tilde{V} = PV(1 - P) + (1 - P)VP$  and use  $\tilde{V} = -i[H, \mathcal{I}(\tilde{V})]$

Note

$$i \int_0^{\infty} e^{-\epsilon\tau} \tau ([H, \mathcal{I}(\tilde{V})]) d\tau = \int \frac{(\mu - \lambda)}{(\mu - \lambda) - i\epsilon} dE(\lambda) \mathcal{I}(\tilde{V}) dE(\mu) \rightarrow \mathcal{I}(\tilde{V})$$

as  $\epsilon \rightarrow 0$ , because there is a gap and  $\mathcal{I}(\tilde{V})$  is off-diagonal. Hence

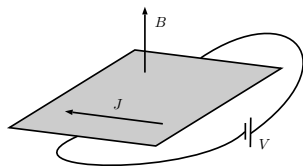
$$\chi_{J,V}^{\text{Kubo}} = -i \text{Tr}(P [\mathcal{I}(V), J]) = \chi_{J,V}$$

# Adiabatic curvature and QHE I

Quantum Hall system: Two-parameter family

$$H(\phi_1, \phi_2), \quad \phi_1, \phi_2 \in [0, 2\pi)$$

corresponding to an EMF in the 1 direction  
driving a current in the 2 direction



The electric potential:

$$V = Q_1$$

minimally coupled:

$$-i[H, V] = \partial_{\phi_1} H$$

The local current:

$$J = \partial_{\phi_2} H$$

## Adiabatic curvature and QHE II

Since  $W$  is an odd function

$$\chi_{J,V} = -i\text{Tr}(P[\mathcal{I}(\tilde{V}), J]) = i\text{Tr}(P[\tilde{V}, \mathcal{I}(J)])$$

Using again  $\tilde{V} = -i[H, \mathcal{I}(\tilde{V})] = -i\mathcal{I}([H, \tilde{V}])$ ,

$$\chi_{J,V} = i\text{Tr}(P[\mathcal{I}(\partial_{\phi_1} H), \mathcal{I}(\partial_{\phi_2} H)]) = i\text{Tr}(P[G_1^H, G_2^H])$$

and since  $P\mathcal{I}(\partial_{\phi_j} H)P = 0$ ,

$$\chi_{J,V} = i\text{Tr}(P[[\mathcal{I}(\partial_{\phi_1} H), P], [\mathcal{I}(\partial_{\phi_2} H), P]]) = i\text{Tr}(P[\partial_{\phi_1} P, \partial_{\phi_2} P])$$

which is the **adiabatic curvature**, see

J. Avron, R. Seiler and B. Simon, Phys. Rev. Lett., 1983



# Summary

## Assumption: Spectral gap

- ▷ Infrared catastrophe: Norm estimates fail for extended systems
- ▷ Change topology: consider only local expectation values
- ▷ Both Schrödinger dynamics and Hastings' parallel transport are local
- ▷ Propagation still yields error  $\mathcal{O}(\epsilon^{-d})$
- ▷ Solution: Go to higher order in adiabatic perturbation theory to get a **many-body adiabatic theorem**
- ▷ Crucially, all estimates are independent of the volume: derive **validity of linear response theory**

Another application of Hastings' local flow:

**Quantisation of conductance** in many-body systems, see

M.B. Hastings and S. Michalakis, Commun. Math. Phys., 2015

SB, A. Bols, W. De Roeck and M. Fraas, Annales H. Poincaré, 2018