

A bound on Yang-Mills action (G simple)

$$S_E[A] = \int_{\mathbb{R}^4} d^4x \frac{1}{4e^2} \underbrace{\sum_{\mu, \nu}^4 F_{\mu\nu} \cdot F_{\mu\nu}}_{-2 \operatorname{Tr}(F_{\mu\nu} F_{\mu\nu}) \text{ "Standard trace"}}$$
$$= -\frac{1}{e^2} \int_{\mathbb{R}^4} \sum_{\mu < \nu} \operatorname{Tr} F_{\mu\nu} F_{\mu\nu} \geq 0$$

$$A = A_\mu dx^\mu \quad \mathfrak{g}\text{-valued 1-form}$$

$$F_A = \frac{1}{2} F_{\mu\nu} dx^\mu \wedge dx^\nu = dA + \frac{1}{2} [A, A] \quad \mathfrak{g}\text{-valued 2-form}$$

Hodge $*$ operation: p -form $\mapsto (4-p)$ -form

η, ω : p -forms

$$\eta \wedge * \omega = \omega \wedge * \eta = (\eta, \omega) \underbrace{d^4x}_{\sum_{\mu_1 < \dots < \mu_p} \eta_{\mu_1 \dots \mu_p} \omega_{\mu_1 \dots \mu_p}} = dx^1 \wedge dx^2 \wedge dx^3 \wedge dx^4$$

$** = (-1)^p$ on p -forms in 4d

$* \omega \wedge * \eta = \omega \wedge \eta$ for ω p -form & η $(4-p)$ -form

$$*(dx^\mu \wedge dx^\nu) = \frac{1}{2} \sum_{\rho, \lambda} \epsilon^{\mu\nu\rho\lambda} dx^\rho \wedge dx^\lambda$$

$$\text{e.g. } *(dx^1 \wedge dx^2) = dx^3 \wedge dx^4, \quad *dx^1 \wedge dx^3 = -dx^2 \wedge dx^4, \dots$$

$*$ can be defined on any oriented Riemannian mfd of any dimension.

$$\begin{aligned}
S_E[A] &= -\frac{1}{e^2} \int_{\mathbb{R}^4} \text{Tr}(F_A \wedge * F_A) \\
&= -\frac{1}{e^2} \int_{\mathbb{R}^4} \left\{ \frac{1}{2} \text{Tr}((F_A \pm * F_A) \wedge *(F_A \pm * F_A)) \mp \text{Tr}(F_A \wedge F_A) \right\} \\
&= \frac{1}{4e^2} \int_{\mathbb{R}^4} \|F_A \pm * F_A\|^2 d^4x \pm \frac{1}{e^2} \int_{\mathbb{R}^4} \text{Tr}(F_A^2) \\
&\geq \left| \frac{1}{e^2} \int_{\mathbb{R}^4} \text{Tr}(F_A^2) \right|.
\end{aligned}$$

If $\int_{\mathbb{R}^4} \text{Tr}(F_A^2) \geq 0$, the bound is saturated by A obeying

$$F_A \pm * F_A = 0, \quad \text{i.e. } F_A \text{ is } \begin{cases} \text{anti-self dual} \\ \text{self dual.} \end{cases}$$

Note: $F_A \pm * F_A = 0 \Rightarrow D_A * F_A = 0$ Yang-Mills eqn.
 \uparrow (1st order differential eqn) \uparrow (2nd order differential eqn)

Def Pontrjagin index of A

$$\nu[A] := -\frac{1}{8\pi^2} \int_{\mathbb{R}^4} \text{Tr}(F_A^2).$$

Note: if $\text{Tr}(XY) = \text{tr}_\nu(XY)$, $\nu[A] = \int_{\mathbb{R}^4} \text{ch}_{4,\nu}(A)$.

Recall from Lecture 12:

$$\cdot \int_E [A] < \infty \Rightarrow A \rightarrow g^{-1}dg \text{ at } |x| \rightarrow \infty$$

$$\cdot \text{Tr}(F_A^2) = d \text{Tr} \left(A dA + \frac{2}{3} A^3 \right)$$

$$\cup[A] = -\frac{1}{8\pi^2} \int_{\mathbb{R}^4} d \text{Tr} \left(A dA + \frac{2}{3} A^3 \right)$$

$$= -\frac{1}{8\pi^2} \int_{S_\infty^3} \text{Tr} \left(A dA + \frac{2}{3} A^3 \right) \Big|_{A=g^{-1}dg}$$

$$= \frac{1}{24\pi^2} \int_{S_\infty^3} \text{Tr} \left((g^{-1}dg)^3 \right)$$

$$=: n[g] \quad \text{the winding number of } g: S_\infty^3 \rightarrow G$$

Fact G simple & simply connected (e.g. $G = SU(n), USp(n), Spin(n)$)

$$\pi_3(G) \cong \mathbb{Z}; [g] \leftrightarrow n[g]$$

Exercise $G = SU(2)$. For $g: S^3 \rightarrow G$ defined by

$$g(x) = \begin{pmatrix} x_4 + ix_3 & ix_1 + x_2 \\ ix_1 - x_2 & x_4 - ix_3 \end{pmatrix}; |x| = 1$$

Show that $n[g] = 1$.

θ vacua

Consider the Yang-Mills theory with simple & simply connected G .

Formulate it on a box of finite size $V \times T$ with a boundary condition s.t. A has a definite Pontryagin index $k \in \mathbb{Z}$.

We eventually take $V \rightarrow \infty, T \rightarrow \infty$.

$$Z(V, T, k) = \int_{A/g} \frac{\mathcal{D}A}{\text{Vol } g} e^{-S_E[A]} \underbrace{\delta_{\cup[A], k}}_{= \int_0^{2\pi} \frac{d\theta}{2\pi} e^{i\theta(\cup[A] - k)}}$$

$$= \int_0^{2\pi} \frac{d\theta}{2\pi} e^{-ik\theta} \underbrace{\int_{A/g} \frac{\mathcal{D}A}{\text{Vol } g} e^{-S_E[A] + i\theta \cup[A]}}_{Z(V, T, \theta)}$$

We assume that there are (anti-)instantons, i.e., localized solutions to

$$F_A \pm *F_A = 0, \quad \cup[A] = \pm 1$$

$$\Rightarrow S_E[A] = \frac{8\pi^2}{e^2} =: S_0.$$

By the dilute gas approximation, we have

$$\begin{aligned} Z(V, T, \theta) |_{d.g.} &= \sum_{n, \bar{n}} e^{-(n+\bar{n})S_0} K^{n+\bar{n}} \frac{(VT)^{n+\bar{n}}}{n! \bar{n}!} e^{i(n-\bar{n})\theta} \\ &= \exp \left[KVT e^{-S_0+i\theta} + KVT e^{-S_0-i\theta} \right] \\ &= \exp \left[-VT \mathcal{E}(\theta) \right] \end{aligned}$$

$$\mathcal{E}(\theta) = -2K e^{-\frac{\pi^2}{e^2}} \cos(\theta)$$

As in the case of periodic potential, we find
a continuum of vacuum states, labelled by $\theta \in \mathbb{R}/2\pi\mathbb{Z}$

These are called the θ -vacua.

We shall discuss the meaning of this observation in
the canonical / Hamiltonian formulation of the theory.

Hamiltonian formulation of YM theory

Minkowski: (real time) action

$$S[A] = \int_{\mathbb{R}^4} -\frac{1}{4e^2} F^{\mu\nu} \cdot F_{\mu\nu} d^4x$$
$$= \int_{\mathbb{R}^4} d^4x \left(\frac{1}{2e^2} \sum_i F_{0i}^2 - \frac{1}{2e^2} \sum_{i < j} F_{ij}^2 \right)$$

↑ integrate out \mathbb{E}

$$S[A, \mathbb{E}; A_0] = \int_{\mathbb{R}^4} d^4x \left(\sum_i E_i F_{0i} - \frac{e^2}{2} \sum_i E_i^2 - \frac{1}{2e^2} \sum_{i < j} F_{ij}^2 \right)$$
$$= \int dt \int_{\mathbb{R}^3} d^3x \left(\sum_i E_i \dot{A}_i - \frac{e^2}{2} \sum_i E_i^2 - \frac{1}{2e^2} \sum_{i < j} F_{ij}^2 + A_0 \sum_i D_i E_i \right)$$

• $A_0(x)$ is a Lagrange multiplier imposing a constraint

$$\mathbb{D} \cdot \mathbb{E} = 0 \quad \text{Gauss law.}$$

• $A_i(x)$ & $E_i(x)$ are canonically conjugate variables

$$\{A_{ia}(x), E_{jb}(y)\} = \delta_{ij} \delta_{ab} \delta(x-y).$$

• Hamiltonian

$$H(\mathbb{E}, A) = \int d^3x \left(\frac{e^2}{2} \sum_i E_i(x)^2 + \frac{1}{2e^2} \sum_{i < j} F_{ij}(x)^2 \right)$$

More on the constraint

$$\bar{\Phi}(\ast) := \mathbb{D} \cdot \mathbb{E} = \sum_i (\partial_i \bar{E}_i + [A_i, \bar{E}_i]) = 0 :$$

For a \mathfrak{g} -valued function $\epsilon(\ast)$ of \ast , put

$$\Phi_\epsilon := \int d^3\ast \epsilon(\ast) \cdot \bar{\Phi}(\ast) = - \int d^3\ast \mathbb{D}\epsilon(\ast) \cdot \mathbb{E}(\ast).$$

[ϵ obeys

$$\{\Phi_\epsilon, A(\ast)\} = \mathbb{D}\epsilon(\ast)$$

$$\{\Phi_\epsilon, \mathbb{E}(\ast)\} = [\mathbb{E}, \epsilon](\ast)$$

$\therefore \Phi_\epsilon$ generates the gauge transformation by $\epsilon(\ast)$.

As H is gauge invariant, $\{\Phi_\epsilon, H\} = 0$.

$$\text{Also, } \{\Phi_{\epsilon_1}, \Phi_{\epsilon_2}\} = \Phi_{[\epsilon_1, \epsilon_2]}.$$

The Hamiltonian system of this type is called the system with a first class constraint.

Methods to quantize such a system have been developed.

See the additional note.

One proposal: physical states are wavefunctionals

$\Psi[A]$ which satisfy the Gauss law

$$\widehat{\Phi}_E \Psi[A] = 0 \quad \forall E.$$

Since $\widehat{E}(x) = -i \frac{\delta}{\delta A(x)}$, this means

$$\delta_E \Psi[A] = 0, \quad \forall E$$

i.e. invariance under infinitesimal gauge transformations.

To be precise, we need to impose a boundary condition at ∞ .

As one natural choice, we take

$$A(x) \rightarrow 0 \quad \text{as } |x| \rightarrow \infty$$

$$E(x) \rightarrow 0 \quad \text{as } |x| \rightarrow \infty$$

Let \mathcal{A} be the space of such $A(x)$'s and

\mathfrak{g} be the Lie algebra of such $E(x)$'s.

\mathfrak{g} generates the identity component \mathcal{G}_0 of the group

$$\mathcal{G} = \left\{ g: \mathbb{R}^3 \rightarrow G \mid g(x) \rightarrow 1 \text{ as } |x| \rightarrow \infty \right\}.$$

An element $g \in \mathcal{G}$ defines a map $g: S^3 = \mathbb{R}^3 \cup \{\infty\} \rightarrow G$.

It belongs to \mathcal{G}_0 if and only if it has no winding #:

$$g \in \mathcal{G}_0 \iff n[g] = 0.$$

Furthermore,

$$\mathcal{G} / \mathcal{G}_0 \cong \pi_3(G) \cong \mathbb{Z}$$

$A \mapsto A^g$ by $g \in \mathcal{G} \setminus \mathcal{G}_0$ is called a

large gauge transformation.

The above proposal: physical states are functionals

Ψ on \mathcal{A} which are invariant under \mathcal{G}_0 :

$$\Psi[A^g] = \Psi[A] \quad \forall g \in \mathcal{G}_0$$

In other words, they are functionals on $\mathcal{A} / \mathcal{G}_0$.

It does not require invariance under large gauge transformations. Then, how should they transform?

$$H = \int_{\mathbb{R}^3} d^3x \left(\frac{e^2}{2} \mathbb{E}(x)^2 + \frac{1}{2e^2} \mathbb{F}_A(x)^2 \right) \Rightarrow$$

The potential is $U[A] = \frac{1}{2e^2} \int_{\mathbb{R}^3} d^3x \mathbb{F}_A(x)^2$

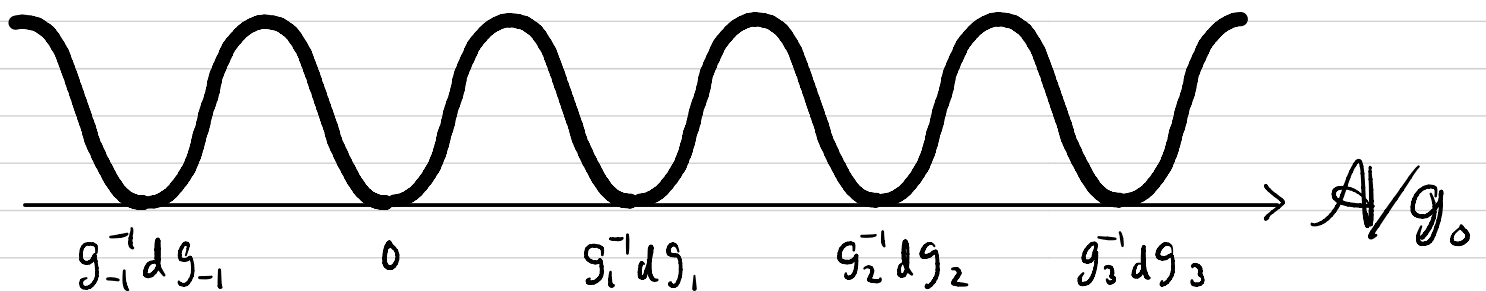
• It is invariant under $A \mapsto A^g$ for $\forall g \in \mathcal{G}$,

including large gauge transformations.

• $U[A] \geq 0$

$= 0 \Leftrightarrow A = g^{-1} dg$ for some $g \in \mathcal{G}$

\therefore As a function on A/\mathcal{G}_0 , the potential looks like



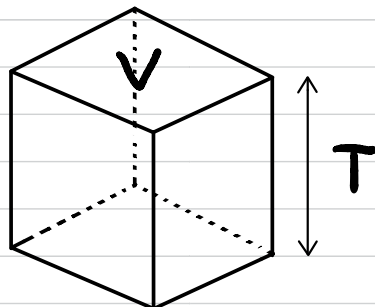
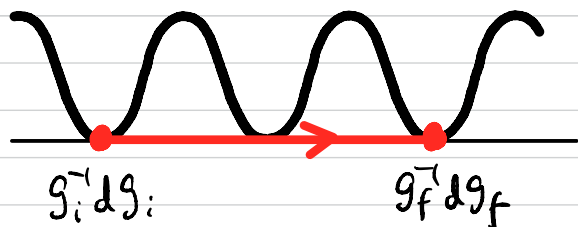
where $g_j \in \mathcal{G}$, $n[g_j] = j \in \mathbb{Z}$.

The system is similar to QM with periodic potential.

As in that case, we may consider tunnelling between different minima.

Tunnelling

Put the system in a box



Boundary condition:

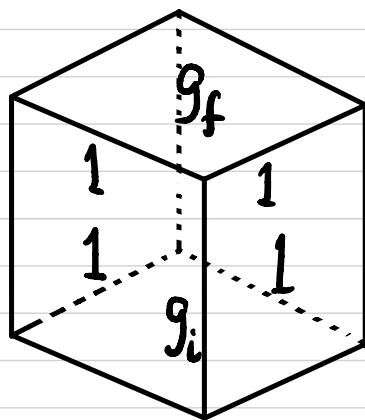
$$A \rightarrow 0 \quad * \rightarrow \partial V$$

$$A \rightarrow g_i^{-1} dg_i \quad \tau \rightarrow -\frac{T}{2}$$

$$A \rightarrow g_f^{-1} dg_f \quad \tau \rightarrow \frac{T}{2}$$

$$A|_{\partial(V \times T)} = g^{-1} dg$$

where $g: \partial(V \times T) \rightarrow G$



$$\partial(V \times T) = \underbrace{\partial V \times T}_1 + V \times \underbrace{\left\{-\frac{T}{2}\right\}}_{g_i} - V \times \underbrace{\left\{\frac{T}{2}\right\}}_{g_f}$$

$$\therefore n[g] = n[g_i] - n[g_f]$$

||
 $\mathcal{V}[A]$

$$Z_{V,T}(g_f^{-1}dg_f, g_i^{-1}dg_i) \Big|_{\text{dilute gas}}$$

$$= \sum_{n, \bar{n}} e^{-(n+\bar{n})S_0} K^{n+\bar{n}} \frac{(VT)^{n+\bar{n}}}{n! \bar{n}!} \underbrace{\delta_{n-\bar{n}, n[g_i]-n[g_f]}}_{\int \frac{d\theta}{2\pi} e^{i\theta(n-\bar{n}-n[g_i]+n[g_f])}}$$

$$= \int \frac{d\theta}{2\pi} e^{i(n[g_f]-n[g_i])\theta} \exp\left(KVT e^{-\frac{8\pi^2}{e^2} + i\theta} + KVT e^{-\frac{8\pi^2}{e^2} - i\theta}\right)$$

$$= \int \frac{d\theta}{2\pi} \underbrace{e^{in[g_f]\theta - in[g_i]\theta}}_{\text{should be identified with}} \exp(-VT \mathcal{E}(\theta))$$

should be identified with

$$\Psi_\theta[g_f^{-1}dg_f] e^{-VT \mathcal{E}(\theta)} \Psi_\theta[g_i^{-1}dg_i]^*$$

$$\rightsquigarrow \Psi_\theta[g^{-1}dg] \propto e^{in[s]\theta}$$

The eigenstate $\Psi_\theta[A]$ is not invariant under large gauge transformations (unless $\theta \in 2\pi\mathbb{Z}$) since

$$\Psi_\theta[0^g] = e^{in[s]\theta} \Psi_\theta[0].$$

\mathcal{G} (or $\mathcal{G}/\mathcal{G}_0 \cong \mathbb{Z}$) keeps the Hamiltonian invariant and hence is a symmetry of the system.

Therefore, the energy eigenstate Ψ_θ ($\theta \in \mathbb{R}/2\pi\mathbb{Z}$) is expected to be an eigenstate of this symmetry:

$$\Psi_\theta[A^g] = \underbrace{c_\theta(n(g))}_{\uparrow} \Psi_\theta[A].$$

depends only on the winding number $n(g)$ of g by the Gauss law.

What we've seen, $\Psi_\theta[\theta^g] = e^{in(g)\theta} \Psi_\theta[0]$, is enough to determine the eigenvalue:

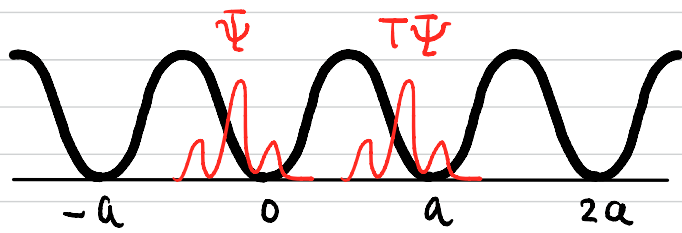
$$c_\theta(n) = e^{in\theta}$$

Thus, we conclude

$$\Psi_\theta[A^g] = e^{in(g)\theta} \cdot \Psi_\theta[A] \quad \forall g \in \mathcal{G}$$

(★)

Similar to the shift symmetry T of periodic potential



$$(T\Psi)(x) = \Psi(x-a)$$

localized state $|j\rangle$ at $x=ja$ with

$$H|j\rangle = E_0|j\rangle - \Delta|j-1\rangle - \Delta|j+1\rangle \quad (\text{tight binding})$$

$$T|j\rangle = |j+1\rangle$$

$$\Rightarrow \Psi_\theta = \sum_{j \in \mathbb{Z}} e^{ij\theta} |j\rangle \quad \text{eigenstate of } H \text{ \& } T$$

$$H\Psi_\theta = (E_0 - 2\Delta \cos\theta) \Psi_\theta$$

$$T\Psi_\theta = e^{-i\theta} \Psi_\theta$$

$$\Psi_\theta(x-na) = e^{-in\theta} \Psi_\theta(x), \quad \dots \text{ similar to } (\star)$$

$$\rightsquigarrow \text{Bloch wave function } \Psi_\theta(x) = e^{i\theta \frac{x}{a}} \underbrace{U_\theta(x)}_{\text{periodic.}}$$

Q Similar expression for $\Psi_\theta[A]$ in Yang-Mills theory?

What is the analog of $e^{i\theta \frac{x}{a}}$?

→ Chern-Simons functional

Chern-Simons functional

Y an oriented 3-dimensional manifold (\mathbb{R}^3, V, S^3 etc),

A a \mathfrak{g} -valued 1-form on Y .

The Chern-Simons functional of A on Y is

$$CS_Y[A] := -\frac{1}{8\pi^2} \int_Y \text{Tr}(A dA + \frac{2}{3} A^3)$$

Some properties:

- For a variation of A , $\delta CS_Y[A] = -\frac{1}{4\pi^2} \int_Y \text{Tr}(\delta A \wedge F_A)$

\therefore EL eqn is $F_A = 0$ (flatness)

- For $g: Y \rightarrow G$, $\text{Tr}(A^g dA^g + \frac{2}{3} A^{g^3})$
 $= \text{Tr}(A dA + \frac{2}{3} A^3) - \frac{1}{3} \text{Tr}(\bar{g}^1 dg)^3 - d \text{Tr}(dg \bar{g}^1 \wedge A)$

Thus, if $\partial Y = \emptyset$ or $\text{Tr}(dg \bar{g}^1 A)|_{\partial Y} = 0$,

$$CS_Y[A^g] = CS_Y[A] + \underbrace{\frac{1}{24\pi^2} \int_Y \text{Tr}(\bar{g}^1 dg)^3}_{=: \eta_Y[g]}$$

• Recall $\text{Tr} F_A^2 = d \text{Tr}(A \wedge A + \frac{2}{3} A^3)$.

Thus for an oriented 4-dimensional manifold X possibly with boundary ∂X and a \mathfrak{g} -valued 1-form A on X ,

$$\mathcal{V}_X[A] := -\frac{1}{8\pi^2} \int_X \text{Tr} F_A^2 = \text{CS}_{\partial X}[A|_{\partial X}].$$

e.g. $X = \mathbb{R}^3 \times [\tau_i, \tau_f]$ (Euclidean)

$$\partial X = \partial \mathbb{R}^3 \times [\tau_i, \tau_f] + \mathbb{R}^3 \times \{\tau_i\} - \mathbb{R}^3 \times \{\tau_f\}$$

If $A|_{\partial \mathbb{R}^3 \times [\tau_i, \tau_f]} = 0$,

$$\mathcal{V}_{\mathbb{R}^3 \times [\tau_i, \tau_f]}[A] = \text{CS}_{\mathbb{R}^3}[A|_{\tau_i}] - \text{CS}_{\mathbb{R}^3}[A|_{\tau_f}].$$

In Minkowski space

$$S_\theta[A] := \frac{\theta}{8\pi^2} \int_{\mathbb{R}^3 \times [\tau_i, \tau_f]} d^4x \epsilon^{ijkl} \text{Tr}(F_{0i} F_{jk})$$

$$= \theta \text{CS}_{\mathbb{R}^3}[A|_{\tau_i}] - \theta \text{CS}_{\mathbb{R}^3}[A|_{\tau_f}]$$

$CS[A] := CS_{\mathbb{R}^3}[A]$ obeys

$$CS[A^g] = CS[A] + n(g).$$

So, if we write

$$\Psi_\theta[A] = e^{i\theta CS[A]} \mathcal{U}_\theta[A]$$

Then, $\mathcal{U}_\theta[A]$ is invariant under all $g \in \mathcal{G}$.

"Bloch-type wave functional".

We may consider more general states $\Psi[A]$ with the same transformation property as $\Psi_\theta[A]$, i.e.

$$\Psi[A^g] = e^{in(g)\theta} \Psi[A] \quad \forall g \in \mathcal{G}.$$

If we write $\Psi[A] = e^{i\theta CS[A]} \mathcal{U}[A]$, then

$\mathcal{U}[A]$ is invariant under all $g \in \mathcal{G}$.

Let Ψ_i & Ψ_f be such states with a common θ .

Then, the transition amplitudes between them is

$$(\Psi_f, e^{-i(t_f-t_i)H} \Psi_i)$$

$$= \int e^{iS[A]} \underbrace{\Psi_f[A(t_f)]^* \Psi_i[A(t_i)]}_{e^{-i\theta CS[A(t_f)] + i\theta CS[A(t_i)]}} \mathcal{U}_f[A(t_f)]^* \mathcal{U}_i[A(t_i)]$$

$iS_\theta[A]$

$$= \int e^{iS[A] + iS_\theta[A]} \mathcal{U}_f[A(t_f)]^* \mathcal{U}_i[A(t_i)]$$

We may consider the θ -sector in which

① All states transform as $\Psi[A^g] = e^{in[S]\theta} \Psi[A]$
for $g \in \mathcal{G}$ and the action is $S[A]$,

or equivalently

② All states are invariant under \mathcal{G}
but the action is $S[A] + S_\theta[A]$

Note that the state Ψ_θ (or \mathcal{U}_θ) belongs to this sector as the ground state. That's why we call it the θ -vacuum.

All states obtained from Ψ_θ (or \mathcal{U}_θ) by operating gauge invariant local operators are in the same sector.

This implies that sectors of different values of θ , e.g. θ_1 -sector and θ_2 -sector with $\theta_1 \not\equiv \theta_2 \pmod{2\pi\mathbb{Z}}$, do not mix with each other.

We shall consider different sectors to be different QFTs.

In other words, to specify a theory, we need to specify the value of $\theta \in \mathbb{R}/2\pi\mathbb{Z}$.

If the states are as in (1) or (2) with a fixed $\theta \in \mathbb{R}/2\pi\mathbb{Z}$,

to avoid infinity, the path-integral must be over

\mathcal{A}/\mathcal{G} where \mathcal{G} consists of g which does not have to

satisfy $n[g|_t] = 0$:

$$(\Psi_f, e^{-i(t_f-t_i)H} \Psi_i)$$

$$= \int_{\mathcal{A}/\mathcal{Q}} \frac{\mathcal{D}A}{\text{Vol } \mathcal{Q}} e^{iS[A]} \Psi_f[A(t_f)]^* \Psi_i[A(t_i)] \quad \text{in } \textcircled{1}$$

$$= \int_{\mathcal{A}/\mathcal{Q}} \frac{\mathcal{D}A}{\text{Vol } \mathcal{Q}} e^{iS[A] + iS_0[A]} \mathcal{U}_f[A(t_f)]^* \mathcal{U}_i[A(t_i)] \quad \text{in } \textcircled{2}$$