

The relevance of surface terms in the action principle

Marc Henneaux

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Because the Euler-Lagrange derivatives of a total divergence
 $\partial_\mu V^\mu(\phi^A, \partial_\nu \phi^A, \dots)$ are zero,

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$$\frac{\delta(\partial_\mu V^\mu)}{\delta\phi^A} \equiv \frac{\partial(\partial_\mu V^\mu)}{\partial\phi^A} - \partial_\nu \frac{\partial(\partial_\mu V^\mu)}{\partial(\partial_\nu \phi^A)} + \dots = 0 \quad (1.1)$$

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it is sometimes stated that surface terms can be freely dropped in the action.

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This would be correct if the action principle was just a book-keeping device for the equations of motion,

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it is sometimes stated that surface terms can be freely dropped in the action.

This would be correct if the action principle was just a book-keeping device for the equations of motion, but the action is much more than that.

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it is sometimes stated that surface terms can be freely dropped in the action.

This would be correct if the action principle was just a book-keeping device for the equations of motion,

but the action is much more than that.

Its value has physical significance, and since surface terms might be non-zero, care must be exercised when dealing with them.

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I will work with the Hamiltonian form of the action
 $\int dt(p_i \dot{q}^i - H) + \text{surface terms}.$

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I will work with the Hamiltonian form of the action
 $\int dt(p_i \dot{q}^i - H) +$ surface terms.

(In the case of field theory, $p_i \dot{q}^i = \int d^d x \pi_A \dot{\phi}^A$ and $H = \int d^d x \mathcal{H}$.)

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The kinetic term in the Hamiltonian action is often written as $p_i \dot{q}^i$.

But why not $-\dot{p}_i q^i$, which differs from it by the total time derivative $-\frac{d}{dt}(p_i q^i)$?

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The answer is that both are relevant, but for different situations.

$$p_i \dot{q}^i \text{ or } -\dot{p}_i q^i ?$$

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But why not $-\dot{p}_i q^i$, which differs from it by the total time derivative $-\frac{d}{dt}(p_i q^i)$?

The answer is that both are relevant, but for different situations.

This is important quantum-mechanically, but can already be understood classically.

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Indeed one has

$$\delta S = \int_{t_1}^{t_2} dt \left(\delta p_i \left(\dot{q}^i - \frac{\partial H}{\partial p_i} \right) + \delta q^i \left(-\dot{p}_i - \frac{\partial H}{\partial q^i} \right) \right) + \left[p_i \delta q^i \right]_{t_1}^{t_2}$$

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and this is an extremum “on-shell” ($\delta S = 0$) only if $\delta q^i = 0$.

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and this is an extremum “on-shell” ($\delta S = 0$) only if $\delta q^i = 0$.

If one were to fix the p_i 's at the time boundaries ($\delta p_i = 0$), the action would not be an extremum unless $p_i(t_1) = p_i(t_2) = 0$, which eliminates most initial conditions !

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and is thus the appropriate action for that problem.

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and this is an extremum “on-shell” ($\delta S' = 0$).

The boundary term $[p_i q^i]_{t_1}^{t_2}$ by which S and S' differ is in general non-zero and makes the difference.

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In the quantum theory, the path integral

$$\int Dq(t) Dp(t) e^{\frac{i}{\hbar} S[q(t), p(t)]}$$

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In the quantum theory, the path integral

$$\int Dq(t) Dp(t) e^{\frac{i}{\hbar} S[q(t), p(t)]}$$

gives the transition amplitude $\langle q_2, t_2 | q_1, t_1 \rangle$ in the coordinate representation

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while the path integral $\int Dq(t) Dp(t) e^{\frac{i}{\hbar} S'[q(t), p(t)]}$

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gives the transition amplitude $\langle p_2, t_2 | p_1, t_1 \rangle$ in the momentum representation.

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gives the transition amplitude $\langle p_2, t_2 | p_1, t_1 \rangle$ in the momentum representation.

One goes from one to the other by Fourier transform, which is exactly what the surface term $e^{-\frac{i}{\hbar} ((p_i q^i)(t_2))} e^{\frac{i}{\hbar} ((p_i q^i)(t_1))}$ is needed for.

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In field theory, surface terms at the time boundaries have the same interpretation and role than in mechanics. They are related to the chosen representation.

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Surface terms at the space boundaries are equally crucial.

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In field theory, surface terms at the time boundaries have the same interpretation and role than in mechanics. They are related to the chosen representation.

Surface terms at the space boundaries are equally crucial.

This is particularly striking in the case of gravity.

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We start with the energy.

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In field theory, surface terms at the time boundaries have the same interpretation and role than in mechanics. They are related to the chosen representation.

Surface terms at the space boundaries are equally crucial.

This is particularly striking in the case of gravity.

We start with the energy.

We recall that in classical mechanics, the action $S[q(t)] = \int_{t_1}^{t_2} dt(p_i \dot{q}^i - H)$ is equal to $S = -E(t_2 - t_1)$ for a time-independent solution to the equations of motion ($\dot{q}^i = 0 = \dot{p}_i$; we assume the Hamiltonian to be time-independent).

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One would thus expect that for a Schwarzschild black hole of mass M , the gravitational action would reduce to $-M(t_2 - t_1)$.

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However, the “naive” gravitational action

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However, the “naive” gravitational action

$$\begin{aligned} S[g_{ij}(t, x^k), \pi^{ij}(t, x^k), N(t, x^k), N^i(t, x^k)] \\ = \int dt \int d^3x \left(\pi^{ij} \dot{g}_{ij} - N \mathcal{H} - N^k \mathcal{H}_k \right) \end{aligned}$$

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reduces to zero ($\dot{g}_{ij} = 0$, $\mathcal{H} = 0 = \mathcal{H}_k$).

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reduces to zero ($\dot{g}_{ij} = 0$, $\mathcal{H} = 0 = \mathcal{H}_k$).

The problem is that we are using an action which is incorrect because it misses important surface terms at the space boundaries.

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The gravitational field configurations over which one extremizes the action are characterized by the asymptotic behaviour

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$$g_{ij} = \delta_{ij} + \mathcal{O}\left(\frac{1}{r}\right), \quad \pi^{ij} = \mathcal{O}\left(\frac{1}{r^2}\right),$$

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In the Schwarzschild metric, this term involves the mass M , which is thus varied.

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One finds that when the equations of motion hold, the variation of the action is given by a non-vanishing surface integral at spatial infinity,

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One finds that when the equations of motion hold, the variation of the action is given by a non-vanishing surface integral at spatial infinity,

$$\delta S = \delta E_{ADM}(t_2 - t_1) \neq 0$$

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Here, $E_{ADM} = \frac{1}{16\pi} \oint_{S^\infty} d^2 S^k (g_{ik,i} - g_{ii,k})$ is the so-called “ADM energy”.

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Here, $E_{ADM} = \frac{1}{16\pi} \oint_{S^\infty} d^2 S^k (g_{ik,i} - g_{ii,k})$ is the so-called “ADM energy”.

It is equal to the mass M when evaluated on the Schwarzschild solution (for which the linear momentum P^k vanishes).

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$$S = \int_{t_1}^{t_2} dt \left[\int d^3x \left(\pi^{ij} \dot{g}_{ij} - N \mathcal{H} - N^k \mathcal{H}_k \right) - \frac{1}{16\pi} \oint_{S_\infty} d^2S^k (g_{ik,i} - g_{ii,k}) \right]$$

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so that $\delta S = 0$ under the given boundary conditions.

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The on-shell value of S is then $-M(t_2 - t_1)$, as it should be.

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Note that the proper time at infinity between the initial and final slices is given by $t_2 - t_1$ since $N \rightarrow 1$ and is fixed in the variational principle.

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Note that the proper time at infinity between the initial and final slices is given by $t_2 - t_1$ since $N \rightarrow 1$ and is fixed in the variational principle.

If one were to fix M and leave $t_2 - t_1$ free, the original action would be ok.

More general asymptotic transformations

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One can consider more general symmetry transformations than just the time translations.

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One can consider more general symmetry transformations than just the time translations.

The full symmetry group is infinite-dimensional and contains the homogeneous Lorentz transformations, the spacetime translations as well as angle-dependent “supertranslations”.

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It is called the B(ondi)-M(etzner)-S(achs) group.

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The full symmetry group is infinite-dimensional and contains the homogeneous Lorentz transformations, the spacetime translations as well as angle-dependent “supertranslations”.

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All the corresponding charge-generators are given by surface integrals at infinity.

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To deal with black hole thermodynamics, we “go Euclidean”.

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To deal with black hole thermodynamics, we “go Euclidean”.

The Euclidean Schwarzschild black hole is given by

$$ds^2 = \left(1 - \frac{2M}{r}\right) dt^2 + \left(1 - \frac{2M}{r}\right)^{-1} dr^2 + r^2 d\Omega^2$$

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and is regular at $r = 2M$ (origin) only if the coordinate t is periodic of period $8\pi M$.

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and is regular at $r = 2M$ (origin) only if the coordinate t is periodic of period $8\pi M$.

This fixes the black hole temperature to be $\frac{1}{8\pi M}$.

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Since the temperature is fixed, the relevant statistical ensemble is the canonical ensemble.

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Since the temperature is fixed, the relevant statistical ensemble is the canonical ensemble.

The free energy is given by $e^{-\beta F} = \int Dg e^{-\beta S_E}$

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where S_E is the Euclidean action (integration over the momenta has been performed).

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This forces one to add a surface term to the Einstein-Hilbert action $\int d^4x R \sqrt{g}$, which can be expressed in terms of the extrinsic curvature of the boundary (Gibbons-Hawking).

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This surface term provides the entire contribution to the entropy since $R = 0$ for Schwarzschild.

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(Can be also formulated in the Hamiltonian description.)

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Surface terms in the action are most relevant.

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As the $p\dot{q}$ example shows, their explicit form depends on the boundary conditions.

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Different choices of boundary conditions might correspond to different representations of the same theory, or even define different theories.

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In the case of gravity, surface terms are everything (energy, entropy).

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THANK YOU!