Quenching the XXZ spin chain: quench action approach versus generalized Gibbs ensemble

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1. Thermalization in isolated quantum systems and the GGE
2. Quantum quenches in the XXZ spin chain
3. Comparing GGE to real time evolution
4. Quench action and the overlap TBA
5. Follow-up
6. Conclusions
Closed q-systems and eigenstate thermalization hypothesis

Time evolution

\[ |\psi(t)\rangle = \sum_{\alpha} C_{\alpha} e^{-\frac{i}{\hbar} E_{\alpha} t} |\psi_{\alpha}\rangle \quad C_{\alpha} = \langle \psi(0) | \psi_{\alpha} \rangle : \text{overlaps} \]

\[ H |\psi_{\alpha}\rangle = E_{\alpha} |\psi_{\alpha}\rangle \]

Observables

\[ \langle A(t) \rangle = \langle \psi(t) | A |\psi(t)\rangle = \sum_{\alpha} C_{\alpha}^* C_{\beta} e^{-\frac{i}{\hbar} (E_{\alpha} - E_{\beta}) t} \langle \psi_{\alpha} | A |\psi_{\beta}\rangle \]

Stationary state: diagonal ensemble

\[ \bar{A} = \lim_{T \to \infty} \frac{1}{T} \int_{0}^{T} dt \langle A(t) \rangle = \text{Tr} \rho_{\text{DE}} A \quad \rho_{\text{DE}} = \sum_{\alpha} |C_{\alpha}|^2 |\psi_{\alpha}\rangle \langle \psi_{\alpha}| \]

“Quantum ergodicity” (Deutsch, 1991); ETH (Srednicki, 1994)

\[ \langle \psi_{\alpha} | A |\psi_{\alpha}\rangle = \langle A \rangle (E_{\alpha}) \quad \text{in TDL} \]

⇒ DE can be replaced with microcanonical/canonical (Gibbs) ens.
– in the thermodynamic limit
– for suitable (local/few-body) observables
GETH and GGE

Integrable system: higher conserved charges

\[ [Q_i, Q_j] = 0 \quad H \in \{ Q_i \} \]

Generalized Gibbs Ensemble (\sim \text{grand canonical ensemble})
(Rigol, Dunjko, Yurovsky & Olshanii, 2007)

\[ \rho_{\text{GGE}} = \frac{1}{Z} e^{-\sum \beta_i Q_i} \quad Z = \text{Tr} \ e^{-\sum \beta_i Q_i} \]

\[ \text{Tr} \ \rho_{\text{GGE}} Q_i = \langle \psi(0) | Q_i | \psi(0) \rangle \rightarrow \{ \beta_i \}_{i=1,\ldots,N} \]
GGE: follows from conditional maximum entropy principle.

Generalized Eigenstate Thermalization Hypothesis (GETH)

\[ \langle \psi_{\alpha} | A | \psi_{\alpha} \rangle = \langle A \rangle (\{ Q_i \}_\alpha) \quad \text{in TDL} \]

ETH holds on \( Q \)-shells, i.e. subspaces determined by fixing the \( Q_i \).
The Heisenberg XXZ spin chain

A paradigmatic integrable model: chain of 1/2 spins

... \uparrow \downarrow \downarrow \uparrow \uparrow \downarrow \downarrow \uparrow ... \rightarrow \mathcal{H} = \bigotimes_{L} \mathbb{C}^{2}

H_{XXZ} = \sum_{i=1}^{L} \left( \sigma_{i}^{x} \sigma_{i+1}^{x} + \sigma_{i}^{y} \sigma_{i+1}^{y} + \Delta \sigma_{i}^{z} \sigma_{i+1}^{z} \right) \quad \text{PBC: } \sigma_{L+1}^{k} \equiv \sigma_{1}^{k}

Here: \( \Delta > 1 \): gapped phase, \( \Delta \to \infty \): Ising limit

The chain is integrable and can be diagonalized by Bethe Ansatz:

\[ |\lambda_{1}, \ldots, \lambda_{M}\rangle \quad : \quad \text{state with M spin waves with rapidities } \lambda_{i} \]

\[ \left( \frac{\sin \left( \lambda_{j} + i\eta/2 \right)}{\sin \left( \lambda_{j} - i\eta/2 \right)} \right)^{L} = \prod_{k \neq j}^{M} \frac{\sin \left( \lambda_{j} - \lambda_{k} + i\eta \right)}{\sin \left( \lambda_{j} - \lambda_{k} - i\eta \right)} \quad \Delta = \cosh \eta \]

\[ Q_{n} |\lambda_{1}, \ldots, \lambda_{M}\rangle = \sum_{i=1}^{M} q_{n}(\lambda_{i}) |\lambda_{1}, \ldots, \lambda_{M}\rangle \]

Conserved charges \( Q_{n} \) are local \( \rightarrow \) additivity of eigenvalues!
Thermodynamics from string hypothesis

In TDL \((L \to \infty)\)

\(n\)-string configurations

\[ \lambda_j = \lambda + \frac{i\eta}{2} (n + 1 - 2j) + O(1/L) \]

\(j = 1, \ldots, n\)

Number of \(n\)-strings centered in an interval \([\lambda, \lambda + d\lambda]\): \(L\rho_n(\lambda)d\lambda\)

Number of \(n\)-string holes in an interval \([\lambda, \lambda + d\lambda]\): \(L\rho_n^h(\lambda)d\lambda\)

Thermodynamic limit of BA: Bethe-Takahashi equations

\[
\rho_n(\lambda) + \rho_n^h(\lambda) = a_n(\lambda) - \sum_{m=1}^{\infty} \int_{-\pi/2}^{\pi/2} d\lambda' T_{nm}(\lambda - \lambda') \rho_m(\lambda')
\]

\[
a_n(\lambda) = \frac{1}{\pi} \frac{\sinh n\eta}{\cosh n\eta - \cos 2\lambda}
\]

\[
T_{nm}(\lambda) = a_{|n-m|}(\lambda) + 2a_{|n-m|+2}(\lambda) + \cdots + a_{n+m}(\lambda)
\]
Selection of initial states: the quantum quench paradigm

Quantum quench

\[ H(g_0) \xrightarrow{t=0} H(g) \]

ground state \(\rightarrow\) time evolution \(\rightarrow\) steady state

Role of locality (cf. Caux & Mossel, 1012.3587)

- Start from ground state of local Hamiltonian, evolution by a different local Hamiltonian
- Relevant observables: local operators
  \(\Rightarrow\) expect local charges to play a role

Example starting states for XXZ quenches:

- Neel: \(|\uparrow\downarrow\uparrow\downarrow\ldots\uparrow\downarrow\rangle\) – ground state at \(\Delta = \infty\)
- Dimer (ground state of Majumdar-Ghosh Hamiltonian):

\[
\left(\frac{1}{\sqrt{2}}(|\uparrow\downarrow\rangle - |\downarrow\uparrow\rangle)\right) \otimes \left(\frac{1}{\sqrt{2}}(|\uparrow\downarrow\rangle - |\downarrow\uparrow\rangle)\right) \otimes \cdots \otimes \left(\frac{1}{\sqrt{2}}(|\uparrow\downarrow\rangle - |\downarrow\uparrow\rangle)\right)
\]
GGE in XXZ spin chain

Previously: GGE for theories equivalent to free quasi-particles.
Pozsgay (2013): truncated GGE for XXZ chain (genuinely interacting system!)
- use the quantum transfer matrix (QTM) method (Klümper)
- keep first few (up to 6) even charges $Q_2(=H)$, $Q_4$, $Q_6$, $Q_8$, $Q_{10}$, $Q_{12}$
- to predict short-range spin-spin correlators: use formulas available in QTM formalism (Boos, Göhmann, Klümper, Suzuki)
- converges fast in truncation level (improved by extrapolation)

Just two weeks later:
Fagotti & Essler (2013): construct full/untruncated GGE for XXZ

Fagotti, Collura, Essler & Calabrese (2013):
compare GGE to tDMRG → mainly seemed to work, but:
- translational invariance not restored for dimer initial state;
- relaxation for dimer?
Neel $\Delta = 3$
Numerics from iTEBD compared to thermal

\[ \langle \sigma^z_i \sigma^z_{i+2} \rangle \]

Neel \( \Delta = 3 \)
Numerics from iTEBD compared to thermal and GGE

\[ \langle \sigma_i^z \sigma_{i+2}^z \rangle \]

Neel $\Delta = 3$
Numerics from iTEBD

Dimer $\Delta = 3$

The graphical representation shows the time evolution of the operator $\langle \sigma_z^i \sigma_z^{i+2} \rangle$ over time, with a notable peak at time 0.1 and a decay to a steady state. The shaded area indicates the time range of $\Delta = 3$. The graph indicates the system's behavior under the given condition.
Numerics from iTEBD compared to GGE

\[ \langle \sigma^z_i \sigma^z_{i+2} \rangle \]

Dimer $\Delta = 3$
The quench action for steady state expectation values

\[ \bar{A} = \lim_{T \to \infty} \frac{1}{T} \int_0^T dt \langle A(t) \rangle = \sum_\alpha |\langle \psi(0)|\alpha\rangle|^2 \langle \psi_\alpha|A|\psi_\alpha \rangle \]

Replace sum: \[ \sum_\alpha \longrightarrow \int \prod_{n=1}^{\infty} D\rho_n(\lambda) e^{Ls[\{\rho_n(\lambda)\}]} \]

\[ e^{Ls[\{\rho_n(\lambda)\}]}: \text{number of Bethe states scaling to } \{\rho_n(\lambda)\} \text{ in the TDL.} \]

In the TDL: \[ \langle \psi(0)|\alpha\rangle \text{ and } \langle \psi_\alpha|A|\psi_\alpha \rangle \text{ only depend on } \{\rho_n(\lambda)\} \]

\[ \bar{A} = \int \prod_{n=1}^{\infty} D\rho_n(\lambda) e^{-L\left(-\frac{2}{L} \Re \ln \langle \psi(0)|\{\rho_n(\lambda)\}\rangle - s[\{\rho_n(\lambda)\}]\right)} \langle \{\rho_n(\lambda)\}|A|\{\rho_n(\lambda)\} \rangle \]

In TDL: determined by saddle point of quench action functional

\[ S[\{\rho_n(\lambda)\}] = -\frac{2}{L} \Re \ln \langle \psi(0)|\{\rho_n(\lambda)\}\rangle - s[\{\rho_n(\lambda)\}] \]

\[ \bar{A} = \langle \{\rho_n^*(\lambda)\}|A|\{\rho_n^*(\lambda)\} \rangle \]

J.-S. Caux & F.H.L. Essler, 2013 (also describes time evolution)
Initial states: translation invariant Neel and dimer states

$$|\psi_N\rangle = \frac{1 + \hat{T}}{\sqrt{2}^{L/2}} \bigotimes_{L/2} |\uparrow\downarrow\rangle \quad |\psi_D\rangle = \frac{1 + \hat{T}}{\sqrt{2}^{L/2}} \bigotimes_{L/2} \left( |\uparrow\downarrow\rangle - |\downarrow\uparrow\rangle \right)$$

Log overlap is extensive in TDL: integral form for $L \to \infty$

$$-2 \text{Re} \ln \langle \psi(0) | \{\rho_n(\lambda)\} \rangle = L \sum_{n=1}^{\infty} \int_{-\pi/2}^{\pi/2} d\lambda \rho_n(\lambda) g^\psi_n(\lambda)$$

$$g^\psi_n(\lambda) = \sum_{j=1}^{n} g^\psi_1 \left( \lambda + \frac{i\eta}{2}(n+1-2j) \right)$$

Neel overlaps (Brockmann, De Nardis, Wouters & Caux, 2014; based on Kozlowski & Pozsgay, 2012; Pozsgay, 2014)

$$g^N_1(\lambda) = - \ln \left( \frac{\tan(\lambda + i\eta/2) \tan(\lambda - i\eta/2)}{4 \sin^2(2\lambda)} \right)$$

Dimer overlaps (Pozsgay, 2014)

$$g^D_1(\lambda) = - \ln \left( \frac{\sinh^4(\eta/2) \cot(\lambda)}{\sin(2\lambda + i\eta) \sin(2\lambda - i\eta)} \right)$$
The overlap TBA equations

Compute saddle point of quench action

\[ S[\{\rho_n(\lambda)\}] = -\frac{2}{L} \text{Re} \ln \langle \psi(0)|\{\rho_n(\lambda)\}\rangle - s[\{\rho_n(\lambda)\}] \]

with the condition that the Bethe-Takahashi equations must hold

\[ \rho_n(\lambda) + \rho_n^h(\lambda) = a_n(\lambda) - \sum_{m=1}^{\infty} (T_{nm} \ast \rho_m)(\lambda) \]

Result: the overlap thermodynamic Bethe Ansatz equations

\[ \log \eta_n(\lambda) = g_n^\psi (\lambda) - \mu n + \sum_{m=1}^{\infty} T_{nm} \ast \ln (1 + \eta_m^{-1}) \quad \eta_n(\lambda) = \frac{\rho_n^h(\lambda)}{\rho_n(\lambda)} \]

\[ \mu: \text{chemical potential for } S^z \text{ (external magnetic field).} \]

Independently obtained for the Neel case by Caux et al., prior to us (J-S. Caux, lecture at NY meeting, 14-18 April 2014).
Correlations on the XXZ chain

We want observables: spin-spin correlators

\[ \langle \sigma_i \sigma_{i+n} \rangle \]

But: it was only known how to get these in the QTM formalism!

1st idea: get from oTBA to QTM

14-18 April 2014: conference lecture by J-S Caux in New York: discrepancy between GGE-TBA and oTBA densities \( \{ \rho_n(\lambda) \} \)

\[ \rightarrow \text{first idea killed : (} \]

2nd idea: Hellmann-Feynman theorem

\[
H_{XXZ} = \sum_{i=1}^{L} \left( \sigma^x_i \sigma^x_{i+1} + \sigma^y_i \sigma^y_{i+1} + \Delta \sigma^z_i \sigma^z_{i+1} \right)
\]

\[ \Rightarrow \frac{\partial E_\Psi}{\partial \Delta} = L \langle \Psi | \sigma^z_i \sigma^z_{i+1} | \Psi \rangle \]

(also \( \sigma^x_i \sigma^x_{i+1} \) from \( \langle H \rangle = E_\Psi \))
Correlations on the XXZ chain

3rd idea: a surprising conjecture (B. Pozsgay)
Hellmann-Feynman result analogous to QTM correlator formulas
(Boos, Göhmann, Klümper, Suzuki)
→ can be extended to a conjecture for all $\langle \sigma_i \sigma_{i+n} \rangle$

How does it work? (without formulas)

1. Solve oTBA for the $\eta_n$ functions.
2. Solve Bethe-Takahashi for the $\rho_n$ and $\rho_n^h$.
3. Check that $\langle Q_i \rangle$ agree with initial state (+overlap sum rule).
4. Solve auxiliary integral equations for some auxiliary functions.
5. Substitute the auxiliary functions into the place of their analogues in the QTM correlator formulas.
This is very strong evidence for breakdown of GGE

1. $n = 2$: sub-lattice independent ($\hat{T}$ projection is immaterial)
2. Agreement with oTBA (=DE in TDL) shows system has relaxed.
Dimer correlators as function of $\Delta$:

Remarks:
1. $\text{oTBA} \neq \text{GGE}$ for Neel as well (observed also by Caux et al.) … but difference is too small for iTEBD to resolve
2. $xx$ correlators show same patterns (iTEBD is less accurate)
Role of bound states

Goldstein & Andrei, 2014:

- $n \geq 2$ strings are bound states of $n = 1$ magnons;
- due to their presence the $Q_i$ do not fix the $\rho_k$ uniquely, so

$$\{\langle \psi_0 | Q_i | \psi_0 \rangle \} \Rightarrow \left\{ \begin{array}{c} \{| \rho_1 \rangle \} \\ \{| \rho_2 \rangle \} \\ \vdots \end{array} \right\} \text{ maximum entropy principle } \Rightarrow \{| \rho_{GGE} \rangle \}$$

... however: QA overlap sum rule (Pozsgay et al, 2014)

$$S[\{\rho^*_n(\lambda)\}] = -\frac{1}{L} \log \langle \psi_0 | \psi_0 \rangle = 0$$

GGE densities violate this, but since

$$e^{-LS[\{\rho^*_n(\lambda)\}]} = \text{weight of saddle point contribution}$$

$$\Rightarrow \{\rho^{GGE}_n(\lambda)\} \text{ is irrelevant in the TDL!}$$

Quench action principle selects the relevant densities

$$S[\{\rho_{QA}\}] = 0$$

Note: QA is exactly the TDL of the diagonal ensemble!
However: if GETH held, any state (including GGE) on the shell

\[ \Gamma(\psi(0)) = \{|\{\rho_n(\lambda)\}\rangle : \langle\{\rho_n(\lambda)\}|Q_i|\{\rho_n(\lambda)\}\rangle = \langle\psi(0)|Q_i|\psi(0)\rangle \] would give the same expectation value for local operators!

**However: GETH is broken!**

This also shows that GGE is broken for almost all initial states!

**GGE seems to work in systems without bound states**

Quasi-local charges

Are there additional conserved charges? Quasi-local charges for XXZ: previously known to exist for $-1 < \Delta < 1$
Prosen, 2011; Pereira, Pasquier, Sirker & Affleck, 2014.

New charges have recently been found for XXX!
Ilievski, Medenjak & Prosen, 1506.05049

The GGE saved (just today on arXiv)
Extending the GGE with the XXZ analogues of the new ultralocal charges agrees with the QA!

Remark: charges completely fix densities – no room for maximum entropy principle...

Question: do QLC always exist when there are bound states?
Conclusions

1. The standard GGE description based on only local charges is not generally valid for genuinely interacting integrable systems.

2. Underlying the failure of GGE is the failure of the GETH (generalized eigenstate thermalization hypothesis), and seems to be tied with existence of bound states.

3. The quench action correctly captures the steady state (new: can be reproduced with the GGE extended by quasi-local charges!)

4. Correlation formula in terms of TBA densities is a conjecture. Can it be proven?