

Removing spurious degrees of freedom from EFT of gravity

Dražen Glavan

CEICO, FZU – Institute of Physics

of the Czech Academy of Sciences, Prague, Czech Republic

AQFT, University of Tours, January 23, 2025

Glavan, Mukohyama, Zlosnik *Removing spurious degrees of freedom from EFT of gravity*, arXiv:2409.15989 [gr-qc], *accepted in JCAP*



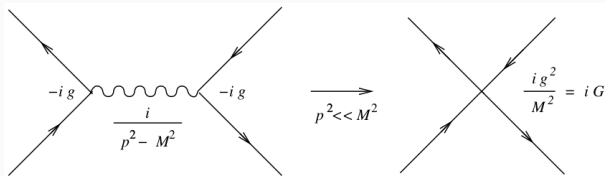
Effective theories

Modern view: every theory of nature is an **effective theory**

Every effective theory has an intrinsic range of applicability
(energy range, velocity range, temperature range, ...)

Central idea: describe particular regime in terms of
degrees of freedom relevant for that regime.

Famous example from particle physics: Fermi's four-interaction



Two interacting oscillators

Two interacting oscillators: “light” X and “heavy” Y :

$$S[X, Y] = \int dt \left[\frac{\dot{X}^2}{2} - \frac{\omega^2}{2} X^2 + \frac{\dot{Y}^2}{2} - \frac{\Omega^2}{2} Y^2 - U(X, Y) \right]$$

Hierarchy: $\Omega \gg \omega \rightarrow$ easy to excite X , difficult to excite Y .

For small energies $E \ll \hbar\Omega$ system is described well only in terms of the light oscillator degrees of freedom X . The coupling to Y is captured by *effective self-interactions*:

$$S_{\text{eff}}[X] = \int dt \left[\frac{\dot{X}^2}{2} - \frac{\omega^2}{2} X^2 - \frac{\lambda}{4} X^4 \right. \\ \left. - c_1 \frac{X^6}{\Omega^2} - c_2 \frac{X^2 \dot{X}^2}{\Omega^2} - c_3 \frac{\ddot{X}^2}{\Omega^2} + \mathcal{O}(\Omega^{-4}) \right]$$

Integrating out...

Formal procedure: Integrating out degrees of freedom

→ effective non-local theory

→ local derivative expansion.

→ infinite tower of local interactions

Inverse kinetic operators (retarded Green's functions) that appear in the effective nonlocal theory obtained by integrating out are expanded:

$$\frac{1}{\frac{d^2}{dt^2} + \Omega^2 + gX^2} \approx \frac{1}{\Omega^2} \left[1 - \frac{\frac{d^2}{dt^2} + gX^2}{\Omega^2} + \left(\frac{\frac{d^2}{dt^2} + gX^2}{\Omega^2} \right)^2 + \dots \right]$$

full theory → effective theory ✓

effective theory → full theory ?

UV gravitational physics not known — consider effective theory

$$\begin{aligned}
 S[g_{\mu\nu}] = \int d^4x \sqrt{-g} \left\{ & -\frac{2\Lambda}{\kappa^2} + \frac{R}{\kappa^2} \right. \\
 & + \alpha_1 R^2 + \alpha_2 R^\mu{}_\nu R^\nu{}_\mu + \alpha_3 R^{\mu\nu}{}_{\rho\sigma} R^{\rho\sigma}{}_{\mu\nu} \\
 & + \kappa^2 \left[\beta_1 \nabla^\mu R \nabla_\mu R + \beta_2 \nabla^\rho R^{\mu\nu} \nabla_\rho R_{\mu\nu} + \beta_3 R^3 \right. \\
 & \quad + \beta_4 R R^{\mu\nu} R_{\mu\nu} + \beta_5 R^\mu{}_\nu R^\nu{}_\rho R^\rho{}_\mu + \beta_6 R^\mu{}_\rho R^\nu{}_\sigma R^{\rho\sigma}{}_{\mu\nu} \\
 & \quad + \beta_7 R R^{\mu\nu}{}_{\rho\sigma} R^{\rho\sigma}{}_{\mu\nu} + \beta_8 R^\mu{}_\alpha R^{\alpha\nu}{}_{\rho\sigma} R^{\rho\sigma}{}_{\mu\nu} \\
 & \quad \left. \left. + \beta_9 R^{\mu\nu}{}_{\rho\sigma} R^{\rho\sigma}{}_{\alpha\beta} R^{\alpha\beta}{}_{\mu\nu} + \beta_{10} R^{\mu\nu}{}_{\rho\sigma} R^{\rho\alpha}{}_{\mu\beta} R^{\sigma\beta}{}_{\nu\alpha} \right] \right\}
 \end{aligned}$$

Lovelock's theorem: only theory of massless spin-2 graviton is general relativity — our effective theory introduces additional degrees of freedom?

[familiar example: $f(R)$ theories propagate graviton+scalar]

EFT of gravity

UV gravitational physics not known — consider effective theory

$$\begin{aligned}
 S[g_{\mu\nu}] = \int d^4x \sqrt{-g} \left\{ -\frac{2\Lambda}{\kappa^2} + \frac{R}{\kappa^2} \right. \\
 + \cancel{\alpha_1 R^2} + \cancel{\alpha_2 R^\mu{}_\nu R^\nu{}_\mu} + \cancel{\alpha_3 R^{\mu\nu}{}_{\rho\sigma} R^{\rho\sigma}{}_{\mu\nu}} \\
 + \kappa^2 \left[\cancel{\beta_1 \nabla^\mu R \nabla_\mu R} + \cancel{\beta_2 \nabla^\rho R^{\mu\nu} \nabla_\rho R_{\mu\nu}} + \cancel{\beta_3 R^3} \right. \\
 + \cancel{\beta_4 R R^{\mu\nu}{}_{\rho\sigma} R^{\rho\sigma}{}_{\mu\nu}} + \cancel{\beta_5 R^\mu{}_\nu R^\nu{}_\rho R^\rho{}_\mu} + \cancel{\beta_6 R^\mu{}_\rho R^\nu{}_\sigma R^{\rho\sigma}{}_{\mu\nu}} \\
 + \cancel{\beta_7 R R^{\mu\nu}{}_{\rho\sigma} R^{\rho\sigma}{}_{\mu\nu}} + \cancel{\beta_8 R^\mu{}_\alpha R^\alpha{}_\nu R^{\rho\sigma}{}_{\mu\nu}} \\
 \left. + \boxed{\beta_9 R^{\mu\nu}{}_{\rho\sigma} R^{\rho\sigma}{}_{\alpha\beta} R^{\alpha\beta}{}_{\mu\nu}} + \cancel{\beta_{10} R^{\mu\nu}{}_{\rho\sigma} R^{\rho\sigma}{}_{\mu\beta} R^{\sigma\beta}{}_{\nu\alpha}} \right\}
 \end{aligned}$$

Pert. shift: $g_{\mu\nu} \longrightarrow g_{\mu\nu} + \kappa^2 (c_1 R g_{\mu\nu} + c_2 R_{\mu\nu} + c_3 \Lambda g_{\mu\nu}) + \dots$

't Hooft, Veltman, *One loop divergencies in the theory of gravitation*,
Ann.Inst.H.Poincaré A Phys.Theor. 20 (1974) 69-94

Goroff, Sagnotti, *Quantum gravity at two loops*, Phys.Lett.B 160 (1985) 81-86

van de Ven, *Two loop quantum gravity*, Nucl.Phys.B 378 (1992) 309-366

Minimal higher derivative EFT of gravity

Assume there is some unknown UV physics that is generally covariant.

$$S[g_{\mu\nu}] = \int d^4x \sqrt{-g} \left[\frac{R - 2\Lambda}{\kappa^2} + \epsilon \kappa^2 R^{\mu\nu}{}_{\rho\sigma} R^{\rho\sigma}{}_{\alpha\beta} R^{\alpha\beta}{}_{\mu\nu} \right]$$

Can we remove from this theory the degrees of freedom associated to higher derivatives in the Riemann-cubed term?

→ method of perturbative reduction

Glavan, Mukohyama, Zlosnik, *Removing spurious degrees of freedom from EFT of gravity* arXiv:2409.15989 [gr-qc]

Lovelock's theorem: only generally covariant theory of the massless spin-2 graviton is general relativity — what is the reduced theory?

Simple example

Action for harmonic oscillator with higher derivative correction:

$$S[X] = \int d^4x \left[\frac{\dot{X}^2}{2} - \frac{\omega^2 X^2}{2} + \frac{\epsilon \ddot{X}^2}{2\omega^2} \right] \Rightarrow \ddot{X} + \omega^2 X + \frac{\epsilon}{\omega^2} X^{(4)} = 0$$

Exact solutions:

$$X(t) = e^{i\Omega t} \quad \Rightarrow \quad -\Omega^2 + \omega^2 + \frac{\epsilon}{\omega^2} \Omega^4 = 0$$

$$\Omega_0^2 = \frac{\omega^2}{2\epsilon} \left[1 - \sqrt{1 + 4\epsilon} \right] = \omega^2 \left[1 + \epsilon + 2\epsilon^2 + 5\epsilon^3 + \dots \right]$$

$$\Omega_\epsilon^2 = \frac{\omega^2}{2\epsilon} \left[1 + \sqrt{1 + 4\epsilon} \right] = \frac{\omega^2}{\epsilon} \left[1 - \epsilon - \epsilon^2 - 2\epsilon^3 + \dots \right]$$

$$X(t) = \alpha_+ \exp(i\Omega_0 t) + \alpha_- \exp(-i\Omega_0 t) + \beta_+ \exp(i\Omega_\epsilon t) + \beta_- \exp(-i\Omega_\epsilon t)$$

Simple example

Action for harmonic oscillator with higher derivative correction:

$$S[X] = \int d^4x \left[\frac{\dot{X}^2}{2} - \frac{\omega^2 X^2}{2} + \frac{\epsilon \ddot{X}^2}{2\omega^2} \right] \Rightarrow \ddot{X} + \omega^2 X + \frac{\epsilon}{\omega^2} X^{(4)} = 0$$

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$$\Omega_\epsilon^2 = \frac{\omega^2}{2\epsilon} \left[1 + \sqrt{1 + 4\epsilon} \right] = \frac{\omega^2}{\epsilon} \left[1 - \epsilon - \epsilon^2 - 2\epsilon^3 + \dots \right]$$

$$X(t) = \alpha_+ \exp(i\Omega_0 t) + \alpha_- \exp(-i\Omega_0 t) + \cancel{\beta_+ \exp(i\Omega_\epsilon t)} + \cancel{\beta_- \exp(-i\Omega_\epsilon t)}$$

Spurious degrees of freedom (often Ostrogradsky ghosts)

Woodard, *Ostrogradsky's theorem on Hamiltonian instability*, Scholarpedia 10 (2015) 8, 32243, arXiv:1506.02210 [hep-th]

Simple example: removing non-analytic dependence 1

Option 1: power series ansatz

Simon, *The Stability of flat space, semiclassical gravity, and higher derivatives*,
Phys. Rev. D 43 (1991), 3308-3316

$$X(t) = \sum_{n=0}^{\infty} \epsilon^n X_n(t)$$

→ tower of equations:

$$\text{0th:} \quad \ddot{X}_0 + \omega^2 X_0 = 0 \quad \implies \quad X_0(t) = \alpha e^{i\omega t} + \beta e^{-i\omega t}$$

$$\text{1st:} \quad \ddot{X}_1 + \omega^2 X_1 = -\frac{X_0^{(4)}}{\omega^2} = -\omega^2 \left[\alpha_+ e^{i\omega t} + \alpha_- e^{-i\omega t} \right]$$

$$\begin{aligned} \implies X_1(t) &= \frac{e^{i\omega t}}{4} \left[\alpha_- - \alpha_+ \left(1 - \boxed{2i\omega t} \right) \right] \\ &\quad + \frac{e^{-i\omega t}}{4} \left[\alpha_+ - \alpha_- \left(1 + \boxed{2i\omega t} \right) \right] \end{aligned}$$

Secular divergences!

Simple example: removing non-analytic dependence 2

Parker, Simon, *Einstein equation with quantum corrections reduced to second order*, Phys. Rev. D 47 (1993), 1339-1355 [arXiv:gr-qc/9211002 [gr-qc]].

Fröb, Papadopoulos, Roura, Verdaguer, *Nonperturbative semiclassical stability of de Sitter spacetime for small metric deviations*, Phys. Rev. D 87 (2013) no.6, 064019 [arXiv:1301.5261 [gr-qc]].

Option 2: reduce order of equation

$$\ddot{X} + \omega^2 X = -\frac{\epsilon}{\omega^2} X^{(4)}$$

Reduce derivative order by using lower order equation:

$$\rightarrow (1 - \epsilon)\ddot{X} + \omega^2 X - \frac{\epsilon^2}{\omega^4} X^{(6)} = 0$$

$$\rightarrow \ddot{X} + \omega^2(1 + \epsilon)X + \frac{\epsilon^2}{\omega^2} X^{(4)} - \frac{\epsilon^2}{\omega^4} X^{(6)} = 0$$

$$\rightarrow [1 - \epsilon(1 - \lambda)]\ddot{X} + \omega^2(1 + \lambda\epsilon)X + \lambda\frac{\epsilon^2}{\omega^2} X^{(4)} - \frac{\epsilon^2}{\omega^4} X^{(6)} = 0$$

Ambiguity in truncation \rightarrow energy non-conservation

Method of perturbative constraints 1

Jaen, Llosa, Molina, *A Reduction of order two for infinite order lagrangians*, Phys. Rev. D 34 (1986), 2302

Eliezer, Woodard, *The Problem of Nonlocality in String Theory*, Nucl. Phys. B 325 (1989), 389

Glavan, *Perturbative reduction of derivative order in EFT*, JHEP 02 (2018) 136, arXiv:1710.01562 [hep-th]

Off-shell reduction of derivative order (at the level of action)

— Hamiltonian formulation necessary

Additional ingredient: require analyticity in ϵ

—> this removes spurious degrees of freedom

—> in practice: forbidden to divide by ϵ

Method of perturbative constraints 2

Starting action:

$$S[X] = \int dt \left[\frac{\dot{X}^2}{2} - U(X) + \frac{\epsilon}{2} \ddot{X}^2 \right]$$

Step 1: promote time derivatives to independent velocity fields:

$$\dot{X} \longrightarrow V, \quad \ddot{X} \longrightarrow \dot{V} \longrightarrow A$$

and introduce Lagrange multipliers π and ρ for on-shell equivalence

$$\mathcal{S}[X, \pi, V, \rho, A] = \int dt \left[\frac{V^2}{2} - U(X) + \frac{\epsilon}{2} A^2 + \pi(\dot{X} - V) + \rho(\dot{V} - A) \right]$$

Method of perturbative constraints 2

$$\mathcal{S}[X, \pi, V, \rho, A] = \int dt \left[\frac{V^2}{2} - U(X) + \frac{\epsilon}{2} A^2 + \pi(\dot{X} - V) + \rho(\dot{V} - A) \right]$$

Step 2: Consider equation for auxiliary field:

$$\frac{\delta \mathcal{S}}{\delta A} = \epsilon A - \rho \approx 0$$

Solve for $A = \rho/\epsilon$ and plug it into the extended action to obtain the canonical action (Ostrogradsky's construction)

$$\mathcal{S}[X, \pi, V, \rho] = \int dt \left\{ \pi \dot{X} + \rho \dot{V} + \left[-\frac{\rho^2}{2\epsilon} - \pi V + \frac{V^2}{2} - U(X) \right] \right\}$$

Method of perturbative constraints 2

$$\mathcal{S}[X, \pi, V, \rho, A] = \int dt \left[\frac{V^2}{2} - U(X) + \frac{\epsilon}{2} A^2 + \pi(\dot{X} - V) + \rho(\dot{V} - A) \right]$$

Step 2: Consider equation for auxiliary field:

$$\frac{\delta \mathcal{S}}{\delta A} = \epsilon A - \rho \approx 0$$

Solve for $A = \rho/\epsilon$ and plug it into the extended action to obtain the canonical action (Ostrogradsky's construction)

\implies Appearance of perturbative second-class constraint

\implies Dirac-Bergmann algorithm results in reduced action:

$$\mathcal{S}_{\text{red}}[X, \pi] = \int dt \left[\pi \dot{X} - \left(\frac{\pi^2}{2} [1 - 2\epsilon U''(X)] + U(X) + \frac{\epsilon}{2} [U'(X)]^2 \right) \right]$$

Method of perturbative constraints 3

BUT, it is forbidden to divide by ϵ

$$\mathcal{S}[X, \pi, V, \rho, A] = \int dt \left[\pi \dot{X} + \rho \dot{V} - \left(\pi V - \frac{V^2}{2} + U(X) - \frac{\epsilon}{2} A^2 \right) - \rho A \right]$$

\implies **appearance of effective constraint**

$$\epsilon A - \rho \approx 0$$

Why constraint? — truncating action to order ϵ means:

$$\epsilon A - \rho \approx 0 \quad / \times \epsilon \quad \implies \quad \boxed{\epsilon \rho \approx 0}$$

\longrightarrow starting point for eliminating degrees of freedom

Conservation of primary constraint generates secondary constraint:

$$\epsilon \dot{\rho} \approx \epsilon (-\pi + V) \approx 0$$

Conservation of secondary constraint determines the auxiliary field:

$$\epsilon (-\dot{\pi} + \dot{V}) \approx \epsilon [U'(X) + A] \approx 0$$

Method of perturbative constraints 4

$$\mathcal{S}[X, \pi, V, \rho, A] = \int dt \left[\pi \dot{X} + \rho \dot{V} - \left(\pi V - \frac{V^2}{2} + U(X) - \frac{\epsilon}{2} A^2 \right) - \rho A \right]$$
$$\epsilon \rho \approx 0, \quad \epsilon V \approx \epsilon \pi, \quad \epsilon A \approx -\epsilon U'(X)$$

Equation for A becomes a constraint also at subleading order

$$\frac{\delta \mathcal{S}}{\delta A} = \epsilon A - \rho \approx -\epsilon U'(X) - \rho \approx 0.$$

Its conservation generates a secondary constraint:

$$\frac{d}{dt} [\epsilon U'(X) + \rho] \approx \epsilon U''(X)V - \pi + V \approx -\pi [1 - \epsilon U''(X)] + V \approx 0$$

Its conservation fixes the auxiliary field A

$$\frac{d}{dt} \left(-\pi [1 - \epsilon U''(X)] + V \right) \approx U'(X) [1 - \epsilon U''(X)] + \epsilon U'''(X) \pi^2 + A$$

Method of perturbative constraints 5

Reduced canonical action contains only one degree of freedom

$$\mathcal{S}_{\text{red}}[X, \pi] = \int dt \left[\pi [(1 + \epsilon U''(X))] \dot{X} - \left(\frac{\pi^2}{2} + U(X) + \frac{\epsilon}{2} [U'(X)]^2 \right) + \mathcal{O}(\epsilon^2) \right]$$

We have effectively solved for *second-class* constraints — appearance of non-canonical symplectic term (Dirac brackets)

Shifting momentum: $\pi \rightarrow \pi [1 - \epsilon U''(X)]$, canonicalizes brackets

$$\mathcal{S}_{\text{red}}[X, \pi] = \int dt \left[\pi \dot{X} - \left(\frac{\pi^2}{2} [1 - 2\epsilon U''(X)] + U(X) + \frac{\epsilon}{2} [U'(X)]^2 \right) \right]$$

Method of perturbative constraints 6

Solving for momentum on-shell

$$\pi \approx [1 + 2\epsilon U''(X)] \dot{X}$$

gives the reduced Lagrangian action

$$S_{\text{red}}[X] = \int dt \left[\frac{1}{2} [1 + 2\epsilon U''(X)] \dot{X}^2 - U(X) - \frac{\epsilon}{2} [U'(X)]^2 \right]$$

Varying this action gives the equation of motion

$$[1 + 2\epsilon U''(X)] \ddot{X} + \epsilon U''' \dot{X}^2 + U'(X) [1 + \epsilon U''(X)] = 0$$

Thus the only equation descending from the action is the one for $\lambda = -1$:

$$\left[1 + (1 - \lambda)\epsilon U''(X) \right] \ddot{X} + \epsilon \dot{X}^2 U'''(X) + U'(X) \left[1 - \lambda \epsilon U''(X) \right] = 0$$

EFT of gravity: reduction 1

ADM Hamiltonian formulation of general relativity

$$\mathcal{S}[N, N_i, h_{ij}, \pi^{ij}] = \int d^4x \left[\pi^{ij} \dot{h}_{ij} - N\mathcal{H} - N_i \mathcal{H}^i \right]$$

Hamiltonian constraint & momentum constraint:

$$\mathcal{H} = -\sqrt{h} \left[\frac{\mathcal{Q} - 2\Lambda}{\kappa^2} \right], \quad \mathcal{H}^i = -\sqrt{h} \left[\frac{2\mathcal{L}^i}{\kappa^2} \right]$$

where

$$\begin{aligned} \mathcal{K}_{ij} &= -\kappa^2 \left[\frac{\pi_{ij}}{\sqrt{h}} - \frac{h_{ij}}{2} \frac{\pi}{\sqrt{h}} \right], & \mathcal{K} &= \mathcal{K}^i_i \\ \mathcal{Q}^i_j &= \mathcal{K} \mathcal{K}^i_j - \mathcal{K}^i_k \mathcal{K}^k_j + \mathcal{R}^i_j, & \mathcal{Q} &= \mathcal{Q}^i_j \\ \mathcal{L}^i_{jk} &= 2\nabla_{[k} \mathcal{K}_{j]}^i, & \mathcal{L}_i &= \mathcal{L}^j_{ji} \end{aligned}$$

First-class constraints:

$$\begin{aligned} \{ \mathcal{H}(t, \vec{x}), \mathcal{H}(t, \vec{x}') \} &\approx 0, & \{ \mathcal{H}(t, \vec{x}), \mathcal{H}^i(t, \vec{x}') \} &\approx 0, \\ \{ \mathcal{H}^i(t, \vec{x}), \mathcal{H}^j(t, \vec{x}') \} &\approx 0 \end{aligned}$$

EFT of gravity: reduction 2

Reduced canonical action for general relativity + Riemann-cubed

$$\mathcal{S}_{\text{red}}[N, N_i, h_{ij}, \pi^{ij}] = \int d^4x \left[\pi^{ij} \dot{h}_{ij} - N\mathcal{H} - N_i\mathcal{H}^i \right]$$

Hamiltonian constraint & momentum constraint:

$$\mathcal{H} = -\sqrt{h} \left[\frac{\mathcal{Q} - 2\Lambda}{\kappa^2} - 8\alpha\kappa^2 \mathcal{Q}^i_j \left(2\mathcal{Q}^j_k \mathcal{Q}^k_i - 3\mathcal{L}^j_{kl} \mathcal{L}^i{}^{kl} \right) \right. \\ \left. + 24\alpha\kappa^2 \Lambda \left(2\mathcal{Q}^i_j \mathcal{Q}^j_i - 2\Lambda^2 - \mathcal{L}^i{}_{kl} \mathcal{L}^k{}_{ij} \right) \right],$$

$$\mathcal{H}^i = -\sqrt{h} \left[\frac{2\mathcal{L}^i}{\kappa^2} \right]$$

First-class constraints:

$$\{\mathcal{H}(t, \vec{x}), \mathcal{H}(t, \vec{x}')\} \approx 0 + \mathcal{O}(\alpha^2), \quad \{\mathcal{H}(t, \vec{x}), \mathcal{H}^i(t, \vec{x}')\} \approx 0, \\ \{\mathcal{H}^i(t, \vec{x}), \mathcal{H}^j(t, \vec{x}')\} \approx 0.$$

Reduced theory has the general ADM structure of general relativity, but modified Hamiltonian constraint

⇒ **Minimally modified gravity**

— theories of the massless spin-2 graviton with a preferred frame

Lin, Mukohyama, *A Class of Minimally Modified Gravity Theories*, JCAP 10 (2017), 033 [arXiv:1708.03757 [gr-qc]]

Mukohyama, Noui, *Minimally Modified Gravity: a Hamiltonian Construction*, JCAP 07 (2019), 049 [arXiv:1905.02000 [gr-qc]]

Type-II class: **not** equivalent to general relativity upon field redefinition.

- Spurious degrees of freedom can be removed from EFT of gravity
- Minimally modified gravity can be seen as an EFT of gravity
- Allows for analyzing effects of UV physics
- Extension to all orders?
- Renormalizability?