

Instantons, Tunneling and Metastability

Quantum Mechanics II Seminar – Prof^a Renata Funchal - 2020/2

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Outline

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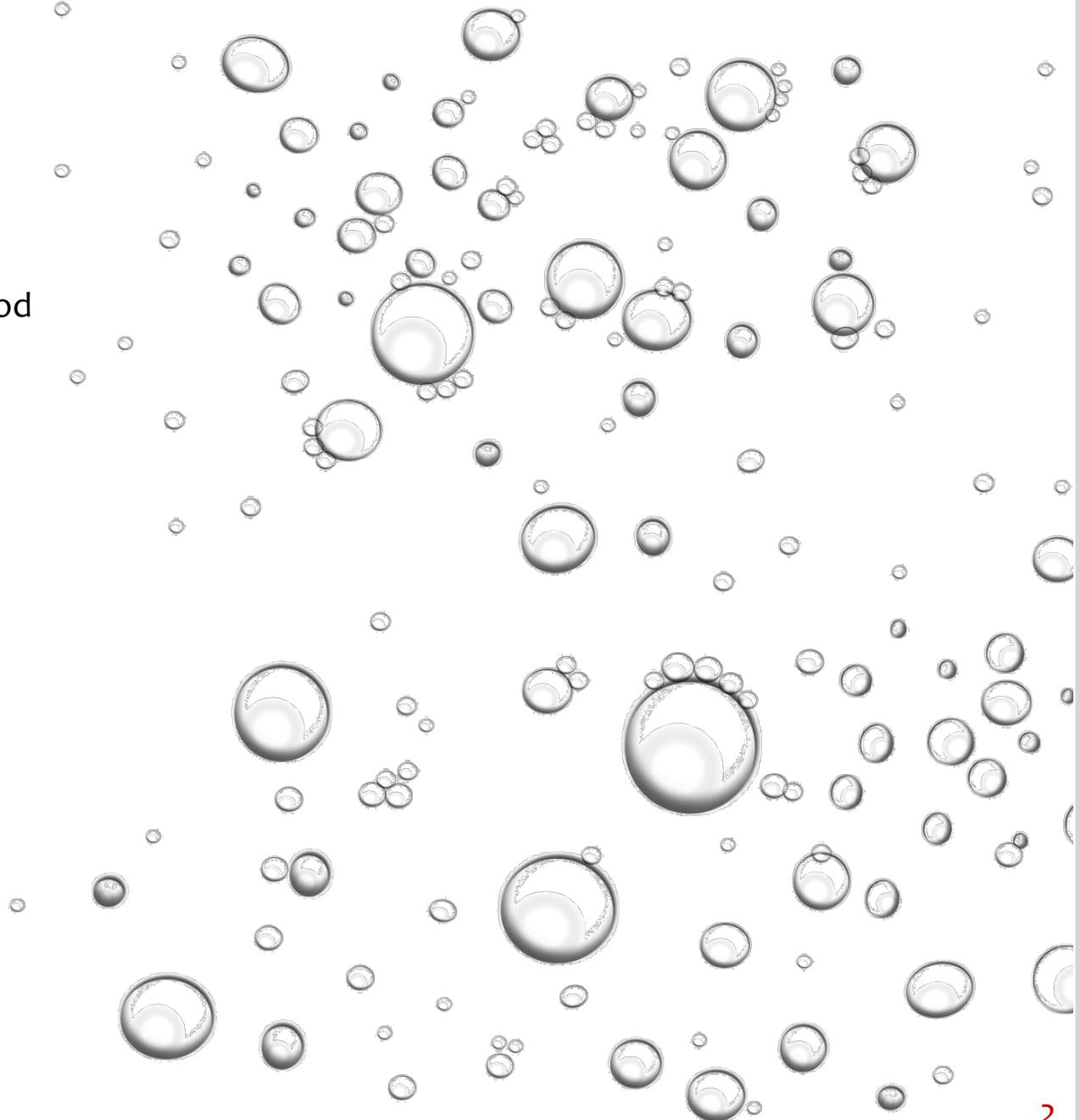
4. Multi-instanton Contribution

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Introduction · Motivation and Applications

Instantons

→ Classical non-trivial solutions with finite action to equations of motion in **Euclidean space-time**.
(imaginary-time)

They are **non-perturbative** process: cannot be seen in any order of perturbation theory!

↳ dependence $\sim e^{-\frac{S}{\hbar}} [1 + \mathcal{O}(\hbar)] \Rightarrow$ essential singularity at $\hbar = 0$

Several applications:

↳ In one-dimensional QM: semiclassical (SC) description of **tunneling** processes

↳ In QFT { QCD instantons shape the **ground state of strong interactions**
e.g: Yang-Mills instantons display geometrical, **topological** and quantum effects that have fundamental impact on the spectrum of nonabelian gauge theories.

Appear in many field theories, from scalar QFTs to supersymmetric Yang-Mills and string theory

↳ In particle physics they have impact on both **weak-interaction** and **hard QCD processes**, such as deep inelastic scattering.

↳ In Cosmology they describe the “**decay of the false vacuum**”.

Introduction · SCA and WKB method

Semi-classical limit: $\hbar \rightarrow 0$

The WKB method, named after Wenzel, Kramers and Brioullin, is a “semiclassical calculation” in QM in which the wave function is assumed an exponential function with **typical wavelength λ small** in comparison to the spatial variations of the potential

$$\lambda = \frac{2\pi\hbar}{p} \rightarrow 0 \quad \text{and} \quad \psi(x) = e^{i\Phi(x)/\hbar}$$

Replacing in Schrodinger equation:

$$\left[-\frac{\hbar^2}{2m} \frac{d^2}{dx^2} + V(x) - E \right] \psi(x) = 0 \quad \Rightarrow \quad \frac{1}{2m} \Phi'^2(x) - \frac{i\hbar}{2m} \Phi''(x) = E - V(x)$$

and expanding

$$\Phi(x) = \Phi_0(x) + \hbar\Phi_1(x) + \hbar^2\Phi_2(x) + \dots,$$

Collecting $\mathcal{O}(\hbar^0)$, we obtain

$$\Phi_0(x) = \pm \int^x dx' p(x') \quad \text{with} \quad p(x) \equiv \sqrt{2m[E - V(x)]}$$

momentum at constant potential

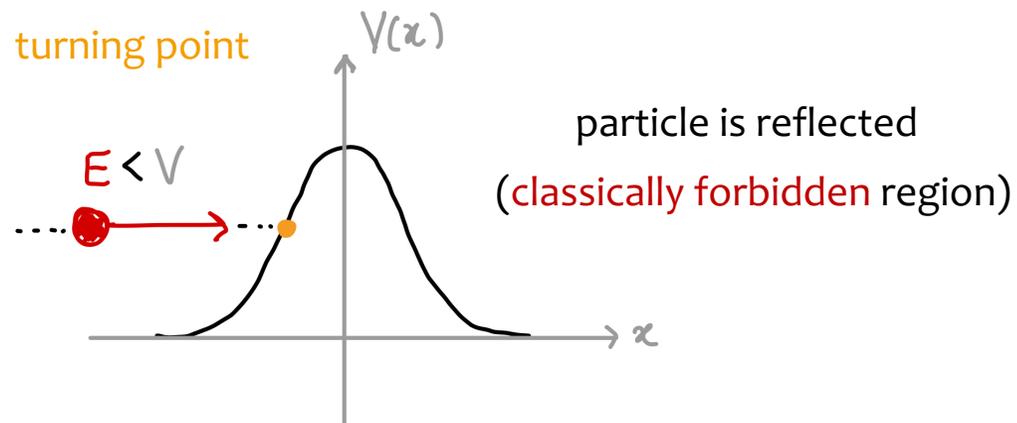
Introduction · SCA and WKB method

The approximation is good when $V(x)$ varies slowly compared to $\psi(x)$

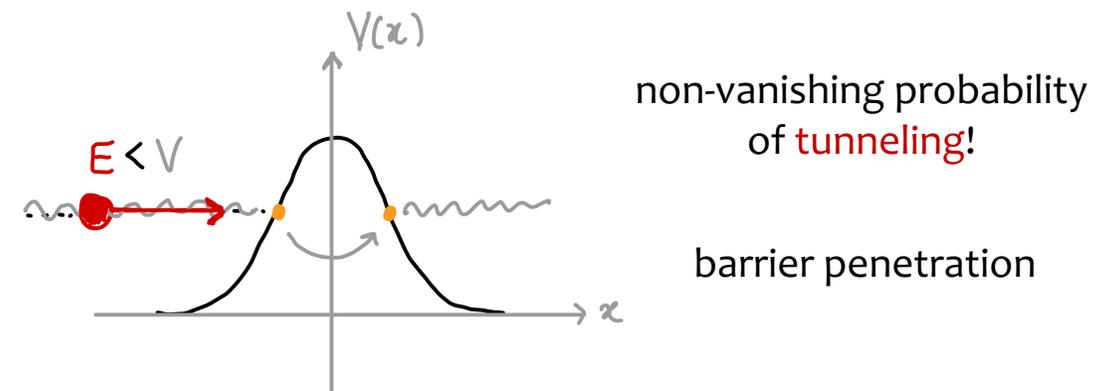
$$\psi_0(x) = e^{i/\hbar \int^x dx' \sqrt{2m[E-V(x')]}}$$

However, we are interested in **tunneling** process...

Classical Mechanics



Quantum Mechanics



But what if we want to describe the **barrier penetration** with a **classical trajectory**?

$$\psi_{0,tunnel}(x) = e^{-1/\hbar \int_{x_l}^{x_u} dx' \sqrt{2m[V(x')-E]}}$$

This is possible if we go to **imaginary time**!

Formally, this is identical to the replacement $t \rightarrow -i\tau \Rightarrow E \rightarrow iE, V \rightarrow iV$

Euclidean Path Integral · Imaginary time

We will work on one-dimensional non-relativistic QM

First, let's remember the propagator at **real time**:

matrix element of
time evolution operator $\langle x_f | e^{-iHT/\hbar} | x_i \rangle$

↳ H is the generator of time-translations

for time-independent Hamiltonian H

This element represent the **probability amplitude** for the particle to propagate from

$$x_i \text{ at } t = -\frac{T}{2} \Rightarrow x_f \text{ at } t = \frac{T}{2}$$

The path integral representation is

$$\langle x_f | e^{-iHT/\hbar} | x_i \rangle = \mathcal{N} \int D[x] e^{i\frac{S[x]}{\hbar}} = \mathcal{N} \underbrace{\int D[x]}_{\text{sum over all paths}} \underbrace{\{x(-T/2)=x_i | x(T/2)=x_f\}}_{\text{boundary conditions}} e^{\frac{i}{\hbar} \int_{-T/2}^{T/2} dt \mathcal{L}(x, \dot{x})}$$

where the classical action $S[x]$ of the path $x(t)$ is:

$$S[x] = \int_{-T/2}^{T/2} dt \mathcal{L}(x, \dot{x}) = \int_{-T/2}^{T/2} dt \left\{ \frac{m}{2} \dot{x}^2(t) - V[x(t)] \right\}$$

Euclidean Path Integral · Imaginary time

The measure $\mathcal{D}[x]$ is defined as:

$$\int \mathcal{D}[x] = \lim_{\substack{t \rightarrow 0 \\ N \rightarrow \infty}} \left(\frac{m}{2\pi i \hbar t} \right)^{N/2} \int_{-\infty}^{\infty} dx_{N-1} \cdots \int_{-\infty}^{\infty} dx_1 \quad \text{with } N t = \frac{T}{2} + \frac{T}{2} = T$$

SC limit: Classical action is much larger than \hbar \longrightarrow path integral dominated by the paths in the vicinity of the **stationary point(s)** of the action

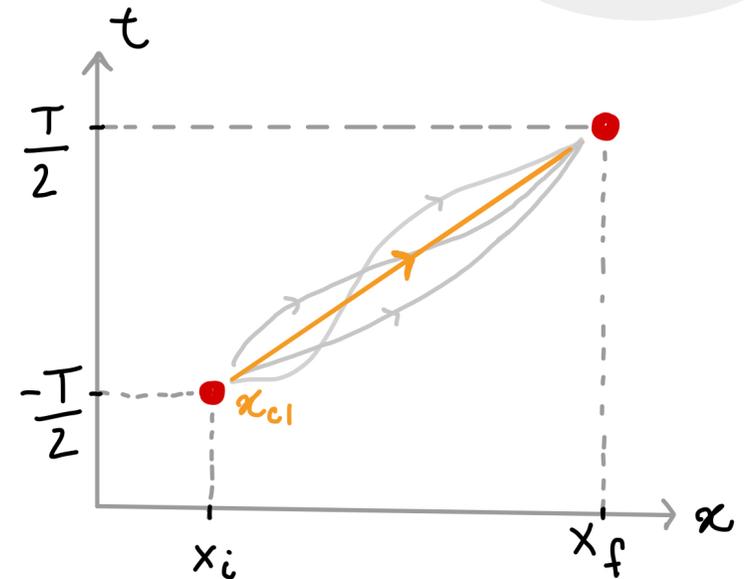
Stationary phase approximation

$$\frac{-\delta}{\delta x(t)} S[x] = m\ddot{x} + \frac{\partial V}{\partial x} = 0$$

with **boundary conditions**

$$x_{cl} \left(-\frac{T}{2} \right) = x_i, \quad x_{cl} \left(\frac{T}{2} \right) = x_f$$

Coherence region \longrightarrow infinitely many neighboring paths add coherently!

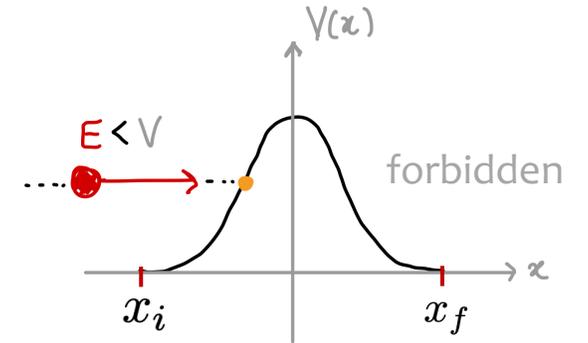


action is **stationary** under variation of the critical/classical path

Euclidean Path Integral · Imaginary time

However, the stationary-phase approximation cannot describe tunneling processes...

$S[x]$ has no extrema with tunneling boundary conditions!



Solution: analytic continuation to **imaginary times**

$$\left\langle x_f \left| e^{-iHT/\hbar} \right| x_i \right\rangle \xrightarrow[t \rightarrow -i\tau \quad (\Rightarrow T \rightarrow -iT_E)]{T_E = \text{Euclidean time}} Z(x_f, x_i) = \left\langle x_f \left| e^{-HT_E/\hbar} \right| x_i \right\rangle$$

Minkowski time t
Euclidean time τ

↳ This procedure is also called **Wick Rotation**

↳ Note that the imaginary-time evolution operator is **NOT unitary** → does not conserve probability

↳ Statistical Mechanics approach:

$$\text{partition function } Z(\beta) = \text{tr} e^{-\beta H(\beta)} \Rightarrow e^{-\beta H} \xrightarrow[\text{SC limit: } \beta \rightarrow \infty]{\beta \mapsto \tau/\hbar} e^{-\tau H/\hbar}$$

periodic trajectories

Euclidean Path Integral · Energy levels

We are interested in the low-lying **energy levels** in the SC limit, in particular the **ground state** (GS)

$$Z(x_f, x_i) = \sum_n e^{-E_n T / \hbar} \langle x_f | n \rangle \langle n | x_i \rangle$$

Energy spectrum: $H |n\rangle = E_n |n\rangle$, $1 = \sum_n |n\rangle \langle n|$

For large Euclidean time T , the GS energy dominates:

$$Z(x_f, x_i) \rightarrow e^{-E_0 T / \hbar} \langle x_f | 0 \rangle \langle 0 | x_i \rangle \Rightarrow E_0 = -\hbar \lim_{T \rightarrow \infty} \frac{1}{T} \ln Z(x_f, x_i)$$

Statistical Mechanics interpretation: the SC limit $\beta \rightarrow \infty$ represents the low temperature limit $\rightarrow e^{-\beta H}$ projects onto the GS

$$E_0 = - \lim_{\beta \rightarrow \infty} \frac{1}{\beta} \log Z(\beta)$$

Therefore, to calculate the GS energy (and **wave function**) we just need to take the $T \rightarrow \infty$ **limit** of the imaginary-time matrix element.

Euclidean Path Integral · Saddle point approximation

Path integral formulation in imaginary time:

$$Z(x_f, x_i) = \langle x_f | e^{-HT_E/\hbar} | x_i \rangle \Rightarrow Z(x_f, x_i) = \mathcal{N} \int D[x] e^{-\frac{S_E[x]}{\hbar}}$$

$t \rightarrow -i\tau$
 $dt \rightarrow -i d\tau$

 $= \mathcal{N} \int D[x]_{\{x(-T/2)=x_i | x(T/2)=x_f\}} e^{-\frac{1}{\hbar} \int_{-T/2}^{T/2} d\tau \mathcal{L}_E(x, \dot{x})}$

We want to define the **measure** more formally. Let's expand $x(\tau)$ into a complete, orthonormal set of real functions $\tilde{x}_n(\tau)$ around a fixed path $\bar{x}(\tau)$

$$x(\tau) = \bar{x}(\tau) + \overset{\text{variation}}{\eta(\tau)} \quad \text{with} \quad \eta(\tau) = \sum_{n=0}^{\infty} c_n \tilde{x}_n(\tau)$$

Orthogonality and completeness relation

$$\int_{-T/2}^{T/2} d\tau \tilde{x}_n(\tau) \tilde{x}_m(\tau) = \delta_{mn}, \quad \sum_n \tilde{x}_n(\tau) \tilde{x}_n(\tau') = \delta(\tau - \tau')$$

Boundary conditions

$$\bar{x}(\pm T/2) = x_f/x_i \quad \text{and} \quad \tilde{x}_n(\pm T/2) = 0$$

With this parametrization we can write

$$D[x] = D[\eta] = \prod_n \frac{dc_n}{\sqrt{2\pi\hbar}} \rightarrow \text{convenience factor}$$

Euclidean Path Integral · Saddle point approximation

Now, let's obtain the explicit form of the **Euclidean Lagrangian**

$$iS = i \int_{-T/2}^{T/2} dt \left(\frac{m}{2} \dot{x}^2 - V[x] \right) \rightarrow i \int_{-\frac{T}{2} e^{-i\pi/2}}^{\frac{T}{2} e^{-i\pi/2}} dt \left[\frac{m}{2} \left(\frac{dx}{dt} \right)^2 - V[x] \right] \equiv -S_E$$

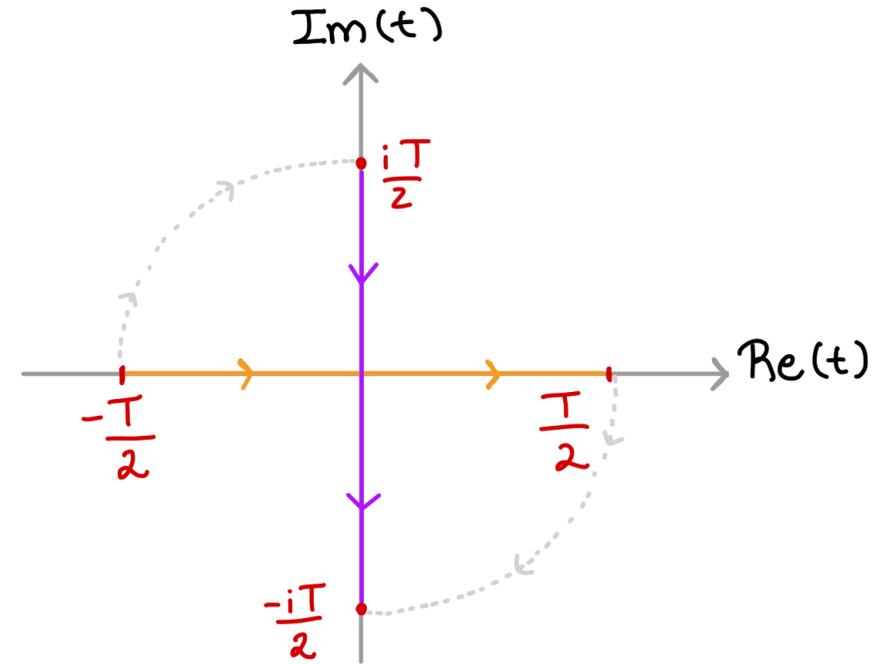
$$t \rightarrow -i\tau$$

$$\int_{-T/2}^{T/2} dt \rightarrow \int_{+i\frac{T}{2}}^{-i\frac{T}{2}} dt \rightarrow \int_{-T/2}^{T/2} (-i d\tau)$$

substituting $t \rightarrow -i\tau \Rightarrow \frac{dx}{dt} = \frac{dx}{d\tau} \frac{d\tau}{dt} = i \frac{dx}{d\tau} \Rightarrow \left(\frac{dx}{dt} \right)^2 = - \left(\frac{dx}{d\tau} \right)^2 \equiv -\dot{x}^2$

$$-S_E = i(-i) \int_{-T/2}^{T/2} d\tau \left(-\frac{m}{2} \dot{x}^2 - V[x] \right) \equiv - \int_{-T/2}^{T/2} d\tau \mathcal{L}_E[x]$$

$$\therefore \mathcal{L}_E[x] = \frac{m}{2} \dot{x}^2 + V(x)$$



Euclidean Path Integral · Saddle point approximation

$$\mathcal{L}_E [x] = \frac{m}{2} \dot{x}^2 + V(x)$$

The potential changed sign!

Saddle point approximation:

$$\frac{-\delta}{\delta x(t)} S[x] = m\ddot{x} + \frac{\partial V}{\partial x} = 0$$

real time



$$\frac{-\delta}{\delta x(\tau)} S_E[x] = m\ddot{x}_{cl} - V'(x_{cl}) = 0$$

imaginary time

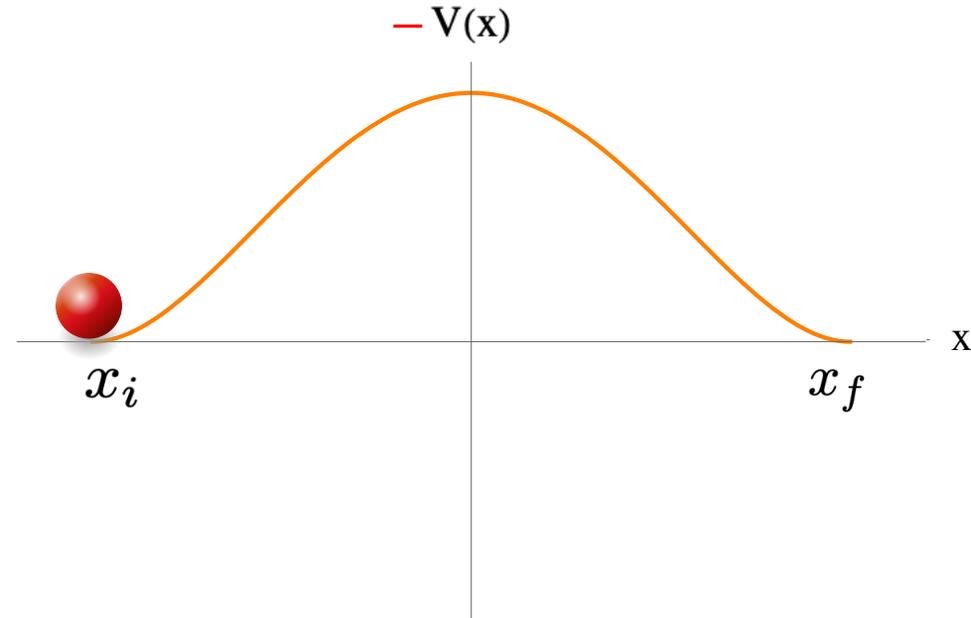
Consequence: now we have solutions to the imaginary-time equation of motion with **tunneling** boundary conditions!

$$x\left(-\frac{T}{2}\right) = x_i, \quad x\left(\frac{T}{2}\right) = x_f$$

These solutions carry a conserved quantum number:

Euclidean
energy

$$E_E = \frac{m}{2} \dot{x}^2 - V(x)$$



Euclidean Path Integral · Saddle point approximation

Finally, we can perform the **saddle-point approximation** explicitly.

Fluctuation around the classical path:

$$x(\tau) = x_{cl}(\tau) + \eta(\tau)$$

SC limit: the only nonvanishing contributions
com from a **neighborhood of x_{cl}**

(least suppressed from Boltzmann weight $\exp(-S_E/\hbar)$)

Expanding the action to order $\mathcal{O}(\eta^2)$

$$\begin{aligned} S_E[x] &= S_E[x_{cl}] + \frac{1}{2} \int d\tau \int d\tau' \eta(\tau) \frac{\delta^2 S_E[x_{cl}]}{\delta x(\tau) \delta x(\tau')} \eta(\tau') + \mathcal{O}(\eta^3) \\ &= S_E[x_{cl}] + \frac{1}{2} \int_{-T/2}^{T/2} d\tau \eta(\tau) \hat{F}(x_{cl}) \eta(\tau) + \mathcal{O}(\eta^3), \end{aligned}$$

where we defined the operator

$$\frac{\delta^2 S_E[x]}{\delta x(\tau) \delta x(\tau')} = \left[-m \frac{d^2}{d\tau^2} + \frac{d^2 V(x_{cl})}{dx^2} \right] \delta(\tau - \tau') \equiv \hat{F}(x_{cl}) \delta(\tau - \tau')$$

For deduction
see (2.32)

This operator drives the **dynamics of the fluctuation** around the classical path.

Euclidean Path Integral · Saddle point approximation

Now we expand the fluctuations into the basis of real **eigenfunctions** of \hat{F}

$$\eta(\tau) = \sum_n c_n \tilde{x}_n(\tau) \quad \text{with} \quad \hat{F}(x_{cl}) \tilde{x}_n(\tau) = \lambda_n \tilde{x}_n(\tau)$$

$$\text{boundary conditions} \\ \tilde{x}_n(\pm T/2) = 0$$

We can then write the action as

$$S_E[x] = S_E[x_{cl}] + \frac{1}{2} \sum_n \lambda_n c_n^2 + O(\eta^3)$$

For deduction
see (2.35)

Using the definition of measure

$$D[x] = D[\eta] = \prod_n \frac{dc_n}{\sqrt{2\pi\hbar}} \Rightarrow Z(x_f, x_i) = \mathcal{N} e^{-\frac{S_E[x_{cl}]}{\hbar}} \prod_n \int_{-\infty}^{\infty} dc_n \frac{e^{-\frac{1}{2\hbar} \lambda_n c_n^2}}{\sqrt{2\pi\hbar}}$$

performing the Gaussian integrals:

$$Z(x_f, x_i) = \mathcal{N} e^{-\frac{S_E[x_{cl}]}{\hbar}} \prod_n \lambda_n^{-1/2} \equiv \mathcal{N} e^{-\frac{S_E[x_{cl}]}{\hbar}} \underbrace{\left(\det \hat{F}[x_{cl}] \right)^{-1/2}}$$

functional determinant

Instanton Solution • The Double Well Potential

We will first study tunneling process between **degenerate potential minima**

↳ Classically, we have 2 **degenerate** energy levels, located at the two degenerate minima: parity symmetry is spontaneously broken.

But we know that the GS can't be degenerate!

Tunneling is responsible for the **splitting between these levels**.

↳ The **GS wavefunction** must correspond to the **symmetric** combination of the two perturbative vacua.

$$[P, H] = 0$$

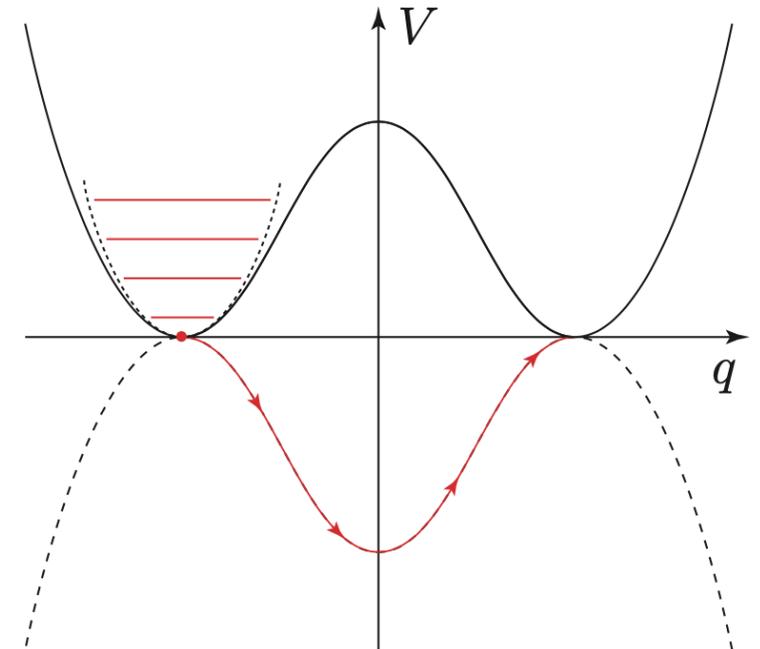
even/odd eigenfunctions

$$[P\psi_{n,\pm}](q) = \psi_{n,\pm}(-q) = \pm\psi_{n,\pm}(q).$$

Let's consider the potential

$$V(x) = \frac{\alpha^2 m}{2x_0^2} (x^2 - x_0^2)^2$$

Instantons have the ability to lift perturbation theory degeneracies!



Extracted from Ref. [7].

Instanton Solution • The Double Well Potential

potential:
$$V(x) = \frac{\alpha^2 m}{2x_0^2} (x^2 - x_0^2)^2$$

Saddle point solutions:

trivial static solutions

$$\left\{ \begin{array}{l} 1) \quad x_{cl}(\tau) = x_0 \\ 2) \quad x_{cl}(\tau) = -x_0 \end{array} \right.$$

They do not contribute to tunneling. But they contribute to $Z(x_0, x_0)$ or $Z(-x_0, -x_0)$

The other saddle point is **time-dependent** and correspond to the tunneling solution that interpolates between the minima:

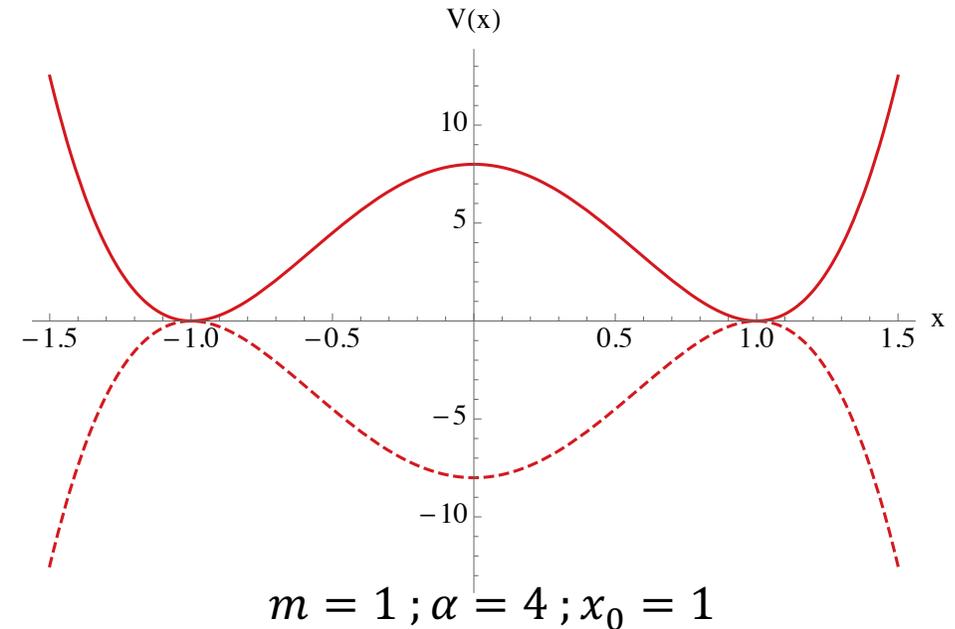
tunneling boundary conditions

$$x_{cl}(-T/2) = +x_0,$$

$$x_{cl}(T/2) = -x_0,$$

(or in the opposite direction)

To obtain an analytic solution we start with the Euclidean energy $E_E = 0$ \longrightarrow correspond to $\lim T \rightarrow \infty$, because vanishing initial velocity requires infinite time.



Instanton Solution • The Double Well Potential

$$E_E = \frac{m}{2} \dot{x}^2 - V = 0 \quad \Rightarrow \quad \dot{x} = \mp \sqrt{\frac{2V}{m}} \quad \Rightarrow \quad \mp \sqrt{\frac{m}{2}} \frac{dx}{\sqrt{V(x)}} = d\tau,$$

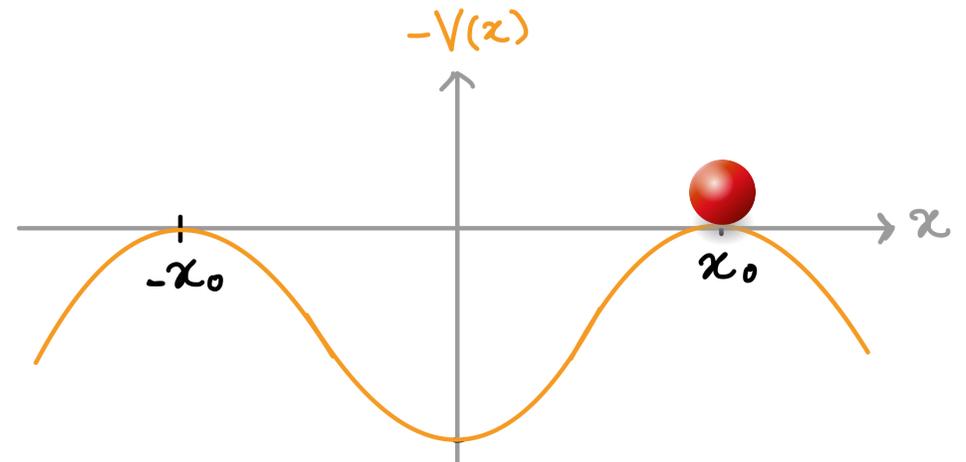
If we integrate, we obtain:

$$\mp \sqrt{\frac{m}{2}} \int_{x_{cl}(\tau_0)}^{x_{cl}(\tau)} \frac{dx}{\sqrt{V(x)}} = \mp \frac{x_0}{\alpha} \int_{x_{cl}(\tau_0)}^{x_{cl}(\tau)} \frac{dx}{x_0^2 - x^2} = \mp \frac{x_0}{\alpha} \frac{1}{x_0} \operatorname{arctanh} \left(\frac{x}{x_0} \right) \Big|_{x_{cl}(\tau_0)}^{x_{cl}(\tau)} = \int_{\tau_0}^{\tau} d\tau = \tau - \tau_0. \quad \begin{array}{l} \nearrow \\ \text{integration} \\ \text{constant} \end{array}$$

We choose τ_0 to be the “center” of the solution by requiring $x_{cl}(\tau_0) = 0$

$$3) \quad x_{cl}(\tau) \equiv x_{I/\bar{I}}(\tau) = \mp x_0 \tanh \alpha (\tau - \tau_0)$$

- instanton solution
- + anti-instanton solution



Instanton Solution • The Double Well Potential

$$x_{cl}(\tau) \equiv x_{I/\bar{I}}(\tau) = \mp x_0 \tanh \alpha (\tau - \tau_0)$$

Note that the tunneling transition happens **very fast**, almost instantaneous \rightarrow name “**instanton**”

$$\text{from } E_E = 0 \Rightarrow \frac{dx_I}{d\tau} = -\sqrt{\frac{2}{m} V(x_I)}$$

At large τ we expand the potential around $-x_0$ (using $V''(-x_0) = 4\alpha^2 m$)

$$\frac{dx_I}{d\tau} \simeq -2\alpha [x_I - (-x_0)]$$

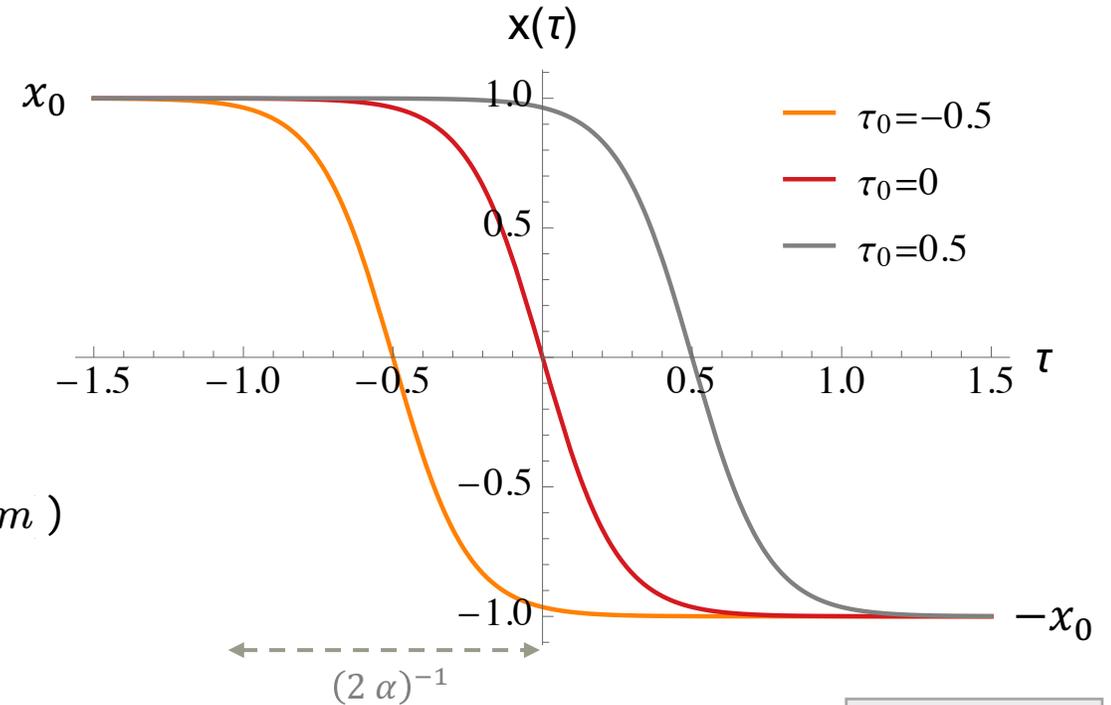
$$\Rightarrow \Delta x_I(\tau_0 + \tau) \rightarrow \Delta x_I(\tau_0) e^{-2\alpha\tau} \quad \text{where we defined the deviation } \Delta x_I(\tau) \equiv x_I(\tau) + x_0$$

The **characteristic time scale** $\tilde{\tau} = \frac{1}{2\alpha}$ of the decay becomes arbitrarily small for large α .

\hookrightarrow “**abruptness**” of the transition **increases** with the coupling parameter, related to the **height of the potential barrier**.

Euclidean action of the instanton solution

$$S_E[x_I] = m \int_{-T/2}^{T/2} d\tau \dot{x}_I^2 = m \int_{x_0}^{-x_0} dx_I \dot{x}_I = -\frac{\alpha m}{x_0} \int_{x_0}^{-x_0} dx_I (x_0^2 - x_I^2) = \frac{4}{3} \alpha m x_0^2$$



For deduction see (2.54)-(2.57)

Instanton Solution • The Zero Mode

From the e.o.m: $m\ddot{x}_{cl} - V'(x_{cl}) = 0 \Rightarrow \underset{\substack{\text{time} \\ \text{derivative}}}{\left[m\partial_\tau^2 - V''(x_I) \right]} \dot{x}_I = -\hat{F}\dot{x}_I = 0 \Rightarrow \hat{F}\tilde{x}_0(\tau) = 0$
eigenvalue $\lambda_0 = 0$

Zero mode!

The zero mode eigenfunction, correctly normalized, is:

$$\tilde{x}_0(\tau) = \sqrt{\frac{m}{S_I}} \dot{x}_I = -\frac{\sqrt{3\alpha}}{2} \frac{1}{\cosh^2(\alpha(\tau - \tau_0))}$$

Interpretation: unlike the constant solutions, the **instanton** solution is **well localized** in imaginary time. Due to the **time-translation invariance** of the Hamiltonian, they form a **one-parameter family of degenerate saddle points** related by continuous time-translations, whose members are parametrized by their time center τ_0 .

↳ we need to sum over the contributions from all τ_0 ! collective coordinate

We also know that the spectrum of a Schrodinger operator has the property that the **GS has no nodes**, the first excited state has one node, etc.

↳ In the double-well potential, \dot{x}_I never vanishes → must correspond to the GS and all other eigenvalues are positive!

Therefore, the fluctuation determinant is well behaved (Gaussian) for all λ_n ($n \neq 0$), but we still need to deal with the c_0 integration:

$$\int_{-\infty}^{\infty} \frac{dc_0 e^{-\frac{1}{2\hbar}\lambda_0 c_0^2}}{\sqrt{2\pi\hbar}} = \int_{-\infty}^{\infty} \frac{dc_0}{\sqrt{2\pi\hbar}},$$

Instanton Solution · The Zero Mode

However, this kind of **divergence** is exactly what we expect from integrating over the **infinite set of saddle points!**

We can interchange the integration $dc_0 \rightarrow d\tau_0$ by comparing the deviations dx from a given path $x(\tau)$:

$$\begin{aligned} \text{small time translations } \tau_0 \rightarrow \tau_0 + d\tau_0 &\Rightarrow dx = \frac{dx_I}{d\tau_0} d\tau_0 = \dot{x}_I d\tau_0, & \text{and} \\ \text{small coefficient shifts } c_0 \rightarrow c_0 + dc_0 &\Rightarrow dx = \frac{dx}{dc_0} dc_0 = \tilde{x}_0 dc_0 = \sqrt{\frac{m}{S_I}} \dot{x}_I dc_0. \end{aligned} \Rightarrow dc_0 = \sqrt{\frac{S_I}{m}} d\tau_0.$$

Therefore:

$$\int_{-\infty}^{\infty} \frac{dc_0}{\sqrt{2\pi\hbar}} = \int_{-T/2}^{T/2} \sqrt{\frac{S_E(x_I)}{2\pi\hbar m}} d\tau_0 = \sqrt{\frac{S_E(x_I)}{2\pi\hbar m}} T$$

and we obtain

$$Z_I(-x_0, x_0) = \mathcal{N} e^{-\frac{S_E[x_I]}{\hbar}} \sqrt{\frac{S_E[x_I]}{2\pi\hbar m}} T \left(\det \hat{F}[x_I]' \right)^{-1/2}$$

determinant without the zero mode

in the $\lim T \rightarrow \infty$: this divergence is not disturbing since it will be cancelled by other infinities.

Instanton Solution · Functional Determinant

Finally, we need to compute:

$$\det \hat{F} [x_I]' = \det \left[-m \frac{d^2}{d\tau^2} + V''(x_{cl}) \right]'$$

To this purpose we will use the result of the **harmonic oscillator functional determinant**:

For deduction
see eq. (2.70)-(2.85)

$$\hat{F} [x_{ho}] = -\frac{d^2}{d\tau^2} + \omega^2. \Rightarrow Z_{ho}(0,0) = \mathcal{N} \left(\det \hat{F} [x_{ho}] \right)^{-1/2} = \sqrt{\frac{m\hbar\omega}{2\pi}} [\sinh(\omega T)]^{-1/2} \xrightarrow{\lim T \rightarrow \infty} \sqrt{\frac{m\hbar\omega}{\pi}} e^{-\omega T/2}$$

from which we recover, using $E_0 = -\hbar \lim_{T \rightarrow \infty} \frac{1}{T} \ln Z(x_f, x_i) \Rightarrow E_{0,ho} = \frac{1}{2} \hbar \omega.$

To compute Z_I we will write the **normalization** as $\mathcal{N} = \frac{Z_{ho}(0,0)}{\left(\det \hat{F} [x_{ho}] \right)^{-1/2}}$

$$\Rightarrow Z_I(-x_0, x_0) = Z_{ho}(0,0) e^{-\frac{S_E[x_I]}{\hbar}} \sqrt{\frac{S_E[x_I]}{2\pi\hbar m}} \omega T \left\{ \frac{\det \hat{F} [x_I]'}{\omega^{-2} \det \hat{F} [x_{ho}]} \right\}^{-1/2}$$

Instanton Solution · Functional Determinant

To calculate $\det \hat{F} [x_I]'$, we have to deal with the **spectrum** of the operator

$$\hat{F} [x_I] = -m \frac{d^2}{d\tau^2} + V'' (x_I)$$

where

$$V'' (x_I) = \frac{2\alpha^2 m}{x_0^2} (3x_I^2 - x_0^2) = 2\alpha^2 m [3 \tanh^2 \alpha (\tau - \tau_0) - 1] = 2\alpha^2 m \left[2 - \frac{3}{\cosh^2 \alpha (\tau - \tau_0)} \right]$$

So, we have to solve

$$\Rightarrow \left[-\frac{d^2}{d\tau^2} + \overbrace{4\alpha^2 - \frac{6\alpha^2}{\cosh^2 (\alpha\tau)}}^{\tilde{V}(\tau)} \right] \tilde{x}_\lambda (\tau) = \lambda \tilde{x}_\lambda (\tau)$$

boundary conditions

$$\tilde{x}_n (\pm T/2) = 0$$

Because this eq. is of “Schrodinger type”, we know that the eigenvalue spectrum will be **discrete** for the “bound” states with $\lambda < 4 \alpha^2$ and **continuous** when $\lambda > 4 \alpha^2$

$$\hookrightarrow \lim_{\tau \rightarrow \infty} \tilde{V}(\tau) = 4 \alpha^2$$

We can solve this equation analytically, first we substitute:

$$\xi = \tanh (\alpha\tau) \Rightarrow \left[\frac{d}{d\xi} (1 - \xi^2) \frac{d}{d\xi} - \frac{\epsilon^2}{1 - \xi^2} + 6 \right] \tilde{x}_\lambda (\xi) = 0 \quad \text{where} \quad \epsilon^2 = 4 - \frac{\lambda}{\alpha^2}$$

Instanton Solution · Functional Determinant

The solutions are

$$\tilde{x}_\lambda(\xi) = c_1 P_2^\epsilon(\xi) + c_2 Q_2^\epsilon(\xi)$$

associated Legendre functions of the first and second kind

↳ **discrete levels:** $\epsilon^2 > 0$ (“bound states”) $\left\{ \begin{array}{l} \lambda_0 = 0, \text{ zero mode} \Rightarrow \text{associated with } P_2^2(\xi) = 3(1 - \xi^2) = 3/\cosh^2(\alpha\tau) \propto \dot{x}_I \\ \lambda_1 = 3\alpha^2. \end{array} \right.$

↳ **continuum states:** $\epsilon^2 < 0$: the associated Legendre functions are no longer convenient...

re-writing $\tilde{x}_\lambda(\xi) = (1 - \xi^2)^{\epsilon/2} w(\xi) + u = \frac{1 - \xi}{2} \Rightarrow (\dots)$

see eq. (2.99) – (2.102)

$$\Rightarrow \left[u(1-u) \frac{d^2}{du^2} + (\epsilon + 1)(1 - 2u) \frac{d}{du} - (\epsilon - s)(\epsilon + s + 1) \right] w(u) = 0$$

hypergeometric differential equation

solution: $w(u) = c_3 {}_2F_1 \left[\frac{ik}{\alpha} - s, s + \frac{ik}{\alpha} + 1, 1 + \frac{ik}{\alpha}, u \right] + c_4 u^{-ik/\alpha} {}_2F_1 \left[-s, s + 1, 1 - \frac{ik}{\alpha}, u \right]$

where $\epsilon = ik/\alpha$

Instanton Solution · Functional Determinant

For $s = 2$:

$$w(\xi) = c_3 \left(\frac{1+\xi}{2} \right)^{-ik/\alpha} [k^2 - 3ik\alpha\xi + 2\alpha^2(2+3\xi)] + c_4 \left(\frac{1-\xi}{2} \right)^{-ik/\alpha} \left[1 + \frac{3\alpha(1-\xi)(-ik + \alpha(1+\xi))}{(k+i\alpha)(k+2i\alpha)} \right]$$

$$\Rightarrow \tilde{x}_\lambda(\tau) = \tilde{c}_3 e^{-ik\tau} [k^2 - 3ik\alpha \tanh(\alpha\tau) + 2\alpha^2(2+3 \tanh(\alpha\tau))] \quad \text{see eq. (2.104) - (2.113)}$$

$$+ \tilde{c}_4 e^{ik\tau} \left[1 + \frac{3\alpha(1 - \tanh(\alpha\tau))(-ik + \alpha(1 + \tanh(\alpha\tau)))}{(k+i\alpha)(k+2i\alpha)} \right]$$

Now we use the fact that the eigenvalue eq. is a **local equation**, so we can obtain the eigenvalues in the **asymptotic region** $|\tau| \rightarrow \infty$, where the **potential induced by the instanton field vanishes**:

$$\left[\frac{d^2}{d\tau^2} + k^2 \right] \tilde{x}_\lambda(\tau) = 0. \quad \text{where} \quad k^2 \equiv \lambda - 4\alpha^2 \quad (\geq 0)$$

solution: “plane waves”

Elastic scattering \Rightarrow only effect of the potential can be a k -dependent **phase shift**

$$\left\{ \begin{array}{l} \tilde{x}_\lambda(\tau) \propto e^{ik\tau + i\delta_k} \quad \text{for } \tau \rightarrow -\infty, \\ \tilde{x}_\lambda(\tau) \propto e^{ik\tau} \quad \text{for } \tau \rightarrow +\infty. \end{array} \right.$$

Instanton Solution · Functional Determinant

Therefore:

$$\lim_{\tau \rightarrow -\infty} \tilde{x}_\lambda(\tau) \rightarrow \tilde{c}_3 e^{-ik\tau} [k^2 + 3ik\alpha - 2\alpha^2] + \tilde{c}_4 e^{ik\tau} \left[\frac{(1 + ik/\alpha)(2 + ik/\alpha)}{(1 - ik/\alpha)(2 - ik/\alpha)} \right]$$

where we can read the **phase shifts**

$$\delta_k = -i \ln \left[\left(\frac{1 + ik/\alpha}{1 - ik/\alpha} \right) \left(\frac{2 + ik/\alpha}{2 - ik/\alpha} \right) \right]$$

Now, to obtain the relation of the phase shifts with the eigenvalues k , we write: $\tilde{x}_{gen,\lambda}(\tau) = A\tilde{x}_\lambda(\tau) + B\tilde{x}_\lambda(-\tau)$

imposing the **boundary conditions**: $A\tilde{x}_\lambda\left(\frac{T}{2}\right) + B\tilde{x}_\lambda\left(-\frac{T}{2}\right) = A\tilde{x}_\lambda\left(-\frac{T}{2}\right) + B\tilde{x}_\lambda\left(\frac{T}{2}\right) = 0.$

see eq. (2.120) – (2.123)

$$\Rightarrow \frac{\tilde{x}_\lambda\left(-\frac{T}{2}\right)}{\tilde{x}_\lambda\left(\frac{T}{2}\right)} = e^{-ikT - i\delta_k} = \pm 1 \quad \Rightarrow \quad k_n = \frac{n\pi - \delta_k}{T}$$

Due to the boundary conditions the k_n are discrete for finite T and become continuous in the limit $T \rightarrow \infty$.

Instanton Solution · Functional Determinant

Now, **finally**, we are able to calculate the functional determinant!

(Remember $k^2 \equiv \lambda - 4\alpha^2$)

$$\frac{\det \hat{F} [x_I]'}{\omega^{-2} \det \hat{F} [x_{ho}]} = \frac{\lambda_1 \prod_{n=1} (k_n^2 + 4\alpha^2)}{\lambda_{ho,2} \prod_{n=3} (k_{ho,n}^2 + \omega^2)} = \frac{3}{4} \frac{\prod_{n=1} (k_n^2 + 4\alpha^2)}{\prod_{n=3} (k_{ho,n}^2 + 4\alpha^2)}, \quad (\omega = 2\alpha)$$

↗ discrete eigenvalue = $3\alpha^2$

and $\lambda_{ho,n} = \left(\frac{n\pi}{T}\right)^2 + \omega^2$. To perform the calculation, we write:

see eq. (2.126) – (2.136)

$$\frac{\prod_{n=1} (k_n^2 + 4\alpha^2)}{\prod_{n=1} (k_{ho,n}^2 + 4\alpha^2)} = \exp \sum_{n=1}^{\infty} \ln \left[\frac{k_n^2 + 4\alpha^2}{k_{ho,n}^2 + 4\alpha^2} \right] = (\dots) = \exp \left(-\frac{1}{\pi} \int_0^{\infty} dk \frac{2\delta_k k}{k^2 + 4\alpha^2} \right)$$

where

$$\int_0^{\infty} dk \frac{2k\delta_k}{k^2 + 4\alpha^2} = \pi \ln 9 \quad \Rightarrow \quad \frac{\det \hat{F} [x_I]'}{\omega^{-2} \det \hat{F} [x_{ho}]} = \frac{1}{12}$$

Replacing in Z_I :

$$Z_I (-x_0, x_0) = \sqrt{\frac{m\hbar\omega}{\pi}} e^{-\omega T/2} \omega T \sqrt{\frac{6S_E [x_I]}{\pi\hbar m}} e^{-\frac{S_E [x_I]}{\hbar}}$$

propagator of the double-well tunneling problem to $\mathcal{O}(\hbar)$ in the SCA around a single instanton.

Multi-Instantons · Dilute Instanton Gas

Beyond the **single-instanton** solutions, there are additional saddle points which also contribute to SC tunneling amplitude for large T .

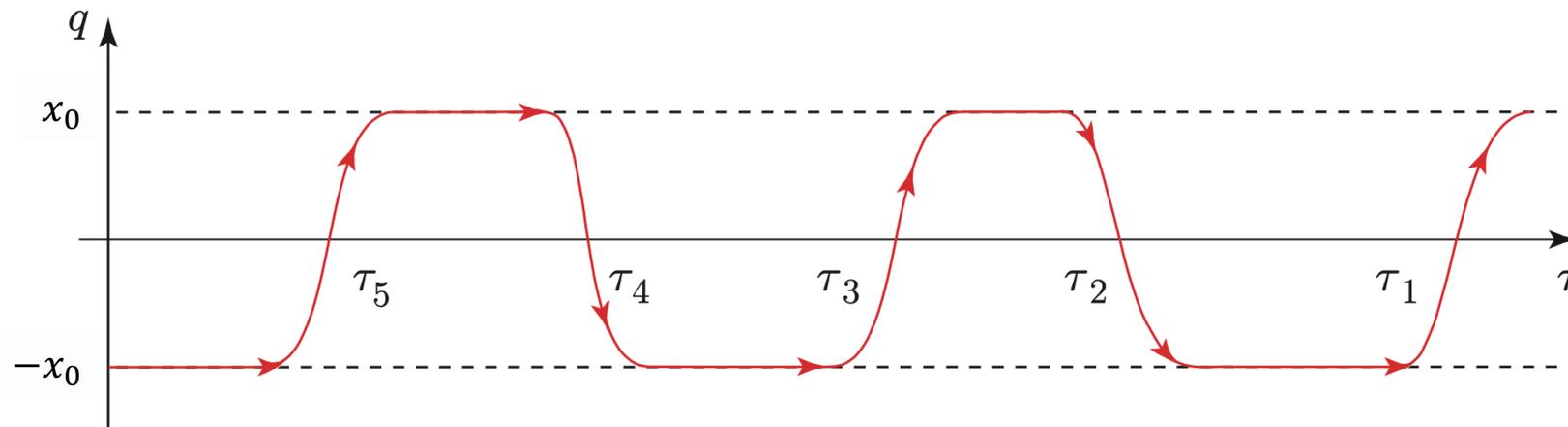
↳ approximate solutions of the stationary eq. involving further anti-instanton/instanton pairs: “**multi-instanton solutions**”

Instantons are well localized \longrightarrow deviates only in the interval $\Delta\tau = 1/(2\alpha)$ appreciably from x_0 or $-x_0$
very small overlap between neighboring instantons and anti-instantons

So we can write the multi-(anti-)instanton solutions as a chain of N alternating instantons and anti-instantons, sufficiently far separated in time by the interval

$$\bar{\Delta}_\tau = \frac{T}{N} \gg \frac{1}{2\alpha}. \quad \Rightarrow \quad \text{solution: } x_N(\tau) = \sum_{k=1}^N x_{I,\bar{I}}(\tau - \tau_{0,k})$$

N must be odd to satisfy boundary conditions



N tunneling processes, back and forth between both minima of the potential.

DILUTE INSTANTON GAS APPROXIMATION
(DIGA)

Multi-Instantons · Dilute Instanton Gas

Due to the “diluteness”, the (anti-)instantons have too **little overlap to interact** and we can write:

$$S_E [x_N + \eta] \simeq S_E [x_0 + \eta_0] + \sum_{k=1}^N S_E [x_I + \eta_k]$$

fluctuations around the constant $x(\tau) = \pm x_0$   fluctuations around the single (anti-) instantons

$$\begin{aligned} \Rightarrow Z_N(-x_0, x_0) &\simeq \mathcal{N} \int D[\eta_0] e^{-S_E[x_0 + \eta_0]/\hbar} \times \prod_{k=1}^N \mathcal{N} \int D[\eta_k] e^{-S_E[x_I + \eta_k]/\hbar} \\ &= Z_0(x_0, x_0) [Z_I(-x_0, x_0)]^N. \end{aligned}$$

N Zero modes: we write

$$Z_I = Z'_I \sqrt{\frac{S_I}{2\pi\hbar m}} \int d\tau_0 \equiv \tilde{Z}_I \int d\tau_0$$

we need to integrate in each time center, but respecting the temporal ordering

$$\int_{-T/2}^{T/2} d\tau_{0,1} \int_{\tau_{0,1}}^{T/2} d\tau_{0,2} \dots \int_{\tau_{0,N-1}}^{T/2} d\tau_{0,N} = \frac{T^N}{N!}$$

Instantons behave like identical particles!

Multi-Instantons · Dilute Instanton Gas

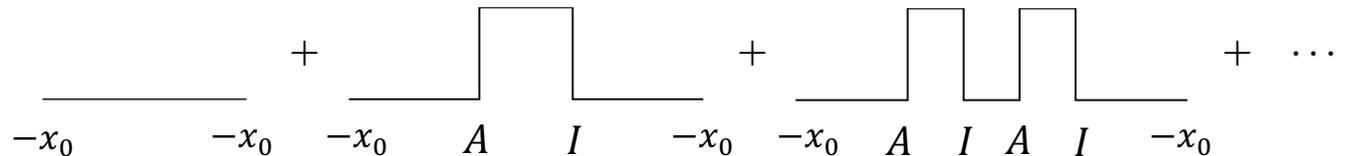
Therefore

$$\Rightarrow Z_N \simeq Z_0 \frac{(\tilde{Z}_I T)^N}{N!} \left\{ \begin{array}{l} Z_0(\pm x_0, \pm x_0) = \mathcal{N} (\det [-\partial_\tau^2 + \omega^2])^{-1/2} \rightarrow \left(\frac{m\hbar\omega}{\pi}\right)^{1/2} e^{-\omega T/2}, \\ \tilde{Z}_I = 2\alpha \sqrt{\frac{6S_E[x_I]}{\pi\hbar m}} e^{-\frac{S_E[x_I]}{\hbar}} = 4\sqrt{\frac{2\alpha^3 x_0^2}{\pi\hbar}} e^{-\frac{4}{3}\alpha m x_0^2/\hbar}. \end{array} \right.$$

To collect all the **multi-instantons contributions** we must sum over all **odd N**

$$Z_{DIGA}(x_0, -x_0) = Z_0 \sum_{N \text{ odd}} \frac{(\tilde{Z}_I T)^N}{N!} = \frac{Z_0}{2} \left\{ e^{\tilde{Z}_I T} - e^{-\tilde{Z}_I T} \right\} = Z_0 \sinh(\tilde{Z}_I T)$$

Analogously, we can compute $Z_{DIGA}(-x_0, -x_0)$ summing even numbers of instantons:



Combining the results:

$$Z_{DIGA}(\pm x_0, -x_0) = \frac{1}{2} \left(\frac{\hbar\omega}{\pi}\right)^{1/2} \left\{ e^{-(\omega/2 - \tilde{Z}_I)T} \mp e^{-(\omega/2 + \tilde{Z}_I)T} \right\}$$

Multi-Instantons · Dilute Instanton Gas

Finally, to obtain the two lowest energy levels of the system, we can compare:

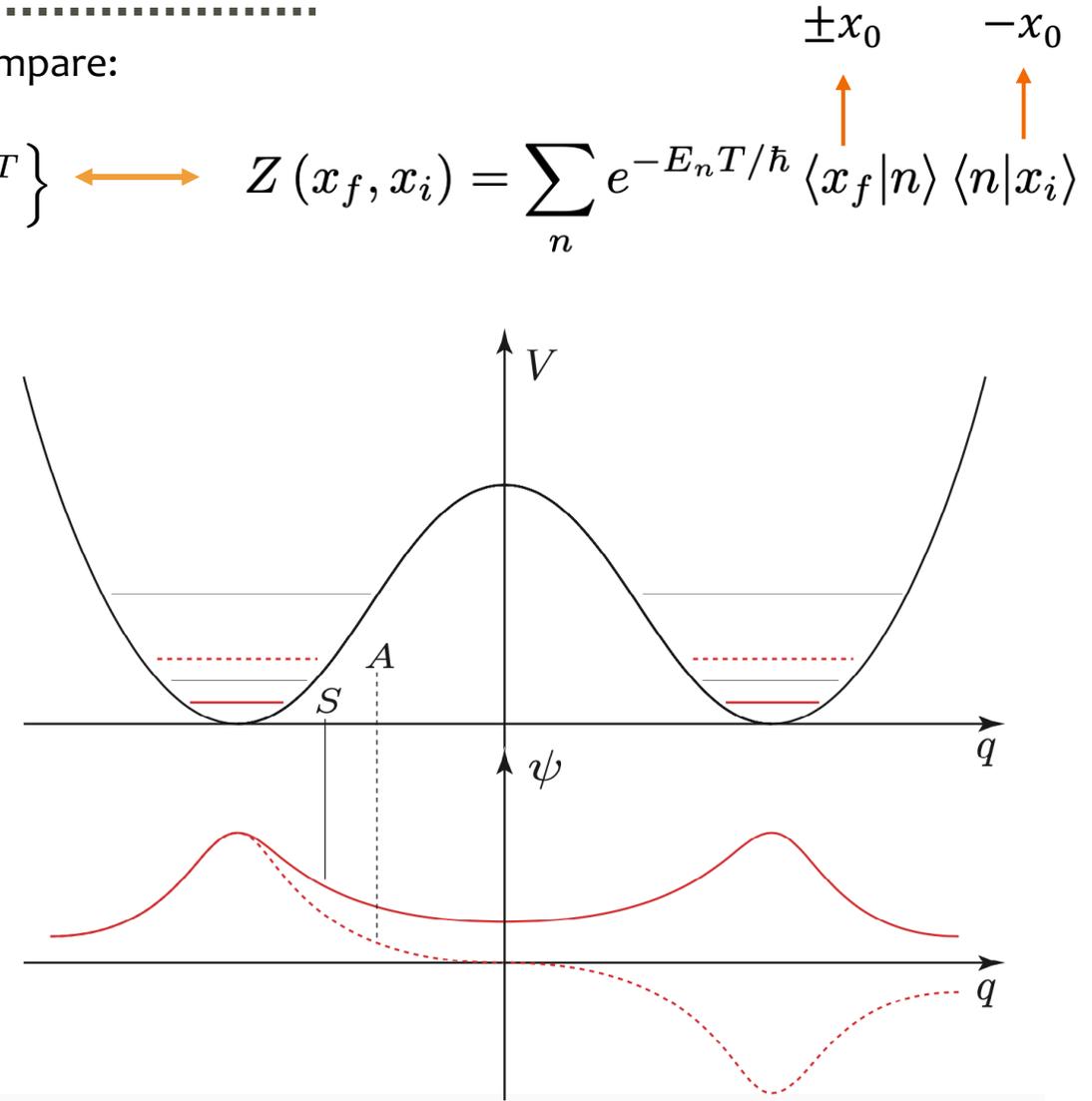
$$Z_{DIGA}(\pm x_0, -x_0) = \frac{1}{2} \left(\frac{\hbar\omega}{\pi} \right)^{1/2} \left\{ e^{-(\omega/2 - \tilde{Z}_I)T} \mp e^{-(\omega/2 + \tilde{Z}_I)T} \right\} \longleftrightarrow Z(x_f, x_i) = \sum_n e^{-E_n T/\hbar} \langle x_f | n \rangle \langle n | x_i \rangle$$

$$\left\{ \begin{array}{l} E_0 = \frac{\hbar\omega}{2} - \hbar\tilde{Z}_I, \\ E_1 = \frac{\hbar\omega}{2} + \hbar\tilde{Z}_I. \end{array} \right. \Rightarrow \Delta E \sim e^{-\frac{S_E[x_I]}{\hbar}}$$

the effect of tunneling is to **split** the degenerate GS energies!

and

$$\left\{ \begin{array}{l} |0\rangle = \frac{1}{\sqrt{2}} \{ |x_0\rangle + |-x_0\rangle \}, \quad \text{symmetric} \\ |1\rangle = \frac{1}{\sqrt{2}} \{ |x_0\rangle - |-x_0\rangle \}. \quad \text{anti-symmetric} \end{array} \right.$$



The artificially broken **parity** in the absence of tunneling is restored.

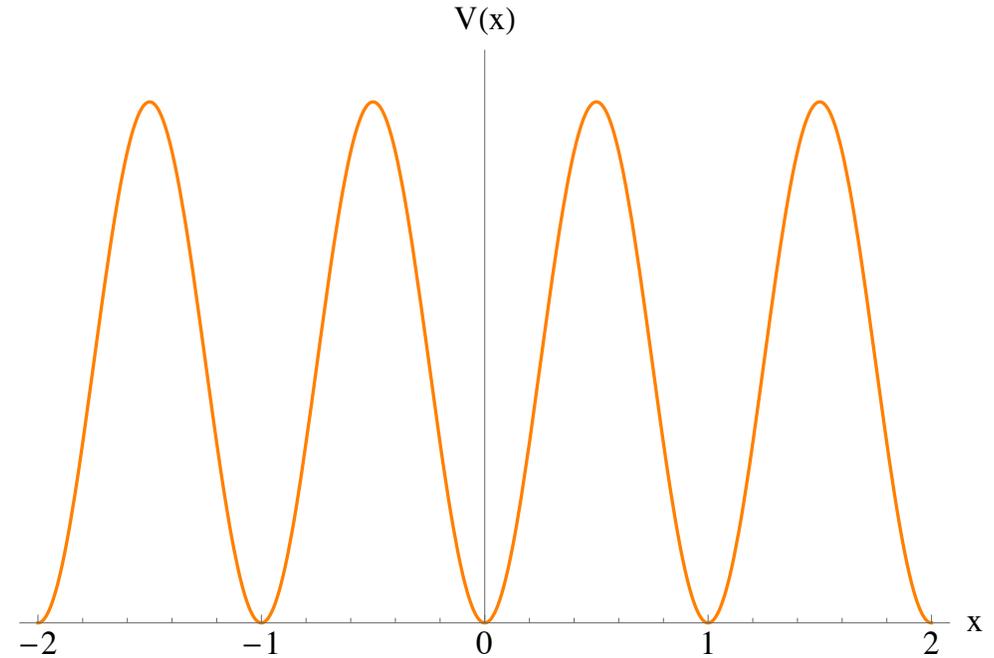
Multi-Instantons · Periodic Potential

Let's consider now the periodic potential with degenerate minima:

- ↳ Resembles the QCD vacuum situation.
- ↳ Condensed matter physics: electrons in crystal lattices

The main difference is that now instantons and anti-instantons can arbitrarily follow each other:

$$\left\{ \begin{array}{l} \text{Instantons: } x = j \longrightarrow x = j - 1 \\ \text{Anti-instantons: } x = j \longrightarrow x = j + 1 \end{array} \right.$$

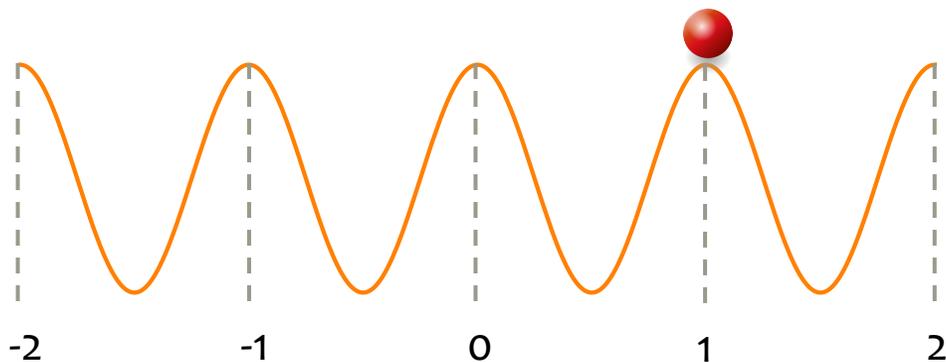


Boundary conditions

$$x\left(-\frac{T}{2}\right) = x_{0,n_i}, \quad x\left(\frac{T}{2}\right) = x_{0,n_f}$$

where

$$N_{\bar{I}} - N_I = n_f - n_i$$



Multi-Instantons · Periodic Potential

Then, we write the SC propagator as:

$$Z_{per}(x_{n_f}, x_{n_i}) \simeq Z_0 \sum_{N_I=0}^{\infty} \sum_{N_{\bar{I}}=0}^{\infty} \frac{(\tilde{Z}_I T)^{N+N_{\bar{I}}}}{N!N_{\bar{I}}!} \delta_{N_{\bar{I}}-N_I-(n_f-n_i)}$$

$\hookrightarrow \delta_{ab} = \int_0^{2\pi} \frac{d\theta}{2\pi} e^{i\theta(a-b)}$

see eq. (2.163) – (2.169)

$$\Rightarrow Z_{per}(x_{n_f}, x_{n_i}) \simeq Z_0 \int_0^{2\pi} \frac{d\theta}{2\pi} e^{-i\theta(n_f-n_i)} e^{\tilde{Z}_I T e^{-i\theta} + \tilde{Z}_I T e^{i\theta}} = \left(\frac{m\hbar\omega}{\pi}\right)^{1/2} \int_0^{2\pi} \frac{d\theta}{2\pi} e^{-i\theta(n_f-n_i)} e^{-(\omega/2 - 2\tilde{Z}_I \cos\theta)T}$$

Now, we can obtain the low-lying **energy levels** from the $T \rightarrow \infty$ limit:

$$E_0(\theta) = \frac{\hbar\omega}{2} - 2\hbar\tilde{Z}_I \cos\theta$$

continuous “band” of energies
parametrized by θ

and the **eigenstates** are the **Bloch waves**:

$$|\theta\rangle = \frac{1}{\sqrt{2\pi}} \left(\frac{\hbar\omega}{\pi}\right)^{1/4} \sum_n e^{in\theta} |n\rangle$$


 state localized at the n -th minimum of the potential

Decay of a Meta-stable State • Bounce Solution

In general, a **meta-stable state** arises due to the existence of a **local minimum** of the potential, which is not the global minimum.

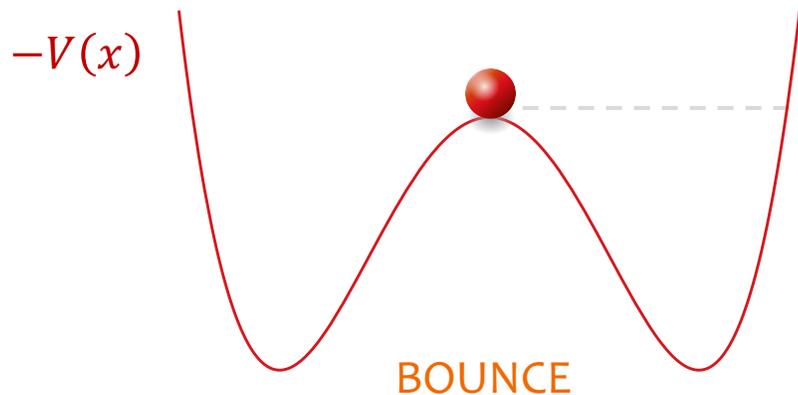
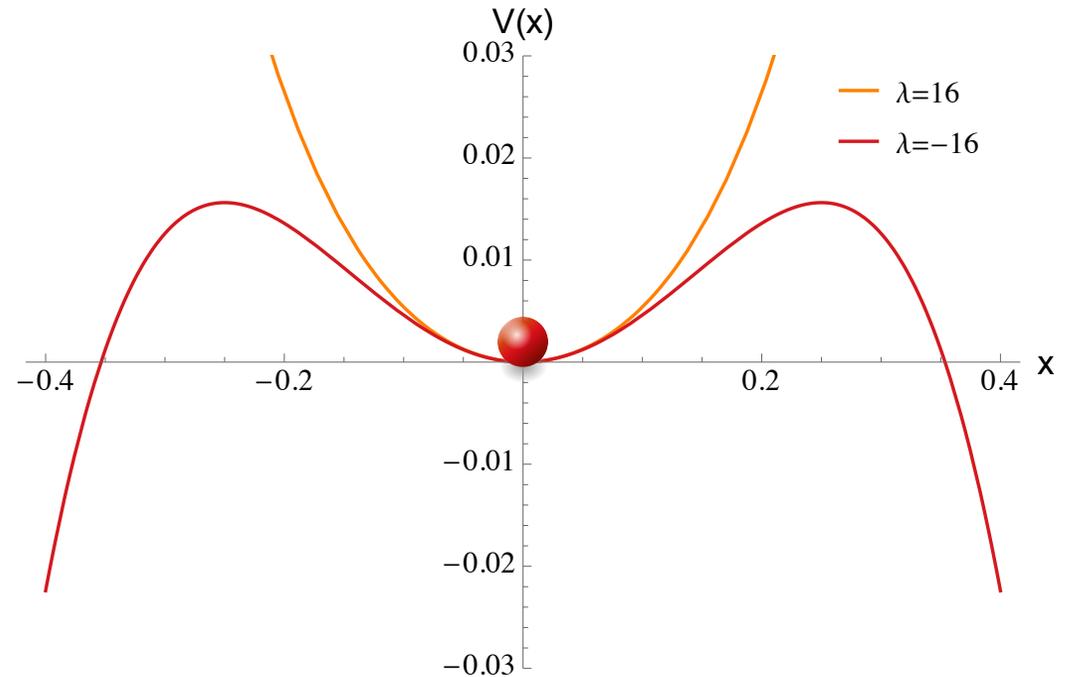
Example: consider the **quartic anharmonic oscillator** potential

$$V(x) = \frac{1}{2}x^2 + \frac{\lambda}{4}x^4$$

For negative coupling $\lambda < 0$, the Hamiltonian is no longer bounded from below, and then

$$Z \propto e^{-S_E} = \exp \left[- \int \left(\frac{m}{2} \dot{x}^2 + V(x) \right) dt \right] \text{ diverges}$$

To solve this problem we **analytic continue** $E(\lambda)$ from $\lambda > 0$ to $\lambda < 0$.



A particle in the GS at the bottom of the local **unstable minimum** will **decay** by tunneling through the barrier.

We want to obtain the **mean lifetime of the particle**

imaginary part of the GS energy!

$$E_0 \rightarrow E_0 + i\Gamma/2$$

We want the saddle point solution with **boundary conditions**: $x \left(\pm \frac{T}{2} \right) = 0$

Decay of a Meta-stable State • Bounce Solution

saddle-point equation

$$\frac{-\delta}{\delta x(\tau)} S_E[x] = m\ddot{x}_{cl} - V'(x_{cl}) = 0 \quad \lambda < 0 \quad \longrightarrow$$

Let's first consider constant solutions: $\dot{x} = 0$

$$-V'(x) = -(x - |\lambda| x^3) = 0$$

$$\Rightarrow x(1 - |\lambda| x^2) = 0 \quad \left\{ \begin{array}{l} x(\tau) = 0 \\ x(\tau) = \pm \sqrt{\frac{1}{-\lambda}} \end{array} \right.$$

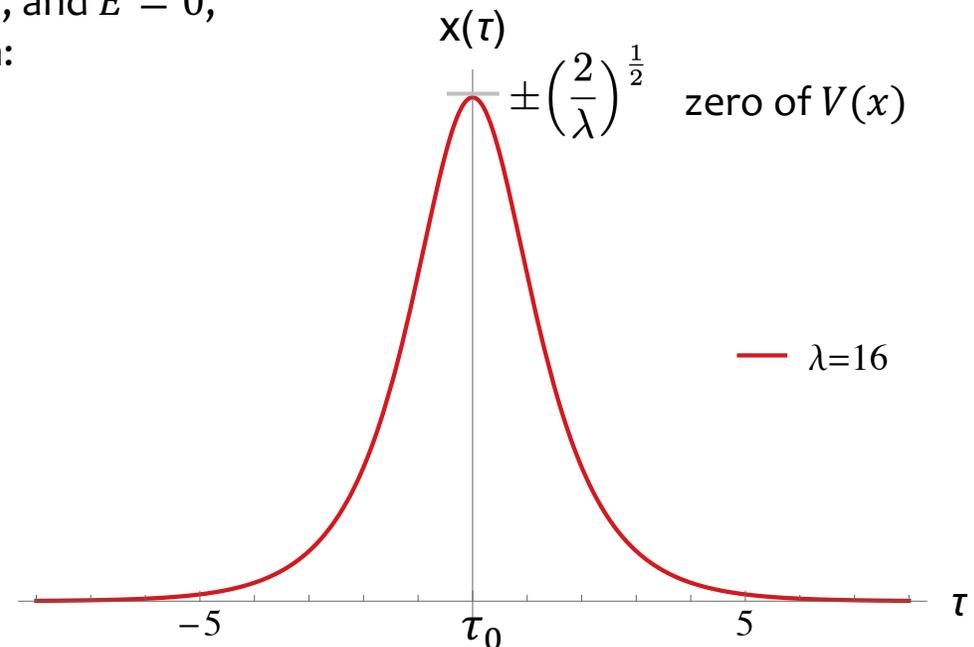
But what about the boundary conditions $x(\pm \frac{T}{2}) = 0$?? These paths do not appear, but they “nearly” do. ←

We are interested in the **non-constant solutions**. Taking the $\lim T \rightarrow \infty$, and $E = 0$, i.e. particle arrives to the **turning point** with **zero energy**, we obtain:

$$x(\tau) = \pm \left(\frac{2}{\lambda}\right)^{\frac{1}{2}} \frac{1}{\cosh(\tau - \tau_0)}$$

bounces

(where $\lambda \rightarrow -\lambda > 0$ and $m = 0$)



Decay of a Meta-stable State · Negative Mode

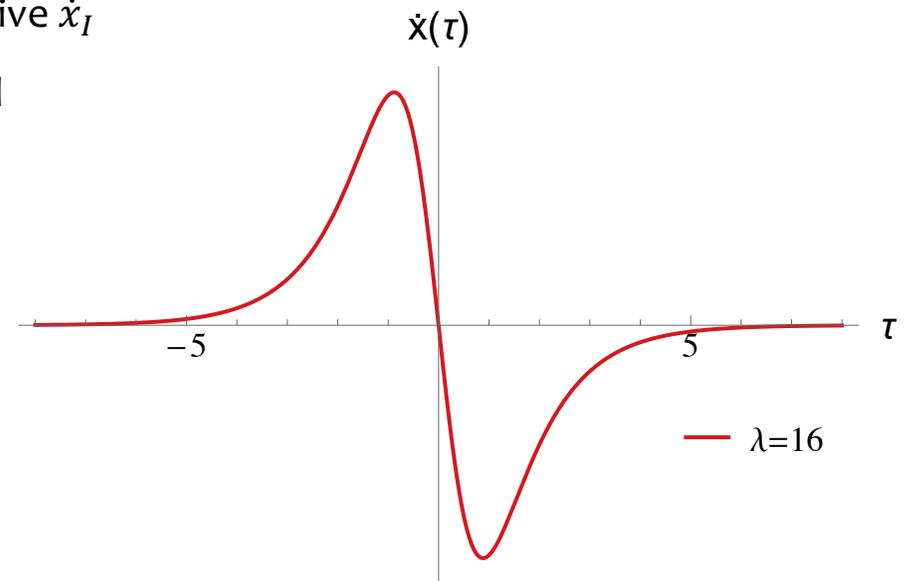
Now, similarly to what we did with the double well we want to examine the **spectrum of the operator**:

$$\hat{F}[x_I] = -m \frac{d^2}{d\tau^2} + V''(x_I) \quad \text{with the eigenvalue eq.} \quad \hat{F}(x_{cl}) \tilde{x}_n(\tau) = \lambda_n \tilde{x}_n(\tau) \quad \text{where} \quad V(x) = \frac{1}{2}x^2 + \frac{\lambda}{4}x^4$$

Zero mode: The mode with $\lambda = 0$ is proportional to the imaginary time derivative \dot{x}_I

However, note that now \dot{x}_I posses **one node**, this means that it must correspond to the **first excited state!**

So, we have a **negative mode** that corresponds to the GS!!



The negative mode will be responsible to the **imaginary part** contribution!

Negative mode: using that

$$\hat{F} = -\frac{d^2}{d\tau^2} + 1 - \frac{6}{\cosh^2(\tau - \tau_0)} \Rightarrow \tilde{x}_0 = \frac{1}{\cosh^2(\tau)} \quad \text{and} \quad \hat{F} \tilde{x}_0 = -3 \tilde{x}_0$$

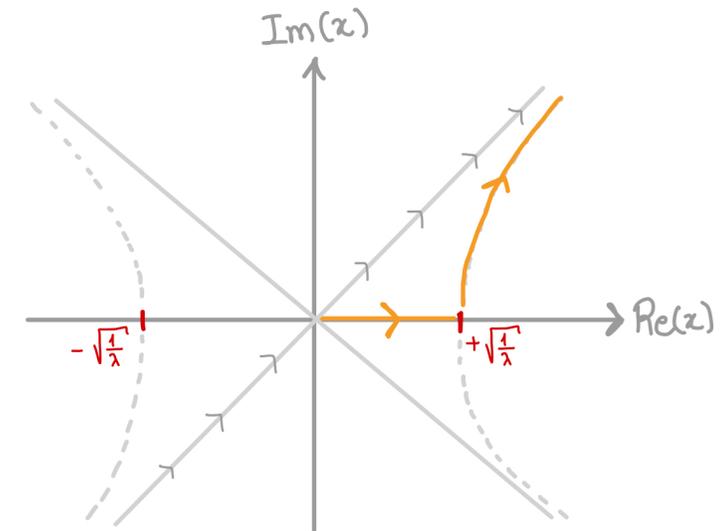
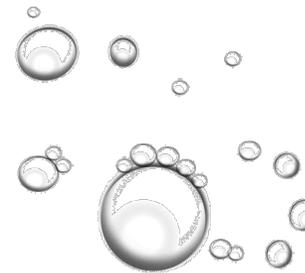
Decay of a Meta-stable State · Negative Mode

However the integral for this mode is not Gaussian anymore...

$$Z \propto \prod_n \int_{-\infty}^{\infty} dc_n \frac{e^{-\frac{1}{2\hbar} \lambda_n c_n^2}}{\sqrt{2\pi\hbar}} \xrightarrow{\text{negative mode}} \frac{1}{\sqrt{2\pi\hbar}} \int_{-\infty}^{\infty} dc_0 e^{\frac{3}{2\hbar} c_0^2} \quad \text{divergent!}$$

To perform this integral we will use analytic continuation using the **steepest descent method**.

$$(\dots) \Rightarrow \frac{1}{\sqrt{2\pi\hbar}} \int_{-\infty}^{\infty} dc_0 e^{\frac{3}{2\hbar} c_0^2} = \pm i \frac{1}{2} \sqrt{\frac{1}{3}} \quad \downarrow \lambda_0$$



Finally, combining all the pieces, we obtain:

$$Z(0, 0) = \sqrt{\frac{\hbar\omega}{\pi}} e^{-\omega T/2} \exp\left(T \sqrt{\frac{S_b}{2\pi\hbar}} e^{-S_b/\hbar} K\right) = e^{-T(E_0 + i\Gamma/2)/\hbar} A.C\{| \langle E_0 | 0 \rangle |^2 + \dots\}$$

where

$$K = \text{Re}[K] + i \frac{1}{2} \frac{1}{\sqrt{3}} \left[\frac{\det' \left(-\frac{d^2}{d\tau^2} + V'' \right)}{\det \left(-\frac{d^2}{d\tau^2} + \omega^2 \right)} \right]^{-1/2} \Rightarrow \Gamma = \hbar \sqrt{\frac{S_b}{2\pi\hbar}} e^{-S_b/\hbar} \frac{1}{\sqrt{3}} \left[\frac{\det' \left(-\frac{d^2}{d\tau^2} + V'' \right)}{\det \left(-\frac{d^2}{d\tau^2} + \omega^2 \right)} \right]^{-1/2}$$

Conclusion

- **Instantons** are localized, **non-perturbative** processes with several **applications** in many areas of physics.
- In QM, we can use instantons to **describe tunneling/decay phenomena** in the SC approximation if we analytic continue to **imaginary/Euclidean time**.
 - ↳ The formal effect is to **change the potential sign**, so we can interpret the instanton solution as a **classical particle moving in the inverted potential!**
- We can extract the **low-lying energy levels** from the path integral/partition function in the SC approximation by taking the limit $T \rightarrow \infty$.
- For potentials with **degenerate minima** (double-well), the effect of tunneling is to **split the degenerate energy levels**. In this case we can calculate the instanton solution analytically.
- The spectrum of the **fluctuation operator** reveals the appearance of a **zero mode**, related to the translational invariance. The instanton solutions then form a **one-parameter family** parametrized by a **collective coordinate**.
- Due to their localized behavior we can consider **multi-instantons solutions** \rightarrow **Dilute Instanton Gas Approximation**
- For the decay of an **unstable state**, we call the instanton solution “**the bounce**”. Beyond the zero mode, a negative mode appear, responsible for the imaginary part of the partition function, where we extract the **decay width**.

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Thank you for your kind attention!

BACKUP

Decay of a Meta-stable State

