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Physical Foundations of Landauer's Principle

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Introduction

- **Context:** Landauer's Principle connecting information loss with entropy increase is a key motivation for reversible computing, but continues to be frequently misinterpreted/misunderstood.
 - As a result of these misunderstandings, the validity of Landauer's Principle has often been (misguidedly) challenged by engineers & physicists...
 - This has been a substantial barrier to R&D investment in reversible computing
 - We should all be well prepared to answer in-depth questions about the Principle, so we are better equipped to help defend & promote our field.
- There are a number of important subtleties that must be appreciated in order to have an understanding of Landauer's principle that allows one to answer questions about it properly:
 - Transformations of complex states – Focus of a paper at ICRC'16
 - Role of conditional reversibility – Focus of my RC'17 paper
 - **Treatment of stochastic operations** – Addressed in the current paper
 - I also first mentioned this issue many years ago, *e.g.*, at ISMVL'05
 - **Importance of correlations** – Addressed in the current paper
- Landauer's Principle follows as a rigorous theorem of fundamental physics, but *only* given a proper treatment of these issues.

Talk Outline

- Review of historical development of the concept of entropy
 - Shows how information theory emerged from, and is intimately connected with, statistical physics
- Review of some basic information theory concepts:
 - Entropy, known information, conditional entropy, mutual information
- Fundamental connections between computation and physics:
 - Bijective time evolution and the second law of thermodynamics
 - Relationship between computational and physical states
 - Types of computational operations, and thermodynamic implications
 - Many-to-one operations, and implications for entropy ejection
 - Stochastic (one-to-many) operations, and implications for entropy intake
 - Some physical examples
 - Essential role of mutual information in proving Landauer's Principle
- Review of empirical demonstrations of Landauer's Principle
 - Not needed if you know the physics, but helpful in countering skepticism
- Conclusion

A brief history of entropy... (1/5)

- Clausius (1862) identified a quantity $\Delta Q/T$ (with ΔQ = change in heat, T = temperature) that is always ≥ 0 when summed over all of the systems involved in any given thermodynamic process...
 - An early version of the Second Law of Thermodynamics
- In 1865 he proposed to call this quantity *entropy*, from Greek τροπή (tropé, transformation),
 - Connoting, that which gives an inherent (en-) direction to a physical transformation (tropé)...
 - He also introduced the use of the symbol S for it
 - Possibly to honor Sadi Carnot? (The inventor of the concept of a thermodynamically reversible heat engine)
 - **Note:** Entropy S has *physical* units of *heat/temperature*.
- Nowadays, we actually *define* temperature T in terms of the marginal change in the (maximum) entropy \hat{S} of the system as heat is added to it...



Rudolph Clausius
Discoverer of entropy

$$\frac{1}{T} = \frac{\partial \hat{S}}{\partial Q}$$

T = Thermodynamic temperature

\hat{S} = Maximum entropy (S at equilibrium)

Q = Quantity of heat

History of Entropy, cont. (2/5)

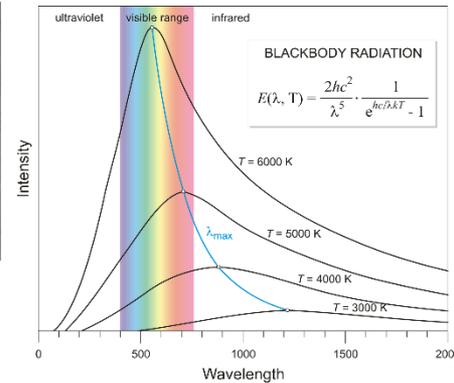
- Ludwig Boltzmann (1872) proved his *H-theorem* suggesting that entropy might have a *statistical* basis:
 - This paper was essentially an early exploration into what we now call *chaos theory*...
 - Boltzmann showed that statistical uncertainty about the states of common (classical) physical systems (e.g. gas molecules) tends to become amplified when those systems interact (e.g., collide)...
 - This paper defined an abstract quantity $H = \int f \log f$ that, in essence, quantified the *degree of certainty* of (or *amount of knowledge* implicit in) any (continuous) probability density function f .
 - **Note:** This paper deserves significant credit as the historical antecedent (70 years ahead!) of Shannon's entropy H , and the entire field of *information theory*!
 - Boltzmann showed, in his theorem, that H tends to decrease over time as gas molecules collide, and suggested that physical entropy S was related (negatively) to H ,
 - but he did not yet know how to derive an exact relation between these quantities...



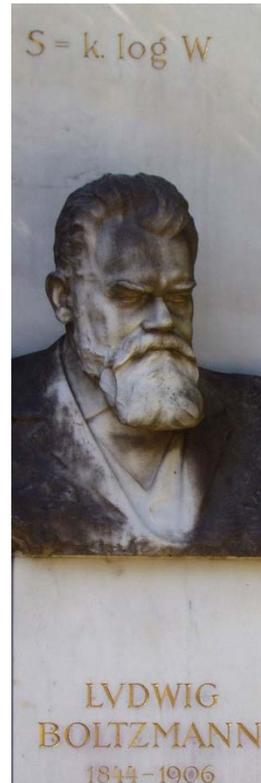
Ludwig Boltzmann
Sire of statistical mechanics,
“great-grandfather” of chaos
theory & information theory!

History of Entropy, cont. (3/5)

- Max Planck (1901) inferred, via his study of blackbody spectra, that physical states must be *quantized*,



- As opposed to the *continuous* state variables used in classical mechanical models...
- *I.e.*, you can *count* a (finite) number of distinct states!
 - This let Planck finally give Boltzmann's intuition (that entropy is a statistical quantity) a precise quantitative foundation.
- Planck was first to calculate the magnitude, in physical units, of a natural logarithmic quantum of entropy k :
 - $[\log e] = k = k_B \cong 1.38 \times 10^{-23} \text{ J/K}$
 - Called "Boltzmann's constant" to honor Boltzmann's earlier role
- Defining k physically lets us write $\hat{S} = \log W = k \ln W$.
 - Rendered as $S = k \log W$ on Boltzmann's tombstone... →
 - The separate quantity H was, at this point, no longer needed...



History of entropy, cont. (4/5)

- John von Neumann developed not only the ENIAC's "von Neumann" architecture, but also (among many other things) the mathematical formulation of quantum mechanics...
 - Unifying the Schrödinger and Heisenberg formalisms
- In a 1927 paper, he showed how to translate the Boltzmann-Planck entropy concept (for the general case of nonuniform probabilities) to the language of quantum states: $S = -k \text{Tr} (\rho \ln \rho)$.
 - ρ = density matrix; Tr = matrix trace operator
- This is (exactly) just $S = -k \sum p \ln p$, where the p are the probabilities of the pure quantum states that the ρ matrix represents a statistical mix of.
 - If you already know about Shannon entropy, this formula should be starting to look awfully familiar...



John von Neumann

Formulated the modern
concept of entropy

History of entropy, cont. (5/5)

- Shannon (1948) is usually credited with “inventing the information-theoretic concept of entropy,”

$$H = - \sum p \log_2 p \text{ bits,}$$

- However, in that formula, Shannon was really just *reformulating and reapplying* already-existing concepts that were already very well-established in physics:

- **Note:** Shannon explicitly *cites* Boltzmann’s contribution!

- The symbol H , and the use of the expected log-probability quantity come straight out of Boltzmann’s 1872 H-theorem!

- The sign of H here is just changed to match that of S

- Also, the transition from Boltzmann’s continuous \int to the discrete \sum case had already been completed over the period 1901-1927 (21 years prior!) by Planck and von Neumann.

- Further, the change of the entropy unit from k to **bit** only reflects a shift in the conventional choice of the logarithmic unit from $\log e$ to $\log 2$, nothing more.

- So really, the only true innovation in Shannon’s entropy concept was:

- The states that Shannon was explicitly concerned with in his work were not microscopic *physical* states, but macroscopic *digital* or symbolic states.

- Yet, Shannon’s entropy connects fundamentally to physical entropy, as we’ll see...



Claude Shannon
Applied entropy in
communication theory

Entropy in a Nutshell

Basic review + coining
some useful terminology

- Define the “surprisingness” or *surprise* $s(x)$ of any event x that has a **1 in m** chance of occurring as $s = s(x) = s(m) = \log m$.
 - Call the $m \geq 1$ “improbability;” it can be a non-integer.
 - s is logarithmic b/c the improbabilities of independent surprises multiply.
 - Indefinite* logarithm; dimensioned in *arbitrary* logarithmic units.
 - Some example units: $\log 2 = 1$ bit; $\log e = 1$ nat = k_B ; $\log 10 = 1$ bel.
- In terms of event’s *probability* $p = p(x) = p(m) = 1/m$,

$$s(p) = \log \frac{1}{p} = -\log p.$$

- Define event’s psychological “*heaviness*” $h = h(x) = h(p)$ as its surprise, weighted by its probability:

$$h(p) = s/m = p \cdot s = p \log m = -p \log p.$$

- Then for any probability distribution $p(x)$ over any mutually exclusive and exhaustive set of events $\mathbf{X} = \{x_1, \dots, x_n\}$, we have that the **expected surprise** $S(X) = E_p[s(x)]$ and the **total heaviness** $H(X) = \sum_{x \in X} h(x)$ associated with that particular set of possible events are the same, and are given by:

$$S(X) = \sum_{x \in X} p(x) \cdot s(x) = H(X) = - \sum_{x \in X} p(x) \cdot \log p(x).$$

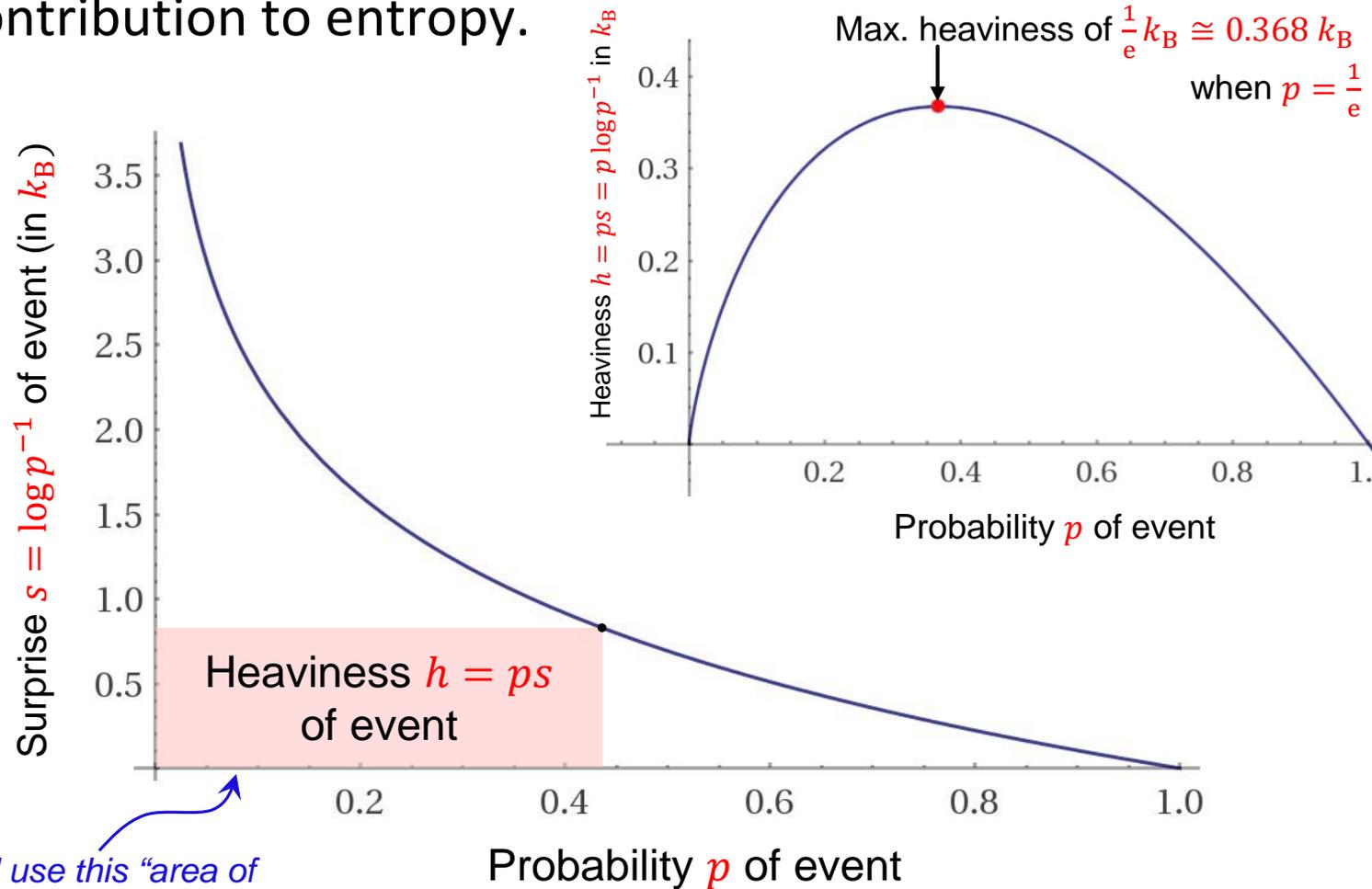
- We call this quantity $H = S$ the *entropy* of the given epistemic situation.
 - By convention, we’ll prefer H for “computational” entropy, S for “physical” entropy.



Improbability:
 $m = 6 \times 6 = 36$
Surprise:
 $s = 2(\log 6)$
Heaviness:
 $h = \frac{s}{m} = \frac{2}{36} \log 6$

Surprise and Heaviness Functions

- For an individual state's contribution to entropy.



(We'll use this "area of rectangle" picture later)

Known Information & Information Capacity

- Given a discrete variable V with a state set \mathbf{V} , and a probability distribution $P(V)$,
 - The *amount of known information* $K(V)$ about V is given by the maximum entropy \hat{H} minus the entropy H :

$$\begin{aligned}K(V) &= \hat{H}(V) - H(V) \\ &= \log |\mathbf{V}| - H(V)\end{aligned}$$

- The *information capacity* $\mathbf{I}(V)$ of V is the maximum known information or entropy, and is also the sum of known information and entropy.

$$\begin{aligned}\mathbf{I}(V) &= \hat{K}(V) = \hat{H}(V) = \log |\mathbf{V}| \\ &= K(V) + H(V)\end{aligned}$$

Conditional Entropy & Mutual Information

- Given a discrete variable V with a state set \mathbf{V} expressible as a cartesian product $\mathbf{X} \times \mathbf{Y}$ of two state sets \mathbf{X}, \mathbf{Y} for variables X, Y , and a joint probability distribution $P(X, Y)$,
 - The *conditional entropy* $H(X | Y) = H(X, Y) - H(Y)$.
 - Expected value of $H(X)$ that would result from learning the value of Y .
 - The *mutual information* is a symmetric function given by:

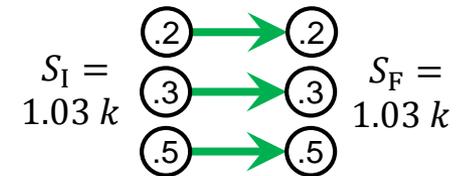
$$\begin{aligned} I(X; Y) &= I(Y; X) = K(X, Y) - K(X) - K(Y) \\ &= H(X) + H(Y) - H(X, Y) \\ &= H(X) - H(X | Y) \\ &= H(Y) - H(Y | X). \end{aligned}$$

- The amount of shared/redundant information between X and Y .
 - The degree of information-theoretic *correlation* between the variables.

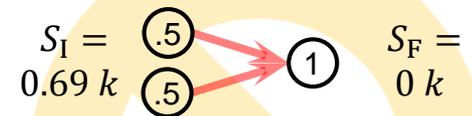
Entropy and Time Evolution

- Microscopic dynamics is one-to-one (injective).
 - A consequence of unitary quantum time evolution.
 - If we could track fully-detailed physical time evolution perfectly, we would see no entropy increase!
 - Probability distribution unchanged, just on new states
- In fact, this *reversibility* of microphysics underlies the Second Law of Thermodynamics.
 - If physics was not injective, entropy could decrease!
- But, entropy can be seen to *increase*, from our subjective perspective as modelers if we have any uncertainty about the microscopic dynamics, or cannot keep track of it in detail...
 - Thus, entropy increase only exists as a subjective epistemological phenomenon...
 - It is always fundamentally just a reflection of our degree of *ignorance & incompetence* in modeling the world...

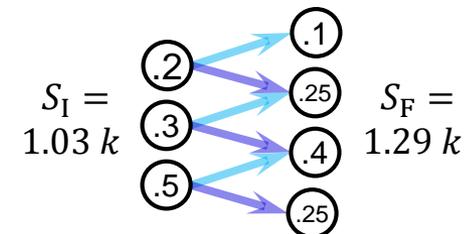
$$S[p] = E_p[\log p^{-1}]$$



Bijjective microphysics →
No “true” entropy change



Irreversible microphysics
→ Entropy would decrease
(Second Law of Thermo.
would be violated)



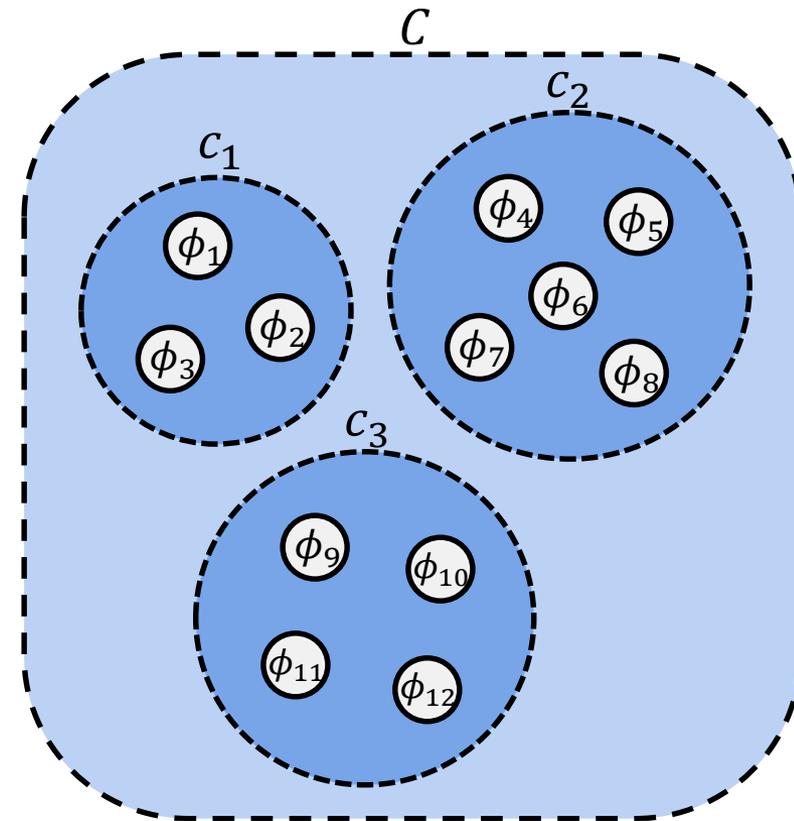
True dynamics uncertain
(or not tracked in detail)
→ Entropy increases

From Physics to Computation

- Thermodynamics and quantum mechanics show that any bounded physical system admits only a finite set $\Phi = \{\phi_1, \dots, \phi_n\}$ of measurably distinguishable detailed physical states (*microstates*).
 - E.g.*, Φ could be any orthogonal set of basis vectors for the system's Hilbert space.
- We can *group* these microstates, that is, partition them into subsets c_j of microstates that we consider as *equivalent* to each other for some designated purpose...
 - e.g.*, for purposes of representing some specific *computational* information
- Any probability distribution $p(\phi_i)$ over the physical state space Φ induces a probability distribution P over the computational state space (subsystem) $C = \{c_j\}$ as well...

$$P(c_j) = \sum_{\phi_i \in c_j} p(\phi_i).$$

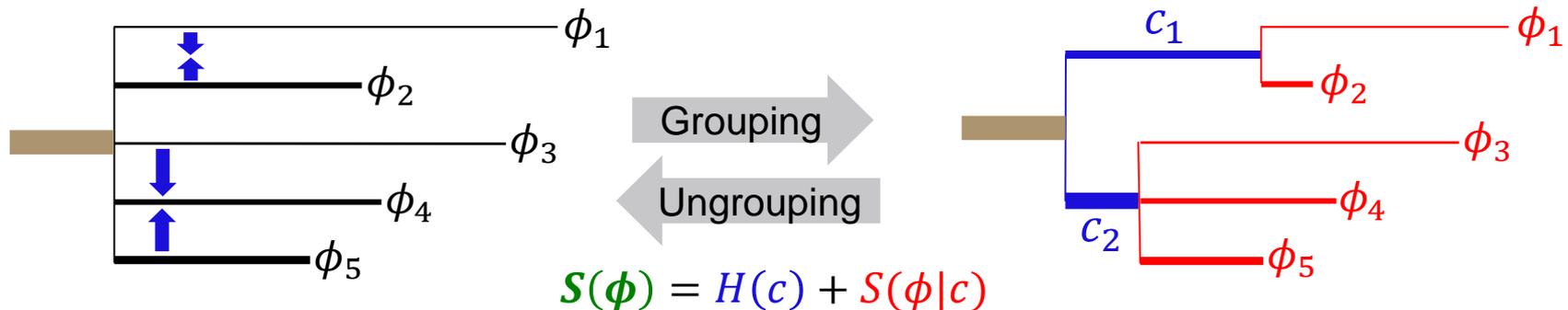
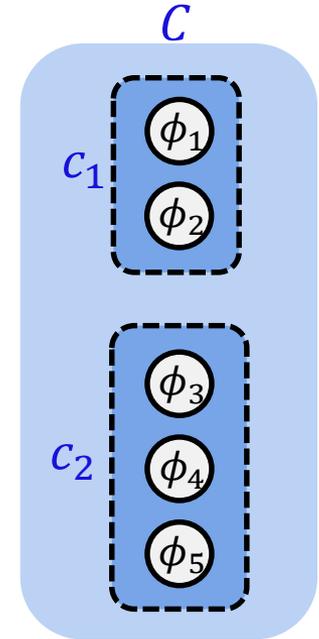
- This implies a *computational entropy* $H(C)$.



Example of a computational state space C consisting of 3 distinct computational states c_1, c_2, c_3 , each defined as a set of equivalent physical states.

Visualizing Entropy of Grouped States

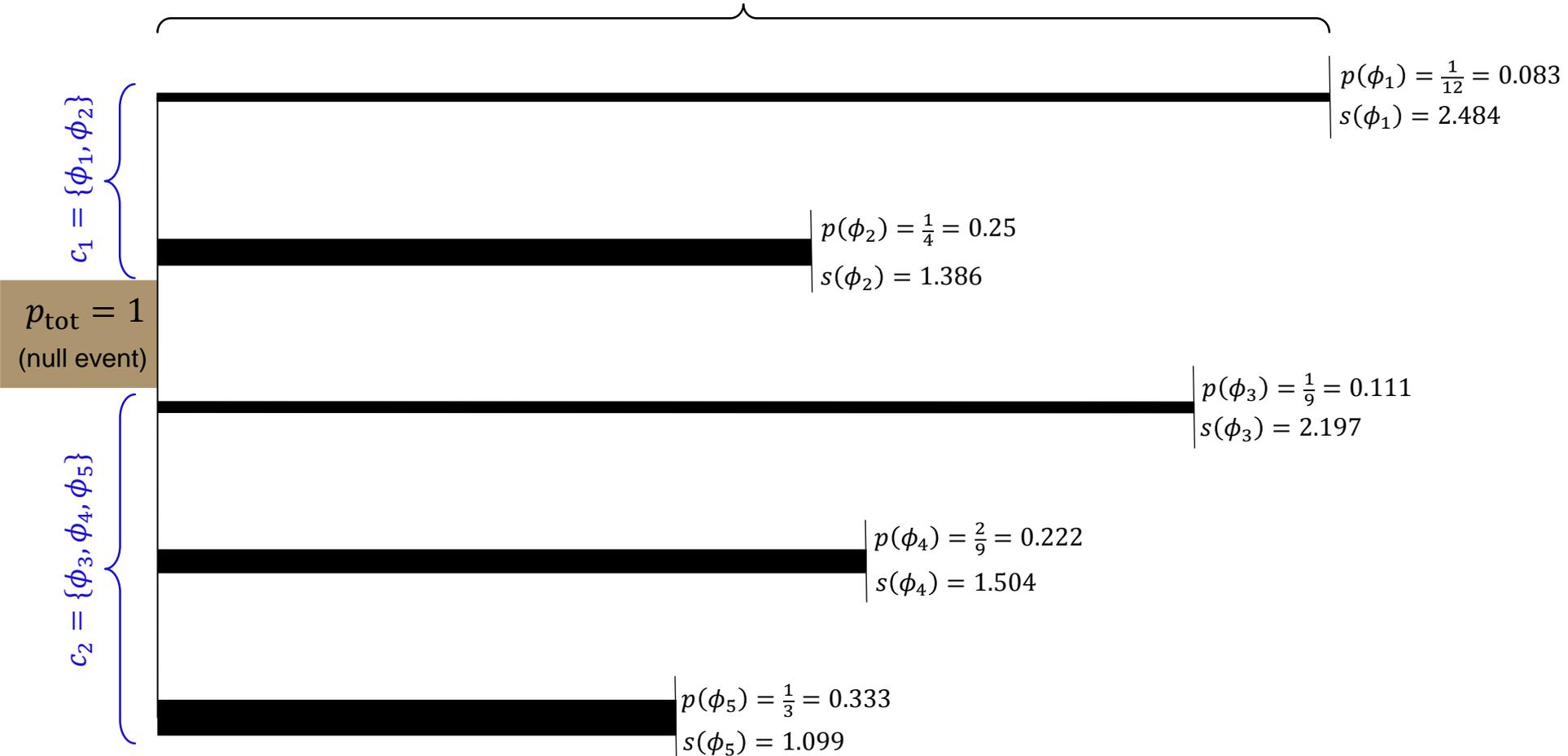
- Can represent a hierarchy of events in a tree structure...
 - Branch **thickness** = event probability p .
 - Branch **length** = *incremental surprise* Δs associated w. event,
 - relative to whatever base event it's branching off from.
 - Branch **area** = event's *incremental heaviness* $\Delta h = p\Delta s$, i.e.,
 - its contribution to total entropy, in addition to its base event's.
- Grouping** events into larger events has these effects:
 - Thicknesses (probs.) of branches combine in parent branch
 - A corresponding part of the total length (surprise) of each branch is reassociated to parent (stem) branch.
 - Note: The total heaviness H of all branches and stems (total entropy S) is not changed at all by any grouping/ungrouping!!



Total system entropy = computational entropy + non-computational entropy

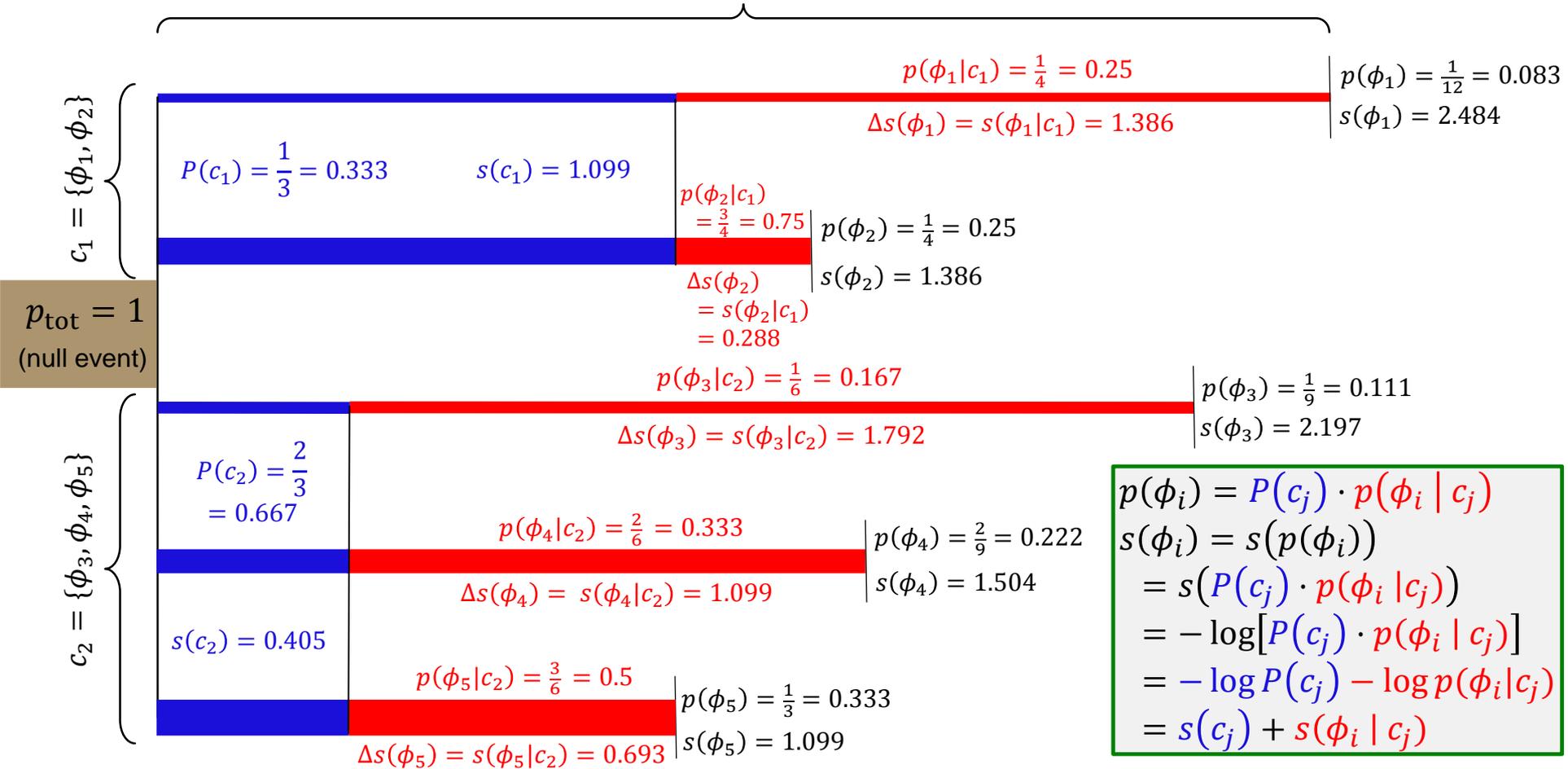
Grouping of States (slide 1 of 3)

$$S(\phi) = E[s(\phi)] = 1.498$$



Grouping of States (slide 2 of 3)

$$S(\phi) = E[s(\phi)] = 1.498$$

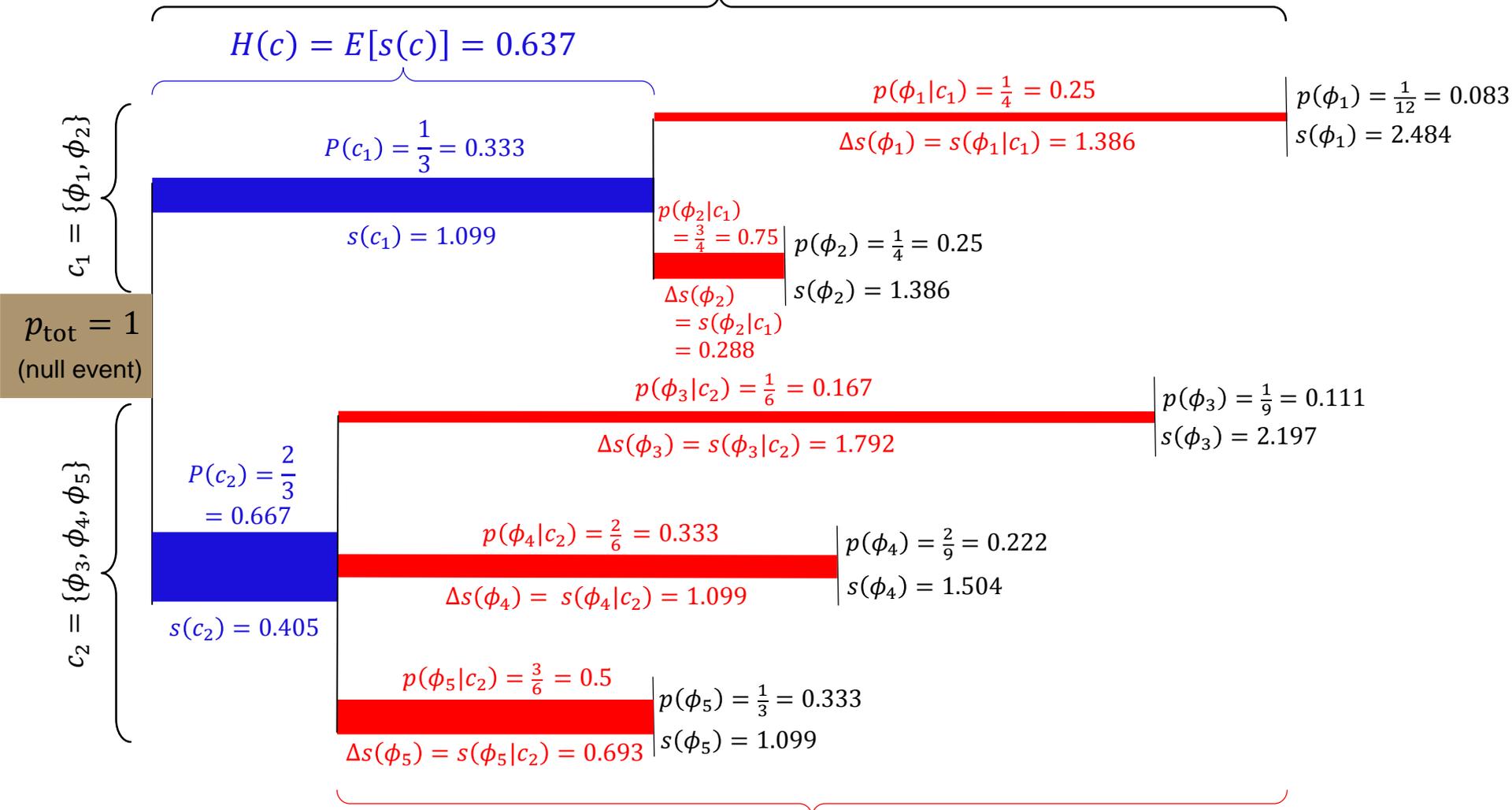


$$S(\phi) = H(c) + S(\phi|c)$$

$$S(\phi|c) = E[s(\phi|c)] = 0.862$$

Grouping of States (slide 3 of 3)

$$S(\phi) = E[s(\phi)] = 1.498$$



$$S(\phi) = H(c) + S(\phi|c)$$

$$S(\phi|c) = E[s(\phi|c)] = 0.862$$

Total system entropy = computational entropy + non-computational entropy

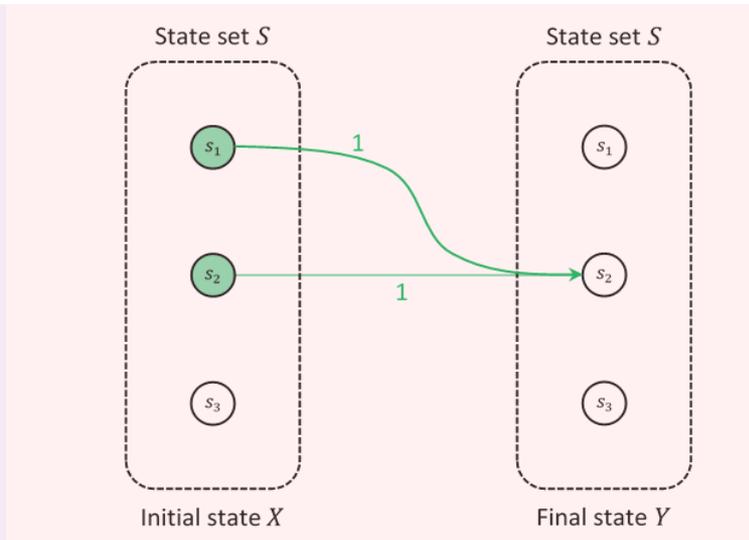
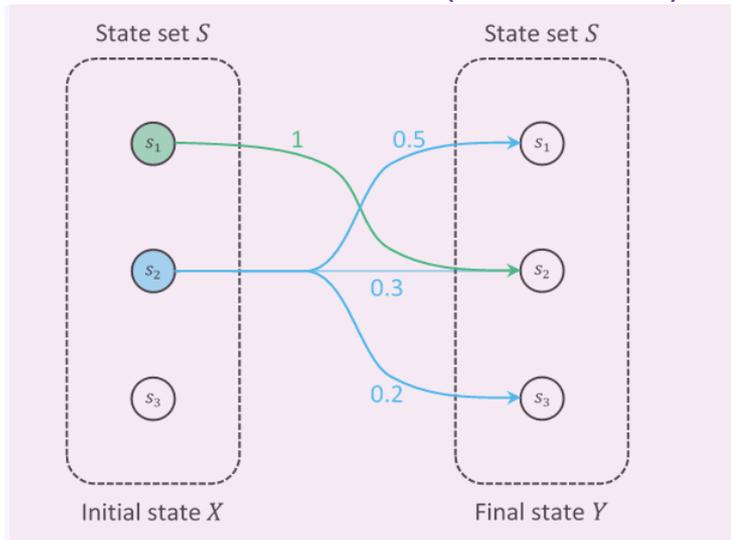
Types of Computational Operations

Define operations as (possibly partial) probabilistic transition relations

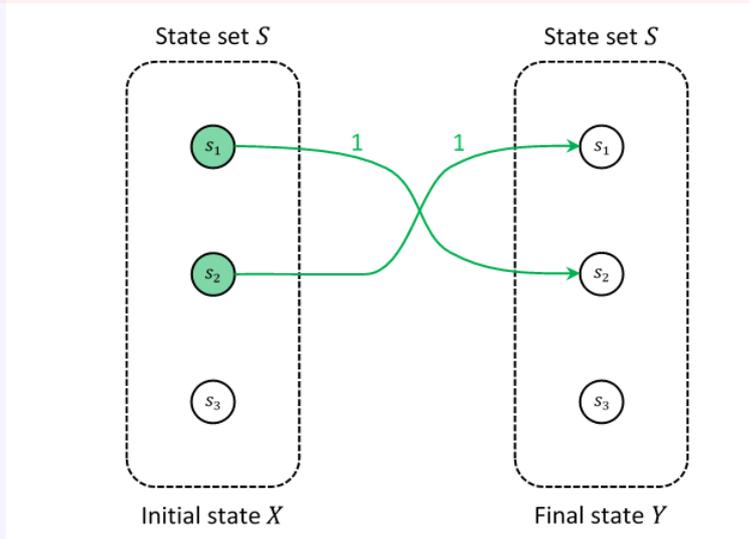
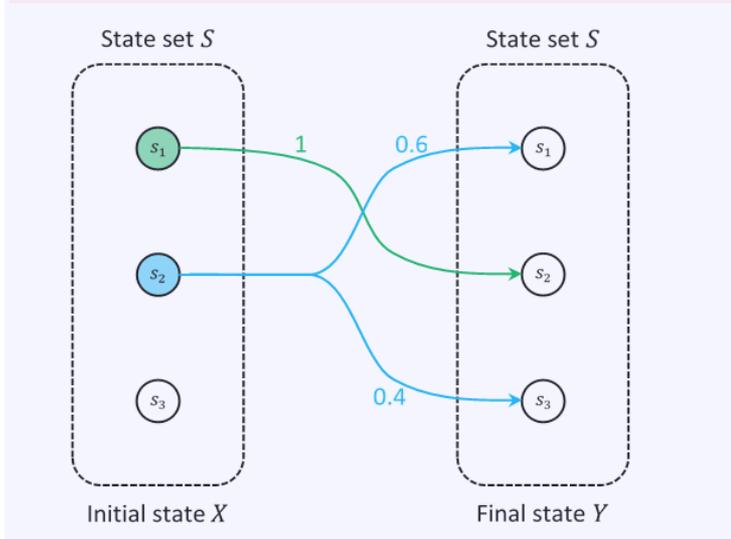
Nondeterministic (stochastic)

Deterministic

Irreversible (many-to-one)



(Unconditionally)
Reversible (injective)



Entropy Ejection in Many-to-One Operations

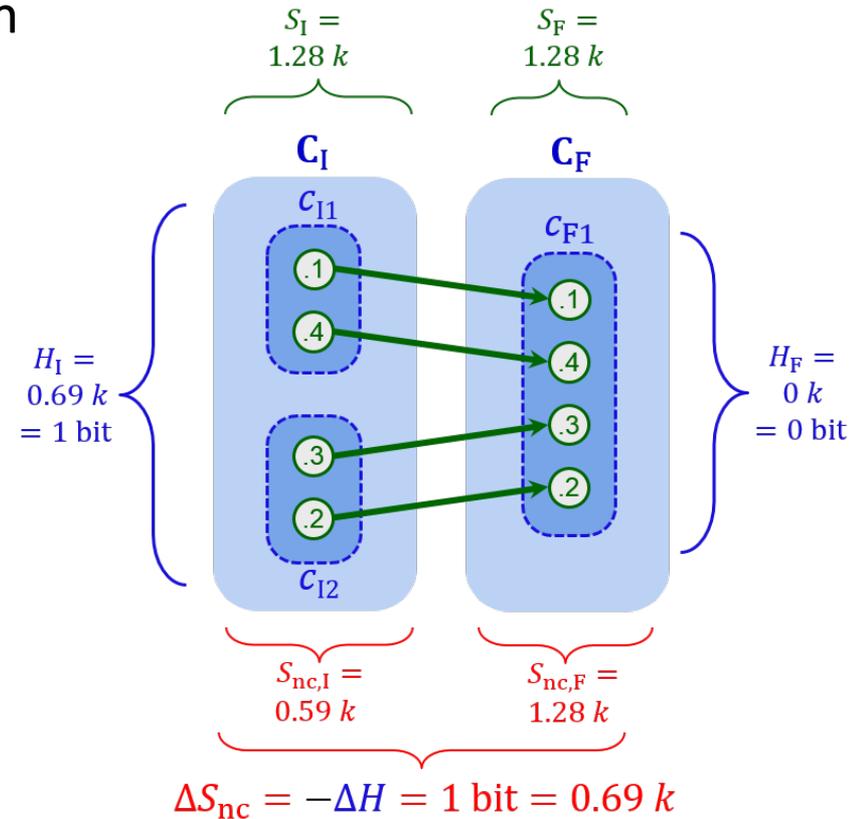
- Again, a *computational state* c_j is just an equivalence class of physical states ϕ_i

 - On the left we see two computational states c_0, c_1 , each with probability 0.5
- The computational subsystem has an induced information entropy $H(c)$.

 - Here, it is $H(c) = \log 2 = 1 \text{ bit} = k \ln 2$.
- The *non-computational* subsystem (everything else) has expected entropy

$$S_{nc} = S(\phi|c) = S(\phi) - H(c) = S - H$$
 - The conditional entropy of the physical state ϕ , given the computational state c .
- Thus, if the computational entropy decreases (note here $\Delta H = -1 \text{ bit}$),

 - The *non-computational* entropy must increase by $\Delta S_{nc} = -\Delta H$ (here, $k \ln 2$).
- Thus, ejecting computational entropy $H = 1 \text{ bit}$ implies we must add heat $\Delta Q = kT \ln 2$ to an environment at some temperature T .

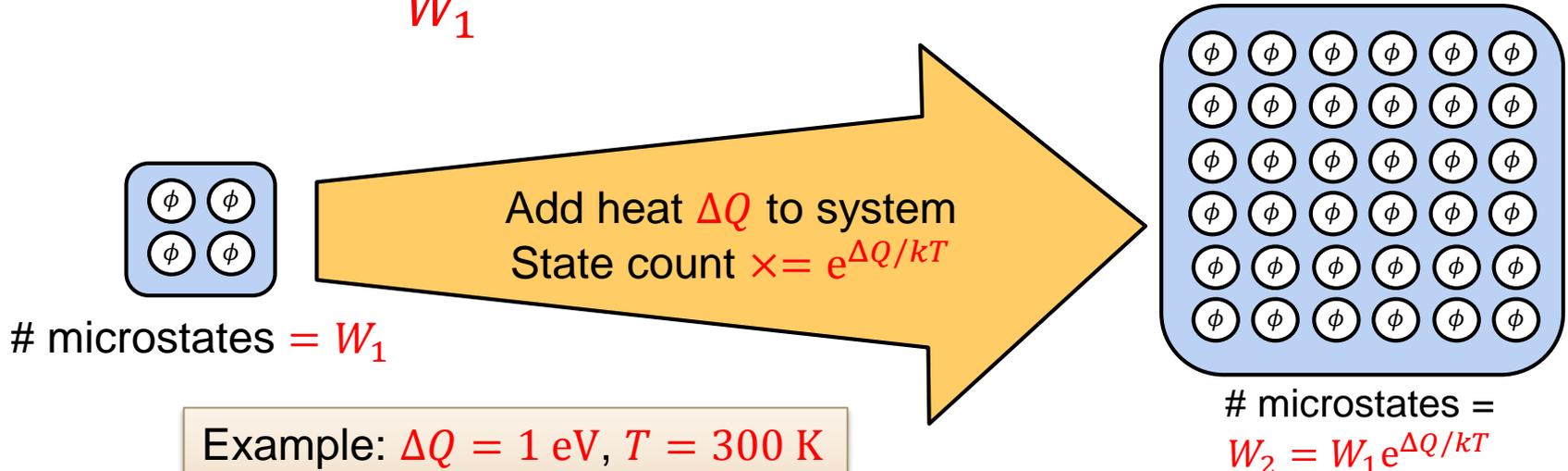


Heat Increase inflates State Count

- The Boltzmann relation $\hat{S} = k \ln W$, together with the definition of temperature $1/T = \partial \hat{S} / \partial Q$, immediately implies that whenever a quantity of heat ΔQ gets added to a thermal system, its total number of accessible microstates gets multiplied by a factor $\blacksquare W$ that is given by $e^{\Delta Q/kT}$:

$$\hat{S} = k \ln W \Rightarrow W = e^{\hat{S}/k}$$

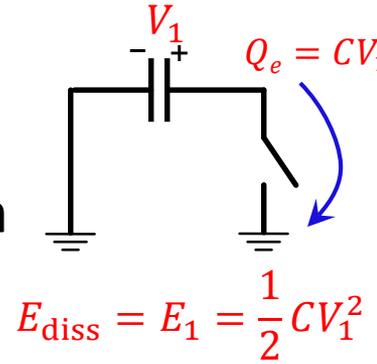
$$\blacksquare W = \frac{W_2}{W_1} = e^{(\hat{S}_2 - \hat{S}_1)/k} = e^{\Delta \hat{S}/k} = e^{\Delta Q/kT}$$



Example: $\Delta Q = 1 \text{ eV}$, $T = 300 \text{ K}$
implies $\blacksquare W \cong 6.3 \times 10^{16}$

Energy Dissipation

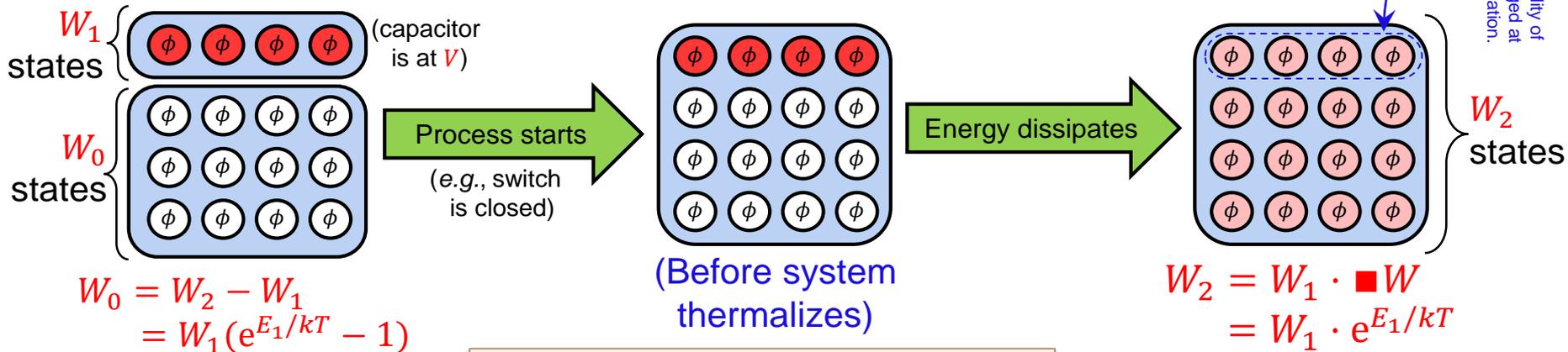
- For *any* means of dissipating some energy E_1 (e.g., by discharging a capacitor), the dissipated energy $E_{\text{diss}} = E_1$ ends up as increased heat $\Delta Q = E_{\text{diss}}$ in a thermal environment at some temperature T ...



- Thus, any means of dissipating energy E_1 results in the same state count multiplier $\blacksquare W = e^{E_{\text{diss}}/kT} = e^{E_1/kT}$...

- Thus, we can represent any energy dissipation process as a merging of computational state sets, as follows:

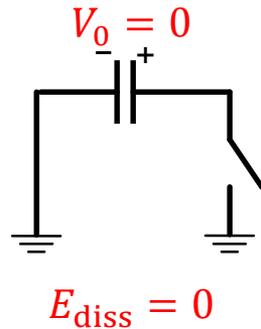
- Here, red shading indicates concentration of probability mass...



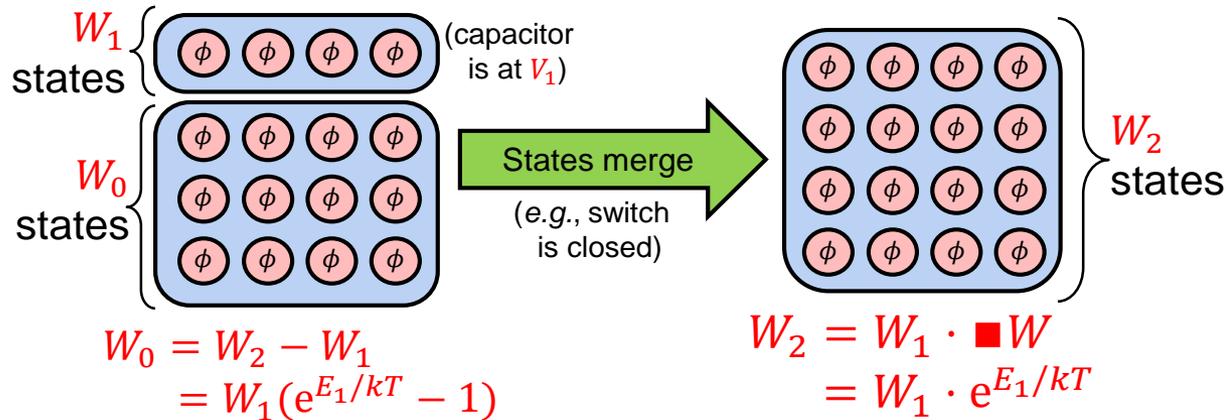
Note there is still a nonzero probability of still finding the capacitor to be charged at V , corresponding to a thermal fluctuation.

Entropy increase of $\Delta S = E_1/T$

Asymptotically conditionally reversible many-to-one operations



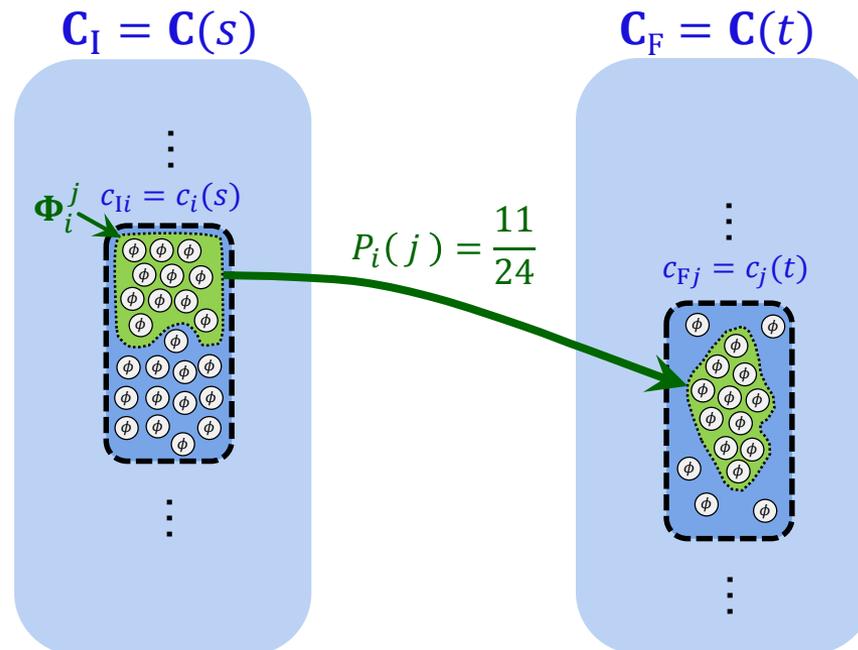
- In my RC'17 paper, I discussed how entropy ejected to the environment approaches **0** if the probability of all but one of a set of computational states being merged together approaches **0**.
 - Corresponds to the case in this circuit example where the capacitor was initially at logic zero (subject to uncertainty due to thermal fluctuations).



- Here, the initial *computational* entropy is extremely tiny...
 - Prob. of being in logic 1 state initially is only $e^{-E_1/kT}$, e.g., 3.3×10^{-11} if $E_1 = 0.1$ aJ).
 - Entropy of initial computational state comes out to only $8.2 \times 10^{-10}k$.
 - Thus, only that tiny amount of entropy gets ejected to non-computational form in this case.

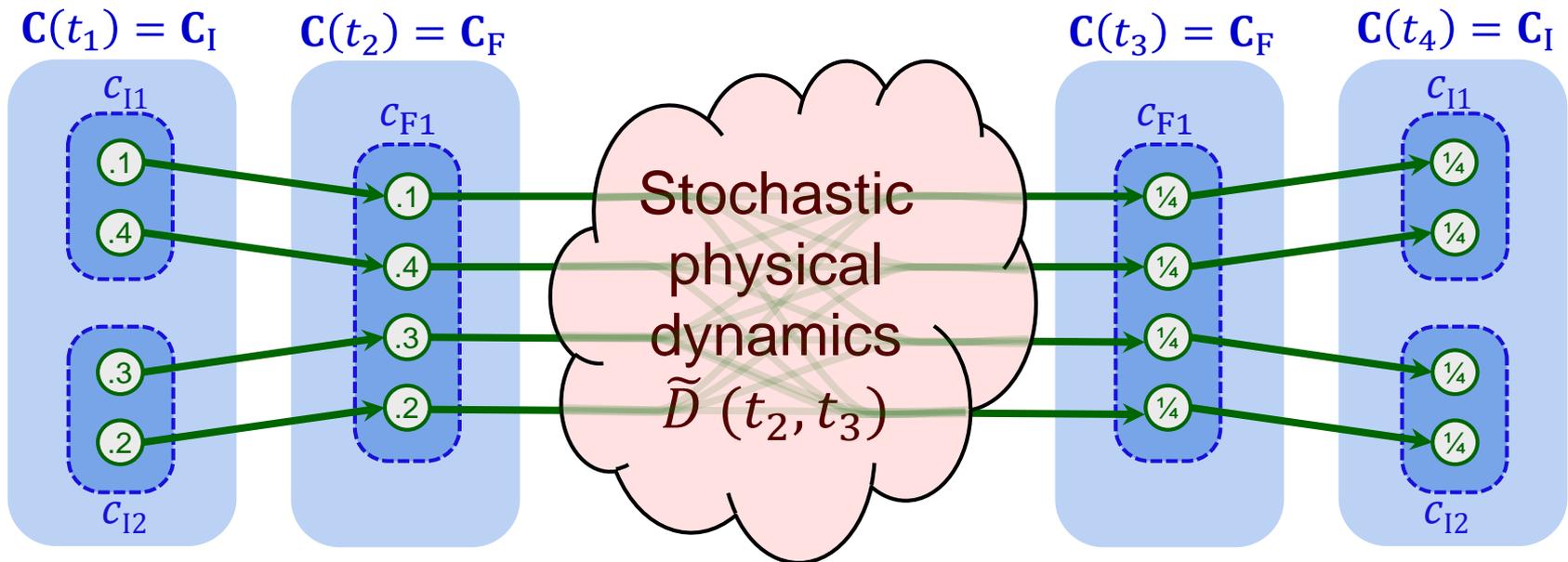
Stochastic computational operations

- These can occur in bijective dynamics if different subsets of the set of physical microstates making up the initial computational state transition to different new computational states...
 - In this example, initial computational state c_{Ii} at time s has probability $P_i(j) = 11/24$ of transitioning to final computational state c_{Fj}
 - because 11 out of the 24 (equally-likely) microstates transition into there



Reversing Entropy Ejection (1/2)

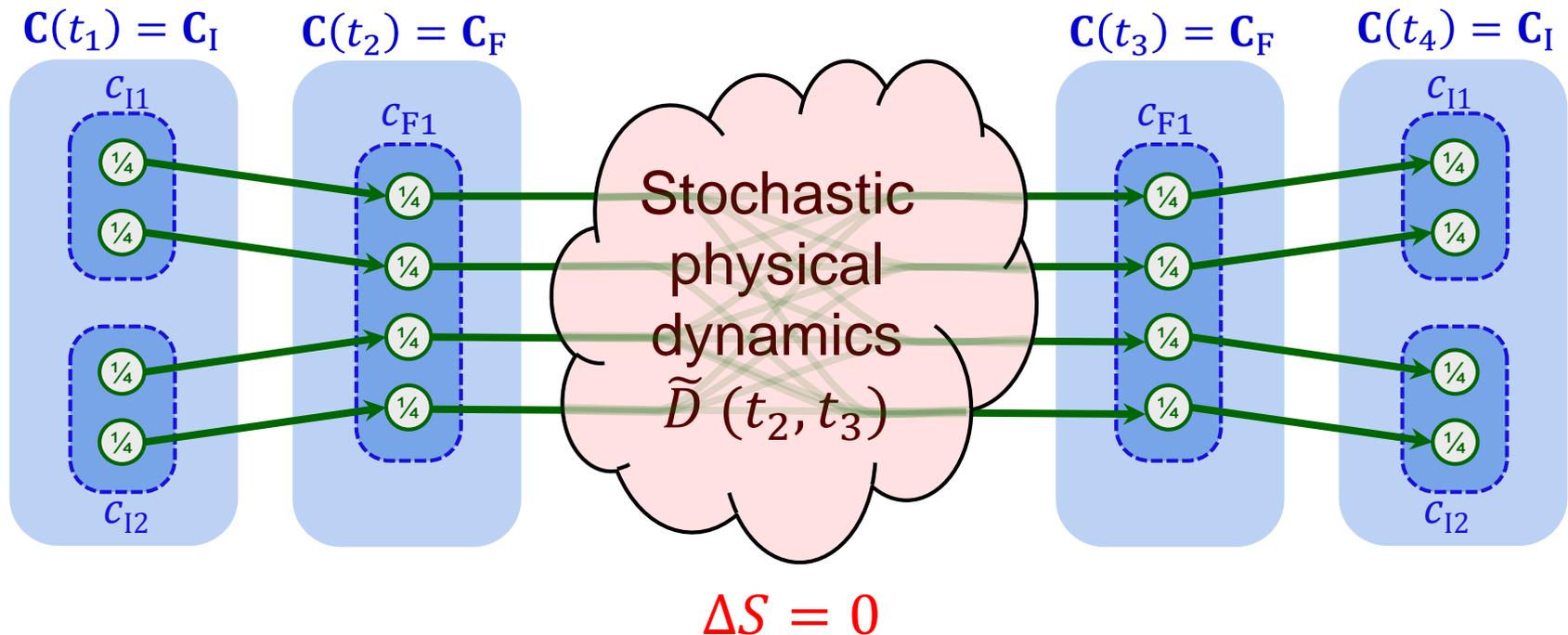
- The ejection of entropy can be reversible!
 - Here, we do a many-to-one operation followed by a stochastic operation to restore the computational entropy back to 1 bit
 - However, in this example, non-computational entropy increases by ~ 0.15 bits (some information about the initial physical state has been lost)



$$\Delta S = 0.106 k = 0.153 \text{ bit}$$

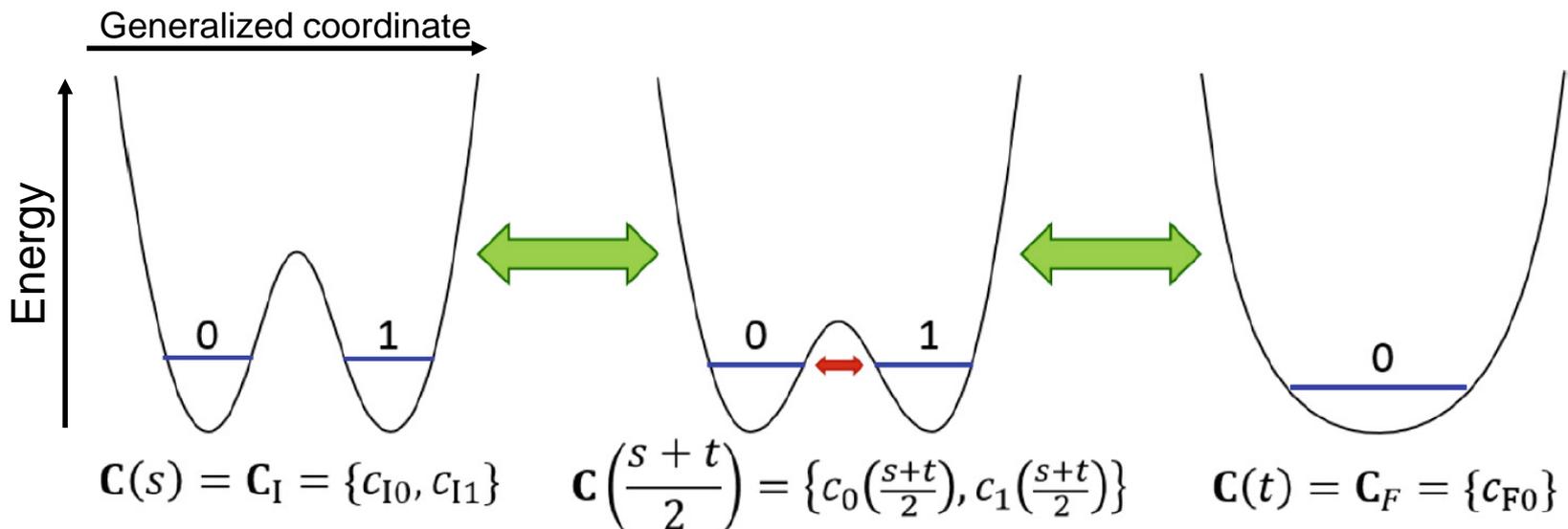
Reversing Entropy Ejection (2/2)

- The ejection of entropy can be reversible!
 - Here, we do a many-to-one operation followed by a stochastic operation to return the computational entropy to 1 bit
 - In **this** example, the initial non-computational entropy was already maximal, so there is no entropy increase!



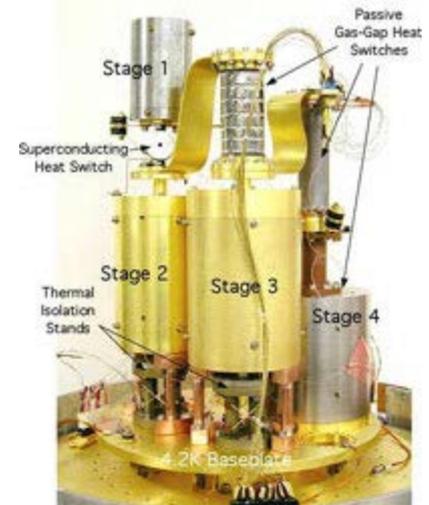
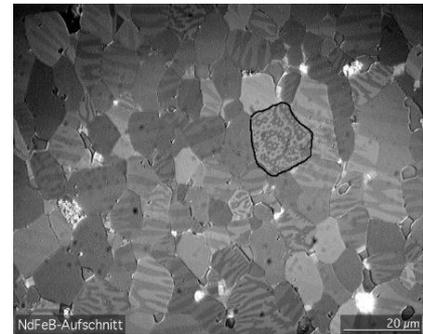
Bistable potential well implementation

- A simple class of physical implementations of the entropy ejection and intake process on the previous slide
 - Use two degenerate states separated by a potential barrier
 - *E.g.*, in quantum dots, superconducting circuits, many other systems
 - Lowering the barrier partially will allow states to equilibrate
 - Lowering the barrier fully will completely merge the states
 - Going left and then right re-randomizes the digital state
 - If done adiabatically, there is no increase in entropy in this process

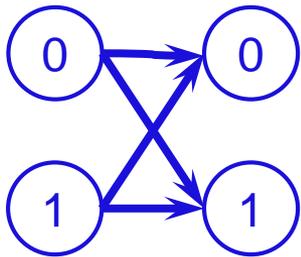
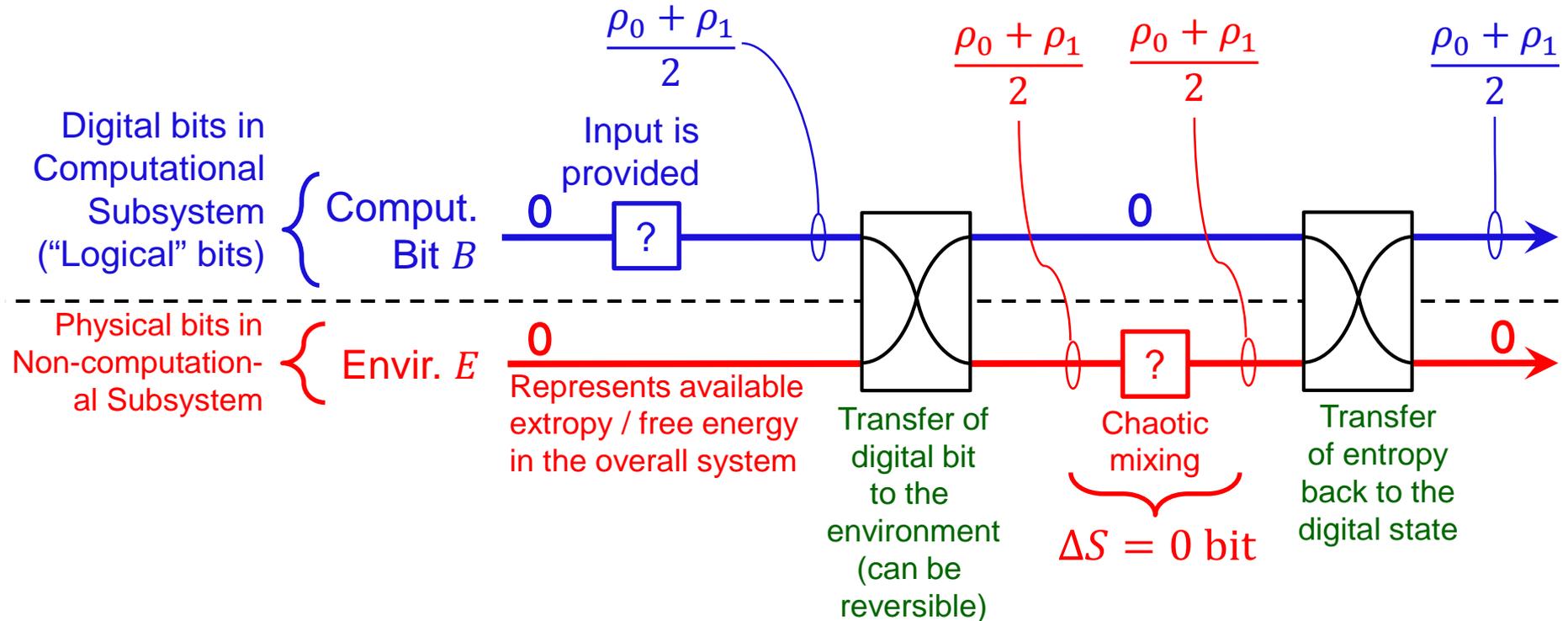


Adiabatic demagnetization / paramagnetic refrigeration

- A physical phenomenon that has been well studied for a very long time, and that nicely illustrates the reversibility of entropy ejection
 - Utilized in practice in cryogenic applications!
- The randomly-oriented magnetic domains in a sample of paramagnetic material can be considered to contain entropy in a “frozen,” “digital,” “computational” form...
 - When you apply a magnetic field and align the domains, this ejects the entropy from the domains and heats their surrounding environment...
 - But if you *remove* the magnetic field adiabatically, and allow the domains to re-randomize themselves, this *takes in* entropy from the thermal environment, locking it into this “digital” form, and *cools* the thermal environment!



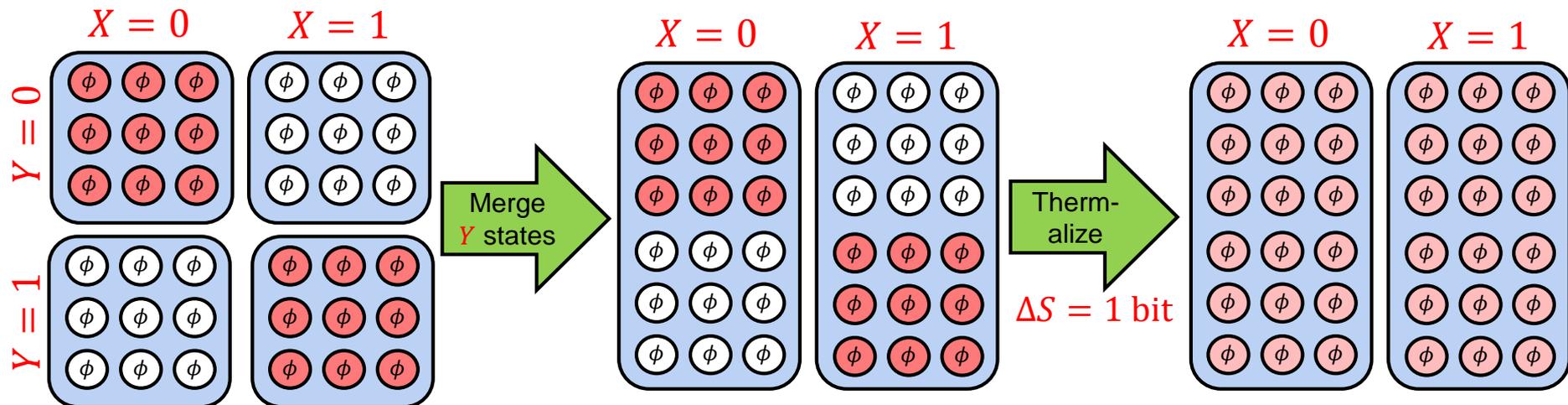
Thermodynamically Reversible Erasure of an Uncorrelated Bit



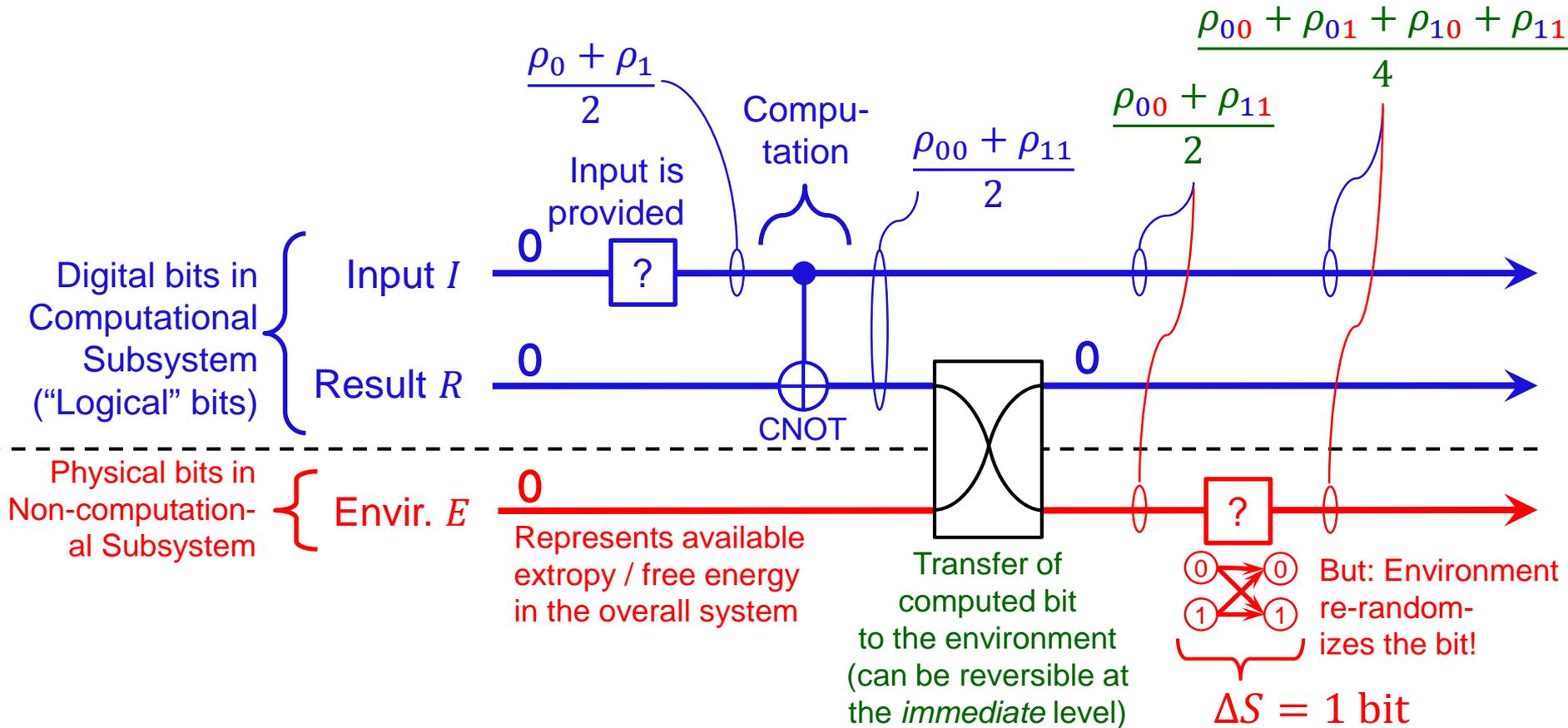
- Overall map including mixing is non-injective
- No autocorrelation between initial & final state
- Not “logically reversible” in traditional sense

Role of Correlations

- In light of the foregoing points, this is essential for understanding the true reason for the entropy increase in Landauer's principle!
 - Suppose we have two one-bit computational state variables, X and Y , and suppose that initially X is *random*, but we know that $Y = X$.
 - *E.g.*, this would be the case if Y was computed earlier using $Y := X$.
 - Thus, the joint system XY contains 1 bit of entropy, but also 1 bit of *known information* that is shared between X and Y (*i.e.*, mutual information).
 - If Y is then erased, this *known* computational information is ejected to become (briefly) known *non-computational* information, which then rapidly becomes thermalized, (permanently) increasing entropy by 1 bit's worth ($k \ln 2$).
 - This is why erasing *computed* bits (in particular) is *not* thermodynamically reversible!

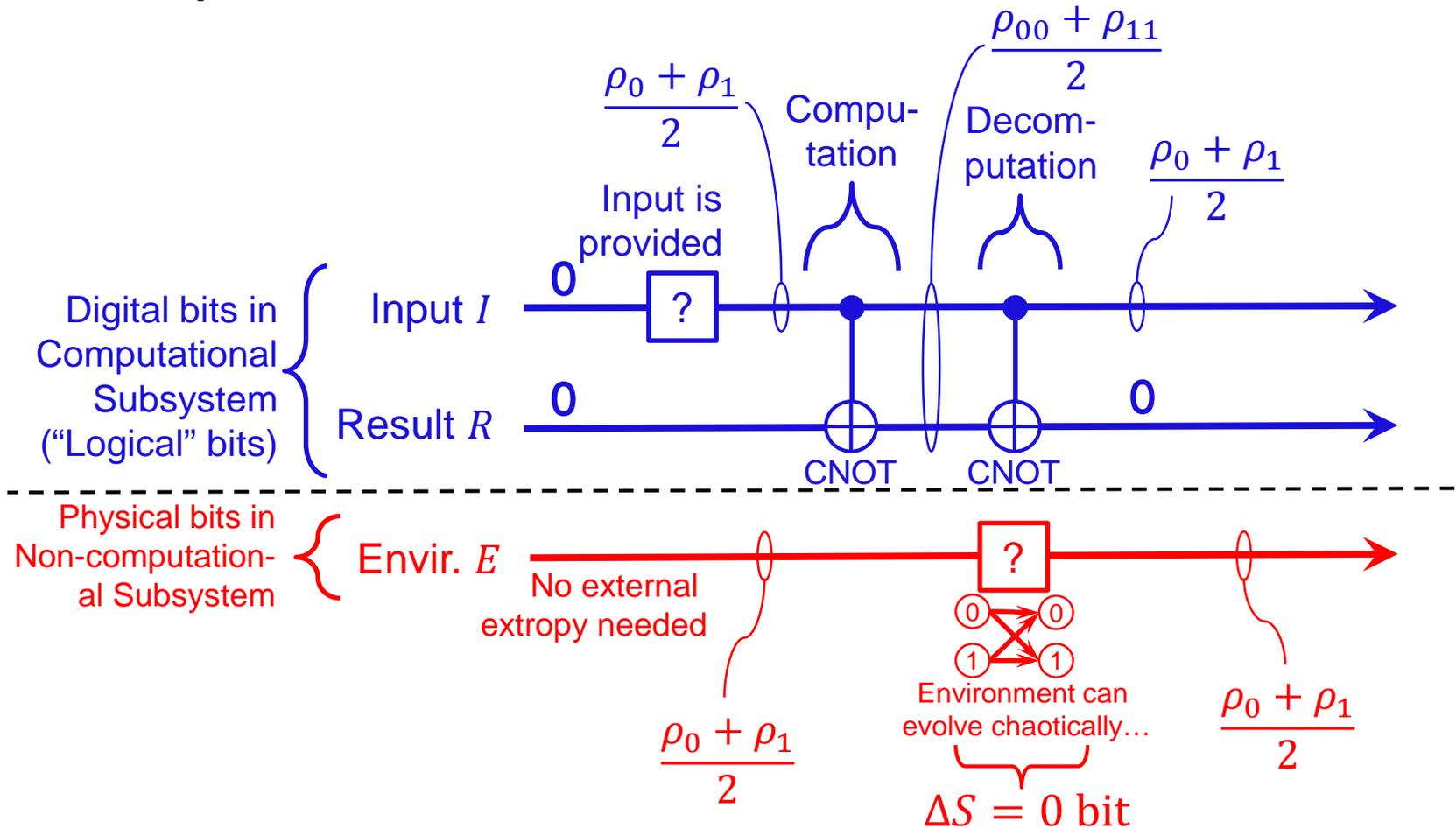


Logically Irreversible, Oblivious Erasure of a Correlated Bit



Moving a computed, correlated bit to an (unpredictable!) thermal environment necessarily, inevitably loses its correlations, and thus increases entropy!

Logically Reversible, Non-oblivious Decomputation of a Correlated Bit



Decomputing correlated bits, instead of ejecting them to the thermal environment, avoids losing correlations & increasing entropy!

This is why reversible computing (and **only** it!) can avoid Landauer's limit...

Several recent empirical validations of Landauer's Principle

Redundant with the already very well-established, century-old basic facts of statistical physics, but hey, the doubters and skeptics are very stubborn people!

- Bérut *et al.*, 2012 (*Nature*)
 - Colloidal particle in a modulated double-well potential
 - Heat dissipation in bit erasure approached Landauer $kT \ln 2$ limit
- Orlov *et al.*, 2012 (*Japanese Journal of Applied Physics*)
 - Adiabatic charge transfer across a resistor
 - Verified that adiabatic transfers can dissipate $< kT \ln 2$
- Jun *et al.*, 2014 (*Physical Review Letters*)
 - Higher-precision version of Bérut experiment
 - Validated the limit, and that reversible transformations avoid it
- Yan *et al.*, 2018 (*Physical Review Letters*)
 - Quantum-mechanical experiment
 - Validated Landauer's Principle holds at single-atom level

Conclusion

- Landauer's principle really does follow directly as a simple and rigorous logical consequence of extremely fundamental insights of statistical physics that have been known for at least a century now...
 - The thermodynamic definitions of entropy and temperature
 - The reversibility of microphysics / second law of thermodynamics
 - Boltzmann & Planck's statistical understanding of physical entropy...
 - Von Neumann and Shannon only reformulated/reapplied it for specific domains!
 - Nothing fundamental about the Boltzmann/Planck definition was changed!
 - Nothing else is needed for the argument, except simple mathematics...
 - No other empirical inputs are even required to prove it!
 - We don't even need to make any equilibrium assumptions!
- However, to appreciate a number of subtleties of the proof is necessary if one wishes to help educate the skeptics... In particular:
 - The phenomenon of entropy intake in stochastic operations
 - The necessity of accounting for correlations
- In my opinion, the major barriers for our field are still *educational*:
 - Clarify these basic concepts → Engineering development will follow...