

# Nonintegrability and the Breakdown of Hamilton's Principle

Ervin Goldfain

Global Institute for Research, Education and Scholarship (GIRES), USA

E-mail [ervingoldfain@gmail.com](mailto:ervingoldfain@gmail.com)

## Abstract

As a long-cherished postulate of theoretical physics, *Hamilton's principle* (HP) defines the basis of classical mechanics and field theory. We argue here that HP is overturned in physical settings where sensitivity to initial conditions cannot be ignored. We find that the approach to chaos of nearly integrable Hamiltonian systems sheds new light on several foundational aspects of effective field theory.

**Key words:** Hamilton's principle, decoherence, Hamiltonian chaos, KAM theorem, multifractals, action quantization, effective field theory.

## 1. Introduction

As is known, integrable systems form the backbone of classical and quantum field theory. A Hamiltonian (conservative) system with  $N$  degrees of

freedom is integrable if it has  $N$  independent commuting invariants of motion. An important attribute of this class of systems is that interactions can be eliminated by appropriate canonical transformations. Integrability implies the existence of periodic or quasi-periodic tori in phase-space, a property that can be extended to dissipative systems [1-3, 12].

Nature shows, however, that most interacting Hamiltonian systems are *nonintegrable* and their long-term evolution chaotic. The primary mechanism explaining the onset of Hamiltonian chaos is the Kolmogorov-Arnold-Moser (KAM) theorem, which is the perturbation theory of quasi-periodic tori applied to nearly integrable Hamiltonian systems.

In the context of this work, we take nonintegrability to arise either from *sensitivity to initial conditions* or *undamped perturbations* outside equilibrium.

While sensitivity to initial conditions describes transition to chaos via positive Lyapunov exponents, undamped perturbations generate chaos via the progressive collapse of quasi-periodic tori, fragmentation of phase-space and the emergence of fractal spacetime [4-5].

As conjectured in several publications, the mechanism of *decoherence* - the loss of phase information and the entropy surge in open systems – comes into play beyond the Standard Model scale and favors the transition from quantum to classical behavior. A reasonable expectation is that deep Terascale physics falls outside thermodynamic equilibrium and, in doing so, it replicates the attributes of Hamiltonian chaos [6-9].

This brief analysis points out that sensitivity to initial conditions is bound to overturn HP and, on account of decoherence, able to bridge the gap between Hamiltonian chaos and the foundations of effective field theory.

The paper is formatted as follows: next section contains a brief introduction to HP in classical field theory, with emphasis on electrodynamics and General Relativity. The breakdown of HP due to sensitive dependence and its consequences for foundational physics are analyzed in the next couple of sections.

## **2. Stationary action in classical field theory**

Classical field theory develops from the Lagrangian

$$L = L(\varphi, \partial_\mu \varphi, x^\mu) \quad (1)$$

and the first order variation of the action functional given by [10-11]

$$\delta S = \int_R \delta \varphi d^4 x \left\{ \frac{\partial L}{\partial \varphi} - \partial_\mu \left[ \frac{\partial L}{\partial (\partial_\mu \varphi)} \right] \right\} + \int_{\partial R} d\sigma_\mu \left[ \frac{\partial L}{\partial (\partial_\mu \varphi)} \delta \varphi + L \delta x^\mu \right] \quad (2)$$

Here,  $R$  is the four-dimensional integration domain whose boundary is  $\partial R$ .

The canonical treatment of (2) posits that both field and coordinate variations vanish on  $\partial R$ , i.e.

$$\delta \varphi = \delta x^\mu = 0 \quad \text{on } \partial R \quad (3)$$

which supplies the field equation in the standard form

$$\frac{\delta S[\varphi]}{\delta \varphi} = \Lambda(\varphi, \partial_\mu \varphi, x^\mu) = \frac{\partial L}{\partial \varphi} - \frac{\partial}{\partial x^\mu} \left[ \frac{\partial L}{\partial (\partial_\mu \varphi)} \right] = 0 \quad (4)$$

Applying (2) to classical electrodynamics ( $\varphi \rightarrow A$ ) and General Relativity, respectively, ( $\varphi \rightarrow g$ ), yields

$$\int d^4 x \delta A_\mu \left( j^\mu - \frac{\partial F^{\mu\nu}}{\partial x^\nu} \right) = 0 \quad (5)$$

$$\int d^4x \sqrt{-g} \delta g^{\mu\nu} \left[ \frac{1}{2} T_{\mu\nu} - \frac{1}{16\pi G_N} (R_{\mu\nu} - \frac{1}{2} g_{\mu\nu} R) \right] = 0 \quad (6)$$

(5) and (6) lead to Maxwell and Einstein equations under the textbook setting that the field variations  $\delta A_\mu$  and  $\delta g^{\mu\nu}$  are arbitrary and the functional differential equation (4) is satisfied [10-11, 13].

## **2. Dependent endpoint conditions**

Consider the generic case where fields and spacetime coordinates vary simultaneously on  $R$ , while the boundary term goes to zero at infinity. If the first term of (2) is sampled at fixed time intervals  $\delta t$ , a convenient approximation of  $\delta S$  over a discrete set of sampling points  $i=1,2,\dots,N$  can be written as

$$\delta S = \int_R d^4x d\varphi \Lambda \propto \delta t \left[ \sum_i \delta^3 x_i \delta \varphi_i \Lambda_i \right] \quad (7)$$

where

$$\delta x_i \ll 1, \delta \varphi_i \ll 1; N \gg 1 \quad (8a)$$

$$\varphi_i = \varphi(x_i) \quad (8b)$$

$$\Lambda_i = \Lambda(\varphi_i, \partial^x \varphi_i, x_i) \quad (8c)$$

Sensitivity to initial conditions in coordinate and field spaces, respectively, causes exponential separation of adjacent trajectories as in

$$\delta \varphi_{i+1}(x_{i+1}) \propto \delta \varphi_i(x_i) \exp[\lambda(\varphi_{i+1} - \varphi_i)]; \quad \lambda > 0; \quad i > 1 \quad (9)$$

and

$$\delta x_{i+1} \propto \delta x_i \exp[\sigma(x_{i+1} - x_i)]; \quad \sigma > 0; \quad i > 1 \quad (10)$$

Coordinates and fields can only be measured to finite precision. This is to say that, in fact, there are *infinitely many* adjacent trajectories defined through

$$x_1 = x_1 + |X| \quad (11a)$$

$$\varphi_1 = \varphi_1 + |\Omega| \quad (11b)$$

with uncertainties upper bounded by their *resolution limits* respectively, that is,

$$|X| \leq R_x \quad (12a)$$

$$|\Omega| \leq R_\varphi \quad (12b)$$

Conditions (11) and (12) imply that all adjacent trajectories starting from points located within  $R_x$  and/or  $R_\varphi$  are initially *indistinguishable* from each other, even though they split apart later. It follows that the endpoint variations of both field and coordinates are no longer independent and likely to become ill-defined for sufficiently large separations ( $x_{i+1} \gg x_i$  and  $\varphi_{i+1} \gg \varphi_i$ ). Stated differently, dependent endpoint conditions induce *memory-like effects* and are asymptotically *unpredictable*. Another way to look at these observations is to acknowledge that deterministic dynamics of classical field theory no longer stands, in manifest contrast with the foundation of Maxwell's electrodynamics and General Relativity.

Although somewhat unexpected, these results are nevertheless hardly surprising. They merely confirm the long-held belief that field theories complying with (3) are *effective field approximations*, endowed with limited ranges of validity. They also hint that realistic modeling efforts can no longer

disregard the issue of sensitive dependence or the onset of nonintegrability above the Standard Model scale [6-9, 14, 19].

### **3. Impact on foundational physics**

These considerations lead one to suspect that the breakdown of HP due to sensitive dependence must impact the foundation of effective field theories.

We now briefly elaborate on three examples showing that this may indeed be the case.

#### **3.1 Action quantization**

Sensitive dependence is the hallmark of the transition from deterministic behavior to chaos. Taken in this context, the approach to chaos of nearly integrable and multidimensional Hamiltonian systems can be shown to produce action quantization in the long-term limit [7].

#### **3.2 Curved spacetime**

Consider next the propagation of light rays in empty space. Its trajectory follows Fermat's principle, according to which the optical path length



between two endpoints is stationary with respect to variations of the path.

Fermat's principle in flat spacetime is an analogue of HP and it takes the form

$$\delta S = \delta \int_a^b ds = 0 \quad (13)$$

By (7)-(12), rectilinear propagation described by (13) is no longer valid if there is sensitive dependence and the endpoints cannot be arbitrarily chosen.

In this case, the most straightforward deviation from (13) may be presented as

$$\delta_c \int_a^b ds = \delta_c (s_b - s_a) \quad (14)$$

Consider now the null geodesic path of the same light ray in a static gravitational field whose only non-vanishing metric component is  $g_{00}$  [10]

$$\delta \int_a^b \frac{ds}{\sqrt{g_{00}}} = 0 \quad (15)$$

Moreover, let the gravitational potential be created by a point source of mass  $M$  at the radial distance  $r$ , such that ( $c=1$ )

$$g_{00} = 1 + 2\varphi = 1 - 2\frac{G_N M}{r} \quad (16)$$

Inserting (16) in (15), power expanding the potential and retaining only the leading terms gives a *deviation from rectilinear propagation* (13) having the generic form

$$\delta_c(s_b - s_a) = f(\varphi) = f(M, r) \quad (17)$$

A glance at (14) and (17) indicates that the effect of *sensitive dependence* applied to the propagation of light rays in flat spacetime is on par with the effect of *curving light rays* in gravitational fields.

It follows from this brief analysis that gravitation may be understood as implicit outcome of sensitive dependence and the onset of chaos, as first revealed by Poincaré's 3-body problem. This conclusion backs up the line of arguments developed in [15-17].

### **3.3 Four spacetime dimensions**

The fragmented structure of phase-space in Hamiltonian chaos includes islands of stability sandwiched between ergodic regions. There are strong

intermittencies associated with this regime and their characterization requires the language of *multifractals* (MF) and fractional dynamics [4-5]. At least in principle, applying the MF geometry to the geodesic equation recovers the four dimensionality of classical spacetime [18].

## **References**

1. Prigogine, I., (1978), Time, Structure and Fluctuations, Science, vol. 201, issue 4358, pp. 777-785, <https://doi.org/10.1126/science.201.4358.777>
2. Landau, L. D., and Lifshitz E. M., (2005), Mechanics, *Course of Theoretical Physics*, vol. 1, 3<sup>rd</sup> Edition, Elsevier-Butterworth.
3. Broer, W. H. and Hansmann, H., (2009), Hamiltonian Perturbation Theory (and Transition to Chaos), preprint [http://dx.doi.org/10.1007/978-0-387-30440-3\\_267](http://dx.doi.org/10.1007/978-0-387-30440-3_267)
4. Zaslavsky, G. M., (2005), Hamiltonian Chaos and Fractional Dynamics, Oxford University Press, New York.

5. Gutzwiller, M. C., (1990), *Chaos in Classical and Quantum Mechanics*, Springer-Verlag.
6. Goldfain, E., (2022), *Selected Papers on Complex Dynamics and Effective Field Theory*, preprint [10.13140/RG.2.2.27603.45603/1](https://doi.org/10.13140/RG.2.2.27603.45603/1)
7. Goldfain, E., (2022), *Hamiltonian Instability and the Classical-to-Quantum Transition*, preprint <http://dx.doi.org/10.13140/RG.2.2.13430.06720>
8. Goldfain, E., (2021), *Cosmological and Fermi Scales from Hamiltonian Chaos*, preprint <http://dx.doi.org/10.13140/RG.2.2.27977.26727>
9. Goldfain, E., (2021), *Nonintegrable Dynamics and Physics Beyond the Standard Model*, <http://dx.doi.org/10.20944/preprints202102.0564.v2>
10. Landau, L. D., and Lifshitz E. M., (2000), *Classical Theory of Fields*, *Course of Theoretical Physics*, vol. 2, 4<sup>th</sup> Edition, Elsevier-Butterworth.
11. Ryder, L. H., (1989), *Quantum Field Theory*, Cambridge Univ. Press.
12. Tabor, M., (1989), *Chaos and Integrability in Nonlinear Dynamics: An Introduction*, Wiley, New York.

13. Peebles, P. J. E., (1993), Principles of Physical Cosmology, Princeton Univ. Press.
14. Goldfain, E., (2022), Nonintegrable Dynamics and the Naturalness Principle, preprint <http://dx.doi.org/10.13140/RG.2.2.20962.61127>
15. Goldfain, E., (2022), Gravitational Dynamics from Multifractal Geometry, preprint <http://dx.doi.org/10.13140/RG.2.2.25088.10246/1>
16. Goldfain, E., (2022), Multifractal Modeling of Black Hole Thermodynamics, preprint <http://dx.doi.org/10.13140/RG.2.2.31998.05443>
17. Goldfain, E., (2022), Stochastic Cosmology and the MOND Paradigm, preprint <http://dx.doi.org/10.13140/RG.2.2.18977.68965>
18. Goldfain, E., (2021), Four Spacetime Dimensions from Multifractal Geometry, preprint <http://dx.doi.org/10.20944/preprints202104.0654.v1>
19. Goldfain, E., (2024), On the Breakdown of Stationary Action in Field Theory, Qeios, <https://doi.org/10.32388/939RRP>