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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  $\Delta Q$  = change in heat,  $T$  = temperature) that is always  $\geq 0$  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)

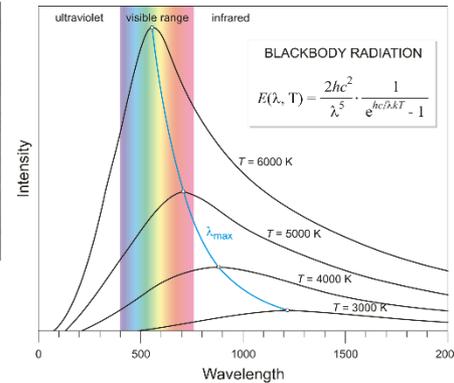
- Ludwig Boltzmann (1872) proved his *H-theorem* suggesting that entropy might have a *statistical* basis:
  - This paper was essentially an early exploration into what we now call *chaos theory*...
    - Boltzmann showed that statistical uncertainty about the states of common (classical) physical systems (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...



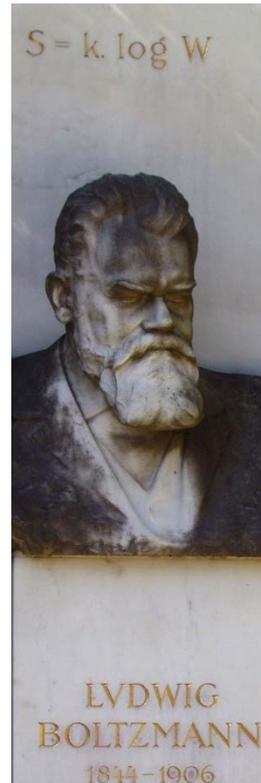
**Ludwig Boltzmann**  
Sire of statistical mechanics,  
“great-grandfather” of chaos  
theory & information theory!

# 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:  $S = -k \text{Tr} (\rho \ln \rho)$ .
  - $\rho$  = density matrix;  $\text{Tr}$  = 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  $\rho$  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:

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

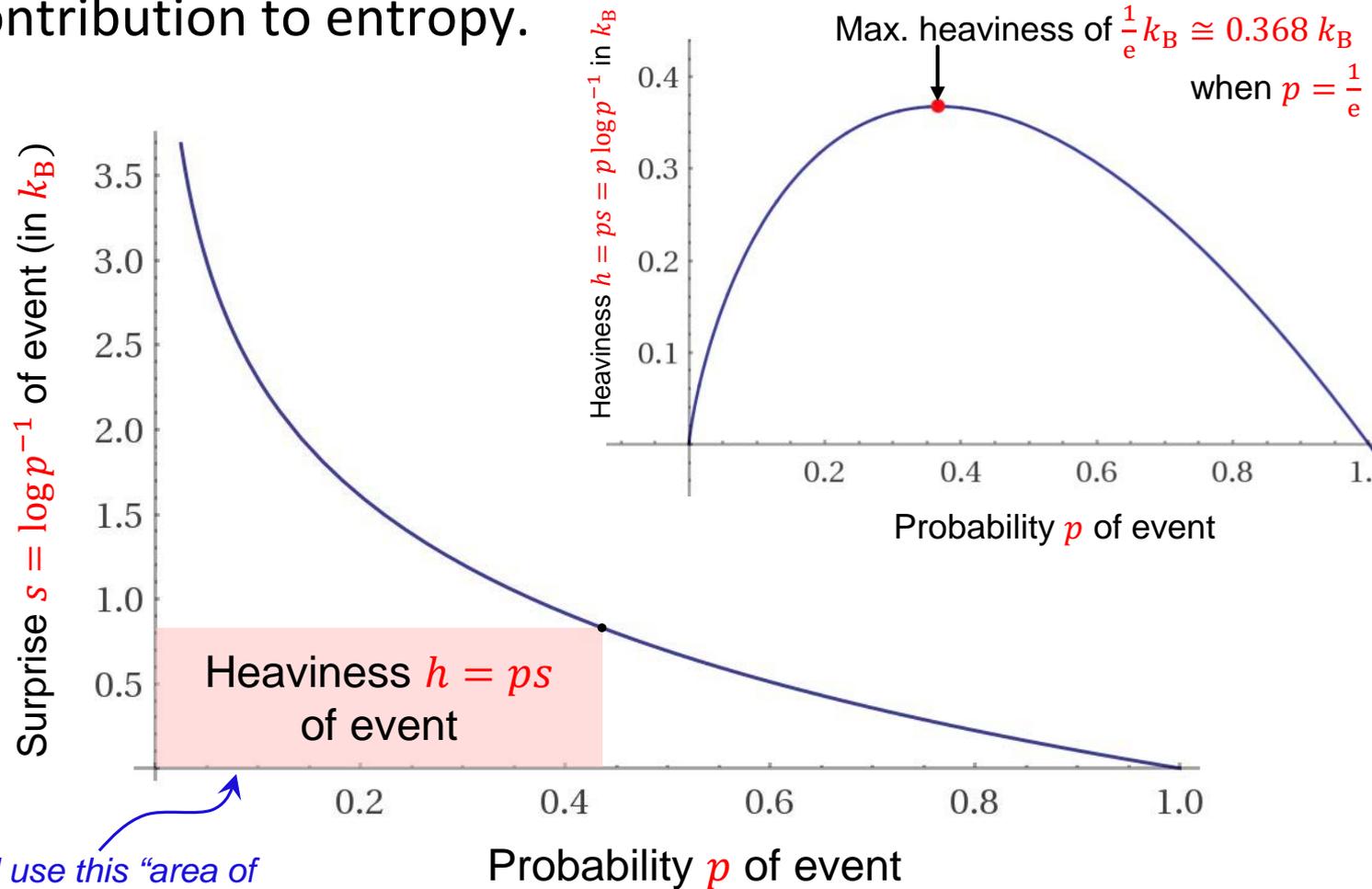
- We call this quantity  $H = S$  the *entropy* of the given epistemic situation.
  - By convention, we’ll prefer  $H$  for “computational” entropy,  $S$  for “physical” entropy.



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:

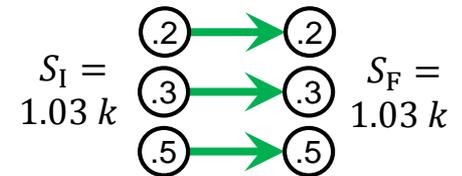
$$\begin{aligned} I(X; Y) &= I(Y; X) = K(X, Y) - K(X) - K(Y) \\ &= H(X) + H(Y) - H(X, Y) \\ &= H(X) - H(X | Y) \\ &= H(Y) - H(Y | X). \end{aligned}$$

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

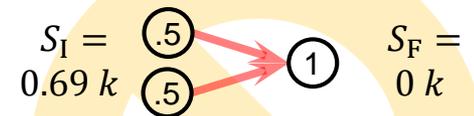
# Entropy and Time Evolution

- 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...

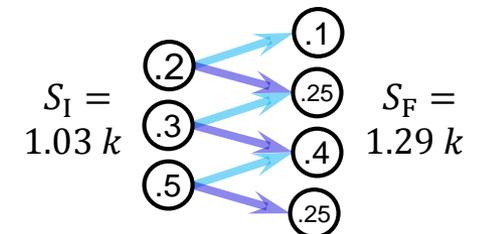
$$S[p] = E_p[\log p^{-1}]$$



Bijjective microphysics →  
No “true” entropy change



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



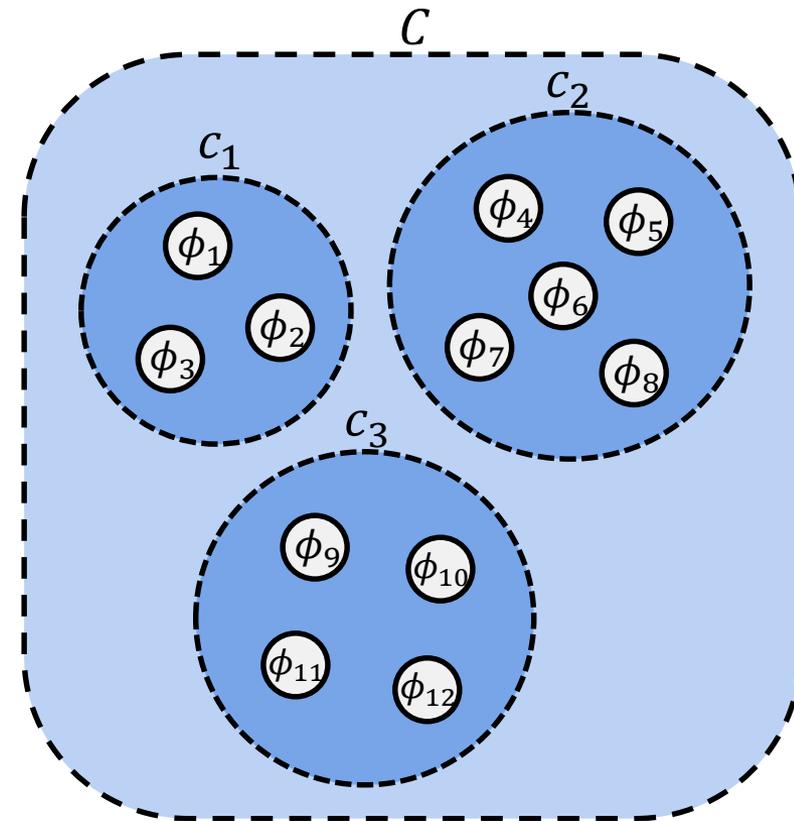
True dynamics uncertain  
(or not tracked in detail)  
→ Entropy increases

# 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.*,  $\Phi$  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  $\Phi$  induces a probability distribution  $P$  over the computational state space (subsystem)  $C = \{c_j\}$  as well...

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

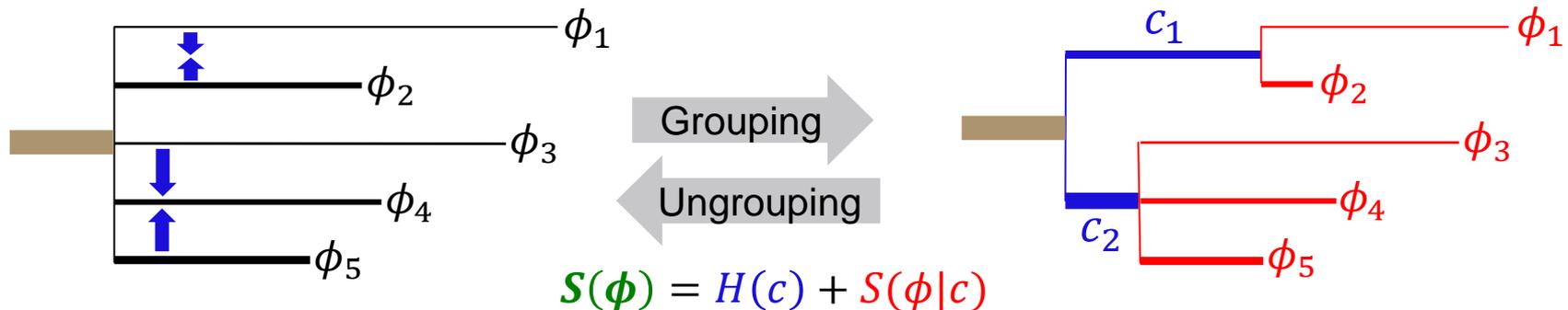
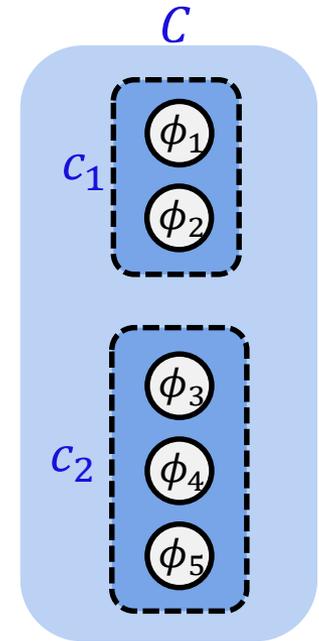
- This implies a *computational entropy*  $H(C)$ .



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

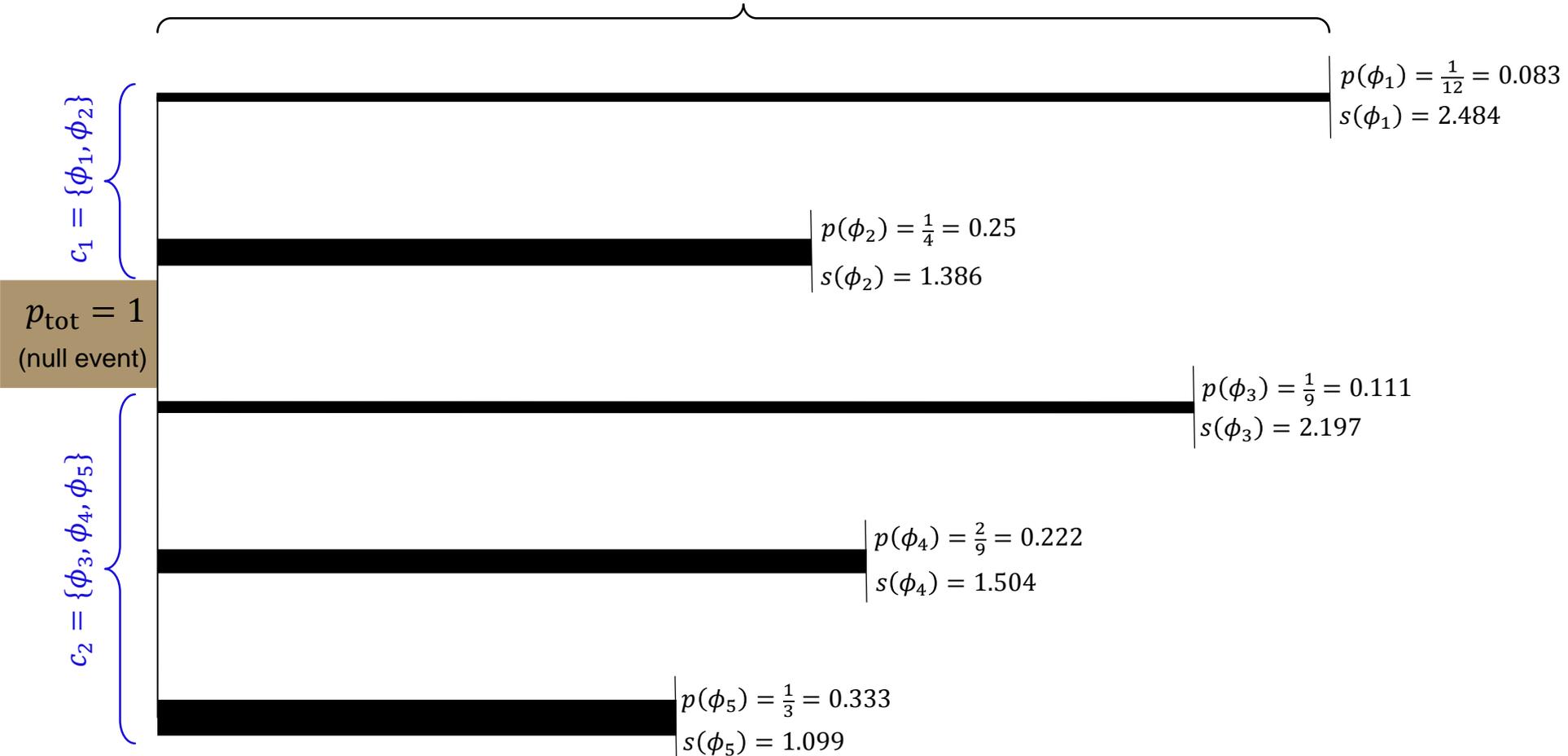
- Can represent a hierarchy of events in a tree structure...
  - Branch **thickness** = event probability  $p$ .
  - Branch **length** = *incremental surprise*  $\Delta s$  associated w. event,
    - relative to whatever base event it's branching off from.
  - Branch **area** = event's *incremental heaviness*  $\Delta h = p\Delta s$ , 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

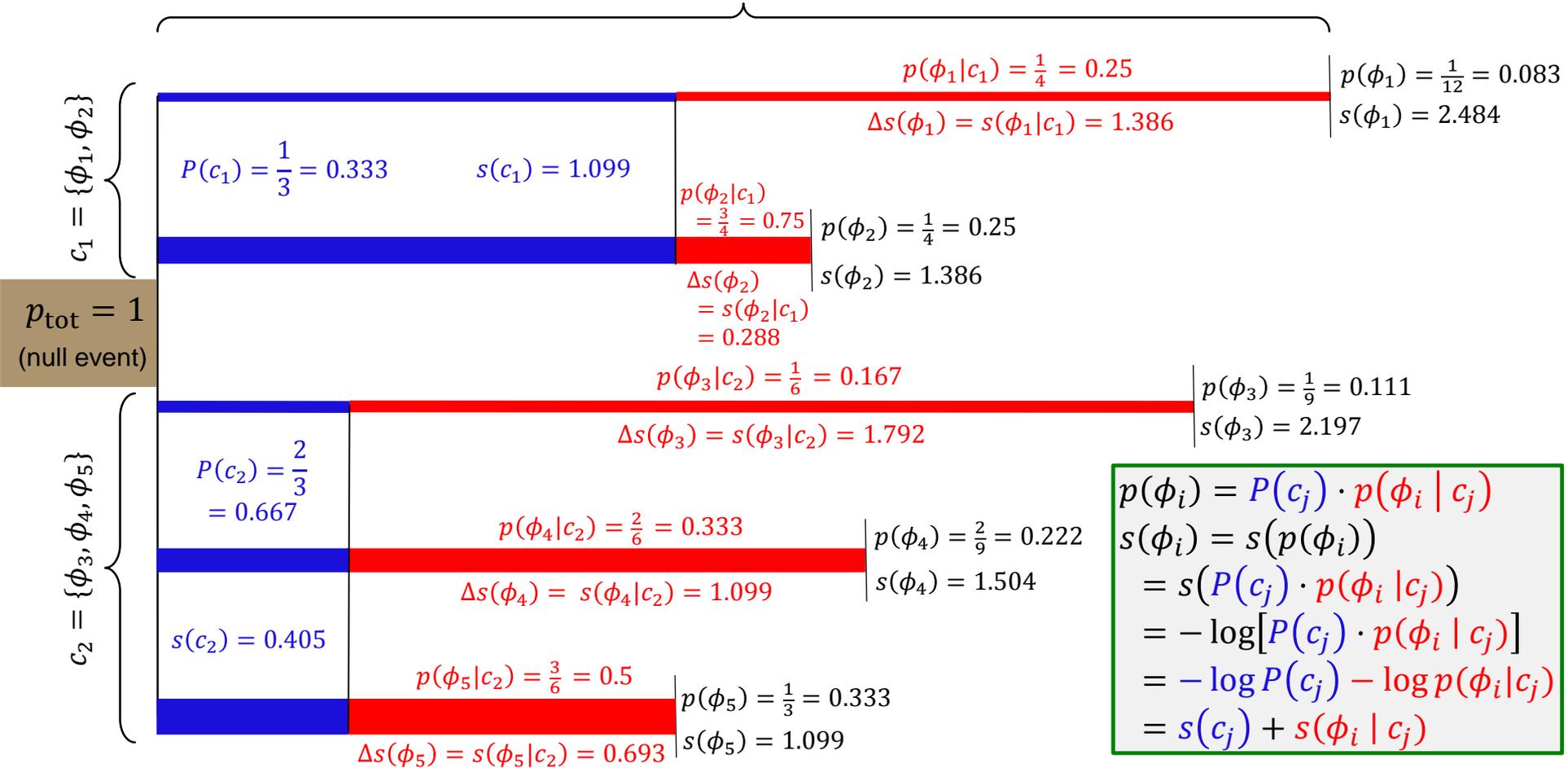
# Grouping of States (slide 1 of 3)

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



# Grouping of States (slide 2 of 3)

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

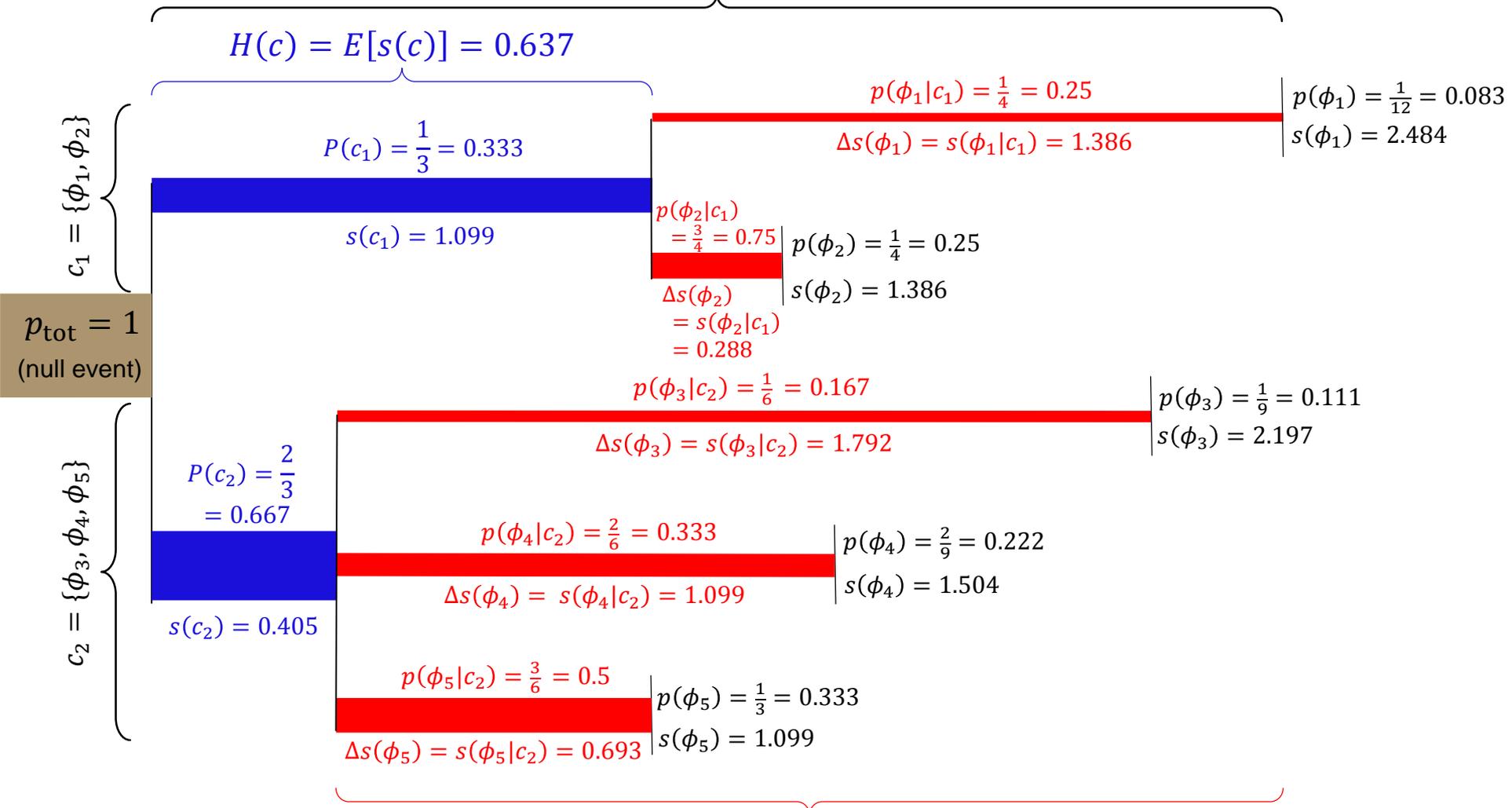


$$S(\phi) = H(c) + S(\phi|c)$$

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

# 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

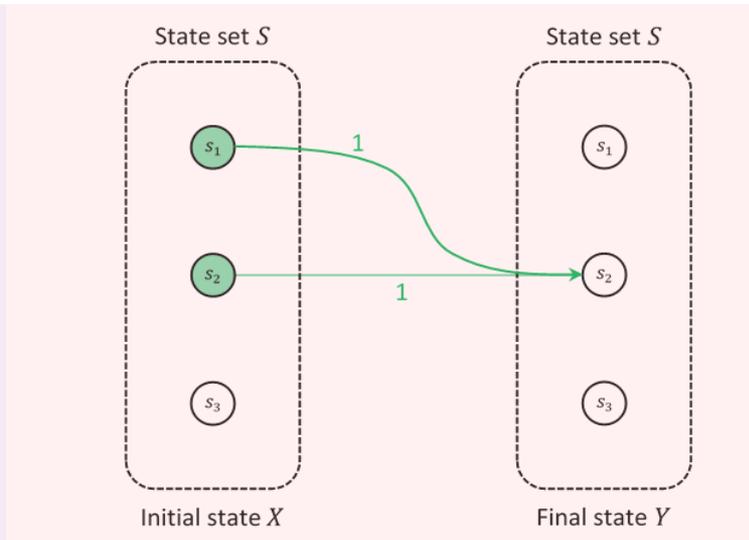
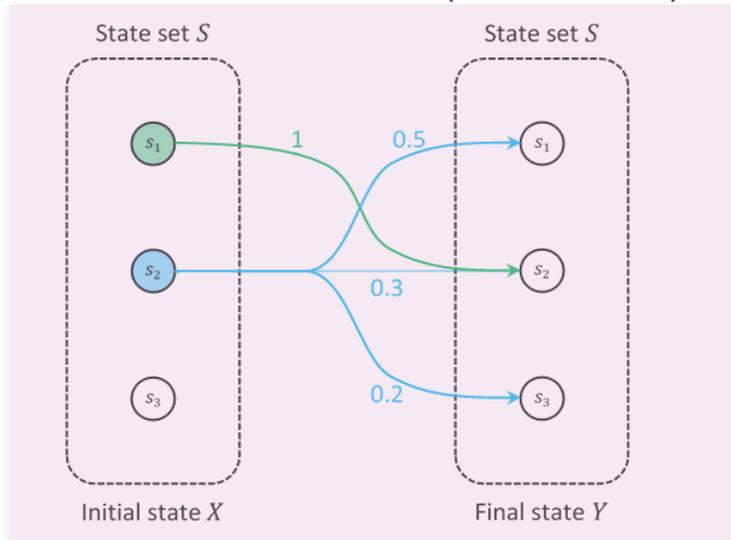
# Types of Computational Operations

Define operations as (possibly partial) probabilistic transition relations

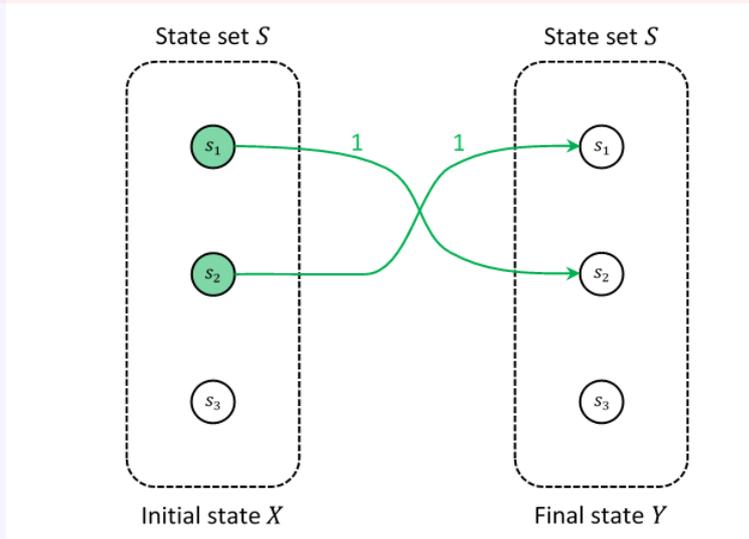
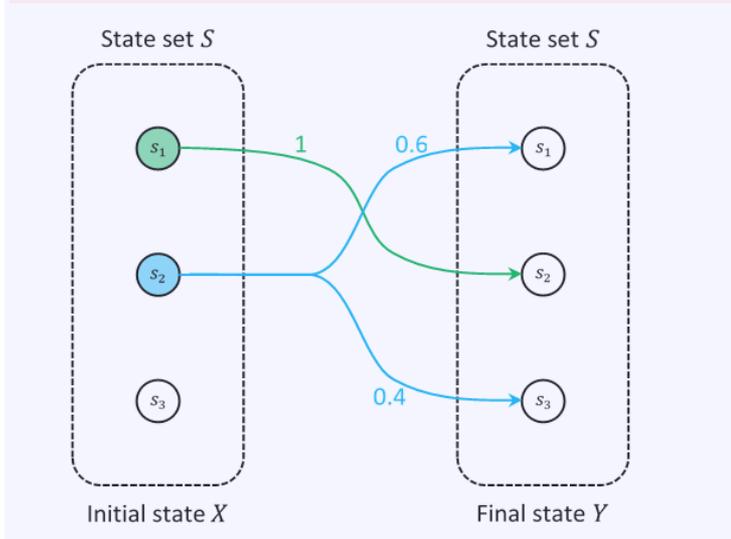
Nondeterministic (stochastic)

Deterministic

Irreversible (many-to-one)



(Unconditionally)  
Reversible (injective)



# Entropy Ejection in Many-to-One Operations

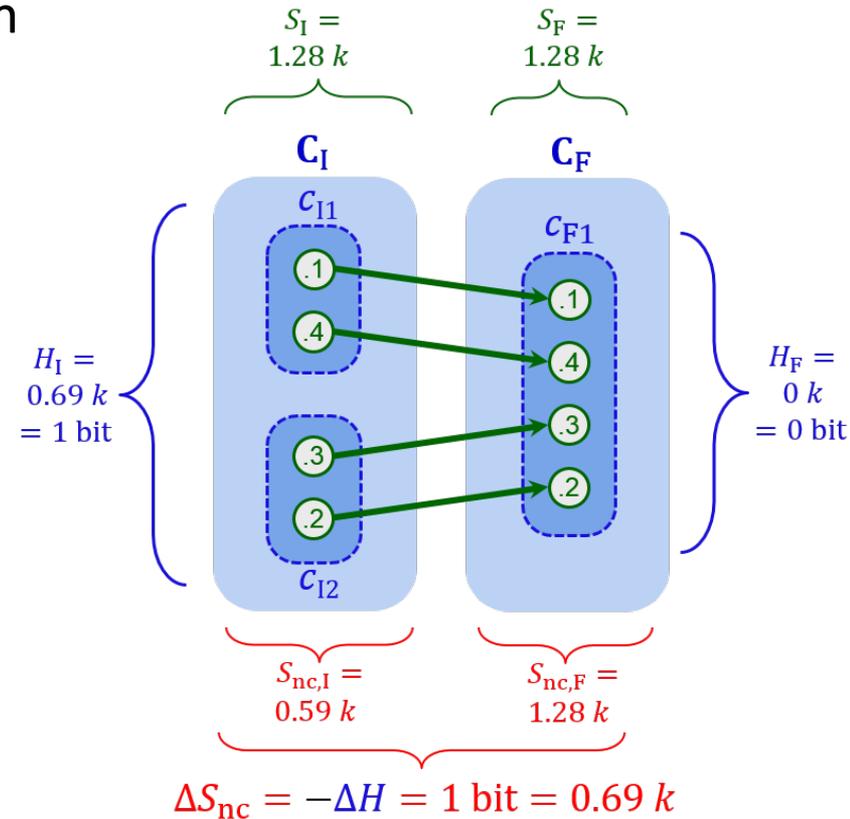
- Again, a *computational state*  $c_j$  is just an equivalence class of physical states  $\phi_i$

  - 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  $\phi$ , 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  $T$ .

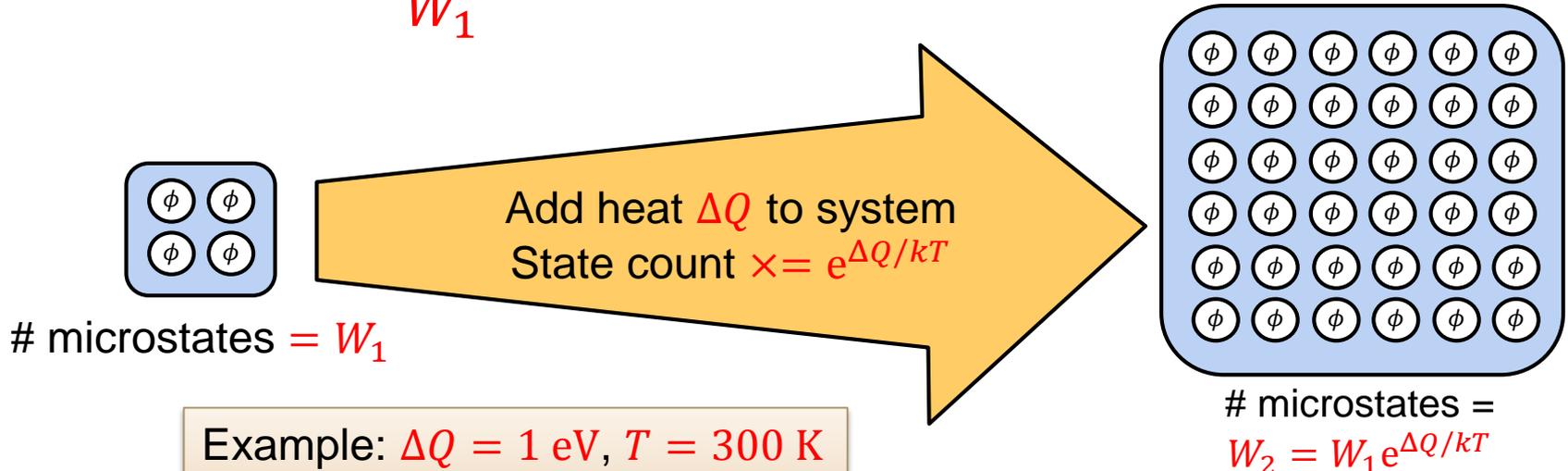


# Heat Increase inflates State Count

- 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  $\Delta Q$  gets added to a thermal system, its total number of accessible microstates gets multiplied by a factor  $\blacksquare W$  that is given by  $e^{\Delta Q/kT}$ :

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

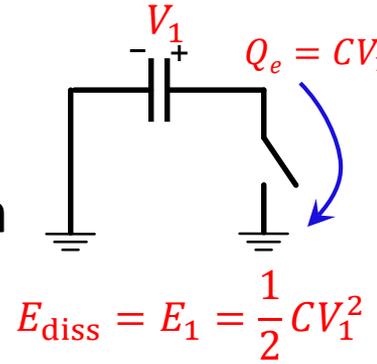
$$\blacksquare W = \frac{W_2}{W_1} = e^{(\hat{S}_2 - \hat{S}_1)/k} = e^{\Delta\hat{S}/k} = e^{\Delta Q/kT}$$



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

# Energy Dissipation

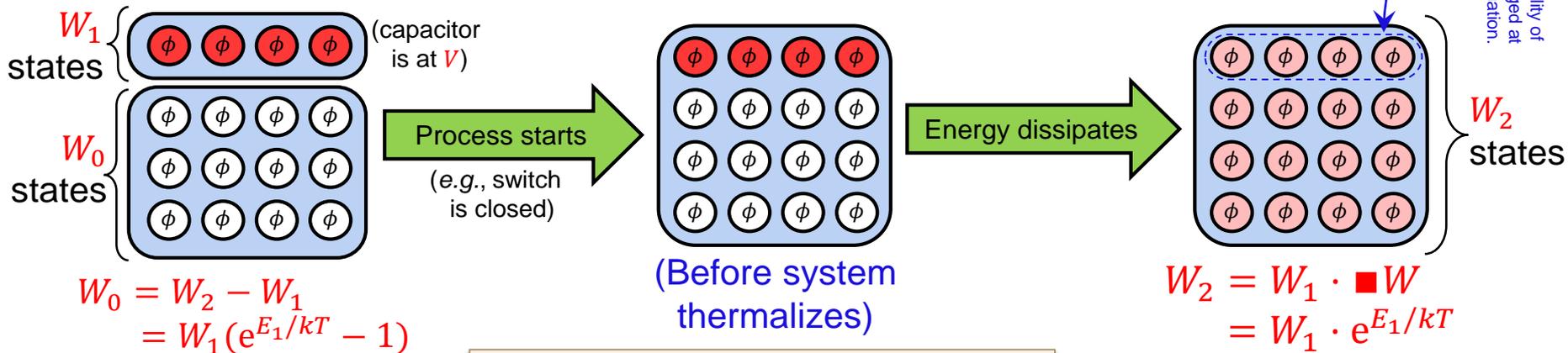
- For *any* means of dissipating some energy  $E_1$  (e.g., by discharging a capacitor), the dissipated energy  $E_{\text{diss}} = E_1$  ends up as increased heat  $\Delta Q = E_{\text{diss}}$  in a thermal environment at some temperature  $T$  ...



- 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:

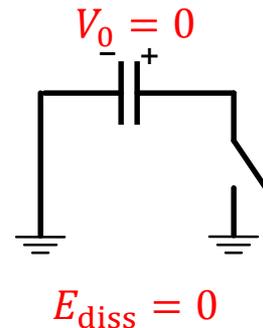
- Here, red shading indicates concentration of probability mass...



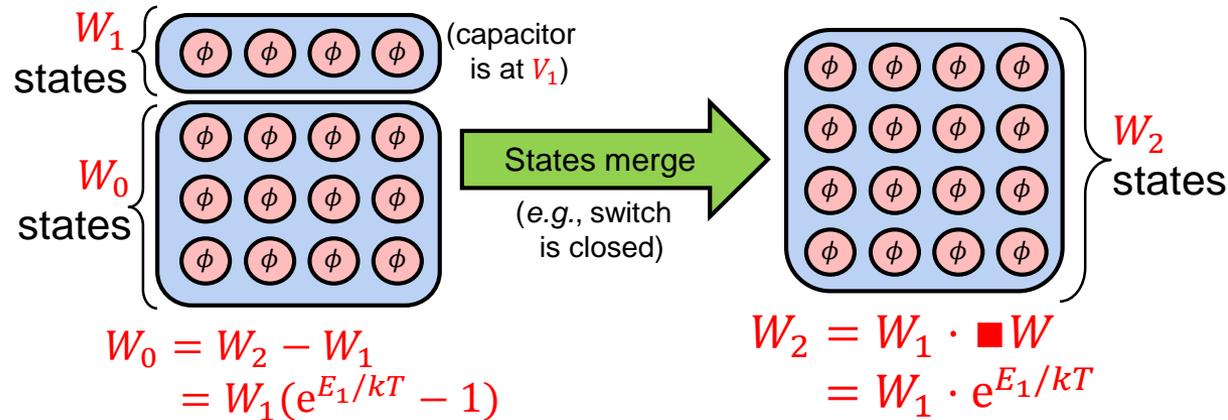
Note there is still a nonzero probability of still finding the capacitor to be charged at  $V$ , corresponding to a thermal fluctuation.

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

# Asymptotically conditionally reversible many-to-one operations



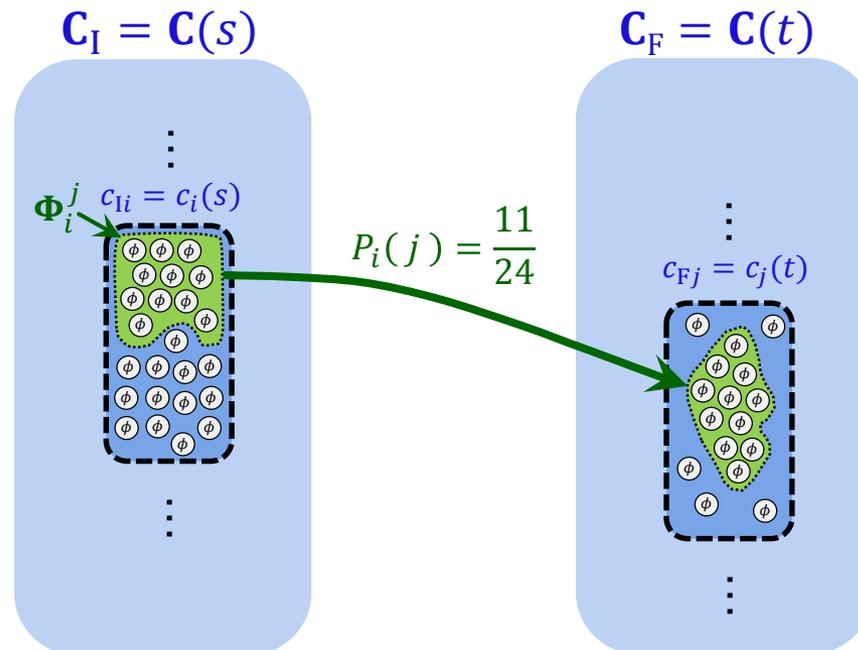
- In my RC'17 paper, I discussed how entropy ejected to the environment approaches **0** if the probability of all but one of a set of computational states being merged together approaches **0**.
  - Corresponds to the case in this circuit example where the capacitor was initially at logic zero (subject 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.,  $3.3 \times 10^{-11}$  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.

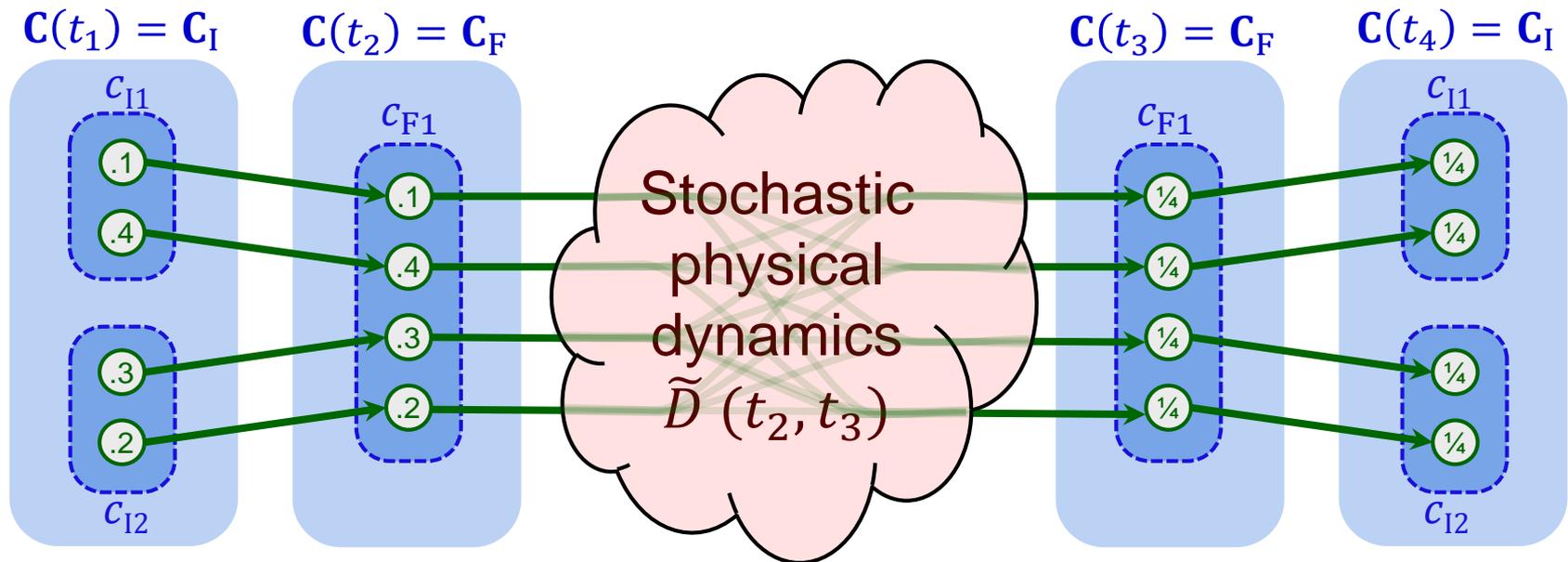
# Stochastic computational operations

- 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)

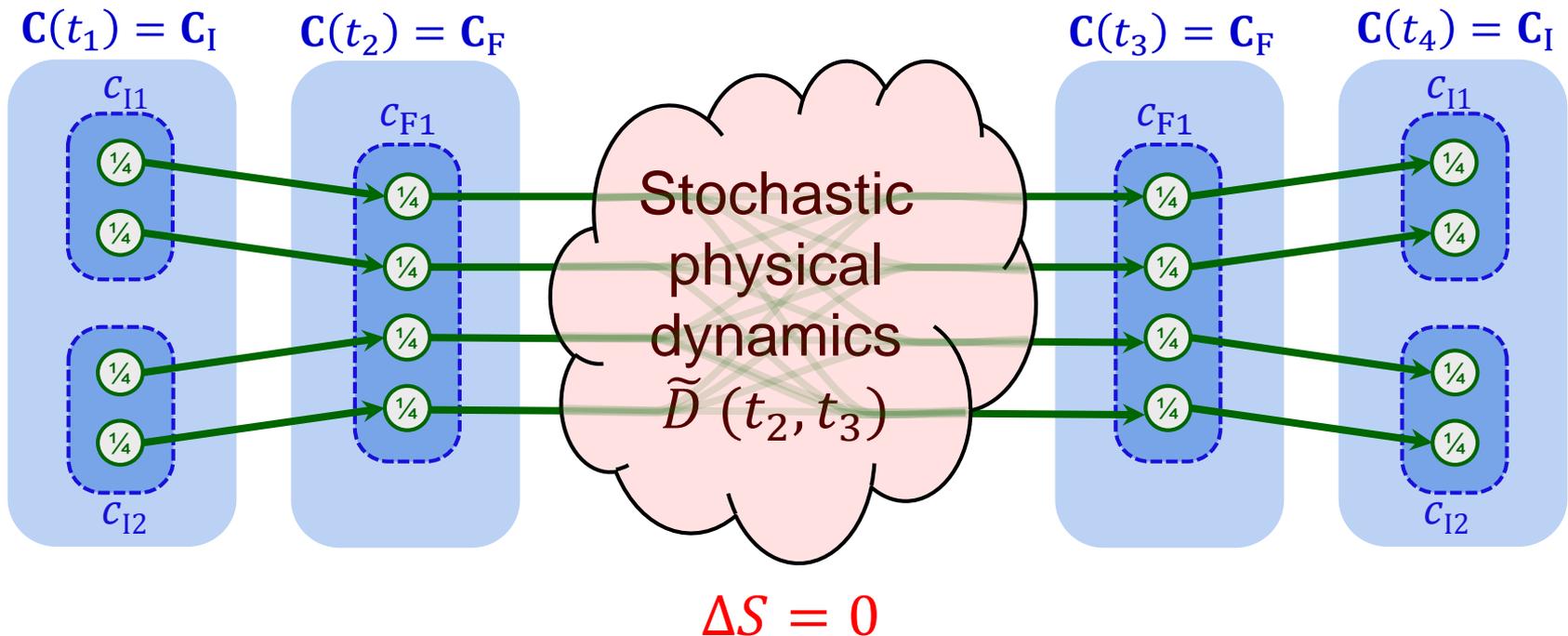
- The ejection of entropy can be reversible!
  - Here, we do a many-to-one operation followed by a stochastic operation to restore the computational entropy back to 1 bit
    - However, in this example, non-computational entropy increases by  $\sim 0.15$  bits (some information about the initial physical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



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

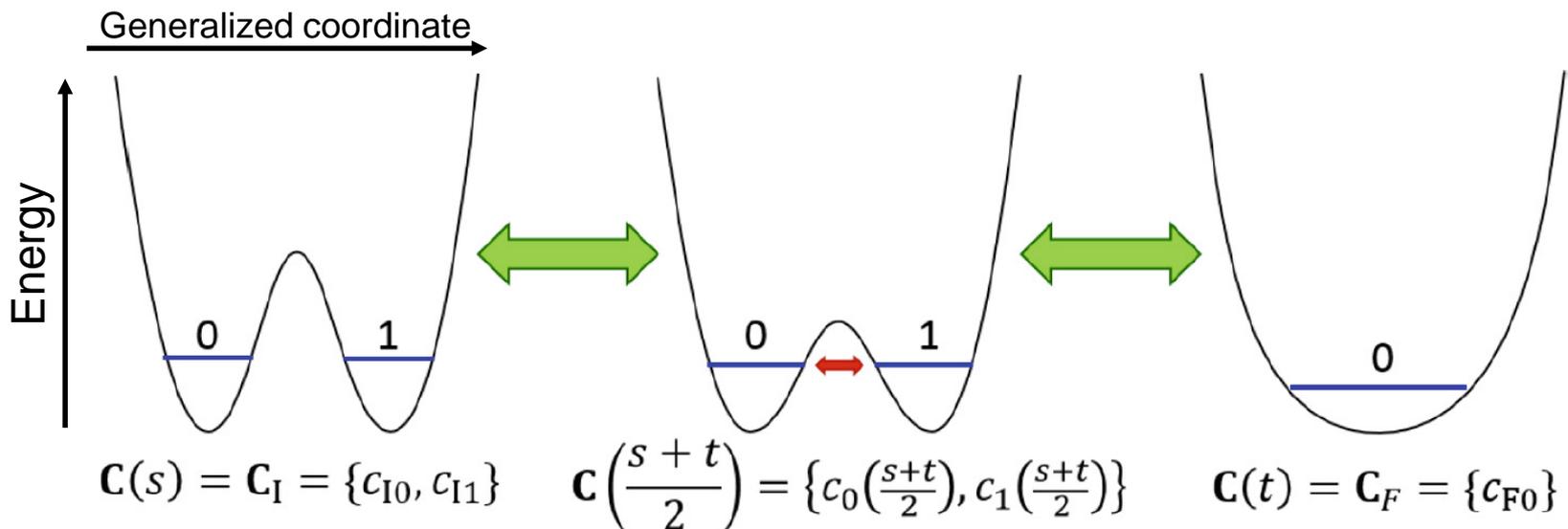
# Reversing Entropy Ejection (2/2)

- 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!



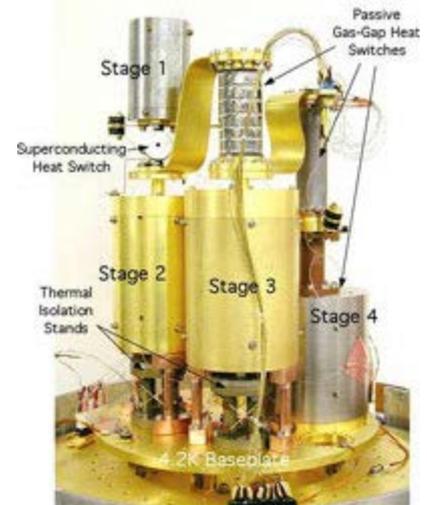
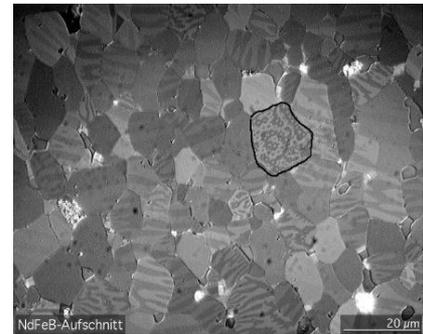
# Bistable potential well implementation

- 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

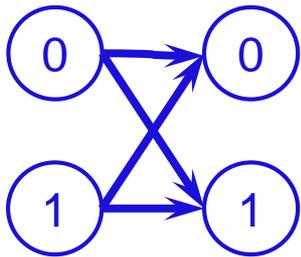
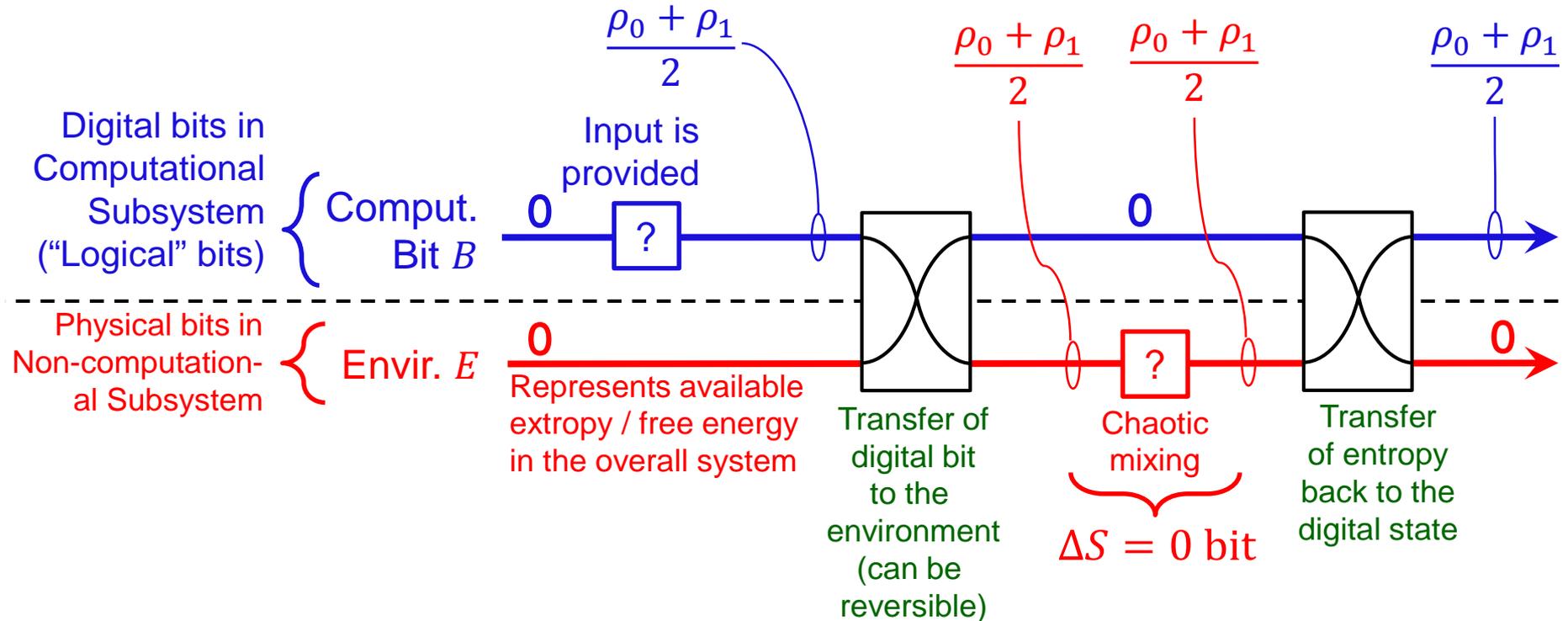


# Adiabatic demagnetization / paramagnetic refrigeration

- 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!



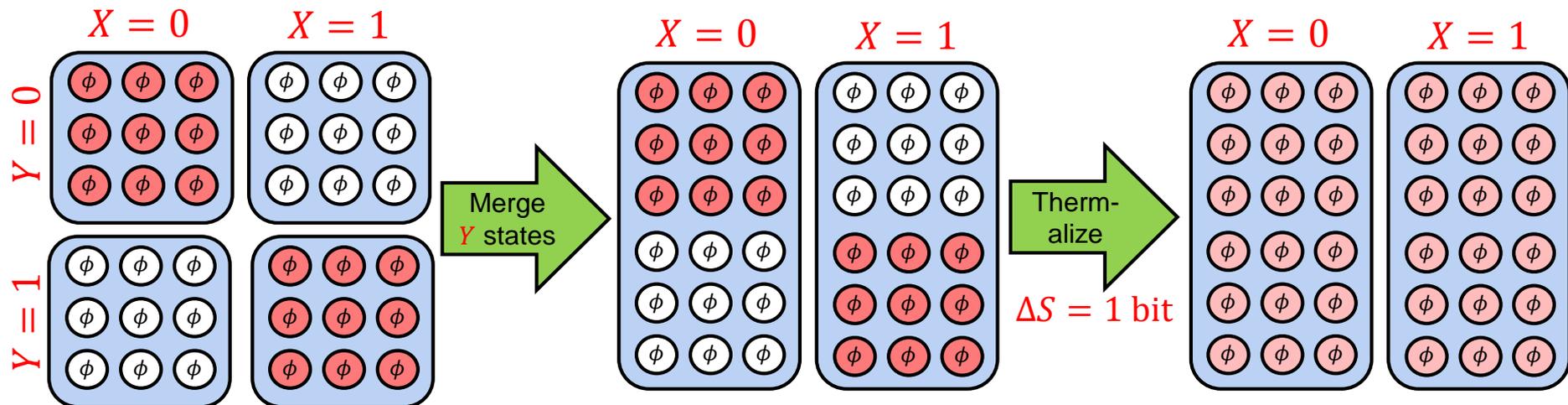
# Thermodynamically Reversible Erasure of an Uncorrelated Bit



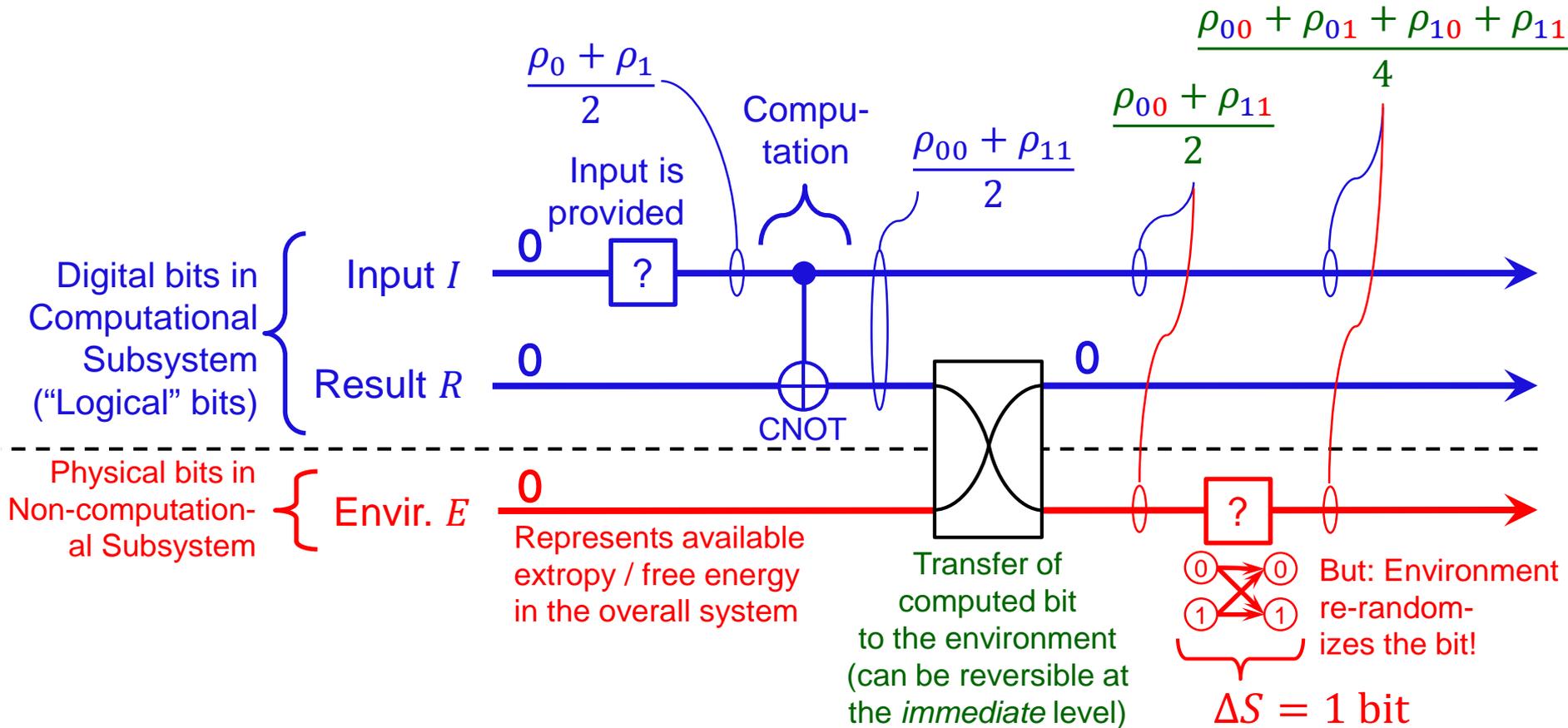
- Overall map including mixing is non-injective
- No autocorrelation between initial & final state
- Not “logically reversible” in traditional sense

# 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!

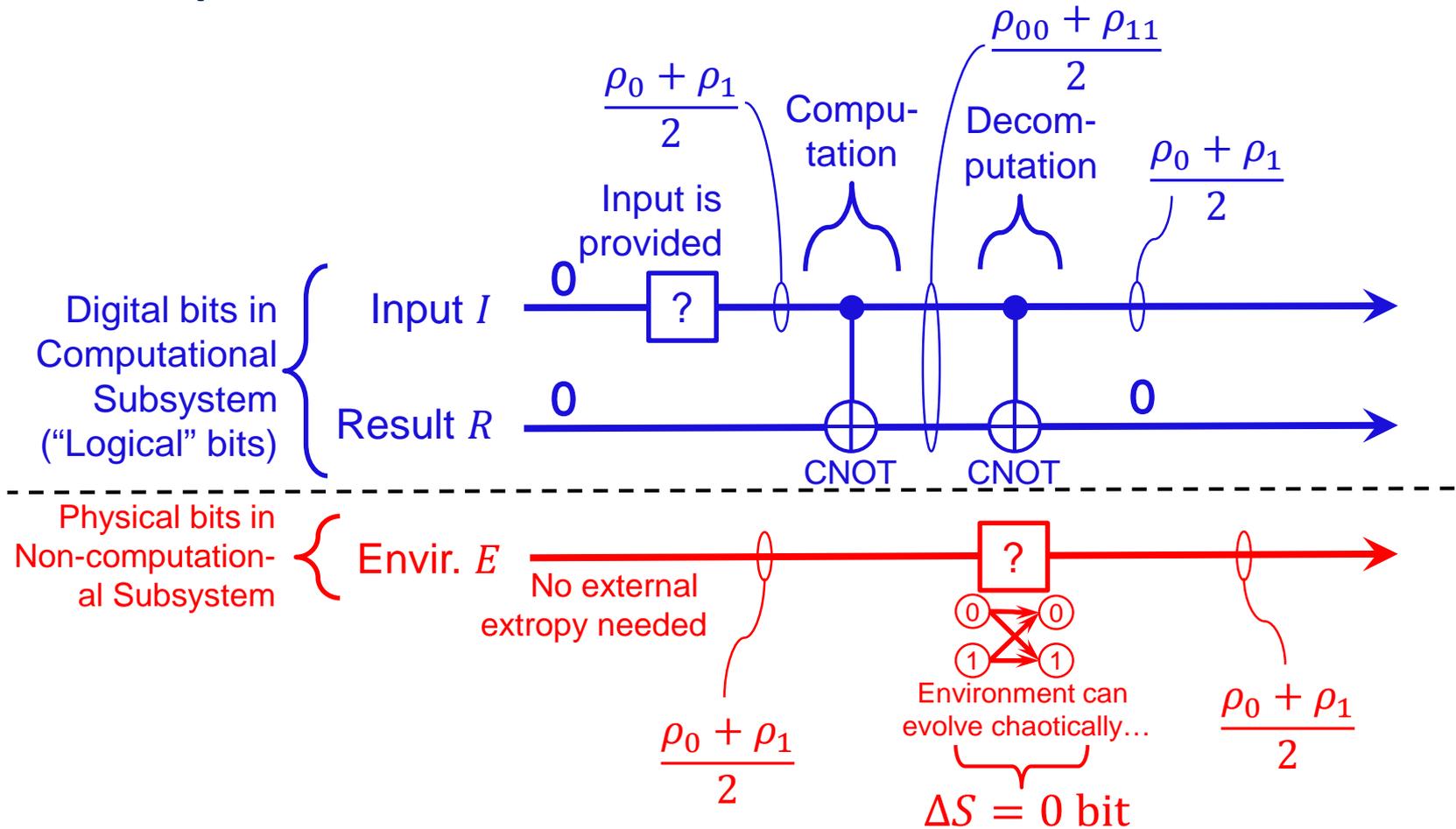


# Logically Irreversible, Oblivious Erasure of a Correlated Bit



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...