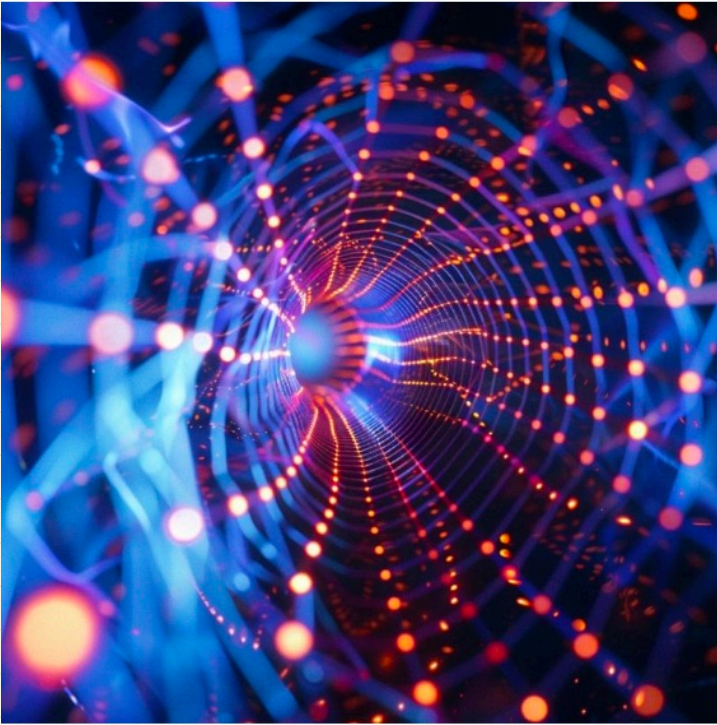


-- 33rd Chris Engelbrecht Summer School 2025 --



Theoretical Foundations of Quantum Science and Quantum Technologies

STIAS,
Stellenbosch, South Africa

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Lectures on

Open quantum systems

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Part 2

CPTP maps

CPTP maps

(completely positive trace preserving)

Physical motivation:

$\mathcal{H}, \mathcal{H}_R$: Hilbert spaces

$\Omega \in \mathcal{H}_R$: normalized vector (pure state)

U : unitary on $\mathcal{H} \otimes \mathcal{H}_R$ (quantum channel)

Define map Φ on bounded operators $X \in \mathcal{B}(\mathcal{H}_S)$:

$$\Phi(X) = \text{tr}_R \left[U (X \otimes |\Omega\rangle\langle\Omega|) U^* \right]$$

↑
partial trace

↑
think of U as e^{itH} (t fixed)

Partial trace:

$A = B \otimes C$ operator on $\mathcal{H} \otimes \mathcal{H}_R$

$$\rightarrow \text{tr}_R A = B \cdot \underbrace{\text{tr}_R C}_{\in \mathbb{C}}$$

Extend $\text{tr}_R : \mathcal{B}(\mathcal{H} \otimes \mathcal{H}_R) \rightarrow \mathcal{B}(\mathcal{H})$ by linearity.

$$U = \sum_{ij} u_{ij} P_i \otimes Q_j \quad (u_{ij} \in \mathbb{C}, P_i, Q_j \text{ operators})$$

$$\begin{aligned} \rightarrow \Phi(X) &= \text{tr}_R U (X \otimes |\Omega\rangle\langle\Omega|) U^* \\ &= \sum_{ij} \sum_{ke} u_{ij} \bar{u}_{ke} \text{tr}_R (P_i \otimes Q_j) (X \otimes |\Omega\rangle\langle\Omega|) P_k^* \otimes Q_l^* \end{aligned}$$

$$= \sum_{ijke} u_{ij} \bar{u}_{ke} P_i X P_k^* \underbrace{\text{tr}(Q_j |\Omega\rangle\langle\Omega| Q_l^*)}_{\text{where } \{f_\alpha\} \text{ is any ONB of } \mathcal{H}_R}$$

$$\sum_{\alpha} \langle f_{\alpha}, Q_j |\Omega\rangle\langle\Omega| Q_l^* f_{\alpha} \rangle$$

where $\{f_{\alpha}\}$ is any ONB of $\mathcal{H}_R$

$$= \sum_{\alpha} \left(\sum_{ij} u_{ij} \langle f_{\alpha}, Q_j |\Omega\rangle P_i \right) X \left(\sum_{ke} \bar{u}_{ke} \langle \Omega, Q_l^* f_{\alpha} \rangle P_k^* \right)$$

Define Kraus operators $K_{\alpha} = \sum_{ij} u_{ij} \langle f_{\alpha}, Q_j |\Omega\rangle P_i$

$$\rightarrow \boxed{\Phi(X) = \sum_{\alpha} K_{\alpha} X K_{\alpha}^*}$$

What are the properties of K_α ?

$$(1) \quad \text{tr} \Phi(X) = \text{tr}_{\mathcal{H} \otimes \mathcal{H}_R} \cancel{\left(X \otimes |\Omega\rangle\langle\Omega| \right)} \cancel{\mathbb{1}}^* \\ = \text{tr} X \quad \Phi \text{ is trace-preserving}$$

$$(2) \quad \text{tr} \Phi(X) = \text{tr} \left(\sum_{\alpha} K_{\alpha} X K_{\alpha}^* \right) \\ = \text{tr} \left(\sum_{\alpha} K_{\alpha}^* K_{\alpha} X \right)$$

$$(1) \& (2) \Rightarrow \text{tr} \left(\sum_{\alpha} K_{\alpha}^* K_{\alpha} - \mathbb{1} \right) X = 0, \quad \forall X \in \mathcal{B}(\mathcal{H}_S)$$

This implies (exercise)

$$\sum_{\alpha} K_{\alpha}^* K_{\alpha} = \mathbb{1}.$$

Consider $\Phi \otimes \mathbb{1}_n$ acting on $\mathcal{H}_S \otimes \mathbb{C}^n$, $n \geq 1$.

$$\text{Then } \Phi \otimes \mathbb{1}_n = \sum_{\alpha} K_{\alpha} \otimes \mathbb{1}_n (\cdot) K_{\alpha}^* \otimes \mathbb{1}_n$$

If $A \in \mathcal{B}(\mathcal{H}_S \otimes \mathbb{C}^n)$ is a positive operator, $A \geq 0$,
then

$$\Phi \otimes \mathbb{1}_n (A) = \sum_{\alpha} (K_{\alpha} \otimes \mathbb{1}_n) A (K_{\alpha}^* \otimes \mathbb{1}_n)$$

is also a positive operator on $\mathcal{H}_S \otimes \mathbb{C}^n$ (prove it!)

$\Rightarrow \Phi \otimes \mathbb{1}_n$ is positivity preserving $\forall n \geq 1$.

A map Φ s.t. $\Phi \otimes \mathbb{1}_n$ positivity preserving $\forall n \geq 1$ is
called completely positive (CP).

All in all, Φ is completely positive and trace preserving
" Φ is CPTP ".

Amazing fact: Every CPTP map is of Kraus form!

We now show the amazing fact!

Let Φ be CPTP on $\mathcal{B}(\mathcal{H})$.

We take $\psi \in \mathcal{H}$ and investigate $\Phi(|\psi\rangle\langle\psi|)$.

Let $\{e_i\}$ an ONB of $\mathcal{H}$ and let $\mathcal{C}$ be the anti-linear map taking complex conjugation of components in the basis $\{e_i\}$.

Then $\langle \mathcal{C}\psi, \mathcal{C}\psi \rangle = \langle \psi, \psi \rangle \quad \forall \psi, \phi \in \mathcal{H}$ and $\mathcal{C}e_i = e_i$.

With $\psi = \sum_j \langle e_j, \psi \rangle e_j$:

$$\Phi(|\psi\rangle\langle\psi|) = \sum_{jk} \underbrace{\langle e_j, \psi \rangle}_{\langle \mathcal{C}\psi, e_j \rangle} \Phi(|e_j\rangle\langle e_k|) \underbrace{\overline{\langle e_k, \psi \rangle}}_{\langle e_k, \mathcal{C}\psi \rangle}$$

$$= \sum_{jk} \langle \mathcal{C}\psi, e_j \rangle \langle e_k, \mathcal{C}\psi \rangle \Phi(|e_j\rangle\langle e_k|)$$

$$= \sum_{jk} \text{tr}_2 \left(\Phi \otimes |\mathcal{C}\psi\rangle\langle\mathcal{C}\psi| \right) \underbrace{(|e_j\rangle\langle e_k| \otimes |e_j\rangle\langle e_k|)}$$

$$|e_j \otimes e_j\rangle \langle e_k \otimes e_k|$$

$$= \text{tr}_2 \left(\Phi \otimes |\psi\rangle\langle\psi| \right) (|v\rangle\langle v|)$$

where $v = \sum_j e_j \otimes e_j$. Since Φ is CP:

$$(\Phi \otimes 1)(|v\rangle\langle v|) = \sum_{\alpha} |s_{\alpha}\rangle\langle s_{\alpha}|, \quad \text{some } s_{\alpha} \in \mathcal{H} \otimes \mathcal{H}$$

$$\rightarrow \Phi(|\psi\rangle\langle\psi|) = \sum_{\alpha} \text{tr}_2 \left(1 \otimes |\psi\rangle\langle\psi| \right) |s_{\alpha}\rangle\langle s_{\alpha}|$$

Fix an α and write $|s\rangle$ for $|s_{\alpha}\rangle$: $s = \sum_{m,n} z_{mn} e_m \otimes e_n$

$$\text{tr}_2 \left(1 \otimes |\psi\rangle\langle\psi| \right) |s\rangle\langle s|$$

$$= \sum_{mn, pq} z_{mn} \bar{z}_{pq} \underbrace{\text{tr}_2 \left(1 \otimes |\psi\rangle\langle\psi| \right) |e_m \otimes e_n\rangle\langle e_p \otimes e_q|}_{|e_m\rangle\langle e_p| \otimes |e_n\rangle\langle e_q|}$$

$$|e_m\rangle\langle e_p| \underbrace{\langle\psi, e_n\rangle}_{\langle e_n, \psi \rangle} \underbrace{\langle e_q, \psi \rangle}_{\langle \psi, e_q \rangle}$$

$$= \left(\sum_{mn} z_{mn} |e_m\rangle \langle e_n| \psi \right) \left(\langle \psi | \sum_{pq} \bar{z}_{pq} |e_q\rangle \langle e_p| \right)$$

$$= |K\psi\rangle \langle K\psi| \quad \text{with} \quad K = \sum_{mn} z_{mn} |e_m\rangle \langle e_n|$$

We have shown that

$$\Phi(|\psi\rangle \langle \psi|) = \sum_{\alpha} K_{\alpha} |\psi\rangle \langle \psi| K_{\alpha}^*$$

Now extend to all operators X on $\mathcal{B}(\mathcal{H})$ by linearity:

$$X = \operatorname{Re} X + i \operatorname{Im} X \quad \begin{cases} \operatorname{Re} X = \frac{X + X^*}{2} \\ \operatorname{Im} X = \frac{X - X^*}{2i} \end{cases}$$

Both $\operatorname{Re} X$ & $\operatorname{Im} X$ are hermitian, so diagonalizable.

E.g. $\operatorname{Re} X = \sum_j \lambda_j |\psi_j\rangle \langle \psi_j|$. As Φ is linear we

have $\Phi(X) = \sum_{\alpha} K_{\alpha} X K_{\alpha}^* \quad \forall X \in \mathcal{B}(\mathcal{H}).$

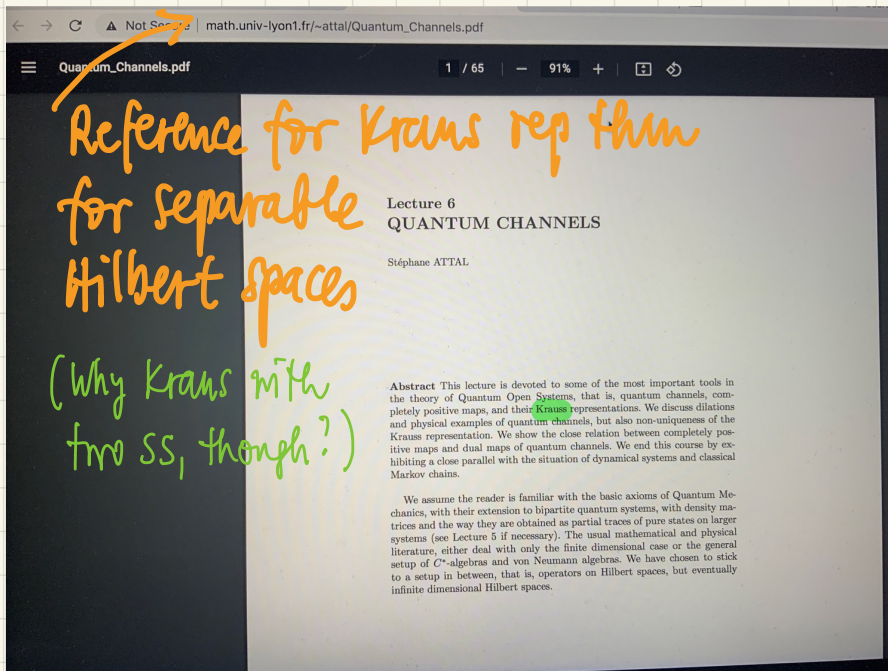
We have shown:

Theorem (Kraus representation theorem)

Suppose Φ is CPTP on $\mathcal{B}(\mathcal{H})$, $\dim \mathcal{H} = d < \infty$. Then there are operators $K_\alpha \in \mathcal{B}(\mathcal{H})$, $\alpha = 1, \dots, d^2$ s.t. $\forall X \in \mathcal{B}(\mathcal{H})$:

$$\Phi(X) = \sum_{\alpha} K_{\alpha} X K_{\alpha}^* \quad \text{and} \quad \sum_{\alpha} K_{\alpha}^* K_{\alpha} = \mathbb{1}$$

Conversely, if Φ is of this form for some operators K_{α} , then Φ is CPTP.



Recall: We defined map Φ on $\mathcal{B}(\mathcal{H})$,

$$\Phi(X) = \text{tr}_R \left[U X \otimes |\Omega\rangle\langle\Omega| U^* \right]$$

This has a physical meaning. ('Physical rep.')

Then we saw: Φ is CPTP and has a Kraus rep.

$$\Phi(\cdot) = \sum_{\alpha} K_{\alpha}(\cdot) K_{\alpha}^* \quad \text{'Kraus form'}$$

Then we showed that any CPTP map on $\mathcal{B}(\mathcal{H})$ is of the Kraus form.

But does any CPTP map Φ have the 'physical' interpretation coming from the reduction of an extended complex (reservoir added)?

The answer is: YES!!

Theorem. Let Φ be a linear map on a Hilbert space $\mathcal{H}$,

$\dim \mathcal{H} = d < \infty$. The following are equivalent:

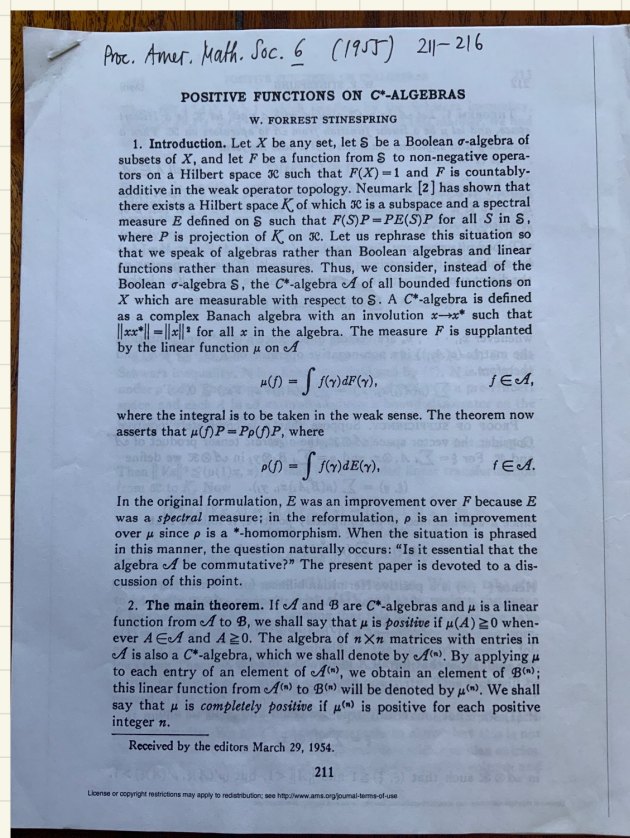
(1) Φ is CPTP

(2) There exists a Hilbert space $\mathcal{H}_R$, $\dim \mathcal{H}_R \leq d^2$, there exists a unit vector $\Omega \in \mathcal{H}_R$, there exists a unitary U on $\mathcal{H} \otimes \mathcal{H}_R$, s.t.

$$\Phi(X) = \text{tr}_R U (X \otimes |\Omega\rangle\langle\Omega|) U^* \quad \forall X \in \mathcal{B}(\mathcal{H})$$

There is an
infinite-dimensional / C^* algebraic
version:

Stinespring dilation theorem



We have already seen that if $\Phi(X) = \text{tr}_R U (X \otimes |\Omega\rangle\langle\Omega|) U^*$ then Φ is CPTP. So (2) $\Rightarrow$ (1) is proven.

Now we show that (1) $\Rightarrow$ (2).

Task: given a CPTP map Φ on $\mathcal{B}(\mathcal{H})$ construct a Hilbert space $\mathcal{H}_R$, a unit vector $|\Omega\rangle \in \mathcal{H}_R$ and a unitary U on $\mathcal{H} \otimes \mathcal{H}_R$ such that $\Phi(X) = \text{tr}_R U (X \otimes |\Omega\rangle\langle\Omega|) U^*$.

Let Φ be given, CPTP on $\mathcal{B}(\mathcal{H})$, $\dim \mathcal{H} = d < \infty$. Then Φ has a Kraus rep., $\Phi(X) = \sum_{\alpha=1}^N K_{\alpha} X K_{\alpha}^*$, $N \leq d^2$.

Set $\mathcal{H}_R = \mathbb{C}^N$ and let $\{e_{\alpha}\}_{\alpha=1}^N$ be an ONB of $\mathcal{H}_R$.

$\forall \psi, \chi \in \mathcal{H}$:

$$\begin{aligned} \Phi(|\psi\rangle\langle\chi|) &= \sum_{\alpha} K_{\alpha} |\psi\rangle\langle\chi| K_{\alpha}^* \\ &= \sum_{\alpha} \text{tr}_R K_{\alpha} |\psi\rangle\langle\chi| K_{\alpha}^* \otimes |e_{\alpha}\rangle\langle e_{\alpha}| \\ &= \sum_{\alpha} \text{tr}_R |K_{\alpha} \psi \otimes e_{\alpha}\rangle\langle K_{\alpha} \chi \otimes e_{\alpha}| \end{aligned}$$

We would like this to be of the form

$$\text{tr}_R \, u \, |\psi \otimes \Omega\rangle \langle \chi \otimes \Omega| u^*.$$

Pick any $\Omega \in \mathcal{H}_R$, $\|\Omega\|=1$ and define linear map

$$\bar{u}: \mathcal{H} \otimes \mathbb{C}\Omega \rightarrow \mathcal{H} \otimes \mathcal{H}_R \quad \text{by}$$

$$\bar{u} \, \psi \otimes \Omega = \sum_{\alpha} K_{\alpha} \psi \otimes e_{\alpha}.$$

$$\begin{aligned} \textcircled{1} \quad & \text{tr}_R \, \bar{u} \left(|\psi\rangle \langle \chi| \otimes |\Omega\rangle \langle \Omega| \right) \bar{u}^* \\ &= \text{tr}_R \, |\bar{u} \, \psi \otimes \Omega\rangle \langle \bar{u} \, \chi \otimes \Omega| \\ &= \sum_{\alpha, \beta} \text{tr}_R \, |K_{\alpha} \psi \otimes e_{\alpha}\rangle \langle K_{\beta} \chi \otimes e_{\beta}| \\ &= \sum_{\alpha, \beta} |K_{\alpha} \psi\rangle \langle K_{\beta} \chi| \, \text{tr}_R \, |e_{\alpha}\rangle \langle e_{\beta}| \\ &= \sum_{\alpha} K_{\alpha} |\psi\rangle \langle \chi| K_{\alpha}^* \\ &= \Phi(|\psi\rangle \langle \chi|). \end{aligned}$$

linearity

$$\Rightarrow \text{tr}_R \, \bar{u} \left(\chi \otimes |\Omega\rangle \langle \Omega| \right) \bar{u}^* = \Phi(\chi), \quad \forall \chi \in \mathcal{B}(\mathcal{H}).$$

$$\begin{aligned}
\textcircled{2} \quad \langle \bar{U} \psi \otimes \Omega, \bar{U} \chi \otimes \Omega \rangle &= \sum_{\alpha\beta} \langle K_\alpha \psi \otimes e_\alpha, K_\beta \chi \otimes e_\beta \rangle \\
&= \sum_{\alpha} \langle \psi, K_\alpha^* K_\alpha \chi \rangle \\
&= \langle \psi, \chi \rangle \\
&= \langle \psi \otimes \Omega, \chi \otimes \Omega \rangle.
\end{aligned}$$

So $\bar{U}: \mathcal{H} \otimes \mathbb{C}\Omega \rightarrow \mathcal{H} \otimes \mathcal{H}_R$ preserves inner products.

Exercise $\bar{U}$ can be extended to a unitary U on $\mathcal{H}$.

This shows (1) $\Rightarrow$ (2) of the theorem. ■

Part 3

Quantum dynamical semi-groups

Let $\mathcal{H} = \mathcal{H}_S \otimes \mathcal{H}_R$, $\dim \mathcal{H}_S = N < \infty$.

Let $H = H^* \in \mathcal{B}(\mathcal{H})$ and let ρ_R be a density matrix on $\mathcal{H}_R$.

Given any $t \in \mathbb{R}$, the map Φ_t defined by

$$X \mapsto \Phi_t(X) = \text{tr}_R \left(e^{-itH} (X \otimes \rho_R) e^{itH} \right)$$

is a CPTP on $\mathcal{B}(\mathcal{H}_S)$. Moreover,

$$\Phi_{t=0} = \mathbb{1} = \text{id}.$$

Def. A family $\{\Phi_t\}_{t \geq 0}$ of CPTP maps satisfying $\Phi_0 = \text{id}$ is called a CPTP dynamical map.

S and R interact (via H) so generally $\Phi_{t+s} \neq \Phi_t \circ \Phi_s$.

Def. A CPTP family $\{\Phi_t\}_{t \geq 0}$ satisfying the group property $\Phi_{t+s} = \Phi_t \circ \Phi_s$, $s, t \geq 0$, and such that $t \mapsto \Phi_t$ is continuous, is called a quantum dynamical semigroup or, a Markovian semigroup.

Any (semi-) group has a generator. So

$$\Phi_t = e^{tL}, \quad L = \left. \frac{d}{dt} \right|_{t=0} e^{tL}$$

where the generator L is an operator acting on $\mathcal{B}(\mathcal{H}_S)$.

Q: What is the general form of an L that generates a markovian semigroup?

As we show now, such L have a specific structure.

$\forall t$ fixed, Φ_t has a Kraus rep.

$$\Phi_t(X) = \sum_{\alpha} K_{\alpha}(t) X K_{\alpha}(t)^{\dagger}.$$

Let $\{F_j\}_{j=1}^{N^2}$ be an ONB of $\mathcal{B}(\mathcal{H}_S)$,

$$\langle F_i, F_j \rangle \equiv \text{tr } F_i^{\dagger} F_j = \delta_{ij}$$

inner product of $\mathcal{B}(\mathcal{H}_S)$

Choose $F_{N^2} = \frac{1}{\sqrt{N}} \mathbb{1}$. Then all F_j for $j < N^2$ are traceless. We expand,

$$K_\alpha(t) = \sum_j \langle F_j, K_\alpha(t) \rangle F_j.$$

$$\Rightarrow \Phi_t(X) = \sum_{i,j=1}^{N^2} c_{ij}(t) F_i X F_j^*$$

$$\downarrow$$

$$c_{ij}(t) = \sum_\alpha \langle F_i, K_\alpha(t) \rangle \overline{\langle F_j, K_\alpha(t) \rangle}$$

$\forall X:$

$$LX = \lim_{t \rightarrow 0_+} \frac{1}{t} \left(\Phi_t(X) - X \right)$$

$$= \lim_{t \rightarrow 0_+} \left\{ \sum_{i,j=1}^{N^2-1} \frac{c_{ij}(t)}{t} F_i X F_j^* + \frac{1}{N} \frac{c_{N^2 N^2}(t) - 1}{t} X \right.$$

$$\left. + \frac{1}{\sqrt{N}} \sum_{i=1}^{N^2-1} \frac{c_{i N^2}(t)}{t} F_i X + \frac{1}{\sqrt{N}} \sum_{j=1}^{N^2-1} \frac{c_{N^2 j}(t)}{t} X F_j^* \right\}$$

Exercise: Show that each term in the sum converges individually as $t \rightarrow 0_+$.

So we define

$$a_{N^2 N^2} = \lim_{t \rightarrow 0} \frac{C_{N^2 N^2}(t) - N}{t}$$

$$a_{i N^2} = \lim_{t \rightarrow 0} \frac{C_{i N^2}(t)}{t}$$

$$a_{N^2 j} = \lim_{t \rightarrow 0} \frac{C_{N^2 j}(t)}{t}$$

$$a_{ij} = \lim_{t \rightarrow 0} \frac{C_{ij}(t)}{t}$$

$$i, j = 1, \dots, N^2 - 1.$$

and also

$$F = \frac{1}{\sqrt{N}} \sum_{i=1}^{N^2-1} a_{i N^2} F_i.$$

Then

$$LX = \sum_{i,j=1}^{N^2-1} a_{ij} F_i \times F_j^* + \frac{1}{N} a_{N^2 N^2} X + FX + XF^*.$$

With $\operatorname{Re} F = \frac{F + F^*}{2}$, $\operatorname{Im} F = \frac{F - iF^*}{2i}$ we get

$$LX = \sum_{i,j=1}^{N^2-1} a_{ij} F_i X F_j^* + \frac{1}{N} a_{N^2 N^2} X + \{ \operatorname{Re} F, X \} + i [\operatorname{Im} F, X]$$

where $\{A, B\} = AB + BA$, $[A, B] = AB - BA$.

Φ_t is trace preserving $\Rightarrow \operatorname{tr} LX = 0$

$$0 = \operatorname{tr} \left(\sum_{i,j=1}^{N^2-1} a_{ij} F_j^* F_i + \frac{1}{N} a_{N^2 N^2} \mathbb{1} + 2 \operatorname{Re} F \right) X = 0, \quad \forall X.$$

$$\Rightarrow \operatorname{Re} F = -\frac{1}{2N} a_{N^2 N^2} \mathbb{1} - \frac{1}{2} \sum_{i,j=1}^{N^2-1} a_{ij} F_j^* F_i.$$

Set $H = -\operatorname{Im} F = H^*$

$$\Rightarrow LX = -i[H, X] + \sum_{i,j=1}^{N^2-1} a_{ij} \left(F_i X F_j^* - \frac{1}{2} \{ F_j^* F_i, X \} \right).$$

Exercise: Show that the coefficient matrix $A = (a_{ij})_{i,j=1}^{N^2-1}$ is positive.

We diagonalize A : $\exists$ unitary U and eigenvalues $\gamma_j \geq 0$,

$$A = U D U^*, \quad D = \text{diag}(\gamma_1, \dots, \gamma_{N^2-1}).$$

Set $V_\ell = \sum_{i=1}^{N^2-1} U_{i\ell} F_i$. Then the above formula for L gives the following result:

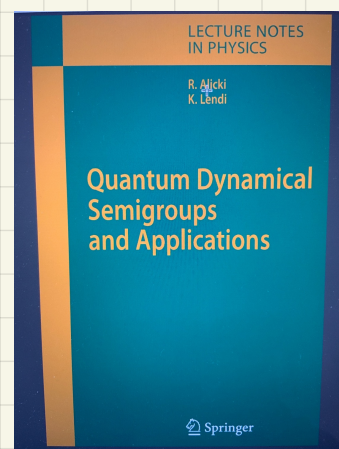
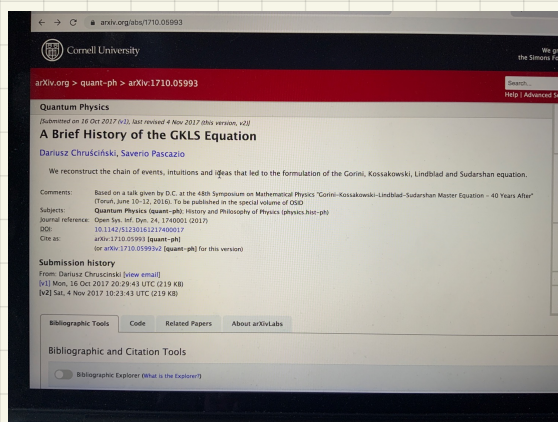
Theorem. If a linear operator L on $\mathcal{B}(\mathcal{B}(\mathbb{C}^N))$ is the generator of a CPTP semigroup, then there are operators $H = H^*$, $V_\ell \in \mathcal{B}(\mathbb{C}^N)$, $\ell = 1, \dots, N^2-1$ and $\gamma_\ell \geq 0$ s.t.

$$LX = -i[H, X] + \sum_{\ell=1}^{N^2-1} \gamma_\ell \left(V_\ell X V_\ell^* - \frac{1}{2} \{V_\ell^* V_\ell, X\} \right).$$

The converse result holds as well. The theorem (and its converse) is called the Gorini-Kossakowski-Sudarshan-Lindblad (GKSL) theorem.

Gorini-Kossakowski-Sudarshan: JMP 17, 821 (1976) ($\dim \mathcal{H}_f < \infty$)

Lindblad: CMP 48, 119 (1976) (L bounded & $\dim \mathcal{H}_f \leq \infty$)



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