

**The semiclassical ensembles of  
instanton-dyons describe deconfinement  
and chiral phase transitions  
in the usual and deformed QCD**

**Edward Shuryak**

Center for Nuclear Theory  
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**Theory coll., Sept.8, 2021**

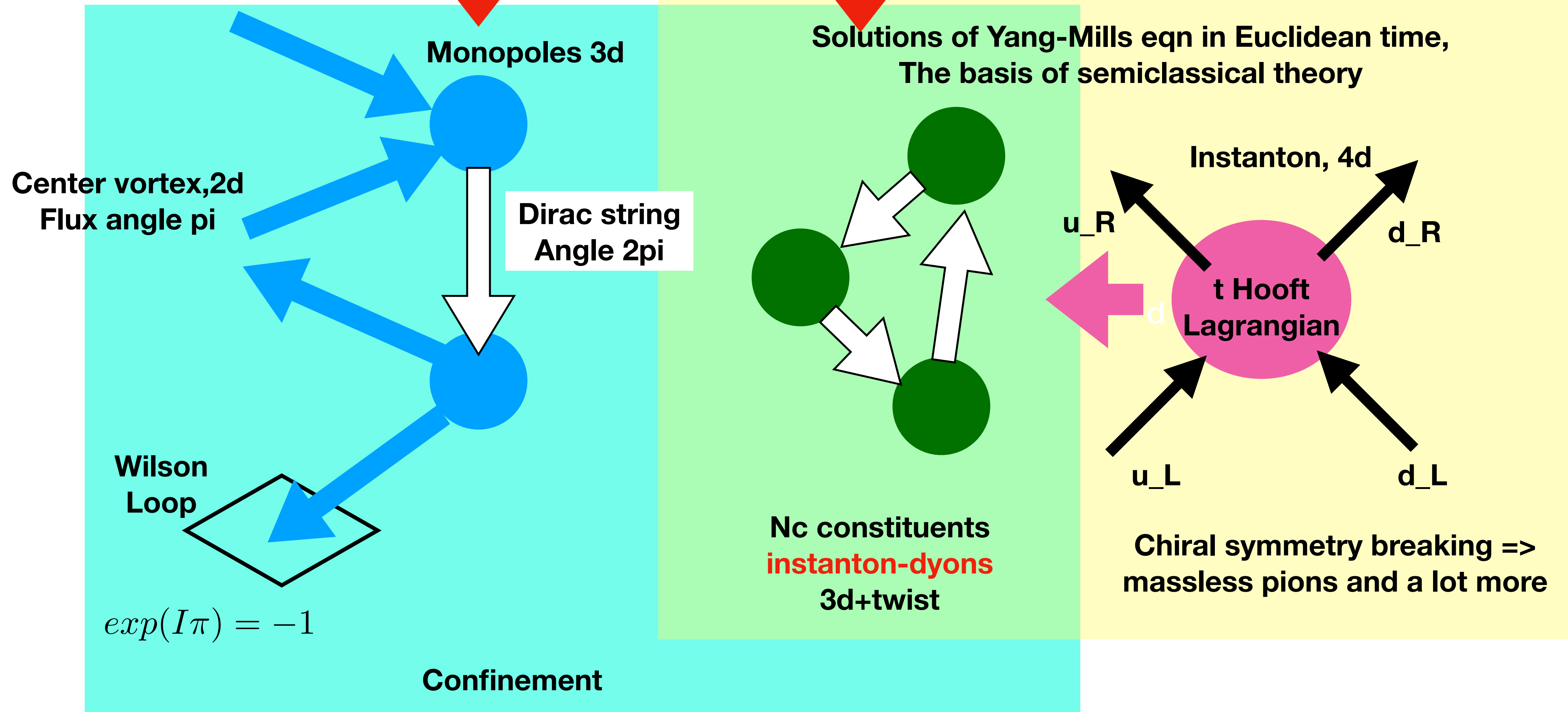
collaborators  
**Dallas DeMartini**  
**Rasmus Larsen**  
**Sayantana Sharma**



# outline

- **map of gauge topology**
- **VEV of Polyakov line and the instanton-dyons**
- **Dirac zero and quasizero fermionic states on the lattice**
- **Deconfinement transition,**
- **QCD deformation via Polyakov line operators**
- **Chiral symmetry breaking**
- **QCD deformation via quark periodicity phases**
- **Poisson duality Instanton-dyons  $\Leftrightarrow$  Monopoles**

# Poisson duality



# Nonperturbative Topological Phenomena in QCD and Related Theories



## Poisson duality

Monopoles 3d

Dirac string  
Angle  $2\pi$

Solutions of Yang-Mills eqn in Euclidean time,  
The basis of semiclassical theory

Instanton, 4d

t Hooft  
Lagrangian

u\_R

d\_R

u\_L

d\_L

Chiral symmetry breaking =>  
massless pions and a lot more

Loop

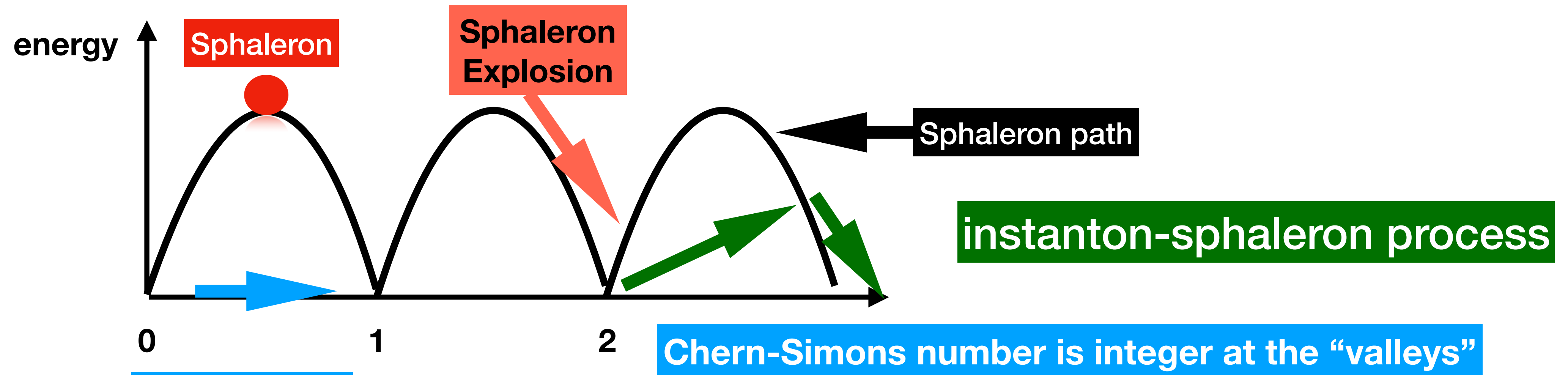
$$\exp(i\pi) = -1$$

Confinement

$N_c$  constituents  
instanton-dyons  
3d+twist

# Instantons

# Terminology of the topological landscape



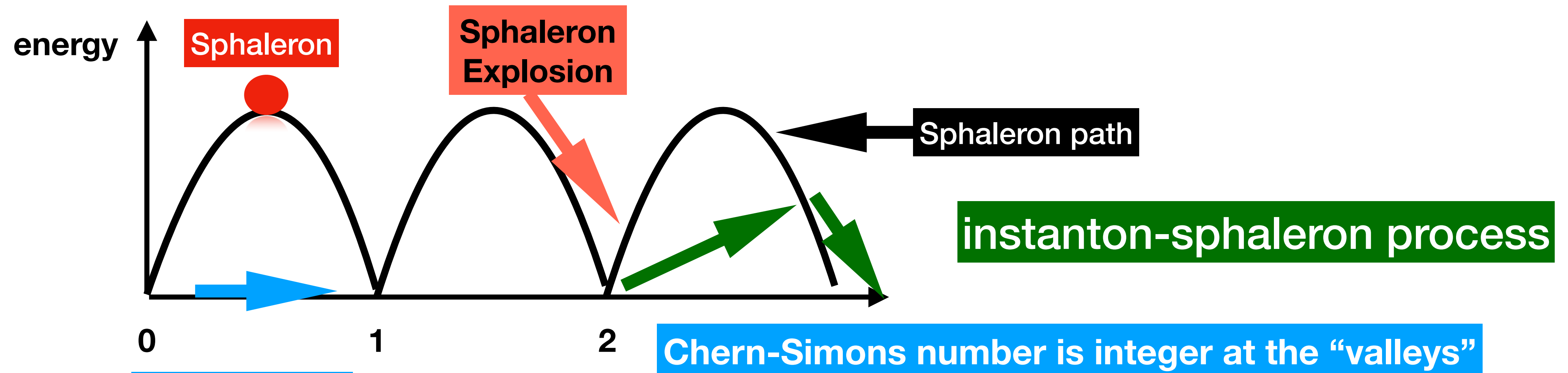
Instanton is Tunneling at Zero energy

Sphaleron is static purely magnetic object  
The name in Greek means  
"ready to fall" (Klinkhamer and Manton)

Sphaleron path consists of configurations  
Which are minima in all directions in Hilbert space  
**except one**  
Like streams going from mountain tops  
to the bottom of the valley



# Terminology of the topological landscape



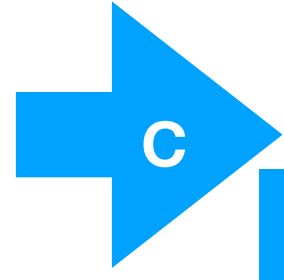
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We do have analytic results for  
All of them  
In pure gauge theory  
Which is not widely known

# historic introduction



Y. Nambu and G. Jona-Lasinio, Phys. Rev. **122**, 345 (1961). doi:10.1103/PhysRev.122.345

NJL introduced the **chiral symmetry** and **G large enough to break it** spontaneously  
 “constituent quark mass” like a gap in superconductors

gauge topology, tunneling  
 Instantons: BPST and t' Hooft, 1975-76  
 new effective Lagrangian  
 it violates U(1) chiral symmetry  
 Turning left-handed to right handed

Instanton liquid model (ES 1982)  
 instead of G and Lambda of NJL  
 another two parameters  
 their values are such that  
 chiral symmetry gets broken

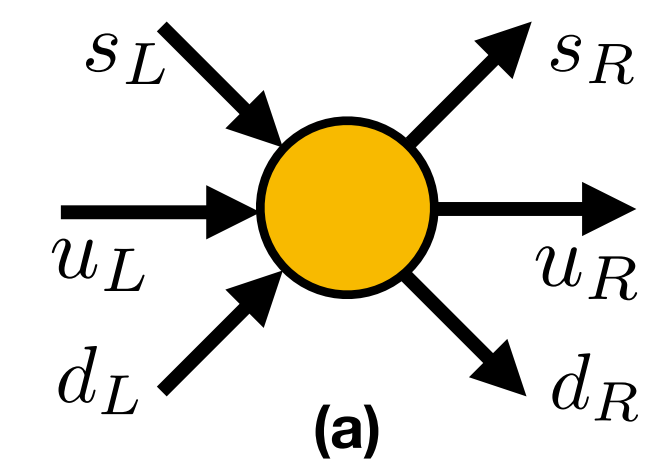
NJL model:

$$G[\vec{\pi}^2 + \sigma^2]$$

$$\vec{\pi} = (\bar{q}\vec{\tau}\gamma_5 q)$$

$$\sigma = (\bar{q}q)$$

$$G(|p| > \Lambda) = 0$$



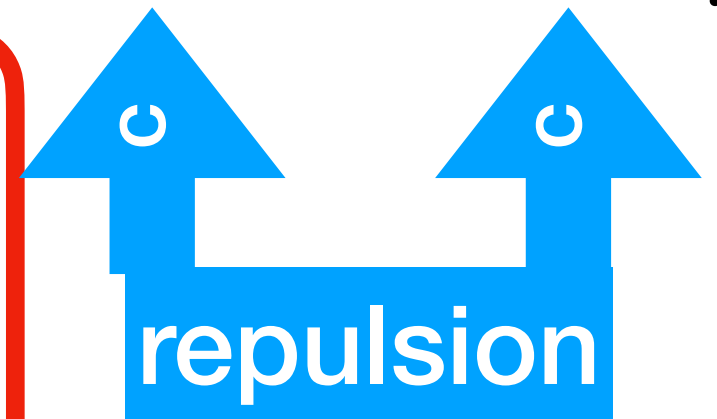
$$\vec{\delta} = (\bar{q}\vec{\tau}q)$$

$$\eta' = (\bar{q}\gamma_5 q)$$

$$G[\vec{\pi}^2 + \sigma^2 - \vec{\delta}^2 - \eta'^2]$$

$$n_{inst} \approx 1 \text{ fm}^{-4}$$

$$\rho \approx 1/3 \text{ fm}$$



Interacting instanton liquid model 1990s  
 summed all orders of 't Hooft vertex  
 calculated correlation functions  
 good description of chiral symmetry breaking  
 no confinement



## Instantons in the QCD VACUUM and HADRONS

“Instanton liquid model” , Shuryak, 1981

$n=1/\text{fm}^4$ ,  $\rho=1/3 \text{ fm} \Rightarrow$  chiral symmetry breaking

...

hep-ph/0008048.

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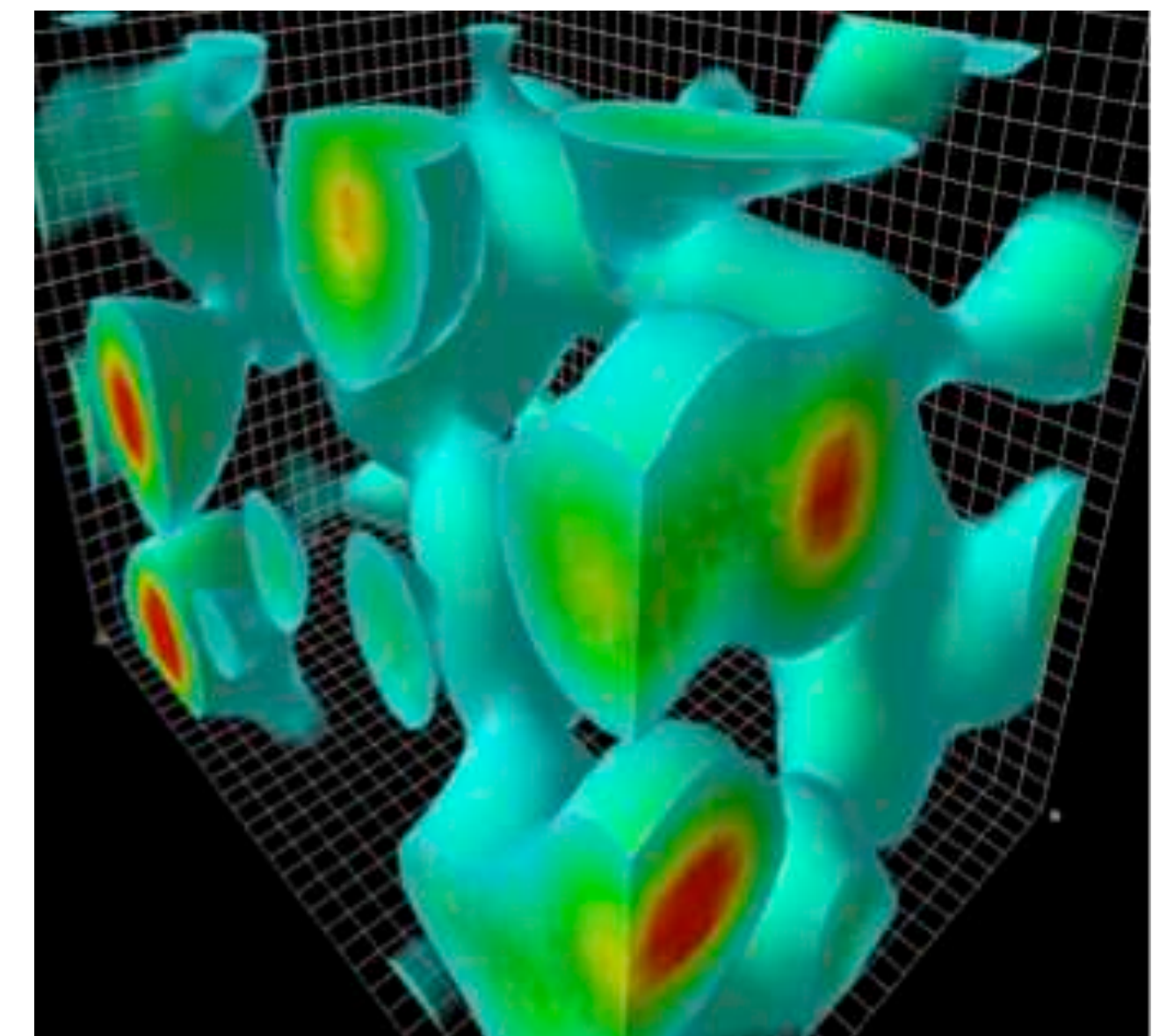
A snapshot of lattice G-dual G

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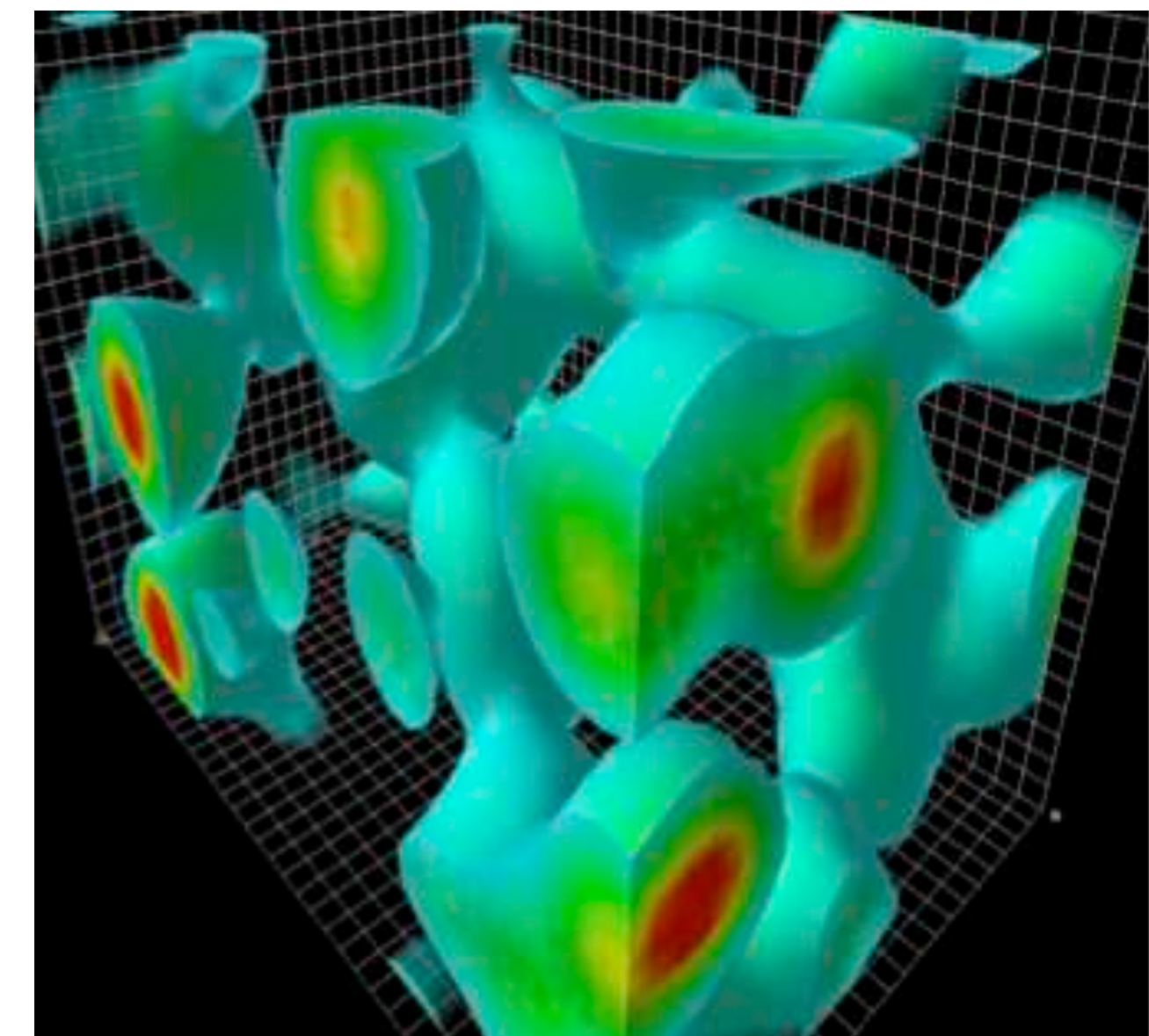
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Interacting ensemble of instantons - 1990's  
Multiple correlation functions

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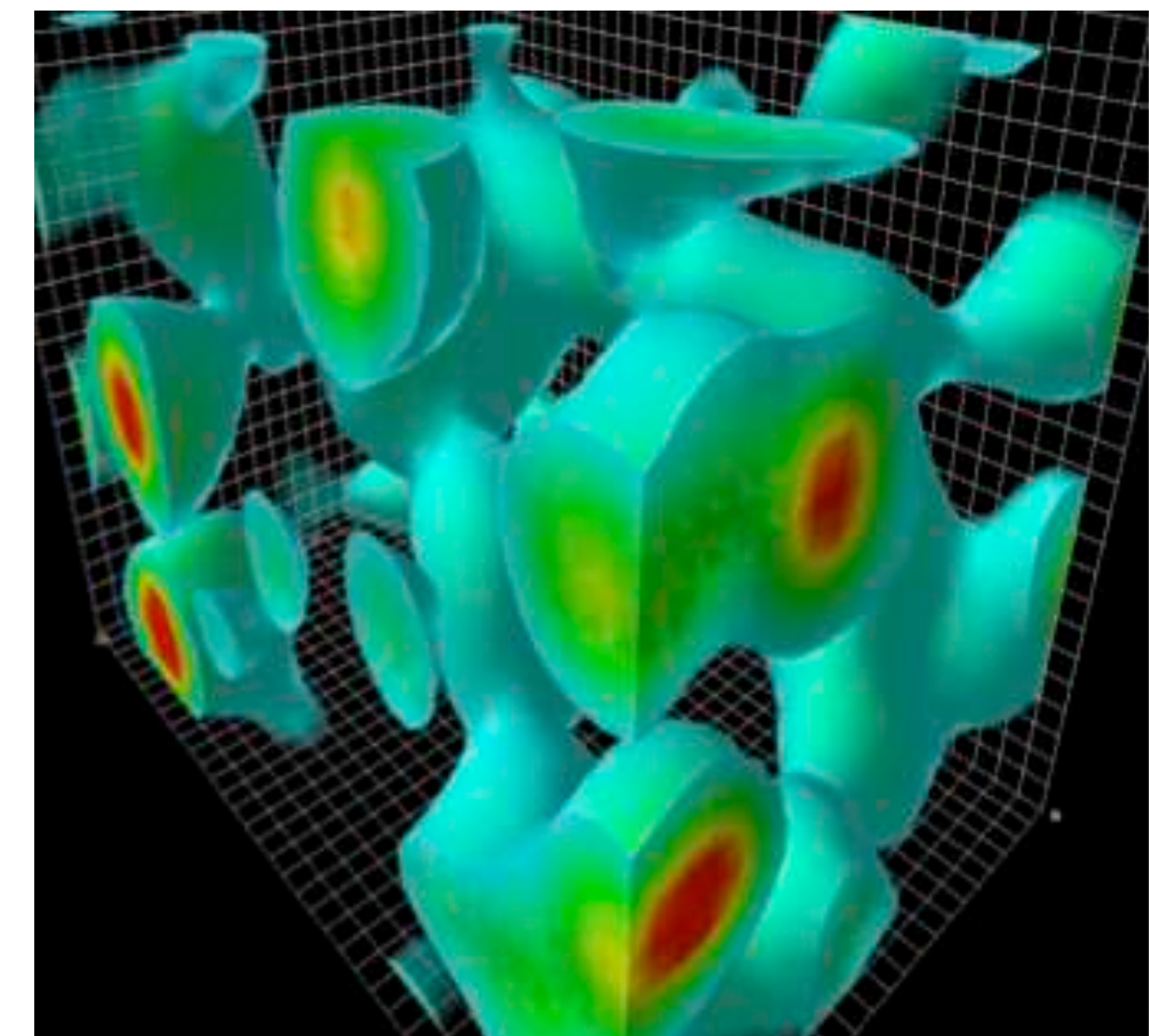
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Diquark formation inside nucleons  
(but not Deltas)  
Color superconductivity 1998

■ ■ ■



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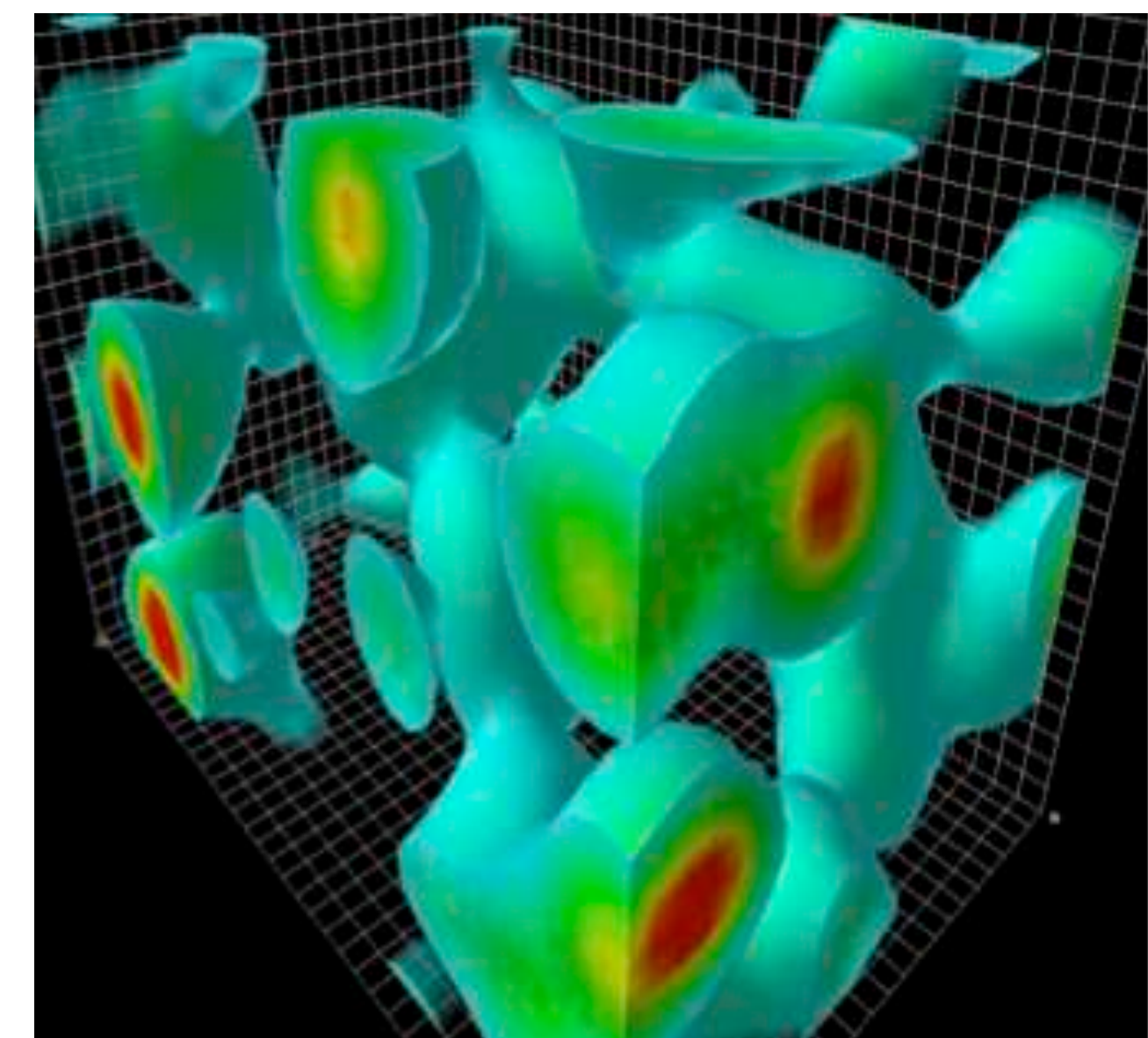
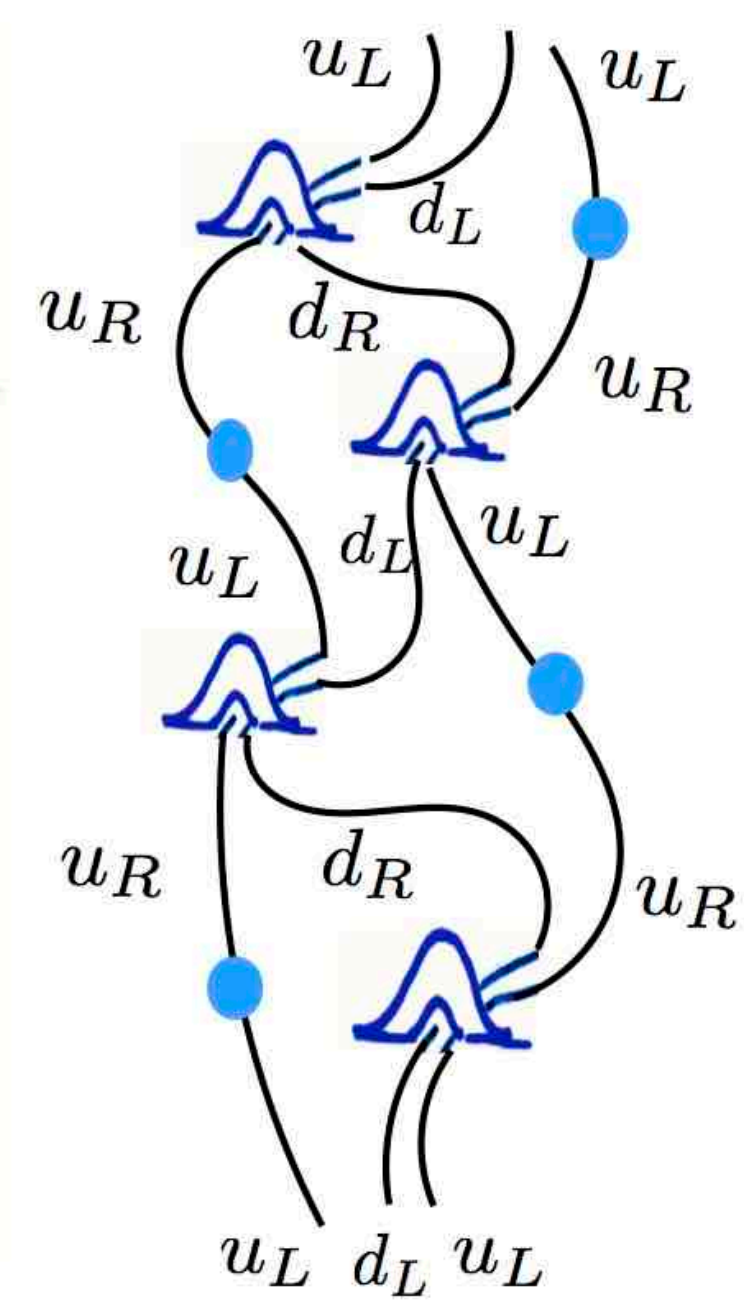
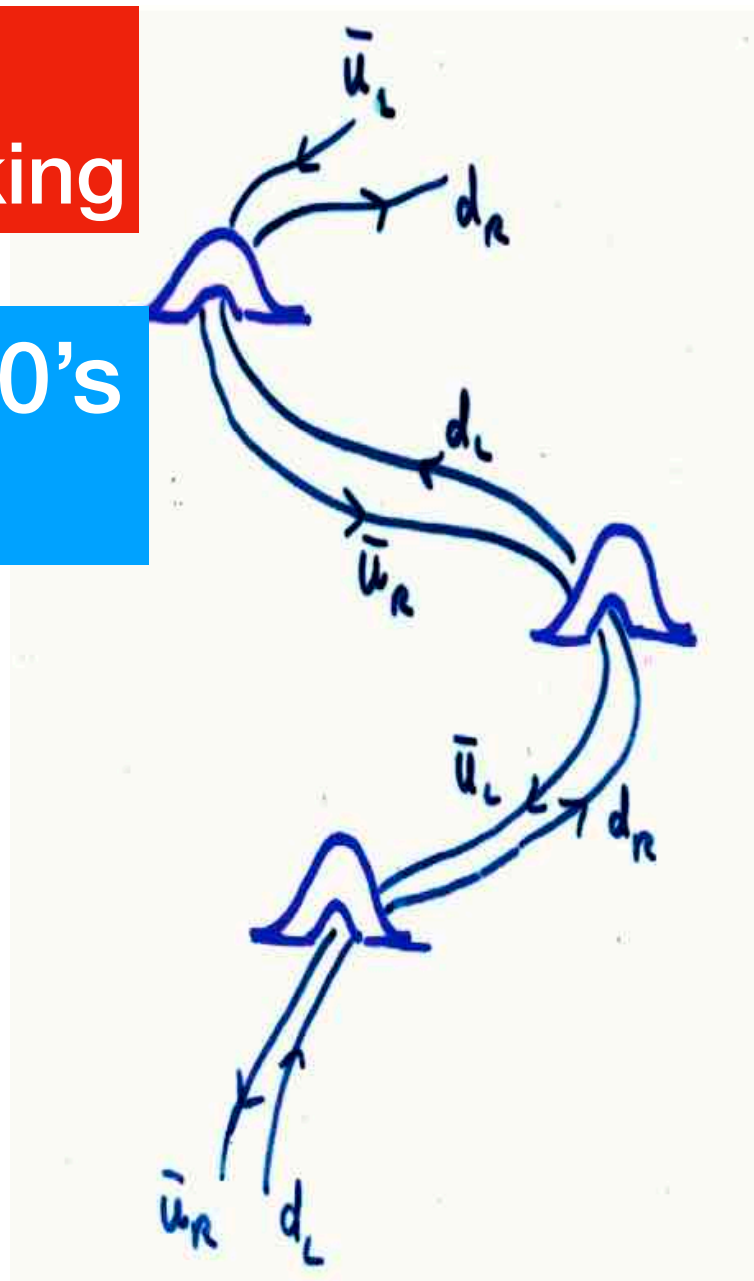
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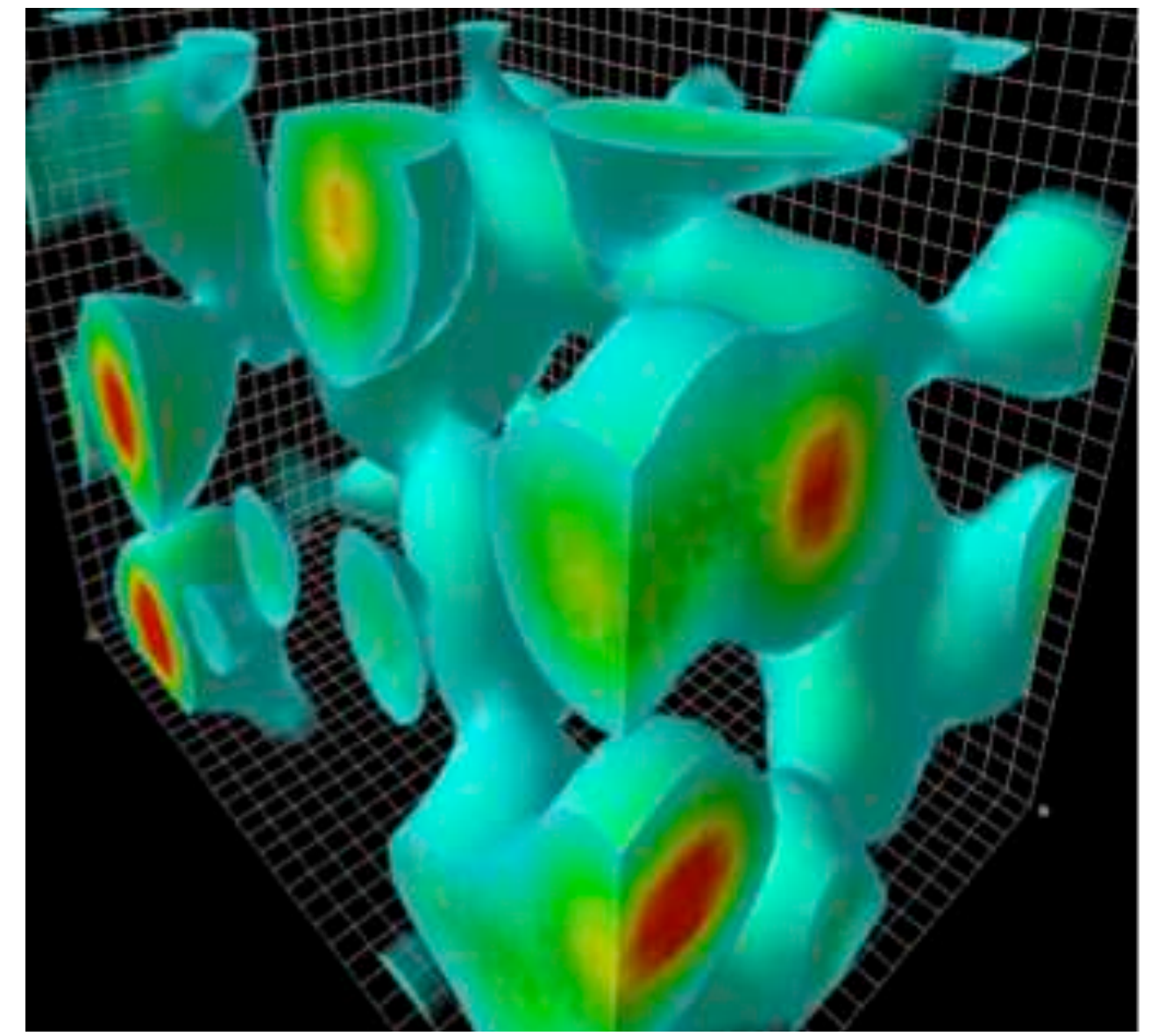
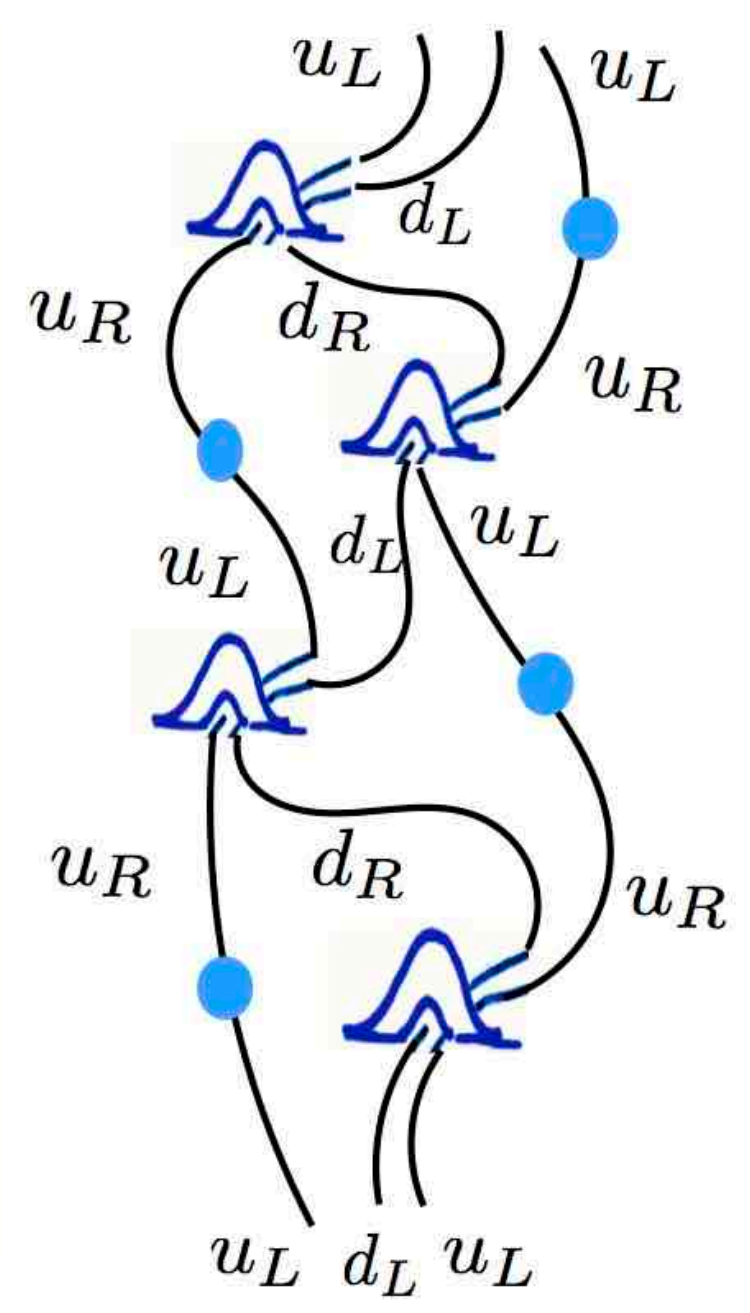
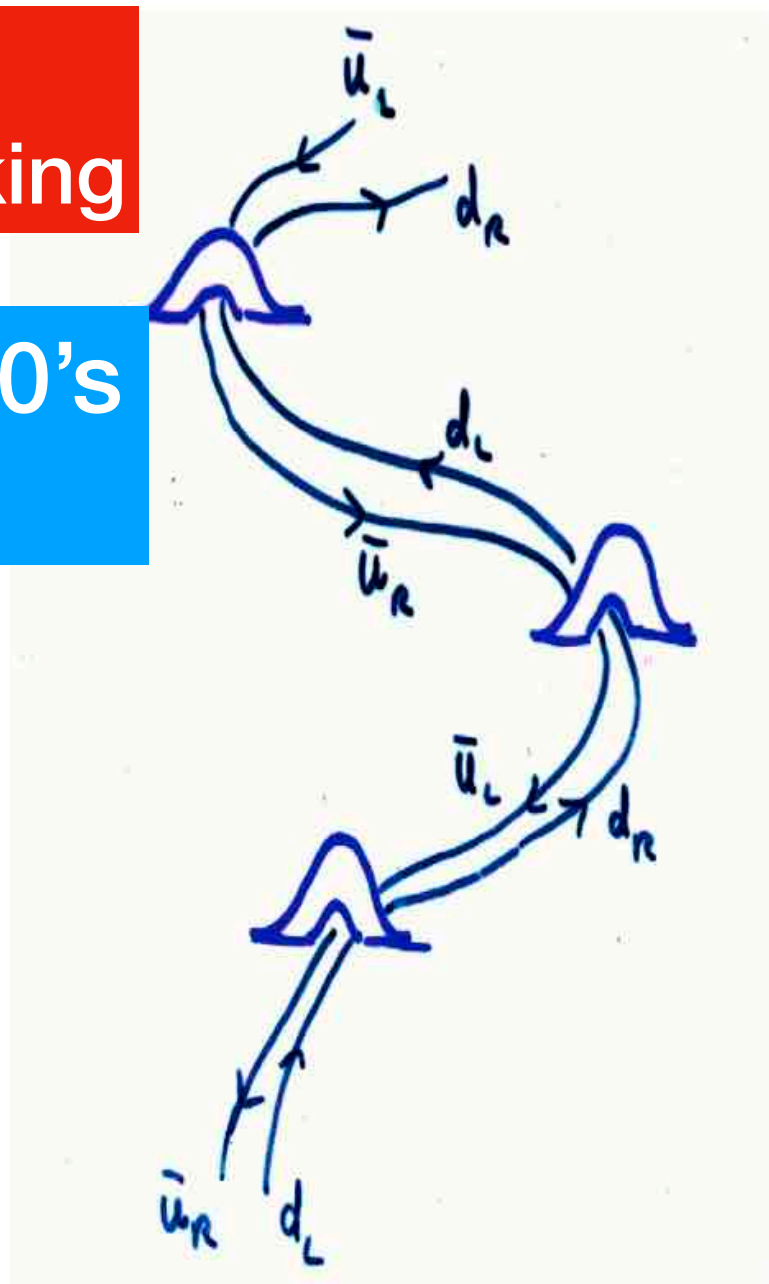
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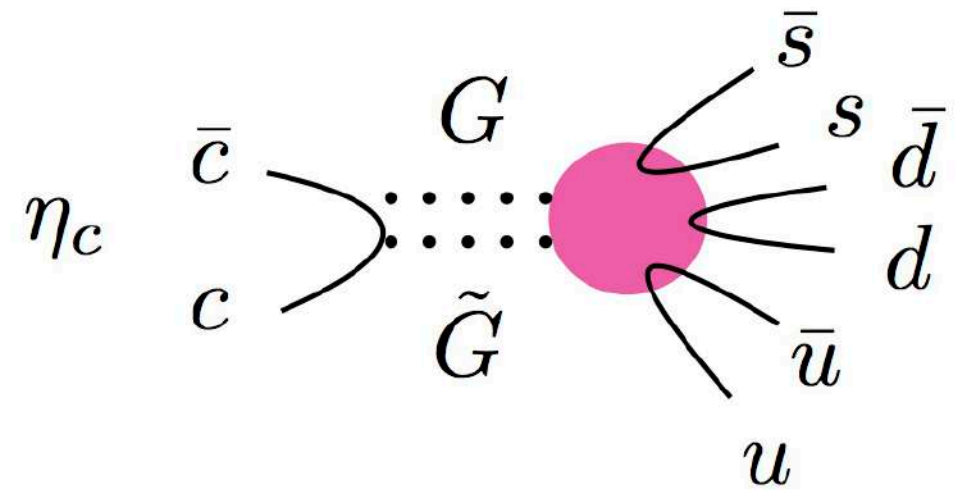
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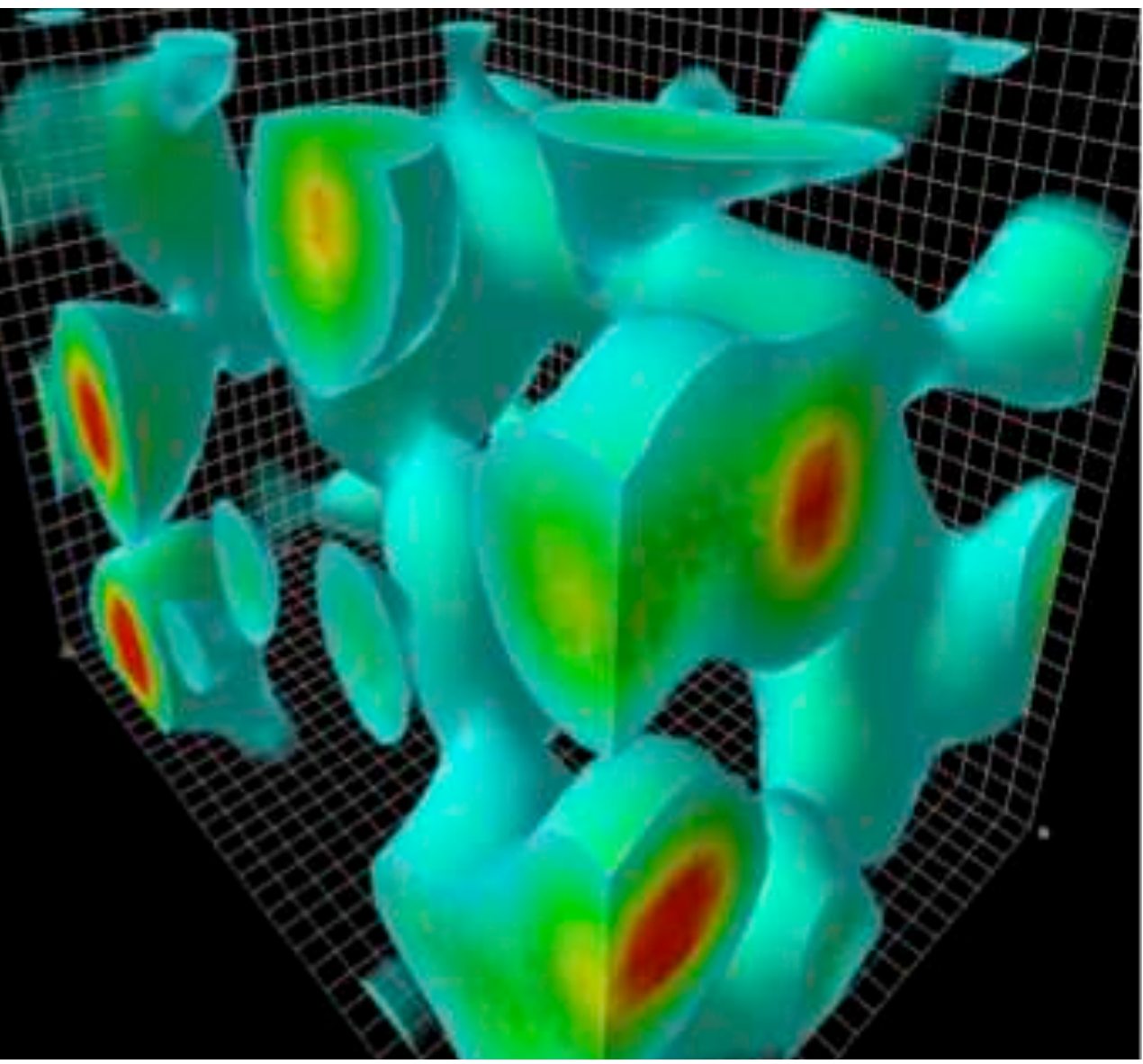
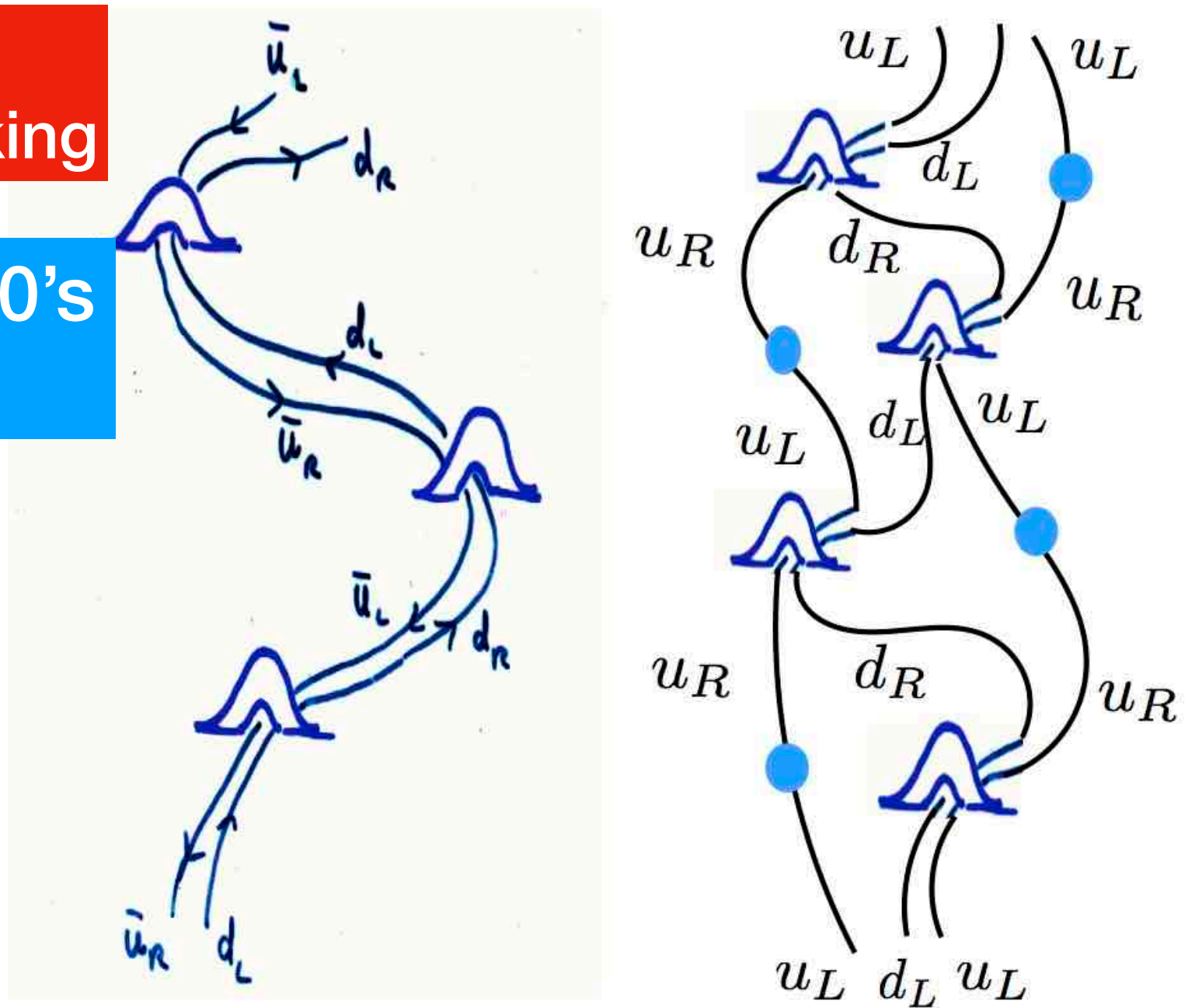
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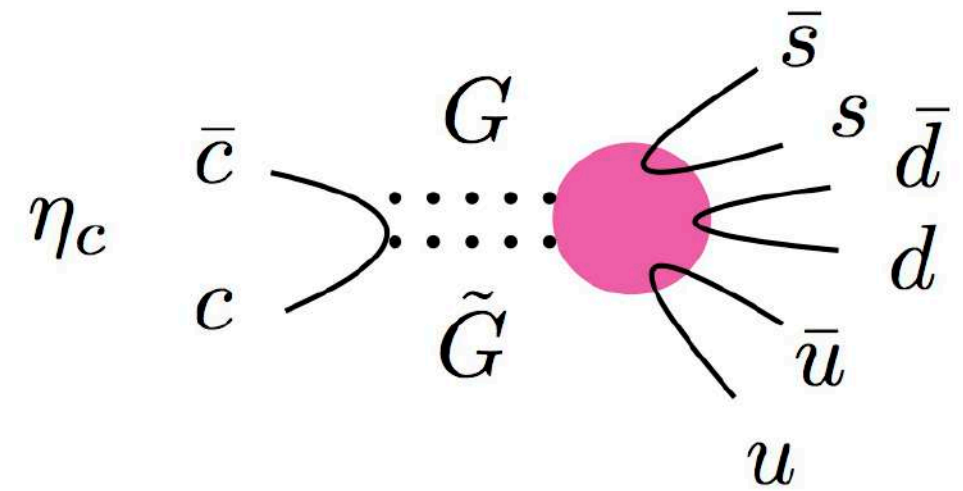
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$$\eta_c \rightarrow KK\pi; \pi\pi\eta; \pi\pi\eta'$$

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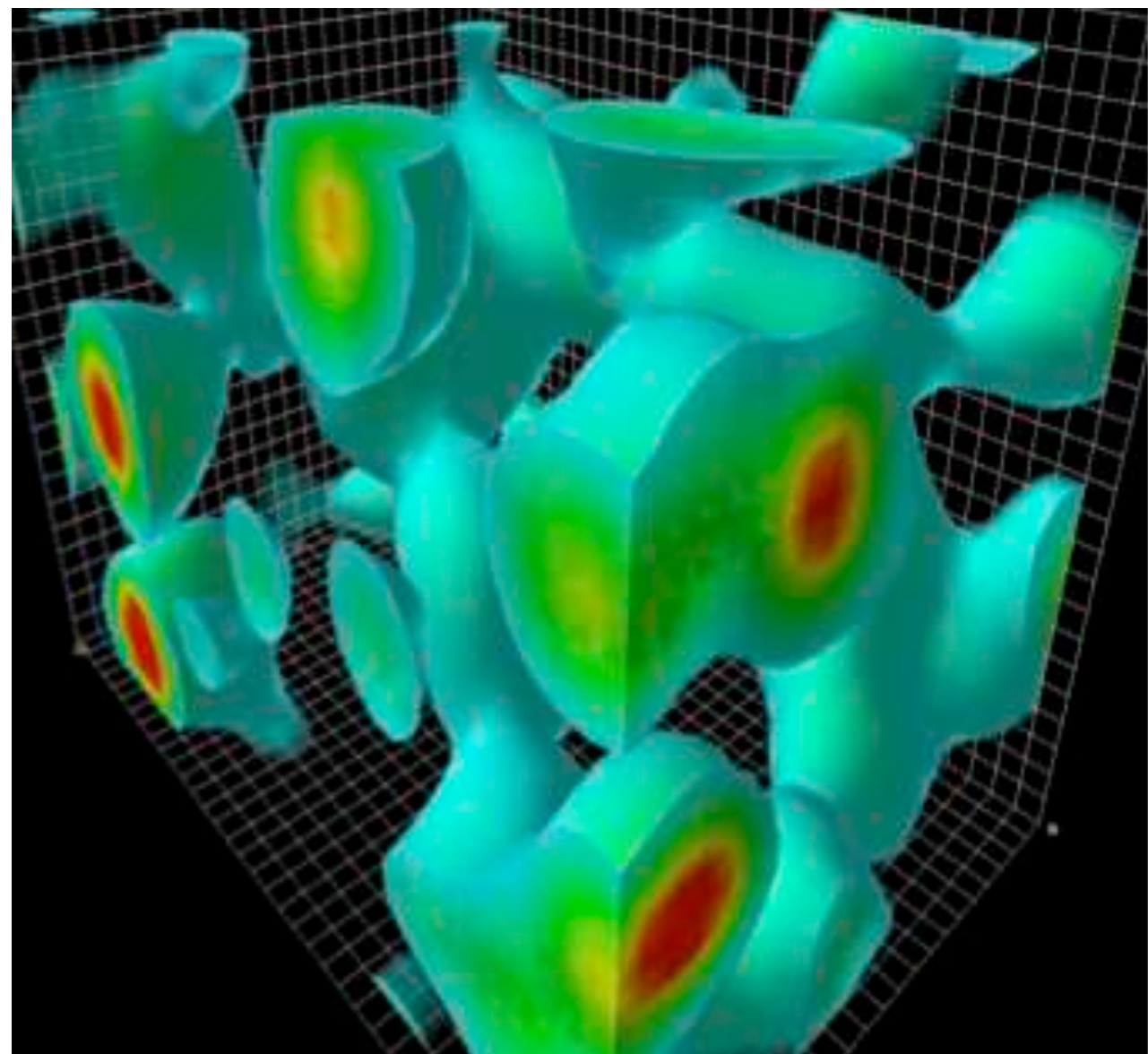
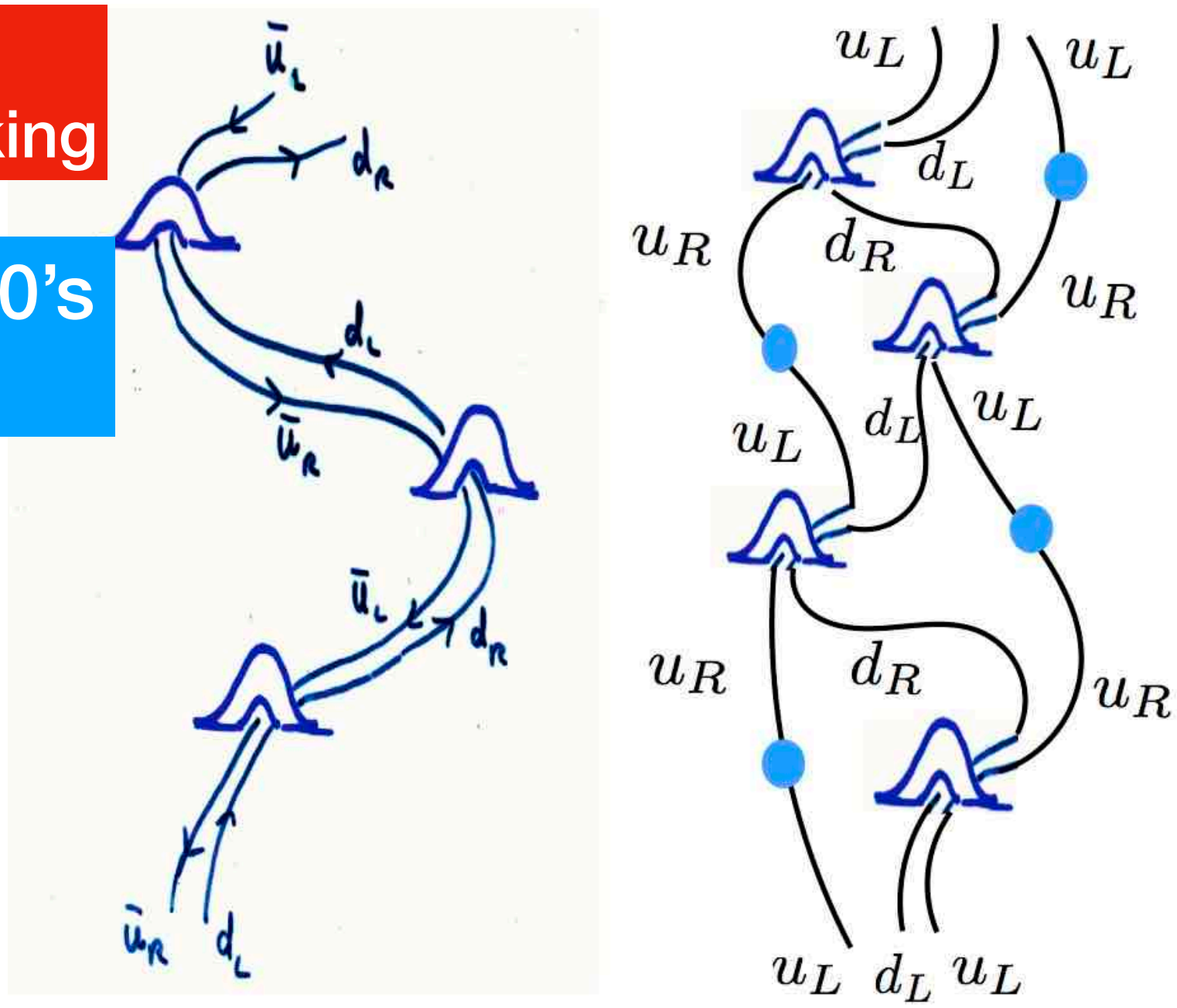
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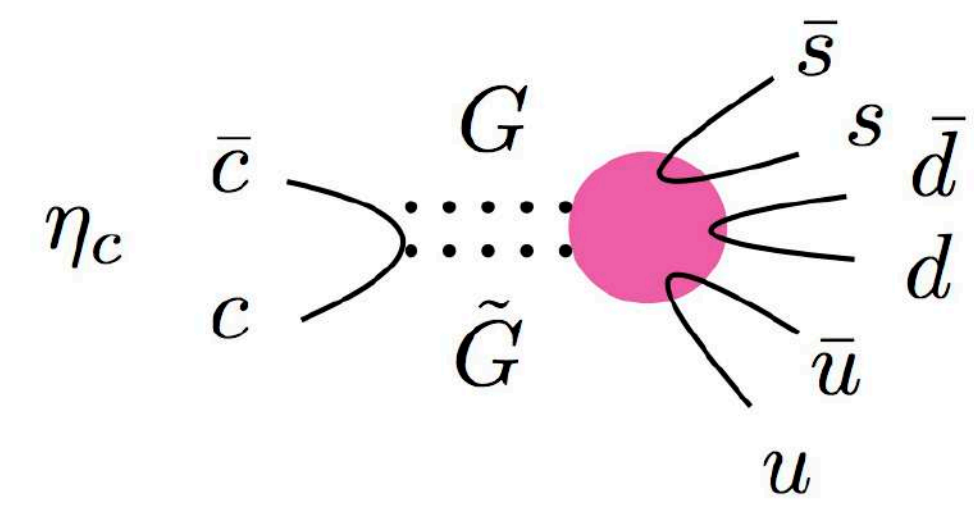
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But no pi,pi,pi or other 3-body decays



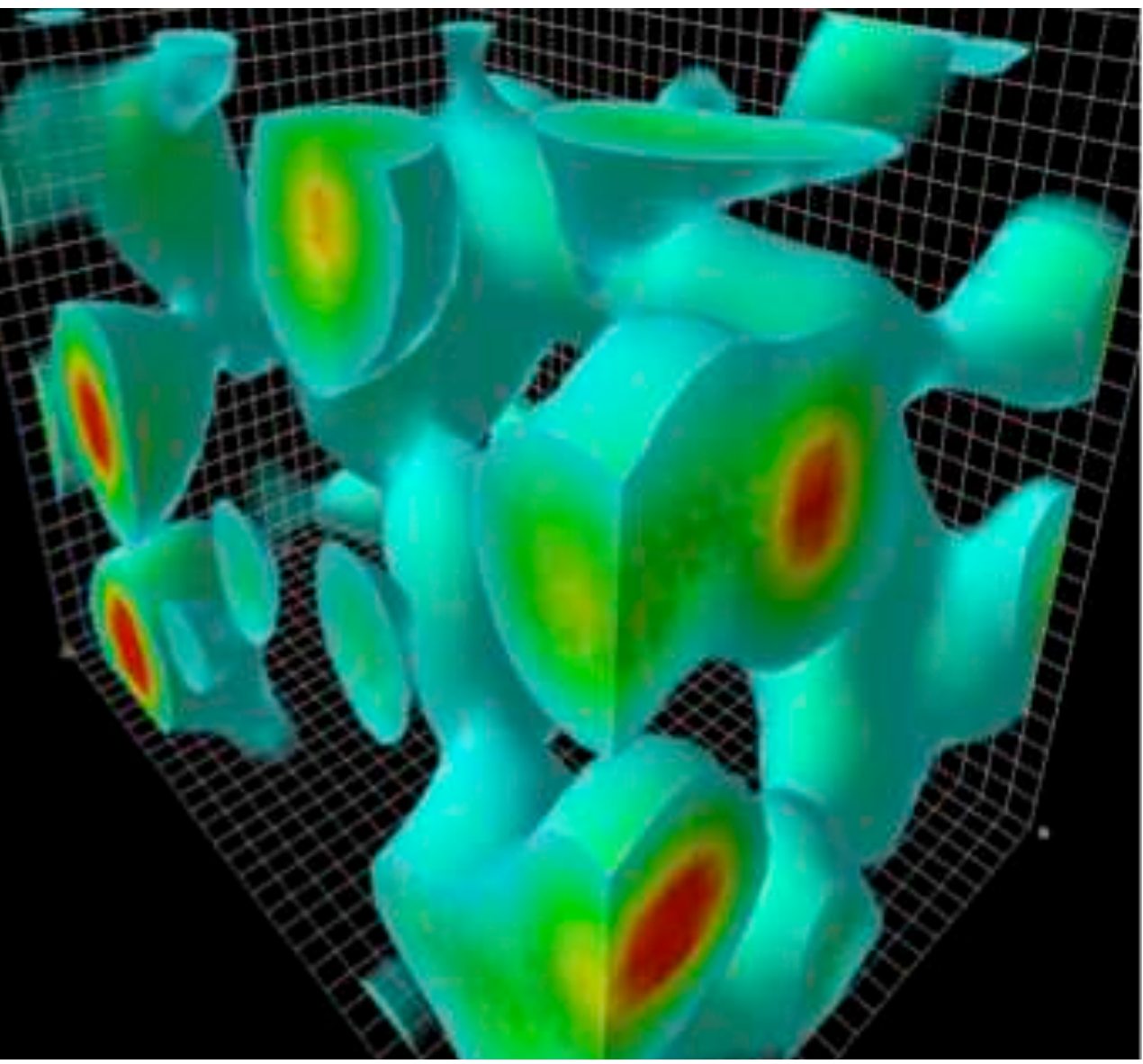
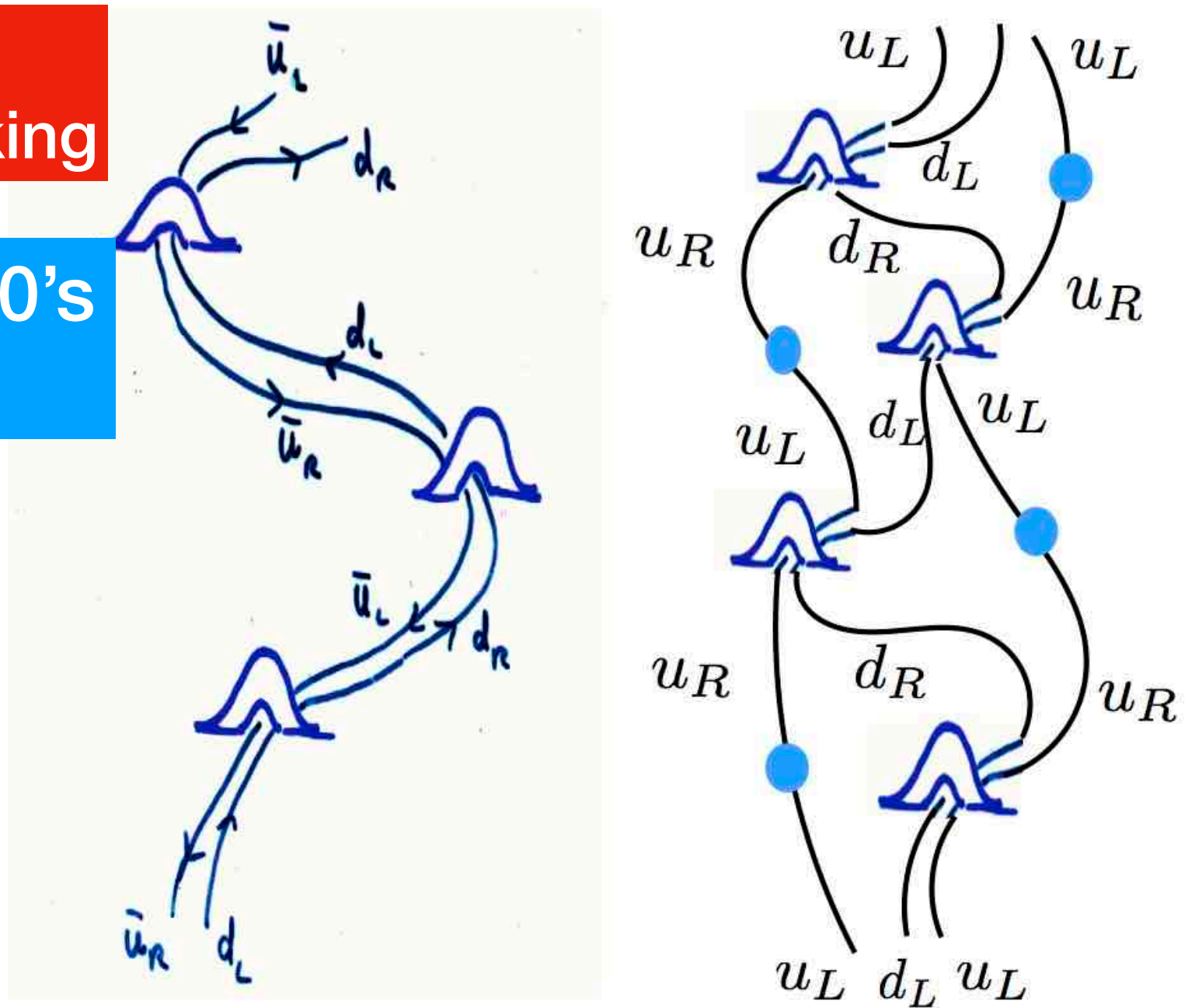
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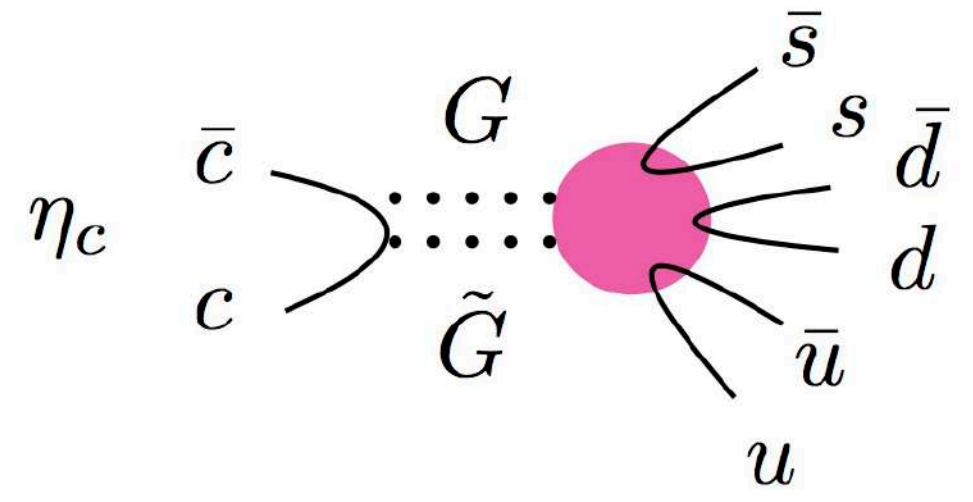
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Not seen in the control group  
 The J/psi decays



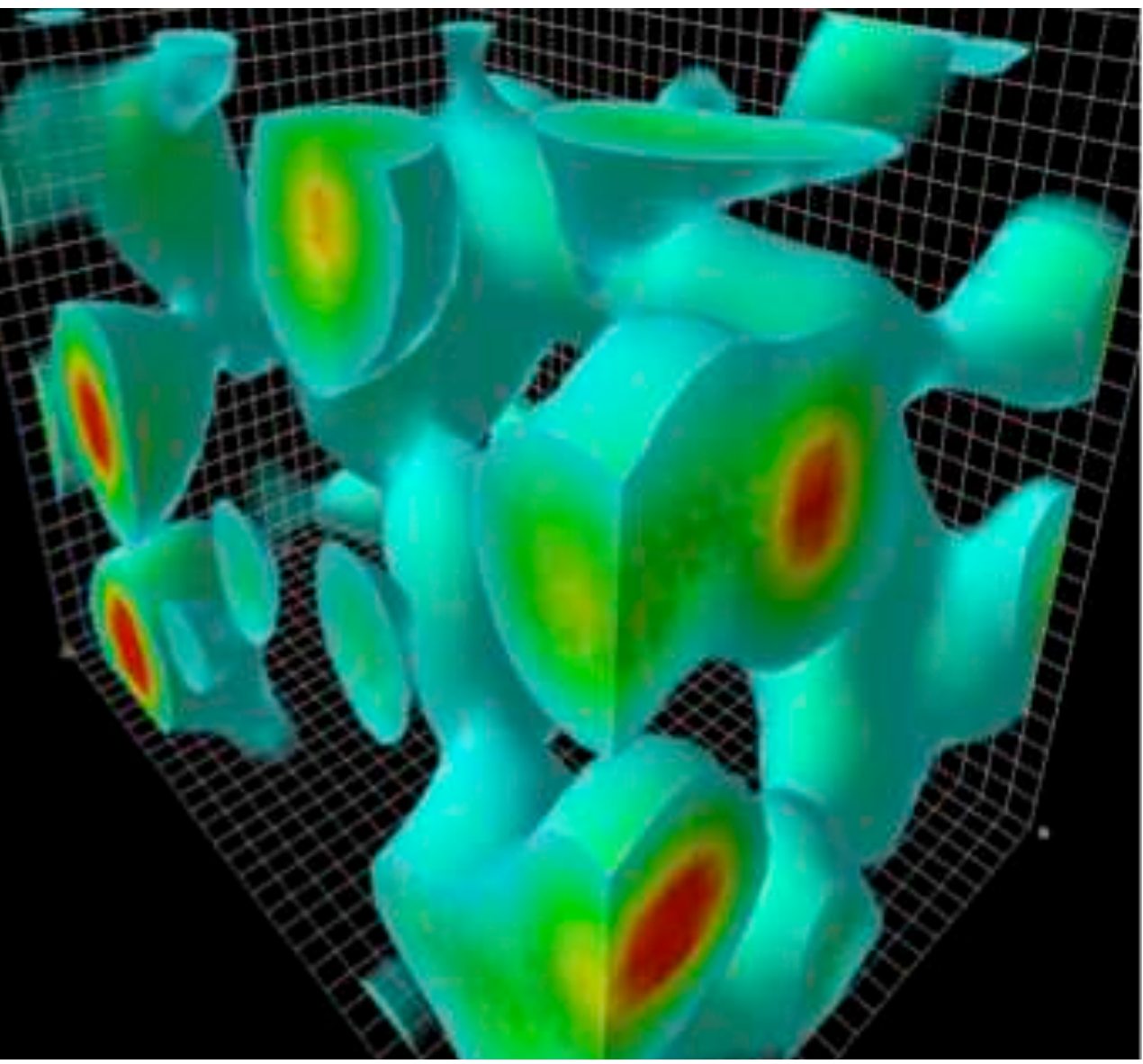
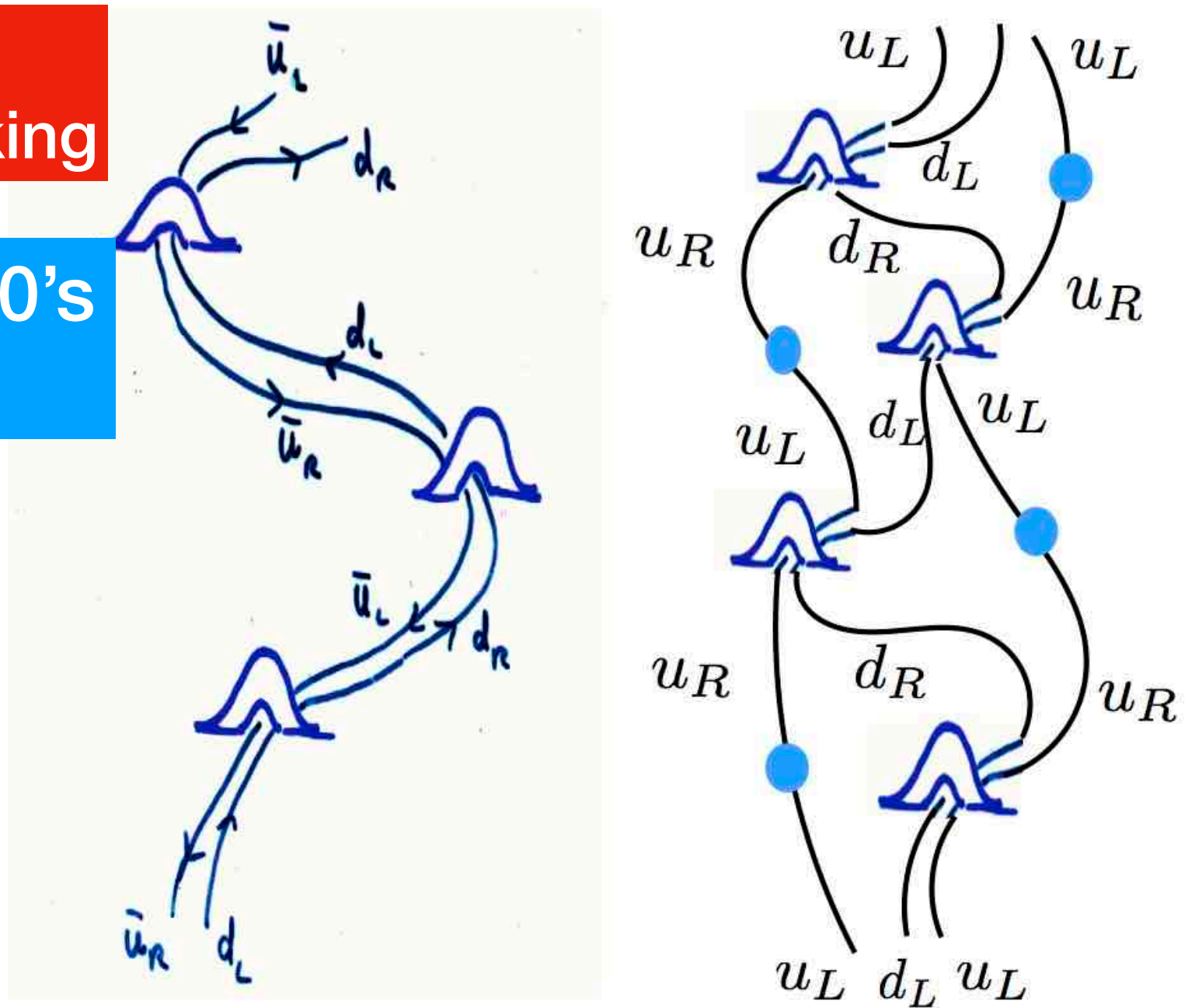
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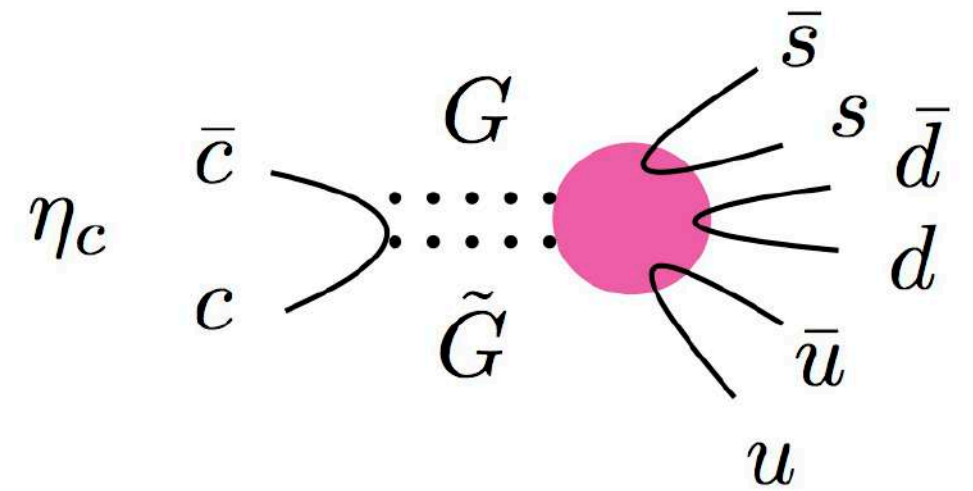
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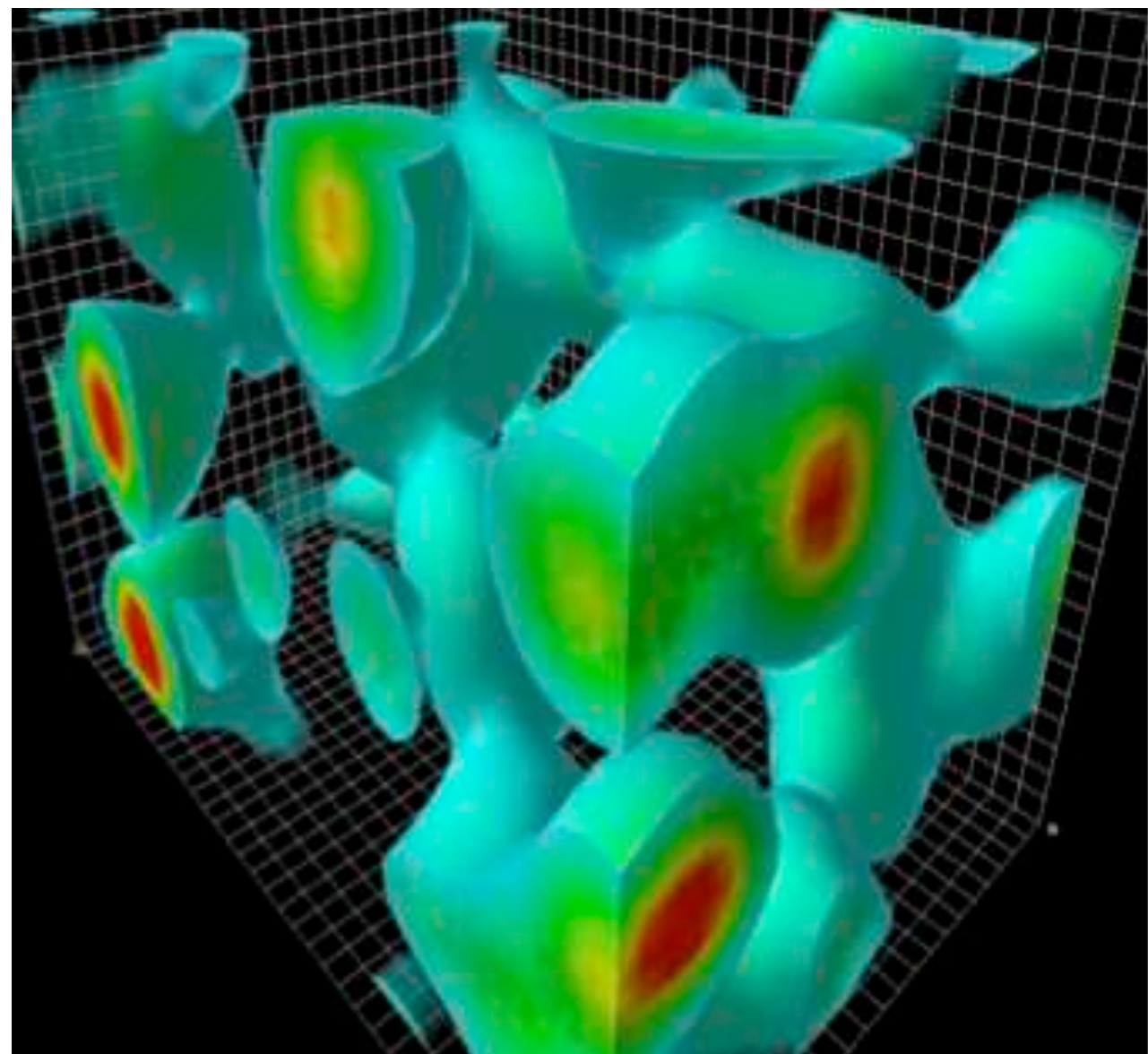
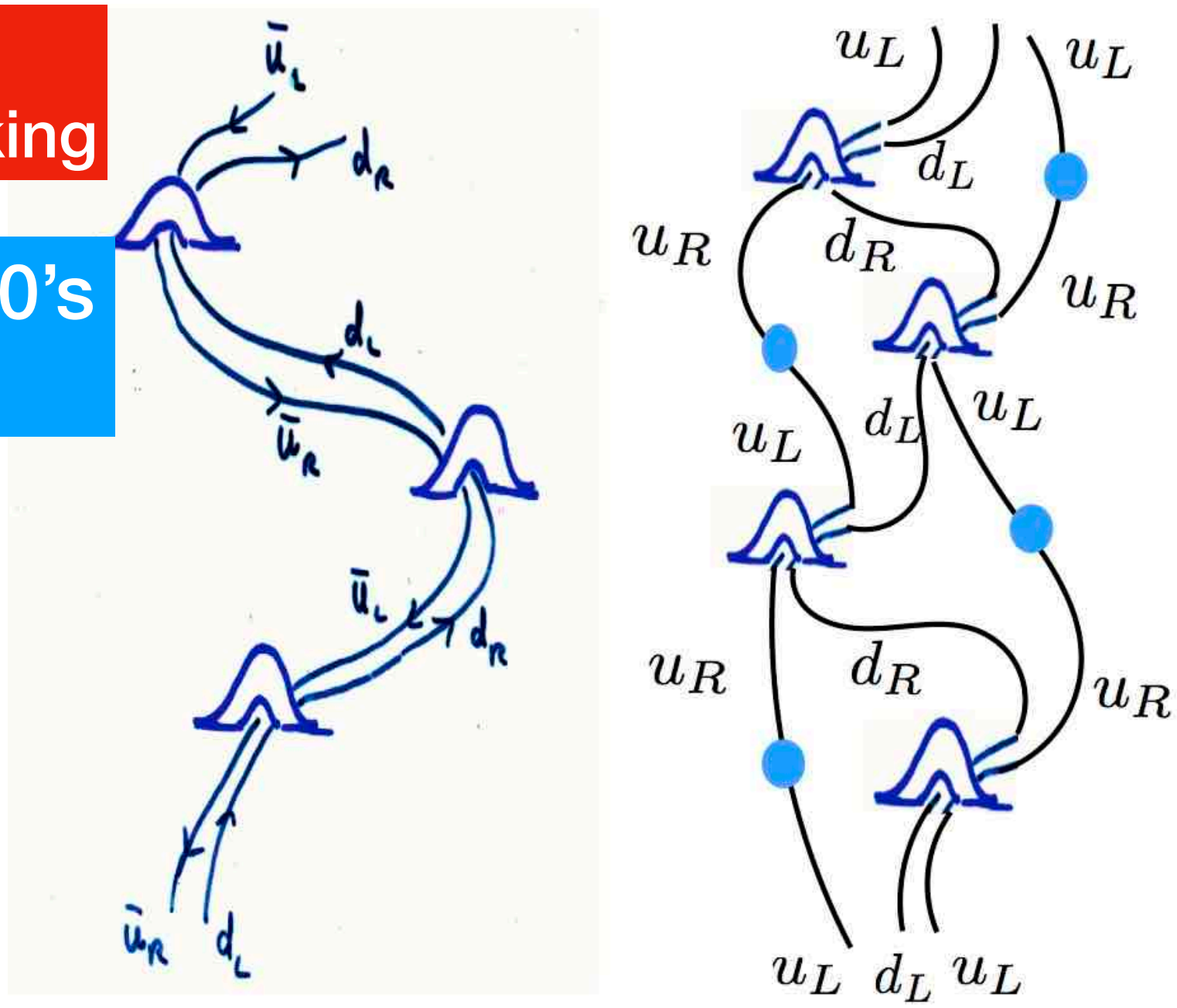
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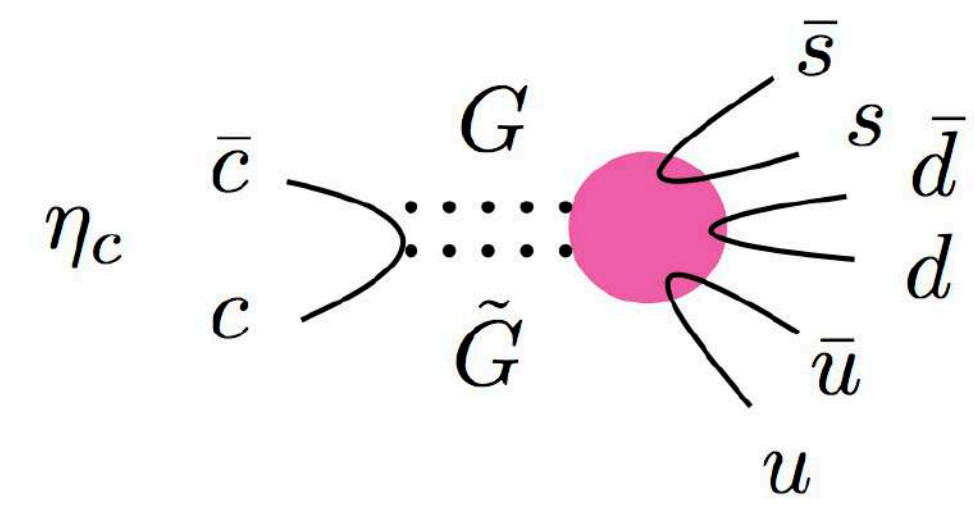
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Light-front wave functions of mesons, baryons, and pentaquarks with topology-induced local four-quark interaction  
 ES, Phys.Rev.D 100 (2019) 11, 114018 • e-Print: 1908.10270



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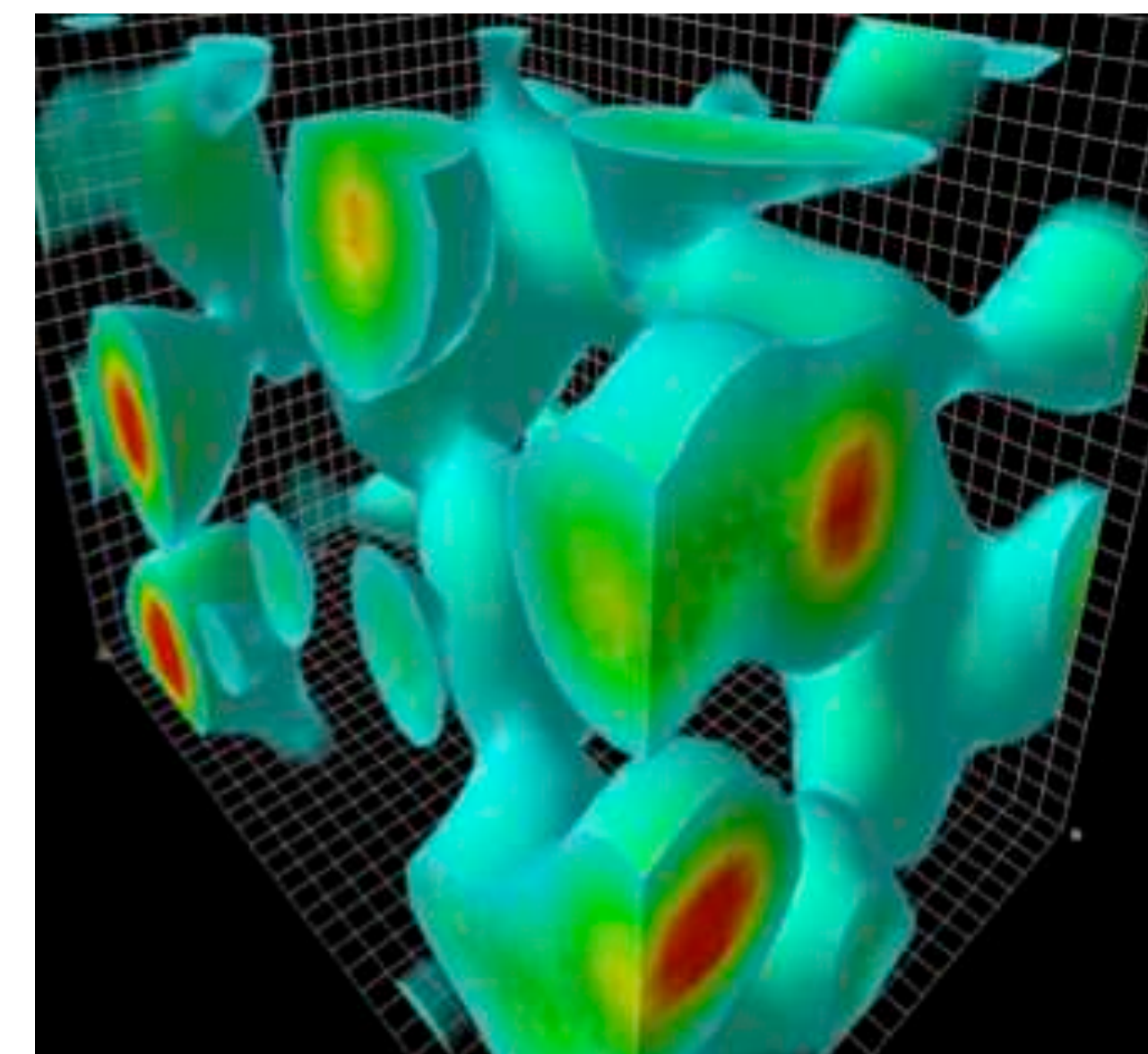
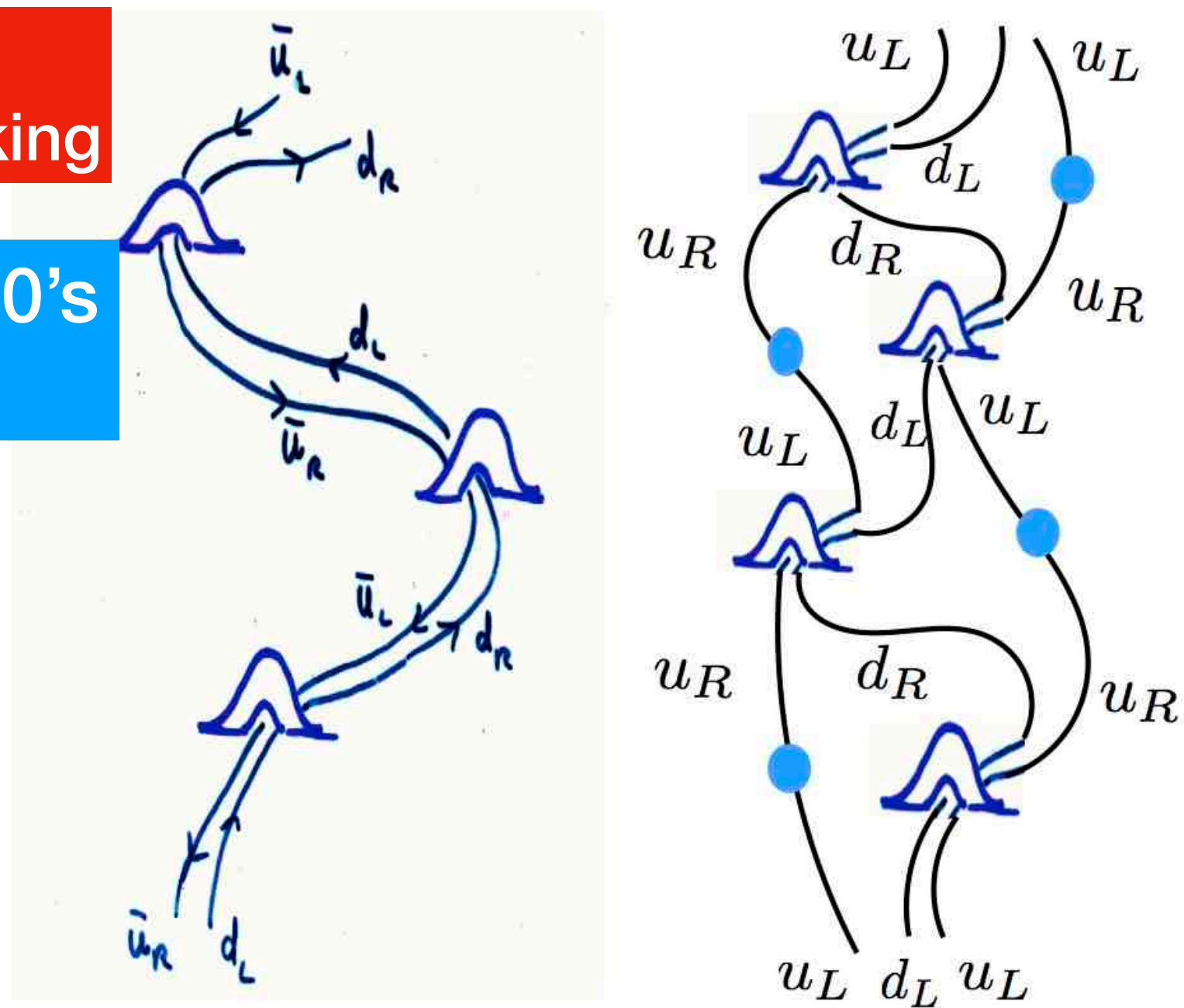
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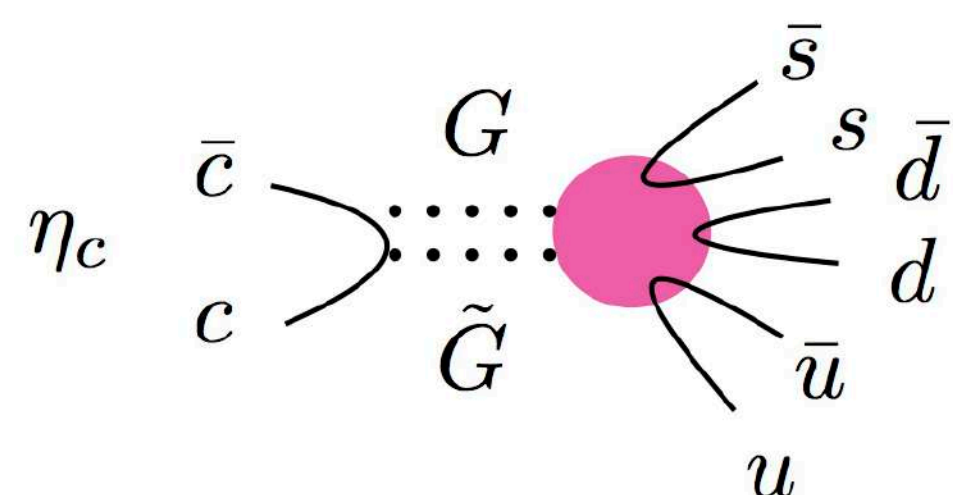
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Nonperturbative quark-antiquark interactions in mesonic form factors ES, Ismail Zahed , 2008.06169



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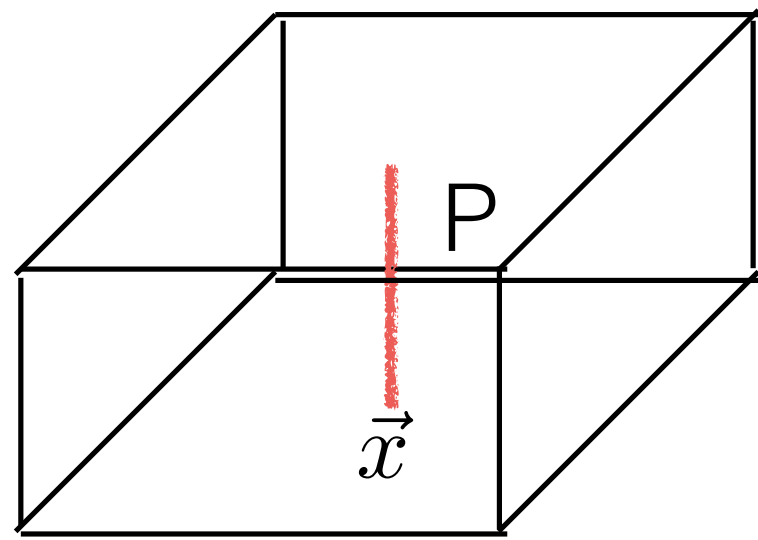
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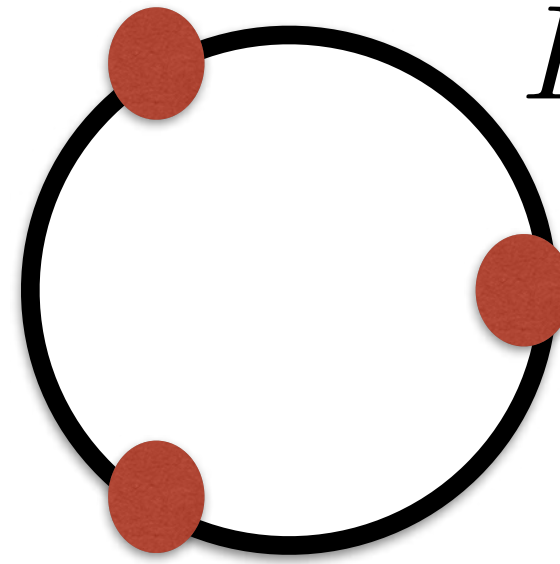
# Instanton-dyons



# The Polyakov line is used as order parameter for deconfinement



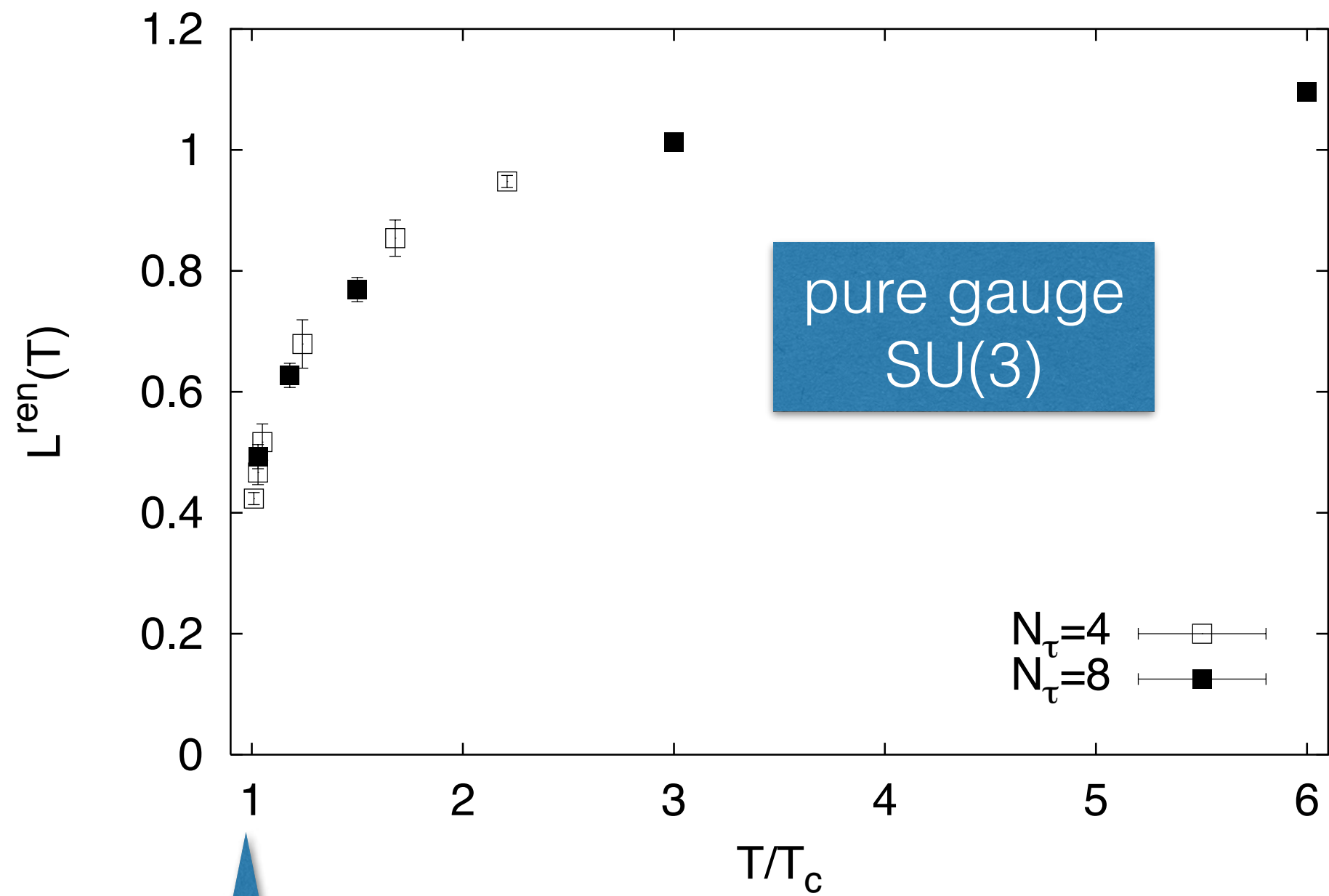
$\tau = x_4$   
 $\in [0, \hbar/T]$



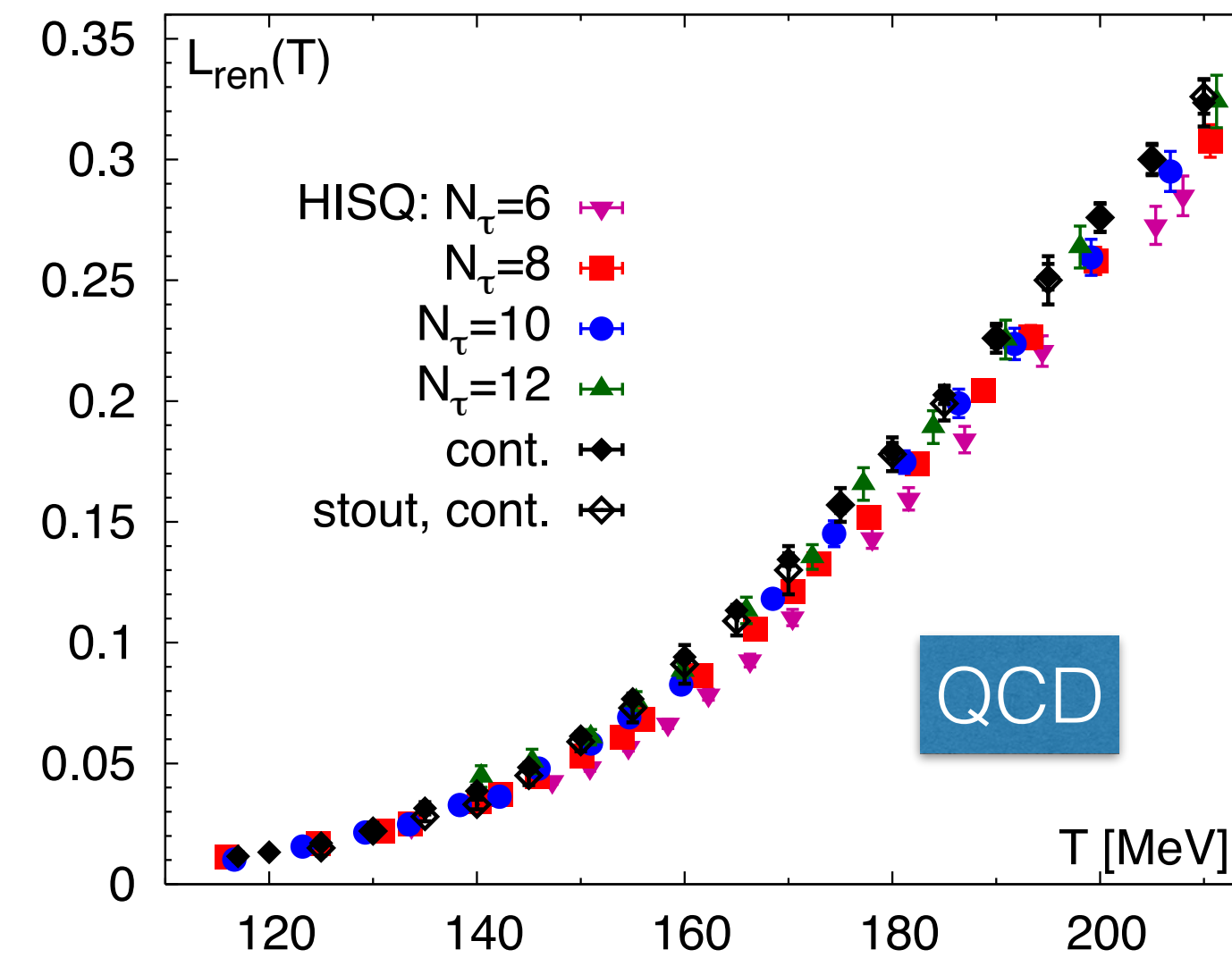
$$L = P = P \exp(i \oint A_\mu^a T^a dx_\mu)$$

$$L = \text{diag}(e^{i\mu_1}, e^{i\mu_2}, \dots, e^{i\mu_{N_c}})$$

$$\frac{1}{N_c} \text{Tr}(L) \sim e^{-F_q/T}$$



**L jumps to zero  
the first order transition**



**Kaczmarek et al 2002  
Bazavov et al 2016**

**Pisarski "semi-QGP" paradigm,  
PNJL model**

**Non-zero Polyakov line splits instantons  
into  $N_c$  instanton-dyons  
(Kraan, van Baal, Lee, Lu 1998)**

**Explained mismatch of quark condensate in SUSY QCD**

V.Khoze (jr) et al 2001

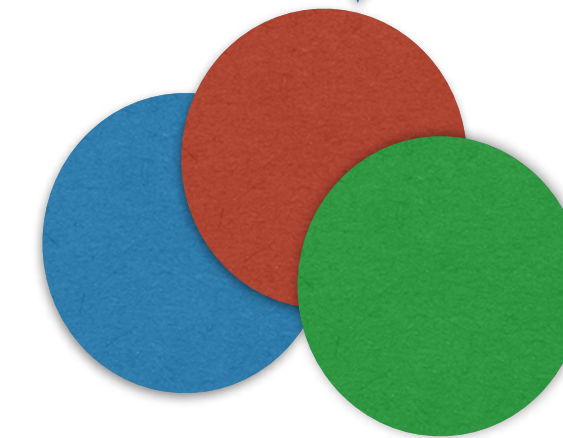
**Explained confinement by back reaction to free energy**

D.Diakonov 2012, Larsen+ES, Liu, Zahed+ES 2016

**Explain chiral symmetry breaking in QCD  
and in setting with **modified fermion periodicities****

R.Larsen+ES 2017, Unsal et al 2017

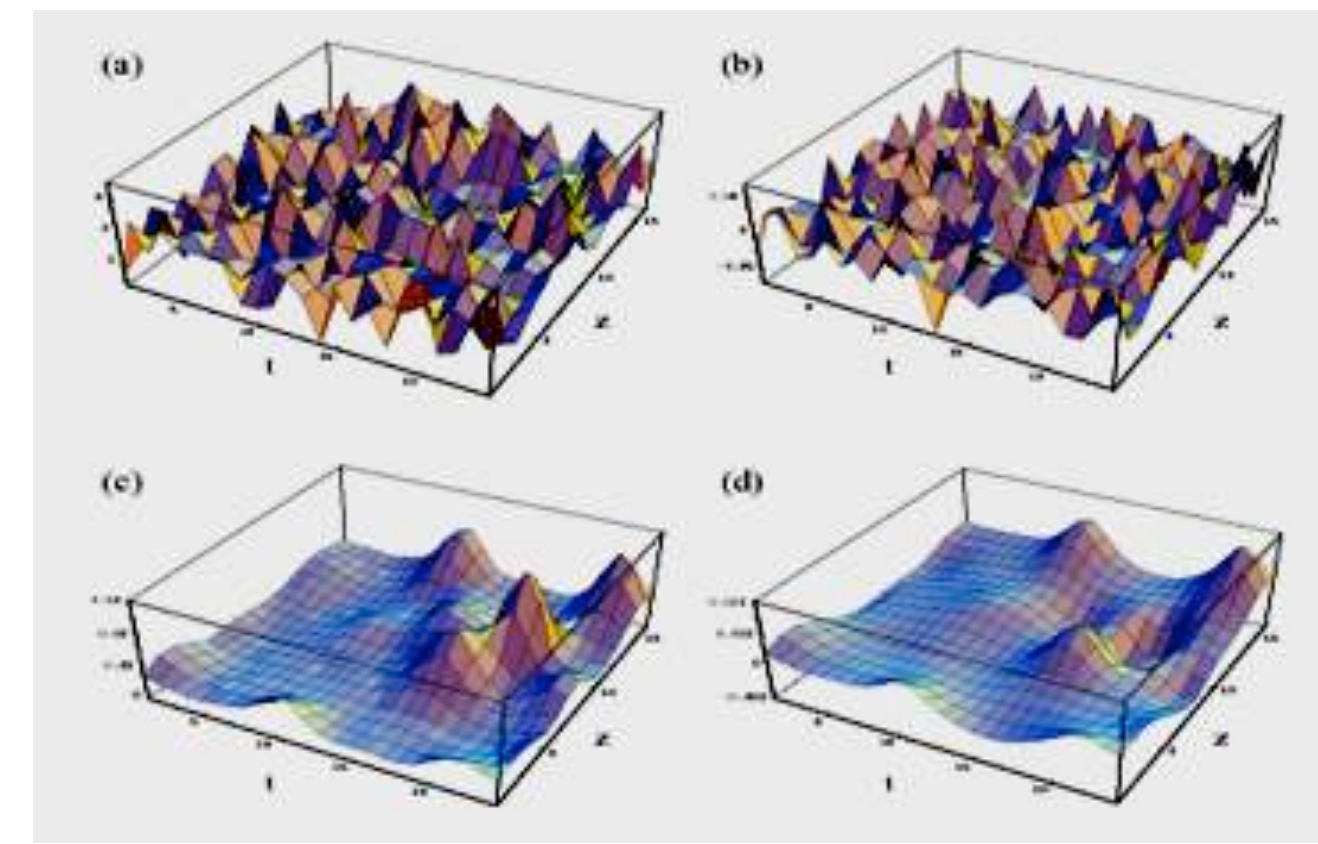
BPST



Pierre van Baal

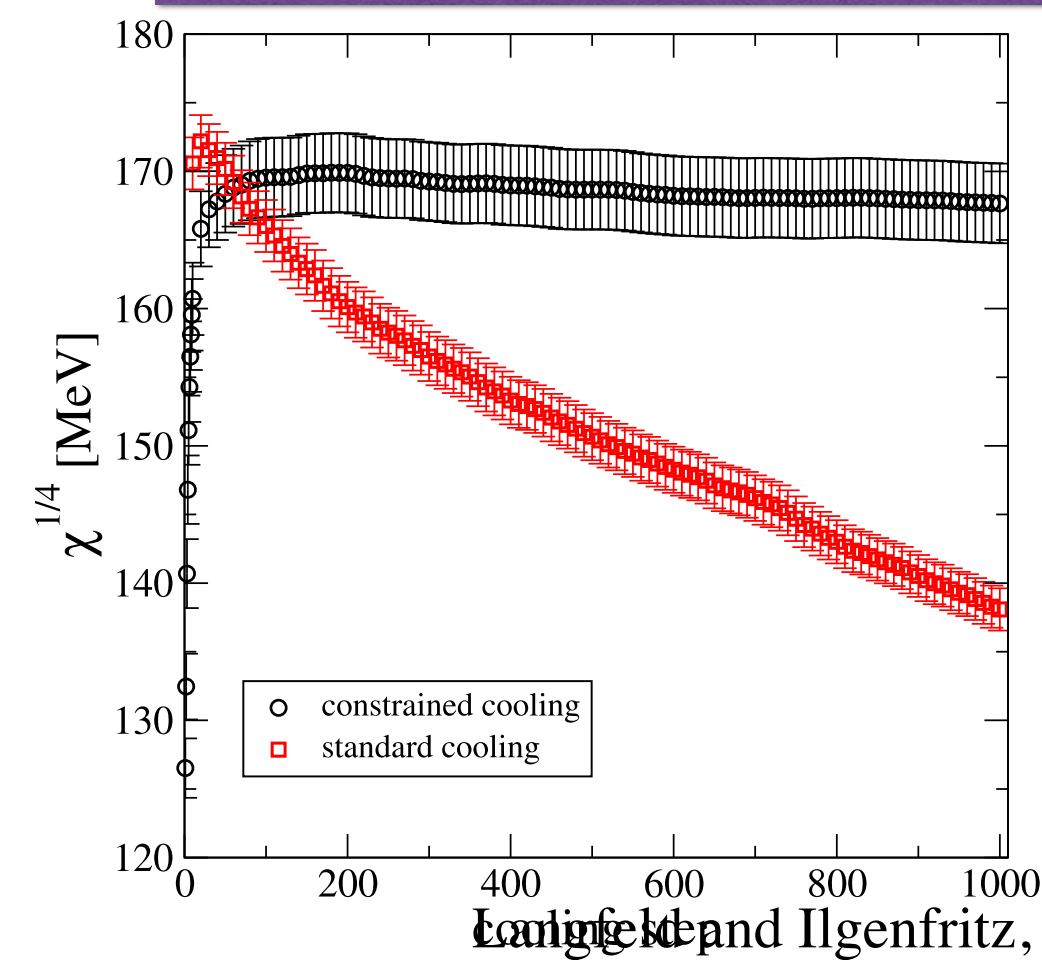


**“action cooling” is known to eliminate gluons and lead to instantons**

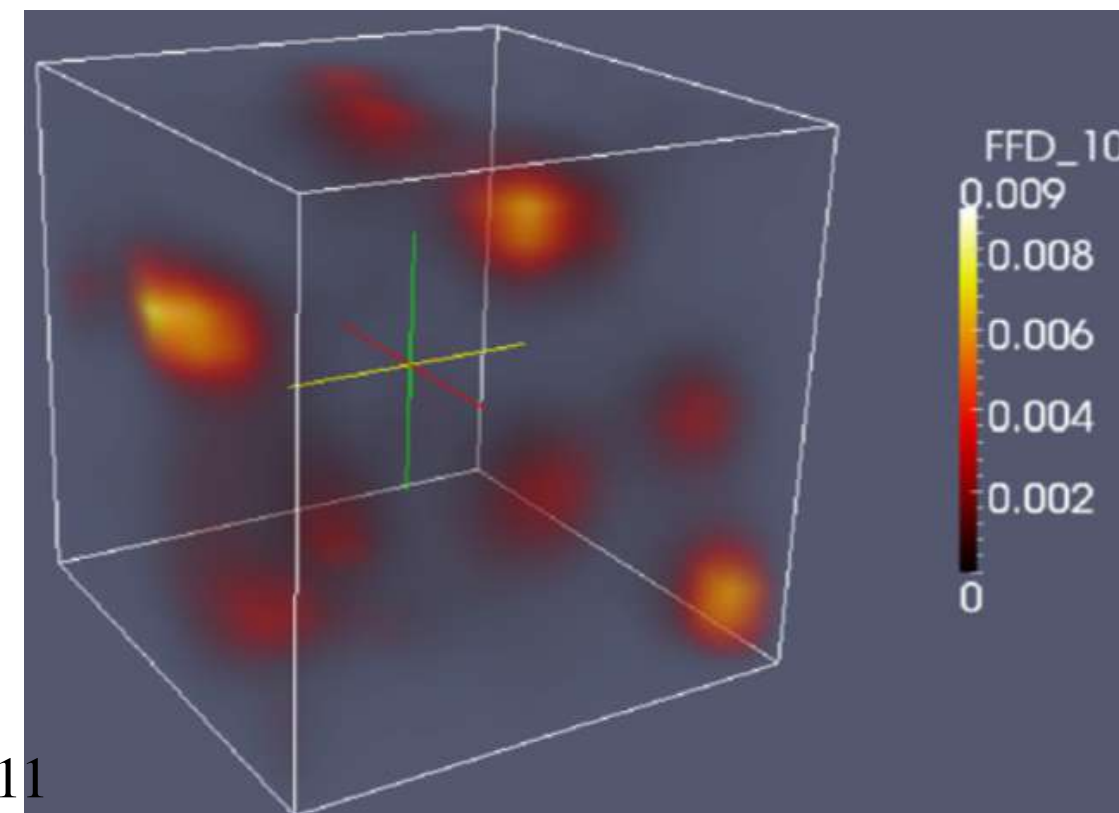


Negele et al, 97

**perhaps dyons were first observed in “constrained cooling” preserving local L**



Lüscher and Ilgenfritz, 2011



**while the total top.charge of the box is always integer, local bumps are not!  
They are all (anti)selfdual  
But top charge and actions  
Were not integers!**

a lot of work on finding instanton-dyons was done by C.Gattringer et al, Ilgenfritz et al



**QCD with near-real quark masses,  
at  $T$  slightly above  $T_c$**

the cleanness case:  
domain wall fermions  
 $Q=1$  configurations  
 $N_t=8, N_x=32, T/T_c=1, 1.08$

excellent agreement of the shape  
with analytic formulae

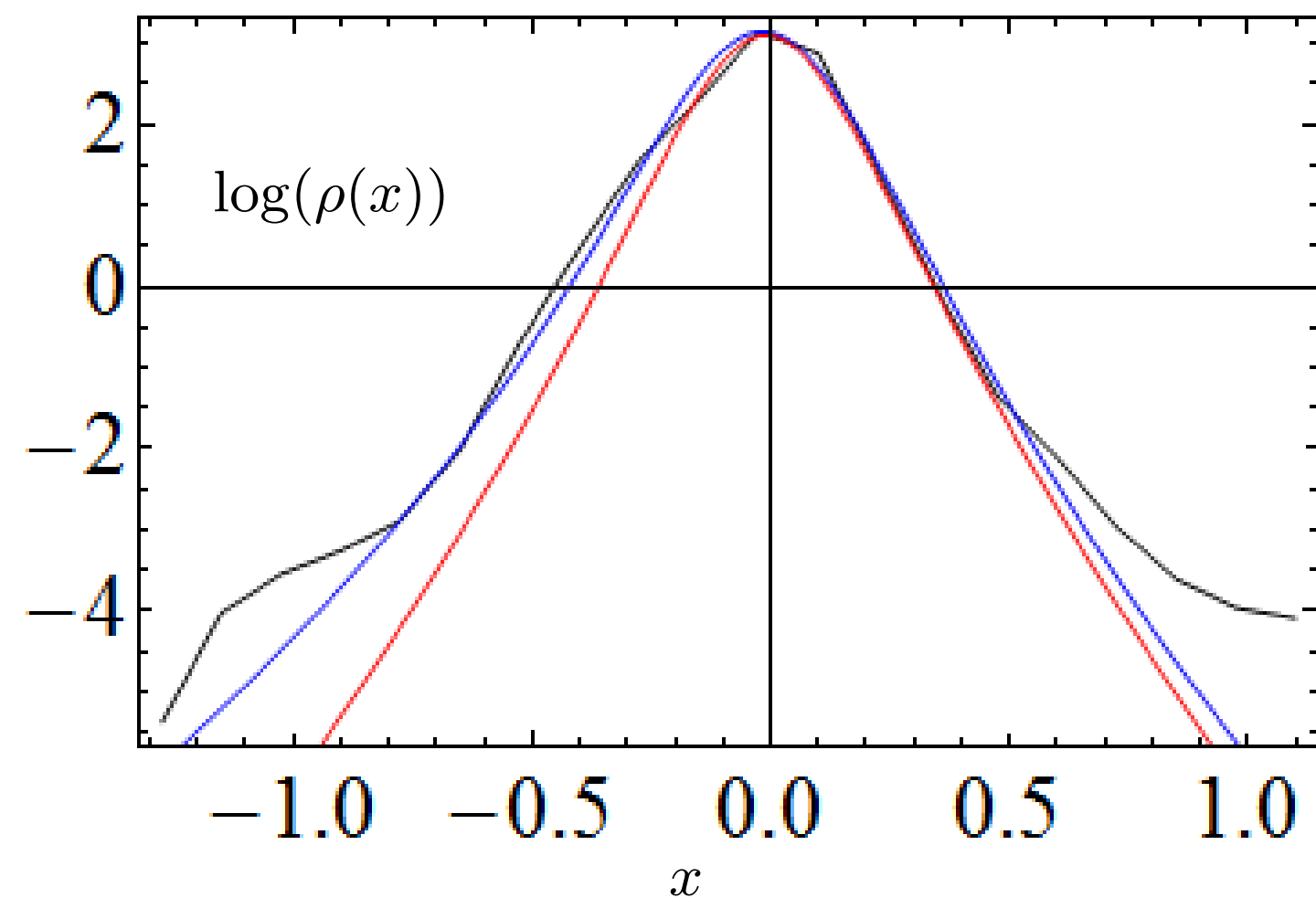
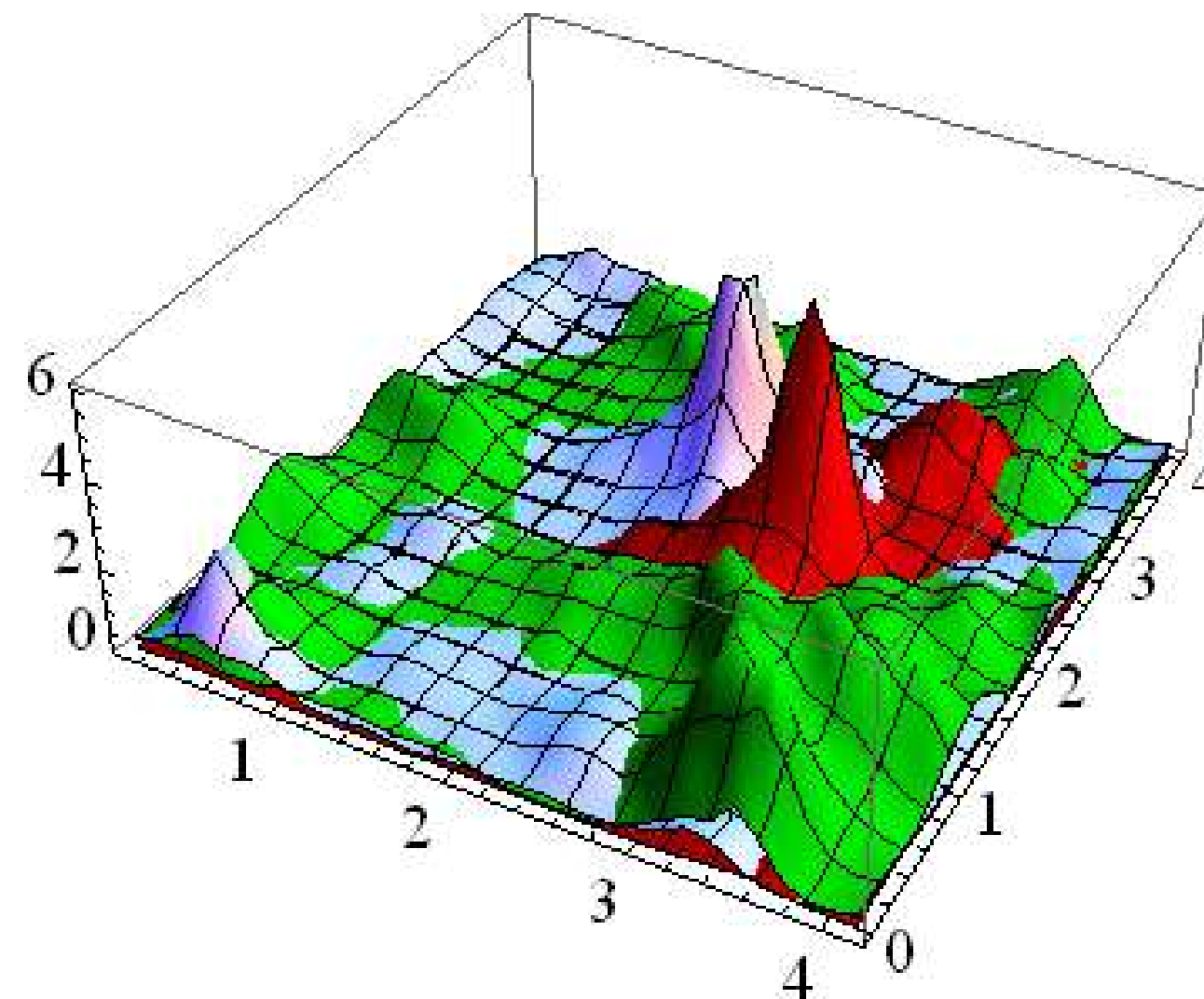


FIG. 8:  $\log(\rho(x))$  of the zero mode of conf. 2960 at  $\phi = \pi$  (black) and the log of the analytic formula for  $P = 0.4$  and  $P = 1$  though the maximum.  $T = 1.08T_c$ . Red peak only has been scaled to fit in height, while blue peak uses the found normalization.

- *Phys.Lett.B* 794 (2019) 14-18 • e-Print: [1811.07914](https://arxiv.org/abs/1811.07914) [hep-lat]
- *Phys.Rev.D* 102 (2020) 3, 034501 • e-Print: [1912.09141](https://arxiv.org/abs/1912.09141)

\* correlations with local Polyakov loop, in progress

- [Rasmus N. Larsen](#), [Sayantan Sharma](#), [Edward Shuryak](#)



extracting the shape of  
the fermionic zero mode  
and modifying the phase  
one can find all 3 dyons

FIG. 17:  $\rho(x, y)$  of the zero mode of conf. 2660 at  $T = T_c$ .  $\phi = \pi$ (red),  $\phi = \pi/3$ (blue),  $\phi = -\pi/3$ (green). Peak height has been scaled to be similar to that of  $\phi = \pi$ .

We found that their fields  
interfere with each other  
the interaction between them  
is in excellent agreement with  
van Baal analytic formulae

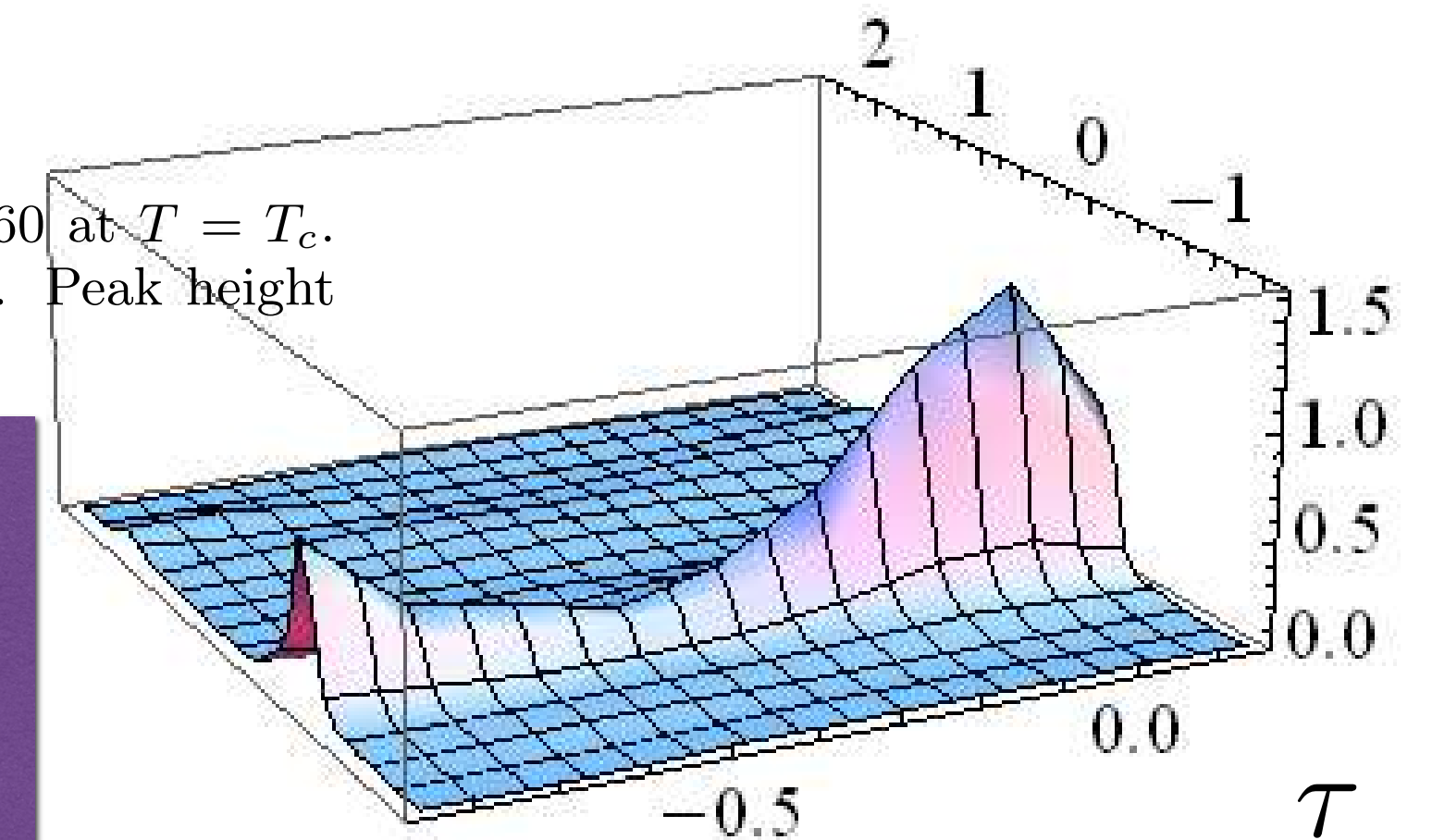


FIG. 3:  $\rho(x, t)$  of the zero mode of conf. 2000 at  $\phi = \pi/3$ .  $T = T_c$ .

# **Ensemble of instanton-dyons**



general  $SU(N_c)$

$$A_4 = 2\pi T \text{diag}(\mu_1, \mu_2, \dots, \mu_{N_c})$$

the  $SU(2)$  case is the **simplest**

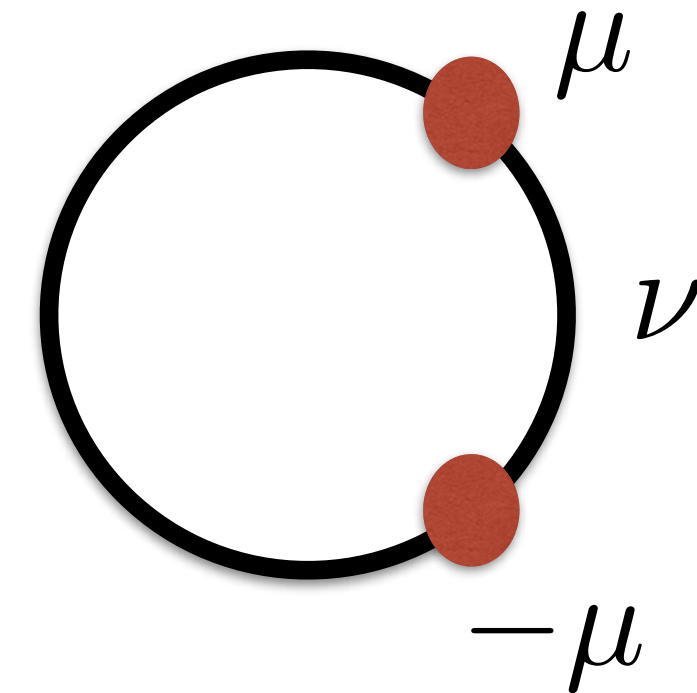
$$\nu_m = \mu_{m+1} - \mu_m$$

$$\sum \nu_i = 1$$

$$S_i = \nu_i \frac{8\pi^2}{g^2} = \nu_i \left( \frac{11N_c}{3} - \frac{2N_f}{3} \right) \log(T/\Lambda)$$

L type

$$\bar{\nu} = 1 - \nu$$



M type

$$A_4^a = \mp n_a v \Phi(vr)$$

$$A_i^a = \epsilon_{aij} n_j \frac{1 - R(vr)}{r}$$

together they make one instanton  
instanton-dyons  
=selfdual BPS mono

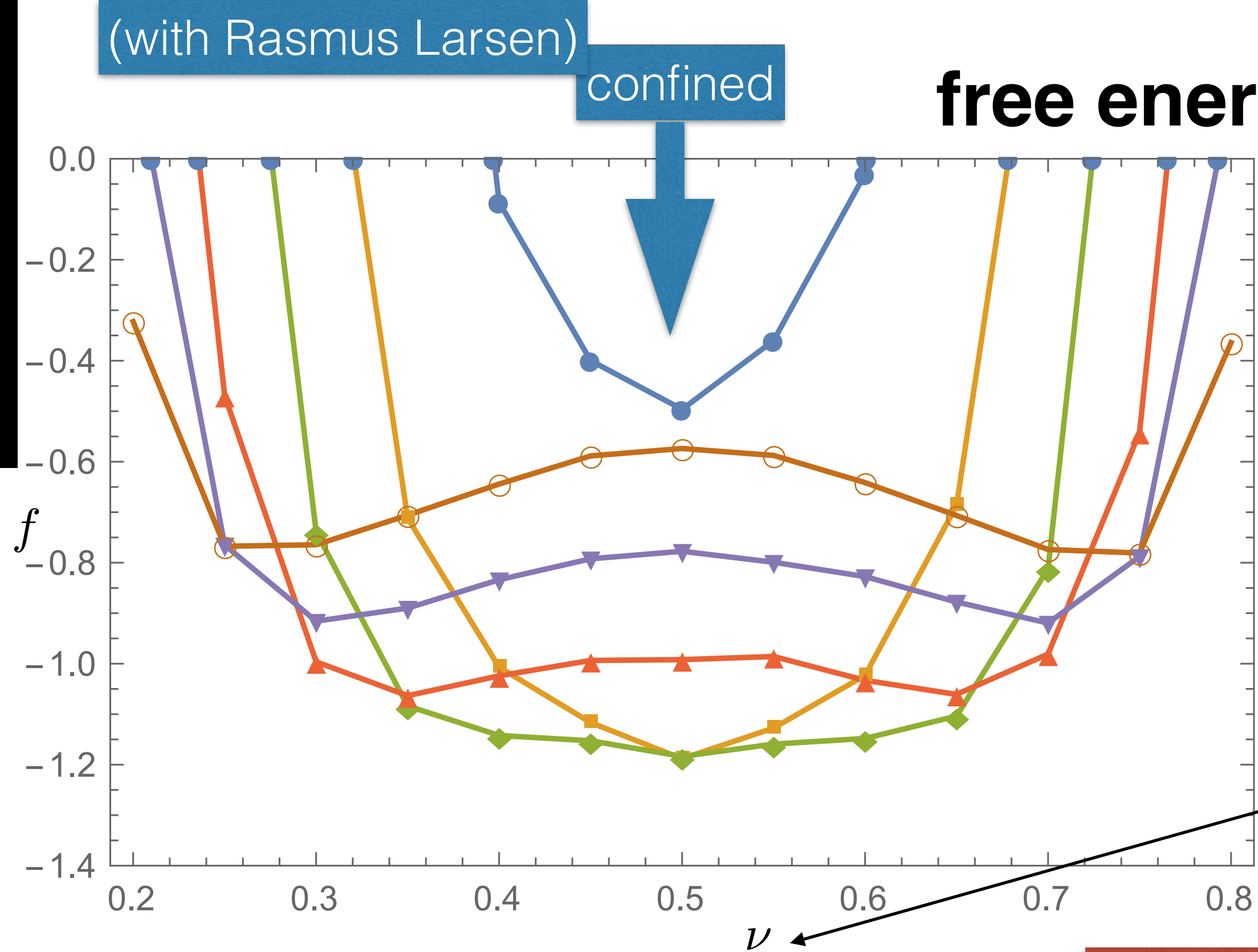
$$\vec{E} = \vec{B}$$

In  $SU(2)$  there are 4 types of dyons,  
Electric and magnetic charges = +1,-1

$$M, \bar{M}, L, \bar{L}$$

all one needs to do is to study their ensemble  
interactions are Coulomb + one loop corrections

without dyons,  
there is GPY  
effective action  
which disfavors  
confinement  
its minimum is  
at  $\nu=0$



$$\langle A_4^3 \rangle = v \frac{\tau^3}{2} = 2\pi T \nu \frac{\tau^3}{2}$$

$$\langle P \rangle = \cos(\pi\nu) \rightarrow 0$$

if  $\nu = 1/2$

holonomy

$\nu = 0$  is the trivial case  
 $\nu = 1/2$  confining

So, as a function of the dyon density  
the potential changes its shape  
and confinement takes place

In SU(2) pure gauge theory  
the deconfinement transition  
in the dyon ensemble is second order



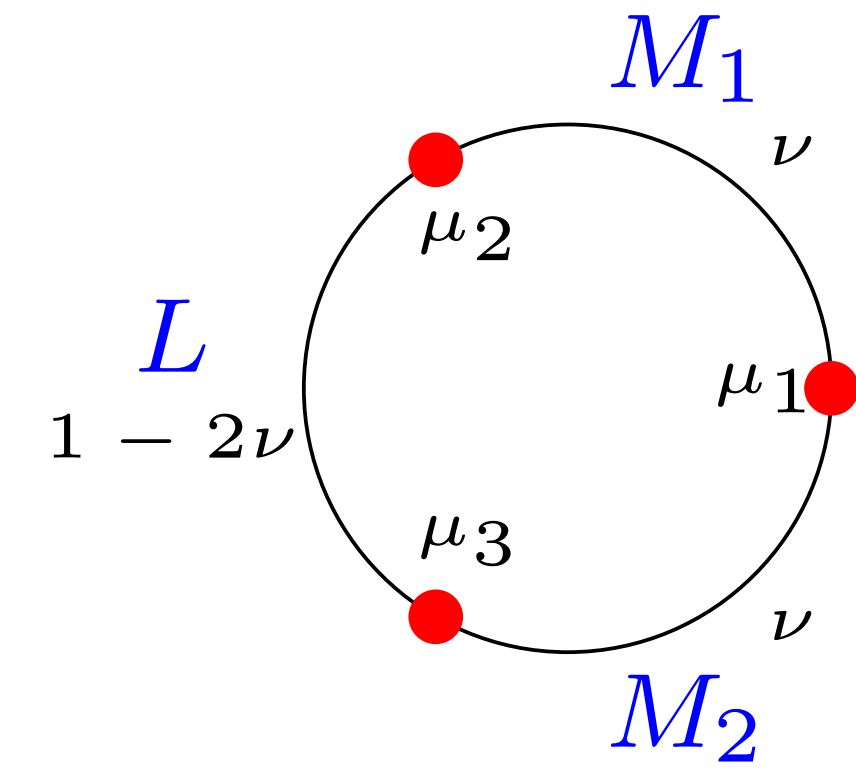
red dots move to the right at higher T

# Deconfinement Phase Transition in the $SU(3)$ Instanton-dyon Ensemble

Dallas DeMartini and Edward Shuryak

*Center for Nuclear Theory, Department of Physics and Astronomy,  
Stony Brook University, Stony Brook NY 11794-3800, USA*

arXiv:2102.11321v1 [hep-ph] 22 Feb 2021



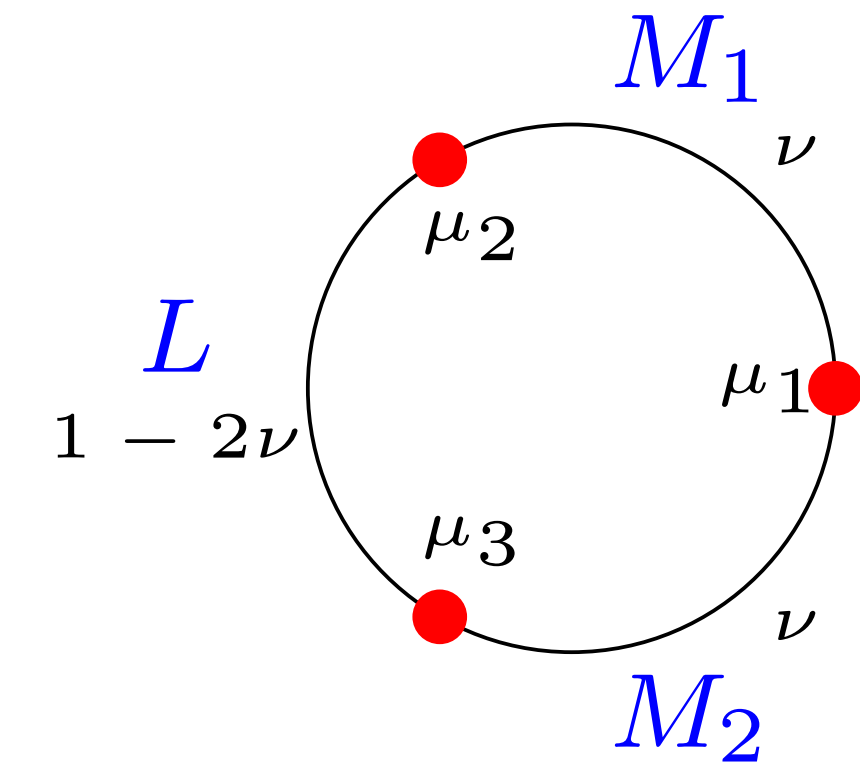
critical:  
jump in  
holonomy

red dots move to the right at higher T

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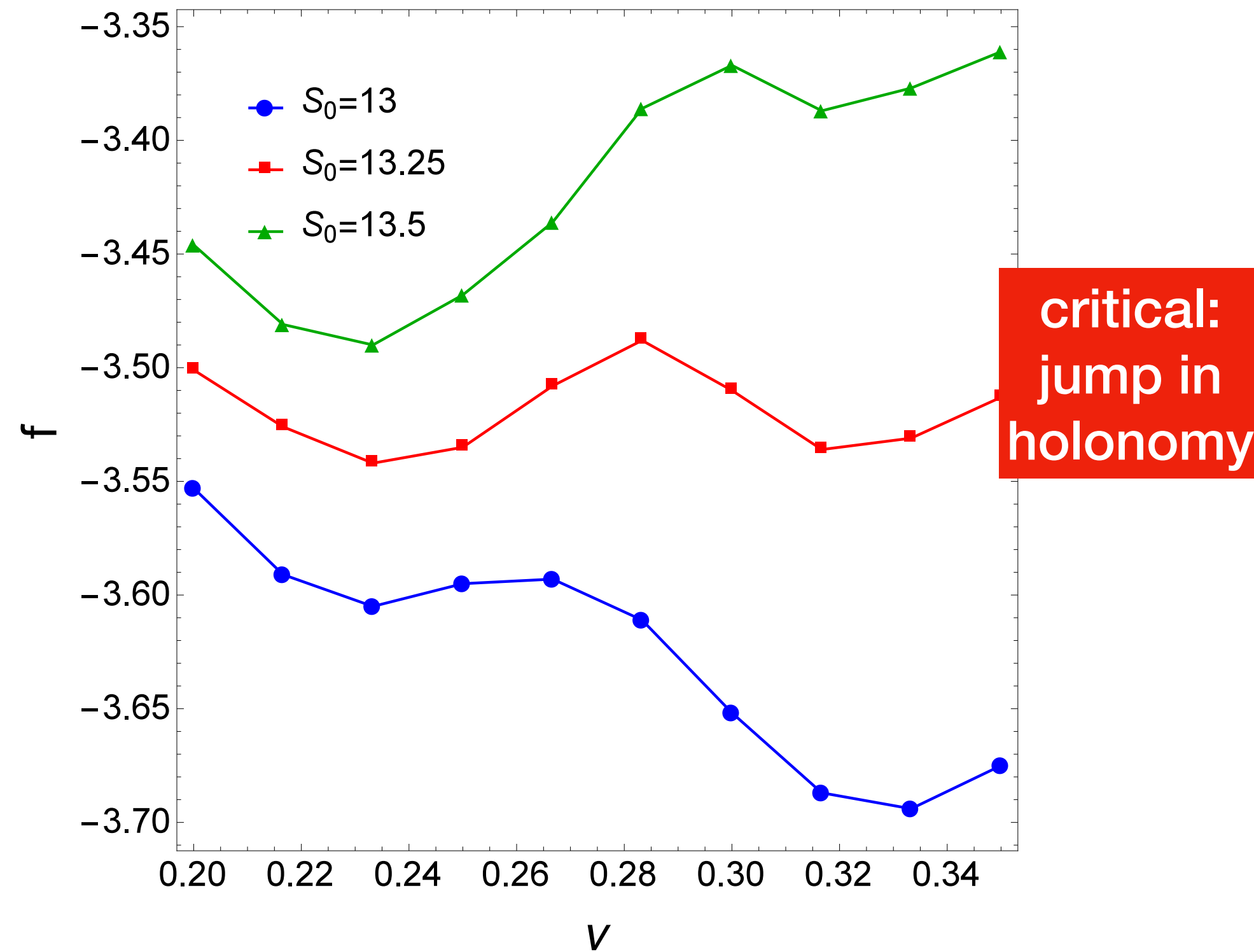


FIG. 4. (Color online) Holonomy dependence of the minimum free energy density near the phase transition. Error bars not



red dots move to the right at higher T

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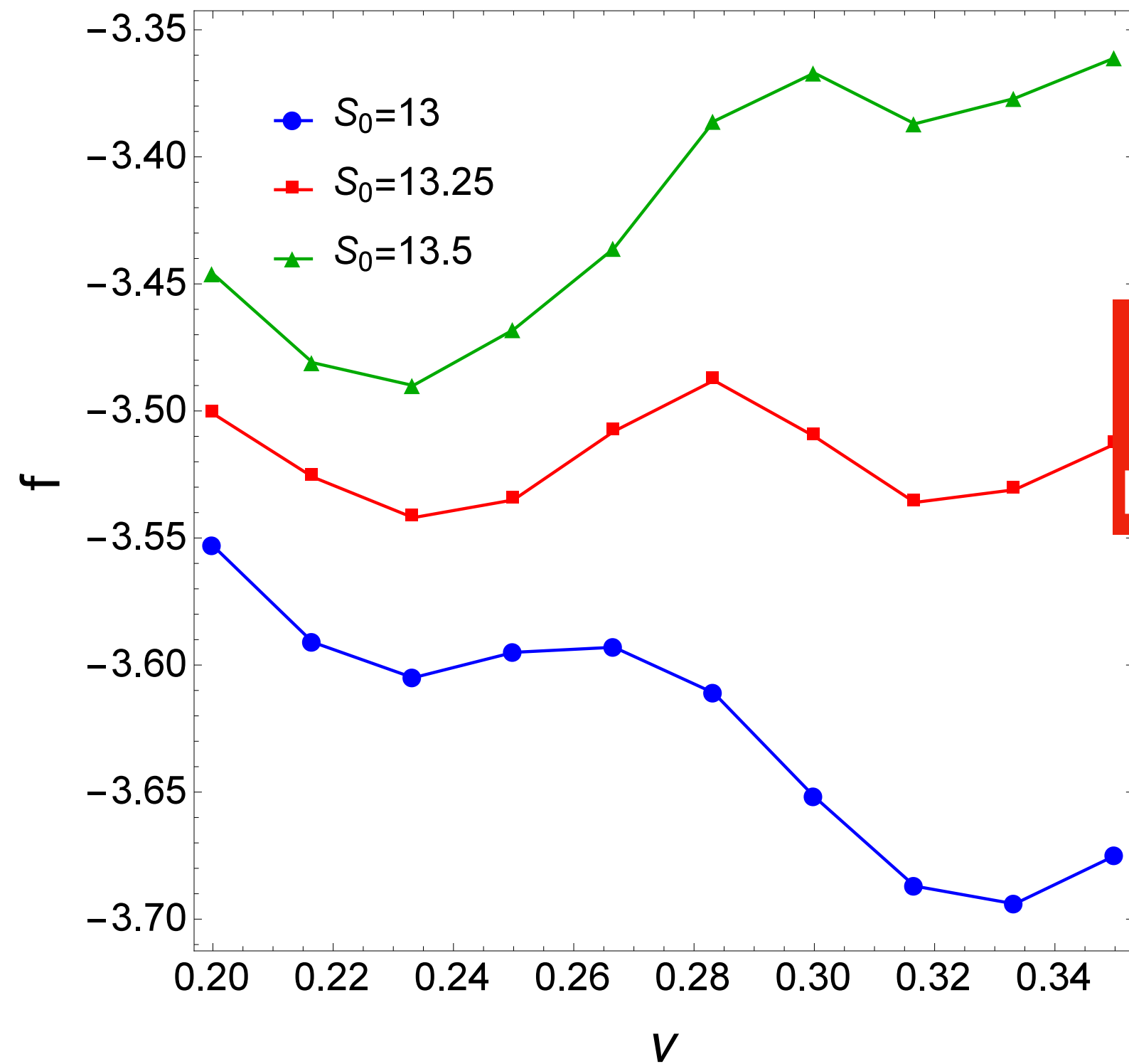


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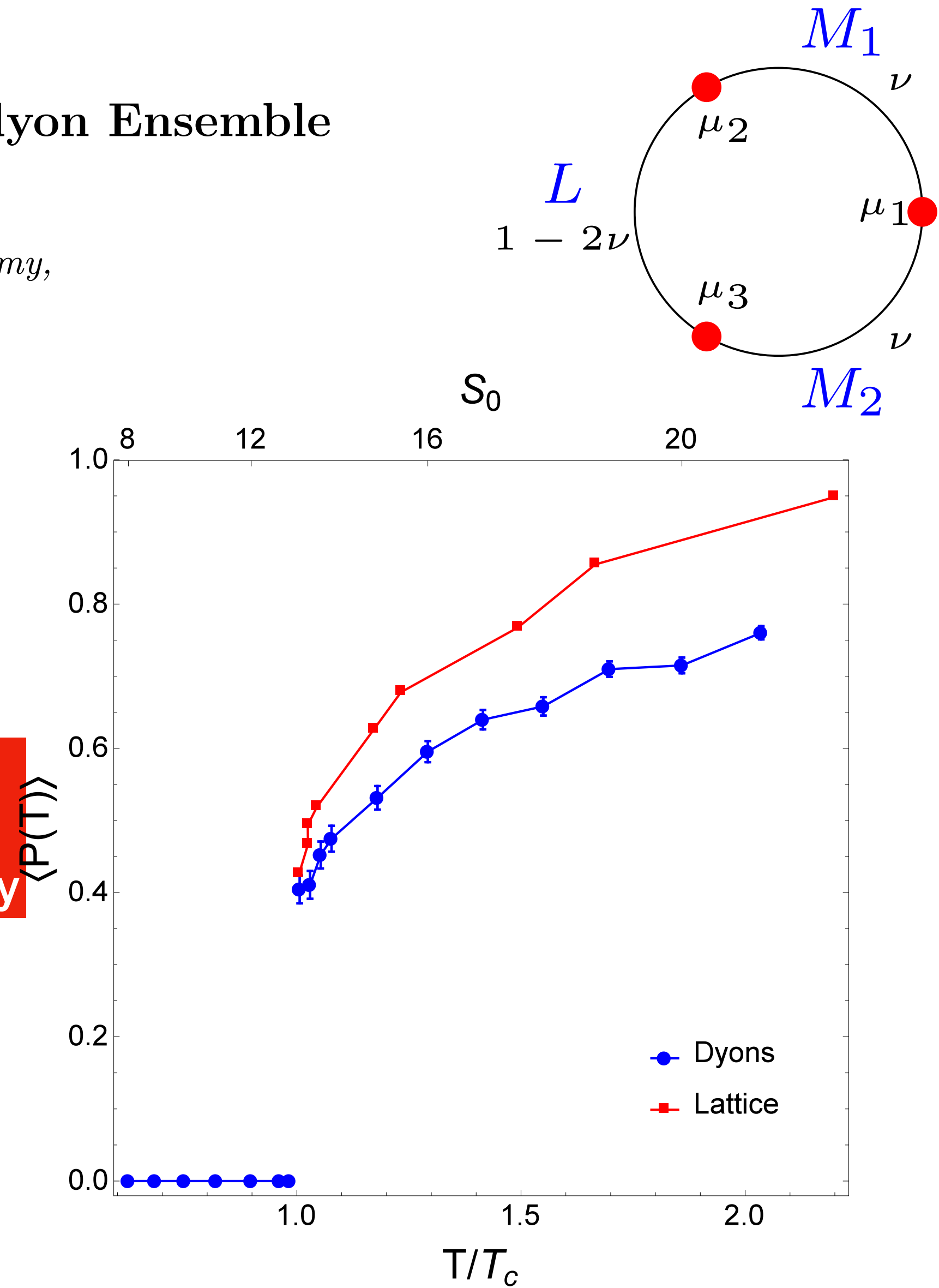
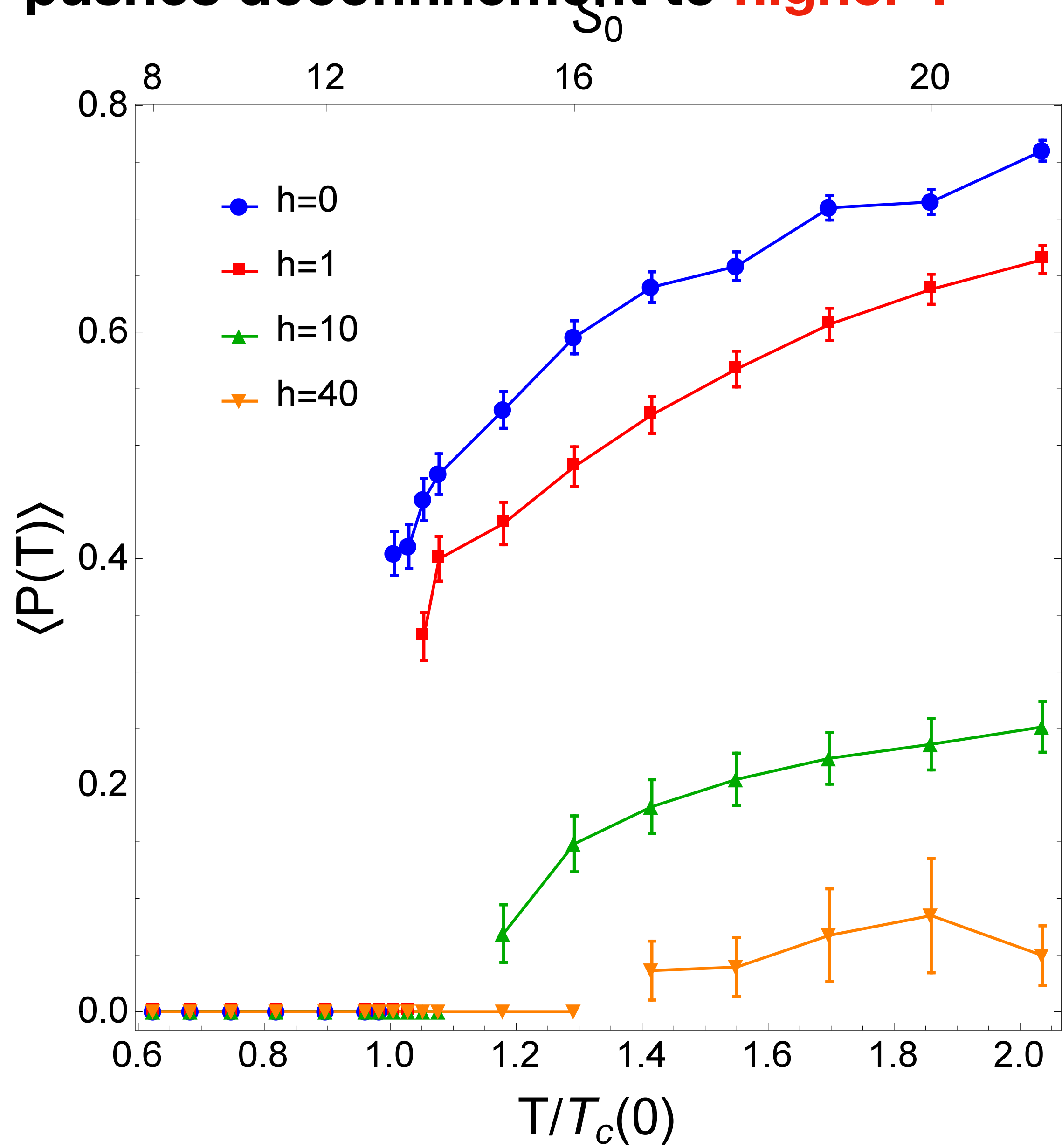
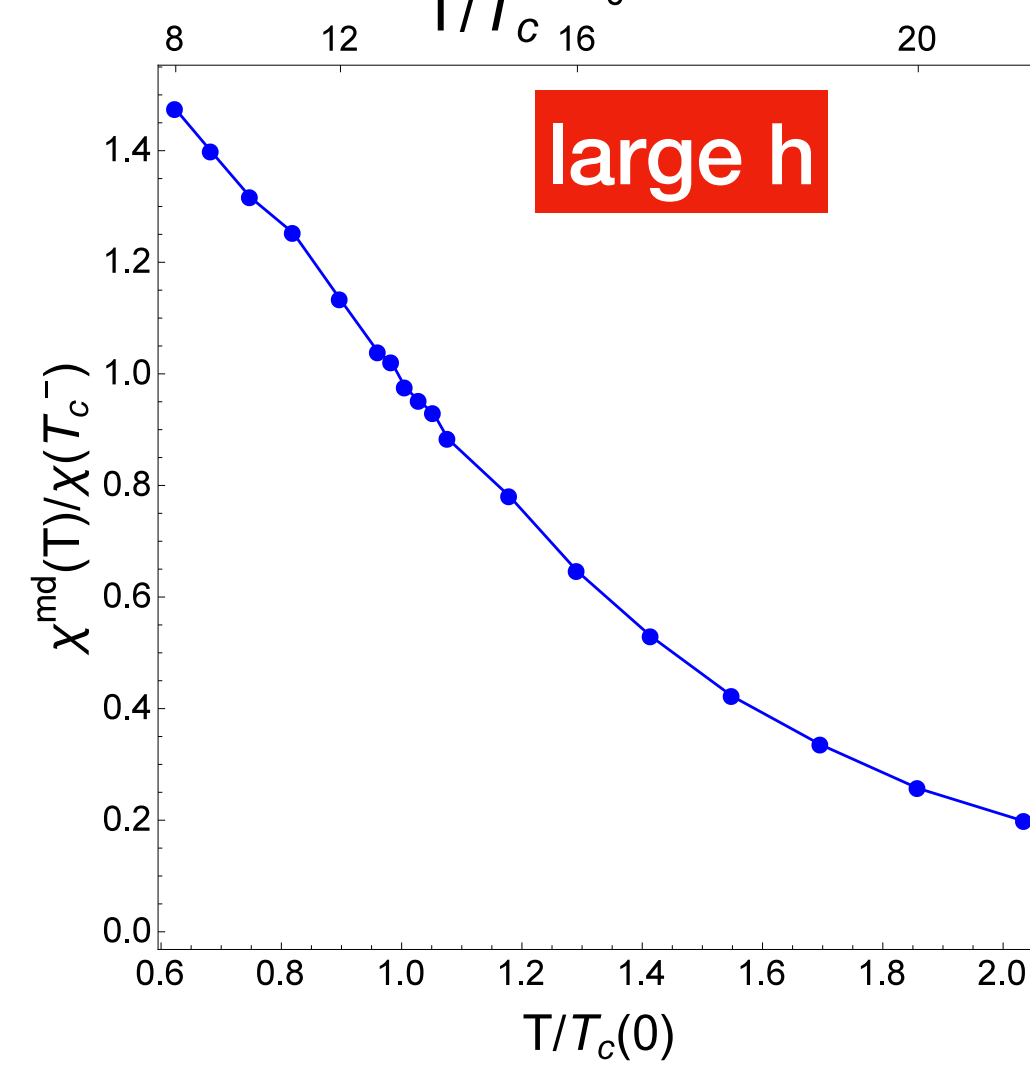
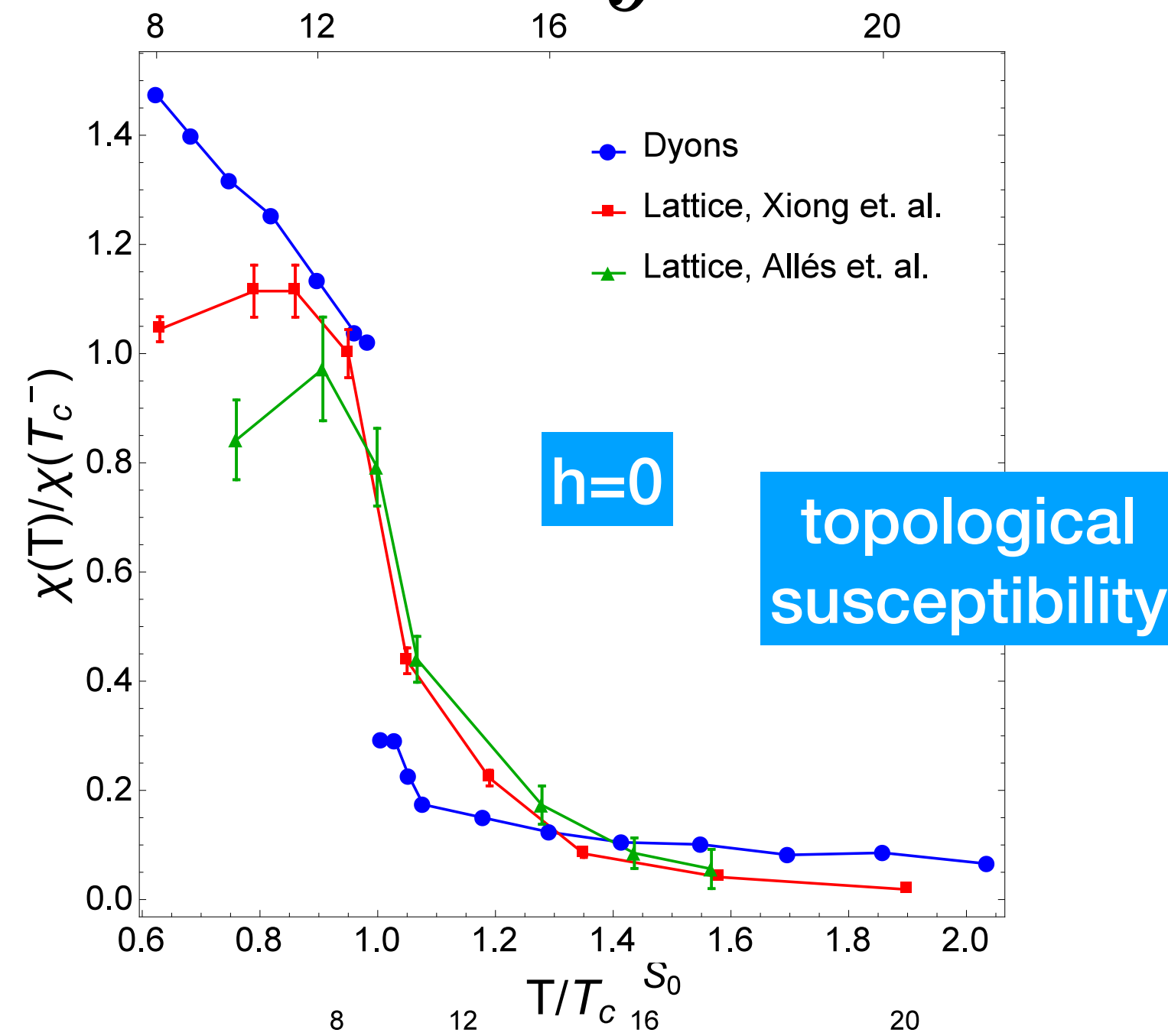


FIG. 6. (Color online) Temperature dependence of the average Polyakov loop of the dyon ensemble. Lattice data taken from Ref. [21] and shown without error bars. Error on lattice

**GAUGE THEORY deformation**  
**by powers of P in the action**  
**pushes deconfinement to higher T**



$$\Delta S_{def} = h \int_{S_0} d^3 x |P(\vec{x})|^2$$





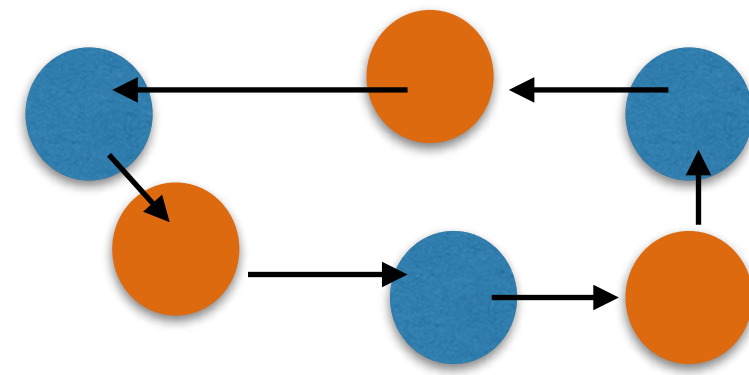
# Instanton-dyon Ensemble with two Dynamical Quarks: the Chiral Symmetry Breaking

Rasmus Larsen and Edward Shuryak

*Department of Physics and Astronomy, Stony Brook University, Stony Brook NY 11794-3800, USA*

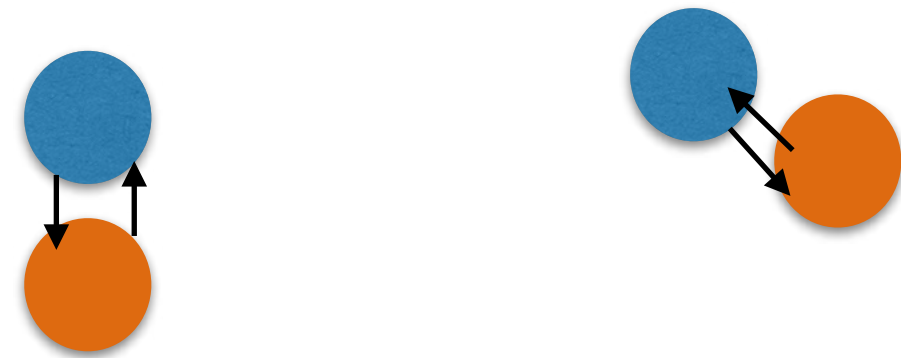
This is the second paper of the series aimed at understanding of the ensemble of the instanton-dyons, now with two flavors of light dynamical quarks. The partition function is appended by the fermionic factor,  $(\det T)^{N_f}$  and Dirac eigenvalue spectra at small values are derived from the numerical simulation of 64 dyons. Those spectra show clear chiral symmetry breaking pattern at high dyon density. Within current accuracy, the confinement and chiral transitions occur at very similar densities.

$$|\langle \bar{\psi}\psi \rangle| = \pi \rho(\lambda)_{\lambda \rightarrow 0, m \rightarrow 0, V \rightarrow \infty}$$



collectivized  
zero mode zone

dip near zero is  
a finite size effect



low density  
unbroken chiral sum

extracting condensate  
is far from trivial...

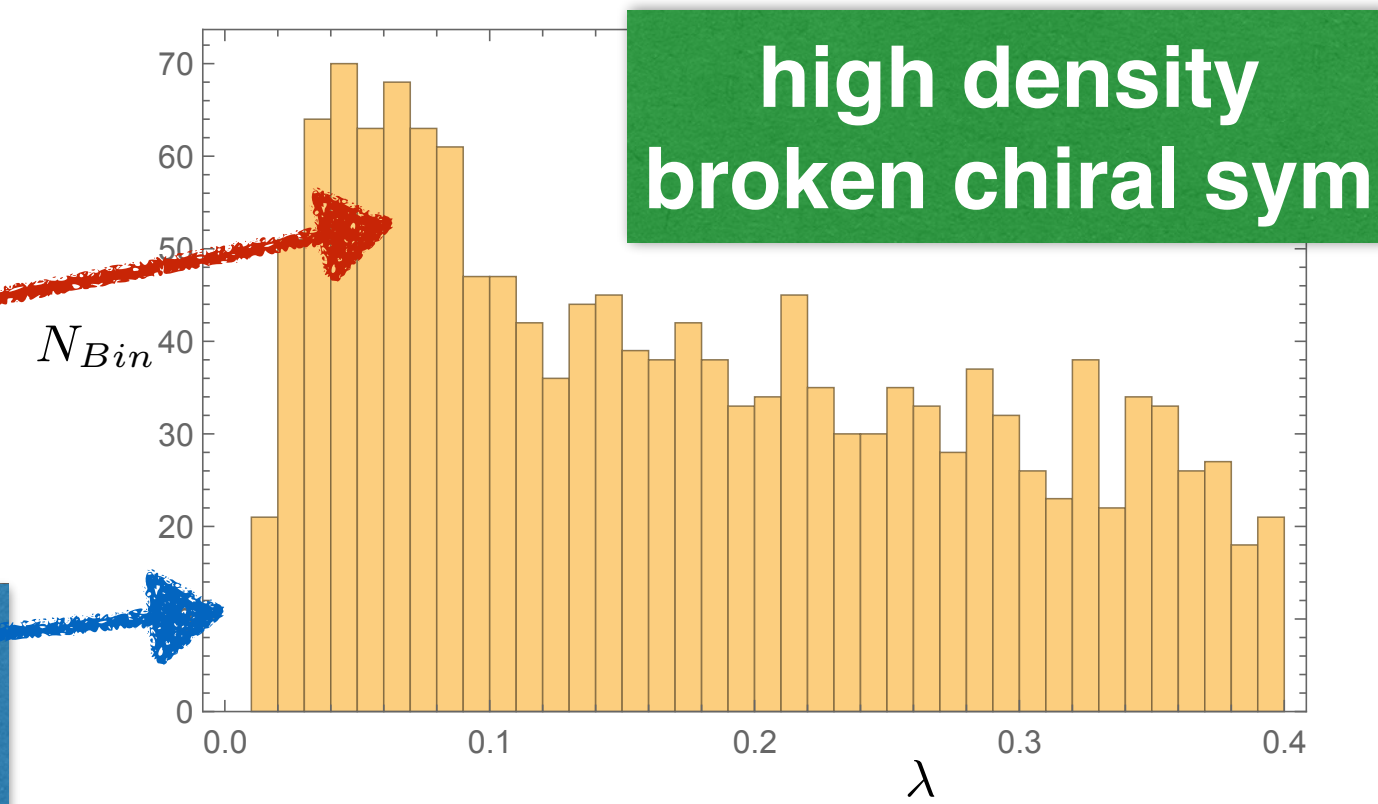


FIG. 1: Eigenvalue distribution for  $n_M = n_L = 0.47$ ,  $N_F = 2$  massless fermions.

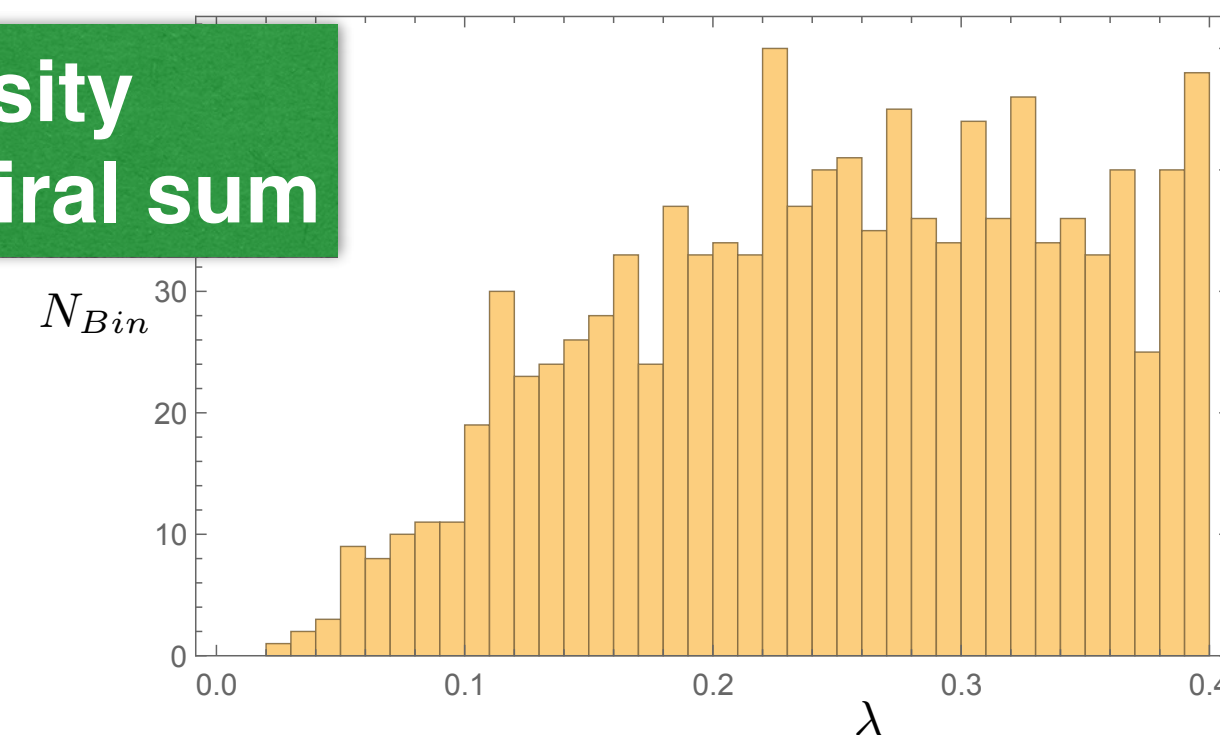


FIG. 2: Eigenvalue distribution for  $n_M = n_L = 0.08$ ,  $N_F = 2$  massless fermions.

# Chiral Symmetry Breaking and Confinement from an Interacting Ensemble of Instanton-dyons in Two-flavor Massless QCD

Dallas DeMartini and Edward Shuryak  
*Center for Nuclear Theory, Department of Physics and Astronomy,  
 Stony Brook University, Stony Brook NY 11794-3800, USA*

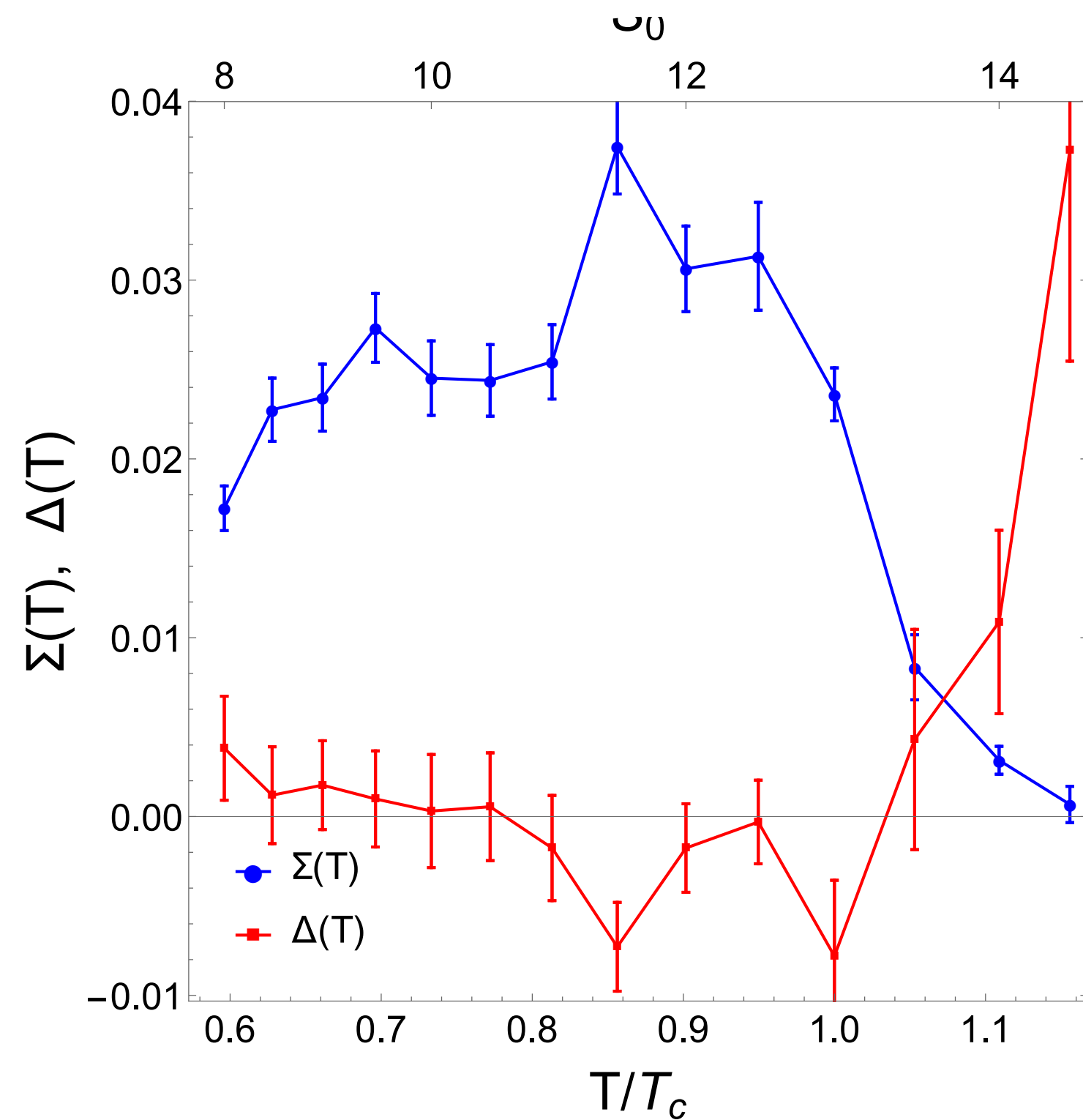


FIG. 8. (Color online) [Preliminary] The chiral quark condensate  $\Sigma(T)$  and the eigenvalue gap  $\Delta(T)$  as functions of the temperature.

$\langle \bar{q}q \rangle$

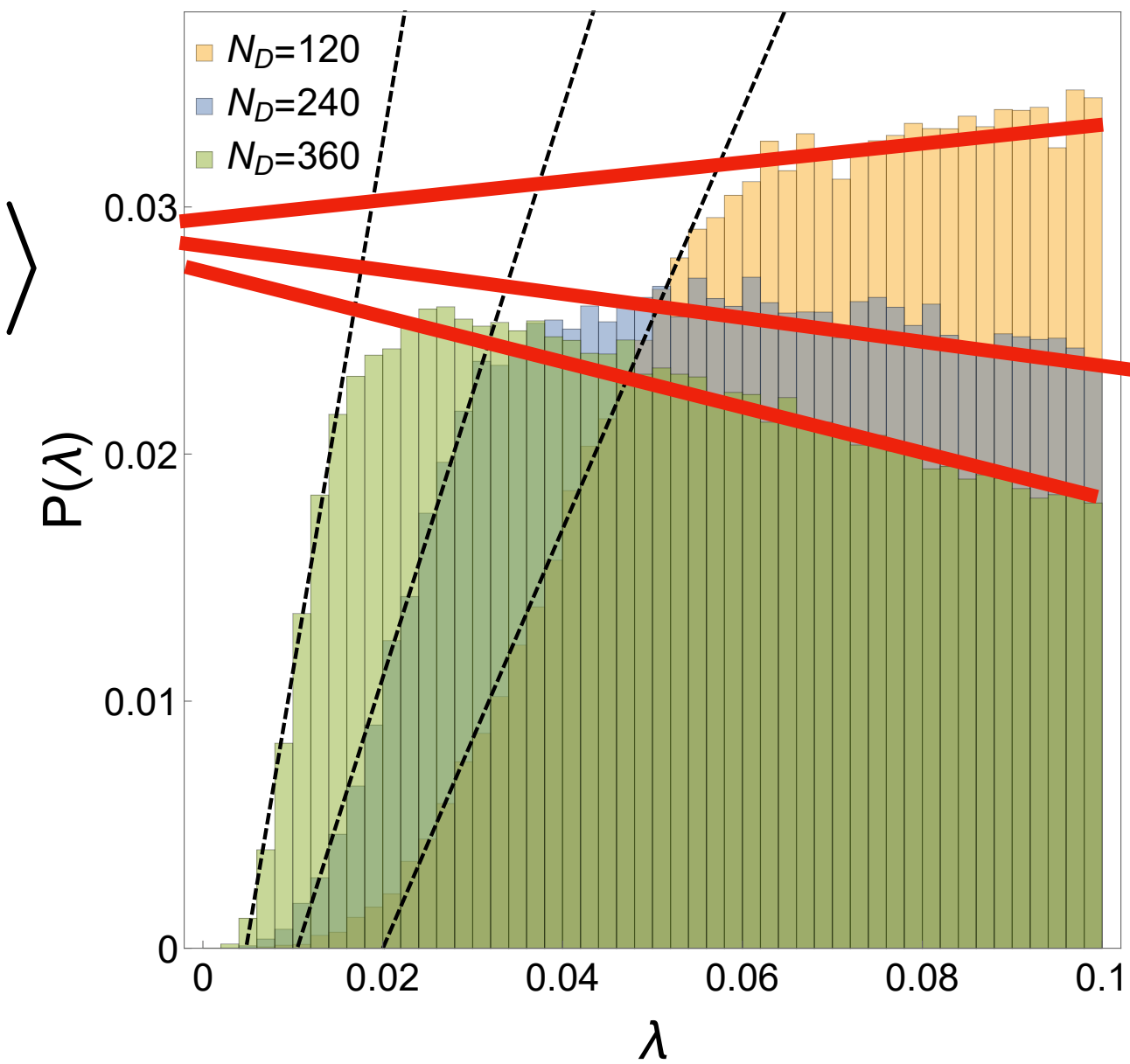


FIG. 7. (Color online) Eigenvalue distributions at  $S_0 = 8.5$  for three different ensemble sizes. Dashed lines represent fits to the approximately-linear portion of the distribution near zero. The eigenvalue gaps are given by the x-intercepts of the fits. Note that the relative normalization of the distributions does not affect results.

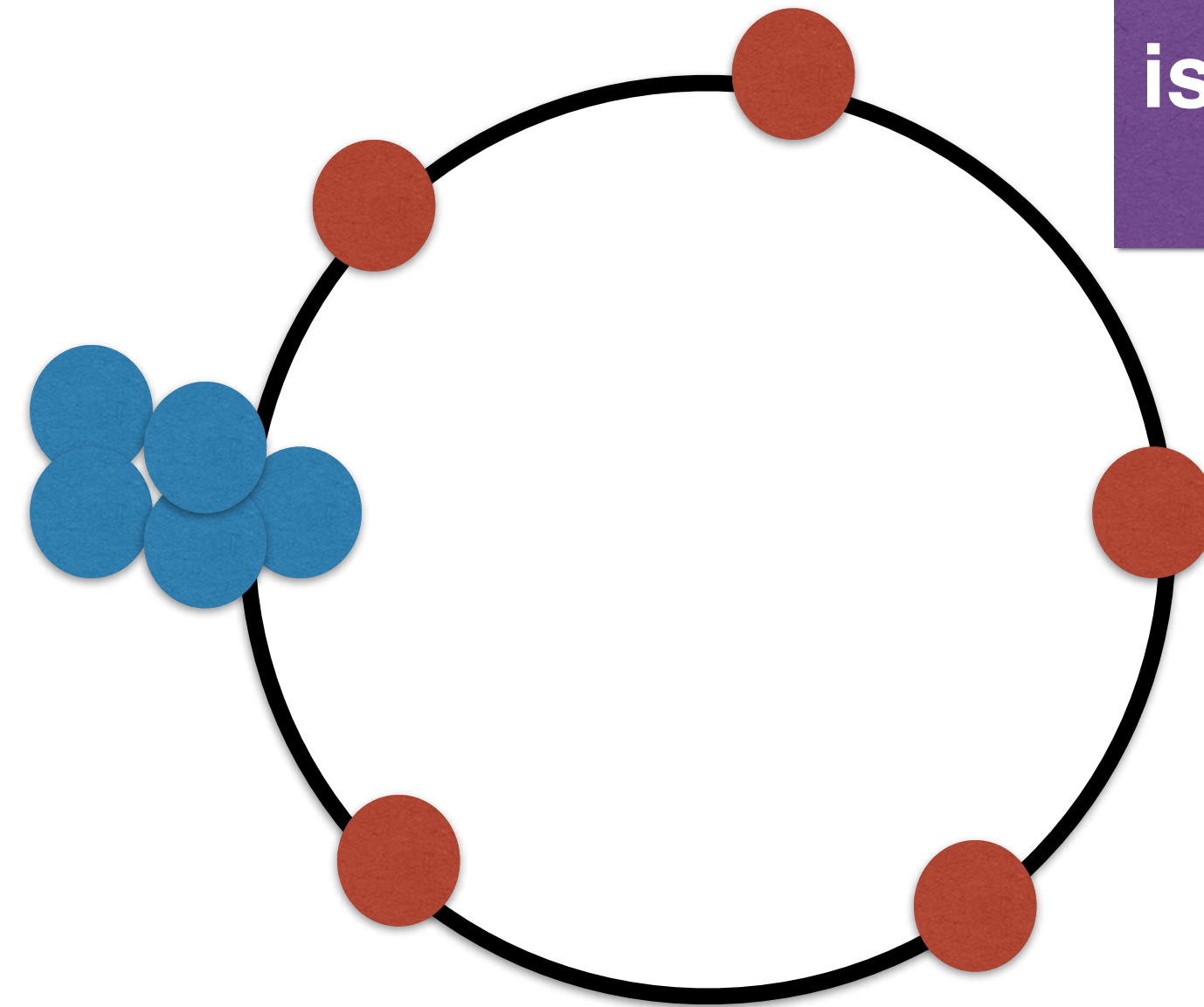
**Casher-Banks  
 quark condensate  
 is obtained by linear  
 extrapolation to 0**

**the gap scales  
 as  $1/V$  and  
 is therefore  
 a purely finite  
 volume effect**



**quarks with variable periodicity condition  
(over the Matsubara time)**

# Ordinary $N_c=N_f=5$ QCD



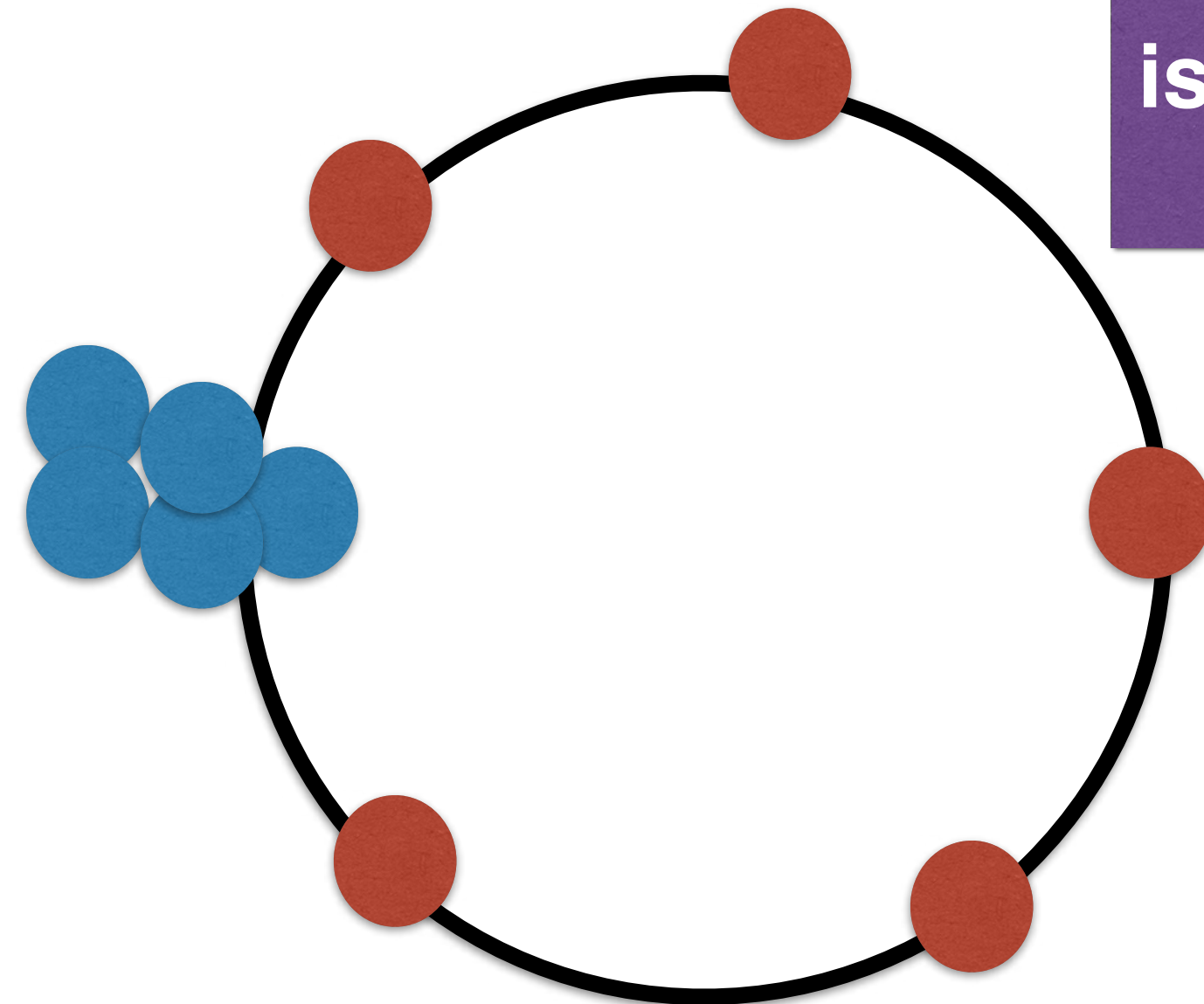
$P$  without a trace  
is a diagonal unitary matrix  
 $\Rightarrow N_c$  phases (red dots)

quark periodicity  
phases  $\Rightarrow N_f$  blue dots  
are in this case all  $=\pi$   
quarks are fermions

**as a consequence,  
out of 5 types of instanton-dyons  
only one  $L$  has normalizable zero modes**



# Ordinary $N_c=N_f=5$ QCD



$P$  without a trace  
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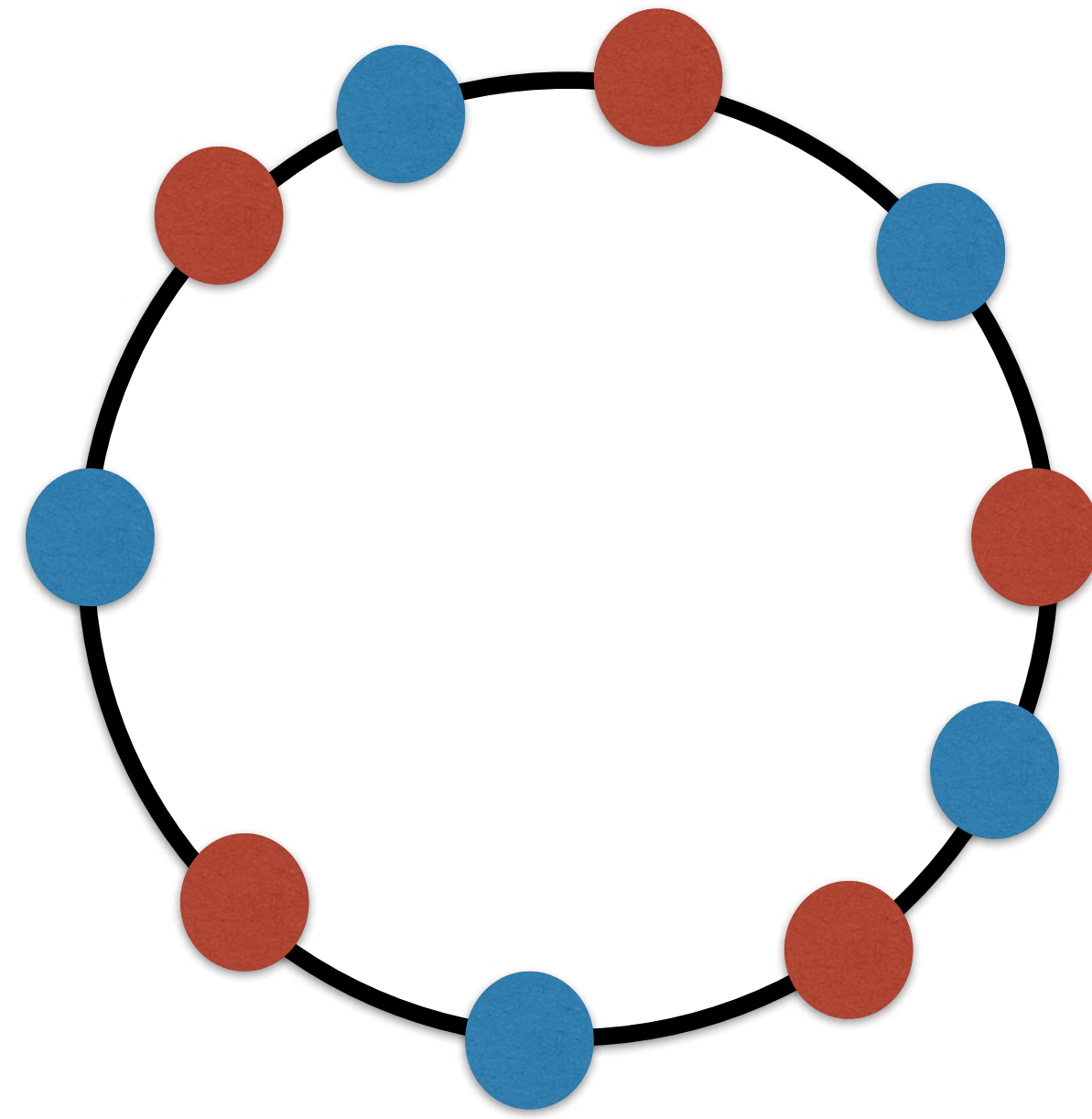
quark periodicity  
phases  $\Rightarrow N_f$  blue dots  
are in this case all  $=\pi$   
quarks are fermions

**as a consequence,  
out of 5 types of instanton-dyons  
only one  $L$  has normalizable zero modes**

**But one can deform QCD moving fermion phases (blue dots) as we like!**

still  $N_c=N_f=5$  but with  
“most democratic” arrangement  
ZN-symmetric QCD

H. Kouno, Y. Sakai, T. Makiyama, K. Tokunaga, T.  
Sasaki and M. Yahiro, J. Phys. G 39, 085010 (2012).



quark periodicity  
phases  $\Rightarrow$   $N_f$  blue dots  
are in this case  
flavor-dependent

In this case **each dyon type** has  
**one zero mode**  
with some quark (flavor)  
 $\Rightarrow N_c$  independent topological ZMZ's!



# Second deformation: QCD2 and Z2QCD are dramatically different!

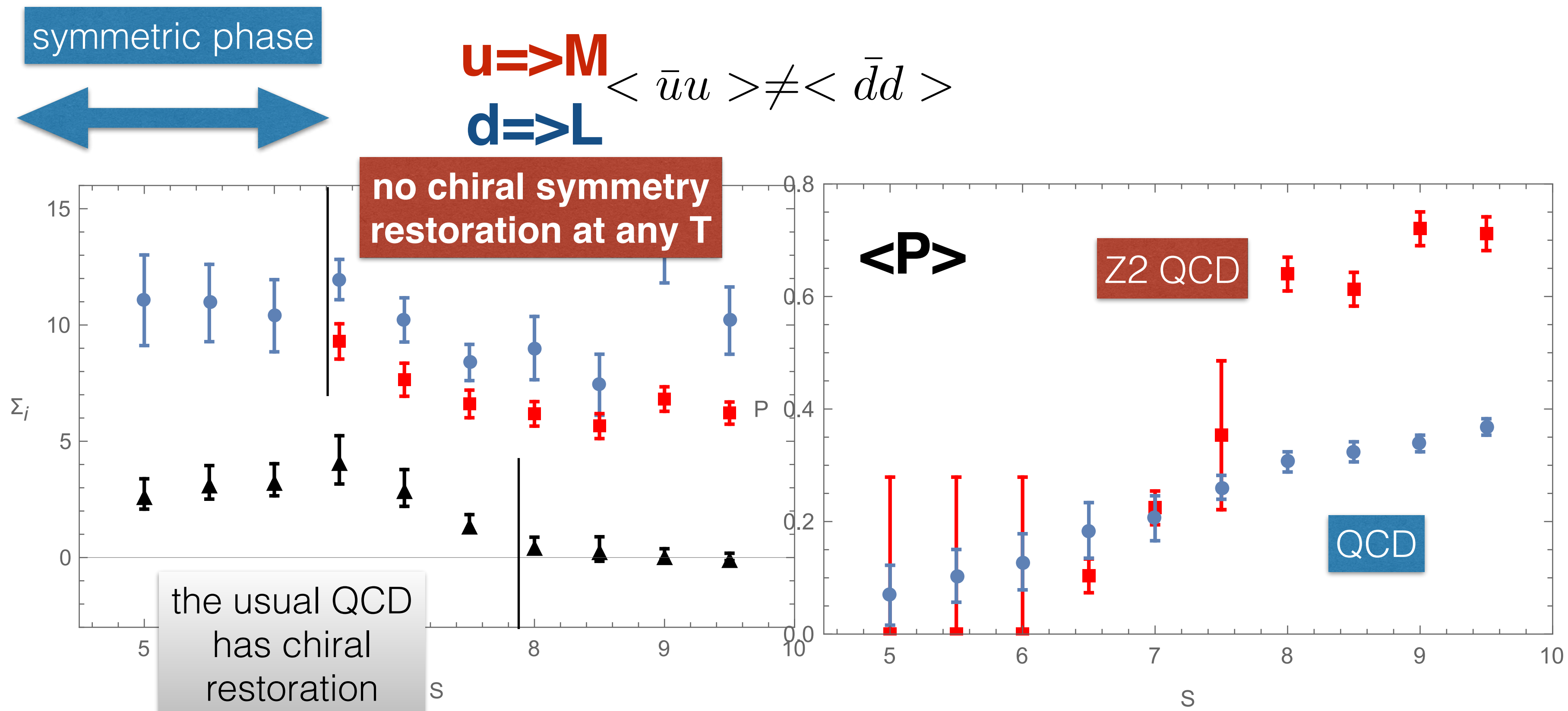


FIG. 6: Chiral condensate generated by  $u$  quarks and  $L$  dyons (red squares) and  $d$  quarks interacting with  $M$  dyons (blue circles) as a function of action  $S$ , for the  $Z_2$ -symmetric model. For comparison we also show the results from II for the usual QCD-like model with  $N_c = N_f = 2$  by black triangles.

note the condensate is much larger for Z2?

confining phase gets much more robust: strong first order mixed phase (flat F) is observed at medium densities

# lattice study of Z3 QCD

Lattice study on QCD-like theory with exact center symmetry

Takumi Iritani\*

*Yukawa Institute for Theoretical Physics, Kyoto 606-8502, Japan*

Etsuko Ito†

*High Energy Accelerator Research Organization (KEK), Tsukuba 305-0801, Japan*

Tatsuhiro Misumi‡

*Department of Mathematical Science, Akita University,*

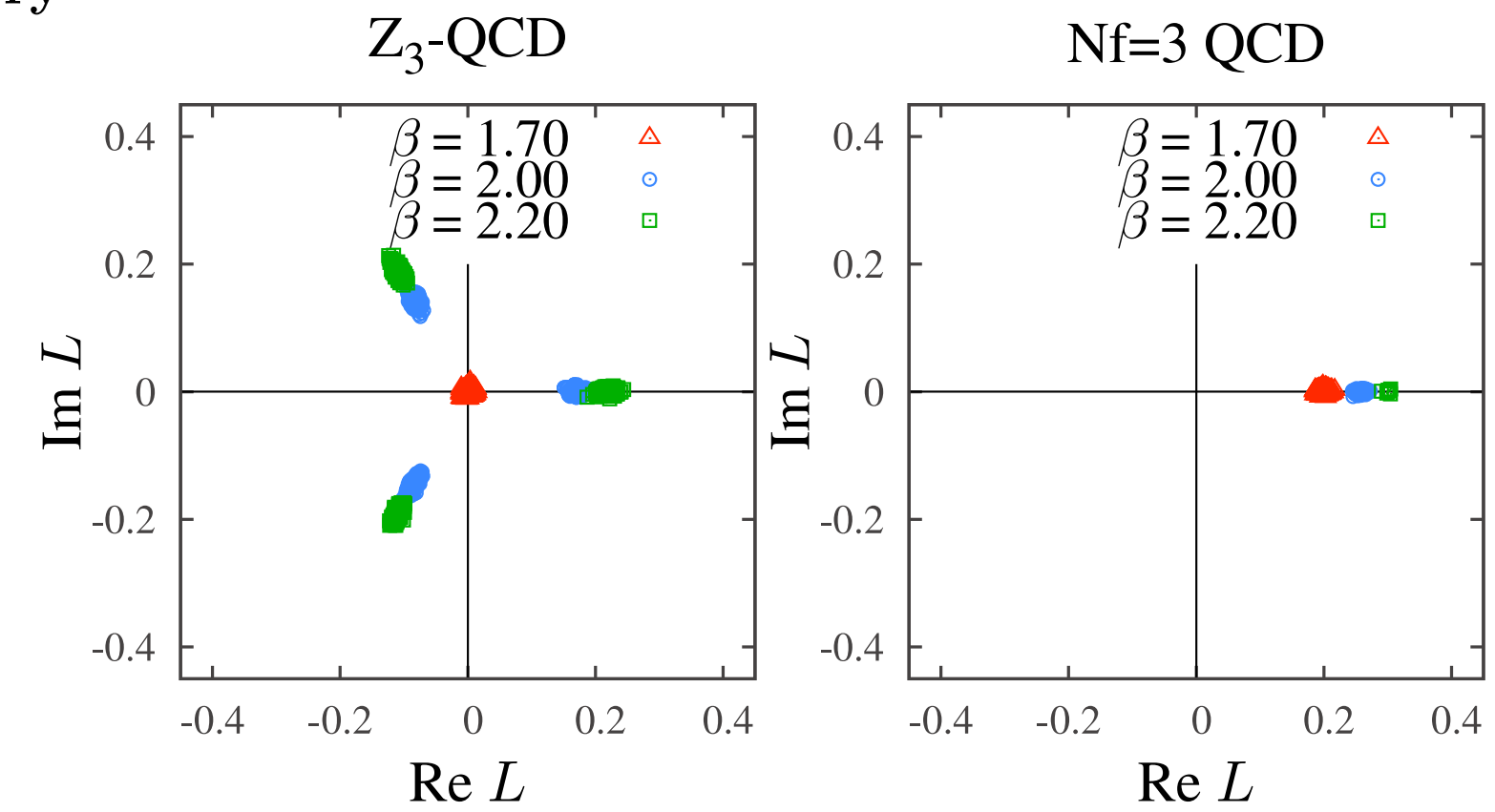
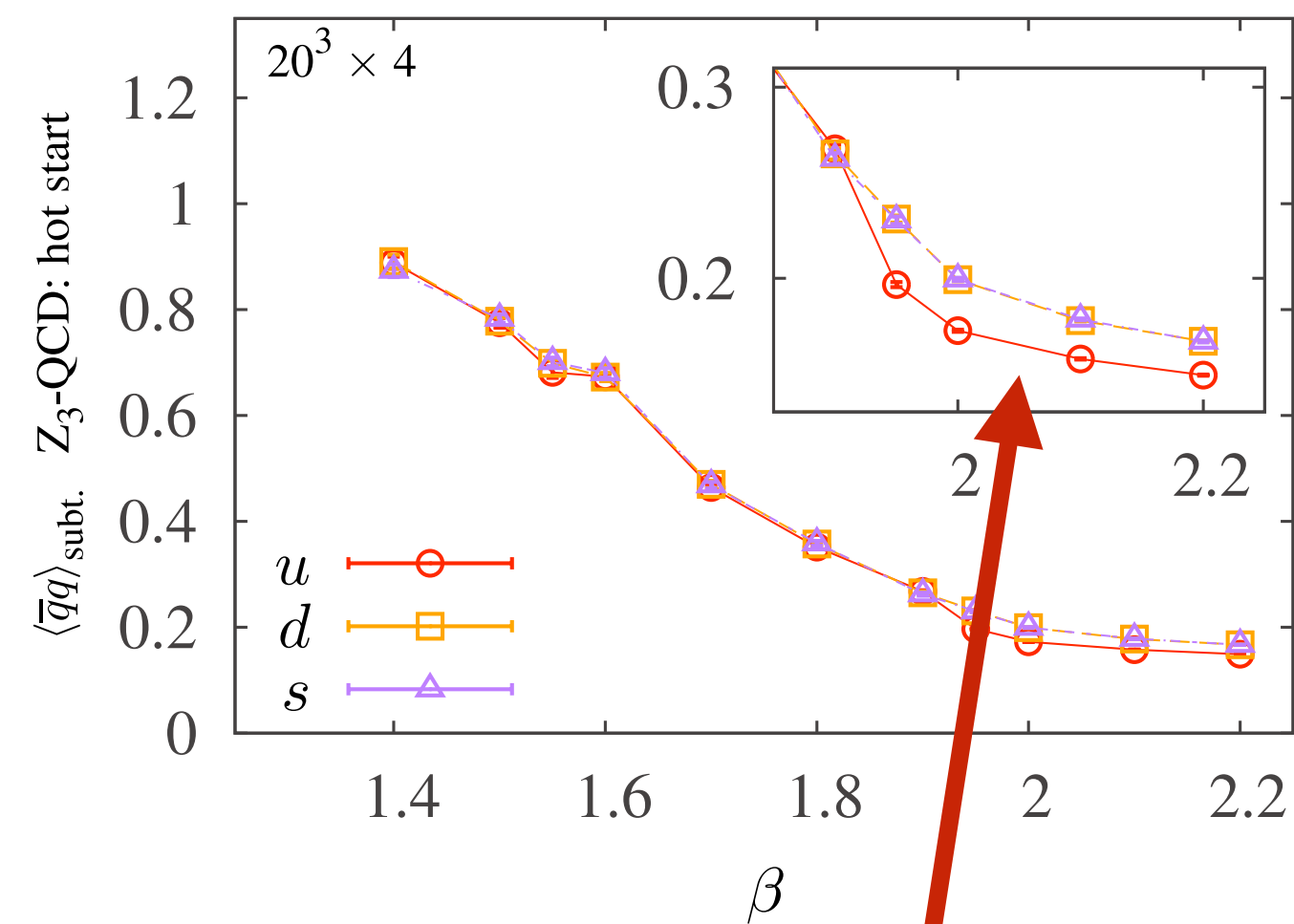
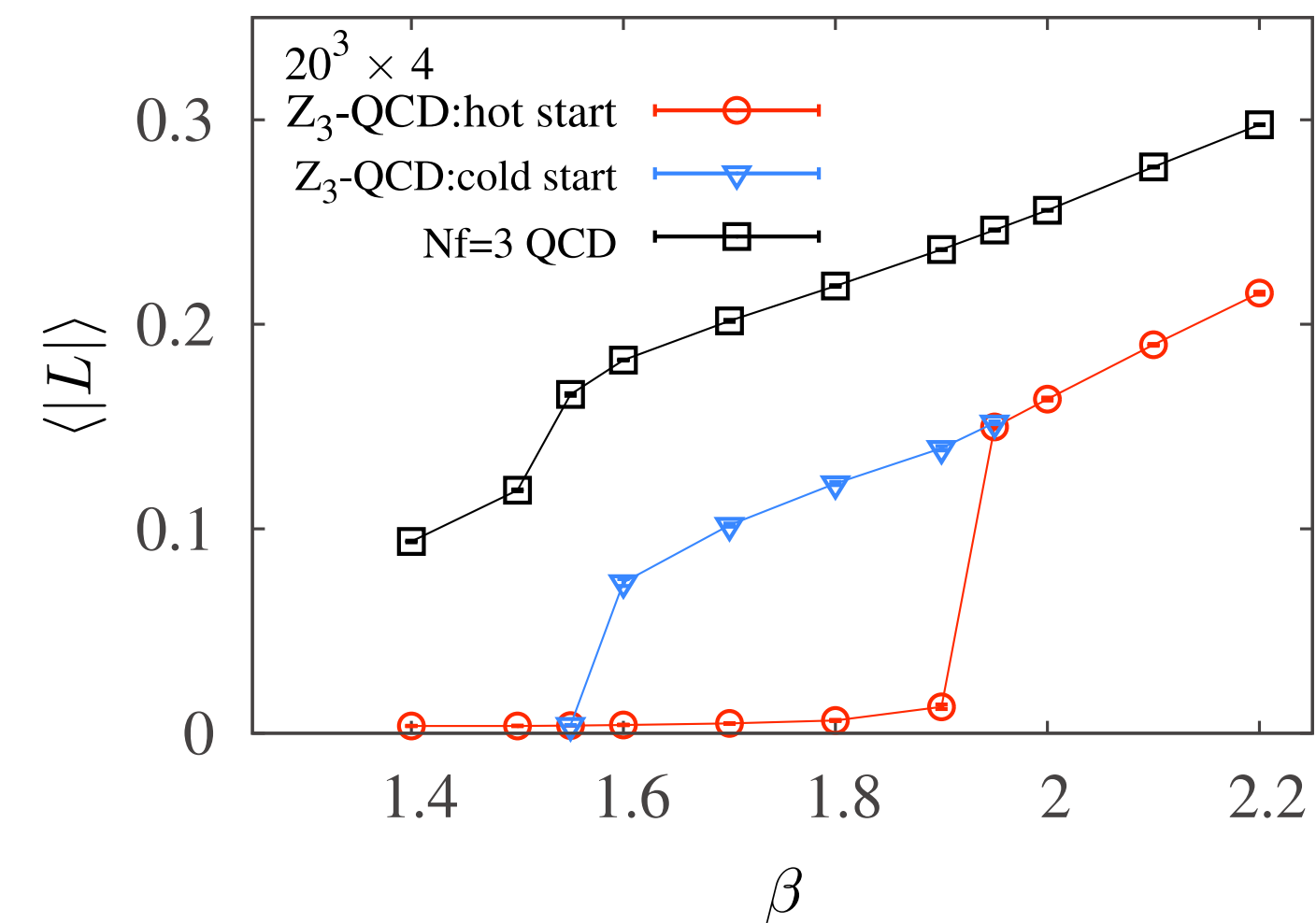


FIG. 1: Polyakov loop distribution plot in Z<sub>3</sub>-QCD (left) and the standard three-flavor QCD (right). Based on 16<sup>3</sup> × 4 lattice for  $\beta = 1.70, 2.00, 2.20$  with the same values of  $\kappa$  in both panels.





# lattice study of Z3 QCD

Lattice study on QCD-like theory with exact center symmetry

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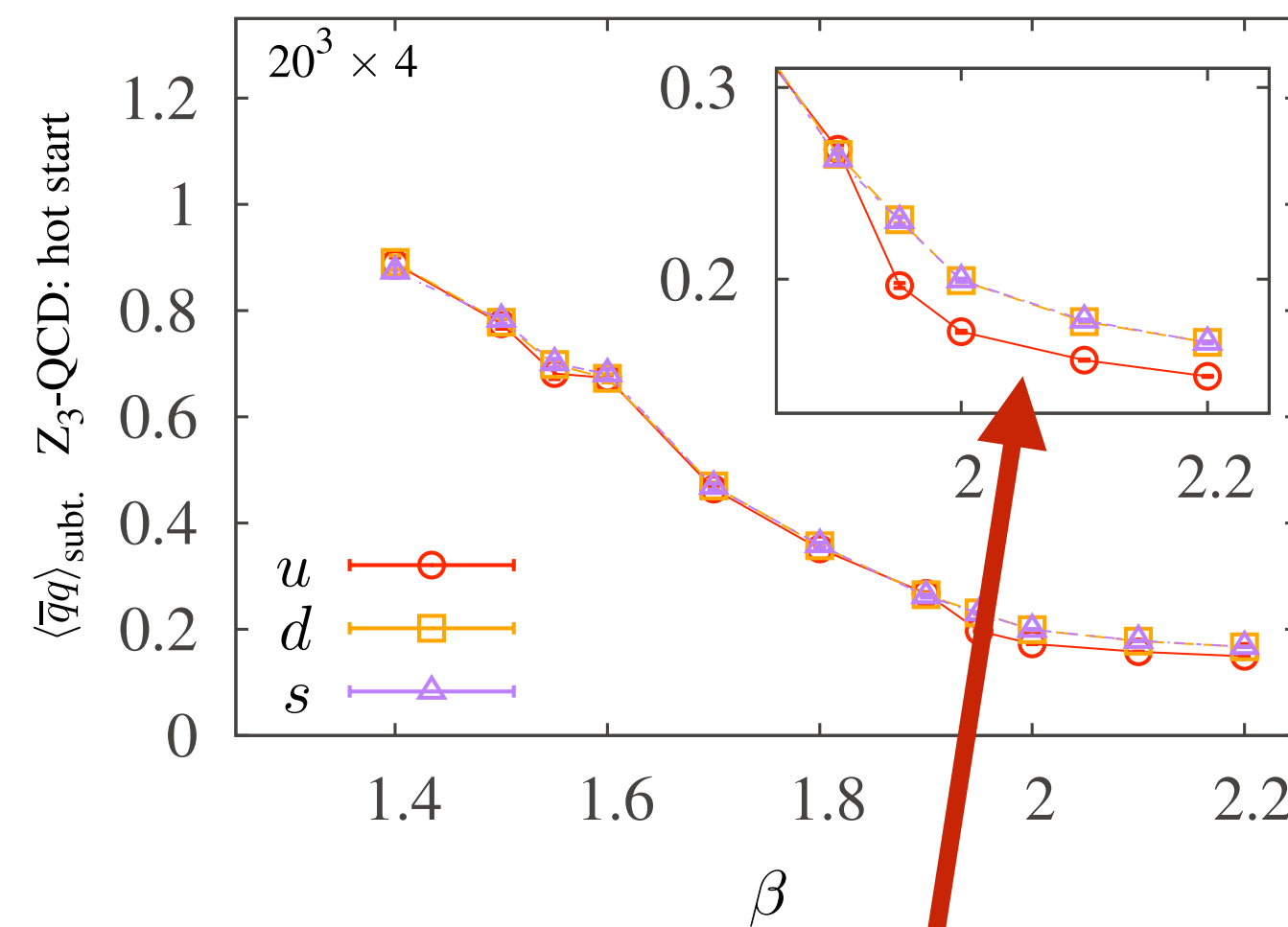
*Yukawa Institute for Theoretical Physics, Kyoto 606-8502, Japan*

Etsuko Ito†

*High Energy Accelerator Research Organization (KEK), Tsukuba 305-0801, Japan*

Tatsuhiko Misumi‡

*Department of Mathematical Science, Akita University,*



**explanation: three flavors of quarks interact with three different "liquids" of M1, M2, L instanton-dyons!**

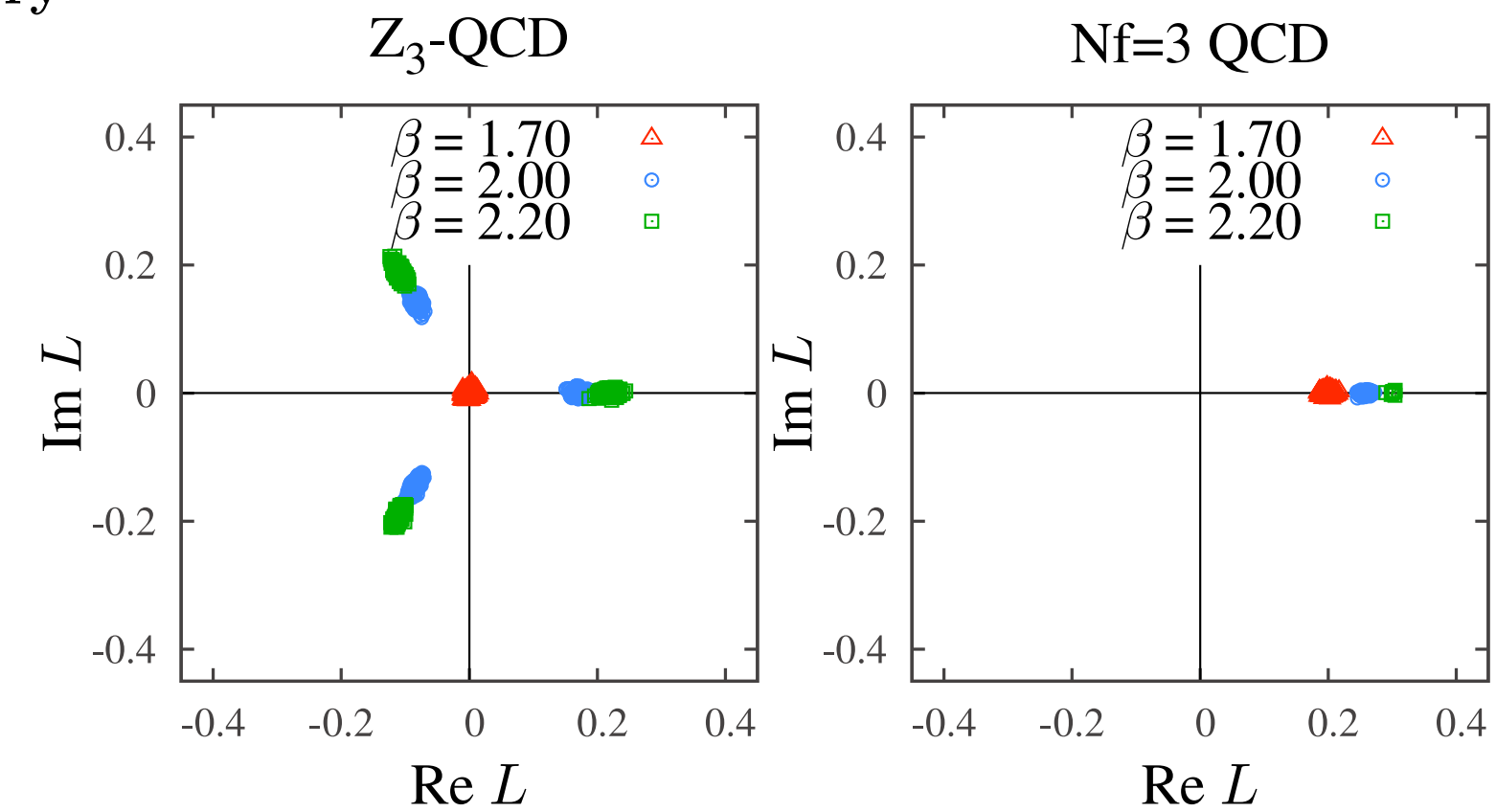
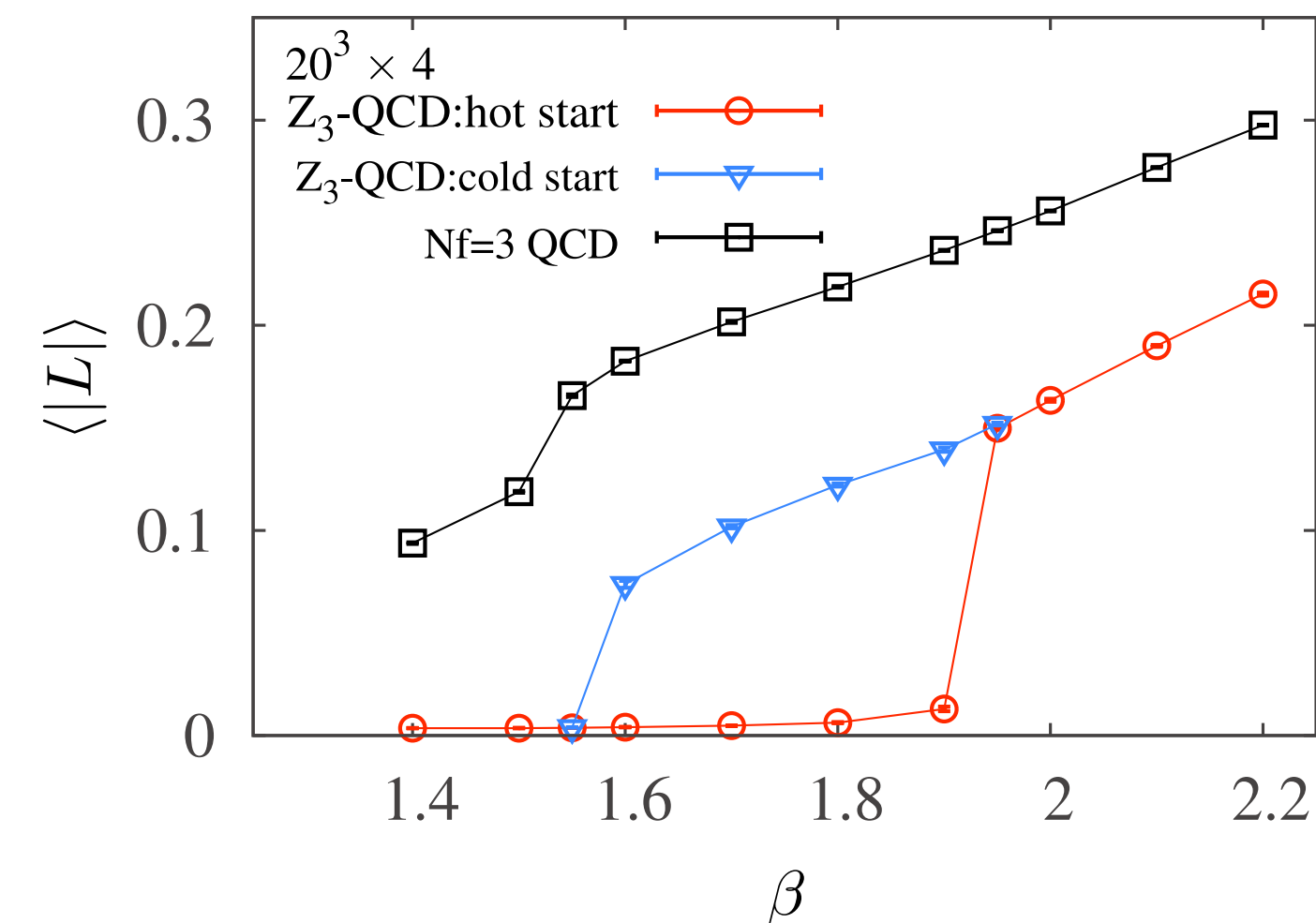


FIG. 1: Polyakov loop distribution plot in  $Z_3$ -QCD (left) and the standard three-flavor QCD (right). Based on  $16^3 \times 4$  lattice for  $\beta = 1.70, 2.00, 2.20$  with the same values of  $\kappa$  in both panels.



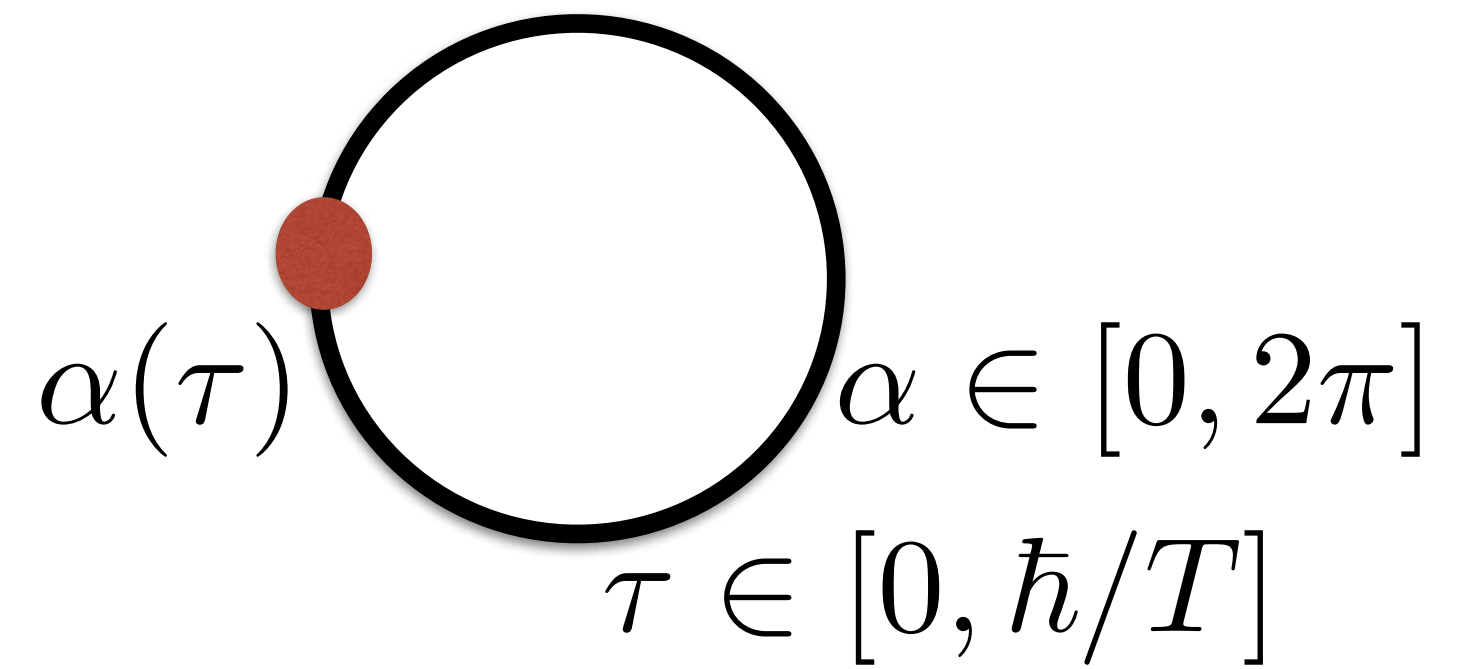
**relation between monopole and instanton-dyon descriptions,  
the “Poisson duality”**

**in N=4 SYM on  $R^3 \times S^1$ , monopoles and inst-dyons give the same Z**

**N. Dorey and A. Parnachev, JHEP 0108, 059 (2001)  
doi:10.1088/1126-6708/2001/08/059 [hep-th/0011202].**

# Is there any relation between the semiclassical instanton-dyons and QCD monopoles?

Adith Ramamurti,<sup>\*</sup> Edward Shuryak,<sup>†</sup> and Ismail Zahed<sup>‡</sup>



The same phenomenon in much simpler setting:  
**quantum particle on a circle at finite T**

A Hamiltonian vs Lagrangian approaches

$$Z_1 = \sum_{l=-\infty}^{\infty} \exp\left(-\frac{l^2}{2\Lambda T} + il\omega\right)$$

moment of inertia

Aharonov-Bohm phase

$$Z_2 = \sum_{n=-\infty}^{\infty} \sqrt{2\pi\Lambda T} \exp\left(-\frac{T\Lambda}{2}(2\pi n - \omega)^2\right)$$

Matsubara time winding number

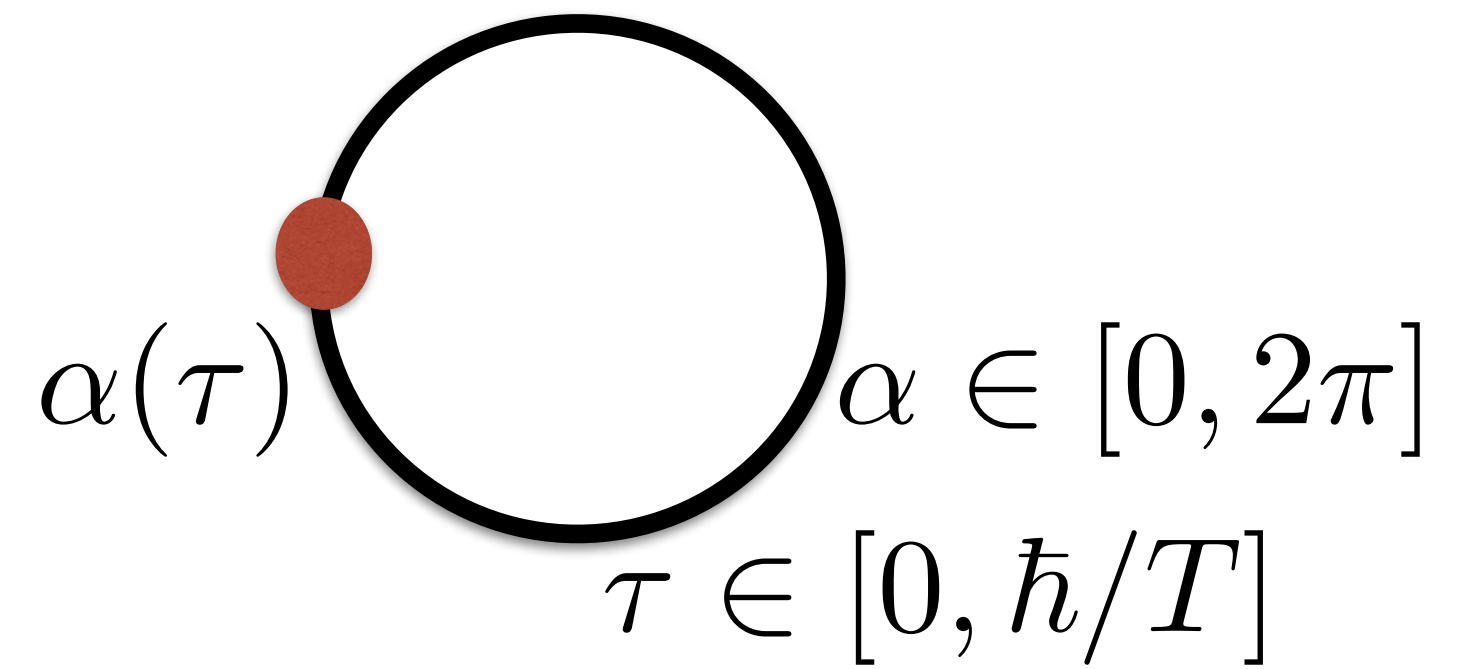
$$\alpha_n(\tau) = 2\pi n \frac{\tau}{\beta}$$

based on classical paths



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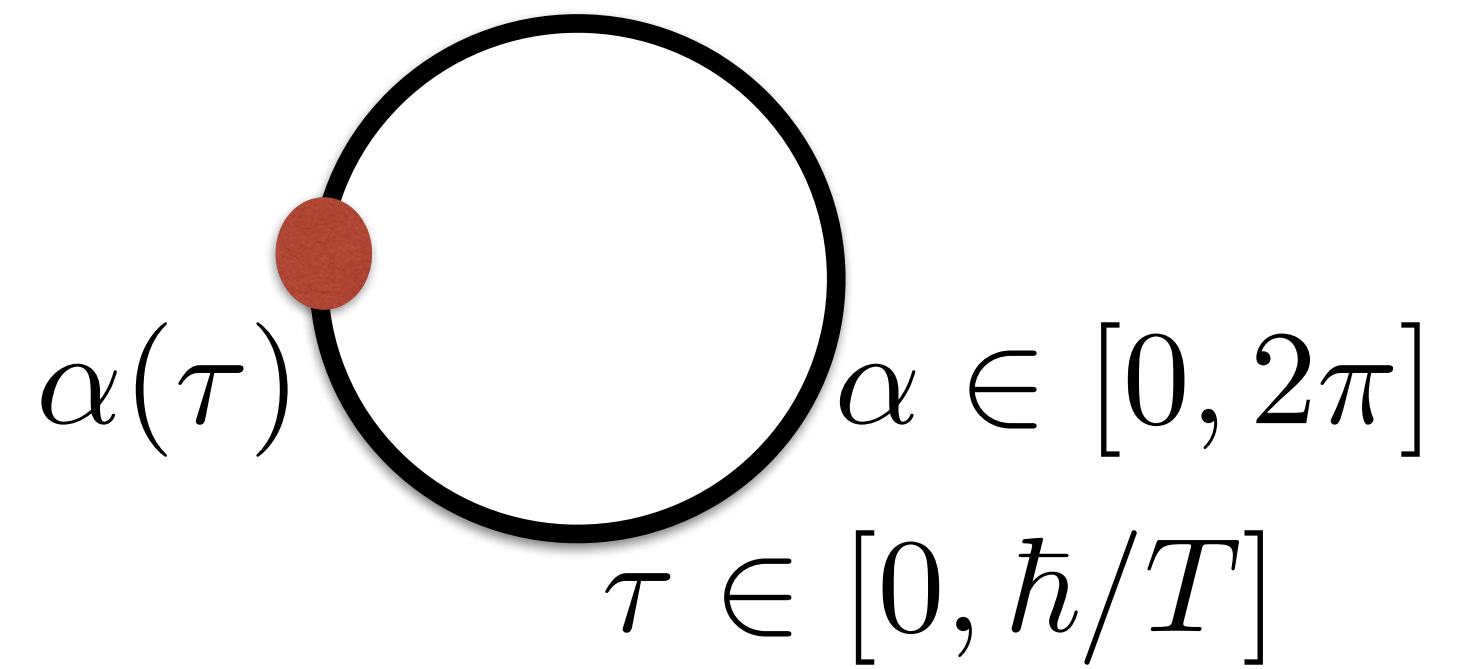
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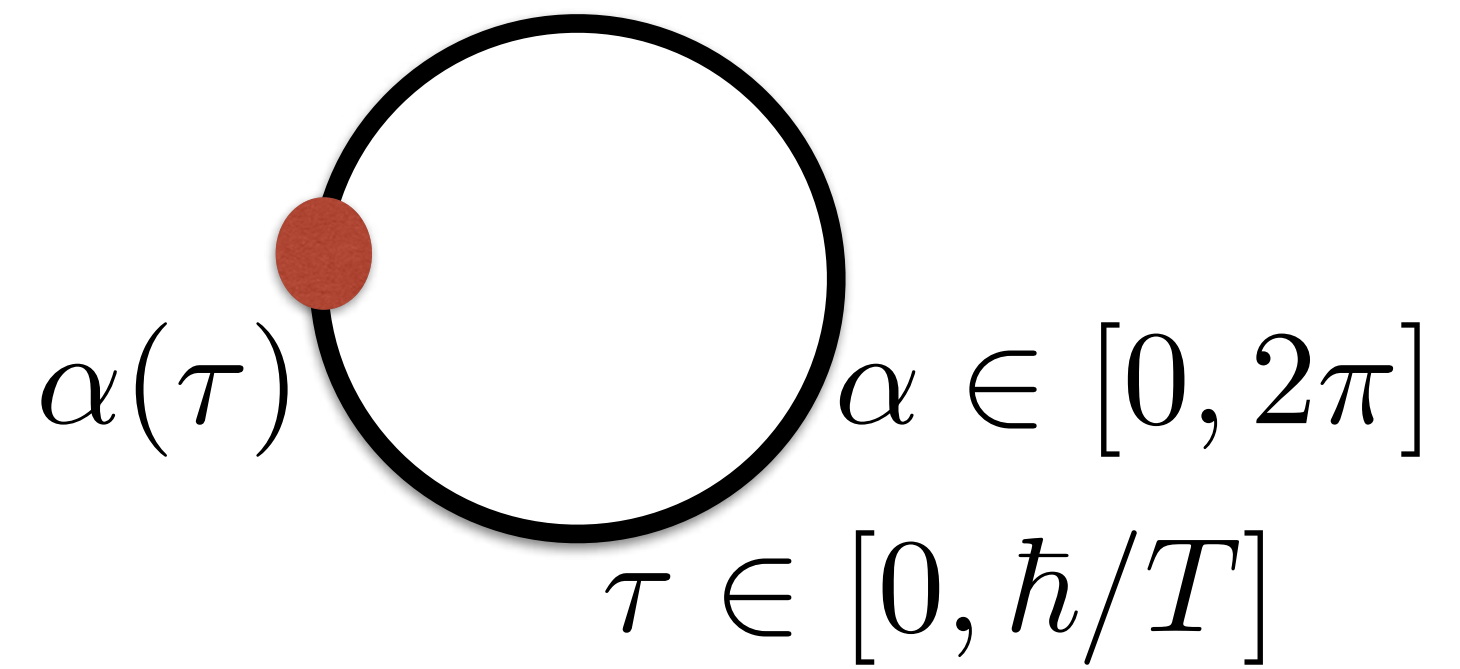
And yet, they are the same!  
 (elliptic theta function of the 3 type)

$$Z_1 = Z_2 = \theta_3\left(-\frac{\omega}{2}, \exp\left(-\frac{1}{2\Lambda T}\right)\right)$$



# Is there any relation between the semiclassical instanton-dyons and QCD monopoles?

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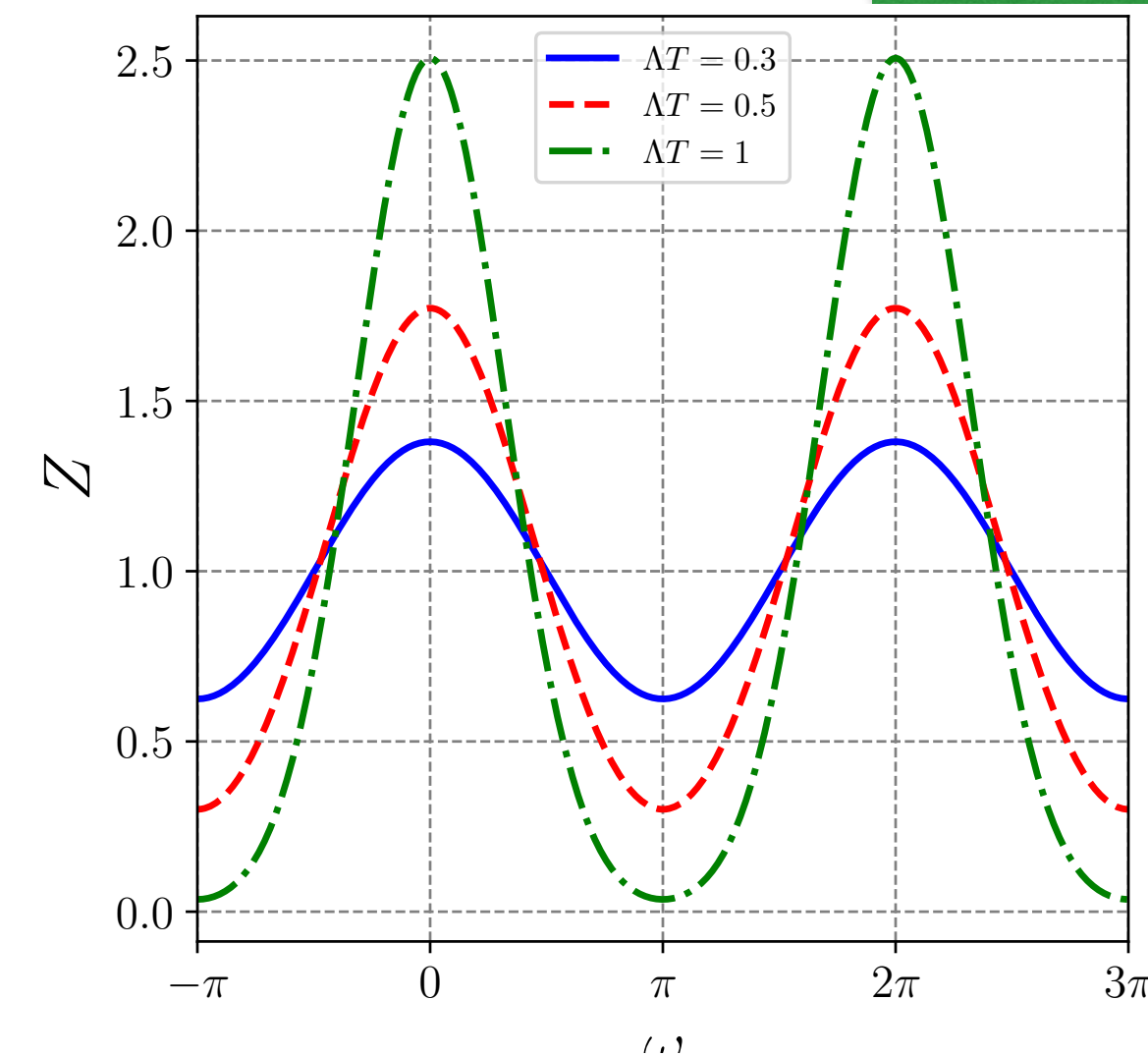
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## instanton-dyons with winding number n

The twisted solution is obtained in two steps. The first is the substitution

$$v \rightarrow n(2\pi/\beta) - v, \quad (13)$$

and the second is the gauge transformation with the gauge matrix

$$\hat{\Omega} = \exp\left(-\frac{i}{\beta}n\pi\tau\hat{\sigma}^3\right), \quad (14)$$

where we recall that  $\tau = x^4 \in [0, \beta]$  is the Matsubara time. The derivative term in the gauge transformation adds a constant to  $A_4$  which cancels out the unwanted  $n(2\pi/\beta)$  term, leaving  $v$ , the same as for the original static monopole. After “gauge combing” of  $v$  into the same direction, this configuration – we will call  $L_n$  – can be combined with any other one. The solutions are all

$$S_n = (4\pi/g^2)|2\pi n/\beta - v|$$

Found first in N=4 SYM theory, by Dorey Parnachev simple toy example in this paper

$$\sum_{n=-\infty}^{\infty} f(\omega + nP) = \sum_{l=-\infty}^{\infty} \frac{1}{P} \tilde{f}\left(\frac{l}{P}\right) e^{i2\pi l\omega/P}$$

Poisson summation formula can be used to derive the monopole Z

$$Z_{\text{inst}} = \sum_n e^{-\left(\frac{4\pi}{g_0^2}\right)|2\pi n - \omega|}$$

$$Z_{\text{mono}} \sim \sum_{q=-\infty}^{\infty} e^{iq\omega - S(q)}$$



$$S(q) = \log\left(\left(\frac{4\pi}{g_0^2}\right)^2 + q^2\right) \approx 2\log\left(\frac{4\pi}{g_0^2}\right) + q^2\left(\frac{g_0^2}{4\pi}\right)^2 + \dots$$

**q is angular momentum of rotating monopole, so it is electric charge (Zee)**

Therefore we now understand why  
 The density of monopoles depends on T  
 as an inverse power of log(T) , not power of T =>  
**It is because they are not really semiclassical objects!**

$$S_{mono} \sim \log(const/g^2) = \log(\log(T/T_c))$$

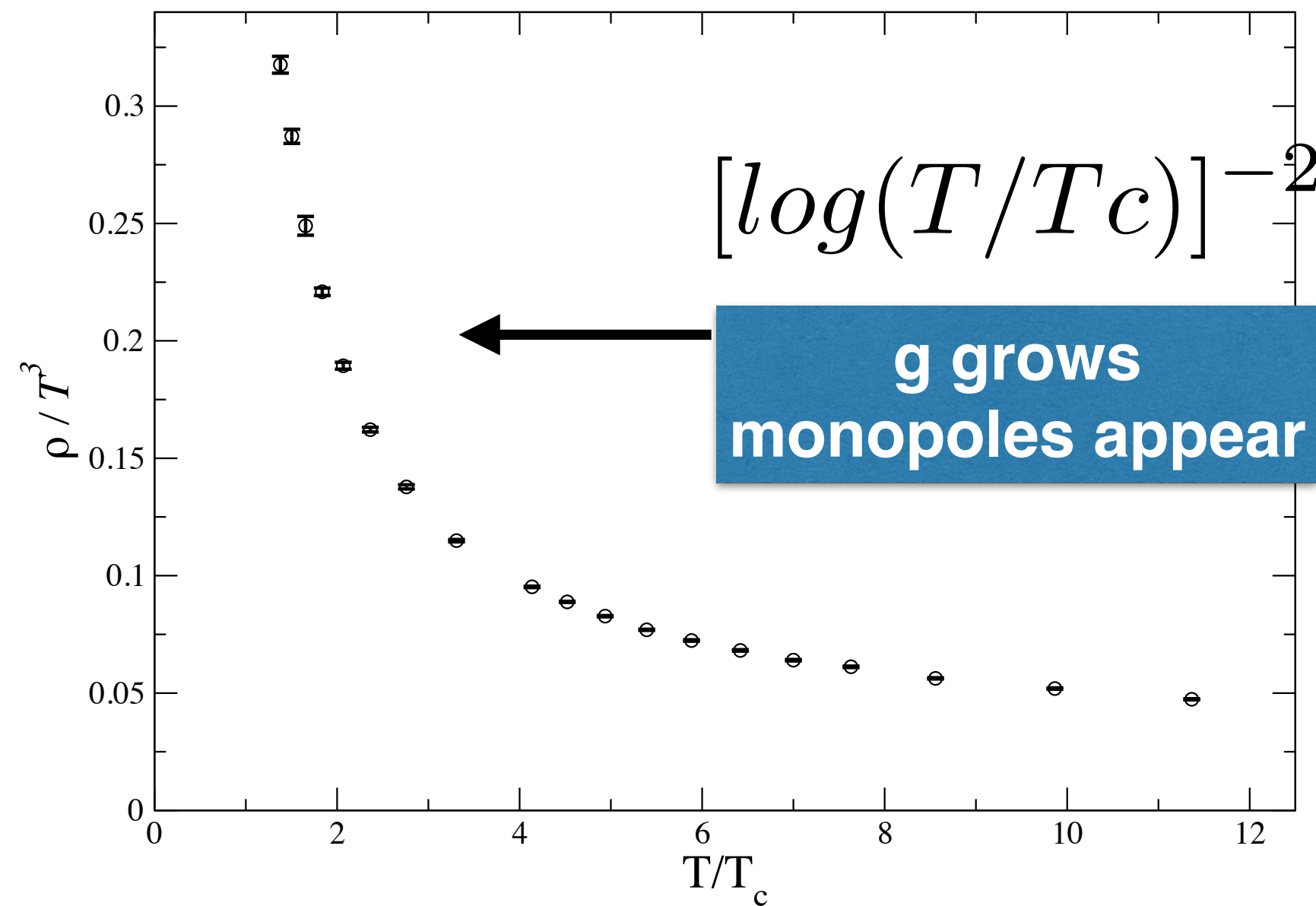


Fig. 2.6 The normalized monopole density  $\rho/T^3$  for the  $SU(2)$  pure gauge theory as a function of the temperature, in units of the critical temperature  $T/T_c$ , above the deconfinement transition.

D'Alessandro, A. and D'Elia, M. (2008).  
 Magnetic monopoles in the high temperature  
 phase of Yang-Mills theories.  
 Nucl. Phys., B799:241–254. 0711.1266.

**For instantons and  
 dyons it is different**

$$\exp(-S) \sim \exp(-const/g^2) = \exp(-const' * \log(T)) = 1/T^{power}$$

# Summary

- Semiclassical objects at finite  $T$  are **instanton-dyons**, fractions of instantons. Their interactions and **ensembles** for  $SU(2)$  and  $SU(3)$  gauge theories, with and without quarks studied
- Very cleanly they are **seen in lattice configurations via Dirac zero (and quasizero) eigenmodes**. Even when overlapping, the lattice shapes follow semiclassical formulae very accurately (?)
- in QCD deconfinement and chiral transitions are close, but
- can be moved by two different deformations: **(1) Polyakov line suppression**
- **(2) changes of fermion periodicity phases**
- **Poisson duality** for monopoles to instanton-dyons **explains the monopole density( $T$ )** and **why monopoles of pure gauge theories or QCD are not semiclassical**