

Classical time evolution in presence of ghosts: From scalar models to black-hole binaries

Aaron Held

Philippe Meyer Junior Research Chair
École Normale Supérieure

June 19, 2025: AstroParticle Physics Seminar
SISSA, Trieste, Italy



Motivation: Gravitational Effective Field Theories

Part I: Ghostly interactions in classical field theory

with Cédric Deffayet, Shinji Mukohyama, and Alexander Vikman (2023, 2025)

Part II: Well-posed time evolution & black hole binaries

with Hyun Lim (2021, 2023, 2025)

with Pau Figueras and Aaron Kovacs (2024), also ongoing with Ramiro Cayuso

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The Effective Field Theory Framework ...

Assuming a given

(i) IR **field content**

metric / curvature *

(ii) IR **symmetries**

Lorentz invariance

(iii) **expansion** scale/scheme

derivative / curvature

we expand the effective action in all possible operators.

*hidden additional gravitational
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the effect of any unknown UV physics
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... systematically captures modifications of GR.

Joint derivative/curvature expansion ...

$$\mathcal{L}_{\text{EFT}}^{(1)} = M_{\text{Pl}}^2 R$$

$$\mathcal{L}_{\text{EFT}}^{(2)} = \left[\alpha_0 R_{\text{ab}} R^{\text{ab}} - \beta_0 R^2 \right]$$

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After reduction via

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(ii) geometric identities

(iii) 4D-specific identities (e.g. Gauss-Bonnet)

see Fulling CQG 9 (1992); Martin-Garcia, Yllanes, Portugal, CPC 179 (2008)

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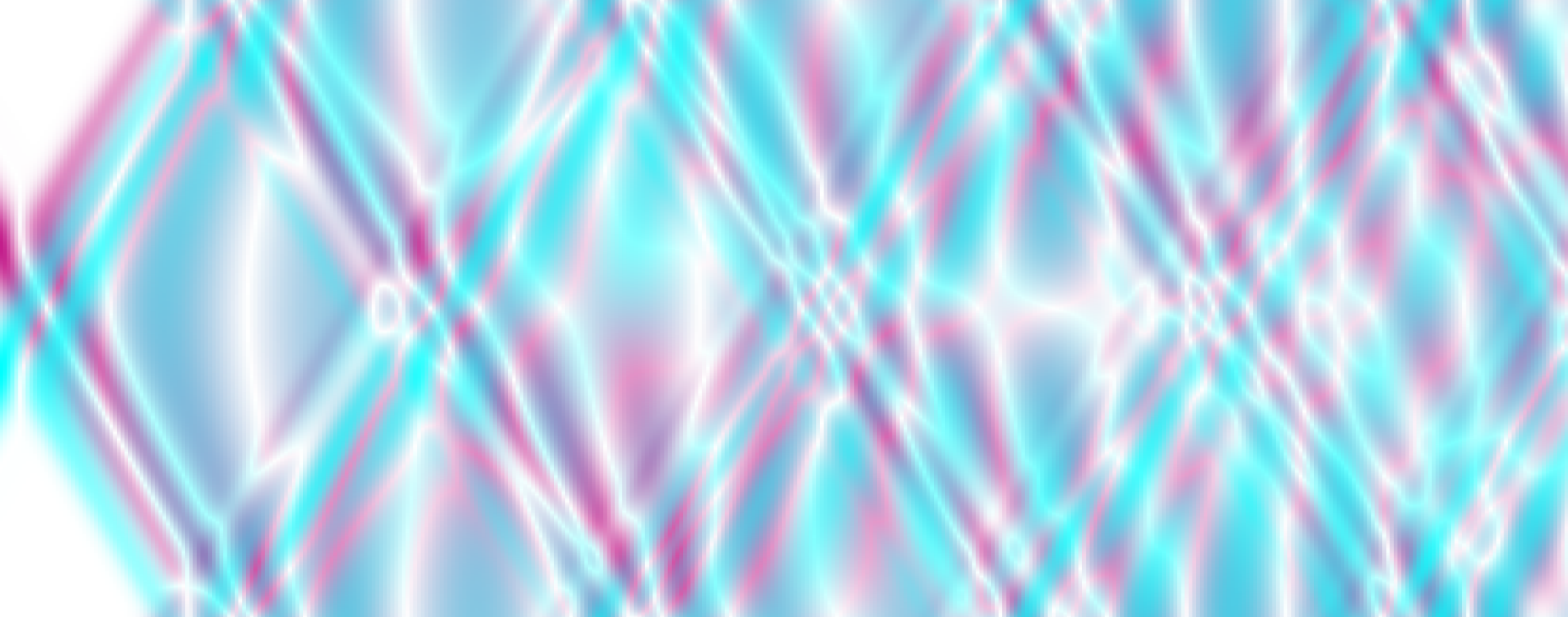
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The **Hamiltonian** of all higher-derivative non-degenerate classical point-particle theories is **unbounded from above and below.**

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Point-particle systems w/ opposite-sign kinetic terms ...

Integrable Liouville models ...

$$H_{LV} = \frac{p_x^2}{2} + \sigma \frac{p_y^2}{2} + V_{LV}(x, y)$$

$$V_{LV} = \frac{f(u) - g(v)}{u^2 - v^2}$$

$$u^2 = 1/2 \left(r^2 + c + \sqrt{(r^2 + c)^2 - 4cx^2} \right)$$

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$$r^2 = x^2 + \sigma y^2$$

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... can nevertheless be globally (Lagrange) stable.

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... are Lagrange stable if ...

(i) ... $f(u)$ and $g(v)$ are bounded below, i.e.,

$$f(u) \geq f_0 \quad \& \quad g(v) \geq g_0$$

(ii) ... at large $|u|$ and $|v|$, these bounds sharpen to

$$f(u) \geq 4F_0 |u|^\zeta > 0 \quad \& \quad g(v) \geq 4G_0 |v|^\eta > 0$$

with $f_0, g_0 \in \mathbb{R}$, $F_0, G_0 \in \mathbb{R}^+$, $\zeta > 2$, $\eta > 2$

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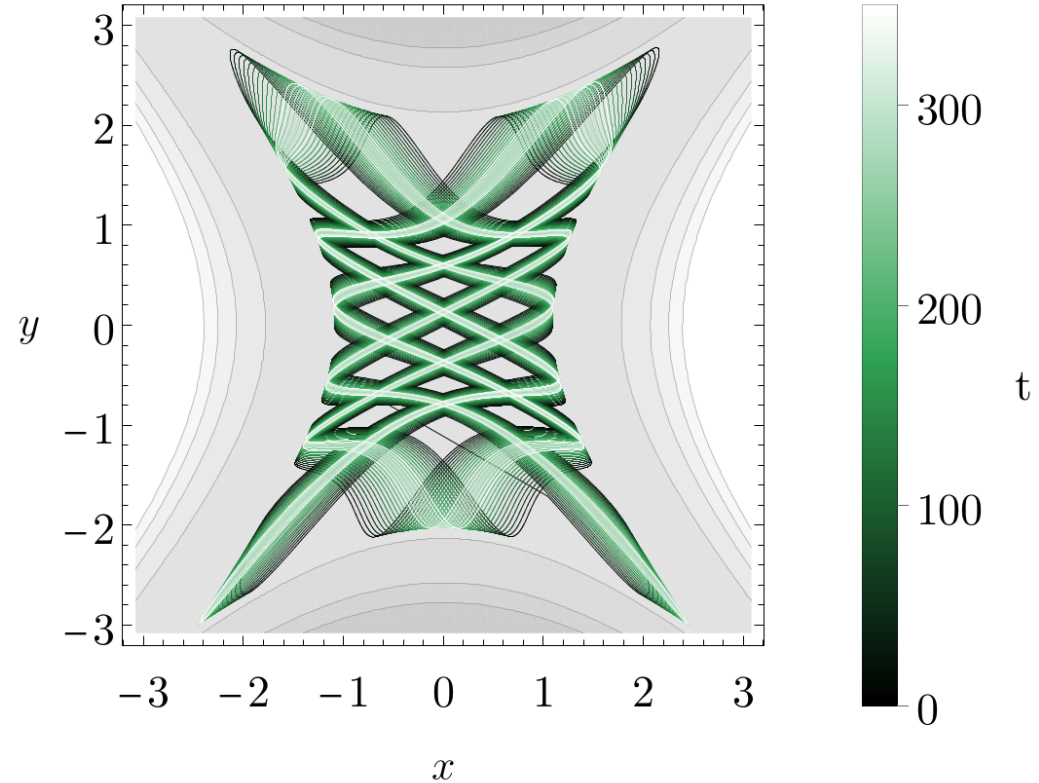
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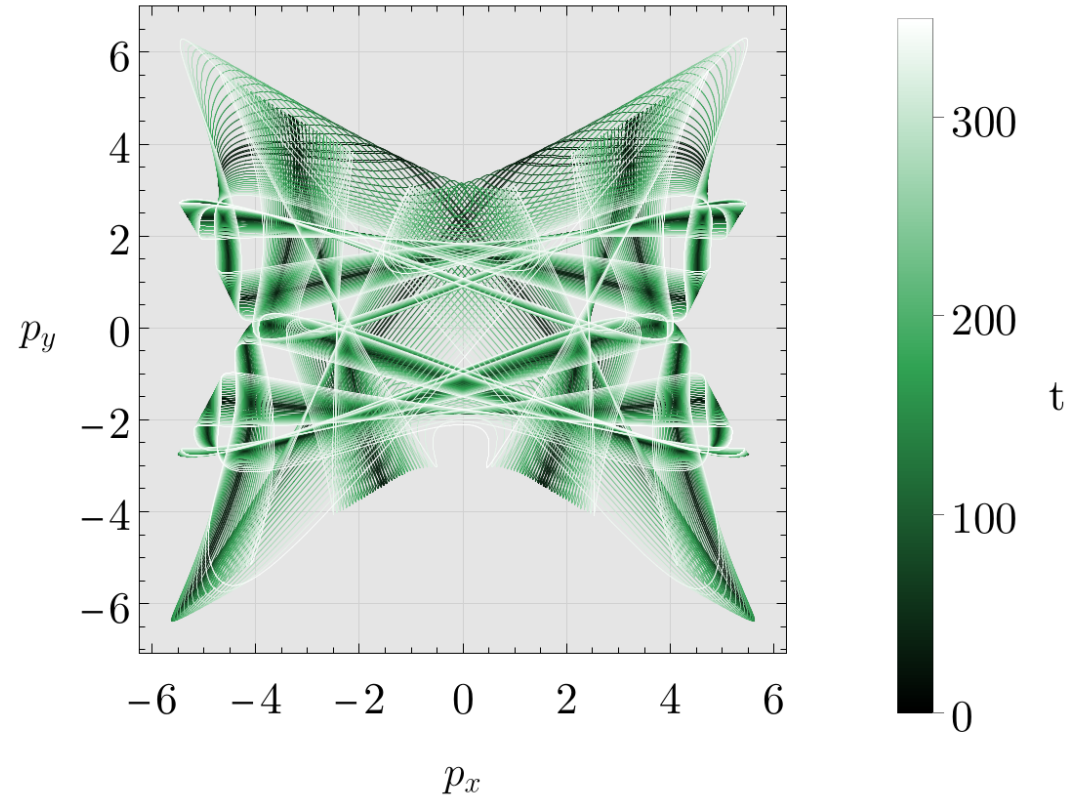
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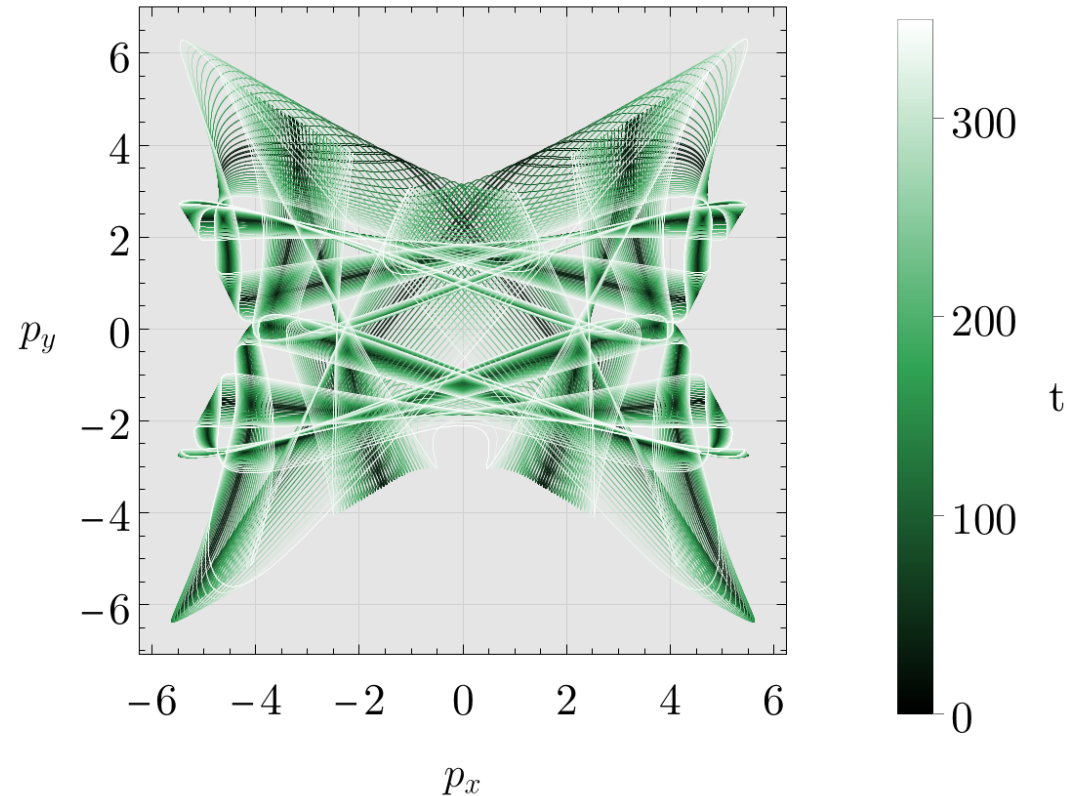
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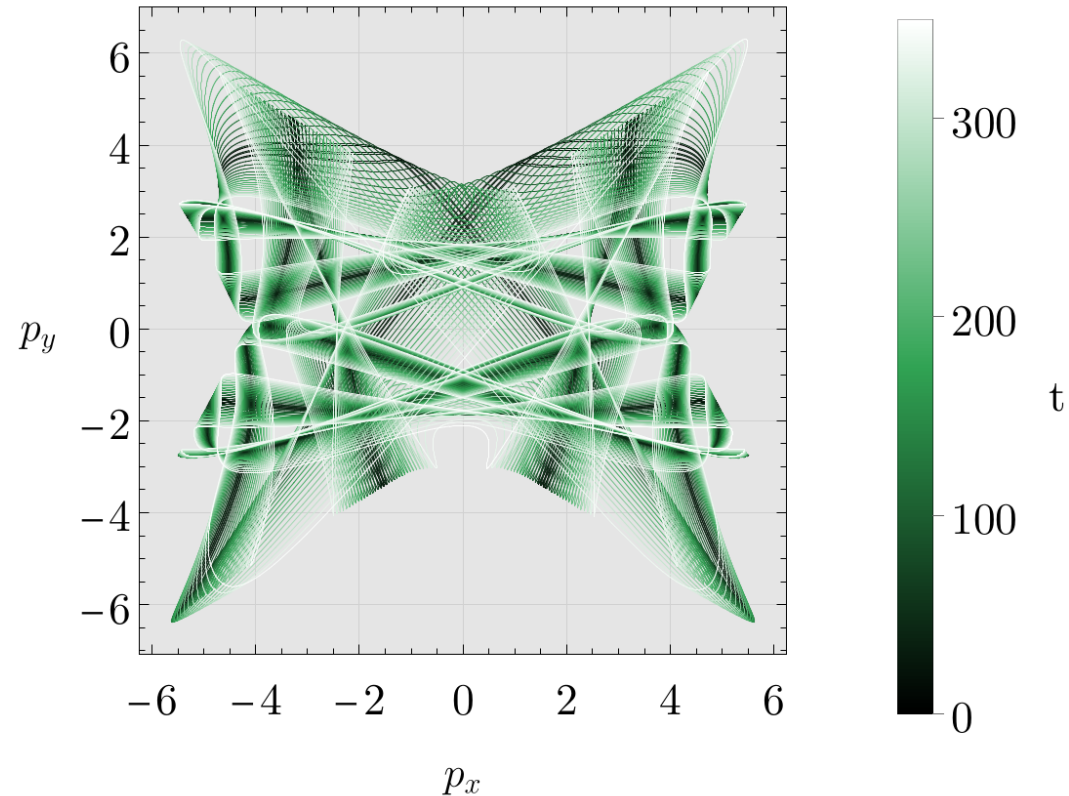
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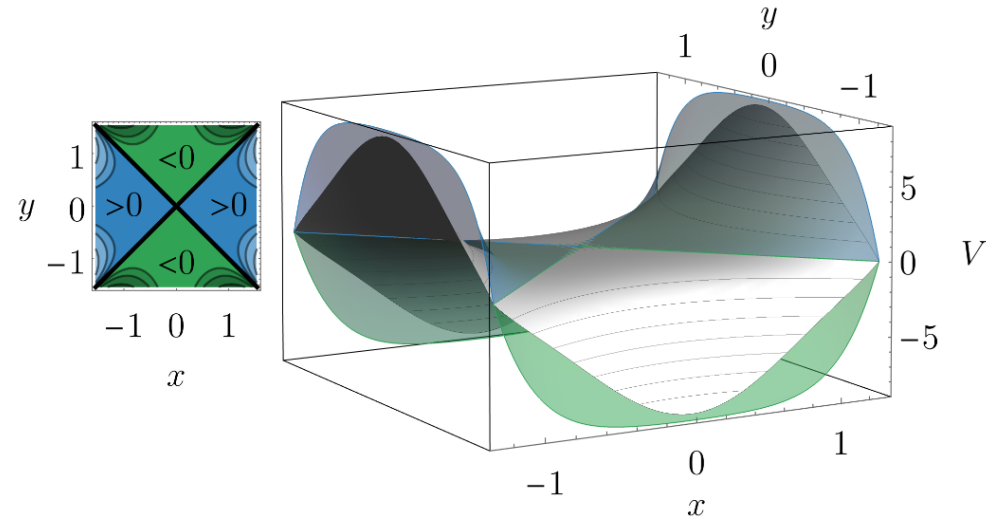


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Point-particle systems w/ opposite-sign kinetic terms ...

... identify conditions on the potential

- decoupled potentials are individually stable
- At large $|x|$, $|y|$, the full potential is dominated by the decoupled potentials
 - $V(x, y) \leq V_P(x) + V_G(y) \quad \forall |x| \geq |y|$
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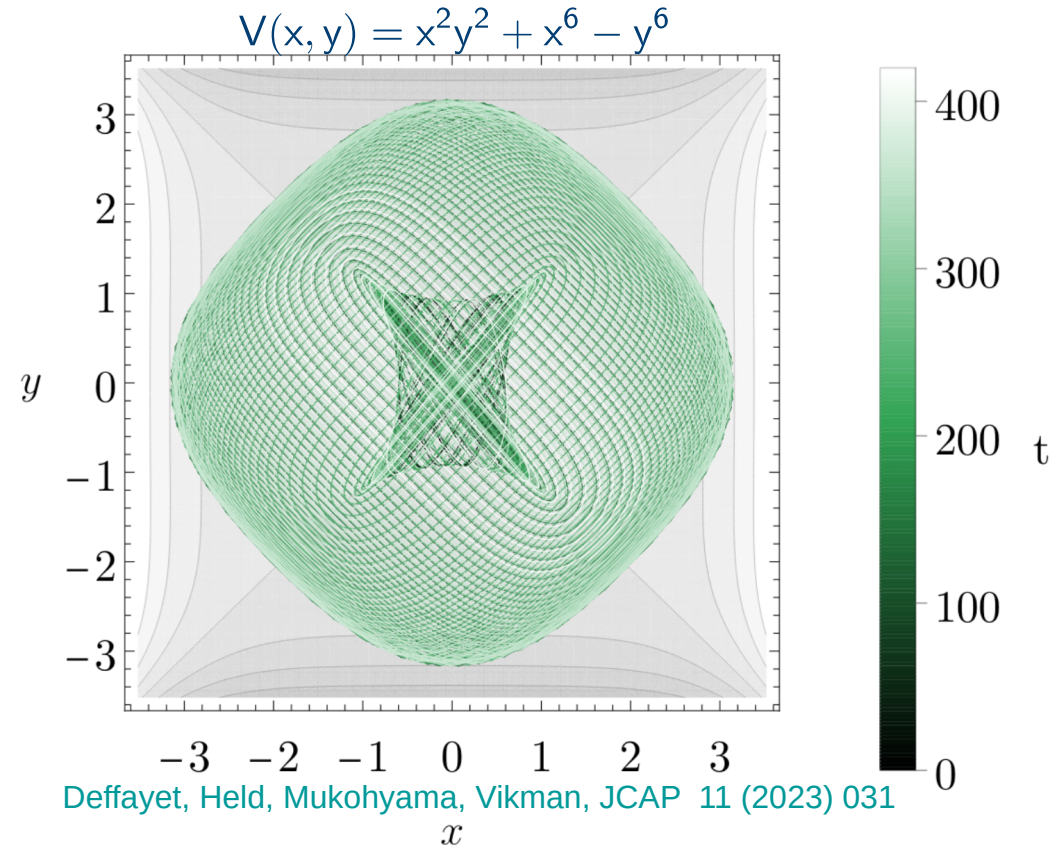
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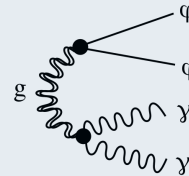
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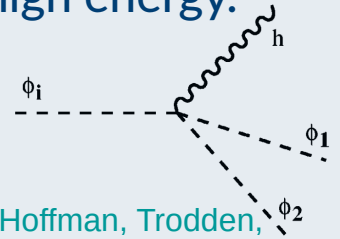
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Cline, Jeon, Moore, PRD 70 (2004)



Caroll, Hoffman, Trodden, PRD 68 (2003)

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Deffayet, Held, Mukohyama, Vikman, JCAP 11 (2023) 031
Deffayet, Held, Mukohyama, Vikman, 2504.11437

The **Hamiltonian** of all higher-derivative non-degenerate classical point-particle theories is **unbounded from above and below.**

Ostrogradski 1857

Point-particle models can be stable if the potential at large phase-space distance is **dominated by stable self-interactions.**

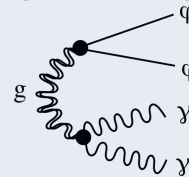
Deffayet, Held, Mukohyama, Vikman, JCAP 11 (2023) 031

Classical field theories do not decay instantaneously and can exhibit longlived motion.

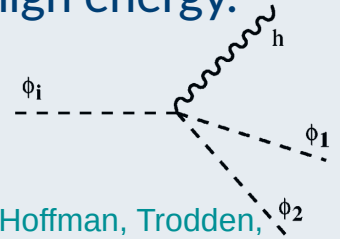
Deffayet, Held, Mukohyama, Vikman, 2504.11437

All non-degenerate ~~higher-derivative classical point-particle~~ theories exhibit runaway solutions.

Ok, but ~~field theories~~ will still decay **instantaneously** because of an infinite phase-space volume at high energy.



Cline, Jeon, Moore, PRD 70 (2004)



Caroll, Hoffman, Trodden, PRD 68 (2003)

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Urries, *J. Phys. A* 31 (1998)

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- e.g., Lagrangian

$$\mathcal{L} = -\frac{1}{2}\phi [\square + m_\phi^2] \phi - \frac{\sigma}{2}\chi [\square + m_\chi^2] \chi - V(\phi, \chi)$$

$\sigma = + 1$: non-ghostly

$\sigma = - 1$: ghostly

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- with field equations

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... do **not** obstruct from well-posedness.

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... **cannot** lead to instantaneous classical decay.

Numerical solution ...

Numerical solution ...



- using DifferentialEquations.jl
https://github.com/aaron-hd/ghostlyPDE_1D
- julia-based PDE solver
Rackauckas, Nie, JORS 5 (2017)



DifferentialEquations.jl

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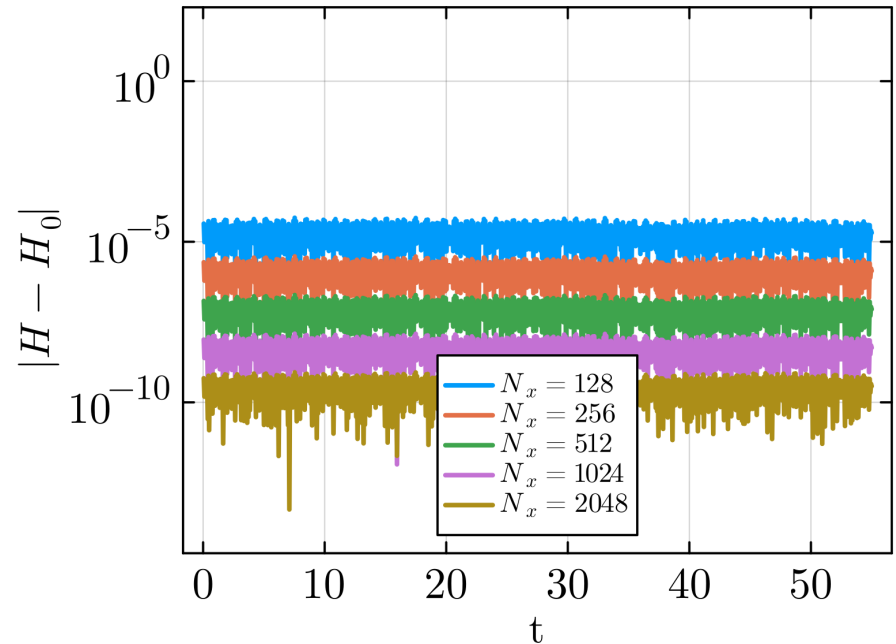
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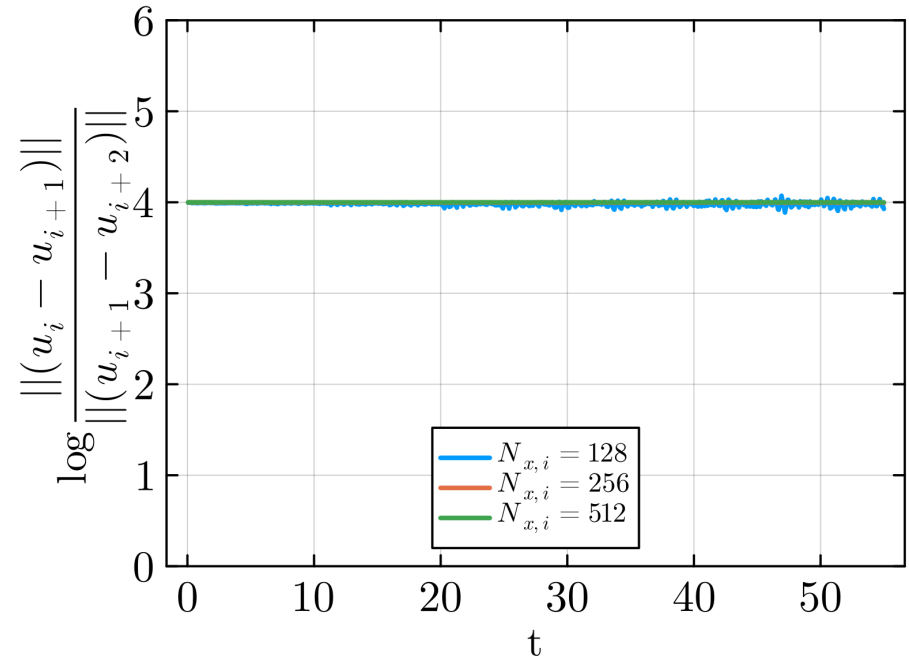
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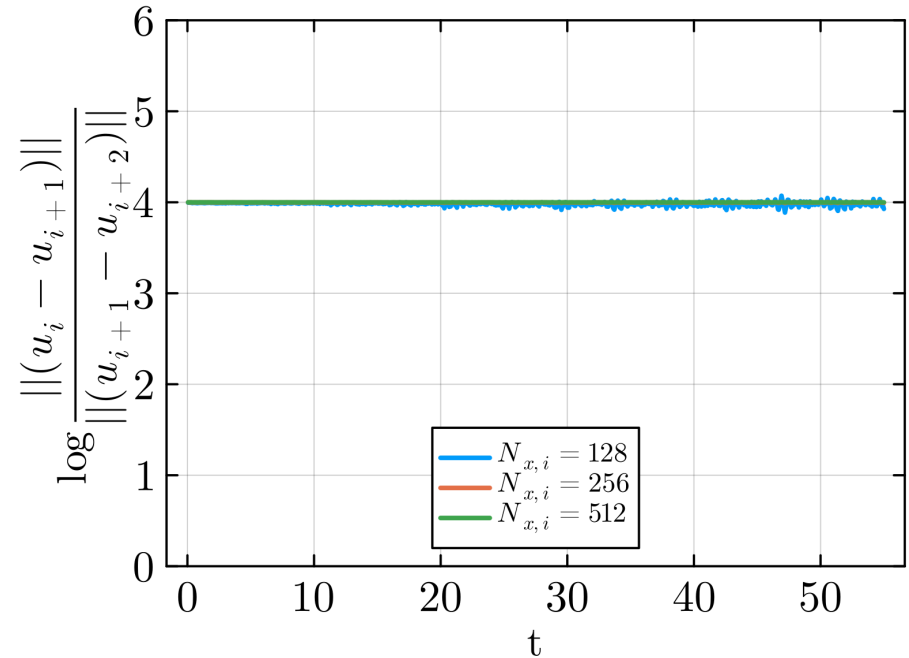
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... converges to the continuum field theory.

Unquenched instability ...

Deffayet, Held, Mukohyama, Vikman, 2504.11437

$$V = \lambda_{nm} \phi^n \chi^m$$

**(1+1)D Simulation
converges to the
solution of the
continuum field theory**

- 4th order FD
- 4th order RK4 timestep
- self-convergence rate
verified at all times

Model parameters

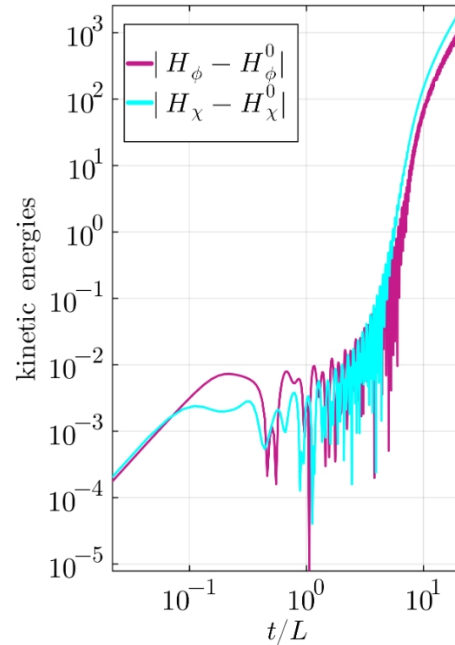
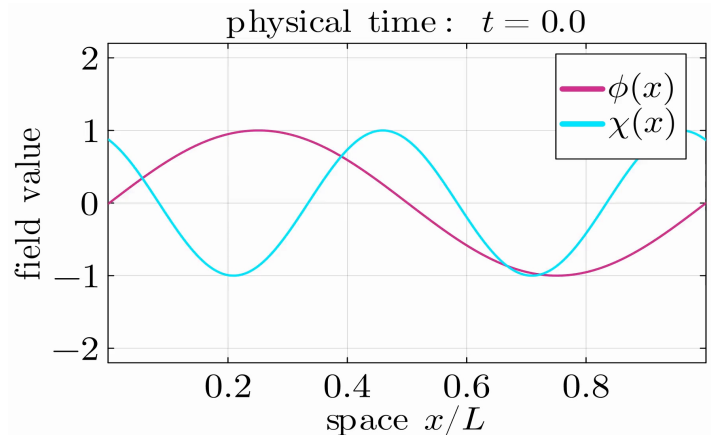
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- $\lambda L^2 = 1$;
- $m_\phi L = m_\chi L = 0$;

plane-wave initial data

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(1+1)D Simulation converges to the solution of the continuum field theory

- 4th order FD
- 4th order RK4 timestep
- self-convergence rate verified at all times

Model parameters

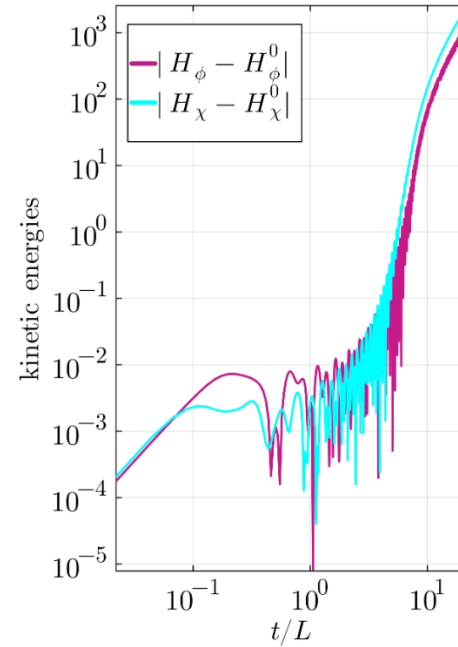
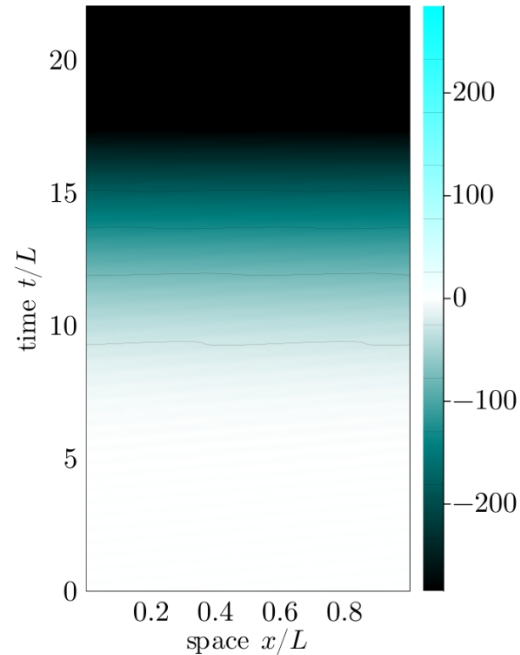
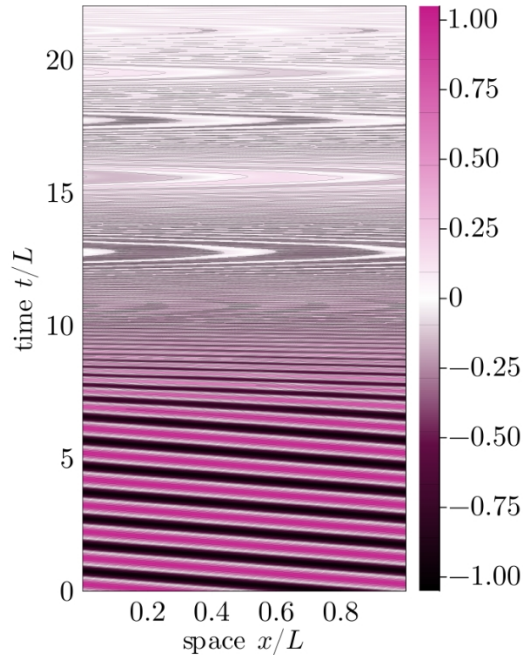
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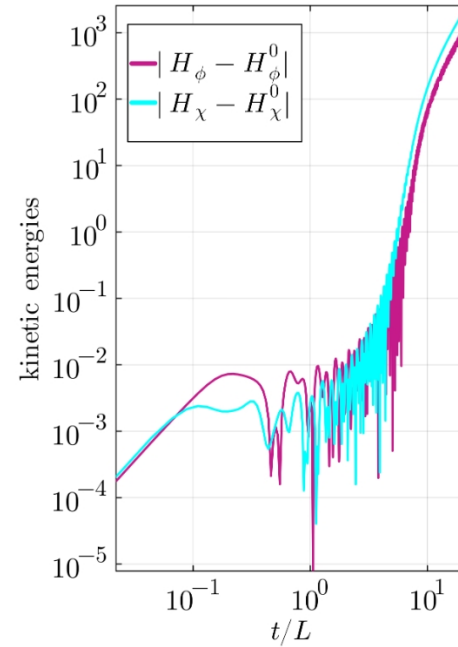
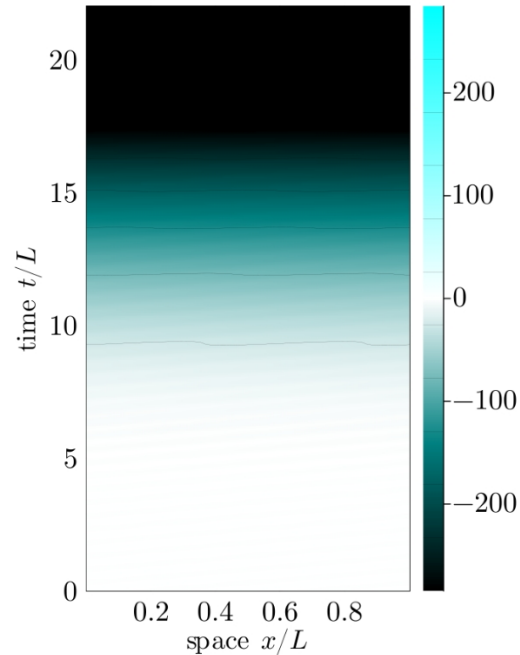
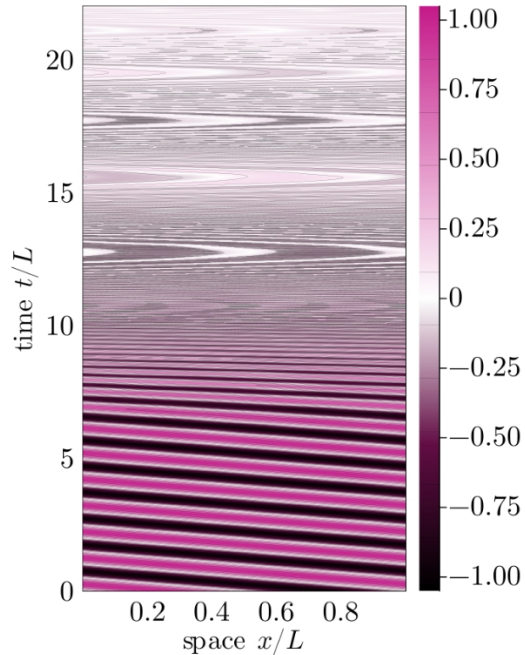
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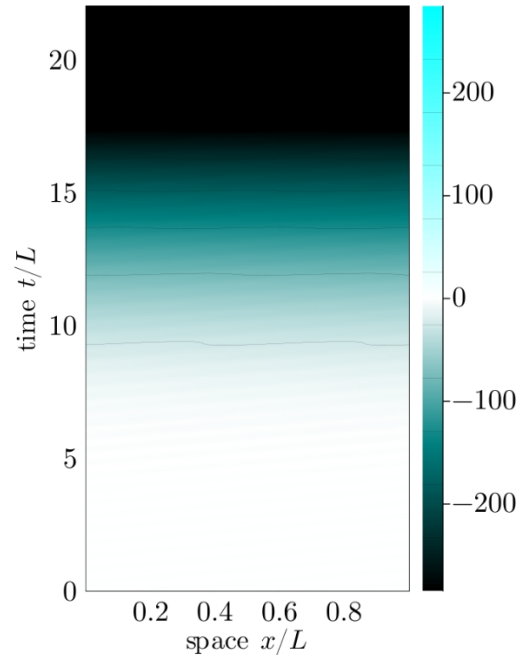
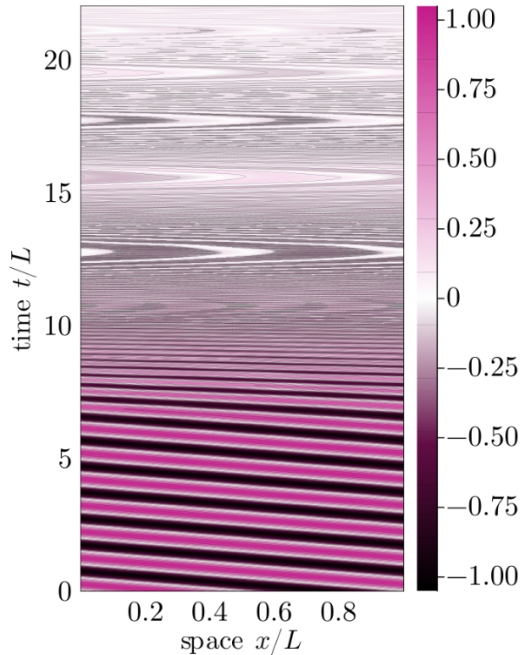
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... can be benign.

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Deffayet, Held, Mukohyama, Vikman, 2504.11437

$$V = \lambda_{nm} \phi^n \chi^m$$



$$\square \phi = - (m_\phi^2 + 2 \lambda_{22} \chi^2) \phi \equiv -m_{\phi,\text{eff}}^2 \phi$$

$$\square \chi = - (m_\chi^2 + 2 \sigma \lambda_{22} \phi^2) \chi \equiv -m_{\chi,\text{eff}}^2 \chi$$

- no ghost: both effective masses positive
- with ghost: one effective mass positive
one effective mass negative

... can be benign.

Higher frequencies ...

Deffayet, Held, Mukohyama, Vikman, 2504.11437

$$V = \lambda_{nm} \phi^n \chi^m$$

$$\partial_t^2 \phi = - (k_\phi^2 + m_\phi^2 + \lambda \chi^2) \phi$$

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- plane-wave approximation

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- **high frequency dominates potential**, both for the non-ghost and for the ghost case

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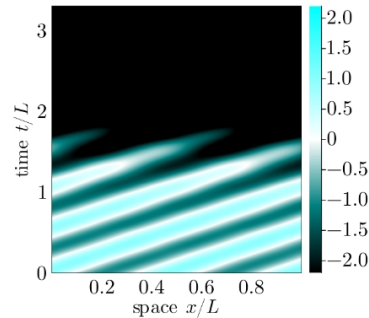
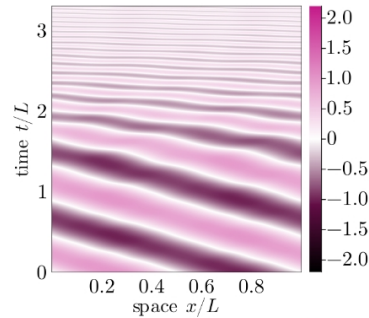
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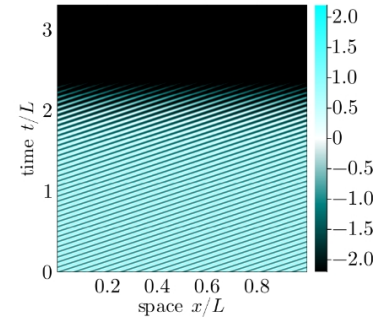
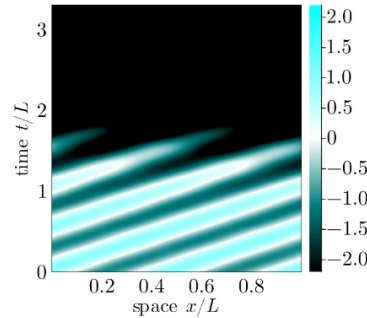
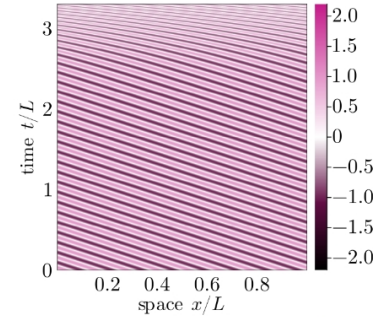
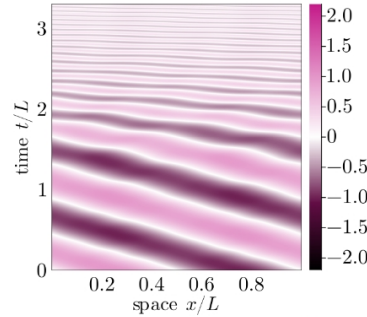
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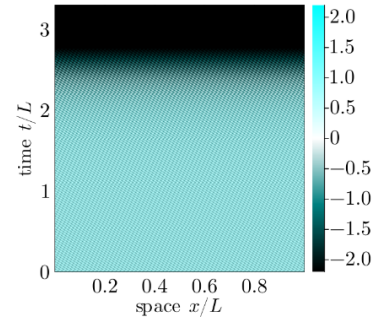
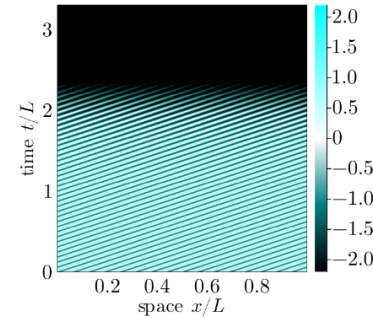
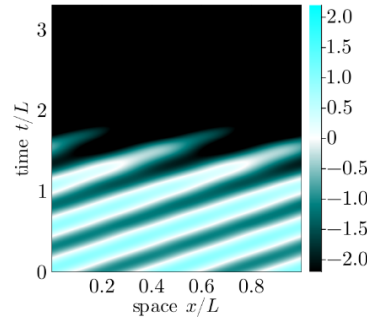
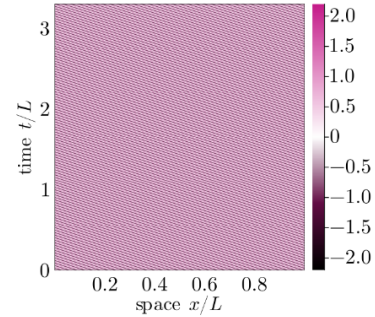
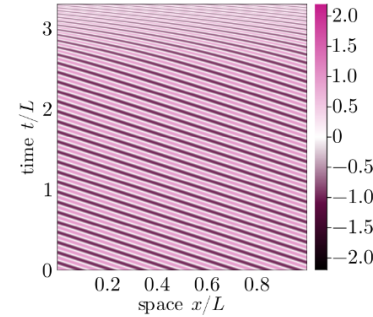
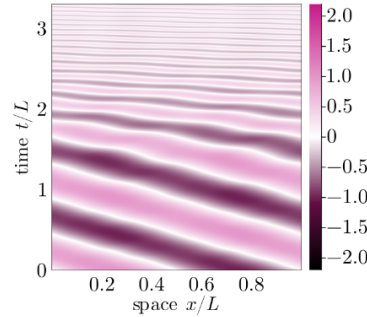
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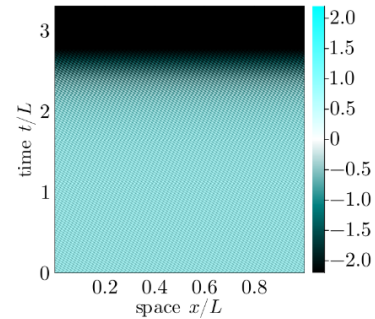
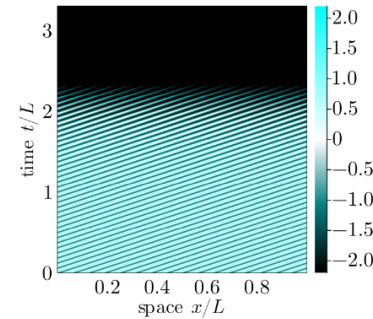
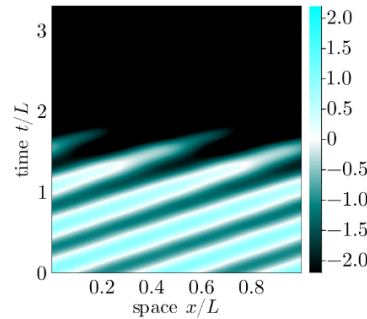
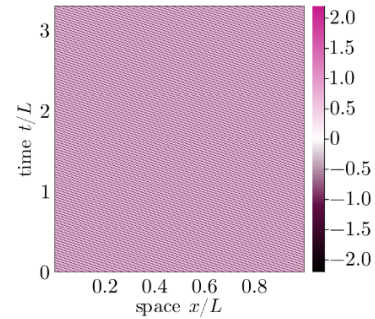
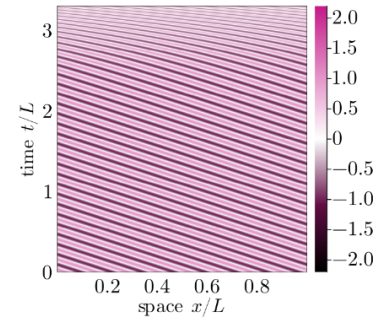
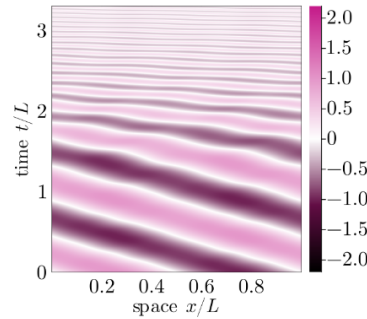
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Deffayet, Held, Mukohyama, Vikman, 2504.11437

... are more stable, not less stable.

Opposite-sign kinetic terms ...

Deffayet, Held, Mukohyama, Vikman, 2504.11437

Increasingly longlived for:

- lower initial amplitude
- higher initial frequency

initial data parameters

- weaker ghostly coupling
- larger masses

model parameters

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Deffayet, Held, Mukohyama, Vikman, JCAP 11 (2023) 031

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- 4th order FD
- 4th order RK4 timestep
- self-convergence rate
verified at all times

**Model parameters
setup in trivial vacuum**

$$m_\phi^2 \equiv m_\chi^2 \equiv m^2$$

Various initial data families

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Deffayet, Held, Mukohyama, Vikman, 2504.11437

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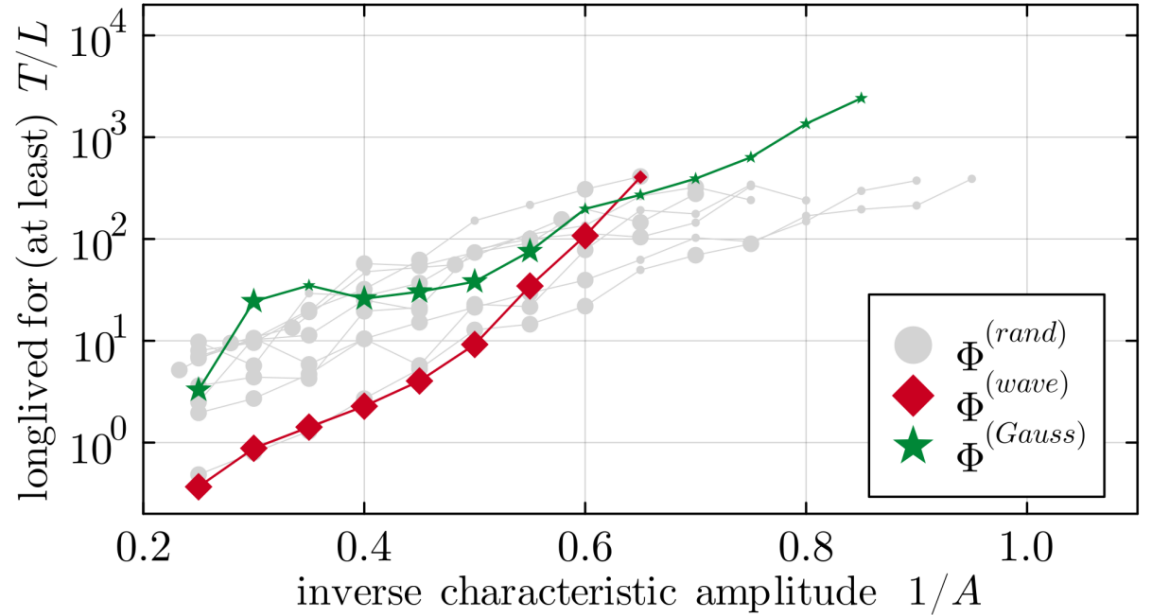
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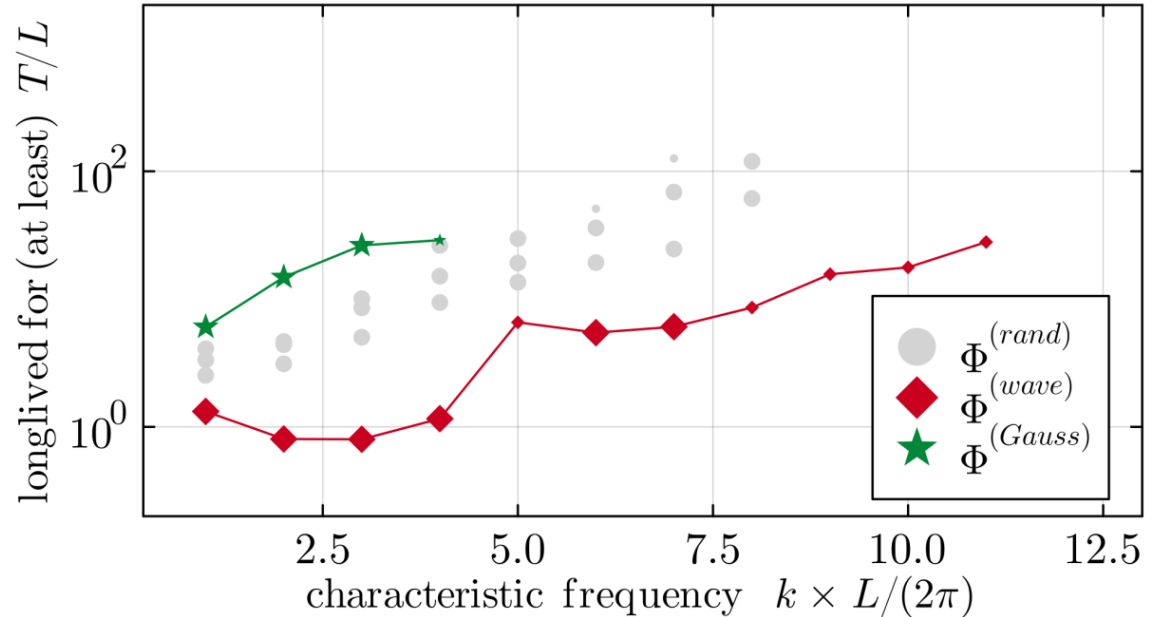
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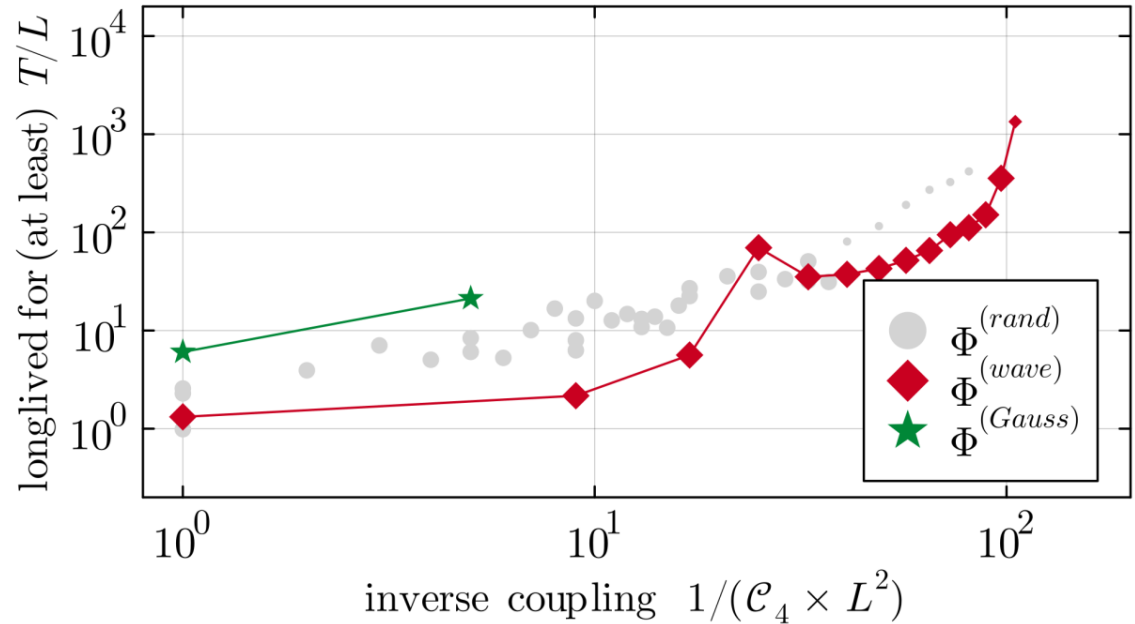
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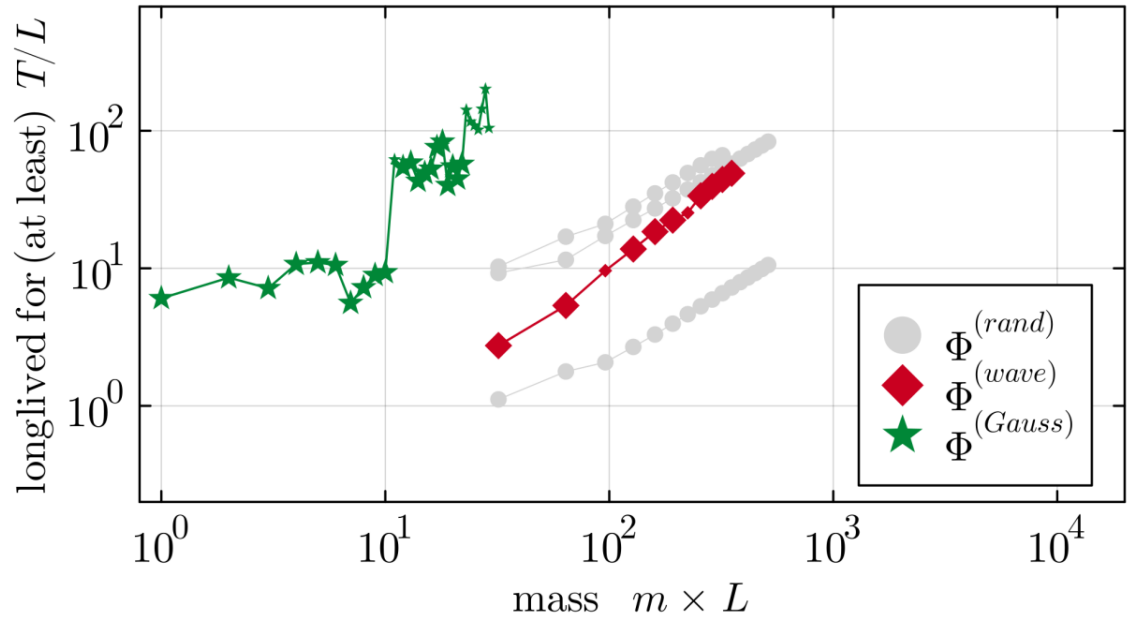
initial data parameters

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model parameters

Deffayet, Held, Mukohyama, Vikman, JCAP 11 (2023) 031

$$V_{LV}^{(4)}(x, y) = \left(\frac{m_\phi^2}{2} - \frac{m_\chi^2}{2} \right) (\phi^2 - \chi^2)^2 + C_4(\phi^4 - \chi^4) + C_4(\phi^2 - \chi^2)^3$$



Opposite-sign kinetic terms ...

Deffayet, Held, Mukohyama, Vikman, 2504.11437

Increasingly longlived for:

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Deffayet, Held, Mukohyama, Vikman, 2504.11437

... admit for (arbitrarily) long-lived motion.

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**(1+1)D Simulation
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continuum field theory**

- 4th order FD
- 4th order RK4 timestep
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verified at all times

**Model parameters setup
in **nontrivial vacuum****

$$m_\phi^2 \equiv m_\chi^2/15 \equiv m^2$$

Random initial data

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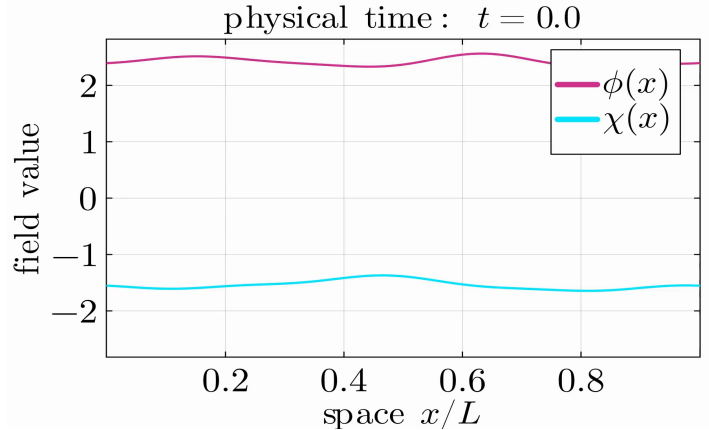
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Deffayet, Held, Mukohyama, Vikman, 2504.11437 (see also JCAP 11 (2023) 031)

... can induce nontrivial long-lived vacua.

Opposite-sign kinetic terms ...

$$V = \lambda \phi^2 \chi^2$$

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Model parameters

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(from left to right)

Plane-wave initial data

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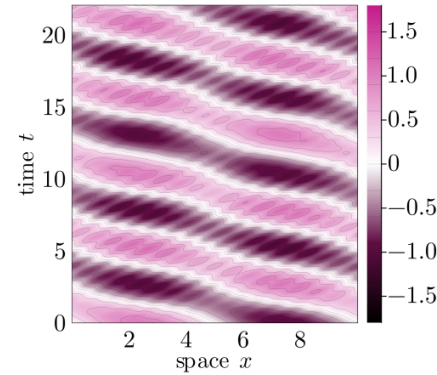
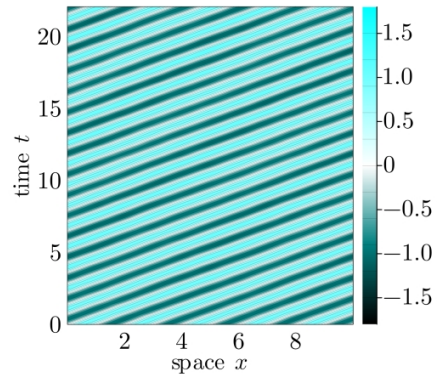
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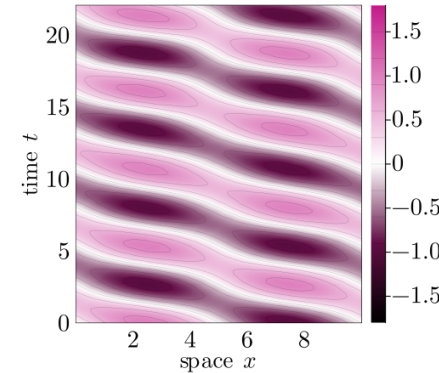
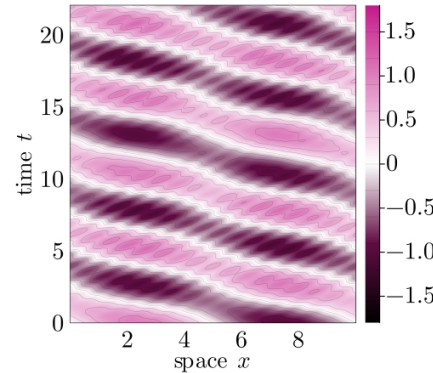
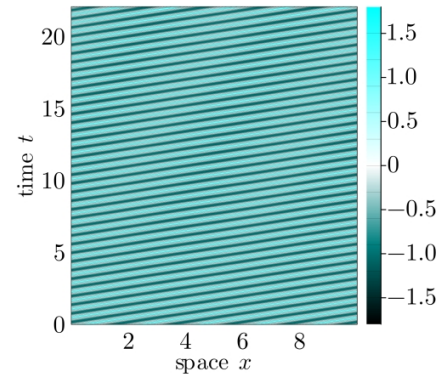
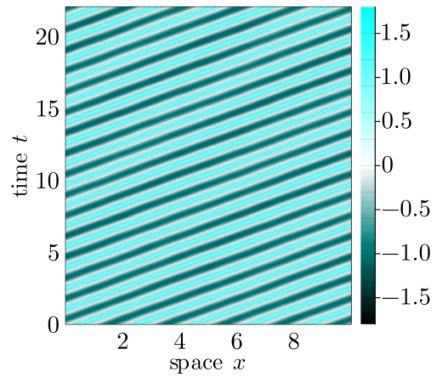
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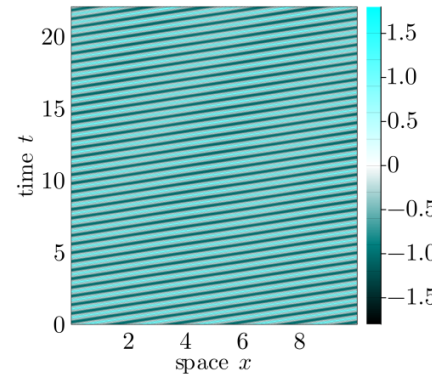
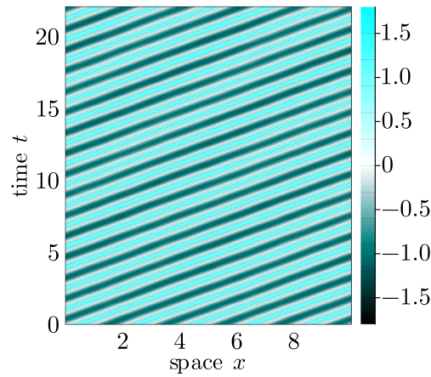
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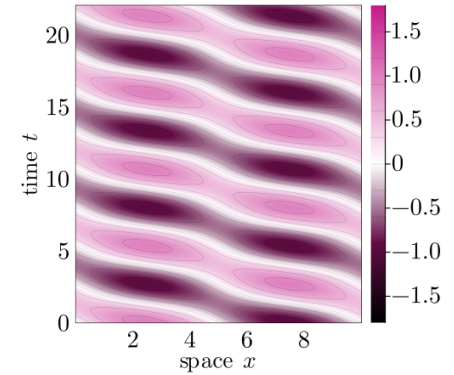
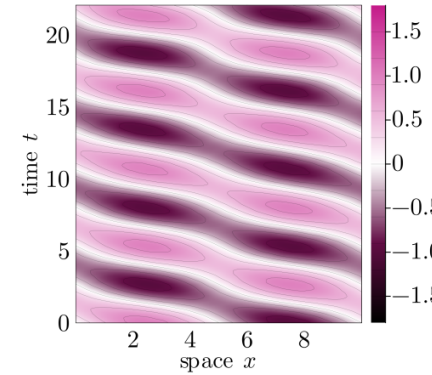
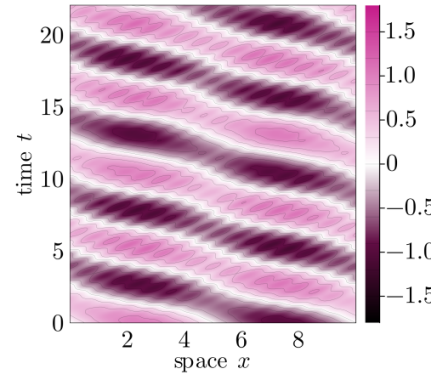
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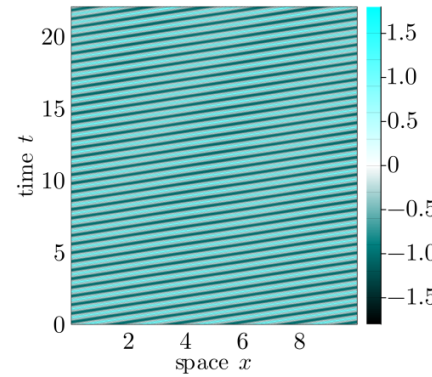
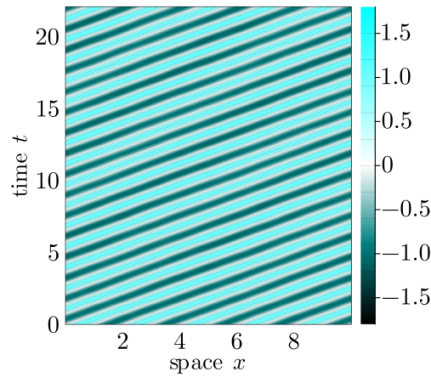
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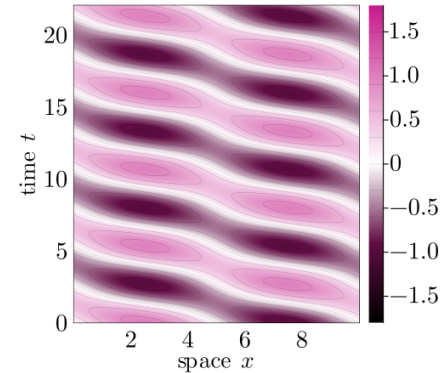
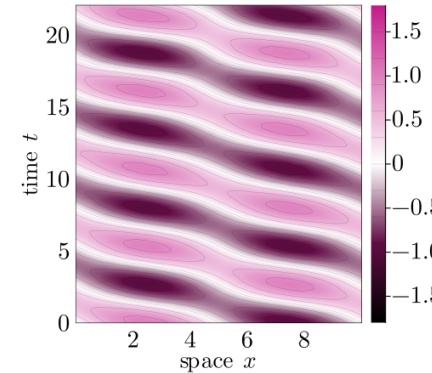
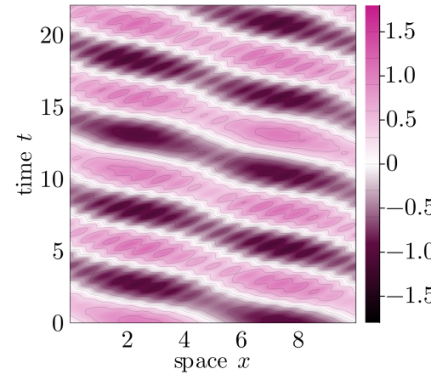
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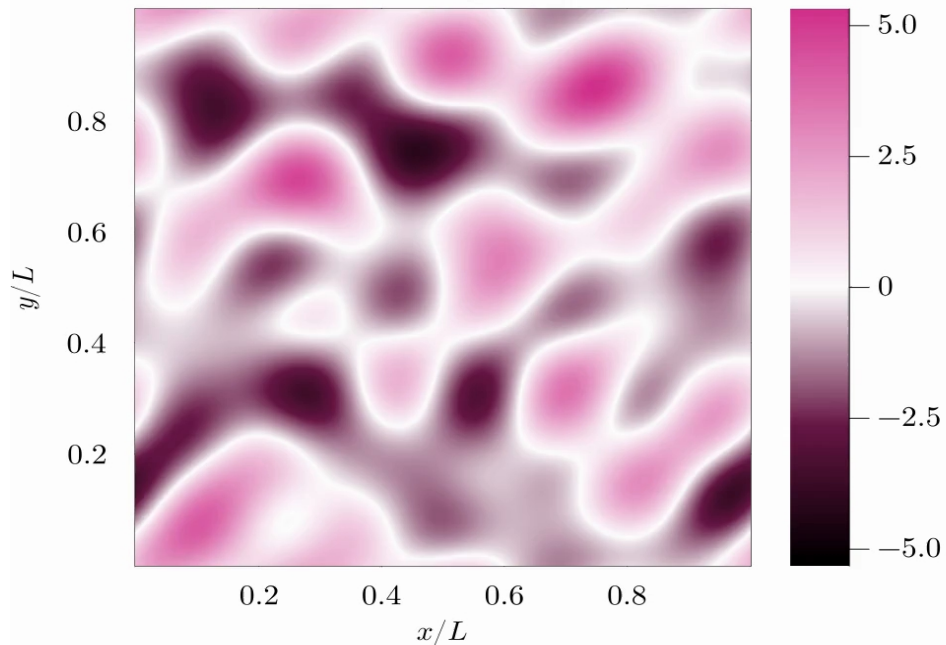
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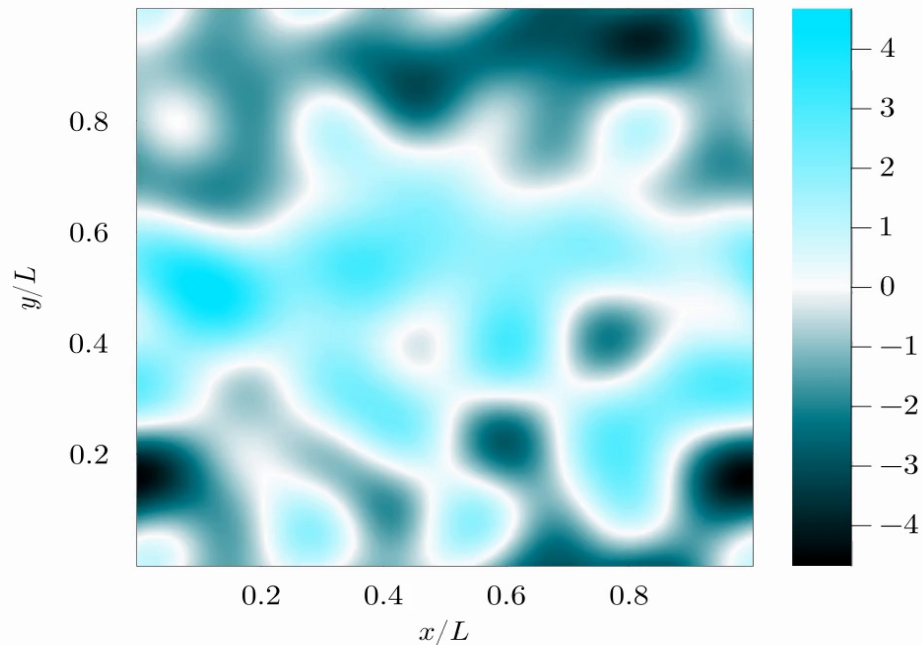
Deffayet, Held, Mukohyama, Vikman, 2504.11437 (see also Figueras, Kovács, Yao, 2505.00082)

... can effectively decouple if sufficiently heavy.

$\phi(x, y)$ at time : $t/L = 0.0$



$\chi(x, y)$ at time : $t/L = 0.0$



PRELIMINARY: results in (2+1) and spherically-symmetric scattering in (n+1) to appear soon

Part I: Ghostly interactions in classical field theory

The **Hamiltonian** of all higher-derivative non-degenerate classical point-particle theories is **unbounded from above and below.**

Ostrogradski 1857

Point-particle models can be stable if the potential at large phase-space distance **is dominated by stable self-interactions.**

Deffayet, Held, Mukohyama, Vikman, JCAP 11 (2023) 031

Classical field theories do not decay instantaneously and can **exhibit longlived motion.**

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~~All non-degenerate higher-derivative classical point-particle theories exhibit runaway solutions.~~

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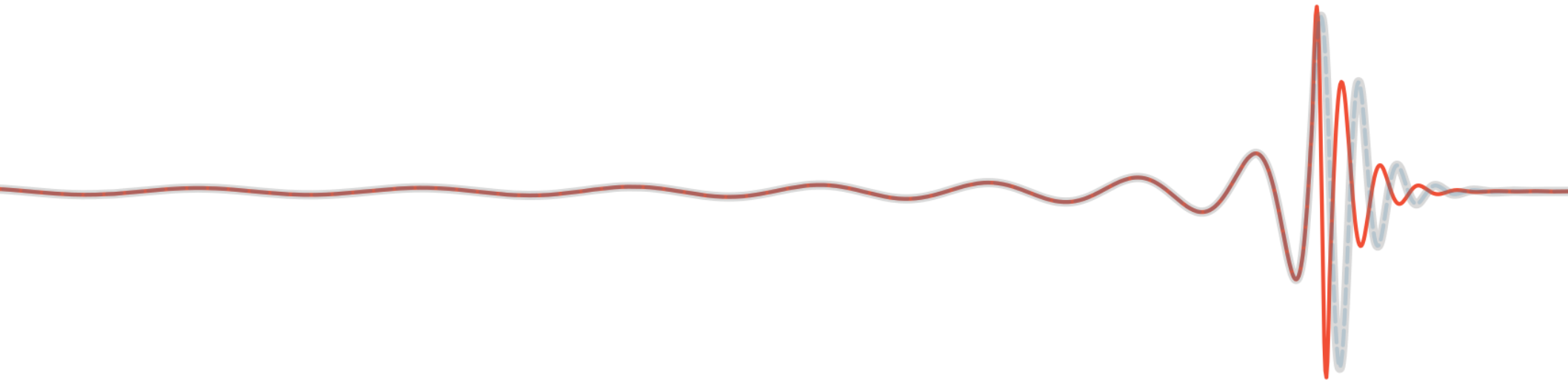
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Ok, but quantised field theories will decay instantaneously, right?

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Deffayet, Held, Mukohyama, Vikman, JCAP 11 (2023) 031

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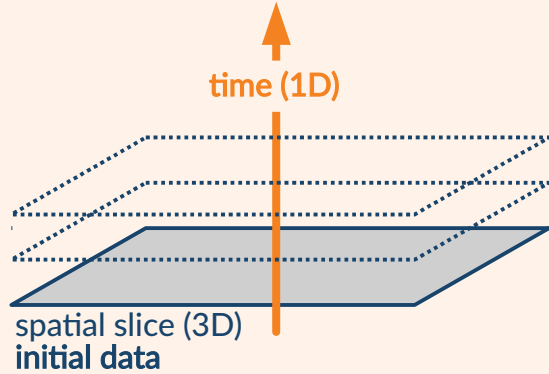


Part II: Nonlinear evolution & black hole binaries

Noakes, JMP 24, 1846 (1983);
Figueras, Held, Kovacs, 2407.08775

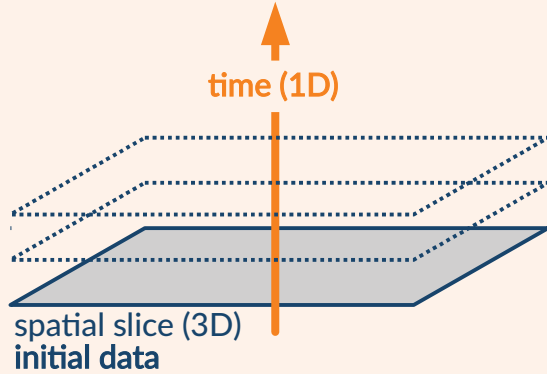
Held, Lim, PRD 104 (2021) 8
Held, Lim, PRD 108 (2023) 10
Held, Lim, 2503.13428

A well-posed initial value problem (IVP) ...



- “ An initial value problem is well-posed if a solution “
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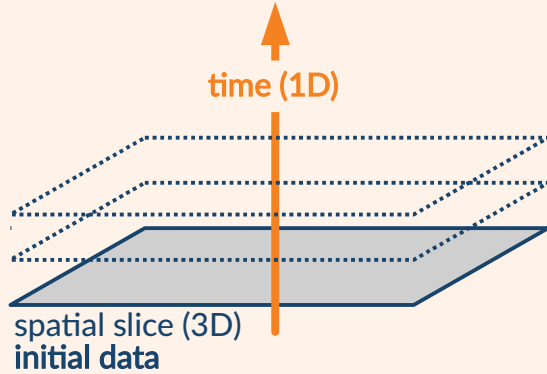
... for General Relativity

Formal proof of existence and uniqueness
Yvonne Choquet-Bruhat '52



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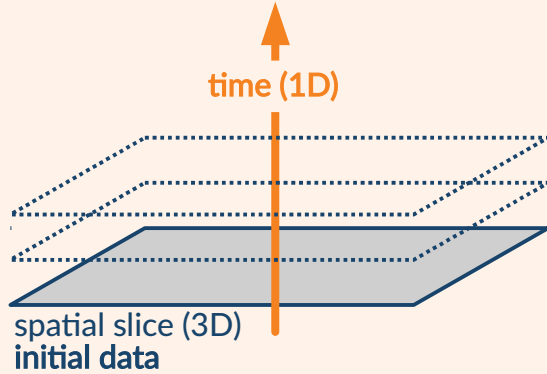
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... and for the EFT (at fixed order)

Figueras, Held, Kovacs, 2407.08775

Leray weights ...

Choquet-Bruhat, DeWitt-Morette, 1982

Let i be an index labeling a system of second order equations E_i for the variables v_i .
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... give a prescription to diagonalise the principal part.

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$$\square u = v$$

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General Relativity (in harmonic gauge) ...

- Gauge potential: $F^a \equiv -g^{cd}\Gamma_{cd}^a$
- Ricci curvature: $R_{ab} \sim \square g_{ab} + g_{c(a}\nabla_{b)}F^c + \mathcal{O}(g, \partial g) = 0$

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For constraint propagation see
Choquet-Bruhat '52

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... is already in wave-like form.

Quadratic Gravity ...

Held, Lim, PRD 104 (2021) 8

- recall $\mathcal{L} = M_{\text{Pl}}^2 \left[R + \frac{1}{12m_0^2} R^2 + \frac{1}{4m_2^2} C_{abcd} C^{abcd} \right]$

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Stelle, PRD 16 (1977) 953-969

Noakes, JMP 24, 1846 (1983)

Held, Lim, PRD 104 (2021) 8

2nd-
order
variables

$$\square g_{ab} \sim R_{ab} \equiv S_{ab} + \frac{1}{4} g_{ab} R$$

$$\square R = m_0^2 R$$

$$\square S_{ab} = -\frac{1}{3} \left(\frac{m_2^2}{m_0^2} - 1 \right) (\nabla_a \nabla_b R) - 2 S^{cd} C_{acbd} + \mathcal{O}_{\text{lower order}}$$

massless spin-2
(graviton)

massive spin-0
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2nd-
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massless spin-2
(graviton)

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massive spin-0
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... admits wave-like 2nd order field equations.

Cubic Gravity (after suitable field redefinitions) ...

Figueras, Held, Kovacs, 2407.08775

- recall
$$\mathcal{L}_{\text{EFT}}^{(3)} = \frac{1}{M_{\text{Pl}}^2} \left[\alpha_1 R^{ab} \square R_{ab} - \beta_1 R \square R + \gamma_3 C_{ab}{}^{cd} C_{cd}{}^{ef} C_{ef}{}^{ab} \right]$$

Cubic Gravity (after suitable field redefinitions) ...

Figueras, Held, Kovacs, 2407.08775

- recall $\mathcal{L}_{\text{EFT}}^{(3)} = \frac{1}{M_{\text{Pl}}^2} \left[\alpha_1 R^{ab} \square R_{ab} - \beta_1 R \square R + \gamma_3 C_{ab}{}^{cd} C_{cd}{}^{ef} C_{ef}{}^{ab} \right]$

order-
reduced
2nd-order
field
equations

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$$\square C_{abde} = \mathcal{O}_{abde}^C(\partial C, \partial \partial S, \partial \partial R)$$

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$$\alpha_1 = 2\beta_1$$

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Higher order EFT (after suitable field redefinitions) ...

Figueras, Held, Kovacs, 2407.08775

- Inductively, this extends to $\mathcal{L}_{\text{reg}}^{(n)} = \sum_{k=0}^n \left[\alpha_k R^{ab} \square^k R_{ab} - \beta_k R \square^k R \right]$ with $\alpha_n = 2\beta_n$

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Not altered if supplemented with an action that only adds to the omitted lower-order terms.

see
Figueras, Held, Kovacs, 2407.08775
for a complete proof

... admits wave-like 2nd order field equations.

Well-posed initial value formulation ...

$$\mathcal{L}_{\text{EFT}}^{(1)} = M_{\text{Pl}}^2 R$$



Choquet-Bruhat '52

$$\mathcal{L}_{\text{EFT}}^{(2)} = \left[\alpha_0 R_{ab} R^{ab} - \beta_0 R^2 \right]$$

order-by-order field redefinitions of the form

$$g_{ab} \rightarrow g_{ab} + c_1 g_{ab} X + c_2 X_{ab}$$

can remove any term containing Ricci variables

$$\mathcal{L}_{\text{EFT}}^{(3)} = \frac{1}{M_{\text{Pl}}^2} \left[\alpha_1 R^{ab} \square R_{ab} - \beta_1 R \square R + \gamma_3 C_{ab}{}^{cd} C_{cd}{}^{ef} C_{ef}{}^{ab} \right. \\ \left. + \delta_{3,1} C_{abcd} C^{abcd} R + \delta_{3,2} C_{abcd} R^{ac} R^{bd} + \delta_{3,3} R_a^b R_b^c R_c^a + \delta_{3,4} R_{ab} R^{ab} R + \delta_{3,5} R^3 \right]$$

$$\mathcal{L}_{\text{EFT}}^{(4)} = \frac{1}{M_{\text{Pl}}^4} \left[\alpha_2 R^{ab} \square^2 R_{ab} - \beta_2 R \square^2 R + \gamma_{4,1} (C_{abcd} C^{abcd})^2 + \gamma_{4,2} (C_{abcd} * C^{abcd})^2 + \dots \right]$$

Well-posed initial value formulation ...

$$\mathcal{L}_{\text{EFT}}^{(1)} = M_{\text{Pl}}^2 R \quad \checkmark \text{ Choquet-Bruhat '52}$$

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Noakes, JMP 24, 1846 (1983)
Held, Lim '21, '23, '25

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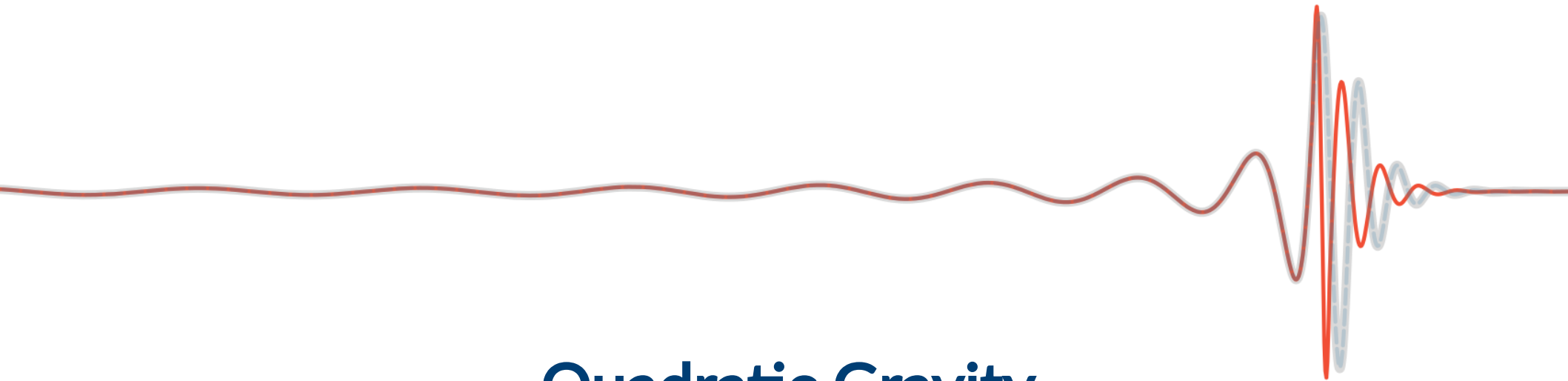
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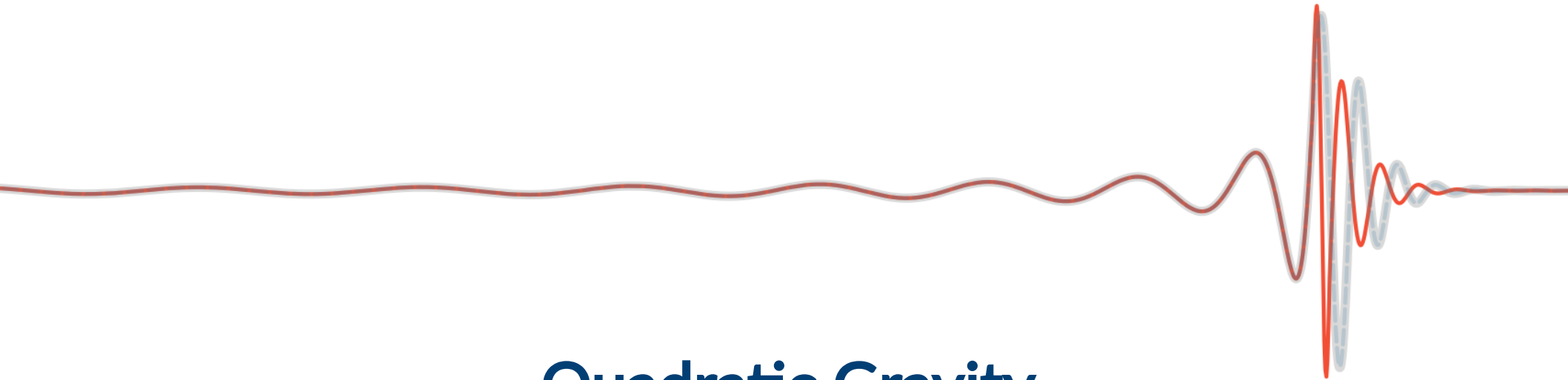
Figueras, Held, Kovacs, 2407.08775

... of general effective field theories of gravity.



Quadratic Gravity

$$S = \int d^4x \sqrt{|g|} M_{\text{Planck}}^2 \left[\underset{\text{massless spin-2}}{R} + \underset{\text{massive spin-0}}{\frac{1}{12m_0^2} R^2} + \underset{\text{massive spin-2}}{\frac{1}{4m_2^2} C_{abcd} C^{abcd}} \right]$$



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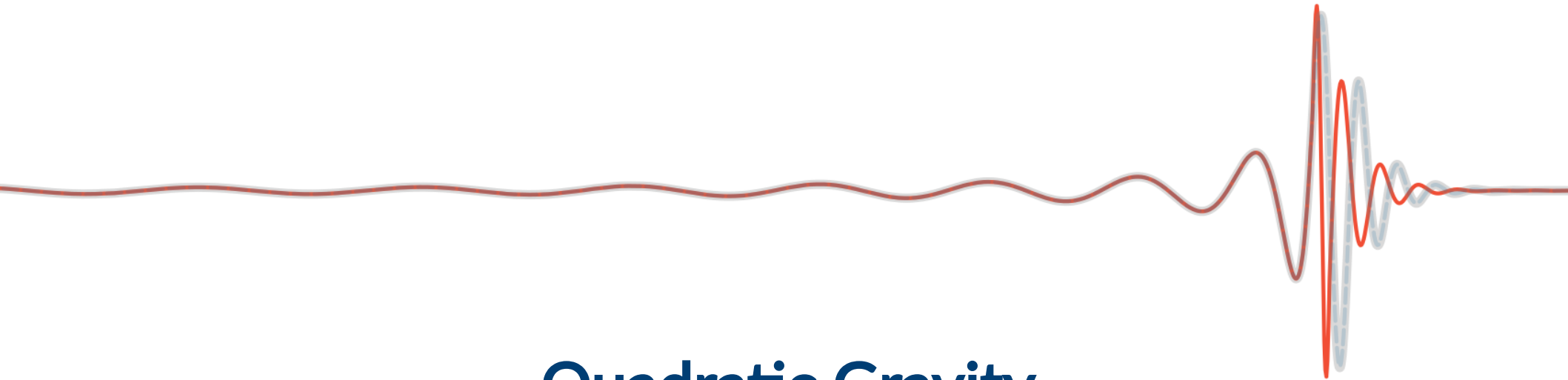
as a benchmark model to show that heavy ghosts decouple



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as the leading-order terms before field redefinitions / in non-vacuum situations



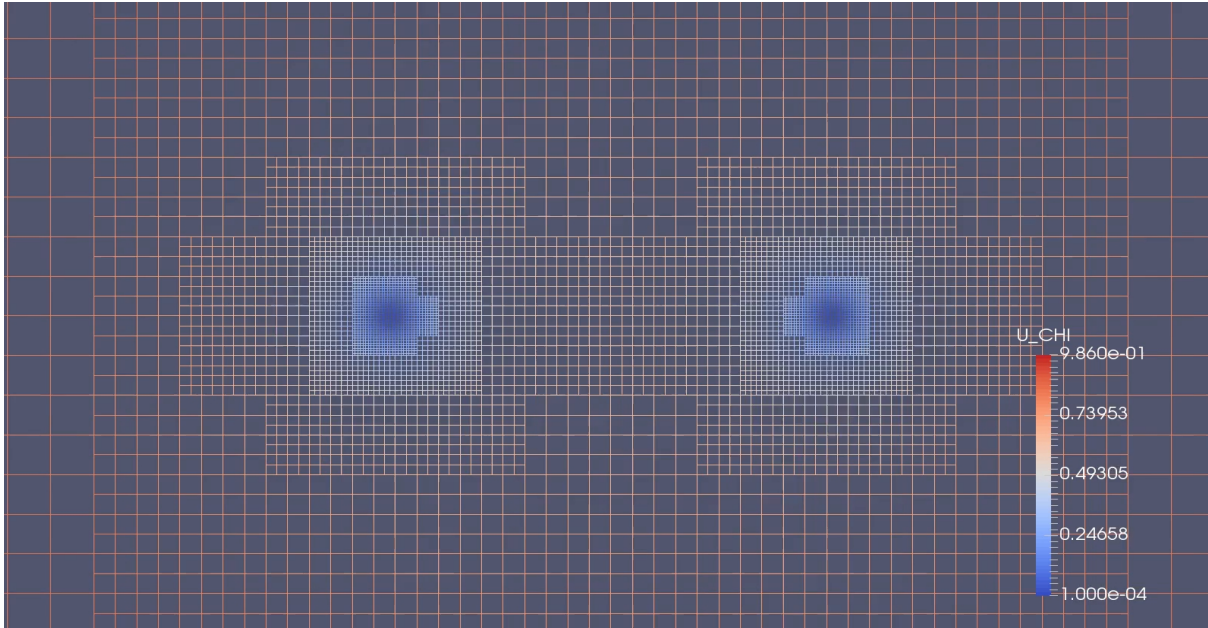
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as a fundamental theory of gravity

Stelle, PRD 16 (1977) 953-969
Avramidi, Barvinsky, PLB 159 (1985) 269-274
Donoghue, Menezes, PRD 104 (2021) 4

High-performance computing ...



- 4th order finite differencing
- 4th order Runge-Kutta timestepping
- adaptive mesh refinement
- parallelized on HPC clusters

Dendro-GR <https://github.com/paralab/Dendro-GR>

... required to solve the full (3+1) binary problem.

Black-hole binaries ...

| | | EFT regime of validity |
|---------------------|--|------------------------|
| $GM m_2 \gg 1$ | Held, Lim, PRD 108 (2023) 10 no deviations | |
| $GM m_2 \sim 1$ | quantitative deviations | |
| $GM m_2 \lesssim 1$ | qualitative deviations Held, Lim, 2503.13428 | |

Waveforms for GM $m_2 \lesssim 0.43 \dots$

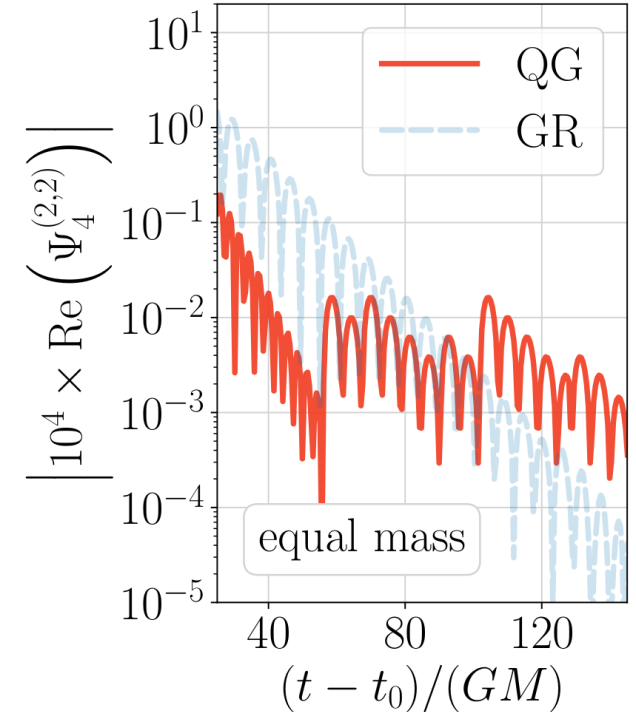
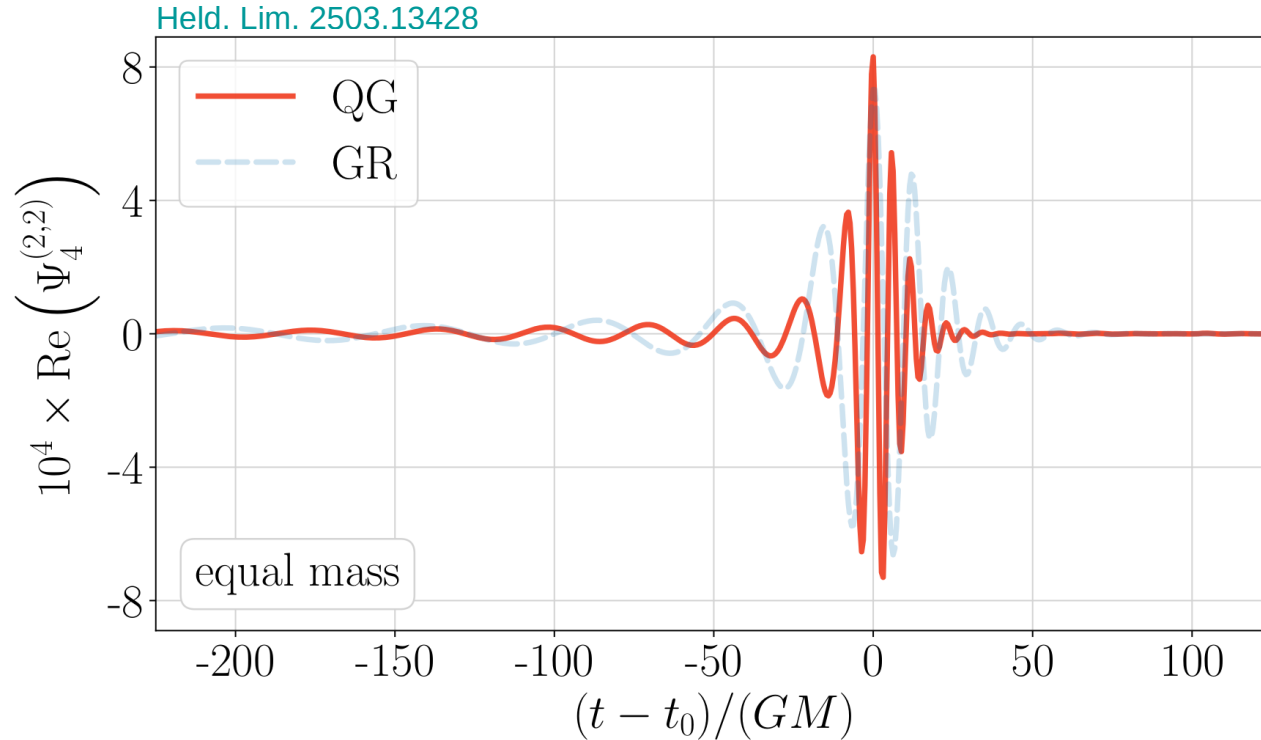
Held, Lim, 2503.13428

| QG masses | | Binary parameters | | | |
|-------------|-------------|-------------------|-----------------------|-----------|-----------|
| $G m_0 M_2$ | $G m_2 M_2$ | $\sqrt{G} M_1$ | $q = \frac{M_1}{M_2}$ | $a_{z,1}$ | $a_{z,2}$ |
| 1 | 0.2 | 1 | 1 | 0 | 0 |

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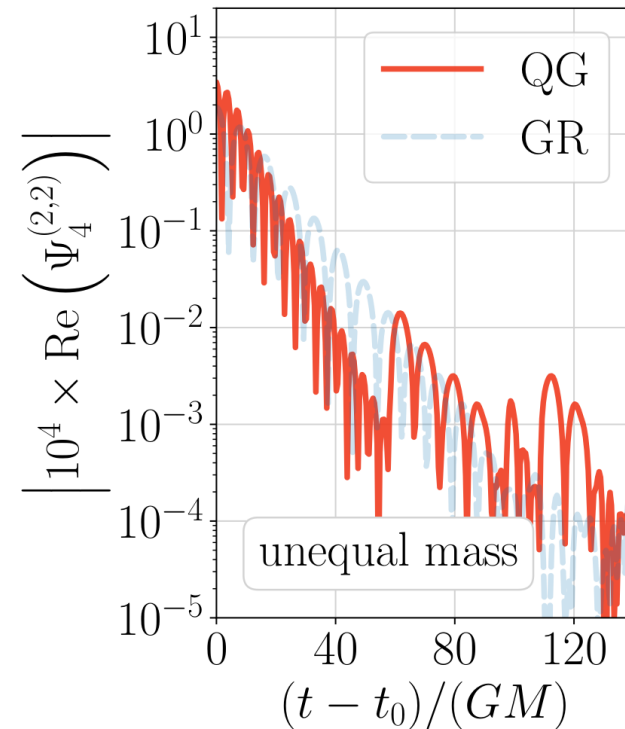
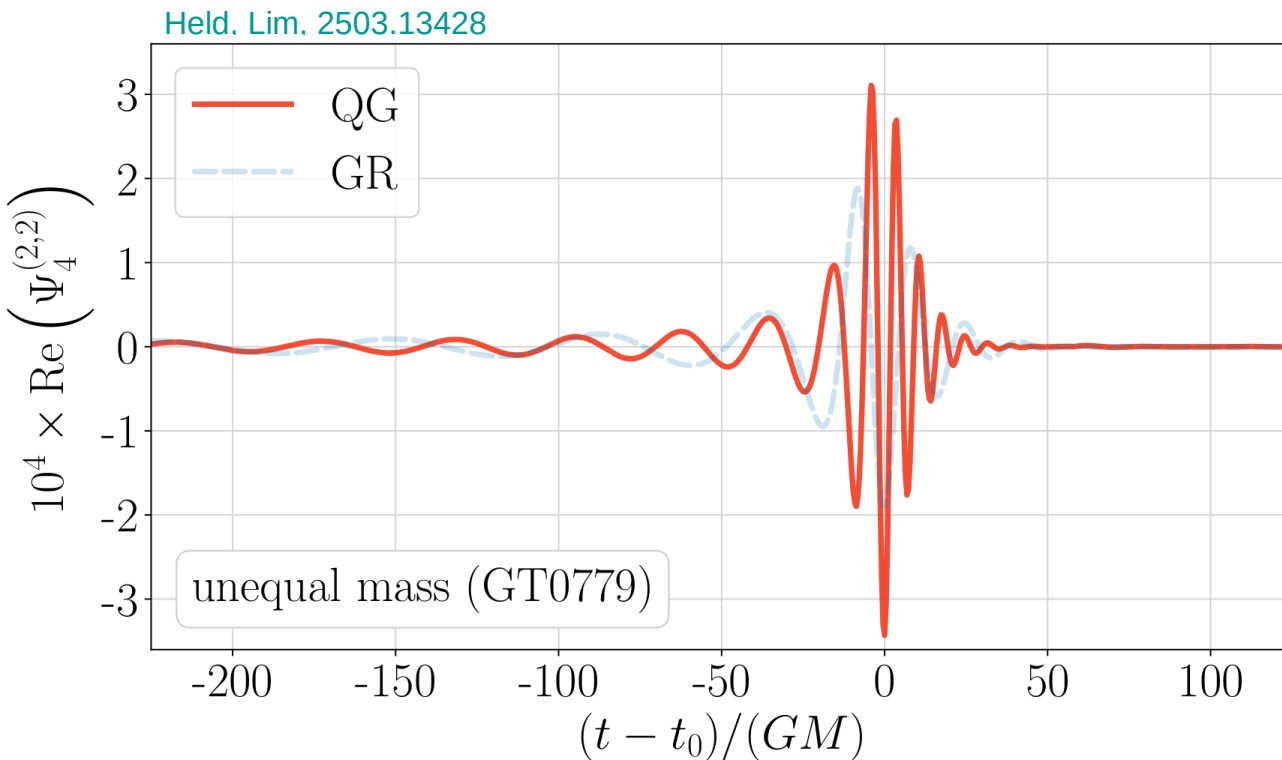


... deviate quantitatively.

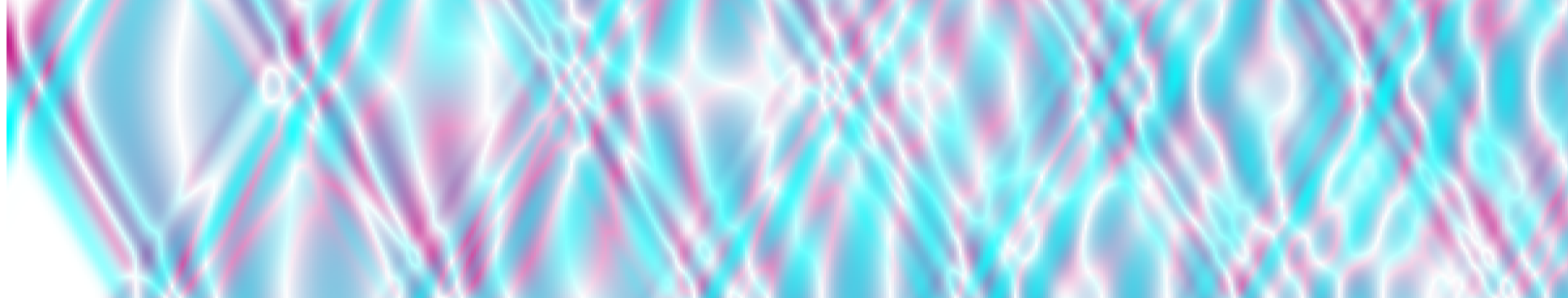
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| 1 | 0.2 | 1 | 5 | -0.696 | 0 |



... deviate qualitatively.



Classical field theories with ghosts can be longlived.

Ghosts enable well-posed time evolution.

Access to the nonlinear regime of higher-derivative theories.

