

On the Fluctuations of Dissipation:

An annotated bibliography on the Fluctuation Theorems, Stochastic Thermodynamics and related subjects*

Tech. Note 005 (2025-04-09)
<http://threeplusone.com/ftbib>

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2010–2025

Origins: Fluctuation theorem: Evans et al. (1993) [50]. Evans-Searles transient fluctuation theorem: Evans and Searles (1994) [52]. Gallavotti-Cohen fluctuation theorem: Gallavotti and Cohen (1995) [54]. Fluctuation theorem, first use of terminology: Gallavotti (1996) [56]. Jarzynski equality: Jarzynski (1997) [58]. Crooks fluctuation theorem: Crooks (1999) [74]. Hatano-Sasa fluctuation theorem: Hatano and Sasa (2001) [87]. Feedback Jarzynski equality: Sagawa and Ueda (2010) [195].

Reviews and expositions: For a gentle, modern introduction see Spinney and Ford (2013) [223], and then try reading some of the other reviews in the same volume: Sagawa and Ueda (2013) [225], Reid et al. (2013) [226], Gaspard (2013) [224]. See also Evans and Searles (2002) [98], Harris and Schütz (2007) [159], Seifert (2012) [219], Van den Broeck and Esposito (2015) [228]. For reviews and expositions of non-equilibrium single-molecule experiments see Hummer and Szabo (2005) [132], Bustamante et al. (2005) [131], Ritort (2006) [149], Ritort (2008) [181]. Other reviews and expositions: Crooks (1999) [77], Maes (2003) [107], Seifert (2008) [176], Kurchan (2009) [186], Martins et al. (2025) [240]. Textbooks: Gallavotti (1999) [79], Peliti and Pigolotti (2021) [234], Strasberg (2022) [235], Gaspard (2023) [237], Limmer (2024) [239].

Foundations – Thermodynamics and statistical mechanics Efficiency of heat engines and the foundation of thermodynamics: Carnot (1824) [2]; First law of thermodynamics: von Helmholtz (1847) [4]; Second law of thermodynamics Thomson (Lord Kelvin) [5], Clausius (1865) [8]; Entropy: Clausius (1865) [8]; Statistical definition of entropy: Boltzmann (1872) [11], Boltzmann (1898) [15], Planck (1901) [16], Gibbs (1902) [17],

Shannon (1948) [30], Jaynes (1957) [33], Jaynes (1957) [32]; Maxwell-Boltzmann distribution: Maxwell (1860) [7], Maxwell (1860) [6], Maxwell (1871) [10], Boltzmann (1872) [11], Boltzmann (1877) [12]; Foundations of statistical mechanics: Boltzmann (1877) [12], Gibbs (1902) [17].

Foundations – Microscopic reversibility and detailed balance: Origins: Tolman (1924) [19], Dirac (1924) [20], Tolman (1925) [22], Lewis (1925) [21], Fowler and Milne (1925) [23]. Discussion: Onsager (1931) [26], Onsager (1931) [27], Tolman (1938) [28], Crooks (1998) [62], Crooks (2011) [211].

Experiments:

- Single molecule Jarzynski: Liphardt et al. (2002) [94];
- single molecule fluctuation theorems: Collin et al. (2005) [135], Ritort (2006) [149];
- dragged optically trapped colloid particle: Wang et al. (2002) [95], Wang et al. (2005) [125], Wang et al. (2005) [139];
- Hatano and Sasa with optically trapped colloid particle: Trepagnier et al. (2004) [117];
- optically trapped colloid particle, time varying spring constant: Carberry et al. (2004) [110], Carberry et al. (2004) [120];
- colloidal particle in periodic potential: Speck et al. (2007) [162];
- colloidal particle in viscoelastic media: Carberry et al. (2007) [160];
- colloidal particle in time dependent non-harmonic potential: Blickle et al. (2006) [144], Speck et al. (2007) [162];
- two level system: Schuler et al. (2005) [126];
- turbulent flow: Ciliberto et al. (2004) [116];
- electric circuit: Garnier and Ciliberto (2005) [128], Andrieux et al. (2008) [169];

*Massively incomplete, hopelessly out-of-date, and only occasionally updated.

- mechanical oscillator: Douarche et al. (2005) [129], Douarche et al. (2005) [137];
- bit erasure, colloidal particle: Bérut et al. (2012) [214];
- theory and discussion: Hummer and Szabo (2001) [84].

Analytic model systems: (Model systems for which the work distributions can be computed analytically)

- Harmonic potentials: Mazonka and Jarzynski (1999) [78];
- two level systems: Ritort et al. (2002) [97], Ritort (2004) [118];
- ideal gas compression: Lua and Grosberg (2005) [124], Lua (2005) [142], Bena et al. (2005) [136], Pressé and Silbey (2006) [152] and effusion: Cleuren et al. (2006) [150];
- Gaussian polymer chains: Speck and Seifert (2005) [123], Dhar (2005) [122], Imparato and Peliti (2005) [121], Pressé and Silbey (2006) [152];
- Joule experiments: Cleuren et al. (2006) [143], adiabatically stretched rotors: Bier (2005) [140];
- charged particles in magnetic fields: Jayannavar and Sahoo (2006) [145];
- adiabatic compression of a dilute gas: Crooks and Jarzynski (2007) [154];

Simulations of work distributions:

- double well: Sun (2003) [102]
- two-dimensional Ising model: Chatelain and Karevski (2006) [147]
- fluctuating lattice Boltzmann model: Chari et al. (2012) [217]

Bochkov-Kuzovlev generalized fluctuation-dissipation theorem: Origins: Bochkov and Kuzovlev (1977) [42], Bochkov and Kuzovlev (1979) [43], Bochkov and Kuzovlev (1981) [44], Bochkov and Kuzovlev (1981) [45]. Summary: Stratonovich (1994) [53]. Relation to Jarzynski equality and fluctuation theorems: Jarzynski (2007) [157], Horowitz and Jarzynski (2008) [174], Pitaevskii (2011) [207]. See also: Schurr and Fujimoto (2003) [105]

Jarzynski equality:

- Origins: Jarzynski (1997) [58], Jarzynski (1997) [61], Crooks (1998) [62].
- Connection to fluctuation theorems: Crooks (1999) [74], Crooks (2000) [80], Kurchan (2007) [161].
- Strong coupling: Jarzynski (2004) [115].
- Microcanonical: Adib (2005) [127]
- Annealed Importance Sampling: Neal (2001) [88]

Gallavotti-Cohen Fluctuation theorem Origins: Gallavotti and Cohen (1995) [54], Gallavotti and Cohen (1995) [55], Gallavotti (1999) [68] Discussion:

Gallavotti (1999) [71], Cohen and Gallavotti (1999) [75], Gallavotti (2007) [166], Kurchan (2007) [163], Gallavotti (2019) [230] Simulations: Bonetto et al. (1998) [67]

Stochastic fluctuation theorems Kurchan (1998) [63], Crooks (1998) [62], Lebowitz and Spohn (1999) [69], Crooks (1999) [74], Searles and Evans (1999) [73] **Multivariate fluctuation theorems:** García-García et al. (2010) [196], García-García et al. (2012) [213], Sivak et al. (2013) [221]

Fluctuation theorems:

- Escorted fluctuation theorems: Vaikuntanathan and Jarzynski (2011) [205]
- Multivariate fluctuation theorems: García-García et al. (2010) [196], García-García et al. (2012) [213], Sivak et al. (2013) [221]
- Quantum fluctuation theorems: Kurchan (2000) [82], Mukamel (2003) [103], Jarzynski and Wójcik (2004) [112], Monnai (2005) [133], Allahverdyan and Nieuwenhuizen (2005) [130], De Roeck and Maes (2006) [148], Talkner and Hänggi (2007) [158], Crooks (2008) [170], Crooks (2008) [178], Andrieux et al. (2009) [194], Campisi et al. (2009) [189], Campisi et al. (2011) [209], Campisi et al. (2011) [212], Hänggi and Talkner (2015) [227]

Excess free energy: The connection between the excess free energy of nonequilibrium ensembles and relative entropy seems to have been independently rediscovered multiple times¹. Bernstein and Levine (1972) [39] (Eqs. 44 and 54) defined an “entropy deficiency” as the relative entropy of a nonequilibrium to canonical equilibrium. Shaw (1984) [47] p37 states that available free energy is the relative entropy, but without detailed discussion. Gaveau and Schulman (1997) [60] p348 notes that the relative entropy to equilibrium state is a generalized free energy, but again without much discussion. (See also Gaveau et al. (2002) [100] and Gaveau et al. (2008) [184].) Qian (2001) [86] provides a detailed discussion of the definition of free energy away from equilibrium and its expression as a relative entropy. Hatano and Sasa (2001) [87] discuss the generalization of free energy out of equilibrium and a generalized minimum work principle for steady states. Honerkamp (2002) [101] (p298–301) also makes the connection between relative energy and generalized free energy, apparently independently. The connection between excess free energy and reversible work is shown in Vaikuntanathan and Jarzynski (2009) [193] using a Jarzynski equality like argument. The instantaneous stabilization procedure for (in principle) extracting the reversible (maximum) work is detailed in Hasegawa et al. (2010) [198], Takara et al. (2010) [199] and further discussed in Esposito and

¹Kudos to David Sivak for tracking down many of the early citations to relative entropy and free energy.

Van den Broeck (2011) [210]. Further discussion and consequences of this interrelation can be found in Sivak and Crooks (2012) [216] and Deffner and Lutz (2012) [220].

Dissipation and the relative entropy between conjugate trajectory ensembles: A good discussion of this relation is found in: Kawai et al. (2007) [155]. See also: Gaspard (2004) [111], Gaspard (2004) [119], Jarzynski (2006) [146], Kawai et al. (2007) [155], Gomez-Marín et al. (2008) [171], Andrieux et al. (2008) [169], Feng and Crooks (2008) [173], Horowitz and Jarzynski (2009) [187], Parrondo et al. (2009) [192], Jarzynski (2011) [204]

Feedback control: Origins: Sagawa and Ueda (2010) [195]; Generalized Jarzynski (Single loop feedback): Sagawa and Ueda (2010) [195]; Experiments: Toyabe et al. (2010) [200]; Multi-loop feedback: Horowitz (2010) [202], Fujitani and Suzuki (2010) [197].

Time's Arrow: Origin of term: Eddington (1928) [24]; Useful philosophical discussions: Price (1996) [57], Albert (2000) [83]. Past hypothesis: Albert (2000) [83]. Length of: Feng and Crooks (2008) [173].

Work and heat The microscopic definition of work was discussed by Gibbs (1902) [17] (Pages 42–35) and Schrödinger (1946) [29] (See the paragraphs found between Eqs. 2.13 and 2.14). However, the importance of this viewpoint was not appreciated until advances in simulation and experimentation made it necessary to carefully contemplate performing controlled perturbations of single, microscopic systems. The microscopic definition of work was also discussed by: Uhlenbeck and Ford (1963) [36], Hunter et al. (1993) [51], Jarzynski (1997) [58], Crooks (1998) [62], Sekimoto (1997) [59], Sekimoto (1998) [64] and further developed in Jarzynski (1997) [61], Jarzynski (1998) [65], Crooks (1999) [74], Hendrix and Jarzynski (2001) [89], Jarzynski (2007) [157], Sekimoto (2010) [201]. Another clear exposition with a discussion of thermodynamic consistency is found in: Peliti (2008) [175]. See also Narayan and Dhar (2004) [108], Imparato et al. (2007) [165].

Maxwell's demon

- Origin: Maxwell (1871) [10]
- Szilárd engine: Szilard (1929) [25]
- Reviews: Leff and Rex (2003) [106]

Stochastic thermodynamics Origin of term: Van den Broeck (1986) [49]

Free energy calculations

- Thermodynamic integration:
- Free energy perturbation: [31]

- Jarzynski: [58, 61, 65, 62, 89, 102]; Convergence [151, 104, 146]; Experiments [94]
- Crooks: [62, 74, 77, 241]; Experiments []
- Bennett acceptance ratio method (BAR): Origin [41];
- Escorted free energy simulations: [172, 205]
- Thermodynamic geometry and: []
- Reviews: [99, 167, 203, 233, 238]

Stochastic Thermodynamics and Machine Learning

- Diffusion Models: [? 236]

Chronological Bibliography

★ Great papers that have been, will be, or should be influential.

- [1] Thomas Young. *A Course of Lectures on Natural Philosophy and the Mechanical Arts*, volume 2. Johnson (1807).
 - First use of the term "energy" in its modern sense. [Young1807a]
- [2] Sadi Carnot. *Réflexions sur la puissance motrice du feu et sur les machines propres à développer cette puissance*. Chez Bachelier, Libraire, Paris (1824). Reflections on the motive power of fire and machines fitted to develop that power.
 - Foundation of thermodynamics. Heat engines and Carnot efficiency. "The driving power of heat is independent of the agents used to realize it; its value is uniquely fixed by the temperatures of the bodies between which the transfer of caloric is made" [Carnot1824a]
- [3] Émile Clapeyron. Mémoire sur la puissance motrice de la chaleur (memoir on the motive power of heat). *Journal de l'École polytechnique*, 23::153–190 (1834).
 - Clausius-Clapeyron equation. Origin of usage of Q for heat. [Clapeyron1834a]
- [4] Hermann von Helmholtz. *Über die Erhaltung der Kraft (On the Conservation of Force)*. Druck und Verlag, Berlin (1847). On the Conservation of Force.
 - Definitive statement of the conservation of energy, and thereby the first law of thermodynamics. (Terminology was not yet settled: Helmholtz's uses the word *force* for what we now call *energy*.) [Helmholtz1847a]
- [5] William Thomson (Lord Kelvin). On the dynamical theory of heat, with numerical results deduced from Mr. Joule's equivalent of a thermal unit, and M. Regnault's observations on steam. *Trans. Roy. Soc. Edin.*, XX (part II):261–268; 289–298 (1851).
 - First statement of (essentially) the second law of thermodynamics. "It is impossible, by means of inanimate material agency, to derive mechanical effect from any portion of matter by cooling it below the temperature of the coldest of the surrounding objects." [Thomson1851a]

- [6] James C. Maxwell. Illustrations of the dynamical theory of gases. Part II. On the process of diffusion of two or more kinds of moving particles among one another. *Phil. Mag.*, 20:19–32 (1860).
- [7] James C. Maxwell. Illustrations of the dynamical theory of gases. Part 1. On the motion and collision of perfectly elastic spheres. *Phil. Mag.*, 19:19–32 (1860).
- [8] Rudolf Clausius. Ueber verschiedene für die anwendung bequeme formen der hauptgleichungen der mechanischen wärmetheorie. *Annalen der Physik und Chemie*, 201(7):353–400 (1865). doi:10.1002/andp.18652010702.
- Introduction of the term entropy, and statement of Clausius’s form of the second law of thermodynamics. Quote: “We now seek an appropriate name for S . . . We would call S the transformation content of the body. However I have felt it more suitable to take names of important scientific quantities from the ancient languages in order that they may appear unchanged in all contemporary languages. Hence I propose that we call S the entropy of the body after Greek word . . . meaning “transformation”. I have intentionally formed the word entropy to be as similar as possible to the word energy, since the two quantities that are given these names are so closely related in their physical significance that a certain likeness in their names has seemed appropriate.” The paper concludes with concise statements of the First and Second Laws of thermodynamics: “1. The energy of the universe is a constant. 2) The entropy of the universe tends to a maximum.” [Clausius1865a]
- [9] Rudolf Clausius. On the second fundamental theorem of the mechanical theory of heat; a lecture delivered before the forty-first meeting of the German Scientific Association, at Frankfort on the Maine. *Philos. Mag. Ser. 4*, 35(239):405–419 (1868).
- [10] James C. Maxwell. *Theory of heat*. Appleton, London (1871).
- Invocation of Maxwell’s demon. [Maxwell1871a]
- [11] Ludwig Boltzmann. Weitere studien über das Wärmegleichgewicht unter Gasmolekülen (Further studies on the thermal equilibrium of gas molecules). *Sitzungsberichte Akad. Wiss., Vienna, part II*, 66:275–370 (1872).
- The Boltzmann equation and Boltzmann’s H-theorem. Statistical definition of entropy, Eq 7. Boltzmann’s derivation of the Maxwell-Boltzmann velocity distribution. First paper on non-equilibrium thermodynamics. [Boltzmann1872a]
- [12] Ludwig Boltzmann. Über die beziehung zwischen dem zweiten hauptsatz der mechanischen wärmetheorie und der wahrscheinlichkeit-srechnung respektive den sätzen über des wärmegleichgewicht (on the relation between the second law of thermodynamics and probability theory with respect to the laws of thermal equilibrium). *Wien. Ber.*, 76:373–435(1877); W. A. Band II, p.164–223 (1877).
- Entropy argued to be statistical and defined via probabilities (33). Argue that at equilibrium all possible microscopic states of an isolated system are equally probable (which leads to the $S = k \ln W$ formula for entropy engraved on his tombstone). [Boltzmann1877a]
- [13] Hermann von Helmholtz. *Physical memoirs, selected and translated from foreign sources*, volume 1, chapter On the Thermodynamics of Chemical Processes (1882), pages 43–97. Taylor & Francis (1888).
- Definition and explication of free energy, “Given the unlimited validity of Clausius’ law, it would then be the value of the free energy, not that of the total energy resulting from heat production, which determines in which sense the chemical affinity can be active.” [Helmholtz1882a]
- [14] Ludwig Boltzmann. *Vorlesungen über Gastheorie (Lectures on gas theory)*, volume I. J. A. Barth (1896). Translated in [37].
- [15] Ludwig Boltzmann. *Vorlesungen über Gastheorie (Lectures on gas theory)*, volume II. J. A. Barth (1898). Translated in [37].
- [16] Max Planck. Ueber das gesetz der energieverteilung im normalspektrum (on the law of distribution of energy in the normal spectrum). *Annalen der Physik*, 309(3):553–563 (1901). doi:10.1002/andp.19013090310.
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- Genesis and foundation of modern statistical mechanics. Nonstandard notations: energy: ϵ ; temperature: θ ; free energy: ψ ; index of probability: $\nu \equiv \ln p_x$; entropy: $-\bar{\nu}$. Canonical ensemble (91). Statistical definition of entropy (111) p44. Second law expressed as an average work inequality (481). [Gibbs1902a]
- [18] Max Planck. *Treatise on Thermodynamics*. Longmans, Green, and Co., 3rd edition (1910).
- [19] Richard C. Tolman. Duration of molecules in upper quantum states. *Phys. Rev.*, 23:693–709 (1924). doi:10.1103/PhysRev.23.69.
- Genesis of “The principle of microscopic reversibility” (p699). Quote: “This assumption should be recognized as a distinct postulate and might be called the principle of microscopic reversibility.- In the case of a system in thermodynamic equilibrium, the principle would require not only that the total number of molecules leaving a given quantum state in unit time shall equal the number arriving in that state in unit time, but also the the number leaving by any one particular path shall be equal to the number arriving by the reverse of that particular path.” [Tolman1924a]

- [20] Paul A. M. Dirac. The conditions for statistical equilibrium between atoms, electrons and radiation. *Proc. R. Soc. Lond. A*, 106:581–596 (1924).
- Definition and discussion of the “Principle of Detailed Balance”. [Dirac1924a]
- [21] Gilbert N. Lewis. A new principle of equilibrium. *Proc. Natl. Acad. Sci. U.S.A.*, 11(3):179–183 (1925).
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- [22] Richard C. Tolman. The principle of microscopic reversibility. *Proc. Natl. Acad. Sci. U.S.A.*, 11(7):436–439 (1925).
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- [23] Ralph H. Fowler and E. A. Milne. A note on the principle of detailed balancing. *Proc. Natl. Acad. Sci. U.S.A.*, 11:400–402 (1925).
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- Origin of the phrase “Time’s Arrow”. [Eddington1928a]
- [25] L. Szilard. Über die entropieverminderung in einem thermodynamischen system bei eingriffen intelligenter wesen (on the reduction of entropy in a thermodynamic system by the intervention of intelligent beings). *Z. Phys.*, 53:840–856 (1929). doi:10.1007/BF01341281.
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- [27] Lars Onsager. Reciprocal relations in irreversible processes. II. *Phys. Rev.*, 38(12):2265–2279 (1931). doi:10.1103/PhysRev.38.2265.
- ★ ◦ Onsager regression hypothesis: “...the average regression of fluctuations will obey the same laws as the corresponding macroscopic irreversible process”. [Onsager1931b]
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- Comparison of the principles of detailed balance and microscopic reversibility (pp. 163 and 165). [Tolman1938a]
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- Section 1.2 contains a concise summary of some of the relevant results of Bochkov and Kuzovlev [44, 45]. [Stratonovich1994a]
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- ★ ○ Genesis of the Gallavotti-Cohen fluctuation theorem for asymptotic steady state fluctuations of the phase space contraction rate in isoenergetic molecular dynamics. Derived from the time reversal symmetry and the chaotic hypothesis. [Gallavotti1995a]
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I got another quarter hundred weight of books on the subject last night. I have not read them all through.

William Thomson (Lord Kelvin) Lecture IX, p87