Interpreting Derivatives

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Abstract

Calculus as commonly taught describes certain properties of smooth functions, but science relies on experimental data, which is inherently discrete. In the face of this disparity, how can we help students transition from lower-division mathematics courses to upper-division coursework in other STEM disciplines? We discuss here our efforts to address this issue for upper-division physics majors by introducing a new representation for derivatives in terms of experiments to go along with the traditional symbolic, graphical, verbal, and numerical representations, and by emphasizing infinitesimal reasoning through the use of differentials. Our focus in this paper is on both ordinary and partial derivatives, where these ideas culminate in the concept of *thick derivatives*. By providing examples of "physics" reasoning about derivatives, and methods for incorporating such reasoning into the classroom, we hope to give instructors of calculus new insight into the needs of many of their students.

Keywords: derivatives, differentials, experiment, measurement, physics

1 Introduction

We are an interdisciplinary team of mathematics and physics educators, with backgrounds in mathematics, theoretical and computational physics, and physics education. We have worked together for many years designing curricula at the "middle-division" level, consisting of second-year calculus and third-year physics courses [1, 20, 25].

Paraphrasing Winston Churchill, we like to describe mathematics and physics as two disciplines separated by a common language. Calculus is about functions, but the language of functions is not always a good match for the description of physical quantities. Physics describes the real world by finding relationships between these quantities. Theoretical descriptions must always be compatible with observation, that is, with experimental data. The smooth functions used as the starting point in calculus are instead, for most other scientists and engineers, the result of an idealization process that started with observation. Idealization is a powerful tool, but one should not lose sight of where the process began.

For many years, we have attempted to address this disparity in our own teaching by emphasizing geometric reasoning, in addition to symbolic manipulation [6, 9, 11]. We have argued [6] that mathematicians emphasize the symbolic manipulation of *functions*, whereas physicists care more about the *equations* relating physical quantities. Temperature may be expressed by different functions in rectangular and polar coordinates, but these functions represent the same physical quantity, opening the door to a dispute [4,8,16,21] over whether both of these functions can be called "T." Mathematicians and physicists may share a common vocabulary, but they do not use the same grammar.

Such minor disputes over language reflect a deeper difference in viewpoint which we like to characterize by saying that *Physicists do geometry*, but *Mathematicians teach algebra*. Geometry is the study of invariant objects, whose algebraic description might involve a choice of coordinates; both geometers and physicists have a notion of temperature T defined at a point that is more fundamental than any coordinate description.

Such reasoning led us to emphasize differentials in both our calculus and physics courses, rather than functions [2, 11]. This approach appears to work very well in multivariable and vector calculus, with students seeing differentiation and integration for the second time (although we have not yet had similar success with beginning students). As part of our geometric approach to multivariable calculus, we also utilize the plastic, writable surfaces developed by Aaron Wangberg [26,27] and shown in Figure 1, which engage students directly with both geometric and numerical representations of derivatives.

More recently, as we watched students struggle to apply these geometric ideas to upperdivision physics classes such as thermodynamics, we were struck by the mismatch between the smooth functions analyzed in calculus and the experimental data collected in physics. As a result, we have argued [22] that the experimental context is not the same as the "numerical representation" as most mathematicians understand that term, such as in the "rule of four" [19].

We present in this paper a view of derivatives, both ordinary and partial, that emphasizes not only the geometric reasoning skills we have long advocated but also the experimental understanding used by physicists. We now see infinitesimal reasoning as the final step in



Figure 1: One of the transparent plastic surface models developed by Aaron Wangberg at Winona State University as part of the Surfaces project. Each of the six color-coded surfaces is dry-erasable, as are the matching contour maps, one of which is visible underneath the surface. For further details, see [26, 27].

a sequence of idealizations. Science begins with *experiment*, which in turn involves *measurement*. To understand calculus in terms of measurements, one needs a notion of *good* approximation, and in particular a notion of what we call *thick derivatives* that can encompase "experimental" differentiation. *Infinitesimal reasoning* is then an idealized process for manipulating these thick derivatives symbolically. Although our own expertise lies at the transition from lower-division mathematics to upper-division physics, we believe these skills are also essential for most scientists and engineers. The discussion below is intended to give instructors of calculus new insight into the needs of many of their students.

2 Mathematics vs. Physics

As we have pointed out before [7], *Physics is about things*. Physics always has a context; the quantities being studied refer to real attributes of real objects. Symbols always mean something: x is typically a length; t a time. Physicists are, by necessity, bilingual, but " $\sin(x)$ " is an expression only a mathematician could love, since you can't take sine of a dimensionful quantity. Units matter; a pendulum will be described by terms such as $A\sin(\omega t)$, where ω has the dimensions of inverse time. Such parameters are ubiquitous in science—and glaring by their omission in the problems in most math texts.

We like to ask our students, "What sort of a beast is it?" referring to the nature of the physical quantities being represented by algebraic symbols. Not only does this question help students get the units right, a technique known as *dimensional analysis*, it also catches obvious but common errors such as setting vectors equal to scalars, or comparing finite quantities with infinitesimals.

Furthermore, scientists must deal with the world as it is. *All* scientific knowledge is obtained or verified using experimental data. Such data usually consists of discrete data points; there are no smooth functions in the real world. This assertion is literally true even



Figure 2: The Partial Derivatives Machine, designed by David Roundy at Oregon State University. In this mechanical analog of a thermodynamic system, the variables are the two string positions (the flags) and the tensions in the strings (the weights). However, it is not obvious how many independent variables there are, and which variables are considered independent depends on the context. For further details, see [23].

in theory: Quantum mechanics tells us that there is no sense in which we can actually take a limit to zero. Physicists are, however, masters of approximation, knowing *in a given context* which assumptions are reasonable, and which are not.

These differences in perspective between mathematicians and other scientists have significant implications for the teaching of mathematics at all levels. The most obvious is to include units—and dimensionful parameters—as a routine part of examples and problems. Another is to downplay the use of subtle counterexamples. Scientists never encounter nowhere-differentiable functions, nor do the coordinate singularities at the origin of polar coordinates cause much harm. Are the functions x+2 and $\frac{x^2-4}{x-2}$ really different? In a physical context where such differences matter, something will always signal this fact, such as the presence of a point charge or an infinite potential; otherwise, they can be safely ignored. The context of the real world provides an existence proof that eliminates most of the concerns about counterexamples.

The calculus reform movement of the 1980s emphasized the importance of multiple representations, but most mathematicians are still more inclined to emphasize symbolic and, perhaps, graphical representations than numerical representations. There is also an important difference between, say, a numerical analysis of roundoff error, and the measurement error inherent in experiments. We explore these ideas in the next two sections.

3 What is a Derivative?

Ask calculus students what a derivative is, and a common response will be "slope" [12]. Yes, the slope of a graph represents a derivative. But what if there's no graph?

Consider the apparatus shown in Figure 2, the *Partial Derivatives Machine* developed as a mechanical analog to problems in thermodynamics and intended to help students learn to reason about *partial* derivatives in a context where the functional dependencies between variables is not obvious. By pinning down one of the strings, we obtain the *Derivatives Machine*, consisting of a weight on a string connected to a nonlinear spring system, thus determining a relationship between the position x of the string (the location of the flag) and the tension F_x in the string (the attached weight). Given the task of determining the derivative of this position with respect to the tension, what can possibly be meant by such a "derivative?"

In a recent study [23], we asked faculty in mathematics, physics, and engineering to determine an analogous (partial) derivative using the Partial Derivatives Machine. The only viable method for determining such derivatives is to measure both quantities while perturbing one of them—and while holding an appropriate subset of the other variables fixed. The physicists and engineers were clearly familiar with this methodology, and had robust techniques for ensuring that their approximations were reasonable. The mathematicians, however, had difficulty engaging with the idea of a derivative that could not be obtained by an exact limit process.

So what is a derivative? A ratio of small changes in quantities? A ratio of *very* small changes in quantities? The slope of the tangent line is the limit of the slopes of secant lines. How does one take the limit of discrete, numerical data, such as that measured during an experiment?

Mathematicians have a "bright line" test when it comes to derivatives. An *average* rate of change, no matter how small the domain, is different from an *instantaneous* rate of change. This distinction works fine in the case of smooth functions, or graphs, but not very well for numerical data.

We believe that the bright line is in the wrong place. The most useful distinction is not whether a rate of change is average or instantaneous, but how good the approximation is. The quality of the approximation depends on the context; the constraints of the physical problem being solved usually tell the scientist what accuracy is needed. We don't want introductory calculus students to become experts at numerical analysis, but instead to be aware that such approximations are a fundamental part of doing science. Rather than emphasizing the difference between instantaneous and average rates of change, we would serve our students better by emphasizing the need to arrive at answers that are "good enough," making clear that this notion depends on the context. For example, the upper left graph in Figure 3 might be a good approximation to the derivative at the point shown in the graph immediately below, but a terrible approximation to the derivative at either endpoint of the secant line. Calculus is not about formal limits, but is rather the art of infinitesimal reasoning, where all that really matters about infinitesimals is that they are quantities that are "small enough" for the purpose at hand. To impose a sharp distinction between "average" and "instantaneous" effectively eliminates both the numerical and physical representations from consideration, as discussed in the next section.

Process- object layer	Graphical	Verbal	Symbolic	Numerical	Physical
	Slope	Rate of Change	Difference Quotient	Ratio of Changes	Measurement
Ratio		"average rate of change"	$\frac{f(x+\Delta x)-f(x)}{\Delta x}$	$\frac{y_2 - y_1}{x_2 - x_1}$ numerically	
Limit		"instantaneous "	$\lim_{\Delta x \to 0} \cdots$	$\begin{array}{c} \text{with } \Delta x\\ \text{small} \end{array}$	
Function		" at any point/time"	$f'(x) = \cdots$	\dots depends on x	tedious repetition
	Γ				
	Symbolic				
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Figure 3: An extended framework for the concept of the derivative [22].

4 Thick Derivatives

Fifteen years ago, Zandieh [28] proposed a framework for student understanding of derivatives in single-variable calculus. We recently extended this framework [22], partly in an effort to include partial derivatives, but mostly to introduce a new *numerical* representation appropriate for data, in terms of the ratio of small changes. Our extended framework is shown in Figure 3. Each of the rows in Figure 3 describes a different *process-object layer* in the sense of Sfard's description [24] of the reification of processes into objects. The first (ratio) layer describes making a "(good) approximation"; the second (limit) layer describes taking a limit "at a point"; the third (function) layer describes extending the derivative to "many points". For further discussion, see [22].

Each of the columns in Figure 3 describes a different representation; we briefly discuss each representation in turn. The *graphical* representation of the derivative is slope, starting with the slope of a secant line, whose limit is the slope of the tangent line, and then extending this construction to a continuous domain of values of the independent variable. The *verbal* representation for the derivative is "rate of change," starting with average rate of change, then instantaneous rate of change, then recognizing that these rates of change exist at every point in the domain of the function. The *symbolic* representation of the derivative is its formal definition as the limit of a difference quotient, with the last step being the reinterpretation of the parameter as an independent variable. The *numerical* representation of the derivative is a ratio of changes, computed from numerical data, with the limit process being reinterpreted as the changes being sufficiently small, and the final step again involving the reinterpretation of the parameter as a variable. Finally, we modified Zandieh's *physical* category to represent the mental process of designing and conducting an experiment which would result in the desired derivative. The limit process now corresponds to measurements made for nearly identical values of the parameter, and the reinterpretation as a function now requires "tedious repetition" to perform the necessary measurements. We follow Zandieh in treating separately the symbolic manipulations used to calculate derivatives, and include them in a separate category labeled *instrumental understanding*.

We emphasize that for physicists the distinction in Figure 3 between the Ratio and Limit process-object layers is not quite the bright line test between average and instantaneous rates of change, even though those words appear in the table. In order to include numerical and physical representations in the Limit layer, we must replace this bright line by some notion of "small enough." We have therefore expanded the concept of derivative so as to encompass both the mathematicians' intent when taking limits and the scientist's need to work with discrete data. We refer to this expanded concept as *thick derivatives* [3, 22].

5 Differentials

A typical problem in thermodynamics is to determine some partial derivative, say $\left(\frac{\partial M}{\partial B}\right)_S$, from given equations of state that, in this case, express the magnetization M of some material and the temperature T in terms of the magnetic field B and entropy S.

This notation for the partial derivative will be unfamiliar to many mathematicians and most students, with the subscript S indicating a partial derivative with S held fixed. Despite its unfamiliarity, this notation serves a crucial purpose. A partial derivative operator such as $\frac{\partial}{\partial x}$ is meaningless unless one knows what other variables are being held fixed. This essential feature of partial differentiation is often under-emphasized in multivariable calculus courses, where students may come away with the mistaken impression that a partial derivative with respect to x means that one should "hold everything else fixed." It may not be possible to do so! There are four related quantities here, M, B, T, and S, and it is not obvious how many of them are independent, much less which ones. In this example, any two of these four quantities could be treated as the independent variables, but it is not physically possible to vary three of them independently. (The Partial Derivatives Machine discussed in Section 3 is similar; we deliberately do not specify which parameters are independent.)

When we gave a similar problem to several experts during interviews [14, 15], no two of them approached it the same way. We found three basic strategies, or "epistemic games," namely the use of substitution to isolate the independent variables, the use of the many

partial derivative chain rules to express the desired derivative in terms of others, and the use of differentials to reduce the problem to one in linear algebra.

Given a consistent system of equations, one often attempts to use some of them (the "constraints") to eliminate "extra" dependent variables, resulting in a single remaining equation expressing some physical quantity in terms of one or more independent variables. In practice, however, the constraint equations may not be solvable, and, even if they are, the solutions may be unwieldy. Working with differentials, by contrast, leads to a set of linear equations which can always be solved—assuming an appropriate number of constraints.

As we argued in [11], there are (at least) two quite different ways of interpreting differentials. The most common approach is to decide first which variables are independent, and which are dependent. This use of *differentials of functions* is equivalent to *implicit differentiation*, in which, for example, the slope of a circle is found by differentiating both sides of

$$x^2 + y^2 = r^2 \tag{1}$$

with respect to the independent variable, usually x, yielding

$$2x + 2y\frac{dy}{dx} = 0. (2)$$

We can, of course, rewrite (2) in terms of differentials, leading to

$$2x\,dx + 2y\,dy = 0,\tag{3}$$

which is completely symmetric in x and y. So why did we need to specify the independent variable(s)? We didn't!

Start again, and "zap" both sides of (1) with d. Don't assume anything. The result is

$$2x\,dx + 2y\,dy = 2r\,dr,\tag{4}$$

since we haven't (yet) assumed that the radius r is constant. Equation (4) therefore tells us how changes in radius are related to changes in x and/or y. We can recover the slope of the circle by further assuming r is constant, so that dr = 0, then solving for $\frac{dy}{dx}$. The use of *differentials of equations* postpones the discussion of dependent and independent variables until it is needed. This approach allows us to consider both the case where r is a function of x and y and the case where y is a function of x.

One great advantage of this technique is that the resulting equations, such as (4), always express linear relationships between differentials. Given a system of equations, their "zapped" versions can *always* be reduced using substitution.

One danger of this "use what you know" approach is that it is easy to lose track of what you know. Systematic substitution of differentials is always possible, but it is nonetheless easy (and common) to go in circles. A standard approach to help students through this maze is the use of *chain rule diagrams*, as shown in Figure 4, which serves as a shorthand reminder of the needed partial derivatives. The information encoded in such diagrams underlies the second "game" we observed in experts, namely the use of (often memorized) chain rule



Figure 4: Shown on the left is the standard chain rule diagram for converting the temperature T in rectangular coordinates (x, y) to polar coordinates (r, ϕ) . The diagram on the right shows the same situation, expressed in terms of differentials.

identities. In the example described by Figure 4, we consider the temperature T on a plate in both rectangular and polar coordinates. A standard textbook calculation (see e.g. [19]) shows how to recover the chain rule expression

$$\frac{\partial T}{\partial r} = \frac{\partial T}{\partial x}\frac{\partial x}{\partial r} + \frac{\partial T}{\partial y}\frac{\partial y}{\partial r}$$
(5)

using the left-hand diagram by thinking of the arrows as representing partial derivatives and following all possible paths from T to r, multiplying together the partial derivatives represented by each segment of a given path.

We prefer, however, to rewrite such diagrams in terms of differentials, in which case the diagram directly represents the linear relationships between the differentials of a given set of physical quantities. Thus, we replace the first diagram in Figure 4 by the second, which contains the same information. Using the right-hand diagram, we obtain (5) by comparing the coefficients in the linear relations

$$dT = \frac{\partial T}{\partial x}dx + \frac{\partial T}{\partial y}dy = \frac{\partial T}{\partial r}dr + \frac{\partial T}{\partial \phi}d\phi$$
(6)

together with similar expressions for dx and dy in terms of dr and $d\phi$. These latter expressions can be evaluated using the known relationship

$$x = r\cos\phi \Longrightarrow dx = \cos\phi \, dr - r\sin\phi \, d\phi,\tag{7}$$

$$y = r\sin\phi \Longrightarrow dy = \sin\phi \, dr + r\cos\phi \, d\phi \tag{8}$$

between rectangular and polar coordinates.

A more complicated situation involving the *adiabatic magnetic susceptibility* $\left(\frac{\partial M}{\partial B}\right)_S$ is shown in Figure 5, in which the functional dependencies are more subtle. In this example,



Figure 5: The chain rule diagram when changing only one of two variables, in this case expressing the magnetization M in terms of the magnetic field B and either the temperature T or the entropy S.

which is worked out in more detail in the Appendix, M is given as a function of B and T, but the *adiabatic* susceptibility is the partial derivative of M with respect to B at constant entropy. Since the magnetic field B is in both sets of independent variables, it is necessary to specify explicitly which variables are being held constant; the corresponding chain rule is

$$\left(\frac{\partial M}{\partial B}\right)_{S} = \left(\frac{\partial M}{\partial B}\right)_{T} + \left(\frac{\partial M}{\partial T}\right)_{B} \left(\frac{\partial T}{\partial B}\right)_{S},\tag{9}$$

obtained as before either by associating arrows with partial derivatives (using the left-hand diagram), or by expanding the differentials dM and dT in terms of dB and dS (using the right-hand diagram). In practice, the unwieldy partial derivative expressions occurring in (9) can often be avoided when working with differentials, using instead the explicit result of zapping the given equations of state with d.

We have argued previously [2, 6, 11] that the use of differentials provides students with a more robust understanding of calculus than traditional symbolic techniques. Differentials allow one to worry about the *linear* relationships between small changes in related quantities, rather than the usually much more complicated relationships between the quantities themselves. Infinitesimal reasoning is thus the art of linear approximation. Thermodynamics is perhaps unique in its frequent use of overlapping sets of independent variables, but it is precisely this sort of problem for which infinitesimal reasoning skills, as typified by the use of differentials, are most useful.

6 What Next?

So what do we recommend to mathematics faculty teaching introductory courses? First of all, skip the fine print. In other words, emphasize examples, not counterexamples. Use numerical data in class, and discuss the implications. Ask students to determine derivatives experimentally. A good start is to have students actually *measure* rise over run from a graph. But be sure to also include some examples that are not based on graphical data.

As indicated in [3], we encourage the use of infinitesimal reasoning, the art of working with quantities that are "small enough" for the purpose at hand. As we argued in a series of papers [2, 6, 11] and an online multivariable calculus text [10], differentials provide a robust, geometric, conceptual framework for working with such quantities; there are also others, such as power series. Differentials are often downplayed in single-variable calculus, despite their ubiquitous presence in "u-substitution". However, their importance in multivariable calculus (and in exact differential equations) justifies in our minds their inclusion right from the beginning. For instance, the standard symbolic differentials, and doing so leads to dramatic simplifications in the presentation of both chain rule and related rates [11].

All of these suggestions align well with the recommendations of the Curriculum Foundation Project of the MAA [13], which sought detailed input from partner disciplines: Emphasize conceptual understanding, problem solving skills, communication skills, and a balance between perspectives.

We have developed a variety of resources in order to implement these ideas in the classroom. First and foremost, the Portfolios Wiki [20] documents more than 300 small group activities for use across the physics major, indexed by topic, including both multivariable and vector calculus. We have written an accompanying online textbook [10], covering multivariable and vector calculus as well as applications to electromagnetism. All of these materials have been developed and used in the classroom over a period of 20 years. We have considerable qualitative data supporting the usefulness of this approach; see for example [14, 15]. Anecdotally, second-year calculus students and upper-division physics students and graduate TAs often ask "Why didn't we learn this before?" when introduced to differentials and infinitesimal reasoning, whereas first-year students, especially those who have had high-school calculus, often react with confusion when this language is used from the beginning.

Finally, we do not, of course, expect multivariable calculus courses to teach students how to solve problems in thermodynamics. Nonetheless, we do hope such courses prepare students to do so. Understanding derivatives, both ordinary and partial, as ratios of suitably small quantities, both in terms of infinitesimals and in terms of experimental data, provides a robust conceptual framework that we believe will allow students to apply calculus to science more easily.

Appendix: Magnetic Susceptibility

We return to the example shown in Figure 5, and work out the details summarized in Section 5. We are given the magnetization M in terms of the magnetic field B and temperature T, and the temperature in terms of the magnetic field and the entropy S, so that

$$dM = \left(\frac{\partial M}{\partial B}\right)_T dB + \left(\frac{\partial M}{\partial T}\right)_B dT,\tag{10}$$

$$dT = \left(\frac{\partial T}{\partial B}\right)_S dB + \left(\frac{\partial T}{\partial S}\right)_B dS.$$
 (11)

Substituting the second expression into the first yields

$$dM = \left(\frac{\partial M}{\partial B}\right)_T dB + \left(\frac{\partial M}{\partial T}\right)_B \left(\left(\frac{\partial T}{\partial B}\right)_S dB + \left(\frac{\partial T}{\partial S}\right)_B dS\right) \tag{12}$$

and comparison with

$$dM = \left(\frac{\partial M}{\partial B}\right)_S dB + \left(\frac{\partial M}{\partial S}\right)_B dS \tag{13}$$

(or simply setting dS = 0) leads immediately to (9). As noted in Section 5, this procedure is neatly summarized by either diagram in Figure 5, from which (9) can be read off without actually doing any computation.

In practice, these computations are often done with equations of state which give the relationships between the variables explicitly. An example used in the Paradigms program [20] has

$$M = N\mu \frac{e^{\frac{\mu B}{k_B T}} - e^{-\frac{\mu B}{k_B T}}}{e^{\frac{\mu B}{k_B T}} + e^{-\frac{\mu B}{k_B T}}},$$
(14)

$$S = Nk_B \left[\ln 2 + \ln \left(e^{\frac{\mu B}{k_B T}} + e^{-\frac{\mu B}{k_B T}} \right) + \frac{\mu B}{k_B T} \frac{e^{\frac{\mu B}{k_B T}} - e^{-\frac{\mu B}{k_B T}}}{e^{\frac{\mu B}{k_B T}} + e^{-\frac{\mu B}{k_B T}}} \right].$$
 (15)

These expressions are not quite of the form shown in Figure 5, since S is given in terms of T (and B) rather than vice versa. However, since expressions involving differentials are linear, it is straightforward to perform the necessary rearrangements.

In this example, working directly with differentials reveals that both dM and dS are proportional to (T dB - B dT), which should be obvious in retrospect, since both M and S are functions of the single variable B/T. Thus, setting dS = 0 results also in dM = 0, and the adiabatic magnetic susceptibility vanishes. (Not so the *isothermal* magnetic susceptibility, obtained by holding T constant rather than S.)

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