

Quantitative homogenization in non-linear elasticity for small loads

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joint work with Stefan Neukamm

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concept



Non-linear elasticity model of periodic composite.

$$\mathcal{I}_\varepsilon(u_\varepsilon) = \int_{\Omega} W\left(\frac{x}{\varepsilon}, \nabla u_\varepsilon\right) - f \cdot u_\varepsilon \rightarrow \min! \quad \text{subject to BC}$$

Homogenization limit.

$$\mathcal{I}_{\text{hom}}(u_0) = \int_{\Omega} W_{\text{hom}}(\nabla u_0) - f \cdot u_0 \rightarrow \min! \quad \text{subject to BC}$$
$$W_{\text{hom}}(F) := \inf_{k \in \mathbb{N}} \inf_{\phi \in W_{\text{per}}^{1,p}(k\Box)} \int_{k\Box} W(y, F + \nabla \phi(y)) dy$$

Results of this talk:

- One-cell homogenization formula & existence of corrector ϕ_F

$$\text{dist}(F, \text{SO}(d)) \ll 1 \quad \Rightarrow \quad W_{\text{hom}}(F) = \int_{\Box} W(y, F + \nabla \phi_F(y)) dy.$$

- Quantitative two-scale expansion (for small data)
- Uniform Lipschitz estimates for minimizer (for small & well-prepared data)

Program

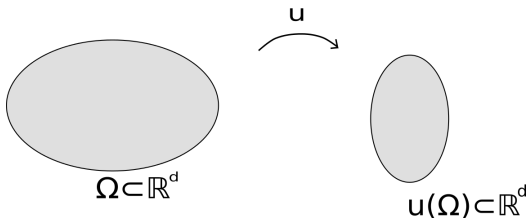
- (i) Variational model for elasticity / basic homogenization results
- (ii) Validity of the one-cell formula close to rotations
- (iii) Quantitative two-scale expansion (for small data)
- (iv) Uniform Lipschitz estimates (for small & well prepared data)

Variational model for non-linear elasticity

$$\mathcal{I}(u) := \int_{\Omega} W(\nabla u) - f \cdot u \quad (\text{elastic energy functional}),$$

where W is a **non-convex** energy density, satisfying

- $W(F) = W(RF) \forall F \in \mathbb{R}^{d \times d}, R \in SO(d)$ (**frame indifferent**)
- $W(\text{Id}) = \min W = 0$ (**reference configuration = natural state**)
- $W(F) \gtrsim \text{dist}^2(F, SO(d)) \forall F \in \mathbb{R}^{d \times d}$ (**non-degeneracy**)

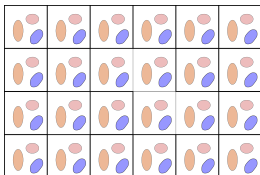


Variational model for non-linear elastic composite

$$\mathcal{I}_\varepsilon(u) := \int_{\Omega} W\left(\frac{x}{\varepsilon}, \nabla u\right) - f \cdot u \, dx \quad (\text{elastic energy functional}),$$

where W is a **non-convex** energy density, satisfying

- $W(y, F) = W(y, RF) \, \forall F \in \mathbb{R}^{d \times d}, R \in SO(d)$ (**frame indifferent**)
- $W(y, Id) = \min W = 0$ (**reference configuration = natural state**)
- $W(y, F) \gtrsim \text{dist}^2(F, SO(d)) \, \forall F \in \mathbb{R}^{d \times d}$ (**non-degeneracy**)
- $W(y, F)$ is $\square := [0, 1]^d$ - periodic in y
- $0 < \varepsilon \ll 1$ size of the micro-structure



Homogenization of **convex** integral functionals

$$\mathcal{E}_\varepsilon(u) := \int_{\Omega} V\left(\frac{x}{\varepsilon}, \nabla u(x)\right) dx$$

Suppose: $V(y, F)$ **\square -periodic in y** ; **convex** & p -growth in F , i.e

$$c|F|^p - \frac{1}{c} \leq V(y, F) \leq \frac{1}{c}(|F|^p + 1)$$

Homogenization of **convex** integral functionals

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Suppose: $V(y, F)$ \square -periodic in y ; **convex** & p -growth in F

Theorem: [Marcellini'77]. \mathcal{E}_ε Γ -converges (in $L^p(\Omega)$) to

$$\mathcal{E}_0(u) := \int_{\Omega} V_{\text{hom}}^{(1)}(\nabla u(x)) dx;$$

one-cell homogenization formula

$$V_{\text{hom}}^{(1)}(F) := \min_{\phi \in W_{\text{per}}^{1,p}(\square)} \int_{\square} V(y, F + \nabla \phi(y))$$

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$$V_{\text{hom}}^{(1)}(F) := \min_{\phi \in W_{\text{per}}^{1,p}(\square)} \int_{\square} V(y, F + \nabla \phi(y))$$

Quadratic-convex case: $Q_{\text{hom}}^{(1)}(F) = \int_{\square} Q(y, F + \nabla \phi_F(y))$, where

$$-\nabla \cdot (\mathbb{L}(F + \nabla \phi_F)) = 0 \quad \text{on } \square \text{ (with periodic BC)}$$

(periodic corrector equation)

Homogenization of **non-convex** integral functionals

$$\mathcal{E}_\varepsilon(u) := \int_{\Omega} W\left(\frac{x}{\varepsilon}, \nabla u(x)\right) dx$$

Suppose: $W(y, F)$ \square -periodic in y ; **non-convex** & p -growth in F .

Homogenization of **non-convex** integral functionals

$$\mathcal{E}_\varepsilon(u) := \int_{\Omega} W\left(\frac{x}{\varepsilon}, \nabla u(x)\right) dx$$

Suppose: $W(y, F)$ \square -periodic in y ; **non-convex** & p -growth in F .

Theorem: [Braides'85, Müller'87]. \mathcal{E}_ε Γ -converges (in $L^p(\Omega)$) to

$$\mathcal{E}_0(u) := \int_{\Omega} W_{\text{hom}}(\nabla u(x)) dx;$$

multi-cell homogenization formula

$$W_{\text{hom}}(F) := \inf_{k \in \mathbb{N}} \inf_{\phi \in W_{\text{per}}^{1,p}(k\square)} \int_{k\square} W(y, F + \nabla \phi(y))$$

One-cell versus multi-cell formula

► **Convex case:**

$$V_{\text{hom}}^{(1)}(F) := \min_{\phi \in W_{\text{per}}^{1,p}(\square)} \int_{\square} V(y, F + \nabla \phi(y)) = \int_{\square} V(y, F + \nabla \phi_F(y))$$

notion of corrector $\nabla \phi_F \Rightarrow$ corrector based analysis, e.g.

$$\text{2scale expansion } \nabla u_{\varepsilon} \approx \nabla u_0 + \nabla \phi_{\nabla u_0}(\frac{\cdot}{\varepsilon})$$

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- **no corrector**; evaluation of $W_{\text{hom}}(F)$ difficult in practice.
- Regularity of W_{hom} ? Behavior ∇u_{ε} ?

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- **no corrector**; evaluation of $W_{\text{hom}}(F)$ difficult in practice.
- Regularity of W_{hom} ? Behavior ∇u_{ε} ?

Can we have $W_{\text{hom}}(F) = W_{\text{hom}}^{(1)}(F)$?

One-cell versus multi-cell formula

✓ Impact of convexity [Müller '87]:

$$W(y, F) \text{ convex in } F \quad \Rightarrow \quad W_{\text{hom}}(F) = W_{\text{hom}}^{(1)}(F).$$

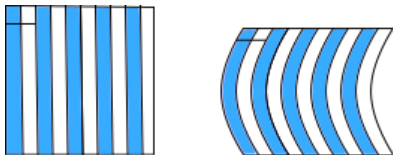
One-cell versus multi-cell formula

- ✓ Impact of convexity [Müller '87]:

$$W(y, F) \text{ convex in } F \quad \Rightarrow \quad W_{\text{hom}}(F) = W_{\text{hom}}^{(1)}(F).$$

- ✗ Buckling of microstructure [Müller '87]
Layered stiff/soft elastic two-phase composite

$$\Rightarrow \exists F(\text{compression}) \text{ s.t. } W_{\text{hom}}(F) < W_{\text{hom}}^{(1)}(F)$$



In fact: $\forall \delta > 0$ stiff/soft contrast can be chosen such that $W_{\text{hom}}(F) < W_{\text{hom}}^{(1)}(F)$ for some $\text{dist}(F, \text{SO}(d)) < \delta$

One-cell versus multi-cell formula

⊗ [Barchiesi, Gloria '10]: $W_{\text{hom}}(F) < QW_{\text{hom}}^{(1)}(F)$

✓ Homogenization and linearization commute at Id

$$\begin{array}{ccc} \frac{1}{h^2} \int W\left(\frac{x}{\varepsilon}, \text{Id} + h\nabla\varphi\right) & \xrightarrow{\text{lin}} & \int Q\left(\frac{x}{\varepsilon}, \nabla\varphi\right) \\ \downarrow \text{hom} & & \downarrow \text{hom} \\ \frac{1}{h^2} \int W_{\text{hom}}(\text{Id} + h\nabla\varphi) & \xrightarrow{\text{lin}} & \int Q_{\text{hom}}^{(1)}(\nabla\varphi) \end{array}$$

[Müller, Neukamm '11, Gloria, Neukamm '12, Jesenko, Schmidt '14]

Main result:
Validity of single-cell formula (close to rotations)

Assumption **(A)**: $W : \mathbb{R}^d \times \mathbb{R}^{d \times d} \rightarrow [0, +\infty]$ is

- \square -periodic in first variable,

there exists $p \geq d$ and $\alpha > 0$ s.t. for a.e. $y \in \square$ and every $F \in \mathbb{R}^{d \times d}$:

- $W(y, RF) = W(y, F) \forall R \in SO(d)$ (**frame indifference**),
- $W(y, \text{Id}) = \min W = 0$ (**reference configuration = natural state**)
- $W(y, F) \geq \alpha \text{dist}^2(F, SO(d))$ (**non-degeneracy**),
- $W(y, \cdot)$ is a C^3 -function close to $SO(d)$, (**regularity in F**)
- $\alpha|F|^p - \frac{1}{\alpha} \leq W(y, F)$ (**growth from below**)

Assumption **(A)** allows for physical growth

$$W(y, F) \rightarrow +\infty \quad \text{as} \quad \det(F) \rightarrow 0+.$$

Theorem: [with Neukamm]

Suppose **(A)** and **regularity condition (R)**.

Then $\exists \varrho > 0$ such that for all $F \in \mathbb{R}^{d \times d}$ with $\text{dist}(F, \text{SO}(d)) < \varrho$:

- (One-cell formula and corrector)

$$W_{\text{hom}}(F) = W_{\text{hom}}^{(1)}(F) = \int_{\square} W(y, F + \nabla \phi_F(y)) dy$$

for a corrector $\phi_F \in W_{\text{per}}^{1,p}(\square)$ (unique up to a constant)

- (Expansion of homogenization formula)

$$DW_{\text{hom}}(F)[G] = \int_{\square} DW(y, F + \nabla \phi_F(y))[G] dy$$

$$D^2 W_{\text{hom}}(F)[G, G] = \inf_{\psi \in H_{\text{per}}^1(\square)} \int_{\square} D^2 W(y, F + \nabla \phi_F)[G + \nabla \psi, G + \nabla \psi] dy$$

Ingredient I: Reduction to convex problem

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Lemma (matching convex lower-bound)

If **(A)**, then $\exists \beta, \mu, \delta > 0$ and $V : \mathbb{R}^d \times \mathbb{R}^{d \times d} \rightarrow \mathbb{R}$ s.t.

- $V(y, F)$ **strongly β -convex** in F , periodic in y
- $\beta|F|^2 - \frac{1}{\beta} \leq V(y, F) \leq \frac{1}{\beta}(1 + |F|^2)$
- $V(y, \cdot) \in C^3(\mathbb{R}^{d \times d})$
- **matching and lower-bound property**

$$W(y, F) + \mu \det(F) \geq V(y, F) \quad \text{for all } F \in \mathbb{R}^{d \times d}$$

$$W(y, F) + \mu \det(F) = V(y, F) \quad \text{for } \text{dist}(F, \text{SO}(d)) \leq \delta$$

Variation of [Friesecke, Theil '02, Conti, Dolzmann, Kirchheim, Müller '06]

Fact: \det is a Null-Lagrangian

$$\int_{\square} \det(F + \nabla \phi) = \det(F) \quad \text{for all } \phi \in W_{\text{per}}^{1,d}(\square)$$

Ingredient I: Reduction to convex problem

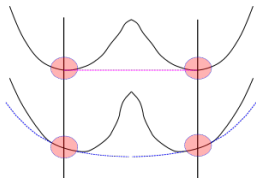
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$$\begin{aligned} W(y, F) + \mu \det(F) &\geq V(y, F) \quad \text{for all } F \in \mathbb{R}^{d \times d} \\ W(y, F) + \mu \det(F) &= V(y, F) \quad \text{for } \text{dist}(F, \text{SO}(d)) \leq \delta \end{aligned}$$

Variation of [Frieesecke, Theil '02, Conti, Dolzmann, Kirchheim, Müller '06]



$$D^2 W(y, \text{Id})[G, G] \geq \alpha |\text{sym } G|^2$$

$$D^2 \det(\text{Id})[G, G] \geq |G|^2 - 2|\text{sym } G|^2$$

Relate W_{hom} and V_{hom}

- Poly-convex lower bound:

$$W_{\text{hom}}(F) \geq V_{\text{hom}}^{(1)}(F) - \mu \det(F) \quad \text{for all } F \in \mathbb{R}^{d \times d}$$

Proof: For all $k \in \mathbb{N}$ and $\psi \in W_{\text{per}}^{1,p}(k\Box)$:

$$\begin{aligned} \int_{k\Box} W(y, F + \nabla\psi) \, dy &\geq \int_{k\Box} V(y, F + \nabla\psi) \, dy - \mu \int_{k\Box} \det(F + \nabla\psi) \\ &= \int_{k\Box} V(y, F + \nabla\psi) \, dy - \mu \det(F) \\ &\geq \min_{\phi \in H_{\text{per}}^1(\Box)} \int_{\Box} V(y, F + \nabla\phi) \, dy - \mu \det(F) \end{aligned}$$

Relate W_{hom} and V_{hom}

- Poly-convex lower bound:

$$W_{\text{hom}}(F) \geq V_{\text{hom}}^{(1)}(F) - \mu \det(F) \quad \text{for all } F \in \mathbb{R}^{d \times d}$$

- Exploit matching property:

$$\|\text{dist}(F + \nabla \phi_F, \text{SO}(d))\|_{L^\infty(\square)} < \delta \quad \Rightarrow \quad W_{\text{hom}}(F) = W_{\text{hom}}^{(1)}(F).$$

Proof:

$$\begin{aligned} W_{\text{hom}}^{(1)}(F) &\leq \int_{\square} W(y, F + \nabla \phi_F) dy \\ &= \int_{\square} V(y, F + \nabla \phi_F) dy - \mu \int_{\square} \det(F + \nabla \phi_F) \\ &= \min_{\phi \in H_{\text{per}}^1(\square)} \int_{\square} V(y, F + \nabla \phi) dy - \mu \det(F) \end{aligned}$$

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- Energy estimate:

$$\| \text{dist}(F + \nabla \phi_F, \text{SO}(d)) \|_{L^2(\square)} \lesssim \text{dist}(F, \text{SO}(d))$$

(not enough \boxtimes).

Relate W_{hom} and V_{hom}

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(not enough \boxtimes).

- Exploit **regularity condition (R)** to get Lipschitz estimate for ϕ_F :

$$\text{dist}(F, \text{SO}(d)) \ll 1 \quad \Rightarrow \quad \|\text{dist}(F + \nabla \phi_F, \text{SO}(d))\|_{L^\infty(\square)} \lesssim \text{dist}(F, \text{SO}(d)).$$

Ingredient II: Lipschitz estimates

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Regularity condition (R) \Rightarrow Lipschitz estimate (3 variants)

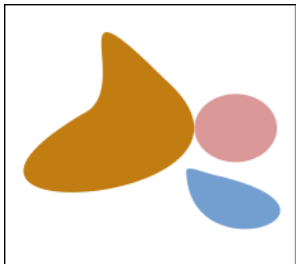
- **(R1)** (smooth): W is C^3 in neighbourhood of $\mathbb{R}^d \times \text{SO}(d)$.
Lipschitz estimate follows by implicit function theorem
- **(R2)** (laminar): $W(y, F) = W(y_d, F)$.
Cell-problem reduces to ODE

Ingredient II: Lipschitz estimates

Regularity condition (R) \Rightarrow Lipschitz estimate (3 variants)

- **(R1)** (smooth): W is C^3 in neighbourhood of $\mathbb{R}^d \times SO(d)$.
- **(R2)** (laminar): $W(y, F) = W(y_d, F)$.
- **(R3)** (piecewise smooth composite)

disjoint (possibly touching) inclusions D_1, \dots, D_ℓ with smooth boundary



[Li & Vogelius '00, Li & Nirenberg '03]:

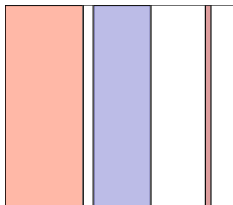
Lipschitz estimates for linear elliptic systems

[Byun, Ryu & Wang '10, Byun & Kim '16 & 17]:

Gradient L^p , $p < \infty$ linear systems resp. scalar monotone equations

Interlude: Lipschitz estimates for elliptic systems
Geometric assumptions

- $\mathcal{D} := \{D_\ell\}_{\ell \in \mathbb{Z}}$ is called *laminated* if $\exists e \in \mathbb{R}^d$ and strictly monotone sequence $\{h_\ell\}_{\ell \in \mathbb{Z}}$ s.t. $D_\ell = \{x \in \mathbb{R}^d : h_\ell < x \cdot e < h_{\ell+1}\} \forall \ell \in \mathbb{Z}$.



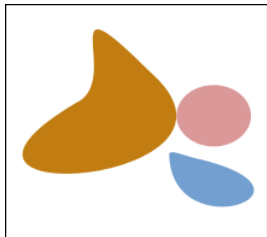
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- A sequence $\mathcal{D} := \{D_\ell\}_{\ell \in \mathbb{Z}}$ of mutually disjoint, open subsets of \mathbb{R}^d such that $\mathbb{R}^d = \bigcup_{\ell \in \mathbb{Z}} \overline{D}_\ell$ is called *(E, s) -regular* (where $0 < s \leq 1$ and $E < \infty$), if for all $x \in \mathbb{R}^d$ there exists a laminar \mathcal{D}_x s.t.

$$\sup_{0 < r} r^{-s} \left(|B_r|^{-1} \sum_{\ell \in \mathbb{Z}} |(D_\ell \Delta D'_{x\ell}) \cap B_r(x)| \right)^{\frac{1}{2}} \leq E,$$

where Δ denote the symmetric difference.



Interlude: Lipschitz estimates for nonlinear elliptic systems

Assumptions on monotone operator

Definition: Given $\beta \in (0, 1]$, we say $\mathbf{a} \in \mathcal{A}_\beta$ iff $\mathbf{a} : \mathbb{R}^{d \times d} \rightarrow \mathbb{R}^{d \times d}$ satisfies for all $F, G \in \mathbb{R}^{d \times d}$

$$\mathbf{a}(0) = 0$$

$$\beta |F - G|^2 \leq \langle \mathbf{a}(F) - \mathbf{a}(G), F - G \rangle$$

$$\beta |\mathbf{a}(F) - \mathbf{a}(G)| \leq |F - G|$$

$$\beta |D\mathbf{a}(F) - D\mathbf{a}(G)| \leq \omega(|F - G|) \quad \text{with } \omega(t) = \max\{t, 1\}$$

Fact: Suppose that W satisfies **(A)** then $\exists \beta \in (0, 1]$ s.t. matching convex lower bound V satisfies $DV(x, \cdot) \in \mathcal{A}_\beta$ for a.e. $x \in \mathbb{R}^d$

Proposition: [with Neukamm]

Fix $\beta \in (0, 1]$. Suppose that \mathbf{a} is a (E, s) -regular coefficient field of class \mathcal{A}_β , i.e.

$$\mathbf{a}(y, F) = \sum_{\ell} \mathbf{a}_{\ell}(F) \mathbf{1}_{\mathcal{D}_{\ell}}(y),$$

where $\mathcal{D} = \{\mathcal{D}_{\ell}\}$ is (E, s) -regular and $\mathbf{a}_{\ell} \in \mathcal{A}_\beta$.

Given $q > d$, $\exists \bar{\kappa} > 0$ and $c \in [1, \infty)$ such that if $u \in H^1(B_1)$ and $f \in L^q(B_1)$ satisfy

$$-\operatorname{div} \mathbf{a}(x, \nabla u) = f \quad \text{in } \mathcal{D}'(B_1),$$

and the smallness conditions

$$\|f\|_{L^q(B_1)} + \|\nabla u\|_{L^2(B_1)} \leq \begin{cases} \infty & \text{if } d = 2 \\ \bar{\kappa} & \text{if } d \geq 3 \end{cases}.$$

Then,

$$\|\nabla u\|_{L^\infty(B_{\frac{1}{2}})} \leq c(\|\nabla u\|_{L^2(B_1)} + \|f\|_{L^q(B_1)}).$$

Idea of the proof

Suppose

$$\operatorname{div} \mathbf{a}(x, \nabla u) = 0 \quad \text{in } \mathcal{D}'(B_R).$$

Recall: ε -Regularity statements: (e.g. textbooks [Giaquinta], [Giusti])

Suppose $\mathbf{a}(x, \cdot) = \mathbf{a}(\cdot) \in \mathcal{A}_\beta$: For all $\alpha \in (0, 1)$ there exists $\varepsilon > 0$ such that

$$\begin{aligned} E(\nabla u, B_R) &:= \left(\int_{B_R} |\nabla u - \fint_{B_R} \nabla u|^2 \right)^{\frac{1}{2}} \leq \varepsilon \\ \Rightarrow E(\nabla u, B_r) &\lesssim \left(\frac{r}{R} \right)^\alpha E(\nabla u, B_R) \end{aligned}$$

'Proof':

- (i) Differentiate eq.: $\operatorname{div}(\mathbb{L} \nabla \partial_i u) = 0$ with $\mathbb{L} := D\mathbf{a}(\nabla u)$
- (ii) Let $w_i \in \partial_i u + H_0^1(\frac{1}{2}B)$ be such that

$$\operatorname{div} \bar{\mathbb{L}} \nabla w_i = 0 \quad \text{with} \quad \bar{\mathbb{L}} := D\mathbf{a}\left(\fint_B \nabla u\right)$$

- (iii) Lipschitz estimates for w_i yield for $\tau \in (0, 1]$:

$$E(\nabla u, \tau B) \lesssim \tau(1 + \tau^{-\frac{d}{2}} \omega(|E(\nabla u, B)|)^q) E(\nabla u, B)$$

Idea of the proof

Suppose

$$\operatorname{div} \mathbf{a}(x, \nabla u) = 0 \quad \text{in } \mathcal{D}'(B_R).$$

(a) Let \mathbf{a} be layered, i.e. $\mathbf{a}(x, \cdot) = \mathbf{a}(x_d, \cdot)$

- Previous argument & Lipschitz estimates for linear laminates [Chipot, Kinderlehrer, Caffarelli '85] yield

$$\begin{aligned} E(\nabla' u, B_R) &\leq \varepsilon \\ \Rightarrow (E(\nabla' u, B_r) + E(J_d(u), B_r)) &\lesssim \left(\frac{r}{R}\right)^\alpha E(\nabla' u, B_R) \end{aligned}$$

where

$$\nabla' u := (\partial_1 u, \dots, \partial_{d-1} u) \quad J_d(u) := \mathbf{a}(\cdot, \nabla u) e_d$$

- pointwise estimate

$$|\nabla w| \lesssim |\nabla' w| + |J_d(w)| \lesssim |\nabla w|$$

yield Lipschitz-estimate.

(b) Treat (E, s) -regular coefficients as perturbations of layered coefficients.



Validity of

$$D^2 W_{\text{hom}}(F)[G, G] = \inf_{\psi \in H_{\text{per}}^1(\square)} \int_{\square} D^2 W(y, F + \nabla \phi_F)[G + \nabla \psi, G + \nabla \psi] dy$$

for all F with $\text{dist}(F, \text{SO}(d)) < \varrho$ and $G \in \mathbb{R}^{d \times d}$, follows by existence of Lipschitz corrector.

In [Geymonat, Müller, Triantafylidis '93] expansion is derived *assuming*

- single cell formula is valid and certain estimates of the corrector,
- or $W(y, F)$ is convex in F

From

$$D^2 W_{\text{hom}} = D^2 V_{\text{hom}}^{(1)} - \mu D^2 \det \quad \text{in } \{\text{dist}(\cdot, \text{SO}(d)) < \varrho\},$$

follows that W_{hom} is **strongly** rank-one convex in $\{\text{dist}(\cdot, \text{SO}(d)) < \varrho\}$,
i.e.

$$D^2 W_{\text{hom}}(F)[a \otimes b, a \otimes b] \geq \beta |a|^2 |b|^2 \quad \text{for every } a, b \in \mathbb{R}^d.$$

Application I: Quantitative two-scale expansion

Consider

$$\mathcal{I}_\varepsilon(u) := \int_{\Omega} W\left(\frac{x}{\varepsilon}, \nabla u\right) - f \cdot u \, dx,$$

$$\mathcal{I}_{\text{hom}}(u) := \int_{\Omega} W_{\text{hom}}(\nabla u) - f \cdot u \, dx,$$

subject to affine boundary condition $u(x) = Gx$ on $\partial\Omega$ (BC)

Theorem: [with Neukamm]

Let $r > d$. There exists $\bar{\rho} > 0$. Suppose **smallness** of the data in form of

$$\Lambda(f, G) := \|f\|_{L^r(\Omega)} + \text{dist}(G, \text{SO}(d)) < \bar{\rho}.$$

(a) \mathcal{I}_{hom} admits a unique minimizer $u_0 \in W^{1,p}(\Omega)$ subject to (BC).

(b) Every minimizer $u_\varepsilon \in W^{1,p}(\Omega)$ of \mathcal{I}_ε subject to (BC) satisfies

$$\begin{aligned} \|u_\varepsilon - u_0\|_{L^2(\Omega)} + \|u_\varepsilon - (u_0 + \varepsilon \phi_{\nabla u_0}(\frac{\cdot}{\varepsilon}))\|_{H^1(\Omega)} \\ \lesssim \varepsilon^{\frac{1}{2}} \Lambda(f, G). \end{aligned}$$

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subject to boundary condition $u = g$ on $\partial\Omega$ (BC)

Theorem: [with Neukamm]

Let $r > d$. There exists $\bar{\varrho} > 0$. Suppose **smallness** of the data in form of

$$\Lambda(f, g, g_0) := \|f\|_{L^r(\Omega)} + \|g - g_0\|_{W^{2,r}(\Omega)} + \|\text{dist}(\nabla g_0, \text{SO}(d))\|_{L^\infty(\Omega)} < \bar{\varrho}.$$

where $g_0 \in W^{2,r}(\mathbb{R}^d)$ satisfies $-\text{div} DW_{\text{hom}}(\nabla g_0) = 0$.

(a) \mathcal{I}_{hom} admits a unique minimizer $u_0 \in W^{1,p}(\Omega)$ subject to (BC).

(b) For any $u_\varepsilon \in W^{1,p}(\Omega)$ satisfying (BC) have

$$\begin{aligned} \|u_\varepsilon - u_0\|_{L^2(\Omega)} + \|u_\varepsilon - (u_0 + \varepsilon \phi_{\nabla u_0}(\frac{\cdot}{\varepsilon}))\|_{H^1(\Omega)} \\ \lesssim \varepsilon^{\frac{1}{2}} \Lambda(f, g, g_0) + (\mathcal{I}_\varepsilon(u_\varepsilon) - \inf \mathcal{I}_\varepsilon)^{\frac{1}{2}} \\ + \varepsilon(1 + \|\nabla^2 g_0\|_{L^r(\Omega)}^{\frac{r}{r-d}})(\|\nabla^2 g_0\|_{L^r(\Omega)} + \Lambda(f, g, g_0)). \end{aligned}$$

Outline of the proof:

(I) Error estimate for matching convex lower bound

$$\mathcal{E}_\varepsilon(u) := \int_{\Omega} V\left(\frac{x}{\varepsilon}, \nabla u\right) - f \cdot u, \quad \mathcal{E}_{\text{hom}}(u) := \int_{\Omega} V_{\text{hom}}(\nabla u) - f \cdot u$$

- Minimizer of \mathcal{E}_{hom} in $g + H_0^1(\Omega)$ satisfies (via IFT)

$$u_0 \in W^{2,r}(\Omega), \quad \|\text{dist}(\nabla u_0, \text{SO}(d))\|_{L^\infty} \ll 1$$

$$\Rightarrow \quad \mathcal{I}_{\text{hom}}(u_0) = \min!$$

- Estimate H^1 -error of two-scale expansion

$$v_\varepsilon := u_0 + \varepsilon \eta_\varepsilon \phi_{\nabla u_0}\left(\frac{\cdot}{\varepsilon}\right) \in g + W_0^{1,r}(\Omega)$$

(adapt [Cardone, Zhikov, Pastukhova '06])

Outline of the proof:

(II) Lift estimate to non-convex problem

Assume: minimizer u_ε of \mathcal{E}_ε satisfies $\|\text{dist}(\nabla u_\varepsilon, \text{SO}(d))\|_{L^\infty(\Omega)} < \delta$.

- ▶ u_ε is a unique minimizer of \mathcal{I}_ε
- ▶ For all $w \in W_g^{1,p}(\Omega)$ and two-scale expansion with cut-off v_ε have

$$\begin{aligned} \frac{1}{2} \|\nabla w - \nabla v_\varepsilon\|_{L^2(\Omega)}^2 &\leq \|\nabla w - \nabla u_\varepsilon\|_{L^2(\Omega)}^2 + \|\nabla v_\varepsilon - \nabla u_\varepsilon\|_{L^2(\Omega)}^2 \\ &\lesssim \mathcal{E}_\varepsilon(w) - \mathcal{E}_\varepsilon(u_\varepsilon) + \|\nabla v_\varepsilon - \nabla u_\varepsilon\|_{L^2(\Omega)}^2 \\ &\lesssim (\mathcal{I}_\varepsilon(w) - \inf \mathcal{I}_\varepsilon) + \varepsilon \Lambda(f, g)^2 \end{aligned}$$

- ⊠ Problem: In general no uniform Lipschitz estimate for u_ε .

Outline of the proof:

(II) Lift estimate to non-convex problem

Assume: two-scale expansion v_ε satisfies $\|\text{dist}(\nabla v_\varepsilon, \text{SO}(d))\|_{L^\infty(\Omega)} < \delta$.

► For all $w \in W_g^{1,p}(\Omega)$ have

$$\begin{aligned} \frac{1}{2} \|\nabla w - \nabla v_\varepsilon\|_{L^2(\Omega)}^2 &\leq \|\nabla w - \nabla u_\varepsilon\|_{L^2(\Omega)}^2 + \|\nabla v_\varepsilon - \nabla u_\varepsilon\|_{L^2(\Omega)}^2 \\ &\lesssim \mathcal{E}_\varepsilon(w) - \mathcal{E}_\varepsilon(u_\varepsilon) + \|\nabla v_\varepsilon - \nabla u_\varepsilon\|_{L^2(\Omega)}^2 \\ &\leq \mathcal{E}_\varepsilon(w) - \mathcal{E}_\varepsilon(v_\varepsilon) + \mathcal{E}_\varepsilon(v_\varepsilon) - \mathcal{E}_\varepsilon(u_\varepsilon) + \|\nabla v_\varepsilon - \nabla u_\varepsilon\|_{L^2(\Omega)}^2 \\ &\lesssim (\mathcal{I}_\varepsilon(w) - \inf \mathcal{I}_\varepsilon) + \varepsilon \Lambda(f, g)^2 \end{aligned}$$

⊠ Problem: If $u_0 \notin W^{2,\infty}(\Omega)$ then $\text{dist}(\nabla v_\varepsilon, \text{SO}(d))$ not small,
 $\nabla v_\varepsilon = \nabla u_0 + \eta_\varepsilon \nabla \phi_{\nabla u_0}(\frac{\cdot}{\varepsilon}) + \varepsilon \phi_{\nabla u_0} \otimes \nabla \eta_\varepsilon + \varepsilon \eta_\varepsilon D_F \phi_{\nabla u_0}[\nabla^2 u_0]$.

Outline of the proof:

(II) Lift estimate to non-convex problem

Consider modified two-scale expansion:

$$\bar{v}_\varepsilon := u_0 + \varepsilon \eta_\varepsilon \phi(\nabla u_0)_\varepsilon \left(\frac{\cdot}{\varepsilon} \right)$$

with $(\nabla u_0)_\varepsilon =$ Lipschitz-truncation of $\nabla u_0 \in W^{1,r}(\Omega)$.

- ▶ $\|\bar{v}_\varepsilon - v_\varepsilon\|_{H^1(\Omega)} \lesssim \varepsilon(1 + \|\nabla^2 g_0\|_{L^r(\Omega)}^{\frac{r}{r-d}})(\Lambda(f, g, g_0) + \|\nabla^2 g_0\|_{L^r(\Omega)})$
- ▶ For all $w \in W_g^{1,p}(\Omega)$ have

$$\begin{aligned} \frac{1}{2} \|\nabla w - \nabla v_\varepsilon\|_{L^2(\Omega)}^2 &\leq (\mathcal{I}_\varepsilon(w) - \inf \mathcal{I}_\varepsilon) + \varepsilon \Lambda(f, g)^2 \\ &\quad + \|\nabla v_\varepsilon - \nabla \bar{v}_\varepsilon\|_{L^2(\Omega)}^2 \end{aligned}$$

□

Application II:
Uniform Lipschitz estimates for well-prepared & small data

Estimates for linear systems

- Lipschitz-estimate for harmonic functions: $\exists c = c(d) < \infty$

$$-\Delta u = 0 \quad \text{in } \mathcal{D}'(B) \quad \Rightarrow \quad \|\nabla u\|_{L^\infty(\frac{1}{2}B)}^2 \leq c \int_B |\nabla u|^2$$

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- [Avellaneda, Lin '87] Suppose that $\mathbb{L} \in C^{0,\alpha}(\mathbb{R}^d, \mathbb{R}^{d^4})$ is periodic & uniformly elliptic, set $\mathbb{L}_\varepsilon := \mathbb{L}(\frac{\cdot}{\varepsilon})$. $\exists c < \infty$ such that for all $\varepsilon \in (0, 1)$:

$$\operatorname{div}(\mathbb{L}_\varepsilon \nabla u) = 0 \quad \text{in } \mathcal{D}'(B) \quad \Rightarrow \quad \|\nabla u\|_{L^\infty(\frac{1}{2}B)}^2 \leq c \int_B |\nabla u|^2$$

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- Recent extension to **random** setting, e.g. [Armstrong, Smart '14], [Armstrong, Mourrat '16], [Gloria, Neukamm, Otto '14],...

Consider

$$\mathcal{I}_\varepsilon(u) := \int_{\square} W\left(\frac{x}{\varepsilon}, \nabla u\right) - f \cdot u \, dx,$$

subject to periodic boundary condition $u \in Gx + W_{\text{per}}^{1,p}(\square)$ (pBC)

Theorem: [with Neukamm]

Let $q > d$ and $\varepsilon_n = \frac{1}{n}$, $n \in \mathbb{N}$. There exists $\bar{\varrho} > 0$. Suppose **smallness** of the data in form of

$$\Lambda(f, G) := \|f\|_{L^q(\square)} + \text{dist}(G, \text{SO}(d)) < \bar{\varrho}.$$

- (a) (Existence & uniqueness) $\mathcal{I}_{\varepsilon_n}$ admits a unique (up to a constant) minimizer $u_\varepsilon \in W^{1,p}(\square)$ subject to (pBC).
- (b) (Lipschitz estimate & Euler-Lagrange equation) Every minimizer $u_{\varepsilon_n} \in W^{1,p}(\square)$ of $\mathcal{I}_{\varepsilon_n}$ subject to (pBC) satisfies

$$\|\text{dist}(\nabla u_{\varepsilon_n}, \text{SO}(d))\|_{L^\infty(\square)} \lesssim \text{dist}(G, \text{SO}(d)) + \|f\|_{L^q(\square)}$$

and

$$-\text{div} DW\left(\frac{x}{\varepsilon_n}, \nabla u_{\varepsilon_n}\right) = f \quad \text{in } \mathcal{D}'(\mathbb{R}^d)$$

Idea of proof

- (a) Uniform Lipschitz estimate for monotone systems.
Suppose \mathbf{a} periodic & (E, s) -regular coefficient field of class \mathcal{A}_β .
Then,

$$\operatorname{div} \mathbf{a}(x, \nabla u) = 0 \quad \text{in } \mathcal{D}'(B)$$

and

$$\left(\int_B |\nabla u|^2 \right)^{\frac{1}{2}} \leq \begin{cases} \infty & \text{if } d = 2, \\ \kappa & \text{if } d \geq 3, \end{cases}$$

imply

$$\|\nabla u\|_{L^\infty(\frac{1}{2}B)} \lesssim \left(\int_B |\nabla u|^2 \right)^{\frac{1}{2}}$$

- (b) Use (a) and the matching property to show that minimizer of the convex problem and non-convex problem coincide

Idea of proof (of (a)) (following [Avellaneda, Lin '87]).

Suppose

$$\operatorname{div} \mathbf{a}(x, \nabla u) = 0 \quad \text{in } \mathcal{D}'(B_R) \text{ with } 1 \ll R$$

$\exists \gamma = \gamma(\beta, d) \in (0, 1)$ and $\kappa(\beta, d) > 0$ such that if

$$\tilde{E}(\nabla u, B_R) := \inf_{\zeta} \left(\int_{B_R} |\nabla u - (\zeta + \nabla \phi_{\zeta})|^2 \right)^{\frac{1}{2}} \leq \begin{cases} +\infty & \text{if } d = 2, \\ \kappa & \text{if } d \geq 3 \end{cases}$$

Then,

- *Excess decay*: for all $\gamma' \in (0, \gamma)$

$$\tilde{E}(\nabla u, B_r) \lesssim_{\gamma'} \left(\frac{r}{R} \right)^{\gamma'} \tilde{E}(\nabla u, B_R) \quad \text{for all } r \geq 1,$$

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Proof: Compare u with suitable \mathbf{a}_{hom} -harmonic function $\Rightarrow \exists q > 0$
s.t. for all $\tau \in (0, 1]$

$$\tilde{E}(\nabla u, B_{\tau R}) \lesssim \left(\tau^{\gamma} + \frac{1}{R^q} \tau^{-\frac{d}{2}} \right) \tilde{E}(\nabla u, B_R)$$

where

- $\tau^{\gamma} \sim$ regularity for homogenized problem
- $R^{-q} \sim$ homogenization error

Idea of proof (of (a)) (following [Avellaneda, Lin '87]).

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- *Large scale Lipschitz estimate*:

$$\int_{B_1} |\nabla u|^2 \lesssim \int_{B_R} |\nabla u|^2.$$

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$$\operatorname{div} \mathbf{a}(x, \nabla u) = 0 \quad \text{in } \mathcal{D}'(B_R) \text{ with } 1 \ll R$$

$\exists \gamma = \gamma(\beta, d) \in (0, 1)$ and $\kappa(\beta, d) > 0$ such that if

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$$\tilde{E}(\nabla u, B_r) \lesssim_{\gamma'} \left(\frac{r}{R} \right)^{\gamma'} \tilde{E}(\nabla u, B_R) \quad \text{for all } r \geq 1,$$

- *Large scale Lipschitz estimate*:

$$\int_{B_1} |\nabla u|^2 \lesssim \int_{B_R} |\nabla u|^2.$$

- *Lipschitz estimate*: (Here use that \mathbf{a} is (E, s) -regular)

$$\|\nabla u\|_{L^\infty(B_1)} \lesssim \int_{B_R} |\nabla u|^2.$$

□

Summary:

- One-cell formula for deformation close to $SO(d)$
- Uniform Lipschitz estimate for small data
- Estimate on homogenization error for small data

Outlook:

- Homogenization/linearization in neighborhood of rotations
- Stochastic homogenization

Summary:

- One-cell formula for deformation close to $SO(d)$
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Outlook:

- Homogenization/linearization in neighborhood of rotations
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Thank you for your attention!

More informations,

S. Neukamm, M. S., Quantitative homogenization in non-linear elasticity for small loads, *Archive for Rational Mechanics and Analysis* (online first) [arXiv:1703.07947](https://arxiv.org/abs/1703.07947) (one cell formula / error estimate for smooth / layered coefficients)

- For $0 < \mu \ll 1$ set $\overline{W} := W + \mu \det$. $\exists \delta = \delta(d, \alpha, \mu)$, $C = C(d)$ s.t.

$$\overline{W}(F) - \overline{W}(F_0) - D\overline{W}(F_0)[F - F_0] \geq \frac{\mu}{C}|F - F_0|^2$$

for all $F, F_0 \in \mathbb{R}^{d \times d}$ with $\text{dist}(F_0, \text{SO}(d)) < \delta$

- Set $\lambda = \frac{\mu}{2C}$ and

$$\overline{V}(F) := \sup_{F_0 \in U_\delta} Q_{F_0}(F),$$

where

$$\overline{Q}_{F_0}(F) := \overline{W}(F_0) + D\overline{W}(F_0)[F - F_0] + \lambda|F - F_0|^2.$$

Then:

- ▶ \overline{V} strongly convex,
- ▶ $\overline{V} \leq \overline{W}$, and $\overline{V} = \overline{W}$ on $\{\text{dist}(F, \text{SO}(d)) < \delta\}$.
- Regularization via smoothing and gluing
(carefull gluing is non-convex, smoothing increases function)