



# Quantitative homogenization in non-linear elasticity

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Homogenisation in Disordered Media Durham 2018

### Outline

nonlinear elasticity and homogenization

validity of one-cell formula for small strains

quantitative two-scale expansion

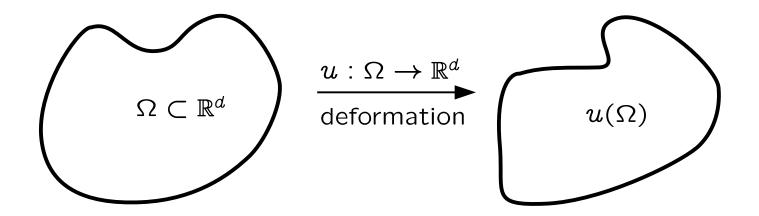
homogenization and linearization at strained equilibrium

uniform Lipschitz estimates

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

where W is a non-convex energy density s.t.

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



homogenization of non-convex integral functionals

$$\mathcal{I}_arepsilon(u) := \int_\Omega \mathcal{W}(rac{x}{arepsilon}, 
abla u(x)) \, dx$$

Suppose: W(y, F)  $\Box$ -periodic in y; & p-growth (p > 1)

Theorem: [Müller ARMA'87, Braides RAN'85]  $\mathcal{I}_{arepsilon}$  [F-converges to  $\mathcal{I}_{ ext{hom}}(u) := \int_{\Omega} \mathcal{W}_{ ext{hom}}(
abla u(x)) \, dx.$ 

• W convex  $\Rightarrow$  single-cell hom. formula & corrector

$$W_{\text{hom}}(F) = W^{(1)}(F) := \min_{\phi \in W^{1,p}_{\text{per}}(\Box)} \oint_{\Box} W(y, F + \nabla \phi(y)) = \oint_{\Box} W(y, F + \nabla \phi_F(y))$$

• W non-convex  $\Rightarrow$  multi-cell hom. formula & no corrector

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

notion of corrector  $\nabla \phi_F$  = starting point for - (large scale) regularity quantitative homogenization

homogenization of non-convex integral functionals

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• W non-convex  $\Rightarrow$  multi-cell hom. formula & no corrector

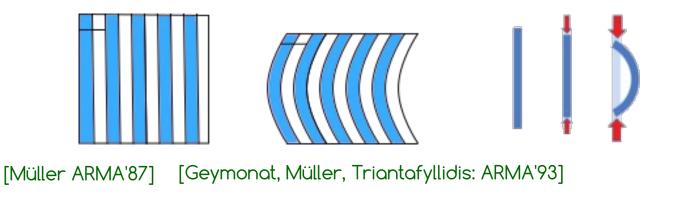
$$W_{\text{hom}}(F) := \inf_{k \in \mathbb{N}} \inf_{\phi \in W_{\text{per}}^{1,p}(k \square)} \oint_{k \square} W(y, F + \nabla \phi(y))$$

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

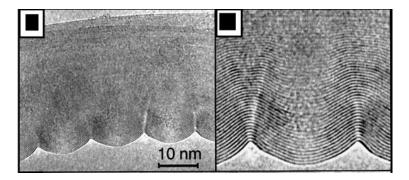
### **Macroscopic instability by buckling of microstructure**

Layered (stiff/soft) elastic two-phase composite

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



Buckling pattern of a bended multi-walled nanotube (TEM image)



[Lourie et al., Phys.Rev.Lett.'98]

[N.: (PhD-Thesis) '10], [Müller & N.: ARMA '11], [Gloria & N.: AIHP'11]

#### $\square$ Homogenization and linearization commute at Id

On the level of the energy density

$$W(y, Id+G) = Q(y, G) + o(|G|^2)$$
  

$$\Rightarrow \qquad W_{\text{hom}}(Id+G) = Q^{(1)}(G) + o(|G|^2)$$

On the level of energy functionals

Similar statement for  $Id \rightsquigarrow F \not\in SO(d)$ ?

### Main result

validity of one-cell formula

quantitative two-scale expansion

homogenization and linearization at strained equilibrium

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

Let  $p \ge d$  and  $\alpha > 0$ . Suppose that

- W(y, F) is  $\Box$ -periodic in y,
- $W(y, RF) = W(y, F) \ \forall R \in d$  (frame indifference),
- $W(y,) = \min W = 0$  (reference configuration = natural state),
- $W(y, F) \ge \alpha \operatorname{dist}^2(F, d)$  (non-degeneracy),

- $W(y, \cdot)$  is  $C^3$  close to SO(d) (regularity in F),
- $\alpha |F|^p \frac{1}{\alpha} \leq W(y, F)$  (growth from below)

### Validity of the single-cell formula for small strains

Theorem 1: (validity of the one-cell formula)[N. & Schöffner ARMA '18]Suppose (A) and a regularity condition (R) on microstructure.

Then  $\exists \rho > 0$  s.t. for all  $F \in \mathbb{R}^{d \times d}$  with  $dist(F, SO(d)) \leq \rho$ :

• (single-cell formula and corrector).

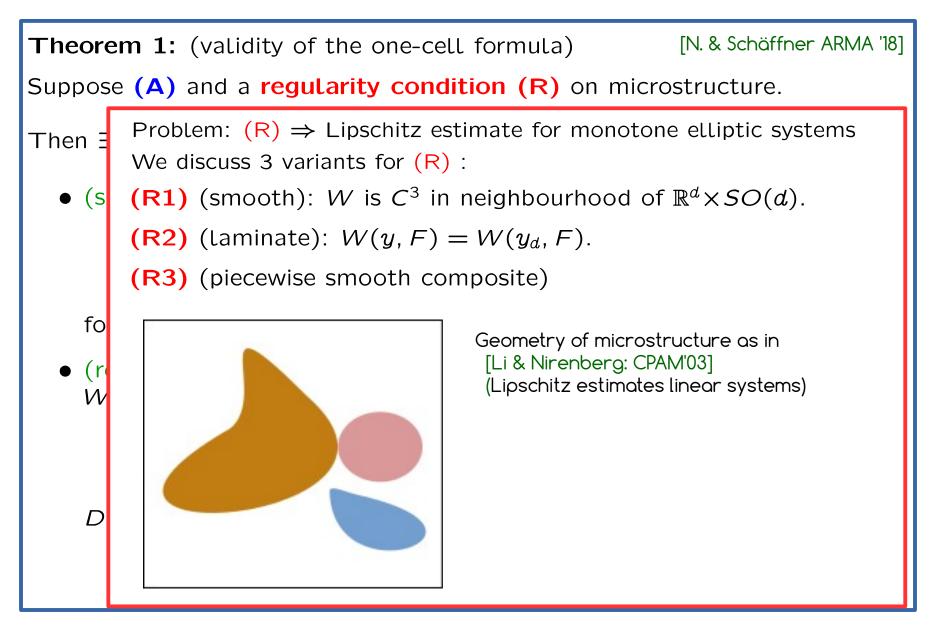
$$W_{\text{hom}}(F) = W^{(1)}(F) = \oint_{\Box} W(y, F + \nabla \phi_F) \, dy$$

for a corrector  $\phi_F \in W^{1,p}_{per}(\Box)$  (unique up to a constant).

• (regularity of  $W_{hom}$ ).  $W_{hom}$  is  $C^3$  in neighborhood to SO(d) and  $DW_{hom}(F)[G] = \int_{\Box} DW(y, F + \nabla \phi_F)[G] \, dy$ 

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

## Validity of the single-cell formula for small strains



$$egin{aligned} \mathcal{I}_arepsilon(u) &:= & \int_\Omega W(rac{x}{arepsilon}, 
abla u) - f \cdot u \, dx, \ \mathcal{I}_{ ext{hom}}(u) &:= & \int_\Omega W_{ ext{hom}}(
abla u) - f \cdot u \, dx, \ & ext{subject to affine boundary condition } u(x) = Gx ext{ on } \partial\Omega \quad (BC) \end{aligned}$$

**Theorem 2:** (Quantitative two-scale expansion) [N. & Schöffner ARMA'18] Let r > d. There exists  $\bar{\rho} > 0$ . Suppose smallness of the data in form of

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

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

(b) Every minimizer  $u_{\varepsilon} \in W_0^{1,p}(\Omega)$  of  $\mathcal{I}_{\varepsilon}$  subject to (BC) satisfies

$$\|u_{\varepsilon}-u_{0}\|_{L^{2}(\Omega)}+\|u_{\varepsilon}-(u_{0}+\varepsilon\nabla\phi_{\nabla u_{0}}(\frac{\cdot}{\varepsilon}))\|_{H^{1}(\Omega)}$$
  
$$\lesssim \varepsilon^{\frac{1}{2}}\Lambda(f,G).$$

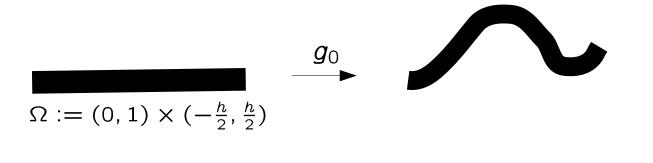
$$\begin{split} \mathcal{I}_{\varepsilon}(u) &:= \int_{\Omega} W(\frac{x}{\varepsilon}, \nabla u) - f \cdot u \, dx, \\ \mathcal{I}_{hom}(u) &:= \int_{\Omega} W_{hom}(\nabla u) - f \cdot u \, dx, \\ \text{subject to} & u = g \text{ on } \partial\Omega \quad (\mathsf{BC}) \end{split}$$

$$\begin{aligned} \textbf{Theorem 2: (Quantitative two-scale expansion)} & [N \& \text{Schöffner ARMA18}] \\ \text{Let } r > d. \text{ There exists } \bar{\rho} > 0. \text{ Suppose smallness of the data,} \\ & \Lambda(f, g, g_0) := \|f\|_{L^{r}(\Omega)} + \|g - g_0\|_{W^{2,r}(\Omega)} + \|\operatorname{dist}(\nabla g_0, SO(d))\|_{L^{\infty}(\Omega)} \leq \bar{\rho}. \\ \text{where } g_0 \in W^{2,r}(\mathbb{R}^d) \text{ satisfies } -\operatorname{div} DW_{hom}(\nabla g_0) = 0. \\ \end{aligned} (a) \mathcal{I}_{hom} \text{ admits a unique minimizer } u_0 \in W^{1,p}(\Omega) \text{ subject to (BC).} \\ \end{aligned} (b) \text{ All } u_{\varepsilon} \in W_0^{1,p}(\Omega) \text{ with (BC) satisfy} \\ & \|u_{\varepsilon} - u_0\|_{L^{2}(\Omega)} + \|u_{\varepsilon} - (u_0 + \varepsilon \nabla \phi_{\nabla u_0}(\frac{1}{\varepsilon}))\|_{H^{1}(\Omega)} \\ & \lesssim \varepsilon^{\frac{1}{2}} \Lambda(f, g, g_0) + (\mathcal{I}_{\varepsilon}(u_{\varepsilon}) - \operatorname{inf} \mathcal{I}_{\varepsilon})^{\frac{1}{2}} \\ & + \varepsilon(1 + \|\nabla^2 g_0\|_{L^{r}(\Omega)}^{\frac{r}{r-q}})(\|\nabla^2 g_0\|_{L^{r}(\Omega)} + \Lambda(f, g, g_0)). \end{aligned}$$

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**Theorem 2:** (Quantitative two-scale expansion) [N. & Schöffner ARMA'18] Let r > d. There exists  $\bar{\rho} > 0$ . Suppose smallness of the data,  $\Lambda(f, g, g_0) := \|f\|_{L^r(\Omega)} + \|g - g_0\|_{W^{2,r}(\Omega)} + \|\operatorname{dist}(\nabla g_0, SO(d))\|_{L^{\infty}(\Omega)} \leq \bar{\rho}.$ 

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



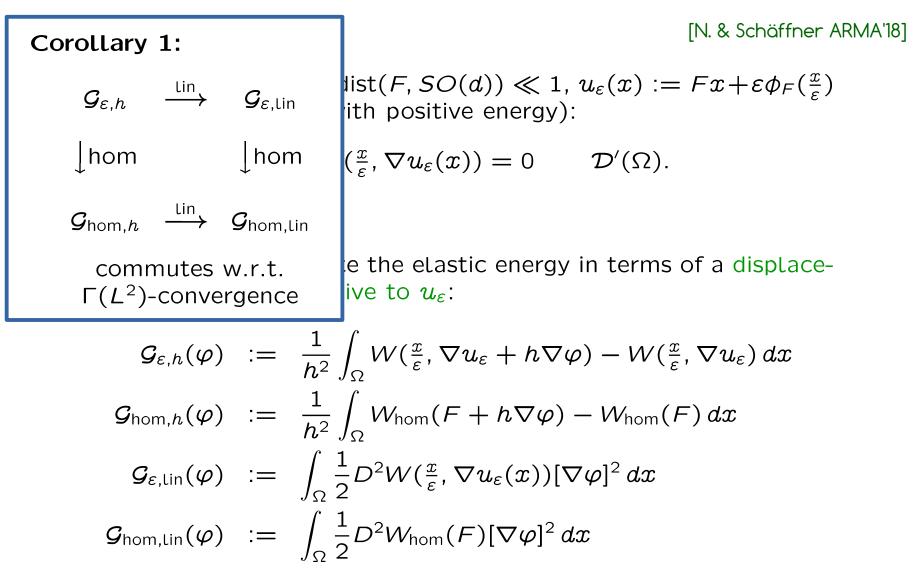
[N. & Schäffner ARMA'18]

Our result implies: For dist(F, SO(d))  $\ll 1, u_{\varepsilon}(x) := Fx + \varepsilon \phi_F(\frac{x}{\varepsilon})$  is a equilibrium state (with positive energy):

$$-
abla \cdot DW(rac{x}{arepsilon},
abla u_{arepsilon}(x))=0$$
  $\mathcal{D}'(\Omega).$ 

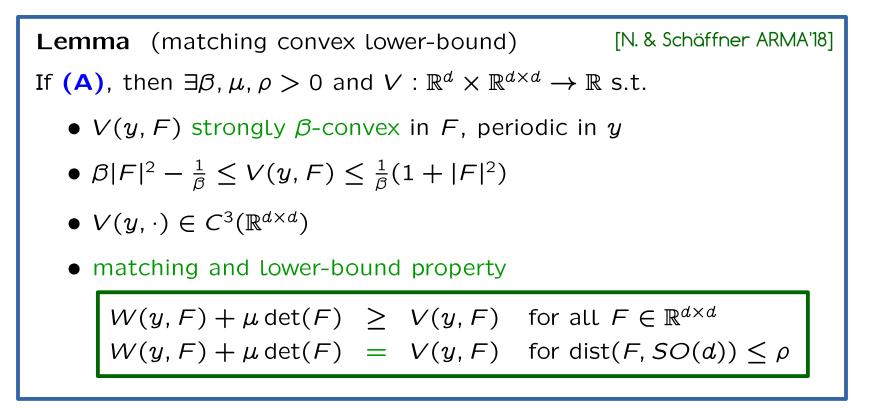
Motivated by this, rewrite the elastic energy in terms of a displacement  $\varphi \in W_0^{1,p}(\Omega)$  relative to  $u_{\varepsilon}$ :

$$\begin{split} \mathcal{G}_{\varepsilon,h}(\varphi) &:= \frac{1}{h^2} \int_{\Omega} W(\frac{x}{\varepsilon}, \nabla u_{\varepsilon} + h \nabla \varphi) - W(\frac{x}{\varepsilon}, \nabla u_{\varepsilon}) \, dx \\ \mathcal{G}_{\hom,h}(\varphi) &:= \frac{1}{h^2} \int_{\Omega} W_{\hom}(F + h \nabla \varphi) - W_{\hom}(F) \, dx \\ \mathcal{G}_{\varepsilon, \min}(\varphi) &:= \int_{\Omega} \frac{1}{2} D^2 W(\frac{x}{\varepsilon}, \nabla u_{\varepsilon}(x)) [\nabla \varphi]^2 \, dx \\ \mathcal{G}_{\hom, \min}(\varphi) &:= \int_{\Omega} \frac{1}{2} D^2 W_{\hom}(F) [\nabla \varphi]^2 \, dx \end{split}$$



### Comments on the proof of Theorem 1 (one-cell formula)

Matching convex lower bound Lipschitz estimates for monotone systems



Variant of [Friesecke & Theil: J.Nonl.Sci.'02 ], [Conti et al: JEMS'06] (context: atomistic modeling).

det(·) Null-Lagrangian 
$$\Rightarrow$$
 (W+ $\mu$  det)<sub>hom</sub> = W<sub>hom</sub> +  $\mu$  det

Relate  $W_{\text{hom}}$  and  $V_{\text{hom}}$ 

• Poly-convex lower bound:

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

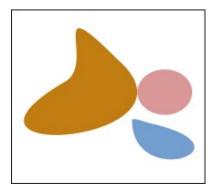
• Exploit matching property:

$$\begin{aligned} |\operatorname{dist}(F + \nabla \phi_F, SO(d))||_{L^{\infty}(\Box)} < \delta \\ \Rightarrow \quad W_{\operatorname{hom}}(F) = V_{\operatorname{hom}}^{(1)}(F) - \mu \operatorname{det} F = W_{\operatorname{hom}}^{(1)}(F) \end{aligned}$$

- Energy estimate:  $\| \operatorname{dist}(F + \nabla \phi_F, SO(d)) \|_{L^2(\Box)} \leq \operatorname{dist}(F, SO(d))$ (not enough  $\boxtimes$ ).
- Exploit regularity condition (R) to get Lipschitz estimate for  $\phi_F$ :

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

### (R3) (piecewise smooth composite)



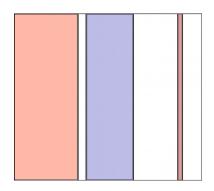
Geometry of microstructure as in [Li & Nirenberg: CPAM'03] (Lipschitz estimates linear systems)

[Byun, Ryu & Wang '10, Byun & Kim '16 & '17] (*L*<sup>p</sup> Gradient estimates for linear systems and scalar monotone equations)

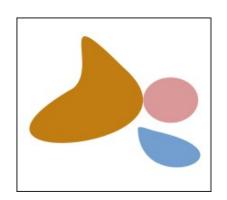
Comments on the proof of Theorem 1 (one-cell formula)

Matching convex lower bound





•  $\mathcal{D} := \{D_\ell\}_{\ell \in \mathbb{Z}}$  is a *Laminate*, if  $D_\ell = \{x \in \mathbb{R}^d : h_\ell < x \cdot e < h_{\ell+1}\}$ for a direction  $e \in \mathbb{R}^d$  and a strictly monotone sequence  $\{h_\ell\}_{\ell \in \mathbb{Z}}$ 



•  $\mathcal{D} := \{D_\ell\}_{\ell \in \mathbb{Z}}$  is (E, s)-regular (where  $0 < s \leq 1$  and  $E < \infty$ ), if it is a mutually disjoint partition of  $\mathbb{R}^d$  and for all  $x \in \mathbb{R}^d$  there exists a laminate  $\mathcal{D}_x$  s.t.

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

where  $\triangle$  denote the symmetric difference.

Strongly elliptic monotone system of class  $\mathcal{A}_{\beta}$  (with  $\beta \in (0, 1]$ )  $\boldsymbol{a} \in \mathcal{A}_{\beta}$  iff  $\boldsymbol{a} : \mathbb{R}^{d \times d} \to \mathbb{R}^{d \times d}$  satisfies for all  $F, G \in \mathbb{R}^{d \times d}$ 

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

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

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

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

[N. & Schäffner] **Proposition 1:** (Local Lipschitz estimate for monotone systems) Suppose **a** is a (E, s)-regular coefficient field of class  $\mathcal{A}_{\mathcal{B}}$ Given q > d,  $\exists \overline{\kappa} > 0$  and  $c \in [1, \infty)$  such that: Suppose  $u \in H^1(B_1)$  and  $f \in L^q(B_1)$  satisfy  $-\nabla \cdot \boldsymbol{a}(x, \nabla u) = f$  in  $\mathscr{D}'(B_1)$ , and the smallness condition  $||f||_{L^{q}(B_{1})} + ||\nabla u||_{L^{2}(B_{1})} \leq \begin{cases} \infty & \text{if } d = 2\\ \overline{\kappa} & \text{if } d > 3 \end{cases}$ Then.  $\|\nabla u\|_{L^{\infty}(B_{\frac{1}{2}})} \leq c(\|\nabla u\|_{L^{2}(B_{1})} + \|f\|_{L^{q}(B_{1})}).$ 

homogeneous case (a(x, F) = a(F)):
 ε-regularity statements: (see e.g. textbooks [Giaquinta], [Giusti])
 ∀α ∈ (0, 1) ∃ε > 0 such that for any u a-harmonic:

$$E(\nabla u, B_R) := \min_{a} \left( \oint_{B_R} |\nabla u - a|^2 \right)^{\frac{1}{2}} \le \varepsilon \qquad \text{(smallness condition)}$$
  
$$\Rightarrow E(\nabla u, B_r) \lesssim \left(\frac{r}{R}\right)^{\alpha} E(\nabla u, B_R) \qquad \text{(excess decay)}$$

- *e*<sub>d</sub>-layered case:
  - controll decay of abla' u and  $oldsymbol{a}(\cdot, 
    abla u) e_d$
  - combine with strong ellipticity  $\Rightarrow$  excess decay of  $\nabla u$

• (*E*, *s*)-regular coefficients:

... are locally close to layered coefficients. Perturbation argument in the spirit of [Kuusi & Mingione '12], [Byun & Kim '17]

Application: Uniform Lipschitz estimates

• Lipschitz-estimate (strongly-elliptic, constant-coefficient system):

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

• [Avellaneda, Lin '87] Consider  $\mathbb{L} \in C^{0,\alpha}(\mathbb{R}^d, \mathbb{R}^{d^4})$  is periodic & uniformly elliptic. Homogenization:  $(-\nabla \cdot \mathbb{L}(\frac{\cdot}{\varepsilon})\nabla)^{-1} \rightarrow (-\nabla \cdot \mathbb{L}_{hom}\nabla)^{-1}$ Philosophy: Lift good regularity of  $\mathbb{L}_{hom}$  to  $\mathbb{L}_{\varepsilon}$ . Uniform estimate:  $\exists c < \infty$  such that for all  $\varepsilon \in (0, 1)$ :

$$-\nabla \cdot (\mathbb{L}_{\varepsilon} \nabla u) = 0 \quad \text{in } \mathscr{D}'(B) \quad \Rightarrow \quad \|\nabla u\|_{L^{\infty}(\frac{1}{2}B)}^{2} \leq c \oint_{B} |\nabla u|^{2}$$

• Recent developments: **stochastic homogenization and large-scale regularity**, e.g., [Armstrong, Smart '14], [Gloria, Neukamm, Otto '14], [Armstrong, Mourrat '16], ...

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

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

**Theorem 3:** (Uniform Lipschitz estimate) [N. & Schöffner] Let q > d and  $\varepsilon_n = \frac{1}{n}$ ,  $n \in \mathbb{N}$ . There exists  $\overline{\rho} > 0$ . Suppose smallness of the data in form of

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

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

 $\|\operatorname{dist}(\nabla u_{\varepsilon_n}, SO(d))\|_{L^{\infty}(\Box)} \leq C \operatorname{dist}(G, SO(d)) + \|f\|_{L^q(\Box)}$ 

and

$$-\nabla \cdot DW(\frac{x}{\varepsilon_n}, \nabla u_{\varepsilon_n}) = f$$
 in  $\mathscr{D}'(\Box)$ 

Suppose

$$abla \cdot oldsymbol{a}(x, 
abla u) = 0$$
 in  $\mathscr{D}'(B_R)$  with  $1 \ll R$ 

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

$$\widetilde{E}(\nabla u, B_R) := \inf_{F \in \mathbb{R}^{d \times d}} \left( \oint_{B_R} |\nabla u - (F + \nabla \phi_F)|^2 \right)^{\frac{1}{2}} \leq \begin{cases} +\infty & \text{if } d = 2, \\ \kappa & \text{if } d \geq 3 \end{cases}$$

Then,

• Large-scale (intrinsic) excess decay: for all  $\gamma' \in (0, \gamma)$ 

$$\widetilde{E}(
abla u, B_r) \lesssim_{\gamma'} \left(rac{r}{R}
ight)^{\gamma'} \widetilde{E}(
abla u, B_R) \qquad ext{for all } r \geq 1,$$

- Large-scale Lipschitz estimate:  $\int_{B_1} |\nabla u|^2 \lesssim \int_{B_R} |\nabla u|^2$ .
- Lipschitz estimate (all scales):

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

(here we exploit (E, s)-regularity of  $\boldsymbol{a}$ )

#### Summary:

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

<u>Outlook:</u>

- quantitative homogenization/linearization close to rotations
- quantitative stochastic homogenization in nonlinear elasticity

References:

- S. Neukamm, M. Schäffner. Quantitative homogenization in non-linear elasticity for small loads, *Archive for Rational Mechanics and Analysis* (online first) *arXiv:1703.07947* (one cell formula / error estimate for smooth / layered coefficients)
- S. Neukamm, M. Schäffner. Lipschitz estimates and existence of correctors for nonlinearly elastic, periodic composites subject to small strains. *(arXiv preprint)*