

# Introduction to the Calculus of Variations: Lecture 18

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## Direct methods

Dirichlet Integral

Integrands depending only on the gradient

Integrands with  $x$  dependence

Integrands with  $x$  and  $u$  dependence

Weak lower semicontinuity

Existence of minimizer

Euler-Lagrange Equations

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## Theorem (Scorza-Dragoni)

*Let  $\Omega \subset \mathbb{R}^n$  be bounded and measurable*

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### Theorem (Scorza-Dragoni)

*Let  $\Omega \subset \mathbb{R}^n$  be bounded and measurable and let  $S \subset \mathbb{R}^M$  be compact.*

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Let  $\Omega \subset \mathbb{R}^n$  be bounded and measurable and let  $S \subset \mathbb{R}^M$  be **compact**. Let  $f : \Omega \times \mathbb{R}^M \rightarrow \mathbb{R} \cup \{+\infty\}$  be a Carathéodory function. Then for every  $\varepsilon > 0$ , there exists a compact set  $K_\varepsilon \subset \Omega$  such that

$$|\Omega \setminus K_\varepsilon| < \varepsilon$$

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The proof is both delicate and technical, using the Egoroff theorem and the Lusin theorem. Since it would be quite difficult to follow on slides, we relegate the proof to the Lecture Notes.

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### Theorem (weak lower semicontinuity: the general case)

*Let  $n \geq 2, N \geq 1$  be integers*

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## Weak lower semicontinuity: general case

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### Theorem (weak lower semicontinuity: the general case)

Let  $n \geq 2$ ,  $N \geq 1$  be integers and  $1 \leq p < \infty$ . Let  $\Omega \subset \mathbb{R}^n$  be open, bounded and smooth

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$$f : \Omega \times \mathbb{R}^N \times \mathbb{R}^{N \times n} \rightarrow \mathbb{R} \cup \{+\infty\}, \quad f = f(x, u, \xi)$$

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$$I[u] := \int_{\Omega} f(x, u(x), \nabla u(x)) \, dx.$$

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for a.e.  $x \in \Omega$ , for every  $(u, \xi) \in \mathbb{R}^N \times \mathbb{R}^{N \times n}$  for some  $a \in L^{p'}(\Omega; \mathbb{R}^{N \times n})$ ,  $b \in L^1(\Omega)$ ,  $c \in \mathbb{R}$ ,  $1 \leq r < \frac{np}{n-p}$  if  $1 \leq p < n$  and  $1 \leq r < \infty$  if  $n \leq p < \infty$ . Let

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Let  $\xi \mapsto f(x, u, \xi)$  be convex for a.e.  $x \in \Omega$  and for every  $u \in \mathbb{R}^N$ . Let  $u_s \rightharpoonup u$  weakly in  $W^{1,p}(\Omega; \mathbb{R}^N)$ .

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for a.e.  $x \in \Omega$ , for every  $(u, \xi) \in \mathbb{R}^N \times \mathbb{R}^{N \times n}$  for some  $a \in L^{p'}(\Omega; \mathbb{R}^{N \times n})$ ,  $b \in L^1(\Omega)$ ,  $c \in \mathbb{R}$ ,  $1 \leq r < \frac{np}{n-p}$  if  $1 \leq p < n$  and  $1 \leq r < \infty$  if  $n \leq p < \infty$ . Let

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Let  $\xi \mapsto f(x, u, \xi)$  be convex for a.e.  $x \in \Omega$  and for every  $u \in \mathbb{R}^N$ . Let  $u_s \rightharpoonup u$  weakly in  $W^{1,p}(\Omega; \mathbb{R}^N)$ . Then we have

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### Theorem (weak lower semicontinuity: the general case)

Let  $n \geq 2$ ,  $N \geq 1$  be integers and  $1 \leq p < \infty$ . Let  $\Omega \subset \mathbb{R}^n$  be open, bounded and smooth and let

$f : \Omega \times \mathbb{R}^N \times \mathbb{R}^{N \times n} \rightarrow \mathbb{R} \cup \{+\infty\}$ ,  $f = f(x, u, \xi)$  be a Carathéodory function satisfying

$$f(x, u, \xi) \geq \langle a(x), \xi \rangle + b(x) + c|u|^r$$

for a.e.  $x \in \Omega$ , for every  $(u, \xi) \in \mathbb{R}^N \times \mathbb{R}^{N \times n}$  for some  $a \in L^p(\Omega; \mathbb{R}^{N \times n})$ ,  $b \in L^1(\Omega)$ ,  $c \in \mathbb{R}$ ,  $1 \leq r < \frac{np}{n-p}$  if  $1 \leq p < n$  and  $1 \leq r < \infty$  if  $n \leq p < \infty$ . Let

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$$\liminf_{s \rightarrow \infty} I[u_s] \geq I[u].$$

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**Proof.** We begin by noting that we can assume  $f \geq 0$ .

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**Proof.** We begin by noting that we can assume  $f \geq 0$ . Indeed, we can replace  $f$  by

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**Proof.** We begin by noting that we can assume  $f \geq 0$ . Indeed, we can replace  $f$  by

$$g(x, u, \xi) := f(x, u, \xi) - \langle a(x), \xi \rangle + b(x) + c|u|^r.$$

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By our assumption on the exponent  $r$  and Rellich-Kondrachov theorem,

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By our assumption on the exponent  $r$  and Rellich-Kondrachov theorem, we know

$$u_s \rightharpoonup u \quad \text{in } W^{1,p}(\Omega; \mathbb{R}^N) \quad \Rightarrow \quad u_s \rightarrow u \quad \text{in } L^r(\Omega; \mathbb{R}^N).$$

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This last convergence implies

$$\|u_s\|_{L^r(\Omega; \mathbb{R}^N)} \rightarrow \|u\|_{L^r(\Omega; \mathbb{R}^N)}.$$

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Thus, we easily deduce

$$\begin{aligned} \liminf_{s \rightarrow \infty} \int_{\Omega} g(x, u_s(x), \nabla u_s(x)) \, dx &= \int_{\Omega} g(x, u(x), \nabla u(x)) \, dx \\ &= \liminf_{s \rightarrow \infty} \int_{\Omega} f(x, u_s(x), \nabla u_s(x)) \, dx - \int_{\Omega} f(x, u(x), \nabla u(x)) \, dx. \end{aligned}$$

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Thus, it is enough to prove the theorem with the additional assumption that  $f \geq 0$ .

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Let us first complete the proof assuming the claim.

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$$\begin{aligned} L &= \liminf_{j \rightarrow \infty} \int_{\Omega} f(x, u_{s_j}(x), \nabla u_{s_j}(x)) \, dx \\ &\geq \liminf_{j \rightarrow \infty} \int_{\Omega_\varepsilon} f(x, u_{s_j}(x), \nabla u_{s_j}(x)) \, dx \end{aligned}$$

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$$\begin{aligned} L &= \liminf_{j \rightarrow \infty} \int_{\Omega} f(x, u_{s_j}(x), \nabla u_{s_j}(x)) \, dx \\ &\geq \liminf_{j \rightarrow \infty} \int_{\Omega_\varepsilon} f(x, u_{s_j}(x), \nabla u_{s_j}(x)) \, dx \\ &\geq \liminf_{j \rightarrow \infty} \int_{\Omega_\varepsilon} f(x, u(x), \nabla u_{s_j}(x)) \, dx - \varepsilon |\Omega| \\ &\geq \int_{\Omega_\varepsilon} f(x, u(x), \nabla u(x)) \, dx - \varepsilon |\Omega| \\ &= \int_{\Omega} \mathbb{1}_{\Omega_\varepsilon}(x) f(x, u(x), \nabla u(x)) \, dx - \varepsilon |\Omega|. \end{aligned}$$

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Note that by monotone convergence

$$\int_{\Omega} \mathbb{1}_{\Omega_\varepsilon}(x) f(x, u(x), \nabla u(x)) \, dx \rightarrow \int_{\Omega} f(x, u(x), \nabla u(x)) \, dx$$

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as  $\varepsilon \rightarrow 0$ .

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as  $\varepsilon \rightarrow 0$ . So letting  $\varepsilon \rightarrow 0$ , we prove the conclusion.

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**Claim.** There exists a measurable set  $\Omega_\varepsilon \subset \Omega$  and a subsequence  $\{s_j\}_{j \geq 1}$  with  $s_j \rightarrow +\infty$  such that

$$|\Omega \setminus \Omega_\varepsilon| < \varepsilon,$$

$$\int_{\Omega_\varepsilon} |f(x, u_{s_j}(x), \nabla u_{s_j}(x)) - f(x, u(x), \nabla u_{s_j}(x))| \, dx < \varepsilon |\Omega|$$

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$$|\{x \in \Omega : |h(x)| \geq t\}| \leq \frac{1}{t^q} \int_{|h| \geq t} |h(x)|^q \, dx \leq \frac{1}{t^q} \|h\|_{L^q(\Omega; \mathbb{R}^N)}^q.$$

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where

$$\Omega_{\varepsilon_j, s}^1 := \{x \in \Omega : |u(x)|, |u_s(x)|, |\nabla u_s(x)| < M_{\varepsilon_j} \text{ for every } s \geq 1\}.$$

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and the Chebyshev's inequality, we can find  $s_{\varepsilon_j} \in \mathbb{N}$  such that if

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Now since  $f$  is Carathéodory, applying the Scorza-Dragoni theorem, we find a compact set  $\Omega_{\varepsilon_j, s}^2 \subset \Omega_{\varepsilon_j, s}^1$  such that

$$\left| \Omega_{\varepsilon_j, s}^1 \setminus \Omega_{\varepsilon_j, s}^2 \right| < \frac{\varepsilon_j}{3} \quad \text{and } f|_{\Omega_{\varepsilon_j, s}^2 \times S_{\varepsilon_j}} \text{ is continuous,}$$

where

$$S_{\varepsilon} := \{(u, \xi) \in \mathbb{R}^N \times \mathbb{R}^{N \times n} : |u|, |\xi| < M_{\varepsilon_j}\}.$$

Hence, by continuity, there exists  $\delta(\varepsilon_j) > 0$  such that

$$|u - v| < \delta(\varepsilon_j) \quad \Rightarrow \quad |f(x, u, \xi) - f(x, v, \xi)| < \varepsilon_j$$

for all  $x \in \Omega_{\varepsilon_j, s}^2$ , for all  $|u|, |v|, |\xi| < M_{\varepsilon_j}$ .

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$$\Omega_{\varepsilon_j, s}^3 := \{x \in \Omega : |u_s(x) - u(x)| < \delta(\varepsilon_j)\},$$

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then

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for every  $s \geq s_{\varepsilon_j}$ .

Now we choose  $\varepsilon_j := 2^{-j}\varepsilon$  for  $j \geq 1$ . For every  $j \geq 1$ , we pick an natural number  $s_j \geq s_{\varepsilon_j}$  such that  $s_j \rightarrow \infty$  as  $j \rightarrow \infty$ . Finally, we set

$$\Omega_\varepsilon = \bigcap_{j=1}^{\infty} \Omega_{\varepsilon_j, s_{\varepsilon_j}}.$$

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Thus, we have

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Thus, we have

$$|\Omega \setminus \Omega_\varepsilon| \leq \sum_{j=1}^{\infty} |\Omega \setminus \Omega_{\varepsilon_j, s_{\varepsilon_j}}| < \sum_{j=1}^{\infty} \varepsilon_j = \varepsilon \left( \sum_{j=1}^{\infty} \frac{1}{2^j} \right) = \varepsilon.$$

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Thus, we have

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Also, for every  $j \geq 1$ , we have

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Also, for every  $j \geq 1$ , we have

$$\int_{\Omega_\varepsilon} |f(x, u_{s_j}(x), \nabla u_{s_j}(x)) - f(x, u(x), \nabla u(x))| \, dx < \varepsilon_j |\Omega| < \varepsilon |\Omega|.$$

Thus, we have

$$|\Omega \setminus \Omega_\varepsilon| \leq \sum_{j=1}^{\infty} |\Omega \setminus \Omega_{\varepsilon_j, s_{\varepsilon_j}}| < \sum_{j=1}^{\infty} \varepsilon_j = \varepsilon \left( \sum_{j=1}^{\infty} \frac{1}{2^j} \right) = \varepsilon.$$

Also, for every  $j \geq 1$ , we have

$$\int_{\Omega_\varepsilon} |f(x, u_{s_j}(x), \nabla u_{s_j}(x)) - f(x, u(x), \nabla u(x))| \, dx < \varepsilon_j |\Omega| < \varepsilon |\Omega|.$$

This proves the claim and finishes the proof of the theorem.  $\square$

## Theorem

*Let  $n \geq 2, N \geq 1$  be integers,*

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# Existence of minimizer: the general case

## Theorem

Let  $n \geq 2$ ,  $N \geq 1$  be integers,  $1 < p < \infty$

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## Theorem

Let  $n \geq 2$ ,  $N \geq 1$  be integers,  $1 < p < \infty$  and let  $\Omega \subset \mathbb{R}^n$  be open bounded and smooth.

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## Theorem

Let  $n \geq 2$ ,  $N \geq 1$  be integers,  $1 < p < \infty$  and let  $\Omega \subset \mathbb{R}^n$  be open bounded and smooth. Let  $u_0 \in W^{1,p}(\Omega; \mathbb{R}^N)$  be given.

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$$f(x, u, \xi) \geq c_1 |\xi|^p + c_2 |u|^q + b(x)$$

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for a.e.  $x \in \Omega$ , for every  $(u, \xi) \in \mathbb{R}^N \times \mathbb{R}^{N \times n}$

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If  $I[u_0] < \infty$ , then the following problem

$$\inf \left\{ I[u] : u \in u_0 + W_0^{1,p}(\Omega; \mathbb{R}^N) \right\} = m$$

admits a minimizer.

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**Proof.** Let  $\{u_s\}_{s \geq 1}$  be a minimizing sequence.

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By Poincaré inequality,

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By Poincaré inequality, we can find constants  $\gamma_3, \gamma_4, \gamma_5 > 0$  such that

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Since  $1 \leq q < p$ ,

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$$m + 1 \geq \gamma_7 \|u_s\|_{W^{1,p}(\Omega; \mathbb{R}^N)}^p - \gamma_8.$$

This implies  $\{u_s\}_{s \geq 1}$  is uniformly bounded in  $W^{1,p}$ .

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The rest follows the same way as before using the weak lower semicontinuity theorem.

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dependence

Weak lower semicontinuity

**Existence of minimizer**

Euler-Lagrange Equations

The End

Since  $1 \leq q < p$ , we can find constants  $\gamma_7, \gamma_8 > 0$  such that

$$m + 1 \geq \gamma_7 \|u_s\|_{W^{1,p}(\Omega; \mathbb{R}^N)}^p - \gamma_8.$$

This implies  $\{u_s\}_{s \geq 1}$  is uniformly bounded in  $W^{1,p}$ .

The rest follows the same way as before using the weak lower semicontinuity theorem. The inequality in the hypothesis can be easily verified from the coercivity inequality

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**Thank you**  
*Questions?*