#### Introduction to the Calculus of Variations

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#### Prelude to Direct Methods

Geodesics: the problem

Absolute continuity: first encounter with Sobolev spaces

Existence of geodesics

The End

# Introduction to the Calculus of Variations: Lecture 9

Swarnendu Sil

Department of Mathematics Indian Institute of Science

Spring Semester 2021

# Outline

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Existence of geodesics

Regularity questions

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# **Prelude to Direct Methods**

Geodesics: the problem Absolute continuity: first encounter with Sobolev spaces Existence of geodesics Regularity questions

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- direct methods for existence (this will return and stay with us from chapter 4 onwards)

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- noncompactness due to group action and a possible way to overcome it

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- direct methods for existence (this will return and stay with us from chapter 4 onwards)
- noncompactness due to group action and a possible way to overcome it ( this would return when we study the area functional in the last chapter)
- regularity questions ( we shall take it up again the chapter 5)

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Let *M* be an *N*-dimensional smooth embedded submanifold of  $\mathbb{R}^d$ .

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The length of the curve is

$$L(c) := \int_0^T |\dot{c}(t)| \, \mathrm{d}t.$$

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Our aim is to find a curve connecting  $p_1$  and  $p_2$  which has the shortest length.

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So our first try for the variational problem is

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So our first try for the variational problem is

$$\inf \{L(c): c \in C^1([0, T]; \mathbb{R}^d), c(0) = p_1, c(T) = p_2.\} = m.$$

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But clearly this can not be the variational problem.

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But clearly this can not be the variational problem. It has no reference to M whatsoever!

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Now there are two ways we can bring M into the picture.

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Now there are two ways we can bring M into the picture. One is if M is given by some equations

$$M = \left\{ x \in \mathbb{R}^d : G_{\alpha}\left(x\right) = 0 \text{ for all } \alpha \in \mathcal{I} 
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then we can treat this as a variational problem with additional constraints

 $G_{\alpha}\left(c(t)
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then we can treat this as a variational problem with additional constraints

 $G_{\alpha}(c(t)) = 0$  for all  $\alpha \in \mathcal{I}$ .

However, here we shall not take this path and instead introduce local charts in M.

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# **Local charts** Let $p \in M$ .

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# Local charts

Let  $p \in M$ . A local chart around p is a map  $f: U \subset \mathbb{R}^N \to V \subset \mathbb{R}^d$ 

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Let  $p \in M$ . A local chart around p is a map  $f: U \subset \mathbb{R}^N \to V \subset \mathbb{R}^d$  such that

 $\blacktriangleright$  U, V are open sets in the respective Euclidean spaces,

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- ▶ U, V are open sets in the respective Euclidean spaces,
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- ▶  $p \in f(U)$  and
- f is a smooth diffeomorphism onto its image.

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Now since f is a diffeomorphism, for any curve c(t) which is contained inside a single chart, i.e.  $c([0, T]) \subset f(U)$ ,

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Existence of geodesics

Let  $p \in M$ . A local chart around p is a map  $f: U \subset \mathbb{R}^N \to V \subset \mathbb{R}^d$  such that

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# the metric tensor of M

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the **metric tensor** of *M* with respect to the chart  $f : U \rightarrow V$ .

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such that  $c([t_k, t_{k+1}])$ 

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The diffeomorphism

$$f_{2}^{-1} \circ f_{1} : f_{1}^{-1} \left( f_{1} \left( U_{1} \right) \cap f_{2} \left( U_{2} \right) \right) \to f_{2}^{-1} \left( f_{1} \left( U_{1} \right) \cap f_{2} \left( U_{2} \right) \right)$$

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We shall always work with the simplifying assumption that the curve is contained in a single chart just for clarity. In general, a manifold would be covered by a collection of charts  $\{(f_{\beta}, U_{\beta})\}_{\beta}$  (called an atlas). Given a curve *c* on *M*, we can always find a partition

$$0 = t_0 < t_1 < \ldots < t_r < T$$

such that  $c([t_k, t_{k+1}])$  is contained in a single chart and then we would write the length functional as sum of the integrals. It might appear that the length of a curve depends on the chart chosen. But it does not. If  $c(0, T) \subset f_1(U_1) \cap f_2(U_2)$ , then one can check we have

$$\int_0^T \left(g_{ij}^1\left(\gamma_1\left(t\right)\right)\dot{\gamma_1^i}\left(t\right)\dot{\gamma_1^j}\left(t\right)\right)^{\frac{1}{2}} \mathrm{d}t = \int_0^T \left(g_{ij}^2\left(\gamma_2\left(t\right)\right)\dot{\gamma_2^i}\left(t\right)\dot{\gamma_2^j}\left(t\right)\right)^{\frac{1}{2}} \mathrm{d}t,$$

where

$$f_1 \circ \gamma_1 = c = f_2 \circ \gamma_2.$$

The diffeomorphism

$$f_{2}^{-1} \circ f_{1} : f_{1}^{-1} \left( f_{1} \left( U_{1} \right) \cap f_{2} \left( U_{2} \right) \right) \to f_{2}^{-1} \left( f_{1} \left( U_{1} \right) \cap f_{2} \left( U_{2} \right) \right)$$

is called a transition map.

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## The variational problem

Now our variational problem is

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$$\inf_{\gamma \in X} \left\{ \int_0^T \left( g_{ij}(\gamma(t)) \dot{\gamma^i}(t) \dot{\gamma^j}(t) \right)^{\frac{1}{2}} \mathrm{d}t \right\} = m.$$

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$$X = \{: \gamma \in C^{1}([0, T]; U) : \gamma(0) = f^{-1}(p_{1}), \gamma(T) = f^{-1}(p_{2})\}.$$

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Now we attempt to solve it via direct methods.

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Now we attempt to solve it via direct methods.

But it is a quite difficult one and we need to slowly move towards it.

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$$L(c_{
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Now we see one of the first difficulties.

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Now we see one of the first difficulties. We obtained an uniform bound for the  $L^1$  norm of the derivatives

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Now we see one of the first difficulties. We obtained an uniform bound for the  $L^1$  norm of the derivatives and **not** the  $C^0$  norm of the derivatives.

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## So we realize that

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So we realize that  $C^1$  is a terrible class from the point of view of direct methods.

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So we realize that  $C^1$  is a terrible class from the point of view of direct methods. From integral functionals, uniform bounds for some integral norms of the derivatives are the best we can hope for.

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However, we push ahead a bit more.

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So we realize that  $C^1$  is a terrible class from the point of view of direct methods. From integral functionals, uniform bounds for some integral norms of the derivatives are the best we can hope for. So, minimizing sequences would never be uniformly bounded in the  $C^1$  norm!

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So at least the  $C^0$  norm of the minimizing sequences are uniformly bounded. However, this is not good enough for extracting a convergent sequence. (Thus showing  $C^0$  is an equally bad space as  $C^1$ ).

But we were very close.

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## But we were very close. By virtue of the Ascoli-Arzela theorem,

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 $|c_{\nu}(t) - c_{\nu}(s)| \rightarrow 0$  uniformly in  $\nu$  as  $t - s \rightarrow 0$ .

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$$|c_{\nu}(t) - c_{\nu}(s)| \rightarrow 0$$
 uniformly in  $\nu$  as  $t - s \rightarrow 0$ .

From the second inequality, this would be the case if we can conclude

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This property is called **equiintegrability**.

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This property is called **equiintegrability**. Unfortunately, a sequence which is uniformly bounded in  $L^1$  need not be equiintegrable,

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This property is called **equiintegrability**. Unfortunately, a sequence which is uniformly bounded in  $L^1$  need not be equiintegrable, showing  $L^1$  is not a particularly nice space either.

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Let us now make our life a bit easier and try to solve the variational problem

$$\inf_{c\in X}\left\{ E\left(c\right)=\int_{0}^{T}\left|\dot{c}\left(t\right)\right|^{2} \mathrm{d}t\right\} =m,$$

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Arguing as before,

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Arguing as before, for a minimizing sequence  $\{c_{\nu}\}$ ,

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Absolute continuity: first encounter with Sobolev spaces

Existence of geodesics

Let us now make our life a bit easier and try to solve the variational problem

$$\inf_{c\in X}\left\{ E\left(c
ight) = \int_{0}^{T}\left|\dot{c}\left(t
ight)
ight|^{2} \mathrm{d}t
ight\} = m,$$

where

$$X = \left\{ c \in C^1 \left( [0, T]; \mathbb{R}^d \right) : c(0) = p_1, c(T) = p_2 \right\}.$$

Arguing as before, for a minimizing sequence  $\{c_{\nu}\}$ , we now have

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$$E(c_{\nu}) = \|\dot{c_{\nu}}\|^2_{L^2([0,T])} \le m+1.$$

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Arguing as before, for a minimizing sequence  $\{c_{\nu}\}$ , we now have

$$E(c_{\nu}) = \|\dot{c_{\nu}}\|_{L^{2}([0,T])}^{2} \leq m+1.$$

But this time we have a control of the  $L^2$  norm of the derivatives instead of the  $L^1$  norm.

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$$|c_
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$$\begin{split} |c_{\nu}(t)| &\leq |c_{\nu}\left(0\right)| + \left|\int_{0}^{t} \dot{c}_{\nu}(t) \mathrm{d}t\right| \\ & \overset{\mathsf{H\"{o}lder}}{\leq} |p_{1}| + \sqrt{t} \, \|\dot{c}_{\nu}\|_{L^{2}\left([0,T]\right)} \end{split}$$

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Thus  $\{c_{\nu}\}$  is uniformly bounded in  $C^{0}$ .

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## Compactness in C<sup>0</sup>

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Thus,

 $|c_{
u}(t) - c_{
u}(s)| 
ightarrow 0$  uniformly in u as t - s 
ightarrow 0.

Hence by Ascoli-Arzela theorem,

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Hence by Ascoli-Arzela theorem, we deduce that up to the extraction of a subsequence which is not relabelled,

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Hence by Ascoli-Arzela theorem, we deduce that up to the extraction of a subsequence which is not relabelled, we obtain

$$c_{\nu} \rightarrow c$$
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Note that (1) implies for any  $\psi \in C_c^{\infty}([0, T]; \mathbb{R}^d)$ ,

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Note that (1) implies for any  $\psi \in C_c^{\infty}([0, T]; \mathbb{R}^d)$ , we have

$$\int_{0}^{T} \langle \dot{c}_{\nu}, \psi \rangle \to \int_{0}^{T} \langle \mathbf{v}, \psi \rangle \,. \tag{2}$$

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But integrating by parts, we obtain

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$$\int_0^T \langle \dot{c_
u}, \psi 
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(3)

But integrating by parts, we obtain

$$\int_0^T \left< \dot{c_
u}, \psi \right> = - \int_0^T \left< c_
u, \dot{\psi} \right>.$$

By convergence of  $c_{\nu}$  to c in  $C^0$ ,

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(3)

$$\int_{0}^{T} \langle \dot{c}_{\nu}, \psi \rangle = -\int_{0}^{T} \left\langle c_{\nu}, \dot{\psi} \right\rangle.$$
(3)

By convergence of  $c_{\nu}$  to c in  $C^0$ , the RHS above converges to

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But integrating by parts, we obtain

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# v certainly looks way too much like $\dot{c}$ !!

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*v* certainly looks way too much like  $\dot{c}!!$  Indeed, if we knew *c* is  $C^1$ , the above formula would indeed tell us  $v = \dot{c}$  using integration by parts and the fundamental lemma of calculus of variations.

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Unfortunately, we have no way of knowing at this point that c is  $C^1$ .

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But how can a function which might not be differentiable have a 'derivative' ??

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Definition (weak derivatives)

Let  $u \in L^1([0, T]; \mathbb{R}^d)$ .

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The End

# **Thank you** *Questions?*