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Of The Symmetric Gradient**

Martin Fuchs and Sergey Repin

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Martin Fuchs

Saarland University
Dep. of Mathematics
P.O. Box 15 11 50
D-66041 Saarbrücken
Germany
fuchs@math.uni-sb.de

Sergey Repin

V.A. Steklov Math. Inst.
St. Petersburg Branch
Fontanka 27
191011 St. Petersburg
Russia
repin@pdmi.ras.ru

Edited by
FR 6.1 – Mathematik
Universität des Saarlandes
Postfach 15 11 50
66041 Saarbrücken
Germany

Fax: + 49 681 302 4443
e-Mail: preprint@math.uni-sb.de
WWW: <http://www.math.uni-sb.de/>

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Abstract

If $\Omega \subset \mathbb{R}^n$ is a bounded Lipschitz domain, we prove the inequality $\|u\|_1 \leq c(n)\text{diam}(\Omega) \int_{\Omega} |\varepsilon^D(u)|$ being valid for functions of bounded deformation vanishing on $\partial\Omega$. Here $\varepsilon^D(u)$ denotes the deviatoric part of the symmetric gradient and $\int_{\Omega} |\varepsilon^D(u)|$ stands for the total variation of the tensor-valued measure $\varepsilon^D(u)$. Further results concern possible extensions of this Poincaré-type inequality.

A technical ingredient of the fundamental research of G. A. Seregin on the regularity theory for problems from plasticity theory (see, e.g., [Se1–12] and [FuS]) is a collection of Poincaré-type inequalities established by Strauss [Str], Temam and Strang [TS] and by Anzellotti and Giaquinta [AG], in which certain integral norms of the deformation u are estimated in terms of the total variation of the strain tensor $\varepsilon(u)$. The purpose of our note is to show that it is sometimes possible to replace $\varepsilon(u)$ in these inequalities through its deviatoric part. To be precise, suppose that we are given a bounded Lipschitz domain $\Omega \subset \mathbb{R}^n$, $n \geq 2$, and a field $u : \Omega \rightarrow \mathbb{R}^n$. We introduce the symmetric gradient of u

$$\varepsilon(u) := (\varepsilon_{ij}(u))_{1 \leq i, j \leq n}, \quad \varepsilon_{ij}(u) := \frac{1}{2}(\partial_i u^j + \partial_j u^i),$$

and its deviatoric part

$$\varepsilon^D(u) := \varepsilon(u) - \frac{1}{n}(\text{div } u)\mathbf{1}, \quad \mathbf{1} = (\delta_{ij})_{1 \leq i, j \leq n},$$

whenever these expressions make sense. We further denote by $W_s^1(\Omega; \mathbb{R}^n)$ the Sobolev space of all fields $u : \Omega \rightarrow \mathbb{R}^n$, which together with their first weak partial derivatives are in the Lebesgue class $L^s(\Omega; \mathbb{R}^n)$ for some exponent $s \in [1, \infty)$. Moreover, we consider the subspace $\mathring{W}_s^1(\Omega; \mathbb{R}^n)$ of $W_s^1(\Omega; \mathbb{R}^n)$ consisting of all functions vanishing on the boundary of Ω . For a more detailed definition and further properties of these spaces the reader is referred to the monograph of Adams [Ad]. Our first result is in some sense an extension of a Sobolev–Poincaré inequality obtained by Strauss (see [Str], Theorem 1):

THEOREM 1. *There is a constant $c(n)$ such that*

$$(1) \quad \|u\|_{L^1(\Omega)} \leq c(n)\text{diam}(\Omega) \|\varepsilon^D(u)\|_{L^1(\Omega)}$$

holds for any function $u \in \mathring{W}_1^1(\Omega; \mathbb{R}^n)$. If p is some number in $[1, \frac{n}{n-1})$, then for a suitable constant $c(n, p)$ we have

$$(2) \quad \|u\|_{L^p(\Omega)} \leq c(n, p)\text{diam}(\Omega)^{1-n+\frac{n}{p}} \|\varepsilon^D(u)\|_{L^1(\Omega)}$$

for all fields $u \in \mathring{W}_1^1(\Omega; \mathbb{R}^n)$.

Let us add some comments:

- a) In his work Strauss discusses fields from the space $\overset{\circ}{W}_{\frac{n}{n-1}}^1(\Omega; \mathbb{R}^n)$ and proves ([Str], Theorem 1)

$$\|u\|_{L^{\frac{n}{n-1}}(\Omega)} \leq C \|\varepsilon(u)\|_{L^1(\Omega)},$$

whereas in our case only the deviatoric part of the symmetric gradient occurs on the right-hand side. However, on the left-hand side of inequality (2) our techniques do not allow us to include the limit exponent $p = \frac{n}{n-1}$, and so it remains an interesting open question, if (2) is true for this choice of p .

- b) Assume that $n \geq 3$ and fix an exponent $s \in (1, \infty)$. Then, according to Theorem 2 of Reshetnyak's deep paper [Re], we have the Korn-type inequality

$$(3) \quad \|v - P(v)\|_{W_s^1(\Omega)} \leq C \|\varepsilon^D(v)\|_{L^s(\Omega)}$$

valid for all $v \in W_s^1(\Omega; \mathbb{R}^n)$ with a finite constant C depending on n , s and Ω . Here $P(v)$ denotes the projection of v on the kernel of ε^D (space of Killing vectors), which is of finite dimension. If v is smooth having in addition compact support in Ω , then it can be deduced from the representation formula (2.20) in [Re] that $P(v)$ is constant (cf. proof of Theorem 1 for details), and we infer from (3)

$$(4) \quad \|\nabla v\|_{L^s(\Omega)} \leq C \|\varepsilon^D(v)\|_{L^s(\Omega)}$$

for all $v \in \overset{\circ}{W}_s^1(\Omega; \mathbb{R}^n)$. Combining (4) with Poincaré's inequality we obtain

$$\|v\|_{L^s(\Omega)} \leq C \|\varepsilon^D(v)\|_{L^s(\Omega)}$$

again for $v \in \overset{\circ}{W}_s^1(\Omega; \mathbb{R}^n)$, which is the " L^s -variant" of (1) for exponents $s > 1$. We emphasize that it is not possible to derive inequality (1) along these lines, since even $\int_{\Omega} |\varepsilon(u)| dx$ does not dominate each quantity $\int_{\Omega} |\partial u^i / \partial x_j| dx$ for arbitrary fields from $\overset{\circ}{W}_1^1(\Omega; \mathbb{R}^n)$. Counterexamples can be traced in the works of Mitjagin [Mi], de Leeuw and Mirkil [DLM] and of Ornstein [Or].

Next we pass to the space $BD(\Omega)$ consisting of all fields $u \in L^1(\Omega; \mathbb{R}^n)$ having bounded deformation introduced by Suquet [Su] and by Matthies, Strang and Christiansen [MSC] and further investigated by e.g. Temam and Strang [TS] and Anzellotti and Giaquinta [AG] in the context of plasticity theory. According to Proposition 1.2 of [AG] it holds

$$\int_{\mathbb{R}^n} |u| dx \leq c(n) \text{diam}(\text{spt } u) \int_{\mathbb{R}^n} |\varepsilon(u)|$$

for $u \in BD(\mathbb{R}^n)$ having compact support, and we can state:

THEOREM 2. *There is a constant $c(n)$ such that*

$$(5) \quad \|u\|_{L^1(\Omega)} \leq c(n) \text{diam}(\Omega) \int_{\Omega} |\varepsilon^D(u)|$$

is satisfied for all fields $u \in BD(\Omega)$ with $u|_{\partial\Omega} = 0$.

Here $u|_{\partial\Omega}$ denotes the trace of the function u in the sense of [TS], Theorem 1.1. The proof of Theorem 2 is easily obtained, if we accept Theorem 1 for the moment and follow the remarks stated in [AG] after the proof of their Theorem 1.3: given u as above, there exists a sequence $u_h \in C^\infty(\Omega; \mathbb{R}^n) \cap \text{BD}(\Omega)$ such that

- i) $u_h \rightarrow u$ in $L^1(\Omega; \mathbb{R}^n)$,
- ii) $u_h|_{\partial\Omega} = u|_{\partial\Omega} = 0$,
- iii) $\int_{\Omega} |\varepsilon^D(u_h)| dx \rightarrow \int_{\Omega} |\varepsilon^D(u)|$ as $h \rightarrow \infty$.

On account of ii) we have inequality (1) for the sequence u_h , and by i), iii) we may pass to the limit $h \rightarrow \infty$ in order to obtain our claim (5). Before we present the proof of Theorem 1, we want to mention an additional related result:

THEOREM 3. *For a finite constant $c(n)$ we have the inequality ($\kappa = \kappa(u)$)*

$$\|u - \kappa\|_{L^1(\Omega)} \leq c(n) \text{diam}(\Omega) \int_{\Omega} |\varepsilon^D(u)|$$

valid for all $u \in \text{BD}(\Omega)$. In case $n = 2$ κ denotes a suitable holomorphic function, whereas for $n \geq 3$ κ is a Killing vector as explained for example in [Da], p.537. For $p \in [1, \frac{n}{n-1})$ we also have

$$\|u - \kappa\|_{L^p(\Omega)} \leq c(n, p) \text{diam}(\Omega)^{1-n+\frac{n}{p}} \int_{\Omega} |\varepsilon^D(u)|.$$

We wish to remark that the estimates from Theorem 3 correspond to the inequalities obtained in [TS] and [AG], in which the BD–distance of fields u from $\text{BD}(\Omega)$ to the space of rigid motions is controlled through the total variation of the tensor–valued measure $\varepsilon(u)$. A proof of Theorem 3 for domains $\Omega \subset \mathbb{R}^2$ and functions u from the space $W_1^1(\Omega; \mathbb{R}^2)$ has been given in [Fu], and from this work the BD–variant follows by approximation. The higher dimensional case will be a consequence of the arguments needed for the proof of Theorem 1.

For proving Theorem 1 we first consider the case $u \in C_0^\infty(B; \mathbb{R}^n)$, B denoting the open unit ball. From Dain’s paper [Da] we quote the identity ($i = 1, \dots, n$)

$$\frac{1}{2} \Delta u^i = \sum_{j=1}^n \partial_j \varepsilon_{ij}^D(u) - \left(\frac{1}{2} - \frac{1}{n} \right) \partial_i(\text{div } u),$$

which gives in combination with Green’s representation formula

$$(6) \quad u^i(x) = \int_B \Gamma(y-x) 2 \left\{ \sum_{j=1}^n \partial_j \varepsilon_{ij}^D(u)(y) - \left(\frac{1}{2} - \frac{1}{n} \right) \partial_i(\text{div } u)(y) \right\} dy$$

valid for all $x \in B$. Here Γ denotes the normalized fundamental solution of the Laplace equation (see, e.g. [GT], (2.12)). Now, if $n = 2$, the right-hand side of (6) equals

$$-2 \int_B \sum_{j=1}^n \frac{\partial}{\partial y_j} \Gamma(y-x) \varepsilon_{ij}^D(u)(y) dy,$$

and we can apply the theory of Riesz potentials (compare [Ste] or [GT]) to deduce our claims (1) and (2) for $\Omega = B$ and u as above. Unfortunately this argument does not work in case $n \geq 3$, since then the right-hand side of (6) not only consists of terms involving $\varepsilon^D(u)$. Instead of (6) we now use a different representation, which is due to Reshetnyak [Re]. According to formula (2.43) of this paper it holds

$$(7) \quad u(x) = P_2 u(x) + R_2(Q_2 u)(x), \quad x \in B,$$

where the quantities on the right-hand side of (7) have the following meaning: $P_2 u$ denotes a suitable Killing vector, i.e. an element of the kernel of ε^D , $Q_2 u$ is just the tensor $\varepsilon^D(u)$ and R_2 is the potential operator being defined in (2.41) of [Re]. According to the structure of R_2 and the representation of its kernel stated in (2.42) of [Re], we can apply the theory of Riesz potentials (see, e.g. [Ste] or [GT]) to deduce

$$(8) \quad \|R_2(Q_2 u)\|_{L^1(B)} \leq c(n) \|Q_2 u\|_{L^1(B)}.$$

In order to continue we need more information concerning the projection $P_2 u$. Again we benefit from Reshetnyak's work: we use formula (2.20) and pass to the mean value $\int_B \dots dy$ with respect to the variable $y \in B$ on the right-hand side. According to the comment given after (2.22) the i^{th} component of $P_2 u(x)$ is the remaining expression on the right-hand side, in which no integration with respect to the variable $t \in [0, 1]$ is performed, i.e. we have the identity ($i = 1, \dots, n$, $x \in B$)

$$(9) \quad \begin{aligned} (P_2 u)^i(x) &= \int_B u^i dy + \int_B \sum_{j=1}^n \frac{1}{2} (\partial_j u^i - \partial_i u^j)(y) (x_j - y_j) dy \\ &\quad + \int_B \frac{1}{n} \operatorname{div} u(y) (x_i - y_i) dy \\ &\quad + \int_B \sum_{j=1}^n (x_j - y_j) \frac{1}{n} \partial_j \operatorname{div} u(y) (x_i - y_i) dy \\ &\quad - \int_B \frac{1}{2} |x - y|^2 \frac{1}{n} \partial_i \operatorname{div} u(y) dy. \end{aligned}$$

Since u has compact support in B , we may integrate by parts on the right-hand side of (9) to get

$$(10) \quad P_2 u \equiv \alpha(n) \bar{u}, \quad \bar{u} := \int_B u dy, \quad \alpha(n) := 1 + \frac{n-1}{2} + \frac{n+1}{n}.$$

With (10) we return to (7) and take $\int_B \dots dx$ on both sides with the result

$$\bar{u} = \alpha(n)\bar{u} + \int_B R_2(Q_2u) dx,$$

hence

$$|\bar{u}| \leq \frac{1}{\alpha(n) - 1} \int_B |R_2(Q_2u)| dx,$$

and we can apply (8) to get (with another constant $c(n)$)

$$|\bar{u}| \leq c(n) \|\varepsilon^D(u)\|_{L^1(B)},$$

which on account of (10) implies

$$(11) \quad \|P_2u\|_{L^1(B)} \leq c(n) \|\varepsilon^D(u)\|_{L^1(B)}.$$

By combining (7), (8) and (11) we finally arrive at

$$(12) \quad \|u\|_{L^1(B)} \leq c(n) \|\varepsilon^D(u)\|_{L^1(B)}.$$

Suppose next that $u \in C_0^\infty(\Omega; \mathbb{R}^n)$ for a bounded Lipschitz domain Ω . Then we have $u \in C_0^\infty(B_R(x_0); \mathbb{R}^n)$ for a suitable ball $B_R(x_0) \supset \Omega$, whose diameter is proportional to $\text{diam}(\Omega)$, and by using (12) our claim (1) for smooth u just follows by scaling. Finally, if u is from the space $\mathring{W}_1^1(\Omega; \mathbb{R}^n)$ we apply (1) to a sequence $u_m \in C_0^\infty(\Omega; \mathbb{R}^n)$ such that $\|u_m - u\|_{W_1^1(\Omega)} \rightarrow 0$ as $m \rightarrow \infty$. In order to verify (2) we only observe that for $1 \leq p < \frac{n}{n-1}$ inequality (8) can be replaced by

$$\|R_2(Q_2u)\|_{L^p(B)} \leq c(n, p) \|Q_2u\|_{L^1(B)},$$

which is a well-known property of Riesz potentials. \square

Next we prove Theorem 3 for the case $n \geq 3$: from [Re] we deduce as before (compare (7) and (8))

$$(13) \quad \|u - \kappa\|_{L^1(\Omega)} \leq c(n) \text{diam}(\Omega) \|\varepsilon^D(u)\|_{L^1(\Omega)}$$

at least for smooth fields u with a suitable Killing vector $\kappa = \kappa(u)$. For $u \in \text{BD}(\Omega)$ we can use the approximation argument of [AG] stated after Theorem 2 (of course ii) now reads $u_h|_{\partial\Omega} = u|_{\partial\Omega}$) with the result that (13) is valid for the sequence u_h with corresponding Killing vectors κ_h . At the same time it holds (see (7))

$$u_h = \kappa_h + R_2(Q_2u_h),$$

which gives

$$\|\kappa_h\|_{L^1(\Omega)} \leq \|u_h\|_{L^1(\Omega)} + c(n, \Omega) \|\varepsilon^D(u_h)\|_{L^1(\Omega)},$$

hence

$$\sup_h \|\kappa_h\|_{L^1(\Omega)} < \infty .$$

Since the vectors κ_h belong to a space of finite dimension, this bound is enough to deduce that $\kappa_h \rightarrow: \kappa$ in $L^1(\Omega; \mathbb{R}^n)$ at least for a subsequence and a Killing vector κ . This proves our claim. \square

We finish our discussion by mentioning an open problem: suppose that Γ is a subset of $\partial\Omega$ having positive $(n - 1)$ -dimensional measure. Do we have the validity of the inequality

$$(14) \quad \|u\|_{L^1(\Omega)} \leq c(n, \Gamma, \Omega) \int_{\Omega} |\varepsilon^D(u)|$$

for all $u \in \text{BD}(\Omega)$ such that $u|_{\Gamma} = 0$? A positive answer would provide a stronger result as stated in Corollary 1.11 of [AG], but if we try to prove (14) by contradiction we do not have enough information to use the continuity of the trace operator (cf. the comments given in [AG] after Theorem 1.4) which would lead to the desired contradiction. So this open problem is in some sense related to the question if there is a reasonable concept of a trace for fields $u \in L^1(\Omega; \mathbb{R}^n)$ whose distributional deviator $\varepsilon^D(u)$ is a tensor-valued measure of finite total variation. However, a meaningful definition of boundary values for fields in this class seems to be impossible: let B denote the open unit disc centered at the origin and let

$$u : B \rightarrow \mathbb{C}, \quad u(z) := \frac{1}{z - 1} .$$

Then u is in the space $L^1(B; \mathbb{C})$, and $\varepsilon^D(u) = 0$ on B holds, since u is holomorphic on B . If a trace $u|_{\partial B}$ of u in the space $L^1(\partial B; \mathbb{C})$ would exist, then it should hold

$$u(z) = u|_{\partial B}(z) \mathcal{H}^1 - \text{a.e. on } \partial B ,$$

but this contradicts the fact that

$$\int_{\partial B} \frac{1}{|z - 1|} d\mathcal{H}^1(z) = +\infty .$$

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Martin Fuchs
 Universität des Saarlandes
 Fachbereich 6.1 Mathematik
 Postfach 15 11 50
 D–66041 Saarbrücken,
 Germany
 e–mail: fuchs@math.uni-sb.de

Sergey Repin
 V.A. Steklov Math. Inst.
 St. Petersburg Branch
 Fontanka 27
 191011 St. Petersburg
 Russia
 e–mail: repin@pdmi.ras.ru