



**Weierstrass Institute for
Applied Analysis and Stochastics**



A phase field approach for optimal boundary control of damage processes in two-dimensional viscoelastic media

M. Hassan Farshbaf-Shaker, Christian Heinemann (WIAS)

Overview: global-in-time **existence**, **uniqueness** and **optimal control** results for a phase field system describing damage processes

■ **Introduction**

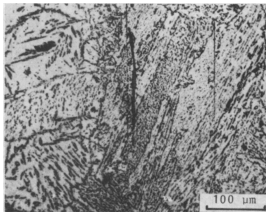
- phase field model for damage
- mathematical setting

■ **Well-posedness** of strong solutions

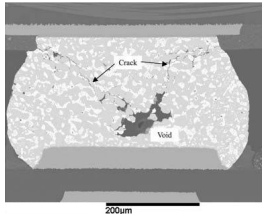
- approximation and discretization scheme with partial convex-concave splittings
- energy estimates, enhanced regularity estimates, limit analysis

■ **Optimal boundary control**

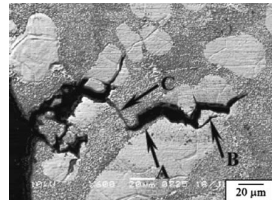
- existence of minimizers
- adjoint system for the regularized problem



Steel



Lead-Tin alloy



Silver-Tin alloy

- Mathematical modeling and investigation of damage phenomena (highly nonlinear) is of great interest
- **Controlling the growth of damage** is an important engineering task: Suppose that a workpiece is exposed to external forces during an experiment and that certain parameters related to those forces can be controlled. A control problem could be to choose optimal parameters in order to **prevent** further damage in the material or to **redirect** crack spreading to non-critical components of the structure and to **avoid** complete failure.
- Another problem might be the determination of external forces in order to deliberately **induce a damage** progression. For instance, it might be desirable to separate certain parts of the workpiece in industrial processes.

Viscous/rate-dependent model for damage processes (PFDM):^{1,2}

$$\partial I_{(-\infty, 0]}(\chi_t) + \chi_t - \Delta \chi - \Delta \chi_t + \partial_\chi W(\chi, \varepsilon) \ni 0 \text{ in } Q, \quad \partial_\nu \chi = \partial_\nu \chi_t = 0 \text{ on } \Sigma$$

coupled with force balance equation

$$u_{tt} - \operatorname{div}(\partial_\varepsilon W(\chi, \varepsilon) + \mathbb{D}(\chi)\varepsilon_t) = \ell \text{ in } Q, \quad (\partial_\varepsilon W(\chi, \varepsilon) + \mathbb{D}(\chi)\varepsilon_t)\nu = b \text{ on } \Sigma$$

with linear elasticity

$$W(\chi, \varepsilon) = \frac{1}{2} \mathbb{C}(\chi) \varepsilon : \varepsilon + f(\chi), \quad \varepsilon = \frac{1}{2}(\nabla u + (\nabla u)^t)$$

Interpretation: The phase field χ corresponds to density of micro-defect (-voids)

$$\chi(x) = \begin{cases} 1 & \leftrightarrow \text{no damage in } x, \\ \in (0, 1) & \leftrightarrow \text{partial damage in } x, \\ 0 & \leftrightarrow \text{maximal damage in } x. \end{cases}$$

⚡ **note** in our case we merely know $\chi(x) \leq 1$ provided that $\chi(x, 0) \in [0, 1]$ ⚡

Taking into account an additional indicator function $I_{[0,1]}(\chi)$ would result in a doubly nonlinear model (double inclusion) and leads to non uniqueness of solutions.

- **continuum damage model**: continuum-mechanics based framework allowing to characterize, represent and model at the macroscopic scale the effects of distributed defects and their growth on the material behavior.
- obtained via (thermodynamic consistent) modeling approach from **Frémond & Nedjar**^{1,2}
- sub-differential $\partial I_{(-\infty, 0]}(\chi_t)$: Irreversibility
 - healing forbidden, i.e. $\chi_t \leq 0 \Leftrightarrow \chi(t) \leq \chi(s)$ for all $s \leq t$
- some possibilities:
 - set $\mathbb{C}(\chi) = \mathbb{C}(0)$ and $\mathbb{D}(\chi) = \mathbb{D}(0)$ for all $\chi < 0$
 - or use model with different interpretation²

$$\chi(x) = \begin{cases} 0 & \Leftrightarrow \text{no damage in } x, \\ \in (0, +\infty) & \Leftrightarrow \text{partial damage in } x, \\ \rightarrow +\infty & \Leftrightarrow \text{maximal damage in } x. \end{cases}$$

Reference:

[2] B. J. Dimitrijevic, K. Hackl: *A Method for Gradient Enhancement of Continuum Damage Models*, *Technische Mechanik*, Band 28, Heft 1 (2008)

Reference:

[1] M. Frémond, B. Nedjar: *Damage, gradient of damage and principle of virtual power*. Int. J. Solids S. (1996)

[2] M. Frémond: *Non-smooth thermomechanics*, Springer (2002)

Dissipation potential and Free energy

$$R(u_t, \chi_t) = \int_{\Omega} \left(\frac{1}{2} |\chi_t|^2 + \frac{1}{2} |\nabla \chi_t|^2 + \frac{1}{2} \mathbb{D}(\chi) \varepsilon(u_t) : \varepsilon(u_t) + \mathbf{I}_{(-\infty, 0]}(\chi_t) \right) dx$$

$$F(u, \chi) = \int_{\Omega} \left(\frac{1}{2} |\nabla \chi|^2 + W(\chi, \varepsilon) \right) dx, \quad W(\chi, \varepsilon) = \frac{1}{2} \mathbb{C}(\chi) \varepsilon : \varepsilon + f(\chi)$$

dependence of dissipation on gradients of velocities assumed

→ (higher-order) viscosities: $-\Delta \chi_t$ and $-\operatorname{div}(\mathbb{D}(\chi) \varepsilon_t)$

$$0 \in \partial_{\chi_t} R(u_t, \chi_t) + d_{\chi} F(u, \chi)$$

$$\text{or equivalently } \xi = -\chi_t + \Delta \chi_t - d_{\chi} F(u, \chi) \text{ and } \xi \in \partial \mathbf{I}_{(-\infty, 0]}(\chi_t)$$

By virtue of the complementarity formulation of $\xi \in \partial \mathbf{I}_{(-\infty, 0]}(\chi_t)$: χ is governed by a gradient flow with respect to χ in the H^1 -norm whenever the driving force $-d_{\chi} F(u, \chi)$ is non-positive and $\chi_t = 0$ otherwise.

Rate-independent gradient damage models (selected works)

- 2003 Giacomini: existence, convergence to brittle fracture
- 2005 Mielke/Roubíček: nonlinear elasticity
- 2009/13 Mielke/Thomas: general p -Laplacian

↑ **Vanishing viscosity** limit: 2013/15 Knees/Rossi/Zanini ↑

Viscous damage models (selected works)

- 1997 Frémond/Kuttler/Shillor: 1-D local well-posedness
 - 2004/05 Bonetti/Segatti/Schimperna, Bonetti/Bonfanti: 3-D local well-posedness
 - 2010 H./Kraus: weak solutions for double inclusion law
 - 2012/15 Rocca/Rossi: with enhanced regularity, coupling with temperature
- (**this talk**: Farshbaf-Shaker/Heinemann: 2-D global well-posedness)

Optimal control of viscous damage models

- 2008 Hild/Münch/Ousset: On the control of crack growth in elastic media (more modeling aspects)
- 2015 Kogut/Leugering: Optimal and approximate boundary controls of an elastic body with quasistatic evolution of damage (no necessary optimal conditions)

Optimal control of viscous damage phase field models

- 2014 Wheeler/Wick/Wollner: An augmented-Lagrangian method for the phase-field approach for pressurized fractures ("**first discretize then optimize**" approach)
- 2015 Farshbaf-Shaker/Heinemann: A phase field approach for optimal boundary control of damage processes in two-dimensional viscoelastic media (**minimizers**)
- 2016 Farshbaf-Shaker/Heinemann: **Necessary conditions of first-order** for an optimal boundary control problem for viscous damage processes in 2D

Mathematical setting

- $\Omega \subseteq \mathbb{R}^2$ bounded domain with C^2 -boundary Γ
- strong solution space $\mathcal{Q} := \mathcal{U} \times \mathcal{X}$

$$u \in \mathcal{U} := H^1(0, T; \mathbf{H}^2(\Omega)) \cap W^{1,\infty}(0, T; \mathbf{H}^1(\Omega)) \cap H^2(0, T; \mathbf{L}^2(\Omega)),$$

$$\chi \in \mathcal{X} := H^1(0, T; \mathbf{H}^2(\Omega))$$

- initial-boundary data and source term

$$u^0 \in \mathbf{H}^2(\Omega), \quad v^0 \in \mathbf{H}^1(\Omega), \quad \chi^0 \in \mathbf{H}^2(\Omega) \text{ with } \partial_\nu \chi^0 = 0,$$

$$b \in H^1(0, T; \mathbf{L}^2(\Gamma)) \cap L^2(0, T; \mathbf{H}^{1/2}(\Gamma)), \quad \ell \in L^2(0, T; \mathbf{L}^2(\Omega))$$

- damage-dependent tensors

$$\mathbb{C}(\cdot) = c(\cdot) \mathbf{C} \quad \text{with} \quad c = c_1 + c_2 \geq 0, \quad c_1 \text{ convex}, \quad c_2 \text{ concave},$$

$$\mathbb{D}(\cdot) = d(\cdot) \mathbf{C} \quad \text{with} \quad d(\cdot) \geq \eta > 0, \quad (\text{Uniqueness for } d(\cdot) \equiv \text{const.})$$

$$\mathbf{C}_{ijkl} = \mathbf{C}_{jilk} = \mathbf{C}_{lkij}, \quad \varepsilon : \mathbf{C} \varepsilon \geq \eta |\varepsilon|^2 \text{ for all } \varepsilon \in \mathbb{R}_{\text{sym}}^{n \times n},$$

$$c_1, c_2, d \text{ continuously differentiable} \quad \text{and} \quad c, c'_1, c'_2 \text{ bounded and Lipschitz}$$

Goal: find strong solution (u, χ) with $u(0) = u^0$, $u_t(0) = v^0$ and $\chi(0) = \chi^0$ such that

$$\partial I_{(-\infty, 0]}(\chi_t) + \chi_t - \Delta \chi - \Delta \chi_t + \partial_\chi W(\chi, \varepsilon) \ni 0 \text{ in } Q, \quad \partial_\nu \chi = \partial_\nu \chi_t = 0 \text{ on } \Sigma$$

coupled with force balance equation

$$u_{tt} - \text{div}(\partial_\varepsilon W(\chi, \varepsilon) + \mathbb{D}(\chi)\varepsilon_t) = \ell \text{ in } Q, \quad (\partial_\varepsilon W(\chi, \varepsilon) + \mathbb{D}(\chi)\varepsilon_t)\nu = b \text{ on } \Sigma$$

Overview of the existence proof

Step 1: solve approximate problem

- Moreau-Yosida regularization
- discretization scheme + partial convex-concave splittings
- existence by recursive minimization

Step 2: a priori estimates

- energy-dissipation estimate
- enhanced regularity estimates

Step 3: limit passage

- apply compactness results
- limsup-estimate and Minty's trick

Step 1 (a): Regularization of the indicator function $I := I_{(-\infty, 0]}$

- functional setting: define $I : L^2(Q) \rightarrow \mathbb{R} \cup \{+\infty\}$ by

$$I(v) := \begin{cases} 0 & \text{if } v \leq 0 \text{ a.e. in } Q, \\ +\infty & \text{else} \end{cases}$$

- define the Moreau-Yosida approximation by

$$I_\beta(v) := \inf_{w \in L^2(Q)} \left\{ \frac{\|v - w\|_{L^2}^2}{2\beta} + I(w) \right\} = \frac{\|\max\{v, 0\}\|_{L^2}^2}{2\beta}$$

→ general result:³ I_β is *convex* and *Gâteaux-differentiable* and

$$\forall v \in L^2(Q) : \quad \limsup_{\beta \searrow 0} I_\beta(v) \leq I(v),$$

$$\forall v_\beta \rightharpoonup v \text{ in } L^2(Q) : \quad \liminf_{\beta \searrow 0} I_\beta(v_\beta) \geq I(v)$$

- differential inclusion is **approximated** by a **pde**

$$\partial I_\beta(\chi_t) + \chi_t - \Delta \chi - \Delta \chi_t + \partial_\chi W(\chi, \dots) = 0 \quad (\text{note that “=” instead of “}\exists\text{”})$$

Reference:

[3] T. Roubíček: *Nonlinear Partial Differential Equations with Applications*, Birkhäuser (2013)

Step 1 (b): Setting up discretization scheme

■ properties

- discrete in time, continuous in space
- equidistant partition of the time interval $[0, T]$ with time step size τ
- partial splitting of $W = W^1 + W^2$ into $W^1(\cdot, \varepsilon)$ convex and $W^2(\cdot, \varepsilon)$ concave

■ regularized differential inclusion

$$\partial I_\beta(\chi_t) + \chi_t - \Delta \chi - \Delta \chi_t + \partial_\chi W(\chi, \varepsilon) = 0, \quad W(\chi, \varepsilon) = \frac{1}{2} \mathbb{C}(\chi) \varepsilon : \varepsilon + f(\chi)$$



■ discretization of the regularized inclusion

$$\partial I_\beta \left(\frac{\chi^k - \chi^{k-1}}{\tau} \right) + \frac{\chi^k - \chi^{k-1}}{\tau} - \Delta \chi^k - \Delta \frac{\chi^k - \chi^{k-1}}{\tau} + \partial_\chi W^1(\chi^k, \varepsilon^{k-1}) + \partial_\chi W^2(\chi^{k-1}, \varepsilon^{k-1}) = 0 \quad \text{in } \Omega$$

with boundary condition

$$\partial_\nu \chi^k = 0 \quad \text{on } \Gamma$$

Step 1 (b): Setting up discretization scheme■ **force balance equation**

$$\mathbf{u}_{tt} - \operatorname{div}(\partial_{\varepsilon} W(\chi, \varepsilon) + \mathbb{D}(\chi) \varepsilon_t) = \ell \quad \text{in } Q$$

with boundary condition

$$(\partial_{\varepsilon} W(\chi, \varepsilon) + \mathbb{D}(\chi) \varepsilon_t) \nu = \mathbf{b} \quad \text{on } \Sigma$$

■ **time-discretization of the force balance equation**

$$\frac{\mathbf{u}^k - 2\mathbf{u}^{k-1} + \mathbf{u}^{k-2}}{\tau^2} - \operatorname{div}\left(\partial_{\varepsilon} W(\chi^k, \varepsilon^k) + \mathbb{D}(\chi^k) \frac{\varepsilon^k - \varepsilon^{k-1}}{\tau}\right) = \ell^k \quad \text{in } \Omega$$

with boundary condition

$$\left(\partial_{\varepsilon} W(\chi^k, \varepsilon^k) + \mathbb{D}(\chi^k) \frac{\varepsilon^k - \varepsilon^{k-1}}{\tau}\right) \nu = \mathbf{b}^k \quad \text{on } \Gamma$$

Step 3 (b): Limit passage

- **remains to show:** $\partial I_\beta(\partial_t \chi_\beta) \rightharpoonup \xi \in \partial I_{(-\infty, 0]}(\partial_t \chi)$

note that we know $\partial_t \chi_\beta \rightharpoonup \partial_t \chi$ weakly in $L^2(0, T; H^2(\Omega))$;

- **approach:**

$\partial I_\beta(\partial_t \chi_\beta)$ is bounded in $L^2(Q)$

$\Rightarrow \partial I_\beta(\partial_t \chi_\beta) \rightharpoonup S$ weakly in $L^2(Q)$ for some cluster point $S \in L^2(Q)$

task: $S \in \partial I_{(-\infty, 0]}(\partial_t \chi)$

- exploit convexity of I_β

$$I_\beta(\partial_t \chi_\beta) + \langle \partial I_\beta(\partial_t \chi_\beta), \varphi - \partial_t \chi_\beta \rangle_{L^2} \leq I_\beta(\varphi), \quad \forall \varphi \in L^2(Q),$$

- to pass to the limit we need the properties (*Minty's trick*)

$$\rightarrow \text{lim inf -estimate: } \liminf_{\beta \searrow 0} I_\beta(\partial_t \chi_\beta) \geq I(\partial_t \chi) \quad \checkmark$$

$$\rightarrow \text{lim sup -estimates: } \limsup_{\beta \searrow 0} \langle \partial I_\beta(\partial_t \chi_\beta), \partial_t \chi_\beta \rangle_{L^2} \leq \langle S, \partial_t \chi \rangle_{L^2} \quad (\text{have to show})$$

$$\limsup_{\beta \searrow 0} I_\beta(\varphi) \leq I(\varphi), \quad \forall \varphi \in L^2(Q) \quad \checkmark$$

(CP) Minimize the cost-functional

$$\mathcal{J}(\chi, b) := \frac{\lambda_T}{2} \|\chi(T) - \chi_T\|_{L^2(\Omega)}^2 + \frac{\lambda_\Sigma}{2} \|b\|_{L^2(\Sigma; \mathbb{R}^n)}^2 \quad (1)$$

subject to our viscous/rate-dependent model for damage processes **(PFDM)** (2)

and subject to the control constraint (other types will also be allowed)

$$\mathcal{B}_{adm} := \{b \in \mathcal{B} \mid b_{min} \leq b \leq b_{max} \text{ a.e. in } \Sigma \text{ and } \|b\|_{\mathcal{B}} \leq R\}. \quad (3)$$

- Banach space $\mathcal{B} := L^2(0, T; H^{1/2}(\Gamma; \mathbb{R}^n)) \cap H^1(0, T; L^2(\Gamma; \mathbb{R}^n))$
- The box constraints $b_{min}, b_{max} \in L^\infty(\Sigma)$ satisfy $b_{min} \leq b_{max}$ a.e. in Σ .
- $\chi_T \in L^2(\Omega)$ is a given target damage profile function
- $\lambda_T, \lambda_\Sigma$ and R are some prescribed positive constants.

Reference:

- [10] M.H. Farshbaf-Shaker, C. Heinemann: A phase field approach for optimal boundary control of damage processes in two-dimensional viscoelastic media, M3AS (2015)
- [11] M.H. Farshbaf-Shaker, C. Heinemann: Necessary conditions of first-order for an optimal boundary control problem for viscous damage processes in 2D

Existence of minimizers to (CP)

The optimal control problem **(CP)** admits a solution $(\chi, b) \in \mathcal{X} \times \mathcal{B}_{adm}$

Overview of the existence proof

- Moreau-Yosida regularization
- Existence of minimizers for the regularized subproblems
- Limit passage (convergence along subsequences → no "global" result)

Necessary conditions of first-order

- Problem **(CP)** is a non-smooth optimization problem
- Classical constraint qualifications in Banach spaces are violated, and existence of Lagrange multipliers are not guaranteed.
- But for the regularized subproblems, we derive necessary conditions of first-order
- We are able to prove the existence of very weak solutions to the corresponding regularized adjoint problem

"Reduced control problem"

$\mathcal{S} : \mathcal{B} \rightarrow \mathcal{Q} \subset \dot{\mathcal{Q}} := \dot{\mathcal{U}} \times \dot{\mathcal{X}}$ defined by $\mathcal{S}(b) = (\mathcal{S}_1(b), \mathcal{S}_2(b)) := (u(b), \chi(b))$ solving our regularized PDE system with the following definition

$$\begin{aligned}\dot{\mathcal{U}} &:= H^1(0, T; H^1(\Omega; \mathbb{R}^n)) \cap W^{1, \infty}(0, T; L^2(\Omega; \mathbb{R}^n)) \cap H^2(0, T; H^1(\Omega; \mathbb{R}^n)^*), \\ \dot{\mathcal{X}} &:= H^1(0, T; H^1(\Omega)).\end{aligned}$$

With the "reduced functional" $j : \mathcal{B} \rightarrow \mathbb{R}$ defined by $j(b) := \mathcal{J}(\mathcal{S}_2(b), b)$, where $\mathcal{J} : \dot{\mathcal{X}} \times \mathcal{B} \rightarrow \mathbb{R}$ is the cost functional, our optimal control problem **(CP)** can now be restated as

(CP') find a minimizer of j over $\mathcal{B}_{adm}$.

Necessary condition of first-order

$$0 \leq \langle Dj(b), \hat{b} - b \rangle_{\mathcal{B}} = \int_{\Sigma} (p + \lambda_{\Sigma} b) \cdot (\hat{b} - b) \, dx \, dt \quad \text{for every } \hat{b} \in \mathcal{B}_{adm}.$$

Let $(u, \chi) \in \mathcal{Q}$ be a solution of the state system **(PFDM)** to $b \in \mathcal{B}$, i.e. $(u, \chi) := \mathcal{S}(b)$. Then there exists a pair of function $(p, q) \in \overline{\mathcal{Q}} := \overline{\mathcal{U}} \times \overline{\mathcal{X}}$ (very weak solution) with

$$\overline{\mathcal{U}} := L^2(0, T; H^1(\Omega; \mathbb{R}^n)) \cap L^\infty(0, T; L^2(\Omega; \mathbb{R}^n)),$$

$$\overline{\mathcal{X}} := L^2(0, T; H^1(\Omega)).$$

such that

$$p_{tt} - \operatorname{div}(\mathbb{C}(\chi)\varepsilon(p) + \mathbb{C}'(\chi)\varepsilon(u)q - \mathbb{D}\varepsilon(p_t)) = 0 \quad \text{in } Q,$$

$$-q_t - (\xi'(\chi_t)q)_t + \Delta q_t - \Delta q$$

$$+ \frac{1}{2}\mathbb{C}''(\chi)\varepsilon(u) : \varepsilon(u)q + \mathbb{C}'(\chi)\varepsilon(u) : \varepsilon(p) + f''(\chi)q = 0 \quad \text{in } Q,$$

with the boundary conditions

$$(\mathbb{C}(\chi)\varepsilon(p) + \mathbb{C}'(\chi)\varepsilon(u)q - \mathbb{D}\varepsilon(p_t)) \cdot \nu = 0 \quad \text{on } \Sigma,$$

$$\nabla p \cdot \nu = 0 \quad \text{on } \Sigma$$

and with the final-time conditions

$$p(T) = p_t(T) = 0 \quad \text{in } \Omega,$$

$$-\Delta q(T) + q(T) + \xi'(\chi_t(T))q(T) = \lambda_T(\chi(T) - \chi_T) \quad \text{in } \Omega,$$

$$\nabla q(T) \cdot \nu = 0 \quad \text{on } \Gamma.$$

Overview of the existence proof

Step 1: α -regularization

- Work with regularized state variable χ_α instead of χ : To this end, let $\{\chi_\alpha\} \subseteq C^\infty(\overline{Q})$ be a smooth approximation sequence such that

$$\chi_\alpha \rightarrow \chi \text{ in } H^1(0, T; H^2(\Omega)) \text{ as } \alpha \downarrow 0.$$

- This enables us to time-differentiate the difficult nonlinear term $\xi'(\chi_t)q$
 - $(\xi'(\chi_t)q)_t = \xi''(\chi_t)\chi_{tt}q + \xi'(\chi_t)q_t$
- suitable time-discretization scheme which decouples the system

Step 2: a priori estimates

- a priori estimate for the time discretization and for the α -regularization
- testing with time-integrated versions of the adjoint variables with tricky calculations

- *Irreversibility condition.* Necessary optimality condition for the original non-smooth problem: it remains open if stationarity conditions can be obtained via a limit passage of the regularized version.
- *Different cost functionals.* We have considered an L^2 -tracking type cost functional in (CP). This restricts possible applications because (smooth approximations of) cracks only give rise to a small contribution with respect to the L^2 -norm. More realistic choices would be the usage of higher-order or even L^∞ -cost functionals.
- *Damage-dependent viscosities.* It would be desirable to let not only the stiffness tensor $\mathbb{C}(\cdot)$ but also the viscosity tensor $\mathbb{D}$ in the force balance equation to depend on the damage phase-field χ . Optimality conditions for the optimal control problem still needs to be shown.

Thank you for your attention!

Some references

- [1] M.H. Farshbaf-Shaker, C. Heinemann: *Necessary conditions of first-order for an optimal boundary control problem for viscous damage processes in 2D*, (submitted)
- [2] M.H. Farshbaf-Shaker, C. Heinemann: *A phase field approach for optimal boundary control of damage processes in two-dimensional viscoelastic media*, M3AS (2015)
- [3] P. I. Kogut and G. Leugering: *Optimal and approximate boundary controls of an elastic body with quasistatic evolution of damage*, Math. Methods Appl. Sci., 2015
- [4] M. F. Wheeler, T. Wick, and W. Wollner: *An augmented-Lagrangian method for the phase-field approach for pressurized fractures*, Comput. Methods Appl. Mech. Engrg., 2014
- [5] Knees, Rossi, Zanini: *A vanishing viscosity approach to a rate-independent damage model*, M3AS (2013)
- [6] E. Rocca, R. Rossi: *A degenerating PDE system for phase transitions and damage*, M3AS (2014)