

Vlasov-Fokker-Planck with general potentials

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Introduction

Steady states of VFP

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Introduction

Self-consistent Vlasov-Fokker-Planck

Consider a system of particles $\mathbb{R}^d \times \mathbb{R}^d$, described at time $t \geq 0$ by its **phase-space distribution** function $F(t, x, v)$, satisfying

$$\partial_t F + v \cdot \nabla_x F - \nabla_x (\Psi_F + V) \cdot \nabla_v F = \nabla_v \cdot (vF + \nabla_v F)$$

- ▶ **Random fluctuations and damping of the velocity (Fokker-Planck)**
- ▶ **Particles localized in a region of space by an outside force $\nabla_x V$**
- ▶ **Particle at y affects particle at x with a force $\nabla_x k(x - y)$**

$$\Psi_F(x) = \int_{\mathbb{R}^{2d}} k(x - y) \rho_F(y) dy, \quad \rho_F(x) = \int_{\mathbb{R}^d} F(x, v) dv.$$

Self-consistent Vlasov-Fokker-Planck

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Why this equation is interesting/hard at first glance:

- ▶ **Degeneracy: diffusion in v only and vanishes on $\mathcal{G}(v) = \frac{e^{-|v|^2/2}}{(2\pi)^{d/2}}$**
- ▶ **Non-linearity is non-local**

A less obvious reason:

- ▶ Phase transition in the **strongly non-linear (large mass) regime**

$$\partial_t G + v \cdot \nabla_x G - \nabla_x (M\Psi_G + V) \cdot \nabla_v G = \nabla_v \cdot (vG + \nabla_v G)$$

where $M = \int_{\mathbb{R}^{2d}} F(t) dx dv$ is the (conserved) mass and $G = F/M$

Interaction potential

Symmetric and skew-symmetric parts of the **convolution operator**:

$$\mathcal{K}\rho = \int_{\mathbb{R}^d} k(x-y)\rho(y) dy, \quad \mathcal{K}^\alpha\rho = \int_{\mathbb{R}^d} k^\alpha(x-y)\rho(y) dy$$

associated with the even and odd parts of the kernel k :

$$k^e(x) = \frac{1}{2}(k(x) + k(-x)), \quad k^o(x) = \frac{1}{2}(k(x) - k(-x)).$$

“Ideal” **example** we have in mind

- ▶ In plasma physics: \mathcal{K} is **symmetric** and **positive**

$$\text{(Coulomb)} \quad k_C(x) = \frac{l}{|x|}, \quad d = 3, \quad l > 0.$$

“Bad” **examples** we have in mind

- ▶ In particle accelerator physics: \mathcal{K} is **non-symmetric** and $k \in W^{1,\infty}$:
- ▶ Kuramoto $k = -\cos(\omega x)$: \mathcal{K} is symmetric but **negative**

Positive symmetric potentials: example of a plasma

Consider the **Vlasov-Poisson-Fokker-Planck** in dimension 3

$$\begin{cases} \partial_t F + v \cdot \nabla_x F - \nabla_x (\Psi_F + V) \cdot \nabla_v F = \nabla_v \cdot (vF + \nabla_v F), \\ -\lambda^2 \Delta \Psi_F(t, x) = \rho_F, \\ F|_{t=0} = F_{in}. \end{cases}$$

corresponding to the Coulomb potential $k_C(x) = \frac{l}{|x|}$ with $l = C\lambda^{-2}$.

Theorem (Bouchut, Dolbeault '95 : unconditional cvg)

Assume that F_{in} satisfies physical bounds (mass, entropy, total energy) and $\nabla \Psi_F \in L_{t_{loc}}^\infty L_x^\infty$, then

$$F(t) \xrightarrow{t \rightarrow \infty} F_\star \quad \text{in } L^1(\mathbb{R}_x^3 \times \mathbb{R}_v^3),$$

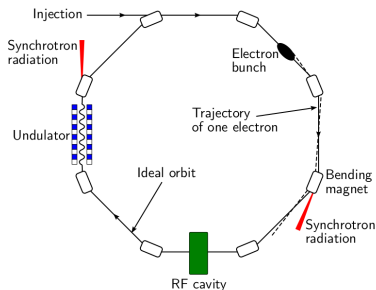
where F_\star is the unique steady state.

First quantitative results by [Hérau, Thomann '16] in weakly nonlinear regime ($\lambda \gg 1$)

Asymmetric potentials: example of a particle accelerator

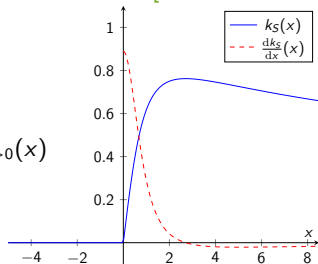


[Source: synchrotron-soleil.fr]



[Roussel, PhD thesis, '14]

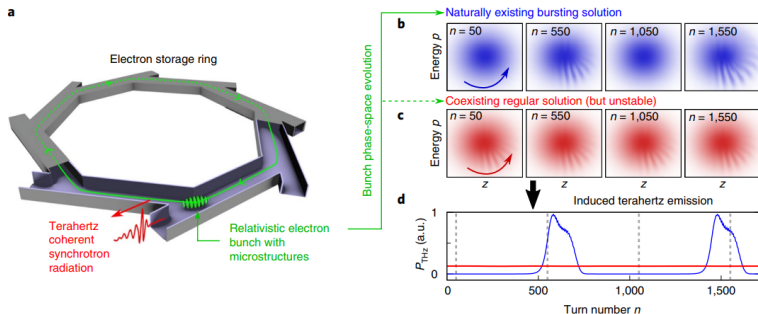
$$k_S(x) = 2I \frac{\cosh\left[\frac{5}{3} \sinh^{-1} x\right] - \cosh\left[\sinh^{-1} x\right]}{\sinh\left[2 \sinh^{-1} x\right]} \mathbb{1}_{x>0}(x)$$



Asymmetric potentials: micro-bunching instabilities

Numerical evidences and linear stability analysis shows that

- ▶ At **low currents** $I \ll 1$ (weakly nonlinear), there is a unique asymptotically stable steady state.
- ▶ At **high currents** $I \gg 1$ (strongly nonlinear), dynamics is more complex



[Evain et. al., Nature Physics '19]

Characterize steady states and asymptotic stability regimes for

$$\partial_t F + v \cdot \nabla_x F - \nabla_x (\mathcal{K} \rho_F + V) \cdot \nabla_v F = \nu \nabla_v \cdot (v F + \nabla_v F),$$

with as general as possible \mathcal{K} and V , and quantitatively.

What we want to address:

- ▶ Strongly nonlinear regime; \mathcal{K} large (at least in some sense)
- ▶ Consideration of asymmetric interaction kernels

Steady states of VFP

Gibbs steady states

For symmetry reasons any reasonable solution to

$$v \cdot \nabla_x F_\star - \nabla_x (\Psi_{F_\star} + V) \cdot \nabla_v F_\star = \nu \nabla_v \cdot (v F_\star + \nabla_v F_\star)$$

with $\Psi_{F_\star} = \mathcal{K} \rho_{F_\star}$ cancels both sides:

- ▶ **Vlasov:** $v \cdot \nabla_x F_\star - \nabla_x (\Psi_{F_\star} + V) \cdot \nabla_v F_\star = 0$ (“odd” wrt v)
- ▶ **Fokker-Planck:** $\nabla_v \cdot (v F_\star + \nabla_v F_\star) = 0$ (“even” wrt v)

Therefore

$$F_\star(x, v) = \rho_\star(x) \mathcal{G}(v)$$

with ρ_\star is a solution of the

Gibbs fixed point problem

$$\rho_\star = \mathcal{T}(\rho_\star) := \frac{\mathcal{S}(\rho_\star)}{\|\mathcal{S}(\rho_\star)\|_{L^1}}, \quad \mathcal{S}(\rho) := e^{-V - \mathcal{K}\rho}.$$

a.k.a. Haissinski eq. in particle accelerator community [[Haissinski '73](#)].

Assumptions on potentials

Assume that the confinement potential V satisfies, for some $N \geq 2$

$$\forall n \leq N, \quad |\nabla^n V|^{\frac{N}{n}} e^{-V} \in L^1 \cap L^\infty, \quad \int_{\mathbb{R}^d} e^{-V} dx = 1$$

Assume \mathcal{K} is bounded for some $p, q \in [2, \infty]$ and monotonous:

$$\mathcal{K} : L^1 \cap L^2 \rightarrow L^p, \quad \nabla \mathcal{K} : L^1 \cap L^2 \rightarrow L^q$$

$$\rho \geq 0 \Rightarrow \mathcal{K}\rho \geq 0$$

Assume the following behavior of \mathcal{K} against the confinement profile e^{-V} :

$$\mathcal{K}^*(e^{-V}) \in L^\infty$$

Well-posedness of the steady state problem

Theorem (G, Herda. '24)

The stationary solutions to Vlasov-Fokker-Planck equation are of the form

$$F_\star(x, v) = \rho_\star(x)M(v), \quad \rho_\star = e^{-V_\star},$$

with ρ_\star a solution of the Gibbs fixed point problem.

- ▶ *Under the previous hypotheses, there exists at least one solution.*
- ▶ *If we assume for some $0 < \underline{\kappa}^e \ll 1$ and any zero-mean $h \in L^1 \cap L^2$*

$$\langle \mathcal{K}h, h \rangle = \langle \mathcal{K}^e h, h \rangle \geq -\underline{\kappa}^e \|h\|_{L^1 \cap L^2}^2,$$

then the steady state is unique.

See also [Carrillo, Gvalani, Pavliotis, Schlichting '20], [Cesbron, Herda '24].

Uniqueness

Let us introduce the **free energy** functional

$$\mathcal{F}[\rho] := \int_{\mathbb{R}^d} \left(V + \frac{1}{2} \mathcal{K}^e(\rho) \right) \rho \, dx + \int_{\mathbb{R}^d} \rho \log \rho \, dx$$

If $\mathcal{K}^o \neq 0$, the classical argument no longer works:

$$\rho \text{ fixed point} \not\Rightarrow \rho \text{ critical point of } \mathcal{F}$$

Indeed, for all zero mean h

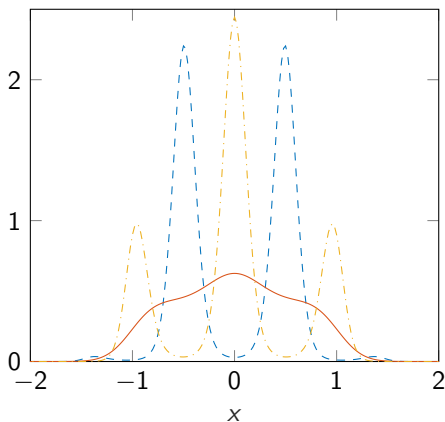
$$\rho \text{ fixed point} \Rightarrow d_{\rho} \mathcal{F}[\rho] \cdot h = - \int_{\mathbb{R}^d} \mathcal{K}^o(\rho) h \, dx$$

But it still holds that **strict convexity of \mathcal{F}** \Rightarrow **uniqueness for $\rho = \mathcal{T}(\rho)$** :

$$\rho_0, \rho_1 \text{ two fixed points} \implies (d_{\rho} \mathcal{F}[\rho_1] - d_{\rho} \mathcal{F}[\rho_0]) \cdot (\rho_1 - \rho_0) = 0$$

therefore $\rho_0 = \rho_1$

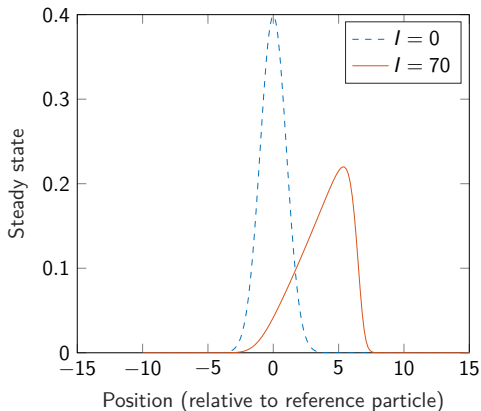
A case of non-uniqueness: Kuramoto $k(x) = -l \cos(2\pi x)$



Three steady states for $l = \underline{\kappa}^e = 3$

A case of non-symmetric potential

Interaction $k(x) = lk_S(x)$



Algo for numerical resolution [Warnock, Bane '18].

Quantitative stability

Assumptions on the confining potential

We make the following **integrability and boundedness** conditions:

$$(1 + |\nabla V|^2) e^{-V} \in L^1 \cap L^\infty \quad \text{and} \quad \int_{\mathbb{R}^d} e^{-V(x)} dx = 1.$$

Moreover, in order that the hierarchy

$$\{H^s(\mathbb{R}^d, e^{-V} dx)\}_{0 \leq s \leq 1} \quad \text{“behaves” like} \quad \{H^s(\mathbb{T}^d, dx)\}_{0 \leq s \leq 1}$$

we also assume that for any $\varepsilon > 0$

$$\forall x \in \mathbb{R}^d, \quad |\nabla^2 V(x)| \leq \varepsilon |\nabla V(x)| + C_\varepsilon,$$

and the measure $e^{-V} dx$ admits a **Poincaré** inequality

$$\int_{\mathbb{R}^d} |u|^2 e^{-V} dx - \left(\int_{\mathbb{R}^d} u e^{-V} dx \right)^2 \leq C_P \int_{\mathbb{R}^d} |\nabla_x u|^2 e^{-V} dx.$$

Assumptions on the interaction potential

For some $p, q \in [2, \infty]$ with $q > d$, one has the **regularity estimates**

$$\|\mathcal{K}^\alpha \rho\|_{L^p} + \|\nabla \mathcal{K}^\alpha \rho\|_{L^q} \leq \bar{\kappa}^\alpha \|\rho\|_{L^1 \cap L^2}, \quad \alpha = e, o.$$

There is $\underline{\kappa}^e > 0$ such that one has the **bound from below**

$$\langle \mathcal{K}^e h, h \rangle \geq -\underline{\kappa}^e \|h\|_{L^1 \cap L^2}^2, \quad \text{for all } h \in L^1 \cap L^2 \text{ s.t. } \int h = 0.$$

Finally we assume the **monotonicity** property

$$\rho \geq 0 \Rightarrow \mathcal{K}\rho \geq 0, \quad \text{for all } \rho \in L^1 \cap L^2.$$

Quantitative local asymptotic stability

Theorem (G, Herda. '24)

There are constants $\delta^e > 0$ and $\delta^o > 0$ such that if

$$\underline{\kappa}^e < \delta^e(\theta, \bar{\kappa}_{\max}, R_V) \quad \text{and} \quad \bar{\kappa}^o < \delta^o(\bar{\kappa}_{\max}, R_V, \underline{\kappa}^e, \nu),$$

the unique steady state of VFP is stable in the following sense. For any $s \in [0, 1]$ such that

$$s > s_c := \frac{3}{2} \left(\frac{d}{q} - \frac{1}{3} \right),$$

there is a constant $R > 0$ such that if

$$\|F_{in} - F_\star\|_{H_x^s L_v^2(F_\star^{-1})} < R,$$

then VFP has a unique solution $F \in \mathcal{C}([0, \infty); H_x^s L_v^2(F_\star^{-1}))$. Moreover, there are constants $C > 0$ and λ such that for all $t > 0$

$$\|F(t) - F_\star\|_{H_x^s L_v^2(F_\star^{-1})} \leq C \|F_{in} - F_\star\|_{H_x^s L_v^2(F_\star^{-1})} e^{-\lambda t}$$

Finally, $F_{in} \mapsto F$ is Lipschitz continuous.

Corollary: Vlasov-Poisson-Fokker-Planck $\mathcal{K} = (-\lambda^2 \Delta)^{-1}$

Hypotheses on the potential

- ▶ Regularity assumptions on \mathcal{K} and $\nabla \mathcal{K}$ are consequences of Hardy-Littlewood-Sobolev / elliptic regularity.
- ▶ No smallness for λ because of positivity and symmetry of $-\Delta$:

$$\mathcal{K} = \mathcal{K}^e = (-\lambda^2 \Delta)^{-1} \geq 0 \quad \Rightarrow \quad \bar{\kappa}^o = \underline{\kappa}^e = 0$$

Consequences of our result

- ▶ Quantitative decay estimate with constructive constants
- ▶ Holds for any Debye length λ (but constants are $\mathcal{O}(\lambda^{-2})$)
- ▶ Regularity on initial data $(H_x^s L_v^2, s > 1/4)$ is lowered compared to former results [Hérau, Thomann '16], [Toshpulatov '23]

Linearized VFP

- ▶ **Perturbative setting** around Gibbs steady state

$$F = F_*(1 + f)$$

- ▶ **Hilbertian setting**

$$\|f\|^2 = \iint_{\mathbb{R}^{2d}} f^2 F_* dx dv$$

and ∇_v^* and ∇_x^* adjoints for the corresponding scalar product.

- ▶ The VFP equation rewrites in **linearized form**

$$(\partial_t + \Lambda)f(t) + v \cdot \nabla_x \mathcal{K} \rho_f(t) = \nabla_v^* \varphi[f], \quad f|_{t=0} = f_{\text{in}}.$$

with the linear part

$$\Lambda := \nu \nabla_v^* \nabla_v + v \cdot \nabla_x - \nabla_x V_* \cdot \nabla_v =: \Lambda^{\text{sym}} + \Lambda^{\text{skew}}$$

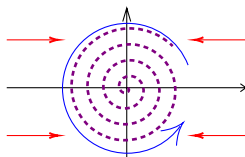
and the nonlinear part

$$\varphi[f] = f \nabla_x \mathcal{K} \rho_f \quad \text{and} \quad \mathcal{K} \rho_f = \iint k(\cdot - y) f(y, w) F_*(y, w) dy dw$$

Hypo-coercivity in a nutshell: a 2D toy model

$$\frac{dy}{dt} = \begin{pmatrix} 0 & 1 \\ -1 & -1 \end{pmatrix} y$$

$$\text{EigenV} = -\frac{1}{2} \pm i\frac{\sqrt{3}}{2}$$



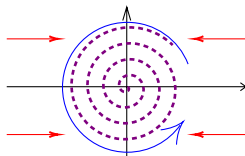
- ▶ Decay $y(t) = \mathcal{O}(e^{-t/2})$ can't be deduced from the **energy estimate**:

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- ▶ By introducing the **equivalent** (squared) norm ($|\eta| < 1$)

$$H(y) = y_1^2 + y_2^2 + 2\eta y_1 y_2$$

one has

$$\frac{1}{2} \frac{d}{dt} H(y(t)) \leq -\lambda_\eta H(y(t))$$

This strategy also works in **infinite dimension**!

L^2 hypocoercivity

- ▶ Λ is **not coercive** for the canonical norm:

$$\langle \Lambda f, f \rangle = \nu \|\nabla_{\nu} f\|^2 \gtrsim \|f - \Pi f\|^2, \quad \Pi f = \int f \mathcal{G} \, d\nu$$

We wish to add a **cross term** $\langle Af, f \rangle$ making it coercive:

$$\frac{d}{dt} \langle Af, f \rangle = \langle A \Lambda^{\text{skew}} f, f \rangle + \dots \gtrsim \|\Pi f\|^2 + \mathcal{O}(\|f - \Pi f\|^2)$$

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- ▶ Solution from [Dolbeault, Mouhot, Schmeiser '15]:

$$A := \left(\text{Id} + (\Lambda^{\text{skew}} \Pi)^* \Lambda^{\text{skew}} \Pi \right)^{-1} (\Lambda^{\text{skew}} \Pi)^*, \quad \|\Lambda^{\text{skew}} \Pi\| \geq c \|\Pi f\|$$

which is chosen so that

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- ▶ Λ is coercive for the **equivalent norm** $\|f\|^2 + \eta \langle Af, f \rangle$

The linearized free energy norm

- ▶ If the linear interaction term is viewed as a **perturbation** of Λ

$$(\partial_t + \Lambda)f(t) + \boldsymbol{v} \cdot \nabla_x \mathcal{K} \rho_f(t) = \nabla_{\boldsymbol{v}}^* \varphi(t)$$

asymptotic stability will be obtained **only** for $\|\mathcal{K}\| \ll 1$!

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- ▶ Change Hilbert geometry as in [Addala, Dolbeault, Li, Tayeb, '23]:
 - ▶ When \mathcal{K} is symmetric, **kinetic free energy**=Lyapunov functional:

$$\mathcal{F}^{\text{kin}}[F] := \int_{\mathbb{R}^{2d}} F \log F \, dx dv + \int_{\mathbb{R}^d} \rho_F \left(\frac{1}{2} \mathcal{K}^e \rho_F + V \right) dx$$

\Rightarrow its linearization provides a “natural” norm:

$$\|f\|^2 := \int_{\mathbb{R}^{2d}} f^2 F_* dx dv + \int_{\mathbb{R}^d} (\mathcal{K}^e \rho_f) \rho_f dx = d_p^2 \mathcal{F}^{\text{kin}}[F_*] \cdot (f)^2$$

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- ▶ New Hilbert structure ⇒ new symmetric/skew decomposition:

$$\tilde{\Lambda} := \nu \nabla_v^* \nabla_v + \mathbf{v} \cdot \nabla_x - \nabla_x V_* \cdot \nabla_v + \mathbf{v} \cdot \nabla_x \mathcal{K}^e \rho_f =: \tilde{\Lambda}^{\text{sym}} + \tilde{\Lambda}^{\text{skew}}$$

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- ▶ Apply L^2 -hypo-coercivity in this new Hilbert structure to

$$(\partial_t + \tilde{\Lambda})f(t) + \mathbf{v} \cdot \nabla_x \mathcal{K}^o \rho_f(t) = \nabla_v^* \varphi(t)$$

where the interaction term is a **small perturbation** of size $\|\mathcal{K}^o\| \ll 1$.

L^2 -hypo-coercivity on x derivative

We also use the previous L^2 -hypo-coercivity on the x derivative of VFP:

$$\partial_t (\nabla_x f) + \tilde{\Lambda} (\nabla_x f) + v \cdot \nabla_x \mathcal{K}^o \rho_{\nabla_x f} = \nabla_v^* (\nabla_x \varphi) + \dots$$

Interpolation yields hypo-coercivity in $H_x^s L_v^2(F_\star dx dv)$ with $s \in [0, 1]$

Proposition

Assuming $\underline{\kappa}^e < \delta^e$ and $\bar{\kappa}^o < \delta^o$, there exists λ and C such that

$$\begin{aligned} \sup_{t \geq 0} e^{2\lambda t} \|f(t)\|_{H_x^s L_v^2(F_\star)}^2 + \int_0^\infty e^{2\lambda t} \|\nabla_v f(t)\|_{H_x^s L_v^2(F_\star)}^2 dt \\ \leq C \left(\|f_{in}\|_{H_x^s L_v^2(F_\star)}^2 + \int_0^\infty e^{2\lambda t} \|\varphi(t)\|_{H_x^s L_v^2(F_\star)}^2 dt \right). \end{aligned}$$

Hypoellipticity: regularizing version of hypo-coercivity

Zeroth order estimate:

$$\frac{1}{2} \frac{d}{dt} \mathcal{E}_0(f) + \|\nabla_v f\|^2 \leq 0. \quad (1)$$

First order estimates:

$$\frac{1}{2} \frac{d}{dt} \|\nabla_v f\|^2 + c \|\nabla_v^2 f\|^2 \leq \varepsilon \|\nabla_x f\|^2 + C_\varepsilon(\dots). \quad (2)$$

$$\frac{1}{2} \frac{d}{dt} \|\nabla_x f\|^2 + c \|\nabla_v \nabla_x f\|^2 \leq C (\|\nabla_x f\|^2 + \dots) \quad (3)$$

The famous **cross term** estimate [Hérau, Nier], [Villani]...

$$\frac{d}{dt} \langle \nabla_x f, \nabla_v f \rangle + c \|\nabla_x f\|^2 \leq \varepsilon \|\nabla_x \nabla_v f\|^2 + C_\varepsilon(\dots) \quad (4)$$

Combination of (1)–(4) with time weights \Rightarrow decay/regularization

$$\|\nabla_x f(t)\| \leq C e^{-\lambda t} t^{-3/2} \|f_{\text{in}}\| \quad \dots$$

Interpolation and nonlinear estimates

We interpolate the previous results on the linear flow $(\varphi, f_{in}) \mapsto f$

$$\|\varphi\|_{\mathbb{H}^s}^2 = \int_0^\infty e^{2\lambda t} \left(t^{3(1-s)} \|\varphi\|_{H_x^1 L_v^2(F_*)}^2 + \dots \right) dt$$

$$\begin{aligned} \|f\|_{\mathcal{X}^s}^2 := \sup_{t>0} e^{2\lambda t} & \left(\|f\|_{H_x^s L_v^2(F_*)}^2 + t^{3(1-s)} \|f\|_{H_x^1 L_v^2(F_*)}^2 + \dots \right) \\ & + \int_0^\infty e^{2\lambda t} \left(t^{2(1-s)} \|f\|_{H_x^1 L_v^2(F_*)}^2 + \dots \right) dt \end{aligned}$$

Proposition

For any given $s \in [0, 1]$,

$$\|f\|_{\mathcal{X}^s} \leq C \left(\|f_{in}\|_{H_x^s L_v^2(F_*)} + \|\varphi\|_{\mathbb{H}^s} \right).$$

If additionally $s > s_c := \frac{3}{2} \left(\frac{d}{q} - \frac{1}{3} \right)$, then

$$\|f \nabla_x \psi_g\|_{\mathbb{H}^s} \leq C \|f\|_{\mathcal{X}^s} \|g\|_{\mathcal{X}^s}.$$

Concluding remarks

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Takeaway message

- ▶ About \mathcal{K}^e
 - ▶ Uniqueness of steady states lost if \mathcal{K}^e is very negative
 - ▶ Natural Hilbert norm includes \mathcal{K}^e : no upper-bound necessary
- ▶ About \mathcal{K}^o
 - ▶ Stability may be lost if \mathcal{K}^o is large but not uniqueness
- ▶ Mixing hypocoercivity techniques (L^2 and H^1) : finer estimates + reduce regularity assumption on initial data

Perspectives

- ▶ Phase transitions in strongly nonlinear regime
- ▶ McKean-Vlasov limit (diffusive regime)
- ▶ Non-perturbative regime (unique steady states is attractive ?)

Thanks for your attention!

[G, Herda., *Well-posedness and long-time behavior for self-consistent Vlasov-Fokker-Planck equations with general potentials.*
arXiv:2408.16468]

[Cesbron, Herda, *On a Vlasov-Fokker-Planck equation for stored electron beams.* Journal of Differential Equations, 2024]