

Transparent boundary conditions for locally perturbed infinite hexagonal periodic media

I. Lacroix-Violet

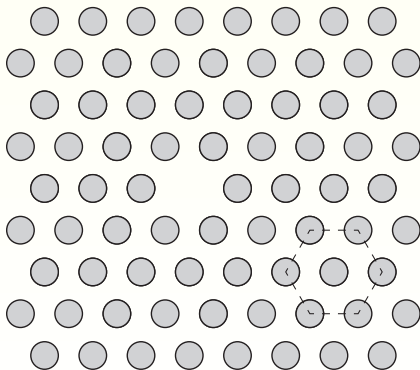
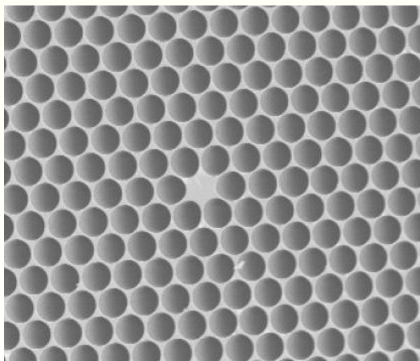
Joint work with C. Besse, J. Coatléven, S. Fliss and K. Ramdani

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Goal

➤ Determination of the DtN operator for infinite, lossy and locally perturbed hexagonal periodic media.

Photonic crystal



Overview of the method

- ✚ Factorization of the DtN operator involving two non local operators
 - ✚ a DtN operator for a half-space problem
 - ✚ a DtD operator taking advantage of the symmetry properties

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- ✚ Characterization of the DtN operator for a half-space problem
 - Floquet-Bloch transform
 - Family of elementary strip problems
 - Family of stationary Riccati equations

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- ✚ Characterization of the DtN operator for a half-space problem
 - Floquet-Bloch transform
 - Family of elementary strip problems
 - Family of stationary Riccati equations
- ✚ Characterization of the DtD operator
 - Affine valued equation \rightarrow non standard integral equation

Outlines

- 1 Introduction
- 2 Determination of the DtN operator
 - Factorization of the DtN operator
 - Characterization of the half-space DtN operator
- 3 Conclusion

Introduction

Previous works

Two classes of methods

✚ The periodicity can be handled via homogenization techniques

- ❑ G. Allaire, C. Conca, M. Vanninathan (1999),
- ❑ G. Bouchitté, S. Guenneau, F. Zolla (2010).

✚ Keeping the periodicity but considering only

➤ **finite media**

- ❑ M. Ehrhardt, H. Han, C. Zheng (2009),
- ❑ M. Ehrhardt, C. Zheng (2010),
- ❑ Z. Hu, Y. Lu (2008),
- ❑ L. Yuan, Y.-Y. Lu (2006, 2007).

➤ **media that can be reduced to finite domains**

- ❑ A. Figotin, A. Klein (1997, 1998),
- ❑ R.-C. Gauthier (2007).

Previous works

✎ Infinite two dimensional periodic media containing local defects

- ❑ S. Fliss (PhD Thesis, 2009);
- ❑ S. Fliss, P. Joly (2009).

Main assumptions of these works

- orthogonality of directions of periodicity,
- commensurate periodicity lengths,
- dissipative Helmholtz equation.

For hexagonal periodic media, the corresponding periods would not be commensurate

Applications of hexagonal lattices

✚ **Quantum mechanics:** the mathematical formulation leads to Schrödinger operator

$$Au := -\Delta u + (V + ip)u.$$

✚ **Phonics:** the operator involved is the elasticity system

$$Au := -\operatorname{div}\sigma(u) + \omega^2 \rho u$$

✚ **Photonics:** electromagnetic propagation is described by the vector Maxwell's equations which in 2D reduce to

Transverse electric polarizations case: $Au := \Delta u + \omega^2 n^2 u$

Transverse magnetic polarizations case: $Au := -\operatorname{div}\left(\frac{1}{n^2}\nabla u\right) + \omega^2 u$

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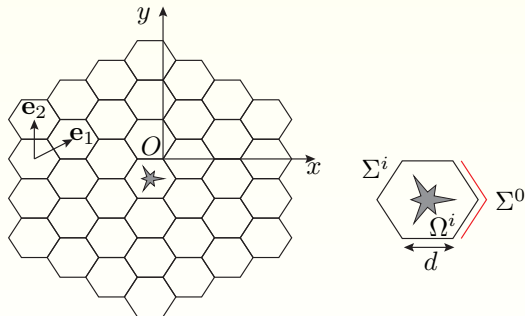
The defect is taken into account by adding a bounded obstacle or locally perturbing the coefficients

Problem setting

✚ **Domain:** Infinite photonic crystal $\Omega = \mathbb{R}^2$ with a localized defect

Main notations

- Ω^i : cell with defect
- Σ^i : boundary of Ω^i
- $\Omega^e = \Omega \setminus \overline{\Omega^i}$
- $\mathbf{e}_1, \mathbf{e}_2$: directions of periodicity



✚ **Model problem:** Dissipative Helmholtz equation

$$\Delta u + \rho u = f, \quad \text{in } \Omega.$$

Problem setting

✚ Hexagonal symmetry

Definition for a domain

A domain \mathcal{O} of \mathbb{R}^2 has hexagonal symmetry if there exists a rotation of angle $2\pi/3$, denoted $\Theta_{2\pi/3}$ under which \mathcal{O} is invariant.

Definition for a function

Let \mathcal{O} be an open set with hexagonal symmetry and let g be a real or complex valued function defined on \mathcal{O} . Then, g has hexagonal symmetry if

$$g = g \circ \Theta_{2\pi/3}.$$

Problem setting

Assumptions

- ρ is a local perturbation of a hexagonal periodic function ρ_{per}

$$\rho = \rho_{\text{per}} + \rho_0,$$

- ✓ for all $\mathbf{x} = (x, y) \in \Omega$ and all $(p, q) \in \mathbb{Z}^2$, $\rho_{\text{per}}(\mathbf{x} + p\mathbf{e}_1 + q\mathbf{e}_2) = \rho_{\text{per}}(\mathbf{x})$
- ✓ ρ_{per} and ρ_0 have hexagonal symmetry
- ✓ $\text{Supp}(\rho_0) \subset \Omega^i$
- ρ satisfies the dissipation property

$$|\text{Im } \rho(\mathbf{x})| \geq \rho_b > 0, \quad \forall \mathbf{x} \in \Omega. \quad (1)$$

- The source f is compactly supported in Ω^i and has hexagonal symmetry.

(1) guarantees existence and uniqueness of finite energy solutions

- **Goal:** Propose a method to solve the Helmholtz equation in the infinite domain Ω under these assumptions

Idea of the method

👉 **Key idea** Reduce the problem to a boundary value problem set in the cell Ω^i

⇒ Derive suitable transparent boundary condition on Σ^i
associated with a DtN operator Λ

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✚ **Key idea** Reduce the problem to a boundary value problem set in the cell Ω^i

⇒ Derive suitable transparent boundary condition on Σ^i
associated with a DtN operator Λ

✚ **More precisely** $u^i := u|_{\Omega^i}$ solves the interior problem

$$\begin{cases} \Delta u^i + \rho u^i = f, & \text{in } \Omega^i \\ \frac{\partial u^i}{\partial \nu^i} + \Lambda u^i = 0 & \text{on } \Sigma^i \end{cases}$$

where Λ such that $\Lambda\phi = -\frac{\partial u^e(\phi)}{\partial \nu^i}$ on Σ^i with $u^e(\phi)$ the unique solution of the exterior problem

$$\begin{cases} \Delta u^e(\phi) + \rho u^e(\phi) = 0, & \text{in } \Omega^e \\ u^e(\phi) = \phi, & \text{on } \Sigma^i \end{cases}$$

Idea of the method

✎ Main steps of the method

- ➊ **Factorization of Λ :** involving
 - a half-space DtN operator Λ^H
 - a DtD operator $D_{2\pi/3}$

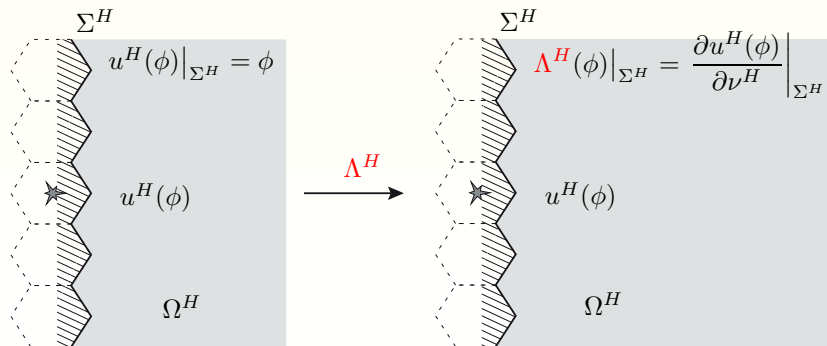
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❷ Characterization of Λ^H : Use of the periodicity property



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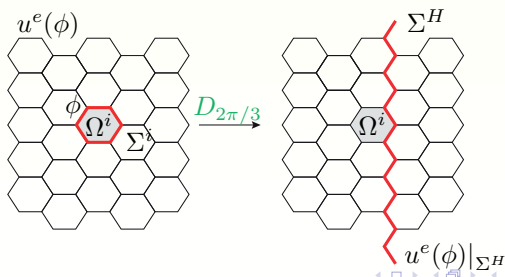
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❸ **Characterization of $D_{2\pi/3}$** : Use of the hexagonal symmetry property



Idea of the method

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- a DtD operator $D_{2\pi/3}$

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❸ **Characterization of $D_{2\pi/3}$** : $D_{2\pi/3}$ solves an affine operator-valued equation. In practice the idea is to consider this equation using Floquet-Bloch variables \implies a set of non standard integral equations with constraints.

Restriction and extension operators

✎ Restriction operator $R_{2\pi/3}$

$$\begin{aligned} L^2(\Sigma^i) &\rightarrow L^2(\Sigma^0) \\ \phi &\mapsto \phi|_{\Sigma^0} \end{aligned}$$

✎ Extension operator $E_{2\pi/3}$: Inverse of $R_{2\pi/3}$

$$\forall \phi \in L^2(\Sigma^0), \quad \left\{ \begin{array}{l} E_{2\pi/3}\phi|_{\Sigma^0} = \phi \\ E_{2\pi/3}\phi|_{\Theta_{2\pi/3}\Sigma^0} = \phi \circ \Theta_{-2\pi/3} \\ E_{2\pi/3}\phi|_{\Theta_{2\pi/3}^2\Sigma^0} = \phi \circ \Theta_{-2\pi/3}^2 \end{array} \right.$$

▶ figure

Determination of the DtN operator

Factorization of the DtN operator

Theorem

The operator Λ admits the factorization

$$\Lambda = E_{2\pi/3} \circ R^H \circ \Lambda^H \circ D_{2\pi/3}$$

where R^H is a restriction operator from Σ^H to Σ^0 .

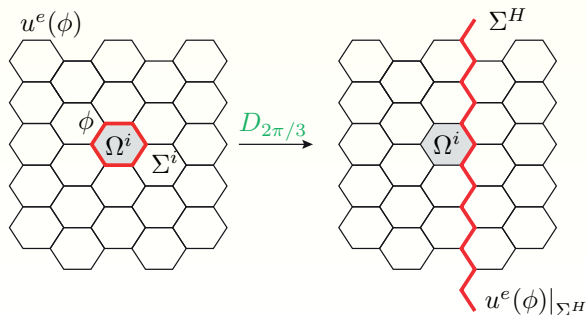
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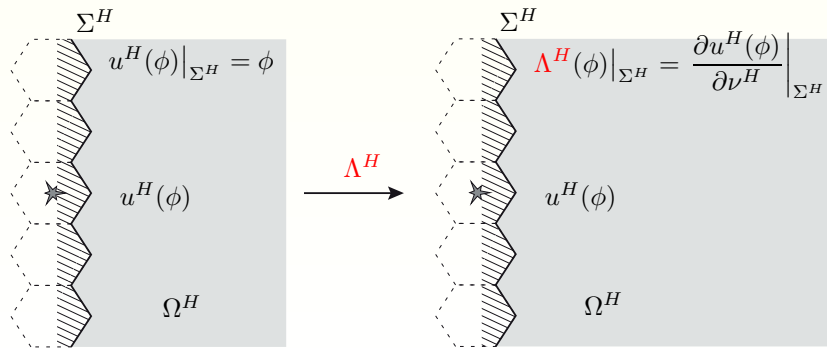
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Characterization of the half-space DtN operator

✚ **Half-space problem:** For any ϕ we want to compute the solution $u^H(\phi)$ of

$$(\mathcal{P}^H) \quad \begin{cases} \Delta u^H(\phi) + \rho u^H(\phi) = 0, & \text{in } \Omega^H, \\ u^H(\phi) = \phi, & \text{on } \Sigma^H, \end{cases}$$

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\implies The half-space DtN operator : $\Lambda^H \phi = \frac{\partial u^H(\phi)}{\partial \nu^H} \Big|_{\Sigma^H}$.

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✚ **Remark:** the half-space is infinite and periodic in the y -direction

\implies we use the Floquet-Bloch transform to reduce the problem to k -QP boundary data.

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\implies The half-space DtN operator : $\Lambda^H \phi = \frac{\partial u^H(\phi)}{\partial \nu^H} \Big|_{\Sigma^H}$.

✚ **k -QP boundary data:** $\phi(y + qL) = e^{iqkL} \phi(y)$

Floquet-Bloch transform $\hat{\phi}_k(y) = \sqrt{\frac{L}{2\pi}} \sum_{m \in \mathbb{Z}} \phi(y + mL) e^{-imkL}$ and its inversion

formula $\phi(y) = \sqrt{\frac{L}{2\pi}} \int_{-\pi/L}^{\pi/L} \hat{\phi}_k(y) dk$ imply that the solution for arbitrary boundary

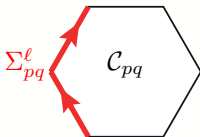
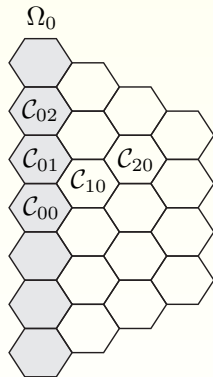
data is obtained by superposing the solutions for k -QP boundary data.

$$u^H(\phi) = \sqrt{\frac{L}{2\pi}} \int_{-\pi/L}^{\pi/L} u^H(\hat{\phi}_k) dk.$$

Solution of (\mathcal{P}^H) for quasiperiodic boundary data

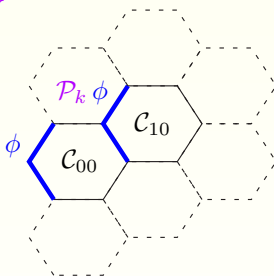
Notation

- \mathcal{C}_{00} : reference cell,
- $\mathbf{V}_{pq} = p\mathbf{e}_1 + q\mathbf{e}_2$,
- $\forall p \in \mathbb{N}, q \in \mathbb{Z}, \quad \mathcal{C}_{pq} = \mathcal{C}_{00} + \mathbf{V}_{pq}$.
- $\Omega_p = \bigcup_{q \in \mathbb{Z}} \mathcal{C}_{pq}$: vertical strip containing \mathcal{C}_{p0} .
- Σ_{pq}^ℓ : oriented boundaries for a cell \mathcal{C}_{pq}



Solution of (\mathcal{P}^H) for quasiperiodic boundary data

✚ The propagation operator



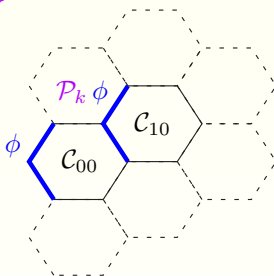
Definition

For any ϕ defined on Σ_{00}^ℓ , the propagation operator \mathcal{P}_k is given by

$$\mathcal{P}_k \phi = u^H(\phi)|_{\Sigma_{10}^\ell}.$$

Solution of (\mathcal{P}^H) for quasiperiodic boundary data

☞ The propagation operator



Definition

For any ϕ defined on Σ_{00}^ℓ , the propagation operator \mathcal{P}_k is given by

$$\mathcal{P}_k \phi = u^H(E_k^{QP} \phi) \Big|_{\Sigma_{10}^\ell}.$$

Solution of (\mathcal{P}^H) for quasiperiodic boundary data

✚ The propagation operator

Definition

For any ϕ defined on Σ_{00}^ℓ , the propagation operator \mathcal{P}_k is given by

$$\mathcal{P}_k \phi = u^H(\phi)|_{\Sigma_{10}^\ell}.$$

Theorem

For any k -QP boundary data ϕ defined on Σ^H , the solution $u^H(\phi)$ of the half-space problem is given by

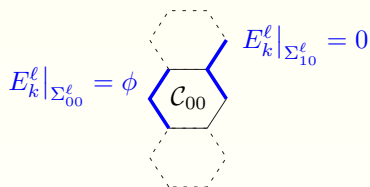
$$\forall p \in \mathbb{N}, q \in \mathbb{Z}, \quad u^H(\phi)|_{\mathcal{C}_{pq}} = e^{iqkL} u^H((\mathcal{P}_k)^p \phi)|_{\mathcal{C}_{00}}.$$

Solution of (\mathcal{P}^H) for quasiperiodic boundary data

Elementary problems

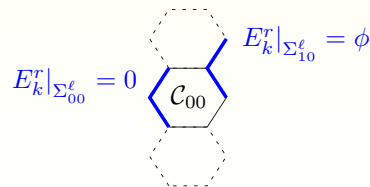
❶ $E_k^\ell(\phi)$ is the unique k -QP solution of

$$\begin{cases} \Delta E_k^\ell(\phi) + \rho E_k^\ell(\phi) = 0, & \text{in } \Omega_0, \\ E_k^\ell(\phi) = \phi, & \text{on } \Sigma_{00}^\ell, \\ E_k^\ell(\phi) = 0, & \text{on } \Sigma_{10}^\ell, \end{cases}$$



❷ $E_k^r(\phi_k)$ is the unique k -QP solution of

$$\begin{cases} \Delta E_k^r(\phi) + \rho E_k^r(\phi) = 0, & \text{in } \Omega_0, \\ E_k^r(\phi) = 0, & \text{on } \Sigma_{00}^\ell, \\ E_k^r(\phi) = \phi, & \text{on } \Sigma_{10}^\ell. \end{cases}$$



$$e_k^\ell(\phi) = E_k^\ell(\phi)|_{C_{00}} \quad \text{and} \quad e_k^r(\phi) = E_k^r(\phi)|_{C_{00}}.$$

Solution of (\mathcal{P}^H) for quasiperiodic boundary data

Elementary problems

$$E_k^\ell|_{\Sigma_{00}^\ell} = \phi \quad E_k^\ell|_{\Sigma_{10}^\ell} = 0$$

$$E_k^r|_{\Sigma_{00}^r} = 0 \quad E_k^r|_{\Sigma_{10}^r} = \phi$$

$$e_k^\ell(\phi) = E_k^\ell(\phi)|_{\mathcal{C}_{00}} \quad \text{and} \quad e_k^r(\phi) = E_k^r(\phi)|_{\mathcal{C}_{00}}.$$

\implies By linearity $u^H := u^H(\phi)$ satisfies

$$\begin{cases} u^H|_{\mathcal{C}_{00}} = e_k^\ell(\phi) + e_k^r(\mathcal{P}_k\phi), \\ u^H|_{\Omega_0} = E_k^\ell(\phi) + E_k^r(\mathcal{P}_k\phi). \end{cases}$$

Solution of (\mathcal{P}^H) for quasiperiodic boundary data

↪ Determination of \mathcal{P}_k : Riccati equation

Diagram illustrating the left half-space problem. A central hexagonal cell C_{00} is shown with its boundary Σ_{00}^ℓ highlighted in blue. The boundary is divided into two parts: the left part is labeled $E_k^\ell|_{\Sigma_{00}^\ell} = \phi$ and the right part is labeled $E_k^\ell|_{\Sigma_{10}^\ell} = 0$. Dashed lines represent the continuation of the lattice structure.

Diagram illustrating the right half-space problem. A central hexagonal cell C_{00} is shown with its boundary Σ_{00}^r highlighted in blue. The boundary is divided into two parts: the left part is labeled $E_k^r|_{\Sigma_{00}^r} = 0$ and the right part is labeled $E_k^r|_{\Sigma_{10}^r} = \phi$. Dashed lines represent the continuation of the lattice structure.

By linearity and periodicity:

$$u^H|_{C_{00}} = E_k^\ell(\phi) + E_k^r(\mathcal{P}_k\phi), \quad u^H|_{C_{10}} = E_k^\ell(\mathcal{P}_k\phi) + E_k^r(\mathcal{P}_k^2\phi)$$

Solution of (\mathcal{P}^H) for quasiperiodic boundary data

✎ Determination of \mathcal{P}_k : Riccati equation

By linearity and periodicity:

$$u^H|_{\mathcal{C}_{00}} = E_k^\ell(\phi) + E_k^r(\mathcal{P}_k\phi), \quad u^H|_{\mathcal{C}_{10}} = E_k^\ell(\mathcal{P}_k\phi) + E_k^r(\mathcal{P}_k^2\phi)$$

The continuity of the normal derivative across Σ_{10}^ℓ yields

$$\left. \frac{\partial \left(u^H|_{\mathcal{C}_{00}} \right)}{\partial \nu} \right|_{\Sigma_{10}^\ell} = \left. \frac{\partial \left(u^H|_{\mathcal{C}_{10}} \right)}{\partial \nu} \right|_{\Sigma_{10}^\ell}$$

Solution of (\mathcal{P}^H) for quasiperiodic boundary data

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that is

$$\left(\nabla E_k^\ell(\phi) + \nabla E_k^r(\mathcal{P}_k\phi) \right) \cdot \nu|_{\Sigma_{10}^\ell} = - \left(\nabla E_k^\ell(\mathcal{P}_k\phi) + \nabla E_k^r(\mathcal{P}_k^2\phi) \right) \cdot \nu|_{\Sigma_{00}^\ell}$$

↪ Determination of \mathcal{P}_k : Riccati equation

$$(\nabla E_k^\ell(\phi) + \nabla E_k^r(\mathcal{P}_k\phi)) \cdot \nu|_{\Sigma_{10}^\ell} = -(\nabla E_k^\ell(\mathcal{P}_k\phi) + \nabla E_k^r(\mathcal{P}_k^2\phi)) \cdot \nu|_{\Sigma_{00}^\ell}$$

Definition

For all function ϕ on Σ_{00}^ℓ we introduce the following local DtN operators

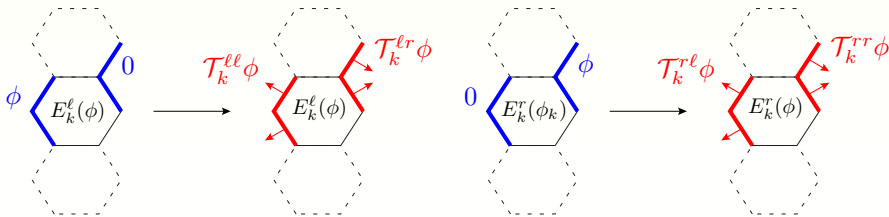
$$\mathcal{T}_k^{\ell\ell}\phi = \nabla E_k^\ell(\phi) \cdot \nu \Big|_{\Sigma_{00}^\ell}$$

$$\mathcal{T}_k^{\ell r}\phi = \nabla E_k^\ell(\phi) \cdot \nu \Big|_{\Sigma_{10}^\ell}$$

$$\mathcal{T}_k^{r\ell}\phi = \nabla E_k^r(\phi) \cdot \nu \Big|_{\Sigma_{00}^\ell}$$

$$\mathcal{T}_k^{rr}\phi = \nabla E_k^r(\phi) \cdot \nu \Big|_{\Sigma_{10}^\ell}$$

where ν is the outgoing unit normal to \mathcal{C}_{00} .



↩ Determination of \mathcal{P}_k : Riccati equation

$$(\nabla E_k^\ell(\phi) + \nabla E_k^r(\mathcal{P}_k\phi)) \cdot \nu|_{\Sigma_{10}^\ell} = -(\nabla E_k^\ell(\mathcal{P}_k\phi) + \nabla E_k^r(\mathcal{P}_k^2\phi)) \cdot \nu|_{\Sigma_{00}^\ell}$$

Definition

For all function ϕ on Σ_{00}^ℓ we introduce the following local DtN operators

$$\begin{aligned} \mathcal{T}_k^{\ell\ell}\phi &= \nabla E_k^\ell(\phi) \cdot \nu|_{\Sigma_{00}^\ell} & \mathcal{T}_k^{\ell r}\phi &= \nabla E_k^\ell(\phi) \cdot \nu|_{\Sigma_{10}^\ell} \\ \mathcal{T}_k^{r\ell}\phi &= \nabla E_k^r(\phi) \cdot \nu|_{\Sigma_{00}^\ell} & \mathcal{T}_k^{rr}\phi &= \nabla E_k^r(\phi) \cdot \nu|_{\Sigma_{10}^\ell} \end{aligned}$$

where ν is the outgoing unit normal to \mathcal{C}_{00} .

$$\implies \mathcal{T}_k^{\ell r}\phi + \mathcal{T}_k^{rr}\mathcal{P}_k\phi = -\mathcal{T}_k^{\ell\ell}\mathcal{P}_k\phi - \mathcal{T}_k^{r\ell}\mathcal{P}_k^2\phi$$

Solution of (\mathcal{P}^H) for quasiperiodic boundary data

↪ Determination of \mathcal{P}_k : Riccati equation

$$\implies \mathcal{T}_k^{\ell r} \phi + \mathcal{T}_k^{rr} \mathcal{P}_k \phi = -\mathcal{T}_k^{\ell \ell} \mathcal{P}_k \phi - \mathcal{T}_k^{r \ell} \mathcal{P}_k^2 \phi$$

Since ϕ is arbitrary, we get:

Theorem

The propagation operator \mathcal{P}_k is the unique compact operator with spectral radius strictly less than 1 solution of the stationary Riccati equation

$$\mathcal{T}_k^{r \ell} \mathcal{P}_k^2 + (\mathcal{T}_k^{\ell \ell} + \mathcal{T}_k^{rr}) \mathcal{P}_k + \mathcal{T}_k^{\ell r} = 0.$$

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$$\mathcal{T}_k^{r\ell} \mathcal{P}_k^2 + (\mathcal{T}_k^{\ell\ell} + \mathcal{T}_k^{rr}) \mathcal{P}_k + \mathcal{T}_k^{\ell r} = 0.$$

Proposition

For any k -QP boundary data ϕ , the DtN operator, associated to the half-space problem, is given by

$$\Lambda^H \phi = \mathcal{T}_k^{\ell\ell} \phi + \mathcal{T}_k^{r\ell} \mathcal{P}_k \phi.$$

Solution of (\mathcal{P}^H) for quasiperiodic boundary data

↪ Determination of \mathcal{P}_k : Riccati equation

Theorem

The propagation operator \mathcal{P}_k is the unique compact operator with spectral radius strictly less than 1 solution of the stationary Riccati equation

$$\mathcal{T}_k^{r\ell} \mathcal{P}_k^2 + (\mathcal{T}_k^{\ell\ell} + \mathcal{T}_k^{rr}) \mathcal{P}_k + \mathcal{T}_k^{\ell r} = 0.$$

Proposition

For any k -QP boundary data ϕ , the DtN operator, associated to the half-space problem, is given by

$$\Lambda^H \phi = \mathcal{T}_k^{\ell\ell} \phi + \mathcal{T}_k^{r\ell} \mathcal{P}_k \phi.$$

For arbitrary boundary data :

$$\Lambda^H \phi = \sqrt{\frac{L}{2\pi}} \int_{-\pi/L}^{\pi/L} \Lambda^H \widehat{\phi}_k dk.$$

Done

✚ We proposed a strategy to determine the DtN operator for infinite, lossy and locally perturbed hexagonal periodic media.

To be done

✚ Numerical implementation and experiments

Thank you for your attention !