Mass Transportation and Convex Earth Theorem

Ludovic Rifford

Université Nice Côte d'Azur

GStats Seminar, 12 January 2023

Monge's Memoir

MÉMOIRE

SUR LA

THÉORIE DES DÉBLAIS ET DES REMBLAIS.

Par M. MONGE.

LORSQU'ON doit tranſporter des terres d'un lieu dans un autre, on a coutume de donner le nom de *Déblai* au volume des terres que l'on doit tranſporter, & le nom de *Remblai* à l'eſpace qu'elles doivent occuper après le tranſport.

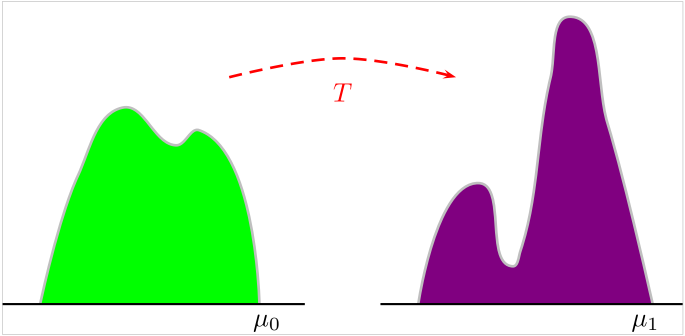
Le prix du tranſport d'une molécule étant, toutes choſes d'ailleurs égales, proportionnel à ſon poids & à l'eſpace qu'on lui fait parcourir, & par conſéquent le prix du tranſport total devant être proportionnel à la ſomme des produits des molécules multipliées chacune par l'eſpace parcouru, il s'enſuit que le déblai & le remblai étant donnés de figure & de poſition, il n'eſt pas indifférent que telle molécule du déblai ſoit tranſportée dans tel ou tel autre endroit du remblai, mais qu'il y a une certaine diſtribution à faire des molécules du premier dans le ſecond, d'après laquelle la ſomme de ces produits ſera la moindre poſſible, & le prix du tranſport total ſera un *minimum*.

In *Histoire de l'Académie Royale des Sciences de Paris, 1781.*

Transport maps

Let μ_0 and μ_1 be **probability measures** on M. We call **transport map** from μ_0 to μ_1 any measurable map $T : M \to M$ such that $T_\sharp \mu_0 = \mu_1$, that is

$$\mu_1(B) = \mu_0\big(T^{-1}(B)\big), \quad \forall B \text{ measurable } \subset M.$$



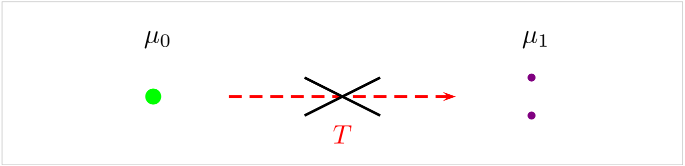
The Monge Problem

Let $M = \mathbb{R}^n$, given two probabilities measures μ_0, μ_1 on M, find a **transport map** $T : M \to M$ from μ_0 to μ_1 which **minimizes** the transportation cost

$$\int_M \|T(x) - x\| \, d\mu_0(x).$$

Examples

- In $M = \mathbb{R}^2$, let $\mu_0 = \delta_x$ and $\mu_1 = \frac{1}{2}\delta_y + \frac{1}{2}\delta_{y'}$ with $y \neq y'$.



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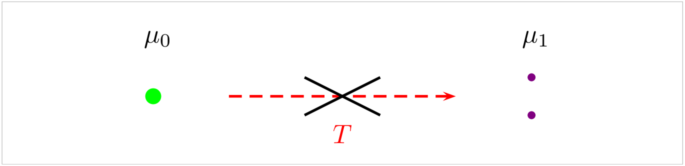
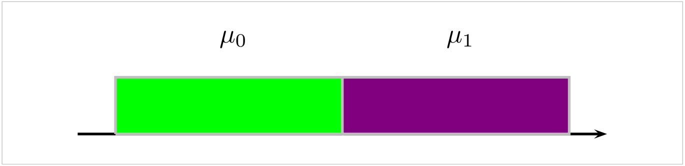


- In $M=\mathbb{R}$, let $\mu_0=\chi_{[0,1]}$ and $\mu_1=\chi_{[1,2]}$.



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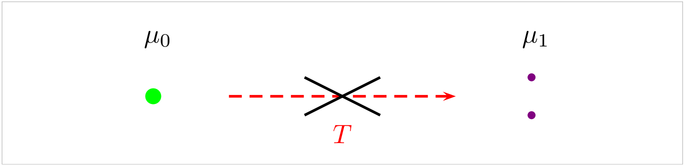

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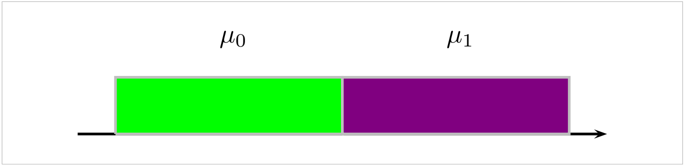

$$T(x) = x + 1 \implies \int_0^1 |T(x) - x| \, dx = 1$$

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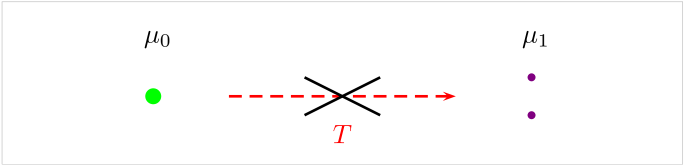

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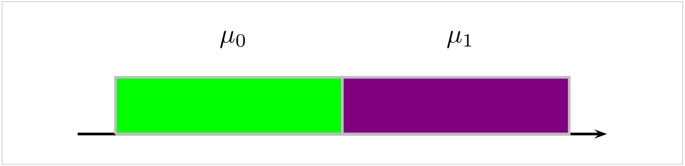

$$T(x) = x + 1 \implies \int_0^1 |T(x) - x| \, dx = 1$$
$$T(x) = 2 - x \implies \int_0^1 |T(x) - x| \, dx = 1$$

Classical Monge's Problem

Theorem (Sudakov '79, Ambrosio '00, Trudinger-Wang '01, Caffarelli-Feldman-McCann '10)

Let μ_0 and μ_1 be two compactly supported probability measures on $\mathbb{R}^n$. Assume that μ_0 is absolutely continuous w.r.t. Lebesgue, then the problem

$$\min \left\{ \int_{\mathbb{R}^n} \|x - T(x)\| \, d\mu_0(x) \,|\, T_\sharp \mu_0 = \mu_1 \right\}$$

has at least one solution.

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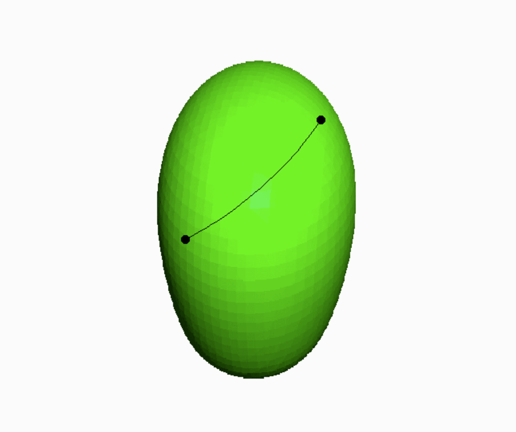
has at least one solution.

Several minimizers

Very little is known on the regularity of (some) minimizers

An other framework

Let (M, g) be a **smooth connected compact Riemannian manifold of dimension n**. For any $x, y \in M$, we define the **geodesic distance** between x and y, denoted by $d(x, y)$, as the minimum of the lengths of the curves joining x to y.



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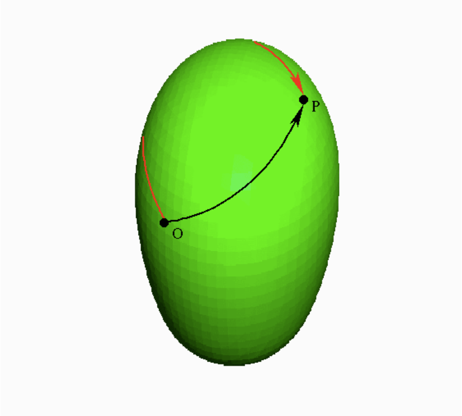

Quadratic Monge's Problem

Given two probabilities measures μ_0, μ_1 on M, find a transport map $T : M \to M$ from μ_0 to μ_1 which **minimizes** the quadratic cost

$$\int_M d^2(x, T(x)) d\mu_0(x).$$

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Theorem (McCann '01)

If μ_0 is absolutely continuous w.r.t. Lebesgue, then there exists a **unique** *optimal transport map T from μ_0 to μ_1. In fact, there is a c-***convex** *function $\varphi : M \to \mathbb{R}$ satisfying*

$$T(x) = \exp_x(\nabla\varphi(x)) \qquad \mu_0 \text{ a.e. } x \in M.$$

(Moreover, for a.e. $x \in M$, $\nabla\varphi(x)$ belongs to the injectivity domain at x.)

Back to $\mathbb{R}^n$

Quadratic Monge's Problem in $\mathbb{R}^n$: Given two probability measures μ_0, μ_1 with compact supports in $\mathbb{R}^n$, we are concerned with transport maps $T : \mathbb{R}^n \to \mathbb{R}^n$ pushing forward μ_0 to μ_1 which **minimize** the transport cost

$$\int_{\mathbb{R}^n} \|T(x) - x\|^2 \, d\mu_0(x).$$

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Theorem (Brenier '91)

If μ_0 is absolutely continuous with respect to the Lebesgue measure, there exists a unique optimal transport map with respect to the quadratic cost. In fact, there is a **convex** *function $\psi : M \to \mathbb{R}$ such that*

$$T(x) = \nabla\psi(x) \qquad \mu_0 \text{ a.e. } x \in \mathbb{R}^n.$$

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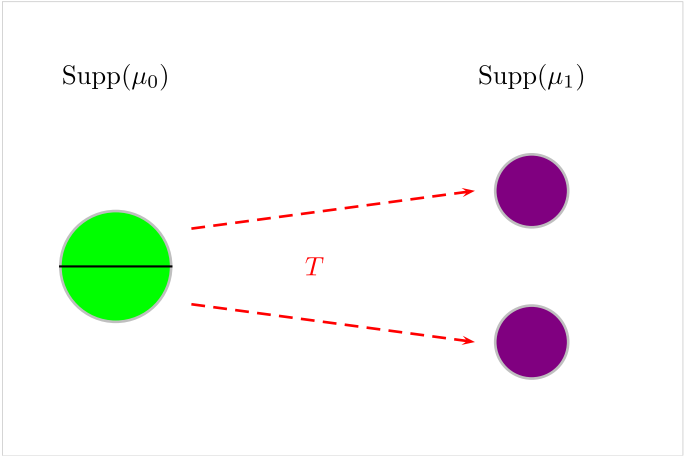
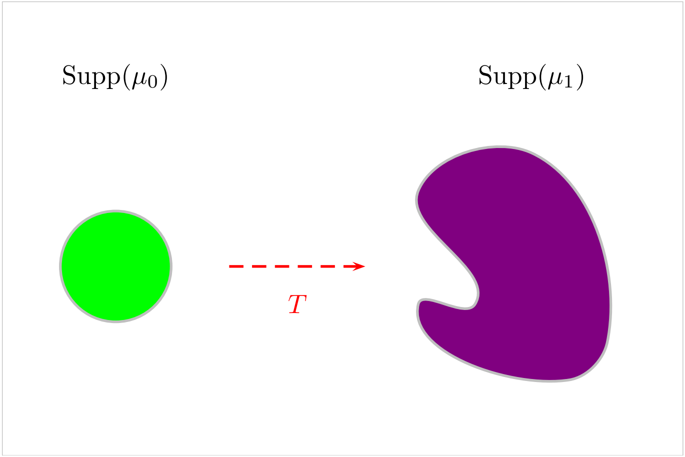
Necessary and sufficient conditions for regularity ?

An obvious counterexample



The convexity of the targer is necessary



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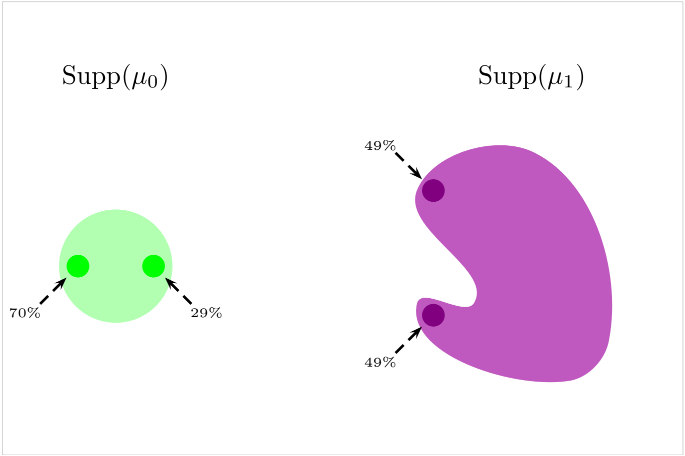

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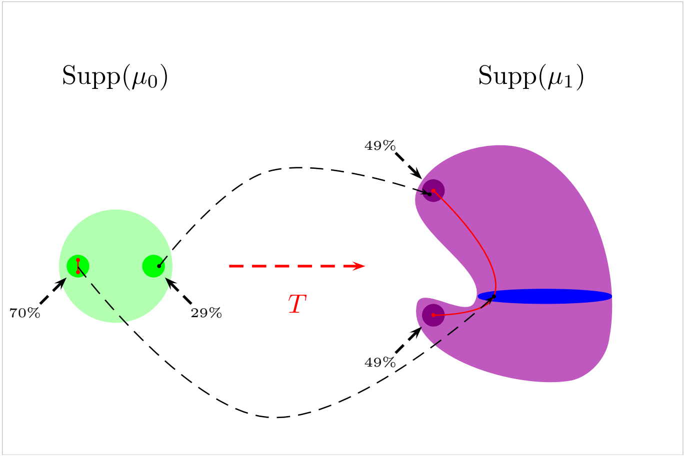

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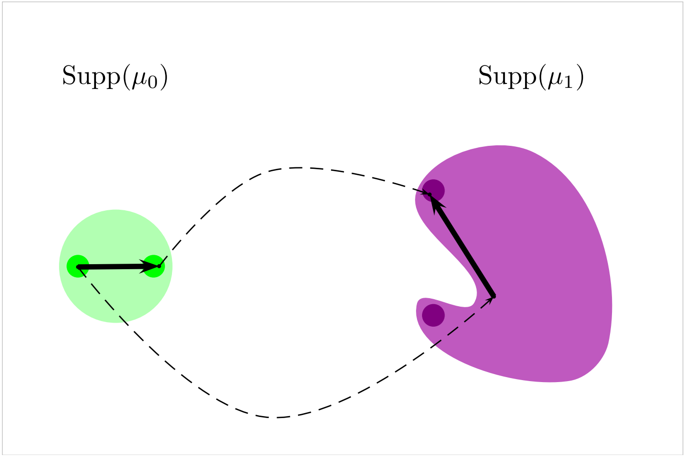

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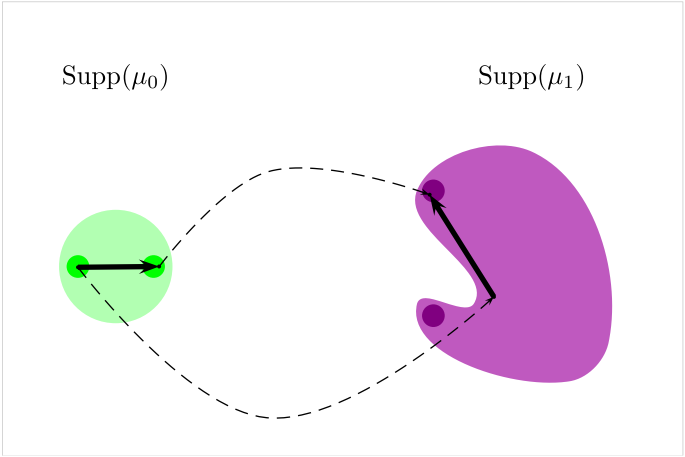

T gradient of a convex function

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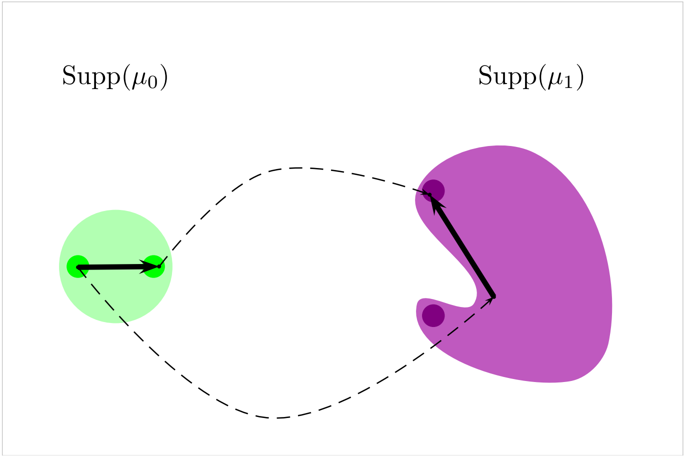

T gradient of a convex function $\Longrightarrow \langle y - x, T(y) - T(x) \rangle \geq 0$!!!

Caffarelli's Regularity Theory

If μ_0 and μ_1 are associated with densities f_0, f_1 w.r.t. Lebesgue, then

$$T_\sharp \mu_0 = \mu_1 \Longleftrightarrow \int_{\mathbb{R}^n} \zeta\big(T(x)\big) f_0(x) dx = \int_{R^n} \zeta(y) f_1(y) dy \quad \forall \zeta.$$

$\rightsquigarrow$ ψ weak solution of the **Monge-Ampère equation** :

$$\det\left(\nabla^2 \psi(x)\right) = \frac{f_0(x)}{f_1(\nabla \psi(x))}.$$

Theorem (Caffarelli '90s)

Let Ω_0, Ω_1 be connected and bounded open sets in $\mathbb{R}^n$ and f_0, f_1 be probability densities resp. on Ω_0 and Ω_1 such that $f_0, f_1, 1/f_0, 1/f_1$ are ***essentially bounded****. Assume that μ_0 and μ_1 have respectively densities f_0 and f_1 w.r.t. Lebesgue and that Ω_1 is* ***convex****. Then the quadratic optimal transport map from μ_0 to μ_1 is continuous.*

Back to Riemannian manifolds

Given two probabilities measures μ_0, μ_1 on M, find a transport map $T : M \to M$ from μ_0 to μ_1 which minimizes the quadratic cost

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Definition

We say that the surface $M \subset \mathbb{R}^n$ satisfies the **Transport Continuity Property (TCP)** if for any pair of probability measures μ_0, μ_1 associated locally with **continuous positive densities** ρ_0, ρ_1 on M, the optimal transport map from μ_0 to μ_1 is **continuous**.

Exponential mapping and injectivity domains

Let $x \in M$ be fixed.

- For every $v \in T_xM$, we define the **exponential** of v by

$$\exp_x(v) = \gamma_{x,v}(1),$$

  where $\gamma_{x,v} : [0,1] \to M$ is the unique geodesic starting at x with speed v.

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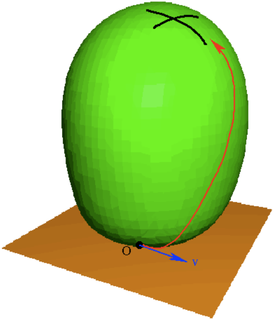
- We call (minimizing) **injectivity domain** at x, the subset of T_xM defined by

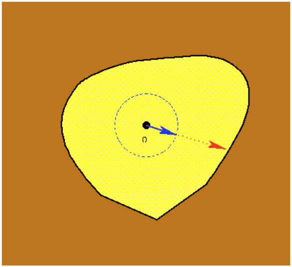
$$\mathcal{I}(x) := \left\{ v \in T_xM \;\middle|\; \begin{array}{c} \exists t > 1 \text{ s.t. } \gamma_{tv} \text{ is the unique} \\ \text{minim. geod. between } x \text{ and } \exp_x(tv) \end{array} \right\}$$

  It is a star-shaped (w.r.t. $0 \in T_xM$) bounded open set with Lipschitz boundary.

The distance to the cut locus

Using the exponential mapping, we can associate to each unit tangent vector its **distance to the cut locus**.





In that way, the **injectivity domain** $\mathcal{I}(x)$ is the open set which is enclosed by the **tangent cut locus** $\mathrm{TCL}(x)$.

A necessary condition for **TCP**

Theorem (Figalli-R-Villani '10)

Let (M, g) be a smooth connected compact Riemannian manifold of dimension n satisfying **TCP**. *Then the following properties hold:*

- *All injectivity domains are* **convex**,
- *for any $x, x' \in M$ the function*

$$F_{x,x'} \ : \ v \in \mathcal{I}(x) \longmapsto d^2\big(x, \exp_x(v)\big) - d^2\big(x', \exp_x(v)\big)$$

  is **quasiconvex** *(all its sublevel sets are convex).*

Almost characterization of quasiconvex functions

Lemma (Sufficient condition)

Let $U \subset \mathbb{R}^n$ be an open convex set and $F : U \to \mathbb{R}$ be a function of class C^2. Assume that for every $v \in U$ and every $w \in \mathbb{R}^n \setminus \{0\}$ the following property holds :

$$\langle \nabla_v F, w \rangle = 0 \implies \langle \nabla_v^2 F\, w, w \rangle > 0.$$

Then F is quasiconvex.

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Lemma (Necessary condition)

Let $U \subset \mathbb{R}^n$ be an open convex set and $F : U \to \mathbb{R}$ be a function of class C^2. Assume that F is quasiconvex. Then for every $v \in U$ and every $w \in \mathbb{R}^n \setminus \{0\}$ the following property holds :

$$\langle \nabla_v F, w \rangle = 0 \implies \langle \nabla_v^2 F \, w, w \rangle \geq 0.$$

Proof of the easy lemma

Proof.

Let $v_0, v_1 \in U$ be fixed. Set $v_t := (1-t)v_0 + tv_1$, for every $t \in [0,1]$. Define $h : [0,1] \rightarrow \mathbb{R}$ by

$$h(t) := F(v_t) \qquad \forall t \in [0,1].$$

If $h \not\leq \max\{h(0), h(1)\}$, there is $\tau \in (0,1)$ such that

$$h(\tau) = \max_{t \in [0,1]} h(t) \, > \, \max\{h(0), h(1)\}.$$

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There holds

$$\dot{h}(\tau) = \langle \nabla_{v_\tau} F, \dot{v}_\tau \rangle \quad \text{et} \quad \ddot{h}(\tau) = \langle \nabla^2_{v_\tau} F \, \dot{v}_\tau, \dot{v}_\tau \rangle.$$

Since τ is a local maximum, one has $\dot{h}(\tau) = 0$.
Contradiction !! □

The Ma-Trudinger-Wang tensor

The **MTW** tensor $\mathfrak{S}$ is defined as

$$\mathfrak{S}_{(x,v)}(\xi,\eta) = -\frac{3}{4}\,\frac{d^2}{ds^2}\bigg|_{s=0}\,\frac{d^2}{dt^2}\bigg|_{t=0} d^2\left(\exp_x(t\xi),\exp_x(v+s\eta)\right),$$

for every $x \in M, v \in \mathcal{I}(x)$, and $\xi,\eta \in T_xM$.

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Proposition (Villani '09, Figalli-R-Villani '10)

Let (M,g) with convex injectivity domains. Then the following properties are equivalent:

- *All the functions $F_{x,x'}$ are quasiconvex.*
- *The* **MTW** *tensor $\mathfrak{S}$ is $\succeq 0$, that is for any $x \in M$, $v \in \mathcal{I}(x)$, and $\xi, \eta \in T_xM$,*

$$\langle \xi, \eta \rangle_x = 0 \implies \mathfrak{S}_{(x,v)}(\xi,\eta) \geq 0.$$

When geometry enters the problem

Theorem (Loeper '06)

For every $x \in M$ and for any pair of unit orthogonal tangent vectors $\xi, \eta \in T_xM$, there holds

$$\mathfrak{S}_{(x,0)}(\xi,\eta) = \kappa_x(\xi,\eta),$$

where the latter denotes the **sectional curvature** *of M at x along the plane spanned by $\{\xi,\eta\}$.*

Corollary (Loeper '06)

$$\textbf{TCP} \Longrightarrow \mathfrak{S} \succeq 0 \Longrightarrow \kappa \geq 0.$$

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$$\textbf{TCP} \Longrightarrow \mathfrak{S} \succeq 0 \Longrightarrow \kappa \geq 0.$$

Caution!!! $\kappa \geq 0 \not\Rightarrow \mathfrak{S} \succeq 0$.

Sufficient conditions for **TCP**

Theorem (Figalli-R-Villani '10)

Let (M, g) be a compact smooth Riemannian **surface**. *It satisfies* **TCP** *if and only if the two following properties holds:*

- *all the injectivity domains are convex,*
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Theorem (Figalli-R-Villani '10)

Assume that (M,g) satisfies the two following properties:

- *all its injectivity domains are* **strictly convex**,
- *the* **MTW** *tensor $\mathfrak{S}$ is $\succ 0$, that is for any $x \in M$, $v \in \mathcal{I}(x)$, and $\xi, \eta \in T_xM$,*

$$\langle \xi, \eta \rangle_x = 0 \Longrightarrow \mathfrak{S}_{(x,v)}(\xi, \eta) > 0.$$

Then, it satisfies **TCP**.

Examples and counterexamples

Examples:

- Flat tori (Cordero-Erausquin '99)
- Round spheres (Loeper '06)
- Product of spheres (Figalli-Kim-McCann '13)
- Quotients of the above objects
- Perturbations of round spheres (Figalli-R '09, Figalli-R-Villani '12)

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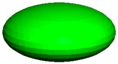

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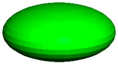

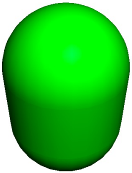

Perturbations of round spheres

Theorem (Loeper '06)

The **MTW** *tensor on the round (unit) sphere* $\mathbb{S}^n$ *satisfies* $\mathfrak{S} \succeq 1$, *that is for any* $x \in \mathbb{S}^n, v \in \mathcal{I}(x)$ *and* $\xi, \eta \in T_x\mathbb{S}^n$,

$$\langle \xi, \eta \rangle_x = 0 \implies \mathfrak{S}_{(x,v)}(\xi, \eta) \geq |\xi|^2 |\eta|^2.$$

Moreover, the round sphere $\mathbb{S}^n$ *satisfies* **TCP**.

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Is this result stable ?

Issues

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For example, on $\mathbb{S}^2$, the **MTW** tensor is given by

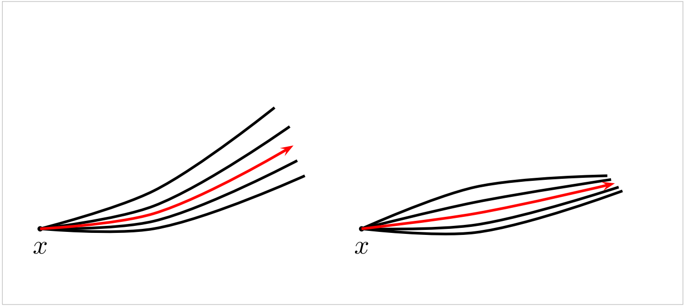
$$\begin{aligned}
&\mathfrak{S}_{(x,v)}\left(\xi,\xi^\perp\right) \\
&\quad = 3\left[\frac{1}{r^2} - \frac{\cos(r)}{r\sin(r)}\right]\xi_1^4 + 3\left[\frac{1}{\sin^2(r)} - \frac{r\cos(r)}{\sin^3(r)}\right]\xi_2^4 \\
&\qquad + \frac{3}{2}\left[-\frac{6}{r^2} + \frac{\cos(r)}{r\sin(r)} + \frac{5}{\sin^2(r)}\right]\xi_1^2\xi_2^2,
\end{aligned}$$

with
$x \in \mathbb{S}^2, v \in \mathcal{I}(x), r := |v|, \xi = (\xi_1,\xi_2), \xi^\perp = (-\xi_2,\xi_1)$.

Focalization

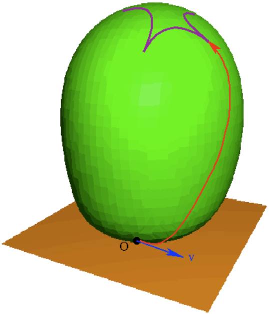
Definition

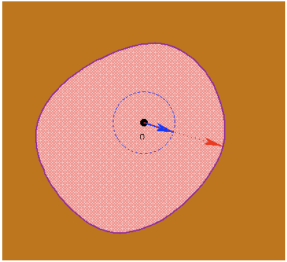
Let $x \in M$ and v be a unit tangent vector in T_xM. The vector v is **not conjugate** at time $t \geq 0$ if for any $t' \in [0, t + \delta]$ ($\delta > 0$ small) the geodesic from x to $\gamma(t')$ is locally minimizing.



The distance to the conjugate locus

Again, using the exponential mapping, we can associate to each unit tangent vector its **distance to the conjugate locus**.



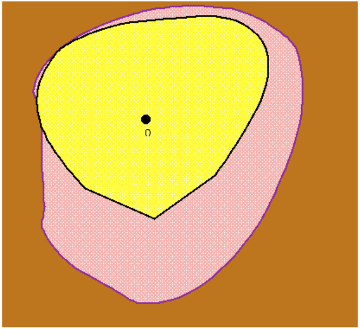


In that way, we define the so-called **nonfocal domain** $\mathcal{NF}(x)$ whose boundary is the **tangent conjugate locus** $\mathrm{TFL}(x)$.

Fundamental inclusion

The following inclusion holds

$$\text{injectivity domain} \subset \text{nonfocal domain}.$$



Sketch of proof

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- We extend the Ma-Trudinger-Wang tensor beyond boundaries of injectivity domains.
- The uniform convexity of the nonfocal domains $\mathcal{NF}(x)$ is stable.
- The positivity of the extended tensor $\overline{\mathfrak{S}}$ is stable.
- $\overline{\mathfrak{S}} \succ 0$ + (uniform) convexity of the $\mathcal{NF}(x)$'s
$\Longrightarrow$ $\mathfrak{S} \succ 0$ + (uniform) convexity of the $\mathcal{I}(x)$'s.

Mass Transportation on the Earth

Theorem (Figalli-R-Villani '12)

Any small deformation of $\mathbb{S}^n$ in C^4 topology satisfies $\overline{\mathfrak{S}} \succ 0$, has uniformly convex injectivity domains and so satisfies **TCP**.

A Few Open Questions

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Focalization is the major obstacle

Thank you for your attention !!