

Optimal contraction of the energy difference for strongly monotone problems

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Motivation

Problem



Convex energy minimization problem

$$u = \arg \min_{v \in H_0^1(\Omega)} \mathcal{J}(v), \quad \mathcal{J}(v) := \int_{\Omega} \phi(|\nabla v|) - f v \, dx. \quad (1)$$

- ▶ $\phi \in C^1(\mathbb{R}^+, \mathbb{R}^+)$ convex
- ▶ $\phi(0) = 0, \phi'(0) = 0$
- ▶ ϕ' is Lipschitz-continuous (a_c) and strongly monotone (a_m)

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Equivalently, $u \in H_0^1(\Omega)$ solves the Euler-Lagrange equation

$$(a(|\nabla u|)\nabla u, \nabla v)_{\Omega} = (f, v)_{\Omega} \quad \text{for all } v \in H_0^1(\Omega). \quad (2)$$

with nonlinear *effective diffusivity* $a(s) := \phi'(|s|)/|s|$ and nonlinear *flux* $\mathbf{A}(\nabla u) := a(|\nabla u|)\nabla u$.

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Example ("Kink-nonlinearity")

Define the potential for $a_c \geq a_m > 0$ via

$$\phi'(0) = 0, \quad \phi''(s) := \begin{cases} a_m, & s \leq s_0, \\ a_c, & \text{else.} \end{cases} \quad (2)$$

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ANR & DFG project RANPDEs



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- ▶ Perform analysis in terms of the *energy difference* $\mathcal{J}(u_\ell) - \mathcal{J}(u)$ (done for H1-seminorm error e.g. in [BBDL, '25], [KV, '19], [ESV, '16], [BPS, '09], for norm errors in general e.g. in [HW, '20]), and for energy difference in a quasi-linear case e.g. in [HPW, '21]

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Localized energy-based perspective, with focus on the *a posteriori* error estimators

Part I: Abstract conditions for optimal contraction

- ▶ $\Omega \subset \mathbb{R}^d$: bounded Lipschitz domain
- ▶ \mathcal{T} : simplicial and conforming triangulation
- ▶ \mathcal{V}_ℓ : set of vertices on mesh level ℓ
- ▶ $V^p(\mathcal{T}_\ell)$: piecewise polynomials of degree p on the mesh \mathcal{T}_ℓ
- ▶ \mathbb{T} : collection of all possible conforming refinements of the initial triangulation \mathcal{T}_0 obtained by iterative bisection and subsequent conforming closure.
- ▶ $\mathbb{T}_N \subseteq \mathbb{T}$: set of all refinements which have at most N more elements compared to the initial triangulation \mathcal{T}_0

Energy-norm equivalence



Usually: if we "pay" the constants a_m / a_c , we could then reuse (parts of) the analysis of the quadratic problem as

$$\frac{a_m}{2} \|\nabla(u_\ell - u)\| \leq \mathcal{J}(u_\ell) - \mathcal{J}(u) \leq \frac{a_c}{2} \|\nabla(u_\ell - u)\| \quad (3)$$

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Lemma (Relation to norms)

Let $u \in H_0^1(\Omega)$ be the minimizer and $v \in H_0^1(\Omega)$ arbitrary. Then, there holds

$$\mathcal{J}(v) - \mathcal{J}(u) = \frac{1}{2} \|\rho(\nabla v, -\mathbf{A}(\nabla u))\nabla(u - v)\|^2. \quad (4)$$

The weight ρ is globally bounded as $a_m \leq \rho \leq a_c$.

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Consequence: (4) is a powerful equality (delivers at least *localization*), provided we can estimate ρ well locally

Pointwise bounds for ρ



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Lemma (Pointwise bounds for ρ)

It holds that

$$\min\{\lambda(|\mathbf{x}|), \Lambda(|\mathbf{x}|, |\mathbf{y}|)\} \leq \rho(\mathbf{x}, \mathbf{y}) \leq \max\{\lambda(|\mathbf{x}|), \Lambda(|\mathbf{x}|, |\mathbf{y}|)\}, \quad (5)$$

with

$$\lambda(r) := 1/a^*(r), \quad \Lambda(s, r) := \int_0^1 2(1-\tau)\phi''(\tau s + (1-\tau)(\phi^*)'(r)) d\tau \quad (6)$$

Abstract conditions for contraction



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Adaptive loop Algorithm

Standard AFEM-loop

SOLVE \rightarrow ESTIMATE \rightarrow MARK \rightarrow REFINE (AFEM)

with the components

- SOLVE: Compute the discrete minimizer u_ℓ on the current refinement level ℓ by solving the corresponding weak formulation.
- ESTIMATE: Compute the local indicators $\bar{\eta}_\ell^a$ from the current approximation u_ℓ .
- MARK: Based on the local indicators $\bar{\eta}_\ell^a$, determine a set $\mathcal{M}_\ell \subset \mathcal{V}_\ell$ fulfilling the marking criterion [Dörfler, '96]

$$\sum_{a \in \mathcal{M}_\ell} \bar{C}_{\text{loc}}^a \bar{\eta}_\ell^a \geq \theta \sum_{a \in \mathcal{V}_\ell} \bar{C}_{\text{loc}}^a \bar{\eta}_\ell^a. \quad (11)$$

where $0 < \theta \leq 1$ is a fixed **marking parameter**.

- REFINE: Return a new mesh $\mathcal{T}_{\ell+1} := \text{REFINE}(\mathcal{T}_\ell, \mathcal{M}_\ell) \in \mathbb{T}$ which is a refinement of \mathcal{T}_ℓ by newest vertex bisection (potentially multiple times) + conforming closure.

Theorem (Contraction)

Let $(u_\ell)_{\ell \in \mathbb{N}}$ be the sequence of approximations generated by the adaptive loop and assume the conditions 1. to 4. hold. Then the energy difference contracts in each iteration, i.e. for any $\ell \in \mathbb{N}$ with $u_\ell \neq u$ it holds that

$$\frac{\mathcal{J}(u_{\ell+1}) - \mathcal{J}(u)}{\mathcal{J}(u_\ell) - \mathcal{J}(u)} < 1$$

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However: shows better behavior for smooth nonlinearities (see concrete illustration in Part II)

Definition (Approximation class)

For any $s > 0$ we set

$$\|u\|_{\mathbb{A}_s} := \sup_{N \in \mathbb{N}_0} \min_{\mathcal{T}_* \in \mathbb{T}_N} \{(N+1)^s (\mathcal{J}(u_{\mathcal{T}_*}) - \mathcal{J}(u))\} \quad (12)$$

and say that the solution u is an element of the approximation class \mathbb{A}_s if and only if $\|u\|_{\mathbb{A}_s}$ is finite (i.e. if the convergence rate s is attainable by an optimal sequence of meshes).

Optimality

Additional assumptions and theorem

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$$\mathcal{J}(u_\ell) - \mathcal{J}(\hat{u}_\ell) \leq \sum_{\mathbf{a} \in \mathcal{V}_\ell^1(\mathcal{S}_\ell)} C_{\text{drel}}^{\mathbf{a}} \bar{C}_{\text{loc}}^{\mathbf{a}} \bar{\eta}_\ell^{\mathbf{a}}. \quad (13)$$

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Then there holds (following the lines of the proof in [CFPP, '14]):

Theorem (Optimal convergence)

*Let the marking parameter $\theta \leq \theta_{\text{opt}}$ be sufficiently small and let $(\mathcal{T}_\ell)_{\ell \in \mathbb{N}}$ be the sequence of meshes generated by the adaptive algorithm (AFEM). Then the energy difference of the corresponding approximations $(u_\ell)_{\ell \in \mathbb{N}}$ converges with the optimal rate **w.r.t. #DOFs**, i.e. for any $s > 0$ there holds*

$$C_{\text{opt}} \|u\|_{\mathbb{A}^s} \leq \sup_{\ell \in \mathbb{N}} \{(\#\mathcal{T}_\ell - \#\mathcal{T}_0 + 1)^s (\mathcal{J}(u_{\mathcal{T}_*}) - \mathcal{J}(u))\} \leq C_{\text{opt}} \|u\|_{\mathbb{A}^s}. \quad (14)$$

Conclusion / outlook

Part I



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Work in progress

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By [GHPS, '21], this would also imply optimality w.r.t. the total *computational cost*

Part II: Application to flux, residual and energy descent estimators

Part I: *Optimal contraction with given upper- and lower bound estimators*

→ **Part II:** How do established a posteriori estimators fit into this framework?
What about the *localized* constants?

We will discuss:

- ▶ An upper bound $\bar{\eta}_\ell := \eta_{\text{flux},\ell}$ using *flux-equilibration (linear)*
- ▶ A lower bound $\underline{\eta}_\ell := \eta_{\text{energy},\ell}$ using *local energy minimization (nonlinear)*
- ▶ Linear local *residual liftings* $\eta_{\text{reslift},\ell}$
- ▶ A *residual* upper bound $\eta_{\text{res},\ell}$ (*element- and face residuals*)

All localizations will be based on *vertex-patches* ω_a !

Locally, there holds (under certain assumptions, neglecting data oscillation)

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We will discuss:

- ▶ An upper bound $\bar{\eta}_\ell := \eta_{\text{flux},\ell}$ using *flux-equilibration (linear)*
- ▶ A lower bound $\underline{\eta}_\ell := \eta_{\text{energy},\ell}$ using *local energy minimization (nonlinear)*
- ▶ Linear local *residual liftings* $\eta_{\text{reslift},\ell}$
- ▶ A *residual* upper bound $\eta_{\text{res},\ell}$ (*element- and face residuals*)

All localizations will be based on *vertex-patches* ω_a !

Locally, there holds (under certain assumptions, neglecting data oscillation)

$$\bar{\eta}_\ell^a := \eta_{\text{flux},\ell}^a \lesssim \eta_{\text{res},\ell}^a \lesssim \eta_{\text{reslift},\ell}^a \lesssim \eta_{\text{energy},\ell}^a =: \underline{\eta}_\ell^a.$$

Idea: Construct a dual object $\sigma_\ell \in \mathbf{H}(\text{div}, \Omega)$, $\nabla \cdot \sigma_\ell = \Pi_q f$ from $u_\ell \in V_\ell^p$

Ansatz: Linear equilibration of nonlinear flux [HMRV, '24] (here also allowing for higher degree $q \geq p$)

$$\sigma_\ell := \sum_{a \in \mathcal{V}_\ell} \sigma_\ell^a, \quad \sigma_\ell^a := \arg \min_{\substack{\mathbf{w}_\ell \in \text{RT}_q(\mathcal{T}_\ell^a) \cap \mathbf{H}(\text{div}, \omega_a) \\ \nabla \cdot \mathbf{w}_\ell = \Pi_q(\psi^a f - \nabla \psi^a \cdot \mathbf{A}(\nabla u_\ell))}} \|\psi^a \Pi_{q-1}^{\text{RT}}(\mathbf{A}(\nabla u_\ell)) + \mathbf{w}_\ell\|_{\omega_a} \quad (15)$$

- ▶ *Linear, homogeneous* local Neumann-problem with divergence constraint
- ▶ One has the localized upper bound (neglecting data oscillation)

$$\begin{aligned} \mathcal{J}(u_\ell) - \mathcal{J}(u) &= \mathcal{J}(u_\ell) - \mathcal{J}^*(\sigma) && \text{(strong convex duality / "Prager-Synge")} \\ &\leq \mathcal{J}(u_\ell) - \mathcal{J}^*(\sigma_\ell) && (=:\bar{\eta}_\ell, \text{ computable}) \end{aligned}$$

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A localized lower bound estimator $\underline{\eta}_\ell$

Local energy minimization

Task: Given the refinement $\mathcal{T}_\ell \rightarrow \mathcal{T}_{\ell+1}$, estimate $\mathcal{J}(u_\ell) - \mathcal{J}(u_{\ell+1})$ from below

→ Compute **lifting** $\tilde{u}_{\ell+1} \approx u_{\ell+1}$ of u_ℓ :

$$\mathcal{J}(u_\ell) - \mathcal{J}(u_{\ell+1}) \geq \mathcal{J}(u_\ell) - \mathcal{J}(\tilde{u}_{\ell+1}) \quad (u_{\ell+1} \text{ minimizer}).$$

Ansatz: Local **state liftings** $\tilde{u}_{\ell+1}^a \in \mathcal{P}_p(\mathcal{T}_{\ell,\ell+1}^a) \cap H^1(\omega_a) =: V_{\ell,\ell+1}^p$

$$\tilde{u}_{\ell+1} := \frac{1}{d+1} \sum_{a \in \mathcal{V}_\ell} \tilde{u}_{\ell+1}^a, \quad \tilde{u}_{\ell+1}^a := \arg \min_{\substack{v_{\ell+1} \in V_{\ell,\ell+1}^p \\ v_{\ell+1} = u_\ell \text{ on } \partial\omega_a}} \mathcal{J}|_{\omega_a}(v_{\ell+1})$$

► *Nonlinear, inhomogeneous* local Dirichlet-problem (local energy minimization)

A localized lower bound estimator η_ℓ

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► **Nonlinear, inhomogeneous** local Dirichlet-problem (local energy minimization)



Domain Ω / mesh \mathcal{T}_ℓ



Subdomain ω_a / mesh \mathcal{T}_ℓ^a



Local refinement $\mathcal{T}_{\ell,\ell+1}^a$ (1 NVB)

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- ▶ *Nonlinear, inhomogeneous* local Dirichlet-problem (local energy minimization)
- ▶ One has the localized estimator

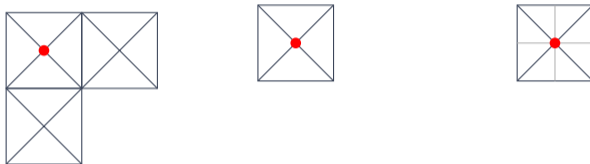
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Discrete efficiency

Sufficient / practical refinement conditions

Reminder: Contraction requires localized upper/lower bounds and *discrete efficiency* $\bar{\eta}_\ell^a \leq C_{\text{def}}^a \underline{\eta}_\ell^a$.

Observation: This poses a requirement on the amount of **refinement**



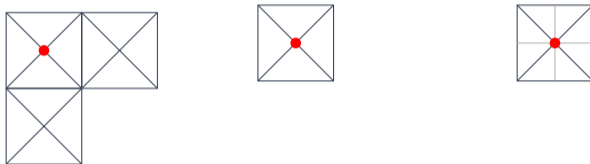
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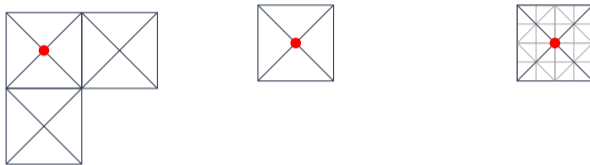
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Sufficient local refinement, INP fulfilled, theoretically guaranteed disc. eff.

Interior node property (INP): The refinement must introduce an interior node on each element and on each internal face

- ▶ Allows for theoretical proof of discrete efficiency (based on discrete bubble functions)
- ▶ For our estimators: $C_{\text{def}}^a = C(d, \kappa_{\mathcal{T}}, \rho) (\inf_{x \in \omega_a} \{\tilde{\rho}(\nabla u_\ell, \nabla \tilde{u}_{\ell+1})\})^{-1}$

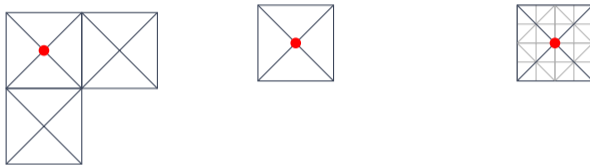
INP can be avoided by an *adaptive approach* [Chaumont-Frelet, Dong, Gantner, Vohralík, '26]

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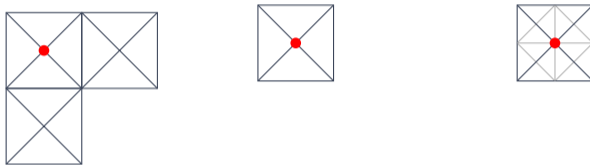
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Sufficient local refinement, a posteriori verified disc. eff.

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Reminder: Abstract contraction bound

$$\frac{\mathcal{J}(u_{\ell+1}) - \mathcal{J}(u)}{\mathcal{J}(u_{\ell}) - \mathcal{J}(u)} \leq 1 - \frac{\eta_{\ell}}{\bar{\eta}_{\ell}} \leq 1 - \theta \left(\max_{a \in \mathcal{M}_{\ell}} \left\{ \frac{\bar{C}_{\text{loc}}^a C_{\text{deff}}^a}{\underline{C}_{\text{loc}}^a} \right\} \right)^{-1}$$

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Bounded by computable local nonlinearity ratio
(visualization on next slide)

$$\mathfrak{R}_{\text{nl}}(\omega_a) := \frac{\sup_{s \in I^a} \max\{\phi''(s), a(s)\}}{\inf_{s \in I^a} \min\{\phi''(s), a(s)\}}$$

with $I^a \subset \mathbb{R}_0^+$ given by

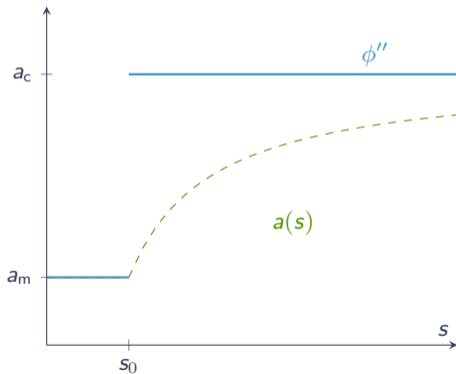
$$I^a := |\nabla u_{\ell}|(\omega_a) \cup |\nabla \tilde{u}_{\ell+1}|(\omega_a) \cup |\mathbf{A}^{-1} \sigma_{\ell}|(\omega_a)$$

Locality of constants

Visualization for kink-nonlinearity

Question: How does the local ratio $\mathfrak{R}_{\text{nl}}(\omega_a)$ behave?

Here: $\mathfrak{R}_{\text{nl}}(\omega_a) = \max_{s \in I^a} \frac{\phi''(s)}{a(s)}$

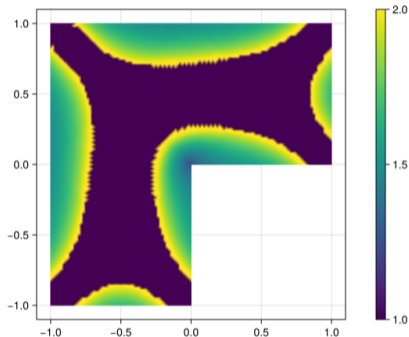
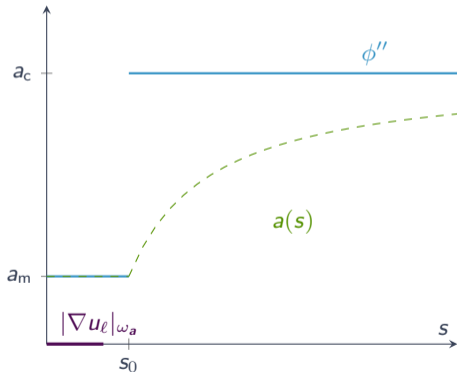


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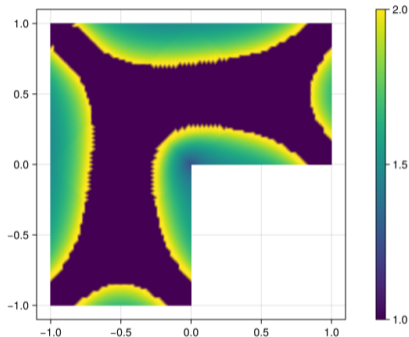
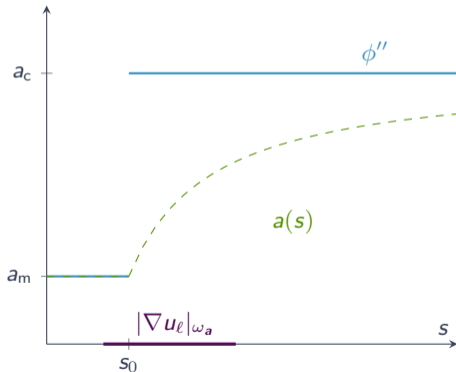
Local contrast (kink with $a_m = 1$, $a_c = 2$)

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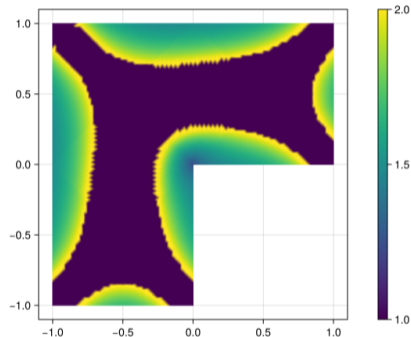
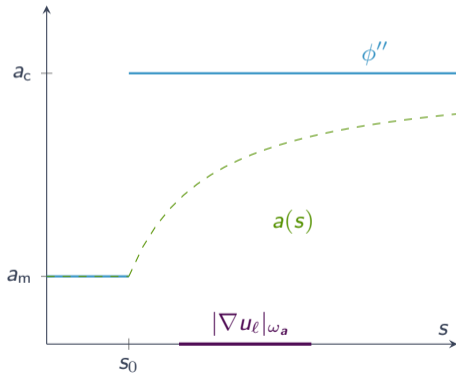
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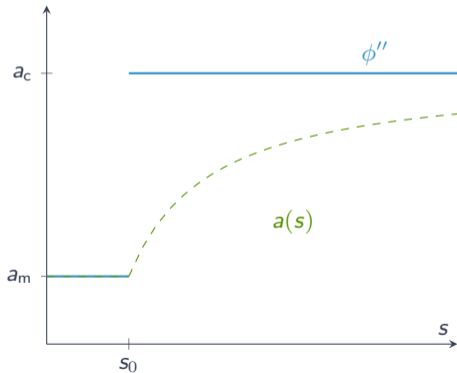
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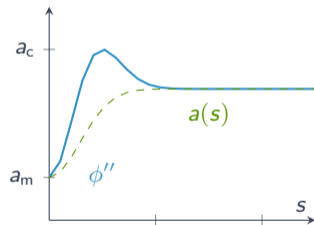
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Asymptotically (under refinement):

- ▶ $\omega_a \rightarrow \{\mathbf{a}\}$
- ▶ $|\nabla \tilde{u}_{\ell+1}| \rightarrow |\nabla u_\ell|$
- ▶ $|\mathbf{A}^{-1}(\sigma_\ell)| \rightarrow |\nabla u_\ell|$ ($\sigma = -\mathbf{A}(\nabla u)$)



Exponential nonlinearity

Discrete reliability of the flux estimator

Additional condition for optimality

Theorem (Discrete reliability of $\eta_{\text{flux},\ell}$)

The flux estimator $\eta_{\text{flux},\ell}$ is discretely reliable with local constants, i.e. there holds for an arbitrary refinement $\widehat{\mathcal{T}}_\ell$ of \mathcal{T}_ℓ that

$$\mathcal{J}(u_\ell) - \mathcal{J}(\hat{u}_\ell) \leq \sum_{a \in \mathcal{V}_\ell^1(\mathcal{S}_\ell)} C_{\text{drel}}^a \bar{C}_{\text{loc}}^a \eta_{\text{flux},\ell}^a.$$

The constant C_{drel}^a again scales like a patch-local nonlinearity strength.

Remark: Discrete reliability for other estimators from chain of local hierarchy of contributions

A localized lower bound estimator $\underline{\eta}_\ell$

Alternative linear approach

Task: Given the refinement $\mathcal{T}_\ell \rightarrow \mathcal{T}_{\ell+1}$, estimate $\mathcal{J}(u_\ell) - \mathcal{J}(u_{\ell+1})$ from below:

$$\mathcal{J}(u_\ell) - \mathcal{J}(u_{\ell+1}) \geq \mathcal{J}(u_\ell) - \mathcal{J}(\tilde{u}_{\ell+1}) \quad (u_{\ell+1} \text{ minimizer}).$$

→ find lifting $\tilde{u}_{\ell+1} \approx u_{\ell+1}$ of u_ℓ !

Ansatz: Find local residual liftings $r_{\ell+1}^a \in V_{\ell, \ell+1}^p \cap H_0^1(\omega_a)$ such that

$$(\nabla r_{\ell+1}^a, \nabla v_{\ell+1})_{\omega_a} = (f, v_{\ell+1})_{\omega_a} - (\mathbf{A}(\nabla u_\ell), \nabla v_{\ell+1})_{\omega_a} \quad \text{for all } v_{\ell+1}$$

- ▶ *Linear, homogeneous* local Dirichlet-problem
- ▶ We show that there holds

$$\eta_{\text{energy}, \ell}^a = \mathcal{J}_{\omega_a}(u_\ell) - \mathcal{J}_{\omega_a}(\tilde{u}_{\ell+1}^a) \gtrsim \frac{1}{2} \|\nabla r_{\ell+1}^a\|_{\omega_a}^2 =: \eta_{\text{reslift}, \ell}^a.$$

- ▶ **BUT:** no global lifting $\tilde{u}_{\ell+1}$

A localized lower bound estimator $\underline{\eta}_\ell$

Alternative linear approach

Task: Given the refinement $\mathcal{T}_\ell \rightarrow \mathcal{T}_{\ell+1}$, estimate $\mathcal{J}(u_\ell) - \mathcal{J}(u_{\ell+1})$ from below:

$$\mathcal{J}(u_\ell) - \mathcal{J}(u_{\ell+1}) \geq \mathcal{J}(u_\ell) - \mathcal{J}(\tilde{u}_{\ell+1}) \quad (u_{\ell+1} \text{ minimizer}).$$

→ find lifting $\tilde{u}_{\ell+1} \approx u_{\ell+1}$ of u_ℓ !

Ansatz: Find local residual liftings $r_{\ell+1}^a \in V_{\ell, \ell+1}^p \cap H_0^1(\omega_a)$ such that

$$(\nabla r_{\ell+1}^a, \nabla v_{\ell+1})_{\omega_a} = (f, v_{\ell+1})_{\omega_a} - (\mathbf{A}(\nabla u_\ell), \nabla v_{\ell+1})_{\omega_a} \quad \text{for all } v_{\ell+1}$$

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Reminder: Hierarchy in local contributions

$$\eta_{\text{flux},l}^a \lesssim \eta_{\text{res},l}^a \lesssim \eta_{\text{reslift},l}^a \lesssim \eta_{\text{energy},l}^a. \quad (16)$$

Observation: All estimators are both upper and lower bounds!

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- ▶ Correct marking strategy required

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Example 1: Using only $\eta_{\text{flux},\ell}$

- ▶ Lower bound implicitly given as

$$\mathcal{J}(u_\ell) - \mathcal{J}(u_{\ell+1}) \geq \sum_{a \in \mathcal{M}_\ell} (d+1)^{-1} \eta_{\text{energy},\ell}^a \stackrel{(16)}{\geq} \sum_{a \in \mathcal{M}_\ell} \underbrace{(d+1)^{-1} \tilde{C}^a}_{=:\underline{C}_{\text{loc}}^a} \eta_{\text{flux},\ell}^a.$$

- ▶ Recovers standard *flux-based AFEM* (similar for residual estimators)

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Example 2: Using only $\eta_{\text{energy},\ell}$

- ▶ If the lower bound is computed for all vertices, it also implicitly yields an upper bound
- ▶ Recovers *variational adaptivity* [Heid,Wihler, '18] / *Sobolev gradient flow* [Heid,Houston,Stamm,Wihler, '24]
- ▶ Idea of the algorithm: Compute expected energy decrease *everywhere*, standard bulk-chasing criterion and only accept those refinements

Discussed estimators:

- ▶ Upper bound based on *linear* local flux equilibration
- ▶ Lower bound from *nonlinear* local energy minimization
- ▶ Residual estimators and residual liftings also fit the framework

Algorithms:

- ▶ Two estimators: allows for *adaptive patch refinement* step (avoiding INP)
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- ▶ **We prove: All methods contract the energy difference with optimal rate**

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- ▶ Estimators for more general convex potentials (e.g. p -Laplacian / ϕ -Laplacian)
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Thank you for your attention!

Three kinds of oscillation terms occur:

- Classic data oscillation:

$$(\text{id} - \Pi_{p,\ell})(f) \quad (17)$$

Vanishes for $f \in \mathcal{P}_p(\mathcal{T}_0)$ piecewise polynomial

- Oscillation in the flux:

$$(\text{id} - \Pi_{p-1}^{\text{RT}})(\mathbf{A}(\nabla u_\ell)) \quad (18)$$

Vanishes for polynomial degree $p = 1$

- Discrete oscillations:

$$\Pi_{p,\ell}(\psi^a f) - \psi^a \Pi_{p-1,\ell} f, \quad \Pi_{p,\ell}(\nabla \psi^a \cdot \mathbf{A}(\nabla u_\ell)) - \nabla \psi^a \cdot \Pi_{p-1,\ell}^{\text{RT}}(\mathbf{A}(\nabla u_\ell)) \quad (19)$$

$$(\Pi_{p-1,\ell} - \Pi_{p,\ell+1})(f - \nabla \cdot \mathbf{A}(\nabla u_\ell)), \quad (\Pi_{p-1,\ell}^{\text{RT}} - \Pi_{p,\ell+1}^{\text{RT}})(\mathbf{A}(\nabla u_\ell)) \quad (20)$$

Vanish for $f \in \mathcal{P}_{p-1}$ and $p \geq 2$