

# Asymptotic Behavior of the Incompressible Navier-Stokes Fluid with Degree of Freedom in Porous Medium\*

Hongxing ZHAO<sup>1</sup>      Zhengnan YAO<sup>2</sup>

**Abstract** The authors study the asymptotic behavior of the incompressible Navier-Stokes fluid with degree of freedom in the porous medium in  $\mathbb{R}^n$  with  $n = 2$  or  $3$ . They derive the Darcy law as  $\varepsilon$ , the character size of the hole, tends to zero. Moreover, the authors obtain the expression of the degree of freedom from the homogenized model.

**Keywords** Homogenization, Navier-Stokes fluid, Darcy law, Degree of freedom

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## 1 Introduction

Homogenization is a mathematical tool that allows changing the scale in problems containing several characteristic scales. Typical examples of its utilization are finding effective models for composite materials, in optimal shape design, etc. Another important example, which we are interested in, is the fluid mechanics of the flow through porous medium.

In porous medium, there are at least two length scales: A microscopic scale and a macroscopic scale. Quite often, the partial differential equations describing a physical phenomenon are posed at the microscopic level whereas only macroscopic quantities are of interest for the engineers or the physicists. Therefore, effective or homogenized equations should be derived from the microscopic ones by an asymptotic analysis. To this end, it is convenient to assume that the porous medium has a periodic structure.

A number of known laws from the dynamics of fluids in porous media were derived using homogenization. The most well-known example is Darcy law, being the homogenized equation for one-phase flow through a rigid porous medium. Its formal derivation by two-scale expansion goes back to the classical paper by Sanchez-Palencia [1], Keller [2] and the classical book Bensoussan [3]. It was rigorously derived by using oscillating functions by Tartar [4]. In other cases of periodic porous media, we refer the readers to the papers by Allaire [5–7] and Mikelić [8–9]. Other works can be seen in [10–11] and the references therein.

Besides the Darcy law, Brinkman [12] introduced a new set of equations, which is called the Brinkman law, an intermediate between the Darcy and Stokes equations. The so-called Brinkman law is obtained from the Stokes equations by adding to the momentum equation a term proportional to the velocity (see [6]).

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<sup>1</sup>College of Mathematics and Information Science, University of Guangzhou, Guangzhou 510006, China.  
E-mail: xgsfzhx@126.com

<sup>2</sup>School of Mathematics and Computational Science, Sun Yat-Sen University, Guangzhou 510275, China.  
E-mail: mcsyao@mail.sysu.edu.cn

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In this paper, we are interested in obtaining the homogenized result for the Navier-Stokes fluid with degree of freedom in porous medium. This model problem was proposed by Lions [13], where he proved the existence and the regularity of the solutions.

Before stating the system, let us recall the domain we consider. A porous medium is defined as the periodic repetition of an elementary cell of size  $\varepsilon$  (we assume  $\frac{1}{\varepsilon}$  to be an integral) in a bounded domain  $\Omega$  of  $\mathbb{R}^n$  with  $n = 2, 3$ . The solid part of the porous medium is also taken of size  $\varepsilon$ . The domain  $\Omega_\varepsilon$  is then defined as the intersection of  $\Omega$  with the fluid part. We consider an incompressible fluid governed by the Navier-Stokes equations with degree of freedom. So, we have the following equations:

$$\begin{aligned} \varepsilon^2 \frac{\partial u^\varepsilon}{\partial t} + (u^\varepsilon \cdot \nabla) u^\varepsilon - \mu \Delta u^\varepsilon + \nabla p^\varepsilon &= f + w^\varepsilon \times u^\varepsilon & \text{in } \Omega_\varepsilon \times (0, T), \\ \frac{\partial w^\varepsilon}{\partial t} + \operatorname{div}(u^\varepsilon \otimes w^\varepsilon) + \kappa w^\varepsilon &= m & \text{in } \Omega_\varepsilon \times (0, T), \\ \operatorname{div} u^\varepsilon &= 0 & \text{in } \Omega_\varepsilon \times (0, T), \end{aligned} \quad (1.1)$$

where  $u^\varepsilon$ ,  $p^\varepsilon$ ,  $w^\varepsilon$  are the unknown quantities velocity, pressure and degree of freedom of the fluid, respectively,  $f \in L^2(\Omega \times (0, T))$  is the external force.

The system is supplemented with the boundary condition and initial conditions as follows:

$$u^\varepsilon = 0 \quad \text{on } \partial\Omega_\varepsilon \times (0, T) \quad (1.2)$$

and

$$u^\varepsilon|_{t=0} = u_0^\varepsilon, \quad w^\varepsilon|_{t=0} = w_0^\varepsilon, \quad (1.3)$$

where  $u_0^\varepsilon, w_0^\varepsilon$  are bounded in  $L^2(\Omega_\varepsilon)$ .

Our aim here is to investigate the asymptotic behavior of  $u^\varepsilon$ ,  $p^\varepsilon$ ,  $w^\varepsilon$  as  $\varepsilon \rightarrow 0^+$  under the assumptions mentioned above. The main difficulty here is how to pass the limit in the momentum equations. To overcome this obstacle, we need to revise the estimates on the inertia and extend the pressure to the whole domain. It is resolved by using the general Poincaré's equality in porous medium (see [11]).

The paper is organized as follows. In Section 2, we list some useful results and state the main results in this paper. In Section 3, we give priori estimates of the unknowns and extend them to the whole domain. In Section 4, we prove the main result in this paper.

## 2 Notations, Preliminaries and Main Results

The structure of a porous medium is standard (see [4–5, 8]). To give a good understanding for the readers, we write it detail again. Let  $\Omega$  be an open bounded subset of  $\mathbb{R}^n$  with  $n = 2$  or  $3$  and define  $\mathcal{Y} = [0, 1]^n$  to be the unit open cube of  $\mathbb{R}^n$ . Let  $\mathcal{Y}_s$  be a closed smooth subset of  $\mathcal{Y}$  with a strictly positive measure. The fluid part is then defined by  $\mathcal{Y}_f = \mathcal{Y} - \mathcal{Y}_s$ . Let  $\theta = |\mathcal{Y}_f|$ . The constant  $\theta$  is called the porosity of the porous medium. We assume that  $0 < \theta < 1$ .

Repeating the domain  $\mathcal{Y}_f$  by  $\mathcal{Y}$ -periodicity, we get the whole fluid domain  $D_f$ , and we can write it as

$$D_f = \{x \in \mathbb{R}^n \mid \exists k \in Z^n \text{ such that } x - k \in \mathcal{Y}_f\}.$$

Then the solid part is defined by  $D_s = \mathbb{R}^n - D_f$ . It is easy to see that  $D_f$  is a connected domain, while  $D_s$  is formed by separated smooth subsets. In the sequel, we denote for all  $k \in Z^n$ ,

$\mathcal{Y}^k = \mathcal{Y} + k$  and then  $\mathcal{Y}_f^k = \mathcal{Y}_f + k$ . For all  $\varepsilon$ , we define the domain  $\Omega_\varepsilon$  as the intersection of  $\Omega$  with the fluid domain scaled by  $\varepsilon$ , namely,  $\Omega_\varepsilon = \Omega \cap \varepsilon D_f$ . To get a smooth connected domain, we will not remove the solid part of the cells which intersect with the boundary of  $\Omega$ . Now, the fluid domain can be also defined by

$$\Omega_\varepsilon = \Omega - \cup \{\varepsilon \mathcal{Y}_s^k, k \in Z^n, \varepsilon \mathcal{Y}^k \subset \Omega\}.$$

Throughout this paper, we denote by  $L^p(0, T; L^q(X))$  the time-space Lebesgue spaces, where  $X$  would be  $\Omega$  or  $\Omega_\varepsilon$ .  $W^{s,p}(X)$  will be the classical Sobolev space with all functions, whose all derivatives up to order  $s$  belong to  $L^p$  and  $H^s(X) = W^{s,2}(X)$ .  $W_0^{1,p}(X)$  is the subset of  $W^{1,p}(X)$  with trace 0 on  $X$ . We also denote by  $W^{-s,p'}(X)$  the dual space of  $W_0^{s,p}(X)$ , where  $p'$  is the conjugate exponent of  $p$ .  $C$  will be constants that may differ from one place to another. Throughout this paper, we will use  $\|\cdot\|_X$  to denote the modules for all vectors or matrices if there is no confusion.

Due to the presence of the holes, the domain  $\Omega_\varepsilon$  depends on  $\varepsilon$  and hence to study the convergence of  $\{u^\varepsilon, \rho_\varepsilon, p_\varepsilon\}$ , we have to extend the functions defined in  $\Omega_\varepsilon$  to the whole domain. This can be done in two different possible ways.

**Definition 2.1** (see [10]) *For any fixed  $\varphi \in L^1(\Omega_\varepsilon)$ , we define*

$$\tilde{\varphi} = \begin{cases} \varphi & \text{in } \Omega, \\ 0 & \text{in } \Omega - \Omega_\varepsilon \end{cases}$$

*as the null extension and*

$$\hat{\varphi} = \begin{cases} \varphi & \text{in } \Omega_\varepsilon, \\ \frac{1}{|\varepsilon \mathcal{Y}_f^k|} \int_{\varepsilon \mathcal{Y}_f^k} \varphi(x) dx & \text{in } \Omega \cap \varepsilon \mathcal{Y}_s^k \end{cases}$$

*as the mean value extension.*

The relation between the weak limits of both types of extensions is given by the following lemma.

**Lemma 2.1** (see [10]) *For all  $\omega^\varepsilon \in L^p(\Omega_\varepsilon)$ ,  $p \geq 1$ , the following two assertions are equivalent:*

$$(1) \hat{\omega}^\varepsilon \rightharpoonup \omega \quad \text{in } L^p(\Omega); \quad (2) \tilde{\omega}^\varepsilon \rightharpoonup \theta \omega \quad \text{in } L^p(\Omega).$$

A very important property of the porous medium is a variant of the Poincaré's inequality. Due to the presence of the holes in  $\Omega_\varepsilon$ , the Poincaré's inequality is given by the following lemma.

**Lemma 2.2** (see [11]) *Let  $1 \leq p, q < \infty$  and  $u \in W_0^{1,p}(\Omega_\varepsilon)$ , then*

$$\|u\|_{L^q(\Omega_\varepsilon)} \leq C \varepsilon^{1+n(\frac{1}{q}-\frac{1}{p})} \|\nabla u\|_{L^p(\Omega_\varepsilon)},$$

*where  $C$  depends only on  $\mathcal{Y}_f$  and  $p, q$  satisfies*

$$(1) \quad 1 \leq p < n, \quad p \leq q \leq p^* = \frac{np}{n-p};$$

$$(2) \quad p \geq n, \quad p \leq q < \infty.$$

*Especially, if  $p = q$ , we have the standard inequality*

$$\|u\|_{L^p(\Omega_\varepsilon)} \leq C \varepsilon \|\nabla u\|_{L^p(\Omega_\varepsilon)}.$$

We introduce the restriction operator by the following lemma.

**Lemma 2.3** (see [4]) *There exists an operator  $\mathcal{R}_\varepsilon$  with the following properties:*

- (1)  $\mathcal{R}_\varepsilon$  is a bounded linear operator on  $W_0^{1,p}(\Omega)$  ranging in  $W_0^{1,p}(\Omega_\varepsilon)$ ,  $p \geq 2$ ;
- (2)  $\mathcal{R}_\varepsilon[\varphi] = \varphi|_{\Omega_\varepsilon}$  provides  $\varphi = 0$  in  $\Omega - \Omega_\varepsilon$ ;
- (3)  $\operatorname{div}_x \varphi = 0$  in  $\Omega$  implies  $\operatorname{div}_x \mathcal{R}_\varepsilon[\varphi] = 0$  in  $\Omega_\varepsilon$ ;
- (4)  $\|\mathcal{R}_\varepsilon[\varphi]\|_{L^p(\Omega_\varepsilon)} + \varepsilon \|\nabla \mathcal{R}_\varepsilon[\varphi]\|_{L^p(\Omega_\varepsilon)} \leq C(\|\varphi\|_{L^p(\Omega)} + \varepsilon \|\nabla \varphi\|_{L^p(\Omega)})$ .

In addition, we can find the restriction operator  $\mathcal{R}_\varepsilon$  satisfies a compatibility relation with the extension operator introduced in Definition 2.1, namely,

$$\langle \nabla \hat{\omega}, \varphi \rangle = - \int_{\Omega} \hat{\omega} \operatorname{div} \varphi dx = - \int_{\Omega_\varepsilon} \omega \operatorname{div} R_\varepsilon[\varphi] dx, \quad \forall \varphi \in C_0^\infty(\Omega).$$

Finally, we define the permeability matrix  $\mathcal{A}$ . For  $1 \leq i \leq n$ , let  $(\omega_i, \pi_i) \in H^1(\mathcal{Y}_f) \times L^2(\mathcal{Y}_f)/\mathbb{R}$  be the unique solution of the following system:

$$\begin{cases} -\Delta \omega_i + \nabla \pi_i = e_i & \text{in } \mathcal{Y}_f, \\ \operatorname{div} \omega_i = 0 & \text{in } \mathcal{Y}_f, \\ \omega_i = 0 & \text{on } \partial \mathcal{Y}_s, \end{cases}$$

where  $\omega_i, \pi_i$  are  $\mathcal{Y}$ -periodic,  $e_i$  is the standard basis of  $\mathbb{R}^n$ . Set  $\omega_i^\varepsilon = \omega_i(\frac{x}{\varepsilon})$ ,  $\pi_i^\varepsilon = \pi_i(\frac{x}{\varepsilon})$ . Then we get the cell problem

$$\begin{cases} -\varepsilon^2 \Delta \omega_i^\varepsilon + \varepsilon \nabla \pi_i^\varepsilon = e_i & \text{in } \varepsilon \mathcal{Y}_f, \\ \operatorname{div} \omega_i^\varepsilon = 0 & \text{in } \varepsilon \mathcal{Y}_f, \\ \omega_i^\varepsilon = 0 & \text{on } \partial(\varepsilon \mathcal{Y}_s), \end{cases}$$

where  $\omega_i^\varepsilon, \pi_i^\varepsilon$  are  $\varepsilon \mathcal{Y}$ -periodic.

**Lemma 2.4** (see [4, 10]) *Let  $\omega_i^\varepsilon, \pi_i^\varepsilon$  be the solution to the cell problem and be extended to zero outside  $\Omega_\varepsilon$ . Then the following estimates hold:*

$$\|\omega_i^\varepsilon\|_{[L^q(\Omega_\varepsilon)]^n} \leq C, \quad \|\pi_i^\varepsilon\|_{L^q(\Omega_\varepsilon)/\mathbb{R}} \leq C, \quad \varepsilon \|\nabla \omega_i^\varepsilon\|_{[L^q(\Omega_\varepsilon)]^n} \leq C$$

for any  $1 \leq q \leq +\infty$ ,  $C$  only depends on  $q$  and  $\mathcal{Y}_f$ .

Let us define

$$\mathcal{A} = (\mathcal{A}_{i,j})_{i,j=1}^n, \quad \mathcal{A}_{i,j} = \frac{1}{|\varepsilon \mathcal{Y}_f|} \int_{\varepsilon \mathcal{Y}_f} (\omega_i^\varepsilon)_j dx = \frac{1}{|\mathcal{Y}_f|} \int_{\mathcal{Y}_f} (\omega_i)_j dx. \quad (2.1)$$

The periodic lemma (see [1]) shows that  $(\omega_i^\varepsilon)_j$  converges weakly (or weakly  $\star$  for  $p = +\infty$ ) to its average on  $\varepsilon \mathcal{Y}_f$  in  $L^p(\Omega_\varepsilon)$  for  $1 \leq p \leq +\infty$ . It is easy to see that  $\mathcal{A}$  is a symmetric positive defined matrix. The form of the permeability matrix has different form if  $\mathcal{Y}_s$  has different form. For more information about  $\mathcal{A}$ , we refer the interested readers to [6] for detail.

Now we introduce the definition of weak solution to the system (1.1)–(1.3).

**Definition 2.2** *We shall say that a trio  $\{u^\varepsilon, p^\varepsilon, w^\varepsilon\}$  is a weak solution of (1.1)–(1.3), supplemented with the boundary and initial conditions (1.4) and (1.5) if and only if*

- (1)  $u^\varepsilon \in L^\infty(0, T; L^2(\Omega_\varepsilon)) \cap L^2(0, T; \mathcal{H}(\Omega_\varepsilon))$ , and

$$\begin{aligned} & \int_0^T \int_{\Omega_\varepsilon} (\varepsilon^2 u^\varepsilon \cdot \varphi_t + u^\varepsilon \otimes u^\varepsilon : \nabla \varphi - \mu \nabla u^\varepsilon : \nabla \varphi) dx dt \\ &= - \int_0^T \int_{\Omega_\varepsilon} (w^\varepsilon \times u^\varepsilon) \cdot \varphi dx dt - \int_{\Omega_\varepsilon} \varepsilon^2 u_0^\varepsilon \cdot \varphi(x, 0) dx - \int_0^T \int_{\Omega_\varepsilon} f \cdot \varphi dx dt \end{aligned}$$

holds for any  $\varphi \in C_0^\infty([0, T] \times \overline{\Omega_\varepsilon})$  with  $\operatorname{div} \varphi = 0$ .  $\mathcal{H}(X) = \{u \mid u \in H_0^1(X), \operatorname{div} u = 0\}$ .

(2)  $w^\varepsilon \in L^\infty(0, T; L^2(\Omega_\varepsilon)) \cap L^2(\Omega_\varepsilon \times (0, T))$ , and the integral identity

$$\int_0^T \int_{\Omega_\varepsilon} (w^\varepsilon \psi_t + w^\varepsilon u^\varepsilon \cdot \nabla \psi - \kappa w^\varepsilon \psi) dx dt = - \int_0^T \int_{\Omega_\varepsilon} m \psi dx dt - \int_{\Omega_\varepsilon} w_0^\varepsilon \psi(x, 0) dx$$

holds for any  $\psi \in C_0^\infty([0, T] \times \overline{\Omega_\varepsilon})$ .

The existence of weak solutions with finite energy is the following.

**Theorem 2.1** (see [13]) *Under the above conditions and assumptions, for any fixed  $\varepsilon > 0$ , there exists a global solution  $(u^\varepsilon, p^\varepsilon, w^\varepsilon)$  of the system (1.1)–(1.3) in the sense of Definition 2.2.*

In this paper, we always assume that

$$\mathcal{H} : u_0^\varepsilon \rightarrow u_0 \text{ strongly in } L^2(\Omega_\varepsilon), \quad w_0^\varepsilon \rightarrow w_0 \text{ strongly in } L^2(\Omega_\varepsilon). \quad (2.2)$$

With all the preparation above, we are now in the position to state our main result in this paper.

**Theorem 2.2** *Let  $\{u^\varepsilon, p^\varepsilon, w^\varepsilon\}_{\varepsilon>0}$  be a family of weak solutions to the system (1.1)–(1.3). We also assume that  $\mathcal{H}$  is satisfied. Then, there exist three functions  $u, p, w$  such that*

$$\begin{aligned} \widehat{p}^\varepsilon &\rightarrow p && \text{weakly in } L^2(0, T; H^1(\Omega)), \\ w^\varepsilon &\rightarrow w && \text{weakly in } L^2(\Omega \times (0, T)), \\ \frac{u^\varepsilon}{\varepsilon^2} &\rightarrow u && \text{weakly in } L^2(\Omega \times (0, T)), \end{aligned} \quad (2.3)$$

where  $\{u, p, w\}$  satisfies the following homogenized system:

$$\begin{aligned} \operatorname{div} u &= 0 && \text{in } \Omega \times (0, T), \\ \mu u &= \mathcal{A}(-\nabla p + f) && \text{in } \Omega \times (0, T), \\ w &= w_0 e^{-\kappa t} + \int_0^t m(x, \tau) e^{-\kappa(t-\tau)} d\tau && \text{in } \Omega \times (0, T), \end{aligned} \quad (2.4)$$

where  $\mathcal{A}$  is the so-called permeability matrix, which is defined by (2.1). Moreover,  $u, w$  satisfy the following initial conditions:

$$u|_{t=0} = u_0, \quad w|_{t=0} = w_0, \quad \forall x \in \Omega, \quad (2.5)$$

and  $u|_{\partial\Omega} = 0$  for any  $t \in (0, T)$ .

**Remark 2.1** The relationship of  $u$  and  $\nabla p$  is often called the linear Darcy law. If we assume that  $\lim_{t \rightarrow +\infty} m(x, t) = M(x)$ , we find that the degree of freedom  $w$  is determined only by  $M$  and  $\kappa$  for  $t$  is large enough.

### 3 Uniform Bounds

In this section, we collect all available bounds on the family  $\{u^\varepsilon, p^\varepsilon, w^\varepsilon\}$ . Let us begin with the basic estimates.

### 3.1 Priori estimates for $u^\varepsilon$ and $w^\varepsilon$

In this subsection, we will obtain some estimates for the solutions to the system (1.1)–(1.3) which are independent of  $\varepsilon$ .

**Lemma 3.1** *Let  $\{u^\varepsilon, w^\varepsilon\}$  be the solution pair to (1.1)–(1.3). Under the conditions in Theorem 2.2, for  $\varepsilon \in (0, 1)$  small enough, the following estimates hold:*

$$\begin{aligned} \|u^\varepsilon\|_{L^\infty(0,T;L^2(\Omega_\varepsilon))} &\leq C, \quad \varepsilon^{-1}\|\nabla u^\varepsilon\|_{L^2(\Omega_\varepsilon \times (0,T))} \leq C, \\ \|w^\varepsilon\|_{L^\infty(0,T;L^2(\Omega_\varepsilon))} &\leq C, \quad \|w^\varepsilon\|_{L^2(\Omega_\varepsilon \times (0,T))} \leq C, \end{aligned}$$

where  $C$  does not depend on  $\varepsilon$ .

Firstly, multiplying (1.2) by  $w^\varepsilon$  and integrating over  $\Omega_\varepsilon \times (0, t)$  for any  $t \in [0, T]$ , we have

$$\int_{\Omega_\varepsilon} |w^\varepsilon|^2 dx + 2\kappa \int_0^t \int_{\Omega_\varepsilon} |w^\varepsilon|^2 dx d\tau \leq \int_{\Omega_\varepsilon} |w_0^\varepsilon|^2 dx + 2 \int_0^t \int_{\Omega_\varepsilon} m w^\varepsilon dx d\tau.$$

We have

$$\|w^\varepsilon\|_{L^\infty(0,T;L^2(\Omega_\varepsilon))} \leq C, \quad \|w^\varepsilon\|_{L^2(\Omega_\varepsilon \times (0,T))} \leq C, \quad (3.1)$$

where  $C$  does not depend on  $\varepsilon$ .

Secondly, multiplying the momentum equations by  $u^\varepsilon$  and integrating over  $\Omega_\varepsilon \times (0, t)$  for any  $t \in [0, T]$ , we have

$$\begin{aligned} &\int_{\Omega_\varepsilon} |u^\varepsilon|^2 dx + 2\mu\varepsilon^{-2} \int_0^t \int_{\Omega_\varepsilon} |\nabla u^\varepsilon|^2 dx d\tau \\ &\leq \int_{\Omega_\varepsilon} |u_0^\varepsilon|^2 dx + 2 \int_0^t \int_{\Omega_\varepsilon} f \cdot u^\varepsilon dx d\tau + 2 \int_0^t \int_{\Omega_\varepsilon} (w^\varepsilon \times u^\varepsilon) \cdot u^\varepsilon dx d\tau. \end{aligned}$$

By Lemma 2.2, the force term can be estimated by

$$\int_0^t \int_{\Omega_\varepsilon} f \cdot u^\varepsilon dx d\tau \leq C \int_0^T \int_{\Omega_\varepsilon} |f|^2 dx dt + \mu\varepsilon^{-2} \int_0^T \int_{\Omega_\varepsilon} |\nabla u^\varepsilon|^2 dx dt.$$

By Lemma 2.2 and (3.1), the last term can be estimated by

$$\begin{aligned} \left| 2 \int_0^t \int_{\Omega_\varepsilon} (w^\varepsilon \times u^\varepsilon) \cdot u^\varepsilon dx d\tau \right| &\leq 2 \|w^\varepsilon\|_{L^\infty(0,T;L^2(\Omega_\varepsilon))} \|u^\varepsilon\|_{L^2(0,T;L^4(\Omega_\varepsilon))}^2 \\ &\leq 2C\varepsilon^{\frac{1}{2}} \|w^\varepsilon\|_{L^\infty(0,T;L^2(\Omega_\varepsilon))} \|\nabla u^\varepsilon\|_{L^2(\Omega_\varepsilon \times (0,T))}^2 \\ &\leq \mu\varepsilon^{-2} \|\nabla u^\varepsilon\|_{L^2(\Omega_\varepsilon \times (0,T))}^2 \end{aligned}$$

for  $\varepsilon \in (0, 1)$  small enough.

By the initial conditions, we immediately deduce

$$\|u^\varepsilon\|_{L^\infty(0,T;L^2(\Omega_\varepsilon))} \leq C, \quad \varepsilon^{-1}\|\nabla u^\varepsilon\|_{L^2(\Omega_\varepsilon \times (0,T))} \leq C, \quad (3.2)$$

where  $C$  does not depend on  $\varepsilon$ . By Lemma 2.2, we also have

$$\varepsilon^{-2} \|u^\varepsilon\|_{L^2(\Omega_\varepsilon \times (0,T))} \leq C. \quad (3.3)$$

### 3.2 Extensions of $u^\varepsilon, w^\varepsilon$ and $p^\varepsilon$

Note that  $\Omega_\varepsilon$  will vary as  $\varepsilon$  tends to  $0^+$ . We need to extend the unknowns  $u^\varepsilon, w^\varepsilon$  and  $p^\varepsilon$  to the whole domain  $\Omega$ . It is reasonable to take null extensions for  $u^\varepsilon$  and  $w^\varepsilon$  since the velocity on the solid part is 0. That is, we can define

$$\tilde{u}^\varepsilon = \begin{cases} u^\varepsilon & \text{for } x \in \Omega_\varepsilon, \\ 0 & \text{for } x \in \Omega - \Omega_\varepsilon, \end{cases} \quad \tilde{w}^\varepsilon = \begin{cases} w^\varepsilon & \text{for } x \in \Omega_\varepsilon, \\ 0 & \text{for } x \in \Omega - \Omega_\varepsilon. \end{cases} \quad (3.4)$$

We will still denote the extensions by  $u^\varepsilon$  and  $w^\varepsilon$  if there are no confusions.

The extension of the pressure  $p^\varepsilon$  is different from  $u^\varepsilon$  and  $w^\varepsilon$ . The reason is that the pressure on the solid part will not disappear even if the velocity is 0 on it. To give the extension on  $p^\varepsilon$ , we define a function in the following way:

$$\begin{aligned} \langle \mathcal{F}, \varphi \rangle_{\Omega \times (0,T), \Omega \times (0,T)} &= \langle \nabla p^\varepsilon, \mathcal{R}_\varepsilon \varphi \rangle_{\Omega_\varepsilon \times (0,T), \Omega_\varepsilon \times (0,T)} \\ &= \left\langle f + w^\varepsilon \times u^\varepsilon - \varepsilon^2 \frac{\partial u^\varepsilon}{\partial t} - (u^\varepsilon \cdot \nabla) u^\varepsilon + \mu \Delta u^\varepsilon, \mathcal{R}_\varepsilon \varphi \right\rangle_{\Omega_\varepsilon \times (0,T), \Omega_\varepsilon \times (0,T)} \end{aligned} \quad (3.5)$$

for  $\varphi \in C_0^\infty(\Omega \times (0,T))$ .  $\mathcal{R}_\varepsilon$  is defined by Lemma 2.3.

Now, we give estimates on the right-hand side. We only consider the case  $n = 3$  because  $n = 2$  is much easier.

$$\begin{aligned} |\langle f, \mathcal{R}_\varepsilon \varphi \rangle_{\Omega_\varepsilon \times (0,T), \Omega_\varepsilon \times (0,t)}| &\leq \|f\|_{L^2(\Omega_\varepsilon \times (0,T))} \|\mathcal{R}_\varepsilon \varphi\|_{L^2(\Omega_\varepsilon \times (0,T))} \\ &\leq C(\|\varphi\|_{L^2(\Omega_\varepsilon \times (0,T))} + \varepsilon \|\nabla \varphi\|_{L^2(\Omega_\varepsilon \times (0,T))}). \end{aligned}$$

By Lemma 2.2, Lemma 2.3 and estimations in (3.2), we have

$$\begin{aligned} &|\langle w^\varepsilon \times u^\varepsilon, \mathcal{R}_\varepsilon \varphi \rangle_{\Omega_\varepsilon \times (0,T), \Omega_\varepsilon \times (0,t)}| \\ &\leq \|w^\varepsilon\|_{L^2(\Omega_\varepsilon \times (0,T))} \|u^\varepsilon\|_{L^2(0,T;L^6(\Omega_\varepsilon))} \|\mathcal{R}_\varepsilon \varphi\|_{L^\infty(0,T;L^3(\Omega_\varepsilon))} \\ &\leq C\varepsilon^{1+3(\frac{1}{6}-\frac{1}{2})} \|\nabla u^\varepsilon\|_{L^2(\Omega_\varepsilon \times (0,T))} \|\mathcal{R}_\varepsilon \varphi\|_{L^\infty(0,T;L^3(\Omega_\varepsilon))} \\ &\leq C\varepsilon(\|\varphi\|_{L^\infty(0,T;L^3(\Omega_\varepsilon))} + \varepsilon \|\nabla \varphi\|_{L^\infty(0,T;L^3(\Omega_\varepsilon))}). \end{aligned}$$

To the third term, we have

$$\begin{aligned} \left| \left\langle \varepsilon^2 \frac{\partial u^\varepsilon}{\partial t}, \mathcal{R}_\varepsilon \varphi \right\rangle_{\Omega_\varepsilon \times (0,T), \Omega_\varepsilon \times (0,t)} \right| &\leq \varepsilon^2 \|u^\varepsilon\|_{L^2(\Omega_\varepsilon \times (0,T))} \|\mathcal{R}_\varepsilon \varphi_t\|_{L^2(\Omega_\varepsilon \times (0,T))} \\ &\leq C\varepsilon^4(\|\varphi_t\|_{L^2(\Omega_\varepsilon \times (0,T))} + \varepsilon \|\nabla \varphi_t\|_{L^2(\Omega_\varepsilon \times (0,T))}). \end{aligned}$$

By using Lemmas 2.2–2.3 and (3.2) again, we have

$$\begin{aligned} &|\langle (u^\varepsilon \cdot \nabla) u^\varepsilon, \mathcal{R}_\varepsilon \varphi \rangle_{\Omega_\varepsilon \times (0,T), \Omega_\varepsilon \times (0,t)}| \\ &\leq \|u^\varepsilon\|_{L^2(0,T;L^6(\Omega_\varepsilon))} \|\nabla u^\varepsilon\|_{L^2(\Omega_\varepsilon \times (0,T))} \|\mathcal{R}_\varepsilon \varphi\|_{L^\infty(0,T;L^3(\Omega_\varepsilon))} \\ &\leq C\varepsilon^2(\|\varphi\|_{L^\infty(0,T;L^3(\Omega_\varepsilon))} + \varepsilon \|\nabla \varphi\|_{L^\infty(0,T;L^3(\Omega_\varepsilon))}). \end{aligned}$$

The last term is estimated by

$$\begin{aligned} |\langle \mu \Delta u^\varepsilon, \mathcal{R}_\varepsilon \varphi \rangle_{\Omega_\varepsilon \times (0,T), \Omega_\varepsilon \times (0,t)}| &= -\langle \mu \nabla u^\varepsilon, \nabla \mathcal{R}_\varepsilon \varphi \rangle_{\Omega_\varepsilon \times (0,T), \Omega_\varepsilon \times (0,t)} \\ &\leq C \|\nabla u^\varepsilon\|_{L^2(\Omega_\varepsilon \times (0,T))} \|\nabla \mathcal{R}_\varepsilon \varphi\|_{L^2(\Omega_\varepsilon \times (0,T))} \\ &\leq C(\|\varphi\|_{L^2(\Omega_\varepsilon \times (0,T))} + \varepsilon \|\nabla \varphi\|_{L^2(\Omega_\varepsilon \times (0,T))}). \end{aligned}$$

If we choose the test function  $\varphi$  such that  $\operatorname{div} \varphi = 0$ , we have

$$\langle \mathcal{F}, \varphi \rangle_{\Omega \times (0, T), \Omega \times (0, T)} = 0.$$

Thus,  $\mathcal{F}$ , being orthogonal to divergence free functions, is the gradient of some functions  $\vartheta$ . A result from [14] shows that up to a constant, we have

$$\vartheta = p^\varepsilon, \quad \text{then } \mathcal{F} = \nabla \vartheta = \nabla p^\varepsilon \quad \text{in } \Omega_\varepsilon.$$

At this moment, we can say that we have extended  $p^\varepsilon$  to the whole domain. We denote the extension function by  $P^\varepsilon$ . It remains to determine the expression of  $P^\varepsilon$  on the solid part. Suppressing the  $t$  dependence, following the steps in [15], we choose a smooth test function  $\varphi$  in (3.5), with compact support in one of the solid parts  $\mathcal{Y}_s$ , and we have

$$P^\varepsilon = \text{constant} \quad \text{in } \mathcal{Y}_s.$$

Next, we choose a smooth test function in (3.5), with compact support in the entire cell  $\mathcal{Y}_f$ . Integrating by parts, we have

$$P^\varepsilon = \widehat{p}^\varepsilon = \frac{1}{|\mathcal{Y}_f|} \int_{\mathcal{Y}_f} p^\varepsilon dx \quad \text{in } \mathcal{Y}_s.$$

In fact, we have proved the following lemma.

**Lemma 3.2** *The extension of  $p^\varepsilon$ , denoted by  $\widehat{p}^\varepsilon$ , has the form*

$$\widehat{p}^\varepsilon = \begin{cases} p^\varepsilon & \text{in } \Omega_\varepsilon, \\ \frac{1}{|\mathcal{Y}_f|} \int_{\mathcal{Y}_f} p^\varepsilon dx & \text{in } \mathcal{Y}_s. \end{cases} \quad (3.6)$$

Moreover,

$$\begin{aligned} \nabla \widehat{p}^\varepsilon &\in L^2(\Omega \times (0, T)) + \varepsilon L^1(0, T; L^{\frac{3}{2}}(\Omega)) + \varepsilon^2 L^1(0, T; W^{-1, \frac{3}{2}}(\Omega)) \\ &+ \varepsilon L^2(0, T; H^{-1}(\Omega)) + \varepsilon^4 H^{-1}(0, T; L^2(\Omega)) + \varepsilon^5 H^{-1}(\Omega \times (0, T)). \end{aligned} \quad (3.7)$$

## 4 Proof of the Main Result

In this section, we focus on the proof of Theorem 2.2. It contains three parts:

- (1) The convergence results in (2.3);
- (2) Recover the system (2.4);
- (3) Determine the initial and boundary conditions (2.5).

**Proof of Theorem 2.2** Note that the velocity  $\varepsilon^{-2}u^\varepsilon$  and the degree of freedom  $w^\varepsilon$  are both bounded in  $L^2(\Omega \times (0, T))$ . By using the standard compactness theorem, we can extract subsequences, still denoted by itself, such that

$$\begin{aligned} \varepsilon^{-2}u^\varepsilon &\rightharpoonup u \quad \text{weakly in } L^2(\Omega \times (0, T)), \\ w^\varepsilon &\rightharpoonup w \quad \text{weakly in } L^2(\Omega \times (0, T)). \end{aligned}$$

Due to (3.7), we can decompose  $\nabla \widehat{p}^\varepsilon$  as following:

$$\nabla \widehat{p}^\varepsilon = \nabla \widehat{p}_1^\varepsilon + \varepsilon \nabla \widehat{p}_2^\varepsilon + \varepsilon^2 \nabla \widehat{p}_3^\varepsilon + \varepsilon \nabla \widehat{p}_4^\varepsilon + \varepsilon^4 \nabla \widehat{p}_5^\varepsilon + \varepsilon^4 \nabla \widehat{p}_6^\varepsilon,$$

where  $\nabla \widehat{p}_i^\varepsilon$ ,  $i = 1, 2, \dots, 6$  is bounded uniformly in the corresponding space respectively. As above, we assume that  $\nabla \widehat{p}_1^\varepsilon \rightharpoonup \nabla p$  weakly in  $L^2(\Omega \times (0, T))$  and  $\nabla \widehat{p}_i^\varepsilon \rightharpoonup \nabla p_i$  weakly in the corresponding space respectively for  $i = 2, 3, \dots, 6$ . Let  $\varphi \in C_0^\infty(\Omega \times (0, T))$ . We have

$$\begin{aligned} & \int_0^T \int_\Omega \nabla \widehat{p}^\varepsilon \cdot \varphi dx dt \\ &= \int_0^T \int_\Omega (\nabla \widehat{p}_1^\varepsilon + \varepsilon \nabla \widehat{p}_2^\varepsilon + \varepsilon^2 \nabla \widehat{p}_3^\varepsilon + \varepsilon \nabla \widehat{p}_4^\varepsilon + \varepsilon^4 \nabla \widehat{p}_5^\varepsilon + \varepsilon^4 \nabla \widehat{p}_6^\varepsilon) \cdot \varphi dx dt \\ &\rightarrow \int_0^T \int_\Omega \nabla p \cdot \varphi dx dt \quad \text{as } \varepsilon \rightarrow 0^+, \end{aligned}$$

which implies

$$\nabla \widehat{p}^\varepsilon \rightharpoonup \nabla p \quad \text{weakly in } L^2(\Omega \times (0, T)).$$

Finally, by using the Nečas's inequality (see [16–17]), we obtain  $p \in L^2(0, T; H^1(\Omega))$  and

$$\widehat{p}^\varepsilon \rightharpoonup p \quad \text{weakly in } L^2(0, T; H^1(\Omega)).$$

In the sequel, we derive the homogenized model of (1.1)–(1.3). Note that

$$\varepsilon^{-2} \operatorname{div} u^\varepsilon = 0.$$

Let

$$\varphi \in C_0^\infty(\Omega \times (0, T)).$$

We have

$$\begin{aligned} 0 &= \int_0^T \int_\Omega \varepsilon^{-2} \operatorname{div} u^\varepsilon \varphi dx dt = - \int_0^T \int_\Omega \varepsilon^{-2} u^\varepsilon \cdot \nabla \varphi dx dt \\ &\rightarrow - \int_0^T \int_\Omega u \cdot \nabla \varphi dx dt = \int_0^T \int_\Omega \operatorname{div} u \varphi dx dt, \end{aligned}$$

which implies  $\operatorname{div} u = 0$  in  $\Omega \times (0, T)$ .

Let  $\varphi \in C_0^\infty(\Omega \times (0, T))$ . Taking  $\omega_i^\varepsilon \varphi$  as a test function in the momentum equations, where  $\omega_i^\varepsilon$  is defined in Lemma 2.4 and has been extended 0 on  $\partial\Omega$ , we have

$$\begin{aligned} & \int_0^T \int_\Omega \varepsilon^2 \frac{\partial u^\varepsilon}{\partial t} \cdot \omega_i^\varepsilon \varphi dx dt + \int_0^T \int_\Omega (u^\varepsilon \cdot \nabla) u^\varepsilon \cdot \omega_i^\varepsilon \varphi dx dt - \mu \int_0^T \int_\Omega \Delta u^\varepsilon \cdot \omega_i^\varepsilon \varphi dx dt \\ &+ \int_0^T \int_\Omega \nabla p^\varepsilon \cdot \omega_i^\varepsilon \varphi dx dt = \int_0^T \int_\Omega f \cdot \omega_i^\varepsilon \varphi dx dt + \int_0^T \int_\Omega w^\varepsilon \times u^\varepsilon \cdot \omega_i^\varepsilon \varphi dx dt. \end{aligned}$$

Now we compute the limit of each term in above equality,

$$\begin{aligned} \left| \int_0^T \int_\Omega \varepsilon^2 \frac{\partial u^\varepsilon}{\partial t} \cdot \omega_i^\varepsilon \varphi dx dt \right| &= \left| \varepsilon^2 \int_0^T \int_\Omega u^\varepsilon \cdot \omega_i^\varepsilon \varphi_t dx dt \right| \\ &\leq C \varepsilon^2 \|u^\varepsilon\|_{L^2(\Omega \times (0, T))} \rightarrow 0 \quad \text{as } \varepsilon \rightarrow 0^+. \end{aligned}$$

By Lemma 2.2 and Lemma 2.4, we have

$$\begin{aligned}
& \left| \int_0^T \int_{\Omega} (u^\varepsilon \cdot \nabla) u^\varepsilon \cdot \omega_i^\varepsilon \varphi dx dt \right| \\
&= \left| - \int_0^T \int_{\Omega} u^\varepsilon \times u^\varepsilon : \nabla \omega_i^\varepsilon \varphi dx dt - \int_0^T \int_{\Omega} u^\varepsilon \times u^\varepsilon : \omega_i^\varepsilon \otimes \nabla \varphi dx dt \right| \\
&\leq C \|\nabla \omega_i^\varepsilon\|_{L^2(\Omega \times (0, T))} \|u^\varepsilon\|_{L^2(0, T; L^4(\Omega))}^2 + C \|\omega_i^\varepsilon\|_{L^2(\Omega \times (0, T))} \|u^\varepsilon\|_{L^2(0, T; L^4(\Omega))}^2 \\
&\leq C \varepsilon^{-1} \varepsilon^{2+6(\frac{1}{4}-\frac{1}{2})} \|\nabla u^\varepsilon\|_{L^2(0, T; L^2(\Omega))}^2 + C \varepsilon^{2+6(\frac{1}{4}-\frac{1}{2})} \|\nabla u^\varepsilon\|_{L^2(0, T; L^2(\Omega))}^2 \\
&\leq C \varepsilon^{\frac{3}{2}} \rightarrow 0 \quad \text{as } \varepsilon \rightarrow 0^+.
\end{aligned}$$

To the last term, using Lemma 2.2 and Lemma 2.4, we have

$$\begin{aligned}
\left| \int_0^T \int_{\Omega} w^\varepsilon \times u^\varepsilon \cdot \omega_i^\varepsilon \varphi dx dt \right| &\leq C \|u^\varepsilon\|_{L^2(0, T; L^4(\Omega))} \|\omega_i^\varepsilon\|_{L^\infty(0, T; L^4(\Omega))} \\
&\leq C \varepsilon^{\frac{1}{2}} \rightarrow 0 \quad \text{as } \varepsilon \rightarrow 0^+.
\end{aligned}$$

It is obvious that

$$\int_0^T \int_{\Omega} f \cdot \omega_i^\varepsilon \varphi dx dt \rightarrow \int_0^T \int_{\Omega} \mathcal{A} f \cdot \varphi dx dt \quad \text{as } \varepsilon \rightarrow 0^+ \quad (4.1)$$

and

$$\begin{aligned}
\int_0^T \int_{\Omega} \nabla p^\varepsilon \cdot \omega_i^\varepsilon \varphi dx dt &= - \int_0^T \int_{\Omega} p^\varepsilon \omega_i^\varepsilon \cdot \nabla \varphi dx dt \\
&\rightarrow - \int_0^T \int_{\Omega} \mathcal{A} p \nabla \cdot \varphi dx dt = \int_0^T \int_{\Omega} \mathcal{A} \cdot \nabla p \varphi dx dt \quad (4.2)
\end{aligned}$$

as  $\varepsilon$  tends to zero.

Finally, we consider the limit of  $-\mu \int_0^T \int_{\Omega} \Delta u^\varepsilon \cdot \omega_i^\varepsilon \varphi dx dt$ . We have

$$\begin{aligned}
& -\mu \int_0^T \int_{\Omega} \Delta u^\varepsilon \cdot \omega_i^\varepsilon \varphi dx dt \\
&= \mu \int_0^T \int_{\Omega} \nabla u^\varepsilon : \nabla \omega_i^\varepsilon \varphi dx dt + \mu \int_0^T \int_{\Omega} \nabla u^\varepsilon : \omega_i^\varepsilon \otimes \nabla \varphi dx dt \\
&= I_1 + I_2.
\end{aligned}$$

Due to (3.2), we have

$$|I_2| \leq C \varepsilon (\varepsilon^{-1} \|\nabla u^\varepsilon\|_{L^2(\Omega \times (0, T))}) \|\omega_i^\varepsilon\|_{L^2(\Omega \times (0, T))} \rightarrow 0$$

as  $\varepsilon$  tends to zero.

Integrating by parts in  $I_1$ , we have

$$\begin{aligned}
I_1 &= -\mu \int_0^T \int_{\Omega} u^\varepsilon \cdot \Delta \omega_i^\varepsilon \varphi dx dt - \mu \int_0^T \int_{\Omega} u^\varepsilon \otimes \nabla \varphi : \nabla \omega_i^\varepsilon dx dt \\
&= I_{11} + I_{12}.
\end{aligned}$$

Due to (3.3), we have

$$|I_{12}| \leq C\varepsilon(\varepsilon^{-2}\|u^\varepsilon\|_{L^2(\Omega \times (0,T))})(\varepsilon\|\nabla\omega_i^\varepsilon\|_{L^2(\Omega \times (0,T))}) \rightarrow 0 \quad \text{as } \varepsilon \rightarrow 0^+.$$

By Lemma 2.4, we write  $I_{11}$  in the following way:

$$\begin{aligned} I_{11} &= \mu \int_0^T \int_\Omega \varepsilon^{-2} u^\varepsilon \cdot (e_i - \varepsilon \nabla \pi_i^\varepsilon) \varphi dx dt \\ &= \mu \int_0^T \int_\Omega \varepsilon^{-2} u^\varepsilon \cdot e_i \varphi dx dt - \mu \int_0^T \int_\Omega \varepsilon^{-1} u^\varepsilon \cdot \nabla \pi_i^\varepsilon \varphi dx dt \\ &= I_{111} + I_{112}. \end{aligned}$$

It is obvious

$$|I_{112}| = \left| \mu \int_0^T \int_\Omega \varepsilon^{-1} u^\varepsilon \cdot \nabla \pi_i^\varepsilon \varphi dx dt \right| \leq C\varepsilon \rightarrow 0 \quad \text{as } \varepsilon \rightarrow 0^+$$

and

$$I_{111} \rightarrow \mu \int_0^T \int_\Omega u \cdot e_i \varphi dx dt. \quad (4.3)$$

Combining (4.1)–(4.3), we obtain

$$\mu u = \mathcal{A}(-\nabla p + f) \quad \text{in } \mathcal{D}'(\Omega \times (0, T)). \quad (4.4)$$

To pass the limit to (1.2), we take  $\varphi \in C_0^\infty(\Omega \times [0, T])$  as a test function and we have

$$\begin{aligned} & - \int_0^T \int_\Omega w^\varepsilon \varphi_t dx dt + \int_0^T \int_\Omega \operatorname{div}(u^\varepsilon w^\varepsilon) \varphi dx dt + \int_0^T \int_\Omega \kappa w^\varepsilon \varphi dx dt \\ &= \int_0^T \int_\Omega m \varphi dx dt + \int_\Omega w_0^\varepsilon \varphi(x, 0) dx. \end{aligned}$$

Note that

$$\begin{aligned} \left| \int_0^T \int_\Omega \operatorname{div}(u^\varepsilon w^\varepsilon) \varphi dx dt \right| &= \left| - \int_0^T \int_\Omega u^\varepsilon w^\varepsilon \cdot \nabla \varphi dx dt \right| \\ &\leq C\varepsilon^2 \rightarrow 0 \quad \text{as } \varepsilon \rightarrow 0^+. \end{aligned}$$

Passing the limit, we obtain

$$- \int_0^T \int_\Omega w \varphi_t dx dt + \int_0^T \int_\Omega \kappa w \varphi dx dt = \int_0^T \int_\Omega m \varphi dx dt + \int_\Omega w_0 \varphi(x, 0) dx,$$

which implies that

$$\frac{\partial w}{\partial t} + \kappa w = m \quad \text{in } \mathcal{D}'(\Omega \times (0, T)) \quad (4.5)$$

and  $w|_{t=0} = w_0(x)$ .

The expression of the degree of freedom in (4.6) can be written as

$$w = w_0 e^{-\kappa t} + \int_0^t m(x, \tau) e^{-\kappa(t-\tau)} d\tau, \quad (4.6)$$

where we assume that  $w$  vanishes on the boundary of  $\Omega$ .

At last, using the fact that  $\varepsilon^{-2}u^\varepsilon$  is bounded in  $L^2(\Omega \times (0, T))$  and  $\varepsilon^{-2}\frac{\partial u^\varepsilon}{\partial t}$  is bounded in  $H^{-1}(0, T; L^2(\Omega))$ , we conclude that  $\varepsilon^{-2}u^\varepsilon$  is bounded in  $C([0, T]; L^2(\Omega))$ . Then  $\varepsilon^{-2}u^\varepsilon$  make sense at  $t = 0$ . Passing the limit, we have  $u|_{t=0} = u_0$ . For any  $t \in (0, T)$ ,  $\varepsilon^{-1}u^\varepsilon$  is bounded in  $H_0^1(\Omega)$ . Then the trace of  $\varepsilon^{-2}u^\varepsilon$  on  $\partial\Omega$  makes sense. Passing the limit, we obtain  $u|_{\partial\Omega} = 0$ .

Collecting all the information above, Theorem 2.2 is then proved.

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