

**HEAD-MEDIA INTERACTION IN MAGNETIC RECORDING**

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# HEAD-MEDIA INTERACTION IN MAGNETIC RECORDING

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**Abstract.** The head-tape interaction in magnetic recording is modelled by a coupled system of a second order differential equation for the pressure and a fourth order differential equation for the tape deflection. There is also the constraint that the spacing between the head and tape remains positive. In this paper, we study the stationary 1-d case: we establish the existence of a smooth solution and a boundary layer phenomenon observed both numerically and experimently. The 2-d case is briefly discussed.

**1. The model.** The motion of magnetic media entrains air in between the head and media that forms a thin air film separating the head and the media. Figure 1 shows the one-dimensional head-media interaction system

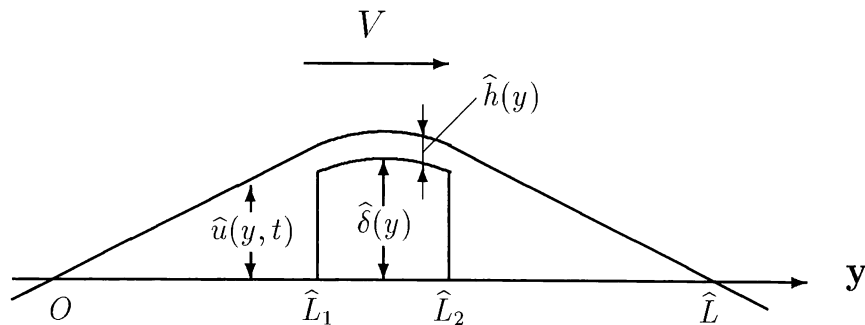


Figure 1.

Here

$y$  = length parameter,  
 $\hat{u}$  = deflection of the tape,  
 $\hat{\delta}$  = the profile of the head,

and

$\hat{h}$  = the spacing between head and tape.

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This problem was studied numerically by several authors; see [1] [2] [6] and the references therein.

The mathematical model for the air pressure  $\hat{p}$  between the head and the tape is based on the modified Reynolds equation, which is the lubrication approximation to the Navier-Stokes equations (taking slip into account)

$$12 \frac{\partial(\hat{p}\hat{h})}{\partial t} + 6V \frac{\partial(\hat{p}\hat{h})}{\partial y} - \frac{6\lambda p_a}{\mu} \frac{\partial}{\partial y} \left( \hat{h}^2 \frac{\partial \hat{p}}{\partial y} \right) - \frac{\partial}{\partial y} \left( \frac{\hat{h}^3 \hat{p}}{\mu} \frac{\partial \hat{p}}{\partial y} \right) = 0, \quad \hat{L}_1 < y < \hat{L}_2.$$

Here

$\mu$  = air viscosity,

$\lambda$  = mean free path length at ambient pressure,

$p_a$  = atmospheric pressure,

$V$  = tape velocity.

The tape deflection  $\hat{u}$  satisfies the elasticity equation

$$\rho \frac{\partial^2 \hat{u}}{\partial t^2} + 2\rho V \frac{\partial^2 \hat{u}}{\partial y \partial t} - (T - \rho V^2) \frac{\partial^2 \hat{u}}{\partial y^2} + EI \frac{\partial^4 \hat{u}}{\partial y^4} = (\hat{p} - p_a) \chi_{[\hat{L}_1, \hat{L}_2]}(y), \quad 0 < y < \hat{L},$$

and

$$\hat{u}(y, t) = \hat{\delta}(y) + \hat{h}(y, t).$$

Here

$\rho$  = mass density of the tape,

$T$  = tape tension,

$E$  = Young's modulus of the tape,

$I$  = second moment of inertia of the tape section.

Typical magnitudes of the above quantities are:

$$\mu = 2 \times 10^{-5} \text{Kg/m} \cdot \text{sec}, \quad \lambda = 6 \times 10^{-8} \text{m}, \quad p_a = 8 \times 10^4 \text{N/m}^2,$$

$$V = 2.5 \text{m/sec}, \quad \rho = 4 \times 10^{-2} \text{Kg/m}^2, \quad T = 3 \times 10^2 \text{N/m},$$

$$EI = 2 \times 10^{-5} \text{N} \cdot \text{m}, \quad \hat{L} = 10^{-1} \text{m}, \quad \hat{L}_2 - \hat{L}_1 = 10^{-2} \text{m},$$

where  $N$  = Newton. The spacing  $\hat{h}$  is of order of magnitude of  $10^{-6} \text{m}$ . For more details on the model see [1] and [4; Chap. 3].

We shall consider the steady state and nondimensionalize the system by introducing

$$x = \frac{y}{10^{-2}}, \quad p(x) = \frac{\hat{p}(y)}{p_a}, \quad h(x) = \frac{\hat{h}(y)}{10^{-6}},$$

$$u(x) = \frac{\hat{u}(y)}{10^{-6}}, \quad \delta(x) = \frac{\hat{\delta}(y)}{10^{-6}}.$$

We then obtain the following system:

$$(1.1) \quad \frac{\partial(ph)}{\partial x} - \varepsilon \frac{\partial}{\partial x} \left( \alpha h^2 \frac{\partial p}{\partial x} + \beta h^3 p \frac{\partial p}{\partial x} \right) = 0, \quad L_1 < x < L_2,$$

$$(1.2) \quad -\frac{\partial^2 u}{\partial x^2} + \eta \frac{\partial^4 u}{\partial x^4} = K(p-1)\chi_{[L_1, L_2]}, \quad 0 < x < L,$$

$$(1.3) \quad u(x) = h(x) + \delta(x), \quad h(x) > 0 \quad \text{if } L_1 \leq x \leq L_2,$$

where

$$\varepsilon = O(10^{-2}), \quad \beta = O(1), \quad \alpha = O(10^{-1}), \quad \eta = O(10^{-3}), \\ L_2 - L_1 = O(1), \quad L = O(10), \quad K = O(10^4).$$

The system is supplemented by the boundary conditions:

$$(1.4) \quad p = 1 \quad \text{at } x = L_1 \text{ and } x = L_2,$$

$$(1.5) \quad u = \frac{\partial u}{\partial x} = 0 \quad \text{at } x = 0 \text{ and } x = L.$$

We assume throughout this paper that  $\delta(x)$  is in  $C^2[L_1, L_2]$  and

$$(1.6) \quad \delta(x) > 0, \quad \delta''(x) < 0 \quad \text{if } L_1 \leq x \leq L_2, \\ \frac{\delta(L_1)}{L_1} < \delta'(L_1).$$

**THEOREM 1.1.** *There exist positive constants  $\varepsilon^*$ ,  $\eta^*$  such that if  $0 < \varepsilon < \varepsilon^*$ ,  $0 < \eta < \eta^*$ , then the system (1.1)–(1.6) has a classical solution  $(p, h, u)$  with  $p, h$  in  $C^\infty[L_1, L_2]$ , and  $p > 0$ ,  $h > 0$  in  $[L_1, L_2]$ .*

This result will be proved in Sections 2–5. In Section 6 we shall study the boundary layer behavior of the solution as  $\varepsilon \rightarrow 0$ ,  $\eta \rightarrow 0$ . Finally, in Section 7 we discuss the two-dimensional case.

**2. The special case  $\eta = 0$ ,  $\varepsilon = 0$ .** In the special case  $\eta = 0$ ,  $\varepsilon = 0$  the system (1.1)–(1.3) reduces to

$$(2.1) \quad \frac{\partial(ph)}{\partial x} = 0, \quad h = u - \delta > 0 \quad \text{if } L_1 \leq x \leq L_2,$$

$$(2.2) \quad -\frac{\partial^2 u}{\partial x^2} = K(p-1)\chi_{[L_1, L_2]} \quad \text{if } 0 < x < L.$$

Since we are dealing with a singular perturbation, only some of the boundary conditions in (1.4), (1.5) are preserved. As will be shown later on, the correct boundary conditions for (2.1), (2.2) are:

$$(2.3) \quad p = 1 \quad \text{at } x = L_1,$$

$$(2.4) \quad u = 0 \quad \text{at } x = 0 \text{ and } x = L.$$

From (2.1), we deduce that  $p \cdot h = \text{constant} = C$ ; since  $p(L_1) = 1$ ,

$$C = h(L_1) = u(L_1) - \delta(L_1),$$

and (2.2) becomes

$$(2.5) \quad -u_{xx} = K \left( \frac{u(L_1) - \delta(L_1)}{u(x) - \delta(x)} - 1 \right) \chi_{[L_1, L_2]}.$$

To solve (2.5), (2.4) we use the shooting method: We solve (2.5) subject to the initial conditions

$$(2.6) \quad u(0) = 0, \quad u_x(0) = k \quad (> 0)$$

and vary the parameter  $k$ . Any solution of (2.5), (2.6) is continued as long as it remains larger than  $\delta(x)$ . We shall denote this solution (extended to its maximal existence interval) by  $u(x, k)$ . If  $k \leq \delta(L_1)/L_1$ , then the solution does not exist for  $x > L_1$ ; hence we shall always take  $k > \delta(L_1)/L_1$ .

**LEMMA 2.1.** *If  $k \geq \delta'(L_1)$ , then  $u_x(x, k) \geq 0$  for all  $x \geq 0$ .*

*Proof.* It suffices to prove the lemma for  $k > \delta'(L_1)$ . Introduce the linear function  $v(x) = kx$ . Then  $u - v = (u - v)_x = 0$  at  $x = L_1$ . Also  $u_{xx}(L_1 + 0, k) = 0$  and

$$u_{xxx}(L_1 + 0, k) = \frac{K}{u(L_1, k) - \delta(L_1)} (k - \delta'(L_1)) > 0$$

so that  $u_{xx}(x, k) > 0$  in some interval  $L_1 < x < L_1 + \varepsilon_1$ , and consequently  $(u - v)_x > 0$ ,  $(u - v) > 0$  if  $L_1 < x < L_1 + \varepsilon_1$ . Let  $x_0$  denote the largest number  $\leq L_2$  such that  $(u - v)_x > 0$ ,  $(u - v) > 0$  if  $L_1 < x < x_0$ . If  $x_0 = L_2$  then the lemma follows. Suppose then that  $x_0 < L_2$ . Then  $u_x(x_0, k) = v_x(x_0)$  and

$$u_{xx}(x_0, k) \leq v_{xx}(x_0) = 0.$$

However, since  $u(x_0, k) > v(x_0)$  and  $u(L_1, k) = v(L_1)$ ,

$$u_{xx}(x_0, k) = -K \left( \frac{u(L_1, k) - \delta(L_1)}{u(x_0, k) - \delta(x_0)} - 1 \right) > -K \left( \frac{v(L_1) - \delta(L_1)}{v(x_0) - \delta(x_0)} - 1 \right)$$

whereas, by (1.6)

$$v(x_0) - \delta(x_0) > v(L_1) - \delta(L_1) > 0.$$

It follows that  $u_{xx}(x_0, k) > 0$ , a contradiction.  $\square$

**LEMMA 2.2.** *Let  $\frac{\delta(L_1)}{L_1} < k < \delta'(L_1)$ . Then*

$$(2.7) \quad u_{xx}(x, k) < 0 \quad \text{if } 0 < x - L_1 < \varepsilon_1$$

for some small  $\varepsilon_1 > 0$ , and

(2.8)  $u_{xx}(x, k)$  will change sign at most once in the interval  $(L_1, L_2)$ .

*Proof.* Since  $u_{xx}(L_1, k) = 0$  and

$$u_{xxx}(L_1 + 0, k) = \frac{K}{u(L_1, k) - \delta(L_1)}(k - \delta'(L_1)) < 0,$$

(2.7) follows. To prove (2.8) suppose that  $u_{xx}(x, k)$  changes sign and let  $\bar{x}$  denote the first zero of  $u_{xx}(x, k)$  in the interval  $(L_1, L_2)$ , i.e.,

$$\begin{aligned} u_{xx}(x, k) &< 0 & \text{if } L_1 < x < \bar{x} < L_2, \\ u_{xx}(\bar{x}, k) &= 0. \end{aligned}$$

From the differential equation for  $u$  it follows that

$$\begin{aligned} u(x, k) - \delta(x) &< u(L_1, k) - \delta(L_1) & \text{if } L_1 < x < \bar{x}, \\ u(\bar{x}, k) - \delta(\bar{x}) &= u(L_1, k) - \delta(L_1). \end{aligned}$$

Hence

$$u_x(\bar{x}, k) \geq \delta'(\bar{x}).$$

Since also

$$u_{xx}(\bar{x}, k) = 0 > \delta''(\bar{x}),$$

it follows that

$$u_x(x, k) > \delta'(x) \quad \text{if } 0 < x - \bar{x} < \sigma$$

for some  $\sigma > 0$ , and therefore

$$u(x, k) - \delta(x) > u(\bar{x}, k) - \delta(\bar{x}) = u(L_1, k) - \delta(L_1) \quad (\text{by (2.5) and } u_{xx}(\bar{x}, k) = 0),$$

so that, by the differential equation for  $u$ ,

$$u_{xx}(x, k) > 0 \quad \text{if } 0 < x - \bar{x} < \sigma.$$

Since  $\delta'' < 0$ , we can extend the solution beyond  $x = \bar{x} + \sigma$ ; furthermore, as long as  $u_{xx}$  remains positive, we have  $u_x(x, k) - \delta'(x) > 0$  and

$$u(x, k) - \delta(x) > u(L_1, k) - \delta(L_1),$$

and so, by the differential equation,  $u_{xx}$  will remain uniformly positive.  $\square$

LEMMA 2.3. *Suppose*

$$\frac{\delta(L_1)}{L_1} < k_1 < k_2 < \delta'(L_1)$$

and

$$(2.9) \quad u_{xx}(x, k_1) \leq 0 \quad \text{for } 0 \leq x < \bar{x} \quad \text{and some } L_1 < \bar{x} \leq L_2.$$

Then

$$(2.10) \quad u(x, k_2) - u(L_1, k_2) > u(x, k_1) - u(L_1, k_1) \quad \text{for } L_1 < x < \bar{x},$$

and

$$(2.11) \quad u_x(x, k_2) > u_x(x, k_1) \quad \text{for } 0 < x < \bar{x}.$$

*Proof.* Since (2.10) is a consequence of (2.11) whereas (2.11) is already valid for  $0 \leq x \leq L_1$ , it remains to prove that (2.11) holds for all  $x$  in  $(L_1, \bar{x})$ . If this is not the case then there exists a point  $x^*$  in  $(L_1, \bar{x})$  such that

$$(2.12) \quad \begin{aligned} u(x, k_2) - u(L_1, k_2) &> u(x, k_1) - u(L_1, k_1), & L_1 < x < x^*, \\ u_x(x, k_2) &> u_x(x, k_1), & 0 \leq x < x^* \end{aligned}$$

and

$$u_x(x^*, k_2) = u_x(x^*, k_1).$$

It follows that  $u_{xx}(x^*, k_2) \leq u_{xx}(x^*, k_1) \leq 0$ , or, from the differential equation,

$$\frac{u(L_1, k_2) - \delta(L_1)}{u(x^*, k_2) - \delta(x^*)} \geq \frac{u(L_1, k_1) - \delta(L_1)}{u(x^*, k_1) - \delta(x^*)}.$$

Combining this with the first inequality in (2.12) for  $x = x^*$ , we find that

$$\frac{u(x^*, k_1) - \delta(x^*)}{u(L_1, k_1) - \delta(L_1)} > 1.$$

This implies, by (2.5), that  $u_{xx}(x^*, k_1) > 0$ , which is a contradiction.  $\square$

LEMMA 2.4. *Let  $\frac{\delta(L_1)}{L_1} < k < \delta'(L_1)$ . If*

$$(2.13) \quad u_x(x, k) \geq -C \quad \text{for } L_1 < x < \bar{x} \quad \text{and some } \bar{x} \in (L_1, L_2),$$

then  $u(\bar{x}, k) > \delta(\bar{x})$  and hence the solution  $u(x, k)$  can be extended beyond  $x = \bar{x}$ .

*Proof.* Since  $-u_{xx} \geq -K$  in  $(L_1, L_2)$ ,  $u_{xx} \leq K$  and  $u_x$  is bounded from above. Under the assumption (2.13) it then follows that  $u(\bar{x} - 0, k)$  exists; further, by (2.13),

$$u(x, k) \leq u(\bar{x}, k) + C(\bar{x} - x) \quad \text{if } L_1 < x < \bar{x}.$$

This implies that

$$-u_{xx}(x, k) \geq K \left( \frac{u(L_1, k) - \delta(L_1)}{C(\bar{x} - x) + u(\bar{x}, k) - \delta(x)} - 1 \right) \quad \text{for } L_1 < x < \bar{x}.$$

We need to show that  $u(\bar{x}, k) > \delta(\bar{x})$ . Suppose  $u(\bar{x}, k) = \delta(\bar{x})$ . Then, since  $C$  may be assumed to be larger than  $\sup |\delta'|$ ,

$$\begin{aligned} u_x(\bar{x} - 0, k) - u_x(x, k) &= \int_x^{\bar{x}-0} u_{xx}(\xi, k) d\xi \\ &\leq -K \int_x^{\bar{x}-0} \left( \frac{u(L_1, k) - \delta(L_1)}{C(\bar{x} - \xi) + \delta(\bar{x}) - \delta(\xi)} - 1 \right) d\xi = -\infty \end{aligned}$$

for  $L_1 < x < \bar{x}$ , which is a contradiction to (2.13).  $\square$

We define

$$\bar{k} \equiv \inf \left\{ k > 0; \inf_{L_1 \leq x \leq L_2} [u(x, \tilde{k}) - \delta(x)] > 0 \quad \forall k \leq \tilde{k} < \delta'(L_1) \right\}.$$

Then

$$\frac{\delta(L_1)}{L_1} < \bar{k} < \delta'(L_1),$$

where the second inequality follows from Lemma 2.1.

**LEMMA 2.5.** *There holds:*

$$(2.14) \quad u(x, \bar{k}) > \delta(x) \quad \text{if } L_1 \leq x < L_2,$$

$$(2.15) \quad u(L_2, \bar{k}) = \delta(L_2),$$

*i.e., the maximal existence interval for  $u(x, \bar{k})$  is  $0 \leq x < L_2$ .*

*Remark 2.1.* Since  $u_{xx}$  has a fixed sign near  $x = L_2$ , Lemma 2.4 and (2.15) imply that

$$(2.16) \quad u_x(L_2 - 0, \bar{k}) = -\infty.$$

*Proof.* Suppose (2.14) is not true. Then there exists an  $x^* \in (L_1, L_2)$  such that

$$\begin{aligned} u(x, \bar{k}) &> \delta(x) \quad \text{if } L_1 \leq x < x^*, \\ u(x^*, \bar{k}) &= \delta(x^*). \end{aligned}$$

As in Remark 2.1

$$u_x(x^* - 0, \bar{k}) = -\infty$$

and so for any large positive number  $N$  there is an  $x^{**} < x^*$  ( $x^* - x^{**}$  small) such that  $u_x(x^{**}, \bar{k}) < -3N$ ; then also

$$u_x(x^{**}, \bar{k} + \sigma) < -2N$$

if  $\sigma$  is positive and small enough. Since  $u_{xx} \leq K$ , we deduce that

$$u_x(x, \bar{k} + \sigma) < -N$$

for all  $x^{**} < x < L_2$ . Taking  $N$  large enough we find that the curve  $y = u(x, \bar{k} + \sigma)$  intersects the curve  $y = \delta(x)$  at some point between  $x^{**}$  and  $L_2$  (in fact, near  $x^*$ ), and this contradicts the definition of  $\bar{k}$ .

Next, if (2.15) is not true, i.e., if  $u(L_2, \bar{k}) > \delta(L_2)$  then by continuity we have that  $u(x, \bar{k} - \sigma)$  exists for all  $0 < x \leq L_2$ , for any  $\sigma$  positive and small enough, and

$$\inf_{L_1 \leq x \leq L_2} [u(x, \bar{k} - \sigma) - \delta(x)] > 0;$$

this however contradicts the definition of  $\bar{k}$ .  $\square$

From (2.16), we have, for any  $N \gg 1$ ,

$$u_x(L_2 - \bar{\delta}, \bar{k}) < -3N$$

if  $\bar{\delta}$  is small enough and, by the continuous dependence of the solution on  $k$ ,

$$u_x(L_2 - \bar{\delta}, \bar{k} + \sigma) < -2N$$

if  $\sigma > 0$  and small. Since  $u_{xx} \leq K$  it follows that  $u_x(x, \bar{k} + \sigma) < -N$  if  $x > L_2 - \bar{\delta}$ , and therefore

$$(2.17) \quad u(L, \bar{k} + \sigma) < 0.$$

The inequality

$$u(L_2, \bar{k} + \sigma) - \delta(L_2) < (\bar{k} + \sigma)L_1 - \delta(L_1)$$

is true for  $\sigma = 0$  and by continuity also for  $\sigma > 0$  and sufficiently small. It implies (by the differential equation for  $u$ ) that

$$(2.18) \quad u_{xx}(L_2, \bar{k} + \sigma) < 0$$

and therefore, by Lemma 2.2,

$$(2.19) \quad u_{xx}(x, \bar{k} + \sigma) \leq 0 \quad \text{if } 0 \leq x < L_2.$$

We now define

$$\begin{aligned} k^* &= \sup \{k; k \in (\bar{k}, \delta'(L_1)) \text{ and } u(L, k) \leq 0\}, \\ k_* &= \inf \{k; k \in (\bar{k}, \delta'(L_1)) \text{ and } u(L, k) \geq 0\}. \end{aligned}$$

Lemma 2.1 and (2.17) show that  $k^*$  and  $k_*$  are well defined, and then, clearly,  $u(x, k^*)$ ,  $u(x, k_*)$  are solutions of (2.5), (2.4).

**LEMMA 2.6.** *For any solution  $u(x)$  of (2.5), (2.4),*

$$(2.20) \quad u(x, k_*) \leq u(x) \leq u(x, k^*), \quad 0 < x < L.$$

*Proof.* We shall show that any two non-identical solutions  $u_1(x)$  and  $u_2(x)$  cannot intersect; this clearly implies the assertion (2.20), since  $k_* \leq k \leq k^*$  if  $u(x) = u(x, k)$ .

If  $u_1(L_1) = u_2(L_1)$  then obviously  $u_1 \equiv u_2$ . Hence we may suppose that  $u_1(L_1) \neq u_2(L_1)$ . Consider for definiteness the case  $u_1(L_1) > u_2(L_1)$ . Then

$$\begin{aligned} -(u_1)_{xx} &= K \left( \frac{u_1(L_1) - \delta(L_1)}{u_1(x) - \delta(x)} - 1 \right) \chi_{[L_1, L_2]} \\ &\geq K \left( \frac{u_2(L_1) - \delta(L_1)}{u_1(x) - \delta(x)} - 1 \right) \chi_{[L_1, L_2]}, \end{aligned}$$

or

$$-(u_1)_{xx} + F(u_1, x) \geq 0$$

where

$$F(s, x) = -K \left( \frac{u_2(L_1) - \delta(L_1)}{s - \delta(x)} - 1 \right) \chi_{[L_1, L_2]}.$$

Since  $-(u_2)_{xx} + F(u_2, x) = 0$  and

$$\frac{\partial F(s, x)}{\partial s} > 0,$$

the maximum principle shows that  $u_1(x) > u_2(x)$  for  $0 < x < L$ .  $\square$

We summarize the main results of this section:

**THEOREM 2.7.** (i) *There exists at least one classical solution to the system (2.1)–(2.4); (ii) No two distinct solutions of (2.5), (2.4) can intersect, and every solution  $u(x)$  satisfies (2.20); (iii) For every solution  $u(x)$ ,  $u_{xx}(L_1 + \xi) < 0$  for  $\xi$  positive and small, and  $u_{xx}$  can change sign at most once in the interval  $L_1 < x < L_2$ .*

*Remark 2.2.* If

$$(2.21) \quad u_{xx}(x, k_*) \leq 0 \quad \text{for } L_1 < x < L_2,$$

then the solution  $u(x)$  is unique. Indeed, if  $k > k_*$ , then  $u(L_1, k) > u(L_1, k_*)$  and, by (2.10) of Lemma 2.3,  $u(L_2, k) > u(L_2, k_*)$ . Since, by (2.11) of Lemma 2.3, also  $u_x(L_2, k) \geq u_x(L_2, k_*)$ , it follows that  $u(L, k) > 0$ .

*Remark 2.3.* If

$$(2.22) \quad \delta'(L_2) \geq -\frac{\delta(L_2)}{L - L_2}$$

then (2.21) is valid, and so uniqueness holds. Indeed, if (2.21) is not valid, then

$$\begin{aligned} u_{xx}(x, k_*) &\leq 0 & \text{if } L_1 < x < \hat{x}, \\ u_{xx}(x, k_*) &\geq 0 & \text{if } \hat{x} < x < L_2 \end{aligned}$$

for some  $\hat{x} \in (L_1, L_2)$ . Using the differential equation we see that the values of  $u(x, k_*) - \delta(x)$  at  $x < \hat{x}$  are smaller than the values at  $x > \hat{x}$ , so that

$$u_x(\hat{x}, k_*) \geq \delta'(\hat{x})$$

and hence

$$u_x(L_2, k_*) \geq u_x(\hat{x}, k_*) \geq \delta'(\hat{x}) > \delta'(L_2) \geq -\frac{\delta(L_2)}{L - L_2}.$$

But this implies that  $u(L, k_*) > 0$ , which is a contradiction.

*Remark 2.4.* For any solution of (2.5), (2.4), we have the bound

$$(2.23) \quad u(L_1) - \delta(L_1) < L_1 \delta'(L_1) - \delta(L_1).$$

Indeed, if (2.23) is not true, then writing  $u(x) = u(x, k)$  we have  $k = u(L_1)/L_1 \geq \delta'(L_1)$ , which contradicts Lemma 2.1.

We end this section by proving a uniqueness theorem for symmetric heads.

**THEOREM 2.8.** *Suppose, in addition to (1.6), that*

$$(2.24) \quad \delta(x) = \delta(2L_m - x) \quad \text{for } L_m < x \leq L_2$$

for some  $L_m$  such that

$$(2.25) \quad \frac{L_1 + L_2}{2} \leq L_m < L_2, \quad L - L_m \leq L_m.$$

Then the solution to the system (2.1)–(2.4) is unique.

*Proof.* According to Remark 2.2, it suffices to prove that  $u_{xx}(x, k_*) \leq 0$  for  $L_1 < x < L_2$ . We first claim that

$$(2.26) \quad u_{xx}(x, k_*) \leq 0 \quad \text{for } L_1 < x \leq L_m.$$

In fact, if this is not true, then by Lemma 2.2, there exists a point  $\hat{x} \in (L_1, L_m]$  such that

$$(2.27) \quad u_{xx}(x, k_*) < 0 \quad \text{for } L_1 < x < \hat{x},$$

$$(2.28) \quad u_{xx}(x, k_*) > 0 \quad \text{for } \hat{x} < x < L_2.$$

Notice that the assumption (2.24) implies that  $\delta'(L_m) = 0$ . Using the differential equation, we obtain

$$u_x(\hat{x}, k_*) \geq \delta'(\hat{x}) \geq \delta'(L_m) = 0.$$

By (2.28) we then have  $u_x(x, k_*) > 0$  for all  $x > \hat{x}$ , which is a contradiction.

Note that under the assumption (2.25),  $2L_m - L \geq 0$  and  $2L_m - L_2 \geq L_1$ . We next claim that

$$(2.29) \quad u(x, k_*) \geq u(2L_m - x, k_*) \quad \text{for } 2L_m - L < x < L_m.$$

To prove this, we let

$$v(x) = u(x, k_*) - u(2L_m - x, k_*) \quad \text{for } 2L_m - L < x < L_m.$$

Using (2.24) and (2.26), we find that  $v(x)$  satisfies

$$\begin{aligned} -v_{xx} + c(x)v(x) &\geq 0 \quad \text{for } 2L_m - L < x < L_m, \\ v(2L_m - L) &\geq 0, \quad v(L_m) = 0, \end{aligned}$$

where

$$c(x) = \frac{K[u(L_1, k_*) - \delta(L_1)]}{[u(x, k_*) - \delta(x)][u(2L_m - x, k_*) - \delta(x)]} \chi_{[L_1, L_m]} \geq 0.$$

Therefore the maximum principle implies that  $v(x) \geq 0$ , which is the assertion (2.29). Using (2.29) in (2.5) we get  $u_{xx}(x, k_*) \geq u_{xx}(2L_m - x, k_*)$  for  $2L_m - L < x < L_m$ , and then, by (2.26),  $u_{xx}(2L_m - x, k_*) \leq 0$  for  $L_1 < x < L_m$ . Consequently, altogether,  $u_{xx}(x, k_*) \leq 0$  for  $L_1 < x < L_2$ .  $\square$

**3. A variational inequality for  $\varepsilon = 0$ ,  $\eta = 0$ .** We shall need to recast the solution of (2.1)–(2.4) (or rather ((2.5), (2.4)) as a solution of a variational inequality. We first note that from the results of §2 ((2.17)–(2.19)) it follows that if  $0 < k - \bar{k} \ll 1$ , then

$$u_{xx}(x, k) < 0 \quad \text{for } L_1 < x \leq L_2 - 0$$

and  $u(L, k) < 0$ . It follows that if  $\hat{\alpha}$  is positive and sufficiently small, then there exists a solution of

$$(3.1) \quad g_{xx} = -K \left( \frac{g(L_1) - \delta(L_1)}{g(x) - \delta(x)} - 1 \right) \chi_{[L_1, L_2]}, \quad 0 < x < L,$$

$$(3.2) \quad g(0) = -\hat{\alpha}, \quad g(L) < 0$$

and

$$(3.3) \quad u(x, k_*) - g(x) \geq m > 0 \quad \text{for } 0 < x < L,$$

where  $m$  is a constant; in fact,  $g'(0) = k$  where  $0 < k - \bar{k} \ll 1$ . We introduce a truncation of the linear function  $s$ ,

$$f(s) = \begin{cases} s & \text{if } s \leq 1 + L_1\delta'(L_1) - \delta(L_1) \\ 1 + L_1\delta'(L_1) - \delta(L_1) & \text{if } s > 1 + L_1\delta'(L_1) - \delta(L_1), \end{cases}$$

and the variational inequality

$$(3.4) \quad \begin{aligned} -u_{xx} &\geq K \left( \frac{f(u(L_1) - \delta(L_1))}{u(x) - \delta(x)} - 1 \right) \chi_{[L_1, L_2]}, \\ u(x) &\geq g(x), \\ (u - g) \left\{ -u_{xx} - K \left( \frac{f(u(L_1) - \delta(L_1))}{u(x) - \delta(x)} - 1 \right) \chi_{[L_1, L_2]} \right\} &= 0 \end{aligned}$$

for  $0 < x < L$ , with the boundary conditions

$$(3.5) \quad u(0) = u(L) = 0.$$

**LEMMA 3.1.** *Any solution  $u(x)$  of (3.4), (3.5) satisfies*

$$(3.6) \quad \begin{aligned} u(x) - g(x) &\geq m > 0 \quad \text{if } L_1 \leq x \leq L_2, \\ u(L_1) - \delta(L_1) &\leq L_1\delta'(L_1) - \delta(L_1); \end{aligned}$$

and, consequently, it is also a solution of (2.5), (2.4).

*Proof.* Since  $u(L_1) \geq g(L_1)$  and  $f(s)$  is monotone in  $s$ , we have  $f(u(L_1) - \delta(L_1)) \geq f(g(L_1) - \delta(L_1)) = g(L_1) - \delta(L_1)$ ; the last equation follows from (3.3) and Remark 2.4. It follows that

$$-u_{xx} \geq K \left( \frac{g(L_1) - \delta(L_1)}{u(x) - \delta(x)} - 1 \right) \chi_{[L_1, L_2]}.$$

Comparing with (3.1) and using the strong maximum principle, we conclude that  $u(x) > g(x)$  for  $0 \leq x \leq L$  and therefore  $u$  satisfies the equation

$$-u_{xx} = K \left( \frac{f(u(L_1) - \delta(L_1))}{u(x) - \delta(x)} - 1 \right) \chi_{[L_1, L_2]}.$$

Using the proof for Lemma 2.1, we conclude that  $u(L_1) \leq L_1\delta'(L_1)$  and so the second inequality of (3.6) is satisfied. Hence  $u$  is a solution of (2.5), (2.4) and then of course

$$u(x) \geq u(x, k_*) \geq g(x) + m \quad \text{by (3.3).} \quad \square$$

In Remark 4.1 we shall explain why the truncation was needed.

**4. A variational system for small  $\varepsilon$  and  $\eta$ .** To avoid the difficulty of possible degeneracy when  $h$  is near zero, we first impose in (1.1), (1.2) the restriction that  $u(x) \geq g(x)$  (recall that  $g(x) > \delta(x)$  for  $L_1 \leq x \leq L_2$ ). The boundary condition for  $p$  will also be modified for technical reasons. Thus we consider the system

$$(4.1) \quad \frac{\partial(ph)}{\partial x} - \varepsilon \frac{\partial}{\partial x} \left( \alpha h^2 \frac{\partial p}{\partial x} + \beta h^3 p \frac{\partial p}{\partial x} \right) = 0, \quad L_1 < x < L_2,$$

$$(4.2) \quad \begin{aligned} & -\frac{\partial^2 u}{\partial x^2} + \eta \frac{\partial^4 u}{\partial x^4} \geq K(p-1)\chi_{[L_1, L_2]}, \quad 0 < x < L, \\ & u(x) \geq g(x), \quad 0 < x < L, \\ & [u(x) - g(x)] \left\{ -\frac{\partial^2 u}{\partial x^2} + \eta \frac{\partial^4 u}{\partial x^4} - K(p-1)\chi_{[L_1, L_2]} \right\} = 0, \quad 0 < x < L, \end{aligned}$$

and

$$(4.3) \quad h(x) = u(x) - \delta(x), \quad L_1 \leq x \leq L_2$$

with the boundary conditions

$$(4.4) \quad p(L_1) = p(L_2) = \frac{f(h(L_1))}{h(L_1)},$$

$$(4.5) \quad u = u_x = 0 \quad \text{at } x = 0, \quad x = L.$$

Let

$$(4.6) \quad G = \left\{ p \in C[L_1, L_2]; \ 0 \leq p \leq 1 + \frac{1 + L_1 \delta'(L_1) - \delta(L_1)}{l} \right\}$$

where

$$l = \min_{L_1 \leq x \leq L_2} [g(x) - \delta(x)] > 0.$$

For each  $p \in G$  we solve the variational inequality (4.2) with boundary conditions (4.5). By general theory,  $u$  is uniquely determined as the minimizer of

$$\int_0^L \{u_x^2 + \eta u_{xx}^2 - K(p-1)\chi_{[L_1, L_2]}\} dx$$

subject to the boundary condition (4.5), and consequently

$$(4.7) \quad \int_0^L u_x^2 dx \leq C, \quad C \text{ independent of } p \text{ and } \eta.$$

We shall need the following stronger estimate:

**LEMMA 4.1.** *The following estimate holds:*

$$(4.8) \quad |u_x(x)| \leq C, \quad 0 \leq x \leq L$$

where  $C$  is a constant independent of  $p$  and  $\eta$ .

*Proof.* The proof relies on the fact that  $g \in W^{2,\infty}(0, L)$ . We also note that  $u \in H^2(0, L)$  so that  $u \in C^1[0, L]$ . At any point  $x_0$  where  $u(x_0) = g(x_0)$ , we have

$$|u_x(x_0)| = |g_x(x_0)| \leq C.$$

Thus it remains to estimate  $u_x$  in the open set  $\{u > g\}$ , which consists of intervals  $\{x_1 < x < x_2\}$ . If at least one end point is 0 or  $L$ , then  $x_2 - x_1 \geq c > 0$ ,  $c$  independent of  $\eta$ , and so

$$(4.9) \quad \frac{x_2 - x_1}{\sqrt{\eta}} \geq 3$$

if  $\eta$  is small enough.

We shall first consider the case where  $0 < x_1 < x_2 < L$ . Then

$$(4.10) \quad u(x_i) = g(x_i), \quad u_x(x_i) = g_x(x_i) \quad \text{for } i = 1, 2,$$

and

$$(4.11) \quad -\frac{\partial^2 u}{\partial x^2} + \eta \frac{\partial^4 u}{\partial x^4} = q(x) \quad \text{if } x_1 < x < x_2,$$

where  $q(x) = K(p-1)\chi_{[L_1, L_2]}$ . Multiplying (4.11) by  $u - g$  and integrating over  $(x_1, x_2)$ , we obtain

$$\begin{aligned} & \int_{x_1}^{x_2} u_x^2 dx + \eta \int_{x_1}^{x_2} u_{xx}^2 dx \\ = & \int_{x_1}^{x_2} u_x g_x dx + \eta \int_{x_1}^{x_2} u_{xx} g_{xx} dx + \int_{x_1}^{x_2} q(u - g) dx \\ \leq & \frac{1}{2} \left( \int_{x_1}^{x_2} u_x^2 dx + \int_{x_1}^{x_2} g_x^2 dx + \eta \int_{x_1}^{x_2} u_{xx}^2 dx + \eta \int_{x_1}^{x_2} g_{xx}^2 dx \right) \\ & + C(x_2 - x_1) \int_{x_1}^{x_2} |u_x - g_x| dx, \end{aligned}$$

so that

$$\eta \int_{x_1}^{x_2} u_{xx}^2 dx \leq C(x_2 - x_1).$$

Hence

$$\begin{aligned} |u_x(x)| & \leq |g_{xx}(x_1)| + \int_{x_1}^{x_2} |u_{xx} - g_{xx}| dx \\ & \leq C + \int_{x_1}^{x_2} |u_{xx}| dx \\ & \leq C + (x_2 - x_1)^{1/2} \left( \int_{x_1}^{x_2} u_{xx}^2 dx \right)^{1/2} \\ & \leq C + \frac{C(x_2 - x_1)}{\sqrt{\eta}} \end{aligned}$$

and (4.8) follows provided  $(x_2 - x_1)/\sqrt{\eta} < 3$ .

It remains to consider the case (4.9). Let

$$(4.12) \quad s(x) = v(x) - \int_{x_1}^x \int_{x_1}^{\tau} q(\xi) d\xi d\tau$$

where  $v(x)$  satisfies

$$(4.13) \quad \begin{aligned} -v + \eta v_{xx} &= \eta q, & x_1 < x < x_2, \\ v(x_1) &= v(x_2) = 0. \end{aligned}$$

Thus  $-s_{xx} + \eta s_{xxxx} = q(x)$  so that the solution  $u$  has the form

$$(4.14) \quad u(x) = C_1 + C_2 x + C_3 \exp\left(-\frac{x-x_1}{\sqrt{\eta}}\right) + C_4 \exp\left(-\frac{x_2-x}{\sqrt{\eta}}\right) + s(x),$$

$x_1 < x < x_2.$

By the maximum principle

$$\|v\|_{L^\infty(x_1, x_2)} \leq \eta \|q\|_{L^\infty(x_1, x_2)}$$

and, therefore, from the differential equation in (4.13),

$$\|v_{xx}\|_{L^\infty(x_1, x_2)} \leq C \|q\|_{L^\infty(x_1, x_2)}.$$

Since  $v(x_1) = v(x_2) = 0$ , there is a point  $\xi \in (x_1, x_2)$  such that  $v_x(\xi) = 0$ , and consequently

$$(4.15) \quad \|v_x\|_{L^\infty(x_1, x_2)} \leq C(x_2 - x_1) \|q\|_{L^\infty(x_1, x_2)}.$$

Using the last two estimates on  $v$ , we deduce from (4.12) that

$$\begin{aligned} |s(x_i)| + |s_x(x_i)| &\leq C, \\ |s(x_2) - s(x_1)| + |s_x(x_2) - s_x(x_1)| &\leq C(x_2 - x_1). \end{aligned}$$

From (4.10) and the fact that  $g \in W^{2,\infty}$  it follows that  $u$  satisfies the same estimates, and thus the function  $w(x) = u(x) - s(x)$  also satisfies

$$(4.16) \quad \begin{aligned} |w(x_i)| + |w_x(x_i)| &\leq C, \\ |w(x_2) - w(x_1)| + |w_x(x_2) - w_x(x_1)| &\leq C(x_2 - x_1). \end{aligned}$$

We need to choose the constants  $C_i$  in (4.14) such that

$$\begin{aligned} C_1 + C_2 x_1 + C_3 + C_4 \exp\left(-\frac{x_2 - x_1}{\sqrt{\eta}}\right) &= w(x_1), \\ C_2 + \frac{C_3}{\sqrt{\eta}} + \frac{C_4}{\sqrt{\eta}} \exp\left(-\frac{x_2 - x_1}{\sqrt{\eta}}\right) &= w_x(x_1), \\ C_1 + C_2 x_2 + C_3 \exp\left(-\frac{x_2 - x_1}{\sqrt{\eta}}\right) + C_4 &= w(x_2), \\ C_2 - \frac{C_3}{\sqrt{\eta}} \exp\left(-\frac{x_2 - x_1}{\sqrt{\eta}}\right) + \frac{C_4}{\sqrt{\eta}} &= w_x(x_2). \end{aligned}$$

Eliminating  $C_1$  and  $C_2$ , we obtain

$$\begin{aligned} -\frac{C_3 + C_4}{\sqrt{\eta}} &= \frac{w_x(x_1) - w_x(x_2)}{1 - \gamma}, \\ \frac{C_3 - C_4}{\sqrt{\eta}} &= \frac{1}{\frac{1}{2}(1 + \gamma) - \frac{1}{\beta}(1 - \gamma)} \left\{ \frac{w(x_1) - w(x_2)}{x_1 - x_2} - \frac{1}{2}[w_x(x_1) + w_x(x_2)] \right\}, \end{aligned}$$

where  $\gamma = e^{-\beta}$ ,  $\beta = (x_2 - x_1)/\sqrt{\eta} \geq 3$ . Since the right-hand sides are bounded independently of  $\eta$  (by (4.16)),  $C_3/\sqrt{\eta}$  and  $C_4/\sqrt{\eta}$  are also bounded independently of  $\eta$ . We can now easily check that also  $C_1$  and  $C_2$  are bounded independently of  $\eta$ , and then the bound (4.8) for  $x_1 < x < x_2$  follows by (4.14) upon recalling (4.12) and the estimate (4.15).

The above proof is valid also if  $x_1 = 0$  or  $x_2 = L$ , and the proof of the lemma is thus complete.  $\square$

Having solved the variational inequality (4.2), (4.5) for  $u$ , given  $p \in G$ , we set  $h = u - \delta$ , and recall that

$$(4.17) \quad h(x) \geq g(x) - \delta(x) \geq l > 0, \quad L_1 \leq x \leq L_2.$$

**LEMMA 4.2.** *Given  $h$  as above, there exists a unique positive solution  $\hat{p}$  of (4.1), (4.4).*

*Proof.* By integration,  $\hat{p}$  must satisfy

$$(4.18) \quad \begin{aligned} \hat{p}h - \varepsilon(\alpha h^2 + \beta h^3 \hat{p}) \hat{p}_x &= \lambda, \quad L_1 \leq x \leq L_2, \\ \hat{p}(L_1) &= \frac{f(h(L_1))}{h(L_1)} \quad (\leq 1), \end{aligned}$$

where  $\lambda$  is a constant that clearly determines  $\hat{p}$  uniquely. Thus it remains to show that  $\lambda$  can be uniquely determined such that

$$(4.19) \quad \hat{p}(L_2) = \frac{f(h(L_1))}{h(L_1)}$$

If  $\lambda \leq 0$ , then  $\hat{p}_x > 0$  and so  $\hat{p}(L_2) > \hat{p}(L_1)$  and (4.19) cannot be satisfied. If  $\lambda$  is positive and large then  $\hat{p}_x$  is negative and large and so  $\hat{p}$  cannot remain positive throughout the interval  $[L_1, L_2]$ . Denoting the solution of (4.18) by  $\hat{p}(x, \lambda)$ , we let

$$\lambda_0 = \inf \{ \lambda; \lambda > 0, \hat{p}(x, \lambda) \geq 0 \text{ for } L_1 \leq x \leq L_2 \}.$$

Then  $\hat{p}(x, \lambda_0) \geq 0$  and  $\hat{p}(x, \lambda_0)$  must vanish somewhere in the interval  $\{L_1 < x \leq L_2\}$ . It cannot vanish at an interior point  $x_0$ , for otherwise also  $\hat{p}_x(x, \lambda_0) = 0$  so that (by the differential equation in (4.18))  $\lambda_0 = 0$ , a contradiction. Thus

$$\hat{p}(x, \lambda_0) > 0 \quad \text{if } L_1 \leq x < L_2, \quad \hat{p}(L_2, \lambda_0) = 0.$$

We claim:

$$(4.20) \quad \text{if } 0 < \lambda_1 < \lambda_2 \leq \lambda_0 \quad \text{then } \hat{p}(x, \lambda_1) > \hat{p}(x, \lambda_2) \quad \text{for } L_1 < x \leq L_2.$$

Indeed, since  $\hat{p}_x(L_1, \lambda_1) > \hat{p}_x(L_1, \lambda_2)$ , the asserted inequality is valid for all  $x$  near  $x = L_1$ . If the assertion is not true then there is a smallest number  $x_0$  such that

$$\hat{p}(x, \lambda_1) > \hat{p}(x, \lambda_2) \quad \text{if } L_1 \leq x < x_0, \quad \text{and } \hat{p}(x_0, \lambda_1) = \hat{p}(x_0, \lambda_2).$$

Hence  $\hat{p}_x(x_0, \lambda_1) \leq \hat{p}_x(x_0, \lambda_2)$  and, by (4.18),  $\lambda_1 \geq \lambda_2$ , a contradiction.

Setting

$$\hat{\lambda} = \inf \left\{ \lambda; \quad 0 < \lambda < \lambda_0, \quad \hat{p}(L_2, \lambda) < \frac{f(h(L_1))}{h(L_1)} \right\}$$

it follows from (4.20) that  $\hat{p}(x, \hat{\lambda})$  is the unique positive solution (4.1), (4.4).  $\square$

We define the mapping  $T$  on  $G$  by

$$(4.21) \quad (Tp)(x) = \hat{p}(x, \hat{\lambda})$$

and wish to prove that  $T$  has a fixed point, which is then the solution of the variational system (4.1)–(4.5).

Let  $C^*$  be any positive constant such that

$$(4.22) \quad C^* \geq \sup_{L_1 \leq x \leq L_2} (|h(x)| + |h_x(x)|) \quad \text{and} \quad \frac{l}{C^* + 1} < \frac{1}{L_2 - L_1},$$

where  $l$  is the positive constant in (4.17); by Lemma 4.1,  $C^*$  can be chosen independently of  $p \in G$  and  $\eta$ .

**LEMMA 4.3.** *If  $\varepsilon$  is positive and small enough, then  $T$  maps  $G$  into itself, and*

$$(4.23) \quad |\hat{\lambda} - f(h(L_1))| \leq C\varepsilon,$$

where  $C$  is a constant independent of  $\varepsilon$  and  $\eta$ .

*Proof.* We shall first establish the bound

$$(4.24) \quad \hat{p}_x(L_1, \hat{\lambda}) \geq -\frac{C^* + 1}{l}.$$

Introduce the differential operator

$$(4.25) \quad \mathcal{L}(q) = \frac{\partial}{\partial x}(qh) - \varepsilon \frac{\partial}{\partial x}[(\alpha h^2 + \beta h^3 q) \frac{\partial q}{\partial x}]$$

and the function

$$v(x) = \frac{f(h(L_1))}{h(L_1)} - \frac{C^* + 1}{l}(x - L_1) - \sigma, \quad L_1 \leq x < \hat{x}$$

for any small  $\sigma > 0$ , where  $\hat{x}$  is such that  $v(\hat{x}) = 0$ . By (4.22),  $L_1 < \hat{x} < L_2$ . By direct computation,

$$\begin{aligned}\mathcal{L}(v) &= -\frac{C^*+1}{l}h(x) + v(x)h_x(x) + \frac{C^*+1}{l}\varepsilon\frac{\partial}{\partial x}(\alpha h^2 + \beta h^3 v) \\ &\leq -1 + \frac{C^*+1}{l}\varepsilon\frac{\partial}{\partial x}(\alpha h^2 + \beta h^3 v) \\ &< 0, \quad L_1 \leq x \leq \hat{x}\end{aligned}$$

if  $\varepsilon$  is small enough depending only on  $C^*$ ,  $l$ . We claim that for any  $0 \leq \lambda \leq \hat{\lambda}$ ,

$$(4.26) \quad \hat{p}(x, \lambda) > v(x) \quad \text{if } L_1 < x \leq \hat{x}.$$

Indeed, this is clearly true for  $\lambda = 0$ . If (4.25) does not hold for some  $\lambda^* \in (0, \hat{\lambda}]$ , we take the smallest such  $\lambda^*$  and then

$$\hat{p}(x^*, \lambda^*) = v(x^*)$$

must hold for some  $x^* \in [L_1, \hat{x}]$ , whereas

$$\hat{p}(x, \lambda^*) \geq v(x) \quad \text{elsewhere .}$$

Since  $\hat{p}(x, \lambda^*) > v(x)$  at both  $x = L_1$  and  $x = \hat{x}$ ,  $x^*$  lies in the open interval  $(L_1, \hat{x})$ , so that

$$\hat{p}_x(x^*, \lambda^*) = v_x(x^*), \quad \hat{p}_{xx}(x^*, \lambda^*) \geq v_{xx}(x^*).$$

Consequently

$$(\mathcal{L}\hat{p})(x^*, \lambda^*) \leq (\mathcal{L}v)(x^*) < 0,$$

a contradiction.

Taking  $\sigma \downarrow 0$  in (4.26) we deduce that

$$\hat{p}(x, \hat{\lambda}) \geq \frac{f(h(L_1))}{h(L_1)} - \frac{C^*+1}{l}(x - L_1)$$

and, since  $\hat{p}(L_1, \hat{\lambda}) = f(h(L_1))/h(L_1)$ ,

$$(4.27) \quad \hat{p}_x(L_1, \hat{\lambda}) \geq -\frac{C^*+1}{l}.$$

From (4.18) we then obtain

$$(4.28) \quad \hat{\lambda} - f(h(L_1)) \leq -\varepsilon h^2(L_1)(\alpha + \beta h(L_1))\frac{C^*+1}{l} \leq C\varepsilon.$$

We can now estimate  $\hat{p}(x, \hat{\lambda})$  from above. If the maximum is attained at the boundary point, then

$$\max_{L_1 \leq x \leq L_2} \hat{p}(x, \hat{\lambda}) = \frac{f(h(L_1))}{h(L_1)} \leq 1$$

whereas if it occurs at an interior point  $\tilde{x}$ , then  $\hat{p}_x(\tilde{x}, \hat{\lambda}) = 0$  and, by (4.18),  $\hat{p}(\tilde{x}, \hat{\lambda})h(\tilde{x}) = \hat{\lambda}$ . Using the upper bound on  $\hat{\lambda}$  obtained in (4.28), we conclude that

$$\max_{L_1 \leq x \leq L_2} \hat{p}(x, \hat{\lambda}) \leq \frac{\hat{\lambda}}{l} \leq \frac{1 + L_1 \delta'(L_1) - \delta(L_1)}{l} + \frac{C\varepsilon}{l}.$$

Thus if  $\varepsilon$  is chosen small enough so that  $C\varepsilon < l$ , then  $T$  maps  $G$  into itself.

To complete the proof of the lemma it remains to prove that

$$(4.29) \quad \hat{\lambda} - f(h(L_1)) \geq -C\varepsilon.$$

We shall compare  $\hat{p}(x, \hat{\lambda})$  with the function

$$w(x) = \frac{f(h(L_1))}{h(L_1)} + \frac{C^* + 1}{l}(x - L_1) + \sigma, \quad L_1 \leq x \leq L_2$$

where  $\sigma$  is any small positive constant. We have  $\mathcal{L}(w) > 0$  in  $L_1 < x < L_2$  and  $w > 1$  at  $x = L_1, x = L_2$ . If  $\lambda$  is large, then  $w(x) > \hat{p}(x, \lambda)$  in the largest interval  $L_1 \leq x < x_\lambda$  where  $\hat{p}(x, \lambda)$  is positive. By decreasing  $\lambda$  and arguing as before we deduce that

$$\hat{p}_x(L_1, \hat{\lambda}) \leq \frac{C^* + 1}{l}$$

which yields (by (4.18)) the bound (4.29).  $\square$

For each  $\varepsilon > 0$ , the  $\hat{p}(x, \hat{\lambda})$  form a bounded set in  $C^{2+\alpha}[L_1, L_2]$  and thus  $T$  maps  $G$  (endowed with the  $C[L_1, L_2]$  norm) into a compact subset of  $G$ . It is also easily seen that  $T$  is a continuous map. Invoking the Schauder fixed point theorem we conclude that  $T$  has a fixed point. Thus we have proved:

**THEOREM 4.4.** *If  $\varepsilon$  is sufficiently small and, say,  $0 < \eta < 1$ , then there exists a classical solution of (4.1)–(4.5), such that*

$$(4.30) \quad p(x) > 0, \quad h(x) = u(x) - \delta(x) \geq l > 0 \quad \text{if } L_1 \leq x \leq L_2,$$

$$(4.31) \quad |u_x(x)| \leq C \quad \text{if } 0 \leq x \leq L,$$

and

$$(4.32) \quad |\lambda - f(h(L_1))| \leq C\varepsilon$$

where  $\lambda$  is defined as in (4.18) with  $\hat{p} = p$  and  $C$  is a constant independent of  $\varepsilon$  and  $\eta$ .

*Remark 4.1.* From the proof of Lemma 4.3, it is clear that the truncation on the boundary condition for  $p$  in (4.4) is necessary. Without the truncation, (4.28) becomes

$$\hat{\lambda} \leq h(L_1) + C\varepsilon;$$

and then the maximum norm of  $p$  can only be estimated in terms of  $Ch(L_1)$ ; this does not allow us to conclude that  $T$  maps  $G$  into itself, even if  $\varepsilon$  is small.

**5. Existence for small  $\varepsilon$  and  $\eta$ .** In this section we prove Theorem 1.1 by establishing:

**LEMMA 5.1.** *There exist  $\varepsilon^* > 0$ ,  $\eta^* > 0$  such that if*

$$(5.1) \quad 0 < \varepsilon < \varepsilon^*, \quad 0 < \eta < \eta^*,$$

then the solution  $(p, h, u)$  of (4.1)–(4.5) established in §4 is a solution asserted in Theorem 1.1.

*Proof.* It suffices to show that

$$(5.2) \quad u(x) > g(x) \quad \text{if } 0 < x < L$$

and

$$(5.3) \quad h(L_1) \leq 1 + L_1 \delta'(L_1) - \delta(L_1)$$

for  $\varepsilon$  and  $\eta$  positive and sufficiently small.

Suppose either (5.2) or (5.3) is not satisfied for a sequence  $(\varepsilon_j, \eta_j) \rightarrow (0, 0)$ ; we shall derive a contradiction. We denote the  $p, h, u$  and  $\lambda$  corresponding to  $(\varepsilon_j, \eta_j)$  by  $p_j, h_j, u_j, \lambda_j$ , respectively. We may assume that

$$\begin{aligned} \lambda_j &\rightarrow \lambda, \\ p_j &\rightarrow p \quad \text{weakly } * \text{ in } L^\infty(L_1, L_2), \\ u_j &\rightarrow u \quad \text{uniformly in } [0, L], \\ h_j &\rightarrow h \quad \text{uniformly in } [L_1, L_2], \end{aligned}$$

and

$$(5.4) \quad \left| \frac{\partial}{\partial x} u_j \right| \leq C \quad \text{in } [0, L].$$

For any  $\zeta \in C_c^\infty(L_1, L_2)$  we have, by integration by parts,

$$\int_{L_1}^{L_2} (p_j h_j - \lambda_j) \zeta dx = -\varepsilon \int_{L_1}^{L_2} \left[ p_j \frac{\partial}{\partial x} (\alpha h_j^2 \zeta) + \frac{1}{2} p_j^2 \frac{\partial}{\partial x} (\beta h_j^3 \zeta) \right] dx$$

Taking  $j \rightarrow \infty$  and using (4.32), we obtain

$$\int_{L_1}^{L_2} \left[ p h - \frac{f(h(L_1))}{h(L_1)} \right] \zeta dx = 0.$$

Hence

$$p(x)h(x) = \frac{f(h(L_1))}{h(L_1)} \quad \text{for } L_1 \leq x \leq L_2.$$

Next, multiplying the differential inequality for  $u_j$  by  $\zeta \in C_c^\infty(0, L)$ ,  $\zeta \geq 0$  and integrating by parts, we find that  $u$  is a solution of the variational inequality with  $\eta = 0$  and, by Lemma 3.1,

$$(5.5) \quad \begin{aligned} u(x) - g(x) &\geq m > 0, \quad L_1 \leq x \leq L_2, \\ h(L_1) &\leq L_1 \delta'(L_1) - \delta(L_1). \end{aligned}$$

(Actually  $u$  is initially only known to be in  $C^{0,1}$  (by (5.4)); but by standard regularity for variational inequalities (e.g. [4; Chap 1])  $u$  is in  $W^{2,p}$  (for any  $p > 1$ ) and satisfies (3.4) a.e.)

The inequality (5.5) implies that (5.2) and (5.3) hold for  $u_j, h_j$  if  $j$  is large enough, which is a contradiction.  $\square$

**6. Boundary layer behavior.** Denote the solution asserted in Theorem 1.1 by  $(p^{\varepsilon,\eta}, h^{\varepsilon,\eta}, u^{\varepsilon,\eta})$  and the corresponding  $\lambda$  by  $\lambda^{\varepsilon,\eta}$ . We take a sequence  $(\varepsilon_j, \eta_j)$  such that

$$\begin{aligned} \lambda_j &= \lambda^{\varepsilon_j, \eta_j} \rightarrow \lambda^0, \\ p_j &= p^{\varepsilon_j, \eta_j} \rightarrow p^0 \quad \text{weakly } * \text{ in } L^\infty(L_1, L_2), \\ u_j &= u^{\varepsilon_j, \eta_j} \rightarrow u^0 \quad \text{uniformly in } [0, L]. \end{aligned}$$

Then also

$$h_j = h^{\varepsilon_j, \eta_j} \rightarrow h^0 \quad \text{uniformly in } [L_1, L_2].$$

By Lemma 4.1,

$$(6.1) \quad \left| \frac{\partial}{\partial x} u_j \right| \leq C \quad \text{in } [0, L].$$

Since the boundary condition  $p_j(L_2) = 1$  is lost in the limit, we want to study the behavior of  $p_j$  near  $x = L_2$ .

Making a change of variables

$$y = \frac{x - L_2}{\varepsilon}, \quad \tilde{p}_j(y) = p_j(x),$$

it is clear that

$$(6.2) \quad \begin{aligned} \tilde{p}_j(y) h_j(L_2 + \varepsilon y) - [\alpha(h_j(L_2 + \varepsilon y))^2 + \beta(h_j(L_2 + \varepsilon y))^3 \tilde{p}_j(y)] \frac{\partial \tilde{p}_j}{\partial y} &= \lambda_j \\ \text{for } -\frac{L_2 - L_1}{\varepsilon} < y < 0, \end{aligned}$$

$$(6.3) \quad \tilde{p}_j(0) = 1.$$

From the standard ODE theory it follows that  $\partial\tilde{p}_j/\partial y$  is uniformly bounded in any bounded interval  $[-N, 0]$ ,  $\tilde{p}_j \rightarrow \tilde{p}$  uniformly in any such interval, and  $\tilde{p}$  satisfies:

$$(6.4) \quad \begin{aligned} \tilde{p}(y)h^0(L_2) - [\alpha(h^0(L_2))^2 + \beta(h^0(L_2))^3\tilde{p}(y)]\frac{\partial\tilde{p}}{\partial y} &= h^0(L_1) \\ \text{for } -\frac{L_2 - L_1}{\varepsilon} < y < 0, \\ \tilde{p}(0) &= 1. \end{aligned}$$

This system has a unique solution:

If  $h^0(L_1) = h^0(L_2)$  then  $\tilde{p}(y) \equiv 1$ .

If  $h^0(L_1) \neq h^0(L_2)$  then  $\tilde{p}(y)$  is given by

$$(6.5) \quad y - \beta h_2^2 \tilde{p} - (\beta h_1^2 + \alpha h_2) \log |h_1 - h_2 \tilde{p}| = C_0$$

where

$$(6.6) \quad h_1 = h^0(L_1), \quad h_2 = h^0(L_2),$$

and  $C_0$  is the constant which is evaluated by taking  $y = 0$ ,  $\tilde{p} = 1$  in (6.5).

If we take other sequences  $(\varepsilon_j, \eta_j)$ , we may possibly obtain other limits  $p^0, h^0, u^0$ , but the limit  $\tilde{p}(y)$  depends only on the constants in (6.6). (Notice that if we have a symmetric head as in Theorem 2.8, then the limit is unique, and we have the convergence as  $(\varepsilon, \eta) \rightarrow (0, 0)$ , not just on subsequences).

The above result shows that

$$(6.7) \quad p_j(x) \sim \tilde{p}\left(\frac{x - L_2}{\varepsilon}\right) \quad \text{in } [L_2 - C\varepsilon, L_2]$$

for any constant  $C$ , and this describes the boundary layer near  $x = L_2$  for  $(\varepsilon, \eta)$  small.

The boundary layer phenomenon for general differential equations was widely studied in the literature; see for example [10]. From [10] it follows that near  $x = L_1$  the functions  $p_j(x)$  are uniformly converging to  $p^0(x)$ , so that  $p^0(L_1) = 1$ .

As for the  $u_j(x)$ , from (6.1) we deduce that the  $u_j(x)$  are uniformly continuous in  $0 \leq x \leq L$  and  $u^0(L_1) = u^0(L_2) = 0$ . However the boundary conditions  $\partial u_j/\partial x = 0$  at  $x = 0$  and  $x = L$  disappear in the limit. The derivatives  $\partial u_j/\partial x$  must therefore exhibit a boundary layer behavior at  $x = 0$  and  $x = L$ . However what is more important for the head-tape interaction is the behavior of the  $u_j(x)$ , or the spacing  $h_j(x)$ , at  $x = L_2$ . Although there is no boundary layer for the  $u_j(x)$  at  $x = L_2$ , the fact that  $K$  in (1.2) is large tends to magnify the oscillatory behavior of  $p$  near  $x = L_2$  and to create a *boundary layer-like* behavior for the  $h_j$ .

**Conclusion.** Both experiments and numerical simulations have established boundary layer behavior for the head-tape problem at  $x = L_2$  [1][5] for a range of physical parameters  $\varepsilon, \eta$ ; these parameters are small, e.g.,  $10^{-2} \sim 10^{-3}$ . In the present paper we give rigorous mathematical proofs of existence of solutions and of the same type of boundary layer behavior provided the parameters  $\varepsilon, \eta$  are sufficiently small.

**7. The two-dimensional case.** In this section we consider the 2-d model of head-tape interaction. The profile of the head is a function  $\delta(x, y)$ , and the steady state system, after nondimensionalizing, takes the form

$$(7.1) \quad \frac{\partial(ph)}{\partial x} - \varepsilon \nabla(\alpha h^2 \nabla p + \beta h^3 p \nabla p) = 0 \quad \text{in } S_1,$$

$$(7.2) \quad -\frac{\partial^2 u}{\partial x^2} + \eta \Delta^2 u = K(p-1)\chi_{S_1} \quad \text{in } S_2,$$

$$(7.3) \quad u(x, y) = h(x, y) + \delta(x, y) \quad \text{in } S_1$$

where

$$S_1 = \{(x, y); L_1 < x < L_2, 0 < y < b\},$$

$$S_2 = \{(x, y); 0 < x < L, 0 < y < b\}, \quad b = O(1),$$

with the boundary conditions

$$(7.4) \quad p = 1 \quad \text{on } \partial S_1,$$

$$(7.5) \quad u = u_x = 0 \quad \text{on } x = 0 \text{ and } x = L,$$

$$(7.6) \quad u_{yy} + \sigma u_{xx} = 0, \quad u_{yyy} + (2 - \sigma)u_{xxy} = 0 \quad \text{on } y = 0 \text{ and } y = b,$$

where  $\sigma$  is the Poisson ratio,  $0 < \sigma < 1/2$ .

The boundary conditions for  $u$  are those of a plate clamped at  $x = 0$  and  $x = L$  and free at  $y = 0$  and  $y = b$ ; see [9].

Given  $p$ , the function  $u$  is determined as a minimizer of the energy functional (see [7; Chap. 11])

$$\int_{S_2} \left\{ \eta(\Delta u)^2 + 2\eta(1 - \sigma) \left[ \left( \frac{\partial^2 u}{\partial x \partial y} \right)^2 - \frac{\partial^2 u}{\partial x^2} \frac{\partial^2 u}{\partial y^2} \right] + \left( \frac{\partial u}{\partial x} \right)^2 - 2Ku(p-1)\chi_{S_1} \right\} dx dy$$

subject to the boundary conditions (7.5); the differential equation (7.2) and the boundary conditions (7.6) are necessary optimality conditions.

In the limit case  $\varepsilon = \eta = 0$  the system reduces to (cf. (2.4))

$$-u_{xx} = K \left( \frac{u(L_1, y) - \delta(L_1, y)}{u(x, y) - \delta(x, y)} - 1 \right) \chi_{S_1} \quad \text{in } S_2$$

and, with the boundary conditions

$$u(0, y) = u(L, y) = 0,$$

it can be solved by the shooting method, for each value  $y$ .

For  $\varepsilon > 0$ ,  $\eta > 0$  we can set up a variational system (analogous to (4.1)–(4.5)). We still have the bound

$$\int_{S_2} u_x^2 \leq C$$

but we do not know whether  $\int u_y^2 \leq C$ , much less whether  $|\nabla u| \leq C$ , and thus we are unable to carry out rigorously the analysis of §5. On the other hand one can proceed formally to derive boundary layer behaviors for  $p$  near  $x = L_2$  and near  $y = 0$  and  $y = b$ , assuming that  $u$  remains continuous there; the boundary layers near  $y = 0$  and  $y = b$  are of the form given in [10; p. 302]. For numerical results we refer to [8].

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