

ON VARIOUS FORMS OF CONVEX RELAXATION AND THEIR LINK WITH SUBDIFFERENTIAL CALCULUS

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In honor of Jean-Baptiste Hiriart-Urruty

TWO KNOWN FORMULAS FOR THE CLOSED CONVEX RELAXATION

TH1 (Bergist / TBHU) (1996) $h: \mathbb{R}^n \rightarrow \mathbb{R} \cup \{+\infty\}$

h lsc, bounded below, $\text{int dom } h^* \neq \emptyset$

$$\text{argmin } h^{**} = \text{co}(\text{argmin } h) + \text{co}(\text{argmin } h_\infty)$$

$$h_\infty(x) = \liminf_{t \downarrow 0} t h\left(\frac{x}{t}\right)$$

$$(t, u) \rightarrow (0_+, x)$$

TH2 (M.A. López / M.V) (2008) X locally convex space, $h: X \rightarrow \mathbb{R} \cup \{+\infty\}$

h bounded below

$$\text{argmin } h^{**} = \bigcap_{y \in \text{dom } h^*} \overline{\text{co}}(\varepsilon\text{-argmin } h + y_0^-)$$

$$y_0^- = \{x \in X : \langle x, y_0 \rangle \leq 0\}$$

$$\text{argmin } h^{**} = \bigcap_{\varepsilon > 0} (\varepsilon\text{-argmin } h)^T \text{dom } h^*$$

B-RELAXATION

Given $B \subset X^*$ and $h \in \overline{\mathbb{R}}^X$, define h^B as the sup of all the continuous affine minorants $\langle \cdot, y \rangle - \gamma$ of h whose slope y belongs to B , and consider the problem

(P) minimize $h^B(x)$ for $x \in X$
which is called the B -relaxation of

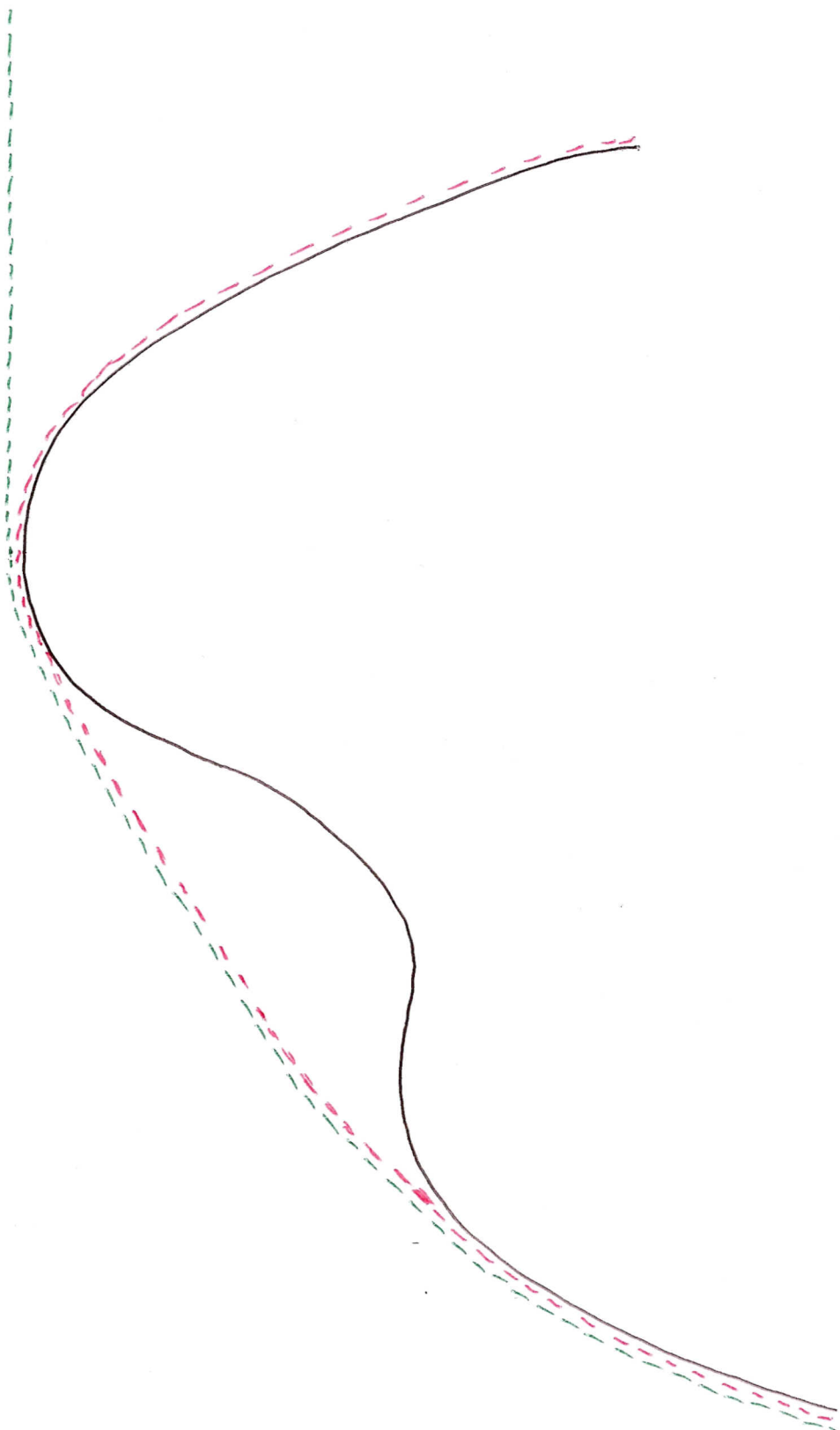
(P) minimize $h(x)$ for $x \in X$

$$\text{FACT 1} \quad h^B = (h^* + L_B)^*$$

$$\text{FACT 2} \quad \text{If } 0 \in B \text{ then } \inf_X h^B = \inf_X h \text{ and } \argmin h^B \supset \argmin h$$

Question: Is there a formula for $\argmin h^B$ in terms of the ε -approximate minima of h ?

Observation: If $B \supset \text{dom } h^*$ we know that $\argmin h^B = \bigcap_{\varepsilon > 0} \{\varepsilon\text{-approx } h\}^T \text{dom } h^*$



h $\bar{co} h$ nondecreasing closed convex hull of h

B-REGULARIZATION: AN EXAMPLE

Let $\phi \neq S \subset X$ be a (nonnecessarily convex) cone

Say that $h: X \rightarrow \bar{\mathbb{R}}$ is S -nondecreasing if $u-x \in S \Rightarrow h(u) \geq h(x)$

Example $\langle \cdot, y \rangle$ S -nondecreasing $\Leftrightarrow y \in S^\circ$ (nonnegative polar cone of S)

Assume h is proper and $\text{dom } h^* \cap S^\circ \neq \emptyset$

Taking $B = S^\circ$ we get for h^B the greatest lsc convex S -nondecreasing function minorizing h

FACTS .) h^B is (also) the greatest lsc convex $(\bar{\text{co}} S)$ -nondecreasing function minorizing h

.) h S -nondecreasing $\Rightarrow h^{**}$ $(\bar{\text{co}} S)$ -nondecreasing

.) For any $h \in \Gamma(X)$,

h S -nondecreasing $\Leftrightarrow h$ $(\bar{\text{co}} S)$ -nondecreasing

FROM B-RELAXATION TO SUBDIFFERENTIAL CALCULUS

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$$B \subset X^* \quad h: X \rightarrow \overline{\mathbb{R}} \text{ proper, bounded below, } h^B = (h^* + l_B)^* \\ x \in \operatorname{argmin} h^B \Leftrightarrow 0 \in \partial(h^* + l_B)^*(x) \Leftrightarrow x \in \partial(h^* + l_B)^{**}(0)$$

$$\text{FACT} \quad 0 \in B \Rightarrow (h^* + l_B)^{**}(0) = (h^* + l_B)(0) = h^*(0)$$

$$\text{CONSEQUENCE} \quad \operatorname{argmin} h^B = \partial(h^* + l_B)(0) \text{ whenever } 0 \in B$$

We are now concerned with the problem of finding

$$\partial(f + l_D)(x)$$

$$\text{where } f = g^* \in \Gamma(X), D \subset X, x \in D \cap \operatorname{dom} f$$

Rq1 The set D is not necessarily convex

Rq2 Our aim is to express $\partial(f + l_D)(x)$ in terms of any function

$$g: X^* \rightarrow \overline{\mathbb{R}}, \text{ not necessarily convex, such that } g^* = f$$

TOOL 1 MULTIMAPS $(\partial_\varepsilon g)^{-1}$

Given $g: X^* \rightarrow \overline{\mathbb{R}}$, $\varepsilon > 0$, define $M_\varepsilon g: X \rightrightarrows X^*$ as $(\partial_\varepsilon g)^{-1} : \text{for any } (x, y) \in X \times X^*$

$$x \in \partial_\varepsilon g(y) \Leftrightarrow y \in M_\varepsilon g(x) \Leftrightarrow y \in \varepsilon\text{-argmin}(g - \langle x, \cdot \rangle)$$

For $\varepsilon = 0$ we set $Mg(x) := M_0 g(x) = \text{argmin}(g - \langle x, \cdot \rangle)$ $\partial_0 g = \partial g$

INTEREST: CALCULUS RULES ON $M_\varepsilon g$ IN THE ABSENCE OF CONVEXITY

Two very simple examples

1) Let $g(y) = \min(g_1(y), g_2(y))$ and $x \in X$ s.t. $g_1^*(x) = g_2^*(x) \in \mathbb{R}$. Then

$$M_\varepsilon g(x) = M_\varepsilon g_1(x) \cup M_\varepsilon g_2(x)$$

2) Assume the infimal convolution $g_1 \square g_2$ is exact. Then

$$M(g_1 \square g_2)(x) = M g_1(x) + M g_2(x) \quad \forall x \in X$$

TOOL 2: OPERATION τ

For any $E \subset X^*$, $F \subset X$, define $ET F = \bigcap_{u \in F} \overline{\infty}(E + u^-)$, $\phi^T \phi = X^*$,
where $u^- = \{y \in X^* : \langle u, y \rangle \leq 0\}$.

FACTS

- $ET F$ is the intersection of all the half-spaces $[\langle u, \cdot \rangle \leq z]$ containing E and whose slope u belongs to F
- $ET F = \{y \in X^* : \langle u, y \rangle \leq l_E^*(u), \forall u \in F\}$
- For each $F \subset X$, the map $X^* \ni E \mapsto ET F$ is a closure operator: extensive, isotone, idempotent
- For each $E \subset X^*$, the map $X \ni F \mapsto ET F$ is a polarity:

$$ET(\bigcup_i F_i) = \bigcap_i ET F_i$$

Dual version

$$A \subset X, B \subset X^*$$

$$AT B = \bigcap_{y \in B} \overline{\infty}(A + y^-)$$

SOME FORMULAS FOR ETF

Notation $M^\circ = [L_M^* \leq 1]$ (resp. $M^- = [L_M^* \leq 0]$) polar set (resp. polar cone)

of $M \subset X$ or $M \subset X^*$, $\ell(M) = \dim L_M^*$ barrier cone of M , $\text{cone } M = \mathbb{R}_+ M$

$$\text{PR1} \quad \overline{\text{co}}(E + F^-) \subset \bigcap_{\varepsilon > 0} \overline{\text{co}}(E + \varepsilon F^\circ) \subset \text{ETF} \subset (E^\circ \cap \text{cone } F)^\circ \quad \forall E \subset X^*, \forall F \subset E$$

$$\text{PR2} \quad \text{cone } F \text{ convex, } \ell(E) \cap \text{ri } \text{cone } F \neq \emptyset \Rightarrow \text{ETF} = \overline{\text{co}}(E + F^-)$$

$$\ell(E) \cap \text{cone } F \text{ convex, ri}(\ell(E) \cap \text{cone } F) \neq \emptyset \Rightarrow \text{ETF} = \overline{\text{co}}(E + (\ell(E) \cap F^-))$$

$$\text{cone } F \text{ convex, } F \subset \ell(E), \dim X < \infty \Rightarrow \text{ETF} = \overline{\text{co}}(E + F^-)$$

$$\text{PR3} \quad \text{cone } F \text{ convex closed} \Rightarrow \text{ETF} = \overline{\text{co}}(E + F^-)$$

$$\ell(E) \cap \text{cone } F \text{ convex closed} \Rightarrow \text{ETF} = \overline{\text{co}}(E + (\ell(E) \cap F^-))$$

PR4 cone F convex and, either, L_E^* finite and continuous at a point of cone F , or,

$$\ell(E) \cap \text{int}(\text{cone } F) \neq \emptyset, \Rightarrow \text{ETF} = (\overline{\text{co}} E) + F^-$$

$$\text{PR5} \quad 0 \in F \text{ closed convex} \Rightarrow \bigcap_{\varepsilon > 0} \overline{\text{co}}(E + \varepsilon F^\circ) = \text{ETF}$$

T AND THE POLAR OF AN INTERSECTION

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PR 6 (a) For any sets $C, D \subset X$ such that $0 \in C = \overline{\text{co}} C$ and D is a (non necessarily convex) cone, one has

$$(C \cap D)^{\circ} = C^{\circ} T D$$

(b) For any closed convex cone C , any D , one has

$$(C \cap D)^{-} = C^{-} T D$$

COR 1 (a) Assume $0 \in C = \overline{\text{co}} C$, D is a convex cone, and either cone $C \cap \text{ri} D \neq \emptyset$ or D is closed. Then

$$(C \cap D)^{\circ} = \mathcal{L}(C^{\circ} + D^{\circ})$$

(b) If C is a closed convex cone, cone D is convex, and either $C \cap \text{ri} \text{cone } D \neq \emptyset$ or cone D is closed, then

$$(C \cap D)^{-} = \mathcal{L}(C^{-} + D^{-})$$

THE USE OF T IN SUBDIFFERENTIAL CALCULUS

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FACTS

$$\left\{ \begin{array}{l} \forall A \subset X, \forall B \subset X^*, B \neq \emptyset: \quad A^T B = \partial(l_A^* + l_{\text{cone } B})(0) \\ \text{If } 0 \in B \text{ then} \quad A^T B = \partial(l_A^* + l_B)(0) \end{array} \right.$$

PR7 Let $q \in T(X)$ be sublinear, and $0 \in D \subset X$. Then

$$\partial(q + l_D)(0) = \partial q(0) + T D$$

If, moreover, cone D is convex and, either, cone D is closed or $\text{dom } q \cap \text{ri cone } D \neq \emptyset$, then

$$\partial(q + l_D)(0) = \partial(\partial q(0) + N(D, 0))$$

where $N(D, 0) = D^-$ is the normal cone of D at 0

T AND SUBDIFFERENTIAL CALCULUS CONTINUED ...

TH1 For any $f \in \mathbb{R}^X$, $D \subset X$, $x \in D \cap f^{-1}(\mathbb{R})$, $\delta > 0$, one has

$$\partial_x f|_x)^T (D-x) \subset \bigcap_{\varepsilon > \delta} (\partial_\varepsilon f|_x)^T (D-x) \subset \bigcap_{\varepsilon > \delta} (\partial_\varepsilon f|_x)^T (D \cap \text{dom } f - x) \subset \partial_x (f + L_D)|_x$$

If $f \in T(X)$ and $D-x$ is a (non necessarily convex) cone, then

$$\partial_\varepsilon (f + L_D)|_x = \partial_\varepsilon f|_x)^T (D-x) \quad \forall \varepsilon > 0$$

If f , moreover, $D-x$ is a convex cone and, either, $\text{dom } f \cap \text{int } D \neq \emptyset$ or D is closed, then

$$\partial_\varepsilon (f + L_D)|_x = \partial_\varepsilon (f|_x) + N(D, x) \quad \forall \varepsilon > 0$$

$$\partial (f + L_D)|_x = \bigcap_{\varepsilon > 0} \partial_\varepsilon (f|_x) + N(D, x)$$

MORE ON T AND EXACT SUBDIFFERENTIAL CALCULUS

Definition A set $D \subset X$ is said to be **pseudo-starshaped at $x \in D$** if (equivalently)

$$\forall u \in D, \forall \lambda \in (0, 1), \exists \mu \in (0, 1) \text{ s.t. } x + \mu(u - x) \in D$$

$$\forall u \in D, \exists (\lambda_n)_{n \in \mathbb{N}} \subset (0, +\infty) \text{ s.t. } \lim_{n \rightarrow \infty} \lambda_n = 0 \text{ and } x + \lambda_n(u - x) \in D, \forall n \in \mathbb{N}$$

$D - x$ is included in the radial tangent cone of D at x

Notation Given $\varepsilon \geq 0$, $g: X^* \rightarrow \overline{\mathbb{R}}$, and $x \in X$ s.t. $g^*(x) \in \mathbb{R}$ we set

$$M_\varepsilon g(x) = \varepsilon - \arg\min(g - \langle x, \cdot \rangle) = (\partial_\varepsilon g)^{-1}(x)$$

TH2 Let $D \subset X$, $g: X^* \rightarrow \overline{\mathbb{R}}$, $f = g^*$, and $x \in D$ s.t. $f(x) \in \mathbb{R}$.

Assume that $D \cap \text{dom } f$ is pseudo-starshaped at x . Then

$$\partial(f + I_D)(x) = \bigcap_{\varepsilon > 0} (M_\varepsilon g(x))^T (D \cap \text{dom } f - x)$$

$$= \bigcap_{\varepsilon > 0} (\partial_\varepsilon f(x))^T (D - x)$$

COR 2 Let $f \in \Gamma(X)$, $D \subset X$, $x \in D \cap \text{dom } f$.

Assume $D \cap \text{dom } f$ is pseudo-starshaped at x ,
cone $(D - x)$ is convex,
and either cone $(D - x)$ is closed or cone $(\text{dom } f - x) \cap \text{ri cone}(D - x) \neq \emptyset$.

We then have

$$\partial(f + L_D)(x) = \bigcap_{\varepsilon > 0} \partial(\partial_\varepsilon f(x) + N(D, x))$$

COR 3

Assume $f \in \Gamma(X)$, D convex, $\text{dom } f \cap \text{ri } D \neq \emptyset$.

Then,

$$\partial(f + L_D)(x) = \bigcap_{\varepsilon > 0} \partial(\partial_\varepsilon f(x) + N(D, x)) \quad \forall x \in X$$

PR 8 Let $f: X \rightarrow \mathbb{R}$ be convex and such that $f'(x, \cdot)$ is lsc and proper at a given point $x \in f^{-1}(\mathbb{R})$. For any set $D \subseteq X$, $x \in D$, one has

$$\partial(f + l_D)(x) = \partial f(x) \cap N(D - x)$$

If, moreover, $\text{cone}(D - x)$ is convex and, either, $\text{cone}(D - x)$ is closed or $\text{cone}(\text{dom } f - x) \cap \text{cone}(D - x) \neq \emptyset$, then

$$\partial(f + l_D)(x) = \partial f(x) + N(D, x)$$

Remarks. $f'(x, \cdot)$ is lsc and proper whenever

f is finite and continuous at x

f is polyhedral and $x \in \text{dom } f$

X is Banach, $f \in \Gamma(X)$, and $\text{cone}(\text{dom } f - x)$ is a closed linear space

If $f = l_A$ with $x \in A$ convex, then $f'(x, \cdot)$ lsc means that $\text{cone}(A - x)$ is closed

USING $M_\varepsilon q = (\partial_\varepsilon q)^{-1}$ WITH q NONCONVEX

I arbitrary set, $(q_i)_{i \in I} \subset \mathbb{R}^{X^*}$, $q = \inf_{i \in I} q_i$, $f = q^* = \sup_{i \in I} q_i^*$

Assume $f(x) \in \mathbb{R}$, $D \subset X$, and $D \cap \text{dom } f$ pseudo-starshaped at x . By TH2:

$$\partial(f + \iota_D)(x) = \bigcap_{\varepsilon > 0} (M_\varepsilon q(x)^T (D \cap \text{dom } f - x))$$

Now

$$M_{\varepsilon/2} q(x) \subset \bigcup_{i \in I_\varepsilon(x)} M_\varepsilon q_i(x) \subset M_{2\varepsilon} q(x)$$

where

$$I_\varepsilon(x) = \{i \in I : q_i^*(x) \geq q^*(x) - \varepsilon\}$$

and we can state

TH3

$$\partial(f + \iota_D)(x) = \bigcap_{\varepsilon > 0} \left(\bigcup_{i \in I_\varepsilon(x)} M_\varepsilon q_i(x)^T (D \cap \text{dom } f - x) \right)$$

COR 4

Let $(f_i)_{i \in I} \subset \Gamma(X)$, $f = \sup_{i \in I} f_i$, $D \subset X$.

Assume that $D \cap \text{dom } f$ is pseudo-starshaped at a given point x . We then have

$$\partial(f + l_D)(x) = \bigcap_{\varepsilon > 0} \left(\bigcup_{i \in I_\varepsilon(x)} \partial_\varepsilon f_i(x) \right) \cap (D \cap \text{dom } f - x)$$

where $I_\varepsilon(x) = \{i \in I : f_i(x) \geq f(x) - \varepsilon\}$

If the index set I is finite, then

$$\partial(f + l_D)(x) = \bigcap_{\varepsilon > 0} \left(\bigcup_{i \in I(x)} \partial_\varepsilon f_i(x) \right) \cap (D - x)$$

where $I(x) = \{i \in I : f_i(x) = f(x)\}$

Remark

Taking $D = X$ we recover known results, for instance:

M.A. López and M.V. (2008), or Borndstedt (1972)...

DIRECTIONAL DERIVATIVES

COR 5

$$(f_i)_{i \in I} \subset \Gamma(X)$$

$$D \subset X$$

$$f = \sup_{i \in I} f_i$$

Assume $D \cap \text{dom } f$ is pseudo-starshaped at x . Then

$$y \in \partial(f + \psi)(x) \Leftrightarrow \sup_{i \in I_z(x)} (f_i)'(x, d) \geq \langle d, y \rangle, \forall \varepsilon > 0, \forall d \in \text{cone}(D \cap \text{dom } f - x)$$

In particular

$$x \text{ minimizes } f \text{ on } D \Leftrightarrow \sup_{i \in I_z(x)} (f_i)'(x, d) \geq 0, \forall \varepsilon > 0, \forall d \in \text{cone}(D \cap \text{dom } f - x)$$

Taking $D = X$ we get

COR 6

$$f^*(d) \leq \inf_{\varepsilon > 0} \sup_{i \in I_z(x)} (f_i)'(x, d) \leq f'(x, d) \quad \forall d \in \text{cone}(\text{dom } f - x)$$

If, moreover, $f'(x, \cdot)$ is f^* proper, then

$$f'(x, d) = \inf_{\varepsilon > 0} \sup_{i \in I_z(x)} (f_i)'(x, d) \quad \forall d \in \text{cone}(\text{dom } f - x)$$

USING T , $M_g = (\partial g)^{-1}$, AND COMPACTITY

TH4 Let $g: X^* \rightarrow \overline{\mathbb{R}}$, $g = g^*$, $D \subset X$, and $x \in g^{-1}(\overline{\mathbb{R}})$. Assume

- 1) $D \cap \text{dom } f$ is pseudo-starshaped at x
- 2) there is a topology $\triangleright$ on X^* , compatible with the pairing (X^*, X) , and such that $g - \langle x, \cdot \rangle$ admits a $\triangleright$ -relatively compact nonvoid sublevel set.

We then have

$$\partial(f + l_D)(x) = \left(\bigcap_{\varepsilon > 0} \triangleright\text{-}\partial M_\varepsilon g(x) \right)^T (D \cap \text{dom } f - x) \neq \emptyset$$

If, moreover, g is $\triangleright$ -lsc, then

$$\partial(f + l_D)(x) = M_g(x)^T (D \cap \text{dom } f - x)$$

If, in addition, $\text{cone}(D \cap \text{dom } f - x) = X$, then

$$\partial(f + l_D)(x) = \overline{\text{co}} M_g(x)$$

BACK TO B-RELAXATION

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Given $h: X \rightarrow \overline{\mathbb{R}}$ and $B \subset X^*$, define

$$h^B = \sup \{ \langle \cdot, y \rangle - \alpha : y \in B, \alpha \in \mathbb{R}, \langle \cdot, y \rangle - \alpha \leq h \}$$

Recall that if $0 \in B$ one has

$$\argmin h^B = \partial(h^* + l_B)(0)$$

From TH2 we get

TH5 Let $h: X \rightarrow \overline{\mathbb{R}}$ be proper and bounded below, $B \subset X^*$.

Assume that $B \cap \text{dom } h^*$ is pseudo-starshaped at 0. Then,

$$\begin{aligned} \argmin h^B &= \bigcap_{\varepsilon > 0} ((\varepsilon - \argmin h)^\top (B \cap \text{dom } h^*)) \\ &= \bigcap_{\varepsilon > 0} ((\varepsilon - \argmin h^{**})^\top B) \end{aligned}$$

B-RELAXATION AND COMPACTITY

Applying (the dual form of) TH4 we get

TH6

Let $h: X \rightarrow \overline{\mathbb{R}}$ be proper, bounded below, and let $B \subset X^*$. Assume

- 1) $B \cap \text{dom } h^*$ is pseudo-starshaped at 0
- 2) there is a topology $\mathcal{D}$ on X , compatible with the pairing (X, X^*) , and such that h admits a $\mathcal{D}$ -relatively compact minorant

Then we have

$$\argmin h^B = \left(\bigcap_{\varepsilon > 0} \mathcal{D}(\varepsilon - \argmin h) \right)^T (B \cap \text{dom } h^*) \neq \emptyset$$

If, moreover, h is $\mathcal{D}$ -lsc, then

$$\argmin h^B = (\argmin h)^T (B \cap \text{dom } h^*)$$

B-RELAXATION IN BANACH SPACES

TH7 Let X Banach, $h: X \rightarrow \bar{\mathbb{R}}$ proper, and $B \subset X^*$. Assume

- 1) $B \cap \text{dom } h^*$ is pseudo-starshaped at 0
- 2) $\text{cone}(B \cap \text{dom } h^*)$ is convex
- 3) $\exists t > \inf_{X^*} h: [h \leq t]$ is relatively compact

Then

$$\begin{aligned} \text{argmin}_h^B &= (\overline{\text{co}} \bigcap_{\varepsilon > 0} \overline{\varepsilon - \text{argmin}_h}) + (B \cap \text{dom } h^*)^- \\ &= \left(\bigcap_{\varepsilon > 0} \overline{\text{co}}(\varepsilon - \text{argmin}_h) \right) + (B \cap \text{dom } h^*)^- \end{aligned}$$

If, moreover, h is lsc, then

$$\text{argmin}_h^B = \overline{\text{co}}(\text{argmin}_h) + (B \cap \text{dom } h^*)^-$$

B-RELAXATION AND WEAK TOPOLOGY

TH8

Let X reflexive, $h: X \rightarrow \mathbb{R}$

proper, and $B \subset X^*$. Assume

1) $B \cap \text{dom } h^*$ is pseudo-starshaped at 0

2) $\text{cone}(B \cap \text{dom } h^*)$ is convex

3) $\exists t > \inf_X h : [h, t]$ is bounded

Then

$$\begin{aligned} \argmin h^B &= \left(\overline{\text{co}} \bigcap_{\varepsilon > 0} w\text{-cl}(\varepsilon - \argmin h) \right) + (B \cap \text{dom } h^*)^- \\ &= \bigcap_{\varepsilon > 0} \overline{\text{co}}(\varepsilon - \argmin h) + (B \cap \text{dom } h^*)^- \end{aligned}$$

If, moreover, h is weakly lsc, then

$$\argmin h^B = \overline{\text{co}}(\argmin h) + (B \cap \text{dom } h^*)^-$$

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