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# A lower bound for $\lambda_1$ on manifolds with boundary

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## 1. Introduction

The aim of this paper is to establish a geometric lower bound for  $\lambda_1$  on compact Riemannian manifolds  $(M, g)$  with boundary,  $\lambda_1 = \lambda_1(M, g)$  being the first eigenvalue of the (positive) Laplacian on functions that vanish on  $\partial M$  (Dirichlet boundary condition). We also classify the manifolds for which equality in our estimate is attained.

For  $v$  in the unit tangent sphere  $U_x$  at  $x \in \text{Int } M$ , let  $l(v) \leq \infty$  be the length of the maximal geodesic  $\gamma_v$  in  $\text{Int } M$ , tangent to  $v$ . Denoting by  $dv_x$  the canonical measure on  $U_x$  and by  $\alpha(n-1)$  the volume of the unit  $(n-1)$ -sphere, we prove

**THEOREM.** *Every compact Riemannian manifold  $(M, g)$  with boundary satisfies*

$$\lambda_1(M, g) \geq E(M, g), \quad (1)$$

where

$$E(M, g) = \frac{n\pi^2}{\alpha(n-1)} \inf_{x \in \text{Int } M} \int_{U_x} l^{-2}(v) dv_x \quad (2)$$

and  $n = \dim M$ . Furthermore, equality holds in (1) if and only if  $(M, g)$  is isometric to a Riemannian hemisphere bundle.

By a *Riemannian hemisphere bundle* we mean the total space  $M$  of any  $O(m)$ -bundle of  $m$ -discs over a closed manifold  $B$  with the metric  $g$  on  $M$  naturally determined by any metric  $h$  on  $B$  and any  $O(m)$ -connection in the

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bundle, so that the fibres are isometric to a round hemisphere (see Section 4). Equivalently (cf. Remark 5) we can just require  $(M, g) \rightarrow (B, h)$  to be a Riemannian submersion, the fibres of which are isometric to a hemisphere and totally geodesic.

The estimate (1) is due to the first author, while the description of the equality case is a joint result.

The assertion of (1), as well as its proof, is a generalization of Theorem 16 of [3], which applies only to the very special case where  $l(v) < \infty$  for all  $v$  and gives  $\lambda_1 \geq n\pi^2 [\sup_{x \in \text{Int } M} \sup_{v \in U_x} l^2(v)]^{-1}$  with equality precisely for round hemispheres. That estimate did not even apply to Riemannian hemisphere bundles, which illustrates how much stronger the present result is.

Inequality (1) is proved in Section 2 of this paper. In Section 4 we consider the equality case. The final Section 5 consists of various remarks and corollaries. In particular, we discuss there the case of non-compact manifolds and an application to domains in  $S^n$ .

## 2. Proof of inequality (1)

Let  $UM$  (resp.,  $U(\text{Int } M)$ ) be the total space of the unit tangent bundle of  $(M, g)$  (resp., of its restriction to  $\text{Int } M$ ). We define  $U^+ \partial M$  to be the subset of  $UM$  consisting of all unit vectors  $u$  tangent to  $M$  at  $\partial M$  which point inward, i.e., satisfy  $\langle T, u \rangle > 0$ ,  $T$  being the inner unit normal field along  $\partial M$ . In the sequel, the symbols  $dv$  and  $du$  will stand for the canonical (local product) measures on  $UM$  and  $U^+ \partial M$ , respectively, while  $Q$  will denote the set of all  $(u, t) \in U^+ \partial M \times \mathbb{R}$  for which  $\exp tu$  exists and lies in  $\text{Int } M$ , i.e.,  $0 < t < l(u)$ ,  $l(u)$  being the length of the maximal geodesic  $\gamma_u$  in  $\text{Int } M$  with  $\lim_{t \rightarrow 0} \dot{\gamma}_u(t) = u$ .

Define the *geodesic flow*  $\xi: Q \rightarrow UM$  by  $\xi(u, t) = \dot{\gamma}_u(t)$ . One easily sees that  $\xi$  is injective and  $C^\infty$ . The main tools in our proof of (1) are Santaló's formula

$$\xi^* dv = \langle T, u \rangle dt du$$

(see [8], [1]) and the expression for  $\lambda_1$  coming from the Poincaré inequality

$$\lambda_1(M, g) = \inf \left( \int_M |\nabla f|^2 dx / \int_M f^2 dx \right), \quad (3)$$

where  $f$  runs over all non-trivial continuous functions on  $M$  which are  $C^\infty$  on  $\text{Int } M$  and vanish on  $\partial M$  (see [7]).

Let  $\tilde{UM}$ ,  $\tilde{U}(\text{Int } M)$ ,  $\tilde{U}^+ \partial M$  and  $\tilde{Q}$  be the subsets of  $UM$ ,  $U(\text{Int } M)$ ,  $U^+ \partial M$  and  $Q$  characterized by  $l(v) < \infty$  and  $l(u) < \infty$ , respectively. The image  $\xi(\tilde{Q})$  has

full measure in  $\tilde{U}M$ , so that Santaló's formula yields, for any integrable function  $\phi$  on  $\tilde{U}M$

$$\int_{\tilde{U}M} \phi \, dv = \int_{\tilde{U}^+ \partial M} \int_{t=0}^{l(u)} \phi(\zeta(u, t)) \langle T, u \rangle \, dt \, du. \quad (4)$$

To prove (1), we can now proceed as follows. For any  $C^\infty$  function  $f$  on  $M$  that vanishes on  $\partial M$ ,

$$\begin{aligned} \frac{1}{n} \alpha(n-1) \int_M |\nabla f|^2 \, dx &= \int_M \int_{U_x} (df(v))^2 \, dv_x \, dx \\ &= \int_{UM} (df(v))^2 \, dv \geq \int_{\tilde{U}M} (df(v))^2 \, dv \\ &= \int_{\tilde{U}^+ \partial M} \int_{t=0}^{l(u)} (df(\zeta(u, t)))^2 \langle T, u \rangle \, dt \, du. \end{aligned} \quad (5)$$

For  $u \in \tilde{U}^+ \partial M$  and  $0 < t < l(u)$ , set  $f_u(t) = f(\gamma_u(t))$ . Thus,  $f_u$  has the limits  $f_u(0) = f_u(l(u)) = 0$ , as  $\gamma_u(0), \gamma_u(l(u)) \in \partial M$ . The one-dimensional Poincaré inequality gives

$$\begin{aligned} \int_0^{l(u)} (df(\zeta(u, t)))^2 \, dt &= \int_0^{l(u)} (f'_u(t))^2 \, dt \\ &\geq \pi^2 l^{-2}(u) \int_0^{l(u)} (f_u(t))^2 \, dt \\ &= \pi^2 \int_0^{l(u)} l^{-2}(u) f^2(\gamma_u(t)) \, dt. \end{aligned} \quad (6)$$

Therefore, we have from (5) and (4)

$$\alpha(n-1) \int_M |\nabla f|^2 \, dx \geq n\pi^2 \int_{\tilde{U}M} l^{-2}(v) f^2(v) \, dv.$$

Since  $l(v) = \infty$  for  $v \in UM - \tilde{U}M$ , the last integral can equally well be taken over  $UM$ , so that

$$\begin{aligned} \alpha(n-1) \int_M |\nabla f|^2 \, dx &\geq n\pi^2 \int_{\text{Int } M} f^2(x) \left\{ \int_{U_x} l^{-2}(v) \, dv_x \right\} \, dx \\ &\geq n\pi^2 \inf_{x \in \text{Int } M} \left\{ \int_{U_x} l^{-2}(v) \, dv_x \right\} \cdot \int_M f^2 \, dx, \end{aligned}$$

and (1) follows from (3).



**COROLLARY 1.** *Let  $(M, g)$  be a compact Riemannian manifold with  $\partial M \neq \emptyset$  for which equality holds in (1). Then  $M$  admits a  $C^\infty$  function  $f$  with*

$$f \geq 0, \quad f^{-1}(0) = \partial M \neq \emptyset, \quad (7)$$

$$\Delta f = mf \quad (8)$$

for some real  $m$ , and

$$(\nabla_v H)(v, v) = 0, \quad H(v, v) \leq 0 \quad (9)$$

for any tangent vector  $v$  in  $\text{Int } M$ , where

$$H = f^{-1} \nabla df \quad \text{in } \text{Int } M. \quad (10)$$

*Proof.* Let  $f$  be a  $\lambda_1$  eigenfunction of  $\Delta$ , so that (8) holds with  $m = \lambda_1$  and we obtain (7) from the maximum principle, changing the sign of  $f$  if necessary. Since all inequalities in the preceding argument now become equalities, we conclude from (6) that, for almost all  $u \in \tilde{U}^+ \partial M$ ,  $f_u'' = -\pi^2 l^{-2}(u) f_u$ . As  $f_u'' = (f \circ \gamma_u)'' = (\nabla df)(\dot{\gamma}_u, \dot{\gamma}_u)$ , this just means that  $H(\dot{\gamma}_u, \dot{\gamma}_u) = -\pi^2 l^{-2}(u)$  and  $(\nabla_{\dot{\gamma}_u} H)(\dot{\gamma}_u, \dot{\gamma}_u) = \dot{\gamma}_u(H(\dot{\gamma}_u, \dot{\gamma}_u)) = 0$ ,  $H$  being defined by (10). Thus, (9) holds for almost all  $v \in \tilde{U}(\text{Int } M)$ . The equality in (5) gives  $df(v) = 0$  for almost all  $v \in UM - \tilde{U}M$ . Let  $W \subset \text{Int } M$  be the projection of the part of the interior of  $UM - \tilde{U}M$ , lying over  $\text{Int } M$ . Thus,  $f$  is locally constant in  $W$ , which gives  $\nabla df = 0$  there and hence (9) for all  $v$  in the interior of  $UM - \tilde{U}M$  over  $\text{Int } M$ . Consequently, (9) holds for all  $v \in U(\text{Int } M)$ , which completes the proof.

*Remark 1.* From the proof of Corollary 1 it is obvious that if (9) and (10) are satisfied by a function  $f$  on a Riemannian manifold with boundary, then, for each geodesic  $\gamma$ , the function  $t \mapsto f(\gamma(t))$  is *sinusoidal, linear or constant* in the sense that it is given by  $p \sin(qt + s)$ ,  $pt + s$  or  $s$  with some constants  $p \neq 0$ ,  $q \neq 0$  and  $s$ , depending on  $\gamma$ .

*Remark 2.* For compact Riemannian manifolds  $(M, g)$  with boundary, the converse to Corollary 1 is also true. We omit the details of this argument, based on repeating the steps in the proof of (1) and on Remark 1, together with the obvious relation  $\alpha(n-1)(\Delta f)(x) = -n \int_{U_x} (\nabla df)(v, v) dv_x$  for  $x \in \text{Int } M$ .

*Remark 3.* For a compact Riemannian manifold  $(M, g)$  with boundary, the formula

$$h(x) = \int_{U_x} l^{-2}(v) dv_x \quad (11)$$

defines a finite continuous function  $h$  on  $\text{Int } M$ . Moreover, (11) also makes sense for  $x \in \partial M$  and the resulting extension of  $h$  to  $M$  always attains its minimum. These facts can be proved by a standard but lengthy argument that will not be presented here. Note that  $h = \infty$  on the boundary of a flat disc and the function  $v \mapsto l(v) \in [0, \infty]$  may fail to be continuous on  $U(\text{Int } M)$  if  $\partial M$  is not convex.

### 3. Some auxiliary results

Given a manifold  $M$  with a metric  $g$ , usually denoted by  $\langle \cdot, \cdot \rangle$ , we use the symbol  $\nabla$  for the Riemannian connection of  $(M, g)$ . Thus, for vector fields  $u, v, w$  on  $M$ ,

$$2\langle \nabla_u v, w \rangle = \langle [u, v], w \rangle - \langle v, [u, w] \rangle - \langle u, [v, w] \rangle + u\langle v, w \rangle + v\langle u, w \rangle - w\langle u, v \rangle, \quad (12)$$

$uf = df(u) = \nabla_u f$  being the  $u$ -directional derivative of any function  $f$  on  $M$ . The Hessian  $\nabla df$  of  $f$  is given by

$$(\nabla df)(u, v) = (\nabla df)(v, u) = \langle \nabla_u \nabla f, v \rangle = uvf - df(\nabla_u v) \quad (13)$$

for vector fields  $u, v$ , where  $\nabla f$  is the gradient of  $f$ . The Laplacian  $\Delta$  is an operator with *negative* symbol:

$$\Delta f = -\text{Tr}_g \nabla df.$$

The formula for the covariant derivative  $\nabla H$  of a 2-tensor field  $H$  is

$$(\nabla_u H)(v, w) = u(H(v, w)) - H(\nabla_u v, w) - H(v, \nabla_u w). \quad (14)$$

The following lemma and remark recall well-known facts that we use later.

**LEMMA 1.** *Let  $N$  be a regular level of a function  $f$  on a Riemannian manifold with boundary (empty or not) such that  $\nabla df = 0$  at each point of  $N$ . Then  $N$  is totally geodesic and  $|\nabla f|$  is constant along each component of  $N$ .*

In fact, this is immediate from (13) for vector fields  $u, v$  defined near  $N$  and tangent to  $N$ , together with the obvious equality  $d|\nabla f|^2 = 2(\nabla df)(\nabla f, \cdot)$  (cf. (13)).

**Remark 4.** For a distribution  $V$  on a Riemannian manifold we write  $X \in V$  when  $X$  is a *local* vector field (defined in an open set) which is a section of  $V$ . Operations on such fields are to be considered only in the intersection of their definition domains. Thus,  $V$  is integrable if and only if  $[X, Y] \in V$  whenever  $X, Y \in V$ ; integrable distributions with totally geodesic leaves are characterized by the condition  $\nabla_X Y \in V$  for all  $X, Y \in V$ . Moreover,

(i) If  $V$  is integrable, it has totally geodesic leaves if and only if  $\nabla_X X \in V$  for all  $X \in V$ .

(ii) A local vector field  $u$  preserves  $V$  (i.e., its local flow leaves  $V$  invariant) if and only if  $[u, X] \in V$  whenever  $X \in V$ .

(iii) If  $V$  is integrable, the local fields  $\xi \in V^\perp$  preserving  $V$  fill  $V^\perp$  at each point. In fact, locally, the leaves of  $V$  are fibres of a bundle with connection  $V^\perp$  over some base  $B$  and the sections  $\xi$  in question are just the horizontal lifts of vector fields in  $B$ .

(iv) Suppose that  $V$  is integrable and a local vector field  $u$  preserves  $V$ . Then  $u$  preserves the metric restricted to  $V$  (i.e., its local flow sends the leaves isometrically into one another) if and only if  $\nabla_u |X|^2 = 0$  for all  $X \in V$  with  $[u, X] = 0$  (such  $X$  fill  $V$  at each point).

(v) Let  $V$  be integrable. Then its leaves are all totally geodesic if and only if all  $\xi \in V^\perp$  that preserve  $V$  also preserve the metric restricted to  $V$ . This is immediate from (i), (iii), (iv) and (12) with  $u = v = X \in V$ ,  $w = \xi \in V^\perp$  and  $[\xi, X] = 0$ . See also [6].

(vi) If  $V$  is integrable, its leaves are, locally, the fibres of a Riemannian submersion if and only if for any  $\xi \in V^\perp$  preserving  $V$  (a “horizontal lift”),  $|\xi|$  is constant along  $V$ . Note that, for such  $\xi$  and any  $X \in V$ ,  $\langle \nabla_X \xi, \xi \rangle = \langle \nabla_\xi X, \xi \rangle = -\langle \nabla_\xi \xi, X \rangle$ . Therefore, another equivalent condition is  $\nabla_\xi \xi \in V^\perp$  for all  $\xi \in V^\perp$  (since the latter condition is tensorial, cf. (iii)).

Suppose we are given a principal bundle  $P$  with structure group  $G$  over a closed manifold  $B$  and an isometric action  $\rho$  of  $G$  on a compact Riemannian manifold  $(F, g_F)$  with boundary. It is easy to see that, for any connection  $\omega$  in  $P$  and any metric  $h$  on  $B$ , there is a unique smooth metric  $g$  on the total space  $M$  of the bundle with fibre  $F$  associated with  $P$ , such that

- (i) the  $\omega$ -horizontal spaces in  $M$  are  $g$ -orthogonal to the fibres,
- (ii) the projection  $(M, g) \rightarrow (B, h)$  is a Riemannian submersion,
- (iii) on each fibre  $g$  induces the natural metric, isometric to  $g_F$ .

**DEFINITION 1.** A compact Riemannian manifold  $(M, g)$  with boundary is called a *Riemannian fibre bundle* if it is obtained by the above construction from some  $P, G, \rho, B, F, g_F, \omega$  and  $h$ . The manifolds  $(B, h)$  and  $(F, g_F)$  will be called the (Riemannian) *base* and *fibre* of  $(M, g)$ , respectively.

REMARK 5. Riemannian fibre bundles can equivalently be defined, up to an isometry, to be the compact Riemannian manifolds  $(M, g)$  with boundary admitting a *Riemannian submersion*  $(M, g) \rightarrow (B, h)$  with *totally geodesic fibres*, where  $\partial B = \emptyset$ . In fact, by Remark 4(v) the fibres are totally geodesic in  $(M, g)$  if and only if the parallel displacements with respect to the  $g$ -orthogonal connection in  $M \rightarrow B$  send them isometrically onto one another.

PROPOSITION 1. *Let  $(M, g)$  be a Riemannian fibre bundle with  $P, G, \rho, B, F, g_F, \omega$  and  $h$  as above, such that  $\partial F \neq \emptyset$ .*

- (i)  $\lambda_1(M, g) = \lambda_1(F, g_F)$ .
- (ii)  $E(M, g) = E(F, g_F)$ , the invariant  $E$  being defined by (2).

*Proof.* For  $x \in M$  lying in the fibre  $F_x = F_y$  of  $M \rightarrow B$  over  $y \in B$ , let  $dx, dy$  and  $dz$  be the Riemannian measures of  $M, B$  and  $F_y$ , respectively. Suppose  $f$  is a  $\lambda_1$  eigenfunction on  $(M, g)$  with  $f = 0$  on  $\partial M$ . Since  $|\nabla f|$  in  $(M, g)$  is not less than the same quantity for the restriction of  $f$  to  $F_y$  with the induced metric, the Poincaré inequality for  $(F, g_F)$  gives

$$\int_{F_y} |\nabla f|^2 dx \geq \lambda_1(F, g_F) \int_{F_y} f^2 dz.$$

Locally, we have  $dx = dz dy$  and so

$$\begin{aligned} \int_M |\nabla f|^2 dx &= \int_B \left( \int_{F_y} |\nabla f|^2 dz \right) dy \\ &\geq \lambda_1(F, g_F) \int_B \int_{F_y} f^2 dz dy = \lambda_1(F, g_F) \int_M f^2 dx, \end{aligned} \tag{15}$$

which proves that

$$\lambda_1(M, g) \geq \lambda_1(F, g_F),$$

since

$$\int_M |\nabla f|^2 dx = \lambda_1(M, g) \int_M f^2 dx.$$

Since  $\partial F \neq \emptyset$ , the  $\lambda_1$ -eigenspace in  $(F, g_F)$  is one-dimensional (cf. [1, Theorem 4.7]). A fixed  $\lambda_1$ -eigenfunction  $\phi$  on  $(F, g_F)$  (with  $\phi = 0$  on  $\partial F$ ) is therefore

invariant under the action  $\rho$  of  $G$ . Hence  $\phi$  can be naturally propagated over all fibres of  $M \rightarrow B$ , giving a function  $f$  on  $M$  invariant under  $\omega$ -parallel displacements (and so having vertical gradient  $\nabla f$  in  $(M, g)$ ) and restricting to a  $\lambda_1$ -eigenfunction on each fibre. With this  $f$  we have equality in (15), i.e., by (3),  $\lambda_1(M, g) \leq \lambda_1(F, g_F)$ , which proves (i) in view of the preceding inequality.

Given  $x \in \text{Int } M$  and a maximal geodesic  $\gamma: I \rightarrow \text{Int } M$  of  $(M, g)$ , defined on an open interval  $I$  with  $0 \in I$  and  $\gamma(0) = x$ , consider the  $C^\infty$  map  $\psi: I \times I \rightarrow \text{Int } M$  with

$$\psi(s, t) = \tau_s^t(\gamma(t)), \quad (16)$$

$\tau_s^t: F_{\gamma(t)} \rightarrow F_{\gamma(s)}$  being the  $\omega$ -parallel displacement from  $t$  to  $s$  along the projection of  $\gamma$  onto  $B$ . Now  $X = \partial\psi/\partial t$  and  $\xi = \partial\psi/\partial s$  are vector fields tangent to  $M$  along  $\psi$  (i.e., sections of  $\psi^*TM \rightarrow I \times I$ ) and  $X$  is vertical, while  $\xi$  is horizontal and  $\gamma(t) = \psi(t, t)$ , so that  $\dot{\gamma}(t) = X(t, t) + \xi(t, t)$ . Differentiating  $X, \xi$  covariantly along  $\psi$ , we obtain  $\nabla_{X+\xi}(X+\xi) = \nabla_{\dot{\gamma}}\dot{\gamma} = 0$  on the diagonal of  $I \times I$ , while, by Remark 4(i), (vi) and Remark 5,  $\nabla_X X$  is vertical,  $\nabla_X \xi, \nabla_\xi \xi$  are horizontal and so is  $\nabla_\xi X$ , since  $[\xi, X] = 0$  along  $\psi$  by definition. Consequently,  $\nabla_X X = 0$  on the diagonal of  $I \times I$ , i.e., for each  $s \in I$  the geodesic curvature of the curve  $t \mapsto \psi(s, t)$  in the totally geodesic fibre  $F_{\gamma(s)}$  vanishes as  $t = s$ . Since  $\tau_{s'}^s: F_{\gamma(s)} \rightarrow F_{\gamma(s')}$  is an isometry and  $\tau_{s'}^s(\psi(s, t)) = \psi(s', t)$ , that geodesic curvature is zero at each  $t = s'$ , i.e., *the curves  $t \mapsto \psi(s, t)$  are all geodesics with affine parameter*. Let  $v \in T_x M$  be unit, so that

$$v = \cos \theta \cdot X_0 + \sin \theta \cdot \xi_0$$

with  $\theta \in \mathbb{R}$  and units vectors  $X_0, \xi_0$  such that  $X_0$  is vertical and  $\xi_0$  is horizontal. We claim that, if  $v$  is not horizontal (i.e.,  $\cos \theta \neq 0$ ),

$$l(v) = \frac{l(X_0)}{\cos \theta}. \quad (17)$$

In fact, let  $\gamma = \gamma_v: I \rightarrow \text{Int } M$  be a maximal geodesic with  $\gamma_v(0) = x$ ,  $\dot{\gamma}_v(0) = v$ . As we saw,  $\gamma_{X_0}(s) = \psi(s/\cos \theta, 0)$ ,  $\psi$  being given by (16) and  $\gamma_{X_0}$  is defined on the *maximal* interval  $\cos \theta \cdot I$ , since  $\partial M$  is invariant under  $\omega$ -parallel displacements. This proves (17). Using easy spherical integration we now conclude that  $h(x)$ , defined for  $F_x$  with the metric isometric to  $g_F$  as in (11), is equal to the corresponding quantity for  $(M, g)$  times an appropriate dimensional constant. This implies (ii) and completes the proof.

The following three technical lemmas are the basic local ingredients for the argument of Section 4.

**LEMMA 2.** *Let a symmetric 2-tensor field  $H$  on a Riemannian manifold  $(M, g)$  satisfy  $(\nabla_v H)(v, v) = 0$  for all tangent vectors  $v$  and admit a constant eigenvalue  $c$  of constant multiplicity. Then the corresponding eigenspace distribution  $V$  has the property that  $\nabla_u u \in V$  for each local section  $u$  of  $V$ . Moreover,*

(i) *If  $V$  is integrable, its leaves are all totally geodesic.*

(ii) *If  $V^\perp$  is integrable, its leaves form, locally, the fibres of a Riemannian submersion.*

*Proof.* Assume  $V \neq TM$  and fix a local section  $u$  of  $V$ . In a dense open subset of  $M$ , the eigenvalues of  $H$  form mutually distinct  $C^\infty$  functions. For such a function  $\phi \neq c$  and a local vector field  $w$  with  $H(w, \cdot) = \phi \langle w, \cdot \rangle$ , we have  $\langle w, u \rangle = 0$ . Since  $H(u, \cdot) = c \langle u, \cdot \rangle$ , (14) gives  $(\nabla_u H)(u, w) = (c - \phi) \langle \nabla_u u, w \rangle$  and  $(\nabla_w H)(u, u) = |u|^2 w c = 0$  as  $c$  is constant. Thus, from (9), by polarization,  $0 = (\nabla_u H)(u, w) + (\nabla_u H)(w, u) + (\nabla_w H)(u, u) = 2(c - \phi) \langle \nabla_u u, w \rangle$ , and so  $\nabla_u u \in V$ , since the vector fields  $w$  as above span  $V^\perp$  in a dense set. Our assertion now follows from Remark 4(i), (vi).

**LEMMA 3.** *Let  $(M, g)$  be a Riemannian manifold with boundary admitting a function  $f$  with (7) and (9) for all vectors  $v$  in  $\text{Int } M$ ,  $H$  being defined by (10). Then*

(i) *At each point of  $\partial M$ ,  $\nabla df = 0$  and  $df \neq 0$ .*

(ii)  *$\partial M$  is totally geodesic in  $(M, g)$  and  $|\nabla f|$  is locally constant along  $\partial M$ .*

(iii) *Let  $M$  be compact and denote by  $T$  the inner unit normal vector field along  $\partial M$ . There exist positive constants  $p, q$  such that each maximal normal geodesic  $t \mapsto \exp tT_y$  issuing from  $y \in \partial M$  has length  $\pi/q$ , hits  $\partial M$  perpendicularly at  $t = \pi/q$  and  $f(\exp tT_y) = p \sin(qt)$ .*

*Proof.* Since  $f > 0$  in  $\text{Int } M$ , Remark 1 gives  $df \neq 0$  at each point of  $\partial M$ . From (9),  $f(\nabla^2 df)(v, v, v) = df(v)(\nabla df)(v, v)$  for any vector  $v$ , wherever  $f \neq 0$  and, by continuity, everywhere in  $M$ . Consequently, on  $\partial M$  the symmetric product  $df \odot \nabla df$  vanishes, which gives (i), while (ii) now follows from Lemma 1.

Let  $M$  be compact. By Remark 1 with (7), for any  $y \in \partial M$

$$f(\exp tT_y) = p(y) \sin(q(y)t), \quad (18)$$

where  $p, q$  are positive  $C^\infty$  functions on  $\partial M$  and  $0 \leq t \leq \pi/q(y)$ . On  $\partial M$ ,  $|\nabla f| = pq$  is locally constant from (ii). However, since  $\partial M$  is totally geodesic, any two components of  $\partial M$  have a connecting geodesic  $\gamma$  perpendicular to both, and so the constant  $pq$  is the same for all components, as it is determined by  $f \circ \gamma$  (cf. (18)). For  $y \in \partial M$ , the geodesic  $\gamma(t) = \exp tT_y$  hits  $\partial M$  again at  $t = t_y = \pi/q(y)$  with  $\langle \nabla f, \dot{\gamma}(t_y) \rangle = -pq = -|\nabla f| \cdot |\dot{\gamma}(t_y)|$  in view of (18), so that  $pq\dot{\gamma}(t_y) =$

$-(\nabla f)(\gamma(t_y))$  is normal to  $\partial M$ . Since all geodesics issuing normally from  $y \in \partial M$  intersect  $\partial M$  perpendicularly, a standard variational argument shows that their lengths  $\pi/q(y)$  are all equal, whether or not  $\partial M$  is connected. This implies that  $p$  and  $q$  are both constant, completing the proof.

**LEMMA 4.** *Let  $g$  be a metric on  $M = N \times I$ , where  $N$  is a manifold without boundary and  $I = [0, \pi/2)$  such that the curves  $t \mapsto (y, t)$ ,  $y \in N$ , are all unit speed geodesics, orthogonal to  $\partial M = N \times \{0\}$ , and the function  $f(y, t) = \sin t$  on  $(M, g)$  satisfies (7), (8) for some real  $m$  and (9) for all tangent vectors  $v$  in  $\text{Int } M$ ,  $H$  being given by (10). Then*

(i)  *$m$  is an integer,  $1 \leq m \leq n = \dim M$ .*

(ii) *At each point of  $\text{Int } M$ ,  $H$  has eigenvalues  $-1$  and  $0$  of multiplicities  $m$  and  $n - m$ , respectively. The  $(-1)$ -eigenspace distribution  $D$  of  $H$  in  $\text{Int } M$  has a  $C^\infty$  extension to  $\partial M$  that intersects  $T(\partial M)$  along an  $(m - 1)$ -dimensional distribution  $V$  on  $\partial M$ . If  $V$  is integrable, so is  $D$ .*

(iii) *At  $(y, t) \in M = N \times I$ ,  $g$  is given by  $g(T, T) = 1$ ,  $g(X, X) = \cos^2 t \cdot g_0(X, X)$ ,  $g(\xi, \xi) = g_0(\xi, \xi)$ ,  $g(T, X) = g(T, \xi) = g(X, \xi) = 0$ , where  $g_0$  is the induced metric on  $\partial M = N \times \{0\} \approx N$ ,  $T$  is the vector field with integral curves  $t \mapsto (y, t)$  and  $X$  (resp.,  $\xi$ ) is any vector of  $V$  (resp., of its  $g_0$ -complement  $V^\perp$  in  $T_y N$ ) at  $y$ , regarded as lying in  $T_{(y,t)} M$ .*

*Proof.* Writing  $\langle \cdot, \cdot \rangle$  for  $g$ , we have from the generalized Gauss lemma

$$\begin{aligned} \langle T, T \rangle &= 1, & \langle T, \alpha \rangle &= 0, \\ \langle \alpha, \beta \rangle &= \langle \alpha, \beta \rangle_t, \end{aligned} \tag{19}$$

where  $I \ni t \mapsto g_t = \langle \cdot, \cdot \rangle_t$  is a curve of metrics on  $N$ ,  $T$  is defined in (iii) and  $\alpha, \beta$  denote, from now on, arbitrary vector fields on  $N$  viewed at the same time as vector fields on  $M$ . Thus

$$\begin{aligned} \nabla_T T &= [T, \alpha] = 0 \\ \langle T, [\alpha, \beta] \rangle &= 0, \end{aligned} \tag{20}$$

so that (12) and (19) yield  $\langle \nabla_T \alpha, \beta \rangle = \frac{1}{2}(\partial/\partial t)\langle \alpha, \beta \rangle_t$  and hence

$$\nabla_T \alpha = \nabla_\alpha T = -\tan t \cdot B_t \alpha \tag{21}$$

$B_t$  being the curve of  $(1, 1)$  tensor fields on  $N$  given by

$$\langle B_t \alpha, \beta \rangle_t = -\frac{1}{2} \cot t \frac{\partial}{\partial t} \langle \alpha, \beta \rangle_t. \tag{22}$$



Consequently, from (21) and (19)

$$\langle \nabla_\alpha \beta, T \rangle = \tan t \langle B_t \alpha, \beta \rangle. \quad (23)$$

Since  $f(y, t) = \sin t$ , we have  $Tf = \cos t$ ,  $\alpha f = 0$ , i.e.,  $df(u) = \cos t \cdot \langle u, T \rangle$  for any vector  $u$ . Therefore, from (13), (21), (20) and (23),  $(\nabla df)(T, T) = -\sin t$ ,  $(\nabla df)(T, \alpha) = 0$  and  $(\nabla df)(\alpha, \beta) = -\sin t \langle B_t \alpha, \beta \rangle$ . In particular,  $\Delta f = (1 + \text{Tr } B_t)f$  and, since  $\Delta f = mf$  by hypothesis,

$$\text{Tr } B_t = m - 1. \quad (24)$$

The 2-tensor field  $H = f^{-1} \nabla df$  on  $\text{Int } M$  now satisfies

$$\begin{aligned} H(T, T) &= -1, & H(T, \alpha) &= 0, \\ H(\alpha, \beta) &= -\langle B_t \alpha, \beta \rangle, \end{aligned} \quad (25)$$

so that  $H(T, u) = -\langle T, u \rangle$  for any vector  $u$ . Therefore, in view of (14), (23), (21), (19) and (22),  $(\nabla_\alpha H)(T, \beta) = \tan t \langle (B_t - B_t^2) \alpha, \beta \rangle$ ,  $(\nabla_T H)(\alpha, \beta) = -\langle (\partial B_t / \partial t) \alpha, \beta \rangle$  (note that (25) holds for *vectors*  $\alpha, \beta$  orthogonal to  $T$ , while  $T(H(\alpha, \beta)) = -\partial / \partial t \langle B_t \alpha, \beta \rangle_t$ ). Since, by (9) for all  $v$ ,  $(\nabla_\alpha H)(T, \beta) + (\nabla_T H)(\beta, \alpha) + (\nabla_\beta H)(\alpha, T) = 0$ , we now obtain

$$\partial B_t / \partial t = 2 \tan t (B_t - B_t^2). \quad (26)$$

Hence, by induction,  $\partial B_t^k / \partial t = 2k \tan t (B_t^k - B_t^{k+1})$  and so  $\partial / \partial t \text{Tr } B_t^k = 2k \tan t (\text{Tr } B_t^k - \text{Tr } B_t^{k+1})$  for all  $k$ . Consequently, by induction we obtain from (24)

$$\text{Tr } B_t^k = m - 1$$

for each  $k$ . Since  $B_t$  is  $g_t$ -self-adjoint, the  $g_t$ -norm of  $B_t - B_t^2$  now satisfies  $\|B_t - B_t^2\|_t^2 = \text{Tr } (B_t - B_t^2)^2 = 0$ . Therefore  $B_t^2 = B_t$  and, by (26),

$$\partial B_t / \partial t = 0$$

i.e.,  $B = B_t$  is independent of  $t$ . Thus, at each point of  $N$ ,  $B$  is an orthogonal projection for all metrics  $g_t$  and  $\text{rank } B = m - 1$ , which implies (i). Consider the distributions  $V = \text{Im } B = \text{Ker } (B - \text{Id})$  and  $V^\perp = \text{Ker } B$  in  $N$  of dimensions  $m - 1$  and  $n - m$ , respectively. In the sequel, let  $X$  (resp.,  $\xi$ ) denote an arbitrary local section of  $V$  (resp.,  $V^\perp$ ) in  $N$ , which we also view as a vector field in  $M$ . Thus,

$$BX = X, \quad B\xi = 0.$$



Hence (22) with  $B_t = B$  and (19) imply (iii). On the other hand, (25) gives  $H(T, \cdot) = -\langle T, \cdot \rangle$ ,  $H(X, \cdot) = -\langle X, \cdot \rangle$ ,  $H(\xi, \cdot) = 0$ , so that (ii) follows from (20) with  $\alpha = X$ ,  $D$  being spanned by  $T$  and  $V$  in the obvious sense. This completes the proof.

*Remark 6.* In the course of the above proof we have in fact *classified* all manifolds  $(M, g)$  satisfying the hypotheses of Lemma 4. Namely, they are in a bijective correspondence with the Riemannian manifolds  $(N, g_0)(\partial N = \emptyset)$  endowed with distributions  $V$  such that  $\overset{\circ}{\nabla}_X X \in V$  and  $\overset{\circ}{\nabla}_\xi \xi \in V^\perp$  for any local sections  $X$  of  $V$  and  $\xi$  of its  $g_0$ -complement  $V^\perp$  (cf. Lemma 2),  $\overset{\circ}{\nabla}$  being the Riemannian connection of  $g_0$ .

*Remark 7.* If a manifold  $(M, g)$  satisfying the hypotheses of Lemma 4 has bounded curvature, then the distribution  $D$  is integrable and has totally geodesic leaves of constant curvature 1. To verify this, it is sufficient to express the curvature of  $g$  in terms of the metric  $g_0$  and the distribution  $V$  on  $N$ , using (iii) and Lemma 2. However, in the case where  $(M, g)$  has a Riemannian compactification we shall prove the above assertion by a direct geometric argument (see Section 4).

#### 4. The equality case: Riemannian hemisphere bundles

In this section we classify the compact Riemannian manifolds  $(M, g)$  with boundary for which

$$\lambda_1(M, g) = E(M, g), \quad (27)$$

i.e., (1) becomes an equality. It turns out that they form the class defined as follows.

**DEFINITION 2.** By a *Riemannian hemisphere bundle* we mean a compact Riemannian manifold  $(M, g)$  with boundary which is a Riemannian fibre bundle in the sense of Definition 1 having as the Riemannian fibre a round hemisphere of some dimension  $m \geq 1$  and radius  $r > 0$  with  $G = O(m)$  acting in the natural way.

For a round hemisphere of dimension  $m$  and radius  $r$ ,  $\lambda_1 = m/r^2$  and  $l(v) = \pi r$  for each unit tangent vector  $v$ , which implies (27). Therefore, by Proposition 1, (27) also holds for all Riemannian hemisphere bundles.

We will now show that every compact Riemannian manifold  $(M, g)$  with boundary, satisfying (27), is isometric to a Riemannian hemisphere bundle.

In view of Corollary 1,  $M$  admits a function  $f$  with (7), (8) for some real  $m$  and (9) for any tangent vector  $v$  in  $\text{Int } M$ ,  $H$  being given by (10). By Lemma 3(iii), we can rescale  $g$  and  $f$  so that  $f(\exp tT_y) = \sin t$  for each  $y \in \partial M$  and  $t \in [0, \pi]$ ,  $T$  being the inner unit normal vector field along  $\partial M$ . Connecting any  $x \in M$  to  $\partial M$  by a shortest geodesic, we see that

$$f(x) = \sin [\text{dist}(x, \partial M)], \quad (28)$$

which easily implies that all geodesics  $[0, \pi/2) \ni t \mapsto \exp tT_y$ ,  $y \in \partial M$ , are minimizing and mutually disjoint. Using a standard argument ([5, p. 135–136]) we now conclude that the normal exponential map

$$\partial M \times \left[0, \frac{\pi}{2}\right) \rightarrow M - f^{-1}(1) \quad (29)$$

is a diffeomorphism. Thus, applying Lemma 4 to  $M - f^{-1}(1)$  instead of  $M$  we see, by continuity, that assertions (i) and (ii) of Lemma 4 hold *everywhere* in  $\text{Int } M$ .

Let  $B = f^{-1}(1)$ . For a geodesic  $\gamma$  connecting  $y, z \in B$  in  $M$  we have  $0 \leq f \circ \gamma \leq 1 = f(y) = f(z)$  and  $f \circ \gamma$  is sinusoidal or constant (Remark 1), so, obviously,  $f \circ \gamma = 1$ . Thus,  $\gamma$  lies entirely in  $B$  and so does its extension beyond  $y$  and  $z$  if  $y \neq z$ , i.e.,  $B$  is a totally convex compact submanifold without boundary. Moreover, for  $y \in B$ ,  $T_y B$  is the null-space of  $H_y$  and so  $\dim B = n - m$ . To see this, note that we just showed that  $T_y B$  consists of all vectors  $u$  at  $y$  tangent to geodesics  $\gamma$  with  $f \circ \gamma = 1$ , which are precisely the vectors  $u$  with  $(\nabla df)(u, u) = 0$ , since  $f = 1$  and  $df = 0$  on  $B$  and  $f$  is sinusoidal or constant along each geodesic. As  $H$  is semidefinite, these vectors form the null-space of  $H_y$ .

Let  $\gamma: [0, t_0] \rightarrow \text{Int } M$  be a maximal geodesic normal to  $B$  at  $y = \gamma(0)$  with  $|\dot{\gamma}| = 1$ . Thus,  $\dot{\gamma}(0)$  is in the  $(-1)$ -eigenspace of  $H_y$ . The sinusoidal function  $\phi = f \circ \gamma$  (Remark 1) has  $\phi(0) = 1$ ,  $\phi \leq 1$ ,  $\phi'(0) = 0$  and  $\phi''(0) = -1$ , i.e.,  $t_0 = \pi/2$  and  $\phi(t) = \cos t$ . Connecting any  $x \in M$  to  $B$  by a distance minimizing segment of such a geodesic  $\gamma$  we see that

$$f(x) = \cos [\text{dist}(x, B)], \quad (30)$$

so that normal geodesics issuing from  $B$  are all minimizing and mutually disjoint. Consequently, the normal exponential map from the bundle of radius  $\pi/2$  closed normal discs over  $B$  is a diffeomorphism onto  $M$ , which allows us to identify  $M$  with the total space of this bundle. The projection  $M \rightarrow B$  (restricting to the  $(m-1)$ -sphere bundle  $\partial M \rightarrow B$ ) sends  $\exp tT_y$  ( $y \in \partial M$ ,  $0 \leq t \leq \pi/2$ ) onto  $\exp(\pi/2)T_y$ . In fact, (28) and (30) give  $\text{dist}(x, \partial M) + \text{dist}(x, B) = \pi/2 = \text{dist}(\partial M, B)$  for

all  $x \in M$ , so that each geodesic normal to  $B$  hits  $\partial M$  perpendicularly, and vice versa.

Let  $s \mapsto y(s)$  be a curve in  $\partial M$  with  $\dot{y}(s)$  tangent to the distribution  $V$  at each point (cf. Lemma 4(ii)) and set  $y(s, t) = \exp tT_{y(s)}$  for  $0 \leq t \leq \pi/2$ . Using Lemma 4(iii) with our identification (29) we see that the vector  $(\partial/\partial s)y(s, t)$  has length  $\cos t |\dot{y}(s)|$ , which vanishes for  $t = \pi/2$  and any  $s$ . Therefore,  $y(s, \pi/2) = \exp(\pi/2)T_{y(s)}$  is constant, i.e.,  $y(s)$  lies entirely in a fibre of  $\partial M \rightarrow B$ . For dimensional reasons, this implies that  $V$  is integrable and hence so is  $D$  by Lemma 4(ii), while the leaves of  $V$  are just the  $(m-1)$ -sphere fibres of  $\partial M \rightarrow B$ . The leaves of  $D$  are totally geodesic in view of Lemma 2(i). The normal geodesics issuing from  $B$  are all tangent to  $D$ , since this is the case at their origins in  $B$  (cf. the above description of  $T_y B$ ). Consequently, the totally geodesic leaves of  $D$  are just the  $m$ -disc fibres of the bundle projection  $M \rightarrow B$ , which is a Riemannian submersion by Lemma 2(ii). In view of Lemma 4(iii), each of these fibres is isometric to a unit hemisphere. for otherwise it would have a singularity at  $B$ . Now Remark 5 implies that  $(M, g)$  is isometric to a Riemannian hemisphere bundle.

## 5. Remarks and corollaries

A natural question suggested by the theorem of Section 1 is whether  $\lambda_1(M, g)$  being close to  $E(M, g)$  implies that  $(M, g)$  is close, in an appropriate sense, to a Riemannian hemisphere bundle. That this is not the case, for a reasonable notion of closeness, can be seen as follows. Given any closed Riemannian manifold  $(N, g)$ , consider the manifolds  $(M_\varepsilon, g_\varepsilon) = (N \times [0, (\pi/2) - \varepsilon], \cos^2 t \cdot g + dt^2)$ , where  $0 < \varepsilon < \pi/2$ . We then have  $\lambda_1(M_\varepsilon, g_\varepsilon) \geq E(M_\varepsilon, g_\varepsilon) \geq n = \dim N + 1$  and  $\lambda_1(M_\varepsilon, g_\varepsilon) \rightarrow n$  as  $\varepsilon \rightarrow 0$ , which one can verify by using the function  $\sin t \cdot \phi_\varepsilon(t)$  with an appropriate cut-off function  $\phi_\varepsilon$ . More complicated examples of this type are provided by Riemannian fibre bundles with fibre  $(M_\varepsilon, g_\varepsilon)$  as above.

The invariant  $E(M, g)$  is still well-defined for *non-compact complete* Riemannian manifolds with boundary. In this case, our proof of (1) remains valid if we define  $\lambda_1(M, g)$  by (3) restricted to functions  $f$  vanishing on  $\partial M$  for which  $|\nabla f|$  is square integrable. Consequently, we have

**COROLLARY 2.** *Every complete Riemannian manifold  $(M, g)$  with boundary satisfies  $\lambda_1(M, g) \geq E(M, g)$ .*

The last estimate is sharp for infinite strips in the plane as well as for Riemannian hemisphere bundles with complete open base manifolds  $(B, h)$  satisfying  $\lambda_1(B, h) = 0$  in the sense explained above. The simplest examples of such  $(B, h)$  are the Euclidean spaces.

For a complete  $n$ -dimensional Riemannian manifold  $(M, g)$  with boundary and  $x \in \text{Int } M$ , set (cf. [4])

$$EV_x(M, g) = \frac{1}{n} \int_{U_x} l_+^n(v) dv_x,$$

$l_+(v) \leq \infty$  being the maximum length of the geodesic segment in  $\text{Int } M$  having  $v$  as its tangent vector at the origin, so that

$$l(v) = l_+(v) + l_+(-v). \quad (31)$$

If  $(M, g)$  is a Euclidean domain,  $EV_x(M, g)$  is just the volume of the region “visible from  $x$ ”. In general, it is the Euclidean volume in  $T_x M$  of the set where the exponential map is defined. Note that  $EV_x(M, g)$  may be infinite even if  $M$  is compact. As a consequence of (1) we obtain the following estimate (which is never sharp).

**COROLLARY 3.** *For any complete  $n$ -dimensional Riemannian manifold  $(M, g)$  with boundary,*

$$\lambda_1(M, g) \geq \frac{\pi^2}{4} [\alpha(n-1)]^{2/n} n^{(n-2)/n} \left[ \sup_{x \in \text{Int } M} EV_x(M, g) \right]^{-2/n}.$$

*Proof.* Fix  $x \in \text{Int } M$ . In view of (31), the Schwarz inequality yields

$$[\alpha(n-1)]^2 = \left( \int_{U_x} dv_x \right)^2 \leq h(x) \int_{U_x} l^2(v) dv_x \leq 4h(x) \int_{U_x} l_+^2(v) dv_x,$$

$h$  being given by (11). By the Hölder inequality, we have

$$\int_{U_x} l_+^2(v) dv_x \leq [\alpha(n-1)]^{(n-2)/n} [nEV_x(M, g)]^{2/n}$$

so that

$$[\alpha(n-1)]^2 \leq 4[\alpha(n-1)]^{(n-2)/n} h(x) \left[ n \sup_{x \in \text{Int } M} EV_x(M, g) \right]^{2/n}$$

and our assertion is immediate from (1).

For a domain  $\Omega$  in the unit  $n$ -sphere we have  $l(v) = \infty$  or  $l(v) \leq 2\pi$ , so that  $4\pi^2 h(x) \geq \mu(x)$ , where  $h$  is given by (11) and  $\mu(x)$  is the measure of  $\{v \in U_x : l(v) < \infty\}$ . Therefore, by (1),

$$\lambda_1(\Omega) \geq \frac{n}{4\alpha(n-1)} \min_{x \in \text{Int } \Omega} \mu(x).$$

In particular,  $\lambda_1(\Omega) \geq \pi/4$  if  $\text{Int } \Omega$  contains no great circle.

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