

Homogenization of Maxwell's equations and related scalar problems with sign-changing coefficients

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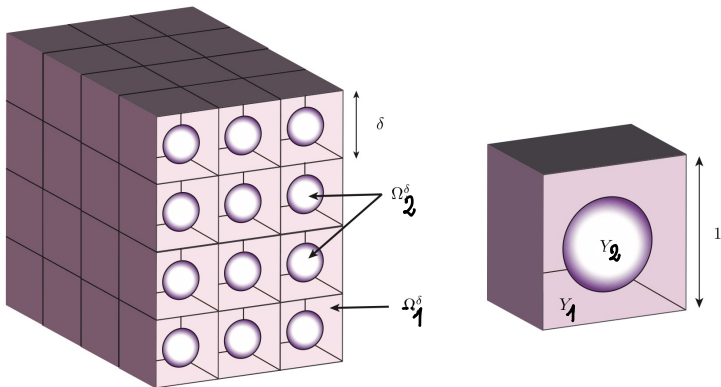
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Geometrical setting

Example of a 3-D domain Ω with two periodic components Ω_1^δ and Ω_2^δ , and interface Γ^δ ; reference cell $Y = (0, 1)^3$, $Y = Y_1 \cup Y_2 \cup \Gamma$.



Plan of the presentation

1. **Sign-Changing coefficients Maxwell problem**
2. **Positive coefficients Maxwell problem - homogenization**
3. **Sign-changing coefficients Maxwell problem at fixed δ**
4. **Sign-changing coefficients Maxwell problem – homogenization**
5. **Conclusions**

Sign-changing coefficients Maxwell problem

For a given frequency $\omega \neq 0$, we consider time harmonic Maxwell's equations

$$\operatorname{curl} \mathbf{E}^\delta - i\omega \mu^\delta \mathbf{H}^\delta = 0 \quad \text{and} \quad \operatorname{curl} \mathbf{H}^\delta + i\omega \varepsilon^\delta \mathbf{E}^\delta = \mathbf{J} \text{ in } \Omega$$

with the boundary conditions

$$\mathbf{E}^\delta \times \mathbf{n} = 0 \quad \text{and} \quad \mu^\delta \mathbf{H}^\delta \cdot \mathbf{n} = 0 \text{ on } \partial\Omega,$$

where \mathbf{n} denotes the unit outward normal vector field to $\partial\Omega$.

- \mathbf{E}^δ is the electric component of the electromagnetic field
- \mathbf{H}^δ is the magnetic components of the electromagnetic field
- the source term $\mathbf{J} \in \mathbf{L}^2(\Omega)$ is the current density
- the medium Ω is surrounded by a perfect conductor

J.-C. Nédélec, Acoustic and electromagnetic equations, Applied Mathematical Sciences, vol. 144, Springer, 2001.

Sign-changing coefficients Maxwell problem

- ϵ^δ is the electric permittivity and μ^δ is the magnetic permeability:

$$\epsilon^\delta(x) = \epsilon \left(\frac{x}{\delta} \right), \quad \mu^\delta(x) = \mu \left(\frac{x}{\delta} \right),$$

$$\epsilon(y) = (\epsilon_1 \mathbf{1}_{Y_1}(y) + \epsilon_2 \mathbf{1}_{Y_2}(y)) Id_3, \quad \mu(y) = (\mu_1 \mathbf{1}_{Y_1}(y) + \mu_2 \mathbf{1}_{Y_2}(y)) Id_3,$$

$\mathbf{1}_D$ is the characteristic function of the domain D ,

$$\epsilon_1 > 0, \quad \epsilon_2 < 0; \quad \mu_1 > 0, \quad \mu_2 < 0. \quad (1)$$

$$(\mathcal{P}^\delta) \quad \left| \begin{array}{l} \text{Find } \mathbf{E}^\delta \in \mathbf{H}_n(\mathbf{curl}) \text{ s.t. for every } \mathbf{E}' \in \mathbf{H}_n(\mathbf{curl}): \\ ((\mu^\delta)^{-1} \mathbf{curl} \mathbf{E}^\delta, \mathbf{curl} \mathbf{E}') - \omega^2 (\epsilon^\delta \mathbf{E}^\delta, \mathbf{E}') = i\omega (\mathbf{J}, \mathbf{E}'), \end{array} \right. \quad (2)$$

where

$$\mathbf{H}_n(\mathbf{curl}) = \{ \mathbf{E} \in \mathbf{H}(\mathbf{curl}) \mid \mathbf{E} \times \mathbf{n} = 0 \text{ on } \partial\Omega \},$$

$$\mathbf{H}(\mathbf{curl}) = \{ \mathbf{H} \in \mathbf{L}(\Omega) \mid \mathbf{curl} \mathbf{H} \in \mathbf{L}(\Omega) \},$$

$$\mathbf{L}(\Omega) = (L^2(\Omega))^3.$$

Sign-changing coefficients Maxwell problem

Motivation (negative materials)

- for metals at optical frequencies one has $\epsilon < 0$ and $\mu > 0$;
- artificial metamaterials have been realized which can be modelled for certain frequencies by $\epsilon < 0$ and $\mu < 0$.

The **negative refraction** at the interface dielectric/metamaterial could allow the realization of perfect lenses, photonic trap.



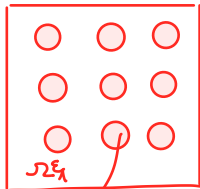
The homogenization method at a glance ($\delta \rightarrow 0$)

(\mathcal{P}^δ)

E^δ

$\varepsilon^\delta(x)$

$\mu^\delta(x)$



Ω_{ε_2}

$\Omega = \Omega_{\varepsilon_1} \cup \Omega_{\varepsilon_2} \cup \Gamma \varepsilon$

$\delta \rightarrow 0$



(\mathcal{P}^δ) well-posed

E^δ verifies uniform estimates

E^δ "converges" to E^{hom}

$(\mathcal{P}^{\text{hom}})$ well-posed

J.L. Lions; E. Sanchez-Palencia
 F. Murat; L. Tartar;
 G. Nguetsun; G. Allaire;
 D. Cioranescu, G. Griso,
 A. Damlamian

$(\mathcal{P}^{\text{hom}})$ Ω

E^{hom}

$\mathcal{K}(\varepsilon)$ constant

$\mathcal{K}(\mu)$ constant

$(\mathcal{P}^{\text{loc}})$ Y



Ω



$Y = Y_1 \cup Y_2 \cup \Gamma$

Sign-changing coefficients Maxwell problem

$$(\mathcal{P}^\delta) \quad \left| \begin{array}{l} \text{Find } \mathbf{E}^\delta \in \mathbf{H}_n(\mathbf{curl}) \text{ s.t. for every } \mathbf{E}' \in \mathbf{H}_n(\mathbf{curl}): \\ ((\mu^\delta)^{-1} \mathbf{curl} \mathbf{E}^\delta, \mathbf{curl} \mathbf{E}') - \omega^2 (\epsilon^\delta \mathbf{E}^\delta, \mathbf{E}') = i\omega (\mathbf{J}, \mathbf{E}'). \end{array} \right.$$

Questions we address

Q1 Well-posedness of the initial problem (\mathcal{P}^δ) .

difficulties: loss of coercivity in the first term and not compactness of the second term

Q2 Passage to the limit with respect to δ in the initial problem (\mathcal{P}^δ) and derivation of the homogenized problem, denoted $(\mathcal{P}^{\text{hom}})$.

difficulties: we can not derive uniform energy estimates for the solution \mathbf{E}^δ

Q3 Well-posedness of the homogenized problem, denoted $(\mathcal{P}^{\text{hom}})$.

difficulties: ?

Positive coefficients Maxwell problem - homogenization

$$\epsilon_1 > \mathbf{0}, \epsilon_2 > \mathbf{0}; \quad \mu_1 > \mathbf{0}, \mu_2 > \mathbf{0}.$$

A. Bensoussan, J.-L. Lions, G. Papanicolaou, *Asymptotic Analysis for Periodic Structures*, AMS Chelsea Publishing, Providence, RI, 2011.

Theorem (Ciarlet, Fliss, Stohrer, *Comput. Math. Appl.*, 2017)

Assume that $\omega^2 \notin \Lambda^{\text{hom}}$ where Λ^{hom} is a discrete subset of $[0, +\infty)$. Then there exists δ_0 such that for $\delta \in (0, \delta_0]$, the initial problem (\mathcal{P}^δ) is well defined and the sequence of solutions E^δ satisfies

$$E^\delta \rightharpoonup E^{\text{hom}} \quad \text{and} \quad \text{curl } E^\delta \rightharpoonup \text{curl } E^{\text{hom}} \quad \text{in } L^2(\Omega) \text{ weak,}$$

where E^{hom} is the unique solution of the homogenized problem $(\mathcal{P}^{\text{hom}})$ defined below.

Λ^{hom} is the set of eigenvalues associated to the homogenized problem.

Positive coefficients Maxwell problem - homogenization

We associate to the electric field problem the bilinear form $a_\omega^\delta(\cdot, \cdot)$

$$a_\omega^\delta(\mathbf{E}, \mathbf{E}') = ((\mu^\delta)^{-1} \mathbf{curl} \mathbf{E}, \mathbf{curl} \mathbf{E}') - \omega^2(\epsilon^\delta \mathbf{E}, \mathbf{E}'), \quad \forall \mathbf{E}, \mathbf{E}' \in \mathbf{H}_n(\mathbf{curl}).$$

We define the homogenized problem

$$\left| \begin{array}{l} \text{Find } \mathbf{E}^{\text{hom}} \in \mathbf{H}_n(\mathbf{curl}) \text{ s.t.} \\ \mathbf{curl} ((\mathcal{H}(\mu))^{-1} \mathbf{curl} \mathbf{E}^{\text{hom}}) - \omega^2 \mathcal{H}(\epsilon) \mathbf{E}^{\text{hom}} = i\omega \mathbf{J} \end{array} \right.$$

and the corresponding variational formulation

$$(\mathcal{P}^{\text{hom}}) \left| \begin{array}{l} \text{Find } \mathbf{E}^{\text{hom}} \in \mathbf{H}_n(\mathbf{curl}) \text{ s.t. for every } \mathbf{E}' \in \mathbf{H}_n(\mathbf{curl}) \\ a_\omega^{\text{hom}}(\mathbf{E}^{\text{hom}}, \mathbf{E}') = i\omega (\mathbf{J}, \mathbf{E}'), \end{array} \right.$$

where $a_\omega^{\text{hom}}(\cdot, \cdot)$ is the bilinear form defined on $\mathbf{H}_n(\mathbf{curl})$ by

$$a_\omega^{\text{hom}}(\mathbf{E}, \mathbf{E}') = ((\mathcal{H}(\mu))^{-1} \mathbf{curl} \mathbf{E}, \mathbf{curl} \mathbf{E}') - \omega^2(\mathcal{H}(\epsilon) \mathbf{E}, \mathbf{E}').$$

Positive coefficients Maxwell problem - homogenization

The **homogenized matrix** $\mathcal{H}(\epsilon) = (\mathcal{H}_{jk}(\epsilon))_{1 \leq j, k \leq 3}$ is given by

$$\mathcal{H}_{jk}(\epsilon) = \frac{1}{|Y|} \int_Y \epsilon \nabla(y_j - \chi_j^\epsilon) \nabla(y_k - \chi_k^\epsilon) dy, \quad (3)$$

where, for $j = 1, 2, 3$, the functions $\chi_j^\epsilon \in H_{\text{per},0}^1(Y)$ are solutions of the local **scalar** problems $(\mathcal{P}^{\text{loc}})_j$, defined by

$$(\mathcal{P}^{\text{loc}})_j \quad (\epsilon \nabla \chi_j^\epsilon, \nabla \xi)_Y = (\epsilon \nabla y_j, \nabla \xi)_Y, \quad \forall \xi \in H_{\text{per},0}^1(Y). \quad (4)$$

The homogenized matrix $\mathcal{H}(\mu)$ is defined analogously.

Remark

Matrices $\mathcal{H}(\epsilon)$ and $\mathcal{H}(\mu)$ are positive definite in the positive coefficients case.

Positive coefficients Maxwell problem - homogenization

Ideas of the proof

- Suppose that (\mathbf{E}^δ) is a sequence of solutions for the initial problem (\mathcal{P}^δ) , satisfying the uniform estimate

$$\exists C > 0, \forall \delta \in (0; 1], \quad \|\mathbf{E}^\delta\| + \|\mathbf{curl} \mathbf{E}^\delta\| \leq C.$$

Then for $\delta \rightarrow 0$, one has

$$\mathbf{E}^\delta \rightharpoonup \mathbf{E}^{\text{hom}} \quad \text{and} \quad \mathbf{curl} \mathbf{E}^\delta \rightharpoonup \mathbf{curl} \mathbf{E}^{\text{hom}} \quad \text{in } L^2(\Omega) \text{ weak,}$$

where \mathbf{E}^{hom} is solution of the homogenized problem $(\mathcal{P}^{\text{hom}})$.

This step is independent on the sign of the coefficients.

Positive coefficients Maxwell problem - homogenization

Ideas of the proof

- If $\omega^2 \notin \Lambda^{\text{hom}}$, then the homogenized problem (\mathcal{P}^{hom}) is well-posed.

This step depends on the matrix $\mathcal{H}(\mu)$; it is positive definite in the positive coefficients case.

- If $\omega^2 \notin \Lambda^{\text{hom}}$, then there is $0 < \delta_0$ such that for $\delta \in (0, \delta_0]$, problem (\mathcal{P}^δ) is well-posed and the solutions E^δ are uniformly bounded in $\mathbf{H}_n(\text{curl})$.

A spectral decomposition argument is applied. This argument strongly uses the positivity of the coefficients, for both (\mathcal{P}^δ) and (\mathcal{P}^{hom}) problems.

Sign-changing coefficients Maxwell at fixed δ

We define the linear and continuous operator $\mathcal{A}_n^\delta(\omega) : \mathbf{H}_n(\text{curl}) \rightarrow \mathbf{H}_n(\text{curl})$ s.t. for all $\omega \in \mathbb{C}$ and $\mathbf{E}, \mathbf{E}' \in \mathbf{H}_n(\text{curl})$, one has

$$(\mathcal{A}_n^\delta(\omega)\mathbf{E}, \mathbf{E}')_{\text{curl}} = ((\mu^\delta)^{-1} \text{curl } \mathbf{E}, \text{curl } \mathbf{E}') - \omega^2(\epsilon^\delta \mathbf{E}, \mathbf{E}'). \quad (5)$$

Difficulties : (NOT coercive) + (NOT compact)

For fixed δ , the properties of $\mathcal{A}_n^\delta(\omega)$ are strongly related to the properties of the **scalar** linear and continuous sign-changing operators

$A_\epsilon^\delta : H_0^1(\Omega) \rightarrow H_0^1(\Omega)$ and $B_\mu^\delta : H_{\#}^1(\Omega) \rightarrow H_{\#}^1(\Omega)$ s.t.

$$\begin{aligned} (\nabla(A_\epsilon^\delta \varphi), \nabla \varphi') &= (\epsilon^\delta \nabla \varphi, \nabla \varphi'), & \forall \varphi, \varphi' \in H_0^1(\Omega) \\ (\nabla(B_\mu^\delta \varphi), \nabla \varphi') &= (\mu^\delta \nabla \varphi, \nabla \varphi'), & \forall \varphi, \varphi' \in H_{\#}^1(\Omega). \end{aligned}$$

where

$$H_{\#}^1(\Omega) = \left\{ \varphi \in H^1(\Omega) \mid \int_{\Omega} \varphi \, dx = 0 \right\}.$$

Sign-changing coefficients Maxwell at fixed δ

Theorem 6.1 of Bonnet, Chesnel, Ciarlet (*Commun. Part. Diff. Eq.* 2014) writes as follows.

Theorem

Assume that the scalar operators $A_\epsilon^\delta : H_0^1(\Omega) \rightarrow H_0^1(\Omega)$ and $B_\mu^\delta : H_{\#}^1(\Omega) \rightarrow H_{\#}^1(\Omega)$ are isomorphisms.

Then $\mathcal{A}_N^\delta(\omega) : \mathbf{H}_n(\mathbf{curl}) \rightarrow \mathbf{H}_n(\mathbf{curl})$ is an isomorphism if it is injective.

Key point: find conditions ensuring that A_ϵ^δ and B_μ^δ are isomorphisms.

Difficulties: prove the uniform invertibility of these operators as δ tends to zero.

Sign-changing coefficients problem – homogenization

$$\epsilon_1 > 0, \epsilon_2 < 0; \quad \mu_1 > 0, \mu_2 < 0$$

Theorem (B., Chesnel, Ramdani, Rihani, 2021)

Let κ_ϵ and κ_μ belong to $(-\infty; -1/m) \cup (-1/M; 0)$, where m and M are two positive constants related to the geometry of the periodicity cell Y . Assume that $\omega^2 \notin \Lambda^{\text{hom}}$ where Λ^{hom} is a discrete subset of $[0, +\infty)$. Then there exists δ_0 such that for $\delta \in (0, \delta_0]$, the solution (\mathbf{E}^δ) of the initial problem (\mathcal{P}^δ) (which is well defined) satisfies

$$\mathbf{E}^\delta \rightharpoonup \mathbf{E}^{\text{hom}} \quad \text{and} \quad \text{curl } \mathbf{E}^\delta \rightharpoonup \text{curl } \mathbf{E}^{\text{hom}} \quad \text{in } L^2(\Omega) \text{ weak,}$$

where \mathbf{E}^{hom} is the unique solution of the homogenized problem $(\mathcal{P}^{\text{hom}})$.

Step 1

We suppose that (\mathbf{E}^δ) is a sequence of solutions for the initial problem (\mathcal{P}^δ) , satisfying the uniform estimate

$$\exists C > 0, \forall \delta \in (0; 1], \quad \|\mathbf{E}^\delta\| + \|\mathbf{curl} \mathbf{E}^\delta\| \leq C. \quad (6)$$

Then for $\delta \rightarrow 0$, one has

$$\mathbf{E}^\delta \rightharpoonup \mathbf{E}^{\text{hom}} \quad \text{and} \quad \mathbf{curl} \mathbf{E}^\delta \rightharpoonup \mathbf{curl} \mathbf{E}^{\text{hom}} \quad \text{in } L^2(\Omega) \text{ weak,}$$

where \mathbf{E}^{hom} is solution of the homogenized problem $(\mathcal{P}^{\text{hom}})$.

Proof

Step 2

We study the well-posedness of the homogenized problem (\mathcal{P}^{hom}).

$$a_{\omega}^{\text{hom}}(\mathbf{E}, \mathbf{E}') = ((\mathcal{H}(\mu))^{-1} \text{curl } \mathbf{E}, \text{curl } \mathbf{E}') - \omega^2 (\mathcal{H}(\epsilon) \mathbf{E}, \mathbf{E}').$$

Difficulty: find conditions on the contrasts κ_{ϵ} and κ_{μ} such that the homogenized matrices $\mathcal{H}(\mu)$ and $\mathcal{H}(\epsilon)$ are (positive/negative) definite.

We recall that the homogenized matrices depend on the solution of sign-changing local scalar problems (\mathcal{P}^{loc})_{*j*}.

Once we find the conditions on the contrasts κ_{ϵ} and κ_{μ} , one can prove that the homogenized problem (\mathcal{P}^{hom}) admits a unique solution for $\omega^2 \notin \Lambda^{\text{hom}}$, where Λ^{hom} is a discrete subset of $[0, +\infty)$.

Proof

Step 3

We prove that there exists $\delta_0 > 0$ s.t. for all $\delta \in (0; \delta_0]$, the initial problem (\mathcal{P}^δ) has a unique solution \mathbf{E}^δ . Moreover, one has the estimate

$$\|\mathbf{E}^\delta\| + \|\operatorname{curl} \mathbf{E}^\delta\| \leq C,$$

where $C > 0$ is independent of $\delta \in (0; \delta_0]$.

In order to prove this result we proceed by contradiction.

We make the link with the results known for the case of a fixed δ .

Difficulties:

- prove the uniform (in δ) invertibility of the scalar operators A_ϵ^δ and B_μ^δ ;
- prove a uniform compactness property.

Operators $A_\epsilon^\delta : H_0^1(\Omega) \rightarrow H_0^1(\Omega)$ and $B_\mu^\delta : H_{\#}^1(\Omega) \rightarrow H_{\#}^1(\Omega)$ are s.t.

$$(\nabla(A_\epsilon^\delta \varphi), \nabla \varphi') = (\epsilon^\delta \nabla \varphi, \nabla \varphi'), \quad \forall \varphi, \varphi' \in H_0^1(\Omega),$$

$$(\nabla(B_\mu^\delta \varphi), \nabla \varphi') = (\mu^\delta \nabla \varphi, \nabla \varphi'), \quad \forall \varphi, \varphi' \in H_{\#}^1(\Omega).$$

Step 3: the scalar operators A_ϵ^δ and B_μ^δ

Theorem (B., Chesnel, Ramdani, Rihani, AFST, 2021)

There exist two positive constants m and M such that.

When $\kappa_\epsilon \in (-\infty; -1/m) \cup (-1/M; 0)$, $A_\epsilon^\delta : H_0^1(\Omega) \rightarrow H_0^1(\Omega)$ is *uniformly invertible* as $\delta \rightarrow 0$.

When $\kappa_\mu \in (-\infty; -1/m) \cup (-1/M; 0)$, $B_\mu^\delta : H_\#^1(\Omega) \rightarrow H_\#^1(\Omega)$ is *uniformly invertible* as $\delta \rightarrow 0$.

1. Case of operator A_ϵ^δ and $\kappa_\epsilon \in (-1/M; 0)$: B., Ramdani 2016
2. Case of operator A_ϵ^δ : Bonnetier, Dapogny, Triki, 2019
3. Case of operators A_ϵ^δ and B_μ^δ : B., Chesnel, Ramdani, Rihani, 2021
4. Case of operator A_ϵ^δ and $\kappa_\epsilon \in (-\infty; -1/m)$: B., Ramdani, Timofte, 2021

Remark: The constants m and M depend on the geometry of the elementary cell Y .

Step 3: the scalar operator A_ϵ^δ ($f \in L^2(\Omega)$ given)

Consider the scalar problem : find $\varphi^\delta \in H_0^1(\Omega)$ such that

$$b(\varphi^\delta, \varphi') = (f, \varphi'), \quad \forall \varphi' \in H_0^1(\Omega),$$

$$\text{where } b(\varphi^\delta, \varphi') = (\epsilon^\delta \nabla \varphi^\delta, \nabla \varphi')$$

There are different methods to study this problem:

- the integral approach
- [the \$T\$ -coercivity approach](#)
- the Neumann-Poincaré operator approach

Step 3: the scalar operator A_ϵ^δ

The T -coercivity approach allows to present the sign-changing coefficient problem as a coercive variational formulation. For the local problem (\mathcal{P}^{loc}), this result is due to Bonnet-Ben Dhia, Ciarlet, Zwölf (*J. Comput. Appl. Math.*, 2008).

Definition (T-coercivity)

Let V be a Hilbert space endowed with the norm $\|\cdot\|$ and let $\mathbf{T} \in \mathcal{L}(V)$ a bounded operator on V . A bilinear form $b(\cdot, \cdot)$ defined on $V \times V$ is T -coercive if there exists $\alpha > 0$ such that

$$|b(v, \mathbf{T}v)| \geq \alpha \|v\|^2, \quad \forall v \in V.$$

Difficulty: the construction of the T -coercivity operators \mathcal{T}^δ .

Step 3: The T -coercivity operators \mathcal{T}^δ

- $\kappa_\epsilon \in (-1/M; 0)$; $\mathcal{T}^\delta : H_0^1(\Omega) \rightarrow H_0^1(\Omega)$ such that

$$\mathcal{T}^\delta \varphi = \begin{cases} \varphi & \text{in } \Omega_1^\delta \\ -\varphi + 2P^\delta \varphi & \text{in } \Omega_2^\delta \end{cases}$$

where P^δ denotes the harmonic extension operator from Ω_1^δ to Ω_2^δ i.e. the operator such that $P^\delta \varphi$ solves the problem

$$\begin{cases} \Delta(P^\delta \varphi) = 0 & \text{in } \Omega_2^\delta \\ P^\delta \varphi = \varphi & \text{on } \partial\Omega_2^\delta. \end{cases}$$

We have $\mathcal{T}^\delta \circ \mathcal{T}^\delta = \text{Id}$, which shows that \mathcal{T}^δ is an isomorphism of $H_0^1(\Omega)$.

One has $M = [1 + (C_{PW}(Y_1))^2] \|P\|_{\mathcal{L}(H^1(Y_1); H^1(Y))}$.

- $\kappa_\epsilon \in (-\infty; -1/m)$: we need to construct an extension operator from the interior set Ω_2^δ to the exterior set Ω_1^δ ; the proof is more involved.

Conclusions

For the sign-changing Maxwell problem with periodic oscillating coefficients, stated in a two-component domain, we proved that if κ_ϵ and κ_μ belong to $I = (-\infty; -1/m) \cup (-1/M; 0)$ then we can homogenize, the initial and the homogenized problems are well-posed.

The positive constants m and M are related to the geometry of the periodicity cell Y .

Remark

One has $-1 \notin I$.

References

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Thank you for your attention.