

# Velocity averaging in $L^1$ for the transport equation

François Golse<sup>a,b</sup>, Laure Saint-Raymond<sup>b</sup>

<sup>a</sup> Institut Universitaire de France & École normale supérieure, DMA, 45, rue d'Ulm, 75005 Paris, France

<sup>b</sup> Université Paris 6, Laboratoire d'analyse numérique, 175, rue du Chevaleret, 75013 Paris, France

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**Abstract** A new result of  $L^1$ -compactness for velocity averages of solutions to the transport equation is stated and proved in this Note. This result, proved by a new interpolation argument, extends to the case of any space dimension Lemma 8 of Golse–Lions–Perthame–Sentis [J. Funct. Anal. 76 (1988) 110–125], proved there in space dimension 1 only. This is a key argument in the proof of the hydrodynamic limits of the Boltzmann or BGK equations to the incompressible Euler or Navier–Stokes equations. *To cite this article: F. Golse, L. Saint-Raymond, C. R. Acad. Sci. Paris, Ser. I 334 (2002) 557–562.* © 2002 Académie des sciences/Éditions scientifiques et médicales Elsevier SAS

## Moyennisation en vitesse dans $L^1$ pour l'équation de transport

### Résumé

On énonce et démontre dans cette Note un nouveau résultat de compacité dans  $L^1$  pour les moyennes en vitesse des solutions de l'équation de transport. Ce résultat, établi par un nouvel argument d'interpolation, généralise à toute dimension d'espace le Lemme 8 de Golse–Lions–Perthame–Sentis [J. Funct. Anal. 76 (1988) 110–125], qui n'était jusqu'ici connu qu'en dimension 1 d'espace. C'est un point crucial dans les preuves des limites hydrodynamiques des équations de Boltzmann ou de BGK vers les équations de Navier–Stokes. *Pour citer cet article : F. Golse, L. Saint-Raymond, C. R. Acad. Sci. Paris, Ser. I 334 (2002) 557–562.* © 2002 Académie des sciences/Éditions scientifiques et médicales Elsevier SAS

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### Version française abrégée

La compacité par moyennisation en vitesse des solutions d'équations de transport a été établie dans [8] — des résultats partiels de même nature ayant été obtenus indépendamment dans [1]. Pour une fonction  $f \equiv f(x, v)$  telle que  $f$  et  $v \cdot \text{grad}_x f$  appartiennent à  $L^p(\mathbf{R}^D \times \mathbf{R}^D)$  pour  $1 < p < +\infty$ , la régularité (au sens de l'appartenance à un espace de Sobolev ou de Besov correspondant à des dérivées fractionnaires d'ordre strictement positif) des moyennes en vitesse de la forme

$$\rho(x) := \int f(x, v)\psi(v) dv \quad \text{pour } \psi \in L_{\text{comp}}^\infty(\mathbf{R}^D) \quad (1)$$

a été étudiée dans [7] avec des résultats plus précis obtenus dans [6] et [5].

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E-mail address: Francois.Golse@ens.fr (F. Golse).

Lorsque  $p = 1$ , un contre-exemple de [7] (pp. 123–124) montre que, pour une suite  $f_n \equiv f_n(x, v)$ , l'hypothèse «  $f_n$  et  $v \cdot \text{grad}_x f_n$  bornées dans  $L^1(\mathbf{R}^D \times \mathbf{R}^D)$  » n'implique même pas en général que la suite des moments  $\rho_n$  lui étant associée par la formule (1) est relativement faiblement compacte dans  $L^1_{\text{loc}}(\mathbf{R}^D)$ . Le Théorème 3 de [7] montre que l'hypothèse «  $f_n$  et  $v \cdot \text{grad}_x f_n$  relativement faiblement compactes dans  $L^1_{\text{loc}}(\mathbf{R}^D \times \mathbf{R}^D)$  » implique que la suite  $\rho_n$  est relativement compacte dans  $L^1_{\text{loc}}(\mathbf{R}^D)$ .

Le résultat principal de cette Note montre que les hypothèses de ce théorème peuvent être considérablement affaiblies, et en particulier qu'il suffit d'éliminer la possibilité de concentrations pour la suite  $f_n$  en la variable  $v$  seulement.

**THÉORÈME 0.1.** – Soit  $f_\varepsilon \equiv f_\varepsilon(x, v)$  une famille bornée de  $L^1_{\text{loc}}(\mathbf{R}^D \times \mathbf{R}^D)$  localement équiintégrable en  $v$  et telle que la famille  $v \cdot \text{grad}_x f_\varepsilon$  est bornée dans  $L^1_{\text{loc}}(\mathbf{R}^D \times \mathbf{R}^D)$ . Alors

- la famille  $f_\varepsilon$  est localement équiintégrable (en les deux variables  $x$  et  $v$ ) sur  $\mathbf{R}^D \times \mathbf{R}^D$  ;
- pour tout  $\psi \in L^\infty_{\text{comp}}(\mathbf{R}^D)$  la famille  $\rho_\varepsilon$  associée à la famille  $f_\varepsilon$  par la formule (1) est relativement compacte dans  $L^1_{\text{loc}}(\mathbf{R}^D)$ .

La notion d'« équiintégrabilité en  $v$  » fait l'objet de la Définition 2.1 de la version anglaise. Par exemple, si la famille  $f_\varepsilon$  est bornée dans  $L_x^1(L_v^p)$  avec  $p > 1$ , elle est localement équiintégrable en  $v$ .

Bien que de nature purement locale, ce résultat repose (a) sur la propriété de dispersion de l'opérateur de transport énoncée dans la formule (6) ci-dessous et (b) sur une formule d'interpolation – voir (7) dans la version anglaise – qui n'est pas sans évoquer la définition d'« espaces de traces » comme interpolés d'un espace de Hilbert  $H$  et du domaine  $D(A)$  du générateur non borné  $A$  d'un semi-groupe sur  $H$  : voir [11].

Une version partielle du Théorème 0.1, à savoir la relative compacité faible de  $\rho_\varepsilon$  dans  $L^1_{\text{loc}}(\mathbf{R}^D)$  sous l'hypothèse «  $f_\varepsilon$  bornée dans  $L_x^1(L_v^\infty)$  et  $v \cdot \text{grad}_x f_\varepsilon$  bornée dans  $L_{x,v}^1$  » avait été établie dans [14]. Un analogue de ce théorème pour le cas d'évolution est un point crucial dans l'obtention de la limite hydrodynamique des équations de BGK [15] ou de Boltzmann [9] vers les équations de Navier–Stokes.

## 1. A counterexample

Regularization by velocity averaging is a property of the transport equation discovered in [8] – partial results of a similar nature had been obtained independently in [1]. Theorem 1 of [8] implies in particular that, for any  $p \in ]1, +\infty[$  and any bounded family  $f_\varepsilon \equiv f_\varepsilon(x, v)$  of  $L^p(\mathbf{R}^D \times \mathbf{R}^D)$  such that the family  $v \cdot \text{grad}_x f_\varepsilon$  is also bounded in  $L^p(\mathbf{R}^D \times \mathbf{R}^D)$ , the family of velocity averages

$$\rho_\varepsilon(x) := \int f_\varepsilon(x, v) \psi(v) dv \text{ is relatively compact in } L^p_{\text{loc}}(\mathbf{R}^D) \quad (2)$$

for any  $\psi \in L^\infty_{\text{comp}}(\mathbf{R}^D)$ . It was later proved in [7,6,5] that the family  $\rho_\varepsilon$  is in fact bounded in some Sobolev or Besov space (corresponding to derivatives of positive fractional order). The optimality of these regularity results is established in [12].

However, the compactness result in (2) fails if  $p = 1$ . Pick any bounded sequence  $g_n \equiv g_n(x, v)$  in  $L^1(\mathbf{R}^D \times \mathbf{R}^D)$  that converges weakly to  $\delta_0(x) \otimes \delta_{v^*}(v)$ , where  $v^* \neq 0$ . Let  $f_n$  be the unique  $L^1$  solution of the equation  $f_n + v \cdot \text{grad}_x f_n = g_n$ . Both  $f_n$  and  $v \cdot \text{grad}_x f_n$  are bounded sequences of  $L^1(\mathbf{R}^D \times \mathbf{R}^D)$ , but an elementary computation shows that the sequence of velocity averages satisfies

$$\int \chi(x) \left( \int f_n(x, v) \psi(v) dv \right) dx \rightarrow \psi(v^*) \int_0^{+\infty} e^{-t} \chi(tv^*) dt \quad (3)$$

for each test function  $\chi \in C_c(\mathbf{R}^D)$ . In particular the sequence of velocity averages is not even weakly relatively compact in  $L^1_{\text{loc}}(\mathbf{R}^D)$  since it converges in the sense of distributions to a density carried by the half-line  $\mathbf{R}_+ \cdot v^*$ . (This example was given in [7], pp. 123–124.)

## 2. Equiintegrability in $v$

The main result of this Note is that the lack of compactness in the example (3) can be eliminated if one assumes moreover that the family  $f_\varepsilon$  has “no concentrations in the variable  $v$ ”. The appropriate notion for our purpose is as follows

**DEFINITION 2.1.** – Let  $f_\varepsilon \equiv f_\varepsilon(x, v)$  be a bounded family of  $L^1_{\text{loc}}(\mathbf{R}^D \times \mathbf{R}^D)$ . It is said to be locally equiintegrable in  $v$  if and only if, for each  $\eta > 0$  and each compact  $K \subset \mathbf{R}^D \times \mathbf{R}^D$ , there exists  $\alpha > 0$  such that, for each measurable family  $(A_x)_{x \in \mathbf{R}^D}$  of measurable subsets of  $\mathbf{R}^D$  satisfying  $\sup_{x \in \mathbf{R}^D} |A_x| < \alpha$ , one has

$$\int \left( \int_{A_x} \mathbf{1}_K(x, v) |f_\varepsilon(x, v)| dv \right) dx < \eta$$

for each  $\varepsilon$ .

The following variant of the de la Vallée–Poussin criterion (see [13], p. 38) leads to a slightly more concrete formulation of the property of equiintegrability in  $v$ .

**PROPOSITION 2.2.** – A bounded family  $f_\varepsilon \equiv f_\varepsilon(x, v)$  of  $L^1_{\text{loc}}(\mathbf{R}^D \times \mathbf{R}^D)$  is locally equiintegrable in  $v$  if and only if, for each compact  $K \subset \mathbf{R}^D \times \mathbf{R}^D$ , there exists a positive increasing convex function  $\Phi$  defined on  $\mathbf{R}_+$  that satisfies  $\Phi(0) = 0$  and  $\Phi(z)/z \rightarrow +\infty$  as  $z \rightarrow +\infty$ , and is such that the family  $\mathbf{1}_K f_\varepsilon$  is bounded in (We denote by  $L^\Phi(\mathbf{R}^D)$  the Orlicz space of measurable functions  $f$  such that  $\Phi(|f|)$  belongs to  $L^1(\mathbf{R}^D)$ .)  $L^1(\mathbf{R}_x^D; L^\Phi(\mathbf{R}_v^D))$ .

Since this proposition is not necessary for our main result (Theorem 3.1 below) we choose to give its proof elsewhere (see [10]).

## 3. The compactness results

The main results in this Note are summarized in the following theorem.

**THEOREM 3.1.** – Let  $f_\varepsilon \equiv f_\varepsilon(x, v)$  be a bounded family of  $L^1_{\text{loc}}(\mathbf{R}^D \times \mathbf{R}^D)$  that is locally equiintegrable in  $v$  and such that the family  $v \cdot \text{grad}_x f_\varepsilon$  is also bounded in  $L^1_{\text{loc}}(\mathbf{R}^D \times \mathbf{R}^D)$ . Then

- the family  $f_\varepsilon$  is locally equiintegrable (in both variables  $x$  and  $v$ ) in  $\mathbf{R}^D \times \mathbf{R}^D$ ;
- for each  $\psi \in L^\infty_{\text{comp}}(\mathbf{R}^D)$ , the family of moments

$$\rho_\varepsilon(x) := \int f_\varepsilon(x, v) \psi(v) dv \text{ is relatively compact in } L^1_{\text{loc}}(\mathbf{R}^D). \quad (4)$$

## 4. Interpolation based on dispersion

Dispersion effects of the transport operator are well known: see [2] or [4]. The following statement is Proposition 1.11 in [3].

**LEMMA 4.1.** – Let  $\phi^0 \equiv \phi^0(x, v) \in L_x^p(L_v^q)$  for some  $1 \leq p < q \leq +\infty$ , and let  $\phi \equiv \phi(t, x, v)$  be the solution of the Cauchy problem

$$\partial_t \phi + v \cdot \text{grad}_x \phi = 0, \quad \phi(0, x, v) = \phi^0(x, v), \quad x, v \in \mathbf{R}^D. \quad (5)$$

Then, for all  $t \in \mathbf{R}^*$ ,

$$\|\phi(t, \cdot, \cdot)\|_{L_x^q(L_v^p)} \leq |t|^{-D(1/p - 1/q)} \|\phi^0\|_{L_x^p(L_v^q)}. \quad (6)$$

The proof of the first part of Theorem 3.1 uses the following interpolation formula.

LEMMA 4.2. – For each  $f \equiv f(x, v) \in L^1_{\text{comp}}(\mathbf{R}^D \times \mathbf{R}^D)$  such that  $v \cdot \text{grad}_x f$  belongs to  $L^1(\mathbf{R}^D \times \mathbf{R}^D)$  and each  $\phi^0 \in L^\infty(\mathbf{R}^D \times \mathbf{R}^D)$ , one has

$$\iint f(x, v)\phi^0(x, v) dx dv = \iint f(x, v)\phi(t, x, v) dx dv - \int_0^t \iint \phi(s, x, v)v \cdot \text{grad}_x f(x, v) ds dx dv \quad (7)$$

for all  $t \in \mathbf{R}^*$ , where  $\phi$  is the solution of (5).

*Proof.* – Apply Green's formula to the integral

$$\int_{\Omega} f(x, v)(\partial_t + v \cdot \text{grad}_x)\phi(s, x, v) ds dx dv = 0,$$

where  $\Omega = ]0, t[ \times \mathbf{R}^D \times \mathbf{R}^D$ .  $\square$

The proof of Theorem 3.1 uses Lemma 4.1 to estimate the right-hand side of (7); then one optimises in  $t \in \mathbf{R}_+^*$ .

## 5. Proof of the equiintegrability statement in Theorem 3.1

A first step in the proof of Theorem 3.1 is

LEMMA 5.1. – Under the same assumptions as in Theorem 3.1, the family  $\rho_\varepsilon$  in (4) is locally equiintegrable in  $\mathbf{R}^D$  for each  $\psi \in L^\infty_{\text{comp}}(\mathbf{R}^D)$ .

*Proof.* – Without loss of generality, assume that all the  $f_\varepsilon$ 's are supported in the same compact  $K \subset \mathbf{R}^D \times \mathbf{R}^D$ , that  $f_\varepsilon \geq 0$  a.e. and that  $\|\psi\|_{L^\infty} = 1$ . Let  $A$  be a measurable subset of  $\mathbf{R}^D$ ; let  $\phi^0(x, v) = \mathbf{1}_A(x)$  for each  $x, v \in \mathbf{R}^D$  and let  $\phi$  be the solution of (5). Pick  $\eta > 0$ ; Definition 2.1 associates  $\alpha > 0$  to this  $\eta$  and the compact  $K$ . Pick then  $t$  and  $\alpha'$  such that  $0 < t < \eta / \sup_\varepsilon \|v \cdot \text{grad}_x f_\varepsilon\|_{L^1}$  and  $0 < \alpha' < t^D \alpha$ .

First,  $\|\phi^0\|_{L_x^1(L_v^\infty)} = |A|$ . Secondly  $\phi$  takes its values in  $\{0, 1\}$  as does  $\phi^0$ . For each  $s > 0$  and  $x \in \mathbf{R}^D$ , define  $A(s)_x = \{v \in \mathbf{R}^D \mid \phi(s, x, v) = 1\}$ . With the choice of  $t$  as above, (6) implies that

$$|A(t)_x| = \|\phi(t, 0, 0)\|_{L_x^\infty(L_v^1)} \leq |A|/t^D < \alpha \quad \text{provided that } |A| < \alpha'. \quad (8)$$

Applying (7) with  $f_\varepsilon(x, v)\psi(v)$  in the place of  $f$  shows that, whenever  $|A| < \alpha'$ ,

$$\begin{aligned} \int \mathbf{1}_A(x)\rho_\varepsilon(x) dx &= \int \left( \int_{A(t)_x} f(x, v)\psi(v) dv \right) dx - \int_0^t \iint \phi(s, x, v)v \cdot \text{grad}_x f(x, v)\psi(v) ds dx dv \\ &\leq \eta + t\|\phi\psi\|_{L^\infty}\|v \cdot \text{grad}_x f\|_{L^1} \leq 2\eta. \end{aligned}$$

for each  $\varepsilon$ , which implies the equiintegrability of  $\rho_\varepsilon$ .  $\square$

The result in Lemma 5.1 was discovered in [14] under the assumption that  $f_\varepsilon$  is bounded in  $L_x^1(L_v^\infty)$ .

LEMMA 5.2. – Let  $g_\varepsilon \equiv g_\varepsilon(x, v)$  be a bounded family of  $L^1_{\text{loc}}(\mathbf{R}^D \times \mathbf{R}^D)$  that is locally equiintegrable in  $v$ . If for each  $R > 0$  the family

$$\int_{|v| \leq R} |g_\varepsilon(x, v)| dv \text{ is locally equiintegrable in } \mathbf{R}_x^D \quad (9)$$

then the family  $g_\varepsilon$  is locally equiintegrable in  $\mathbf{R}^D \times \mathbf{R}^D$  (in all variables  $x$  and  $v$ ).

*Proof.* – Without loss of generality assume that all the  $g_\varepsilon$ 's are supported in the same compact  $K \subset [-R, R]^D \times [-R, R]^D$ . Let  $B$  be a measurable subset of  $\mathbf{R}^D \times \mathbf{R}^D$ . For each  $x \in \mathbf{R}^D$  let  $B_x = \{v \in \mathbf{R}^D \mid (x, v) \in B\}$ . Consider the set  $E = \{x \in \mathbf{R}^D \mid |B_x| \leq |B|^{1/2}\}$ . Pick  $\eta > 0$ ; Definition 2.1 associates some  $\alpha_1 > 0$  to this  $\eta$  and the compact  $K$ . By assumption (9), there exists  $\alpha_2 > 0$  such that, for each measurable

$A \subset \mathbf{R}^D$  of measure  $|A| < \alpha_2$ ,

$$\int_A \left( \int_{|v| \leqslant R} |g_\varepsilon(x, v)| dv \right) dx < \eta. \quad (10)$$

Assume that  $|B| < \inf(\alpha_1^2, \alpha_2^2)$ ; since one has clearly  $|E^c| \leqslant |B|^{1/2} < \alpha_2$  by the Bienaymé–Chebychev inequality,

$$\iint \mathbf{1}_B |g_\varepsilon| dx dv \leqslant \int_E \left( \int_{B_x} |g_\varepsilon(x, v)| dv \right) dx + \int_{E^c} \left( \int_{|v| \leqslant R} |g_\varepsilon(x, v)| dv \right) dx \leqslant \eta + \eta$$

for each  $\varepsilon$ , by using Definition 2.1 and estimate (10). Therefore the family  $g_\varepsilon$  is equiintegrable in both variables  $x$  and  $v$ .  $\square$

The first statement in Theorem 3.1 easily follows from both Lemmas 5.1 and 5.2. The classical formula  $v \cdot \text{grad}_x |f_\varepsilon| = \text{sgn}(f_\varepsilon)(v \cdot \text{grad}_x f_\varepsilon)$  shows that  $|f_\varepsilon|$  satisfies the assumptions of Theorem 3.1 if  $f_\varepsilon$  does. Further,  $v \cdot \text{grad}_x (\chi f_\varepsilon) = \chi(v \cdot \text{grad}_x f_\varepsilon) + f_\varepsilon(v \cdot \text{grad}_x \chi)$  is bounded in  $L^1(\mathbf{R}^D \times \mathbf{R}^D)$  if  $f_\varepsilon$  satisfies the assumptions of Theorem 3.1 and if  $\chi$  is a smooth compactly supported bump function. Therefore one can assume that the  $f_\varepsilon$ 's are nonnegative and supported in the same compact  $K \subset \mathbf{R}^D \times \mathbf{R}^D$  without loss of generality.

By Lemma 5.1 applied in the case where  $\psi(v) = \mathbf{1}_{|v| \leqslant R}$ , the family of moments

$$\int_{|v| \leqslant R} f_\varepsilon(x, v) dv \text{ is equiintegrable in } \mathbf{R}_x^D.$$

By Lemma 5.2, this and the fact that the family  $f_\varepsilon$  is assumed to be locally equiintegrable in  $v$  implies the first statement of Theorem 3.1.

## 6. Proof of the strong compactness statement in Theorem 3.1

For each  $\lambda > 0$ , define  $R_\lambda = (\lambda I + v \cdot \text{grad}_x)^{-1}$  the resolvent of the transport operator  $v \cdot \text{grad}_x$  on  $L^1(\mathbf{R}^D \times \mathbf{R}^D)$ . One easily see that  $R_\lambda$  is given by the formula

$$(R_\lambda g)(x, v) = \int_0^{+\infty} e^{-\lambda t} g(x - tv, v) dt$$

for all  $g \in L^1(\mathbf{R}^D \times \mathbf{R}^D)$ . In particular

$$\text{for each } \lambda > 0, \quad \|R_\lambda\|_{L(L^1)} = \frac{1}{\lambda}. \quad (11)$$

We begin with an amplification of Theorem 3 of [7].

**PROPOSITION 6.1.** – Let  $f_\varepsilon \equiv f_\varepsilon(x, v)$  be a locally equiintegrable family of  $L^1(\mathbf{R}^D \times \mathbf{R}^D)$  such that  $v \cdot \text{grad}_x f_\varepsilon$  is a bounded family of  $L^1(\mathbf{R}^D \times \mathbf{R}^D)$ . Then for each  $\psi \in L_{\text{comp}}^\infty(\mathbf{R}^D)$ , the family of moments

$$\rho_\varepsilon(x) := \int f_\varepsilon(x, v) \psi(v) dv \text{ is relatively compact in } L_{\text{loc}}^1(\mathbf{R}^D).$$

Theorem 3 of [7] reached the same conclusion under the assumption that both  $f_\varepsilon$  and  $v \cdot \text{grad}_x f_\varepsilon$  are locally equiintegrable.

The second statement of Theorem 3.1 is a direct consequence of the first statement and Proposition 6.1.

*Proof.* – Without loss of generality, assume that the  $f_\varepsilon$ 's are supported in the same compact  $K \subset \mathbf{R}^D \times \mathbf{R}^D$ . Then, for each  $\varepsilon$  and each  $\lambda > 0$ , one has

$$\int f_\varepsilon(x, v) \psi(v) dv = \lambda \int (R_\lambda f_\varepsilon)(x, v) \psi(v) dv + \int [R_\lambda(v \cdot \text{grad}_x f_\varepsilon)](x, v) \psi(v) dv. \quad (12)$$

Pick  $\eta > 0$  and set  $\lambda = \sup_\varepsilon \|v \cdot \text{grad}_x f_\varepsilon\|_{L^1} \|\psi\|_{L^\infty} / \eta$ . In the right-hand side of (12), the second term has norm no greater than  $\eta$  in  $L^1(\mathbf{R}^D)$  by (11) and the choice of  $\lambda$  above. For this  $\lambda$ , the family  $\lambda \int (R_\lambda f_\varepsilon)(x, v) \psi(v) dv$  is relatively compact in  $L^1(\mathbf{R}^D)$  since  $f_\varepsilon$  is equiintegrable on  $\mathbf{R}^D \times \mathbf{R}^D$ , by Theorem 3 of [8]. Hence, for each  $\eta > 0$ , there exists a compact set  $\mathcal{K}_\eta \subset L^1(\mathbf{R}^D)$  such that the family  $\rho_\varepsilon$  lies in  $\mathcal{K}_\eta + B(0, \eta)$ . Therefore this family is precompact.  $\square$

## 7. Extensions and applications

Although the results in Theorem 3.1 use the dispersion properties of the transport operator that are of a global nature, all these results are local. Indeed, if  $f_\varepsilon$  satisfies the assumptions in Theorem 3.1, so does  $\chi f_\varepsilon$ , for any bump function  $\chi \equiv \chi(x) \in C_c^\infty(\mathbf{R}^D)$ . Thus, Theorem 3.1 also holds when the variable  $x$  lies in either a regular open set  $\Omega$  of  $\mathbf{R}^D$  or the  $D$ -torus  $\mathbf{T}^D$ .

The interpolation mechanism used in the proof of Proposition 6.1 can also be used to study the regularity (in the sense of Besov spaces) of  $\rho$  defined as in (1) under the assumption that  $f \in L_{x,v}^p$  and  $v \cdot \text{grad}_x f \in L_{x,v}^q$  with different  $p$ 's and  $q$ 's. We shall return to these questions in [10].

An analogue of Theorem 3.1 for some scaled evolution transport operator is a key ingredient in the proof of the incompressible Navier–Stokes limit for the BGK (see [15]) or the Boltzmann equations (see [9]).

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