

Harnack estimates for geometric flows, applications to Ricci flow coupled with harmonic map flow

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Abstract We derive Harnack estimates for heat and conjugate heat equations in abstract geometric flows. The main results lead to new Harnack inequalities for a variety of geometric flows. In particular, Harnack inequalities for the Ricci flow coupled with Harmonic map flow are obtained.

Keywords Ricci flow · Conjugate heat equation · Harnack estimate

Mathematics Subject Classification (1991) Primary 53C44

1 Introduction

Assume that M is an n -dimensional compact manifold endowed with a one-parameter family of Riemannian metrics $g(t)$ evolving along the general flow equation

$$\frac{\partial g(t, x)}{\partial t} = -2\alpha(t, x) \quad (1.1)$$

which exists on $[0, T)$. Here $\alpha(t, x)$ is a one-parameter family of smooth symmetric two tensors on M . In particular when $\alpha = \text{Rc}$ Eq. (1.1) is Hamilton's Ricci flow. Let

$$A(t, x) \doteq g^{ij}\alpha_{ij}$$

be the trace of α with respect to the time-dependent metric $g(t)$.

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In [9], Reto Müller studied reduced volume for the abstract flow (1.1). Müller defined an interesting quantity for the tensor α by

$$\mathcal{D}_\alpha(V) \doteq \frac{\partial A}{\partial t} - \Delta A - 2|\alpha|^2 + 2 \langle \text{Rc} - \alpha \rangle (V, V) + \langle 4 \text{Div}(\alpha) - 2\nabla A, V \rangle \quad (1.2)$$

where Div is the divergence operator defined by $\text{Div}(\alpha)_k = g^{ij} \nabla_i \alpha_{jk}$ in local coordinates.

Under the assumption that \mathcal{D}_α is nonnegative, Müller obtained monotonicity of the reduced volumes. For any vector field V , $\mathcal{D}_\alpha(V)$ is nonnegative in the following flows: static manifold with nonnegative Ricci curvature, Hamilton’s Ricci flow (in fact $\mathcal{D} = 0$ in this case), List’s extended Ricci flow [8], Müller’s Ricci flow coupled with Harmonic map flow [10] and Lorenzian mean curvature flow when the ambient space has nonnegative sectional curvature. See [9] for details.

In a recent preprint [5], the authors proved monotonicity of the entropy and lowest eigenvalue in abstract flow (1.1) when $\mathcal{D}_\alpha \geq 0$.

The purpose of this note is to prove Harnack inequalities in the abstract setting with $\mathcal{D}_\alpha \geq 0$. In Sect. 2 we derive Harnack estimates for the conjugate heat equation, while in Sect. 3 for the forward heat equation with potential.

As applications, we apply our abstract formulations to the Ricci flow coupled with harmonic map flow and obtain Harnack estimates for this flow.

2 Harnack for the conjugate heat equation

Assume u is a positive solution to the conjugate heat equation

$$\frac{\partial u}{\partial t} = -\Delta u + Au \quad (2.1)$$

where Δ is the time-dependent Laplace–Beltrami operator with respect to $g(t)$. For the derivative of Δ we have

$$\left(\frac{\partial}{\partial t} \Delta \right) f = 2\langle \alpha, \nabla \nabla f \rangle + \langle 2 \text{Div}(\alpha) - \nabla A, \nabla f \rangle \quad (2.2)$$

where f is any smooth function on M . The formula can be found in standard textbooks, for instance [3].

Let

$$P \doteq 2\Delta \log u + |\nabla \log u|^2 - A + \frac{2n}{\tau} \quad (2.3)$$

where $\tau \doteq T - t$.

Lemma 2.1 *Along the flow (1.1), P satisfies*

$$\begin{aligned} \frac{\partial P}{\partial \tau} &= \Delta P + 2\langle \nabla P, \nabla \log u \rangle - \frac{2P}{\tau} + 2 \left| \nabla \nabla \log u - \alpha + \frac{1}{\tau} g \right|^2 \\ &\quad + \frac{2}{\tau} |\nabla \log u|^2 + \frac{2A}{\tau} + \mathcal{D}_\alpha(-\nabla \log u). \end{aligned} \quad (2.4)$$

Proof For any positive solution u to the conjugate heat Eq. (2.1) one has

$$\frac{\partial}{\partial t} \log u = \frac{\partial_t u}{u} = -\frac{\Delta u}{u} + A = -\Delta \log u - |\nabla \log u|^2 + A.$$

Notice that $\tau = T - t$ and we have

$$\begin{aligned} \frac{\partial}{\partial \tau} (\Delta \log u) &= -\frac{\partial \Delta}{\partial t} \log u - \Delta \left(\frac{\partial \log u}{\partial t} \right) \\ &= -2\langle \alpha, \nabla \nabla \log u \rangle - (2 \operatorname{Div} \alpha - \nabla A, \nabla \log u) \\ &\quad + \Delta (\Delta \log u + |\nabla \log u|^2 - A) \end{aligned}$$

and

$$\begin{aligned} \frac{\partial}{\partial \tau} (|\nabla \log u|^2) &= -2\alpha(\nabla \log u, \nabla \log u) \\ &\quad + 2\langle \nabla (\Delta \log u + |\nabla \log u|^2 - A), \nabla \log u \rangle. \\ \frac{\partial P}{\partial \tau} &= 2\frac{\partial}{\partial \tau} \Delta \log u + \frac{\partial}{\partial \tau} |\nabla \log u|^2 - \frac{\partial A}{\partial \tau} - \frac{2n}{\tau^2} \\ &= -4\langle \alpha, \nabla \nabla \log u \rangle - \langle 4 \operatorname{Div} \alpha - 2\nabla A, \nabla \log u \rangle \\ &\quad + \Delta (2\Delta \log u + 2|\nabla \log u|^2 - 2A) - 2\alpha(\nabla \log u, \nabla \log u) \\ &\quad + 2\langle \nabla (\Delta \log u + |\nabla \log u|^2 - A), \nabla \log u \rangle - \frac{\partial A}{\partial \tau} - \frac{2n}{\tau^2} \\ &= -4\langle \alpha, \nabla \nabla \log u \rangle - \langle 4 \operatorname{Div} \alpha - 2\nabla A, \nabla \log u \rangle \\ &\quad + \Delta (P + |\nabla \log u|^2 - A) - 2\alpha(\nabla \log u, \nabla \log u) \\ &\quad + 2\langle \nabla (\Delta \log u + |\nabla \log u|^2 - A), \nabla \log u \rangle - \frac{\partial A}{\partial \tau} - \frac{2n}{\tau^2} \end{aligned}$$

and then by the Bochner formula

$$\Delta |\nabla \log u|^2 = 2|\nabla \nabla \log u|^2 + 2 \operatorname{Rc} (\nabla \log u, \nabla \log u) + 2\langle \nabla (\Delta \log u), \nabla \log u \rangle$$

we have

$$\begin{aligned} \frac{\partial P}{\partial \tau} &= 2|\nabla \nabla \log u|^2 - 4\langle \alpha, \nabla \nabla \log u \rangle - \langle 4 \operatorname{Div} \alpha - 2\nabla A, \nabla \log u \rangle + \Delta P \\ &\quad + 2(\operatorname{Rc} - \alpha)(\nabla \log u, \nabla \log u) + 2\langle \nabla P, \nabla \log u \rangle - \frac{\partial A}{\partial \tau} - \frac{2n}{\tau^2} - \Delta A \\ &= 2 \left| \nabla \nabla \log u - \alpha + \frac{1}{\tau} g \right|^2 - 2|\alpha|^2 - \frac{2n}{\tau^2} + \frac{4}{\tau} A - \frac{4}{\tau} \Delta \log u \\ &\quad - \langle 4 \operatorname{Div} \alpha - 2\nabla A, \nabla \log u \rangle + \Delta P \\ &\quad + 2(\operatorname{Rc} - \alpha)(\nabla \log u, \nabla \log u) + 2\langle \nabla P, \nabla \log u \rangle - \frac{\partial A}{\partial \tau} - \frac{2n}{\tau^2} - \Delta A \\ &= \Delta P + 2\langle \nabla P, \nabla \log u \rangle + 2 \left| \nabla \nabla \log u - \alpha + \frac{1}{\tau} g \right|^2 \\ &\quad - \frac{2}{\tau} P + \frac{2}{\tau} A + \frac{2}{\tau} |\nabla \log u|^2 - \frac{\partial A}{\partial \tau} - 2|\alpha|^2 - \Delta A \\ &\quad + 2(\operatorname{Rc} - \alpha)(\nabla \log u, \nabla \log u) - \langle 4 \operatorname{Div} \alpha - 2\nabla A, \nabla \log u \rangle \end{aligned}$$

Notice that $\frac{\partial A}{\partial \tau} = -\frac{\partial A}{\partial t}$ and by the definition of \mathcal{D} we see the last five terms of the above is nothing but $\mathcal{D}_\alpha(-\nabla \log u)$. □

Theorem 2.2 *Under the same assumptions as in Lemma 2.1, if for $t \in [0, T)$, $\frac{2}{\tau}|V|^2 + \frac{2}{\tau}A + \mathcal{D}_\alpha(V) \geq 0$, in particular if*

$$\mathcal{D}_\alpha(V) \geq 0, \quad \text{and} \quad A \geq 0$$

then

$$2\Delta \log u + |\nabla \log u|^2 - A + \frac{2n}{\tau} \geq 0. \tag{2.5}$$

Moreover, for any two points $(x_1, t_1), (x_2, t_2) \in M \times (0, T)$ with $t_1 < t_2$ one has

$$u(x_2, t_2) \leq u(x_1, t_1) \left(\frac{T - t_1}{T - t_2} \right)^n \exp \left(\frac{1}{2} \int_{t_1}^{t_2} (|\gamma'(t)|^2 + A) dt \right) \tag{2.6}$$

where $\gamma(s) : [t_1, t_2] \rightarrow M$ is a smooth curve connecting x_1 and x_2 with $\gamma(t_i) = x_i, i = 1, 2$.

Proof Under the assumption that $\frac{2}{\tau}|V|^2 + \frac{2}{\tau}A + \mathcal{D}_\alpha(V) \geq 0$ we can conclude from Eq. (2.4) that

$$\frac{\partial P}{\partial \tau} \geq \Delta P + 2\langle \nabla P, \nabla \log u \rangle - \frac{2P}{\tau}$$

Notice that for τ sufficiently small we have $P > 0$ and by the maximum principle we know that $P \geq 0$ for all $\tau \in (0, T)$. This proves (2.5).

As standard, integrating (2.5) we have (2.6). Indeed, along a smooth curve γ we have

$$\begin{aligned} \frac{d}{dt} \log u(\gamma(t), t) &= \langle \nabla \log u, \gamma' \rangle + \frac{\partial \log u}{\partial t} \\ &= \langle \nabla \log u, \gamma' \rangle - \Delta \log u - |\nabla \log u|^2 + A \\ &\leq \langle \nabla \log u, \gamma' \rangle - \frac{1}{2}|\nabla \log u|^2 + \frac{A}{2} + \frac{n}{T-t} \\ &\leq \frac{1}{2} (|\gamma'|^2 + A) + \frac{n}{T-t} \end{aligned}$$

and moreover

$$\begin{aligned} \log \frac{u(x_2, t_2)}{u(x_1, t_1)} &\leq \int_{t_1}^{t_2} \left(\frac{1}{2} (|\gamma'|^2 + A) + \frac{n}{T-t} \right) dt \\ &= n \log \frac{T - t_1}{T - t_2} + \frac{1}{2} \int_{t_1}^{t_2} (|\gamma'|^2 + A) dt \end{aligned}$$

and this proves the classical Harnack inequality (2.6). □

When the metric is static, i.e. $\alpha = 0$ we know that \mathcal{D} is nonnegative when (M, g) has nonnegative Ricci curvature. Thus for positive solutions to the heat equation one has (2.5) and (2.6) which are however weaker than the Li-Yau Harnack.

In the case of Ricci flow where $\alpha = \text{Rc}$ and $\mathcal{D}_\alpha(V) = 0$, (2.5) and (2.6) have been independently proved by Cao [1] and Kuang-Zhang [7] for nonnegative scalar curvature.

In the following we show new Harnack inequalities in the Ricci flow coupled with harmonic map flow. Suppose that (N, γ) is a compact static Riemannian manifold, $a(t)$ a non-negative and non-increasing function depending only on time, and $\varphi(t) : M \rightarrow N$ a family

of 1-parameter smooth maps. Then $(g(t), \varphi(t))$ is called a solution to Müller’s Ricci flow coupled with harmonic map flow with coupling function $a(t)$, if it satisfies

$$\begin{aligned} \frac{\partial g}{\partial t} &= -2 \operatorname{Rc} + 2a(t)\nabla\varphi \otimes \nabla\varphi \\ \frac{\partial \varphi}{\partial t} &= \tau_g\varphi \end{aligned} \tag{2.7}$$

where τ_g denotes the tension field of the map φ with respect to the evolving metric $g(t)$.

Corollary 2.3 *Assume that $(M, g(t))$ is a solution to (2.7) with*

$$R(0) - a(0)|\nabla\varphi|_{t=0}^2 \geq 0$$

then for any positive solution to

$$\frac{\partial u}{\partial t} = -\Delta u + (R - a(t)|\nabla\varphi|^2) u$$

we have

$$2\Delta \log u + |\nabla \log u|^2 - (R - a(t)|\nabla\varphi|^2) + \frac{2n}{\tau} \geq 0. \tag{2.8}$$

Moreover, for any two points $(x_1, t_1), (x_2, t_2) \in M \times (0, T)$ with $t_1 < t_2$ one has

$$u(x_2, t_2) \leq u(x_1, t_1) \left(\frac{T - t_1}{T - t_2} \right)^n \exp \left(\frac{1}{2} \int_{t_1}^{t_2} (|\gamma'(t)|^2 + R - a(t)|\nabla\varphi|^2) dt \right) \tag{2.9}$$

where $\gamma(s) : [t_1, t_2] \rightarrow M$ is a smooth curve connecting x_1 and x_2 with $\gamma(t_i) = x_i, i = 1, 2$.

Proof \mathcal{D} is nonnegative in the Ricci flow coupled with harmonic map flow, and nonnegativity of $R - a(t)|\nabla\varphi|^2$ is preserved by the flow (see [10] for details). Thus the assumption in Theorem 2.2 is satisfied and the conclusions follow. □

Remark 2.4 As pointed out to us by the referee, (2.8) was independently proved by Zhu in [11] by a direct computation. While we here conclude (2.8) from the much more general result in Theorem 2.2.

3 Harnack for the heat equation with potential

In this section we consider the forward heat equation. Assume u is a positive solution to

$$\frac{\partial u}{\partial t} = \Delta u + Au \tag{3.1}$$

In this section, we shall use another notation also introduced by Müller in [9]. To understand more about the quantity \mathcal{D} , Müller introduced

$$\mathcal{H}_\alpha(V) \doteq \frac{\partial A}{\partial t} + \frac{A}{t} - 2\langle \nabla A, V \rangle + 2\alpha(V, V) \tag{3.2}$$

If the flow is Hamilton’s Ricci flow, then

$$\mathcal{H}(V) = \frac{\partial R}{\partial t} + \frac{R}{t} - 2\langle \nabla R, V \rangle + 2\operatorname{Rc}(V, V)$$

which is nonnegative if $g(0)$ has nonnegative curvature operator by Hamilton’s trace Harnack inequality for the Ricci flow [6].

Following Cao-Hamilton’s work in the Ricci flow [2], we define

$$H \doteq 2\Delta \log u + |\nabla \log u|^2 + 3A + \frac{2n}{t} \tag{3.3}$$

and prove that

Lemma 3.1 *Along the flow (1.1), for any positive solution to (3.1) H satisfies*

$$\begin{aligned} \frac{\partial H}{\partial t} &= \Delta H + 2\langle \nabla H, \nabla \log u \rangle - \frac{2H}{t} + 2 \left| \nabla \nabla \log u + \alpha + \frac{1}{t}g \right|^2 \\ &\quad + \frac{2}{t}|\nabla \log u|^2 + 2\mathcal{H}_\alpha(\nabla \log u) + \mathcal{D}_\alpha(\nabla \log u). \end{aligned} \tag{3.4}$$

Proof For any positive solution u to Eq. (3.1) one has

$$\frac{\partial}{\partial t} \log u = \frac{\partial_t u}{u} = \frac{\Delta u}{u} + A = \Delta \log u + |\nabla \log u|^2 + A.$$

Notice that

$$\begin{aligned} \frac{\partial}{\partial t} (\Delta \log u) &= \frac{\partial \Delta}{\partial t} \log u + \Delta \left(\frac{\partial}{\partial t} \log u \right) \\ &= 2\langle \alpha, \nabla \nabla \log u \rangle + \langle 2 \operatorname{Div}(\alpha) - \nabla A, \nabla \log u \rangle \\ &\quad + \Delta (\Delta \log u + |\nabla \log u|^2 + A) \end{aligned}$$

and

$$\frac{\partial}{\partial t} |\nabla \log u|^2 = 2\alpha(\nabla \log u, \nabla \log u) + 2\langle \nabla (\Delta \log u + |\nabla \log u|^2 + A), \nabla \log u \rangle$$

We have

$$\begin{aligned} \frac{\partial H}{\partial t} &= 2\frac{\partial}{\partial t} \Delta \log u + \frac{\partial}{\partial t} |\nabla \log u|^2 + 3\frac{\partial A}{\partial t} - \frac{2n}{t^2} \\ &= 4\langle \alpha, \nabla \nabla \log u \rangle + \langle 4 \operatorname{Div}(\alpha) - 2\nabla A, \nabla \log u \rangle + \Delta (H + |\nabla \log u|^2 - A) \\ &\quad + 2\alpha(\nabla \log u, \nabla \log u) + 2\langle \nabla (\Delta \log u + |\nabla \log u|^2 + A), \nabla \log u \rangle \\ &\quad + 3\frac{\partial A}{\partial t} - \frac{2n}{t^2} \\ &= \Delta H + 2|\nabla \nabla \log u|^2 + 4\langle \alpha, \nabla \nabla \log u \rangle + 2 \operatorname{Rc}(\nabla \log u, \nabla \log u) \\ &\quad + 2\alpha(\nabla \log u, \nabla \log u) + 2\langle \nabla (2\Delta \log u + |\nabla \log u|^2 + A), \nabla \log u \rangle \\ &\quad + 3\frac{\partial A}{\partial t} - \frac{2n}{t^2} + \langle 4 \operatorname{Div}(\alpha) - 2\nabla A, \nabla \log u \rangle - \Delta A \\ &= \Delta H + 2 \left| \nabla \nabla \log u + \alpha + \frac{1}{t}g \right|^2 - 2|\alpha|^2 - \frac{2n}{t^2} - \frac{4\Delta \log u}{t} - \frac{4A}{t} \\ &\quad + 2 \operatorname{Rc}(\nabla \log u, \nabla \log u) + 2\alpha(\nabla \log u, \nabla \log u) + 2\langle \nabla (H - 2A), \nabla \log u \rangle \\ &\quad + 3\frac{\partial A}{\partial t} - \frac{2n}{t^2} + \langle 4 \operatorname{Div}(\alpha) - 2\nabla A, \nabla \log u \rangle - \Delta A \end{aligned}$$

$$\begin{aligned}
 &= \Delta H + 2 \left| \nabla \nabla \log u + \alpha + \frac{1}{t}g \right|^2 - 2|\alpha|^2 - \frac{2H}{t} + \frac{2}{t}|\nabla \log u|^2 + \frac{2A}{t} \\
 &\quad + 2 \operatorname{Rc}(\nabla \log u, \nabla \log u) + 2\alpha(\nabla \log u, \nabla \log u) + 2\langle \nabla H, \nabla \log u \rangle \\
 &\quad - 4\langle \nabla A, \nabla \log u \rangle + 3\frac{\partial A}{\partial t} + (4 \operatorname{Div}(\alpha) - 2\nabla A, \nabla \log u) - \Delta A \\
 &= \Delta H + 2\langle \nabla H, \nabla \log u \rangle - \frac{2H}{t} + 2 \left| \nabla \nabla \log u + \alpha + \frac{1}{t}g \right|^2 + \frac{2}{t}|\nabla \log u|^2 \\
 &\quad + 2\frac{\partial A}{\partial t} + \frac{2A}{t} - 4\langle \nabla A, \nabla \log u \rangle + 4\alpha(\nabla \log u, \nabla \log u) \\
 &\quad + \frac{\partial A}{\partial t} - \Delta A - 2|\alpha|^2 + 2(\operatorname{Rc} - \alpha)(\nabla \log u, \nabla \log u) \\
 &\quad + (4 \operatorname{Div}(\alpha) - 2\nabla A, \nabla \log u) \\
 &= \Delta H + 2\langle \nabla H, \nabla \log u \rangle - \frac{2H}{t} + 2 \left| \nabla \nabla \log u + \alpha + \frac{1}{t}g \right|^2 + \frac{2}{t}|\nabla \log u|^2 \\
 &\quad + 2\mathcal{H}_\alpha(\nabla \log u) + \mathcal{D}_\alpha(\nabla \log u)
 \end{aligned}$$

□

Theorem 3.2 *Under the same assumptions as in Lemma 3.1, if $2\mathcal{H}_\alpha(V) + \mathcal{D}_\alpha(V) + \frac{2}{t}|V|^2 \geq 0$, in particular if $\mathcal{H}_\alpha(V) \geq 0$ and $\mathcal{D}_\alpha(V) \geq 0$ then*

$$2\Delta \log u + |\nabla \log u|^2 + 3A + \frac{2n}{t} \geq 0 \tag{3.5}$$

and for any two points $(x_1, t_1), (x_2, t_2) \in M \times (0, T)$ with $t_1 < t_2$ we have

$$u(x_1, t_1) \leq u(x_2, t_2) \left(\frac{t_2}{t_1} \right)^n \exp \left(\frac{1}{2} \int_{t_1}^{t_2} (|\gamma'(t)|^2 + A) dt \right) \tag{3.6}$$

where $\gamma(s) : [t_1, t_2] \rightarrow M$ is a smooth curve connecting x_1 and x_2 with $\gamma(t_i) = x_i, i = 1, 2$.

Proof The proof is analogous to the proof of Theorem 2.2. We omit details. □

- Remark 3.3**
1. In the static case, where $A = 0$ Eqs. (2.5) and (3.5) give the same estimate.
 2. In the Ricci flow, Hamilton has already proved nonnegativity of \mathcal{H} under nonnegative curvature operator assumption [6]. Thus assuming that $(M, g(0))$ has nonnegative curvature operator, one has Eqs. (3.5) and (3.6). This has been proved in [2].
 3. For the Ricci flow coupled with Harmonic map flow (2.7), under assumption that $\mathcal{H}_\alpha(V)$ is nonnegative, Harnack estimates (3.5) and (3.6) hold. We note that Fang [4] has proved Eq. (3.5) under the assumption that $\mathcal{H}_\alpha(V) \geq 0$ in List’s extended Ricci flow, which is a special case of the Ricci flow coupled with harmonic map flow (2.7). It would be interesting to see whether one can prove nonnegativity of \mathcal{H} under reasonable assumptions by generalizing Hamilton’s arguments of the trace Harnack for the Ricci flow [6].

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