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THE CLASSICAL VERSION OF STOKES' THEOREM REVISITED

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Abstract. Using only fairly simple and elementary considerations - essentially from first year undergraduate mathematics - we show how the classical Stokes' theorem for any given surface and vector field in $\mathbb{R}^3$ follows from an application of Gauss' divergence theorem to a suitable modification of the vector field in a tubular shell around the given surface. The two stated classical theorems are (like the fundamental theorem of calculus) nothing but shadows of the general version of Stokes' theorem for differential forms on manifolds. The main points in the present paper, however, is firstly that this latter fact usually does not get within reach for students in first year calculus courses and secondly that calculus textbooks in general only just hint at the correspondence alluded to above. Our proof that Stokes' theorem follows from Gauss' divergence theorem goes via a well known and often used exercise, which simply relates the concepts of divergence and curl on the local differential level. The rest of the paper uses only integration in 1, 2, and 3 variables together with a 'fattening' technique for surfaces and the inverse function theorem.

1. Introduction

One of the most elegant and useful results concerning vector fields in $\mathbb{R}^3$, is the classical version of Stokes’ theorem. It is one of those important results, which is so nicely molded from analysis, calculus, geometry, and linear algebra that it forms a solid basis for and indeed an integral part of the final fireworks and climax of first year undergraduate mathematics education. At the same time Stokes’ theorem points forward into a wealth of deep applications in electromagnetism, in fluid dynamics, and in mathematics itself, to mention but a few of the most significant fields of applications. Such results serve as indispensable bootstraps for university students en masse - be they students of engineering, of physics, of biology, of chemistry, of mathematics, etc.; see e.g. [FLS], [She].
It is the purpose of this paper to facilitate the presentation, i.e. the undergraduate teaching, of Stokes’ theorem by suggesting and unfolding a proof, which shows that it is a direct consequence of Gauss’ divergence theorem. In the process there are also a few other useful insights and geometric observations to be (re)visited. The first pertinent observation is the following quotation from [C] concerning the history of Stokes’ theorem (see also [K] p. 790):

The history of Stokes’ Theorem is clear but very complicated. It was first given by Stokes without proof - as was necessary - since it was given as an examination question for the Smith’s Prize Examination of that year [at Cambridge in 1854]! Among the candidates for the prize was Maxwell, who later traced to Stokes the origin of the theorem, which by 1870 was frequently used. On this see George Gabriel Stokes, Mathematical and Physical Papers, vol. V (Cambridge, England, 1905), 320–321. See also the important historical footnote which indicates that Kelvin in a letter of 1850 was the first who actually stated the theorem, although others as Ampère had employed ”the same kind of analysis ... in particular cases.”

M. J. Crowe, [C] p. 147.

Outline of paper. After a presentation of Gauss’ theorem and Stokes’ theorem in section 2 we recall (in section 3) the connection between curl and divergence which was alluded to in the abstract. In the following sections we then set up the notation and the results needed in order to make this work reasonably self contained on the level of first year undergraduate mathematics. The main goal is to relate integration over the shell extension of a given surface with the integration along the boundary surfaces of this extension. The proof of Stokes’ theorem is finally completed in section 9.

2. Fundamental theorems of calculus

Gauss’ divergence theorem is of the same calibre as Stokes’ theorem. They are both members of a family of results which are concerned with ’pushing the integration to the boundary’. The eldest member of this family is the following:

**Theorem 2.1** (Fundamental theorem of calculus). Let $f$ be a continuous function on $\mathbb{R}$. Then the function

$$A(x) = \int_0^x f(u) \, du$$
is differentiable with
\[ A'(x) = f(x) \],
and moreover, if \( F(x) \) is any (other) function satisfying \( F'(x) = f(x) \), then
\[ \int_a^b f(u) \, du = F(b) - F(a) \].

The message of this theorem is that two fundamental problems - that of finding a function whose derivative is a given function and that of finding the average of a given function - have a common solution. It is also the first result which displays - in equation (2.2) - the astounding success of 'pushing the integration to the boundary'. Compare with the main 'actors' of the present paper, Theorems 2.3 and 2.4 below.

The divergence theorem is not - conceptually speaking - 'far' from the fundamental theorem of calculus. Most textbook proofs of the divergence theorem covers only the special setting of a domain whose boundary consists of the graphs of two functions, each of two variables. This enables in fact a direct proof in this special case via Theorem 2.1, see [EP] pp. 1058–1059. Stokes' theorem is a little harder to grasp, even locally, but follows also in the corresponding setting (for graph surfaces) from Gauss' theorem for planar domains, see [EP] pp. 1065–1066.

This approach suggests indirectly that the full classical Stokes' theorem (for general surfaces) should follow directly from Gauss' divergence theorem (for general domains). The main part of the present paper will be devoted to a proof following this idea.

The most compact as well as the most general form of Stokes' theorem reads as follows (see e.g. [Mu] p. 353, [G], [doC] pp. 60 ff., [Spi] p. 124):

**Theorem 2.2** (Stokes' theorem, general version). Let \( \omega \) denote a differential \((k - 1)\)-form on a compact orientable manifold \( \Omega^k \). Suppose that \( \Omega \) has a smooth and compact boundary \( \partial \Omega \) with the induced orientation, and let \( d\omega \) denote the differential of \( \omega \). Then
\[ \int_{\Omega} d\omega = \int_{\partial \Omega} \omega \].

This statement contains as corollaries both Gauss' divergence theorem for domains in \( \mathbb{R}^3 \), and Stokes' theorem for surfaces in \( \mathbb{R}^3 \). See e.g. [Mu] pp. 319–320. As mentioned above it is these latter theorems - not the general version of Stokes’ theorem - that will be the main concern in this paper. Here are the statements:
Theorem 2.3 (Gauss’ divergence theorem). Let \( \Omega \) denote a compact domain in \( \mathbb{R}^3 \) with piecewise smooth boundary \( \partial \Omega \) and outward pointing unit normal vector field \( n_{\partial \Omega} \) on \( \partial \Omega \). Let \( V \) be a vector field in \( \mathbb{R}^3 \). Then
\[
\int_{\Omega} \text{div}(V) \, d\mu = \int_{\partial \Omega} V \cdot n_{\partial \Omega} \, d\nu .
\]

Theorem 2.4 (Stokes’ theorem, classical version). Let \( F \) denote a compact, orientable, regular and smooth surface with piecewise smooth boundary \( \partial F \) and unit normal vector field \( n_F \). Let \( V \) be a vector field in \( \mathbb{R}^3 \). Then
\[
\int_{F} \text{curl}(V) \cdot n_F \, d\mu = \int_{\partial F} V \cdot e_{\partial F} \, d\sigma .
\]

When calculating the right hand side, i.e. the tangential curve integral (the circulation of \( V \)) along the boundary \( \partial F \), the orientation \( e_{\partial F} \) of the boundary must be chosen so that the cross product \( e_{\partial F} \times n_F \) at the boundary points away from the surface.

3. A bridge between divergence and curl

We begin by stating a connection between divergence and curl.

Observation 3.1 (Exercise). Let \( V(x, y, z) \) and \( W(x, y, z) \) denote two smooth vector fields in \( \mathbb{R}^3 \). Then the following identity holds true:
\[
\text{div}(V \times W) = \text{curl}(V) \cdot W + V \cdot \text{curl}(W) .
\]

In particular, if \( W \) is a gradient field for some smooth function \( \psi(x, y, z) \) in \( \mathbb{R}^3 \), i.e. \( W = \text{grad}(\psi) \), we get from \( \text{curl}(\text{grad}(\psi)) = 0 \):
\[
\text{div}(V \times \text{grad}(\psi)) = \text{curl}(V) \cdot \text{grad}(\psi) .
\]

Using Gauss’ divergence theorem we ‘lift’ this connection to the integral level as follows:

Theorem 3.2. Let \( \psi(x, y, z) \) denote a smooth function in \( \mathbb{R}^3 \) and let \( V(x, y, z) \) be a vector field. Let \( \Omega \) denote a compact domain in \( \mathbb{R}^3 \) with piecewise smooth boundary \( \partial \Omega \) and outward pointing unit normal vector field \( n_{\partial \Omega} \) on \( \partial \Omega \). Then we have the following
\[
\int_{\Omega} \text{div}(V \times \text{grad}(\psi)) \, d\mu = \int_{\partial \Omega} (V \times \text{grad}(\psi)) \cdot n_{\partial \Omega} \, d\nu .
\]

Using equation (3.2) we therefore also have
\[
\int_{\Omega} \text{curl}(V) \cdot \text{grad}(\psi) \, d\mu = \int_{\partial \Omega} (n_{\partial \Omega} \times V) \cdot \text{grad}(\psi) \, d\nu .
\]

In particular we get the total rotation vector (the so-called total ‘vorticity vector’ of fluid dynamics) of the vector field \( V \) in \( \Omega \):
Corollary 3.3.  

\[ \int_{\Omega} \text{curl}(V) \, d\mu = \int_{\partial\Omega} n_{\partial\Omega} \times V \, d\nu . \]

Proof. This follows directly from equation (3.4) by choosing, in turn, \( \psi(x, y, z) = x \), \( \psi(x, y, z) = y \), and \( \psi(x, y, z) = z \), so that \( \text{grad}(\psi) \) is successively one of the respective constant vectors \((1, 0, 0)\), \((0, 1, 0)\), and \((0, 0, 1)\).

\[ \blacksquare \]

4. The surface, the boundary, and the normal field

We parametrize a given surface \( F \) by a smooth regular map \( r \) from a compact domain \( D \) (with boundary \( \partial D \)) in the \((u, v)\)-plane into \( \mathbb{R}^3 \):

\[ F : \quad r(u, v) = (x(u, v), y(u, v), z(u, v)) \in \mathbb{R}^3, \ (u, v) \in D \subset \mathbb{R}^2 \]

where \( x(u, v) \), \( y(u, v) \), and \( z(u, v) \) are smooth functions of the parameters \( u \) and \( v \).

Figure 1. Costa’s minimal surface.

Example 4.1. The Costa surface in Figure 1 is obtained by a highly non-trivial parametric deformation of a disk \( D \) from which 4 smaller disks have been removed in the \((u, v)\)-plane \( \mathbb{R}^2 \). Two of the 5 boundary components are identified by the map, so that the surface has the topology of a thrice punctured torus. Details on the construction of Costa’s minimal surface can be found in e.g. [FGM].

The connected components of the boundary \( \partial D \) are either pairwise identified by \( r \) or mapped onto the components of \( \partial F \), respectively. We assume, that \( r \) is everywhere bijective except at those components of \( \partial D \) which are identified by the map. In cases like Costa’s surface - as
shown in Figure 1 - we have several boundary components. They contribute additively and individually to the circulation integral on the right hand side of Stokes’ theorem. Those boundary components of ∂D which are identified by \( r \) do not contribute to ∂F. They do not contribute to the Stokes circulation integral either because the relevant integrals cancel each other away. For ease of presentation and without lack of generality we therefore assume, that \( D \) is simply connected with only one connected boundary component ∂D which is mapped onto ∂F via the map \( r \).

A given single boundary component \( \partial D \) is parametrized as follows in the \((u, v)\)-plane:
\[
\partial D : \quad d(\theta) = (u(\theta), v(\theta)) \in \partial D \subset \mathbb{R}^2, \quad \theta \in I \subset \mathbb{R},
\]
where \( u(\theta) \) and \( v(\theta) \) are piecewise smooth functions of \( \theta \). The boundary of \( F \) is then
\[
\partial F : \quad b(\theta) = r(d(\theta)) = r(u(\theta), v(\theta)) \in \mathbb{R}^3.
\]
The Jacobians of the maps \( r \) and \( b \) are, respectively:
\[
\begin{align*}
\text{Jacobi}_{r}(u, v) &= \|r'_u \times r'_v\|, \quad \text{and} \\
\text{Jacobi}_{b}(\theta) &= \|b'_\theta\|.
\end{align*}
\]
The regularity of \( r \) is expressed by
\[
\text{Jacobi}_{r}(u, v) > 0 \quad \text{for all } (u, v) \in D.
\]
This implies in particular, that there is a well defined unit normal vector \( n_F = n(u, v) \) at each point of \( F \):
\[
(4.3) \quad n(u, v) = \frac{r'_u \times r'_v}{\|r'_u \times r'_v\|} \quad \text{for all } (u, v) \in D.
\]

5. THE SHELL FATTENING AND A NICE GRADIENT

We define the *tabular shell fattening* of \( F \) (of thickness \( t \)) as the following parametrized domain in \( \mathbb{R}^3 \):
\[
(5.1) \quad \Omega_t : \quad \mathbf{R}(u, v, w) = r(u, v) + w n(u, v), \quad (u, v) \in D, \quad w \in [0, t].
\]
In particular, the *surface* \( F \) is then the base surface of the shell and is obtained by restricting \( \mathbf{R} \) to \( D \) (where \( w = 0 \)):
\[
F_0 = F : \quad r(u, v) = \mathbf{R}(u, v, 0), \quad (u, v) \in D.
\]
Similarly for \( w = t \) we get the top surface \( F_t \) of the shell. It is parametrized by \( \mathbf{R}(u, v, t) \), for \( (u, v) \in D \).

The Jacobian of the map \( \mathbf{R} \) is
\[
(5.2) \quad \text{Jacobi}_{\mathbf{R}}(u, v, w) = \left| \left( \mathbf{R}'_u \times \mathbf{R}'_v \right) \cdot \mathbf{R}'_w \right|
\]
\[
= \left| \left( (r'_u + w n'_u) \times (r'_v + w n'_v) \right) \cdot n_F \right|,
\]
so that, since \( \mathbf{n}_F \) is a unit vector field parallel to \( \mathbf{r}'_u \times \mathbf{r}'_v \) along \( F \), we get in particular (for \( w = 0 \)):

\[
\begin{align*}
\text{Jacobi}_R(u, v, 0) &= |(\mathbf{r}'_u \times \mathbf{r}'_v) \cdot \mathbf{n}_F| \\
&= \|\mathbf{r}'_u \times \mathbf{r}'_v\| \\
&= \text{Jacobi}_R(u, v) > 0.
\end{align*}
\]

The map \( \mathbf{R} \) is regular and bijective on \( D \times [0, t] \) - provided \( t \) is sufficiently small. Indeed, since \( \text{Jacobi}_R(u, v, 0) > 0 \), this claim follows from the continuity of \( \text{Jacobi}_R(u, v, w) \) and the compactness of \( D \).

The value of \( w \) considered as a function in \( \Omega_t \subset \mathbb{R}^3 \) is a smooth function of the coordinates \((x, y, z)\). However intuitively reasonable this claim may seem, the precise argument goes via the inverse function theorem, which we state here for completeness - in its global form, without proof:

**Theorem 5.1.** Let \( Q \) denote an open set in \( \mathbb{R}^n \) and let \( \mathbf{f} : Q \to \mathbb{R}^n \) denote a smooth bijective map with \( \text{Jacobi}_\mathbf{f}(x) > 0 \) for all \( x \in Q \). Then the inverse map \( \mathbf{f}^{-1} : \mathbf{f}(Q) \to Q \) is also smooth with \( \text{Jacobi}_{\mathbf{f}^{-1}}(y) > 0 \) for all \( y \in \mathbf{f}(Q) \).

Hence, when \( t \) is sufficiently small, \( w \) is a smooth function of \((x, y, z)\); let us call it \( h(x, y, z), (x, y, z) \in \Omega_t \). This function then has a non-vanishing gradient, \( \text{grad}(h)(x, y, z) \), which is orthogonal to the level surfaces of \( h \). In particular, \( \text{grad}(h) \) is orthogonal to the top surface \( F_t \) of the shell \( \Omega_t \), where \( h = t \) and it is orthogonal to the base surface \( F_0 = F \), where \( h = 0 \).

In fact, at the base surface, the field \( \text{grad}(h) \) is precisely equal to the unit normal vector field \( \mathbf{n}_F \). To see this we only need to show that it has unit length: Let \((u_0, v_0)\) denote a given point in \( D \) and consider the restriction of \( h \) to the straight line \( \mathbf{r}(u_0, v_0) + w \mathbf{n}(u_0, v_0) \), where \( w \in [0, t] \). Let us denote \( \mathbf{r}_0 = \mathbf{r}(u_0, v_0) \) and \( \mathbf{n}_0 = \mathbf{n}(u_0, v_0) \). The chain
rule then gives

\[ 1 = \left| \frac{d}{dw} h(r_0 + w n_0) \right| = \left| n_0 \cdot \nabla h(r_0 + w n_0) \right| = \left\| \nabla h(r_0 + w n_0) \right\|, \]

so that, at the surface $F$, for $w = 0$, we have $\left\| \nabla h(r_0) \right\| = 1$ and therefore in total, as claimed above:

\[ \nabla h(r_0)|_F = n_F, \]

**Remark 5.2.** The function $h(x, y, z)$ is in fact the Euclidean distance from the point $(x, y, z)$ in $\Omega_t$ to the surface $F$.

### 6. Integration in the Shell

For any given smooth function $f(x, y, z)$ defined in $\Omega_t$ the integral of $f$ over that domain is:

\[ \int_{\Omega_t} f \, d\mu = \int_0^t \left( \int_D f(R(u, v, w)) \text{Jacobi}_R(u, v, w) \, du \, dv \right) \, dw. \]

The derivative of this integral with respect to the thickness $t$ of the shell $\Omega_t$ is, at $t = 0$, the surface integral over $F$:

**Lemma 6.1.**

\[ \left( \frac{d}{dt} \right)_{t=0} \int_{\Omega_t} f \, d\mu = \int_F f \, d\nu. \]

**Proof.** This follows directly from the fundamental theorem of calculus, Theorem 2.1, equation (2.1):

\[ \left( \frac{d}{dt} \right)_{t=0} \int_{\Omega_t} f \, d\mu = \left( \frac{d}{dt} \right)_{t=0} \int_0^t \left( \int_D f(R(u, v, w)) \text{Jacobi}_R(u, v, w) \, du \, dv \right) \, dw \]

\[ = \int_D f(R(u, v, 0)) \text{Jacobi}_R(u, v, 0) \, du \, dv \]

\[ = \int_D f(r(u, v)) \text{Jacobi}_r(u, v) \, du \, dv \]

\[ = \int_F f \, d\nu. \]

\[ \square \]
7. The wall

The shell $\Omega_t$ has a boundary $\partial \Omega_t$ which consists of the top level surface $F_t$, the base level surface $F = F_0$ and a 'cylindrical wall' surface $W_t$ of height $t$. See Figure 2. This latter component of the boundary is simply obtained by restricting the map $R$ to $\partial D \times [0, t]$ as follows:

$$W_t : B(\theta, w) = R(u(\theta), v(\theta), w) = r(u(\theta), v(\theta)) + w n(u(\theta), v(\theta)) = b(\theta) + w n(d(\theta)) , \ \theta \in I , \ w \in [0, t] .$$

The Jacobian of this map is thus

$$\text{Jacobi}_B(\theta, w) = \|B'_\theta \times B'_w\| = \|(b'_\theta + w (n \circ d)_\theta) \times n_F\| ,$$

so that, since $n_F$ is a unit normal to the surface $F$ and hence also to the boundary $\partial F$ (parametrized by $b$), we get in particular:

$$\text{Jacobi}_B(\theta, 0) = \|b'_\theta \times n_F\| = \|b'_\theta\| = \text{Jacobi}_b(\theta) .$$

8. Integration along the wall

For any given smooth function $g(x, y, z)$ defined on $W_t$, the integral of $g$ over that surface is

$$\int_{W_t} g \ d\nu = \int_0^t \left( \int_I g(\theta, w) \text{Jacobi}_B(\theta, w) \ d\theta \right) dw .$$

The derivative of this integral with respect to the height $t$ of the wall $W_t$ is, at $t = 0$, the line integral over $\partial F$:

Lemma 8.1.

$$\left( \frac{d}{dt} \right)_{|t=0} \int_{W_t} g \ d\nu = \int_{\partial F} g \ d\sigma .$$

Proof. This follows again from the fundamental theorem of calculus, Theorem 2.1, equation (2.1):

$$\left( \frac{d}{dt} \right)_{|t=0} \int_{W_t} g \ d\nu = \left( \frac{d}{dt} \right)_{|t=0} \int_0^t \left( \int_I g(\theta, w) \text{Jacobi}_B(\theta, w) \ d\theta \right) dw = \int_I g(\theta, 0) \text{Jacobi}_B(\theta, 0) \ d\theta = \int_I g(b(\theta)) \text{Jacobi}_b(\theta) \ d\theta = \int_{\partial F} g \ d\sigma .$$

□
9. Proof of Stokes’ theorem for surfaces

We are now ready to prove Theorem 2.4.

Proof. Using the function \( h(x, y, z) \) from the previous section 5 in place of the function \( \psi(x, y, z) \) in Theorem 3.2, equation (3.4) for the domain \( \Omega = \Omega_t \) we get:

\[
\int_{\Omega_t} \text{curl}(V) \cdot \text{grad}(h) \, d\mu
= \int_{\partial\Omega_t} (n_{\partial\Omega_t} \times V) \cdot \text{grad}(h) \, d\nu
= \int_{F_t} (n_{F_t} \times V) \cdot \text{grad}(h) \, d\nu
- \int_{F_0} (n_{F_0} \times V) \cdot \text{grad}(h) \, d\nu
+ \int_{W_t} (n_{W_t} \times V) \cdot \text{grad}(h) \, d\nu
\]  

But in equation (9.1) we have

\[
\int_{F_t} (n_{F_t} \times V) \cdot \text{grad}(h) \, d\nu = 0 \quad \text{and} \quad \int_{F_0} (n_{F_0} \times V) \cdot \text{grad}(h) \, d\nu = 0 ,
\]

because \( \text{grad}(h) \) is orthogonal to both of the surfaces \( F_t \) and \( F_0 \) so that \( \text{grad}(h) \) is proportional to \( n_{F_t} \) and \( n_{F_0} \) at the respective surfaces.

We observe, that at \( \partial F \subset W_t \) we have \( n_{W_t} = e_{\partial F} \times n_F \) and hence \( e_{\partial F} = n_F \times n_{W_t} \) according to the rule in Theorem 2.4, which defines the orientation of \( \partial F \). Taking derivatives in equation (9.1) with respect
According to Stokes’ theorem the flux through the surface shown in Figure 3 is equal to the circulation of the vector field $\mathbf{V}$ along the boundary curve of the surface. The field $\mathbf{V}$ is shown here along that boundary.

to $t$ at $t = 0$ then gives:

$$\left. \left( \frac{d}{dt} \right) \right|_{t=0} \int_{\Omega} \mathbf{curl}(\mathbf{V}) \cdot \mathbf{grad}(h) \, d\mu$$

$$(9.3)$$

$$= \left. \left( \frac{d}{dt} \right) \right|_{t=0} \int_{W_i} (\mathbf{n}_{W_i} \times \mathbf{V}) \cdot \mathbf{grad}(h) \, d\nu \ ,$$

so that - by the virtues of equations (6.2) and (8.2) - we finally get

$$\int_{F} \mathbf{curl}(\mathbf{V}) \cdot \mathbf{n}_{F} \, d\nu$$

$$= \int_{\partial F} (\mathbf{n}_{W_i} \times \mathbf{V}) \cdot \mathbf{n}_{F} \, d\sigma$$

$$(9.4)$$

$$= \int_{\partial F} \mathbf{V} \cdot (\mathbf{n}_{F} \times \mathbf{n}_{W_i}) \, d\sigma$$

$$= \int_{\partial F} \mathbf{V} \cdot \mathbf{e}_{\partial F} \, d\sigma \ ,$$

which finishes the proof of the theorem. \hfill \Box

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**References**


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