

## ON METRIC REGULARITY OF MULTIFUNCTIONS

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The aim of this paper is to give a metric regularity theorem for multifunctions between metric spaces involving some known results for multifunctions by using the notion of strict  $(G, \delta)$ -differentiability of multifunctions and a simple convergence procedure.

### 0. INTRODUCTION

The notion of metric regularity of multifunctions (see Definition 1.1) plays an important role in optimisation theory, in particular in mathematical programming problems (see for example [5, 8, 15, 19, 23, 26, 27, 28]). This concept has been extensively studied in varying degrees of generality by many authors (see [3, 5, 6, 14, 16, 17, 18, 21, 22, 24]). Probably the first result goes back to Graves [14], stating that a continuously differentiable mapping  $F$  between Banach spaces whose derivative  $DF(x_0)$  at  $x_0$  is surjective is metrically regular around  $(x_0, F(x_0))$ . Extending the well-known Banach perturbation lemma [20, Theorem 3 (2.V)], Robinson [24] has made explicit the metric regularity result for convex multifunctions in Banach spaces. Applying Ekeland's variational principle [11], Ioffe [16] and Borwein [5] proved some metric regularity results for Lipschitz mappings between Banach spaces. We can also consider that the results obtained by the authors [1, 2, 4, 7, 13, 25] are metric regularity results since one can establish a relationship between the metric regularity and the pseudo-Lipschitzianity of multifunctions (see [22] and [6]). Robinson [24] established that a multifunction  $F$  between Banach spaces with convex closed graph which is open at a point  $(x_0, y_0)$  of its graph is regular around  $(x_0, y_0)$  and conversely. Without convexity of its graph the openness of  $F$  at  $(x_0, y_0)$  is not sufficient to recover the metric regularity of  $F$  around  $(x_0, y_0)$  (see Example 4.6 in [6]). Recently Penot [22] and Borwein and Zhuang [6] showed that the openness of  $F$  around  $(x_0, y_0)$  is equivalent to the metric regularity of  $F$  around  $(x_0, y_0)$ .

In this paper we study metric regularity properties of multifunctions in metric spaces. Namely, we show that a multifunction  $F$  preserves some properties of its derivative, in particular the openness and the metric regularity properties.

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Received 28 June 1990

The author is indebted to Professors L. Thibault and D. Azé for valuable remarks helping to improve the paper.

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To do this we introduce the notion of strict  $(G, \delta)$ -differentiability of multifunctions. To this end, let us introduce some notation.

Let  $X, Y$  and  $Z$  be linear spaces equipped with some distance  $d$  which is invariant by translations, that is,  $d(b + a, c + a) = d(b, c)$ ; let  $F: X \rightrightarrows Y$ ,  $L: X \rightrightarrows Y$  and  $G: Z \rightrightarrows X$  be multifunctions and let  $\delta: \mathbb{R}_+ \rightarrow \mathbb{R}_+$  be a strictly monotone continuous function. We denote by

$$GrF = \{(x, y) \in X \times Y: y \in F(x)\}$$

the graph of  $F$  and by  $B_X, B_Y$  and  $B_Z$  the closed unit balls of  $X, Y$  and  $Z$  respectively. We denote by  $F^{-1}$  the multifunction whose graph is deduced from  $GrF$  by exchanging  $x$  and  $y$  and we set

$$L \circ G(z) = \{y \in Y: \exists x \in G(z); y \in L(x)\}.$$

Observe that, for each  $y \in Y$ ,

$$(L \circ G)^{-1}(y) = G^{-1} \circ L^{-1}(y) = \{z \in Z: y \in L \circ G(z)\}.$$

**DEFINITION 0.1:**  $F$  is said to be strictly  $(G, \delta)$ -differentiable at  $(x_0, y_0) \in GrF$  if there exists a multifunction  $L: X \rightrightarrows Y$  such that for each  $\varepsilon > 0$ , there exists  $r > 0$  such that

$$L \circ G(z) \cap B_Y \subset F(x + G(z)) - y + \varepsilon \delta(d(0, z)) B_Y$$

for all  $x \in x_0 + rB_X$ ,  $y \in (y_0 + rB_Y) \cap F(x)$  and  $z \in rB_Z$ .

**REMARK.** When  $X = Z$ ,  $G(x) = x$  and  $\delta(t) = t$ , we recover the notion of strict differentiability of a multifunction (see [4] and [9]).

## 1. THE MAIN RESULT

**DEFINITION 1.1:** A multifunction  $F$  is said to be metrically  $\delta$ -regular around  $(x_0, y_0) \in GrF$  if there exist  $K > 0$  and  $r > 0$  such that

$$d(x, F^{-1}(y)) \leq K \delta^{-1}(d(y, F(x)))$$

for all  $x \in x_0 + rB_X$  and  $y \in y_0 + rB_Y$  where

$$d(v, D) = \inf\{d(v, v'): v' \in D\}.$$

**DEFINITION 1.2:**  $F$  is nicely  $\delta$ -invertible around  $y_0 \in F(x_0)$  if there exist  $\alpha > 0$  and  $a > 0$  such that for all  $y \in y_0 + \alpha B_Y$  there exists  $x \in F^{-1}(y)$  such that  $\delta(d(x_0, x)) \leq a d(y_0, y)$ .

REMARK. If  $F$  is  $\delta$ -regular around  $(x_0, y_0) \in GrF$  and if  $\delta$  is continuous and strictly monotone then  $F$  is nicely  $\delta$ -invertible around  $y_0 \in F(x_0)$ .

Let us assume that  $G$  and  $\delta$  satisfy the following:

$H(G)$ : There exist  $\alpha > 0$  and  $b > 0$  such that

$$G(z) \subset bd(0, z)B_X \text{ for each } z \in \alpha B_Z.$$

$H(\delta)$ :  $\delta(1) = 1$  and for all  $t, s \in [0, +\infty)$ ,

$$\delta^{-1}(ts) \leq \delta^{-1}(t)\delta^{-1}(s).$$

EXAMPLE.  $Z = \mathbb{R}_+$ ,  $G(t) = t^s B_X$  and  $\delta(t) = t^r$  with  $s \geq 1$  and  $r > 0$ .

**THEOREM 1.3.** Let  $L$  be a strict  $(G, \delta)$ -derivative of  $F$  at  $(x_0, y_0) \in GrF$ . Suppose that:

- (i)  $X$  is complete and  $F$  has a closed graph.
- (ii)  $L \circ G$  is nicely  $\delta$ -invertible around  $0 \in (L \circ G)(0)$ .
- (iii)  $G$  and  $\delta$  satisfy respectively  $H(G)$  and  $H(\delta)$ .

Then  $F$  is  $\delta$ -regular around  $(x_0, y_0)$ . More precisely there exist  $a > 0$  and  $b > 0$  such that for some  $\varepsilon > 0$  there is  $s > 0$  with:

$$d(x, F^{-1}(y)) \leq \frac{b\delta^{-1}(a)}{1 - \delta^{-1}(\varepsilon a)} \delta^{-1}(d(y, F(x)))$$

for all  $x \in x_0 + sB_X$  and  $y \in y_0 + sB_Y$ .

PROOF: We follow the lines of Azé [4]. Since  $L \circ G$  is nicely  $\delta$ -invertible there exist  $a > 0$  and  $\alpha > 0$  (we can choose  $\alpha$  as in  $H(G)$ ) such that for all  $y \in \alpha B_Y$  we can exhibit  $z \in G^{-1} \circ L^{-1}(y)$  satisfying:

$$(1.3.1) \quad \delta(d(0, z)) \leq ad(0, y).$$

From the strict  $(G, \delta)$ -differentiability of  $F$  at  $(x_0, y_0)$  it follows that for all  $\varepsilon > 0$  (with  $\varepsilon a < 1$ ) there exists  $r > 0$  such that

$$(1.3.2) \quad L \circ G(z) \cap B_Y \subset F(x + G(z)) - y + \varepsilon \delta(d(0, z))B_Y$$

for all  $x \in x_0 + rB_X$ ,  $y \in (y_0 + rB_Y) \cap F(x)$  and  $z \in rB_Z$ . Choose  $\eta > 0$  such that  $\max(\eta, (\delta(\eta))/a) \leq \min(\alpha, r, r(1 - \delta^{-1}(\varepsilon a))/(b\delta^{-1}(\varepsilon a)))$  where  $b$  is given by  $H(G)$ . Let  $y \in y_0 + (\delta(\eta)/a)B_Y$ . We shall construct a sequence  $((x_n, y_n)) \subset GrF$  such that  $((x_n, y_n))$  converges to  $(x, y)$  with  $y \in F(x)$  and  $x \in (x_0 + K\delta^{-1}(d(y, y_0))B_X)$ ,

where  $K > 0$  does not depend on  $x$  and  $y$ . Put  $x_{-1} = x_0$ . Let  $n \in \mathbb{N}$  be such that, for each  $k \in [0, n]$ ,

$$(1.3.3) \quad \begin{aligned} x_k &\in (x_0 + rB_X), y_k \in F(x_k), d(y, y_k) \leq (\varepsilon a)^k d(y, y_0), \\ d(x_k, x_{k-1}) &\leq b(\delta^{-1}(\varepsilon a))^k \delta^{-1}(ad(y, y_0)). \end{aligned}$$

We want to show that (1.3.3) holds for  $k = n + 1$ . Since  $y - y_n \in (\delta(\eta)/a)B_Y$ , we derive from (1.3.1) the existence of  $z_n \in G^{-1} \circ L^{-1}(y - y_n)$  such that  $\delta(d(0, z_n)) \leq ad(y, y_n)$ . It follows from (1.3.2) that there exist  $u_n \in G(z_n)$  and  $y_{n+1} \in F(x_n + u_n)$  such that

$$(1.3.4) \quad \begin{aligned} d(y, y_{n+1}) &\leq \varepsilon \delta(d(0, z_n)) \\ &\leq \varepsilon ad(y, y_n). \end{aligned}$$

Let us set  $x_{n+1} = x_n + u_n$ . Then, by assumption  $H(G)$ , we have

$$(1.3.5) \quad \begin{aligned} d(x_{n+1}, x_n) &= d(0, u_n) \leq bd(0, z_n) \\ &\leq b\delta^{-1}(ad(y, y_n)). \end{aligned}$$

On the other hand we obtain, by using the induction assumption (1.3.3),  $H(G)$  and by the choice of  $\eta$ ,

$$(1.3.6) \quad \begin{aligned} d(x_{n+1}, x_0) &\leq d(x_{n+1}, x_n) + \sum_{k=1}^n d(x_k, x_{k-1}) \\ &\leq \frac{b\delta^{-1}(a)\eta}{1 - \delta^{-1}(\varepsilon a)} \\ &\leq r. \end{aligned}$$

In virtue of (1.3.3), (1.3.4), (1.3.5) and (1.3.6) we obtain

$$\begin{aligned} x_{n+1} &\in (x_0 + rB_X), y_{n+1} \in F(x_{n+1}), \\ d(x_{n+1}, x_n) &\leq b(\delta^{-1}(\varepsilon a))^n \delta^{-1}(ad(y, y_0)), \\ d(y_{n+1}, y) &\leq (\varepsilon a)^{n+1} d(y, y_0), \end{aligned}$$

so that (1.3.3) holds for  $k = n + 1$ . Observe that, for each  $n, p \in \mathbb{N}$ ,

$$\begin{aligned} d(x_{n+p}, x_n) &\leq \sum_{k=1}^p d(x_{n+k}, x_{n+k-1}) \\ &\leq \frac{b}{1 - \delta^{-1}(\varepsilon a)} (\delta^{-1}(\varepsilon a))^n; \end{aligned}$$

hence  $(x_n)$  is a Cauchy sequence and then it converges to some  $x \in X$ . As  $(y_n)$  converges to  $y$ , it ensues from the closedness of  $GrF$  that  $(x, y)$  belongs to  $GrF$  which together with (1.3.6) yields

$$(1.3.7) \quad y \in F(x) \text{ and } x \in x_0 + K\delta^{-1}(d(y, y_0))B_X$$

where  $K = (b\delta^{-1}(a))/(1 - \delta^{-1}(\varepsilon a))$ . Now pick  $y \in y_0 + (\delta(\eta)/2a)B_Y$  and  $x_1 \in x_0 + (r/2)B_X$  from (1.3.7);  $F^{-1}(y) \neq \emptyset$  and  $d(x_1, F^{-1}(y)) < +\infty$ . Let us consider  $y_1 \in F(x_1) \cap (y_0 + (\delta(\eta)/2a)B_Y)$ ; (if this set is empty, there is nothing to prove). The same argument as above applied to  $(x_1, y_1)$  instead of  $(x_0, y_0)$  provides the existence of  $x \in x_1 + rB_X$  such that  $y \in F(x)$  and  $x \in x_1 + K\delta^{-1}(d(y, y_1))B_X$ . Hence,

$$d(x_1, x) \leq K\delta^{-1}(d(y, y_1)),$$

and then,

$$(1.3.8) \quad d(x_1, F^{-1}(y)) \leq K\delta^{-1} \left( d(y, F(x_1)) \cap \left( y_0 + \frac{\delta(\eta)}{2a} B_Y \right) \right)$$

for all  $x_1 \in x_0 + (r/2)B_X$  and  $y \in y_0 + (\delta(\eta)/2a)B_Y$ . As in Rockafellar [25] (see also Thibault [27]), one can show that there is  $\gamma \in (0, r/2)$  and  $\beta \in (0, \delta(\eta)/2a)$  such that

$$(1.3.9) \quad d(y, F(x_1) \cap (y_0 + (\delta(\eta)/2a)B_Y)) = d(y, F(x_1))$$

for all  $x_1 \in x_0 + \gamma B_X$  and  $y \in y_0 + \beta B_Y$ , which completes the proof of the theorem.  $\square$

REMARKS. (1) When  $X = Z$ ,  $G(x) = x$  and  $\delta(t) = t$ , we recover the results of [4] and [7].

(2) It follows from the proof of Theorem 1.3 that there is  $b > 0$  and  $a > 0$  such that for some  $\varepsilon > 0$  (with  $\varepsilon a < 1$ ) there is  $s > 0$  such that for all  $y \in y_0 + sB_Y$  there is  $x \in F^{-1}(y)$  satisfying  $d(x_0, x) \leq (b\delta^{-1}(a))(\delta^{-1}(d(y_0, y)))/(1 - \delta^{-1}(\varepsilon a))$ .

The proof of the following theorem is exactly the same as that of Theorem 1.3.

**THEOREM 1.4.** *Theorem 1.3 remains true if we replace the completeness of  $X$  by the completeness of  $GrF$ .*

**COROLLARY 1.5.** *If in Theorem 1.4 we assume that  $L \circ G$  is  $\delta$ -regular around  $(0, 0) \in Gr(L \circ G)$ , then  $F$  is  $\delta$ -regular around  $(x_0, y_0)$ .*

PROOF: It suffices to apply Theorem 1.4 since the  $\delta$ -regularity of  $L \circ G$  implies the nice  $\delta$ -invertibility of  $L \circ G$ .  $\square$

Borwein and Zhuang [6] have shown that, if for some strictly monotone continuous function  $\delta'$ ,  $F$  is approximately  $\delta'$ -open around  $(x_0, y_0)$  (that is, there is  $\alpha: \mathbb{R}_+ \rightarrow \mathbb{R}_+$

with  $\limsup_{t \downarrow 0} (\delta'^{-1}(\alpha(t)))/t < 1$ , and  $r > 0$  and  $\eta > 0$  such that for all  $x \in x_0 + rB_X$  and all  $y \in F(x) \cap (y_0 + \eta B_Y)$  and all  $t \in (0, \eta)$ ,

$$y + \delta'(t)B_Y \subset \text{cl}(F(x + tB_X) + \alpha(t)B_Y)$$

where “cl” denotes the closure), then  $F$  is  $\delta$ -regular around  $(x_0, y_0)$  for all  $\delta \leq \delta'$  with  $\limsup_{t \downarrow 0} (\delta(t))/t < +\infty$ .

In the following corollary we obtain the same result but with the condition  $H(\delta')$  instead of  $\limsup_{t \downarrow 0} (\delta(t))/t < +\infty$ . Let us remark that from this corollary one can get information about the regularity constant  $K$  of  $F$ . But first we give the following lemma:

**LEMMA 1.6.** *Let  $c \in (0, 1)$  and  $\delta$  satisfy  $H(\delta)$ . Then for all  $b \in [1/(\delta(1/c)), 1)$  and all  $t > 0$ ,*

$$(1.6) \quad \delta(ct) \leq b\delta(t).$$

**PROOF:** Consider the failure of (1.6). Then there is  $b \in [1/(\delta(1/c)), 1)$  and  $t > 0$  such that  $\delta(ct) > b\delta(t)$ . This latter is equivalent to  $1/b > \delta(1/c)$  thanks to  $H(\delta)$  and the strict monotonicity of  $\delta$  which contradicts  $b \geq 1/(\delta(1/c))$ .  $\square$

**COROLLARY 1.7.** *Let  $\delta$  satisfy  $H(\delta)$ . If  $F$  is approximately  $\delta$ -open around  $(x_0, y_0)$  and  $GrF$  is complete then  $F$  is  $\delta$ -regular around  $(x_0, y_0)$ .*

**PROOF:** The condition  $\limsup_{t \downarrow 0} (\delta^{-1}(\alpha(t)))/t < 1$  implies that there are  $0 < c < 1$  and  $\eta > 0$  such that  $\alpha(t) < \delta(ct)$  for all  $t \in [0, \eta]$ . Let  $b \in [1/(\delta(1/c)), 1)$ . Then by Lemma 1.6 and the approximately  $\delta$ -openness property of  $F$  one has the existence of  $r > 0$  and  $\gamma > 0$  (we can assume that  $\gamma = \eta$ ) such that

$$\begin{aligned} \delta(t)B_Y &\subset F(x + tB_X) - y + (\delta(ct) - \alpha(t) + \alpha(t))B_Y \\ &\subset F(x + tB_X) - y + \delta(ct)B_Y \\ &\subset F(x + tB_X) - y + b\delta(t)B_Y \end{aligned}$$

for all  $x \in x_0 + rB_X$ ,  $y \in (y_0 + \gamma B_Y) \cap F(x)$  and  $t \in [0, \gamma]$ . Let us set  $\varepsilon = b$ , ( $\varepsilon < 1$ ),  $Z = \mathbb{R}_+$ ,  $G(t) = tB_X$  and  $L(x) = \delta(d(0, x))B_Y$ . It is not difficult to see that the assumptions of Theorem 1.4 are satisfied.  $\square$

**REMARKS.** (1) The result of Corollary 1.7 remains true for every strictly monotone continuous function  $\delta' \leq \delta$ .

(2) It is not difficult to see that for some strictly monotone continuous function  $\delta'$  the approximately  $\delta'$ -openness of  $F$  around  $(x_0, y_0)$  is equivalent to the following: there

is  $c \in (0, 1)$ ,  $r > 0$  and  $\eta > 0$  such that for all  $x \in x_0 + rB_X$ ,  $y \in (y_0 + \eta B_Y) \cap F(x)$  and  $t \in (0, \eta)$ ,  $y + \delta'(t)B_Y \subset F(x + tB_X) + \delta'(ct)B_Y$ .

Frankowska [12] has introduced the concept of high order variations for multifunctions as follows:

$$F^r(x_0, y_0) = \liminf_{(x, y) \xrightarrow{GrF} (x_0, y_0)} \frac{F(x + tB_X) - y}{t^r}$$

where  $r > 0$  and "lim inf" is taken in the sense of Kuratowski.

In the following corollary we obtain Frankowska's result proved in [13] as a consequence of our main Theorem 1.3 since the  $\delta$ -regularity implies the  $\delta'$ -openness for some  $\delta' \leq \delta$  (see [6, 22]).

**COROLLARY 1.8.** *Let  $X$  and  $Y$  be two linear metric spaces,  $X$  complete and  $r > 0$ . Assume that*

$$0 \in \text{int } F^r(x_0, y_0).$$

*Then  $F$  is  $\delta$ -regular around  $(x_0, y_0)$  with  $\delta(t) = t^r$ .*

**PROOF:** Since  $0 \in \text{int } F^r(x_0, y_0)$  then there is  $c > 0$  such that for all  $0 < \varepsilon < c$  there exists  $r > 0$  satisfying:

$$t^r c B_Y \subset F(x + tB_X) - y + \varepsilon t^r B_Y$$

for all  $x \in x_0 + rB_X$ ,  $y \in (y_0 + rB_Y) \cap F(x)$  and  $t \in [0, r]$ . Put  $Z = \mathbb{R}_+$ ,  $G(t) = tB_X$ ,  $\delta(t) = t$  and  $L(x) = (d(0, x))^r c B_X$ . We easily see that the assumptions of Theorem 1.3 are satisfied.  $\square$

The following metric regularity result for closed convex multifunctions is an extension of Robinson [24].

**COROLLARY 1.9.** *Let  $X$  and  $Y$  be two linear metric spaces with  $X$  complete and let  $F$  be a multifunction from  $X$  into  $Y$  with closed convex graph. Then the openness of  $F$  at  $(x_0, y_0) \in GrF$  (that is, there exist  $r > 0$  such that  $y_0 + rB_Y \subset F(x_0 + B_X)$ ) is equivalent to the metric  $\delta$ -regularity of  $F$  around  $(x_0, y_0) \in GrF$ , with  $\delta(t) = t$ .*

**PROOF:** In the remainder of the proof we assume for notational convenience that  $x_0 = 0$  and  $y_0 = 0$ ; this simply translates the origins in  $X$  and  $Y$ . Suppose that  $F$  is open at  $(0, 0)$ . Then by the convexity of  $F$  we have for all  $0 < \varepsilon < r$  and  $t \in [0, 1]$ ,

$$trB_Y \subset F(tB_X) + \varepsilon tB_Y.$$

So by the convexity of  $F$  we have that for all  $x \in (r/2)B_X$ ,  $t \in [0, 1/2]$  and  $y \in (1/2)B_Y \cap F(x)$ ,

$$trB_Y \subset F(x + tB_X) - y + \varepsilon tB_Y.$$

As in Corollary 1.7 we set  $Z = \mathbb{R}_+$ ,  $G(t) = tB_X$ ,  $\delta(t) = t$  and  $L(x) = d(0, x)rB_Y$ . Applying Theorem 1.3 we obtain the  $\delta$ -regularity of  $F$  which completes the proof since the other implication is obvious.  $\square$

Relying on the remark following Theorem 1.3 we obtain a substraction result for convex multifunctions.

**COROLLARY 1.10.** *If the assumptions of Corollary 1.9 are satisfied and if for  $0 < \alpha < \beta$  one has  $y_0 + \beta B_Y \subset F(x_0 + B_X) + \alpha B_Y$ , then there is  $s > 0$  such that,*

$$y_0 + (\beta - \alpha)sB_Y \subset F(x_0 + sB_X).$$

**PROOF:** As in the proof of Corollary 1.9 we assume that  $(x_0, y_0) = (0, 0)$  and for  $r$  sufficiently small one has

$$t\beta B_Y \subset F(x + tB_X) - y + \alpha tB_Y$$

for all  $x \in rB_X$ ,  $t \in [0, r]$  and all  $y \in rB_Y \cap F(x)$ . If we set  $Z = \mathbb{R}_+$ ,  $G(t) = tB_X$  and  $L(x) = d(0, x)B_Y$ , we have  $b = 1$  and  $a = 1/\beta$  where  $b$  is as in  $H(G)$  and  $a$  is the invertibility constant of  $L \circ G$ . Then it ensues from the remarks following Theorem 1.3 that there is  $s > 0$  such that for all  $y \in y_0 + (\beta - \alpha)sB_Y$  there is  $x \in F^{-1}(y)$  satisfying:

$$d(x_0, x) \leq (1/(\beta - \alpha))d(y_0, y) \leq s$$

which completes the proof.  $\square$

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