

*SOME SUFFICIENT CONDITIONS
FOR REGULAR APPROXIMATE DIFFERENTIABILITY*

BY

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1. Introduction. In this paper we give sufficient conditions for a measurable map f to be equivalent to one which is regularly approximately differentiable a.e. on an open set G in n -space. We prove (Theorem 1 (a)) that one such sufficient condition is the following: for $j = 1, \dots, n$, the map f is equivalent to a map g_j which has an ordinary total differential a.e. along almost every hyperplane orthogonal to the j -th coordinate axis. In this connection, we point out that Fadell [4] has proved that if f is continuous on G and has an ordinary total differential a.e. along all hyperplanes orthogonal to the coordinate axes, then f is regularly approximately differentiable a.e. in G .

We also prove (Theorem 1 (b)) that if $p \in [1, \infty]$ and f has an L_p -differential a.e. with respect to all but one variable, then f has what we call a regular approximate L_p -differential a.e. (Definition 1).

These results, in conjunction with a theorem of A. Calderón and A. Zygmund (see [10], p. 242), lead to another sufficient condition which is given in terms of Sobolev norms of restrictions to hyperplanes (Corollary 3). This represents an extension of a theorem of Goffman and Ziemer [7].

In a parallel development, we prove (Theorem 2) that a map is continuous a.e. on almost every hyperplane orthogonal to a coordinate axis if and only if it is what we term regularly approximately continuous a.e. (Definition 2).

2. Notation, definitions and lemmas. For $w \in \mathbf{R}^n$, $\eta > 0$ and $E \subset \mathbf{R}^n$ let

$$w + \eta E = \{w + \eta u : u \in E\}.$$

Let

$$C = \{u \in \mathbf{R}^n : |u^j| \leq 1 \text{ for } j = 1, \dots, n\}, \quad K = \partial C,$$
$$P_j = \{u \in \mathbf{R}^n : u^j = 0\}$$

and let $\{e_j\}_{j=1,\dots,n}$ be the standard basis for \mathbf{R}^n . Write $F_j = P_j \cap C$. Let p and r be m -tuples of extended real numbers. We shall write $p \geq r$ whenever $p^i \geq r^i$ for all $i = 1, \dots, m$. If $t \in \mathbf{R}$, then $p \geq t$ means $p^i \geq t$ for all i .

Let G be an open subset of \mathbf{R}^n , and f a measurable map from G into \mathbf{R}^m . If $S \subset G$, then

$$\|f\|_S = \sup \{|f(u)| : u \in S\}.$$

If S is measurable and $p \geq 1$, then

$$\|f\|_{p,S} = \max_i \|f^i\|_{p^i,S},$$

where $\|\cdot\|_{t,S}$ is the usual norm in $L_t(S)$, $t \in [1, \infty]$. If S is k -dimensional, we mean for the norm to be taken with respect to k -dimensional Hausdorff measure.

Definition 1. Suppose that L is a linear map from \mathbf{R}^n into \mathbf{R}^m and that $w \in G$. Denote by A the affine map defined by $A(u) = f(w) + L(u - w)$. Then f is said to have L as

(a) a *regular approximate differential* at w (see [2], [3] and [9]) if

$$\text{ap lim}_{\eta \rightarrow 0^+} \|(f - A)/\eta\|_{w+\eta K} = 0,$$

(b) a *regular approximate L_p -differential* at w if

$$\text{ap lim}_{\eta \rightarrow 0^+} \max_i \eta^{-[(n-1)/p^i]} \|(f - A)/\eta\|_{p^i, w+\eta K} = 0.$$

We shall denote by D , $L_p D$, RAD and $RAL_p D$ the spaces of measurable maps f with the property that some (\mathcal{L}^n a.e.) equivalent map g has, a.e. in G , a differential, an L_p -differential (see [10], p. 242), a regular approximate differential and a regular approximate L_p -differential, respectively.

Again, respectively, we shall denote by HD and $HL_p D$ the spaces of measurable maps f with the property that for each j there exists a g_j equivalent to f having a differential and an L_p -differential, \mathcal{H}^{n-1} a.e. along \mathcal{L}^1 almost every hyperplane orthogonal to the j -th coordinate axis.

Obviously, for all $p \in [1, \infty]$,

$$D \subset RAD \subset RAL_p D \quad \text{and} \quad D \subset HD \subset HL_p D.$$

By Fubini's theorem,

$$D \subset L_p D \subset RAL_p D,$$

and by Hölder's inequality, if $p > r$, then

$$L_p D \subset L_r D, \quad RAL_p D \subset RAL_r D \quad \text{and} \quad HL_p D \subset HL_r D.$$

It follows from a theorem of Weiss [11], p. 103, that $L_p D \subset HL_p D$. We shall prove (Theorem 1) that

$$HD = HL_\infty D \subset RAL_\infty D = RAD$$

and, in fact, that

$$HL_p D \subset RAL_p D \quad \text{for all } p \in [1, \infty].$$

In this context, the following example may be of interest. Let $F \subset [0, 1]$ be a (generalized) Cantor set of positive measure and put $\varphi = \chi_{F \times [0,1]}$. Then φ has an approximate differential a.e. (see [5], p. 212), but $\varphi \notin RAL_1 D$.

Definition 2. We say that f is

(a) *regularly approximately continuous* at w if

$$\text{aplim}_{\eta \rightarrow 0^+} \|f(w) - f\|_{w+\eta K} = 0,$$

(b) *regularly approximately L_∞ -continuous* at w if

$$\text{aplim}_{\eta \rightarrow 0^+} \|f(w) - f\|_{\infty, w+\eta K} = 0.$$

Denote by RAC and $RAL_\infty C$ the spaces of maps equivalent to some map which is regularly approximately continuous a.e. and regularly approximately L_∞ -continuous a.e., respectively. Clearly,

$$RAD \subset RAC \quad \text{and} \quad RAL_\infty D \subset RAL_\infty C.$$

Denote by HC and $HL_\infty C$ the spaces of measurable maps f such that for every $j = 1, \dots, n$ there exists an equivalent map g_j with the property that, along \mathcal{L}^1 almost every hyperplane orthogonal to the j -th axis, g_j is continuous and L_∞ -continuous, \mathcal{H}^{n-1} a.e., respectively. That is, for almost every w in almost every hyperplane,

$$\lim_{\eta \rightarrow 0^+} \|g_j(w) - g_j\|_{w+\eta F_j} = 0 \quad \text{and} \quad \lim_{\eta \rightarrow 0^+} \|g_j(w) - g_j\|_{\infty, w+\eta F_j} = 0,$$

respectively.

HC contains the $(n-1)$ -continuous maps of Goffman and Liu, for example (see [6]).

We shall prove that $HC = HL_\infty C = RAL_\infty C = RAC$ (Theorem 2).

Definition 3. The *upper boundary* $g = (g^1, \dots, g^m)$, in the sense of Blumberg [1], of a measurable map f is defined by

$$g^i(w) = \inf \{ \alpha : (f^i)^{-1}((-\infty, \alpha]) \text{ has } w \text{ as a point of density} \}.$$

This is also called the *approximate upper limit* of f (see [5], p. 159). Here we use the convention of [5] that $\inf \emptyset = \infty$.

The proofs of the following lemmas are straightforward.

LEMMA 1. *If w is a point of approximate continuity of f , then $f(w) = g(w)$ (see [8]).*

LEMMA 2. Suppose that $w \in G$ and that $\varepsilon > 0$. If $|g^i(w)| < \infty$, then $\{u: |g^i(w) - g^i(u)| \leq \varepsilon\}$ has positive upper density at w . If $|g^i(w)| = \infty$, then $\{u: |g^i(u)| > 1/\varepsilon\}$ has positive upper density at w .

Lemma 2 is a somewhat strengthened version of a statement in [8]. Enlarging on an argument of Neugebauer [8] (see also [12]), we have

LEMMA 3. Suppose that $w \in G$.

(a) If f has an L_∞ -differential at w , then g has a differential at w .

(b) If f has a regular approximate L_∞ -differential at w and $f(w) = g(w)$, then g has a regular approximate differential at w .

Proof. We prove only part (b) here, since (a) appears in [8]. For simplicity we take $m = 1$.

Fix $w \in G$ with $f(w) = g(w)$ and suppose that A is an affine map such that

$$\text{aplim}_{\eta \rightarrow 0^+} \|(f - A)/\eta\|_{\infty, w + \eta K} = 0.$$

Let $\varepsilon > 0$. Since f is approximately continuous a.e. (being measurable), by Lemma 1 there exists a set $X \subset (0, 1)$ with right density 1 at 0 and a set

$$N \subset \bigcup_{\eta \in X} (w + \eta K)$$

with the following properties:

- (1) all points of X are points of density of X ,
- (2) for each $\eta \in X$, $\mathcal{H}^{n-1}(N \cap (w + \eta K)) = 0$,
- (3) $|g(u) - A(u)|/\eta < \varepsilon$ for all $u \in \bigcup_{\eta \in X} [(w + \eta K) \sim N]$.

Since $f(w) = g(w)$, it suffices to show that $N = \emptyset$. Suppose not. Then there exist $\sigma > 0$, $\eta' \in X$ and $u' \in (w + \eta' K) \cap N$ such that

$$|g(u') - A(u')|/\eta' \geq \varepsilon + \sigma.$$

We suppose that $|g(u')| < \infty$, the argument in the infinite case being nearly identical. By Lemma 2, for each k ,

$$E_k = \{u: |g(u') - g(u)| \leq 1/k\}$$

has positive upper density at u' . Hence there are a sequence $\xi_l \downarrow 0$ and a $\tau > 0$ such that, for all l ,

$$\begin{aligned} & \mathcal{L}^n(u' + \xi_l C) \cdot \tau < \mathcal{L}^n[E_k \cap (u' + \xi_l C)] \\ & < \mathcal{L}^1[\{\eta: \mathcal{H}^{n-1}[E_k \cap (w + \eta K)] > 0\} \cap (\eta' - \xi_l, \eta' + \xi_l)] \cdot \mathcal{H}^{n-1}(u' + \xi_l K), \end{aligned}$$

so that $\{\eta: \mathcal{H}^{n-1}[E_k \cap (w + \eta K)] > 0\}$ has positive upper density at η' .

Since η' is a point of density of X , there exists a sequence $\{u_k\}$ converging to u' with

$$\{u_k\} \subset \bigcup_{\eta \in X} [(w + \eta K) \sim N]$$

such that $g(u_k) \rightarrow g(u')$. But this would imply that

$$|g(u') - A(u')|/\eta' \leq \varepsilon,$$

a contradiction.

Similar reasoning leads to

LEMMA 4. Suppose that f is measurable on G and $w \in G$.

(a) If f is L_∞ -continuous at w , then g is continuous at w .

(b) If f is regularly approximately L_∞ -continuous at w and $f(w) = g(w)$, then g is regularly approximately continuous at w .

COROLLARY 1. (a) $RAL_\infty C = RAC$.

(b) $RAL_\infty D = RAD$.

Now we need a measurability lemma. For $\sigma = 1, 2, \dots$ put

$$G_\sigma = \{w \in G : \text{dist}(w, \partial G) \geq 1/\sigma\}.$$

For all j set

$$A_j(\sigma, k) = \{w \in G_j : |f(w) - f(w + y)| \leq 1/k \\ \text{for } \mathcal{H}^{n-1} \text{ almost every } y \in (1/\sigma)F_j\}.$$

Let $\text{ap}D_j f^i$ stand for the approximate partial derivatives of f . Set

$$E = \{w \in G : \text{ap}D_j f^i(w) \text{ exist at } w \text{ for all } i \text{ and } j\}.$$

For each $w \in E$ denote by L_w the linear map with matrix $[\text{ap}D_j f^i(w)]$, with respect to the standard bases. Note that E is measurable and that, for almost all $w \in E$, $L_w = \text{ap}Df(w)$, the approximate differential of f at w (see [5], p. 214).

Set

$$B_j^\infty(\sigma, k) = \{w \in G_\sigma \cap E : |f(w + y) - f(w) - L_w(y)|/|y| \leq 1/k \\ \text{for } \mathcal{H}^{n-1} \text{ almost every } y \in (1/\sigma)F_j\}.$$

Also, for each $w \in E$ denote by T_w the affine map defined by

$$T_w(u) = f(w) + L_w(u - w).$$

For $p \in [1, \infty)$ set

$$B_j^p(\sigma, k) = \{w \in G_\sigma \cap E : \max_i (\lambda^{-[(n-1)/p^i]-1}) \cdot \|f - T_w\|_{p^i, w + \lambda F_j} \leq 1/k \\ \text{for all } \lambda \in (0, 1/\sigma)\}.$$

We have the following

LEMMA 5. *Let f be measurable. For all j, σ, k and p ,*

(a) $A_j(\sigma, k)$ *is measurable,*

(b) $B_j^p(\sigma, k)$ *is measurable.*

Proof. We shall prove only (b), the proof of (a) being similar. For simplicity we assume that $m = 1$. First, let $p = \infty$ and fix j, σ and k . Let

$$Y = \{(w, y) \in E \times (F_j \sim \{0\}) : w + y \in G\}$$

and define ζ on Y by

$$\zeta(w, y) = |f(w + y) - f(w) - L_w(y)|/|y|.$$

Then Y and ζ are $(\mathcal{L}^n \times \mathcal{H}^{n-1})$ -measurable. Let

$$S = \{(w, y) \in Y : w \in G_\sigma, y \in (1/\sigma)F_j \text{ and } \zeta(w, y) \leq 1/k\}.$$

Define a function h on E by

$$h(w) = \mathcal{H}^{n-1}(\{y \in (F_j \sim \{0\}) : (w, y) \in S\}).$$

Then S (and hence h) is \mathcal{L}^n -measurable. Therefore,

$$B_j^\infty(\sigma, k) = h^{-1}(\{(2/\sigma)^{n-1}\})$$

is \mathcal{L}^n -measurable as required.

For the case $p \in [1, \infty)$, fix $\lambda \in (0, 1/\sigma)$ and define a measurable function on $S \times (\lambda F_j)$ by

$$\xi^\lambda(w, y) = \begin{cases} |f(w + y) - f(w) - L_w(y)|/\lambda & \text{if } (w, y) \in Y, \\ 0 & \text{if } (w, y) \notin Y. \end{cases}$$

Then, by Fubini's theorem, the function on S defined by

$$\theta^\lambda(w) = \lambda^{-[(n-1)/p]} \left[\int_{\lambda F_j} |\xi^\lambda(w, y)|^p d\mathcal{H}^{n-1}(y) \right]^{1/p}$$

is measurable. Hence, by the dominated convergence theorem,

$$B_j^p(\sigma, k) = \bigcap_{\lambda \in (0, 1/\sigma)} (\theta^\lambda)^{-1}([0, 1/k]) = \bigcap_{r \in \mathbb{Q} \cap (0, 1/\sigma)} (\theta^r)^{-1}([0, 1/k])$$

is measurable.

Set

$$M_j = \bigcap_{k=1}^{\infty} \bigcup_{\sigma=1}^{\infty} A_j(\sigma, k) \quad \text{and} \quad N_j^p = \bigcap_{k=1}^{\infty} \bigcup_{\sigma=1}^{\infty} B_j^p(\sigma, k).$$

Then M_j is the set of w at which $f|_{w+F_j}$ is L_∞ -continuous and N_j^p is the set of $w \in E$ at which the L_p -differential of $f|_{w+F_j}$ exists and is given by the approximate partial derivatives of f at w .

Set

$$M = \bigcap_{j=1}^n M_j \quad \text{and} \quad N^p = \bigcap_{j=1}^n N_j^p.$$

We have

COROLLARY 2. (a) *If $f \in HL_\infty C$, then $\mathcal{L}^n(G \sim M) = 0$.*

(b) *If $p \in [1, \infty]$ and $f \in HL_p D$, then $\mathcal{L}^n(G \sim N^p) = 0$.*

Proof. First, in connection with part (b), we note that if a map has l as an L_p -differential at a point, then l is also the approximate differential at this point (see [12]). In turn, if a map has an approximate differential a.e., then it has approximate partial derivatives a.e. (This follows, for example, from a linear density argument and the fact that the map may be approximated in a Lusin sense by continuously differentiable maps — see [5], p. 228.) Furthermore, the approximate differential is given a.e. by the approximate partial derivatives.

Let $f \in HL_p D$ and apply the reasoning above to restrictions of f to hyperplanes. In particular, it follows that f has approximate partial derivatives a.e. in almost every hyperplane. Hence $\mathcal{L}^n(G \sim E) = 0$ since the domains of the approximate partial derivatives of any measurable map are measurable (see [5], p. 214).

The rest of the proof is an easy application of Fubini's theorem and Lemma 5.

We can now prove

LEMMA 6. (a) $HL_\infty C = HC$.

(b) $HL_\infty D = HD$.

Proof. By previous remarks we need only to prove that $HL_\infty C \subset HC$ and $HL_\infty D \subset HD$. Fix j . Let $f \in HL_\infty C$ (respectively, $f \in HL_\infty D$). Define a map g_j on C by letting $g_j(w)$ be the value of the upper boundary of $f|_{w+F_j}$ at w . By Corollary 2 (a), $f|_{w+F_j}$ is \mathcal{L}^{n-1} approximately continuous at w for \mathcal{L}^n almost every $w \in G$. Hence, by Lemma 1, $g_j = f$ \mathcal{L}^n a.e. We are done by Lemmas 3 and 4, since $g_j|_{w+F_j}$ is continuous (respectively, has a differential) whenever $f|_{w+F_j}$ is L_∞ -continuous (respectively, has an L_∞ -differential).

3. The main theorems. Corollary 2 also leads to the following, the proof of which was originally inspired by a similar argument, for $n = 2$, in [3], p. 408.

THEOREM 1. (a) $HD \subset RAD$.

(b) *If $p \in [1, \infty]$, then $HL_p D \subset RAL_p D$.*

Proof. By Corollary 1 and Lemma 6, it suffices to prove part (b). Let $m = 1$ and fix $p \in [1, \infty]$. Let $f \in HL_p D$ so that $\mathcal{L}^n(G \sim N^p) = 0$. We show that f has L_w (see the remarks before Lemma 5) as a regular

approximate L_p -differential a.e. in N^p . Note that, as in the proof of Corollary 2, the approximate partial derivatives $\text{ap} D_j f$ of f exist a.e. in G and are measurable. Let $\varepsilon, \tau > 0$.

Choose k' such that $1/k' < \tau$. By Lemma 5, $\{B_j^p(\sigma, k')\}_{\sigma=1}^\infty$ is an increasing sequence of measurable sets and, by Corollary 2,

$$\mathcal{L}^n(G \sim \bigcup_{\sigma=1}^\infty B_j^p(\sigma, k')) = 0 \quad \text{for each } j.$$

Hence there exists σ' such that

$$\mathcal{L}^n(G \sim B_j^p(\sigma', k')) < \varepsilon/2n \quad \text{for each } j.$$

Thus, by Lusin's theorem, there exist a (closed) set

$$H \subset \bigcap_{j=1}^n B_j^p(\sigma', k')$$

and a $\delta \in (0, 1/\sigma)$ such that $\mathcal{L}^n(G \sim H) < \varepsilon$ and

$$|\text{ap} D_j f(v) - \text{ap} D_j f(w)| < \tau \quad \text{for all } j,$$

whenever $v, w \in H$ and $|v - w| < \delta$. Let S be the set of points of H at which H has linear density 1 in each coordinate direction.

For all $w \in S$ let

$$P_w = \{\eta \in (0, \delta): w \pm \eta e_j \in S \text{ and } |f(w \pm \eta e_j) - f(w) - \text{ap} D_j f(w) \cdot \eta| < \tau \eta \text{ for all } j\}.$$

Then P_w has right density 1 at 0 for every $w \in S$.

Fix $w \in S$, $\eta \in P_w$ and j . Let $v = w \pm \eta e_j$. Then, for all $u \in v + \eta E_j$,

$$|u - v| \leq \eta \sqrt{n-1}/2$$

and

$$\begin{aligned} |f(u) - f(w) - L_w(u - w)| &\leq |f(u) - f(v) - L_v(u - v)| + \\ &\quad + |f(v) - f(w) - L_w(v - w)| + |L_v(u - v) - L_w(u - v)|. \end{aligned}$$

Hence, by Minkowski's inequality,

$$(2n)^{-1/p} \|f - T_w\|_{p, w + \eta K} \leq (2\eta)^{(n-1)/p} [\tau\eta + \tau\eta + \tau\eta(n-1)\sqrt{n-1}/2],$$

where $T_w(u) = f(w) + L_w(u - w)$, as before. Thus there exists a constant $\gamma > 0$ (depending only on n and p) such that, for all $w \in S$ and all $\eta \in P_w$,

$$\eta^{-[(n-1)/p]} \|(f - T_w)/\eta\|_{p, w + \eta K} \leq \gamma\tau.$$

This proves the theorem since $\mathcal{L}^n(G \sim S) < \varepsilon$, and ε and τ are arbitrary.

We obtain a stronger result in the case of continuity, namely:

THEOREM 2. $HC = RAC$.

The analogous proposition for the case of differentiability remains to be investigated.

In view of Corollary 1 and Lemma 6, Theorem 2 is an immediate consequence of

LEMMA 7. $HL_\infty C = RAL_\infty C$.

Proof. $HL_\infty C \subset RAL_\infty C$ follows from a simplification of the proof of Theorem 1.

To prove the reverse inclusion, we suppose that $f \notin HL_\infty C$. Then $\mathcal{L}^n(G \sim M) > 0$, so there exists j such that

$$0 < \mathcal{L}^n(G \sim \bigcap_{k=1}^\infty \bigcup_{\sigma=1}^\infty A_j(\sigma, k)) = \mathcal{L}^n\left(\bigcup_{k=1}^\infty \bigcap_{\sigma=1}^\infty (G \sim A_j(\sigma, k))\right).$$

Hence, by Lemma 5, there exists k' such that

$$\mathcal{L}^n\left(\bigcap_{\sigma=1}^\infty (G \sim A_j(\sigma, k'))\right) > 0.$$

Set

$$X = \bigcap_{\sigma=1}^\infty (G \sim A_j(\sigma, k')).$$

There is a closed set $Y \subset X$, $\mathcal{L}^n(Y) > 0$, such that f is continuous on Y . Let Z be the set of points of Y at which Y has linear density 1 in the j -th coordinate direction and let $w \in Z$. Then there exists $H_w \subset (0, 1)$ with right density 1 at 0 such that, for every $\eta \in H_w$,

$$|f(w + \eta e_j) - f(w)| < 1/2k' \quad \text{and} \quad \|f(w + \eta e_j) - f\|_{\infty, w + \eta e_j + \eta F_j} \geq 1/k'.$$

Hence

$$\|f(w) - f\|_{\infty, w + \eta K} > 1/2k' \quad \text{for all } \eta \in H_w,$$

so f is not regularly approximately L_∞ -continuous at w . The lemma follows by contraposition since $\mathcal{L}^n(Z) > 0$.

4. A corollary. We now mention some related results regarding Sobolev maps. Denote by $W_p^{\text{loc}}(G)$ the space of equivalence classes of maps in $L_p^{\text{loc}}(G)$ whose distributional partial derivatives are functions in $L_p^{\text{loc}}(G)$ (see [10]). We define $HW_p^{\text{loc}}(G)$ to be the space of (equivalence classes of) maps whose restrictions to \mathcal{L}^1 almost every hyperplane P , orthogonal to a coordinate axis, are in $W_p^{\text{loc}}(G \cap P)$. By Fubini's theorem,

$$W_p^{\text{loc}}(G) \subset HW_p^{\text{loc}}(G).$$

Let V be the interior of C . Then, for $p \in (1, \infty)$, the map $g(u) = (|u^1| + |u^2|)^{-1/p}$ is easily seen to be in $HW_p(V) \sim W_p(V)$. Accordingly, the following is a slight generalization of a theorem in [7].

COROLLARY 3. (a) If $p > n - 1$, then

$$HW_p^{\text{loc}}(G) \subset RAD.$$

(b) If $1 \leq p < n - 1$ and $\mu = p(n - 1)/[(n - 1) - p]$, then

$$HW_p^{\text{loc}}(G) \subset RAL_\mu D.$$

Proof. By [10], p. 242, if $p > n - 1$, then $HW_p^{\text{loc}} \subset HD$, and if $1 \leq p < n - 1$, then $HW_p^{\text{loc}} \subset HL_\mu D$. The corollary follows from Theorem 1.

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