Propriétés de différentiabilité pour des problèmes pseudoparaboliques de controle pontuel

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Rapports de Recherche

N°64

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Avril 1981

PROPRIETES DE DIFFERENTIABILITE POUR DES PROBLEMES PSEUDOPARABOLIQUES DE CONTROLE PONCTUEL

par

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RESUME :

On étudie la différentiabilité d'une solution u_a au problème de contrôle optimal :

$$\left| \begin{array}{l} My_t + Ly = v(t)\varphi(x-a) \text{ dans } \Omega \times (0,T) \\ \quad y(0) = 0 \text{ dans } \Omega \\ \quad y|_\Sigma = 0 \\ j(a) = \text{minimum } \|v\|^2_{L^2(0,T)} + \|y(T;v)-z\|^2_{L^2(\Omega)} \\ \qquad \text{soumis à } v \in L^2(0,T) \end{array} \right.$$

par rapport au point a.

Pour le cas où φ est une "identité approchée" indéfiniment différentiable, on trouve que j est indéfiniment différentiable.

Lorsque φ est la masse de Dirac en a , $\delta(x-a)$, on montre que $j(a)$ est différentiable si $\Omega \subset R^2$ et $z \in H^{\frac{1}{2}}(\Omega)$.

Differentiability Properties of

Pseudoparabolic Point Control Problems*

by

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Abstract

We study the differentiability of the solution u_a to the optimal control problem

$$\begin{aligned} My_t + Ly &= v(t)\varphi(x - a) \quad \text{in} \quad \Omega \times (0,T) \\ y(0) &= 0 \quad \text{in} \quad \Omega \\ y|_\Sigma &= 0 \\ j(a) = \text{minimum} \quad & \|v\|^2_{L^2(0,T)} + \|y(T;v) - z\|^2_{L^2(\Omega)} \\ \text{subject to} \quad & v \in L^2(0,T) \end{aligned}$$

with respect to the point a. For the case φ an infinitely differentiable "approximate identity", we find that j is infinitely differentiable. For φ the Dirac measure at a, $\delta(x - a)$, we show that $j(a)$ is differentiable if $\Omega \subset R^2$ and $z \in H^{\frac{1}{2}}(\Omega)$.

AMS (MOS) Subject Classification (1970). Primary 49A20, 49B25.

Key Words and Phrases. Pseudo-parabolic equation, point control.

*This research was supported in part by a National Science Foundation Grant No. MCS-7902037 and the Institute National de Recherche en Informatique et en Automatique.

Differentiability Properties of Pseudoparabolic Point Control Problems

by

L. W. White

1. Introduction.

In this paper we study the following problem. Let Ω be a nonempty bounded open subset of R^p, $p = 2$ or 3, with a smooth boundary Γ, and let $Q = \Gamma \times (0,T)$, $\Sigma = \Gamma \times (0,T)$, and $a \in \Omega$. Consider the pseudoparabolic problem

$$\begin{aligned} &My_t + Ly = v(t)\varphi(x - a) \quad \text{in } Q \\ &y(x,0;v) = 0 \quad \text{in } \Omega \\ &y(x,t;v) = 0 \quad \text{on } \Sigma \end{aligned} \tag{1}$$

where $M = M(x)$ and $L = L(x)$ are second order symmetric uniformly elliptic operators. The function φ may be an "approximate identity" with the properties:

(2) $\varphi \in C_0^\infty(R^p)$, $\operatorname{supp} \varphi(x - a) \subset B(a,\varepsilon) \subset \Omega$ where $B(a,\varepsilon)$ $= \{y \in R^p : \|y - a\| \le \varepsilon\}$, $\varphi \ge 0$, $\int_\Omega \varphi(x - a)dx = 1$ or may be the Dirac measure at a, $\delta(x - a)$. Together with the equation (1), we study the optimization problem

$$\begin{aligned} &\text{minimize} \quad J(v) = \int_0^T v^2(t)dt + \int_\Omega (y(x,T;v) - z(x))^2 dx \\ &\text{subject to} \quad v \in L^2(0,T) \end{aligned} \tag{3}$$

with $z \in L^2(\Omega)$.

The differential equation (1) arises in the modelling of various physical systems such as flow of fluid in fissured strata [2] and the flow of second order fluids [6]. We refer to the work of Carroll and Showalter [3] for an extensive bibliography concerning these equations.

The control problem embodied in (1) and (3) is studied in [7, 8]. There the existence of a unique solution u_a is established. Furthermore, it is shown that the function from Ω into R defined by $a \to j(a) = J(u_a)$ is continuous from Ω to R . Here we determine differentiability properties of this function. More specifically for the case of the Dirac measure we show that for $\Omega \subset R^2$ and $z \in H^{\frac{1}{2}}(\Omega)$, the function $a \to j(a)$ is differentiable. In the approximate identity case the differentiability properties are independent of the space dimension and the smoothness of z . Section 2 considers the case for an approximate identity and section 3 treats the Dirac function case.

2. The case for an approximate identity.

We begin with the equations that characterize the solution of the control problem (1) and (3), c.f. [7, 8].

Proposition 1. The control problem (1) and (3) where φ satisfies (2) has a unique solution characterized by the system

$$
\begin{aligned}
&My_t + Ly = u_a(t)\varphi(x - a) \quad \text{in} \quad Q \\
(4) \qquad &y(\cdot,0;u_0) = 0 \quad \text{in} \quad \Omega \\
&y(x,t;u_a) = 0 \quad \text{on} \quad \Sigma
\end{aligned}
$$

$$(5)\qquad \begin{aligned} -Mq_t + Lq &= 0 \quad \text{in } Q \\ q(\cdot,T;u_a) &= M^{-1}(y(\cdot,T;u_a) - z(\cdot)) \quad \text{in } \Omega \\ q(x,t;u_a) &= 0 \quad \text{on } \Sigma \end{aligned}$$

$$(6)\qquad u_a(t) + \int_\Omega q(x,t;u_a)\varphi(x - a)dx = 0 \quad \text{a.e. in } (0,T) .$$

As a function of $a \in \Omega$, we have

$$(7)\qquad j(a) = J(u_a) = \|u_a\|^2_{L^2(0,T)} + \|y(\cdot,T;u_a) - z(\cdot)\|^2_{L^2(\Omega)} .$$

We calculate the gradient of j to obtain

$$(8)\qquad \nabla j(a) = (j_{a_1}(a), j_{a_2}(a), j_{a_3}(a))$$

where

$$(9)\qquad j_{a_i}(a) = 2(u_a, \delta_{a_i} u_a)_{L^2(0,T)} + 2(y(T;u_a) - z, \delta_{a_i} y(T;u_a))_{L^2(\Omega)}$$

for $i = 1,2,3$, and show that equation (9) makes sense.

We consider j_{a_1} , the other direvatives being similar. Set $\eta_1 = \delta_{a_1} y$, $\zeta_1 = \delta_{a_1} q$, $\varphi_1 = \frac{\partial\varphi}{\partial a_1}$, and $w_1 = \delta_{a_1} u_a$. Taking the variation of equations (4)-(6), we have

$$(10)\qquad \begin{aligned} M \frac{\partial\eta_1}{\partial t} + L\eta_1 &= w_1\varphi(x - a) - u_a\varphi_1(x - a) \quad \text{in } Q \\ \eta_1(0) &= 0 \quad \text{in } \Omega \\ \eta_1|_\Sigma &= 0 \end{aligned}$$

$$(11)\qquad \begin{aligned} -M \frac{\partial\zeta_1}{\partial t} + L\eta_1 &= 0 \quad \text{in } Q \\ \zeta_1(T) &= M^{-1}\eta_1(T) \quad \text{in } \Omega \\ \zeta_1|_\Sigma &= 0 \end{aligned}$$

$$(12)\qquad w_1(t) + \int_\Omega \zeta_1(x,t)\varphi(x - a)dx - \int_\Omega q(x,t)\varphi_1(x - a)dx = 0$$

Multiplying (10) by q and integrating, we have

$$(y(T;u_a) - z \;,\; \eta_1(T))_{L^2(\Omega)} = \int_0^T (w_1(t)\int_\Omega q(x,t)\varphi(x - a)dx - u_a(t)\int_\Omega q(x,t)\varphi_1(x - a)dx)dt \;.$$

Thus, we may rewrite equation (9) for $i = 1$ as

$$j_{a_1}(a) = 4\int_0^T w_1(t)u_a(t)dt - 2\int_0^T u_a(t)\int_\Omega q(x,t)\varphi_1(x - a)dxdt \;. \tag{13}$$

Lemma 2. Equation (13) defines $j_{a_1}(a)$ if the system (10)-(12) has a unique solution.

We approach the problem of proving the existence and uniqueness of a solution of (10)-(12) by considering the following quadratic control problem.

$$\begin{aligned} &M\frac{\partial\eta_1(v)}{\partial t} + L\eta_1(v) = v(t)\varphi(x - a) - u_a(t)\varphi_1(x - a) \quad \text{in } Q \\ &\eta_1(0,v) = 0 \quad \text{in } \Omega \\ &\eta_1(v)|_\Sigma = 0 \end{aligned} \tag{14}$$

$$\text{minimize} \quad \|v\|^2_{L^2(0,T)} + \|\eta_1(T;v)\|^2_{L^2(\Omega)} - 2(v,\int_\Omega q(x,t)\varphi_1(x - a)dx)_{L^2(0,T)} \tag{15}$$

subject to $v \in L^2(0,T)$.

Remark 3. Note that since φ is smooth, the solution of (14) has trace at time T in $L^2(\Omega)$ for any $v \in L^2(0,T)$. That is, $\eta_1(\cdot,T;v) \in L^2(\Omega)$ for any $v \in L^2(0,T)$.

The functional in (15) makes sense, and the following is a standard result.

Lemma 4. There exists a unique solution w_1 to problem (15).

By taking the variation of (15) at w_1 and introducing equation (11), we obtain equation (12). Hence, we have proved the following.

Lemma 5. There exists a unique solution to the system (10)-(12).

It follows then from Lemmas 2 and 5.

Theorem 6. The partial derivative $j_{a_1}(a)$ is given by equation (13).

Remark 7. Note if φ satisfies (2) then the set Ω may be taken to be in R^p. By inspecting the previous arguments, we can see that further differentiability is possible depending on the differentiability of φ. In particular, if φ is infinitely differentiable, then so is j.

3. The delta function case.

We now study the problem for $\varphi = \delta$.

$$\begin{aligned} My_t + Ly &= v(t)\delta(x - a) \quad \text{in } Q \\ y(0) &= 0 \quad \text{in } \Omega \\ y|_\Sigma &= 0 \end{aligned} \tag{16}$$

where Ω is in R^2 and Γ is smooth.

Remark 8. Since for $\Omega \subset R^p$, it follows $H^n(\Omega) \subset C^0(\overline{\Omega})$ if $n > \frac{p}{2}$, [1]. For $p = 2$, we see that $H^{3/2}(\Omega) \subset C^0(\overline{\Omega})$ and $\delta \in (H^{3/2}(\Omega))^*$. Further, by interpolation it follows that $y \in H^1(0,T;H^{\frac{1}{2}}(\Omega))$ so that the trace $y(\cdot,T;v) \in H^{\frac{1}{2}}(\Omega)$ for each v in $L^2(0,T)$.

From the above remark, it is clear that the minimization problem (3) makes sense. In [7] it is shown that there exists a unique solution u_a in $L^2(0,T)$, in fact in $C^\infty(0,T)$.

Proposition 9. There exists a unique solution u_a for the problem given by

(16) and (3) that is characterized by the system

$$
\begin{aligned}
&My_t + Ly = u_a(t)\delta(x - a) \quad \text{in} \quad Q \\
&y(0) = 0 \quad \text{in} \quad \Omega \\
&y|_\Sigma = 0
\end{aligned} \tag{17}
$$

$$
\begin{aligned}
&-Mq_t + Lq = 0 \quad \text{in} \quad Q \\
&q(T) = M^{-1}(y(T;u_a) - z) \quad \text{in} \quad \Omega \\
&q|_\Sigma = 0
\end{aligned} \tag{18}
$$

$$
u_a(t) + q(a,t;u_a) = 0 \quad \text{in} \quad (0,T) \ . \tag{19}
$$

As in the previous section we (formally) calculate $j_{a_1}(a)$ and the variation of equations (17)-(19) to obtain the system of equations

$$
\begin{aligned}
&M\frac{\partial \eta_1}{\partial t} + L\eta_1 = w_1(t)\delta(x - a) - u_a(t)\delta_1(x - a) \quad \text{in} \quad Q \\
&\eta_1(0) = 0 \quad \text{in} \quad \Omega \\
&\eta_1|_\Sigma = 0
\end{aligned} \tag{20}
$$

$$
\begin{aligned}
&-M\frac{\partial \eta_1}{\partial t} + L\zeta_1 = 0 \quad \text{in} \quad Q \\
&\zeta_1(T) = M^{-1}\eta_1(T) \quad \text{in} \quad \Omega \\
&\zeta_1|_\Sigma = 0
\end{aligned} \tag{21}
$$

$$
w_1(t) + \zeta_1(a,t) = q_{x_1}(a,t) = 0 \quad \text{in} \quad (0,T) \ , \tag{22}
$$

and

$$
j_{a_1}(a) = -2\int_0^T u_a(t)\zeta_1(a,t)dt + 4\int_0^T w_1(t)q(a,t)dt \ . \tag{23}
$$

We seek to provide the proper setting for these equations. Because of the irregularity involved, we prove existence of a solution of the system (20)-(22) by transposition [4,5].

We begin with some observations concerning the regularity of the solution of (17)-(19) that follow from interpolation and results in [5].

Lemma 10. The solution $y(u_a)$ of equation (17) belongs to $H^1(0,T;H^{\frac{1}{2}}(\Omega))$. The solution q of equation (18) belongs to $H^k(0,T:H_0^1(\Omega) \cap H^{5/2}(\Omega))$ for $k \geq 0$ if $z \in H^{\frac{1}{2}}(\Omega)$.

Remark 11. The map $t \to q(\cdot,t)$ is an infinitely differentiable map of $(0,T)$ into $H_0^1(\Omega) \cap H^{5/2}(\Omega)$. Hence, $t \to q(a,t)$ is continuous and in $L^2(0,T)$. Further, with $q_{x_1}(\cdot,t) \in H^{3/2}(\Omega)$ for each t, we see that $t \to q_{x_1}(a,t)$ is continuous and in $L^2(0,T)$.

For equations (20)-(22) with the variation w_1 in $L^2(0,T)$ and with δ_1 belonging to $H^{-5/2}(\Omega)$, the right side of equation (20) is in $L^2(0,T;H^{-5/2)}(\Omega))$. Thus, we seek a solution η_1 in $H^1(0,T;H^{-\frac{1}{2}}(\Omega))$.

Remark 12. In this case we have only $\eta_1(T)$ in $H^{-\frac{1}{2}}(\Omega)$. Hence, the method of demonstrating the existence of a solution to the variational equations that is used in section is not applicable here.

However, we note that if $\eta_1(\cdot,T)$ is in $H^{-\frac{1}{2}}(\Omega)$, the solution ζ_1 of equation (21) belongs to $H^p(0,1;H_0^1(\Omega) \cap H^{3/2}(\Omega))$. Accordingly, for each $a \in \Omega$, $\zeta_1(a,t)$ is defined and is a continuous function of t in $[0,T]$.

Lemma 13. If there exists a solution to the system of equation (20)-(22) with $\zeta_1(a,t)$ in $L^2(0,T)$, then formula (23) has meaning.

We prove the existence of a solution to (20)-(22) by transposition. To this end, we consider the following system.

$$
\begin{aligned}
&-M\psi_t + L\psi = \theta \text{ in } Q \\
(24) \qquad &\psi(T) = M^{-1}\alpha(T) \text{ in } \Omega \\
&\psi|_\Sigma = 0
\end{aligned}
$$

$$
(25) \qquad
\begin{aligned}
M\alpha_t + L\alpha &= \beta - \psi(a,t)\delta(x-a) \quad \text{in } Q \\
\alpha(0) &= 0 \quad \text{in } \Omega \\
\alpha|_\Sigma &= 0
\end{aligned}
$$

where $\theta \in L^2(0,T;H^{\frac{1}{2}}(\Omega))$ and $\beta \in L^2(0,T;H^{-3/2}(\Omega))$.

Multiplying equation (20) by ψ and using equation (22), we integrate to obtain

$$
(26) \qquad
\begin{aligned}
\int_\Omega \eta_1(x,T)\alpha(x,T)dx + \int_0^T\int_\Omega \eta_1(x,t)\theta(x,t)dxdt \\
= \int_0^T (q_{x_1}(a,t) - \zeta_1(a,t))\psi(a,t)dt \\
- \int_0^T u_a(t)\psi_{x_1}(a,t)dt \ .
\end{aligned}
$$

Similarly, multiplying equation (21) by α and integrating, we find that

$$
(27) \qquad \int_\Omega \eta_1(x,T)\alpha(x,T)dx = \int_0^T\int_\Omega \zeta_1(x,t)\beta(x,t)dxdt - \int_0^T \psi(a,t)\zeta_1(a,t)dt \ .
$$

Combining equations (26) and (27), we have

$$
(28) \qquad
\begin{aligned}
\int_0^T\int_\Omega \zeta_1(x,t)\beta(x,t)dt + \int_0^T\int_\Omega \eta_1(x,t)\theta(x,t)dt \\
= \int_0^T q_x(a,t)\psi(a,t)dt - \int_0^T u_a(t)\psi_{x_1}(a,t)dt
\end{aligned}
$$

<u>Lemma</u> 14. If for every pair (θ,β) in $L^2(0,T;H^{\frac{1}{2}}(\Omega)) \times L^2(0,T;H^{-3/2}(\Omega))$ there exists a unique solution of (24) and (25), then the solution (ζ_1,η_1) in $L^2(0,T;H^{3/2}(\Omega)) \times L^2(0,T;H^{-\frac{1}{2}}(\Omega))$ of (20)-(22) is defined by equation (28).

We now show that the system of equations (24) and (25) has a unique solution. Thus, we consider the problem

$$
(29) \qquad
\begin{aligned}
M\alpha_t(v) + L\alpha(v) &= \beta - v(t)\delta(x-a) \quad \text{in } Q \\
\alpha(0) &= 0 \quad \text{in } \Omega \\
\alpha|_\Sigma &= 0 \ .
\end{aligned}
$$

With $\beta \in L^2(0,T;H^{-3/2}(\Omega))$ given, the equation (29) defines $\alpha \in H^1(0,T;H^{\frac{1}{2}}(\Omega))$, c.f. [7], by interpolation [5]. Hence, it follows that the trace $\alpha(\cdot,T)$ belongs to $H^{\frac{1}{2}}(\Omega)$, [5], and, as in the previous section, we introduce the minimization problem

$$(30) \qquad \begin{aligned} &\text{minimize} \quad \|v\|^2_{L^2(0,T)} + \|\alpha(T;v)\|^2_{L^2(\Omega)} + 2(\theta,\alpha(v))_{L^2(Q)} \\ &\text{subject to} \quad v \in L^2(0,T) . \end{aligned}$$

Clearly, there exists a unique solution u to problem (30), see [4, 7]. Again, a characterization may be obtained by taking the variation at u of the functional in (30). We have

$$(31) \qquad (u,v)_{L^2(0,T)} + (\alpha(T;u),(\delta\alpha)(T))_{L^2(\Omega)} + (\theta,(\delta\alpha))_{L^2(Q)} = 0$$

where the variations satisfy

$$(32) \qquad \begin{aligned} M(\delta\alpha)_t + L(\delta\alpha) &= -v(t)\delta(x-a) \quad \text{in } Q \\ (\delta\alpha)(0) &= 0 \quad \text{in } \Omega \\ (\delta\alpha)|_\Sigma &= 0 . \end{aligned}$$

We introduce the adjoint equation

$$(24) \qquad \begin{aligned} -M\psi_t + L\psi &= \theta \quad \text{in } Q \\ \psi(T) &= M^{-1}\alpha(T;u) \quad \text{in } \Omega \\ \psi|_\Sigma &= 0 , \end{aligned}$$

and we note that, with $\theta \in L^2(0,T;H^{\frac{1}{2}}(\Omega))$, the solution ψ of (24) belongs to $H^1(0,T;H^1_0(\Omega) \cap H^{5/2}(\Omega))$. Multiplying (32) by ψ and integrating, we see that

$$\int_0^T\int_\Omega \psi(M(\delta\alpha)_t + L(\delta\alpha))dxdt = -\int_0^T v(t)\psi(a,t)dt$$

so that

$$(\alpha(T;u),(\delta\alpha)(T))_{L^2(\Omega)} + (\theta,(\delta\alpha))_{L^2(Q)} = -\int_0^T v(t)\psi(a,t)dt \ .$$

Hence, we see that

$$(u - \psi(a,\cdot),v)_{L^2(0,T)} = 0$$

for all $v \in L^2(0,T)$, and we have

$$u(t) = \psi(a,t) \tag{33}$$

almost everywhere in $[0,T]$. The characterizing equations then are given by

$$\begin{aligned} M\alpha_t + L\alpha &= \beta - \psi(a,t)\delta(x - a) \quad \text{in } Q \\ \alpha(0) &= 0 \quad \text{in } \Omega \\ \alpha|_\Sigma &= 0 \end{aligned} \tag{25}$$

$$\begin{aligned} -M\psi_t + L\psi &= \theta \quad \text{in } Q \\ \psi(T) &= M^{-1}\alpha(T) \quad \text{in } \Omega \\ \psi|_\Sigma &= 0 \ , \end{aligned} \tag{24}$$

and we have shown that the system of equations (24) and (25) has a solution.

If $\theta = 0$ and $\beta = 0$, we have by multiplying (25) by ω and integrating that

$$\|\alpha(T)\|_{L^2(\Omega)} + \|\psi(a,\cdot)\|^2_{L^2(0,T)} = 0$$

so that $\psi = 0$ and $\alpha = 0$.

<u>Proposition</u> 15. If $\beta \in L^2(0,T;H^{-3/2}(\Omega))$ and $\theta \in L^2(0,T;H^{\frac{1}{2}}(\Omega))$, there

exists a unique solution (α,ψ) of (24) and (25) with $\psi \in H^1(0,T:H_0^1(\Omega) \cap H^{5/2}(\Omega))$ and $\alpha \in H^1(0,T;H^{\frac{1}{2}}(\Omega))$.

From Proposition 15 and Lemma 14, we deduce the following.

Corollary 16. There exists a solution ζ_1 such that $\zeta_1(a,\cdot)$ belongs to $L^2(0,T)$, in fact, in $C(0,T)$.

Thus, from Lemma 13 we conclude the following.

Theorem 17. Let $\Omega \subset R^2$ and $z \in H^{\frac{1}{2}}(\Omega)$. Then $j_{a_1}(a)$ is well-defined and is given by equation (23).

Remark 18. An analogous argument holds for $j_{a_2}(a)$, and thus, $\nabla j(a)$ is defined for each $a \in \Omega$.

Acknowledgment: The author would like to thank Professor J. L. Lions for his interest and comments concerning this work.

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Imprimé en France

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