

Computable Real Analysis without Set Theory or Turing Machines

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Topological spaces

A **topological space** is a set X (of **points**) equipped with a set of (“**open**”) subsets of X closed under finite intersection and arbitrary union.

Wood and chipboard

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Chipboard is a set X of particles of **sawdust** equipped with a quantity of **glue** that causes the sawdust to form a cuboid.

A natural language for topology

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It *looks* like set theory because

- ▶ there are analogies between sets and spaces
- ▶ these analogies can be formulated as universal properties in category theory
- ▶ universal properties can be expressed as introduction and elimination rules in proof theory.

I will tell this story in Kananaskis on Wednesday.

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The language **only introduces** continuous computable functions.

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\mathbb{N} and \mathbb{Q} are **discrete and Hausdorff**.

So we have **all six** relations for them.

Geometric, not Intuitionistic, logic

A term $\sigma : \Sigma$ is called a **proposition**.

A term $\phi : \Sigma^X$ is called a **predicate** or **open subspace**.

Applicatio ϕa denotes **membership** of an open subspace.

We can form $\phi \wedge \psi$ and $\phi \vee \psi$.

Also $\exists n : \mathbf{N}. \phi x$, $\exists q : \mathbf{Q}. \phi x$, $\exists x : \mathbf{R}. \phi x$ and $\exists x : [0, 1]. \phi x$.

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Negation and implication are not allowed.

Because:

- ▶ this is the **logic of open subspaces**;
- ▶ the function $\odot \Leftrightarrow \bullet$ on $\left(\begin{smallmatrix} \odot \\ \bullet \end{smallmatrix}\right)$ is **not continuous**;
- ▶ the **Halting Problem** is not solvable.

Compactness and universal quantification

When $K \subset X$ is **compact** (e.g. $[0, 1] \subset \mathbb{R}$), we can form $\forall x: K. \phi x$.

$$\frac{\Gamma, x: K \vdash \top \Leftrightarrow \phi x}{\Gamma \vdash \top \Leftrightarrow \forall x: K. \phi x}$$

From the usual “finite open subcover” definition of compactness,
this captures the notion of **cover**, $K \subset U$.

Compactness and exchanging quantifiers

The quantifier is a (higher-type) function $\forall_K : \Sigma^K \rightarrow \Sigma$.

Like everything else, it's **Scott continuous**.

This captures the *infinitary* part
of the “finite open subcover” definition.

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The useful cases of this in real analysis are

$$\forall x : K. \exists \delta > 0. \phi(x, \delta) \quad \Leftrightarrow \quad \exists \delta > 0. \forall x : K. \phi(x, \delta)$$

$$\forall x : K. \exists n. \phi(x, n) \quad \Leftrightarrow \quad \exists n. \forall x : K. \phi(x, n)$$

in the case where $(\delta_1 < \delta_2) \wedge \phi(x, \delta_2) \Rightarrow \phi(x, \delta_1)$
or $(n_1 > n_2) \wedge \phi(x, n_2) \Rightarrow \phi(x, n_1)$.

Recall that **uniform** convergence, continuity, *etc.* involve **commuting quantifiers** like this.

Examples: continuity and uniform continuity

Recall that, from **local compactness** of \mathbb{R} ,

$$\phi x \Leftrightarrow \exists \delta > 0. \forall y: [x \pm \delta]. \phi y$$

Theorem: Every definable function $f : \mathbb{R} \rightarrow \mathbb{R}$ is **continuous**:

$$\epsilon > 0 \Rightarrow \exists \delta > 0. \forall y: [x \pm \delta]. (|fy - fx| < \epsilon)$$

Proof: Put $\phi_{x,\epsilon}y \equiv (|fy - fx| < \epsilon)$, with **parameters** $x, \epsilon : \mathbb{R}$.

Theorem: Every function f is **uniformly continuous** on any **compact** subspace $K \subset \mathbb{R}$:

$$\epsilon > 0 \Rightarrow \exists \delta > 0. \forall x : K. \forall y: [x \pm \delta]. (|fy - fx| < \epsilon)$$

Proof: $\exists \delta > 0$ and $\forall x : K$ commute.

Example: Dini's theorem

Theorem: Let $f_n : K \rightarrow \mathbb{R}$ be an **increasing** sequence of functions

$$n : \mathbb{N}, x : K \vdash f_n x \leq f_{n+1} x : \mathbb{R}$$

that converges **pointwise** to $g : K \rightarrow \mathbb{R}$, so

$$\epsilon > 0, x : K \vdash \top \Leftrightarrow \exists n. gx - f_n x < \epsilon.$$

If K is **compact** then f_n converges to g **uniformly**.

Proof: Using the **introduction** and **Scott continuity** rules for \forall ,

$$\begin{aligned} \epsilon > 0 \vdash \top &\Leftrightarrow \forall x : K. \exists n. gx - f_n x < \epsilon \\ &\Leftrightarrow \exists n. \forall x : K. gx - f_n x < \epsilon \end{aligned}$$

Exercise for everyone!

Make a habit of trying to formulate statements in analysis according to (the restrictions of) the ASD language.

This may be easy — it may not be possible

The exercise of doing so may be 95% of solving your problem!

Constructive intermediate value theorem

Suppose that $f : \mathbb{R} \rightarrow \mathbb{R}$ **doesn't hover**, i.e.

$$b, d : \mathbb{R} \vdash b < d \Rightarrow \exists x. (b < x < d) \wedge (fx \neq 0),$$

and $f0 < 0 < f1$. Then $fc = 0$ for some $0 < c < 1$.

Interval trisection: Let $a_0 \equiv 0, e_0 \equiv 1$,

$$b_n \equiv \frac{1}{3}(2a_n + e_n) \quad \text{and} \quad d_n \equiv \frac{1}{3}(a_n + 2e_n).$$

Then $f(c_n) \neq 0$ for some $b_n < c_n < d_n$, so put

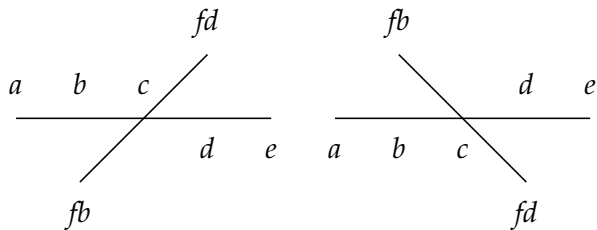
$$a_{n+1}, e_{n+1} \equiv \begin{cases} a_n, c_n & \text{if } f(c_n) > 0 \\ c_n, e_n & \text{if } f(c_n) < 0. \end{cases}$$

Then $f(a_n) < 0 < f(e_n)$ and $a_n \rightarrow c \leftarrow e_n$.

(This isn't the ASD proof/algorithm yet!)

Stable zeroes

The interval trisection finds zeroes with this property:



Definition: $c : \mathbb{R}$ is a **stable zero** of f if

$$a, e : \mathbb{R} \vdash a < c < e \Rightarrow \exists bd. \quad (a < b < c < d < e) \\ \wedge (fb < 0 < fd \vee fb > 0 > fd).$$

The subspace $Z \subset [0, 1]$ of **all** zeroes is **compact**.

The subspace $S \subset [0, 1]$ of **stable** zeroes is **overt** (as we shall see...)

Straddling intervals

An open subspace $U \subset \mathbb{R}$ contains a stable zero $c \in U \cap S$ iff U also contains a **straddling interval**,

$$[b, d] \subset U \quad \text{with} \quad fb < 0 < fd \quad \text{or} \quad fb > 0 > fd.$$

[\Rightarrow] From the definitions. [\Leftarrow] The straddling interval is an intermediate value problem in miniature.

Straddling intervals

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[\Rightarrow] From the definitions. [\Leftarrow] The straddling interval is an intermediate value problem in miniature.

Notation: Write $\diamond U$ if U **contains** a straddling interval.

We write this **containment** in ASD using the **universal quantifier**.

$$\begin{aligned} \diamond \phi &\equiv \exists bd. && (\forall x: [b, d]. \phi x) \\ &&& \wedge (fb < 0 < fd) \vee (fb > 0 > fd). \end{aligned}$$

The possibility operator

By hypothesis, $\diamond(0, 1) \Leftrightarrow \top$, whilst $\diamond \emptyset \Leftrightarrow \perp$ trivially.

$$\diamond \bigcup_{i \in I} U_i \iff \exists i. \diamond U_i.$$

If $f : \mathbb{R} \rightarrow \mathbb{R}$ is an **open map**, this is easy.

If $f : \mathbb{R} \rightarrow \mathbb{R}$ doesn't hover, it depends on **connectedness** of \mathbb{R} .

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Definition: A term $\diamond : \Sigma^{\Sigma^X}$ with this property is called an **overt subspace** of X .

A simpler example: For any **point** $a : X$, the **neighbourhood filter** $\diamond \equiv \eta a \equiv \lambda \phi. \phi a$ is a possibility operator.

\diamond is a point **iff** it also preserves \top and \wedge .

The Possibility Operator as a Program

Theorem: Let \diamond be an overt subspace of \mathbb{R} with $\diamond \top \Leftrightarrow \top$.

Then \diamond has an **accumulation point** $c \in \mathbb{R}$,

i.e. one of which every open neighbourhood $c \in U \subset \mathbb{R}$ satisfies $\diamond U$:

$$\phi : \Sigma^{\mathbb{R}} \vdash \phi c \Rightarrow \diamond \phi$$

Example: In the intermediate value theorem, any such c is a stable zero.

Proof: Interval trisection.

Corollary: Obtain a **Cauchy sequence** from a **Dedekind cut**.

Possibility operators classically

Define $\diamond U$ as $U \cap S \neq \emptyset$, for any subset $S \subset X$ whatever.

Then $\diamond \left(\bigcup_{i \in I} U_i \right)$ iff $\exists i. \diamond U_i$.

Conversely, if \diamond has this property, let

$$\begin{aligned} S &\equiv \{a \in X \mid \text{for all open } U \subset X, \ a \in U \Rightarrow \diamond U\} \\ W &\equiv X \setminus S = \bigcup \{U \text{ open} \mid \neg \diamond U\} \end{aligned}$$

Then W is open and S is closed.

$\neg \diamond W$ by preservation of unions.

Hence $\diamond U$ holds iff $U \not\subset W$, i.e. $U \cap S \neq \emptyset$.

If \diamond had been derived from some S' then $S = \overline{S'}$, its closure.

Classically, every (sub)space S is overt.

Necessity operators

Let $K \subset \mathbb{R}$ be any **compact** subspace.

(For example, **all zeroes** in a bounded interval.)

$U \mapsto (K \subset U)$ is **Scott continuous**.

Notation: Write $\Box \phi$ for $\forall x: K. \phi x$.

Modal operators, separately

\square encodes the **compact** subspace $Z \equiv \{x \in \mathbb{I} \mid fx = 0\}$ of **all** zeroes.

\diamond encodes the **overt** subspace S of **stable** zeroes.

$\square X$ is true and $\square U \wedge \square V \Rightarrow \square(U \cap V)$

$\diamond \emptyset$ is false and $\diamond(U \cup V) \Rightarrow \diamond U \vee \diamond V$.

$(Z \neq \emptyset)$ iff $\square \emptyset$ is false

$(S \neq \emptyset)$ iff $\diamond \mathbb{R}$ is true

Modal operators, together

\diamond and \square for the subspaces $S \subset Z$ are related in general by:

$$\square U \wedge \diamond V \Rightarrow \diamond(U \cap V)$$

$$\square U \iff (U \cup W = X)$$

$$\diamond V \Rightarrow (V \not\subset W)$$

S is dense in Z iff

$$\square(U \cup V) \Rightarrow \square U \vee \diamond V$$

$$\diamond V \iff (V \not\subset W)$$

In the intermediate value theorem
for functions that don't hover (e.g. polynomials):

- ▶ $S = Z$ in the **non-singular** case
- ▶ $S \subset Z$ in the **singular** case (e.g. double zeroes).

Modal laws in ASD notation

Overt subspace

$$\diamond \perp \Leftrightarrow \perp$$

$$\diamond(\phi \vee \psi) \Leftrightarrow \diamond\phi \vee \diamond\psi$$

$$\sigma \wedge \diamond\phi \Leftrightarrow \diamond(\sigma \wedge \phi)$$

Compact subspace

$$\Box \top \Leftrightarrow \top$$

$$\Box(\phi \wedge \psi) \Leftrightarrow \Box\phi \wedge \Box\psi$$

$$\sigma \vee \Box\phi \Leftrightarrow \Box(\lambda x. \sigma \vee \phi x)$$

Commutative laws:

$$\diamond(\lambda x. \blacklozenge(\lambda y. \phi xy)) \Leftrightarrow \blacklozenge(\lambda y. \diamond(\lambda x. \phi xy))$$

$$\Box(\lambda x. \blacksquare(\lambda y. \phi xy)) \Leftrightarrow \blacksquare(\lambda y. \Box(\lambda x. \phi xy))$$

Mixed modal laws for a **compact overt** subspace.

$$\Box\phi \vee \diamond\psi \Leftarrow \Box(\phi \vee \psi) \quad \text{and} \quad \Box\phi \wedge \diamond\psi \Rightarrow \diamond(\phi \wedge \psi)$$

Empty/inhabited is decidable

Theorem: Any compact overt subspace (\Box, \Diamond) is **either** empty $(\Box \perp)$ **or** non-empty $(\Diamond \top)$.

Proof:

$$\begin{array}{lll} \Diamond \top \Leftrightarrow \perp & \text{empty} & \Box \perp \Leftrightarrow \top \\ \Diamond \top \Leftrightarrow \top & \text{inhabited} & \Box \perp \Leftrightarrow \perp \\ \Box \perp \vee \Diamond \top \Leftarrow & \text{complementary} & \Box \perp \wedge \Diamond \top \Rightarrow \\ \Box(\perp \vee \top) \Leftrightarrow \Box \top \Leftrightarrow \top & \text{(mixed)} & \Diamond(\perp \wedge \perp) \Leftrightarrow \Diamond \perp \Leftrightarrow \perp \end{array}$$

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The **dichotomy** (either $\Box \perp$ or $\Diamond \top$) means that the parameter space Γ is a **disjoint union**.

So, if it is **connected**, like \mathbb{R}^n , **something** must break at **singularities**.

It is the modal law $\Box(\phi \vee \psi) \Rightarrow \Box \phi \vee \Diamond \psi$.

Non-empty compact overt subspace of \mathbb{R} has a maximum

Theorem: Any overt compact subspace $K \subset \mathbb{R}$ is

- ▶ either empty
- ▶ or has a **greatest** element, $\max K \in K$.

Definition: $\max K$ satisfies, for $x : \mathbb{R}$,

$$(x < \max K) \Leftrightarrow (\exists k : K. x < k)$$

$$(\max K < x) \Leftrightarrow (\forall k : K. k < x)$$

$$k : K \vdash k \leq \max K$$

$$\frac{\Gamma, k : K \vdash k \leq x}{\Gamma \vdash \max K \leq x}$$

$$\Gamma \vdash \max K \leq x$$

Compact overt subspace of \mathbb{R} has a maximum

Proof: Define a **Dedekind cut** (next slide)

$$\delta d \equiv \exists k: K. d < k \quad \text{and} \quad \nu u \equiv \forall k: K. k < u$$

Hence there is some $a : \mathbb{R}$ with

$$\delta d \Leftrightarrow (d < a) \quad \text{and} \quad \nu u \Leftrightarrow (a < u)$$

Moreover, $a \in K$.

K is also the **closed** subspace
co-classified by $\omega x \equiv \square(\lambda k. x \neq k)$,
so we must show that $\omega a \Leftrightarrow \perp$.

$$\begin{aligned} \omega a \equiv \square(\lambda k. a \neq k) &\Leftrightarrow \square(\lambda k. a < k) \vee (k < a) \\ &\Rightarrow \diamond(\lambda k. a < k) \vee \square(\lambda k. k < a) \\ &\equiv \delta a \vee \nu a \\ &\Leftrightarrow (a < a) \vee (a < a) \Leftrightarrow \perp. \end{aligned}$$

Compact overt subspace of \mathbb{R} defines a Dedekind cut

Overt subspace \diamond		Compact subspace \square
\perp, \vee, \bigvee and so $\exists_{\mathbb{R}}$	commutes with	\top, \wedge and \bigvee
$\delta d \equiv \diamond(\lambda k. d < k)$	Dedekind cut	$vu \equiv \square(\lambda k. k < u)$
$(d < e) \wedge \delta e \equiv$ $(d < e) \wedge \diamond(\lambda k. e < k)$	lower/upper	$vt \wedge (t < u) \equiv$ $\square(\lambda k. k < t) \wedge (t < u)$
$\Leftrightarrow \diamond(\lambda k. d < e < k)$	(Frobenius/ $\square \top$)	$\Leftrightarrow \square(\lambda k. k < t < u)$
$\Rightarrow \diamond(\lambda k. d < k) \equiv \delta d$	(transitivity)	$\Rightarrow \square(\lambda k. k < u) \equiv vu$
\Leftarrow	rounded (interpolation)	\Leftarrow
$\exists d. \delta d \equiv \exists d. \diamond(\lambda k. d < k)$	inhabited	$\exists u. vu \equiv \exists u. \square(\lambda k. k < u)$
$\Leftrightarrow \diamond(\lambda k. \exists d. d < k)$	(directed joins)	$\Leftrightarrow \square(\lambda k. \exists u. k < u)$
$\Leftrightarrow \diamond \top \Leftrightarrow \top$ (inhabited)	(extrapolation)	$\Leftrightarrow \square \top \Leftrightarrow \top$

The Bishop-style proof

Definition: K is **totally bounded** if, for each $\epsilon > 0$, there's a **finite subset** $S_\epsilon \subset K$ such that $\forall x: K. \exists y \in S_\epsilon. |x - y| < \epsilon$.

Proof: If K is closed and totally bounded,

- ▶ either the set S_1 is empty, in which case K is empty too,
- ▶ or $x_n \equiv \max S_{2^{-n}}$ defines a **Cauchy sequence** that converges to $\max K$.

But K is also **overt**, with $\diamond \phi \equiv \exists \epsilon > 0. \exists y \in S_\epsilon. \phi y$.

Definition: K is **located** if, for each $x \in X$, $\inf \{|x - k| \mid k \in K\}$ is defined.

(A different usage of the word “located”.)

closed, totally bounded \Rightarrow compact and overt \Rightarrow located
(in TTE) also **r.e. closed**

- ▶ Total boundedness and locatedness are **metrical concepts**.
- ▶ Compactness and overtiness are **topological**.

The real interval is connected (usual proof)

Any closed subspace of a compact space is compact.

Any open subspace of an overt space is overt.

Any clopen subspace of an overt compact space is overt compact, so it's either empty or has a maximum.

Since the clopen subspace is open, its elements are interior, so the maximum can only be the right endpoint of the interval.

Any clopen subspace has a clopen complement.

- ▶ They can't both be empty, but
- ▶ in the interval they can't both have maxima (the right endpoint).

Hence one is empty and the other is the whole interval.

Connectedness in modal notation

We have just proved

$$\diamond(\phi \wedge \psi) \Leftrightarrow \perp, \quad \Box(\phi \vee \psi) \Leftrightarrow \top \vdash \Box\phi \vee \Box\psi \Leftrightarrow \top$$

where $\Box\theta \equiv \forall x: [0, 1]. \theta x$ and $\diamond\theta \equiv \exists x: [0, 1]. \theta x$.

Using the mixed modal law $\diamond\phi \wedge \Box\psi \Rightarrow \diamond(\phi \wedge \psi)$
and the Gentzen-style rules

$$\frac{\sigma \Leftrightarrow \top \vdash \alpha \Rightarrow \beta}{\vdash \sigma \wedge \alpha \Rightarrow \beta} \quad \frac{\sigma \Leftrightarrow \perp \vdash \alpha \Rightarrow \beta}{\vdash \alpha \Rightarrow \beta \vee \sigma}$$

connectedness may be expressed in other ways:

$$\begin{aligned} \diamond(\phi \wedge \psi) \Leftrightarrow \perp & \quad \vdash \Box(\phi \vee \psi) \Rightarrow \Box\phi \vee \Box\psi \\ \diamond(\phi \wedge \psi) \Leftrightarrow \perp & \quad \vdash \Box(\phi \vee \psi) \wedge \diamond\phi \wedge \diamond\psi \Rightarrow \perp \\ \Box(\phi \vee \psi) & \quad \Rightarrow \Box\phi \vee \Box\psi \vee \diamond(\phi \vee \psi) \\ \Box(\phi \vee \psi) \wedge \diamond\phi \wedge \diamond\psi & \quad \Rightarrow \diamond(\phi \wedge \psi) \end{aligned}$$

Weak intermediate value theorems

Let $f : [0, 1] \rightarrow \mathbb{R}$, and use two of these forms of connectedness.

Put $\phi x \equiv (0 < fx)$ and $\psi x \equiv (fx < 0)$.

Use $\diamond(\phi \wedge \psi) = \perp \vdash \Box(\phi \vee \psi) \wedge \diamond\phi \wedge \diamond\psi \Rightarrow \perp$.

$\diamond(\phi \wedge \psi) \Leftrightarrow \perp$ by disjointness.

Then $(f0 < 0 < f1) \wedge (\forall x : [0, 1]. fx \neq 0) \Leftrightarrow \perp$.

So the closed, compact subspace $Z \equiv \{x : \mathbb{I} \mid fx = 0\}$ is **not empty**.

Put $\phi x \equiv (e < fx)$ and $\psi x \equiv (fx < t)$.

Use $\Box(\phi \vee \psi) \wedge \diamond\phi \wedge \diamond\psi \Rightarrow \diamond(\phi \wedge \psi)$.

$\Box(\phi \vee \psi)$ by locatedness.

Then $(f0 < e < t < f1) \Rightarrow (\exists x : [0, 1]. e < fx < t)$.

or $\epsilon > 0 \vdash \exists x. |fx| < \epsilon$.

So the open, overt subspace $\{x \mid e < fx < t\}$ is **inhabited**.

Straddling intervals in ASD

Let $f : [0, 1] \rightarrow \mathbb{R}$ be a function that doesn't hover.

Proposition: \diamond preserves joins, $\diamond(\exists n. \theta_n) \Leftrightarrow \exists n. \diamond \theta_n$.

Proof: Consider

$\phi^\pm x \equiv \exists n. \exists y. (x < y < u) \wedge (fy \underset{<}{\geq} 0) \wedge \forall z: [x, y]. \theta_n z$.

Then $\exists x. \phi^+ x \wedge \phi^- x$ by connectness.

Lemma: $0 < a < 1$ is a stable zero of f iff
it is an accumulation point of \diamond , i.e. $\phi a \Rightarrow \diamond \phi$.

Theorem: \diamond and \square obey $\square \phi \wedge \diamond \psi \Rightarrow \diamond(\phi \wedge \psi)$.

They also obey $\square(\phi \vee \psi) \Rightarrow \square \phi \vee \diamond \phi$
iff f doesn't touch the axis without crossing it.

When f is a polynomial, this is the non-singular case, where f has no zeroes of even multiplicity.

Solving equations in ASD

In the **non-singular** case, all zeroes are stable,
 \diamond and \square define a non-empty overt compact subspace,
which has a **maximum**.

So the classical textbook proof of IVT,

$$a \equiv \sup \{x : [0, 1] \mid fx \leq 0\},$$

is computationally meaningful!

The interval trisection algorithm for \diamond finds some zero,
even in the singular case,
but it behaves non-deterministically and catastrophically.

Parametric solutions

The **set** of zeroes varies **discontinuously** at singularities in the parameters.

For example, the cubic equation may have

- ▶ three real stable zeroes (on one stable region),
- ▶ one stable zero and an unstable (double) zero,
- ▶ just one stable zero (in the other stable region).

The **modal operators** \square and \diamond are **Scott-continuous throughout the parameter space.**

The only thing that goes wrong at the singularity is that **one of the mixed modal laws fails.**