

The Brouwer Invariance Theorems in Reverse Mathematics

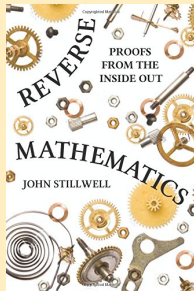
Takayuki Kihara¹

Nagoya University, Japan

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Stillwell (2018) “Reverse mathematics”



- (Left) John Stillwell, Reverse mathematics. Proofs from the inside out. Princeton University Press, Princeton, NJ, 2018.
- (Right) Japanese translation (2019) by H. Kawabe and K. Tanaka.

A few months ago, Prof. Tanaka sent me a draft of the Japanese translation of John Stillwell's book, "*Reverse mathematics. Proofs from the inside out*".

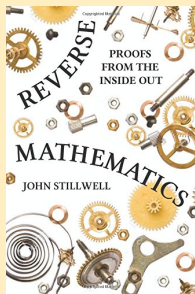
A few months ago, Prof. Tanaka sent me a draft of the Japanese translation of John Stillwell's book, "*Reverse mathematics. Proofs from the inside out*".

Then, I found the following paragraph:

しかしながら、(少なくとも 2 次元以上では) これらの不変性定理が RCA_0 で証明可能なのはまだわかっていない。また、これらの定理が弱ケーニヒの補題を含意するかどうか、そしてその結果、弱ケーニヒの補題と同値かどうかもわかっていない。ブラウワーの不変性定理の正確な強さを把握することは、逆数学におけるもっとも興味深い未解決問題の一つだろう。

"Finding the exact strength of the *Brouwer invariance theorems* seems to me one of *the most interesting open problems* in reverse mathematics."
(Page 148 in Stillwell "*Reverse Mathematics*")

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*“Finding the exact strength of the **Brouwer invariance theorems** seems to me one of **the most interesting open problems** in reverse mathematics.”*
(Page 148 in Stillwell “Reverse Mathematics”)

What are ... the Brouwer invariance theorems?

- (Cantor 1877) There is a bijection between \mathbb{R}^m and \mathbb{R}^n .
- (Peano 1890) There is a continuous surjection from \mathbb{R}^1 onto \mathbb{R}^n .

The “invariance of dimension” problem

If $m \neq n$, prove that \mathbb{R}^m and \mathbb{R}^n are not homeomorphic.

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- Schönflies (1899) claimed that the inv. of dim. problem is still open.

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- Schönflies (1899) claimed that the inv. of dim. problem is still open.
- Lüroth (1899) announced the invariance of dimension theorem for $n < m \leq 4$ with an “extremely complicated proof”.

What are ... the Brouwer invariance theorems?

Brouwer (1911) proved the following theorems:

- 1 *The Brouwer fixed point theorem*
 - 2 *The no-retraction theorem*: The n -dimensional sphere is not a retract of the $(n + 1)$ -dimensional ball.
 - 3 *The invariance of dimension theorem*: If $m < n$ then there is no continuous injection from \mathbb{R}^n into \mathbb{R}^m
 - 4 *The invariance of domain theorem*: Let $U \subseteq \mathbb{R}^m$ be an open set, and $f: U \rightarrow \mathbb{R}^m$ be a continuous injection. Then, the image $f[U]$ is also open.
- (Baire, Hadamard, Lebesgue) The invariance of domain theorem implies the invariance of dimension theorem.
 - The invariance of domain theorem is used to show various important results, in particular, on topological manifolds.

What are ... the Brouwer invariance theorems?

Alexander duality \implies the Jordan-Brouwer separation theorem
 \implies invariance of domain \implies invariance of dimension

- *Alexander duality*: $\tilde{H}_q(E) \simeq \tilde{H}^{n-q-1}(\mathbb{S}^n \setminus E)$,
where \tilde{H} stands for reduced homology or reduced cohomology.
- *The Jordan-Brouwer separation theorem*:
Let S^r be a homeomorphic copy of the r -sphere \mathbb{S}^r in \mathbb{S}^n , then

$$\tilde{H}_q(\mathbb{S}^n \setminus S^r) \simeq \begin{cases} \mathbb{Z} & \text{if } q = n - r - 1 \\ \mathbf{0} & \text{otherwise} \end{cases}$$

In particular, S^{n-1} separates \mathbb{S}^n into two components, and these components have the same homology groups as a point.
Moreover, S^{n-1} is the common boundary of these components.

What axioms are needed to prove the Brouwer invariance theorems?

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- Beeson “Foundations of Constructive Mathematics” (1985) claimed (without proof) the “*uniformly continuous*” versions of the **no-retraction theorem** and the **invariance of dimension theorem** are **provable** in (Bishop-style) constructive mathematics.

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- Beeson “Foundations of Constructive Mathematics” (1985) claimed (without proof) the “*uniformly continuous*” versions of the **no-retraction theorem** and the **invariance of dimension theorem** are **provable** in (Bishop-style) constructive mathematics.
- Julian-Mines-Richman (1983) have studied the **Alexander duality** and the **Jordan-Brouwer separation theorem** in the context of Bishop-style constructive mathematics.

What is ... reverse mathematics?

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- **Reverse mathematics** is a program to determine the exact (set-existence) axioms which are needed to prove theorems of ordinary mathematics.

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What axioms are needed to prove the Brouwer invariance theorems?

- **Reverse mathematics** is a program to determine the exact (set-existence) axioms which are needed to prove theorems of ordinary mathematics.
- We employ a subsystem \mathbf{RCA}_0 of second order arithmetic as our base system, which consists of:
 - 1 Basic first-order arithmetic (e.g. the first-order theory of the non-negative parts of discretely ordered rings).
 - 2 Σ_1^0 -induction schema.
 - 3 Δ_1^0 -comprehension schema.
- Roughly speaking, \mathbf{RCA}_0 corresponds to (non-uniform) computable mathematics (as $\Delta_1^0 = \text{computable}$).

Some examples of reverse mathematics

The following are provable in \mathbf{RCA}_0 :

- 1 *Intermediate value theorem*.
- 2 *Urysohn's lemma*: Every separable metric space is perfectly normal.
- 3 *Tietze's extension theorem*: Every continuous function on a closed subset of a Polish space X into $[0, 1]$ can be extended to a continuous function on X into $[0, 1]$.
- 4 *Sperner's lemma* (a combinatorial analog of Brouwer's fixed point thm.)

The following are equivalent over \mathbf{RCA}_0 :

- 1 *Weak König's lemma*: Every infinite binary tree has an infinite path.
- 2 *The Heine–Borel theorem*: Every open cover of a totally bounded Polish space has a finite subcovering.
- 3 *The Jordan curve theorem*: The Jordan curve in \mathbb{R}^2 divides it into two open connected components.
- 4 *The Schönflies theorem*: Every Jordan curve is mapped onto the unit square by a homeomorphism from \mathbb{R}^2 onto \mathbb{R}^2 .

WKL \implies Alexander duality \implies the Jordan-Brouwer separation
 \implies invariance of domain \implies invariance of dimension

Alexander duality: $\tilde{H}_q(E) \simeq \tilde{H}^{n-q-1}(\mathbb{S}^n \setminus E)$,
where \tilde{H} stands for reduced homology or reduced cohomology.

homology theory in **WKL₀** (= **RCA₀**+ weak König's lemma)

- We need **WKL₀** to proceed the **barycentric subdivision** argument.
- By barycentric subdivision, one can show the **simplicial approximation theorem**, which is needed to show basic facts on singular homology theory (alternatively, to show the topological invariance of simplicial homology).
- Similarly, **WKL₀** proves that these homology theories satisfy Eilenberg–Steenrod axioms, and so one can use the Mayer–Vietoris sequence.
- Hence, **WKL₀** proves (a special case of) the Alexander duality.

Note: Terence Tao (2014) gave a proof of the invariance of domain theorem without homology theory, which can also be carried out within **WKL₀**.

$\neg\text{WKL} \iff \neg \text{no-retraction theorem} \implies S^1 \text{ is an absolute extensor}$
 $\implies 2\text{-inessential} \implies \mathbf{dim} \leq 1 \implies \text{embeddable into } \mathbb{R}^3.$

Fact (Orevkov 1963, Shioji-Tanaka 1990)

Over \mathbf{RCA}_0 , the following are equivalent:

- 1 *Weak König's lemma*
- 2 *The Brouwer fixed point theorem*
- 3 *The no-retraction theorem*: The circle S^1 is not a retract of the disk.

Reverse direction

\neg WKL $\iff \neg$ no-retraction theorem $\implies S^1$ is an absolute extensor
 \implies 2-inessential $\implies \dim \leq 1 \implies$ embeddable into \mathbb{R}^3 .

A space K is called an *absolute extensor* for X if for any continuous map $f: P \rightarrow K$ on a closed set $P \subseteq X$, one can find a continuous map $g: X \rightarrow K$ extending f .

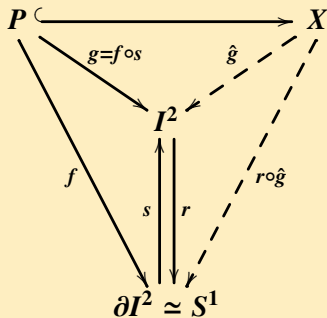
Tietze's extension theorem (\mathbf{RCA}_0)

The n -hypercube I^n is an absolute extensor for any Polish space.

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Lemma (**RCA₀**)

If the no-retraction theorem fails, then the 1-dimensional sphere S^1 is an absolute extensor for any Polish space.



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The notion of an **absolute extensor** plays a key role in topological dimension theory (e.g. Dranishnikov's extension dimension theory).

Fact (Eilenberg-Otto? Alexandroff?)

- 1 The covering dimension of X is $\leq n$
 \iff the n -sphere S^n is an **absolute extensor** for X .
- 2 The cohomological dimension of X (w.r.t. coefficient G) is $\leq n$
 \iff the Eilenberg-MacLane complex $K(G, n)$ is an **absolute extensor** for X .

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- We have shown that if the **no-retraction theorem** fails, then the 1 -sphere S^1 is an absolute extensor for any Polish space.
- Classically, this means that:
every Polish space is at most one-dimensional!

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A sequence $(A_i, B_i)_{i \leq n}$ of disjoint pairs of closed sets in X is *inessential* if there is a sequence $(U_i, V_i)_{i \leq n}$ of disjoint open sets in X s.t.

- $A_i \subseteq U_i$ and $B_i \subseteq V_i$ for each $i \leq n$
- and $(U_i \cup V_i)_{i < n+1}$ covers X .

Lemma (**RCA**₀)

Let X be a Polish space. If the n -sphere S^n is an absolute extensor for X , then X has no essential sequence of length $n + 1$.

Indeed, one can show the “effective” version; that is, given $(A_i, B_i)_{i \leq n}$, one can effectively find such a $(U_i, V_i)_{i \leq n}$.

In this case, we say that X is *effectively $(n + 1)$ -inessential*.

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(Lebesgue) Let \mathcal{U} be a cover of a space X .

- The order of \mathcal{U} is $\leq n \iff \forall U_0, U_1, \dots, U_{n+1} \in \mathcal{U}$ we have $\bigcap_{i < n+2} U_i = \emptyset$.
- The covering dimension of X is $\leq n \iff$ for any finite open cover of X , one can effectively find a finite open refinement of order $\leq n$.

Fact (Eilenberg-Otto)

The covering dimension of X is at most n

$\iff X$ has no essential sequence of length $n + 1$.

Lemma (**RCA**₀)

A Polish space X is effectively $(n + 1)$ -inessential

\implies the covering dimension of X is effectively at most n .

(Proof) Formalize the standard proof.

\neg WKL $\iff \neg$ no-retraction theorem $\implies S^1$ is an absolute extensor
 \implies 2-inessential $\implies \dim \leq 1 \implies$ embeddable into \mathbb{R}^3 .

The Nöbeling imbedding theorem

If a separable metrizable space X is at most n -dimensional, then X can be topologically embedded into \mathbb{R}^{2n+1} .

- The **nerve** of a finite open cover $\mathcal{U} = (U_i)_{i < k}$ is a simplicial complex $N(\mathcal{U})$ with vertices $\{p_i\}_{i < k}$ such that an m -simplex $\{p_{j_0}, \dots, p_{j_{m+1}}\}$ belongs to $N(\mathcal{U}) \iff U_{j_0} \cap \dots \cap U_{j_{m+1}} = \emptyset$.
- The order of \mathcal{U} is $\leq n \implies$ one can give a geometric realization of the simplicial complex $N(\mathcal{U})$ in \mathbb{R}^{2n+1} (by the so-called κ -mapping).

The Nöbeling imbedding theorem in \mathbf{RCA}_0

If a Polish space X is effectively at most n -dimensional, then X can be topologically embedded into \mathbb{R}^{2n+1} .

(Proof) Formalize the standard proof.

$\neg\text{WKL} \iff \neg$ no-retraction theorem $\implies S^1$ is an absolute extensor
 $\implies 2$ -inessential $\implies \mathbf{dim} \leq 1 \implies$ embeddable into \mathbb{R}^3 .

Theorem ($\mathbf{RCA}_0 + \neg\text{WKL}$)

- S^1 is a retract of the disk.
- S^1 is an absolute extensor for any Polish space.
- No Polish space has an essential sequence of length 2 .
- The covering dimension of any Polish space is ≤ 1 .
- Every Polish space topologically embeds into \mathbb{R}^3 .
- In particular, \mathbb{R}^4 topologically embeds into \mathbb{R}^3 .
- Consequently, the invariance of dimension theorem fails.

Remark (Stillwell): \mathbf{RCA}_0 proves that \mathbb{R}^2 does not topologically embed into \mathbb{R} .

Theorem (K.)

The following are equivalent over \mathbf{RCA}_0 :

- 1 *Weak König's lemma*
- 2 *The Brouwer fixed point theorem*
- 3 *The no-retraction theorem*: The n -dimensional sphere is not a retract of the $(n + 1)$ -dimensional ball.
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This solves Stillwell's problem.

Relationship with other works in computability theory

A space is *countable dimensional* if it is a countable union of $\mathbf{0}$ -dim. subspaces.

Theorem (K.)

The following are equivalent over \mathbf{RCA}_0 :

- 1 Weak König's lemma.
- 2 The Hilbert cube is not countable dimensional.

Proof

- (1) \Rightarrow (2): The usual argument only uses the Brouwer fixed point theorem, which can be carried out in \mathbf{WKL}_0 .
- (2) \Rightarrow (1): If we assume $\neg\mathbf{WKL}$ then the Hilbert cube is one-dimensional, and therefore, it embeds into the one-dimensional Nöbeling space, which is a finite union of zero dimensional subspaces.

A space is *countable dimensional* if it is a countable union of $\mathbf{0}$ -dim. subspaces.

Theorem (K.)

The following are “instance-wise” equivalent over \mathbf{RCA}_0 :

- 1 Weak König’s lemma.
- 2 The Hilbert cube is not countable dimensional.

(*Meta-reverse mathematics*) The interpretation of the above theorem *in ω -models* is “*equivalent*” to the following theorem:

Theorem (J. Miller 2004)

- 1 If \mathbf{a} and \mathbf{b} are total degrees and $\mathbf{b} \ll \mathbf{a}$, then there is a non-total continuous degree \mathbf{v} with $\mathbf{b} < \mathbf{v} < \mathbf{a}$.
- 2 If \mathbf{v} is a non-total continuous degree and $\mathbf{b} < \mathbf{v}$ is total, then there is a total degree \mathbf{c} with $\mathbf{b} \ll \mathbf{c} < \mathbf{v}$.

J. Miller's work on continuous degrees (2004)

Question (Pour-El and Lempp)

Does every $f \in C[0, 1]$ have a code of least Turing degree?

Answer by J. Miller (2004)

No. There is $f \in C[0, 1]$ with no easiest code w.r.t. Turing reducibility.

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No. There is $f \in C[0, 1]$ with no easiest code w.r.t. Turing reducibility.

- The degree of difficulty of computing a code of $f \in C[0, 1]$ is called the *continuous degree* of f .
- If f has a code of least Turing degree, then such a degree is called *total*.
- $a \ll b : \iff$ every infinite binary tree $\leq_T a$ has a path $\leq_T b$.

Theorem (J. Miller 2004)

- 1 *Every PA-degree computes a counterexample to the question:*
If \mathbf{a} and \mathbf{b} are total degrees and $\mathbf{b} \ll \mathbf{a}$, then there is a non-total continuous degree \mathbf{v} with $\mathbf{b} < \mathbf{v} < \mathbf{a}$.
- 2 *Every counterexample yields a Scott set (an ω -model of \mathbf{WKL}_0):*
If \mathbf{v} is a non-total continuous degree and $\mathbf{b} < \mathbf{v}$ is total, then there is a total degree \mathbf{c} with $\mathbf{b} \ll \mathbf{c} < \mathbf{v}$.

WKL \iff Hilbert cube is not countable dimensional.

An instance-wise interpretation in an ω -model (ω, \mathcal{S}) of **RCA**₀:

- \Rightarrow Let $(S_e)_{e \in \omega} \in \mathcal{S}$ be a sequence of copies of subspaces of ω^ω in I^ω . Then, there is an infinite binary tree $T \in \mathcal{S}$ satisfying the following: Every infinite path through T computes a point $x \in I^\omega$ such that x is not a point of S_e for any $e \in \omega$.
- \Leftarrow Let $T \in \mathcal{S}$ be an infinite binary tree. Then, there is a sequence $(S_e)_{e \in \omega} \in \mathcal{S}$ of copies of subspaces of ω^ω such that, if $x \in I^\omega$ is not a point in S_e for any $e \in \omega$, then x computes an infinite path through T .

Theorem (J. Miller 2004)

- 1 If \mathbf{a} and \mathbf{b} are total degrees and $\mathbf{b} \ll \mathbf{a}$, then there is a non-total continuous degree \mathbf{v} with $\mathbf{b} < \mathbf{v} < \mathbf{a}$.
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The following are “instance-wise” equivalent over \mathbf{RCA}_0 :

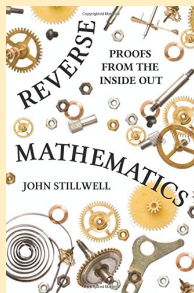
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References



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Thank you for your attention!