ON DINI'S THEOREM AND A METRIC ON $C(X)$ TOPOLOGICALLY EQUIVALENT TO THE UNIFORM METRIC

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ABSTRACT. Let X be a compact metric space and let $UC(X)$ denote the u.s.c. real valued functions on X . Let τ be a topology on $UC(X)$. $\Omega \subset UC(X)$ is called a Dini class of functions induced by τ if (1) Ω is τ -closed, (2) $C(X) \subset \Omega$, (3) for each $h \in \Omega$ whenever $\{h_n\}$ is a decreasing sequence of u.s.c. functions convergent pointwise to h , then $\{h_n\}$ τ -converges to h . By Dini's theorem the topology of uniform convergence on $UC(X)$ induces $C(X)$ as its Dini class of functions. As a main result, when X is locally connected we show that the hyperspace topology on $UC(X)$ obtained by identifying each u.s.c. function with the closure of its graph induces a larger Dini class of functions than $C(X)$, even though the restriction of this topology to $C(X)$ agrees with the topology of uniform convergence.

Let X be a compact metric space and let $C(X)$ and $UC(X)$ denote the continuous and upper semicontinuous real valued functions on X , respectively. If $f \in C(X)$ and $\{h_n\}$ is a decreasing sequence of u.s.c. functions on X convergent pointwise to f , then Dini's theorem [10] says that the convergence must be uniform. Moreover, if $\{f_n\}$ is a sequence in $C(X)$ convergent uniformly to an u.s.c. function h , then h must be in $C(X)$. Thus, the class $C(X)$, viewed as a subclass of $UC(X)$, is induced by the topology of uniform convergence on $UC(X)$ in the following sense.

DEFINITION. Let X be a compact metric space and let $\Omega \subset UC(X)$. If τ is a topology on $UC(X)$, then Ω is called a *Dini class of functions induced by τ* if

- (1) Ω is τ -closed,
- (2) $C(X) \subset \Omega$,
- (3) for each $h \in \Omega$ whenever $\{h_n\}$ is a decreasing sequence of u.s.c. functions convergent pointwise to h , then $\{h_n\}$ τ -converges to h .

It follows from the definition that τ can induce at most one Dini class. To see this, suppose that Ω and Ω' are both Dini classes of τ . Let $f \in \Omega$ be arbitrary. Since each u.s.c. function on X is a pointwise limit of a decreasing sequence of continuous functions [6],

$$f \in \text{cl}_\tau C(X) \subset \text{cl}_\tau \Omega' = \Omega'.$$

Standard topologies on $UC(X)$ seem to induce nice Dini classes of functions. For example, let μ be a regular Borel measure on X . We first consider the convergence in measure topology on $UC(X)$. Recall that $\{h_n\}$ is said to *converge in measure* to

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h if for each $\epsilon > 0$ there exists $N \in \mathbb{Z}^+$ such that for all $n \geq N$,

$$\mu\{x: |h_n(x) - h(x)| > \epsilon\} < \epsilon.$$

It is well known [7] that convergence in this sense is described by a pseudometric on the μ -measurable functions on X :

$$\delta_1(f, g) = \int_X \frac{|f - g|}{1 + |f - g|} d\mu.$$

The δ_1 -topology induces $UC(X)$ as its Dini class. Conditions (1) and (2) hold trivially and condition (3) follows from Egoroff's theorem. In the same context define the $L_1(\mu)$ pseudometric $\delta_2: UC(X) \times UC(X) \rightarrow [0, \infty]$ by

$$\delta_2(f, g) = \int_X |f - g| d\mu.$$

We claim that δ_2 induces $L_1(\mu) \cap UC(X)$, the u.s.c. functions that are μ -integrable, as its Dini class. Condition (1) holds because $L_1(\mu)$ is closed under addition, condition (2) holds because X is compact, and condition (3) follows from the Lebesgue dominated convergence theorem using as a majorant $g: X \rightarrow [0, \infty)$ defined by

$$g(z) = \max \left\{ \max_{x \in X} h_1(x), -\min\{h(z), 0\} \right\}.$$

In this paper we shall focus our attention on two hyperspace topologies on $UC(X)$ considered in [2]. In short we identify members of $UC(X)$ with certain closed subsets of $X \times R$ and apply the Hausdorff metric. We review the essential features of this construction. Let Y be a metric space with metric ρ and for each y in Y let $B_\lambda[y]$ denote the closed ball of radius λ about y . If K is a closed subset of Y , the λ -parallel body of K , denoted by $B_\lambda[K]$, is the set $\bigcup_{y \in K} B_\lambda[y]$. If C and K are closed sets in Y we define the Hausdorff distance of C from K to be

$$D(C, K) = \inf \{ \lambda: B_\lambda[K] \supset C \text{ and } B_\lambda[C] \supset K \}.$$

We refer the reader to Castaing and Valadier [3] or Nadler [9] for further information. Now let X be a metric space with metric d and make $X \times R$ a metric space using the metric ρ defined by $\rho[(x_1, \alpha_1), (x_2, \alpha_2)] = \max\{d(x_1, x_2), |\alpha_1 - \alpha_2|\}$. Since, in $X \times R$, closed and ρ -bounded sets are compact, the parallel body of each closed set will again be a closed set, a fact which we shall often use in the sequel. If h and g are in $UC(X)$ let $d_1(h, g) = \sup_{x \in X} |h(x) - g(x)|$. If h is u.s.c., then the graph of h will not in general be a closed set. Denote its closure in $X \times R$ by $\bar{h}$. If h and g are in $UC(X)$ denote the Hausdorff distance from $\bar{h}$ to $\bar{g}$ by $d_2(h, g)$. Although $d_2(h, g) = \infty$ is a possibility, d_2 is an extended valued metric, not just a pseudometric. Next, if h is u.s.c. its hypograph $\{(x, \alpha): \alpha \leq h(x)\}$ will be symbolized by $\text{hypo } h$. It is well known that u.s.c. functions are characterized as those having closed hypographs. If h and g are in $UC(X)$ denote the Hausdorff distance between their hypographs by $d_3(h, g)$. Surprisingly, d_3 is a finite valued metric on $UC(X)$ even though h and g may be unbounded.

We shall need the following facts established in [2] which we state as theorems.

THEOREM A. *If h and g are in $UC(X)$ then $d_1(h, g) \geq d_2(h, g) \geq d_3(h, g)$.*

THEOREM B. *The metrics d_1 and d_2 , when restricted to $C(X)$, define the same topology.*

THEOREM C. *Let $\{h_n\}$ be a sequence of u.s.c. functions on X . Then $\{h_n\}$ converges to h in the metric d_3 if and only if*

- (1) *for each x in X whenever $\{x_n\} \rightarrow x$ then $\limsup_{n \rightarrow \infty} h_n(x_n) \leq h(x)$,*
- (2) *for each x in X there exists a sequence $\{x_n\}$ convergent to x for which $\lim_{n \rightarrow \infty} h_n(x_n) = h(x)$.*

In view of Theorem C above, first proved by Mosco for convex functions [8], d_3 -convergence is equivalent to the notion of *infimal convergence* for lower semicontinuous functions introduced by Wijsman [11] (but only in the context of compact spaces). Infimal convergence was then studied in a more general setting by DeGiorgi and Franzoni [4], and has received recent attention from Dolecki, Salinetti, and Wets [5] where it is now called *epi-convergence*.

We consider the metric d_3 first. Since this metric is in some sense a Baire category dual to the metric δ_1 [1], one expects that the Dini class induced by d_3 would also be all of $UC(X)$. This conjecture is correct. We need only verify condition (3) in the definition. To this end let $\{h_n\}$ be a decreasing sequence of u.s.c. functions convergent pointwise to an u.s.c. function h . Fix x in X and let ϵ be positive. Choose N so large that $h_N(x) < h(x) + \frac{\epsilon}{2}$ and $\delta > 0$ such that if $d(y, x) < \delta$ then $h_N(y) < h_N(x) + \frac{\epsilon}{2}$. Clearly if $d(y, x) < \delta$ and $n \geq N$ we have $h_n(y) < h(x) + \epsilon$. This implies that whenever $\{x_n\} \rightarrow x$ we obtain $\limsup_{n \rightarrow \infty} h_n(x_n) < h(x) + \epsilon$. Condition (1) of Theorem C now follows. Condition (2) of Theorem C is already satisfied, for $\lim_{n \rightarrow \infty} h_n(x) = h(x)$.

Since d_1 and d_2 , when restricted to $C(X)$, are topologically equivalent, one would suppose that they induce the same Dini class. This is not the case: d_2 induces a larger one than $C(X)$ provided that X is locally connected. To properly describe this class we need some preliminary material.

Let h be a real valued function on X , not necessarily u.s.c. For each $x \in X$ let

$$L(h, x) = \{\alpha: \alpha \in R \text{ and } \exists \{x_n\} \rightarrow x \text{ for which } \{h(x_n)\} \rightarrow \alpha\}.$$

Notice that $h(x)$ is an element of $L(h, x)$; it is the largest (resp. smallest) element of $L(h, x)$ if h is u.s.c. (resp. l.s.c.) at x . For each $n \in Z^+$ let

$$L_n(h, x) = \text{cl}\{h(y): d(x, y) \leq \frac{1}{n}\} = \text{cl } h(B_{1/n}[x]).$$

We leave the proof of the following simple lemma to the reader.

LEMMA 1. *Let X be a compact metric space and let $h: X \rightarrow R$. For each $x \in X$, $\bigcap_{n=1}^{\infty} L_n(h, x) = \{\alpha: (x, \alpha) \in \bar{h}\} = L(h, x)$.*

As a result of Lemma 1, $L(h, x)$ is a closed set. It is possible that each set $L(h, x)$ can be bounded without h itself being bounded, e.g., define $h: [0, 1] \rightarrow R$ by $h(0) = 0$ and $h(x) = \frac{1}{x}$ otherwise.

LEMMA 2. *Let X be a compact metric space and let $h: X \rightarrow R$. Suppose for each $x \in X$ the set $L(h, x)$ is bounded. The following are equivalent:*

- (i) *h is bounded.*
- (ii) *For each x , $\{L_n(h, x)\}$ converges to $L(h, x)$ in the Hausdorff metric.*
- (iii) *The multifunction Γ on X defined by $\Gamma(x) = L(h, x)$ is upper semicontinuous.*

PROOF. (i)→(ii) Fix x in X . Since for each n , $L_n(h, x) \supset L(h, x)$, we need only show that given $\epsilon > 0$ the parallel body $B_\epsilon[L(h, x)]$ contains $\{L_n(h, x)\}$ eventually. If not, since $B_\epsilon[L(h, x)]$ is closed and $\{L_n(h, x)\}$ is a decreasing sequence of sets, we can find, for each n , a point x_n satisfying $d(x_n, x) \leq \frac{1}{n}$ but $h(x_n) \notin B_\epsilon[L(h, x)]$. By hypothesis $\{h(x_n)\}$ is bounded; so, it has a convergent subsequence. The limit cannot belong to $L(h, x)$, for $L(h, x) \subset \text{int } B_\epsilon[L(h, x)]$. This violates the definition of $L(h, x)$.

(ii)→(iii) Let x be arbitrary and let V be an open set in R containing $\Gamma(x)$. We must produce a neighborhood U of x such that if $y \in U$ then $\Gamma(y) \subset V$. Since $\Gamma(x) = L(h, x)$ is compact, there exists $\epsilon > 0$ such that $B_\epsilon[L(h, x)] \subset V$. Choose n so large that $L_n(h, x) \subset B_\epsilon[L(h, x)]$. If $d(x, y) < \frac{1}{n}$ and $\frac{1}{m} < \frac{1}{n} - d(x, y)$ then

$$\Gamma(y) = L(h, y) \subset L_m(h, y) \subset L_n(h, x) \subset B_\epsilon[\Gamma(x)] \subset V.$$

(iii)→(i) Suppose h fails to be bounded. Since X is compact we can find a convergent sequence $\{x_n\}$ in X such that $\lim_{n \rightarrow \infty} |h(x_n)| = \infty$. Set $x = \lim_{n \rightarrow \infty} x_n$. Clearly, $\{h(x_n)\}$ cannot be in the bounded set $B_\epsilon[L(h, x)]$ eventually. Since $B_\epsilon[L(h, x)]$ is a neighborhood of $L(h, x)$ and for each n , $h(x_n) \in \Gamma(x_n)$, the multifunction Γ fails to be u.s.c. at x .

Next let $\Omega = \{h: h \text{ is u.s.c. and bounded and } \forall x, L(h, x) \text{ is convex}\}$. Notice that the inclusion $\Omega \supset C(X)$ is proper. For example $f: [0, 1] \rightarrow R$ defined by

$$f(x) = \begin{cases} \sin \frac{1}{x} & \text{if } x \neq 0, \\ 1 & \text{if } x = 0, \end{cases}$$

is in $\Omega - C(X)$. If $h \in \Omega$ then each set $L(h, x)$ is precisely the closed line segment $[\liminf_{y \rightarrow x} h(y), h(x)]$. Finally, Ω may be described as the class of u.s.c. functions for which the multifunction Γ of Lemma 2 is both compact convex valued and u.s.c.

LEMMA 3. $\Omega = \{h: h \text{ is bounded and u.s.c. and } \bar{h} \supset \text{hypo } h - \text{int}(\text{hypo } h)\}$.

PROOF. Let h be bounded and u.s.c. It is easy to see that $(x, \alpha) \in \text{hypo } h - \text{int}(\text{hypo } h)$ if and only if $\liminf_{y \rightarrow x} h(y) \leq \alpha \leq h(x)$. If $\text{hypo } h - \text{int}(\text{hypo } h) \subset \bar{h}$, then for each x , Lemma 1 implies that the segment $[\liminf_{y \rightarrow x} h(y), h(x)] \subset L(h, x)$. Since the other inclusion always holds whenever h is u.s.c., we obtain $h \in \Omega$. Conversely, if $h \in \Omega$ then for each x , $L(h, x) = [\liminf_{y \rightarrow x} h(y), h(x)]$ so that if (x, α) lies in $\text{hypo } h - \text{int}(\text{hypo } h)$, it must also lie in $\bar{h}$ by Lemma 1.

Local connectivity of X is not required to establish condition (3) for Ω to be a d_2 -induced Dini class of functions. Before we can prove this we need one more lemma.

LEMMA 4. Let X be a compact metric space and let $\{h_n\}$ be a sequence in $UC(X)$ d_3 -convergent to a bounded u.s.c. function h . Then for each $\lambda > 0$ there exists $N \in Z^+$ such that $n \geq N$ implies $\bar{h} \subset B_\lambda[\bar{h}_n]$.

PROOF. If not, there exists λ and a subsequence of $\{h_n\}$ such that $\bar{h}$ fails to lie in the λ -parallel body of the closure of the graph of each term of the subsequence. By relabeling we can assume that, for each n , $\bar{h} \not\subset B_\lambda[\bar{h}_n]$. Since $B_\lambda[\bar{h}_n]$ is a closed set, for each n we can find $(x_n, h(x_n))$ in $\bar{h} - B_\lambda[\bar{h}_n]$. Once again passing to a subsequence we can assume that $\{(x_n, h(x_n))\}$ is convergent and is therefore Cauchy. Choose N so large that $m > n \geq N$ implies that $\rho((x_n, h(x_n)), (x_m, h(x_m))) < \frac{\lambda}{2}$. By the second condition in Theorem C there exists $K \geq N$ and a point in $\bar{h}_K$ that

is within $\frac{\lambda}{2}$ of $(x_N, h(x_N))$. It follows that $(x_K, h(x_K))$ has distance at most λ from $\bar{h}_K$, a contradiction.

We note that if $\{h_n\}$ is a sequence of bounded u.s.c. functions d_3 -convergent to h , then $\{h_n\}$ "half- d_2 converges" to h in the above sense if and only if h is bounded.

THEOREM 1. *Let X be a compact metric space with metric d . Let $h \in \Omega$ and let $\{h_n\}$ be a decreasing sequence of u.s.c. functions convergent pointwise to h . Then $\{h_n\}$ d_2 -converges to h .*

PROOF. Let λ be positive and set $E_\lambda = \bigcup_{x \in X} B_\lambda[\{(x, \alpha): \alpha \in L(h, x)\}]$. We claim that if ϵ is sufficiently small then $B_\epsilon[\text{hypo } h] - \text{hypo } h \subset E_\lambda$. If not we can find for each $n \in \mathbb{Z}^+$ a point (x_n, α_n) such that $\alpha_n > h(x_n)$, $(x_n, \alpha_n) \in B_{1/n}[\text{hypo } h]$, but $(x_n, \alpha_n) \notin E_\lambda$. By passing to a subsequence we can assume $\{x_n\}$ converges to some point x . Since $\text{hypo } h$ is a closed set and $\bigcap_{n=1}^\infty B_{1/n}[\text{hypo } h] = \text{hypo } h$, it is easy to see that $\limsup_{n \rightarrow \infty} \alpha_n \leq h(x)$. Set $\alpha = \limsup_{n \rightarrow \infty} \alpha_n$. Since $h \in \Omega$ and

$$\alpha \geq \liminf_{n \rightarrow \infty} h(x_n) \geq \liminf_{y \rightarrow x} h(y)$$

we have $\alpha \in L(h, x)$. There exists $n \in \mathbb{Z}^+$ such that $d(x_n, x) \leq \lambda$ and $|\alpha_n - \alpha| \leq \lambda$. However, this implies $(x_n, \alpha_n) \in E_\lambda$, a contradiction. This establishes the claim.

Next, choose a fixed ϵ for which $B_\epsilon[\text{hypo } h] - \text{hypo } h \subset E_\lambda$. Since $\{h_n\}$ d_3 -converges to h , there exists $N \in \mathbb{Z}^+$ such that $n \geq N$ implies $\text{hypo } h_n \subset B_\epsilon[\text{hypo } h]$. As a consequence since $B_\epsilon[\text{hypo } h]$ is closed, $\bar{h}_n \subset B_\epsilon[\text{hypo } h]$ for each such n . Since each h_n majorizes h , for all x , either $(x, h_n(x)) \in \bar{h}$ or $(x, h_n(x)) \in B_\epsilon[\text{hypo } h] - \text{hypo } h$. In the first case $(x, h_n(x))$ has distance zero from $\bar{h}$. In the second case, by the definition of E_λ , $(x, h_n(x))$ has distance at most λ from some point (x, α) where $\alpha \in L(h, x)$. By Lemma 1, $(x, \alpha) \in \bar{h}$; so $(x, h_n(x))$ has distance at most λ from $\bar{h}$. Since x was arbitrary, it follows that, for each $n \geq N$, $\bar{h}_n \subset B_\lambda[\bar{h}]$. The inclusion $B_\lambda[\bar{h}_n] \supset \bar{h}$ holds for all n sufficiently large by Lemma 4.

The next theorem, which shows that Ω is d_2 -closed, completes the demonstration that Ω is a Dini class of functions induced by d_2 . As the next example shows, the hypothesis that X be locally connected cannot be omitted.

EXAMPLE. Let $X = \{0, 1, \frac{1}{2}, \frac{1}{3}, \dots\}$ considered as a subspace of the line. Let $h = \chi_{\{0\}}$ and for each n let $h_n = \chi_{\{0\} \cup \{\frac{1}{k}: k \geq n\}}$. Then $\{h_n\}$ is a decreasing sequence of continuous functions d_2 -convergent to h . However, since $L(h, 0) = \{0, 1\}$, a nonconvex set, h fails to be in Ω .

THEOREM 2. *Let X be a compact locally connected metric space. Let $\{h_n\}$ be a sequence in Ω , d_2 -convergent to an u.s.c. function h . Then $h \in \Omega$.*

PROOF. By the remark following Lemma 4, h is bounded. Fix x in X . If h is continuous at x , then $L(h, x)$ is convex. Otherwise, choose α strictly between $\liminf_{y \rightarrow x} h(y)$ and $h(x)$. By Lemma 1 it suffices to show that $(x, \alpha) \in \bar{h}$. Choose $\epsilon < \alpha - \liminf_{y \rightarrow x} h(y)$ and let C be a connected neighborhood of x in $B_{\epsilon/2}[x]$. Next select $\delta > 0$ such that $B_\delta[x] \subset C$. There exists $N \in \mathbb{Z}^+$ such that $n \geq N$ implies $d_2(h_n, h) < \delta$. By Theorem A, $d_3(h_n, h) \leq d_2(h_n, h)$; so, for each $n \geq N$ we have $B_\delta[(x, \alpha)] \cap \text{hypo } h_n \neq \emptyset$. Observing that $B_\delta[(x, \alpha)] \subset C \times [\alpha - \delta, \alpha + \delta]$ we distinguish two mutually exclusive cases:

- (1) $\exists n \geq N$ for which $(C \times [\alpha - \delta, \alpha + \delta]) \cap (\text{hypo } h_n - \text{int}(\text{hypo } h_n)) \neq \emptyset$.
- (2) $\forall n \geq N$ $(C \times [\alpha - \delta, \alpha + \delta]) \cap \text{hypo } h_n \subset \text{int}(\text{hypo } h_n)$.

Case (1). For such an integer n select (y, β) in $(C \times [\alpha - \delta, \alpha + \delta]) \cap (\text{hypo } h_n - \text{int}(\text{hypo } h_n))$. Since $h_n \in \Omega$, Lemma 3 says that $(y, \beta) \in \bar{h}_n$. Since $d_2(h, h_n) \leq \frac{\epsilon}{2}$ there exists $(w, \theta) \in \bar{h}$ with ρ -distance from (y, β) at most $\frac{\epsilon}{2}$. It follows that $\rho[(w, \theta), (x, \alpha)] \leq \epsilon$. Thus, $B_\epsilon[(x, \alpha)]$ meets $\bar{h}$, and since $\bar{h}$ is a closed set, we conclude that $(x, \alpha) \in \bar{h}$.

Case (2). By the choice of N , for each $n \geq N$, we can find x_n such that $\rho[(x_n, h_n(x_n)), (x, h(x))] \leq \delta$. Clearly $h_n(x_n) \geq \alpha - \delta$; so, $(x_n, \alpha - \delta)$ lies in $\text{hypo } h_n$. By assumption, for each such n we have

$$\{(w, \alpha - \delta): w \in C\} \cap (\text{hypo } h_n - \text{int}(\text{hypo } h_n)) = \emptyset.$$

Thus the relatively open subsets of C ,

$$E_n = \{w: w \in C \text{ and } (w, \alpha - \delta) \in \text{int}(\text{hypo } h_n)\},$$

$$F_n = \{w: w \in C \text{ and } (w, \alpha - \delta) \notin \text{hypo } h_n\},$$

partition the connected set C . Since for each $n \geq N$, $x_n \in E_n$, we conclude that $E_n = C$ for all such n . As a result, for each $w \in C$ and each such n , we have $h_n(w) > \alpha - \delta \geq \alpha - \frac{\epsilon}{2} > \liminf_{y \rightarrow x} h(y) + \frac{\epsilon}{2}$. Choose $z \in X$ for which $\rho[(z, h(x)), (x, \liminf_{y \rightarrow x} h(y))] \leq \frac{\epsilon}{2}$. By Theorem C, if $n \geq N$ is chosen sufficiently large, then we can find $(w, h_n(w))$ whose ρ -distance from $(z, h(z))$ is at most $\frac{\epsilon}{2}$. It follows that $w \in C$ and $h_n(w) \leq \liminf_{y \rightarrow x} h(y) + \frac{\epsilon}{2}$. This is a contradiction so that Case (2) cannot occur. Hence, we revert to Case (1) and the theorem is proved.

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