

**An Introduction to Point-Set-Topology (Part 2)**  
**Professor Anant R. Shastri**  
**Department of Mathematics**  
**Indian Institute of Technology Bombay**  
**Lecture 11**  
**Paracompactness**

(Refer Slide Time: 00:16)

Module-11 Paracompact spaces



Among several notions of compactness, it seems that paracompactness is the best which captures certain features of compactness and yet encompasses a large class of interesting topological spaces. The feature that we are looking for is, as usual, having a large number of continuous real valued functions on the space.



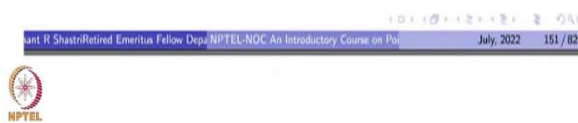
Hello, welcome to module 11 of NPTEL NOC course on point set topology part II. So, today we should pick up another important topic, paracompact spaces. Among several notions of compactness, some of them we are going to study, It seems that paracompactness is the best, which captures certain features of compactness and yet, encompasses a large class of interesting topological spaces.

The feature that we are looking for is as usual, having a large number of continuous real valued functions on a space. So, this is one of the interesting properties of paracompactness that we will prove.

(Refer Slide Time: 01:18)

Definition 3.1

Let  $X$  be a set and  $\mathcal{F}_i, i = 1, 2$  be any two families of subsets of  $X$ . We say  $\mathcal{F}_1$  is a **refinement** of  $\mathcal{F}_2$  if every member of  $\mathcal{F}_1$  is contained in some member of  $\mathcal{F}_2$ . However, in the context  $\mathcal{F}_2$  is a cover for  $X$ , then  $\mathcal{F}_1$  is called a **refinement** of  $\mathcal{F}_2$  only if  $\mathcal{F}_1$  is also a cover of  $X$  and each member of  $\mathcal{F}_1$  is contained in some member of  $\mathcal{F}_2$ . If  $X$  is a topological space, a refinement in which all members are open (respectively, closed) will be called an **open refinement** (respectively, **closed refinement**).



So, let us begin with a formal definition or two. Take any set  $X$  and two families of subsets of  $X$ ,  $\mathcal{F}_1$ , and  $\mathcal{F}_2$ . This  $\mathcal{F}_1$  is called a refinement of  $\mathcal{F}_2$ , if every member of  $\mathcal{F}_1$  is contained in some member of  $\mathcal{F}_2$ . Pay attention to this one. I am not saying that the family  $\mathcal{F}_1$  is a subfamily of  $\mathcal{F}_2$ . Not necessarily.

Sometimes that is also possible. Actually, if  $\mathcal{F}_1$  is a subfamily of  $\mathcal{F}_2$ , then this condition from refinement is obvious because you can take any member here in  $\mathcal{F}_1$ , the same member will be there in  $\mathcal{F}_2$ , which you can take the same member which will obviously contain itself. So, refinement is much better notion than just taking subfamilies.

Actually, it comes from the practice of giving a subdivision of a division of an interval  $[0, 1]$  or any interval  $[a, b]$ , in real analysis. The collection of all smaller intervals in a subdivision is a refinement of the collection of all subintervals of the given division. The word 'refinement' is sometimes used in Analysis also.

However, in the context of  $\mathcal{F}_2$  is a cover for  $X$ , which just means that members of  $\mathcal{F}_2$  together contain all the points of  $X$ , i.e., union of members of  $\mathcal{F}_2$  is  $X$ , in that context, we will use the same word 'refinement' with a slightly stronger meaning, namely,  $\mathcal{F}_1$  is a refinement of  $\mathcal{F}_2$ , as before and  $\mathcal{F}_2$  and if  $\mathcal{F}_1$  is also a cover of  $X$ .

If  $X$  is a topological space, a refinement in which all members are open, (respectively, closed), will be called an open refinement (or a closed refinement) accordingly. So far, we have actually made four different definitions here.

(Refer Slide Time: 04:10)



Definition 3.2

Suppose  $X$  is a topological space. We say a family  $\mathcal{F}$  of subsets of  $X$  is locally finite, if at each point  $x \in X$  there exists an open set  $U$  such that  $x \in U$  and  $U$  intersects only finitely many members of  $\mathcal{F}$ .

The following two simple results are the keys for the usefulness of the notion of local finiteness.



Navigation icons for a presentation slide.

Suppose  $X$  is a topological space. We say a family  $\mathcal{F}$  of subsets of  $X$  is locally finite if at each point  $x$  in  $X$ , there exists in a neighbour  $U$  of  $x$  such that  $U$  intersects only finitely many members of  $\mathcal{F}$ . So, this is not the property of the space  $X$ . It is just the property of the family of subsets  $\mathcal{F}$ .

Similarly, we will have another definition needed later on.  $\mathcal{F}$  is called point-finite a given point of  $X$  can be found at most in finitely many members of  $\mathcal{F}$ . Clearly, locally finite implies point finite, but not the converse. Anyway, I will recall the definition of point finiteness when it is necessary. The following two simple results are the keys for usefulness of this local finiteness concept.

(Refer Slide Time: 05:31)



Lemma 3.3

Let  $X$  be a topological space and  $\mathcal{U}$  be a locally finite family. Then

- (a)  $\{\bar{U} : U \in \mathcal{U}\}$  is also locally finite.
- (b)  $\cup\{\bar{U} : U \in \mathcal{U}\}$  is closed.



So, these are the two things here. Namely, take a family  $\mathcal{U}$  of subsets of  $X$ , which is locally finite. Then the family of closures of members of  $\mathcal{U}$  is also locally finite. The second thing is that the union of all these closures of members of  $\mathcal{U}$  is a closed set.

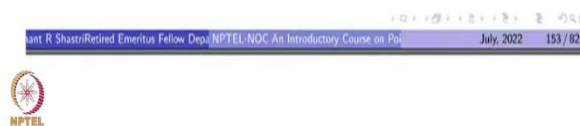
Remember that if you have a finite union of closed sets, then the union is also closed. But if you take an infinite union, then this will not hold, in general. So, here is the case where this happens. So, in particular, it follows that the closure of the union of all members of  $\mathcal{U}$  is equal to the union of the closures of members of  $\mathcal{U}$ . So, that is because of local finiteness.

(Refer Slide Time: 06:45)

### Lemma 3.3

Let  $X$  be a topological space and  $\mathcal{U}$  be a locally finite family. Then

- (a)  $\{\bar{U} : U \in \mathcal{U}\}$  is also locally finite.
- (b)  $\bigcup\{\bar{U} : U \in \mathcal{U}\}$  is closed.



**Proof:** (a) Given  $x \in X$ , let  $V$  be an onbd of  $x$  in  $X$  such that  $V$  intersects only finitely many members of  $\mathcal{U}$ . If  $U \in \mathcal{U}$  is such that  $V \cap U = \emptyset$  then  $V \cap \bar{U} = \emptyset$  too. Therefore  $V$  intersects only finitely many members of  $\{\bar{U} : U \in \mathcal{U}\}$ .

(b) Given  $x \in \bigcup\{\bar{U} : U \in \mathcal{U}\}$ , first choose an onbd  $W_x$  of  $x$  such that  $W_x$  intersects only finitely many members of  $\{\bar{U} : U \in \mathcal{U}\}$  say  $\bar{U}_1, \dots, \bar{U}_n$ . We claim that  $x$  must be in one of the  $\bar{U}_i$ 's, which will show that  $\bigcup\{\bar{U} : U \in \mathcal{U}\}$  is closed.

If not, for each  $i$  we get an onbd  $W_i$  of  $x$  such that  $W_i \cap \bar{U}_i = \emptyset$ . Put  $W = W_x \cap W_1 \cap \dots \cap W_n$ . Then  $W$  will be a onbd of  $x$  and  $W \cap \{\bar{U} : U \in \mathcal{U}\} = \emptyset$ , which is absurd. ♠



So, let us have a look at how this works. In (a), I want to show that the family  $\{\bar{U} : U \in \mathcal{U}\}$  is also locally finite. Given  $x \in X$ , let  $V$  be a neighbourhood of  $x$  such that  $V$  intersects only finitely many members of  $\mathcal{U}$ . Now if  $U$  is a member in  $\mathcal{U}$  such that  $V \cap U$  is empty, then

$V \cap \bar{U}$  is also empty, because  $V$  is an open subset. Therefore,  $V$  intersects closures of only finitely many members, in fact precisely the same members. Proof of (a) is over.

Now part (b). This is slightly more complicated. Actually, this we have seen in part I of the course but never mind, I will repeat it. Take a point in the closure of this union and we must show that it is in the closure of one of the members. That will prove that this union is closed.

So, first of all, choose an open neighbourhood  $W_x$  of  $x$  such that  $W_x$  intersect only finitely many members of this family say,  $\bar{U}_1, \bar{U}_2, \dots, \bar{U}_n$ . We claim that  $x$  must be in one of these  $\bar{U}_1, \bar{U}_2, \dots, \bar{U}_n$ . That will be enough.

Suppose, this is not the case. Then what happens? For each  $i$ , we would get a neighbourhood  $W_i$  of  $x$ , such as that,  $W_i \cap \bar{U}_i$  must be empty. because  $x$  is not in  $\bar{U}_i$  which is a closed set already. (I could have taken complement of this  $\bar{U}_i$  for  $\bar{U}_i$ , that is all.) Now you take  $W$  equal to the intersection of  $W_i$ 's along with the original  $W_x$ . That is a neighbourhood of  $x$ . Now it follows that  $W \cap \bar{U}$  is empty for all  $\bar{U} \in \mathcal{U}$ , which just means that point  $x$  is not in the closure of this union. So that is absurd, because you started with the point  $x$  in the closure.

(Refer Slide Time: 10:20)

**Definition 3.4**  
A topological space  $X$  is called **paracompact** if each open cover for it has a locally finite open refinement for  $X$ .

**Remark 3.5**  
Since any finite family is locally finite, it follows that a compact space is paracompact. Paracompactness is a very useful notion in the study of manifolds, in the absence of compactness. Let us begin with a result which gives a large class of paracompact spaces.



Now, let us make a definition, the one we were aiming at. A space is called paracompact if each open cover for it has a locally finite open refinement. I want to recall each of these terms once again. You have an open cover for  $X$ . Let us call this  $\mathcal{F}_2$ .  $\mathcal{F}_1$  is a refinement of  $\mathcal{F}_2$  means, first of all, that each member of  $\mathcal{F}_1$  is contained in a member of  $\mathcal{F}_2$  and  $\mathcal{F}_1$  itself is a cover for  $X$ . All members of  $\mathcal{F}_1$  are open as well. Finally,  $\mathcal{F}_1$  must be locally finite. i.e.,

each point of  $X$ , there must be an open neighbourhood which will intersect at the most finitely many members of this refinement.

For each open cover of  $X$ , if you have a locally finite open refinement, such a space will be called paracompact. It is somewhat similar to the definition of compactness, wherein each open cover has a finite subcover. We are not insisting on a finite subcover here. Finiteness is replaced by local finiteness, which is much more general. Not only that, we are not insisting upon that this is a subfamily of the of the original cover. It is a refinement. So, you may have many more open sets here, but each new member will be smaller than some old member. So, that is the beauty of this definition.

Since any finite family is automatically locally finite, it follows that a compact space is automatically paracompact. You start with any open cover, first take a finite sub cover. That will be refinement already. Now you take a refinement. You do not have to because any sub cover is a refinement. You do not have to worry about local finiteness because this is already finite, so automatically it is finite also. So, compact spaces are paracompact. Paracompactness is very useful, really useful in the study of manifolds, in the absence of compactness.

In fact, it is also useful in the study of spaces other than manifolds, which are called simplicial sets, simplicial complexes, and what are called CW complexes and so on. So, I cannot dwell much into those objects. Those are the things which you study in algebraic topology.

(Refer Slide Time: 13:42)



#### Theorem 3.6

*A locally compact, Lindelöf space is paracompact.*

**Proof:** The proof involves two steps. The first step itself is of great importance and we would like to draw your attention to it.

A locally compact, Lindelof space is paracompact. So, we are now up to what are the kind of spaces which will become paracompact, what kind of conditions we can impose to ensure paracompactness. Of course, definition is there finally, but how to verify whether some given sapce is paracompact or not?

So, suppose something is locally compact and Lindelof, that is paracompact. So, this is the second result of this kind here, the easy one was compact implies paracompact. The proof of this result itself is very illuminating. So, you should pay attention to that.

(Refer Slide Time: 14:36)

### Step I:

We claim that there exist a sequence of open sets  $\{U_n\}$  in  $X$  such that

(i) Each  $\bar{U}_n$  is compact.

(ii)  $U_n \subset \bar{U}_n \subset U_{n+1}, \forall n$ .

(iii)  $X = \cup_n U_n$ .

To prove this, using locally compactness, and regularity, for each  $x \in X$  we first find open sets  $A_x$  such that  $x \in A_x$  and  $\bar{A}_x$  is compact. Using the Lindelöf property, we then find a countable subcover from  $\{A_x\}_{x \in X}$  say,  $A_1, \dots, A_n, \dots$ . Define  $U_1 = A_1$ . Since  $\bar{U}_1$  is compact, there is some  $n_1$  such that it is contained in the union of  $A_1, \dots, A_{n_1}$ . Define  $U_2 = \cup_{k=1}^{n_1} A_k$ . Observe that  $\bar{U}_2$  is compact. Having defined  $U_n$ , we select  $n_2 > n_1$  such that

$$\bar{U}_n \subset \cup_{k=1}^{n_2} A_k =: U_{n+1}$$

and so on. The said properties are easily verified.



I am going to prove the result in several steps. Each step itself is worth remembering. Each step itself is a kind of property. First step is that there is sequence  $\{U_n\}$  of open sets in  $X$  such that each  $\bar{U}_n$  is compact,  $U_n$  is contained inside  $\bar{U}_n$  contained inside  $U_{n+1}$  etc., and  $X$  is the union of all  $U_n$ 's. So, every locally compact Lindelof space can be written as an increasing union of open sets such that closures these open sets are compact.

So, that is what we are going to prove. Using local compactness and hence regularity for each  $x$  belonging to  $X$ , we first find open neighbourhood  $A_x$  of  $x$  such that  $\bar{A}_x$  is compact. Next, using the Lindelof property, we find a countable subcover from  $\{A_x, x \in X\}$ . Every open cover of a Lindelof space admits a countable subcover. Let us rewrite this countable subcover merely by  $\{A_1, A_2, \dots, A_n, \dots\}$ . We do not worry about which  $A_i$  comes from what point of  $X$ . We are only worried about this countable sequence of open sets whose closures are compact and their union covers  $X$ . That is what we are worried about.

So, you see part of that has already come. But now we have to arrange them so that the entire thing becomes an increasing sequence. This kind of argument is quite useful in measure theory. You start with one of them, any one of them. So, take  $U_1$  equal to  $A_1$ . Since  $\overline{U_1}$  is compact, and all these  $A_n$  is together cover this  $\overline{U_1}$ .

So, some finitely many of them will cover it. So, there is some integer  $n_1$ , such that  $\overline{U_1}$  is contained in the union of  $A_1, A_2, \dots, A_{n_1}$ . Take  $U_2$  to be the union of these  $A_i, i = 1, \dots, n_1$ . Each  $A_k$  is open, remember? So,  $U_2$  is an open set. It contains this contains  $\overline{U_1}$ . And if you take the closure of  $U_2$  that will be equal to the union of the closures of  $A_k$ 's,  $k = 1, 2, \dots, n_1$ .

Being a union of finitely many compact sets,  $\overline{U_2}$  is compact. So, what we have done is setting up an iteration process here.  $U_1$  has been fattened to  $\overline{U_1}$ , which is fattened further to  $U_2$  so that  $\overline{U_2}$  is compact. Now we will repeat this. Repeat the same procedure for  $\overline{U_2}$ . Again,  $\overline{U_2}$  is contained inside the union of  $A_1, A_2, \dots, A_{n_2}$ .

So, there will be some finite number  $n_2$ . Obviously that finite number can be taken bigger than 2. In some funny cases, it may happen that you get an open cover consisting of no new members at all, since our original labeling does not have any such properties. But you can always take successive  $n_i$  to be larger than  $i$ . Nobody stops you from that. That  $n_1$  bigger than 1,  $n_2$  bigger than 2 and so on.

Then given any point  $x \in X$ , say it is in  $A_k$ . It follows that  $x$  belong to  $U_k$ . Therefore union of all the  $U_n$ 's is equal to  $X$ .

(Refer Slide Time: 20:43)

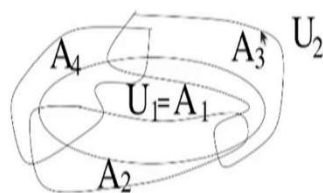


Figure 2:  $X$  is the increasing union of countably many compact sets



So, here is the picture how things are going on. You started with  $A_1$  equal  $U_1$ . The closure of  $U_1$  is represented by the set along with its boundary curve.  $A_2, A_3$  and  $A_4$  are covering the boundary that is  $\overline{U_1}$ . Other  $A_i$  may also be there but you do not worry about them. Now you take the union of  $A_1, A_2, A_3$  and  $A_4$  as your  $U_2$ . Now look at the closure of  $U_2$  which will be compact. So, again, some  $A_4, A_5, A_6$ , etc, will come, which will cover  $\overline{U_2}$  and go on. Ultimately, all the  $A_i$  will be taken care.

(Refer Slide Time: 21:53)

Remark 3.7

A space which is a countable union of compact spaces is called a  $\sigma$ -compact space. What we have proved above implies that every locally compact Lindelöf space is  $\sigma$ -compact in a 'strong' sense. We shall study  $\sigma$ -compactness a little bit more through some exercises.



So, here is a remark before we go further. A space which is a countable union of compact spaces is called a sigma-compact space. What we have proved above implies that every locally compact Lindelof space is sigma-compact in a strong sense. What is the strong sense? That these compact subsets are actually closures of open subsets and the open parts themselves cover the whole of  $X$ .

So, that is the strongness here. So, we shall study sigma compactness a little more, through some exercises later on. This is also an important concept, but mostly it is used in analysis.

(Refer Slide Time: 22:48)



**Step II:** In this step, we claim that any space which satisfies the properties stated in Step I is paracompact. So, let  $\{W_\alpha\}$  be any open cover for  $X$ . For the notational simplicity, we shall define  $U_0 = U_{-1} = U_{-2} = \emptyset$ , where  $U_n$  are chosen as in the I step. Define for each  $n \geq 1$ , and each  $\alpha$ ,

$$V_\alpha^n = (U_n \setminus \bar{U}_{n-3}) \cap W_\alpha.$$

Clearly,  $\{V_\alpha^n\}$  is an open refinement of  $\{W_\alpha\}$ . We shall find a subcover (in fact a countable one) which happens to be locally finite as well.



### Step I:

We claim that there exist a sequence of open sets  $\{U_n\}$  in  $X$  such that

- (i) Each  $\bar{U}_n$  is compact.
- (ii)  $U_n \subset \bar{U}_n \subset U_{n+1}, \forall n$ .
- (iii)  $X = \cup_n U_n$ .

To prove this, using locally compactness, and regularity, for each  $x \in X$  we first find open sets  $A_x$  such that  $x \in A_x$  and  $\bar{A}_x$  is compact. Using the Lindelöf property, we then find a countable subcover from  $\{A_x\}_{x \in X}$  say,  $A_1, \dots, A_n, \dots$ . Define  $U_1 = A_1$ . Since  $\bar{U}_1$  is compact, there is some  $n_1$  such that it is contained in the union of  $A_1, \dots, A_{n_1}$ . Define  $U_2 = \cup_{k=1}^{n_1} A_k$ . Observe that  $\bar{U}_2$  is compact. Having defined  $U_n$ , we select  $n_2 > n_1$  such that

$$\bar{U}_n \subset \cup_{k=1}^{n_2} A_k =: U_{n+1}$$

Now let us go to the step 2 toward proving that the space is paracompact. So, in this step, we claim that any space which satisfies the property stated in step 1 is paracompact. So, now we are not going to use local compactness or Lindelofness separately. We will just use the properties (i), (ii) and (iii) here of the sequence of open sets  $\{U_n\}$ . With such a family of open sets in  $X$ , we are to prove that the space  $X$  is paracompact.

So, here is again, another typical step which we have to learn. Start with a family  $\{W_\alpha\}$ , any open cover for  $X$ . We shall extract a locally finite open refinement for this. For notational simplicity, let us also define  $U_0, U_{-1}$  and  $U_{-2}$  to be empty set. See we have taken the countable family  $\{U_n\}$  indexed from  $n = 1$  onward. Without any harm, we extend this family

with three more members, all empty sets, so that you can write down the inductive step very easily. That is the whole idea.

Define for each  $n \geq 1$ , and each alpha, look at  $U_n \setminus \overline{U_{n-3}}$ . Throw away this closed subset from the open subset  $U_n$ , that is still an open set. See, I want this to work from  $n = 1$ , and that is why I have introduced these harmless members  $U_0, U_{-1}$  and  $U_{-2}$  all empty sets. In the case of  $n = 1$ ,  $U_1 \setminus \overline{U_{n-3}}$  makes sense, but it is actually  $U_1$ , because this part is empty, does not matter.

What I insist is that this is an open subset, this is an open subset set, so, its intersection with  $W_\alpha$ , denoted by  $V_\alpha^n$  is an open subset. So, this is now defined for each  $\alpha$  and each positive integer  $n$ . Clearly the family  $\{V_\alpha^n\}$  this is an open refinement of  $\{W_\alpha\}$ . So, what are the things that we have to verify?  $W_\alpha$  are open and so are  $V_\alpha^n$ . That is fine. Each  $V_\alpha^n$  is contained in  $W_\alpha$ . That is also fine.

These themselves cover the whole  $X$ , why, because whatever point  $x$  you take, it is of all in some  $W_\alpha$ . After that, it must be also in one of the  $U_n$ 's. You take the first  $U_n$  for which, this happens. Possible because  $U_n$ 's are increasing sequence of open sets, covering the whole of  $X$ . Then  $x$  will be in  $V_\alpha^n$ . So, it is an open refinement. We shall now find a countable subcover of this, which happens to be locally finite as well.

So, this itself may not be locally finite. So, I will pass onto a subcover. Subcover means what? It is a cover, but only a few members will be taken. How many? Actually we will take countably many members from here. (Refer Slide Time: 26:59)

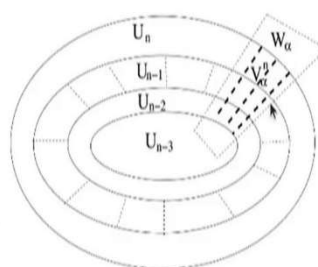


Figure 3:  $\sigma$ -compactness implies paracompactness



So, this is what, the picture here says. This rectangular thing represent  $W_\alpha$ . This is the increasing sequence of our open subsets  $U_n$ 's which cover the whole of  $X$ . These  $W_\alpha$ 's also cover the whole of  $X$ . So, what I am doing here is  $U_n \setminus \overline{U_{n-3}}$ . The closure of  $U_{n-3}$  is being thrown away.

All these happening only inside  $W_\alpha$ . So, you look at only this portion and subtract this portion. This heavily dotted bar is  $V_\alpha^n$ . As alpha varies, you will get a lot points from  $X$ . After that, if you vary  $n$  as well, you will get the entire of the space  $X$ . So, that is how  $V_\alpha^n$ 's have been constructed. Now, some countable subfamily of this is going to be locally finite as well as a cover. So, that is what we have to find out.

(Refer Slide Time: 28:26)

For each fixed  $n$ , the compact subset  $\bar{U}_{n-1} \setminus U_{n-2}$  of  $U_n \setminus \bar{U}_{n-3}$  is covered by the open sets  $\{V_\alpha^n\}$ , and hence there exists a finite subcover which we shall denote by  $\mathcal{F}_n$ .  
 Now let  $\mathcal{F} = \cup_n \mathcal{F}_n$ . Then clearly  $\mathcal{F}$  is a (countable) subfamily of  $\{V_\alpha^n\}$ .  
 Since  $X$  is the increasing union of all  $\bar{U}_n$ , given  $x \in X$ , let  $k$  be the smallest  $n$  such that  $x \in \bar{U}_n$ , i.e.,  $x \in \bar{U}_k$  and  $x \notin \bar{U}_{k-1}$ . Then  $x \in \bar{U}_k \setminus U_{k-1}$  and hence belongs to some member of  $\mathcal{F}_{k+1}$ . Therefore  $\mathcal{F}$  is a cover for  $X$ .  
 To see that  $\mathcal{F}$  is locally finite, given  $x \in X$ , we take  $n$  such that  $x \in U_n$ . It is clear that  $U_n$  does not intersect any member of  $\mathcal{F}_{n+3}$ . Hence  $U_n$  will intersect only finitely many members of  $\mathcal{F}$ . This completes the proof. ♠

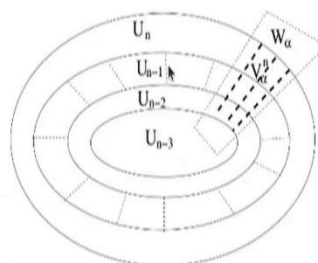


Figure 3:  $\sigma$ -compactness implies paracompactness

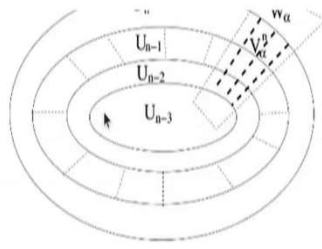


Figure 3:  $\sigma$ -compactness implies paracompactness

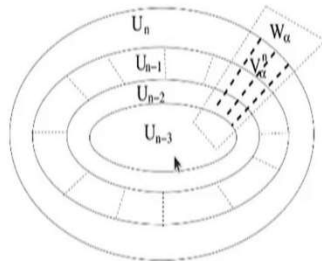


Figure 3:  $\sigma$ -compactness implies paracompactness



For each fixed  $n$ , look at the compact subset  $\overline{U_{n-1}} \setminus U_{n-2}$  of  $U_n \setminus \overline{U_{n-3}}$ . Here I am not intersecting it with  $W_\alpha$ . Look at these concentric ellipses here. Inside each open set I have a compact subset. It is covered by the family  $\{V_\alpha^n\}$ , where  $n$  is fixed. Therefore, we will have a finite subfamily of them covering this part, call that finite family  $\mathcal{F}_n$ .

What is the purpose of this one? Members of  $\mathcal{F}_n$ , you see, they will not intersect  $\overline{U_{n-3}}$  at all. They are contained somewhere here somewhere like this. The construction is over. All that I do now is put  $\mathcal{F}$  equal to union of all  $\mathcal{F}_n$ 's. Each  $\mathcal{F}_n$  has finitely many members. So, the union will be countable. Each member of  $\mathcal{F}_n$  is a member of  $\{V_\alpha^n\}$ . So,  $\mathcal{F}$  is a subfamily of  $\{V_\alpha^n\}$  and hence a refinement also.

Since  $X$  is an increasing union of  $\overline{U_n}$ , given any  $x \in X$ , let  $k$  be the smallest  $n$  such that  $X$  is in  $\overline{U_n}$ , which means that  $X$  is in  $\overline{U_k}$ , but not in  $\overline{U_{k-1}}$ . So, that is the smallest  $k$ . Then  $x$  will be inside  $\overline{U_k} \setminus U_{k-1}$ , therefore belongs to some member of  $F_{k+1}$ . Therefore, every member of  $X$  is inside some member of  $\mathcal{F}$ . So this  $\mathcal{F}$  is a cover for  $X$ .

Finally, why  $\mathcal{F}$  is locally finite? Given any  $x \in X$ , we take  $n$  such that  $x$  is inside  $U_n$ . It is clear that  $U_n$  does not intersect any member of  $F_{n+3}$ . So, in this picture, it is the other way around. If you take something here in  $U_{n+3}$ , then members of  $\mathcal{F}_n$  will contain that element. So, when the index  $n$  is high enough, the point will not be in  $\mathcal{F}_n$ .  $U_n$  may intersect only members of  $F_k, k = 1, 2, \dots, n + 3$ . How many members are there? Finitely many members. So, the family  $\{U_n\}$  itself will serve the purpose of local finiteness. Therefore,  $\mathcal{F}$  is locally finite. So, that completes the proof of this theorem.


(Refer Slide Time: 33:15)

We now consider an important result that says that every paracompact Hausdorff space is normal, similar to the result that every compact Hausdorff space is normal. On the way, we shall prove the regularity of such a space. Indeed, that seems to be the key step, just like in the proof of the fact that a compact Hausdorff space is normal.



We now consider an important result that says that every paracompact Hausdorff space is normal. Similar to the result that every compact Hausdorff space is normal. On the way, we shall prove that it is regular also. So, the proof is somewhat similar to what we have seen earlier, which seems to be the key step to prove normality. We first have regularity here, just like in the proof of the fact that compact Hausdorff space is normal, which we have proved a couple of days before.

(Refer Slide Time: 34:06)



Ant R Shastri Retired Emeritus Fellow Dept. NPTEL, NOC, An Introductory Course on Topology July, 2022 163 / 829

**Theorem 3.8**  
*Every regular paracompact space is normal.*

**Proof:** Let  $A, B$  be two disjoint closed sets. For each point  $a \in A$ , pick up an open set  $U_a$  such that  $a \in U_a \subset \overline{U_a} \subset B^c$ . Then the family  $\{U_a : a \in A\} \cup \{A^c\}$  is an open cover for  $X$ . So, let  $\mathcal{F}$  be a locally finite open refinement of this family and  $\mathcal{F}'$  be the collection of all members of  $\mathcal{F}$  which are not contained in  $A^c$ . In particular, each member of  $\mathcal{F}'$  is disjoint from  $B$ . Put

$$U := \bigcup \{D : D \in \mathcal{F}'\}.$$

Clearly,  $A \subset U$  and  $U \cap B = \emptyset$ .

So, let us go through the proof of this one. Every regular paracompact space is normal. Start with any two disjoint closed sets  $A, B$ . Pick up a point  $a \in A$ , pick up an open neighbourhood  $U_a$  of  $a$  such that  $\overline{U_a}$  contained in the complement of  $B$  which is an open set. Then the family  $U_a$  such that  $a$  belongs to  $A$  along with  $A^c$  is an open cover for  $X$ . So, we have just used regularity here.

$A$  and  $B$  are disjoint closed sets. Now we have got an open cover for  $A$ . Now we use paracompactness. So, let  $\mathcal{F}$  be a locally finite open refinement of this family and let  $\mathcal{F}'$  be the collection of all members of  $\mathcal{F}$ , which are not contained in  $A^c$ . Being a refinement, every member of  $\mathcal{F}$  will belong to  $\mathcal{F}'$  or is contained in  $A^c$ . I do not want those which are contained in  $A^c$ .

I want to concentrate on this part. That is  $\mathcal{F}'$ . In particular, each member of  $\mathcal{F}'$  is disjoint from  $B$ , because it is not contained in some  $\overline{U_a}$  which is contained in  $B^c$ . So, all these open subsets, which are in  $\mathcal{F}'$ , none of them intersects  $B$ . So, if  $U$  is equal to the union of members of  $\mathcal{F}'$ , then  $U$  will not intersect  $B$  and of course,  $U$  contains  $A$ .

So,  $A$  is contained in  $U$  and  $U \cap B$  is empty. I repeat here, look at members of  $\mathcal{F}'$ . They are contained in this part. And  $U_a$  is in the complement of  $B$ , so, that is why they do not intersect  $B$  that is all. So, we have got one part, namely, an open subset around  $A$ , which does not intersect  $B$ .

(Refer Slide Time: 37:20)

Note that  $\mathcal{F}'$  is locally finite. Therefore for each  $b \in B$ , there is an nbd  $V_b$  of  $b$  such that only finitely many members, say,  $D_1, \dots, D_n$  belonging to  $\mathcal{F}'$  will intersect  $V_b$ . Let  $D_i \subset U_{a_i}$ . Consider

$$W_b = (\cap_{i=1}^n \overline{U_{a_i}}^c) \cap V_b.$$

Then  $W_b$  is a nbd of  $b$  and is disjoint from  $U$ .



*Every regular paracompact space is normal.*

**Proof:** Let  $A, B$  be two disjoint closed sets. For each point  $a \in A$ , pick up an open set  $U_a$  such that  $a \in U_a \subset \overline{U_a} \subset B^c$ . Then the family  $\{U_a : a \in A\} \cup \{A^c\}$  is an open cover for  $X$ . So, let  $\mathcal{F}$  be a locally finite open refinement of this family and  $\mathcal{F}'$  be the collection of all members of  $\mathcal{F}$  which are not contained in  $A^c$ . In particular, each member of  $\mathcal{F}'$  is disjoint from  $B$ . Put

$$U := \cup \{D : D \in \mathcal{F}'\}.$$

Clearly,  $A \subset U$  and  $U \cap B = \emptyset$ .



Theorem 3.8

*Every regular paracompact space is normal.*

**Proof:** Let  $A, B$  be two disjoint closed sets. For each point  $a \in A$ , pick up an open set  $U_a$  such that  $a \in U_a \subset \overline{U_a} \subset B^c$ . Then the family  $\{U_a : a \in A\} \cup \{A^c\}$  is an open cover for  $X$ . So, let  $\mathcal{F}$  be a locally finite open refinement of this family and  $\mathcal{F}'$  be the collection of all members of  $\mathcal{F}$  which are not contained in  $A^c$ . In particular, each member of  $\mathcal{F}'$  is disjoint from  $B$ . Put

$$U := \cup \{D : D \in \mathcal{F}'\}.$$

Clearly,  $A \subset U$  and  $U \cap B = \emptyset$ .





Now, look at  $\mathcal{F}'$ . It is locally finite, because it is a subfamily of  $\mathcal{F}$  which is locally finite. Therefore, for each  $b \in B$ , there is an open neighbourhood,  $V_b$  of  $B$  such that only finitely many members let us say  $D_1, D_2, \dots, D_n$  belonging to this  $\mathcal{F}'$  will intersect  $V_b$ . So, look at these  $D_i$ 's, since they are members of  $\mathcal{F}'$ , there are  $a_i \in A$  such that  $D_i$  is contained in  $U_{a_i}$ .

Now you look at  $W_b$  equal to the intersection of this  $V_b$  with the complement of the closures of  $U_{a_i}, i = 1, 2, \dots, n$ . But if you take finite intersection of the complements of the closures, that will be the open subset, So  $W_b$  is open.


So,  $W_b$  is neighbourhood of  $b$  for each  $b \in B$  and disjoint from  $U$ . So, let me prove this one. Why this is disjoint from  $U$ ? Once you have done that we have finished the proof roughly by taking  $V$  equal to union of all  $W_b$ 's, we get  $U$  and  $V$  will be open subsets which are disjoint.

(Refer Slide Time: 39:14)



For


$$\begin{aligned} W_b \cap U &= W_b \cap (D_1 \cup \dots \cup D_n) \\ &\subset W_b \cap (U_{a_1} \cup \dots \cup U_{a_n}) \\ &= V_b \cap (\overline{U_{a_1}}^c \cap \dots \cap \overline{U_{a_n}}^c) \cap (U_{a_1} \cup \dots \cup U_{a_n}) \\ &= V_b \cap (\cup_{i=1}^n (\overline{U_{a_1}}^c \cap \dots \cap \overline{U_{a_n}}^c \cap U_{a_i})) = V_b \cap \emptyset = \emptyset. \end{aligned}$$

Thus if we take  $V = \cup_b W_b$ , it follows that  $U$  and  $V$  disjoint open sets containing  $A$  and  $B$  respectively. 



Note that  $\mathcal{F}'$  is locally finite. Therefore for each  $b \in B$ , there is an nbd  $V_b$  of  $b$  such that only finitely many members, say,  $D_1, \dots, D_n$  belonging to  $\mathcal{F}'$  will intersect  $V_b$ . Let  $D_i \subset U_{a_i}$ . Consider

$$W_b = (\cap_{i=1}^n \overline{U_{a_i}}^c) \cap V_b.$$

Then  $W_b$  is a nbd of  $b$  and is disjoint from  $U$ . 





**Theorem 3.8**

*Every regular paracompact space is normal.*

**Proof:** Let  $A, B$  be two disjoint closed sets. For each point  $a \in A$ , pick up an open set  $U_a$  such that  $a \in U_a \subset \overline{U_a} \subset B^c$ . Then the family  $\{U_a : a \in A\} \cup \{A^c\}$  is an open cover for  $X$ . So, let  $\mathcal{F}$  be a locally finite open refinement of this family and  $\mathcal{F}'$  be the collection of all members of  $\mathcal{F}$  which are not contained in  $A^c$ . In particular, each member of  $\mathcal{F}'$  is disjoint from  $B$ . Put

$$U := \cup\{D : D \in \mathcal{F}'\}.$$

Clearly,  $A \subset U$  and  $U \cap B = \emptyset$ .



So, let us see why  $W_b \cap U$  is empty.  $W_b \cap U$  is  $W_b \cap (D_1 \cup D_2 \cup \dots \cup D_n)$ . That is contained in  $W_b \cap (U_{a_1} \cup \dots \cup U_{a_n})$ . But  $W_b$  is nothing but  $V_b \cap (\overline{U_{a_1}}^c \dots \cup \overline{U_{a_n}}^c)$ . See the brackets are important. Here, I am taking unions here, this intersection here, here I am taking intersection, this is also intersection. The intersection of three sets. But the second set itself is a finite intersection and the third one is a union. Therefore, it is equal to the intersection of  $V_b$  with the union over  $i$  ranging from 1 to  $n$ , of the second set intersected with  $U_{a_i}$ . Since the second set intersected with any  $U_{a_i}$  is empty, we get the whole thing equal to  $V_b$  intersection with the empty set.

So, we have found out two disjoint open subset  $U$  and  $V$  respectively containing  $A$  and  $B$ . That completes the proof that, a regular paracompact space is normal.

Added by the reviewer: Alternatively, you can directly take  $V$  equal to the complement of the closure of the union of members of  $\mathcal{F}'$ . Since,  $\mathcal{F}'$  is locally finite, we have closure of  $U$  is the same as the union of closure of  $D$  where  $D$  ranges over  $\mathcal{F}'$ . Since each such  $D$  is contained in some  $U_a$ , closure of  $D$  is contained in closure of  $U_a$  and hence is disjoint from  $B$ . Therefore, their union is also disjoint from  $B$ . That means  $V$  contains  $B$ . Clearly,  $V$  is disjoint from  $U$ .

The next step will be there to prove that Hausdorff paracompact space is regular.

(Refer Slide Time: 41:48)

### Theorem 3.9

A paracompact Hausdorff space is normal.

**Proof:** From the above theorem, it suffices to prove that the space is regular. Let  $x \in X$  and  $U$  be an open set such that  $x \in U$ . For every  $y \in U^c$  choose disjoint open sets  $U_y$  and  $V_y$  such that  $x \in U_y$  and  $y \in V_y$ . Now the open cover  $\{V_y : y \in U^c\} \cup \{U\}$  for  $X$  admits a locally finite open refinement  $\mathcal{F}$ . Let  $\mathcal{F}'$  be those members of  $\mathcal{F}$  which are not contained in  $U$ . Then  $\mathcal{F}'$  is also locally finite. Let  $W$  be an open set such that  $x \in W$  and  $W$  meets only a finite number of members  $\{W_1, \dots, W_n\}$  of  $\mathcal{F}'$ . We then have  $W_i \subset V_{y_i}$ ,  $y_i \in U^c$ ,  $1 \leq i \leq n$ .



So, that is the next step. A Hausdorff paracompact is normal. What we have to do? You have to just prove regularity and use the previous theorem. So, let  $x$  belong to  $X$ ,  $U$  be an open subset such that  $x$  is inside  $U$ . For every  $y$  in the complement of  $U$ , choose a disjoint open sets  $U_y$  and  $V_y$  such that  $x$  is inside  $U_y$  and  $y$  is inside  $V_y$ ,  $x$  and  $y$  are distinct and then I can do this because  $X$  is a Hausdorff space.

Now, as we vary  $y$  over the complement of  $U$ , these  $V_y$ 's will cover the complement of  $U$ . Along with  $U$ , that will be an open cover for  $X$ , say  $\mathcal{F}$ . So, this admits a locally finite open refinement say  $\mathcal{F}'$ . That is where paracompactness of  $X$  is used. Again, as in the previous step, take only those members of  $\mathcal{F}'$  which are not contained in  $U$  here. They may be coming from here, they have to come. If it is not coming from here, it must be a subset of some member here. Obviously, this being a sub family, it is also locally finite. Take  $W$  be an open set such that  $x$  is inside  $W$  and  $W$  meets only finitely many members of  $\mathcal{F}'$ , which we will label as  $W_1, \dots, W_n$ . Each  $W_i$  will be contained in some  $V_{y_i}$ ,  $V_{y_i}$  are subsets of  $U^c$ . See, these steps are identical, almost identical as in the proof of a previous theorem. At least the idea is identical.

(Refer Slide Time: 44:13)



Put

$$N = W \cap U_{y_1} \cap \dots \cap U_{y_n}.$$

Clearly  $N$  is an open set containing  $x$ . We claim  $\bar{N} \subset U$ . (This will complete the proof.) Let  $V = \cup\{A : A \in \mathcal{F}'\}$ . Then  $V$  is an open set and  $U^c \subset V$ . Therefore, it is enough to show that  $N \cap V = \emptyset$ . Now

$$\begin{aligned} N \cap V &= W \cap U_{y_1} \cap \dots \cap U_{y_n} \cap V \\ &= W \cap U_{y_1} \cap \dots \cap U_{y_n} \cap (W_1 \cup \dots \cup W_n) \\ &\subset W \cap U_{y_1} \cap \dots \cap U_{y_n} \cap (\cup_{i=1}^n V_{y_i}) \\ &= W \cap (\cup_{i=1}^n (U_{y_1} \cap \dots \cap U_{y_n} \cap V_{y_i})) = W \cap \emptyset = \emptyset. \end{aligned}$$

This completes the proof. ♠



finite open refinement  $\mathcal{F}$ . Let  $\mathcal{F}'$  be those members of  $\mathcal{F}$  which are not contained in  $U$ . Then  $\mathcal{F}'$  is also locally finite. Let  $W$  be an open set such that  $x \in W$  and  $W$  meets only a finite number of members  $\{W_1, \dots, W_n\}$  of  $\mathcal{F}'$ . We then have  $W_i \subset V_{y_i}$ ,  $y_i \in U^c$ ,  $1 \leq i \leq n$ .



Put

$$N = W \cap U_{y_1} \cap \dots \cap U_{y_n}.$$

Clearly  $N$  is an open set containing  $x$ . We claim  $\bar{N} \subset U$ . (This will complete the proof.) Let  $V = \cup\{A : A \in \mathcal{F}'\}$ . Then  $V$  is an open set and  $U^c \subset V$ . Therefore, it is enough to show that  $N \cap V = \emptyset$ . Now



**Theorem 3.9**

*A paracompact Hausdorff space is normal.*

**Proof:** From the above theorem, it suffices to prove that the space is regular. Let  $x \in X$  and  $U$  be an open set such that  $x \in U$ . For every  $y \in U^c$  choose disjoint open sets  $U_y$  and  $V_y$  such that  $x \in U_y$  and  $y \in V_y$ . Now the open cover  $\{V_y : y \in U^c\} \cup \{U\}$  for  $X$  admits a locally finite open refinement  $\mathcal{F}$ . Let  $\mathcal{F}'$  be those members of  $\mathcal{F}$  which are not contained in  $U$ . Then  $\mathcal{F}'$  is also locally finite. Let  $W$  be an open set such that  $x \in W$  and  $W$  meets only a finite number of members  $\{W_1, \dots, W_n\}$  of  $\mathcal{F}'$ . We then have  $W_i \subset V_{y_i}$ ,  $y_i \in U^c$ ,  $1 \leq i \leq n$ .



regular. Let  $x \in X$  and  $U$  be an open set such that  $x \in U$ . For every  $y \in U^c$  choose disjoint open sets  $U_y$  and  $V_y$  such that  $x \in U_y$  and  $y \in V_y$ . Now the open cover  $\{V_y : y \in U^c\} \cup \{U\}$  for  $X$  admits a locally finite open refinement  $\mathcal{F}$ . Let  $\mathcal{F}'$  be those members of  $\mathcal{F}$  which are not contained in  $U$ . Then  $\mathcal{F}'$  is also locally finite. Let  $W$  be an open set such that  $x \in W$  and  $W$  meets only a finite number of members  $\{W_1, \dots, W_n\}$  of  $\mathcal{F}'$ . We then have  $W_i \subset V_{y_i}$ ,  $y_i \in U^c$ ,  $1 \leq i \leq n$ .



Put

$$N = W \cap U_{y_1} \cap \dots \cap U_{y_n}.$$



Clearly  $N$  is an open set containing  $x$ . We claim  $\bar{N} \subset U$ . (This will

Now take  $N$  to be intersection of  $W$  with  $U_{y_1}, \dots, U_{y_n}$ , where  $y_i$  are chosen as above.  $U_{y_i}$  are disjoint from corresponding  $V_{y_i}$ . I do not have to take the complement and closures and complements and so on here they are readymade open subsets which are disjoint from that one. Clearly, this  $N$  is an open set containing  $x$ , because each  $U_{y_i}$ 's are all neighbourhoods of  $x$ . We claim that the closure of  $N$  is inside  $U$ . That will complete the proof of regularity of  $X$ . Given  $x \in U$ , you found  $N$  such that  $x$  is in  $N$  and closure of  $N$  contained in  $U$ . That is the regularity.

So, let  $V$  which union of all  $A$ , where  $A$  ranges over  $\mathcal{F}'$ . This  $V$  is an open set and  $U^c$  will be contained inside  $V$ , because together with  $U^c$ , they cover the whole of  $X$ . After all, we started with  $\mathcal{F}$  as a covering of  $X$ .

Therefore, it is enough to show that  $N \cap V$  itself is empty. Since  $V$  is an open subset, this will imply that  $\bar{N} \cap V$  is empty. So,  $\bar{N}$  will be contained inside  $U$ . So, look at  $N \cap V$ . Same argument as in the proof that  $W_b \cap U$  is empty, yields that this set is empty.

(Refer Slide Time: 47:35)

Corollary 3.10

A paracompact Hausdorff space is  $T_4$ .



## Module-12 Partition of Unity



So, in conclusion, paracompact Hausdorff space is normal. Plus  $T_1$  is already there, so, it is  $T_4$ . So, we have done some major topological properties of paracompact spaces. The next thing is functional properties. Namely what are called partition of unity. Partition of unity is one of the major purpose of introducing paracompactness by the great mathematician, Dieodonne. So, thank you. Let us, do this partition of unity next time.