

The structure (and story) of ω -complete effect monoids

Abraham Westerbaan

Bas Westerbaan

John van de Wetering

Dalhousie (AW), PQShield (BW), Radboud University & Oxford (JvdW)

March 30, 2021

This talk

1. What are effect monoids? and why would you want to consider the ω -complete ones.
2. Origin of effect monoids: the scalars of an effectus
3. Representation theory for ω -complete effect monoids
4. Duality for directed complete effect monoids

Effect monoids

Examples:

B , Boolean algebra;

$$[0, 1]_{\mathcal{A}} = \{a \in \mathcal{A} : 0 \leq a \leq 1\},$$

\mathcal{A} commutative unital C^* -algebra

That is: $C(X, \{0, 1\})$;

$C(X, [0, 1])$, X compact Hausdorff

Definition: An **effect monoid** is a set M with a

1. **partial addition** \oplus ,

$$a \oplus b := a \vee b,$$

$$\text{when } a \wedge b = 0$$

$$a \oplus b := a + b,$$

$$\text{when } a + b \leq 1$$

2. a **complement** operation $(\cdot)^\perp$,

$$a^\perp := \neg a$$

$$a^\perp := 1 - a$$

3. a **zero** (and **one**) element 0 (and $1 := 0^\perp$),

4. and a **multiplication** \cdot ,

$$a \cdot b := a \wedge b$$

regular multiplication

obeying certain axioms (next slide).

Effect monoid axioms

1. $a \otimes b = b \otimes a$
2. $(a \otimes b) \otimes c = a \otimes (b \otimes c)$
3. $a \otimes 0 = a$
4. $a \otimes a^\perp = 1$
5. $a \otimes b_1 = a \otimes b_2$ implies $b_1 = b_2$
6. $a \otimes b = 0$ implies $a = b = 0$
7. $1 \cdot a = a = a \cdot 1$
8. $(ab)c = a(bc)$
9. $a(b \otimes c) \Rightarrow ab \otimes ac$ & $(b \otimes c)a \Rightarrow ba \otimes ca$

$A \Rightarrow B$ means “when A is defined, so is B , and they’re equal.”

$\frac{1}{2} \cdot \frac{2}{3} \otimes \frac{1}{2} \cdot \frac{2}{3}$ makes sense in $[0, 1]$, but $\frac{1}{2}(\frac{2}{3} \otimes \frac{2}{3})$ doesn't.

Dropping axioms 7–9 and \cdot we get an **effect algebra**.

Examples of effect monoids

1. Boolean algebras

2. $[0, 1]_{\mathcal{A}}$, where \mathcal{A} is a **commutative unital C^* -algebra**.

(Commutative, because $ab \geq 0$ for $a, b \geq 0$ implies $ab = (ab)^* = b^*a^* = ba$.)

For non-commutative C^* -algebras, the ‘sequential product’ $a \& b := \sqrt{a}b\sqrt{a}$ can be restricted to $[0, 1]_{\mathcal{A}}$, leading to Gudder’s ‘sequential effect algebras’.)

3. $[0, 1]_R$, where R is a **partially ordered** (not necessarily commutative) **unital ring** R .

(A Boolean algebra B seen as ring with ‘xor’ $a \oplus b := (a \vee b) \wedge \neg(a \wedge b)$ as addition is not partially orderable, since $a \oplus a = 0$.)

A non-commutative effect monoid¹

$[0, 1]_R$, where R is the totally ordered unital ring on the vector space \mathbb{R}^5 , ordered lexicographically, i.e.

$$v < w \iff \exists N < 5 [v_N < w_N \wedge \forall n < N [v_n = w_n]],$$

with multiplication given on basis vectors $e_1 = (1, 0, 0, 0, 0), \dots, e_5 = (0, 0, 0, 0, 1)$ by:

\cdot	e_1	e_2	e_3	e_4	e_5
e_1	e_1	e_2	e_3	e_4	e_5
e_2	e_2	e_4	e_5	0	0
e_3	e_3	0	0	0	0
e_4	e_4	0	0	0	0
e_5	e_5	0	0	0	0

(Totally ordered non-commutative rings can not be Archimedean.)

¹From Bas Westerbaan's master's thesis.

Effect monoids are terrible structures

1. Only trivial things can be proven about them,
2. and obvious propositions seem to be false,
(e.g. that $aa^\perp \otimes aa^\perp \otimes aa^\perp$ exists.)
3. though counterexamples are difficult to obtain,
4. but give no deep insight when found.

The situation is completely different for ω -**complete** effect monoids!

ω -completeness

In an effect monoid (or effect algebra) M we define:

$$a \leq b \iff \exists d \in M. b = a \oplus d.$$

(By the way, such a d is unique when it exists, and written $b \ominus a$.)

An effect monoid is ω -**complete** when every ascending sequence $a_1 \leq a_2 \leq \dots$ has a supremum $\bigvee_n a_n$.

(We do not require \oplus and \cdot to preserve these suprema.)

Examples of ω -complete effect monoids (ω -EMs)

1. ω -complete Boolean algebra, such as a σ -algebra.
2. $[0, 1]$ -valued measurable functions on a σ -algebra.
3. $[0, 1]_{\mathcal{A}}$, where \mathcal{A} is a ' ω -complete' commutative unital C^* -algebra (such as a commutative von Neumann algebra.)
4. $C(X, [0, 1])$ where X is a compact Hausdorff is ω -complete iff X is **basically disconnected**, that is, $\overline{X \setminus f^{-1}(0)}$ is open for every $f \in C(X, [0, 1])$.
5. The clopens $C(X, \{0, 1\})$ of a basically disconnected compact Hausdorff space X .

ω -complete effect monoids are great structures!

Given an ω -EM M .

1. One easily sees that M has **no infinitesimals**:
if na exists for all n , then $a \otimes \bigvee_{n=0}^{\infty} a = \bigvee_{n=0}^{\infty} a$, so $a = 0$.
2. Harder: M can be **represented by continuous functions**, that is, is isomorphic to a subalgebra of $C(X, [0, 1])$ for some basically disconnected compact Hausdorff space X .
3. In particular, M is **commutative**.
4. **Lattice**: binary infima $a \wedge b$ and suprema $a \vee b$ exist.
5. Above each $a \in M$ there is a least **idempotent** $[a]$.
6. **division**: For all $a \leq b$ we can define $a/b \in M$ with $a = (a/b)b$.
7. Multiplication **preserves all existing suprema** (not just countable directed ones.)

Directed complete effect monoid

A **directed complete effect monoid (dcEM)** is isomorphic to

$$C(X, [0, 1]) \oplus C(Y, \{0, 1\})$$

for *extremally disconnected* (the closures of opens are open) compact Hausdorff spaces X and Y .

So a directed complete effect monoids splits into **Boolean** and **convex** parts.

(This can be turned into a categorical duality, as we'll see later.)

Counterexample

ω -**EMs don't split** in Boolean and convex parts:

Consider, given an uncountably infinite set X , the ω -EM

$$M := \left\{ f: X \rightarrow [0, 1]: \left[\begin{array}{l} \text{either } f^{-1}(0) \text{ is cocountable} \\ \text{or } f^{-1}(1) \text{ is cocountable} \end{array} \right] \right\}$$

(So each $f \in M$ is either mostly equal to 0, or mostly equal to 1.)

Note that M has no Boolean idempotents, no half, but does have a maximal set of orthogonal halvable idempotents.

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Origin of effect monoids: effectuses

An **effectus** is a category E with finite coproducts, final object 1 , such that

$$\begin{array}{ccc} A + B & \xrightarrow{1+!} & A + 1 \\ !+1 \downarrow & & \downarrow !+1 \\ 1 + B & \xrightarrow{1+!} & 1 + 1 \end{array} \qquad \begin{array}{ccc} A & \xrightarrow{!} & 1 \\ \kappa_1 \downarrow & & \downarrow \kappa_1 \\ A + B & \xrightarrow{!+!} & 1 + 1 \end{array}$$

are pullbacks, and

$$\mathcal{W}, \mathcal{X} : 1 + 1 + 1 \longrightarrow 1 + 1$$

are jointly monic.

States and predicates

Origin of effect monoids: effectuses

An effectus is intended to reason about **states** $s: 1 \rightarrow X$,
predicates $p: X \rightarrow 1 + 1$, (and **partial maps** $f: X \rightarrow Y + 1$.)

The composition $p \circ s$ is a morphism $1 \rightarrow 1 + 1$ (called a scalar)
that represents the probability that predicate p holds in state s .

It's the morphisms $1 \rightarrow 1 + 1$ that form an effect monoid.

Addition of predicates

Origin of effect monoids: effectuses

Predicates $p, q: X \rightarrow 1 + 1$ (in particular, scalars $1 \rightarrow 1 + 1$) in an effectus are **summable** when there is a $b: X \rightarrow 1 + 1 + 1$ with

$$\begin{array}{ccc} & 1 + 1 & , \\ & \uparrow \mathcal{W} & \\ X & \xrightarrow{p} & 1 + 1 + 1 \\ & \xrightarrow{b} & \downarrow \mathcal{X} \\ & & 1 + 1 \end{array}$$

in which case we define $p \oplus q := \mathcal{W} \circ b$.

(Note that b is unique by joint monicity of \mathcal{X} and \mathcal{W} .)

Predicates form an effect algebra

Origin of effect monoids: effectuses

The predicates $X \rightarrow 1 + 1$ form an effect algebra with:

$$1 := (X \xrightarrow{!} 1 \xrightarrow{\kappa_1} 1 + 1)$$

$$0 := (X \xrightarrow{!} 1 \xrightarrow{\kappa_2} 1 + 1)$$

$$p^\perp := (X \xrightarrow{p} 1 + 1 \xrightarrow{X} 1 + 1)$$

For example, $p \circledast p^\perp = 1$, because

$$b := (X \xrightarrow{p} 1 + 1 \xrightarrow{!} 1 + 1 + 1)$$

satisfies $!W \circ b = p$, $X \circ b = p^\perp$, $W \circ b = 1$.

Multiplication of scalars

Origin of effect monoids: effectuses

The scalars $1 \rightarrow 1 + 1$ form an effect monoid with multiplication:

$$s \cdot t := (1 \xrightarrow{s} 1 + 1 \xrightarrow{t+1} 1 + 1 + 1 \xrightarrow{!V} 1 + 1)$$

(Which is, if you like, the Kleisli composition of s and t with respect to the monad $(\cdot) + 1$ that has unit $X \xrightarrow{\kappa_1} X + 1$ and multiplication $X + 1 + 1 \xrightarrow{!V} X + 1$.)

Note that there is no reason to expect that this multiplication is commutative. In fact, any effect monoid M occurs as the scalars of some effectus (for example, the effectus of 'effect modules' over M .)

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Idempotents

An element p of an effect monoid M is an **idempotent** when $p^2 = p$, that is, $pp^\perp = 0$.

Given $a \in M$, we have:

1. $a \leq p \iff ap^\perp = 0 \iff ap = a$.
2. $ap = pap = pa$

(So all idempotents are 'central'.)

Corollary: pM is an effect monoid called (with unit p) called a **corner**, and $M \cong pM \oplus p^\perp M$ via $a \mapsto (pa, p^\perp a)$.

Boolean and halvable idempotents

An idempotent p of an effect monoid M is

1. **Boolean** when all $a \leq p$ are idempotents;
2. **halvable** when there is $a \in M$ with $a \vee a = p$.

We say that M is Boolean/halvable when 1_M is Boolean/halvable.

It turns out that:

1. An effect monoid is Boolean iff M is a Boolean algebra (easy, because the idempotents form a Boolean algebra).
2. An ω -EM M is halvable iff $M \cong C(X, [0, 1])$ for some basically disconnected compact Hausdorff space X (hard—we'll get back to this.)

How to get (Boolean and halvable) idempotents?

Given an element a of an effect monoid M we have

$$1 = a \otimes a^\perp = a \otimes (a \otimes a^\perp) a^\perp = a \otimes a a^\perp \otimes (a^\perp)^2 = \dots$$

Going on like that, we get:

$$1 = \bigotimes_{n < N} a (a^\perp)^n \otimes (a^\perp)^N.$$

So when M is ω -complete, we can define

$$[\mathbf{a}] := \bigotimes_{n < N} a (a^\perp)^n \quad \text{and} \quad \lceil \mathbf{a} \rceil := \bigwedge_n a^n.$$

Then $[\mathbf{a}]$ is the greatest idempotent below a (intuitively, because c^n converges to 0 when $c \in [0, 1)$) and $\lceil \mathbf{a} \rceil$ is the least idempotent above a .

Non-trivial property of ceiling

Proposition: $ab = 0 \implies a[b] = 0$.

Proof: One hopes that $a[b] \equiv a \bigvee_n b(b^\perp)^n \stackrel{?}{=} \bigvee_n (ab)(b^\perp)^n = 0$, but does $a(\cdot)$ preserve suprema? (We only automatically have \geq .)

Writing $s_N := \bigvee_{n=0}^N b(b^\perp)^n$, we have $as_N = 0$, so $a^\perp s_N = s_N$, so

$$[b] = \bigvee_N s_N = \bigvee_N a^\perp s_N \leq a^\perp \bigvee_N s_N \equiv a^\perp [b] \leq [b]$$

Thus $a^\perp [b] = [b]$, so $a[b] = 0$.

How to get halvable idempotents

When $b \equiv a \otimes a$, then $[b] = (\bigotimes_n a(b^\perp)^n) \otimes (\bigotimes_n a(b^\perp)^n)$ is an halvable idempotent.

How to get halvable elements? Given a , we have $aa^\perp = a^\perp a$, because adding a^2 to either side gives a .

Now, $1 = (a \otimes a^\perp)^2 = a^2 \otimes 2aa^\perp \otimes (a^\perp)^2$, so $2aa^\perp$ exists.

Whence $[2aa^\perp]$ is a halvable idempotent (but might be zero.)

If $[2aa^\perp] = 0$, then $aa^\perp \leq [2aa^\perp] = 0$, so a is an idempotent.

Moral: When the halveable idempotents/elements of an ω -EM are exhausted, only (Boolean) idempotents are left.

Crux of the representation theorem

Using Boolean and halvable idempotents: Let E be a maximal set of orthogonal idempotents of an ω -EM M such that each $p \in E$ is either Boolean or halvable, then it turns out (we'll get back to this) that the map

$$\varrho: a \mapsto (pa)_{p \in E}: M \longrightarrow \bigoplus_{p \in E} pM$$

is an isomorphism onto its image.

(We cannot always expect surjectivity.)

Each pM , being Boolean or halvable, will turn out to be isomorphic to either a $C(X, \{0, 1\})$ or a $C(X, [0, 1])$ for some basically disconnected compact Hausdorff space X .

Counterexample

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From halvable ω -EM to $C(X, [0, 1])$, I

Given a halvable ω -EM M and $h \in M$ with $h \otimes h = 1$, we can define a **scalar multiplication** $[0, 1] \times M \rightarrow M$ first on the dyadics by $\frac{m}{2^n} \cdot a = mh^n a$, and then extend it to all $[0, 1]$ by ω -completeness, such that:

1. $\lambda(\mu a) = (\lambda\mu)a$
2. $(\lambda \otimes \mu)a \Rightarrow \lambda a \otimes \mu a$
3. $\lambda(a \otimes b) \Rightarrow \lambda a \otimes \lambda b$
4. $1 \cdot a = a$

That is, M is a ‘**convex effect algebra**’.

From halvable ω -EM to $C(X, [0, 1])$, II

Such a convex effect algebra is, by a theorem of Gudder and Pulmannová's, isomorphic to $[0, 1]_V$ for some **order unit space** V (i.e. partially ordered real vector space with a positive element 1 such that for each $a \in V$ there is n with $-n \leq a \leq n$.)

However: to see that $V \cong C(X)$ we need additional structure:

- ▶ either extend multiplication to V (and use Kadison's representation theory for ordered algebras);
- ▶ or show M (and thus V) is a lattice (and use Yosida's representation theorem for vector lattices.)

We'll go for the lattice structure.

Lattice structure, I



$$A+B = AVB + A\wedge B$$

$$A\wedge B \leq C \leq AVB$$

Idea: approximate $a \wedge b$ using multiplication.

First approximation: ab .

Note in $[0, 1]$ (and so in $C(X, [0, 1])$ too)

$$a \wedge b \ominus ab = (a \ominus ab) \wedge (b \ominus ab).$$

Second approximation: $ab \oplus (a \ominus ab)(b \ominus ab)$.

Going on like this...

Lattice structure, II

Given elements a and b of an ω -complete effect monoid M , define

$$a \wedge b := \bigvee_{n=0}^{\infty} a_n b_n \quad \text{where} \quad \left[\begin{array}{l} a_N := a \ominus \bigvee_{n < N} a_n b_n \\ b_N := b \ominus \bigvee_{n < N} a_n b_n \end{array} \right.$$

Then $a \wedge b$ is the infimum of a and b .

(Note that $a_N b_N$ is summable with $\bigvee_{n < N} a_n b_n$, because $a_N \geq a_N b_N$ is, by definition; moreover, $a_N \oplus \bigvee_{n < N} a_n b_n = a$, implies $\bigvee_{n \leq N} a_n b_n \leq a$.)

We also get:

$$\bigwedge_n a_n := a \ominus a \wedge b \quad \text{and} \quad \bigwedge_n b_n := b \ominus a \wedge b.$$

Lattice structure, III

So why is $a \wedge b$ the infimum? Clearly, $a \wedge b \leq a, b$.

So let $\ell \leq a, b$ be given; we must show that $a \wedge b \geq \ell$.

Note that $(\bigwedge_n a_n)(\bigwedge_n b_n) \leq \bigwedge_n a_n b_n = 0$, because $N \bigwedge a_n b_n$ exists for all N , because $\bigvee_N a_n b_n$ exists.

Writing $\mathbf{p} := [\bigwedge_n \mathbf{b}_n]$, we have:

$$(\bigwedge_n a_n)\mathbf{p} = 0 \quad \text{and} \quad (\bigwedge_n b_n)\mathbf{p}^\perp = 0.$$

Thus, as $a \wedge b \bigvee \bigwedge_n b_n = b$,

$$b\mathbf{p}^\perp = (a \wedge b)\mathbf{p}^\perp \quad \text{and similarly} \quad a\mathbf{p} = (a \wedge b)\mathbf{p}.$$

Now, $\ell = \ell\mathbf{p}^\perp \bigvee \ell\mathbf{p} \leq b\mathbf{p}^\perp \bigvee a\mathbf{p} = (a \wedge b)\mathbf{p}^\perp \bigvee (a \wedge b)\mathbf{p} = a \wedge b$.

Whence: $a \wedge b$ is the greatest lower bound of a and b .

From halvable ω -EM to $C(X, [0, 1])$, III

Getting back to our halvable ω -EM M that is isomorphic to $[0, 1]_V$ for some order unit space V :

- ▶ Since M is a lattice, so is V ;
- ▶ Since M is ω -complete, so is V , for bounded sequences.

Whence V is a ' **σ -Dedekind complete Riesz space**', and thus, by Yosida's representation theorem, isomorphic to $C(X)$ for some basically disconnected compact Hausdorff space.

(As a result, $M \cong C(X, [0, 1])$.)

From halvable ω -EM to $C(X, [0, 1])$, IV

In more detail: We have a *Riesz space isomorphism* (linear, unital, and \wedge -preserving)

$$a \mapsto (\varphi \mapsto \varphi(a)): V \longrightarrow C(\text{Spec}(V)),$$

where $\text{Spec}(V)$ is the basically disconnected compact Hausdorff subspace of \mathbb{R}^V consisting of the Riesz homomorphisms $\varphi: V \rightarrow \mathbb{R}$.

This map restricts to an isomorphism $M \rightarrow C(\text{Spec}(V), [0, 1])$, of lattice effect algebras.

But does this isomorphism preserve multiplication?

From halvable ω -EM to $C(X, [0, 1])$, V

For $a \mapsto (\varphi \mapsto \varphi(a)) : M \longrightarrow C(\text{Spec}(V), [0, 1])$ to **preserve multiplication**, it suffices to show that $\varphi(ab) = \varphi(a)\varphi(b)$ for all $a, b \in M$ and $\varphi \in \text{Spec}(V)$.

Proof: define $d(a, b) := a \vee b \ominus a \wedge b$. Then:

1. $d(ab, ac) \leq a d(b, c) \leq d(b, c)$,
since $ab \vee ac \leq a(b \vee c)$ and $ab \wedge ac \geq a(b \wedge c)$.
2. $d(a, b) = 0 \implies a = b$,
since a and b are squeezed between $a \wedge b$ and $a \vee b$.
3. $\varphi(d(a, b)) = d(\varphi(a), \varphi(b))$, since φ preserves \wedge , \vee and \ominus .

Now: $d(\varphi(ab), \varphi(a)\varphi(b)) = \varphi(d(ab, a\varphi(b))) \leq \varphi(d(b, \varphi(b)1)) = d(\varphi(b), \varphi(b)) = 0$, thus $\varphi(ab) = \varphi(a)\varphi(b)$.

So indeed, halvable ω -EMs are $C(X, [0, 1])$ -es!

Crux of the representation theorem, II

The key to proving that given an maximal orthogonal set of idempotents E of an ω -complete effect monoid M the map

$$\varrho: a \mapsto (pa)_{p \in E}: M \longrightarrow \bigoplus_{p \in E} pM$$

is an embedding is showing that ϱ reflects the order:

$$a \leq b \iff \forall p \in E [pa \leq pb].$$

For this, it suffices to show that $a = \bigvee_{p \in E} pa$.

We can get this using $\bigvee E = 1$ (because E is maximal) if multiplication preserves arbitrary suprema:

$$a = 1 \cdot a = (\bigvee E)a = \bigvee_{p \in E} pa.$$

Preservation of suprema

How does one prove an operation preserves suprema?

Example: Given an element a of an ordered vector space V ,

$a + (\cdot): V \rightarrow V$ is not only order preserving,

but also has an order preserving inverse $(\cdot) - a: V \rightarrow V$,
so $a + (\cdot)$ is an **order isomorphism**, and therefore preserves
suprema (and infima.)

Division

Similarly, multiplication in an ω -EM M preserves suprema, essentially because of the existence of a (partially defined) **division**:

Proposition: Given $a \leq b$ in M ,

$$a/b := \bigvee_{n=0}^{\infty} a(b^{\perp})^n$$

satisfies $(a/b)b = a$, and provides an order preserving inverse to the map $a \mapsto ab: M[b] \rightarrow Mb$.

P.S. note that $a/a = [a]$. (So $0/0 = 0$ in this context.)

Representation theorem, for ω -EMs

All in all, given an ω -EM M we get an embedding

$$M \longrightarrow \bigoplus_{p \in E} pM \cong C(X, [0, 1]) \oplus C(Y, \{0, 1\}),$$

(by aggregating the Boolean and halvable factors) where X and Y are basically disconnected compact Hausdorff spaces.

In particular, M is commutative.

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Representation theory, for dcEMs

A directed complete effect monoid (dcEM) M properly splits in '**discrete**' and '**continuous**' parts:

$$M \cong eM \oplus e^\perp M \cong C(X, [0, 1]) \oplus C(Y, \{0, 1\}),$$

where X and Y are extremally disconnected compact Hausdorff spaces.

(Indeed, in M there will by directed completeness be a greatest halvable idempotent e , and e^\perp will necessarily be Boolean.)

Spectrum of effect monoids

To turn this into a duality, define the **spectrum** of a dcEM M by:

$$\text{Spec}(M) := \{ \varphi: M \rightarrow [0, 1] \text{ preserving } \oplus, 1, \cdot \}.$$

The **discrete part** of the spectrum is defined to be:

$$D_M := \{ \varphi \in \text{Spec}(M) : \varphi(M) \subseteq \{0, 1\} \}.$$

Then D_M is a clopen of the extremally disconnected compact Hausdorff space $\text{Spec}(M)$.

Conversely, given a clopen C of an extremally disconnected compact Hausdorff space X we get a directed complete effect monoid

$$C(X, D) := \{ f: X \rightarrow [0, 1] \text{ continuous with } f(D) \subseteq \{0, 1\} \}.$$

Duality

The operations give a **duality** between:

- ▶ the category of directed complete effect monoids with effect monoid homomorphisms (that preserve \otimes , 1 , \cdot , but not necessarily arbitrary suprema); and
- ▶ the category with clopen subsets of extremally disconnected compact Hausdorff spaces, with as morphisms from $D_1 \subseteq X_1$ to $D_2 \subseteq X_2$ the continuous maps $f: X_1 \rightarrow X_2$ with $f(D_1) \subseteq D_2$.

That's it!

Questions?

Some applications:

1. Study of convexity in sequential effect algebras
(JvdW, BW, AW, arXiv:2004.12749v2)
2. ' ω -complete' effectuses
(Kenta Cho, JvdW, BW, arXiv:2003.10245)
3. Reconstructing quantum theory without positing real probabilities (Part A of JvdW's thesis, arXiv:2101.03608)