## unhyp

## Robert C. Haraway, III\*

## November 15, 2016

This is a literate Python module to determine whether or not a compact orientable 3-manifold<sup>1</sup> with nonempty boundary<sup>2</sup> admits a complete hyperbolic metric on its interior.

The following corollary of Thurston's hyperbolization theorem reduces this determination to a question about the existence of certain surfaces.

**Corollary 1.** A compact orientable bounded<sup>3</sup> 3-manifold with  $\chi = 0$  is hyp iff it has no faults.

The words "hyp" and "fault" mean the following.

**Definition 2.** A compact 3-manifold is *hyp* just when its interior admits a complete, finite hyperbolic metric.

**Definition 3.** Let s be a properly embedded codimension-1 submanifold of a connected p.l. manifold M. By abuse of notation, also let s denote the image of s in M. Pick a metric on M compatible with its p.l. structure, and let M' be the (abstract, i.e. not in M) path-metric completion of  $M \setminus s$ .

When M' is disconnected, we say s separates M.

When M' has two connected components N, N', we say s cuts off (an) N from M. When M is understood from context, we may say s cuts off an N, without reference to M. When N, N' are not homeomorphic, we say s cuts off one N.

<sup>\*</sup>Research partially supported by NSF grant DMS-1006553.

<sup>&</sup>lt;sup>1</sup>We work in the PL category throughout.

 $<sup>^2</sup>$ We require nonempty boundary because Regina implements no tests yet for small Seifert fiberings.

<sup>&</sup>lt;sup>3</sup>That is, with nonempty boundary.

**Definition 4.** A properly embedded surface s in an orientable 3-manifold M is a fault iff  $\chi(s) \geq 0$  and it satisfies one of the following:

- $\bullet$  s is nonorientable.
- s is a sphere which does not cut off a 3-ball.
- $\bullet$  s is a disc which does not off one 3-ball.
- s is a torus which does not cut off a  $T^2 \times I$ , and does not cut off a  $\partial$ -compressible manifold.
- s is an annulus which does not cut off a 3-ball, and does not cut off one  $D^2 \times S^1$ .

3

A proof of Corollary 1 is sketched in [1]. Also found in [1] is the following algorithm, which we implement in Regina:

```
1 := fundamental normal surfaces in T
for surf in 1:
  if surf is fault:
     return False
T' := finite truncation of T
if T' has a compressing disc:
  return False
l' := vertex Q-normal surfaces in T'
for annulus in l':
  if M has at least two boundary tori:
     if annulus is non-separating:
       return False
  else:
     if annulus is fault:
       return False
else:
  return True
Here is an implementation in Regina.
\langle algorithm \ for \ testing \ hypness \ 3 \rangle \equiv
                                                                                (15c)
  def unhypByNormalSurfaces(mfld):
    dno = mfld.getNumberOfBoundaryComponents()
    assert dno > 0
    if not possiblyHyp(mfld):
      return True
     \langle let \ T \ ideally \ triangulate \ mfld \ 4b \rangle
     \langle let\ l\ be\ fundamental\ surfaces\ of\ T\ 4c \rangle
     \langle for \ surf \ in \ l \ 4d \rangle
       if isFault(surf):
         return True
     (let TT finitely triangulate mfld 4e)
     if TT.hasCompressingDisc():
       return True
     \langle let~ll~be~vertex~Q-normal surfaces of TT~4f \rangle
     \langle for \ surf \ in \ ll \ 4g \rangle
       if TT.getNumberOfBoundaryComponents() == 2:
         if isNonSeparatingAnnulus(surf):
           return True
       else:
         if isAnnulusFault(surf):
           return True
     else:
       return False
```

```
November 15, 2016
```

```
whatishyp.nw 4
```

```
4a
        ⟨possibly hyp 4a⟩≡
                                                                                                (15c)
          def possiblyHyp(mfld):
             m = mfld
             return m.isValid() \
                 and m.isOrientable() \
                 and m.getEulerCharManifold() == 0 \
                 and m.isConnected()
4b
        \langle let\ T\ ideally\ triangulate\ mfld\ 4b \rangle \equiv
                                                                                                  (3)
          T = regina.NTriangulation(mfld)
          T.finiteToIdeal()
          T.intelligentSimplify()
        \langle let\ l\ be\ fundamental\ surfaces\ of\ T\ 4c \rangle \equiv
                                                                                               (3 5c)
4c
          nsl = regina.NNormalSurfaceList.enumerate
          std = regina.NS_STANDARD
          fnd = regina.NS_FUNDAMENTAL
          1 = nsl(T,std,fnd)
4d
        \langle for \ surf \ in \ l \ 4d \rangle \equiv
                                                                                               (3.5c)
          n = 1.getNumberOfSurfaces()
          for i in range(0,n):
             surf = 1.getSurface(i)
        \langle let\ TT\ finitely\ triangulate\ mfld\ 4e \rangle \equiv
4e
                                                                                                  (3)
          TT = regina.NTriangulation(mfld)
          TT.idealToFinite()
          TT.intelligentSimplify()
        \langle let\ ll\ be\ vertex\ Q\text{-}normal\ surfaces\ of\ TT\ 4f \rangle \equiv
4f
                                                                                                  (3)
          vtx = regina.NS_VERTEX
          qd = regina.NS_QUAD
          11 = nsl(TT,qd,vtx)
4g
        \langle for \ surf \ in \ ll \ 4g \rangle \equiv
                                                                                                  (3)
          nn = ll.getNumberOfSurfaces()
          for ii in range(0,nn):
             surf = ll.getSurface(ii)
            We need to implement the predicates "is non-separating annulus," "is fault,"
        and "is T^2 \times I."
```

```
First, the test for whether or not a surface is a non-separating annulus.
```

Next, the test for whether a surface is an annulus fault.

```
5b \langle is \; annulus \; fault \; 5b \rangle \equiv (15c)

def isAnnulusFault(surf):

return isAnnulus(surf) and \
isFault(surf)
```

Later it will prove useful to find a non-separating annulus if one exists. So we do that here.

```
5c \langle find\ non-separating\ annulus\ 5c \rangle \equiv (15c)

def findNonSeparatingAnnulus(mfld):

T = mfld
\langle let\ l\ be\ fundamental\ surfaces\ of\ T\ 4c \rangle
a = None
\langle for\ surf\ in\ l\ 4d \rangle
if isNonSeparatingAnnulus(surf):
a = surf
break
return a
```

Now let us implement a fault test. This of course uses tests for 3-ball,  $\partial$ -compression,  $D^2 \times S^1$ , and  $T^2 \times I$ , so abbreviate these.

```
5d ⟨tests 5d⟩≡ (15c)

b = lambda m: m.isBall()

cd = lambda m: m.hasCompressingDisc()

d2s1 = lambda m: m.isSolidTorus()

t2i = isT2xI
```

```
There aren't many quick sanity checks to do, so we inline them (so to speak):
```

At this point we know **s** has nonnegative Euler characteristic. If it's not orientable, then it's a fault.

```
6b \langle is \ fault? \ 6a \rangle + \equiv (15c) \triangleleft 6a \ 6c \triangleright if not s.isOrientable(): return True
```

At this point, we know s is orientable with nonnegative Euler characteristic. So now we cut along it and see what we get.

```
6c ⟨is fault? 6a⟩+≡ (15c) ⊲6b 6d▷

M1 = s.cutAlong()

M1.intelligentSimplify()
```

If **s** doesn't cut off anything—i.e. if **s** doesn't separate—then it is a fault.

```
6d ⟨is fault? 6a⟩+≡ (15c) ⊲6c 6e⊳

if M1.isConnected():

return True
```

Otherwise, it separates, and we should look at the two pieces.

```
6e  \langle is fault? 6a\rangle +=
    assert M1.splitIntoComponents() == 2
    M1.intelligentSimplify()
    M2 = M1.getFirstTreeChild()
    M3 = M2.getNextTreeSibling()
```

We run the tests now depending on whether **s** is closed or bounded, and depending on what its Euler characteristic is.

When s is a disc,<sup>4</sup> s is a fault when s does not cut off one 3-ball. So s is a fault when either both  $m_2, m_3$  are balls or neither  $m_2$  nor  $m_3$  is a ball. That is, when their ballnesses are equal, i.e.  $ball(m_2) = ball(m_3)$ .

```
6f ⟨is fault? 6a⟩+≡ (15c) ⊲6e 7a▷

if s.hasRealBoundary():

if x == 1:

# s is a disc

return b(M2) == b(M3)
```

<sup>&</sup>lt;sup>4</sup>The test for hypness below doesn't ever run this code for discs, since we use hasCompressingDisc to find disc faults. But we include this for completeness.

When s is a separating annulus, s is a fault when neither s cuts off a 3-ball, nor s cuts off one solid torus.

```
⟨is fault? 6a⟩+≡
7a
                                                                            (15c) ⊲6f 7b⊳
              else:
                # s had better be an annulus
                assert x == 0
                return not (b(M2) or b(M3)) \
                    and d2s1(M2) == d2s1(M3)
           The rest should be clear.
       \langle is \ fault? \ 6a \rangle + \equiv
7b
                                                                                (15c) ⊲ 7a
            else:
              # s is closed
              if x == 2:
                # s is a sphere
                return not (b(M2) or b(M3))
              else:
                # s had better be a torus
                assert x == 0
                return not (t2i(M2) or t2i(M3) \
                            cd(M2) or cd(M3)
```

Now for the next part,  $T^2 \times I$  detection using Dehn filling.

**Definition 5.** Suppose M is finitely triangulated. Let T, T' be boundary triangles adjacent along an edge e. Orient e so that T lies to its left and T' to its right.

Let  $\Delta$  be a fresh tetrahedron, and let  $\tau$ ,  $\tau'$  be boundary triangles of  $\Delta$  adjacent along an edge  $\eta$ . Orient  $\eta$  so that  $\tau$  lies to its left and  $\tau'$  to its right. Without changing M's topology we may glue  $\Delta$  to T by gluing  $\eta$  to e,  $\tau$  to T' and  $\tau'$  to T. This is called a *two-two* move. The edge  $\eta'$  opposite  $\eta$  in  $\Delta$  is now a boundary edge of the new finite triangulation.

We say e is embedded iff its vertices are distinct. We say e is co-embedded or foldable iff  $\eta'$  is embedded.

**Remark 6.** We call a co-embedded edge "foldable" for the following reason. Given a boundary edge e between two boundary triangles T and T', one may glue T to T' and e to itself via a valid, orientation-reversing map, folding them together along e. This gluing will change the topology of M when the vertices opposite e in T and T' are the same vertex. Conversely, when these vertices are distinct, the folding preserves the topology. But the vertices are distinct iff e is co-embedded. Hence the name "foldable."

Notice that folding along a foldable edge decreases the number of boundary triangles, and performing a two-two move on an embedded edge produces a foldable edge and preserves the number of boundary triangles. Therefore, the following while-loops terminate:

```
while there's an embedded boundary edge e:
   do a two-two move on e
   while there's a foldable boundary edge f:
     fold along f
```

The obvious postcondition of the while loop is that there's no embedded boundary edge. Since the boundary is still triangulated, this is equivalent to each boundary component having only one vertex on it. Since each boundary component is a torus, V - E + F = 0. Now, V = 1, and since the cellulation is a triangulation, 3 \* F = 2 \* E.

$$1 - E + F = 0$$

$$2 - 2 * E + 2 * F = 0$$

$$2 - 3 * F + 2 * F = 0$$

$$2 - F = 0$$

$$2 = F,$$

and there are only two triangles. We may fill any cusp we like by folding along one of the remaining three (non-foldable) edges.

Remark 7. The routine in SnapPea is more complicated because, rather than filling in a cusp any old way, SnapPea wants to make sure the filling compresses some given slope in the cusp.

To implement this algorithm, let us take stock of the tools Regina provides. The algorithm is centered around edges, and instances of Regina's class NEdge represent edges. NEdge has the following methods:

- isBoundary
- getVertex

8

- getTriangulation
- getEmbeddings

Except for the first, they all do more or less what you would expect. More specifically, if e instantiates NEdge and represents an edge e in a triangulation T, then e.isBoundary() is True iff e is a boundary edge; e.getVertex(0) instantiates NVertex and represents the source of e, whereas e.getVertex(1) represents its sink; and e.getTriangulation() is instantiates NTriangulation and represents T.

In particular, here's a method to determine whether or not an edge is embedded.

```
\left(embedded edge? 8\right)\equiv (15c)

def embedded(edge):
    src = edge.getVertex(0)
    snk = edge.getVertex(1)
    return src != snk
```

getEmbeddings is more complicated, but also more important. e.getEmbeddings() is a list (in order) of instances of the class NEdgeEmbedding. Let phi be an element of e.getEmbeddings(). phi represents an embedding  $\phi$  of e into an incident tetrahedron  $\Delta$ .

Some instance phi.getTetrahedron() of NTetrahedron represents  $\Delta$ . Each instance D of NTetrahedron comes with a method D.getVertex, which represents an identification  $j_{\Delta}: \mathbf{4} \to \Delta^0$  of  $\mathbf{4} = \{0,1,2,3\}$  with the set  $\Delta^0$  of vertices of  $\Delta$ .

phi.getVertices(), perhaps confusingly, is an instance of NPerm4. General instances of NPerm4 represent elements of  $S_4$ . phi.getVertices() actually represents an element  $f \in A_4$ , the alternating group on 4, with the following property. Let s, s' be the source and sink of e. Then  $\phi(s) = j_{\Delta}(f(0))$  and  $\phi(s') = j_{\Delta}(f(1))$ .

We note that there are two elements of  $S_4$  satisfying these equations, but only one in  $A_4$ . We choose the one in  $A_4$ .

e.getEmbeddings() is ordered so that we can give a consistent orientation to the edges opposite e, in the following way:

Let 1 = e.getEmbeddings() have length n; for all i with  $0 \le i < n$ , let 1[i] represent the embedding  $\phi_i$ ; let 1[i].getTetrahedron() represent  $\Delta_i$ ; let  $j_i = j_{\Delta_i}$ ; and let 1[i].getVertices() represent  $f_i$ . Then for all i with  $1 \le i < n - 1$ , the vertices  $j_{i-1}(f_{i-1}(3))$  and  $j_i(f_i(2))$  are glued in the triangulation.

Furthermore, if e is a boundary edge, then each of 1[0] and 1[-1] (i.e. the last element of 1) represents an embedding of e into the boundary. In particular, if  $j_0(f_0(2))$  becomes the vertex v in the triangulation and  $j_{-1}(f_{-1}(3))$  becomes w, then v and e determine a boundary face, and so do w and e.

We should finally explain another method NTetrahedron provides, namely joinTo. Suppose  $\Delta$ , H are tetrahedra. How shall we join them up? Glue them along faces. How shall we name faces? Call faces by their opposite vertices. How shall we determine a gluing map? Well, let p be a gluing map from the face  $v_*$  opposite v in  $\Delta$  to the face  $w_*$  opposite w in H. Then p restricted to the vertices of the faces has a unique extension to a bijection  $P: \Delta^0 \to H^0$ . Then we get a uniquely determined element  $\sigma_p = j_H^{-1} \circ P \circ j_\Delta$  of  $S_4$ .

Conversely, for any such element  $s \in S_4$ , there is a unique affine map  $\pi_s: v_* \to w_*$  such that  $\sigma_{\pi_s} = s$ .

So we may determine a gluing by

- which tetrahedra we're gluing,
- which faces are getting glued, and
- what is the associated element of  $S_4$ .

In Regina it's more spartan than that. First of all, every instance of NTetrahedron has the child method joinTo. There's no need to include that instance as an argument to the procedure; joinTo implicitly regards its parent tetrahedron as  $\Delta$  above. Also, given the permutation and the face on  $\Delta$  to glue, the face on H is determined, so that face need not be included as an argument to joinTo.

In conclusion,

```
D.joinTo(i,E,s)
```

is the Regina syntax for gluing tetrahedron D to a tetrahedron E by gluing the face in D opposite D.getVertex(i) to the face in E opposite E.getVertex(s(i)) by the map determined by s.

Therefore, we care primarily about tetrahedra and permutation representatives, and not so much about the edge embeddings  $\phi_i$  themselves. In fact, since ultimately we're only concerned with boundary edges, all we care about are  $f_0, f_{-1}, \Delta_0$ , and  $\Delta_{-1}$ . So let's write methods to return their representatives.

We've already written a method for determining whether or not an edge is embedded. Let's write a method to determine whether or not it's coembedded.

The definition we gave already was quick, but implementing it is altogether unnecessary, for with the terminology we have now, there is a better characterization of foldability. First of all, an edge had better be a boundary edge if it is going to be foldable.

Now, an edge e is coembedded iff it becomes embedded after a two-two move. This is equivalent to saying that the vertices opposite e in the boundary faces are distinct. But these vertices are  $j_0(f_0(2))$  and  $j_{-1}(f_{-1}(3))$ . So we can just test equality of these.

```
11a \langle foldability \ 10b \rangle + \equiv (15c) \triangleleft 10c

1vx = D0.getVertex(F0[2])

rvx = D_1.getVertex(F_1[3])

return lvx != rvx
```

Having finished the foldability test, let us now implement the next part of the algorithm, viz. a two-two move on a boundary edge. This attaches a fresh tetrahedron t to the triangulation of the edge.

Use the same notation as above.

```
11c \langle two\text{-}two\text{ move } 11b \rangle + \equiv (15c) \triangleleft11b 11d\triangleright (F0,F_1) = lrmaps(edge) (D0,D_1) = lrtets(edge)
```

Now the faces adjacent to e are opposite the vertices  $j_0(f_0(3))$  and  $j_{-1}(f_{-1}(2))$ . We wish to glue to these faces the two faces of t that include both  $j_t(0)$  and  $j_t(1)$ . These are the faces opposite  $j_t(2)$  and  $j_t(3)$ .

To determine what the gluing maps should be, we may just follow the lead of getEdgeEmbedding and insist that  $j_0(f_0(3))$  get glued to  $j_t(2)$  and  $j_{-1}(f_{-1}(3))$  to  $j_t(3)$ . (If such insistence isn't convincing, draw a picture.)

The first gluing map also sends  $j_t(0)$  to  $f_0(0)$  and  $j_t(1)$  to  $f_0(1)$ . So the associated permutation  $s_0$  is plainly  $f_0$  precomposed with the cycle  $x = (2 \ 3)$ . The same is true for the other gluing map's permutation  $s_{-1}$ , except with  $f_{-1}$  instead of  $f_0$ .

The last nontrivial operation we must implement is to fold along a boundary edge. We must first insist that the edge be a boundary edge.

The face  $\ell$  of  $\Delta_0$  to be glued is the face opposite  $j_0(f_0(3))$ , and the face  $\ell'$  of  $\Delta_{-1}$  to be glued is the face opposite  $j_{-1}(f_{-1}(2))$ . So to glue  $\ell$  to  $\ell'$ , we need a permutation fixing 0 and 1, and taking  $f_0(3)$  to  $f_{-1}(2)$ . This permutation is  $f_{-1} \circ (2 \ 3) \circ f_0^{-1}$ .

```
12a \langle fold\ along\ a\ boundary\ edge\ 11e \rangle + \equiv (15c) \triangleleft11f X = regina.NPerm(2,3) glu = F_1 * X * F0.inverse() D0.joinTo(F0[3], D_1, glu)
```

This concludes the difficult portion of the implementation. The rest is simple.

The first and second while loops don't have implementations as such in Python. We can simulate them by implementing an operation that returns either the first boundary edge satisfying a predicate, or the Python primitive None if there is no such edge.

This uses the Python idiom of an else clause after a for loop. Now we are ready to implement the while loops.

f = fBE(M,embedded)

To implement the  $T^2 \times I$  test, now we just need to implement a routine as described in [1]. We need to first make sure the manifold is irreducible and  $\partial$ -incompressible. There isn't at present an explicit method for irreducibility of bounded manifolds in Regina, so we roll our own very slow method. We define isFault below, which is allowed in Python.

```
\langle is \ T^2 \times I ? \ 13a \rangle \equiv
                                                                              (15c) 13b⊳
13a
          def irreducible(regina_mfld):
            M = regina.NTriangulation(regina_mfld)
            M.finiteToIdeal()
            M.intelligentSimplify()
            nsl = regina.NNormalSurfaceList.enumerate
            1 = nsl(M, regina.NS_STANDARD, \
                        regina.NS_FUNDAMENTAL)
            n = 1.getNumberOfSurfaces()
            for i in range(0,n):
              s = 1.getSurface(i)
              x = s.getEulerCharacteristic()
              if x != 2:
                 continue
              if isFault(s):
                 return False
              return True
          def isT2xI(regina_mfld):
            M = regina.NTriangulation(regina_mfld)
            M.finiteToIdeal()
            M.intelligentSimplify()
```

There are some sanity checks we can run here before the irreducibility and  $\partial$ -incompressibility tests to save time—e.g. whether the manifold is connected, whether it has two torus boundary components, and so on. Put these sanity checks under the umbrella function possiblyT2xI, and implement this later.

```
13b \langle is\ T^2 \times I\ ?\ 13a \rangle + \equiv (15c) \lhd 13a 14a\rhd if not possiblyT2xI(M): return False
```

Now we implement our test. We point out that since we end up simplifying the cusps and doing three fillings, we make a clone of N of M, simplify N's cusps, then clone N three times before filling along the three slopes. We also note that  $\mathtt{simplifyCusps}$  simplifies all boundary components' triangulations as specified in [1].

```
\langle is \ T^2 \times I ? \ 13a \rangle + \equiv
                                                                                 (15c) ⊲13b
14a
             D = regina.NTriangulation(M)
             simplifyCusps(D)
             T = D.getBoundaryComponent(1)
             n = T.getNumberOfEdges()
             assert n == 3
             for i in range(0,n):
               clone = regina.NTriangulation(D)
               cpt = clone.getBoundaryComponent(1)
               e = cpt.getEdge(i)
               foldAlong(e)
               if not clone.isSolidTorus():
                 return False
             else:
               return True
```

Now we should get around to implementing the remaining sanity checks.

```
\langle possibly \ T^2 \times I \ 14b \rangle \equiv
14b
                                                                                     (15c)
          def possiblyT2xI(mfld):
            m = mfld
            dno = m.getNumberOfBoundaryComponents()
            if not (possiblyHyp(m) and dno == 2):
               return False
             cpts = m.getBoundaryComponents()
            for d in cpts:
               x = d.getEulerCharacteristic()
               if x != 0:
                 return False
            H1 = m.getHomologyH1()
            if not H1.toString() == '2 Z':
               return False
            H2 = m.getHomologyH2()
            if not H2.isZ():
               return False
            H1R = m.getHomologyH1Rel()
            if not H1R.isZ():
               return False
            return True
```

Finally, the code at present has the following flaw: that it verifies hyperbolicity by enumerating all fundamental normal surfaces of a certain flavor, and checking that they are not faults. This takes a long time, and there is now a better routine which may verify hyperbolicity. This method is part of Regina; it detects whether a triangulation admits a strict angle structure, existence of which is a sufficient condition for hyperbolicity.

```
⟨is hyp? 15b⟩≡
15b
                                                                                                                      (15c)
              def isHyp(regina_manifold):
                 m = regina.NTriangulation(regina_manifold)
                 m.intelligentSimplify()
                 if m.hasStrictAngleStructure():
                    return True
                  else:
                    return not unhypByNormalSurfaces(m)
            \langle unhyp.py 15c \rangle \equiv
15c
              import regina
               \langle possibly \ hyp \ 4a \rangle
               (is non-separating annulus 5a)
               \langle is \ annulus \ fault \ 5b \rangle
               (find non-separating annulus 5c)
               ⟨embedded edge? 8⟩
               (left and right maps and tets 10a)
               ⟨foldability 10b⟩
               \langle two\text{-}two\ move\ 11b \rangle
               ⟨fold along a boundary edge 11e⟩
               \langle first\ boundary\ edge\ 12b \rangle
               \langle simplify \ cusps \ 12c \rangle
               \langle possibly T^2 \times I \text{ 14b} \rangle
               (has torus boundary? 15a)
               \langle is T^2 \times I ? 13a \rangle
               \langle tests 5d \rangle
               \langle is fault? 6a \rangle
               \langle algorithm for testing hypness 3 \rangle
               \langle is \ hyp? \ 15b \rangle
           This code is written to file unhyp.py.
```

## References

[1] Robert C. Haraway III. Determining hyperbolicity of compact orientable 3-manifolds with torus boundary. arXiv e-prints, arXiv:1410.7115, 2014.