

# Persistent Homology and TDA

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# Chapter 1

## Chain Complexes And Simplicial Homology

### 1.1 Introduction

The key method of algebraic topology is to assign various *algebraic structures* – groups, rings, modules – to topological spaces. This should be done in a *functorial way*. Roughly, functoriality means that maps of topological spaces (and compositions thereof) give rise to homomorphisms of the respective algebraic structures (and compositions thereof), and that the structures assigned to homeomorphic spaces are isomorphic. See (2.1) or [Hat02][Ch.2.3] for a more detailed discussion. In this way, we can think of these algebraic structures as *invariants* of the spaces under consideration. Questions about topological spaces are converted into questions about algebraic structures, which are typically “more rigid”. This rigidity can be used to demonstrate, for example, that maps between certain spaces do not exist, or that certain spaces are not homeomorphic, etc.

*Computing* these algebraic invariants is a different matter altogether. There are notorious examples of invariants that are unknown or hard to compute even for simple enough spaces, such as spheres.

### 1.2 $\Delta$ -complexes

We begin now with a setup that allows for fairly easy calculations. We shall assign a collection of abelian groups to a topological space  $X$  *equipped with some additional structure*. This additional structure – called  $\Delta$ -*complex structure* – is a way of “parametrizing”  $X$  by points, segments, triangles, tetrahedra (and their higher-dimensional analogues) and will be introduced in Definition 1.2.2. While the structure of a  $\Delta$ -complex makes computations easy, it will be completely unclear whether the groups that we obtain are sensitive to this additional structure, or are in fact invariants of the space  $X$  itself. In other words, the functoriality of this construction will be completely unclear. This will be rectified in Chapter 2.

We start with the basic building blocks: simplices.

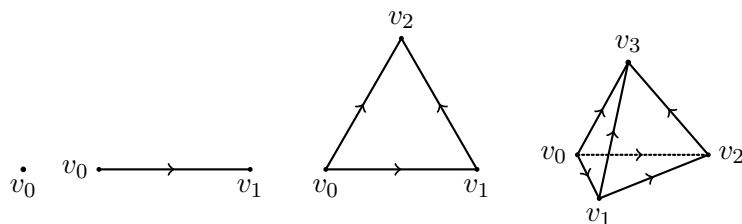
**Definition 1.2.1** (Standard Simplex). *The standard  $n$ -simplex in  $\mathbb{R}^{n+1}$  is the convex hull  $\Delta^n$  of the standard basis vectors  $\{e_0, \dots, e_n\}$ , i.e.,*

$$\Delta^n = \{(t_0, t_1, \dots, t_n) \in \mathbb{R}^{n+1} \mid \sum_i t_i = 1 \text{ and } t_i \geq 0 \forall i\} \subseteq \mathbb{R}^{n+1}$$

*More generally, an  $n$ -simplex in  $\mathbb{R}^{n+1}$  is the convex hull  $[v_0, \dots, v_n]$  of any  $(n+1)$ -tuple of vectors  $v_0, \dots, v_n \in \mathbb{R}^{n+1}$  that do not lie in an  $n$ -dimensional hyperplane.*

Notice that with this definition,  $\Delta^n = [e_0, \dots, e_n]$ .

Thus an  $n$ -simplex (plural simplices) is an  $n$ -dimensional analog of a triangle. A  $0$ -simplex is a point, a  $1$ -simplex is a line segment, a  $2$ -simplex is a triangle,  $3$ -simplex is a tetrahedron, as shown below.



The vectors  $v_i$ , determining  $[v_0, \dots, v_n]$  are the *vertices* of the simplex. In our calculations we are going to work with a chosen *ordering* of the vertices of the simplex. I.e., we are going to use “simplex” when we mean “a simplex together with an ordering of the vertices”. This has a number of consequences. First, it determines orientations of the edges  $[v_i, v_j]$  according to increasing subscripts. Second, specifying the ordering of the vertices determines a canonical linear homeomorphism from  $\Delta^n$  onto any  $n$ -simplex  $[v_0, \dots, v_n]$  preserving the order of vertices, namely,  $\sum_i t_i \mathbf{e}_i \mapsto \sum_i t_i \mathbf{v}_i$ . Once we fix an ordering of the vertices, we also obtain an orientation of the  $n$ -simplex, i.e., the sign of  $\det(v_0, \dots, v_n)$ . Two orderings determine the same orientation when they differ by an even permutation.

By a *face* of a  $n$ -simplex we shall mean an  $(n - 1)$ -simplex spanned by some  $n$ -tuple of vertices of the simplex. That is, the  $i$ -th face of  $[v_0, \dots, v_n]$  is  $[v_0, \dots, \widehat{v}_i, \dots, v_n]$ , where the hat indicates omission. Some sources refer to this face as an  $(n - 1)$ -face, and talk about  $k$ -faces, for  $0 \leq k \leq n - 1$ .

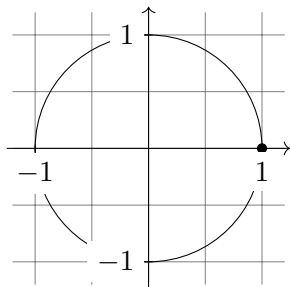
The *boundary*  $\partial\Delta^n$  is defined as the union of all the faces of  $\Delta^n$ , and  $\Delta^\circ = \Delta^n - \partial\Delta^n$  denotes interior of  $\Delta^n$ . Notice that with this definition  $\partial\Delta^0 = \emptyset$  and  $\Delta^0$  coincides with its interior!

We now equip  $X$  with additional structure: “parametrization” by simplices of various dimensions that satisfies a number of conditions.

**Definition 1.2.2** ( $\Delta$ -complex). A  $\Delta$ -complex structure on a topological space  $X$  is a collection of maps  $\sigma_\alpha : \Delta^n \rightarrow X$ , with  $n$  depending on the index  $\alpha$ , such that:

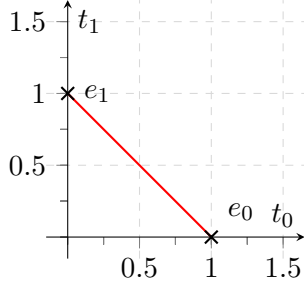
1. The restriction  $\sigma_\alpha|_{\Delta^\circ}$  is injective, and each point of  $X$  is in the image of exactly one such restriction  $\sigma_\alpha|_{\Delta^\circ}$ .
2. Each restriction of  $\sigma_\alpha$  to a face of  $\Delta^n$  is one of the maps  $\sigma_\beta : \Delta^{n-1} \rightarrow X$ . Here we are identifying the face of  $\Delta^n$  with  $\Delta^{n-1}$  by the canonical linear homeomorphism between them that preserves the ordering of the vertices.
3. A set  $A \subset X$  is open iff  $\sigma_\alpha^{-1}(A)$  is open in  $\Delta^n$  for each  $\sigma_\alpha$ .

**Example 1.2.1.** Consider  $X = S^1 = \{(x, y) \in \mathbb{R}^2 \mid x^2 + y^2 = 1\}$  and the following maps  $\sigma_\alpha : \Delta^n \rightarrow X$ .



First,  $\sigma_0 : \Delta^0 \rightarrow S^1$ , with  $\sigma_0(1) = (1, 0)$ . Next,  $\sigma_1 : \Delta^1 \rightarrow S^1$ , defined by  $\sigma_1(t_0, t_1) = (\cos(2\pi t_0), \sin(2\pi t_0))$

Recall (see the figure) that  $\Delta^1$  is the set of pairs  $(t_0, t_1)$  with  $t_0 + t_1 = 1$ ,  $t_0, t_1 \geq 0$ , or equivalently,  $\Delta^1 = \{(t_0, 1 - t_0), t_0 \in [0, 1]\} = [e_0, e_1]$



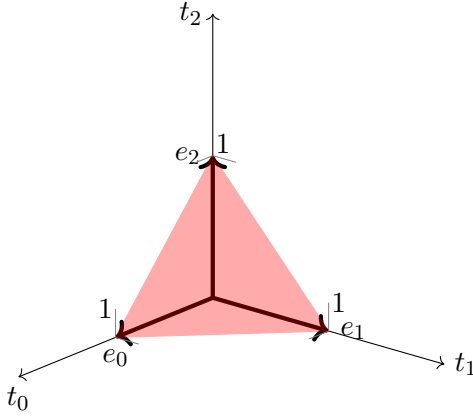
$$\sigma|_{[e_0]} = \sigma_1(0) = (\cos(0), \sin(0)) = (1, 0)$$

$$\sigma|_{[e_1]} = \sigma_1(1) = (\cos(2\pi), \sin(2\pi)) = (1, 0)$$

**Example 1.2.2.** Consider  $\sigma_\alpha : \Delta^n \rightarrow X$  where  $X = S^2 = \{(x, y, z) \in \mathbb{R}^3 \mid x^2 + y^2 + z^2 = 1\}$

For  $n = 2$ ,  $\alpha = 2$ :  $\sigma_2 : \Delta^2 \rightarrow S^2$

$$\Delta^2 = \{(t_0, t_1, t_2) \mid t_0 + t_1 + t_2 = 1, t_i \geq 0 \text{ for } i = 1, 2, 3\} = [e_0, e_1, e_2]$$



The faces are  $[e_1, e_2]$  or  $(0, t_1, t_2)$ , where  $t_1 + t_2 = 1$ ,  
 $[e_0, e_2]$  or  $(t_0, 0, t_2)$ , where  $t_0 + t_2 = 1$ ,  
 $[e_0, e_1]$  or  $(t_0, t_1, 0)$ , where  $t_0 + t_1 = 1$ .

$$\sigma_2((t_0, t_1, t_2)) = \frac{(t_0, t_1, t_2)}{\sqrt{(t_0^2 + t_1^2 + t_2^2)}}$$

$$\sigma|_{[e_1, e_2]}(t_1, t_2) = \frac{(t_1, t_2)}{\sqrt{(t_1^2 + t_2^2)}}, \quad \sigma|_{[e_0, e_2]}(t_0, t_2) = \frac{(t_0, t_2)}{\sqrt{(t_0^2 + t_2^2)}}, \quad \sigma|_{[e_0, e_1]}(t_0, t_1) = \frac{(t_0, t_1)}{\sqrt{(t_0^2 + t_1^2)}},$$

Usually simplicial homology is defined by simplicial complexes, which are the  $\Delta$ -complexes whose simplices are uniquely determined by their vertices. In a simplicial complex any  $n$ -simplex has  $n+1$  distinct vertices, and no other  $n$ -simplex has the same set of vertices.

Another definition of simplicial complexes that will be important in introducing Persistent Homology is a combinatorial description.

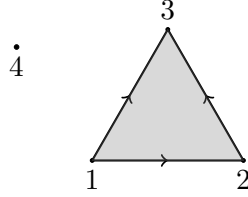
Combinatorically we can define a simplicial complex as:

**Definition 1.2.3** (Simplicial Complex). Given a partially ordered set:  $V = \{1, 2, \dots, m\} (= [m])$  a simplicial complex is a collection  $\mathcal{K}$  of subsets of  $V$ , such that:

1.  $\emptyset \in \mathcal{K}$
2.  $\{i\} \in \mathcal{K}$  (singleton)

3. If  $\mathcal{J} \subseteq I \in \mathcal{K} \Rightarrow \mathcal{J} \in \mathcal{K}$

**Example 1.2.3.** Consider the following partially ordered set  $V = \{1, 2, 3, 4\}$ : The simplicial complex  $\mathcal{K} = \{I = \{1, 2, 3\}, \{1, 2\}, \{1, 3\}, \{2, 3\}, \{1\}, \{2\}, \{3\}, \{4\}, \emptyset\}$



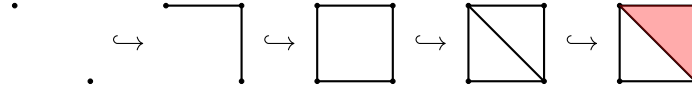
The topological realization of  $\mathcal{K}$  is:

$$|\mathcal{K}| = \bigcup_{I \in \mathcal{K}, I \neq \emptyset} (\text{Conv}(e_i)) \text{ where } e_i \text{ is in the standard basis } e_1, \dots, e_n \in \mathbb{R}^n$$

A subcomplex of  $\mathcal{K}$  is a subset  $L \subseteq \mathcal{K}$  that is also a simplicial complex. A *filtration* of complex  $\mathcal{K}$  is a nested subsequence of complexes:

$$\emptyset = \mathcal{K}^0 \subseteq \mathcal{K}^1 \subseteq \dots \mathcal{K}^m = \mathcal{K}$$

For generality, we let  $\mathcal{K}^i = \mathcal{K}^m$  for all  $i \geq m$ .  $\mathcal{K}$  is called a filtered complex, and below there is a short example of a filtered complex:



### 1.3 Chain Complexes

**Definition 1.3.1** (Chain complex). *Complex of abelian groups. Homology of a complex.*  
A chain complex is a sequence of homomorphisms of abelian groups:

$$\dots \longrightarrow C_{n+1} \xrightarrow{\partial_{n+1}} C_n \xrightarrow{\partial_n} C_{n-1} \xrightarrow{\partial_{n-1}} \dots \longrightarrow C_1 \xrightarrow{\partial_1} C_0 \xrightarrow{\partial_0=0} 0$$

where  $\partial_n \partial_{n+1} = 0$  for each  $n$  in  $\mathbb{Z}$ . The equation  $\partial_n \partial_{n+1} = 0$  is equivalent to the inclusion  $\text{Im } \partial_{n+1} \subset \ker \partial_n$ .

The map  $\partial_n$  for a  $\Delta$ -complex  $\mathcal{X}$  is a boundary homomorphism  $\partial_n : \Delta_n(\mathcal{X}) \rightarrow \Delta_{n-1}(\mathcal{X})$  where the action on a basis element of  $\Delta_n(\mathcal{X})$  is:

$$\partial_n(\sigma_\alpha) = \sum_i (-1)^i \sigma_\alpha | [v_0, \dots, \hat{v}_i, \dots, v_n]$$

where the  $\hat{\phantom{v}}$  symbol denotes the absence of that vertex.

**Lemma 1.3.1.** The composition  $\partial^2 = 0$  below is zero

$$\Delta_n(X) \xrightarrow{\partial_n} \Delta_{n-1}(X) \xrightarrow{\partial_{n-1}} \Delta_{n-2}(X)$$

*Proof:* For  $n = 3$  :

$$\Delta_3(X) \xrightarrow{\partial_3} \Delta_2(X) \xrightarrow{\partial_2} \Delta_1(X)$$

Let us proof that  $\partial_2 \partial_3 = 0$ :

$$\partial_3 \sigma = \sum_i (-1)^i \sigma | [v_0, \dots, \hat{v}_i, v_3] = \sigma | [v_1, v_2, v_3] - \sigma | [v_0, v_2, v_3] + \sigma | [v_0, v_1, v_3] - \sigma | [v_0, v_1, v_2]$$

$$\begin{aligned}
\partial_2 \partial_3(\sigma) &= \sigma[v_2, v_3] - \sigma[v_1, v_3] + \sigma[v_1, v_2] \\
&= -\sigma[v_2, v_3] + \sigma[v_0, v_3] - \sigma[v_0, v_2] \\
&= \sigma[v_1, v_3] - \sigma[v_0, v_3] + \sigma[v_0, v_1] \\
&= -\sigma[v_1, v_2] + \sigma[v_0, v_2] - \sigma[v_0, v_1] = 0
\end{aligned} \tag{1.1}$$

In case of  $n$ :

$$\begin{aligned}
\partial_{n-1} \partial_n(\sigma) &= \partial_{n-1} \left( \sum_i (-1)^i \sigma[v_0, \dots, \hat{v}_i, \dots, v_n] \right) \\
&= \sum_j (-1)^j \left( \sum_i (-1)^i \sigma[v_0, \dots, \hat{v}_i, \dots, v_n] \right) [v_0, \dots, \hat{v}_j, \dots, v_n] \\
&= \sum_{j < i} (-1)^i (-1)^j \sigma[v_0, \dots, \hat{v}_j, \dots, \hat{v}_i, \dots, v_n] + \sum_{j > i} (-1)^i (-1)^j \sigma[v_0, \dots, \hat{v}_i, \dots, \hat{v}_j, \dots, v_n] = 0
\end{aligned} \tag{1.2}$$

*Remark:* Chain complexes can be also defined over  $R$ -modules, where  $R$  is a commutative ring:

**Definition 1.3.2.** (Chain complex of  $R$ -module) A Chain complex of  $R$ -modules is a sequence:

$$(C_\bullet, d_\bullet) = ( \dots \longrightarrow C_{n+1} \xrightarrow{d_{n+1}} C_n \xrightarrow{d_n} C_{n-1} \xrightarrow{d_{n-1}} \dots )$$

where for each  $n \in \mathbb{Z}$ ,  $C_n$  is an  $R$ -module and  $d_n \in \text{Hom}_R(C_n, C_{n-1})$  satisfies  $d_n \circ d_{n+1} = 0$

In chain complexes of  $R$ -modules,  $n$  is the degree of the  $R$ -module  $C_n$ . The  $R$ -linear maps  $d_n (n \in \mathbb{Z})$  are called differential maps.

Also, a complex  $C_\bullet$  is called non-negative (resp. positive) if  $C_n = 0$ , for all  $n \in \mathbb{Z}_{<0}$  (resp.  $n \in \mathbb{Z}_{\leq 0}$ )

Chain complexes together with morphisms of chain complexes (and composition given by degree-wise composition of  $R$ -morphisms) form a category, which we will denote by  $Ch(R\text{Mod})$

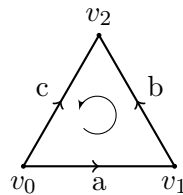
## 1.4 Homology Calculations: Examples

In the first example of Homology calculations, it is important to notice that the homology groups are calculated in two methods, with different  $\Delta$ -structure on  $S^1$ . Even though, the circle is parametrized by different  $\Delta$ -complex structures, the calculations below show that the Homology groups are the same.

### 1.4.1 $S^1$

#### Method I: Triangulation

To compute the homology group of the circle  $S^1$  we can triangulate the circle in the following way:



We can construct the following chain complex which is a sequence of homomorphisms of abelian groups:

$$0 \xrightarrow{\partial_2=0} C_1 \xrightarrow{\partial_1} C_0 \xrightarrow{\partial_0=0} 0$$

where  $\partial_n \partial_{n+1} = 0$  for each  $n$  in  $\mathbb{Z}$  and

$$\begin{cases} C_0 = \langle v_0, v_1, v_2 \rangle \\ C_1 = \langle a, b, c \rangle \\ C_n = \{0\} \quad \forall n \geq 2 \end{cases},$$

$$0 \xrightarrow{\partial_2=0} \mathbb{Z}^{\oplus 3} \xrightarrow{\partial_1} \mathbb{Z}^{\oplus 3} \xrightarrow{\partial_0=0} 0$$

The  $n$ -th homology group is defined as  $H_n = \frac{\ker \partial_n}{\text{Im } \partial_{n+1}}$ .

First, let's compute  $H_0$ :

$\ker \partial_0 = C_0 = \langle v_0, v_1, v_2 \rangle$  since  $\partial_0 = 0$

To calculate  $\text{Im } \partial_1$ , let's compute  $\partial_1(\alpha a + \beta b + \gamma c) = \alpha(v_1 - v_0) + \beta(v_2 - v_1) - \gamma(v_2 - v_0)$   
 $= (-\alpha + \gamma)v_0 + (\alpha - \beta)v_1 + (\beta - \gamma)v_2 = (\gamma - \alpha)v_0 + (\alpha - \beta)v_1 + (-(\gamma - \alpha) - (\alpha - \beta))v_2$

$$\text{Im } \partial_1 = \left\{ \begin{pmatrix} \gamma - \alpha \\ \alpha - \beta \\ -(\gamma - \alpha) - (\alpha - \beta) \end{pmatrix}, \quad \alpha, \beta, \gamma \in \mathbb{Z} \right\} \subseteq \mathbb{Z}^{\oplus 3}$$

*Claim* : There exist an isomorphism  $\psi : \text{Im } \partial_1 \simeq \mathbb{Z}^2$

$$\psi : \begin{pmatrix} \gamma - \alpha \\ \alpha - \beta \\ \beta - \gamma \end{pmatrix} \mapsto \begin{pmatrix} \gamma - \alpha \\ \alpha - \beta \end{pmatrix}$$

$\psi$  is one-to-one since if  $(\gamma - \alpha = 0 \ \& \ \alpha - \beta = 0) \Rightarrow \beta - \gamma = 0 \ \& \ \alpha = \beta = \gamma$

$\psi$  is onto since given  $\begin{pmatrix} m \\ n \end{pmatrix} \in \mathbb{Z}^2$  there exist an element  $\begin{pmatrix} m \\ n \\ -m - n \end{pmatrix} \in \text{Im } \partial_1$  such that

$$\psi \left( \begin{pmatrix} m \\ n \\ -m - n \end{pmatrix} \right) = \begin{pmatrix} m \\ n \end{pmatrix}, \text{ since } \psi \text{ is one-to-one and onto, } \text{Im } \partial_1 \simeq \mathbb{Z}^2$$

$$H_0 = \frac{\ker \partial_0}{\text{Im } \partial_1} = \mathbb{Z}^3 / \left( \begin{pmatrix} 1 \\ 0 \\ -1 \end{pmatrix} \mathbb{Z} \oplus \begin{pmatrix} 0 \\ 1 \\ -1 \end{pmatrix} \mathbb{Z} \right)$$

$$\text{Claim: } \phi : \left( \mathbb{Z}^3 / \left( \begin{pmatrix} 1 \\ 0 \\ -1 \end{pmatrix} \mathbb{Z} \oplus \begin{pmatrix} 0 \\ 1 \\ -1 \end{pmatrix} \mathbb{Z} \right) \right) \simeq \mathbb{Z}$$

$$\text{First, let us take the map } \varphi : \mathbb{Z}^3 \rightarrow \mathbb{Z}^3 / \left\langle \begin{pmatrix} 1 \\ 0 \\ -1 \end{pmatrix}, \begin{pmatrix} 0 \\ 1 \\ -1 \end{pmatrix} \right\rangle$$

$$\mathbb{Z}^3 \ni \begin{pmatrix} p \\ q \\ r \end{pmatrix} = p \begin{pmatrix} 1 \\ 0 \\ -1 \end{pmatrix} + q \begin{pmatrix} 0 \\ 1 \\ -1 \end{pmatrix} + (p + q + r) \begin{pmatrix} 0 \\ 0 \\ 1 \end{pmatrix}$$

$$\text{where } p \begin{pmatrix} 1 \\ 0 \\ -1 \end{pmatrix} + q \begin{pmatrix} 0 \\ 1 \\ -1 \end{pmatrix} \in \begin{pmatrix} 1 \\ 0 \\ -1 \end{pmatrix} \mathbb{Z} + \begin{pmatrix} 0 \\ 1 \\ -1 \end{pmatrix} \mathbb{Z}$$

$$\text{So, } \varphi : \begin{pmatrix} p \\ q \\ r \end{pmatrix} \mapsto \overline{\begin{pmatrix} p \\ q \\ r \end{pmatrix}} = (p + q + r) \overline{\begin{pmatrix} 0 \\ 0 \\ 1 \end{pmatrix}}$$



Finally,  $\phi : \overline{\begin{pmatrix} p \\ q \\ r \end{pmatrix}} \mapsto (p + q + r) \in \mathbb{Z}$ , Clearly,  $\phi$  is injective and surjective.

So,  $H_0 \simeq \mathbb{Z}$

Second, let's compute  $H_1$ :

$$\ker \partial_1 = \left\{ \begin{pmatrix} m \\ m \\ m \end{pmatrix}, m \in \mathbb{Z} \right\} = \begin{pmatrix} 1 \\ 1 \\ 1 \end{pmatrix} \mathbb{Z} \simeq \mathbb{Z}$$

$\text{Im } \partial_2 = \{0\}$  since  $C_2 = \{0\}$

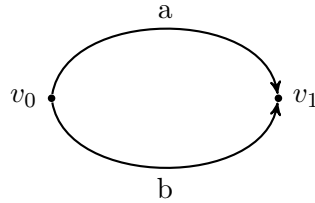
$$H_1 = \frac{\ker \partial_1}{\text{Im } \partial_2} = \frac{\ker \partial_1}{\{0\}} = \ker \partial_1 \simeq \mathbb{Z}$$

Finally, the homology groups of the circle are:

$$H_n^\Delta(S^1) \simeq \begin{cases} \mathbb{Z}, & \text{for } n = 0, 1 \\ 0 & \text{for } n \geq 2 \end{cases}$$

## Method II

To compute the homology group of the circle  $S^1$  we can construct the circle, by two vertices and two edges, in the following way:



We can construct the following chain complex which is a sequence of homomorphisms of abelian groups:

$$0 \xrightarrow{\partial_2=0} C_1 \xrightarrow{\partial_1} C_0 \xrightarrow{\partial_0=0} 0$$

where  $\partial_n \partial_{n+1} = 0$  for each  $n$  in  $\mathbb{Z}$  and

$$\begin{cases} C_0 = \langle v_0, v_1 \rangle \\ C_1 = \langle a, b \rangle \\ C_n = \{0\} \quad \forall n \geq 2 \end{cases},$$

$$0 \xrightarrow{\partial_2=0} \mathbb{Z}^{\oplus 2} \xrightarrow{\partial_1} \mathbb{Z}^{\oplus 2} \xrightarrow{\partial_0=0} 0$$

The  $n$ -th homology group is defined as  $H_n = \frac{\ker \partial_n}{\text{Im } \partial_{n+1}}$ .

First, let's compute  $H_0$ :

$\ker \partial_0 = C_0 = \langle v_0, v_1 \rangle$  since  $\partial_0 = 0$

To calculate  $\text{Im } \partial_1$ , let's compute  $\partial_1(\alpha a + \beta b) = \alpha(v_1 - v_0) + \beta(v_1 - v_0) = (\alpha + \beta)(v_1 - v_0)$

$\text{Im } \partial_1 = \langle v_1 - v_0 \rangle$

$$H_0 = \frac{\ker \partial_0}{\text{Im } \partial_1} = \frac{\langle v_0, v_1 \rangle}{\langle v_1 - v_0 \rangle} = \frac{\langle v_1 - v_0, v_1 \rangle}{\langle v_1 - v_0 \rangle} = \langle v_1 \rangle \simeq \mathbb{Z}$$

Second, let's compute  $H_1$ :

$\ker \partial_1 = \langle a - b \rangle$  since  $\partial_1(\alpha a + \beta b) = (\alpha + \beta)(v_1 - v_0) = 0 \implies \alpha = -\beta$  so the kernel is generated by the element  $(a - b)$

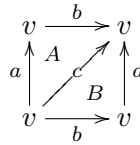
$$\begin{aligned} \text{Im } \partial_2 &= \{0\} \text{ since } C_2 = \{0\} \\ H_1 &= \frac{\ker \partial_1}{\text{Im } \partial_2} = \frac{\ker \partial_1}{\{0\}} = \ker \partial_1 \simeq \mathbb{Z} \end{aligned}$$

Finally, the homology groups of the circle with a different  $\Delta$  - complex on it are the same:

$$H_n^\Delta(S^1) \simeq \begin{cases} \mathbb{Z}, & \text{for } n = 0, 1 \\ 0 & \text{for } n \geq 2 \end{cases}$$

### 1.4.2 Torus

One way to calculate the homology groups of a torus  $T$  is by triangulating it into two 2-simplices A and B, upper triangle and lower one respectively.



We can construct the following chain complex which is a sequence of homomorphisms of abelian groups:

$$0 \xrightarrow{\partial_3=0} C_2 \xrightarrow{\partial_2} C_1 \xrightarrow{\partial_1} C_0 \xrightarrow{\partial_0=0} 0$$

where  $\partial_n \partial_{n+1} = 0$  for each  $n$  in  $\mathbb{Z}$  and

$$\begin{cases} C_0 = \langle v \rangle \\ C_1 = \langle a, b, c \rangle \\ C_2 = \langle A, B \rangle \\ C_n = \{0\} \quad \forall n \geq 3 \end{cases},$$

$$0 \xrightarrow{\partial_3=0} \mathbb{Z}^{\oplus 2} \xrightarrow{\partial_2} \mathbb{Z}^{\oplus 3} \xrightarrow{\partial_1} \mathbb{Z} \xrightarrow{\partial_0=0} 0$$

The  $n$ -th homology group is defined as  $H_n = \frac{\ker \partial_n}{\text{Im } \partial_{n+1}}$ .

First, let's compute  $H_0$ :

$$\ker \partial_0 = C_0 = \langle v \rangle \text{ since } \partial_0 = 0$$

$$\text{Im } \partial_1 = \{0\} \text{ since } \partial_1(\alpha a + \beta b + \gamma c) = \alpha(v - v) + \beta(v - v) + \gamma(v - v) = 0$$

$$H_0 = \frac{\ker \partial_0}{\text{Im } \partial_1} = C_0 \simeq \mathbb{Z}$$

Second, let's compute  $H_1$ :

$$\ker \partial_1 = C_1 = \langle a, b, c \rangle \text{ since } \partial_1 = 0$$

$$\text{Im } \partial_2 = \langle a + b - c \rangle \text{ since } \partial_2(\alpha A + \beta B) = \alpha(a + b - c) + \beta(a + b - c) = (\alpha + \beta)(a + b - c)$$

$$H_1 = \frac{\ker \partial_1}{\text{Im } \partial_2} = \frac{\langle a, b, c \rangle}{\langle a + b - c \rangle}$$

The group  $\langle a, b, c \rangle$  can be also generated by the elements  $m = a + b - c$ ,  $b$  and  $c$  where  $a = m - b + c$ .

So,

$$H_1 = \frac{\langle a + b - c, b, c \rangle}{\langle a + b - c \rangle} = \langle b, c \rangle \simeq \mathbb{Z} \oplus \mathbb{Z}$$

Last, let's compute  $H_2$ :

$\ker \partial_2 = \langle A - B \rangle$  since  $\partial_2(\alpha A + \beta B) = (\alpha + \beta)(a + b - c) = 0 \implies \alpha = -\beta$  so the kernel is generated by the element  $A - B$

$$\text{Im } \partial_3 = \{0\} \text{ since } C_3 = \{0\}$$

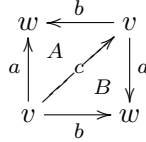
$$H_2 = \frac{\ker \partial_2}{\text{Im } \partial_3} = \frac{\langle A - B \rangle}{\{0\}} = \langle A - B \rangle \simeq \mathbb{Z}$$

Finally, the homology groups of the torus are:

$$H_n^\Delta(T) \simeq \begin{cases} \mathbb{Z}, & \text{for } n = 0, 2 \\ \mathbb{Z} \oplus \mathbb{Z}, & \text{for } n = 1 \\ 0 & \text{for } n \geq 3 \end{cases}$$

### 1.4.3 $\mathbb{RP}^2$

One way to calculate the homology groups of a projective plain  $\mathbb{RP}^2$  is by triangulating it into two 2-simplices A and B, upper triangle and lower one respectively.



We can construct the following chain complex which is a sequence of homomorphisms of abelian groups:

$$0 \xrightarrow{\partial_3=0} C_2 \xrightarrow{\partial_2} C_1 \xrightarrow{\partial_1} C_0 \xrightarrow{\partial_0=0} 0$$

where  $\partial_n \partial_{n+1} = 0$  for each  $n$  in  $\mathbb{Z}$  and

$$\begin{cases} C_0 = \langle v, w \rangle \\ C_1 = \langle a, b, c \rangle \\ C_2 = \langle A, B \rangle \\ C_n = \{0\} \quad \forall n \geq 3 \end{cases},$$

$$0 \xrightarrow{\partial_3=0} \mathbb{Z}^{\oplus 2} \xrightarrow{\partial_2} \mathbb{Z}^{\oplus 3} \xrightarrow{\partial_1} \mathbb{Z}^{\oplus 2} \xrightarrow{\partial_0=0} 0$$

The  $n$ -th homology group is defined as  $H_n = \ker \partial_n / \text{Im } \partial_n$

First, let's compute  $H_0$ :

$\ker \partial_0 = C_0 = \langle v, w \rangle$  since  $\partial_0 = 0$

$\text{Im } \partial_1 = \langle w - v \rangle$  since  $\partial_1(\alpha a + \beta b + \gamma c) = \alpha(w - v) + \beta(w - v) + \gamma(v - v)$   
 $= (\alpha + \beta)(w - v)$

$$H_0 = \frac{\ker \partial_0}{\text{Im } \partial_1} = \frac{\langle v, w \rangle}{\langle w - v \rangle} = \frac{\langle w - v, w \rangle}{\langle w - v \rangle} = \langle w \rangle \simeq \mathbb{Z}$$

Second, let's compute  $H_1$ :

$\ker \partial_1 = \langle a - b, c \rangle$  since  $\partial_1(\alpha a + \beta b + \gamma c) = (\alpha + \beta)(w - v) = 0 \implies \alpha = -\beta$

The general element in  $C_1$ :  $(\alpha a + \beta b + \gamma c) = \alpha(a - b) + \gamma c$ , so the  $\ker \partial_1$  can be generated by the elements  $a - b$  and  $c$

$\text{Im } \partial_2 = \langle -a + b + c, a - b + c \rangle$  since  $\partial_2(\alpha A + \beta B) = \alpha(-a + b + c) + \beta(a - b + c)$

$$H_1 = \frac{\ker \partial_1}{\text{Im } \partial_2} = \frac{\langle a - b, c \rangle}{\langle -a + b + c, a - b + c \rangle}$$

The group  $\langle a - b, c \rangle$  can be also generated by the elements  $m = a - b + c$ , and  $c$  where  $a - b = m - c$ .

So,

$$H_1 = \frac{\langle a - b, c \rangle}{\langle -a + b + c, a - b + c \rangle} = \frac{\langle a - b + c, c \rangle}{\langle a - b + c, -a + b + c \rangle}$$

If we let  $t = a - b + c$  then  $-a + b + c = -t + 2c$  then the group  $\langle t, -t + 2c \rangle$  can be also generated by the elements  $t$  and  $2c$ .

$$\text{In terms of } t \text{ and } c, H_1 = \frac{\langle t, c \rangle}{\langle t, 2c \rangle} = \frac{\langle c \rangle}{\langle 2c \rangle} \simeq \frac{\mathbb{Z}}{2\mathbb{Z}}$$

Last, let's compute  $H_2$ :

$\ker \partial_2 = \{0\}$  since  $\partial_2(\alpha A + \beta B) = (-\alpha + \beta)a + (\alpha - \beta)b + (\alpha + \beta)c = 0$  only when  $\alpha = \beta = 0$

$$\begin{aligned} \text{Im } \partial_3 &= \{0\} \text{ since } C_3 = \{0\} \\ H_2 &= \frac{\ker \partial_2}{\text{Im } \partial_3} = \frac{\{0\}}{\{0\}} = 0 \end{aligned}$$

Finally, the homology groups of the projective plane are:

$$H_n^\Delta(\mathbb{RP}^2) \simeq \begin{cases} \mathbb{Z}, & \text{for } n = 0 \\ \mathbb{Z}/2\mathbb{Z}, & \text{for } n = 1 \\ 0 & \text{for } n \geq 2 \end{cases}$$

## 1.5 Maps of Complexes

In the previous sections, we considered boundary homomorphisms between abelian groups as part of a chain complex. In this section, we will draw our attention to maps between chain complexes.

**Definition 1.5.1.** (*Maps of Chain Complexes*)

Let  $(C_\bullet, \partial)$  and  $(D_\bullet, \delta)$  be two chain complexes. A map of chain complexes is a morphism  $f$  that is a sequence of homomorphisms  $(f_n)_{n \in \mathbb{Z}}$ :

$$\begin{array}{ccccccc} (C_\bullet, \partial) & C_\bullet & \cdots & \longrightarrow & C_n & \xrightarrow{\partial_n} & C_{n-1} & \xrightarrow{\partial_{n-1}} & C_{n-2} & \xrightarrow{\partial_{n-2}} & \cdots & C_\bullet \\ & & & & \downarrow f_n & & \downarrow f_{n-1} & & \downarrow f_{n-2} & & & \\ (D_\bullet, \delta) & D_\bullet & \cdots & \longrightarrow & D_n & \xrightarrow{\delta_n} & D_{n-1} & \xrightarrow{\delta_{n-1}} & D_{n-2} & \xrightarrow{\delta_{n-2}} & \cdots & D_\bullet \end{array}$$

$$f_n : C_n \rightarrow D_n \quad \text{s.t.}, \quad f_{n-1} \circ \partial_n = \delta_n \circ f_n \quad \forall n \in \mathbb{Z}$$

$$\begin{array}{ccc} C_n & \xrightarrow{\partial_n} & C_{n-1} \\ \downarrow f_n & & \downarrow f_{n-1} \\ D_n & \xrightarrow{\delta_n} & D_{n-1} \end{array} \quad \text{commutes.}$$

### 1.5.1 Maps on Homology

A homomorphism of chain complexes induces a homomorphism on the homology. The induced map can be defined as:

$$\begin{aligned} H_n(f) : H_n(C_\bullet) &\rightarrow H_n(D_\bullet) \\ H_n(f) : [x] &\mapsto [f_n(x)] \end{aligned}$$

To prove the claim above it is enough to check that  $H_n(f)$  is well-defined. We can prove well-definess by checking if cycles are send to cycles and boundaries to boundaries.

(1) Let us take a cycle  $x \in C_n$ , so that  $x \in \ker(\partial_n)$ ,  $\partial_n(x) = 0$

$$\begin{aligned} \delta_n \circ f_n(x) &= f_{n-1} \circ \partial_n(x) = f_{n-1}(0) = 0 \Rightarrow f_n(x) \in \ker \delta_n, f_n(x) \text{ is a cycle} \\ &\Rightarrow f_n(\ker \partial_n) \subseteq \ker \delta_n \end{aligned}$$

So, cycles are send to cycles.

(2) Let us take a boundary  $y \in C_n$ , so that  $y \in \text{Im } \partial_{n+1} \Rightarrow \exists z \in C_{n+1}$  such that  $\partial_{n+1}(z) = y$

$$\begin{aligned} f_n(y) &= f_n(\partial_{n+1}(z)) = \delta_{n+1}(f_{n+1}(z)) \\ &\Rightarrow f_n(y) \in \text{Im } \partial_{n+1} f_n(y) \text{ is a boundary} \\ &\Rightarrow f_n(\text{Im } \partial_{n+1}) \subseteq \text{Im } (\delta_{n+1}) \end{aligned}$$

So, boundaries are sent to boundaries.

$$H_n(f) : H_n(C_\bullet) \rightarrow H_n(D_\bullet)$$

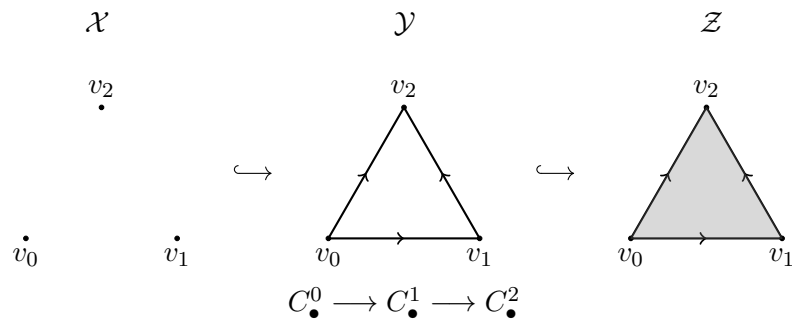
$$H_n(f) : \ker \partial_n / \text{Im}(\partial_{n+1}) \rightarrow \ker \delta_n / \text{Im}(\delta_{n+1})$$

$$[x] \mapsto [f_n(x)]$$

$$x + \text{Im } \partial_{n+1} \mapsto f_n(x) + f_n(\text{Im } \delta_{n+1}) = f_n(x) + \text{Im}(\delta_{n+1}) = [f_n(x)]$$

□

Let us consider an example between maps of complexes defined by the three spaces below.



Maps between complexes:

$$C_\bullet^0 \longrightarrow C_\bullet^1 \longrightarrow C_\bullet^2$$

$$\begin{array}{ccccc} & 0 & & 0 & & 0 \\ & \downarrow & & \downarrow & & \downarrow \\ 2 & 0 & \longrightarrow & 0 & \longrightarrow & \mathbb{Z} \\ & \downarrow \partial_2^0=0 & & \downarrow \partial_2^1=0 & & \downarrow \partial_2^2 = \begin{pmatrix} 1 \\ 1 \end{pmatrix} \\ 1 & 0 & \longrightarrow & \mathbb{Z}^3 & \longrightarrow & \mathbb{Z}^3 \\ & \downarrow \partial_1^0=0 & & \downarrow \partial_1^1=\partial_1^2 & & \downarrow \partial_1^2 = \begin{pmatrix} -1 \\ -1 \\ 0 \end{pmatrix} \begin{pmatrix} 0 & -1 \\ 1 & 1 \end{pmatrix} \\ 0 & \mathbb{Z}^3 & \longrightarrow & \mathbb{Z}^3 & \longrightarrow & \mathbb{Z}^3 \\ & \downarrow \partial_0^0=0 & & \downarrow \partial_0^1=0 & & \downarrow \partial_0^2=0 \\ & 0 & & 0 & & 0 \end{array}$$

Induced maps on homology:

$$H(C_{\bullet}^0) \longrightarrow H(C_{\bullet}^1) \longrightarrow H(C_{\bullet}^2)$$

$$\begin{array}{ccccccc}
 & 0 & & 0 & & 0 & \\
 & \downarrow & & \downarrow & & \downarrow & \\
 2 & 0 & \longrightarrow & 0 & \longrightarrow & 0 & \\
 & \downarrow & & \downarrow & & \downarrow & \\
 1 & 0 & \longrightarrow & \mathbb{Z} & \longrightarrow & 0 & \\
 & \downarrow & & \downarrow & & \downarrow & \\
 0 & \mathbb{Z}^3 & \longrightarrow & \mathbb{Z} & \longrightarrow & \mathbb{Z} & \\
 & \downarrow & & \downarrow & & \downarrow & \\
 & 0 & & 0 & & 0 & 
 \end{array}$$

## Chapter 2

# Singular Homology and Homotopy Invariance

In the previous chapter, we considered a parametrization of a space by simplexes, where the maps  $\sigma_\alpha : \Delta^n \rightarrow X$  had restrictions defined in 1.2.2. If we only require that the  $\sigma$  map is continuous, then by definition that would be a singular  $n$  – *simplex* in a space  $X$ . The lack of other restrictions on the map  $\sigma : \Delta^n \rightarrow X$ , convey that  $\sigma$  does not need to be a ‘nice’ embedding, in fact it can have singularities, where its image does not look like a simplex.

$C_n(X)$  is a free abelian group with generators the set of singular  $n$  – *simplexes* in  $X$ : the continuous maps  $\sigma : \Delta^n \rightarrow X$ . The elements of  $C_n(X)$  are singular  $n$  – *chains* defined as  $\sum_i (n_i \sigma_i)$  for  $n_i \in \mathbb{Z}$ . The boundary operator  $\partial_n : C_n(X) \rightarrow C_{n-1}(X)$  is defined the same way as in simplicial  $n$  – *chains*, by the formula:

$$\partial_n(\sigma) = \sum_i (-1)^i \sigma| [v_0, \dots, \hat{v}_i, \dots, v_n]$$

By preserving the order of the vertices, the  $\sigma| [v_0, \dots, \hat{v}_i, \dots, v_n]$  is identified with the map  $\Delta^{n-1} \rightarrow X$ . The proof of lemma 1.3.1,  $\partial_2 = 0$ , holds true also for singular simplexes. Therefore, the singular homology group is defined the same way:  $H_n(X) = \ker \partial_n / \text{Im } \partial_{n+1}$ . The elements in the  $\ker$  are singular cycles, and the elements in the  $\text{Im}$  singular boundaries.

Let us consider some explicit examples of  $C_n(X)$ :

- For a topological space  $X$ :  $C_0(X)$  consists of all maps  $\sigma : \Delta^0 \rightarrow X$ , which means that  $C_0(X)$  is a free group on the points of  $X$ .
- If  $X = \mathbb{R}$ :  $C_1(X)$  consists of all maps  $\sigma : \Delta^1 \rightarrow \mathbb{R}$ , which means that  $C_0(X)$  is a free group on continuous maps:

$$[0, 1] \simeq \Delta^1 \rightarrow \mathbb{R}$$

In this case  $C_1(X)$  can be considered as a vector space with vectors the maps:  $[0, 1] \rightarrow \mathbb{R}$ .

From the examples above, it is clear that the groups  $C_n(X)$  can be so large to the point where the number of singular  $n$  – *simplexes* in a space  $X$  is uncountable. It is not easy to see that even in singular homology where  $X$  is generated by a finite number of simplexes,  $H_n(X)$  should be finite generated for all  $n$ , and that  $H_n(X)$  should be 0 for  $n > \dim(X)$ .

At first glance, singular homology seems to be more general than simplicial homology, however if for an arbitrary space  $X$ , we define the singular complex  $S(X)$  as a  $\Delta$  – *complex* with one  $n$  – *simplex*  $\Delta_\sigma^n$  for each singular  $n$  – *simplex*  $\sigma : \Delta^n \rightarrow X$ , then  $H_n^\Delta(S(X))$  is the same as  $H_n(X)$ . In this case singular homology can be viewed as a special case of simplicial homology.

## 2.1 Homotopy invariance

A significant result that can be proven by singular homology is that if two spaces  $X, Y$  are homeomorphic, the singular homology groups are isomorphic  $H_n(X) \simeq H_n(Y)$ .

More generally, A continuous map  $f : X \rightarrow Y$  induces a chain map:  $f_\# : C_n(X) \rightarrow C_n(Y)$ .

$$f_\#(\sigma : \Delta^n \rightarrow X) = f \circ \sigma$$

$$\Delta^n \xrightarrow{\sigma} X \xrightarrow{f} Y$$

The boundary operator of  $f_\#$  is equal to  $\partial_n(f \circ \sigma) = f \circ \partial_n(\sigma)$ .

$$H_n(f_\#) = f_* : H_n(X) \rightarrow H_n(Y)$$

If we additionally require  $f$  to be a bijection and have a continuous inverse  $f^{-1}$ , so  $f$  is a homeomorphism, then  $f_\# : C_n(X) \simeq C_n(Y)$

$$\sigma \mapsto f \circ \sigma$$

$$\mu \circ f^{-1} \mapsto \mu$$

Then the induced singular homology map  $f_* : H_n(X) \simeq H_n(Y)$  defines an isomorphism.

Moreover,

$$f_* \text{ preserves composition, } (f \circ g)_* = f_* \circ g_* \quad (2.1)$$

$$f_* \text{ preserves the identity, } id : X \rightarrow Y \text{ goes to } id_* : H_n(X) \rightarrow H_n(Y) \quad (2.2)$$

*Category Theory Interpretation:* If we consider  $Top$  to be the category of topological spaces where maps are continuous:

$$Hom_{Top}(X, Y) = \{f : X \rightarrow Y, f \text{ is continuous}\},$$

and  $Ab$  the category of abelian groups where maps are group homomorphisms:

$$Hom_{Ab}(G, H) = \{\phi : G \rightarrow H, \phi \text{ is group homomorphism}\}$$

then for each  $n \geq 0$ :

$$H_n : Top \rightarrow Ab$$

$$X \rightsquigarrow H_n(X)$$

$$f : X \rightarrow Y \rightsquigarrow f_* : H_n(X) \rightarrow H_n(Y)$$

$H_n$  is a functor and (2.1) (2.2) hold.

If we also consider the category, Homotopic Topology  $HoTop$  of topological spaces where maps are continuous up to homotopy, then we obtain the following commutative diagram:

$$\begin{array}{ccc} Top & \xrightarrow{H_n} & Ab \\ \downarrow & \nearrow & \\ HoTop & & \end{array}$$

$$Hom_{HoTop}(X, Y) = Hom_{Top}(X, Y) / \simeq$$

*Remark:* The continuous maps  $f, g : X \rightarrow Y$  are homotopic if

$$\exists H : X \times [0, 1] \rightarrow Y,$$

$$\text{for } x \in X \text{ and } t \in [0, 1] : H(x, t) = H_t(x)$$

$$\text{s.t } H(x, 0) = f(x) \text{ and } H(x, 1) = g(x)$$

$$\text{i.e } H|_{x \times \{0\}} = f \text{ and } H|_{x \times \{1\}} = g$$

Let us consider some explicit homotopic maps:



- $f, g : \mathbb{R} \rightarrow \mathbb{R}$  where  $f = id, f(x) = x \forall x \in X$ , and  $g = 0, g(x) = 0 \forall x \in X$   
 $H : \mathbb{R} \times [0, 1] \rightarrow \mathbb{R}$   
 $H(x, t) = (1 - t)x$ , clearly  $H(x, 0) = x$  and  $H(x, 1) = 0$
- $f, g : S^1 \rightarrow \mathbb{R}^2$  where  $f$  is an inclusion,  $f(x, y) = (x, y) \forall (x, y) \in S^1$ , and  $g = 0, g(x, y) = 0 \forall (x, y) \in S^1$   
 $H : S^1 \times [0, 1] \rightarrow \mathbb{R}^2$   
 $H(x, y, t) = (1 - t)\langle x, y \rangle$ , clearly  $H(x, y, 0) = \langle x, y \rangle$  and  $H(x, y, 1) = 0$

If  $f, g : X \rightarrow Y$  are homotopic, then the induced maps on homology  $f_*, g_* : H_n(X) \rightarrow H_n(Y)$ , are the same  $f_* = g_* \forall n$

Define  $p_n : C_n^{sing}(X) \rightarrow C_n^{sing}(Y)$  s.t  $f_{\#} - g_{\#} = \partial p + p \partial$

$$\begin{array}{ccccc}
 C_{n+1}(X) & \xrightarrow{\partial_{n+1}} & C_n(X) & \xrightarrow{\partial_n} & C_{n-1}(X) \\
 \downarrow f_{n+1} & & \downarrow f_n & & \downarrow f_{n-1} \\
 C_{n+1}(Y) & \xrightarrow{\delta_{n+1}} & C_n(Y) & \xrightarrow{\delta_n} & C_{n-1}(Y)
 \end{array}$$

$\begin{array}{ccccc}
 & \nearrow p_n & & \nearrow p_{n-1} & \\
 & \searrow g_{n+1} & & \searrow g_n & \\
 & \nearrow p_{n-1} & & \nearrow p_{n-2} & \\
 & \searrow g_{n-1} & & \searrow g_{n-2} & 
 \end{array}$

For  $\sigma : \Delta^n \rightarrow X$  the map  $p_n(\sigma) : \Delta^{n+1} \rightarrow Y$  should be a continuous map.  
 $H : X \times [0, 1] \rightarrow Y, H|_{x \times \{0\}} = f$  and  $H|_{x \times \{1\}} = g$

$$\Delta^n \times [0, 1] \xrightarrow{\sigma \times 1} X \times [0, 1] \xrightarrow{H} Y$$

The idea is to write  $\Delta^n \times [0, 1]$  as union of  $\Delta^{n+1}$ . Let us consider some explicit examples of the  $p$  maps:

- $p_0 : C_0(X) \rightarrow C_1(Y)$   
 $p_0(\sigma) = H_0(\sigma \times 1)|_{[v_0 w_0]} : \Delta^1 \rightarrow Y$   
We can parametrize  $\Delta^1$ , as  $\Delta^1 = \{(t_0, t_1) | t_0 + t_1 = 1, t_0, t_1 \geq 0\}$   
 $\Delta^1 = \{1\} \subseteq \mathbb{R}, \sigma(1) = q$

$$\begin{aligned}
 \Delta^0 \times [0, 1] &\simeq \Delta^1 \\
 \{1\} \times \{t\} &\mapsto (1 - t, t) \\
 \sigma \times 1 : (1, t) &\mapsto (\sigma(1), t) \\
 H_0(\sigma \times 1) : (1, t) &\mapsto H(q, t), \text{ where } H(q, 0) = f(q), H(q, 1) = g(q)
 \end{aligned}$$

- $p_1 : C_1(X) \rightarrow C_2(Y)$   
 $p_1(\sigma) = \sum_{i=0}^1 H_0(\sigma \times 1)|_{[v_0 \dots w_i]} = H_0(\sigma \times 1)|_{[v_0 w_0 w_1]} - H_0(\sigma \times 1)|_{[v_0 v_1 w_1]}$

$$\begin{aligned}
 \Delta^1 \times [0, 1] &\simeq [0, 1] \times [0, 1] \\
 ((t_0, t_1), t) &\mapsto (t_0, t) \\
 \sigma \times 1 : (1, t) &\mapsto (\sigma(1), t) \\
 H_0(\sigma \times 1) : (1, t) &\mapsto H(q, t), \text{ where } H(q, 0) = f(q), H(q, 1) = g(q)
 \end{aligned}$$

$$\begin{array}{ccccccc}
C_2(X) & \xrightarrow{\partial_2} & C_1(X) & \xrightarrow{\partial_1} & C_0(X) & \xrightarrow{\partial_0} & 0 \\
& & \downarrow f & & \downarrow g & & \\
& \swarrow p_1 & & \swarrow p_0 & & & \\
C_2(Y) & \xrightarrow{\delta_2} & C_1(Y) & \xrightarrow{\delta_1} & C_0(Y) & \xrightarrow{\delta_0} & 0
\end{array}$$

From the diagram above:  $\delta_2 p_1 + p_0 \partial_1 : C_1(X) \rightarrow C_1(Y)$

$$\begin{aligned}
(p_0 \circ \partial_1)(\sigma) &= p_0(\sigma|_{[v_1]} - \sigma|_{[v_0]}) \\
&= H_0(\sigma \times 1)|_{[v_1 w_1]} - H_0(\sigma \times 1)|_{[v_0 w_0]} \\
&= H_0(\sigma|_{[v_1]} \times 1)|_{[v_1 w_1]} - H_0(\sigma|_{[v_0]} \times 1)|_{[v_0 w_0]} \\
&= H_0(\sigma \times 1)|_{[v_1] \times [0,1]} - H_0(\sigma \times 1)|_{[v_0] \times [0,1]}
\end{aligned}$$

$$\begin{aligned}
(\delta_2 \circ p_1)(\sigma) &= \delta_2(H_0(\sigma \times 1)|_{[v_0 w_0 w_1]} - H_0(\sigma \times 1)|_{[v_0 v_1 w_1]}) \\
&= H_0(\sigma \times 1)|_{[w_0 w_1]} - H_0(\sigma \times 1)|_{[v_0 w_1]} + H_0(\sigma \times 1)|_{[v_0 w_0]} \\
&\quad - H_0(\sigma \times 1)|_{[v_1 w_1]} + H_0(\sigma \times 1)|_{[v_0 w_1]} - H_0(\sigma \times 1)|_{[v_0 v_1]}
\end{aligned}$$

So ,  $(\delta_2 p_1 + p_0 \partial_1)(\sigma) = H_0(\sigma \times 1)|_{[w_0 w_1]} - H_0(\sigma \times 1)|_{[v_0 v_1]} = g \circ \sigma - f \circ \sigma = (g - f) \circ \sigma$

$$\Rightarrow \delta_2 p_1 + p_0 \partial_1 = g - f$$

**Theorem 2.1.1.** *If two chain maps  $f_\bullet, g_\bullet : (C_\bullet, \partial) \rightarrow (D_\bullet, \delta)$  are chain-homotopic then they induce the same homomorphism on homology:*

More explicitly:

$$\begin{array}{ccccccc}
\cdots & \xrightarrow{\partial_{n+2}} & C_{n+1} & \xrightarrow{\partial_{n+1}} & C_n & \xrightarrow{\partial_n} & C_{n-1} & \xrightarrow{\partial_{n-1}} & \cdots \\
& & \downarrow f_{n+1} & & \downarrow f_n & & \downarrow f_{n-1} & & \\
& \swarrow p_{n+1} & & \swarrow p_n & & \swarrow p_{n-1} & & \swarrow p_{n-2} & \\
\cdots & \xrightarrow{\delta_{n+2}} & D_{n+1} & \xrightarrow{\delta_{n+1}} & D_n & \xrightarrow{\delta_n} & D_{n-1} & \xrightarrow{\delta_{n-1}} & \cdots
\end{array}$$

$$H_n(f) : H_n(C_\bullet) \rightarrow H_n(D_\bullet)$$

$$H_n(f) : [x] \mapsto [f_n(x)]$$

If  $f_n - g_n = \delta_{n+1} p_n + p_{n-1} \partial_n \Rightarrow H_n(f) = H_n(g)$

*Proof:* Let us proof that the maps  $f_n, g_n$  induce the same homology.

For any  $x \in \ker \partial_n \Rightarrow \partial_n x = 0$ ,

$$(f_n - g_n)(x) = \delta_{n+1} p_n(x) + p_{n-1} \delta_n(x) = \delta_{n+1}(p_n(x)) \in \text{Im}(\partial_{n+1})$$

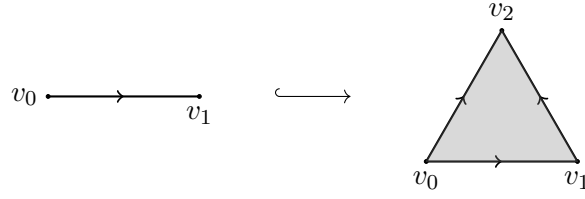
$$\Rightarrow (f_n - g_n)(x) \in \text{Im}(\partial_{n+1})$$

$$\left| \begin{array}{l} H_n(f)([x]) = [f_n(x)] \\ H_n(g)([x]) = [g_n(x)] \end{array} \right. \Rightarrow [f_n(x)] - [g_n(x)] = [f_n(x) - g_n(x)] = [\delta_{n+1} p_n(x)] = [0]$$

since  $\delta_{n+1}(p_n(x)) \in \text{Im}(\partial_{n+1})$ .

So,  $[f_n(x)] = [g_n(x)] \Rightarrow H_n(f) = H_n(g) \quad \square$

**Example 2.1.1.** Let  $X$  be a 1 – simplex and  $Y$  a 2 – simplex:



$$C_{\bullet}(X, \partial) : \quad 0 \xrightarrow{\partial_2} \mathbb{Z} \xrightarrow{\partial_1} \mathbb{Z}^{\oplus 2} \xrightarrow{\partial_0=0} 0$$

$$D_{\bullet}(Y, \delta) : \quad \mathbb{Z} \xrightarrow{\delta_2} \mathbb{Z}^{\oplus 3} \xrightarrow{\delta_1} \mathbb{Z}^{\oplus 3} \xrightarrow{\delta_0=0} 0$$

Let's introduce maps on the chain complexes:

$$f_n : C_n(X, \partial) \rightarrow C'_n(Y, \delta)$$

$$g_n : C_n(X, \partial) \rightarrow C'_n(Y, \delta)$$

$$\begin{array}{ccccccc} 0 & \xrightarrow{\partial_2} & \mathbb{Z} & \xrightarrow{\partial_1 = \begin{bmatrix} -1 \\ 1 \end{bmatrix}} & \mathbb{Z}^{\oplus 2} & \xrightarrow{\partial_0=0} & 0 \\ & \searrow p_1=id & \downarrow f_1 = \begin{bmatrix} 0 \\ 0 \\ 1 \end{bmatrix} & & \downarrow g_1 = \begin{bmatrix} 0 \\ 1 \\ 0 \end{bmatrix} & & \\ & & \mathbb{Z} & \xrightarrow{\delta_2 = \begin{bmatrix} 1 \\ -1 \\ 1 \end{bmatrix}} & \mathbb{Z}^{\oplus 3} & \xrightarrow{\delta_1 = \begin{bmatrix} 0 & -1 & -1 \\ -1 & 0 & 1 \\ 1 & 1 & 0 \end{bmatrix}} & \mathbb{Z}^{\oplus 3} \xrightarrow{\delta_0=0} 0 \\ & & & \swarrow f_0 = \begin{bmatrix} 1 & 0 \\ 0 & 0 \\ 0 & 1 \end{bmatrix} & & \downarrow g_0 = \begin{bmatrix} 1 & 0 \\ 0 & 1 \\ 0 & 0 \end{bmatrix} & \end{array}$$

We can define  $p_0 = \begin{bmatrix} 0 & 1 \\ 0 & 0 \\ 0 & 0 \end{bmatrix}$  and  $p_1 = id_{\mathbb{Z}}$

For  $n = 0$ :

$$\begin{aligned} f_0 - g_0 &= \begin{bmatrix} 1 & 0 \\ 0 & 0 \\ 0 & 1 \end{bmatrix} - \begin{bmatrix} 1 & 0 \\ 0 & 1 \\ 0 & 0 \end{bmatrix} = \begin{bmatrix} 0 & 0 \\ 0 & -1 \\ 0 & 1 \end{bmatrix} \\ \delta_1 p_0 + 0 \circ \partial_0 &= \begin{bmatrix} 0 & -1 & -1 \\ -1 & 0 & 1 \\ 1 & 1 & 0 \end{bmatrix} \begin{bmatrix} 0 & 1 \\ 0 & 0 \\ 0 & 0 \end{bmatrix} = \begin{bmatrix} 0 & 0 \\ 0 & -1 \\ 0 & 1 \end{bmatrix} \end{aligned}$$

For the choice of the maps  $p_0, f_0, g_0$ :  $f_0 \simeq g_0 \rightarrow$  homotopic equivalent  
For  $n = 1$ :

$$\begin{aligned} f_1 - g_1 &= \begin{bmatrix} 0 \\ 0 \\ 1 \end{bmatrix} - \begin{bmatrix} 0 \\ 1 \\ 0 \end{bmatrix} = \begin{bmatrix} 0 \\ -1 \\ 1 \end{bmatrix} \\ \delta_2 p_1 + p_0 \circ \partial_1 &= \begin{bmatrix} 1 \\ -1 \\ 1 \end{bmatrix} [1] + \begin{bmatrix} 0 & 1 \\ 0 & 0 \\ 0 & 0 \end{bmatrix} \begin{bmatrix} -1 \\ 1 \end{bmatrix} = \begin{bmatrix} 0 \\ -1 \\ 1 \end{bmatrix} \end{aligned}$$

For the choice of the maps  $p_1, p_0, f_1, g_1$ :  $f_1 \simeq g_1 \rightarrow$  homotopic equivalent

By theorem 2.1.1,  $H_0(f) = H_0(g)$  and  $H_1(f) = H_1(g)$ .

More precicely,  $H_0(f) = H_0(g) = id_{\mathbb{Z}}$  and  $H_1(f) = H_1(g) = 0$ , since  $H_0(X) = H_0(Y) = \mathbb{Z}$  and  $H_n(X) = H_n(Y) = 0 \forall n > 0$

**Lemma 2.1.1.** A chain complex  $(C_\bullet, \partial)$  is contractible if  $id_C$  is homotopic equivalent to  $0_C$

If  $id_C \simeq 0_C$ , then  $H_n(C_\bullet) = 0 \forall n$

Examples:

- $C_\bullet : \mathbb{Z} \xrightarrow{0} \mathbb{Z} \longrightarrow 0$   
 $H_0(C_\bullet) = \mathbb{Z} = H_1(C_\bullet)$  implies that  $C_\bullet$  is not contractible
- $D_\bullet : \mathbb{Z} \xrightarrow{2} \mathbb{Z} \longrightarrow 0$   
 $H_0(D_\bullet) = \mathbb{Z}/2\mathbb{Z}, H_1(D_\bullet) = 0$  implies that  $D_\bullet$  is not contractible
- $E_\bullet : \mathbb{Z} \xrightarrow{1} \mathbb{Z} \longrightarrow 0$   
 $H_0(E_\bullet) = 0 = H_1(E_\bullet) \Rightarrow$  need to check that  $id_E \simeq 0_E$

$$\begin{array}{ccccccc}
 0 & \longrightarrow & \mathbb{Z} & \xrightarrow{\partial_1=1} & \mathbb{Z} & \xrightarrow{\partial_0=0} & 0 \\
 & & \downarrow id-0 & & \downarrow id-0 & & \\
 & \nearrow p_1 & & \nwarrow p_0 & & & \\
 0 & \longrightarrow & \mathbb{Z} & \xrightarrow{\partial_1=1} & \mathbb{Z} & \xrightarrow{\partial_0=0} & 0
 \end{array}$$

We can assign  $p_0 = id, p_1 = 0$ .

For a cycle  $\sigma \in E_1 = \mathbb{Z}$ :

$(\partial_2 p_1 + p_0 \partial_1)(\sigma) = \partial_2 p_1(\sigma) + p_0 \partial_1(\sigma) = 0 + \sigma = \sigma = id - 0(\sigma) \Rightarrow id_E \simeq 0_E \Rightarrow (E_\bullet, \partial)$  is contractible

- $F_\bullet : \dots \xrightarrow{2} \mathbb{Z}/4 \xrightarrow{2} \mathbb{Z}/4 \xrightarrow{\partial=2} \mathbb{Z}/4 \xrightarrow{2} \mathbb{Z}/4 \xrightarrow{2} \dots$   
 $\ker \partial = \text{Im } \partial = (2) \Rightarrow H_n(F_\bullet) = 0 \forall n \Rightarrow$  need to check that  $id_F \simeq 0_F$

$$\begin{array}{ccccccc}
 \dots & \xrightarrow{2} & \mathbb{Z}/4 & \xrightarrow{2} & \mathbb{Z}/4 & \xrightarrow{2} & \dots \\
 & & \downarrow id-0 & & \downarrow id-0 & & \\
 & \nearrow p_1 & & \nwarrow p_0 & & & \\
 \dots & \xrightarrow{2} & \mathbb{Z}/4 & \xrightarrow{2} & \mathbb{Z}/4 & \xrightarrow{2} & \dots
 \end{array}$$

In  $\mathbb{Z}/4$  we have four classes  $\bar{0}, \bar{1}, \bar{2}, \bar{4}$ . The boundary operator  $\partial = \text{mult}(2)$  maps the four classes only in two maps  $\bar{0}, \bar{2}$ . So, the  $\partial$  cannot be surjective.

For a cycle  $\sigma \in \mathbb{Z}/4$ :

Since  $((2)p_1 + p_0(2))(\sigma) \in (2)$ ,  $((2)p_1 + p_0(2))(\sigma) \neq \sigma \Rightarrow (F_\bullet, \partial)$  is not contractible

**Theorem 2.1.2.** Given topological spaces  $X, Y$  with maps  $f : X \rightarrow Y$  and  $g : Y \rightarrow X$   
If

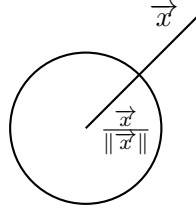
$$\begin{aligned}
 f \circ g &\simeq id_Y \\
 g \circ f &\simeq id_X
 \end{aligned}$$

where  $\simeq$  denotes homotopic equivalence, then

$$H_n(X) \xrightleftharpoons[g_*]{f_*} H_n(Y) \quad \forall n \in \mathbb{Z}$$

$H_n(X)$  is isomorphic to  $H_n(Y)$ ,  $\Rightarrow f_* = (g_*)^{-1}$  where  $f_*, g_*$  are the induced maps on homology.

**Example 2.1.2.** Let  $X$  be the  $n$ -dimensional sphere and  $Y$  the  $(n+1)$ -dimensional real coordinate space without the origin,  $X = S^n$  and  $Y = \mathbb{R}^{n+1}/\{0\}$



$f : S^n \hookrightarrow \mathbb{R}^{n+1}/\{0\}$  is the usual inclusion

$$g : \mathbb{R}^{n+1}/\{0\} \rightarrow S^n \text{ s.t. } g(\vec{x}) = \frac{\vec{x}}{\|\vec{x}\|}$$

Clearly,  $g \circ f \simeq id_S^n$  while  $f \circ g : \vec{x} \mapsto \frac{\vec{x}}{\|\vec{x}\|} \neq id_{\mathbb{R}^{n+1}/\{0\}}$

Let's prove that  $f \circ g$  is homotopic equivalent to  $id_{\mathbb{R}^{n+1}/\{0\}}$ : We can construct a function

$$\begin{aligned} F : [0, 1] \times \mathbb{R}^{n+1}/\{0\} &\longrightarrow \mathbb{R}^{n+1}/\{0\} \\ F(t, \vec{x}) &= (t(f \circ g) + (1-t)1_{\mathbb{R}^{n+1}/\{0\}}) \vec{x} \\ &= t\left(\frac{\vec{x}}{\|\vec{x}\|}\right) + (1-t)\vec{x} \end{aligned}$$

Clearly,  $F(0, \vec{x}) = \vec{x} = id_{\mathbb{R}^{n+1}/\{0\}}$  and  $F(1, \vec{x}) = \left(\frac{\vec{x}}{\|\vec{x}\|}\right) = f \circ g$ .

So,  $f \circ g \simeq id_{\mathbb{R}^{n+1}/\{0\}}$ , and by theorem 2.1.2  $\Rightarrow f_* = (g_*)^{-1}$ .

**Example 2.1.3.** Let  $X$  be a 1-simplex and  $Y$  a 0-simplex:

$$\begin{aligned} C_\bullet(X, \partial) : \quad & 0 \xrightarrow{\partial_2} \mathbb{Z} \xrightarrow{\partial_1} \mathbb{Z}^{\oplus 2} \xrightarrow{\partial_0=0} 0 \\ C'_\bullet(Y, \partial') : \quad & 0 \xrightarrow{0} 0 \xrightarrow{\partial'_1=0} \mathbb{Z} \xrightarrow{\partial'_0=0} 0 \end{aligned}$$

Let's introduce maps on the chain complexes:

$$\begin{aligned} f_n : C_n(X, \partial) &\rightarrow C'_n(Y, \partial') \\ g_n : C'_n(Y, \partial') &\rightarrow C_n(X, \partial) \end{aligned}$$

$$\begin{array}{ccccccc} 0 & \xrightarrow{\partial_2} & \mathbb{Z} & \xrightarrow{\partial_1} & \mathbb{Z}^{\oplus 2} & \xrightarrow{\partial_0=0} & 0 \\ & \searrow p_1 & \downarrow 0 & \swarrow p_0 & \uparrow [1 \atop 0] = g_0 & \downarrow f_0 = [1 \ 1] & \\ 0 & \xrightarrow{0} & 0 & \xrightarrow{\partial'_1=0} & \mathbb{Z} & \xrightarrow{\partial'_0=0} & 0 \end{array}$$

For  $n = 0$ :

$$\begin{aligned} f_0 \circ g_0 &= \begin{bmatrix} 1 & 1 \end{bmatrix} \begin{bmatrix} 1 \\ 0 \end{bmatrix} = id_{\mathbb{Z}} \\ g_0 \circ f_0 &= \begin{bmatrix} 1 \\ 0 \end{bmatrix} \begin{bmatrix} 1 & 1 \end{bmatrix} = \begin{bmatrix} 1 & 1 \\ 0 & 0 \end{bmatrix} \neq id_{\mathbb{Z}^{\oplus 2}} \end{aligned}$$

Let's prove that  $g_0 \circ f_0$  is homotopic equivalent to  $id_{\mathbb{Z}^{\oplus 2}}$ :

For an arbitrary element  $\begin{bmatrix} x \\ y \end{bmatrix} \in \mathbb{Z}^{\oplus 2}$ :

$$(g_0 \circ f_0 - id_{\mathbb{Z}^{\oplus 2}}) \begin{bmatrix} x \\ y \end{bmatrix} = \begin{bmatrix} 0 & 1 \\ 0 & -1 \end{bmatrix} \begin{bmatrix} x \\ y \end{bmatrix} = 0 \text{ and } (\partial'_1 p_0 + 0 \circ \partial_0) \begin{bmatrix} x \\ y \end{bmatrix} = 0 \implies g_0 \circ f_0 \simeq id_{\mathbb{Z}^{\oplus 2}}$$

To be continued and rechecked

## 2.2 Exact Sequences

**Definition 2.2.1.** A sequence of homomorphisms:

$$\dots \longrightarrow A_{n+1} \xrightarrow{\alpha_{n+1}} A_n \xrightarrow{\alpha_n} A_{n-1} \xrightarrow{\alpha_{n-1}} \dots$$

is exact if  $\ker \alpha_n = \text{Im } \alpha_{n+1} \forall n$ .

$\text{Im } \alpha_{n+1} \subseteq \ker \alpha_n$  is equivalent to  $\alpha_n \alpha_{n+1} = 0$  since  $(A_\bullet, \alpha)$  is a chain complex.  
&  $\ker \alpha_n \subset \text{Im } \alpha_{n+1} \Rightarrow H_n$  is trivial :  $H_n = 0 \forall n$

Examples of short exact sequences:

1.  $0 \rightarrow A \xrightarrow{\alpha} B$  is exact  $\iff \ker \alpha = 0, \alpha$  is injective
2.  $A \xrightarrow{\alpha} B \rightarrow 0$  is exact  $\iff \text{Im } \alpha = B, \alpha$  is surjective
3.  $0 \rightarrow A \xrightarrow{\alpha} B \rightarrow 0$  is exact  $\iff \text{Im } \alpha = B$  and  $\ker \alpha = \{0\}, \alpha$  is an isomorphism
4.  $0 \rightarrow A \xrightarrow{\alpha} B \xrightarrow{\beta} C \rightarrow 0$  is exact  $\iff$ 
  - (a)  $\ker \alpha = \text{Im}(0 \rightarrow A) = 0 \Rightarrow \alpha$  is injective
  - (b)  $\text{Im } \beta = C \Rightarrow \beta$  is surjective
  - (c)  $\ker \beta = \text{Im } \alpha$

So,  $\beta$  induces an isomorphism  $C \simeq \frac{B}{\text{Im } \alpha}$ .  $C$  can be written as  $C \simeq B/A$  if  $\alpha$  is an inclusion of  $A$  as a subgroup of  $B$ .

Let us consider a short exact sequence of chain complexes:

$$0 \rightarrow A_\bullet \xrightarrow{i} B_\bullet \xrightarrow{\pi} C_\bullet \rightarrow 0$$

$A_\bullet, B_\bullet, C_\bullet$  are chain complexes and  $i, \pi$  are maps between chain complexes where  $\ker \pi = \text{Im } i, \pi : \text{surjective and } i : \text{injective}$

$$\begin{array}{ccccccc}
 & & 0 & & 0 & & 0 \\
 & & \downarrow & & \downarrow & & \downarrow \\
 A_\bullet : & \longrightarrow & A_n & \xrightarrow{\partial} & A_{n-1} & \xrightarrow{\partial} & A_{n-2} \longrightarrow \\
 & & \downarrow i_n & & \downarrow i_{n-1} & & \downarrow i_{n-2} \\
 B_\bullet : & \longrightarrow & B_n & \xrightarrow{\partial} & B_{n-1} & \xrightarrow{\partial} & B_{n-2} \longrightarrow \\
 & & \downarrow \pi_n & & \downarrow \pi_{n-1} & & \downarrow \pi_{n-2} \\
 C_\bullet : & \longrightarrow & C_n & \xrightarrow{\partial} & C_{n-1} & \xrightarrow{\partial} & C_{n-2} \longrightarrow \\
 & & \downarrow & & \downarrow & & \downarrow \\
 & & 0 & & 0 & & 0
 \end{array}$$

The induced sequence on homology:

$$H_n(A_\bullet) \xrightarrow{i_*} H_n(B_\bullet) \xrightarrow{\pi_*} H_n(C_\bullet) \forall n \quad (2.3)$$

$$\pi \circ i = 0 \Rightarrow \pi_* \circ i_* = 0, \quad H_n(\pi \circ i) = H_n(\pi) \circ H_n(i)$$

(2.3) need not be a short exact sequence. However, we can create a long exact sequence of

homology:

$$H_{n+1}(C_\bullet) \xrightarrow{\partial_{n+1}} H_n(A_\bullet) \xrightarrow{i_*} H_n(B_\bullet) \xrightarrow{\pi_*} H_n(C_\bullet) \xrightarrow{\delta} H_{n-1}(A_\bullet) \rightarrow H_{n-1}(B_\bullet) \rightarrow H_{n-1}(C_\bullet)$$

$$0 \rightarrow \text{Im } \delta_{n+1} \rightarrow H_n(A) \xrightarrow{i_*} H_n(B) \xrightarrow{\pi_*} H_n(C) \rightarrow \ker \delta_n \rightarrow 0$$

where the  $\delta$  map is defined as:

$$\begin{aligned} \delta : H_n(C) &\rightarrow H_{n-1}(A) \\ [c] &\mapsto [a] \end{aligned}$$

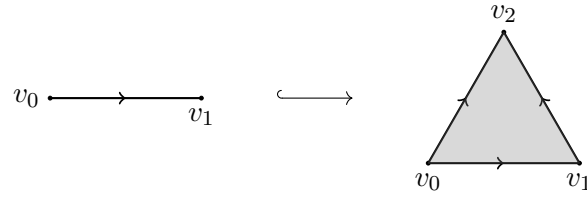
For a element  $b \in B_n$  there exists  $c = \pi_n(b)$  since  $\pi$  is onto.

If we apply the boudary map  $\partial : B_n \rightarrow B_{n-1}$  on  $b$ , then  $\partial b \in B_{n-1}$ ,  $\pi_n(\partial b) = \partial(\pi_n(b)) = 0$

We can take an element  $a \in A_{n-1}$  such that  $i(a) = \partial(b)$

$\partial(\partial b) = \partial(i(a)) = i(\partial a) \Rightarrow \partial a = 0$  since  $i$  is injective  $\Rightarrow \partial b = (0) \in A_{n-1}$

**Example 2.2.1.** Let consider  $X$  to be a 1 – simplex and  $Y$  a 2 – simplex



A short exact sequence of chain complexes for  $X, Y$ :

$$\begin{array}{ccccccc} & & 0 & & 0 & & \\ & & \downarrow & & \downarrow & & \\ A_\bullet : & 0 & \longrightarrow & \mathbb{Z} & \xrightarrow{\partial = \begin{bmatrix} -1 \\ 1 \end{bmatrix}} & \mathbb{Z}^{\oplus 2} & \longrightarrow 0 \\ & & & \downarrow i_1 = \begin{bmatrix} 0 \\ 0 \\ 1 \end{bmatrix} & & \downarrow i_0 = \begin{bmatrix} 1 & 0 \\ 0 & 0 \\ 0 & 0 \end{bmatrix} & \\ B_\bullet : & 0 & \longrightarrow & \mathbb{Z}^{\oplus 3} & \xrightarrow{\partial = \begin{bmatrix} 0 & -1 & -1 \\ -1 & 0 & 1 \\ 1 & 1 & 0 \end{bmatrix}} & \mathbb{Z}^{\oplus 3} & \longrightarrow 0 \\ & & & \downarrow \pi_1 & & \downarrow \pi_0 & \\ C_\bullet : & 0 & \longrightarrow & C_1 & \longrightarrow & C_0 & \longrightarrow 0 \\ & & & \downarrow & & \downarrow & \\ & & & 0 & & 0 & \end{array}$$

The short exact sequence of complexes induces a long exact sequence on homology:

$$0 \rightarrow H_1(A) \rightarrow H_1(B) \rightarrow H_1(C) \xrightarrow{\delta} H_0(A) \rightarrow H_0(B) \rightarrow H_0(C) \rightarrow 0$$

Explicitly, the long exact sequence is:

$$0 \rightarrow 0 \rightarrow \mathbb{Z} \rightarrow H_1(C) \xrightarrow{\delta} \mathbb{Z} \xrightarrow{1} \mathbb{Z} \xrightarrow{\alpha} H_0(C) \rightarrow 0$$

$$\ker(1) = \{0\} = \text{Im } \delta$$

$$\ker(\alpha) = \text{Im}(1) = \mathbb{Z}$$

$$C_1 = \mathbb{Z}^{\oplus 3} / \text{Im } i_1 \simeq \mathbb{Z}^{\oplus 2}$$

$$C_0 = \mathbb{Z}^{\oplus 3} / \text{Im } i_0 \simeq \mathbb{Z}$$

The boundary operator between  $C_1, C_0$ :

$$\partial : C_1 \rightarrow C_0$$

$$\partial : \begin{bmatrix} a \\ b \end{bmatrix} \mapsto (a + b)$$

$$\begin{bmatrix} a \\ b \\ 0 \end{bmatrix} = \begin{bmatrix} a \\ b \\ 0 \end{bmatrix} \text{mod}(\text{Im } i_1) \xrightarrow{\partial = \begin{bmatrix} 0 & -1 & -1 \\ -1 & 0 & 1 \\ 1 & 1 & 0 \end{bmatrix}} \begin{bmatrix} -b \\ -a \\ a + b \end{bmatrix} = \begin{bmatrix} 0 \\ 0 \\ a + b \end{bmatrix}$$

$$H_1(C) = \left\{ \begin{bmatrix} a \\ -a \end{bmatrix} \right\} \simeq \mathbb{Z}$$

$$H_0(C) = C_0 / C_0 = 0$$

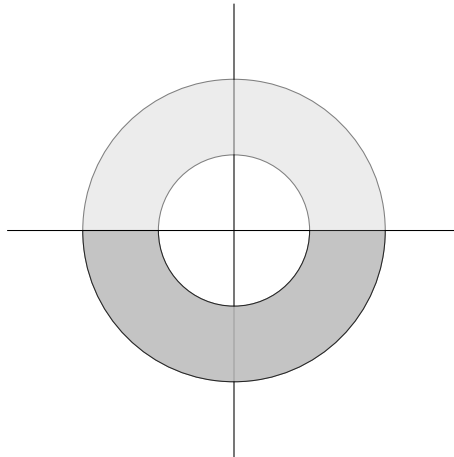
Let us take an example when  $Y \subseteq X$  subspace, the short exact sequence of chain complexes is:

$$0 \rightarrow C_n(Y) \rightarrow C_n(X) \rightarrow C_n(X)/C_n(Y) \rightarrow 0$$

We get a long exact sequence on homology:

$$H_n(Y) \rightarrow H_n(X) \rightarrow H_n(X, Y) \xrightarrow{\delta} H_{n-1}(Y) \rightarrow H_{n-1}(X) \rightarrow \dots$$

**Example 2.2.2.** Consider  $X$  to be the annulus, and the shaded area  $Y \subseteq X$





$$\begin{aligned}
X &= \{(x, y) | 1 \leq x^2 + y^2 \leq 2\} \\
Y &= \{(x, y) | 1 \leq x^2 + y^2 \leq 2, y \leq 0\} \\
\delta &: H_1(X, Y) \rightarrow H_0(Y) \\
\delta([\sigma]) &= [\partial\sigma] = [\sigma(1) - \sigma(0)]
\end{aligned}$$

In "good cases"  $H_n(X, Y) = H_n(X/Y)$

For two topological spaces  $Y \subseteq X$  "pairs of spaces".

We can construct the following chain complex:

$$0 \rightarrow C_n(Y) \xrightarrow{i} C_n(X) \xrightarrow{\pi} C_n(X)/C_n(Y) \rightarrow 0, \quad C_n(X, Y) \text{ are relative chains}$$

Elements of  $C_n$ :  $\sigma : \Delta^n \rightarrow Y \subseteq X$

$$\begin{aligned}
\partial : C_n(X, Y) &\rightarrow C_{n-1}(X, Y) \\
\delta \pmod{C_n(Y)} &\mapsto \partial\delta \pmod{C_{n-1}(Y)} \\
H_n(X, Y) &\equiv H_n(C_\bullet(X, Y)) = Z_n(X, Y)/B_n(X, Y), \quad \text{cycle/boundary}
\end{aligned}$$

**Definition 2.2.2** (Retraction). Consider  $Y \subseteq X$ , a retraction of  $X$  onto  $Y$  is a map  $r : X \rightarrow Y$  such that,  $r(X) = Y$  and  $r^2 = r$ .

i.e.  $r(y) = y$  if  $y \in Y$   
 $i : Y \rightarrow X \quad r \circ i = id_Y \quad i \circ r \neq id_X$  but  $r_* \circ i_* = id$  in homology

**Definition 2.2.3** (Deformation retract). Consider  $Y \subseteq X$  : subspace  
 $Y$  is a deformation retract of  $X$  if there is a homotopy between  $id_X$  and a retraction  $r : X \rightarrow Y$

$$(F_t) \quad \left. \begin{array}{l} F_t : X \rightarrow X \quad F_0 : id_X \\ F_1 : X \rightarrow Y \quad F_1|_Y = id_Y \\ F_1(X) = Y \end{array} \right| F_0 \simeq F_1 \text{ homotopic, } id_X \simeq r$$

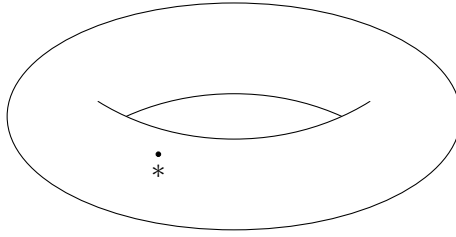
$(X, Y)$  is a "good pair" if

- $Y \subseteq X$  - closed
- There is open  $V \subseteq X$ , such that  $V$  is a deformation retracts on  $Y$ .

**Example 2.2.3.**

$(\mathbb{R}^{n+1}, S^n)$  is a good pair  
 $S^n \subseteq \mathbb{R}^{n+1}$  - closed  
 $S^n \subseteq (\mathbb{R}^{n+1} \setminus \{0\})$  and is a deformation retracted of it

**Example 2.2.4.** Consider  $X$  to be a torus, and  $Y$  a point on its surface:



$$Y = \underset{pt}{\{*\}} \hookrightarrow X$$

$$0 \rightarrow C_n(Y) \rightarrow C_n(X) \rightarrow C_n(X/*) \rightarrow 0$$

$$H_n(Y) = \begin{cases} 0 & n \neq 0 \\ \mathbb{Z} & n = 0 \end{cases}$$

$$\cdots \rightarrow H_n(Y) \rightarrow H_n(X) \rightarrow H_n(X, *) \rightarrow H_{n-1}(Y) \rightarrow \cdots$$

$$\cdots \rightarrow H_0(Y) \rightarrow H_0(X) \rightarrow H_0(X, *) \rightarrow 0$$

$$n > 0: \quad H_n(X, *) = H_n(X)$$

$$n = 0: \quad 0 \rightarrow \mathbb{Z} \rightarrow H_0(X) \rightarrow H_0(X, *) \rightarrow 0$$

$$H_0(X, *) = H_0(X)/\mathbb{Z}, \quad i.e. \quad \begin{matrix} H_0(X) = \mathbb{Z}^d \\ H_0(X) = \mathbb{Z}^{d-1} \end{matrix}$$

*Remark:* Sometimes one introduces “reduced homology”

$$\cdots \rightarrow C_n(X) \rightarrow C_{n-1} \rightarrow \cdots \xrightarrow{\partial_1} C_0(X) \xrightarrow{\epsilon} \mathbb{Z} \rightarrow 0, \quad \tilde{H}_n(X) \text{ - reduced homology}$$

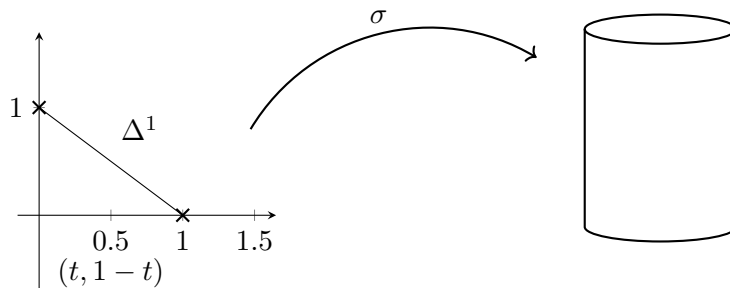
$$\sum n_i \sigma_i \mapsto \sum_i n_i \in C_0(X)$$

$$\tilde{H}_n(X) = \begin{cases} H_n(X), & n > 0 \\ H_0^{sing}(X) = H_0(X) \oplus \mathbb{Z} & n = 0 \end{cases}$$

$$H_n(X, *) \rightarrow \tilde{H}_n(X)$$

Let us consider some examples of Reduced Homology:

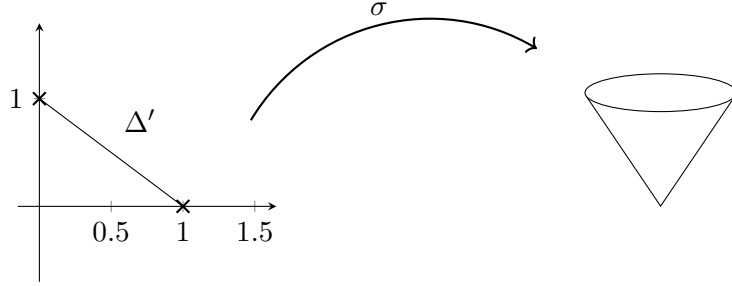
**Example 2.2.5.** Consider  $X = S^1 \times [0, 1]$ , and  $Y = S^1 \times \{0\}$ :



$$\sigma : \Delta^1 \mapsto S^1 \times [0, 1]$$

$$\sigma : t \mapsto (\cos 2\pi t, \sin 2\pi t, 1)$$

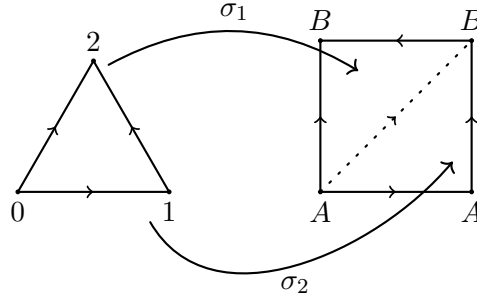
The boundary operator on  $\sigma$ :  $\partial\sigma = 0 \rightsquigarrow [\sigma] \in H_1(X)$   
The space  $X$  is homotopic equivalent to  $S^1$  so,  $H_1(X) \simeq H_1(S^1) \simeq \mathbb{Z}$ , considered in 2.1.  
Let us take the quotient map  $X/Y$ . The space  $Y$  will contract into a point creating a cone.



In  $H_1(X, Y)$  the class  $[\sigma] \in H_1(X)$  goes to 0 and the long exact sequence on homolgy is:

$$H_1(Y) \rightarrow H_1(X) \rightarrow H_1(X, Y) \rightarrow H_0(X, Y) \rightarrow H_0(Y) \rightarrow H_0(X) \rightarrow 0$$

where  $H_1(Y), H_1(X), H_0(Y), H_0(X) \simeq \mathbb{Z}$ .



$$\partial\sigma_1 = \sigma_1|_{[12]} - \sigma_1|_{[02]} + \sigma_1|_{[01]}$$

$$\partial\sigma_2 = \sigma_2|_{[12]} - \sigma_2|_{[02]} + \sigma_2|_{[01]}$$

$$\partial(\sigma_1 + \sigma_2) = \sigma_1|_{[12]} + \sigma_2|_{[01]}$$

We can choose  $\sigma = \sigma_1|_{[12]} = \partial(\sigma_1 + \sigma_2) - \sigma_2|_{[01]}$ ,  $\sigma_2|_{[01]} \in C_1(Y)$   
 $\sigma \in B_1(X, Y) \Rightarrow [\sigma] = 0 \in H_1(X, Y)$

## Chapter 3

# Persistent Homology

Persistent homology (PH) is a method used in topological data analysis (TDA) to study qualitative features of data that persist across multiple scales. Due to its construction, persistent homology computations are robust to perturbation of the data. Also, PH is used to extract relevant features of the data, and separate them from noise.

An important result in computing persistent homology is that the persistent homology of a filtered  $d$ -dimensional simplicial complex is simply the standard homology of a particular graded module over a polynomial ring [ZC05].

Before intruducing Persistent homology and understanding its calculation, we need to provide some priliminary concept from albegra.

We begin by reviewing graded modules and rings and then stating the structure of finitely generated modules over principal ideal domains. Then, refering to the notions intruduced in Chapter 1, we provide some comments of the reduction algorithm used for computing simplicial homology. We conclude this chapter by describing persistent homology.

### 3.1 Background

#### 3.1.1 Graded Rings and Modules

A graded ring is a ring  $\langle R, +, \cdot \rangle$  equipped with a direct sum decomposition of Abelian groups  $R \cong \bigoplus_{i \in \mathbb{Z}} R_i$ , so multiplication is defined by bilinear pairings  $R_n \otimes R_m \rightarrow R_{n+m}$ .

Elements in a single  $R_i$  are called homogeneous and have degree  $i$ ,  $\deg e = i$  for all  $e \in R_i$ .

**Example 3.1.1.**  $R = A[t]$ , where  $(A - \text{commutative ring})$

$$R_0 = A, \quad R_1 = \{at, a \in A\}, \quad \dots, \quad R_i = \{at^i, a \in A\}$$

**Example 3.1.2.**  $R = \mathbb{R}[x, y, z]$

$$R_i = \{cx^{d_1}y^{d_2}z^{d_3} \mid \sum_{k=1}^3 d_k = i\}$$

For example  $R_1 \simeq \mathbb{R}^3$  as a vector space  $\{ax + by + cz\}$

A graded module  $M$  over a graded ring  $R$  is a module equipped with a direct sum decomposition  $M \cong \bigoplus_{i \in \mathbb{Z}} M_i$ , so that the action of  $R$  on  $M$  is defined is bilinear pairings  $R_n \otimes M_m \rightarrow M_{n+m}$ .

A graded ring (module) is non-negatively graded if  $R_i = 0$  ( $M_i = 0$ ) for all  $i < 0$ .

*Note:*  $R$  is a PID if it's a domain (no zero divisors) & all its ideal are principal

For example:

$$\begin{aligned} R &= \mathbb{Z}, \quad I = (n), \quad n \in \mathbb{Z} \\ R &= k[t], \quad k = \text{field} \end{aligned}$$

The structure theorem describes finitely generated modules and graded modules over PIDs.

**Theorem 3.1.1** (Structure Theorem). *If  $D$  is a PID, then every finitely generated  $D$ -module is isomorphic to a direct sum of cyclic  $D$ -module. That is, it decomposes uniquely into the form*

$$D^\beta \oplus (\oplus_i D/d_i D), \quad (3.1)$$

for  $d_i \in D$ ,  $\beta \in \mathbb{Z}$ , such that  $d_i | d_{i+1}$ . Similarly, every graded module  $M$  over a graded PID  $D$  decomposes uniquely into the form

$$(\oplus_i \Sigma^{\alpha_i} D) \oplus (\oplus_i \Sigma^{\gamma_i} D/d_i D), \quad (3.2)$$

where  $d_j \in D$  are homogeneous elements so that  $d_j | d_{j+1}$ ,  $\alpha_i, \gamma_j \in \mathbb{Z}$ , and  $\Sigma^\alpha$  denotes an  $\alpha$ -shift upward in grading.

The free portion on the left is a vector includes generators that may generate an infinite number of elements. Decomposition (3.1) has a vector space of dimension  $\beta$ . The torsional portion on the right includes generators that may generate a finite number of elements. These torsional elements are also homogeneous. Intuitively then, the theorem describes finitely generated modules and graded modules as structures that look like vector spaces but also have some dimensions that are "finite" in size.

**Example 3.1.3.** Let us take  $D = k[t]$  – graded ring (e.g.  $\mathbb{R}[t]$ ) then:

$$\begin{array}{ccccccc} D & = & k & \oplus & kt & \oplus & kt^2 \oplus \dots \\ & & \parallel & & \parallel & & \parallel \\ & & M_0 & & M_1 & & M_2 \end{array}$$

is also a graded module over itself.

$$\begin{aligned} M &= \sum_{\alpha} D = t^\alpha k[t] \subseteq k[t] \text{ is an ideal of } D \Rightarrow D\text{-module} \\ M &= M_\alpha \oplus M_{\alpha+1} \oplus \dots \\ &\quad \begin{array}{cc} \wr & \wr \\ k & kt \end{array} \\ (\sum_{\alpha} D)_i &= D_{\alpha+i} \end{aligned}$$

### 3.1.2 Reduction

The reduction algorithm is the standard method used in computing homology. For simplicity, we describe the method for integer coefficients. However, the method applies also to modules over arbitrary PIDs.

Given  $C_k$ , we can use as standard basis the oriented k-simplices:

$$\begin{aligned} \partial_k : C_k &\rightarrow C_{k-1} \\ \{e_i\} &\quad \{e_i\} \\ (C_k, C_{k-1} : \text{free abelian groups or free R-module}) \\ M_k : \text{standard matrix representation of } \partial_k \\ e \cdot u : (e_1, \dots, e_{m_k}) &\begin{pmatrix} u_1 \\ \vdots \\ u_{m_k} \end{pmatrix} \in C_k \\ \partial_k(eu) &= \hat{e}(M_u) \end{aligned}$$

The null-space of  $M_k$  corresponds to  $Z_k$  and its range-space to  $B_{k-1}$ . The reduction algorithm derives alternate bases for the chain groups, relative to which the matrix for  $\partial_k$  is diagonal. The algorithm utilizes the following elementary column operations on  $M_k$ :

- exchange column i, and column j,
- multiply column i by -1
- replace column i by (column i) + q(column j), where  $q \in \mathbb{Z}$  and  $i \neq j$

The algorithm also uses elementary row operation that are similarly defined. The idea of the reduction algorithm is to systematically modify the bases of  $C_k$  and  $C_{k-1}$  using elementary operations so that it reduce  $M_k$  to its Smith normal form:

Row-operation

$$\begin{aligned} R_i &\mapsto R_i + qR_j \text{ on } M \\ M &\mapsto i \underbrace{\begin{pmatrix} 1 & & & & \\ & \ddots & & & \\ & & 1 & \cdots & q \\ & & & \ddots & \\ & & & & 1 \end{pmatrix}}_A M \\ R_2 &\mapsto R_2 + 2R_3 \\ \begin{pmatrix} 1 & 0 & 0 \\ 0 & 1 & 2 \\ 0 & 0 & 1 \end{pmatrix} M \\ (e_1 \quad e_2 \quad e_3) &\begin{pmatrix} 1 & 0 & 0 \\ 0 & 1 & 2 \\ 0 & 0 & 1 \end{pmatrix} \mapsto (e_1 \quad e_2 \quad 2e_2 + e_3) \end{aligned}$$

Column operations:

$$M \mapsto MB, B_2 \begin{pmatrix} 1 & & & \\ & \ddots & & \\ & & 1 & \\ & & \vdots & \ddots \\ & & q & & 1 \end{pmatrix}$$

Interpretation of row/column operations on a matrix of a map in terms of changing bases.

$$\partial : \xi = \underline{e}u \mapsto \hat{e}Mu \text{ where } u = [\xi]_{\underline{e}}$$

Suppose we perform a column-operation  $M \mapsto MB$ . This is supposed to change the matrix of a map - keeping the map unchanged

$$\begin{aligned} \xi &= \underline{e}u \mapsto \hat{e}Mu = \hat{e}MB(B^{-1}u) \\ &\quad \parallel \\ &\quad \underline{e}B(B^{-1}u) \end{aligned}$$

$$\text{If we set } \underline{e}' = \underline{e}B$$

$$\partial : \xi = \underline{e}'v \mapsto \hat{e}MBv$$

$$v = [\xi]_{\underline{e}'}$$

Similarly, suppose we perform a row-operation  $M \mapsto AM$ . Then

$$\begin{aligned} \xi = \underline{e}u \mapsto \underline{\hat{e}}Mu &= \underline{\hat{e}}A^{-1}AMu \\ &= \underline{\hat{e}}'AMu \end{aligned}$$

That is, if  $M = [\partial]_{\underline{e}\hat{e}}$ , then

$$AMB = [\partial]_{\underline{e}B, \underline{\hat{e}}A^{-1}}$$

$$A = I + qE_{ij} : R_i \mapsto R_i + qR_j \text{ (via } M \mapsto AM)$$

$$A^{-1} = I - qE_{ij}$$

$$\begin{aligned} \underline{\hat{e}}A^{-1} &= (\hat{e}_1, \dots, \hat{e}_{m_{k-1}}) \begin{pmatrix} 1 & & & & \\ & 1 & & & \\ & & \ddots & \dots & q \\ & & & 1 & \\ & & & & 1 \end{pmatrix}^i = \\ &= (\hat{e}_1, \dots, \hat{e}_j - q\hat{e}_i, \dots), \text{ i.e. } \hat{e}_j \mapsto \hat{e}_j - q\hat{e}_i \end{aligned}$$

$$B = I + qE_{ji} : C_i \mapsto C_i + qC_j \text{ (via } M \mapsto MB)$$

$$\underline{e}B = (e_1, \dots, e_{m_k}) \begin{pmatrix} 1 & & & & \\ & 1 & & & \\ & & \ddots & \dots & q \\ & & & 1 & \\ & & & & 1 \end{pmatrix}^j = (e_1, \dots, e_i + qe_j, \dots)$$

Let  $V \simeq \mathbb{R}^n$  (be a vector space)

$$B = \{e_1, \dots, e_n\}$$

$$V = \underline{e}X = (e_1, \dots, e_n) \begin{pmatrix} x_1 \\ \vdots \\ x_n \end{pmatrix} = \sum_{i=1}^n x_i e_i \quad (e_i \in V, x_i \in \mathbb{R})$$

$$B^1 = \{f_1, \dots, f_n\}$$

$$v = \underline{e}X = \underbrace{\underline{e}}_{\mathbf{f}} T^{-1} \underbrace{(TX)}_Y = (f_1, \dots, f_n)Y$$

$$(f_1, \dots, f_n) = (l_1, \dots, l_n)T^{-1}$$

$$Y = TX$$

Smith normal form (for PID):

$$\exists A, B :$$

$$\partial_k \equiv AMB = \left( \left( \begin{array}{ccc|c} b_1 & & & \overbrace{0}^{b_i|b_{ix1}} \\ & \ddots & & \\ & & b_l & \\ \hline & & & 0 \end{array} \right) \right)$$

$$\text{rank } Z_k = m_k - e_k$$

$$\text{rank } H_k = m_k - e_k - e_{k+1}$$

## 3.2 The Persistence Module

In this section we will combine the homology of all the complexes in the filtration into a single algebraic structure. We then establish a correspondence that reveals a simple description over fields. Most significantly, we illustrate that the persistent homology of a filtered complex is simply the standard homology of a particular graded module over a polynomial ring.

Taking into consideration the construction of a filtered simplicial complex introduced in section 1.2, we can construct a filtered chain complex:

$$\begin{array}{ccc} (0) \subseteq C_\bullet^1 \subseteq C_\bullet^2 \subseteq \dots \subseteq C_\bullet^m \\ \parallel & & \parallel \\ C_\bullet^0 & & C_\bullet \end{array}$$

**Definition 3.2.1.** (*Persistent Homology Group*). Given a filtered complex, the  $i$ -th complex  $K^i$  has associated boundary operators  $\partial_k^i$ , matrices  $M_k^i$ , and groups  $C_k^i$ ,  $Z_k^i$ ,  $B_k^i$ , and  $H_k^i$  for all  $i, k \geq 0$ . The  $p$ -persistent  $k$ -th homology group of  $K^i$  is

$$H_k^{i,p} = Z_k^i / (B_k^{i+p} \cap Z_k^i)$$

For  $p = 0$ , this is the usual homology formula:

$$H_k(C_\bullet^i) = Z_k^i / (B_k^i \cap Z_k^i) = Z_k^i / B_k^i$$

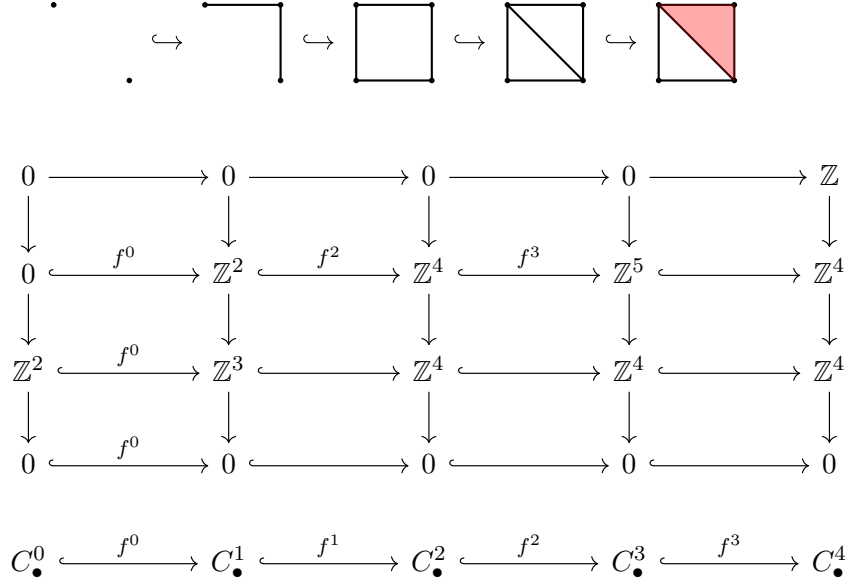


**Definition 3.2.2.** (*Persistence Complex*)

A persistence complex  $\mathcal{C}$  is a family of chain complexes  $\{C_*^i\}_{i \geq 0}$  over  $R$ , together with a chain map's  $f_i : C_*^i \rightarrow C_*^{i+1}$  so that we have the following diagram:

$$C_*^0 \xrightarrow{f^0} C_*^1 \xrightarrow{f^1} C_*^2 \xrightarrow{f^2} \dots$$

**Example 3.2.1.** Let us consider the following filtered simplicial complex, and the filtered chain complex:



**Definition 3.2.3.** (*Persistence Module*). A persistence module  $\mathcal{M}$  is a family of  $R$ -modules,  $M^i$ , together with homomorphism  $\varphi^i : M^i \rightarrow M^{i+1}$

Suppose we have a persistence module  $\mathcal{M} = \{M^i, \varphi^i : M^i \rightarrow M^{i+1}\}$  over a ring  $R$ . We can equip  $R[t]$  with the standard grading and define a graded module over  $R[t]$  by

$$\alpha(M) = \bigoplus_{i \geq 0} M_i$$

, where the  $R$ -module structure is the sum of the structures on the individual components, and where the action of  $t$  is given by:

$$t \cdot (m^0, m^1, \dots) = (0, \varphi^0(m^0), \varphi^1(m^1), \dots)$$

$$\begin{pmatrix} 0 & | & & | \\ \hline \varphi^0 & 0 & & \\ \hline & \varphi^1 & 0 & \\ \hline & & \varphi^2 & \end{pmatrix}$$

$t$  simply shifts elements of the module up in gradation.

**Example 3.2.2.**

$$\begin{aligned}
& \varphi : \mathbb{R}^n \rightarrow \mathbb{R} \\
& \varphi : \begin{pmatrix} x_1 \\ \vdots \\ x_n \end{pmatrix} \mapsto (A_1, \dots, A_n) \begin{pmatrix} x_1 \\ \vdots \\ x_n \end{pmatrix} = A_1 x_1 + \dots + A_n x_n \\
& (\varphi_1, \dots, \varphi_{n-1}) \mathbb{R}^n \rightarrow \mathbb{R}^{n-1} \\
& \underline{x} \mapsto \begin{pmatrix} A_{11} & \dots & A_{m-1} \\ \dots & \dots & \dots \end{pmatrix} \begin{pmatrix} x_1 \\ \vdots \\ x_n \end{pmatrix} \\
& \text{e.g. } \begin{pmatrix} 1 & 0 & 0 \\ 0 & 1 & 0 \end{pmatrix} : \begin{pmatrix} x \\ y \\ z \end{pmatrix} \mapsto \begin{pmatrix} x \\ y \end{pmatrix}
\end{aligned}$$

**Theorem 3.2.1.** (*Correspondence*) *The correspondence  $\alpha$  defines an equivalence of categories between the category of persistence modules of finite type over  $R$  and the category of finitely generated non-negatively graded modules over  $R[t]$ .*

The Correspondence theorem gives us a simple decomposition when the ground ring is a field  $F$ . In this case the graded ring  $F[t]$  is a PID and its only graded ideals are homogeneous of form  $(t_n)$ , so the structure of the  $F[t]$  – *module* is described by sum (3.2) in structure theorem 3.1.1:

$$(\oplus_i \Sigma^{\alpha_i} F[t]) \oplus (\oplus_j \Sigma^{\gamma_j} F[t]/(t^{n_j})). \quad (3.3)$$

## Chapter 4

# Computing Persistent Homology

So far we have build the following setup to compute persistence homology on persistence chain complex:

$$\text{Persistence complex} : C_{\bullet}^0 \hookrightarrow C_{\bullet}^1 \hookrightarrow C_{\bullet}^2 \hookrightarrow \dots$$

$$\text{Persistent Homology Group} : H_k^{i,p} = Z_k^i / B_k^{i+p} \cap Z_k^i$$

$$\text{where } Z_k^i = \ker(\partial_k^i : C_k^i \rightarrow C_{k-1}^i) = \text{Im}((H_k^i = H_k(C_{\bullet}^i) \rightarrow (H_k(C_{\bullet}^{i+p})))$$

**Example 4.0.1.** Consider  $X$  to be a space consisting of two points and  $Y$ , of an edge. Then we can construct the following persistence complex:

$$\bullet \quad \bullet \quad \text{---} \bullet$$

$$C_{\bullet}^0 \xrightarrow{f_0} C_{\bullet}^1$$

$$\begin{array}{ccc} 1 & (0) & \xrightarrow{\quad} \mathbb{Z} \\ \partial_1=0 \downarrow & & \downarrow \partial_1 = \begin{bmatrix} -1 \\ 1 \end{bmatrix} \\ 0 & \mathbb{Z}^2 & \xrightarrow{\quad} \mathbb{Z}^2 \\ \partial_0=0 \downarrow & & \downarrow \partial_0 = \begin{bmatrix} 0 & 0 \end{bmatrix} \\ & 0 & \xrightarrow{\quad} 0 \end{array}$$

$$\underline{p=0}$$

$$\begin{aligned} H_k^{i,0} &= Z_k^i / B_k^i \cap Z_k^i \\ H_1^{0,0} &= (0) \quad H_1^{1,0} = (0) \\ H_0^{0,0} &= \mathbb{Z}^2 \quad H_0^{1,0} \simeq \mathbb{Z} \end{aligned}$$

$p = 1$

$$\begin{aligned}
H_k^{i,1} &= Z_k^i / B_k^{i+1} \cap Z_k^i \\
H_1^{0,1} &= Z_0^1 / B_1^1 \cap Z_1^0 = (0) \quad H_1^{1,1} = (0) \\
H_0^{0,1} &= Z_0^0 / B_0^1 \cap Z_0^0 = \mathbb{Z}^2 / \text{Im} \begin{bmatrix} -1 \\ 1 \end{bmatrix} \simeq \mathbb{Z}
\end{aligned}$$

**Example 4.0.2.** Let us consider the following filtered complex:

$$\begin{array}{ccccccccc}
& & \begin{array}{c} a \\ \bullet \end{array} & \begin{array}{c} b \\ \bullet \end{array} & \begin{array}{cc} a & b \\ \hline \bullet & \bullet \\ d & c \end{array} & \begin{array}{cc} a & b \\ \hline \bullet & \bullet \\ d & c \end{array} & \begin{array}{cc} a & b \\ \hline \bullet & \bullet \\ d & c \end{array} & \begin{array}{cc} a & b \\ \hline \bullet & \bullet \\ d & c \end{array} & \begin{array}{cc} a & b \\ \hline \bullet & \bullet \\ d & c \end{array} \\
& & \hookrightarrow & & \hookrightarrow & \hookrightarrow & \hookrightarrow & \hookrightarrow & \hookrightarrow \\
0 & & 1 & & 2 & & 3 & & 4 & & 5 \\
C_\bullet^0 & \longrightarrow & C_\bullet^1 & \longrightarrow & C_\bullet^2 & \longrightarrow & C_\bullet^3 & \longrightarrow & C_\bullet^4 & \longrightarrow & C_\bullet^5 \\
\\
2 & 0 & \longrightarrow & 0 & \longrightarrow & 0 & \longrightarrow & 0 & \longrightarrow & \mathbb{Z} & \longrightarrow & \mathbb{Z}^2 \\
& \downarrow & & \downarrow & & \downarrow & & \downarrow & & \downarrow & & \downarrow \\
1 & 0 & \longrightarrow & \mathbb{Z}^2 & \longrightarrow & \mathbb{Z}^4 & \longrightarrow & \mathbb{Z}^5 & \longrightarrow & \mathbb{Z}^5 & \longrightarrow & \mathbb{Z}^5 \\
& \downarrow & & \downarrow & & \downarrow & & \downarrow \partial_1^3 & & \downarrow & & \downarrow \\
0 & \mathbb{Z}^2 & \longrightarrow & \mathbb{Z}^4 & \longrightarrow & \mathbb{Z}^4 & \longrightarrow & \mathbb{Z}^4 & \longrightarrow & \mathbb{Z}^4 & \longrightarrow & \mathbb{Z}^4 \\
& \downarrow & & \downarrow & & \downarrow & & \downarrow & & \downarrow & & \downarrow \\
& 0 & & 0 & & 0 & & 0 & & 0 & & 0
\end{array}$$

Some explicit computations are: Here the matrix of  $\partial_1^3$  is

$$\left( \begin{array}{c|ccccc} & ab & bc & cd & ad & ac \\ \hline d & 0 & 0 & 1 & 1 & 0 \\ c & 0 & 1 & -1 & 0 & 1 \\ b & 1 & -1 & 0 & 0 & 0 \\ a & -1 & 0 & 0 & -1 & -1 \end{array} \right) = M_1$$

Introduce the structure of a graded module over  $k[t]$  (on  $R[t]$ )  
Degrees  $\iff$  appearance in the translation

- $a, b\}$  deg 0
- $\left. \begin{array}{c} c, d \\ ab, bc \end{array} \right\}$  deg 1

- $ab, dc$  deg 2
- $ac$  deg 3
- $abc$  deg 4
- $adc$  deg 5

If we work in  $(\mathbb{Z}/2\mathbb{Z})[t]$

$$M_1 = \left( \begin{array}{c|ccccc} & ab & bc & cd & ad & ac \\ \hline d & 0 & 0 & t & t & 0 \\ c & 0 & 1 & t & 0 & t^2 \\ b & t & t & 0 & 0 & 0 \\ a & t & 0 & 0 & t^2 & t^3 \end{array} \right)$$

Remarks:

\* Any ideal  $\omega \subseteq R$  in a commutative ring in as  $R$  - module in a natural way:  $\forall a \in \omega, \forall r \in R, r \cdot a \in \omega$  and  $\omega \subseteq R$  is an abgroup ( $R$  is a module over itself &  $\omega$  is a submodule)

\* Hence for any

$$\begin{array}{ccc} & n \in \mathbb{N} & \\ & (t^n) & \subseteq k[t] \\ & \parallel & \\ \{ t^n P(t), P \in k[t] \} & & \\ \parallel & & \\ t^n k[t] & & \end{array}$$

is a  $k[t]$  - module. This is a free  $k[t]$  - module.

\*  $R = k[t]$  has a natural structure of graded ring. The deg  $i$  - elements are the (non-zero) elements of the line  $R_i := kt^i \subseteq k[t]$  (in general:  $R = \oplus R_i, R_i R_j \subseteq R_{i+j}$ ). The ideal  $(t^n) \subseteq k[t]$  is then a graded  $k[t]$  - module (in general, this means  $M = \oplus_i M_i, R = \oplus_i R_i, R_i \cdot M_j \subseteq M_{i+j}$ )

$$(t^n) = t^n, k[t] = \bigoplus_{i \geq 0} \underbrace{kt^{n+i}}_{(t^n)}$$

i.e.

degree -  $i$  elements of  $(t^n)$  are the monorvials of degree  $(n+i)$

\* While  $(t^n) \subseteq k[t]$  is an ideal, so  $k[t]$  - module - and so  $k[t]$  - submodule; and a graded  $k[t]$  - module, it is not a graded  $k[t]$  - submodule!

The grading of  $(t^n)$  is not the grading that is induced by the ambient  $k[t]$ : it is shifted up by  $n$ :  $t^{n+i}$ , as an alternative of  $(t^n) = t^n k[t]$ , has degree  $i$ , not degree  $(n+i)$ .

\* In general, for a graded module  $M$  over a graded ring  $R$  we can define the twist of  $M$  by  $n$ ,  $M[n]$ , also denoted by  $\sum^n M$ , is defined by  $(\sum^n M)_i = M_{n+i}$ .

i.e., by redefining/shifting the grading up by  $n$ . We see that we can identify  $\sum^n k[t]$  with  $(t^n) = t^n k[t]$  as graded modules  $(\sum^n k[t])_i = k[t]_{n+i} = kt^{n+i} \xrightarrow{id} kt^n \cdot t^i$

\* A map of free  $k[t]$  - modules  $k[t] \rightarrow k[t]$  is multiplication by some polynomial  $p(t)$  ie of the kind  $p(t) \mapsto p(t)q(t)$  ( $p(t)$  is the image of  $1 \in k[k]$ ). More generally, a map of free  $k[t]$  - module,  $k[t]^{\oplus m} \rightarrow k[t]^{\oplus r}$  is given by some  $r \times m$  matrix with  $k[t]$  - entries.

\* A map (morphism) if graded R-modules  $\varphi : M \rightarrow N$  is a map of  $R$  - modules (ie:  $R$  - linear, ie:  $\varphi(rm) = r\varphi(m), \varphi(m_1 + m_2) = \varphi(m_1) + \varphi(m_2)$ ) which preserves the degrees. That is  $\varphi(M_i) \subseteq N_i, \forall i$ .

\* In particular, a map of graded modules  $\varphi : \sum^n k[t] \rightarrow \sum^p k[t]$  must send  $(t^n)_i = kt^{n+i}$  to

$$\begin{array}{ccc} \wr & & \wr \\ (t^n) & & (t^p) \end{array}$$

$$(t^p)_i = kt^{p+i}.$$

\* As the shifts  $\sum^n k[t]$  are still free modules, any  $k[t]$  - module homomorphism  $\varphi : (t^n) \rightarrow (t^n)$  is determined by some polynomial  $p(t) \in k[t]$ , ie by the image of a generator:  $\varphi(t^n) = p(t)t^p$  as  $\varphi(t^n q(t)) = q(t)\varphi(t^n)$ . However if  $\varphi$  is a graded module homomorphism, we must have that  $\varphi(t^n) = \underbrace{(mt^p)}_{p(t)} t^p$ , ie, that  $p(t)$  be homogeneous. Similarly, for direct sums  $\bigoplus_i (t^{ni}) \rightarrow \bigoplus_i (t^{pj})$ .

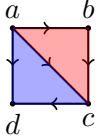
\* In particular: if  $n \geq p$ , any map of modules  $\varphi : k[t] \rightarrow k[t], 1 \mapsto p(t)$  determines a map of graded modules

$$(t^n) = \sum^n k[t] \rightarrow (t^p) = \sum^p k[t]$$

$$t^n \mapsto (p(t)t^{n-p})t^p$$

E.g, the identity map on  $k[t]$  induces  $t^n \mapsto t^{n-p} \cdot t^p$  (The "matrix element" of the identity on  $k[t]$  is  $t^{n-p}$ ). Ditto for direct sums.

\* Everything so far works similarly for  $\mathbb{Z}[t]$  or  $A[t]$ ,  $A$  - common ring. In particular, look again at the simplicial complex



The chain complex is  $0 \rightarrow \mathbb{Z}^2 \xrightarrow{\partial_2} \mathbb{Z}^5 \xrightarrow{\partial_1} \mathbb{Z}^4 \rightarrow 0$ . The matrices  $M_2$  and  $M_1$  of  $\partial_2$  and  $\partial_1$  without the indicated bases are:

$$M_2 = \begin{matrix} ab \\ bc \\ cd \\ ad \\ ac \end{matrix} \begin{pmatrix} abc & acd \\ 1 & 0 \\ 1 & 0 \\ 0 & 1 \\ 0 & -1 \\ -1 & 1 \end{pmatrix}, M_1 = \begin{matrix} d \\ c \\ b \\ a \end{matrix} \begin{pmatrix} ab & bc & cd & ad & ac \\ 0 & 0 & 1 & 1 & 0 \\ 0 & 1 & -1 & 0 & 1 \\ 1 & -1 & 0 & 0 & 0 \\ -1 & 0 & 0 & -1 & -1 \end{pmatrix}$$

Then  $\partial_1$  (ie  $M_1$ ) induces a map of  $\mathbb{Z}[t]$  - modules  $\mathbb{Z}[t]^{\oplus 5} \xrightarrow{M_1} \mathbb{Z}[t]^{\oplus 4}$ :

$$\underline{V} = \begin{pmatrix} p_1(t) \\ p_2(t) \\ p_3(t) \\ p_4(t) \\ p_5(t) \end{pmatrix} \mapsto M_1 \underline{V}_\bullet$$

Using the grading (filtration) on the simplicial  $cx$  we get a chain complex of graded  $\mathbb{Z}[t]$  - modules

$$0 \rightarrow (t^4) \oplus (t^5) \xrightarrow{\partial_2^1} (t)^{\oplus 2} \oplus (t^2)^{\oplus 2} \oplus (t^3) \xrightarrow{\partial_1^1} (t)^{\oplus 2} \oplus (1)^{\oplus 2} \rightarrow 0$$

by the procedure on pg. The respective matrices are (without same bases)

$$M'_2 = \begin{matrix} ab \\ bc \\ cd \\ ad \\ ac \end{matrix} \begin{pmatrix} abc & acd \\ t^3 & 0 \\ t^3 & 0 \\ 0 & t^3 \\ 0 & -t^3 \\ -t^3 & t^3 \end{pmatrix}, M'_1 = \begin{matrix} d \\ c \\ b \\ a \end{matrix} \begin{pmatrix} ab & bc & cd & ad & ac \\ 0 & 0 & t & t & 0 \\ 0 & 1 & -t & 0 & t^2 \\ t & -t & 0 & 0 & 0 \\ -t & 0 & 0 & -t^2 & -t^2 \end{pmatrix}$$

Note: In Carlsson-Zomordian there is no difference in notation between  $M_i$  and  $M'_i$ . Also, for the algorithm they order the elements such that the degree decreases down to rows. If we work in  $\mathbb{R}[t]$ , the matrices will be the same. In  $\mathbb{Z}/2\mathbb{Z}[t]$  there won't be difference between  $\pm 1$ .  
The example from p.1

$$\begin{array}{ccc} \underset{\deg 0}{\underset{\bullet}{a}} & & \underset{\deg 1}{\overset{\bullet}{ab}} \\ & & \xrightarrow{\quad} \end{array}$$

The final  $cx$  is  $0 \rightarrow \mathbb{Z} \xrightarrow{\partial_1} \mathbb{Z}^{\oplus 2} \rightarrow 0$ . The matrix of  $\partial_1$  is

$$M_1 = \begin{bmatrix} -1 \\ 1 \end{bmatrix}$$

. This gives rise to the complexes of  $\mathbb{Z}[t]$  - *modules*.

$$0 \rightarrow \mathbb{Z}[t] \xrightarrow{\begin{bmatrix} -1 \\ 1 \end{bmatrix}} \mathbb{Z}t^{\oplus 2} \rightarrow 0$$

and of graded  $\mathbb{Z}[t]$  -modules.

$$0 \rightarrow \mathbb{Z}[t] \xrightarrow{\begin{bmatrix} -t \\ t \end{bmatrix}} (1)^{\oplus 2} \rightarrow 0$$

$$\parallel$$

$$\mathbb{Z}t^{\oplus 2}$$

# Bibliography

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