# **Introduction to Homotopy Theory**

(Notes based on lectures by Sergiy Maksymenko)

#### Abstract

Homotopy theory studies spaces up to a homotopy, which is a continuous deformation of one continuous function to another. This documents is a work in progress done during a course audit. These notes are taken purposefully in English to strenghten intuition and simplify lookup of concepts in related literature.

Warning: this document may be edited live during audit so watch out for incorrect statements!

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### 1 Set-theoretic Definitions

**Definition** 1.1 (BINARY RELATION): A binary relation R on a set X is a set of ordered pairs of elements of X.

**Definition** 1.2 (EQUIVALENCE RELATION): An equivalence relation  $\sim$  is a binary relation that is reflexive, symmetric and transitive.

**Definition** 1.3 (EQUIVALENCE CLASS OF AN ELEMENT): Given a set X and an equivalence relation  $\sim$ , an equivalence class of  $a \in X$ , denoted [a] is a set  $\{x \in S \mid x \sim a\}$ 

**Definition** 1.4 (QUOTIENT SET): A quotient set  $X/\sim$  (also said "X modulo  $\sim$ " or "X up to  $\sim$ ") is a set of all equivalence classes of X with respect to  $\sim$ .

$$X/\sim = \{[x] : x \in X\}$$

**Definition** 1.5 (QUOTIENT MAP, PROJECTION): A surjective mapping that sends a point in X to its equivalence class, containing it.

$$\pi: X \to X/\sim$$

**Definition** 1.6 (QUOTIENT BY SUBSET MEMBERSHIP): Given a set X and subset  $A \subset X$ , X/A is a notation that assumes an implicit equivalence relation:

$$\forall \alpha \beta \in X, \ \alpha \sim \beta = \begin{cases} \top, \alpha \in A \land \beta \in A \\ \bot, \text{ otherwise} \end{cases}$$

For example:

$$X = \{a, b, c, d, e\}$$

$$A = \{a, e\} \subset X$$

$$X / A = \{b, c, d, [a]\}$$

$$[a] = \{a, e\}$$

One can say identification of all points in A with each other.

# 2 Group-theoretic Definitions

**Definition 2.1** (PRESENTATION):

 $\langle S \mid R \rangle$ 

Where *S* is a generator and *R* is a relation.

Definition 2.2 (COMMUTATOR): That one for groups: https://en.wikipedia.org/wiki/Commutator

**Definition** 2.3 (KERNEL (GROUP)): Analog of a null space of a linear map (turns out it's also often called a kernel in linear algebra)

Example 2.4:

$$\mathbb{Z}_5 = 0, 1, 2, 3, 4 \pmod{5}$$
  
 $\{e, a, a^2, a^3, a^4\} = \langle a \mid a^5 = e \rangle$ 

**Definition** 2.5 (FREE GROUP): Syntax for groups! *F*<sub>2</sub> if the free group has two generators.

**Definition 2.6 (FREE GROUP BY UNIVERSAL PROPERTY): See** https://en.wikipedia.org/wiki/Free\_group#Universal\_property.

**Example** 2.7:  $F_1 = \mathbb{Z}$  (free cyclic group)

**Theorem** 2.8: Let group G be generated  $g_1 \dots g_k$ , so every  $h \in G$  is a product of some of its generators.

$$F_k \xrightarrow{\phi} G$$

$$G \cong F_k / \ker \phi$$

 $\ker \phi$  is a list of things on the right.

**Example** 2.9: Dihedral group  $\mathcal{D}_5$  — symmetries of the pentagon.

*r rotates* the pentagon, *s flips* it along the vertical axis.

$$\mathcal{D}_5 = \langle r, s \mid r^5 = 1, s^2 = 1, rs = sr^{-1} \rangle$$

See also: https://en.wikipedia.org/wiki/Dihedral\_group#Other\_definitions

**Definition 2.10** (FREE PRODUCT WITH AMALGAMATION):

### **3 Geometry Definitions**

Most of these constructions are the same up to homotopy.

**Definition** 3.1 (N-SPHERE, HYPERSPHERE):  $S^n$ . Generalizes a unit circle ( $S^1$  — a circle in  $\mathbb{R}^2$ ) and a unit sphere ( $S^2$  — a sphere in  $\mathbb{R}^3$ ). Given  $\|\cdot\|$  is a norm,

$$S^n = \{x \mid ||x \in \mathbb{R}^{n+1}|| = 1\}$$

A unit 0-sphere is a pair of endpoints of an interval [-1,1] of the real line.

**Definition** 3.2 (N-DISK, N-BALL):  $\mathcal{D}^n$ . A disk (a closed ball) is a region contained inside  $\mathcal{S}^n$ .  $\mathcal{D}^1$  is a line segment (in  $\mathbb{R}^1$ ).

$$\mathcal{D}^n = \{ x \mid ||x \in \mathbb{R}^n|| \le 1 \}$$

A **ball** usually refers to a disk minus its boundary, an **open ball**, which can be defined using < instead of  $\le$ .

$$\mathcal{B}_r^n = \{ x \mid ||x \in \mathbb{R}^n|| < r \}$$

**Definition** 3.3 (SPHERE MODULO DISK):

$$S^n = D^n / S^{n-1} = D^n / \partial D^n$$

For example, identifying the ends (a boundary, which in this case is a zero-dimensional sphere) of a line segment  $(\mathcal{D}^1)$  as one point produces a circle  $(\mathcal{S}^1)$  — an object embeddable in  $\mathbb{R}^2$ :

$$S^1 = \mathcal{D}^1 / S^0$$

For a 2-sphere, imagine making a dumpling from a disk-shaped piece of dough. It's not exactly a sphere, but topologically we don't care.

$$\mathcal{S}^2 = \mathcal{D}^2/\mathcal{S}^1$$

**Definition** 3.4 (TORUS):  $\mathcal{T}^n$ .

A 2-torus is a product of two circles. You can also build it my glueing two opposite sides of a square. Remember that a square is homeomorphic to a  $\mathcal{D}^2$ . Let B be a thickened bouquet  $\mathcal{S}^1 \vee \mathcal{S}^1$  (so  $\mathcal{S}^1 \vee \mathcal{S}^1$  is a Deformation Retraction of B).

$$\mathcal{T}^2 = \mathcal{S}^1 \times \mathcal{S}^1 = \mathcal{D}^2 \bigcup_{f: \partial \mathcal{D}^2 \to \mathcal{S}^1 \vee \mathcal{S}^1} B$$

**Definition** 3.5 (DOUBLE TORUS): A donut with two holes. Also known as a genus-two surface. Can be constructed by folding a hexagon.

## 4 Point-set Topology

**Definition** 4.1 (UNIT INTERVAL): A unit interval (or just an interval) I is a subset  $[0..1] \subset \mathbb{R}$  of a real line, which is a popular notation in further homotopy buildup.

**Definition** 4.2 (A GRAPH OF A FUNCTION):  $\Gamma(f)$  - a subset of  $\mathbb{R} \times \mathbb{R}$ 

**Definition** 4.3 (TOPOLOGICAL SPACE): A topological space is a pair  $\langle X, \tau \rangle$ , where X is a set and  $\tau$ , a topology on X, is a collection of subsets ( $\tau \subseteq \mathcal{P}(X)$ ) called open sets, such that:

- $\emptyset \in \tau$ .
- $X \in \tau$ .
- $\tau$  is closed under arbitrary finite intersections.
- $\bullet$   $\tau$  is closed under arbitrary unions. Maybe find cute notation for this.

Posets.

**Definition** 4.4 (TRIVIAL TOPOLOGY): A topological space is called trivial, when the topology on X consists only of  $\emptyset$  and X.

**Definition** 4.5 (DISCRETE TOPOLOGY): A topological space is called discrete, when  $\tau = \mathcal{P}(X)$ .

**Definition** 4.6 (Continuous MAP): Let  $\langle X, \tau \rangle$  and  $\langle Y, \sigma \rangle$  be topological spaces. A map  $f: X \to Y$  is **continuous** if:

$$\forall s \in \sigma, f^{-1}(s) \in \tau$$

In plain English, a map is continuous when a preimage of an open set in Y is an open set in X. C(X,Y) denotes a set of all continuous maps between X and Y.

**Definition** 4.7 (HOMEOMORPHISM): A mapping  $f: X \to Y$  is a homeomorphism if  $\exists g: Y \to X$  s.t.  $X \xrightarrow{f} Y \xrightarrow{g} X \xrightarrow{f} Y$ , when  $g \circ f = id_X$  and  $f \circ g = id_Y$ . It is a continuous map that has a continuous inverse.

**Example** 4.8: *How to see that a map h* :  $[0..1] \rightarrow [0..1]$  *is a homeomorphism?* 

- At least it needs to be monotonous.
- Preserves boundaries.

$$H(([0..1], 0, 1), ([0..1], 0, 1))_{increasing} \cup H(([0..1], 0, 1), ([0..1], 1, 0))_{decreasing}$$

Base of topology and methods of inducing topologies on sets were discussed during Lecture 2.

Bonus. Compare topology to a field of sets to a  $\sigma$ -algebra to a Borel  $\sigma$ -algebra. Discussed during Lecture 5.

#### 4.1 Topology Restrictions

**Definition** 4.9 ( $T_1$  SPACE):

**Definition** 4.10 (HAUSDORFF SPACE):

### 4.2 Quotient Topology

Gluing.

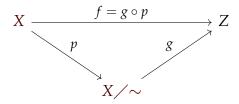
Let  $\langle X, \tau \rangle$  be a topological space and  $\sim$  be an equivalence relation on X.

**Definition** 4.11 (QUOTIENT TOPOGICAL SPACE): By analogy of a set and given  $q: \langle X, \tau \rangle \to \langle X/\sim, \tau_{X/\sim} \rangle$ ,

$$X/\sim = \{[x] : x \in X\}$$
  
$$\tau_{X/\sim} = \{U \subseteq X/\sim | q^{-1}(U) \in \tau\}$$

 $\tau_{X/\sim}$  is constructed this way to ensure q is continuous.

**Theorem** 4.12: Given Z is a topological space, g is a surjective map, p is a quotient map and the following diagram,



*g* is continuous  $\iff$   $f = g \circ p$  is continuous.

**Definition** 4.13 (BOUQET OF SPACES, WEDGE SUM): Glue two spaces by one point.  $A \vee B$ .

### 5 Homotopies Between Continuous Maps

**Definition** 5.1 (Homotopy): Two continuous maps  $f,g:X\to Y$  are homotopic if there is a map called homotopy  $H:X\times [0,1]\to Y$  that *continuously deforms* f to g, denoted  $f\simeq g$  or  $f\overset{H}{\simeq} g$ . In general:

$$X \times [0,1] \xrightarrow{H} Y$$

$$H(x,0) = f(x)$$

$$H(x,1) = g(x)$$

$$H(x,t) = tf(x) + (1-t)g(x)$$

**Example** 5.2:  $1 \stackrel{x^t}{\simeq} x$  when viewed as  $x^0$  and  $x^1$ .

$$X \times [0,1] \xrightarrow{H} Y$$

$$H(x,0) = x^{0}$$

$$H(x,1) = x^{1}$$

$$H(x,t) = x^{t}$$

Another possible homotopy between the same functions is  $t \cdot x + (1 - t) \cdot 1$ , which suggsts that there may be many more of them.

Plots?

**Example** 5.3:  $\{\cdot\} \times [0,1] \to \mathbb{C}$  with  $H(x,t) = e^{2\pi i t}$ 

**Theorem** 5.4: A homotopy between continuous maps is an Equivalence relation.

### 5.1 Contractible Spaces

**Definition** 5.5 (CONTRACTIBILITY): A space is contractible if it is homotopically equivalent to a point (a constant map).

Extra definitions:

- $X \times 0$  is a retraction of CX (cone over X)
- homotopic equivalence to a point

### **Example** 5.6: $\mathbb{R}^n$ is contractible to a point.

$$\mathbb{R}^{n} \times [0,1] \xrightarrow{H} \mathbb{R}^{n}$$

$$H(x,0) = 0$$

$$H(x,1) = x$$

$$H(x,t) = tx$$

**Definition** 5.7 (PATH-CONNECTEDNESS):

**Theorem** 5.8: Any convex set is contractible.

Lemma 5.9: Contractibility does not depend on a choice of a point.

**Definition** 5.10 (STAR-CONVEX SET):

**Theorem** 5.11: A star-convex set is contractible to a point.

$$A \subset \mathbb{R}^n$$
 is (star-)convex  
 $a \in A$   
 $A \times [0,1] \xrightarrow{H} A$   
 $H(x,0) = 0$   
 $H(x,1) = x$   
 $H(x,t) = at + x(1-t)$ 

**Theorem** 5.12: Assuming we know how to build topologies on trees (as in graph theory trees), every finite tree is a contractible topological space.

# 6 Quotient Spaces and Maps

See lectures 2 and 3. Most of this stuff

### 6.1 Quotients and Groups

### 6.2 Cones of Topological Spaces

Brouwer's Fixed Point Theorem was mentioned around here. Bring up the context?.

# 7 Retractions, Deformations and Deformation Retractions

**Definition** 7.1 (RETRACTION):

**Bring up the example with**  $\frac{x}{|x|}$  – discussed along with retractions

**Definition** 7.2 (DEFORMATION): A continuous mapping is a deformation into a subspace  $A \subset X$  when

•  $H_0 = id_X$ 

•  $\forall t \in [0..1], H_t(A) \subset A$ 

**Definition** 7.3 (DEFORMATION RETRACTION):

### 8 Classes of Homotopy Maps

See lectures 4 and 5.

## 8.1 Mappings of $S^1$ to Itself

$$\pi_1 \mathcal{S}^1 = [(\mathcal{S}^1, \cdot), (\mathcal{S}^1, \cdot)]$$

## 9 Homotopy Types

Lecture 7.

*Let*  $\langle X, \tau \rangle \langle Y, \sigma \rangle$ .

A Homotopy Type is a synonym to homotopy equivalences between spaces. It is **not** the homotopy type as in Homotopy Type Theory.

**Claim** 9.1: Homeomorphisms and topological spaces form a category.

**Claim** 9.2: Homeomorphisms and topological spaces form a group (for all morphisms with one side fixed).

Homeo(X) group of all identity maps of X g is a retraction of Y to X on g(x), g is also left inverse of f  $g \circ f \simeq id_x$ 

**Definition** 9.3 (Homotopic Equivalence): A mapping  $f: X \to Y$  is a homotopic equivalence when  $\exists g: Y \to X$  such that  $g \circ f \simeq id_X$  and  $f \circ g \simeq id_Y$ 

**Theorem** 9.4: Homotopy equivalence between spaces is an Equivalence relation.

Proof. ...

**Example** 9.5:  $f: X \to \cdot$  is a homotopic equivalence to a point  $\iff X$  is contractible.  $H_0 = id \simeq H_1 = f$ 

**Claim** 9.6: Holes matter!  $\infty \simeq B \simeq o_-O$ , look at this graphically, not symbolically.

**Example** 9.7: Glueing of a disk to some space using quotienting. *expanding/reducing?* 

**Claim** 9.8: Homotopy Theory cares only about spaces glued from a finite number of  $S^n$  spaces, see Shape Theory.

**Definition** 9.9 (SIMPLE HOMOTOPY TYPE): A homotopy type is simple if you use a finite number of expansions and reductions

**Claim** 9.10: This is a cue to working with simplicial complexes.

#### ...Interlude ...

 $f: X \to Y$ , f is a proper mapping,  $f^{-1}(compact)$  is a compact Define compact

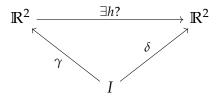
Defining proper homotopy equivalences.

 $\mathbb{R}^n \to \cdot$  is an improper homotopy. Compactness is a bitch.

### 10 Homeomorphisms

A fact about a group of homeomorphisms of an interval: homotopy  $h_t = tf + (1 - t)g$  monotonicity  $\iff H^+, H^-$  are convex subset in a vector space C(I, I) of all continuous functions. *Prove it*.

**Example** 10.1: Given curves  $\gamma$  and  $\delta$  that each enclose some surface. Is there a homeomorphism  $h: \mathbb{R}^2 \to \mathbb{R}^2$  s.t.  $h(\gamma) = \delta$ ?



**Example** 10.2: Given  $f(x) = x^2$ . Build a homeomorphism  $h: \mathbb{R}^2 \to \mathbb{R}^2$  s.t.  $h(y = 0) = \Gamma(f)$ .

$$h(x,y) \mapsto (x, x^2 + y)$$
$$h^{-1}(x,y) \mapsto (x, -x^2 + y)$$
$$h^{-1} \circ h = id_{\mathbb{R}^2}$$

Generalizing,

$$h(x,y) \mapsto (x, f(x) + y)$$
$$h^{-1}(x,y) \mapsto (x, -f(x) + y)$$
$$h^{-1} \circ h = id_{\mathbb{R}^2}$$

**Example** 10.3: Given a graph of a continuous function  $f : [a, b] \to \mathbb{R}$ , f(a) = f(b) = 0,  $m = \min f(x)$ ,  $M = \max f(x)$ ,  $\epsilon > 0$  that lies within a known rectangle  $K = [a, b] \times [m - \epsilon, M + \epsilon]$ .

Prove,  $\exists h : \mathbb{R}^2 \to \mathbb{R}^2$  (*h* is a homeomorphism), s.t.

- $h([a,b] \times 0) = \Gamma(f)$
- $h(z) = z \ \forall z \in \mathbb{R}^2 \setminus K$ .

This is how we get to locally deform curves on a plane.

**Definition** 10.4 (ISOTOPY): A homotopy  $H: X \times [0..1] \to X$  s.t.  $\forall t, H_t$  is a homeomorphism is an isotopy.

**Lemma** 10.5 (ALEXANDER'S THEOREM): Any homeomorphism of a unit interval (or a disk, or any convex set) which is fixed on its boundary  $h/\partial \mathcal{D}^2 = id_{\mathcal{D}^2}$  is isotopic to  $id_I$  with an isotopy that is also fixed on is boundary.

E.g. there is a homeomorphism that maps a rendering of a letter A inside a disk to rendering of a letter R.

Proof. ALEXANDER'S TRICK.

 $H: \mathcal{D}^2 \times [0,1] \to \mathcal{D}^2$  is an isotopy.

Important result: if you have two continuous deformations of a unit disk, you can have a third continuous deformations between them. It is possible to use differentiability.

See also, Cerf's theorem, https://en.wikipedia.org/wiki/Cerf\_theory and Smale's theorem (don't confuse with Poincare conjecture).

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### 11 Glueing and Complexes

We were building up Homotopy Theory definitions to work with CW complexes.

**Definition** 11.1 (CW COMPLEX): Also called a **cell complex**. A space, created by glueing simple spaces together.

Quotienting is the workhorse of glueing. Use quotient topology to set up topologies after glueing two spaces.

**Example** 11.2: Identifying all points from a boundary of a disk (set *X*) and a single point from set *Y* as a single equivalence class.

**Definition** 11.3 (GLUEING): Notation:  $X \bigcup_f A$ 

Big idea: geometric objects have combinatorial structure, there is a lot of machinery that lets you "dumb down" to those structures to simplify working with objects equivalent up to a homotopy.

Foreshadowing: Whitehead theorem.

**Example** 11.4: Let's build a cube. Its vertices are 8 zero-dimensional disks:  $\mathcal{D}^0$ , edges are 1-dimensional disks, faces are 2-dimensional disks.

(NB spaces like  $K^1$  are enough to model graphs in topology)

$$K^{0} = \bigsqcup \mathcal{D}_{i}^{0}$$

$$K^{1} = \left(\bigsqcup \mathcal{D}_{i}^{1}\right) \bigcup_{\phi_{i}} K^{0}$$

$$K^{2} = \left(\bigsqcup \mathcal{D}_{i}^{2}\right) \bigcup_{\psi_{i}} K^{1}$$

 $K^i$  is an i-th skeleton. *Interiors* of disks are called **cells**.

Claim 11.5: An integer line is a cell complex.

**Definition** 11.6 (CW COMPLEX): • C is for closure-finite (closure of each cell is contained in a union of finitely many cells)

• W is for weak topology (roughly, every  $K^i$  has a quotient topology)

# 12 Homotopy Groups

Notation abuse: there's actually a difference between  $\circ$  (map composition) and  $\star$  (group operation, which is denoted as  $\circ$  instead!)

Definition 12.1 (FUNDAMENTAL GROUP): https://en.wikipedia.org/wiki/Homotopy\_group

$$\pi_1(X, x_0) = [(S^1, \cdot), (X, x_0)] = [(I, \partial I), (X, x_0)]$$

where [A, B] are homotopy classes.

The group multiplication is defined as homotopy composition for **spaces equivalent up to a homotopy**:

$$(\alpha \circ \beta)(t) = \alpha(2t)t \in [0, \frac{1}{2}, \beta(2t-1)t \in [\frac{1}{2}, 1]]$$

Neutral element suggestions: constant mapping doesn't work.

Let's use deformations up to a homotopy:

$$[\alpha] \circ [\beta] = [\alpha \circ \beta]$$

$$[\alpha] = [\alpha'] \implies \alpha \simeq \alpha'$$

Now prove it's actually a group

Theorem 12.2:

$$[\alpha] \circ [\epsilon] = [\epsilon] \circ [\alpha] = [\alpha]$$

*Proof.* In other words,  $\alpha \circ \epsilon \simeq \alpha$ 

Big idea: we're handling an equivalence class by introducing an extra parameter for a class deformation, and defining operations as parametrized homotopies. Lesson: paying for definitions is hard.

. . .

Theorem 12.3: This has been discussed earlier

$$\pi_1(\mathcal{S}^1) \cong \mathbb{Z}$$

#### 12.1 Homotopy Groups of Spheres

The i-th homotopy group  $\pi_i(S^n)$  summarizes the different ways in which the i-dimensional sphere  $S^i$  can be mapped continuously (in homotopical sense, i.e. maps up to a homotopy) into the n-dimensional sphere  $S^n$ .

### 12.2 Computing the Fundamental Group

Problems: given a space, compute its group. Given a group, compute its space.

Two instruments: Cover (a special case of a fibration) and van Kampen's Theorem

#### Theorem 12.4: van Kampen

https://en.wikipedia.org/wiki/Seifert-van\_Kampen\_theorem we were discussing the combinatorial definition

Big idea: express the structure of the fundamental group through the fundamental groups of two open, path-connected subspaces *A* and *B* that cover *X*.

Let *X* is a path connected space, and *A*, *B* are its subspaces such that  $X = A \cup B$  and  $A \cap B$  are path connected. ( $\bigcup$  is generalizable by a product,  $\times$ )

$$\pi_1(A \times B) = \pi_1 A \times \pi_1 B$$

where  $\times$  is an amalgamated free product.

Categorically: the fundamental group is a terminal object in some category.

Example 12.5:

$$\pi_1(\mathcal{S}^1 \vee \mathcal{S}^1) = \mathbb{Z} \times \mathbb{Z} = \mathcal{F}_2$$

**Example** 12.6: A 2-disk is path connected.

$$\pi_1(\mathcal{D}^2) = 0$$

Example 12.7:

$$\pi_1(\mathcal{S}^2) = 0$$

A and B are both  $\mathcal{D}^2$ .

#### 12.2.1 Computing Fundamental Groups of Surfaces

#### **Example** 12.8: Fundamental group of $\mathcal{T}^2$

This is solvable if you look at the torus as a CW complex— note there are multiple ways to compute a complex for a torus. For example, try using a diagonal of a square.

$$\pi_1 \mathcal{T}^2 = \langle a, b \mid aba^{-1}b^{-1} \rangle = \mathbb{Z} \oplus \mathbb{Z}$$

# 13 Resources

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