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AND PARAMETRIZED MORSE THEORY**



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# HIGHER REIDEMEISTER TORSION AND PARAMETRIZED MORSE THEORY

BY

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**0. Introduction.** This paper constitutes a summary of the author's Ph.D. thesis [K]. Proofs of the results cited here will appear elsewhere. The first section is devoted to outlining a means of passing in a continuous way from the space of pairs  $(M, f)$ , where  $M$  is a compact smooth manifold and  $f$  is a Morse function on  $M$ , into a moduli space for finite cell complexes.

In section two the results of section one are applied in special instances to construct a new invariant which is a parametrized analogue of Reidemeister torsion. This invariant takes values in a certain subquotient of higher algebraic K-groups of the complex numbers.

**1. Manifold bundles and families of cell complexes.** Suppose  $p:E \rightarrow B$  is a bundle over a finite CW complex having compact smooth manifold fibres. Consider a continuous function  $f$  on  $E$  whose restriction to each fibre of  $p$  is a smooth function with no degenerate critical points. Then  $f$  is a family of Morse functions parametrized by points of  $B$ .<sup>1</sup> In the unparametrized case, that is, when  $B$  is a point, a classical procedure [M] shows how to construct from  $f$  a finite cell complex  $Y$  having the homotopy type of  $E$ , in which the number of cells of  $Y$  is equal to the number of critical points of  $f$ .

However, the usual method of assigning the cell complex  $Y$  to the function  $f$  is ambiguous unless extra data is chosen (e.g. a Riemannian metric, local coordinates, deformation retractions etc.). It would therefore be natural to ask whether or not the set of cell complexes associated with a given Morse function forms a contractible space. Unfortunately, this is *not* true for the standard construction [M].

By a different, coordinate free approach we prove,

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<sup>1</sup> It is not always true that such a function always exists on a given bundle  $p:E \rightarrow B$ . A necessary, but not sufficient obstruction when  $B$  is simply connected is that there should be a section of  $p$ .

**Theorem A.** If  $N$  is a smooth manifold and  $f:N \rightarrow \mathbb{R}$  is a Morse function, then there is a contractible space  $C(f)$  which is intrinsically defined in terms of  $N$  and  $f$  and which has the property that each point of  $C(f)$  uniquely determines a cell complex  $Y$  arising from  $f:N \rightarrow \mathbb{R}$ .

Now consider the case when  $B$  is any finite CW complex. We address the question of whether it is possible or not to naturally associate to a manifold bundle  $p:E \rightarrow B$  together with a fibre-wise Morse function  $f:E \rightarrow \mathbb{R}$ , a *bundle of cell complexes* parametrized by points of  $B$ . By this, we mean a fibration  $\pi:Y \rightarrow B$  such that for each  $b \in B$  the fibre  $Y_b = \pi^{-1}(b)$  has the structure of a finite cell complex in such a way that the attaching maps for the cells of  $Y_b$  vary continuously with respect to  $b \in B$ . By the theory of classifying spaces, it turns out that it is sufficient to answer this question in the *universal* case, i.e., for the bundle,

$$p_u:(EG \times \mathfrak{M}(N)) \times_G N \rightarrow B^{\mathfrak{M}}G,$$

where  $N$  is the fibre over the basepoint of  $p$ ,  $G \subseteq \text{Diff}(N)$  is a group of diffeomorphisms,  $EG$  is a free, contractible  $G$ -space,  $\mathfrak{M}(N)$  is the space of Morse functions on  $N$  (with the Whitney  $C^\infty$  topology), and  $B^{\mathfrak{M}}G$  denotes the Borel construction  $EG \times_G \mathfrak{M}(N)$ . Note that this bundle is equipped with a universal fibre-wise Morse function  $f_u$  defined by  $f_u((x,f),n) \doteq f(n)$ . Consequently, the space  $B^{\mathfrak{M}}G$  may be viewed as a classifying space for bundles with Morse functions. A positive answer is then provided by the following:

**Theorem B.** There is a space  $B^CG$  and a forgetful map  $F:B^CG \rightarrow B^{\mathfrak{M}}G$  such that

- (i)  $F$  is a weak homotopy equivalence, and
- (ii) each point  $b \in B^CG$  with  $F(b) = (x,f) \in EG \times_G \mathfrak{M}(N) = B^{\mathfrak{M}}G$  determines a cell complex  $Y_b$  associated to the Morse function  $f:N \rightarrow \mathbb{R}$ , and furthermore,  $Y_b$  varies continuously with respect to  $b \in B^CG$ .

The importance of theorem B is spelled out in the following corollary:

**Corollary.** If  $f: E \rightarrow \mathbb{R}$  is a fibre-wise Morse function on a manifold bundle  $p: E \rightarrow B$ , then it is always possible to perturb  $f$  by a <sup>fibre-wise</sup> homotopy to yield a fibre-wise Morse function  $g$  on  $p: E \rightarrow B$  having the property that there exists a parametrized family of cell complexes  $q: Y \rightarrow B$  which is associated to  $g$ .

We sketch a rough outline of the proof of theorem B. The proof involves constructing a  $G$ -space  $C(N)$ , together with a natural  $G$ -equivariant map  $h: C(N) \rightarrow \mathcal{M}(N)$  which is also a weak equivalence, such that the points of  $C(N)$  determine cell complexes. We may then set  $B^G$  equal to the Borel construction  $EG \times_G C(N)$ . One might *a priori* guess that  $C(N)$  is constructed in a sheaf-like manner from the space of Morse functions  $\mathcal{M}(N)$  by defining the stalk of  $h$  over a Morse function  $f$  to be the space  $C(f)$  of theorem A. However, the assignment  $f \mapsto C(f)$  unfortunately has the property that the cell complexes in  $C(f)$  do not necessarily vary continuously with respect to the parameter  $f \in \mathcal{M}(N)$ . The reason for the discontinuity is that cell complexes in  $C(f)$  arise in part by choosing a set of regular values  $r_1, \dots, r_k$  of  $f$  that separate the collection of critical values (these define level surfaces in  $N$  which separate the critical points). If  $f_t$  is a family of Morse functions, it is possible that the number of distinct critical values of  $f_t$  is different for different  $t$ . Hence the critical values may pass through each other. Consequently, it might not be possible to choose a continuously varying set of regular values  $r_1(t), \dots, r_k(t)$  that separate the critical values of  $f_t$ .

To resolve the discontinuity problem, Igusa's *stratification theorem* [I<sub>2</sub>; chapter III] is applied to the space  $\mathcal{M}(N)$ . Let  $\psi: \mathcal{M}(N) \rightarrow \mathbb{N}$  be the function which assigns to a Morse function  $f$  the difference between its number of critical points and its number of critical values. Then  $\psi$  defines a stratification of  $\mathcal{M}(N)$  by setting  $\mathcal{M}(N)_{(i)} = \psi^{-1}(i)$ . It is not difficult to see that the assignment  $f \mapsto C(f)$  varies continuously if we remain inside a single stratum, for, within a connected component of a stratum, the relative arrangement of the critical values of functions is fixed. In essence, the idea then is to modify the definition of  $C(f)$  so that the cell complexes vary continuously within the closure of a stratum in  $\mathcal{M}(N)$ , and to then apply the stratification theorem to glue all of the strata together.

For a function  $f$  in the closure of a particular stratum, the aforesaid modification of  $C(f)$  is obtained by generalizing the concept of level surface. We choose a collection of oriented

hypersurfaces  $H_\alpha$  having the following properties:

- (i) The  $H_\alpha$  are transverse to the 1-form  $df$ ,
- (ii) The  $H_\alpha$  partition the critical points into subsets so that if  $f$  is in the stratum itself, then the  $H_\alpha$  separate critical points having different critical heights.
- (iii) If  $f$  is in the boundary of a stratum  $\mathfrak{S}$ , we require that the hypersurfaces  $H_\alpha$  are chosen in such a way that a perturbation  $f_t$  of  $f$  into the interior of  $\mathfrak{S}$  can be extended to a perturbation  $H_\alpha(t)$  of hypersurfaces satisfying the condition that  $H_\alpha(t)$  separates the critical heights of  $f_t$ .

**2. Higher Reidemeister torsions.** My interest in associating families of cell complexes to bundles with fibre-wise Morse function arises from the problem of defining a parametrized analogue of the classical R-torsion invariant of Franz, Reidemeister, and de Rham. This question was first raised by Wagoner [Wa].<sup>2</sup>

Let  $\rho: \pi \rightarrow U_r(\mathbb{C})$  be a unitary representation of the fundamental group of a manifold  $M$ . We assume that the homology of  $M$  in the local system defined by  $\rho$  is entirely vanishing; we then say that  $M$  is *acyclic* with respect to  $\rho$  (cf. [Wa]). It is in this context that the classical R-torsion is defined, and it lives in a certain quotient of the first algebraic K-group of  $\mathbb{C}$ .

Let  $k_\rho$  be the kernel of  $\rho$  and set  $\pi_\rho = \pi/k_\rho$ . Let  $M(\pi_\rho)$  denote the infinite monomial matrices with coefficients in  $\pi_\rho$ . Then  $M(\pi_\rho)$  is a subgroup of the stabilized general linear group  $GL(\mathbb{C}) = \lim GL_n(\mathbb{C})$ . Taking classifying spaces and then plus constructions, we get a map  $BM(\pi_\rho)^+ \rightarrow BGL(\mathbb{C})^+$ . Let  $Wh^{p_{i+1}}(\mathbb{C})$  denote the  $i^{\text{th}}$ -homotopy group of the homotopy fibre this map. For  $i = 0$ ,  $Wh^{p_{i+1}}(\mathbb{C})$  is precisely the group in which the classical R-torsion lives.

Now suppose that a smooth manifold bundle  $p: E \rightarrow B$  is given whose fibres are  $\rho$ -acyclic. We assume the structure group of  $p$  has the property that its action on the fibres of  $p$  are basepoint preserving and furthermore has the property that the induced action on fundamental groups is trivial. Suppose that a fibre-wise Morse function  $f$  on  $p$  is given. Choose a Riemannian structure on the fibres of  $p$ . If  $b \in B$ , let  $f_b: E_b \rightarrow \mathbb{R}$  denote the

<sup>2</sup> Wagoner also provides a solution to this problem in the 1-parameter case.

restriction of  $f$  to the fibre of  $p$  over  $b$ . By a *framing*  $\phi_b$  for  $f$  at a point  $b \in B$ , we mean an orthonormal framing for the negative eigenspace of  $D^2f_b$  along the singularities of  $f_b$ . We shall say that  $(f, \phi)$  is a *framed fibre-wise Morse function* on  $p: E \rightarrow B$  if a framing  $\phi_b$  for  $f_b$  at every point  $b \in B$  is given which varies continuously with respect to the parameter space  $B$ .<sup>3</sup>

Consider the case of a  $\rho$ -acyclic bundle over the  $n$ -sphere:  $p: E \rightarrow S^n$ . Suppose a framed fibre-wise Morse function  $(f, \phi)$  is given on  $p$ .

**Theorem C.** (*Higher R-torsion for framed fibre-wise Morse functions*). The triple  $(p, f, \phi)$  determines a well defined element  $\tau^p(p, f, \phi) \in \text{Wh}_{n+1}^\rho(\mathbb{C})$ .

The proof of theorem C is deduced from theorem B together with a construction called *linearization* which allows one to pass from an  $n$ -parameter family of cell complexes to an element of the group  $\text{Wh}_{n+1}^\rho(\mathbb{C})$ . In the unparametrized case  $n = 0$ , this construction coincides with the usual construction of the R-torsion from the cellular chain complex associated to the Morse function  $f$  (assuming that  $f$  is self indexing).

**3. Reidemeister torsions for all  $\rho$ -acyclic bundles.** A still unsettled question is whether it is possible to define invariants  $\tau^p$  for *all*  $\rho$ -acyclic manifold bundles over the  $n$ -sphere. I will briefly mention how one might accomplish this. Let  $\mathfrak{M}^{\text{fr}}(N)$  denote the space of framed Morse functions on  $N$  with the Whitney  $C^\infty$  topology. Then  $\mathfrak{M}^{\text{fr}}(N)$  is a  $G$ -space where  $G$  is the group of diffeomorphisms of  $N$  which preserve the base-point and which induce the identity on fundamental groups. The proof of theorem C above follows from the construction of a homomorphism  $\tau^p: \pi_n(B^{\mathfrak{M}^{\text{fr}}} G) \rightarrow \text{Wh}_{n+1}^\rho(\mathbb{C})$ . Consequently, higher R-torsions can be defined for all bundles over spheres if  $\tau^p$  can be extended to  $\pi_n(BG)$ . Let  $\mathfrak{L}(N)$  be the space of *framed functions* on  $N$ , i.e., functions having only Morse and birth-death singularities together with framings of their critical points  $([I_i])$ . Igusa's *framed function theorem* says that  $\mathfrak{L}(N)$  has connectivity equal to  $\dim(N) - 1$ . Using the  $G$ -action on  $\mathfrak{L}(N)$  defined by precomposition, form the Borel construction  $B^{\mathfrak{L}} G = EG \times_G \mathfrak{L}(N)$ . Then  $B^{\mathfrak{M}^{\text{fr}}} G$  is a subspace of  $B^{\mathfrak{L}} G$ , and the forgetful map  $B^{\mathfrak{L}} G \rightarrow BG$  has

<sup>3</sup> In terms of cell complexes, a framed function defines an explicit Euclidean coordinatization of the cells.

connectivity  $\geq \dim(N)$ . Suppose that  $\tau^p$  can be extended to  $\pi_n(B^{\mathbb{Q}}G)$ . If the dimension of  $N$  is made large by replacing  $N$  with  $N \times D^k$  for  $k \gg n$  (*stabilization*), then the forgetful map  $B^{\mathbb{Q}}G \rightarrow BG$  becomes highly connected and therefore  $\tau^p$  is extendable to  $\pi_n(BG)$  for all  $n$ . In order to construct an extension of  $\tau^p$  to  $\pi_n(B^{\mathbb{Q}}G)$ , it would be sufficient to show how a bundle  $p:E \rightarrow B$  with fibre-wise framed function  $(f, \phi)$  gives rise to a family of cell complexes  $q:Y \rightarrow B$ , where it is now necessary to include Whitehead *elementary collapses* and *elementary expansions* in the transition between the fibres of  $p:E \rightarrow B$ , as is reflected by the existence of birth-death singularities in the fibre-wise restrictions of  $f$ . In a future paper with K. Igusa [I-K], this program will be undertaken.<sup>4</sup>

**4. A remark on the machinery employed.** The proofs in [K] apply the language of Waldhausen's theory of *categories with cofibrations and weak equivalences* [W], which enlarges the class of categories for which one can define K-theory. We use a particular model of Waldhausen's of algebraic K-theory of a space called *the expansion space*, which is a type of moduli space for cell complexes [I-W]. The primary issue in the proof of theorem C is to pass continuously from the moduli space of Manifold, framed Morse function pairs (i.e.  $B^{\mathfrak{M}^r}G$ ) into the expansion space. We then show how to linearize from the expansion space into the algebraic K-theory of the complex numbers. The higher R-torsion is, by definition, the composition of these two constructions.

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<sup>4</sup>added remark: K. Igusa and I have recently shown by other methods how define higher torsion invariants for all  $\rho$ -acyclic manifold bundles.