SPACE OF NONNEGATIVELY CURVED METRICS AND PSEUDOISOTOPIES

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Abstract. Let \( V \) be an open manifold with complete nonnegatively curved metric such that the normal sphere bundle to a soul has no section. We prove that the souls of nearby nonnegatively curved metrics on \( V \) are smoothly close. Combining this result with some topological properties of pseudoisotopies we show that for many \( V \) the space of complete nonnegatively curved metrics has infinite higher homotopy groups.

1. Introduction

Throughout the paper “smooth” means \( C^\infty \), all manifolds are smooth, and any set of smooth maps, such as diffeomorphisms, embeddings, pseudoisotopies, or Riemannian metrics, is equipped with the smooth compact-open topology.

Let \( \mathcal{R}_{K \geq 0}(V) \) denote the space of complete Riemannian metrics of nonnegative sectional curvature on a connected manifold \( V \). The group \( \text{Diff} \ V \) acts on \( \mathcal{R}_{K \geq 0}(V) \) by pullback. Let \( \mathcal{M}_{K \geq 0}(V) \) be the associated moduli space, the quotient space of \( \mathcal{R}_{K \geq 0}(V) \) by the above \( \text{Diff} \ V \)-action.

Many open manifolds \( V \) for which \( \mathcal{M}_{K \geq 0}(V) \) is not path-connected, or even has infinitely many path-components, were constructed in \cite{KPT05, BKS11, BKS, Otta}. On the other hand, it was shown in \cite{BH} that \( \mathcal{R}_{K \geq 0}(\mathbb{R}^2) \) is homeomorphic to the separable Hilbert space, and the associated moduli space \( \mathcal{M}_{K \geq 0}(\mathbb{R}^2) \) cannot be separated by a closed subset of finite covering dimension.

Recall that any open complete manifold \( V \) of \( K \geq 0 \) contains a compact totally convex submanifold without boundary, called a soul, such that \( V \) is diffeomorphic to the interior of a tubular neighborhood of the soul \cite{CG72}. We call a connected open manifold indecomposable if it admits a complete metric of \( K \geq 0 \) such that the normal sphere bundle to a soul has no section.

Let \( N \) be a compact manifold (e.g. a tubular neighborhood of a soul). A key object in this paper is the map \( \iota_N: P(\partial N) \to \text{Diff} \ N \) that extends a pseudoisotopy from a fixed collar neighborhood of \( \partial N \) to a diffeomorphism of \( N \) supported in

2000 Mathematics Subject classification. Primary 53C20, Secondary 57N37, 19D10. Keywords: nonnegative curvature, soul, pseudoisotopy, space of metrics, diffeomorphism group.
the collar neighborhood. Here \( P(\partial N) \) and \( \text{Diff} N \) are the topological groups of pseudoisotopies of \( \partial N \) and diffeomorphisms of \( N \), respectively, see Section 5 for background. Let \( \pi_j(\iota_N) \) be the homomorphism induced by \( \iota_N \) on the \( j \)th homotopy group based at the identity. We prove the following.

**Theorem 1.1.** Let \( N \) be a compact manifold with indecomposable interior. Then for every \( h \in \mathfrak{R}_{K \geq 0}(\text{Int} N) \) and each \( k \geq 2 \), any \( m \)-generated subgroup of \( \ker \pi_{k-1}(\iota_N) \) is a quotient of an \( m \)-generated subgroup of \( \pi_k(\mathfrak{R}_{K \geq 0}(\text{Int} N), h) \).

Prior to this result there has been no tool to detect nontrivial higher homotopy groups of \( \mathfrak{R}_{K \geq 0}(V) \).

We make a systematic study of \( \ker \pi_j(\iota_N) \) and find a number of manifolds for which \( \ker \pi_j(\iota_N) \) is infinite and \( \text{Int} N \) admits a complete metric of \( K \geq 0 \). Here is a sample of what we can do:

**Theorem 1.2.** Let \( U \) be the total space of one of the following vector bundles:

1. the tangent bundle to \( S^{2d} \), \( CP^d \), \( HP^d \), \( d \geq 2 \), and the Cayley plane,
2. the Hopf \( \mathbb{R}^4 \) or \( \mathbb{R}^3 \) bundle over \( HP^d \), \( d \geq 1 \),
3. any linear \( \mathbb{R}^4 \) bundle over \( S^4 \) with nonzero Euler class,
4. any nontrivial \( \mathbb{R}^3 \) bundle over \( S^4 \),
5. the product of any bundle in (1), (2), (3), (4) and any closed manifold of \( K \geq 0 \) and nonzero Euler characteristic.

Then there exists \( m \) such that every path-component of \( \mathfrak{R}_{K \geq 0}(U \times S^m) \) has some nonzero rational homotopy group.

It is well-known that each \( U \) in Theorem 1.2 admits a complete metric of \( K \geq 0 \): For bundles in (3), (4) this follows from [GZ00], and the bundles in (1), (2) come with the the standard Riemannian submersion metrics, see Example 3.3 (2).

We can also add to the list in Theorem 1.2 some \( \mathbb{R}^4 \) and \( \mathbb{R}^3 \) bundles over \( S^5 \) and \( S^7 \) and an infinite family of \( \mathbb{R}^3 \) bundles over \( CP^2 \), which admit a complete metrics of \( K \geq 0 \) thanks to [GZ00] and [GZ11], respectively. Other computations are surely possible. In fact we are yet to find \( N \) with indecomposable interior and such that \( \iota_N \) is injective on all homotopy groups; the latter does happen when \( N = D^n \), see Remark 4.6.

We are unable to compute \( m \) in Theorem 1.2. Given \( U \) we find \( k \geq 1 \) such that for every \( l \gg k \) there is \( \sigma \in \{0, 1, 2, 3\} \) for which the group \( \pi_k \mathfrak{R}_{K \geq 0}(U \times S^{l+\sigma}) \otimes \mathbb{Q} \) is nonzero. Here \( k \) and the bound “\( l \gg k \)” are explicit, but \( \sigma \) is not explicit. The smallest \( k \geq 1 \) for which we know that the group is nonzero is \( k = 7 \), which occurs when \( U \) is the total space of a nontrivial \( \mathbb{R}^3 \) bundle over \( S^4 \).

We do not yet know how to detect nontriviality of \( \pi_k \mathfrak{M}_{K \geq 0}(V), k \geq 1 \). The nonzero elements in \( \pi_k \mathfrak{R}_{K \geq 0}(U \times S^m) \) given by Theorem 1.2 lie in the kernel of the \( \pi_k \)-homomorphism induced by the quotient map \( \mathfrak{R}_{K \geq 0}(U \times S^m) \rightarrow \mathfrak{M}_{K \geq 0}(U \times S^m) \).
Structure of the paper

In Section 2, we outline geometric ingredients of the proof with full details given in Section 3. Theorem 1.1 is proved in Section 4. In Section 9, we derive the results on $\ker \pi_j(\iota_N)$, and prove Theorem 1.2. The proof involves various results on pseudoisotopy spaces occupying the rest of the paper; many of these results are certainly known to experts, but often do not appear in the literature in the form needed for our purposes. Theorems 9.4 and Proposition 9.17 are key ingredients in establishing nontriviality of $\ker \pi_j(\iota_N)$.

Acknowledgments

We are thankful to Ricardo Andrade for a sketch of Theorem 6.1, and to John Klein for Remark 4.6. The first two authors are grateful for NSF support: DMS-1105045 (Belegradek), DMS-1206622 (Farrell). The third author was supported in part by a Discovery grant from NSERC.

2. Geometric ingredients of Theorem 1.1

Open complete manifolds of $K \geq 0$ enjoy a rich structure theory. The soul construction of [CG72] takes as the input a basepoint of a complete open manifold $V$ of $K \geq 0$, and produces a compact totally convex submanifold $S$ without boundary, the so-called soul of $g$, such that $V$ is diffeomorphic to the total space of the normal bundle of $S$.

Different basepoints sometimes produce different souls, yet any two souls can be moved to each other by an ambient diffeomorphism that restricts to an isometry on the souls, see [Sha74]. On the other hand, the diffeomorphism type and the ambient isotopy type of the soul may depend on the metric, see [Bel03, KPT05, BKS11, BKS, Otta, Ottb].

The soul construction involves asymptotic geometry so there is no a priori reason to expect that the soul will depend continuously on the metric varying in the smooth compact-open topology. We resolve this by imposing the topological assumption that $V$ is indecomposable meaning that $V$ admits a complete metric of $K \geq 0$ such that the normal sphere bundle to a soul has no section. This occurs if the normal bundle to a soul has nonzero Euler class, see Section 3 for other examples. Also in Section 3, we explain that any indecomposable manifolds $V$ has the following properties:

(i) Any metric in $\mathcal{R}_{K \geq 0}(V)$ has a unique soul, see [Yim90].
(ii) If two metrics lie in the same path-component of $\mathcal{R}_{K \geq 0}(V)$, then their souls are diffeomorphic, see [KPT05], and ambiently isotopic [BKS11].
(iii) The souls of any two metrics in $\mathcal{R}_{K \geq 0}(V)$ have nonempty intersection.
(iv) The normal sphere bundle to a soul of any metric in $\mathcal{R}_{K \geq 0}(V)$ has no section. In particular, if $S$ is a soul in $V$, then $\dim(V) \leq 2\dim(S)$.

If $Q$ is a compact smooth submanifold of $V$, we let $\text{Emb}(Q, V)$ denote the space of all smooth embeddings of $Q$ into $V$. By the isotopy extension theorem the $\text{Diff}(V)$-action on $\text{Emb}(Q, V)$ by postcomposition is transitive on each path-component,
and its orbit map is a fiber bundle, see \cite{Pal60, Cer61}. The fiber over the inclusion $Q \hookrightarrow V$ is $\text{Diff}(V, \text{rel} \, Q)$, the subgroup of the diffeomorphisms that fix $Q$ pointwise.

The group $\text{Diff} \, Q$ acts freely on $\text{Emb}(Q, V)$ by precomposing with diffeomorphisms of $Q$. Let $\mathcal{X}(Q, V)$ denote the orbit space $\text{Emb}(Q, V)/\text{Diff} \, Q$ with the quotient topology; the orbit map is a locally trivial principal bundle, see \cite{GRV14}. Let $\mathcal{X}(V) = \bigsqcup Q \mathcal{X}(Q, V)$, the space of compact submanifolds of $V$ with smooth topology. Here is the main geometric ingredient of this paper.

\textbf{Theorem 2.1.} If $V$ is indecomposable, then the map $\mathcal{R}_{K \geq 0}(V) \to \mathcal{X}(V)$ that associates to a metric its unique soul is continuous.

The proof is a modification of arguments in \cite{KPT05, BKS11}. We need a version of Theorem 2.1 in which the soul is replaced by its tubular $r$-neighborhood.

\textbf{Corollary 2.2.} If $V$ is indecomposable and $C \subset \mathcal{R}_{K \geq 0}(V)$ is a compact subset, let $r > 0$ be a number that is smaller than the normal injectivity radius to the soul of any metric in $C$. Then the map $C \to \mathcal{X}(V)$ that associates to a metric the closed $r$-neighborhood of its soul is continuous.

Recall that an integral cohomology class is called spherical if it does not vanish on the image of the Hurewicz homomorphism. In many of our examples the normal bundle to the soul has spherical Euler class, which forces the soul to have infinite normal injectivity radius:

\textbf{Corollary 2.3.} Let $V$ be an open complete manifold of $K \geq 0$ such that the Euler class of the normal bundle to a soul is spherical. Then the unique soul of $V$ has infinite normal injectivity radius, and for each $r > 0$ the map $\mathcal{R}_{K \geq 0}(V) \to \mathcal{X}(V)$ associating to a metric the $r$-neighborhood of a unique soul is continuous.

\textbf{Proof.} Since the normal Euler class is spherical, the normal injectivity radius is infinite by a result of Guijarro-Schick-Walschap in \cite{GSW02}. Since the Euler class is nonzero, $V$ is indecomposable. By Theorem 2.1 the soul varies smoothly with the metric, and hence so does its $r$-neighborhood. \hfill $\square$

3. \textbf{Continuity of souls for indecomposable manifolds}

Throughout this section we assume that $V$ is indecomposable. Let us first justify the claims (i)–(iv) of Section 2.

If a metric $g \in \mathcal{R}_{K \geq 0}(V)$ has a two distinct souls, then by a result of Yim \cite{Yim90} the souls are contained in an embedded submanifold, the union of pseudosouls, that is diffeomorphic to $\mathbb{R}^l \times S$ where $l > 0$, where any soul is of the form $\{v\} \times S$. In particular, the normal bundle to any soul of $g$ has a nowhere zero section, so $V$ cannot be indecomposable. This implies (i).
The claim (ii) is proved in Lemma 3.1 and Remark 3.2 of [BKS11] building on an argument in [KPT05]. To prove (iii) and (iv) consider two vector bundles ξ, η with closed manifolds as bases and diffeomorphic total spaces. The associated unit sphere bundles S(ξ), S(η) are fiber homotopy equivalent, see [BKS11] Proposition 5.1. By the covering homotopy property a homotopy section of a fiber bundle is homotopic to a section; thus having a section is a property of the fiber homotopy type. Hence if ξ has a nowhere zero section, then so does η. If the zero sections of ξ, η are disjoint in their common total space, then the zero section of η gives rise to a homotopy section of S(ξ), and hence to a nowhere zero section of ξ. These remarks imply (iii) and (iv).

Proof of Theorem 2.1. Since $\mathcal{K}_{\geq 0}(V)$ is metrizable, it suffices to show that if the metrics $g_j$ converge to $g$ in $\mathcal{K}_{\geq 0}(V)$, then their (unique) souls converge in $\mathcal{X}(Q, V)$. Let $S_j$, $S$ be souls of $g_j$, $g$, respectively. By Lemma 3.1 below it suffices to show that $S_j$ converges to $S$ in the $C^0$ topology. Arguing by contradiction pass to a subsequence such that each $S_j$ lies outside some $C^0$ neighborhood of $S$. Let $p_j$, $p$ denote the Sharafutdinov retractions onto $S_j$, $S$ for $g_j$, $g$, and let $\tilde{g}_j$, $\tilde{g}$ denote the metric on $S_j$, $S$ induced by $g_j$, $g$, respectively. By [BKS11] Lemma 3.1 $p_j|S_j: S \to S_j$ is a diffeomorphism for all large $j$, and the pullback metrics $(p_j|S_j)^*\tilde{g}_j$ converge to $\tilde{g}$ in the $C^0$ topology. In particular, the diameters of $\tilde{g}_j$ are uniformly bounded. Note that each $S_j$ intersects $S$ else $p_j|S_j$ would give rise to a nowhere zero section of the normal bundle to $S$. Let $U$ be a compact domain in $V$ such that the interior of $U$ contains the closure of $\bigcup S_j \cup S$.

The embedding $p_j|S_j: (S, \tilde{g}_j) \to (V, g)$ can be written as the composition of $\text{id}: (S, \tilde{g}) \to (S, (p_j|S_j)^*\tilde{g}_j)$, the isometric embedding $(S, (p_j|S_j)^*\tilde{g}_j) \to (V, g_j)$ onto a convex subset, and $\text{id}: (V, g_j) \to (V, g)$. Recall that $C^0$ convergence of metrics implies Gromov-Hausdorff, and hence Lipschitz convergence. Hence the above identity map of $S$ has bi-Lipschitz constants approaching 1 as $j \to \infty$. Also there are compact domains $U_j$ in $V$ and homeomorphisms $(U_j, g_j) \to (U, g)$ that converge to the identity and have bi-Lipschitz constants approaching 1, and hence the same is true for $p_j|S_j: (S, \tilde{g}_j) \to (V, g)$.

By the Arzelà-Ascoli theorem $p_j|S$ subconverge to $p_\infty: (S, \tilde{g}) \to (V, g)$, which is an isometry onto its image (equipped with the metric obtained by restricting the distance function of $g$). Compactness of $S$ implies that $p_\infty$ is homotopic to $p_j$ for large $j$. Since $p$ is 1-Lipschitz map $(V, g) \to (S, \tilde{g})$ that is homotopic to the identity of $V$, we conclude that $p \circ p_\infty$ is a 1-Lipschitz homeomorphism. Homotopy self-equivalences of closed manifolds are surjective, so $p \circ p_\infty$ is surjective, and hence compactness of $S$ implies that $p \circ p_\infty$ is an isometry.

Set $f = p_\infty \circ (p \circ p_\infty)^{-1}$. Then $f(S) = p_\infty(S)$ and $p \circ f$ is the identity of $S$. Note that $f(S)$ and $S$ intersect, else $f$ would give rise to a section of the normal sphere bundle to $S$. Fix $x \in f(S) \cap S$. Since every $S_j$ lies outside a $C^0$ neighborhood
Lemma 3.1. Given $V$ on $x$ where (geodesic compact submanifolds of $Z$)

Corollary 3.2. If $g_j$ converge to $g$ in $\mathcal{R}_{K\geq 0}(V)$, then $i_{g_j} \to i_g$ and for each $r \in (0, i_g)$ the submanifolds $N_r(g_j)$ converge to $N_r(g)$ in the smooth topology.

Example 3.3. We end with some examples of indecomposable manifolds.

(1) If the normal bundle to a soul has nonzero Euler class with $\mathbb{Z}$ or $\mathbb{Z}_2$ coefficients, then $V$ is indecomposable because Euler class is an obstruction to the existence of a nowhere zero section.

(2) The simplest method to produce open complete manifolds of $K \geq 0$ is to start with a compact connected Lie group $G$ with a bi-invariant metric, a closed subgroup $H \leq G$, and a representation $H \to O_m$, and note that the Riemannian submersion metric on the quotient $(G \times \mathbb{R}^m)/H$ is a complete metric of $K \geq 0$ with soul $(G \times \{0\})/H$. Any $G$-equivariant Euclidean vector bundle over $G/H$ is isomorphic to a bundle of this form: the representation is given by the $H$-action on the fiber over $eH$. This applies to the tangent bundle $T(G/H)$ with the Euclidean structure.
induced by the $G$-invariant Riemannian metric on $G/H$. When $G/H$ is orientable we conclude that $T(G/H)$ is indecomposable if and only if $G/H$ has nonzero Euler characteristic (because for orientable $\mathbb{R}^n$ bundles over $n$-manifolds the Euler class is the only obstruction to the existence of a nowhere zero section).

(3) To be indecomposable the normal bundle to a soul need not have a nontrivial Euler class. For example, all $\mathbb{R}^3$ bundles over $S^4$, $S^5$, $S^7$ admit a complete metric of $K \geq 0$, see [GZ00] and so do many $\mathbb{R}^3$ bundles over $CP^2$ [GZ11]. Their Euler classes lie in $H^2$ (base; $\mathbb{Z}$) = 0, yet their total spaces are often indecomposable:

(3a) Nontrivial rank 3 bundles over $S^n$, $n \geq 3$ do not have a nowhere zero section else the bundle splits as a Whitney sum of a bundle of ranks 1 and 2 which must be trivial. Thus all nontrivial rank 3 bundles over $S^4$, $S^5$, $S^7$ have indecomposable total spaces.

(3b) By [DW59] oriented isomorphism classes of rank 3 vector bundles over $CP^2$ are in a bijection via $(w_2, p_1)$ with the subset of $H^2(CP^2; Z_2) \times HP^1(CP^2) \cong Z_2 \times Z$ given by the pairs $(0, 4k)$, $(1, 4l + 1)$, $k, l \in Z$, and such a bundle has a nowhere zero section if and only if $p_1$ is a square of the integer that reduces to $w_2$ mod 2. It follows from [GZ11] Theorem 3] that the total space of such a bundle is indecomposable with three exceptions: $k$ is odd, $k$ is a square, or $l$ is the product of two consecutive integers.

(3c) According to [GZ00] Corollary 3.13] there are 88 oriented isomorphism classes of $\mathbb{R}^4$ bundles over $S^7$ that admit complete metrics of $K \geq 0$. Since there are only 12 oriented isomorphism classes of $\mathbb{R}^3$ bundles over $S^7$, we conclude that there are 76 oriented isomorphism classes of $\mathbb{R}^4$ bundles over $S^7$ with indecomposable total spaces. Similarly, [GZ00] Proposition 3.14] implies that there are 2 oriented isomorphism classes of $\mathbb{R}^4$ bundles over $S^5$ with indecomposable total spaces.

(4) The product of any indecomposable manifold with a closed manifold of $K \geq 0$ is indecomposable. Indeed, suppose $V$ is indecomposable with a soul $S$ and $B$ is closed. If $V \times B$ were not indecomposable, then the normal bundle to $S \times B$ in $V \times B$ would have a nowhere zero section. Restricting the section to a slice inclusion $S \times \{\ast\}$ gives a section of the normal bundle of $S$ in $V$.

**Remark 3.4.** The product of indecomposable manifolds need not be indecomposable, and here is an example. Let $\xi$, $\eta$ be oriented nontrivial rank two bundle over $S^2$, $RP^2$ classified by Euler classes in $H^2(S^2; Z) \cong Z$ and $H^2(RP^2; Z) \cong Z_2$. Suppose $e(\xi)[S^2]$ is even. Then the Euler class of $\xi \times \eta$ equals $e(\xi \times \eta) = e(\xi) \times e(\eta)$, which vanishes because the cross product is bilinear. By dimension reasons the Euler class is the only obstruction to the existence of a nowhere zero section of $\xi \times \eta$, so the total space of $\xi \times \eta$ is not indecomposable. In view of (1) above in order to show that $\xi$, $\eta$ have indecomposable total spaces it is enough to give them complete metrics of $K \geq 0$. The case of $\xi$ is well-known: Any plane bundle over $S^2$ can be realized as $(S^3 \times \mathbb{R}^2)/S^1$, see (2) above, so it carries a complete metric of $K \geq 0$. To
prove the same for \( \eta \) we shall identify it with the quotient of \( S^2 \times \mathbb{R}^2 \) by the involution \( i(x, v) = (-x, -v) \) which is isometric in the product of the constant curvature metrics. The quotient can be thought of as \( \gamma \oplus \gamma \) where \( \gamma \) is the canonical line bundle over \( \mathbb{R}P^2 \), so its total Stiefel-Whitney class equals \((1 + w_1(\gamma))^2 = 1 + w_1(\gamma)^2 \neq 1\). Thus \( \gamma \oplus \gamma \) is orientable and nontrivial, and hence it is isomorphic to \( \eta \) which is the only orientable nontrivial plane bundle over \( \mathbb{R}P^2 \).

4. Topological restrictions on indecomposable manifolds

In this section we prove Theorem \ref{thm:main}. Let \( V = \text{Int} \, N \) and start with an arbitrary metric \( h \in \mathcal{R}_{K \geq 0}(V) \). Since \( V \) is indecomposable, \( h \) has a unique soul \( S_h \). By a slight abuse of notation we identify \( N \) with the \( r \)-neighborhood of \( S_h \) for some positive \( r \) that is less than the normal injectivity radius of \( S_h \). Consider the diagram

\[
\begin{array}{c}
* \simeq \text{Diff}(V, \text{rel} \, N) \xrightarrow{\text{id}} \text{Diff} \, V \xrightarrow{\theta_h} \mathcal{R}_{K \geq 0}(V) \\
\Omega \mathcal{K}(N, V) \xrightarrow{\Omega f} \text{Diff} \, N \xrightarrow{q} \text{Emb}(N, V) \xrightarrow{f} B \text{Diff} \, N
\end{array}
\]

The map \( q \) takes an embedding to its image. Note that \( q \) is a principal bundle \cite{GBV14}, and \( f \) denotes its classifying map.

The undashed vertical arrow is given by restricting to \( N \), which is a fiber bundle due to the parametrized isotopy extension theorem. Its fiber over the inclusion \( \text{Diff}(V, \text{rel} \, N) \) is contractible by the Alexander trick towards infinity. (The fibers over other components of \( \text{Emb}(N, V) \) might not be contractible, but we will only work in the component of the inclusion).

Also \( \theta_h \) is the orbit map of a metric \( h \in \mathcal{R}_{K \geq 0}(V) \) under the pullback (left) action of \( \text{Diff} \, V \) given by \( \theta_h(\phi) = \phi^{-1} * h \).

Let \( \pi_j(\theta_h) \) be the homomorphism induced by \( \theta_h \) on the \( j \)th homotopy groups based at the identity map of \( V \), and similarly, let \( \pi_j(q) \), \( \pi_j(f) \), \( \pi_j(\Omega f) \) be the induced maps of homotopy groups based at inclusions.

In the bottom row of the diagram every two consecutive maps form a fibration, up to homotopy. This gives isomorphisms \( \text{Im} \, \pi_k(q) \cong \ker \, \pi_k(f) \cong \ker \, \pi_{k-1}(\Omega f) \).

Fix a collar neighborhood of \( \partial N \), and consider the inclusion \( \iota_N : P(\partial N) \to \text{Diff} \, N \) that extends a pseudoisotopy on the collar neighborhood of \( \partial N \) in \( N \) by the identity outside the neighborhood. Let \( \pi_j(\iota_N) \) be the map induced by \( \iota_N \) on the \( j \)th homotopy group with identity maps as the basepoints. In Theorem \ref{thm:main} below we identify the homomorphisms \( \pi_j(\Omega f) \) and \( \pi_j(\iota_N) \) for each \( j \geq 1 \).

The dashed arrow \( \delta \) sends a metric to the \( r \)-neighborhood of its unique soul. Since souls of some metrics might have normal injectivity radius \( < r \), the map \( \delta \) need not be everywhere defined. In fact, there may not exist a common lower bound for the
normal injectivity radius to a soul of metrics in \( \mathcal{R}_{K \geq 0}(V) \). It is straightforward to see that the above diagram is commutative on the \( \theta_h \)-preimage of the domain of \( \delta \).

Let us first consider the special case when the normal bundle to \( S_h \) is oriented and has a spherical Euler class; then \( \delta \) is everywhere defined and continuous by Corollary 2.3. Hence any subgroup of \( \text{Im} \pi_k(q) \) is a quotient of a subgroup of \( \text{Im} \pi_k(\theta_h) \). We have proved the following result of independent interest:

**Theorem 4.1.** Let \( k \geq 2 \) be an integer, let \( h \in \mathcal{R}_{K \geq 0}(V) \), and let \( N \) be a tubular neighborhood of a soul of \( h \). If the normal bundle to a soul of \( h \) is oriented with spherical Euler class, then any subgroup of \( \ker \pi_{k-1}(\iota_N) \) is a quotient of a subgroup of \( \text{Im} \pi_k(\theta_h) \).

As was mentioned above \( \text{Im} \pi_k(q) \) is isomorphic to \( \ker \pi_{k-1}(\iota_N) \) for \( k \geq 2 \), so Theorem 1.1 would be implied by the following.

**Theorem 4.2.** Let \( V \) be an indecomposable manifold, let \( k \geq 2 \) be an integer, let \( h \in \mathcal{R}_{K \geq 0}(V) \), and let \( N \) be a tubular neighborhood of a soul of \( h \). If \( \text{Im} \pi_k(q) \) contains an \( m \)-generated subgroup \( G \), then \( \text{Im} \pi_k(\theta_h) \) contains an \( m \)-generated subgroup \( \tilde{G} \) that surjects onto \( G \).

Here a group is \( m \)-generated if it can be generated by \( m \) elements. The smallest such \( m \) is the rank of the group. Since rank cannot increase under quotients, the groups \( G, \tilde{G} \) in Theorem 4.2 have the same rank, and in particular, if \( G \) is free abelian, then \( G \cong \tilde{G} \).

To prove Theorem 4.2 start with an \( m \)-generated subgroup \( G \) of \( \text{Im} \pi_k(q) \). Let \( \tilde{G} \) be an \( m \)-generated subgroup of \( \pi_k \text{Diff} V \) that projects to \( G \), and let \( G \) be its image under \( \pi_k(\theta_h) \). Since \( k \geq 2 \), the group \( G \) is abelian and hence finitely presented (this is what may fail if \( k = 1 \)). Let \( Z \) be a finite CW complex built from this presentation with one \( k \)-sphere for each generator and \((k + 1)\)-cells attached according to relators. Then \( Z \) is \((k - 1)\)-connected and \( \pi_k(Z) \cong \tilde{G} \), see [Hat02, Example 4.29]. Moreover, there is a continuous map \( \zeta: Z \to \mathcal{R}_{K \geq 0}(V) \) mapping \( \pi_k(Z) \) isomorphically to \( \tilde{G} \), see e.g. the proof of [Hat02, Lemma 4.31]. We can choose \( \zeta \) so that its restriction to the \( k \)-skeleton factors through \( \theta_h \).

By compactness of \( \zeta(Z) \) there is a number \( \varepsilon \in (0, r) \) that is less than the normal injectivity radius of the soul of any metric in \( \zeta(Z) \). Let \( N_\varepsilon \) be the \( \varepsilon \)-neighborhood of the soul of \( h \). Consider the commutative diagram

\[
\begin{array}{ccc}
\text{Diff} N & \longrightarrow & \text{Emb}(N, V) \\
& & \downarrow \simeq \\
\text{Diff} N_\varepsilon & \longrightarrow & \text{Emb}(N_\varepsilon, V)
\end{array}
\]

\[
\begin{array}{ccc}
\longrightarrow & \longrightarrow & \longrightarrow \\
& & \downarrow \simeq \\
& & \longrightarrow
\end{array}
\]

\[
\begin{array}{ccc}
\chi(N, V) & \longrightarrow & \chi(N_\varepsilon, V)
\end{array}
\]

where the rows are fiber bundles. The downward arrow is given by the restriction to \( N_\varepsilon \), and it is a homotopy equivalence because the restrictions from \( \text{Diff} V \) to \( N \)
and $N_\varepsilon$ are both homotopy equivalences. The upward arrow is given by a canonical extension which can be easily constructed using the identification of $N \setminus \text{Int } N_\varepsilon$ with $\partial N \times [\varepsilon, r]$. Let $G_\varepsilon$ be the projection of $\bar{G}$ in $\pi_k \mathcal{A}(N_\varepsilon, V)$.

Let us define a surjective homomorphism $G_\varepsilon \to G$ that forms a commutative triangle together with the surjections of $G$ onto $G$ and $G_\varepsilon$. Namely, we lift an element of $G_\varepsilon$ to $G$ and then project it to $G$. To see this is well-defined let $\alpha \in G$ project to the trivial element of $G_\varepsilon$. Then by exactness of the homotopy sequence of the bottom row the image of $\alpha$ in $\pi_k \text{Emb}(N_\varepsilon, V)$ comes from $\pi_k \text{Diff } N_\varepsilon$. Pushing that element up to $\pi_k \text{Diff } N$ we conclude that the image of $\alpha$ in $\pi_k \text{Emb}(N, V)$ comes from $\pi_k \text{Diff } N$, which by exactness of the homotopy sequence of the top row means that the image of $\alpha$ in $G$ is trivial.

Now replace $N$ by $N_\varepsilon$ in the diagram of Section 4. Then $\delta$ is continuous on $\zeta(Z)$ by Corollary 2.2. The diagram commutes if we restrict $\theta_h$ to $\theta_h^{-1}(\zeta(Z))$. This defines a surjective homomorphisms $\bar{G} \to G_\varepsilon$. Composing the surjections $\bar{G} \to G_\varepsilon \to G$ proves Theorem 1.1 and hence completes the proof of Theorem 1.1.

**Notation:** If $\pi_j(X)$ is abelian, we let $\pi_j^Q(X) := \pi_j(X) \otimes \mathbb{Q}$ and denote the dimension of this rational vector space by $\dim \pi_j^Q(X)$.

**Remark 4.3.** Tensoring with the rationals immediately implies that under the assumptions of Theorem 1.1 any $m$-dimensional subspace of $\text{Im } \pi_k^Q(q)$ embeds into $\text{Im } \pi_k^Q(\theta_h)$, and under the assumption of Theorem 4.1 any subspace of $\text{Im } \pi_k^Q(q)$ embeds into $\text{Im } \pi_k^Q(\theta_h)$.

**Remark 4.4.** The proof of Theorem 4.2 works as written for $k = 0$ and 1 with slightly different conclusions. For $k = 0$ the conclusion changes to “any subset of $m$ elements in $\text{Im } \pi_0(q)$ is the image of a set of $m$ elements in $\text{Im } \pi_0(\theta_h)$”. For $k = 1$, we prove that if $\text{Im } \pi_1(q)$ contains an $m$-generated subgroup $G$, then $\text{Im } \pi_1(\theta_h)$ contains an $m$-generated subgroup $\bar{G}$ that either surjects onto $G$, or cannot be finitely presented. The alternative “$\bar{G}$ cannot be finitely presented” does not happen if $m = 1$ or if $\text{Im } \pi_1(\theta_h)$ is coherent. (Recall that a group is coherent if all its finitely generated subgroups are finitely presented, e.g. nilpotent groups are coherent).

**Remark 4.5.** One may hope to use Theorem 4.1 to produce infinitely generated subgroups of $\text{Im } \pi_k(\theta_h)$. This is somewhat of an illusion because $\ker \pi_{k-1}(\iota_N)$ is a finitely generated abelian group if $\pi_1(\partial N)$ is finite and $\max \{2k+7, 3k+4\} < \dim N$. Indeed, $\ker \pi_{k-1}(\iota_N)$ can be identified with a subgroup of $\pi_k A(\partial N)$, see (7.1) below, which is finitely generated [Dwy80, Bet86]. Note that all known computations of $\ker \pi_{k-1}(\iota_N)$ are in the above stability range.

**Remark 4.6.** The map $\iota_{D^n}$ is injective for all homotopy groups. Indeed, by Theorem 6.1 the map $f$ in the diagram below is a delooping of $\iota_{D^n}$ provided both maps
are restricted to the identity components. The leftmost horizontal arrow is given
by precomposing with the inclusion, the downward arrow is the inclusion, and the
slanted arrow is their composition

\[ O(n) \xrightarrow{\text{incl}} \text{Diff} D^n \longrightarrow \text{Emb}(D^n, \mathbb{R}^n) \xrightarrow{q} \mathcal{X}(D^n, \mathbb{R}^n) \xrightarrow{f} B\text{Diff} D^n \]

The slanted arrow is a homotopy equivalence: deform an embedding \( e \) so that it
fixes 0 via \( t \rightarrow te(x) + (1 - t)e(0) \), then deform it to the its differential at 0 via
\( s \rightarrow \frac{e(sx)}{s} \), and finally apply a deformation retraction \( GL(n, \mathbb{R}) \to O(n) \). Hence the
left bottom arrow has a section which makes \( q \) trivial on the homotopy groups, so
by exactness \( f \) is injective on homotopy groups.

5. Pseudoisotopy spaces, stability, and involution

A pseudoisotopy of a compact smooth manifold \( M \) is a diffeomorphism of \( M \times I \) that
is the identity on a neighborhood of \( M \times \{0\} \cup \partial M \times I \). Pseudoisotopies of \( M \)
form a topological group \( P(M) \). Let \( P_1(M) \) denote the topological subgroup of \( P(M) \)
consisting of diffeomorphisms of \( M \times I \) that are the identity on a neighborhood of
\( \partial(M \times I) \).

Igusa in \cite{Igu88} discussed a number of inequivalent definitions of pseudoisotopy,
e.g. a pseudoisotopy is often defined as a diffeomorphism of \( M \times I \) that restricts
to the identity of \( M \times \{0\} \cup \partial M \times I \). Igusa in \cite{Igu88, Chapter 1, Proposition 1.3} establishes a weak homotopy equivalence of pseudoisotopy spaces arising from
various definitions, and in particular, the inclusion

\[ P(M) \to \text{Diff}(M \times I, \text{rel } M \times \{0\} \cup \partial M \times I) \]

is a weak homotopy equivalence. The co-domain of the inclusion is homotopy equivalent to a CW complex; in fact for any compact manifold \( L \) with boundary and any
closed subset \( X \) of \( L \), the space \( \text{Diff}(L, \text{rel } X) \) is a Fréchet manifold \cite[Lemma 4.2(ii)]{Yag} and hence is homotopy equivalent to a CW complex \cite[Lemma 2.1]{Yag}. By
contrast, we do not know if \( P(M) \) is homotopy equivalent to a CW complex which
necessitates some awkward arguments in Section 6.

Defining a pseudoisotopy as an element of \( P(M) \) is convenient for our purposes
because it allows for easy gluing: \textit{A codimension zero embedding of closed manifolds}
\( M_0 \to M \) \textit{induces a continuous homomorphism} \( P(M_0) \to P(M) \) \textit{given by extending a}
diffeomorphism by the identity on} \( (M \setminus M_0) \times I \). Similarly, the map \( \iota_N \) defined
in the introduction is a continuous homomorphism.

By Igusa’s stability theorem \cite{Igu88} the stabilization map

\[ \Sigma: P(M) \to P(M \times I) \]
is $k$-connected if $\dim M \geq \max\{2k + 7, 3k + 4\}$. Thus the iterated stabilization is eventually a $\pi_i$-isomorphism for any given $i$. The stable pseudoisotopy space $\mathcal{P}(M)$ is the direct limit $\lim_{m \to \infty} P(M \times I^m)$.

It is known, see the proof of [Hat78 Proposition 1.3], that $\mathcal{P}(-)$ is a functor from the category of compact manifolds and continuous maps to the category of topological spaces and homotopy classes of continuous maps. Also homotopic maps $M \to M'$ induce the same homotopy classes $\mathcal{P}(M) \to \mathcal{P}(M')$. Every $k$-connected map $M \to M'$ induces a $(k - 2)$-connected map $\mathcal{P}(M) \to \mathcal{P}(M')$ [Igu Theorem 3.5].

The space $P(M)$ has an involution given by $f \mapsto \bar{f}$, where

$$\bar{f}(x, t) = r(f(f^{-1}(x, 1), 1 - t)) \quad \text{and} \quad r(x, t) = (x, 1 - t),$$

see [Vog85] p.296. We write the induced involution of $\pi_i P(M)$ as $x \mapsto \bar{x}$.

Since $P(M)$ is a topological group, the sum of two elements in $\pi_i P(M)$ is represented by the pointwise product of the representatives of the elements $\text{Spa66 Corollary 1.6.10}$. Hence the endomorphism of $\pi_i P(M)$ induced by the map $f \mapsto f \circ \bar{f}$ is given by $x \mapsto x + \bar{x}$.

Note that the image of the map $f \mapsto f \circ \bar{f}$ lies in $P_1(M)$. It follows that any element $x + \bar{x} \in \pi_i P(M)$ is in the image of the inclusion induced homomorphism $\pi_i P_1(M) \to \pi_i P(M)$ for if $f$ represents $x$, then $x + \bar{x}$ is represented by $f \circ \bar{f}$. For future use we record the following lemma.

**Lemma 5.2.** Let $M$ be a compact manifold with boundary, let $i$ be an integer with $\dim(M) \geq \max\{2i + 7, 3i + 4\}$, and let $\eta_i^m$ be the endomorphism of $\pi_i^Q P(M \times I^m)$ induced by the map $f \mapsto f \circ \bar{f}$.

1. If $x \in \pi_i P(M)$ has infinite order, then $x + \bar{x} \in \pi_i P_1(M)$ and $\Sigma x + \Sigma \bar{x} \in \pi_i P_1(M \times I)$ cannot both have finite order.

2. $\pi_i^Q \mathcal{P}(M)$ embeds into $\text{Im} \eta_i^m \oplus \text{Im} \eta_i^{m+1}$. In particular, there is $\varepsilon \in \{0, 1\}$ such that $2 \dim \text{im} \eta_i^{m+\varepsilon} \geq \dim \pi_i^Q \mathcal{P}(M)$.

**Proof.** (1) The map $f \mapsto \bar{f}$ homotopy anti-commutes with the stabilization map $\bar{f}$, as proved in [Hat78 Appendix I]. By assumption $i$ is below Igusa’s stability range so $\Sigma$ is a $\pi_i$-isomorphism, and $\pi_i P(M)$ contains an infinite order element $x$. Then either $x + \bar{x}$ or $\Sigma x + \Sigma \bar{x}$ has infinite order for otherwise

$$2\Sigma x = \Sigma x + \Sigma \bar{x} + \Sigma x - \Sigma \bar{x} = \Sigma x + \Sigma \bar{x} + \Sigma (x + \bar{x})$$

would have finite order, contradicting $\pi_i$-injectivity of $\Sigma$.

(2) Let $\Sigma \ker \eta_i^m$ denote the image of $\ker \eta_i^m$ under the $\pi_i^Q$-isomorphism induced by $\Sigma$. The intersection of $\ker \eta_i^{m+1}$ and $\Sigma \ker \eta_i^m$ is trivial, if for $x = -\bar{x}$ and $\Sigma x = -\Sigma \bar{x}$, then $\Sigma x = -\Sigma \bar{x} = \Sigma x$ so that $\Sigma x = 0$. Thus $\ker \eta_i^m$ injects into $\text{Im} \eta_i^{m+1}$, and the claim follows by observing that $\pi_i^Q \mathcal{P}(M) \cong \ker \eta_i^m \oplus \text{Im} \eta_i^m$. □
6. Pseudoisotopies and the space of submanifolds

Let $\text{Diff}_0 M, P_0(M)$ denote the identity path-components of $\text{Diff} M, P(M)$, respectively. Given a submanifold $X$ of $Y$ let $\text{Emb}_0(X,Y)$ denote the component of the inclusion in the space of embeddings of $X \to Y$, and let $\Omega_0 X(Y, Y)$ be the component of the constant loop based at the inclusion.

If $f: E \to B$ is a continuous map and $E_f \to B$ is the corresponding standard fibration with a fiber $F$, then the associated homotopy fiber map $F \to E$ is the composition of the inclusion $F \to E_f$ with the standard homotopy equivalence $E_f \to E$.

**Theorem 6.1.** Let $M$ be a compact manifold with nonempty boundary. Suppose $U$ is obtained by attaching $\partial M \times [0,1)$ to $M$ via the identity map of the boundary. Let $l: \Omega_0 X(M,U) \to \text{Diff} M$ be the homotopy fiber map associated with the map $\text{Diff} M \to \text{Emb}(M, U)$ given by postcomposing diffeomorphisms with the inclusion. Then there is a weak homotopy equivalence $\phi: \Omega_0 X(M,U) \to P_0(\partial M)$ such that $\iota_M \circ \phi$ is homotopic to the restriction of $l$ to $\Omega_0 X(M,U)$.

**Proof.** Let $M_0$ be the complement of an open collar of $\partial M$ in $M$. Consider the following commutative diagram:

\[
\begin{array}{ccc}
\text{Diff}_0(M) & \xrightarrow{i} & \text{Emb}_0(M,U) \\
\downarrow{r} & & \downarrow{s} \\
\text{Emb}_0(M_0, \text{Int} M) & \xrightarrow{j} & \text{Emb}_0(M_0,U).
\end{array}
\]

Here $r$ and $s$ are given by restriction to $M_0$, while $i$ and $j$ is induced by precomposing with the inclusion $M \hookrightarrow U$, and postcomposing with the inclusion $\text{Int} M \hookrightarrow U$.

First we show that $s$ is a homotopy equivalence. Let us factor the restriction $\text{Diff}_0 U \to \text{Emb}_0(M_0,U)$ as the restriction $\text{Diff}_0 U \to \text{Emb}_0(M,U)$ followed by $s$. By the parametrized isotopy extension theorem [Pal60, Cer61] the above restrictions are fiber bundles with fibers $\text{Diff}_0(U,\text{rel} M_0)$, $\text{Diff}_0(U,\text{rel} M)$, respectively. The fibers are contractible by the Alexander trick towards infinity, so $s$ is a homotopy equivalence.

The map $j$ is also a homotopy equivalence. Note that the space of smooth embeddings of a compact manifold into an open manifold is an ANR because it is an open subset of a Fréchet manifold of all smooth maps between the manifolds. Hence the domain and codomain of $j$ are homotopy equivalent to CW complexes and it suffices to show that $j$ is a weak homotopy equivalence. This easily follows from the existence of an isotopy of $U$ that pushes a given compact subset into $\text{Int} M$, e.g. given a map $S^k \to \text{Emb}_0(M_0,U)$ based at the inclusion we can use the isotopy
to push the adjoint \( S^k \times M_0 \to U \) of the above map into \( \text{Int} M \) relative to the inclusion, so \( j \) is \( \pi_k \)-surjective, and injectivity is proved similarly.

By the parametrized isotopy extension theorem the map \( r \) is a fiber bundle, and its fiber \( F_r \) over the inclusion equals the space of diffeomorphisms of \( M \setminus \text{Int}(M_0) \) that restrict to the identity of \( \partial M_0 \) and lie in \( \text{Diff}^0 M \). The inclusion

\[
P(\partial M) \cap \text{Diff}^0 M \to F_r
\]

is a weak homotopy equivalence \([\text{Igu}\, 88, \text{Chapter 1, Proposition 1.3}]\). The space \( F_r \) is a Fréchet manifold, see \([\text{Yag}, \text{Lemma 4.2(ii)}]\), hence it is an ANR. Therefore the CW-approximation theorem gives a weak homotopy equivalence

\[
h_r: F_r \to P(\partial M) \cap \text{Diff}^0 M
\]

whose composition with the inclusion \((6.2)\) is homotopic to the identity of \( F_r \).

Since \( s \) and \( j \) are homotopy equivalences, the homotopy fibers \( F_i, F_r \) of \( i, r \) are homotopy equivalent, i.e. there is a homotopy equivalence \( h: F_i \to F_r \) which together with the homotopy fiber maps \( f_i: F_i \to \text{Diff}^0 M, f_r: F \to \text{Diff}^0 M \) forms a homotopy commutative triangle. This gives homotopies \( \iota_M \circ h_r \circ h \sim f_r \circ h \sim f_i \).

Look at the map of fibration sequences

\[
\begin{array}{cccc}
\Omega \text{Diff}^0 M & \to & \Omega \text{Emb}_0(M, U) & \to & F_i \to \text{Diff}^0 M & \to & \text{Emb}_0(M, U) \\
\Omega \text{Diff} M & \to & \Omega \text{Emb}(M, U) & \to & \Omega X(M, U) & \to & \text{Emb}(M, U)
\end{array}
\]

where the maps in the rightmost and the leftmost squares are inclusions, and \( g \) is the associated map of homotopy fibers. The two rightmost vertical arrows are inclusions of path-components. Hence the unlabeled vertical arrows induce \( \pi_k \)-isomorphisms for \( k > 0 \), and so does \( g \) by the five lemma. The space \( X(M, U) \) is a Fréchet manifold \([\text{GBV}\, 14]\), and hence its loop space is homotopy equivalent to a CW complex \([\text{Mil}\, 59]\). Thus the restriction of \( g \) to the identity component is a homotopy equivalence whose homotopy inverse we denote by \( g' \). For the map \( \phi := h_r \circ h \circ g' \) we have homotopies \( \iota_M \circ \phi \sim f_i \circ g' \sim l \circ g \circ g' \sim l|_{\Omega_0 X(M, U)} \) as claimed. \( \square \)

**Remark 6.3.** We do not know whether the groups \( \pi_0 P(\partial M), \pi_0 \Omega X(M, U) \) are isomorphic. Theorem 6.1 implies that any two path-components of \( P(\partial M), \Omega X(M, U) \) are weakly homotopy equivalent. (If \( X \) is an \( H \)-space whose \( H \)-multiplication induces a group structure on \( \pi_0(X) \), then all path-components of \( X \) are homotopy equivalent. This applies to topological groups and loop spaces.)

7. Rational homotopy of the pseudoisotopy space

In this section we review how to compute \( \pi_*^Q \mathcal{P}(M) \), work out the cases when \( M \) is \( S^n, HP^d, S^4 \times S^4, S^4 \times S^7 \), and explain that any 2-connected rational homotopy equivalence induces an isomorphism on \( \pi_*^Q \mathcal{P}(\cdot) \).
It turns out that if $M$ is simply-connected, the computation of $\pi^Q_\ast \mathcal{P}(M)$ reduces to a problem in the rational homotopy theory.

There is a fundamental relationship between $\mathcal{P}(M)$ and the Waldhausen algebraic $K$-theory $A(M)$. For our purposes a definition of $A(\cdot)$ is not important, and it is enough to know that $A(\cdot)$ is a functor from the category of continuous maps of topological spaces into itself, see [Wal78]. Let $A_f: A(X) \to A(Y)$ denote a map induced by a map $f: X \to Y$. For each $i \geq 0$ there is a natural isomorphism

$$\pi_{i+2} A(M) \cong \pi^{S}_{i+2}(M_+) \oplus \pi_i \mathcal{P}(M).$$

(7.1)

This result was envisioned in works of Hatcher and Waldhausen in 1970s, and a complete proof has finally appeared in [WJR13, Theorem 0.3], where the notations are somewhat different, see [Rog, section 1.15] and [HS82, p.227] for relevant background.

Here $\pi^{S}_{i+2}(M_+)$ is the $(i+2)$th stable homotopy group of the disjoint union of $M$ and a point, which after tensoring with the rationals becomes naturally isomorphic to the homology of $M$, i.e. $\pi^{S}_{i+2}(M_+) \otimes \mathbb{Q} \cong H_{i+2}(M; \mathbb{Q})$, see e.g. [D08, section 20.9].

Dwyer [Dwy80] showed that if $X$ is simply-connected and each $\pi_i(X)$ is finitely generated, then each $\pi_i A(X)$ is finitely generated. Since compact simply-connected manifolds have finitely generated homotopy groups [Spa66, Corollary 9.6.16], it follows from (7.1) that $\mathcal{P}(M)$ have finitely generated homotopy groups for each compact simply-connected manifold $M$.

The map $M \to \ast$ induces retractions $\mathcal{P}(M) \to \mathcal{P}(\ast)$ and $A(M) \to A(\ast)$, which give isomorphisms:

$$\pi_i \mathcal{P}(M) \cong \pi_i \mathcal{P}(\ast) \oplus \pi_i (\mathcal{P}(M), \mathcal{P}(\ast)) \quad \pi_i A(M) \cong \pi_i A(\ast) \oplus \pi_i (A(M), A(\ast)).$$

(7.2)

Waldhausen computed the rational homotopy groups of $A(\ast)$, the algebraic $K$-theory of a point [Wal78, p.48], which gives

$$\pi^Q_q \mathcal{P}(\ast) \cong \pi^Q_{q+2} A(\ast) = \begin{cases} \mathbb{Q} & \text{if } q \equiv 3 \pmod{4} \\ 0 & \text{else} \end{cases}$$

(7.3)

Thus the Poincaré series of $\pi^Q_\ast \mathcal{P}(\ast)$ is $t^3(1-t^4)^{-1}$. Recall that the Poincaré series of a graded vector space $\bigoplus W_i$ is $\sum_i t^i \dim W_i$.

The Poincaré series of $\pi^Q_\ast (\mathcal{P}(M), \mathcal{P}(\ast))$, where $M = S^k$ with $k > 1$, was computed in [HS82] as

$$\frac{t^{3n-4}}{1 - t^{2n-2}}$$

if $M = S^n$ where $n \geq 2$ is even.
π \gamma Y

Goodwillie proved in \cite[p.349]{Goo86} that any 2-connected continuous map f: X → Y above when 

\[ L \] induces a retraction \( g \) that fits into an exact sequence \( H \):

\[ \ldots \rightarrow F_i(X) \xrightarrow{g_i} F_i(Y) 

\[ \rightarrow F_i(g) \rightarrow F_{i-1}(X) \xrightarrow{g_{i-1}} \ldots \]

so that \( F_i(g) \) is isomorphic to direct sum of \( \ker g_{i-i} \) and \( F_i(Y)/\im g_i \). We apply the above when \( F_i \) is the rational homotopy \( \pi_i^Q(-) \) or equivariant rational homology \( H_i^{S^1}(-; \mathbb{Q}) \), while \( g \) is \( A_f \) or \( L_f \), respectively. In particular, in these notations \( \pi_i^Q(g) = 0 \) for all \( i \leq k \) if and only if \( g \) is rationally \( k \)-connected.

Goodwillie proved in \cite[p.349]{Goo86} that any 2-connected continuous map \( f: X \rightarrow Y \) gives rise to an isomorphism for all \( i \)

\[ \pi_i^Q(A_f) \cong H_{i-1}^{S^1}(L_f; \mathbb{Q}). \]
Waldhausen proved that if \( f \) is \( k \)-connected with \( k \geq 2 \), then so is \( A_f \), see \cite{Wal78} Proposition 2.3, and \((7.8)\) gives a rational version of this result:

**Corollary 7.9.** If \( f \) is 2-connected and rationally \( k \)-connected, then so is \( A_f \).

**Proof.** If \( F \) is a homotopy fiber of \( f \), then \( LF \) is a homotopy fiber of \( Lf \), see \cite{Str11} Theorem 5.125. It is easy to see that \( LF \) is also the homotopy fiber of the map \( LX \times_{S^1} ES^1 \to LY \times_{S^1} ES^1 \) induced by \( Lf \). By assumption \( F \) is rationally \((k-1)\)-connected, so the homotopy exact sequence of the evaluation fibration \( \Omega F \to LF \to F \) shows that \( LF \) is rationally \((k-2)\)-connected. This implies that \( H_{i-1}^{S^1}(L_f; \mathbb{Q}) = 0 \) for \( i \leq k \), which proves the lemma thanks to \((7.8)\). \( \square \)

**Corollary 7.10.** Any 2-connected rationally \( k \)-connected map of simply-connected compact manifolds induces an isomorphism on \( \pi_1^Q(\mathcal{P}(-)) \) for \( i < k - 2 \) and an epimorphism for \( i = k - 2 \).

**Proof.** This follows from naturality of \((7.1)\) combined with Corollary 7.9 and the Whitehead theorem mod the Serre class of periodic abelian groups \cite{Spa66} Theorem 9.7.22. \( \square \)

If \( X \) is simply-connected, then \( X \to * \) is 2-connected, so that \((7.8)\) implies:

**Corollary 7.11.** If \( X \) is simply-connected, then \( \pi_1^Q(A(X), A(*)) \) is isomorphic to \( H_{i-1}^{S^1}(LX, *, \mathbb{Q}) \) for all \( i \).

**Proof.** If \( f: X \to * \), then \( A_f, L_f \) are retractions, so \((7.7)\) splits into short exact sequences. In view of \((7.2)\) and \((7.6)\), we get isomorphisms

\[
H_{i-1}^{S^1}(LX, *, \mathbb{Q}) \cong H_i^{S^1}(L_f; \mathbb{Q}) \cong \pi_i^Q(A_f) \cong \pi_i^Q(A(X), A(*))
\]

where the middle isomorphism is given by \((7.8)\). \( \square \)

By \((7.1)\) and Corollary 7.11 the Poincaré series of \( \pi_1^Q(\mathcal{P}(M), \mathcal{P}(*)) \) equals the difference of the Poincaré series of \( HC_{i+1}(M, *; \mathbb{Q}) \) and \( H_{i+2}(M; \mathbb{Q}) \). For future use we record some explicit computations of \( HC_i(M; \mathbb{Q}) \).

If \( M \) is simply-connected and \( H^* (M; \mathbb{Q}) \cong \mathbb{Q}[\alpha]/(\alpha^{n+1}) \) the Poincaré series for \( HC_i (M; \mathbb{Q}) \) was found in \cite{VPB85} Theorem B) giving the following Poincaré series for \( \pi_1^Q(\mathcal{P}(M), \mathcal{P}(*)) \):

\[
(7.12) \quad \frac{(1 - t^{4n}) t^{4n+4}}{(1 - t^4) (1 - t^{4n+2})} \quad \text{if } \alpha \in H^4(M; \mathbb{Q}).
\]

\[
(7.13) \quad \frac{t^{2n}}{1 - t^2} \quad \text{if } \alpha \in H^2(M; \mathbb{Q})
\]
In particular, \((7.12)\) applies to \(M = HP^n\), and \((7.13)\) applies when \(M\) is \(CP^n\) or the total space of any nontrivial \(S^2\)-bundle over \(S^4\), see [GZ00 Corollary 3.9], which in fact is rationally homotopy equivalent to \(CP^3\).

Next we compute \(\pi_t^Q(\mathcal{P}(M), \mathcal{P}(\ast))\) when \(M\) is \(S^4 \times S^4\) and \(S^7 \times S^4\). The Poincaré series of \(HC_\ast(S^4, \ast; \mathbb{Q})\) equals \(t^3(1 - t^6)^{-1}\) [VPB85 Theorem B], so by dimension reasons \(HC_\ast(S^4; \mathbb{Q})\) is quasifree in the sense of [BF86, p.303]. Hence the Künneth formula of [BF86 Theorem B(b)] applies and for any connected space \(X\) we have

\[
HC_\ast(X \times S^4, \ast; \mathbb{Q}) \cong HC_\ast(X, \ast; \mathbb{Q}) \oplus H_\ast(LX; \mathbb{Q}) \otimes HC_\ast(S^4, \ast; \mathbb{Q}).
\]

Recall that taking the Poincaré series converts \(\oplus\) to the sum and \(\otimes\) to the product of series.

Set \(X = S^4\). The Poincaré series for \(H_\ast(LS^4; \mathbb{Q})\) is given in [VPB85, Theorem B(2b)] and it simplifies to \(1 + (t^3 + t^4)(1 - t^6)^{-1}\). Therefore, the Poincaré series for \(HC_\ast(S^4 \times S^4, \ast; \mathbb{Q})\) equals \(2t^3(1 - t^6)^{-1} + (t^6 + t^7)(1 - t^6)^{-2}\), and we get the Poincaré series for \(\pi_t^Q(\mathcal{P}(S^4 \times S^4), \mathcal{P}(\ast))\):

\[
(7.14) \quad \frac{2t^2}{1 - t^6} + \frac{t^5 + t^6}{(1 - t^6)^2} - 2t^2 - t^6.
\]

Set \(X = S^7\). The Poincaré series for \(HC_\ast(S^7, \ast; \mathbb{Q})\), \(H_\ast(LS^7; \mathbb{Q})\) equal \(t^5(1 - t^6)^{-1}\), \((1 + t^7)(1 - t^6)^{-1}\), respectively. Hence the Poincaré series for \(HC_\ast(S^7 \times S^4, \ast; \mathbb{Q})\) equals \(t^5(1 - t^6)^{-1} + t^5(1 + t^7)(1 - t^6)^{-2}\), and therefore, we get the Poincaré series for \(\pi_t^Q(\mathcal{P}(S^7 \times S^4), \mathcal{P}(\ast))\):

\[
(7.15) \quad \frac{t^5}{1 - t^6} + \frac{t^2(1 + t^7)}{(1 - t^6)^2} - t^2 - t^5 - t^9.
\]

8. Block automorphisms, pseudoisotopies, and surgery

Throughout this section \(M\) is a compact manifold with (possibly empty) boundary.

Let \(G(M, \partial)\) denote the space of all continuous self-maps \((M, \partial M)\) that are homotopy equivalences of pairs that restrict to the identity on \(\partial M\), and let \(\text{Diff}(M, \partial)\) be the group of diffeomorphisms that restrict to the identity of \(\partial M\).

Let \(L^j_j(ZG)\) denote the Wall’s \(L\)-group of \(G\) for surgery up to simple homotopy equivalence. These are abelian groups which are fairly well understood when \(G\) is finite. In particular, if \(G\) is trivial, then \(L^j_j(Z)\) is isomorphic to \(Z\) for \(j \equiv 0 \mod 4\) and is finite otherwise.

The following is known to experts but we could not locate a reference.
Theorem 8.1. If $M$ is a compact orientable manifold and $i \geq 1$, then the dimension of $\pi_i^Q \text{Diff}(M, \partial)$ is bounded above by the dimension of

$$\mathbb{Q} \otimes \left( \pi_i \text{Diff}(M, \partial) \oplus \pi_i \mathcal{P}(M) \oplus L^i_q(Z\pi_1 M) \oplus \bigoplus_{t \in \mathbb{Z}_+} H_{q-4t}(M) \right)$$

provided $3i + 9 < \dim M$ and $q = i + 1 + \dim M$.

Proof. Every topological monoid with the identity has abelian fundamental group so tensoring its $i$th homotopy group with $\mathbb{Q}$ makes sense for $i \geq 1$.

Let $\widetilde{G}(M, \partial)$ be the topological monoid of block homotopy equivalences of $(M, \partial M)$ that are the identity on the boundary, and let $\text{Diff}(M, \partial)$ be the subgroup of block diffeomorphisms (see e.g. [BM13] for background on block automorphisms). The inclusion $G(M, \partial) \to \widetilde{G}(M, \partial)$ is a homotopy equivalence, see [BM13, p.21] and there is a fibration

$$\widetilde{G}(M, \partial)/\text{Diff}(M, \partial) \to B\text{Diff}(M, \partial) \to BG(M, \partial)$$

whose homotopy sequence gives for $i \geq 1$:

$$\dim \pi^Q_{i+1} \widetilde{G}(M, \partial)/\text{Diff}(M, \partial) \leq \dim \left( \pi^Q_i \text{Diff}(M, \partial) \oplus \pi^Q_i \text{Diff}(M, \partial) \right).$$

Hatcher [Hat78, Chapter 2] constructed a spectral sequence $E^n_{pq}$ converging to

$$\pi_{p+q+1} \text{Diff}(M, \partial)/\text{Diff}(M, \partial)$$

with

$$E^1_{pq} = \pi_q \text{Diff}(M, \partial) \oplus \pi_q \mathcal{P}(M) \quad \text{and} \quad E^2_{pq} = H_p(\mathbb{Z}_2; \pi_q \mathcal{P}(M))$$

for $q \ll p + \dim(M)$. All elements in $H_{p>0}(\mathbb{Z}_2; -)$ have order 2 [Bro82, Proposition III.10.1], so rationally only the terms $E^2_{0q}$ can be nonzero. Hatcher’s arguments combined with Igusa’s stability theorem [Igu88] show that for $\max\{10, 3q + 9\} < \dim(M)$ the group $\pi^Q_{q+1}(\text{Diff}(M, \partial), \text{Diff}(M, \partial))$ is a quotient of $E^2_{0q} \otimes \mathbb{Q} = \pi^Q_i \mathcal{P}(M)$. Thus the homotopy exact sequence of the pair $(\text{Diff}(M, \partial), \text{Diff}(M, \partial))$ implies for $i \geq 1$ and $3i + 9 < \dim(M)$:

$$\dim \pi^Q_i \text{Diff}(M, \partial) \leq \dim \left( \pi^Q_i \text{Diff}(M, \partial) \oplus \pi^Q_i \mathcal{P}(M) \right).$$

Surgery theory allows us to identify $\pi_{i+1} \widetilde{G}(M, \partial)/\text{Diff}(M, \partial)$ with the relative smooth structure set $\mathcal{S}(M \times D^{i+1}, \partial)$, see [Qui70] and [BM13, p.21-22]. Set $Q = M \times D^{i+1}$ and $q = \dim Q$. If $\dim Q > 5$ and $i \geq 0$, then the surgery exact sequence

$$L^i_{q+\dim Q}(\mathbb{Z}\pi_1 Q) \to \mathcal{S}(Q, \partial) \to [Q/\partial Q, F/O] \to L^i_{\dim Q}(\mathbb{Z}\pi_1 Q)$$

is an exact sequence of abelian groups, where $F/O$ is the homotopy fiber of the $J$-homomorphism $BO \to BF$. Since $BF$ is rationally contractible, the fiber inclusion
$F/O \to BO$ is a rational homotopy equivalence, hence rationally $F/O$ is the product of Eilenberg-MacLane spaces $K(\mathbb{Z}, 4l)$, $l \in \mathbb{Z}_+$. It follows that

$$[Q/\partial Q, F/O] \otimes \mathbb{Q} \cong \bigoplus_{l \in \mathbb{Z}_+} H^{4l}(Q/\partial Q; \mathbb{Q}).$$

where by the Poincaré-Lefschetz duality

$$\tilde{H}^i(Q/\partial Q; \mathbb{Q}) \cong H^{\dim Q-j}(Q; \mathbb{Q}) \cong H^{\dim Q-j}(M; \mathbb{Q})$$

which completes the proof because of (8.2), (8.3), (8.4).

**Corollary 8.5.** Let $M$ be a compact simply-connected manifold and let $i \geq 1$ such that $\pi_i^Q(M, \partial) = 0$ and $3i + 9 < \dim M$. Let $q = \dim M + i + 1$. If one of the following is true

- $q$ equals $0$ or $1 \mod 4$, and $\tilde{H}_*(M; \mathbb{Q}) = H_{2r}*(M; \mathbb{Q})$ for some odd $r$,
- $q$ equals $1$ or $2 \mod 4$, and $\tilde{H}_*(M; \mathbb{Q}) \cong \bigoplus_{r \in \mathbb{Z}_+} H_{4r}*(M; \mathbb{Q})$,

then $\dim \pi_i^Q \text{Diff}(M, \partial) \leq \dim \pi_i^Q \text{P}(M)$.

**Proof.** The assertion is a consequence of Theorem 8.1 except when $q = 0 \mod 4$. But in this case we can remove $H_{0=q-4}(M) \cong \mathbb{Z}$ from the right hand side of the inequality in the statement of Theorem 8.1 because in (8.4) the surgery obstruction map $[Q/\partial Q, F/O] \to L_*^q(\mathbb{Z}) \cong \mathbb{Z}$ is nonzero. We could not find this stated in the literature, so here is a proof. Recall that a normal map is a morphism of certain stable vector bundles whose restriction to the zero sections is a degree one map that is a diffeomorphism on the boundary. By plumbing, see [Bro72, Theorems II.1.3], for every integer $n$ one can find a compact manifold $P$ and a degree one map $(P, \partial P) \to (D^n=4l, \partial D^n)$ that restricts to a homotopy equivalence $\partial P \to \partial D^n$, is covered by a morphism from the stable normal bundle of $P$ to the trivial bundle over $D^n$, and whose surgery obstruction equals $n$. The group of homotopy $(q-1)$-spheres is finite, so by taking boundary connected sums of this normal map with itself sufficiently many, say $k$, times we can arrange that the homotopy sphere $\partial P$ is diffeomorphic to $\partial D^n$; the surgery obstruction then equals $kn$. The map $\partial P \to D^n$ preserves the orientation, so identifying $\partial P$ with $\partial D^n$ yields a self-map of $\partial D^n$ that is homotopic to the identity. Attaching the trace of this homotopy to $P$ we can assume that $\partial P \to \partial D^n$ is the identity. Let $L$ be the manifold built by embedding $q$-disk in Int $Q$ with $P$, so that there is a degree one map $(L, \partial L) \to (Q, \partial Q)$ that equals the identity outside the embedded copy of $P$. The bundle data match because the restriction of the stable normal bundle of $P$ to $\partial P$ is the stable normal bundle to $\partial P$, which is trivial. The additivity of the surgery obstruction, see [Bro72, II.1.4], shows that the surgery obstruction of the above normal map covering $(L, \partial L) \to (Q, \partial Q)$ equals $kn$. □
9. Manifolds for which $\iota_N$ is not injective on rational homotopy

In this section we derive criteria of when $\iota_N$ is not injective on rational homotopy groups and verify the criteria for manifolds in Theorem 1.2.

To apply results of Section 8 we need to bound the size of $\pi_i(G(M, \partial))$.

**Proposition 9.1.** If $E$ is a compact simply-connected manifold with $\pi_i^\mathbb{Q}(E) = 0$ for all $l \geq n$, then $\pi_i(G(E \times D^m, \partial))$ is finite for all $m \geq \max\{0, n - i\}$.

**Proof.** Since $E$ is compact simply-connected, $\pi_iE$ is finitely generated for all $l$, see [Spa66, Corollary 9.6.16], so $\pi_iE$ is finite for $l \geq n$. For any $m \geq \max\{0, n - i\}$

$$\dim(E \times D^m) + i - n \geq \dim E + \max\{0, n - i\} + i - n \geq \dim E,$$

so $H_j(E \times D^m) = 0$ for $j > \dim(E \times D^m) + i - n$ and the claim follows by applying Lemma 9.3 below to $M = E \times D^m$. \qed

**Remark 9.2.** To apply the above proposition we either fix any $n$, $i$ and pick $m$ large enough, or assume $i \geq n$ and let $m$ be arbitrary. Note that if $M$ a rationally elliptic manifold, then $\pi_i^\mathbb{Q}(M) = 0$ for all $i \geq 2\sup\{l: H_l(M; \mathbb{Q}) \neq 0\}$, see [FHT01, Theorem 32.15].

**Lemma 9.3.** Let $M$ be a compact orientable manifold such that for each $l$ the group $\pi_lM$ is finitely generated and $\pi_1M$ acts trivially on $\pi_l(M)$. If $\pi_l(M)$ is finite for all $l \geq n$ and $H_j(M)$ is finite for all $j > \dim(M) + i - n$, then $\pi_iG(M, \partial)$ is finite.

**Proof.** Arguing by contradiction suppose $\pi_iG(M, \partial)$ contains an infinite sequence of elements represented by maps $f_k: (D^i, \partial D^i) \to G(M, \partial)$. The adjoint $\hat{f}_k: M \times D^i \to M$ of $f_k$ restricts to the identity of $\partial(M \times D^i)$. Adjusting $f_k$ within its homotopy class and passing if necessary to a subsequence we can find $l \geq 1$ such that $\hat{f}_k$ all agree on the $(l - 1)$-skeleton and are pairwise non-homotopic on the $l$-skeleton rel boundary. Denote by 1 the map sending $(D^i, \partial D^i)$ to the identity element of $G(M, \partial)$, and let $\hat{1}$ be its adjoint.

The rest of the proof draws on the obstruction theory as e.g. in [MT68] which applies as $\pi_1(M)$ acts trivially on homotopy groups. The difference cochain $d(\hat{f}_k, \hat{1})$ that occurs in trying to homotope $\hat{f}_k$ to $\hat{1}$ over the $l$-skeleton relative to the boundary is a cocycle representing a class in the group $H^l(M \times D^i, \partial(M \times D^i); \pi_lM)$, which by Poincaré-Lefschetz duality is isomorphic to $H_{\dim M+i-l}(M \times D^i; \pi_lM) \cong H_{\dim M+i-l}(M; \pi_lM)$.

Let us show that $H_{\dim M+i-l}(M; \pi_lM)$ is finite. If $l \geq n$, this follows from finiteness of $\pi_lM$ and compactness of $M$. If $l < n$, then $H_{\dim M+i-l}(M)$ is finite by assumption because $\dim M + i - l > \dim M + i - n$. Since $\pi_lM$ is finitely generated for all $l$, the group $H_{\dim M+i-l}(M; \pi_lM)$ is finite by the universal coefficients theorem.
Hence passing to a subsequence we can assume that \( d(\hat{f}_k, \hat{f}_s) \) are all cohomologous, which by additivity of difference cochains implies that \( d(\hat{f}_k, \hat{f}_s) \) is a coboundary for all \( s, k \). Thus all \( \hat{f}_k \) are homotopic on the \( l \)-skeleton rel boundary, which contradicts the assumptions.

\[ \square \]

The following result, combined with upper bounds on the rational homotopy of the diffeomorphism group obtained in Section 8, yields a lower bound on \( \dim \ker \pi_i^Q(\iota_N) \) in terms of rational homotopy groups of stable pseudoisotopy spaces, which in many cases can be computed.

**Theorem 9.4.** If \( E \) is a compact manifold, and \( k, i \) are integers such that \( k \geq 0 \), \( i \geq 1 \) and \( \max\{2i + 7, 3i + 4\} < k + \dim \partial E \), then there is \( \epsilon = \epsilon(E, i, k) \in \{0, 1\} \) such that

\[
\dim \ker \pi_i^Q(\iota_{E \times S^{k+\epsilon}}) \geq \frac{\dim \pi_i^Q(\partial E)}{2} - \dim \pi_i^Q(\Diff(E \times D^{k+\epsilon}, \partial)) \cdot
\]

**Proof.** Set \( d_i := \dim \pi_i^Q(\partial E) \). Lemma 5.2(ii) applied to \( D^k \times \partial E \) shows the existence of \( \epsilon \in \{0, 1\} \) such that the image of \( \pi_i^Q \)-homomorphism induced by the inclusion \( P_1(D^{k+\epsilon} \times \partial E) \to P(D^{k+\epsilon} \times \partial E) \) has dimension \( \geq \frac{d_i}{2} \).

Set \( m = k + \epsilon \) and \( N = E \times S^m \). Let \( D^m \) denote the upper hemisphere of \( S^m \), and set \( D = E \times D^m \) with the corners smoothed. Let \( \Diff^J(D, \partial) \) be the subgroup of \( \Diff(D, \partial) \) consisting of diffeomorphisms whose \( \infty \)-jet at \( E \times \partial D^m \) equals the \( \infty \)-jet of the identity map. Following [Igu88] Chapter 1, Proposition 1.3 one can show that the inclusion \( \Diff^J(D, \partial) \to \Diff(D, \partial) \) is a weak homotopy equivalence. Consider the following commutative diagram of continuous maps

\[
\begin{array}{ccc}
P(D^m \times \partial E) & \xrightarrow{\sigma} & P_1(D^m \times \partial E) \xrightarrow{i} \Diff^J(D^m \times E, \partial) \\
\downarrow{\tau} & & \downarrow{\rho} \\
P(S^m \times \partial E) & \xrightarrow{\iota_N} & \Diff(S^m \times E)
\end{array}
\]

in which \( \sigma \) is the inclusion, the maps \( \tau, \rho \) extend diffeomorphisms by the identity, and \( i \) is the restriction of \( \iota_N \). The reason we have to deal with \( \infty \)-jets is that the extension of a diffeomorphism in \( \Diff(D, \partial) \) by the identity of \( N \) is not a diffeomorphism.

The inclusions \( \partial E \to D^m \times \partial E \to S^m \times \partial E \) induce \( \pi_i^Q \)-monomorphisms of stable pseudoisotopy spaces because \( S^m \times \partial E \) retracts onto \( \partial E \to D^m \). The same is true unstably since \( i \) is in Igusa’s stable range. Thus there is a subspace \( W \) of \( \pi_i^Q P_1(D^m \times \partial E) \) of dimension \( \geq \frac{d_i}{2} \) that is mapped isomorphically to a subspace \( U \) of \( \pi_i^Q P(S^m \times \partial E) \) by \( \tau \circ \sigma \). Hence the kernel of \( \pi_i^Q(\iota)|_W \) embeds into the kernel \( \pi_i^Q(\iota_N)|_U \), and the kernel of \( \pi_i^Q(\iota)|_W \) clearly satisfies the claimed inequality. \[ \square \]
**Remark 9.6.** Sadly, there is not a single example of $E$, $i$, $k$ with indecomposable $\text{Int} E$ for which we know the value of $\varepsilon$.

**Proposition 9.7.** Let $E$ be the total space of a linear disk bundle over a closed manifold such that $E$ and $\partial E$ are simply-connected, the algebra $H^*(E; \mathbb{Q})$ has a single generator, and the algebra $H^*(\partial E; \mathbb{Q})$ does not have a single generator. Then there are sequences $i_1$, $n_1$ such that the sequence $\dim \ker \pi_i^{\mathbb{Q}}(\iota_{E \times S^{n_1}})$ is unbounded.

**Proof.** By [VPB85] Corollary 2] the sequence $\dim HC_i(E; \mathbb{Q})$ is bounded while $\dim HC_i(\partial E; \mathbb{Q})$ is unbounded. Since $0 \leq \dim \pi_i^{\mathbb{Q}} \mathcal{P}(*) \leq 1$, we conclude (see Section 7) that the sequence $\dim \pi_i^{\mathbb{Q}} \mathcal{P}(E)$ is bounded and $\dim \pi_i^{\mathbb{Q}} \mathcal{P}(\partial E)$ is unbounded. The class of rationally elliptic spaces contains all closed manifolds whose rational cohomology algebra has $\leq 2$ generators, and is closed under fibrations, see [BHT83], so $E$, $\partial E$ are rationally elliptic. Hence Proposition 9.1 applies for all sufficiently large $i$ and any $m$, and we have $\pi_i^{\mathbb{Q}} G(E \times D^m, \partial) = 0$, which by Theorem 8.1 gives a uniform upper bound on $\dim \pi_i^{\mathbb{Q}} \text{Diff}(E \times D^m, \partial)$, and the result follows from Theorem 9.4. □

**Remark 9.8.** If in Proposition 9.7 the algebras $H^*(\partial E; \mathbb{Q})$, $H^*(E; \mathbb{Q})$ are singly generated, we can still compute $\dim \ker \pi_i^{\mathbb{Q}}(\iota_{E \times S^m})$; of course the bound might be zero.

Let us investigate when Proposition 9.7 does not apply.

**Lemma 9.9.** Let $p: T \to B$ be a linear $S^k$-bundle over a closed manifold $B$ such that $T$, $B$ are simply-connected and $H^*(T; \mathbb{Q})$ is singly generated, and let $e$ be the rational Euler class of $p$. Then $k < \dim B$ and the following holds:

1. If $B = S^d$, then either $e = 0$ and $\frac{d}{2} = k$ is even, or $e \neq 0$ and $d = k + 1$ is even.
2. If $B = CP^d$ with $d \geq 2$, then $k = 1$ and $e \neq 0$.
3. If $B = HP^d$ with $d \geq 2$, then either $k = 2$, or $k = 3$ and $e \neq 0$.

**Proof.** This is a straightforward application of the Gysin sequence

$$(G) \quad H^{k-1}(B; \mathbb{Q}) \xrightarrow{\iota_*} H^k(B; \mathbb{Q}) \xrightarrow{p^*} H^k(T; \mathbb{Q}) \xrightarrow{\iota_*} H^{k+1}(B; \mathbb{Q}).$$

If $\dim B \leq k$, then $e = 0$ for dimension reasons, so $p^*$ is injective and $H^k(T; \mathbb{Q})$ surjects onto $H^0(B; \mathbb{Q}) \cong \mathbb{Q}$. If $\dim B = k$, then $\dim H^k(T; \mathbb{Q}) = 2$ contradicting that $H^*(T; \mathbb{Q})$ is singly generated. If $\dim B < k$ and $H^*(T; \mathbb{Q}) = \langle a \rangle$, then $a$ has degree $\leq \dim B < k$ and hence $a \in \text{Im} p^*$ so that $p^*$ is a surjection of $H^k(B; \mathbb{Q}) = 0$ onto $H^k(T; \mathbb{Q}) \cong \mathbb{Q}$, which is a contradiction. Thus $k < \dim B$.

Let $B = S^d$. Then (G) implies $H^j(T; \mathbb{Q}) = 0$ except for $j = 0, k + d$, and possibly for $j = k, d$. If $e \neq 0$, then $d = k + 1$ is even, and (G) gives $H^k(T; \mathbb{Q}) = 0 = \ldots$
Let \( \partial E \) be the boundary of \( E \) and \( H^d(T; \mathbb{Q}) \). If \( e = 0 \), then (G) shows that \( H^j(T; \mathbb{Q}) \) are nonzero for \( j = k, d \). Since \( H^*(T; \mathbb{Q}) \) is singly generated, \( k, d \) must be even because an odd degree class is not a power of an even degree class, and any odd degree class has zero square. As \( k < d \), we have \( d = 2k \) completing the proof of (1).

To prove (2) let \( B = CP^d \) and note that simple connectedness of \( T \) shows that if \( k = 1 \), then \( e \neq 0 \). To rule out \( k \geq 2 \) use (G) to conclude that \( p^* : H^2(B) \to H^2(T) \) is injective, hence as \( H^*(T; \mathbb{Q}) \) is singly generated, the generator must come from \( B \) and hence its \((n+1)\)th power is zero, but then it cannot generate the top dimensional class in degree \( \dim T = k + \dim B \geq 2 + 2n \).

To prove (3) let \( B = HP^d \). Similarly to (2) if \( k \geq 4 \), then \( H^*(T; \mathbb{Q}) \) is not singly generated. The same holds for \( k = 1 \) as then \( T \to B \) is the trivial \( S^1 \)-bundle because \( HP^d \) is 2-connected. Thus \( k \) must equal 2 or 3. Finally, if \( e \) were zero for \( k = 3 \), then (G) gives that \( H^3(T; \mathbb{Q}) \) and \( H^4(T; \mathbb{Q}) \) are nonzero, so \( H^*(T; \mathbb{Q}) \) could not be singly generated.

\[ \text{Remark 9.10.} \] (a) The exceptional cases above do happen. Examples are the unit tangent bundle to \( S^d \) with \( d \) even, which is a rational homology sphere, the Hopf bundles \( S^1 \to S^{2d+1} \to CP^d \) and \( S^3 \to S^{4d+3} \to HP^d \), and the canonical \( S^1 \) quotient \( S^2 \to CP^{2d+1} \to HP^d \) of the latter bundle. All nontrivial \( S^2 \)-bundles over \( S^4 \) have singly generated total space, see [GZ00, Corollary 3.9]. Each of these total spaces appears as \( \partial E \) where \( Int E \) admits a complete metric of \( K \geq 0 \).

(b) The assumption that \( B = S^n, CP^n \) or \( HP^n \) is there only to simplify notations by excluding some cases not relevant to our geometric applications. The proof of Lemma 9.9 applies to some other bases, e.g. the Cayley plane or biquotients with singly generated cohomology, which are classified in [KZ04]. In particular, the unit tangent bundle to the Cayley plane does not have singly generated cohomology.

(c) One can use results of [Hal78] to give a rational characterization of fiber bundles \( T \to B \) such that \( T, B \) are simply-connected manifolds and \( H^*(T; \mathbb{Q}) \) is singly generated. We will not pursue this matter because with the exception mentioned in (b) it is unclear if such bundles arise in the context of nonnegative curvature.

\[ \text{Theorem 9.11.} \] Let \( N = S^m \times E \) and \( i \leq m - 3 \) where \( E \) and \( i \) satisfy one of the following:

1. \( E \) is the total space of a linear \( D^{2d} \)-bundle over \( S^{2d} \), \( d \geq 2 \), with nonzero Euler class, and \( i = 8d - 5 + j(4d - 2) \) for some odd \( j \geq 1 \).
2. \( E \) is the total space of a linear \( D^4 \)-bundle over \( HP^d \), \( d \geq 1 \), with nonzero Euler class, and \( i = 8d + 3 + j(4d + 2) \) for some odd \( j \geq 1 \).
3. \( E \) is the total space a linear \( D^3 \)-bundle over \( HP^d \), \( d \geq 1 \) with nonzero first Pontryagin class, and \( i = 4d + 2 + j(2d + 1) \) for some even \( j \geq 0 \).
4. \( E \) is the product of \( S^4 \) and the total space of a \( D^3 \)-bundle over \( S^4 \) with nonzero Euler class, and \( i = 6j + 3 \) for some odd \( j \geq 3 \).
Then $\pi_i^Q \mathcal{P}(N) = 0$, and furthermore, $\dim \pi_i^Q \mathcal{P}(\partial N) = 1$ in the cases (1), (2), (3) and $\dim \pi_i^Q \mathcal{P}(\partial N) = j$ in the case (4).

**Proof.** The inclusions $E \to N$ and $\partial E \to \partial N$ are $(m-1)$-connected, so they induce isomorphisms on $\pi_i^Q \mathcal{P}(-)$ for $i \leq m-3$.

**Case 1.** Here $E$ is the total space of $S^{2d-1}$-bundle over $S^{2d}$, so the homotopy sequence of the bundle shows that $\partial E$ is 2-connected while the Gysin sequence implies $H^*(\partial E; \mathbb{Q}) \cong H^*(S^{4d-1}; \mathbb{Q})$. So any degree one map to $E \to S^{4d-1}$ is a rational homology isomorphism, and hence a rational homotopy equivalence. The map is 2-connected, so by Corollary [7.10] it induces an isomorphism on $\pi_i^Q \mathcal{P}(-)$.

Now (7.3), (7.4), (7.5) give the Poincaré polynomials

$$t^3 \frac{1 - t^4}{1 - t^4} + t^{6d-4} \frac{1 - t^{4d-2}}{1 - t^{4d-2}} \text{ for } \pi_i^Q \mathcal{P}(S^{2d}) \text{ and } t^{8d-5} \frac{1 - t^{4d-2}}{1 - t^{4d-2}} \text{ for } \pi_i^Q(\mathcal{P}(S^{4d-1}), \mathcal{P}(\ast)).$$

Reducing the exponents mod 4 yields the desired conclusion.

**Case 2.** Here $\partial E$ is a simply-connected rational homology $S^{4d+3}$. Then (7.3), (7.12), (7.5) give the Poincaré polynomials

$$t^3 \frac{1 - t^4}{1 - t^4} + \frac{(1 - t^{4d}) t^{4d+4}}{(1 - t^4)(1 - t^{4d+2})} \text{ for } \pi_i^Q \mathcal{P}(HP^d)$$

$$t^{8d+3} \frac{1 - t^{4d+2}}{1 - t^{4d+2}} \text{ for } \pi_i^Q(\mathcal{P}(S^{4d+3}), \mathcal{P}(\ast)).$$

Reducing the exponents mod 4 implies the claim.

**Case 3.** Nontriviality of the first Pontryagin class implies, see [Mas58, pp. 273-274], that the algebra $H^*(\partial E; \mathbb{Q})$ is isomorphic to $\mathbb{Q}[\alpha]/\alpha^{2d+2}$ for some $\alpha \in H^2(\partial E; \mathbb{Q})$. Then (7.3), (7.12), (7.13) give the Poincaré polynomials

$$(9.12) \quad t^3 \frac{1 - t^4}{1 - t^4} + \frac{(1 - t^{4d}) t^{4d+4}}{(1 - t^4)(1 - t^{4d+2})} \text{ for } \pi_i^Q \mathcal{P}(HP^d)$$

$$(9.13) \quad t^{2(2d+1)} \frac{1 - t^2}{1 - t^2} \text{ for } \pi_i^Q(\mathcal{P}(\partial E), \mathcal{P}(\ast)).$$

The monomials with exponent $i$ appear in (9.13) and do not occur in the first summand of (9.12). The second summand can be written as $\sum_{s=1}^d t^{4d+4s} \sum_{r \geq 0} t^{(4d+2)r}$, so the exponents of its monomials are $4d + 4s + (4d + 2)r$ which all lie in the union of disjoint intervals $[4d + 4 + (4d + 2)r, 8d + (4d + 2)r]$. Each number $4d + 2 + (4d + 2)r$ lies in the gap between the intervals, so letting $j = 2r$ completes the proof. In fact, many more values of $i$ are allowed because the exponents $4d + 4s + (4d + 2)r$ of distinct pairs $(s, r)$ differ by 4 or 6 while (9.13) contains every even exponent $\geq 4d + 2$. 


Case 4. Here $\partial E$ is 2-connected rational homology $S^4 \times S^7$. Then \((7.3), (7.14), (7.15)\) give the Poincaré polynomials
\begin{align}
(9.14) & \quad \frac{t^3}{1 - t^4} + \frac{2t^2}{1 - t^6} + \frac{t^5 + t^6}{(1 - t^6)^2} - 2t^2 - t^6 \quad \text{for } \pi_*^Q(\mathcal{P}(S^4 \times S^4)) \\
(9.15) & \quad \frac{t^5}{1 - t^6} + \frac{t^2 + t^6}{(1 - t^6)^2} - t^2 - t^5 - t^9 \quad \text{for } \pi_*^Q(\mathcal{P}(\partial E), \mathcal{P}(\ast)).
\end{align}

The term
\[ \frac{t^9}{(1 - t^6)^2} - t^9 = \sum_{j \geq 2} j t^{6j+3} \]
in \((9.15)\) has exponents that reduce to 3 mod 6, so it has some common exponents only with the term $t^3(1 - t^4)^{-1}$ in \((9.14)\). The exponents corresponding to odd $j$ reduce to 1 mod 4, so do not appear in \((9.14)\). For the same reasons the exponents do not appear elsewhere in \((9.15)\), which completes the proof.

\[ \square \]

Remark 9.16. Case 4 illustrates that the following proposition is not optimal.

Proposition 9.17. Let $M$ be a compact manifold with nonempty boundary and let $B$ be a closed $b$-dimensional manifold of nonzero Euler characteristic. If $\max\{2i + 7, 3i + 4\} < \dim \partial M$, then $\dim \ker \pi_*^Q(\mathcal{P}(\partial M \times B)) \geq \dim \ker \pi_*^Q(\mathcal{P}(\partial M))$.

Proof. Consider the following diagram
\[
\begin{array}{cccccc}
\mathcal{P}(\partial M) & \longrightarrow & P(\partial M \times I^b) & \longrightarrow & P(\partial M) & \longrightarrow & \text{Diff}(M) \\
\delta_\infty \downarrow & & \delta_b \downarrow & & \iota_M \downarrow & & \downarrow \chi_B \\
\mathcal{P}(\partial M \times B) & \longrightarrow & P(\partial M \times B) & \times \chi_B & P(\partial M \times B) & \times \text{id}_B & \longrightarrow & \text{Diff}(M \times B)
\end{array}
\]
where $I^b$ is identified with an embedded disk in $B$ and $\delta_b$ is the extension by the identity. The middle bottom arrow is the $\chi(B)$-power map with respect to the group composition. The unlabeled arrows are the canonical maps into the direct limit, and $\delta_\infty$ is the stabilization of $\delta_b$.

The rightmost square commutes, while the middle one homotopy commutes \cite[Appendix I]{Hat78}. Since $\delta_b$ homotopy commutes with $\Sigma$, the leftmost square also homotopy commutes.

It suffices to show that the map $\times \text{id}_B$ of pseudoisotopy spaces is $\pi_*^Q$-injective. Since we are in the pseudoisotopy stable range, $\Sigma^b$ and the unlabeled arrows are $\pi_*^Q$-isomorphisms. The $\chi(B)$-power map induces the multiplication by $\chi(B)$ on the rational homotopy group, see \cite[Corollary 1.6.10]{Spa66}, so the power map is also $\pi_*^Q$-isomorphism as $\chi(B) \neq 0$. Finally, $\pi_*^Q$-injectivity of $\delta_\infty$ follows because $\mathcal{P}(\ast)$ is a homotopy functor and $\delta_\infty$ has a left homotopy inverse induced by the coordinate projection $\partial M \times B \to \partial M$.\[ \square \]
Proof of Theorem 7.3. By Theorem 1.1 it suffices to check that \( \ker \pi^Q_{k-1}(t_{U \times S^m}) \) is nonzero. A lower bound on the dimension of \( \ker \pi^Q_{k-1}(t_{U \times S^m}) \) is given by Theorem 9.4 and we wish to find cases when the bound is positive.

If the sphere bundle associated with the vector bundle with total space \( U \) does not have singly generated rational cohomology, then the lower bound in Theorem 9.4 can be made arbitrary large by Proposition 9.7 and Theorem 8.1. This applies when \( U \) is the tangent bundle to \( \mathbb{C}P^d \), \( \mathbb{H}P^d \), \( d \geq 2 \), and the Cayley plane.

If \( U \) is the total space of a vector bundle over \( S^{2d} \), \( d \geq 2 \), with nonzero Euler class, then a positive lower bound in Theorem 9.4 comes from Corollary 8.5 and the part 1 of Theorem 9.11. The same argument works to the Hopf \( \mathbb{R}^4 \) bundle over \( H\mathbb{P}^d \) because it has nonzero Euler class, so the part 2 of Theorem 9.11 applies.

A nontrivial \( \mathbb{R}^3 \) over \( H\mathbb{P}^d \), \( d \geq 1 \), cannot have a nowhere zero section, so it must have nonzero Pontryagin class, see [Mas58, Theorem V, p.281]. Then a positive lower bound in Theorem 9.4 comes from Corollary 8.5 and the part 3 of Theorem 9.11. This applies to the Hopf \( \mathbb{R}^3 \) bundle and the bundles in (4). Finally, (5) follows from Proposition 9.17.

\[ \square \]

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