SIMPLEXWISE LINEAR NEAR-EMBEDDINGS OF A 2-DISK INTO $\mathbf{R}^2$

BY

ETHAN D. BLOCH¹

ABSTRACT. Let $K \subset \mathbf{R}^2$ be a finitely triangulated 2-disk; a map $f: K \rightarrow \mathbf{R}^2$ is called *simplexwise linear* (SL) if $f|_\sigma$ is affine linear for each (closed) simplex σ of K . Interest in SL maps originated with work of S. S. Cairns and subsequent work of R. Thom and N. H. Kuiper. Let $E(K) = \{\text{orientation preserving SL embeddings } K \rightarrow \mathbf{R}^2\}$, $L(K) = \{\text{SL homeomorphism } K \rightarrow K \text{ fixing } \partial K \text{ pointwise}\}$, and $\overline{E(K)}$, $\overline{L(K)}$ denote their respective closures in the space of all SL maps $K \rightarrow \mathbf{R}^2$ and the space of all SL maps $K \rightarrow K$ fixing ∂K . The main result of this paper is useful characterizations of maps in $\overline{L(K)}$ and some maps in $\overline{E(K)}$, including the relation of such maps to SL embeddings into the nonstandard plane.

1. Definitions and statement of results. Let K be a finite (rectilinear) simplicial complex in $\mathbf{R}^n$; we regard simplices as closed, and will write K when we mean the topological space $|K|$ underlying K . Let K^i denote the set of (closed) i -simplices of K , and when K is a manifold let $(\text{int } K)^0$ and $(\partial K)^0$ denote the interior and boundary vertices of K , respectively. We will study maps of the following type.

DEFINITION. For K as above, a (continuous) map $f: K \rightarrow \mathbf{R}^m$ is called *simplexwise linear*, abbreviated SL, if the restriction $f|_\sigma$ of f to each simplex $\sigma \in K$ is an affine linear map. (Some authors refer to simplexwise linear maps as “linear maps,” for example [BS1 and Ho1].)

From now on let K be a (finitely triangulated) 2-disk in $\mathbf{R}^2$. Of primary interest are the following two spaces of maps.

DEFINITION. $E(K) = \{\text{orientation preserving SL embeddings } K \rightarrow \mathbf{R}^2\}$, $L(K) = \{\text{SL homeomorphisms } K \rightarrow K \text{ fixing } \partial K \text{ pointwise}\}$.

REMARKS. An SL map is uniquely determined by its values on vertices. If K has vertices $\{v_1, \dots, v_p\}$, then the space of all SL maps $K \rightarrow \mathbf{R}^2$ is identified with $\mathbf{R}^{2p}$ via the correspondence $f \leftrightarrow (f(v_1), \dots, f(v_p))$, and $E(K)$ is identified with an open subset of $\mathbf{R}^{2p}$; if K has k interior vertices, then $L(K)$ is identified with an open subset of $\mathbf{R}^{2k}$. We use the norm on $\mathbf{R}^{2p} = \mathbf{R}^2 \times \dots \times \mathbf{R}^2$ given by

$$\|(X_1, \dots, X_p)\| = \sup\{\|X_i\| \mid i = 1, \dots, p\},$$

Received by the editors November 8, 1983.

1980 *Mathematics Subject Classification.* Primary 57N05; Secondary 57N35, 03H99.

Key words and phrases. Simplexwise linear, spaces of embeddings, nonstandard plane.

¹Partially supported by NSF contract MCS-8301865. Parts of this paper are from the author's Ph.D. dissertation, written at Cornell University under the supervision of D. W. Henderson. The author wishes to thank Professor Henderson for his help, encouragement and many valuable suggestions.

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so that, for SL maps $f, g: K \rightarrow \mathbf{R}^2$,

$$\|f - g\| = \sup\{\|f(v) - g(v)\| \mid v \in K^0\}.$$

Since $E(K)$ and $L(K)$ are identified with subsets of Euclidean spaces, their closures $\overline{E(K)}$ and $\overline{L(K)}$ are well defined.

DEFINITION. A map in $\overline{E(K)}$ is called a *near-embedding*.

Interest in SL maps, and especially $L(K)$, started with the work of S. S. Cairns [C] (1944), R. Thom [T] (1958) and N. H. Kuiper [K] (1965). Various results on $L(K)$ and $E(K)$ were obtained by C.-W. Ho in [Ho1] (1973) and [Ho2] (1979) and by R. H. Bing and M. Starbird in [BS1 and BS2] (1978). Consult [BCH and CHHS] for more detailed expositions of these and related results. Recently, R. Connelly, D. W. Henderson and the author [BCH] showed that if K is convex, then $L(K)$ is homeomorphic to $\mathbf{R}^{2k}$. Unlike the previous results, it became necessary in the proof of this last result to make use of maps in $\overline{L(K)}$ in a crucial way. It therefore became desirable to find ways of verifying whether a given SL map is in $\overline{L(K)}$ or not, and to understand the topological nature of the boundary of $\overline{L(K)}$. The analog of Theorem 1.2 for $\overline{L(K)}$ answers the first problem, and the analog of Corollary 7.3 for $\overline{L(K)}$, together with the study of near-embeddings used to prove Theorem 1.2, are partial answers to the second. In [H] D. W. Henderson will use some ideas in the proof of Theorem 1.2 in his study of simplexwise geodesic homeomorphisms of the 2-sphere. The author, in [B], will apply Theorem 1.2 to the study of strictly convex SL embeddings and near-embeddings $K \rightarrow \mathbf{R}^2$.

We are also interested in the infinitesimal analog of $E(K)$. Let $*\mathbf{R}$ denote the nonstandard real numbers (as in [D], for example). If σ is a simplex of K , a map $\sigma \rightarrow (*\mathbf{R})^2$ is called *affine linear* if the usual definition using barycentric coordinates holds. Thus, one can discuss SL maps $K \rightarrow (*\mathbf{R})^2$. Let $^\circ: *\mathbf{R} \rightarrow \mathbf{R}$, $x \mapsto ^\circ x$, denote the “standard” part of a number (where $^\circ$ is not defined on infinite numbers); for any SL map $f: K \rightarrow (*\mathbf{R})^2$ with $f(K)$ finite, the map $^\circ f: K \rightarrow \mathbf{R}^2$ is then an SL map in the usual sense. If $\delta = \langle a, b, c \rangle$ is a positively oriented 2-simplex and $f: K \rightarrow (*\mathbf{R})^2$ is SL, then we write

$$\det(f|\delta) = \det \begin{pmatrix} 1 & f(a) \\ 1 & f(b) \\ 1 & f(c) \end{pmatrix};$$

$\det(f|\delta)$, which is in $*\mathbf{R}$, can be regarded as twice the signed area of $f(\delta)$, and is independent of the order of the vertices a, b, c as long as the order is compatible with orientation. (Of course, the same definition holds for SL maps $K \rightarrow \mathbf{R}^2 \subset (*\mathbf{R})^2$.) Determinants provide the simplest way to define the infinitesimal analog of $E(K)$.

DEFINITION. $E(K, (*\mathbf{R})^2) = \{f: K \rightarrow (*\mathbf{R})^2 \mid f \text{ is SL, } f(K) \text{ is finite and } \det(f|\delta) > 0 \forall \delta \in K^2\}$.

The following space of maps is convenient to work with and is used throughout the paper.

DEFINITION. $R(K) = \{f: K \rightarrow \mathbf{R}^2 \mid f \text{ is SL, } f|_{\partial K} \text{ is an orientation preserving embedding, and for any } q \in f(K) \text{ there is at most one } \sigma \in K^2 \text{ such that } f(\sigma) \text{ is a 2-simplex and } f^{-1}(q) \cap \text{int } \sigma \neq \emptyset\}$.

REMARK. A map being on $R(K)$ simply means that besides the condition on ∂K , the images of “noncollapsed” 2-simplices do not intersect in their interiors.

The following lemma (which is proved using a degree argument similarly to [Ho3, Theorem 3.2 and BCH, Lemma 4.1]), which is useful later on, shows that $E(K, (*\mathbf{R})^2)$ is really the right generalization of $E(K)$ to the nonstandard case and that $R(K)$ is a reasonable space to work with.

LEMMA 1.1. (i) $E(K) = \{f: K \rightarrow \mathbf{R}^2 \mid f \text{ is } SL, f|_{\partial K} \text{ is an orientation preserving embedding and } \det(f|\delta) > 0 \forall \delta \in K^2\}$, and

(ii) $R(K) = \{f: K \rightarrow \mathbf{R}^2 \mid f \text{ is } SL, f|_{\partial K} \text{ is an orientation preserving embedding and } \det(f|\delta) \geq 0 \forall \delta \in K^2\}$.

REMARK. From the preceding lemma it is seen that

$$E(K) \subset \overline{E(K)} \subset R(K).$$

In fact, both inclusions may be proper (depending on K , of course); for the first inclusion this is evident, and for the second this is seen in [BCH, Figure 3.2], which shows a map in $R(K)$ not in $\overline{E(K)}$. On the other hand, both $\overline{E(K)}$ and $R(K)$ are closed subsets of $\mathbf{R}^{2p}$, containing $E(K)$ in their interiors and with topological boundaries coinciding in some “nice” parts (see [BCH, §4] for more details).

With the above definitions, we now state the main result of this paper, which is a characterization of certain near-embeddings. Let $\varepsilon: R(K) \rightarrow \mathbf{R}^+$ be defined by

$$\varepsilon(f) = \frac{1}{2} \inf \{ \|f(v) - f(w)\| \mid v, w \in K^0, f(v) \neq f(w) \}.$$

THEOREM 1.2. *For an SL map $f: K \rightarrow \mathbf{R}^2$ such that $f|_{\partial K}$ is an orientation preserving embedding, the following are equivalent:*

- (1) $f \in \overline{E(K)}$;
- (2) f is a near-topological embedding (i.e. f is the limit of topological embeddings);
- (3) $f \in R(K)$ and f is within $\varepsilon(f)$ of a topological embedding;
- (4) $f = \circ g$ for some $g \in E(K, (*\mathbf{R})^2)$;
- (5) $f \in R(K)$ and $f^{-1}(v)$ is simply connected for all $v \in K^0$;
- (6) for each 1-simplex $A \in K^1$ and any $x_A \in \text{int } A$ such that $f^{-1}(x_A) \cap K^0 = \emptyset$, $f^{-1}(x_A)$ is simply connected, and for each $\delta \in K^2$ and any $x_\delta \in \text{int } \delta$ such that $f^{-1}(x_\delta) \cap K^1 = \emptyset$, $f^{-1}(x_\delta)$ is connected.

REMARK. (1) In Theorem 1.2 the hypothesis that $f|_{\partial K}$ is an embedding does not seem to be necessary, but makes the proof much easier and is sufficient for the applications of the theorem in [B and H]; in [B] the very explicit nature of the proof of the theorem is used.

(2) Condition (3) in Theorem 1.2 states that to verify if a map f is in $\overline{E(K)}$, one need not find a sequence of maps in $E(K)$ converging to f , but only a single map in $E(K)$ sufficiently close to f , if f is known to be in $R(K)$ (which is relatively easy to verify).

(3) There are simple examples which show that the condition $f \in R(K)$ in (5) cannot be dropped.

(4) If K is strictly convex, the analog of Theorem 1.2 holds for $L(K)$, $\overline{L(K)}$ and the appropriate analog of $R(K)$ (of course $f|_{\partial K}$ is automatically an orientation

preserving embedding in this case); the proof (which will not be given) is the same as that of Theorem 1.2, except that one must verify that ∂K need not be moved during any step of the proof.

The outline of the paper is as follows: §2 discusses some basic properties of SL maps; §§3–5 discuss various types of subcomplexes of K which are parts of point or line inverses; §6 discusses partial orderings of vertices and 1-simplices of K given by “reasonable” SL maps $K \rightarrow \mathbf{R}^2$; §7 contains the main technical proof of the paper and §8 contains the proof of Theorem 1.2.

2. Basic properties of collapsing.

DEFINITION. An SL map $f: K \rightarrow \mathbf{R}^2$ is called *boundary-nice* if $f|\partial K$ is an orientation preserving embedding and $f(\text{int } K)$ is contained in the interior of the region bounded by $f(\partial K)$.

In §§3–6 we will assume all maps are boundary-nice, thus avoiding special cases involving subcomplexes of K intersecting $f(\partial K)$.

The following definition states all possible generic ways in which a 2-simplex can be mapped affine linearly.

DEFINITION. For an SL map $f: K \rightarrow \mathbf{R}^2$ and $\delta = \langle a, b, c \rangle \in K^2$, δ is either:

- (1) *not collapsed* if $f(\delta)$ is a 2-simplex,
- (2) *of type PC* (“point collapse”) if $f(\delta)$ is a point,
- (3) *of type EC* (“end collapse”) if $f(a) = f(b) \neq f(c)$ for some labeling of the vertices of δ (so that $f(\delta)$ is a line segment), or
- (4) *of type SC* (“side collapse”) if $f(\delta)$ is a line segment but is not of type EC (i.e. not two vertices are mapped to the same point).

NOTE. If δ is of type EC or SC, it can be decomposed into level sets (i.e. sets which are mapped to the same point) which are parallel line segments.

DEFINITION. For an SL map $f: K \rightarrow \mathbf{R}^2$, $A \in K^1$ and $x \in \text{int } A$ with $f^{-1}f(x) \cap K^0 = \emptyset$, we call $f^{-1}f(x)$ an *edge-point-inverse*. (We will write *f-edge-point-inverse* if more than one map is involved.)

The following lemma is immediate.

LEMMA 2.1. *For an SL map $f: K \rightarrow \mathbf{R}^2$, any edge-point-inverse is the disjoint union of compact 0- and 1-manifolds (possibly with boundary). □*

DEFINITION. An SL map $f: K \rightarrow \mathbf{R}^2$ is called *ordered* if every edge-point-inverse is simply connected. Let

$$\text{OBR}(K) = \{f \in R(K) \mid f \text{ is boundary-nice and ordered}\}.$$

REMARK. If an SL map $f: K \rightarrow \mathbf{R}^2$ is boundary-nice and ordered, then every component of an edge-point-inverse is an arc (or a point, which we consider to be a degenerate arc), with each endpoint lying in the boundary of a (unique) noncollapsed 2-simplex (although it is not a vertex). If f is also in $R(K)$, then for each such 2-simplex γ , $\det(f|\gamma) > 0$.

LEMMA 2.2. *If $f \in \text{OBR}(K)$, then all edge-point-inverse are connected.*

PROOF. Let λ be a component of an edge-point-inverse $f^{-1}f(x)$ and let α, β be the noncollapsed 2-simplices of K which contain the endpoints of λ . $f(\alpha) \cup f(\beta)$

contains an open neighborhood of $f(\lambda) = f(x)$. If μ were another component of $f^{-1}f(x)$ with its endpoints in (noncollapsed) $\gamma, \delta \in K^2$, it is easy to see that no two of $\alpha, \beta, \gamma, \delta$ are the same. It now follows immediately that having two distinct components of $f^{-1}f(x)$ contradicts the definition of $R(K)$, and thus $f^{-1}f(x)$ is connected. $\square$

LEMMA 2.3. *Let $f \in \text{OBR}(K)$. If $M \subset K$ is a subcomplex which is the closure of an open 2-disk and $f(\text{bd } M)$ is a point or a line segment, then $f(M) \subset f(\text{bd } M)$ (where “bd” denotes mod 2 boundary).*

PROOF. First, assume the lemma has been proved when M is a 2-disk, and we will deduce the general case. Although arbitrary M need not be a 2-disk, since $\text{int } M$ is an open 2-disk, we can find a polygonal circle S very close to $\text{bd } M$, such that S transversally intersects the interiors of all the 1-simplices of M that meet $\text{bd } M$, and the vertices of S are exactly at such intersections. See Figure 2.1. Let N be the closed region bounded by S , which is a polygonal 2-disk. Triangulate $K \cup S$ by adding a single diagonal 1-simplex to each truncated 2-simplex of K ; let K' be this triangulation, so that K' subdivides K and N is a subcomplex of K' . Let $\hat{f}: K' \rightarrow \mathbb{R}^2$ be the SL map defined as follows: If $v \in (K')^0$ is in K^0 , then let $\hat{f}(v) = f(v)$; if not, then $v \in S$ and v corresponds to a unique vertex $u \in (\text{bd } M)^0 \subset K^0$ (since each vertex of S is on a 1-simplex of M which meets $\text{bd } M$ and is closer to one of the endpoints of this 1-simplex if it spans M), so let $\hat{f}(v) = f(u)$. See Figure 2.1. One can check that $\hat{f} \in \text{OBR}(K')$. $K', \hat{f}$ and N now satisfy the hypotheses of the lemma with N a 2-disk, so $\hat{f}(N) \subset \hat{f}(\partial N)$. However, $f(\text{bd } M) = \hat{f}(\partial N)$ and all the vertices of M not in N are in $\text{bd } M$, so that $f(M) \subset f(\text{bd } M)$ follows.

Now suppose M is a 2-disk. First, we note that all 2-simplices of M are collapsed by f ; since $f(\partial M)$ is a line segment or a point, this fact is trivial for $\beta \in M^2$ if $f(\beta) \subset f(\partial M)$, and for $\beta \in M^2$ with $f(\beta) \not\subset f(\partial M)$ it follows from a straightforward degree argument using the fact that $f \in R(K)$. Now, suppose $f(M) \not\subset f(\partial M)$. Since M is connected and all 2-simplices of M are collapsed by f , $f(M) - f(\partial M)$ is the union of finitely many line segments; let L be such a line segment. Since $f(K^0)$

FIGURE 2.1

is a finite number of points, we can pick some $y \in L$ such that $f^{-1}(y) \cap K^0 = \emptyset$. By hypothesis on f and Lemma 2.2, $f^{-1}(y)$ is an arc or a point; consequently, the endpoints of $f^{-1}(y)$ are in the boundaries of noncollapsed 2-simplices of K . However, since $f^{-1}(y) \cap \partial M = \emptyset$ (and hence $f^{-1}(y) \subset \text{int } M$) and since all 2-simplices of M are collapsed, it could not be that $f^{-1}(y)$ intersects a noncollapsed 2-simplex, a contradiction. Hence $f(M) \subset f(\partial M)$. $\square$

3. f -segment complexes. Throughout this section, as well as §§4–6, we will let $f \in \text{OBR}(K)$ be fixed.

DEFINITION. $\delta, \gamma \in K^2$ of types EC and/or SC are *f -related* if $f(\gamma) \cap f(\delta)$ contains more than one point (i.e. this intersection is a line segment). We write this relation $\gamma \text{ rel } \delta$.

f -relatedness is reflexive and symmetric; let *f -equivalence* be the equivalence relation generated by f -relatedness; thus $\gamma, \delta, \epsilon, K^2$ are *f -equivalent*, written $\gamma \sim \delta$, iff there exists a finite sequence $\epsilon_1, \dots, \epsilon_n \in K^2$ such that

$$\gamma = \epsilon_1 \text{ rel } \epsilon_2 \text{ rel } \dots \text{ rel } \epsilon_n = \delta.$$

DEFINITION. For $\gamma \in K^2$ of type EC or SC, let

$$\hat{\Lambda}(\gamma) = \{ \delta \mid \delta \in K^2 \text{ is of type EC or SC, } \delta \sim \gamma \}.$$

NOTE. (1) $\hat{\Lambda}(\gamma) = \hat{\Lambda}(\delta)$ iff $\gamma \sim \delta$.

(2) $f(\hat{\Lambda}(\delta))$ is a line segment.

Also, $\hat{\Lambda}(\delta)$ may not be all of $f^{-1}f(\hat{\Lambda}(\delta))$.

LEMMA 3.1. *If $f \in \text{OBR}(K)$, then for any $\delta \in K^2$ of type EC or SC, $\hat{\Lambda}(\delta)$ is a connected subcomplex of K .*

PROOF. $\hat{\Lambda}(\delta)$ is the union of (closed) 2-simplices, and it is a subset of a simplicial complex, so it must be a subcomplex of K .

Suppose $\hat{\Lambda}(\delta)$ is not connected. By the definition of f -equivalence, the image of any one component must intersect the image of some other component in a line segment; let C and D be such components. Pick $y \in \text{int}(f(C) \cap f(D))$ such that $f^{-1}(y) \cap K^0 = \emptyset$; $f^{-1}(y)$ must have distinct components in each of C and D , contradicting Lemma 2.2. Thus $\hat{\Lambda}(\delta)$ is connected. $\square$

DEFINITION. For $\delta \in K^2$ of type EC or SC, let $\Lambda(\delta)$ be the minimal 1-connected subcomplex of K containing $\hat{\Lambda}(\delta)$. $\Lambda(\delta)$ will be called the *f -segment complex* of δ .

LEMMA 3.2. *Let $f \in \text{OBR}(K)$ and let $\delta \in K^2$ be of type EC or SC. Then:*

- (i) every 2-simplex in $\Lambda(\delta)$, not in $\hat{\Lambda}(\delta)$, is of type PC,
- (ii) $f(\Lambda(\delta)) = f(\hat{\Lambda}(\delta))$ is a line segment, and
- (iii) $\Lambda(\delta)$ is a 2-disk.

PROOF. (i) Since $\hat{\Lambda}(\delta)$ is a finite, connected subcomplex of K , $\Lambda(\delta)$ is obtained from $\hat{\Lambda}(\delta)$ by “plugging up holes”. Each hole is a subcomplex of K which is the closure of an open 2-disk. If H is such a hole, then $f(\text{bd } H) \subset f(\hat{\Lambda}(\delta))$; $f(\hat{\Lambda}(\delta))$ is a

line segment and $f(\text{bd } H)$ is compact and connected, so $f(\text{bd } H)$ is a line segment or a point. By Lemma 2.3, $f(H) \subset f(\text{bd } H)$, so that every 2-simplex of H is collapsed. If any 2-simplex β of H were of type EC or SC, it would be in $\hat{\Lambda}(\delta)$ (since $f(\beta) \subset f(\text{bd } H) \subset f(\hat{\Lambda}(\delta))$), a contradiction; thus all 2-simplices of H are of type PC.

(ii) This follows from (i).

(iii) From Lemma 3.1, the minimality condition in the definition of $\Lambda(\delta)$ and (i) of this lemma, it follows that $\Lambda(\delta)$ is a 1-connected subcomplex of K which is the union of 2-simplices. Therefore $\Lambda(\delta)$ is the union of maximal 2-disks, any two of which meet in at most one common boundary vertex. Each maximal 2-disk must contain at least one type EC or SC 2-simplex (which is in $\hat{\Lambda}(\delta)$), by the minimality of $\Lambda(\delta)$. The proof that $\Lambda(\delta)$ is only one such 2-disk is the same as the proof of connectivity in Lemma 3.1. $\square$

DEFINITION. Let f and δ be such that $\Lambda(\delta)$ is a 2-disk. A vertex of $\partial\Lambda(\delta)$ which is mapped by f to the relative interior of $f(\Lambda(\delta))$ is called a *side vertex* of $\Lambda(\delta)$; any other vertex of $\partial\Lambda(\delta)$ is an *end vertex* of $\Lambda(\delta)$. Let e_1, e_2 be the two endpoints of $f(\Lambda(\delta))$. We say $\Lambda(\delta)$ is *simple* if it has the following properties:

$\Lambda(\delta)$ is a 2-disk such that $\partial\Lambda(\delta) = E_1 \cup S_1 \cup E_2 \cup S_2$, where E_i, S_i are (closed) polygonal arcs,

the E_i are possibly single vertices,

the S_i contain at least one 1-simplex each,

$f(E_i) = e_i, f(S_i) = f(\Lambda(\delta))$, and no subarc of S_i has this property,

$E_i \cap S_j$ is a single vertex,

$S_1 \cap S_2$ is empty (if neither E_i is a single vertex) or a single vertex (if exactly one E_i is a single vertex) or two vertices (if both E_i are single vertices), and

E_1, S_1, E_2, S_2 cover $\partial\Lambda(\delta)$ when it is traversed one time around in clockwise order. The E_i are called *ends* of $\Lambda(\delta)$ and the S_i *sides*. See Figure 3.1.

REMARK. E_i may not be all of $f^{-1}(e_i) \cap \Lambda(\delta)$, although no 2-simplex in $f^{-1}(e_i) \cap \Lambda(\delta)$ can intersect E_i in a 1-simplex, by the minimality of $\Lambda(\delta)$.

LEMMA 3.3. *If $f \in \text{OBR}(K)$, then*

(i) *all f -segment complexes are simple, and*

(ii) *the edge-point-inverses of an f -segment complex are nontrivial arcs with one endpoint in each of its sides.*

FIGURE 3.1

PROOF. (i) Let $\Lambda(\delta)$ be an f -segment complex; by Lemma 3.2(iii) it is a 2-disk. Lemma 2.4 implies that $f(\Lambda(\delta)) = f(\partial\Lambda(\delta))$. Let $E_1, \dots, E_n$ be the maximal, connected subcomplexes of $\partial\Lambda(\delta)$ which are mapped to either endpoint of $f(\Lambda(\delta))$; since both endpoints are in $f(\partial\Lambda(\delta))$, $n \geq 2$.

The E_i are disjoint, so

$$\partial\Lambda(\delta) = E_1 \cup S_1 \cup E_2 \cup S_2 \cup \dots \cup E_n \cup S_n \quad \text{for some } n \geq 2,$$

where the E_i and S_j have all the properties stated in the definition of simple f -segment complexes with the obvious modifications when $n > 2$. Now, pick any $x \in S_1$ such that $f^{-1}f(x) \cap K^0 = \emptyset$; then $f^{-1}f(x)$ is an edge-point-inverse which intersects all the S_j . By Lemma 2.2, $f^{-1}f(x)$ must be an arc or a point and it follows that $n \leq 2$. Hence $n = 2$ and (i) is proved.

(ii) This follows easily from the argument for (i). $\square$

The following lemma shows that the images of simple f -segment complexes under $f \in R(K)$ behave very much like the images of 1-simplices under a homeomorphism.

LEMMA 3.4. *Let $f \in R(K)$ be such that all f -segment complexes are simple, (in particular, if $f \in \text{OBR}(K)$).*

(i) *If A, B are either distinct f -segment complexes, or distinct noncollapsed 1-simplices not in the same f -segment complex, or an f -segment complex and a noncollapsed 1-simplex not contained in it, then $\text{int } f(A) \cap \text{int } f(B) = \emptyset$.*

(ii) *If A is either an f -segment complex or a noncollapsed 1-simplex and δ is a noncollapsed 2-simplex, then $f(A) \cap \text{int } f(\delta) = \emptyset$.*

REMARK. Part (i) of the above lemma implies, in particular, that the images of simple f -segment complexes cannot intersect transversally.

PROOF OF LEMMA 3.4. The lemma follows immediately from the definition of $R(K)$ (which states that distinct, noncollapsed 2-simplices cannot have the interiors of their images overlap), once the following observation is made: If A is as in the statement of the lemma, there is a neighborhood of $\text{int } f(A)$ entirely contained in the images of noncollapsed 2-simplices which intersect the component of A in

$$\hat{A} \cup \{ \delta \mid \delta \in K^2 \text{ is of type PC, } f(\delta) \subset f(A) \},$$

where $\hat{A}$ is either A or, if it exists, the f -segment complex containing A . $\square$

4. f -side complexes.

LEMMA 4.1. *Let $f \in \text{OBR}(K)$ and let $\delta \in K^2$ be of type EC or SC. Then*

$$f^{-1}(\text{int } f(\Lambda(\delta))) = [\Lambda(\delta) - E_1 - E_2] \cup M_1 \cup \dots \cup M_m,$$

where the E_i are the ends of $\Lambda(\delta)$, and the M_i are 1-connected subcomplexes of K , each containing at least one side vertex w_i of $\Lambda(\delta)$, and contained in

$$f^{-1}(f(w_i)) - \text{int } \Lambda(\delta).$$

DEFINITION. The M_i in Lemma 4.1 are called the f -side complexes of $\Lambda(\delta)$.

REMARKS. (1) Each f -side complex is only an f -side complex of one f -segment complex, by Lemma 3.4(i).

(2) An f -side complex intersects the f -segment complex it is associated with in a subarc (possibly trivial) of one side of the f -segment complex.

PROOF OF LEMMA 4.1. First, let

$$M = f^{-1}(\text{int } f(\Lambda(\delta))) - \text{int } \Lambda(\delta) \\ - \{ \text{int } A \mid A \text{ is a noncollapsed side 1-simplex of } \Lambda(\delta) \}.$$

Using Lemma 3.4, it is routine to show that any 1- or 2-simplex of K , which intersects M in its relative interior, must be mapped to a point. It follows that M is a subcomplex of K and that each component of M is mapped to a point. Let $M_1, \dots, M_m$ be the components of M . Since each simplex of M is mapped to a point, so is each M_i . No M_i can contain a point of $\Lambda(\delta)$ which is not in a side vertex or in a collapsed side 1-simplex. Suppose some M_j were not simply connected; being a subcomplex, it would then have a hole H which is a subcomplex of K , is the closure of an open 2-disk, and is such that $H \cap M_j = \text{bd } H$. $f(\text{bd } H) \subset f(M_j)$, so $f(\text{bd } H)$ is a point. By Lemma 2.3, $f(H) \subset f(\text{bd } H)$, so $f(H)$ is a point, and thus $H \subset M_j$, a contradiction. Hence M_j is 1-connected (being connected by definition).

We now wish to show that each M_i intersects $\Lambda(\delta)$, so suppose otherwise for some M_j . M_j is a finite, full, contractible subcomplex of K , and hence the simplicial neighborhood N of M_j in K (that is, the union of all (closed) 2-simplices of K which intersect M_j) is a subcomplex of K whose interior is an open 2-disk. Also, no vertex of $\text{bd } N$ can be mapped to $f(M_j)$, by the maximality of M_j , since each vertex of $\text{bd } N$ is the endpoint of a 1-simplex which intersects M_j . On the other hand, it is easy to verify that no 2-simplex of K can intersect both M_j and $\Lambda(\delta)$, and yet be in neither, so that $f(\text{bd } N) \cap f(\Lambda(\delta)) = \emptyset$. Thus, $f(M_j) \subset f(\Lambda(\delta))$ implies $f(M_j) \not\subset f(\text{bd } N)$, so that $f(N) \not\subset f(\text{bd } N)$.

Now, since $f \in R(K)$, it follows that all the 2-simplices intersecting M_j , but not in M_j , are of types EC and SC, or otherwise the interiors of the images of the uncollapsed ones would intersect the interiors of the images of some uncollapsed 2-simplices intersecting $f^{-1}f(\Lambda(\delta))$. $f(N)$ is therefore a line segment. Since $\text{bd } N$ is connected, $f(\text{bd } N)$ must be a line segment or a point. Lemma 2.3 now implies that $f(N) \subset f(\text{bd } N)$, contradicting the conclusion of the preceding paragraph. Thus M_j must intersect $\Lambda(\delta)$.

As mentioned previously, $M_i \cap \Lambda(\delta)$ must be a collapsed, connected subcomplex of one side of $\Lambda(\delta)$, or a single side vertex, so in particular $M_i \cap \Lambda(\delta)$ must contain a side vertex w_i . $f(M_i)$ is a point, so $M_i \subset f^{-1}f(w_i)$, and by definition $M_i \cap \text{int } \Lambda(\delta) = \emptyset$, so $M_i \subset f^{-1}f(w_i) - \text{int } \Lambda(\delta)$. Finally,

$$M_1 \cup \dots \cup M_m = M = f^{-1}(\text{int } f(\Lambda(\delta))) - \text{int } \Lambda(\delta) \\ - \{ \text{int } A \mid A \text{ is a noncollapsed side 1-simplex of } \Lambda(\delta) \},$$

so

$$[\Lambda(\delta) - E_1 - E_2] \cup M_1 \cup \dots \cup M_m = [f^{-1}(\text{int } f(\Lambda(\delta))) - \text{int } \Lambda(\delta) \\ - \{ \text{int } A \mid A \text{ is a noncollapsed side 1-simplex of } \Lambda(\delta) \}] \\ \cup [\Lambda(\delta) - E_1 - E_2] \\ = f^{-1}(\text{int } f(\Lambda(\delta))). \quad \square$$

5. f -vertex-inverses.

LEMMA 5.1. Let $f \in \text{OBR}(K)$ and let $v \in K^0$. Then

(i) if $f(v) \in \text{int } f(\Lambda(\delta))$ for a (unique) f -segment complex $\Lambda(\delta)$, then $f^{-1}f(v) \cap \Lambda(\delta)$ is 1-connected, and

(ii) if $f(v) \notin \text{int } f(\Lambda(\delta))$ for any f -segment complex $\Lambda(\delta)$, then

$$f^{-1}f(v) = \bigcup \{ \text{int } \Lambda(\gamma) \mid \gamma \in K^2 \text{ is of type EC or SC} \}$$

is a 1-connected subcomplex of K .

REMARK. In case (i), $f^{-1}f(v) \cap \Lambda(\delta)$ need not be a subcomplex of $\Lambda(\delta)$, although it is the union of a subcomplex and line segments that span type EC or SC 2-simplices.

DEFINITION. If v is as in case (i) or (ii) of Lemma 5.1 (it must be as in one of the cases), then $f^{-1}f(v) \cap \Lambda(\delta)$ or

$$f^{-1}f(v) = \bigcup \{ \text{int } \Lambda(\gamma) \mid \gamma \in K^2 \text{ is of type EC or SC} \},$$

respectively, is the f -vertex-inverse of v , denoted $\Gamma(v)$.

PROOF OF LEMMA 5.1. (i) Suppose $\Gamma(v)$ is not simply connected; then there is a polygonal circle C in $\Gamma(v)$ such that the interior of the 2-disk D bounded by C is not entirely contained in $\Gamma(v)$. It follows that there must be a 1-simplex A of $\Lambda(\delta)$ such that $A \cap \text{int } D - \Gamma(v)$ contains a line segment. Pick some $x \in A \cap \text{int } D - \Gamma(v)$ such that $f^{-1}f(x) \cap K^0 = \emptyset$. By Lemma 3.3(ii), $f^{-1}f(x)$ must be an arc with each

FIGURE 5.1

FIGURE 5.2

of its endpoints in the boundary of a noncollapsed 2-simplex, so that $f^{-1}f(x) \cap C \neq \emptyset$ since $\text{int } D \subset \text{int } \Lambda(\delta)$; it follows that $v \in f^{-1}f(x)$, contradicting the choice of x , and hence $\Gamma(v)$ must be simply connected. See Figure 5.1.

To see that $\Gamma(v)$ is connected, first note that $f(v)$ separates $f(\Lambda(\delta))$, so let Δ be one of the components of $f(\Lambda(\delta)) - f(v)$ and let

$$T = \{ \gamma \in \Lambda(\delta) \mid \gamma \cap \Gamma(v) \neq \emptyset \text{ and } f(\gamma) \cap \Delta \text{ is a line segment} \}.$$

T is not empty. One can choose $y \in T$ such that $f^{-1}f(y) \cap K^0 = \emptyset$ and there is no $w \in K^0$ with $f(w) \in f(\Lambda(\delta))$ between $f(v)$ and $f(y)$. $f^{-1}f(y)$ is an arc by Lemma 3.3(ii) and it intersects every 2-simplex in T . Hence T is mod 2 connected along noncollapsed edges. Since each 2-simplex in T intersects $\Gamma(v)$, it follows easily that $\Gamma(v) \cap T$ is connected. However, every component of $\Gamma(v)$ must intersect T (using the simple connectivity of $\Gamma(v)$ and the hypothesis on f), and it follows that $\Gamma(v)$ is connected.

(ii) First, note that $f^{-1}f(v)$ is a 1-connected subcomplex of K by an argument like that in Lemma 4.1. Now,

$$W = K - \bigcup \{ \text{int } \Lambda(\gamma) \mid \gamma \in K^2 \text{ is of type EC or SC} \}$$

is a subcomplex, so $\Gamma(v) = f^{-1}f(v) \cap W$ is a subcomplex. $\Gamma(v)$ is seen to be connected by an argument like the proof of Lemma 3.4, and simply connected similarly to the simple connectivity of f -side complexes (Lemma 4.1). $\square$

Let $f \in \text{OBR}(K)$ and let $\Gamma(v)$ be an f -vertex-inverse. Being simply connected, $\Gamma(v)$ is the union of maximal 2-disks (which are subcomplexes of K), 1-simplices, and line segments that span type EC or SC 2-simplices; in §7 we will use some of the above types of unionands.

DEFINITION. A unionand of $\Gamma(v)$ as above is called a *piece* of $\Gamma(v)$ if it is either (1) a 2-disk, (2) a 1-simplex (not in $\partial\Lambda(\delta)$ if we are in case (i) of the definition of $\Gamma(v)$), or (3) a spanning line segment that contains a vertex (so that it spans a type SC 2-simplex). If P is a piece of $\Gamma(v)$, then a *tooth* of P is a 2-simplex η (contained in $\Lambda(\delta)$ if we are in case (i) of the definition of $\Gamma(v)$) which intersects P in exactly one 1-simplex if P is of type (1) or (2) above, or is spanned by P if P is of type (3) above. (In the first case η is of type EC, and in the second case type SC.) The vertices of η not in P are called *tips* of P .

REMARKS. (1) Not every unionand of $\Gamma(v)$ is a piece of $\Gamma(v)$, although every f -vertex-inverse contains at least one piece.

(2) Each tooth corresponds to a unique piece.

(3) Every piece has at least two tips.

DEFINITION. Given a piece P of $\Gamma(v)$ and two (distinct) tips u, w of P (contained in teeth η, γ , respectively, which may not be distinct), a *pulling path* for P, u and w is a finite polygonal path $l: [0, 1] \rightarrow \text{int } P \cup \eta \cup \gamma$ such that:

(i) l is injective,

(ii) $l(0) = u, l(1) = w$ and $l((0, 1)) \cap \partial\eta = \emptyset = l((0, 1)) \cap \partial\gamma$,

(iii) $l((0, 1))$ contains no vertices, and

(iv) $l([0, 1])$ intersects 1-simplices transversally (and P also if P is a spanning line segment), at most once each. See Figure 5.2.

REMARK. Given two distinct tips of a piece there is always a (not necessarily unique) pulling path connecting them.

6. Ordering vertices and 1-simplices. Let $f \in \text{OBR}(K)$ and let $\Lambda(\delta)$ be an f -segment complex. Lemma 3.3(i) says that $\Lambda(\delta)$ has two sides; choose one to be called the *top side* and the other the *bottom side*. Suppose, without loss of generality, that the top side is labelled S_1 in the decomposition $\partial\Lambda(\delta) = E_1 \cup S_1 \cup E_2 \cup S_2$ going clockwise around $\partial\Lambda(\delta)$, as in the definition of simple f -segment complexes. Of the two directions perpendicular to $f(\Lambda(\delta))$, let the *positive direction* be the one which, if it coincided with the positive y -axis direction, would make $f(E_2) - f(E_1)$ be in the positive x -axis direction. Let the *positive half-plane* be the component of $\mathbb{R}^2 - \{\text{line containing } f(\Lambda(\delta))\}$ corresponding to the positive direction. Finally, Lemma 3.3(ii) says that every edge-point-inverse in $\Lambda(\delta)$ has exactly one endpoint in each side of $\Lambda(\delta)$, and we call these endpoints the *top* and *bottom* ones corresponding to which sides they are in.

REMARK. If γ is a noncollapsed 2-simplex of K which intersects the interior of the top side of $\Lambda(\delta)$, then $\text{int } f(\gamma)$ is in the positive half-plane.

Let A, B be distinct, noncollapsed 1-simplices of $\Lambda(\delta)$ such that $f(A) \cap f(B)$ is a line segment. Then for any $x \in f(A) \cap f(B)$ such that $f^{-1}(x)$ is an edge-point-inverse, $f^{-1}(x) \cap A$ and $f^{-1}(x) \cap B$ are distinct points in the arc $f^{-1}(x)$.

DEFINITION. For A, B and x as above, we say A is *above* B if $f^{-1}(x) \cap A$ is closer to the top endpoint of $f^{-1}(x)$ than $f^{-1}(x) \cap B$; we also say B is *below* A . That this definition does not depend on the choice of x is just the initial step in the proof of Lemma 6.1.

NOTE. For $A, B \in \Lambda(\delta)^1$ such that $f(A) \cap f(B)$ is not a line segment, neither A nor B is above the other.

DEFINITION. Let $A \in \Lambda(\delta)^1$ be noncollapsed and let $v \in \Lambda(\delta)^0$ be such that $f(v) \in \text{int } f(A)$; we say v is *above* A if, for any noncollapsed $B \in \Lambda(\delta)^1$ which intersects the component of v in $\Gamma(v) - A$, B is above A . It can be checked, as in the previous definition, that the choice of B does not matter. If v is above A , and A is above all other 1-simplices of $\Lambda(\delta)$ which v is above, then we say v is *immediately above* A .

NOTE. (1) If $A = \langle w, u \rangle$ is above B and $f(w) \in \text{int } f(B)$, then w is above B .

(2) For $v \in \Lambda(\delta)^0$, v need not be above any 1-simplex of $\Lambda(\delta)$; if it is above some 1-simplices, then there is a unique 1-simplex which it is immediately above (by Lemma 6.1).

LEMMA 6.1. Let $f \in \text{OBR}(K)$ and let $\Lambda(\delta)$ be an f -segment complex with chosen top side. If $A_0, \dots, A_n$ are distinct, noncollapsed 1-simplices of $\Lambda(\delta)$ such that A_i is above A_{i+1} for $0 \leq i \leq n-1$, then A_n is not above A_0 . In particular, there cannot exist two distinct 1-simplices each above the other.

PROOF. The proof is by induction on n , where we assume $n \geq 1$. For $n = 1$, suppose the lemma is false, i.e. A_1 is above A_0 . Since A_0 is above A_1 by hypothesis, there is an edge-point-inverse λ which intersects the interiors of A_0 and A_1 so that $\lambda \cap A_0$ is closer to the top endpoint of λ . Since A_1 is above A_0 , there is also an edge-point-inverse μ intersecting the interiors of A_0 and A_1 , so that $\mu \cap A_1$ is closer to the top endpoint of μ . Note that μ and λ cannot intersect and that neither can intersect A_0 or A_1 more than once (or once nontransversally). Hence μ cannot intersect A_0 before it intersects A_1 (coming from the top). Using λ , A_1 has a “top” side and a “bottom” side, and μ intersects A_1 either from top to bottom or vice-versa. The bottom-to-top case is pictured in Figure 6.1. Label points a, b, c and d as in the figure. In the bottom-to-top case, it is seen that for μ to intersect the bottom side of $\Lambda(\delta)$ (which it must do), μ must intersect (in a point below c) the circle which is the union of λ from a to b , A_1 from b to c , μ from c to d , and the top side of $\Lambda(\delta)$ from d to a . However, such an intersection cannot happen, so the

FIGURE 6.1

bottom-to-top case is impossible. A similar contradiction is obtained in the top-to-bottom case, and the lemma holds for $n = 1$.

Now suppose that $n \geq 2$ and the inductive hypothesis holds for all cases with fewer than $n + 1$ 1-simplices. For each $0 \leq i \leq n - 1$, let λ_i be an edge-point-inverse which intersects the interiors of A_i and A_{i+1} so that $\lambda_i \cap A_i$ is closer to the top endpoint of λ_i . Define λ to be the spanning arc of $\Lambda(\delta)$ which is the union of λ_0 from its top to $\lambda_0 \cap A_1$, A_1 between $\lambda_0 \cap A_1$ and $\lambda_1 \cap A_1$, λ_1 from $\lambda_1 \cap A_1$ to $\lambda_1 \cap A_2$, A_2 between $\lambda_1 \cap A_2$ and $\lambda_2 \cap A_2$, ..., A_{n-1} between $\lambda_{n-2} \cap A_{n-1}$ and $\lambda_{n-1} \cap A_{n-1}$, and λ_{n-1} from $\lambda_{n-1} \cap A_{n-1}$ to its bottom. See Figure 6.2. Suppose the lemma is false, so that there exists an edge-point-inverse μ which intersects the interiors of A_0 and A_n so that $\mu \cap A_n$ is closer to the top endpoint of μ . If μ intersected some A_i , $1 \leq i \leq n - 1$, before it intersected A_n , then A_i would be above A_0 , contradicting the inductive hypothesis for $A_0, \dots, A_i$; if μ intersected such A_i after intersecting A_n , then A_n would be above A_i , contradicting the inductive hypothesis for $A_i, \dots, A_n$. Hence $\mu \cap A_i = \emptyset$ for $1 \leq i \leq n - 1$. As before, $\mu \cap \lambda_i = \emptyset$ for all i , and hence $\mu \cap \lambda = \emptyset$. The same analysis as for $n = 1$, when applied to A_0, A_n, λ and μ , shows μ cannot exist, and the lemma is proved. $\square$

The following lemma is straightforward.

LEMMA 6.2. *Let $\gamma = \langle a, b, c \rangle$ be a type EC or SC 2-simplex in $\Lambda(\delta)$, with $\langle a, c \rangle$ above $\langle a, b \rangle$. If $g: \gamma \rightarrow \mathbf{R}^2$ is an affine linear map with $g(a) = f(a)$, $g(b) = f(b)$ and $g(c)$ in the positive half-plane, then $\det(g|\gamma) > 0$. If $T: \mathbf{R}^2 \rightarrow \mathbf{R}^2$ is any orientation preserving affine linear map, then $\det(T \circ g|\gamma) > 0$. $\square$*

FIGURE 6.2

7. Pulling apart collapses. The main technical result of this paper, from which Theorem 1.2 will be deduced, is the following proposition.

PROPOSITION 7.1. *Let $f \in \text{OBR}(K)$ and $\rho > 0$ be given. Then there is a finite polygonal path $f_t: [0, 1] \rightarrow \text{OBR}(K)$ of length less than ρ such that $f_0 = f$ and $f_1 \in E(K)$.*

COROLLARY 7.2. *If $f \in R(K)$ is oriented, then $f \in \overline{E(K)}$.*

PROOF. If f is boundary-nice, then the corollary follows immediately from Proposition 7.1. If f is not boundary-nice, then by adding an appropriately triangulated collar to the outside of K and suitably extending f to the collar by an embedding, we can reduce this case to the boundary-nice case. $\square$

COROLLARY 7.3. *If $f \in \overline{E(K)}$ is injective on ∂K , then there is a finite polygonal path in $\overline{E(K)}$ of arbitrarily short length from f to a point in $E(K)$.*

PROOF. This follows immediately from Proposition 7.1, the implication (1) $\Rightarrow$ (6) in Theorem 1.2 (which does not require Proposition 7.1), and the collaring argument in the proof of Corollary 7.2. $\square$

PROOF OF PROPOSITION 7.1. Let $S(f)$ be the number of 2-simplices collapsed by f ; the proof is by induction of $S(f)$. If $S(f) = 0$, it follows from Lemma 1.1 that $f \in E(K)$, and there is nothing to prove. Now assume $S(f) > 0$. We will proceed by constructing a homotopy $f_t: [0, 1] \rightarrow \text{OBR}(K)$ such that $f_0 = f$, $S(f_1) < S(f)$, and the homotopy is a straight line of length less than $1/2\rho$. Induction will then complete the proof. To define the homotopy we will find a collection of vertices, denoted $V(f)$, such that $f(V(f))$ is a point, and then move the image of $V(f)$ slightly, keeping it a point; other vertices may have their images moved as well, in order to insure that all maps are oriented and in $R(K)$. The length of the homotopy may have to be much less than $1/2\rho$.

Since f is boundary-nice, it is easy to see that not all collapsed 2-simplices are of type PC, and hence there is at least one (nonempty) f -segment complex. By Lemma 3.3(i) all f -segment complexes are simple. We consider two cases.

Case 1. Some f -segment complex has a side vertex. Let $\Lambda(\delta)$ be an f -segment complex with side vertex v . Then $\Gamma(v) = f^{-1}f(v) \cap \Lambda(\delta)$ is 1-connected by Lemma 5.1(i). Note that $\Gamma(v) \cap \text{int } \Lambda(\delta) \neq \emptyset$; it follows that $\Gamma(v)$ must have some piece P which contains v (and is not, by definition, a single side 1-simplex in $\partial\Lambda(\delta)$). Moreover, we can pick tips z, w of P such that $f(z)$ and $f(w)$ lie in distinct components of $f(\Lambda(\delta)) - f(v)$. Let l be a pulling path for P, z, w . $l([0, 1])$ separates $\Gamma(v)$ into two connected subsets, and let $V(f)$ be the vertices of the subset containing v (and hence $f^{-1}f(v) \cap \partial\Lambda(\delta)$). We will define f_t by specifying its action on vertices; in particular, f_t will move the image of $V(f)$ by starting at $f(V(f))$ and then making a straight line (shorter than $1/2\rho$) into the positive half-plane, at any chosen angle with $f(\Lambda(\delta))$. (Here the choice of angle is irrelevant, but in an application of this proof in [B] it will be necessary to note that any particular angle will work.) See Figure 7.1.

We need to determine which other vertices of K need to have their images moved, and how to move them, so that f_i will be oriented and in $R(K)$ (boundary-nice is no problem if f_i moves all vertices by small enough amounts). Only vertices in $f^{-1}f(\text{int } \Lambda(\delta))$ will be moved. We will first discuss the vertices of $\Lambda(\delta)$; we will use the ideas of the previous section to give an ordering to these vertices, thus allowing an inductive definition of $f_i|\Lambda(\delta)^0$. Let the side of $\Lambda(\delta)$ containing v be chosen as the top side.

DEFINITION. A noncollapsed 1-simplex A of $\Lambda(\delta)$ is called *movable* if there is a chain $A = A_0, A_1, \dots, A_n$ of noncollapsed 1-simplices of $\Lambda(\delta)$ such that A_i is above A_{i+1} for $0 \leq i \leq n-1$, and A_n intersects $V(f)$ (necessarily in a single endpoint). A vertex $v \in \Lambda(\delta)$ is *movable* if it is above some movable 1-simplex (and hence is immediately above a unique one).

It is easy to see that if A is movable, then $f(V(f)) \notin \text{int } f(A)$, using Lemma 6.1; hence the set of all movable 1-simplices is $\mathcal{M}_R \cup \mathcal{M}_L$, where

$$\mathcal{M}_R = \{A \in \Lambda(\delta)^1 \mid A \text{ is movable and } \text{int } f(A) \text{ is in the right-hand component of } f(\Lambda(\delta)) - f(V(f))\},$$

and similarly for $\mathcal{M}_L$ using left instead of right. Correspondingly, the set of all movable vertices is $\mathcal{V}_R \cup \mathcal{V}_L$, where $v \in \mathcal{V}_R$ iff it is above something in $\mathcal{M}_R$, and similarly for $\mathcal{V}_L$. It follows from Lemma 6.1 that we can order the members of $\mathcal{M}_R$, writing them $A_1, \dots, A_r$ in order, so that A_i is not above A_j for all $j > i$. The members of $\mathcal{M}_L$ can be similarly ordered, writing them $B_1, \dots, B_l$ in order. Note that nothing in $\Lambda(\delta)^1 - \mathcal{M}_R$ is above anything in $\mathcal{M}_R$, and similarly for $\mathcal{M}_L$.

FIGURE 7.1

DEFINITION. For $v \in \Lambda(\delta)^0$, define $N(v)$ by

$$N(v) = \begin{cases} 0 & \text{if } v \in V(f); \\ i & \text{if } v \in \mathcal{V}_R \text{ and } v \text{ is immediately above } A_i, \text{ or} \\ & v \in \mathcal{V}_L \text{ and } v \text{ is immediately above } B_i; \\ -1 & \text{otherwise.} \end{cases}$$

REMARK. If $v \in \Lambda(\delta)$ has $N(v) > 0$ and v is immediately above $A = \langle a, b \rangle$, then $N(a), N(b) < N(v)$.

We now define $f_t(v)$ for $v \in \Lambda(\delta)^0$, inductively on $N(v)$. If $N(v) = -1$, let $f_t(v) = f_0(v)$ for all $t \in [0, 1]$. If $N(v) = 0$, then $v \in V(f)$, and $f_t(v)$ has been specified already. Now suppose that $N(v) > 0$ and $f_t(w)$ has been defined for all $w \in \Lambda(\delta)^0$ such that $N(w) < N(v)$. By the definition of $N(v)$, v is immediately above $A_{N(v)} = \langle a, b \rangle$. $N(a), N(b) < N(v)$ by the previous remark, so f_t is defined on $A_{N(v)}$.

We define $f_t(v)$ to be the intersection of the line segment $f_t(A_{N(v)})$ (which is not collapsed if we move $V(f)$ by a very small amount) and the line l which contains $f(v)$ and is parallel to $\langle f_t(v(f)), f_0(V(f)) \rangle$. Note that since $V(f)$ is moved in a straight line by f_t , l does not depend on t , and also that the required intersection exists if $V(f)$ is moved by a very small amount.

For any vertex v in $f^{-1}(\text{int } f(\Lambda(\delta))) - \Lambda(\delta)$, v is in an f -side complex which contains at least one side vertex w of $\Lambda(\delta)$; all such side vertices are mapped by f to the same point and f_t moves them in the same way, so we let $f_t(v) = f_t(w)$. This completes the definition of f_t on all vertices of $f^{-1}(\text{int } f(\Lambda(\delta)))$; f_t fixes all other vertices, and we have defined a continuous map $f_t: [0, 1] \rightarrow \{\text{SL maps } K \rightarrow \mathbb{R}^2\}$.

It is evident from the definition of f_t that the teeth used to define the pulling path for $\Gamma(v)$ are not collapsed by f_t for $t \in (0, 1]$, but since they are collapsed by $f_0 = f$, $S(f_t) < S(f)$ for $t \in (0, 1]$. (Clearly nothing new is collapsed during the homotopy if f_t moves vertices by small enough amounts.) Also, since f is boundary-nice, it is clear that if f_t is a small enough homotopy, then it is boundary-nice for all t . Hence, to finish the proof of Case 1, it remains to be seen that f_t is oriented and in $R(K)$ for all t .

To show $f_t \in R(K)$, it suffices, by Lemma 3.1, to show that $\det(f_t|_\gamma) \geq 0$ for all $\gamma \in K^2$. It is evident that for $\gamma \notin \Lambda(\delta)^2$, $\det(f_t|_\gamma) = \det(f|_\gamma) \geq 0$ for a small enough homotopy; hence we need only examine $\gamma \in \Lambda(\delta)^2$. There are a number of cases. If γ is one of the teeth used to define the pulling path, then it can be checked that $\det(f_t|_\gamma) > 0$ for $t \in (0, 1]$, using the way in which the images of vertices in $V(f)$ are moved and Lemma 6.2. If γ is a type PC 2-simplex (with respect to f) contained in $\Gamma(v)$, then the definition of f_t implies that γ is either of type PC or EC with respect to f_t ($t \in (0, 1]$), so that $\det(f_t|_\gamma) = 0$. Now, if $B \in \Lambda(\delta)^1$ is mapped by f to a point other than $f(V(f))$, it is seen that $f_t(B)$ is a point for all t . Therefore, if γ is either a type PC 2-simplex not in $\Gamma(v)$, or a type EC 2-simplex which is not one of the teeth of $\Gamma(v)$ used above (both with respect to f), then γ remains of the same type with respect to f_t , and hence $\det(f_t|_\gamma) = 0$. Finally, suppose γ is of type SC (with respect to f), so that $\gamma = \langle a, b, c \rangle$ with $f(a) \in \text{int } f(\langle b, c \rangle)$. If a is above

$\langle b, c \rangle$ then it is clearly immediately above, and thus $f_t(a) \in \text{int } f_t(\langle b, c \rangle)$ for all t (by the definition of f_t), so $\det(f_t|_\gamma) = 0$. The only remaining case is when a is not above $\langle b, c \rangle$; the desired result in this case will follow from the following Claim and Lemma 6.2. First some definitions:

Fix $t \in (0, 1]$. Let us assume that $f(\Lambda(\delta))$ is in the x -axis, $f(V(f))$ is the origin, and the positive half-plane is the standard upper half-plane. The line segment $\langle f_t(V(f)), f_0(V(f)) \rangle$ may make any angle in $(0, \pi)$ with $f(\Lambda(\delta))$, but we will assume for convenience that the angle is $\pi/2$, since the obvious modifications of our arguments will work for any angle. Let $\pi_x: \mathbf{R}^2 \rightarrow \mathbf{R}$ be projection onto the x -axis. Note that for movable $A, B \in \Lambda(\delta)^1$, if the line segments $f_t(A)$ and $f_t(B)$ do not intersect in their interiors and if $\pi_x(f_t(A)) \cap \pi_x(f_t(B))$ is a line segment, then either for all $p \in \text{int}[\pi_x(f_t(A)) \cap \pi_x(f_t(B))]$, $\pi_x^{-1}(p) \cap f_t(A)$ has larger y -coordinate than $\pi_x^{-1}(p) \cap f_t(B)$, or, for all such p , the opposite inequality of y -coordinates holds; in the first case we say $f_t(A)$ is *Euclideanly-above* $f_t(B)$, and vice-versa in the second. See Figure 7.2.

In this paragraph and in the following claim, we will discuss some properties of the images (under f_t) of the movable 1-simplices. All such 1-simplices are either in $\mathcal{M}_R$ or $\mathcal{M}_L$ (but not both), so we will only discuss $\mathcal{M}_R$, since $\mathcal{M}_L$ is exactly the same. Let e_R be the right endpoint of $f_t(\Lambda(\delta))$, let T_R be the triangle with vertices $\{e_R, f(V(f)), f_t(V(f))\}$, and let

$$D_i = T_R - \bigcup_{k=1}^i \{\text{trapezoid between } f_t(A_k) \text{ and } f(\Lambda(\delta))\}$$

for $1 \leq i \leq r$, where $\mathcal{M}_R = \{A_1, \dots, A_r\}$ as before. See Figure 7.3.

FIGURE 7.2

Claim. For all $1 \leq i \leq r$,

- (i) $f_i(A_k)$ and $f_i(A_j)$ do not intersect transversally in their interiors for $k, j \leq i$,
- (ii) D_i is convex, and
- (iii) if $f_i(A_k)$ is Euclideanly-above $f_i(A_j)$ for distinct $k, j \leq i$, then A_k is above A_j (so that $k > j$).

Demonstration. We will proceed by induction on i . The case $i = 1$ is trivial, since it is easy to see (from the definition of the A_j 's) that $f_1(A_1)$ joins $f_1(V(f))$ to a point in $\langle f(v(f)), e_R \rangle$. Now suppose the claim holds for $i - 1$; we will first check that both endpoints of $f_i(A_i)$ are in $\partial D_{i-1} - \langle f_i(V(f)), e_R \rangle$. Let b be an endpoint of A_i ; it is clear from the definition of the A_i 's that b is immediately above some A_m , $m < i$; hence $f_i(b) \in \overline{T_R - D_{i-1}}$. Suppose

$$f_i(b) \in T_R - D_{i-1} = \overline{T_R - D_{i-1}} - (\partial D_i - \langle f_i(V(f)), e_R \rangle);$$

either $f_i(b) \in \langle f_i(V(f)), f(v(f)) \rangle$ or not. In the latter case, it is seen that $f_i(b)$ must be Euclideanly-below (in the obvious sense) some $f_i(A_k)$ ($k < i$) which intersects ∂D_{i-1} . See Figure 7.4. b is immediately above some A_q ($\neq A_k$), where $f(A_q)$ must be Euclideanly-below $f_i(A_k)$. However, (iii) applied to $i - 1$ implies that A_k is above A_q , and since b is above A_k it follows that b could not have been immediately above A_q , a contradiction. The other case is that $f_i(b) \in \langle f_i(V(f)), f(v(f)) \rangle$; since we are assuming that $f_i(b) \notin \partial D_i$, it is easy to see that $f_i(b) \in f(v(f))$, so that $b \in [f^{-1}f(v) \cap \Lambda(\delta)] - V(f)$. Since $V(f)$ contains boundary vertices on the top side of $\Lambda(\delta)$, it follows that A_1 (which intersects $V(f)$) must be above A_i . In that case, however, some subset of $A_i, A_{i-1}, \dots, A_1$ (containing A_i and A_1) contradicts Lemma 6.1. Thus we have seen that $f_i(b) \notin T_R - D_{i-1}$, so

$$f_i(b) \in \overline{\partial D_{i-1} - \langle f_i(V(f)), f(V(f)) \rangle}.$$

(i) and (ii) now follow for i using (i) and (ii) for $i - 1$, together with the above observation, and (iii) similarly follows for i using (i), (ii), (iii) for $i - 1$. This proves the claim, and hence $f_i \in R(K)$ for all i .

FIGURE 7.3

To see that f_t is oriented, there are three types of noncollapsed 1-simplices (with respect to f_t) for which we need to examine edge-point-inverses. If a (noncollapsed) 1-simplex is not in $\Lambda(\delta)$, then any f_t -edge-point-inverse with respect to an interior point is the same as the corresponding f -edge-point-inverse, which is an arc. If $A \in \Lambda(\delta)^1$ is not collapsed by either f_t or f , then it is seen by the construction of f_t that any f_t -edge-point-inverse with respect to an interior point of A is a submanifold of the corresponding f -edge-point-inverse, and hence is also an arc. Finally, if $A \in \Lambda(\delta)^1$ is collapsed by f but not by f_t , then A is in the piece of $\Gamma(v)$ that is pulled apart; it is easy to see from the definition of a pulling path that the f_t -edge-point-inverses of interior points of A are also arcs (see Figure 5.1), and this completes the proof of Case 1.

Case 2. No f -segment complex has a side vertex. As before, there must be a nontrivial f -segment complex; call it $\Lambda(\delta)$. By Lemma 3.3(i), $\Lambda(\delta)$ is simple, $\partial\Lambda(\delta) = E_1 \cup S_1 \cup E_2 \cup S_2$ for appropriately defined E_i, S_i , and in the present case each S_i is a single (noncollapsed) 1-simplex. It follows that at least one of the E_i is not a single vertex; suppose it is E_1 . Let e be a vertex of E_1 . Since no f -segment complex has side vertices, Lemma 4.1 implies that e satisfies hypothesis (ii) of Lemma 5.1 and $\Gamma(e)$ is defined appropriately. We will pull apart $\Gamma(e)$ just like $\Gamma(v)$ in Case 1, the only difference being that here we need to find a piece of $\Gamma(e)$ which has two teeth in different f -segment complexes; once we find such teeth, the construction of f_t and the proof that it works as desired are exactly analogous to Case 1. We find the teeth as follows.

$E_1 \subset \Gamma(e)$, so some teeth of $\Gamma(e)$ must lie in $\Lambda(\delta)$; we want to find some tooth of $\Gamma(e)$ not contained in $\Lambda(\delta)$. Note, first of all, that no 1-simplex of $\Gamma(e)$ is in ∂K , so every 1-simplex in $\Gamma(e)$ is an edge of two 2-simplices in K . Consider the pieces $R_1, \dots, R_p$ of $\Gamma(e)$ which intersect E_1 . If some R_i is a 1-simplex, then this 1-simplex is the edge of one tooth γ in $\Lambda(\delta)$ and another tooth η not in $\Lambda(\delta)$ (for if both γ and

FIGURE 7.4

η were in $\Lambda(\delta)$, then $R_i \subset E_1$ could not be in $\partial\Lambda(\delta)$). If no R_i is a 1-simplex, then they are all (nontrivial) 2-disks. If all the teeth of all the R_i are in $\Lambda(\delta)$, then ∂R_i is a polygonal circle contained in $\Lambda(\delta)$ for all i . However, $\Lambda(\delta)$ is a simply connected subcomplex of K , so that each R_i must be contained in $\Lambda(\delta)$, a contradiction to the definition of $\Gamma(e)$. Thus we can find some teeth γ, η of $\Gamma(e)$ belonging to some R_i , with γ in $\Lambda(\delta)$, and η not in $\Lambda(\delta)$. This completes the proof of the proposition. $\square$

8. Proof of Theorem 1.2. (6) $\Rightarrow$ (1). The first part of (6) is exactly the same as saying f is oriented, and the second part is $f \in R(K)$, so (1) follows from Corollary 7.2.

(1) $\Rightarrow$ (2) $\Rightarrow$ (3). These implications are trivial.

(2) $\Rightarrow$ (5). Clearly (2) implies that $f \in R(K)$; as in the proof of (3) $\Rightarrow$ (6) below, it follows from (2) that $f^{-1}f(x)$ is simply connected for any $x \in K$, so in particular (5) holds.

(5) $\Rightarrow$ (6). $f \in R(K)$ implies the second part of (6); to see that the first part holds assume otherwise, i.e. there is some $A \in K^1$ with a point $x \in \text{int } A$ such that $f^{-1}f(x) \cap K^0 = \emptyset$ and $f^{-1}f(x)$ is not simply connected. By Lemma 2.1, $f^{-1}f(x)$ must contain a component which is a polygonal circle C . C intersects some noncollapsed 1-simplices (but no collapsed ones), all of which must lie in the same f -segment complex. Let V be the set of vertices of these 1-simplices which are outside of C , and let $v \in V$ be such that $f(v)$ is no farther from $f(x)$ than $f(w)$ for any $w \in V$. It is easy to check that $f^{-1}f(v)$ contains a polygonal circle S which is concentric with C , outside of it. Since $f(C) \neq f(S)$, $f^{-1}f(v)$ is not simply connected, a contradiction, so the first part of (6) holds.

(3) $\Rightarrow$ (6). We only need to show that f is ordered, so suppose not; let $A \in K^1$ be such that there is a point $x \in \text{int } A$ with $f^{-1}f(x) \cap K^0 = \emptyset$ and $f^{-1}f(x)$ not simply connected. Let v and S be as in the proof of (5) $\Rightarrow$ (6), and let u be any vertex inside the region bounded by S (such u must exist). Now, any topological embedding $g: K \rightarrow \mathbf{R}^2$ will have the property that $g(u)$ is in the interior of the region bounded by $g(S)$; hence, since $f(S)$ is a point, it is seen that f is at least as far as $\frac{1}{2}\|f(S) - f(u)\| \geq \epsilon(f)$ from any topological embedding $k \rightarrow \mathbf{R}^2$, a contradiction, so f is ordered.

(4) $\Rightarrow$ (6). Since $\det(g|\delta) > 0$ in ${}^*\mathbf{R}$ for all $\delta \in k^2$, $\det({}^\circ g|\delta) \geq 0$ in $\mathbf{R}$; hence $f = {}^\circ g \in R(K)$, which is the second part of (6). Now suppose the first part of (6) does not hold. Let u and S be as in the proof of (3) $\Rightarrow$ (6), noting that $\|f(S) - f(u)\| > 0$ (in $\mathbf{R}$). Since g is infinitesimally close to f pointwise, it follows that

$${}^\circ(\|g(S) - g(u)\|) > 0 \quad (\text{in } \mathbf{R});$$

this contradicts the fact that g is in $E(K, ({}^*\mathbf{R})^2)$ and $g(S)$ is an infinitesimally small circle, by applying the Transfer Principle of nonstandard analysis (see [D, p. 28]) to the analogous contradiction in the real case.

(6) $\Rightarrow$ (4). By the proof of Corollary 7.2 we may assume f is boundary-nice, so that $f \in \text{OBR}(K)$. We then construct the homotopy as in the proof of Proposition 7.1, but we only move $V(f)$ by an infinitesimally small (but nonzero) amount. Because

$E(K, (*\mathbf{R})^2)$ is defined in terms of determinants, the proof of Proposition 7.1 also works infinitesimally, yielding the desired $g \in E(K, (*\mathbf{R})^2)$ at the end of the homotopy. $\square$

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DEPARTMENT OF MATHEMATICS, UNIVERSITY OF UTAH, SALT LAKE CITY, UTAH 84112