



Kaledin obstruction classes & formality criteria

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November 21, 2022

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1. The notion of formality

- The formality can be addressed as a deformation problem, using the operadic calculus.

2. Kaledin obstruction classes

- Construction of an obstruction theory to formality over any coefficient ring.

3. Formality criteria

- Formality descent with torsion coefficients
- Intrinsic formality criterium
- Degree twisting & automorphisms lifts



The notion of formality



Formal topological spaces

R : commutative ground ring

Definition

A topological space X is **formal** if there exists a zig-zag of quasi-isomorphisms of dga algebras,

$$C_{\text{sing}}^\bullet(X; R) \xleftarrow{\sim} \cdot \xrightarrow{\sim} \cdots \xleftarrow{\sim} \cdot \xrightarrow{\sim} H_{\text{sing}}^\bullet(X; R) \cdot$$

→ Origins in rational homotopy theory (for $\mathbb{Q} \subset R$)

X formal \implies The cohomology ring $H_{\text{sing}}^{\bullet}(X, \mathbb{Q})$ completely determines the rational homotopy type of X .

Examples

- Spheres, complex projective spaces, Lie groups
- Compact Kähler manifolds [DGMS, 1975]

Formality of an algebraic structure

A : chain complex over R

\mathcal{P} : graded algebraic operad

$\phi : \mathcal{P} \rightarrow \text{End}_A$ a dg \mathcal{P} -algebra structure

Definition

The dg \mathcal{P} -algebra (A, ϕ) is **formal** if

$$\exists (A, \phi) \xleftarrow{\sim} \cdot \xrightarrow{\sim} \dots \xleftarrow{\sim} \cdot \xrightarrow{\sim} (H(A), \varphi_0) ,$$

where φ_0 is the canonical \mathcal{P} -algebra structure on $H(A)$.

Examples

- X is formal $:= (C_{\text{sing}}^\bullet(X; R), \cup)$ is formal as dga algebra
- $C(\mathcal{D}_k; \mathbb{R})$ is formal as an operad [Kontsevich, 1999]

Operadic homological algebra

A : chain complex over R

Assumptions:

- reduced connected weight-graded (co)operads
- R is a \mathbb{Q} -algebra in the case of symmetric operads

 \mathcal{P} : graded Koszul operad
$$\mathcal{P}_\infty \xrightarrow{\sim} \mathcal{P} \text{ with } \mathcal{P}_\infty := \Omega \mathcal{P}^i$$
$$\{\mathcal{P}_\infty\text{-algebra structures on } A\} := \mathrm{Hom}_{\mathrm{dgOp}}(\Omega^{\mathcal{P}^i}, \mathrm{End}_A)$$

Proposition

$$\mathrm{Hom}_{\mathrm{dgOp}}\left(\Omega^{\mathcal{P}^i}, \mathrm{End}_A\right) \cong \mathrm{Codiff}\left(\mathcal{P}^i(A)\right)$$

Definition

An ∞ -morphism $F : (A, \varphi) \rightsquigarrow (B, \psi)$ between \mathcal{P}_∞ -algebra structures is a morphism of dg \mathcal{P}^i -coalgebras:

$$(\mathcal{P}^i(A), \varphi) \rightarrow (\mathcal{P}^i(B), \psi) .$$

F is an ∞ -quasi-isomorphism if $F_0 : A \rightarrow B$ is a quasi-isomorphism.

Proposition (R is a characteristic zero field)

zig-zag of quasi-isos of \mathcal{P} -algebras

∞ -quasi-iso

$$\exists (A, \phi) \xleftarrow{\sim} \cdot \xrightarrow{\sim} \cdots \xleftarrow{\sim} \cdot \xrightarrow{\sim} (B, \phi') \iff \exists (A, \phi) \rightsquigarrow (B, \phi')$$

Corollary

A dg \mathcal{P} -algebra (A, ϕ) is formal $\iff \exists (A, \phi) \rightsquigarrow (H(A), \varphi_0)$.

Homotopy transfer

Theorem (Homotopy transfer theorem)

Let (A, d) be a chain complex s.t. $H(A)$ is a homotopy retract:

$$h \circlearrowleft (A, d) \begin{matrix} \xrightarrow{p} \\ \xleftarrow{i} \end{matrix} (H(A), 0)$$

where $\text{id}_A - ip = d_A h + h d_A$ and i is a quasi-isomorphism.

For every \mathcal{P} -algebra structure (A, ϕ) , there exists a \mathcal{P}_∞ -algebra structure φ on $H(A)$ s.t. p extends to an ∞ -quasi-isomorphism:

$$\begin{array}{ccc} (A, \phi) & \xrightarrow{p_\infty} & (H(A), \varphi) \\ & \searrow \text{Formality} & \downarrow \exists ? \\ & & (H(A), \varphi_0) \end{array}$$

\mathcal{P}_∞ -algebra structures on $H(A)$

The **convolution dg Lie algebra** associated to $H(A)$:

$$\mathfrak{g} := \left(\text{Hom}(\overline{\mathcal{P}}^i, \text{End}_{H(A)}), [-, -], d \right)$$

$$\rightarrow \text{Hom}(\overline{\mathcal{P}}^i, \text{End}_{H(A)}) := \prod_{n \geq 0} \text{Hom}(\overline{\mathcal{P}}^i(n), \text{End}_{H(A)}(n))$$

$$\rightarrow d(\varphi) := -(-1)^{|\varphi|} \varphi \circ d_{\overline{\varphi}}$$

$$\rightarrow \varphi \star \psi := \overline{\mathcal{P}}^i \xrightarrow{\Delta(1)} \overline{\mathcal{P}}^i \circ_{(1)} \overline{\mathcal{P}}^i \xrightarrow{\varphi \circ (1)\psi} \text{End}_{H(A)} \circ_{(1)} \text{End}_{H(A)} \xrightarrow{\gamma(1)} \text{End}_{H(A)}$$

$$\rightarrow [\varphi, \psi] := \varphi \star \psi - (-1)^{|\varphi||\psi|} \psi \star \varphi$$

Every $\varphi \in \text{Hom}(\overline{\mathcal{P}}^i, \text{End}_{H(A)})$ decomposes as

$$\varphi = \varphi_0 + \varphi_1 + \varphi_2 + \cdots$$

where φ_k is the restriction $\varphi_k : \overline{\mathcal{P}}^i(k+2) \implies \text{End}_{H(A)}(k+2)$.

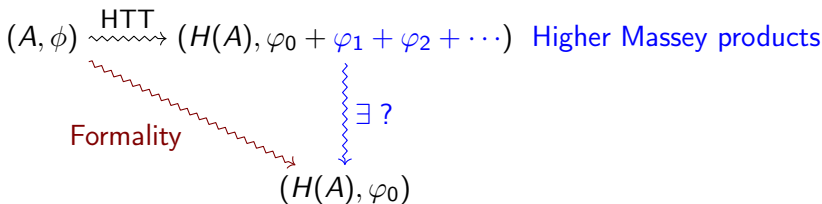
Its set of **Maurer–Cartan elements**:

$$\mathrm{MC}(\mathfrak{g}) = \{\varphi \in \mathfrak{g}_{-1}, d(\varphi) + \frac{1}{2}[\varphi, \varphi] = 0\}$$

Proposition

$$\{\mathcal{P}_\infty - \text{algebra structures on } H(A)\} \cong \mathrm{MC}(\mathfrak{g})$$

Remark



\implies If the higher Massey products vanish, then (A, ϕ) is formal.

The gauge group

The **convolution dg Lie algebra**:

$$\mathfrak{g} := \left(\mathrm{Hom}(\overline{\mathcal{P}}^i, \mathrm{End}_{H(A)}), [-, -], d \right)$$

Its set of **degree zero elements**:

$$\mathfrak{g}_0 := \mathrm{Hom}(\overline{\mathcal{P}}^i, \mathrm{End}_{H(A)})_0$$

The **Baker–Campbell–Hausdorff** formula, with $\mathrm{ad}_\lambda := [\lambda, -]$:

$$\lambda, \mu \in \mathfrak{g}_0, \quad e^{\mathrm{ad}_{\mathrm{BCH}(\lambda, \mu)}} = e^{\mathrm{ad}_\lambda} \circ e^{\mathrm{ad}_\mu}.$$

$$\mathrm{BCH}(\lambda, \mu) = \lambda + \mu + \frac{1}{2}[\lambda, \mu] + \frac{1}{12}([\lambda, [\lambda, \mu]] + [\mu, [\mu, \lambda]]) + \cdots$$

$$\Gamma := (\mathfrak{g}_0, \mathrm{BCH}, 0)$$

The gauge action

$$\Gamma := (\mathfrak{g}_0, \text{BCH}, 0)$$

$$\{\mathcal{P}_\infty - \text{algebra structures on } H(A)\} := \text{MC}(\mathfrak{g})$$

Gauge action

$$\begin{aligned} \Gamma \times \mathrm{MC}(\mathfrak{g}) &\longrightarrow \mathrm{MC}(\mathfrak{g}) \\ (\lambda, \varphi) &\longmapsto \lambda \cdot \varphi := e^{\mathrm{ad}_\lambda}(\varphi) - \frac{e^{\mathrm{ad}_\lambda} - \mathrm{id}}{\mathrm{ad}_\lambda}(d\lambda) \end{aligned}$$

Proposition (Dotsenko – Shadrin – Vallette, 2016)

$$\begin{array}{c} \exists \infty\text{-quasi-isomorphism } (H(A), \varphi) \xrightarrow{\sim} (H(A), \varphi_0) \\ \iff \\ \exists \lambda \in \Gamma \text{ such that } \lambda \cdot \varphi = \varphi_0 \end{array}$$

An equivalent characterization of formality

(A, ϕ) : a \mathcal{P} -algebra s.t. $H(A)$ is a homotopy retract

$$\begin{array}{ccc}
 (A, \phi) & \xrightarrow{\text{HTT}} & (H(A), \varphi_0 + \varphi_1 + \varphi_2 + \cdots) \\
 & \searrow \text{Formality} & \downarrow \exists ? \\
 & & (H(A), \varphi_0)
 \end{array}$$

Definition

- (A, ϕ) is **formal** if $\exists \lambda \in \Gamma$ such that $\lambda \cdot \varphi = \varphi_0$
- (A, ϕ) is **n -formal** if $\exists \lambda \in \Gamma$ such that $\lambda \cdot \varphi = \varphi_0 + \psi_{n+1} + \cdots$



Kaledin obstruction classes



Formal deformation

$$\varphi = \varphi_0 + \varphi_1 + \varphi_2 + \cdots \in \mathrm{MC}(\mathfrak{g})$$

A formal deformation of φ :

$$\Phi := \varphi_0 + \varphi_1 h + \varphi_2 h^2 + \cdots + \varphi_k h^k + \cdots$$

in the dg Lie algebra $\mathfrak{g}[[h]] := \mathfrak{g} \otimes R[[h]]$.

Remark

$$\Phi \in \text{MC}(\mathfrak{g}[[h]]), \text{ i.e. } d(\Phi) + \frac{1}{2}[\Phi, \Phi] = 0.$$

Proposition

$$d^\Phi := d + [\Phi, -] \text{ is a differential on } \mathfrak{g}[[h]]$$

Twisted dg Lie algebra:

$$\mathfrak{g}[[h]]^\Phi := (\mathfrak{g}[[h]], [-, -], d^\Phi)$$

The Kaledin classes

$$\partial_h \Phi := \varphi_1 + 2\varphi_2 h + \cdots + k\varphi_k h^{k-1} + \cdots \in \mathfrak{g}[[h]]$$

Lemma

$\partial_h \Phi$ is a cycle in $\mathfrak{g}[[h]]^\Phi$, i.e. $d^\Phi(\partial_h \Phi) = 0$.

Definition (Kaledin class)

The *Kaledin class* of $\varphi \in \mathrm{MC}(\mathfrak{g})$ is the homology class

$$K_\Phi := [\partial_h \Phi] \in H_{-1} \left(\mathfrak{g}[[h]]^\Phi \right) .$$

Its n^{th} -truncated Kaledin class is

$$K_\Phi^n := [\varphi_1 + 2\varphi_2 h + \cdots + n\varphi_n h^{n-1}] \in H_{-1} \left((\mathfrak{g}[[h]]/h^{n+1})^{\tilde{\Phi}} \right) .$$

R : commutative ground ring

$\text{char}(R)$: smallest non-invertible prime in R

n : any positive integer s.t. if $\text{char}(R) \neq 0$, $n - 1 < \text{char}(R)$

Theorem (E., 2022)

$(A, \phi) : \text{a } \mathcal{P}\text{-algebra s.t. } H(A) \text{ is a homotopy retract}$

- (A, ϕ) is n -formal $\iff K_{\phi}^n = 0$.
- If R is a \mathbb{Q} -algebra, then (A, ϕ) is formal $\iff K_{\phi} = 0$.

Remark

This construction generalizes to other types of algebraic structures: algebras over colored operads, gebras over properads, etc.

Previous works: [Kaledin, 2007], [Lunts, 2007], [Melani–Rubió, 2019]

Heuristic behind these obstruction classes

Gauge action: $\lambda \cdot \varphi := e^{\text{ad}_\lambda}(\varphi) - \frac{e^{\text{ad}_\lambda} - \text{id}}{\text{ad}_\lambda}(d\lambda)$

Vector field Υ_λ on $\text{MC}(\mathfrak{g})$: $\forall \lambda \in \Gamma, \quad \Upsilon_\lambda(\varphi) := -d\lambda - [\varphi, \lambda]$

Associated flow:

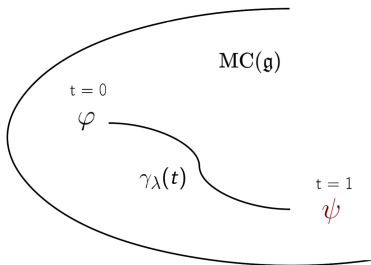
$$\frac{d}{dt}\gamma_\lambda(t) = \Upsilon_\lambda(\gamma_\lambda(t))$$

Integration of the flow starting at $\gamma_\lambda(0) = \varphi$:

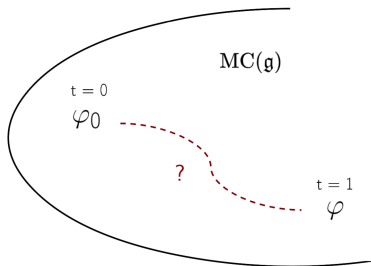
$$\gamma_\lambda(t) = e^{t\text{ad}_\lambda}(\varphi) - \frac{e^{t\text{ad}_\lambda} - \text{id}}{t\text{ad}_\lambda}(td\lambda)$$

$$\lambda \cdot \varphi = \psi \iff \gamma_\lambda(1) = \psi$$

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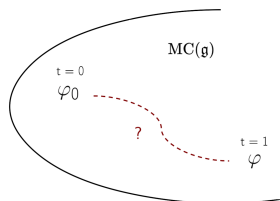


The case of formality



Does there exists $\lambda \in \Gamma$, such that $\gamma_\lambda(0) = \varphi_0$ and $\gamma_\lambda(1) = \varphi$?

Does there exist $\lambda \in \Gamma$, such that
 $\gamma_\lambda(0) = \varphi_0$ and $\gamma_\lambda(1) = \varphi$?



Attempt: “ $\Phi(h) = \varphi_0 + \varphi_1 h + \varphi_2 h^2 + \dots$ ”

Does there exist $\lambda \in \Gamma$, such that $\Phi = \gamma_\lambda$?

$$\Phi = \gamma_\lambda \iff \partial_h \Phi = \Upsilon_\lambda(\Phi) := -d\lambda - [\Phi, \lambda]$$

$$\iff \partial_h \Phi = d^\Phi(-\lambda)$$

$$\iff \partial_h \Phi \text{ is a boundary in } \mathfrak{g}[[h]]^\Phi$$

$$\iff K_\Phi := [\partial_h \Phi] = 0$$



Formality criteria



Formality descent

(A, ϕ) : a dg \mathcal{P} -algebra s.t. $H(A)$ is a homotopy retract

$H_i(A)$: projective, finitely generated for all i .

Q : faithfully flat commutative R -algebra.

Proposition (E., 2022)

(A, ϕ) is *n-formal* $\iff (A \otimes_R Q, \phi \otimes 1)$ is *n-formal*.

Proof.

$$\begin{array}{ccc} H_{-1}(\mathfrak{g}_{H(A)}[[h]]^\Phi) \otimes_{R[[h]]} Q[[h]] & \cong & H_{-1}(\mathfrak{g}_{H(A \otimes_R Q)}[[h]]^{\Phi \otimes 1}) \\ \downarrow & & \downarrow \\ K_\Phi \otimes 1 = 0 & \iff & K_{\Phi \otimes 1} = 0 \end{array}$$

□

Examples

- $C(\mathcal{D}_k; \mathbb{R})$ is formal $\iff C(\mathcal{D}_k; \mathbb{Q})$ is formal [GSNPR, 2005]
- $\mathbb{Z}_{(I)} \subset \mathbb{Z}_I$

Intrinsic formality

A graded \mathcal{P} -algebra (H, φ_0) is **intrinsically formal** if every \mathcal{P} -algebra (A, ϕ) such that $(H(A), \varphi_0) = (H, \varphi_0)$ is itself formal.

$$\mathfrak{g}^{\varphi_0} : (\mathfrak{g}, [-, -], d + [\varphi_0, -])$$

Proposition (E., 2022)

$$H_{-1}(\mathfrak{g}^{\varphi_0}) = 0 \implies (H, \varphi_0) \text{ intrinsically formal.}$$

Proof.

For all (A, ϕ) such that $(H(A), \varphi_0) = (H, \varphi_0)$, then

$$K_{\Phi} = 0 \in H_{-1} \left(\mathfrak{g}[[h]]^{\Phi} \right) .$$



Previous works: [Hinich, 2003]

Tamarkin's proof of Kontsevich formality

k : a characteristic zero field

A : a polynomial algebra over k

Theorem (Hinich, 2003)

The shifted cohomological Hochschild complex $C(A; A)[1]$ is formal as a dg Lie algebra.

Proof.

- $\text{Lie}[1] \subset \text{Gerst}$;
- $(HH^\bullet(A), \varphi_0)$ has a *Gerst*-algebra structure;
- $C(A; A)$ has a Gerst_∞ -algebra structure inducing φ_0 ;
- $(HH^\bullet(A), \varphi_0)$ is intrinsically formal as a *Gerst*-algebra;
 $\rightarrow H_{-1}(\mathfrak{g}^{\varphi_0}) = 0$, where $\mathfrak{g} = \text{Hom}(\overline{\text{Gerst}}^i, \text{End}_{HH^\bullet(A)})$.

The degree twisting

(A, ϕ) : a dg \mathcal{P} -algebra s.t. $H(A)$ is a homotopy retract

α : a unit in R .

σ_α : the degree twisting by α

→ linear automorphism of $H(A)$ which acts via $\alpha^k \times$ on $H_k(A)$.

Theorem (Drummond-Cole – Horel, 2021)

Suppose that σ_α admits a lift, i.e. $\exists f \in \text{End}(A, \phi)$ s.t. $H(f) = \sigma_\alpha$.

- $\forall k, \alpha^k - 1 \in R^\times \implies (A, \phi)$ is formal.
- $\forall k \leq n, \alpha^k - 1 \in R^\times \implies (A, \phi)$ is n -formal.

Theorem (Drummond-Cole – Horel, 2021)

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- $\forall k \leq n, \alpha^k - 1 \in R^\times \implies (A, \phi)$ is n -formal.

Heuristic :

- Higher Massey products have to be compatible with the lift.
- They intertwine multiplication by α^l with multiplication by α^k with $l \neq k$.
- They have to vanish

Previous works: [DGMS, 1975], [Sullivan, 1977], [GSNPR, 2005]

Proposition (Cirici – Horel, 2022)

If X is defined over K , i.e. $\exists K \hookrightarrow \mathbb{C}$ and $\exists \mathcal{X}$ a complement of a hyperplane arrangement over K s.t. $\mathcal{X} \times_K \mathbb{C} \cong X$, then $C^\bullet(X_{an}, \mathbb{Z}_l)$ is $(h-1)$ -formal.

Heuristic :

- $C^\bullet(X_{an}, \mathbb{Z}_l) \cong C_{et}^\bullet(\mathcal{X}_{\overline{K}}, \mathbb{Z}_l)$.
- The action of a Frobenius on $H_{et}(\mathcal{X}_{\overline{K}}, \mathbb{Z}_l)$ is σ_q , [Kim, 1994].

Formality descent $\implies C^\bullet(X_{an}, \mathbb{Z}_{(l)})$ is $(h-1)$ -formal.

Automorphism lifts

(A, ϕ) : a dg \mathcal{P} -algebra s.t. $H(A)$ is a homotopy retract

Theorem (E., 2022)

Suppose that $\exists u \in \text{Aut}(H(A), \varphi_0)$ admitting a chain lift. Let $\text{Ad}_u : \text{End}_{H(A)} \rightarrow \text{End}_{H(A)}$ s.t. $\forall p \in \mathbb{N}$, and $\forall \psi \in \text{End}_{H(A)}(p)$

$$\text{Ad}_u(\psi) = u \circ \psi \circ (u^{-1})^{\otimes p}.$$

1. If $\text{Ad}_u - \text{id}$ is invertible on the elements of degree k for all $k < n$, then (A, ϕ) is n -formal.
2. If R is a \mathbb{Q} -algebra and $\text{Ad}_u - \text{id}$ is invertible, then (A, ϕ) is formal.

Automorphism lifts

R : a characteristic zero field

(A, ϕ) : a dg \mathcal{P} -algebra s.t. $H(A)$ is a homotopy retract and finite dimensional.

Corollary

Suppose that there exists $u \in \text{Aut}(H(A), \varphi_0)$ such that for all $k < n$, and all p -tuples (k_1, \dots, k_p) ,

$$\mathrm{Spec}(u_{k_1+\dots+k_p+k}) \cap \mathrm{Spec}(u_{k_1} \otimes \dots \otimes u_{k_p}) = \emptyset,$$

where $u_i := u|_{H_i(A)}$. If u admits a lift at the level of chains then (A, ϕ) is n -formal.

Corollary

For every smooth projective K -scheme X , $C^\bullet(X_{an}, \mathbb{Q}_l)$ is formal.

Frobenius & Weil numbers

K : a finite extension of \mathbb{Q}_p

q : order of the residue field of the ring of integers of K

 l : a prime number different from p

X : a smooth projective K -scheme

Definition

$\alpha \in \overline{\mathbb{Q}}_l$ is a **Weil number of weight n** if

$$\forall \iota : \overline{\mathbb{Q}}_l \hookrightarrow \mathbb{C}, \quad |\iota(\alpha)| = q^{n/2}.$$

Theorem (Deligne, 1974)

For all n , the eigenvalues of a Frobenius action on $H_{\text{et}}^n(X_{\overline{K}}, \mathbb{Q}_l)$ are Weil numbers of weight n .

Corollary

For every smooth projective K -scheme X , $C^\bullet(X_{an}, \mathbb{Q}_l)$ is formal.

Proof.

- $C^\bullet(X_{an}, \mathbb{Q}_l) \xrightarrow{\sim} C_{et}^\bullet(X_{\overline{K}}, \mathbb{Q}_l)$
- Let u be the Frobenius action on $H_{et}^\bullet(X_{\overline{K}}, \mathbb{Q}_l)$ and fix $\iota : \overline{\mathbb{Q}_l} \hookrightarrow \mathbb{C}$.
- For all $k \geq 1$, (k_1, \dots, k_p) and $s := k_1 + \dots + k_p$,

$$\begin{array}{ccc} \text{Spec}(u_{s+k}) & \cap & \text{Spec}(u_{k_1} \otimes \dots \otimes u_{k_p}) = \emptyset . \\ \downarrow \Psi & & \downarrow \Psi \\ \alpha & & \beta \\ |\iota(\alpha)| = q^{\frac{s+k}{2}} & > & |\iota(\beta)| = q^{\frac{s}{2}} \end{array}$$



Previous works: [Deligne, 1980], [GSNPR, 2005]



Thank you for your attention!

