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STEENROD HOMOTOPY THEORY, HOMOTOPY INDEMPOTENTS, AND HOMOTOPY LIMITS

Harold M. Hastings 1

1. Introduction

In 1940, N. E. Steenrod [26] introduced a homology theory $^{\mathrm{S}}_{\mathrm{H}_{\bullet}}$ on compact metric pairs, which is exact on allpairs (X,A). The continuity axiom of Čech homology is replaced by a short-exact sequence ([26], and J. Milnor [23]):

$$(1.1) \quad 0 \, \rightarrow \, \lim_{n}^{1} \{ H_{i+1}(X_{n}) \} \, \rightarrow \, {}^{S}H_{i}(X) \, \rightarrow \, \overset{\vee}{H}_{i}(X) \, \rightarrow \, 0 \, .$$

In (1.1), $\{X_n\}$ is any tower (inverse sequence) of polyhedra whose inverse limit is X. D. A. Edwards and the author [11, Ch. VIII] observed that any generalized homology theory yields a "Steenrod" homology theory on the category of towers of spaces; in fact, on Grothendieck's category pro-Top of inverse systems of spaces. See M. Artin and B. Mazur [1, Appendix] for pro-Top. Our joint work required a strong (Steenrod) homotopy theory of pro-spaces [11, Ch. III]. Although the precise definition of Steenrod homotopy theory is fairly complex, we can relate Cech (Artin-Mazur, [4]) and Steenrod [11, 12, 13] homotopy theory in §2 below. Motivated by the Brown-Douglas-Fillmore [2,3] theory of normal operators, D. S. Kahn, J. Kaminker and C. Schochet gave a different, independent development of generalized Steenrod homology theories [16, 17].

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The rest of this paper is organized as follows. §§3-5 survey Steenrod homotopy theory. Homotopy limits, largely following [11, Ch. IV] are described in §3. §4 recalls the Edwards-Geoghegan [10] result that "idempotents split in pro-categories." J. Dydak and P. Minc [8], and P. Freyd and A. Heller [14] independently obtained a non-split idempotent in unpointed homotopy theory. Dydak observed an important consequence in pro-homotopy: a map which is an equivalence in Čech homotopy theory but not in Steenrod homotopy theory. We summarize these results in §5 to complete the relation between Čech and Steenrod homotopy theory.

Finally, we give "geometric" (Artin-Mazur [1] type) formulations of a coherent completion functor (§6) and a strong shape functor (§7). We conclude with a "dual" construction of a coherent Quillen [26] + - construction in §8.

We thank D. A. Edwards, A. Heller, G. Kozlowski, Vo Thanh Liem, S. Mardešić and D. Puppe for helpful conversations.

2. Cech and Steenrod Homotopy Theory

T. A. Chapman's [5] beautiful complement theorem relating the shape theory of compacta K in the pseudo-interior $s = \prod_{i=1}^{\infty} (-1,1)$ of the Hilbert cube $Q = \prod_{i=1}^{\infty} [-1,1]$ and the homeomorphism type of Q\K has the following corollary [5]: a category isomorphism between the shape category of such compacta and the weak proper homotopy category of their complements. Later, Edwards and the author [11, pp. 228-232] obtained a similar relationship between strong shape theory [11, especially Ch. VI and VIII] and the more geometric proper homotopy theory, which together with Chapman's correspondence

homotopy theory, which together with Chapman's correspondence yields a commutative square

In diagram (2.1), Steenrod homotopy theory refers to the strong homotopy theory of inverse systems Ho (pro-Top) of Edwards and the author [11, especially Ch. VIII]; Čech homotopy theory to the Artin-Mazur theory [1] pro-Ho (Top). The vertical map ϕ is Chapman's isomorphism cited above; similarly, ϕ ' is the isomorphism of [11, loc. cit.]. The maps π and π' are natural quotient maps. The Čech nerve Top → pro-Ho (Top) yields shape theory (see, e.g. Edwards [9]); a Vietoris functor Top → Ho (pro-Top) (T. Porter [24]) yields strong shape theory [11]. The distinction between Čech and Steenrod homotopy theory was first recognized by D. Christie [7], although he lacked D. Ouillen's abstract homotopy theory [25] needed to define Ho (pro-Top) [11]. We shall give a more "geometric" version of strong shape theory (still using [11]) in §7-some of whose properties were obtained in a conversation with Kozlowski and Liem. Details and applications will be described elsewhere. Added in proof. See joint work with A. Calder [30]. J. Dydak and J. Segal [31] and Y, Kodama and J. Ono [32] recently gave independent equivalent descriptions of strong shape theory.

Although the relationship between Ho (pro-Top) and pro-

Ho (Top) appears quite complicated [11], useful results are available for towers (countable inverse systems). Let Top_{*} be the category of pointed spaces and maps. In 1974, J. Grossman [15], and Edwards and the author [11, Theorem (5.2.1)] independently proved the following.

- (2.2) Theorem. Let $\{X_m\}$ and $\{Y_n\}$ be towers of pointed spaces. Then there is a short-exact sequence of pointed sets.
- * + $lim_{n}^{1} colim_{m} \{ [\Sigma X_{m}, Y_{n}] \}$ + $Ho(towers-Top_{\star})(\{X_{m}\}, \{Y_{n}\})$ $\stackrel{\pi}{\rightarrow} towers-Ho(Top_{\star})(\{X_{m}\}, \{Y_{n}\}) \rightarrow \star.$

The functor π is also onto in unpointed pro-homotopy. The appropriate derived functor $\lim_{n \to \infty} 1^n$ for towers of (non-abelian) groups was defined by Bousfield and Kan [4, p. 251].

Chapman and L. Siebenmann [6] asked whether every weak-proper-homotopy-equivalence is a proper-homotopy-equivalence. A useful partial answer appears in [11, Theorem (5.2.9)]; similar results hold for pointed spaces [11, loc. cit.], and for proper homotopy [12].

- (2.3) Theorem [11]. Let $f: \{X_m\} \rightarrow \{Y_n\}$ be a map in Ho (towers-Top) which is invertible in towers-Ho (Top). Then there is an isomorphism $g: \{X_m\} \rightarrow \{Y_n\}$ in Ho (towers-Top) with g equivalent to f in towers-Ho (Top).
- (2.4) Corollary [11, Corollary 5.2.17]. The isomorphism classification problems in Ho (towers-Top) and towers-Ho (Top) are equivalent.
- (2.5) Caution: non-equivalent maps in Ho (towers-Top) may become equivalent in towers-Ho (Top).

Dydak [8] recently observed that the map f of (2.3) need not itself be invertible in Ho (towers-Top). This result involves homotopy limits (§3) and splitting idempotents (§4), and will be discussed in §5.

3. Homotopy Limits

It is easy to see that even towers do not have limits in homotopy theory. D. Puppe gave the following example in a 1976 lecture in Dubrovnik. Let

$$K = \{K(Z,2) \stackrel{3}{\leftarrow} K(Z,2) \stackrel{3}{\leftarrow} \cdots \},$$

where "3" denotes a degree 3 map. Suppose that K had a limit \overline{K} in pro-Ho (Top). Then the Barratt-Puppe sequence

$$s^2 \stackrel{?}{\rightarrow} s^2 + c + s^3 + \cdots$$

would yield an exact sequence

$$[s^{3},\overline{K}] \xrightarrow{} [c,\overline{K}] \xrightarrow{} [s^{2},\overline{K}]$$

$$|| \qquad || \qquad ||$$

$$|| \text{lim}\{[s^{3},K(z,2)],3\} + \text{lim}\{[c,K(z,2)],3\} + \text{lim}\{s^{2},K(z,2)],3\}$$

$$|| \qquad || \qquad ||$$

$$0 \xrightarrow{} z_{2} \xrightarrow{} 0,$$

an obvious contradiction. However, homotopy limits exist in Ho (pro-Top); for a pro-space Y = $\{\dot{Y}_{\alpha}\}$, the functor

Ho (pro-Top)
$$(-,\{Y_{\alpha}\})$$

on Top = pro-Top is represented by $\texttt{holim}\{\mathbf{Y}_{\alpha}\}$ (Edwards and the author [11, Ch. IV]):

Ho (pro-Top)(
$$X, \{Y_{\alpha}\}$$
) = Ho (Top)($X, \text{holim}\{Y_{\alpha}\}$).

The construction of [11], reminescent of J. Milnor's [20] mapping telescope, consists of replacing $\{Y_{\alpha}\}$ by a fibrant object (using S. Mardešić [17], and [11]) Y_{β} and applying the ordinary inverse limit to Y'_{R} . Other constructions were given by A. K. Bousfield and D. M. Kan [4, Ch. X],

and R. Vogt [29].

4. Splitting Homotopy Idempotents

D. A. Edwards and R. Geohegan, in their work [10] on a Wall obstruction on shape theory, showed that "idempotents split in pro-categories." Let $r\colon X\to X$ be a homotopy idempotent, i.e., $r^2\simeq r$. If there is a diagram

with du $\simeq \operatorname{id}_Y$ and ud \simeq r, then r is said to split. Let Y be the tower

$$Y = \{X \stackrel{\mathbf{r}}{\leftarrow} X \stackrel{\mathbf{r}}{\leftarrow} X \stackrel{\mathbf{r}}{\leftarrow} X \stackrel{\mathbf{r}}{\leftarrow} \dots \}.$$

Then r induces maps $X \stackrel{d}{\overset{\cdot}{u}} Y$ in Čech homotopy theory (towers-Ho (Top))

which split r. We may replace Y by a tower of fibrations, and then replace u and d by strict maps (maps in Steenrod homotopy Ho (towers-Top)) [10], see also [11]. Suppose du \simeq id $_{Y}$ in Ho (towers-Top). Then r splits in Ho (towers-Top) [10] because holim is a functor:

$$X \simeq \text{holim } X \xrightarrow{\text{holim } u} \text{holim } Y.$$

The Dydak-Minc [8], Freyd-Heller [14] example of a non-split idempotent in unpointed homotopy (described in §5) thus shows that a weak equivalence need not be a strong equivalence [8], compare Theorem (2.3) (Edwards and the author), above.

5. The Dydak-Minc-Freyd-Heller Example [8, 14]

Let G be the group

$$\langle g_1, g_2, \dots | g_i^{-1} g_i g_i = g_{i+1}, i < j \rangle$$
.

Let f: G → G be the monorphism defined by

$$f(g_i) = g_{i+1}$$
.

Then $f^2(g) = g_1^{-1} f(g) g_1$, so that f is conjugate to f, and the induced map

$$r = K(f,1) : K(G,1) \rightarrow K(G,1)$$

is an unpointed homotopy idempotent [8, 14]. Dydak gives a straight-forward argument that r does not split—we sketch his argument here. If r splits, r splits through a K(H,1). In the resulting diagram

d is both mono and epi on π_1 by construction, hence d is a homotopy equivalence by the Whitehead theorem. This implies Imf = G, an evident contradiction.

Freyd and Heller [14] have obtained a wealth of interesting results about G.

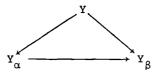
6. Pro-Finite Completions

Artin and Mazur [1] introduced the following pro-finite completion in order to prove comparison theorems in étale homotopy theory. Let Y be a finite, pointed CW complex. The pro-finite completion of Y, \hat{Y} , is the category whose objects are (homotopy classes of pointed) maps

$$Y \rightarrow Y_{\alpha}$$
, with $\pi_{i}(Y_{\alpha}) = \begin{cases} 0, \text{ almost all i} \\ \text{finite, otherwise,} \end{cases}$

and whose morphisms are homotopy-commutative diagrams

(6.1)



This yields a completion functor ^:Ho (finite pointed complexes) \rightarrow pro-Ho (Top) as follows. Given a map X \rightarrow Y, associate to each object Y \rightarrow Y $_{\alpha}$ in the completion \hat{Y} of Y the composite map X \rightarrow Y \rightarrow Y $_{\alpha}$, an object in \hat{X} . This yields a map \hat{f} : \hat{X} \rightarrow \hat{Y} , see [1, Appendix].

D. Sullivan [28] showed that pro-Ho (Top)(-,Y) is representable, that is,

pro-Ho (Top)
$$(-,\hat{Y}) = [-,\overline{Y}]$$
.

Later, A. K. Bousfield and D. M. Kan [4, Ch. I] introduced a different, rigid, completion, the R-completion $\{R_SY\}$, and observed that $\{R_SY\}$ is cofinal in an Artin-Mazur type R-completion. Here R is a commutative ring with identity; we call $\{R_SY\}$ rigid because the construction of $\{R_SY\}$ yields a functor into Ho (pro-Top).

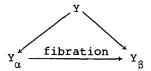
In developing the "genetics of homotopy theory" [28], D. Sullivan remarked that a simple rigid completion functor could prove useful. We shall rigidify (i.e., lift to Ho (gpro-Top) the Artin-Mazur completion functor by a simple trick. Objects of gpro-Top are inverse systems of spaces which are filtering up to homotopy. See [30].

(6.2) Definition. The rigid pro-finite completion of a (finite, pointed) complex Y is the category \hat{Y}_{rig} whose objects are pointed maps

$$Y \rightarrow Y_{\alpha}$$
, with $\pi_{i}(Y_{\alpha}) = \begin{cases} 0, \text{ almost all i} \\ \text{finite, otherwise,} \end{cases}$

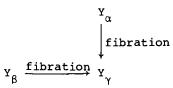
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and whose morphisms are strictly commutative diagrams



in which the bottom map is a fibration.

Because the pullback of a diagram



is also a "homotopy pullback," \hat{Y}_{rig} has weak equalizers. It follows easily that \hat{Y}_{rig} is filtering up to homotopy. Further, the functor

Ho (pro-Top)[-, \hat{Y}_{rig}] \cong [-,holim \hat{Y}_{rig}] is clearly representable, and the Bousfield-Kan spectral sequence [3, Ch. XI] shows that holim $\hat{Y}_{rig} \cong \overline{Y}$, see (6.1).

(6.3) Remarks. The rigid pro-finite completion \hat{r}_{rig} induces a reflection Ho (gpro-Top) \rightarrow Ho (gpro-Top), i.e., $(\hat{X}_{rig})^{\hat{r}_{rig}} = \hat{X}_{rig}$, always. In contrast, for the Bousfield-Kan completion, $Z_{\infty}RP^2$ and $(Z_{\infty})^2$ RP² are not equivalent, thus, RP² is called Z-bad [4, Ch. I]. Further, there should be an induced homotopy theory (closed model structure [25]) on the image of \hat{r}_{rig} under which \hat{r}_{rig} preserves fibration and cofibration sequences. Sullivan's completion functor cannot preserve both types of sequences [28]. Note however, that the inverse limit lim:gpro-Top \rightarrow Top preserves fibration sequences but not cofibration sequences.

7. Strong Shape Theory

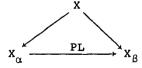
S. Mardešić [21] introduced the following Artin-Mazur approach to the shape theory. The shape of a topological space X, $\operatorname{sh}(x)$, is the category whose objects are homotopy classes of maps $X \to X_{\alpha}$, where X_{α} is an ANR, and whose morphisms are homotopy-commutative triangles of the form (6.1). Let $f\colon X \to Y$ be a continuous map. Then each map $Y \to Y_{\alpha}$ in $\operatorname{sh}(Y)$ induces a map $X \to Y_{\alpha}$ by composition with f; this yields a shape functor

sh: Top → pro-Ho(ANR) ⊂ pro-Ho(Top).

One can replace "ANR" by "polyhedron" (possibly infinite) in the Mardešić definition.

We rigidify the Mardešić shape functor (i.e., lift sh to Ho (pro-Top)) by a trick analogous to (6.1), and briefly describe the resulting geometric strong shape theory. A Vietoris functor approach to strong shape theory is developed in Porter [24] and [11, Ch. VIII].

(7.1) Definition. The strong shape of a topological space X, s - sh(X), is the category whose objects are maps $X \to X_{\alpha}, \text{ with } X_{\alpha} \text{ a polyhedron, and whose morphisms are strictly}$ commutative triangles



in which the bottom map is PL.

(7.2) Proposition. This construction yields a functor s-sh: Top + pro-(polyhedra) \subset pro-Top. Further, the composite functor $\pi \circ s-sh$: Top + pro-Ho(Top) is equivalent

to Mardešić's shape functor sh.

Proof. Observe that the equalizer of two PL maps of polyhedra is a polyhedron. Thus s-sh(X) has equalizers. The rest is easy and omitted.

(7.3) Proposition. The functor s - sh induces a functor on homotopy categories

$$s - sh: Ho(Top) \rightarrow Ho(pro-Top).$$

Proof. Let $H: X \times I \to Y$ be a homotopy, with $H_0 = f$ and $H_1 = g$. Form the commutative diagram in pro-Top

$$s - sh(X\times 0)$$

$$\downarrow$$

$$s - sh(H)$$

$$\uparrow$$

$$s - sh(X\times 1)$$

$$\uparrow$$

$$s - sh(X\times 1)$$

$$s - sh(g)$$

Each map $\phi_{\alpha} \colon \ X \times I \ \rightarrow \ Z_{\alpha}$ in s - sh(X×I) factors as

$$x \times I \xrightarrow{(\phi_{\alpha}, \text{ proj}_{\underline{I}})} z_{\alpha} \times I \xrightarrow{\text{proj}} z_{\alpha},$$

hence the map $s - sh(X \times O) \rightarrow s - sh(X \times I)$ is represented by the inverse system of maps

Thus the map s - sh(X×O) \rightarrow s - sh(X×I) is a trivial cofibration (i.e. cofibration and equivalence in Ho (pro-Top)), similarly for X×l. (Note: we are not asserting that the maps X×I \rightarrow Z_{α}×I factor as g×id, only that the bonding maps Z_{α}×I \rightarrow Z_{β}×I factor in this way). The conclusion follows.

We now restrict the domain of s - sh to the category

CM of compact metric spaces. We may then assume s - sh takes

values in pro-(finite polyhedra).

(7.4) Proposition. For X in CM, $X \cong lim \circ s - sh(X)$.

Proof. It suffices to prove that natural map $p\colon X\to \lim \, \circ \, s-sh(X) \ \text{is bijective.} \ \text{Because any two distinct}$ points of X are separated by a map of X into [0,1], p is injective. Further any map $X\to X_\alpha$ in s-sh(X) which misses a point * in X_α factors through a subpolyhedron $X_\alpha^*\subset X_\alpha$ with * $\notin X_\alpha^*$. The conclusion follows.

Propositions (7.2)-(7.4) are summarized in the following diagram--which justifies calling s - sh a strong-shape functor--

(7.5) Proposition (with Kozlowski-Liem). For any compact metric pair (X,A), the sequence

$$s - sh(A) \rightarrow s - sh(X) \rightarrow s - sh(X/A)$$

is a cofibration sequence in pro-top.

 ${\it Proof.}$ Consider the inverse system whose objects are commutative diagrams

with (X_{α}, A_{α}) a finite polyhedral pair, and whose bonding maps are defined analogously with (7.1). The induced systems $\{X_{\alpha}\}$ and $\{X_{\alpha}/A_{\alpha}\}$ are clearly cofinal in s - sh(X) and

s - sh(X/A), respectively: given X + X_{α} in s - sh(X), let $A_{\alpha} = X_{\alpha}$, and given X/A + P_{α} in s - sh(X/A), let A_{α} be a point, and let $X_{\alpha} = P_{\alpha}$.

Finally Kozlowski remarked that any solid-arrow diagram

$$\begin{array}{ccccc} \mathtt{A} & & & \mathtt{P} \\ \downarrow & & \downarrow \\ \mathtt{X} & & & \mathtt{CP} \end{array}$$

(where CP is the cone on P) with (X,A) a compact metric pair admits a filler (compare Kuratowski's extension lemma for Čech nerves [18, p. 122]). This implies that the induced inverse system A is cofinal in s - sh(A). The conclusion follows.

Propositions (7.2) and (7.5) imply the following (compare D. A. Edwards and the author [11, Ch. VIII]).

(7.6) Proposition. For any homology theory h_{\star} on pro-Top, the composite h_{\star} \circ s - sh is a homology theory on CM.

By comparing s - sh with the Vietoris functor [24], and using the machinery of [11, Ch. VIII], we can prove the appropriate continuity formula

- $(7.7) \quad s sh(lim\{X_n\}) \simeq lim \ s sh(\{X_n\}) \ in \ Ho-pro$ (Top) for s sh. Formula (7.7) implies the following.
- (7.8) Proposition (compare [11, Theorem (8.2.21)])

 The composite functor h s sh is a generalized Steenrod homology theory.
- (7.9) Remarks. (a) Formula (7.7) is analogous to the Steenrod-Milnor short exact sequence (1.1).

(b) The relationship between the strong shape category and the shape category is analogous to the relation between Steenrod and Čech homotopy theory, see (2.2)-(2.5), above.

D. S. Kahn, J. Kaminker, and C. Schochet [16] developed yet another independent approach to Steenrod homology theory—see L. Brown, R. Douglas, and P. Fillmore [2,3] and compare the Mardešić-J. Segal [21] natural transformation approach to shape theory.

Unfortunately we do not have a purely geometric proof of (7.7).

8. A Rigid + - Construction

We outline a rigidification of Quillen's + - construction [26] using techniques of Edwards and the author [11], dual to §§3-7, above. For simplicity, let Top_p be the category of pointed spaces with perfect fundamental groups. We define a functor

+:
$$Top_p \rightarrow Top_p$$

such that our \boldsymbol{X}^+ is equivalent to Quillen's \boldsymbol{X}^+ , and such that the diagram

$$(8.1) \quad \text{Top}_{p} \xrightarrow{\hspace*{1cm} + \text{ (ours)}} \quad \text{Top}_{p}$$

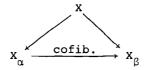
$$\downarrow \qquad \qquad \downarrow \qquad \qquad \downarrow$$

$$\text{Ho}(\text{Top}_{p}) \xrightarrow{\hspace*{1cm} + \text{ (Quillen)}} \quad \text{Ho}(\text{Top}_{p})$$

commutes. In fact our techniques work for pairs (X,H) where X is a pointed space and H a normal subgroup of $\pi_1(X)$ containing $[\pi_1(X),\pi_1(X)]$.

First associate to X the category + (X) whose objects

are maps $X \, \rightarrow \, X_{\alpha}$ with and whose morphisms are commutative triangles



in which the bottom map is a cofibration. It is easy to check that + (X) is a *direct* system, filtering *up to homotopy* (see [30], reverse the arrows in the Artin-Mazur definition [1, Appendix] of an (*inverse*) filtering category).

Next define

$$(8.2)$$
 $x^{+} = hocolim (+(x))$

where hocolim is the homotopy colimit ([11, pp. 169-171] the dual of the homotopy limit sketched in §3 or Bousfield-Kan [4, Ch. XII]). It is easy to check that Definitions (8.2)-(8.3) yield the required properties. Details are omitted.

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