

EMAp Summer Course

Topological Data Analysis with Persistent Homology

<https://raphaeltinarrage.github.io/EMAp.html>

Lesson 6: Incremental algorithm

Yesterday we have defined

chain complex $\dots \xrightarrow{\partial_{n+2}} C_{n+1}(K) \xrightarrow{\partial_{n+1}} C_n(K) \xrightarrow{\partial_n} C_{n-1}(K) \xrightarrow{\partial_{n-1}} \dots$

n -cycles $Z_n(K) = \text{Ker}(\partial_n)$

n -boundaries $B_n(K) = \text{Im}(\partial_{n+1})$

n^{th} homology group $H_n(K) = Z_n(K)/B_n(K)$

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Today's objectives:

how to compute them?

what do they represent?

I - Incremental algorithm

II - Applications

III - Matrix algorithm

Ordering the simplicial complex

4/15

Let K be a simplicial complex with n simplices. Choose a total order of the simplices

$$\sigma^1 < \sigma^2 < \dots < \sigma^n$$

such that

$$\forall \sigma, \tau \in K, \tau \subsetneq \sigma \implies \tau < \sigma.$$

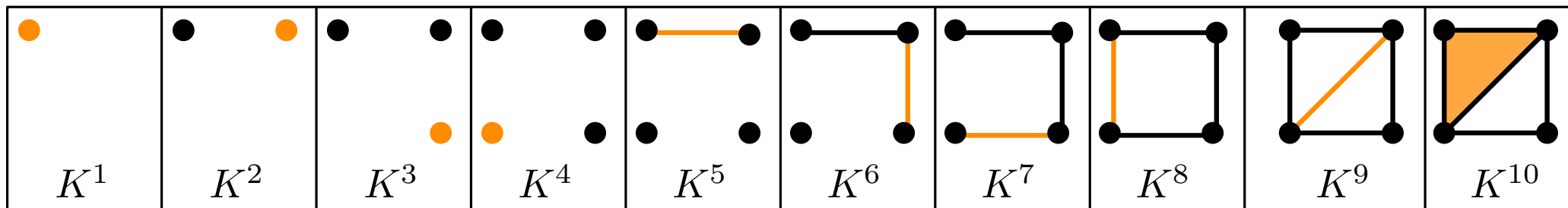
In other words, a face of a simplex is lower than the simplex itself.

For every $i \leq n$, consider the simplicial complex

$$K^i = \{\sigma^1, \dots, \sigma^i\}.$$

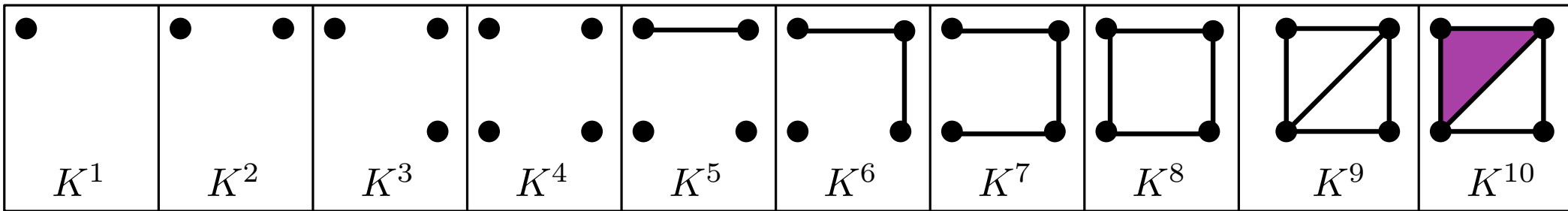
We have $\forall i \leq n, K^{i+1} = K^i \cup \{\sigma^{i+1}\}$, and $K^n = K$. They form an inscreasing sequence of simplicial complexes

$$K^1 \subset K^2 \subset \dots \subset K^n.$$



Positivity of simplices

5/15 (1/8)

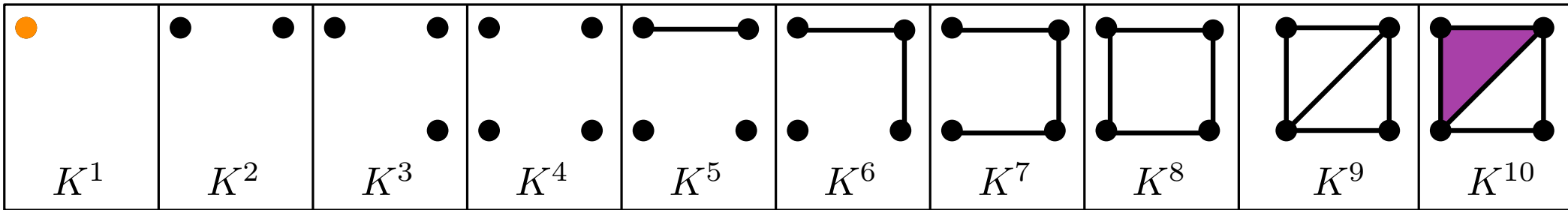


Let $k \geq 0$. We will compute the homology groups of K^i incrementally:

$H_k(K^1), H_k(K^2), H_k(K^3), H_k(K^4), H_k(K^5), H_k(K^6), H_k(K^7), H_k(K^8), H_k(K^9), H_k(K^{10})$

Positivity of simplices

5/15 (2/8)



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Definition: Let $i \in \llbracket 1, n \rrbracket$, and $d = \dim(\sigma^i)$. Recall that $K^i = K^{i-1} \cup \{\sigma_i\}$.

The simplex σ^i is *positive* if there exists a cycle $c \in Z_d(K^i)$ that contains σ^i .

In other words, there exist $c = \sum_{\sigma \in K_{(n)}^i} \epsilon_\sigma \cdot \sigma \in C_n(K^i)$ such that $\epsilon_{\sigma^i} = 1$ and

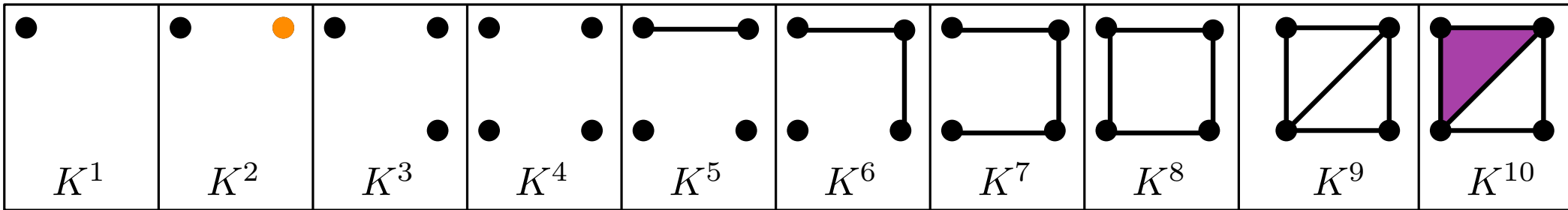
$\partial_n(c) = 0$. Otherwise, σ^i is *negative*.

Example:

- $\sigma^1 \in K^1$ is **positive** because it is included in the cycle $c = \sigma^1$ (indeed, $\partial_0(\sigma^1) = 0$).

Positivity of simplices

5/15 (3/8)



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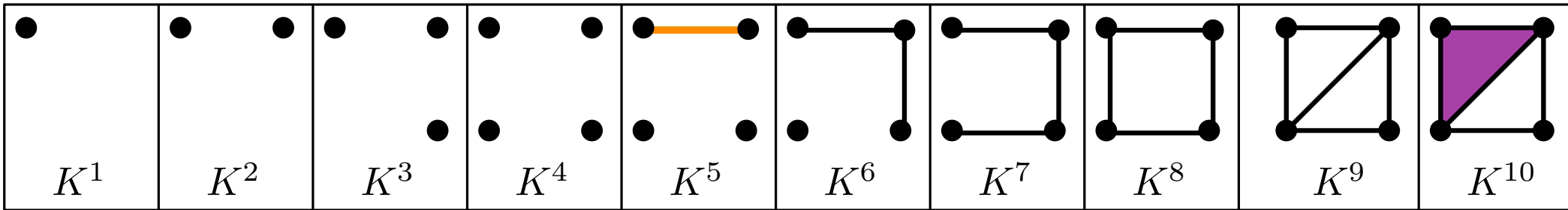
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Positivity of simplices

5/15 (4/8)



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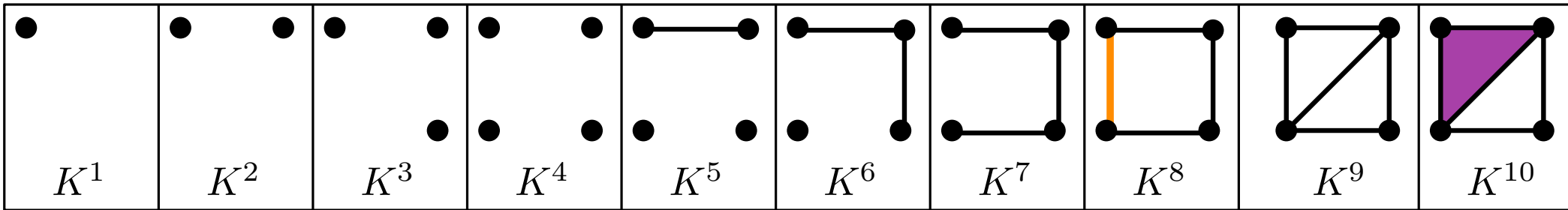
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5/15 (5/8)



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- $\sigma^8 \in K^8$ is **positive** because it is included in the cycle $c = \sigma^5 + \sigma^6 + \sigma^7 + \sigma^8$ (indeed, $\partial_1(c) = 2\sigma^1 + 2\sigma^2 + 2\sigma^3 + 2\sigma^4 = 0$).

Definition: Let $i \in \llbracket 1, n \rrbracket$, and $d = \dim(\sigma_i)$. Recall that $K^i = K^{i-1} \cup \{\sigma_i\}$. The simplex σ_i is *positive* if there exists a cycle $c \in Z_d(K^i)$ that contains σ_i . Otherwise, σ_i is *negative*.

Remark: By adding σ^i in the simplicial complex, the only groups that may change are $Z_d(K^i)$ and $B_{d-1}(K^i)$.

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Lemma: If σ^i is positive, then $\beta_d(K^i) = \beta_d(K^{i-1}) + 1$, and for all $d' \neq d$, $\beta_{d'}(K^i) = \beta_{d'}(K^{i-1})$.

Proof: We start by proving the following fact: if $c \in Z_d(K^i)$ is a cycle that contains σ_i , then c is not homologous (in K^i) to a cycle of $c' \in Z_d(K^{i-1})$.

By contradiction: if $c = c' + b$ with $c' \in Z_d(K^{i-1})$ and $b \in B_d(K^i)$, then $c - c' = b \in B_d(K^i)$. This is absurd because we just added σ_i : it cannot appear in a boundary of K^i .

As a consequence, $\dim Z_d(K^i) = \dim Z_d(K^{i-1}) + 1$.

We conclude by using the relation $\beta_d(K^i) = \dim Z_d(K^i) - \dim B_d(K^i)$.

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Lemma: If σ^i is negative, then $\beta_{d-1}(K^i) = \beta_{d-1}(K^{i-1}) - 1$, and for all $d' \neq d - 1$, $\beta_{d'}(K^i) = \beta_{d'}(K^{i-1})$.

Proof: We start by proving the following fact: $\partial_d(\sigma^i)$ is not a boundary of K^{i-1} .

Otherwise, we would have $\partial_d(\sigma^i) = \partial_d(c)$ with $c \in C_d(K^{i-1})$, i.e. $\partial_d(\sigma^i + c) = 0$. Hence $\sigma^i + c$ would be a cycle of K^i that contains c , contradicting the negativity of σ^i .

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We deduce the following algorithm:

Input: an increasing sequence of simplicial complexes $K^1 \subset \dots \subset K^n = K$

Output: the Betti numbers $\beta_0(K), \dots, \beta_d(K)$

$\beta_0 \leftarrow 0, \dots, \beta_d \leftarrow 0;$

for $i \leftarrow 1$ **to** n **do**

$d = \dim(\sigma^i);$

if σ^i is positive **then**

$\beta_k(K^i) \leftarrow \beta_k(K^{i-1}) + 1;$

else if $d > 0$ **then**

$\beta_{k-1}(K^i) \leftarrow \beta_{k-1}(K^{i-1}) - 1;$

Incremental algorithm

6/15 (2/2)

	K^1	K^2	K^3	K^4	K^5	K^6	K^7	K^8	K^9	K^{10}
Dimension	0	0	0	0	1	1	1	1	1	2
Positivity	+	+	+	+	-	-	-	+	+	-
$\beta_0(K^i)$	1	2	3	4	3	2	1	1	1	1
$\beta_1(K^i)$	0	0	0	0	0	0	0	1	2	1

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I - Incremental algorithm

II - Applications

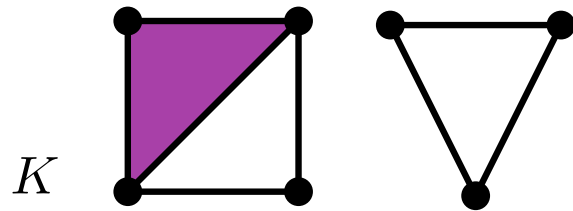
III - Matrix algorithm

Number of connected components

8/15 (1/3)

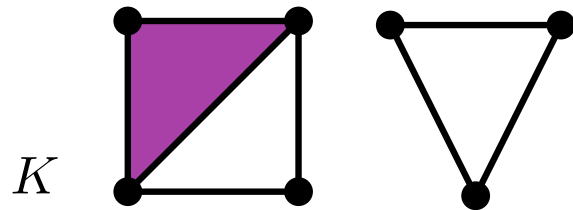
Proposition: Let X be a (triangulable) topological space. Then its 0th Betti number, $\beta_0(X)$, is equal to the number of connected components of X .

Let K be a triangulation of X .



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First, a definition: say that a simplicial complex L is *combinatorially connected* if for every vertex v, w of L , there exists a sequence of edges that connects v and w :

$$[v, v_1], [v_1, v_2], [v_2, v_3], \dots, [v_n, w].$$

Let m be the number of connected components X , and let K be triangulation of X . We accept the following equivalent statement: there exists m **disjoint, non-empty** and **combinatorially connected** simplicial sub-complex L_1, \dots, L_m of K such that

$$K = \bigcup_{1 \leq i \leq m} L_i.$$

Proposition: Let X be a (triangulable) topological space. Then its 0^{th} Betti number, $\beta_0(X)$, is equal to the number of connected components of X .

Let K be a triangulation of X .



Proof: Let T be a spanning forest of K , that is, a union of spanning trees. It admits m combinatorially connected components.

Consider an ordering of the simplices of K that begins with an ordering of T .

Apply the incremental algorithm. Each vertex increases β_0 by 1.

Since T is a tree, all its edges are negative simplices (T has no cycles), hence decrease β_0 . Each tree of the forest contains $k - 1$ edges, where k is the number of vertices of the corresponding component.

Since T is a spanning tree, each other edges of K is positive, hence β_0 does not change. Similarly, the other simplices of K do not change β_0 . We deduce the result.

Homology of spheres

9/15 (1/3)

For any $n \geq 1$, consider the vertex set $V = \{0, \dots, n\}$, and the simplicial complex

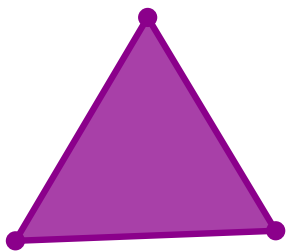
$$\Delta_n = \{S \subset V, S \neq \emptyset\}.$$

We call it the *simplicial standard n -simplex*. Define its boundary as

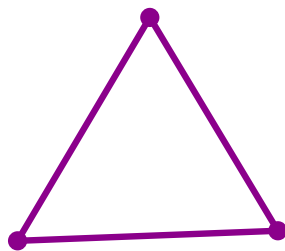
$$\partial\Delta_n = \Delta_n \setminus V.$$

The simplicial complex $\partial\Delta_n$ is a triangulation of the $(n - 1)$ -sphere $\mathbb{S}_{n-1} \subset \mathbb{R}^n$.

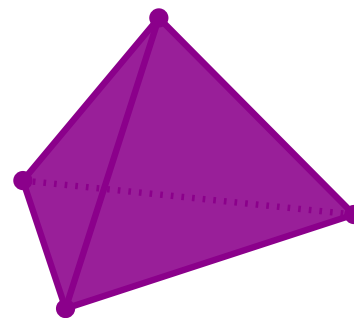
As a consequence, for all $i \geq 0$, $H_i(\mathbb{S}_n) = H_i(\partial\Delta_{n+1})$.



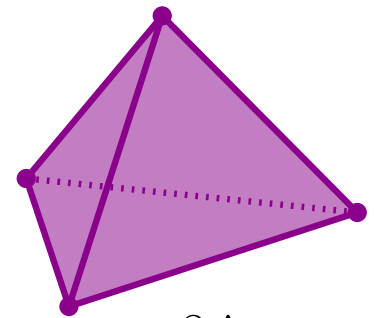
Δ_2



$\partial\Delta_2$



Δ_3



$\partial\Delta_3$

Homology of spheres

9/15 (2/3)

For any $n \geq 1$, consider the vertex set $V = \{0, \dots, n\}$, and the simplicial complex

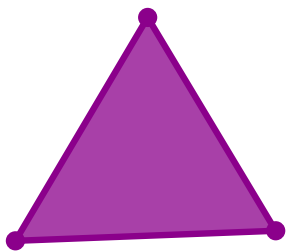
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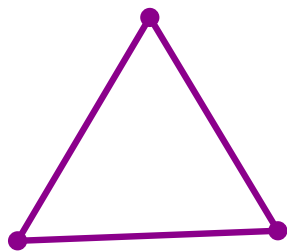
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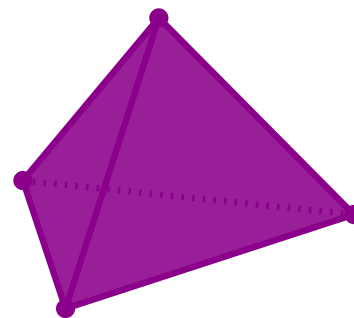
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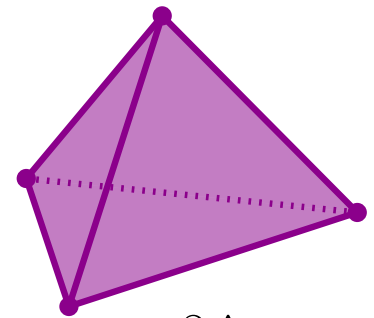
Δ_2



$\partial\Delta_2$



Δ_3



$\partial\Delta_3$

Proposition: The Betti numbers of \mathbb{S}_n are:

- $\beta_i(\mathbb{S}_n) = 1$ for $i = 0$ or n ,
- $\beta_i(\mathbb{S}_n) = 0$ else.

Homology of spheres

9/15 (3/3)

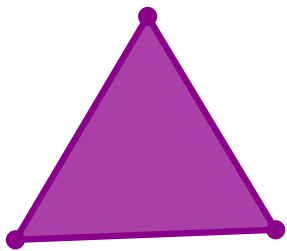
Proof: Consider the *simplicial standard n -simplex* Δ_n . It is homotopy equivalent to a point (its topological realization deformation retracts on any point of it). Hence Δ_n has the same Betti numbers as the point:

- $\beta_1(\Delta_n) = 1$,
- $\beta_i(\Delta_n) = 0$ for $i > 0$.

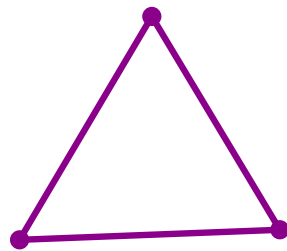
Now, if we run the incremental algorithm for homology on Δ_n , but stopping before adding the n -simplex V , we would obtain the Betti numbers of $\partial\Delta_n$.

Note that the n -simplex is negative. Hence

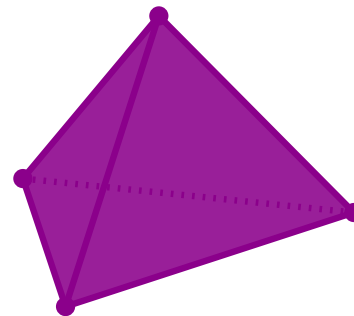
- $\beta_n(\partial\Delta_n) = \beta_n(\Delta_n) + 1$,
- $\beta_i(\partial\Delta_n) = \beta_i(\Delta_n)$ for $i \neq n$.



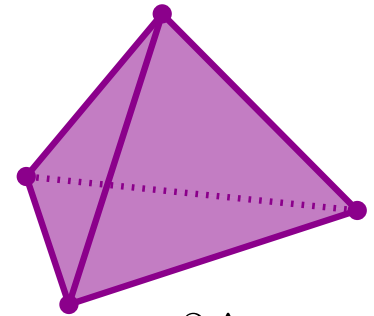
Δ_2



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Δ_3



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Theorem (Invariance of Domain): For every integers m, n such that $m \neq n$, the spaces \mathbb{R}^n and \mathbb{R}^m are not homeomorphic.

Proof: Let m, n such that $m \neq n$. By contradiction, suppose that \mathbb{R}^n and \mathbb{R}^m are homeomorphic via f .

Let 0 denote the origin of \mathbb{R}^n . By restriction, we get a homeomorphism

$$\mathbb{R}^n \setminus \{0\} \rightarrow \mathbb{R}^m \setminus \{f(0)\}.$$

We deduce the following weaker statement: $\mathbb{R}^n \setminus \{0\}$ and $\mathbb{R}^m \setminus \{f(0)\}$ are homotopic equivalent.

We deduce that the sphere S_{n-1} and S_{m-1} are homotopic equivalent.

Hence S_{n-1} and S_{m-1} must admit the same homology groups. This contradict the previous proposition.

Reminder: the Euler characteristic of a simplicial complex K is

$$\chi(K) = \sum_{0 \leq i \leq n} (-1)^i \cdot (\text{number of simplices of dimension } i).$$

Proposition: Let X be a (triangulable) topological space. Then its Euler characteristic is equal to

$$\chi(X) = \sum_{0 \leq i \leq n} (-1)^i \cdot \beta_i(X)$$

where n is the maximal integer such that $\beta_i(X) \neq 0$.

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Proof: Let K be a triangulation of X . Pick an ordering $K^1 \subset \dots \subset K^n = K$ of K , with $K^i = K^{i-1} \cup \{\sigma^i\}$ for all $2 \leq i \leq n$.

By induction, let us show that, for all $1 \leq m \leq n$,

$$\sum_{0 \leq i \leq m} (-1)^i \cdot \beta_i(K^m) = \sum_{0 \leq i \leq m} (-1)^i \cdot (\text{number of simplices of dimension } i \text{ of } K^m).$$

For $m = 1$, σ^m is a 0-simplex, and the equality reads $1 = 1$.

Now, suppose that the equality is true for $1 \leq m < n$, and consider the simplex σ^{m+1} . Let $d = \dim \sigma^{m+1}$. The right-hand side of the Equation is increased by $(-1)^d$.

If σ^{m+1} is positive, then $\beta_d(K^{m+1}) = \beta_d(K^m) + 1$, hence the left-hand side of the Equation is increased by $(-1)^d$.

Otherwise, it is negative, and $\beta_{d-1}(K^{m+1}) = \beta_{d-1}(K^m) - 1$, hence the left-hand side of the Equation is increased by $-(-1)^{d-1} = (-1)^d$.

I - Incremental algorithm

II - Applications

III - Matrix algorithm

Boundary matrix

13/15 (2/8)

By adding columns one to the others, we create chains.

If we were able to reduce a column to zero, then we found a cycle.

$$\begin{array}{c}
 \sigma^1 \quad \sigma^2 \quad \sigma^3 \quad \sigma^4 \quad \sigma^5 \quad \sigma^6 \quad \sigma^7 \quad \sigma^8 \quad \sigma^9 \quad \sigma^{10} \\
 \begin{array}{c}
 \sigma^1 \\
 \sigma^2 \\
 \sigma^3 \\
 \sigma^4 \\
 \sigma^5 \\
 \sigma^6 \\
 \sigma^7 \\
 \sigma^8 \\
 \sigma^9 \\
 \sigma^{10}
 \end{array}
 \begin{pmatrix}
 0 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 0 & 0 \\
 0 & 0 & 0 & 0 & 1 & 1 & 0 & 0 & 1 & 0 \\
 0 & 0 & 0 & 0 & 0 & 1 & 1 & 0 & 0 & 0 \\
 0 & 0 & 0 & 0 & 0 & 0 & 1 & 1 & 1 & 0 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 1 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 1 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 1 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0
 \end{pmatrix}
 \end{array}$$

$$\partial_1(\sigma^6) = \sigma^2 + \sigma^3$$

$$\begin{array}{c}
 \sigma^1 \quad \sigma^2 \quad \sigma^3 \quad \sigma^4 \quad \sigma^5 \quad \sigma^6 \quad \sigma^7 \quad \sigma^5 + \sigma^6 + \sigma^7 + \sigma^8 \quad \sigma^9 \quad \sigma^{10} \\
 \begin{array}{c}
 \sigma^1 \\
 \sigma^2 \\
 \sigma^3 \\
 \sigma^4 \\
 \sigma^5 \\
 \sigma^6 \\
 \sigma^7 \\
 \sigma^8 \\
 \sigma^9 \\
 \sigma^{10}
 \end{array}
 \begin{pmatrix}
 0 & 0 & 0 & 0 & 1 & 0 & 0 & 0 & 0 & 0 \\
 0 & 0 & 0 & 0 & 1 & 1 & 0 & 0 & 1 & 0 \\
 0 & 0 & 0 & 0 & 0 & 1 & 1 & 0 & 0 & 0 \\
 0 & 0 & 0 & 0 & 0 & 0 & 1 & 0 & 1 & 0 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 1 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 1 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 1 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0
 \end{pmatrix}
 \end{array}$$

$$\partial_1(\sigma^5 + \sigma^6 + \sigma^7 + \sigma^8) = 0$$

Boundary matrix

13/15 (8/8)

Algorithm 2: Reduction of the boundary matrix

Input: a boundary matrix Δ

Output: a reduced matrix $\tilde{\Delta}$

for $j \leftarrow 1$ **to** n **do**

while *there exists* $i < j$ *with* $\delta(i) = \delta(j)$ **do**
 add column i to column j ;

Lemma: Suppose that the boundary matrix is reduced. Let $j \in \llbracket 1, n \rrbracket$.

If $\delta(j)$ is defined, then the simplex σ^j is negative.

Otherwise, it is positive.

$$\begin{array}{c}
 \sigma^1 \\
 \sigma^2 \\
 \sigma^3 \\
 \sigma^4 \\
 \sigma^5 \\
 \sigma^6 \\
 \sigma^7 \\
 \sigma^8 \\
 \sigma^9 \\
 \sigma^{10}
 \end{array}
 \begin{pmatrix}
 \sigma^1 & \sigma^2 & \sigma^3 & \sigma^4 & \sigma^5 & \sigma^6 & \sigma^7 & \delta^5 + \sigma^6 + \sigma^7 + \sigma^8 & \delta^9 + \sigma^6 + \sigma^7 & \sigma^{10} \\
 0 & 0 & 0 & 0 & 1 & 0 & 0 & 0 & 0 & 0 \\
 0 & 0 & 0 & 0 & 1 & 1 & 0 & 0 & 0 & 0 \\
 0 & 0 & 0 & 0 & 0 & 1 & 1 & 0 & 0 & 0 \\
 0 & 0 & 0 & 0 & 0 & 0 & 1 & 0 & 0 & 0 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 1 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 1 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 1 \\
 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0
 \end{pmatrix}$$

σ^1 σ^2 σ^3 σ^4 σ^5 σ^6 σ^7 σ^8 σ^9 σ^{10}
 + + + + - - - + + -

Incremental computation of the homology

Input: an increasing sequence of simplicial complexes $K^1 \subset \dots \subset K^n = K$

Output: the Betti numbers $\beta_0(K), \dots, \beta_d(K)$

$\beta_0 \leftarrow 0, \dots, \beta_d \leftarrow 0;$

for $i \leftarrow 1$ **to** n **do**

$d = \dim(\sigma^i);$

if σ^i *is positive* **then**

$\beta_k(K^i) \leftarrow \beta_k(K^i) + 1;$

else if $d > 0$ **then**

$\beta_{k-1}(K^i) \leftarrow \beta_{k-1}(K^{i-1}) - 1;$

Gauss reduction of the boundary matrix

Input: a boundary matrix Δ

Output: a reduced matrix $\tilde{\Delta}$

for $i \leftarrow 1$ **to** n **do**

while *there exists* $i < j$ *with* $\delta(i) = \delta(j)$ **do**

 add column i to column j ;

Conclusion

We defined the standard algorithm for (persistent homology).

It works incrementally, by using the predicate 'test of positivity of a simplex'.

Using the algorithm, we have been able to compute the homology groups of the spheres, and as a consequence we proved the Invariance of Domain.

Homework: Exercises 31, 34

Facultative: Exercises 33

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Merci !