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Regular Switching Components

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Abstract

We consider a problem of Discrete Tomography which consists in reconstructing a lattice set $S \subset \mathbb{Z}^2$ with given horizontal and vertical X-rays (in other words, with prescribed number of points in each row and column). Without complementary assumption, the problem can be solved in polynomial time [1, 2]. Many variants add the constraint to find a solution in a chosen class C. Among others, the problem is NP-complete for the class \mathcal{HV} of HVconvex lattice sets [3] and it becomes polynomial for the class $\mathcal{HV}4$ of the HV-convex polynomials [4]. Twenty years after these results, its complexity remains unknown for the class \mathcal{P} of the convex lattice sets (in other words two-dimensional lattice polytopes).

The difficulty of this problem comes from combinatorial structures called *switching components*. Given the border of a solution (its feet), switching components are finite sequences of points $(p_i)_{1 \le i \le 2l}$ with the property that either the points with odd indices, or the points with even indices are in a solution S. This binary choice is encoded in a boolean variable associated with the switching component. Then the convexity constraints are simply encoded by clauses (2-clauses for HV-convexity and 3-clauses for convexity).

The purpose of the paper is to investigate the properties of the switching components and their relations induced by convexity. We divide the switching components in two classes: *regular* if their turning angle is constant, *irregular* otherwise. We prove that the 4-connected regular switching components have equal boolean variable. It leads to merge them in extended switching components. If all switching components are regular, we prove that the extended switching components are all independent (then the number of

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solutions with the considered feet is 2^n where n is the number of extended switching components) and that they are geometrically ordered.

Keywords: Discrete Tomography, X-rays, HV-convex lattice sets

1 1. Introduction

² A word about some friends of Maurice Nivat

The scientific community involved in the field of Discrete Tomography 3 started his work 25 years ago. Maurice Nivat promoted the field by co-4 organizing or participating to some weeks of workshop in Dagstuhl (1997), 5 Thionville (1999), Sienna (2000), Oberwolfach (2000). He met new friends 6 and presented the field to younger researchers who became his students and 7 friends. This tribute to Maurice Nivat is an opportunity to honor also the 8 memory of three of his friends who unfortunately died much too early: Alain 9 Daurat, the last PhD student of Maurice (1973-2011), Alberto Del Lungo 10 (1965-2003) [5] and Attila Kuba (1953-2006). 11

¹² 1.1. Open problems in Discrete Tomography

The field of Discrete Tomography [6, 7, 8] started in the mid 1990s years 13 with a report of failure. The classical algorithms of Computerized Tomog-14 raphy fail to reconstruct lattice sets as requested for instance in Electron 15 Microscopy for the investigation of crystals [9, 10]. Due to the technical 16 principle providing the measurements and the complexity of the considered 17 problems, a special attention has been given on dimension 2. The state of the 18 art around this question was already rich of different results of complexity. 19 The most fundamental one is due to D. Gale and R.J. Ryser in 1957. They 20 proved independently that if it exists, a lattice set with prescribed number 21 of points in each row and column can be computed in polynomial time [1, 2]. 22 This central problem has been extended in several directions including the 23 following: 24

- By increasing the dimension of the lattice, the problem becomes NPhard from dimension 3 [11]. The question can also be related with timetables and multi-commodity flow problems [12, 13].
- By increasing the number of X-rays (let us precise that an X-ray is the vector which counts the number of points of a lattice set in the

sequence of lines of given direction), from 3 directions, the problem
 becomes NP-hard [14].

- By reconstructing no more one set from its X-rays but simultaneously several sets (with empty intersections) from their own X-rays [15], the problem is NP-hard from only two sets [16].
- 35 36
- By adding geometrical or topological constraints as we are going to precise in the following.

Instead of searching for any lattice set with the prescribed X-rays as in 37 the initial problem investigated by D. Gale and H.G. Ryser [1, 2], we can 38 search for a solution satisfying complementary constraints. It might change 39 completely the complexity of the problem. The constraints which are added 40 can be topological, for instance by searching for 4-connected solutions (4-41 connected finite subsets of \mathbb{Z}^2 are called *polyominoes*), or geometrical, as the 42 research of convex solutions. This area of research has been open by two 43 seminal papers providing deep results. 44

• The first one is due to Richard Gardner and Peter Gritzmann[17]. They 45 considered the reconstruction of convex lattice sets with different num-46 ber of directions of X-rays. They characterized the sets of n directions 47 for which any set is uniquely determined by its X-rays. For 2 or 3 48 directions, their exist always ambiguous pairs or triplet of X-rays. For 49 $n \geq 7$ directions, all lattice sets are uniquely determined by their X-50 rays. For 3 < n < 7, the so-called cross-ratios of the directions provide 51 a characterization of the sets of direction providing either uniqueness, 52 or ambiguous X-rays [17]. With the directions of X-rays providing 53 uniqueness, these results have been completed by a polynomial time 54 algorithm of reconstruction by Sara Brunetti and Alain Daurat [18]. 55

The second paper on which we focus our attention is the reconstruction of HV-convex polyominoes of Z² from their horizontal and vertical X-rays. Helena Barcucci, Alberto Del Lungo, Renzo Pinzani and Maurice Nivat proved in 1996 that it can be solved in polynomial time [4].

The polynomial time algorithm reconstructing 4-connected HV-convex lattice sets from their horizontal and vertical X-rays is all the more noteworthy that almost all the other neighboring problems are NP-hard. Deciding

whether there exists a solution in the classes of H-convex, V-convex, HV-63 convex, 4-connected, H-convex and 4-connected lattice sets is NP-complete 64 [3, 4] in these five cases. The main remaining open question with orthogonal 65 X-rays is the complexity of the reconstruction of lattice polytopes or in other 66 words convex lattice sets (for a lattice set, *convex* means that it is equal to 67 the intersection of its real convex hull with the lattice). It's a challenging 68 problem whose adjacency with the reconstruction of HV-convex polyominoes 69 has drawn a new attention on the classical algorithm of [4]. Although older 70 than 20 years, this approach has still a shadow zone. It concerns the last 71 step of the algorithm. Given the feet of the lattice set, either the algorithm 72 stops during the filling operations and there is no solution, or the last step is 73 required to find solutions. Several experts have noticed that if the algorithm 74 arrives at the fourth step, there are always solutions (unfortunately only oral 75 communication). Although it can be proved quite easily in the cases b), d) 76 and f) of Fig.20, this remark remains a conjecture. 77

This unexplained and prevalent property shows that it remains a real interest in digging the heritage of Maurice Nivat and his co-authors. They let the combinatorial structures of the switching components unexplored while their investigation is of major interest for the reconstruction of convex lattice sets, a question which remains an open question despite the current attention on this topic [19]).

84 1.2. Results

We provide in this paper new results in the framework of the reconstruction of lattice sets from their horizontal and vertical X-rays with constraints of convexity or HV-convexity. The original approach for solving these problems of reconstruction (also used in [20, 18]) works in 4 steps.

- Fix the feet of the solutions (the points on the boundary of the region of interest).
- 2. Proceed to a sequence of filling operations.
- Partition the remaining undetermined points in switching components
 and express the constraint of HV-convexity (or convexity) with 2 clauses.
- 4. Use a 2-SAT solver to provide solutions.

The fourth step of the algorithm is however very often useless. In most cases, the 2-SAT instance is reduced to a set of equalities on boolean variables which can be solved without any 2-SAT solver. The purpose of the

paper is to provide the definitions, classifications and properties which ex-99 plain the degeneracy of the set of constraints induced by HV-convexity. We 100 introduce a partition of the switching components in two classes according to 101 the variation of their turning angle: Switching components are closed path 102 which might turn sometimes on the left (anticlockwise) and sometimes on 103 the right (clockwise). If the path is always turning on the same direction, 104 the switching component is said *regular*, and *irregular* otherwise. A larger 105 part of the paper but not all is devoted to the regular case. 106

The main lemma of the paper (Lemma 1) is that the regular switching 107 components at Euclidean distance 1 are necessarily equal. It follows that in 108 the case where all the switching components are regular, any pair of switch-109 ing component is either equal, or independent (Theorem 1). In other words, 110 if the HV-convexity makes two regular switching components dependent and 111 relates them by a 2-clause, then, at some other points of the path, HV-112 convexity enforces the converse dependency and provides their equality. It 113 leads to merge the equal switching components in extended switching compo-114 *nents.* These objects are all independent. It explains why in the case where 115 all switching components are regular, the 2-SAT instance is reduced to a set 116 of equalities (these instances are of course trivial to solve). It follows the 117 structural property: 118

If all switching components are regular, the number of solutions (with the chosen feet) is 2^n where *n* is the number of extended switching components (Property 1).

This property does not hold in general: with irregular switching components, the number of solutions is not necessarily a power of 2 (an example is drawn in Fig.1).

As the condition of regularity of all the switching components can appear as a bit restrictive, we investigate the different cases where it might occur. It leads to prove new properties of the switching components and provide some counter-examples going against the intuition.

- We prove that each switching component visits necessarily the four borders (South West, North West, North East and South East) of the set of undetermined points (Property 2).
- Among all the possible configurations of the feet, in one case, they are all regular while in the other, irregular switching components might occur (Fig.20). In this second case, only one sub-case among five provides

both regular and irregular switching components (this counter-intuitive case is illustrated Fig.21). For all the others: switching components are either all regular, or all irregular.

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• If all switching components are regular, we prove that the extended switching components obtained by merging the 4-connected switching components are well ordered (Property 3).



Figure 1: **Counter-example with irregular switching components.** The two switching components (blue and cyan) are irregular since their path does not have a constant turning angle. With such switching components, the number of HV-convex solutions is not necessarily a power of 2 while it is always the case with regular switching components (Property 1).

These results do not only provide a better understanding of the classical algorithm used for reconstructing HV-convex lattice set. The simplification that it introduces in the case of regular switching components might also be useful for solving the open question of the reconstruction of convex and no more HV-convex lattice sets from their horizontal and vertical X-rays.

In Sec.2, we present the definitions from HV-convexity to the notion of switching components by passing through the original algorithm of recontruction of [4]. In Sec.3, we provide the main result and its proof about the degeneracy of the constraints in the regular case. At last, Sec. 4 is devoted to the complementary results (properties 2 and 3.



151 2. Definitions and notations

152 2.1. HV-convexity

There exist several kinds of convexity in \mathbb{Z}^d or even simply in \mathbb{Z}^2 : directional convexity such as HV-convexity, *Q*-convexity and just *convexity* sometimes called *digital convexity* or *strong convexity*. We introduce HV-convex and convex lattice sets.

¹⁵⁷ **Definition 1.** A lattice set $S \subset \mathbb{Z}^2$ is *HV-convex* if its intersection with any ¹⁵⁸ horizontal or vertical line is a set of consecutive points (Fig.2).



Figure 2: **HV-Convexity**. The left lattice sets are not HV-convex since their intersection with some vertical or horizontal line (in red) has holes. The two right lattice sets are HV-convex.

Definition 2. A lattice set $S \subset \mathbb{Z}^2$ is *convex* if it is equal to the intersection of its (real) convex hull with the lattice (Fig.3).

In other words a finite convex lattice set is equivalent to a lattice poly-161 tope. We introduce notations for the classes of finite lattice sets used in the 162 following. The set of the HV-convex 4-connected lattice sets (HV-convex 163 polyominoes) is denoted $\mathcal{HV4}$. The set of the HV convex lattice sets is de-164 noted \mathcal{HV} . The set of the convex lattice sets is denoted \mathcal{P} (\mathcal{P} for lattice 165 polytopes). Then we have the two inclusions $\mathcal{P} \subset \mathcal{HV}$ and $\mathcal{HV}4 \subset \mathcal{HV}$. 166 Notice that both convex and HV-convex lattice sets are not necessarily 4 or 167 even 8-connected. 168



Figure 3: **Convexity**. The left lattice set is not convex since its convex hull (in red) contains a lattice exterior point (in white). The right lattice set is convex.

169 2.2. Horizontal and vertical X-rays

An X-ray is the sequence of the cardinalities of the intersection between a given lattice set and the consecutive diophantine lines having a given direction. In the case of the vertical and horizontal directions, it leads to the following definition.

Definition 3. Given a finite lattice set $S \subset \mathbb{Z}^2$ included in the rectangle [1,m] × [1,n], its vertical X-ray is the vector $V(S) \subset \mathbb{Z}^m$ whose coordinate $v_i(S)$ is the number of points of S in the vertical line x = i (we have $V_i(S) =$ $|\{(x, y) \in S | x = i\}|$). The horizontal X-ray of S is the vector $H(S) \subset \mathbb{Z}^m$ counting the number of points of S in each horizontal line y = j (we have $H_j(S) = |\{(x, y) \in S | y = j\}|$).



Figure 4: The horizontal and vertical X-rays of a given lattice set S.

180 2.3. Problem statement

We introduce the problem of decision of the existence of a finite lattice set having the double property to belong to a specific class C and with the given X-rays: 184 **Problem 1** $(DT_{\mathcal{C}}(h, v))$.

185 Given a class C of lattice sets

186 **Input:** Two vectors $v \in \mathbb{Z}^m$, $h \in \mathbb{Z}^n$

187 **Output:** does there exist a lattice set $S \in C$ with V(S) = v and H(S) = h?

The problems $DT_{\mathcal{C}}$ are known to be polynomial for the classes \mathcal{C} of the whole lattice sets [1, 2] and for the class $\mathcal{HV}4$ of the HV-convex polynominoes [4]. Its complexity is unknown for the class of the convex polytopes \mathcal{P} and is NP-complete for many other (H-convex, V-convex, HV-convex, 4-connected) [3, 4].

193 2.4. The feet

We introduce the feet of a lattice set S as the subsets of its points with minimal and maximal coordinates.

Definition 4. Given a lattice set $S \subset \mathbb{Z}^2$, we consider its South, East, North and West feet as the sets

- South(S) = $S \cap \{y = y_{min}(S)\}$ where $y_{min}(S)$ is the min ordinate of the points of S.
- West $(S) = S \cap \{x = x_{min}(S)\}$ where $x_{min}(S)$ is the min abscissa of the points of S.
- North(S) = $S \cap \{y = y_{max}(S)\}$ where $y_{max}(S)$ is the max ordinate of the points of S.
- East(S) = $S \cap \{x = x_{max}(S)\}$ where $x_{max}(S)$ is the max abscissa of the points of S.

206 2.5. Steps of the original algorithm

The original algorithm for solving $DT_{\mathcal{HV}4}$ is strongly dependent on HVconvexity. It is only guaranteed to terminate in a polynomial time for the class $\mathcal{HV}4$ of the HV-convex polyominoes. Its principle can however be considered for any instance $DT_{\mathcal{C}}(h, v)$ with a class \mathcal{C} of lattice sets which are all HV-convex ($\mathcal{C} \subset \mathcal{HV}$). It can be for instance $\mathcal{HV}4$, \mathcal{P} or even \mathcal{HV} itself. The algorithm can be decomposed in four steps [4].

1. Fix the feet (Fig.6).



Figure 5: The feet. The four feet of a finite lattice set.

214 2. Filling operations: Try to satisfy the X-rays and the geometrical con-215 straints until the filling operations do not allow to determine any new 216 point.

217 3. Decompose the remaining undetermined points in switching compo 218 nents and provide the 2-clauses expressing HV-convexity.

4. Solve the 2-SAT instance.

In many cases, the main part of the computation is done in the second step.

222 2.6. Filling operations

Under the assumption of the chosen feet, the filling operations are working with a partition of the lattice in three sets:

- The set In contains the points which are known to belong to all solutions.
- The set Out contains the points which are known to be excluded from all solutions.
- The set Shell is the set of the undetermined points.

The task of the filling operations is to take the constraints into account in order to include or exclude from the solutions as much points as possible and thus decrease the shell. If a point of In has to be added in Out or conversely, this contradiction leads to the conclusion that the considered position of the



Figure 6: **Step 1**. On the left, the different possible positions of the feet. On the right, a position of the feet is chosen. The points are added in In (in black) while the other extreme points which have not been chosen are added in Out (in red). The shell (in grey) is the set of the points which are not yet determined.

feet admits no solution. The next step starts as the filling operations did not find contradictions and are no more able to decrease the shell.

There exist different kinds of filling operations depending on the chosen 236 class \mathcal{C} . Their common property of HV-convexity and the prescribed X-rays 237 provide however the main operations. First operations are uniquely related 238 with HV-convexity. The intermediary lattice points between two points of 239 In on the same row or on the same column can be added in In. If there 240 are two points $p \in \text{In and } p' \in \text{Out on the same row or column, the points}$ 241 behind p' can be added in Out. There are also the filling operations which 242 take the prescribed X-rays into account with HV-convexity (Fig.7). We refer 243 to [20, 18] for a more complete presentation of the operations. 244

Some of the filling operations can be much more complex. It is the case of the operation based on the 4-connectivity used for reconstructing HV-convex polyominoes [4].



Figure 7: Four filling operations.

248 2.7. 8-connectivity of In and shell partition in SE, NE, NW and SW

We did not restrict the framework of the paper to the reconstruction of a specific class C of lattice sets, except the property that it has to be HV-convex but for going further, we need a first assumption:

We assume that the set In obtained at the end of the filling operations is 8-connected. At the step 1, the set In is initialized as the union of the feet. In most cases, they are not 8-connected. If the filling operations allow to connect them, then at the end of the filling operations, we can decompose the shell in 4 parts according to their relative position towards the set In. Otherwise, there is no intrinsic decomposition.

The assumption that the set In is 8-connected allows to decompose the shell in four borders. These four borders located between In and Out are denoted SE, NE, NW and SW for South-East, North-East, North-West and South-West (Fig.8).

Once defined, the main property of the four layers is that they are structured by pairs, North and South, East and West.

264 2.8. Corresponding points

We define vertical correspondences between the South and the North points and horizontal correspondences between the West and the East points.

Definition 5. We consider an instance $DT_{\mathcal{C}}(h, v)$ with X-rays h and v and a class $\mathcal{C} \subset \mathcal{HV}$. We assume that the set In obtained after the filling operations is 8-connected so that the shell has been decomposed in four borders.



Figure 8: The 4 borders of the shell. If the set In is 8-connected, the shell can be decomposed in its South-East, North-East, North-West and South-West borders respectively denoted SE, NE, NW and SW.

- The vertical correspondent of a point $\underline{p} = (i, j)$ of the South borders SE \cup SW is the point $\overline{p} = (i, j + v_j)$.
- The vertical correspondent of a point $\overline{p} = (i, j)$ of the North borders NE \cup NW is the point $p = (i, j - v_j)$.
- The horizontal correspondent of a point p| = (i, j) of the West borders SW \cup NW is the point $|p = (i + h_j, j)$.

The horizontal correspondent of a point |p = (i, j) of the East borders SE \cup NE is the point $p| = (i - h_j, j)$.

²⁷⁸ The vertical and horizontal correspondents have a few properties.

- 1. The horizontal and vertical correspondents of an undetermined point pare also undetermined (otherwise, the filling operations allow to assign p to In or Out).
- 282 2. Correspondences are symmetric relations.
- 3. The distance between p and its correspondents being h_j and v_i , if p is in a solution, its correspondents are outside.
- 4. A point p and its correspondent p' cannot be outside from a solution in the meantime because the segment of the solution is necessarily in between and there are not enough points.
- It follows that if p and p' are correspondents, p is in a solution S if and only if p' is not in S.



Figure 9: **Corresponding points**. On the left, a configuration with the sets In (black points), Out (red points) and Shell (white cells, grey points) of the undetermined points. In the middle, a pair of vertical correspondents (green) and a pair of horizontal correspondents (blue). We represent the points alternatively with squares or diamonds. Notice that the segment represented by the dotted ellipse has only two possible positions. Due to its length, if it contains the square, it does not contain the diamond and conversely. On the right, the correspondences define closed paths called switching components which provide a partition of the undetermined points. For each switching components, either the squares belong to a solution, or the diamonds.

290 2.9. Switching components

The correspondences between the points define paths. The undetermined point p_1 has an horizontal correspondent p_2 which has a vertical correspondent p_3 which has an horizontal correspondent p_4 and so on until coming back to p_1 as vertical correspondent (since the shell is finite, the path is necessarily closed). This path is called *switching component* (Fig.9 and 10).

Definition 6. We consider an instance $DT_{\mathcal{C}}(h, v)$ and a position of the feet providing a 8-connected set In. The shell obtained at the end of the filling operations is decomposed in SE, NE, NW, SW.

A switching component P is a cyclic sequence of corresponding points p_r with indices $r \in \mathbb{Z}/2l\mathbb{Z}$ (the length of the sequence is 2l) so that p_{2k} and p_{2k+1} are vertical correspondents while p_{2k-1} and p_{2k} are horizontal correspondents. We denote P[0] the set of the points of the sequence with even indices and P[1] the set of the points with odd indices.

³⁰⁴ By construction, the two sets P[0] and P[1] have the same horizontal and ³⁰⁵ vertical X-rays, since each point has a unique vertical and horizontal corre-³⁰⁶ spondent in the other set (they are respectively represented with diamonds ³⁰⁷ and squares in all following figures). In the same way than the corresponding



Figure 10: Switching components. On the left, two switching components P^1 and P^2 . The squares represent their points with even indices (the set P[0]) and the diamonds the points with odd indices (the set P[1]). Notice that there are here only 2 convex solutions since the convexity enforces to add $P^1[0] \cup P^2[0]$ or $P^1[1] \cup P^2[1]$ in the solution while sets including $P^1[0] \cup P^2[1]$ or $P^1[1] \cup P^2[0]$ have also the prescribed X-rays but are not convex. In the middle, regular switching component are not restricted to only one turn (the brown switching component makes 2 turns). On the right, an irregular switching component. It turns clockwise at point 2 and anticlockwise at point 3. On the contrary, the switching components of the two left images are regular (they turn always clockwise).

points, any solution S of $DT_{\mathcal{C}}(h, v)$ with the considered feet falls in one of the two possible cases:

• either $P[0] \subset S$ and $P[1] \cap S = \emptyset$,

• or $P[1] \subset S$ and $P[0] \cap S = \emptyset$.

In other words, considering a switching component P, a solution contains either the points of the switching component with odd indices, or the ones with even indices.

³¹⁵ 2.10. Boolean variables for encoding the state of each switching component ³¹⁶ According to previous remark, in a solution S of $DT_{\mathcal{C}}(h, v)$ with prescribed ³¹⁷ X-rays and fixed feet, a switching component P can have only two states:

• P(S) = 0 if P[0] is in S and P[1] is excluded.

• P(S) = 1 if P[1] is in S and P[0] is excluded.

The value P(S) is a boolean variable. If we consider now the whole sets of switching components P^q for the indices q going from q = 1 to the number Qof switching components, the values of the Q boolean variables $P^q(S)$ provide a complete characterization of S. Moreover, the 2^Q possible assignments of the Q boolean variables all provide a set S with the prescribed horizontal and vertical X-rays. The problem is to determine whether there exists an assignment which provides a solution S in the chosen class C.

327 2.11. Regular switching components

Before starting the investigation of the relationships between the switching components, we introduce two groups according to the regularity of their turning angle.

Definition 7. A switching component is regular if for all indices, the oriented angle between vectors $p_k - p_{k-1}$ and $p_{k+1} - p_k$ is a constant of k (in other words, the switching component turns always clockwise, or always anticlockwise (Fig.10)).

The switching components which have clockwise and anticlockwise turning angles are simply said *irregular* (Fig.10).

337 3. Main result

We prove that the boolean variables associated to regular switching components at distance 1 (they have two 4-neighbors at some points) are necessarily equal. This main lemma allows to state different properties.

341 3.1. Encoding the convexity with clauses

The classical approach developed in [4] for reconstructing HV-convex polyominoes is to search for an assignment of the boolean variable $p^q(S)$ leading to an HV-convex solution S. The approach passes through the encoding of the HV-convexity constraint in a conjunction of 2-clauses. It leads to a 2-SAT instance (Fig.11).

The same approach holds for encoding convexity with clauses (Fig.11). They are however no more restricted to 2-clauses. 3-clauses are necessary with the difficulty that 3-SAT is no more polynomial but NP-complete. It explains why the original polynomial time algorithm for the class $\mathcal{HV}4$ of convex polyominoes has not been extended to the class of convex polytopes \mathcal{P} . We can however believe that some properties of the switching components might be of interest for avoiding the use of 3-clauses.



Figure 11: 2 and 3 clauses encoding convexity. The switching components being encoded in boolean variables (represented here geometrically with colored squares and diamonds), HV-convexity is expressed by a conjunction of 2-clauses. Consequently, the research of an HV-convex solution is reduced to a 2-SAT instance that can be solved in polynomial time. For expressing the convexity (not HV-convexity but the one of Definition 2) in the same manner, we need 3-clauses with the difficulty that 3-SAT is NP-complete.

354 3.2. Regular switching components at distance 1 are equal

We provide an important lemma whose consequences have been observed several times in the framework of the reconstruction of HV-convex polyominoes. By convention, we choose the initial point p_1 of the regular switching components in the North West border NW (Property 2 shows that it is always possible).

Lemma 1. We consider an instance of $DT_{\mathcal{C}}(h, v)$ with a class $\mathcal{C} \subset \mathcal{HV}$. The four feet being chosen, we assume that the filling operations have connected them. It provides a partition of the shell in its NE, NW, SW, SE borders and thus in switching components (Fig.11). For any pair P and P' of regular switching components having a pair of points at Euclidean distance 1, the
 HV-convexity constraint of a solution S enforces P and P' to be equal.

Lemma 1 means that neighboring regular switching components are necessarily equal.

PROOF. We assume without loss of generality that the points $p_1 = (x_1, y_1)$ and $p'_1 = (x'_1, y'_1)$ both belong to the North West border NW and that p'_1 is the right 4-neighbor of p_1 (Fig.12).



Figure 12: Assumption of Lemma 1. We assume that the two considered switching components have two points at Euclidean distance 1. By symmetries, we can assume without loss of generality that p'_1 is the right 4-neighbor of p_1 . It follows that if p_1 is in the solution S (the odd part P[1] of the switching component P is in S namely P(S) = 1), then p'_1 is also in S (the odd part P'[1] of the switching component P' is also in S namely P'(S) = 1). The black zone is a sketch of the set In. It underlines the property that with regular switching components horizontal correspondences are only between NW and NE or SW and SE while vertical correspondences are only between NW and SW or NE and SE.

We consider the positions of the points $p_0 = (x_0, y_0)$ (vertical correspondent of p_1), p_2 and $p_3 = (x_3, y_3)$. We distinguish three cases according to the comparison of y_0 and y_3 .

- Case 1. $y_0 < y_3$
- Case 2. $y_0 = y_3$
- Case 3. $y_0 > y_3$



Figure 13: The three possible configurations used for proving Lemma 1. We develop the three cases in the following.

The three cases are developed in figures 14, 15 and 16. We follow the path of the second switching component P' by starting from p'_1 . This starting point is in the region denoted A and we build the oriented graph of correspondences between the regions reached by P'. This graph provides a description of all the possible path and thus of all possible configurations starting from the region A.

According to the relative position of p'_1 towards p_1 , the equality P(S) = 1implies P'(S) = 1. Some regions provide the converse relation: P'(S) = 1implies P(S) = 1 or equivalently P(S) = 0 implies P'(S) = 0, and thus provide the wanted equality. These regions are colored in grey in all the figures. Therefore the task of the proof is to show that any closed path starting from p'_1 passes necessarily through a grey region.

In the first and second cases (Fig.14 and 15), either the path passes through a grey region and provides the equality, or it cannot come back in the initial region A which is excluded. It provides the equality.

In the third case, the analysis is a bit more complicated. We proceed in 392 two steps. We introduce 4 regions denoted A, B, C and D represented in 393 Fig.16. The points p'_1 and p'_2 are respectively in A and B. Let us assume 394 now that the switching component P' has two horizontal correspondents 395 respectively in C and D. These two points and the two points p'_1 and p'_2 396 define four (grey) regions as in previous cases and as drawn in Fig.16. If the 397 switching component P passes through one of these regions, then the HV-398 convexity provides the equality between the switching components P and 399 P'. If the switching component does not pass through the four grey regions, 400 then the path of the switching component P after p_3 is restricted to an area 401



Figure 14: **Case 1**. In the first case, we decompose the four borders in different regions and follow the path of the switching component P'. It starts with a point p'_1 in the region A. The path ends also necessarily in A. Due to the relative position of p'_1 towards p_1 , we have $P(S) = 1 \implies P'(S) = 1$. The horizontal correspondents of the points in region A are either in region B, or in region C. The graph of the correspondences between the regions that we can reach from region A is drawn below. It the switching component P' passes through one of the grey regions B or F, the HV-convexity leads to $P(S) = 0 \implies P'(S) = 0$. If it passes through the grey regions E or I, then HVconvexity leads to $P'(S) = 1 \implies P(S) = 1$. Consequently if the switching component passes through one of the four grey regions, we have the equality P(S) = P'(S). We notice at last that the only way to avoid the grey regions is to follow the path $(CDGH)^*$ but it is excluded because their in no way to end the path in region A.

402 (in green on the figure) which does not allow to come back to the initial



Figure 15: **Case 2**. The second case is similar to the first one. Starting from a point p'_1 in the region A, the path of the switching component either passes through a grey region which provides the equality P(S) = P'(S) or has a cycle $(CDGH)^*$ which does not allow to end the path in region A. This last possibility is excluded.

⁴⁰³ point. This case can be excluded. We provide a partial conclusion (i): If the ⁴⁰⁴ switching component P' has two horizontal correspondents in the regions C⁴⁰⁵ and D, the equality of P and P' is guaranteed.

We come back to the path followed by the switching component P'. We partition the undetermined points in regions according to their positions relatively to p_0 , p_1 , p_2 and p_3 and investigate again the regions crossed by the switching component P'. The grey regions drawn in Fig.17 are the ones which, due to HV-convexity, provide the equality of the switching component P(S) = P'(S). By building the diagram of the correspondences between the



Figure 16: Case 3. Preliminary analysis. We introduce four regions A, B, C and D. The points p'_1 and p'_2 (in red) are respectively in A and B. Let us assume that there is a pair of horizontal correspondents of P' in the regions C and D. Different sub-cases might occur but the consequences are the same. If we consider now the path of the switching component P after p_3 (in blue), either it passes through one of the grey regions which provide the equality between P and P', or it is maintained in the green area which does not allow to come back to p_1 . This last case is excluded with the consequence that if P' has two horizontal correspondents in B and C, we have the equality of the switching components (for any solution S, we have P(S) = P'(S)).

regions, it appears that P' passes through a grey region, or passes through the edge BC for which the conclusion (i) provides already the equality P = P', or is not closed which is in contradiction with its definition. It follows that in all valid cases, we have the equality between the two switching components.

417 3.3. Extended switching components are independent

The main lemma 1 has a corollary in the case where all the switching components are regular.

Theorem 1. We consider an instance of $DT_{\mathcal{C}}(h, v)$ with a class $\mathcal{C} \subset \mathcal{HV}$. ⁴²⁰ The four feet being chosen, we assume that the filling operations have con-



Figure 17: Case 3. Final analysis. We partition the borders in regions according to their relative positions towards the points p_0 , p_1 , p_2 and p_3 . Due to HV-convexity, if the switching component P' has a point in one of the four grey regions W, X, Y and Z, then we have the equality P(S) = P'(S). The oriented graph of the horizontal and vertical correspondences between regions is drawn below. It characterizes the possible path issued from p'_1 . Either it passes through a grey region, or it passes through the edge CD for which we have already proved the equality (i), or it can not be closed and as previously, this case can be excluded. In the three valid cases, P(S) = P'(S).

⁴²² nected them. It provides a partition of the shell in its NE, NW, SW, SE

⁴²³ borders and thus in switching components (Fig.11). We assume that all the

- switching components are regular and keep the convention that the point p_1 of any switching component is in NW. Then any pair of switching components
- P and P' is either equal (for any solution S, P(S) = P'(S)), or independent.
- ⁴²⁷ *Proof.* Let us assume that the HV-convexity enforces two switching compo-

nents P and P' to be dependent. It means that they are in a configuration where if a point p_k of P is in a solution S, then the point $p'_{k'}$ of P' is also in S. By symmetries, we assume p_k is in the North West border. It follows that $p'_{k'}$ is its South East quadrant (Fig.18). There is thus a 4-connected path of undetermined points from p_k to $p'_{k'}$. By induction, Lemma 1 proves that their switching component are all equal and thus provides the equality between P(S) = P'(S).



Figure 18: 4-connected path. HV-convex dependencies between switching components are consequences of a point configurations like the one drawn above. If p_k is in a solution S, then by HV-convexity, $p'_{k'}$ is also necessarily in S. In any case, we can connect p_k and $p'_{k'}$ by a 4-connected path of undetermined points (in brown). As their switching components are all assumed to be regular, according to lemma 1, all the switching components of these brown points are equal. It provides the equality between the switching components of the blue and red points.

Theorem 1 states that we have equal switching components (they are connected by 4-connected path) and independent switching components. It leads to merge the switching components which are equal in *extended switching components*.

Definition 8. We consider an instance of $DT_{\mathcal{C}}(h, v)$ with a class $\mathcal{C} \subset \mathcal{HV}$ and positions of the feet providing a partition of the shell in switching components.

An extended switching component \overline{P} is the union of all the switching components P' (considered as the set of their points) whose boolean variables are equal to P due to HV-convexity (Fig.19).



Figure 19: Extended switching components. On the left, due to convexity, the switching components P^1 , P^2 , P^3 , P^4 are necessarily equal while P^5 is independent. On the right, we merge P^1 , P^2 , P^3 , P^4 in the extended switching component $\overline{P^1}$ and P^5 becomes $\overline{P^5}$. Extended switching components are less structured, they are just sets of points.

Any extended switching component \overline{P} is a subset of the shell. We denote 445 $\overline{P}(NW), \overline{P}(NE), \overline{P}(SE)$ and $\overline{P}(SW)$ its four subsets in the four borders of 446 the shell. By definition, for any solution S of the instance $DT_{\mathcal{C}}(h, v)$, either 447 $\overline{P}(NW) \cup \overline{P}(SE)$ is in S and $(\overline{P}(SW) \cup \overline{P}(NE)) \cap S = \emptyset$, or $\overline{P}(SW) \cup \overline{P}(NE)$ 448 is in S and $(\overline{P}(NW) \cup \overline{P}(SE)) \cap S = \emptyset$. Theorem 1 means that if all the 449 switching components are regular, all extended switching components are 450 independent. An obvious corollary of Theorem 1 is therefore the following 451 property: 452

Property 1. We consider an instance of $DT_{\mathcal{C}}(h, v)$ with a class $\mathcal{C} \subset \mathcal{HV}$. The four feet being chosen, we assume that the filling operations have connected them. It provides a partition of the shell in its NE, NW, SW, SE borders and consequently in switching components (Fig.11).

⁴⁵⁷ If all the switching components are regular, then the number of solutions ⁴⁵⁸ (with the chosen feet) is 2^n where n is the number of extended switching ⁴⁵⁹ components.

Property 1 does not hold with irregular switching components as drawn in Fig.1. We end this section with a last remark about extended switching components in the regular case. Under the assumption that all the switching components are regular, distinct switching components pass necessarily through distinct rows and columns. Otherwise it means that they share a row or column, and they would have been merged according to Lemma 1 under
the same principle than in Fig.18. This property will be used for ordering
the extended switching components.

468 4. Complementary results

We come back to the general switching components and provide several properties. We are in particular interested in the characterization of the configurations where all the switching components are regular.

472 4.1. Any switching component visits the 4 borders

Due to their constant turning angle, the regular switching components have a cyclic property. With an initial point p_1 chosen in NW, we have $p_{1+4k} \in \text{NW}, p_{2+4k} \in \text{NE}, p_{3+4k} \in \text{SE}, p_{4k} \in \text{SW}$. It does not hold with irregular switching components. We can even ask whether an irregular switching component could avoid one of the 4 borders NE, NW, SW, SE. It cannot happen:

479 Property 2. Any switching component passes through the four borders NE,
480 NW, SW, SE.

Proof. We assume that there exists a switching component P which does 481 not pass through the border NE. If p_1 is in a South border, then p_2 is a 482 North point and thus in NW. Otherwise p_1 is a North point and thus in 483 NW. We start from this point $p_k \in NW$ (with k equal to 1 or 2) and follow 484 the path of the switching component. The horizontal correspondent p_{k+1} of 485 p_k is necessarily in SE. The vertical correspondent p_{k+2} of p_{k+1} is therefore 486 in NW. By induction, for any positive integer n, we have $p_{k+2n} \in NW$ and 487 $p_{k+2n} \in SE$. The turning angles are alternatively $+\frac{\pi}{2}$ and $-\frac{\pi}{2}$. Such a path 488 can not come back to the point p_k . It leads to a contradiction. 489

490 4.2. Structure of the switching components according to the positions of the 491 feet

We are interested now in the different possible configurations of the positions of the feet. By symmetries, we can reduce them to 6 cases drawn Fig.20.

In case a), different structures of switching components are possible
 but they are necessarily irregular.

• In case b), the structure of the switching components is constrained. 497 They are all irregular. The point p_{k+8} is in the same area of the shell 498 than p_k . Moreover, starting from an initial point p_1 in the South West 499 border, there is no area containing simultaneously points of switching 500 components with odd and even indices. It follows that the constant 501 assignment P[S] = 0 for all switching components, or the constant 502 assignment P[S] = 1 are two trivial solutions of the instance. In other 503 words, there are at least two solutions. 504

- In case c), we can have switching components with different structures, but necessarily irregular.
- In case d), the structure of the switching components (all irregular) is constrained. The point p_{k+6} is in the same area of the shell than p_k . As in b) with points $p_1 \in SW$, there are at least two trivial solutions obtained with constant assignments of the boolean variables.
- The case e) is the only one which can provide irregular and regular switching components. It is illustrated Fig.20. This example goes against intuition.
- In the case f), all the switching components are regular.

It remains a lot of open questions about irregular switching components. The case e) is the only one where irregular and regular switching components might coexist (Fig.21). In the cases b), d), and f), the structures of the switching components guarantee that the two constant assignment of the boolean variables are trivial solution. In the configurations, a), c) and e), we still don't know if it is possible to have an expression of the HV-convexity constraints in 2-clauses which is not feasible.

522 4.3. Extended regular switching components can be ordered

We introduce an order relation on the points of the shell. For a pair of points p(x, y) and p'(x', y'), we denote p < p' if x < x' or if x = x' and y < y'for the points of the West borders of the shell and p < p' if x > x' or x = x'and y < y' for the East borders.

An order relation < defined on an arbitrary set of points X induces an order relation A < B between a pair of subsets $A \subset X$ and $B \subset X$ if for any pair $a \in A$ and $b \in B$, we have a < b. The constraint to order sets is



Figure 20: The 6 possible configurations of the feet. By symmetries, we can reduce the set of the possible configurations of the feet to the two cases drawn above. Below, we consider the values of the X-rays associated with the feet. They determine points in In and in Out which are colored in yellow for the South and North feet and in blue for the East and West feet. The shell is in grey (except the points issued from the feet, In is black and Out is red). Regular switching components are only possible in the cases e) and f). Irregular switching components are possible in the cases a), b), c), d) and e).

that their points are well-ordered. Is it the case with switching components? Unfortunately not, the points of switching components are not necessarily well ordered, even in the regular case (Fig.22). But it becomes true with extended switching components in the case where the switching components are all regular.

⁵³⁵ **Property 3.** In the case where all switching components are regular, the ⁵³⁶ extended switching components can be ordered.

Froof. We assume that switching components have been defined and that they are all regular. We use the previous remark that distinct extended switching components pass necessarily through distinct rows and columns.



Figure 21: An instance with regular and irregular switching components. The only configuration which might provide both regular and irregular switching components is e). In all the other cases, the switching components are either all regular, or all irregular.

They cannot share a row or a column. The second remark is that they are necessarily 4-connected with the set In. On each border, they follow the boundary of In (Fig.23). Then the only case which can prevent them to be ordered is if one extended switching component is surrounded by another. We assume that such a configuration exist and show that it leads to a contradiction.

We consider 4-connected components of extended switching components 546 that we call 4*CC*. We assume that a 4CC denoted $\overline{P_1}$ of the switching compo-547 nent \overline{P} is surrounded by two 4CC $\overline{P'_1}$ and $\overline{P'_2}$ of another extended switching component $\overline{P'}$. It means $\overline{P'_1} < \overline{P_1} < \overline{P'_2}$. We can assume without loss of 548 549 generality that $\overline{P'_2}$ is upper than all the 4CC of \overline{P} (otherwise we invert \overline{P} and 550 $\overline{P'}$). By definition, there exists a path of horizontal correspondences connect-551 ing $\overline{P'_1}$ and $\overline{P'_2}$. With the same number of turns around In, the surrounded 552 4CC $\overline{P_1}$ arrives on a 4CC of P that we denote $\overline{P_2}$. We notice therefore that 553 horizontal and vertical correspondences preserve the order of the 4CCs (since 554 they don't share rows or columns). Then by turning around In, it follows 555 from the initial assumption $\overline{P'_1} < \overline{P_1}$ that we have also $\overline{P'_2} < \overline{P_2}$. It contradicts 556



Figure 22: A instance with regular switching components which can not be ordered directly. The green switching components surrounds the two others.

the initial assumption that $\overline{P'_2}$ is upper than any 4CC of P.

It follows from all these complementary properties that the extended switching components have a simple structure along the boundary of the set In: they are independent and well ordered. This property is a step forward in the direction of the reconstruction of convex lattice sets in the case where all the switching components are regular.

564 5. Conclusion

Although they have been widely used for reconstructing HV-convex lattice sets from their horizontal and vertical X-rays, switching components remain quite mysterious combinatorial objects. We started in this paper the investigation of the regular case which occurs if the feet are not placed in opposite corners of the window (case f of Fig.20). Then the switching components are all regular. The main lemma 1 and Theorem 1 show that their boolean variables used at the last step of the HV-convex reconstruction are



Figure 23: Ordering the extended switching components. The extended switching components follow the boundary of the set In (in black). They can be ordered if and only if the right case, with an extended switching component surrounding another one can be excluded.

either equal, or independent. Switching components are equal as soon as
they have two 4-neighbors among their points. We merge them in extended
switching components. While regular switching components might still have
complex configurations, these new objects can be easily ordered along the
boundary of the set In.

The proofs of the results required the development of new approaches 577 based on the investigation of oriented graphs of regions. The regular switch-578 ing components have revealed their structure. A similar work would be of 570 interest with irregular switching components. A better understanding of their 580 relations could be for instance useful to close the remaining question: is it 581 true that the constraints expressing the HV-convexity of the solution are al-582 ways feasible? We hope at last that it can help to determine the complexity 583 of $DT_{\mathcal{P}}$ for the class \mathcal{P} of the convex lattice sets. 584

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Figure 24: Sketch of proof. The initial assumption is $\overline{P'_1} < \overline{P_1} < \overline{P'_2}$. We can assume w.l.g that there is no 4-connected component of the switching component \overline{P} above $\overline{P'_2}$. This assumption is contradicted by the construction of a 4-connected component $\overline{P_2}$ of \overline{P} above $\overline{P'_2}$. Thus extended switching components cannot interlace or surround themselves.

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