

The Depth Poset under Transpositions in the Filter

Herbert Edelsbrunner  

ISTA (Institute of Science and Technology Austria), Klosterneuburg, Austria

Michał Lipiński  

ISTA (Institute of Science and Technology Austria), Klosterneuburg, Austria

Marian Mrozek  

Division of Computational Mathematics, Faculty of Mathematics and Computer Science,
Jagiellonian University, Kraków, Poland

Manuel Soriano-Trigueros  

ISTA (Institute of Science and Technology Austria), Klosterneuburg, Austria

Fedor Zimin 

ISTA (Institute of Science and Technology Austria), Klosterneuburg, Austria

1 Abstract

The depth poset of a filtered Lefschetz complex reflects the dependencies between the cancellations of different shallow birth-death pairs. Using the fast algorithms for computing the depth poset in [9] and for updating the persistence diagram under transpositions in [7], we give a complete case analysis of how transpositions of cells in the filter affect the depth poset. In addition, we present statistics on the depth poset for random point data and its sensitivity to the transpositions that occur in random straight-line homotopies.

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1 Introduction

The field of *topology optimization* aims at the design of shapes whose large- and small-scale connectivity is subject to modifications applied in order to satisfy constraints and optimize objective functions. The traditional approach is numerical and optimizes through repeated local improvement; see the text by Bendsøe [4] and the major revision by Bendsøe and Sigmund [5]. More recently, the methods of topological data analysis have matured and provide an alternative approach to this seasoned problem; see e.g. the “big steps” algorithm by Nigmatov and Morozov [16], which is closely related to the work presented in this paper. Specifically, we aim at exploring the space of shapes that relate to each other through the cancellation and interchange of the critical points of a function. This is naturally related to the simplification of functions and shapes, as studied in [1, 3, 10], but goes beyond this work by casting light on the space of possible simplifications.

A second motivation for the presented work is the development of a full-fledged discrete theory of combinatorial dynamics. Being rooted in the discrete approach to Morse theory pioneered by Forman [11, 12], the overarching goal is to provide discrete counterparts for classic continuous concepts, such as the Conley index and the Morse decomposition; see [14, 15] for important steps in this direction.



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25 The primary technical prerequisites for our work are the depth poset of a filter on a
26 complex, as introduced in [9], the well established concept of persistent homology; see the
27 text by Edelsbrunner and Harer [8], and the vineyard algorithm for computing persistence
28 along a parametrized family of functions, as originally described in [7]. The depth poset
29 collects all dependencies between cancellations of *shallow birth-death pairs* (formerly known
30 as *apparent pairs* [2]) and thus provides a global yet discrete representation of the space of
31 shapes reachable by sequences of such cancellations. We mention that shallow pairs appeared
32 in other seemingly unrelated contexts, for example in fast adaptive sorting [17]. Our main
33 contribution is the complete case analysis of how transpositions in the filter affect the depth
34 poset. Working toward establishing the depth poset as a first class object, we also present
35 statistics on the size and shape of this poset and its variation under transpositions.

36 **Outline.** Section 2 explains the technical background needed to describe our results.
37 Section 3 gives the complete case analysis of how a transposition in the filter affects the
38 depth poset of the same. Section 4 presents statistical results that probe the depth poset and
39 homotopies between them for random PL height functions on Delaunay mosaics of Poisson
40 point processes.

41 2 Background

42 This section presents the background we need to study the relations and orders in which our
43 results are coached. Besides standard material, we need concepts from persistent homology
44 and its matrix reduction algorithms. We refer to [8] for more comprehensive background.

45 **Relations.** We adapt the terminology from graph theory, in which a relation consists of
46 (*directed*) *arcs* that connect *nodes*. Each arc goes from its *source* to its *target*, both of which
47 are nodes. A (*directed*) *path* is a sequence of arcs such that the target of each arc is the
48 source of the next arc, and it goes from the source of the first arc to the target of the last
49 arc. It is a *directed cycle* if the target of the last arc is also the source of the first arc. The
50 relation is *acyclic* if it has no directed cycle. Note however that an acyclic relation may have
51 an *undirected cycle*; that is: two disjoint paths that connect the same two nodes.

52 An acyclic relation has a unique *transitive closure*, which is the possibly larger (acyclic)
53 relation that has an arc from a source to a target whenever there is such a path. A *partial*
54 *order* is an acyclic relation that is its own transitive closure, and in situations where we wish
55 to emphasize the nodes rather than the arcs, we refer to it as a *partially ordered set*, or a
56 *poset*, for short. Two nodes in a poset are *comparable* if there is an arc that connects them,
57 and we write $a \leq b$ if a is the source and b is the target of the connecting arc. A *total order*
58 is a partial order in which any two nodes are comparable. It is a *linear extension* of a partial
59 order on the same nodes if $a \leq b$ in the partial order implies $a \leq b$ in the total order.

60 ► **Definition 2.1.** *The nodes of the face relation of a complex are its cells, with an arc from*
61 *a cell, a , to another cell, b , if a is a face of b and $\dim a = \dim b - 1$. We call a a facet of b*
62 *and b a cofacet of a . A Lefschetz complex avoids the complications that come with concrete*
63 *geometric descriptions of the cells by treating them as abstract entities. It lists the facets of a*
64 *cell but does not specify how they are attached to the cell.*

65 We call a function on a complex, $f: K \rightarrow \mathbb{R}$ that satisfies $f(a) < f(b)$ whenever $a \prec b$
66 *filter* of K . The ordering in which a precedes b iff $f(a) < f(b)$ is then a linear extension of
67 the face relation; see the left panel of Figure 1.

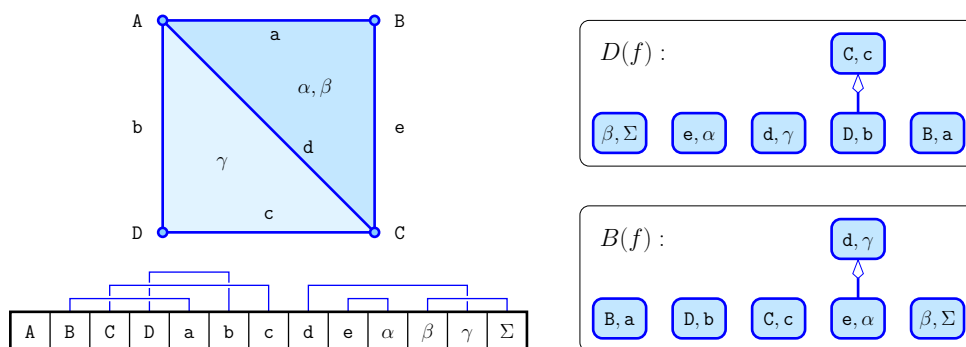


Figure 1: *Upper left*: a complex with four vertices, five edges, three triangles (α, β, γ , in which α and β have the same boundary), and one 3-cell (which is sandwiched between α and β). *Lower left*: the ordering implied by a filter, with birth-death pairs as indicated (see definition below). *Right*: the death and birth relations on the birth-death pairs as computed by Algorithms 1 and 2 below.

Persistent Homology and Transpositions. Given a filter on a complex, $f: K \rightarrow \mathbb{R}$, we construct the complex by adding one cell at a time following the implied order. After adding i cells, we arrive at a subcomplex $K_i \subseteq K$, and we refer to the resulting sequence of subcomplexes as a *filtration* of K . Fixing a dimension, p , and a coefficient field, e.g. $\mathbb{Z}/2\mathbb{Z}$, we apply the degree- p homology functor to each subcomplex and thus get a linear sequence of vector spaces connected by linear maps:

$$H_p(\emptyset) = H_p(K_0) \rightarrow H_p(K_1) \rightarrow \dots \rightarrow H_p(K_n) = H_p(K); \quad (1)$$

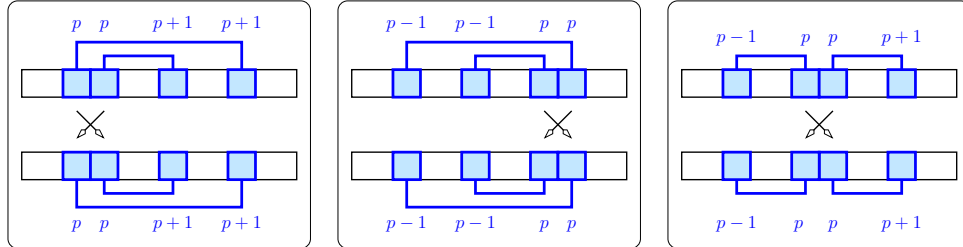
see e.g. [13] for the needed background in algebraic topology. Whenever the added cell has dimension p , it either gives *birth* to a degree- p homology class or it gives *death* to a degree- $(p-1)$ homology class. This is classic Morse theory, and the novelty in persistence is that for each death-giving $(p+1)$ -cell we find a unique birth-giving p -cell whose class it ends. We call these the degree- p *birth-death pairs* of f , denoted $BD_p(f)$. It is also possible that some birth-giving p -cells do not get paired, and they reflect the degree- p homology of K . A convenient combinatorial representation of this information is the *persistence diagram*, denoted $\text{Dgm}_p(f)$, which maps $(a, b) \in BD_p(f)$ to the point $(f(a), f(b)) \in \mathbb{R}^2$.

An important property is the stability of the persistence diagram, originally proved in [6]. In a nutshell, it says that for two monotonic functions, $f, g: K \rightarrow \mathbb{R}$, there is a bijection between $\text{Dgm}_p(f)$ and $\text{Dgm}_p(g)$ such that the maximum coordinate difference between corresponding points is bounded from above by the absolute maximum of $f(a) - g(a)$ over all cells $a \in K$. This will be instrumental in the following construction.

Consider two filters, $f_0, f_1: K \rightarrow \mathbb{R}$, and the straight-line homotopy defined by $f_\lambda(a) = (1 - \lambda)f_0(a) + \lambda f_1(a)$ for $0 \leq \lambda \leq 1$. These functions imply a 1-parameter family of persistence diagrams for each dimension p . Mapping every point $(f_\lambda(a), f_\lambda(b)) \in \text{Dgm}_p(f_\lambda)$ to $(f_\lambda(a), f_\lambda(b), \lambda) \in \mathbb{R}^3$, we effectively stack up these diagrams, and because of stability, the points form continuous curves in \mathbb{R}^3 . Following the terminology in [7], we call these curves *vines* and the collection of vines a *vineyard*. Assuming K is finite, there are only finitely many values of λ for which f_λ is not a filter (because it assigns the same value to at least two cells). These values split $[0, 1]$ into finitely many open intervals with a unique ordering of the cells in each. In the generic case, the orderings in any two consecutive intervals differ by a single *transposition* of two adjacent cells. Such a transposition may or may not affect the birth-death pairs, and if it does, we call it a *switch*. As established in [7], there are only

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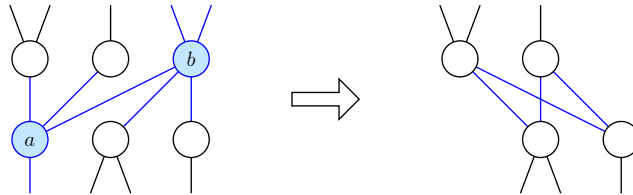
99 three kinds of switches: the *BB-type*, which swaps the birth-giving cells between two pairs,
 100 the *DD-type*, which swaps the death-giving cells between two pairs, and the *BD-type*, which
 101 swaps a birth-giving with a death-giving cell; see Figure 2. Observe that in the first two cases,
 102 the two affected points belong to the same-degree persistence diagram, while in the third case the affected points belong to persistence diagrams of consecutive degrees.



■ Figure 2: The three types of switches. *From left to right*: swapping two birth-giving cells (BB-type), swapping two death-giving cells (DD-type), and swapping a birth-giving with a death-giving cell (BD-type). In the first two cases, the intervals that correspond to the pairs are nested—before and after the switch—and in the third case, they are disjoint—again before and after the switch.

103

104 **Cancellation of Shallow Pairs.** Given a filtered Lefschetz complex, we are interested in
 105 simplifying it. The natural operation to this end is the *cancellation* of a cell with one of its
 106 facets. Letting $a \prec b$ be such a pair, the operation removes a and b and adds an arc from
 107 every facet of b to every cofacet of a in the face relation; see Figure 3. In the process, a cell
 108 may become the facet of another cell a multiple of times, which for $\mathbb{Z}/2\mathbb{Z}$ coefficients means
 it is not a facet if this multiple is even.



■ Figure 3: To cancel $a \prec b$, we connect all facets of b to all cofacets of a . The remainder of the face relation is unchanged.

109

110 A cancellation may have side-effects, such as making a cell a facet of another cell that
 111 precedes it in the filter. To avoid the need to reorganize the filter, we restrict ourselves
 112 to cancellations where this is not necessary. Even more, we restrict ourselves to canceling
 113 *shallow pairs*, $a \prec b$, for which a is the last facet of b and b is the first cofacet of a in the
 114 ordering of the filter; see [9] but also [2], where they are referred to as *apparent pairs*. If
 115 $a \prec b$ is a shallow pair, then all other facets of b precede a and all other cofacets of a succeed
 116 b , so the new filter is obtained by removing a and b , and no reordering is necessary. The
 117 following basic properties are either obvious or proved in [9]:

- 118 ■ every shallow pair is a birth-death pair of the filter;
- 119 ■ after canceling a shallow pair, the birth-death pairs of the new filter are the remaining
 120 birth-death pairs of the old filter;
- 121 ■ there is at least one shallow pair, unless the face relation is empty.

122 Because of the third property, we can keep canceling shallow pairs until the face relation
 123 runs empty. We call the resulting sequence of canceled pairs a *shallow cancellation order*,
 124 which by the first two properties is a total order of the birth-death pairs of the original filter.
 125 However, there may be many orderings of the birth-death pairs such that each pair is shallow
 126 at the time it gets canceled, which motivates the next concept.

127 ► **Definition 2.2.** *The depth poset of a filter on a Lefschetz complex, $f: K \rightarrow \mathbb{R}$, is the*
 128 *intersection of all shallow cancellation orders of f , denoted $\text{Depth}(f)$.*

129 This concept was introduced in [9], along with some of its fundamental properties, which we
 130 state without proof.

131 ► **Lemma 2.3.** *Let $f: K \rightarrow \mathbb{R}$ be a filter on a Lefschetz complex, $\varphi = (x, y)$ and $\psi = (a, b)$*
 132 *two birth-death pairs of f , (φ, ψ) an arc in $\text{Depth}(f)$, $\sigma = (s, t)$ a shallow pair of f , and*
 133 *$f': K \setminus \{s, t\}$ the filter after canceling σ . Then*

- 134 1. *nodes connected by an arc in $\text{Depth}(f)$ are nested; that is: $f(a) < f(x) < f(y) < f(b)$;*
- 135 2. *arcs of $\text{Depth}(f)$ respect dimensions; that is: $\dim a = \dim x$ and $\dim b = \dim y$;*
- 136 3. *canceling σ has no side-effects; that is: $\text{Depth}(f') = \text{Depth}(f) \cap [BD(f') \times BD(f')]$.*

137 By Property 2, $\text{Depth}(f)$ is the disjoint union of posets $\text{Depth}_p(f) \subseteq BD_p(f) \times BD_p(f)$.

138 **Matrix Reduction Twice.** While the definition of the depth poset is constructive, it is in
 139 terms of possibly exponentially many total orders on the birth-death pairs. Alternatively, it
 140 can be constructed as the transitive closure of two relations, both of which can be computed
 141 efficiently by reducing the boundary matrix of the complex. We review the algorithms and
 142 refer to [9] for a proof of correctness.

143 ► **Definition 2.4.** *The death relation of a filter on a Lefschetz complex, $f: K \rightarrow \mathbb{R}$, denoted*
 144 *$D(f) \subseteq BD(f) \times BD(f)$, records the left-to-right column operations during the reduction of*
 145 *the boundary matrix in reverse order of the birth-giving cells; see Algorithm 1.*

146 **Algorithm 1** Bottom to Top Column Reduction

147 1: $R_1 = \Delta$; $U_1 = \text{Id}$;
 148 2: **while** $R_1 \neq 0$ **do**
 149 3: let $R_1[x, y]$ be the leftmost non-zero entry in the lowest non-zero row;
 150 4: **while** $\exists b > y$ such that $R_1[x, b] = 1$ **do**
 151 5: add column y to column b in R_1 ; $U_1[y, b] = U_1[y, b] + 1$
 152 6: **end while**;
 153 7: delete row x and column y from R_1
 154 8: **end while**.

155 The arcs in the death relation correspond to the off-diagonal non-zero entries in the columns
 156 of death-giving cells in U_1 :

$$157 \quad D(f) = \{((x, y), (a, b)) \in BD(f) \times BD(f) \mid y \neq b \text{ and } U_1[y, b] = 1\}. \quad (2)$$

158 To rationalize U_1 , consider the matrix V_1 that stores the chains whose boundaries are the
 159 cycles in R_1 . Initially, V_1 is the identity matrix and it is maintained by undergoing the same
 160 column operations as R_1 . If we ignore the deletions of rows and columns, we retain the
 161 matrices in their original sizes, and it is not difficult to see that they satisfy $R_1 = \Delta V_1$ and
 162 $\Delta = R_1 U_1$ throughout the algorithm, so $U_1 = V_1^{-1}$.

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163 ► **Definition 2.5.** *The birth relation of a filter on a Lefschetz complex, $f: K \rightarrow \mathbb{R}$, denoted*
 164 *$B(f) \subseteq BD(f) \times BD(f)$, records the bottom-to-top row operations during the reduction of*
 165 *the boundary matrix in the order of the death-giving cells; see Algorithm 2.*

166 ■ **Algorithm 2** Left to Right Row Reduction

```

167 1:  $R_2 = \Delta; U_2 = \text{Id};$ 
168 2: while  $R_2 \neq 0$  do
169 3:   let  $R_2[x, y]$  be the lowest non-zero entry in the leftmost non-zero column;
170 4:   while  $\exists a < x$  such that  $R_2[a, y] = 1$  do
171 5:     add row  $x$  to row  $a$  in  $R_2$ ;  $U_2[a, x] = U_2[a, x] + 1$ 
172 6:   end while;
173 7:   delete row  $x$  and column  $y$  from  $R_2$ 
174 8: end while.

```

175 The arcs in the birth relation correspond to the off-diagonal non-zero entries in the rows of
 176 birth-giving cells in U_2 :

$$177 \quad B(f) = \{((x, y), (a, b)) \in BD(f) \times BD(f) \mid x \neq a \text{ and } U_2[a, x] = 1\}. \quad (3)$$

178 To rationalize U_2 , we introduce the matrix V_2 that stores the chains whose coboundaries are
 179 the cocycles, i.e. $R_2 = V_2 \Delta$ assuming we ignore the deletions of rows and columns. Similarly
 180 $\Delta = U_2 R_2$, so $U_2 = V_2^{-1}$.

181 The right panel of Figure 1 shows examples of the death and birth relations of a filter. A
 182 noteworthy feature of this example are the pairs (\mathbf{d}, γ) and (β, Σ) . In spite of the fact that \mathbf{d}
 183 is an edge of β , which prevents (\mathbf{d}, γ) from being shallow, there is no arc connecting the two
 184 pairs in the depth poset. Indeed, the two pairs are neither nested nor do their dimensions
 185 match, so an arc would contradict the first two properties in Lemma 2.3. Hence, it must be
 186 possible to cancel (\mathbf{d}, γ) before canceling (β, Σ) , and this can indeed be done if we first cancel
 187 (\mathbf{e}, α) , which is the sole predecessor of (\mathbf{d}, γ) in the poset. Geometrically, the cancellation of
 188 (\mathbf{e}, α) attaches β to \mathbf{d} twice, which in modulo-2 arithmetic is counted as no attachment.

189 It is not difficult to see that the two relations are neither necessarily their own transitive
 190 closures nor necessarily their own transitive reductions, and while they express different
 191 pieces of information, they are not necessarily disjoint. Nevertheless, they determine the depth
 192 poset as the transitive closure of their union; see [9] for a proof. This is important so we
 193 state the claim more formally.

194 ► **Theorem 2.6.** *Let $f: K \rightarrow \mathbb{R}$ be a filter on a Lefschetz complex. Then $\text{Depth}(f)$ is the*
 195 *transitive closure of $D(f) \cup B(f)$.*

196 3 Case Analysis

197 A transposition preserves all birth-death pairs, unless it is a switch, in which case the two
 198 transposed cells replace each other in their respective pairs. Consider for example the filter
 199 in Figure 1 and entertain what happens when we transpose the edges \mathbf{c} and \mathbf{d} . Comparing
 200 Figures 1 and 4, we note that (\mathbf{C}, \mathbf{c}) and (\mathbf{d}, γ) got replaced by (\mathbf{C}, \mathbf{d}) and (\mathbf{c}, γ) , and the death
 201 and birth relations both lost their only arc. It should however be noted that a transposition
 202 may change the depth poset without affecting the birth-death pairs. To see this, we organize
 203 a complete case analysis along the classification of transpositions into three types: of two
 204 birth-giving cells, of two death-giving cells, and of a birth-giving with a death-giving cell.

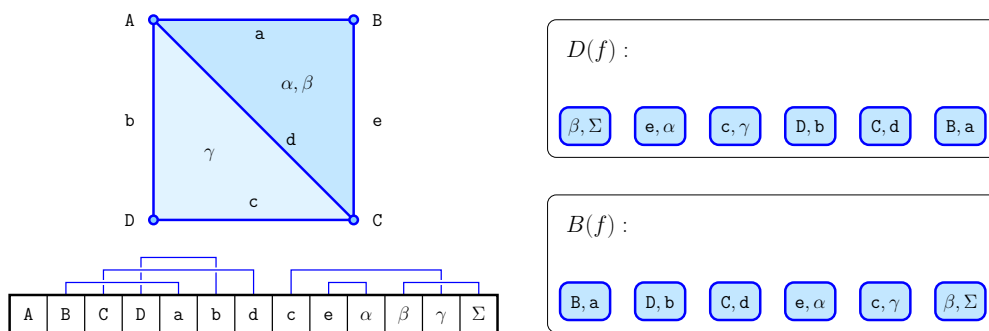


Figure 4: The only difference to the example in Figure 1 is the order of the edges c and d . To the right, we see the death and birth relations, which are both empty.

205 Prior to the case analysis, we state two lemmas that will both be repeatedly used. The
 206 first excludes certain configurations of birth-death pairs.

207 ► **Lemma 3.1.** *Let $f: K \rightarrow \mathbb{R}$ be a filter on a Lefschetz complex, and $a \prec y$ two cells in*
 208 *K . If a is the last facet of y in the ordering implied by f , and a is not yet paired when we*
 209 *encounter y in the ordering from the left, then (a, y) is a birth-death pair of f .*

210 **Proof.** Consider the standard matrix reduction algorithm for persistent homology, which
 211 reduces the columns of the ordered boundary matrix from left to right. Since a is the last
 212 facet of y , the lowest non-zero entry in column y is in row a . When the algorithm arrives at
 213 y , a is not yet paired, so there is no pivot in its row. It follows that this entry remains and
 214 becomes a pivot, which is equivalent to (a, y) becoming a birth-death pair. ◀

215 The second lemma addresses a property of ordered boundary matrices that amounts to a
 216 reformulation of Lemma 4.6 in [9]. We state it without proof.

217 ► **Lemma 3.2.** *Let $f: K \rightarrow \mathbb{R}$ be a filter on a Lefschetz complex, Δ the corresponding ordered*
 218 *boundary matrix, x a row of Δ , and y a column of Δ . Then any two boundary matrices*
 219 *obtained by canceling all birth-death pairs with pivots below row x or to the left of column y*
 220 *following shallow but possibly different cancellation orders are the same.*

221 3.1 Case I: Birth-birth Transpositions

222 Let (x, y) and (a, b) be two nested or otherwise overlapping birth-death pairs with matching
 223 dimension, so $f(a) < f(x) < f(y) < f(b)$ or $f(x) < f(a) < f(y) < f(b)$ and $\dim a = \dim x =$
 224 $\dim y - 1 = \dim b - 1$. As illustrated in Figure 5, we assume that a and x are consecutive
 225 in the ordering, so either the two pairs are incomparable in the depth poset, or they are
 226 connected by an arc but not by a path of two arcs. To prepare the analysis, we cancel the
 227 birth-death pairs whose pivots are below row x or to the left of column y in the ordered
 228 boundary matrix. By Lemma 3.2, the sequence in which these pairs are canceled does
 229 not affect the remaining portion of the boundary matrix. After the cancellations, (x, y) is
 230 shallow and (a, b) is either shallow or has (x, y) as its sole predecessor in the depth poset.
 231 Similarly, we cancel all birth-death pairs with pivots below row a or to the left of column y
 232 in the boundary matrix after transposing a and x . The two operations commute, so we can
 233 alternatively transpose a and x after the mentioned cancellations. Refer to Figure 5 for the
 234 three sub-cases as defined after the initial cancellations:

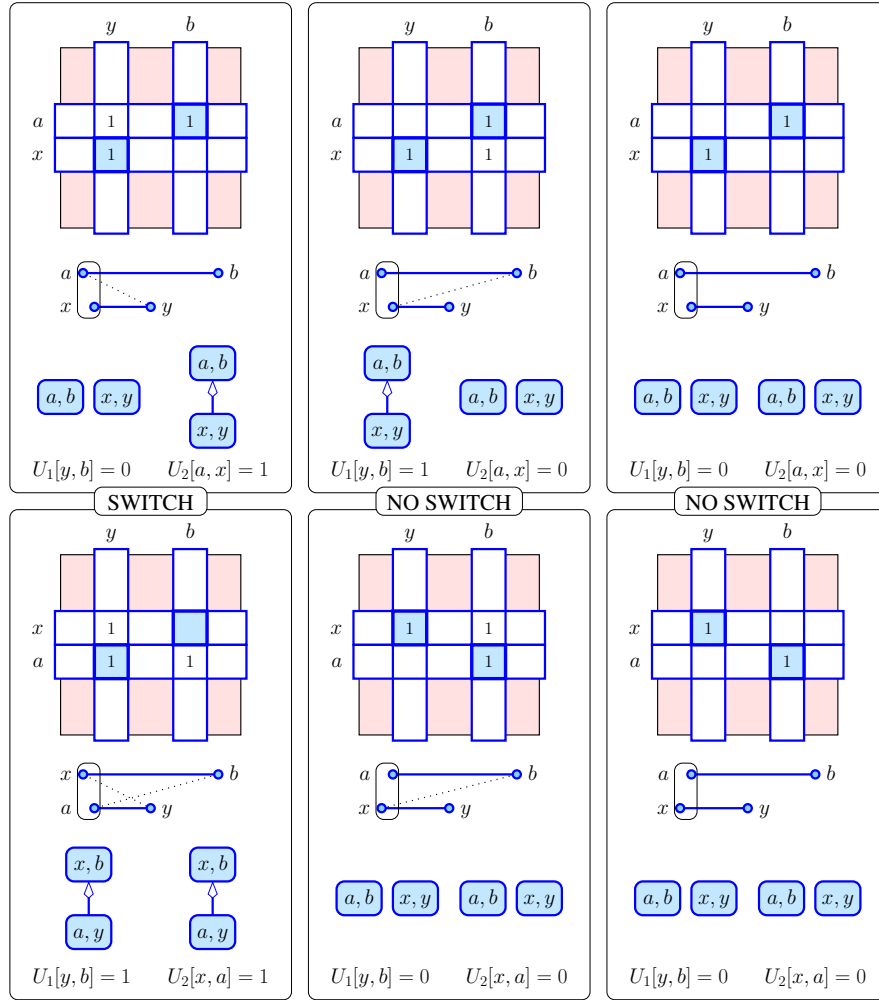


Figure 5: The configurations before and after the transposition of two birth-giving cells. From left to right: Cases I.1, I.2, I.3, with the configuration before and after the transposition at the top and the bottom, respectively, or vice versa for the inverse transposition. Within each panel, we show the relevant birth- and death-giving cells as rows and columns of the boundary matrix, respectively, the two birth-death pairs as bars with dotted face relation, and the corresponding nodes and arcs in the death and birth relations.

235 **Case I.1:** $a < y$ and $x \not< b$, as illustrated in the upper left panel of Figure 5. Since (a, b) is not
 236 shallow, it must be that (x, y) precedes (a, b) in the depth poset before the transposition
 237 of a and x . To see that the transposition is a switch note that after transposing, a is
 238 the last facet of y and is not yet paired before we encounter y from the left, so (a, y) is
 239 a birth-death pair by Lemma 3.1. By the stability of the persistence diagram [6], (x, b)
 240 is another pair after the transposition, and the remaining pairs are unchanged; see the
 241 lower left panel of Figure 5. Finally, reading the two panels from bottom to top, we have
 242 the inverse switch defined by $x < y$ and $a < b$.

243 **Case I.2:** $a \not< y$ and $x < b$, as illustrated in the upper middle panel of Figure 5. Like in
 244 Case I.1, (x, y) is a predecessor of (a, b) before the transposition of a and x . Since a is
 245 not a facet of y , (x, y) remains shallow, so the transposition is not a switch. But since
 246 the two pairs are no longer nested, they are also no longer comparable by Lemma 2.3; see
 247 the lower middle panel of Figure 5. Reading the two panels from bottom to top, we have

248 the inverse transposition defined by $a \not\prec y$ and $x \prec b$, but now for two overlapping pairs.
 249 **Case I.3:** $a \not\prec y$ and $x \not\prec b$, as illustrated in the upper right panel of Figure 5. Like in Case I.2,
 250 the transposition of a and x maintains (x, y) as a shallow pair, so the transposition is
 251 not a switch. The two pairs are incomparable before the transposition because x is not a
 252 facet of b and y is not a cofacet of a , and after the transposition because the pairs are no
 253 longer nested; see the lower right panel of Figure 5. The inverse transposition is defined
 254 by $a \not\prec y$ and $x \not\prec b$, but now for pairs that are neither nested nor disjoint.

255 When the transposition of a and x is not a switch, then the changes described in Cases I.2
 256 and I.3 are exhaustive, but if it is a switch, there may be changes beyond those described
 257 in Case I.1. We need notation to describe them. Letting $\varphi = (x, y)$ and $\psi = (a, b)$ be two
 258 birth-death pairs, the former is a predecessor of the latter in the death relation if $U_1[y, b] = 1$
 259 and in the birth relation if $U_2[a, x] = 1$. We therefore write

$$260 \quad \text{Pred}_1(a, b) = \{\varphi \mid (\varphi, \psi) \in D\} = \{(x, y) \in BD(f) \mid y \neq b \text{ and } U_1[y, b] = 1\}; \quad (4)$$

$$261 \quad \text{Pred}_2(a, b) = \{\varphi \mid (\varphi, \psi) \in B\} = \{(x, y) \in BD(f) \mid a \neq x \text{ and } U_2[a, x] = 1\}; \quad (5)$$

$$262 \quad \text{Succ}_1(a, b) = \{\varphi \mid (\psi, \varphi) \in D\} = \{(x, y) \in BD(f) \mid b \neq y \text{ and } U_1[b, y] = 1\}; \quad (6)$$

$$263 \quad \text{Succ}_2(a, b) = \{\varphi \mid (\psi, \varphi) \in B\} = \{(x, y) \in BD(f) \mid x \neq a \text{ and } U_2[x, a] = 1\}, \quad (7)$$

264 and $\text{Pred}_1^{\text{bef}}(a, b)$, $\text{Pred}_1^{\text{aft}}(a, b)$ for the sets before and after a transposition, etc. We begin
 265 with the changes of the successors in the death relation and write \oplus for the symmetric
 266 difference operation between sets.

267 **► Lemma 3.3.** *Let $f: K \rightarrow \mathbb{R}$ be a filter on a Lefschetz complex, (x, y) and (a, b) birth-death
 268 pairs of matching dimension, a precedes x , y precedes b , and a, x are consecutive in the
 269 ordering implied by the filter. Then $a \prec y$ iff $(x, y) \in \text{Pred}_2(a, b)$ iff the transposition of x
 270 and a is a BB-type switch (see the left panels in Figure 5), and in this case*

$$271 \quad \text{Succ}_1^{\text{aft}}(a, y) = \text{Succ}_1^{\text{bef}}(x, y) \oplus (x, b) \oplus \text{Succ}_1^{\text{bef}}(a, b); \quad \text{Succ}_1^{\text{aft}}(x, b) = \text{Succ}_1^{\text{bef}}(a, b); \quad (8)$$

$$272 \quad \text{Succ}_2^{\text{aft}}(a, y) = \text{Succ}_2^{\text{bef}}(x, y) \oplus \{(x, b), (a, b)\}; \quad \text{Succ}_2^{\text{aft}}(x, b) = \text{Succ}_2^{\text{bef}}(a, b); \quad (9)$$

$$273 \quad \text{Pred}_1^{\text{aft}}(a, y) = \text{Pred}_1^{\text{bef}}(x, y); \quad \text{Pred}_1^{\text{aft}}(x, b) = \text{Pred}_1^{\text{bef}}(a, b); \quad (10)$$

$$274 \quad \text{Pred}_2^{\text{aft}}(a, y) = \text{Pred}_2^{\text{bef}}(x, y); \quad \text{Pred}_2^{\text{aft}}(x, b) = \text{Pred}_2^{\text{bef}}(a, b). \quad (11)$$

275 *Otherwise, the depth relation remains as is, except if $x \prec b$ (see the middle panels in Figure 5),
 276 in which case*

$$277 \quad \text{Succ}_1^{\text{aft}}(x, y) = \text{Succ}_1^{\text{bef}}(x, y) \oplus (a, b) \oplus \text{Succ}_1^{\text{bef}}(a, b), \quad (12)$$

278 *while all other sets of successors and predecessors of (x, y) and (a, b) remain unchanged.*

279 **Proof.** The two equivalences follow from the completeness of the case analysis displayed in
 280 Figure 5. To see (8), consider rows a and x in the boundary matrix before and after the
 281 switch. With reference to the upper left panel of Figure 5—which shows the matrix before
 282 the switch—we give names to the portions of these rows delimited by columns y and b :

$$283 \quad M_a = \{R_1[a, t] \mid f(y) \leq f(t) < f(b)\}; \quad N_a = \{R_1[a, t] \mid f(b) \leq f(t)\}; \quad (13)$$

$$284 \quad M_x = \{R_1[x, t] \mid f(y) \leq f(t) < f(b)\}; \quad N_x = \{R_1[x, t] \mid f(b) \leq f(t)\}. \quad (14)$$

285 Canceling (x, y) changes row a to $(M_a + M_x)|(N_a + N_x)$, in which the bar means catenation.
 286 At this time, (a, b) is a shallow pair, so $M_a + M_x = 0$, which implies $M_a = M_x$. Columns

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287 y and b in U_1 are transposed copies of rows x and a at the moment before (x, y) and then
 288 (a, b) are canceled. Hence, column y in U_1 is $(M_x|N_x)^T$, and column b is $(N_a + N_x)^T$. This
 289 is before the transposition of a and x . After the transposition, column y in U_1 is $(M_a|N_a)^T$,
 290 and column b is $(N_x + N_a)^T$. Using $M_a = M_x$ and $N_a = N_x + (N_a + N_x)$, we rewrite these
 291 relations in different notation:

$$292 \quad U_1^{\text{aft}}[y, t] = \begin{cases} U_1^{\text{bef}}[y, t] & \text{for } f(y) \leq f(t) < f(b), \\ U_1^{\text{bef}}[y, t] + U_1^{\text{bef}}[b, t] & \text{for } f(b) \leq f(t); \end{cases} \quad (15)$$

$$293 \quad U_1^{\text{aft}}[b, t] = U_1^{\text{bef}}[b, t]. \quad (16)$$

294 Finally, we translate the relations into the notation of the lemma using (6), and get (8) from
 295 (15) and (16). We omit the arguments for (9), (10), (11), and (12). ◀

296 The symmetric cases—when x precedes a so the birth-death transpositions go from the lower
 297 to the upper panes in Figure 5—are similar and the same relations between the successors
 298 and predecessors before and after the transposition apply.

299 3.2 Case II: Death-death Transpositions

300 The setting is similar to Case I: (x, y) and (a, b) are nested or otherwise overlapping birth-
 301 death pairs of matching dimension, but now we assume that y and b are consecutive in the
 302 ordering implied by the filter. As before, we prepare the analysis by canceling all birth-death
 303 pairs whose pivots are below row x or to the left of column y . After these cancellations,
 304 (x, y) is shallow, and (a, b) is shallow or it has (x, y) as its sole predecessor in the depth poset.
 305 Refer to Figure 6 for the three sub-cases as defined after the initial cancellations:

306 **Case II.1:** $a \not\prec y$ and $x \prec b$ for a nested pair, as illustrated in the upper left panel of Figure 6.
 307 The transposition is a switch, and reading the two left panels from bottom to top, we
 308 have the inverse switch defined by $x \prec y$ and $a \prec b$.

309 **Case II.2:** $a \prec y$ and $x \not\prec b$ for a nested pair, as illustrated in the upper middle panel of
 310 Figure 6. The transposition is not a switch, and reading the two middle panels from
 311 bottom to top, we have the inverse transposition defined by the same two conditions for
 312 overlapping pairs.

313 **Case II.3:** $a \not\prec y$ and $x \not\prec b$ for a nested pair, as illustrated in the upper right panel of
 314 Figure 6. Again this transposition is not a switch, and reading the two right panels from
 315 bottom to top, we have the inverse transposition defined by the same two conditions for
 316 overlapping pairs.

317 The sub-cases are strictly symmetric to Cases I.1, I.2, I.3, with identical arguments for the
 318 symmetric actions. While omitting other details, we state the result symmetric to Lemma 3.3,
 319 which describes the changes to the death and birth relations beyond the pairs that contain
 320 the transposed cells.

321 ► **Lemma 3.4.** *Let $f: K \rightarrow \mathbb{R}$ be a filter on a Lefschetz complex, (x, y) , (a, b) birth-death
 322 pairs of matching dimension, a precedes x , y precedes b , and y, b are consecutive in the
 323 ordering implied by the filter. Then $x \prec b$ iff $(x, y) \in \text{Pred}_1(a, b)$ iff the transposition of y
 324 and b is a DD-type switch (see the left panels in Figure 6). and in this case*

$$325 \quad \text{Succ}_1^{\text{aft}}(x, b) = \text{Succ}_1^{\text{bef}}(x, y) \oplus \{(a, y), (a, b)\}; \quad \text{Succ}_1^{\text{aft}}(a, y) = \text{Succ}_1^{\text{bef}}(a, b); \quad (17)$$

$$326 \quad \text{Succ}_2^{\text{aft}}(x, b) = \text{Succ}_2^{\text{bef}}(x, y) \oplus (a, y) \oplus \text{Succ}_2^{\text{bef}}(a, b); \quad \text{Succ}_2^{\text{aft}}(a, y) = \text{Succ}_2^{\text{bef}}(a, b); \quad (18)$$

$$327 \quad \text{Pred}_1^{\text{aft}}(x, b) = \text{Pred}_1^{\text{bef}}(x, y); \quad \text{Pred}_1^{\text{aft}}(a, y) = \text{Pred}_1^{\text{bef}}(a, b); \quad (19)$$

$$328 \quad \text{Pred}_2^{\text{aft}}(x, b) = \text{Pred}_2^{\text{bef}}(x, y); \quad \text{Pred}_2^{\text{aft}}(a, y) = \text{Pred}_2^{\text{bef}}(a, b). \quad (20)$$

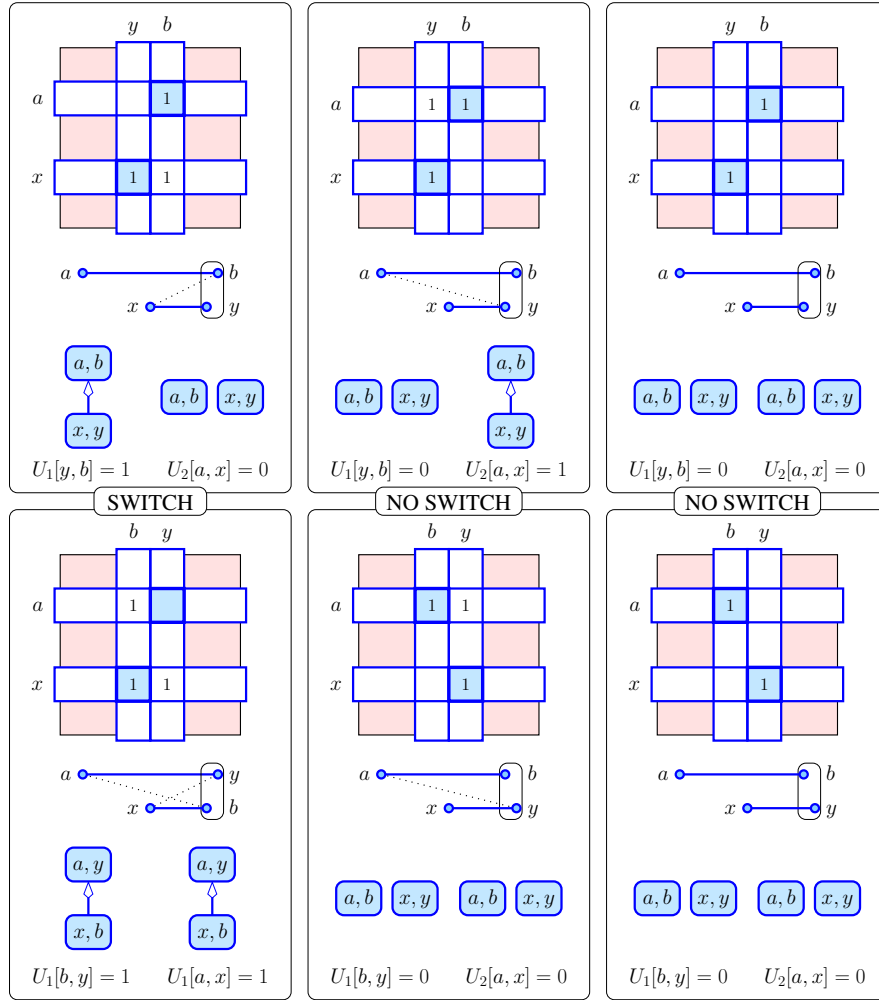


Figure 6: The configurations before and after the transposition of two death-giving cells in the filter. From left to right: Cases II.1, II.2, II.3, with the configuration before the transposition at the *top* and after the transposition at the *bottom*, or vice versa for the inverse transposition. Within each panel, we show the relevant birth-giving cells as rows and death-giving cells as columns of the matrix, the two birth-death pairs as bars, and the corresponding nodes and relations in the death and birth relations.

329 Otherwise, the depth relation remains as is, except if $a < y$ (see the middle panels in Figure 6),
 330 in which case

$$331 \quad \text{Succ}_2^{\text{aft}}(x, y) = \text{Succ}_2^{\text{bef}}(x, y) \oplus (a, b) \oplus \text{Succ}_2^{\text{bef}}(a, b), \quad (21)$$

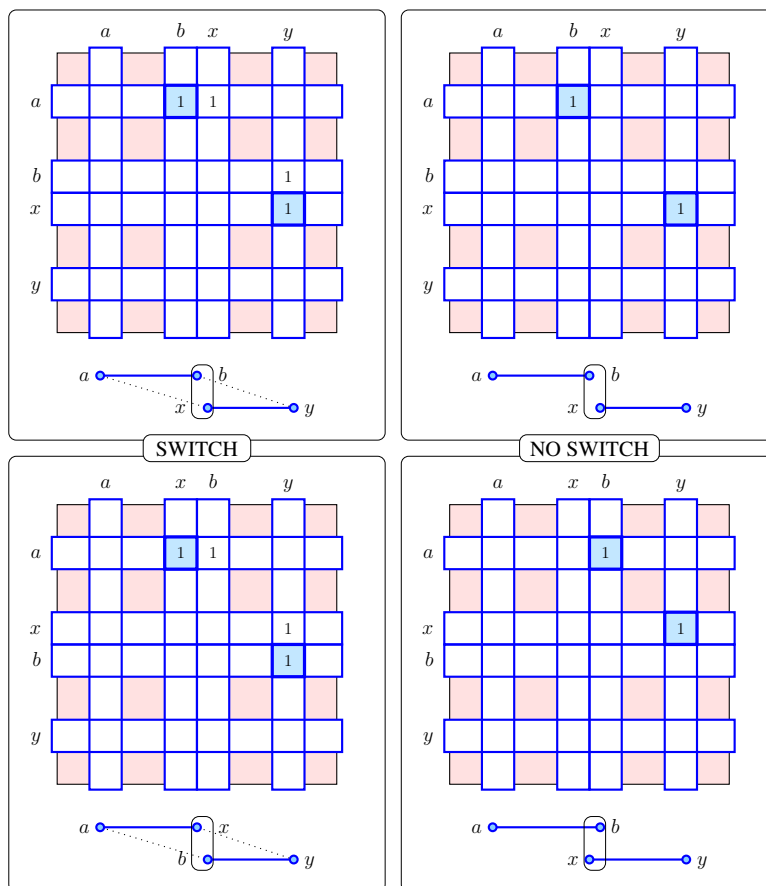
332 while all other sets of successors and predecessors of (s, y) and (a, b) remain unchanged.

333 3.3 Case III: Birth-death Transpositions

334 Case III is characterized by the transposition of cells b and x , in which (a, b) and (x, y) are
 335 disjoint or overlapping birth-death pairs with consecutive dimensions, so $f(a) < f(b) <$
 336 $f(x) < f(y)$ or $f(a) < f(x) < f(b) < f(y)$ and $\dim a + 1 = \dim b = \dim x = \dim y - 1$.
 337 Similar to Cases I and II, we prepare the analysis by canceling all pairs whose pivots lie
 338 below the rows or to the left of columns b and x . This includes all predecessors of (a, b) and

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339 (x, y) , so after these cancellations, both are shallow. Refer to Figure 7 for the two sub-cases, with the conditions referring to the complex after the initial cancellations:



■ Figure 7: The configurations in Cases III.1 and III.2 on the *left* and *right*, before and after the transposition of a birth-giving cell with a death-giving cell. Within each panel, we show the relevant rows and columns of the matrix, and the corresponding birth-death pairs as bars.

340

341 **Case III.1:** $a \prec x$ and $b \prec y$ for nested pairs, as illustrated in the upper left panel of Figure 7.

342 After transposing b and x , (a, x) and (b, y) are both shallow, so the transposition is a
 343 switch and the two new pairs are birth-death pairs of the new filter. By the first two
 344 properties in Lemma 2.3, there is no arc connecting the two pairs in the depth poset.

345 The inverse transposition is symmetric and follows the same rules.

346 **Case III.2:** $a \not\prec x$ and $b \not\prec y$ for nested pairs, as illustrated in the upper right panel of

347 Figure 7. After transposing b and x , (a, b) and (x, y) are still shallow, so the transposition
 348 is not a switch. The inverse transposition is defined by the same conditions but now for
 349 two overlapping pairs, as illustrated in the bottom right panel of Figure 7.

350 There are no additional cases, because the relevant birth-death pairs are shallow both
 351 before and after the transposition, which excludes configurations different from the ones
 352 illustrated in Figure 7. Observe that Case III.1 is quite different from all others, because
 353 the transposition changes the types of two cells: b from death- to birth-giving, and x from
 354 birth- to death-giving. Hence, their corresponding rows and columns in the boundary matrix

355 assume different roles, which may have a profound impact on the depth poset. We prove
356 that this is in fact not the case for the successors, but it can be for the predecessors.

357 Recall that Algorithm 1 records the column reductions for all cells alike, but only the
358 ones for death-giving cells turn into arcs of the death relation. Symmetrically, Algorithm 2
359 records the row reductions for all cells, but only the ones for birth-giving cells that also
360 belong to birth-death pairs turn into arcs of the birth relation. We will now make use of the
361 so far neglected information. Letting a and x be the birth-giving cells of the two pairs in
362 a BD-type switch, we collect the reductions of column x prior to reaching row a as arcs in
363 the death relation, and letting y and b be death-giving cells of these pairs, we collect the
364 reductions of row b prior to reaching column y as arcs in the birth relation.

365 ► **Lemma 3.5.** *Let $f: K \rightarrow \mathbb{R}$ be a filter on a Lefschetz complex, (a, b) and (x, y) birth-death
366 pairs of consecutive dimensions, and b, x consecutive in the ordering implied by the filter.
367 Then $a \prec x$ and $b \prec y$ iff the transposition of b and x is a BD-type switch (see the left panels
368 in Figure 7), and in this case*

$$369 \quad \text{Succ}_1^{\text{aft}}(a, x) = \text{Succ}_1^{\text{bef}}(a, b); \quad \text{Succ}_1^{\text{aft}}(b, y) = \text{Succ}_1^{\text{bef}}(x, y); \quad (22)$$

$$370 \quad \text{Succ}_2^{\text{aft}}(a, x) = \text{Succ}_2^{\text{bef}}(a, b); \quad \text{Succ}_2^{\text{aft}}(b, y) = \text{Succ}_2^{\text{bef}}(x, y); \quad (23)$$

$$371 \quad \text{Pred}_1^{\text{aft}}(a, x) = \{(t, x) \mid U_1^{\text{bef}}[t, x] = 1, f(t) > f(a)\}; \quad \text{Pred}_1^{\text{aft}}(b, y) = \text{Pred}_1^{\text{bef}}(x, y); \quad (24)$$

$$372 \quad \text{Pred}_2^{\text{aft}}(a, x) = \text{Pred}_2^{\text{bef}}(a, b); \quad \text{Pred}_2^{\text{aft}}(b, y) = \{(b, s) \mid U_2^{\text{bef}}[b, s] = 1, f(s) < f(y)\}. \quad (25)$$

373 *Otherwise, the depth relation remains as is (see the right panels in Figure 7).*

374 **Proof.** To prove (22) and (23), we first consider rows b and x in the boundary matrix (after
375 canceling all birth-death pairs whose pivots are below row x or to the left of column b).
376 Before the transposition, b gives death, so there is no pivot in its row. We claim that this
377 implies that the two rows are equal. Indeed, if there is a column in which the entries in rows
378 b and x are different, then the leftmost such entry would be a pivot, which is a contradiction
379 to the assumptions. Since the two rows are the same, transposing them makes no difference,
380 other than exchanging their names. This implies $\text{Succ}_1^{\text{aft}}(a, x) = \text{Succ}_1^{\text{bef}}(a, b)$ as well as
381 $\text{Succ}_1^{\text{aft}}(b, y) = \text{Succ}_1^{\text{bef}}(x, y)$. The symmetric argument implies the corresponding relations
382 for the successors in the birth relation.

383 To prove (24) and (25), we recall that rows b and x are equal, so in the death relation
384 the predecessors of (x, y) before the transposition are the predecessors of (b, y) after the
385 transposition and, symmetrically, in the birth relation the predecessors of (a, b) before the
386 transposition are the predecessors of (a, x) after the transposition. The remaining predecessors
387 of (a, x) and (b, y) are determined while canceling the birth-death pairs with pivots below
388 and to the left of the rows and columns of these pairs. We can get this information from
389 column x in U_1 and row b in U_2 as computed before the transposition. ◀

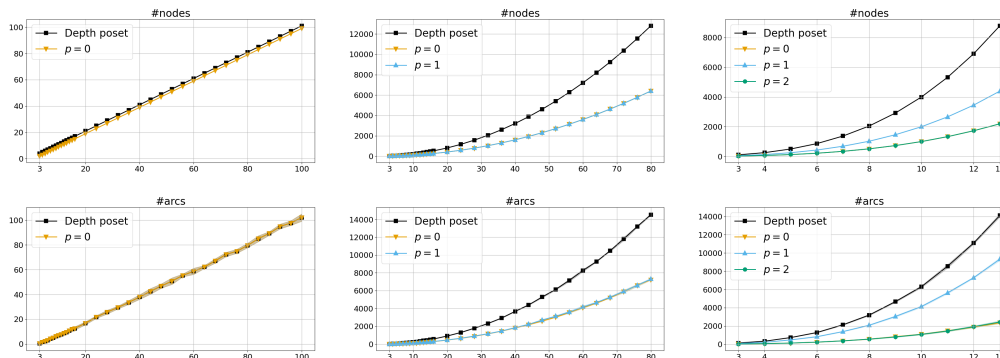
390 The symmetric cases—in which we read the panels in Figure 7 from bottom to top—are
391 similar. This completes the case analysis of changes to the depth poset caused by the
392 transposition of two cells that are consecutive in the filter.

393 4 Computational Experiments

394 In this section, we present measurements of the depth poset collected while running the
395 algorithms on 1-, 2-, and 3-dimensional random functions and straight-line homotopies
396 between them. For each set of parameters, the results are averaged over ten repeats.

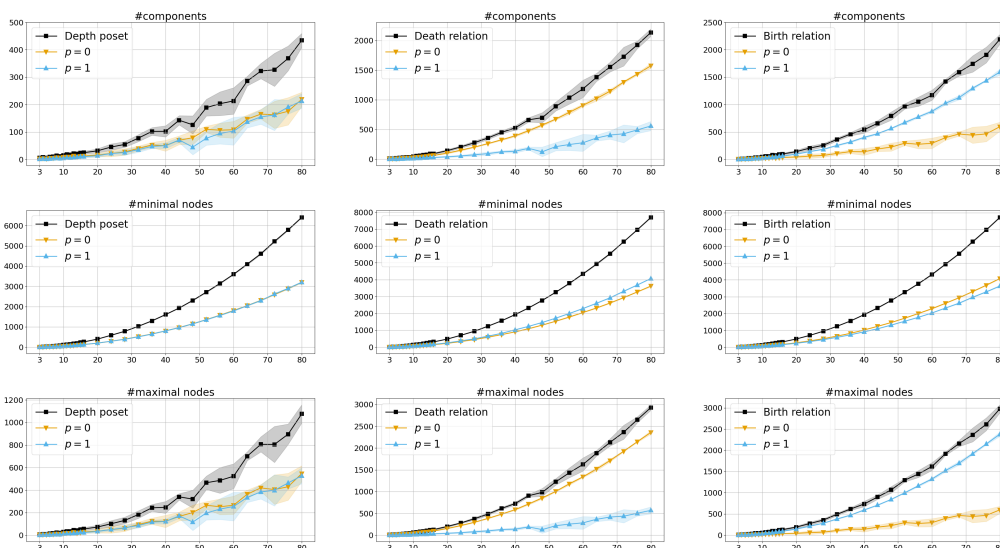
397 **4.1 Random Piecewise Linear Functions**

398 To minimize complications and avoid boundary effects as well as any essential homology,
 399 we construct the random functions on a regular cubical subdivision of the d -dimensional
 400 torus. Choosing a positive integer, n , we use $(\mathbb{R}/n\mathbb{Z})^d$ as a model of the d -torus, subdivide it
 401 with the unit d -cubes of $(\mathbb{Z}/n\mathbb{Z})^d + [0, 1]^d$, and kill its homology by adding 2^d extra cells,
 402 namely the empty set as the sole (-1) -cell and $\binom{d}{p}$ $(p + 1)$ -cells, each with boundary equal to
 403 a subdivided p -torus, for $1 \leq p \leq d$. Write $K = K(n, d)$ for the resulting complex, which
 404 consists of $\binom{d}{p}n^d$ p -cubes, for $0 \leq p \leq d$, plus the 2^d extra cells.



■ Figure 8: From left to right: the average number of nodes (upper row) and arcs (lower row) in the transitive reduction of the depth poset of a random function on the d -torus, for $d = 1, 2, 3$, respectively. Because of the symmetries in the construction, the curves for $p = 0$ and $p = d - 1$ are nearly identical.

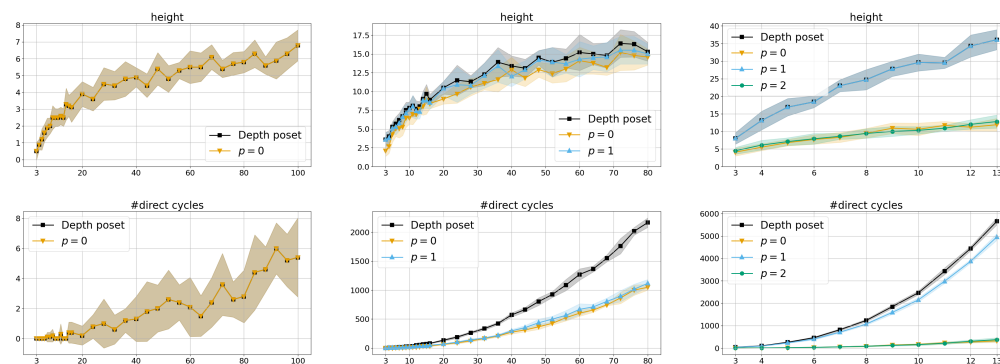
405 To turn this complex into a random function, $f: K \rightarrow \mathbb{R}$, we choose $f(\gamma)$ in $[p, p + 1]$,
 406 whenever $p = \dim \gamma$. In particular, we choose $f(\gamma)$ uniformly at random in $[p, p + 1]$ whenever
 407 γ is a p -cube, and we set $f(\gamma) = p + 1$ whenever it is an extra p -cell. In spite of the extra cells
 408 that kill the essential homology of the d -torus, we will refer to f as a *random function on the*
 d -torus. By construction, the filter that orders the cells by value is also ordered by dimension.



■ Figure 9: From left to right: the average numbers of components, minimal nodes, and maximal nodes of the depth poset, the death relation, and the birth relation of a random function on the 2-torus, respectively. Because of symmetry, the curves for the death and birth relations are nearly identical.

409 We may think of f as a piecewise constant function, but there is an alternative interpretation
 410 as a piecewise linear function. Letting $\hat{K} = \hat{K}(n, d)$ be the barycentric subdivision of K ,
 411 each vertex $\hat{\gamma} \in \hat{K}$ is the center of a cell $\gamma \in K$, and we map $\hat{\gamma}$ to $\hat{f}(\hat{\gamma}) = f(\gamma)$. We then get
 412 \hat{f} on the underlying space of K by piecewise linear interpolation of its values at the vertices.
 413 By construction, each center of a p -cell in K is a critical point of index p of \hat{f} . All critical
 414 points are paired up as nodes of the depth poset, which implies that n and d determine the
 415 number of nodes for each $-1 \leq p \leq d$; see the upper row in Figure 8. In contrast, the number
 416 of arcs in the depth poset has a small but non-zero variance; see the lower row of Figure 8.

417 As proved in [9], the depth poset splits by the dimensions of the nodes, but depending
 418 on the data it may split further. The upper row in Figure 9 shows that it indeed does so
 419 for random functions on the 2-torus. Each component has at least one minimal and one
 420 maximal node, but there may be more, and the middle and lower rows of the same figure
 421 support this possibility. Recall that the minimal nodes of the depth poset are exactly the
 422 shallow pairs, which explains why their number has barely any variance. In $d = 2$ dimensions,
 423 there are $4n^2$ incident vertex-edge pairs, and such a pair is shallow iff the edge precedes the
 424 other three incident edges of the vertex, and the vertex succeeds the other incident vertex of
 425 the edge. Ignoring the extra (-1) -cell, the chance of such a pair to be shallow is therefore
 426 $\frac{1}{8}$. Symmetrically, there are $4n^2$ incident edge-square pairs, and ignoring the extra 3-cell,
 427 the chance of an incident edge-square pair to be shallow is again $\frac{1}{8}$. This implies that the
 428 expected number of shallow pairs is $n^2 + O(1)$; see the first panel in the middle row of
 429 Figure 9. Each shallow pair is also a minimal node in the death and birth relations, but
 430 both have additional minimal nodes; see the symmetry of the curves in the second and third
 431 panels in the middle row of Figure 9, which is a consequence of the symmetry of cubically
 432 subdividing the torus. We observe that there are many more minimal nodes than there are
 433 maximal nodes. Curiously, the depth poset has many fewer maximal nodes than the death
 434 and birth relations, while the difference seems less dramatic for the minimal nodes.



■ Figure 10: From left to right: the average height (upper row) and the average number of undirected cycles (lower row) in the depth poset of a random function on the d -torus, for $d = 1, 2, 3$, respectively.

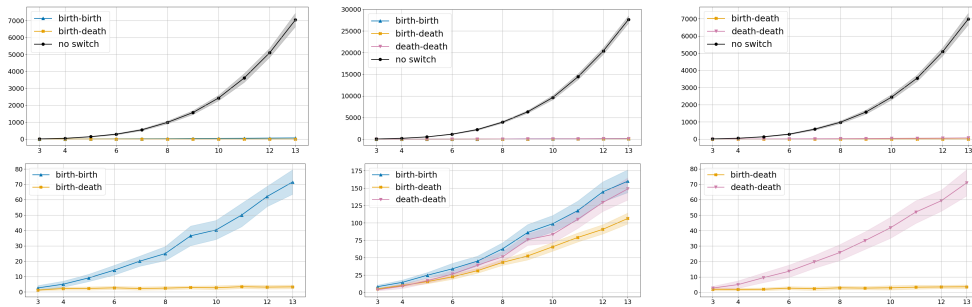
435 By definition, a poset has no directed cycle, but it may have undirected cycles (pairs of
 436 paths that connect the same two nodes). For a 1-dimensional function, the death and birth
 437 relations have no undirected cycles either but, perhaps surprisingly, the union of these two
 438 relations can have such cycles. Figure 10 shows the average number of directed cycles (which
 439 we compute as $\#components + \#arcs - \#nodes$), together with the average height (defined
 440 as the number of arcs in the longest directed path in the relation).

441 **4.2 Straight-line Homotopies**

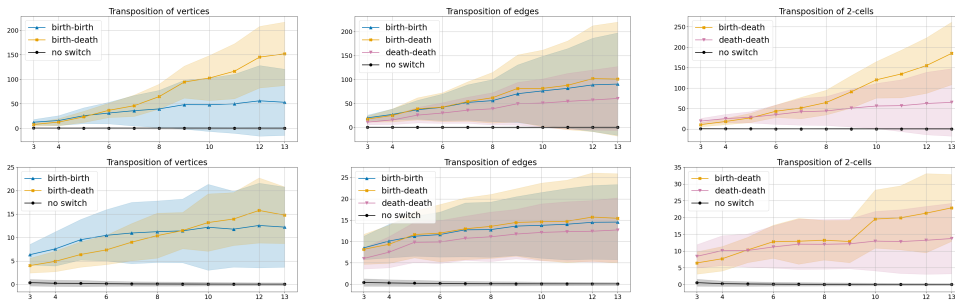
442 Letting $f_0, f_1 : K \rightarrow \mathbb{R}$ be two random functions on the d -torus, the *straight-line homotopy*
 443 between them is the 1-parameter family of functions $f_\lambda(\gamma) = (1 - \lambda)f_0(\gamma) + \lambda f_1(\gamma)$, for all
 444 $\gamma \in K$ and $0 \leq \lambda \leq 1$. To collect the statistics, we perform the transpositions of cells in
 445 sequence and one at a time. Given two cells of not necessarily the same dimension, $\gamma, \eta \in K$,
 446 the parameter at which their values match is

447
$$\lambda(\gamma, \eta) = \frac{f_0(\eta) - f_0(\gamma)}{[f_0(\eta) - f_0(\gamma)] - [f_1(\eta) - f_1(\gamma)]}. \tag{26}$$

448 The relevant such parameter values are the ones in $[0, 1]$. Instead of sorting them, it is more
 449 efficient to maintain the filter, and at each step transpose the two cells whose values match
 next. If this pair is not unique, we break ties and transpose the cells in sequence. As shown



■ Figure 11: *From left to right*: the average number of transpositions (*upper row*) and switches (*lower row*) between pairs of vertices, edges, and 2-cells for the straight-line homotopy between two random functions on the 2-torus, respectively.



■ Figure 12: *From left to right*: the average number of arcs in the depth poset (*upper row*) and in the transitive reduction of the depth poset (*lower row*) that are different before and after the transposition of two vertices, two edges, and two 2-cells during a straight-line homotopy between two random functions on the 2-torus, respectively. We distinguish between different kinds of switches and non-switches.

450

451 in the upper row of Figure 11, the transpositions that are not switches outnumber those
 452 that are switches, so it is useful to draw the curves of the latter on a more appropriate scale,
 453 which we do in the lower row of the same figure. As shown in the lower row of Figure 11,
 454 there are barely any BD-type switches of two vertices or two 2-cells, and even for edges, there
 455 are fewer BD-type switches than switches of BB-type and switches of DD-type.

456 An interesting aspect of the transpositions is how much they change the depth poset.
 457 Every switch affects exactly two nodes, while a transposition that is not a switch leaves all
 458 nodes unchanged. The effect on the arcs is less predictable, so we measure the change by

459 counting the arcs that are different before and after the transposition. Not surprisingly, there
460 are barely any arcs that change when the transposition is not a switch. Also not surprisingly,
461 there are significantly more arcs that change in the depth poset as compared to the transitive
462 reduction of the poset. Because of the limited size of the random functions in our experiment,
463 it is difficult to gauge how the size of the symmetric difference of the arcs before and after
464 the transposition grows with the size of the function. In any case, it seems to grow much
465 slower than the total number of arcs, which we observe to grow quadratically in n ; see the
466 middle panel in the lower row of Figure 8.

467 **5 Discussion**

468 The main contribution of this paper is the complete analysis of how transpositions of cells
469 in the filter affect the depth poset of a filtered Lefschetz complex. This analysis provides
470 further evidence for the relative significance of birth-death switches, as they mark a more
471 extensive re-organization of the persistent homology than all other types of transpositions.
472 Our initial computational experiments suggest that the birth-death switches are more rare
473 than all other types, and that the number of arcs that change grows much slower than the
474 total number of arcs in the depth poset. This work calls for further research in at least the
475 following two directions:

- 476 ■ Extend the notion of a depth poset from discrete Morse functions to discrete vector fields
477 as introduced in Forman [12], or even to multi-vector fields as studied in [14, 15].
- 478 ■ Study the depth poset stochastically for various models of random functions and for
479 homotopies between them.

480 We finally mention that the algorithms in this paper and its precursor [9] are closely related
481 to the algorithms for topology optimization described by Nigmatov and Morozov [16]. Can
482 the more global topological information provided by the depth poset be harvested to get
483 faster or better methods for topology optimization?

484 **Acknowledgment**

485 The authors thank Jakub Leśkiewicz and Bartosz Furmanek for discussions that helped
486 improve the paper.

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