

# Curvature of subdivision surfaces

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— a differential geometric analysis and literature review —

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Almost all subdivision algorithms in the current literature achieve *tangent continuity but not curvature continuity*.

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The quantities to measure are *Gaussian and mean curvature* in a neighborhood of an EOP!

## Sample result:

At EOP the determinant of the *Jacobian of the subdominant* eigenfunctions of a curvature continuous subdivision algorithm must have *lower degree* than the determinant of the Jacobian of the surface.

# Motivation: Review

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Understand important *lower bound* results better:

Sabin 91, ( $\geq bi-4$ )

Reif 93,96, ( $\geq bi-6$ )

Prautzsch,Reif 99, ( $\geq bi-r(k+1)$ )

(Lower bounds on parametrization, not surface)

Understand *constructions* of curvature continuous piecewise polynomial subdivision algorithms

Prautzsch 97,

Prautzsch, Umlauf 98, Umlauf 99 (hybrid)

Reif 98.

Understand *stiffness* of such subdivision algorithms:

infinite collection of polynomial pieces

but generated by the *same* rule.

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- The (few) basics. (nomenclature)
- express curvatures of  $m$ th spline ring converging towards the EOP

$$K_m = (\mu/\lambda^2)^{2m} f_K^m(u, v), \quad H_m = (\mu/\lambda^2)^m f_H^m(u, v)$$

for scalar constants  $\mu < \lambda$  and rational functions  $f_K, f_H$ .

$\mu/\lambda^2$ : implies necessary constraints

Necessary and sufficient constraints: *PDEs*

- Lower bounds
- Prautzsch's sufficient condition and construction.
- The key open problem! (well, sort of)
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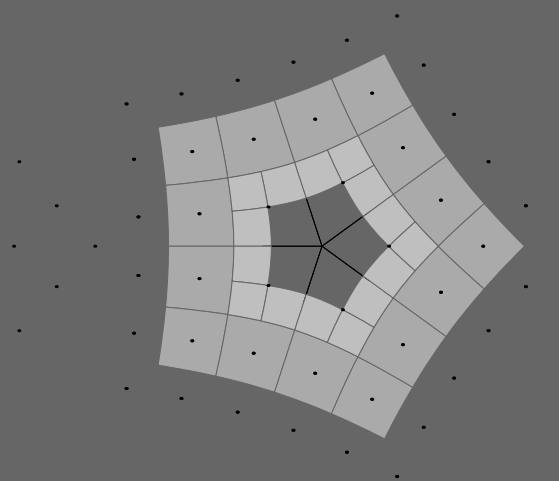
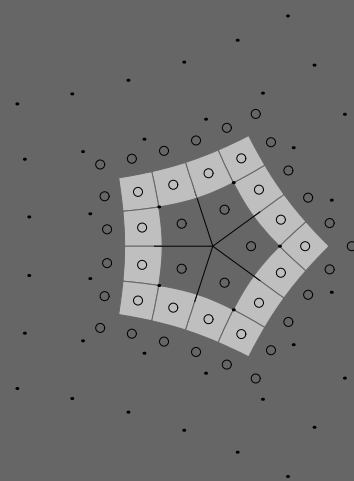
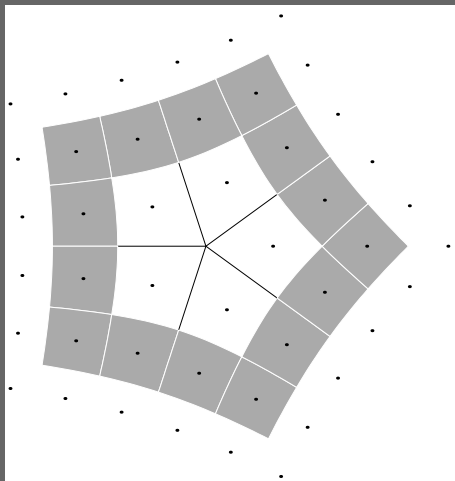
# Setting and definitions

The talk focusses generic subdivision (**GS**):  
generalization of  $C^2$  box-spline subdivision generating regular  $C^1$  surfaces;  
affine invariant, symmetric, linear, local, stationary.

However applies to non-generic cases [Reif 98 (habil), Zorin 98 (thesis)] and non-polynomial cases.

Surface rings are box-splines (with basis  $\mathcal{B}(u, v)$ )

$$\mathbf{x}_m : \{0, \dots, n-1\} \times \Omega \rightarrow R^3, \quad \mathbf{x}_m(u, v) = \mathcal{B}(u, v)\mathbf{C}_m,$$



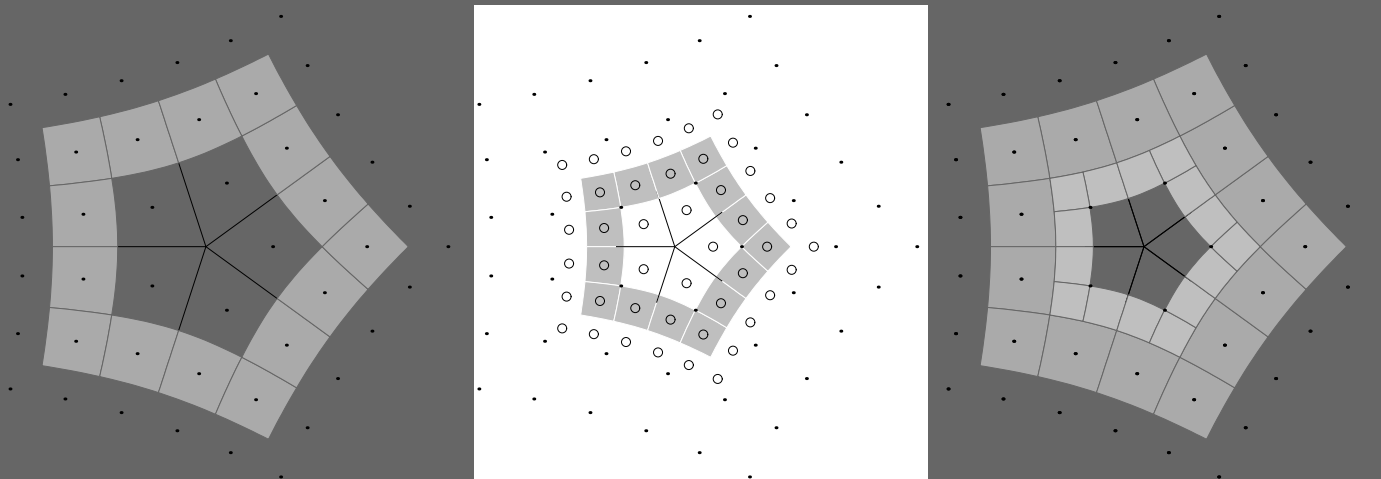
# Setting and definitions

$A$  is square, stochastic *subdivision matrix*:  $C_m = A^m C_0$ , diagonalizable with eigenvalues

$$1 = \lambda_0 > \underbrace{\lambda_1 = \lambda_2}_{=: \lambda} > \underbrace{\lambda_3 = \lambda_4 = \lambda_5}_{=: \mu} > \dots \geq 0,$$

where  $\lambda_1 = \lambda_2$  correspond to the 1st and  $(n - 1)$ st block,  $\lambda_3 = \lambda_4$  (for  $n > 3$ ) to the 2nd and  $(n - 2)$ nd block and  $\lambda_5$  to the 0th block of the Fourier decomposition of  $A$ .  $A \mathbf{v}_i = \lambda_i \mathbf{v}_i$  for all  $i$  yields eigendecomposition

$$C_m = \sum_i \lambda_i^m \mathbf{v}_i \mathbf{p}_i, \quad \mathbf{p}_i \in R^3.$$



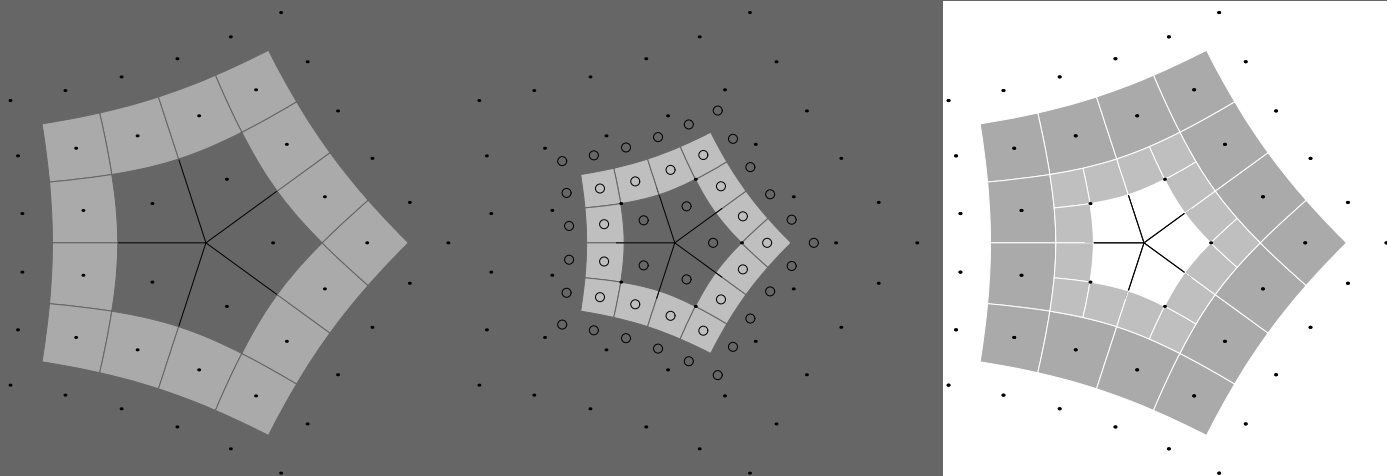
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Expanded in the *eigenfunction*

$$\mathbf{e}^i : \{0, \dots, n-1\} \times \Omega \rightarrow R, (u, v) \mapsto \mathcal{B}(u, v)\mathbf{v}_i$$

the surface ring  $\mathbf{x}_m$  is of the form

$$\mathbf{x}_m(u, v) = \sum_i \lambda_i^m \mathcal{B}(u, v)\mathbf{v}_i \mathbf{p}_i = \sum_i \lambda_i^m \mathbf{e}^i(u, v)\mathbf{p}_i.$$



Gauss curvature  $K$  and the mean curvature  $H$  are

$$K(u, v) = \frac{e(u, v)g(u, v) - f(u, v)^2}{E(u, v)G(u, v) - F(u, v)^2},$$

$$H(u, v) = \frac{e(u, v)G(u, v) - 2f(u, v)F(u, v) + g(u, v)E(u, v)}{2(E(u, v)G(u, v) - F(u, v)^2)},$$

$$E = \mathbf{x}_u \mathbf{x}_u^t, \quad F = \mathbf{x}_u \mathbf{x}_v^t, \quad G = \mathbf{x}_v \mathbf{x}_v^t,$$

$$e = \mathbf{n} \mathbf{x}_{uu}^t, \quad f = \mathbf{n} \mathbf{x}_{uv}^t, \quad g = \mathbf{n} \mathbf{x}_{vv}^t,$$

and  $\mathbf{n} = (\mathbf{x}_u \times \mathbf{x}_v) / \|\mathbf{x}_u \times \mathbf{x}_v\|$  is the normal. Since  $\mathbf{x}$  is regular,  $EG - F^2 = \|\mathbf{x}_u \times \mathbf{x}_v\|^2$  is nonzero and

$$K = \frac{\det(\mathbf{x}_u, \mathbf{x}_v, \mathbf{x}_{uu}) \det(\mathbf{x}_u, \mathbf{x}_v, \mathbf{x}_{vv}) - \det(\mathbf{x}_u, \mathbf{x}_v, \mathbf{x}_{uv})^2}{\|\mathbf{x}_u \times \mathbf{x}_v\|^4},$$

$$H = \frac{\det(\mathbf{x}_u, \mathbf{x}_v, \mathbf{x}_{uu})(\mathbf{x}_v \mathbf{x}_v^t) - 2 \det(\mathbf{x}_u, \mathbf{x}_v, \mathbf{x}_{uv})(\mathbf{x}_u \mathbf{x}_v^t) + \det(\mathbf{x}_u, \mathbf{x}_v, \mathbf{x}_{vv})(\mathbf{x}_u \mathbf{x}_u^t)}{2\|\mathbf{x}_u \times \mathbf{x}_v\|^3}.$$

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# Gauss curvature and mean curvature at EOP

Expand into eigenfunctions  $e^i$  as in [Reif 93]

$$\mathbf{x}_u = \lambda^m (\mathbf{e}_u^1 \mathbf{p}_1 + \mathbf{e}_u^2 \mathbf{p}_2) + \mu^m (\mathbf{e}_u^3 \mathbf{p}_3 + \mathbf{e}_u^4 \mathbf{p}_4 + \mathbf{e}_u^5 \mathbf{p}_5) + o(\mu^m),$$

$$\mathbf{x}_{uv} = \lambda^m (\mathbf{e}_{uv}^1 \mathbf{p}_1 + \mathbf{e}_{uv}^2 \mathbf{p}_2) + \mu^m (\mathbf{e}_{uv}^3 \mathbf{p}_3 + \mathbf{e}_{uv}^4 \mathbf{p}_4 + \mathbf{e}_{uv}^5 \mathbf{p}_5) + o(\mu^m).$$

$$\mathbf{x}_u \times \mathbf{x}_v = \lambda^{2m} \Delta_{12} (\mathbf{p}_1 \times \mathbf{p}_2) + o(\lambda^{2m}),$$

$$\det(\mathbf{x}_u, \mathbf{x}_v, \mathbf{x}_{uu}) = \lambda^{2m} \mu^m \sum_{i=3,4,5} \det(\mathbf{p}_1, \mathbf{p}_2, \mathbf{p}_i) D_{uu}^i + o(\lambda^{2m} \mu^m).$$

where

$$\Delta_{ij} := \mathbf{e}_u^i \mathbf{e}_v^j - \mathbf{e}_u^j \mathbf{e}_v^i,$$

$$D_{st}^i := \Delta_{12} \mathbf{e}_{st}^i - \Delta_{1i} \mathbf{e}_{st}^2 + \Delta_{2i} \mathbf{e}_{st}^1, \quad s, t \in \{u, v\},$$

$$P_{ij} := \det(\mathbf{p}_1, \mathbf{p}_2, \mathbf{p}_i) \det(\mathbf{p}_1, \mathbf{p}_2, \mathbf{p}_j),$$



$$K_m = \left(\frac{\mu}{\lambda^2}\right)^{2m} \frac{\sum_{i,j=3,4,5} P_{ij} (D_{uu}^i D_{vv}^j - D_{uv}^i D_{uv}^j) + o(1)}{\Delta_{12}^4 \|\mathbf{p}_1 \times \mathbf{p}_2\|^4 + o(1)}.$$

$\Delta_{12}$  is the Jacobi determinant of the subeigenfunctions ('characteristic map').  
 $\|\mathbf{p}_1 \times \mathbf{p}_2\|$  is positive for almost all initial control nets  $\mathbb{C}_0$ . Hence denominator ok.

- If  $\mu > \lambda^2$  then the Gauss curvature at the EOP is infinite. [Catmull-Clark 78, Loop 87, Qu 90]
- If  $\mu < \lambda^2$  then the Gauss curvature at the EOP is zero. [Prautzsch & Umlauf '98]
- If  $\mu = \lambda^2$  then the Gauss curvature at the EOP is bounded by the second factor of  $K_m$  but is possibly non-unique [Sabin 91, Holt 96].

Note combination of tangent continuity and infinite curvature for  $\mu > \lambda^2$ .

If  $\mu = \lambda^2$  then the limit for  $m \rightarrow \infty$  yields at the EOP

$$K = \sum_{i,j=3,4,5} \frac{P_{ij}}{\|\mathbf{p}_1 \times \mathbf{p}_2\|^4} \frac{D_{uu}^i D_{vv}^j - D_{uv}^i D_{uv}^j}{\Delta_{12}^4}.$$

a rational function in  $u$  and  $v$  that *must be constant!*

$P_{ij}(= P_{ji}) = \det(\mathbf{p}_1, \mathbf{p}_2, \mathbf{p}_i) \det(\mathbf{p}_1, \mathbf{p}_2, \mathbf{p}_j)$  arbitrary  
implies each summand has to be constant!

Eigenfunctions  $e^1, \dots, e^5$  must satisfy the *six partial differential equations* (G-PDE):

$$\begin{aligned} D_{uu}^i D_{vv}^j - 2D_{uv}^i D_{uv}^j + D_{vv}^i D_{uu}^j &= \Delta_{12}^4 \cdot \text{const}_{ij}, & \text{for } i, j \in \{3, 4, 5\}, j > i, \\ D_{uu}^i D_{vv}^i - (D_{uv}^i)^2 &= \Delta_{12}^4 \cdot \text{const}_{ii}, & \text{for } i = 3, 4, 5. \end{aligned}$$

*Summary* A GS has for almost all initial nets non-zero *Gauss curvature* at the EOP if and only if  $\mu = \lambda^2$  and G-PDE holds. (9 additional partial differential equations for  $H$ )

General: GS is *curvature continuous* if  $\mu = \lambda^2$  and the differential equations for  $G$  and  $H$  hold, because the *principal curvatures*

$$\kappa_{1,2}^m = H_m \pm \sqrt{H_m^2 - K_m},$$

converge like  $O(\mu^m / \lambda^{2m})$  for  $m \rightarrow \infty$ .

Since  $\int d\mathbf{x}_m = O(\lambda^{2m})$  and  $\mu < \lambda$

$$\sum_m \int_{\mathbf{x}_m} |\kappa_{1,2}^m|^2 d\mathbf{x}_m = \sum_m O(\mu^{2m} / \lambda^{2m}) < \infty.$$

which implies [Reif Schröder '00] for  $p = 2$ : The principal curvatures of the limit surface of a GS are *square integrable*.

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# Lower bounds on the degree

*formal degree* vs *true degree*     $\text{deg}$  (= number of non-constant derivatives)

Recall Gauss PDE

$$\begin{aligned} D_{uu}^i D_{vv}^j - 2D_{uv}^i D_{uv}^j + D_{vv}^i D_{uu}^j &= \Delta_{12}^4 \cdot \text{const}_{ij}, & \text{for } i, j \in \{3, 4, 5\}, j > i, \\ D_{uu}^i D_{vv}^i - (D_{uv}^i)^2 &= \Delta_{12}^4 \cdot \text{const}_{ii}, & \text{for } i = 3, 4, 5. \end{aligned}$$

*Simple count* with  $d = \text{deg}(\mathbf{x}_0)$  total degree (resp. bi-degree) of regular parametrization. *Left side* of PDE

— total degree  $\leq 2(2(d-1) + d-2) = 6d - 8$

— bi-degree  $\leq 2(2d-1 + d-1) = 6d - 4,$

whereas *right side* of PDE

— formal total degree of  $\Delta_{12}^4$  is  $4(2d-2)$

— formal bi-degree of  $\Delta_{12}^4$  is  $4(2d-1).$

*Degree mismatch:* (unless  $d = 0$ )

If the *true* degree equals the *formal* degree

then GS is curvature continuous if and only if  $\mu < \lambda^2,$

i.e. EOP is a flat point.

A GS with  $\mu = \lambda^2$  is curvature continuous only if the *true degree of the Jacobian  $\Delta_{12}$*  is less than its formal degree!

Options:

- (i) The true degree of  $e^1$  or  $e^2$  is less than  $d$ .
- (ii) The leading terms in the Jacobian  $\Delta_{12}$  cancel.

If not (ii) and not flat then  $d' := \deg(e^1) = \deg(e^2)$ ,  $d := \deg(\mathbf{x}_0)$ :

total degree  $\deg(\text{left}_{ij}) = 2(2d' + d - 4)$  and  $\deg(\Delta_{12}^4) = 4(2d' - 2)$

bi-degree  $\deg(\text{left}_{ij}) = 2(2d' + d - 2)$  and  $\deg(\Delta_{12}^4) = 4(2d' - 1)$ .

Compare to find  $2d' = d$ :

If *not (ii)* then GS is curvature continuous and not flat only if the true (bi-)degree of the surface is *at least twice* the true (bi-)degree of the subdominant eigenfunctions  $e^1$  and  $e^2$ .

## Comparison with earlier estimates

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$2d' = d$  is consistent with *degree estimate of Reif 93, 96, Zorin 97*:

View surface as a function over the tangent plane parametrized by  $e^1$  and  $e^2$ . Then non-flat implies non-tangential component at least quadratic in  $e^1$  and  $e^2$ , i.e.  $d \geq 2d'$ .

[Prautzsch, Reif 99]

If the non-tangential component of the surface is at least of degree  $r$  in  $e^1$  and  $e^2$  then the surface representation has to be at least of degree  $rd'$ .

Since  $e^1$  and  $e^2$  have to have a minimal degree to form  $C^k$  rings, e.g.  $d' \geq k + 1$  in the tensor-product case, a lower bound is  $r(k + 1)$ .

(parametrization dependent reasoning about surfaces!)

Or – (i) the leading terms of  $\Delta_{12}$  cancel

- total degree:  $\deg(\text{left}_{ij}) = 2 \max\{\deg(\Delta_{12}) + d - 2, 2(d - 1) + d - 2\} = 6d - 8$
- bi-degree:  $\deg(\text{left}_{ij}) = 2 \max\{\deg(\Delta_{12}) + d - 1, 2d - 1 + d - 1\} = 6d - 4.$

Comparing with  $\deg(\Delta_{12}^4) = 4 \deg(\Delta_{12})$ .

If the true degree of  $e^1$  and  $e^2$  is not less than  $d$   
then GS is curvature continuous and not flat only if  
the total degree  $\deg(\Delta_{12}) \leq 3d/2 - 2$ , (*bi-degree*  $\deg(\Delta_{12}) \leq 3d/2 - 1$ ).

That is possible! E.g. if  $\text{bi-}d = 4$  then  $\deg(\Delta_{12}) = 5$  is needed  
as if  $\deg(e^1) = \deg(e^2) = 3$



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# Curvature continuous subdivision constructions

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[Prautzsch & Umlauf '98]:

induce *flat spots* to get low degree, small mask, curvature continuous subdivision algorithms.

[Sabin 91, Holt 96]:

adapt the leading eigenvalues to get non-zero bounded curvature.

Otherwise need *degree-reduced Jacobian*.

(Trivial) regular case of any  $C^2$  box-spline:  $e^1$  and  $e^2$  are linear.

(Non-trivial) Projection of Prautzsch '97, Reif '98.

Prautzsch 98: *Sufficient conditions*

$$\mathbf{e}^i = a_i(\mathbf{e}^1)^2 + b_i\mathbf{e}^1\mathbf{e}^2 + c_i(\mathbf{e}^2)^2, \quad a_i, b_i, c_i \in R, \quad \text{for } i = 3, 4, 5.$$

Then (proof)

$$\mathbf{e}_u^i = 2a^i\mathbf{e}^1\mathbf{e}_u^1 + b^i(\mathbf{e}_u^1\mathbf{e}^2 + \mathbf{e}^1\mathbf{e}_u^2) + 2c^i\mathbf{e}^2\mathbf{e}_u^2,$$

$$\mathbf{e}_{uu}^i = 2a^i((\mathbf{e}_u^1)^2 + \mathbf{e}^1\mathbf{e}_{uu}^1) + b^i(\mathbf{e}_{uu}^1\mathbf{e}^2 + 2\mathbf{e}_u^1\mathbf{e}_u^2 + \mathbf{e}^1\mathbf{e}_{uu}^2) + 2c^i((\mathbf{e}_u^2)^2 + \mathbf{e}^2\mathbf{e}_{uu}^2)$$

$$\Delta_{1i} = \Delta_{12}(b^i\mathbf{e}^1 + 2c^i\mathbf{e}^2),$$

$$\Delta_{2i} = -\Delta_{12}(2a^i\mathbf{e}^1 + b^i\mathbf{e}^2) \quad \text{and}$$

$$D_{uu}^i = 2\Delta_{12}(a_i(\mathbf{e}_u^1)^2 + b_i\mathbf{e}_u^1\mathbf{e}_u^2 + c_i(\mathbf{e}_u^2)^2).$$

$$K = \sum_{i,j=3,4,5} \frac{P_{ij}}{\|\mathbf{p}_1 \times \mathbf{p}_2\|^4} \cdot f_{ij} \quad \text{and} \quad H = \sum_{\substack{i=3,4,5 \\ k,l=1,2, k \geq l}} \frac{\tilde{P}_{ikl}}{\|\mathbf{p}_1 \times \mathbf{p}_2\|^3} \cdot \tilde{f}_{kl}$$

with *constant* (!)

$$f_{ij} = \begin{cases} 4(a_i c_j + a_j c_i) - 2b_i b_j & \text{for } i \neq j \\ 4a_i c_i - (b_i)^2 & \text{for } i = j \end{cases}, \quad \tilde{f}_{kl} = \begin{cases} c_i & \text{for } k = l = 1 \\ a_i & \text{for } k = l = 2 \\ -b_i/2 & \text{for } k \neq l \end{cases}.$$

## *Prautzsch's algorithm* (Free-form splines)

- $\mathbf{v}_1$  and  $\mathbf{v}_2$  eigenvectors to the subdominant eigenvalue  $\lambda$  of the Catmull-Clark algorithm. (Then  $e^1$  and  $e^2$  have bi-degree 3.)
- Set  $e^3 = (e^1)^2$ ,  $e^4 = e^1 e^2$  and  $e^5 = (e^2)^2$  with control nets  $\mathbf{w}_i, i = 3, 4, 5$ .  $\mathbf{w}_1$  and  $\mathbf{w}_2$  are the control nets of  $e^1$  and  $e^2$ , respectively, in a *degree-doubled representation*.
- Subdivision matrix  $A = MDM^+$  where

$$M := [\mathbf{1}, \mathbf{w}_1, \mathbf{w}_2, \mathbf{w}_3, \mathbf{w}_4, \mathbf{w}_5], \quad D := \text{diag}(1, \lambda, \lambda, \lambda^2, \lambda^2, \lambda^2), \quad M^+ := (M^t M)^{-1} M^t.$$

The only non-zero eigenvalues of  $A$  are  $1, \lambda(2\text{-fold}), \lambda^2(3\text{-fold})$  corresponding to the eigenvectors  $\mathbf{1}, \mathbf{w}_1, \dots, \mathbf{w}_5$ .

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# Big Question

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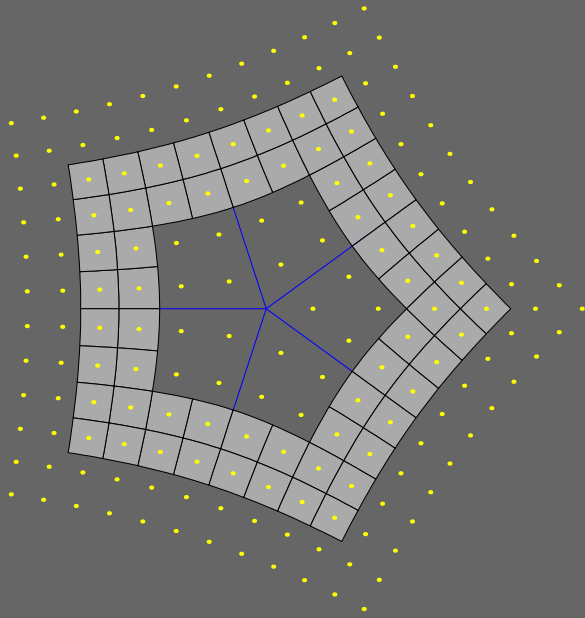
For what choices of eigenfunctions  $e^1$  and  $e^2$  of a GS is

total degree  $\deg(\Delta_{12}) \leq 2 \deg(\mathbf{x}_0) - 2$

bi-degree  $\deg(\Delta_{12}) \leq 2 \deg(\mathbf{x}_0) - 1?$

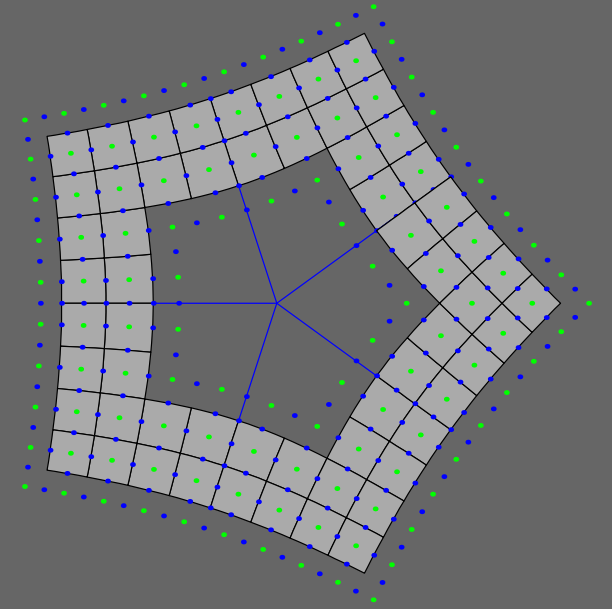
# Partial Answer

Define the tensor-product mapping of the subeigenfunctions  $E : (e^1, e^2)$  so that  $\deg(E) = bi-4$  and  $\deg(\Delta(e^1, e^2)) = \deg(e_u^1 e_v^2 - e_u^2 e_v^1) = 5$ .



$C^2$  quartics:

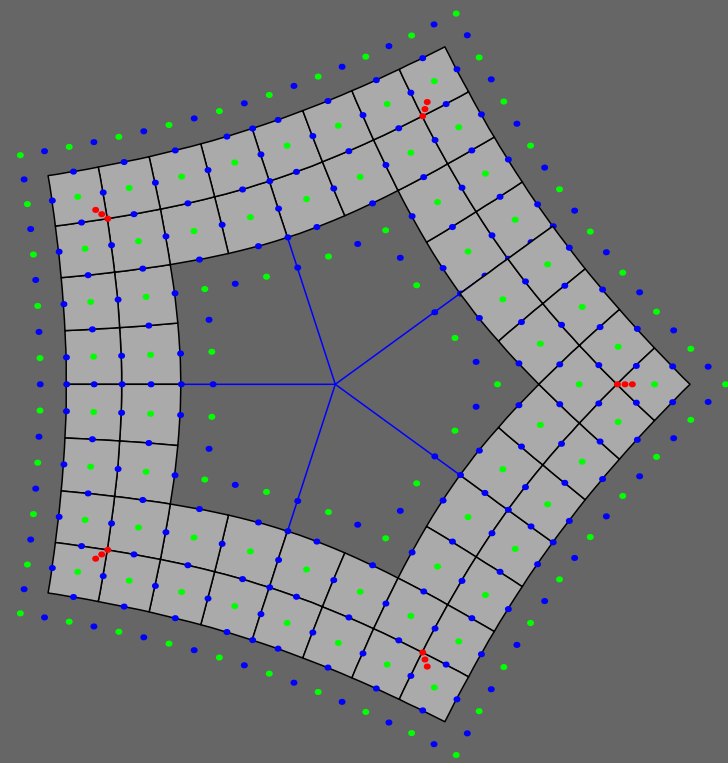
knot insertion  $\rightarrow$





# Partial Answer: Construction

1. Choose  $e^1$  and  $e^2$  of the  $4n$  *corner patches* initially to form  $q$  of true degree  $bi-2$ .
2. Choose the non-corner patches to be of true degree  $bi-3$  and so that the ring of patches is  $C^2$ .
3. *Perturb* the  $x$ -component of the **common** coefficient of the corner patch. (no influence on next rings;  $\Delta_{12}(q_x + x, q_y + 0)$ ).



Then  $\deg(E) = 5$  for the non-corner patches and for the corner patch

$$\begin{aligned} \deg(\Delta(e^1, e^2)) &= \max\{(3, 3), (0, 0), (\max\{(3, 4) + (2, 1), (4, 3) + (1, 2)\}, (0, 0))\} \\ &= bi-5. \end{aligned}$$

Find the  $e^3$ ,  $e^4$ ,  $e^5$  (solve the PDEs for their coefficients). Any volunteers?

Fits nicely with *alternative answer*:

New  $C^2$  biquartic free-form surface splines (modification of my Oberwolfach construction 1998)

## Conclusion

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express curvatures of  $m$ th spline ring converging towards the EOP

$$K_m = (\mu/\lambda^2)^{2m} f_K^m(u, v), \quad H_m = (\mu/\lambda^2)^m f_H^m(u, v)$$

$\mu/\lambda^2$ : implies necessary constraints

Necessary and sufficient constraints: PDEs

Lower bounds

Prautzsch's sufficient condition and construction.

The key open problem

preprint: <http://www.cise.ufl.edu/research/SurfLab/papers/>

It is worth looking for curvature continuous subdivision schemes

whose regular rings are polynomial of degree less than 6!