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# Near-Optimal Parameterization of the Intersection of Quadrics: I. The Generic Algorithm<sup>★</sup>

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## Abstract

We present an exact and efficient algorithm for computing a proper parametric representation of the intersection of two quadrics in three-dimensional real space given by implicit equations with rational coefficients. The output functions parameterizing the intersection in projective space are polynomial, whenever it is possible, which is the case when the intersection is not a smooth quartic (for example, a singular quartic, a cubic and a line, and two conics). Furthermore, the parameterization is near-optimal in the sense that the number of distinct square roots appearing in the coefficients of these functions is minimal, except in a small number of well-identified cases where there may be an extra square root. In addition, the algorithm is practical: a complete and efficient C++ implementation is described in Lazard et al. (2006).

In Part I, we present an algorithm for computing a parameterization of the intersection of two arbitrary quadrics which we prove to be near-optimal in the generic, smooth quartic, case. Parts II and III treat the singular cases. We present in Part II the first classification of pencils of quadrics according to the real type of the intersection and we show how this classification can be used to efficiently determine the type of the real part of the intersection of two arbitrary quadrics. This classification is at the core of the design of our algorithms for computing near-optimal parameterizations of the real part of the intersection in all singular cases. We present these algorithms in Part III and give examples covering all the possible situations in terms of both the real type of intersection and the number and depth of square roots appearing in the coefficients.

*Key words:* Intersection of surfaces, quadrics, pencils of quadrics, curve parameterization.

*1991 MSC:* 51-04, 68U05, 68U07, 68W30

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<sup>★</sup> A preliminary version of this series of paper appeared in 2003 in the Proceedings of the 19th Annual ACM Symposium on Computational Geometry (Dupont et al., 2003) and a complete version appeared in 2004 in L. Dupont's Ph.D. Thesis (Dupont, 2004). A series of research report also appeared in 2005 (Dupont et al., 2005a,b,c).

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## 1. Introduction

Quadrics (*i.e.*, algebraic surfaces of degree two) are the simplest curved surfaces. They are fundamental geometric objects, arising in such diverse contexts as geometric modeling, statistical classification, pattern recognition, and computational geometry. Computing the intersection of two general quadrics is a fundamental problem. For instance, it is at the basis of such complex geometric operations as computing convex hulls of quadric patches (Hung and Ierardi, 1995), arrangements of sets of quadrics (Berberich et al., 2005; Mourrain et al., 2005; Schömer and Wolpert, 2006; Wolpert, 2002), and boundary representations of quadric-based solid models (Keyser et al., 2004; Sarraga, 1983).

An exact parametric representation of the intersection is often desirable. Until recently, the only known general method for computing a parametric representation of the intersection between two arbitrary quadrics was due to Levin (1976, 1979). It is based on an analysis of the pencil generated by the two quadrics, *i.e.*, the set of linear combinations of the two quadrics.

Though useful, Levin's method has serious limitations. When the intersection is singular, a parameterization by polynomial functions (in projective space) is known to exist, but Levin's pencil method often fails to find it and generates a parameterization that involves the square root of some polynomial. In addition, when a floating point representation of numbers is used, Levin's method sometimes outputs results that are topologically wrong and it may even fail to produce any parameterization at all and crash. On the other hand a correct implementation using exact arithmetic is essentially out of reach because the method introduces algebraic numbers of fairly high degree. A good indication of this impracticality is that even for simple generic examples (for instance those of Dupont et al. (2005a) or Lazard et al. (2006)), an exact parametric form output by Levin's algorithm (computed by hand with Maple) fills up over 100 megabytes of space!

Over the years, Levin's seminal work has been extended and refined in several different directions. Wilf and Manor (1993) use a classification of quadric intersections by the Segre characteristic (see Bromwich (1906)) to drive the parameterization of the intersection by the pencil method. Recently, Wang et al. (2003) further improved the method by making it capable of computing structural information on the intersection and its various connected components and able to produce a parameterization by polynomial functions (in projective space) when it exists. Whether their refined algorithm is numerically robust is open to question.

Another method of algebraic flavor was introduced by Farouki et al. (1989) when the intersection is degenerate. In such cases, using a combination of classical concepts (Segre characteristic) and algebraic tools (factorization of multivariate polynomials), the authors show that explicit information on the morphological type of the intersection can be reliably obtained. A notable feature of this method is that it can output an exact parameterization of the intersection in simple cases, when the input quadrics have rational coefficients. No implementation is however reported.

Rather than restricting the type of the intersection, others have sought to restrict the type of the input quadrics, taking advantage of the fact that geometric insights can then help compute the intersection curve (Goldman and Miller, 1991; Miller, 1987; Miller and Goldman, 1995; Shene and Johnstone, 1992, 1994). Specialized routines are devised to compute the intersection curve in each particular case. Even though such geometric approaches are numerically more stable than the algebraic ones, they are largely limited to the class of so-called natural quadrics (*i.e.*, the planes, right cones, circular cylinders and spheres) and planar intersections.

Perhaps the most interesting of the previously known algorithms for computing an explicit representation of the intersection of two arbitrary quadrics is the method of Wang et al. (2002). This algebraic method is based on a birational mapping between the intersection curve and a

plane cubic curve. The cubic curve is obtained by projection from a point lying on the intersection. Then the classification and parameterization of the intersection are obtained by invoking classical results on plane cubics. The authors claim that their algorithm is the first to produce a complete topological classification of the intersection (singularities, number and types of connected components, etc.). However, the computation of the center of projection uses (an enhanced version of) Levin’s algorithm. Either floating point arithmetic is used and the point will in general not exactly lie on the curve, leading to possibly incorrect classification, or exact arithmetic is used and the parameterizations computed will involve algebraic numbers of very high degree, thereby limiting their practical value. In the same context of a birational projection onto a plane, the methods of Sendra and Winkler (1999) can be used to parameterize the components of the intersection curve in all cases where it is not a smooth quartic.

### 1.1. Contributions

In this series of papers, we present the first practical and efficient algorithm for computing an exact parametric representation of the intersection of two quadric surfaces in three-dimensional real space given by implicit equations with rational coefficients. As a side product of this algorithm, we also obtain the first classification of pencils of quadrics based on the type of the curve of intersection in real projective space.

Our algorithm has the following main features:

- it computes an exact parameterization of the intersection of two quadrics with rational coefficients of arbitrary size;
- it places no restriction on the type of the intersection or the type of the input quadrics;
- it correctly identifies, separates and parameterizes all the connected components of the intersection and gives all the information on the incidence between the components, that is where and how (e.g., tangentially or not) two components intersect;
- the parameterization is rational when one exists; otherwise the intersection is a smooth quartic and the parameterization involves the square root of a polynomial;
- the parameterizations are either optimal in the degree of the extension of  $\mathbb{Q}$  on which their coefficients are defined or, in a small number of well-identified cases, involve one extra, possibly unnecessary square root.

Note that our C++ implementation (Lazard et al., 2006) of this algorithm, which uses arbitrary-precision integer arithmetic, can routinely compute parameterizations of the intersection of quadrics with integer input coefficients having ten digits in less than 40 milliseconds on a mainstream PC.

The above features imply in particular that the output parameterization of the intersection is almost as “simple” as possible, meaning that the parameterization is rational if one exists, and that the coefficients of the parameterization are almost as rational as possible. This “simplicity” is, in itself, a key factor for making the parameterization process both feasible and efficient. It is also crucial for the easy and efficient processing of parameterizations in further applications. For some background on the problem of parameterizing plane algebraic curves over optimal field extensions, see Sendra and Winkler (1997).

Formally, we prove the following.

**Theorem 1.** *In three-dimensional real space, given two quadrics in implicit form with rational coefficients, our algorithm first computes the type of their intersection in real projective space. If it is a smooth quartic, there does not exist any rational parameterization of the intersection*

and our algorithm computes a proper<sup>1</sup> parameterization such that, in projective space, each coordinate belongs to  $\mathbb{K}[\xi, \sqrt{\Delta}]$  (the ring of polynomials in  $\xi$  and  $\sqrt{\Delta}$  with coefficients in  $\mathbb{K}$ ), where  $\xi$  is the (real) parameter;  $\Delta \in \mathbb{K}[\xi]$  is a polynomial in  $\xi$ , and  $\mathbb{K}$  is either the field of the rationals or an extension of  $\mathbb{Q}$  by the square root of an integer. If the intersection is not a smooth quartic, our algorithm computes a rational parameterization of each component of the intersection over a field  $\mathbb{K}$  of coefficients which is  $\mathbb{Q}$  or an extension of  $\mathbb{Q}$  of degree 2 or 4; this means that each projective coordinate of the component of the intersection is a polynomial in  $\mathbb{K}[\xi]$ .

In all cases, either  $\mathbb{K}$  is a field of smallest possible degree<sup>2</sup> over which there exists such a parameterization or  $\mathbb{K}$  is an extension of such a smallest field by the square root of an integer. In the latter situation, testing if this extra square root is unnecessary and, if so, finding an optimal parameterization are equivalent to finding a rational point on a curve or a surface (which is computationally hard and can even be undecidable when the variety is not rational<sup>3</sup>).

## 1.2. Overview

Due to the number of contributions and results of this work, this paper has been broken down into three parts. In Part I, we present a first and major improvement to Levin’s pencil method and the accompanying theoretical tools. This simple algorithm, referred to from now on as the “generic algorithm”, outputs a near-optimal parameterization when the intersection is a smooth quartic, *i.e.*, the generic case. However, the generic algorithm ceases to be optimal (both from the point of view of the functions used in the parameterizations and the size of their coefficient field) in several singular situations. Parts II and III refine the generic algorithm by considering in turn all the possible types of intersection. In Part II, we present our classification of pencils of quadrics based on the type of their intersection in real projective space. We also show how to use this classification to compute efficiently the type of the real intersection. In Part III, we present optimal or near-optimal algorithms for each possible type of singular intersection.

Part I is organized as follows. In Section 2, we present basic definitions, notation and useful known results. Section 3 summarizes the ideas on which the pencil method of Levin for intersecting quadrics is based and discusses its shortcomings. In Section 4 we present our generic algorithm. Among the results of independent interest presented in this section are the almost always existence of a ruled quadric with rational coefficients in a pencil (proved in Section 5) and new parameterizations of ruled projective quadrics involving an optimal number of radicals in the worst case (a fact proved in Section 6). In Section 7, we prove the near-optimality of the output parameterization in the generic case, that is when the intersection curve is a smooth quartic, and show that the parameterization is optimal in the worst case, meaning that there are examples in which the possibly extra square root is indeed needed. We then conclude in Section 8. Because of lack of space, we do not present examples of parameterizations computed by our algorithm and refer to Dupont et al. (2005a) and Lazard et al. (2006) for such examples.

## 2. Notation and preliminaries

In the rest of this paper, geometric objects and parameterizations mostly live in projective space. Denote by  $\mathbb{P}^n(\mathbb{R})$  the real projective space of dimension  $n$  and by  $\mathbb{P}^n(\mathbb{C})$  its complex

<sup>1</sup> Recall that a parameterization is said to be *proper* if it is injective almost everywhere.

<sup>2</sup> Recall that, if  $\mathbb{K}$  is a field extension of  $\mathbb{Q}$ , its *degree* is defined as the dimension of  $\mathbb{K}$  as a vector space over  $\mathbb{Q}$ .

<sup>3</sup> See Hillgarter and Winkler (1998) and Poonen (2001) where this problem is studied.

counterpart. Recall that objects in projective 3-space (points, parameterizations) have four coordinates. An object (point, line, plane, cone, quadric, etc.) given by its implicit equation(s) is said to be *rational over a field*  $\mathbb{K}$  if the coefficients of its equation(s) live in the field  $\mathbb{K}$ ; it is said to be *rational* if its coefficients are in  $\mathbb{Q}$ . A parameterization is said to be *rational* if its coordinate functions are polynomials with rational coefficients.

In what follows, all the matrices considered are real square matrices. Given a real symmetric matrix  $S$  of size  $n + 1$ , the upper left submatrix of size  $n$ , denoted  $S_u$ , is called the *principal submatrix* of  $S$  and the determinant of  $S_u$  the *principal subdeterminant* of  $S$ .

We call *quadric* associated to  $S$  the set  $Q_S = \{\mathbf{x} \in \mathbb{P}^n(\mathbb{R}) \mid \mathbf{x}^T S \mathbf{x} = 0\}$ . (Note that every matrix of the form  $\alpha S$ , where  $\alpha \in \mathbb{R} \setminus \{0\}$ , represents the same quadric  $Q_S$ .) When the ambient space is  $\mathbb{R}^n$  instead of  $\mathbb{P}^n(\mathbb{R})$ , the quadric is simply  $Q_S$  minus its points at infinity.

Let  $S$  and  $T$  be two real symmetric matrices of the same size and let  $R(\lambda, \mu) = \lambda S + \mu T$ . The set  $\{R(\lambda, \mu) \mid (\lambda, \mu) \in \mathbb{P}^1(\mathbb{R})\}$  is called the *pencil* of matrices generated by  $S$  and  $T$ . For the sake of simplicity, we sometimes write a member of the pencil  $R(\lambda) = \lambda S - T$ ,  $\lambda \in \overline{\mathbb{R}} = \mathbb{R} \cup \{\infty\}$ . Associated to it is a pencil of quadrics  $\{Q_{R(\lambda, \mu)} \mid (\lambda, \mu) \in \mathbb{P}^1(\mathbb{R})\}$ . Recall that the intersection of two distinct quadrics of a pencil is independent of the choice of the two quadrics. We call the binary form  $\mathcal{D}(\lambda, \mu) = \det R(\lambda, \mu)$  the *characteristic polynomial* of the pencil.

A point  $\mathbf{p} \in \mathbb{P}^3(\mathbb{C})$  of a quadric  $Q_S$  is said to be *singular* if its tangent plane is not defined at  $\mathbf{p}$ , that is if the gradient of  $\mathbf{x}^T S \mathbf{x}$  is zero at  $\mathbf{p}$  or equivalently if  $\mathbf{p}$  is in the kernel of  $S$ ; note that the set of singular points of a quadric with real coefficients is, if not empty, either a real point, a real line, or a real plane. The quadric  $Q_S$  is said to be *singular* if it contains at least one singular point (which is equivalent to  $\det S = 0$ ); otherwise, it is called *non-singular* or *smooth*. In the following, we refer to a *singular line* of a quadric as a line whose points are all singular points of the quadric. Similarly, a point  $\mathbf{p} \in \mathbb{P}^3(\mathbb{C})$  of a curve  $C$  defined by the implicit equations  $Q_S = Q_T = 0$  is *singular* if the rank of the Jacobian matrix of  $C$  (the matrix of partial derivatives of  $Q_S$  and  $Q_T$ ) is at most 1 when evaluated at  $\mathbf{p}$ . A curve is *singular* if it contains at least a singular point (in  $\mathbb{P}^3(\mathbb{C})$ ). Note that the intersection of two quadrics is generically a smooth quartic in  $\mathbb{P}^3(\mathbb{C})$  (which can be, in  $\mathbb{P}^3(\mathbb{R})$ , a smooth quartic or the empty set).

Matrix  $S$  being symmetric, all of its eigenvalues are real. Let  $\sigma^+$  and  $\sigma^-$  be the numbers of positive and negative eigenvalues of  $S$ , respectively. The *rank* of  $S$  is the sum of  $\sigma^+$  and  $\sigma^-$ . We define the *inertia* of  $S$  and  $Q_S$  as the pair  $(\max(\sigma^+, \sigma^-), \min(\sigma^+, \sigma^-))$ . (It is more usual to define the inertia as the pair  $(\sigma^+, \sigma^-)$ , but our definition, in a sense, reflects the fact that  $Q_S$  and  $Q_{-S}$  are one and the same quadric.) The inertia of a quadric in  $\mathbb{P}^3(\mathbb{R})$  is a fundamental concept which somehow replaces the usual type of a quadric in  $\mathbb{R}^3$ . For the convenience of the reader we recall in Table 1 the correspondence between inertias in  $\mathbb{P}^3(\mathbb{R})$  and types in  $\mathbb{R}^3$ . Note that, in  $\mathbb{P}^3(\mathbb{R})$ , a quadric of inertia distinct from  $(3, 1)$  is either a ruled surface or not a surface; also, the quadrics of inertia  $(3, 1)$  are the only ones with a strictly negative determinant. Note also that the non-singular quadrics are those of inertia  $(2, 2)$ ,  $(3, 1)$  and  $(4, 0)$  (the last one being the empty set over  $\mathbb{P}^3(\mathbb{R})$ ).

Two real symmetric matrices  $S$  and  $S'$  of the same size are said to be *similar* if and only if there exists a non-singular matrix  $P$  such that  $S' = P^{-1} S P$ . Note that two similar matrices have the same characteristic polynomial, and thus the same eigenvalues. Two matrices are said to be *congruent* or *projectively equivalent* if and only if there exists a non-singular matrix  $P$  with real coefficients such that  $S' = P^T S P$ . The transformation sending  $S$  to  $S'$  is called a *congruence* transformation. Moreover if matrix  $P$  has rational coefficients, the congruence is said to be *rational*. Sylvester's Inertia Law asserts that the inertia is invariant under a congruence transformation (Lam, 1973), *i.e.*,  $S$  and  $S'$  have the same inertia.

Inertia of $S$	Inertia of $S_u$	Euclidean canonical equation	Euclidean type of $Q_S$
(4, 0)	(3, 0)	$x^2 + y^2 + z^2 + 1$	$\emptyset$ (imaginary ellipsoid)
(3, 1)	(3, 0)	$x^2 + y^2 + z^2 - 1$	ellipsoid
	(2, 1)	$x^2 + y^2 - z^2 + 1$	hyperboloid of two sheets
	(2, 0)	$x^2 + y^2 + z$	elliptic paraboloid
(3, 0)	(3, 0)	$x^2 + y^2 + z^2$	point
	(2, 0)	$x^2 + y^2 + 1$	$\emptyset$ (imaginary elliptic cylinder)
(2, 2)	(2, 1)	$x^2 + y^2 - z^2 - 1$	hyperboloid of one sheet
	(1, 1)	$x^2 - y^2 + z$	hyperbolic paraboloid
(2, 1)	(2, 1)	$x^2 + y^2 - z^2$	cone
	(2, 0)	$x^2 + y^2 - 1$	elliptic cylinder
	(1, 1)	$x^2 - y^2 + 1$	hyperbolic cylinder
	(1, 0)	$x^2 + y$	parabolic cylinder
(2, 0)	(2, 0)	$x^2 + y^2$	line
	(1, 0)	$x^2 + 1$	$\emptyset$ (imaginary parallel planes)
(1, 1)	(1, 1)	$x^2 - y^2$	intersecting planes
	(1, 0)	$x^2 - 1$	parallel planes
	(0, 0)	$x$	simple plane
(1, 0)	(1, 0)	$x^2$	double plane
	(0, 0)	1	$\emptyset$ (double plane at infinity)

**Table 1.** Correspondence between quadric inertias and Euclidean types.

### 3. Levin’s pencil method

Since our solution to quadric surface intersection builds upon the pencil method of Levin (1976, 1979), we start by recalling the main steps of his algorithm for computing a parameterized representation of the intersection of two distinct implicit quadrics  $Q_S$  and  $Q_T$  of  $\mathbb{R}^3$ . Starting from this short description, we then identify where this algorithm introduces high-degree algebraic numbers and why this is a problem.

The high-level idea behind Levin’s algorithm is this: if (say)  $Q_S$  is of some “good” type, then  $Q_S$  admits a parameterization which is linear in one of its parameters and plugging this parameterization in the implicit equation of  $Q_T$  yields a degree 2 equation in one of the parameters (instead of degree 4) which can be easily solved to get a parametric representation of  $Q_S \cap Q_T$ . When neither  $Q_S$  nor  $Q_T$  has a “good” type, then one can find a quadric  $Q_R$  of “good” type in the pencil generated by  $Q_S$  and  $Q_T$ , and we are back to the previous case replacing  $Q_S$  by  $Q_R$ .

The definition of a “good” type is embodied in Levin’s notion of simple ruled quadric<sup>4</sup> and the existence of such a quadric  $Q_R$  in the pencil is Levin’s key result:

**Theorem 2** (Levin (1976)). *The pencil generated by any two distinct quadrics contains at least one simple ruled quadric, i.e., a (simple or double) plane, a pair of planes, a hyperbolic paraboloid, a parabolic or hyperbolic cylinder, or the empty set.*

In more details, Levin’s method is as follows.

- (1) Find a simple ruled quadric in the pencil  $\{Q_{R(\lambda)=\lambda S-T} \mid \lambda \in \overline{\mathbb{R}}\}$  generated by  $Q_S$  and  $Q_T$ , or report an empty intersection. Since simple ruled quadrics have a vanishing principal subdeterminant, this is achieved by searching for a  $\lambda_0 \in \overline{\mathbb{R}}$  such that  $\det(R_u(\lambda_0)) = 0$  and  $Q_R = Q_{R(\lambda_0)}$  is simple ruled; by Theorem 2, such a quadric exists or the pencil contains

<sup>4</sup> In (Levin, 1976, 1979), Levin refers to these quadrics as to non-elliptic paras.

the empty set. Assume, for the sake of simplicity, that the intersection is not empty and that  $Q_R$  and  $Q_S$  are distinct. Then  $Q_S \cap Q_T = Q_S \cap Q_R$ .

- (2) Determine the orthonormal transformation matrix  $P_u$  which sends  $R_u$  in diagonal form by computing the eigenvalues and the normalized eigenvectors of  $R_u$ . Deduce the transformation matrix  $P$  which sends  $Q_R$  into canonical form. Compute a parameterization  $\mathbf{X}(u, v)$  of the canonical quadric.
- (3) Compute the matrix  $S' = P^T S P$  of the quadric  $Q_S$  in the canonical frame of  $Q_R$  and consider the equation

$$\mathbf{X}^T S' \mathbf{X} = a(u)v^2 + b(u)v + c(u) = 0, \quad (1)$$

where  $\mathbf{X}$  has been augmented by a fourth coordinate set to 1. (Levin's parameterizations are such that  $a(u)$ ,  $b(u)$  and  $c(u)$  are polynomials of degree at most four in  $u$ .)

Solve (1) for  $v$  in terms of  $u$  and determine the corresponding domain of validity of  $u$  on which the solutions are defined, *i.e.*, the set of  $u$  such that  $\Delta(u) = b^2(u) - 4a(u)c(u) \geq 0$ . Substituting  $v$  by its expression in terms of  $u$  in  $\mathbf{X}$ , we have a parameterization of  $Q_S \cap Q_T = Q_S \cap Q_R$  in the orthonormal coordinate system in which  $Q_R$  is canonical.

- (4) Output  $P\mathbf{X}(u)$ , the parameterized equation of  $Q_S \cap Q_T$  in the global coordinate frame, and the domain of  $u \in \mathbb{R}$  on which it is valid.

This method is very nice and powerful since it gives an explicit representation of the intersection of two general quadrics. However, it is far from being ideal from the point of view of precision and robustness since it introduces non-rational numbers at several different places. Thus, if a floating point representation of numbers is used, the result may be wrong (geometrically and topologically) or, worse, the program may crash (especially in Step 1 when the type of the quadrics  $Q_{R(\lambda_0)}$  is incorrectly computed). In theory, exact arithmetic would do, except that it would highly slow down the computations. In practice, however, a correct implementation using exact arithmetic seems out of reach because of the high degree of the algebraic numbers involved.

Let us examine more closely the potential sources of numerical instability in Levin's approach.

- Step 1:  $\lambda_0$  is the root of a degree 3 polynomial with rational coefficients. In the worst case, it is thus expressed with nested radicals of depth two. Since determining if  $Q_{R(\lambda_0)}$  is simple ruled involves computing its Euclidean type (not an easy task considering that  $Q_{R(\lambda_0 - \varepsilon)}$  and  $Q_{R(\lambda_0 + \varepsilon)}$  usually are of different types), this is probably the biggest source of non-robustness.
- Step 2: Since  $Q_R$  is simple ruled, the characteristic polynomial of  $R_u$  is a degree three polynomial having zero as a root and whose coefficients are in the field extension  $\mathbb{Q}(\lambda_0)$ . Thus, the non-zero eigenvalues of  $R_u$  may involve nested radicals of depth three. Since the corresponding eigenvectors have to be normalized, the coefficients of the transformation matrix  $P$  are expressed with radicals of nesting depth four in the worst case.

Since the coefficients of the parameterization  $\mathbf{X}$  of  $Q_R$  are expressed as square roots of the coefficients of the canonical equation  $Q_{P^T R P}$ , the coefficients of the parameterization of  $Q_S \cap Q_T$  can involve *nested radicals of depth five* in the worst case.

- Step 3: Computing the domain of  $\mathbf{X}$  amounts to solving the fourth degree equation  $\Delta(u) = 0$  whose coefficients are nested radicals of worst-case depth five in  $\mathbb{Q}$ .

Note that this worst-case picture is the generic case. Indeed, given two arbitrary quadrics with rational coefficients, the polynomial  $\det(R_u(\lambda))$  will generically have no rational root (a consequence of Hilbert's Irreducibility Theorem). Note also that algebraic numbers with nested radicals of depth five can be complicated. Indeed, recall that Levin's algorithm outputs exact parameterizations that fill up over 100 megabytes of space, even on very simple instances. The appearance of these high-degree algebraic numbers are thus the main cause of the impracticality of Levin's algorithm for computing exact parameterizations.



inertia of $S$	canonical equation ( $a, b, c, d > 0$ )	parameterization $\mathbf{X} = [x, y, z, w]$
(4, 0)	$ax^2 + by^2 + cz^2 + dw^2 = 0$	$Q_S = \emptyset$
(3, 0)	$ax^2 + by^2 + cz^2 = 0$	$Q_S$ is the point $(0, 0, 0, 1)$
(2, 2)	$ax^2 + by^2 - cz^2 - dw^2 = 0$	$\mathbf{X} = [\frac{ut+avs}{a}, \frac{us-bvt}{b}, \frac{ut-avs}{\sqrt{ac}}, \frac{us+bvt}{\sqrt{bd}}], (u, v), (s, t) \in \mathbb{P}^1(\mathbb{R})$
(2, 1)	$ax^2 + by^2 - cz^2 = 0$	$\mathbf{X} = [uv, \frac{u^2-abv^2}{2b}, \frac{u^2+abv^2}{2\sqrt{bc}}, s], (u, v, s) \in \mathbb{P}^{*2}(\mathbb{R})$
(2, 0)	$ax^2 + by^2 = 0$	$\mathbf{X} = [0, 0, u, v], (u, v) \in \mathbb{P}^1(\mathbb{R})$
(1, 1)	$ax^2 - by^2 = 0$	$\mathbf{X}_1 = [u, \frac{\sqrt{ab}}{b}u, v, s], \mathbf{X}_2 = [u, -\frac{\sqrt{ab}}{b}u, v, s], (u, v, s) \in \mathbb{P}^2(\mathbb{R})$
(1, 0)	$ax^2 = 0$	$\mathbf{X} = [0, u, v, s], (u, v, s) \in \mathbb{P}^2(\mathbb{R})$

**Table 2.** Parameterization of projective quadrics of inertia different from (3, 1). In the parameterization of projective cones (inertia (2, 1)),  $\mathbb{P}^{*2}(\mathbb{R})$  stands for the 2-dimensional real quasi-projective space defined as the quotient of  $\mathbb{R}^3 \setminus \{0, 0, 0\}$  by the equivalence relation  $\sim$  where  $(x, y, z) \sim (y_1, y_2, y_3)$  iff  $\exists \lambda \in \mathbb{R} \setminus \{0\}$  such that  $(x, y, z) = (\lambda y_1, \lambda y_2, \lambda^2 y_3)$ .

#### 4. Generic algorithm

We now present a first but major improvement to Levin’s pencil method for computing parametric representations of the intersection of quadrics.

This so-called “generic algorithm” removes most of the sources of radicals in Levin’s algorithm. We prove in Section 7 that it is near-optimal in the generic, smooth quartic case. It is however not optimal for all the possible types of intersection and will need later refinements (see the comments in Section 8, and Parts II and III). But it is sufficiently simple, robust and efficient to be of interest to many.

We start by introducing the projective framework underlying our approach and by stating the main theorem on which the generic approach rests. We then outline our algorithm and detail particular steps in ensuing sections.

From now on, all the input quadrics considered have their coefficients (*i.e.*, the entries of the corresponding matrices) in  $\mathbb{Q}$ .

##### 4.1. Key ideas

The first ingredient of our approach is to work not just over  $\mathbb{R}^3$  but over the real projective space  $\mathbb{P}^3(\mathbb{R})$ . Recall that, in projective space, quadrics are entirely characterized by their inertia (*i.e.*, two quadrics with the same inertia are projectively equivalent), while in Euclidean space they are characterized by their inertia and the inertia of their principal submatrix.

In our algorithm, quadrics of inertia different from (3, 1) (*i.e.*, ruled quadrics) play the role of simple ruled quadrics in Levin’s method. In Table 2, we present a new set of parameterizations of ruled projective quadrics that are linear in one of their parameters and involve, in the worst case, a minimal number of square roots<sup>5</sup>, which we prove in Section 6. That these parameterizations are such that there is a one-to-one correspondence between the points of the projective quadric and the parameters is straightforward and omitted here (see Dupont et al. (2005a) for details).

Another key ingredient of our approach is encapsulated in the following theorem, which mirrors, in the projective setting, Levin’s theorem on the existence of ruled quadrics in a pencil.

<sup>5</sup> Note that there is necessarily a trade-off between the minimal degree of a parameterization in one of its parameters and the degree of its coefficient field. For instance, Wang et al. (1997) give parameterizations of quadrics that have rational coefficients but are quadratic in all of their parameters.

**Theorem 3.** *In a pencil generated by any two distinct quadrics, the set  $\mathcal{A}$  of quadrics of inertia different from  $(3, 1)$  is not empty. Furthermore, if no quadric in  $\mathcal{A}$  has rational coefficients, then the intersection of the two initial quadrics is reduced to two distinct points.*

This theorem, which is proved in Section 5.2, generalizes Theorem 2. Indeed, it ensures that the two quadrics we end up intersecting have rational coefficients, except in one very specific situation. This is how we remove the main source of nested radicals in Levin’s algorithm.

The last basic ingredient of our approach is the use of Gauss reduction of quadratic forms for diagonalizing a symmetric matrix and computing the canonical form of the associated projective quadric, instead of the traditional eigenvalues/eigenvectors approach used by Levin. Since the Gauss transformation is rational (the elements of the matrix  $P$  which sends  $S$  into canonical form are rational), this removes some layers of nested radicals from Levin’s algorithm. Note, also, that there is no difficulty parameterizing the reduced quadric  $S' = P^T S P$  since, by Sylvester’s Inertia Law,  $S$  and  $S'$  have the same inertia.

#### 4.2. Algorithm outline

We now outline our generic algorithm. Let  $R(\lambda) = \lambda S - T$  be the pencil generated by the quadrics  $Q_S$  and  $Q_T$  of  $\mathbb{P}^3(\mathbb{R})$  and  $\mathcal{D}(\lambda) = \det(R(\lambda))$  be the characteristic polynomial of the pencil. Recall that, although it works in all cases, our generic algorithm is best designed when  $\mathcal{D}(\lambda)$  is not identically zero and does not have any multiple root. In the other cases, better algorithms are described in Parts II and III.

The outline of our intersection algorithm is as follows (details follow in ensuing sections):

1. Find a quadric  $Q_R$  with rational coefficients in the pencil, such that  $\det R > 0$  if possible or  $\det R = 0$  otherwise. (If no such  $R$  exists, the intersection is reduced to two points, which we output.) If the inertia of  $R$  is  $(4, 0)$ , output empty intersection. Otherwise, proceed.

Assume for the sake of simplicity that  $Q_R \neq Q_S$  and thus that  $Q_S \cap Q_R = Q_S \cap Q_T$ .

2. If the inertia of  $R$  is not  $(2, 2)$ , apply Gauss reduction to  $R$  and compute a frame in which  $P^T R P$  is diagonal.

If the inertia of  $R$  is  $(2, 2)$ , its parameterization contains in general two square roots (see Table 2) but one can be eliminated as follows. First, find a rational point close enough to  $Q_R$  such that the quadric in the pencil through this point has the same inertia as  $Q_R$ . Replace  $Q_R$  by this quadric. Then use that rational point to compute a frame in which  $P^T R P$  is the diagonal matrix  $\text{diag}(1, 1, -1, -\delta)$ , with  $\delta \in \mathbb{Q}$ .

In the local frame,  $Q_R$  can be described by one of the parameterizations  $\mathbf{X}$  of Table 2. Compute the parameterization  $P\mathbf{X}$  of  $Q_R$  in the global frame.

3. Consider the equation  $\Omega : (P\mathbf{X})^T S (P\mathbf{X}) = 0$ , which is of degree at most 2 in (at least) one of the parameters. Solve it for this parameter in terms of the other(s) and compute the domain of the solution.
4. Substitute this parameter in  $P\mathbf{X}$ , giving a parameterization of the intersection of  $Q_S$  and  $Q_T$ .

#### 4.3. Details of Step 1

The detailed description of Step 1 is as follows. Recall that  $\mathcal{D}(\lambda) = \det(R(\lambda))$  is the characteristic polynomial of the pencil.

- 1.a. If  $\mathcal{D}(\lambda) \equiv 0$ , set  $R = S$  and proceed to Step 2.
- b. Otherwise, compute isolating intervals for the real roots of  $\mathcal{D}(\lambda)$  (using for instance a variant of Uspensky’s algorithm (Rouillier and Zimmermann, 2004)). Compute a rational number  $\lambda_0$  in between each of the separating intervals and, for each  $\lambda_0$  such that  $\mathcal{D}(\lambda_0) > 0$ , compute

the inertia of the corresponding quadrics using Gauss reduction. If one of the inertias is  $(4, 0)$ , output  $Q_S \cap Q_T = \emptyset$ . Otherwise, one of these inertias is  $(2, 2)$  and we proceed with the corresponding quadric.

- c. Otherwise (*i.e.*,  $\mathcal{D}(\lambda) \not\equiv 0$  and  $\mathcal{D}(\lambda) \leq 0$  for all  $\lambda$ ), compute the greatest common divisor  $\gcd(\lambda)$  of  $\mathcal{D}(\lambda)$  and its derivative with respect to  $\lambda$ . If  $\gcd(\lambda)$  has a rational root  $\lambda_0$ , proceed with the corresponding quadric  $Q_{R(\lambda_0)}$ .
- d. Otherwise (*i.e.*,  $\mathcal{D}(\lambda) \leq 0$  for all  $\lambda$  and  $\mathcal{D}(\lambda)$  has two non-rational double real roots),  $Q_S \cap Q_T$  is reduced to two points. The quadric corresponding to one of these two roots is of inertia  $(2, 0)$  (an imaginary pair of planes). The singular line of this pair of planes is real and can be parameterized easily, even though it is not rational. Intersecting that line with any of the input quadrics gives the two points.

To assert the correctness of this algorithm, we have several things to prove. First, we make clear why, when looking for a quadric in the pencil  $(S, T)$  with inertia different from those of  $S$  and  $T$ , the right polynomial to consider is  $\mathcal{D}(\lambda)$ .

**Lemma 4.** *The inertia of  $R(\lambda)$  is invariant on any interval of  $\lambda$  not containing a root of  $\mathcal{D}(\lambda)$ .*

**Proof.** The eigenvalues of  $R(\lambda)$  are continuous functions of  $\lambda$  and the characteristic polynomial of  $R(\lambda)$ , that is  $\det(R(\lambda) - lI)$ , is a polynomial in  $l$  whose constant coefficient is  $\mathcal{D}(\lambda)$  (where  $I$  is the identity matrix of size 4). Thus, the eigenvalues of  $R(\lambda)$  may change sign only at a zero of  $\det(R(\lambda))$ .  $\square$

We show that Step 1 of our algorithm always outputs empty intersection when  $Q_S \cap Q_T = \emptyset$ . This, in fact, is a direct consequence of Lemma 4 and of the following theorem proved in 1936/1937 by the German mathematician Paul Finsler.

**Theorem 5** (Finsler (1936/1937)). *Assume  $n \geq 3$  and let  $S, T$  be real symmetric matrices of size  $n$ . Then  $Q_S \cap Q_T = \emptyset$  if and only if the pencil of matrices generated by  $S$  and  $T$  contains a matrix of inertia  $(n, 0)$ .*

In Step 1.d,  $Q_S$  and  $Q_T$  intersect in two points by Theorem 3. Furthermore, the quadric corresponding to one of two roots of  $\mathcal{D}(\lambda)$  is a real line by the proof of Theorem 3.

Finally, note that we can further refine Step 1.b by computing the inertia of the quadrics  $Q_{R(\lambda_0)}$  with positive determinant only when the characteristic polynomial has four real roots counted with multiplicities. Indeed, in view of the following proposition, testing for the presence of a matrix of inertia  $(4, 0)$  in the pencil needs to be done only in that case.

**Proposition 6.** *Assume  $n \geq 3$  and let  $S, T$  be real symmetric matrices of size  $n$ . Then  $Q_S \cap Q_T = \emptyset$  implies that  $\det(\lambda S + \mu T)$  does not identically vanish and that all its roots are real.*

**Proof.** We use the equivalence provided by Theorem 5 of the emptiness of the intersection and the existence of a definite matrix, *i.e.*, a matrix of inertia  $(n, 0)$ , in the pencil. Let  $U$  be a definite matrix of the pencil which we choose positive (the proof is similar for negative definite).

Since  $U$  is positive definite, we can apply to it a Cholesky factorization:  $U = HH^T$ , where  $H$  is a lower triangular matrix. Consider the matrix  $C = (H^{-1})S(H^{-1})^T$ . Since  $C$  is real symmetric, it has  $n$  pairs of real eigenvalues and eigenvectors  $(\nu_i, \mathbf{x}_i)$ . Let  $\mathbf{y}_i = (H^{-1})^T \mathbf{x}_i$ . Then we have  $H(C\mathbf{x}_i) = H(\nu_i \mathbf{x}_i)$ , which implies  $S\mathbf{y}_i = \nu_i U\mathbf{y}_i$ . Hence all the roots of the characteristic polynomial of  $U^{-1}S$  are real, which implies that all the roots of  $\det(\lambda S + \mu U) = 0$  are real. It follows that all the roots of  $\det(\lambda S + \mu T) = 0$  are also real.  $\square$

#### 4.4. Details of Step 2

There are two cases, according to the inertia of  $R$ .

*The inertia of  $R$  is not  $(2, 2)$ .* When the inertia of  $R$  is different from  $(2, 2)$ , we use Gauss reduction of quadratic forms and parameterize the resulting quadric, whose associated matrix  $P^T R P$  is diagonal. In view of Sylvester's Inertia Law, the reduced quadric  $Q_{P^T R P}$  has the same inertia as  $Q_R$ . Thus it can be parameterized with at most one square root by one of the parameterizations  $\mathbf{X}$  of Table 2. Since Gauss reduction is rational (*i.e.*,  $P$  is a matrix with rational coefficients), the parameterization  $P\mathbf{X}$  of  $Q_R$  contains at most one square root.

*The inertia of  $R$  is  $(2, 2)$ .* When the inertia of  $R$  is  $(2, 2)$ , the coefficients of the parameterization of  $Q_R$  can live, in the worst case, in an extension  $\mathbb{Q}(\sqrt{\delta_1}, \sqrt{\delta_2})$  of degree 4 of  $\mathbb{Q}$  (see Table 2). We show here that there exists, in the neighborhood of  $Q_R$ , a quadric  $Q_{R'}$  with rational coefficients such that  $Q_S \cap Q_{R'} = Q_S \cap Q_R = Q_S \cap Q_T$  and the coefficients of the parameterization of  $Q_{R'}$  are in  $\mathbb{Q}(\sqrt{\det R'})$ .

First, apply Gauss reduction to  $Q_R$ . If any of  $\sqrt{ac}$  or  $\sqrt{bd}$  is rational in the parameterization of  $Q_R$  (as in Table 2), we are done. Otherwise, compute an arbitrary point  $\mathbf{p} \in \mathbb{P}^3(\mathbb{R})$  on  $Q_R$  by taking any value of the parameters like, say,  $(u, v) = (0, 1)$  and  $(s, t) = (0, 1)$ . Approximate  $\mathbf{p}$  by a point  $\mathbf{p}' \in \mathbb{P}^3(\mathbb{Q})$  not on  $Q_S \cap Q_T$ . Then compute  $\lambda'_0 \in \mathbb{Q}$  such that  $\mathbf{p}'$  belongs to the quadric  $Q_{R(\lambda'_0)}$  of the pencil. This is easy to achieve in view of the following lemma.

**Lemma 7.** *In a pencil generated by two quadrics  $Q_S, Q_T$  with rational coefficients, there is exactly one quadric going through a given point  $\mathbf{p}'$  that is not on  $Q_S \cap Q_T$ . If  $\mathbf{p}'$  is rational, this quadric is rational.*

**Proof.** In the pencil generated by  $Q_S$  and  $Q_T$ , a quadric  $Q_{R(\lambda, \mu)}$  contains  $\mathbf{p}'$  if and only if  $\mathbf{p}'^T(\lambda S + \mu T)\mathbf{p}' = 0$ , that is if and only if  $\lambda(\mathbf{p}'^T S \mathbf{p}') + \mu(\mathbf{p}'^T T \mathbf{p}') = 0$ . If  $\mathbf{p}'$  is not on  $Q_S \cap Q_T$ , this equation is linear in  $(\lambda, \mu) \in \mathbb{P}^1(\mathbb{R})$  and thus admits a unique solution. Moreover, if  $\mathbf{p}'$  is rational, the equation has rational coefficients and thus the quadric of the pencil containing  $\mathbf{p}'$  is rational.  $\square$

Note that  $\lambda'_0$  and the  $\lambda_0$  such that  $R = R(\lambda_0)$  get arbitrarily close to one another as  $\mathbf{p}'$  gets close to  $\mathbf{p}$ . Thus if  $\mathbf{p}'$  is close enough to  $\mathbf{p}$ ,  $R' = R(\lambda'_0)$  has the same inertia  $(2, 2)$  as  $R$ , by Lemma 4. We refine the approximation  $\mathbf{p}'$  of  $\mathbf{p}$  until  $R'$  has inertia  $(2, 2)$ .

We now have a quadric  $Q_{R'}$  of inertia  $(2, 2)$  and a rational point on  $Q_{R'}$ . Consider any rational line through  $\mathbf{p}'$  that is not in the plane tangent to  $Q_{R'}$  at  $\mathbf{p}'$ . This line further intersects  $Q_{R'}$  in another point  $\mathbf{p}''$ . Point  $\mathbf{p}''$  is rational because otherwise  $\mathbf{p}'$  and  $\mathbf{p}''$  would be conjugate in the field extension of  $\mathbb{Q}$  (since  $Q_{R'}$  and the line are both rational) and thus  $\mathbf{p}'$  would not be rational. Compute the rational transformation  $P$  sending  $\mathbf{p}', \mathbf{p}''$  onto  $(1, \pm 1, 0, 0)$ . Apply this transformation to  $R'$  and then apply Gauss reduction of quadratic forms. In the local frame,  $Q_{R'}$  has equation (up to a constant factor)

$$x^2 - y^2 + \alpha z^2 + \beta w^2 = 0, \quad (2)$$

with  $\alpha\beta < 0$ . Now consider the linear transformation whose matrix is  $P'$

$$P' = \frac{1}{2} \begin{pmatrix} 1 + \alpha & 0 & 1 - \alpha & 0 \\ 1 - \alpha & 0 & 1 + \alpha & 0 \\ 0 & 2 & 0 & 0 \\ 0 & 0 & 0 & 2\alpha \end{pmatrix}.$$

Applying  $P'$  to the already reduced quadric of Eq. (2) gives the equation

$$x^2 + y^2 - z^2 - \delta w^2 = 0, \quad (3)$$

where  $\delta = -\alpha\beta > 0$ . The quadric of Eq. (3) can thus be parameterized by

$$\mathbf{X}((u, v), (s, t)) = \left( ut + vs, us - vt, ut - vs, \frac{us + vt}{\sqrt{\delta}} \right),$$

with  $(u, v), (s, t) \in \mathbb{P}^1(\mathbb{R})$  (see Table 2).

The three consecutive transformation matrices have rational coefficients, therefore  $\mathbb{Q}(\sqrt{\delta}) = \mathbb{Q}(\sqrt{\det R'})$ , and the product of these transformation matrices with  $\mathbf{X}$  is a polynomial parameterization of  $Q_{R'}$  with coefficients in  $\mathbb{Q}(\sqrt{\delta})$ ,  $\delta \in \mathbb{Q}$ .

#### 4.5. Details of Steps 3 and 4

Recall that the content in the variable  $x$  of a multivariate polynomial is the gcd of the coefficients of the  $x^i$ .

Equation  $\Omega$  may be solved by seeing it as a quadratic equation in one of the parameters. For instance, if  $R$  has inertia  $(2, 2)$ ,  $\Omega$  is a homogeneous biquadratic equation in the variables  $\xi = (u, v)$  and  $\tau = (s, t)$ . Using only gcd computations, we can factor it in its content in  $\xi$  (which is a polynomial in  $\tau$  or a constant), its content in  $\tau$ , and a remaining factor. If the content in  $\xi$  (or in  $\tau$ ) is not constant, solve it in  $\tau$  (in  $\xi$ ); substituting the obtained real values in  $\mathbf{X}$ , we have a parameterization of some components of  $Q_S \cap Q_T = Q_S \cap Q_R$  in the frame in which  $Q_R$  is canonical. If the remaining factor is not constant, solve it in a parameter in which it is linear, if any. Substituting the result in  $\mathbf{X}$ , we have a parameterization of the last component of the intersection. If the equation which is solved is not linear, the domain of the parameterization is the set of  $\xi$  such that the degree 4 polynomial  $\Delta(\xi) = b^2(\xi) - 4a(\xi)c(\xi)$  is positive, where  $a(\xi), b(\xi)$  and  $c(\xi)$  are the coefficients of  $s^2, st$ , and  $t^2$  in  $\Omega$ , respectively.

Note that the parameterization of the curve of intersection obtained in Step 4 is proper (*i.e.*, injective almost everywhere) since, if  $\xi_1$  and  $\xi_2$  parameterize the same point on the intersection, then this point is parameterized on the quadric  $R$  by  $(\xi_i, \tau_i)$ ,  $i = 1, 2$ , where  $\tau_i$  is one root of  $\Omega$  (for  $\xi = \xi_i$ ); since the parameterization of  $R$  is bijective,  $\xi_1 = \xi_2$ .

### 5. Canonical forms and proof of Theorem 3

We now prove Theorem 3, the key result stated in the previous section. We start by recalling some preliminary results.

#### 5.1. Canonical forms of non-singular pairs of symmetric matrices

We state results proved by Uhlig (1973, 1976) we need for computing the canonical form of a pair of real symmetric matrices. Though only part of this theory is required for the proof of Theorem 3 (Section 5.2), we will need its full power in Part II of this paper for characterizing real pencils of quadrics.

Let us start by recalling the notion of Jordan blocks.

**Definition 8.** Let  $M$  be a square matrix of the form

$$(\ell) \quad \text{or} \quad \begin{pmatrix} \ell & e & 0 \\ & \ddots & e \\ 0 & & \ell \end{pmatrix}.$$

If  $\ell \in \mathbb{R}$  and  $e = 1$ ,  $M$  is called a *real Jordan block* associated with  $\ell$ . If

$$\ell = \begin{pmatrix} a & -b \\ b & a \end{pmatrix}, \quad a, b \in \mathbb{R}, \quad b \neq 0, \quad e = \begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix},$$

$M$  is called a *complex Jordan block* associated with  $a + ib$ .

Now we can state the real Jordan normal form theorem for real square matrices.

**Theorem 9** (Real Jordan normal form). *Every real square matrix  $A$  is similar over the reals to a block diagonal matrix  $\text{diag}(A_1, \dots, A_k)$ , called real Jordan normal form of  $A$ , in which each  $A_j$  is a (real or complex) Jordan block associated with an eigenvalue of  $A$ .*

The Canonical Pair Form Theorem then goes as follows:

**Theorem 10** (Canonical Pair Form). *Let  $S$  and  $T$  be two real symmetric matrices of size  $n$ , with  $S$  non-singular. Let  $S^{-1}T$  have real Jordan normal form  $\text{diag}(J_1, \dots, J_r, J_{r+1}, \dots, J_m)$ , where  $J_1, \dots, J_r$  are real Jordan blocks corresponding to real eigenvalues of  $S^{-1}T$  and  $J_{r+1}, \dots, J_m$  are complex Jordan blocks corresponding to pairs of complex conjugate eigenvalues of  $S^{-1}T$ . Then:*

(a) *The characteristic polynomial of  $S^{-1}T$  and  $\det(\lambda S - T)$  have the same roots  $\lambda_j$  with the same (algebraic) multiplicities  $m_j$ .*

(b)  *$S$  and  $T$  are simultaneously congruent by a real congruence transformation to*

$$\text{diag}(\varepsilon_1 E_1, \dots, \varepsilon_r E_r, E_{r+1}, \dots, E_m)$$

and

$$\text{diag}(\varepsilon_1 E_1 J_1, \dots, \varepsilon_r E_r J_r, E_{r+1} J_{r+1}, \dots, E_m J_m),$$

respectively, where  $\varepsilon_i = \pm 1$  and  $E_i$  denotes the square matrix

$$\begin{pmatrix} 0 & & 1 \\ & \ddots & \\ 1 & & 0 \end{pmatrix}$$

of the same size as  $J_i$  for  $i = 1, \dots, m$ . The signs  $\varepsilon_i$  are unique (up to permutations) for each set of indices  $i$  that are associated with a set of identical real Jordan blocks  $J_i$ .

(c) *The sum of the sizes of the blocks corresponding to one of the  $\lambda_j$  is the multiplicity  $m_j$  if  $\lambda_j$  is real or twice this multiplicity if  $\lambda_j$  is complex. The number of the corresponding blocks (the geometric multiplicity of  $\lambda_j$ ) is  $t_j = n - \text{rank}(\lambda_j S - T)$ , and  $1 \leq t_j \leq m_j$ .*

Note that the canonical pair form of Theorem 10 can be considered the finest simultaneous block diagonal structure that can be obtained by a real congruence transformation for a given pair of real symmetric matrices, in the sense that it maximizes the number of blocks in the diagonalization of  $S$  and  $T$ .

## 5.2. Proof of Theorem 3

To prove Theorem 3, we consider a pencil of real symmetric  $4 \times 4$  matrices generated by two symmetric matrices  $S$  and  $T$  of inertia  $(3, 1)$ . We may suppose that they have the block diagonal form of the above theorem.

If all the blocks had an even size, the determinant of  $S$  would be positive, contradicting our hypothesis. Thus, there is a block of odd size in the canonical form of  $S$ . It follows that  $\det(\lambda S - T)$  has at least one real root and the matrix of the pencil corresponding to this root has an inertia different from  $(3, 1)$ . This proves the first part.

If  $\det(\lambda S - T)$  has a simple real root, there is an interval of values for  $\lambda$  for which it is positive, and we are done with any rational value of  $\lambda$  in this interval. If  $\det(\lambda S - T)$  has either a double real root and two complex roots, two rational double real roots or a quadruple real root, the quadrics corresponding to the real root(s) are rational and have inertia different from  $(3, 1)$ .

Thus we are left with the case where  $\det(\lambda S - T)$  has two non-rational double real roots, which are algebraically conjugate. In other words,  $\det(\lambda S - T) = c(\lambda - \lambda_1)^2(\lambda - \lambda_2)^2$ , with  $\lambda_1, \lambda_2 \in \mathbb{R} \setminus \mathbb{Q}$  and  $\lambda_2 = \bar{\lambda}_1$  its (real algebraic) conjugate. Following the notation of Theorem 10, we have  $m_1 = m_2 = 2$  and  $1 \leq t_i \leq 2$ , for  $i = 1, 2$ . In other words,  $(t_1, t_2) \in \{(1, 1), (1, 2), (2, 1), (2, 2)\}$ .

We can quickly get rid of the case  $(t_1, t_2) = (1, 1)$ . Indeed, in this case the blocks have an even size and  $S$  is not of inertia  $(3, 1)$ . We can also eliminate the cases  $(t_1, t_2) \in \{(1, 2), (2, 1)\}$ , because the matrices  $\lambda_1 S - T$  and  $\lambda_2 S - T$  are algebraically conjugate, and so must have the same rank and the same number of blocks.

We are thus left with the case  $(t_1, t_2) = (2, 2)$ . In this situation,  $S$  and  $T$  have four blocks, *i.e.*, they are diagonal:

$$\begin{cases} S = \text{diag}(\varepsilon_1, \varepsilon_2, \varepsilon_3, \varepsilon_4), \\ T = \text{diag}(\varepsilon_1 \lambda_1, \varepsilon_2 \lambda_1, \varepsilon_3 \lambda_2, \varepsilon_4 \lambda_2). \end{cases}$$

The pencil  $\lambda S - T$  is generated by the two quadrics of rank 2

$$\begin{cases} S' = \lambda_1 S - T = \text{diag}(0, 0, \varepsilon_3(\lambda_1 - \lambda_2), \varepsilon_4(\lambda_1 - \lambda_2)), \\ T' = \lambda_2 S - T = \text{diag}(\varepsilon_1(\lambda_2 - \lambda_1), \varepsilon_2(\lambda_2 - \lambda_1), 0, 0). \end{cases}$$

We have that  $\det(S' + T') = \varepsilon_1 \varepsilon_2 \varepsilon_3 \varepsilon_4 (\lambda_1 - \lambda_2)^4$  is negative since all the quadrics of the pencil have negative determinant except  $Q_{S'}$  and  $Q_{T'}$ . Thus  $\varepsilon_1 \varepsilon_2$  and  $\varepsilon_3 \varepsilon_4$  have opposite signs. It follows that one of  $S'$  and  $T'$  has inertia  $(2, 0)$  (say  $S'$ ) and the other has inertia  $(1, 1)$ . Thus  $Q_{S'}$  is a straight line, which intersects the real pair of planes  $Q_{T'}$ . Since the equations of  $Q_{S'}$  and  $Q_{T'}$  are  $z^2 + w^2 = 0$  and  $x^2 - y^2 = 0$  respectively, the intersection is made of the two distinct real points of coordinates  $(1, 1, 0, 0)$  and  $(-1, 1, 0, 0)$ .  $\square$

**Remark 11.** Pencils generated by two quadrics of inertia  $(3, 1)$  and having no quadric with rational coefficients of inertia different from  $(3, 1)$  do exist. Consider for instance

$$\begin{aligned} Q_S : 2x^2 - 2xz - 2yw + z^2 + w^2 &= 0, \\ Q_T : 4x^2 + 2y^2 - 2yw + z^2 - 6xz + 3w^2 &= 0. \end{aligned}$$

Then,  $\det(\lambda S - T) = -(\lambda^2 - 5)^2$ .

## 6. Optimality of the parameterizations

We now prove that, among the parameterizations of projective quadrics linear in one of the parameters, the ones of Table 2 have, in the worst case, an optimal number of radicals. In other words, for each type of projective quadric, there are examples of surfaces for which the number of square roots of the parameterizations of Table 2 is required.

More precisely, we prove the following theorem, which will be crucial in asserting the near-optimality of our algorithm for parameterizing quadric intersections. Recall that a parameterization is rational if its coordinate functions are polynomial with rational coefficients.

**Theorem 12.** *In the set of parameterizations linear in one parameter, the parameterizations of Table 2 are worst-case optimal in the degree of the extension of  $\mathbb{Q}$  on which they are defined.*

For a quadric  $Q$  of equation  $ax^2 + by^2 - cz^2 - dw^2 = 0$  ( $a, b, c, d > 0$ ), the parameterization of Table 2 is optimal if  $Q$  has no rational point, which is the case for some quadrics. Knowing a rational point on  $Q$  (if any), we can compute a rational congruence sending  $Q$  into the quadric of equation  $x^2 + y^2 - z^2 - abcd w^2 = 0$ , for which the parameterization of Table 2 is optimal.

For a quadric  $Q$  of equation  $ax^2 + by^2 - cz^2 = 0$  ( $a, b, c > 0$ ), the parameterization of Table 2 is optimal if  $Q$  has no rational point other than its singular point  $(0, 0, 0, 1)$ , which is the case for some quadrics. Knowing such a rational point on  $Q$  (if any), we can compute a rational congruence transformation sending  $Q$  into the quadric of equation  $x^2 + y^2 - z^2 = 0$ , for which the parameterization of Table 2 is rational (and thus optimal).

For the other types of quadrics, the parameterizations of Table 2 are optimal in all cases.

We prove this theorem by splitting it into four more detailed propositions: Proposition 13 for inertia  $(1, 1)$ , Proposition 14 for inertia  $(2, 1)$  and Propositions 15 and 17 for inertia  $(2, 2)$ .

**Proposition 13.** A projective quadric  $Q$  of equation  $ax^2 - by^2 = 0$  ( $a, b > 0$ ) admits a rational parameterization in  $\mathbb{Q}$  if and only if it has a rational point outside the singular line  $x = y = 0$ , or equivalently iff  $ab$  is a square in  $\mathbb{Q}$ , in which case the parameterization of Table 2 is rational.

**Proof.** A point  $(x, y, z, w)$  on  $Q$  not on its singular line  $x = y = 0$  is rational if and only if  $y/x$ ,  $z/x$ , and  $w/x$  are rational. Since  $(y/x)^2 = \frac{ab}{b^2}$  and  $z$  and  $w$  are not constrained, there exists such a rational point if and only if  $ab$  is a square.

If there exists a parameterization which is rational over  $\mathbb{Q}$ , then there exists some rational point outside the line  $x = y = 0$ , showing *a contrario* that there is no rational parameterization if  $ab$  is not a square.

Finally, if  $ab$  is the square of a rational number, the parameterization of Table 2 is rational.  $\square$

**Proposition 14.** A projective quadric  $Q$  of equation  $ax^2 + by^2 - cz^2 = 0$  ( $a, b, c > 0$ ) admits a rational parameterization in  $\mathbb{Q}$  if and only if it contains a rational point other than the singular point  $(0, 0, 0, 1)$ . Knowing such a rational point, we can compute a rational congruence transformation  $P$  sending  $Q$  into the quadric of equation  $x^2 + y^2 - z^2 = 0$  for which the parameterization of Table 2 is rational; lifting this parameterization to the original space by multiplying by matrix  $P$ , we have a rational parameterization of  $Q$ .

On the other hand, there are such quadrics without a rational point and thus without a rational parameterization, for example the quadric of equation  $x^2 + y^2 - 3z^2 = 0$ .

**Proof.** If  $Q$  has a rational point other than  $x = y = z = 0$ , any rational line passing through this point and not included in  $Q$  cuts  $Q$  in another rational point. Compute the rational congruence transformation sending these points onto  $(\pm 1, 1, 0, 0)$ . Applying this transformation to  $Q$  gives a quadric of equation  $x^2 - y^2 + r$ , where  $r$  is a polynomial of degree at most one in  $x$  and  $y$ . Thus Gauss reduction algorithm leads to the form  $x^2 - y^2 + dz^2 = (X^2 + Y^2 - Z^2)/d$  where  $X = (1+d)x/2 + (1-d)y/2$ ,  $Y = dz$  and  $Z = (1-d)x/2 + (1+d)y/2$ . The parameterization of Table 2 applied to equation  $X^2 + Y^2 - Z^2$  is clearly rational. Lifting this parameterization back to the original space, we obtain a rational parameterization of  $Q$ .

Reciprocally, if  $Q$  has no rational point, then  $Q$  does not admit a rational parameterization.

Now, suppose for a contradiction that the quadric with equation  $x^2 + y^2 - 3z^2 = 0$  has a rational point  $(x, y, z, w)$  different from  $(0, 0, 0, 1)$ . By multiplying  $x, y$ , and  $z$  by a common denominator and dividing them by their gcd, we obtain another rational point on the quadric for which  $x, y$  and  $z$  are integers that are not all even. Note that  $x^2$  is equal, modulo 4, to 0 if  $x$  is even and 1 otherwise (indeed, modulo 4,  $0^2 = 0$ ,  $1^2 = 1$ ,  $2^2 = 0$  and  $3^2 = 1$ ). Thus,



$x^2 + y^2 - 3z^2 \equiv x^2 + y^2 + z^2 \pmod{4}$  is equal to the number of odd numbers in  $x, y, z$ , i.e., 1, 2 or 3. Thus  $x^2 + y^2 - 3z^2 \neq 0$ , contradicting the hypothesis that  $(x, y, z, w)$  is on the quadric.  $\square$

**Proposition 15.** *Let  $Q$  be the quadric of equation  $ax^2 + by^2 - cz^2 - dw^2 = 0$  ( $a, b, c, d > 0$ ). Any subfield  $\mathbb{K}$  of  $\mathbb{R}$  in which  $Q$  admits a rational parameterization, linear in one parameter, contains  $\sqrt{abcd}$ .*

**Proof.** Let  $\mathbb{K}$  be a field in which  $Q$  admits a rational parameterization, linear in the parameter  $(u, v) \in \mathbb{P}(\mathbb{K})$ . Fixing the value of the other parameter  $(s, t) \in \mathbb{P}(\mathbb{K})$  defines a rational line  $L$  (in  $\mathbb{K}$ ) contained in  $Q$ .  $L$  cuts any plane (in possibly infinitely many points) in projective space. In particular,  $L$  cuts the plane of equation  $z = 0$ . Since  $L \subseteq Q$ ,  $L$  cuts the conic of equation  $ax^2 + by^2 - dw^2 = z = 0$  in a point  $\mathbf{p} = (x_0, y_0, 0, 1)$ . Moreover,  $\mathbf{p}$  is rational in  $\mathbb{K}$  (i.e.,  $x_0, y_0 \in \mathbb{K}$ ) because it is the intersection of a rational line and the plane  $z = 0$ .

The plane tangent to  $Q$  at  $\mathbf{p}$  has equation  $ax_0x + by_0y - dw = 0$ . We now compute the intersection of  $Q$  with this plane. Since  $ax_0^2 + by_0^2 = d$  and  $a, b, d > 0$ ,  $x_0$  or  $y_0$  is non-zero; assume for instance that  $x_0 \neq 0$ . Squaring the equation of the tangent plane yields  $(ax_0x)^2 = (by_0y - dw)^2$ . By eliminating  $x^2$  between this equation and the equation of  $Q$ , we get  $(by_0y - dw)^2 + ax_0^2(by^2 - cz^2 - dw^2) = 0$  or also  $dw^2(d - ax_0^2) + by^2(ax_0^2 + by_0^2) - 2bdy_0yw - acx_0^2z^2 = 0$ . It follows from  $ax_0^2 + by_0^2 = d$  that  $bd(y - y_0w)^2 - acx_0^2z^2 = 0$  or also  $b^2d^2(y - y_0w)^2 - abcdx_0^2z^2 = 0$ . The intersection of  $Q$  and its tangent plane at  $\mathbf{p}$  contains the line  $L$  which is rational in  $\mathbb{K}$ . Thus, the previous equation can be factored over  $\mathbb{K}$  into two linear terms. Hence,  $\sqrt{abcd}$  belongs to  $\mathbb{K}$ .  $\square$

**Remark 16.**  $abcd$  is the discriminant of the quadric, i.e., the determinant of the associated matrix, so it is invariant by a change of coordinates (up to a square factor). Thus, if  $R$  and  $R'$  are two matrices representing the same quadric in different frames, the fields  $\mathbb{Q}(\sqrt{\det R})$  and  $\mathbb{Q}(\sqrt{\det R'})$  are equal.

**Proposition 17.** *A projective quadric  $Q$  of equation  $ax^2 + by^2 - cz^2 - dw^2 = 0$  ( $a, b, c, d > 0$ ) admits a rational parameterization in  $\mathbb{Q}(\sqrt{abcd})$  if and only if it contains a rational point. Knowing such a rational point, we can compute a rational congruence transformation  $P$  sending  $Q$  into the quadric of equation  $x^2 + y^2 - z^2 - abcdw^2 = 0$  for which the parameterization of Table 2 is rational over  $\mathbb{Q}(\sqrt{abcd})$ ; lifting this parameterization to the original space by multiplying by matrix  $P$ , we have a rational parameterization of  $Q$  over  $\mathbb{Q}(\sqrt{abcd})$ .*

*On the other hand, there are such quadrics with no rational point and thus without a rational parameterization in  $\mathbb{Q}(\sqrt{abcd})$ , for example the quadric of equation  $x^2 + y^2 - 3z^2 - 11w^2 = 0$ .*

**Proof.** If  $Q$  admits a rational parameterization in  $\mathbb{Q}(\sqrt{abcd})$ , then it has infinitely many rational points over this field. If  $Q$  has a point  $(x, y, z, w)$  that is rational over  $\mathbb{Q}(\sqrt{abcd})$ , but not rational over  $\mathbb{Q}$ , we may suppose without loss of generality that  $x = 1$ , by permuting the variables in order that  $x \neq 0$  and then by dividing all coordinates by  $x$ . The conjugate point  $(1, y', z', w')$  over  $\mathbb{Q}(\sqrt{abcd})$  belongs also to  $Q$ . The line passing through these points is rational (over  $\mathbb{Q}$ ), as is the point  $(1, (y + y')/2, (z + z')/2, (w + w')/2)$ . Choose a rational frame transformation such that this line becomes the line  $z = w = 0$  and this point becomes  $(1, 0, 0, 0)$ . In this new frame the coordinates of the conjugate points are  $(1, \pm e\sqrt{abcd}, 0, 0)$  for some rational number  $e$ , and the equation of  $Q$  is  $abcd e^2 x^2 - y^2 + r = 0$  where  $r$  is a polynomial of degree at most 1 in  $x$  and  $y$ . Gauss reduction thus provides an equation of the form  $abcd e^2 x^2 - y^2 + f z^2 - g w^2 = 0$ , and

the invariance of the determinant (Remark 16) shows that  $fg$  is the square of a rational number  $h$ . Thus  $(0, 0, g, h)$  is a rational point of  $Q$  over  $\mathbb{Q}$ .

Now, if  $Q$  has a rational point over  $\mathbb{Q}$ , one may get another rational point as the intersection of the quadric and any line passing through the point and not tangent to the quadric. One can compute a rational congruence transformation such that these points become  $(1, \pm 1, 0, 0)$ . In this new frame the equation of  $Q$  has the form  $x^2 - y^2 - r$  where  $r$  is a polynomial of degree at most 1 in  $x$  and  $y$ . Gauss reduction provides thus an equation of the form  $x^2 - y^2 + ez^2 - fw^2 = (X^2 + Y^2 - Z^2 - efw^2)/e$ , with  $X = (1 + e)x/2 + (1 - e)y/2$ ,  $Y = ez$  and  $Z = (1 - e)x/2 + (1 + e)y/2$ . By the invariance of the determinant,  $ef = g^2abcd$  for some rational number  $g$ . Putting  $W = gw$ , we get the equation  $X^2 + Y^2 - Z^2 - abcdW^2 = 0$  for  $Q$ , and the parameterization of Table 2 is rational over  $\mathbb{Q}(\sqrt{abcd})$ .

It follows from this proof that, if a quadric of inertia  $(2, 2)$  has a rational point, it has a parameterization in  $\mathbb{Q}(\sqrt{abcd})$ , which is linear in one of the parameters. Conversely, for proving that such a parameterization does not always exist, it suffices to prove that there are quadrics of inertia  $(2, 2)$  having no rational point over  $\mathbb{Q}$ . Let us consider the quadric of equation  $x^2 + y^2 - 3z^2 - 11w^2 = 0$ . If it has a rational point  $(x, y, z, w)$ , then by multiplying  $x, y, z$  and  $w$  by some common denominator and by dividing them by their gcd, we may suppose that  $x, y, z$  and  $w$  are integers which are not all even. As in the proof of Proposition 14,  $x^2 + y^2 - 3z^2 - 11w^2$  is equal modulo 4 to the number of odd numbers in  $x, y, z, w$ . Thus all of them are odd. It is straightforward that the square of an odd number is equal to 1 modulo 8. It follows that  $x^2 + y^2 - 3z^2 - 11w^2$  is equal to 4 modulo 8, a contradiction with  $x^2 + y^2 - 3z^2 - 11w^2 = 0$ .  $\square$

## 7. Near-optimality in the smooth quartic case

In this section, we prove that the algorithm given in Section 4 outputs, in the generic (smooth quartic) case, a parameterization of the intersection that is optimal in the number of radicals up to one possibly unnecessary square root. We also show that deciding whether this extra square root can be avoided or not is hard. Moreover, we give examples where the extra square root cannot be eliminated, for the three possible morphologies of a real smooth quartic.

### 7.1. Algebraic preliminaries

First recall that, as is well known from the classification of quadric pencils by invariant factors (see Bromwich (1906) or Part II), the intersection of two quadrics is a smooth quartic exactly when  $\mathcal{D}(\lambda, \mu) = \det R(\lambda, \mu)$  has no multiple root.

Now, recall that a curve admits a parameterization with polynomial functions, in projective space, if and only if it has zero genus (Perrin, 1995). A straightforward study of the genus of the intersection curve of two algebraic surfaces of degree 2 gives the following result (whose proof is omitted for lack of space; see Dupont et al. (2005a) for details).

**Proposition 18.** *The intersection of two quadrics admits a parameterization with polynomial functions, in projective space, if and only if the intersection is not a smooth quartic.*

Finally, consider the quadric  $Q_R$  and the equation  $\Omega$  obtained in Steps 2 and 3 of our algorithm. Let  $C_\Omega$  be the curve zero-set of  $\Omega$ . Depending on the projective type of  $Q_R$ ,  $C_\Omega$  is a bidegree  $(2, 2)$  curve in  $\mathbb{P}^1(\mathbb{R}) \times \mathbb{P}^1(\mathbb{R})$  (inertia  $(2, 2)$  or  $(2, 0)$ ), a quartic curve in  $\mathbb{P}^{*2}(\mathbb{R})$  (inertia  $(2, 1)$ ) or a quartic curve in  $\mathbb{P}^2(\mathbb{R})$  (inertia  $(1, 1)$  or  $(1, 0)$ ). Let  $C$  denote the curve of intersection of the two given quadrics  $Q_S$  and  $Q_T$ . We have the following classical result.

**Fact 19.** *The parameterization of  $Q_R$  defines an isomorphism between  $C$  and  $C_\Omega$ . In particular,  $C$  and  $C_\Omega$  have the same genus, irreducibility, and factorization.*

## 7.2. Optimality

Assume the intersection is a real non-singular quartic. Then  $\mathcal{D}(\lambda, \mu)$  has no multiple root, and thus  $Q_R$  is necessarily a quadric of inertia  $(2, 2)$ . After Step 2 of our algorithm,  $Q_R$  has a parameterization in  $\mathbb{Q}(\sqrt{\delta})$  that is bilinear in  $\xi = (u, v)$  and  $\tau = (s, t)$ . After resolution of  $\Omega$  and substitution in  $Q_R$ , we get a parameterization in  $\mathbb{Q}(\sqrt{\delta})[\xi, \sqrt{\Delta}]$  with  $\Delta \in \mathbb{Q}(\sqrt{\delta})[\xi]$  of degree 4.

Proposition 18 implies that it cannot be parameterized by polynomial functions, so  $\sqrt{\Delta}$  cannot be avoided. The question now is: can  $\sqrt{\delta}$  be avoided? The answer is twofold:

- (1) deciding whether  $\sqrt{\delta}$  can be avoided amounts, in the general case, to finding a rational point on a surface of degree 8,
- (2) there are cases in which  $\sqrt{\delta}$  cannot be avoided.

We prove these results in the following two sections.

### 7.2.1. Optimality test

We first prove two preliminary lemmas.

**Lemma 20.** *If the intersection of two given quadrics has a parameterization involving only one square root (i.e., a parameterization in  $\mathbb{Q}(\sqrt{\delta})[\xi]$  or in  $\mathbb{Q}[\xi, \sqrt{\Delta}]$  with  $\Delta \in \mathbb{Q}[\xi]$ ), there exists a quadric with rational coefficients in the pencil that contains a rational line.*

**Proof.** In what follows, call *degree* of a point the degree of the smallest field extension of  $\mathbb{Q}$  containing the coordinates of this point.

If the parameterization of the intersection involves only one square root, the intersection contains infinitely many points of degree at most 2, one for any rational value of the parameters. Now we have several cases according to the type of points contained in the intersection.

If the intersection contains a point  $\mathbf{p}$  of degree 2, it contains also its algebraic conjugate  $\bar{\mathbf{p}}$ . The line passing through  $\mathbf{p}$  and  $\bar{\mathbf{p}}$  is invariant by conjugation, so is rational. Let  $\mathbf{q}$  be a rational point on this line. The quadric of the pencil passing through  $\mathbf{q}$  is rational (Lemma 7). Since it also contains  $\mathbf{p}$  and  $\bar{\mathbf{p}}$  (the intersection is contained in any quadric of the pencil), this quadric cuts the line in at least 3 points and thus contains it.

If the intersection contains a regular rational point (i.e., a rational point which is not a singular point of the intersection), then the line tangent to the intersection at this point is rational, and is tangent to any quadric of the pencil. The quadric of the pencil passing through a rational point of this tangent line contains the contact point; thus it contains the tangent line.

If the intersection contains a singular rational point  $\mathbf{p}$ , then all the quadrics of the pencil which are not singular at  $\mathbf{p}$  have the same tangent plane at  $\mathbf{p}$ . Consider the quadric of the pencil passing through a rational point  $\mathbf{q}$  of this tangent plane (or through any rational point, if none of the quadrics is regular at  $\mathbf{p}$ ). As above, this quadric contains the rational line  $\mathbf{pq}$ .  $\square$

**Lemma 21.** *If a quadric contains a rational line, its discriminant is a square in  $\mathbb{Q}$ .*

**Proof.** If the quadric has rank less than 4, its discriminant is zero. We may thus suppose that the discriminant is not 0 and that the equation of the quadric is  $ax^2 + by^2 - cz^2 - dw^2 = 0$ . Since this quadric contains a rational line  $L$ , and thus a rational point, there is a rational change of frames such that the quadric has equation  $x^2 + y^2 - z^2 - abcdw^2 = 0$ , by Proposition 17. Cut the quadric by the plane  $z = 0$ . Since the intersection of the plane  $z = 0$  and the rational line  $L$  is a rational point, the cone  $x^2 + y^2 - abcdw^2 = 0$  contains a rational point outside its singular locus. By Proposition 14, there is a rational congruence transformation  $P$  sending this cone into the cone of equation  $x^2 + y^2 - w^2 = 0$ . These two cones can be seen as conics in

$\mathbb{P}^2(\mathbb{Q})$  and  $P$  can be seen as a rational transformation in  $\mathbb{P}^2(\mathbb{Q})$ . The discriminant  $-abcd$  of the conic  $x^2 + y^2 - abcd w^2 = 0$  is thus equal to  $(\det P)^2$  times  $-1$ , the discriminant of the conic  $x^2 + y^2 - w^2 = 0$ . Hence  $abcd$  is a square in  $\mathbb{Q}$ .  $\square$

From these technical results and the results of Section 6, we obtain the following equivalence.

**Proposition 22.** *When the intersection is a non-singular quartic, it can be parameterized in  $\mathbb{Q}[\xi, \sqrt{\Delta}]$  with  $\Delta \in \mathbb{Q}[\xi]$  if and only if there exists a quadric of the pencil with rational coefficients having a non-singular rational point and whose discriminant is a square in  $\mathbb{Q}$ .*

**Proof.** If  $\sqrt{\delta}$  can be avoided, there exists, by Lemma 20, a quadric of the pencil with rational coefficients containing a rational line. By Lemma 21, the discriminant of this quadric is thus a square in  $\mathbb{Q}$ . Moreover, since the quadrics of the pencil have rank at least three, the rational line is not the singular line of some quadric (see Table 1) and thus contains a non-singular point.

Conversely, if there exists a quadric of the pencil with rational coefficients having a rational non-singular point and whose discriminant is a square, then it has a rational parameterization by Theorem 12 and Proposition 13 and thus  $\sqrt{\delta}$  can be avoided.  $\square$

Mirroring Proposition 22, we can devise a general test for deciding, in the smooth quartic case, whether the square root  $\sqrt{\delta}$  can be avoided or not. Consider the equation

$$\sigma^2 = \det((\mathbf{x}^T T \mathbf{x}) S - (\mathbf{x}^T S \mathbf{x}) T), \quad \mathbf{x} = (x, y, z, c)^T, \quad (4)$$

where  $c \in \mathbb{Q}$  is some constant such that plane  $w = c \in \mathbb{Q}$  contains the vertex of no cone (inertia  $(2, 1)$ ) of the pencil. Note that (4) has degree 8 in the worst case.

**Theorem 23.** *When the intersection is a non-singular quartic, it has a parameterization in  $\mathbb{Q}[\xi, \sqrt{\Delta}]$ , with  $\Delta \in \mathbb{Q}[\xi]$ , if and only if Equation (4) has a rational solution.*

**Proof.** Suppose first that (4) has a rational solution  $(x_0, y_0, z_0, \sigma_0)$  and let  $\mathbf{x}_0 = (x_0, y_0, z_0, c)^T$  and  $(\lambda_0, \mu_0) = (\mathbf{x}_0^T T \mathbf{x}_0, -\mathbf{x}_0^T S \mathbf{x}_0)$ . The quadric  $Q = \lambda_0 Q_S + \mu_0 Q_T$  of the pencil has rational coefficients, contains the rational point  $\mathbf{x}_0 = (x_0, y_0, z_0, c)^T$  and its discriminant is a square, equal to  $\sigma_0^2$ . Moreover, if  $Q$  has inertia  $(2, 1)$ , then  $\mathbf{x}_0$  is not its apex because, by assumption, the plane  $w = c$  contains the vertex of no cone of the pencil. It then follows from Theorem 12 that our algorithm produces a rational parameterization of  $Q$ , and thus a parameterization of the curve of intersection with rational coefficients.

Conversely, if the curve of intersection can be parameterized in  $\mathbb{Q}[\xi, \sqrt{\Delta}]$  (with  $\Delta \in \mathbb{Q}[\xi]$ ) there exists a quadric  $Q$  of the pencil with rational coefficients containing a rational line and whose discriminant is a square in  $\mathbb{Q}$ , by Lemmas 20 and 21. The quadric  $Q$  contains a line and thus intersects any plane. Consider any plane  $w = c \in \mathbb{Q}$ . Since the intersection of a rational line with a rational plane is (or contains) a rational point, the intersection of  $Q$  with plane  $w = c$  contains a rational point  $\mathbf{x} = (x, y, z, c)^T$ . The quadric  $Q$  of the pencil containing that point has associated matrix  $(\mathbf{x}^T T \mathbf{x}) S - (\mathbf{x}^T S \mathbf{x}) T$  and its determinant is a square. Hence Equation (4) admits a rational solution.  $\square$

Unfortunately, the question underlying the above optimality test is not within the range of problems that can currently be answered by algebraic number theory. Indeed, it is not known whether the general problem of determining if an algebraic set contains rational points (known, over  $\mathbb{Z}$ , as Hilbert's 10th problem) is decidable (Poonen, 2001). It is known that this problem is decidable for genus zero curves and, under certain conditions, for genus one curves, but, for varieties of dimension two or more, very little has been proved.

The above theorem thus implies that computing parameterizations of the intersections of two arbitrary quadrics that are always optimal in the number of radicals is currently out of reach.

However, in some particular cases, we can use the following corollary to Theorem 23 to prove that  $\sqrt{\delta}$  cannot be avoided.

**Corollary 24.** *If the intersection  $C$  of  $Q_S$  and  $Q_T$  is a non-singular quartic and the rational hyperelliptic quartic curve  $\sigma^2 = \det(S + \lambda T)$  has no rational point, then the parameterization of  $C$  in  $\mathbb{Q}(\sqrt{\delta})[\xi, \sqrt{\Delta}]$  with  $\Delta \in \mathbb{Q}(\sqrt{\delta})[\xi]$  is optimal in the number of radicals.*

We use this corollary in the next section.

### 7.2.2. Worst-case examples

First, recall that Tu et al. (2002) proved that a real smooth quartic can be of three different morphologies according to the number of real roots of the characteristic polynomial. To state their result, call *affinely finite* a set of points  $L$  of  $\mathbb{P}^3(\mathbb{R})$  if there exists a projective plane  $P$  such that  $P \cap L = \emptyset$ ; call  $L$  *affinely infinite* otherwise.

**Theorem 25** (Tu et al. (2002)). *Let  $Q_S$  and  $Q_T$  be two quadrics intersecting in  $\mathbb{C}$  in a smooth quartic  $C$ .  $C$  can be classified as follows:*

- *If  $\mathcal{D}(\lambda, \mu)$  has four real roots, then  $C$  has either two real affinely finite connected components or is empty.*
- *If  $\mathcal{D}(\lambda, \mu)$  has two real roots and two complex roots, then  $C$  has one real affinely finite connected component.*
- *If  $\mathcal{D}(\lambda, \mu)$  has four complex roots, then  $C$  has two real affinely infinite connected components.*

We prove that there are pairs of quadrics, intersecting in each of the different types of real smooth quartic, such that the parameterization of their intersection requires a square root in the coefficients (i.e., it cannot be parameterized with functions in  $\mathbb{Q}[\xi, \sqrt{\Delta}]$  with  $\Delta \in \mathbb{Q}[\xi]$ ).

**Proposition 26.** *The following pair of quadrics intersect in a smooth quartic with two real affinely finite components and a parameterization of their intersection in  $\mathbb{Q}(\sqrt{\delta})[\xi, \sqrt{\Delta}]$ , with  $\Delta \in \mathbb{Q}(\sqrt{\delta})[\xi]$ , is optimal in the number of radicals.*

$$\begin{aligned} Q_S : 5y^2 + 6xy + 2z^2 - w^2 + 6zw &= 0, \\ Q_T : 3x^2 + y^2 - z^2 - w^2 &= 0. \end{aligned}$$

**Proof.** The characteristic polynomial of the pencil of  $Q_S$  and  $Q_T$  has four simple real roots and we find a quadric of inertia  $(2, 2)$  in each of the intervals on which it is positive (in fact  $Q_S$  and  $Q_T$  are representative quadrics in these intervals). Thus, by Theorem 25, the intersection of  $Q_S$  and  $Q_T$  is a real smooth quartic with two affinely finite components.

We now apply Corollary 24 and show that the square root  $\sqrt{\delta}$  is necessary to parameterize the curve of intersection. We have  $\sigma^2 = \det(S + \lambda T) = 3\lambda^4 + 12\lambda^3 - 57\lambda^2 - 156\lambda + 99$  and thus  $\sigma^2 \equiv 3\lambda^4 + 7\lambda^2 + 3 + 4(\lambda^3 + \lambda) \pmod{8}$  which, as we prove below, has no rational solution and thus  $\sqrt{\delta}$  cannot be avoided.

Assume for a contradiction that  $(\sigma, \lambda)$  is a rational solution to the above equation. We can write  $\lambda = X/Z$  and  $\sigma = Y/Z^2$ , where  $X, Y, Z$  are integers,  $Z \neq 0$  and  $X, Z$  are mutually prime (and so are not both even). The above equation becomes  $Y^2 \equiv 3X^4 + 7X^2Z^2 + 3Z^4 + 4XZ(X^2 + Z^2) \pmod{8}$ . If both  $X$  and  $Z$  are odd,  $X^2$  and  $Z^2$  are equal to 1 (mod 8). Thus  $4(X^2 + Z^2) \equiv 0 \pmod{8}$  and  $Y^2 \equiv 3 + 7 + 3 \equiv 5 \pmod{8}$ , contradicting the fact that  $Y^2 \equiv 0, 1$  or  $4 \pmod{8}$ , for all integers  $Y$ .

If  $X$  and  $Z$  are not both odd, one of  $X^2$  and  $Z^2$  is equal to 0 (mod 4) and the other is equal to 1 (mod 4) since  $X$  and  $Z$  are not both even. The reduction of the equation modulo 4 thus gives  $Y^2 \equiv 3 \pmod{4}$ , contradicting the fact that  $Y^2 \equiv 0$  or 1 (mod 4), for all integers  $Y$ .  $\square$

We now present the worst-case examples for the two other types of real smooth quartic. The proofs are similar as above and are omitted here for lack of space (see Dupont et al. (2005a) for details).

**Proposition 27.** *The following two pairs of quadrics intersect in a smooth quartic with, respectively, one real affinely finite component and two real affinely infinite components and, in both cases, a parameterization of their intersection in  $\mathbb{Q}(\sqrt{\delta})[\xi, \sqrt{\Delta}]$ , with  $\Delta \in \mathbb{Q}(\sqrt{\delta})[\xi]$ , is optimal in the number of radicals:*

$$\begin{cases} 2x^2 - 2xy + 2xz - 2xw + y^2 + 4yz - 4yw + 2z^2 - 4zw = 0 \\ x^2 - 2xy + 4xz + 4xw - y^2 + 2yz + 4yw + 4zw - 2w^2 = 0, \end{cases} \quad \begin{cases} x^2 - 2y^2 + 4zw = 0 \\ xy + z^2 + 2zw - w^2 = 0. \end{cases}$$

## 8. Conclusion

The algorithm introduced in Section 4 already represents a substantial improvement over Levin's pencil method and its subsequent refinements. Indeed, we proved that, when the intersection is a smooth quartic (the generic case) our algorithm computes a parameterization which is optimal in the number of radicals involved up to one possibly unnecessary square root. We also showed that deciding whether this extra square root can be avoided is, in general, out of reach and that the parameterization is optimal in some cases. Moreover, for the first time, our algorithms enable to compute in practice an exact form of the parameterization of two arbitrary quadrics with rational coefficients.

It is also interesting to notice that the parameterizations computed by our algorithm can be fairly simple even though they are exact. In particular they are often simpler than approximated parameterizations computed by other methods. Lazard et al. (2006) study the size of the coefficients of the exact parameterizations computed by our algorithm and compare these parameterizations with approximate solutions, on some examples presented by Wang et al. (2002).

Even though this first part of our paper has focused on the generic, smooth quartic case, this algorithm can also be used when the intersection is singular. Assume the intermediate quadric  $Q_R$  has inertia  $(2, 2)$ . When the intersection consists of a cubic and a line, equation  $\Omega$  in the parameters has a cubic factor of bidegree  $(2, 1)$  and a linear factor of bidegree  $(0, 1)$ , in view of Fact 19. Similarly, when the intersection consists of a conic and two lines,  $\Omega$  factors in a quadratic factor of bidegree  $(1, 1)$  and two linear factors of bidegree  $(1, 0)$  and  $(0, 1)$ . Thus, assuming we know how to factor  $\Omega$ , we have a way to parameterize each component of the intersection.

Unfortunately, this does not always lead to a parameterization of the intersection that involves only polynomial functions. When the intersection  $C$  is a singular quartic,  $\Omega$  is irreducible since  $C$  itself is, and solving  $\Omega$  for  $s$  in terms of  $u$  (or the converse) introduces the square root of a polynomial, while we know that there exists a parameterization of  $C$  with polynomial functions (the genus of the curve is 0).

Always computing parameterizations with polynomial functions when such parameterizations are known to exist will necessitate rethinking the basic philosophy of our algorithm. Essentially, while the idea of the generic algorithm is to use the rational quadric with *largest* rank as intermediate quadric for parameterizing the intersection, the refined method will instead use the rational quadric with *smallest* rank as intermediate quadric.

Proceeding that way will have the double benefit of always computing the simplest possible parameterizations and much better controlling the size of their coefficients. The price we pay is a multiplicity of cases and the need to write dedicated software for each (real projective) type of intersection. This is the subject of Parts II and III of this paper.

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