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## Design of fault-tolerant on-board network

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## $\mathbf{N}^{\circ} 5866$

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Thème COM $\qquad$

# Design of fault-tolerant on-board network 

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#### Abstract

An $(n, k, r)$-network is a triple $N=(G, i n$, out $)$ where $G=(V, E)$ is a graph and in, out are integral functions defined on $V$ called input and output functions, such that for any $v \in V$, $\operatorname{in}(v)+\operatorname{out}(v)+\operatorname{deg}(v) \leq 2 r$ with $\operatorname{deg}(v)$ the degree of $v$ in the graph $G$. The total number of inputs is $\operatorname{in}(V)=\sum_{v \in V} \operatorname{in}(v)=n$, and the total number of outputs is $\operatorname{out}(V)=\sum_{v \in V} \operatorname{out}(v)=n+k$.

An $(n, k, r)$-network is valid, if for any faulty output function out (that is such that out $(v) \leq$ $\operatorname{out}(v)$ for any $v \in V$, and out $(V)=n$ ), there are $n$ edge-disjoint paths in $G$ such that each vertex $v \in V$ is the initial vertex of $\operatorname{in}(v)$ paths and the terminal vertex of out $(v)$ paths.

We investigate the design problem of determining the minimum number of vertices in a valid $(n, k, r)$-network and of constructing minimum $(n, k, r)$-networks, or at least valid $(n, k, r)$-networks with a number of vertices close to the optimal value.

We first show $\frac{3 n+k}{2 r-2+\frac{3 r^{2}}{k}} \leq \mathcal{N}(n, k, r) \leq\left\lceil\frac{k+2}{2 r-2}\right\rceil \frac{n}{2}$. We prove a better upper bound when $r \geq k / 2: \mathcal{N}(n, k, r) \leq \frac{r-2+k / 2}{r^{2}-2 r+k / 2} n+O(1)$. Finally, we give the exact value of $\mathcal{N}(n, k, r)$ when $k \leq 6$ and exhibit the corresponding networks.


Key-words: network design, on-board network, fault tolerance, vulnerability

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## Conception de réseaux embarqués tolérant aux pannes

Résumé : Un $(n, k, r)$-réseau est un triplet $N=(G$, in, out $)$ où $G=(V, E)$ est un graphe et $i n$, out des fonctions entières sur $V$ appelées fonctions d'entrée et de sortie, telle que pour tout $v \in V$, $\operatorname{in}(v)+\operatorname{out}(v)+\operatorname{deg}(v) \leq 2 r$ avec $\operatorname{deg}(v)$ le degré de $v$ dans le graphe $G$. Le nombre total d'entrées est $\operatorname{in}(V)=\sum_{v \in V} \operatorname{in}(v)=n$, et le nombre total de sorties est $\operatorname{out}(V)=\sum_{v \in V}$ out $(v)=n+k$.

Un $(n, k, r)$-réseau est valide, si pour toute fonction de sortie avec pannes out' (c'est à dire telle que $\operatorname{out}^{\prime}(v) \leq \operatorname{out}(v)$ pour tout $v \in V$, et $o u t^{\prime}(V)=n$ ), il existe $n$ chemins arête-disjoints dans $G$ tels que chaque sommet $v \in V$ est le sommet initial de $i n(v)$ chemins et le sommet terminal de $o u t^{\prime}(v)$ chemins.

Nous cherchons à déterminer le nombre minimum de sommets d'un $(n, k, r)$-réseau valide et à construire des $(n, k, r)$-réseaux valides avec un nombre de sommets optimal ou proche de l'optimal.

Nous montrons tout d'abord $\frac{3 n+k}{2 r-2+\frac{3 r^{2}}{k}} \leq \mathcal{N}(n, k, r) \leq\left\lceil\frac{k+2}{2 r-2}\right\rceil \frac{n}{2}$. Nous donnons ensuite une meilleure borne supérieure lorsque $r \geq k / 2: \mathcal{N}(n, k, r) \leq \frac{r-2+k / 2}{r^{2}-2 r+k / 2} n+O(1)$. Enfin, nous donnons la valeur exacte de $\mathcal{N}(n, k, r)$ lorsque $k \leq 6$ et présentons les réseaux correspondant.
Mots-clés : conception de réseaux, réseaux embarqués, tolérance aux pannes, vulnérabilité

## 1 Introduction

In this paper, we study networks having the following informal fault tolerance property: the network interconnects a set of input ports (where signals enter the network) with a set of output ports (where signals leave the network) and for any set of at most $k$ output port failures, there exists a set of edge-disjoint paths connecting the input ports to the non faulty output ports. The network is built with degree $2 r$ switches, links are bidirectional (undirected graph) and the paths connecting inputs to outputs are link-disjoint.

This problem was originally motivated by a design problem raised by Alcatel Space Industries : For this application, the interconnection network is embarqued on a satellite and connects the satellite up links to the satellite down links. Before being transmitted downward, the signals must be amplified, so the output ports are indeed connected to amplifiers. Along the time, amplifiers are subject to failure, and the designer must be able to guarantee that the network will tolerate some given number $k$ of amplifiers failures (which correspond to a high enough probability of survival during the satellite life). Since the satellite cannot be maintained, this is done by adding redundant amplifiers. Because each switching device induces a high over-cost, the aim is to minimize the number of switches.

The problem was initially studied in [BDD02] (degree 4 switches, $k \leq 4$ failures), and then in [BPT01] (degree 4 switches, up to 12 failures), some variation of the problem in which there are two kinds of inputs is considered in [BHT06, Hav06]. In this paper, we solve the problem for switches with a general (even) number of ports.

Generalizing the definitions $(n, k)$-networks introduced in [BDD02] and [BPT01], we define $(n, k, r)$-networks as follows : An $(n, k, r)$-network is a triple $N=(G$, in, out $)$ where $G=(V, E)$ is a graph and in, out are integral functions defined on $V$ called input and output functions, such that for any $v \in V$, its number of ports $\operatorname{por}(v)$ defined by $\operatorname{por}(v)=\operatorname{in}(v)+\operatorname{out}(v)+\operatorname{deg}(v)$ is at most $2 r$. ( $\operatorname{deg}(v)$ denotes the degree of $v$ in the graph $G$, that is the number of edges of $G$ incident to $v$.) An $i \mid o$-switch or switch of type $i \mid o$ is a switch $s$ connected to $i$ inputs and $o$ outputs, that is $i n(s)=i$ and $\operatorname{out}(s)=o$. The total number of inputs is $\operatorname{in}(V)=\sum_{v \in V} i n(v)=n$, and the total number of outputs is $\operatorname{out}(V)=\sum_{v \in V} \operatorname{out}(v)=n+k$.

Any integral function out defined on $V$ such that $o u t^{\prime}(v) \leq \operatorname{out}(v)$ for any $v \in V$, and $o u t^{\prime}(V)=n$ is called a faulty output function. Note that out $(v)-o u t^{\prime}(v)$ is the number of faults at vertex $v$. An $(n, k, r)$-network is valid, if for any faulty output function out', there are $n$ edgedisjoint paths in $G$ such that each vertex $v \in V$ is the initial vertex of $\operatorname{in}(v)$ paths and the terminal vertex of out' $(v)$ paths.

Let us denote the minimum number of vertices in a valid $(n, k, r)$-network by $\mathcal{N}(n, k, r)$. A valid $(n, k, r)$-network with exactly $\mathcal{N}(n, k, r)$ vertices is called a minimum $(n, k, r)$-network.

The design problem consists of determining $\mathcal{N}(n, k, r)$ and of constructing minimum $(n, k, r)$ networks, or at least valid $(n, k, r)$-networks with a number of vertices close to the optimal value.

We present now an example: We would like to construct valid (4, 4, 2)-networks. A first solution is depicted in Figure 1. The network $N_{1}$ is composed of eight switches $u_{i}, v_{i}$ for $1 \leq i \leq 4$. The associated graph $G=(V, E)$ is the grid $4 \times 2$. The input and ouput functions are defined as follows:

So, $\operatorname{in}\left(v_{i}\right)=1, \operatorname{in}\left(u_{i}\right)=0$ for $1 \leq i \leq 4$ and $\operatorname{out}\left(v_{2}\right)=\operatorname{out}\left(v_{3}\right)=0, \operatorname{out}\left(v_{1}\right)=\operatorname{out}\left(u_{2}\right)=$ $\operatorname{out}\left(u_{3}\right)=\operatorname{out}\left(v_{4}\right)=1, \operatorname{out}\left(u_{1}\right)=\operatorname{out}\left(u_{4}\right)=2$.

For any faulty ouput function out ${ }^{\prime}$, it is easy to see that there are 4 edge-disjoint paths in $G$ such that each vertex $v \in V$ is the initial vertex of $\operatorname{in}(v)$ paths and the terminal vertex of out $(v)$ paths. This implies that this network is valid. It follows that $\mathcal{N}(4,4,2) \leq 8$. But this solution is not best possible. The network depicted in Figure 2 is valid and contains only five switches. Moreover we can prove that $\mathcal{N}(4,4,2)=5$.

In this paper, we first give some general lower and upper bounds of $\mathcal{N}(n, k, r)$. We then give some exact bounds when $k \leq 6$ and some minimum networks. We prove the following bounds:

1. For any $n, k, r, \mathcal{N}(n, k, r) \leq\left\lceil\frac{k+2}{2 r-2}\right\rceil \frac{n}{2}$.
2. For $k \geq 3$ and $r \geq k / 2, \mathcal{N}(n, k, r) \leq \frac{r-2+k / 2}{r^{2}-2 r+k / 2} n+O(1)$.
3. For any $n, k, r, \frac{3 n+k}{2 r-2+\frac{3 r^{2}}{k}} \leq \mathcal{N}(n, k, r)$.
4. For $k \in\{1,2\}$ and $r \geq 1, \mathcal{N}(n, k, r)=\left\lceil\frac{n}{r-1}\right\rceil$.
5. For $k \in\{3,4\}$ and $r \geq 3, \mathcal{N}(n, k, r)=\frac{r}{r^{2}-2 r+2} n+\Theta(1)$.
6. For $k \in\{5,6\}$ and $r \geq 7, \mathcal{N}(n, k, r)=\frac{r+1}{r^{2}-2 r+3} n+\Theta(1)$.

## 2 Preliminaries

If $k \leq k^{\prime}$, we can easily obtain an $(n, k, r)$-network from an $\left(n, k^{\prime}, r\right)$-network by removing an arbitrary set of $k^{\prime}-k$ outputs.

Proposition 1 If $k \leq k^{\prime}$ then $\mathcal{N}(n, k, r) \leq \mathcal{N}\left(n, k^{\prime}, r\right)$.
Before we proceed with the lower and upper bounds on $\mathcal{N}(n, k, r)$, we make an observation on the structure of $(n, k, r)$-networks. Free to add an edge between two unused ports as long as there are two of them, we can assume without loss of generality that in an $(n, k, r)$-network all switches have $2 r$ ports, with an exception of one having $2 r-1$ ports, if $k$ is odd. Let $\epsilon(k)=1$ if $k$ is odd and 0 otherwise.

Proposition 2 There is a minimum ( $n, k, r$ )-network with $\epsilon(k)$ switch with $2 r-1$ ports and all the others with $2 r$ ports.

A switch with $2 r-1$ ports is called defective. In the remainder of this paper, we assume that all the switches of an $(n, k, r)$-network have $2 r$ ports except has $\epsilon(k)$ which are defective.

### 2.1 Cut criterion

All the results that will be proved in this paper rely on Lemma 3, which gives us a necessary and sufficient condition, called the cut criterion, for an $(n, k, r)$-network to be valid. It extends a result of [BPT01] for $r=2$ and easily follows from the Ford-Fulkerson Theorem [FF62](Theorem 1.1 p.38).

Let $W$ be a set of switches of an $(n, k, r)$-network. $\operatorname{in}(W)$ and $\operatorname{out}(W)$ are its number of inputs and outputs respectively: $\operatorname{in}(W)=\sum_{v \in W} \operatorname{in}(v)$ and $\operatorname{out}(W)=\sum_{v \in W}$ out $(v) . \Gamma(W)$ denotes the edges with one endvertex in $W$ and the other in $\bar{W}=V \backslash W$ and $\operatorname{deg}(W)=|\Gamma(W)|$.
The excess of $W$, denoted $\operatorname{exc}(W)$, is defined by $\operatorname{exc}(W)=\operatorname{deg}(W)-\operatorname{in}(W)+\operatorname{out}(W)-$ $\min \{o u t(W), k\}$.

Lemma 3 (Cut criterion) An $(n, k, r)$-network is valid if and only if for every set of vertices $W \subset$ $V$ has non-negative excess, that is $\operatorname{deg}(W)-\operatorname{in}(W)+\operatorname{out}(W)-\min \{\operatorname{out}(W), k\} \geq 0$.

The proof of this lemma is identical to the proof of [BPT01]. We give it here for sake of completeness.
Proof Let out' be a fixed faulty output function, then a supply/demand flow problem is defined by an integral (not necessarily positive) demand at each vertex $v$. In our case, the demand of a vertex $v \in V$ is $\operatorname{demand}(v)=o u t^{\prime}(v)-i n(v)$. (Note that $\operatorname{demand}(V)=0$, which is always the case for supply/demand problems.) A variant of the Ford-Fulkerson Theorem states that the supply/demand problem is feasible if and only if

$$
\forall W \subset V: \quad \operatorname{deg}(W) \geq \operatorname{demand}(\bar{W})=\text { out }^{\prime}(\bar{W})-i n(\bar{W})=i n(W)-\text { out }^{\prime}(W)
$$

It follows that the $(n, k, r)$ network is valid if and only if

$$
\begin{equation*}
\forall W \subset V: \quad \operatorname{deg}(W) \geq i n(W)-\min \left\{o u t^{\prime}(W) \mid \text { out }^{\prime} \text { faulty output function }\right\} \tag{1}
\end{equation*}
$$

By definition, $\min \left\{o u t^{\prime}(W) \mid\right.$ out $^{\prime}$ faulty output function $\}$ is the minimum number of non-faulty outputs in $W$. This minimum is attained either by choosing all the outputs in $W$ to be faulty when $\operatorname{out}(W) \leq k$, or by choosing $k$ outputs in $W$ to be faulty when $\operatorname{out}(W) \geq k$.

Hence, $\min \left\{o u t^{\prime}(W) \mid\right.$ out $^{\prime}$ faulty output function $\}=\operatorname{out}(W)-\min \{o u t(W), k\}$. The property follows then from Equation (1).

In order to prove that a network is valid, by Lemma 3, we need to prove that every set of switches has non-negative excess. We now prove that it is indeed sufficient to prove it for connected sets.

Lemma 4 If $W$ is not connected and $\operatorname{exc}(W)<0$ then $W$ has a connected component $W_{1}$ such that $\operatorname{exc}\left(W_{1}\right)<0$. Hence a network is valid if and only if every connected subset has non-negative excess.
Proof Let $W_{i}, 1 \leq i \leq l$, be the connected component of $W$. Then $\operatorname{exc}(W)=\sum_{i=1}^{l} \operatorname{exc}\left(W_{i}\right)$. So if $\operatorname{exc}(W)<0$, one of the $W_{i}$ has also negative excess.

We now strengthen again Lemma 4, by showing that to check that an $(n, k, r)$-network is valid it is only necessary to check the cut criterion for essential set of vertices.

Let $N$ be an $(n, k, r)$-network. Let $X$ be a set of $S$-switches. We denote by $\mathcal{B}(X)$ the set of blocks adjacent to $X$. A set $W$ of vertices of $N$ is essential if there exists a proper subset $X$ of $S$ (i.e. $X \neq \emptyset$ and $X \neq S$ ) such that $W=X \cup \bigcup_{B \in \mathcal{B}(X)} B$ and $W$ is connected.

Lemma 5 An ( $n, k, r)$-network is valid if and only if every essential set of vertices has non-negative excess.

Proof The proof follows easily the following assertion whose proof is straightforward:
Let $W$ be a set of vertices of an $(n, k, r)$-network. Assume that $W$ is adjacent to a vertex $v \notin W$ such that $\operatorname{deg}(v) \leq \operatorname{in}(v)-\operatorname{out}(v)+2$ then $\operatorname{exc}(W \cup\{v\}) \leq \operatorname{exc}(W)$.

Indeed every block-switch $v$ satisfies $\operatorname{deg}(v) \leq i n(v)-o u t(v)+2$.

## 3 Upper bounds

In this section, we present two constructive processes which, from some specific valid networks, allow us to construct some bigger valid networks.

### 3.1 First constructive process

In this process, we distinguish two cases following the parity of $k$.

### 3.1.1 First constructive process for even $k$

Construction. Let $k$ be even. For $i=1,2$, let $N_{i}=\left(G_{i}, i n_{i}\right.$, out $\left.t_{i}\right)$ be an $\left(n_{i}, k, r\right)$-network with a set $A_{i}=\left\{v_{i}^{1}, \ldots, v_{i}^{k / 2}\right\}$ of $k / 2$ switches in $N_{i}$ connected to at least two outputs (i.e. out ${ }_{i}\left(v_{i}^{j}\right) \geq 2$ for $1 \leq j \leq k / 2$ ). We construct the ( $\left.n_{1}+n_{2}, k, r\right)$-network $N_{1} \oplus N_{2}=\left(G\right.$, in, out) from $N_{1}$ and $N_{2}$ as follows: we remove on each $v_{i}^{j}$ one output $\left(\operatorname{out}\left(v_{i}^{j}\right)=o u t_{i}\left(v_{i}^{j}\right)-1\right)$ and we add a link between $v_{1}^{j}$ and $v_{2}^{j}$ for $1 \leq j \leq k / 2$. Let $M=\left\{v_{1}^{j} v_{2}^{j}: 1 \leq j \leq k / 2\right\}$ be the set of added links. The network $N_{1} \oplus N_{2}$ has $s_{1}+s_{2}$ switches.

The following theorem is an extension of Theorem 9 of [BDD02].
Theorem 6 Let $k$ be even. Let $N_{1}$ be a valid $\left(n_{1}, k, r\right)$-network with $s_{1}$ switches and let $N_{2}$ be a valid $\left(n_{2}, k, r\right)$-network with $s_{2}$ switches both containing at least $k / 2$ switches connected to at least two ouputs. Then, $N_{1} \oplus N_{2}$ is a valid $\left(n_{1}+n_{2}, k, r\right)$-network containing $s_{1}+s_{2}$ switches.

## Proof

By Lemma 4 we need to prove that for any set $W$ of switches of $N$ has non-negative excess that is

$$
\operatorname{deg}(W) \geq i n(W)-\operatorname{out}(W)+\min \{\operatorname{out}(W), k\}
$$

Let $W$ be a connected set of switches and for $i=1,2$ let $W_{i}=V\left(G_{i}\right) \cap W$. We denote by $e$ the number of links of $M$ between $W_{1}$ and $W_{2}$ and $e_{1}$ (resp. $e_{2}$ ) the number of links of $M$ between $W_{1}$ (resp. $W_{2}$ ) and the switches of $N_{2}\left(\right.$ resp. $\left.N_{1}\right)$ not in $W_{2}\left(\right.$ resp. $\left.W_{1}\right)$.

By construction, we have the following:

$$
\begin{align*}
\operatorname{out}(W) & =\text { out }_{1}\left(W_{1}\right)+\text { out }_{2}\left(W_{2}\right)-e_{1}-e_{2}-2 e  \tag{2}\\
\operatorname{in}(W) & =\text { in }_{1}\left(W_{1}\right)+\text { in }_{2}\left(W_{2}\right)  \tag{3}\\
\operatorname{deg}(W) & =\operatorname{deg}_{1}\left(W_{1}\right)+\operatorname{deg}_{2}\left(W_{2}\right)+e_{1}+e_{2} \tag{4}
\end{align*}
$$

Since $N_{i}$ is valid, the cut criterion implies that :

$$
\operatorname{deg}_{i}\left(W_{i}\right) \geq \operatorname{in}_{i}\left(W_{i}\right)-\text { out }_{i}\left(W_{i}\right)+\min \left\{\text { out }_{i}\left(W_{i}\right), k\right\}
$$

where $\operatorname{deg}_{i}\left(W_{i}\right)$ is the degree of $W_{i}$ in $N_{i}$. We consider the cases following the value of $\min \left\{o u t_{i}\left(W_{i}\right), k\right\}$.
Case 1. Suppose that out ${ }_{1}\left(W_{1}\right) \geq k$ and out $_{2}\left(W_{2}\right) \geq k$. Hence the cut criterion implies that for $i=1,2, \operatorname{deg}_{i}\left(W_{i}\right) \geq i n_{i}\left(W_{i}\right)+k-\operatorname{out}_{i}\left(W_{i}\right)$ and so,

$$
\operatorname{deg}_{1}\left(W_{1}\right)+\operatorname{deg}_{2}\left(W_{2}\right) \geq i n_{1}\left(W_{1}\right)+i n_{2}\left(W_{2}\right)+2 k-\operatorname{out}_{1}\left(W_{1}\right)-\text { out }_{2}\left(W_{2}\right)
$$

Hence, by (2), (3) and (4), we obtain

$$
\operatorname{deg}(W) \geq \operatorname{in}(W)-\operatorname{out}(W)+2 k-2 e \geq i n(W)-\operatorname{out}(W)+k
$$

Case 2. Suppose that out $t_{1}\left(W_{1}\right)<k$ and out $_{2}\left(W_{2}\right)<k$. For $i=1,2$, we have $\operatorname{deg}_{i}\left(W_{i}\right) \geq i n_{i}\left(W_{i}\right)$, so

$$
\operatorname{deg}_{1}\left(W_{1}\right)+\operatorname{deg}_{2}\left(W_{2}\right) \geq i n_{1}\left(W_{1}\right)+i n_{2}\left(W_{2}\right)
$$

So, by (3) and (4), $\operatorname{deg}(W) \geq i n(W) \geq i n(W)-o u t(W)+\min \{o u t(W), k\}$.
Case 3. Suppose that out ${ }_{1}\left(W_{1}\right)<k$ and out ${ }_{2}\left(W_{2}\right) \geq k$. Then, $\operatorname{deg}_{1}\left(W_{1}\right) \geq i n_{1}\left(W_{1}\right)$ and $\operatorname{deg}_{2}\left(W_{2}\right) \geq$ $i n_{2}\left(W_{2}\right)+k-\operatorname{out}\left(W_{2}\right)$. So,

$$
\operatorname{deg}_{1}\left(W_{1}\right)+\operatorname{deg}_{2}\left(W_{2}\right) \geq i n_{1}\left(W_{1}\right)+i n_{2}\left(W_{2}\right)+k-\text { out }_{2}\left(W_{2}\right)
$$

By (2), (3), et (4), we obtain:

$$
\operatorname{deg}(W) \geq \operatorname{in}(W)+k-\operatorname{out}(W)+\text { out }_{1}\left(W_{1}\right)-2 e
$$

Moreover, by construction, out ${ }_{1}\left(W_{1}\right) \geq 2 e$ since each vertex of $W_{1}$ incident to an edge of $M$ satisfies out ${ }_{1} \geq 2$. Hence,

$$
\operatorname{deg}(W) \geq i n(W)-\operatorname{out}(W)+k
$$

### 3.1.2 First constructive process for odd $k$

Construction. Let $k=2 p+1$ be odd. For $i=1,2$, let $N_{i}=\left(G_{i}, i n_{i}\right.$, out $\left._{i}\right)$ be an $\left(n_{i}, k, r\right)-$ network with a set $A_{i}=\left\{v_{i}^{1}, \ldots, v_{i}^{p}\right\}$ of $p$ switches in $N_{i}$ connected to at least two outputs (i.e. out $_{i}\left(v_{i}^{j}\right) \geq 2$ for $1 \leq j \leq p$ ). Let $w_{1}$ be a switch of $V\left(G_{1}\right) \backslash A_{1}$ connected to an output $\left(\right.$ out $_{1}\left(w_{1}\right) \geq$ 1) or a vertex of $A_{1}$ with at least 3 outputs (out $\left(w_{1}\right) \geq 3$ ). Let $z_{2}$ be the unique switch of $N_{2}$ with $2 r-1$ ports. We construct the $\left(n_{1}+n_{2}, k, r\right)$-network $N_{1} \oplus N_{2}$ from $N_{1}$ and $N_{2}$ as follows: we remove on each $v_{i}^{j}$ one output and we add a link between $v_{1}^{j}$ and $v_{2}^{j}$ for $1 \leq j \leq k / 2$. Moreover we remove an output to $w_{1}$ and connect $w_{1}$ to $z_{2}$. The network $N_{1} \oplus N_{2}$ has $s_{1}+s_{2}$ switches.

We will now prove an analog of Theorem 6 for odd $k$. Therefore, we need the following wellknown lemma:

Lemma 7 (folklore) Let $u$ and $v$ be two vertices of a graph G. If $u$ and $v$ have both odd degree and all the other vertices have even degree, then there is a path in $G$ with endvertices $u$ and $v$.

Theorem 8 Let $k=2 p+1$ be odd. Let $N_{1}$ be a valid $\left(n_{1}, k, r\right)$-network with $s_{1}$ switches and let $N_{2}$ be a valid $\left(n_{2}, k, r\right)$-network with $s_{2}$ switches containing both at least $p$ switches connected to at least two ouputs. Then, $N_{1} \oplus N_{2}$ is a valid $\left(n_{1}+n_{2}, k, r\right)$-network containing $s_{1}+s_{2}$ switches.

Proof Let out' be a faulty output function such that out $\left(N_{1} \oplus N_{2}\right)=n_{1}+n_{2}$.
Let $A_{2}^{\prime}$ be the set of vertices $v$ of $A_{2}$ such that out $(v) \geq 3$ and $A_{2}^{\prime \prime}=A_{2} \backslash A_{2}^{\prime}$.
Suppose first that there is a switch $s_{2}$ of $V\left(G_{2}\right) \backslash A_{2}^{\prime \prime}$ such that out $\left(s_{2}\right)<\operatorname{out}\left(s_{2}\right)$. Let $M_{1}=$ $\left(G_{1}\right.$, in $_{1}$, sor $\left._{1}\right)$ and $M_{2}=\left(G_{2}\right.$, in $_{2}$, sor $\left._{2}\right)$ with $\operatorname{sor}_{1}(v)=\operatorname{out}_{1}(v)$ if $v \in V\left(G_{1}\right) \backslash\left\{w_{1}\right\}$ and $\operatorname{sor}_{1}\left(w_{1}\right)=$ out $_{1}\left(w_{1}\right)-1$, and $\operatorname{sor}_{2}(v)=$ out $_{2}(v)$ if $v \in V\left(G_{1}\right) \backslash\left\{s_{2}\right\}$ and $\operatorname{sor}_{2}\left(s_{2}\right)=$ out $_{2}\left(s_{2}\right)-1$. For $i=1,2$, the network $M_{i}$ is a valid $\left(n_{i}, k-1, r\right)$-network and every vertex $v$ of $A_{i}$ satisfies $\operatorname{sor}_{i}(v) \geq 2$ by definition of $w_{1}$ and because $s_{2}$ is not in $A_{2}^{\prime \prime}$. By Theorem $6, M_{1} \oplus M_{2}$ is a valid $\left(n_{1}+n_{2}, k-1, r\right)$-network. So we can find $n_{1}+n_{2}$ edge-disjoint paths in $M_{1} \oplus M_{2}$ such that each vertex $v \in V$ is the initial vertex of $i n(v)$ paths and the terminal vertex of out ${ }^{\prime}(v)$ paths and so in $N_{1} \oplus N_{2}$ since the graph of $M_{1} \oplus M_{2}$ is the one of $N_{1} \oplus N_{2}$ minus the edge $w_{1} z_{2}$.

Suppose now that for every vertex $v$ of $V\left(G_{2}\right) \backslash A_{2}^{\prime \prime}$, out ${ }^{\prime}(v)=\operatorname{out}(v)$. Let $p_{2}=\operatorname{out}\left(V\left(G_{2}\right)\right)-$ $\operatorname{out}^{\prime}\left(V\left(G_{2}\right)\right), J_{2}=\left\{j, 1 \leq j \leq p\right.$ and $\left.\operatorname{out}^{\prime}\left(v_{2}^{j}\right)<\operatorname{out}\left(v_{2}^{j}\right)\right\}$. Clearly $\left|J_{2}\right|=p_{2}$. Set $J_{1}=$ $\{1,2, \ldots, p\} \backslash J_{2}$.

Let us define out ${ }_{1}^{\prime}$ by out $1_{1}^{\prime}(v)=$ out $^{\prime}(v)+1$ if $v \in\left\{v_{1}^{j}, j \in J_{1}\right\} \cup\left\{w_{1}\right\}$ and out $t_{1}^{\prime}(v)=o u t^{\prime}(v)$ if $v \in V\left(G_{1}\right) \backslash\left(\left\{v_{1}^{j}, j \in J_{1}\right\} \cup\left\{w_{1}\right\}\right)$. Let $w_{2}$ be a vertex of $V\left(G_{2}\right) \backslash A_{2}^{\prime \prime}$. Let us define out ${ }_{2}^{\prime}$ by out $_{2}^{\prime}(v)=$ out $^{\prime}(v)-1$ if $v \in\left\{v_{2}^{j}, j \in J_{1} \backslash\left\{w_{2}\right\}\right\}$, out $t_{2}^{\prime}(v)=$ out $^{\prime}(v)$ if $v \in V\left(G_{2}\right) \backslash\left(\left\{v_{2}^{j}, j \in\right.\right.$ $\left.\left.J_{1}\right\} \cup\left\{w_{2}\right\}\right)$ and out $t_{2}^{\prime}\left(w_{2}\right)=\operatorname{out}\left(w_{2}\right)-2$ if $w_{2} \in\left\{v_{2}^{j}, j \in J_{1}\right\}$ and out $t_{2}^{\prime}\left(w_{2}\right)=\operatorname{out}\left(w_{2}\right)-1$ otherwise.

For $i=1,2$, the function out ${ }_{i}^{\prime}$ is a faulty output function of $N_{i}$. Since $N_{i}$ is valid, one can find a set $\mathcal{P}_{i}$ of $n_{i}$ edge-disjoint paths in $N_{i}$ such that each vertex $v \in V\left(G_{i}\right)$ is the initial vertex of $\operatorname{in}(v)$ paths and the terminal vertex of out ${ }_{i}^{\prime}(v)$ paths. $\mathcal{P}_{1} \cup \mathcal{P}_{2}$ is almost the set of desired paths. The only problems are that each vertex of $\left\{v_{1}^{j}, j \in J_{1}\right\} \cup\left\{w_{1}\right\}$ is the end of one path too much and each vertex of $v \in\left\{v_{2}^{j}, j \in J_{1}\right\} \cup\left\{w_{2}\right\}$ is the end of one path too few (If $w_{2} \in\left\{v_{2}^{j}, j \in J_{1}\right\}$, then $w_{2}$ is
the end of two paths too few). For any $j \in J_{1}$, let $P_{j}$ be a path $\mathcal{P}_{1}$ ending in $v_{1}^{j}$ and $Q_{j}=P_{j} v_{1}^{j} v_{2}^{j}$ and let $P$ be a path of $\mathcal{P}_{1}$ ending in $w_{1}$.

Consider the graph $H_{2}$ obtained from $G_{2}$ by removing all the edges of the paths in $\mathcal{P}_{2}$. Let us show that $H_{2}$ has exactly two vertices with odd degree $z_{2}$ and $w_{2}$ unless $z_{2}=w_{2}$. Let $v$ be a vertex of $V\left(G_{2}\right) \backslash\left\{w_{2}, z_{2}\right\}$. If $v \in\left\{v_{2}^{j}, j \in J_{2}\right\} \backslash\left\{z_{2}\right\}$, then $o u t_{2}(v)=2$ and $v$ is the end of no paths of $\mathcal{P}_{2}$. So the number $e(v)$ of its incident edges in paths of $\mathcal{P}_{2}$ has the same parity than $i n_{2}(v)$. Hence $\operatorname{deg}_{H_{2}}(v)=2 r-o u t_{2}(v)-i n_{2}(v)-e(v)$ is even. If $v \in\left\{v_{2}^{j}, j \in J_{1}\right\}$ then it is the end of out $t_{2}(v)-2$ paths of $\mathcal{P}_{2}$. So the number $e(v)$ of its incident edges in paths of $\mathcal{P}_{2}$ has the same parity than $i n_{2}(v)+$ out $_{2}(v)$. Hence $\operatorname{deg}_{H_{2}}(v)$ is even. If $v \in V\left(G_{2}\right) \backslash A_{2}, v$ is the end of $o u t_{2}(v)$ and the start of $i n_{2}(v)$ paths of $\mathcal{P}_{2}$. So the number $e(v)$ of its incident edges in paths of $\mathcal{P}_{2}$ has the same parity than $\mathrm{in}_{2}(v)+$ out $_{2}(v)$. It follows that $d e g_{H_{2}}(v)$ is even. Analogously, one shows that the degrees of $w_{2}$ and $z_{2}$ in $H_{2}$ are odd unlees $w_{2}=z_{2}$.

Thus by Lemma 7, there is a path $Q$ from $z_{2}$ to $w_{2}$. Now $\left(\mathcal{P}_{1} \cup \mathcal{P}_{2}\right) \backslash\left(\left\{P_{j}, j \in J_{1}\right\} \cup\{P\}\right) \cup$ $\left(\left\{Q_{j}, j \in J_{1}\right\} \cup\{Q\}\right)$ is the desired set of paths.

### 3.1.3 Derived upper bound

Observe that if $N$ contains $k$ switches connected to at least two outputs, then $N \oplus N$ contains also $k$ such switches and we can apply recursively Theorem 6.

Corollary 9 Let $k$ be an integer. Let $N_{1}$ be a valid $(n, k, r)$-network with s switches containing $k$ switches connected to at least two outputs. For any integer $l, N_{l}=N_{1} \oplus N_{l-1}$ is a valid (ln, $\left.k, r\right)$ network with ls switches.

Havet [Hav06], showed that $\mathcal{N}(1, k, 2)=\left\lceil\frac{k}{2}\right\rceil$ and $\mathcal{N}(2, k, 2)=\left\lceil\frac{k+2}{2}\right\rceil$. Moreover there are optimum networks having all their switches adjacent to at least two outputs. We generalize these results, for general $r$ :

Proposition $10 \mathcal{N}(1, k, r)=\left\lceil\frac{k}{2 r-2}\right\rceil$ and $\mathcal{N}(2, k, r)=\left\lceil\frac{k+2}{2 r-2}\right\rceil$. Moreover, there are optimum networks having all their switches adjacent to at least $2 r-2$ outputs.

Proof Consider the network $N_{1}$ (resp. $N_{2}$ ) with $s$ switches $v_{1}, \ldots, v_{s}$ such that $v_{1}$ is a $0 \mid 2 r-1$ switch (resp. $1 \mid 2 r-2$-switch), $v_{s}$ is a $1 \mid 2 r-2$-switch, each $v_{i}, 2 \leq i \leq s-1$ is a $0 \mid 2 r-2$-switch and $\left(v_{1}, v_{2}, \ldots, v_{l}\right)$ is a path. It is easy to check that $N_{1}$ and $N_{2}$ are a valid $(1,(2 r-2) s, r)$-network and a valid $(2,(2 r-2) s-2, r)$-network. It follows that $\mathcal{N}(1, k, r) \leq\left\lceil\frac{k}{2 r-2}\right\rceil$ and $\mathcal{N}(2, k, r) \leq\left\lceil\frac{k+2}{2 r-2}\right\rceil$ by Proposition 1 .

Moreover, the above upper bounds is tight since a valid network must be connected.

## Corollary 11

$$
\mathcal{N}(n, k, r) \leq\left\lceil\frac{k+2}{2 r-2}\right\rceil \frac{n}{2}
$$

### 3.2 Second constructive process

Construction. Let $k$ be an even integer and $r \geq k / 2$. For $i=1,2$, let $N_{i}=\left(G_{i}\right.$, in $_{i}$, out $\left._{i}\right)$ be an $\left(n_{i}, k, r\right)$-network containing an $r-k / 2 \mid r$-switches $u_{i}$. We construct the $\left(n_{1}+n_{2}-(r-k / 2), k, r\right)$ network $N_{1} \otimes N_{2}=\left(G\right.$, in, out) from $N_{1}$ and $N_{2}$ as follows: we remove on each $u_{i} k / 2$ outputs and we identify $u_{1}$ and $u_{2}$ in order to obtain an $r-k / 2 \mid r-k / 2$-switch $u^{*}$.

Theorem 12 Let $k$ be an even intger and $r \geq k / 2$. Let $N_{1}=\left(G_{1}, i n_{1}\right.$, out $\left.{ }_{1}\right)$ be a valid $\left(n_{1}, k, r\right)$ network with $s_{1}$ switches and let $N_{2}=\left(G_{2}, i n_{2} \text {, out }\right)_{2}$ ) be a valid $\left(n_{2}, k, r\right)$-network with $s_{2}$ switches both containing at least one $r-k / 2 \mid r$. Then, $N_{1} \otimes N_{2}=(G$, in, out $)$ is a valid $\left(n_{1}+n_{2}-(r-\right.$ $k / 2), k, r)$-network containing $s_{1}+s_{2}-1$ switches.

Proof Let out' be a faulty output function on $N_{1} \otimes N_{2}$. We will exhibit a set $\mathcal{P}$ of $n_{1}+n_{2}-(r-$ $k / 2)$ edge-disjoint paths such that any vertex $v$ of $V(G)$ is the initial vertex of $i n(v)$ paths and the terminal vertex of $\operatorname{out}(v)$ paths. Let $f_{1}$ be the number of faults on the vertices of $V\left(G_{1}\right) \backslash\left\{u_{1}\right\}$ and $f_{2}$ be the number of faults on the vertices of $V\left(G_{2}\right) \backslash\left\{u_{2}\right\}$. Let us define out ${ }_{1}^{\prime}$ a faulty output function on $N_{1}$ such that out $1_{1}^{\prime}(v)=o u t^{\prime}(v)$ for any vertex $v \in V\left(G_{1}\right) \backslash\left\{u_{1}\right\}$ and out $1_{1}^{\prime}\left(u_{1}\right)=o u t\left(u_{1}\right)+f_{2}$. Similarily, we define out ${ }_{2}^{\prime}$ a faulty output function on $N_{2}$ such that $o u t_{2}^{\prime}(v)=o u t^{\prime}(v)$ for any vertex $v \in V\left(G_{2}\right) \backslash\left\{u_{2}\right\}$ and out $t_{2}^{\prime}\left(u_{2}\right)=\operatorname{out}\left(u_{2}\right)+f_{1}$. Since for $i=1,2, N_{i}$ is valid, there exists a set $\mathcal{P}_{i}$ of edge-disjoint paths such that any vertex $v \in V\left(G_{i}\right)$ is the initial vertex of $i n_{i}(v)$ paths and the terminal vertex of out $i_{i}(v)$ paths. The set $\mathcal{P}=\mathcal{P}_{1} \cup \mathcal{P}_{2}$ is almost the desired set. The vertex $u^{*}$ is the end of $r-k / 2$ paths too much and the beginning of $r-k / 2$ paths too much. It suffices now to link an entering path with a leaving path. That completes the proof.

If $N$ contains two $r-k / 2 \mid r$-switches, then $N \otimes N$ contains also two such switches and we can apply recursively Theorem 12.

Corollary 13 Let $k$ be an integer. Let $N_{1}$ be a valid ( $n, k, r$ )-network with s switches containing two $r-k / 2 \mid r$-switches. For any integer $l, N_{l}=N_{1} \otimes N_{l-1}$ is a valid ( $\left.l n-(l-1)(r-k / 2), k, r\right)$-network with $l s-(l-1)$ switches.

## Corollary 14

$$
\mathcal{N}(n, k, r) \leq\left\lceil\frac{n}{r-\lceil k / 2\rceil}\right\rceil
$$

Proof By Proposition 1, it suffices to prove the result for even $k$.
Suppose $r>k / 2$ and $k$ is even, the $(2 r-k, k, r)$-network consisting of two $(r-k / 2, r)$-switches joined by $k / 2$ edges is trivially valid. Hence, by Corollary $13, \mathcal{N}(n, k, r) \leq\left\lceil\frac{n}{r-k / 2}\right\rceil$.

However this upper bound may be improved for $k \geq 3$ using better initial network.
Theorem 15 For $k \geq 3$ and $r \geq k / 2$,

$$
\mathcal{N}(n, k, r) \leq \frac{r-2+\lceil k / 2\rceil}{r^{2}-2 r+\lceil k / 2\rceil} n+O(1)
$$

Proof By Proposition 1, it suffices to prove the result for even $k$.
Let $H$ be the $\left(r^{2}-r, k, r\right)$-network depicted in Figure 6 with $r \geq k / 2$. It is composed of $r-1+k / 2$ switches:

- two $(r-k / 2 \mid r)$-switches $u_{1}, u_{2}$,
- $k / 2(r-1 \mid 2)$-switches $b_{1}, \ldots, b_{k / 2}$ and
- $r-3(r-k / 2 \mid r)$-switches $s_{1}, \ldots, s_{r-3}$.

Each $u_{i}$ is connected to all $b_{j}$. Each $s_{i}$ is connected to all $b_{j}$. Using Lemma 5, it is easy to check the validity of the network $H$. Let $W$ be an essential set of vertices. Let $S_{W}$ be the set of $(r-k / 2 \mid r)$-switches contained in $W$. Suppose that $\left|S_{W}\right|=j(1 \leq j \leq r-2)$. By the observation made in the proof of Lemma 5, we can assume that $W$ contains all the $b_{i}$ for $1 \leq i \leq k / 2$. Now, $\epsilon(W)=\operatorname{deg}(W)-\operatorname{in}(W)+\operatorname{out}(W)-\min \{o u t(W), k\}=(r-1-j) k / 2-((r-k / 2) j+(r-$ 1) $k / 2)+j \cdot r+k / 2 \cdot 2-\min \{\operatorname{out}(w), k\}=k-\min \{\operatorname{out}(W), k\} \geq 0$. Hence, the network $H$ is valid.

From $H$ and Theorem 12, we can construct the valid ( $n, k, r$ )-network depicted in Figure 7.
Proposition 15 follows.

## 4 Lower bounds

### 4.1 General lower bound

Let $G=(V, E)$ be a graph and $p$ an integer : A $p$-quasi-partition of $G$ is a set $\left\{A_{1}, A_{2}, \ldots, A_{m}\right\}$ of subsets of $V$, such that :

1. For every $1 \leq i \leq m$, the subgraph induced by $A_{i}, G\left[A_{i}\right]$, is connected;
2. For every $1 \leq i \leq m, p / 2 \leq\left|A_{i}\right| \leq p$;
3. $V=\bigcup_{i=1}^{m} A_{i}$ and $\sum_{i=1}^{m}\left|A_{i}\right|<|V|+\left|\left\{A_{i},\left|A_{i}\right|>\frac{2 p}{3}\right\}\right|$.

Lemma 16 Let $p$ be a real and $G$ be a connected graph of order at least $p / 2$. Then $G$ admits a p-quasi-partition.

Proof Since a connected graph has a spanning tree, it suffices to prove the result for trees. We prove it by induction on $|V(A)|$ the result being trivial if $|V(A)| \leq p$.

Let $A$ be a tree of order at least $p / 2$. Let $E_{p}$ be the set of edges of $A$ such that the two components of $A-e$ have at least $p$ vertices. The $p$-heart of $A$, denoted by $H_{p}$, is the subtree induced by the edges of $E_{p}$ if $E_{p}$ is not empty, and the tree reduced to the unique vertex $x$ such that all the components of $A-x$ have less than $p$ vertices.

Let $u$ be a leaf of $H_{p}$. Let $C_{1}, \ldots, C_{l}$ the components of $A-H_{p}$ which are connected to $u$. By definition of $H_{p}$, each of the $C_{i}$ has less than $p$ vertices and $\sum\left|C_{i}\right|+1 \geq p$. Without loss of generality, we may assume that the $C_{i}$ are numbered in decreasing size $\left|C_{1}\right| \geq\left|C_{2}\right| \geq \cdots \geq\left|C_{l}\right|$.

If $C_{1}$ has at least $p / 2$ vertices. By induction, the tree $A-C_{1}$ has a $p$-quasi-partition $\left\{A_{1}, A_{2}, \ldots, A_{m}\right\}$. Setting $A_{m+1}=V\left(C_{1}\right)$, then one verifies easily that $\left\{A_{1}, A_{2}, \ldots, A_{m}, A_{m+1}\right\}$ is a $p$-quasi-partition of $A$ since $A-C_{1} \cap C_{1}=\emptyset$.

If not, let $i$ be the smallest integer such that $\sum_{j=1}^{i}\left|C_{j}\right| \geq 2 p / 3$. Since the components are numbered in decreasing size then $\sum_{j=1}^{i}\left|C_{j}\right|<p$. By induction, the tree $A^{\prime}=A-\bigcup_{j=1}^{i} V\left(C_{j}\right)$ has a $p$-quasi-partition $\left\{A_{1}, A_{2}, \ldots, A_{m}\right\}$. Then setting $A_{m+1}=\bigcup_{j=1}^{i} V\left(C_{j}\right) \cup\{u\}$, one verifies easily that $\left\{A_{1}, A_{2}, \ldots, A_{m}, A_{m+1}\right\}$ is a $p$-quasi-partition of $A$ since $A^{\prime} \cap A_{m+1}=\{u\}$.

## Theorem 17

$$
\mathcal{N}(n, k, r) \geq \frac{3 n+k}{2 r-2+\frac{3 r^{2}}{k}}
$$

Proof Let $N=(G$, in, out $)$ be a valid $(n, k, r)$-network and $s$ its number of switches. Set $p=\frac{k}{r}$ and let $\left\{A_{1}, A_{2}, \ldots, A_{m}\right\}$ be a $p$-quasi-partition of $G$. Let $m_{1}=\left|\left\{A_{i},\left|A_{i}\right| \leq \frac{2 p}{3}\right\}\right|$ and $m_{2}=\left|\left\{A_{i},\left|A_{i}\right|>\frac{2 p}{3}\right\}\right|$.

Since a switch is adjacent to at most $r$ outputs (otherwise, it has negative excess) then by the cut criterion for every $i, \operatorname{deg}\left(A_{i}\right) \geq \operatorname{in}\left(A_{i}\right)$. Hence $2(r-1)\left|A_{i}\right|+2 \geq 2 \operatorname{in}\left(A_{i}\right)+\operatorname{out}\left(A_{i}\right)$. Let us sum all these inequalities,

$$
\begin{aligned}
2 m+2(r-1) \sum_{i=1}^{m}\left|A_{i}\right| & \geq 2 \sum_{i=1}^{m} \operatorname{in}\left(A_{i}\right)+\sum_{i=1}^{m} \operatorname{out}\left(A_{i}\right) \\
2 m+2(r-1)\left(s+m_{2}\right) & \geq 2 \operatorname{in}(G)+\operatorname{out}(G) \\
2 m_{1}+2 r m_{2}+(2 r-2) s & \geq 3 n+k
\end{aligned}
$$

Now $s \geq \frac{p}{2} m_{1}+\frac{2 p}{3} m_{2}$, so $\frac{3 r}{p} s \geq \frac{3 r}{2} m_{1}+2 r m_{2} \geq 2 m_{1}+2 r m_{2}$.
Hence, $\frac{3 r s}{p}+(2 r-2) s \geq 3 n+k$, so $s \geq \frac{3 n+k}{2 r-2+\frac{3 r}{p}}$.

### 4.2 Optimal lower bounds when $k \leq 6$

Bermond, Pérennes and Tóth [BPT01] proved:

- for $k \in\{1,2\}, \mathcal{N}(n, k, 2)=n$,
- for $k \in\{3,4\}, \mathcal{N}(n, k, 2)=\left\lceil\frac{5 n}{4}\right\rceil$, and
- for $k \in\{5,6\}, \mathcal{N}(n, k, 2)=n+\frac{n}{4}+\sqrt{\frac{n}{8}}+\Theta(1)$.

We present now some optimal bounds for $\mathcal{N}(n, k, r)$ with $k \leq 6$ and $r \geq 3$.
Proposition 18 In a minimum ( $n, k, r$ )-network, there is no switch with $r$ (or more) inputs.
Proof Let $N$ be a valid $(n, k, r)$-network containing a switch $s$ with $i n(v) \geq r$. If $i n(v)>r$ or $\operatorname{in}(v)=r$ and $\operatorname{out}(v) \geq 1$ then $\{v\}$ has negative excess which contradicts the cut criterion. If not, $s$ is incident to $r$ links $e_{1}, \ldots, e_{r}$. Then the $(n, k, r)$-network obtained from $N$ by removing $s$ and adding one input to the endvertex of each $e_{i}$ is also valid and $N$ is not minimum, a contradiction.

## Corollary 19

$$
\mathcal{N}(n, k, r) \geq\left\lceil\frac{n}{r-1}\right\rceil
$$

Proof By Proposition 18, in a minimum ( $n, k, r$ )-network, the number of inputs $n$ is at most $r-1$ times the number of switches.

For $k \in\{1,2\}$, this lower bound matches the upper one given by Corollary 14 .

## Theorem 20

$$
\mathcal{N}(n, 1, r)=\mathcal{N}(n, 2, r)=\left\lceil\frac{n}{r-1}\right\rceil
$$

For larger value of $k$, we generalize the notion of block introduced in [BPT01]. We call a switch with $r-1$ inputs, block switch, and the non block switches, $S$-switches. We define blocks as maximum connected components made of block switches. The block properties presented in [BPT01] immediately extend to our case :

Proposition 21 Let $N$ be a minimum ( $n, k, r$ )-network for $k \geq 3$. Then the following hold:

- the blocks of $N$ are trees and contain at most 2 outputs;
- for any block $B$ of $N, \operatorname{deg}(B)=\operatorname{in}(B)+2-\operatorname{out}(B)$.

Let us introduce some notations.
Let $0 \leq i \leq r-1$ and $0 \leq o \leq 2$. We denote by $S_{i}$ the set of switches with $i$ inputs and $s_{i}$ its cardinality. We denote $\mathcal{B}_{o}$ the set of blocks with o outputs and $b_{o}$ its cardinality. We call $\mathcal{B}_{o}$-block a block in $\mathcal{B}_{o}$. The number of $\mathcal{B}_{o}$-switches is denoted $t_{o}$. Hence, the total number of block switches is $s_{r-1}=t_{0}+t_{1}+t_{2}$.

We call $S$-switch a swicth of $S$. Let $s_{i \mid o}$ denote the number of $i \mid o$-switches, $s_{S}$ the number of $S$ switches and $e_{S}$ the number of edges whose endvertices are both $S$-switches.
Finally, $s$ denotes the total number of switches of the network.
Let $N$ be an $(n, k, r)$-network. Then $\epsilon^{\prime}(N)=1$ if an $S$-switch is defective, $\epsilon^{\prime}(N)=-1$ if a block switch is defective and $\epsilon^{\prime}(N)=0$ otherwise.
Proposition 22 Let $N$ be a minimum ( $n, k, r$ )-network.

$$
\begin{align*}
& \sum_{(i, o)=(0,0)}^{(r-2, r)} s_{i \mid o}+t_{0}+t_{1}+t_{2}=s  \tag{5}\\
& \sum_{(i, o)=(0,0)}^{(r-2, r)} i . s_{i \mid o}+(r-1)\left(t_{0}+t_{1}+t_{2}\right)=n  \tag{6}\\
&-\sum_{(i, o)=(0,0)}^{(r-2, r)}(2 r-i-o) s_{i \mid o}+(r-1)\left(t_{0}+t_{1}+t_{2}\right)+2 e_{S}+2 b_{0}+b_{1}=\epsilon^{\prime}(N)  \tag{7}\\
&(i, o)=(0,0)  \tag{8}\\
& b_{2} \leq t_{2} \tag{9}
\end{align*}
$$

## Proof

Eq.(5), Eq.(6) and Eq.(7) count the number of respectively switches, inputs and outputs in the network.

Eq.(8) counts the number of edges between blocks and $S$-switches. The number of edges leaving the $\mathcal{B}_{0}$-blocks (resp. $\mathcal{B}_{1}$-blocks, $\mathcal{B}_{2}$-blocks) is $(r-1) t_{0}+2 b_{0}$ (resp. $(r-1) t_{1}+b_{1},(r-1) t_{2}$ ) decreased by 1 if a block switch is defective; the number of edges leaving the $S$-switches is $\sum_{(i, o)=(0,0)}^{(r-2, r)}(2 r-$ $i-o) s_{i \mid o}-2 e_{S}$ decreased by 1 if an $S$-switch is defective.

Eq.(9) expresses the fact that a $\mathcal{B}_{2}$-block contains at least one switch.

Proposition 23 For $r \geq 3$ and $k \geq 3$,

$$
\mathcal{N}(n, k, r) \geq\left\lceil\frac{r n+\frac{1}{2}(k-\epsilon(k))}{r^{2}-2 r+2}\right\rceil
$$

Proof Observe that: $\quad(r-2) s_{S} \geq \sum_{(i, o)=(0,0)}^{r-2, r} i . s_{i \mid o} \geq n-(r-1)\left(t_{0}+t_{1}+t_{2}\right) . \quad$ Hence,

$$
\begin{equation*}
s_{S} \geq \frac{n-(r-1) s_{r-1}}{(r-2)} \tag{10}
\end{equation*}
$$

Now, detail the ports of the $S$-switches :

$$
\begin{array}{cccc}
2 r s_{S} & = & \sum_{(i, o)=(0,0)}^{(r-2, r)}(2 r-i-o) s_{i \mid o}+\sum_{(i, o)=(0,0)}^{(r-2, r)} i . s_{i \mid o}+\sum_{(i, o)=(0,0)}^{(r-2, r)} \text { o.s } s_{i \mid o} & \\
& = & (r-1)\left(t_{0}+t_{1}+t_{2}\right)+2 b_{0}+b_{1}+\sum_{(i, o)=(0,0)}^{(r-2, r)} i . s_{i \mid o}+\sum_{(i, o)=(0,0)}^{(r-2)} \text { o.s } s_{i \mid o} & \text { by Eq. (8) } \\
& = & n+2 b_{0}+b_{1}+\sum_{(i, o, r)=(0,0)}^{\left(r-2, s_{i \mid o}-\epsilon^{\prime}(N)\right.} & \text { by Eq. (6) } \\
& = & n+2 b_{0}+n+k-2 b_{2}-\epsilon^{\prime}(N) & \text { by Eq. (7) } \\
& 2 n+k-2 s_{r-1}-\epsilon^{\prime}(N) & \text { by Eq. (9) } \\
& s_{S} \geq \frac{2 n-2 s_{r-1}+k-\epsilon^{\prime}(N)}{2 r} & \tag{11}
\end{array}
$$

The inequalities (10) and (11) give a lower bound of $s=s_{S}+s_{r-1}$ :

$$
s \geq \max \left\{s_{r-1}+\frac{n-(r-1) s_{r-1}}{r-2}, s_{r-1}+\frac{2 n-2 s_{r-1}+k-\epsilon^{\prime}(N)}{2 r}\right\}
$$

One of these two functions (of $s_{r-1}$ ) increases while the other decreases, thus the minimum is achieved when the two bounds are equal that is when $s_{r-1}=\frac{2 n-\frac{1}{2}(r-2)\left(k-\epsilon^{\prime}(N)\right)}{r^{2}-2 r+2}$. We obtain $s \geq \frac{r n+\frac{1}{2}(k-\epsilon(k))}{r^{2}-2 r+2}$.

The lower bound of this proposition matches the upper one given by Theorem 15.
Corollary 24 For $k \in\{3,4\}$ and $r \geq 3, \mathcal{N}(n, k, r)=\frac{r}{r^{2}-2 r+2} n+\Theta(1)$.
We will now get better lower bounds provided that $k \geq 5$. Therefore we provide new inequalities satisfied by a valid $(n, k, r)$-network if $k \geq 5$. Therefore, we define $\epsilon^{\prime \prime}(N)=1$ if a switch less than $r-2$ inputs is defective, and $\epsilon^{\prime \prime}(N)=0$ otherwise. Note that a switch in a $\mathcal{B}_{2}$-block may not be defective.

Proposition 25 If $k \geq 5$ and $r \geq 4$, a valid ( $n, k, r$ )-network $N$ satisfies the following inequalities :

$$
\begin{align*}
b_{1} & \leq t_{1}  \tag{12}\\
(2 r+2) s_{r-1}+(2 r-6) s_{r-2}-\sum_{j=0}^{r-3} 2 j \cdot s_{r-3-j}+k & \leq 6 s \tag{13}
\end{align*}
$$

Proof Eq.(12) expresses the fact that a $\mathcal{B}_{1}$-block contains at least one switch.
Let us now show Eq.(13). Let $H=\mathcal{B}_{0} \cup \mathcal{B}_{1} \cup \mathcal{B}_{2} \cup S_{r-2}$ and $H^{\prime}=H \backslash \mathcal{B}_{2}$.
We have $\operatorname{out}(H)+\operatorname{out}(\bar{H})=\operatorname{in}(H)+i n(\bar{H})+k$ so $\operatorname{out}(\bar{H})-\operatorname{in}(\bar{H})=k+i n(H)-\operatorname{out}(H)=$ $k+(r-1) S_{r-1}-b_{1}-2 b_{2}+\sum_{o=0}^{4}(r-2-o) s_{r-2 \mid o}$.

Let us now compute $\operatorname{deg}(H)=\operatorname{deg}(\bar{H})$. Since there is no edge between blocks, $\operatorname{deg}(H)=$ $\operatorname{deg}\left(H^{\prime}\right)+\sum_{B \in \mathcal{B}_{2}} \operatorname{deg}(B)-2 e$ with $e$ the number of edges between $\mathcal{B}_{2}$-blocks and switches of $S_{r-2}$.

By the cut criterion, $\operatorname{deg}\left(H^{\prime}\right) \geq \operatorname{in}\left(H^{\prime}\right)-\operatorname{out}\left(H^{\prime}\right) \geq(r-1)\left(t_{1}+t_{0}\right)-b_{1}+\sum_{o=0}^{4}(r-2-$ o) $s_{r-2 \mid o}$.

A $\mathcal{B}_{2}$-block $B$ is not adjacent to a switch $v$ of type $r-2 \mid 3$ or $r-2 \mid 4$ otherwise $B \cup\{v\}$ has negative excess which is impossible. Let $a_{j}$ be the number of links leaving the $\mathcal{B}_{2}$-blocks and joining the switches of $\mathcal{S}_{r-2}$ connecting to $o$ outputs for $0 \leq o \leq 2$. If $o=1,2$, two links leaving $\mathcal{B}_{2}$-blocks cannot join a same switch of type $r-2 \mid o$ otherwise the union of this switch and the two $\mathcal{B}_{2}$-blocks connected to it has negative excess, so $a_{j} \leq s_{r-2 \mid j}$ for $j=1,2$. Three links leaving $\mathcal{B}_{2}$-blocks cannot join a same switch of type $r-2 \mid 0$ otherwise the union of this switch and the three $\mathcal{B}_{2}$-blocks connected to it has negative excess, so $2 a_{0} \leq s_{r-2 \mid 0}$. Thus we have $e \leq s_{r-2 \mid 1}+s_{r-2 \mid 2}+2 s_{r-2 \mid 0}$.

Hence we obtain : $\operatorname{deg}(\bar{H}) \geq(r-1)\left(t_{2}+t_{1}+t_{0}\right)-b_{1}+(r-6)\left(s_{r-2 \mid 4}+s_{r-2 \mid 2}+s_{r-2 \mid 0}\right)+$ $(r-5)\left(s_{r-2 \mid 3}+s_{r-2 \mid 1}\right)$. So

$$
\begin{aligned}
\operatorname{deg}(\bar{H})+\operatorname{out}(\bar{H})-\operatorname{in}(\bar{H}) \geq & k+2(r-1) s_{r-1}-2 b_{1}-2 b_{2}+(2 r-12) s_{r-2 \mid 4} \\
& +(2 r-10)\left(s_{r-2 \mid 3}+s_{r-2 \mid 2}\right)+(2 r-8)\left(s_{r-2 \mid 1}+s_{r-2 \mid 0}\right)
\end{aligned}
$$

By (12) and (9), $b_{1} \leq t_{1}$ and $b_{2} \leq t_{2}$, so

$$
\begin{equation*}
\operatorname{deg}(\bar{H})+\operatorname{out}(\bar{H})-i n(\bar{H}) \geq k+2(r-2) s_{r-1}+(2 r-12) s_{r-2} \tag{14}
\end{equation*}
$$

Now $\operatorname{deg}(\bar{H})+\operatorname{out}(\bar{H})-i n(\bar{H}) \leq \sum_{v \in \bar{H}}(\operatorname{deg}(v)+\operatorname{out}(v)-i n(v)) \leq \sum_{v \in \bar{H}}(2 r-2 i n(v))$.

$$
\begin{equation*}
\operatorname{deg}(\bar{H})+\operatorname{out}(\bar{H})-i n(\bar{H}) \leq \sum_{j=0}^{r-3}(6+2 j) s_{r-3-j} \tag{15}
\end{equation*}
$$

Combining (14) and (15), we obtain (13).

Proposition 26 For $r \geq 7$ and $k \geq 5$,

$$
\mathcal{N}(n, 6, r) \geq \frac{(r+1) n+k}{r^{2}-2 r+3}
$$

Proof We have $n-(r-3) s=\sum_{i=0}^{r-1}(i-r+3) s_{i}=2 s_{r-1}+s_{r-2}-\sum_{j=0}^{r-3} j \cdot s_{r-3-j}$. Hence if $r \geq 7$, by (13), we obtain $6 s \geq k+(r+1)(n-(r-3) s)$. So $s \geq \frac{(r+1) n+k}{r^{2}-2 r+3}$.

We conjecture that this lower bound is also true when $r \leq 7$.
The lower bound of Proposition 26 matches the upper one given by Theorem 15.
Corollary 27 For $k \in\{5,6\}$ and $r \geq 7, \mathcal{N}(n, k, r)=\frac{r+1}{r^{2}-2 r+3} n+\Theta(1)$.

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Figure 1: A first solution: the network $N_{1}$.


Figure 2: A best solution: the network $N_{2}$.


Figure 3: The first constructive process for $k$ even.


Figure 4: The first constructive process for $k$ odd.

(a)

(b)

Figure 5: The second constructive process.


Figure 6: A $\left(r^{2}-r, k, r\right)$-network with $k \geq 2$ and $r \geq k / 2$.


Figure 7: A $(n, k, r)$-network with $k \geq 2$ and $r \geq k / 2$.


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