

On several proofs of the Recognizability Theorem

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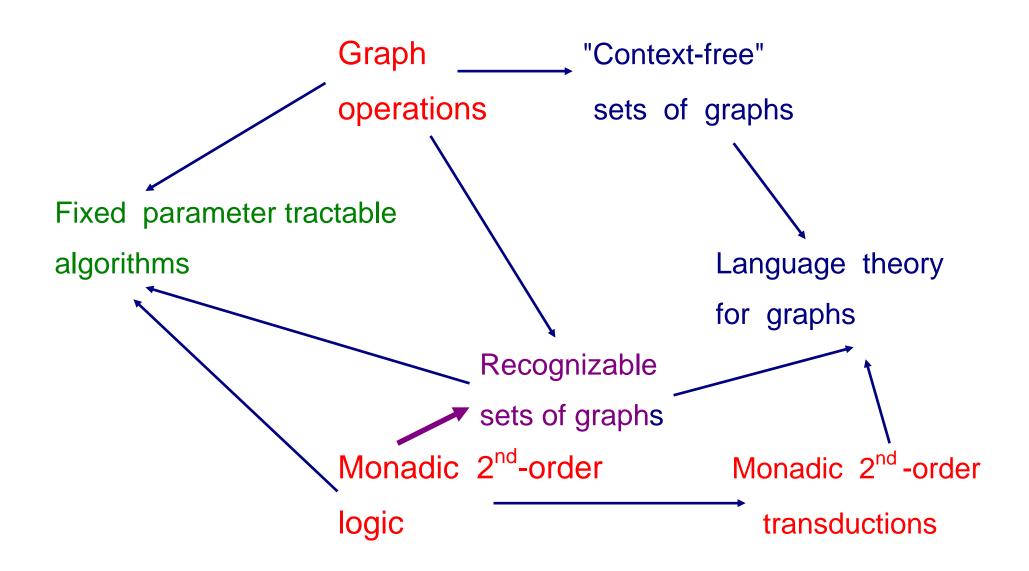


Reference : Graph structure and monadic second-order logic,

book to be published by Cambridge University Press, readable on :

http://www.labri.fr/perso/courcell/ActSci.html

An overview chart



Key concepts of Language Theory and their extensions

Languages	Graphs	
Algebraic structure :	Algebras based on graph operations : \oplus , \otimes , //	
monoid (X*,*,ε)	quantifier-free definable operations Algebras : HR, VR	
Context-free languages :	Equational sets of the	
Equational subsets of (X*,*,ε)	algebras HR, VR	
Regular languages :	Recognizable sets	
Finite automata ≡	of the algebras HR, VR	
Finite congruences \equiv	defined by finite congruences	
Regular expressions \equiv		
\equiv Monadic Second-order	U	
definable sets of words or terms	Monadic Second-order definable sets of graphs	
Rational and other types of transductions	Monadic Second-order transductions	

Recognizability Theorem : the inclusion \cup

Summary

- 1. The graph algebra **VR**.
- 2. Recognizability : an algebraic notion
- 3. Monadic second-order logic
- 4. The Recognizability Theorem
- 5. The case of terms (proof by Büchi)
- 6. VR_k- Recognizability after Büchi.
- 7. VR- Recognizability using the Feferman-Vaught paradigm
- 8. Extension of the Büchi-style proof after Engelfriet
- 9. Comparisons

1. The graph algebra VR

Origin : Vertex Replacement *context-free* graph grammars Associated complexity measure: clique-width.

Graphs are defined in terms of very simple graph operations, giving easy inductive proofs.

Graphs are simple, loop-free, directed or not.

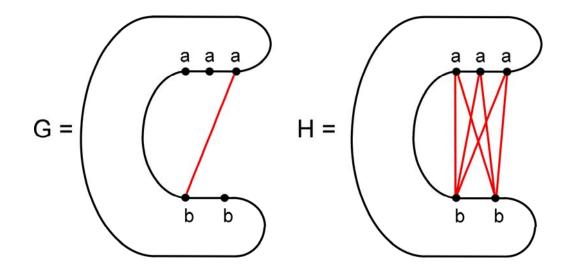
Vertex labels : 1,..., k. Each vertex has one and only one label.

One binary operation : disjoint union : \oplus

Well-defined up to isomorphism : one takes disjoint copies ; $G \oplus G$ is not equal to G

Unary operations: Edge addition denoted by $Add-edg_{a,b}$

Add-edga,b(G) is G augmented with undirected edges between every a-labelled vertex and every b-labelled vertex



 $H = Add - edg_{a,b}(G)$; only 5 new edges added

The number of added edges depends on the argument graph. The directed version of *Add-edga,b* adds directed edges from every *a*-labelled vertex to every *b*-labelled vertex Vertex relabellings :

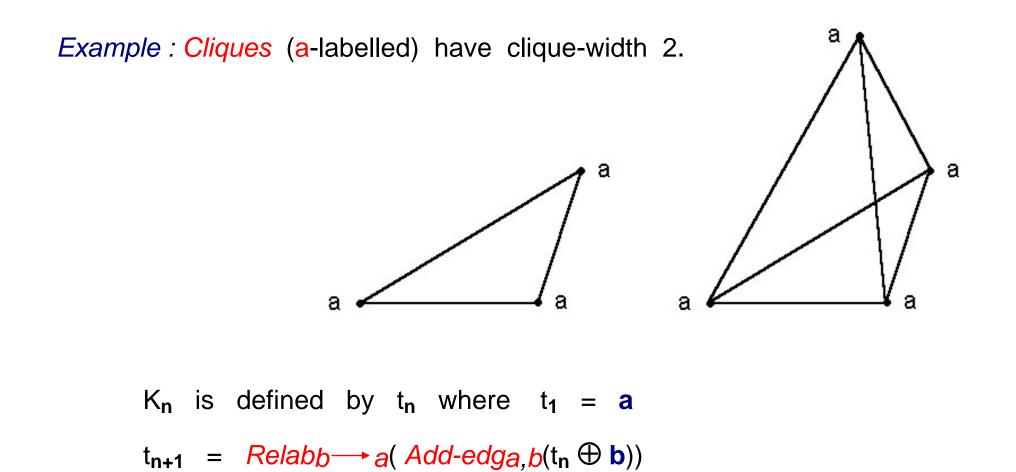
Relaba $\rightarrow b(G)$ is G with every (vertex) label *a* changed into *b*

Basic graphs : a one vertex labelled by a.

Definition: A graph G has clique-width $\leq k$

 \Leftrightarrow it can be constructed from basic graphs with the operations \oplus , *Add-edga,b* and *Relaba* $\rightarrow b$ with labels a, b in 1,...,k.

Its (exact) clique-width cwd(G) is the smallest such k.



Example : Cographs (a-labelled) are generated by \oplus and \otimes defined by: $G \otimes H = Relabb \rightarrow a(Add-edga,b(G \oplus Relaba \rightarrow b(H)))$ $= G \oplus H$ with "all edges" between G and H. 2. Recognizable sets : an algebraic notion

 $\mathbf{M} = \langle M, (f_{\mathbf{M}})_{f \in F} \rangle$: an F-algebra where F is a *finite* signature. $L \subseteq M$ is $(\mathbf{M}$ -)*recognizable* if it is a union of equivalence classes for a finite congruence \approx on M.

Congruence = equivalence relation such that :

 $m \approx m'$ and $p \approx p' \implies f_{M}(m,p) \approx f_{M}(m',p')$.

Finite means that M / \approx is finite, i.e., \approx has finitely many classes. Equivalently, $L = h^{-1}(D)$ for a homomorphism $h : M \to A$, where **A** is a *finite* F-algebra and $D \subseteq A$.

Rec(M) = the recognizable subsets of M. This notion is relative to the algebra **M**.

Classical examples Algebra

<A* , , , & , a,b,...,d>

Recognizable sets

Regular languages (syntactic monoid)

 $<A^*$, ϵ , $(\lambda u \in A^*.ua)_{a \in A} >$

Regular languages (Myhill-Nerode)

T(F), terms over F, (initial F-algebra) Regular sets of terms On terms, h is the run of a *finite deterministic bottom-up automaton*

<N^k, + , (0,...,0), ... (0,...,1,0,...,0) ...> Finite unions of Cartesian
products of k sets { u + n.v | n $\in N$ } for u,v $\in N$

The algebra **VR** has an *infinite* signature

We introduce a notion of type (or sort in a many-sorted framework).

The type of G is : $\pi(G)$ = the set of vertex labels having an occurrence.

 π has a homomorphic behaviour :

 $\pi(G \oplus H) = \pi(G) \cup \pi(H) ; \qquad \pi(Add-edg_{a,b}(G)) = \pi(G) ;$

 $\pi(\operatorname{Relaba} \longrightarrow b(G)) = \pi(G)[b/a].$

For defining the recognizability of set L we require that the congruence \approx

is type preserving : $G \approx H$ implies $\pi(G) = \pi(H)$,

locally finite : it has finitely many classes of each type,

L is a union of classes (possibly of different types).

Properties of recognizable sets that follow from the algebraic setting :

Closure under \cup , \cap and - (difference), under inverse homomorphisms and under inverse unary derived operations.

Filtering Theorem: The intersection of an equational (i.e., "context-free") set and a recognizable one is equational With *effective constructions*.

Properties of recognizable sets of graphs that do not follow "algebraically"

Closure under the binary operation \oplus ,

under the unary *relabelling* operations.

(false for Add-edg but true if some "harmless" restriction of

the use of this operation is made.)

(*Fact* : It is *more difficult* to prove the closure under concatenation of regular languages than their closure under Boolean operations ; this is reflected by the sizes of syntactic monoids).

Properties that do not hold as we could wish or expect.

Emptiness is not decidable (because of infinite signatures).

Rec and **Equat** are incomparable.

Every set of square grids is VR-recognizable.

There are uncountably many recognizable sets, hence *no characterization by finite automata or logical formulas*.

Proposition : If F is *finite* and generates M, i.e., if every element of M is the value $val_{M}(t)$ of some term t in T(F), then : a subset L of M is M-recognizable if and only if the set of terms $val_{M}^{-1}(L)$ is T(F)-recognizable, if and only if $val_{M}^{-1}(L)$ is defined by a finite (deterministic) automaton.

Two possible proofs that a set L is **M**-recognizable : Construction of a finite congruence on **M** that saturates L, Construction of an automaton that defines val_M⁻¹(L).

- 3. Monadic Second-Order (MS) Logic
- = First-order logic on power-set structures
- First-order logic extended with (quantified) variables denoting subsets of the domains.

MS properties : transitive closure, properties of paths, connectivity,

planarity (via Kuratowski, uses connectivity), k-colorability.

Examples of formulas for $G = (V_G, edg_G(.,.))$, undirected

 Non connectivity (whence connectivity, more generally transitive closure) : $\exists X (\exists x \in X \land \exists y \notin X \land \forall u, v (u \in X \land edg(u, v) \Rightarrow v \in X))$

Planarity : no K_5 or $K_{3,3}$ minor.

Having a K_5 minor :

 $\exists X_1, \dots, X_5$ ("the X_i's are pairwise disjoint"

 \wedge "each X_i induces a connected graph"

 \wedge "for every i<j, there is an edge between some u in X_i and some v in X_i")

4. The recognizability theorem

A set L of *finite* words, terms, graphs or relational structures is Monadic Second-Order (MS) definable if it is the set of finite models of an MS sentence ϕ (a formula without free variables) :

L = Models(ϕ) := { S finite / S |= ϕ } for a fixed MS sentence ϕ

The Recognizability Theorem :

Every MS- definable set of graphs is VR-recognizable

Every MS- definable set of relational structures is recognizable with respect to an algebra that generalizes VR (using \oplus and unary quantifier-free definable operations generalizing edge addition, vertex relabelling, edge complement). Fixed Parameter Tractable algorithms for checking MS graph properties, for clique-width (or tree-width) as parameter.

Filtering Theorem : if L is VR-equational ("context-free"), the set L \cap Models(ϕ) is (effectively) VR-equational for each MS sentence ϕ .

Example : for ϕ expressing planarity, a direct proof would be unwritable.

Decidability of monadic theories : given k and ϕ , one can decide if ϕ is true in *all* graphs of tree-width or clique-width at most k.

5. Büchi-style proof for the case of terms

Terms in T(F) where F is a finite signature

Logical representation S(t) of a term t :

nodes of the syntactic tree, son binary relation,

unary predicates lab_f for "my label is f" and br_i for "I am the *i*-th brother".

Construction: for each sentence ϕ an automaton A(ϕ) that defines Models(ϕ) \cap T(F) by induction on the structure of sentence ϕ - Sentences are without first-order variables and \forall . - For $\exists X. \phi(X)$, we need $A(\phi(X))$; more generally $A(\phi(X_1,...,X_n))$: f in F is replaced by $(f, (w_1, \dots, w_n))$ in F x $\{0, 1\}^n$ of same arity, a term t*v in T(Fx{0,1}ⁿ) encodes a term t in T(F) and an assignment $v : \{X_1, ..., X_n\} \rightarrow P(Nodes(t))$ (if *u* is an occurrence of $(f, (w_1, ..., w_n))$ then $w_i = 1$ iff $u \in X_i$) - One constructs $A(\phi(X_1,...,X_n))$ that defines

{ $t*\nu \in T(Fx{0,1}^n) / (t, \nu) | = \phi$ }

Then :

 $L(A(\exists X_{n+1} . \phi(X_1, ..., X_{n+1}))) = pr(L(A(\phi(X_1, ..., X_{n+1}))))$

where pr is the projection that eliminates the last Boolean.

One obtains a *nondeterministic* automaton.

For \land and \lor : product of two automata.

For negation : exchange accepting/non-accepting states for a *deterministic* automaton.

The case of atomic formulas is easy.

The number of states is an h-iterated exponential, where h = maximum nesting of negations. This is not avoidable. 6. Büchi-style proof for VR_k-recognizability

We fix k, a bound on clique-width of the considered graphs F_k consists of binary operation \oplus and the $O(k^2)$ unary operations (*Add-edg_{a,b}*, *Relab_a*), the constant **1** defining the vertex labelled 1. (1 can be changed into another label).

A term t in $T(F_k \cup \{1\})$ defines a graph G(t) with vertex set

= the set of occurrences of 1. For representing assignments

v: { $X_1,...,X_n$ } $\rightarrow P(Vertices(G(t)))$

we replace 1 by constants $(1, (w_1, ..., w_n))$, $w_i \in \{0, 1\}$ as for terms

A term t*v in $T(F_k \cup (\{1\}x\{0,1\}^n))$ defines the graph G(t) and

some assignment $v : \{X_1, ..., X_n\} \rightarrow P(Vertices(G(t)))$

As in the case of terms, we construct for all relevant k, n and ϕ a finite deterministic automaton $A(\phi(X_1,...,X_n))$ that defines

$$\{ t * \nu \in T(F_k \cup (\{1\}x\{0,1\}^n)) \ / \ (G(t), \nu \) \ | = \phi \}$$

Inductive steps :

 $\phi \land \psi$, $\phi \lor \psi$: product of two automata $\neg \phi$: exchange of accepting / non-accepting states of a deterministic automaton

 $\exists X_{n+1} \phi$: "projection" pr : makes automata non-deterministic

Basic cases : atomic formulas.

Example : The automaton $A(edg(X_1, X_2))$ with k^2+k+3 states Graph labels are in $[k] = \{1, ..., k\}$. *States* : 0, Ok, a(1), a(2), ab, Error, for a,b in [k], a \neq b *Meanings of states*

(at occurrence u in t; its subterm t/u defines a graph $G(t/u) \subseteq G(t)$).

0 :
$$X_1 = \emptyset$$
 , $X_2 = \emptyset$

Ok :
$$X_1 = \{v\}$$
, $X_2 = \{w\}$, $edg(v,w)$ in $G(t/u)$

$$a(1)$$
 : X₁ = {v} , X₂ = \emptyset , v has label a in G(t/u)

a(2) : $X_1 = \emptyset$, $X_2 = \{w\}$, w has label a in G(t/u)

ab : $X_1 = \{v\}$, $X_2 = \{w\}$, v has label a, w has label b (hence $v \neq w$) and $\neg edg(v,w)$ in G(t/u),

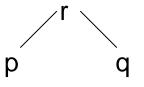
Error : all other cases.

Accepting state : Ok

Transition rules

For the constant 1: (1,00) $\rightarrow 0$; (1,10) $\rightarrow 1(1)$; (1,01) $\rightarrow 1(2)$, (1,11) $\rightarrow \text{Error}$

For the binary operation \oplus :



If p = 0 then r := qIf q = 0 then r := pIf p = a(1), q = b(2) and $a \neq b$ then r := abIf p = b(2), q = a(1) and $a \neq b$ then r := abOtherwise r := Error For unary operations Add-edgea,b

If p = ab then r := Ok else r := p

If p = a(i) where i = 1 or 2 then r := b(i)

If p = ac where $c \neq a$ and $c \neq b$ then r := bc

If p = ca where $c \neq a$ and $c \neq b$ then r := cb

If $p = Error or 0 or Ok or c(i) or cd or dc where <math>c \neq a$

then r:=p

r

р

End of example ; end of proof sketch.

We have only proved that for every k and MS sentence φ 1) { t \in T(F_k \cup {1}) / G(t) |= φ } is T(F_k \cup {1})-recognizable 2) The set of models of φ of clique-width \leq k, is VR_k-recognizable

This is NOT the Recognizability Theorem which needs a typepreserving, locally finite congruence working on ALL graphs (of unbounded clique-width).

This weak form is sufficient for FPT algorithms and for the Filtering Theorem because :

- graphs of clique-width $\leq k$ are generated by $F_k \cup \{1\}$
- VR-equational implies VR_k -equational, for k = maximum label occurring in the defining system.

Although the signature VR is the union of the signatures VR_k, we may have a set L that is not VR-recognizable, whereas: $L \cap \{G / cwd(G) \le k\}$ is VR_k-recognizable for each k.

Example : The set of duplicated square grids $G_{m \times m} \oplus G_{m \times m}$ is not VR-recognizable, but each of its restrictions to graphs of clique-width \leq k is finite, hence MS-definable, whence VR_k-recognizable (by the proved special case of the Recognizability Theorem.) VR_k-recognizability proved with Backwards Translation:

The mapping : t in $\mathbf{T}(F_k \cup \{1\}) \mid \longrightarrow G(t) = val_{VR}(t)$ is an MS transduction.

The set *L* of terms t in $T(F_k \cup \{1\})$ such that $G(t) \models \phi$ is defined by an MS formula $\phi^{\#}$ obtained by *Backwards Translation*. By the Recognizability Theorem for terms, *L* is recognizable in $T(F_k \cup \{1\})$, hence definable by a finite automaton.

Short proof, but $\phi^{\#}$ has larger quantifier-height than ϕ , hence bad in view of a concrete implementation.

The Feferman-Vaught paradigm yields VR-recognizability

The *result* of the query defined by φ is : Sat(G, φ , X₁,...,X_n) = { (A₁,...,A_n) / G | = φ (A₁,...,A_n) }

Lemma 1 : If f is a quantifier-free mapping on graphs (edge-addition, vertex relabeling, edge complement), every φ has a *Backwards Translation* $f^{\#}(\varphi)$ relative to f such that for all G : Sat($f(G), \varphi, X_1, ..., X_n$) = Sat($G, f^{\#}(\varphi), X_1, ..., X_n$) $f^{\#}(\varphi)$ has no larger quantifier-height than φ

Proof : Routine.

Splitting Theorem : One can construct formulas ψ_i , θ_i , i = 1,...,p, of no larger quantifier-height than ϕ such that for all disjoint G and H: Sat(G \oplus H, ϕ , X₁,...,X_n) is the disjoint union of the sets

Sat(G, ψ_i , X₁,...,X_n) \diamond Sat(H, θ_i , X₁,...,X_n), i = 1,...,p,

where \diamond combines "partial answers" as follows :

$$\underline{A} \Diamond \underline{B} = \{ (A_1 \cup B_1, \dots, A_n \cup B_n) / (A_1, \dots, A_n) \in \underline{A} , (B_1, \dots, B_n) \in \underline{B} \}$$

Proof : Induction on the structure of ϕ *and set manipulations.*

Lemma 2 : For each n and h there are finitely many formulas $\varphi(X_1,...,X_n)$ of quantifier-height $\leq h$, up to a decidable and sound equivalence. *Proof sketch :* $\varphi \sim \psi$ *iff* ψ *is obtained from* φ *by Boolean laws and renamings of bound variables.*

Proof of the Recognizability Theorem (general form) :

For each h, the equivalence relation such that $G \approx H \iff Sat(G, \psi) = Sat(H, \psi) \quad (= \emptyset \text{ or } (), \text{ the empty sequence})$ for every sentence ψ of quantifier-height $\leq h$ is a type-preserving, locally finite congruence on VR that saturates Models(ϕ) for each every sentence ϕ of quantifier-height $\leq h$

(The same proof works for the algebra of relational structures).

For each k and MS sentence φ one obtains an automata that recognizes the set of terms in $T(F_k \cup \{1\})$ that define graphs satisfying φ .

Its states are *theories* : finite sets of reduced sentences of quantifier-height https://www.enables.com (Reduced in some canonical form, using Boolean laws and renamings of bound variables, cf. Lemma 2, slide 31)

No good bound on automata sizes and no possible implementation can be obtained from this proof.

Extensions of the proof:

1) For *counting* valid assignments, i.e., for computing, for a fixed MS formula ϕ and a given G, the cardinality of Sat(G, ϕ , X₁,...,X_n), the Splitting Theorem gives (*because of disjoint unions*) the recursion :

|Sat(G \oplus H, ϕ , X₁,...,X_n)| =

 $\Sigma_{i=1,...,p}$ | Sat(G, ψ_i , X₁,...,X_n) | . | Sat(H, θ_i , X₁,...,X_n) |

2) Similar fact for *optimizing functions*, defined by : MaxSat(G, ϕ , X) = Max { | A | / G | = ϕ (A) }

Remark : In these two cases, one could also use the deterministic automata constructed during the Büchi-style proof, with better practical perspectives.

8. A Büchi-style proof of The Theorem,

based on J. Engelfriet : A regular characterization of MS definable graph languages, Theor. Comput. Sci. Vol. 88 (1991) 139-150

For set of labels A : $G(A) = \{ \text{ graphs with vertices labelled in A } \}$ For graph G and v: $\{ X_1, ..., X_n \} \longrightarrow P(\text{Vertices}(G)),$ the graph G*v in $G(\{ 0,1 \}^n)$ encodes G and v as in the "Büchi-style" proof.

For $\phi(X_1,...,X_n)$ MS formula, we define : $L(\phi(X_1,...,X_n)) = \text{the set of } G_*\nu \text{ such that } (G,\nu) = \phi$ Proposition : These sets are defined by regular expressionsconstructed from certain local sets by Boolean operations andrelabellings(analogous to the "projections" of the "Büchi-style" proof).

Local sets are associated with atomic formulas $L(X_i \subseteq X_j) = graphs$ without label $(w_1, ..., w_n)$ such that $w_i=1, w_j=0$ $L(edg(X_i, X_j)) = graphs$ with at least one edge between a vertex labelled in B_i and a vertex labelled in B_j, where $B_i = set$ of labels $(w_1, ..., w_n)$ such that $w_i = 1$.

Relabelling based on $h : A \longrightarrow B$, replaces every label a by h(a). Useful to define $L(\exists X_n.\phi(X_1,...,X_n))) = h(L(\phi(X_1,...,X_n)))$ where h deletes the last Boolean in each label. Boolean (set) operations give the cases of \land,\lor,\neg .

Proof of the Recognizability Theorem :

1) Each local set is recognizable : not hard to construct congruences witnessing this fact.

2) $\operatorname{Rec}(\operatorname{VR})$ is closed under Boolean operations (general fact), 3) and under relabellings h : $G(A) \longrightarrow G(B)$:

if $L \subseteq G(A)$ is recognizable for congruence ~,

then $h(L) \subseteq G(B)$ is recognizable for congruence \approx such that :

 $G \approx H \iff k(G) = k(H)$ where $k(G) = \{ [G']_{\sim} \mid h(G') = G \}$

The number of classes may increase exponentially from ~ to \approx .

9. Comparing the proofs

E(ngelfriet's) extends B(üchi's); F-V = Feferman-Vaught paradigm

	В	E	F-V
Rec Thm for VR	NO	YES	YES
Rec Thm for STR	NO	Technical	YES
Implementability	YES	as for B	NO
	"Small" cases		
Extension to counting	YES	NO	YES
Other algo. applications	YES	NO	??
Teachability	Easy	Technical	Doable

About implementation: The automaton constructed from ϕ and k may be too large for being practically compiled.

Problems with size of memory for intermediate automata, even if the *unique minimal deterministic* automaton has manageable number of states. Hopes come from precomputed automata for subformulas. Soguet *et al.*, using MONA, have constructed automata for the following cases :

	Clique-width 2	Clique-width 3
MaxDegree <u><</u> 3	91 states	Space-Out
Degree <u><</u> 4(x)	48 states	233 states
Path(x,y)in(X)	26 states	Space-Out
Connectedness	11 states	Space-Out
IsConnComp(X)	48 states	Space-Out
Has <u><</u> 4-VertCov	111 states	1037 states
HasClique <u>></u> 4	21 states	153 states
2-colorable	11 states	57 states

Open questions :

To what extent can one overcome the difficulties that come from state explosion of the constructed automata ?

Another difficulty : the *parsing problem* : construction of an appropriate term witnessing clique-width $\leq k$ (also arise for graphs of bounded tree-width).

Bonus : Monadic Second-order logic with edge set quantifications and the graph algebra **HR**

Edge set quantifications increase the expressive power of MS logic

Incidence graph of G undirected, $Inc(G) = (V_G \cup E_G, inc_G(.,.))$

 $inc_G(v,e) \iff v$ is a vertex (in V_G) of edge e (in E_G).

Monadic second-order (MS_2) formulas written with inc can use quantifications on sets of edges.

The existence of a perfect matching or a Hamiltonian circuit is expressible by an MS₂ formula, but not by an MS formula.

The Recognizability Theorem :

Every MS- definable set of finite graphs is VR-recognizable

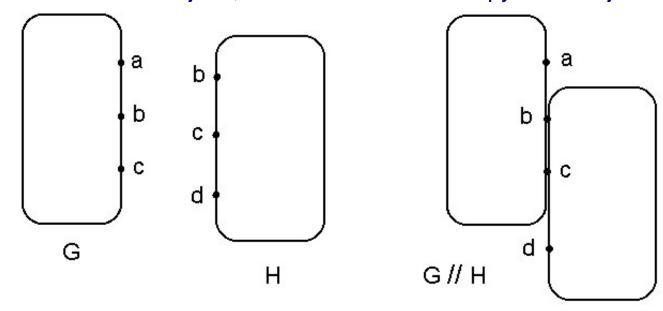
Every MS₂- definable set of finite graphs is HR-recognizable

where HR- is another graph algebra defined below

HR operations : Origin : Hyperedge Replacement hypergraph grammars ; associated complexity measure : tree-width

Graphs have distinguished vertices called *sources,* (or terminals or boundary vertices) pointed to by source labels from a finite set : {*a, b, c, ..., h*}. *Binary operation(s)* : *Parallel composition*

G // H is the disjoint union of G and H and sources with same label are fused. (If G and H are not disjoint, one first makes a copy of H disjoint from G).



Unary operations : Forget a source label Forget_a(G) is G without a-source: the source is no longer distinguished ; (it is made "internal").

Source renaming :

 $Ren_{a \leftrightarrow b}(G)$ exchanges source labels *a* and *b*

(replaces a by b if b is not the label of a source)

Nullary operations denote basic graphs : the connected graphs with at most one edge.

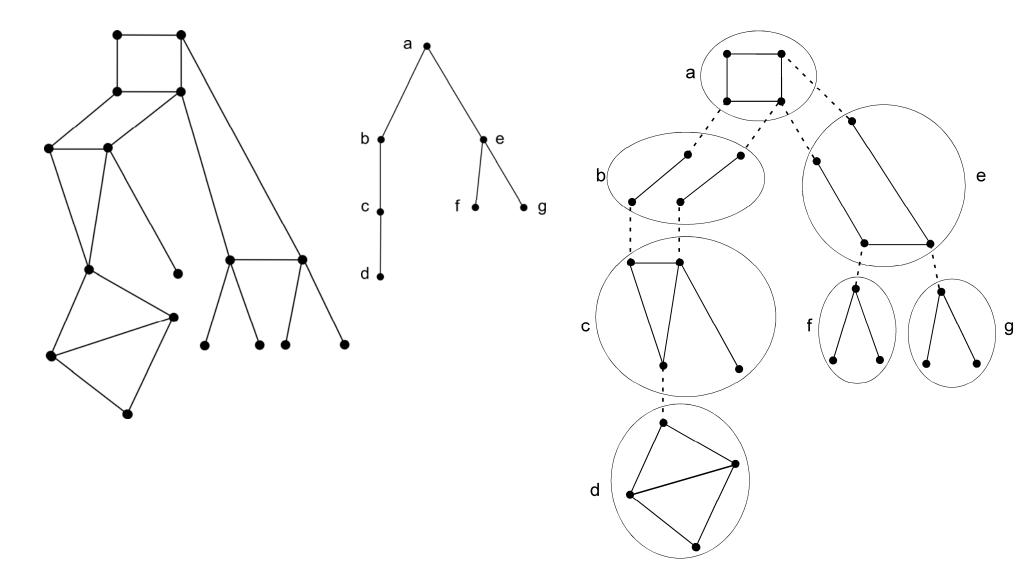
For dealing with hypergraphs one takes more nullary symbols for denoting hyperedges.

Each graph G has type $\tau(G)$ = the set of labels of its sources.

The type function has a homomorphic behaviour :

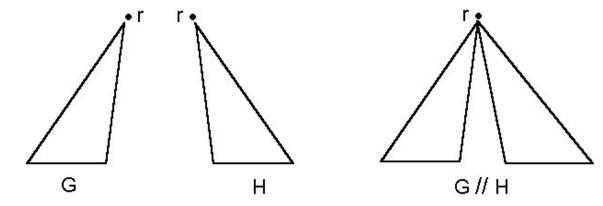
 $\tau(G//H) = \tau(G) \cup \tau(G) ; \tau(Forget_{a}(G)) = \tau(G) - \{a\} ; \tau(Ren_{a} \leftrightarrow b(G)) = \tau(G)[a/b, b/a].$

Tree-decompositions



Proposition: A graph has tree-width $\leq k$ if and only if it can be constructed from basic graphs with $\leq k+1$ labels by using the operations //, $Ren_{a \rightarrow b}$ and *Forgeta*.

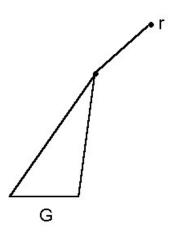
Example : Trees are of tree-width 1, constructed with two source labels, r (root) and n (new root): Fusion of two trees at their roots :



Extension of a tree by parallel composition with a new edge, forgetting the old root, making the "new root" as current root :

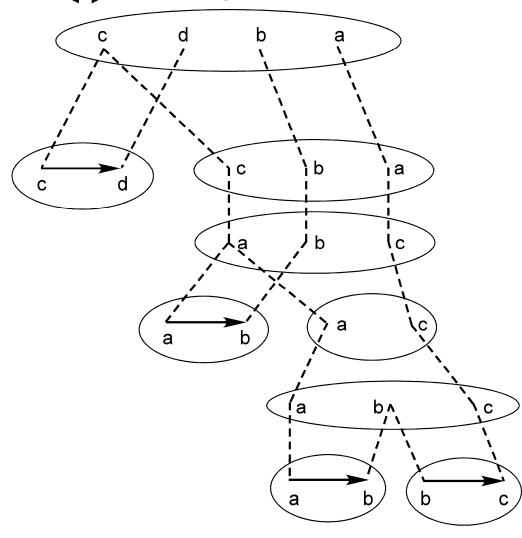
 $e = r \bullet n$

 $Ren_{n \leftrightarrow r} (Forget_{r} (G // e))$



From an algebraic expression to a tree-decomposition

Example : cd // *Ren*_{a \leftarrow c (ab // *Forget*_b(ab // bc)) (Constant ab denotes an edge from a to b)}



The tree-decomposition associated with this term.