

# Isomorphism of regular trees and words

Markus Lohrey  
Christian Mathissen

University of Leipzig

November 7, 2011

## Regular words (3 examples)

**Example 1:** Consider the equation  $X = abX$ .

## Regular words (3 examples)

**Example 1:** Consider the equation  $X = abX$ .

What is its smallest solution?

$$X = (ab)^\omega$$

## Regular words (3 examples)

**Example 1:** Consider the equation  $X = abX$ .

What is its smallest solution?

$$X = (ab)^\omega = ababab\cdots$$

## Regular words (3 examples)

**Example 1:** Consider the equation  $X = abX$ .

What is its smallest solution?

$$X = (ab)^\omega = ababab\cdots$$

**Example 2:** Consider the equation  $X = Xab$ .

## Regular words (3 examples)

**Example 1:** Consider the equation  $X = abX$ .

What is its smallest solution?

$$X = (ab)^\omega = ababab\cdots$$

**Example 2:** Consider the equation  $X = Xab$ .

What is its smallest solution?

$$X = (ab)^{\overline{\omega}}$$

## Regular words (3 examples)

**Example 1:** Consider the equation  $X = abX$ .

What is its smallest solution?

$$X = (ab)^\omega = ababab\cdots$$

**Example 2:** Consider the equation  $X = Xab$ .

What is its smallest solution?

$$X = (ab)^{\overline{\omega}} = \cdots ababab$$

## Regular words (3 examples)

**Example 1:** Consider the equation  $X = abX$ .

What is its smallest solution?

$$X = (ab)^\omega = ababab \dots$$

**Example 2:** Consider the equation  $X = Xab$ .

What is its smallest solution?

$$X = (ab)^{\overline{\omega}} = \dots ababab$$

**Example 3:** Consider the equation  $X = XaXbX$ .



## Regular words (3 examples)

**Example 1:** Consider the equation  $X = abX$ .

What is its smallest solution?

$$X = (ab)^\omega = ababab \dots$$

**Example 2:** Consider the equation  $X = Xab$ .

What is its smallest solution?

$$X = (ab)^{\overline{\omega}} = \dots ababab$$

**Example 3:** Consider the equation  $X = XaXbX$ .

What is its smallest solution?

$$X = [a, b]^\eta$$

## Regular words (3 examples)

**Example 1:** Consider the equation  $X = abX$ .

What is its smallest solution?

$$X = (ab)^\omega = ababab \dots$$

**Example 2:** Consider the equation  $X = Xab$ .

What is its smallest solution?

$$X = (ab)^{\overline{\omega}} = \dots ababab$$

**Example 3:** Consider the equation  $X = XaXbX$ .

What is its smallest solution?

$$X = [a, b]^\eta \quad (\text{dense shuffle of } a \text{ and } b)$$

## Regular words (a bit more formal)

A **generalized word** over the finite alphabet  $\Sigma$  is a tuple  $(L, \leq, c)$ , where

## Regular words (a bit more formal)

A **generalized word** over the finite alphabet  $\Sigma$  is a tuple  $(L, \leq, c)$ , where

- ▶  $(L, \leq)$  is a countable linear order and

## Regular words (a bit more formal)

A **generalized word** over the finite alphabet  $\Sigma$  is a tuple  $(L, \leq, c)$ , where

- ▶  $(L, \leq)$  is a countable linear order and
- ▶  $c : L \rightarrow \Sigma$  is a coloring.

## Regular words (a bit more formal)

A **generalized word** over the finite alphabet  $\Sigma$  is a tuple  $(L, \leq, c)$ , where

- ▶  $(L, \leq)$  is a countable linear order and
- ▶  $c : L \rightarrow \Sigma$  is a coloring.

**Concatenation** of generalized words is defined in the natural way:

Put  $(L_2, \leq_2, c_2)$  to the right of  $(L_1, \leq_1, c_1)$ .

## Regular words (a bit more formal)

A **generalized word** over the finite alphabet  $\Sigma$  is a tuple  $(L, \leq, c)$ , where

- ▶  $(L, \leq)$  is a countable linear order and
- ▶  $c : L \rightarrow \Sigma$  is a coloring.

**Concatenation** of generalized words is defined in the natural way:

Put  $(L_2, \leq_2, c_2)$  to the right of  $(L_1, \leq_1, c_1)$ .

A **system of equations** over the finite alphabet  $\Sigma$  consists of

## Regular words (a bit more formal)

A **generalized word** over the finite alphabet  $\Sigma$  is a tuple  $(L, \leq, c)$ , where

- ▶  $(L, \leq)$  is a countable linear order and
- ▶  $c : L \rightarrow \Sigma$  is a coloring.

**Concatenation** of generalized words is defined in the natural way:

Put  $(L_2, \leq_2, c_2)$  to the right of  $(L_1, \leq_1, c_1)$ .

A **system of equations** over the finite alphabet  $\Sigma$  consists of

- ▶ a finite set of variables  $\{X_1, \dots, X_n\}$  and



## Regular words (a bit more formal)

A **generalized word** over the finite alphabet  $\Sigma$  is a tuple  $(L, \leq, c)$ , where

- ▶  $(L, \leq)$  is a countable linear order and
- ▶  $c : L \rightarrow \Sigma$  is a coloring.

**Concatenation** of generalized words is defined in the natural way:

Put  $(L_2, \leq_2, c_2)$  to the right of  $(L_1, \leq_1, c_1)$ .

A **system of equations** over the finite alphabet  $\Sigma$  consists of

- ▶ a finite set of variables  $\{X_1, \dots, X_n\}$  and
- ▶ equations  $X_1 = \alpha_1, \dots, X_n = \alpha_n$ , where  $\alpha_i \in (\Sigma \cup \{X_1, \dots, X_n\})^*$ .

## Regular words (a bit more formal)

A **generalized word** over the finite alphabet  $\Sigma$  is a tuple  $(L, \leq, c)$ , where

- ▶  $(L, \leq)$  is a countable linear order and
- ▶  $c : L \rightarrow \Sigma$  is a coloring.

**Concatenation** of generalized words is defined in the natural way:

Put  $(L_2, \leq_2, c_2)$  to the right of  $(L_1, \leq_1, c_1)$ .

A **system of equations** over the finite alphabet  $\Sigma$  consists of

- ▶ a finite set of variables  $\{X_1, \dots, X_n\}$  and
- ▶ equations  $X_1 = \alpha_1, \dots, X_n = \alpha_n$ , where  $\alpha_i \in (\Sigma \cup \{X_1, \dots, X_n\})^*$ .

Such a system has (in a certain technical sense) a smallest solution, which (intuitively) can be obtained by unravelling the system starting from  $X_1$ .

## Regular words (a bit more formal)

A **generalized word** over the finite alphabet  $\Sigma$  is a tuple  $(L, \leq, c)$ , where

- ▶  $(L, \leq)$  is a countable linear order and
- ▶  $c : L \rightarrow \Sigma$  is a coloring.

**Concatenation** of generalized words is defined in the natural way:

Put  $(L_2, \leq_2, c_2)$  to the right of  $(L_1, \leq_1, c_1)$ .

A **system of equations** over the finite alphabet  $\Sigma$  consists of

- ▶ a finite set of variables  $\{X_1, \dots, X_n\}$  and
- ▶ equations  $X_1 = \alpha_1, \dots, X_n = \alpha_n$ , where  $\alpha_i \in (\Sigma \cup \{X_1, \dots, X_n\})^*$ .

Such a system has (in a certain technical sense) a smallest solution, which (intuitively) can be obtained by unravelling the system starting from  $X_1$ .

A generalized word is **regular** iff it is the smallest solution of a system of equations.

## Regular words (1st alternative characterization)

Consider a tree  $T$ , which is:

(i) rooted, (ii) finitely branching, (iii) ordered, and (iv)  $\Sigma$ -labelled.

## Regular words (1st alternative characterization)

Consider a tree  $T$ , which is:

(i) rooted, (ii) finitely branching, (iii) ordered, and (iv)  $\Sigma$ -labelled.

$T$  defines a generalized word  $\text{yield}(T) = (L, \leq, c)$  as follows:

- ▶  $L$  is the set leaves of  $T$
- ▶  $\leq$  is the natural left-to-right order on leaves, and
- ▶  $c(v) = a$  if the leaf  $v$  is labelled with  $a$ .

## Regular words (1st alternative characterization)

Consider a tree  $T$ , which is:

(i) rooted, (ii) finitely branching, (iii) ordered, and (iv)  $\Sigma$ -labelled.

$T$  defines a generalized word  $\text{yield}(T) = (L, \leq, c)$  as follows:

- ▶  $L$  is the set leaves of  $T$
- ▶  $\leq$  is the natural left-to-right order on leaves, and
- ▶  $c(v) = a$  if the leaf  $v$  is labelled with  $a$ .

$T$  is **regular** iff  $T$  has only finitely many subtrees up to isomorphism.

## Regular words (1st alternative characterization)

Consider a tree  $T$ , which is:

(i) rooted, (ii) finitely branching, (iii) ordered, and (iv)  $\Sigma$ -labelled.

$T$  defines a generalized word  $\text{yield}(T) = (L, \leq, c)$  as follows:

- ▶  $L$  is the set leaves of  $T$
- ▶  $\leq$  is the natural left-to-right order on leaves, and
- ▶  $c(v) = a$  if the leaf  $v$  is labelled with  $a$ .

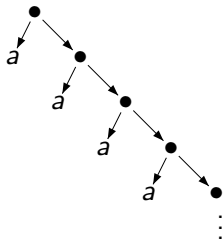
$T$  is **regular** iff  $T$  has only finitely many subtrees up to isomorphism.

### Observation

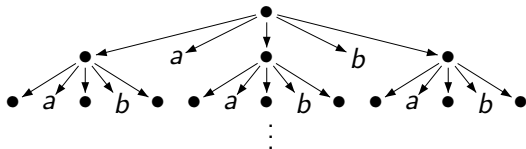
A generalized word  $w$  is regular  $\iff w = \text{yield}(T)$  for a regular tree  $T$ .

# Regular words (1st alternative characterization)

$$X = aX$$



$$X = XaXbX$$





## Regular words (2nd alternative characterization)

A partitioned DFA is a tuple

$$A = (Q, \{1, \dots, k\}, \delta, q_0, (F_a)_{a \in \Sigma}),$$

where  $\Sigma$  is a finite alphabet and  $(Q, \{1, \dots, k\}, \delta, q_0, \bigcup_{a \in \Sigma} F_a)$  is an ordinary DFA.

## Regular words (2nd alternative characterization)

A partitioned DFA is a tuple

$$A = (Q, \{1, \dots, k\}, \delta, q_0, (F_a)_{a \in \Sigma}),$$

where  $\Sigma$  is a finite alphabet and  $(Q, \{1, \dots, k\}, \delta, q_0, \bigcup_{a \in \Sigma} F_a)$  is an ordinary DFA.

$A$  defines a generalized word  $w(A) = (L, \leq, c)$ , where

- ▶  $L$  is the language accepted by  $(Q, \{1, \dots, k\}, \delta, q_0, \bigcup_{a \in \Sigma} F_a)$ ,
- ▶  $\leq$  is the lexicographical order on  $L$ , and
- ▶  $c(v) = a$  if  $v$  is accepted by the DFA  $(Q, \{1, \dots, k\}, \delta, q_0, F_a)$ .

## Regular words (2nd alternative characterization)

A partitioned DFA is a tuple

$$A = (Q, \{1, \dots, k\}, \delta, q_0, (F_a)_{a \in \Sigma}),$$

where  $\Sigma$  is a finite alphabet and  $(Q, \{1, \dots, k\}, \delta, q_0, \bigcup_{a \in \Sigma} F_a)$  is an ordinary DFA.

$A$  defines a generalized word  $w(A) = (L, \leq, c)$ , where

- ▶  $L$  is the language accepted by  $(Q, \{1, \dots, k\}, \delta, q_0, \bigcup_{a \in \Sigma} F_a)$ ,
- ▶  $\leq$  is the lexicographical order on  $L$ , and
- ▶  $c(v) = a$  if  $v$  is accepted by the DFA  $(Q, \{1, \dots, k\}, \delta, q_0, F_a)$ .

### Observation

A generalized word  $w$  is regular  $\iff w = w(A)$  for a partitioned DFA  $A$ .

## Regular words (3rd alternative characterization)

We define the following operations on generalized words:

- ▶ Concatenation

## Regular words (3rd alternative characterization)

We define the following operations on generalized words:

- ▶ Concatenation
- ▶  $\omega$ -power:  $w^\omega = www \dots$

## Regular words (3rd alternative characterization)

We define the following operations on generalized words:

- ▶ Concatenation
- ▶  $\omega$ -power:  $w^\omega = www \dots$
- ▶  $\bar{\omega}$ -power:  $w^{\bar{\omega}} = \dots www$

## Regular words (3rd alternative characterization)

We define the following operations on generalized words:

- ▶ Concatenation
- ▶  $\omega$ -power:  $w^\omega = www \dots$
- ▶  $\bar{\omega}$ -power:  $w^{\bar{\omega}} = \dots www$
- ▶ Dense shuffle  $[w_1, w_2, \dots, w_n]^\eta$ :
  - ▶ Take a dense coloring of  $(\mathbb{Q}, \leq)$  with colors  $1, \dots, n$  (every color  $i$  appears between any two rationals  $x < y$ ).
  - ▶ Replace every  $i$ -colored point by a copy of  $w_i$ .

## Regular words (3rd alternative characterization)

We define the following operations on generalized words:

- ▶ Concatenation
- ▶  $\omega$ -power:  $w^\omega = www \dots$
- ▶  $\bar{\omega}$ -power:  $w^{\bar{\omega}} = \dots www$
- ▶ Dense shuffle  $[w_1, w_2, \dots, w_n]^\eta$ :
  - ▶ Take a dense coloring of  $(\mathbb{Q}, \leq)$  with colors  $1, \dots, n$  (every color  $i$  appears between any two rationals  $x < y$ ).
  - ▶ Replace every  $i$ -colored point by a copy of  $w_i$ .

A **regular expression**  $e$  over the finite alphabet  $\Sigma$  is built up from these operations and the symbols from  $\Sigma$ .



## Regular words (3rd alternative characterization)

We define the following operations on generalized words:

- ▶ Concatenation
- ▶  $\omega$ -power:  $w^\omega = www \dots$
- ▶  $\bar{\omega}$ -power:  $w^{\bar{\omega}} = \dots www$
- ▶ Dense shuffle  $[w_1, w_2, \dots, w_n]^\eta$ :
  - ▶ Take a dense coloring of  $(\mathbb{Q}, \leq)$  with colors  $1, \dots, n$  (every color  $i$  appears between any two rationals  $x < y$ ).
  - ▶ Replace every  $i$ -colored point by a copy of  $w_i$ .

A **regular expression**  $e$  over the finite alphabet  $\Sigma$  is built up from these operations and the symbols from  $\Sigma$ .

A regular expression  $e$  defines a generalized word  $\text{val}(e)$ .

## Regular words (3rd alternative characterization)

We define the following operations on generalized words:

- ▶ Concatenation
- ▶  $\omega$ -power:  $w^\omega = www \dots$
- ▶  $\bar{\omega}$ -power:  $w^{\bar{\omega}} = \dots www$
- ▶ Dense shuffle  $[w_1, w_2, \dots, w_n]^\eta$ :
  - ▶ Take a dense coloring of  $(\mathbb{Q}, \leq)$  with colors  $1, \dots, n$  (every color  $i$  appears between any two rationals  $x < y$ ).
  - ▶ Replace every  $i$ -colored point by a copy of  $w_i$ .

A **regular expression**  $e$  over the finite alphabet  $\Sigma$  is built up from these operations and the symbols from  $\Sigma$ .

A regular expression  $e$  defines a generalized word  $\text{val}(e)$ .

Heilbrunner 1980

A generalized word  $w$  is regular  $\iff w = \text{val}(e)$  for a regular expression  $e$ .

# Isomorphism problem for a regular words I

Thomas 1986

It is decidable, whether  $w_1 \cong w_2$  for two given regular words  $w_1, w_2$  (given, e.g., by regular expressions or partitioned DFAs).

# Isomorphism problem for a regular words I

## Thomas 1986

It is decidable, whether  $w_1 \cong w_2$  for two given regular words  $w_1, w_2$  (given, e.g., by regular expressions or partitioned DFAs).

- ▶ Thomas proves this result by a reduction to the MSO theory of countable linear orders (decidable by Rabin 1969).

# Isomorphism problem for a regular words I

## Thomas 1986

It is decidable, whether  $w_1 \cong w_2$  for two given regular words  $w_1, w_2$  (given, e.g., by regular expressions or partitioned DFAs).

- ▶ Thomas proves this result by a reduction to the MSO theory of countable linear orders (decidable by Rabin 1969).
- ▶ No good complexity bound

# Isomorphism problem for a regular words I

## Thomas 1986

It is decidable, whether  $w_1 \cong w_2$  for two given regular words  $w_1, w_2$  (given, e.g., by regular expressions or partitioned DFAs).

- ▶ Thomas proves this result by a reduction to the MSO theory of countable linear orders (decidable by Rabin 1969).
- ▶ No good complexity bound

## Bloom, Esik 2005

It can be checked in polynomial time, whether  $\text{val}(e_1) \cong \text{val}(e_2)$  for two given regular expressions  $e_1, e_2$ .

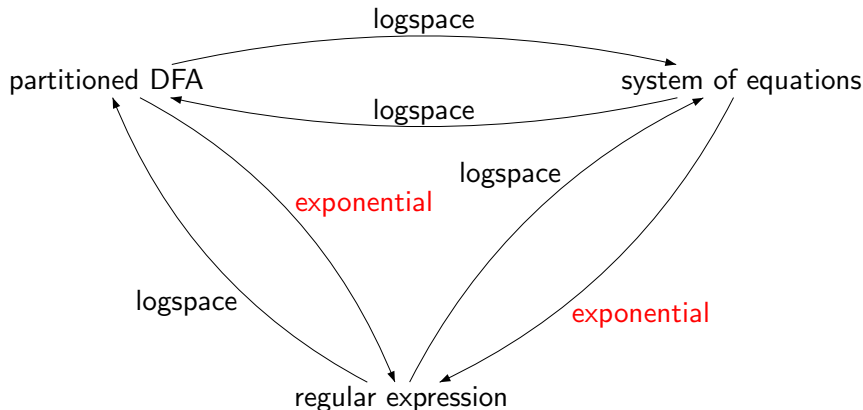
## Isomorphism problem for a regular II

**Open problem:** What is the complexity of the isomorphism problem for regular words given by systems of equations or partitioned DFAs?

## Isomorphism problem for a regular II

**Open problem:** What is the complexity of the isomorphism problem for regular words given by systems of equations or partitioned DFAs?

Complexity of transforming representations for regular words:





## Our main result

### Theorem 1

It can be checked in polynomial time whether  $w(A_1) \cong w(A_2)$  for two given partitioned DFAs  $A_1, A_2$  (in fact: P-complete).

# Our main result

## Theorem 1

It can be checked in polynomial time whether  $w(A_1) \cong w(A_2)$  for two given partitioned DFAs  $A_1, A_2$  (in fact: P-complete).

Analyzing Heilbrunner's algorithm yields:

## Partitioned DFA $\rightarrow$ DAG

From a given partitioned DFA  $A$  one can compute in logspace a DAG (directed acyclic graph), whose unfolding is a regular expression  $e$  with  $\text{val}(e) = w(A)$ .

# Our main result

## Theorem 1

It can be checked in polynomial time whether  $w(A_1) \cong w(A_2)$  for two given partitioned DFAs  $A_1, A_2$  (in fact: P-complete).

Analyzing Heilbrunner's algorithm yields:

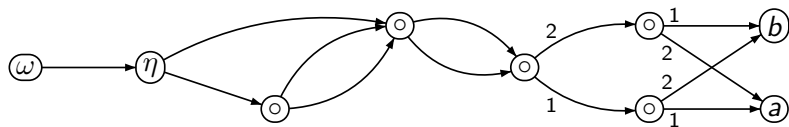
## Partitioned DFA $\rightarrow$ DAG

From a given partitioned DFA  $A$  one can compute in logspace a DAG (directed acyclic graph), whose unfolding is a regular expression  $e$  with  $\text{val}(e) = w(A)$ .

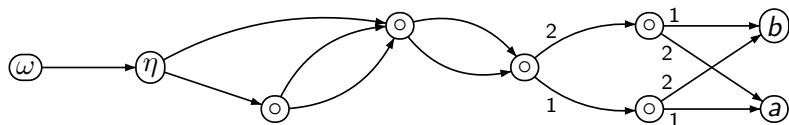
## Proposition

It can be checked in polynomial time whether for two given DAGs, the corresponding regular expressions define isomorphic regular words.

# DAGs: An example



## DAGs: An example



This DAG produces the generalized word

$$[abbaabba, abbaabbaabbaabba]^\eta)^\omega.$$

## Its about data compression

Consider a DAG, in which the operations  $()^\omega$ ,  $()^{\bar{\omega}}$ , and  $[]^\eta$  are not used (only concatenation and constants from the alphabet).

## Its about data compression

Consider a DAG, in which the operations  $()^\omega$ ,  $()^{\bar{\omega}}$ , and  $[]^\eta$  are not used (only concatenation and constants from the alphabet).

Such a DAG is also called a **straight-line programm (SLP)**.

## Its about data compression

Consider a DAG, in which the operations  $()^\omega$ ,  $()^{\bar{\omega}}$ , and  $[]^\eta$  are not used (only concatenation and constants from the alphabet).

Such a DAG is also called a **straight-line programm (SLP)**.

An SLP with  $n$  nodes can define a finite word of length  $2^n$ .



## Its about data compression

Consider a DAG, in which the operations  $()^\omega$ ,  $()^{\bar{\omega}}$ , and  $[]^\eta$  are not used (only concatenation and constants from the alphabet).

Such a DAG is also called a **straight-line programm (SLP)**.

An SLP with  $n$  nodes can define a finite word of length  $2^n$ .

Plandowski 1994

It can be checked in polynomial time, whether two given SLPs produce the same string.

## Its about data compression

Consider a DAG, in which the operations  $()^\omega$ ,  $()^{\bar{\omega}}$ , and  $[]^\eta$  are not used (only concatenation and constants from the alphabet).

Such a DAG is also called a **straight-line programm (SLP)**.

An SLP with  $n$  nodes can define a finite word of length  $2^n$ .

### Plandowski 1994

It can be checked in polynomial time, whether two given SLPs produce the same string.

We have to extend Plandowskis algorithm from SLPs to general DAGs!

## Its about data compression

Consider a DAG, in which the operations  $()^\omega$ ,  $()^{\bar{\omega}}$ , and  $[]^\eta$  are not used (only concatenation and constants from the alphabet).

Such a DAG is also called a **straight-line programm (SLP)**.

An SLP with  $n$  nodes can define a finite word of length  $2^n$ .

### Plandowski 1994

It can be checked in polynomial time, whether two given SLPs produce the same string.

We have to extend Plandowskis algorithm from SLPs to general DAGs!

But: We reduce (by a polyomial time Turing reduction) the equivalence problem for general DAGs to those for SLPs, following the strategy of Bloom and Esik.

## Related results

### Theorem 2

It is PSPACE-hard (and in EXPTIME) to check for two given NFAs  $A_1, A_2$ , whether  $(L(A_1), \leq_{\text{lex}}) \cong (L(A_2), \leq_{\text{lex}})$ .

## Related results

### Theorem 2

It is PSPACE-hard (and in EXPTIME) to check for two given NFAs  $A_1, A_2$ , whether  $(L(A_1), \leq_{\text{lex}}) \cong (L(A_2), \leq_{\text{lex}})$ .

### Theorem 3

It is EXPTIME-complete to check for two given NFAs  $A_1, A_2$ , whether  $(L(A_1), \leq_{\text{pref}}) \cong (L(A_2), \leq_{\text{pref}})$ .

## Related results

### Theorem 2

It is PSPACE-hard (and in EXPTIME) to check for two given NFAs  $A_1, A_2$ , whether  $(L(A_1), \leq_{\text{lex}}) \cong (L(A_2), \leq_{\text{lex}})$ .

### Theorem 3

It is EXPTIME-complete to check for two given NFAs  $A_1, A_2$ , whether  $(L(A_1), \leq_{\text{pref}}) \cong (L(A_2), \leq_{\text{pref}})$ .

### Theorem 4

It is P-complete to check for two given DFAs  $A_1, A_2$ , whether  $(L(A_1), \leq_{\text{pref}}) \cong (L(A_2), \leq_{\text{pref}})$ .

## Related results

Kuske, Liu, L 2010

It is undecidable (even  $\Sigma_1^1$ -complete) to check for two given deterministic pushdown automata (even visibly pushdown automata)  $A_1, A_2$ , whether  $(L(A_1), \leq_{\text{lex}}) \cong (L(A_2), \leq_{\text{lex}})$

## Related results

Kuske, Liu, L 2010

It is undecidable (even  $\Sigma_1^1$ -complete) to check for two given deterministic pushdown automata (even visibly pushdown automata)  $A_1, A_2$ , whether  $(L(A_1), \leq_{\text{lex}}) \cong (L(A_2), \leq_{\text{lex}})$

Kuske, Liu, L 2010

It is undecidable (even  $\Sigma_1^1$ -complete) to check for two given deterministic pushdown automata (even visibly pushdown automata)  $A_1, A_2$ , whether  $(L(A_1), \leq_{\text{pref}}) \cong (L(A_2), \leq_{\text{pref}})$