

Introduction to Collapsible Pushdown Automata and Higher-Order Recursion Schemes

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Higher-order pushdown automata [Maslov 1974] - definition

A 1 -stack is an ordinary stack. A 2 -stack (resp. $(n+1)$ -stack) is a stack of 1 -stacks (resp. n -stack).

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Operations on 2-stacks: s_i are 1-stacks. Top of stack is on right.

$$push_2 : [s_1 \dots s_{i-1} s_i] \rightarrow [s_1 \dots s_{i-1} s_i s_i]$$

$$pop_2 : [s_1 \dots s_{i-1} s_i] \rightarrow [s_1 \dots s_{i-1}]$$

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$$push_1 x : [s_1 \dots s_{i-1} [a_1 \dots a_{j-1} a_j]] \rightarrow [s_1 \dots s_{i-1} [a_1 \dots a_{j-1} a_j x]]$$

$$pop_1 : [s_1 \dots s_{i-1} [a_1 \dots a_{j-1} a_j]] \rightarrow [s_1 \dots s_{i-1} [a_1 \dots a_{j-1}]]$$

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An **order- n PDA** has an order- n stack, and has $push_i$ and pop_i for each $1 \leq i \leq n$.

The next operation depends on the topmost stack symbol, the state, and the next letter on the input.

Higher-order pushdown automata - example

Language: $\{b^{2^k} : k \in \mathbb{N}\}$

- order 2
- 3 stack symbols: \perp , x , $\#$

$(_, q_1) \xrightarrow{\varepsilon} (q_1, \text{push}_1(x))$
any stack symbol

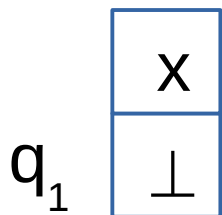
q_1 \perp

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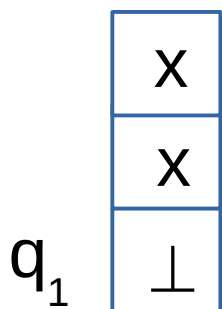


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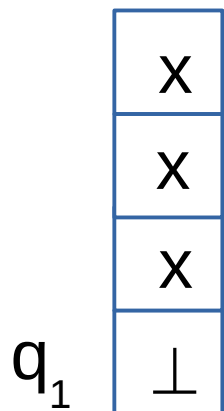
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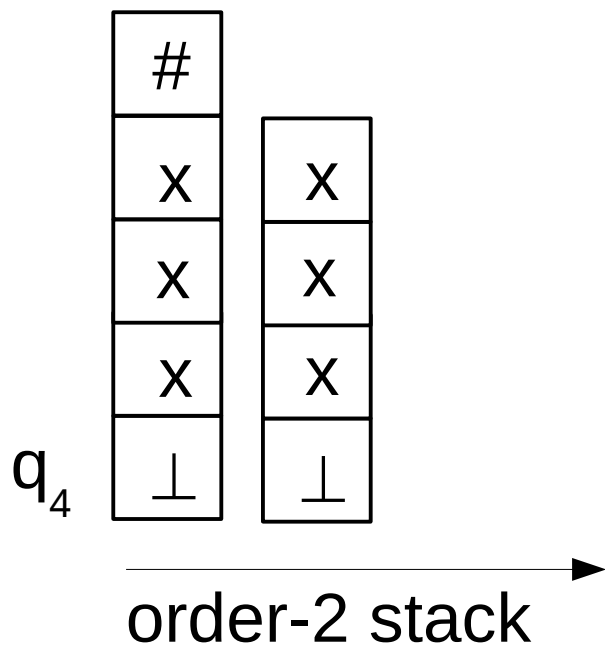
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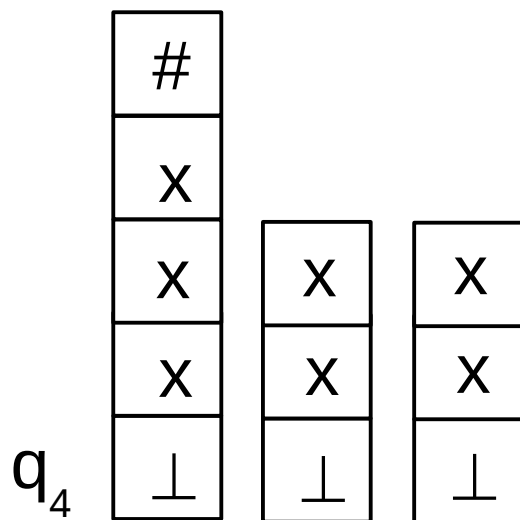
$$(\#, q_2) \xrightarrow{\varepsilon} (q_3, \text{push}_2)$$

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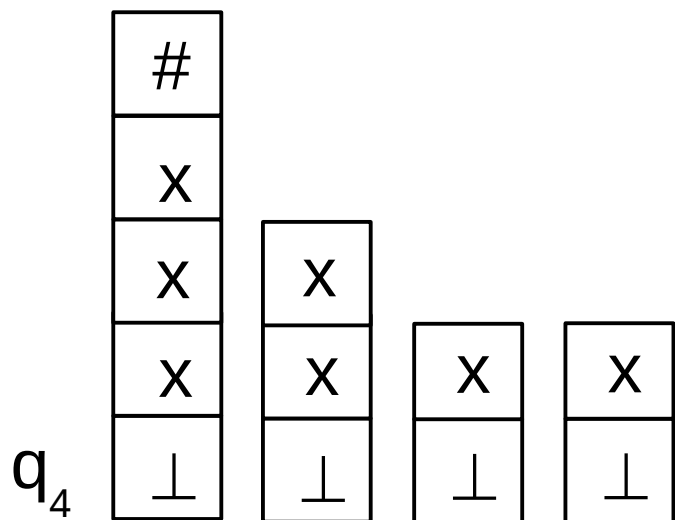
$$(x, q_4) \xrightarrow{\varepsilon} (q_5, \text{pop}_1)$$

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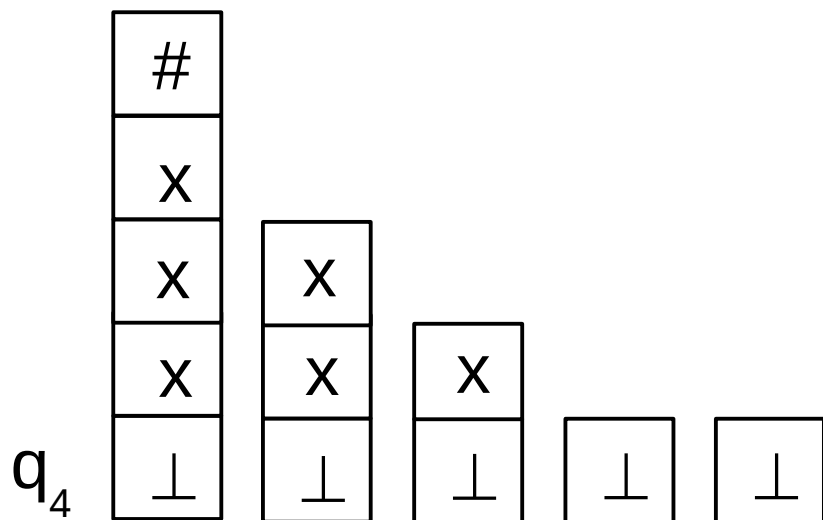
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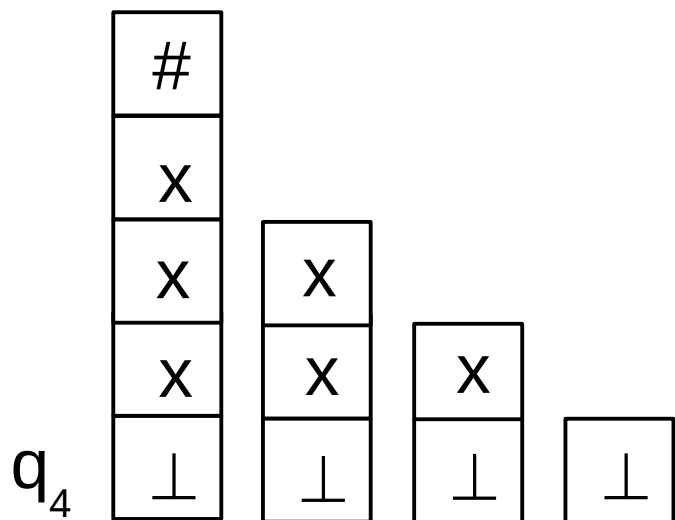
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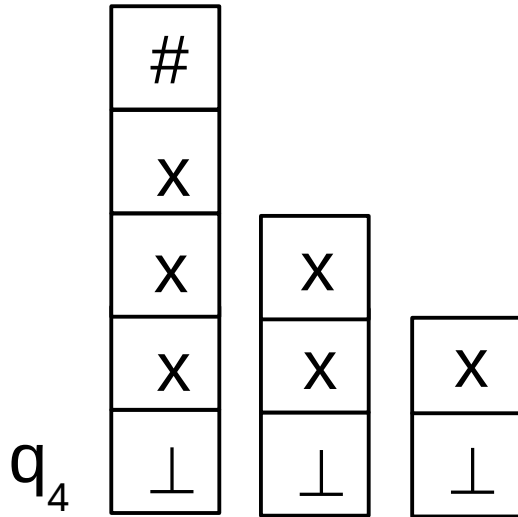
$$(\perp, q_4) \xrightarrow{b} (q_4, \text{pop}_2)$$

Input: b

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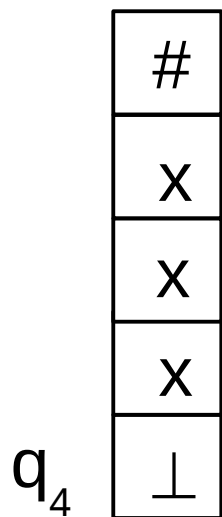
$$(\perp, q_4) \xrightarrow{b} (q_4, \text{pop}_2)$$

Input: $b b$

Higher-order pushdown automata - example

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$$(\perp, q_4) \xrightarrow{b} (q_4, \text{pop}_2)$$

$$(\#, q_4) \xrightarrow{\varepsilon} (q_{\text{acc}}, \text{id})$$

Input: **b b b b b b b b**

Higher-order pushdown automata

“Traditional” view:

- a nondeterministic HOPDA recognizing a language of words, as on previous slides

“Modern” view:

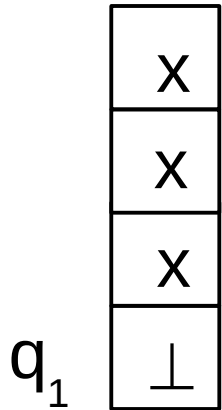
- a deterministic HOPDA generating a single tree (node-labeled, ranked, ordered, usually infinite)

One can also consider configuration graphs of HOPDA – not in this talk.

Higher-order pushdown automata - example

nondeterminism – what to do next?

- order 2
- 3 stack symbols: \perp , x , $\#$



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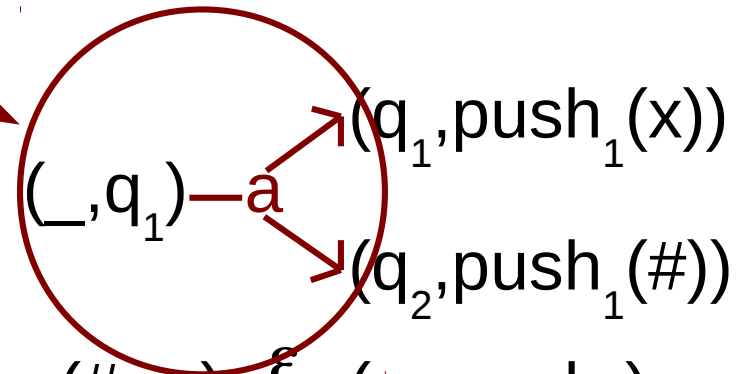
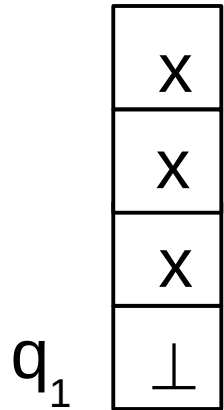
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Higher-order pushdown automata - example

letter a of rank 2

- order 2
- 3 stack symbols: \perp , x, #



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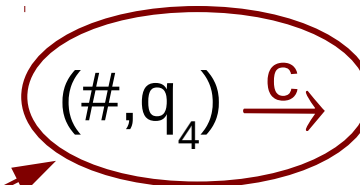
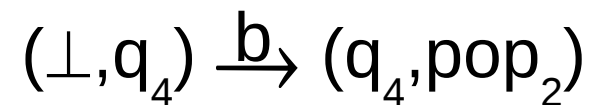
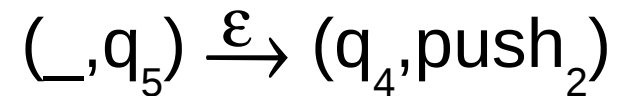
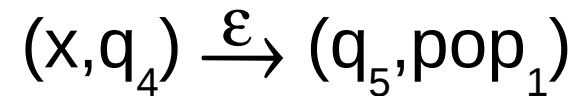
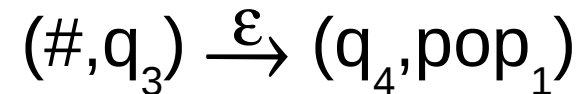
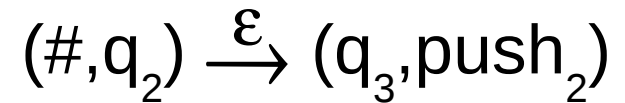
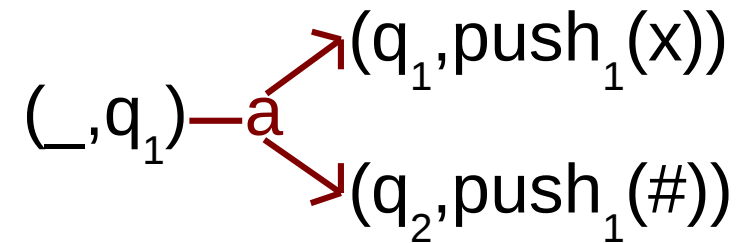
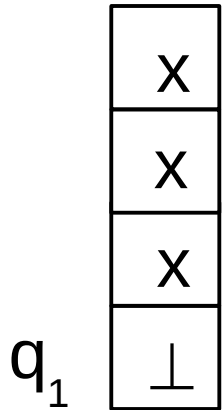
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Higher-order pushdown automata - example

- order 2
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letter c of rank 0, instead of an accepting state

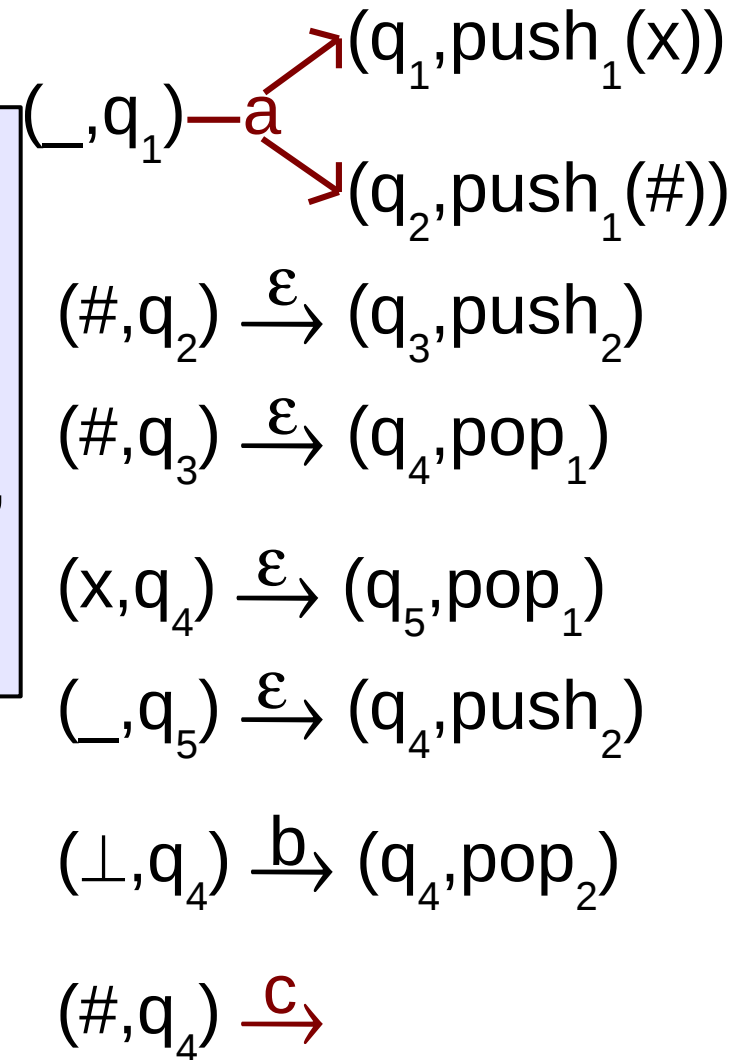
Higher-order pushdown automata - example

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Tree-generating HOPDA - definition

From every pair of stack symbol & state there is either:

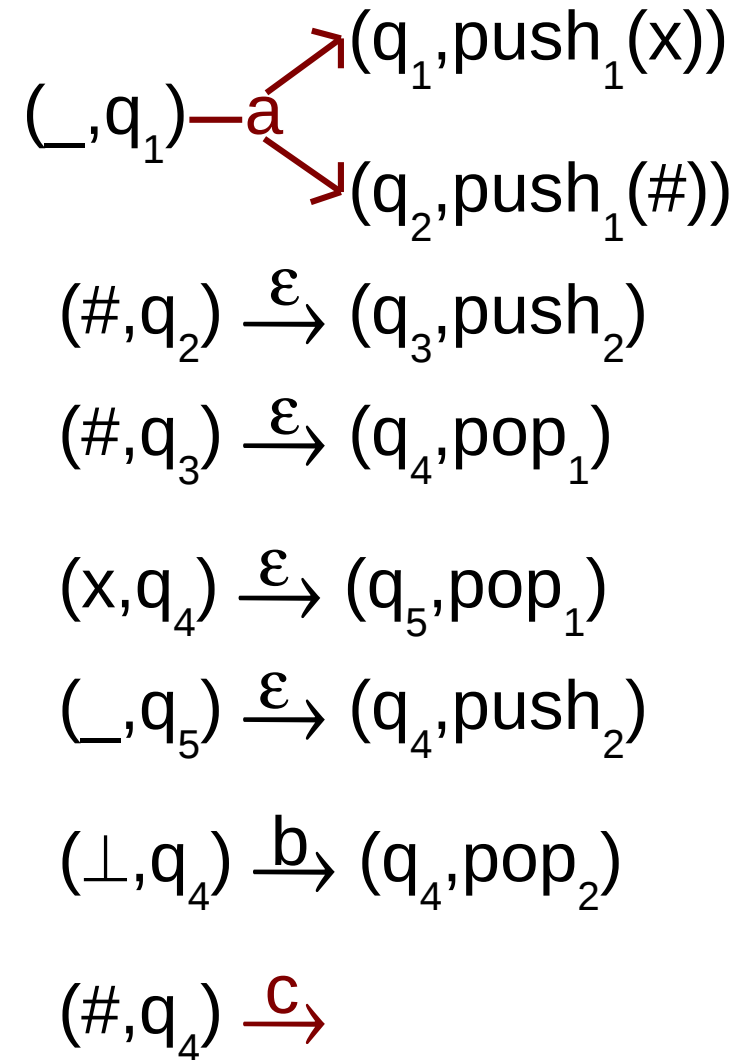
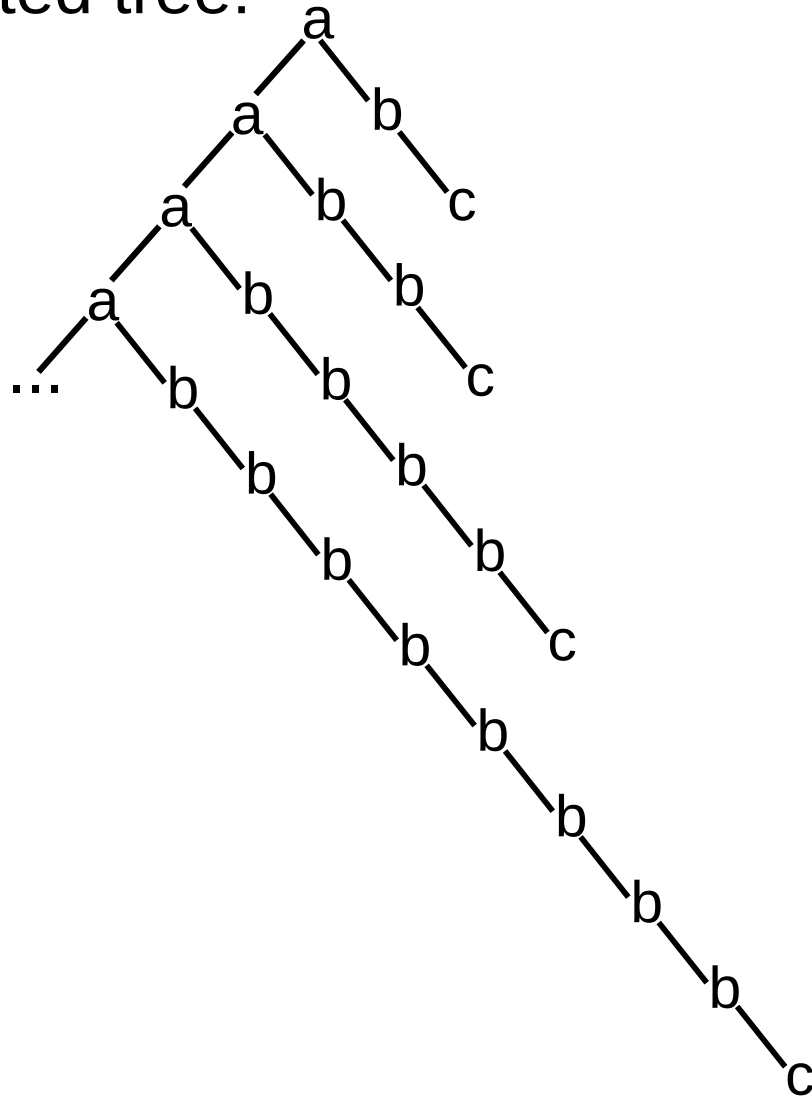
- one ε -transition
- one transition reading a letter of rank k , resulting in k (ordered) pairs of state & operation.



Higher-order pushdown automata - example

- order 2
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Generated tree:



Higher-order recursion schemes

pushdown automata $\xrightarrow{\text{generalization}}$ higher-order pushdown automata

context-free grammars $\xrightarrow{\text{generalization}}$ higher-order recursion schemes

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Nonterminals may take arguments, that can be then used on the right side of productions.

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Every nonterminal (every argument) has assigned some type.

Types:

$$\alpha ::= o \mid \alpha \rightarrow \beta$$

- o – type of a tree
- $o \rightarrow o$ – type of a function that takes a tree, and produces a tree
- $o \rightarrow (o \rightarrow o) \rightarrow o$ – type of a function that takes a tree and a function of type $o \rightarrow o$, and produces a tree

abbreviation of $o \rightarrow ((o \rightarrow o) \rightarrow o)$

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Order:

$$\text{ord}(o) = 0$$

$$\text{ord}(\alpha_1 \rightarrow \dots \rightarrow \alpha_k \rightarrow o) = 1 + \max(\text{ord}(\alpha_1), \dots, \text{ord}(\alpha_k))$$

- $\text{ord}(o) = 0$,
- $\text{ord}(o \rightarrow o) = \text{ord}(o \rightarrow o \rightarrow o) = 1$,
- $\text{ord}(o \rightarrow (o \rightarrow o) \rightarrow o) = 2$

Higher-order recursion schemes – example

Ranked alphabet:

$a^{o \rightarrow o \rightarrow o}$ of rank 2, $b^{o \rightarrow o}$ of rank 1, c^o of rank 0

Nonterminals:

S^o (starting), $A^{(o \rightarrow o) \rightarrow o}$, $D^{(o \rightarrow o) \rightarrow o \rightarrow o}$

Higher-order recursion schemes – example (of order 2)

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order 0 order 2 order 2

Order of a HORS = maximal order of (a type of) its nonterminal

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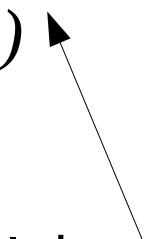
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Rules:

$S \rightarrow A b$

$A f \rightarrow a (A (D f)) (f c)$

$D f x \rightarrow f (f x)$ 

It is required that:

1) types are respected

e.g. D of type $(o \rightarrow o) \rightarrow o \rightarrow o$ is applied to f of type $o \rightarrow o$,

A of type $(o \rightarrow o) \rightarrow o$ is applied to $D f$ of type $o \rightarrow o$, etc.

2) right side of every rule is of type o

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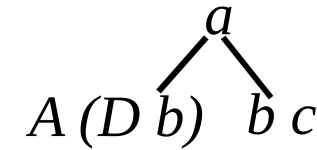
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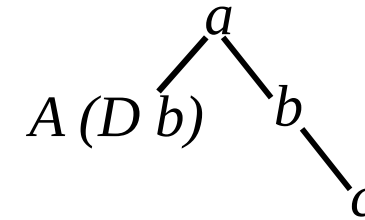
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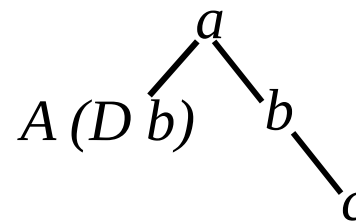
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$A (D b) \rightarrow a (A (D (D b))) (D b c)$

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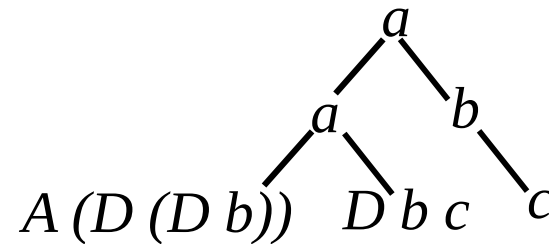
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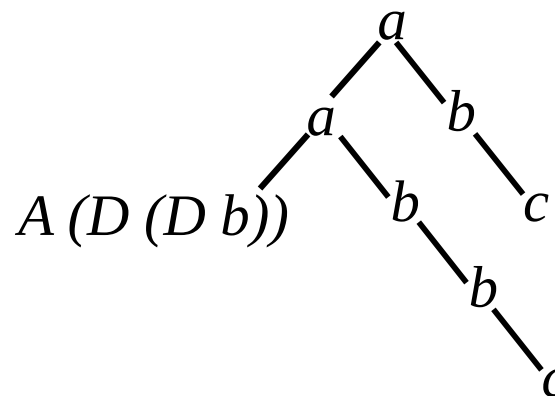
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$D b c \rightarrow b (b c)$



Higher-order recursion schemes

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- If every letter is of rank 1, except a single letter of rank 0, then these trees, consisting of a single branch, can be seen as words → the HORS recognizes a set of words.

Higher-order recursion schemes

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Example:

Alphabet: ~~a of rank 2~~, b of rank 1, c of rank 0

Nonterminals: S^o (starting), $A^{(o \rightarrow o) \rightarrow o}$, $D^{(o \rightarrow o) \rightarrow o \rightarrow o}$

Rules: $S \rightarrow A b$

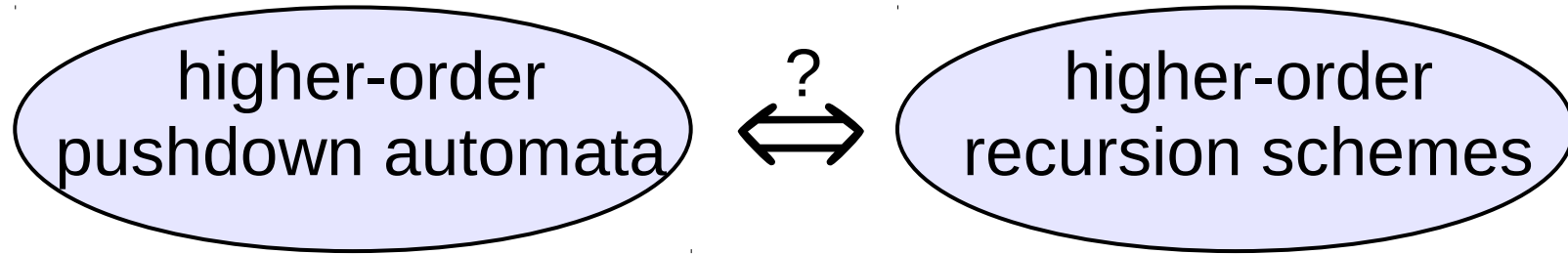
~~$A f \rightarrow a (A (D f)) (f c)$~~ $A f \rightarrow A (D f)$
 $D f x \rightarrow f (f x)$ $A f \rightarrow f c$

end of word marker

Recognized language: $\{b^{2^k} : k \in \mathbb{N}\}$

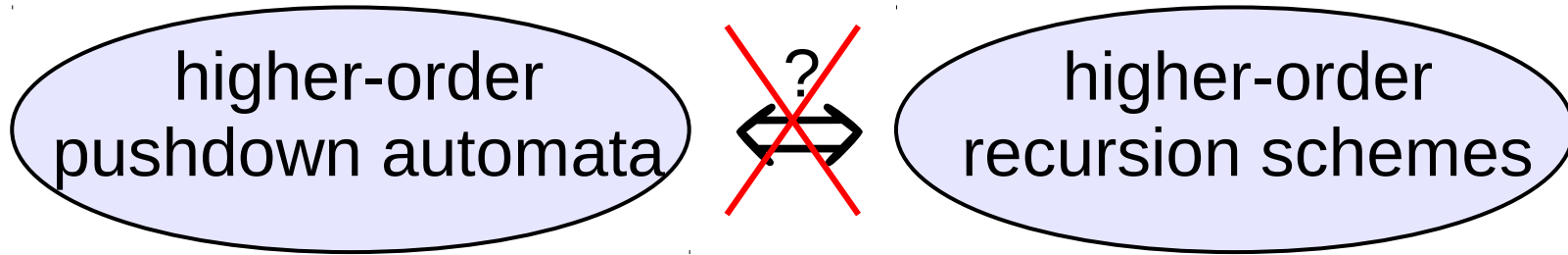
HOPDA vs HORS

Are these two formalisms equivalent?



HOPDA vs HORS

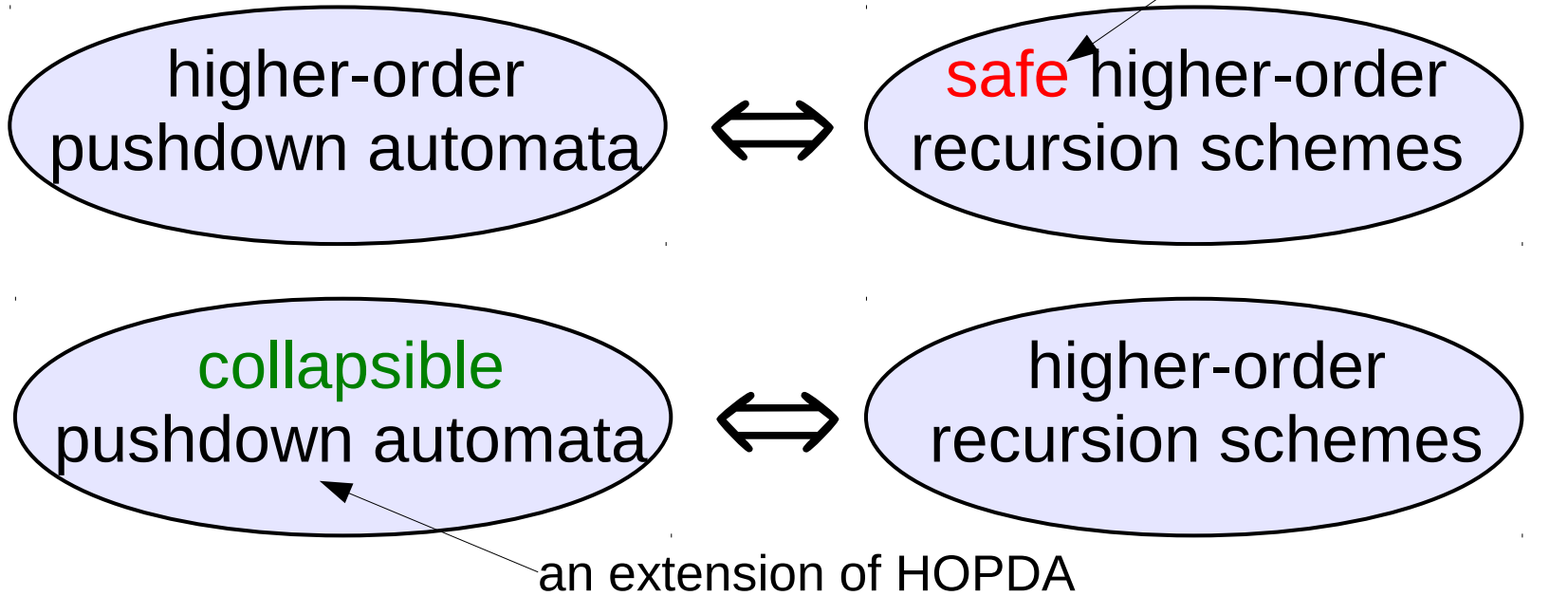
Are these two formalisms equivalent?



Not exactly!

HOPDA vs HORS

Are these two formalisms equivalent?



Theorem [Knapik, Niwiński, Urzyczyn 2002 & earlier results]

For every n , HOPDA of order n and **safe** HORSes of order n generate the same trees (recognize the same word languages); [Caucal 2002] these are trees from the Caucal hierarchy, defined by iterating MSO interpretations and unfolding of graphs into trees.

Theorem [Hague, Murawski, Ong, Serre 2008]

For every n , **collapsible** HOPDA of order n and HORSes of order n generate the same trees (recognize the same word languages).

What is safety?

Restriction on terms appearing on right sides of rules:

- unrestricted terms:

$$M ::= a \mid x \mid A \mid M N$$

- safe terms:

$$M ::= a \mid x \mid A \mid M N_1 \dots N_k$$

only if $ord(M N_1 \dots N_k) \leq ord(N_i)$ for all i

In other words: if we apply an argument of some order k , then we have to apply also all arguments of order $\geq k$

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Let's check for our example HORS:

$$S \rightarrow A b$$

$$A f \rightarrow a (A (D f)) (f c)$$

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$$ord(D f) = 1 \leq 1 = ord(f) \rightarrow \text{OK}$$

All other subterms are of order 0 \rightarrow OK

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Example: Unsafe HORS (generating "Urzyczyn's tree" U):

Types: $a^{o \rightarrow o \rightarrow o}$, $b^{o \rightarrow o}$, $c^{o \rightarrow o}$, d^o , e^o , S^o , $F^{(o \rightarrow o) \rightarrow o \rightarrow o \rightarrow o}$

Rules: $S \rightarrow F b d e$

$$F f x y \rightarrow a (F (F f x) y (c y)) (a (f y) x)$$

✗ unsafe
(and not equivalent
to any safe HORS)

$$ord(F f x) = 1 > 0 = ord(x)$$

(F expects two order-0 arguments; we have applied one (x), but not the other)

Why safety helps?

Theorem [Knapik, Niwiński, Urzyczyn 2002; Blum, Ong 2007]

Substitution (hence β -reduction) in safe λ -calculus can be implemented **without renaming bound variables**.

Bad example: when you substitute $(\lambda x.y x) [a x x / y]$, it is necessary to change the first two x to some other variable name

Collapsible pushdown automata

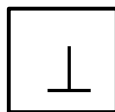
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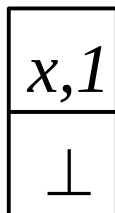
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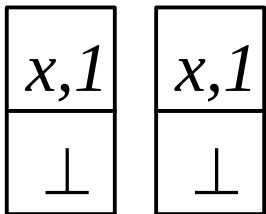
$push_1x$



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 $push_2$



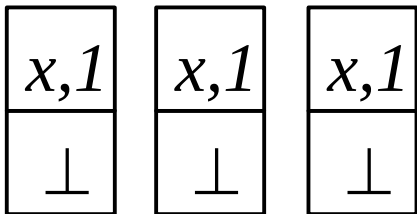
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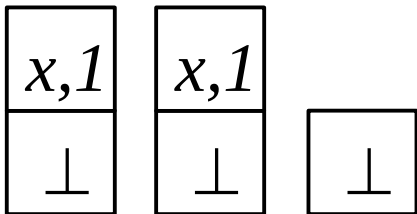
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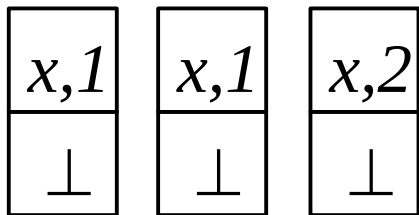
$push_1 x$
 $push_2$
 $push_2$
 pop_1



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$push_1 x$

$push_2$

$push_2$

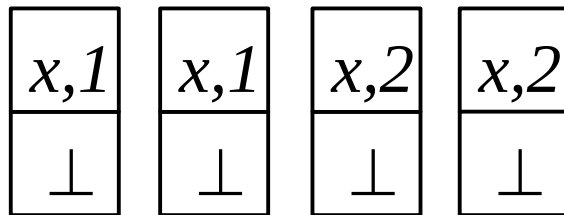
pop_1

$push_1 x$

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$push_1 x$

$push_2$

$push_2$

pop_1

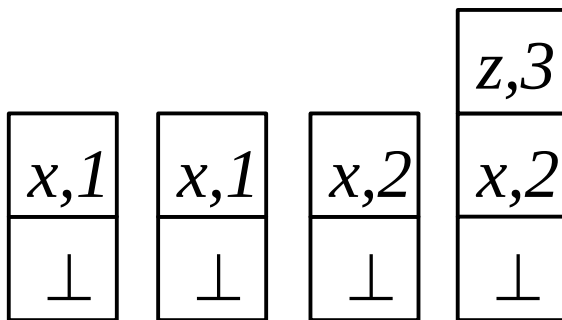
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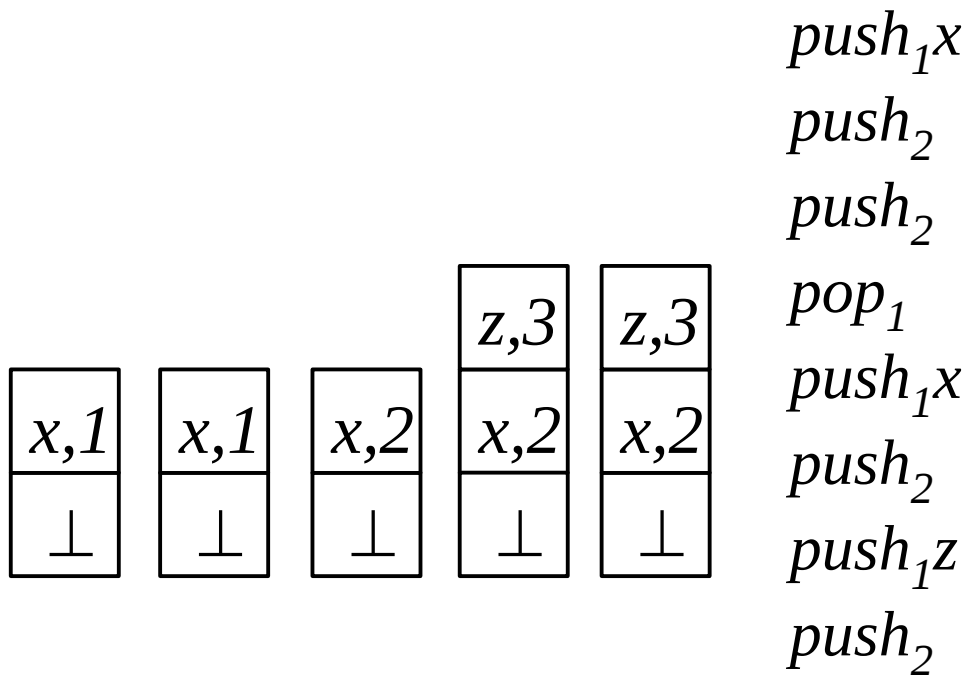


$push_1 x$
 $push_2$
 $push_2$
 pop_1
 $push_1 x$
 $push_2$
 $push_1 z$

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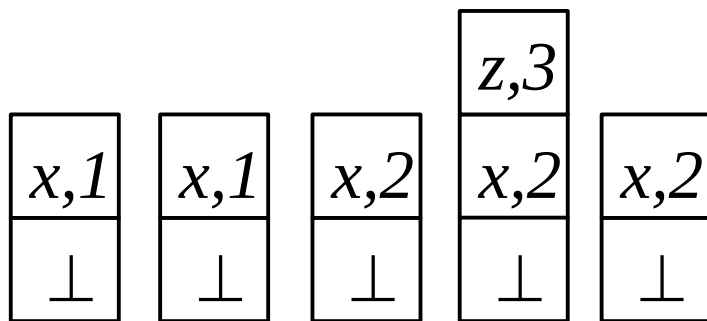
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$push_2$

pop_1

$push_1 x$

$push_2$

$push_1 z$

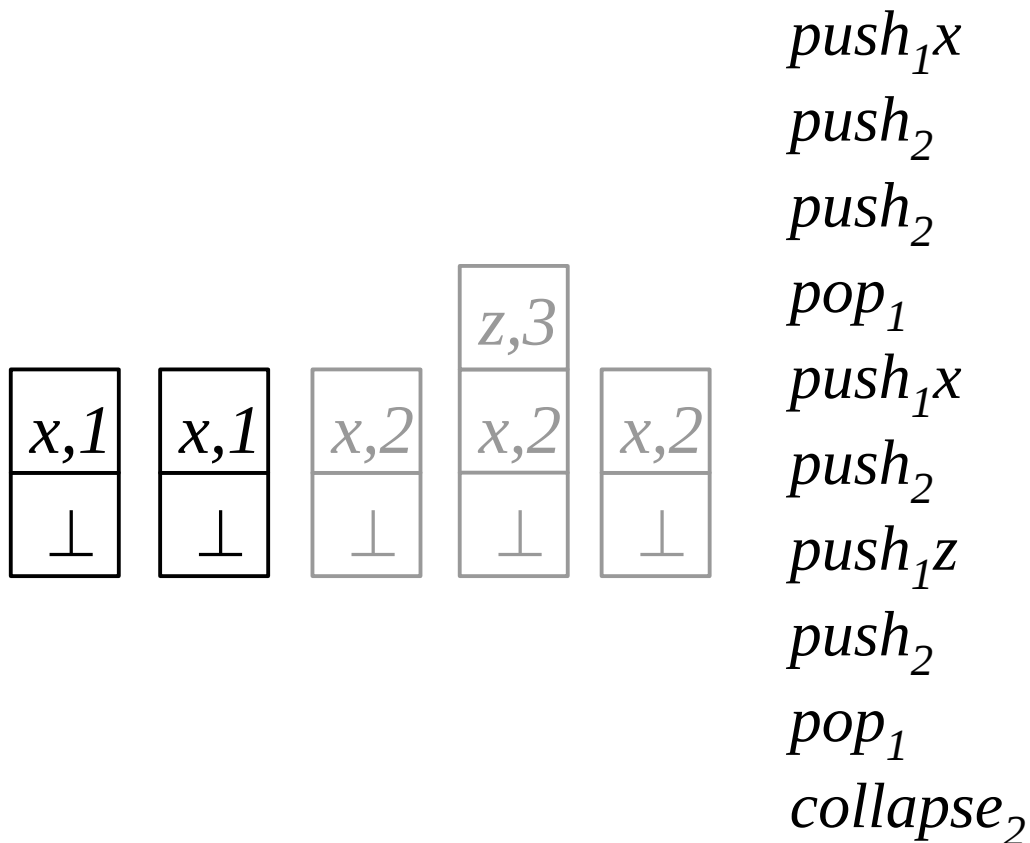
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pop_1

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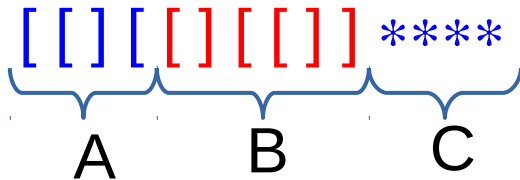


Collapsible pushdown automata

How collapse can be useful? – Urzyczyn's language U
(\approx branches in the Urzyczyn's tree)

alphabet: [,], *

U contains words of the form:


[[] [[] [[]] ****
A B C

- segment A forms a prefix of a well-bracketed word that ends in [not matched in the entire word
- segment B forms a well-bracketed word
- the number of stars in C equals the number of brackets in A

Collapsible pushdown automata

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Words in U:

A) a prefix of a well-bracketed word

B) a well-bracketed word

C) as many stars as brackets in part A

→ one stack symbol

→ first-order stack counts the number of currently open brackets

→ a copy is done after each bracket



[[] [[] [[]] * * * *

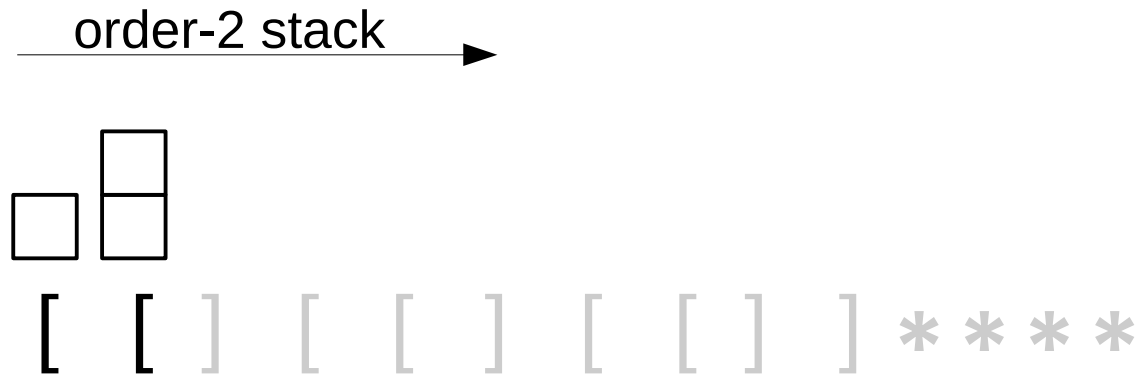
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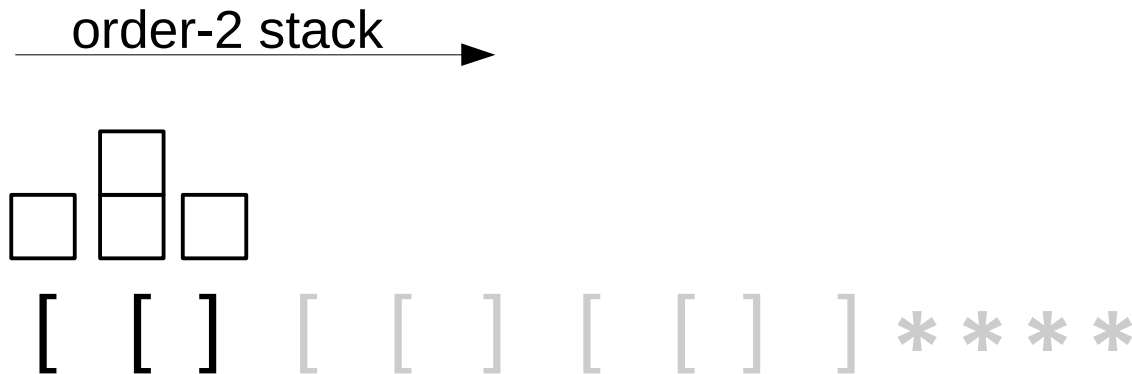
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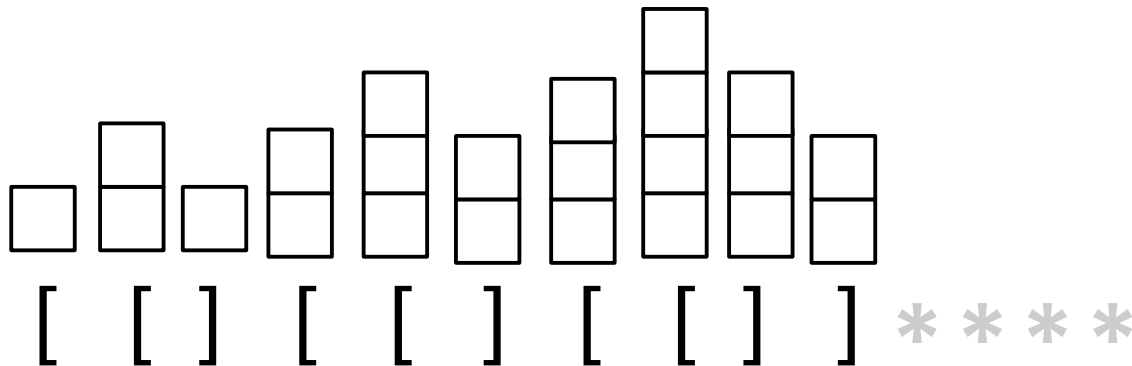
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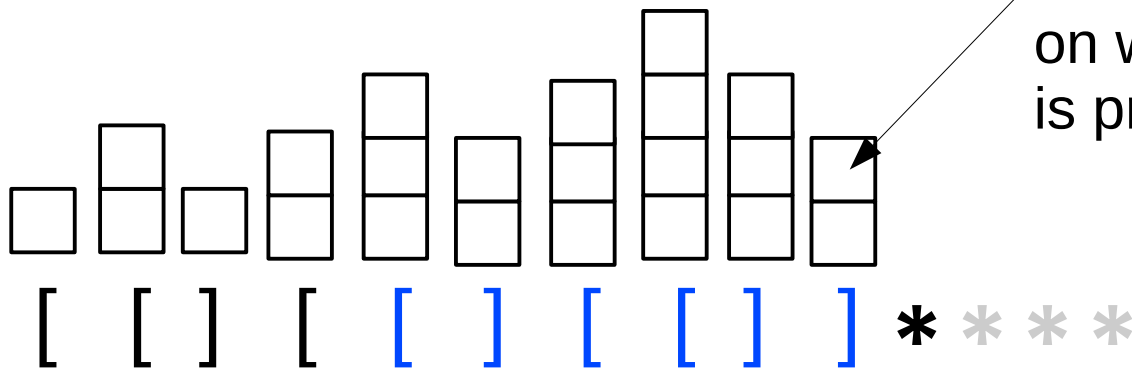
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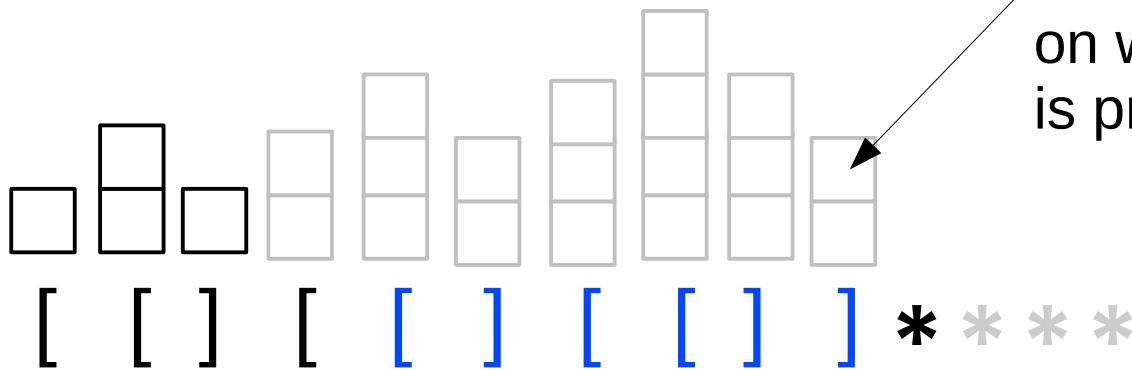
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Remark:

A nondeterministic order-2 PDA without collapse can recognize U, as it can guess when is the beginning of the “B” part.

But not a deterministic HOPDA without collapse, of any order!

(This means that the Urzyczyn's tree cannot be generated by a HOPDA)

Expressivity questions

Tree(n) = trees generated by HORSES (CPDA) of order n

SafeTree(n) = trees generated by safe HORSES (HOPDA) of order n

$$\begin{array}{ccccccc} \text{SafeTree}(0) & \subseteq & \text{SafeTree}(1) & \subseteq & \text{SafeTree}(2) & \subseteq & \text{SafeTree}(3) & \subseteq & \dots \\ \bigcap \\ \text{Tree}(0) & \subseteq & \text{Tree}(1) & \subseteq & \text{Tree}(2) & \subseteq & \text{Tree}(3) & \subseteq & \dots \end{array}$$

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Are these hierarchies strict?

Expressivity questions

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Are these hierarchies strict?

Theorem [Engelfriet 1991]

For every n , $\text{SafeLang}(n) \neq \text{SafeLang}(n+1)$,
and thus also $\text{SafeTree}(n) \neq \text{SafeTree}(n+1)$.

Separating language: correct sequences of operations of order- $(n+1)$ HOPDA
(including the topmost stack symbol after every step).

Proof: “Simple trick” using the fact that reachability for order- n HOPDA is in
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The same proof works for CPDA.

Thus $\text{Tree}(n) \neq \text{Tree}(n+1)$ & $\text{Lang}(n) \neq \text{Lang}(n+1)$.

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T_n = tree with branches $a^k b^{exp_n(k)} c$, where $exp_n(k) = 2^{\underbrace{2^{\dots 2^k}}_n}$

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← pumping lemma [Kartzow, P. 2012]

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For languages we do not know:

$\text{SafeLang}(n+1) \ni \{b^{\text{exp}_n(k)} : k \in \mathbb{N}\} \stackrel{?}{\not\subseteq} \text{Lang}(n)$.

Open problem: a pumping lemma
for nondeterministic HORSEs.

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Is safety really a restriction?

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Is safety really a restriction?

For trees – yes.

Example: Urzyczyn's tree U

Tree(2) $\ni U \notin$ SafeTree(n) for every n [P. 2012]

For word languages – open problem (e.g. SafeLang(3) $\stackrel{?}{\neq}$ Lang(3))

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- It works well if all intermediate terms are smaller than the derived word (= input word).
- The “only difficulty”: describe/eliminate nonterminals that are “not productive”, i.e., that do not increase the size of the derived word.

Algorithmic questions

Problem: MSO model-checking

Input: MSO formula ϕ , HORS S

Output: does ϕ hold in the tree generated by S ?

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Theorem: MSO model-checking is decidable.

[Knapik, Niwiński, Urzyczyn 2002] – safe schemes only

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- despite high complexity, solvable in practice (*see next talk*)

Algorithmic questions

Theorem: MSO model-checking is decidable.

Idea of a proof

Input: alternating parity automaton A , HORS S

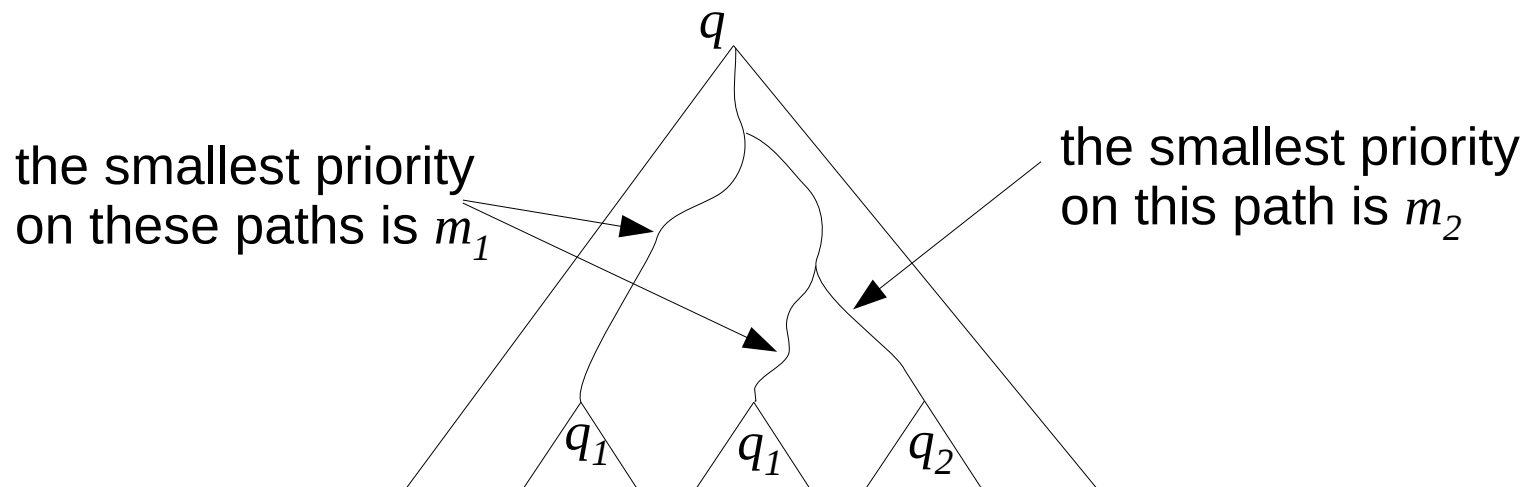
Question: does A accept the tree generated by S ?

We refine simple types into intersection types of the form:

o is refined to $q \in Q$ (a state)

$\alpha \rightarrow \beta$ is refined to $\{(\tau_1, m_1), \dots, (\tau_k, m_k)\} \rightarrow \tau$ where τ_i refines α , τ refines β ,
 m_i is a priority

Intuition: a function with type $\{(q_1, m_1), (q_2, m_2)\} \rightarrow q$ (refining $o \rightarrow o$):



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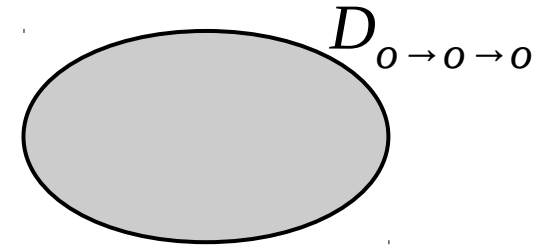
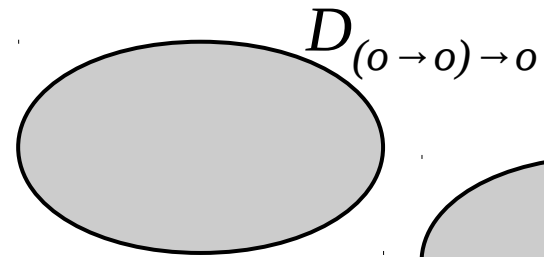
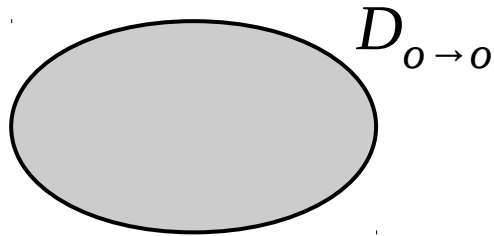
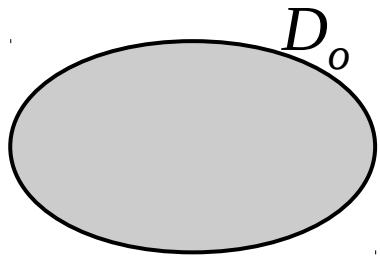
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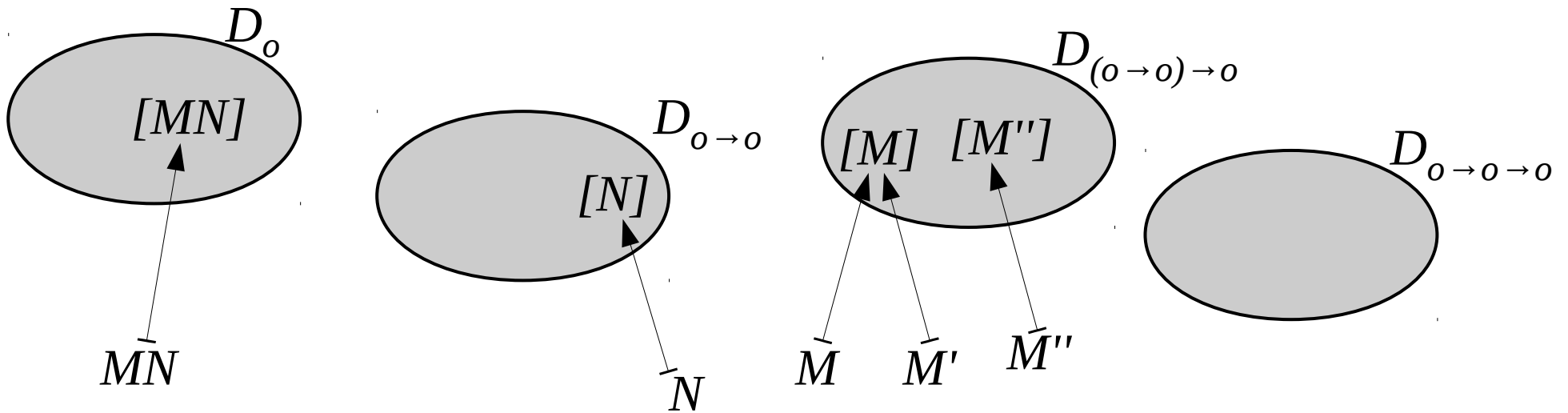


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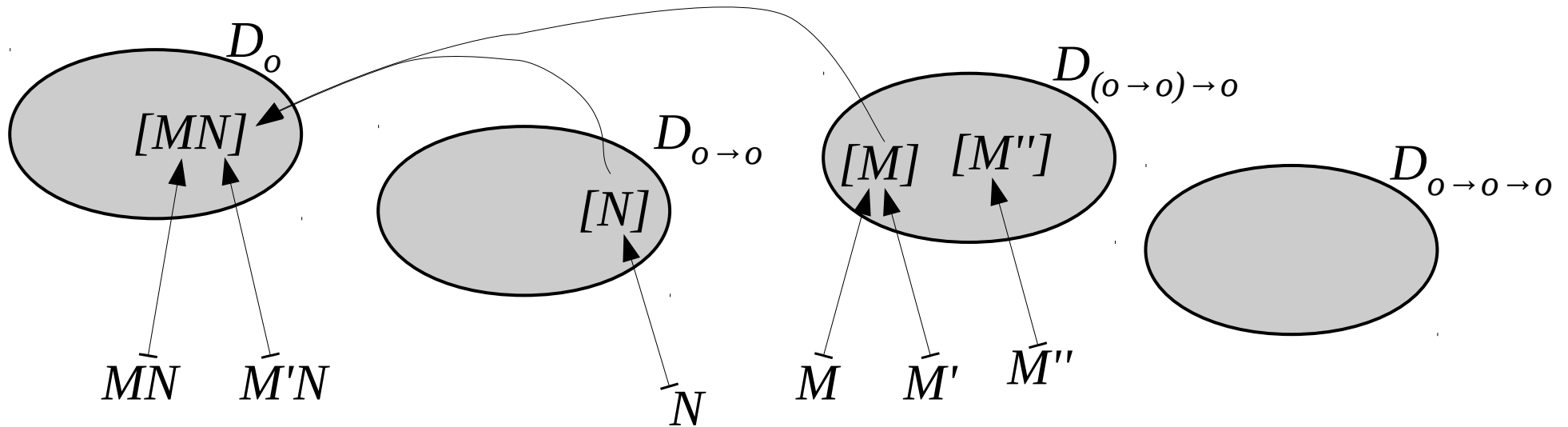
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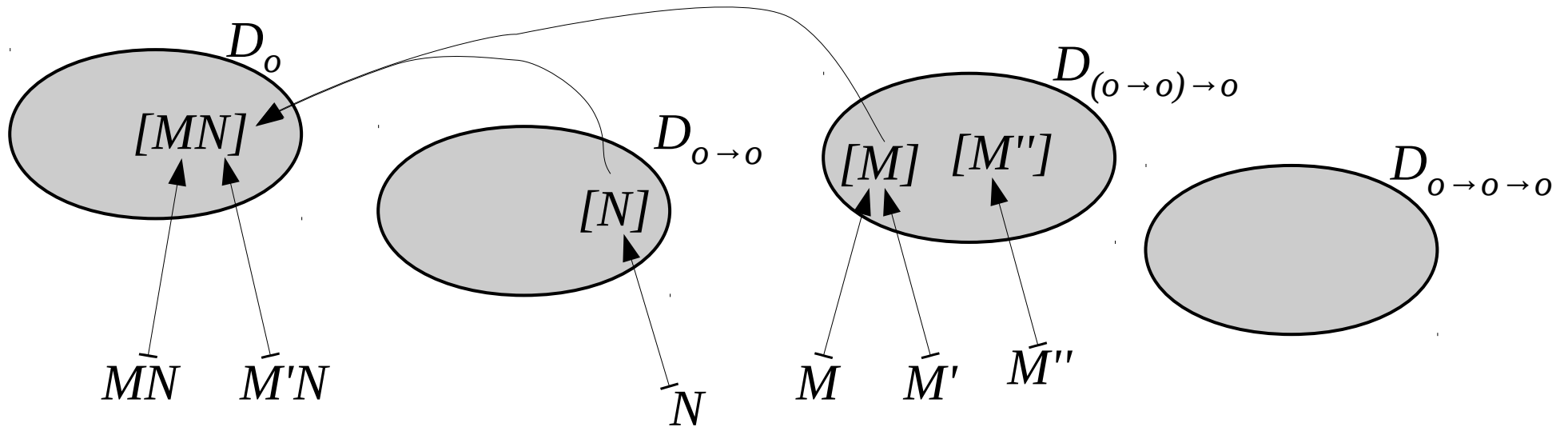
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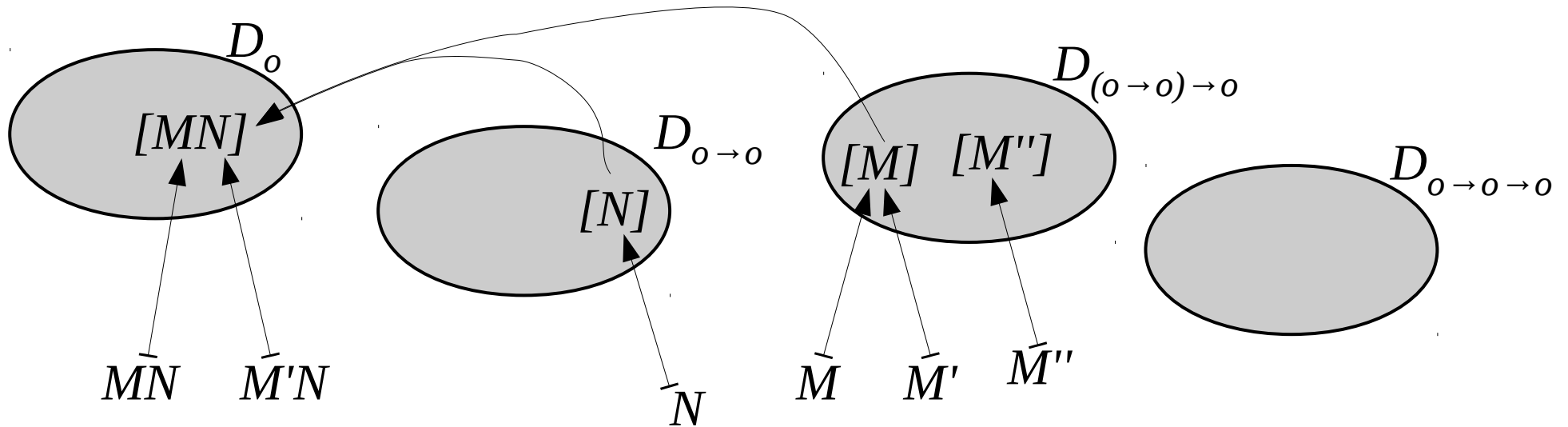
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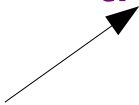
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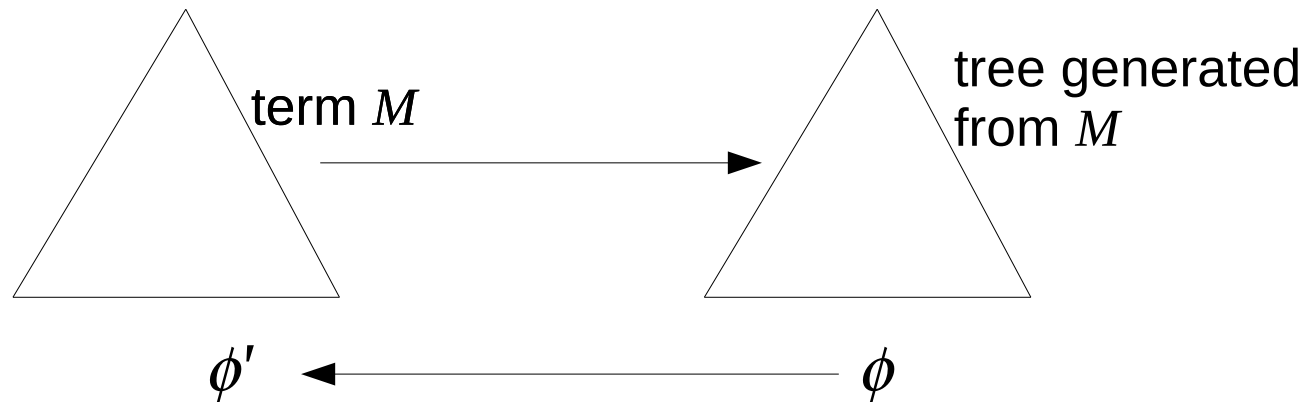
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transfer theorem



Basing on ϕ one can construct ϕ' such that ϕ' holds in a closed term M of sort α iff ϕ holds in the tree generated from M .



(special case: $M =$ starting nonterminal)

Beyond MSO?

Problem: WMSO+U model-checking

Input: WMSO+U formula ϕ , HORS S

Output: does ϕ hold in the tree generated by S ?

Ongoing work: WMSO+U model-checking is decidable.

MSO+U = Weak MSO (set quantifiers range over finite sets only)
+ new quantifier U

where: $\exists X.\phi$ means that ϕ holds for some arbitrarily large finite sets X

Downward closure

Let L be a set of words. Its downward closure $L\downarrow$ contains all words that can be obtained from words in L by removing some letters.

E.g. $L = \{abc\}$, $L\downarrow = \{e, a, b, c, ab, bc, ac, abc\}$

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- Real quest: Compute an NFA A recognizing $L\downarrow$.

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E.g. $L=\{abc\}$, $L\downarrow=\{e,a,b,c,ab,bc,ac,abc\}$

Higman's lemma: the downward closure of any set L is a regular language.

Quest: Given a scheme S recognizing L , compute $L\downarrow$.

- Trivial but useless: Compute a scheme S' recognizing $L\downarrow$.
- Real quest: Compute an NFA A recognizing $L\downarrow$.

Theorem [Zetsche 2015, Hague, Kochems, Ong 2016, Clemente, P., Salvati, Walukiewicz 2016]

Given a scheme S recognizing L , one can compute an NFA A recognizing $L\downarrow$.

Downward closure

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Some ideas:

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- $L\downarrow$ (so K as well) is necessarily a finite union of languages of the form $S_i=A_0^*a_1^?A_1^*a_2^?\dots A_{k-1}^*a_k^?A_k^*$. It remains to check whether $S_i\subseteq L\downarrow$ for all i .

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- By transforming the scheme, this reduces to the **diagonal problem**:

Input: a scheme S recognizing $L\subseteq a_1^*a_2^*\dots a_k^*$ (with different letters)

Question: does $L\downarrow=a_1^*a_2^*\dots a_k^*$?

(in other words: is it the case that for every n we have in L words with more than n appearances of every letter?)

This is the actual problem to be solved.

The diagonal problem

Input: a scheme S recognizing $L \subseteq a_1^* a_2^* \dots a_k^*$ (with different letters)

Question: does $L \downarrow = a_1^* a_2^* \dots a_k^*$?

How to solve it?

a scheme S of order n with a word written on a branch $\xrightarrow{\text{step 1}}$ a scheme S of order $n-1$ with this word written in leaves

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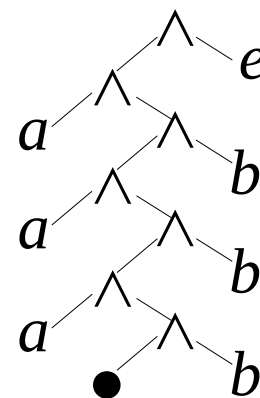
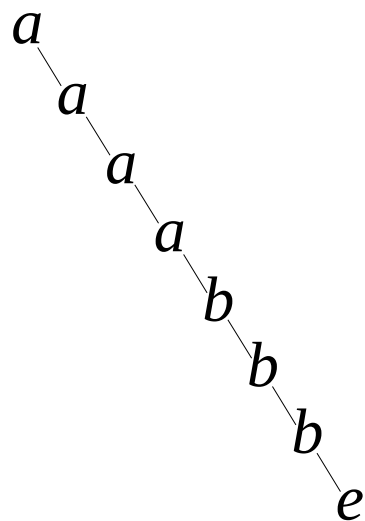
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Example:

$S \rightarrow A e$
 $A x \rightarrow a (A (b x))$
 $A x \rightarrow x$
 (rank 1: a, b ; rank 0: e)

$S \rightarrow \wedge A e$
 $A \rightarrow \wedge a (\wedge A b)$
 $A \rightarrow \bullet$
 (rank 2: \wedge ; rank 0: a, b, e, \bullet)



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(rank 1: a, b ; rank 0: e)		(rank 2: \wedge ; rank 0: a, b, e, \bullet)

Idea: 1) Observe that an argument of type o can be used at most once.

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- Idea:
- 1) Observe that an argument of type o can be used at most once.
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 - 3) Every subterm $M N$ with N of type o can be replaced
 - a) either by $\wedge M N$ (when the argument is used in M),
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 - 4) Additional work is required to choose correctly a) or b).

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step 1 → a scheme S of order $n-1$ with
this word written in leaves

step 2 ↙

a scheme S of order $n-1$ with
a *similar* word written on a branch

The diagonal problem

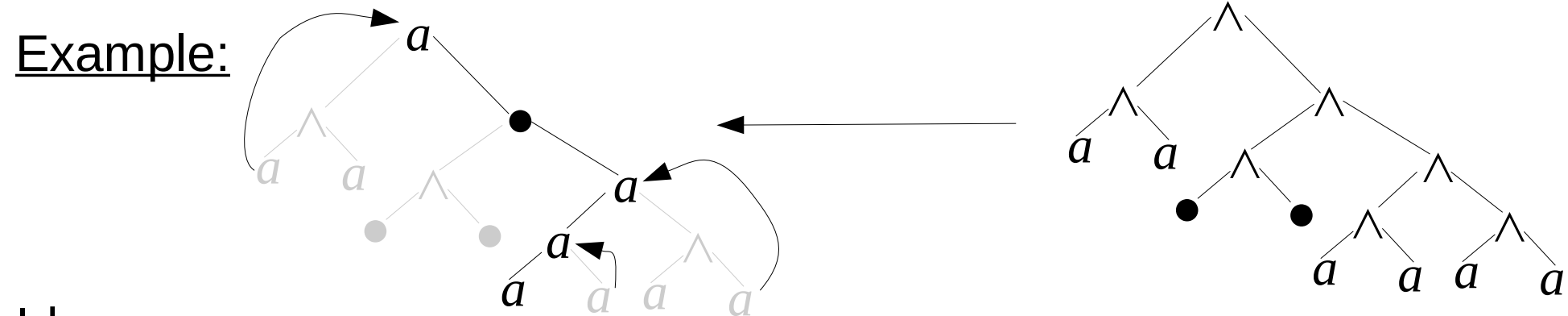
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a scheme S of order $n-1$ with a similar word written on a branch $\xleftarrow{\text{step 2}}$



Idea:

- 1) Choose (nondeterministically) only one branch.
- 2) For every removed subtree with a , write a new a just above.

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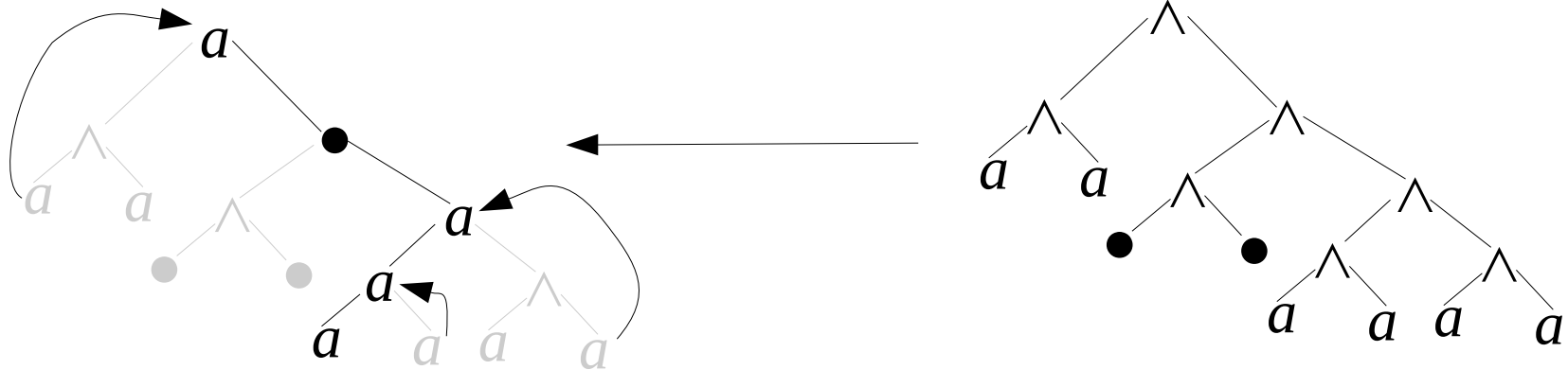
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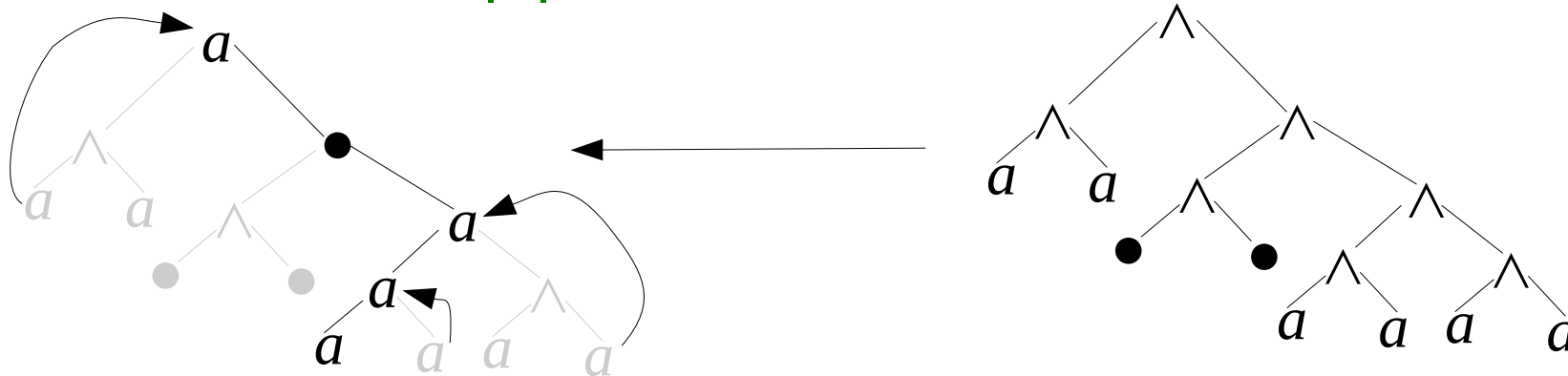
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a scheme S of order $n-1$ with a similar “word” written on $|\Sigma|$ branches

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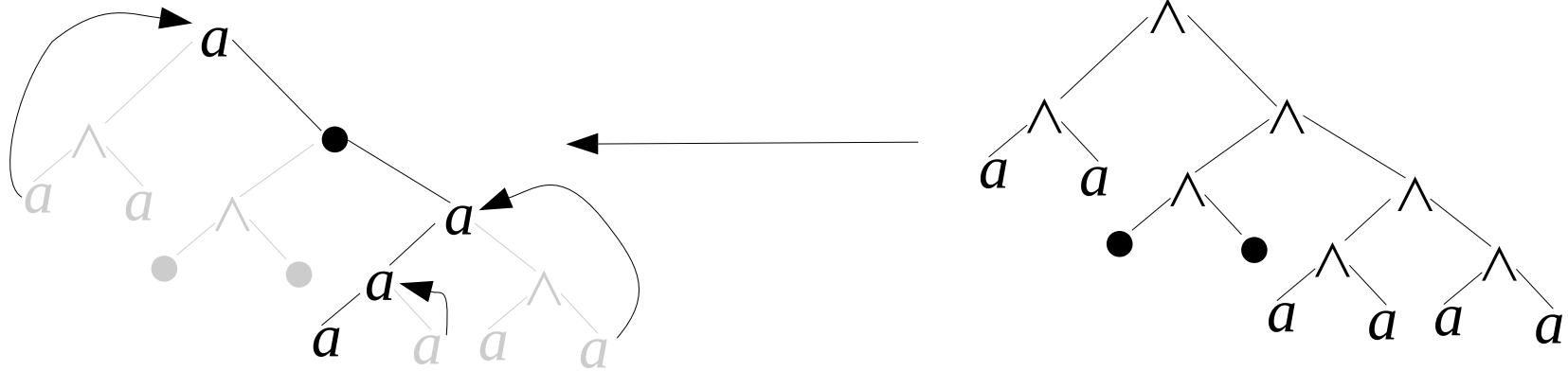
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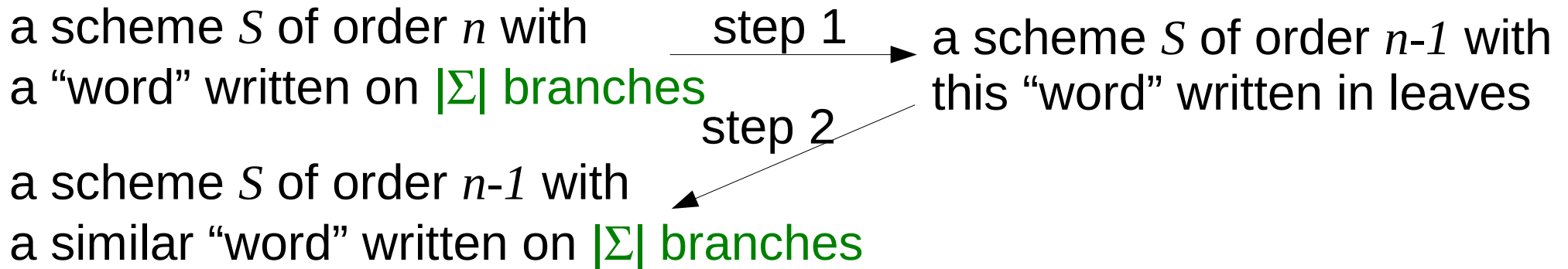
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How to solve it?



Repeat these steps until the order drops down to 0,
and solve the diagonal problem for a regular language.

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0. It gives a simple abstraction of the language recognized by a scheme.

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3. ~~Consider a system with one leader and some (unspecified) number of contributors, that communicate via common register (read or write, without any locks). The reachability problem in such system reduces to computation of the downward closure [La Torre, Muscholl, Walukiewicz 2015].~~ *(Yesterday's talk – downward closure no longer needed)*

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We need to bound the maximal size of the downward closure (a pumping lemma is needed).
- Lower bound: checking whether $L_1\downarrow=L_2\downarrow$ or $L_1\downarrow\subseteq L_2\downarrow$ is co- n -NEXPTIME-hard [Zetsche 2016]

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Another open problem: computation of downward closure for schemes recognizing languages of trees.

(By Kruskal's tree theorem the downward closure of any language of trees is a regular language.)

Thank you!