A general and algorithmic method for computing the generating function of permutation classes and for their random generation

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Séminaire Algo du GREYC

Guideline for the talk

Data:

- B a finite set of permutations (the excluded patterns),
- $\mathcal{C} = Av(B)$ the class of permutations that avoid every pattern of B.

Problem:

Describe an algorithm to obtain automatically from B

- some enumerative results on C, in terms of generating function $C(z) = \sum |Av_n(B)|z^n$,
- **a** random sampler of permutations in C, that is uniform on $Av_n(B)$ for each n.

Result:

Such an algorithm \dots that works under some hypothesis on \mathcal{C} , also tested algorithmically.

- 1 Permutations, patterns and permutation classes
- 2 Substitution decomposition and decomposition trees
- 3 Permutations and trees as combinatorial structures
- 4 An algorithm from the finite basis to the specification
- 5 Perspectives

Outline

- 1 Permutations, patterns and permutation classes
- 2 Substitution decomposition and decomposition trees

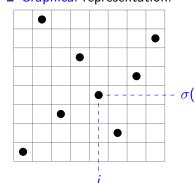
Representation of permutations

Permutation: Bijection from [1..n] to itself. Set \mathfrak{S}_n .

- Linear representation:
 - $\sigma = 18364257$
- Two lines representation:

$$\sigma = \left(\begin{array}{cccc} 1 & 2 & 3 & 4 & 5 & 6 & 7 & 8 \\ 1 & 8 & 3 & 6 & 4 & 2 & 5 & 7 \end{array}\right)$$

 Representation as a product of cycles: $\sigma = (1) (2 8 7 5 4 6) (3)$ **Graphical** representation:



Patterns in permutations

Pattern (order) relation ≼:

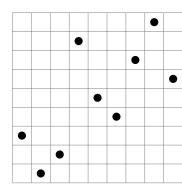
 $\pi \in \mathfrak{S}_k$ is a pattern of $\sigma \in \mathfrak{S}_n$ if $\exists \ 1 \leq i_1 < \ldots < i_k \leq n$ such that $\sigma_{i_1} \ldots \sigma_{i_k}$ is order isomorphic (\equiv) to π .

Notation: $\pi \preccurlyeq \sigma$.

Equivalently:

The normalization of $\sigma_{i_1} \dots \sigma_{i_k}$ on [1..k] yields π .

Example: $2134 \le 312854796$ since $3157 \equiv 2134$.



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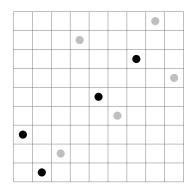
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Permutation class: set of permutations downward-closed for \leq .

Av(B): the class of permutations that avoid every pattern of B. If B is an antichain then B is the basis of Av(B).

Conversely: Every class C can be characterized by its basis:

$$\mathcal{C} = Av(B)$$
 for $B = \{ \sigma \notin \mathcal{C} : \forall \pi \preccurlyeq \sigma \text{ such that } \pi \neq \sigma, \pi \in \mathcal{C} \}$

A class has a unique basis.

A basis can be either finite or infinite.

Origin: [Knuth 73] with stack-sortable permutations = Av(231)

Enumeration[Stanley & Wilf 92][Marcus & Tardos 04] : $|\mathcal{C} \cap \mathfrak{S}_n| \leq c^n$

Problematics

- **Combinatorics**: study of classes defined by their basis.
- → Enumeration.
- \hookrightarrow Exhaustive generation.
 - **Algorithmics**: problematics from text algorithmics.
- → Pattern matching, longest common pattern.
- \hookrightarrow Linked with testing the membership of σ to a class.
 - Combinatorics (and algorithms): study families of classes.
- \hookrightarrow A class is not always described by its basis.
- → Obtain general results on the structure of a class. . .
- \hookrightarrow ... and do it automatically (with algorithms).

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Substitution decomposition: main ideas

Analogous to the decomposition of integers as products of primes.

- [Möhring & Radermacher 84]: general framework.
- Specialization: Modular decomposition of graphs.

Relies on:

Permutation classes

- a principle for building objects (permutations, graphs) from smaller objects: the substitution.
- some "basic objects" for this construction: simple permutations, prime graphs.

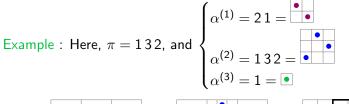
Required properties:

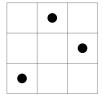
- every object can be decomposed using only "basic objects".
- this decomposition is unique.

Substitution for permutations

Substitution or inflation : $\sigma = \pi[\alpha^{(1)}, \alpha^{(2)}, \dots, \alpha^{(k)}].$

Example : Here,
$$\pi=132$$
, and









Hence $\sigma = 132[21, 132, 1] = 214653$.

Substitution decomposition and decomposition trees

Simple permutations

Permutation classes

Interval (or block) = set of elements of σ whose positions and values form intervals of integers

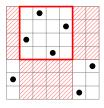
Example: 5746 is an interval of

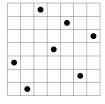
2574613

Simple permutation = permutation that has no interval, except the trivial intervals: $1, 2, \ldots, n$ and σ

Example: 3174625 is simple.

The smallest simple: 12,21,2413,3142





Substitution decomposition of permutations

Theorem: Every σ (\neq 1) is uniquely decomposed as

- $12[\alpha^{(1)},\alpha^{(2)}]$, where $\alpha^{(1)}$ is \oplus -indecomposable
- $21[\alpha^{(1)},\alpha^{(2)}]$, where $\alpha^{(1)}$ is \ominus -indecomposable
- $\blacksquare \pi[\alpha^{(1)},\ldots,\alpha^{(k)}]$, where π is simple of size $k \geq 4$

Remarks:

Permutation classes

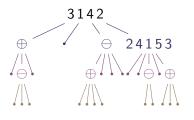
- lacktriangle lacktriangle -indecomposable : that cannot be written as $12[lpha^{(1)},lpha^{(2)}]$
- Result stated as in [Albert & Atkinson 05]
- Can be rephrased changing the first two items into:
 - 12... $k[\alpha^{(1)},...,\alpha^{(k)}]$, where the $\alpha^{(i)}$ are \oplus -indecomposable
 - $k \dots 21[\alpha^{(1)}, \dots, \alpha^{(k)}]$, where the $\alpha^{(i)}$ are \ominus -indecomposable

Decomposing recursively inside the $\alpha^{(i)} \Rightarrow$ decomposition tree

Decomposition tree: witness of this decomposition

Example: Decomposition tree of $\sigma =$

 $10\ 13\ 12\ 11\ 14\ 1\ 18\ 19\ 20\ 21\ 17\ 16\ 15\ 4\ 8\ 3\ 2\ 9\ 5\ 6\ 7$



Notations and properties:

- \oplus = 12...k and \ominus = k...21 = linear nodes.
- π simple of size \geq 4 = prime node.
- No edge $\oplus \oplus$ nor $\ominus \ominus$.
- Ordered trees.

Expansion of τ_1 , τ_2 , τ_3 , into τ_2 , τ_3 , and recursively, for the version of the trees of [AA05]

$$\sigma = 3\,1\,4\,2[\oplus [1, \ominus [1,1,1],1], 1, \ominus [\oplus [1,1,1,1],1,1,1], 2\,4\,1\,5\,3[1,1,\ominus [1,1],1,\oplus [1,1,1]]]$$

Bijection between permutations and their decomposition trees.

Computation and examples of application

Computation: in linear time. [Uno & Yagiura 00] [Bui Xuan, Habib & Paul 05] [Bergeron, Chauve, Montgolfier & Raffinot 08]

In algorithms:

- Pattern matching [Bose, Buss & Lubiw 98] [Ibarra 97]
- Algorithms for bio-informatics [Bérard, Bergeron, Chauve & Paul 07] [Bérard, Chateau, Chauve, Paul & Tannier 08]

In combinatorics:

- Simple permutations [Albert, Atkinson & Klazar 03]
- Classes closed by substitution product [Atkinson & Stitt 02]
 [Brignall 07] [Atkinson, Ruškuc & Smith 09]
- Exhibit the structure of classes [Albert & Atkinson 05] [Brignall, Huczynska & Vatter 08a,08b] [Brignall, Ruškuc & Vatter 08]

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Combinatorial classes and generating functions

Notations:

- $\mathcal{C} = \bigcup_{n \geq 0} \mathcal{C}_n$ with finite number $c_n = |\mathcal{C}_n|$ of objects of size n
- Generating function $C(z) = \sum c_n z^n$

Recursive description with constructors \Rightarrow Equation on the g.f.:

Constructor	Notation	C(z)
Atom	\mathcal{Z}	Z
Disjoint Union	$\mathcal{A} + \mathcal{B}$	A(z) + B(z)
Cartesian Product	$\mathcal{A} imes \mathcal{B}$	A(z)B(z)
Sequence	$\operatorname{Seq}(\mathcal{A})$	1
		1-A(z)
Restricted Seq.	$Seq_{=k}(A)$	$A(z)^k$

[Flajolet & Sedgewick 09]

Combinatorial classes and random samplers

Uniform sampling: objects of size n have the same probability Two methods based on the recursive description of objects:

- Recursive method [Flajolet, Zimmerman & Van Cutsem 94]: size n chosen in advance. Requires to know the c_k for $k \le n$.
- **Boltzmann method** [Duchon, Flajolet, Louchard & Schaeffer 04]: size n not fixed. Needs the evaluation of C(z) at one point x.

\mathcal{Z}	return an atom	
A + B	call $\Gamma A(x)$ with proba. $\frac{A(x)}{A(x)+B(x)}$, else $\Gamma B(x)$	
$\mathcal{A} imes \mathcal{B}$	call $\Gamma A(x)$ and $\Gamma B(x)$	
$\operatorname{Seq}(\mathcal{A})$	choose k according to a geometric law of parameter	
	$A(x)$ and call $\Gamma A(x)$ k times	
$Seq_{=k}(A)$	call the sampler $\Gamma A(x)$ k times	

Example: binary trees

$$\mathcal{B} = \cup_{n>1} \mathcal{B}_n$$

Permutation classes

where \mathcal{B}_n denotes the set of binary trees with n leaves.

Recursive description (also called specification): $\mathcal{B} = \bullet \quad +$

Equation for the g.f.: $B(z) = z + B(z)^2$, hence $B(z) = \frac{1 - \sqrt{1 - 4z}}{2}$.

Boltzmann random sampler $\Gamma \mathcal{B}(x)$ for \mathcal{B} :

- \blacksquare Data: x, B(x)
- Result: a random binary tree
- Procedure:
 - Choose r uniformly at random on [0, 1]
 - If $\frac{x}{B(x)} < r$ then return •
 - Else return $\Gamma \mathcal{B}(x) \Gamma \mathcal{B}(x)$

Specifications for permutation classes

For all permutations, with S the set of all simple permutations:

$$\begin{cases} \mathfrak{S} = \bullet + \mathfrak{S}^{+} \mathfrak{S} + \mathfrak{S}^{-} \mathfrak{S} + \sum_{\pi \in \mathcal{S}} \mathfrak{S} \mathfrak{S}^{-} \dots \mathfrak{S} \\ \mathfrak{S}^{+} = \bullet + \mathfrak{S}^{-} \mathfrak{S} + \sum_{\pi \in \mathcal{S}} \mathfrak{S} \mathfrak{S}^{-} \dots \mathfrak{S} \end{cases}$$

 \Rightarrow The generating functions of \mathfrak{S} and \mathcal{S} are related [Albert, Atkinson & Klazar 03].

This can be adapted to (substitution-closed and arbitrary) permutation classes [Albert & Atkinson 05].

The simpler case of substitution-closed classes

A permutation class \mathcal{C} is **substitution-closed** when $\pi[\alpha^{(1)}, \alpha^{(2)}, \dots, \alpha^{(k)}] \in \mathcal{C}$ for all $\pi, \alpha^{(1)}, \alpha^{(2)}, \dots, \alpha^{(k)} \in \mathcal{C}$.

Hence, with $S_C = C \cap S$ the set of simple permutations in C:

$$\begin{cases} C = \bullet + C^{+} C + C^{-} C + \sum_{\pi \in \mathcal{S}_{\mathcal{C}}} C C^{-} C \\ \dots \end{cases}$$

When S_C is finite, this is a simple family of trees in the sense of [Flajolet & Sedgewick 09].

⇒Enumerative results and random samplers can be obtained by efficient algorithms.

For general permutation classes

For non substitution-closed classes, we have only a strict inclusion:

$$C \subsetneq \bullet + C^{+}C + C^{-}C + \sum_{\pi \in \mathcal{S}_{\mathcal{C}}} C^{-}C^{-}C$$

Example: \ominus [12,1] \notin Av(231) whereas 12,1 \in Av(231).

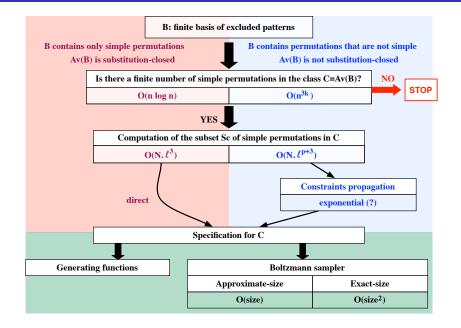
The system describing $\mathcal C$ has to be refined with new equations for these constraints. The system can be computed by an algorithm.

⇒Enumerative results and random samplers can be obtained algorithmically, but this is less efficient.

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Summary of results



First semi-decision procedure

Theorem [Albert & Atkinson 05]: If C contains a finite number of simple permutations, then C has a finite basis and an algebraic g.f..

Constructive proof: compute, for each given class,

- \blacksquare the specification for decomposition trees of $\mathcal C$
- a system of equations satisfied by the g.f.

from the finite set of simple permutations in \mathcal{C}

Testing the precondition:

- Semi-decision procedure
- \hookrightarrow Find simples of size 4, 5, 6, ... until k and k+1 for which there are 0 simples [Schmerl & Trotter 93]
 - "Very exponential" $(\sim n!)$ computation of the simples in \mathcal{C}

Step 1: Is there a finite number of simple permutations in C? A first decision result

Theorem [Brignall, Ruškuc & Vatter 08]: It is decidable whether C given by its finite basis contains a finite number of simples.

Prop: C = Av(B) contains infinitely many simples iff C contains:

- 1. either infinitely many parallel permutations
- 2. or infinitely many simple wedge permutations
- 3. or infinitely many proper pin-permutations

	Decision procedure	Complexity
1. and 2. :	pattern matching of patterns	Polynomial
	of size 3 or 4 in the $\beta \in B$.	$\mathcal{O}(n \log n)$
3. :	Decidability with	Decidable
	automata techniques	2ExpTime

Polynomial algorithms for the finite number of simples

Points similar to [BRV 08]:

- Encoding by pin words on $\{1, 2, 3, 4, L, R, U, D\}$
- Construction of automata

Study of pin-permutations [BBR 09] \Rightarrow better understanding of the relationship between pin words and patterns in permutations

Points specific to [BBPR 10 & 11]:

- Polynomial construction of a (deterministic, complete) automaton for the language $\mathcal{L} = \text{pin}$ words of proper pin-permutations containing some $\beta \in \mathcal{B}$
- Is this language co-finite? Polynomial.
- \hookrightarrow Yes iff the class contains finitely many simples.

Polynomial w.r.t. $n = \sum_{\beta \in B} |\beta|$, but k = |B| is an exponent.

Improvements for substitution-closed classes

Prop: C = Av(B) is substitution-closed iff B contains only simple permutations.

For simple β , $\beta \leq \pi$ translates into a factor relation on pin words.

 \Rightarrow B gives a set of factors F (whose lengths sum to $\mathcal{O}(n)$) such that w has a factor in F iff $\beta \leq \pi_w$ for some $\beta \in B$

[Aho & Corasick 75]:

build in linear time a complete deterministic automaton A_F recognizing the language of words containing a factor F

 $\mathcal{L}(\mathcal{A}_F)$ co-finite iff finite number of simples in \mathcal{C} ... and testing the co-finiteness of $\mathcal{L}(A_F)$ is in linear time.

Theorem: Testing the finiteness of the number of simple permutations in a substitution-closed class is solved in $O(n \log n)$

Polynomial algorithm for general classes

When β is not simple (but is a pin permutation), $\beta \preccurlyeq \pi$ translates into a piecewise factor relation on pin words.

Def: $f = (f_1, f_2, ..., f_k)$ is a piecewise factor of w iff $w = w_0 f_1 w_1 f_2 w_2 ... w_{k-1} f_k w_k$.

Piecewise factors F_{β} corresponding to $\beta \in B$ are computed inductively on the decomposition trees of β .

And similarly for the deterministic automaton \mathcal{A}_{β} recognizing the language of words containing a piecewise factor in F_{β} .

Construction of \mathcal{A}_{β} in $\mathcal{O}(|\beta|^3)$.

Then build the product of the A_{β} for $\beta \in B$ (deterministic union).

Theorem: Testing the finiteness of the number of simple permutations in a permutation class is solved in $\mathcal{O}(n^{3k})$

Step 2: Finding the set of simple permutations in $\mathcal C$

Starting point: Find simple permutations in \mathcal{C} of size 4, 5, 6, ... until k and k+1 for which there are 0 simples

Problem: There are $\sim \frac{n!}{c^2}$ simple permutations of size n

Reduce the number of simples σ of size n that are candidate to the membership to \mathcal{C} [Pierrot & Rossin, 11].

Prop: The simples of \mathcal{C}_{n+1} can be described as one-point (or special two-points) extensions of the simples of \mathcal{C}_n \Rightarrow There are at most $\mathcal{O}(n^2.|\mathcal{S}\cap\mathcal{C}_n|)$ candidates of size n+1.

Test whether σ contains an occurrence of $\beta \in B$: in $\mathcal{O}(n^{|\beta|})$.

Theorem: Computing the finite set of simple permutations in \mathcal{C} is done in $\mathcal{O}(N \cdot \ell^{p+3})$ with $N = |S \cap \mathcal{C}|$, $p = \max\{|\beta| : \beta \in B\}$ and $\ell = \max\{|\pi| : \pi \in \mathcal{S} \cap \mathcal{C}\}\$

Refinement for substitution-closed classes

Prop: C = Av(B) is substitution-closed iff B contains only simples.

Prop [Pierrot & Rossin, 11]: If $\beta \preccurlyeq \sigma$ for β and σ simples, then there are simples $\beta = \sigma_1 \preccurlyeq \sigma_2 \ldots \preccurlyeq \sigma_k = \sigma$ s.t. for all i, $|\sigma_i| - |\sigma_{i-1}| = 1$ (or 2 in special cases).

Improvement of the complexity:

- Avoid testing occurrences of $\beta \in B$ in σ candidate simple of C.
- Instead, test whether for every one point (or special two points) deletion in σ resulting in σ' simple, then $\sigma' \in \mathcal{C}$.
- \Rightarrow It is more efficient for computing $S \cap C_{n+1}$ from $S \cap C_n$.

Theorem: Computing the finite set of simple permutations in \mathcal{C} is done in $\mathcal{O}(N \cdot \ell^5)$ for substitution-closed classes.

An algorithm from the finite basis to the specification

Step 3: Compute the specification for ${\cal C}$

From the set $\mathcal{S}_{\mathcal{C}}$ of simple permutations in \mathcal{C} , the specification for the substitution closure $\hat{\mathcal{C}}$ of \mathcal{C} is obtained immediately:

$$\begin{cases}
\hat{C} = \bullet + \hat{C}^{+} \hat{C} + \hat{C}^{-} \hat{C} + \sum_{\pi \in \mathcal{S}_{C}} \hat{C} \hat{C} & \hat{C} \\
\hat{C}^{+} = \bullet + \hat{C}^{-} \hat{C} + \sum_{\pi \in \mathcal{S}_{C}} \hat{C} \hat{C} & \hat{C} \\
\hat{C}^{-} = \bullet + \hat{C}^{+} \hat{C} + \sum_{\pi \in \mathcal{S}_{C}} \hat{C} \hat{C} & \hat{C}
\end{cases}$$

- If \mathcal{C} is substitution-closed, $\mathcal{C} = \hat{\mathcal{C}}$ and we are done.
- Otherwise, $C = \hat{C}\langle B^* \rangle$ and propagate the constraints from $B^* = \{\beta \in B : \beta \text{ is not simple } \}$ into the subtrees.

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An algorithm from the finite basis to the specification

Constraint propagation 1/2

Embeddings of $\beta \in B^*$ into $\pi \in \mathcal{S}_{\mathcal{C}}$

- Example: for $\ominus[\mathcal{C}^-,\mathcal{C}]\langle 231\rangle$, and for the embedding $(23,1)\hookrightarrow (2,1)$, we get $\mathcal{C}^-\langle 12\rangle$.
- additional restrictions α in B? that are blocks of $\beta \in B^*$
- lacksquare and do it inductively while new constraints lpha appear
- this terminates since each $\alpha \preccurlyeq \beta$ for some $\beta \in B^*$

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- lacksquare additional restrictions α in $\mathcal{B}^{?}$ that are blocks of $\beta \in \mathcal{B}^{\star}$
- lacksquare and do it inductively while new constraints lpha appear
- this terminates since each $\alpha \preccurlyeq \beta$ for some $\beta \in B^*$

Result: A system describing \mathcal{C} , that may be ambiguous Example: For $2413[\mathcal{C},\mathcal{C},\mathcal{C},\mathcal{C}]\langle 1234\rangle$, the embeddings $(1,234)\hookrightarrow (2,4)$ and $(1,234)\hookrightarrow (1,3)$ produce the terms $2413[\mathcal{C},\mathcal{C}\langle 123\rangle,\mathcal{C},\mathcal{C}]$ and $2413[\mathcal{C},\mathcal{C},\mathcal{C},\mathcal{C}\langle 123\rangle]$ whose intersection is not empty.

Constraint propagation 2/2

Disambiguation of the system:

- Use formulas of the type $A \cup B = A \cap B \ \uplus \ \overline{A} \cap B \ \uplus \ A \cap \overline{B}$
- In complement set, excluded patterns become mandatory patterns: C_{γ} for $\gamma \preccurlyeq \beta \in B^{\star}$
- Propagate also mandatory restrictions

Constraint propagation 2/2

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- Propagate also mandatory restrictions

Result: An unambiguous system describing \mathcal{C} , where the left-hand-sides are $\mathcal{C}^{\epsilon}_{\gamma_1,\ldots,\gamma_p}\langle\alpha_1,\ldots,\alpha_k\rangle$ with $\epsilon\in\{\ ,+,-\}$.

Termination: all α_i and γ_j are patterns of some $\beta \in B^*$

Constraint propagation 2/2

Disambiguation of the system:

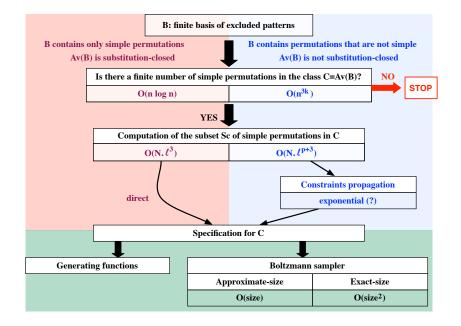
- Use formulas of the type $A \cup B = A \cap B \ \uplus \ \overline{A} \cap B \ \uplus \ A \cap \overline{B}$
- In complement set, excluded patterns become mandatory patterns: C_{γ} for $\gamma \preccurlyeq \beta \in B^{\star}$
- Propagate also mandatory restrictions

Result: An unambiguous system describing \mathcal{C} , where the left-hand-sides are $\mathcal{C}^{\epsilon}_{\gamma_1,\ldots,\gamma_p}\langle\alpha_1,\ldots,\alpha_k\rangle$ with $\epsilon\in\{-,+,-\}$.

Termination: all α_i and γ_j are patterns of some $\beta \in B^*$

Theorem: The propagation of the constraints to obtain a specification for \mathcal{C} is algorithmic, but there is an explosion of the number of equations in the system.

Putting things together



Outline

- 1 Permutations, patterns and permutation classes
- 2 Substitution decomposition and decomposition trees
- 3 Permutations and trees as combinatorial structures
- 4 An algorithm from the finite basis to the specification
- 5 Perspectives

What next?

About the algorithm:

- Implementation in progress
- Complexity analysis of step 3 (explosion of the system)
- Dependency of the complexity of Boltzmann random samplers w.r.t. the size of the specification

With the algorithm:

- From the specifications, estimate growth rates of classes
- Are random permutations in \mathcal{C} "like" in \mathfrak{S} ?
- Compare statistics on \mathcal{C} and \mathfrak{S} , or on \mathcal{C}_1 and \mathcal{C}_2

Related questions:

- How general is our algorithm?
- Classes with infinite set of simples, but finitely described?
- Use specification of a class to decide membership efficiently?