

# Černý's Conjecture and the Road Coloring Problem

Mikhail Volkov

Ural State University, Ekaterinburg, Russia



Vienna, November 24, 2010

# Definitions and Terminology

We consider complete deterministic finite automata (DFA)

$\mathcal{A} = \langle Q, \Sigma, \delta \rangle$  where  $Q$  stands for the state set,  $\Sigma$  is the input alphabet, and  $\delta : Q \times \Sigma \rightarrow Q$  is a (total) transition function.

To simplify notation we often write  $q.w$  for  $\delta(q, w)$  and  $P.w$  for  $\{\delta(q, w) \mid q \in P\}$ .

$\mathcal{A}$  is called **synchronizing** if there is a word  $w \in \Sigma^*$  whose action resets  $\mathcal{A}$ , that is, leaves  $\mathcal{A}$  in one particular state no matter at which state in  $Q$  it started:  $q.w = q'.w$  for all  $q, q' \in Q$ .

In short,  $|Q.w| = 1$ .

Any  $w$  with this property is a **reset word** for  $\mathcal{A}$ .

Other names:

- for automata: directable, cofinal, collapsible, etc;
- for words: directing, recurrent, synchronizing, etc.

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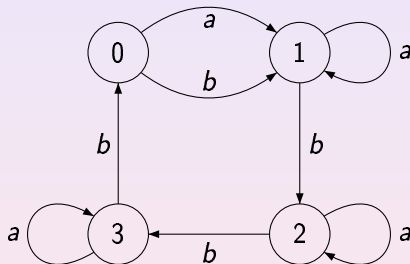
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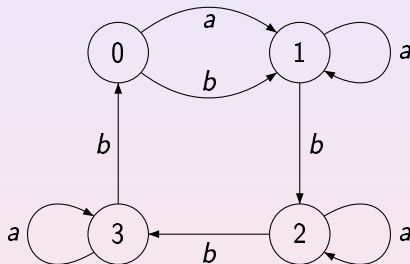
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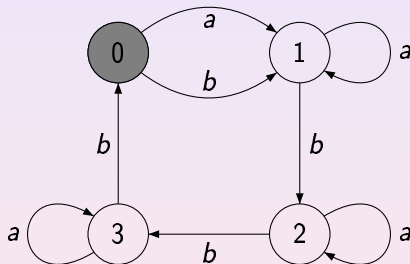
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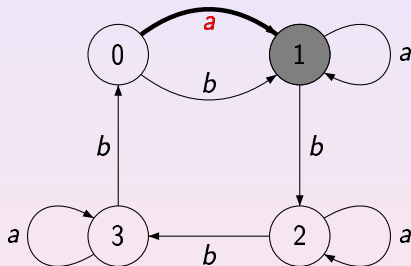
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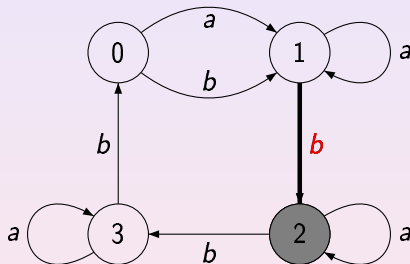
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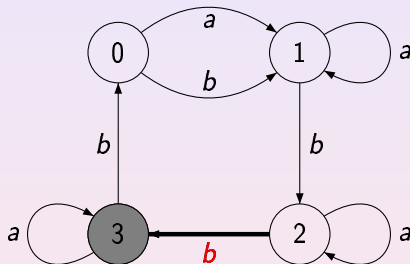
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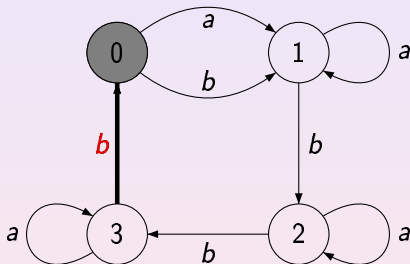
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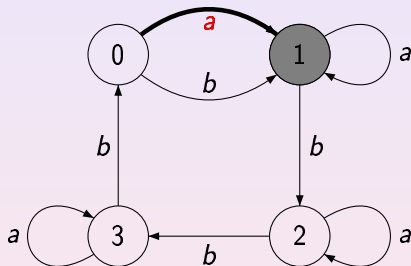
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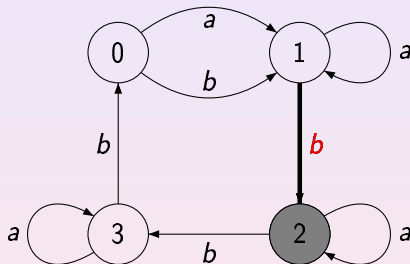


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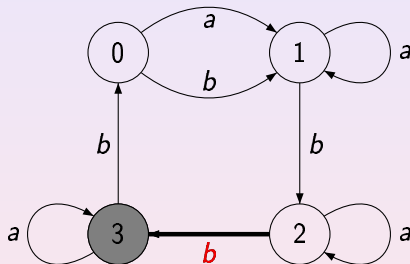
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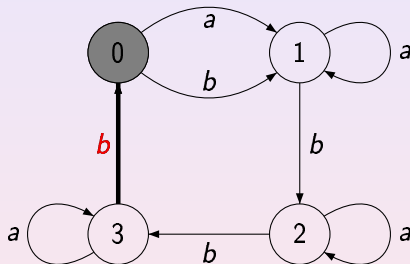
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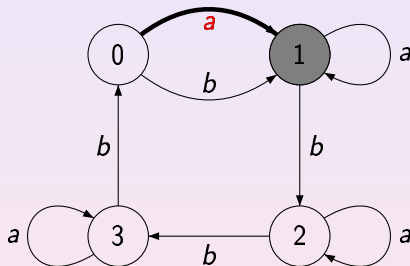
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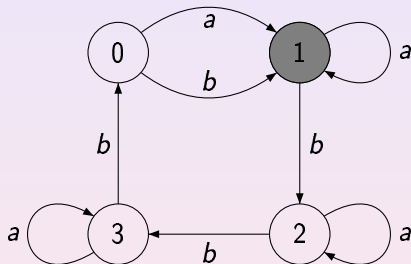
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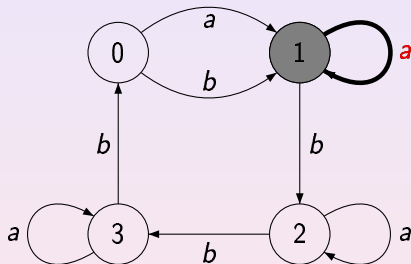
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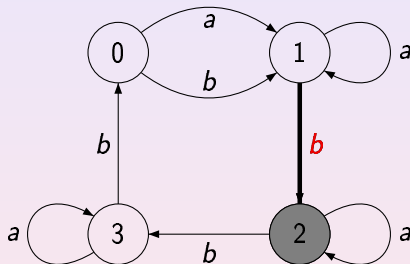
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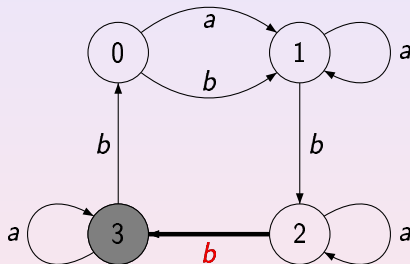
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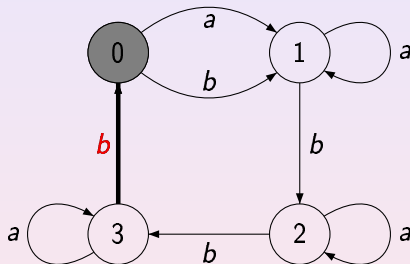


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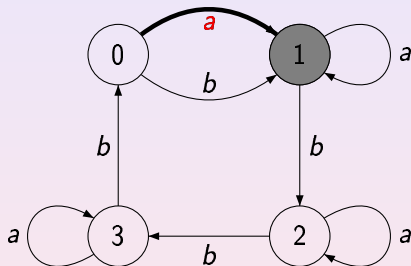
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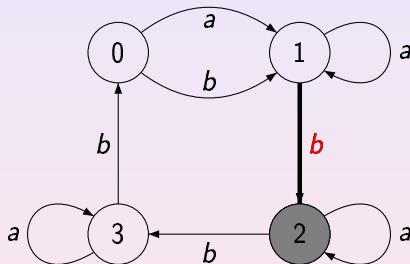
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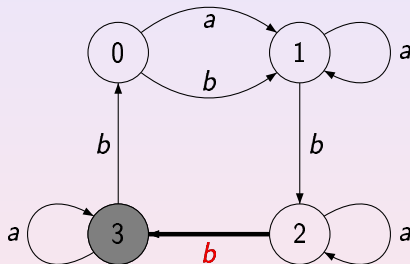
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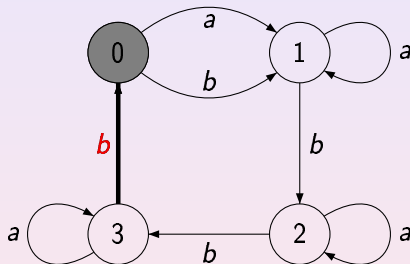
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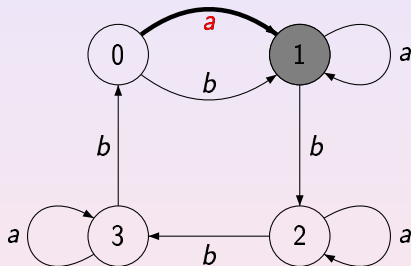
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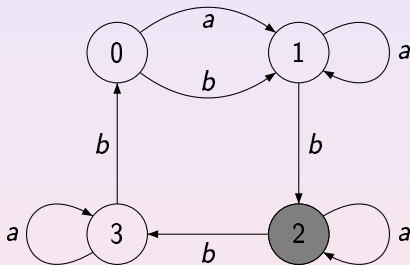
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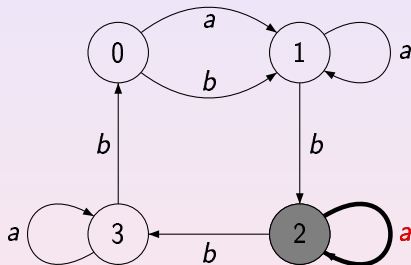
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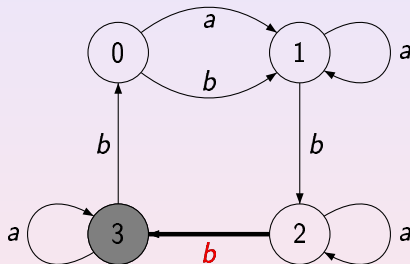


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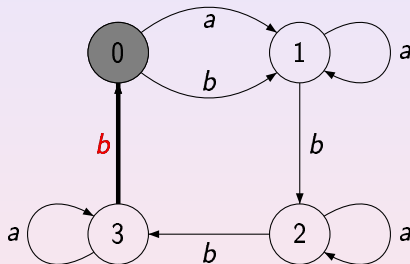
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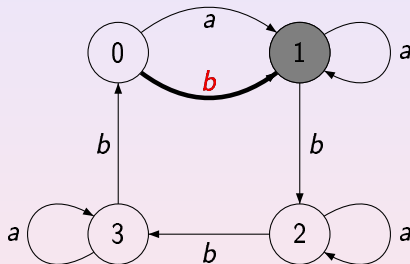
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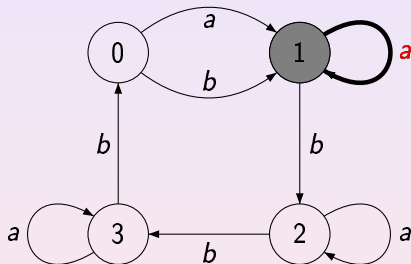
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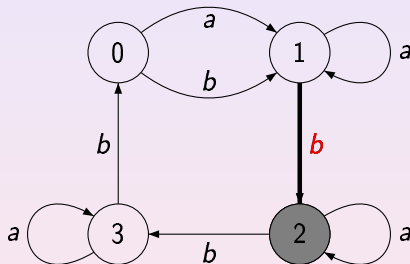
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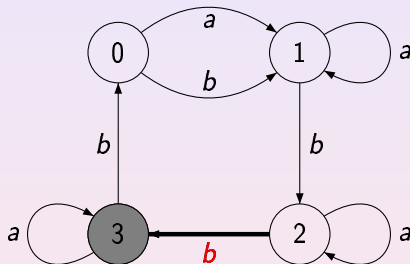
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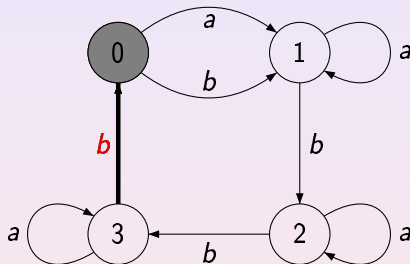
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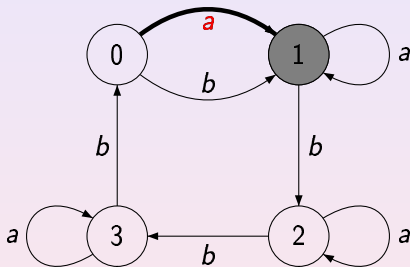
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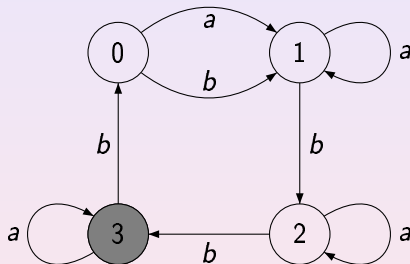


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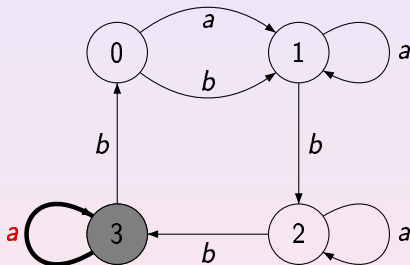
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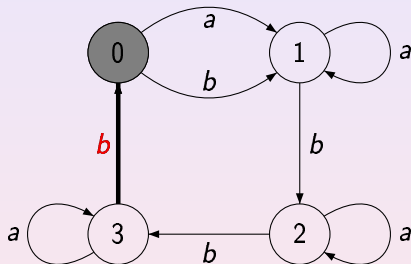
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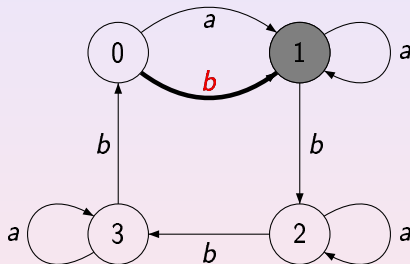
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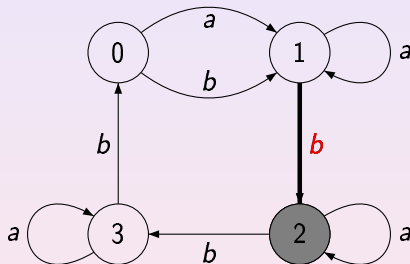
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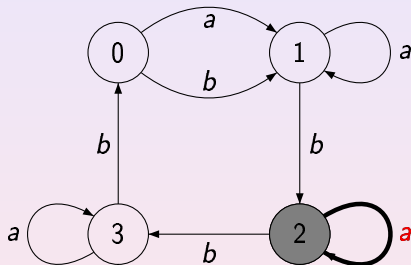
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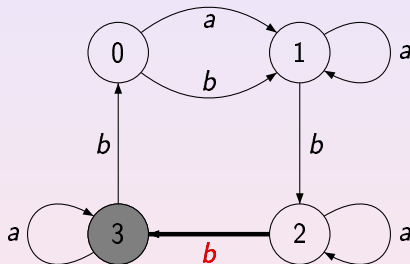
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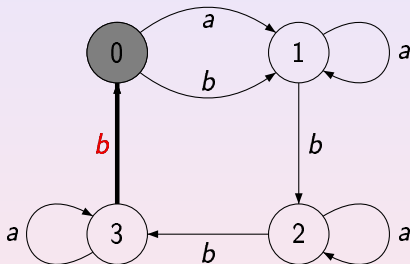
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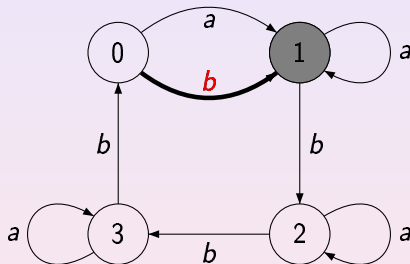


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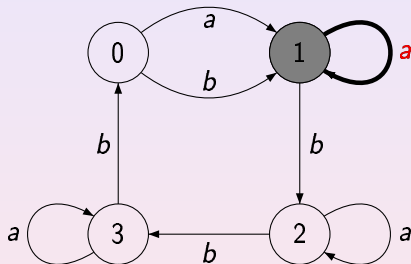
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The idea of synchronization is pretty natural and of obvious importance: we aim to restore control over a device whose current state is not known.

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**'4/15. Materiality.** *The reader may now like to test the methods of this chapter as an aid to solving the problem set by the following letter. It justifies the statement made in S.1/2 that cybernetics is not bound to the properties found in terrestrial matter, nor does it draw its laws from them. What is important in cybernetics is the extent to which the observed behaviour is regular and reproducible.'*

Vienna, November 24, 2010

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The earliest synchronizing automaton that I was able to trace back in the literature appeared in Ross Ashby's 'An Introduction to Cybernetics' (1956), pp. 60–61.

The letter presents a puzzle about two ghostly noises, Singing and Laughter, in a haunted mansion. Each of the noises can be either on or off, and their behaviour depends on combinations of two possible actions, playing the organ or burning incense.

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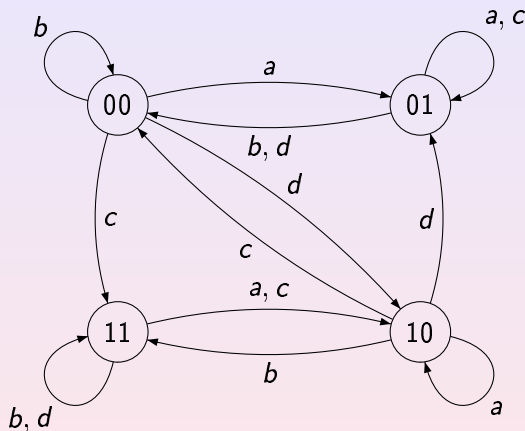
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Under a suitable encoding, this leads to an automaton with 4 states and 4 input letters shown in the next slide.

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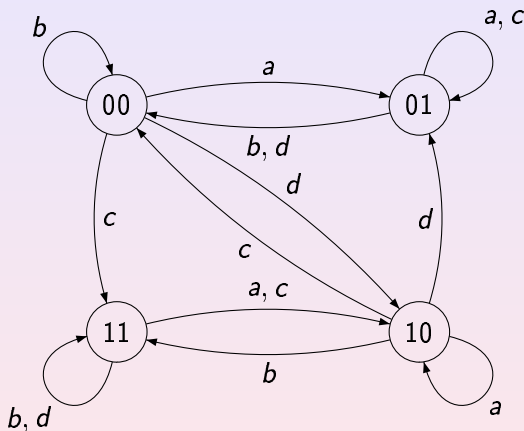
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It is easy to see that this is a synchronizing automaton and  $acb$  is its shortest reset word.

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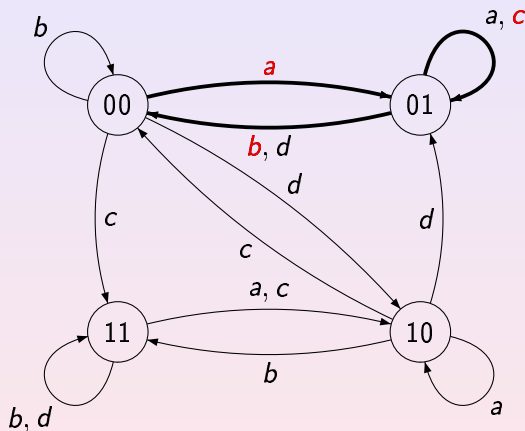
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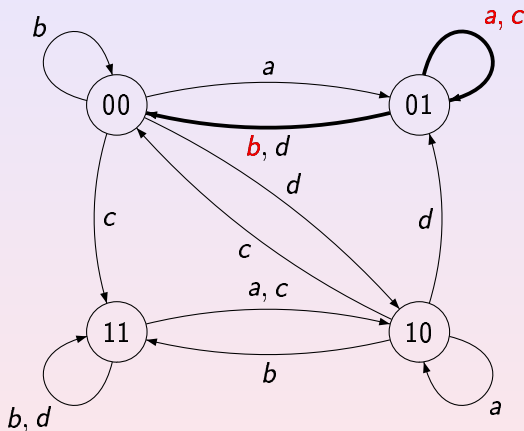
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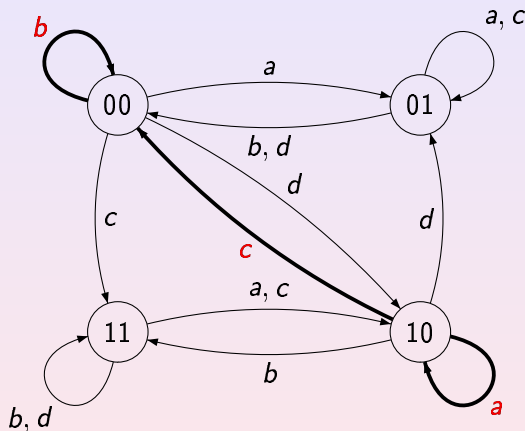
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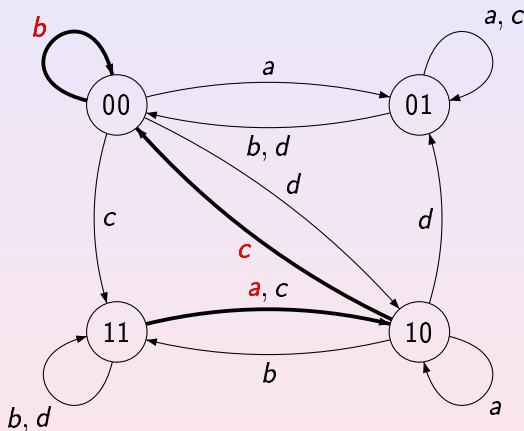
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# A Frequently Discovered Notion

It is not surprising that synchronizing automata were re-invented a number of times:

- The notion was very natural by itself and fitted fairly well in what was considered as the mainstream of automata theory in the early 1960s: Moore, Ginsburg.
- Černý's paper published in Slovak language remained unknown in the English-speaking world for quite a long time.

Example: A. E. Laemmel, B. Rudner, Study of the application of coding theory, Report PIBEP-69-034, Polytechnic Inst. Brooklyn, Dept. Electrophysics, Farmingdale, N.Y., 94 pp.

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# Crash Course in Coding Theory

A **prefix code** over a finite alphabet  $\Sigma$  is a set  $X$  of words in  $\Sigma^*$  such that no word of  $X$  is a prefix of another word of  $X$ . A prefix code is **maximal** if it is not contained in another prefix code over the same alphabet. A maximal prefix code  $X$  over  $\Sigma$  is **synchronized** if there is a word  $x \in X^*$  such that for any word  $w \in \Sigma^*$ , one has  $wx \in X^*$ . Such a word  $x$  is called a **synchronizing word** for  $X$ .

The advantage of synchronized codes is that they are able to recover after a loss of synchronization between the decoder and the coder caused by channel errors.

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# Synchronized Codes

$\Sigma = \{0, 1\}$ ,  $X = \{000, 0010, 0011, 010, 0110, 0111, 10, 110, 111\}$ .

Then  $X$  is a maximal prefix code and one can easily check that each of the words  $010, 011110, 011111110, \dots$  is a synchronizing word for  $X$ .

The vertical lines show the partition of each stream into code words and the boldfaced code words indicate the position at which the decoder resynchronizes.

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Sent    0 0 0 | 0 0 1 0 | 0 1 1 1 | ...

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Received	100	0	<b>010</b>		0111	...	

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Sent	0 0 0   0 0 1 0   0 1 1 1   ...
Received	1 0 0 0 <b>0 1 0</b> 0 1 1 1 ...
Decoded	1 0

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Sent	000   0010   <b>0111</b>   ...
Received	100 0 <b>010</b> 0111 ...
Decoded	10   000   10   <b>0111</b>   ...

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# Codes vs Automata

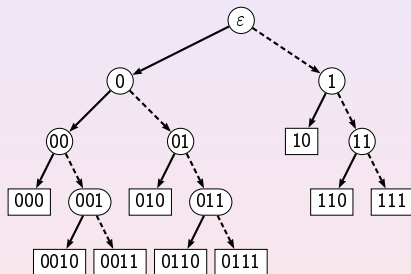
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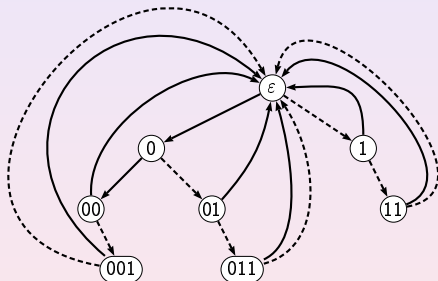
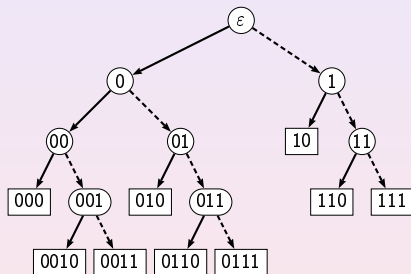


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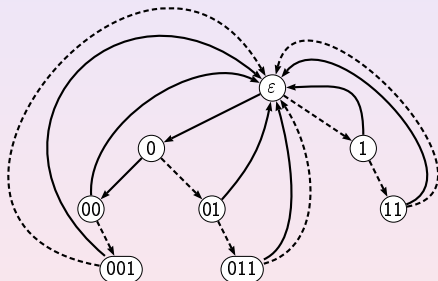
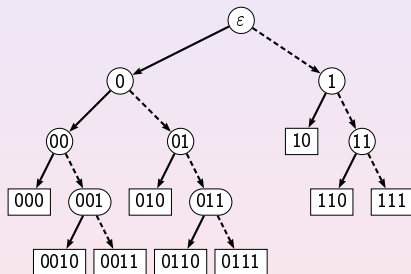


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# Other Motivations

Since the 60s synchronizing automata have been considered as a useful tool for **testing of reactive systems** (first circuits, later protocols).

In the 80s, the notion was reinvented by engineers working in a branch of **robotics** which deals with part handling problems in industrial automation.

And many further connections and applications . . .

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# Outline of the Talk

- From the viewpoint of applications **algorithmic issues** are of crucial importance.
- Synchronizing automata constitute an interesting combinatorial object. Their studies from a combinatorial viewpoint are mainly motivated by the **Černý Conjecture**.
- Interesting connections to **symbolic dynamics** led to the **Road Coloring Problem** but it will be mentioned only briefly.
- If time permits, we present some recent developments based on an interplay between slowly synchronizing automata and the Perron–Frobenius theory of non-negative matrices.

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# Power Automaton

Not every DFA is synchronizing. Therefore, the very first question is the following one: *given an automaton, how to determine whether or not it is synchronizing?* This question is easy, and a straightforward solution comes from the classic power automaton construction.

The *power automaton*  $\mathcal{P}(\mathcal{A})$  of a given DFA  $\mathcal{A} = \langle Q, \Sigma, \delta \rangle$ :

- states are the non-empty subsets of  $Q$ ,
- $\Delta(P, a) = P \cdot a = \{\delta(p, a) \mid p \in P\}$

A  $w \in \Sigma^*$  is a reset word for the DFA  $\mathcal{A}$  iff  $w$  labels a path in  $\mathcal{P}(\mathcal{A})$  starting at  $Q$  and ending at a singleton.

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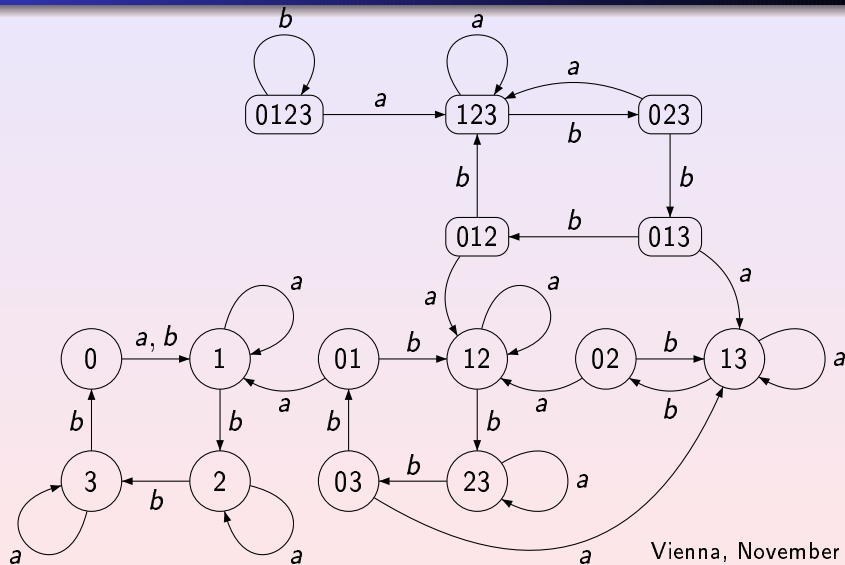
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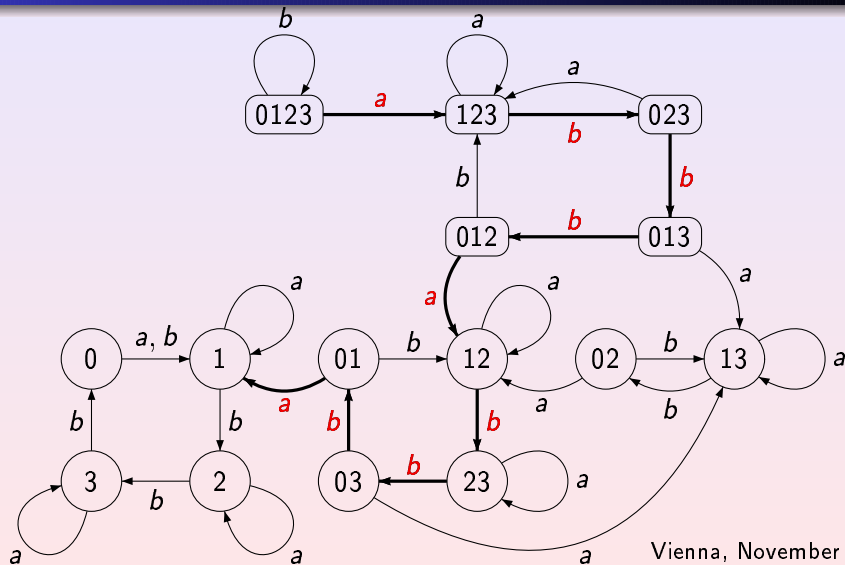
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## An Example



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# A Polynomial Algorithm

Thus, the question of whether or not a given DFA  $\mathcal{A}$  is synchronizing reduces to the following reachability question in the underlying digraph of the power automaton  $\mathcal{P}(\mathcal{A})$ : is there a path from  $Q$  to a singleton? The latter question can be easily answered by BFS. This algorithm is however exponential w.r.t. the size of  $\mathcal{A}$ .

The following result by Černý gives a polynomial algorithm:

**Proposition.** *A DFA  $\mathcal{A} = \langle Q, \Sigma, \delta \rangle$  is synchronizing iff for every  $q, q' \in Q$  there exists a word  $w \in \Sigma^*$  such that  $q \cdot w = q' \cdot w$ .*

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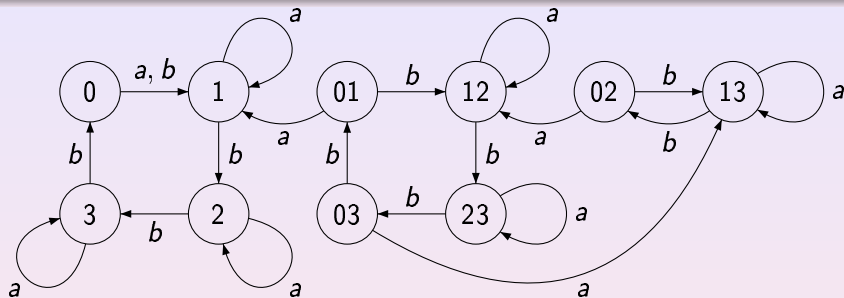
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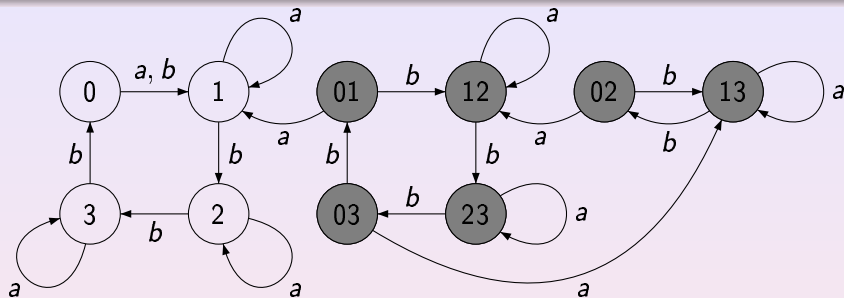
$a, Q \cdot a = \{1, 2, 3\}; \quad a \cdot bba, Q \cdot abba = \{1, 3\}$

$abba \cdot babbba, Q \cdot abbababbba = \{1\}$

Observe that the reset word constructed this way is of length 10  
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Vienna, November 24, 2010

## An Example



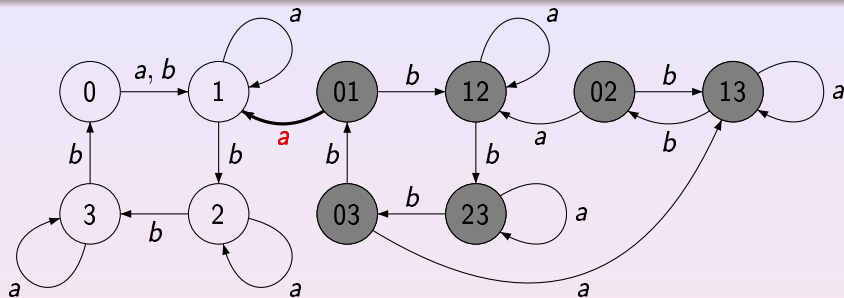
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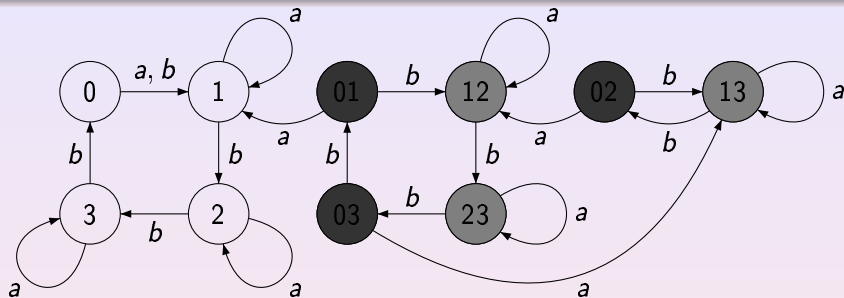
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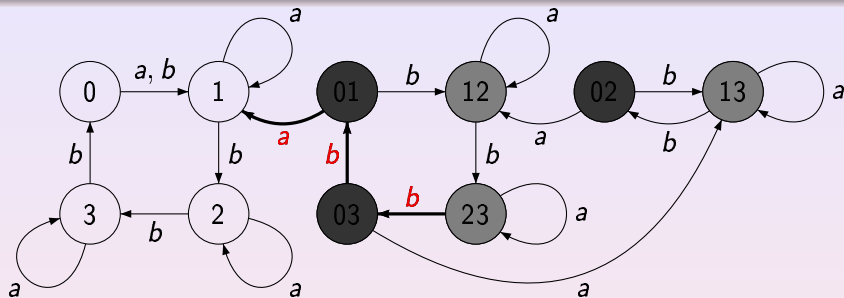
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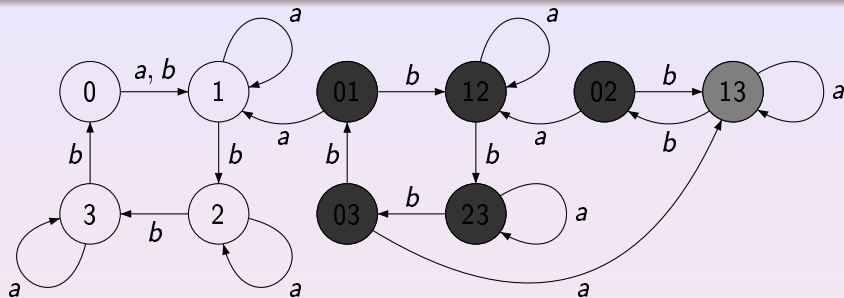
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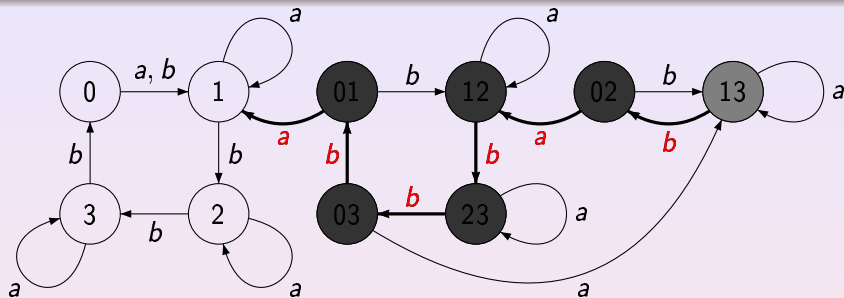
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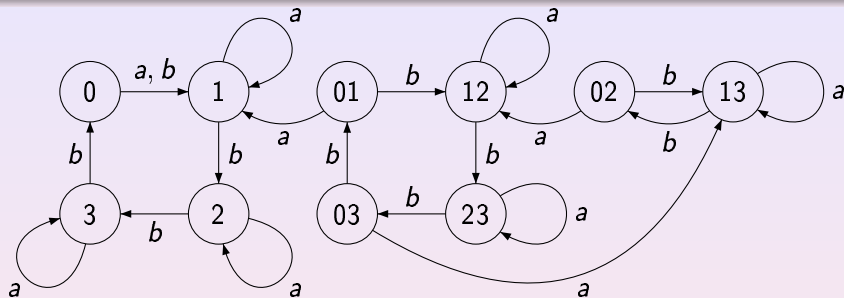


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Thus, recognizing synchronizability reduces to a reachability problem in the automaton whose states are the 2-subsets and the 1-subsets of  $Q$ . The latter can be solved by BFS in  $O(n^2 \cdot |\Sigma|)$  time where  $n = |Q|$ .

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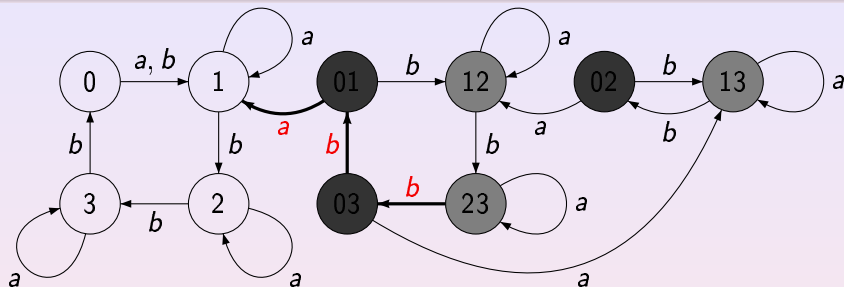
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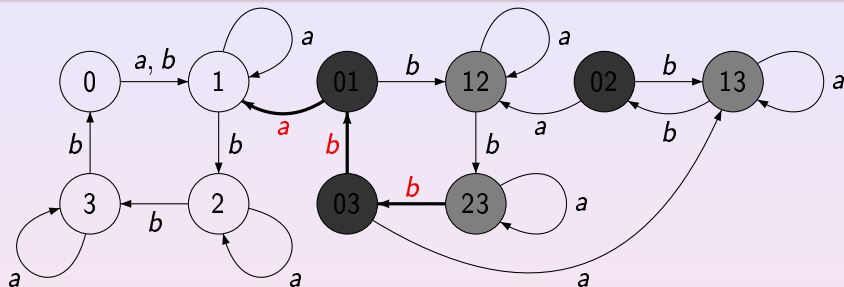


We see that the shortest path from a light-grey 2-subset to a singleton do not necessarily pass through all dark-grey 2-subsets. Consider a generic step of the algorithm at which states to be compressed form a set  $P$  with  $|P| = k > 1$ . What is the minimum length of a word  $v \in \Sigma^*$  such that  $|P \cdot v| < k$ ?

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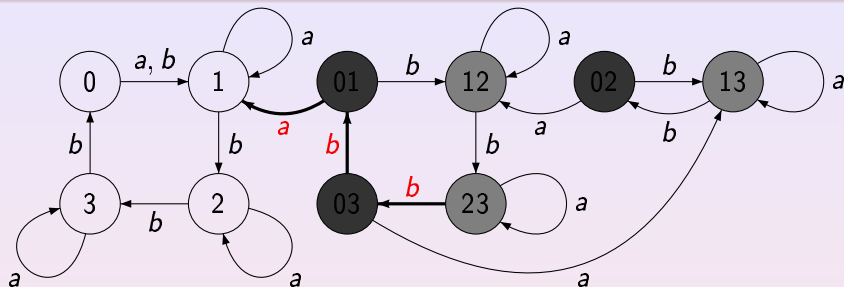


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Summing up over  $k = n, \dots, 2$ , we see that the greedy algorithm always returns a reset word of length  $\leq \frac{n^3-n}{6}$ :

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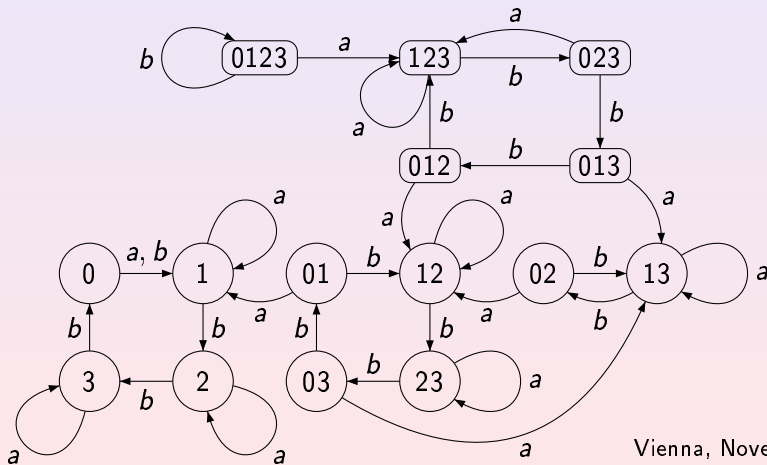
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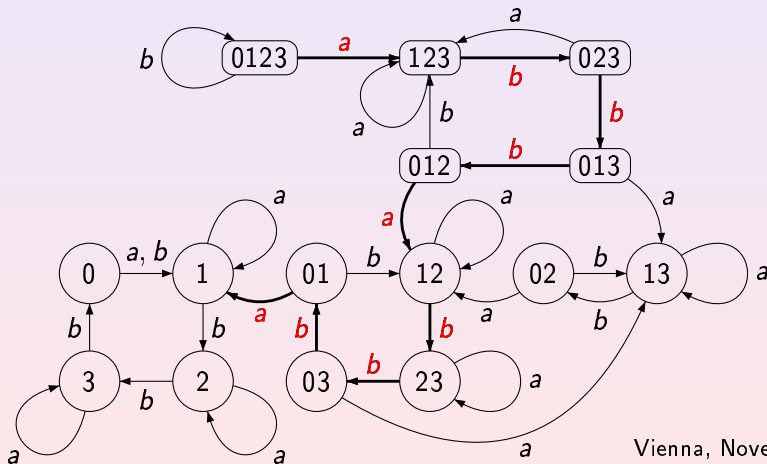
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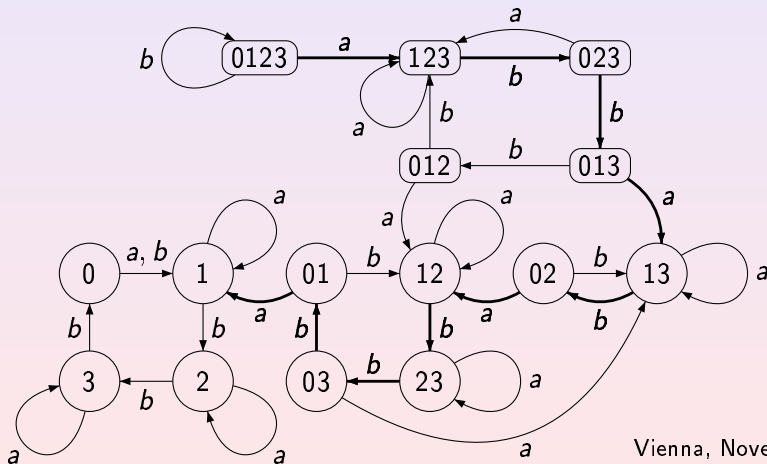
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# Short Reset Words are Hard to Find

Given a synchronizing automaton  $\mathcal{A}$ , we call the minimum length of its reset words the **reset length** of  $\mathcal{A}$ .

The gap between the reset length and the length of the word produced by the greedy algorithm may be arbitrarily large: for each  $n > 1$  there exist synchronizing automata with  $n$  states whose reset lengths are  $\Omega(n^2)$  while the greedy algorithm produces reset words of length  $\Omega(n^2 \log n)$ .

The behaviour of the greedy algorithm on average is not yet understood; practically it behaves rather well. However, on slowly synchronizing automata a lavish algorithm turns out to perform much better.

Under standard assumptions (like  $\text{NP} \neq \text{coNP}$ ) no polynomial algorithm, even non-deterministic, can find the reset length.

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# Short Reset Words are Hard to Decide

Consider the following decision problem:

**SHORT-RESET-WORD:** *Given a synchronizing automaton  $\mathcal{A} = \langle Q, \Sigma, \delta \rangle$  and a positive integer  $\ell$ , is it true that  $\mathcal{A}$  has a reset word of length  $\ell$ ?*

Clearly, **SHORT-RESET-WORD** belongs to NP: one can non-deterministically guess a word  $w \in \Sigma^*$  of length  $\ell$  and then check if  $w$  is a reset word for  $\mathcal{A}$  in time  $\ell|Q|$ .

Several authors have observed that **SHORT-RESET-WORD** is NP-hard by a transparent reduction from SAT.

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# Reduction from SAT

Given an instance  $\psi$  of SAT with  $n$  variables  $x_1, \dots, x_n$  and  $m$  clauses  $c_1, \dots, c_m$ , one constructs  $\mathcal{A}(\psi)$  with 2 input letters  $a$  and  $b$  and the state set  $\{z, q_{i,j} \mid 1 \leq i \leq m, 1 \leq j \leq n+1\}$ .

The transitions are defined by:

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$$q_{i,j} \cdot a = \begin{cases} z & \text{if } x_j \text{ occurs in } c_i, \\ q_{i,j+1} & \text{otherwise} \end{cases} \quad \text{for } 1 \leq i \leq m, 1 \leq j \leq n;$$

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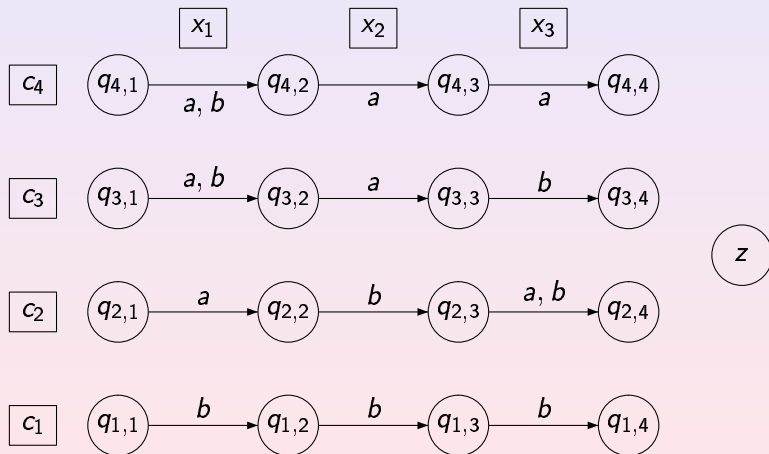
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# Reduction from SAT

It is easy to see that  $\mathcal{A}(\psi)$  is reset by every word of length  $n + 1$  and is reset by a word of length  $n$  if and only if  $\psi$  is satisfiable.

Thus, assigning the instance  $(\mathcal{A}(\psi), n)$  of SHORT-RESET-WORD to an arbitrary  $n$ -variable instance  $\psi$  of SAT, one gets a polynomial reduction which is in fact parsimonious.

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If we change  $\psi$  to  $\{x_1 \vee x_2, \neg x_1 \vee x_2, \neg x_2 \vee x_3, \neg x_2 \vee \neg x_3\}$ , it becomes unsatisfiable and  $\mathcal{A}(\psi)$  is reset by no word of length 3. Thus, assigning the instance  $(\mathcal{A}(\psi), n)$  of SHORT-RESET-WORD to an arbitrary  $n$ -variable instance  $\psi$  of SAT, one gets a polynomial reduction which is in fact parsimonious.

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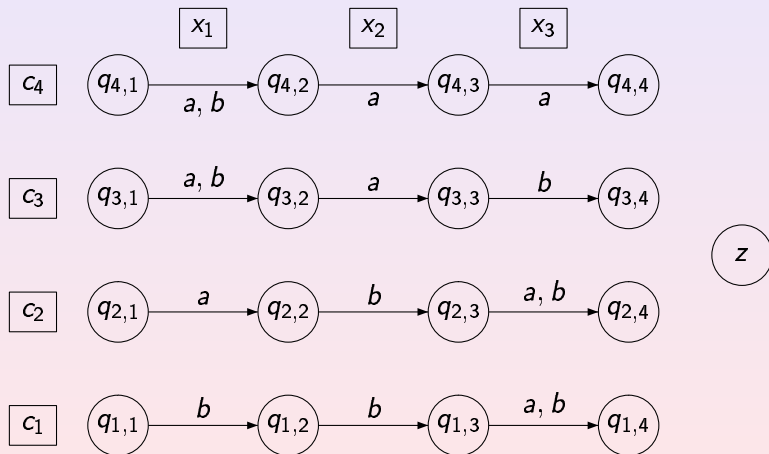
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# Shortest Reset Words are Even Harder to Decide

Now consider the following decision problem:

**SHORTEST-RESET-WORD:** *Given a synchronizing automaton  $\mathcal{A}$  and a positive integer  $\ell$ , is it true that the reset length of  $\mathcal{A}$  is equal to  $\ell$ ?*

Assigning the instance  $(\mathcal{A}(\psi), n + 1)$  of **SHORTEST-RESET-WORD** to an arbitrary system  $\psi$  of clauses on  $n$  variables, one sees that the answer to the instance is “Yes” if and only if  $\psi$  is **not** satisfiable. This is a polynomial reduction from the **negation** of SAT to **SHORTEST-RESET-WORD** whence the latter problem is coNP-hard. As a corollary, **SHORTEST-RESET-WORD** cannot belong to NP unless  $\text{NP} = \text{coNP}$ .

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# Computing is Harder than Deciding

$P^{NP[\log]}$  is the class of all problems that can be solved by a deterministic polynomial-time Turing machine that has an access to an oracle for an NP-complete problem, with the number of queries being logarithmic in the size of the input.

DP is contained in  $P^{NP[\log]}$  (for every problem in DP two oracle queries suffice) and the inclusion is believed to be strict.

The problem of **computing** the reset length is complete for the functional analogue  $FP^{NP[\log]}$  of  $P^{NP[\log]}$  — Jörg Olschewski & Michael Ummels, MFCS 2010.

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# Non-approximability

However, all known results were consistent with the existence of very good polynomial approximation algorithms for the problem!

Recently, Mikhail Berlinkov (CSR 2010) has shown that under  $NP \neq P$ , for no  $k$ , there may exist a polynomial algorithm that, given a synchronizing automaton, produces a reset word whose length is less than  $k \times \text{reset length}$ .

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# The Černý Automata

Suppose a synchronizing automaton has  $n$  states. What is its reset length?

We know an upper bound: there always exists a reset word of length  $\frac{n^3-n}{6}$ . What about a lower bound?

In his 1964 paper Jan Černý constructed a series  $\mathcal{C}_n$ ,  $n = 2, 3, \dots$ , of synchronizing automata over 2 letters.

The states of  $\mathcal{C}_n$  are the residues modulo  $n$ , and the input letters  $a$  and  $b$  act as follows:

$$\delta(0, a) = 1, \delta(m, a) = m \text{ for } 0 < m < n, \delta(m, b) = m+1 \pmod{n}.$$

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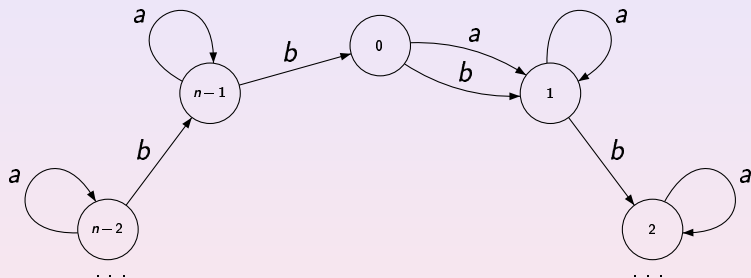
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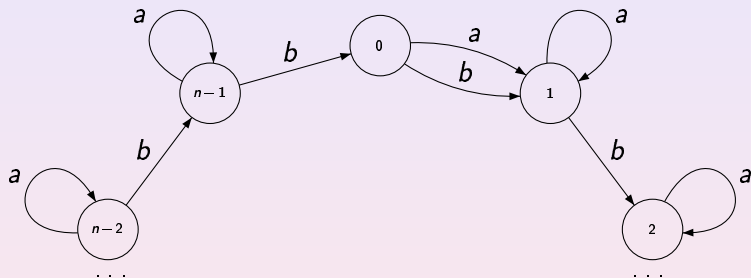


Černý has proved that the shortest reset word for  $\mathcal{C}_n$  is  $(ab^{n-1})^{n-2}a$  of length  $(n-1)^2$ . As other results from Černý's paper of 1964, this nice series of automata has been rediscovered many times.

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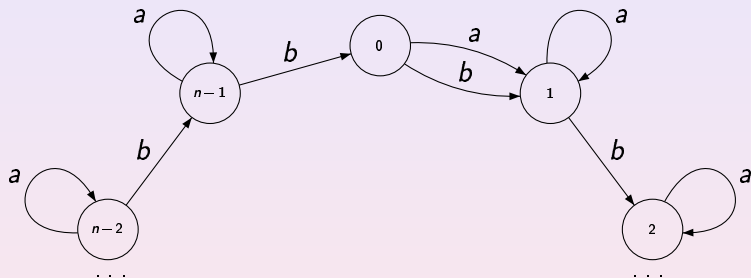


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# The Černý Function

Define the Černý function  $C(n)$  as the maximum reset length for synchronizing automata with  $n$  states. The above property of the series  $\{\mathcal{C}_n\}$ ,  $n = 2, 3, \dots$ , yields the inequality  $C(n) \geq (n - 1)^2$ .

The Černý Conjecture is the claim that in fact the equality  $C(n) = (n - 1)^2$  holds true. This simply looking conjecture is arguably the most longstanding open problem in the combinatorial theory of finite automata. Everything we know about the conjecture in general can be summarized in one line:

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# A Discussion

Why is the problem so surprisingly difficult?

- **non-locality**: prefixes of optimal solutions need not be optimal (that's why the greedy algorithm fails);
- **combinatorics of finite sets** is encoded in the problem.

Yet another reason: “slowly” synchronizing automata turn out to be extremely rare. The only known infinite series of  $n$ -state synchronizing automata with reset length  $(n-1)^2$  is the Černý series  $\mathcal{C}_n$ ,  $n = 2, 3, \dots$ , with a few (actually, 8) sporadic examples for  $n \leq 6$ .

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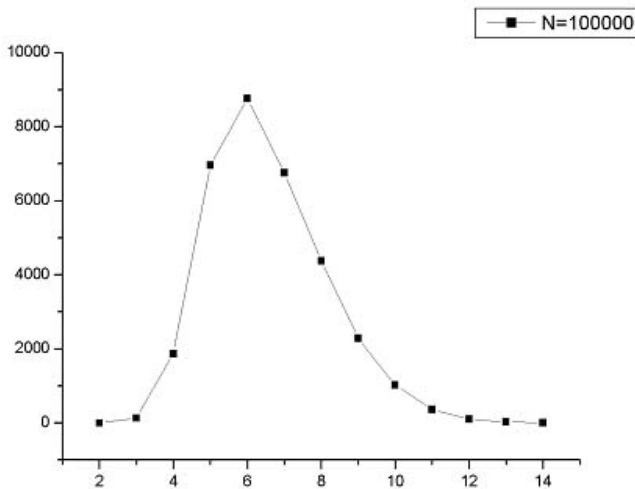
- **non-locality**: prefixes of optimal solutions need not be optimal (that's why the greedy algorithm fails);
- **combinatorics of finite sets** is encoded in the problem.

Yet another reason: “slowly” synchronizing automata turn out to be extremely rare. The only known infinite series of  $n$ -state synchronizing automata with reset length  $(n - 1)^2$  is the Černý series  $\mathcal{C}_n$ ,  $n = 2, 3, \dots$ , with a few (actually, 8) sporadic examples for  $n \leq 6$ .

Vienna, November 24, 2010



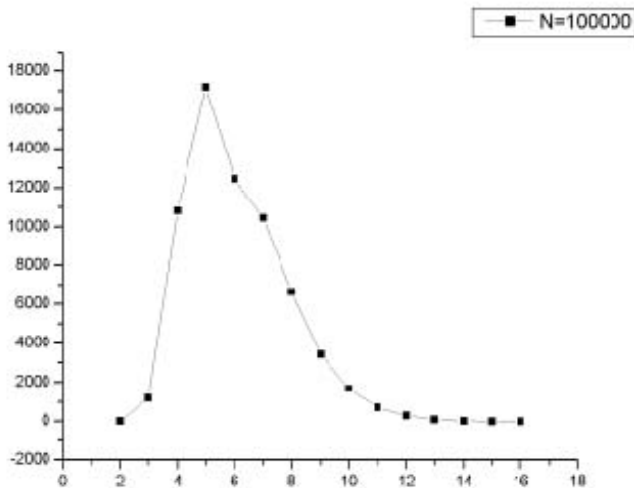
# 20-State Experiment



24, 2010



# 30-State Experiment



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# Random Automata

A (partial) explanation of these experimental observations: if  $Q$  is an  $n$ -set (with  $n$  large enough), then, on average, any product of  $2n$  randomly chosen transformations of  $Q$  is a constant map (Peter Higgins, The range order of a product of  $i$  transformations from a finite full transformation semigroup, Semigroup Forum, 37 (1988) 31–36). In automata-theoretic terms, this fact means that a randomly chosen DFA with  $n$  states and a sufficiently large input alphabet tends to be synchronizing and is reset by any word of length  $\geq 2n$ .

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# An Advantage of Being Old

Thus, the pattern is:

$(n - 1)^2$     the first gap    the “island”    the second gap

The second gap first appears at 9 states and grows rather regularly with the number of states. The size of the island depends only on the parity of the number of states.

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# Exponents of Non-negative Matrices

A non-negative matrix  $A$  is said to be **primitive** if some power  $A^k$  is positive. The minimum  $k$  with this property is called the **exponent** of  $A$ , denoted  $\exp A$ .

Helmut Wielandt proved in 1950 that for any primitive  $n \times n$ -matrix  $A$ , one has  $\exp A \leq n^2 - 2n + 2 = (n - 1)^2 + 1$ , and this bound is tight. Possible exponents of  $n \times n$ -matrices were intensively studied in the 1960s, and it was discovered that two extreme values are each attained by a unique matrix, then there is a gap followed by an island followed by another gap. The sizes of the gaps and of the island perfectly match the sizes of the gaps and of the islands in possible lengths of shortest reset words for synchronizing automata with  $n$  states – basically one has the same picture shifted by 1. Clearly, this cannot be a mere coincidence.

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# Digraphs and Matrices

A directed graph (digraph) is a pair  $D = \langle V, E \rangle$ .

- $V$  set of vertices
- $E \subseteq V \times V$  set of edges

This definition allows loops but excludes multiple edges.

The **matrix** of a digraph  $D = \langle V, E \rangle$  is just the matrix of the edge relation, that is, a  $V \times V$ -matrix whose entry in the row  $v$  and the column  $v'$  is 1 if  $(v, v') \in E$  and 0 otherwise.

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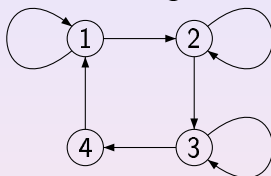
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For instance, the matrix of the digraph



(with respect to the chosen numbering of its vertices) is  $\begin{pmatrix} 1 & 1 & 0 & 0 \\ 0 & 1 & 1 & 0 \\ 0 & 0 & 1 & 1 \\ 1 & 0 & 0 & 0 \end{pmatrix}$ .

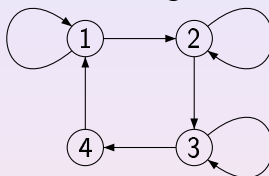
Conversely, given an  $n \times n$ -matrix  $P = (p_{ij})$  with non-negative real entries, we assign to it a digraph  $D(P)$  on the set  $\{1, 2, \dots, n\}$  as follows:  $(i, j)$  is an edge of  $D(P)$  if and only if  $p_{ij} > 0$ .

This 'two-way' correspondence allows us to reformulate in terms of digraphs several important notions and results which originated in the classical Perron–Frobenius theory of non-negative matrices.

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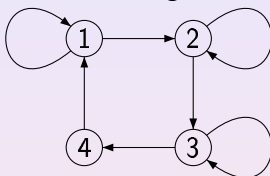
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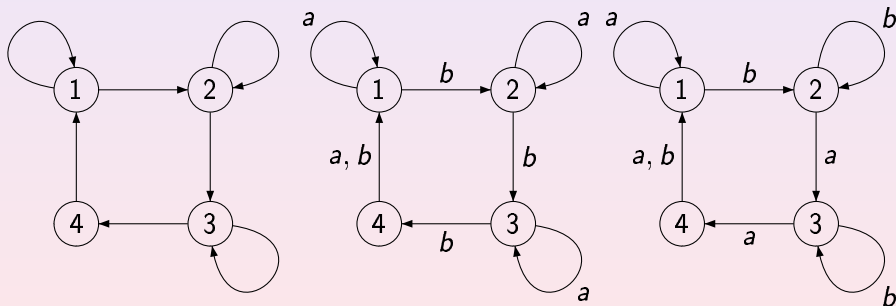
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If  $n > 4$  is even, then there is no primitive digraph  $D$  on  $n$  vertices such that  $n^2 - 4n + 6 < \gamma(D) < (n-1)^2$ .

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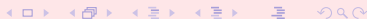
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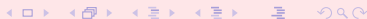
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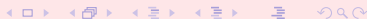
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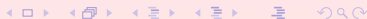
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1964, Dulmage–Mendelsohn: There is exactly one primitive digraph on  $n$  vertices with exponent  $(n-1)^2 + 1$  and exactly one primitive digraph on  $n$  vertices with exponent  $(n-1)^2$ .

If  $n > 4$  is even, then there is no primitive digraph  $D$  on  $n$  vertices such that  $n^2 - 4n + 6 < \gamma(D) < (n-1)^2$ .

If  $n > 3$  is odd, then there is no primitive digraph  $D$  on  $n$  vertices such that  $n^2 - 3n + 4 < \gamma(D) < (n-1)^2$ , or  $n^2 - 4n + 6 < \gamma(D) < n^2 - 3n + 2$ .

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## Exponents vs Reset Lengths

Exponents of primitive digraphs with 9 vertices vs reset lengths of 2-letter strongly connected synchronizing automata with 9 states

$N$	65	64	63	62	61	60	59	58	57	56	55	54	53	52	51
# of primitive digraphs with exponent $N$	1	1	0	0	0	0	0	1	1	2	0	0	0	0	4
# of 2-letter synchronizing automata with reset length $N$	0	1	0	0	0	0	0	1	2	3	0	0	0	4	4

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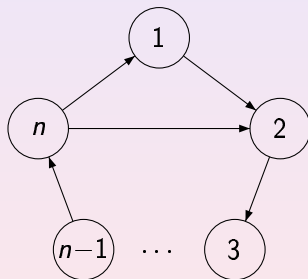
# The Wielandt Automaton

The Wielandt automaton  $\mathcal{W}_n$  is a (unique) coloring of the Wielandt digraph  $W_n$  with  $\gamma(W_n) = (n-1)^2 + 1$ .

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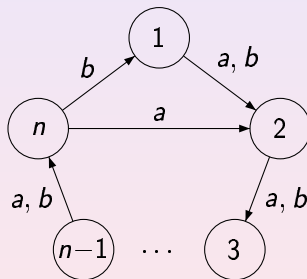
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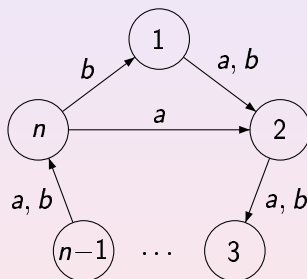
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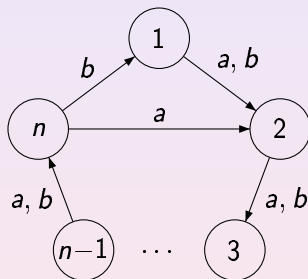
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In a similar way, every digraph with large exponent generates slowly synchronizing automata.

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# A Hybrid Conjecture

The Wielandt digraph admits an essentially unique coloring.  
In general, a digraph can be colored in many ways.

**The Hybrid Problem:** What is the minimum reset length for synchronizing colorings of a primitive digraph with  $n$  vertices?

The Wielandt digraph provides a lower bound  $n^2 - 3n + 3$ .

We conjecture that this bound is tight:

**The Hybrid Conjecture:** Every primitive digraph with  $n$  vertices admits a synchronizing coloring with reset length at most  $n^2 - 3n + 3$ .

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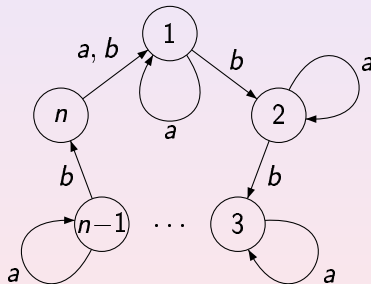
# The Černý Automata Revisited

It turns out that the Černý automaton  $\mathcal{C}_n$  is closely related to Wielandt automaton  $\mathcal{W}_n$ .

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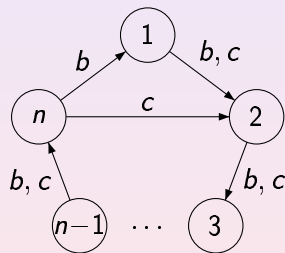
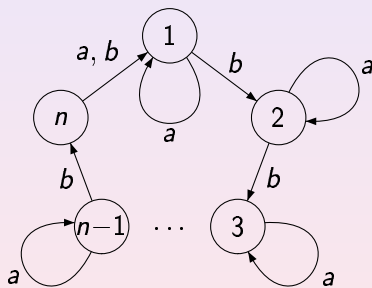
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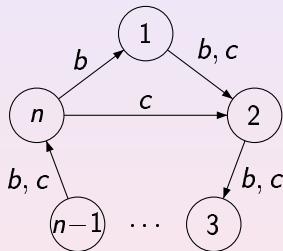
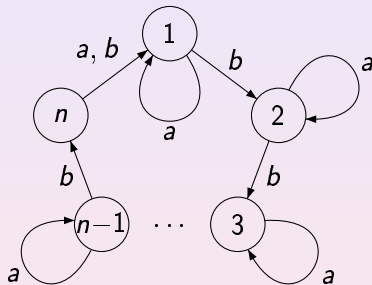


$\mathcal{C}_n$  becomes  $\mathcal{W}_n$  under the action of  $b$  and  $c = ab$ .

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$\mathcal{C}_n$  becomes  $\mathcal{W}_n$  under the action of  $b$  and  $c = ab$ .

It is easy to see that every shortest reset word of  $\mathcal{C}_n$  transforms into a reset word of  $\mathcal{W}_n$ , and this allows one to easily recover the Černý bound  $(n-1)^2$ .

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# Summary

The 5 years of the AutoMathA programme brought drastic changes to the theory of synchronizing automata. We may expect further progress in the nearest future.

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