

Deciding Equivalence of Top-Down Tree Transducers

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Prologue *Tree Transducers*

= (finitely described) *models for relations* on (ordered) *trees*

E.g. \rightarrow **finite-state** (generalize FTA to input + output)

Example top-down tree transducer (TOP) [Rounds/Thatcher, 70's]

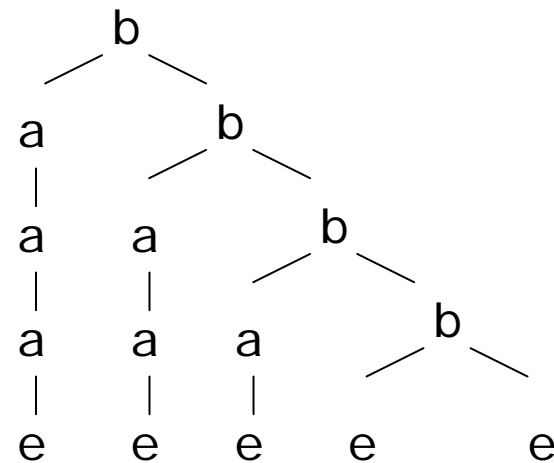
$q_0(a(x)) \rightarrow b(q(x), q_0(x))$

$q_0(e) \rightarrow e$

$q(a(x)) \rightarrow a(q(x))$

$q(e) \rightarrow e$

a
|
a
|
a
|
a
|
e



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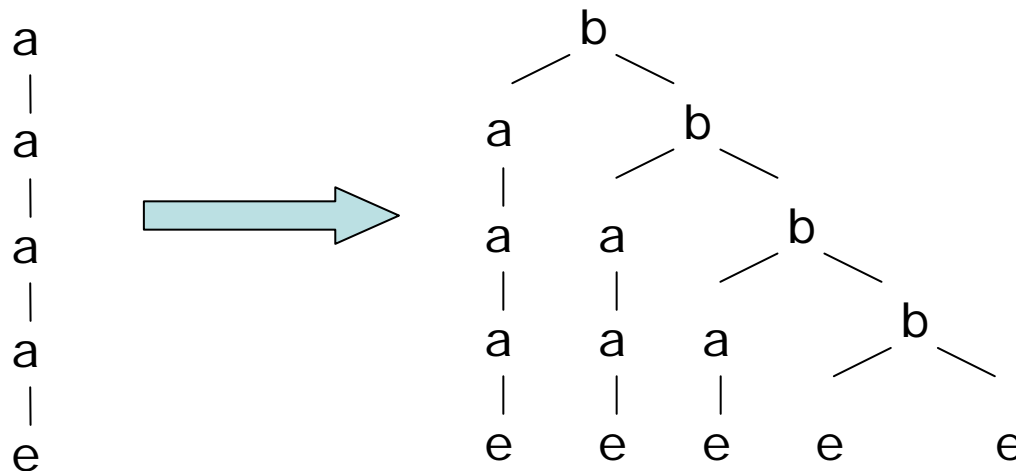
$$q(e) \rightarrow e$$

$$p_0(a(x)) \rightarrow p(x)$$

$$p_0(e) \rightarrow e$$

$$p(a(x)) \rightarrow b(a(q(x)), p(x))$$

$$p(e) \rightarrow b(e, e)$$



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M1

is equivalent to

M2

Transducers T1, T2 are **equivalent** iff \forall input s : $T1(s) = T2(s)$.

Theorem [Esik80]

For two deterministic TOPs it is **decidable** if they are **equivalent**.

Proof idea

Build tree automaton that keeps track of “difference trees”.

CAVE Those trees can be very large! Complexity?!

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Our Contribution

Canonical normal form for TOPs: “*uniform and earliest*”

Theorem

$\text{Uniform\&Earliest}(T1)$ is **isomorphic** to $\text{Uniform\&Earliest}(T2)$
if and only if $M1$ is **equivalent** to $M2$.

If M is total, then $\text{Uniform\&Earliest}(M)$ obtained in PTIME.

Outline

- Equivalence Problems of Transducers
- Top-Down Tree Transducers
- Uniform & Earliest
- Regular Look-Ahead
- Applications
 - Inclusion of XML Queries

Equivalence Problems of String / Tree Transducers

- *nondeterministic (one-way) finite state transducers* **undecidable**
[Griffiths68]
(→ reduction from PCP, use complement and union)
 - *deterministic (one-way) finite state transducers* **decidable** [Gurari82]
(→ use Parikh property)
-
- *deterministic top-down tree transducers* **decidable** [Esik80]
 - *nonnested, seperated attributed/marco tree transducers* **decidable**
[Courcelle/Franchi-Zannetacci82]
→ seperated = can be evaluated in two phases,
(1) only inherited, over Δ_{inh} (2) only synthesized, over Δ_{syn}
 - *MSO definable tree transducers* **decidable**
(→ use Parikh property) [Engelfriet/Maneth05]

Deterministic Top-Down Tree Transducers (TOPs)

$$T = (Q, \Sigma, \Delta, \delta, A)$$

$$t[t_1, t_2, \dots, t_r] = \text{replace } k\text{-th } T \text{ in } t \text{ by } t_k$$

Q finite set of states

Σ, Δ ranked alphabets of input/output symbols

$$\delta(q, a) = p[q_1(x_{i_1}), \dots, q_r(x_{i_r})]$$

where p is a **pattern over Δ** (tree over $\Delta \cup \{ T^{(0)} \}$)

$$i_1, \dots, i_r \in \{ 1, 2, \dots, \text{rank}(a) \}$$

$$A = \text{axiom} = p[q_1(x_0), \dots, q_r(x_0)]$$

$$q0(a(x)) \rightarrow b(q(x), q0(x))$$

$$q0(e) \rightarrow e$$

$$q(a(x)) \rightarrow a(q(x))$$

$$q(e) \rightarrow e$$

$$\delta(q0, a) = b(T, T)[q(x_1), q0(x_1)]$$

$$\delta(q0, e) = e$$

...

$$A = T[q0(x_0)]$$

$[[q]]$ partial function from T_Σ to T_Δ

$\text{DOM}(q) = \text{domain of } [[q]]$

$t[t_1, t_2, \dots, t_r]$ = replace k -th T in t by t_k

e. g. : $b(a(T), b(T, T))[t_1, t_2, t_3] = b(a(t_1), b(t_2, t_3))$

pattern order

$\perp \sqsubseteq p$ for all $p \in P_\Sigma$
 $p \sqsubseteq u$ if $\exists p_1, \dots, p_k: p = u[p_1, \dots, p_k]$ $|p| \geq |u|$

\sqsubseteq “less exact” “replace subtrees by T ”

e. g. $b(a(T), b(T, T)) \sqsubseteq b(T, b(T, T)) \sqsubseteq b(T, T)$
 and $b(a(T), b(T, T)) \sqsubseteq b(a(T), T) \sqsubseteq b(T, T) \sqsubseteq T$

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and $b(a(T), b(T, T)) \sqsubseteq b(a(T), T) \sqsubseteq b(T, T) \sqsubseteq T$

least upper bound (unique!)

$\sqcup \{ p_1, p_2, \dots, p_n \}$ = nodes (paths) common to all p_i

e. g. $\sqcup \{ b(e, e), b(a(T, T), T) \} = b(T, T)$

Uniform & Earliest TOPs

TOP $T = (Q, \Sigma, \Delta, \delta, A)$ with $\Sigma = \{ a^{(2)}, e^{(0)} \}$

$q_1(a(x_1, x_2)) \rightarrow q(x_1)$

$q_2(a(x_1, x_2)) \rightarrow q(x_2)$

$q(e) \rightarrow e$

$\text{DOM}(q) = \{ e \}$

$\text{DOM}(q_1) = \{ a(e, t) \mid t \in T_\Sigma \}$

$\text{DOM}(q_2) = \{ a(t, e) \mid t \in T_\Sigma \}$

$A = g(q_1(x_0), q_2(x_0))$

$\text{DOM}(T) = \text{DOM}(q_1) \cap \text{DOM}(q_2) = \{ a(e, e) \}$

→ would like to have $\text{DOM}(q_1) = \text{DOM}(q_2)$
if q_1 and q_2 translate the same input

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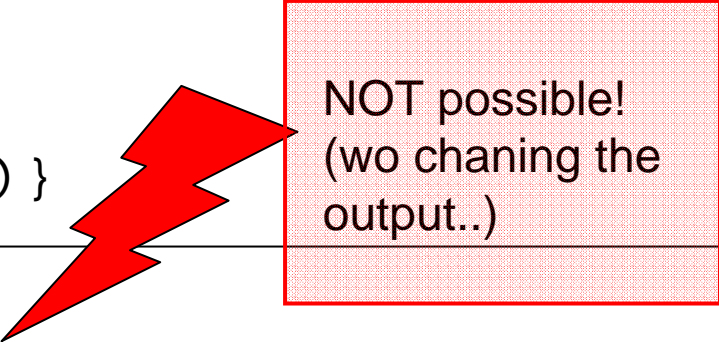
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NOT possible!
(no changing the
output..)

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Top-down deterministic tree automaton D for $\text{DOM}(T)$:

Initial state = $\{ q \in Q \mid q \text{ occurs in } A \}$

for state $S \subseteq Q$, and $a \in \Sigma$ of rank k :

if $\delta(q, a)$ undefined for a $q \in S$, then $d(S, a)$ undefined

otherwise $d(S, a) = (S_1, \dots, S_k)$ where S_i consists of all q' s.t. $q'(x_i)$ occurs in $\delta(q, a)$, $q \in S$

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$d(\{q_1, q_2\}, a) = (\{q\}, \{q\})$

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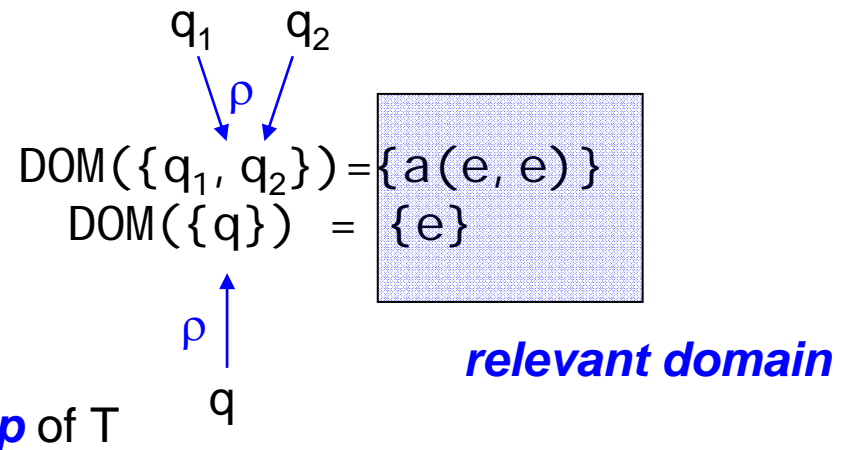
$DOM(q_2) = \{ a(t, e) \mid t \in T_\Sigma \}$

Top-down deterministic tree automaton D for $DOM(T)$:

Initial state = $\{q_1, q_2\}$

$d(\{q_1, q_2\}, a) = (\{q\}, \{q\})$

$d(\{q\}, e) = ()$



ρ *relevance map* of T

Uniform & Earliest TOPs

Def. TOP $T = (Q, \Sigma, \Delta, \delta, A)$
minimal dtta $D = (Q_T, \Sigma, d, B_T)$ for $\text{DOM}(T)$

Initial state
↙

Then T is **uniform**, if

(1) every state is reachable (= occurs in a successful computation)

(2) there is a unique mapping $\rho: Q \rightarrow Q_T$ such that


(a) $\emptyset \subsetneq \text{DOM}(\rho(q)) \subseteq \text{DOM}(q)$ for all q

(b) $\rho(q) = B_T$ for all q occurring in A

(c) if $\delta(q, a) = p[q_1(x_{i_1}), \dots, q_r(x_{i_r})]$, then D has
 $d(\rho(q), a) = (B_1, \dots, B_k)$ such that for all j , $\rho(q_j) = B_j$

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Note

Every total transducer is uniform!

Lemma For every TOP T , an equivalent uniform transducer T' can be constructed in **time $O(2^{|Q|})$** .

Proof. ..easy.. \rightarrow change q into corresponding $\langle q, B \rangle$ and let $\rho(\langle q, B \rangle) = B$

Uniform & Earliest TOPs

Uniform TOP (T, D, ρ)

$[[q]](s) :=$ outputs of T , starting in state q

(largest) Common Prefix Pattern

q 's relevant domain

$$\text{pref}(q) := \sqcup \{ [[q]](s) \mid s \in \text{DOM}(\rho(q)) \}$$

$$p_0(a(x)) \rightarrow p(x)$$

$$p_0(e) \rightarrow e$$

$$p(a(x)) \rightarrow b(a(q(x)), p(x))$$

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$$q(a(x)) \rightarrow a(q(x))$$

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“output of q **always** starts with **pref**(q), no matter what input is..”

$$\text{pref}(p_0) = T$$

$$\text{pref}(p) = b(T, T)$$

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$$\rho_0(e) \rightarrow e$$

$$\rho(a(x)) \rightarrow b(a(\rho(x)), \rho(x))$$

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“output of q **always** starts with **pref**(q), no matter what input is..”

$$\text{pref}(\rho_0) = T$$

$$\text{pref}(\rho) = b(T, T)$$

Definition

A uniform TOP is **earliest** if **pref**(q)= T for all states q .

Uniform and Earliest TOPs

Uniform TOP (T, D, ρ)

Theorem

$\text{pref}(q)$ can be computed in time $O(|T| \cdot (\log(n+1) + \eta(T)^2))$

$\eta(T)$ = maximal size of a minimal output tree produced by any state.

n = number of states of D

Proof. Fixpoint iteration.

System of in-equations

$$Y_q \sqsupseteq p[q_1(x_{i_1}), \dots, q_r(x_{i_r})] \quad \text{if } \delta(q, a) = p[q_1(x_{i_1}), \dots, q_r(x_{i_r})]$$

“ Y_q is a *prefix pattern* of $p[\dots]$ ” $(|Y_q| \leq |p[\dots]|)$

We will want to compute the *least solution*, w.r.t. \sqsubseteq .

(that is: the *largest common pref pattern* of q)

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Proof. Fixpoint iteration.

(1) *Initialization* take any small tree $s_q \in \text{DOM}(\rho(q))$
Initial $t_q := [[q]](s_q)$

A (DAG) representation of trees s_q can be computed
In time $O(|T| \cdot \log(n+1))$

Why?

→ Least solution of system of equations with MIN, ADD, MULT
Can be computed in time $O(|S| \cdot \log |S|)$ [Seidl1994]

If D has $d(B,a) = (B_1, B_2, \dots, B_n)$ then $|S_B| = 1 + \min(S_{B_1}, S_{B_2}, \dots, S_{B_n})$

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Proof. Fixpoint iteration.

(1) Initialization: take any small tree $s_q \in \text{DOM}(\rho(q))$
Initial $t_q := [[q]](s_q)$

(2) At most $\eta(T)$ iterations needed.
In each iteration, at most $|T|$ variables are updated,
and each update takes at most time $O(\eta(T))$.

Uniform and **Earliest TOPs**

Theorem

Every TOP T is equivalent to an **earliest TOP** T' .

If T is total, then T' can be constructed in time $O(|T|^3)$.

If T is uniform, then in time $O(|T| \cdot (\log(n+1) + \eta(T)^2))$

$$\begin{aligned} p_0(a(x)) &\rightarrow p(x) \\ p_0(e) &\rightarrow e \\ p(a(x)) &\rightarrow b(a(q(x)), p(x)) \\ p(e) &\rightarrow b(e, e) \\ q(a(x)) &\rightarrow a(q(x)) \\ q(e) &\rightarrow e \end{aligned}$$

Idea: replace $p(x)$ by **pref**(p)

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$$p(e) \rightarrow b(e, e)$$

$$\langle p, 1 \rangle(a(x)) \rightarrow a(q(x))$$

$$\langle p, 1 \rangle(e) \rightarrow e$$

$$\langle p, 2 \rangle(a(x)) \rightarrow b(\langle p, 1 \rangle(x), \langle p, 2 \rangle(x))$$

$$\langle p, 2 \rangle(e) \rightarrow e$$

$$q(a(x)) \rightarrow a(q(x))$$

$$q(e) \rightarrow e$$

Idea: replace $p(x)$ by $\text{pref}(p)$ & also in new rules

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Minimization of Earliest TOPs

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\sim is largest relation \sim' on states st $q \sim' q'$ implies

$$\rightarrow \rho(q) = \rho(q')$$

$$\rightarrow \forall a: \delta(q,a) \text{ and } \delta(q',a) \text{ have equal pattern } p \\ \text{and } q_i \sim' q'_i$$

Minimization of Earliest TOPs

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Clearly: $p_0 \sim \langle p, 2 \rangle$

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$$\quad$$

$$q(a(x)) \rightarrow a(q(x))$$

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Clearly: $p_0 \sim \langle p, 2 \rangle$

$$\rho(\langle p, 1 \rangle) = \rho(q) \quad \text{Because dtt is minimal!!}$$

Minimization of Earliest TOPs

$$\begin{aligned}
 p_0(a(x)) &\rightarrow b(q(x), p_0(x)) \\
 p_0(e) &\rightarrow e
 \end{aligned}$$

$ \begin{aligned} \langle p, 1 \rangle(a(x)) &\rightarrow a(q(x)) \\ \langle p, 1 \rangle(e) &\rightarrow e \end{aligned} $

$ \begin{aligned} q(a(x)) &\rightarrow a(q(x)) \\ q(e) &\rightarrow e \end{aligned} $

\sim is largest relation \sim' on states st $q \sim' q'$ implies

$$\rightarrow \rho(q) = \rho(q')$$

$$\rightarrow \forall a: \delta(q,a) \text{ and } \delta(q',a) \text{ have equal pattern } p$$

and $q_i \sim' q'_i$

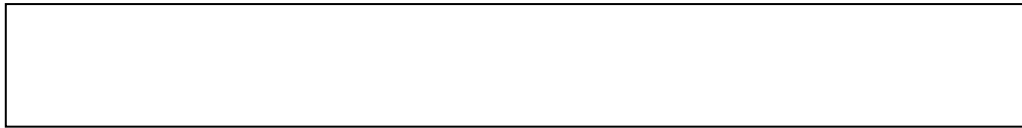
Clearly: $p_0 \sim \langle p, 2 \rangle$

$\rho(\langle p, 1 \rangle) = \rho(q)$ Because dtta is minimal!!

Thus: $q \sim \langle p, 1 \rangle$

Minimization of Earliest TOPs

$$\begin{aligned} p_0(a(x)) &\rightarrow b(q(x), p_0(x)) \\ p_0(e) &\rightarrow e \end{aligned}$$



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Minimal, Earliest transducer

Theorem

- (1) \sim can be computed in Polynomial time wrt $|T|$
- (2) Replace each state q by its equivalence class wrt \sim
(gives a “canonical transducer” M)

Canonical transducers M_1, M_2 (i.e., each equiv class of \sim is singleton):

M_1 equivalent to M_2 iff $M_1 = \text{state-renaming}(M_2)$

Equivalence of TOPs with regular look-ahead

$M = (Q, \Sigma, \Delta, \delta, A, B)$

B det. bottom-up tree automaton

With $L(p1) \cap L(p2) = \emptyset$ for all states $p1, p2$

$q(a(x1, x2)) \rightarrow t \langle p1, p2 \rangle$

Given TOPs w la $M1, M2$:

Change input symbol a into $\langle a, (p1, p2), (u1, u2) \rangle$

Then $M1, M2$ become ordinary TOPs (without lookahead)

Now, change $M1, M2$ so that they

check if input tree is a correct relabeling wrt the automata $B1, B2$.

new axiom $A1' = \#(f(x_0), A1)$

Where $f = (init(B1), init(B2))$ -- does partial identity wrt $B1 \times B2$

$M1' \text{ equiv } M2' \text{ iff } M1 \text{ equiv } M2$

Applications

→ *XML query optimization*

Assume result to query Q1 is already materialized.

Given a new query Q2, check if Q2 equivalent to Q1.
If so, return materialized result, instead of recomputing.

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Q1 “**subsumes**” Q2, if there **exists a TOP Q3** such that
for all inputs s,
 $Q2(s) = Q3(Q1(s))$

Decidable?

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→ Probably **UNDECIDABLE...** ☹️

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Possible extension (mild)

(replacing by \top)

Q1 “**subsumes**” Q2, if for all inputs s,  Q2(s) can be obtained by **deleting subtrees** from Q1(s). $Q1(s) \sqsubseteq Q2(s)$

Conjecture

Given uniform and earliest Q1, Q2, it is decidable whether or not Q1 subsumes Q2.

Given a new query Q2, check if Q1 subsumes Q2.
If so, return materialized result, with appropriate subtrees removed.

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→ What about extension to

Unranked top-down tree transducers? To **basic Macro** tree transducers?

→ Can we decide other interesting **subsumption orderings**?

e.g. **permutation of subtrees**
deletion of paths
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(not) ... **THE END**