

# Unclustered BWTs of any Length over Non-Binary Alphabets

WCTA 2025

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September 11th, 2025



# Outline

The Burrows-Wheeler Transform

Unclustered BWT: Previous results

De Bruijn words

The ternary case: existence

Extension to all alphabets and lengths

The ternary case: lower bounds

Looking back at the binary case

# BWT: definition

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$$\left( \begin{array}{c} 0100111 \\ 1010011 \\ 1101001 \\ 1110100 \\ 0111010 \\ 0011101 \\ 1001110 \end{array} \right)$$

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$$\begin{pmatrix} 001110\color{red}{1} \\ 010011\color{red}{1} \\ 011101\color{red}{0} \\ 100111\color{red}{0} \\ 101001\color{red}{1} \\ 110100\color{red}{1} \\ 111010\color{red}{0} \end{pmatrix} \quad BWT \text{ matrix}$$

$$BWT(u) = 1100110$$

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# Totally unclustered BWTs

We study the following problem:

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*Let  $k \leq n$  be a pair of integers. Is there a word  $w$  of length  $n$  over  $k$  letters such that  $\text{BWT}(w)$  has no run longer than 1?*

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Motivation: This is the worst case of BWT clustering. Great attention has been given to the best case, in which the BWT produces the fewest number of clusters. (Simpson and Puglisi, 2008; Restivo and Rosone, 2009; Mantaci et al., 2003; Ferenczi and Zamboni, 2013).

# Inverse standard permutation: definition

## Definition

The *inverse standard permutation* (or *FL mapping*) of a word  $s$  is the permutation  $\pi_s^{-1}$  defined by  $\pi_s^{-1}(i) = p$  if  $p$  is the position of the letter with lexicographical rank  $i$  in  $s$ .

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## Example

Let  $w = 121112\textcolor{red}{0}000$ . Then, we have:

$$\pi_w^{-1} = \begin{pmatrix} 0 & 1 & 2 & 3 & 4 & 5 & 6 & 7 & 8 & 9 \\ 6 & & & & & & & & & \end{pmatrix}$$

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## Example

Let  $w = 1211120\textcolor{red}{0}00$ . Then, we have:

$$\pi_w^{-1} = \begin{pmatrix} 0 & 1 & 2 & 3 & 4 & 5 & 6 & 7 & 8 & 9 \\ 6 & 7 & & & & & & & & \end{pmatrix}$$

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Let  $w = \textcolor{red}{1}211120000$ . Then, we have:

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Let  $w = 12\textcolor{red}{1}1120000$ . Then, we have:

$$\pi_w^{-1} = \begin{pmatrix} 0 & 1 & 2 & 3 & 4 & 5 & 6 & 7 & 8 & 9 \\ 6 & 7 & 8 & 9 & 0 & 2 & & & & \end{pmatrix}$$

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Let  $w = 121\textcolor{red}{1}120000$ . Then, we have:

$$\pi_w^{-1} = \begin{pmatrix} 0 & 1 & 2 & 3 & 4 & 5 & 6 & 7 & 8 & 9 \\ 6 & 7 & 8 & 9 & 0 & 2 & 3 & & & \end{pmatrix}$$

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## Example

Let  $w = 1211\textcolor{red}{1}20000$ . Then, we have:

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Let  $w = 1\textcolor{red}{2}11120000$ . Then, we have:

$$\pi_w^{-1} = \begin{pmatrix} 0 & 1 & 2 & 3 & 4 & 5 & 6 & 7 & 8 & 9 \\ 6 & 7 & 8 & 9 & 0 & 2 & 3 & 4 & 1 \end{pmatrix}$$

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Let  $w = 12111\textcolor{red}{2}0000$ . Then, we have:

$$\pi_w^{-1} = \begin{pmatrix} 0 & 1 & 2 & 3 & 4 & 5 & 6 & 7 & 8 & 9 \\ 6 & 7 & 8 & 9 & 0 & 2 & 3 & 4 & 1 & 5 \end{pmatrix}$$

# Inverse standard permutation and BWT

## Lemma (Folklore)

*A  $n$ -length word  $w$  is a BWT of some primitive word  $u$  if and only if  $\pi_u^{-1}$  is a cyclic permutation.*

# Inverse standard permutation and BWT

## Lemma (Folklore)

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$$\pi_w^{-1} = (0\ 6\ 3\ 9\ 5\ 2\ 8\ 1\ 7\ 4)$$

Hence,  $w$  is the BWT of a word ( $w = \text{BWT}(1010210201)$ ).

# Inverse standard permutation and BWT

## Example

Let  $w = 210102$ . Then, we have:

$$\pi_w^{-1} = \begin{pmatrix} 0 & 1 & 2 & 3 & 4 & 5 \\ 2 & 4 & 1 & 3 & 0 & 5 \end{pmatrix}$$

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Hence,  $w$  is *not* the BWT of any word  $u$ .

# Problem reformulation

We can reformulate our problem as follows:

## Problem

Let  $k \leq n$  be a pair of integers. Is there a word  $u$  of length  $n$  over  $k$  letters such that (i)  $\pi_u^{-1}$  is a cycle, and (ii)  $u$  has no run longer than 1?

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# The binary case: Mantaci et al., 2017

## Theorem (Mantaci et al., 2017)

*There exists a  $2n$ -length word with totally unclustered BWT if and only if  $2n + 1$  is an odd prime and 2 generates the cyclic group  $\mathbb{Z}_{2n+1}^*$ .*

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## Sketch.

A binary word starting with 0 or ending with 1 is not a BWT image.

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Our problem: what happens after the binary case?

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## Lemma

For every  $k \leq n$ , there exists a deBruijn word of order  $n$  over  $\Sigma_k$  and it has length  $k^n$ .

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## Theorem (Higgins, 2012)

A word  $u$  of length  $k^n$  is a *deBruijn word* if and only if  $w = \text{BWT}(u)$  can be written as a concatenation of permutations of the alphabet.

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## Example

$$u = 001022112$$

$$\text{BWT}(u) = 201021120$$

# DeBruijn word, definition

## Definition

A word  $w$  is a *deBruijn word* of order  $n$  over  $\Sigma_k$  if it contains (cyclically) each word of  $\Sigma_k^n$  exactly once.

## Theorem (Higgins, 2012)

A word  $u$  of length  $k^n$  is a *deBruijn word* if and only if  $w = \text{BWT}(u)$  can be written as a concatenation of permutations of the alphabet.

## Example

$$u = 001022112$$

$$\text{BWT}(u) = 201 \cdot 021 \cdot 120$$

# De Bruijn words and unclustered BWT

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# DeBruijn words and graphs, revisited

Alphabet size  $k = 2$

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010

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100  
010  
101

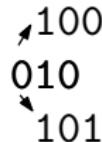
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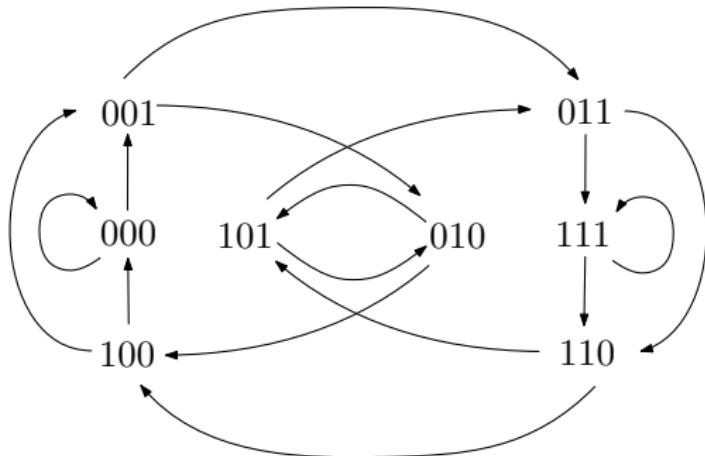
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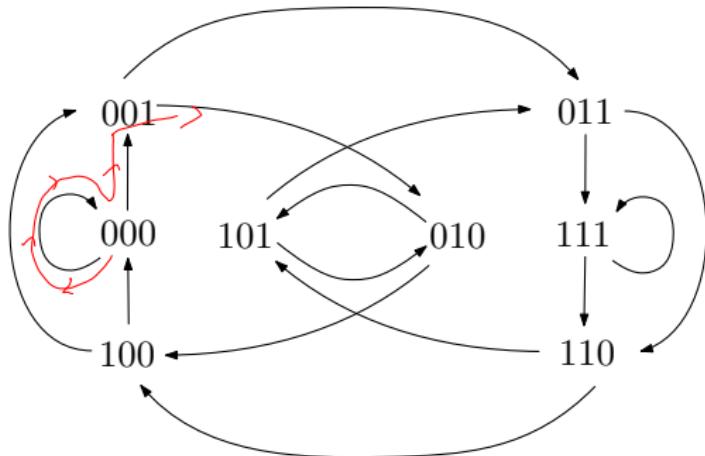
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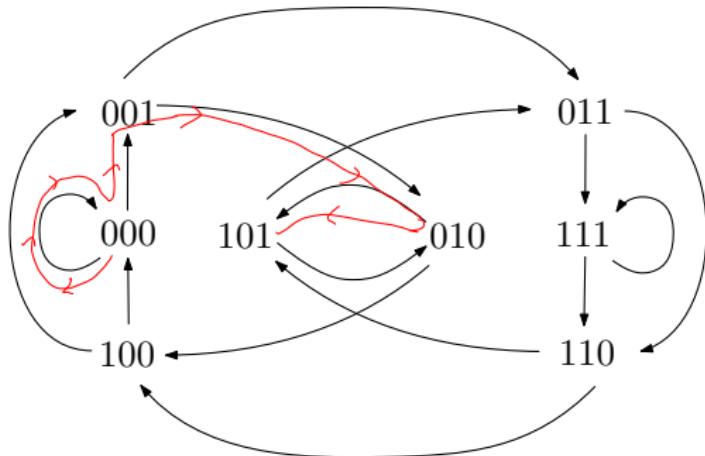
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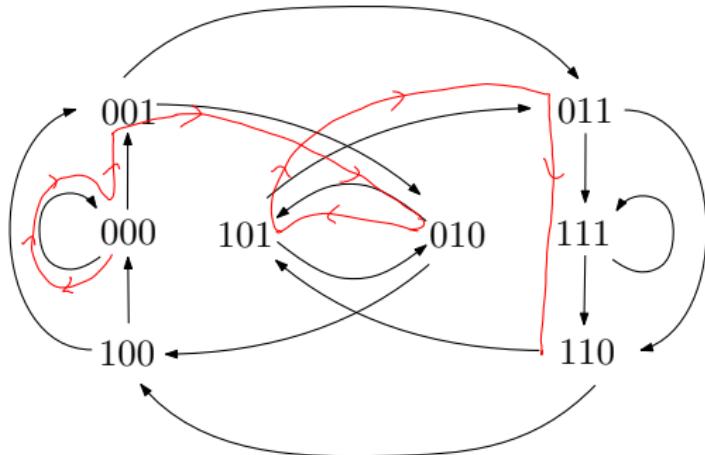
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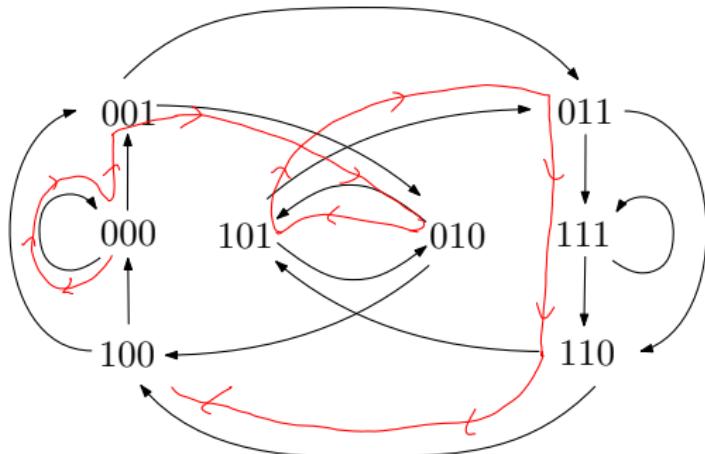
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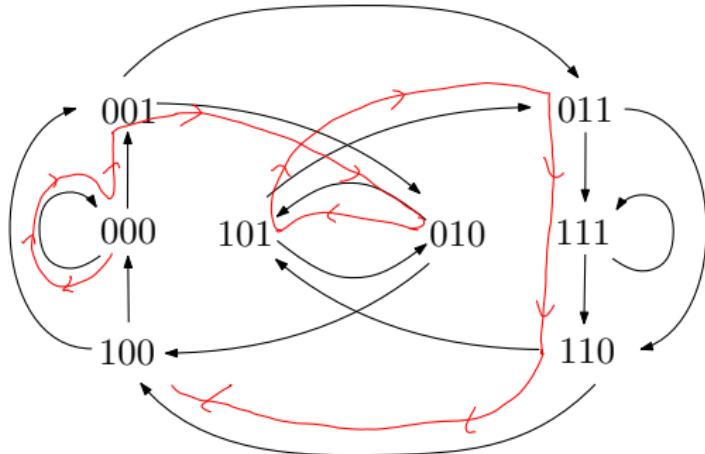
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De Bruijn Word  $w = 0001011100$

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Alphabet size  $k = 2$

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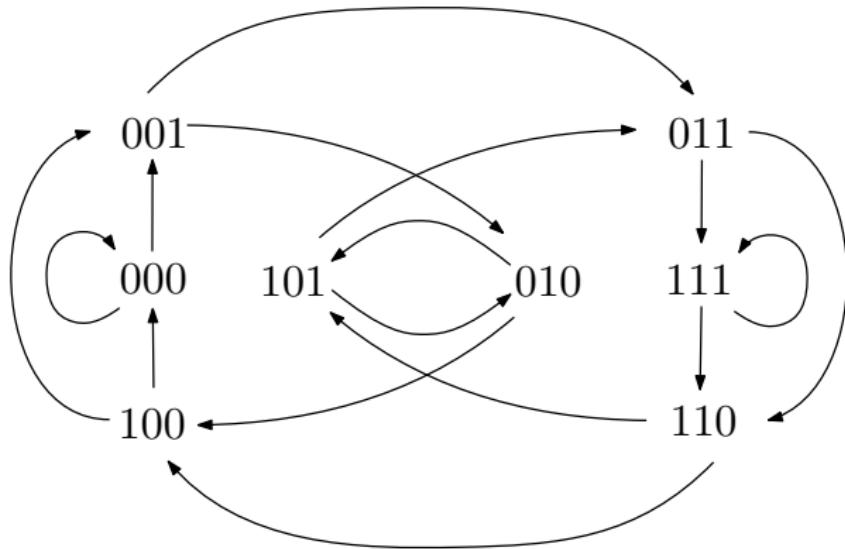
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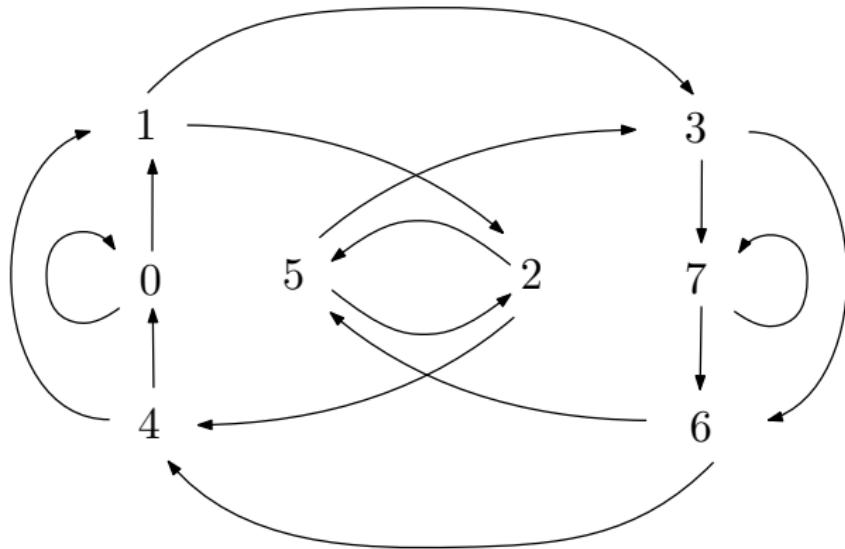
$$V = \{0, 1, 2, 3, 4, 5, 6, 7\}$$

$$E = \{(i, j), j \in \{2i, 2i + 1\} \bmod 8\}$$

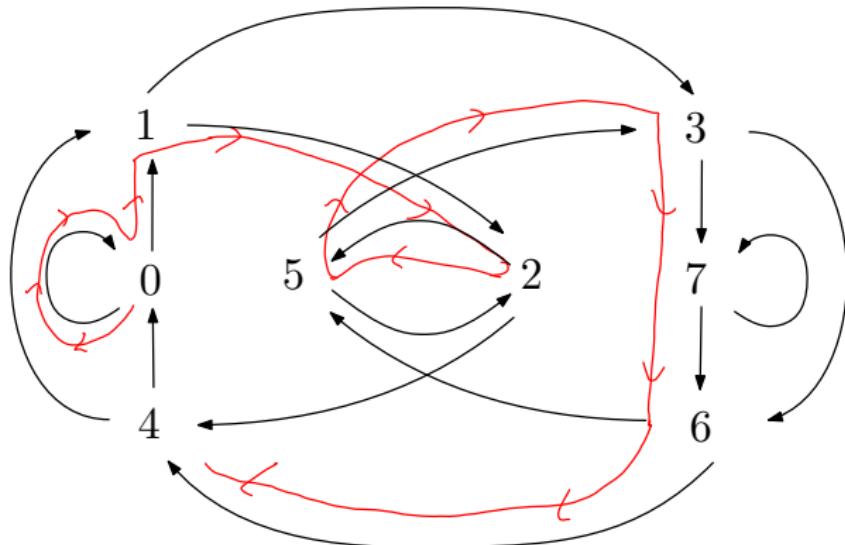
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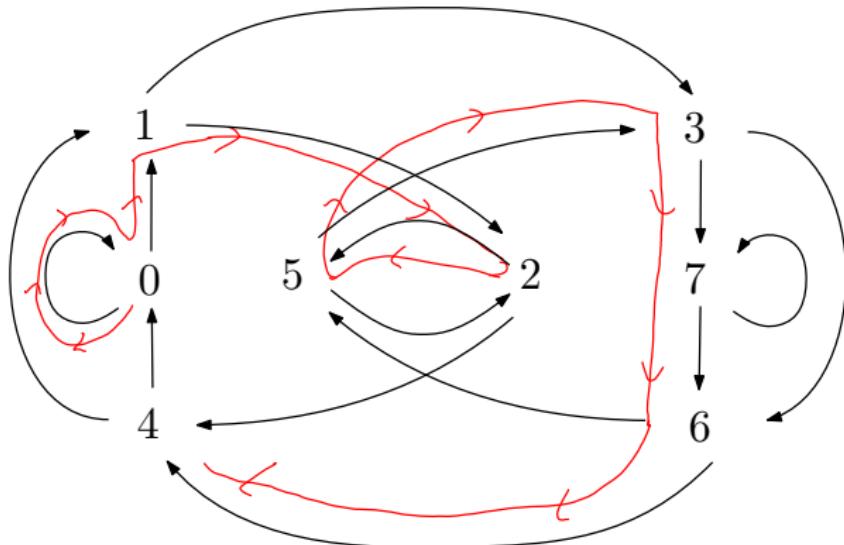
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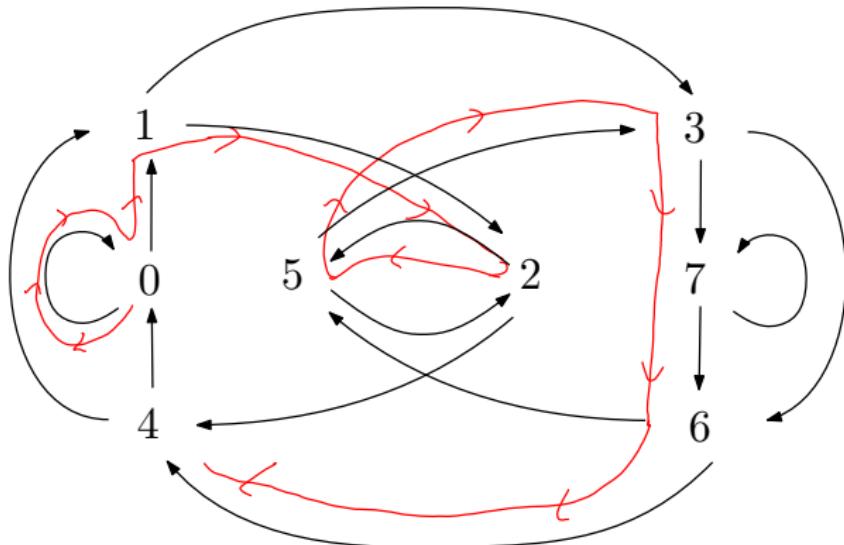
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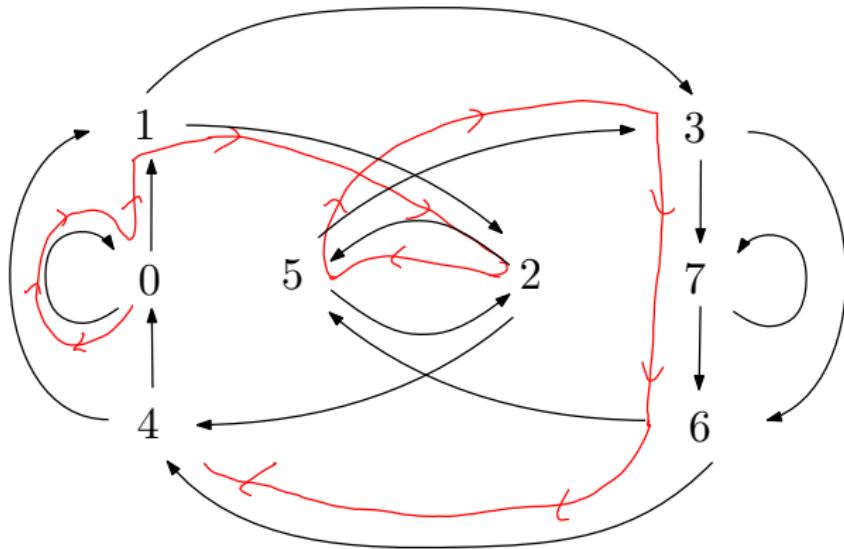
 $(0 \ 1 \ 2 \ 5 \ 3 \ 7 \ 6 \ 4)$

# DeBruijn words and graphs, revisited



$$w = 0001011100 \quad ? \quad (0 \ 1 \ 2 \ 5 \ 3 \ 7 \ 6 \ 4)$$

# DeBruijn words and graphs, revisited



$$\pi_{BWT(w)}^{-1} = (0 \ 1 \ 2 \ 5 \ 3 \ 7 \ 6 \ 4)$$

# DeBruijn words and graphs, revisited

$$\pi_{BWT(w)}^{-1} = 01253764$$

Because the letters of the de Bruijn word  $w$  are 00001111, and in the graph, the strings starting with 0 are sent to [0, 3], and the strings starting with 0 are sent to [4, 7]

# DeBruijn words and graphs, revisited

## Lemma

A word  $w$  is a de Bruijn word of order  $n$  over  $k$  letters if and only if  $\pi_{\text{BWT}(w)}^{-1}$  (written as a cycle) is an Hamiltonian cycle of the de Bruijn graph  $\text{DB}(k, kn)$ .

# Generalized de Bruijn words

Definition (Generalized de Bruijn graphs. Imase and Itoh, 1981; Reddy et al., 1980)

Let  $k, n$  be two integers. The *Generalized de Bruijn graph*  $\text{DB}(k, n)$  is defined by:

- ▶  $V(\text{DB}(k, n)) = \{0, \dots, n - 1\}$
- ▶  $E(\text{DB}(k, n)) = \{(i, ki + j \bmod n), i \in V, j \in \{0, \dots, k - 1\}\}$

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Theorem (Fici and Gabory, 2025)

Let  $w \in \Sigma_k^{kn}$ . The following assertions are equivalent:

- ▶ The permutation  $\pi_{\text{BWT}(w)}^{-1}$ , written as a cycle, is an Hamiltonian cycle of the de Bruijn graph  $\text{DB}(k, kn)$
- ▶ The word  $\text{BWT}(w)$  is a concatenation of permutations of  $\Sigma_k$

In that case, we say that  $w$  is a generalized de Bruijn word.

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# Outline

The Burrows-Wheeler Transform

Unclustered BWT: Previous results

De Bruijn words

**The ternary case: existence**

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The ternary case: lower bounds

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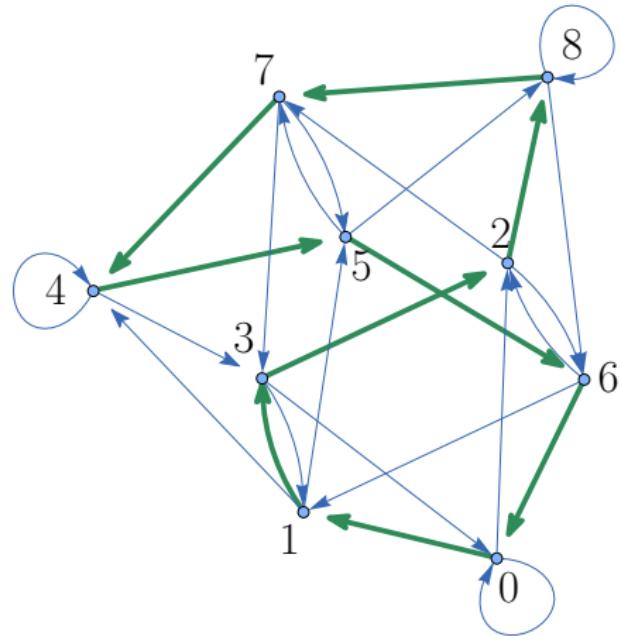
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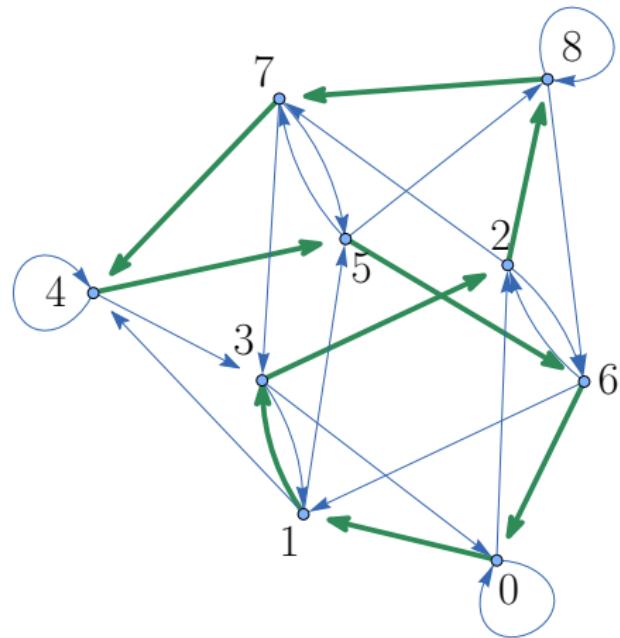


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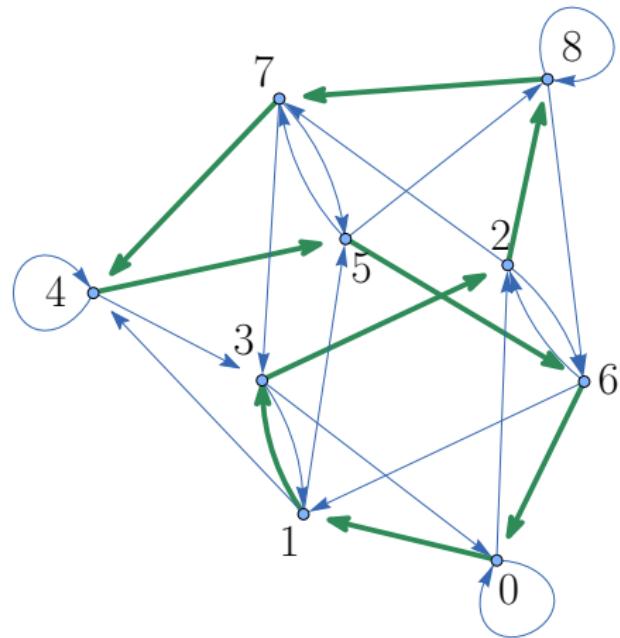
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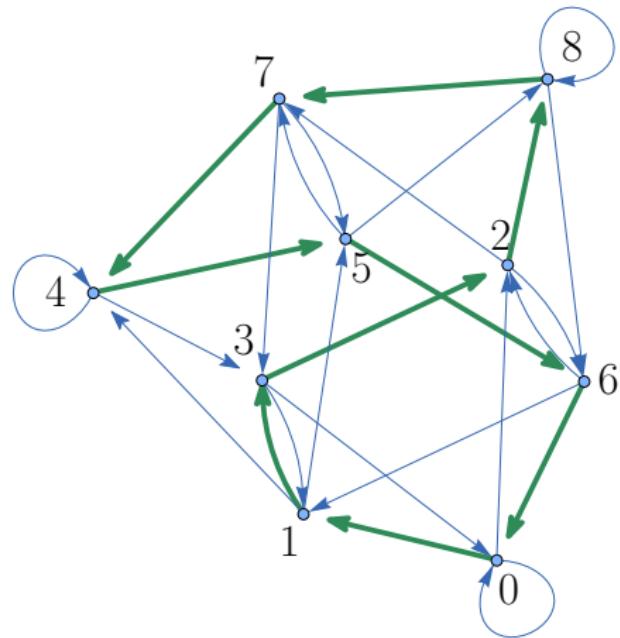
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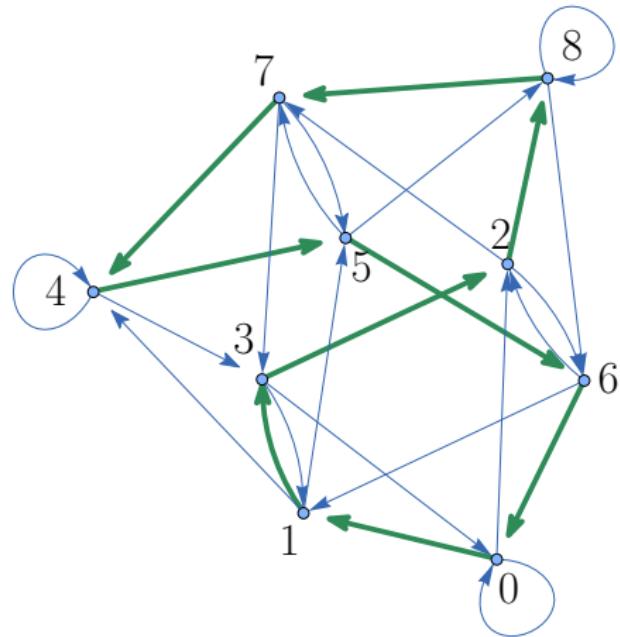
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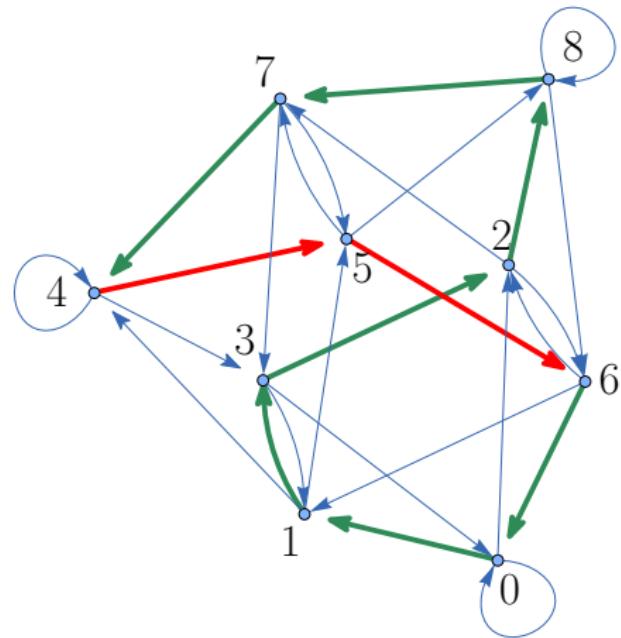
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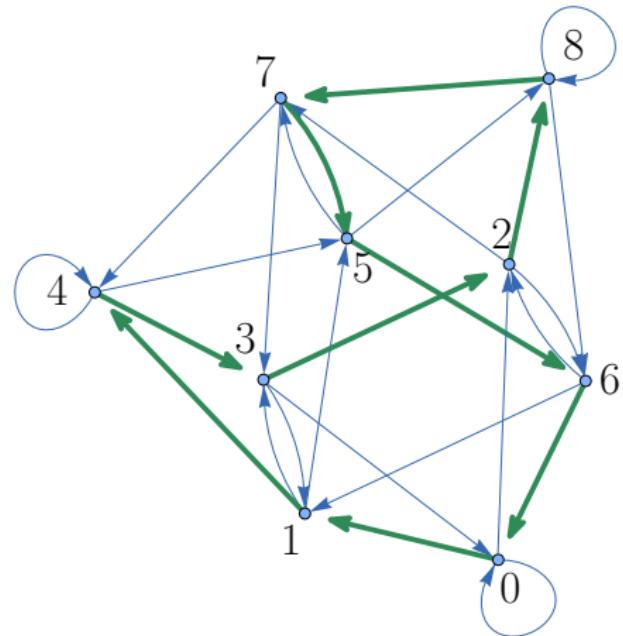
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$$u = [001102212]$$

$$w = \text{BWT}(u) = 201102120$$

$$\sigma = \pi_w^{-1} = (0, 1, 4, 3, 2, 8, 7, 5, 6)$$

$$\sigma = \begin{pmatrix} 0 & 1 & 2 & 3 & 4 & 5 & 6 & 7 & 8 \\ 1 & 4 & 8 & 2 & 3 & 6 & 0 & 5 & 7 \end{pmatrix}$$



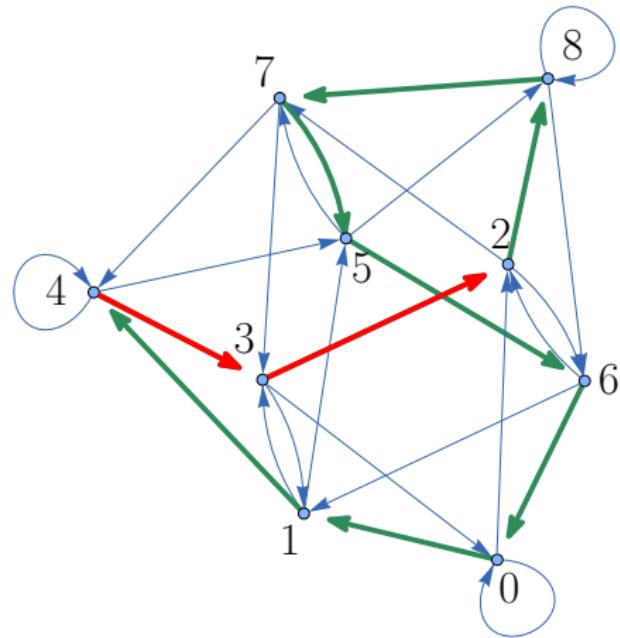
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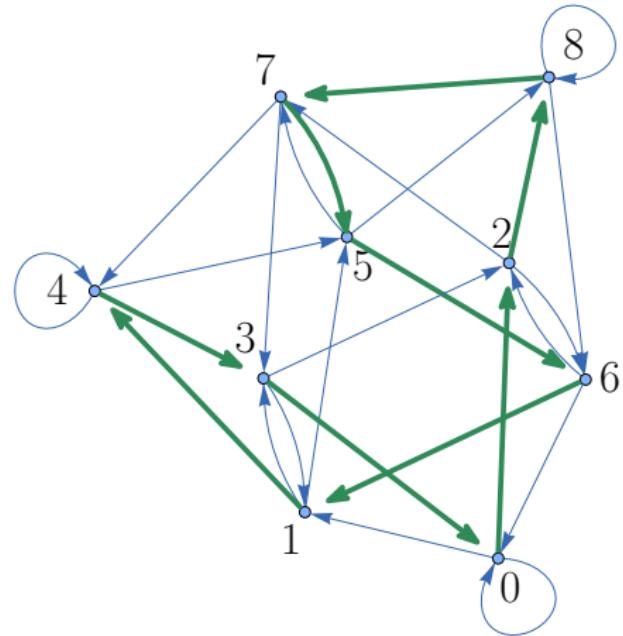
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$$u = [002212011]$$

$$w = \text{BWT}(u) = 120102120$$

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# Why does a rerouting always exists?

Sketch on the whiteboard

# De Bruijn words and unclustered BWT

DeBruijn words are promising, but 2 things remain to solve:

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For alphabets of size  $k \geq 3$ , we have generalized de Bruijn word with totally unclustered BWT of length  $kn$  for every  $n$ .

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What about other lengths?

What if we want words that use *exactly*  $k \geq 3$  letters?

# Extending to full alphabets

0	0	1	0	2	1	1	2	2
0	1	0	2	1	1	2	2	0
0	2	1	1	2	2	0	0	1
1	0	2	1	1	2	2	0	0
1	1	2	2	0	0	1	0	2
1	2	2	0	0	1	0	2	1
2	0	0	1	0	2	1	1	2
2	1	1	2	2	0	0	1	0
2	2	0	0	1	0	2	1	1

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0	0	1	0	2	1	1	2	2
0	1	0	2	1	1	2	2	0
0	2	1	1	2	2	0	0	1
1	0	2	1	1	2	2	0	0
1	1	2	2	0	0	1	0	2
1	2	2	0	0	1	0	2	1
2	0	0	1	0	2	1	1	2
2	1	1	2	2	0	0	1	0
2	2	0	0	1	0	2	1	1

0	0	1	0	4	1	2	5	3
0	1	0	4	1	2	5	3	0
0	4	1	2	5	3	0	0	1
1	0	4	1	2	5	3	0	0
1	2	5	3	0	0	1	0	4
2	5	3	0	0	1	0	4	1
3	0	0	1	0	4	1	2	5
4	1	2	5	3	0	0	1	0
5	3	0	0	1	0	4	1	2

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Let  $n \geq 1$  and consider a de Bruijn word  $u$  with totally unclustered BWT,  
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## Extension to all length

Let  $n \geq 1$  and consider a de Bruijn word  $u$  with totally unclustered BWT,  $w = \text{BWT}(u)$ . Two cases:

1. Either the last 2 is at the penultimate position. Then, removing the last 2 still yields a totally unclustered BWT image, of length  $3n - 1$ .
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Lastly, we can show that both cases occur for at least one word for every  $n$ . We finally obtained:

### Theorem

*For every integer  $n > 0$ , there exists a word  $u$  of length  $n$  over the alphabet  $\Sigma_3$  having totally unclustered BWT.*

# Outline

The Burrows-Wheeler Transform

Unclustered BWT: Previous results

De Bruijn words

The ternary case: existence

Extension to all alphabets and lengths

**The ternary case: lower bounds**

Looking back at the binary case

# generalized Euler's totient function

## Definition

Let  $p$  be a prime number. The generalized Euler's totient function counts the number of polynomials over  $\mathbb{F}_p$  of degree smaller than  $n$  and coprime with  $X^n - 1$ . It can be computed using the formula

$$\Phi_p(n) = p^n \prod_{d|(n/\lambda_p(n))} \left(1 - \frac{1}{p^{\text{ord}_p(d)}}\right)^{\frac{\phi(d)}{\text{ord}_p(d)}} \quad (1)$$

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## Theorem (Fici and Gabory, 2025.)

*The number of generalized de Bruijn words of length  $n$  over  $\Sigma_3$  is  $2^{n/3-1} \cdot \frac{\Phi_3(n/3)}{n/3}$*

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For every integer  $n > 0$ , there exist at least  $\Phi_3(\frac{n}{3})/2n = \Omega(2^{\frac{n}{3}}/n)$  word of length  $n$  over  $\Sigma_3$  having a totally unclustered BWT.

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*There exists a  $2n$ -length word with totally unclustered BWT if and only if  $2n + 1$  is an odd prime and 2 generates the cyclic group  $\mathbb{Z}_{2n+1}^*$ .*

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This is interesting, because of its relation with the following conjecture:

## Conjecture (Artin's conjecture)

*Let  $a$  be an integer that is not a square number and not  $-1$ . The set of prime number  $k$  such that  $k$  generates the cyclic group  $\mathbb{Z}_a^*$  is infinite.*

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Thank you! Questions?