# University of Bayreuth

# BACHELOR SEMINAR TREE AUTOMATA

# Introduction to Ranked Tree Automata

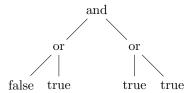
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# Introduction to Tree Languages

Regular Tree Languages are a powerful tool when it comes to parsing data given in a textual form. However, they lack in the context of parsing hierarchical data. Using Tree Languages to define your data structure can help with this shortcoming. A good example for a tree language is the one consisting of all binary boolean expressions evaluating to true, for which an instance - if formatted in the right way - could look like this:

To simplify, the elements of the language are often represented as a tree in a graphical way:



Just like for regular word languages, it is of interest to know whether a given word (in this case a tree) is part of the (tree-)language. In order to describe an automaton that recognizes tree-languages we have to define what **ranked tree alphabets**,  $\Sigma$ -trees and (regular) **tree-languages** are, first.

#### **Definition 1.** ranked tree alphabet [2][5]

A ranked tree alphabet  $\Sigma$  of arity n is a refinement of an ordinary alphabet such that each symbol  $\sigma \in \Sigma$  either has zero or exactly n arguments. Symbols with zero arguments are called **constants**.

Note: There also exists a definition for tree alphabets that dont have the restriction of arity. These are called **unranked tree alphabets**, but in this paper we will only take a look at the ranked case.

# **Definition 2.** $\Sigma$ -tree [1]

The set of  $\Sigma$ -trees  $T_{\Sigma}$  over the ranked tree alphabet  $\Sigma$  of arity n is inductively defined as follows:

1. every 
$$\sigma \in \Sigma$$
 is a  $\Sigma$ -tree  
2.  $\sigma \in \Sigma$  and  $t_1, ..., t_n \in T_{\Sigma} \iff \sigma(t_1, ..., t_n) \in T_{\Sigma}$ 

# **Definition 3.** tree-language [1]

A tree language  $L_{t\Sigma}$  over the alphabet  $\Sigma$  is defined as a subset of  $T_{\Sigma}$ :

$$L_{t\Sigma} \subseteq T_{\Sigma}$$

From that definition, we can see that  $T_{\Sigma}$  is already a tree-language. Next, we have to declare some terminology in the context of  $\Sigma - trees$ .

We can now define (Non-Deterministic) Finite Tree Automata (NFTA) for tree languages. One can get a good grasp of how they work if you consider them to be NFAs with the possibility to have multiple states in their transition rules.

## **Definition 4.** NFTA [2]

A (Non-Deterministic) Finite Tree Automaton (NFTA) over the alphabet  $\Sigma$  of arity n is a tuple  $A = (Q, \Sigma, Q_f, \Delta)$  where Q is a finite set of states,  $Q_f \subseteq Q$  is a finite set of final states, and  $\Delta$  is a finite set of transition rules of the type:

$$f(q_1,...,q_n) \to q_x$$
where  $f \in \Sigma, q_x, q_1,...,q_n \in Q$ 

For constants, we write:

$$a \to q$$
  
where  $a \in \Sigma, q \in Q$ 

Note: These rules transition into the initial states of a NFTA (that's why we call them initial rules rather informally)

These transition rules are applied from the bottom up to a given input tree. By doing so, the tree is reduced until no transition rule can be found. A tree  $t \in T_{\Sigma \cup Q}$  can be reduced to another tree  $t' \in T_{\Sigma \cup Q}$  iff they only differ in one sub-tree such that t contains  $t_{sub} = \sigma(q_1, ..., q_n), \sigma \in \Sigma$  and t' contains  $t'_{sub} = q, q \in Q$  (both being at the exact same spot respectively) and a transition rule  $\delta \in \Delta, \delta = \sigma(q_1, ..., q_n) \to q$  exists.

Note: This definition also applies for reductions on constants. The only difference being that  $\sigma$  doesn't have any arguments in that case.

We denote such a relation with:

$$t \rightarrow_A t'$$

If one or more transition rules are applied, we write:

$$t \to_A^* t'$$

If a given input tree  $t_{input}$  can be reduced to a tree  $t_{final} = q, q \in Q_f$ , then it is accepted by A. The set of all input trees accepted by A is called the **Language** of A, which is denoted by  $L_A$ .

Our binary-boolean-expression NFTA can now be written as:

```
Example 1. binary-boolean-statement NFTA A = (Q, \Sigma, Q_f, \Delta) \Sigma = \{or, and, not, true, false\} Q = \{q_f, q_t\} Q_f = \{q_t\} \Delta = \{false \rightarrow q_f, true \rightarrow q_t, \\ and(q_t, q_t) \rightarrow q_t, and(q_t, q_f) \rightarrow q_f, and(q_f, q_t) \rightarrow q_f, and(q_f, q_f) \rightarrow q_f, \\ or(q_t, q_t) \rightarrow q_t, or(q_t, q_f) \rightarrow q_t, or(q_f, q_t) \rightarrow q_t, or(q_f, q_f) \rightarrow q_f, \\ not(q_f) \rightarrow q_t, not(q_t) \rightarrow q_f\}
```

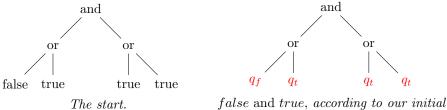
We will now show how the above automaton processes the tree from the beginning of this chapter.

## Example 2. running a NFTA

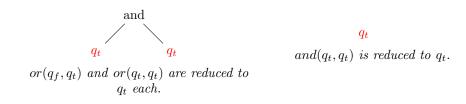
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\begin{array}{l} and(or(false,true),or(true,true)) \\ \rightarrow_A and(or(q_f,true),or(true,true)) \\ \rightarrow_A and(or(q_f,q_t),or(true,true)) \\ \rightarrow_A and(or(q_f,q_t),or(q_t,true)) \\ \rightarrow_A and(or(q_f,q_t),or(q_t,q_t)) \\ \rightarrow_A and(q_t,or(q_t,q_t)) \\ \rightarrow_A and(q_t,q_t) \\ \rightarrow_A q_t \end{array}
```

We see that the tree can successfully be reduced to the accepting state  $q_t \in Q_f$  and therefore that A accepts w and that w is in the language  $L_A$  recognized by the automaton.

This process can be represented in a graphical way as well. In order to keep things shorter, we condensed some of the steps together, but the general point is still visible.



rules, are reduced to  $q_f$  and  $q_t$ .



 $q_t$ The final result.

# Determinization

Non Deterministic Finite Tree Automata (NFTA) can be determinized just like Non Deterministic Automata (NFA) in the word case. By knowing that there exists a DFTA for every NFTA, definitions, proofs and algorithms become much easier, since we don't have to take special care of the properties of NFTAs. We will now take a look at how this is done. But first we have to define formally, what being deterministic means in the context of FTAs.

**Definition 5.** Deterministic Finite Tree Automaton

A tree automaton with no two rules of the type:

$$f(q_1, ..., q_n) \to q_x$$
  

$$f(q_1, ..., q_n) \to q_y$$
  
with  $q_x \neq q_y$ 

with  $n \geq 0, q_x, q_y, q_1, ...q_n \in Q, q_x \neq q_y, f \in \Sigma$  is called a **Deterministic Finite** Tree Automaton (DFTA).

Similar to the algorithm for Determinization in the word case, there exists a power set construction algorithm for determizing Tree Automata.

```
 \begin{array}{l} \textbf{Data: NFTA } A = (Q, \Sigma, Q_f, \Delta) \\ Q_d := \emptyset \\ \Delta_d := \emptyset \\ \textbf{repeat} \\ & | choose \ f \in \Sigma, \ s_1, ..., s_n \in Q_d \\ \\ & | f \ f \ is \ not \ constant \ \textbf{then} \\ & | \ s := \{q \in Q \mid \exists q_1 \in s_1, ..., \exists q_n \in s_n, f(q_1, ...q_n) \rightarrow q \in \Delta\} \\ & \textbf{else} \\ & | \ s := \{q \in Q \mid f \rightarrow q \in \Delta\} \\ & \textbf{end} \\ \\ & Q_d := Q_d \cup \{s\} \\ & \Delta_d := \Delta_d \cup f(s_1, ..., s_n) \rightarrow s \\ & \textbf{until } \ no \ rule \ can \ be \ added \ to \ \Delta_d; \\ & Q_{f_d} := \{s \in Q_d \mid \{s\} \cap Q_f \neq \emptyset\} \\ & \textbf{Result: } \ DFTA \ A_d = (Q_d, \Sigma, Q_{f_d}, \Delta_d) \\ \end{array}
```

It is easy to see that the algorithm produces a deterministic automaton  $A_d$  as we are automatically constructing meta-states for all reachable states and therefore eliminating all possible non-deterministic behaviour. However, we still have to prove  $L(A) = L(A_d)$ . For this, we have to show that the meta-states  $s \in Q_d$  are "built correctly", or in formal terms:

For any tree 
$$t \in T_{\Sigma \cup Q} : t \to_{A_d}^* s \iff s = \{q \in Q \mid t \to_A^* q\}$$

*Proof.*  $L(A) = L(A_d)$  (Correctness of DET) [2] This proof is done via an induction over the structure of the symbols in  $\Sigma$ .

- **Base case:** For any tree  $t = a \in \Sigma$  we only have the rule  $a \to s \in \Delta_d$ . Because of the way we defined s as the meta-state representing the set of all reachable states in a given situation this is inherently correct.
- induction step:  $t = f(t_1, ..., t_n)$ 
  - $\bullet \ 1.: t \to_{A_d}^* s \Rightarrow s = \{q \in Q \mid t \to_A^* q\}$

Supposing  $t \to_{A_d}^* f(s_1, ..., s_n) \to_{A_d} s$ , by induction hypothesis, for each  $i \in 1, ..., n$ , we can see  $s_i = \{q \in Q \mid q_i \to_A^* q\}$ .

Because states  $s_i \in Q_d$  and rules  $f(s_1,...,s_n) \to s \in \Delta_d$  are added by the determinization algorithm and  $s := \{q \in Q \mid q_1 \in s_1,...,q_n \in s_n, f(q_1,...q_n) \to q \in \Delta\}$ , we learn  $s = \{q \in Q \mid t \to_A^* q\}$ .

• 2.:  $s = \{q \in Q \mid t \to_A^* q\} \Rightarrow t \to_{A_d}^* s$ 

Considering  $s = \{q \in Q \mid f(t_1,...,t_n) \to_A^* q\}$  with state sets  $s_i$  defined as  $s_i := \{q \in Q \mid t_i \to_A^* q\}$ , by induction hypothesis for each  $i \in \{1,...,n\}$  we know  $t_i \to_{A_d}^* s_i$ . Thus  $s = \{q \in Q \mid q_1 \in s_1,...,q_n \in s_n, f(q_1,...,q_n) \to q \in \Delta\}$ .

By the definition of  $\Delta_d$  in the determinization algorithm,  $f(s_1,...,s_n) \in \Delta_d$  and thus  $t \to_{A_d}^* s$ .

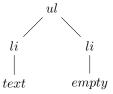
Following is an example of how a NFTA can be determinized with this algorithm.

```
Example 3. Running the DET algorithm consider a non deterministic FTA given like this: A = (Q, \Sigma, Q_f, \Delta)
\Sigma = \{ul, li, text, empty\}
Q = \{q_{ul}, q_{li1}, q_{li2}, q_{text}, q_{empty}\}
Q_f = \{q_{ul}\}
\Delta = \{ul(q_{li1}, q_{li2}) \rightarrow q_{ul}, ul(q_{li2}, q_{li1}) \rightarrow q_{ul}, 
\mathbf{li}(\mathbf{q_{text}}) \rightarrow \mathbf{q_{li1}}, \mathbf{li}(\mathbf{q_{text}}) \rightarrow \mathbf{q_{li2}}, 
text \rightarrow q_{text}, empty \rightarrow q_{text}\}
```

This recognizes all trees that represent unordered lists (ul) in HTML notation, which contain 2 list items (li):

$$\begin{array}{c} <\!\!\mathrm{ul}\!\!> \\ <\!\!\!\mathrm{li}\!\!>\!\!\mathrm{text}\!<\!\!/\!\!\mathrm{li}\!\!> \\ <\!\!\!\mathrm{li}\!\!>\!\!\mathrm{empty}\!<\!\!/\!\!\mathrm{li}\!\!> \\ <\!\!/\!\!\mathrm{ul}\!\!> \end{array}$$

Or as a tree input:



If we start determinizing with the rules containing no state and then go "up in the hierarchy" and generate all the states on-the-fly, we get these new rules:

```
text \to \{q_{text}\} \\ empty \to \{q_{text}\} \\ li(\{q_{text}\}) \to \{q_{li1}, q_{li2}\} \\ li(\{q_{text}\}) \to \{q_{li1}, q_{li2}\} \\ ul(\{q_{li1}, q_{li2}\}, \{q_{li1}, q_{li2}\}) \to \{q_{ul}\})
```

And the set of final states is  $Q_{f_d} = \{\{q_{ul}\}\}.$ 

As we can see, no un-deterministic behaviour can be found in this automaton anymore.

# Minimization

Now that we can obtain a DFTA for each NFTA, we can take a look at how we can minimize these newly determinized automata.

Just like in the word case there exists a Myhill-Nerode theorem for Finite Tree Automata. But before we can use it, we have to define **Contexts**, **Congruence** and  $\equiv_L$ .

For the definition of a **Context** it is convenient to define a **Slot** first.

## Definition 7. Slot (is this definition sufficient?)

A **Slot**  $s \in S, S \cap \Sigma = \emptyset$  is a special token, that, if found in a tree  $t_1 \in T_{\Sigma \cup S}$ , can be replaced by any tree  $t_1 \in T_{\Sigma \cup S}$  ( $t_2$  can contains **slots** as well).

As an abstract representation, a tree with a slot is often drawn as a triangle with a marker for every slot:



Fig. 1: Tree with the slot x [3]

Defining a Context is straightforward now.

# **Definition 8.** Context [2][3]

A tree with a slot is called a **Context**. Furthermore, if C is a context with the slots  $s \in S$ , then  $C[t], t \in T_{\Omega}$  is known as a **context application**, with the slot s being replaced by the (sub-)tree  $t \in T_{\Omega}, T_{\Omega} \supseteq T_{\Sigma \cup S}$ .

Note:  $T_{\Omega}$  can contain new slots.



Fig. 2: Context application [3]

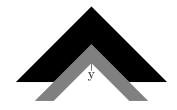


Fig. 3: Context application with a new context [3]

# **Definition 9.** Congruence [2]

An equivalence relation  $\equiv$  on  $T_{\Sigma}$  is a **congruence** on  $T_{\Sigma}$  if for every  $f \in \Sigma$  with n arguments applies:

$$u_i \equiv w_i, u_i, w_i \in T_{\Sigma}, 1 \leq i \leq n \Rightarrow f(u_1, ..., u_n) \equiv f(w_1, ..., w_n)$$
  
number of  $\equiv$  -classes is finite  $\Rightarrow \equiv$  is of finite index.

Additionally a congruence is an equivalence relation closed under context. This means that for any  $C \in T_{\Sigma \cup V}$ , if  $u \equiv w \Rightarrow C[u] \equiv C[w]$ .

#### **Definition 10.** $\equiv_L$ /2/

For any given tree language  $L \in T_{\Sigma}$ , we define the congruence  $\equiv_L$  on  $T_{\Sigma}$  by:  $u \equiv_L w, u, w \in T_{\Sigma}$ , if for all Contexts  $C \in T_{\Sigma \cup V}$  applies:

$$C[u] \in L \iff C[v] \in L$$

For the sake of easier proofs, we consider all following DFTAs to be  ${\bf complete}$  and  ${\bf reduced}$ .

#### **Definition 11.** Completeness and reduction [5]

A FTA A is **complete** if there is at least one transition rule available for every possible symbol-states combination. A state q is **accessible** if there exists a tree t such that  $t \to_A^* q$ . A NFTA is **reduced** if all its states are accessible.

Note: All examples for Finite Tree Automata given in this paper are supposed to be complete and reduced. However, we do not add a capturing state for all impossible symbol-state combinations for the sake of simplicity. Let  $q_c \in Q$  be the capturing state, then every transition rule that contained it state on the left side looks like  $f(...,q_c,...) \to q_c$ . This means, that once the capturing state is reached, there is no way of getting to a different state anymore.

We can now give the Myhill-Nerode theorem.

**Theorem 1.** Myhill-Nerode [2] These statements are equivalent:

- (i) L is a regular tree language
- (ii) L is the union of some congruence classes of finite index
- (iii) the relation  $\equiv_L$  is a congruence of finite index

Proof.

- (i)  $\Rightarrow$  (ii): Assume that the tree language L is recognized by some complete DFTA  $A = (Q, \Sigma, Q_f, \delta)$  with  $\delta$  being a transition function (i). Let us consider the relation  $\equiv_A$  defined on  $T_{\Sigma}$  by:  $u \equiv v, u, v \in T_{\Sigma}$ , if  $\delta(u) = \delta(v)$ . Since we know that Q only has a finite amount of states in it and the number of equivalence classes may at most be equal to the size of Q, we can deduce that  $\equiv_A$  is a congruence of finite index (ii).
- (ii)  $\Rightarrow$  (iii): By denoting the congruence of finite index as  $\cong$  and assuming that  $u \cong v, u, v \in T_{\Sigma}$ , it can be proven that  $C[u] \cong C[v]$  for all contexts  $C \in T_{\Sigma \cup V}$  by an easy induction on the structure of terms. Since L is the union of some equivalence classes of the congruence of finite index  $\cong$  (ii), we have  $C[u] \in L \iff C[v] \in L$ . Therefore we know that  $u \equiv_L v$  and that  $\equiv_L$  contains the equivalence class of u in  $\cong$ . Furthermore we now know that  $index(\equiv_L) \leq index(\cong) \Rightarrow index(\equiv_L)$  is finite (iii).
- (iii)  $\Rightarrow$  (i): By representing the set of equivalence classes of  $\equiv_L$  (iii) as the finite set of states  $Q_{min}$  with  $|Q_{min}| = |\equiv_L|$ , we know that every equivalence class has its own state. By denoting the equivalence class of a term  $u \in T_{\Sigma}$  as [u] we define the transition function  $\delta_{min}$  for every  $f \in \Sigma$  with n arguments as:

$$\delta_{min}(f, [u_1], ..., [u_n]) = [f(u_1, ..., u_n)]$$

The definition of  $\delta$  is consistent because  $\equiv_L$  is a congruence. With  $Q_{min_f} := \{[u]|u \in L\}$  the resulting DFTA  $A_{min} := (Q_{min}, \Sigma, Q_{min_f}, \delta_{min})$  recognizes the tree language L (i).

As a consequence of this theorem we can deduce the following:

# Corollary 1. [2]

The minimum DFTA recognizing a tree language L is unique up to renaming the states and is given by  $A_{min}$  in the proof of the Myhill-Nerode Theorem.

This means that we can minimize a tree automaton by computing the congruence classes of the language it recognizes. But before we can put this to use, we have to prove the corollary first.

#### Proof. [2]

Assume that L is recognized by some DFTA  $A = (Q, \Sigma, Q_f, \delta)$ . Then the relation  $\equiv_A$  is a refinement of  $\equiv_L$  with  $index(\equiv_A) \geq index(\equiv_L)$ , thus  $|Q| \geq |Q_{min}|$ . We know that A is reduced (all states are accesible), because otherwise a state could be removed contradicting to the definition of  $\equiv_A$ . Let  $q \in Q$  and  $u \in T_{\Sigma}$ , such that  $\delta(u) = q$ . Then the state q can be consistently identified with the state  $\delta_{min}(u)$ , since  $\delta$  is a refinement of  $\delta_{min}$  and we can see that every state  $q \in Q$  has a corresponding state  $q_{min} \in Q_{min}$ .

By using this Corollary and the construction given in the Myhill-Nerode theorem we can deduce an algorithm to minimize Deterministic Finite Tree Automata:

```
Definition 12. Algorithm MIN for Tree Automata [4]
    Data: complete and reduced DFTA A = (Q, \Sigma, Q_f, \Delta)
    Set P = \{(q_f, q) \mid q_f \in Q_f, q \in Q \setminus Q_f\}
    Set P' = P
    while P' \neq P do
        P = P'
        \forall p_1, p_2 \in Q, p_1 \neq p_2
        define p_1P'p_2 \iff
             /* could distinguish in the last cycle */
             1.p_1Pp_2 or
             /* can distinguish p_1 from p_2, with: */
             2.\exists f \in \Sigma \text{ with } n \text{ arguments}, \exists q_1, ..., q_{i-1}, q_{i+1}, ..., q_n \in Q,
               r_1Pr_2, r_1, r_2 \in Q, where:
                 f(q_1,...,q_{i-1},p_1,q_{i+1},...,q_n) \to r_1 and
                 f(q_1, ..., q_{i-1}, p_2, q_{i+1}, ..., q_n) \to r_2
                 (Note: this works for multiple occurrences of p_1 and p_2 as well,
                  see the example on the next page)
    Q_{min} = set of equivalence classes of P
    \Delta_{min} = \{ f([q_1], ..., [q_n]) \rightarrow [q] \mid f(q_1, ..., q_n) \rightarrow q \in \Delta \}
    Q_{f_{min}} = \{ [q] \mid q \in Q_f \}
    Result: complete, reduced and minimal DFTA
               A_{min} = (Q_{min}, \Sigma, Q_{f_{min}}, \Delta_{min})
```

While we are not giving a complete proof for this algorithm, we can at least go over why it is correct for a given language L = L(A) and the automaton  $A = (Q, \Sigma, Q_f, \Delta)$  [2]:

- In the while loop we are marking all tuples  $p_1, p_2$  as distinguishable when they are added to the relation
- To get the equivalence classes for  $Q_{min}$ , we are merging all pairs of indistinguishable states to a new one representing both. After having done this incrementally for all not marked combinations, these "artificial" states have to be distinguishable to all other states and  $Q_{min}$  must therefore be minimal. This can easily be proven correct by contradiction.
- It isn't hard to see that the construction of  $Q_{f_{min}}$  and  $\Delta_{min}$  is correct.

#### Example 4. Running the MIN algorithm

After cleaning up the Automaton of our previous unordered list example by renaming the "set-states" to normal states, one might already see that it isn't minimal yet:

```
\begin{split} A &= (Q, \Sigma, Q_f, \Delta) \ \Sigma = \{ul, li, text, empty\} \\ Q &= \{q_{ul}, \mathbf{q_{text}}, \mathbf{q_{text_2}}, q_{li}\} \\ Q_f &= \{q_{ul}\} \\ \Delta &= \{text \rightarrow q_{text}, \\ empty \rightarrow q_{text_2}, \\ \mathbf{li}(\mathbf{q_{text}}) \rightarrow \mathbf{q_{li}}, \\ \mathbf{li}(\mathbf{q_{text_2}}) \rightarrow \mathbf{q_{li}}, \\ ul(q_{li}, q_{li}) \rightarrow q_{ul}\} \end{split}
```

While we should be able to fix this by hand, we are now using the MIN algorithm to minimize this automaton. In the following table, we are marking all tuples  $p_1, p_2$  that are distinguishable in that cycle by the index of that cycle, so we can see the process in action.

	$q_{text}$	$q_{text2}$	$q_{li}$	$q_{ul}$
$q_{text}$	-	-	-	-
$q_{text2}$	(merge)	-	-	-
$q_{li}$	1	1	-	-
$q_{ul}$	0	0	0	-

As predicted  $q_{text}$  and  $q_{text2}$  have to be merged in order to minimize A. The resulting automaton is:

$$\begin{split} A &= (Q, \Sigma, Q_f, \Delta) \ \Sigma = \{ul, li, text, empty\} \\ Q &= \{q_{ul}, \mathbf{q_{text_{1\&2}}}, q_{li}\} \\ Q_f &= \{q_{ul}\} \\ \Delta &= \{text \rightarrow \mathbf{q_{text_{1\&2}}}, \\ empty &\rightarrow \mathbf{q_{text_{1\&2}}}, \\ \mathbf{li}(\mathbf{q_{text_{1\&2}}}) &\rightarrow \mathbf{q_{li}}, \\ ul(q_{li}, q_{li}) &\rightarrow q_{ul}\} \end{split}$$

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