

Antichains and the Structure of Permutation Classes

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1 Introduction

- Permutation classes
- Enumeration
- Partial well-order and antichains

2 Simple permutations

- Intervals
- Substitution decomposition
- Finitely many simples

3 Grid classes

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- Monotone classes and partial well-order
- Far beyond monotone
- Nearly monotone

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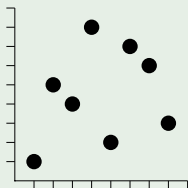
Setting the Scene

- **Permutation** of length n : an ordering on the symbols $1, \dots, n$.
- For example: $\pi = 15482763$.

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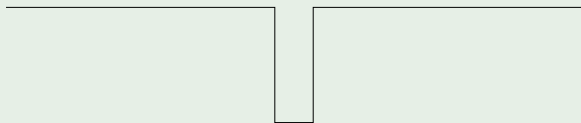
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- For example: $\pi = 15482763$.
- **Graphical viewpoint**: plot the points $(i, \pi(i))$.

Example



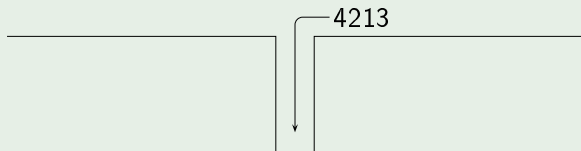
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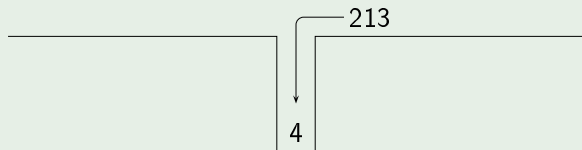
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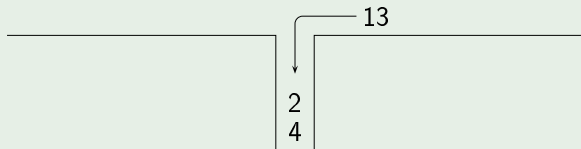
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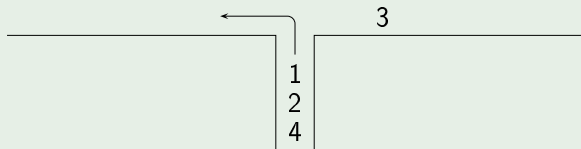
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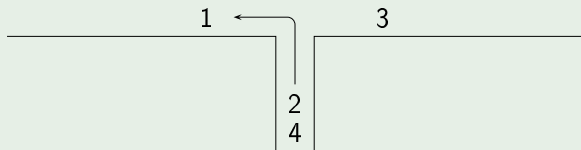
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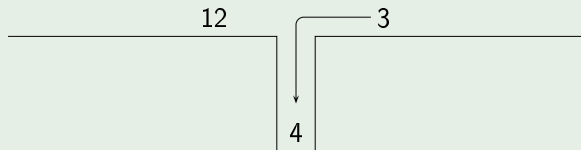
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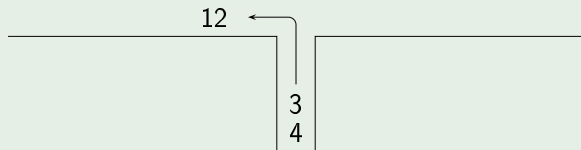
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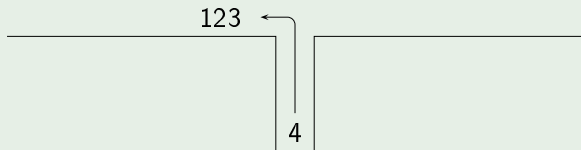
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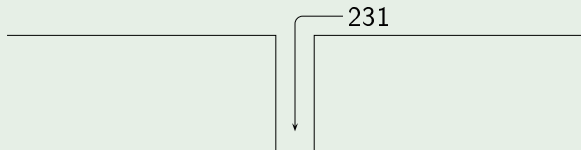
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1234

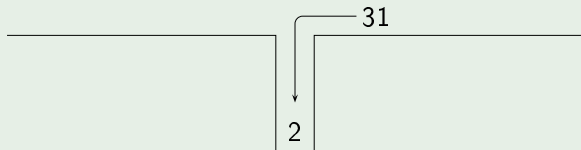
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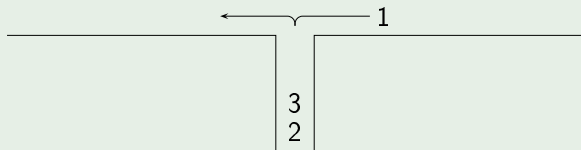
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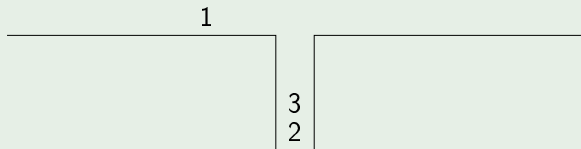
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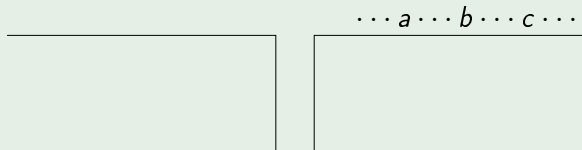
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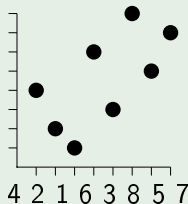
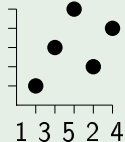
- 231 is not stack-sortable.
- In general: can't sort any permutation with a subsequence abc such that $c < a < b$. (abc forms a 231 "pattern".)

- A permutation $\tau = \tau(1) \cdots \tau(k)$ is **contained** in the permutation $\sigma = \sigma(1)\sigma(2) \cdots \sigma(n)$ if there exists a subsequence $\sigma(i_1)\sigma(i_2) \cdots \sigma(i_k)$ **order isomorphic** to τ .

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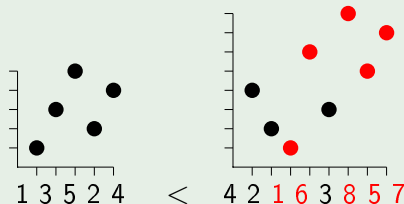
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Example



- Containment forms a **partial order** on the set of all permutations. (Reflexive, antisymmetric, transitive.)
- Downwards-closed sets in this partial order form **permutation classes**.
i.e. $\pi \in \mathcal{C}$ and $\sigma \leq \pi$ implies $\sigma \in \mathcal{C}$.

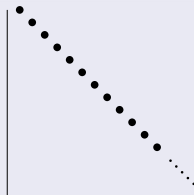
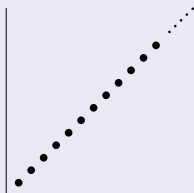
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- A permutation class \mathcal{C} can be seen to **avoid** certain permutations. Write $\mathcal{C} = \text{Av}(B) = \{\pi : \beta \not\leq \pi \text{ for all } \beta \in B\}$.
- The minimal avoidance set is the **basis**. It is **unique** but **need not be finite**.
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- E.g. the stack-sortable permutations are $\text{Av}(231)$.
- Graph theoretic analogue: **hereditary properties of graphs** (e.g. triangle-free graphs, planar graphs, ...).

Easy Examples

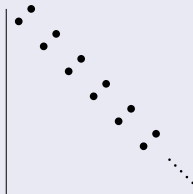
- $Av(21) = \{1, 12, 123, 1234, \dots\}$, the **increasing** permutations.
- $Av(12) = \{1, 21, 321, 4321, \dots\}$, the **decreasing** permutations.

Typical Elements



- $\oplus 21 = \text{Av}(321, 312, 231) = \{1, 12, 21, 123, 132, 213, \dots\}$.
- $\ominus 12 = \text{Av}(123, 213, 132) = \{1, 12, 21, 231, 312, 321, \dots\}$.

Typical Elements



- \mathcal{C}_n – permutations in \mathcal{C} of length n .
- $\sum |\mathcal{C}_n| x^n$ is the **generating function**.

Example

The generating function of $\mathcal{C} = \text{Av}(12)$ is:

$$1 + x + x^2 + x^3 + \cdots = \frac{1}{1 - x}$$

Theorem (Marcus and Tardos, 2004)

For every permutation class \mathcal{C} other than the class of all permutations, there exists a constant K such that

$$\limsup_{n \rightarrow \infty} \sqrt[n]{|\mathcal{C}_n|} \leq K.$$

- **Upper growth rate** of \mathcal{C} is $\limsup_{n \rightarrow \infty} \sqrt[n]{|\mathcal{C}_n|}$.

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- **Upper growth rate** of \mathcal{C} is $\limsup_{n \rightarrow \infty} \sqrt[n]{|\mathcal{C}_n|}$.
- Big open question: does the **growth rate**, $\lim_{n \rightarrow \infty} \sqrt[n]{|\mathcal{C}_n|}$, always exist?

- Stack sortable permutations Av(231) enumerated by the **Catalan numbers**. Generating function:

$$f(x) = \frac{1 - \sqrt{1 - 4x}}{2x} = 1 + x + 2x^2 + 5x^3 + 14x^4 + \dots$$

Av(321) vs Av(231)

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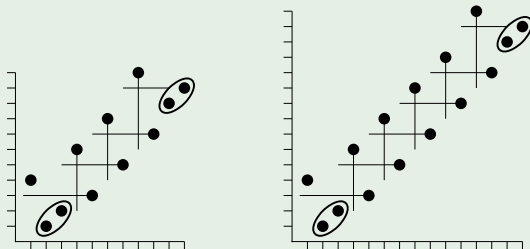
- Using the Robinson-Schensted-Knuth correspondence with Young Tableaux, $|\text{Av}(321)|_n = |\text{Av}(231)|_n$.
- Despite being equinumerous, these two classes are very different: **Av(321)** contains infinite antichains and hence has **uncountably many subclasses**, while Av(231) does not.

- (Infinite) set of **pairwise incomparable** permutations.

Infinite Antichains

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Example (Increasing Oscillating Antichain)

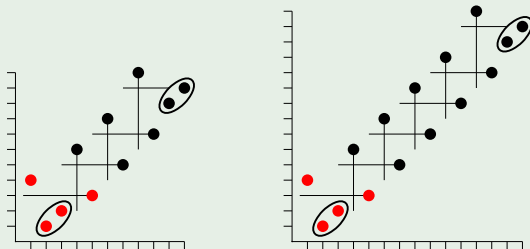


- N.B. These permutations **avoid** 321.

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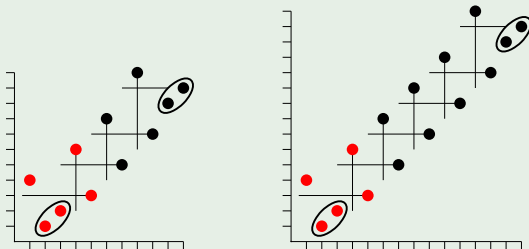


- **Bottom** copies of 4123 must match up: the **anchor**.

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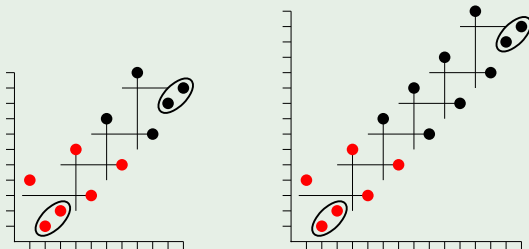


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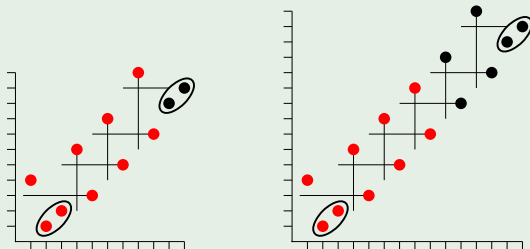


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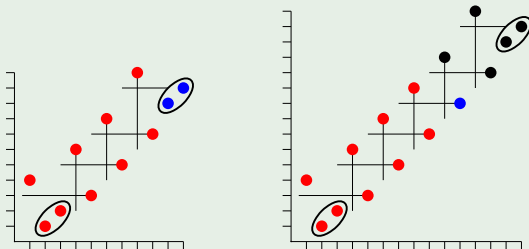


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- Last pair cannot be embedded.

When are there antichains?

No infinite antichains.

- **Words** over a finite alphabet [Higman].
- Graphs closed under **minors** [Robertson and Seymour].

Infinite antichains.

- Graphs closed under **induced subgraphs** (or merely subgraphs). e.g. C_3, C_4, C_5, \dots
- Permutations closed under **containment**.
- Tournaments, digraphs, \dots

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Question

Can we decide whether a permutation class given by a finite basis is pwo?

- To prove pwo — **Higman's theorem** is useful.
- To prove not pwo — find an antichain.

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Question

*Can we decide whether a **hereditary property** given by a finite basis is wqo?*

- To prove pwo — **Higman's theorem** is useful.
- To prove not pwo — find an antichain.
- Other structures: **well quasi-order**, not pwo, but same idea.

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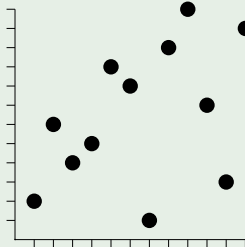
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- Pick any permutation π .
- An interval of π is a set of contiguous indices $I = [a, b]$ such that $\pi(I) = \{\pi(i) : i \in I\}$ is also contiguous.

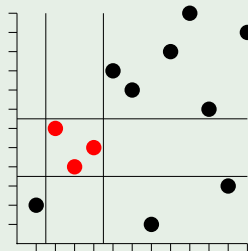
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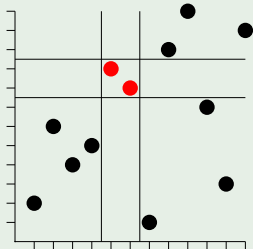
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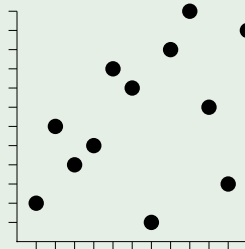
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- **Intervals** are important in biomathematics (genetic algorithms, matching gene sequences).

Example



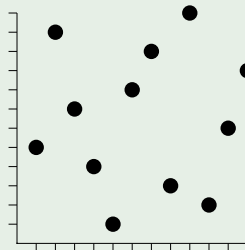
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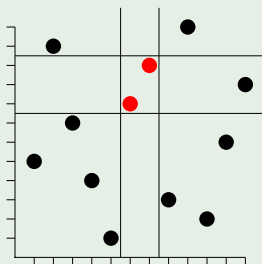
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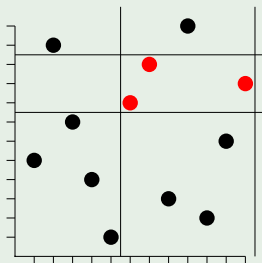
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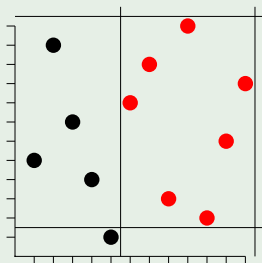
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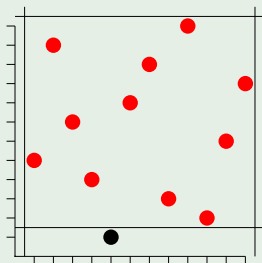
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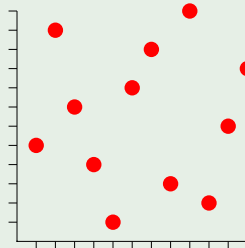
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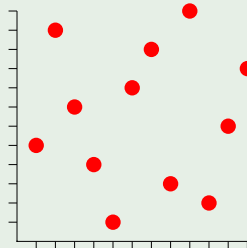
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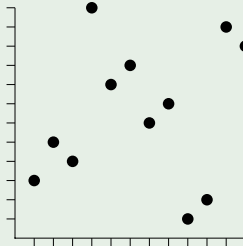


- **1** is simple, as are **12** and **21**.
- There are **no** simple permutations of length three.
- Two of length four: **2413** and **3142**.

Decomposing Permutations

- Simple permutations are the “building blocks” of all permutations.

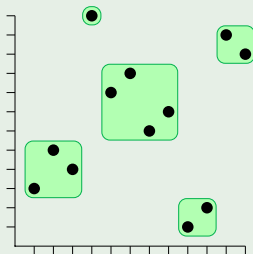
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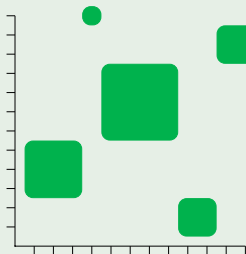
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Decomposing Permutations

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- Break permutation into **maximal proper intervals**.
- Gives a **unique** simple permutation, the **skeleton**.

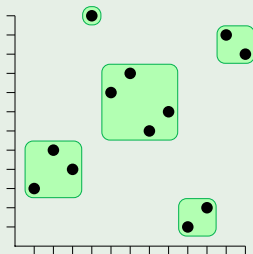
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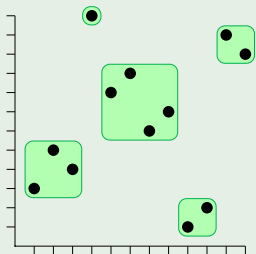
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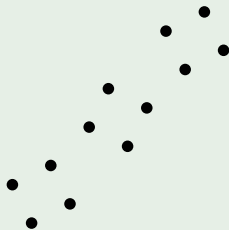
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- This decomposition is the substitution decomposition.

Example



- Simple permutation of length 2: **block decomposition** is not unique.

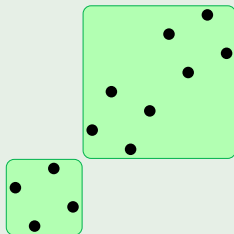
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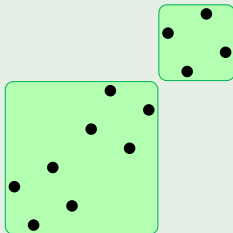
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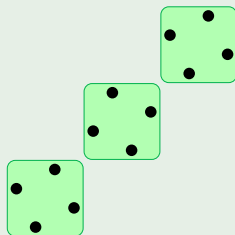
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- Underlying structure is an **increasing permutation**.

Example



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- They are enumerated by **algebraic generating functions**.
- They are **partially well-ordered**.

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Theorem (B., Ruškuc and Vatter, 2008)

It is possible to decide whether a permutation class given by a finite basis contains infinitely many simple permutations.

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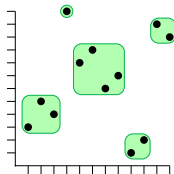
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- They are partially well-ordered.

Theorem (B., Ruškuc and Vatter, 2008)

It is possible to decide whether a permutation class given by a finite basis contains infinitely many simple permutations.

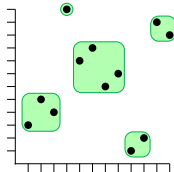
- There should be a **graph-theoretic analogue** of this result!

Finitely Many Simplices \Rightarrow Partially Well-Ordered



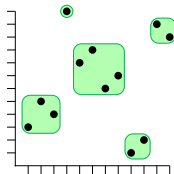
- Take a class \mathcal{C} containing a finite set S of simple permutations.
- Every permutation in \mathcal{C} has a **skeleton** from S .

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- Take a class \mathcal{C} containing a finite set S of simple permutations.
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- Think of each $\sigma \in S$ of length n as an n -ary operation.
- Starting with the permutation 1, we build every permutation in the class \mathcal{C} by recursively using this finite set of operations.

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- Now use **Higman's Theorem**.

1 Introduction

- Permutation classes
- Enumeration
- Partial well-order and antichains

2 Simple permutations

- Intervals
- Substitution decomposition
- Finitely many simples

3 Grid classes

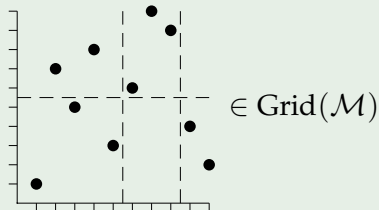
- Introduction
- Monotone classes and partial well-order
- Far beyond monotone
- Nearly monotone

4 Summary

- **Matrix** \mathcal{M} whose entries are permutation classes.
- $\text{Grid}(\mathcal{M})$ the **grid class** of \mathcal{M} : all permutations which can be “gridded” so each cell satisfies constraints of \mathcal{M} .

Example

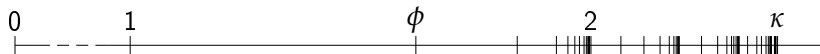
- Let $\mathcal{M} = \begin{pmatrix} \text{Av}(21) & \text{Av}(231) & \emptyset \\ \text{Av}(123) & \emptyset & \text{Av}(12) \end{pmatrix}$.



- Recall: **Growth rate** of \mathcal{C} is $\lim_{n \rightarrow \infty} \sqrt[n]{|\mathcal{C}_n|}$ (if it exists).

Grid classes are useful

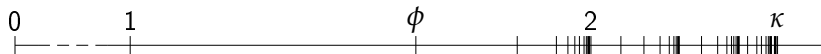
- Recall: **Growth rate** of \mathcal{C} is $\lim_{n \rightarrow \infty} \sqrt[n]{|\mathcal{C}_n|}$ (if it exists).
- Using grid classes: Below $\kappa \approx 2.20557$, growth rates exist and can be characterised [Kaiser and Klazar; Vatter]:



- κ is the lowest growth rate where we encounter **infinite antichains**, and hence uncountably many permutation classes.

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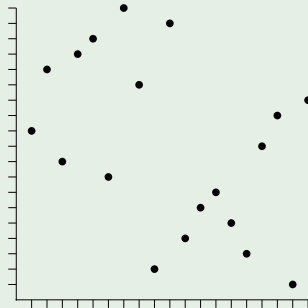
- κ is the lowest growth rate where we encounter **infinite antichains**, and hence uncountably many permutation classes.
- Cf “canonical properties” of graphs [Balogh, Bollobás and Weinreich].

Monotone Grid Classes

- **Special case:** all cells of \mathcal{M} are $\text{Av}(21)$ or $\text{Av}(12)$.
- Rewrite \mathcal{M} as a matrix with entries in $\{0, 1, -1\}$.

Example

$$\mathcal{M} = \begin{pmatrix} 1 & 1 & 0 \\ -1 & 0 & 1 \\ 0 & 1 & -1 \end{pmatrix}$$

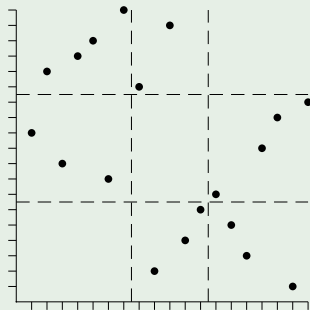


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The Graph of a Matrix

- **Graph of a matrix**, $G(\mathcal{M})$, formed by connecting together all non-zero entries that share a row or column and are not “separated” by any other nonzero entry.

Example

$$\begin{pmatrix} C & 0 & 0 & D \\ 0 & 0 & \mathcal{E} & 0 \\ D & \mathcal{E} & 0 & C \\ 0 & 0 & 0 & D \end{pmatrix}$$

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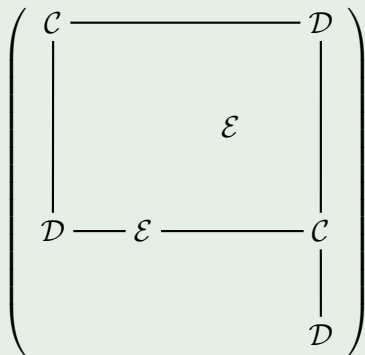
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Theorem (Murphy and Vatter, 2003)

The monotone grid class $\text{Grid}(\mathcal{M})$ is pwo if and only if $G(\mathcal{M})$ is a forest, i.e. $G(\mathcal{M})$ contains no cycles.

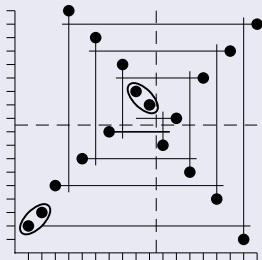
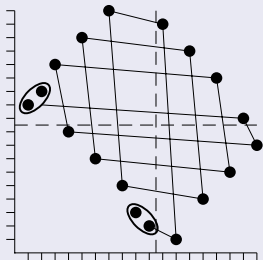
Monotone Grids and Partial Well-Order

Theorem (Murphy and Vatter, 2003)

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Proof.

(\Rightarrow) Construct infinite antichains that “walk” around a cycle.



When does that apply?

Question

When is a class C (a subset of) a monotone grid class?

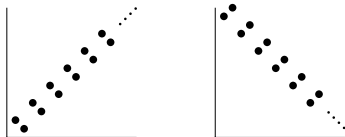
When does that apply?

Question

When is a class \mathcal{C} (a subset of) a monotone grid class?

Answer [Huczynska and Vatter]

A class \mathcal{C} is monotone griddable if and only if it contains neither the classes $\oplus 21$ nor $\ominus 12$.



Non-monotone cells

- If a class is not monotone griddable, then perhaps it can be gridded by a matrix which is **mostly monotone**:

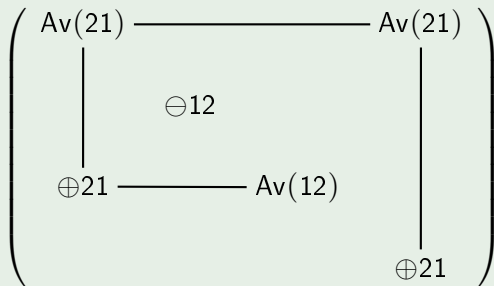
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$$\begin{pmatrix} \text{Av}(21) & 0 & 0 & \text{Av}(21) \\ 0 & \ominus 12 & 0 & 0 \\ \oplus 21 & 0 & \text{Av}(12) & 0 \\ 0 & 0 & 0 & \oplus 21 \end{pmatrix}$$

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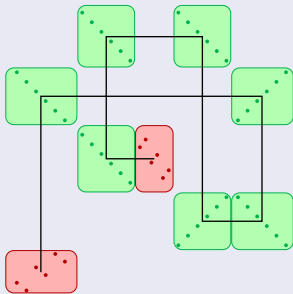
- To be pwo, graph must still be a forest, but now the number of non-monotone-griddable cells in each component matters.

Two is too many

Theorem

A grid class whose graph has a component containing two or more non-monotone-griddable classes is not pwo.

Proof.



- WLOG graph is a path connecting two bad cells.

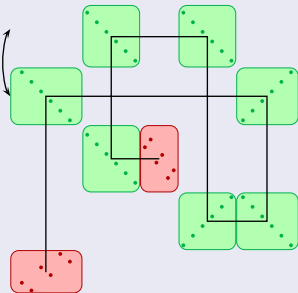


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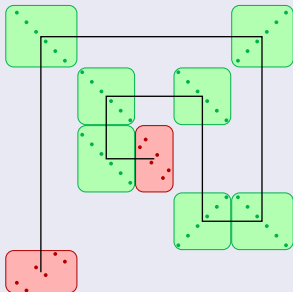


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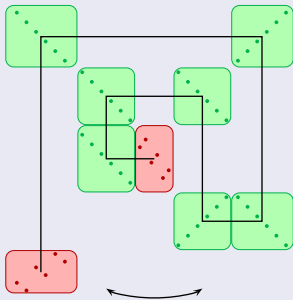


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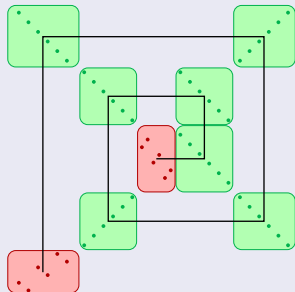


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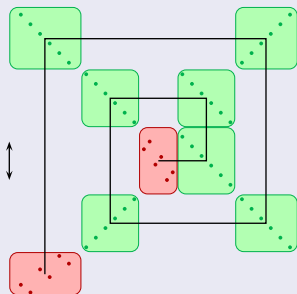


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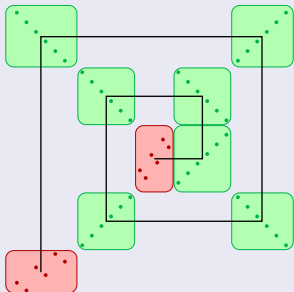


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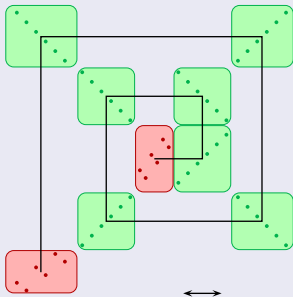


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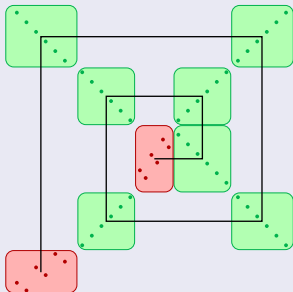


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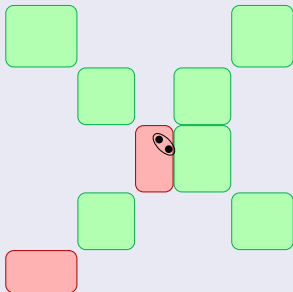


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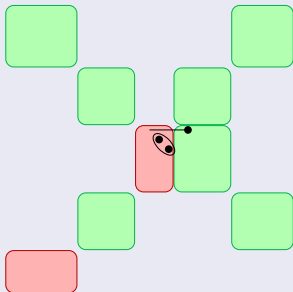


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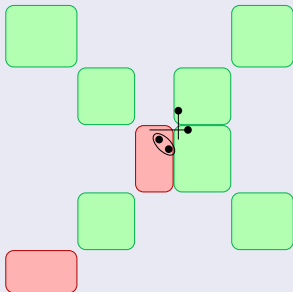


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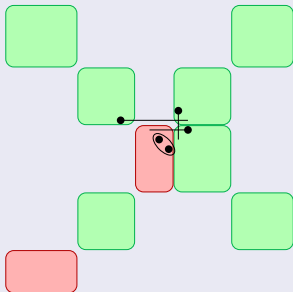


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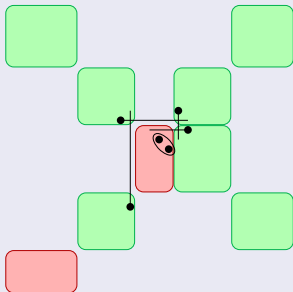


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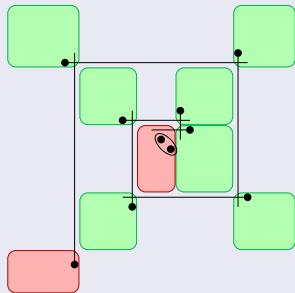


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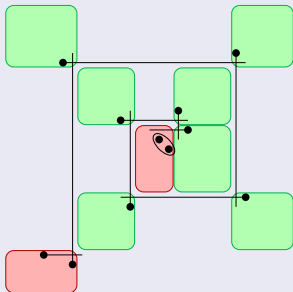


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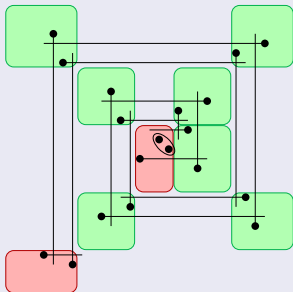


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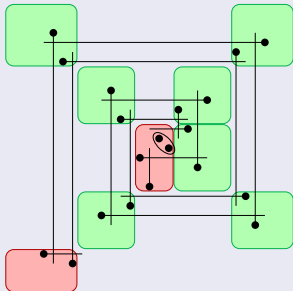


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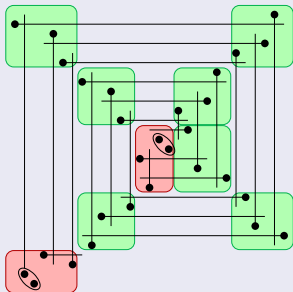


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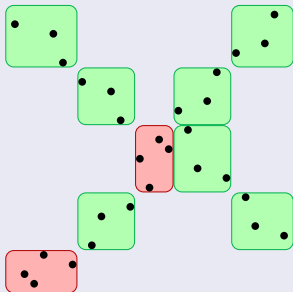


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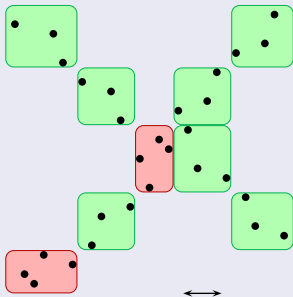


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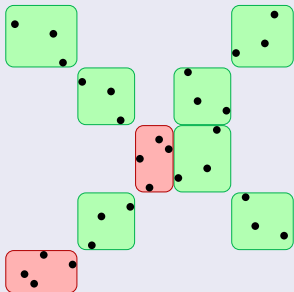


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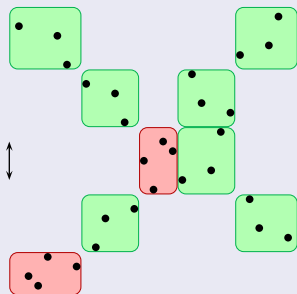


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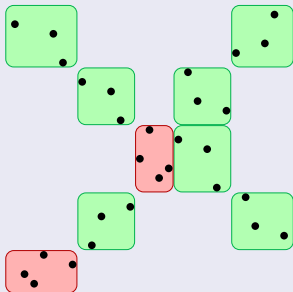


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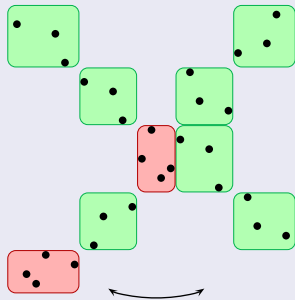


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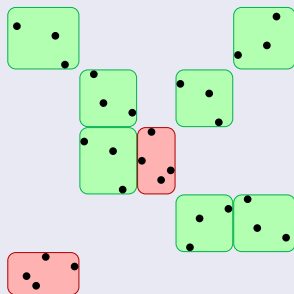


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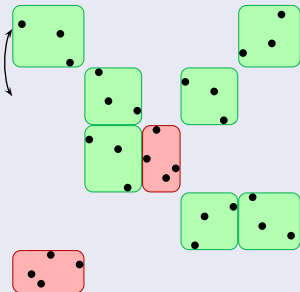


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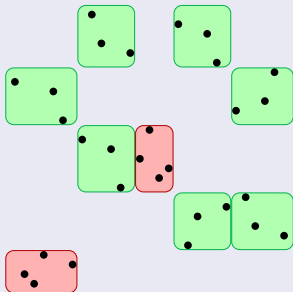


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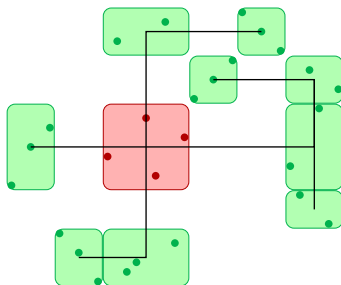


- WLOG graph is a path connecting two bad cells.
- Permute rows and columns.
- Flip rows and columns.
- Build antichain with grid pin sequences.
- Flip and **permute** back.
- Still have an antichain.



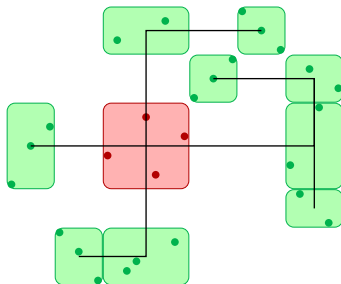
Just one non-monotone

- Suppose the bad cell contains only finitely many **simple permutations**.



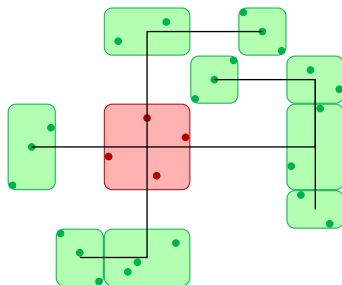
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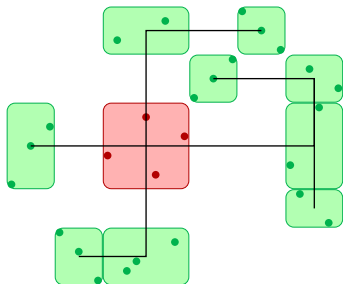
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- Suppose the bad cell contains only finitely many simple permutations.
- Build permutations component-wise: use the substitution decomposition on the red cell, and view each component as a tree rooted on this cell.
- This defines a construction for all permutations in the grid class, which is amenable to **Higman's Theorem**.



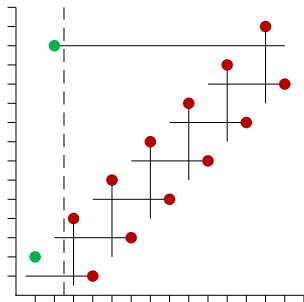
Theorem

Let \mathcal{M} be a gridding matrix for which each component is a forest and contains at most one non-monotone cell. If every non-monotone cell contains only finitely many simple permutations, then $\text{Grid}(\mathcal{M})$ is pwo.



But sometimes one is too much...

- One cell containing arbitrarily long increasing oscillations next to a monotone cell is bad...



1 Introduction

- Permutation classes
- Enumeration
- Partial well-order and antichains

2 Simple permutations

- Intervals
- Substitution decomposition
- Finitely many simples

3 Grid classes

- Introduction
- Monotone classes and partial well-order
- Far beyond monotone
- Nearly monotone

4 Summary

Summary

- **Two** non-monotone per component: class **not pwo**.
- **One** non-monotone but finitely many simples: class is **pwo**.

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Summary

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Question

Can we decide whether a permutation class given by a finite basis is pwo?

- There are still a lot of obstacles, but maybe we're a bit closer.

Thanks!