

Complexity of Universality and Related Decision Problems for Unary Two-Dimensional Automata

MCU 2026

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July 27, 2026

Introduction

Two-Dimensional Automata

Unary Three-Way Deterministic

Universality, Equivalence, and Inclusion

Unary Three-Way Nondeterministic

Bounded Universality

Unary Two-Way Deterministic

Universality, Equivalence, Inclusion, and Disjointness

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- ▶ A **two-dimensional** (2D) **automaton** is a generalization of a one-dimensional automaton.
- ▶ Two major differences:
 1. Different input word
 2. Different transition function

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- ▶ Two major differences:
 1. **Different input word**
 2. Different transition function

$$\begin{array}{cccccc} \# & \# & \# & \cdots & \# & \# \\ \# & a_{1,1} & a_{1,2} & \cdots & a_{1,n} & \# \\ \# & a_{2,1} & a_{2,2} & \cdots & a_{2,n} & \# \\ \vdots & \vdots & \vdots & \ddots & \vdots & \vdots \\ \# & a_{m,1} & a_{m,2} & \cdots & a_{m,n} & \# \\ \# & \# & \# & \cdots & \# & \# \end{array}$$

- ▶ A **two-dimensional (2D) automaton** is a generalization of a one-dimensional automaton.
- ▶ Two major differences:
 1. Different input word
 2. **Different transition function**

$$\begin{array}{ll} \delta : (Q \setminus q_{\text{accept}}) \times (\Sigma \cup \{\#\}) & \delta : (Q \setminus q_{\text{accept}}) \times (\Sigma \cup \{\#\}) \\ \rightarrow Q \times \{U, D, L, R\} & \rightarrow 2^{Q \times \{U, D, L, R\}} \end{array}$$

Deterministic
four-way
(2DFA-4W)

Nondeterministic
four-way
(2NFA-4W)

- ▶ 2D automata do not have to be **four-way** automata.
- ▶ Restrict the transition function to get:
 - ▶ **Three-way** (3W) automata: $\{D, L, R\}$
 - ▶ **Two-way** (2W) automata: $\{D, R\}$
- ▶ Three-way automata cannot return to a row after moving downward, but they can read symbols multiple times in a row.
- ▶ Two-way automata are “read-once”.
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- ▶ Two-way automata are “read-once”.
 - ▶ Similar to a one-way one-dimensional automaton.
- ▶ If the alphabet Σ of a 2D automaton consists of only one letter, we say the 2D automaton is **unary**.
- ▶ We denote this by the shorthand -1Σ .

- ▶ A 2D automaton $\mathcal{A}$ recognizes a language $L(\mathcal{A})$.
- ▶ Some common decision problems we can ask about two languages $L(\mathcal{A})$ and $L(\mathcal{B})$:
 - ▶ **Membership:** $w \in L(\mathcal{A})$ for some 2D word w
 - ▶ **Emptiness:** $L(\mathcal{A}) = \emptyset$
 - ▶ **Universality:** $L(\mathcal{A}) = \Sigma^{**}$ (the set of all 2D words)
 - ▶ **Equivalence:** $L(\mathcal{A}) = L(\mathcal{B})$
 - ▶ **Inclusion:** $L(\mathcal{A}) \subseteq L(\mathcal{B})$
 - ▶ **Disjointness:** $L(\mathcal{A}) \cap L(\mathcal{B}) = \emptyset$

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 - ▶ **Disjointness:** $L(\mathcal{A}) \cap L(\mathcal{B}) = \emptyset$
- ▶ Note that, for unary 2D automata, many questions about languages reduce to simple dimension-testing!
 - ▶ E.g., membership = does $\mathcal{A}$ accept a word of dimension $m \times n$?
 - ▶ E.g., universality = does $\mathcal{A}$ accept words of every dimension?
- ▶ We can represent unary languages as **accepted dimension sets**:

$$D(\mathcal{A}) = \{(m, n) \mid a^{m \times n} \in L(\mathcal{A})\}.$$

- ▶ The decidability landscape isn't very interesting.

	2DFA-4W	2NFA-4W
membership	✓	✓
emptiness	✗	✗
universality	✗	✗
equivalence	✗	✗
inclusion	✗	✗
disjointness	✗	✗

- ▶ The decidability landscape *still* isn't very interesting.

	2DFA-4W-1 Σ	2NFA-4W-1 Σ
membership	✓	✓
emptiness	✗	✗
universality	✗	✗
equivalence	✗	✗
inclusion	✗	✗
disjointness	✗	✗

- We start to recover some positive results.

	2DFA-3W	2NFA-3W
membership	✓	✓
emptiness	✓	✓
universality	✓	✗
equivalence	?	✗
inclusion	✗	✗
disjointness	✗	✗

	2DFA-2W	2NFA-2W
membership	✓	✓
emptiness	✓	✓
universality	✓	✗
equivalence	✓	✗
inclusion	✓	✗
disjointness	✓	?

- ▶ Yet more positive results, but not as well-studied.

	2DFA-3W-1 Σ	2NFA-3W-1 Σ
membership	✓	✓
emptiness	✓	✓
universality	✓	?
equivalence	✓	?
inclusion	✓	?
disjointness	✓	?

	2DFA-2W-1 Σ	2NFA-2W-1 Σ
membership	✓	✓
emptiness	✓	✓
universality	✓	?
equivalence	✓	?
inclusion	✓	?
disjointness	✓	?

- Yet more positive results, but not as well-studied. *Until now!*

	2DFA-3W-1 Σ	2NFA-3W-1 Σ
membership	✓	✓
emptiness	✓	✓
universality	✓ (coNP-hard)	* coNP coNP-hard
equivalence	✓ (coNP-hard)	?
inclusion	✓ (coNP-hard)	?
disjointness	✓	?

	2DFA-2W-1 Σ	2NFA-2W-1 Σ
membership	✓	✓
emptiness	✓	✓
universality	✓	?
equivalence	✓	?
inclusion	✓	?
disjointness	✓	?

- Yet more positive results, but not as well-studied. *Until now!*

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inclusion	✓ (coNP-hard)	?
disjointness	✓	?
	2DFA-2W-1 Σ	2NFA-2W-1 Σ
membership	✓	✓
emptiness	✓	✓
universality	✓ (P)	✓ ELEMENTARY coNP-hard
equivalence	✓ (P)	✓ ELEMENTARY coNP-hard
inclusion	✓ (P)	✓ ELEMENTARY coNP-hard
disjointness	✓ (P)	✓ ELEMENTARY NL-hard

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Conclusions

- ▶ For general alphabet 2DFA-3W:
 - ▶ **Membership**: L-complete (Lindgren et al.)
 - ▶ **Emptiness and universality**: PSPACE-hard (reduction from DFA-2W universality)
- ▶ For unary alphabet 2DFA-3W-1 Σ :
 - ▶ **Emptiness**: upper bound of NP (follows from 2NFA-3W-1 Σ result)
 - ▶ What about other complexity results?

	M	E	U	Eq	In	Dis
2DFA-3W	✓	✓	✓	?	✗	✗
2DFA-3W-1 Σ	✓	✓	✓	✓	✓	✓

Theorem

The 2DFA-3W-1 Σ universality problem is coNP-hard.

- ▶ It is well known that 3-CNF-SAT is NP-complete.
- ▶ From this, we know that 3-CNF-UNSAT is coNP-complete.
- ▶ Consider what happens when we encode an instance of 3-CNF-UNSAT into a unary 2D language recognized by a three-way 2D automaton.

Theorem

The 2DFA-3W-1 Σ universality problem is coNP-hard.

Proof Idea

- ▶ Let $\phi = C_1 \wedge \dots \wedge C_s$ be a Boolean CNF formula with at most 3 literals per clause.
- ▶ Suppose ϕ contains variables $x_1, \dots, x_t$.
- ▶ Enumerate the first t primes $p_1, \dots, p_t$ and associate to variable x_i the prime number p_i .
- ▶ Given an $m \times n$ 2D word, interpret the number of columns n as an encoding of a truth value assignment:

$$x_i = \begin{cases} \text{false,} & \text{if } n \equiv 0 \pmod{p_i}; \\ \text{true,} & \text{if } n \equiv 1 \pmod{p_i}. \end{cases}$$

Theorem

The 2DFA-3W-1 Σ universality problem is coNP-hard.

Proof Idea (cont'd)

- ▶ Construct a unary 3W deterministic 2D automaton $\mathcal{A}_\phi$ that does the following:
 - ▶ Compute the residue for the current literal to determine the encoded truth value.
 - ▶ Use the sign of the current literal (stored in the finite-state control) to determine whether the current literal is true under the encoded assignment.
 - ▶ Update a flag as needed to indicate whether any literal seen in the current clause has evaluated to true.
- ▶ If no literal in a clause is true, then $\mathcal{A}_\phi$ accepts.
- ▶ If all clauses are satisfied, then $\mathcal{A}_\phi$ does not accept.

- ▶ Applying the same logic as our universality result, we get the following.

Corollary

The $2DFA-3W-1\Sigma$ equivalence and inclusion problems are coNP-hard.

- ▶ Applying the same logic as our universality result, we get the following.

Corollary

The 2DFA-3W-1 Σ equivalence and inclusion problems are coNP-hard.

- ▶ We cannot use the same argument to show 2DFA-3W-1 Σ emptiness/disjointness is coNP-hard.
 - ▶ This model is closed under complement
 - ▶ But there is no known poly-time construction to produce a poly-size unary three-way deterministic 2D automaton recognizing the complement language
- ▶ We also cannot establish membership in coNP itself.
 - ▶ We would need to show nonuniversality is in NP
 - ▶ But there is no known way to ensure poly-size witnesses
 - ▶ We may not be able to efficiently verify dimensions

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Conclusions

- ▶ For general alphabet 2NFA-3W:
 - ▶ **Membership**: NL-complete (Lindgren et al.)
 - ▶ **Emptiness**: PSPACE-hard (follows from 2DFA-3W result)
- ▶ For unary alphabet 2NFA-3W-1 Σ :
 - ▶ **Emptiness**: NP-complete (Smith and Salomaa)
 - ▶ What about other decidability/complexity results?

	M	E	U	Eq	In	Dis
2NFA-3W	✓	✓	✗	✗	✗	✗
2NFA-3W-1 Σ	✓	✓	?	?	?	?

Lindgren, Moore, and Nordahl. *J. Statist. Phys.*, 1998.

T. J. Smith and K. Salomaa. Decision problems and projection languages for restricted variants of two-dimensional automata. *Theoret. Comput. Sci.* 870:153–164, 2021.

- ▶ Universality is undecidable over general alphabets.
- ▶ Over a unary alphabet, the problem still seems pretty tough.
 - ▶ We won't even bother then...

- ▶ Universality is undecidable over general alphabets.
- ▶ Over a unary alphabet, the problem still seems pretty tough.
 - ▶ We won't even bother then...
- ▶ Let's consider a '**bounded size**' variant of universality instead.
- ▶ Consider finite sets $R, C \in \mathbb{N}_{>0}$.
- ▶ Denote by

$$D_{R,C} = (R \times \mathbb{N}_{>0}) \cup (\mathbb{N}_{>0} \times C)$$

the domain of all 2D words having

- ▶ dimension $r \times \mathbb{N}_{>0}$ for $r \in R$, or
- ▶ dimension $\mathbb{N}_{>0} \times c$ for $c \in C$.

- ▶ We may split this **$D_{R,C}$ -universality** problem into two cases.

Fixed-Column Universality

Fix $c \geq 1$. Given a unary 3W nondeterministic 2D automaton $\mathcal{A}$, is $a^{m \times c} \in L(\mathcal{A})$ for all $m \geq 1$?

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Fixed-Column Universality

Fix $c \geq 1$. Given a unary 3W nondeterministic 2D automaton $\mathcal{A}$, is $a^{m \times c} \in L(\mathcal{A})$ for all $m \geq 1$?

Lemma

For every unary 3W nondeterministic 2D automaton $\mathcal{A}$ and for all $c \geq 1$, we can construct a unary NFA $\mathcal{B}_{\mathcal{A},c}$ such that, for all $m \geq 1$,

$$b^m \in L(\mathcal{B}_{\mathcal{A},c}) \Leftrightarrow a^{m \times c} \in L(\mathcal{A}).$$

Proof Idea

Construct a row-entry configuration graph and use standard reachability techniques.

- ▶ We may split this **$D_{R,C}$ -universality** problem into two cases.

Fixed-Row Universality

Fix $r \geq 1$. Given a unary 3W nondeterministic 2D automaton $\mathcal{A}$, is $a^{r \times n} \in L(\mathcal{A})$ for all $n \geq 1$?

- We may split this **$D_{R,C}$ -universality** problem into two cases.

Fixed-Row Universality

Fix $r \geq 1$. Given a unary 3W nondeterministic 2D automaton $\mathcal{A}$, is $a^{r \times n} \in L(\mathcal{A})$ for all $n \geq 1$?

Lemma

For every unary 3W nondeterministic 2D automaton $\mathcal{A}$ and for all $r \geq 1$, we can construct a unary NFA-2W $\mathcal{C}_{\mathcal{A},r}$ such that, for all $n \geq 1$,

$$c^n \in L(\mathcal{C}_{\mathcal{A},r}) \Leftrightarrow a^{r \times n} \in L(\mathcal{A}).$$

Proof Idea

Simulate reading one row of the 2D word and maintain a row counter value separately.

- ▶ It is known that unary NFA universality is coNP-complete (Stockmeyer and Meyer).
 - ▶ Applies to fixed-column universality!
- ▶ It is also known that unary NFA-2W universality is coNP-complete (Galil).
 - ▶ Applies to fixed-row universality!

L. Stockmeyer and A. Meyer. Word problems requiring exponential time.
In *Proc. of STOC 1973*, pages 1–9, 1973.

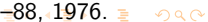
Z. Galil. Hierarchies of complete problems. *Acta Inform.* 6:77–88, 1976.        

- ▶ It is known that unary NFA universality is coNP-complete (Stockmeyer and Meyer).
 - ▶ Applies to fixed-column universality!
- ▶ It is also known that unary NFA-2W universality is coNP-complete (Galil).
 - ▶ Applies to fixed-row universality!

Theorem

The 2NFA-3W-1 Σ $D_{R,C}$ -universality problem is coNP-complete for every fixed finite $R, C \subseteq \mathbb{N}_{>0}$, or when finite sets $R, C \subseteq \mathbb{N}_{>0}$ are given in unary as part of the input.

L. Stockmeyer and A. Meyer. Word problems requiring exponential time. In *Proc. of STOC 1973*, pages 1–9, 1973.

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- ▶ For general alphabet 2DFA-2W:
 - ▶ **Membership:** L-complete (Lindgren et al.)
 - ▶ **Emptiness:** P (Smith and Salomaa)
- ▶ For unary alphabet 2DFA-2W-1 Σ :
 - ▶ **Emptiness:** P (Smith and Salomaa)
 - ▶ What about other complexity results?

	M	E	U	Eq	In	Dis
2DFA-2W	✓	✓	✓	✓	✓	✓
2DFA-2W-1 Σ	✓	✓	✓	✓	✓	✓

Lindgren, Moore, and Nordahl. *J. Statist. Phys.*, 1998.

Smith and Salomaa. *Theoret. Comput. Sci.*, 2021.

- ▶ When working with two-way 2D automata, the following variant of the model often makes our lives easier.

Definition

An **IBR-accepting** two-way 2D automaton is one where, when the input head reads a boundary marker #, either the automaton enters its accepting state on the next transition, or the transition is undefined.

- ▶ Every two-way 2D automaton can be converted to an equivalent IBR-accepting 2D automaton of the same size!
- ▶ Going forward, we will assume all two-way 2D automata are IBR-accepting.

Theorem

The 2DFA-2W-1 Σ universality, equivalence, inclusion, and disjointness problems are in P.

- ▶ Since every input word is over a unary alphabet, consider the sequence of states visited by repeatedly reading the symbol a .
- ▶ We read the symbol a until:
 - ▶ we enter the accepting state
 - ▶ we enter a nonaccepting state with no outgoing transition
 - ▶ we enter a nonaccepting state we saw before
- ▶ **Two-way:** the sequence of input head movements is monotone.
- ▶ **Deterministic:** the sequence of states is unique.
 - ▶ These two facts make our job much easier!

Theorem

The 2DFA-2W-1 Σ universality, equivalence, inclusion, and disjointness problems are in P.

Proof Idea

- ▶ For each transition, keep track of the number of downward and rightward moves made so far in the computation before that transition.
- ▶ Classify the sequence of states visited into one of three cases:
 - ▶ Enters the accepting state
 - ▶ Enters a nonaccepting state with no outgoing transition
 - ▶ Enters a repeated nonaccepting state
- ▶ Also place the dimension (m, n) of the input word into an **accepting set** A_A or a **rejecting set** R_A as appropriate.

Theorem

The 2DFA-2W-1 Σ universality, equivalence, inclusion, and disjointness problems are in P.

Proof Idea (cont'd)

- ▶ Let $D(\mathcal{A})$ denote the **accepted dimension set** (i.e., the union of all dimensions in $A_{\mathcal{A}}$).
- ▶ Let $X(\mathcal{A})$ denote the **rejected dimension set** (i.e., the union of all dimensions in $R_{\mathcal{A}}$).
- ▶ Now observe:
 - ▶ **Universality:** is $X(\mathcal{A}) = \emptyset$?
 - ▶ **Equivalence:** is $(D(\mathcal{A}) \cap X(\mathcal{B})) \cup (D(\mathcal{B}) \cap X(\mathcal{A})) = \emptyset$?
 - ▶ **Inclusion:** is $D(\mathcal{A}) \cap X(\mathcal{B}) = \emptyset$?
 - ▶ **Disjointness:** is $D(\mathcal{A}) \cap D(\mathcal{B}) = \emptyset$?

Theorem

The 2DFA-2W-1 Σ universality, equivalence, inclusion, and disjointness problems are in P.

Proof Idea (cont'd)

- ▶ Both $A_{\mathcal{A}}$ and $R_{\mathcal{A}}$ are constructed according to a case-based system of linear inequalities (omitted here).
- ▶ Each linear inequality is in a fixed number of integer variables.
- ▶ The number of variables is bounded by a constant independent of $\mathcal{A}$.

Theorem

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- ▶ Both $A_{\mathcal{A}}$ and $R_{\mathcal{A}}$ are constructed according to a case-based system of linear inequalities (omitted here).
- ▶ Each linear inequality is in a fixed number of integer variables.
- ▶ The number of variables is bounded by a constant independent of $\mathcal{A}$.
- ▶ This is an integer linear program!
 - ▶ We can solve these in poly-time.

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 - ▶ Membership: NL-complete (Lindgren et al.)
 - ▶ Emptiness: P (Smith and Salomaa)
- ▶ For unary alphabet 2NFA-2W-1 Σ :
 - ▶ Emptiness: P (Smith and Salomaa)
 - ▶ What about other decidability/complexity results?

	M	E	U	Eq	In	Dis
2NFA-2W	✓	✓	✗	✗	✗	?
2NFA-2W-1 Σ	✓	✓	?	?	?	?

Lindgren, Moore, and Nordahl. *J. Statist. Phys.*, 1998.

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- ▶ Since our 2D automaton is nondeterministic, we no longer have the guarantee that a sequence of states is unique.
- ▶ But not all is lost!
- ▶ Consider the sequence of moves over $\{D, R\}^*$ made by a 2D automaton during its computation.

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Proposition

A set is semilinear if and only if the set is definable in Presburger arithmetic.

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Proposition

A set is semilinear if and only if the set is definable in Presburger arithmetic.

- ▶ Turn the sequence of moves $v \in \{D, R\}^*$ into a Parikh map $\Psi(v) = (|v|_D, |v|_R)$.

Lemma

Given a unary 2W nondeterministic 2D automaton $\mathcal{A}$, we can obtain a Presburger arithmetic formula $\phi_{\mathcal{A}}(m, n)$ such that, for all $m, n \geq 1$,

$$\phi_{\mathcal{A}}(m, n) = \text{true} \Leftrightarrow a^{m \times n} \in L(\mathcal{A}).$$

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$$\phi_{\mathcal{A}}(m, n) = \text{true} \Leftrightarrow a^{m \times n} \in L(\mathcal{A}).$$

- It is known that Presburger arithmetic is decidable.

M. Presburger. Über die Vollständigkeit eines gewissen Systems der Arithmetik ganzer Zahlen, in welchem die Addition als einzige Operation hervortritt. In *Comptes Rendus du I Congrès des Mathématiciens des Pays Slaves*, pages 92–101, 1930.

Lemma

Given a unary 2W nondeterministic 2D automaton $\mathcal{A}$, we can obtain a Presburger arithmetic formula $\phi_{\mathcal{A}}(m, n)$ such that, for all $m, n \geq 1$,

$$\phi_{\mathcal{A}}(m, n) = \text{true} \Leftrightarrow a^{m \times n} \in L(\mathcal{A}).$$

- ▶ It is known that Presburger arithmetic is decidable.
- ▶ It is also known that Presburger arithmetic has a decision procedure in ELEMENTARY.

Theorem

The 2NFA-2W-1 Σ universality, equivalence, inclusion, and disjointness problems are in ELEMENTARY.

Proof Idea

Use the following Presburger arithmetic formulas:

► **Universality:**

$$\forall m \forall n ((m \geq 1 \wedge n \geq 1) \Rightarrow \phi_{\mathcal{A}}(m, n))$$

► **Equivalence:**

$$\forall m \forall n ((m \geq 1 \wedge n \geq 1) \Rightarrow (\phi_{\mathcal{A}}(m, n) \Leftrightarrow \phi_{\mathcal{B}}(m, n)))$$

► **Inclusion:**

$$\forall m \forall n ((m \geq 1 \wedge n \geq 1) \Rightarrow (\phi_{\mathcal{A}}(m, n) \Rightarrow \phi_{\mathcal{B}}(m, n)))$$

► **Disjointness:**

$$\forall m \forall n ((m \geq 1 \wedge n \geq 1) \Rightarrow \neg(\phi_{\mathcal{A}}(m, n) \wedge \phi_{\mathcal{B}}(m, n)))$$

- ▶ We can also obtain complexity lower bounds, though the gap is quite large.

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Theorem

The 2NFA-2W-1 Σ universality, equivalence, and inclusion problems are coNP-hard.

Proof Idea

Reduce from unary NFA universality.

- ▶ We can also obtain complexity lower bounds, though the gap is quite large.

Theorem

The 2NFA-2W-1 Σ universality, equivalence, and inclusion problems are coNP-hard.

Proof Idea

Reduce from unary NFA universality.

Theorem

The 2NFA-2W-1 Σ disjointness problem is NL-hard.

Proof Idea

Reduce from ST-NONCONNECTIVITY.

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Conclusions

- ▶ We studied various decision problems for unary 2D automata.
- ▶ In some cases, we obtained all-new decidability properties.
- ▶ In other cases, we proved complexity bounds for known-decidable problems.

	2DFA-3W-1 Σ	2NFA-3W-1 Σ
universality	✓ coNP-hard	* coNP coNP-hard
equivalence	✓ coNP-hard	?
inclusion	✓ coNP-hard	?
disjointness	✓	?
	2DFA-2W-1 Σ	2NFA-2W-1 Σ
universality	✓ (P)	✓ ELEMENTARY coNP-hard
equivalence	✓ (P)	✓ ELEMENTARY coNP-hard
inclusion	✓ (P)	✓ ELEMENTARY coNP-hard
disjointness	✓ (P)	✓ ELEMENTARY NL-hard

- ▶ What is an upper bound on the complexity of $2DFA-3W-1\Sigma$ universality, equivalence, and inclusion?
- ▶ What is the status of decidability (and complexity) for other $2NFA-3W-1\Sigma$ decision problems?
- ▶ Can we come up with a decision procedure for $2NFA-2W-1\Sigma$ universality, equivalence, inclusion, and disjointness that doesn't rely on Presburger arithmetic?

Thank you!



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