## PhD Defense

First Order Preservation Theorems in Finite Model Theory: Locality, Topology, and Limit Constructions

Aliaume Lopez September 12, 2023, IRIF, France

Under the supervision of Jean Goubault-Larrecq, and Sylvain Schmitz.



### INTRODUCTION

A NUCLEAR QUESTION





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# "IS THE MAXIMAL INSTALLED POWER OBTAINED WITH THE HIGHEST NUMBER OF REACTORS?"







2/42





"What about the new ones?"

#### OUR THEOREM MIGHT BECOME FALSE!









1 Reactor / 7000 MWe



Current 🗸





1 Reactor / 7000 MWe























### Do we have to think before tweeting?

INTRODUCTION

NOT ALL QUERIES ARE BORN EQUAL

In First Order Logic (Theoretical Computer Science)

 $\exists c. \exists n. \exists p. \\ \mathsf{IsAPowerplant}(c, n, p) \land \\ (\forall c', n', p'. \\ \mathsf{IsAPowerplant}(c', n', p') \\ \implies (p' \leq p \land n' \leq n)) .$ 

In First Order Logic (Theoretical Computer Science)

 $\exists c. \exists n. \exists p.$ IsAPowerplant(c, n, p)∧  $(\forall c', n', p'.$ IsAPowerplant(c', n', p') $\implies (p' \le p \land n' \le n))$ .

#### SQL (Applied Computer Science)

```
SELECT sc.num_reactor, sc.installed_power
FROM scenario AS sc
WHERE sc.num_reactor =
(SELECT MAX(scm.num_reactor)
FROM scenario AS scm)
AND sc.installed_power =
(SELECT MAX(scm.installed_power)
FROM scenario AS scm)
```

$$\varphi := \top \mid \perp \mid \varphi \land \varphi \mid \varphi \lor \varphi \mid \neg R(x_1, ..., x_n) \mid R(x_1, ..., x_n) \mid \exists x.\varphi$$

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### Lemma (folklore)

These can be evaluated naïvely, in any context: for every existential sentence  $\varphi$ ,  $\llbracket \varphi \rrbracket = \uparrow \llbracket \varphi \rrbracket$ . Equivalently,  $\llbracket \varphi \rrbracket$  is upwards closed, or  $\varphi$  is preserved under extensions (i.e., injective strong homomorphisms).

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### Theorem (Łoś-Tarski)

For every first order sentence  $\varphi$ , the following are equivalent

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- 2. there exists an existential sentence  $\psi$  such that  $\llbracket \varphi \rrbracket = \llbracket \psi \rrbracket$ .

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 $``[[FO]] + \uparrow \leftrightsquigarrow [[EFO]]''$
#### A non-existential query

 $\begin{aligned} \exists c. \exists n. \exists p. \\ \text{IsAPowerplant}(c, n, p) \land \\ (\forall c', n', p'. \\ \text{IsAPowerplant}(c', n', p') \\ \implies (p' \leq p \land n' \leq n)) \end{aligned}$ 

#### A non-existential query

 $\exists c. \exists n. \exists p.$ IsAPowerplant(c, n, p)∧ (∀c', n', p'. IsAPowerplant(c', n', p')  $\implies (p' \le p \land n' \le n)) \quad .$ 

Łoś-Tarski does not relativise! (e.g., finite models)

- Can be naïvely evaluated in the subclass  $\mathcal{C}$ :  $\llbracket \varphi \rrbracket \cap \mathcal{C} = \uparrow \llbracket \varphi \rrbracket \cap \mathcal{C}$
- Is equivalent to an existential sentence in the subclass C:  $\llbracket \varphi \rrbracket \cap C = \llbracket \psi \rrbracket \cap C$ .

### Preservation theorems: variations around Łoś-Tarski

- Different possibilities to order structures:  $\uparrow$ ,
- Different fragments of FO: EFO,
- $\cdot\,$  Different subsets of interest:  $\mathcal C$  (e.g., finite models).

#### Preservation Under

homomorphisms

injective homomorphisms (Tarski-Lyndon) strong injective homomorphisms (Łoś-Tarski) surjective homomorphisms (Lyndon) strong surjective homomorphism ∀FO-embeddings (dual Chang-Łoś-Suszko)

Preservation Under	Relativises to $Fin(\sigma)$
homomorphisms	✔ [Ros08]
injective homomorphisms (Tarski-Lyndon) strong injective homomorphisms (Łoś-Tarski surjective homomorphisms (Lyndon) strong surjective homomorphism ∀FO-embeddings (dual Chang-Łoś-Suszko)	<ul> <li>★ [AG94a, Theorem 10.2]</li> <li>★ [Tai59; Gur84; DS21]</li> <li>★ [AG87a; Sto95]</li> <li>★ [Cap+20]</li> <li>★ [San+12]</li> </ul>

#### Positive and Negative Results in the Finite



#### Not used to rewrite queries!

- Better understand Finite Model Theory (compared to Model Theory),
- Provide completeness of proof techniques ([Lib11; DNR08]).

Understand how and why preservation theorems relativise to some classes of (finite) structures.

# **DIVING IN**

Three Specific Examples Among Classes of Finite Undirected Graphs

Ordering!









Ordering!



 $P_5$  $P_4$  $P_2$  $P_1$ 

ORDERING!



















Lemma (folklore)

For every  $\varphi \in FO$ , there exists  $N_0$ , such that for all  $n, m \ge N_0$ ,  $C_m \in [\![\varphi]\!] \iff C_n \in [\![\varphi]\!]$ .





Lemma (folklore)

For every  $\varphi \in FO$ , there exists  $N_0$ , such that for all  $n, m \ge N_0$ ,  $C_m \in [\![\varphi]\!] \iff C_n \in [\![\varphi]\!]$ .  $[\![\varphi]\!] \cap Cycles = [\![\exists^{=4}x.\top \lor \exists^{\geq 6}x.\top]\!] \cap Cycles$ 

The Łoś-Tarski Theorem relativises to every class  ${\cal C}$  of finite structures such that:

- 1. There exists a bound d on the maximal degree in the structures
- 2. The class is hereditary (neither Paths, nor Cycles)
- 3. The class is closed under disjoint unions (neither Paths, nor Cycles)



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Вотн!

### Three Non Overlapping Internal Approaches

- 1. Upwards closed subsets are "simple" (Paths)
- 2. Definable subsets are "simple" (Cycles)
- 3. The two interact "nicely" ([ADG08])

 $-\uparrow E$  where E is finite

- (complements of) finite subsets

### Three Non Overlapping Internal Approaches

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#### An external approach?

Is it possible to avoid starting from scratch every time?

• Cycles  $\cup$  Paths? None of the above apply!

 $-\uparrow E$  where E is finite

- (complements of) finite subsets

# **DIVING IN**

EXPECTATIONS

Definability	External Approach	Тороlogy
Local To Global Łós-Tarski relativisation	Logically presented pre-spectral spaces	Topology Expanders for Noetherian spaces
Positive Gaifman Normal Form	Composition theorems for LPPS	Limit Constructions of Noetherian spaces

LOCAL APPROACH

THE LOCALITY THEOREM

#### Usage in Finite Model Theory

- It is a combinatorial tool that works in finite classes.
- Abstracts the low-level "game" arguments of first-order logic.
- Already has been used to prove the relativisation of preservation theorems [ADK06; ADG08, e.g.].



A structure  $\mathfrak{A}$ .



A structure  $\mathfrak{A}$ , with 2 selected nodes.



A structure  $\mathfrak{A}$ , with 2 selected nodes, and a 1-local neighborhood.



 $\mathcal{N}_{\mathfrak{A}}(a_1a_2,1) \subseteq_i \mathfrak{A}.$
#### LOCAL NEIGHBOURHOODS OF CYCLES



Every first order sentence (FO) is equivalent to a Boolean combination of basic local sentences.

**Basic Local Sentence** 



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$$\operatorname{Loc}_{k}^{r}(\mathcal{C}) \stackrel{def}{=} \{ \mathcal{N}_{A}(\vec{a}, r) \mid A \in \mathcal{C}, \vec{a} \in A^{k} \}$$

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#### Localise Bounded Degree

C is of bounded degree if and only if  $Loc_k^r(C)$  is finite for all  $k, r \ge 0$ , i.e., locally finite.

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## Theorem ([ADG08])

The Łoś-Tarski theorem relativises to hereditary classes of finite structures that are closed under ⊎ and **locally** finite.

## Theorem ([Lop22, Theorem 6.7])

For a hereditary class of finite structures *C* that is closed under disjoint unions, the following are equivalent:

- 1. The Łoś-Tarski Theorem relativises to *C*.
- 2. The Łoś-Tarski Theorem **locally** relativises to C, i.e.,  $\text{Loc}_k^r(C)$  for all  $r, k \ge 0$ .

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Full characterisation!

Agrandir les flèches dire que les inclusions sont strictes



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- 1.  $\varphi_0$  + preserved under extensions  $\rightsquigarrow \varphi_1$  existential-local
- 2.  $\varphi_1$  existential-local + preserved under extensions  $\rightsquigarrow \varphi_2$  existential

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```
Existential local: \exists x_1, \ldots, x_k. \underbrace{\psi(\vec{x})}_{r \text{-local}}
```

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Existential, Existential Local, and Arbitrary Sentences

- existential local sentences with  $r = 0 \rightsquigarrow$  existential sentences
- existential local sentences over  $\mathcal{C} \iff$  sentences over  $\operatorname{Loc}_k^r(\mathcal{C})$ .

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Existential, Existential Local, and Arbitrary Sentences

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- existential local sentences over  $\mathcal{C} \iff$  sentences over  $\operatorname{Loc}_k^r(\mathcal{C})$ .

## Core Combinatorial Argument

preserved under extensions  $\rightsquigarrow$  minimal models are found in some  $\text{Loc}_k^r(\mathcal{C})$ .

The usual approach: use the Gaifman Locality Theorem.

## Theorem ([Gai82])

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## Theorem ([Lop22, Theorem 1.1])

Let  $\mathcal{C} \subseteq \text{Struct}(\sigma)$  be a class of structures, and  $\varphi \in \text{FO}[\sigma]$ . The following are equivalent

- 1.  $\varphi$  is equivalent to an existential-local sentence, and
- 2.  $\varphi$  is equivalent to a **positive** Boolean combination of basic local sentences.



Definability	External Approach	Тороlogy
Local To Global Łós-Tarski relativisation	Logically presented pre-spectral spaces	Topology Expanders for Noetherian spaces
Positive Gaifman Normal Form	Composition theorems for LPPS	Limit Constructions of Noetherian spaces

## **COMPOSITIONAL APPROACH**

THE RIGHT ABSTRACTION

## Wishful conjecture

Assume that the Łoś-Tarski relativises to C and C'. Does the Łoś-Tarski theorem relativise to  $C \cup C'$ ?

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## An external approach?

- · Łoś-Tarski relativises to Cycles,
- Łoś-Tarski relativises to Paths,
- · Łoś-Tarski does not relativise to Cycles  $\cup$  Paths.

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- Łoś-Tarski relativises to Paths,
- · Łoś-Tarski does not relativise to Cycles  $\cup$  Paths.

Could we find a subset of preservation theorems that can be composed?

#### A REASONABLE ABSTRACTION: LPPS



## $\langle\!\langle \mathcal{C},\tau,\mathcal{B}\rangle\!\rangle$

 $\ensuremath{\mathcal{C}}$  is a class of structures

 $\tau$  is a topology over  ${\mathcal C}$ 

 ${\mathcal B}$  is a Boolean algebra over  ${\mathcal C}$ 

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 $\tau$  is a topology over  ${\mathcal C}$ 

 ${\mathcal B}$  is a Boolean algebra over  ${\mathcal C}$ 

$$\langle \tau \cap \mathcal{B} \rangle_{topo} = \tau$$
  
 $\tau \cap \mathcal{B} = \mathcal{K}^{\circ}(\tau)$ 

[Lop21, Definition 3.2]: logically presented pre-spectral space.

Definition:  $\mathcal{K}^{\circ}(\tau)$  = compact open subsets

Typical example of compact open subset:  $\uparrow \{ \mathfrak{A}_1, \ldots, \mathfrak{A}_n \}$  (finite union of cones!)



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Topological Property of Existential Sentences (in hereditary classes)

They have finitely many minimal models, hence define compact open subsets!

# Equation 1: enough subsets are definable and open $\langle \tau \cap \mathcal{B} \rangle_{topo} = \tau$

## (logically presented)

 $\rightsquigarrow$  cones ( $\uparrow \mathfrak{A}$ ) are first order definable!

## Equation 1: enough subsets are definable and open $\langle \tau \cap \mathcal{B} \rangle_{\text{topo}} = \tau$

(logically presented)

 $\rightsquigarrow$  cones ( $\uparrow \mathfrak{A}$ ) are first order definable!

Equation 2: definable and open subsets are compact open (pre-spectral) $\tau \cap \mathcal{B} = \mathcal{K}^{\circ}(\tau)$ 

 $\rightsquigarrow$  sentences preserved under extensions (in C) define compact open subsets.

Let  $C \subseteq Fin(\sigma)$ .

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## Theorem ([Lop21, Theorem 3.4], specialised to EFO and the finite setting)

- The Łoś-Tarski Theorem relativises to C, and existential sentences define compact open subsets.
- 2. The space  $\langle\!\langle \mathcal{C},\tau,\mathcal{B}\rangle\!\rangle$  is an LPPS.
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- The Łoś-Tarski Theorem relativises to C, and existential sentences define compact open subsets.
- 2. The space  $\langle\!\langle \mathcal{C},\tau,\mathcal{B}\rangle\!\rangle$  is an LPPS.

## Remarks

- LPPS captures a subset of preservation theorems.
- The two coincide on hereditary classes of finite structures.
- LPPS will be stable under composition (finite sums, finite products, etc.)

# LPPS CAPTURES "REASONABLE" PRESERVATION THEOREMS.

#### Generalises Already Known Spaces

- $\langle\!\langle \mathcal{C}, \tau, \mathcal{P}(\mathcal{C}) \rangle\!\rangle$  is an LPPS  $\iff (\mathcal{C}, \tau)$  is a Noetherian space
- $\cdot \ \langle\!\langle \mathcal{C}, \tau, \langle \mathcal{K}^{\circ}(\tau) \rangle_{\text{bool}} \rangle\!\rangle \text{ is an LPPS } \longleftrightarrow (\mathcal{C}, \tau) \text{ is a Spectral space}$

(see [Gou13]) (see [DST19])

#### Generalises Already Known Spaces

- $\langle\!\langle \mathcal{C}, \tau, \mathcal{P}(\mathcal{C}) \rangle\!\rangle$  is an LPPS  $\iff (\mathcal{C}, \tau)$  is a Noetherian space
- $\cdot \ \langle\!\langle \mathcal{C}, \tau, \langle \mathcal{K}^{\circ}(\tau) \rangle_{\text{bool}} \rangle\!\rangle \text{ is an LPPS } \leadsto (\mathcal{C}, \tau) \text{ is a Spectral space}$

# Compositional?

Both spectral and Noetherian spaces can be composed!

(see [Gou13]) (see [DST19])

## LPPS are stable under the following operations

Operation	Symbol	Extra Hypothesis
sum	$\mathcal{C}+\mathcal{C}'$	-
product	$\mathcal{C}  imes \mathcal{C}'$	-
inner product	$\mathcal{C}\otimes\mathcal{C}'$	-
finite words	$\mathcal{C}^{\star}$	-
wreath product	$\mathcal{C}\rtimes\mathcal{C}'$	${\mathcal C}$ is $\infty ext{-wqo}$

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#### Other stability results:

- Surjective continuous and definable maps  $f: \mathcal{C} \twoheadrightarrow \mathcal{C}'$ .
- Boolean combinations of compact open subsets.

**COMPOSITIONAL APPROACH** 

A concrete example: The product

```
Let \langle\!\langle \mathcal{C}, \tau, \mathcal{B} \rangle\!\rangle and \langle\!\langle \mathcal{C}', \tau', \mathcal{B}' \rangle\!\rangle be LPPS.
```

The elements of  $\mathcal{C}\times\mathcal{C}'$ 

Pairs  $(\mathfrak{A}, \mathfrak{A}')$ , with  $\mathfrak{A} \in \mathcal{C}$  and  $\mathfrak{A}' \in \mathcal{C}'$ .

The elements of  $\mathcal{C}\times\mathcal{C}'$ 

Pairs  $(\mathfrak{A}, \mathfrak{A}')$ , with  $\mathfrak{A} \in \mathcal{C}$  and  $\mathfrak{A}' \in \mathcal{C}'$ .

The open subsets of  $\mathcal{C}\times\mathcal{C}'$ 

Topology generated by subsets  $U \times U'$  with  $U \in \tau$  and  $U' \in \tau'$ .

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The definable subsets of  $\mathcal{C}\times\mathcal{C}'$ 

(works for FO!)

Boolean subalgebra generated by subsets  $D \times D'$  with  $D \in \mathcal{B}$  and  $D' \in \mathcal{B}'$ .

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Boolean subalgebra generated by subsets  $D \times D'$  with  $D \in \mathcal{B}$  and  $D' \in \mathcal{B}'$ .

Theorem ([Lop21, Proposition 5.8])

 $\langle\!\langle \mathcal{C}\times \mathcal{C}',\tau^{\times},\mathcal{B}^{\times}\rangle\!\rangle$  is an LPPS.

## How DO THEY INTERACT?

Let us prove:

 $\tau^{\times} \cap \mathcal{B}^{\times} \subseteq \mathcal{K}^{\circ}(\tau^{\times})$ .

Let  $U \in \tau^{\times} \cap \mathcal{B}^{\times}$ .



 $\tau^{\times} \cap \mathcal{B}^{\times} \subseteq \mathcal{K}^{\circ}(\tau^{\times})$ .



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 $\tau^{\times} \cap \mathcal{B}^{\times} \subseteq \mathcal{K}^{\circ}(\tau^{\times})$ .



 $\tau^{\times} \cap \mathcal{B}^{\times} \subseteq \mathcal{K}^{\circ}(\tau^{\times})$  .



 $\tau^{\times} \cap \mathcal{B}^{\times} \subseteq \mathcal{K}^{\circ}(\tau^{\times})$  .



 $\tau^{\times} \cap \mathcal{B}^{\times} \subseteq \mathcal{K}^{\circ}(\tau^{\times})$  .



 $\tau^{\times} \cap \mathcal{B}^{\times} \subseteq \mathcal{K}^{\circ}(\tau^{\times})$  .



 $\tau^{\times} \cap \mathcal{B}^{\times} \subseteq \mathcal{K}^{\circ}(\tau^{\times})$  .



 $\tau^{\times} \cap \mathcal{B}^{\times} \subseteq \mathcal{K}^{\circ}(\tau^{\times})$  .



 $\tau^{\times} \cap \mathcal{B}^{\times} \subseteq \mathcal{K}^{\circ}(\tau^{\times})$  .

Let  $U \in \tau^{\times} \cap \mathcal{B}^{\times}$ .  $U = \bigcup \bigcap \neg^{?} D_{i} \times D'_{i}$ . (Use Tychonoff and Zorn)



# LinOrd × Paths (for free!)


# LinOrd × Paths (for free!)





# LinOrd >> Paths (for free!)



# CONCLUDING REMARKS

CONTRIBUTIONS AND OPEN QUESTIONS

Definability	External Approach	Тороlogy
Local To Global Łós-Tarski relativisation	Logically presented pre-spectral spaces	Topology Expanders for Noetherian spaces
Positive Gaifman Normal Form	Composition theorems for LPPS	Limit Constructions of Noetherian spaces

# Definability [Lop22]

Local To Global Łós-Tarski relativisation

Positive Gaifman Normal Form

Twin-Width? [Bon+20]

External Approach [Lop21]

Logically presented pre-spectral spaces

Composition theorems for LPPS

Rossman's theorem?

Topology [Lop23]

Topology Expanders for Noetherian spaces

Limit Constructions of Noetherian spaces

**Beyond Noetherian?** 

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#### A SIMPLE FIXPOINT APPROACH



With *E* monotone and fixing Noetherian topologies.

# Theorem ([Lop23, Theorem 3.21])

If E is monotone, fixes Noetherian topologies, and <u>respects subsets</u>, then the least fixed point of E is a Noetherian topology.

## Remarks

- The extra condition is needed
- The proof uses a topological minimal bad sequence argument













# Theorem ([Lop23, Theorem 5.13])

Given an inductively defined space X = F(X), one can derive a generic topology expander

#### Remarks

- Gives back the previous topologies for finite words and finite trees!
- Correctly generalizes with what is done in the realm of well-quasi-orders, e.g., by [Has02].

#### Parameters of a local sentence

$$\exists x_1, \ldots, x_n [Q_1 y_1, Q_2 y_2, \ldots, Q_q y_q, \theta(\vec{x}, \vec{y})]_{r}^{\vec{x}}$$

#### Fixing all parameters...

A sentence  $\varphi$  preserved under ((a, a)-local elementary embeddings is equivalent to an existential local sentence.



$$\rightarrow (x,y) \stackrel{\text{def}}{=} \bigvee_{(R,n)\in\sigma} \exists z_1,\ldots,z_n, R(z_1,\ldots,z_n) \land \bigvee_{1\leq i,j\leq n}^n x = z_i \land y = z_j$$

$$\rightarrow (x, y) \stackrel{def}{=} \bigvee_{(R,n)\in\sigma} \exists z_1, \ldots, z_n, R(z_1, \ldots, z_n) \land \bigvee_{1 \leq i,j \leq n}^n x = z_i \land y = z_j$$



Figure 1: From a table to a graph.

$$\rightarrow (x,y) \stackrel{def}{=} \bigvee_{(R,n)\in\sigma} \exists z_1,\ldots,z_n, R(z_1,\ldots,z_n) \land \bigvee_{1\leq i,j\leq n}^n x = z_i \land y = z_j$$



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