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Selfsimilarity, Simulation and Spacetime Symmetries

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We study intrinsic simulations between cellular automata and introduce a new necessary condition for a CA to simulate another one. Although expressed for general CA, this condition is targeted towards surjective CA and especially linear ones. Following the approach introduced by the first author in an earlier paper, we develop proof techniques to tell whether some linear CA can simulate another linear CA. Besides rigorous proofs, the necessary condition for the simulation to occur can be heuristically checked via simple observations of typical space-time diagrams generated from finite configurations. As an illustration, we give an example of linear reversible CA which cannot simulate the identity and which is 'time-asymmetric', i.e. which can neither simulate its own inverse, nor the mirror of its own inverse.

Keywords: cellular automata, simulation, reversibility, time symmetry, space symmetry, linear

1 Introduction and definitions

Cellular automata (CA) are well-known for the variety of behaviors they can exhibit. A lot of classification schemes where proposed in the literature, trying to make this variety of behaviors more intelligible [Wol84, Gil87, Kůr97]. Such classifications usually consist in a (finite) list of distinctive properties giving raise to a partition of the class of all CA. Another approach consists in defining a simulation relation between CA, and studying the ordered structure induced by the simulation. We follow this latter approach, and more precisely the simulation relation $\preccurlyeq_i$ defined in [DMOT11a, DMOT11b] giving rise to the notion of intrinsic universality [Oll08]. The intuition behind this simulation relation is simple: a CA is simulated by another if some rescaling of the first is a sub-automaton of a rescaling of the second.

More formally, we restrict ourselves to dimension 1 and the definition is as follows. A CA F is a *sub-automaton* of a CA G, denoted $F \sqsubseteq G$, if there is an injective map φ from A to B (state sets of F and G respectively) such that $\overline{\varphi} \circ F = G \circ \overline{\varphi}$, where $\overline{\varphi} : A^{\mathbb{Z}} \to B^{\mathbb{Z}}$ denotes the uniform extension of φ to configurations. We sometimes write $F \sqsubseteq_\varphi G$ to make φ explicit. This definition is standard but yields a very limited notion of simulation: a given CA can only admit a finite set of (non-isomorphic) CA as sub-automata. Therefore, following works of J. Mazoyer, I. Rapaport and N. Ollinger [MR98, Oll02, DMOT11a, DMOT11b], we will add rescaling operations to the notion of simulation. The ingredients

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of rescaling operations are simple: packing cells into blocks, iterating the rule and composing with a translation (formally, we use shift CA σ_z, $z \in \mathbb{Z}$, whose global rule is given by $\sigma_z(c)_x = c_{x-z}$ for all $x \in \mathbb{Z}$). Given any state set $\mathcal{Q}$ and any $m \geq 1$, we define the bijective packing map $b_m : \mathcal{Q}^{\mathbb{Z}} \to \big(\mathcal{Q}^m\big)^{\mathbb{Z}}$ by:

$$\forall z \in \mathbb{Z} : \big(b_m(c)\big)(z) = \big(c(mz), \dots, c(mz+m-1)\big)$$

for all $c \in \mathcal{Q}^{\mathbb{Z}}$. The rescaling $F^{<m,t,z>}$ of F by parameters m (packing), $t \geq 1$ (iterating) and $z \in \mathbb{Z}$ (shifting) is the CA of state set $\mathcal{Q}^m$ and global rule:

$$b_m \circ \sigma_z \circ F^t \circ b_m^{-1}.$$

With these definitions, we say that F simulates G, denoted $G \preccurlyeq F$, if there are rescaling parameters m_1, m_2, t_1, t_2, z_1 and z_2 such that $G^{<m_1,t_1,z_1>} \sqsubseteq F^{<m_2,t_2,z_2>}$.

Determining whether some given CA simulates another given CA is hard (undecidable in general [DMOT11b, section 4.3]). For instance, looking at typical space time diagrams of two CA gives no clue on whether one simulates another, because the simulation can occur on a set of configurations of measure 0. Despite the general undecidability of the simulation relation, one can still hope to better understand its restriction to some specific classes of CA. For instance, the simulation relation is fully understood on products of shifts [DMOT11b, theorem 3.4] thanks to a 'characteristic sequence' which is essentially the sequence of ratio of translation vectors. Hence, if $F = \sigma_0 \times \sigma_1 \times \sigma_3$, one can prove that F cannot simulate $F^{-1} = \sigma_0 \times \sigma_{-1} \times \sigma_{-3}$ because they do not have the same characteristic sequence.

In this paper, we introduce a general necessary condition for a simulation between two CA to be possible. It focuses on surjective CA, but we will essentially use it on linear reversible CA. This condition is expressed as a characteristic set χ of points of the real half-plane which is decreasing w.r.t. $\preccurlyeq$ (Theorem 1 below):

$$F \preccurlyeq G \Rightarrow \chi(G) \subseteq \chi(F).$$

A striking property of χ is that it can be somewhat visualized on typical space time diagrams of linear CA. Moreover, the set χ is closely related to so-called 'Green functions' of linear CA for which systematic analysis techniques have been developed in [GNW10]. Hence, formal proofs of impossibility of simulation between two linear CA can be derived from heuristic observations of space-time diagrams in a quasi-automatic way.

The set of reversible CA is somewhat structured with respect to $\preccurlyeq$ since it possesses a maximal element (*i.e.,* a reversible universal CA [DMOT11b, theorem 4.5]) and verifies the following [DMOT11b, theorem 4.4]:

$$F \preccurlyeq G \Rightarrow F^{-1} \preccurlyeq G^{-1}$$

Therefore, a reversible CA is either $\preccurlyeq$-equivalent to its inverse, or $\preccurlyeq$-incomparable to it. The most complex reversible CA, reversible universal CA, are all $\preccurlyeq$-equivalent to their own inverse. Coming back to the example F above (product of shifts), we have that F and F^{-1} are $\preccurlyeq$-incomparable. Following [AN10], let us associate to every reversible CA F its dual $\tilde{F} = M \circ F^{-1} \circ M$, where M is the mirror transformation on configurations ($M(c)_z = c_{-z}$). Any product of shifts is self-dual, and generally speaking it seems to be hard to come up with CA that do not simulate their dual, while non-time-symmetric CA in the sense of [MG10] come in profusion.

An interesting question in this context is how different a reversible CA can be from its dual. As an illustration of the necessary condition for simulation between CA that is given by Theorem 1, we study

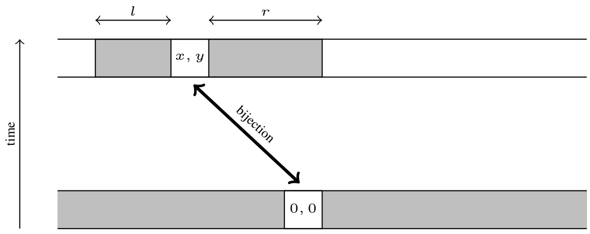

Fig. 1: Property $\mathrm{Spot}[x, y, l, r]$. Gray zones correspond to cells whose state does not change (either fixed in the initial configuration or kept constant in the y-th iteration of the CA).

in section 3 some reversible linear CA. The first one simulates its inverse, its mirror, its dual, but not the identity; the second one simulates neither the identity nor its inverse or its mirror image or its dual.

2 Simulation and geometry

The basic ingredient in this section is the collection of functions telling how a change of value of the center cell in the initial configuration will affect some other cell's value at some step in the future. Such functions are often studied for linear cellular automata (see section 3) and are sometimes called 'Green functions' in this context [Moo98].

Let F be any CA and fix some $x \in \mathbb{Z}$ and some $y \in \mathbb{N}$. For any configuration $c \in \mathcal{Q}^{\mathbb{Z}}$ and any $q \in \mathcal{Q}$, we denote by $\phi_c(q)$ the following configuration:

$$\phi_c(q)_z = \begin{cases} q & \text{if } z = 0, \\ c(z) & \text{else.} \end{cases}$$

We then denote by $F^y_{x,c} : \mathcal{Q} \to \mathcal{Q}$ the map $q \mapsto (F^y(\phi_c(q)))_x$.

For instance, if F is simply the identity, $F^y_{x,c}$ is the identity when $x = 0$, otherwise it is the constant function $q \mapsto c(x)$. For a less trivial example, consider the cas where $F = \bigoplus$ is the sum with neighborhood $\{0, -1\}$ over $\mathcal{Q} = \mathbb{Z}/2\mathbb{Z}$, i.e. $\bigoplus(c)_x = c(x) + c(x-1)$. Starting from a single nonzero cell, iterations of this automaton generate Pascal's triangle modulo 2. For $x \in \mathbb{N}$, let $x = \sum_{n\in\mathbb{N}} b_x(n)2^n$, with $b_x(n) \in \{0, 1\}$, be its binary representation, and $B_x = \{n \in \mathbb{N} | b_x(n) = 1\}$. Then

$$\bigoplus{}^y_{x,c}(q) = \left\{ \begin{array}{ll} \bigoplus^y(c)_x + q & \text{if } x \geq 0 \text{ and } B_x \subseteq B_y \\ \bigoplus^y(c)_x & \text{else} \end{array} \right. .$$

We are interested in positions in space-time where the influence of the center cell is concentrated, whatever the initial configuration (see figure 1).

Definition 1 *F has the property* $\mathrm{Spot}[x, y, l, r]$ *for* $x \in \mathbb{Z}$ *and* $y, l, r \in \mathbb{N}$ *if*

- $F^y_{x,c}$ *is a bijection for all configurations c; and*
- $F^y_{z,c}$ *is a constant function for all c and all* $z \in [x - l; x + r] \setminus \{x\}$.

$\bigoplus$ thus fulfills $\mathrm{Spot}[x, y, l, r]$ if and only if, for any $z \in [x - l; x + r]$, $B_z \subseteq B_y$ is equivalent to $x = z$ (considering that "$B_z \subseteq B_y$" is a false statement when B_z is undefined).

Lemma 1 *If F has the property* $\mathrm{Spot}[x,y,l,r]$*, then* $F^y(\mathcal{Q}^{\mathbb{Z}})$ *contains all the words of size* $\max(l,r)+1$.

Proof: Let us suppose, without loss of generality, that l is no larger than r. Let $\bar{q}=(q_0,\ldots,q_r)\in\mathcal{Q}^{r+1}$. We are going to construct $c\in\mathcal{Q}^{\mathbb{Z}}$ such that $F^y(c)_{0,\ldots,r}=\bar{q}$. Start with an arbitrary $c\in\mathcal{Q}^{\mathbb{Z}}$. We can first modify c_{r-x} in such way that $F^y(c)_r=q_r$; then we can change c_{r-x-1}, on which $F^y(c)_r$ does not depend, so that $F^y(c)_{r-1}=q_{r-1}$; and so on, until we choose c_{-x}, on which $F(c)_{1,\ldots,r}$ does not depend, so that $F(c)_0=q_0$. □

For instance, $\bigoplus$ fulfills $\mathrm{Spot}[0,1,+\infty,0]$, which implies that it must be surjective.

Lemma 2 *Let $\mathcal{N}^y$ be the neighborhood of F^y. If F fulfills* $\mathrm{Spot}[x,y,l,r]$ *and* $\mathrm{Spot}[x',y',l',r']$ *with* $[x'-l';x'+r']+\mathcal{N}^{y'}\subseteq[-l;r]$*, then* $\mathrm{Spot}[x+x',y+y',l',r']$ *also holds.*

Proof: By definition of the neighborhood, $[x'-l';x'+r']+\mathcal{N}^{y'}\subseteq[-l;r]$ implies that $F^{y'}(c)_{[x'-l';x'+r']}$ is a function of $c_{[-l;r]}$. Applying that to $c=\sigma_{-x}\circ F^y(d)$, we get that the restriction of $F^{y+y'}(d)$ to $[x+x'-l';x+x'+r']$ is a function of $F^y(d)_{[x-l;x+r]}$. Thus we get:

- $F^{y+y'}(d)_{[x+x'-l';x+x'+r']\setminus\{x+x'\}}$ does not depend on d_0;
- $F^{y+y'}(d)_{x+x'}$ depends only on $F^y(d)_{[x-l;x+r]}$, which in turn, according to $\mathrm{Spot}[x,y,l,r]$, depends injectively on d_0.

□

The central idea of the paper is to study the set of parameters (x,y,l,r) for which the property $\mathrm{Spot}[x,y,l,r]$ holds, and use that set to obtain necessary conditions for simulations between cellular automata. However, we won't use the set of parameters directly because the simulation relation is invariant by space-time rescalings and this set is not. Instead we will look at 'scale-free' structures inside this set of parameters. More precisely, given some integer p, we look for infinite geometric progressions of order p in the set of parameters. Hence we obtain a kind of fingerprint for each CA which is well-behaved with respect to space-time transformations involved in the simulation relation (Theorem 1 below). Moreover, as shown by examples developed latter in this paper, this fingerprint is closely related to the self-similar structure observed in typical space-time of some linear CA. Technically, this is how the definition goes.

Definition 2 *For a CA F and an integer $p\geq 2$, we denote $X_p(F)$ the set of points $(x,y)\in\mathbb{R}\times[0;+\infty)$ such that for some $k\in\mathbb{N}$, for every large enough $n\in\mathbb{N}$, F fulfills* $\mathrm{Spot}[xp^n,yp^n,p^{n-k},p^{n-k}]$.

$X_2(\bigoplus)$ is for instance the set of points $(x,y)\in\mathbb{R}\times[0;+\infty)$ that can be written $x=\frac{a}{2^n}$ and $y=\frac{b}{2^n}$ with $a,b\in\mathbb{N}$ and $B_a\subseteq B_b$: its restriction to $\mathbb{R}\times[0;1]$ is the dyadic part of a (shifted) Sierpiński triangle.

It can be noted that X_p is necessarily of measure 0, and is self-similar, since by Lemma 2 every point of X_p is the tip of a small copy of X_p within itself. One can also notice that if F is not surjective, then $X_p(F)$ is reduced to the singleton $\{(0,0)\}$. Indeed, if $X_p(F)$ is not reduced to a singleton, then according to Lemma 1, the image of F contains every finite word, which implies, by compactness, that F is surjective.

We now detail, in a series of properties, how X_p is modified under the action of the transformations involved in the simulation of a CA by another. First, the shift. Let $\mathfrak{s}_z$ be the transformation of the plane defined by $\mathfrak{s}_z(x,y)=(x+zy,y)$. The following property is obvious, by definition of X_p.

Property 1 $X_p(\sigma_z \circ F) = \mathfrak{s}_z\left(X_p(F)\right)$.

Let us now consider iteration and grouping. Let $\mathfrak{g}_t$ be the transformation of the plane defined by $\mathfrak{g}_t(x, y) = \left(x, \frac{y}{t}\right)$: notice that $\mathfrak{g}_p\left(X_p(F)\right) = X_p(F)$. Let $\mathfrak{f}_m$ be the transformation of the plane defined by $f_m(x, y) = \left(\frac{x}{m}, y\right)$.

Property 2 *$X_p(F^t)$ is a dense subset of $\mathfrak{g}_t\left(X_p(F)\right)$.*

Proof: The inclusion is immediate from the definition. What might be slightly less immediate is why these sets are not obviously equal. Given the definition, $X_p(F)$ must be included in $\mathbb{R}_p^2$, where $\mathbb{R}_p$ is the set of real numbers having finite p-adic expansion. Actually, we do have $\mathfrak{g}_t\left(X_p(F)\right) \cap \mathbb{R}_p^2 = X_p(F^t)$, so the equality without the intersection is certainly true if $t \in \mathbb{R}_p$, not quite so in general. Let us now prove the density.

Let $(x, y) \in X_p(F)$. We want to find a sequence (x_n, y_n) of points of $X_p(F)$ converging to (x, y) such that for all n, $y_n \in t\mathbb{R}_p$. For a finite sequence of integers $0 = i_{n,0} < i_{n,1} < \ldots < i_{n,l}$ (l is a constant independent of n to be fixed later), we define $\eta_n = \sum_{j=0}^{l} p^{-i_{n,j}}$ and $(x_n, y_n) = \eta_n(x, y)$. We have three requirements:

- (x_n, y_n) must converge to (x, y): it is sufficient to have $\lim_{n \to +\infty} i_{n,1} = +\infty$
- (x_n, y_n) must be an element of $X_p(F)$. This is guaranteed as long as $i_{n,j+1} - i_{n,j}$ is always large enough. More precisely, by definition of X_p there exists some k such that for every large enough integer n, F fulfills $\mathrm{Spot}[xp^n, yp^n, p^{n-k}, p^{n-k}]$. Therefore, if $i_{n,l} - i_{n,l-1}$ is large enough (depending on k and the neighborhood of F), we get from Lemma 2 that $(1 + p^{-i_{n,l}+i_{n,l-1}})(x, y)$ is in $X_p(F)$. By recursion on l, we get ultimately $(x_n, y_n) \in X_p(F)$.
- y_n must be in $t\mathbb{R}_p$, which means the integer $p^{i_{n,l}} \sum_{j=0}^{l} p^{-i_{n,j}}$ must be a multiple of t.

So, it all boils down to finding increasing integer sequences $0 = i_0 < i_1 < \cdots < i_l$ where $i_{j+1} - i_j$ is arbitrary large, and such that t divides $p^{i_l} \sum_{j=0}^{l} p^{-i_j}$. That is clearly possible: the sequence of powers of p is ultimately periodic modulo t, so if we choose the i_j-s spaced by multiples of this period and $l = t$, we can easily meet the conditions. □

Property 3 *$X_p(b_m \circ F \circ b_m^{-1})$ is a dense subset of $\mathfrak{f}_m\left(X_p(F)\right)$.*

Proof: Let $G = b_m \circ F \circ b_m^{-1}$. Let $x \in \mathbb{Z}$ and $y, l, r \in \mathbb{N}$ with $l \geq 1$ and $r \geq 1$. First, it follows from definitions that, for any configuration c of F, $G^y_{x,b_m(c)}$ is constant if and only if, for all $z \in \{mx - m + 1, \cdots, mx + m - 1\}$, $F^y_{z,c}$ is constant. Moreover $G^y_{x,b_m(c)}$ bijective implies $F^y_{mx,c}$ bijective. This shows that if G has property $\mathrm{Spot}[x, y, l, r]$ then F has property $\mathrm{Spot}[mx, y, ml, mr]$.

Now suppose that F has property $\mathrm{Spot}[mx, y, ml, mr]$ and fix some configuration c of F. Then it is straightforward to check that $G^y_{x,b_m(c)}$ is bijective (because it sends each component of $\mathcal{Q}^m$ on itself) and $G^y_{z,b_m(c)}$ is constant for any $z \in [x - l; x + r] \setminus \{x\}$.

We have shown that F has property $\mathrm{Spot}[mx, y, ml, mr]$ if and only if G has property $\mathrm{Spot}[x, y, l, r]$. Thus we have

$$(x, y) \in X_p(G) \iff (mx, y) \in X_p(F).$$

This implies $X_p(G) \subseteq \mathfrak{f}_m\,(X_p(F))$. To prove the density, it is sufficient to prove that $X_p(F) \cap m\mathbb{R}_p$ is dense in $X_p(F)$ which can be done using the same argument as in the proof of property 2. □

It only remains to consider the case of the sub-automaton.

Property 4 *If $G \sqsubseteq F$ then $X_p(F) \subseteq X_p(G)$.*

Proof: It is straightforward to check that if F has property $\mathrm{Spot}[x, y, l, r]$ then so does G. The property follows. □

Properties 1, 2, 3 and 4 prove the following theorem.

Theorem 1 *If F simulates G, then there exist rational numbers β and $\alpha, \gamma > 0$ such that for every integer $p \geq 2$, $\pi_{\alpha,\beta,\gamma}(\overline{X_p(F)}) \subseteq \overline{X_p(G)}$, where $\pi_{\alpha,\beta,\gamma}(x, y) = (\alpha x + \beta y, \gamma y)$.*

The determination of X_p is not easy in general, but the following basic facts can be established straightforwardly from the definitions:

- if F is a shift, then $\overline{X_p(F)}$ is a line passing through the origin;
- if F is nilpotent (*i.e.* $\exists t$ s.t. F^t is a constant function), then $X_p(F) = \{(0, 0)\}$;
- $X_p(F \times G) = X_p(F) \cap X_p(G)$.

Theorem 1 above shows that $X_p(F)$ represent obstructions for F to simulate other CA: the bigger $X_p(F)$ is, the smaller the family of CA F can simulate. Using the basic facts above, we can give some concrete formulations of this intuition.

Corollary 1 *Let $p \geq 2$ be an integer and F a CA. Then we have:*

- *If F simulates the identity, then $\overline{X_p(F)}$ must be included in a line passing through the origin;*
- *If F is intrinsically universal, then $X_p(F) = \{(0, 0)\}$;*
- *If F is reversible universal (i.e. it can simulate any reversible CA), then $X_p(F) = \{(0, 0)\}$;*

Proof: All items use Theorem 1. Item 1 and 2 are direct consequences of the computation of X_p for the identity and nilpotent CA (an intrinsically universal CA must simulate any nilpotent CA). Item 3 uses the fact that a reversible universal CA must simulate $\sigma \times \sigma^{-1}$ whose X_p is a singleton. □

The purpose of the next section is to focus on a class of CA that generally have more interesting X_p: linear cellular automata.