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# remarks on algebraic decomposition of automata 

by
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# REMARKS ON ALGEBRAIC DECOMPOSITION OF AUTOMATA <br> by 

A. R. Meyer and C. Thompson


#### Abstract

A version of the Krohn-Rhodes decomposition theorem for finite automata is proved in which capabilities as well as semigroups are preserved. Another elementary proof of the usual Krohn-Rhodes theorem is also presented.


## 1. INTRODUCTION

The constructive half of Krohn and Rhodes' decomposition theorem for finite automata states that any finite automaton can be simulated by a cascade of reset and permutation automata. Moreover, the groups of the permutation automata in the cascade need only be simple groups which divide the semigroup of the original automaton. Assorted proofs of this theorem appear in $[1,2,3,4,5,7]$ and we include our own elementary proof in Section 5.

Our object in this paper is to supply the few extra steps necessary to prove a corrected version of a slightly stronger decomposition theorem stated by Hartmanis and Stearns [4]. This theorem appears in Section 3. In Section 4 we exhibit a counter-example to the theorem as originally stated by Hartmanis and Stearns, and briefly consider cascades of thalf. reset" automata.

## 2. PRELIMINARIES

Our notation follows Gịnzburg [3]. In particular, function arguments appear on the left (so that $x f$ is the value of function $f$ at argument $x$ ). Composition of functions is designated by concatenation, with the leftmost function understood to apply first (so that $x f g=(x f) g$ ). Fow a function $f$ and set $S$, the restriction of $f$ to $S$ is $f \mid S$. The cardinality of $S$ is $|S|$. We use "C" to mean improper inclusion. For a set $S$ and family of of functions with domains including $S, S_{\mathscr{E}}^{\sigma}$ is $\{s f \mid s \in S, f \in \mathscr{\mathcal { L }}\}$. As usual, "s毛" means $\{s\}^{\sigma} \neq$ and "Sf" means $S\{f\}$.

A semiautomaton (or state machine) A consists of a finite set $Q^{A}$ (of states), a finite set $\Sigma^{A}$ (of inputs), and a set of (transition) functions from $Q^{A}$ into $Q^{A}$ indexed by $\Sigma^{A}$. The function from $Q^{A}$ into $Q^{A}$ indexed by $\sigma \in \Sigma^{A}$ is $\sigma$. When the context is unambiguous, we shall frequently omit superscripts and identify $\sigma$ with $\sigma$. .

Let $A$ and $B$ be semiautomata. $B$ is a subautomaton of $A$ iff $\Sigma^{B} \subset \Sigma^{A}$, $Q^{B} \subset Q^{A}$ and $\sigma^{B}=\sigma^{A} / Q^{B}$ for each $\sigma \in \Sigma^{B}$. $A$ subautomaton $B$ of $A$ is nontrivial if $\Sigma^{B}=\Sigma^{A}$ and $\left|Q^{A}\right|>\left|Q^{B}\right|>1$. $B$ is an image of $A$ if there are functions $\eta: Q^{A} \rightarrow Q^{B}$ and $\xi: \Sigma^{B} \rightarrow \Sigma^{A}$ such that $\eta$ is onto and $\eta \sigma^{B}=(\sigma \xi)^{A} \eta$ for each $\sigma \in \Sigma^{B}$. The function $\eta$ is then called a homomorphism from $A$ (on)to $B$. $A$ covers $B$, in symbols " $A \geq B^{\prime \prime}$, iff $B$ is an image of a subautomaton of $A$. Covering is transitive. $A$ and $B$ are equivalent iff $A \geq B$ and $B \geq A$.

A partition $\pi$ of $Q^{A}$ is an admissible partition of $A$ iff for every $X \in \pi$ and $\sigma \in \Sigma^{A}$, there is a $Y \in \pi$ such that $X_{\sigma} \subset Y$. The quotient semiautomaton $A / \pi$ (defined for admissible $\pi$ ) has state set $\pi$, inputs $\Sigma^{A}$, and transitions given by: $X_{\sigma} A / \pi=Y$ where $Y$ is the (necessarily unique) element of $\pi$ such that $X_{\sigma} \subset Y$. The semiautomaton $A / \pi$ is an image of $A$.

Given a (connecting) function $\omega: Q^{A} \times \Sigma^{A} \rightarrow \Sigma^{B}$, the cascade product ${ }^{(A O B)_{\omega}}$ is the semiautomaton with state set $Q^{A} \times Q^{B}$, inputs $\Sigma^{A}$, and transitions given by: $(p, q)_{\sigma}=(p \sigma, q((p, \sigma) \omega))$ for $(p, q) \in Q^{A} \times Q^{B}$ and $\sigma \in \Sigma^{A}$. We usually suppress mention of the connecting function and simply write " $A O B$ ". Cascade product is associative in the sense that given ( $A O B$ ) $O C$, there is an equivalent semiautomaton $A O\left(B^{\circ} C\right)$. A cascade product of a sequence of three or more semiautomata is any parenthesization of the sequence into a cascade product of pairs of semiautomata.

If $B \geq D$, then for every connecting function $\omega$ there is a connecting function $\omega^{\prime}$ such that $(A O B)_{\omega}, \geq(A O D)_{\omega}$. Similarly, if $A \geq C$, there is an $A^{\prime}$ equivalent to $A$ such that $A^{\prime} O B \geq C O B$.

A is a permutation semiautomaton iff every $\sigma \in \Sigma^{A}$ is a permutation of $Q^{A}$. A is a reset iff every $\sigma \in \Sigma^{A}$ is a constant or identity function on $Q^{A}$; constant functions are also called resets. A is an fdentity semfautomaton iff every $\sigma \in \Sigma^{A}$ is the identity on $Q^{A}$.

We assume the reader is familiar with the elementary facts about groups and semigroups. Let $S$ and $T$ be semigroups. $S$ is a subgroup of $T$ Iff $S$ is a subsemigroup of $T$, and $S$ is (abstractly isomorphic to) a group. $S$ divides $T$, in symbols " $\mathrm{S} \mid \mathrm{T}$ "; iff S is a homomorphic image of a subsemigroup of T. Division is transitive. " $T \rightarrow S^{\prime \prime}$ means $S$ is a homomorphic image of $T$, and " $\mathrm{S}=\mathrm{T}$ " means S and T are isomorphic. Most of the semigroups in this paper are transformation semigroups, but we use " $\rightarrow$ " and " $=$ " to mean homomorphism and isomorphism of abstract semigroups (though it will usually be clear when an abstract homomorphism is actually a transformation homomorphism). When $T$ is a group, " $\mathrm{S} \varangle \mathrm{T}$ " means S is a normal subgroup.

The semigroup of a semiautomaton $A$ is the transformation semigroup generated by $\left\{\sigma^{A} \mid \sigma \in \Sigma^{A}\right\}$ under composition. The monoid $G^{A}$ is the semigroup of $A$ with $\Lambda^{A}$, the identity on $Q^{A}$, added if it is not already in the semigroup. If $A \geq B$, then $G^{B} \mid G$. The converse is not true. $A$ is an identity semiautomaton iff $\left|G^{A}\right|=1$. A. j.s a permutation semiautomaton iff $G^{A}$ is a group. Corresponding statements with the semigroup of $A$ in place of $G^{A}$ are not true.

## 3. THE DECOMPOSITION THEOREM

The following version of Krohn and Rhodes decomposition theorem is proved in [2, 3, 4, 7].

Theorem 1. For any semiautomaton $A$, there is a cascade product of semiautomata $A_{1}, A_{2}, \ldots, A_{n}$ which covers $A$ such that for $a 11 \cdot i(1 \leq i \leq n)$ either
(1) $G^{A} i$ is a simple group* ${ }^{*}$, and $G^{A} \mid G^{A}$,
or (2) $A_{i}$ is a two-state reset.
Moreover, if $G^{A}$ is a group, those $A_{i}$ which are resets will actually be identity semiatutomata.

The components $A_{i}$ of the cascade covering $A$ are no more complicated than $A$, insofar as semigroups reflect the complexity of semiautomata. On the other hand, Theorem 1 does not prohibit the $A_{i}$ from being larger than A, and in fact the usual decomposition techniques applied to a five state machine whose semigroup consists of resets and the alternating group of degree five yields an $A_{i}$ with sixty states. The following theorem eliminates this flaw.
We remind the reader that $A_{i}$ is a permutation semiautomaton iff $G{ }^{A_{i}}$ is a group.

Definition. Let $A$ be a semiautomaton. The completion of $A$ is the semiautomaton $\bar{A}$ such that $Q^{\bar{A}}=Q^{A}, \Sigma^{\bar{A}}=G^{A}$, and for $g \in G^{A}, g^{\bar{A}}=\mathrm{df} . g$.

Theorem 2. Theorem 1 is true when (1) is replaced by
(1') $G^{A_{i}}$ is a simple group, and $\widetilde{A} \geq A_{i}$.
Clearly $G^{\bar{A}}=G^{A}$, and since $A \geq B$ implies $G^{B} \mid G^{A}$, we observe that Theorem 2 implies Theorem 1.

We take Theorem 1 as our starting point, and prove Theorem 2 from the following lemmas.

Lemma 1. Let $C$ be a semiautomaton such that $G^{C}$ is a group and $N \triangleleft G$. Let $\pi=\left\{q N \mid q \in Q^{C}\right\}$. $\pi$ is an admissible partition and $G^{C} / N \rightarrow G^{C / \pi}$.

Proof: The elements of $\pi$ are the orbits of $Q^{C}$ under the group of transformations $N$, and so $\pi$ is clearly a partition of $Q^{C}$. Moreover, $\pi$ is admissible: $N g=g N$ for all $g \in G^{C}$ since $N$ is normal, and so for all $q N \in \pi$ it follows that $(q N) g=q(N g)=q(g N)=(q g) N \in \pi$. Observe that the elements of $G C / \pi$ are simply the elements of $G C$ acting on $\pi$. Hence, $G^{C} \rightarrow G^{C / \pi}$ and $N$ is trivially included in the kernel of the homomorphism; therefoxe, $G / \mathrm{C} \rightarrow \mathrm{G}^{\mathrm{C} / \pi}$.
Q.E.D.

Lemma 2. Let $A$ be a semiautomaton such that $H$ is a simple group and $H \mid G^{A}$. there is a semiautomaton $B$ such that $\bar{A} \geq B$ and $G^{B}=H$.

Proof: It is easy to show (cf. Ginzburg [3], section 1.16) that if a group divides a semigroup, then the group is actually a homomorphic image of a subgroup of the semigroup. Let $K$ be a subgroup of $G^{A}$ of minimum size such that $K \rightarrow H$, and let $N \triangleleft K$ be the kernel of the homomorphism, Let
$C$ be the subautomaton of $\bar{A}$ such that $Q^{C}=Q^{A} K$ and $\Sigma^{C}=K$. Then $G^{C}=K$ (as the reader may verify) ${ }^{*}$ and by Lemma $1, \pi=\left\{q N \mid q \in Q^{C}\right\}$ is an admissible partition of $C$. Finaily, let $B=C / \pi$.

Clearly, $\bar{A} \geq B$.
Lema 1 also implies that $G^{C} / N \rightarrow G^{B}$. But $G^{C} / N=K / N=H$, and $H$ is simple, so that if $\left|G^{B}\right| \neq 1$, it must be that $G^{B}=H$ as required.

On the other hand, suppose $\left|G^{B}\right|=1$. Then every element of $K=G{ }^{C}$ acts as an identity on $\pi$, viz., ( $q N) k=q N$ for every $k \in K$ and $q N \in \pi$. For $q \in Q^{C}$, let $K_{q}=\{k \in K \mid q k=q\}$. Since $q \in q^{N}=q N k$ for $q \in Q^{C}$ it follows that $K_{q}$ intersects every coset of $N$ in $K$, and so the restriction to $\mathrm{K}_{\mathrm{q}}$ of the canonical homomorphism from K onto $\mathrm{K} / \mathrm{N}$ is also onto. There. fore, $\mathrm{K}_{\mathrm{q}} \rightarrow \mathrm{K} / \mathrm{N}=\mathrm{H}$ (obviously $\mathrm{K}_{\mathrm{q}}$ is a group), and since K is of minimum size, $K=K_{q}$ for all $q \in Q^{C}$. But this implies $K=\left\{\Lambda^{C}\right\}$, which is absurd, since $H$ is a non-trivial image of $K$.
Q.E.D.

Lemma 3. If $A$ and $B$ are semiautomata such that $G^{A}=G^{B}$, then there is cascade product of copies of $\bar{B}$ and an identity semiautomaton which covers $A$.

Proof: For convenience assume $Q^{B}=\{1,2, \ldots, n\}$. The cascade covering $A$ will consist of an identity machine with state set $Q^{A}$ and $n$ copies of $\bar{B}$, all acting in parallei. For $q_{0} \in Q^{A}, q_{i} \in Q^{B}, 1 \leq i \leq n$, and $g \in G^{B}$, the transitions in the cascade are defined by $\left(q_{0}, q_{1}, \ldots, q_{n}\right) g=\left(q_{0}, q_{1} g, \ldots, q_{n} g\right)$. The states $q_{i} \in Q^{B}$ uniquely determine a function $f: Q^{B} \rightarrow Q^{B}$ by the condition $f(i)=q_{i}, 1 \leq i \leq n$. If it happens that $f \in G^{B}$, the state $q_{0} f \in Q^{A}$ is also uniquely determined by the isomorphism between $G^{B}$ and $G^{A}$.

The states of the cascade wich determine functions $f \in G^{B}$ obviously form a subautomaton of the cascade, and the mapping of $\left\langle q_{0}, q_{1}, \ldots, q_{n}\right\rangle$ to \#his is not quife immediate, since one must argue that the identity of K restricted to $Q$ is actually $\Lambda$.
$q_{0} f$ defines a homomorphism from this subautomaton onto $\bar{A}$ (and hence onto A), as is easily verified.
Q.E.D.

Lemma 3 emphasizes the difficulty in interpreting the Krohn-Rhodes theorem as a "prime" decomposition theorem for machines (as opposed to semigroups). We might tentatively define $A$ to be prime if (1) $G^{A}$ is simple, and (2) $\bar{A} \geq B$ implies either $\bar{B} \geq A$ or $G^{B} \neq G^{A}$.

There will then be prime machines for the same simple group wich are incomparable under covering. Lemma 3 then leads to the unsatisfactory situation that one prime divides (is covered by) a power (cascade product of copies) of another prime.

The proof of Theorem 2 is now straightforward. Each $A_{i}$ such that $G{ }_{i}$ is a simple group can be covered according to Lemma 3 by a cascade of copies of $\bar{B}$ and an identity semiautomaton, for any $B$ such that $G=G^{B}{ }^{A}$. Since $G^{A} \mid G^{A}$, Lemma 2 implies that such an automaton $B$ can be found for which $\bar{A} \geq B$ (and hence $\bar{A} \geq \bar{B}$ ). The identity semiautomata which are introduced can trivially be replaced by cascades of two-state identity semiautomata, and the proof is complete.

Hartmanis and Stearns' notion "A has the capability of B" is equivalent to " $\bar{A} \geq B$ ". Theorem 2 above is thus a restatement of Theorem 7.10 of Hartmanis and Stearns [4], except that their Theorem 7.10 makes the additional assertion that $\bar{A} \geq A_{i}$ even when $A_{i}$ is a reset. This is false, as we show in the next section.

## 4. HALF-RESETS

Let $R_{0}$ be the semiautomation whose state set and input set equals $\{0,1\}$, and whose transitions are given by ordinary multiplication. Any semiautomaton covered by $R_{0}$ will be called a half-reset. Except for permutation semiautomata, every semiautomaton has the capability of $R_{0}$. Definition. Let $A$ be a semiautomaton, $p, q \in Q^{A}$. Then $q$ is accessible from $p$ iff $q=p g$ for some $g \in G^{A}$. A is partially ordered ( $p$. o ) iff accessibility is a partial order on $Q^{A}$.
$R_{0}$ is trivially p.o., and it is easy to show that if $A$ is p.o. and $A \geq B$, then $B$ is p.o. Likewise, if $A$ and $B$ are p.o., so is $A O B$. Conversely, if A is p.o. (and not already a half-reset), then A has a nontrivial subautomaton which is a half-reset. We let the reader convince himself that A can then be covered by a p.o. semiautomaton with one fewer state followed by a half-reset (cf., Method I of Section 5). In short, we have

Theorem 4. A semiautomaton is covered by a cascade of half-resets if and only if it is partially ordered.

The regular events associated with p.o. semiautomata are obviously finite unions of events of the form $" F_{1}^{*} \sigma_{1} F_{2}^{*} \sigma_{2} \ldots F_{n}^{*}$ " such that $F_{i}$ is a finite set of input symbols and $\sigma_{i} \notin \mathrm{~F}_{i}(1 \leq i \leq n)$. These events form $a$ Boolean algebra, and can also be characterized by an inductive definition resembling that of the star-free events [6]. One can also define partially ordered semigroups in the obvious way, and conclude that $A$ is p.o. iff $G^{A}$ is p.o.

Consider a semiautomaton $A$ with state set $\{1,2,3\}$ and inputs $x$ and $y$ such that $1 \mathrm{x}=2,2 \mathrm{y}=1$ and the remaining transitions lead to 3 . No nontrivial groups divide $G^{A}$, so in the decomposition of A satisfying Theorem 2, only two-state resets appear. By Theorem 4, not all of these two-state resets can be half-resets (because states 1 and 2 are mutually accessible, viz., A is not p.o.). But the only two-state resets covered by $\bar{A}$ are half-resets (as can be verified by exhaustion), and so $A$ cannot have the capability of all the components in its decomposition.

## 5. PROOF OF THEOREM 1

There are at least three elementary proofs of Theorem 1 in the literature:
Ginzburg's [3] corrected version of Zeiger's proof using set systems or covers, Arbib's [2] version of Krohn-Rhodes' proof, and the elegant proof of Zeiger [7]. Nevertheless, none of these proofs are very simple, ${ }^{*}$ and so we feel another proof may still be of interest. Readers familiar with the other proofs will note that our method $I$ is essentially dual to that of Zeiger [7], and our Method III is almost the same as that of Arbib [2].

The following lemma appears in $[2,3,4]$ and we shall not repeat the proof.

The proof of Zeiger [7] is given in only two and a half pages, and separates non-permutation semiautomata into only two cases. Unfortunately, Zeiger's remark that his method applies to permutation-reset semiautomata is false, as can be seen by applying it to any permutation-reset semiautomaton. Moreover, a semiautomaton with state set $\{1,2,3\}$, reset inputs to each state, and an additional input leaving states 1 and 2 fixed and sending state 2 to state 3 is a counter-example to Zeiger's assertion that his second method reduces the number of non-permutation, non-reset elements. This counter-example invalidates the proof that his method terminates. When these errors are corrected, Zeiger's proof turns out to be no simpler than ours.

Lemma 4. Let $A$ be a permutation semiautomaton. A can be covered by a cascade of two-state identity semiautomata and permutation semiautomata whose monolds are the factor groups in a composition series for $G^{A}$ (and hence are simple groups dividing $G^{A}$ ).

We refer to permutation semiautomata and two state resets as basic. Theorem 1 follows immediately from Lemma 4 and

Theorem 5. For any semiautomaton $A$, there is a cascade product of basic semiautomata $A_{1}, A_{2}, \ldots, A_{n}$ which covers $A$ such that for all $i(1 \leq i \leq n)$, if $G^{A}$ is a group, then $G^{A_{i}} \mid G^{A}$.

A natural way to prove Theorem 5 is to show that any semiautomaton can be covered by a product of two "smaller" semiautomata, and then use induction. (A disadvantage of the proof using set systems [3,4] is that it does not conform to this description.) The proper interpretation of "smaller" is necessarily a little devious.

Definition. For any transformation monoid $S, \underline{N(S)}$ is the submonoid genexated by the nonconstant (i.e., non-reset) elements of S. For any semiautomation $A$, the measure of $A$ is the triple of positive integers $\mu(A) \stackrel{\text { df. }}{=}\left(\left|N\left(G^{A}\right)\right|,\left|Q^{A}\right|,\left|G^{A}\right|\right)$.

Measures will be well-ordered lexicographically in the usual manner:

Definition. If $x=\left(x_{1}, x_{2}, x_{3}\right)$ and $y=\left(y_{1}, y_{2}, y_{3}\right)$ are triples of integers, then $x \geq y$ iff $x_{1}>y_{1}$, or, $x_{1}=y_{1}$ and $x_{2}>y_{2}$, or, $x_{1}=y_{1}$ and $x_{2}=y_{2}$ and $x_{3}>y_{3}$.

By convention, $N(S)=$ the identity when $S$ acts on a singleton.

Lemma 5. For any semiautomaton $A$, which is not basic, there are semiautomata $B$ and $C$ such that
(1) $B O C \geq A$,
(2) $N\left(G^{B}\right) \mid G^{A}$, and either $\mu(B)<\mu(A)$ or $B$ is basic,
(3) $N\left(G^{C}\right) \mid G^{A}$ and $\mu(C)<\mu(A)$.

Proof of Theorem 5: Let $A$ be a semiautomaton. If $A$ is basic (and in particular if $\mu(A)=(1,1,1)$ is minimum), then Theorem 5 is true trivially. Proceeding by (transfinite) induction, suppose Theorem 5 is true for all semiautomata with measures smaller than $\mu(A)$. Theorem 5 is then true by hypothesis for the semiautomata $B$ and $C$ produced by Lemma 5. Let $B_{i}, 1 \leq i \leq n$, be the basic semiautomata in the cascade covering of $B$, and likewise for $C_{i}, \quad 1 \leq i \leq m$. Since $B O C \geq A$, a cascade of the $B_{i}$ (or semiautomata equiva. lent to the $B_{i}$ ) followed by the $C_{i}$ covers $A$. Suppose $G{ }^{B_{i}}$ is a group; then $G^{B}{ }^{B} \mid G^{B}$. But if a group $G$ divides a transformation monoid $S$, then it must be that $G \mid N(S)$. Hence, $G^{B}{ }^{B} \mid N\left(G^{B}\right)$, by Lemma $5 N\left(G^{B}\right) \mid G^{A}$, and, by transitivity $\mathbf{G}^{B}{ }^{B} \mid G^{A}$. The same reasoning applies to the $C_{i}$, and it follows that Theorem 5 is true for $A$.
Q.E.D.

Proof of Lemma 5: We describe three decomposition methods, one of which will yield appropriate $B$ and $C$ for any semiautomaton $A$ which is not basic.

Definition. For any semiautomaton $A$, let $N(A)$ be the subautomaton of $A$ obtained by eliminating all reset inputs from $\Sigma^{A}$.

Method I. $N(A)$ has a non-trivial subautomaton.

Let $Q^{C}$ equal the states of the non-trivial subautomaton of $N(A)$, and let $Q^{B}=\left(Q^{A}-Q^{C}\right) \cup\{d\}$ for $d \notin Q^{A}$. Transitions in $B O C$ are given by:

$$
(b, c) \sigma= \begin{cases}(b, c) & \text { if } b \neq d \text { and } b \sigma \notin Q^{c}, \\ (d, b \sigma) & \text { if } b \neq d \text { and } b \sigma \in Q^{c}, \\ (r, c) & \text { if } \sigma \text { is a reset to } r \in Q^{A}-Q^{C} . \\ (b, c \sigma) & \text { otherwise }\end{cases}
$$

Since $Q^{C}$ is the state set of a subautomaton of $N(A)$, it is closed under non-reset inputs. Hence the fourth clause only applies when $b=d$ and $c \sigma \in Q^{C}$, so the transitions of $B O C$ are well defined.

When $b \neq d$ map $(b, c)$ to $b$, and when $b=d$ map $(b, c)$ to $c$. This mapping defines a homomorphism from $B O C$ onto $A$ (as is immediately verified by checking the four types of transitions in $\mathrm{B}^{\circ} \mathrm{C}$ ), so part (1) of the lemma is satisfied.

Note that the singletons in $Q^{A}-Q^{C}$ together with $Q^{C}$ form an admissible partition $\pi$ of $A$, and that $A / \pi$ is isomorphic to $B$. We conclude that $G^{A} \rightarrow G^{B}$ and that $N\left(G^{B}\right) \mid G^{A}$. Moreover, $\left|Q^{B}\right|=\left|Q^{A}-Q^{C}\right|+1<\left|Q^{A}\right|$ since the subautomaton on $Q^{C}$ is non-trivial. This guarantees that part (2) is satisfied.

The only non-identity, non-reset transitions in $G$ arise from the fourth clause in the definition of transitions of $\mathrm{BOC}^{\circ}$. It follows that $N\left(G^{C}\right)=\left\{g\left|Q^{C}\right| g \in N\left(G^{A}\right)\right\}$. Hence $N\left(G^{A}\right) \rightarrow N\left(G^{C}\right)$, and since $\left|Q^{C}\right|<\left|Q^{A}\right|$, part (3) is satisfied.

Method II. $G^{\text {A }}$ contains a non-identity permutation.

Let $P$ be the subgroup of $G^{A}$ generated by the permutations, and $T$ the subsemigroup generated by $G^{A}-$ P. Note that $T \neq \emptyset$ (otherwise $G^{A}$ is a group and $A$ is basic), and that $T$ is trivially a (two-sided) ideal. Let $Q^{B}=P$, and $Q^{C}=Q^{A}$. Transitions in $B O C$ are given by:

$$
(p, q)_{\sigma}= \begin{cases}(p \sigma, q) & \text { if } \sigma \in P \\ \left(p, q p \sigma p^{-1}\right) & \text { if } \sigma \in T\end{cases}
$$

Since $G^{A}$ is the disjoint union of $P$ and $T$, the transitions of $B O C$ are well defined. Mapping ( $p, q$ ) to $q$ defines a homomorphism from boc onto $A$.

Clearly $G^{B}=P$, so $N\left(G^{B}\right) \mid G^{A}$ and $B$ is basj.c. Likewise $G^{C}=T U\left\{\Lambda C^{C}\right\}$, so $N\left(G^{C}\right) \mid G^{A}$ and $N\left(G^{C}\right)$ does not contain the non-identity permutation in $N\left(G^{A}\right)$. Therefore, $\mu(C)<\mu(A)$.

Method III. $G^{A}=V U T$ where $V$ is a subsemigroup such that $|N(V)|<\left|N\left(G^{A}\right)\right|$, and $T$ is a proper left ideal of $G^{A}-\{\Lambda\}$.

Let $Q^{B}=V$ and $Q^{C}=Q^{A}$. Transitions in BoC are given by:

$$
(v, q)_{\sigma}= \begin{cases}(v \sigma, q) & \text { if } \sigma \in V-T \\ (\Lambda, q v \sigma) & \text { if } \sigma \in T\end{cases}
$$

Note that $\Lambda \notin T$ (and hence $\Lambda \in V$ ) since $T$ is proper, and so the transitions in $B O C$ are well defined. Mapping $(v, q)$ to $q v$ defines a homomorphism from BOC onto $A$.

Clearly $G^{C}=T \cup\{\Lambda\}$, so $G^{C} \mid G^{A}$. Moreover, $Q^{C}=Q^{A}$ and $\left|G^{C}\right|<\left|G^{A}\right|$ since $T$ is proper. Hence, $\mu(C)<\mu(A)$.

Note that $N\left(G^{B}\right)$ is a submonoid (generated by $V-T$ ) of $V$ acting on itself by right multiplication, and so $N\left(G^{B}\right) \mid V$. Moreover, any $r \in V$ which is a reset (on $Q^{A}$ ) is certainly a reset when $V$ acts on itself. Therefore, $N\left(G^{B}\right)$ is isomorphic to a submonoid of $N(V)$, and we actually have $N\left(G^{B}\right) \mid N(V)$. In particualr, $\left|N\left(G^{B}\right)\right| \leq|N(V)|$. By hypothesis, $|N(V)|<\left|N\left(G^{A}\right)\right|$, so $\mu(B)<\mu(A)$.

Let A be a semiautomaton such that neither method I nor method II applies to $A$ and A is not basic. We claim that method III applies to A, which completes the proof of Lemma 5.

To verify the claim, let $S=G^{A}-\{\Lambda\}$. $S$ is a subsemigroup because $G^{A}$ contains no non-identity permutations. There is a non-reset element $s \in S$ (otherwise $A$ is a reset and method $I$ applies). If $G^{A} s U\{r e s e t s\}=S$, then $N(A)$ has a non-trivial subautomaton on the states in the range of $s$, and method $I$ applies. Therefore $G^{A} s \cup\{$ resets $\} \neq S$, and in particular $S$ has proper left ideals (e.g., G ${ }^{\mathrm{A}}$ ).

Let $T$ be a maximal left ideal of $S$, and let $V=G^{A} x U\{\Lambda\}$ for any $x \in S-T$. Then $(V-\{\Lambda\}) \cup T$ is a left ideal of $S$ properly containing $T$, which implies $(V-\{\Lambda\}) \cup T=S$ and $V U T=G^{A}$. If $X=S$, we have observed that $V \cup\{$ resets $\} \neq G^{A}$, and so $|N(V)|<\left|N\left(G^{A}\right)\right|$. Alternatively, if $T$ contains every non-reset $s \in S$, then $x$ is a reset, hence $G^{A} x$ contains only resets and $|N(V)|=1<\left|N\left(G^{A}\right)\right|$. Q.E.D.

There are usually many ways to decompose a semiautomaton into two semiautomata with smaller measures, and it is far from clear which choices ultimately yield the most satisfactory decomposition into basic semiautomata. It may even be desirable at times to cover a semiautomaton with semiautomata which have larger measures (but which presumably are "smaller" in some more general sense).

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13. ABSTRACT

A version of the Krohn-Rhodes decomposition theorem for finite automata is proved in which capabilities as well as semigroups are preserved. Another elementary proof of the usual Krohn-Rhodes theorem is also presented.
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