

EXTENDING PARTIAL ISOMORPHISMS ON FINITE STRUCTURES

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We prove the following theorem:

Let A be a finite structure in a fixed finite relational language, p_1, \dots, p_m partial isomorphisms of A . Then there exists a finite structure B , and automorphisms f_i of B extending the p_i 's. This theorem can be used to prove the small index property for the random structure in this language. A special case of this theorem is, if A and B are hypergraphs. In addition we prove the theorem for the case of triangle free graphs.

Definition. Let L be a fixed finite relational language. Let \mathcal{K} be a class of finite L -structures closed under substructures and isomorphisms and satisfying the Amalgamation Property (and the Joint Embedding Property): For all A, B and $C \in \mathcal{K}$ (A possibly empty) with $A \subset B$ (A substructure of B) and $A \subset C$, there exists a finite L -structure $D \in \mathcal{K}$, $A \subset D$, and embeddings $f: B \rightarrow D$ and $g: C \rightarrow D$ extending the identity on A . Up to isomorphism there is a unique countable structure M such that every finite substructure of M is in \mathcal{K} and for all $A, B \in \mathcal{K}$ with $A \subset B$ and $A \subset M$, there exists an embedding of B into M extending the identity on A (see e.g. [1]). M is called the (countable) *universal homogeneous \mathcal{K} -structure*. If \mathcal{K} is the class of all finite L -structures (resp. all finite graphs), M is also called the *random L -structure* (resp. random graph).

In [3] the small index property (SIP) is proved for ω -stable, ω -categorical countable structures and for the random graph. The key notion there is the notion of a generic sequence of automorphisms (of the structure under consideration). In the proof of the SIP for the random graph the following theorem of Hrushovski [2] is needed:

Let A be a finite graph, p_1, \dots, p_m partial isomorphisms of A . Then there exists a finite graph B , and automorphisms f_1, \dots, f_m of B extending p_1, \dots, p_m .

This theorem is used to prove that the set of “generic” (in the sense of [3]) n -tuples of automorphisms is comeager in G^n ($G = \text{Aut}(M)$ with the usual topology), this again is used to prove SIP for the random graph M .

We extend Hrushovski's Theorem to an arbitrary finite relational language L answering a question in his paper [2], and also to the case of the triangle free graph. Our proofs use basically the same ideas as Hrushovski's proof, nevertheless the arguments in Theorem 2 are more intricate. The generalization to an arbitrary L also yields that one can find the domain of B and the f_i 's only depending on the

domain of A and the p_i 's and not depending on the structure on A . The arguments in [3] and our theorems suffice to prove the small index property for the random relational L -structure (and for the homogeneous triangle free graph).

We first treat the (easier) case of the triangle free graph.

Definition. Let A be a graph. I.e. there is given a binary symmetric irreflexiv relation K on A . For $a \in A$ denote by $N_A(a)$ the set of all neighbours of a in A : $N_A(a) := \{b \in A \mid aKb\}$. A subset B of A is called *edge free* if there is no edge in A connecting two points in B . Note that the graph A is triangle free iff for all $a \in A$ $N_A(a)$ is edge free.

A *type*¹ over A is a set d of formulas of the form xKa or $\neg xKa$ ($a \in A$) such that for any $a \in A$: $xKa \notin d$ iff $\neg xKa \in d$. We say that a point b (of a supergraph $B \supset A$) *realizes* the type

$$d = \{xKa \mid a \in A, bKa\} \cup \{\neg xKa \mid a \in A, \text{ not } bKa\}$$

over A ; d is the type of the point b over A . In our case (the case of graphs) a type d is determined by a subset of A , namely the set $\{a \in A \mid xKa \in d\}$, the set of neighbours of a point realizing d .

Notation. Let p_1, \dots, p_m be the partial isomorphisms under consideration. Throughout the paper, D_i will denote the domain of p_i , R_i the range. We always suppose that for $1 \leq i \leq m$: $p_i^{-1} \in \{p_1, \dots, p_m\}$.

Lemma 1. Let A be a finite triangle free graph. Let p_1, \dots, p_m be partial isomorphisms on A . Then there exists a finite triangle free graph B , $A \subset B$ and automorphisms f_i on B extending p_i ($1 \leq i \leq m$).

Proof. The type realizing step:

A type of a point over A is determined by its set of neighbours in A , i.e. by an edge free subset B of A . For $j \in \omega$ let $F_j := \{E \mid E \subset A, E \text{ edge free, } |E| = j\}$. Let $r := \max\{j \mid F_j \neq \emptyset\}$. For $E \in F_r$ define $s_E := |\{b \in A \mid N_A(b) = E\}|$ and $s_0 := \max\{s_E \mid E \in F_r\}$. Find a finite triangle free graph A_0 , with $A \subset A_0$ such that for every $E \subset A$, $E \in F_r$: $|\{b \in A_0 \mid N_{A_0}(b) = E\}| = s_0$. This can be done by adding points "with type E over A " until the number s_0 is reached.

Now let A_n ($n < r$) be already defined and numbers s_0, \dots, s_n be determined such that for $0 \leq i \leq n$ and $E \subset A$, $E \in F_{r-i}$: $|\{b \in A_n \mid N_{A_n}(b) \supset E\}| = s_i$. Define for $E \in F_{r-(n+1)}$

$$s_E := |\{b \in A_n \mid N_{A_n}(b) \supset E\}|$$

and

$$s_{n+1} := \max\{s_E \mid E \in F_{r-(n+1)}\}.$$

Find a triangle free finite graph $A_{n+1} \supset A_n$ such that for $E \subset A$, $E \in F_{r-(n+1)}$: $|\{b \in A_{n+1} \mid N_{A_{n+1}}(b) \supset E\}| = s_{n+1}$ without destroying this condition for $0 \leq i \leq n$. This can be done by adding for every $E \in F_{r-(n+1)}$ sufficiently many new points b with $N_{A_{n+1}}(b) = E$.

¹ This notion of type differs from the one used in mathematical logic. It would rather be called a $\{xKy\}$ -type or quantifier free type without equality

Now let $C := A_r$. So for $E \in F_{r-i}$ ($1 \leq i \leq r$) we have $|\{b \in C \mid N_A(b) \supset E\}| = s_i$. We want to prove that any partial isomorphism p of A , $p: D \rightarrow R$ has an extension to a bijection $h: C \rightarrow C$, such that whenever $a \in D$ and $c \in C$ such that aKc , then $a^p K c^h$; i.e. the neighbours of a are mapped under h to the neighbours of a^p . We only have to show that for $E_0 \subset D$, E_0 edge free (say $|E_0| = r - i$): $|\{s \in C \mid N_A(s) \cap D = E_0\}| = |\{s \in C \mid N_A(s) \cap R = E_0^p\}|$ (because then we can choose h restricted to the first set to be any bijection onto the second set extending p restricted to the first set. Note that every point which is in D and in the first set is mapped by p to a point which is in the second set. Here we need that p is a partial isomorphism).

We prove the equality by induction on i . Let E_1, \dots, E_k be the sets E' with $E_0 \subsetneq E' \subset D$, E' edge free (possibly $k=0$). These sets are mapped under p to the sets R' with $p(E_0) \subsetneq R' \subset R$, R' edge free. From the induction hypothesis and the choice of C follows:

$$\begin{aligned} & |\{b \in C \mid N_A(b) \cap D = E_0\}| = \\ & |\{b \in C \mid N_A(b) \supset E_0\}| - \sum_{i=1}^k |\{b \in C \mid N_A(b) \cap D = E_i\}| = \\ & |\{b \in C \mid N_A(b) \supset E_0^p\}| - \sum_{i=1}^k |\{b \in C \mid N_A(b) \cap R = E_i^p\}| = \\ & |\{b \in C \mid N_A(b) \cap R = E_0^p\}|. \end{aligned}$$

The duplicator step:

Let h_1, \dots, h_m be permutations on C extending p_1, \dots, p_m , such that for $a \in D_i$ and $c \in C$ with aKc : $a^{p_i} K c^{h_i}$. We can choose the h_i 's such that $h_i^{-1} = h_j$ if $p_i^{-1} = p_j$. (In the case that $p_i^{-1} = p_i$ one has to choose the bijection h_i a little bit more careful, to ensure $h_i^{-1} = h_i$.) Let $\text{Sym}(C)$ be the group of permutations on C and Γ be the subgroup generated by h_1, \dots, h_m . We define an equivalence relation \equiv on $A \times \Gamma$ by $(a^{p_{i_1} \dots p_{i_s}}, \gamma) \equiv (a, h_{i_1} \dots h_{i_s} \gamma)$ for every $a \in A$, $\gamma \in \Gamma$ and i_1, \dots, i_s such that $a^{p_{i_1} \dots p_{i_s}}$ is defined. Note that for $a, b \in A$ if $(a, \gamma_1) \equiv (b, \gamma_2)$ then $a^{\gamma_1} = b^{\gamma_2}$ and if $(a, 1) \equiv (b, \gamma)$ and bKb' then $b^\gamma = a$ and $b^\gamma K(b')^\gamma$ (here $(b')^\gamma$ need not be in A). For the last statement suppose $b^{p_{i_1} \dots p_{i_k}} = a$ and $\gamma = h_{i_1} \dots h_{i_k}$. Now bKb' implies $b^{p_{i_1}} K(b')^{h_{i_1}}$ implies \dots implies $b^{p_{i_1} \dots p_{i_k}} K(b')^{h_{i_1} \dots h_{i_k}}$ that is $b^\gamma K(b')^\gamma$.

Let B be the graph with domain $A \times \Gamma / \equiv$ defined by: aKb iff there is a $\gamma \in \Gamma$ and elements (a', γ) , (b', γ) in the equivalence classes a and b such that $a'Kb'$. We embed A into B by identifying a with the equivalence class of $(a, 1)$. This is an injective mapping. Γ operates on B by $((a, \gamma') / \equiv)^\gamma = ((a, \gamma' \gamma) / \equiv)$ as a graph automorphism and h_i is an extension of p_i . We have to show that A is in fact a substructure of B under this embedding. For that we have to show that if a, a' is in A and $((a, 1) / \equiv) K ((a', 1) / \equiv)$ is true in B then aKa' is true in A . So suppose $(a, 1) \equiv (b, \gamma)$ and $(a', 1) \equiv (b', \gamma)$ and bKb' . By what we have noted before we have $b^\gamma = a$, $(b')^\gamma = a'$ and $b^\gamma K(b')^\gamma$, that is aKa' .

Finally we have to check that B is triangle free. Suppose there is a triangle in B . That is there are $a, a', b, b', c, c' \in A$ and $\gamma_1, \gamma_2, \gamma_3 \in \Gamma$ such that aKa' , $(a', \gamma_1) \equiv (b, \gamma_2)$, bKb' , $(b', \gamma_2) \equiv (c, \gamma_3)$, cKc' and $(c', \gamma_3) \equiv (a, \gamma_1)$. We can suppose $\gamma_1 = 1$. By

what we have noted before we have: $b^{\gamma_2} = a'$, $b^{\gamma_2} K(b')^{\gamma_2}$, $(b')^{\gamma_2} = c^{\gamma_3}$, $c^{\gamma_3} K(c')^{\gamma_3}$ and $(c')^{\gamma_3} = a$. So there is a triangle consisting of a , a' and $(b')^{\gamma_2} = c^{\gamma_3}$ in C . Contradiction. ■

This completes the case of the triangle free graphs and we turn to the unrestricted relational case.

Theorem 2. *Let A be a finite relational structure. Let p_1, \dots, p_m be partial isomorphisms of A . Then there exists a finite structure B , and automorphisms f_1, \dots, f_m of B such that A is a substructure of B and for all i ($1 \leq i \leq m$): f_i is an extension of p_i .*

One idea of the proof is to look at a 3-ary relation R as being built up from binary relations $\{R_a \mid a \in A\}$. An R -isomorphism –looked at in the new language– permutes these binary relations. This leads to the notion of a permorphism.

Definition 3. \bar{a} will be an abbreviation for a_1, \dots, a_n . For L a relational language, L_j is the set of j -ary relation symbols in L . If χ is a permutation of L_j (for fixed j) and g a functions with domain E , we say g is a χ -permorphism if for every R in L_j , and every a_0, \dots, a_n in E :

$$R(a_0, \dots, a_n) \iff R^\chi(a_0^g, \dots, a_n^g)$$

and if furthermore g is an isomorphism with respect to the other relation symbols in L .

We want to prove the theorem by induction on the maximal arity of relation symbols in the language. We need to prove the following generalization of the theorem:

Lemma 4. *Let L be a finite relational language and A a finite L -structure. Let n be the maximal arity of relation symbols in L . Let χ_1, \dots, χ_m be permutations of L_n and for $1 \leq i \leq m$ p_i be a partial χ_i -permorphism on A , such that $\chi_i^{-1} = \chi_j$ if $p_i^{-1} = p_j$.*

There exists a finite L -structure B and for $1 \leq i \leq m$ a total χ_i -permorphism f_i of B extending p_i , such that $f_i^{-1} = f_j$ if $p_i^{-1} = p_j$.

Proof. The proof is by induction on n . Let us first prove the induction step $n \rightarrow n+1$.

First step (the type realizing step):

We construct a finite extension C_1 of A and bijections φ_i on C_1 extending p_i (for $1 \leq i \leq m$) such that $\varphi_i^{-1} = \varphi_j$ if $p_i^{-1} = p_j$ and for $a \in C_1$, $\bar{a} \in D_i^n$ and $R \in L_{n+1}$:

$$R(a, \bar{a}) \iff R^{\chi_i}(a^{\varphi_i}, \bar{a}^{p_i}).$$

Let Δ be the set of all formulas $R(x, y_1, \dots, y_n)$ ($R \in L_{n+1}$). A Δ -type over a set G is a set d of formulas of the form $R(x, \bar{a})$ or $\neg R(x, \bar{a})$ ($\bar{a} \in G^n$, $R \in L_{n+1}$) such that for any $\bar{a} \in G$: $R(x, \bar{a}) \notin d$ iff $(\neg R(x, \bar{a})) \in d$. In other words: A Δ -type over G decides for every $\bar{a} \in G^n$ and every $R \in L_{n+1}$ if $R(x, \bar{a})$ holds or not, i.e. a Δ -type over G is determined by a function from G^n to the power set of L_{n+1} .

Let G be a subset of a structure A , $a \in A$, and d a Δ -type over G . We say that a realizes d if for all $\bar{a} \in G^n$: ($R(a, \bar{a})$ iff $R(x, \bar{a}) \in d$); we define $\Delta\text{-tp}(a/G)$ to be

the unique Δ -type over G which a realizes. Without loss of generality we suppose that every $a \in A$ realizes a different Δ -type over A (it is easy to extend A to get this property).

Now let C_1 be the set of all Δ -types over A . We embed A into C_1 via the function $*$: $a^* := \Delta\text{-tp}(a/A)$ (for $a \in A$). For $R \in L_{n+1}$ we define $R(d, d_1, \dots, d_n)$ iff there is $\bar{a} \in A$ such that $d_1 = a_1^*, \dots, d_n = a_n^*$ and $R(x, \bar{a}) \in d$ (so $\Delta\text{-tp}(d/A) = d$). Now A is a substructure of C_1 and every Δ -type over A is realized by exactly one element of C_1 . Let $1 \leq i \leq m$.

For a Δ -type s over D_i we will consider the set of realizations $s(C_1) := \{b \in C_1 \mid b \text{ realizes } s \text{ over } D_i\}$. Furthermore we transport such a Δ -type s by p_i : We define $\hat{p}_i(s)$ to be the Δ -type over R_i satisfying

$$R^{\chi_i}(x, \bar{a}^{p_i}) \in \hat{p}_i(s) \iff R(x, \bar{a}) \in s$$

(for $\bar{a} \in D_i$).

For all Δ -types s over D_i the cardinality of $s(C_1)$ is the same and equals furthermore the cardinality of $\hat{p}_i(s)(C_1)$ (namely equals the number of functions from $A^n - D_i^n$ to the power set of L_{n+1}).

Let $\varphi_i \in \text{Sym}(C_1)$ be an extension of p_i such that for every Δ -type s over D_i : φ_i maps $s(C_1)$ to $\hat{p}_i(s)(C_1)$. Note: Because p_i is a χ_i -permorphism every element of $D_i \cap s(C_1)$ is mapped by p_i to an element of $R_i \cap \hat{p}_i(s)(C_1)$. Now we have indeed that for $a \in C_1$, $\bar{a} \in D_i^n$ and $R \in L_{n+1}$: $R(a, \bar{a}) \iff R^{\chi_i}(a^{\varphi_i}, \bar{a}^{p_i})$. Furthermore, it is easy to find the φ_i in such a way that $\varphi_i^{-1} = \varphi_j$ if $p_i^{-1} = p_j$.

Second step (the permorphism step):

Now we consider the structure A in a new language:

For every $R \in L_{n+1}$ and every $a \in C_1$ we introduce a new symbol R_a .

$L^* := L - L_{n+1} \cup \{R_a \mid R \in L_{n+1}, a \in C_1\}$ and we define the L^* -structure A^* with domain A by $R_a(\bar{b}) \iff R(a, \bar{b})$ (for $\bar{b} \in A$) for the new symbols. We define permutations ψ_i on L_n^* by $(R_a)^{\psi_i} := R_a^{\chi_i}$ and for the other symbols S by $S^{\psi_i} := S$. p_i is a partial ψ_i -permorphism (for $1 \leq i \leq m$). By induction we get a finite extension C_2^* of A and total ψ_i -permorphisms h_i extending p_i ($1 \leq i \leq m$), such that $h_i^{-1} = h_j$ if $p_i^{-1} = p_j$.

Third step (the duplicator step):

Consider the finite group $\text{Sym}(C_2^*) \times \text{Sym}(C_1) \times \text{Sym}(L_{n+1})$. Let Γ be the subgroup generated by $\delta_i := (h_i, \varphi_i, \chi_i)$ ($1 \leq i \leq m$). We define a L -structure on $A \times \Gamma$: For $R \in L_{n+1}$:

$$R((a_0, \gamma_0), \dots, (a_n, \gamma_n)) \text{ iff } \gamma_0 = \dots = \gamma_n =: (h, \varphi, \chi)$$

and $R^{\chi^{-1}}(a_0, \dots, a_n)$. For every other symbol S in L :

$$S((a_0, \gamma_0), \dots, (a_l, \gamma_l)) \text{ iff } \gamma_0 = \dots = \gamma_l \text{ and } S(a_0, \dots, a_l).$$

We define an equivalence relation \equiv on $A \times \Gamma$ by $(a^{p_{i_1} \dots p_{i_s}}, \gamma) \equiv (a, \delta_{i_1} \dots \delta_{i_s} \gamma)$ for every $a \in A$, $\gamma \in \Gamma$ and i_1, \dots, i_s such that $a^{p_{i_1} \dots p_{i_s}}$ is defined. Later on we will need the following fact: If $(a, 1) \equiv (b, (h, \varphi, \chi))$, then $a = b^h = b^\varphi$.

Let B be the structure with domain $A \times \Gamma / \equiv$ defined by: $S(b_0, \dots, b_s)$ iff there are elements a_i in the equivalence classes b_i such that $S(\bar{a})$ (in $A \times \Gamma$) (for every S in L).

We embed A into B by identifying a with $(a, 1)/\equiv$. Γ operates canonically on B and δ_i is an extension of p_i . δ_i is a χ_i -permorphism. It remains to show that A is in fact a substructure of B . I.e. if $R \in L_{n+1}$, $a, \bar{a} \in A$ and $R((a, 1)/\equiv, (a_1, 1)/\equiv, \dots, (a_n, 1)/\equiv)$ is true in B , then $R(a, \bar{a})$ is true in A (the case of the other symbols in L is easier). So let $\gamma = (h, \varphi, \chi)$ be in Γ and b, \bar{b} be in A , such that $(a, 1) \equiv (b, \gamma)$, $(a_1, 1) \equiv (b_1, \gamma)$, \dots , $(a_n, 1) \equiv (b_n, \gamma)$ and $RX^{-1}(b, \bar{b})$. We define the permutation ψ on L_n^* by $(R_a)^\psi = R_{a^\varphi}^\chi$ ($S^\psi = S$ for the other symbols).

Now we will need the fact, that h is a ψ -permorphism of C_2^* . That follows for generators of Γ (i.e. there is an i such that $h = h_i$; $\varphi = \varphi_i$; $\chi = \chi_i$) from the second step, and extends to the whole group Γ .

We have $b^\varphi = a$ and $\bar{b}^h = \bar{a}$. From $(RX^{-1})_b(\bar{b})$ follows $(RX^{-1})_{b^\varphi}^\chi(\bar{b}^h)$, that is $R_a(\bar{a})$.

Case $n=1$:

The construction in this case is similar to the first step.

Let Δ be $\{R(x) \mid R \in L_1\}$. In this case a Δ -type contains formulas of the form $R(x)$ or $\neg R(x)$. For a Δ -type d , let n_d be the number of realizations of d in A , and let k be the maximum of these numbers. Let B be the disjoint union of k copies of the set of all Δ -types. One can embed A into B and extend p_i to a χ_i -permorphism f_i of B (for $1 \leq i \leq m$), such that $f_i^{-1} = f_j$ if $p_i^{-1} = p_j$. ■

Let us explain how the case of A being a hypergraph is covered by Theorem 2. We consider the hypergraph A as being built up by its r -uniform parts ($1 \leq r \leq |A|$). For every such r -uniform part we put a r -ary relation symbol into L . This way the hypergraph A is translated to a L -structure A' and the theorem yields a L -structure B' , which can be translated back to a hypergraph B . For that one has to ensure that B' is a symmetric L -structure (as A' is). But the proof of Theorem 2 yields automatically a symmetric L -structure B if one starts with a symmetric A . (This also follows from the theorem not only from the proof: If one starts with A being symmetric and gets a possibly non symmetric B , then one can erase every non symmetric instance of any relation to get a symmetric structure B^s , which does the job.)

Let $G = \text{Aut}(M)$ be the automorphism group of a countable structure M . G can be considered as a topological group, where $\{G_A \mid A \subset M, A \text{ finite}\}$ forms a basis for the neighbourhood of the identity; $G_A = \{g \in G \mid \forall a \in A: a^g = a\}$. The index of every open subgroup is at most countable. The SIP states the converse: We say the small index property holds for M , if every subgroup U of G with $[G:U] < 2^\omega$ is open. See [3] for a survey which structures are proved to have the SIP.

Theorem 5. a) *Let L be a fixed finite relational language. Then the small index property holds for the countable random L -structure.*

b) *The small index property holds for the universal homogeneous triangle free graph.*

Proof. This follows from Theorem 2 respectively from Lemma 1 in the same way as the small index property for the random graph in [3] follows from Hrushovski's Theorem. ■

Before Hrushovski proved his extension theorem in the case of graphs there had already been a proof of Truss for the case of only one partial isomorphism on a

graph (see [4], [2]). This proof also works in the case of an arbitrary L-structure (but only for one isomorphism). In fact the proof shows that in this case one can find the super structure B in a certain sense (see the following corollary) independently of the structure on A . On the other hand Hrushovski's extension graph B depends on the structure on A . From Theorem 2 it follows that one can choose B independently from the structure on A even in the case of finitely many partial isomorphisms.

Corollary 6. *Let A be a finite set and p_1, \dots, p_m be partial injective mappings on A . Then there exists a finite set B and bijections f_1, \dots, f_m on B extending the p_i 's with the property that for every relational structure A with domain A such that p_1, \dots, p_m are partial isomorphisms of A there is a structure B with domain B such that A is substructure of B and the f_i 's are automorphisms of B . ("B and the f_i 's can be chosen independently from the structure on A .")*

Proof. Equip A with every relation R of arity $\leq |A|$ such that all the p_i 's are R -isomorphisms to get the structure A and the language L . Theorem 2 yields a finite L-structure B and total L-automorphisms f_1, \dots, f_m extending the p_i 's. The domain B and the f_i 's satisfy the requirements of the corollary. ■

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