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## THE LOCAL CATENATIVITY OF DOL-SEQUENCES IN FREE COMMUTATIVE MONOIDS IS DECIDABLE IN THE BINARY CASE (\*)

by J. L. LAMBERT <sup>(1)</sup>

Communicated by C. CHOFFRUT

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Abstract. – Given a matrix  $A \in \mathbb{Z}^{2 \times 2}$  and a vector  $V_0 \in \mathbb{Z}^2$  we determine if there exists an integer  $m$  and  $m$  positive integers  $a_{m-1} \dots a_0$  such that  $A^m V_0 = \sum_{i=0}^{m-1} a_i A^i V_0$ . When such an  $m$  exists, we compute the smallest one and  $m$  positive integers  $a_{m-1} \dots a_0$  that satisfy the relation.

Keywords : DOL-Sequences; Commutative monoids.

Résumé. – Étant donné une matrice  $A \in \mathbb{Z}^{2 \times 2}$  et un vecteur  $V_0 \in \mathbb{Z}^2$  on détermine l'existence d'un entier  $m$  et de  $m$  autres entiers positifs  $a_{m-1} \dots a_0$  tels que  $A^m V_0 = \sum_{i=0}^{m-1} a_i A^i V_0$ . Quand un tel  $m$  existe, on calcule le plus petit ainsi que les entiers  $a_{m-1} \dots a_0$  qui satisfont la relation.

### INTRODUCTION

The DOL sequences were introduced by Lindenmayer [3]. They are defined in a free monoid  $\Sigma^*$  ( $\Sigma$  being a finite alphabet) by a morphism  $h: \Sigma^* \rightarrow \Sigma^*$  and an axiom  $w \in \Sigma^*$ ; the DOL sequences is then the sequence  $w, h(w), h^2(w), \dots, h^n(w), \dots$ . Such a sequence in  $\Sigma^*$  is said locally catenative if there exists an integer  $m$  and some positive integers  $i_0 \dots i_r$  smaller than  $m$  such that:

$$h^m(w) = h^{m-i_0}(w) \dots h^{m-i_r}(w)$$

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C. Choffrut proved in [1] that when  $\text{card}(\Sigma)=2$ , then the local catenativity of DOL sequences is decidable since it is equivalent to  $h^3(w) \in \{w, h(w), h^2(w)\}^*$ . The problem of deciding if a given DOL sequence is catenative or not is still open.

In a free commutative monoid, the definition is easily extended. The morphism is given by a matrix  $A \in \mathbb{N}^{n \times n}$  and the axiom is a vector  $x \in \mathbb{N}^n$ . The problem is then to determine if there exist an  $m \in \mathbb{N}$  and  $m$  positive integers  $a_{m-1}, \dots, a_0$  such that

$$A^m x = \sum_{i=0}^{m-1} a_i A^i x$$

The problem is then a decidability result concerning matrices with entries in  $\mathbb{N}$  ([4]).

In this article we will prove the decidability of this property when  $n=2$  (the binary case). We will actually solve the more general problem:

*Problem 1:*

*Instance:*  $V_0 \in \mathbb{Z}^2, A \in \mathbb{Z}^{2 \times 2}$

*Question:* Do there exist an integer  $m \in \mathbb{N}$  and  $m$  positive integers  $a_{m-1}, \dots, a_0$  such that

$$A^m V_0 = \sum_{i=0}^{m-1} a_i A^i V_0$$

We will prove that this problem is decidable and will compute the smallest  $m$  for which some integers  $a_{m-1}, \dots, a_0$  satisfying the property exist.

## 1. TURNING THE PROBLEM INTO A PROBLEM CONCERNING POLYNOMIALS

In this section, we will express our initial problem 1 into a more suitable form and study it in any dimension. It is first clear that we can rewrite and

generalize the problem under the following form:

*Problem 2:*

*Instance:*  $V_0 \in \mathbb{Z}^n, A \in \mathbb{Z}^{n \times n}$

*Question:* Does there exist a polynomial  $P \in \mathbb{Z}[X]$  of degree  $m$  such that  $P = X^m - \sum_{i=0}^{m-1} a_i X^i$  where  $a_i \in \mathbb{N}$  for  $0 \leq i \leq m-1$  and  $P(A) V_0 = 0$ ?

We just recall that for a polynomial  $P(X) = \sum_{i=0}^m a_i X^i$  and a matrix  $A, P(A)$  is the matrix given by:

$$P(A) = \sum_{i=0}^m a_i A^i$$

A polynomial  $P$  of degree  $m$  such that  $a_m = 1$  is said **monic**. We will denote by  $\mathbb{Z}_1[X]$  the set of monic polynomials with coefficients in  $\mathbb{Z}$ .

We prove here that the monic polynomials of  $\mathbb{Z}[X]$  that satisfy  $P(A) V_0 = 0$  are the multiples of a computable monic polynomial  $P_0$  of degree at most  $n$ . This property is a consequence of the classical Gauss' lemma on integer polynomials and Hamilton-Cayley theorem ([2]).

**LEMMA 1 (Gauss' Lemma):** *Let  $P$  and  $Q$  be two polynomials in  $\mathbb{Z}[X]$  and denote by  $C(P)$  the GCD of the coefficients of  $P$  then*

$$C(P \cdot Q) = C(P) \cdot C(Q)$$

**LEMMA 2 (Hamilton-Cayley Theorem):** *Let  $A \in \mathbb{Z}^{n \times n}$  and let  $K_A(X)$  be the characteristic polynomial of  $A$ :*

$$K_A(X) = \text{Det}(A - XI)$$

then  $K_A(A) = 0$ .

We will use Gauss' lemma under the following more convenient form:

**LEMMA 3:** *Let  $P \in \mathbb{Z}[X]$  a monic polynomial. Then if  $P = Q \cdot R$  where  $Q$  and  $R$  are monic polynomials of  $\mathbb{Q}[X]$  then  $Q \in \mathbb{Z}[X]$  and  $R \in \mathbb{Z}[X]$ .*

*Proof.* – Let  $Q' = \lambda Q$  and  $R' = \mu R$  where  $\lambda$  and  $\mu$  are the least positive integers such that  $Q'$  and  $R'$  have integer coefficients. Then since  $Q$  is monic,  $C(Q')$  divides  $\lambda$  ( $\lambda$  is the highest degree coefficient of  $Q'$ ) and then  $C(Q') = 1$

since  $\lambda$  is minimal. Similarly,  $C(R')=1$ . Now

$$C(\lambda\mu P)=\lambda\mu=C(Q')C(R')=1$$

Thus  $\lambda=\mu=1$  and  $Q=Q'$ ,  $R=R'$ .  $\square$

We are in position to prove the first proposition:

PROPOSITION 1: Let  $V_0 \in \mathbb{Z}^n$ ,  $A \in \mathbb{Z}^{n \times n}$ . Define the set

$$I = \{ P \in \mathbb{Z}_1[X] / P(A)V_0 = 0 \}$$

Then we can compute a monic polynomial of degree at most  $n$ :  $P_0 \in \mathbb{Z}[X]$ . Such that:

$$I = P_0 \cdot \mathbb{Z}_1[X]$$

*Proof:* — Let  $I' = \{ P \in \mathbb{Q}[X] / P(A)V_0 = 0 \}$ . Then  $I'$  is an ideal over  $\mathbb{Q}[X]$  which is a principal ring then there exists a monic polynomial  $P_0 \in \mathbb{Q}[X]$  such that  $I' = P_0 \mathbb{Q}[X]$ .

By lemma 2, the monic polynomial  $(-1)^n K_A(X)$  is in  $I'$  thus

$$(-1)^n K_A(X) = P_0 Q$$

which implies by lemma 3 that  $P_0 \in \mathbb{Z}_1[X]$ . Since  $P_0$  is a divisor of  $K_A(X)$ , it is clear its degree is at most  $n$  and that there exist only a finite set of values for  $P_0$  which can easily be computed.

Finally, Let  $P \in I$ , since  $I \subset I'$ :

$$P = P_0 Q$$

but since  $P$  is monic,  $Q \in \mathbb{Z}_1[X]$  and  $I = P_0 \mathbb{Z}_1[X]$ .  $\square$

With the help of proposition 1, one can see that problem 2 is decidable if the following one is:

*Problem 3:*

*Instance:* A polynomial  $P_0 \in \mathbb{Z}[X]$  of degree at most  $n$

*Question:* Does there exist a polynomial  $Q \in \mathbb{Z}_1[X]$  such that

$$P_0 \cdot Q = X^m - \sum_{i=0}^{m-1} a_i X^i \quad \text{where } a_i \in \mathbb{N}$$

We now solve problem 3 in the case  $n=2$ .

2. SOLVING PROBLEM 3 FOR  $n=2$ , THE EASY CASES

Except in one case which is the most interesting one, problem 3 when  $n=2$  is easy to solve. In this case the polynomial  $P_0$  of proposition 3 has degree 1 or:

$$P_0(X) = X^2 - \text{Tr}(A)X + \text{Det}(A)$$

In this latter case the discussion will concern the signs of  $\text{Tr}(A)$  and  $\text{Det}(A)$ . In the remainder of the paper  $a$  and  $b$  are positive integers.

1st case:  $P_0$  has degree 1:

This means that  $V_0$  is an eigenvalue of  $A$ .

If  $P_0 = X - a$ , let  $Q = 1$  else if  $P_0 = X + a$ , then  $Q = X - a$  works.

2nd case:  $P_0 = X^2 - aX - b$ :

$Q = 1$  is clearly suitable

3rd case:  $P_0 = X^2 + aX + b, a \neq 0$ :

Then for any large enough  $\lambda \in \mathbb{N}$ :

$$(X - \lambda)P_0 = X^3 + (a - \lambda)X^2 + (b - a\lambda)X - b\lambda$$

has the convenient form. Thus  $Q = X - \lambda$  is suitable.

4th case:  $P_0 = X^2 + aX - b, a \neq 0, b \neq 0$ :

PROPOSITION 2: Let  $P_0 = X^2 + aX - b$  where  $(a, b) \in (\mathbb{N} - \{0\})^2$ . Then there exists no polynomial  $Q \in \mathbb{Z}_1[X]$  such that

$$P_0 \cdot Q = X^n - \sum_{i=0}^{m-1} \lambda_i X^i \quad \text{where } \lambda_i \in \mathbb{N}$$

Proof. - Let  $Q = X^n + a_{n-1}X^{n-1} + \dots + a_0$ . Then

$$\begin{aligned} P_0 \cdot Q &= (X^2 + aX - b)(X^n + a_{n-1}X^{n-1} + \dots + a_0) \\ &= X^{n+2} + (a + a_{n-1})X^{n+1} + (a_{n-2} + aa_{n-1} - b)X^n + \sum_{i=0}^{n-3} (a_i + aa_{i+1} - ba_{i+2})X^{i+2} \\ &\quad + (aa_0 - ba_1)X - ba_0 \end{aligned}$$

Now we want

$$\begin{aligned} -ba_0 &\leq 0 \\ aa_0 - ba_1 &\leq 0 \\ a_i + aa_{i+1} - ba_{i+2} &\leq 0 \quad \text{for } i=0, \dots, n-3 \end{aligned}$$

This implies directly that  $a_0 \geq 0$  (since  $b > 0$ ) and then  $a_1 \geq 0$ . By induction one has:

$$a_i \geq 0 \text{ and } a_{i+1} \geq 0 \Rightarrow a_{i+2} \geq 0$$

and thus  $a_{n-1} \geq 0$  which gives  $a + a_{n-1} \geq a > 0$ . A contradiction.  $\square$

We now deal with the interesting case  $P_0 = X^2 - aX + b$ .

### 3. PROBLEM 3: THE CASE $P_0 = X^2 - aX + b$ , $b \neq 0$

#### 3.1. The main result

**PROPOSITION 3:** *Let  $P_0 = X^2 - aX + b$ ,  $a \in \mathbb{N}$ ,  $b \in \mathbb{N} - \{0\}$ . Then there exists  $Q \in \mathbb{Z}_1[X]$  such that*

$$P_0 \cdot Q = X^n - \sum_{i=0}^{n-1} \lambda_i X^i$$

with  $\lambda_i \in \mathbb{N}$  iff  $P_0$  has no root in  $\mathbb{R}$ .

*Proof.* – We first prove that the problem is equivalent to the existence of a non fully negative solution to a certain regular system of inequations. To check this existence, we use an easy criteria concerning the signs of the coefficients of a matrix. We compute that matrix and show that those coefficients are given by a linear recursion formula which the discussion is based on.

Let us look at a polynomial  $Q = X^n + a_{n-1}X^{n-1} + \dots + a_0$  then

$$\begin{aligned} P_0 \cdot Q &= (X^2 - aX + b)(X^n + a_{n-1}X^{n-1} + \dots + a_0) \\ &= X^{n+2} + (a_{n-1} - a)X^{n+1} + (a_{n-2} - aa_{n-1} + b) + \sum_{i=0}^{n-3} (a_j - aa_{i+1} + ba_{i+2})X^{i+2} \\ &\quad + (ba_1 - aa_0)X + ba_0 \end{aligned}$$

We have to determine if there exists an integer  $n$  such that the system of inequation (I):

$$\begin{aligned}
 &ba_0 \leq 0 \\
 &-aa_0 + ba_1 \leq 0 \\
 &a_0 - aa_1 + ba_2 \leq 0 \\
 &\quad \ddots \\
 \text{(I)} \quad &a_i - aa_{i+1} + ba_{i+2} \leq 0 \\
 &\quad \ddots \\
 &a_{n-2} - aa_{n-1} + b \leq 0 \\
 &a_{n-1} - a \leq 0
 \end{aligned}$$

has a solution  $a_0, \dots, a_{n-1}$  in  $\mathbb{Z}$ .

We claim that this is equivalent to the existence of an integer  $n$  such that the system of equation (II):

$$\begin{aligned}
 &bx_0 \leq 0 \\
 &-ax_0 + bx_1 \leq 0 \\
 &x_0 - ax_1 + bx_2 \leq 0 \\
 &\quad \ddots \\
 \text{(II)} \quad &x_i - ax_{i+1} + bx_{i+2} \leq 0 \\
 &\quad \ddots \\
 &x_{n-2} - ax_{n-1} + bx_n \leq 0
 \end{aligned}$$

has a solution  $(x_0, \dots, x_n) \in \mathbb{Z}^{n+1}$  satisfying:

$$\exists i/x_i > 0.$$

First it is clear that if  $(a_0, \dots, a_{n-1})$  is a solution of (I), then  $x = (a_0, \dots, a_{n-1}, 1)$  is a solution of (II) with  $x_n > 1$ .

Conversely, let  $(x_0, \dots, x_n)$  be a solution of system (II) that satisfies  $x_i > 0$ . Since  $bx_0 \leq 0$  and  $b > 0$  one has  $x_0 \leq 0$ . Let  $x_{n_0}$  be the first  $x_i$  such that  $x_{n_0} > 0$ . By the previous remark,  $n_0 > 0$ .

Now we just have to check that  $a_0 = x_0, \dots, a_{n_0-1} = x_{n_0-1}$  is a solution of system (I). The  $n_0 - 1$  first inequations are satisfied and since

$$a_{n_0-2} - aa_{n_0-1} + b \leq x_{n_0-2} - ax_{n_0-1} + bx_{n_0} \leq 0$$

and

$$a_{n_0-1} - a \leq x_{n_0-1} \leq 0$$

all inequations of (I) are satisfied. This states the claim.

We will thus solve the latter problem. Let us define

$$A_n = \begin{pmatrix} b & & & & \\ -a & b & & & \\ 1-a & b & & & \\ & & \ddots & & \\ & & & 1-a & b \end{pmatrix} \in \mathbb{Z}^{(n+1) \times (n+1)}$$

and for two vectors  $x, y$  in  $\mathbb{Z}^{n+1}$ :

$$x \leq y \Leftrightarrow \forall i, \quad 0 \leq i \leq n, \quad x_i \leq y_i$$

We have to determine if

$$\forall n \in \mathbb{N}, \quad \forall x \in \mathbb{Z}^{n+1}, \quad A_n x \leq 0 \Rightarrow x \leq 0$$

But this is clearly equivalent to

$$\forall n \in \mathbb{N}, A_n^{-1} \text{ is positive}$$

Now we easily compute that

$$A_n^{-1} = \begin{pmatrix} \frac{\alpha_0}{b} & & & & \\ & \frac{\alpha_1}{b^2} & \frac{\alpha_0}{b} & & \\ & & \ddots & & \\ & & & \frac{\alpha_1}{b^2} & \frac{\alpha_0}{b} \\ & & & & \frac{\alpha_n}{b^{n+1}} \end{pmatrix}$$

where  $\alpha_0, \dots, \alpha_n$  is an integer sequence given by  $\alpha_0 = 1$ ,  $\alpha_1 = a$  and the recursion formula:

$$\alpha_n = a\alpha_{n-1} - b\alpha_{n-2}$$

The characteristic equation of the recursion is  $P_0(X) = 0$ .

We now have three cases.

1st case:  $P_0$  has two distinct real roots. Let  $\lambda_1 > \lambda_2 > 0$  be these roots. An elementary computation leads to the formula:

$$\alpha_n = \frac{(\lambda_1)^{n+1} - (\lambda_2)^{n+1}}{\sqrt{\Delta}} \quad (\Delta = a^2 - 4b)$$

and  $\alpha_n > 0$  for every  $n$ , the problem has no solution.

2nd case:  $P_0$  has an unique double root  $\lambda = a/2$ . The new formula is

$$\alpha_n = (n + 1)(a/2)^n$$

then  $\alpha_n > 0$  for every  $n \in \mathbb{N}$ , there is no solution either.

3rd case:  $P_0$  has no root in  $\mathbb{R}$  then  $P_0$  has two roots in  $\mathbb{C}$ :  $\lambda$  and  $\bar{\lambda}$ , we get the new formula:

$$\alpha_n = \frac{(\lambda)^{n+1} - (\bar{\lambda})^{n+1}}{i\sqrt{-\Delta}}$$

Let  $\lambda = \rho e^{i\theta}$  then  $\rho = \sqrt{b}$  and  $\theta = \text{Arctan}(\sqrt{(4b/a^2) - 1})$  (if  $a = 0$  then  $\theta = \pi/2$ ) and

$$\alpha_n = \frac{2\sqrt{b}^{n+1}}{\sqrt{-\Delta}} \sin(n + 1)\theta$$

and  $\alpha_n < 0$  as soon as  $(n + 1)\theta > \pi$  then for  $n = [\pi/\text{Arctan}(\sqrt{(4b/a^2) - 1})]$  (where  $[x]$  is the integer part of  $x$ ) the problem has a solution of degree  $n$ .  $\square$

### 3.2. Some examples

Let  $A$  be a  $2 \times 2$  integer matrix such that  $\text{Det}(A) > 0$  and  $\text{Tr}(A) > 0$ . When the matrix is positive, there is no solution since the characteristic equation has real roots. If we do not restrict the matrix  $A$  to be positive it is notable that even for matrices with coefficients of small size then the polynomial  $Q$  of proposition 3 can have a relatively high degree and surprisingly large size coefficients.

Before introducing some explicit examples, we note that it is easy to compute a polynomial  $Q$  satisfying the conclusion of proposition 3. Let  $X$



and  $a_{n-1} - a = -\alpha_{n-1} b - a$ . Thus we get:

$$P_0 \cdot Q = X^{n+2} - (a + b\alpha_{n-1})X^{n+1} + (1 + \alpha_n)bX^n - b^{n+1}$$

Note that the computation of that polynomial is reduced to the computation of  $\alpha_n$  and  $\alpha_{n-1}$  by a simple linear recursion formula!

Now we can give some examples. We note that for matrices of the form:

$$A = \begin{pmatrix} a & -1 \\ 1 & a \end{pmatrix}$$

The characteristic polynomial is  $X^2 - 2aX + a^2 + 1$  which discriminant is  $\Delta = -4$ . Thus the degree of the polynomial  $Q$  of lowest degree is:

$$n = \left\lceil \frac{\pi}{\text{Arctan}(\sqrt{1/a^2})} \right\rceil \geq [\pi a]$$

For example, if  $a = 1$ , the degree of  $Q$  is 4 since:

$$\alpha_0 = 1, \alpha_1 = 2, \alpha_2 = 2, \alpha_3 = 0, \alpha_4 = -4$$

The polynomial  $Q = X^4 - 8X^2 - 16X - 16$  and

$$(X^4 - 8X^2 - 16X - 16)(X^2 - 2X + 2) = X^6 - 2X^5 - 6X^4 - 32$$

The size of the polynomial grows rapidly with  $a$ . For  $a = 3$  for example, the formula gives  $n \geq 9$ . In fact  $n = 9$  is the lowest degree as one can see by computing the sequence:

$$\begin{aligned} \alpha_0 &= 1 \\ \alpha_1 &= 6 \\ \alpha_2 &= 26 \\ \alpha_3 &= 96 \\ \alpha_4 &= 316 \\ \alpha_5 &= 936 \\ \alpha_6 &= 2456 \\ \alpha_7 &= 5376 \\ \alpha_8 &= 7696 \\ \alpha_9 &= -7584 \end{aligned}$$

$Q$  is then a polynomial of surprisingly large size while  $P_0 = X^2 - 6X + 10$ :

$$Q = X^9 - 76\,960 X^8 - 537\,600 X^7 - 2\,456\,000 X^6 - 9\,360\,000 X^5 - 31\,600\,000 X^4 - 96\,000\,000 X^3 - 260\,000\,000 X^2 - 600\,000\,000 X - 1\,000\,000\,000$$

and we get by the proved formula:

$$(X^2 - 6X + 10) \cdot Q = X^{11} - 76\,966 X^{10} - 75\,830 X^9 - 10\,000\,000\,000$$

The size of the obtained polynomials is the most surprising fact. If  $a = 5$  then the degree of the polynomial is at least 15 with very big coefficients, for the following polynomial

$$X^2 - 200X + 10\,001 \quad (a = 100)$$

We must search for a polynomial of degree at least 314!

#### 4. CONCLUSIONS

We now easily express the results of section 3 in terms of problem 1.

**THEOREM 1:** *Problem 1 has a solution except if  $V_0$  is not an eigenvector of  $A$  and*

i)  $\text{Tr}(A) < 0, \text{Det}(A) > 0$

or

ii)  $\text{Tr}(A) > 0, \text{Det}(A) > 0$  and  $A$  has eigenvalues in  $\mathbb{R}$ .

Moreover the smallest value  $m$  satisfying the property can be determined in each case. If  $V_0$  is an eigenvector of  $A$  then it is 1 if the eigenvalue is positive, 2 otherwise. If  $V_0$  is not an eigenvector then the results are summed up in the following tableau:

	$\text{Det}(A) > 0$	$\text{Det}(A) < 0$	$\text{Det}(A) = 0$
$\text{Tr}(A) > 0$	$n$ or imp.	2	2
$\text{Tr}(A) < 0$	3	imp.	3
$\text{Tr}(A) = 0$	4	2	2

$$\text{where } n = \left\lceil \frac{\pi}{\text{Arctan}(\sqrt{(4 \det(A) / \text{Tr}(A)^2) - 1})} \right\rceil + 2$$

In the case where  $A$  and  $V_0$  are positive, the result is greatly simplified:

**THEOREM 2:** *In a commutative free monoid, a Dol sequence given by a matrix  $A$  and an axiom  $V_0$  is locally catenative iff  $V_0$  is an eigenvector of  $A$  or  $\text{Det}(A) \leq 0$ . In both cases one has:*

$$A^2 V_0 \in \{ A V_0, V_0 \}^*$$

## CONCLUSION

The technique involved to solve the problem in the binary case can be in part generalized to solve the other cases. But the analysis of the sequence  $\alpha_n$  will not be possible in the same way (but perhaps the decidability will remain true) and principally the particularity of sign that permits to deduce from a suitable non monic polynomial another monic polynomial with the same quality will not remain valid. The generalization is then not so clear.

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