

# Tri bulle et classes de permutations

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Travail en collaboration avec  
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GT Combinatoire du Liafa, décembre 2010

# The Bubble Sort Operator $B$

$B$  = one pass of **bubble sort**.

On sequences that are **permutations**.

## Definition(s):

- Algorithmically:

$\hookrightarrow B$  processes a permutation  $\sigma$  from left to right, and modifies  $\sigma$  dynamically exchanging  $\sigma(i)$  and  $\sigma(i+1)$  when  $\sigma(i) > \sigma(i+1)$ .

- Recursively:

$\hookrightarrow \begin{cases} B(\sigma_1 n \sigma_2) = B(\sigma_1) \sigma_2 n & \text{if } \sigma = \sigma_1 n \sigma_2 \in S_n \\ B(\varepsilon) = \varepsilon \end{cases}$

- Explicitly:

$\hookrightarrow$  If  $\sigma = n_1 \lambda_1 n_2 \lambda_2 \cdots n_k \lambda_k$  where  $n_1, \dots, n_k$  are the left to right maxima of  $\sigma$  then  $B(\sigma) = \lambda_1 n_1 \lambda_2 n_2 \cdots \lambda_k n_k$ .

**NB** Stack-sorting operator  $S$   
 $S(\sigma_1 n \sigma_2) = S(\sigma_1) S(\sigma_2) n$

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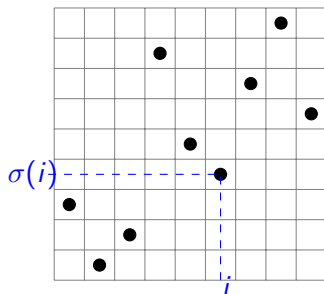
## Permutations

- $S_n =$  permutations  $\sigma$  of  $\{1, 2, \dots, n\}$
- Representation by a word:  $\sigma(1)\sigma(2) \cdots \sigma(n)$ , by its diagram, ...

## Patterns

- Subpermutation of  $\sigma$
- Subword or subset of points of the diagram that is normalized

Example:  $2134 \preceq 312854796$  since  $3279 \equiv 2134$



$$\sigma = 312854796$$

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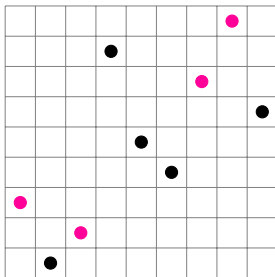
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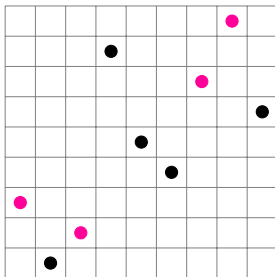
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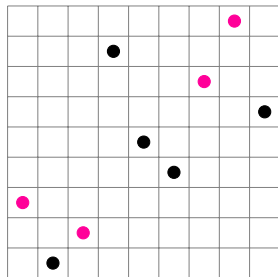
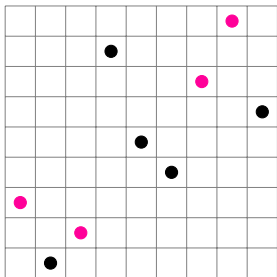
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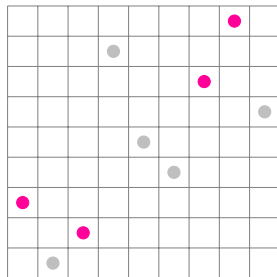
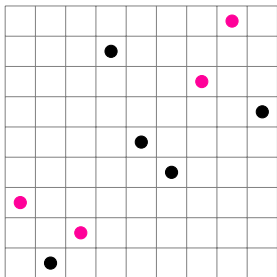
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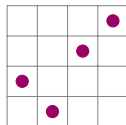
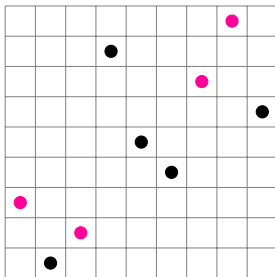
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- Occurrence = subpermutation without normalization

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- Subset of  $\mathcal{S} = \cup_n S_n$  downward closed for  $\preceq$
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## Proposition

*The permutations that are sorted by  $B$  are a class.  
Namely:  $B(\sigma) = Id$  iff  $\sigma \in Av(231, 321)$ .*

**Proof:** by induction.

Decompose  $\sigma = \sigma_1 n \sigma_2$  around its maximum  $n$ .

Recall that  $B(\sigma) = B(\sigma_1) \sigma_2 n$ .

$\sigma$  is sorted by  $B$

$\Leftrightarrow \sigma_1$  is sorted by  $B$ ,  $\sigma_2$  is increasing, and  $\sigma_1 < \sigma_2$

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# Motivation and main result

- $B$ -sortable permutations

$$\hookrightarrow B^{-1}(Av(21)) = Av(231, 321)$$

- $SB$ -sortable permutations?

$$\hookrightarrow (SB)^{-1}(Av(21)) = B^{-1}(Av(231))$$

- $B^2$ -sortable permutations?

$$\hookrightarrow (BB)^{-1}(Av(21)) = B^{-1}(Av(231, 321))$$

- In general, what can we say about  $B^{-1}(\mathcal{C})$ ?

For  $\mathcal{C} = Av(\pi)$  a principal permutation class, we can determine

- when  $B^{-1}(Av(\pi))$  is a class,
- and in this case give its basis.

This result is proved by considering the LtoR-maxima of  $\pi$ .

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# Summary of results

$\pi$	$B^{-1}(Av(\pi))$	Basis
1	is a class	1
12	is a class	12, 21
21	is a class	231, 321
$n\alpha, \alpha \neq \varepsilon$	is a class	$n(n+1)\alpha, (n+1)n\alpha$
$(n-1)\alpha n, \alpha \neq \varepsilon$	is a class	$(n-1)n\alpha, n(n-1)\alpha$
$a\alpha b\beta, \beta \neq \varepsilon$	is a class	$R(\pi)$
$a\alpha b\beta n, \beta \neq \varepsilon$	is a class	$R(a\alpha b\beta)$
$(n-2)\alpha(n-1)n$	is a class	$(n-2)(n-1)\alpha n, (n-1)(n-2)\alpha n,$ $(n-2)n\alpha(n-1), n(n-2)\alpha(n-1)$
$a\alpha b\beta c\gamma, \gamma \neq \varepsilon$	is not a class	

Remarks:  $n, (n-1), (n-2), a, b$  and  $c$  are LtoR-maxima.

If  $\pi = \begin{array}{c} \bullet b \\ \boxed{\alpha} \quad \boxed{\beta} \\ a \bullet \end{array}$ , then  $R(\pi)$  is the set of permutations  $\begin{array}{c} \bullet b \\ \boxed{\alpha} \quad \boxed{\beta} \\ a \bullet \end{array}$ .

## Proposition

*There are no permutations  $\sigma$  of length  $n \geq 1$  such that  $B(\sigma)$  avoids 1.  
Hence  $B^{-1}(Av(1)) = \{\varepsilon\} = Av(1)$ .*

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*The only permutations  $\sigma$  such that  $B(\sigma)$  avoids 12 are  $\varepsilon$  and 1.  
Hence  $B^{-1}(Av(12)) = \{\varepsilon, 1\} = Av(12, 21)$ .*

**Proof:**  $B(\sigma)$  always ends with its maximum.

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# Patterns $\pi \in S_n$ ending with $n$ but not with $(n-1)n$

## Lemma

If  $\pi \in S_n$  with  $n \geq 3$  is such that  $\pi(n) = n$  but  $\pi(n-1) \neq n-1$ , then setting  $\pi' = \pi(1)\pi(2)\dots\pi(n-1)$  we have  $B^{-1}(Av(\pi)) = B^{-1}(Av(\pi'))$ .

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- $\sigma \in B^{-1}(Av(\pi')) \Rightarrow B(\sigma)$  avoids  $\pi'$   
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This lemma applies in particular for  $\pi = (n-1)\alpha n$  with  $\alpha \neq \varepsilon$  and  $\pi = a\alpha b\beta n$  with  $\beta \neq \varepsilon$ .

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Hence  $B(\sigma) = B(\sigma_1)\sigma_2m$  avoids  $\pi'$  and  $\sigma \in B^{-1}(Av(\pi'))$ .

This lemma applies in particular for  $\pi = (n-1)\alpha n$  with  $\alpha \neq \varepsilon$  and  $\pi = a\alpha b\beta n$  with  $\beta \neq \varepsilon$ .

# Summary of results

$\pi$	$B^{-1}(Av(\pi))$	Basis	Proof
1	is a class	1	✓
12	is a class	12, 21	✓
21	is a class	231, 321	✓
$n\alpha, \alpha \neq \varepsilon$	is a class	$n(n+1)\alpha, (n+1)n\alpha$	
$(n-1)\alpha n, \alpha \neq \varepsilon$	is a class	$(n-1)n\alpha, n(n-1)\alpha$	✓
$a\alpha b\beta, \beta \neq \varepsilon$	is a class	$R(\pi)$	
$a\alpha b\beta n, \beta \neq \varepsilon$	is a class	$R(a\alpha b\beta)$	✓
$(n-2)\alpha(n-1)n$	is a class	$(n-2)(n-1)\alpha n,$ $(n-1)(n-2)\alpha n,$ $(n-2)n\alpha(n-1),$ $n(n-2)\alpha(n-1)$	
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# Patterns $\pi \in S_n$ with at least three LtoR-maxima $\neq \pi(n)$

## Proposition

If  $\pi = a\alpha b\beta c\gamma$ , with  $a$ ,  $b$  and  $c$  the first three LtoR-maxima of  $\pi$  and  $\gamma \neq \varepsilon$ , then  $B^{-1}(Av(\pi))$  is not a class.

## Proof:

By the previous lemma, we may assume that  $\pi = a\alpha b\beta c\gamma n$ .

Set  $\theta_1 = ba\alpha n\beta c\gamma$  and  $\theta_2 = (n+1)\theta_1$ . Notice that  $\theta_1 \preceq \theta_2$ .

- Clearly,  $B(\theta_1) = \pi$  and  $\theta_1 \notin B^{-1}(Av(\pi))$ .
- $B(\theta_2) = ba\alpha n\beta c\gamma(n+1)$   
Since  $B(\theta_2)$  is only one term longer than  $\pi$ , we easily check that  $B(\theta_2)$  avoids  $\pi$ . Hence  $\theta_2 \in B^{-1}(Av(\pi))$ .

We have  $B^{-1}(Av(\pi)) \not\cong \theta_1 \preceq \theta_2 \in B^{-1}(Av(\pi))$ . Consequently,  $B^{-1}(Av(\pi))$  is not a class.



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# Common framework for the remaining cases

## Lemma

*For any pattern  $\pi$ , if there exists a set  $\mathcal{R}$  of permutations such that  $\forall \sigma, \pi \preceq B(\sigma) \Leftrightarrow \rho \preceq \sigma$  for some  $\rho \in \mathcal{R}$ , then  $B^{-1}(Av(\pi))$  is a class. Furthermore, if  $\mathcal{R}$  is minimal, it is the basis of  $B^{-1}(Av(\pi))$ .*

**Proof:** Show that  $B^{-1}(Av(\pi))$  is downward closed for  $\preceq$ .

$$\begin{aligned} \sigma &\notin B^{-1}(Av(\pi)) \\ \Leftrightarrow B(\sigma) &\notin Av(\pi) \\ \Leftrightarrow \pi &\preceq B(\sigma) \\ \Leftrightarrow \exists \rho \in \mathcal{R}, &\rho \preceq \sigma \end{aligned}$$

so that  $\sigma \in B^{-1}(Av(\pi)) \Leftrightarrow \forall \rho \in \mathcal{R}, \rho \not\preceq \sigma$ .

This shows that  $B^{-1}(Av(\pi))$  is a downset, hence a class.

This also shows that the minimal  $\mathcal{R}$  is its basis.

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**Proof:** Show that  $B^{-1}(Av(\pi))$  is downward closed for  $\preceq$ .

$$\sigma \notin B^{-1}(Av(\pi))$$

$$\Leftrightarrow B(\sigma) \notin Av(\pi)$$

$$\Leftrightarrow \pi \preceq B(\sigma)$$

$$\Leftrightarrow \exists \rho \in \mathcal{R}, \rho \preceq \sigma$$

so that  $\sigma \in B^{-1}(Av(\pi)) \Leftrightarrow \forall \rho \in \mathcal{R}, \rho \not\preceq \sigma$ .

This shows that  $B^{-1}(Av(\pi))$  is a downset, hence a class.

This also shows that the minimal  $\mathcal{R}$  is its basis.

# Patterns $\pi \in S_n$ starting with $n$

## Proposition

*If  $\pi \in S_n$  is such that  $\pi = n\alpha$  for  $\alpha \neq \varepsilon$ , then  $B^{-1}(Av(\pi))$  is a class whose basis is  $\{n(n+1)\alpha, (n+1)n\alpha\}$ .*

## Lemma

*If  $\pi \preccurlyeq B(\sigma)$ , consider an occurrence  $p\lambda \subseteq B(\sigma)$ .*

*Then there exists  $q > p > \lambda$  such that  $pq\lambda \subseteq \sigma$  or  $qp\lambda \subseteq \sigma$ .*

*Hence  $n(n+1)\alpha$  or  $(n+1)n\alpha \preccurlyeq \sigma$ .*

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Hence  $\pi \preceq B(\sigma)$ .

# Proof of the first lemma for $\pi = n\alpha$ with $\alpha \neq \varepsilon$

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If  $\pi \preceq B(\sigma)$ , consider an occurrence  $p\lambda \subseteq B(\sigma)$ .

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Hence  $n(n+1)\alpha$  or  $(n+1)n\alpha \preceq \sigma$ .

**Proof:** by induction on  $|\sigma|$ .

- If  $|\sigma| \leq 2$ , result vacuously true (since  $B(\sigma)$  ends with its maximum).
- If  $\sigma = \sigma_1 m \sigma_2$  with  $m = |\sigma| > 2$ , then  $p\lambda \subseteq B(\sigma_1)\sigma_2 m$ .  
Because  $p\lambda$  does not end with its maximum,  $p\lambda \subseteq B(\sigma_1)\sigma_2$ .
- ★ If  $\lambda = \lambda_1 \lambda_2$  with  $\lambda_1 \neq \varepsilon$ ,  $p\lambda_1 \subseteq B(\sigma_1)$  and  $\lambda_2 \subseteq \sigma_2$ , then by induction  $p\lambda_1 \subseteq B(\sigma_1)$  implies that  $\exists q > p$  such that  $pq\lambda_1 \subseteq \sigma_1$  or  $qp\lambda_1 \subseteq \sigma_1$ .  
Hence  $\sigma = \sigma_1 m \sigma_2$  contains an occurrence of  $pq\lambda_1 \lambda_2$  or of  $qp\lambda_1 \lambda_2$ .
- ★ If  $p \subseteq B(\sigma_1)$  and  $\lambda \subseteq \sigma_2$ , then  $p \subseteq \sigma_1$  and  $pm\lambda \subseteq \sigma_1 m \sigma_2 = \sigma$ .
- ★ If  $p\lambda \subseteq \sigma_2$ , then  $mp\lambda \subseteq m\sigma_2 \subseteq \sigma$ .

# Proof of the second lemma for $\pi = n\alpha$ with $\alpha \neq \varepsilon$

## Lemma

If  $n(n+1)\alpha$  or  $(n+1)n\alpha \preceq \sigma$ , consider an occurrence  $pq\lambda$  or  $qp\lambda \subseteq \sigma$ .

Then  $p\lambda \subseteq B(\sigma)$ .

Hence  $\pi \preceq B(\sigma)$ .

## Proof:

Recall that if  $\sigma = n_1\lambda_1n_2\lambda_2\cdots n_k\lambda_k$  where  $n_1, \dots, n_k$  are the left to right maxima of  $\sigma$  then  $B(\sigma) = \lambda_1n_1\lambda_2n_2\cdots \lambda_kn_k$ .

Hence, the order of the elements not LtoR-maxima is preserved by  $B$ .

- If  $qp\lambda \subseteq \sigma$ ,  $p\lambda$  are not LtoR-maxima. Hence  $p\lambda \subseteq B(\sigma)$ .
- This also holds when  $pq\lambda \subseteq \sigma$  and  $p$  is not a LtoR-maximum.
- If  $pq\lambda \subseteq \sigma$  and  $p$  is a LtoR-maximum, then there exists some  $r$  between  $p$  and  $q$  (possibly  $r = q$ ) in  $\sigma$  that is a LtoR-maximum. This implies that  $p$  still precedes  $\lambda$  in  $B(\sigma)$ , hence  $p\lambda \subseteq B(\sigma)$ .

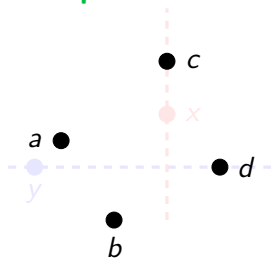
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$a\alpha b\beta, \beta \neq \varepsilon$	is a class	$R(\pi)$	
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# Introducing ambiguity in diagram representations

- A set of points in the plane that are pairwise neither horizontally nor vertically aligned represents a permutation.
- When some points are horizontally or vertically aligned, **sets of permutations** are represented (considering all possible disambiguations).

## Example:

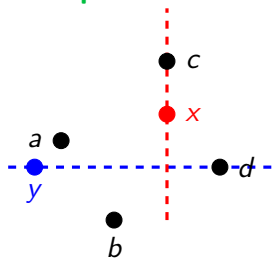


- $\{a, b, c, d\}$  represents 3142.
- $\{a, b, c, d, x, y\}$  represents the set  $\{241563, 241653, 341562, 341652\}$ .

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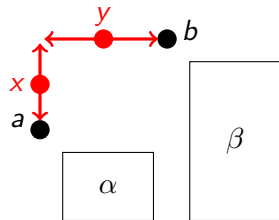
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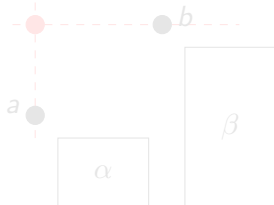
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# Definition of $R(\pi)$ for $\pi = a\alpha b\beta$ with $\beta \neq \varepsilon$

$R(\pi)$  is the set of **minimal** permutations in the set



When  $x$  is above  $\beta$  and  $y$  is to the left of  $\alpha$ ,  $x$  and  $y$  coalesce into a unique point.



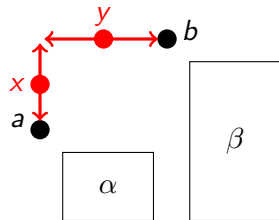
## Remark

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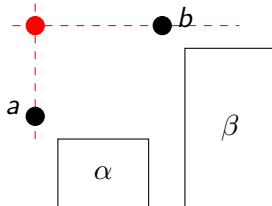
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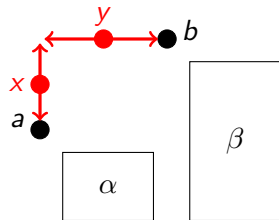
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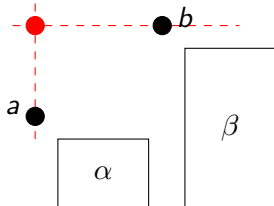


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# Patterns $\pi \in S_n$ with two LtoR-maxima $\neq \pi(n)$

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*If  $\pi \in S_n$  is such that  $\pi = a\alpha b\beta$  for  $\beta \neq \varepsilon$ , then  $B^{-1}(Av(\pi))$  is a class whose basis is  $R(\pi)$ .*

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*If  $\pi \preccurlyeq B(\sigma)$ , consider an occurrence  $p\lambda q\mu \subseteq B(\sigma)$ .*

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Such a sequence is a permutation in  $R(\pi)$ .

The proof follows by induction on  $|\sigma|$ .

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## Proof of the first lemma, continued

As before, distinguish how  $p\lambda q\mu$  can lie across  $B(\sigma_1)\sigma_2$ .

- ★ If  $\mu = \mu_1\mu_2$  with  $\mu_1 \neq \varepsilon$ ,  $p\lambda q\mu_1 \subseteq B(\sigma_1)$  and  $\mu_2 \subseteq \sigma_2$  then by induction  $\sigma_1$  contains a subsequence of the form  $p x \lambda_1 y \lambda_2 z \mu_1$  or  $x p \lambda_1 y \lambda_2 z \mu_1$  to which  $\mu_2$  can be appended.
- ★ If  $p\lambda q \subseteq B(\sigma_1)$  and  $\mu \subseteq \sigma_2$ , then by a previous lemma  $\exists t > p$  such that  $tp\lambda$  or  $pt\lambda \subseteq \sigma_1$ . If  $q$  is to the left of  $\lambda$  in  $\sigma$ , then  $p q \lambda t \mu$  or  $q p \lambda t \mu \subseteq \sigma$  is of the required form. Otherwise,  $q$  and  $t$  can play the rôle of  $y$  and  $x$ , and appending  $m\mu$  gives the desired subsequence.
- ★ If  $\lambda = \lambda_1\lambda_2$  with  $\lambda_1 \neq \varepsilon$ ,  $p\lambda_1 \subseteq B(\sigma_1)$  and  $\lambda_2 q \mu \subseteq \sigma_2$ , then as before  $\exists x > p$  such that  $x p \lambda_1$  or  $p x \lambda_1 \subseteq \sigma_1$ . Appending  $m\lambda_2 q \mu$  gives the desired subsequence.
- ★ If  $p \subseteq B(\sigma_1)$  and  $\lambda q \mu \subseteq \sigma_2$ , then  $p m \lambda q \mu \subseteq \sigma_1 m \sigma_2 = \sigma$  is of the desired form, with  $x$  and  $y$  coalescing in  $m$ .
- ★ If  $p\lambda q \mu \subseteq \sigma_2$ , then  $m p \lambda q \mu \subseteq \sigma$ . Again,  $x$  and  $y$  coalesce in  $m$ .

# Proof of the second lemma

## Lemma

*If  $\sigma$  contains an occurrence  $px\lambda_1y\lambda_2q\mu$  or  $xp\lambda_1y\lambda_2q\mu$  of some pattern in  $R(\pi)$ , then there exists a subsequence of  $B(\sigma)$  which is an occurrence of  $\pi$ .*

**Proof:** Recall that if  $\sigma = n_1\lambda_1n_2\lambda_2\cdots n_k\lambda_k$  where  $n_1, \dots, n_k$  are the left to right maxima of  $\sigma$  then  $B(\sigma) = \lambda_1n_1\lambda_2n_2\cdots\lambda_kn_k$ .

Hence  $\lambda\mu \subseteq B(\sigma)$ . Notice also that  $p\lambda q\mu$  is an occurrence of  $\pi$  in  $\sigma$ .

1. We show that  $p$  is to the left of  $\lambda$  in  $B(\sigma)$ .

- If  $p$  is not a LtoR-maximum, this is true.
- If  $p$  is a LtoR-maximum, then  $px\lambda_1y\lambda_2q\mu \subseteq \sigma$  and there exists some  $t$  between  $p$  and  $x$  (possibly  $t = x$ ) in  $\sigma$  that is a LtoR-maximum. This implies that  $p$  still precedes  $\lambda$  in  $B(\sigma)$ .

2. We show that there exists  $r$  in  $B(\sigma)$  between  $\lambda$  and  $\mu$  with  $r > p\lambda\mu$  (to be continued).

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1. We show that  $p$  is to the left of  $\lambda$  in  $B(\sigma)$ . ✓
2. We show that there exists  $r$  in  $B(\sigma)$  between  $\lambda$  and  $\mu$  with  $r > p\lambda\mu$ .
  - If  $q$  is not a LtoR-maximum, choose  $r = q$ .
  - If  $q$  is a LtoR-maximum, choose  $r =$  the LtoR-maximum of  $\sigma$  immediately to the left of  $q$ . Then  $p\lambda r\mu \subseteq B(\sigma)$ .

By contradiction, assume that  $r < y$  then in  $\sigma$  we have

- ★ either  $\cdots y \cdots r \cdots q \cdots$ , and  $r$  is not a LtoR-maximum,
- ★ or  $\cdots r \cdots y \cdots q \cdots$ , and there is a LtoR-maximum between  $r$  and  $q$ .

Hence  $r \geq y$ , and  $r > p\lambda\mu$  as desired.



# Summary of results

$\pi$	$B^{-1}(Av(\pi))$	Basis	Proof
1	is a class	1	✓
12	is a class	12, 21	✓
21	is a class	231, 321	✓
$n\alpha, \alpha \neq \varepsilon$	is a class	$n(n+1)\alpha, (n+1)n\alpha$	✓
$(n-1)\alpha n, \alpha \neq \varepsilon$	is a class	$(n-1)n\alpha, n(n-1)\alpha$	✓
$a\alpha b\beta, \beta \neq \varepsilon$	is a class	$R(\pi)$	✓
$a\alpha b\beta n, \beta \neq \varepsilon$	is a class	$R(a\alpha b\beta)$	✓
$(n-2)\alpha(n-1)n$	is a class	$(n-2)(n-1)\alpha n,$ $(n-1)(n-2)\alpha n,$ $(n-2)n\alpha(n-1),$ $n(n-2)\alpha(n-1)$	
$a\alpha b\beta c\gamma, \gamma \neq \varepsilon$	is not a class		✓

Patterns  $\pi \in S_n$  with 3 LtoR-max.  $\pi(1)$ ,  $\pi(n-1)$  and  $\pi(n)$

### Proposition

If  $\pi \in S_n$  is such that  $\pi = (n-2)\alpha(n-1)n$ , then  $B^{-1}(Av(\pi))$  is a class whose basis is

$\{(n-2)(n-1)\alpha n, (n-1)(n-2)\alpha n, (n-2)n\alpha(n-1), n(n-2)\alpha(n-1)\}$ .

### Lemma

If  $\pi \preceq B(\sigma)$ , consider an occurrence  $p\lambda q r \subseteq B(\sigma)$ .

Then there exists a subsequence of  $\sigma$  which is an occurrence of some pattern among the four above.

### Lemma

If  $\sigma$  contains an occurrence of some pattern among the four above, then there exists a subsequence of  $B(\sigma)$  which is an occurrence of  $\pi$ .

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# Some open questions

Q1. When is  $B^{-1}(Av(\mathcal{B}))$  a class, for  $|\mathcal{B}| \geq 2$ ?

Partial answer:  $B^{-1}(Av(\mathcal{B}))$  is a class when  $B^{-1}(Av(\pi))$  is a class for every  $\pi \in \mathcal{B}$ , but not only.

- $B^{-1}(Av(\mathcal{B})) = \bigcap_{\pi \in \mathcal{B}} B^{-1}(Av(\pi))$ .
- An example is  $\Gamma_3 =$  the set of permutations of length 4 ending with 1:  $B^{-1}(Av(\Gamma_3))$  is a class, although  $\Gamma_3$  contains 2341 and  $B^{-1}(Av(2341))$  is not a class.

Q2. Are the growth rates of  $\mathcal{C}$  and  $B^{-1}(\mathcal{C})$  related?

Growth rate of a permutation class  $\mathcal{C} = \limsup_{n \rightarrow \infty} \sqrt[n]{c_n}$   
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# Composing sorting operators

- $SB$ -sortable permutations:

$$\hookrightarrow (SB)^{-1}(Av(21)) = B^{-1}(Av(231)) = Av(3241, 2341, 4231, 2431)$$

- $B^2$ -sortable permutations:

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- $B^k$ -sortable permutations:

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- built from  $B, S, \dots$  and symmetries of the permutations  $(i, r, c)$
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