

The Generalized Robinson-Foulds Metric^{*}

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Abstract. The Robinson-Foulds (RF) metric is arguably the most widely used measure of phylogenetic tree similarity, despite its well-known shortcomings: For example, moving a single taxon in a tree can result in a tree that has maximum distance to the original one; but the two trees are identical if we remove the single taxon. To this end, we propose a natural extension of the RF metric that does not simply count *identical* clades but instead, also takes *similar* clades into consideration. In contrast to previous approaches, our model requires the matching between clades to respect the structure of the two trees, a property that the classical RF metric exhibits, too. We show that computing this generalized RF metric is, unfortunately, NP-hard. We then present a simple Integer Linear Program for its computation, and evaluate it by an all-against-all comparison of 100 trees from a benchmark data set. We find that matchings that respect the tree structure differ significantly from those that do not, underlining the importance of this natural condition.

1 Introduction

In 1981, Robinson and Foulds introduced an intriguingly simple yet intuitively well-motivated metric, which is nowadays known as *Robinson-Foulds (RF) metric* [18]. Given two phylogenetic trees, this metric counts the number of splits or clades induced by one of the trees but not the other. The RF metric is highly conservative, as only perfectly conserved splits or clades do not count towards the distance. The degree of conservation between any pair of clades that is not perfectly conserved, does not change the RF distance. See Fig. 1 for an example of two trees that are structurally similar but have maximum RF distance.

Other measures for comparing phylogenetic trees do capture that the trees in Fig. 1 are structurally similar: The Maximum Agreement Subtree (MAST)

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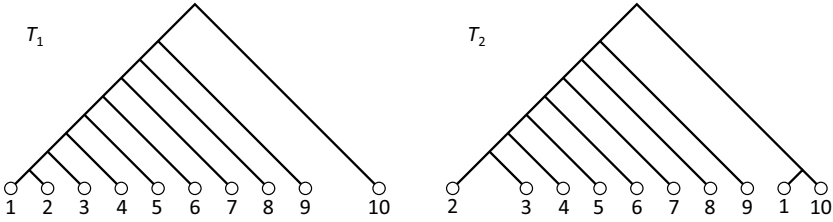


Fig. 1. Two rooted phylogenetic trees. Despite their high similarity, the RF distance of these two trees is 16, the maximum distance of two rooted trees with ten leaves.

score [11, 13] of the two trees is 9, where 10 is the highest possible score of two trees with 10 leaves. Secondly, the triplet distance counts the number of induced triplet trees on three taxa that are not shared by the two trees [2, 6]. Both measures are less frequently applied than the RF metric, and one may argue that this is due to certain “issues” of these measures: For example, if the trees contain (soft) polytomies or arbitrarily resolved polytomies, then we may have to exclude large parts of the trees from the MAST due to a single polytomy. Lastly, there are distance measures based on the number of branch-swapping operations to transform one tree into another; many of these measures are computationally hard to compute [1]. Such tree modifications are routinely used in local search optimization procedures, but rarely to compute distances in practice.

From an applied view, the comparison of two phylogenetic trees with identical taxa set has been frequently addressed in the literature [12, 16, 17]. This is of interest for comparing phylogenetic trees computed using different methods, output trees of an (MC)MCMC method, or host-parasite comparisons. Mutzner *et al.* [16] introduced the “best corresponding node” concept which, unfortunately, is not symmetric: Node a in the first tree may correspond to node b in the second, whereas b corresponds to a different node c in the first tree, and so on. Nye *et al.* [17] suggested to compute a matching between the inner nodes of the two trees, thereby enforcing symmetry. Later, Bogdanowicz [3] and, independently, Lin *et al.* [15] proposed to use these matchings to introduce a “generalized” version of the RF distance, see also [4]. Using matchings for comparing trees as part of MAST computations, was pioneered by Kao *et al.* [13].

Here, we present a straightforward generalization of the RF distance that allows us to relax its highly conservative behavior. At the same time, we can make this distance “arbitrarily similar” to the original RF distance. Unfortunately, computing this new distance is NP-hard, as we will show in Section 3. Our work generalizes and formalizes that of Nye *et al.* [17]: Their clade matching does not respect the structure of the two trees, see Fig. 1 and below. As a consequence, the matching distances from [3, 15] are no proper generalization of the RF distance: These distances treat the two input trees as collections of (unrelated) clades but *ignore the tree topologies*. In contrast, the RF distance does respect tree topologies, and so does our generalization.

In the following, we will concentrate on rooted phylogenetic trees.

2 The Generalized Robinson-Foulds Distance

Let $T = (V, E)$ be a rooted phylogenetic tree over the set of taxa X : That is, the leaves of T are (labeled by) the taxa X . We assume that T is arboreal, so all edges of T are pointing away from the root. In the following, we assume that any tree is an arboreal, rooted phylogenetic tree, unless stated otherwise. A set $Y \subseteq X$ is a *clade* of T if there exists some vertex $v \in V$ such that Y is the set of leaves below v . We call Y *trivial* if $|Y| = 1$ or $Y = X$. Since the trivial clades are identical for any two trees with taxa set X , we will restrict ourselves to the set $\mathcal{C}(T)$ of non-trivial clades of T . Let $\mathcal{P}(X)$ be the set of subsets of X .

Let T_1, T_2 be two phylogenetic trees over the set of taxa X , and let $\mathcal{C}_j := \mathcal{C}(T_j)$ for $j = 1, 2$ be the corresponding sets of non-trivial clades. The original RF distance counts zero whenever we can find a clade in both trees, and one if we find it in exactly one tree. We want to relax this by computing a matching between the clades of the two trees, and by assigning a cost function that measures the dissimilarity between the matched clades. To this end, we define a *cost function*

$$\delta : (\mathcal{P}(X) \cup \{-\}) \times (\mathcal{P}(X) \cup \{-\}) \rightarrow \mathbb{R}_{\geq 0} \cup \{\infty\} . \quad (1)$$

Now, $\delta(Y_1, Y_2)$ measures the dissimilarity of two arbitrary clades $Y_1, Y_2 \subseteq X$. The symbol ‘ $-$ ’ is the gap symbol, and we define $\delta(Y_1, -) > 0$ to be the cost of leaving some clade Y_1 of the first tree without a counterpart in the second tree; analogously, we define $\delta(-, Y_2) > 0$.

2.1 Matchings and Arboreal Matchings

Let $m \subseteq \mathcal{C}_1 \times \mathcal{C}_2$ be a *matching* between \mathcal{C}_1 and \mathcal{C}_2 : That is, $(Y_1, Y_2), (Y'_1, Y'_2) \in m$ implies $Y_1 = Y'_1$, and $(Y_1, Y_2), (Y_1, Y'_2) \in m$ implies $Y_2 = Y'_2$. We say that $Y_1 \in \mathcal{C}_1$ (or $Y_2 \in \mathcal{C}_2$) is *unmatched* if there is no $(Y'_1, Y'_2) \in m$ with $Y_1 = Y'_1$ (or $Y_2 = Y'_2$, respectively). We define the *cost* $d(m)$ of the matching m as:

$$d(m) := \sum_{(Y_1, Y_2) \in m} \delta(Y_1, Y_2) + \sum_{\substack{Y_1 \in \mathcal{C}_1 \\ Y_1 \text{ unmatched}}} \delta(Y_1, -) + \sum_{\substack{Y_2 \in \mathcal{C}_2 \\ Y_2 \text{ unmatched}}} \delta(-, Y_2) \quad (2)$$

Now, we could define a generalization of the Robinson-Foulds distance between T_1, T_2 (with respect to δ) to be the minimum cost of any matching between \mathcal{C}_1 and \mathcal{C}_2 . One can easily see that for $\delta(Y, Y) = 0$, $\delta(Y, Y') = \infty$ for $Y \neq Y'$, and $\delta(Y, -) = \delta(-, Y) = 1$ we reach the original RF distance.

How can we compute a matching of minimum cost? This is actually straightforward: We define a complete bipartite graph G with vertex set $\mathcal{C}_1 \cup \mathcal{C}_2$, and for any pair $C_1 \in \mathcal{C}_1, C_2 \in \mathcal{C}_2$ we define the weight of the edge (C_1, C_2) as $w(C_1, C_2) := \delta(C_1, -) + \delta(-, C_2) - \delta(C_1, C_2)$. Now, finding a matching with minimum cost corresponds to finding a maximum matching in G . In case δ is a metric, all edges in G have non-negative weight.

Unfortunately, finding a minimum cost matching will usually result in an unexpected—and undesired—behavior: Consider the two trees from Fig. 1 together with the cost function

$$\delta(Y_1, Y_2) = |Y_1 \cup Y_2| - |Y_1 \cap Y_2| = |Y_1 \triangle Y_2| \quad (3)$$

which is the cardinality of the *symmetric difference* $Y_1 \triangle Y_2$ of Y_1, Y_2 . In addition, we define $\delta(Y, -) = \delta(-, Y) = |Y|$. We note that δ is a metric. One can easily see that the matching with minimum cost matches clade $\{1, \dots, j\}$ from T_1 to $\{2, \dots, j\}$ from T_2 for all $j = 3, \dots, 10$. But in addition, clade $\{1, 2\}$ from T_1 is matched to clade $\{1, 10\}$ from T_2 , since

$$\delta(\{1, 2\}, \{1, 10\}) = 2 < 4 = \delta(\{1, 2\}, -) + \delta(-, \{1, 10\}) .$$

This means that the matching with minimum cost does not respect the structure of the two trees T_1, T_2 : Clade $\{1, 2\}$ in T_1 is a subclade of all $\{1, \dots, j\}$ whereas clade $\{1, 10\}$ in T_2 is no subclade of any $\{2, \dots, j\}$, for $j = 3, \dots, 10$. To this end, clades $\{1, 2\}$ and $\{1, 10\}$ should not be matched in a “reasonable” matching.

We say that a matching m is *arboreal* if no pair of matched clades is in *conflict*, that is, for any $(Y_1, Y_2), (Y'_1, Y'_2) \in m$, one of the three cases holds:

- (i) $Y_1 \subseteq Y'_1$ and $Y_2 \subseteq Y'_2$;
- (ii) $Y_1 \supseteq Y'_1$ and $Y_2 \supseteq Y'_2$; or
- (iii) $Y_1 \cap Y'_1 = \emptyset$ and $Y_2 \cap Y'_2 = \emptyset$.

This allows us to define the *generalized Robinson-Foulds distance* between T_1, T_2 (with respect to δ) to be the minimum cost of a arboreal matching between \mathcal{C}_1 and \mathcal{C}_2 . Whereas it is straightforward to compute a bipartite matching of minimum cost, it is less clear how to obtain an minimum cost arboreal bipartite matching. The formal problem statement is as follows:

Minimum Cost Arboreal Bipartite Matching. Given two rooted phylogenetic trees T_1, T_2 on X and a cost function δ , find a arboreal matching between $\mathcal{C}(T_1)$ and $\mathcal{C}(T_2)$ of minimum cost, as defined in (2).

This problem differs from the NP-complete *tree-constrained bipartite matching problem introduced in [5] in that cases (i) and (ii) are considered infeasible in [5]*. Unfortunately, the problem remains NP-complete, as we will show in Sec. 3.

For arbitrary cost functions δ we cannot draw conclusions about the resulting generalized Robinson-Foulds distance. But in case δ is a metric, this distance is a metric, too:

Lemma 1. *Given a metric δ as defined in (1); then, the induced generalized Robinson-Foulds distance d_{GRF} is a metric on the set of phylogenetic rooted trees on X .*

For the proof, the central point is that the combination of two arboreal matchings is also a arboreal matching; we defer the details to the full version of this paper.

2.2 The Jaccard-Robinson-Foulds Metric

Up to this point, we have assumed that δ can be an arbitrary metric. Now, we suggest one particular type that, again, appears quite naturally as a generalization of the original Robinson-Foulds metric: Namely, we will concentrate on a

measure that is motivated by the Jaccard index $J(A, B) = |A \cap B| / |A \cup B|$ of two sets A, B . For two clades Y, Y' , we define the *Jaccard weights of order k* as

$$\delta_k(Y, Y') := 2 - 2 \cdot \left(\frac{|Y \cap Y'|}{|Y \cup Y'|} \right)^k \quad (4)$$

where $k \geq 1$ is an arbitrary (usually integer) constant. In addition, we define $\delta_k(Y, -) = \delta_k(-, Y') = 1$ and, for completeness, $\delta_k(\emptyset, \emptyset) = 0$. The factor “2” in eq. (4) is chosen to guarantee compatibility with the original Robinson-Foulds metric. Nye *et al.* [17] suggested a similar metric without the exponent k . It is straightforward to check that (4) defines a metric, see [8] and the full version of this paper. We call the generalized Robinson-Foulds metric using δ_k from (4) the *Jaccard-Robinson-Foulds (JRF) metric of order k* , and denote it by $d_{\text{JRF}}^{(k)}$. More precisely, for two trees T_1, T_2 , $d_{\text{JRF}}^{(k)}(T_1, T_2)$ denotes the minimum cost of any matching between $\mathcal{C}(T_1)$ and $\mathcal{C}(T_2)$, using δ_k from (4) in (2).

For any two trees and any $k \geq 1$ we clearly have $d_{\text{JRF}}^{(k)}(T_1, T_2) \leq d_{\text{RF}}(T_1, T_2)$, as the matching of the RF metric is clearly arboreal. For $k \rightarrow \infty$ we reach $\delta_k(Y, Y) \rightarrow 0$ and $\delta_k(Y, Y') \rightarrow 1$ for $Y \neq Y'$, the inverse Kronecker delta. To this end, the JRF metric $d_{\text{JRF}}^{(k)}$ also converges to the original Robinson-Foulds metric d_{RF} . Furthermore, for any two trees T_1, T_2 there exists some k' such that for all $k \geq k'$, the matchings for d_{RF} and $d_{\text{JRF}}^{(k)}$ are “basically identical”: All exact clade matches will be contained in the matching of $d_{\text{JRF}}^{(k)}$. We defer the details to the full version of this paper.

3 Complexity of the Problem

In this section we prove hardness of the minimum arboreal matching problem, even if δ (and thus the induced RF distance, see Lemma 1) is a metric.

In the following we devise a polynomial-time reduction τ from (3, 4)-SAT, the problem of deciding whether a Boolean formula in which every clause is a disjunction of exactly 3 literals and ever variable occurs 4 times, has a satisfying assignment. This problem was shown to be NP-hard in [10]. Given a formula φ with m clauses over n variables, we construct a minimum arboreal matching instance I under metric (3), such that φ is satisfiable if and only if I admits a matching of cost $d(M_0) - 10n - 26m - 5 \cdot 2^4 - (k + 1)2^k - q$, where M_0 is the empty matching.

For each variable x_i we construct a gadget as shown in Figure 2. The next lemma shows that, under certain assumptions, there are precisely two optimal solutions to the variable gadgets. We will use these two matchings to represent a truth assignment to variable x_i .

Lemma 2. *Consider the gadget of a variable x_i as depicted in Figure 2. Under the restriction that none of the ancestors of nodes v and v' is matched, there are two optimal matchings of trees T_{1i} and T_2 of cost $d(M_0) - 10$. M_{1i} contains (v, v') and (u, u') and matches leaves labeled l_i and α_i , and $M_{\bar{1}i}$ contains (v, v'') and (u, u'') and matches leaves labeled \bar{l}_i and $\bar{\alpha}_i$.*

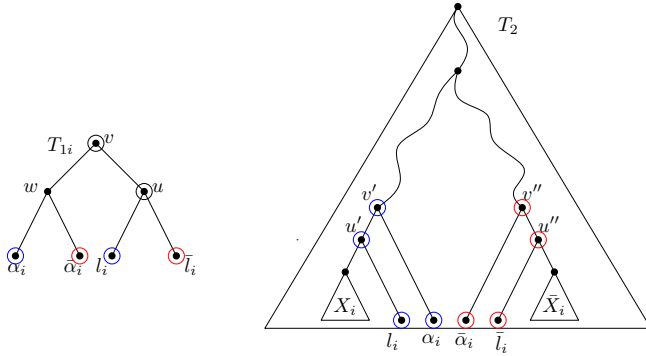


Fig. 2. Variable Gadget. Vertices covered by optimal matchings M_l and $M_{\bar{l}}$ are marked in blue and red, respectively. Vertices marked in black are covered in both optimal matchings.

Proof. In the following we assume that none of the ancestors of v and v' can be matched. Let $M_0 = \emptyset$ be the empty matching between T_{1i} and T_2 , and let M_a denote the matching that matches all leaves with identical labels. Then, M_a is maximal and $d(M_a) = d(M_0) - 8$. If we match u to either u' or to u'' , a feasible matching cannot match leaves labeled \bar{l}_i or leaves labeled l_i , respectively. Similarly, matching w to v' or to v'' invalidates the matching of leaves labeled $\bar{\alpha}_i$ or leaves labeled α_i , respectively. In both cases the overall cost remains unchanged compared to M_a . If we match v to v' , only leaves labeled l_i and α_i can be matched to corresponding leaves in T_2 . A feasible matching of node w to any node in T_{2i} does not reduce the total cost, since none of the labels of descendants of v' contains α_i or $\bar{\alpha}_i$. However, matching u to u' does not introduce any conflict and further decreases the cost. The resulting matching (see Figure 2), M_l , has cost $d(M_l) = d(M_0) - 10$. By a symmetric argument, a maximum matching $M_{\bar{l}}$ containing (v, v'') matches u to u'' and leaves labeled \bar{l}_i and $\bar{\alpha}_i$, with $d(M_{\bar{l}}) = d(M_0) - 10$.

For each clause C_j we construct a clause gadget as shown in Figure 3.

Lemma 3. *Consider the gadget of a clause C_j as depicted in Figure 3. Under the restriction that no common ancestor of w_i , w_k , or w_l is matched, there exists an optimal matching M of C_j and T_2 that matches all vertices in one of the subtrees rooted at w_i , w_k , or w_l and none of the remaining vertices, and has cost $d(M) = d(M_0) - 26$.*

Proof. Let $M_0 = \emptyset$ be the empty matching between C_j and T_2 , and let M_a denote the matching that matches all leaves with identical labels. Then M_a is maximal and $d(M_a) = d(M_0) - 24$. Matching any non-leaf node below u , v , or w in C_j to a node in T_2 that is not an ancestor of w_i , w_k , or w_l , yields a matching of cost at least as high as $d(M_a)$: At most one leaf in the subtree rooted at such

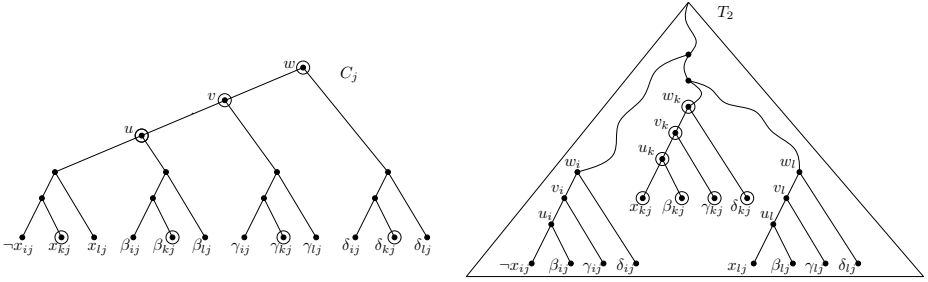


Fig. 3. Clause gadget for clause $C_j = (-x_i \vee x_k \vee x_l)$. Vertices covered by an optimal matching are marked.

a node u' can be matched to its corresponding leaf in T_2 , while the label overlap of u' with nodes in T_2 that are not ancestors of $w_i, w_k,$ or w_l , is at most 1.

If node u is matched to a node in T_2 with maximal label overlap that is not an ancestor of $w_i, w_k,$ or w_l , only 2 leaves in the subtree rooted at u can be matched to the corresponding leaves in T_2 . If the remaining nodes in T_1 are matched according to M_a the resulting matching has cost $d(M_0) - 20$.

Matching node v to a node in T_2 with maximal overlap that is not an ancestor of $w_i, w_k,$ or w_l , allows only 3 leaves in the subtree rooted at v to be matched to the corresponding leaves in T_2 . Additionally node u can be matched to a node in T_2 with label overlap of size 2. Matching the remaining nodes in C_j according to M_a yields a matching of cost $d(M_0) - 22$.

Finally, if node w is matched to a node in T_2 with maximal label overlap that is not an ancestor of $w_i, w_k,$ or w_l , in total 4 leaves in C_j can be matched to the corresponding leaves in T_2 . At the same time, u and v can be matched to nodes with maximal label overlap, yielding a matching M of cost $d(M) = d(M_0) - 26$ (see Figure 3). Since all edges in M have maximum label overlap under the assumption that no common ancestor of $w_i, w_k,$ or w_l is matched, M is optimal.

Next, we show how variable and clause gadgets together form $\tau(\varphi)$. For each occurrence of a positive or negative literal l_i or \bar{l}_i in a clause j we denote the subtrees rooted at $w_i, w_k,$ and w_l in T_2 (Figure 3) by L_{ij} or \bar{L}_{ij} , respectively. T_2 in Figure 3 show trees $\bar{L}_{ij}, L_{kj},$ and L_{lj} . Let j_1, \dots, j_h be the indices of clauses in which positive literal l_i occurs. Then, module X_i in Figure 2 is constructed as shown in Figure 4. Module \bar{X}_i is analogously composed of trees \bar{L} .

From variables gadgets (Figure 2) and clause gadgets (Figure 3) we construct two rooted trees T_1 and T_2 as depicted in Figure 5, where trees T_{2i} and \bar{T}_{2i} denote subtrees rooted at v' and v'' , respectively, in T_2 (Figure 2). T_1 and T_2 , together with cost function (3), form our instance $\tau(\varphi)$. Both trees connect subtrees of variable and clause gadgets in linear chains, augmented by two separator trees S_0 and S_1 . S_1 represents a complete binary trees of depth 4, and S_0 a complete binary tree of depth $k = \lceil \log(40n^2 + 141) \rceil$.

We assign leaves of separator trees arbitrary but unique taxa in a way, such that tree S_i in T_1 is an identical copy of S_i in $T_2, i \in \{1, 2\}$.

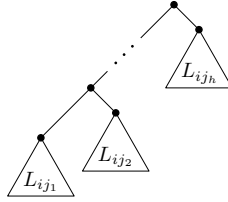


Fig. 4. Module X_i in the variable gadget for x_i is composed of one tree L_{ij} for each occurrence j of positive literal x_i

Lemma 4. Consider the construction $\tau(\varphi)$ in Figure 5. In an optimal matching of trees T_1 and T_2 , nodes in the backbone of T_1 , $\mathcal{B}_1 := \{c_1, \dots, c_m, t_{11}, \dots, t_{1n}\}$, and nodes in the backbone of T_2 , $\mathcal{B}_2 := \{t_{22}, \dots, t_{2n}, t'_{22}, \dots, t'_{2n}\}$, are unmatched.

Proof. First, an optimal solution must match roots r_1, r_2 , since edge (r_1, r_2) does not introduce any constraint on the remaining vertices and has maximum label overlap. Therefore, matching any node in \mathcal{B}_1 invalidates the matching of nodes in S_0 . According to conditions (i)-(iii), a feasible matching cannot match nodes from different subtrees in $\mathcal{T}_2 = \{T_{21}, \dots, T_{2n}, T'_{21}, \dots, T'_{2n}, S_0, S_1\}$ to nodes in \mathcal{B}_1 . Replacing all edges incident to nodes in \mathcal{B}_1 by a full matching of nodes in S_0 reduces the cost by at least

$$2 \left(\sum_{u \in S_0} |Y(u)| - \sum_{i=1}^n (|Y(t_{2i})| + |Y(t'_{2i})|) - \max_{T \in \mathcal{T}_2 \setminus \{S_0\}} \sum_{v \in T} |Y(v)| \right) \geq 2((k+1) \cdot 2^k - 16 - 40n^2 - 125), \tag{5}$$

where k is the depth of S_0 . The upper bound of 125 on $\sum_{v \in T_{2j}} |Y(u)|$ assumes that each variable occurs in at most 4 clauses, and $125 > \sum_{v \in S_1} |Y(u)|$. Note that the taxa assigned to the 16 leaves of S_1 are contained only in $Y(r_1)$ and that for each i , $|Y(t_{2i})| + |Y(t'_{2i})| \leq 20$. For the above chosen k it holds $(k+1) \cdot 2^k > 40n^2 + 141$.

Similarly, a feasible matching cannot match nodes from different subtrees in $\mathcal{T}_1 := \{C_1, \dots, C_m, T_{11}, \dots, T_{1n}, S_0, S_1\}$ to nodes in \mathcal{B}_2 . Assume the optimal solution matches nodes in a subtree C_i to nodes in \mathcal{B}_2 . Since every node in \mathcal{B}_2 is ancestor of S_1 , the nodes of S_1 are unmatched. Replacing the edges between C_i and \mathcal{B}_2 by a full matching of nodes in S_1 reduces the cost by at least

$$2 \left(\sum_{u \in S_1} |Y(u)| - \sum_{v \in C_i} |Y(u)| \right) = 2(80 - 59) > 0,$$

a contradiction. An analog argument applies to matching nodes in one of the trees T_{1i} to nodes in \mathcal{B}_2 , with $\sum_{u \in T_{1i}} Y(u) = 12 < \sum_{u \in S_1} Y(u)$. As the optimal matching of trees S_0 has cost 0, matching at least one node in S_0 in T_1 to a node in \mathcal{B}_2 strictly increases the overall cost.

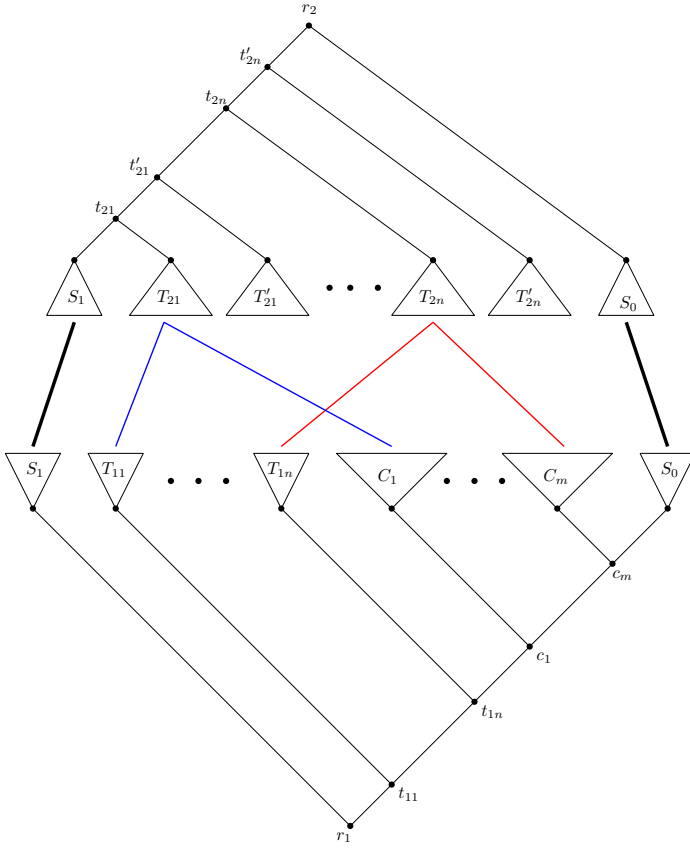


Fig. 5. Trees T_1 with root r_1 and T_2 with root r_2 in instance I , obtained from $\tau(\varphi)$. In an optimal solution trees S_0 and S_1 are fully aligned to each other (black lines). If a variable gadget is in M_l configuration (blue line), a clause in which the corresponding negative literal occurs can be matched optimally (blue line). The same holds for configuration $M_{\bar{l}}$ and positive literal occurrences (red lines).

Now we are ready to state the main theorem.

Theorem 1. *For an instance of the minimum arboreal matching problem with cost function (3) and an integer k , it is NP-complete to decide whether there exists an arboreal matching of cost at most k .*

Proof. First, we show that if φ is satisfiable, then $\tau(\varphi)$ admits a matching M of cost $d(M_0) - 10n - 26m - 5 \cdot 2^4 - (k + 1)2^k - q$, where k is the depth of tree S_0 and q is total number of leaves of tree T_1 or, equivalently, tree T_2 . For this, let ν be a satisfying assignment for φ . We start from $M = \emptyset$. For each variable x_i we set the corresponding variable gadget to configuration M_l if $\nu(x_i) = \text{false}$ and to configuration $M_{\bar{l}}$ if $\nu(x_i) = \text{true}$, each having cost $d(M_0) - 10$ (Lemma 2).

Additionally, we match each subtree representing a clause C_j to subtree T_{2i} or T'_{2i} following the construction in Lemma 3, where literal x_i or $\neg x_i$, respectively, is contained in C_j and evaluates to true under the assignment ν . Note that none of the ancestors of subtree X_i or \bar{X}_i (see Figure 2), respectively, is matched in this case (Lemma 2 and Lemma 4). Each clause therefore contributes $d(M_0) - 26$ to the overall cost (Lemma 3). Finally, trees S_0 and S_1 are covered by full matchings of their nodes and the roots r_1, r_2 are matched, yielding a matching of total cost

$$d(M_0) - 10n - 26m - 5 \cdot 2^4 - (k + 1)2^k - q \tag{6}$$

As an optimal solution matches roots r_1 and r_2 but none of the nodes in \mathcal{B}_1 or \mathcal{B}_2 (Lemma 4), any optimal matching must match subtrees in $\mathcal{T}_1 := \{C_1, \dots, C_m, T_{11}, \dots, T_{1n}, S_0, S_1\}$ and $\mathcal{T}_2 = \{T_{21}, \dots, T_{2n}, T'_{21}, \dots, T'_{2n}, S_0, S_1\}$ optimally. Since an optimal matching of any tree in \mathcal{T}_1 to \mathcal{T}_2 and vice versa is given by Lemmas 2 and 3, one can always derive a satisfying assignment of φ from M . Therefore, if φ is not satisfiable, the weight of a maximum matching in $\tau(\varphi)$ is strictly larger than (6).

4 An Integer Linear Program

In this section we introduce a simple integer linear programming formulation for the problem of finding a minimum cost arboreal matching between $\mathcal{C}(T_1)$ and $\mathcal{C}(T_2)$, given two rooted phylogenetic trees $T_1 = (V_1, E_1)$, $T_2 = (V_2, E_2)$, and a cost function δ . We number clades C in $\mathcal{C}(T_1)$ from 1 to $|V_1|$ and clades \bar{C} in $\mathcal{C}(T_1)$ from 1 to $|V_2|$. An indicator variable $x_{i,j}$ denotes whether $(C_i, \bar{C}_j) \in m$ ($x_{i,j} = 1$) or not ($x_{i,j} = 0$). Set \mathcal{I} contains pairs of matched clades $\{(i, j), (k, l)\}$ that are *incompatible* according to conditions (i)-(iii). With $w(C_1, C_2) := \delta(C_1, -) + \delta(-, C_2) - \delta(C_1, C_2)$ (see Section 2.1) a minimum cost arboreal matching is represented by the optimal solution to:

$$\max \sum_{i=1}^{|V_1|} \sum_{j=1}^{|V_2|} w(C_i, \bar{C}_j) x_{i,j} \tag{7}$$

$$\text{s. t. } \sum_{j=1}^{|V_2|} x_{i,j} \leq 1 \quad \forall i = 1 \dots |V_1|, \tag{8}$$

$$\sum_{i=1}^{|V_1|} x_{i,j} \leq 1 \quad \forall j = 1 \dots |V_2|, \tag{9}$$

$$x_{i,j} + x_{k,l} \leq 1 \quad \forall \{(i, j), (k, l)\} \in \mathcal{I}, \tag{10}$$

$$x_{i,j} \in \{0, 1\} \tag{11}$$

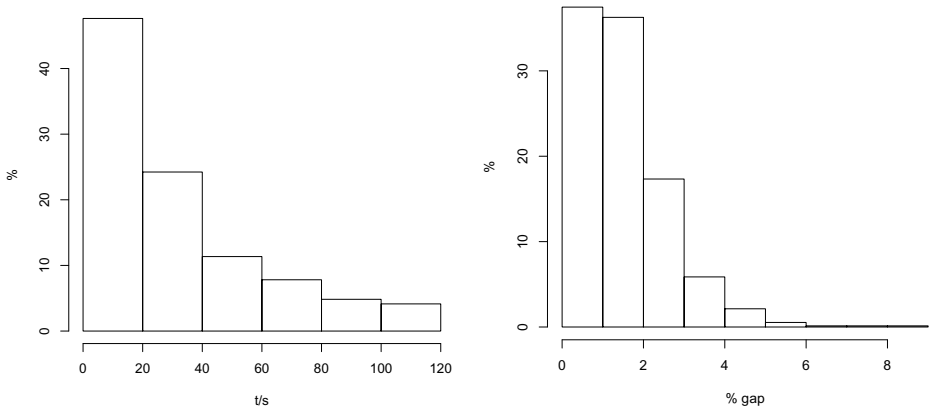


Fig. 6. Running time and optimality gap statistics of the 5050 benchmark instances. Left: histogram of running times of the 4300 instances that were solved to optimality within 2 CPU minutes. Right: histogram of the optimality gap in percent of the remaining 750 instances. This value is defined as $100 \cdot (u - l)/l$, where u and l are the upper and lower bounds of the arboreal matching, respectively.

5 Evaluation

We use a real-world dataset provided by Sul and Williams [19] as part of the HashRF program.¹ It contains 1000 phylogenetic trees from a Bayesian analysis of 150 green algae [14]. For the purpose of this comparison we performed an all-against-all comparison of the first hundred trees in the benchmark set as a proof-of-concept study, resulting in 5050 problem instances. We compute the values of the Robinson-Foulds metric as well as the minimum arboreal matching using the Jaccard weights of order $k = 1$, that is, the JRF metric $d_{\text{JRF}}^{(1)}$. We limit the computation to two CPU minutes per comparison and record the times for computing each value as well as the best upper and lower bounds for $d_{\text{JRF}}^{(1)}$.

From the 5050 instances, 4300 (85 %) could be computed to optimality within the time limit on an Intel Xeon CPU E5-2620 with 2.00 GHz. Most of these instances could be solved within 40 CPU s. See Fig. 6 (left) for a histogram of running times. The remaining 750 instances (15 %) were solved close to optimality. Fig. 6 (right) shows a histogram of the relative optimality gap in percent. This value is defined as $100 \cdot (u - l)/l$, where u and l are the upper and lower bounds of the arboreal matching, respectively. Overall, the majority (3578 instances, 71 %) could be solved to optimality within a minute. Note that these results are obtained the quite simple Integer Linear Programming formulation presented in this paper. Improvements on the formulation will likely lead to a drastic reduction of the running time.

Figure 7 shows typical characteristics of the arboreal JRF distances over increasing k for a randomly picked instance (tree 34 vs. tree 48). We observe that

¹ Trees can be downloaded from <https://code.google.com/p/hashrf/>

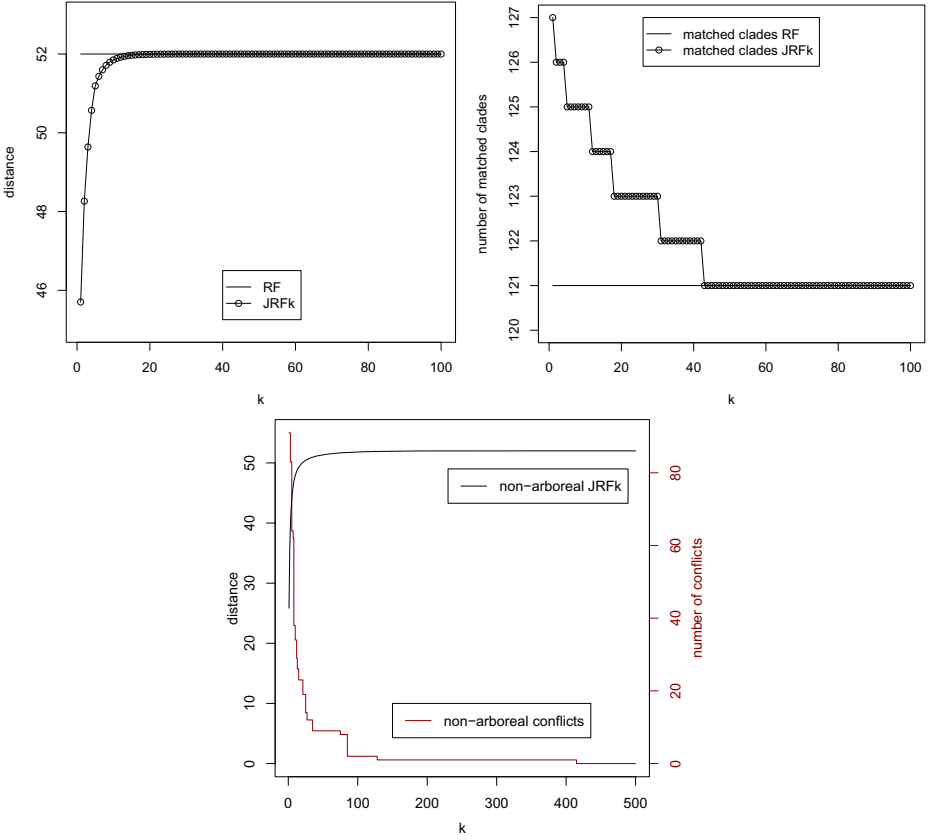


Fig. 7. Typical characteristics of the distances over increasing k . In the randomly chosen example (tree 34 vs. tree 48), RF equals 52 and $d_{\text{JRF}}^{(1)}$ is depicted by circles connected by lines (left plot). In the right plot we see that the number of matched clades decreases with increasing k . The plot below shows the development of distance and number of conflicts of the non-arboreal matching for increasing k .

RF and $d_{\text{JRF}}^{(k)}$ distances differ considerably for $k = 1$ and that $d_{\text{JRF}}^{(k)}$ converges quickly to RF (Fig. 7, left). A similar converging behavior can be observed for the number of matched clades (Fig. 7, right). The bottom plot in Fig. 7 illustrates the difference to non-arboreal matchings. For $k = 1$, the distances differ significantly from the RF distance (25.8 versus 52), however, at the prize of a large number of violations of the arboreal property (91). As k increases, the distance converges quickly to the RF distance and the number of violations decreases. Note that zero violations occur only when the non-arboreal distance is equal to the RF distance.

6 Conclusion

We have introduced a tree metric that naturally extends the well-known Robinson-Foulds metric. Different from previous work, our metric is a true generalization, as it respects the structure of the trees when comparing clades. Besides the theoretical amenities of such a generalization, our methods naturally allows for a manual comparison of two trees, using the arboreal matching that has been computed. This allows us to compute “best corresponding nodes” that respect the tree structures, and to inform the user when other node correspondences disagree with the optimal matching. We believe that such a feature will be very useful for the manual comparison of two trees, for example, in host-parasite comparison.

An open question is the parameterized complexity of the problem, where natural parameters are the size of the matching or, more relevant in applications, the discrepancy between the size of the maximum arboreal matching and a regular maximum matching. The Maximum Independent Set problem is $W[1]$ -hard [9] but, obviously, this does not imply that our more restricted problem cannot be approached by a parameterized algorithm [7].

We have come up with a generalization that retains the advantages of the widely-used Robinson-Foulds metric, but simultaneously overcomes some of its shortcomings. Our results are a first step to make the GRF and JRF metrics applicable to practical problems. In the future, faster algorithms are needed for this purpose; we believe that such algorithms can and will be developed. Furthermore, we want to generalize our results for unrooted trees, along the lines of [17, Sec. 2.1]. Here, the main challenge lies in adapting the notion of an arboreal matching.

In the full version of this paper, we will evaluate the JRF metric following ideas of Lin *et al.* [15]: That is, we will compare distributions of distances with arboreal and non-arboreal matchings; and, we will estimate the power of the new distance with regards to clustering similar trees.

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