CS423 Finite Automata & Theory of Computation

TTh 12:30 - 13:50 in Small Physics Lab 111 (section 1) TTh 9:30 - 10:50 in Blow 331 (section 2)

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General Information

- Office Hours: TTh 11:00 12:00 in 114 McGl and W 2:30 -3:00 on zoom or by email
- Grader: TBD for section 1 (office hour TBD on BB)
- Grader: TBD for section 2 (office hour TBD on BB)
- Textbook: Intro to the theory of computation (any edition), Michael Sipser. An e-book in PDF maybe available online.
- Prerequisites/background: Linear algebra, Data structures and algorithms, and Discrete math

Complexity Theory:

- Computability Theory is the study of what can or cannot be computed by a TM/algorithm, among all problems.
- Complexity Theory is the study of what can or cannot be computed efficiently by a TM/algorithm, among all decidable/solvable problems.
- For the set of all solvable problems, it is further classified into various complexity classes based on the efficiency of algorithms solving these problems.
- Complexity Theory is the study of the definition and properties of these classes.

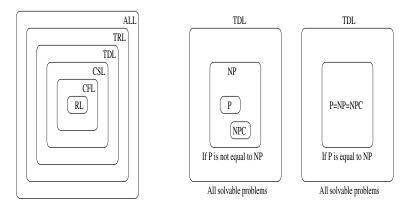


Figure 1: Three complexity classes if P=NP or P \neq NP

11.1 The class of P (Sipser 7.2)

- Definition: P is the class of problems solvable in polynomial time (number of steps) by deterministic TMs.
 Polynomial O(n^c), where n is input size and c is a constant.
 Problems in P are "tractable" (not so hard).
- Why use polynomial as the criterion?
 - If a problem is not in P, it often requires unreasonably long time to solve for large-size inputs.
 - P is independent of all models of computation, except nondeterministic TM.
- Problems in P: Sorting, Searching, Selecting, Minimum Spanning Tree, Shortest Path, Matrix Multiplication, etc.
- Review of asymptotic notation: O, Ω, Θ
- Examples of polynomial and polylog functions: O(1), O(n), O(n²), O(n^d), O(log n), O((log n)^c), O(n³ log n), O(n^c(log n)^d)

11.2 The class of NP (*Sipser 7.3*)

An NTM is an unrealistic (unreasonable) model of computing which can be simulated by other models with an exponential loss of efficiency.

It is a useful concept that has had great impact on the theory of computation.

► NTM
$$N = (Q, \Sigma, \Gamma, \delta, q_0, q_{accept}, q_{reject})$$
, where $\delta : Q \times \Gamma \to 2^P$ for $P = Q \times \Gamma \times \{L, R\}$.

 δ(q, X) is a set a moves. Which one to choose? This is nondeterminism. The computation can be illustrated by a tree, with each node representing a configuration.

- Nondeterminism can be viewed as a kind of parallel computation wherein multiple independent processes or threads can be running concurrently.
 When a nondeterministic machine splits into several choices, that corresponds to a process forking into several children, each then proceeding separately. If at least one process accepts, then the entire computation accepts.
- Time complexity of nondeterministic TMs (NTMs): Let N be an NTM that is a decider (where all computation paths halt in the tree for any input). The time complexity of N, f(n), is the maximum number of steps that N uses on any computation path for any input of length n. In other words, f(n) is the maximum height of all computation trees for all input of length n.

An unreasonable model of computation:

Theorem; Every T(n)-time multi-tape TM has an equivalent $O(T^2(n))$ -time single-tape TM.

Theorem: Every T(n)-time single-tape NTM has an equivalent $O(2^{O(T(n))})$ -time single-tape DTM.

- Definition: NP is the class of problems solvable in polynomial time by nondeterministic TMs.
- Another definition of nondeterministic TMs (algorithms):
 - Guessing phase: Guess a solution (always on target).
 - Verifying phase: Verify the solution.

Example: TSP (DEC) is in **NP**.

INSTANCE: An edge-weighted graph G(V, E, w) and a bound $B \ge 0$.

QUESTION: Is there a tour (a cycle that passes through each node exactly once) in G with total weight no more than B? Define the following NTM N to solve TSP in polynomial time.

NTM N ="On input < G, B >

- 1. Nondeterministically **guess** a tour T = O(|V|)
- 2. Verify if T includes every node once O(|V|)
- 3. Compute $sum \leftarrow \sum_{e \in T} w(e)$ O(|V|)
- 4. Verify if $sum \le B$. If true, answer yes; else No O(1)

Note 1: The time complexity of *N* is O(|V|).

Note 2: If the answer to the QUESTION is "Yes", N guarantees that the right T will be guessed in step 1.

Note 3: The acceptance of an input by a nondeterministic machine is determined by whether there is an accepting computation among all, possibly exponentially many, computations.

In the above proof, if there is a solution, i.e., a tour with total weight no more than B, it will always be generated by the Turing machine. This is like that a nondeterministic machine has a guessing power.

A tour can only be found by a deterministic machine in exponential time, however, it can be found by a nondeterministic machine in just linear steps. Any nondeterministic proof should always contain two stages: Guessing and verifying.

What needs to be guessed? What needs to be verified? What is the time complexity?

Example: Graph Coloring (GC) is in **NP**.

INSTANCE: Graph G = (V, E), and $B \ge 0$

QUESTION: Is there a coloring scheme of the nodes that uses no more than *B* colors such that no two nodes connected by an edge are given the same color?

NTM N ="On input < G, B >

- 1. Guess a coloring scheme (in polynomial time) $c: V \rightarrow C$
- 2. Verify if (1) $|C| \leq B$ and (2) $\forall (u, v) \in E, c(u) \neq c(v)$

3. if true, answer yes; else answer no

So we have a **nondeterministic** algorithm (or TM) that **guesses** a coloring scheme (or function) and **verifies** that (1) for any $(u, v) \in E$, $c(u) \neq c(v)$ and that (2) the number of colors used is no more than *B*, and further, all these can be done in **polynomial time** of O(|V|) + O(|E|). So *GC* is in **NP**.

- Theorem: P⊆NP.(Two possibilities: P ⊂ NP or P = NP) Any deterministic TM is a special case of nondeterministic TMs.
- Theorem: Any Π ∈ NP can be solved by a deterministic TM in time O(c^{p(n)}) for some c > 0 and polynomial p(n).

 Open problem: P=NP? The west wall bricks on the CS building at Princeton,1989: x1010000x x0111101x x1001110x x1010000x x0111111x

- ▶ Definition of **Polynomial Reduction** \leq_p (cf. \leq_m and \leq) Let Π_1 and Π_2 be two decision problems, and $\{I_1\}$ and $\{I_2\}$ be sets of instances for Π_1 and Π_2 , respectively. We say there is a polynomial reduction from Π_1 to Π_2 , or $\Pi_1 \leq_p \Pi_2$, if there is $f : \{I_1\} \rightarrow \{I_2\}$ such that (1) *f* can be computed in polynomial time and (2) I_1 has a "yes" solution if and only if $f(I_1)$ has a "yes" solution.
- Theorem: If $\Pi_1 \leq_{\rho} \Pi_2$, then $\Pi_2 \in \mathbf{P}$ implies $\Pi_1 \in \mathbf{P}$.
- Theorem: If $\Pi_1 \leq_p \Pi_2$ and $\Pi_2 \leq_p \Pi_3$, then $\Pi_1 \leq_p \Pi_3$.
- *Remark:* \leq_p means "no harder than".

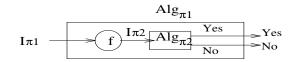


Figure 2: Polynomial reduction $\Pi_1 \leq_{\rho} \Pi_2$

11.4 The class of NPC (*Sipser 7.4*)

- Definition 1: NPC (NP-complete) is the class of the hardest problems in NP
- ▶ Definition 2: $\Pi \in \mathbf{NPC}$ if $\Pi \in \mathbf{NP}$ and $\forall \Pi' \in \mathbf{NP}$, $\Pi' \leq_{p} \Pi$.
- ▶ Definition 3: $\Pi \in NPC$ if $\Pi \in NP$ and $\exists \Pi' \in NPC$ such that $\Pi' \leq_{\rho} \Pi$
- ► Theorem: If $\exists \Pi \in NPC$ such that $\Pi \in P$, then P=NP.
- ► Theorem: If $\exists \Pi \in NPC$ such that $\Pi \notin P$, then $P \neq NP$.

Some most important classes: Definitions and proofs

- P: class of problems solvable in polynomial-time by DTM. To prove Π ∈ P, design a polynomial-time algorithm.
- NP: class of problems solvable in polynomial-time by NTM. To prove Π ∈ NP, design a polynomial-time nondeterministic algorithm of two steps: guess and verify.
- NPC: class of all hardest problems in NP. To prove Π ∈ NPC, prove (1) Π ∈ NP and (2) ∃Π' ∈ NPC s.t. Π' ≤_p Π
- NP-hard: A problem X is NP-hard, if there is an NP-complete problem Y, such that Y is reducible to X in polynomial time. (Note X does not need to be in NP)

Possible relations among P, NP, NP-complete, NP-hard: $P \subset NP$, $NP \cap NP$ -hard = NP-complete, $P \cup NP$ -complete= \emptyset

Satisfiability (SAT):

INSTANCE: A boolean formula ϕ in CNF with variables x_1, \ldots, x_n and clauses c_1, \ldots, c_m

QUESTION: Is ϕ satisfiable? (Is there a truth assignment *A* to x_1, \ldots, x_n such that ϕ is true?)

 $L_{SAT} = \{ < \phi > | \exists A \text{ that satisfies } \phi \}$

Example of an instance for SAT:

- ► Variables: x_1, x_2, x_3, x_4
- ▶ Literals: Any variables and their negations, such as x_1 , $\overline{x_3}$
- $\blacktriangleright \text{ Clauses: } c_1 = x_1 \lor \overline{x_2} \lor x_3, c_2 = x_1 \lor x_2, c_3 = \overline{x_1} \lor x_2 \lor \overline{x_3} \lor x_4$
- Function/formula: $\phi = c_1 \land c_2 \land c_3$
- The instance φ is T by assignment x₁ = T, x₂ = x₃ = x₄ = F. Note: Many assignments satisfy φ, but we only need one.

Cook's Theorem: SAT \in NPC. (Need to prove (1) SAT \in NP and (2) $\forall \Pi \in$ NP, $\Pi \leq_{\rho}$ SAT.)

First Step: How to prove SAT is in **NP**? NTM N = "On input $\langle \phi \rangle$ in CNF

- 1. Guess a truth assignment A = O(n)
- 2. Verify if $\phi = T$ under A O(n+m)
- 3. If T, accept; else reject"

SAT is solvable by a NTM in polynomial time, thus in NP.

Second step: How to prove $\forall \Pi \in NP$, $\Pi \leq_{p} SAT$, or equivalently, for any polynomial-time NTM *M*, $L(M) \leq_{p} L_{SAT}$?

Will not discuss this proof. But if interested, go to the final few pages of this slide set for details.

11.5 NP-complete problems(Sipser 7.5, pp.310-322) How to prove Π_2 is **NP**-complete:

- Show that $\Pi_2 \in \mathbf{NP}$.
- Choose a known NP-complete Π₁.
- Construct a reduction f from Π_1 to Π_2 .
- Prove that *f* is a polynomial reduction by showing (1) *f* can be computed in polynomial time and (2) ∀*I*₁ for Π₁, *I*₁ is a yes-instance for Π₁ if and only if *f*(*I*₁) is a yes-instance for Π₂.

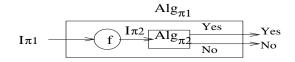


Figure 3: Polynomial reduction $\Pi_1 \leq_{\rho} \Pi_2$

Seven basic **NP**-complete problems.

- 3-Satisfiability (3SAT): (Reduced from SAT) INSTANCE: A formula α in CNF with each clause having three literals. QUESTION: Is α satisfiable?
- S-Dimensional Matching (3DM): (Reduced from 3SAT) INSTANCE: M ⊆ X × Y × Z, where X, Y, Z are disjoint and of the same size.

QUESTION: Does *M* contain a matching, which is $M' \subseteq M$ with |M'| = |X| such that no two triples in *M'* agree in any coordinate?

► PARTITION: (Reduced from 3DM) INSTANCE: A finite set *A* of numbers. QUESTION: Is there $A' \subseteq A$ such that $\sum_{a \in A'} a = \sum_{a \in A - A'} a$?

- Vertex Cover (VC): (Reduced from 3SAT) INSTANCE: A graph G = (V, E) and 0 ≤ k ≤ |V|. QUESTION: Is there a vertex cover of size ≤ k, where a vertex cover is V' ⊆ V such that ∀(u, v) ∈ E, either u ∈ V' or v ∈ V'?
- Hamiltonian Circuit (HC): (Reduced from VC) INSTANCE: A graph G = (V, E). QUESTION: Does G have a Hamiltonian circuit, i.e., a tour that passes through each vertex exactly once?
- CLIQUE: (Reduced from VC) INSTANCE: A graph G = (V, E) and 0 ≤ k ≤ |V|. QUESTION: Does G contain a clique (complete subgraph) of size ≥ k?

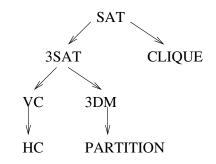


Figure 4: Seven basic NP-complete problems

Example to prove reduction: KNAPSACK Problem

INSTANCE: $U = \{u_1, \ldots, u_n\}$, W (max weight knapsack holds), functions $w : U \to R^+$ and $v : U \to R^+$, bound $B \ge 0$. QUESTION: Is there $U' \subseteq U$ s.t. $\sum_{u_i \in U'} w(u_i) \le W$, and $\sum_{u_i \in U'} v(u_i) \ge B$?

Show PARTITION \leq_p KNAPSACK. For any instance $\{a_1, \ldots, a_n\}$ in PARTITION, define the following instance for KNAPSACK:

$$\blacktriangleright U = \{u_1, \ldots, u_n\}$$

•
$$w(u_i) = a_i$$
 and $v(u_i) = a_i$, for all i

$$\blacktriangleright W = B = \frac{1}{2} \sum_{i=1}^{n} a_i$$

Show that (1) the above construction can be done in polynomial time and (2) there is a partition $A' \subseteq A$ iff there is a subset U' s.t. $\sum_{u_i \in U'} w(u_i) \le \frac{1}{2} \sum_{i=1}^n a_i$ and $\sum_{u_i \in U'} v(u_i) \ge \frac{1}{2} \sum_{i=1}^n a_i$.

Example to prove reduction: Hitting Set (HS) problem

INSTANCE: Set *S*, collection *C* of subsets of *S*, $K \ge 0$ QUESTION: Does *S* contain a HS *S'* of size $\le K$? (*S'* is a HS if *S'* has at least one element from each subset in *C*.) $VC \le_p HS$. Instance for VC: G = (V, E) and $B \ge 0$ Instance for HS: S = V, $C = \{\{u, v\} | \forall e = (u, v) \in E\}$, K = BGoal: *G* has a VC of size $\le B$ iff *S* has a HS of size $\le K$.



VC={1,3,5}

Figure 5: An example of reduction from VC to HS

Review of Automata Theory

- RL, CFL, DFA, NFA, PDA, Regular expressions
- Closure properties for the above sets of languages
- Pumping Lemmas for RL
- Chomsky Language Hierarchy
- Prove by contradiction

Review of Computability Theory

- TDL: How to prove a language is TDL
- Closure properties of TDLs: union, intersection, concatenation, star, complement
- A TM that decides (accept, reject)
- TRL: How to prove a language is TRL
- The closure properties of TRLs: union, intersection, concatenation, star, homomorphism
- TM to decide/accepts/recognizes. NTM to guess/verify
- ► TD, non-TD, TR, non-TR (How to prove)
- Closure properties for the above sets of languages
- A language and its complement: Three scenarios (both TD, one TR but non-TD other non-TR, both non-TR)
- Important languages: A_D , A_{TM} , $HALT_{TM}$, etc.

- Reduction A ≤ B is to show any TM that decides B can be used to define a TM that decides A. (A is no harder than B or B is at least as hard as A.)
- ▶ P, NP, NPC, NP-Hard (relation based on $P \neq NP$, P=NP)
- Prove a DEC is in NP.
- Three classes: P, NP, NPC (Also NP-hard)
- Polynomial reduction A ≤_p B is to show any algorithm that solves B can be used to define an algorithm that solves A. (A is no harder than B or B is at least as hard as A.)
- Important NP-complete problems: SAT, 3SAT, VC, HC, PARTITION, 3DM, CLIQUE, COLOR, KNAPSACK, HS

Test of your understanding of the complexity classes

- If $\Pi_1 \leq_{\rho} \Pi_2$ and $\Pi_1 \in \mathbf{NP}$, is $\Pi_2 \in \mathbf{NP}$?
- If $\Pi_1 \leq_p \Pi_2$ and $\Pi_1, \Pi_2 \in \mathbf{NPC}$, is $\Pi_2 \leq_p \Pi_1$?
- If $\Pi_1 \leq_{\rho} \Pi_2$ and $\Pi_1 \not\in \mathbf{NP}$, is $\Pi_1 \in \mathbf{P}$?
- If $\Pi_1 \leq_{\rho} \Pi_2$ and $\Pi_2 \leq_{\rho} \Pi_1$, then $\Pi_1, \Pi_2 \in \mathbf{NPC}$.
- If $\Pi_1, \Pi_2 \in \mathbf{NPC}$, then $\Pi_1 \leq_p \Pi_2$, and $\Pi_2 \leq_p \Pi_1$.

Some sample problems

- The universal language, A_{TM} , is a proper (non-equal) subset of the halting language, $HALT_{TM}$.
- The Post Correspondence Problem is decidable for the unary alphabet.
- If L is TR but non-TD, then \overline{L} is non-TR.



Figure 6: Venn diagram for TD, TR, and non-TR

If A is non-TD, A ≤ C, D ≤ C, then D must be non-TR. F (because D may be TD or TR) enu

A proof that 3SAT is NP-complete:

First, 3SAT is obvious in **NP**.

Next, we show that SAT \leq_{ρ} 3SAT.

Given any instance of SAT, $f(x_1,...,x_n) = c_1 \land \cdots \land c_m$, where c_i is a disjunction of literals. To construct an instance for 3SAT, we need to convert any c_i to an equivalent c'_i , a conjunction of clauses with exactly 3 literals.

Case 1. If $c_i = z_1$ (one literal), define y_i^1 and y_i^2 . Let $c'_i = (z_1 \lor y_i^1 \lor y_i^2) \land (z_1 \lor y_i^1 \lor \neg y_i^2) \land (z_1 \lor \neg y_i^1 \lor y_i^2) \land (z_1 \lor \neg y_i^1 \lor \neg y_i^2)$. Case 2. If $c_i = z_1 \lor z_2$ (two literals), define y_i^1 . Let $c'_i = (z_1 \lor z_2 \lor y_i^1) \land (z_1 \lor z_2 \lor \neg y_i^1)$. Case 3. If $c_i = z_1 \lor z_2 \lor z_3$ (three literals), let $c'_i = c_i$. Case 4. If $c_i = z_1 \lor z_2 \lor \cdots \lor z_k$ (k > 3), define $y_i^1, y_i^2, \dots, y_i^{k-3}$. Let $c'_i = (z_1 \lor z_2 \lor y_i^1) \land (\neg y_i^1 \lor z_3 \lor y_i^2) \land (\neg y_i^2 \lor z_4 \lor y_i^3) \land \cdots \land (\neg y_i^{k-3} \lor z_{k-1} \lor z_k)$. If c_i is satisfiable, then there is a literal $z_i = T$ in c_i . If i = 1, 2, let $y_i^1, \dots, y_i^{k-3} = F$. If i = k - 1, k, let $y_i^1, \dots, y_i^{k-3} = T$. If $3 \le i \le k - 2$, let $y_i^1, \dots, y_i^{l-2} = T$ and $y_i^{l-1}, \dots, y_i^{k-3} = F$. So c'_i is satisfiable.

If c'_i is satisfiable, assume $z_i = F$ for all i = 1, ..., k. Then $y_i^1, ..., y_i^{k-3} = T$. So the last clause $(\neg y_i^{k-3} \lor z_{k-1} \lor z_k) = F$. Therefore, c'_i is not satisfiable. Contradiction. The instance of 3SAT is therefore $f'(x_1, ..., x_n, ...) = c'_1 \land \cdots \land c'_m$, and f is activitiable if and only if f' is activitable.

and f is satisfiable if and only if f' is satisfiable.

Cook's Theorem: SAT is **NP**-complete.

Proof. SAT is clearly in **NP** since a NTM exists that guesses a truth assignment and verifies its correctness in polynomial time. Now we wish to prove $\forall \Pi \in \mathbf{NP}, \Pi \leq_p SAT$, or equivalently, for any polynomial-time NTM M, $L(M) \leq_p L_{SAT}$.

For any NTM *M*, assume $Q = \{q_0, q_1(\text{accept}), q_2(\text{reject}), \dots, q_r\}$ and $\Gamma = \{s_0, s_1, s_2, \dots, s_v\}$. Also assume that the time is bounded by p(n), where *n* is the length of the input. We wish to prove that there is a function $f_M : \Sigma^* \to \{\text{instances of SAT}\}$ such that $\forall x \in \Sigma^*, x \in L(M)$ iff $f_M(x)$ is satisfiable. In other words, we wish to use a Boolean

expression $f_M(x)$ to describe the computation of *M* on *x*.

Variables in $f_M(x)$:

— State: Q[i, k]. *M* is in q_k after the *i*th step of computation (at time *i*).

— Head: H[i, j]. Head points to tape square *j* at time *i*.

— Symbol: S[i, j, l]. Tape square *j* contains s_l at time *i*.

(Assume the tape is one-way infinite and the leftmost square is labeled with 0.)

For example, initially i = 0. Assume the configuration is $q_0 abba$. Let $s_0 = B$, $s_1 = a$, and $s_2 = b$. Therefore, we set the following Boolean variables to be true: Q[0,0], H[0,0], S[0,0,1], S[0,1,2], S[0,2,2], S[0,3,1] and S[0,j,0] for j = 4,5,... A configuration defines a truth assignment, but not vice versa. Clauses in $f_M(x)$:

- At any time *i*, *M* is in exactly one state. $Q[i,0] \lor \cdots \lor Q[i,r]$ for $0 \le i \le p(n)$. $\neg Q[i,k] \lor \neg Q[i,k']$ for $0 \le i \le p(n)$ and $0 \le k < k' \le r$.
- At any time *i*, head is scanning exactly one square. $H[i,0] \lor \cdots \lor H[i,p(n)]$ for $0 \le i \le p(n)$. $\neg H[i,j] \lor \neg H[i,j']$ for $0 \le i \le p(n)$ and $0 \le j < j' \le p(n)$.
- At any time *i*, each square contains exactly one symbol. $S[i,j,0] \lor \cdots \lor S[i,j,v]$ for $0 \le i \le p(n)$ and $0 \le j \le p(n)$. $\neg S[i,j,l] \lor \neg S[i,j,l']$ for $0 \le i \le p(n)$, $0 \le j \le p(n)$ and $0 \le l < l' \le v$.

— At time 0, *M* is in its initial configuration. Assume

$$\begin{aligned} x &= s_{l_1} \cdots s_{l_n}. \\ Q[0,0]. \\ H[0,0]. \\ S[0,0,l_1], \dots, S[0,n-1,l_n]. \\ S[0,j,0] \text{ for } n \leq j \leq p(n). \\ \hline \\ \end{array}$$

$$\begin{aligned} & - \text{By time } p(n), M \text{ has entered } q_1 \text{ (accept)}. \text{ (If } M \text{ halts in less than } p(n) \text{ steps, additional moves can be included in the transition function.)} \end{aligned}$$

Q[p(n),1].

— Configuration at time $i \rightarrow$ configuration at time i+1. Assume $\delta(q_k, s_l) = (q_{k'}, s_{l'}, D)$, where D = -1, 1.

If the head does not point to square *j*, symbol on *j* is not changed from time *i* to time i + 1.

 $H[i,j] \lor \neg S[i,j,l] \lor S[i+1,j,l]$ for $0 \le i \le p(n)$, $0 \le j \le p(n)$, and $0 \le l \le v$.

If the current state is q_k , the head points to square *j* which contains symbol s_l , then changes are made accordingly.

 $\neg H[i,j] \lor \neg Q[i,k] \lor \neg S[i,j,l] \lor H[i+1,j+D],$ $\neg H[i,j] \lor \neg Q[i,k] \lor \neg S[i,j,l] \lor Q[i+1,k'], \text{ and}$ $\neg H[i,j] \lor \neg Q[i,k] \lor \neg S[i,j,l] \lor S[i+1,j,l'], \text{ for } 0 \le i \le p(n),$ $0 \le j \le p(n), 0 \le k \le r, \text{ and } 0 \le l \le v.$ Let $f_M(x)$ be the conjunction of all the clauses defined above. Then $x \in L(M)$ iff there is an accepting computation of M on x iff $f_M(x)$ is satisfiable. f_M can be computed in polynomial time since $|f_M(x)| \le$ (number of clauses) *(number of variables) $= O(p(n)^2) * O(p(n)^2) = O(p(n)^4)$. So there is a polynomial reduction from any language in **NP** to SAT. So SAT is **NP**-complete.