### CS244: Theory of Computation

Fu Song ShanghaiTech University

Fall 2020

#### Course Information

What is This Course About?
Automata and Languages
Computability Theory
Complexity Theory

About This Course

Mathematical Preliminaries (Chapter 0
Mathematical Notations

### Course Information

Instructor: Fu Song

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Office: room 1A-504C, SIST Building Email: songfu@shanghaitech.edu.cn

► TAs: Yedi Zhang, Jianzhong Liu, Pengfei Gao, Songqing Ye(Volunteer)

 HOs: Monday 20:00-21:00 by Songqing, Wednesday 19:00-20:00 by Yedi, Friday 19:00-20:00 by Jianzhong



(a) Yedi Zhang



(b) Pengfei Gao



(c) Jianzhong Liu



(d) Songqing Ye

### Course Information

- ► Textbook: Introduction to the Theory of Computation (3rd Ed.), Michael Sipser, MIT, 2012
- Discussion, Slides and Homework: PIAZZA https://piazza.com/shanghaitech.edu.cn/fall2020/cs244
- ▶ Preliminaries (optional): algorithms and discrete mathematics
- ► Grading: Quiz 5%, HW 20%, Midterm 25%, Final exam 50%
- Extra credit of final grades: from 1 point upto 100 points depending upon your technical report (e.g. proposing new useful models and studying decision problems thereof, solving some important or long-stand open problem, etc., 2-3 students per group)

#### Course Information

#### What is This Course About?

Automata and Languages Computability Theory Complexity Theory

#### **About This Course**

### Mathematical Preliminaries (Chapter 0)

Mathematical Notations Proofs and Types of Proofs

### What is This Course About?

- ► This course is about the fundamental capabilities and limitations of computers/computation
- ► This course covers 3 areas, which make up the theory of computation:
  - Automata and Languages
  - Computability Theory
  - Complexity Theory

#### Course Information

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## Automata and Languages

- ► Introduces models of computation
  - We will study variants of automata and grammars
  - Each model determines what can be expressed, as we will see in Part I of this course
  - Will allow us to become familiar with simple models before we move on to more complex models like a Turing machine
  - ► Given a model, we can examine computability and complexity

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## Computability Theory

- ► A major mathematical discovery in 1930s
  - Certain problems Cannot be solved by computers
  - That is, they have no algorithmic solution
- We can ask what a model can and cannot do
  - As it turns out, a simple model of a computer, Turing machine, can do everything that a computer can do
  - So we can use a Turing machine to determine what a computer can and cannot do (i.e., compute)

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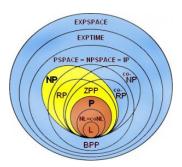
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## Complexity Theory

- ► How hard is a problem?
- You might already know a lot about this
  - How to determine the time and/or space complexity of most simple algorithms, e.g., Big-O notation
- We take one step forward and study more complexity-classes, e.g., P, NP, PSPACE



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### **About This Course**

- ► Theory of Computation traditionally considered challenging
  - ▶ I expect (and hope) that you will find this to be true!
- ► A very different kind of course
  - ► In many ways, a pure theory course, but very grounded (the models of computation are not abstract at all)
  - ▶ Proofs are an integral part of the course, although I and the text both rely on informal proofs, but the reasoning must still be clear

### **About This Course**

- ► The only way to learn this material is by doing problems
  - You should expect to spend several hours per week on homework
  - ► You should expect to read parts of the text 2-4 times
  - You should not give up after 10 minutes if you are stumped by a problem

	1小时之内		1-3小时		3-5小时		5-7小时		7-9小时		9小时以上	
,	人数	比例	人数	比例	人数	比例	人数	比例	人数	比例	人数	比例
	0	0.00%	1	25.00%	0	0.00%	3	75.00%	0	0.00%	0	0.00%

#### (a) Graduate Students

1小时之内		1-3小时		3-5小时		5-7小时		7-9小时		9小时以上	
人数	比例	人数	比例	人数	比例	人数	比例	人数	比例	人数	比例
0	0.00%	0	0.00%	2	22.22%	6	66.67%	1	11.11%	0	0.00%

#### (b) Undergraduate Students

## Grades of Spring 2019

A+, A, A, A-, B+, B

Figure: Graduate Students

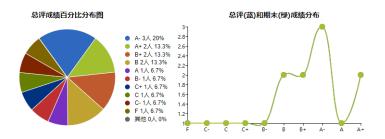


Figure: Undergraduate Students

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## Mathematical Preliminaries

- Mathematical Notations
  - Sets
  - Sequences and Tuples
  - Functions and Relations
  - Graphs
  - ► Finite and Infinite Words
  - ► Finite and Infinite Trees
  - Boolean Logic
- Proofs and Types of Proofs

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### Sets

- A set is a group of objects, order doesn't matter
  - ► The objects are called elements or members
  - Examples
    - ► Finite set: {1, 3, 5}
    - ▶ Infinite set:  $\{1,3,5,\cdots\}$ , or  $\{x \mid x \in \mathbb{Z} \land x \pmod{2} \neq 0\}$
  - You should know these operators/concepts
    - ▶ Subset:  $A \subseteq B$  or  $A \subset B$
    - Cardinality: Number elements in set (|A|) (injective, surjective, bijections)
    - ▶ Intersection  $(A \cap B)$ , Union  $(A \cup B)$ , Difference (A B) and Complement  $(\overline{A})$
    - ▶ DeMorgan's Laws:  $\overline{A \cap B} \equiv \overline{A} \cup \overline{B}$ ,  $\overline{A \cup B} \equiv \overline{A} \cap \overline{B}$
    - ► Emptyset: ∅
    - Venn Diagrams: can be used to visualize sets
  - Powersets: All possible subsets of a set
    - ► E.g.  $S = \{a, b, c\}$ ,  $2^S = \{\emptyset, \{a\}, \{b\}, \{c\}, \{a, b\}, \{a, c\}, \{b, c\}, \{a, b, c\}\}$
    - In general, what is the cardinality of  $2^{S}$ ?  $|2^{S}| = 2^{|S|}$

## Sequences and Tuples

- A sequence is a list of objects, order matters
  - ► Examples: (1, 3, 5) and (3, 1, 5)
- ▶ In this course we will use term tuple instead
  - $\triangleright$  (1, 3, 5) is a 3-tuple
  - ► a *k*-tuple has *k* elements
- Cartesian product (a.k.a. cross project) is an operation on sets but yields a set of tuples
  - Example: if  $A = \{1, 2\}$  and  $B = \{x, y, z\}$ , then  $A \times B = \{(1, x), (1, y), (1, z), (2, x), (2, y), (2, z)\}$
  - ▶ If we have k sets  $A_1, A_2, \ldots, A_k$ , we can take the Cartesian product  $A_1 \times A_2 \cdots \times A_k$  which is the set of all k-tuples  $(a_1, a_2, \cdots, a_k)$  where  $a_i \in A_i$
  - $\triangleright$  We can take Cartesian product of a set with itself  $A^k$  represents

$$\underbrace{A \times A \times A \cdots \times A}_{k}$$

### **Functions**

- ► A function maps an input to a (single) output
  - ightharpoonup f(a) = b, f maps a to b
- ► The set of possible inputs is the domain and the set of possible outputs is the range
  - ightharpoonup f: D o R
  - D is the domain of f and R is the range of f
- ▶ The function  $f: D \rightarrow R$  is
  - ▶ a total function if  $\forall a \in D$ : f(a) is defined, otherwise partial function
  - ► a bijective function if
    - ▶ is total
    - $\forall a, a' \in D, a \neq a' \rightarrow f(a) \neq f(a') \text{ (injective)}$
    - ▶  $\forall b \in R.\exists a \in D \text{ such that } f(a) = b \text{ (surjection)}$

## **Big-O Notation**

- ▶ Given two total functions  $f, g : \mathbb{N} \to \mathbb{N}$ 
  - ▶ f(n) = O(g(n)), if  $\exists c, d \ge 1$  such that  $\forall n \ge d$ ,  $f(n) \le c \cdot g(n)$  g(n) is an upper bound for f(n)
  - ▶  $f(n) = \Omega(g(n))$ , if  $\exists c, d \ge 1$  such that  $\forall n \ge d, c \cdot f(n) \ge g(n)$  g(n) is a lower bound for f(n)
  - $f(n) = \Theta(g(n))$ , if f(n) = O(g(n)) and  $f(n) = \Omega(g(n))$
- $f(n) = \Omega(g(n)) \text{ iff } g(n) = O(f(n))$
- ▶ The big-O notation compares the rate of growth of functions rather than their values, so when  $f(n) = \Theta(g(n))$ , f(n) and g(n) have the same rates of growth, but can be very different in their values.

### Relations

- ► A predicate is a function with range { *True*, *False*}
  - Example: even(4) = True
- A (*k*-ary) relation is a predicate whose domain is a set of *k*-tuples  $A_1 \times A_2 \times A_3 \cdots \times A_k$ 
  - ▶ If k = 2, then binary relation (e.g., =, <, ···)
  - ► Can just list what is true (e.g., even(4))
- ▶ A (k-ary) relation R can be seen as a set of k-tuples, e.g.,  $R \subseteq A_1 \times A_2 \times A_3 \cdots \times A_k$ ,

$$(a_1, \cdots a_k) \in R$$
 iff  $R(a_1, \cdots a_k) = True$ 

## **Equivalence Relations**

- ► An equivalence relation *R* is a binary relation over a domain *D* satisfying the following three properties:
  - ► Reflexive: x R x
  - ► Symmetric: x R y iff y R x
  - ightharpoonup Transitive: if x R y and y R z, then x R z
  - ► Try =, <

## **Equivalence Classes**

For every element x ∈ D, an equivalence relation R over a domain D induces an equivalence class:

$$[\![x]\!]_R := \{x' \in D \mid x \ R \ x'\}$$

- ► Suppose  $R = \{(1,1), (2,2), (1,2), (2,1), (3,3), (4,4), (3,4), (4,3)\}$
- $[1]_R = \{1, 2\}$
- $[3]_R = ? {3,4}$
- $\forall x, y \in D$ , either  $[x]_R = [y]_R$  or  $[x]_R \cap [y]_R = \emptyset$  (Why?)
- A binary relation R over D is a partial order if it is reflexive, transitive, and antisymmetric  $(x R y \land y R x \Rightarrow x = y)$
- A binary relation R over D is a total order (a.k.a. linear order) if it is a partial order and  $\forall x, y \in D$ , either x R y or y R x.

## Graphs

- ightharpoonup A directed graph G is a tuple (V, E), where
  - V is a set of vertices
  - $ightharpoonup E \subseteq V \times V$  is a set of edges that are 2-tuples
- ightharpoonup A undirected graph G is a tuple (V, E), where
  - V is a set of vertices
  - ▶  $E \subseteq \{\{v_1, v_2\} \mid v_1, v_2 \in V\}$  is a set of edges that are 2-sets
- Notations:
  - ▶ The degree of a vertex (for undirected graph) is the number of edges touching it,  $degree(v) := |\{v' \in V \mid \{v, v'\} \in E\}|$
  - The in-degree (resp. out-degree) of a vertex (for directed graph), indegree(v) :=  $|\{v' \in V \mid (v', v) \in E\}|$  and outdegree(v) :=  $|\{v' \in V \mid (v, v') \in E\}|$
  - A path is a sequence of nodes connected by edges
  - A simple path does not repeat nodes
  - A path is a cycle if it starts and ends at same node
  - A simple cycle repeats only first and last node
  - ▶ A graph is a unranked tree if it is connected and has no simple cycles

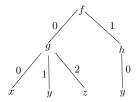
### Finite and Infinite Words

- ightharpoonup An alphabet  $\Sigma$  is any non-empty finite set
  - Members of the alphabet are (alphabet) symbols (or letters)
  - $\Sigma_1 = \{0,1\}$
- ► A finite word (string in textbook) over an alphabet is a finite sequence of symbols from the alphabet
  - ▶ 0100 is a string from  $\Sigma_1$  and cat is a string from  $\Sigma_2$
  - ▶ The length of a string w, |w| is its number of symbols
    - ▶ If |w| = n, then w can be written as  $w_0 w_1 \cdots w_{n-1}$ , where  $w_i \in \Sigma$
    - ▶ The empty string,  $\varepsilon$ , has length 0
  - Strings can be concatenated,
    - ww' is string w concatenated with string w'
    - A string w can be concatenated with itself k times, denoted by  $w^k$
- A ω-word over an alphabet is an infinite sequence of symbols from the alphabet, e.g.,  $(01)^{\omega}$

### Finite and Infinite Trees

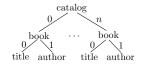
- Finite ranked trees
  - ▶ Ranked alphabet  $\Sigma$ : Rank function  $rank : \Sigma \to \mathbb{N}$ .
  - $\triangleright$  E.g., every node labeled by  $\sigma$  has  $rank(\sigma)$  children
  - ▶ Tree domain: A nonempty finite subset D of  $\mathbb{N}^*$  such that
    - ▶ if  $xi \in D$  for some  $i \in \mathbb{N}$ , then  $x \in D$ , i.e.,  $x \in \mathbb{N}^*$
    - ▶ if  $xi \in D$  for some  $i \in \mathbb{N}$  and  $x \in D$ , then  $xj \in D$  for any  $j \leq i$ .
  - ▶ Ranked trees: A  $\Sigma$ -tree is a mapping  $t: D \to \Sigma$  such that

$$\forall x \in D, rank(t(x)) = |\max\{i \mid xi \in D\}|.$$

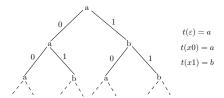


### Finite and Infinite Trees: continued

- Finite unranked trees
  - Alphabet Σ is unranked
  - ightharpoonup E.g., every node labeled by  $\sigma$  can have an arbitrary number of children
  - ▶ Unranked trees: A mapping  $t: D \to \Sigma$  (no rank constraints).



▶ ω-trees (ranked or unranked): a mapping  $t : \mathbb{N}^* \to Σ$ .



## Formal Languages and Closure Properties

- Formal languages
   A set of finite words, ω-words, finite trees, etc.
- ► Language-theoretical operations
  - ▶ Union:  $L_1 \cup L_2$ ,
  - ▶ Intersection:  $L_1 \cap L_2$ ,
  - ▶ Complementation:  $\Sigma^* \setminus L$ ,  $\Sigma^{\omega} \setminus L$ , . . .
  - ▶ Homomorphism: A mapping  $h: \Sigma \to \Pi \cup \{\varepsilon\}$ .

## Boolean Logic

- Boolean logic is a mathematical system built around True and False or 0 and 1
- ▶ Below are the Boolean operators, which can be defined by a truth

table								
$\wedge$	and/conjunction	$1 \wedge 1 \equiv 1$ ; else 0						
$\vee$	or/disjunctions	$0 \lor 0 \equiv 0$ ; else 1						
$\neg$	not	$ eg 1 \equiv 0; \  eg 0 \equiv 1$						
$\rightarrow$	implication	$1  ightarrow 0 \equiv 0$ ; else $1$						
$\leftrightarrow$	equality/biimplication	$1 \leftrightarrow 1 \equiv 1$ ; $0 \leftrightarrow 0 \equiv 1$ ; else 0						

 Can prove equality using truth tables, e.g., DeMorgan's law and Distributive law

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## Proofs and Types of Proofs

- Proofs are a big part of this class
- A proof is a convincing logical argument
  - Proofs in this class need to be clear, but not very formal
  - ► The books proofs are often informal, using English, so it isn't just that we are being lazy
- Types of Proofs
  - ▶  $A \Leftrightarrow B$  means A if and only if (iff) B
    - ▶ Prove  $A \Rightarrow B$  and prove  $B \Rightarrow A$
  - Disproof by counterexample (prove false via an example)
  - Proof by construction (main proof technique we will use)
  - Proof by contradiction
  - Proof by induction

- ▶ For any two sets A and B, prove  $\overline{A \cap B} \equiv \overline{A} \cup \overline{B}$
- ▶ The proof of  $\overline{A \cup B} \equiv \overline{A} \cap \overline{B}$  refers to Theorem 0.20, page 20
- ▶ What proof technique to use? Any ideas
- ▶ Prove in each direction:
  - ► First prove forward direction, then backward directions, (e.g., show if element *x* is in one of the sets then it is in the other)
  - We will do in words, as formal as possible formal definitions of each operator

# Proof Example 1: Proof $(\Rightarrow)$

- ▶ Assume  $x \in \overline{A \cap B}$ , we show that  $x \in \overline{A} \cup \overline{B}$
- 1.  $x \in \overline{A \cap B}$
- $2. \Rightarrow x \notin A \cap B$
- 3.  $\Rightarrow$   $(x \notin A) \lor (x \notin B)$
- 4.  $\Rightarrow$   $(x \in \overline{A}) \lor (x \in \overline{B})$
- $5. \Rightarrow x \in \overline{A} \cup \overline{B}$

[Assumption]

[Def. of complement]

[Def. of intersection]

[Def. of complement]

[Def. of union]

# Proof Example 1: Proof $(\Leftarrow)$

- ▶ Assume  $x \in \overline{A} \cup \overline{B}$ , we show that  $x \in \overline{A \cap B}$
- 1.  $x \in \overline{A} \cup \overline{B}$

2. 
$$\Rightarrow (x \in \overline{A}) \lor (x \in \overline{B})$$

- 3.  $\Rightarrow$   $(x \notin A) \lor (x \notin B)$
- $4. \Rightarrow x \notin A \cap B$
- 5.  $\Rightarrow x \in \overline{A \cap B}$

[Assumption]

[Def. of union]

[Def. of complement]

[Def. of intersection]

[Def. of complement]

- Prove or disprove: All prime numbers are odd
- ▶ What proof technique to use? Any ideas
- ▶ Disproof by counterexample uses three steps:
  - 1. State false: Not all prime numbers are odd
  - 2. Give a counterexample: consider the number 2
  - 3. Explain why your counterexample is a counterexample
    - $ightharpoonup 2 = 2 \times 1$ , so 2 is even
    - 2 has only two factors 2 and 1, so it is prime

- Prove for every even number n > 2, there is a 3-regular undirected graph with n vertices (Theorem 0.22, page 21)
  - ► A undirected graph is *k*-regular if every vertex has degree *k*
- ▶ What proof technique to use? Any ideas
- Proof by construction
  - Many theorems say that a specific type of object exists. One way to prove it exists is by constructing it.
  - May sound weird, but this is by far the most common proof technique we will use in this course
  - We may be asked to show that some property is true. We may need to construct a model which makes it clear that this property is true

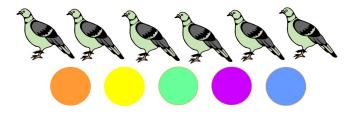
- ▶ Can you construct such a graph for n = 4, 6, 8?
  - ► Try now (Hint: place the vertices into a circle)
  - Can you find a pattern?
  - Generalize the pattern and that is the proof
- Solution
  - Place the vertices in a circle and then connect each node to the ones next to it, which gives us a 2-regular graph
  - ▶ Then connect each node to the one opposite it and you are done
  - This is guaranteed to work because if the number of nodes is even, the opposite node will always get hit exactly once
  - Note: if it was odd, this would not work

- ▶ Prove  $\sqrt{2}$  is irrational
- ▶ What proof technique to use? Any ideas
- ▶ Proof by contradiction uses three steps:
  - 1. first assume that the statement P is false
  - 2. then show that leads to a contradiction
  - 3. therefore, statement P must be true

- ▶ Prove  $\sqrt{2}$  is irrational
- Assume  $\sqrt{2}$  is rational
  - 1.  $\sqrt{2}$  is rational
  - 2.  $\Rightarrow \sqrt{2} \equiv \frac{m}{n}$  for some integers m, n. Without loss of generality, we assume that  $\frac{m}{n}$  is in lowest terms (i.e., reduced fraction)
  - 3.  $\Rightarrow n \times \sqrt{2} \equiv m$
  - 4.  $\Rightarrow$  2 ×  $n^2 \equiv m^2$
  - 5.  $\Rightarrow$  m is even, let  $m = 2 \times k$
  - 6.  $\Rightarrow n^2 \equiv 2 \times k^2$
  - 7.  $\Rightarrow$  *n* is even, let  $n = 2 \times h$
  - 8.  $\Rightarrow \sqrt{2} \equiv \frac{m}{n} \equiv \frac{2 \times k}{2 \times h} \equiv \frac{k}{h}$
  - 9.  $\Rightarrow \frac{m}{n}$  is not in lowest terms, resulting in a contradiction

### Discussion

Pigeonhole principle: prove for every integer n, if n+1 objects are put into n boxes, then at least one box must contain 2 or more objects



- Prove for every (undirected) graph G = (V, E), the sum of degrees of all vertices is even, i.e.,  $\sum_{v \in V} \text{degree}(v)$  is even
- What proof technique to use? Any ideas
- Proof by induction uses three steps:
  - 1. Base case(s): one or more particular cases that represent the most basic case (e.g. |E| = 0, or |E| = 0 and |E| = 1)
  - 2. Induction hypothesis: assumption that we would like to be based on
    - Weak induction: assume the step that you are currently stepping on holds (e.g. let's assume that |E| = n holds)
    - Strong induction: assume the steps that you have stepped on before including the current one holds (e.g. let's assume that |E| = i holds for all  $0 < i \le n$ )
  - 3. Inductive Step: prove that the next step based on the induction hypothesis holds (e.g. |E|=n+1 holds)

- ▶ Prove for every (undirected) graph G = (V, E), the sum of degrees of all vertices is even, i.e.,  $\sum_{v \in V} \text{degree}(v)$  is even
- ▶ Proof by induction uses three steps:
  - 1. Base case:  $|E| = 0 \Rightarrow \sum_{v \in V} \text{degree}(v) = 0$ , and 0 is even
  - 2. Induction hypothesis: assume the statement holds when |E| = n
  - 3. Inductive Step: |E| = n + 1. When adding an edge into E, it is by definition between two vertices (but can be the same), each vertex then has its degree increase by 1, or 2 overall. Hence,  $\sum_{v \in V} \text{degree}(v)$  is even.

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- Mathematical Notation
  - Sets
  - Sequences and Tuples
  - ► Functions and Relations
  - Graphs
  - Strings and Languages
  - Boolean Logic
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  - $\triangleright$   $A \Leftrightarrow B$  means A iff B
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