

Formale Methoden der Informatik

Course 185.291

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Abstract

This document are personal notes to the provided Course-Material.

1 Computation and Computability

1.1 Problems

- Problem has a name
- Infinite set of instances
- Question
- Answer (yes/no on decision question)
- There are different types of problems
- In FMI most problems are decision problems.
- A program should solve a problem in a mechanical way! (Can be solved by a computer or „An algorithm can solve the problem“)
- Alg. should be simple, understandable(shareable), should terminate and should work on ALL possible instances of the problem
- Given a problem P, can we write a program that is an algorithm for P
- Input is a single String or a list of values (def.)
- Our programming language is called **SIMPLE**
- If there doesn't exist a SIMPLE program, there doesn't exist a Java program (or Turing machine program) either

Church Turing Thesis:
Any algorithm can be programmed in SIMPLE

Goldbach's Conjecture can't be proved. (Every even integer greater than 2 is the sum of two primes) The algorithm to check never terminates until we find a counterexample. If we would have a program, which could tell us, if an algorithm terminates, we could answer the Goldbach Conjecture. BUT: It doesn't exist.

1.2 Halting problem (Page 20)

We want to show, that the Halting problem is undecidable, and then show, that the assumption leads to a contradiction.

A program will be applied to a program as input string.

' ...prime

" ...doubleprime

Π''_h ...speak „Pi sub h doubleprime“

This prove goes back to Allan Touring.

1.3 Page 23

Reachable-Code Problem is similiar to prove than Halting problem. Put some code at the end of the program (Infinite Loop !!?)

1.4 Page 24

Decidability implies Semi-Decidability but not vice-versa.

The halting problem is semi-decidable! Semi-Decidability: You'll never know if you haven't calculated far enough, or you'll never reach an end!

1.5 Page 26

There are two sources of infinity. It will halt for instances which reach all lines of code, but the algorithm will never stop, when there's dead code.

1.6 Page 27

Cantor's enumeration. Give an enumeration to two indefinite sets.

1.7 Page 28

compare to Sequential Calculus by Goedel

2 Complexity of Problems and Algorithms

2.1 Scope of complexity theory

Notation of Papadimitriou will be used in this section

2.2 Page 4

Does there exist a path between u and v .

Outer repeat loop is repeated linearly often.

Inner loop also linearly often. At the end it's cubic runtime.

2.3 Page 5

The answer to all question: It doesn't really matter in context of complexity theory.

2.4 Page 9

the „Big O Notation“ is used in this lecture. $O(f(n))$

Other notions are also reasonable, but we - in complexity theory - use the Big-O-Notation

Complexity theory doesn't work with **finite** number of Instances for a problem \mathcal{P} . The Problem must be generalized before.

2.5 Page 11 - Notion of O , Ω , and Θ

the big Ω notation is the reverse of the O notation

$O(n^3)$ might be $0.5n^3 - 17n^2 \dots$

2.6 Page 12 - Efficiently Solvable

Can a problem be solved in Polynomial (**P** or **PTIME**) time.

2.7 Page 14

The Vertices in a boolean circuit are its „Gates”

2.8 Page 19

We don't care if we can solve the Problem \mathcal{P} in $O(n)$ or $O(n^4)$. The only important thing is that we can solve it in \mathbf{P}

2.9 Page 22 - from Boolean Formulas to Circuits

The boolean Input-Gates correspond with the variables used in the formula.

2.10 Page 26 - The class NP

The big problem is, that the search space is Exponential. There are 2^n possible assignments.

Although we can often find a solution to a problem \mathcal{P} with good heuristics.

2.11 Page 29

INSTANCES(\mathcal{P})... Boolean Formulas

CERT... Models (truth assignments)

2.12 Page 30 - Definition of the class NP

see Course material

2.13 Page 35

Transform the TSP from an Optimization Problem to a decision problem by introducing a bound.

3 Reductions

This is the most important tool in complexity theory. It's used to compare the complexity of two problems.

3.1 Page 3 - Basic Idea

Recall the TSP. Compare TSP as a **Decision Problem** (a.k.a. TSP(D)) vs. the TSP as an **optimization Problem**

Construct a:

- Decision problem using an Alg. for Opt.Problem: Does there exist a tour which fits in a specific budget (Budget might be calculated by a TSP-Opt-Alg.)
- Solution for the Opt.Probl using a Alg. for decision Problem: Use Binary search.

3.2 Page 4

We have the following setting:

- Problem A: new Problem
- Problem B: old and easy solution available
- Use Problem B to solve the new Problem A
- we say: A is reduced to problem B. (or $A \leq B$)

$$A \xrightarrow{R} B$$

We assume, that the reduction R is feasible in time. We don't want to talk about the complexity of the reduction R , we want to talk about the complexity of A and B

Another setting:

- Problem A: known as hard
- Problem B: new
- Problem B is also hard. (If there is no efficient method for A there also doesn't exist a simple solution for B)

Complexity. Theory is more interested in the second setting (the negative example).

3.3 Page 8

$$\begin{aligned} \text{R: } & A \longrightarrow B \\ & x \longmapsto R(x) \\ & x \in A \Leftrightarrow R(x) \in B \end{aligned}$$

3.4 Page 9

Recall what CNF (Conjunctive Normal Form on PL0) means. The SAT Problem is NP-Complete (without proof). If only CNF is allowed, the Problem is still NP-Hard. The same if you would allow any arbitrary structure (e.g. DNF).

with 3-SAT we once more reduce the complexity, by reducing the length of the clauses to 3. The problem is still as complex.

The reduction from SAT to 3-SAT is complicated and not covered in this lecture.

3.5 Page 10

2-SAT is easily solvable.

3.5.1 Page 10 - Independent Set

Two points should not be adjacent. . .

The problem gets hard, when you try to find a set of a size K

3.6 Page 11

2-SAT \xrightarrow{R} REACHABILITY

3.7 Page 12ff - Example of solving the 2-SAT problem

We can construct 6 literals (3 variable x_1, x_2, x_3)

$$\begin{array}{l} \alpha \rightarrow \beta \equiv \neg\alpha \vee \beta \\ (\alpha \vee \beta) \equiv \neg\alpha \rightarrow \beta \\ (\alpha \vee \beta) \equiv \neg\beta \rightarrow \alpha \end{array}$$

3.8 Page 16ff - more complex example

This is a typical way of proving something.

INDEPENDENT SET \leq 3-SAT (Ind.Set at least as hard as 3-SAT)

3-SAT \xrightarrow{R} INDEPENDENT SET We assume 3-SAT is old and hard.

Page 18 Choose one literal per clause and try to set it to true. Be sure not to assign true to a variable and its negation.

Page 19 Divide the equivalence. We start with the direction from right to left. Assume that $R(x)$ is a positive instance of B and then show, that x is a positive instance of A.

$K \dots$ number of clauses

Page 20 find a truth assignment that $x \in A$ We set those variables true which occur positively in the independent set.

Page 21 Now we have to prove the other direction.

Showing (ii) is trivial we have chosen m literals of m triangles.

Showing (i) is more complicated. Choose an arbitrary pair of vertices and show it's not adjacent. But it's simpler by choosing an indirect proof.

3.9 Page 22

the red stuff is important.

ANY(!) two NP-Problems can be reduced to each other. (e.g. the reduction from 3-SAT to INDEPENDENT SET)

$$\mathcal{P}'_{inNP} \leq 3-SAT \leq IND-SET \text{ or also } \mathcal{P}'_{inNP} \leq IND-SET \leq 3-SAT$$

NP is the Class of problems, that can be solved with succinct Certificates. (It only requires polynomial time to find a witness)

So, if a problem is for example reducible to SAT we know, that the Problem is not harder than NP.

$$P \subseteq NP \subseteq PSPACE \subseteq EXPTIME$$

3.10 Page 24

$$\begin{array}{l} \mathcal{P}' \leq \mathcal{P} \subseteq P \\ x \xrightarrow{R} R(x) \end{array}$$

3.11 Page 26

Informal Proof

3.12 Page 27

The formal solution

$$\begin{array}{l} A \xrightarrow{R} B \\ x \mapsto R(x) \\ x \in A \Leftrightarrow R(x) \in B \end{array}$$

4 NP-Completeness

4.1 Page 3

2-SAT can be solved in P-Time by reducing it to reachability. SAT and 3-SAT are NP-Complete (without Proof here.)

4.2 Page 5

This is only a rough proof-sketch, not the whole proof.

4.3 Page 6

We are only allowed to assume, that \mathcal{P} has a polynomially decidable certificate relation. (Else \mathcal{P} would not be arbitrary.)

4.4 Page 8

WE have to show that $SAT \leq 3 - SAT$
 ϕ and ψ must not be logically equivalent.

4.5 Page 11 - Some NP-Problems

4.6 Page 12

Left: Independent set Idea: Take the complement graph (on the right side)

With this idea an reduction can be constructed.

4.6.1 Page 17

$$\begin{array}{l} \text{3-SAT:} \\ \phi = C_1 \wedge \dots \wedge C_n \\ C_i = (l_{i1} \vee l_{i2} \vee l_{i3}) \end{array}$$

4.7 Page 18

Whether you make a question more or less restrictive, you can't say beforehand, if solving the problem becomes easier or harder.

4.8 Page 20

We have good SAT-Solvers, so sometimes it's good to reduce a problem to SAT first.

4.9 Page 26

Certificate: Truth assignment is a Certificate in the SAT world. Mapping is a Certificate in the Graph world.

4.10 Page 28

Instead of a clause-based formula we could also use a rule-based formula:

$$p_1 \wedge p_2 \wedge p_3 \rightarrow p_4 = \neg p_1 \vee \neg p_2 \vee \neg p_3 \vee p_4$$

4.11 Page 30

The other direction.

The more subformulas we have, the harder it's getting to prove, that there is a model.

5 Other important complexity classes

5.1 Page 6

This implementation is not recursive...

5.2 Page 7

Time complexity is one exponentiation higher than its space complexity.

5.3 Page 8 - PSPACE

We assume, that PSPACE is a bigger class than NP. (not proved yet.)

5.4 Page 10 - Tica Tac Toe (TTT)

No branching for player 1. We only choose one move, which could lead to a winning-strategy.

Exists-For-All alternation is typical for PSPACE:

„Does there exist **A** move for player one, so that for **ALL** moves of P2 ... exists **A** move for P1 so that for **ALL** moves for P2 ...”

Don't check all constellations of P1 in a move. Check them one after another. So the steps of the tree is polynomial bounded. This immediately gives us a PSPACE upperbound.

5.5 Page 11

The travelling space is exponentially big, but we are not forced to use it. This is a property of the game not a property of complexity theory.

5.6 Page 14

$P \subseteq PTIME$...you don't have more time to access the memory more often ...

5.7 Page 14

We have two problems, which need PTIME, so we can don't address more than PSPACE memory.

5.8 Page 15 - EXPTIME

„2 to the power of a polynom.”

6 Turing machines

Some proofs are almost impossible to encode in SIMPLE. some are easier to implement in Turing machines.

6.1 Page 4

Transition table of the turing machine.

6.2 Page 5

One sided infinitely tape.

($s, \triangleright, 1001$) means (the cursor position, the symbols on the left side of the cursor including the cursor, the alphabet on the right side)

We can store a constant amount of information in the states of the turing machine.

6.3 Page 8

the „h” state is used, if we want to produce output. Else the states are „yes” or „no”

6.4 Page 10

yields with M^k means a state can be reached in k steps.

6.5 Page 11

Start and blank symbol are never in the alphabet Σ

Definition: If a string is element of a Language L, the the TM should output yes.

6.6 Page 18

3 tapes are needed: Input-Tape (RO), Work-Tape (RW), Output-Tape (WO)

Implement a RO-Tape: only allow to overwrite with the same symbol.

Implement a WO Tape: only allow the cursor to move to the right.

6.7 Page 23

with NTM we have a **transition relation** instead of a **transition function**.

6.8 Page 25

If we have at least one „YES“-answer, we say, the machine accepts the input.

To say no, **ALL** leavers must have the answer „NO“

7 SAT Problems - Preparatory Concepts

7.1 Page 5

This type of figure is called **Cactus Plot** In 2002 they solved approx. 40 problems with 2010 Software they solved approx. 170 problems. With hardware of 2010 and problems defined in 2009.

These are real-world problems like hardware optimization of IBM.

We use SAT-solvers because they are good and provided for free in Public Domain.

7.2 Page 19

$\nrightarrow = XOR$

7.3 Page 21

This kind of translation is called **Structure preserving translation**.

7.4 Page 31

The tree shows all ISF's (Immediate subformulas).

7.5 Page 33

Mapping: We map all variables to truth-values

There are other representations. Here the **iff** representation is chosen by Uwe Egly.

7.6 Page 34

$\models \dots$, „satisfies“

7.7 Page 35

The first formula in the example: This is used to prove if the **Modus Ponens** is sound.

Modus Ponens: is an inference rule. from two formulas „ ϕ “ and „ $\phi \rightarrow \psi$ “ derives „ ψ “

Modus Tonens: from two formulas „ $\neg\phi$ ” and „ $\phi \rightarrow \psi$ ” we derive „ ψ ”

Because we can see here I as an „Eigenvariable” this proof is correct. It is shown **forall**(\forall). So we don't have to introduce an additional \forall -Quantifier

7.8 Page 37

An empty clause is an equivalence for **falsum**.

W ... Knowledgebase

ϕ ... query

7.9 Page 38

We reduce to **Satisfiability** to reuse SAT-Solver. The reduction can be done quick (e.g. with a python script.)

7.10 Different normal forms and translation procedures

7.11 Page 44 - NNF translation

These are the rules to translate a formula into **NNF**. These rules must be applied in this order.

7.12 CNF translation

From the **NNF** we can simply create **CNF** by applying these rules.

7.13 Page 48 - Tseitin translation

NFT ... Normal form translation

7.14 Page 53

q is labelled twice (with l_1 and l_2) because this is a non-optimized version.

7.15 Page 63

YOU can only show the existing of models, BUT you don't get the same models for ϕ and $\delta(\phi)$

SFO ... Subformula occurence

7.16 Page 64

NOT logically equivalent, nly satisfiability-equivalence!

8 SAT-Problems - Techniques for modern SAT Solvers

8.1 Page 2 - Cactus Plot

What are the reasons for that improvements?

These tests have been run on a modern hardware with solvers from 2002-2010. So, the better results are just because of the better implementations of the SAT-solvers.

In modern solvers not only one step backtracking. The solvers jump high above...

8.2 Page 5

DLL ... „Davis-Loveland-Lodgement” the authors of the first paper (also called DPLL)

8.3 Page 6

CDCL - Conflict Driven Clause Learning solvers

8.4 Page 7

Basic idea of solvers.

8.5 Page 14

Red-Arrows (\leftarrow) mean: Conflict between these two clauses under the partial assignment. WE are now in a deadlock stage. We can't put away the conflict.

We now apply the first stop criterium. WE now try to backtrack chronologically.

8.6 Page 18

After a few backtracks we get an assignment which satisfies all clauses.

UNIT-Rule The blue clauses on the slides are unit (c must be 1 to satisfy this clause) the unit rule detects that and sets c to true. The same happens to atom d.

This is called **Boolean Constraint Propagation**.

8.7 Page 19

Now we have a model. Because every clause is satisfied

8.8 Page 20

The status of the clauses change over time, like shown in this table. After each decision the status change.

8.9 Page 22

Horn Clauses: Every clause has at most one positive atom. (But can have many atoms)

8.10 Page 23 - Heuristics to select truth assignments

8.11 Page 24 - DLIS

Quite an expensive heuristic. Here we go to the approach to satisfy clauses quickly.

8.12 Page 25 - Jeroslov-Wang Heuristic

You try to get Unit-clauses quickly, because they are not far away of conflicts. You want to get short clauses here quickly.

8.13 Page 26 - Basic SAT Algorithm

PCP Boolean Constraint Propagation

8.14 Page 30 -

Each node in the IG is a variable assignment.

dl (Decision Level) 0 for unit clauses ... You don't have a choice. YOU have to chose the correct answer for the remaining variable.

8.15 Page 31

(sic!) $\neg v_1$ should be v_1^d (dual) here

8.16 Page 32

In **S2** we have a UNIT-Clause. We can assign the UNIT value.

Keep in mind: on the slides, we often only see parial IG's!

8.17 Page 33ff - Example of Implication Graph (IG) GRASP approach

8.18 Page 37

We have a conflict graph with the conflict node κ

8.19 Page 39

It's conflict driven, because we start to learn, after a conflict κ occurred.

8.20 Page 43

How can we learn a clause out of this conflict?

decision levels are increased whenever there is made a new decision

The conslict clause is the negated decision clause.

(sic!) at the bottom we should flip x_1 instead to flip x_6

8.21 Page 45

By backtrack to decision level 6, the PCB automatically flips x_1 because of the newly learned rule. Which automatically makes $\neg x_1$ becomes unit.

8.22 Page 48

We have a conflict κ' but we don't have a decision (x_1 was unit, not decided.) Now we could try to go back chronologically to an higher dl. But this is not a good idea. WE go back to dl 3 because there we have the chance to change an assignment, else the clause will remain conflicting. The only one which makes the learned clause c_11 non conflicting.

8.23 Page 53 - first UIP scheme

8.24 Page 54

cut is a partition of the vertice-set. One node of the edge is in S and the other node is in T

Page 55 These 3 cut edges are the 3 possibilities to cut out the choice-nodes. You have to choose one of them. Each cut brings up a different conflict clause. Which one to choose?

Page 58 All clauses shown in the previous slides where **Asserting clauses**. Actual SAT-solvers only work with asserting clauses.

Page 59 - UIP's

UIP ... Unique implication point

Page 60 Choose the cut (see Page 55) according to the first UIP.

Page 61 only one decision from the highest level will be taken to the second last decision level, to get a unique.

Page 65 In the res the x_5 has been cancelled like mentioned in the previous slides.

Page 68 - VSIDS After adding learned clauses, you don't go back and recalculate, you simply add the new rule. To avoid overflows you simply divide the scores by 2 (or any other number... but 2 is good because it's a bit-shift).

9 RECAP: First order logic and theories

9.1 Page 6

The ground term is enough to represent the natural Numbers. $c = 0$ and $f(c) \dots = ofc$

9.2 Page 10 - Semantics of the first order logic.

9.3 Page 17

$p(x) \not\equiv p(y)$ because they have a different α .

9.4 Page 23

We want to overload the „ \models ” symbol here.

9.5 Page 26 - First Order Theory

We will build a resolver for an „restricted Theory”.

9.6 Page 33

\doteq ... see next slide

9.7 Page 34f

Read: $[\dots] \rightarrow [\dots]$

Description on the next slide!

9.8 Page 36

line 2: the left hand side of the implication must be true

line 3: right hand side of the implication must be false

...

9.9 Page 39f

Rule 6 is a protection rule so that you can't use $\text{cons}(a, b)$ to atoms. (See remarks on the next slide.)

9.10 Page 42

Rule 2-5: conjunctions of the left hand side splitted and all assumed true (since rule 1 must hold))