Reading Notes of Elements of the Theory of Computation

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Introduction

Fundamental questions in computer science answered by theory of computation:

- What is an algorithm?
- What can and what cannot be computed?
- When should an algorithm be considered practically feasible.

The theory of computation is the mathematical abstractions of computers, but its origin is even before the advent of the electronic computer.

It is based on very few and elementary concepts, and draws its power and depth from the careful, patient, extensive, layer-by-layer manipulation of these concepts – just like the computer.

1 Sets, Relations, and Languages

1.1 Sets

Power set: 2^A , the collection of all subsets of set A.

Partition of set A, subset of 2^A whose elements are nonempty and disjoint when contain all elements of A.

1.2 Relations and functions

a and b are called the *components* of the ordered pair (a,b).

The Cartesian product of two sets.

Ordered tuples: ordered triples, quadruples, quintuples, sextuples...

n-ary relation: unary, binary, ternary...

The domain, image, range, of function; one-to-one + onto = bijection; inverse.

1.3 Special types of binary relations

The relation $R \in A \times A$ is called a *directed graph*.

Properties of relations: reflexive, symmetric, antisymmetric, transitive.

Equivalence relation: r, s, t. Partial order: r, a, t. Total order.

1.4 Finite and infinite sets

Call two sets equinumerous if there is a bijection between them.

Finite (equinumerous with $\{1, 2, \dots n\}$, infinite, countably infinite (equinumerous with \mathbf{N}), countable, uncountable.

1.5 Three fundamental proof techniques

The Principle of Mathematical Induction: Let A be a set of natural numbers such that (1) $0 \in A$, and (2) for each natural number n'\$n\$', if $\{0, 1, ..., n\} \subseteq A$, then $n + 1 \in A$. Then $A = \mathbf{N}$.

The Pigeonhole Principle: if A and B are finite sets and |A| > |B|, then there is no one-to-one function from A to B.

The Diagonalization Principle: Let R be a binary relation on a set A, and let D, the diagonal set for R, be $\{a: a \in A \text{ and } (a,a) \notin R\}$. For each $a \in A$, let $R_a = \{b: b \in A \text{ and } (a,b) \in R\}$. Then D is distinct from each R_a . Lemma: the set $2^{\mathbb{N}}$ is uncountable.

1.6 Closures and algorithms

The reflective transitive closure of a directed graph.

The rate of growth of a function f on \mathbf{N} .

The proof of correctness of the Floyd algorithm: define rank of a path as the biggest index among its intermediate nodes, and prove that after the jth iteration, all path with rank less than or equal to j will be found.

Closure property: Let D be a set, let $n \geq 0$, and let $R \subseteq D^{n+1}$ be a (n+1)-ary relation on D. Then a subset B of D is said to be closed under R if $b_{n+1} \in B$ whenever $b_1, \ldots, b_n \in B$ and $(b_1, \ldots, b_n, b_{n+1}) \in R$. Any property of the form "the set B is closed under relation R_1, R_2, \ldots, R_m " is called a closure property of B.

The minimal set B that contains A and has property P is unique if P is a closure property defined by relations on a set D while $A \subseteq D$. Then we call B the *closure* of A under the relation R_1, \ldots, R_m .

Inclusion property: unary closure (take n = 0 in definition).

Any closure property over a finite set can be computed in polynomial time (see ex1.6.9).

1.7 Alphabets and languages

Here is the mathematics of strings of symbols.

symbol: any object, but often only common characters are used.

alphabet: a finite set of symbols.

string: finite sequence of symbols from the alphabet, which has length, operation of $concatenation(\circ)$, substring, prefix, suffix, s^n , operation of $reversal(s^R)$ defined

language: any set of strings over an alphabet Σ , that is, any subset of Σ^* . It might be able to be enumerated *lexicographically*. It has *complement* (\overline{L}) , *concatenation* of languages, Kleene star (the set of all strings obtained by concatenating zero or more strings from it). We write L^+ for LL^* , which is the closure of L under the function of concatenation.

1.8 Finite representations of languages

This section discusses how to use regular expressions to represent languages.

A regular expression is the representation of language using empty set, characters in alphabet, concatentaion (symbol usually omitted), function of union (the or operator in regex), star, and parentheses. We can define the function \mathcal{L} from regular expressions to lanuages, whose range is called the class of regular languages.

A language recognition device is an algorithm that is specifically designed to answer questions of the form "is string w a member of L?".

A language generator is the description of the way of generating members of a language.

1 Sets, Relations, and Languages

The relation between the above two types of finite language specifications is another major subject of this book.

2 Finite Automata

2.1 Deterministic Finite Automata

DFA is computer with no memory; input a string, output indicate whether it's acceptable. DFA definition: quituple $M = (K, \Sigma, \delta, s, F)$, where K is a finite set of states, Σ is an alphabet, $s \in K$ is the initial state, $F \subseteq K$ is the set of final states, and δ the transition function, is a function from $K \times \Sigma$ to K.

A configuration of a DFA is any elements of $K \times \Sigma^*$. For two configuration (q, w) and (q', w'), then $(q, w) \vdash_M (q', w')$ if and only \vdash_M^* if w = aw' for some symbol $a \in \Sigma$, and $\delta(q, a) = q'$. We say that (q, w) **yields** (q', w') **in one step**. Denote the reflexive transitive closure of \vdash_M by \vdash_M^* , $(q, w) \vdash_M^* (q', w')$ is read, (q, w) **yields** (q', w').

A string $w \in \Sigma^*$ is said to be accepted by M if and only if there is a state $q \in F$ such that $(s, w) \vdash_M^* (q, e)$. The language accepted by M, L(M) is the set of all strings accepted by M.

2.2 Nondeterministic Finite Automata

NFAs are simply a useful notational generalization of finite automata, as they can greatly simplify the description of these automata. Moreover, every NFA is equivalent to a DFA. NFA definition: quituple $M = (K, \Sigma, \Delta, s, F)$ where Δ the transition relation, is a subset of $K \times (\Sigma \cup \{e\}) \times K$. Each triple $(q, u, p) \in \Delta$ is called a transition of M.

Two finite automata M_1 and M_2 are equivalent if and only if $L(M_1) = L(M_2)$. For each NFA, there is an equivalent DFA.

2.3 Finite Automata and Regular Expressions

The class of languages accepted by DFA or NFA, is the same as the class of *regular languages* – those that can be described by regular expressions.

The class of regular languages are the closure of certain finite languages under the language operations of union, concatenation, and Kleene star. We can prove similar closure properties of the class of languages accepted by finite automata: union, concatenation, Kleene star, complementation (exchange the final and nonfinal states), intersection (represented as complementation and union). Therefore, a language is regular *only if* it is accepted by a finite automaton.

The other part, a language is regular *if* it is accepted by a finite automaton, can be proved by constructing a regular expression from every NFA. The way is to find all paths between initial state to some final state, then union them.

2.4 Languages that are and are not Regular

Showing languages are regular: use regular expressions or automata and operations on languages.

Theorem: Let L be a regular language. There is an integer $n \ge 1$ such that any string $w \in L$ with $|w| \ge n$ can be rewritten as w = xyz such that $y \ne e$, $|xy| \le n$, and $xy^iz \in L$ for each $i \ge 0$.

2.5 State Minimization

In language $L \subseteq \Sigma^*$, string $x, y \in \Sigma^*$. x and y are equivalent with respect to L, denoted $x \approx_L y$, if for all $z \in \Sigma^*$, the following is true: $xz \in L$ if and only if $yz \in L$.

Let M be a DFA, the two strings $x, y \in \Sigma^*$ are equivalent with respect to M, denoted $x \sim_M y$, if they both drive M from s to the same state.

If $x \sim_M y$, then $x \approx_{L(M)} y$. So \sim_M is a **refinement** of $\approx_{L(M)}$.

Let $L \subseteq \Sigma^*$ be a regular language. Then there is a DFA with precisely as many states as there are equivalence classes in \approx_L that accepts L. – Can be constructively proved.

Corollary: A language L is regular if and only if \approx_L has finitely many equivalence classes.

Algorithm for state minimization: continuely refine the relation $\equiv = \approx / \sim$, initially $\equiv_0 = \{F, K - F\}.$

2.6 Algorithms for Finite Automata

Expnential: NFA to DFA, NFA to regex, decides whether two regex or NFA are equivalent

Polynomial: regex to NFA, DFA to minimal DFA, decides whether two DFA are equivalent.

Two DFA are equivalent if and only if their standard automata are identical.

If L is a regular language, then there is an algorithm which, given $w \in \Sigma^*$, tests whether it is in L in $\mathcal{O}(|w|)$ time using DFA. If using NFA, the time complexity should be $\mathcal{O}(|K|^2|w|)$.

3 Context-Free Languages

3.1 Context-Free Grammars

The concepts of laguage recognizer and language generator.

A **context-free grammar** $G = (V, \Sigma, R, S)$, where V is an alphabet, $\Sigma \subseteq V$ is the set of terminals, $R \subseteq (V - \Sigma) \times V^*$ is the finite set of rules, and $S \in V - \Sigma$ is the start symbol.

Member of $V - \Sigma$ is called *nonterminals*. For any $A \in V - \Sigma$ and $u \in V^*$, we write $A \to_G u$ whenever $(A, u) \in R$. For any strings $u, v \in V^*$, we write $u \Rightarrow_G v$ if and only if there are strings $x, y \in V^*$ and $A \in V - \Sigma$ such that u = xAy, v = xv'y, and $A \to_G v'$. The relation \Rightarrow_G^* is the reflexive transitive closure of \Rightarrow_G . Finally, L(G) the language generated by G, is $\{w \in \Sigma^* : S \Rightarrow_G^* w\}$; we also say that G generates each string in L(G). A language L is said to be a **context-free language** if L = L(G) for some context-free grammar G.

When the grammar to which we refer is obvious, we write $A \to w$ and $u \Rightarrow v$ instead of $A \to_G w$ and $u \Rightarrow_G v$.

We call form $w_0 \Rightarrow_G w_1 \Rightarrow_G \cdots \Rightarrow_G w_n$ a derivation in G of w_n from w_0 , its length or steps is n.

All regular languages are context free. We can directly construct the rules of a CFG using DFA's transition function: $R = \{q \to ap : \delta(q, a) = p\} \cup \{q \to e : q \in F\}.$

3.2 Parse Trees

Show the derivation of a CFG in a tree, called *parse tree*, which has *nodes*, each node carries a *label*, there are nodes called *root* and *leaves*. By concatenating the labels of the leaves from left to right, we obtain the derived string of terminals, which is called the *yield* of the parse tree.

Two derivations are identical except for two consecutive steps, during which the same two nonterminals are replaced by the same two strings but in opposite orders in the two derivations. The derivation in which the leftmost of the two nonterminals is replaced first is said to precede the other, written $D_1 \prec D_2$.

Two derivations D and D' are *similar* if the pair (D, D') belongs in the reflexive, symmetric, transitive closure of \prec . We also have *leftmost derivation* and *rightmost derivation*.

Leftmost derivation: we write $x \stackrel{L}{\Rightarrow} y$ if and only if $x = wA\beta$, $y = w\alpha\beta$, i.e. the leftmost nonterminal must be replaced.

Usually, we can disambiguate an ambiguous CFG, unless the language is *inherently* ambiguous.

3.3 Pushdown Automata

A pushdown automaton is a sextuple $M = (K, \Sigma, \Gamma, \Delta, s, F)$, where K is a finite set of states, Σ is an alphabet (the input symbols), Γ is an alphabet (the stack symbols), $s \in K$ is the initial state, $F \subseteq K$ is the set of final states, and Δ , the transition relation, is a finite subset of $(K \times (\Sigma \cup \{e\}) \times \Gamma^*) \times (K \times \Gamma^*)$.

 $((p, a, \beta), (q, \gamma)) \in \Delta$, then when M is in state p with β at the top of the stack, may read a from input, replace β by γ on the top of the stack, and enter state q.\vdash

3.4 Pushdown Automata and Context-Free Grammars

Pushdown automaton is exactly what is needed to accept arbitrary context-free languages.

Construct a pushdown automaton from a context-free language.

Let $M = (\{p,q\}, \Sigma, V, \Delta, p, \{q\})$, where Δ contains the following transitions: (1) ((p,e,e),(q,S)), (2) ((q,e,A),(q,x)) for each rule $A \to x$ in R, (3) ((q,a,a),(q,e)) for each $a \in \Sigma$.

Construct a context-free language from a pushdown automaton.

Simple pushdown automaton: whenever $((q, a, \beta), (p, \gamma))$ is a transition of the pushdown automaton and q is not the start state, then $\beta \in \Gamma$, and $|\gamma| \leq 2$. The machine always consults its topmost stack symbol and replaces it either with e, or with a single stack symbol, or with two stack symbols. We can construct an equivalent simple pushdown automaton from any pushdown automaton. And then construct CFG.

3.5 Languages that are and are not Context-Free

The context-free languages are *closed* under union, concatenation, and Kleene star. But not closed under intersection or complementation.

The intersection of a context-free language with a regular language is a context-free language. (The Cartesian product of state set of two automaton.)

The fanout of G, denoted $\phi(G)$, is the largest number of symbols on the right-hand side of any rule in R.

Pumping theorem: Let $G = (V, \Sigma, R, S)$ be a context-free grammar Then any string $w \in L(G)$ of length greater than $\phi(G)^{|V-\Sigma|}$ can be rewritten as w = uvxyz in such a way that eigher v or y is nonempty and uv^nxy^nz is in L(G) for every $n \ge 0$.

3.6 Algorithms for Context-Free Grammars

Polynomial algorithms: from CFG to pushdown automaton; from pushdown automaton to CFG; decide whether string $x \in L(G)$, G is a CFG.

A context-free grammar $G = (V, \Sigma, R, S)$ is said to be in *Chomsky normal form* if $R \subseteq (V - \Sigma) \times V^2$. We can transform any CFG into Chomsky normal form in polynomial time. After that, we can use dynamic programming to complete the acceptor algorithm.

3.7 Determinism and Parsing

Deterministic pushdown automaton: for each configuration there is at most one configuration taht can succeed it. Detrministic CFG are thost that are accepted by deterministic pushdown automata.

Formally, we call a language $L \subseteq \Sigma^*$ deterministic context-free if L\$ = L(M) for some deterministic pushdown automaton M. Here \$ is a new symbol appended to each input string to mark its end.

The class of deterministic context-free language is *closed under complement*. The class of deterministic comtext-free language is *properly contained* in the class of context-free languages.

Top-Down Parsing: the steps in the computation where a nonterminal is replaced on top of the stack correpsond to the constrction of a parse tree from the root towards the leaves.

Left factoring: $F \to a\beta$, $F \to a\gamma$ to $F \to aE$, $E \to \beta$, $E \to \gamma$.

Bottom-Up Parsing: carry out a leftmost derivation on the stack; attempt to read the input first and, on the basis of the input actually read, deduce what derivation it should attempt to carry out.

Bottom-up pushdown automata construction: $G = (V, \Sigma, R, S)$ is the grammar, $M = (K, \Gamma, \Delta, p, F)$ is the automata, where $K = \{p, q\}$, $\Gamma = V, F = \{q\}$, and Δ contains the following: (1) ((p, a, e), (p, a)) for each $a \in \Sigma$, (2) $((p, e, \alpha^R), (p, A))$ for each rule $A \to \alpha$ in R, (3) ((p, e, S), (q, e)).

4 Turing Machines

4.1 The Definition of a Turing Machine

Unlike finite automata or pushdown autoamta, turing machine can be regarded as truly general models of computers.

Turing machines seem to form a *stable* and *maximal* class of computational devices, in terms of the computations they can perform.

A Turing machine is a quintuple $(K, \Sigma, \delta, s, H)$, where K is a finite set of states; Σ is an alphabet, containing the $blank\ symbol\ \sqcup$ and the $left\ end\ symbol\ \rhd$, but not containing the symbols \leftarrow and \rightarrow ; $s\in K$ is the $initial\ state$, $H\subseteq K$ is the set of $halting\ states$; δ , the $transition\ function$, is a function from $(K-H)\times\Sigma$ to $K\times(\Sigma\cup\{\leftarrow,\rightarrow\})$ such that (a) for all $q\in K-H$, if $\delta(q,\rhd)=(p,b)$, then $b=\rightarrow$, (b) for all $q\in K-H$ and $a\in\Sigma$, if $\delta(q,a)=(p,b)$ then $b\neq \rhd$.

A configuration of a Turing machine $M = (K, \Sigma, \delta, s, H)$ is a member of $K \times \triangleright \Sigma^* \times (\Sigma^*(\Sigma - \{\sqcup\}) \cup \{e\})$. All configurations are assumed to start with the left end symbol and never end with a blank, unless the blank is currently scanned.

The definition of $(q_1, w_1a_1u_1) \vdash_M (q_2, w_2a_2u_2)$.

 $C_1 \vdash_M^* C_2$, configuration C_1 yields configuration C_2 . A computation by M is a sequence of configurations C_0, C_1, \ldots, C_n , for some $n \geq 0$ such that $C_0 \vdash_M C_1 \vdash_M C_2 \vdash_M \cdots \vdash_M C_n$. This computation is of length n or it has n steps, and we write $C_0 \vdash_M^n C_n$.

Use a *hierarchical* notation, more and more complex machines are built from simpler materials.

The basic machines include the symbol-writing machines and the head-moving machines. If $a \in \Sigma$, the a-writing machine will be denoted simply as a. The head-moving machines L and R. Turing machines will ge combined in a way suggestive of the structure of a finite automaton.

4.2 Computing with Turing Machines

Let $M = (K, \Sigma, \delta, s, H)$ be a Turing machine, $H = \{y, n\}$ consists of two halting states, denoting accepting configuration and rejecting configuration. We say that M decides a language L if for any string w, $w \in L$ then M accepts w; and if $w \notin L$ then M rejects w. We call a language recursive if there is a Turing machine that decides it.

Let $M = (K, \Sigma, \delta, s, H)$ be a Turing machine. Suppose M halts on input w, and that $(s, \rhd \sqcup w) \vdash_M^* (s, \rhd \sqcup y)$ for some y. Then y is called the *output of* M *on input* w, and is denoted M(w). Notic that M(w) is defined *only if* M halts on input w.

Let f be any function from Σ_0^* to Σ_0^* . We say that M computes function f if, for all $w \in \Sigma_0^*$, M(w) = f(w). A function is called *recursive*, if there is a Turing machine M that computes f.

Let $M = (K, \Sigma, \delta, s, H)$ be a Turing machine, and let $L \subseteq \Sigma_0^*$ be a language. We say that M semidecides L if for any string $w \in \Sigma_0^*$ the following is true: $w \in L$ if and only if M halts on input w. A language L is recursively enumerable if and only if there is a Turing machine M that semidecides L.

If a language is recursive, then it is recursively enumerable.

If L is a recursive language, then its complement \overline{L} is also recursive.

4.3 Extensions of the Turing Machine

The additional features in Turing Machines do not add to the classes of computable functions or decidable languages, since each instance can be *simulated* by the staandard model.

k-tape Turing machine are capable of quite complex computational tasks.

Let $M = (K, \Sigma, \delta, s, H)$ be a k-tape Turing machine for some $k \geq 1$. Then there is a standard Turing machine $M' = (K', \Sigma', \delta', s', H)$, where $\Sigma \subseteq \Sigma'$, and such that the following holds: For any input string $x \in \Sigma^*$, M on input x halts with output y on the first tape if and only if M' on input x halts at the same halting state, and with the same output y on its tape. Furthermore, if M halts on input x after t steps, then t halts on input t after a number of steps which is $\mathcal{O}(t \cdot (|x| + t))$.

A two-way infinite tape can be easily simulated by a 2-tape machine.

A Turing machine with one tape and several heads or with two-dimensional tape can be simulated too.

Any function that is computed or language that is decided or semidecided by Turing machine with several tapes, heads, two-way infinite tapes, or multi-dimensional tapes, is also computed, decided, or semidecided, respectively, by a standard Turing machine.

4.4 Random Access Turing Machines

A random access Turing machine has a fixed number of registers and a one-way infinite tape; each register and each tape square is capable of containing an arbitrary natural number. The program of a random access Turing machine is a sequence of instructions.

A random access Turing machine is a pair $M=(k,\Pi)$, where k>0 is the number of registers, and $\Pi=(\pi_1,\pi_2,\ldots,\pi_p)$, the program is a finite sequence of instructions. A configuration of a random access machine (k,Π) is a k+2-tuple $(\kappa,R_0,R_1,\ldots,R_{k-1},T)$, where $\kappa\in\mathbb{N}$ is the program counter, $R_j\in\mathbb{N}$ is the current value of Register j. T is the tape contents.

Any language decided or semidecided by a random access Turing machine, and any function computable by a random access Turing machine, can be decided, semidecided, and computed, respectively, by a standard Turing machine.

4.5 Nondeterministic Turing Machines

A nondeterministic Turing machine is a quintuple $(K, \Sigma, \Delta, s, H)$, where K, Σ, s , and H are as for standard Turing machines, and Δ is a subset of $((K - H) \times \Sigma) \times (K \times (\Sigma \cup \{\leftarrow, \rightarrow\}))$, rather than a function.

If a nondeterministic Turing machine M semidecides or decides a language, or computes a function, then there is a standard Turing machine M' semideciding or deciding the same language, or computing the same function.

4.6 Grammars

A grammar (or unrestricted grammar, or a rewriting system) is a quadruple $G = (V, \Sigma, R, S)$, where V is an alphabet; $\Sigma \subseteq V$ is the set of terminal symbols, and $V - \Sigma$ is called the set of nonterminal symbols; $S \in V - \Sigma$ is the start symbol; and R, the set of rules, is a finite subset of $(V^*(V - \Sigma)V^*) \times V^*$.

A language is generated by a grammar if and only if it is recursively enumerable. Let G be a grammar, and let $f: \Sigma^* \mapsto \Sigma^*$ be a function. We say that G computes f if, for all $w,v \in \Sigma^*$, the following is true: $SwS \Rightarrow_G^* v$ if and only if v=f(w). The function is called grammatically computable, which is in turn recursive.

4.7 Numerical Functions

Define zero, id, succ, they're primative recursive functions

plus(m, 0) = m, plus(m, n + 1) = succ(plus(m, n)); mult(m, 0) = zero(m), mult(m, n + 1) = plus(m, mult(m, n)); exp, pred, substraction...

Primitive recursive predicate: iszero. Then greater-than, etc...

Then we have function defined by cases: div, rem,

The set of primitive recursive functions is *enumerable*. We can use diagonalization argument to construct a function which is computable but not primitive recursive.

Call a function μ -recursive if it can be obtained from the basic functions by the operations of composition, recursive definition, and minimalization of minimalizable functions, which is in turn recursive.

5 Undecidability

5.1 The Church-Turing Thesis

The Church-Turing thesis: algorithm can be rendered as Turing machine that is guaranteed to halt on all inputs, and all such maachines will be called algorithms.

5.2 Universal Turing Machines

We can define a language whose strings are all legal representations of Turing machines. The universal Turing machine U uses the encodings of other machines as programs to direct its operation. It takes two aguments, a discription of the machine M and a description of an input string w.

5.3 The Halting Problem

If there is a program can determine whether a program on given input halt halt(P, X).

Then consider a diagonal(X) it halts if and only if not halt(X, X). Then diagonal(diagonal) halts if and only if not halt(diagonal, diagonal). Contradiction.

Language

 $H = \{"M""w" : Turing machine M halts on input stringw\}$

is not recursive, but is recursively enumerable (universal Turing machine semidecides it).

If and only if H is recursive, then every recursively enumerable language is recursive. But since the halting problem is undecidable, it's not recursive.

Therefore, the class of recursive languages is a strict subset of the class of recursively enumerable languages.

The class of recursively enumerable language is not closed under complement.

5.4 Undecidable Problems About Turing Machines

There is no algorithm that decides, for an arbitrary given Turing machine M and input string w, whether or not M accepts w.

Problems for which no algorithms exist are called *undecidable* or *unsolvable*, e.g. the halting problem for Turing machines.

5 Undecidability

A reduction from language L_1 to L_2 i a recursive function r such that $x \in L_1$ if and only if $r(x) \in L_2$.

To show a language L_2 is not recursive, we must identify a language L_1 which is known to be not recursive, and then reduce L_1 of L_2 .