

Introduction to Tree Language Theory

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VI. P & NP

TM & k -TM

k -TM ($k \geq 1$) : MTM with
one control-unit
one read-only tape (called **input tape**)
 k read/write tapes (called **working tapes**)

k -NTM : **non-deterministic** k -TM

Cf. TM \triangleq one control-unit  + one read/write tape 

Corollary

TM = k -TM = k -NTM ($k \geq 1$)

Proof

The left equivalence follows from the fact that MTM is simulated by TM and the reverse is trivial. Using a similar proof of the previous fact (see the slides of the previous talk), one can show that k -NTM is simulated by NTM and the reverse also holds. Since NTM is simulated by TM, the right equivalence follows. \square

Running time & working space

Given k -TM $\mathcal{M} = (\Gamma, \Sigma, Q, q_0, Q_{\text{fin}}, \Delta)$

$\text{time}_{\mathcal{M}}(w)$: the number of moves until \mathcal{M} halts on input w
(called **running time** of \mathcal{M} on w)

$\text{space}_{\mathcal{M}}(w)$: the number of cells in working tapes which \mathcal{M}
visited at least once until \mathcal{M} halts on input w
(called **working space** of \mathcal{M} on w)

For the length n of input

$T_{\mathcal{M}}(n)$: $\max\{ \text{time}_{\mathcal{M}}(w) \mid w \in \Sigma^* : |w| = n \}$

$S_{\mathcal{M}}(n)$: $\max\{ \text{space}_{\mathcal{M}}(w) \mid w \in \Sigma^* : |w| = n \}$

Question

How should we define T_L (or S_L) for language L ?

Linear speed-up

Given k -TM \mathcal{M}_1 , there exists $(k+1)$ -TM \mathcal{M}_2 such that

$$- \mathcal{L}(\mathcal{M}_1) = \mathcal{L}(\mathcal{M}_2)$$

$$- T_{\mathcal{M}_2}(n) \leq \frac{1}{2} T_{\mathcal{M}_1}(n) \text{ for sufficiently large } n \in \mathbb{N}$$

$$\text{if } \lim_{n \rightarrow \infty} T_{\mathcal{M}_1}(n)/n = \infty$$

Proof

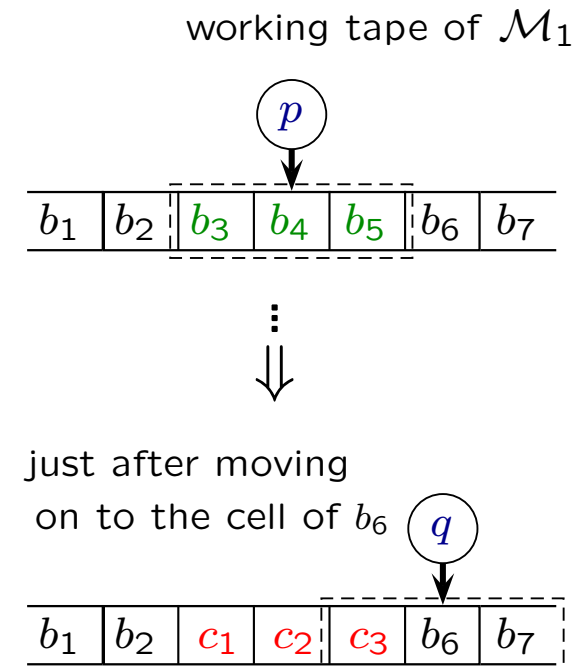
Consider $k = 1$, but the following proof can be generalized to arbitrary $k \geq 1$. Let $\mathcal{M}_1 = (\Gamma, \Sigma, Q, q_0, Q_{\text{fin}}, \Delta)$, then define $\mathcal{M}_2 = (\Gamma', \Sigma, Q', q'_0, Q'_{\text{fin}}, \Delta')$ with $\Gamma' = (\Gamma \times \Gamma \times \Gamma) \cup \Sigma$, $Q' = \{(p, i) \mid p \in Q, 1 \leq i \leq 3\} \cup \{q'_0, q_{\text{acc}}, q_{\text{rej}}\}$ and $Q'_{\text{fin}} = \{q_{\text{acc}}\}$. Here the blank for \mathcal{M}_2 is $(\#, \#, \#)$, and the states $q'_0, q_{\text{acc}}, q_{\text{rej}}$ are fresh symbols. Transition function Δ' is defined according to \mathcal{M}_1 's move on each **3 cells** ("chunk" of cells at $2_{i-1}, 2_i, 2_{i+1}$). That is, initially, for input $a_0 a_1 \cdots a_n$, \mathcal{M}_2 copies it to $(k+1)$ th working tape in compressed manner, e.g. $(\#, a_0, a_1) (a_1, a_2, a_3) \cdots (a_{n-1}, a_n, \#)$ if n is even ; $(\#, a_0, a_1) (a_1, a_2, a_3) \cdots (a_{n-2}, a_{n-1}, a_n)$ if n is odd. For this initialization, including the running time to return the tape-head on $(k+1)$ th working tape to the leftmost position, \mathcal{M}_2 needs $n + \frac{1}{2}n + c$ moves (c constant). Next, using $(k+1)$ th working tape as the input tape of \mathcal{M}_2 , \mathcal{M}_2 simulates \mathcal{M}_1 . (proof cont'd)

Proof (cont'd)

For the move of \mathcal{M}_2 , suppose, for instance, that \mathcal{M}_1 with the state p reads y_i on the input tape, and then \mathcal{M}_1 moves on the working tape as shown in the figure. If \mathcal{M}_1 's tape-head on the input tape stays, say on y_{i+1} , in the same chunk even after the other head moves on to the cell of b_6 , Δ' contains the following map :

$$\langle (p, 2), (\#, \#, \#), (y_{i-1}, y_i, y_{i+1}), (b_3, b_4, b_5) \rangle \mapsto \langle (q, 3), (\#, \#, \#), (y_{i-1}, y_i, y_{i+1}), (c_1, c_2, c_3), S, R, S \rangle$$

On the right-hand side of the above mapping, "S" stands for *stay*. Because \mathcal{M}_2 's head on the input tape is no longer needed, it keeps staying on a blank. The head on $(k+1)$ th-working tape also stays on the same cell, but the the current state must be changed from $(p, 2)$, meaning that \mathcal{M}_1 's tape-head reads y_i , to $(q, 3)$, meaning that the head reads y_{i+1} . During the computation, \mathcal{M}_2 should halt on q_{acc} (resp. q_{rej}) if \mathcal{M}_1 accepts (rejects) the input. Moreover, since \mathcal{M}_1 is deterministic, \mathcal{M}_2 must be deterministic. By construction, the simulation can be done within at most $\frac{1}{2} T_{\mathcal{M}_1}(n) + c'$ (c' constant) moves. Since $\lim_{n \rightarrow \infty} T_{\mathcal{M}_1}(n)/n = \infty$, we have that for large $n \in \mathbb{N}$, $T_{\mathcal{M}_2}(n) \leq \frac{1}{2} T_{\mathcal{M}_1}(n)$. \square



Remarks

1. The size of chunk is *not* necessarily 3. When the size is i (≥ 3), the simulation can be done within $\frac{1}{i-1} T_{\mathcal{M}_1}(n)$
2. \mathcal{M}_2 requires $|\Sigma|^i$ tape symbols and $(|Q| \times i) + 3$ state symbols
3. If $\lim_{n \rightarrow \infty} T_{\mathcal{M}_1}(n)/n^2 = \infty$, one can construct k -TM \mathcal{M}_2 that simulates k -TM \mathcal{M}_1 (without introducing a new working tape)
4. From the proof, one can see that $S_{\mathcal{M}_2}(w)$ is also improved :

Proposition (Tape compression)

Given k -TM \mathcal{M}_1 , there exists $(k+1)$ -TM \mathcal{M}_2 such that

- $\mathcal{L}(\mathcal{M}_1) = \mathcal{L}(\mathcal{M}_2)$
- $S_{\mathcal{M}_2}(n) \leq \frac{1}{2} S_{\mathcal{M}_1}(n)$ for sufficiently large $n \in \mathbb{N}$

Note

If the size of the chunk is i ($i \geq 3$), the simulation can be done within $\frac{1}{i-1} S_{\mathcal{M}_1}(n)$ 6

DTIME & DSPACE

Let T, S be 1-variable polynomials with positive coefficients

DTIME(T) : languages accepted by k -TM \mathcal{M} such that
 $T_{\mathcal{M}}(n) \leq T(n)$ for every (sufficiently large) $n \in \mathbb{N}$

DSPACE(S) : languages accepted by k -TM \mathcal{M} such that
 $S_{\mathcal{M}}(n) \leq S(n)$ for every (sufficiently large) $n \in \mathbb{N}$

Let \mathcal{P} be the set of 1-variable polynomials with positive coefficients

$$P : \bigcup_{T \in \mathcal{P}} \text{DTIME}(T)$$

$$\text{PSPACE} : \bigcup_{S \in \mathcal{P}} \text{DSPACE}(S)$$

Note

$P \subseteq \text{PSPACE}$

(\because Polynomially time-bounded computation requires at most polynomial tape space) ⁷

NTIME & NSPACE

Let T, S be 1-variable polynomials with positive coefficients

NTIME(T) : languages accepted by k -**NTM** \mathcal{M} such that
 $T_{\mathcal{M}}(n) \leq T(n)$ for every (sufficiently large) $n \in \mathbb{N}$

NSPACE(S) : languages accepted by k -**NTM** \mathcal{M} such that
 $S_{\mathcal{M}}(n) \leq S(n)$ for every (sufficiently large) $n \in \mathbb{N}$

Let \mathcal{P} be the set of 1-variable polynomials with positive coefficients

NP : $\bigcup_{T \in \mathcal{P}} \text{NTIME}(T)$

NPSPACE : $\bigcup_{S \in \mathcal{P}} \text{NSPACE}(S)$

Note

$P \subseteq NP \subseteq NPSPACE, PSPACE \subseteq NPSPACE$

Example of P

The membership problem for CFG in Chomsky normal form :

instance is grammar $\mathcal{G} = (\Sigma, Q, q_0, Q_{\text{fin}}, \Delta)$, word w in Σ^*

solution is “yes” if $w \in \mathcal{L}(\mathcal{G})$; “no” otherwise

Proof (for the problem being in P)

Let $w = a_1 a_2 \cdots a_n$ ($n \geq 0$). By assumption of the problem, transition rules in Δ are in the forms of $p \rightarrow qr$, $p \rightarrow a$, $q_0 \rightarrow \varepsilon$ for $p \in Q$, $q, r \in Q - \{q_0\}$, $a \in \Sigma$.

1. If $n = 0$ and $q_0 \rightarrow \varepsilon \in \Delta$, return “yes.”

2. Next, execute the following program :

```
for (i = 1 , i ≤ n , i++)
```

```
  if  $\exists p \rightarrow a_i$  in  $\Delta$ 
```

```
     $T(i, i) := T(i, i) \cup \{p\}$  ;
```

3. Then, execute the program on the right.

4. If $q_0 \in T(1, n)$, return “yes” ; otherwise return “no.”

```
for (l = 2 , l ≤ n , l++)
```

```
  for (i = 1 , i ≤ n - l + 1 , i++)
```

```
    j := i + l - 2 ;
```

```
    for (k = i , k ≤ j , k++)
```

```
      if  $\exists p \rightarrow qr$  in  $\Delta$  &
```

```
         $\exists q \in T(i, k)$  &
```

```
         $\exists r \in T(k+1, j)$ 
```

```
      then  $T(i, j) := T(i, j) \cup \{p\}$  ;
```

The innermost loop is done in $k_1 \times n$ running time, hence this computation is done in at most $k_2 \times n^3$ (k_1, k_2 constants). This implies that the problem is in $\text{DTIME}(n^3)$. \square 9

Example of NP

The bounded halting problem for NTM :

instance is NTM $\mathcal{M} = (\Gamma, \Sigma, Q, q_0, Q_{\text{fin}}, \Delta)$, w in Σ^* , k in \mathbb{N}

solution is “yes” if $w \in \mathcal{L}(\mathcal{M})$ within k moves ; “no” otherwise

Proof

Suppose $\langle \Psi(\mathcal{M}), \Psi(w) \rangle$ is the binary code for non-deterministic UTM \mathcal{M}_{NU} , then the question if $w \in \mathcal{L}(\mathcal{M})$ is the membership problem $\langle \Psi(\mathcal{M}), \Psi(w) \rangle \in \mathcal{L}(\mathcal{M}_{\text{NU}})$. Let n be the size of input for this problem, then the total length of the word that represents \mathcal{M} and w with delimiters is at most $2|\Gamma| + 2|Q| + |\Gamma|^2 \times |Q|^2 + |w| + c_1$. Encoding \mathcal{M} and w by Ψ takes $(c_2 \times |\Gamma|^2 \times |Q|^2) + (c_3 \times |w|)$ running time in proportion to n . The simulation of \mathcal{M} takes $(c_4 \times |\Gamma|^2 \times |Q|^2) + c_5$ for each move. In this simulation, at each step, \mathcal{M}_{NU} tries to find a transition rule which can be applied, and then reflects the result on the tapes. By assumption, the simulation must be stopped within k iterations. Hence, the problem is in $\text{NTIME}(n)$. \square

Consult books (e.g. [1]) or search on the web for more examples of NP-problems.

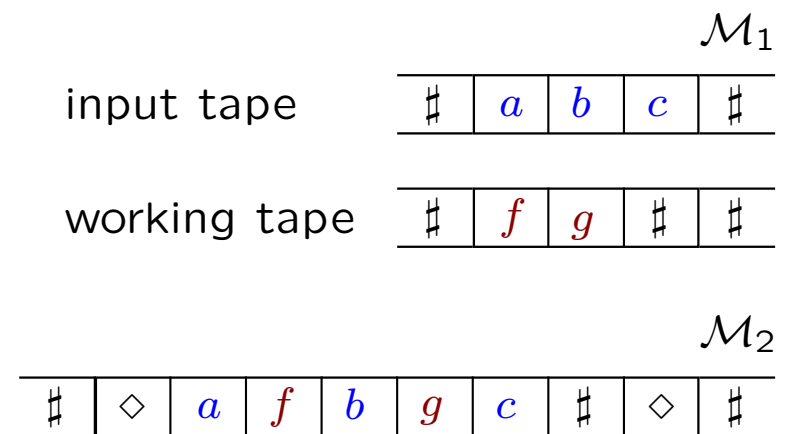
[1] M.R. Garey & D.S. Johnson: *Computers and Intractability – A Guide to the Theory of NP-completeness*, Freeman, 1979.

Polynomial slow-down (simulation of MTM)

2-TM \mathcal{M}_1 can be simulated by TM \mathcal{M}_2 in $c \times T_{\mathcal{M}_1}(n)^2$ (c : constant)

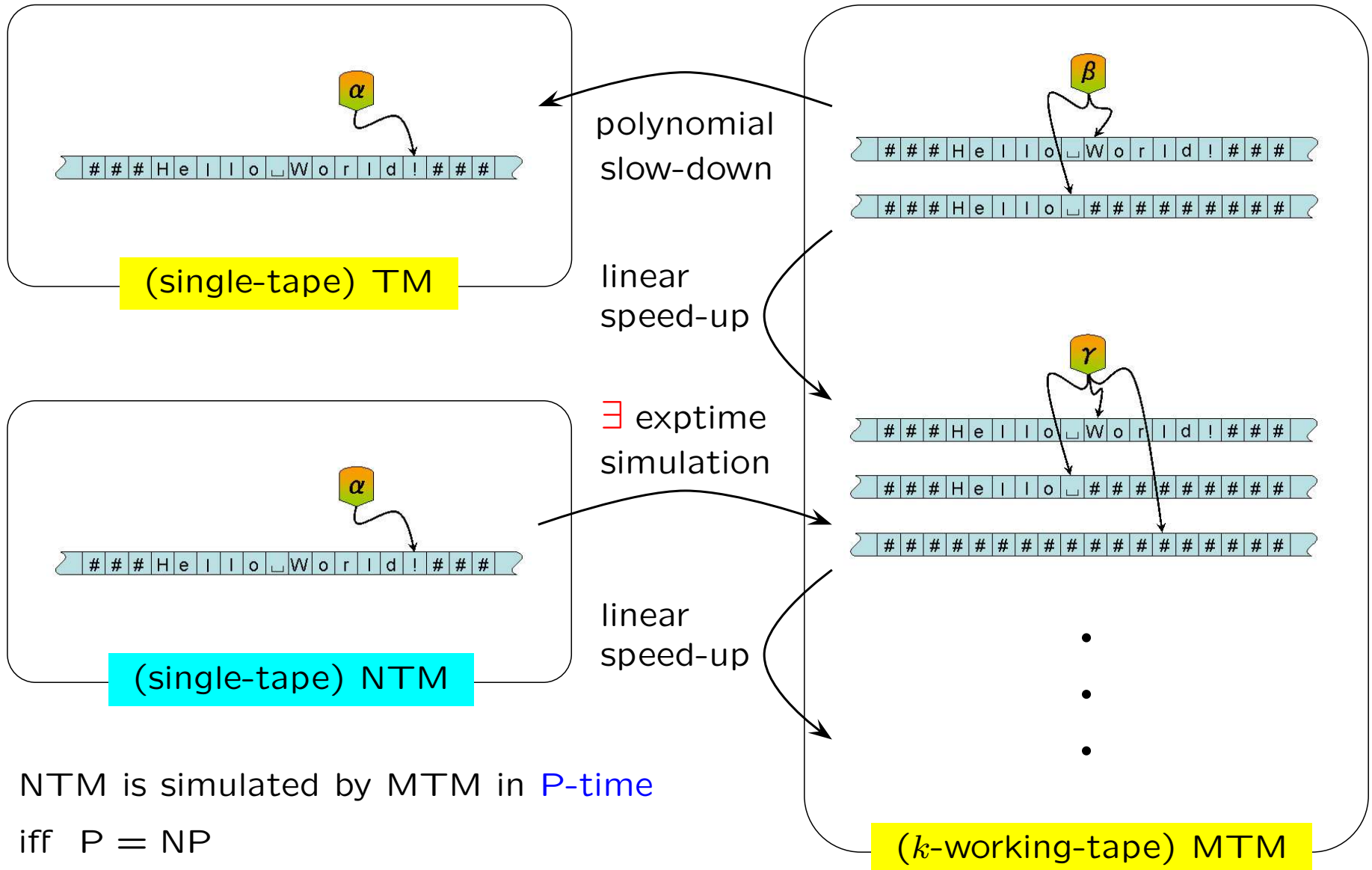
Proof

Let Γ be the set of tape symbols of \mathcal{M}_1 . Similar to the proof of “MTM=TM” in the previous talk on TM, suppose \diamond is a fresh symbol, and then, define (single tape) TM \mathcal{M}_2 whose tape symbols are $\Gamma \cup \{\diamond\} \cup \{\bar{a} \mid a \in \Gamma\}$. In this proof, \mathcal{M}_2 's single tape is divided into 2 tracks as shown in the figure. The symbols in input tape and working tape are alternately placed on the single tape. The left- and right-end of the sequence are marked by \diamond . The locations of \mathcal{M}_1 's tape-heads on the input tape and on the working tape are represented by symbols with overline, e.g. \bar{a} . Let n be the length of the input. For each move, the simulation takes at most $2 \times T_{\mathcal{M}_1}(n) + 9$ moves, where $8 (= 2 \times 4)$ moves for adjusting the head and overwriting overlined-symbols to normal symbols, and 1 move for reading \diamond . Since the number of iterations is $T_{\mathcal{M}_1}(n)$, the simulation takes $2 \times T_{\mathcal{M}_1}(n)^2 + 9 \times T_{\mathcal{M}_1}(n)$ in total. For the initialization, it takes $c_1 \times n^2$ (c_1 constant). \square



Note that the above proof can be generalized to the simulation of k -TM ($k \geq 2$).

Summary of TM & MTM & NTM



Reducibility

Given languages L over Σ , M over Γ ($\Sigma \subseteq \Gamma$)

$L \leq_m M$: L is many-one reducible to M if
 $\exists k$ -TM \mathcal{M} such that for every input $w \in \Sigma^*$,
 $w \in L$ if and only if \mathcal{M} halts on w with $w' \in M$
as output on working tape k
($\exists f$ computable function : $w \in L$ iff $f(w) \in M$)

$L \leq_m^P M$: L is polynomial-time reducible to M if
 $L \leq_m M$ & $T_{\mathcal{M}}(n) \leq T(n)$ for polynomial T
($\exists f$ polynomial function : $w \in L$ iff $f(w) \in M$)

$L \leq_m^{\log} M$: L is log-space reducible to M
 $L \leq_m M$ & $S_{\mathcal{M}}(n) \leq c \times \log n$ (c : constant)

* k th-tape is write-only and is not taken into account as working space

P- and NP-completeness

Given language L over Σ

L is called **NP-hard** if for every language $M \in \text{NP}$, $M \leq_m^P L$

L is called **NP-complete** if L is NP-hard & $L \in \text{NP}$

L is called **P-hard** if for every language $M \in \text{P}$, $M \leq_m^{\log} L$

L is called **P-complete** if L is P-hard & $L \in \text{P}$

Note

$$\leq_m^{\log} \subseteq \leq_m^P$$

$$\therefore \text{DSpace}(T(n)) \subseteq \text{NSpace}(T(n)) \subseteq \bigcup_{c>0} \text{DTIME}(2^{c \times T(n)}) \text{ if } T(n) \geq \log(n)$$

Moreover, the following statements are equivalent :

1. $\text{P} = \text{NP}$ (1 \Rightarrow 3 From previous observation)
2. NP-complete problem is in P (2 \Rightarrow 1 P, NP are closed under \leq_m^P)
3. P-complete problem is NP-complete (3 \Rightarrow 2 Obvious)

P- and NP-complete problems (tricky example)

The bounded halting problem for TM :

instance is TM $\mathcal{M} = (\Gamma, \Sigma, Q, q_0, Q_{\text{fin}}, \Delta)$, w in Σ^* , k in \mathbb{N}

solution is “yes” if $w \in \mathcal{L}(\mathcal{M})$ within k moves ; “no” otherwise

This problem is P-complete

Proof

Similar to the *bounded halting problem for NTM*, it is easy to show that this problem is in P. Next, let L be a language over Σ in P. Then, there exists TM \mathcal{M}_L with polynomial $T(n)$ such that $L = \mathcal{L}(\mathcal{M}_L)$ and for every $w \in L$, \mathcal{M}_L halts on w within $T(|w|)$ running time. Take this TM \mathcal{M}_L , an (arbitrary) word w from Σ^* , and $k = T(|w|)$, then $w \in L$ if and only if \mathcal{M}_L halts on w within k moves. \square

The above example can be modified as an example of NP-complete problems, which means that :

The bounded halting problem for NTM is NP-complete

Other NP-complete problems

Satisfiability problem for Boolean formulas [Cook 1971] :

instance is propositional Boolean formula ϕ

solution is “yes” if there is an assignment that satisfies ϕ ;
“no” otherwise

Hamilton circuit in directed graphs :

instance is directed graph G

solution is “yes” if there is a cycle that passes through every
vertex in G exactly once ; “no” otherwise

Clique in graphs :

instance is directed graph G , k in \mathbb{N}

solution is “yes” if G has a complete sub-graph (each pair of
vertices in the sub-graph is connected by an edge)
of size k ; “no” otherwise

Savitch's theorem

PSPACE = NPSPACE

Proof

It suffices to show \supseteq , because the reverse is trivial. Let L be a language in NPSPACE, then there exists k -NTM $\mathcal{M}_1 = (\Gamma, \Sigma, Q, q_0, Q_{\text{fin}}, \Delta)$ which halts on input w using at most $S(|w|)$ space. Suppose $k = 1$, but this proof can be generalized to any $k \geq 1$. We construct below k' -TM \mathcal{M}_2 that accepts L and that uses at most $S(|w|)^2$ space. Assume for \mathcal{M}_2 that it accepts w when and only when \mathcal{M}_2 clean up the working tape (that contains only blanks) and halts with the final state q_{fin} and the tape-head on the input tape is placed at leftmost position.

Observation : Since \mathcal{M}_1 uses for input w at most $S(|w|)$ space, $w \in L$ if and only if w is accepted within $|\Gamma|^{S(|w|)} \times (|Q| \times S(|w|) \times |w|)$ moves, where $|\Gamma|^{S(|w|)}$ is the number of possible configurations of working tape and $(|Q| \times S(|w|) \times |w|)$ is the possible combinations of state and positions of (two) tape-heads. Hence, $w \in L$ if and only if w is accepted within $2^{c \times S(|w|)}$ moves (c : constant and computable).

This observation brings the idea to define k' -TM \mathcal{M}_2 such that \mathcal{M}_2 accepts input w if w is accepted by \mathcal{M}_1 within $2^{c \times S(|w|)}$ moves ; \mathcal{M}_2 rejects w otherwise. One should notice that \mathcal{M}_2 **does not** necessarily simulate \mathcal{M}_1 move by move, but it has to determine whether w is accepted by \mathcal{M}_1 within $2^{c \times S(|w|)}$ moves. (Proof cont'd)

Proof (cont'd)

Define the procedure $\text{reach}(\alpha, \beta, k)$ on the right : α, β are configurations (words of input and working tapes together with the current state and the locations of tape-heads) of \mathcal{M}_1 , k is a non-negative integer, and C is initially the set of all configurations of \mathcal{M}_1 whose length is less than or equals to $S(|w|) + |w|$. Let α_0 and α_{fin} be the initial and final configurations. Given w , by assumption, they are unique. If $\text{reach}(\alpha_0, \alpha_{\text{fin}}, 2^{c \times S(|w|)}) = \text{"yes,"}$ there exists a sequence $\alpha_0, \alpha_1, \dots, \alpha_n (= \alpha_{\text{fin}})$ such that \mathcal{M}_1 moves from α_i to α_{i+1} , or $\alpha_i = \alpha_{i+1}$, so w is accepted by \mathcal{M}_1 . If $\text{reach}(\alpha_0, \alpha_{\text{fin}}, 2^{c \times S(|w|)}) = \text{"no,"}$ w is not accepted by \mathcal{M}_1 . For $\text{reach}(\alpha_0, \alpha_{\text{fin}}, 2^{c \times S(|w|)})$, there are recursive calls in the program at most $\log_2 2^{c \times S(|w|)} = c \times S(|w|)$ times. Each stack frame requires at most $2 \times S(|w|)$ space. Hence, this program can be realized by k' -TM using $2c \times S(|w|)^2$ space. \square

```
reach(  $\alpha, \beta, k$  )
  if  $k = 0$  &  $\alpha = \beta$ 
    then return "yes" ;

  if  $k = 1$  &  $\mathcal{M}_1$  moves from  $\alpha$  to  $\beta$  in one step
    then return "yes" ;

  if  $k \geq 2$  then
    while  $\exists \gamma \in C$  do
      if  $\text{reach}(\alpha, \gamma, \lfloor k/2 \rfloor) = \text{"yes"}$  &
          $\text{reach}(\gamma, \beta, \lfloor k/2 \rfloor) = \text{"yes"}$ 
        then return "yes" break ;
      else  $C := C - \{\gamma\}$  ;
    od
  return "no"
```

Corollary

$P \subseteq NP \subseteq PSPACE = NPSPACE$

Exercise

1. Show that if languages $A, B \in P$, then $A \cup B, A \cap B, (A)^c, A \cdot B \in P$.
2. Show that if languages $A, B \in NP$, then $A \cup B, A \cap B, A \cdot B \in NP$.
3. Show that for all languages A, B, C over Σ , $A \leq_m^P A$ (reflexivity),
 $A \leq_m^P B \ \& \ B \leq_m^P C \Rightarrow A \leq_m^P C$ (transitivity), $A \leq_m^P B \Rightarrow (A)^c \leq_m^P (B)^c$.
4. Which of the following statements hold? Explain the reason why.
 - (a) $A \leq_m^P B \ \& \ B \in P \Rightarrow A \in P$
 - (b) $A \leq_m^P B \ \& \ B \in NP \Rightarrow A \in NP$
 - (c) $A \leq_m^P B \ \& \ B \in PSPACE \Rightarrow A \in PSPACE$
 - (d) $A \leq_m^P B \Rightarrow A \leq_m^P (B)^c$
5. Select one of the problems on page 16 (or find another example), and then show that this problem is NP-complete.
6. Show that $P = NP$ if and only if a finite language is NP-complete.
7. Show that the following problem is NP-complete : Given a finite set U , subsets $S_1, \dots, S_n (\subseteq U)$ and an integer k , the question if there exist k subsets S_{i_1}, \dots, S_{i_k} such that $S_{i_1} \cup \dots \cup S_{i_k} = U$.

Appendix : What if $P = NP$...

Most of researchers believe $P \neq NP$ today. But if this long-standing open question “ $P = NP$?” is positively solved, what happens? :

It turns out

- $NP = coNP$, $P = PH$ (the union of all complexity classes in the polynomial hierarchy), and thus, polynomial hierarchy is collapsed

Furthermore

- SSL, RSA, PGP are no longer secure infrastructures, so
- E-commerce business is exposed to serious menace of security flaws

On the other hand

- better predictions of weather, earthquakes and other natural phenomena are established
- mathematicians could be replaced by efficient theorem-discovering programs (Gödel 1956).

Additionally

- one who has solved the question first receives the prize of \$1M from CMI [1]

[1] *P vs NP: Millennium Prize Problems*, Clay Mathematics Institute of Cambridge, USA, May 2000. Information available at <http://www.claymath.org/millennium/> 20

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