



The complexity of small universal Turing machines: A survey[☆]

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ABSTRACT

We survey some work concerned with small universal Turing machines, cellular automata, tag systems, and other simple models of computation. For example, it has been an open question for some time as to whether the smallest known universal Turing machines of Minsky, Rogozhin, Baiocchi and Kudlek are efficient (polynomial time) simulators of Turing machines. These are some of the most intuitively simple computational devices and previously the best known simulations were exponentially slow. We discuss recent work that shows that these machines are indeed efficient simulators. As a related result, we also find that Rule 110, a well-known elementary cellular automaton, is also efficiently universal. We also review a large number of old and new universal program size results, including new small universal Turing machines and new weakly, and semi-weakly, universal Turing machines. We then discuss some ideas for future work arising out of these, and other, results.

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1. Introduction

In this survey, we explore results related to the time and size complexity of universal Turing machines, and some related models. We also discuss results for variants on the Turing machine model to give an idea of the many strands of work in the area. Of course the choice of topics is incomplete and reflects the authors' interests, and there are other related surveys that may interest the reader [30,21,27].

In 1956 Shannon [77] considered the question of finding the smallest possible universal Turing machine, where size is the number of states and symbols. In the early Sixties, Minsky and Watanabe had a running competition to see who could find the smallest universal Turing machine [38,41,83,84]. Early attempts [15,84] gave small universal Turing machines that efficiently (in polynomial time) simulated Turing machines. In 1962, Minsky [41] found a small 7-state, 4-symbol universal machine. Minsky's machine worked by simulating 2-tag systems, which were shown to be universal by Cocke and Minsky [6,42]. Rogozhin [71] extended Minsky's technique of 2-tag simulation and found small machines with a number of state-symbol pairs. Subsequently, some of Rogozhin's machines were reduced in size or improved by Robinson [69], Rogozhin [74], Kudlek and Rogozhin [19], and Baiocchi [4]. All of the smallest known 2-tag simulators are plotted as circles in Fig. 1. Also, Table 1 lists a number of these machines.

Unfortunately, Cocke and Minsky's 2-tag simulation of Turing machines was exponentially slow. The exponential slowdown was essentially caused by the use of a unary encoding of Turing machine tape contents. Therefore, for many

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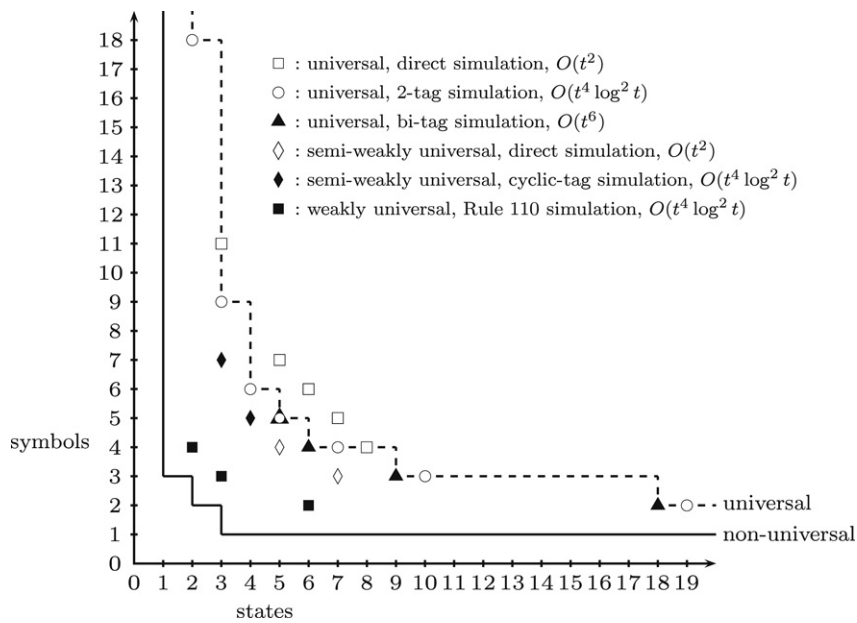


Fig. 1. State-symbol plot of small universal Turing machines. The type of simulation is given for each group of machines. Also we give the simulation overheads in terms of simulating a single tape deterministic Turing machine that runs in time t .

years it was entirely plausible that there was an exponential trade-off between program size complexity on the one hand, and time/space complexity on the other: the smallest universal Turing machines seemed to be exponentially slow.

Fig. 1 shows a non-universal curve. This curve is a lower bound that gives the state-symbol pairs for which it is known that the halting problem is decidable [49]. The 1-symbol case is trivial and Shannon [77] claimed that 1-state Turing machines are non-universal. However, both Fischer [9] and Nozaki [55] noted that Shannon's definition of universal Turing machine is too strict and so his proof is not sufficiently general. Later, the 1-state case was shown by Hermann [12]. Pavlotskaya [59] and, via another method, Kudlek [18] have shown that there are no universal 2-state, 2-symbol machines, where one transition rule is reserved for halting. Pavlotskaya [61] has also shown that there are no universal 3-state, 2-symbol machines, and also claimed [59], without publishing a proof, that there are no universal machines for the 2-state, 3-symbol case. Again, both of these cases assume that a transition rule is reserved for halting.

2. Time and size efficiency of universal machines

As mentioned above, some of the very earliest small Turing machines were polynomial time simulators. Subsequently, attention turned to the smaller, but exponentially slower, 2-tag simulators given by Minsky, Rogozhin and others.

Recently [52] we have given small machines that are efficient polynomial time simulators. More precisely, if M is a deterministic single-tape Turing machine that runs in time t , then there are machines, with state-symbol pairs given by the squares in Fig. 1, that directly simulate M in polynomial time $O(t^2)$. These machines define a $O(t^2)$ curve. They are currently the smallest known universal Turing machines that simulate Turing machines in $O(t^2)$ time.

Given these efficient $O(t^2)$ simulators, it still remained the case that the smallest machines were exponentially slow. However, we have recently shown [88] that 2-tag systems are, in fact, efficient simulators of Turing machines. More precisely, if M is a deterministic single-tape Turing machine that runs in time t , then there is a 2-tag system that simulates M and runs in polynomial time $O(t^4 \log^2 t)$. The small machines of Minsky, Rogozhin, and others have a quadratic time overhead when simulating 2-tag systems, hence by the result in [88] they simulate Turing machines in time $O(t^8 \log^4 t)$. It turns out that the time overhead can be improved [49] to $O(t^4 \log^2 t)$, giving the $O(t^4 \log^2 t)$ machines shown in Fig. 1 as hollow circles. Thus, there is currently little evidence for the claim of an exponential trade-off between program size complexity, and time/space complexity.

From the point of view of program size, Neary and Woods [49,48,53] have recently given four Turing machines that are presently the smallest known (standard) machines with 2, 3, 4 and 5 symbols. The 5-symbol machine improves on the 5-symbol machine of Rogozhin [74] by one transition rule. The remainder of these machines improve on the 2- and 4-symbol machines of Baiocchi [4], and the 3-symbol machine of Rogozhin [74], by one state each. These small machines simulate Turing machines in polynomial time $O(t^6)$ and are illustrated as triangles in Fig. 1. They were proven universal via simulation of our universal variant of tag systems called *bi-tag systems* [50]. Bi-tag systems are essentially 1-tag systems (and so they read and delete one symbol per timestep) augmented with additional context sensitive rules that read, and delete, two symbols per timestep. Bi-tag systems are a restriction of Post's normal systems [63]. On the one hand bi-tag systems are universal, while on the other hand they are sufficiently 'simple' to be simulated by such small machines.

Table 1

Small standard universal Turing machines, ordered by date and then by state-symbol product.

States	Symbols	State-symbol product	Author
m	2	$2m$	Shannon [77]
2	n	$2n$	Shannon [77]
12	6	72	Takahashi [79] (mentioned in [84])
10	6	60	Ikeno [15] (also appears in [38])
8	6	48	Watanabe [83] (mentioned in [41])
7	6	42	Minsky [38]
8	5	40	Watanabe [84]
9	4	36	Tritter (mentioned in [41])
25	2	50	Minsky [42]
6	6	36	Minsky [41]
7	4	28	Minsky [41]
24	2	48	Rogozhin [70,71,74]
2	21	42	Rogozhin [70,71]
11	3	33	Rogozhin [70,71]
3	10	30	Rogozhin [70,71]
7	4	28	Rogozhin [70,71,74]
5	5	25	Rogozhin [70,71,74]
4	6	24	Rogozhin [70,71,74]
2	18	36	Rogozhin [74]
10	3	30	Rogozhin [72,74]
3	10	30	Rogozhin [73,74] ^a
22	2	44	Rogozhin [75]
19	2	38	Baiocchi [4]
7	4	28	Baiocchi [4] ^a
3	9	27	Kudlek and Rogozhin [19]
18	2	36	Neary and Woods [53]
9	3	27	Neary and Woods [53]
5	5	25	Neary and Woods [53] ^a
6	4	24	Neary and Woods [53]

^a The machine with the smallest number of instructions (there are multiple machines with this state-symbol pair).

Exponentially improving the time efficiency of 2-tag systems has implications for a number of models of computation, besides small universal Turing machines. Following our result, the simulation efficiency of many biologically inspired models of computation, including neural networks, H systems and P systems, has been improved from exponential to polynomial. For example, Siegelmann and Margenstern [78] give a neural network that uses only nine high-order neurons to simulate 2-tag systems. Taking each synchronous update of the nine neurons as a single parallel timestep, their neural network simulates 2-tag systems in linear time. They note that “tag systems suffer a significant slow-down ... and thus our result proves only Turing universality and should not be interpreted complexity-wise as a Turing equivalent”. Now we know that their neural network is in fact efficiently universal. Rogozhin and Verlan [76] give a tissue P system with eight rules that simulates 2-tag systems in linear time, and thus we have improved its simulation time overhead from exponential to polynomial. This system uses splicing rules (from H systems) with membranes (from P systems) and is non-deterministic. Harju and Margenstern [11] gave an extended H-system with 280 rules that generates recursively enumerable sets using Rogozhin’s 7-state, 4-symbol universal Turing machine. Using our result from 2-tag systems, the time efficiency of their construction is improved from exponential to polynomial, with a possible small constant increase in the number of rules. The efficiency of Hooper’s [14] small 2-tape universal Turing machine is also improved from exponential to polynomial. The technique of simulation via 2-tag systems is at the core of many of the universality proofs in Margenstern’s survey [30]. Our work exponentially improves the time overheads in these simulations, such as Lindgren and Nordahl’s cellular automata [20], Margenstern’s non-erasing Turing machines [23,25], and Robinson’s tiling [68].

3. Non-standard universal Turing machines: Time efficiency and program size

So far we have been discussing results for universal Turing machines that have one tape, one tape head, and are deterministic (we often refer to this setup as the *standard* model). Of course one can consider results for other variants of the model. There are many generalised models, for example allowing multiple tapes, multiple dimensions, or even coupling the Turing machine with a finite automaton. Restricted models include non-erasing and reversible Turing machines, and machines with restricted instructions. In this section, we explore program size and time complexity results for a number of generalised and restricted models. Table 2 contains program size results for a number of such non-standard machines.

3.1. Weak universality and Rule 110

An interesting generalisation occurs when we stick to the standard conventions, but we allow the blank portion of the tape to contain a word, that is constant (independent of the input), and is repeated infinitely often in one direction, say to the left of the input. We say that such Turing machines are *semi-weakly universal*. Some of the earliest small universal Turing machines were semi-weak [84,85]. Sometimes another word is also repeated infinitely often to the right. Universal machines that use this setup are called *weakly universal* [32].

It is not difficult to see how this generalisation can help to reduce program size. For example, it is typical of small universal Turing machine simulations that the program being simulated is stored on the tape. When reading an instruction we often mark certain symbols. At a later time we then restore marked symbols to their original values. If the simulated program is repeated infinitely often, say to the left of the input, things may be much easier as we can simply skip the 'restore' phase of our algorithm and access a new copy of the program when simulating the next instruction, thus reducing the universal program's size.

This was the strategy used by Watanabe [84,85] to find the semi-weak, direct Turing machine simulators shown as hollow diamonds in Fig. 1. Recently [90] we have given two new semi-weakly universal machines and these are shown as solid diamonds in Fig. 1. These machines simulate cyclic tag systems [7,87]. It is interesting to note that our machines are symmetric with those of Watanabe, despite the fact that we use a different simulation technique. Our 4-state, 5-symbol machine has only 17 transition rules, making it the smallest known semi-weakly universal machine (Watanabe's 5-state, 4-symbol machine has 18 transition rules). The time overhead for these machines is polynomial. More precisely, if M is a single-tape deterministic Turing machine that runs in time t , then M is simulated by either of our semi-weak machines in time $O(t^4 \log^2 t)$. Watanabe's semi-weak machines also ran in polynomial time, with a very efficient overhead of $O(t^2)$.

Cook, Eppstein, and Wolfram [7,87] gave weakly universal Turing machines that were significantly smaller than the existing semi-weak machines. These were improved upon by Neary and Woods [54] to give the smallest known weakly universal machines. In (states, symbols) notation their sizes are (2, 4), (3, 3) and (6, 2), and they are illustrated in Fig. 1. These machines work by simulating Rule 110, a very simple kind of cellular automaton. Rule 110 is an elementary cellular automaton, which means that it is a one-dimensional, nearest neighbour, binary cellular automaton [86]. More precisely, it is composed of a sequence of cells $\dots p_{-1}p_0p_1\dots$ where each cell has a binary state $p_i \in \{0, 1\}$. At timestep $t + 1$ the value of cell $p_{i,t+1} = F(p_{i-1,t}, p_{i,t}, p_{i+1,t})$ is given by the synchronous local update function F

$$\begin{array}{ll} F(0, 0, 0) = 0 & F(1, 0, 0) = 0 \\ F(0, 0, 1) = 1 & F(1, 0, 1) = 1 \\ F(0, 1, 0) = 1 & F(1, 1, 0) = 1 \\ F(0, 1, 1) = 1 & F(1, 1, 1) = 0. \end{array}$$

Rule 110 was shown to be universal via an impressive and detailed simulation of cyclic tag systems, the result is stated and described in [87] and the full proof is given in [7]. In the proof, the Rule 110 instance has a special (constant) word repeated infinitely to the left of the input, and another to the right. Rule 110 has a very simple update rule which facilitates the writing of very small weak Turing machines to simulate it.

As noted, Rule 110 was shown to be universal by simulating cyclic tag systems, which in turn simulate 2-tag systems. The chain of simulations included the exponentially slow 2-tag algorithm of Cocke and Minsky, thus Rule 110, and the weakly universal machines that simulate it, were exponentially slow. In a recent paper [51], we have improved their simulation time overhead to polynomial by showing that cyclic tag systems are efficient simulators of Turing machines. This result has interesting implications for Rule 110. For example, given an initial configuration of Rule 110, and a value t in unary, predicting t timesteps of a Rule 110 computation is P-complete. Therefore, unless $P = NC$, which is widely believed to be false, we cannot hope to quickly (in polylogarithmic time) predict the evolution of this simple cellular automaton even if we have a polynomial amount of parallel hardware. Rule 110 is the simplest (one-dimensional, nearest neighbour) cellular automaton that has been shown to have a P-complete prediction problem. In particular, Ollinger's [56] intrinsic universality result already shows that prediction for one-dimensional nearest neighbour cellular automata is P-complete for 6 states (later improved to 4 states by Richard [67]), and our result improves this to 2 states. The question of whether Rule 110 prediction is P-complete has been asked, directly or indirectly, in a number of previous works (for example [2,43,44]).

It is currently unknown whether all of the lower bounds in Fig. 1 hold for weak machines. For example, the non-universality results of Pavlotskaya were proven for the case where one transition rule is reserved for halting, however the smallest weak machines do not halt.

3.2. Other non-standard universal Turing machines

Weakness has not been the only generalisation on the standard model in the search for ever smaller universal machines. We give some notable examples here, many others are to be found in Table 2.

Before Shannon's famous paper, Moore [45] observed that 2-symbol machines were universal as any Turing machine could be converted into a 2-symbol machine by the (now) usual encoding. In the same paper Moore used this observation to give a universal 3-tape machine with 15 states and 2 symbols. Moore's machine uses only 57 instructions, each instruction

Table 2
Small non-standard universal Turing machines.

States	Symbols	Dimensions	Tape	Author
15	2	1	3	Moore [45] ^a
6	5	1	1	Watanabe [84] ^a
1	2	1	4	Hooper [13,14] ^a
2	3	1	2	Hooper [13,14]
7	3	1	1	Watanabe (mentioned in [85,55]) ^a
5	4	1	1	Watanabe [85] ^a
8	4	2	1	Wagner [80]
2	7	2	1	Ottmann [57] ^b
10	2	2	1	Ottmann [58,17] ^b
6	3	2	1	Ottmann [58,17] ^b
4	4	2	1	Ottmann [58,17] ^b
2	6	2	1	Kleine-Büning and Ottmann [17] ^b
2	5	2	1	Kleine-Büning and Ottmann [17] ^b
2	3	2	1	Kleine-Büning and Ottmann [17] ^b
1	7	3	1	Kleine-Büning and Ottmann [17] ^b
4	5	2	1	Kleine-Büning and Ottmann [17]
3	6	2	1	Kleine-Büning and Ottmann [17]
10	2	2	1	Kleine-Büning [16]
2	5	2	1	Kleine-Büning [16]
2	4	2	1	Priese [66]
2	2	2	2	Priese [66]
2	5	1	1	Margenstern and Pavlotskaya [34] ^c
4	7	1	1	Pavlotskaya [62] ^c
2	3	1	1	Margenstern and Pavlotskaya [35] ^c
7	2	1	1	Eppstein (published by Cook [7]) ^b
4	3	1	1	Cook [7] and Wolfram [87] ^b
3	4	1	1	Cook [7] and Wolfram [87] ^b
2	5	1	1	Cook [7] and Wolfram [87] ^b
6	2	1	1	Neary and Woods [54] ^b
3	3	1	1	Neary and Woods [54] ^b
2	4	1	1	Neary and Woods [54] ^b
3	7	1	1	Woods and Neary [90] ^a
4	5	1	1	Woods and Neary [90] ^a

^a Semi-weak machines.

^b Weak machines.

^c Machines coupled with a finite automaton.

being a sextuple that either moves one of its tape heads or prints a single symbol to one of its tapes. One of the tapes in Moore's 3-tape machine is circular and contains the simulated program, therefore his machine also operates correctly if the circular tape is replaced with a semi-weak tape. Moore's result has been largely ignored in the literature despite being the first published small universal Turing machine. Interestingly, Moore's paper cites unpublished work by Shannon on the universality of non-erasing machines.

Hooper [13,14] gave universal machines with 2 states, 3 symbols and 2 tapes, and with 1 state, 2 symbols and 4 tapes. One of the tapes in Hooper's 4-tape machine is circular and contains the simulated program, and so could be replaced by a semi-weak tape. Priese [66] gave a 2-state, 4-symbol machine with a 2-dimensional tape, and a 2-state, 2-symbol machine with a pair of 2-dimensional tapes. Margenstern and Pavlotskaya [34,35] gave a 2-state, 3-symbol Turing machine that uses only 5 instructions and is universal when coupled with a finite automaton. They also showed that the halting problem is decidable for such machines with 4 instructions [35].

3.3. Restricted universal Turing machines

If we suitably restrict the standard Turing machine model the problem of finding universal machines with small state-symbol products becomes more difficult. Over the years, a number of authors have looked at non-erasing Turing machines, that is machines that are permitted to overwrite blank symbols only. Moore [45] mentions that Shannon had proved that such non-erasing Turing machines simulate arbitrary Turing machines, however Shannon's work was never published. Shortly after, Shannon published a proof that 2-symbol Turing machines are universal, and Wang [81] proved that 2-symbol

non-erasing Turing machines are universal. Later, Minsky proved the same result as Wang, but using the technique of simulation via non-writing Turing machines, yet another (universal) restriction [40].

Margenstern has examined the universality of 2-symbol Turing machines for a number of different restrictions. One such restriction is the number of colours of a machine, defined as the number of distinct triples (α, D, δ) , where α is the read symbol, D is the move direction, and δ is the write symbol of a transition rule. Pavlotskaya [59,60] has shown that there are standard universal Turing machines with 3 colours and no standard universal Turing machines with 2 colours. Margenstern [23] has shown that there are non-erasing universal Turing machines with 5 colours and no non-erasing universal Turing machines with 4 colours. Laterality number is another property examined by Margenstern. The laterality number of a Turing machine is defined as the minimum of the number of left move instructions and the number of right move instructions. Margenstern and Pavlotskaya [59,33] have shown that there are universal Turing machines with laterality number 2 and no universal machines with laterality number 1. Margenstern [25,28] has shown that there are universal non-erasing Turing machines with laterality number 3 and no universal non-erasing machines with laterality number 2. For more on these results see [22–26,31].

Fischer [9] gives a number of universality results for Turing machines that use restricted forms of transition rules. In one result he proves that 3-state Post machines are universal (Post machines [64] are like Turing machines, but they can not write and move in the same timestep). Interestingly, Aanderaa and Fischer [1] show that the halting problem for 2-state Post machines is decidable.

Bennett [5] has shown that 3-tape reversible Turing machines are universal. Morita and others have since shown universality results for reversible Turing machines with 1 tape and 2 symbols [46], and 17 states and 5 symbols [47].

4. Further work

There are many avenues for further work in this area, here we highlight a few examples.

Applying computational complexity theory to the area of small universal Turing machines allows us to ask a number of questions that are more subtle than the usual questions about program size. As we move towards the origin in Fig. 1, the universal machines have larger (but polynomial) time overheads. Can the time overheads in Fig. 1 be further improved (lowered)? Can we prove lower bounds on the simulation time of machines with a given state-symbol pair? Proving non-trivial simulation time lower bounds seems like a difficult problem. Such results could be used to prove that there is a polynomial trade-off between simulation time and universal program size.

As we move away from the origin, the non-universal machines seem to have more power. For example Kudlek's classification of 2-state, 2-symbol machines shows that the sets accepted by these machines are regular, with the exception of one context free language ($a^n b^n$). Can we hope to fully characterise the sets accepted by non-universal machines (e.g. in terms of complexity or automata theoretic classes) with given state-symbol pairs or other program restrictions?

When discussing the complexity of small machines, the issue of encodings becomes very important. For example, when proving that the prediction problem for a small machine is P-complete [10], the relevant encodings should be in logspace, and this is the case for all of the polynomial time machines in Fig. 1.

Of course, there are many models of computation that we have not mentioned where researchers have focused on finding small universal programs. Post's [63] tag systems are an interesting example. Minsky [39,40] showed that tag systems are universal with deletion number 6. Cocke and Minsky lowered the deletion number to 2, by showing that 2-tag systems were universal. They used productions (appendants) of length at most 4. Wang [82] further lowered the production length to 3. Recently, De Mol [8] has given a lower bound by showing that the reachability (and thus halting) problems are decidable for 2-tag systems with 2 symbols; a problem which Post claimed [65] to have solved but never published. It would be interesting to find the smallest universal tag systems in terms of number of symbols, deletion length, and production length.

The space between the non-universal curve and the smallest non-weakly universal machines in Fig. 1 contains some complicated beasts. These lend weight to the feeling that finding new lower bounds on universal program size is tricky. Most noteworthy are the weakly and semi-weakly universal machines discussed above. Table 2 highlights that the existence of general models that provably have less states and symbols than the standard universal machines can have (for example the machines with (states, symbols, dimensions, tapes) of (2, 2, 2, 2) [66], (1, 7, 3, 1) [17], and (1, 2, 1, 4) [14]). Also of importance are the small machines of Margenstern [29,30], Baiocchi [3], and Michel [36,37] that live in this region and simulate iterations of the $3x + 1$ problem and other Collatz-like functions. So it seems that there are plenty of animals yet to be tamed.

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