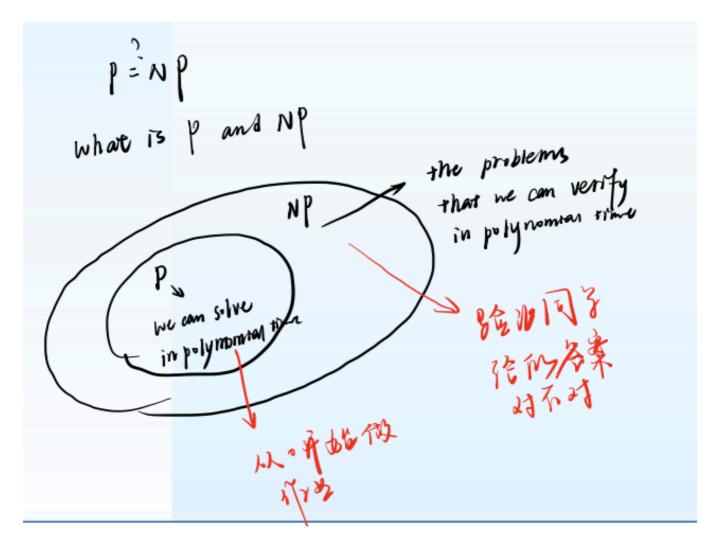
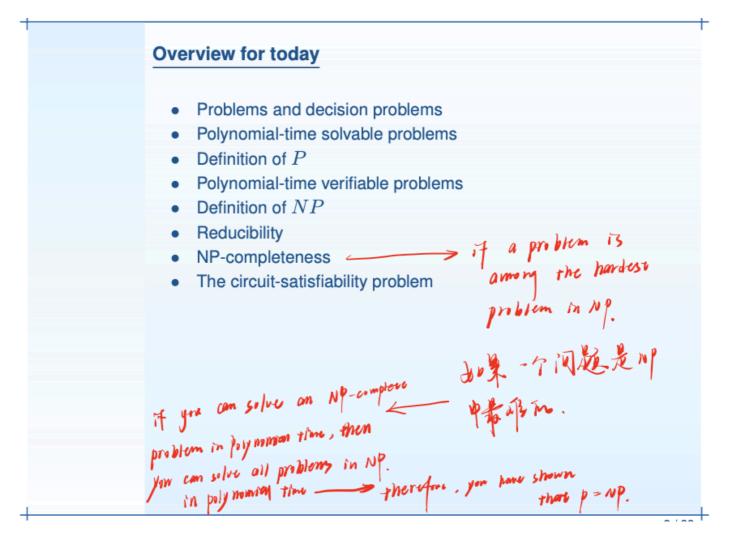
NPC

• Overview for today

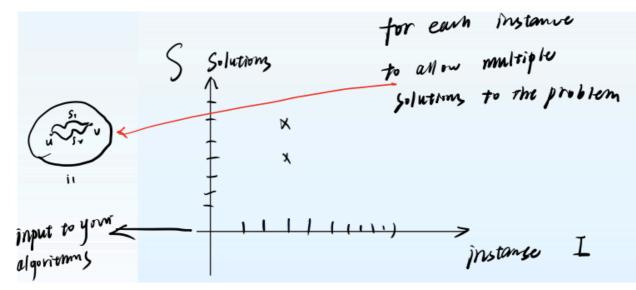


Reducibility => *Show that one problem is essentially at least as hard as another problem.*



- Definition of a problem
- 1. Consider a set I of *instances* and a set S of *solutions*.
- 2. An abstract problem is a binary relation between I and S, i.e., a subset of $I \times S$.

For SHORTEST - PATH, an instance is a triple $\langle G, s, t \rangle$.



A solution is a sequence of vertices forming a shortest s to t path.

• Decision problems

Problems with 1/0 (yes/no) answers. Hence, $S = \{0, 1\}$.

the algorithm should suppor either of 1 yes/m, instract of saying it is a shortest part

Example of a decision problem: *PATH*.

 $PATH(\langle G, u, v, k \rangle) = 1$ if there is a u - to - v path in G with at most k edges. Otherwise, $PATH(\langle G, u, v, k \rangle) = 0.$

We can regard a decision problem as a mapping from instances to $S = \{0, 1\}$.

Instances with solution 1 are called *yes*-instances. Instances with solution 0 are called *no*-instances.

Optimization problems (like SHORTEST-PATH) can usually be turned into decision problems (like PATH).

如我了了个算法(POTH),我们可以 从1=11-1开始,如来51,90 村後run PATH かかちりりょう 12人能放到 distance

• Polynomial-time solvable problems => Class of P

能在多项式时间内解决的。

- 1. We assume that *instances* of a problem are *encoded as binary strings*.
- 2. An algorithm *solves* a problem in time O(T(n)) if for any instance of length *n*, the algorithm returns a solution (0 or 1) in time O(T(n)).

3. If $T(n) = O(n^k)$ for some constant k, the problem is *polynomial-time solvable*.

Suppose we define ${\cal P}$ as the class of polynomial-time solvable problems.

What is missing in this definition? Which encoding of the input is assumed? We noven a specifica now we encode the input ? 福克曼,因为我们的这个时间和决定 input size minput sive Arg & AM tor Ma

In the lecture, we pick binary encoding, giving input size $n = \lfloor \lg k \rfloor + 1$.

In particular, numbers are represented in *binary*, not unary.

We use the notation $\langle x \rangle$ to refer to a chosen encoding of instance x of a problem. => Already converted to a binary string.

Encodings are always *binary* strings in our setting.

• Languages

Alphabet: finite set \sum of symbols.

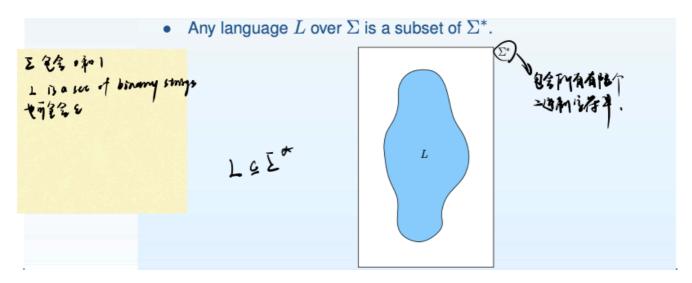
Language L over \sum : a set of strings of symbols from \sum .

Example: $\sum = \{a, b, c\}$ and $L = \{a, ba, cab, bbac, \dots\}$.

We also allow an empty string and denote it by $\epsilon. => \epsilon \in L$

The empty language is denoted \emptyset (It does not contain ϵ).

 \sum^* denotes the language of all strings (including ϵ).



• Languages and decision problems

Recall that we encode instances of a decision problem as binary strings.

Also recall that we may view a decision problem as a mapping Q(x) from instances x to $\sum = \{0, 1\}$.

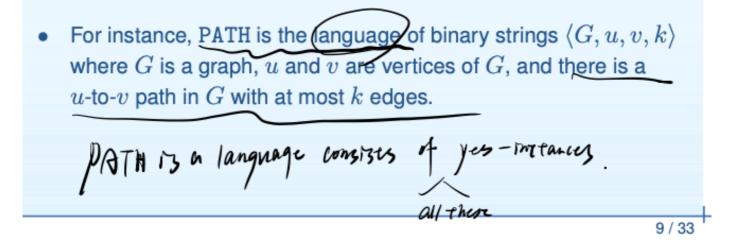
Q can be specified by the binary strings that encode yes-instances of the problem. => If you just specify which strings are yes-instances, then you have also specified Q.

• Thus, we can view Q as a language L:

$$L = \{x \in \Sigma^* | Q(x) = 1\}.$$
The language L consists of all strings X
That Q maps to 1

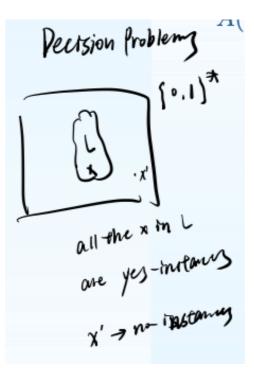
$$\frac{1}{16} \ge 1 = 0 \quad (X) \rightarrow 1 \quad \text{in predict of the A}.$$
Thus L Z2 MA yes - Instances

My Understanding: Q can encode x and maps it into 1. L contains all the yes-instances.



• Language accepted/decided by an algorithm

Let *A* be an algorithm for a decision problem and denote by $A(x) \in \{0, 1\}$ its output (if any) on input *x*.



A accepts a string x if A(x) = 1, A rejects a string x if A(x) = 0.

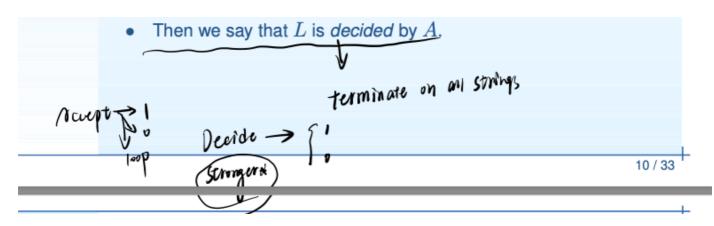
There may be strings that A neither accepts nor rejects. $\Rightarrow A$ loop forever.

The language accepted by A is,

$$L = \{x \in \{0,1\}^* | A(x) = 1\}$$

Suppose in addition that all strings not in L are rejected by A, i.e., A(x) = 0 for all $x \in \{0,1\}^* \setminus L$.

Then we say that L is decided by A.



Deciding a language is stronger than accepting it.

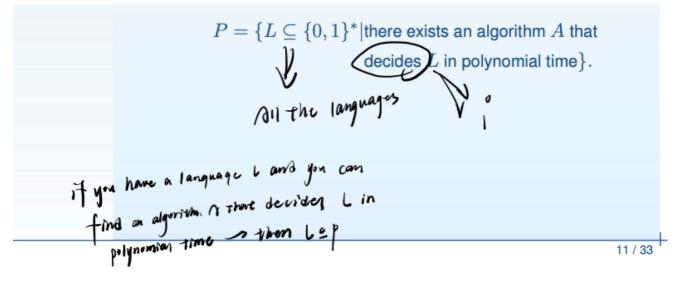
Accepting/deciding in polynomial time

- Language L is accepted by an algorithm A in polynomial time if A accepts L and runs in polynomial time on strings from L.
- L is decided by A in polynomial time if A decides L and runs in polynomial time on all strings
 I require that it terminates in poly time.

require

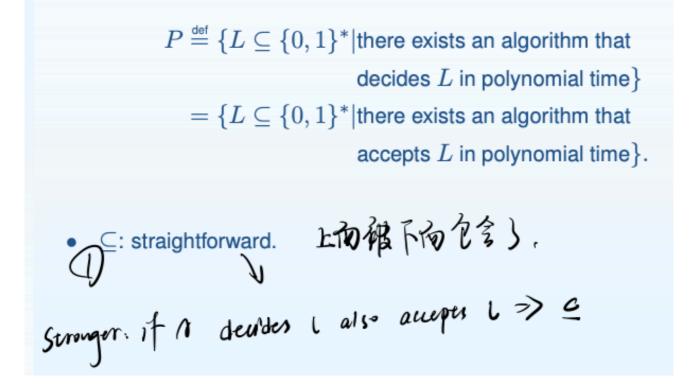
Example: PATH can both be accepted and decided in polynomial time.

Define the complexity class P:



• *P* in terms of acceptance

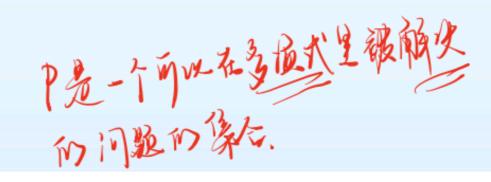
Lemma



But for the other direction, we need to show that if L is accepted by a polynomial-time algorithm A, it is decided by a polynomial-time algorithm A'.

P in terms of acceptance

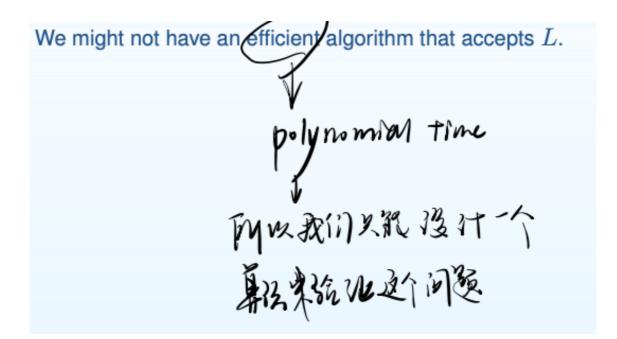
- Need to show: if L is accepted by a polynomial-time algorithm A, it is decided by a polynomial-time algorithm A'.
- Since A accepts L, it runs in at most cn^k steps before halting on any n-length string from L, where c and k are constants.
- Now let s be any string in Σ^* .
- A' simulates A with input s for at most $c|s|^k$ steps.
- If the simulation has not halted after this many steps, A' halts and outputs 0.
- Otherwise, A' outputs whatever A outputs.
- A' decides L and runs in polynomial time.



• Verfication

Let L be a language.

We might not have an efficient algorithm that accepts L.



Consider an algorithm A taking two parameters, $x, c \in \sum^*$. => If you need to solve an assignment, it might be simpler to verify the solution of your fellow students and having to solve the assignment from scratch. You can think of c is a candidate solution that you are given with the problem instance.

Instead of trying to *find* a solution to x (which may take long time), A instead *verifies* that c is a solution to x.

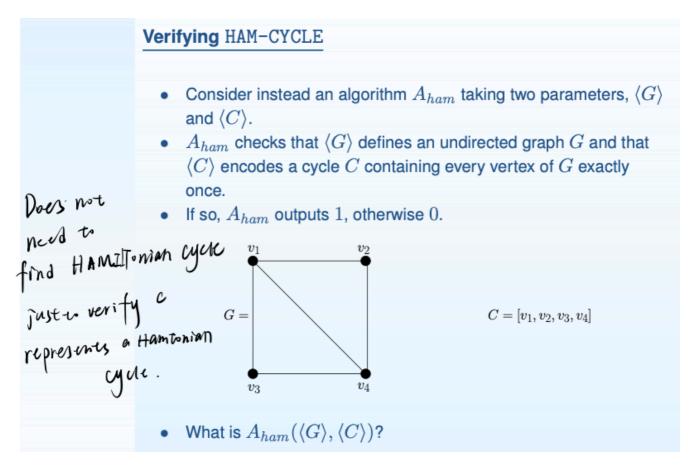
• HAM-CYCLE problem

An undirected graph G is hamiltonian if it contains a simple cycle containing every vertex of G. => A cycle visits every vertex exactly once in a graph. Cannot visit the same vertex more than once.

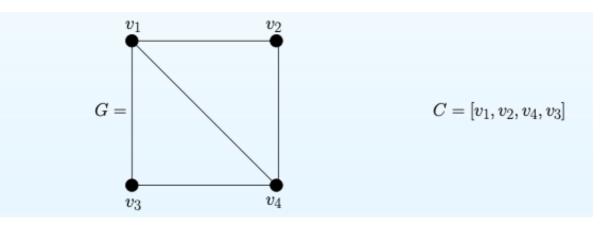
We define:

$$HAM - CYCLE = \{ < G > | G \text{ is Hamiltonian} \}.$$

It is very hard can be decided in polynomial time, however, it is easy to show that HAM - CYCLE can be verified in polynomial time.



 $A_{ham}(< G >, < C >) = 0.$



 $A_{ham}(< G >, < C >) = 1.$

Designing A_{ham} to run in polynomial time is easy. Hence, we can verify HAM - CYCLE in polynomial time.

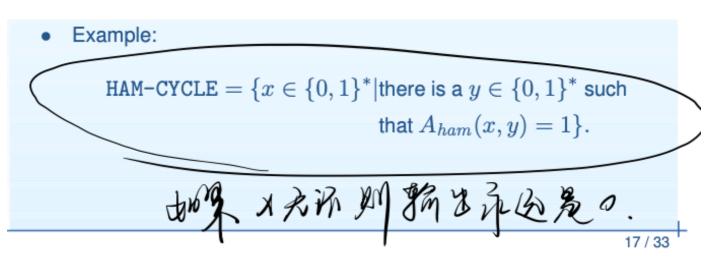
• Verifying a language

A verification algorithm is an algorithm A taking two arguments, $x, y \in \{0, 1\}^*$, where y is the certificate. $x \rightarrow instances, y \rightarrow certificate$.

A verifies a string x if there is a certificate y such that A(x, y) = 1.

The language *verified* by A is,

$$L = \{x \in \{0,1\}^* | there \ is \ a \ y \in \{0,1\}^* \ such \ that \ A(x,y) = 1\}$$



• The complexity class NP

NP is the class of languages that can be *verified* in polynomial time.

More precisely, $L \in NP$ if and only if there is a polynomial-time *verification* algorithm A and a constant c such that

$$L = \{x \in \{0,1\}^* | \text{there is a } y \in \{0,1\}^* \text{ with} \\ |y| = O(|x|^c) \text{ such that } A(x,y) = 1\}.$$

- We have seen that HAM-CYCLE \in NP.
- If $L \in P$ then $L \in NP$. Why? \rightarrow Why p is contained in NP?

之时以这、四是因为通常头有八甲才根我的了项代解释 18 / 33

「如第有-介鼻法み次返し(弓頂代内) 肺ム院に这个必然在了通代内 難にハ去真不用 certificateや能 无气吸入肉,

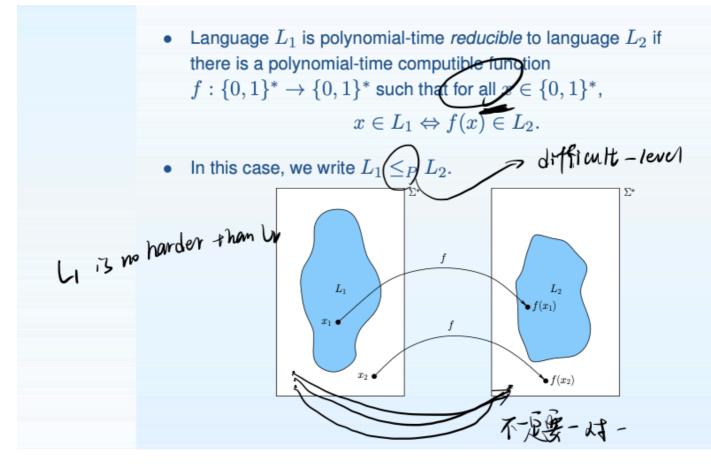
• NP-complete problems

There are problems in NP that are "*the most difficult*" in that class.

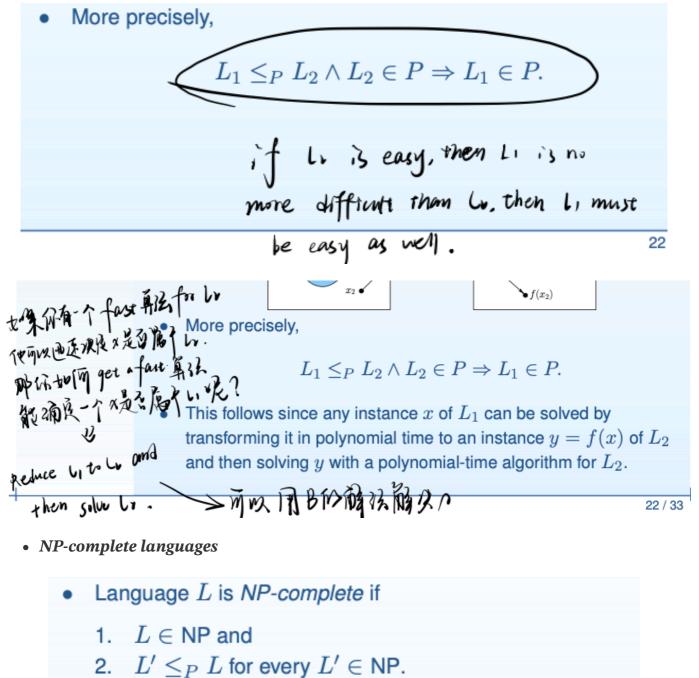
If any one of them can be *solved* in polynomial time then *every problem in NP can be solved in polynomial time*.

These difficult problems are called *NP-complete*.

- HAM-CYCLE is NP-complete.
- Hence, if we could show HAM-CYCLE \in P then P = NP.
- Polynomial-time Reducibility

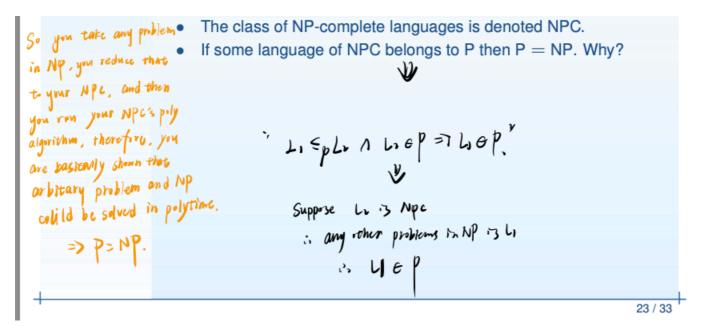


If $L_1 \leq_P L_2$ then L_1 is in a sense no harder to solve than L_2 .



主力地 柳间题中所有问题·祥和

L is *NP-hard* if property 2 holds (and possibly not property 1).



- Circuit satisfiability
- A boolean combinational circuit consists of a collection of logic gates connected together with wires.
- The logic gates allowed are AND, OR, and NOT.
- Each wire has a value which is either 0 or 1.
- Some wires are specified by input values and the rest by the logic gates.
- Other wires specify output values.
- We can represent a circuit as an acyclic graph.

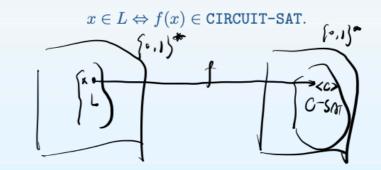
- Given a boolean combinational circuit C with one output wire.
- A satisfying assignment for C is an assignment of values to input wires of C causing an output of 1.
- The circuit satisfiability problem CIRCUIT-SAT is to decide if a given circuit has a satisfying assignment:

CIRCUIT-SAT = $\{\langle C \rangle | C \text{ is a satisfiable boolean}$

combinational circuit }.

- We will show that CIRCUIT-SAT is NP-complete.
- 1. Showing $CIRCUIT SAT \in NP$
 - We construct algorithm A with inputs x and y.
 - A checks that x represents a boolean combinational circuit C with one output wire and that y represents an assignment of truth values to the wires of C.
 - If so, A checks that y represents a valid truth assignment.
 - If so, A checks that the single output is 1.
 - If this is the case, A returns 1; otherwise it returns 0.
 - *A* is a verification algorithm for CIRCUIT-SAT and can easily be made to run in polynomial time.
 - Thus, CIRCUIT-SAT \in NP.
- 2. Showing that CIRCUIT SAT is NP-hard

- Consider any language $L \in NP$.
- We need to give a polynomial-time reduction from *L* to CIRCUIT-SAT.
- In other words, we need to find a polynomial-time algorithm A computing a function $f: \{0,1\}^* \to \{0,1\}^*$ such that



Showing that CIRCUIT-SAT is NP-hard

• Since $L \in NP$, there is a polynomial-time algorithm A such that

$$L=\{x\in\{0,1\}^*| ext{there is a }y\in\{0,1\}^* ext{ with } |y|=O(|x|^c) ext{ such that }A(x,y)=1\}$$

Given string x, f outputs a circuit C(x) with $O(|x|^c)$ input wires.

We ensure that C(x) has a satisfying assignment of its input wires if and only if A(x, y) = 1 for some y with $|y| = O(|x|^c)$.

This way,

A(N,Y)=

 $\neg x \in L \Leftrightarrow f(x) = \langle C(x) \rangle \in CIRCUIT-SAT.$

- Each y with $|y| = O(|x|^c)$ defines an input to C(x).
- Intuition: Circuit C(x) implements algorithm A on input (x, y) with x fixed.

• We ensure that A(x, y) = 1 if and only if y is a satisfying assignment.

- There is a constant k such that the worst-case running time T(n) of A on an input (x, y) is $O(n^k)$ where n = |x|.
- The machine executing A has a certain *configuration* at each time step.
- The configuration gives a complete specification of the current memory, CPU state, and so on.
- When executing A on (x, y), the machine goes through a series of configurations $c_0, c_1, \ldots, c_{T(n)}$ (assume for simplicity that A runs for exactly T(n) steps on (x, y)).
- Configuration c_0 specifies inputs x and y and the program code for A.
- One bit of the last configuration $c_{T(n)}$ specifies the 0/1-output of A.

- Let *M* be the circuit implementing the hardware of the machine.
- We feed the initial configuration c_0 as input wires to M.
- *M* performs a single step of *A* and the new configuration *c*₁ is stored on output wires.
- These output wires feed into *M* which makes another step, forming *c*₂ as output, and so on.
- In total, we glue T(n) copies of M together.
- This gives a BIG circuit representing the entire execution of A on input (x, y).
- The size of the circuit is still polynomial in *n*, however.
 - We modify the circuit by hard-wiring part of the input to that specified by binary string x and so that the only output wire is that corresponding to the output of A.
 - The circuit now only takes inputs y.
- The resulting circuit C(x) has a satisfying assignment y if and only if A(x, y) = 1.
- C(x) can be computed from x in time polynomial in |x|.
- This shows that $L \leq_P \text{CIRCUIT-SAT}$.
- Thus, CIRCUIT-SAT is NP-hard.
- Since also CIRCUIT-SAT ∈ NP, it follows that CIRCUIT-SAT is NP-complete.

 $CIRCUIT-SAT <_P SAT <_P 3-CNF-SAT$ \leq_P SUBSET-SUM, $3-CNF-SAT \leq_P CLIQUE \leq_P VERTEX-COVER$ \leq_P HAM-CYCLE \leq_P TSP **Overview for today** NP-completeness and reductions 浙小河风 可有空间起后印刷 证明/190 Approximation来解决 商无题精彩值, Mt NP-completeness of: • SAT • 3-CNF-SAT • CLIQUE 如是我们的个门起意心. • VERTEX-COVER 那么像不可能我到一个 多度代时间内运行的 算化,那么你就会我我 到的工具却不是我 着偷的鼻化. \circ (HAM-CYCLE) 一个场上 • TSP • SUBSET-SUM

• Decision problems and languages

- A *decision problem* Q consists of yes-instances and no-instances.
- Example, Q = HAM-CYCLE: $\langle G \rangle$ is a yes-instance if G contains a simple cycle containing all vertices of G; otherwise $\langle G \rangle$ is a no-instance.
- We can view a problem Q as a mapping of yes-instances to 1 and no-instances to 0.
- We can also view Q as a language L:

$$L = \{x \in \{0, 1\}^* | Q(x) = 1\}.$$

- A verification algorithm is an algorithm A taking two arguments, $x, y \in \{0, 1\}^*$, where y is the *certificate*.
- A verifies a string x if there is a certificate y such that A(x, y) = 1.

• The language verified by
$$A$$
 is

$$L=\{x\in\{0,1\}^*| ext{there is a } y\in\{0,1\}^* ext{ such}$$
 that $A(x,y)=1\}.$

The complexity class NP

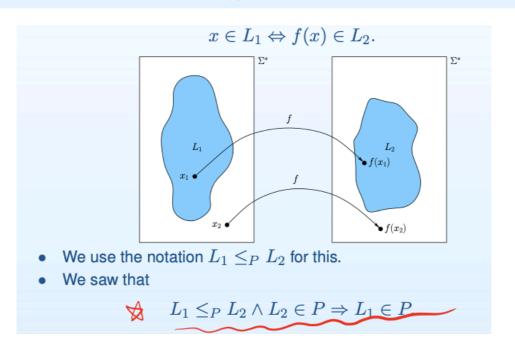
- NP is the class of languages that can be verified in polynomial time.
- In other words, $L \in NP$ if and only if there is a polynomial-time verification algorithm A and a constant c such that

$$\begin{split} L &= \{x \in \{0,1\}^* | \text{there is a } y \in \{0,1\}^* \text{ with} \\ &|y| = O(|x|^c) \text{ such that } A(x,y) = 1\}. \end{split}$$

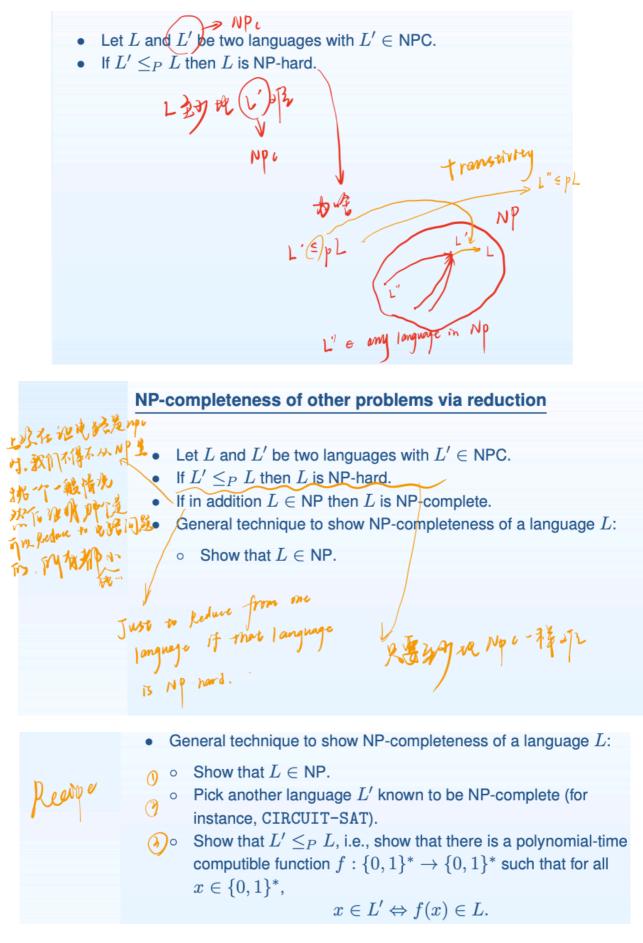
- We saw that $P \subseteq NP$.
- Big open problem: is P = NP?

Reducibility

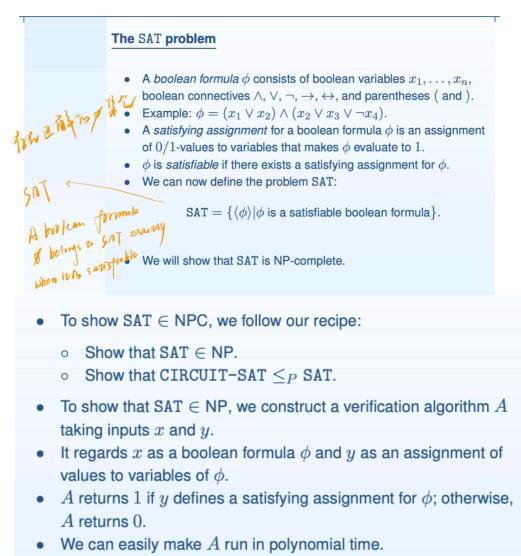
Language L_1 is polynomial-time *reducible* to language L_2 if • there is a polynomial-time computible function $f: \{0,1\}^* \to \{0,1\}^*$ such that for all $x \in \{0,1\}^*$, There should $x \in L_1 \Leftrightarrow \underline{f(x)} \in L_2.$ be an algorithm that implements reductions f this function and it should run in time かえ 如果 为在山里, 那么广(3)款而 しいき、如果「いの不在し」」、別 X不在 山皇



- Language L is NP-complete if
 - 1. $L \in NP$ and
 - 2. $L' \leq_P L$ for every $L' \in \mathsf{NP}$.
- *L* is *NP-hard* if *L* satisfies property 2 (and possibly not property 1).
- We saw that if any language of NPC belongs to P then P = NP.
- We also showed that CIRCUIT-SAT is NP-complete.
- NP-completeness of other problems via reduction



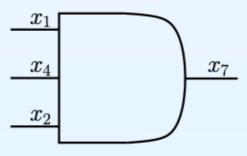
• SAT problem



• Thus, $SAT \in NP$.

Showing CIRCUIT-SAT \leq_P SAT

- Given a circuit C, we transform it into a boolean function ϕ as follows.
- Associate a variable x_i with each wire of C; let x_m be the output wire variable. xi -> i^th wire
- We can view each gate of *C* as a function mapping the values on its input wires to the value on its output wire.
- Construct a sub-formula for each such function.
- Example:



Sub-formula for gate: $x_7 \leftrightarrow (x_1 \wedge x_2 \wedge x_4)$

- If ϕ_1, \ldots, ϕ_k are the sub-formulas, we define ϕ to be $x_m \wedge \phi_1 \wedge \phi_2 \wedge \ldots \wedge \phi_k$.
- Example:

$$egin{aligned} \phi &= x_{10} \wedge (x_4 \leftrightarrow
eg x_3) \wedge (x_5 \leftrightarrow (x_1 ee x_2)) \ & \wedge (x_6 \leftrightarrow
eg x_4) \wedge (x_7 \leftrightarrow (x_1 \wedge x_2 \wedge x_4)) \ & \wedge (x_8 \leftrightarrow (x_5 ee x_6)) \wedge (x_9 \leftrightarrow (x_6 ee x_7)) \ & \wedge (x_{10} \leftrightarrow (x_7 \wedge x_8 \wedge x_9)). \end{aligned}$$

- ϕ can be constructed in polynomial time.
- In words, ϕ is stating that the output wire is 1 and that each gate behaves as it is supposed to.
- Thus, C is satisfiable if and only if ϕ is satisfiable:

$$\langle C \rangle \in \texttt{CIRCUIT-SAT} \Leftrightarrow \langle \phi \rangle \in \texttt{SAT}.$$

The formula we constructed is equivalent to

with

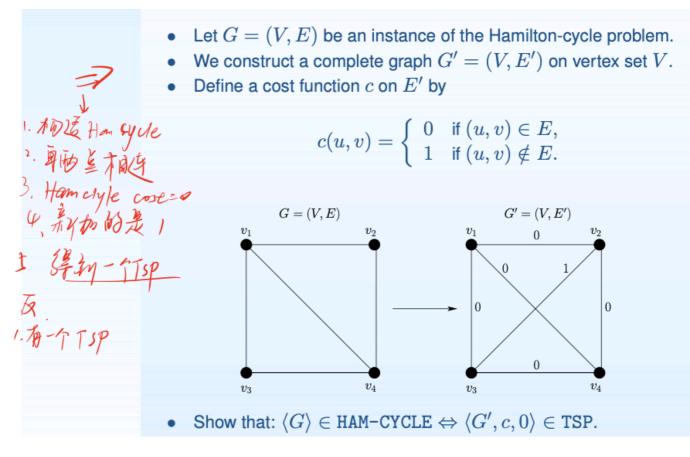
- . We have now shown that SAT is NP-complete. the druit we started
- 3 CNF SAT
- $SAT \leq_p 3 CNF SAT.$
 - SUBSET SUM
- $3 CNF SAT \leq_P SUBSET SUM.$
 - CLIQUE

 $3 - CNF - SAT \leq_P CLIQUE$. => 构造 vertex triple 图。正过来是选1,连起来发现是个 CLIQUE。反过来是找一个 CLIQUE 然后令其分别为1,未知的点随便选,发现 $\phi = 1$ 。

• VERTEX - COVER

 $CLIQUE \leq_P VERTEX - COVER. =>$ 找补集。

• $HAM - CYCLE \leq_P TSP$



完全图。

All the proof refers to the *Slides - NPC2*.