# **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  $I \times S$ .



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<br>output either 91<br>yes/m, instuadof saying it is

**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,  $PATH(*G*, u, v, k>) = 0.$ 

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

$$
\langle \hat{\tau}, u, v, k \rangle \rightarrow \{0, 1\}
$$

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).*

\n
$$
\text{Optimization} \rightarrow \text{Deci's on problem}
$$
\n

\n\n $\frac{\sum_{i=1}^{n} \sum_{j=1}^{n} \binom{n}{j} \binom{n}{j}}{\sum_{i=1}^{n} \binom{n}{j} \binom{n}{j}} \binom{n}{j} \binom{n}{j}} \left(\frac{n}{j}\right)^{n} \binom{n}{j} \binom{n}{j$ 

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*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  $P$  as the class of polynomial-time solvable problems.

What is missing in this definition? Which encoding of the input is assumed? We haven to spect that how we encode the input?<br>记录第, 国力我们的运行情问和决定的时间 向小队和以下次开放了切印花个

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



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.  $\Rightarrow$  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  $\epsilon$ ).

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



*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*  $\Sigma = \{0, 1\}.$ 

*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  $Q$ .

\n- Thus, we can view Q as a language L:
\n- $$
L = \{x \in \Sigma^* | Q(x) = 1\}.
$$
\nThe language L consist of all strings X

\nthat Q maps to I

\n
	\n- $\overrightarrow{AB} : L^2 \cup \mathcal{H} \cup \mathcal{H}$
	\n- $\overrightarrow{AB} : L^2 \cup \mathcal{H} \cup \mathcal{H}$
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*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  $\overline{L}$ .
- L is decided by A in polynomial time if A decides  $L$  and runs in polynomial time on all strings V Veguine that it terminates in poly time.

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  $\Delta t$ .

## $P$  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  $\Sigma^*$ .
- $A'$  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  $G$ .  $\Rightarrow$  A cycle visits every vertex exactly once in a graph. Cannot visit the same vertex more than once.

We define:

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

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.*  $x \rightarrow instances, y \rightarrow certificance.$ 

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

The language *verified* by  $\vec{A}$  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

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

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

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*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  $L_2$ .



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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  $\bullet$ gates connected together with wires.
- The logic gates allowed are AND, OR, and NOT.  $\bullet$
- Each wire has a value which is either 0 or 1.  $\bullet$
- 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  $\bullet$ given circuit has a satisfying assignment:

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

combinational circuit}.

- We will show that CIRCUIT-SAT is NP-complete.
- 1. Showing  $CIRCUIT-SAT \in NP$ 
	- We construct algorithm  $\overline{A}$  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.  $\bullet$
	- 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  $\bullet$ made to run in polynomial time.
	- Thus, CIRCUIT-SAT  $\in$  NP.
- 2. Showing that  $CIRCUIT SAT$  is NP-hard
- Consider any language  $L \in \text{NP}$ .
- 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  $L \in \text{NP}$ , there is a polynomial-time algorithm A such that

$$
L = \{x \in \{0, 1\}^* | \text{there is a } y \in \{0, 1\}^* \text{ with}
$$

$$
|y| = O(|x|^c) \text{ such that } A(x, y) = 1\}
$$

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,

 $\Lambda$ (x,y)=

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

- Each y with  $|y| = O(|x|^c)$  defines an input to  $C(x)$ .
- Intuition: Circuit  $C(x)$  implements algorithm A on input  $(x, y)$  $\bullet$ 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 А.
- 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  $L \leq_P CIRCUIT-SAT$ .
- Thus. CIRCUIT-SAT is NP-hard.
- Since also CIRCUIT-SAT  $\in$  NP, it follows that CIRCUIT-SAT is NP-complete.



• 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 
$$
\sqrt{\log A}
$$
 is

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

#### The complexity class NP

- NP is the class of languages that can be verified in polynomial time.
- In other words,  $L \in \text{NP}$  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 saw that  $P \subseteq NP$ .
- Big open problem: is  $P = NP$ ?

#### **Reducibility**





- Language  $L$  is NP-complete if
	- 1.  $L \in \mathsf{NP}$  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*



- We can easily make  $A$  run in polynomial time.
- Thus,  $SAT \in NP$ .

### **Showing CIRCUIT-SAT**  $\leq_P$  **SAT**

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



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

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

$$
\phi = x_{10} \land (x_4 \leftrightarrow \neg x_3) \land (x_5 \leftrightarrow (x_1 \lor x_2))
$$
  
 
$$
\land (x_6 \leftrightarrow \neg x_4) \land (x_7 \leftrightarrow (x_1 \land x_2 \land x_4))
$$
  
 
$$
\land (x_8 \leftrightarrow (x_5 \lor x_6)) \land (x_9 \leftrightarrow (x_6 \lor x_7))
$$
  
 
$$
\land (x_{10} \leftrightarrow (x_7 \land x_8 \land x_9)).
$$

- $\phi$  can be constructed in polynomial time.
- In words,  $\phi$  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  $\phi$  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
- $\bullet$  3  $CNF-SAT$
- $SAT \leq_p 3-CNF-SAT.$ 
	- $\bullet$  SUBSET SUM
- $3-CNF-SAT <_P$  SUBSET SUM.
	- $\bullet$  CLIQUE

3-CNF-SAT <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  $\phi = 1$ 。

 $\bullet$  VERTEX - COVER

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

•  $HAM-CYCLE <_P TSP$ 



完全图。

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