

# CSE 548: Algorithms

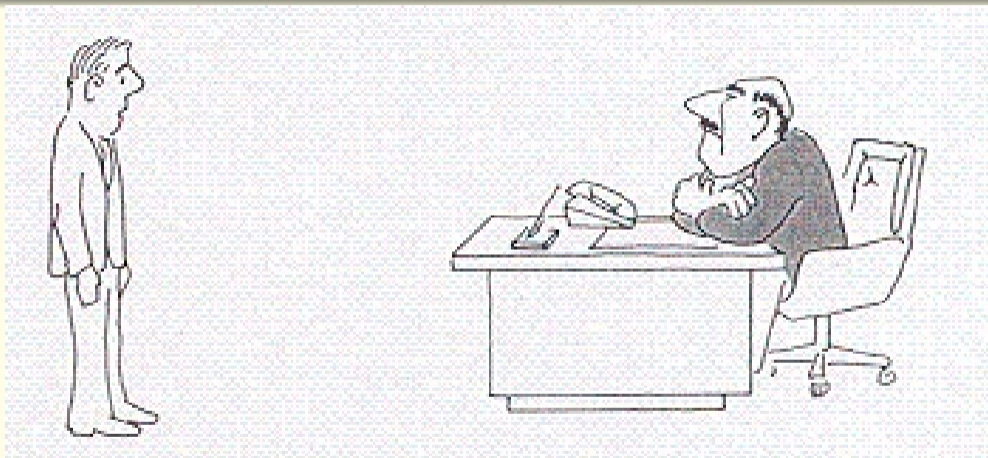
## NP and Complexity Classes

R. Sekar

# Search and Optimization Problems

- Many problems of our interest are search problems with exponentially (or even infinitely) many solutions
  - Shortest of the paths between two vertices
  - Spanning tree with minimal cost
  - Combination of variable values that minimize an objective
- We should be surprised we find efficient (i.e., polynomial-time) solutions to these problems
  - It seems like these should be the exceptions rather than the norm!
- What do we do when we hit upon other search problems?

# Hard Problems: Where you find yourself ...



I can't find an efficient algorithm, I guess I'm just too dumb.

# Search and Optimization Problems

- What do we do when we hit upon hard search problems?
  - Can we prove they can't be solved efficiently?

# Hard Problems: Where you would like to be ...



I can't find an efficient algorithm, because no such algorithm is possible.

# Search and Optimization Problems

- Unfortunately, it is very hard to prove that efficient algorithms are impossible
- Second best alternative:
  - Show that the problem is as hard as many other problems that have been worked on by a host of brilliant scientists over a very long time
- Much of complexity theory is concerned with categorizing hard problems into such *equivalence classes*

*P*, *NP*, *Co-NP*, *NP*-hard and *NP*-complete

# Nondeterminism and Search Problems

- Nondeterminism is an oft-used abstraction in language theory
  - Non-deterministic FSA
  - Non-deterministic PDA
- So, why not non-deterministic Turing machines?
  - Acceptance criteria is analogous to NFA and NPDA
    - if there is a sequence of transitions to an accepting state, an NDTM will take that path.
- What does nondeterminism, a theoretical construct, mean in practice?
  - You can think of it as a boundless potential to search for and identify the correct path that leads to a solution
  - So, it does not change the class of problems that can be solved, just the time/space needed to solve.



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**Example:** Boolean formula satisfiability (*SAT*)

- Given a boolean formula in CNF, find an assignment of {true, false} to variables that makes it true.
  - Why not DNF?

# What are the bounds of *NP*?

- **Only Decision problems:**
  - Problems with an “yes” or “no” answer
  - Optimization problems are generally not in *NP*
    - But we can often find optimal solutions using “binary search”

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  - So, complement of *NP* problems are often not *NP*.
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  - *UNSAT* — show that a CNF formula is false for all truth assignments<sup>1</sup>
- **Key point:** You cannot negate nondeterministic automata.
  - So, we are unable to convert an NDTM for *SAT* to solve *UNSAT* in *NP*-time.

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# What are the bounds of *NP*?

- *Existentially quantified vs Universally quantified formulas*
  - *NP* is good for  $\exists \bar{x} P(\bar{x})$ : guess a value for  $\bar{x}$  and check if  $P(\bar{x})$  holds.
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- Negation of existential formula yields a universal formula.
  - No surprise that complement of *NP* problems are typically not in *NP*.
  - *UNSAT*:  $\forall \bar{x} \neg P(\bar{x})$  where  $P$  is in CNF
  - *VALID*:  $\forall \bar{x} P(\bar{x})$ , where  $P$  is in DNF

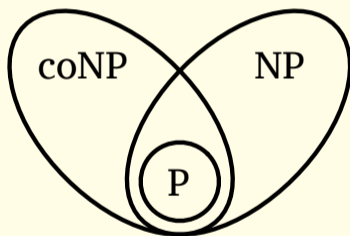


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  - *VALID*:  $\forall \bar{x} P(\bar{x})$ , where  $P$  is in DNF
- *NP seems to be a good way to separate hard problems from even harder ones!*

## Co-NP: Problems whose complement is in NP

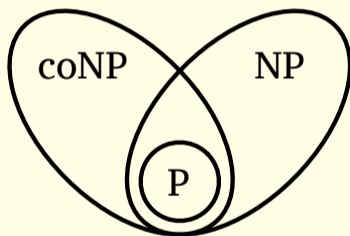
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What we *think* the world looks like.

- Biggest open problem: Is  $P = NP$ ?
  - Will also imply  $co-NP = P$

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  - Primality testing [2002]
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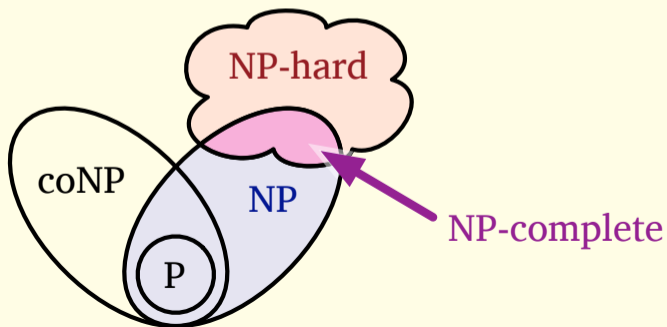
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  - Integer factorization?



# NP-hard and NP-complete

- A problem  $\Pi$  is *NP-hard* if the availability of a polynomial solution to  $\Pi$  will allow *NP*-problems to be solved in polynomial time.
  - $\Pi$  is *NP-hard*  $\Leftrightarrow$  if  $\Pi$  can be solved in *P*-time,  $P = NP$
- *NP-complete* = *NP-hard*  $\cap$  *NP*



# Polynomial-time Reducibility

- Show that a problem  $A$  could be transformed into problem  $B$  in polynomial time
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- **Implication:** if  $B$  can be solved in  $P$ -time, we can solve  $A$  in  $P$ -time
- **An *NP*-complete problem** is one to which any problem in *NP* can be reduced to.
- **Never forget the direction:** To prove a problem  $\Pi$  is *NP*-complete, need to show how all other *NP* problems can be solved using  $\Pi$ , not vice-versa!

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- So, who will bell the cat?
  - Stephen Cook [1970] and Leonid Levin [1973] managed to do this!
  - Cook was denied reappointment/tenure in 1970 at Berkeley, but won the Turing award in 1982!

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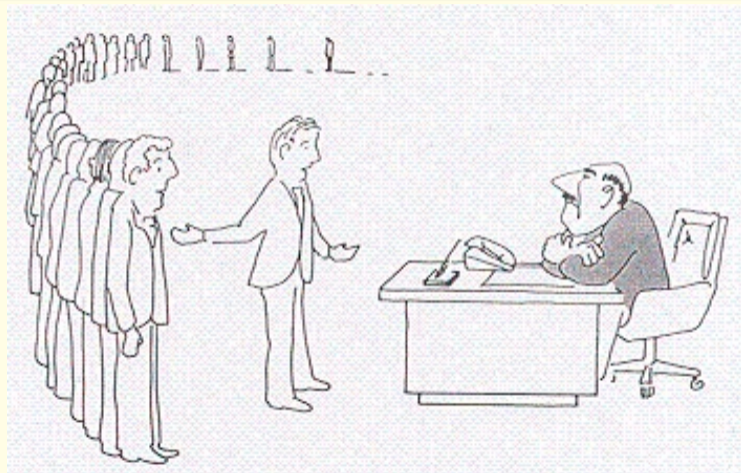
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- Model each transition as a boolean formula



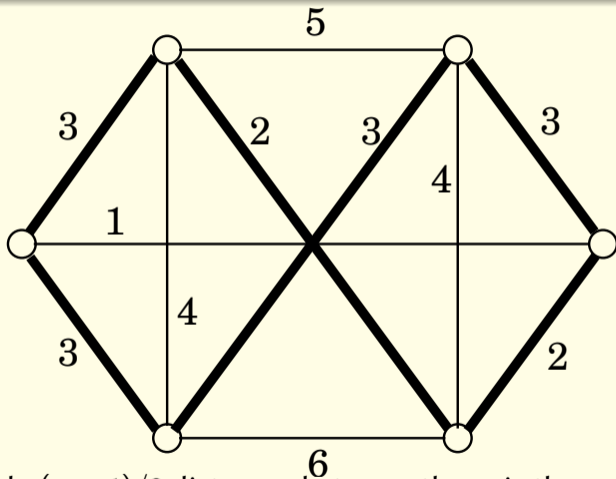
# Thanks to Cook-Levin, you can say ...



I can't find an efficient algorithm, but neither can all these famous people.

## Some Hard Decision Problems

# Traveling Salesman Problem



Given  $n$  vertices and  $n(n-1)/2$  distances between them, is there a *tour* (i.e., cycle) of length  $b$  or less that passes through all vertices?

# Hamiltonian Cycle

- Simpler than TSP
  - Is there a cycle that passes through every vertex in the graph?
- Earliest reference, posed in the context of chess boards and knights (“Rudrata cycle”)
- *Longest path* is another version of the same problem
  - When posed as a decision problem, becomes the same as Hamiltonian path problem

# Balanced Cuts

Does there exist a way to partition vertices  $V$  in a graph into two sets  $S$  and  $T$  such that

- there are at most  $b$  edges between  $S$  and  $T$ , and
- $|S| \geq |T| \geq |V|/3$

# Integer Linear Programming (ILP) and Zero-One Equations (ZOE)

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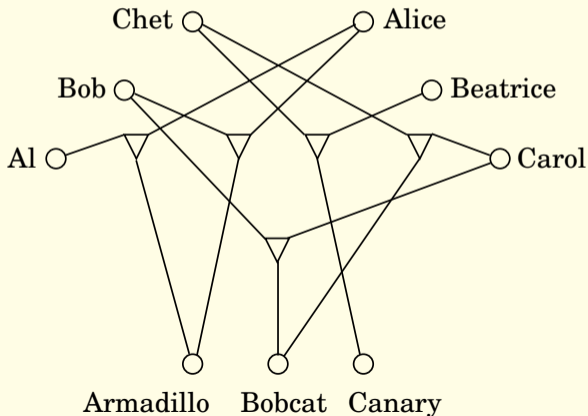
**ZOE:** A special case of ILP, where the values are just 0 or 1.

- Find  $\mathbf{x}$  such that  $\mathbf{Ax} = \mathbf{1}$  where  $\mathbf{1}$  is a column matrix consisting of 1's.



# 3d-Matching

- Given triples of compatibilities between men, women and pets, find perfect, 3-way matches.



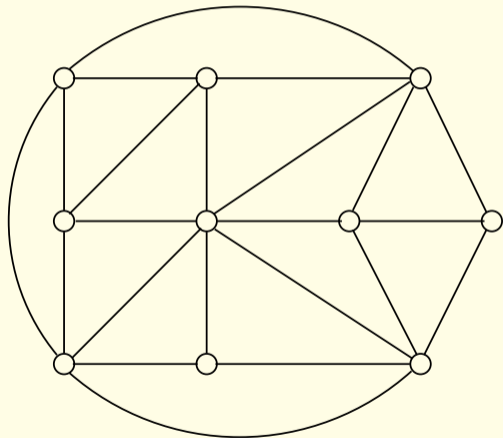
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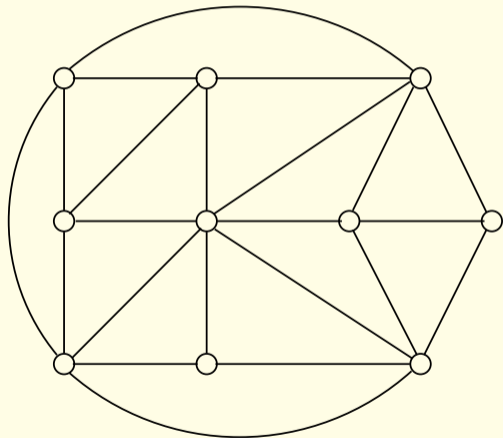


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**Vertex cover:** Does this graph contain a set of at least  $k$  vertices that cover all edges?

**Clique:** Does this graph contain at least  $k$  vertices that are fully connected among themselves?

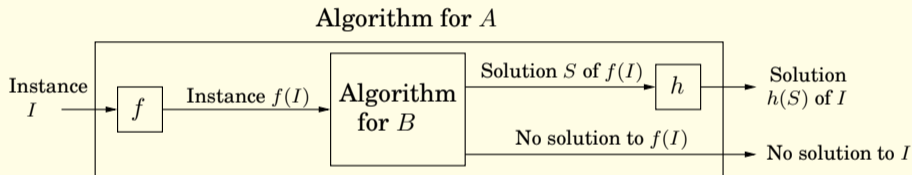


# Easy Vs Hard Problems

Hard	Easy
3SAT	2SAT, HORN SAT
TSP	MST
Longest path	Shortest path
3d-matching	bipartite match
Independent set	Indep. set on trees
ILP	Linear programming
Hamiltonian cycle	Euler path, Knights tour
Balanced cut	Min-cut

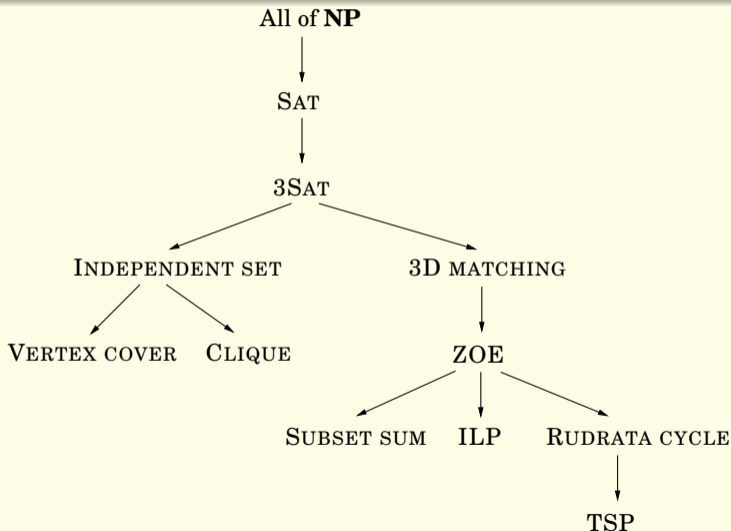
# NP-completeness: Polynomial-time Reductions

- Show that a known *NP*-complete problem *A* could be transformed into problem *B* in polynomial time



- **Implication:** if *B* can be solved in *P*-time, we can solve *A* in *P*-time
- **Never forget the direction:**
  - We are proving that *B* is *NP*-complete here.

# NP-completeness Reductions



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- We already discussed this
  - Show how to reduce acceptance by an NDTM to the  $SAT$  problem.
- *Exercise:* Show how to transform acceptance by an FSA into an instance of  $SAT$

# Reducing *SAT* to *3SAT*

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- The transformation below at most doubles the problem size.
- **Key Idea:** Introduce additional variables:
  - *Example:*  $l_1 \vee l_2 \vee l_3 \vee l_4$  can be transformed into:

$$(l_1 \vee l_2 \vee y_1) \wedge (\bar{y}_1 \vee l_3 \vee l_4)$$

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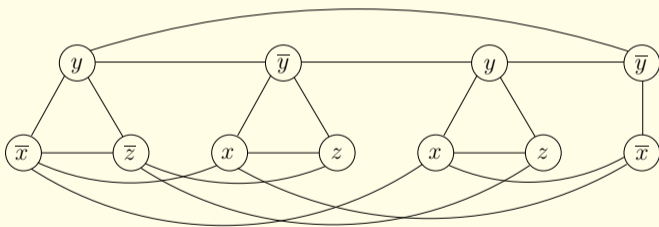
For this conjunction to be true, one of  $\{l_1, \dots, l_4\}$  must be true:

- So a solution to the transformed problem is a solution to the original – simply discard assignments for the new variables  $y_i$ .

# Reducing 3SAT to Independent set

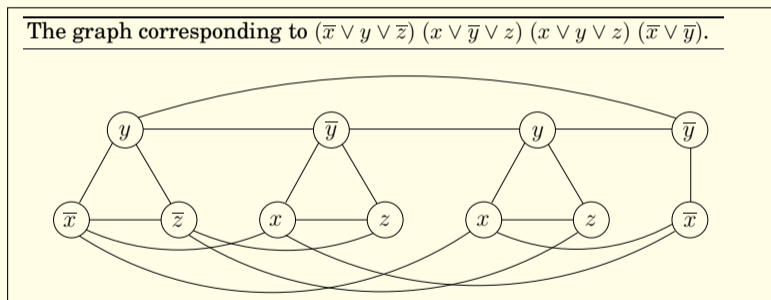
- Nontrivial reduction, as the problems are quite different in nature
- **Idea:** Model each of  $k$  clauses of 3SAT by a “triangle” in a graph

The graph corresponding to  $(\bar{x} \vee y \vee \bar{z}) (x \vee \bar{y} \vee z) (x \vee y \vee z) (\bar{x} \vee \bar{y})$ .



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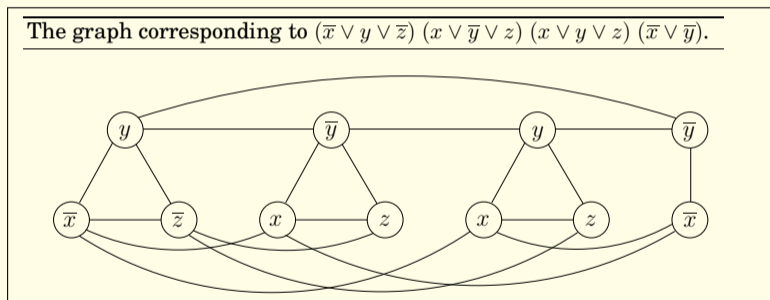
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  - By setting that literal to *true*, we obtain a solution for 3SAT
- *Key point:* Avoid conflicts, e.g., assigning *true* to both  $x$  and  $\bar{x}$ 
  - ensure using edges between every variable and its complement



# Reducing Independent set to Vertex Cover

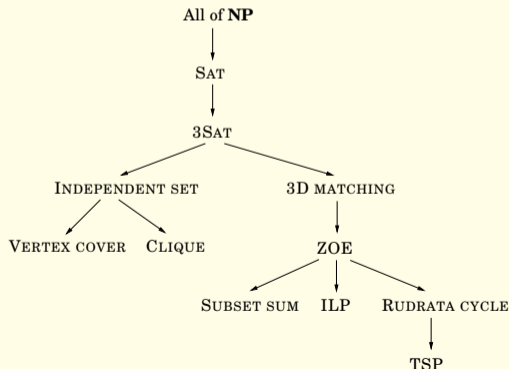
- If  $S$  is an independent set then  $V - S$  is a vertex cover
  - Consider any edge  $e$  in the graph
  - *Case 1:* Both ends of  $e$  are in  $V - S$
  - *Case 2:* At least one end of  $e$  is  $S$ . The other end of  $e$  cannot be in  $S$  or else  $S$  won't be independent.
  - Thus, in both cases, at least one side of  $e$  must go to  $V - S$ .
  - In other words  $V - S$  is a vertex cover
- Thus, we have reduced independent set to vertex cover problem.

# Reducing Independent set to Clique

- If  $S$  is an independent set then  $S$  is clique in  $\overline{G} = (V, \overline{E})$ 
  - For any pair  $v_1, v_2 \in S$  there is no edge in  $E$ 
    - means that there is an edge between any such pair in  $G'$
    - i.e,  $S$  is a clique in  $\overline{G}$
- Thus, we have reduced independent set to the clique problem, while only using polynomial time and space.

# NP-completeness Reductions

- We have discussed the left half of this picture
- We won't discuss the right half, since the proofs are similar in many ways, but are more involved.
- You can find those reductions in the text book.



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- *Examples:*

**QBF:** Quantified boolean formulae

**NFA totality:** Does this NFA accept all strings?

Is  $NP \subsetneq PSPACE$ ?

- We think so, but we can't even prove  $P \subsetneq PSPACE$

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- Generalized versions of games such as chess and checkers are EXP-hard.
- We think  $PSPACE \subsetneq EXP$ , but can only prove  $P \subsetneq EXP$ .

# Where do we stop?

- These classes can be extended for ever:

**NEXP:** Nondeterministic exponential time

**EXSPACE:** Problems solvable with exponential space.

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- We *think* these classes are distinct, but have proofs only for classes that are 3 places apart, e.g.,  $P$  and  $EXP$ .