

Nondeterministic polynomial time

Lecture 22

Thursday, November 17, 2022

Intro. Algorithms & Models of Computation

CS/ECE 374A, Fall 2022

22.1

Review

22.1.1

Review: Polynomial reductions

Polynomial-time Reduction

Definition 22.1.

$X \leq_P Y$: polynomial time reduction from a decision problem X to a decision problem Y is an algorithm \mathcal{A} such that:

1. Given an instance I_X of X , \mathcal{A} produces an instance I_Y of Y .
2. \mathcal{A} runs in time polynomial in $|I_X|$. ($|I_Y|$ = size of I_Y).
3. Answer to I_X YES \iff answer to I_Y is YES.

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This is a Karp reduction.

Composing polynomials...

A quick reminder

1. f and g monotone increasing. Assume that:

1.1 $f(n) \leq a * n^b$ (i.e., $f(n) = O(n^b)$)

1.2 $g(n) \leq c * n^d$ (i.e., $g(n) = O(n^d)$)

a, b, c, d : constants.

2. $g(f(n)) \leq g(a * n^b) \leq c * (a * n^b)^d \leq c * a^d * n^{bd}$

3. $\implies g(f(n)) = O(n^{bd})$ is a polynomial.

4. **Conclusion:** Composition of two polynomials, is a polynomial.

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Transitivity of Reductions

Proposition 22.3.

$X \leq_P Y$ and $Y \leq_P Z$ implies that $X \leq_P Z$.

1. **Note:** $X \leq_P Y$ does not imply that $Y \leq_P X$ and hence it is very important to know the FROM and TO in a reduction.
2. To prove $X \leq_P Y$ you need to show a reduction FROM X TO Y
3. ...show that an algorithm for Y implies an algorithm for X .

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Polynomial time reduction...

Proving Correctness of Reductions

To prove that $X \leq_P Y$ you need to give an algorithm \mathcal{A} that:

1. Transforms an instance I_X of X into an instance I_Y of Y .
2. Satisfies the property that answer to I_X is YES iff I_Y is YES.
 - 2.1 typical easy direction to prove: answer to I_Y is YES if answer to I_X is YES
 - 2.2 typical difficult direction to prove: answer to I_X is YES if answer to I_Y is YES
(equivalently answer to I_X is NO if answer to I_Y is NO).
3. Runs in polynomial time.

Polynomial time reduction...

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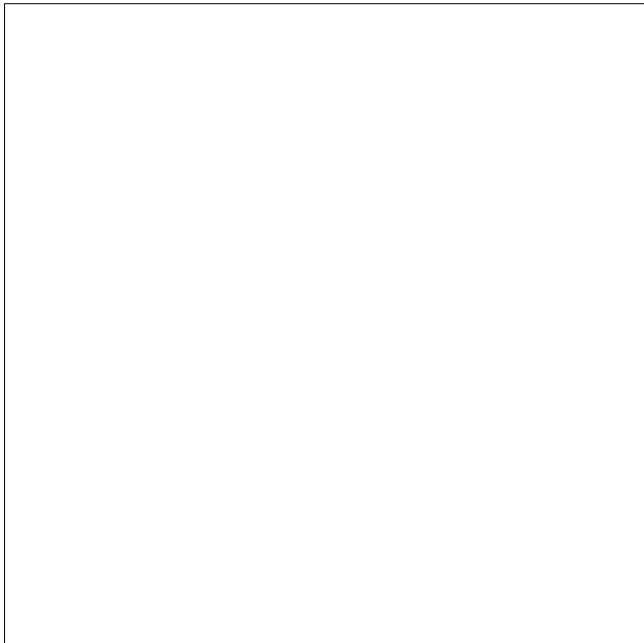
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22.1.2

A quick pre-review of complexity classes

In the beginning...



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Undecidable

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EXP

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PSPACE

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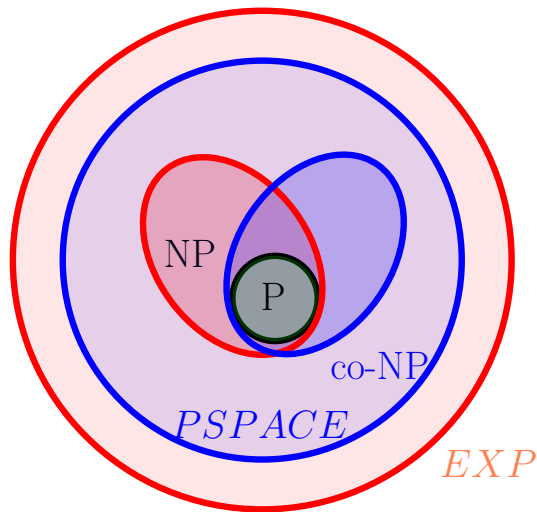
P

PSPACE

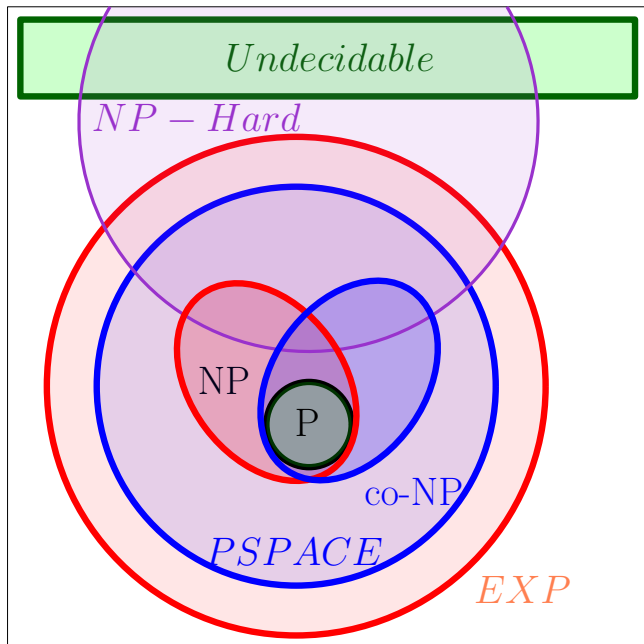
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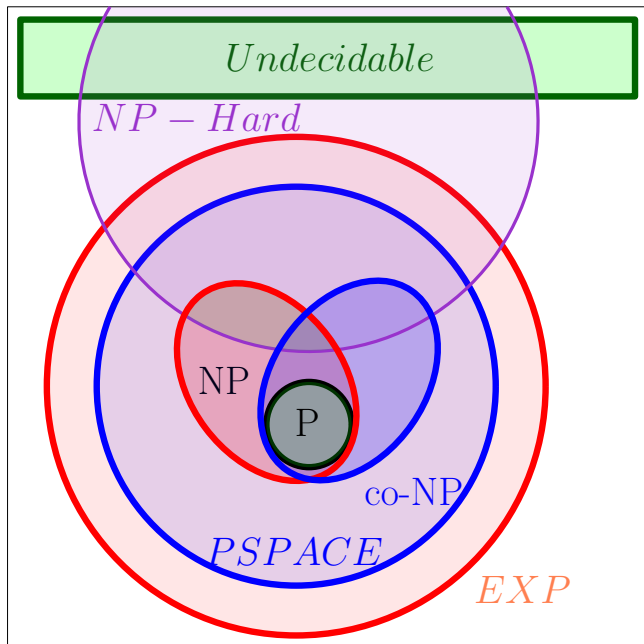
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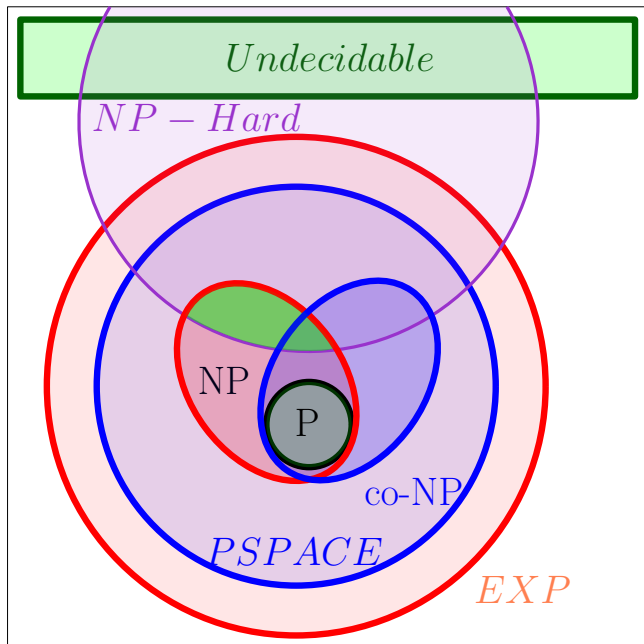
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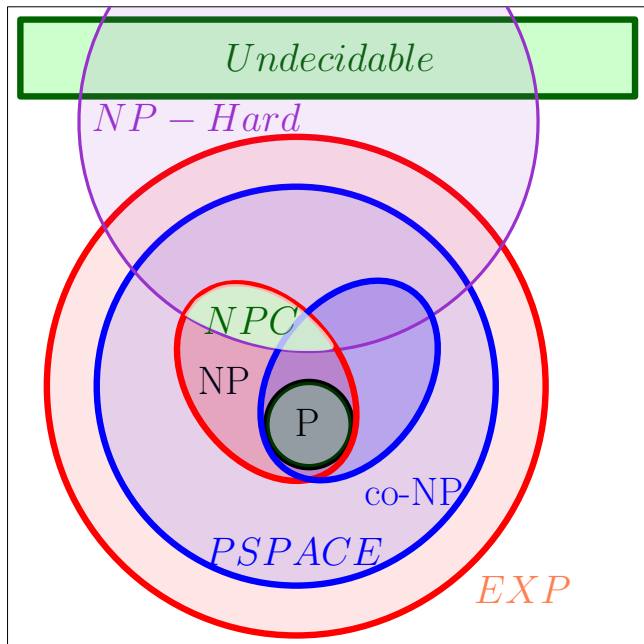
In the beginning...



In the beginning...



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22.1.3

Polynomial equivalent problems: What do we know so far

What do we know so far

1. **Independent Set \leq_P Clique**
Clique \leq_P Independent Set.
 \implies **Clique \cong_P Independent Set.**
2. **Vertex Cover \leq_P Independent Set**
Independent Set \leq_P Vertex Cover.
 \implies **Independent Set \cong_P Vertex Cover.**
3. **3SAT \leq_P SAT**
SAT \leq_P 3SAT.
 \implies **3SAT \cong_P SAT.**
4. **Clique \cong_P Independent Set \cong_P Vertex Cover**
3SAT \cong_P SAT.

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22.2

NP: Nondeterministic polynomial time

22.2.1

Introduction

P and NP and Turing Machines

1. **P**: set of decision problems that have polynomial time algorithms.
2. **NP**: set of decision problems that have polynomial time non-deterministic algorithms.
 - ▶ Many natural problems we would like to solve are in **NP**.
 - ▶ Every problem in **NP** has an exponential time algorithm
 - ▶ $P \subseteq NP$
 - ▶ Some problems in **NP** are in **P** (example, shortest path problem)

Big Question: Does every problem in **NP** have an efficient algorithm? Same as asking whether $P = NP$.

Problems with no known polynomial time algorithms

Problems

1. **Independent Set**
2. **Vertex Cover**
3. **Set Cover**
4. **SAT**
5. **3SAT**

There are of course undecidable problems (no algorithm at all!) but many problems that we want to solve are of similar flavor to the above.

Question: What is common to above problems?

Efficient Checkability

Above problems share the following feature:

Checkability

For any YES instance I_X of X there is a proof/certificate/solution that is of length $\text{poly}(|I_X|)$ such that given a proof one can efficiently check that I_X is indeed a YES instance.

Examples:

1. **SAT** formula φ : proof is a satisfying assignment.
2. **Independent Set** in graph G and k : a subset S of vertices.
3. **Homework**

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Sudoku

			2	5				
	3	6		4		8		
	4					1	6	
2								
7	6						1	9
								3
	1	5					7	
		9		8		2	4	
				3	7			

Given $n \times n$ sudoku puzzle, does it have a solution?

Solution to the Sudoku example...

1	8	7	2	5	6	9	3	4
9	3	6	7	4	1	8	5	2
5	4	2	8	9	3	1	6	7
2	9	1	3	7	4	6	8	5
7	6	3	5	2	8	4	1	9
8	5	4	6	1	9	7	2	3
4	1	5	9	6	2	3	7	8
3	7	9	1	8	5	2	4	6
6	2	8	4	3	7	5	9	1

22.2.2

Certifiers/Verifiers

Certifiers

Definition 22.1.

An algorithm $C(\cdot, \cdot)$ is a certifier for problem X if the following two conditions hold:

- ▶ For every $s \in X$ there is some string t such that $C(s, t) = \text{"yes"}$
- ▶ If $s \notin X$, $C(s, t) = \text{"no"}$ for every t .

The string t is called a **certificate** or **proof** for s .

Efficient (polynomial time) Certifiers

Definition 22.2 (Efficient Certifier.).

A certifier C is an efficient certifier for problem X if there is a polynomial $p(\cdot)$ such that the following conditions hold:

- ▶ For every $s \in X$ there is some string t such that $C(s, t) = \text{"yes"}$ and $|t| \leq p(|s|)$ (proof is polynomially short)..
- ▶ If $s \notin X$, $C(s, t) = \text{"no"}$ for every t .
- ▶ $C(\cdot, \cdot)$ runs in polynomial time in the size of s .

Since $|t| = |s|^{O(1)}$, and certifier runs in polynomial time in $|s| + |t|$, it follows that certifier runs in polynomial time in the size of s .

Proposition 22.3.

If $s \in X$, and there exists an efficient certifier C for X , then there exists a certificate t of polynomial length in s , such that $C(s, t)$ returns YES, and runs in polynomial time in $|s|$.

Example: Independent Set

1. **Problem:** Does $G = (V, E)$ have an independent set of size $\geq k$?
 - 1.1 **Certificate:** Set $S \subseteq V$.
 - 1.2 **Certifier:** Check $|S| \geq k$ and no pair of vertices in S is connected by an edge.

22.2.3

Examples to problems with efficient certifiers

Example: Vertex Cover

1. **Problem:** Does G have a vertex cover of size $\leq k$?
 - 1.1 **Certificate:** $S \subseteq V$.
 - 1.2 **Certifier:** Check $|S| \leq k$ and that for every edge at least one endpoint is in S .

Example: SAT

1. **Problem:** Does formula φ have a satisfying truth assignment?
 - 1.1 **Certificate:** Assignment \mathbf{a} of $\mathbf{0/1}$ values to each variable.
 - 1.2 **Certifier:** Check each clause under \mathbf{a} and say “yes” if all clauses are true.

Example: Composites

Problem: Composite

Instance: A number s .

Question: Is the number s a composite?

1. Problem: Composite.

1.1 **Certificate:** A factor $t \leq s$ such that $t \neq 1$ and $t \neq s$.

1.2 **Certifier:** Check that t divides s .

Example: NFA Universality

Problem: NFA Universality

Instance: Description of a NFA M .

Question: Is $L(M) = \Sigma^*$, that is, does M accept all strings?

1. Problem: NFA Universality.

1.1 **Certificate:** A DFA M' equivalent to M

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Certifier is efficient but certificate is not necessarily short! We do not know if the problem is in NP .

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Example: A String Problem

Problem: PCP

Instance: Two sets of binary strings $\alpha_1, \dots, \alpha_n$ and β_1, \dots, β_n

Question: Are there indices i_1, i_2, \dots, i_k such that $\alpha_{i_1}\alpha_{i_2}\dots\alpha_{i_k} = \beta_{i_1}\beta_{i_2}\dots\beta_{i_k}$

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PCP = Posts Correspondence Problem and it is undecidable!

Implies no finite bound on length of certificate!

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NP: Definition

Nondeterministic Polynomial Time

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Example 22.5.

Independent Set, **Vertex Cover**, **Set Cover**, **SAT**, **3SAT**, and **Composite** are all examples of problems in **NP**.

Why is it called...

Nondeterministic Polynomial Time

A certifier is an algorithm $C(I, c)$ with two inputs:

1. I : instance.
2. c : proof/certificate that the instance is indeed a YES instance of the given problem.

One can think about C as an algorithm for the original problem, if:

1. Given I , the algorithm guesses (non-deterministically, and who knows how) a certificate c .
2. The algorithm now verifies the certificate c for the instance I .

NP can be equivalently described using Turing machines.

Asymmetry in Definition of NP

Note that only YES instances have a short proof/certificate. NO instances need not have a short certificate.

Example 22.6.

SAT formula φ . No easy way to prove that φ is NOT satisfiable!

More on this and **co-NP** later on.

22.2.5

Intractability

P versus NP

Proposition 22.7.

$P \subseteq NP$.

For a problem in P no need for a certificate!

Proof.

Consider problem $X \in P$ with algorithm A . Need to demonstrate that X has an efficient certifier:

1. Certifier C on input s, t , runs $A(s)$ and returns the answer.
2. C runs in polynomial time.
3. If $s \in X$, then for every t , $C(s, t) = \text{"yes"}$.
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Exponential Time

Definition 22.8.

Exponential Time (denoted **EXP**) is the collection of all problems that have an algorithm which on input s runs in exponential time, i.e., $O(2^{\text{poly}(|s|)})$.

Example: $O(2^n)$, $O(2^{n \log n})$, $O(2^{n^3})$, ...

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NP versus EXP

Proposition 22.9.

$\text{NP} \subseteq \text{EXP}$.

Proof.

Let $X \in \text{NP}$ with certifier C . Need to design an exponential time algorithm for X .

1. For every t , with $|t| \leq p(|s|)$ run $C(s, t)$; answer “yes” if any one of these calls returns “yes”.
2. The above algorithm correctly solves X (exercise).
3. Algorithm runs in $O(q(|s| + |p(s)|)2^{p(|s|)})$, where q is the running time of C . \square

Examples

1. **SAT**: try all possible truth assignment to variables.
2. **Independent Set**: try all possible subsets of vertices.
3. **Vertex Cover**: try all possible subsets of vertices.

Is **NP** efficiently solvable?

We know $\mathbf{P} \subseteq \mathbf{NP} \subseteq \mathbf{EXP}$.

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Big Question

Is there are problem in **NP** that **does not** belong to **P**? Is $\mathbf{P} = \mathbf{NP}$?

If $P = NP$...

Or: If pigs could fly then life would be sweet.

1. Many important optimization problems can be solved efficiently.
2. The **RSA** cryptosystem can be broken.
3. No security on the web.
4. No e-commerce ...
5. Creativity can be automated! Proofs for mathematical statement can be found by computers automatically (if short ones exist).

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If $P = NP$...

Or: If pigs could fly then life would be sweet.

1. Many important optimization problems can be solved efficiently.
2. The **RSA** cryptosystem can be broken.
3. No security on the web.
4. No e-commerce ...
5. Creativity can be automated! Proofs for mathematical statement can be found by computers automatically (if short ones exist).

P versus NP

Status

Relationship between **P** and **NP** remains one of the most important open problems in mathematics/computer science.

Consensus: Most people feel/believe $P \neq NP$.

Resolving **P** versus **NP** is a Clay Millennium Prize Problem. You can win a million dollars in addition to a Turing award and major fame!

Review question: If $P = NP$ this implies that...

- (A) **Vertex Cover** can be solved in polynomial time.
- (B) $P = EXP$.
- (C) $EXP \subseteq P$.
- (D) All of the above.