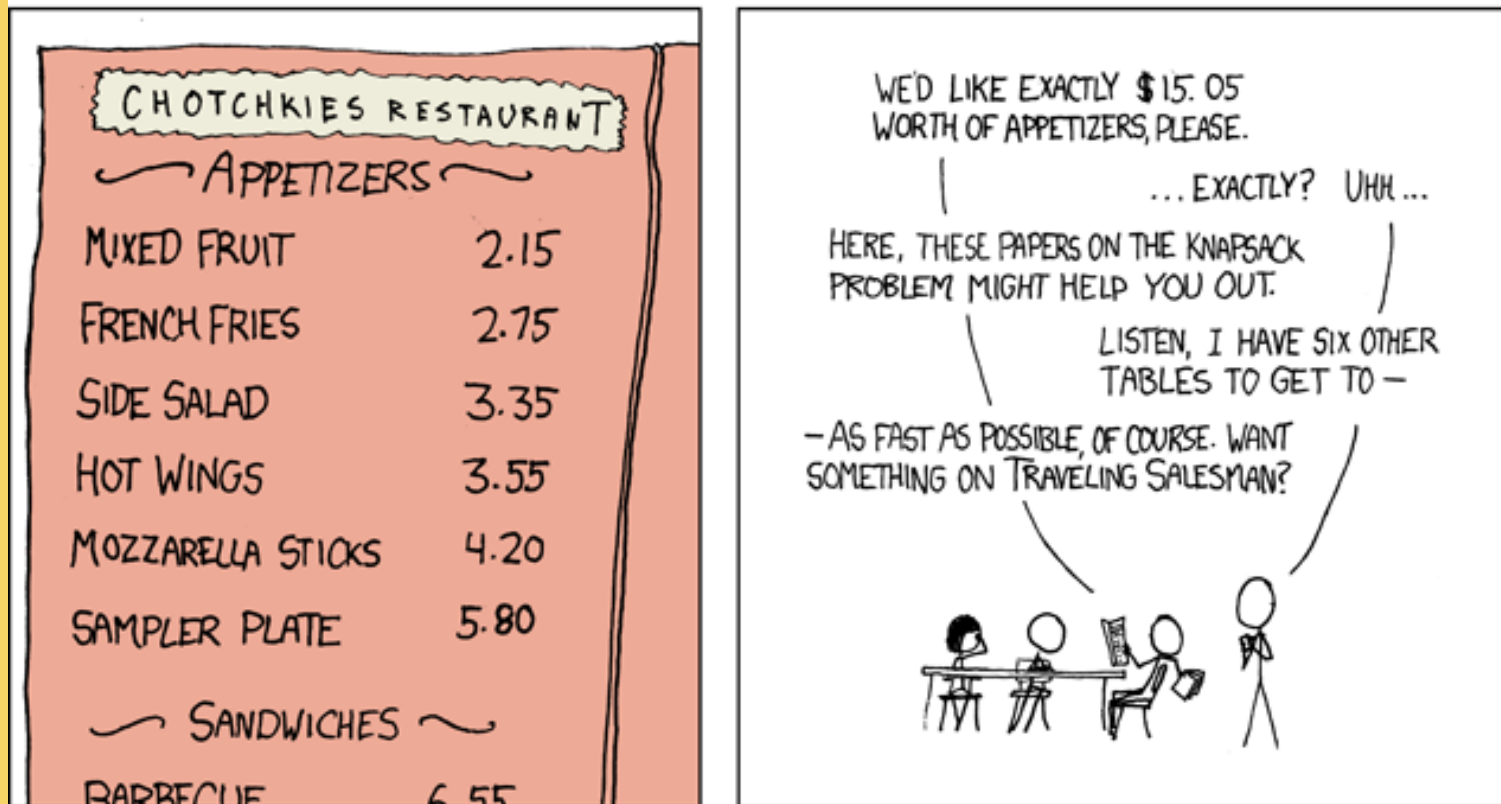


PS10 due this Friday, Apr 25.

MY HOBBY:
EMBEDDING NP-COMPLETE PROBLEMS IN RESTAURANT ORDERS



<https://xkcd.com/287/>

Class 25: Class NP NP-Complete

University of Virginia
cs3120: DMT2
Wei-Kai Lin

Recap: Complexity Class NP

$$F(x) : \{ \}^* \rightarrow \{0, 1\}$$

Informal def: decisional problem F is in NP if:
whenever a problem instance $x \in F$ then this can be
proved by providing a **witness** that is **polynomial-time**
verifiable.

problem instance

Recap: Complexity Class NP

Formal Definition of NP:

Definition 15.1 (NP)

We say that $F : \{0, 1\}^* \rightarrow \{0, 1\}$ is in **NP** if there exists some integer $a > 0$ and $V : \{0, 1\}^* \rightarrow \{0, 1\}$ such that $V \in \mathbf{P}$ and for every $x \in \{0, 1\}^n$,

$$F(x) = 1 \Leftrightarrow \exists_{w \in \{0, 1\}^{n^a}} \text{ s.t. } V(xw) = 1. \quad (15.1)$$

witness.

The Class P

Functions that can be computed in polynomial time by a standard Turing Machine.

$$\bigcup_{c \in \mathbb{N}} TIME_{TM}(n^c)$$

The Class NP

Functions that can be **verified** in polynomial time by a standard Turing Machine.

Correctness of a **1** output can be *verified* in polynomial time given a witness.

A function $F: \{0, 1\}^* \rightarrow \{0, 1\}$ is in **NP** if there exists some $a \in \mathbb{N}^+$ and $V: \{0, 1\}^* \rightarrow \{0, 1\}$ such that $V \in \mathbf{P}$ and $\forall x \in \{0, 1\}^n, F(x) = 1 \leftrightarrow \exists w \in \{0, 1\}^{n^a}$ such that $V(x, w) = 1$.

Example: 3SAT \in NP

3SAT

Input: A Boolean formula in 3CNF form.

Output: If there is an assignment of values to variables that makes the formula to True, 1. Otherwise, 0.

A function $F: \{0, 1\}^* \rightarrow \{0, 1\}$ is in **NP** if there exists some $a \in \mathbb{N}^+$ and $V: \{0, 1\}^* \rightarrow \{0, 1\}$ such that $V \in \mathbf{P}$ and $\forall x \in \{0, 1\}^n, F(x) = 1 \leftrightarrow \exists w \in \{0, 1\}^{n^a}$ such that $V(x, w) = 1$.

Correctness of a **1**-output can be *verified* in polynomial time given a witness.

x: $(x_1 \vee x_2 \vee \bar{x}_3) \wedge (x_3 \vee x_2 \vee x_4) \wedge (x_1 \vee x_2 \vee x_3)$

F: 3SAT

w: $x_1 = 1, x_2 = 1, x_3 = 1, x_4 = 1$

$V(x, w)$: put w into x

3 CNF

Example: 3SAT \in NP

3SAT

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$F: 3SAT$

$w: x_1 = 1, x_2 = 1, x_3 = 1, x_4 = 1$ *assignment to x*

$V(x, w):$ put w into x

\leftrightarrow , “if and only if”:
 $F(x) = 0 \Rightarrow$ not exists w
such that ...
 $V(x, w) = 1$

LongestPath \in NP

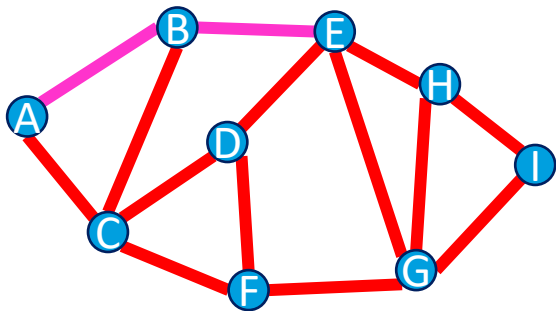
LongestPath (G, s, t, ℓ)

Input: A finite graph $G = (V, E)$, two vertices, $s, t \in V$, and a path length, $\ell \in \mathbb{N}$.

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A function $F: \{0, 1\}^* \rightarrow \{0, 1\}$ is in **NP** if there exists some $a \in \mathbb{N}^+$ and $V: \{0, 1\}^* \rightarrow \{0, 1\}$ such that $V \in \mathbf{P}$ and $\forall x \in \{0, 1\}^n, F(x) = 1 \leftrightarrow \exists w \in \{0, 1\}^{n^a}$ such that $V(x, w) = 1$.

Correctness of a **1**-output can be *verified* in polynomial time given a witness.



F: LongestPath

x: G, s, t, ℓ

w: a path of length ℓ

V: check the path

Example: $P \subseteq NP \subseteq EXP$

$$\text{Class } \mathbf{P} = \bigcup_{c \in \mathbb{N}} \text{TIME}_{TM}(n^c)$$

A function $F: \{0, 1\}^* \rightarrow \{0, 1\}$ is in **NP** if there exists some $a \in \mathbb{N}^+$ and $V: \{0, 1\}^* \rightarrow \{0, 1\}$ such that $V \in \mathbf{P}$ and $\forall x \in \{0, 1\}^n, F(x) = 1 \leftrightarrow \exists w \in \{0, 1\}^{n^a}$ such that $V(x, w) = 1$.

Suppose $F \in \mathbf{P}$. Can we show that $F \in \mathbf{NP}$?

Yes, proof: \exists TM M s.t. $\forall x \in \{0, 1\}^n, M(x)$ compl $F(x)$
const $c \in \mathbb{N}$ in n^c steps

$$\rightarrow a = \cancel{0} 0$$

$$\rightarrow w = \text{" "}$$

$$(V(x, w) = M(x, w = \text{" "}) \in \mathbf{P})$$

~~time of M is~~ $n^c \Rightarrow V \in \text{TIME}(n^c)$
 $\Rightarrow V \in \mathbf{P}$

Class $\mathbf{P} = \bigcup_{c \in \mathbb{N}} TIME_{TM}(n^c)$

A function $F: \{0, 1\}^* \rightarrow \{0, 1\}$ is in \mathbf{NP} if there exists some $a \in \mathbb{N}^+$ and $V: \{0, 1\}^* \rightarrow \{0, 1\}$ such that $V \in \mathbf{P}$ and $\forall x \in \{0, 1\}^n, F(x) = 1 \leftrightarrow \exists w \in \{0, 1\}^{n^a}$ such that $V(x, w) = 1$.

Suppose $F \in \mathbf{P}$. Can we show that $F \in \mathbf{NP}$?

Yes, proof:

By $F \in \mathbf{P}$, there is a TM $M, c \in \mathbb{N}$ such that $M(x)$ computes $F(x)$ in n^c steps for all n -bit x .

$a = c$

$w = ""$

$V(x, w) = M(x)$

We have $F(x) = 1 \leftrightarrow \exists w \in \{0, 1\}^{n^a}$ such that $V(x, w) = 1$.

Thus $F \in \mathbf{NP}$.

PRR12

Watch video: <https://www.youtube.com/watch?v=dJUEkxylBw>

Q1.1

2 Points

"There is another group of problems, called non-polynomial (NP) and these are really hard to solve"

- ☐ Agree
- ☒ Disagree
- ☐ We don't know

Non-deterministic Poly

Short Path $\in P$ $SP \in NP$

$P \subseteq NP$, so some problems in **NP** are not hard

A function $F: \{0, 1\}^* \rightarrow \{0, 1\}$ is in **NP** if there exists some $a \in \mathbb{N}^+$ and $V: \{0, 1\}^* \rightarrow \{0, 1\}$ such that $V \in \mathbf{P}$ and $\forall x \in \{0, 1\}^n, F(x) = 1 \leftrightarrow \exists w \in \{0, 1\}^{n^a}$ such that $V(x, w) = 1$.

Class **EXP** = $\bigcup_{c \in \{1, 2, 3, \dots\}} \text{TIME}_{\text{TM}}(2^{n^c})$

Suppose $F \in \mathbf{NP}$. We have a, V .

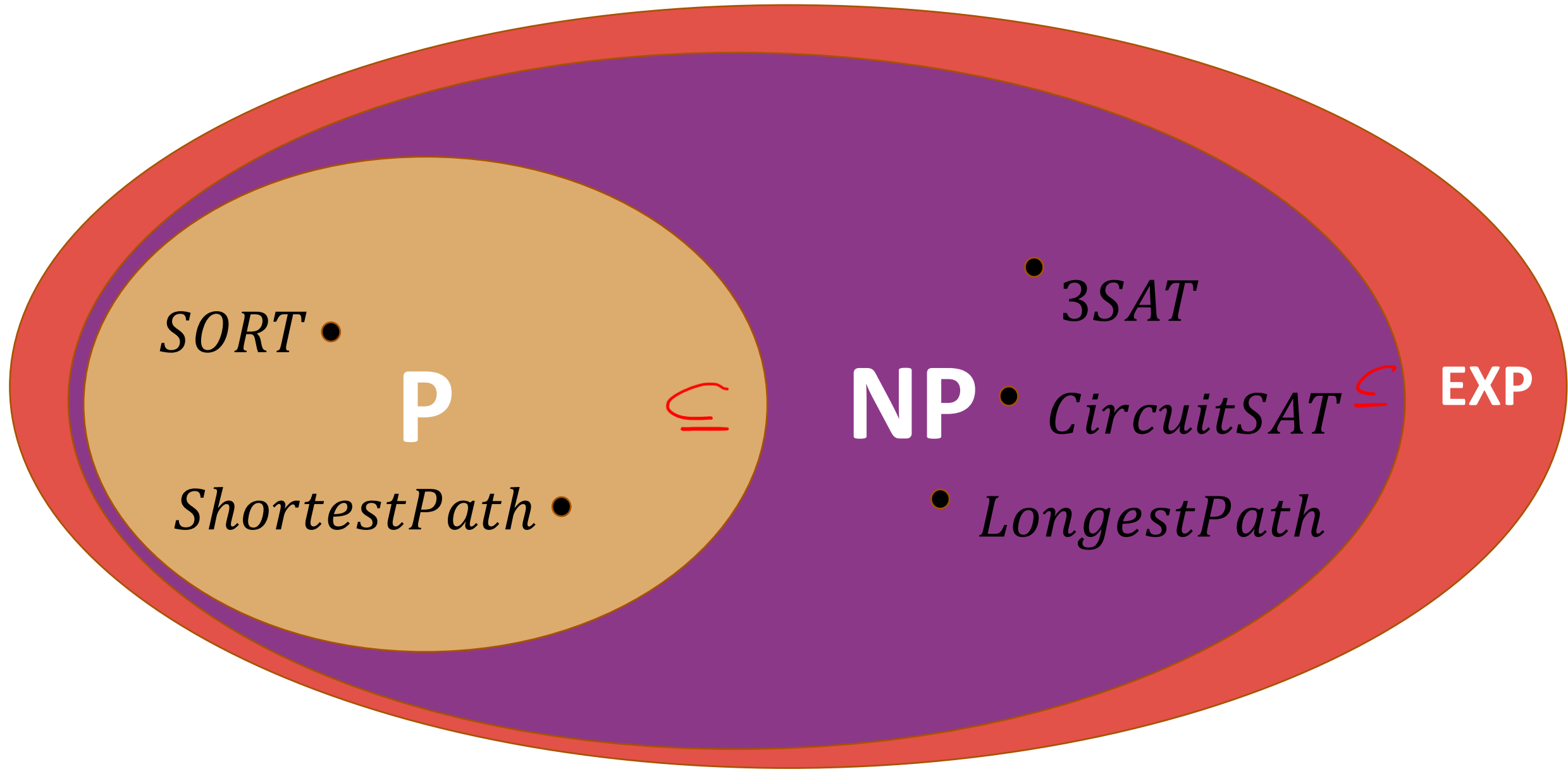
$$M_V(x, w) = V(x, w)$$

Want: $F \in \mathbf{EXP}$. TM $M(x)$ computes $F(x)$ in time 2^{n^c} .

* $M(x)$:

for all $w \in \{0, 1\}^{n^a}$
if $M_V(x, w) = 1$
return 1

return 0



Unknown if $3SAT \in \mathbf{P}$

Known that $3SAT \in \mathbf{NP}$

More problems. Are they in NP?

Example: PRIME and COMPOSITE

in string
PRIME(x) = 1 if x is prime
0 otherwise
COMPOSITE(x) = 1 if x is not prime
0 otherwise
integer

A function $F: \{0, 1\}^* \rightarrow \{0, 1\}$ is in **NP** if there exists some $a \in \mathbb{N}^+$ and $V: \{0, 1\}^* \rightarrow \{0, 1\}$ such that $V \in \mathbf{P}$ and $\forall x \in \{0, 1\}^n, F(x) = 1 \leftrightarrow \exists w \in \{0, 1\}^{n^a}$ such that $V(x, w) = 1$.

Is PRIME in **P**?

Is COMPOSITE in **P**?

Eg, COMPOSITE(8633) = 1 bcs $97 \times 89 = 8633$
x *w*

Is PRIME in **NP**?

Is COMPOSITE in **NP**?

$x = 89$

$w = ?$
 $V = ?$

Primality Certificate

$$n = l \times l \text{ bits}$$

Pratt certificates [\[edit\]](#)

The concept of primality certificates was historically introduced by the **Pratt certificate**, conceived in 1975 by [Vaughan Pratt](#),^[1] who described its structure and proved it to have polynomial size and to be verifiable in polynomial time. It is based on the [Lucas primality test](#), which is essentially the [converse](#) of [Fermat's little theorem](#) with an added condition to make it true:

Lucas' theorem: Suppose we have an integer a such that:

- $a^{n-1} \equiv 1 \pmod{n}$,
- for every prime factor q of $n-1$, it is not the case that $a^{(n-1)/q} \equiv 1 \pmod{n}$.

Then n is prime.

Given such an a (called a *witness*) and the prime factorization of $n-1$, it's simple to verify the above conditions quickly: we only need to do a linear number of modular exponentiations, since every integer has fewer prime factors than bits, and each of these can be done by [exponentiation by squaring](#) in $O(\log n)$ multiplications (see [big-O notation](#)). Even with grade-school integer multiplication, this is only $O((\log n)^4)$ time; using the [multiplication algorithm](#) with best-known asymptotic running time, due to David Harvey and Joris van der Hoeven, we can lower this to $O((\log n)^3(\log \log n))$ time, or using [soft-O notation](#) $\tilde{O}((\log n)^3)$.

However, it is [possible to trick a verifier into accepting a composite number](#) by giving it a "prime factorization" of $n-1$ that includes composite numbers. For example, suppose we claim that $n = 85$ is prime, supplying $a = 4$ and $n-1 = 6 \times 14$ as the "prime factorization". Then (using $q = 6$ and $q = 14$):

$$x, w = \sqrt{x}$$
$$V = \frac{\text{div } x \text{ by } y \leq w}{2^{\sqrt{2}}}$$

To be continued ... https://en.wikipedia.org/wiki/Primality_certificate

PRIMES is in P

By MANINDRA AGRAWAL, NEERAJ KAYAL, and NITIN SAXENA*

Abstract

We present an unconditional deterministic polynomial-time algorithm that determines whether an input number is prime or composite.

3UNSAT $\in?$ NP

3UNSAT

Input: A Boolean formula in 3CNF form.

Output: If there is an assignment of values to variables that makes the formula to True, **0**. Otherwise, **1**.

$$3UNSAT(x) = \text{NOT}(\text{3SAT}(x))$$

A function $F: \{0, 1\}^* \rightarrow \{0, 1\}$ is in **NP** if there exists some $a \in \mathbb{N}^+$ and $V: \{0, 1\}^* \rightarrow \{0, 1\}$ such that $V \in \mathbf{P}$ and $\forall x \in \{0, 1\}^n, F(x) = 1 \leftrightarrow \exists w \in \{0, 1\}^{n^a}$ such that $V(x, w) = 1$.

Correctness of a **1**-output can be *verified* in polynomial time given a witness.

3SAT

Input: A Boolean formula in 3CNF form.

Output: If there is an assignment of values to variables that makes the formula to True, 1. Otherwise, 0.

NonLongestPath (G, s, t, ℓ)

Input: A finite graph $G = (V, E)$, two vertices, $s, t \in V$, and a path length, $\ell \in \mathbb{N}$.

Output: If there is a simple path from s to t in G of length at least ℓ , **0**. Otherwise, **1**.

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NonLongestPath (G, s, t, ℓ) = **NOT** (***LongestPath*** (G, s, t, ℓ))

NonLongestPath $\in?$ NP

ShortestPath(G, s, t, ℓ):

1 iff there is a path from s to t in G with $\leq \ell$ steps

NonLongestPath (G, s, t, ℓ)

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$$\text{NonLongestPath}(G, s, t, \ell) = \text{NOT}(\text{LongestPath}(G, s, t, \ell))$$

$$\text{NonLongestPath}(G, A, E, \underline{10}) = \underline{1}$$

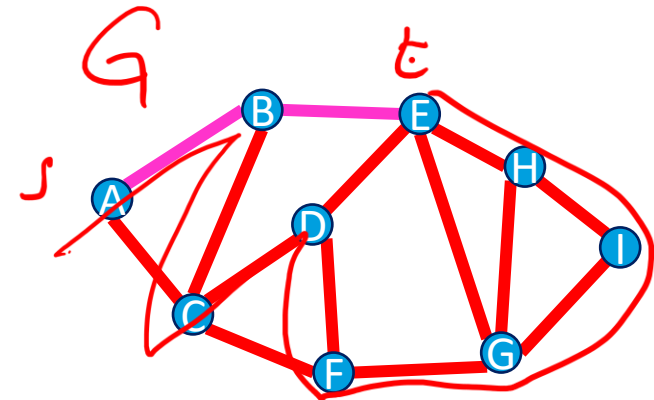
$$\text{ShortestPath}(G, A, E, \underline{10}) = \underline{1}$$

$$\text{NonLongestPath}(G, A, E, \underline{5}) = \underline{0}$$

$$\text{ShortestPath}(G, A, E, \underline{5}) = \underline{1}$$

ShortestPath(G, s, t, ℓ):

1 iff there is a path from s to t in G with $\leq \ell$ steps



Class **co-NP**

A function $F: \{0, 1\}^* \rightarrow \{0, 1\}$ is in **NP** if there exists some $a \in \mathbb{N}^+$ and $V: \{0, 1\}^* \rightarrow \{0, 1\}$ such that $V \in \mathbf{P}$ and $\forall x \in \{0, 1\}^n, F(x) = 1 \leftrightarrow \exists w \in \{0, 1\}^{n^a}$ such that $V(x, w) = 1$.

Class **co-NP** = $\{F: F \text{ is a Boolean function and } NOT(F(x)) \in \mathbf{NP} \}$

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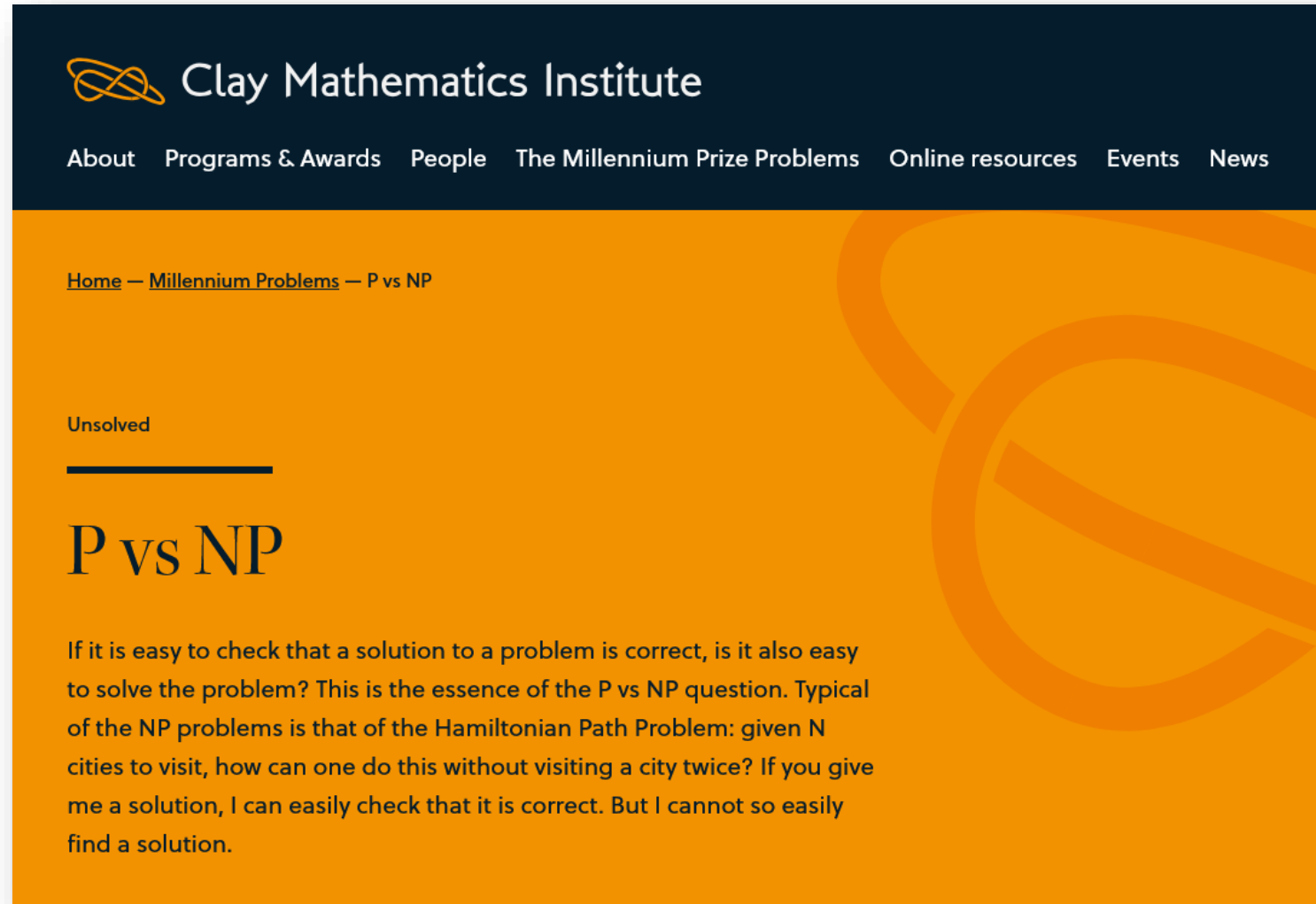
Class **co-NP** = $\{F: F \text{ is a Boolean function and } NOT(F(x)) \in \mathbf{NP} \}$

P \subseteq **co-NP**

We do not know the inclusion between **NP** and **co-NP**

Open Problem: $P = NP$?

Millennium Problem (\$1 million prize)



The screenshot shows the Clay Mathematics Institute website. The header is dark blue with the Clay Mathematics Institute logo and name. Below the header is a navigation bar with links: About, Programs & Awards, People, The Millennium Prize Problems, Online resources, Events, and News. The main content area has an orange background with a large, faint, stylized 'P' and 'NP' in the background. The text on the page reads: 'Home — Millennium Problems — P vs NP', 'Unsolved', 'P vs NP', and a paragraph explaining the P vs NP question: 'If it is easy to check that a solution to a problem is correct, is it also easy to solve the problem? This is the essence of the P vs NP question. Typical of the NP problems is that of the Hamiltonian Path Problem: given N cities to visit, how can one do this without visiting a city twice? If you give me a solution, I can easily check that it is correct. But I cannot so easily find a solution.'

Clay Mathematics Institute

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[Home](#) — [Millennium Problems](#) — P vs NP

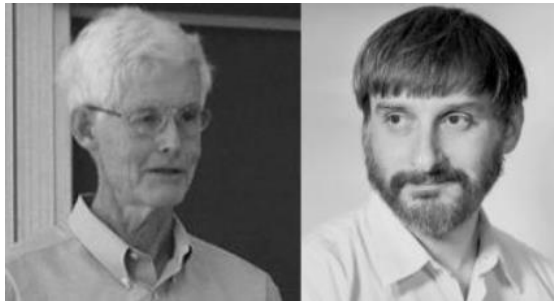
Unsolved

P vs NP

If it is easy to check that a solution to a problem is correct, is it also easy to solve the problem? This is the essence of the P vs NP question. Typical of the NP problems is that of the Hamiltonian Path Problem: given N cities to visit, how can one do this without visiting a city twice? If you give me a solution, I can easily check that it is correct. But I cannot so easily find a solution.

Yet another problem in NP

- How to accommodate 400 students in a dorm?
- Space is limited: only 100 places
- Some pairs of incompatible students such that no pair appear in final choice



Stephen Cook and Leonid Levin

Open Problem: $P = NP$?

Is it harder to find a solution to a problem or to check if a provided solution is correct?

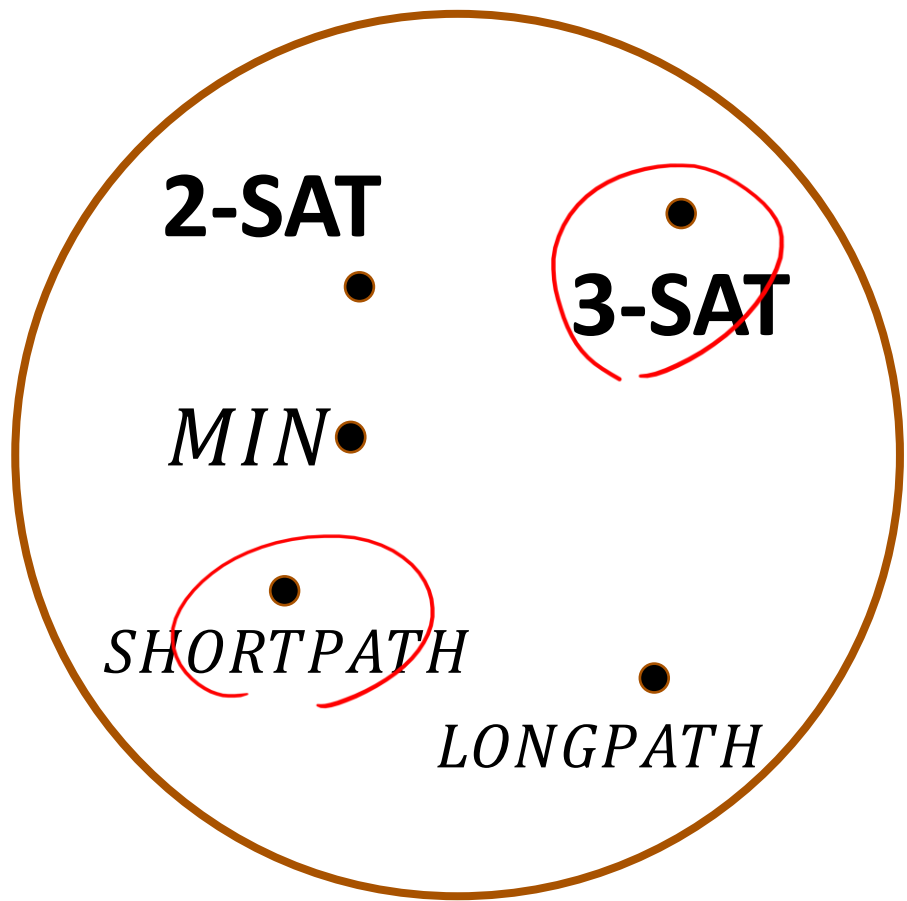
Yes: $P \subsetneq NP$

There are some problems where it is hard to find a solution, but if given an answer it is easy to check it.

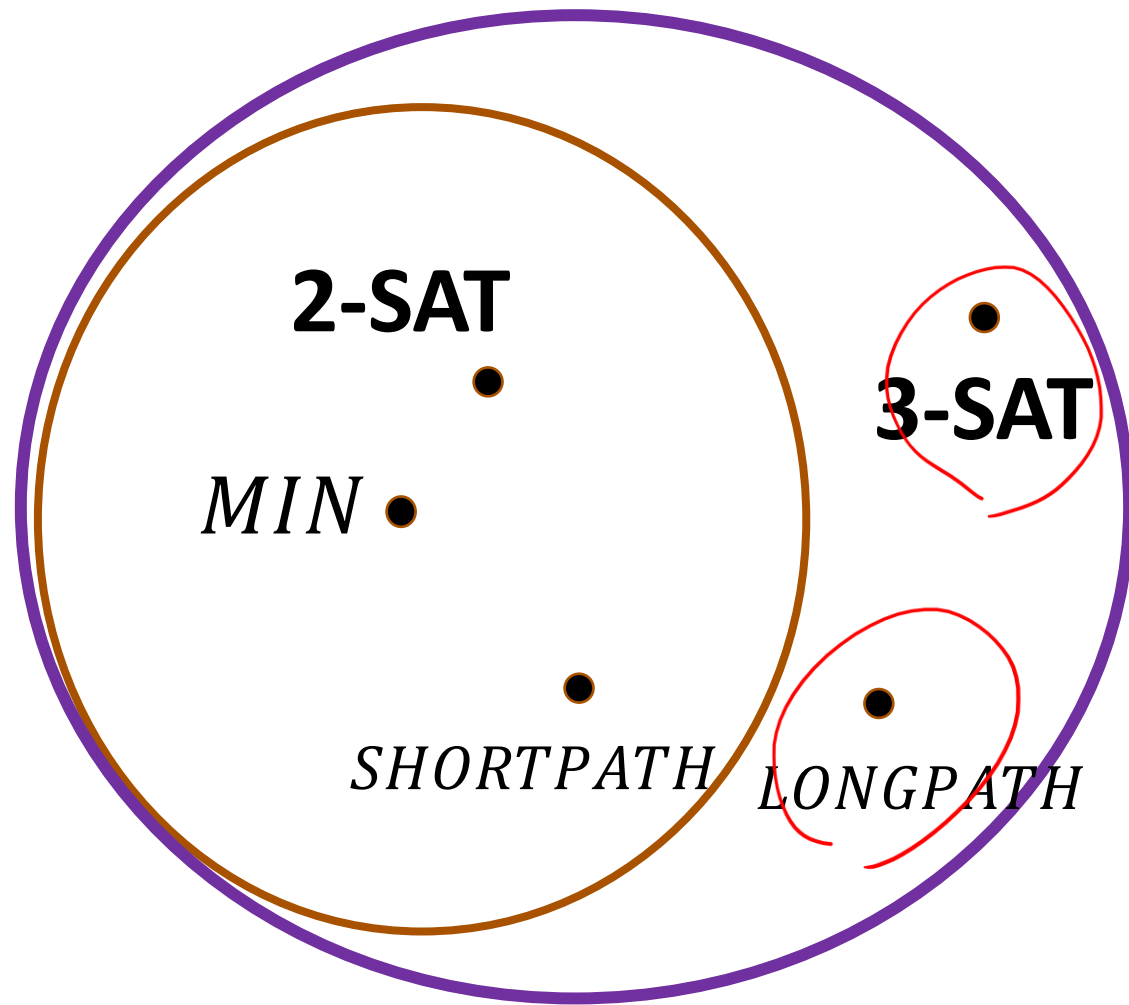
No: $P = NP$

If it is easy to check if a solution to a problem is correct, it is also easy to find a solution to that problem.

The answer to this question is unknown! This is the most famous open problem in mathematics and computer science.

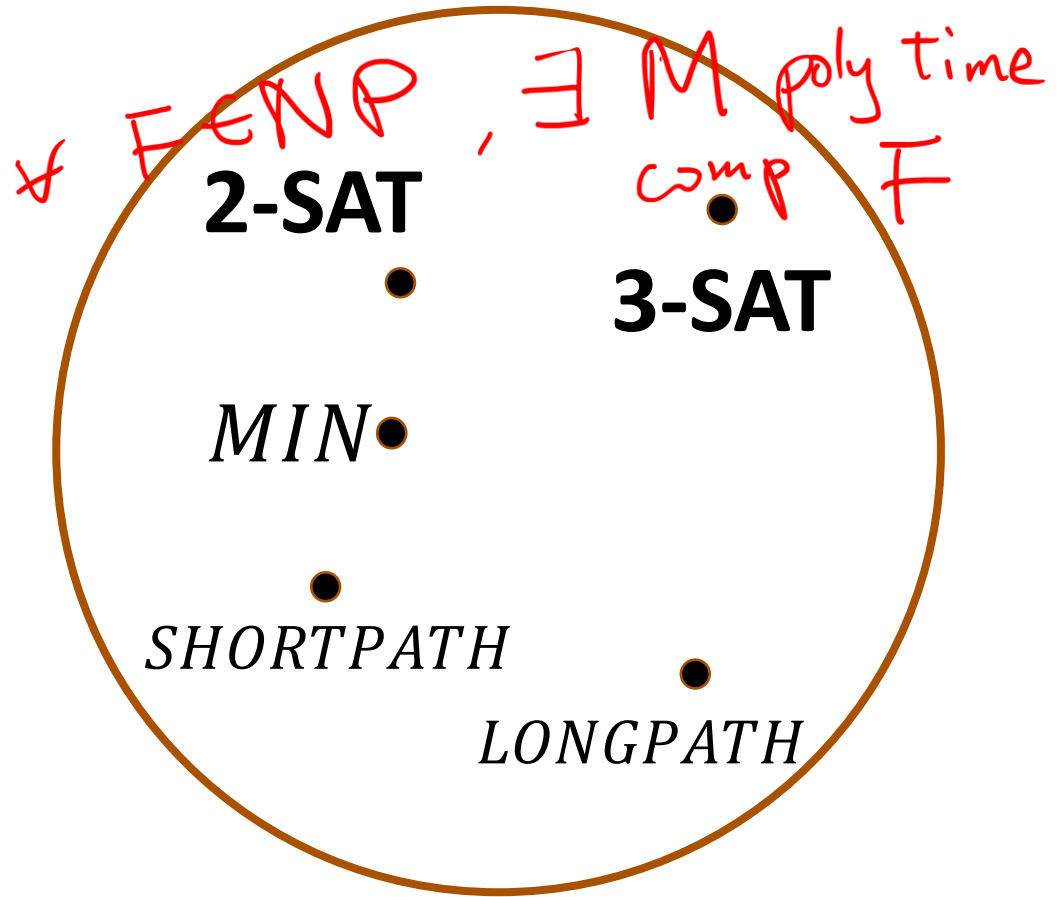


If $P = NP$

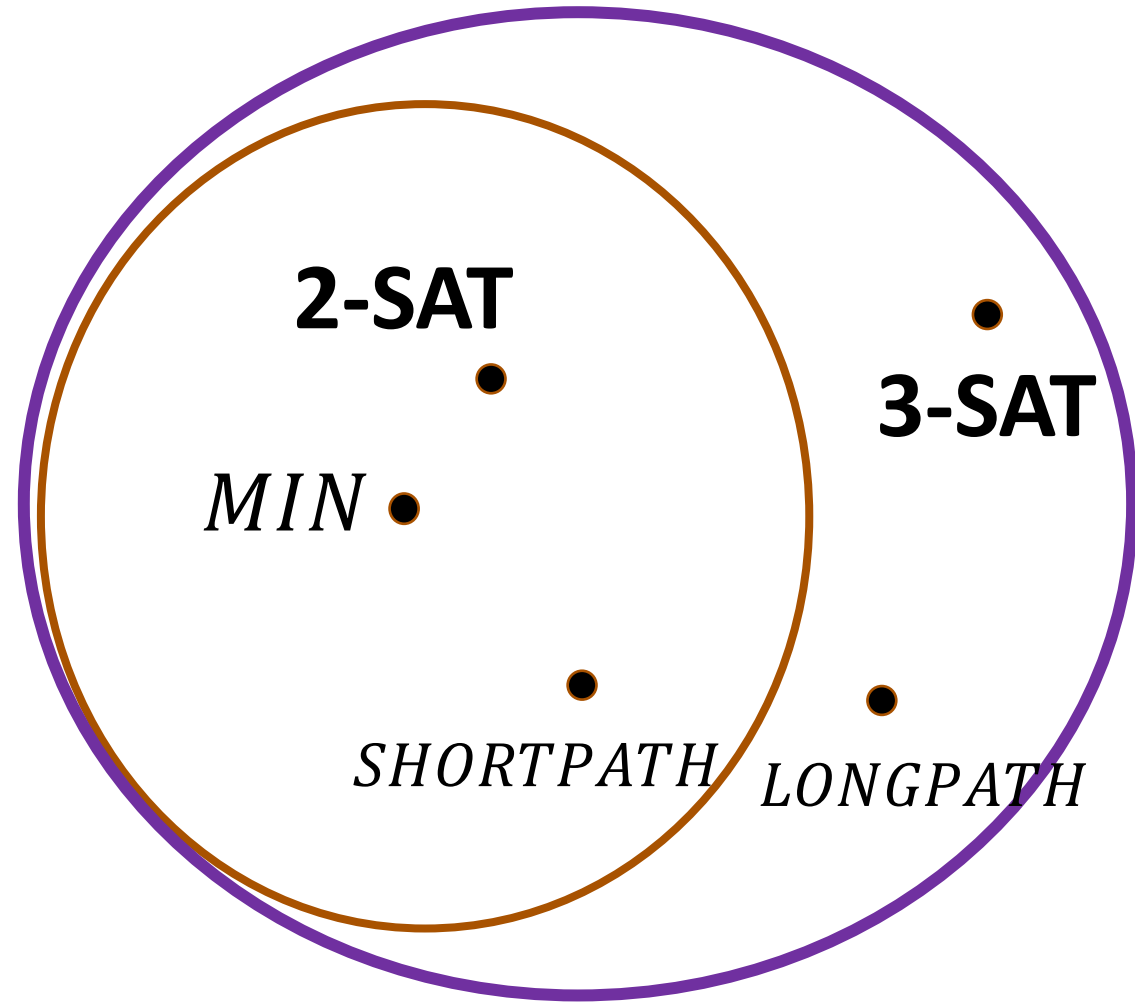


If $P \subsetneq NP$

How could we prove $P = NP$?

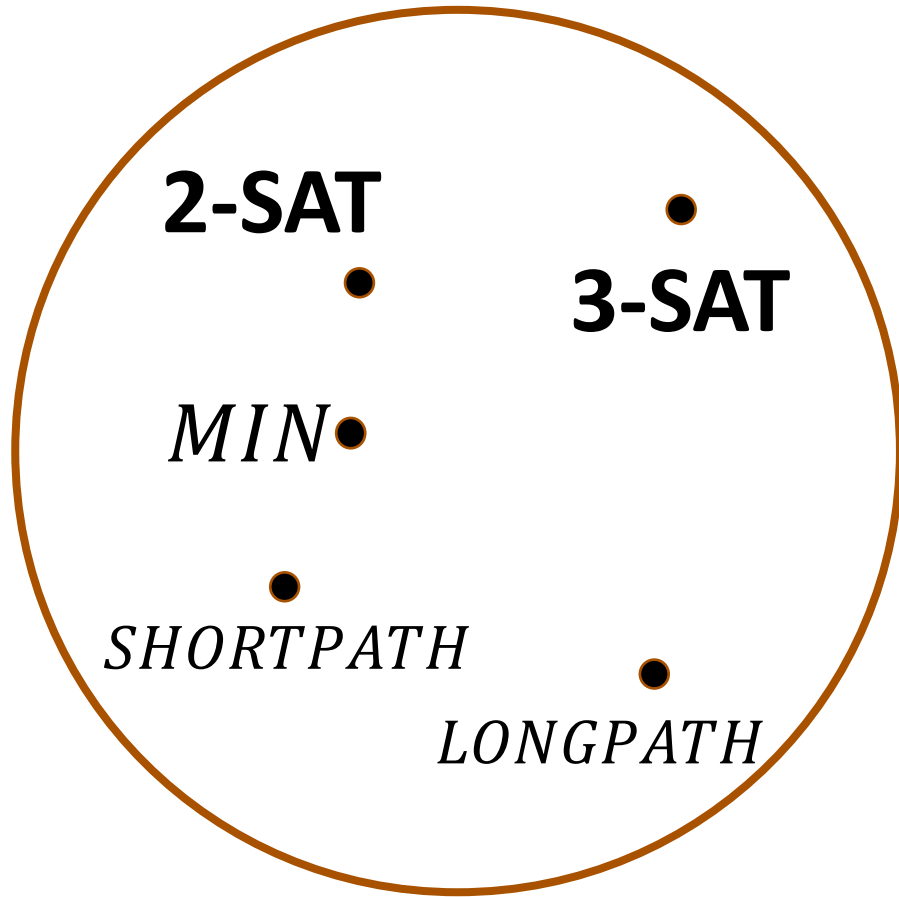


If $P = NP$



If $P \subsetneq NP$

How could we prove $P \subsetneq NP$?



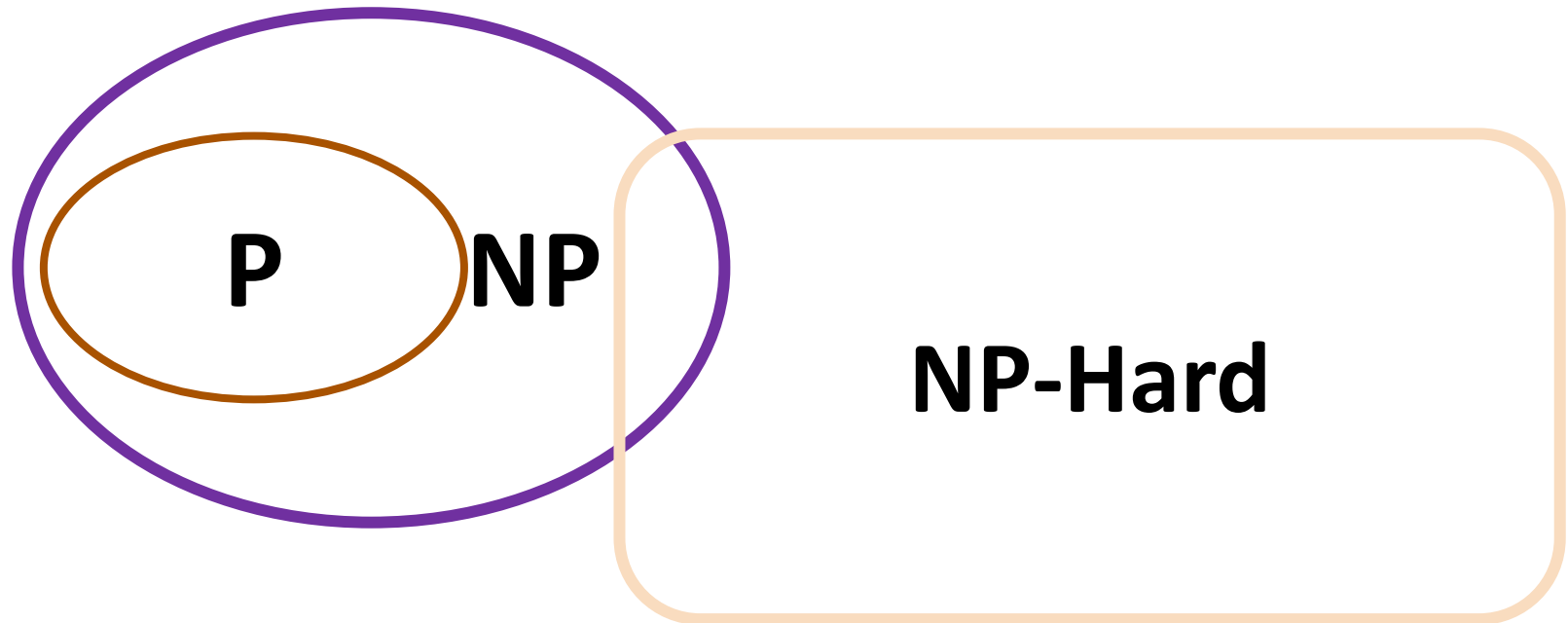
If $P = NP$



If $P \subsetneq NP$

Complexity Class: NP-Hard

Definition: A Boolean function G is **NP-Hard** if every $F \in \mathbf{NP}$ can be reduced to G : $F \leq_P G$.



Cook-Levin Theorem

Definition: A function G is **NP-Hard** if every $F \in \text{NP}$ can be reduced to G : $F \leq_p G$.

Cook-Levin Theorem (Theorem 15.6 in the TCS Book):
For every $F \in \text{NP}$, $F \leq_p$ **3SAT**.

Cook-Levin Theorem

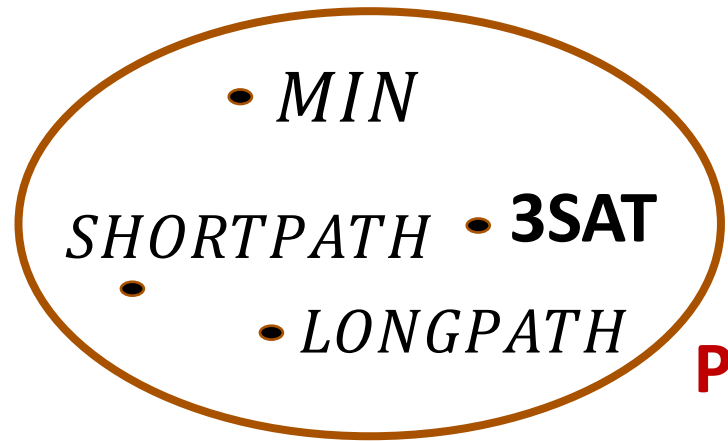
Definition: A function G is **NP-Hard** if every $F \in \mathbf{NP}$ can be reduced to G : $F \leq_p G$.

Cook-Levin Theorem (Theorem 15.6 in the TCS Book):
For every $F \in \mathbf{NP}$, $F \leq_p \mathbf{3SAT}$.

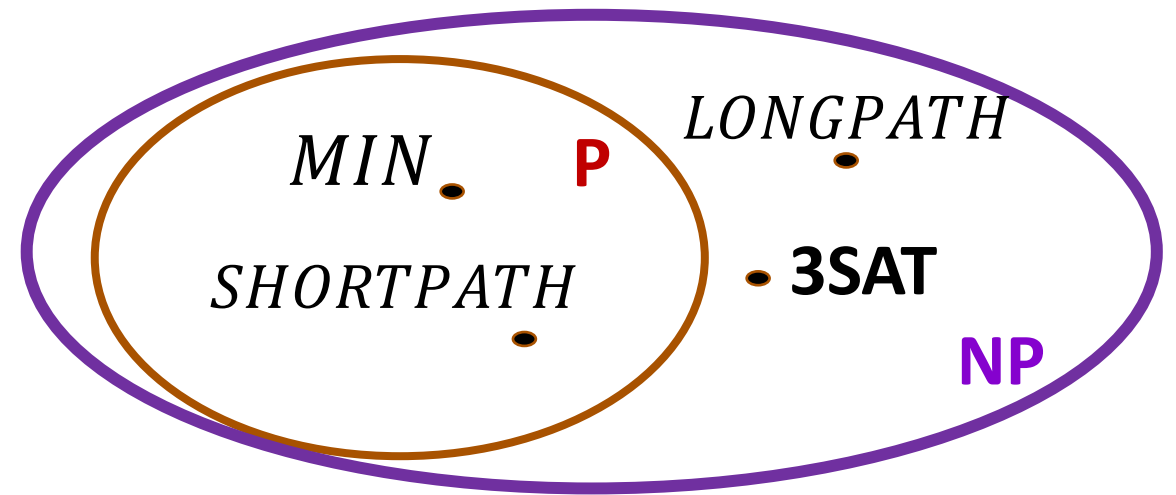
Equivalently: **3SAT** is (in) **NP-Hard**

Making Progress on $P \subseteq NP$

Cook-Levin Theorem (Theorem 15.6 in the TCS Book):
For every $F \in NP$, $F \leq_p 3SAT$.



If $3SAT \in P$



If $3SAT \notin P$

$\Rightarrow P \neq NP$

NP-Complete

Definition: A function G is **NP-Hard** if every $F \in \mathbf{NP}$ can be reduced to G : $F \leq_P G$.

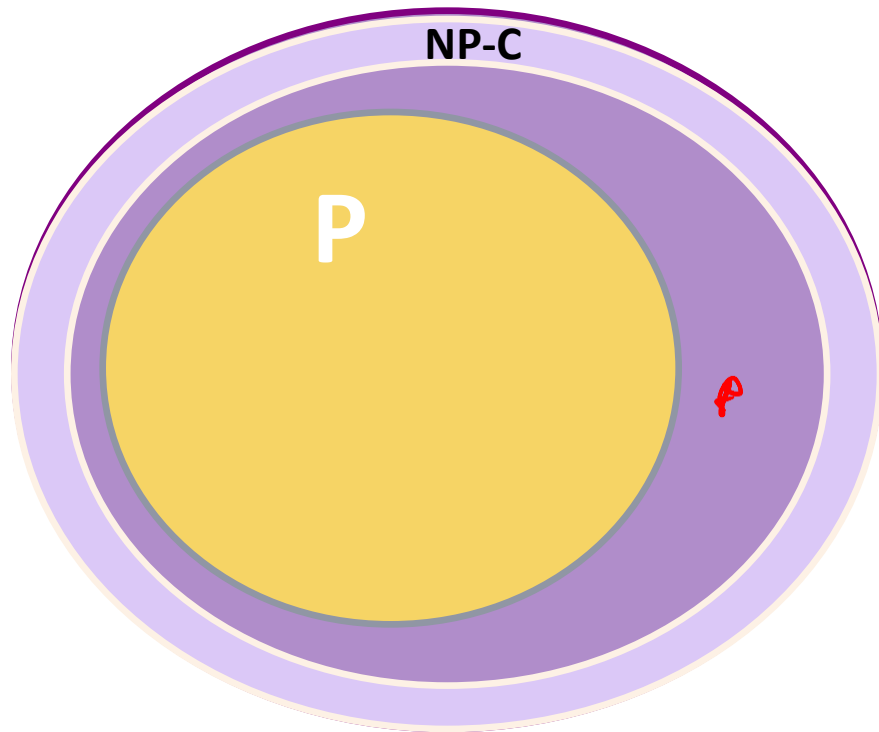
Definition: A function G is **NP-Complete** if $G \in \mathbf{NP}$ and G is **NP-Hard**.

Cook: **3SAT** is **NP-Hard**

\Rightarrow **3SAT** is **NP-Complete**

by **3SAT** $\in \mathbf{NP}$

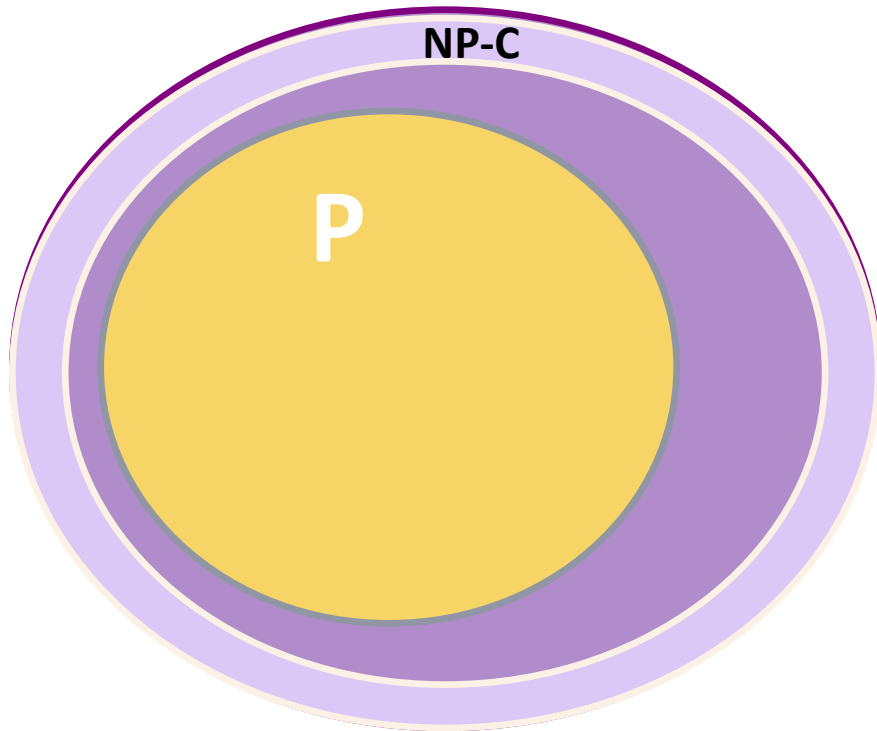
If $P \subsetneq NP$



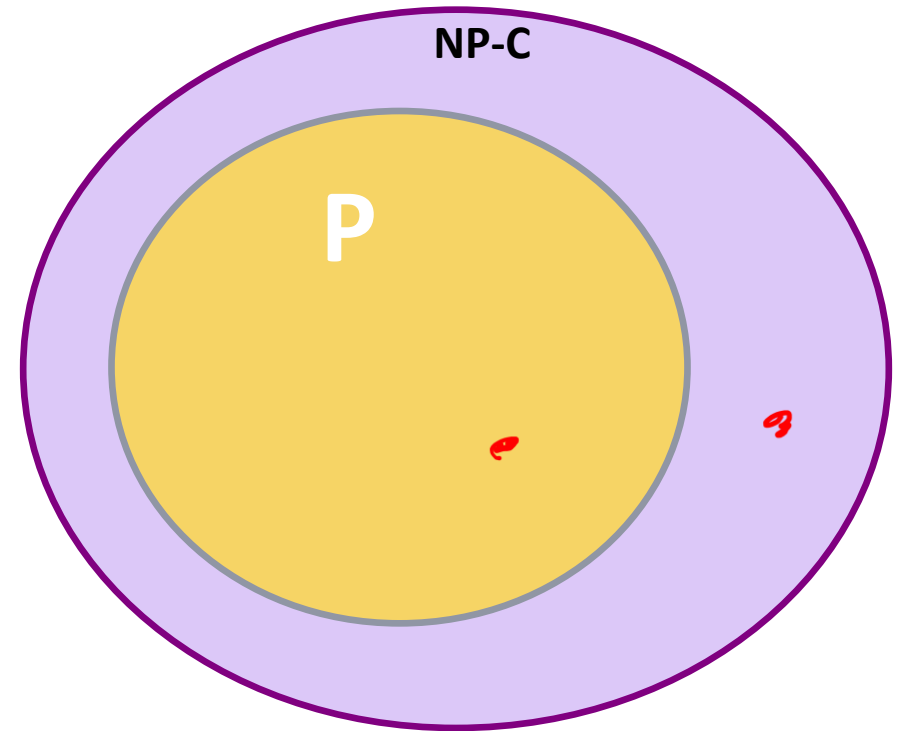
$P \subsetneq NP$,

$NP-C \cup P \subsetneq NP$

If $P \subsetneq NP$



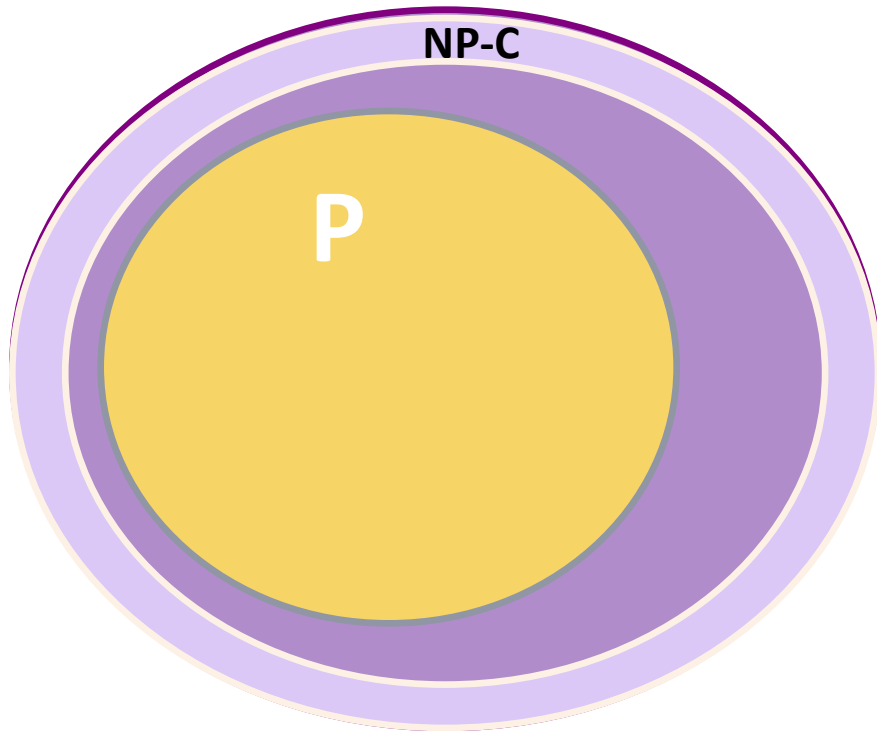
$P \subsetneq NP$,
 $NP-C \cup P \subsetneq NP$



Another possibility?

$P \subsetneq NP$, $NP-C \cup P = NP$

If $P \subsetneq NP$



$P \subsetneq NP$,
 $NP-C \cup P \subsetneq NP$

Ladner's Theorem disallows
this possibility:
 $P \subsetneq NP$ implies there are
problems in NP that are not in
either P or NP-C

Another possibility?

$P \subsetneq NP$, $NP-C \cup P = NP$

PRR12

Watch video: <https://www.youtube.com/watch?v=dJUEkxyIBw>

Q1.5

2 Points

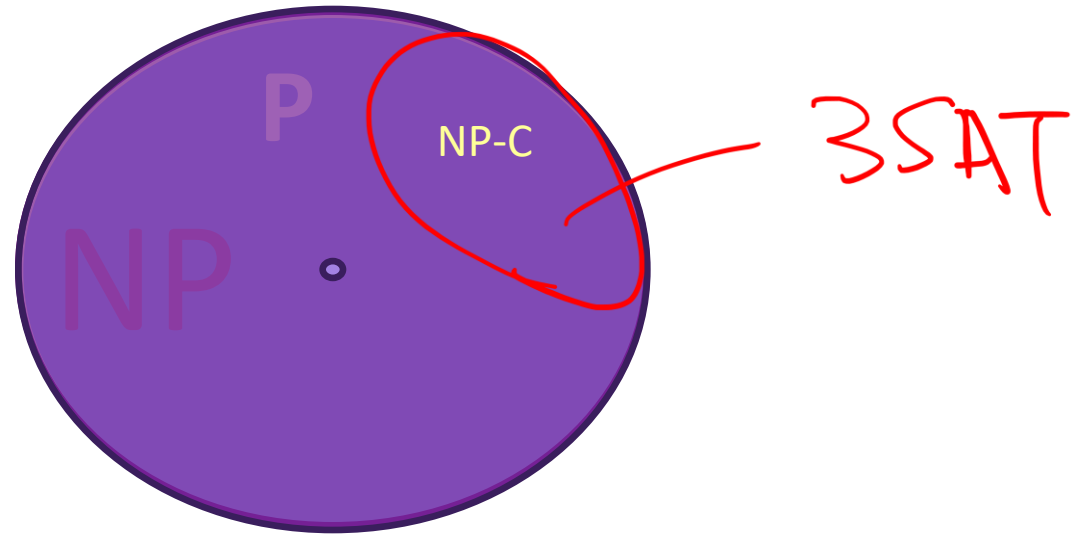
"Jeff Westbrook is saying: P and NP are fundamentally different, and they are in separate folders, and you have to keep them in separate folders"

- ☐ Agree (two separate folders)
- ☐ Disagree (one folder)
- ☐ Disagree (three folders)
- ☒ We don't know / other

$[P] [NP] = NPVP$

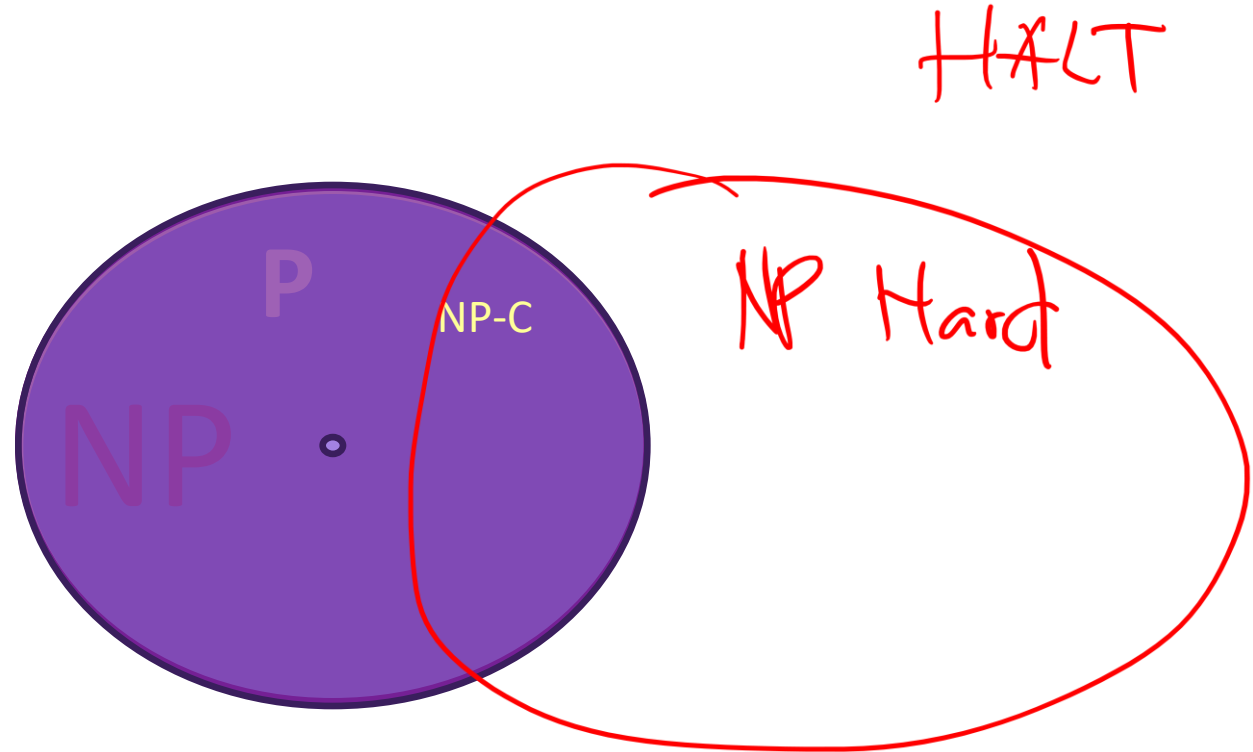
P, NP-Complete, and there are “neither” problems by Ladner’s Thm

If $P = NP$



Option 2: $P = NP \approx NP\text{-Complete}$

If $P = NP$



Option 2: $P = NP \approx NP\text{-Complete}$

NP-Hard = All Non-Constant Functions: $\{0, 1\}^* \rightarrow \{0, 1\}$

Wrong! There are many functions not in P

Alternate Definition: Nondeterministic Turing Machines

Standard TM Definition

A *Turing Machine*, is defined by (Σ, k, δ) :

$k \in \mathbb{N}$: a finite number of states

Σ : alphabet – finite set of symbols

$$\Sigma \supseteq \{0, 1, \triangleright, \emptyset\}$$

δ : transition function

$$\delta: [k] \times \Sigma \rightarrow [k] \times \Sigma \times \{\mathbf{L}, \mathbf{R}, \mathbf{S}, \mathbf{H}\}$$

*How should we define a **Nondeterministic Turing Machine**?*

Nondeterministic TM

A **Nondeterministic** Turing Machine, is defined by (Σ, k, δ) :

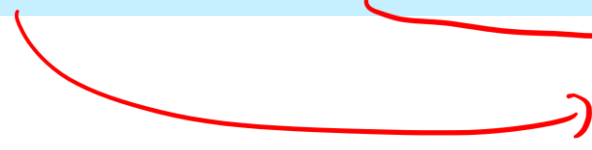
$k \in \mathbb{N}$: a finite number of states

Σ : alphabet – finite set of symbols

$$\Sigma \supseteq \{0, 1, \triangleright, \emptyset\}$$

δ : transition function

$$\delta: [k] \times \Sigma \rightarrow \text{Pow}([k] \times \Sigma \times \{\mathbf{L}, \mathbf{R}, \mathbf{S}, \mathbf{H}\})$$

 many stats / symbol / dir

Definition. The **output** of the execution of a TM, $M = (\Sigma, k, \delta)$ is the result of this process:

1. Initialize $T[i] = \emptyset$ for all $i \in \mathbb{Z}$.
2. Initialize two natural number variables, $i = 0, s = 0$.
3. **repeat**
 1. $(s', \sigma', D) = \delta(s, T[i])$
 2. $s := s', T[i] := \sigma'$
 3. if $D = \mathbf{R}$: $i := i + 1$
if $D = \mathbf{L}$: $i := i - 1$
if $D = \mathbf{H}$: **break**
4. If the process finishes (the repeat breaks), the result of this process is $M(\cdot) = T[1], \dots, T[m_r]$ where m_r is the smallest integer such that $\forall z > m_r. T[z] = \emptyset$.
Otherwise, $M(\cdot) = \perp$.

*How should we define a **Nondeterministic Turing Machine** execution?*

Nondeterministic TM Execution

Definition. The **output** of the execution of a **TM**, $M = (\Sigma, k, \delta)$ is the result of this process:

1. Initialize $T[i] = \emptyset$ for all $i \in \mathbb{Z}$.
2. Initialize configurations, $Z = \{(T, i = 0, s = 0)\}$
3. **repeat**

$Z' = \{\}$

foreach $(T, i, s) \in Z$:

foreach $(s', \sigma', D) \in \delta(s, T[i])$

2. $T' = T, T'[i] := \sigma'$

3. if $D = \mathbf{R}$: $i' := i + 1$

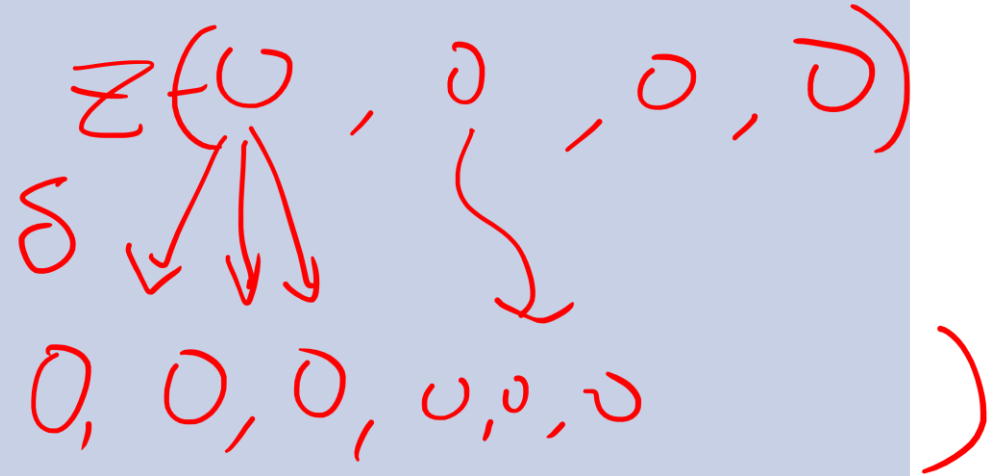
if $D = \mathbf{L}$: $i' := \max\{i - 1, 0\}$

if $D = \mathbf{H}$: **break** (outer loop)

$Z' = Z' \cup \{(T', i', s')\}$

$Z = Z'$

4. If the process finishes (the repeat breaks), the result of this process is $M(\cdot) = T'[1], \dots, T'[m_r]$ where m_r is the smallest integer such that $\forall z > m_r. T'[z] = \emptyset$. Otherwise, $M(\cdot) = \perp$.



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 - if $D = \mathbf{L}$: $i' := \max\{i - 1, 0\}$
 - if $D = \mathbf{H}$: **break** (outer loop)

There are lots of other (better) ways to define the output of a nondeterministic TM, such as if any execution halts and outputs “1” the output is “1”.

4. If the process finishes (the repeat breaks), the result of this process is $M(\cdot) = T'[1], \dots, T'[m_r]$ where m_r is the smallest integer such that $\forall z > m_r. T'[z] = \emptyset$. Otherwise, $M(\cdot) = \perp$.

Alternative definition:

A function $F: \{0, 1\}^* \rightarrow \{0, 1\}$ is in **NP** if there exists a non-deterministic Turing machine M and some constant $a \in \mathbb{N}^+$ such that $M(x)$ computes $F(x)$ in $\text{NTIME}(n^a)$ for all n -bit input x .

NTIME: number of transitions from the initial to the halting state.

Equivalent to:

A function $F: \{0, 1\}^* \rightarrow \{0, 1\}$ is in **NP** if there exists some $a \in \mathbb{N}^+$ and $V: \{0, 1\}^* \rightarrow \{0, 1\}$ such that $V \in \mathbf{P}$ and $\forall x \in \{0, 1\}^n, F(x) = 1 \leftrightarrow \exists w \in \{0, 1\}^{n^a}$ such that $V(x, w) = 1$.

Charge

Time complexity

Class **NP**

NP-Complete

Next time:

Proof of Cook-Levin Theorem

PS10 due this Friday, Apr 25