

# NP Completeness and Cook-Levin Theorem

Lecture 22

April 17, 2013

# 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.

**Question:** What is an algorithm? Depends on the model of computation!

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Formally speaking our model of computation is Turing Machines.

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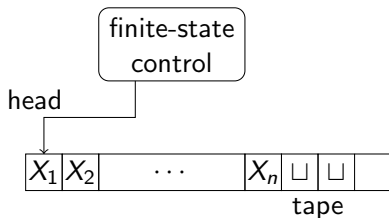
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# Turing Machines: Recap



- 1 Infinite tape.
- 2 Finite state control.
- 3 Input at beginning of tape.
- 4 Special tape letter "blank"  $\square$ .
- 5 Head can move only one cell to left or right.

# Turing Machines: Formally

A **TM**  $M = (Q, \Sigma, \Gamma, \delta, q_0, q_{\text{accept}}, q_{\text{reject}})$ :

- 1  $Q$  is set of states in finite control
- 2  $q_0$  start state,  $q_{\text{accept}}$  is accept state,  $q_{\text{reject}}$  is reject state
- 3  $\Sigma$  is input alphabet,  $\Gamma$  is tape alphabet (includes  $\sqcup$ )
- 4  $\delta : Q \times \Gamma \rightarrow \{L, R\} \times \Gamma \times Q$  is transition function
  - 1  $\delta(q, a) = (q', b, L)$  means that  $M$  in state  $q$  and head seeing  $a$  on tape will move to state  $q'$  while replacing  $a$  on tape with  $b$  and head moves left.

$L(M)$ : language accepted by  $M$  is set of all input strings  $s$  on which  $M$  accepts; that is:

- 1 **TM** is started in state  $q_0$ .
- 2 Initially, the tape head is located at the first cell.
- 3 The tape contain  $s$  on the tape followed by blanks.
- 4 The **TM** halts in the state  $q_{\text{accept}}$ .



## Definition

**M** is a polynomial time **TM** if there is some polynomial  $p(\cdot)$  such that on all inputs  $w$ , **M** halts in  $p(|w|)$  steps.

## Definition

**L** is a language in **P** iff there is a polynomial time **TM** **M** such that  $L = L(M)$ .

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$L$  is an **NP** language iff there is a *non-deterministic* polynomial time **TM**  $M$  such that  $L = L(M)$ .

**Non-deterministic TM**: each step has a choice of moves

- 1  $\delta : Q \times \Gamma \rightarrow \mathcal{P}(Q \times \Gamma \times \{L, R\})$ .
  - 1 Example:  $\delta(q, a) = \{(q_1, b, L), (q_2, c, R), (q_3, a, R)\}$  means that  $M$  can non-deterministically choose one of the three possible moves from  $(q, a)$ .
- 2  $L(M)$ : set of all strings  $s$  on which there *exists* some sequence of valid choices at each step that lead from  $q_0$  to  $q_{\text{accept}}$

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# Non-deterministic TMs vs certifiers

Two definition of **NP**:

- 1 **L** is in **NP** iff **L** has a polynomial time certifier  $\mathbf{C}(\cdot, \cdot)$ .
- 2 **L** is in **NP** iff **L** is decided by a non-deterministic polynomial time **TM M**.

## Claim

*Two definitions are equivalent.*

Why?

Informal proof idea: the certificate **t** for **C** corresponds to non-deterministic choices of **M** and vice-versa.

In other words **L** is in **NP** iff **L** is accepted by a **NTM** which first guesses a proof **t** of length poly in input  $|s|$  and then acts as a *deterministic TM*.

# Non-determinism, guessing and verification

- 1 A non-deterministic machine has choices at each step and accepts a string if there *exists* a set of choices which lead to a final state.
- 2 Equivalently the choices can be thought of as *guessing* a solution and then *verifying* that solution. In this view all the choices are made a priori and hence the verification can be deterministic. The “guess” is the “proof” and the “verifier” is the “certifier” .
- 3 We reemphasize the asymmetry inherent in the definition of non-determinism. Strings in the language can be easily verified. No easy way to verify that a string is not in the language.

# Algorithms: TMs vs RAM Model

Why do we use TMs some times and RAM Model other times?

- 1 TMs are very simple: no complicated instruction set, no jumps/pointers, no explicit loops etc.
  - 1 Simplicity is useful in proofs.
  - 2 The “right” formal bare-bones model when dealing with subtleties.
- 2 RAM model is a closer approximation to the running time/space usage of realistic computers for reasonable problem sizes
  - 1 Not appropriate for certain kinds of formal proofs when algorithms can take super-polynomial time and space

# “Hardest” Problems

## Question

What is the hardest problem in **NP**? How do we define it?

## Towards a definition

- 1 Hardest problem must be in **NP**.
- 2 Hardest problem must be at least as “difficult” as every other problem in **NP**.

# NP-Complete Problems

## Definition

A problem  $X$  is said to be **NP-Complete** if

- 1  $X \in \text{NP}$ , and
- 2 (**Hardness**) For any  $Y \in \text{NP}$ ,  $Y \leq_P X$ .



# Solving **NP-Complete** Problems

## Proposition

Suppose **X** is **NP-Complete**. Then **X** can be solved in polynomial time if and only if **P = NP**.

## Proof.

⇒ Suppose **X** can be solved in polynomial time

- ① Let **Y** ∈ **NP**. We know **Y** ≤<sub>P</sub> **X**.
- ② We showed that if **Y** ≤<sub>P</sub> **X** and **X** can be solved in polynomial time, then **Y** can be solved in polynomial time.
- ③ Thus, every problem **Y** ∈ **NP** is such that **Y** ∈ **P**; **NP** ⊆ **P**.
- ④ Since **P** ⊆ **NP**, we have **P = NP**.

⇐ Since **P = NP**, and **X** ∈ **NP**, we have a polynomial time algorithm for **X**. □

# NP-Hard Problems

## Definition

A problem  $X$  is said to be **NP-Hard** if

- 1 (Hardness) For any  $Y \in \text{NP}$ , we have that  $Y \leq_P X$ .

An **NP-Hard** problem need not be in **NP**!

**Example:** Halting problem is **NP-Hard** (why?) but not **NP-Complete**.

# Consequences of proving **NP-Completeness**

If **X** is **NP-Complete**

- 1 Since we believe  $P \neq NP$ ,
- 2 and solving **X** implies  $P = NP$ .

**X** is **unlikely** to be efficiently solvable.

At the very least, many smart people before you have failed to find an efficient algorithm for **X**.

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# NP-Complete Problems

## Question

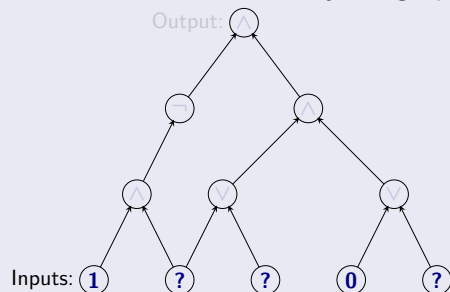
Are there any problems that are **NP-Complete**?

## Answer

Yes! Many, many problems are **NP-Complete**.

## Definition

A circuit is a directed *acyclic* graph with

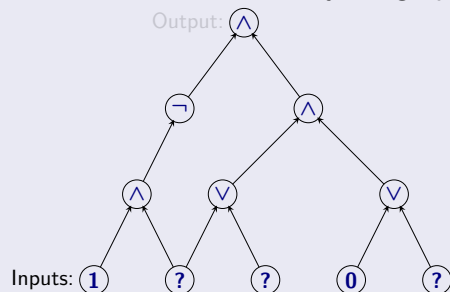


- 1 **Input** vertices (without incoming edges) labelled with **0**, **1** or a distinct variable.
- 2 Every other vertex is labelled  $\vee$ ,  $\wedge$  or  $\neg$ .
- 3 Single node **output** vertex with no outgoing edges.



## Definition

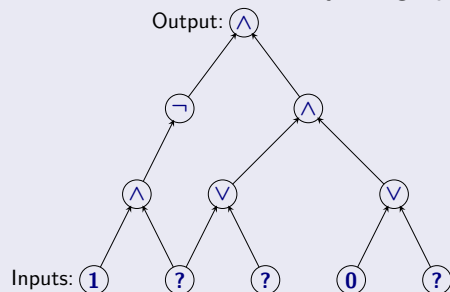
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# Cook-Levin Theorem

## Definition (Circuit Satisfaction (**CSAT**).)

Given a circuit as input, is there an assignment to the input variables that causes the output to get value **1**?

## Theorem (Cook-Levin)

**CSAT** is **NP-Complete**.

Need to show

- 1 **CSAT** is in **NP**.
- 2 every **NP** problem **X** reduces to **CSAT**.

# CSAT: Circuit Satisfaction

## Claim

**CSAT** is in **NP**.

- 1 **Certificate:** Assignment to input variables.
- 2 **Certifier:** Evaluate the value of each gate in a topological sort of DAG and check the output gate value.

# CSAT: Circuit Satisfaction

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# CSAT is NP-hard: Idea

Need to show that every NP problem  $X$  reduces to CSAT.

What does it mean that  $X \in \text{NP}$ ?

$X \in \text{NP}$  implies that there are polynomials  $p()$  and  $q()$  and certifier/verifier program  $C$  such that for every string  $s$  the following is true:

- 1 If  $s$  is a YES instance ( $s \in X$ ) then there is a *proof*  $t$  of length  $p(|s|)$  such that  $C(s, t)$  says YES.
- 2 If  $s$  is a NO instance ( $s \notin X$ ) then for every string  $t$  of length at  $p(|s|)$ ,  $C(s, t)$  says NO.
- 3  $C(s, t)$  runs in time  $q(|s| + |t|)$  time (hence polynomial time).

# Reducing **X** to **CSAT**

**X** is in **NP** means we have access to  $\mathbf{p}()$ ,  $\mathbf{q}()$ ,  $\mathbf{C}(\cdot, \cdot)$ .

What is  $\mathbf{C}(\cdot, \cdot)$ ? It is a program or equivalently a Turing Machine!

How are  $\mathbf{p}()$  and  $\mathbf{q}()$  given? As numbers.

Example: if **3** is given then  $\mathbf{p}(\mathbf{n}) = \mathbf{n}^3$ .

Thus an **NP** problem is essentially a three tuple  $\langle \mathbf{p}, \mathbf{q}, \mathbf{C} \rangle$  where  $\mathbf{C}$  is either a program or a **TM**.

# Reducing $X$ to $CSAT$

Thus an  $NP$  problem is essentially a three tuple  $\langle p, q, C \rangle$  where  $C$  is either a program or  $TM$ .

**Problem  $X$ :** Given string  $s$ , is  $s \in X$ ?

Same as the following: is there a proof  $t$  of length  $p(|s|)$  such that  $C(s, t)$  says YES.

How do we reduce  $X$  to  $CSAT$ ? Need an algorithm  $\mathcal{A}$  that

- 1 takes  $s$  (and  $\langle p, q, C \rangle$ ) and creates a circuit  $G$  in polynomial time in  $|s|$  (note that  $\langle p, q, C \rangle$  are fixed).
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**Problem X:** Given string **s**, is  $\mathbf{s} \in \mathbf{X}$ ?

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**Simple but Big Idea:** Programs are essentially the same as Circuits!

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# Example: Independent Set

- 1 **Problem:** Does  $G = (V, E)$  have an **Independent Set** of size  $\geq k$ ?
  - 1 **Certificate:** Set  $S \subseteq V$ .
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① Input:

$\langle n, y_{1,1}, y_{1,2}, \dots, y_{1,n}, y_{2,1}, \dots, y_{2,n}, \dots, y_{n,1}, \dots, y_{n,n}, k \rangle$   
encodes  $\langle G, k \rangle$ .

①  $n$  is number of vertices in  $G$

②  $y_{i,j}$  is a bit which is **1** if edge  $(i, j)$  is in  $G$  and **0** otherwise  
(adjacency matrix representation)

③  $k$  is size of independent set.

② Certificate:  $\mathbf{t} = t_1 t_2 \dots t_n$ . Interpretation is that  $t_i$  is **1** if vertex  $i$  is in the independent set, **0** otherwise.

# Certifier for **Independent Set**

Certifier **C(s, t)** for **Independent Set**:

```
if ( $t_1 + t_2 + \dots + t_n < k$ ) then
    return NO
else
    for each (i, j) do
        if ( $t_i \wedge t_j \wedge y_{i,j}$ ) then
            return NO

return YES
```

# Example: Independent Set

A certifier circuit for Independent Set

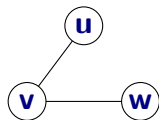
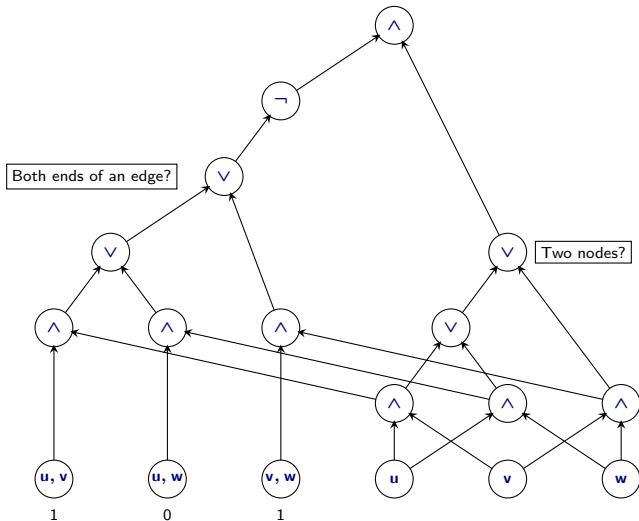


Figure: Graph  $G$  with  $k = 2$



# Programs, Turing Machines and Circuits

Consider “program” **A** that takes  $f(|s|)$  steps on input string **s**.

**Question:** What computer is the program running on and what does *step* mean?

Real computers difficult to reason with mathematically because

- 1 instruction set is too rich
- 2 pointers and control flow jumps in one step
- 3 assumption that pointer to code fits in one word

## Turing Machines

- 1 simpler model of computation to reason with
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- 3 all moves are *local* (head moves only one cell)

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# Certifiers that at TMs

Assume  $C(\cdot, \cdot)$  is a (deterministic) Turing Machine  $M$

**Problem:** Given  $M$ , input  $s$ ,  $p$ ,  $q$  decide if there is a proof  $t$  of length  $p(|s|)$  such that  $M$  on  $s, t$  will halt in  $q(|s|)$  time and say YES.

There is an algorithm  $\mathcal{A}$  that can reduce above problem to **CSAT** mechanically as follows.

- 1  $\mathcal{A}$  first computes  $p(|s|)$  and  $q(|s|)$ .
- 2 Knows that  $M$  can use at most  $q(|s|)$  memory/tape cells
- 3 Knows that  $M$  can run for at most  $q(|s|)$  time
- 4 Simulates the evolution of the state of  $M$  and memory over time using a big circuit.

# Simulation of Computation via Circuit

- 1 Think of  $M$ 's state at time  $\ell$  as a string  $x^\ell = x_1 x_2 \dots x_k$  where each  $x_i \in \{0, 1, B\} \times Q \cup \{q_{-1}\}$ .
- 2 At time  $0$  the state of  $M$  consists of input string  $s$  a guess  $t$  (unknown variables) of length  $p(|s|)$  and rest  $q(|s|)$  blank symbols.
- 3 At time  $q(|s|)$  we wish to know if  $M$  stops in  $q_{\text{accept}}$  with say all blanks on the tape.
- 4 We write a circuit  $C_\ell$  which captures the transition of  $M$  from time  $\ell$  to time  $\ell + 1$ .
- 5 Composition of the circuits for all times  $0$  to  $q(|s|)$  gives a big (still poly) sized circuit  $C$
- 6 The final output of  $C$  should be true if and only if the entire state of  $M$  at the end leads to an accept state.

# NP-Hardness of Circuit Satisfaction

Key Ideas in reduction:

- 1 Use **TM**s as the code for certifier for simplicity
- 2 Since **p()** and **q()** are known to  $\mathcal{A}$ , it can set up all required memory and time steps in advance
- 3 Simulate computation of the **TM** from one time to the next as a circuit that only looks at three adjacent cells at a time

Note: Above reduction can be done to **SAT** as well. Reduction to **SAT** was the original proof of Steve Cook.

# NP-Hardness of Circuit Satisfaction

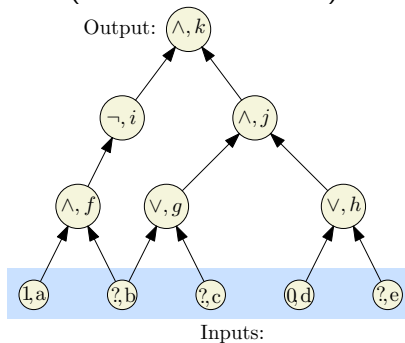
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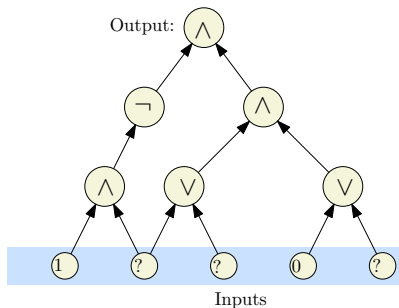
# SAT is NP-Complete

- 1 We have seen that **SAT**  $\in$  **NP**
- 2 To show **NP-Hardness**, we will reduce Circuit Satisfiability (**CSAT**) to **SAT**  
Instance of **CSAT** (we label each node):

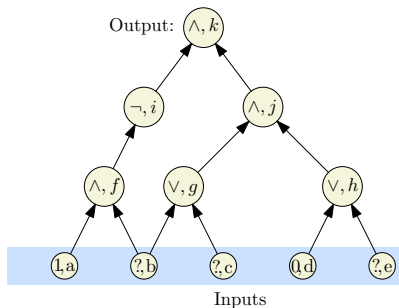


# Converting a circuit into a CNF formula

Label the nodes



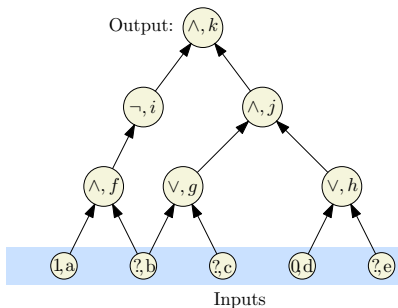
(A) Input circuit



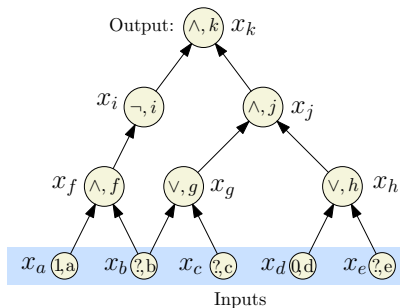
(B) Label the nodes.

# Converting a circuit into a CNF formula

Introduce a variable for each node



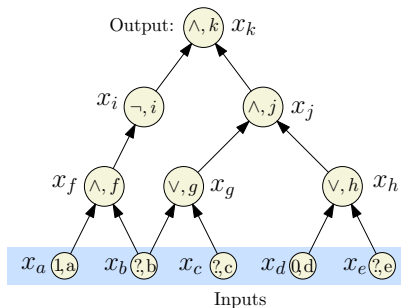
(B) Label the nodes.



(C) Introduce var for each node.

# Converting a circuit into a CNF formula

Write a sub-formula for each variable that is true if the var is computed correctly.



(C) Introduce var for each node.

$x_k$  (Demand a sat' assignment!)

$$x_k = x_i \wedge x_j$$

$$x_j = x_g \wedge x_h$$

$$x_i = \neg x_f$$

$$x_h = x_d \vee x_e$$

$$x_g = x_b \vee x_c$$

$$x_f = x_a \wedge x_b$$

$$x_d = 0$$

$$x_a = 1$$

(D) Write a sub-formula for each variable that is true if the var is computed correctly.



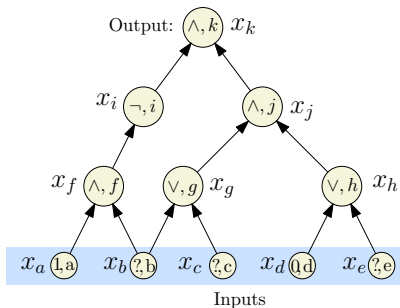
# Converting a circuit into a CNF formula

Convert each sub-formula to an equivalent CNF formula

$x_k$	$x_k$
$x_k = x_i \wedge x_j$	$(\neg x_k \vee x_i) \wedge (\neg x_k \vee x_j) \wedge (x_k \vee \neg x_i \vee \neg x_j)$
$x_j = x_g \wedge x_h$	$(\neg x_j \vee x_g) \wedge (\neg x_j \vee x_h) \wedge (x_j \vee \neg x_g \vee \neg x_h)$
$x_i = \neg x_f$	$(x_i \vee x_f) \wedge (\neg x_i \vee \neg x_f)$
$x_h = x_d \vee x_e$	$(x_h \vee \neg x_d) \wedge (x_h \vee \neg x_e) \wedge (\neg x_h \vee x_d \vee x_e)$
$x_g = x_b \vee x_c$	$(x_g \vee \neg x_b) \wedge (x_g \vee \neg x_c) \wedge (\neg x_g \vee x_b \vee x_c)$
$x_f = x_a \wedge x_b$	$(\neg x_f \vee x_a) \wedge (\neg x_f \vee x_b) \wedge (x_f \vee \neg x_a \vee \neg x_b)$
$x_d = 0$	$\neg x_d$
$x_a = 1$	$x_a$

# Converting a circuit into a CNF formula

Take the conjunction of all the CNF sub-formulas



$$\begin{aligned} & x_k \wedge (\neg x_k \vee x_i) \wedge (\neg x_k \vee x_j) \\ & \wedge (x_k \vee \neg x_i \vee \neg x_j) \wedge (\neg x_j \vee x_g) \\ & \wedge (\neg x_j \vee x_h) \wedge (x_j \vee \neg x_g \vee \neg x_h) \\ & \wedge (x_i \vee x_f) \wedge (\neg x_i \vee x_f) \\ & \wedge (x_h \vee \neg x_d) \wedge (x_h \vee \neg x_e) \\ & \wedge (\neg x_h \vee x_d \vee x_e) \wedge (x_g \vee \neg x_b) \\ & \wedge (x_g \vee \neg x_c) \wedge (\neg x_g \vee x_b \vee x_c) \\ & \wedge (\neg x_f \vee x_a) \wedge (\neg x_f \vee x_b) \\ & \wedge (x_f \vee \neg x_a \vee \neg x_b) \wedge (\neg x_d) \wedge x_a \end{aligned}$$

We got a CNF formula that is satisfiable if and only if the original circuit is satisfiable.

# Reduction: $\text{CSAT} \leq_P \text{SAT}$

- 1 For each gate (vertex)  $v$  in the circuit, create a variable  $x_v$
- 2 **Case**  $\neg$ :  $v$  is labeled  $\neg$  and has one incoming edge from  $u$  (so  $x_v = \neg x_u$ ). In **SAT** formula generate, add clauses  $(x_u \vee x_v)$ ,  $(\neg x_u \vee \neg x_v)$ . Observe that

$$x_v = \neg x_u \text{ is true} \iff \begin{array}{l} (x_u \vee x_v) \\ (\neg x_u \vee \neg x_v) \end{array} \text{ both true.}$$

# Reduction: $\text{CSAT} \leq_P \text{SAT}$

Continued...

- ① **Case  $\vee$ :** So  $x_v = x_u \vee x_w$ . In **SAT** formula generated, add clauses  $(x_v \vee \neg x_u)$ ,  $(x_v \vee \neg x_w)$ , and  $(\neg x_v \vee x_u \vee x_w)$ . Again, observe that

$$(x_v = x_u \vee x_w) \text{ is true} \iff \begin{array}{l} (x_v \vee \neg x_u), \\ (x_v \vee \neg x_w), \\ (\neg x_v \vee x_u \vee x_w) \end{array} \text{ all true.}$$

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- ① **Case  $\wedge$ :** So  $x_v = x_u \wedge x_w$ . In **SAT** formula generated, add clauses  $(\neg x_v \vee x_u)$ ,  $(\neg x_v \vee x_w)$ , and  $(x_v \vee \neg x_u \vee \neg x_w)$ . Again observe that

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# Reduction: $\text{CSAT} \leq_P \text{SAT}$

Continued...

- 1 If  $v$  is an input gate with a fixed value then we do the following.  
If  $x_v = 1$  add clause  $x_v$ . If  $x_v = 0$  add clause  $\neg x_v$
- 2 Add the clause  $x_v$  where  $v$  is the variable for the output gate

# Correctness of Reduction

Need to show circuit  $C$  is satisfiable iff  $\varphi_C$  is satisfiable

$\Rightarrow$  Consider a satisfying assignment  $\mathbf{a}$  for  $C$

- 1 Find values of all gates in  $C$  under  $\mathbf{a}$
- 2 Give value of gate  $v$  to variable  $x_v$ ; call this assignment  $\mathbf{a}'$
- 3  $\mathbf{a}'$  satisfies  $\varphi_C$  (exercise)

$\Leftarrow$  Consider a satisfying assignment  $\mathbf{a}$  for  $\varphi_C$

- 1 Let  $\mathbf{a}'$  be the restriction of  $\mathbf{a}$  to only the input variables
- 2 Value of gate  $v$  under  $\mathbf{a}'$  is the same as value of  $x_v$  in  $\mathbf{a}$
- 3 Thus,  $\mathbf{a}'$  satisfies  $C$

## Theorem

**SAT** is **NP-Complete**.

# Proving that a problem **X** is **NP-Complete**

To prove **X** is **NP-Complete**, show

- 1 Show **X** is in **NP**.
  - 1 certificate/proof of polynomial size in input
  - 2 polynomial time certifier **C(s, t)**
- 2 Reduction from a known **NP-Complete** problem such as **CSAT** or **SAT** to **X**

$SAT \leq_P X$  implies that every **NP** problem  $Y \leq_P X$ . Why?

Transitivity of reductions:

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