

# Theory of Computation

## Time Complexity

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# Outline

- 1 Measuring Complexity
- 2 The Class  $P$
- 3 The Class  $NP$
- 4  $NP$ -Completeness

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# Measuring Complexity

## Definition 1

Let  $M$  be a deterministic Turing machine that halts on all inputs.

The **running time** or **time complexity** of  $M$  is the function  $f : \mathbb{N} \rightarrow \mathbb{N}$ , where  $f(n)$  is the maximum number of steps that  $M$  uses on any input of length  $n$ .

If  $f(n)$  is the running time of  $M$ , we say that  $M$  runs in time  $f(n)$  and that  $M$  is an  $f(n)$  time Turing machine.

Customarily we use  $n$  to represent the length of the input.

# Big-O and Small-O Notation

## Definition 2

Let  $f$  and  $g$  be functions  $f, g : \mathbb{N} \rightarrow \mathbb{R}^+$ .

Say that  $f(n) = O(g(n))$  if positive integers  $c$  and  $n_0$  exist such that for every integer  $n \geq n_0$ ,

$$f(n) \leq cg(n).$$

When  $f(n) = O(g(n))$ , we say that  $g(n)$  is an **upper bound** for  $f(n)$ , or more precisely, that  $g(n)$  is an **asymptotic upper bound** for  $f(n)$ , to emphasize that we are suppressing constant factors.

# Big-O and Small-O Notation

## Example 3

Let  $f_1(n) = 5n^3 + 2n^2 + 22n + 6$ .

Then, selecting the highest order term  $5n^3$  and disregarding its coefficient 5 gives  $f_1(n) = O(n^3)$ .

- We can verify this is indeed the case (i.e., we satisfy Definition 2) by letting  $c = 6$  and  $n_0 = 10$ .  
Then,  $5n^3 + 2n^2 + 22n + 6 \leq 6n^3$ , for every  $n \geq 10$ .
- In addition,  $f_1(n) = O(n^4)$  because  $n^4$  is larger than  $n^3$  and so  $n^4$  is still an asymptotic upper bound on  $f_1$ .
- However,  $f_1(n)$  is not  $O(n^2)$ . Regardless of the values we assign to  $c$  and  $n_0$ , Definition 2 can not be satisfied in this case.

# Big-O and Small-O Notation

## Remarks on Big-O:

- For logarithms, we do not care about the base.  $f(n) = O(\log n)$   
Recall:  $\log_b n = \log_2 n / \log_2 b$
- $f(n) = 2^{O(n)}$  implies  $f(n) \leq 2^{c \cdot n}$  for some constant  $c$ .
- $f(n) = 2^{O(\log n)}$  implies  $f(n) \leq 2^{c \cdot \log n}$ ,  
or in other words  $f(n) \leq n^c$  for some constant  $c$ .
- $f(n) = n^{O(1)}$  implies  $f(n) \leq n^c$  for some constant  $c$ .  
So same bound as above; just written differently
- **Polynomial bounds:** Bounds of the form  $n^c$  for  $c > 0$ .
- **Exponential bounds:** Bounds of the form  $2^{(n^\delta)}$  for some  $\delta > 0$ .

# Small-O

## Definition 4

Let  $f$  and  $g$  be functions such that  $f, g : \mathbb{N} \rightarrow \mathbb{R}^+$ . We say that  $f(n) = o(g(n))$  if

$$\lim_{n \rightarrow \infty} \frac{f(n)}{g(n)} = 0.$$

In other words,  $f(n) = o(g(n))$  means that, for any real number  $c > 0$ , a number  $n_0$  exists, where  $f(n) < c \cdot g(n)$  for all  $n \geq n_0$ .

# Small-O

## Example 5

It is easy to check the following:

- 1  $\sqrt{n} = o(n)$ .
- 2  $n = o(n \log \log n)$ .
- 3  $n \log \log n = o(n \log n)$ .
- 4  $n \log n = o(n^2)$ .
- 5  $n^2 = o(n^3)$ .

**However**,  $f(n)$  is never  $o(f(n))$ .

# Analyzing Algorithms

## Definition 6

Let  $t : \mathbb{N} \rightarrow \mathbb{R}^+$  be a function.

Define the **time complexity class**,  $\text{TIME}(t(n))$ , to be the collection of all languages that are decidable by an  $O(t(n))$  time Turing machine.

## Example 7

Consider the language  $A = \{0^k 1^k \mid k \geq 0\}$ .

### One solution:

Scan repeatedly the input string and cross off a 1 (one) for every 0 (zero) read.  $\Rightarrow$

we need  $\frac{n}{2}$  such scans (where  $n$  is the length of the input) and in each scan we move the head above  $n$  cells of the tape.

So, roughly we need to move the tape  $O(n^2)$  times  $\Rightarrow A \in \text{TIME}(n^2)$ .

# Analyzing Algorithms

## Example 7 (cont.)

### Another solution:

Scan repeatedly the input string and cross off half of the zeros and half of the ones that are still “alive”  $\Rightarrow$

Each scan eliminates about half of the “alive” 0s and 1s from the previous scan  $\Rightarrow$

we need roughly  $\log_2 n$  such scans to eliminate all the 0s and 1s, and each scan takes time about  $n$  for moving the head from the leftmost cell to the first blank (end of input)  $\Rightarrow$

So, roughly we need to move the tape  $O(n \log n)$  times  $\Rightarrow A \in \text{TIME}(n \log n)$ .

### Third solution:

Copy the 0s to a second tape and then move both heads (for 0s and 1s) simultaneously so that we can decide the input string  $\Rightarrow$

Need only one pass on the input  $\Rightarrow A$  decided in  $O(n)$  time.

# Analyzing Algorithms

## Interesting observation

Any language decided in  $o(n \log n)$  time on a **single-tape** Turing machine, is **regular**.

Complexity depends of model of computation.

# Complexity Relationships Among Models

## Theorem 8

Let  $t(n)$  be a function, where  $t(n) \geq n$ .

Then every  $t(n)$  time multitape Turing machine has an equivalent  $O(t^2(n))$  time single-tape Turing machine.

## Proof (to be cont.)

Let  $M$  be a  $k$ -tape TM that runs in  $t(n)$  time.

Simulation: Store all  $k$  tapes consecutively in a TM.

- one pass determines the symbols for each head in  $M$ ,
- a second pass updates the contents and moves the simulated heads (we may need to shift everything one cell to the right).

# Complexity Relationships Among Models

## Proof (cont.)

The input length of each tape is at most  $t(n)$ .

$\Rightarrow$  For  $k$  tapes  $\leq k \cdot t(n)$

$\Rightarrow$  One pass in  $S$  may read up to  $O(t(n))$  cells

$\Rightarrow$  Two passes + potentially up to  $k$  shifts of the contents one cell to the right

$\Rightarrow O(t(n)) + O(t(n)) + O(t(n)) = O(t(n))$ .

So overall for  $S$ :

- Initialization:  $O(t(n))$
- Simulation: Up to  $t(n)$  steps and need  $O(t(n))$  time for each step simulated  
 $\Rightarrow O(t^2(n))$  time.



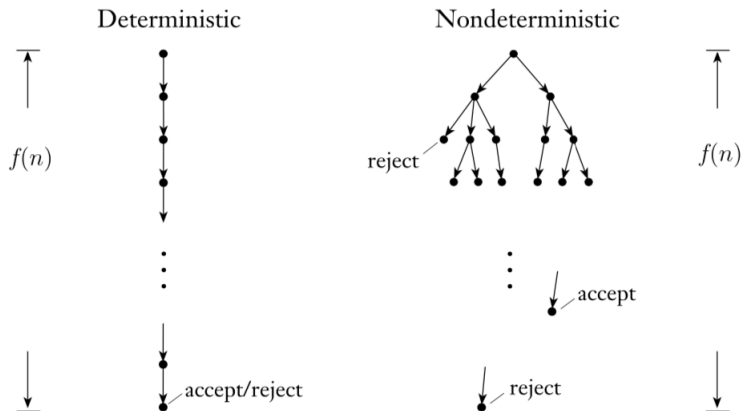
# Nondeterministic time

## Definition 9

Let  $N$  be a nondeterministic Turing machine that is a decider.

The **running time** of  $N$  is the function  $f : \mathbb{N} \rightarrow \mathbb{N}$ , where  $f(n)$  is the maximum number of steps that  $N$  uses on any branch of its computation on any input of length  $n$ .

# Deterministic vs Nondeterministic



Measuring deterministic and nondeterministic time

# Deterministic vs Nondeterministic

## Theorem 10

*Let  $t(n)$  be a function, where  $t(n) \geq n$ . Then every  $t(n)$  time nondeterministic single-tape Turing machine has an equivalent  $2^{O(t(n))}$  time deterministic single-tape Turing machine.*

### Proof.

Construct a deterministic 3-tape TM  $D$  that simulates  $N$  (as in the proof of Theorem 3.16).

On an input of length  $n$ , every branch of  $N$ 's nondeterministic computation tree has length at most  $t(n)$ .

Since every node can have at most  $b$  children  $\Rightarrow \leq b^{t(n)}$  leaves.

$\Rightarrow$  Total number of tree nodes  $\leq 2 \cdot$  maximum number of leaves  $\leq 2 \cdot b^{t(n)}$ .

$\Rightarrow$  Traveling down from root to node: time  $\leq O(t(n))$ .

$\Rightarrow$  Running time for  $D$  is  $O(t(n) \cdot b^{t(n)})$  which is  $O(2^{t(n)} \cdot 2^{\log_2 b \cdot t(n)})$ .

(Also true for single-tape TM in the end...)



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# The Class $P$

## Definition 11

$P$  is the class of languages that are decidable in polynomial time on a deterministic single-tape Turing machine. In other words,

$$P = \cup_k \text{TIME}(n^k).$$

$P$  is important because:

- 1 All reasonable models of computation (models that try to approximate the behavior of actual computers) are polynomially equivalent to a deterministic single-tape TM. So  $P$  is invariant for all such models.
- 2  $P$  roughly corresponds to problems that are realistically solvable on a computer.

# The Class $P$

## Key Observations:

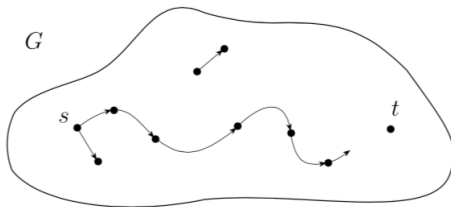
- Composition of polynomials is a polynomial (polynomially many stages of an algorithm, each of which can be done in polynomial time)
- Assume “reasonable” representations, e.g.,
  - numbers such as 9 are not written down in unary as 111111111, but in some base  $\geq 2$ , e.g., in binary 1001 (which takes exponentially less space)
  - graphs: adjacency matrix, or list of nodes and edges  $\Rightarrow$  ok to compute running time in terms of number of nodes  $n$ , since number of edges are at most  $O(n^2)$ .
- In any case, for “reasonable” inputs of length  $n$ , when working in  $P$  we want algorithms that decide the instances of the problem in time  $O(n^k)$ .

# Examples of Problems in $P$

## Theorem 12

$PATH = \{ \langle G, s, t \rangle \mid G \text{ is a directed graph that has a directed path from } s \text{ to } t \}$

$PATH \in P$



The PATH problem: Is there a path from  $s$  to  $t$ ?

# Examples of Problems in P

## Proof (to be cont.)

- Note that enumerating all paths is inefficient  
e.g., if  $G$  has  $m$  nodes, the paths of length  $m - 1$  (w/o repeating nodes)

$$\text{are: } s \times \underbrace{m - 1 \times m - 2 \dots \times 2 \times 1}_{(m-1)! \text{ ways}}$$

Note that  $(m - 1)! = 1 \cdot 2 \cdot 3 \cdot \dots \cdot \lfloor \frac{m-1}{2} \rfloor \cdot \lceil \frac{m-1}{2} \rceil \cdot \dots \cdot (m - 1)$

( $\lfloor \frac{m-1}{2} \rfloor$  and  $\lceil \frac{m-1}{2} \rceil$  are different when  $m$  is even), so:

$$(m - 1)! \geq (m - 1) \cdot (m - 2) \cdot \dots \cdot \lfloor \frac{m-1}{2} \rfloor \cdot 1 \geq (m - 1) \cdot (m - 2) \cdot \dots \cdot \left(\frac{m-1}{2}\right)$$

$$\Rightarrow (m - 1)! \geq \left(\frac{m-1}{2}\right)^{\left(\frac{m-1}{2}\right)}, \text{ so exponential in } m.$$

$$\text{(On another note, for } m \geq 2: m! \geq \underbrace{2 \cdot 2 \cdot 2 \cdot \dots \cdot 2}_{m \text{ times}} = 2^m)$$

- Another approach: Propagate a “label” iteratively, indicating which nodes can be reached from  $s$ . So, in particular do a BFS if you want.

# Examples of Problems in P

## Proof (cont.)

- Another idea is:

$M =$  “On input  $\langle G, s, t \rangle$ , where  $G$  is a directed graph with nodes  $s$  and  $t$ :

- 1 Place a label on node  $s$ .
- 2 Repeat until no additional nodes are labeled:
- 3 Scan all the edges of  $G$ . If an edge  $(a, b)$  is found going from a labeled node  $a$  to an unlabeled node  $b$ , label node  $b$ .
- 4 If  $t$  is labeled, **accept**. Otherwise, **reject**.”

**Time Complexity:** Stages 1 and 4 are executed only once.

Stage 3 runs at most  $m$  times since it introduces one node each time (except the last one).

$\Rightarrow$  total number of stages is at most  $1 + 1 + m = \text{poly}(\langle G, s, t \rangle)$ .

Each stage can also be implemented in polynomial time

$\Rightarrow$  Overall,  $\text{PATH} \in \text{TIME}(\text{poly}(\langle G, s, t \rangle))$ .



## Examples of Problems in $P$

### Theorem 13

$$RELPRIME = \{ \langle x, y \rangle \mid x \text{ and } y \text{ are relatively prime} \} \in P.$$

### Proof (to be cont.)

“Reasonable” encoding of integers  $x$  and  $y$  (say, binary)

$\Rightarrow$  We need  $\begin{cases} \approx \log x \text{ bits to represent } x \\ \approx \log y \text{ bits to represent } y \end{cases}$

- The idea of checking each integer in the range  $\{2, 3, \dots, \min\{x, y\}\}$  and see if it divides both  $x$  and  $y$  and stopping the first time it works, in the worst case may need to check about  $y = \min\{x, y\}$  numbers. But this means we need to check **exponentially many** integers compared to the size of the input (about  $\log x$  bits)  
 $\Rightarrow$  We need a different approach.

# Examples of Problems in $P$

## Proof (cont.)

- Use the Euclidean algorithm.

$E =$  “On input  $\langle x, y \rangle$ , where  $x$  and  $y$  are natural numbers in binary:

- 1 Repeat until  $y = 0$ :
- 2 Assign  $x \leftarrow x \bmod y$ .
- 3 Exchange  $x$  and  $y$ .
- 4 Output  $x$ .”

Solve the problem with the following algorithm:

$R =$  “On input  $\langle x, y \rangle$ , where  $x, y \in \mathbb{N}$ :

- 1 Run  $E$  on  $\langle x, y \rangle$ .
- 2 If the result is 1, **accept**. Otherwise, **reject**.”

**Time complexity:** Stages 2 and 3 in  $E$  are executed  $\approx \log_2 x$  or  $\log_2 y$  times (whichever is smaller).

$\Rightarrow$  That's poly-proportional to the size of input  $\Rightarrow \in P$  □

# Examples of Problems in $P$

Key observation:

- $y \leq \frac{x}{2} \Rightarrow$   
 $\Rightarrow x \bmod y \in \{0, 1, 2, \dots, y - 1\}$   
 $\Rightarrow x \bmod y < y \leq \frac{x}{2}$   
 $\Rightarrow x \leftarrow x \bmod y$   
 drops  $x$  by at least half
- $\frac{x}{2} < y < x \Rightarrow$   
 $\Rightarrow x \bmod y = x - y$   
 $\Rightarrow x \bmod y < \frac{x}{2}$   
 $\Rightarrow x \leftarrow x \bmod y$   
 drops  $x$  by at least half

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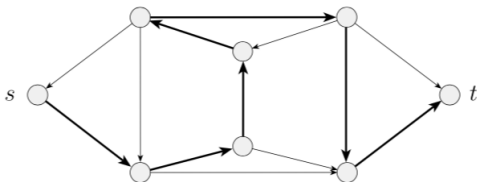
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# Hamiltonian path

## Hamiltonian path

A Hamiltonian path in a directed graph  $G$  is a directed path that goes through each node exactly once.

$\text{HAMPATH} = \{ \langle G, s, t \rangle \mid G \text{ is a directed graph with a Hamiltonian path from } s \text{ to } t \}$ .



A Hamiltonian path goes through every node exactly once

# Hamiltonian path

- easy for an exponential time solution  
⇒ Use PATH algorithm with the additional constraint to check if the path found is Hamiltonian.
- No one knows whether HAMPATH is solvable in polynomial time.
- **However**, HAMPATH has **polynomial verifiability**  
(We can easily, i.e., in polynomial time, convince someone else when HAMPATH has a solution, by simply providing such a solution.)
- Some problems may not be polynomially verifiable; e.g.,  $\overline{\text{HAMPATH}}$ .  
We do not know of a way to convince someone that a graph does not have a Hamiltonian path, other than using the same exponential time algorithm in the first place.

# Class NP

## Definition 14

A **verifier** for a language  $A$  is an algorithm  $V$ , where

$$A = \{w \mid V \text{ accepts } \langle w, c \rangle \text{ for some string } c\}.$$

We measure the time of a verifier only in terms of the length of  $w$ , so a **polynomial time verifier** runs in polynomial time in the length of  $w$ . A language  $A$  is **polynomially verifiable** if it has a polynomial time verifier.

# Class $NP$

## Definition 15

$NP$  is the class of languages that have polynomial time verifiers.

**$NP$**  stands for **nondeterministic polynomial time** and is derived from an alternative characterization by using nondeterministic polynomial time Turing machines.

# Example

## Solve HAMPATH with an NTM

$N_1 =$  “On input  $\langle G, s, t \rangle$ , where  $G$  is a directed graph with nodes  $s$  and  $t$ :

- ① Write a list of  $m$  numbers,  $p_1, \dots, p_m$ , where  $m$  is the number of nodes in  $G$ .  
Each number is nondeterministically selected to be between 1 and  $m$ .
- ② Check for repetitions in the list. If any are found, **reject**.
- ③ Check whether  $s = p_1$  and  $t = p_m$ . If either fail, **reject**.
- ④ For each  $i$  between 1 and  $m - 1$ , check whether  $(p_i, p_{i+1})$  is an edge of  $G$ . If any are not, **reject**.  
Otherwise, all tests have been passed, so **accept**.”

# Class NP

## Theorem 16

*A language is in NP iff it is decided by some nondeterministic polynomial time Turing machine.*

Proof (to be cont'd).

( $\Rightarrow$ )

$A \in NP \Rightarrow A$  has a polynomial time verifier  $V$ ; a TM that runs in time  $n^k$ .

$N =$  “On input  $w$  of length  $n$ :

- 1 Nondeterministically select string  $c$  of length at most  $n^k$ .
- 2 Run  $V$  on input  $\langle w, c \rangle$ .
- 3 If  $V$  accepts, **accept**; otherwise, **reject**.”

# Class $NP$

## Proof (cont.)

( $\Leftarrow$ )

$A$  decided by some NTM  $N$ . Then we can construct a polynomial time verifier  $V$ :

$V =$  “On input  $\langle w, c \rangle$ , where  $w$  and  $c$  are strings:

- 1 Simulate  $N$  on input  $w$ , treating each symbol of  $c$  as a description of the nondeterministic choice to make at each step.
- 2 If this branch of  $N$ 's computation accepts, **accept**; otherwise, **reject**.”



# Class $NP$

## Definition 17

$NTIME(t(n)) = \{L \mid L \text{ is a language decided by an } O(t(n)) \text{ time nondeterministic Turing machine}\}.$

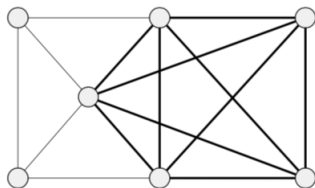
## Corollary 18

$$NP = \cup_k NTIME(n^k).$$

## Examples of problems in NP: CLIQUE

A **clique** in an undirected graph is a subgraph, wherein every two nodes are connected by an edge.

A  **$k$ -clique** is a clique that contains  $k$  nodes.



A graph with a 5-clique

# Examples of problems in NP: CLIQUE

## Theorem 19

*CLIQUE is in NP.*

## Proof.

Construct a verifier  $V$  for CLIQUE.

$V =$  “On input  $\langle\langle G, k \rangle, c\rangle$ :

- 1 Test whether  $c$  is a set of  $k$  nodes in  $G$ .
- 2 Test whether  $G$  contains all edges connecting nodes in  $c$ .
- 3 If both pass, **accept**; otherwise, **reject**.”



# Examples of problems in NP: CLIQUE

## Theorem 20

*CLIQUE is in NP.*

## Alternative proof.

Construct a NTM solving the problem.

$N =$  “On input  $\langle G, k \rangle$ , where  $G$  is a graph:

- 1 Nondeterministically select a subset  $c$  of  $k$  nodes of  $G$ .
- 2 Test whether  $G$  contains all edges connecting nodes in  $c$ .
- 3 If yes, **accept**; otherwise, **reject**.”



# Examples of problems in NP: SUBSET-SUM

Define:

$$\text{SUBSET-SUM} = \{ \langle S, t \rangle \mid S = \{x_1, \dots, x_k\}, \text{ and for some } \{y_1, \dots, y_l\} \subseteq \{x_1, \dots, x_k\}, \text{ we have } \sum y_i = t \}.$$

For example,  $\langle \{4, 11, 16, 21, 27\}, 25 \rangle \in \text{SUBSET-SUM}$  because  $4 + 21 = 25$ .

Note that  $\{x_1, \dots, x_k\}$  and  $\{y_1, \dots, y_l\}$  are considered to be **multisets** and so allow repetition of elements.

# Examples of problems in NP: SUBSET-SUM

## Theorem 21

*SUBSET-SUM is in NP.*

### Proof.

Here is a verifier:

$V =$  “On input  $\langle\langle S, t \rangle, c\rangle$ :

- 1 Test whether  $c$  is a collection of numbers that sum to  $t$ .
- 2 Test whether  $S$  contains all the numbers in  $c$ .
- 3 If both pass, **accept**; otherwise, **reject**.”



# Examples of problems in NP: SUBSET-SUM

## Theorem 22

*SUBSET-SUM is in NP.*

### Alternative proof.

We construct a NTM:

$N =$  “On input  $\langle S, t \rangle$ :

- 1 Nondeterministically select a subset  $c$  of the numbers in  $S$ .
- 2 Test whether  $c$  is a collection of numbers that sum to  $t$ .
- 3 If the test passes, **accept**; otherwise, **reject**.”



# The $P$ versus $NP$ Question

$P$  = the class of languages for which membership can be **decided** quickly.

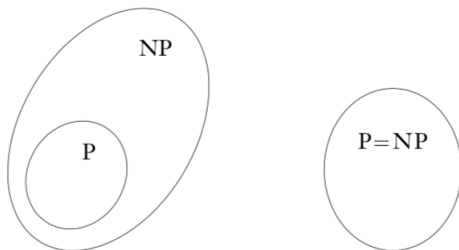
$NP$  = the class of languages for which membership can be **verified** quickly.

“quickly”: in polynomial time

## The $P$ versus $NP$ Question

It appears that polynomial time verifiability is more powerful compared to polynomial time decidability.

However, we are unable to prove the existence of a single language in  $NP$  that is not in  $P$ .



One of these two possibilities is correct

# The P versus NP Question

The best method currently known for solving languages in  $NP$  deterministically uses exponential time.

So we can prove that:

$$NP \subseteq EXPTIME = \cup_k TIME(2^{n^k})$$

but we don't know whether  $NP$  is contained in a smaller deterministic time complexity class.

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# NP-completeness

1970s: Stephen Cook and Leonid Levin

- Certain problems in NP whose individual complexity is related to that of the entire class.
- If a polynomial time algorithm exists for any of these problems, all problems in NP would be polynomial time solvable.
- These problems are called NP-complete.

# Importance of NP-completeness

## Theory:

- Want to prove  $P \neq NP$ ?  
Show that an NP-complete problem requires more than polynomial time.
- Want to prove  $P = NP$ ?  
Show that an NP-complete problem has a polynomial time algorithm.

## Practice:

Proving that a problem is NP-complete is strong evidence that the problem should not be solvable (in the general case) in polynomial time.

# The Satisfiability problem

The **Satisfiability problem**:

$$SAT = \{\langle \phi \rangle \mid \phi \text{ is a satisfiable Boolean formula}\}.$$

Theorem 23 (Cook-Levin Theorem)

$$SAT \in P \text{ iff } P = NP.$$

# Polynomial Time Reducibility

## Definition 24

A function  $f : \Sigma^* \rightarrow \Sigma^*$  is a **polynomial time computable function** if some polynomial time Turing machine  $M$  exists that halts with just  $f(w)$  on its tape, when started on any input  $w$ .

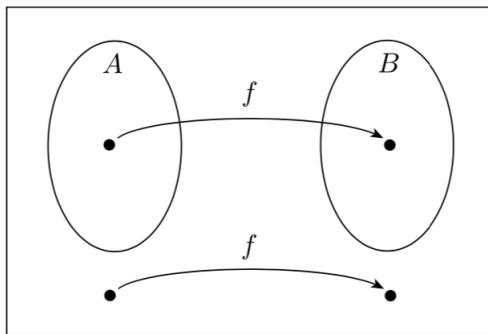
## Definition 25

Language  $A$  is **polynomial time mapping reducible**, or simply **polynomial time reducible**, to language  $B$ , written  $A \leq_p B$ , if a polynomial time computable function  $f : \Sigma^* \rightarrow \Sigma^*$  exists, where for every  $w$ ,

$$w \in A \Leftrightarrow f(w) \in B.$$

The function  $f$  is called the **polynomial time reduction** of  $A$  to  $B$ .

# Polynomial Time Reducibility



Polynomial time function  $f$  reducing  $A$  to  $B$

(Similar to mapping reductions, but now the conversion needs to be done efficiently.)

# Polynomial Time Reducibility

## Theorem 26

If  $A \leq_p B$  and  $B \in P$ , then  $A \in P$ .

### Proof (to be cont.)

Let  $M$  be a polynomial time algorithm deciding  $B$ .

Let  $f$  be a polynomial time reduction from  $A$  to  $B$ .

Then, a polynomial time algorithm  $N$  deciding  $A$  is the following.

$N =$  “On input  $w$ :

- 1 Compute  $f(w)$ .
- 2 Run  $M$  on input  $f(w)$  and output whatever  $M$  outputs.”

# Polynomial Time Reducibility

Proof (cont'd).

We have  $w \in A$  whenever  $f(w) \in B$  because  $f$  is a reduction from  $A$  to  $B$ . Thus,  $M$  accepts  $f(w)$  whenever  $w \in A$ .

Moreover,  $N$  runs in polynomial time, since each stage runs in polynomial time.

Note that stage 2 runs in polynomial time, because the composition of two polynomials is a polynomial. □

# Notation

- A **literal** is a Boolean variable or a negated Boolean variable; e.g.,  $x$  or  $\bar{x}$ .
- A **clause** is several literals connected with  $\vee$ s, e.g.,  $(x_1 \vee \bar{x}_2 \vee \bar{x}_3 \vee x_4)$ .
- A Boolean formula is in **conjunctive normal form**, called a **cnf-formula**, if it comprises several clauses connected with  $\wedge$ s, as in  $(x_1 \vee \bar{x}_2 \vee \bar{x}_3 \vee x_4) \wedge (x_3 \vee \bar{x}_5 \vee x_6) \wedge (x_3 \vee \bar{x}_6)$ .
- It is a **3cnf-formula** if all the clauses have 3 literals, as in  $(x_1 \vee \bar{x}_2 \vee \bar{x}_3) \wedge (x_3 \vee \bar{x}_5 \vee x_6) \wedge (x_3 \vee \bar{x}_6 \vee x_4) \wedge (x_4 \vee x_5 \vee x_6)$ .  
(Repetition of literals is allowed in a clause.)
- $3SAT = \{ \langle \phi \rangle \mid \phi \text{ is a satisfiable 3cnf-formula} \}$ .

# 3SAT

## Theorem 27

*3SAT is polynomial time reducible to CLIQUE.*

### Proof idea.

- The polynomial time reduction  $f$  will convert formulas to graphs.
- In the constructed graphs, cliques of a specified size correspond to satisfying assignments of the formula.
- Structures within the graph are designed to mimic the behavior of the variables and clauses.



# 3SAT

## Theorem 28

*3SAT is polynomial time reducible to CLIQUE.*

### Proof (to be cont.)

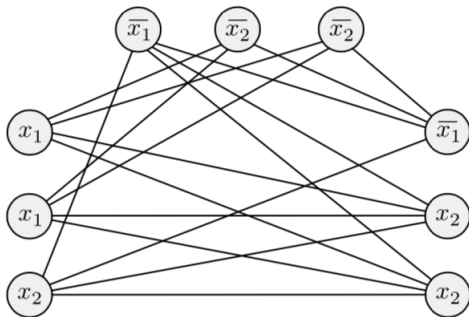
Let  $\phi$  be a formula with  $k$  clauses such as:

$$\phi = (a_1 \vee b_1 \vee c_1) \wedge (a_2 \vee b_2 \vee c_2) \wedge \dots \wedge (a_k \vee b_k \vee c_k).$$

The reduction  $f$  generates the string  $\langle G, k \rangle$ , where  $G$  is an undirected graph defined as follows.

- Organize the nodes in  $G$  into  $k$  groups of three nodes each, called **triples**,  $t_1, \dots, t_k$ . Each triple corresponds to a clause in  $\phi$ . Each node in a triple corresponds to a literal in the associated clause. Label each node with its corresponding literal in  $\phi$ .
- The edges of  $G$  connect all but two types of pairs of nodes in  $G$ :
  - nodes in the same triple
  - nodes with contradictory labels (e.g.,  $x_2$  and  $\overline{x_2}$ )

## 3SAT



The graph that the reduction produces from  
 $\phi = (x_1 \vee x_1 \vee x_2) \wedge (\bar{x}_1 \vee \bar{x}_2 \vee \bar{x}_2) \wedge (\bar{x}_1 \vee x_2 \vee x_2)$

# Why the construction works?

## Proof (to be cont.)

- Let  $\phi$  have a satisfying assignment, say  $\sigma = (\sigma_1, \sigma_2, \dots, \sigma_n)$ .  
In each triple of  $G$ , we select one node corresponding to a true literal in the satisfying assignment.  
If more than one literal is true in a particular clause, we choose one of them literal arbitrarily.  
These nodes now form a  $k$ -clique.
    - We selected  $k$  nodes.
    - No pair of these nodes should not be joined by an edge.
- $\Rightarrow G$  contains a  $k$ -clique.

## Why the construction works?

Proof (cont').

- Let  $G$  have a  $k$ -clique.

Then no two of the clique's nodes occur in the same triple.

Therefore, each of the  $k$  triples contains exactly one of the  $k$  clique nodes.

Now assign truth values to the variables of  $\phi$  so that each literal labeling a clique node is made true.

Doing so is always possible, because two nodes labeled in a contradictory way are not connected by an edge (so both can not be simultaneously in the clique).

$\Rightarrow$  This assignment satisfies  $\phi$  because each triple contains a clique node  $\Rightarrow \phi$  is satisfiable.



In other words, due to Theorems 26 and 28, if CLIQUE is solvable in polynomial time, so is 3SAT.

# NP-completeness

## Definition 29

A language  $B$  is NP-complete if it satisfies two conditions:

- 1  $B$  is in NP, and
- 2 every  $A$  in NP is polynomial time reducible to  $B$ .

## Theorem 30

*If  $B$  is NP-complete and  $B \in P$ , then  $P = NP$ .*

## Proof.

Immediate from the definition of polynomial time reducibility. □

# NP-completeness

## Theorem 31

*If  $B$  is NP-complete and  $B \leq_p C$  for  $C$  in NP, then  $C$  is NP-complete.*

### Proof.

We know that  $C \in NP$ . So we need to show that every  $A \in NP$  is polynomial time reducible to  $C$ .

Since  $B$  is NP-complete, every problem in NP is polynomial time reducible to  $B$ . Now  $B$  is polynomial time reducible to  $C$ .

Polynomial time reductions compose  $\Rightarrow$  if  $A$  is polynomial time reducible to  $B$  and  $B$  is polynomial time reducible to  $C$ , then  $A$  is polynomial time reducible to  $C$ .

So every language in NP is polynomial time reducible to  $C$ . □

## Theorem 32 (Restate Theorem 23 by Cook and Levin)

*SAT is NP-complete.*