

# Complexity Theory

## Lecture 5

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## SAT is NP-complete

Cook showed that the language **SAT** of satisfiable Boolean expressions is **NP**-complete.

To establish this, we need to show that for every language  $L$  in **NP**, there is a polynomial time reduction from  $L$  to **SAT**.

Since  $L$  is in **NP**, there is a nondeterministic Turing machine

$$M = (Q, \Sigma, s, \delta)$$

and a bound  $k$  such that a string  $x$  of length  $n$  is in  $L$  if, and only if, it is accepted by  $M$  within  $n^k$  steps.

## Boolean Formula

We need to give, for each  $x \in \Sigma^*$ , a Boolean expression  $f(x)$  which is satisfiable if, and only if, there is an accepting computation of  $M$  on input  $x$ .

$f(x)$  has the following variables:

$S_{i,q}$  for each  $i \leq n^k$  and  $q \in Q$

$T_{i,j,\sigma}$  for each  $i, j \leq n^k$  and  $\sigma \in \Sigma$

$H_{i,j}$  for each  $i, j \leq n^k$

Intuitively, these variables are intended to mean:

- $S_{i,q}$  – the state of the machine at time  $i$  is  $q$ .
- $T_{i,j,\sigma}$  – at time  $i$ , the symbol at position  $j$  of the tape is  $\sigma$ .
- $H_{i,j}$  – at time  $i$ , the tape head is pointing at tape cell  $j$ .

We now have to see how to write the formula  $f(x)$ , so that it enforces these meanings.

Initial state is  $s$  and the head is initially at the beginning of the tape.

$$S_{1,s} \wedge H_{1,1}$$

The head is never in two places at once

$$\bigwedge_i \bigwedge_j (H_{i,j} \rightarrow \bigwedge_{j' \neq j} (\neg H_{i,j'}))$$

The machine is never in two states at once

$$\bigwedge_q \bigwedge_i (S_{i,q} \rightarrow \bigwedge_{q' \neq q} (\neg S_{i,q'}))$$

Each tape cell contains only one symbol

$$\bigwedge_i \bigwedge_j \bigwedge_\sigma (T_{i,j,\sigma} \rightarrow \bigwedge_{\sigma' \neq \sigma} (\neg T_{i,j,\sigma'}))$$

The initial tape contents are  $x$

$$\bigwedge_{j \leq n} T_{1,j,x_j} \wedge \bigwedge_{n < j} T_{1,j,\sqcup}$$

The tape does not change except under the head

$$\bigwedge_i \bigwedge_j \bigwedge_{j' \neq j} \bigwedge_\sigma (H_{i,j} \wedge T_{i,j',\sigma}) \rightarrow T_{i+1,j',\sigma}$$

Each step is according to  $\delta$ .

$$\begin{aligned} \bigwedge_i \bigwedge_j \bigwedge_\sigma \bigwedge_q (H_{i,j} \wedge S_{i,q} \wedge T_{i,j,\sigma}) \\ \rightarrow \bigvee_{\Delta} (H_{i+1,j'} \wedge S_{i+1,q'} \wedge T_{i+1,j,\sigma'}) \end{aligned}$$

where  $\Delta$  is the set of all triples  $(q', \sigma', D)$  such that  $((q, \sigma), (q', \sigma', D)) \in \delta$  and

$$j' = \begin{cases} j & \text{if } D = S \\ j - 1 & \text{if } D = L \\ j + 1 & \text{if } D = R \end{cases}$$

Finally, the accepting state is reached

$$\bigvee_i S_{i, \text{acc}}$$

## CNF

A Boolean expression is in *conjunctive normal form* if it is the conjunction of a set of *clauses*, each of which is the disjunction of a set of *literals*, each of these being either a *variable* or the *negation* of a variable.

For any Boolean expression  $\phi$ , there is an equivalent expression  $\psi$  in conjunctive normal form.

$\psi$  can be exponentially longer than  $\phi$ .

However, **CNF-SAT**, the collection of satisfiable **CNF** expressions, is **NP**-complete.



## 3SAT

A Boolean expression is in **3CNF** if it is in conjunctive normal form and each clause contains at most 3 literals.

**3SAT** is defined as the language consisting of those expressions in **3CNF** that are satisfiable.

**3SAT** is **NP**-complete, as there is a polynomial time reduction from **CNF-SAT** to **3SAT**.

## Composing Reductions

Polynomial time reductions are clearly closed under composition.

So, if  $L_1 \leq_P L_2$  and  $L_2 \leq_P L_3$ , then we also have  $L_1 \leq_P L_3$ .

If we show, for some problem  $A$  in **NP** that

$$\text{SAT} \leq_P A$$

or

$$3\text{SAT} \leq_P A$$

it follows that  $A$  is also **NP**-complete.

## Independent Set

Given a graph  $G = (V, E)$ , a subset  $X \subseteq V$  of the vertices is said to be an *independent set*, if there are no edges  $(u, v)$  for  $u, v \in X$ .

The natural algorithmic problem is, given a graph, find the largest independent set.

To turn this *optimisation problem* into a *decision problem*, we define **IND** as:

The set of pairs  $(G, K)$ , where  $G$  is a graph, and  $K$  is an integer, such that  $G$  contains an independent set with  $K$  or more vertices.

**IND** is clearly in **NP**. We now show it is **NP**-complete.

## Reduction

We can construct a reduction from **3SAT** to **IND**.

A Boolean expression  $\phi$  in **3CNF** with  $m$  clauses is mapped by the reduction to the pair  $(G, m)$ , where  $G$  is the graph obtained from  $\phi$  as follows:

$G$  contains  $m$  triangles, one for each clause of  $\phi$ , with each node representing one of the literals in the clause.

Additionally, there is an edge between two nodes in different triangles if they represent literals where one is the negation of the other.

# Example

$$(x_1 \vee x_2 \vee \neg x_3) \wedge (x_3 \vee \neg x_2 \vee \neg x_1)$$

