

Complexity Theory

Lectures 7–12

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Easter Term 2009

<http://www.cl.cam.ac.uk/teaching/0809/Complexity/>

Hamiltonian Graphs

Recall the definition of **HAM**—the language of Hamiltonian graphs.

Given a graph $G = (V, E)$, a *Hamiltonian cycle* in G is a path in the graph, starting and ending at the same node, such that every node in V appears on the cycle *exactly once*.

A graph is called *Hamiltonian* if it contains a Hamiltonian cycle.

The language **HAM** is the set of encodings of Hamiltonian graphs.

Hamiltonian Cycle

We can construct a reduction from **3SAT** to **HAM**

Essentially, this involves coding up a Boolean expression as a graph, so that every satisfying truth assignment to the expression corresponds to a Hamiltonian circuit of the graph.

This reduction is much more intricate than the one for **IND**.

Travelling Salesman

Recall the travelling salesman problem

Given

- V — a set of nodes.
- $c : V \times V \rightarrow \mathbb{N}$ — a cost matrix.

Find an ordering v_1, \dots, v_n of V for which the total cost:

$$c(v_n, v_1) + \sum_{i=1}^{n-1} c(v_i, v_{i+1})$$

is the smallest possible.

Travelling Salesman

As with other optimisation problems, we can make a decision problem version of the Travelling Salesman problem.

The problem **TSP** consists of the set of triples

$$(V, c : V \times V \rightarrow \mathbb{N}, t)$$

such that there is a tour of the set of vertices V , which under the cost matrix c , has cost t or less.

Reduction

There is a simple reduction from **HAM** to **TSP**, mapping a graph (V, E) to the triple $(V, c : V \times V \rightarrow \mathbb{N}, n)$, where

$$c(u, v) = \begin{cases} 1 & \text{if } (u, v) \in E \\ 2 & \text{otherwise} \end{cases}$$

and n is the size of V .

Sets, Numbers and Scheduling

It is not just problems about formulas and graphs that turn out to be **NP**-complete.

Literally hundreds of naturally arising problems have been proved **NP**-complete, in areas involving network design, scheduling, optimisation, data storage and retrieval, artificial intelligence and many others.

Such problems arise naturally whenever we have to construct a solution within constraints, and the most effective way appears to be an exhaustive search of an exponential solution space.

We now examine three more **NP**-complete problems, whose significance lies in that they have been used to prove a large number of other problems **NP**-complete, through reductions.

3D Matching

The decision problem of *3D Matching* is defined as:

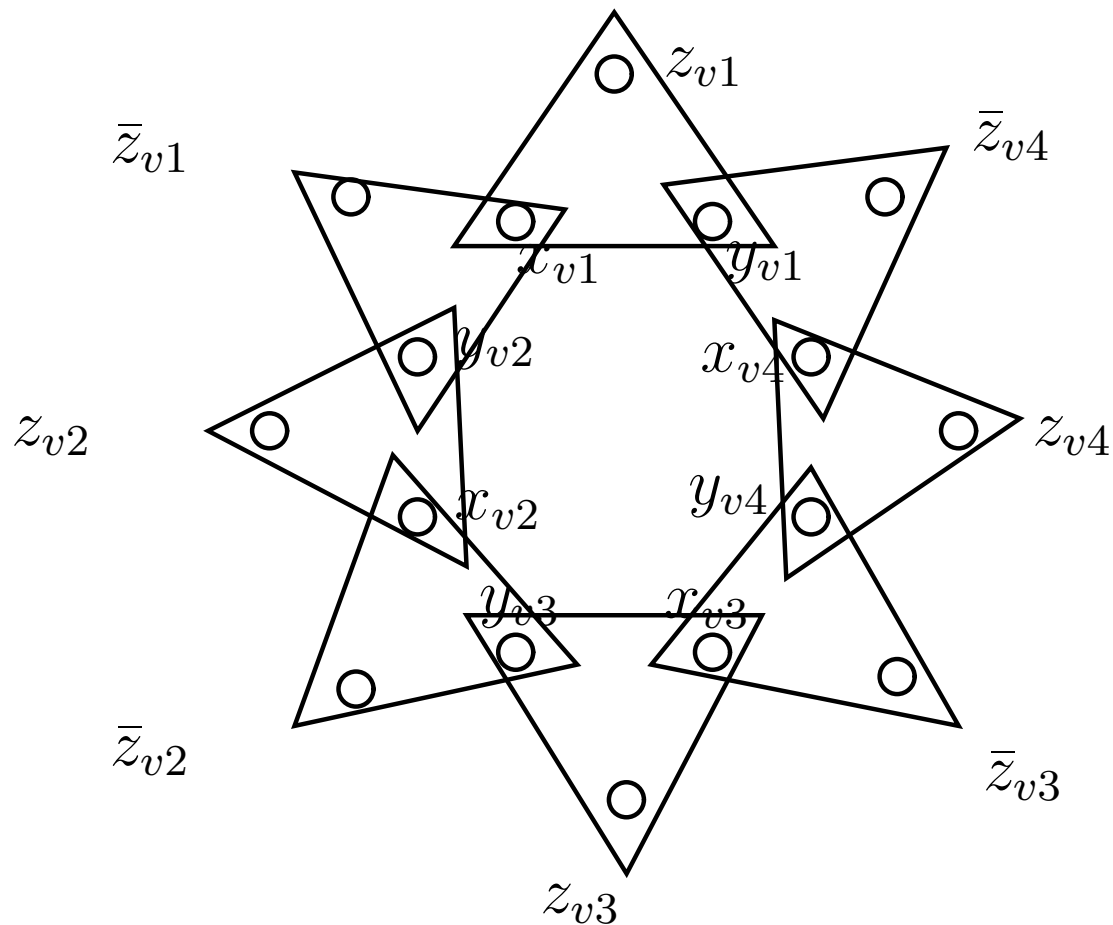
Given three disjoint sets X , Y and Z , and a set of triples $M \subseteq X \times Y \times Z$, does M contain a matching?

I.e. is there a subset $M' \subseteq M$, such that each element of X , Y and Z appears in exactly one triple of M' ?

We can show that **3DM** is **NP**-complete by a reduction from **3SAT**.

Reduction

If a Boolean expression ϕ in **3CNF** has n variables, and m clauses, we construct for each variable v the following gadget.



In addition, for every clause c , we have two elements x_c and y_c .

If the literal v occurs in c , we include the triple

$$(x_c, y_c, z_{vc})$$

in M .

Similarly, if $\neg v$ occurs in c , we include the triple

$$(x_c, y_c, \bar{z}_{vc})$$

in M .

Finally, we include extra dummy elements in X and Y to make the numbers match up.

Exact Set Covering

Two other well known problems are proved **NP**-complete by immediate reduction from **3DM**.

Exact Cover by 3-Sets is defined by:

Given a set U with $3n$ elements, and a collection $S = \{S_1, \dots, S_m\}$ of three-element subsets of U , is there a sub collection containing exactly n of these sets whose union is all of U ?

The reduction from **3DM** simply takes $U = X \cup Y \cup Z$, and S to be the collection of three-element subsets resulting from M .

Set Covering

More generally, we have the *Set Covering* problem:

Given a set U , a collection of $S = \{S_1, \dots, S_m\}$ subsets of U and an integer budget B , is there a collection of B sets in S whose union is U ?

Knapsack

KNAPSACK is a problem which generalises many natural scheduling and optimisation problems, and through reductions has been used to show many such problems **NP**-complete.

In the problem, we are given n items, each with a positive integer value v_i and weight w_i .

We are also given a maximum total weight W , and a minimum total value V .

Can we select a subset of the items whose total weight does not exceed W , and whose total value exceeds V ?

Reduction

The proof that **KNAPSACK** is **NP**-complete is by a reduction from the problem of Exact Cover by 3-Sets.

Given a set $U = \{1, \dots, 3n\}$ and a collection of 3-element subsets of U , $S = \{S_1, \dots, S_m\}$.

We map this to an instance of **KNAPSACK** with m elements each corresponding to one of the S_i , and having weight and value

$$\sum_{j \in S_i} (m + 1)^{j-1}$$

and set the target weight and value both to

$$\sum_{j=0}^{3n-1} (m + 1)^j$$

Scheduling

Some examples of the kinds of scheduling tasks that have been proved NP-complete include:

Timetable Design

Given a set H of *work periods*, a set W of *workers* each with an associated subset of H (available periods), a set T of *tasks* and an assignment $r : W \times T \rightarrow \mathbb{N}$ of *required work*, is there a mapping $f : W \times T \times H \rightarrow \{0, 1\}$ which completes all tasks?

Scheduling

Sequencing with Deadlines

Given a set T of *tasks* and for each task a *length* $l \in \mathbb{N}$, a release time $r \in \mathbb{N}$ and a deadline $d \in \mathbb{N}$, is there a work schedule which completes each task between its release time and its deadline?

Job Scheduling

Given a set T of *tasks*, a number $m \in \mathbb{N}$ of processors a length $l \in \mathbb{N}$ for each task, and an overall deadline $D \in \mathbb{N}$, is there a multi-processor schedule which completes all tasks by the deadline?

Responses to NP-Completeness

Confronted by an NP-complete problem, say constructing a timetable, what can one do?

- It's a single instance, does asymptotic complexity matter?
- What's the critical size? Is scalability important?
- Are there guaranteed restrictions on the input? Will a special purpose algorithm suffice?
- Will an approximate solution suffice? Are performance guarantees required?
- Are there useful heuristics that can constrain a search? Ways of ordering choices to control backtracking?

Validity

We define **VAL**—the set of *valid* Boolean expressions—to be those Boolean expressions for which every assignment of truth values to variables yields an expression equivalent to **true**.

$$\phi \in \text{VAL} \iff \neg\phi \notin \text{SAT}$$

By an exhaustive search algorithm similar to the one for **SAT**, **VAL** is in $\text{TIME}(n^2 2^n)$.

Is **VAL** \in **NP**?

Validity

$\overline{\text{VAL}} = \{\phi \mid \phi \notin \text{VAL}\}$ —the *complement* of VAL is in NP .

Guess a *falsifying* truth assignment and verify it.

Such an algorithm does not work for VAL .

In this case, we have to determine whether *every* truth assignment results in **true**—a requirement that does not sit as well with the definition of acceptance by a nondeterministic machine.

Complementation

If we interchange accepting and rejecting states in a deterministic machine that accepts the language L , we get one that accepts \bar{L} .

If a language $L \in P$, then also $\bar{L} \in P$.

Complexity classes defined in terms of nondeterministic machine models are not necessarily closed under complementation of languages.

Define,

co-NP – the languages whose complements are in **NP**.

Succinct Certificates

The complexity class **NP** can be characterised as the collection of languages of the form:

$$L = \{x \mid \exists y R(x, y)\}$$

Where R is a relation on strings satisfying two key conditions

1. R is decidable in polynomial time.
2. R is *polynomially balanced*. That is, there is a polynomial p such that if $R(x, y)$ and the length of x is n , then the length of y is no more than $p(n)$.

Succinct Certificates

y is a *certificate* for the membership of x in L .

Example: If L is **SAT**, then for a satisfiable expression x , a certificate would be a satisfying truth assignment.

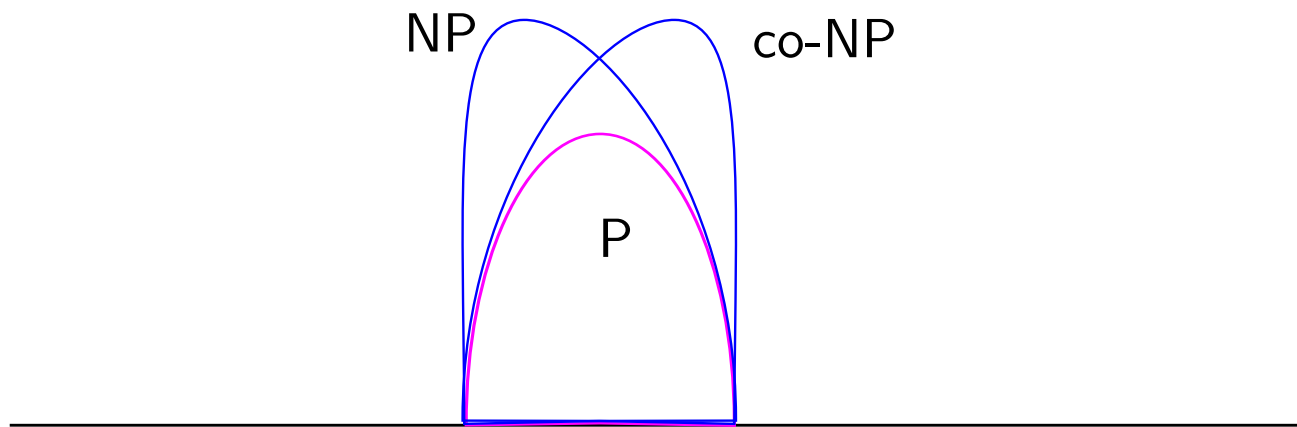
co-NP

As **co-NP** is the collection of complements of languages in **NP**, and **P** is closed under complementation, **co-NP** can also be characterised as the collection of languages of the form:

$$L = \{x \mid \forall y \ |y| < p(|x|) \rightarrow R'(x, y)\}$$

NP – the collection of languages with succinct certificates of membership.

co-NP – the collection of languages with succinct certificates of disqualification.



Any of the situations is consistent with our present state of knowledge:

- $P = NP = \text{co-NP}$
- $P = NP \cap \text{co-NP} \neq NP \neq \text{co-NP}$
- $P \neq NP \cap \text{co-NP} = NP = \text{co-NP}$
- $P \neq NP \cap \text{co-NP} \neq NP \neq \text{co-NP}$

co-NP-complete

VAL – the collection of Boolean expressions that are *valid* is *co-NP-complete*.

Any language L that is the complement of an **NP**-complete language is *co-NP-complete*.

Any reduction of a language L_1 to L_2 is also a reduction of \bar{L}_1 —the complement of L_1 —to \bar{L}_2 —the complement of L_2 .

There is an easy reduction from the complement of **SAT** to **VAL**, namely the map that takes an expression to its negation.

$$\text{VAL} \in \text{P} \Rightarrow \text{P} = \text{NP} = \text{co-NP}$$

$$\text{VAL} \in \text{NP} \Rightarrow \text{NP} = \text{co-NP}$$

Prime Numbers

Consider the decision problem **PRIME**:

Given a number x , is it prime?

This problem is in **co-NP**.

$$\forall y (y < x \rightarrow (y = 1 \vee \neg(\text{div}(y, x))))$$

Note again, the algorithm that checks for all numbers up to \sqrt{n} whether any of them divides n , is not polynomial, as \sqrt{n} is not polynomial in the size of the input string, which is $\log n$.

Primality

Another way of putting this is that **Composite** is in **NP**.

Pratt (1976) showed that **PRIME** is in **NP**, by exhibiting succinct certificates of primality based on:

A number $p > 2$ is *prime* if, and only if, there is a number r , $1 < r < p$, such that $r^{p-1} = 1 \pmod p$ and $r^{\frac{p-1}{q}} \neq 1 \pmod p$ for all *prime divisors* q of $p - 1$.

Primality

In 2002, Agrawal, Kayal and Saxena showed that **PRIME** is in **P**.

If a is co-prime to p ,

$$(x - a)^p \equiv (x^p - a) \pmod{p}$$

if, and only if, p is a prime.

Checking this equivalence would take too long. Instead, the equivalence is checked *modulo* a polynomial $x^r - 1$, for “suitable” r .

The existence of suitable small r relies on deep results in number theory.

Factors

Consider the language **Factor**

$$\{(x, k) \mid x \text{ has a factor } y \text{ with } 1 < y < k\}$$

Factor \in NP \cap co-NP

Certificate of membership—a factor of x less than k .

Certificate of disqualification—the prime factorisation of x .

Optimisation

The **Travelling Salesman Problem** was originally conceived of as an optimisation problem

to find a minimum cost tour.

We forced it into the mould of a decision problem – **TSP** – in order to fit it into our theory of **NP**-completeness.

Similar arguments can be made about the problems **CLIQUE** and **IND**.

This is still reasonable, as we are establishing the *difficulty* of the problems.

A polynomial time solution to the optimisation version would give a polynomial time solution to the decision problem.

Also, a polynomial time solution to the decision problem would allow a polynomial time algorithm for *finding the optimal value*, using binary search, if necessary.

Function Problems

Still, there is something interesting to be said for *function problems* arising from **NP** problems.

Suppose

$$L = \{x \mid \exists y R(x, y)\}$$

where R is a polynomially-balanced, polynomial time decidable relation.

A *witness function* for L is any function f such that:

- if $x \in L$, then $f(x) = y$ for some y such that $R(x, y)$;
- $f(x) = \text{“no”}$ otherwise.

The class **FNP** is the collection of all witness functions for languages in **NP**.

FNP and FP

A function which, for any given Boolean expression ϕ , gives a satisfying truth assignment if ϕ is satisfiable, and returns “no” otherwise, is a witness function for SAT.

If any witness function for SAT is computable in polynomial time, then $P = NP$.

If $P = NP$, then for every language in NP, some witness function is computable in polynomial time, by a binary search algorithm.

$P = NP$ if, and only if, $FNP = FP$

Under a suitable definition of reduction, the witness functions for SAT are FNP-complete.

Factorisation

The *factorisation* function maps a number n to its prime factorisation:

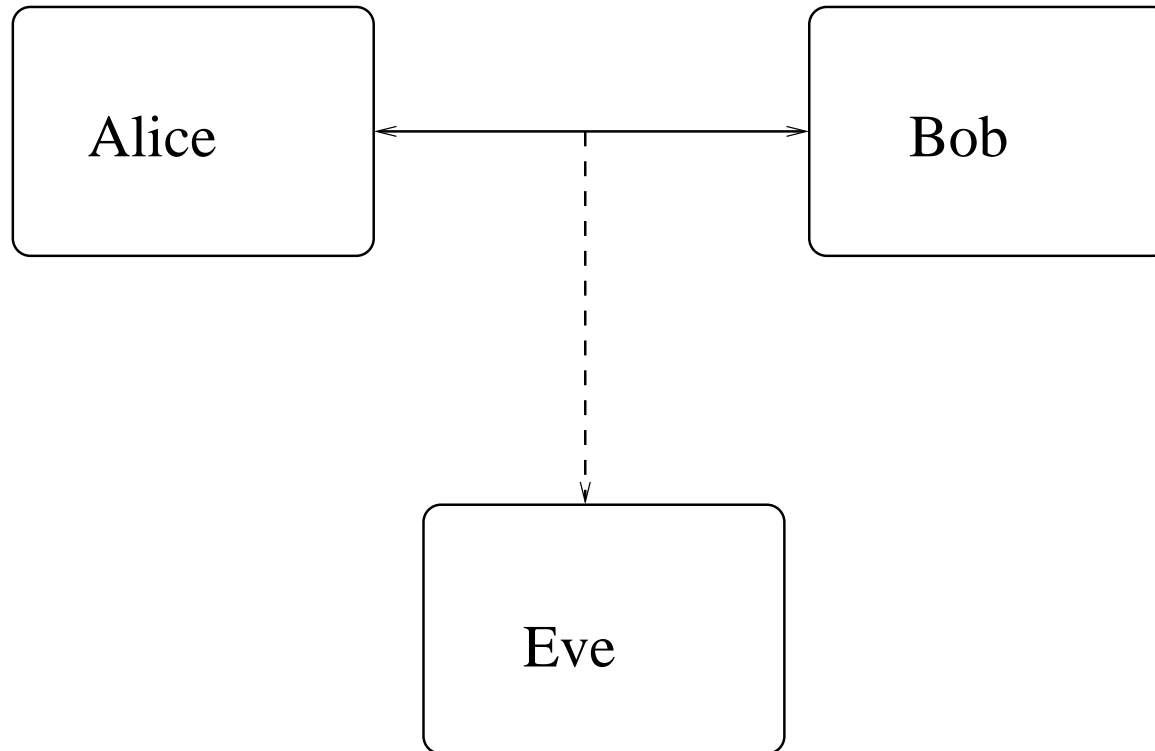
$$2^{k_1} 3^{k_2} \dots p_m^{k_m}.$$

This function is in **FP**.

The corresponding decision problem (for which it is a witness function) is trivial - it is the set of all numbers.

Still, it is not known whether this function can be computed in polynomial time.

Cryptography



Alice wishes to communicate with **Bob** without **Eve** eavesdropping.

Private Key

In a private key system, there are two secret keys

e – the encryption key

d – the decryption key

and two functions D and E such that:

for any x ,

$$D(E(x, e), d) = x$$

For instance, taking $d = e$ and both D and E as *exclusive or*, we have the *one time pad*:

$$(x \oplus e) \oplus e = x$$

One Time Pad

The one time pad is provably secure, in that the only way Eve can decode a message is by knowing the key.

If the original message x and the encrypted message y are known, then so is the key:

$$e = x \oplus y$$

Public Key

In public key cryptography, the encryption key e is public, and the decryption key d is private.

We still have,

for any x ,

$$D(E(x, e), d) = x$$

If E is polynomial time computable (and it must be if communication is not to be painfully slow), then the function that takes $y = E(x, e)$ to x (without knowing d), must be in **FNP**.

Thus, public key cryptography is not *provably secure* in the way that the one time pad is. It relies on the existence of functions in **FNP – FP**.

One Way Functions

A function f is called a *one way function* if it satisfies the following conditions:

1. f is one-to-one.
2. for each x , $|x|^{1/k} \leq |f(x)| \leq |x|^k$ for some k .
3. $f \in \text{FP}$.
4. $f^{-1} \notin \text{FP}$.

We cannot hope to prove the existence of one-way functions without at the same time proving $\text{P} \neq \text{NP}$.

It is strongly believed that the RSA function:

$$f(x, e, p, q) = (x^e \bmod pq, pq, e)$$

is a one-way function.

UP

Though one cannot hope to prove that the **RSA** function is one-way without separating **P** and **NP**, we might hope to make it as secure as a proof of **NP**-completeness.

Definition

A nondeterministic machine is *unambiguous* if, for any input x , there is at most one accepting computation of the machine.

UP is the class of languages accepted by unambiguous machines in polynomial time.

UP

Equivalently, **UP** is the class of languages of the form

$$\{x \mid \exists y R(x, y)\}$$

Where R is polynomial time computable, polynomially balanced,
and for each x , there is *at most one* y such that $R(x, y)$.

UP One-way Functions

We have

$$P \subseteq UP \subseteq NP$$

It seems unlikely that there are any NP-complete problems in UP.

One-way functions exist *if, and only if*, $P \neq UP$.

Space Complexity

We've already seen the definition $\text{SPACE}(f(n))$: the languages accepted by a machine which uses $O(f(n))$ tape cells on inputs of length n . *Counting only work space*

$\text{NSPACE}(f(n))$ is the class of languages accepted by a *nondeterministic* Turing machine using at most $f(n)$ work space.

As we are only counting work space, it makes sense to consider bounding functions f that are less than linear.

Classes

$$L = \text{SPACE}(\log n)$$

$$\text{NL} = \text{NSPACE}(\log n)$$

$$\text{PSPACE} = \bigcup_{k=1}^{\infty} \text{SPACE}(n^k)$$

The class of languages decidable in polynomial space.

$$\text{NPSPACE} = \bigcup_{k=1}^{\infty} \text{NSPACE}(n^k)$$

Also, define

co-NL – the languages whose complements are in NL.

co-NPSPACE – the languages whose complements are in NPSPACE.

Inclusions

We have the following inclusions:

$$L \subseteq NL \subseteq P \subseteq NP \subseteq PSPACE \subseteq NPSPACE \subseteq EXP$$

where $EXP = \bigcup_{k=1}^{\infty} TIME(2^{n^k})$

Moreover,

$$L \subseteq NL \cap \text{co-NL}$$

$$P \subseteq NP \cap \text{co-NP}$$

$$PSPACE \subseteq NPSPACE \cap \text{co-NPSPACE}$$

Establishing Inclusions

To establish the known inclusions between the main complexity classes, we prove the following.

- $\text{SPACE}(f(n)) \subseteq \text{NSPACE}(f(n))$;
- $\text{TIME}(f(n)) \subseteq \text{NTIME}(f(n))$;
- $\text{NTIME}(f(n)) \subseteq \text{SPACE}(f(n))$;
- $\text{NSPACE}(f(n)) \subseteq \text{TIME}(k^{\log n} + f(n))$;

The first two are straightforward from definitions.

The third is an easy simulation.

The last requires some more work.

Reachability

Recall the **Reachability** problem: given a *directed* graph $G = (V, E)$ and two nodes $a, b \in V$, determine whether there is a path from a to b in G .

A simple search algorithm solves it:

1. mark node a , leaving other nodes unmarked, and initialise set S to $\{a\}$;
2. while S is not empty, choose node i in S : remove i from S and for all j such that there is an edge (i, j) and j is unmarked, mark j and add j to S ;
3. if b is marked, accept else reject.

NL Reachability

We can construct an algorithm to show that the **Reachability** problem is in NL:

1. write the index of node a in the work space;
2. if i is the index currently written on the work space:
 - (a) if $i = b$ then accept, else
guess an index j ($\log n$ bits) and write it on the work space.
 - (b) if (i, j) is not an edge, reject, else replace i by j and return to (2).

We can use the $O(n^2)$ algorithm for **Reachability** to show that:

$$\text{NSPACE}(f(n)) \subseteq \text{TIME}(k^{\log n + f(n)})$$

for some constant k .

Let M be a nondeterministic machine working in space bounds $f(n)$.

For any input x of length n , there is a constant c (depending on the number of states and alphabet of M) such that the total number of possible configurations of M within space bounds $f(n)$ is bounded by $n \cdot c^{f(n)}$.

Here, $c^{f(n)}$ represents the number of different possible contents of the work space, and n different head positions on the input.

Configuration Graph

Define the *configuration graph* of M, x to be the graph whose nodes are the possible configurations, and there is an edge from i to j if, and only if, $i \rightarrow_M j$.

Then, M accepts x if, and only if, some accepting configuration is reachable from the starting configuration $(s, \triangleright, x, \triangleright, \varepsilon)$ in the configuration graph of M, x .

Using the $O(n^2)$ algorithm for **Reachability**, we get that M can be simulated by a deterministic machine operating in time

$$c'(nc^{f(n)})^2 \sim c'c^{2(\log n + f(n))} \sim k^{(\log n + f(n))}$$

In particular, this establishes that $\text{NL} \subseteq \text{P}$ and $\text{NPSPACE} \subseteq \text{EXP}$.

Savitch's Theorem

Further simulation results for nondeterministic space are obtained by other algorithms for **Reachability**.

We can show that **Reachability** can be solved by a *deterministic* algorithm in $O((\log n)^2)$ space.

Consider the following recursive algorithm for determining whether there is a path from a to b of length at most n (for n a power of 2):

$O((\log n)^2)$ space **Reachability** algorithm:

$\text{Path}(a, b, i)$

if $i = 1$ and (a, b) is not an edge reject

else if (a, b) is an edge or $a = b$ accept

else, for each node x , check:

1. is there a path $a - x$ of length $i/2$; and
2. is there a path $x - b$ of length $i/2$?

if such an x is found, then accept, else reject.

The maximum depth of recursion is $\log n$, and the number of bits of information kept at each stage is $3 \log n$.

Savitch's Theorem - 2

The space efficient algorithm for reachability used on the configuration graph of a nondeterministic machine shows:

$$\text{NSPACE}(f(n)) \subseteq \text{SPACE}(f(n)^2)$$

for $f(n) \geq \log n$.

This yields

$$\text{PSPACE} = \text{NSPACE} = \text{co-NPSPACE}.$$

Complementation

A still more clever algorithm for [Reachability](#) has been used to show that nondeterministic space classes are closed under complementation:

If $f(n) \geq \log n$, then

$$\text{NSPACE}(f(n)) = \text{co-NSPACE}(f(n))$$

In particular

$$\text{NL} = \text{co-NL}.$$

Complexity Classes

We have established the following inclusions among complexity classes:

$$L \subseteq NL \subseteq P \subseteq NP \subseteq PSPACE \subseteq EXP$$

Showing that a problem is **NP**-complete or **PSPACE**-complete, we often say that we have proved it intractable.

While this is not strictly correct, a proof of completeness for these classes does tell us that the problem is structurally difficult.

Similarly, we say that **PSPACE**-complete problems are harder than **NP**-complete ones, even if the running time is not higher.

Provable Intractability

Our aim now is to show that there are languages (*or, equivalently, decision problems*) that we can prove are not in P .

This is done by showing that, for every *reasonable* function f , there is a language that is not in $\text{TIME}(f(n))$.

The proof is based on the diagonal method, as in the proof of the undecidability of the halting problem.

Constructible Functions

A complexity class such as $\text{TIME}(f(n))$ can be very unnatural, if $f(n)$ is.

We restrict our bounding functions $f(n)$ to be proper functions:

Definition

A function $f : \mathbb{N} \rightarrow \mathbb{N}$ is *constructible* if:

- f is non-decreasing, i.e. $f(n+1) \geq f(n)$ for all n ; and
- there is a deterministic machine M which, on any input of length n , replaces the input with the string $0^{f(n)}$, and M runs in time $O(n + f(n))$ and uses $O(f(n))$ work space.

Examples

All of the following functions are constructible:

- $\lceil \log n \rceil$;
- n^2 ;
- n ;
- 2^n .

If f and g are constructible functions, then so are $f + g$, $f \cdot g$, 2^f and $f(g)$ (this last, provided that $f(n) > n$).

Using Constructible Functions

Recall $\text{NTIME}(f(n))$ is defined as the class of those languages L accepted by a *nondeterministic* Turing machine M , such that for every $x \in L$, there is an accepting computation of M on x of length at most $O(f(n))$.

If f is a constructible function then any language in $\text{NTIME}(f(n))$ is accepted by a machine for which all computations are of length at most $O(f(n))$.

Also, given a Turing machine M and a constructible function f , we can define a machine that simulates M for $f(n)$ steps.

Inclusions

The inclusions we proved between complexity classes:

- $\text{NTIME}(f(n)) \subseteq \text{SPACE}(f(n))$;
- $\text{NSPACE}(f(n)) \subseteq \text{TIME}(k^{\log n + f(n)})$;
- $\text{NSPACE}(f(n)) \subseteq \text{SPACE}(f(n)^2)$

really only work for *constructible* functions f .

The inclusions are established by showing that a deterministic machine can simulate a nondeterministic machine M for $f(n)$ steps.

For this, we have to be able to compute f within the required bounds.

Time Hierarchy Theorem

For any constructible function f , with $f(n) \geq n$, define the f -bounded *halting language* to be:

$$H_f = \{[M], x \mid M \text{ accepts } x \text{ in } f(|x|) \text{ steps}\}$$

where $[M]$ is a description of M in some fixed encoding scheme.

Then, we can show

$$H_f \in \text{TIME}(f(n)^3) \text{ and } H_f \notin \text{TIME}(f(\lfloor n/2 \rfloor))$$

Time Hierarchy Theorem

For any constructible function $f(n) \geq n$, $\text{TIME}(f(n))$ is properly contained in $\text{TIME}(f(2n + 1)^3)$.

Strong Hierarchy Theorems

For any constructible function $f(n) \geq n$, $\text{TIME}(f(n))$ is properly contained in $\text{TIME}(f(n)(\log f(n)))$.

Space Hierarchy Theorem

For any pair of constructible functions f and g , with $f = O(g)$ and $g \neq O(f)$, there is a language in $\text{SPACE}(g(n))$ that is not in $\text{SPACE}(f(n))$.

Similar results can be established for nondeterministic time and space classes.

Consequences

- For each k , $\text{TIME}(n^k) \neq \text{TIME}(n^{k+1})$.
- $\text{P} \neq \text{EXP}$.
- $\text{L} \neq \text{PSPACE}$.
- Any language that is EXP -complete is not in P .
- There are no problems in P that are complete under linear time reductions.

P-complete Problems

It makes little sense to talk of complete problems for the class P with respect to polynomial time reducibility \leq_P .

There are problems that are complete for P with respect to *logarithmic space* reductions \leq_L .

One example is CVP —the circuit value problem.

- If $CVP \in L$ then $L = P$.
- If $CVP \in NL$ then $NL = P$.