

# Complexity Theory

## Lecture 4: The class NP

---

**Tom Gur**

<http://www.cl.cam.ac.uk/teaching/2324/Complexity>

## The four stages of learning complexity theory

## **The four stages of learning complexity theory**

**1) Unconscious ignorance**

## **The four stages of learning complexity theory**

- 1) Unconscious ignorance**
- 2) Conscious ignorance**

## **The four stages of learning complexity theory**

- 1) Unconscious ignorance**
- 2) Conscious ignorance**
- 3) Conscious knowledge**

## The four stages of learning complexity theory

- 1) Unconscious ignorance
- 2) Conscious ignorance
- 3) Conscious knowledge
- 4) Unconscious knowledge

- Goal: understand the complexity of computational **problems**

# Recap

- Goal: understand the complexity of computational **problems**
- Strategy: Divide problems into **complexity classes**



# Recap

- Goal: understand the complexity of computational **problems**
- Strategy: Divide problems into **complexity classes**
- Post-Turing: Focus on subclasses of  $\mathcal{R}$

# Recap

- Goal: understand the complexity of computational **problems**
- Strategy: Divide problems into **complexity classes**
- Post-Turing: Focus on subclasses of  $\mathcal{R}$
- Resolution: Polynomial (for now...)

# Recap

- Goal: understand the complexity of computational **problems**
- Strategy: Divide problems into **complexity classes**
- Post-Turing: Focus on subclasses of  $\mathcal{R}$
- Resolution: Polynomial (for now...)
- Most important class:  $\mathcal{P}$  – tractable computation

# Recap

- Goal: understand the complexity of computational **problems**
- Strategy: Divide problems into **complexity classes**
- Post-Turing: Focus on subclasses of  $\mathcal{R}$
- Resolution: Polynomial (for now...)
- Most important class:  $\mathcal{P}$  – tractable computation

# Recap

- Goal: understand the complexity of computational **problems**
- Strategy: Divide problems into **complexity classes**
- Post-Turing: Focus on subclasses of  $\mathcal{R}$
- Resolution: Polynomial (for now...)
- Most important class:  $\mathcal{P}$  – tractable computation

Today we will go beyond tractable computation!

# Composites

Consider the decision problem (or *language*) **Composite** defined by:

$$\{x \mid x \text{ is not prime}\}$$

# Composites

Consider the decision problem (or *language*) **Composite** defined by:

$$\{x \mid x \text{ is not prime}\}$$

This is the complement of the language **Prime**.

# Composites

Consider the decision problem (or *language*) **Composite** defined by:

$$\{x \mid x \text{ is not prime}\}$$

This is the complement of the language **Prime**.

Is **Composite**  $\in P$ ?



# Composites

Consider the decision problem (or *language*) **Composite** defined by:

$$\{x \mid x \text{ is not prime}\}$$

This is the complement of the language **Prime**.

Is **Composite**  $\in P$ ?

Clearly, the answer is yes if, and only if, **Prime**  $\in P$ .

# Composites

Consider the decision problem (or *language*) **Composite** defined by:

$$\{x \mid x \text{ is not prime}\}$$

This is the complement of the language **Prime**.

Is **Composite**  $\in P$ ?

Clearly, the answer is yes if, and only if, **Prime**  $\in P$ .

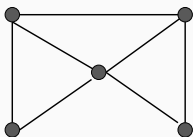
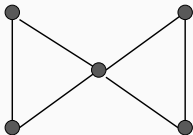
Is there a conceptual difference between the two?

# 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*.

# 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*.



The first of these graphs is not Hamiltonian, but the second one is.

# 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.

# 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 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.

Is **HAM**  $\in$  P?

# Graph Isomorphism

Given two graphs  $G_1 = (V_1, E_1)$  and  $G_2 = (V_2, E_2)$ , is there a *bijection*

$$\pi : V_1 \rightarrow V_2$$

such that for every  $u, v \in V_1$ ,

$$(u, v) \in E_1 \quad \text{if, and only if,} \quad (\pi(u), \pi(v)) \in E_2.$$



# Graph Isomorphism

Given two graphs  $G_1 = (V_1, E_1)$  and  $G_2 = (V_2, E_2)$ , is there a *bijection*

$$\pi : V_1 \rightarrow V_2$$

such that for every  $u, v \in V_1$ ,

$$(u, v) \in E_1 \quad \text{if, and only if,} \quad (\pi(u), \pi(v)) \in E_2.$$

Is Graph Isomorphism  $\in P$ ?

# Polynomial Verification

The problems **Composite**, **SAT**, **HAM** and **Graph Isomorphism** have something in common.

# Polynomial Verification

The problems **Composite**, **SAT**, **HAM** and **Graph Isomorphism** have something in common.

In each case, there is a *search space* of possible solutions.

*the numbers less than  $x$ ; truth assignments to the variables of  $\phi$ ;*

*lists of the vertices of  $G$ ; a bijection between  $V_1$  and  $V_2$ .*

# Polynomial Verification

The problems **Composite**, **SAT**, **HAM** and **Graph Isomorphism** have something in common.

In each case, there is a *search space* of possible solutions.

*the numbers less than  $x$ ; truth assignments to the variables of  $\phi$ ;*

*lists of the vertices of  $G$ ; a bijection between  $V_1$  and  $V_2$ .*

# Polynomial Verification

The problems **Composite**, **SAT**, **HAM** and **Graph Isomorphism** have something in common.

In each case, there is a *search space* of possible solutions.

*the numbers less than  $x$ ; truth assignments to the variables of  $\phi$ ;*

*lists of the vertices of  $G$ ; a bijection between  $V_1$  and  $V_2$ .*

The size of the search is *exponential* in the length of the input.

# Polynomial Verification

The problems **Composite**, **SAT**, **HAM** and **Graph Isomorphism** have something in common.

In each case, there is a *search space* of possible solutions.

*the numbers less than  $x$ ; truth assignments to the variables of  $\phi$ ;  
lists of the vertices of  $G$ ; a bijection between  $V_1$  and  $V_2$ .*

The size of the search is *exponential* in the length of the input.

Given a potential solution in the search space, it is *easy* to check whether or not it is a solution.

A verifier  $V$  for a language  $L$  is an algorithm such that

$$L = \{x \mid (x, c) \text{ is accepted by } V \text{ for some } c\}$$

# Verifiers

A verifier  $V$  for a language  $L$  is an algorithm such that

$$L = \{x \mid (x, c) \text{ is accepted by } V \text{ for some } c\}$$

If  $V$  runs in time polynomial in the length of  $x$ , then we say that  $L$  is *polynomially verifiable*.



# Verifiers

A verifier  $V$  for a language  $L$  is an algorithm such that

$$L = \{x \mid (x, c) \text{ is accepted by } V \text{ for some } c\}$$

If  $V$  runs in time polynomial in the length of  $x$ , then we say that  $L$  is *polynomially verifiable*.

# Verifiers

A verifier  $V$  for a language  $L$  is an algorithm such that

$$L = \{x \mid (x, c) \text{ is accepted by } V \text{ for some } c\}$$

If  $V$  runs in time polynomial in the length of  $x$ , then we say that  $L$  is *polynomially verifiable*.

Many natural examples arise, whenever we have to construct a solution to some design constraints or specifications.

# Nondeterminism

If, in the definition of a Turing machine, we relax the condition on  $\delta$  being a function and instead allow an arbitrary relation, we obtain a *nondeterministic Turing machine*.

$$\delta \subseteq (Q \times \Sigma) \times ((Q \cup \{\text{acc}, \text{rej}\}) \times \Sigma \times \{R, L, S\}).$$

The yields relation  $\rightarrow_M$  is also no longer functional.

# Nondeterminism

If, in the definition of a Turing machine, we relax the condition on  $\delta$  being a function and instead allow an arbitrary relation, we obtain a *nondeterministic Turing machine*.

$$\delta \subseteq (Q \times \Sigma) \times ((Q \cup \{\text{acc, rej}\}) \times \Sigma \times \{R, L, S\}).$$

The yields relation  $\rightarrow_M$  is also no longer functional.

We still define the language accepted by  $M$  by:

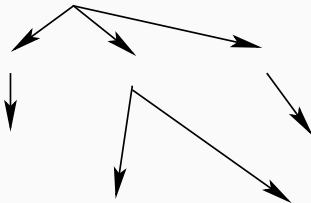
$$\{x \mid (s, \triangleright, x) \rightarrow_M^* (\text{acc}, w, u) \text{ for some } w \text{ and } u\}$$

though, for some  $x$ , there may be computations leading to accepting as well as rejecting states.

# Computation Trees

# Computation Trees

With a nondeterministic machine, each configuration gives rise to a tree of successive configurations.



# Nondeterministic Complexity Classes

We have already defined  $\text{TIME}(f)$  and  $\text{SPACE}(f)$ .

# Nondeterministic Complexity Classes

We have already defined  $\text{TIME}(f)$  and  $\text{SPACE}(f)$ .

$\text{NTIME}(f)$  is defined as the class of those languages  $L$  which are 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  $O(f(n))$ , where  $n$  is the length of  $x$ .



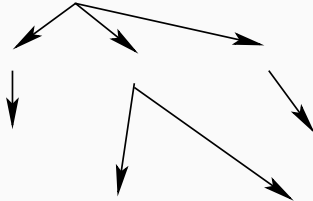
# Nondeterministic Complexity Classes

We have already defined  $\text{TIME}(f)$  and  $\text{SPACE}(f)$ .

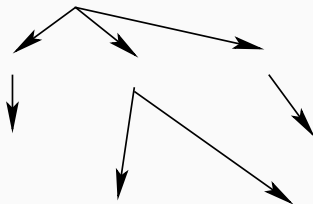
$\text{NTIME}(f)$  is defined as the class of those languages  $L$  which are accepted by a *nondeterministic* Turing machine  $M$ , such that for every  $x \in L$ , there is an accepting computation of  $M$  on  $x$  of length  $O(f(n))$ , where  $n$  is the length of  $x$ .

$$\text{NP} = \bigcup_{k=1}^{\infty} \text{NTIME}(n^k)$$

# Nondeterminism



# Nondeterminism



For a language in  $\text{NTIME}(f)$ , the height of the tree can be bounded by  $f(n)$  when the input is of length  $n$ .

## Theorem

*A language  $L$  is polynomially verifiable if, and only if, it is in NP.*

## Theorem

*A language  $L$  is polynomially verifiable if, and only if, it is in NP.*

# Nondeterminism vs Verification

## Theorem

*A language  $L$  is polynomially verifiable if, and only if, it is in NP.*

To prove this, suppose  $L$  is a language, which has a verifier  $V$ , which runs in time  $p(n)$ .

# Nondeterminism vs Verification

## Theorem

A language  $L$  is polynomially verifiable if, and only if, it is in NP.

To prove this, suppose  $L$  is a language, which has a verifier  $V$ , which runs in time  $p(n)$ .

The following describes a *nondeterministic algorithm* that accepts  $L$

1. input  $x$  of length  $n$

# Nondeterminism vs Verification

## Theorem

A language  $L$  is polynomially verifiable if, and only if, it is in NP.

To prove this, suppose  $L$  is a language, which has a verifier  $V$ , which runs in time  $p(n)$ .

The following describes a *nondeterministic algorithm* that accepts  $L$

1. input  $x$  of length  $n$
2. nondeterministically guess  $c$  of length  $\leq p(n)$



# Nondeterminism vs Verification

## Theorem

A language  $L$  is polynomially verifiable if, and only if, it is in NP.

To prove this, suppose  $L$  is a language, which has a verifier  $V$ , which runs in time  $p(n)$ .

The following describes a *nondeterministic algorithm* that accepts  $L$

1. input  $x$  of length  $n$
2. nondeterministically guess  $c$  of length  $\leq p(n)$
3. run  $V$  on  $(x, c)$

# Nondeterminism vs Verification

In the other direction, suppose  $M$  is a nondeterministic machine that accepts a language  $L$  in time  $n^k$ .

# Nondeterminism vs Verification

In the other direction, suppose  $M$  is a nondeterministic machine that accepts a language  $L$  in time  $n^k$ .

We define the *deterministic algorithm*  $V$  which on input  $(x, c)$  simulates  $M$  on input  $x$ .

At the  $i^{\text{th}}$  nondeterministic choice point,  $V$  looks at the  $i^{\text{th}}$  character in  $c$  to decide which branch to follow.

If  $M$  accepts then  $V$  accepts, otherwise it rejects.

# Nondeterminism vs Verification

In the other direction, suppose  $M$  is a nondeterministic machine that accepts a language  $L$  in time  $n^k$ .

We define the *deterministic algorithm*  $V$  which on input  $(x, c)$  simulates  $M$  on input  $x$ .

At the  $i^{\text{th}}$  nondeterministic choice point,  $V$  looks at the  $i^{\text{th}}$  character in  $c$  to decide which branch to follow.

If  $M$  accepts then  $V$  accepts, otherwise it rejects.

$V$  is a polynomial verifier for  $L$ .

**Why NP and not EXP?**