

Introduction to Complexity Theory

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- Nice to know in advance what kind of algorithms we **can** design
 - Convenient then to consider **classes** or problems with similar algorithmic properties
 - Focus on **decision problems** = problems with true/false answers or positive/negative instances
- Example of meaningful complexity classes:
 - **Semi-decidable problems**, for which we have algorithms that can provide the correct answer to positive instances but not to negative instances
 - Includes exactly all **specifiable problems**
 - **Decidable problems**, for which algorithms exist
 - **Intractable problems**, for which it is proven that no polynomial algorithm exist (decidability in Presburger arithmetic, position evaluation in Go, etc.)
 - **Tractable problems**, for which polynomial algorithms exist (sorting, shortest path, optimal BST, etc.)



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 - **Tractable problems**, for which polynomial algorithms exist (sorting, shortest path, optimal BST, etc.)
 - **Neither here nor there**: problems with no known polynomial time algorithms but not proven to have no such an algorithm



THE HALTING PROBLEM

- **Input:** A string P describing an algorithm and a string w as input for P
- **Output:** TRUE if P halts on w and FALSE if P runs forever on w

Theorem (Alan Mathison Turing, 1939)

The halting problem is undecidable (semi-decidable but not decidable)



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The halting problem is undecidable (semi-decidable but not decidable)

- Suppose that the problem is decidable and so is solved by $\text{HALT}(P, w)$
- Consider then the following algorithm:

```
algorithm DIAG( $x$ ):  
  if HALTS( $x, x$ ) then  
    while TRUE do nothing  
  else return TRUE
```

- Does $\text{DIAG}(\text{DIAG})$ halt?



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- Does $\text{DIAG}(\text{DIAG})$ halt?
 - If it halts then $\text{HALTS}(\text{DIAG}, \text{DIAG})$ returns TRUE (since HALTS solves the halting problem), which means that $\text{DIAG}(\text{DIAG})$ does not halt, a contradiction
 - If it does not halt; then $\text{HALTS}(\text{DIAG}, \text{DIAG})$ returns FALSE (since HALTS solves the halting problem), which means that $\text{DIAG}(\text{DIAG})$ halts and returns TRUE, another contradiction

Theorem (Henry Gordon Rice, 1951)

All nontrivial and extensional questions about algorithms are undecidable



- **Abstract problem**: relation Q over the set I of **problem instances** and the set S of **problem solutions**: $Q \subseteq I \times S$
 - Complexity theory deals with **decision problems** or **languages** ($S = \{0, 1\}$)
 - I partitioned into **positive** and **negative** problem instances
 - Technically a language is a set of strings
 - A problem $Q \subseteq I \times \{0, 1\}$ can be rewritten as the language (set)
 $L(Q) = \{w \in I : (w, 1) \in Q\}$
 - Many abstract problems are **optimization problems** instead; however, we can usually restate an optimization problem as a decision problem which requires the same amount of resources to solve



PROBLEMS REDEFINED

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 - Many abstract problems are **optimization problems** instead; however, we can usually restate an optimization problem as a decision problem which requires the same amount of resources to solve
- **Concrete problem:** an abstract decision problem with $I = \{0, 1\}^*$
 - Abstract problem mapped on concrete problem using an **encoding**
 $e : I \rightarrow \{0, 1\}^*$
 - $Q \subseteq I \times \{0, 1\}$ mapped to the concrete problem $e(Q) \subseteq e(I) \times \{0, 1\}$
 - Encodings will not affect the performance of an algorithm as long as they are **polynomially related**
- An algorithm **solves** a concrete problem in time $O(T(n))$ whenever the algorithm produces in $O(T(n))$ time a solution for any problem instance i with $|i| = n$



- **Complexity theory** analyzes **problems** from the perspective of how many resources (e.g., **time**, storage) are necessary to solve them
 - Given some abstract problem that requires certain resource (time) bounds to solve, it is generally easy to find a language that requires the same resource bounds to decide
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- **Traveling salesman (TSP)**: Given $n \geq 2$, a matrix $(d_{ij})_{1 \leq i, j \leq n}$ with $d_{ij} > 0$ and $d_{ii} = 0$, find a permutation π of $\{1, 2, \dots, n\}$ such that $c(\pi)$, the cost of π is minimal, where $c(\pi) = d_{\pi_1 \pi_2} + d_{\pi_2 \pi_3} + \dots + d_{\pi_{n-1} \pi_n} + d_{\pi_n \pi_1}$
 - TSP the language (take 1): $\{((d_{ij})_{1 \leq i, j \leq n}, B) : n \geq 2, B \geq 0, \text{ there exists a permutation } \pi \text{ such that } c(\pi) \leq B\}$
 - TSP the language (take 2), or the **Hamiltonian graphs**: Exactly all the graphs that have a (Hamiltonian) cycle that goes through all the vertices exactly once



- **Clique:** Given an undirected graph $G = (V, E)$, find the maximal set $C \subseteq V$ such that $\forall v_i, v_j \in C : (v_i, v_j) \in E$ (C is a **clique** of G)
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- **SAT**: Fix a set of **variables** $X = \{x_1, x_2, \dots, x_n\}$ and let $\bar{X} = \{\bar{x}_1, \bar{x}_2, \dots, \bar{x}_n\}$
 - An element of $X \cup \bar{X}$ is called a **literal**
 - A **formula** (or set/conjunction of **clauses**) is $\alpha_1 \wedge \alpha_2 \wedge \dots \wedge \alpha_m$ where $\alpha_i = x_{a_1} \vee x_{a_2} \vee \dots \vee x_{a_k}$, $1 \leq i \leq m$, and $x_{a_i} \in X \cup \bar{X}$
 - An **interpretation** (or truth assignment) is a function $I : X \rightarrow \{\top, \perp\}$
 - A formula F is **satisfiable** iff there exists an interpretation under which F evaluates to \top .
 - **SAT** = $\{F : F \text{ is satisfiable}\}$
- **2-SAT**, **3-SAT** are variants of SAT (with the number of literals in every clause restricted to a maximum of 2 and 3, respectively)



LANGUAGES? PROBLEMS? (CONT'D)

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- **2-SAT**, **3-SAT** are variants of SAT (with the number of literals in every clause restricted to a maximum of 2 and 3, respectively)
- **Note in passing:** Sometimes SAT (2-SAT, 3-SAT) is called CNF (2-CNF, 3-CNF) because the input formulae are written in **conjunctive normal form**



- A **nondeterministic algorithm** is an algorithm that can be in more places at once while deciding a problem
 - Sole additional operation is the **nondeterministic guess** of a bit: GUESS returns 0 and 1 **at the same time**
 - After a guess the algorithm continues in parallel for both cases 0 and 1
 - The algorithm returns TRUE iff at least one of the parallel paths return TRUE
 - Running time: the running time of the longest parallel path
 - Example:

algorithm ISCOMPOSITE(k):

```
 $f_1 \leftarrow 1$   
 $f_2 \leftarrow 1$   
for  $i = 1$  to  $\log k$  do  $f_1 \leftarrow 2 \times f_1 + \text{GUESS}$   
for  $i = 1$  to  $\log k$  do  $f_2 \leftarrow 2 \times f_2 + \text{GUESS}$   
return  $k = f_1 \times f_2$ 
```

- Running time: $O(n + t_{\times}(n))$, with $t_{\times}(n)$ the time it takes to multiply n -bit numbers
- Correctness: f_1 and f_2 range over all $\log k$ -bit numbers = all possible factors of n
- If $f_1 \times f_2$ is never equal to n then all paths return FALSE (so ISCOMPOSITE returns FALSE), otherwise at least one path returns TRUE (so ISCOMPOSITE returns TRUE)



Theorem

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- In the worst case every step is a guess, hence the $O(2^{r(n)})$ overall running time



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- Alternatively, think about the running paths of a deterministic algorithm as a sequence of states
 - The length of the sequence is the running time
- By contrast the running time of a nondeterministic algorithm branches at each guess forming a binary tree
 - The running time is the height of the tree
 - A deterministic algorithm has to traverse the whole tree



A FEW COMPLEXITY CLASSES

- \mathcal{P} : The class of exactly all problems solved by (deterministic) algorithms running in $\text{poly}(n) = n^{O(1)}$ time
- \mathcal{NP} : The class of exactly all problems solved by nondeterministic algorithms running $\text{poly}(n)$ time
- \mathcal{EXP} : The class of exactly all problems solved by (deterministic) algorithms running in $2^{n^{O(1)}}$ time

Corollary

$$\mathcal{P} \subseteq \mathcal{NP} \subseteq \mathcal{EXP}$$

- True or false: $\mathcal{P} = \mathcal{NP}$



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Corollary

$$\mathcal{P} \subseteq \mathcal{NP} \subseteq \mathcal{EXP}$$

- True or false: $\mathcal{P} = \mathcal{NP}$ – open question (since 1971, arguably earlier)
- Algorithms for problems in \mathcal{NP} consist of a nondeterministic **guessing** step followed by a deterministic **verification** step
 - Clique: guess a set of vertices, then verify that the guessed set is a clique
 - Hamiltonian cycle: guess a permutation of vertices, then verify that the guessed permutation forms a cycle



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 - Clique: guess a set of vertices, then verify that the guessed set is a clique
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- Alternative definition for \mathcal{NP} : A problem $Q \subseteq I \times \{0, 1\}$ is in \mathcal{NP} iff the following problem is in \mathcal{P} : Given $w \in I$, determine whether $(w, 1) \in Q$
 - The problem becomes easy if we take the guess out

EXAMPLES OF NONDETERMINISTIC ALGORITHMS



algorithm KNAPSACK(C, n, p, w, K):

```
// guess a set of objects
 $O \leftarrow \emptyset$ 
for  $i = 1$  to  $n$  do
  if GUESS = 1 then  $O \leftarrow O \cup \{i\}$ 

// calculate the weight and profit
 $W \leftarrow 0$ 
 $P \leftarrow 0$ 
foreach  $i \in O$  do
   $W \leftarrow W + w_i$ 
   $P \leftarrow P + p_i$ 
return  $W \leq C \wedge P \geq K$ 
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algorithm CLIQUE($G = (V, E), K$):

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// guess a set of vertices
 $C \leftarrow \emptyset$ 
foreach  $v \in V$  do
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// check if  $C$  is a clique
foreach  $u \in C$  do
  foreach  $v \in C$  do
    if  $u \neq v \wedge (u, v) \notin E$  then
      return FALSE
return  $|C| \geq K$ 
```

algorithm GUESSNUMBER(n):

```
 $k \leftarrow 0$ 
for  $i = 1$  to  $\log n$  do
   $k \leftarrow 2 \times k + \text{GUESS}$ 
return  $k$ 
```

algorithm TSP($d_{1\dots n, 1\dots n}, K$):

```
// guess  $n$  numbers
 $\pi \leftarrow \langle \rangle$ 
for  $i = 1$  to  $n$  do
   $\pi \leftarrow \pi + \langle \text{GUESSNUMBER}(n) \rangle$ 

// verify that  $\pi$  is a permutation
for  $i = 1$  to  $n$  do
  for  $j = 1$  to  $n$  do
    if  $\pi_i = \pi_j$  then return FALSE

// calculate the cost of cycle  $\pi$ 
 $c \leftarrow 0$ 
for  $i = 1$  to  $n$  do
   $c \leftarrow c + d_{\pi_i, \pi_{(i+1) \bmod n}}$ 
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- All the “brute force” solutions discussed earlier are effectively polynomial time nondeterministic algorithms!



- A problem Q can be **reduced** to another problem Q' if any instance of Q can be “**easily** rephrased” as an instance of Q'
 - If Q reduces to Q' then Q is “not harder to solve” than Q'



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- **Polynomial reduction**: A language L_1 is polynomial-time reducible to a language L_2 ($L_1 \leq_P L_2$) iff there exists a **polynomial algorithm** F that computes the function $f : \{0, 1\}^* \rightarrow \{0, 1\}^*$ such that
$$\forall x \in \{0, 1\}^* : x \in L_1 \text{ iff } f(x) \in L_2$$
 - Polynomial reductions show that a problem is not harder to solve than another within a polynomial-time factor



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 - Polynomial reductions show that a problem is not harder to solve than another within a polynomial-time factor

Lemma

- 1 \leq_P is a preorder (reflexive and transitive but not necessarily symmetric or antisymmetric)
- 2 $L_1 \leq_P L_2 \wedge L_2 \in P \Rightarrow L_1 \in P$



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- 1 \leq_P is a preorder (reflexive and transitive but not necessarily symmetric or antisymmetric)
 - 2 $L_1 \leq_P L_2 \wedge L_2 \in P \Rightarrow L_1 \in P$
- A problem L is **NP-hard** iff $\forall L' \in \mathcal{NP} : L' \leq_P L$
 - A problem L is **NP-complete** ($L \in \mathcal{NPC}$) iff L is NP-hard and $L \in \mathcal{NP}$

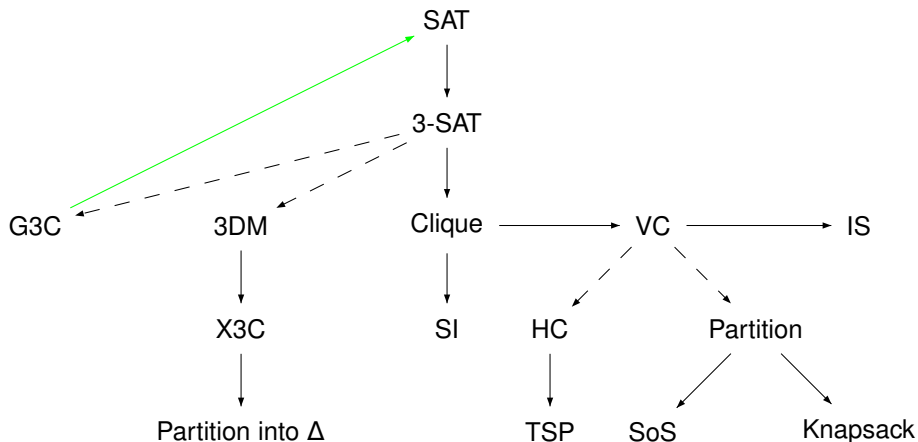
Theorem

Let L be *some* NP-complete problem; then $P = \mathcal{NP}$ iff $L \in P$



- Are there NP-complete problems at all?
 - $\text{SAT} \in \mathcal{NPC}$ (Stephen Cook, 1971)
- The first is the hard one: need to show that **every** problem in \mathcal{NP} reduces to our problem
- Then in order to find other NP-complete problems all we need to do is to find problems such that **some** problem already known to be NP-complete reduces to them
 - This works because polynomial reductions are closed under composition = are transitive
- Then it is apparently easy to use the theorem stated earlier:
Let L be **some** NP-complete problem; then $\mathcal{P} = \mathcal{NP}$ iff $L \in \mathcal{P}$

SOME WELL-KNOWN NP-COMPLETE PROBLEMS





- 3-Dimensional Matching (3DM):
 - Input: A set $M \subseteq W \times X \times Y$ where W , X and Y are disjoint sets having the same number q of elements
 - Question: Does M contain a matching?
 - A matching is a subset $M' \subseteq M$ such that $|M'| = q$ and no two elements in M' agree in any position
- Vertex Cover (VC):
 - Input: A Graph $G = (V, E)$ and an integer k , $0 \leq k \leq |V|$
 - Question: Is there a vertex cover of size less than k that is, a subset $V' \subseteq V$, $|V'| \leq k$ such that for all edges $(u, v) \in E$ we have $u \in V' \vee v \in V'$?
- Independent Set (IS):
 - Input: A Graph $G = (V, E)$ and an integer k , $0 \leq k \leq |V|$
 - Question: Does G contain an independent set of size larger than k that is, a subset $V' \subseteq V$, $|V'| \geq k$ such that $(u, v) \notin E$ for all $u, v \in V'$?
- Partition:
 - Input: A finite set A and a size $s(a) \in \mathbb{N}$ for each $a \in A$
 - Question: Is there $A' \subseteq A$ such that $\sum_{a \in A'} s(a) = \sum_{a \notin A'} s(a)$?



SOME NP-COMPLETE PROBLEMS (CONT'D)

- Sum of Subsets (SoS):
 - Input: A finite set A , a size $s(a) \in \mathbb{N}$ for each $a \in A$, and $B \in \mathbb{N}$
 - Question: Is there $A' \subseteq A$ such that $\sum_{a \in A'} s(a) = B$?
- Graph 3-Colorability (G3C):
 - Input: A graph G
 - Question: Is the chromatic number of G less than 3?
- Subgraph Isomorphism (SI):
 - Input: Two graphs $G = (V_1, E_1)$ and $H = (V_2, E_2)$
 - Question: Does G contain a subgraph isomorphic to H that is, a subgraph $G' = (V, E)$ such that $V \subseteq V_1$, $E \subseteq E_1$, $|V| = |V_2|$, $|E| = |E_2|$, and there is a one-to-one correspondence between E and E_2 ?
- Exact Covering by 3 Sets (X3C):
 - Input: A finite set X with $|X| = 3q$ and a collection C of 3-element subsets of X
 - Does C contain an exact cover for X that is, a subcollection $C' \subseteq C$ s.t. $|C'| = q$ and every element in X occurs in exactly one member of C' ?
- Partition into Triangles:
 - Input: A Graph $G = (V, E)$ such that $|V| = 3q$
 - Question: Is there a partition of V into q disjoint sets V_1, V_2, \dots, V_q of 3 vertices each such that for each $V_j = v_{j1}, v_{j2}, v_{j3}$ we have $\{(v_{j1}, v_{j2}), (v_{j2}, v_{j3}), (v_{j3}, v_{j1})\} \subseteq E$?



- There are problems that are known to be in neither \mathcal{P} nor \mathcal{NPC}
- Example: the language of composite numbers (aka the integer factorization problem)
 - In \mathcal{NP}
 - Its complement also in \mathcal{NP}
 - Suspected outside \mathcal{P}
 - Suspected outside \mathcal{NPC}
 - Its placement outside \mathcal{P} crucial to modern cryptography