

# Computational complexity

lecture 8

## Berman's theorem (\*)

Theorem (Berman 1978)

If  $\mathbf{P} \neq \mathbf{NP}$ , then no language over a single-letter alphabet is **NP**-hard.

In consequence there are difficult (and even undecidable) languages that are not **NP**-hard.

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Proof

Let  $L$  be an **NP**-hard language over a single-letter alphabet. We will give a polynomial-time algorithm for SAT, contradicting  $\mathbf{P} \neq \mathbf{NP}$ .

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By assumption there is a reduction  $g$  from SAT to  $L$ .

The algorithm is as follows:

- We are given a formula  $\phi$
- We will keep a list of formulas  $\psi_1, \dots, \psi_k$  such that:  $\phi$  is satisfiable iff some of  $\psi_1, \dots, \psi_k$  is satisfiable. Initially the list contains  $\phi$ .

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- We alternately repeat two kinds of steps:
  - 1) Replace every  $\psi_i$  by two formulas:  $\psi_i[true/x]$  and  $\psi_i[false/x]$ , obtained by substituting true/false for one of variables.  
(clearly  $\psi_i$  is satisfiable iff some of  $\psi_i[true/x]$ ,  $\psi_i[false/x]$  is satisfiable)

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  - 2) For every pair  $\psi_i, \psi_j$  such that  $g(\psi_i) = g(\psi_j)$ , remove  $\psi_i$  from the list, leave only  $\psi_j$  (notice that  $\psi_i$  is satisfiable iff some of  $\psi_j$  is satisfiable)

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The algorithm is correct. Why does it work in polynomial time?

- Recall that  $g$  is a polynomial-time reduction to a single-letter language. Thus  $|g(\psi_i)| < p(|\psi_i|)$  for some polynomial  $p$ .  
Since there is only one single-letter word of every length, there are only  $p(|\psi_i|) \leq p(|\phi|)$  possibilities for  $g(\psi_i)$ .
- In effect, the list has length  $\leq p(|\phi|)$  after every execution of step 2, and  $\leq 2 \cdot p(|\phi|)$  after every execution of step 1.
- Moreover, every step can be performed in polynomial time.

This finishes the proof.

## Relativisation

Many proofs in the complexity theory uses Turing machines as “black-boxes” – the proofs are of the form:

- assume that there is a machine  $M$  working in time ... recognizing ...
- Out of it, we create  $M'$ , which executes  $M$  many times in a loop...
- ... then it negates the results, executes itself on every machine ...
- at the end we obtain a machine  $M''''''$ , about which we know that it cannot exist, thus  $M$  could not exist.

Such proofs relativize, i.e., they work also when every machine in the world has access to some fixed oracle (that is, it can ask whether a word belongs to a language  $L$ , and immediately obtain an answer)



## Relativisation

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- ...

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Examples of relativizing proofs: Turing theorem about undecidability, hierarchy theorems, gap theorems, Ladner's theorem, Immerman-Szelepcseny theorem, Savitch theorem, ...

On the other hand, proofs based on circuits do not relativize (it is not at all clear what is an oracle for a circuit)

The next theorem shows that using relativizing arguments we cannot solve the **P** vs. **NP** problem.

# Baker-Gill-Solovay theorem

Theorem (Baker-Gill-Solovay, 1975)

There exist languages  $A$  and  $B$  such that  $\mathbf{P}^A = \mathbf{NP}^A$  and  $\mathbf{P}^B \neq \mathbf{NP}^B$

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Proof

As  $A$  we can take QBF – we have:

$$\mathbf{NP}^{\text{QBF}} \subseteq \mathbf{NPSPACE} = \mathbf{PSPACE} = \mathbf{P}^{\text{QBF}}$$

Steps from the left:

- instead of asking the QBF oracle about a word, a machine can itself compute the answer (questions are of polynomial length, and QBF can be solved in polynomial space)
- Savitch theorem
- **PSPACE**-completeness of the QBF problem

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Does  $A = \text{SAT}$  work as well? –  $\mathbf{NP}^{\text{SAT}} \subseteq \mathbf{NP} \subseteq \mathbf{P}^{\text{SAT}}$

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Does  $A = \text{SAT}$  work as well? –  ~~$\mathbf{NP}^{\text{SAT}} \subseteq \mathbf{NP} \subseteq \mathbf{P}^{\text{SAT}}$~~

NO – an **NP** algorithm for SAT doesn't give the inclusion  $\mathbf{NP}^{\text{SAT}} \subseteq \mathbf{NP}$  (maybe the external algorithm „prefers” to obtain that a formula is not satisfiable, and it will incorrectly compute its satisfiability)

It is important that QBF can be solved in deterministic **PSPACE**

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Proof

We now construct an oracle  $B$ , and we consider the language

$L = \{1^n : \text{some word } w \text{ of length } n \text{ belongs to } B\}$

- Clearly  $L \in \mathbf{NP}^B$  – nondeterministic machine can guess some  $w \in B$
- A deterministic machine recognizing  $L$  has a problem: it can only ask the oracle for consecutive words, but it has not enough time to check all of them. We only need to choose  $B$  so that indeed it is impossible to do anything better.

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We now choose  $B$ :

- Fix a list  $M_1, M_2, M_3, \dots$  of all Turing machines with oracle working in polynomial time
  - an oracle is not a part of the definition of the machine,
  - for every  $M_i$  there should exist a polynomial  $p_i$  such that for every oracle the machine  $M_i$  works in time  $p_i(n)$
  - if some  $M$  with oracle  $C$  recognizes a language  $L$  in polynomial time, then some  $M_i$  with oracle  $C$  also recognizes  $L$
  - such a list  $M_1, M_2, M_3, \dots$  is created as in the proof of Ladner's theo.
  - this time, we do not use the fact that the list is computable (conversely to the proof of the Ladner's theorem)
- We construct  $B$  gradually, cheating consecutive machines

## Baker-Gill-Solovay theorem (\*)

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We create  $B = \bigcup_{i \in \mathbb{N}} B_i$  and a sequence  $n_i$  such that:

- $M_i^{B_i}$  incorrectly recognizes the word  $1^{n_i}$
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We start with  $B_0 = \emptyset$ ; then for consecutive  $i$ :

- we take  $n_i$  so large that for all  $j < i$ , machine  $M_j$  for on the word  $1^{n_j}$  produces only queries shorter than  $n_i$  (thanks to this the machines that were cheated earlier remain cheated), and such that  $M_i$  on the word  $1^{n_i}$  works in less than  $2^{n_i}$  steps



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  - run  $M_i^{B_{i-1}}$  on the word  $1^{n_i}$
  - if it accepts, take  $B_i = B_{i-1}$  – then  $1^{n_i} \notin L$ , we have cheated  $M_i$
  - if it rejects, find a word  $w$  of length  $n_i$  about which  $M_i$  haven't asked (it exists, since  $M_i$  has made  $< 2^{n_i}$  step) and define  $B_i = B_{i-1} \cup \{w\}$
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- The language  $B$  is computable, but in this theorem this is meaningless

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## Search problems

The **NP** class was defined for decision problems („yes/no”),  
e.g., does there exist a valuation satisfying a formula,  
does there exist a Hamiltonian cycle, ...

We can also consider search problems,  
e.g., find a valuation satisfying a formula,  
find a Hamiltonian cycle, ...

- Of course search problems are not easier than decision problems. Thus if **P**≠**NP**, then search problems cannot be solved in polynomial time as well.
- And what if **P**=**NP**? Maybe it is possible to decide quickly whether there is a Hamiltonian cycle, but it is impossible to quickly find it?

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- And what if **P**=**NP**? ~~Maybe it is possible to decide quickly whether there is a Hamiltonian cycle, but it is impossible to quickly find it?~~
- **Then it possible to solve also search problems in polynomial time.**

# Search problems

## Theorem

If **P=NP**, then for every language  $L \in \mathbf{NP}$  there is a polynomial algorithm that reads  $v \in L$  and finds a witness for  $v$ .

We refer here to the definition of **NP** using witnesses:

**NP** contains languages of the form  $\{v : \exists w. v\$w \in R\}$ , where  $R$  is a relation recognizable in polynomial time and such that  $v\$w \in R$  implies  $|w| \leq p(|v|)$  for some polynomial  $p$ .

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## Proof

Consider first the SAT problem – we assume that there is a polynomial-time algorithm  $A$  for SAT, we want to find a valuation:

- Using  $A$  we check whether the formula is satisfiable
- If yes, we set  $x_1=1$  and we check whether it is still satisfiable
- Yes  $\Rightarrow$  keep  $x_1=1$  and continue for a smaller formula
- No  $\Rightarrow$  set  $x_1=0$  and continue for a smaller formula
- In this way we eliminate consecutive variables, and we obtain a whole valuation

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## Proof

- For SAT we already know, consider now an arbitrary problem from  $\mathbf{NP}$
- It is enough to see that the reduction from the Cook-Levin theorem ( $\mathbf{NP}$ -hardness of SAT) is actually a Levin reduction (i.e., it allows to recover witnesses)

# Polynomial hierarchy

The following problem is in **NP**:

INDSET =  $\{(G,k) : \text{in graph } G \text{ there is an independent set of size } \geq k\}$

Consider now a slightly more difficult problem:

EXACT-INDSET =  $\{(G,k) : \text{the largest independent set in } G \text{ is of size } k\}$

We see no reason for this problem to be in **NP**...

What would be a witness?



# Polynomial hierarchy

EXACT-INDSET =  $\{(G,k) : \text{the largest independent set in } G \text{ is of size } k\}$

A similar problem:

MIN-DNF =  $\{ \phi : \phi \text{ is a formula in the DNF form, not equivalent to any smaller formula in the DNF form} \}$   
 $= \{ \phi : \forall \psi, |\psi| < |\phi| \Rightarrow \exists \text{ valuation } s \text{ such that } \phi(s) \neq \psi(s) \}$

In order to describe these problems, it is not enough to use one „exists” quantifier (as in **NP**), neither one „for all” quantifier (as in **coNP**). We have here a combination of two quantifiers.

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Class  $\Sigma_2^p$  contains languages  $L$  for which there is a machine  $M$  working in polynomial time, and a polynomial  $q$  such that:

$$x \in L \Leftrightarrow \exists u \in \{0,1\}^{q(|x|)} \forall v \in \{0,1\}^{q(|x|)} M(x,u,v)=1$$

The language EXACT-INDSET is of this form:

$\exists S \forall S'$ .  $S$  is an independent set of size  $k$  and  
 $S'$  is not an independent set of size  $>k$

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Class  $\Pi_2^P$  contains complements of languages from  $\Sigma_2^P$ ; it is easy to see that it contains languages  $L$  for which there is a machine  $M$  working in polynomial time, and a polynomial  $q$  such that:

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The language EXACT-INDSET is of this form as well:

$\forall S' \exists S$  .  $S$  is an independent set of size  $k$  and

$S'$  is not an independent set of size  $>k$

Also the language MIN-DNF is of this form:

$$\forall \psi \exists s . |\psi| < |\phi| \Rightarrow \phi(s) \neq \psi(s)$$

However, it is believed that MIN-DNF does not belong to  $\Sigma_2^P$

## Polynomial hierarchy

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### Fact

Class  $\Sigma_2^p$  contains precisely languages recognizable by nondeterministic Turing machines with an oracle for SAT (or with an oracle for an arbitrary language in **NP**).

For this reason, the class is sometimes denoted **NP<sup>NP</sup>**

Obviously  $\Sigma_2^p$  contains all languages from **NP** and from **coNP**

# Polynomial hierarchy

Class  $\Sigma_k^p$  contains languages  $L$  for which there is a machine  $M$  working in polynomial time, and a polynomial  $q$  such that:

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We also define  $\mathbf{PH} = \bigcup_k \Sigma_k^p$

How are these classes related?

Fact 1:  $\Sigma_k^p \subseteq \Sigma_{k+1}^p$ ,  $\Sigma_k^p \subseteq \Pi_{k+1}^p$ ,  $\Pi_k^p \subseteq \Sigma_{k+1}^p$ ,  $\Pi_k^p \subseteq \Pi_{k+1}^p$

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Proof

For  $L \in \Sigma_k^p$  we have a machine  $M$  working in polynomial time, and a polynomial bound  $q$  on the length of  $u_1, \dots, u_k$ , such that:

$$x \in L \Leftrightarrow \exists u_1 \forall u_2 \dots \forall u_k M(x, u_1, \dots, u_k) = 1$$

Consider  $M'$  such that  $M'(x, u_0, u_1, \dots, u_k) = M(x, u_1, \dots, u_k)$ . Then

$$x \in L \Leftrightarrow \forall u_0 \exists u_1 \forall u_2 \dots \forall u_k M'(x, u_0, u_1, \dots, u_k) = 1$$

So  $L \in \Pi_{k+1}^p$

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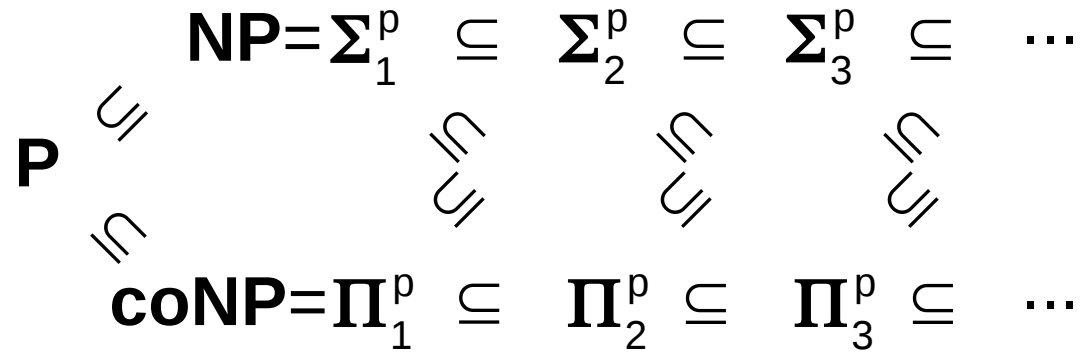
$$x \in L \Leftrightarrow \exists u_1 \forall u_2 \dots \forall u_k \exists u_{k+1} M''(x, u_1, \dots, u_k, u_{k+1}) = 1$$

So  $L \in \Sigma_{k+1}^p$

Similarly we proceed for  $L \in \Pi_k^p$

# Polynomial hierarchy

Fact 1:  $\Sigma_k^p \subseteq \Sigma_{k+1}^p$ ,  $\Sigma_k^p \subseteq \Pi_{k+1}^p$ ,  $\Pi_k^p \subseteq \Sigma_{k+1}^p$ ,  $\Pi_k^p \subseteq \Pi_{k+1}^p$

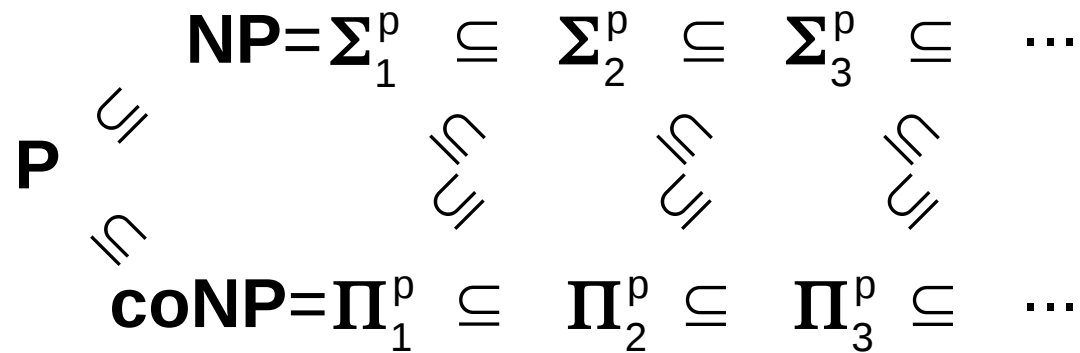


Are these inclusions strict? And how are  $\Sigma_k^p$  and  $\Pi_k^p$  related?



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Are these inclusions strict? And how are  $\Sigma_k^p$  and  $\Pi_k^p$  related?

We don't know (it is believed that all these classes are different).

But there are only two possibilities:

- either all the classes are different, or
- they are different to some point, and then they start to be equal

Fact 2:

If  $\Sigma_k^p = \Pi_k^p$ , then  $\Sigma_k^p = \Sigma_{k+1}^p = \dots = \Pi_k^p = \Pi_{k+1}^p = \dots = \mathbf{PH}$ .

If  $\mathbf{P} = \mathbf{NP}$ , then  $\mathbf{P} = \Sigma_1^p = \Sigma_2^p = \dots = \Pi_1^p = \Pi_2^p = \dots = \mathbf{PH}$ .

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Proof (first part, the second part is analogous):

Consider a language  $L$  in  $\mathbf{PH}$ . It is in some  $\Sigma_n^p$ , where  $n > k$ . There is a machine  $M$  working in polynomial time, and a polynomial bound on the length of  $u_1, \dots, u_n$ , such that (suppose that  $n, k$  even):

$$x \in L \Leftrightarrow \exists u_1 \forall u_2 \dots \exists u_{n-k-1} \forall u_{n-k} \exists u_{n-k+1} \forall u_{n-k+2} \dots \exists u_{n-1} \forall u_n M(x, u_1, \dots, u_n) = 1$$

Consider now the language

$$L' = \{(x, u_1, \dots, u_k) : \exists u_{n-k+1} \forall u_{n-k+2} \dots \exists u_{n-1} \forall u_n M(x, u_1, \dots, u_n) = 1\}$$

We have  $L' \in \Sigma_k^p = \Pi_k^p$ , so  $L'$  is of the form (for some  $M'$ ):

$$L' = \{(x, u_1, \dots, u_k) : \forall u_{n-k+1} \exists u_{n-k+2} \dots \forall u_{n-1} \exists u_n M'(x, u_1, \dots, u_n) = 1\}$$

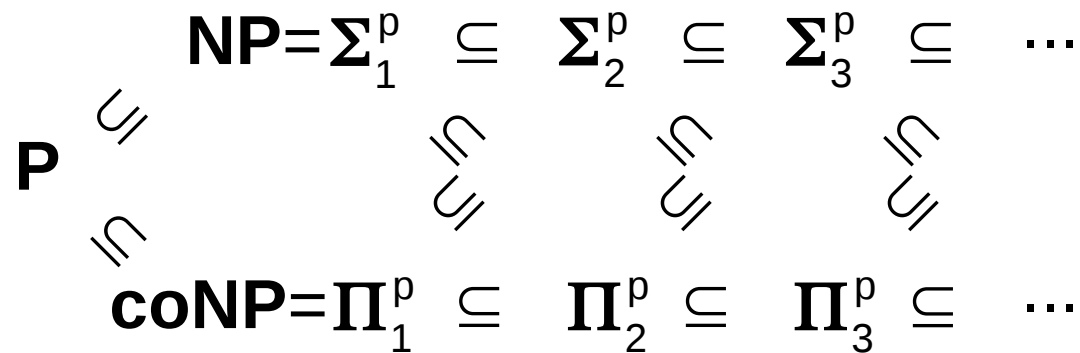
This means that

$$x \in L \Leftrightarrow \exists u_1 \forall u_2 \dots \exists u_{n-k-1} \forall u_{n-k} \forall u_{n-k+1} \exists u_{n-k+2} \dots \forall u_{n-1} \exists u_n M'(x, u_1, \dots, u_n) = 1$$

We can merge  $u_{n-k}$  and  $u_{n-k+1}$  to a single word (longer twice),

so  $L \in \Sigma_{n-1}^p$

# Polynomial hierarchy



There are only two possibilities:

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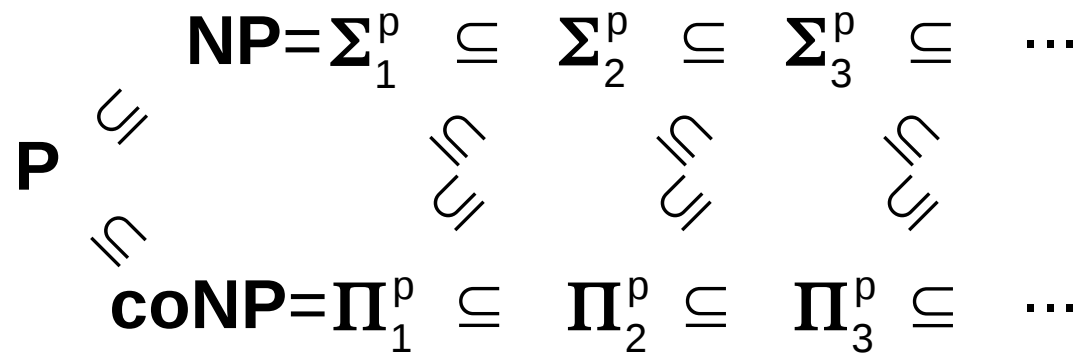
Complete language in  $\Sigma_k^P$ ?

Input: a sentence of the following form (with  $k$  blocks of quantifiers)

$$\exists x_{11}, \dots, x_{1n} \forall x_{21}, \dots, x_{2n} \exists x_{31}, \dots, x_{3n} \dots Q x_{k1}, \dots, x_{kn} \phi(x_{11}, \dots, x_{kn})$$

Question: is the sentence true?

# Polynomial hierarchy



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Question: is the sentence true? (similarly for  $\Pi_k^p$ )

Complete language in  $\mathbf{PH}$ ?

Fact 3:

If there exists a  $\mathbf{PH}$ -complete language, then  $\mathbf{PH} = \Sigma_k^p$  for some  $k$

Proof – The  $\mathbf{PH}$ -complete language belongs to some  $\Sigma_k^p$ , and

$\Sigma_k^p$  is closed under reductions in polynomial time.

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If there exists a  $\mathbf{PH}$ -complete language, then  $\mathbf{PH} = \Sigma_k^p$  for some  $k$

Fact 4:  $\mathbf{PH} \subseteq \mathbf{PSPACE}$

Proof: The  $\Sigma_k^p$ -complete language mentioned above is a special case of QBF, which belongs to  $\mathbf{PSPACE}$ .

# Polynomial hierarchy

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Fact 5: If the classes  $\Sigma_k^p$  are all different, then  $\mathbf{PH} \neq \mathbf{PSPACE}$

Proof: Follows from Fact 3 – in  $\mathbf{PSPACE}$  there is a complete language.

## Alternating machines

- Alternating Turing machines (ATM) generalize nondeterministic ones (NTM)
- Both NTM and ATM are not a realistic model of computation (we cannot build such machines). But NTM help us to observe a very natural phenomenon: a difference between finding a solution and verifying a solution.
- ATMs have a similar role for some languages, for which there are no short witnesses, i.e., which cannot be characterized using nondeterminism.

# Alternating machines

Definition of ATM:

- a configuration can have multiple successors (as in NTM)
- additionally states of the machine (and in effect its configurations) are divided to existential and universal ones



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The set of wining configurations is defined as the smallest set s.t.:

- accepting configurations are winning
- every existential configuration, whose some successor is winning, is also winning
- every universal configuration, whose all successors are winning, is also winning

We accept a word  $w$ , if the initial configuration for this word is winning.

$M$  works in time  $T(n)$  / in space  $S(n)$ , if every computation fits in this time / space.

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Observation:

NTM is a special case of an ATM – only existential states

## Alternating machines

Equivalently: acceptance can be defined using a game:

- we consider the configuration graph (edges = possible transitions)
- players  $\exists$  and  $\forall$  alternately move a pawn (common to both player) around the graph
- in existential states player  $\exists$  decides, in universal states player  $\forall$  decides (player  $\exists$  wants to accept, player  $\forall$  wants to reject)
- we accept a word, if player  $\exists$  has a winning strategy – he can reach an accepting configuration regardless moves of player  $\forall$