

Université Paris Cité
LIPADE

Algorithmic Complexity

Non-Deterministic Time

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2022



Non-Deterministic Time Complexity Classes

Polynomial Hierarchy

Complexity of Well-Known Problems

- SAT and Related Problems

- Other Theoretical Problems

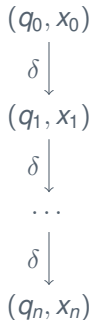
- Video Games

Determining the Complexity of a Problem

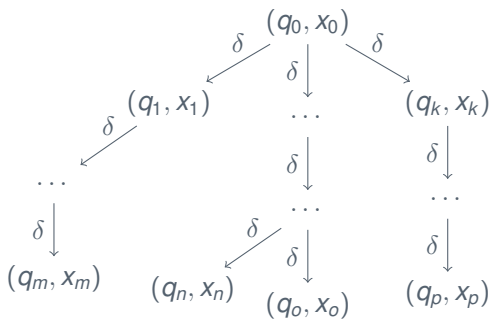
Reminder on DTM vs NDTM [Turing 1936]



Deterministic



Non-Deterministic





..... with DTM

- ▶ Linear calculations since δ is a 1 to 1 mapping from configurations to transitions
- ▶ **Exponential number of steps** cannot be avoided



..... with DTM

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..... with NDTM

- ▶ The tree structure can simulate parallel computing
- ▶ The solving time is the length of the longest branch of the tree
- ▶ **COULD BE polynomial** (no guarantee in general)
- ▶ When it stays exponential, it **COULD BE smaller exponential** (e.g. $\mathcal{O}(2^n)$ steps instead of $\mathcal{O}(10^n)$)



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Does $f(n) = 0$ have a solution, with $n \in [0, 1, \dots, 10^9]$?



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- ▶ Compute $f(i)$ on the i^{th} branch of the tree, with $0 \leq i \leq 10^9$



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..... with NDTM

- ▶ Compute $f(i)$ on the i^{th} branch of the tree, with $0 \leq i \leq 10^9$
- ▶ Whatever the solution of the problem, it is obtained in the time of a « single » $f(i)$ computation



Evaluating Time with NDTM

Given a function $f : \mathbb{N} \mapsto \mathbb{N}$, $\text{NTIME}(f(n))$ is the set of all languages decided by a NDTM \mathcal{M} in less than $g(n)$ steps (longer branch), with $g(n) \in \mathcal{O}(f(n))$



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Proposition

- ▶ $\forall f : \mathbb{N} \mapsto \mathbb{N}$, then $\text{DTIME}(f(n)) \subseteq \text{NTIME}(f(n))$
- ▶ $\forall f(n) \geq n$, $\text{NTIME}(f(n))$ is closed for finite union and finite intersection
 - ▶ if $\mathcal{L}_1, \dots, \mathcal{L}_m \in \text{NTIME}(f(n))$, then $\mathcal{L}_1 \cup \dots \cup \mathcal{L}_m \in \text{NTIME}(f(n))$
 - ▶ if $\mathcal{L}_1, \dots, \mathcal{L}_m \in \text{NTIME}(f(n))$, then $\mathcal{L}_1 \cap \dots \cap \mathcal{L}_m \in \text{NTIME}(f(n))$



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Closeness under complement is an open question. The answer is mainly assumed to be « no »



Definition

- ▶ The complexity class NP is the set of languages decided in polynomial time by a NDTM, i.e

$$\text{NP} = \bigcup_{k \in \mathbb{N}} \text{NTIME}(n^k)$$

- ▶ The complexity class NEXP is the set of languages decided in exponential time by a NDTM, i.e

$$\text{NEXP} = \bigcup_{k \in \mathbb{N}} \text{NTIME}(2^{n^k})$$



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Theorem

$$\text{P} \subseteq \text{NP} \subseteq \text{EXP} \subseteq \text{NEXP}$$

Moreover, $\text{P} \neq \text{EXP}$, $\text{NP} \neq \text{NEXP}$.

$\text{P} = \text{NP}$, $\text{NP} = \text{EXP}$ or $\text{EXP} = \text{NEXP}$ are *open questions*

Polynomial vs Exponential Time



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$\text{P} = \text{NP}$, $\text{NP} = \text{EXP}$ or $\text{EXP} = \text{NEXP}$ are *open questions*: **Millennium Prize Problems**



Clique

- ▶ Input: G a graph, $k \in \mathbb{N}$
- ▶ Problem: Does G contain a clique with size k ?

Subset Sum

- ▶ Input: $\{a_1, \dots, a_n\} \subset \mathbb{N}$, $k \in \mathbb{N}$
- ▶ Problem: Is there a subset $S \subseteq \{a_1, \dots, a_n\}$ s.t. $\sum_{x \in S} x = k$?



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Definition

Given a complexity class C , its complement $\text{co}C$ is defined by

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For complexity classes C defined with DTM, $\text{co}C = C$



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Important Complement Class

coNP is the complement complexity class of NP



No Clique

- ▶ Input: G a graph, $k \in \mathbb{N}$
- ▶ Problem: Does G contain no clique with size k ?

Why determining if a graph has a k -clique has not the same complexity than proving that it has no k -clique?



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- ▶ Problem: Does G contain no clique with size k ?

Why determining if a graph has a k -clique has not the same complexity than proving that it has no k -clique?

- ▶ To accept an instance of Clique: just exhibit one example of a k -clique to answer YES
- ▶ To accept an instance of No Clique: you have to check every k -subgraph G' and check if it's a clique



Theorem

$$P \subseteq NP \text{ and } P \subseteq \text{coNP}$$

but $NP = \text{coNP}$ or $NP \neq \text{coNP}$ is still an open question



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Idea of the polynomial hierarchy: define generalized complexity classes with similar inclusion pattern



Definition

Given C_1, C_2 two complexity classes, $C_1^{C_2}$ is the set of all problems which can be solved by a Turing machine from the class C_1 with an oracle from the class C_2



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Oracle of class C_2 : abstract entity which can solve in one step a problem from C_2



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Example

A problem belongs to P^{NP} if it can be solved by a DTM with polynomially many calls to a NP oracle (i.e. a polynomial NDTM)



Definition

The polynomial hierarchy is the set of complexity classes defined recursively by

$$\triangleright \Delta_0^P = \Sigma_0^P = \Pi_0^P = P$$

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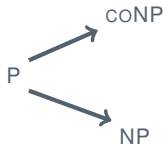
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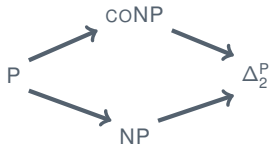
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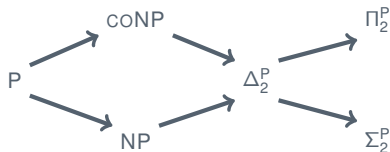
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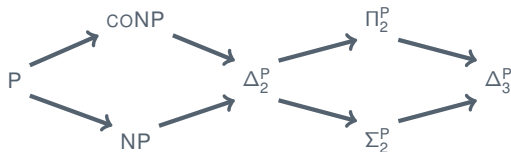
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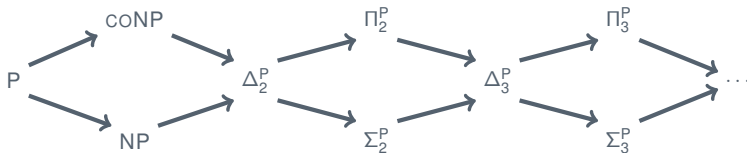
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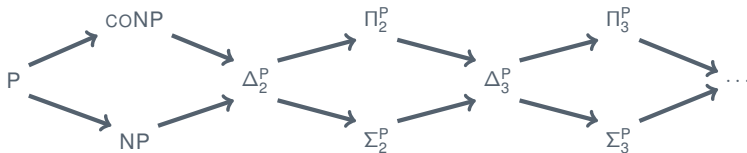
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$$\triangleright C_1 \rightarrow C_2 \text{ means that } C_1 \subseteq C_2$$

$$\triangleright \text{PH} = \bigcup_{i \in \mathbb{N}} \Sigma_i^P$$



Polynomial-Time Functional Reduction

A polynomial-time functional reduction f is a total computable function from a problem \mathcal{P}_1 to a problem \mathcal{P}_2 such that, for any instance i of \mathcal{P}_1 ,

- ▶ $f(i)$ can be computed in polynomial-time in the size of i
- ▶ i is a positive instance of \mathcal{P}_1 iff $f(i)$ is a positive instance of \mathcal{P}_2

Notation:

$$\mathcal{P}_1 \leq_f^P \mathcal{P}_2$$



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C-hardness

A problem \mathcal{P} is C-hard iff for each $\mathcal{P}' \in C$, $\mathcal{P}' \leq_f^P \mathcal{P}$

Intuition: \mathcal{P} is at least as hard to solve as every problem from C



C-completeness

A problem \mathcal{P} is C-complete iff it is C-hard and $\mathcal{P} \in C$

Intuition: \mathcal{P} is one of the hardest problems from C



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A lot of interesting AI problems are complete for NP, coNP, Σ_2^P or Π_2^P



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Determining the Complexity of a Problem



- ▶ $V = \{x_1, \dots, x_n\}$ a set of Boolean variables
- ▶ $C = \{\neg, \vee, \wedge\}$ a set of connectives
- ▶ A well formed formula (wff) ϕ is:
 - ▶ an atom: $\phi = x_i$
 - ▶ the negation of a wff: $\phi = \neg\psi$
 - ▶ the conjunction of two wffs: $\phi = \psi_1 \wedge \psi_2$
 - ▶ the disjunction of two wffs: $\phi = \psi_1 \vee \psi_2$
- ▶ Interpretation $\omega : V \mapsto \mathbb{B} = \{0, 1\}$
- ▶ Semantics of connectives:
 - ▶ $\omega(\neg\psi) = 1 - \omega(\psi)$
 - ▶ $\omega(\psi_1 \wedge \psi_2) = \min(\omega(\psi_1), \omega(\psi_2))$
 - ▶ $\omega(\psi_1 \vee \psi_2) = \max(\omega(\psi_1), \omega(\psi_2))$
- ▶ $\omega \models \phi$ iff $\omega(\phi) = 1$



Theorem [Cook 1971]

Given a propositional formula ϕ , the SAT problem consists in determining whether ϕ is consistent, i.e. whether ϕ has a model.

SAT is NP-complete.

General knowledge: SAT is the first problem which has been proved NP-complete.



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The power of propositional logic to express a lot of « real » problems (solving games, planning, . . .) has led to the development of quite efficient methods to solve NP-complete problems. But even these methods do not allow to solve ALL instances of NP-complete problems.



- ▶ A literal l is either a variable x or its negation $\neg x$
- ▶ A clause is a disjunction of literals $l_1 \vee \dots \vee l_n$
- ▶ A cube is a conjunction of literals $l_1 \wedge \dots \wedge l_n$

Conjunctive Normal Form

A formula is in CNF if it is a conjunction of clauses

Disjunctive Normal Form

A formula is in DNF if it is a disjunction of cubes



CNF-SAT

Any formula can be transformed in an equivalent CNF formula

- ▶ The transformation can be done in polynomial time



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- ▶ Solving CNF-SAT is NP-complete



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DNF-SAT

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DNF-SAT

Any formula can be transformed in an equivalent DNF formula

- ▶ Solving DNF-SAT is polynomial
- ▶ The transformation cannot be done in polynomial time :(



- ▶ A binary clause is a clause with two literals: $l_1 \vee l_2$
- ▶ A 2CNF is a CNF formula with only binary clauses

Complexity of 2SAT

Determining if a 2CNF formula is satisfiable is in P



- ▶ A Horn clause is a clause with at most one positive literal:
 $x_1 \vee \neg x_2 \cdots \vee \neg x_n$
- ▶ A Horn formula (or Horn CNF) is a CNF formula with only Horn clauses

Complexity of Horn-SAT

Determining if a Horn formula is satisfiable is in P



- ▶ A canonical QBF is a formula $Q_1x_1, Q_2x_2, \dots, Q_nx_n, \phi$ with
 - ▶ $Q_i \in \{\forall, \exists\}$ and $Q_i \neq Q_{i+1}$
 - ▶ x_1, \dots, x_n form a partition of the Boolean variables in ϕ
 - ▶ ϕ is a propositional formula
- ▶ E.g. $\exists x_1, x_3, \forall x_2, (\neg x_1 \vee x_2) \wedge (\neg x_3 \vee x_2)$
- ▶ \exists_n QBF is the decision problem: is the QBF $\exists x_1, \forall x_2, \dots, Q_nx_n, \phi$ true?
- ▶ \forall_n QBF is the decision problem: is the QBF $\forall x_1, \exists x_2, \dots, Q_nx_n, \phi$ true?

Complexity of \exists_n QBF

\exists_n QBF is Σ_n^P -complete

Complexity of \forall_n QBF

\forall_n QBF is Π_n^P -complete



Definition

Given a universe \mathcal{U} and $\mathcal{S} \subseteq 2^{\mathcal{U}}$, a set packing of \mathcal{U} is a subset $\mathcal{C} \subseteq \mathcal{S}$ s.t. all elements in \mathcal{C} are pairwise disjoint

Theorem [Karp 1972]

Given \mathcal{U}, \mathcal{S} and $k \in \mathbb{N}$, determining whether there is a set packing \mathcal{C} s.t. $|\mathcal{C}| = k$ is NP-complete



Definition

Given a list of objects x_1, \dots, x_n , each of them associated with a value v_1, \dots, v_n and a weight w_1, \dots, w_n , a knapsack with a maximal weight W , and an integer V , is it possible to fill the bag with some of the objects, such that the sum of the weights is lesser than W and the sum of the values is greater than V ?

Theorem

Solving the Knapsack Problem is NP-complete



Definition

A graph is a pair $G = \langle N, E \rangle$ where elements of N are called *nodes* and $E \subseteq N \times N$ is the set of *edges* between the nodes. A *kernel* of G is a subset $K \subseteq N$ s.t. $\forall n_i, n_j \in K, (n_i, n_j) \notin E$ and $\forall n_j \in N \setminus K, \exists n_i \in K$ s.t. $(n_i, n_j) \in E$

Theorem [Creignou 1995]

Given a graph G , determining whether G has a kernel is NP-complete.



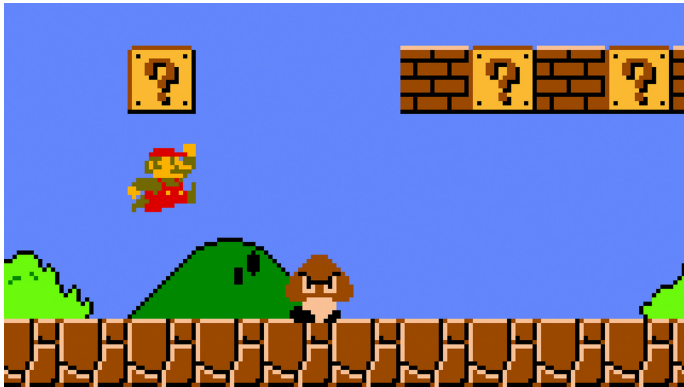
Definition

An implicant of a formula ϕ is a conjunction of literals $c = x_1 \wedge \dots \wedge x_n$ s.t. $c \vdash \phi$.

Theorem [Umans 2001]

Given a formula ϕ and $k \in \mathbb{N}$, determining whether ϕ has an implicant c s.t. $|c| \leq k$ is Σ_2^P -complete

Super Mario Bros.



Theorem [Aloupis *et al.* 2015]

It is NP-hard to decide whether the goal is reachable from the start of a stage in generalized Super Mario Bros.



Theorem [Aloupis *et al.* 2015]

It is NP-hard to decide whether the goal is reachable from the start of a stage in generalized Donkey Kong Country.

The Legend of Zelda



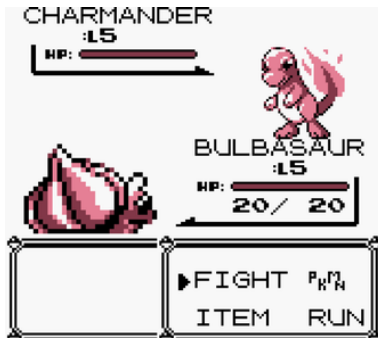
Theorem [Aloupis *et al.* 2015]

It is NP-hard to decide whether a given target location is reachable from a given start location in generalized Legend of Zelda, LoZ II: The Adventure of Link and LoZ: A Link to the Past.



Theorem [Aloupis *et al.* 2015]

It is NP-hard to decide whether a given target location is reachable from a given start location in generalized Metroid.



Theorem [Aloupis *et al.* 2015]

- ▶ It is NP-hard to decide whether a given target location is reachable from a given start location in generalized Pokémon.
- ▶ It is NP-complete to decide whether a given target location is reachable from a given start location in generalized Pokémon in which the only overworld game elements are enemy Trainers.



- ▶ [Garey and Johnson 1979]: One of the most well-known book on the topic, a lot of classical results
- ▶ [Schaefer and Umans 2002a, Schaefer and Umans 2002b]: More recent collection of results



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In some cases, it's not easy to determine precisely the complexity of a problem, but we can give lower/upper bounds.

- ▶ Lower bound: C-hardness. E.g. if \mathcal{P} is NP-hard, \mathcal{P} is at least as hard as SAT
- ▶ Upper bound: C membership. E.g. if $\mathcal{P} \in \Sigma_2^P$, \mathcal{P} is at most as hard as Shortest Implicant problem.



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- ▶ Exact complexity: C-completeness

Prove C-completeness: prove hardness (c.f. polynomial functional reductions) + prove membership



- “NP algorithm” for SAT.

Algorithm 1 SAT

Input: ϕ

Let ω be some interpretation

for c a clause in ϕ **do**

$sat_clause = false$

for l a literal in c **do**

if $\omega(l) = 1$ **then**

$sat_clause = true$

end if

end for

if not sat_clause **then**

return False

end if

end for

return True



- “NP algorithm” for SAT.

Algorithm 2 SAT

Input: ϕ

Let ω be some interpretation

for c a clause in ϕ **do**

$sat_clause = false$

for l a literal in c **do**

if $\omega(l) = 1$ **then**

$sat_clause = true$

end if

end for

if not sat_clause **then**

return False

end if

end for

return True

- Non-deterministic guess



- “NP algorithm” for SAT.

Algorithm 3 SAT

Input: ϕ

Let ω **be some interpretation**

for c **a clause in** ϕ **do**

$sat_clause = false$

for l **a literal in** c **do**

if $\omega(l) = 1$ **then**

$sat_clause = true$

end if

end for

if not sat_clause **then**

return False

end if

end for

return True

- **Non-deterministic guess**
- Each execution of the algorithm tests a different value of ω



- “NP algorithm” for SAT.

Algorithm 4 SAT

Input: ϕ

Let ω **be some interpretation**

for c **a clause in** ϕ **do**

$sat_clause = false$

for l **a literal in** c **do**

if $\omega(l) = 1$ **then**

$sat_clause = true$

end if

end for

if not sat_clause **then**

return *False*

end if

end for

return *True*

- **Non-deterministic guess**
- Each execution of the algorithm tests a different value of ω
- If there is one execution that returns *True*, then ϕ is a positive instance



- ▶ “NP algorithm” for SAT.

Algorithm 5 SAT

Input: ϕ

Let ω **be some interpretation**

for c **a clause in** ϕ **do**

$sat_clause = false$

for l **a literal in** c **do**

if $\omega(l) = 1$ **then**

$sat_clause = true$

end if

end for

if not sat_clause **then**

return *False*

end if

end for

return *True*

- ▶ **Non-deterministic guess**
- ▶ Each execution of the algorithm tests a different value of ω
- ▶ If there is one execution that returns *True*, then ϕ is a positive instance
- ▶ In this case, ω is called a *certificate* for ϕ



Definition

A certificate (also called a witness) is a word that certifies the answer to a computation, or certifies the membership of some word in a language.

Example

- \mathcal{P} = “Given a polynomial P , has P at least one root?”. The instance $P(x) = x^2$ can be verified with the certificate $x = 0$: $P(0) = 0$.
 $x = 0$ is a certificate that P is a positive instance of \mathcal{P}



Definition

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Example

- ▶ \mathcal{P} = “Given a polynomial P , has P at least one root?”. The instance $P(x) = x^2$ can be verified with the certificate $x = 0$: $P(0) = 0$.
 $x = 0$ is a certificate that P is a positive instance of \mathcal{P}
- ▶ \mathcal{P}' = “Given a polynomial P , is $P(x)$ positive for all x ?”. The instance $P'(x) = x^2 - 2$ can be verified with the certificate $x = -1$: $P'(-1) = (-1)^2 - 2 = 1 - 2 = -1 < 0$.
 $x = -1$ is a certificate that P' is a negative instance of \mathcal{P}'



Proposition

Let \mathcal{P} be a problem. Given an instance x of \mathcal{P} and a certificate c , if the problem

\mathcal{P}' : « Is c a proof that x is a positive instance of \mathcal{P} ? »

is in P, then $\mathcal{P} \in \text{NP}$

Proposition

Let \mathcal{P} be a problem. Given an instance x of \mathcal{P} and c a certificate, if the problem

\mathcal{P}' : « Is c a proof that x is a negative instance of \mathcal{P} ? »

is in P, then $\mathcal{P} \in \text{coNP}$



Proposition

Let \mathcal{P} be a problem. Given an instance x of \mathcal{P} and a certificate c , if the problem

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is in P, then $\mathcal{P} \in \text{NP}$

Proposition

Let \mathcal{P} be a problem. Given an instance x of \mathcal{P} and c a certificate, if the problem

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is in P, then $\mathcal{P} \in \text{coNP}$

NP: Problems where checking a solution is easy

coNP: Problems where checking a counter-example is easy



- “NP algorithm” for SAT.

Algorithm 6 SAT

Input: ϕ

Let ω be some interpretation

for c a clause in ϕ **do**

$sat_clause = false$

for l a literal in c **do**

if $\omega(l) = 1$ **then**

$sat_clause = true$

end if

end for

if not sat_clause **then**

return False

end if

end for

return True



- “NP algorithm” for SAT.

Algorithm 8 SAT

Input: ϕ

Let ω be some interpretation

for c a clause in ϕ **do**

$sat_clause = false$

for l a literal in c **do**

if $\omega(l) = 1$ **then**

$sat_clause = true$

end if

end for

if not sat_clause **then**

return False

end if

end for

return True

- “P algorithm” for verifying ω

Algorithm 9 Verify Interpretation

Input: ϕ, ω

for c a clause in ϕ **do**

$sat_clause = false$

for l a literal in c **do**

if $\omega(l) = 1$ **then**

$sat_clause = true$

end if

end for

if not sat_clause **then**

return False

end if

end for

return True



- “NP algorithm” for SAT.

Algorithm 10 SAT

Input: ϕ

Let ω be some interpretation

```
for  $c$  a clause in  $\phi$  do  
     $sat\_clause = false$   
    for  $l$  a literal in  $c$  do  
        if  $\omega(l) = 1$  then  
             $sat\_clause = true$   
        end if  
    end for  
    if not  $sat\_clause$  then  
        return False  
    end if  
end for  
return True
```

- “P algorithm” for verifying ω

Algorithm 11 Verify Interpretation

Input: ϕ, ω

```
for  $c$  a clause in  $\phi$  do  
     $sat\_clause = false$   
    for  $l$  a literal in  $c$  do  
        if  $\omega(l) = 1$  then  
             $sat\_clause = true$   
        end if  
    end for  
    if not  $sat\_clause$  then  
        return False  
    end if  
end for  
return True
```



Proposition

Let \mathcal{P} be a problem. Given an instance x of \mathcal{P} and a certificate c , if the problem

\mathcal{P}' : « Is c a proof that x is a positive instance of \mathcal{P} ? »

is in Π_{i-1}^P , then $\mathcal{P} \in \Sigma_i^P$



Proposition

Let \mathcal{P} be a problem. Given an instance x of \mathcal{P} and a certificate c , if the problem

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is in Π_{i-1}^P , then $\mathcal{P} \in \Sigma_i^P$

Proposition

Let \mathcal{P} be a problem. Given an instance x of \mathcal{P} and a certificate c , if the problem

\mathcal{P}' : « Is c a proof that x is a negative instance of \mathcal{P} ? »

is in Σ_{i-1}^P , then $\mathcal{P} \in \Pi_i^P$



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