

UMB CS 420

NP-Completeness

Monday, May 8, 2023

MY HOBBY:
EMBEDDING NP-COMPLETE PROBLEMS IN RESTAURANT ORDERS

CHOTCHKIES RESTAURANT	
~~ APPETIZERS ~~	
MIXED FRUIT	2.15
FRENCH FRIES	2.75
SIDE SALAD	3.35
HOT WINGS	3.55
MOZZARELLA STICKS	4.20
SAMPLER PLATE	5.80
~~ SANDWICHES ~~	
BARBECUE	6.55



Announcements

- HW 12 out
 - Due Sunday 5/14 11:59pm

Quiz Preview

Q1 Which of the following are needed to show that a language L is NP-Complete?

1 Point

(select all that apply)

it must be in P

it must be in NP

every language in NP must be poly-time reducible to L

L must be poly-time reducible to every other language in NP

Last Time: Verifiers, Formally

$PATH = \{\langle G, s, t \rangle \mid G \text{ is a directed graph that has a directed path from } s \text{ to } t\}$

A **verifier** for a language A is an algorithm V , where
$$A = \{w \mid V \text{ accepts } \langle w, c \rangle \text{ for some string } c\}$$

Decider ...

A possible

... with extra argument:
can be any string that helps
to find a result in poly time
(is often just a potential
result itself)

certificate, or *proof*

We measure the time of a verifier only in terms of the length of w ,
so a **polynomial time verifier** runs in **polynomial time in the length**
of w . A language A is **polynomially verifiable** if it has a polynomial
time verifier.

- A certificate c has length at most n^k , where $n = \text{length of } w$

Last Time: The class NP

DEFINITION

NP is the class of languages that have polynomial time verifiers.

2 ways to show that a language is in NP

THEOREM

A language is in NP iff it is decided by some nondeterministic polynomial time Turing machine.

Last Time: NP vs P

P

The class of languages that have a **deterministic** poly time **decider**

i.e., the class of languages that can be solved “quickly”

- Want search problems to be in here ... but they often are not

NP

The class of languages that have a **deterministic** poly time **verifier**

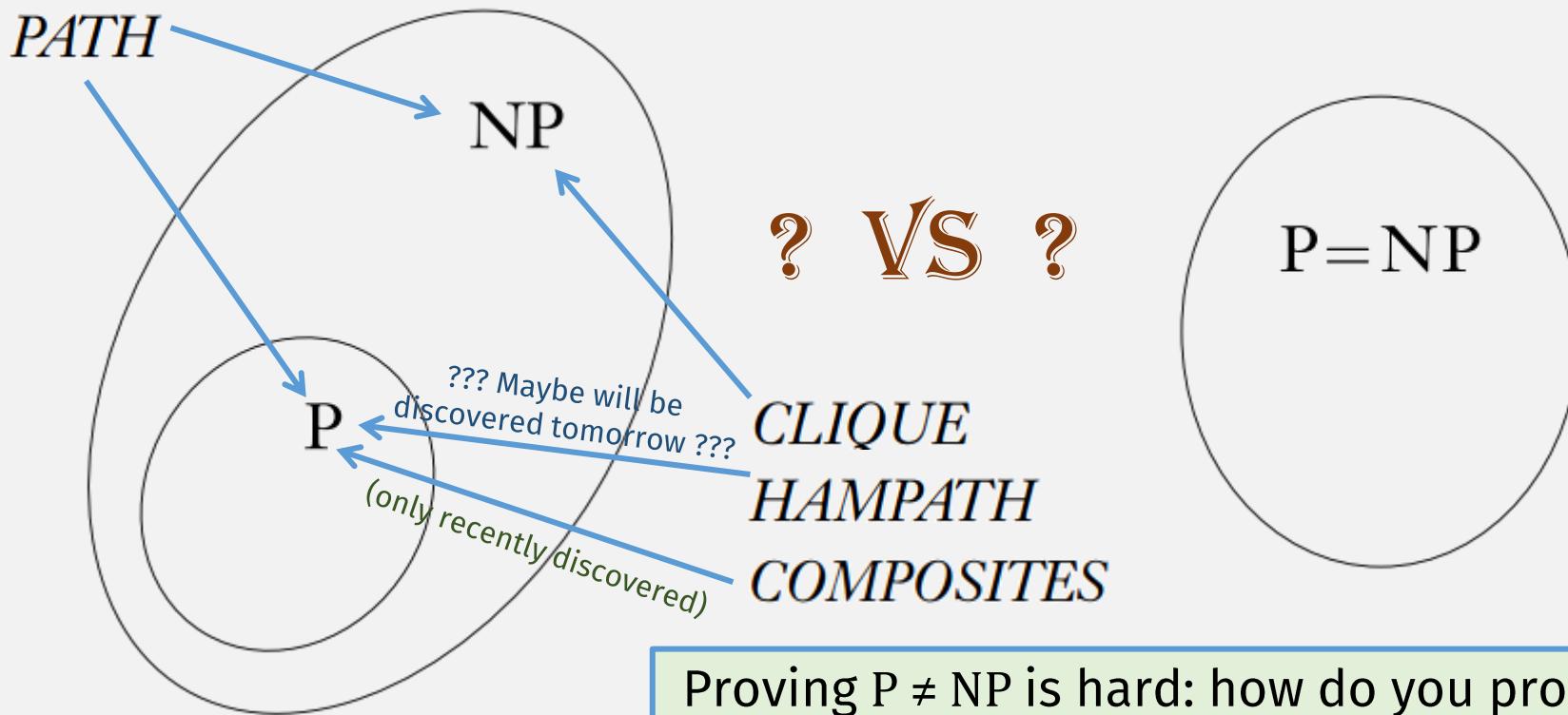
Also, the class of languages that have a **nondeterministic** poly time **decider**

i.e., the class of language that can be verified “quickly”

- Actual search problems (even those not in **P**) are often in here

One of the Greatest unsolved

~~HW~~ Question: Does P = NP?



Proving $P \neq NP$ is hard: how do you prove that an algorithm won't ever have a poly time solution?
(in general, it's hard to prove that something doesn't exist)

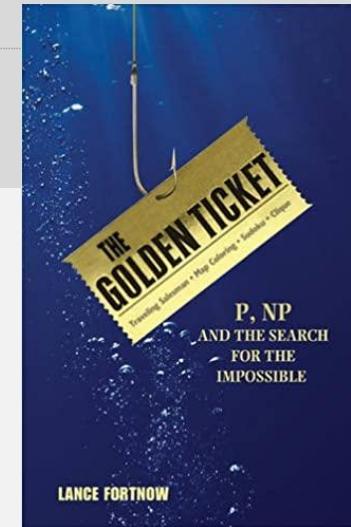
Not Much Progress on whether $P = NP$?

The Status of the P Versus NP Problem

By Lance Fortnow

Communications of the ACM, September 2009, Vol. 52 No. 9, Pages 78-86

10.1145/1562164.1562186



- One important concept:
 - NP-Completeness

NP-Completeness

DEFINITION

A language B is ***NP-complete*** if it satisfies two conditions:

Must prove for all
langs, not just a
single language

1. B is in NP, and **easy**
2. every A in NP is polynomial time reducible to B . **hard????**

What's this?

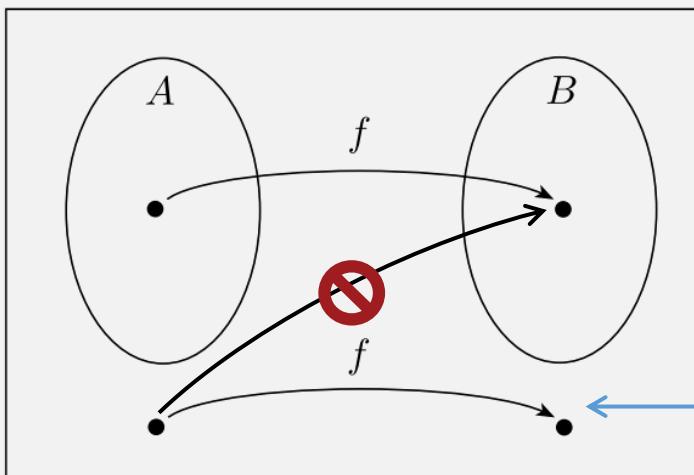
Flashback: Mapping Reducibility

Language A is **mapping reducible** to language B , written $A \leq_m B$, if there is a **computable function** $f: \Sigma^* \rightarrow \Sigma^*$, where for every w ,

$$w \in A \iff f(w) \in B.$$

IMPORTANT: “if and only if” ...

The function f is called the **reduction** from A to B .



To show **mapping reducibility**:

1. create **computable fn**
2. and then show **forward direction**
3. and **reverse direction**
(or **contrapositive of reverse direction**)

... means $\overline{A} \leq_m \overline{B}$

A function $f: \Sigma^* \rightarrow \Sigma^*$ is a **computable function** if some Turing machine M , on every input w , halts with just $f(w)$ on its tape.

Polynomial Time Mapping Reducibility

Language A is *mapping reducible* to language B if there is a computable function $f: \Sigma^* \rightarrow \Sigma^*$,

$$w \in A \iff f(w) \in B.$$

The function f is called the *reduction* from A to B .

To show poly time mapping reducibility:

1. create **computable fn**
2. **show computable fn runs in poly time**
3. then show **forward direction**
4. and show **reverse direction**
(or **contrapositive** of reverse direction)

Language A is *polynomial time mapping reducible*, or simply *polynomial time reducible*, to language B , written $A \leq_P B$, if a polynomial time computable function $f: \Sigma^* \rightarrow \Sigma^*$ exists, where for every w ,

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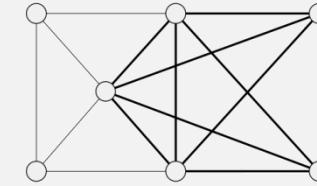
The function f is called the *polynomial time reduction* of A to B .

A function $f: \Sigma^* \rightarrow \Sigma^*$ is a **computable function** if some Turing machine M , on every input w , halts with just $f(w)$ on its tape.

Theorem: $3SAT$ is polynomial time reducible to $CLIQUE$.

Last Time:

CLIQUE is in NP



$$\text{CLIQUE} = \{\langle G, k \rangle \mid G \text{ is an undirected graph with a } k\text{-clique}\}$$

PROOF IDEA The clique is the certificate.

PROOF The following is a **verifier V** for *CLIQUE*.

V = “On input $\langle \langle G, k \rangle, c \rangle$:

1. Test whether c is a subgraph with k nodes in G .
2. Test whether G contains all edges connecting nodes in c .
3. If both pass, *accept*; otherwise, *reject*.“

Theorem: $3SAT$ is polynomial time reducible to $CLIQUE$.

??



Boolean Formulas

A Boolean _____	Is ...	Example:
Value	TRUE or FALSE (or 1 or 0)	TRUE, FALSE

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Formula ϕ	Combines vars and operations	$(\bar{x} \wedge y) \vee (x \wedge \bar{z})$

Boolean Satisfiability

- A Boolean formula is **satisfiable** if ...
- ... there is some **assignment** of TRUE or FALSE (1 or 0) to its variables that makes the entire formula TRUE
- Is $(\bar{x} \wedge y) \vee (x \wedge \bar{z})$ satisfiable?
 - Yes
 - $x = \text{FALSE}$,
 - $y = \text{TRUE}$,
 - $z = \text{FALSE}$

The Boolean Satisfiability Problem

$$SAT = \{\langle \phi \rangle \mid \phi \text{ is a satisfiable Boolean formula}\}$$

Theorem: SAT is in \textbf{NP} :

- Let n = the number of variables in the formula

Verifier:

On input $\langle \phi, c \rangle$, where c is a possible assignment of variables in ϕ to values:

- Plug values from c into ϕ , **Accept** if result is TRUE

Running Time: $O(n)$

| Non-deterministic Decider:

| On input $\langle \phi \rangle$, where ϕ is a boolean formula:

- Non-deterministically try all possible assignments in parallel
- **Accept** if any satisfy ϕ

| Running Time: Checking each assignment takes time $O(n)$

Theorem: $\exists SAT$ is polynomial time reducible to *CLIQUE*.

??

More Boolean Formulas

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Clause	Literals ORed together	$(x_1 \vee \bar{x}_2 \vee \bar{x}_3 \vee x_4)$

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Conjunctive Normal Form (CNF)	Clauses ANDed together	$(x_1 \vee \bar{x}_2 \vee \bar{x}_3 \vee x_4) \wedge (x_3 \vee \bar{x}_5 \vee x_6)$

\wedge = AND = “Conjunction”
 \vee = OR = “Disjunction”
 \neg = NOT = “Negation”

More Boolean Formulas

A Boolean _____	Is ...	Example:
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Conjunctive Normal Form (CNF)	Clauses ANDed together	$(x_1 \vee \bar{x}_2 \vee \bar{x}_3 \vee x_4) \wedge (x_3 \vee \bar{x}_5 \vee x_6)$
3CNF Formula	Three literals in each clause	$(x_1 \vee \bar{x}_2 \vee \bar{x}_3) \wedge (x_3 \vee \bar{x}_5 \vee x_6) \wedge (x_3 \vee \bar{x}_6 \vee x_4)$

\wedge = AND = “Conjunction”
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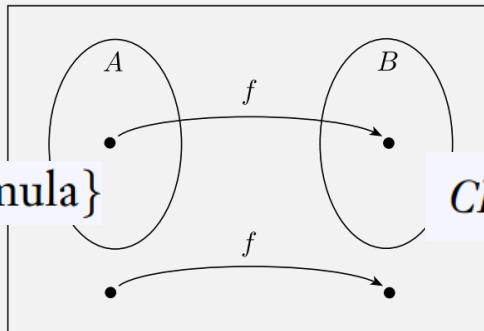
The $3SAT$ Problem

$3SAT = \{\langle\phi\rangle \mid \phi \text{ is a satisfiable 3cnf-formula}\}$

Theorem: $3SAT$ is polynomial time reducible to $CLIQUE$.

$3SAT = \{\langle\phi\rangle \mid \phi \text{ is a satisfiable 3cnf-formula}\}$

$CLIQUE = \{\langle G, k \rangle \mid G \text{ is an undirected graph with a } k\text{-clique}\}$



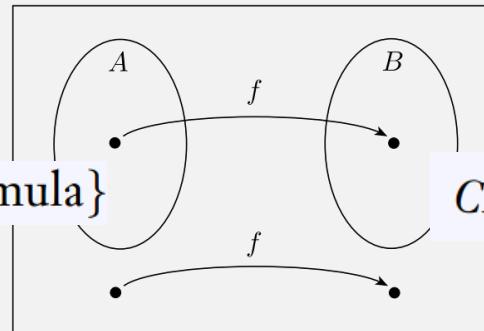
To show poly time mapping reducibility:

1. create **computable fn**,
2. show that it **runs in poly time**,
3. then show **forward direction** of mapping red.,
4. and **reverse direction**
(or **contrapositive** of reverse direction)

Theorem: 3SAT is polynomial time reducible to CLIQUE.

$3SAT = \{\langle \phi \rangle \mid \phi \text{ is a satisfiable 3cnf-formula}\}$

$CLIQUE = \{\langle G, k \rangle \mid G \text{ is an undirected graph with a } k\text{-clique}\}$



Need: poly time computable fn converting a 3cnf-formula ...

Example:

$$\phi = (x_1 \vee x_1 \vee \boxed{x_2}) \wedge (\boxed{\bar{x}_1} \vee \bar{x}_2 \vee \bar{x}_2) \wedge (\bar{x}_1 \vee x_2 \vee \boxed{x_2})$$

- ... to a graph containing a clique:

- Each clause maps to a group of 3 nodes
- Connect all nodes except:

Contradictory nodes

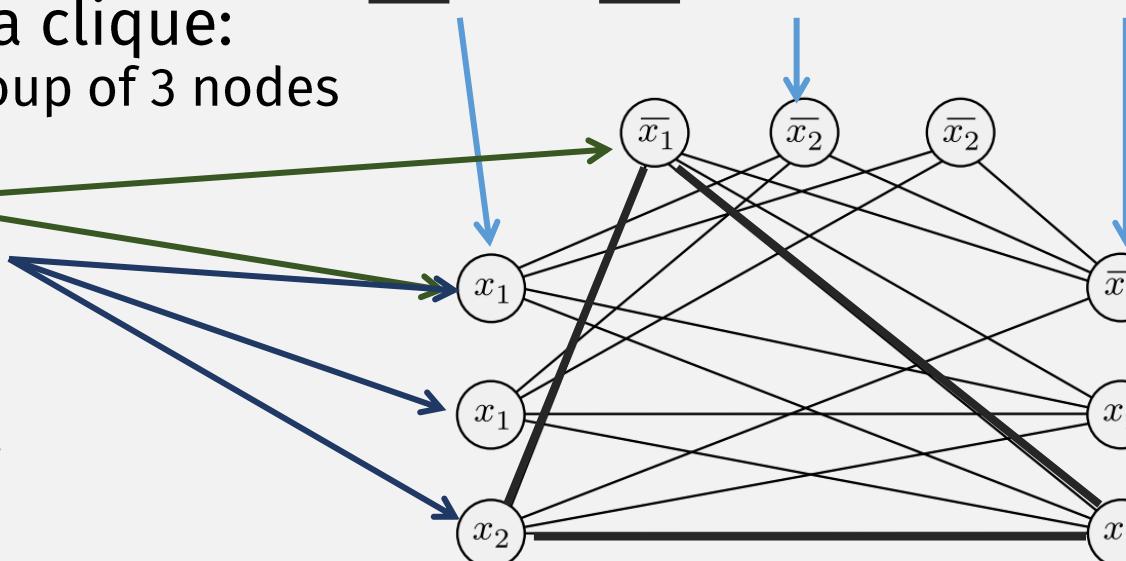
Nodes in the same group

Don't forget iff
⇒ If $\phi \in 3SAT$

- Then each clause has a TRUE literal
 - Those are nodes in the 3-clique!
 - E.g., $x_1 = 0, x_2 = 1$

⇐ If $\phi \notin 3SAT$

- Then for any assignment, some clause must have a contradiction with another clause
- Then in the graph, some clause's group of nodes won't be connected to another group, preventing the clique



Runs in **poly time**:

- # literals = # nodes
- # edges poly in # nodes

$O(n)$

$O(n^2)$

Polynomial Time Mapping Reducibility

Language A is *polynomial time mapping reducible*, or simply *polynomial time reducible*, to language B , written $A \leq_P B$, if a polynomial time computable function $f: \Sigma^* \rightarrow \Sigma^*$ exists, where for every w ,

$$w \in A \iff f(w) \in B.$$

The function f is called the *polynomial time reduction* of A to B .

What is this used for?

A function $f: \Sigma^* \rightarrow \Sigma^*$ is a *computable function* if some Turing machine M , on every input w , halts with just $f(w)$ on its tape.

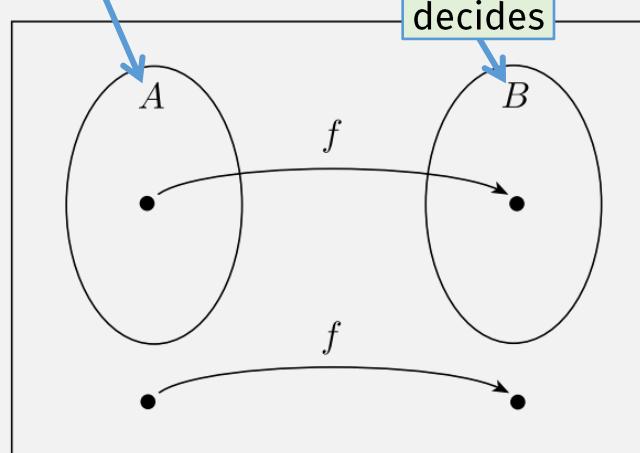
Flashback: If $A \leq_m B$ and B is decidable, then A is decidable.

Has a decider

PROOF We let M be the decider for B and f be the reduction from A to B . We describe a decider N for A as follows.

N = “On input w :

1. Compute $f(w)$.
2. Run M on input $f(w)$ and output whatever M outputs.”



decides

decides

This proof only works because of the if-and-only-if requirement

Language A is **mapping reducible** to language B , written $A \leq_m B$, if there is a computable function $f: \Sigma^* \rightarrow \Sigma^*$, where for every w ,

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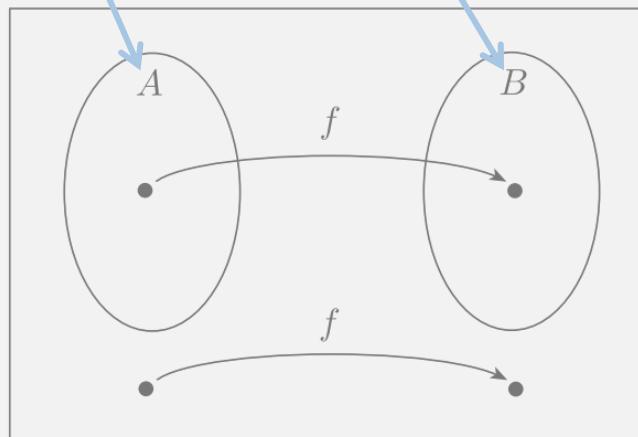
The function f is called the **reduction** from A to B .

Thm: If $A \leq_m^P B$ and B is decidable, then $A \in P$.

PROOF We let M be the decider for B and f be the reduction from A to B . We describe a decider N for A as follows.

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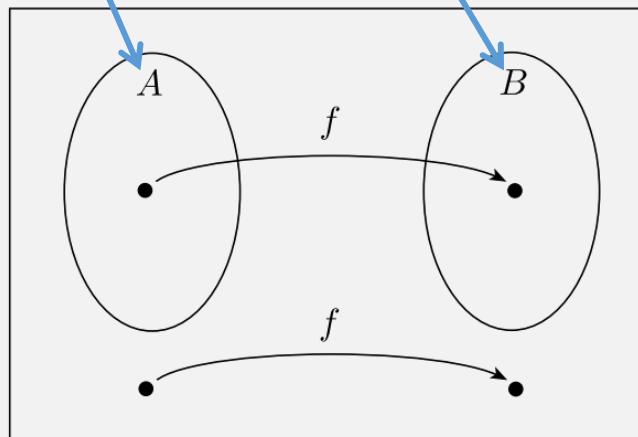
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The function f is called the **reduction** from A to B .

NP-Completeness

DEFINITION

A language B is ***NP-complete*** if it satisfies two conditions:

1. B is in NP, and
2. every A in NP is polynomial time reducible to B .

- How does this help the $P = NP$ problem?

THEOREM

If B is NP-complete and $B \in P$, then $P = NP$.

THEOREM

Proof:

assume

If B is NP-complete and $B \in P$, then $P = NP$.

DEFINITION

A language B is **NP-complete** if it satisfies two conditions:

1. B is in NP, and

$$A \leq_P B$$

2. every A in NP is polynomial time reducible to B .

2. If a language $A \in NP$, then $A \in P$

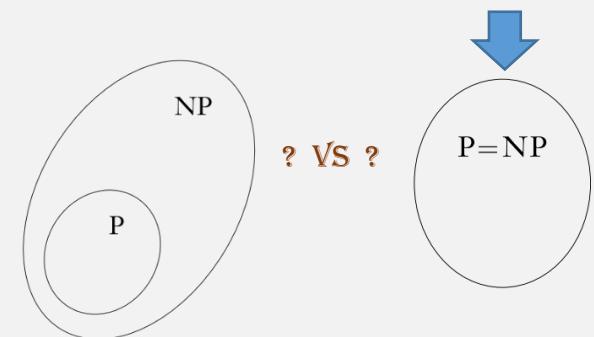
- Given a language $A \in NP$...
- ... can poly time mapping reduce A to B --- why?

- because B is NP-Complete (assumption)

• Then A also $\in P$...

- Because $A \leq_P B$ and $B \in P$, then $A \in P$

(prev slide)



? VS ?

P

or $A \rightarrow$ verifier for A that ignores its certificate

So to prove $P = NP$, we only need to find a poly-time algorithm for one NP-Complete problem!

Thus, if a language B is NP-complete and in P , then $P = NP$

NP-Completeness

DEFINITION

A language B is **NP-complete** if it satisfies two conditions:

1. B is in NP, and
2. every A in NP is polynomial time reducible to B .

- How does this help the $P = NP$ problem?

THEOREM

If B is NP-complete and $B \in P$, then $P = NP$.

But we still don't know any NP-Complete problems!

Figuring out the first one is hard!

(just like figuring out the first undecidable problem was hard!)

So to prove $P = NP$, we only need to find a poly-time algorithm for one NP-Complete problem!

The Cook-Levin Theorem

The first NP-Complete problem

THEOREM

SAT is NP-complete.

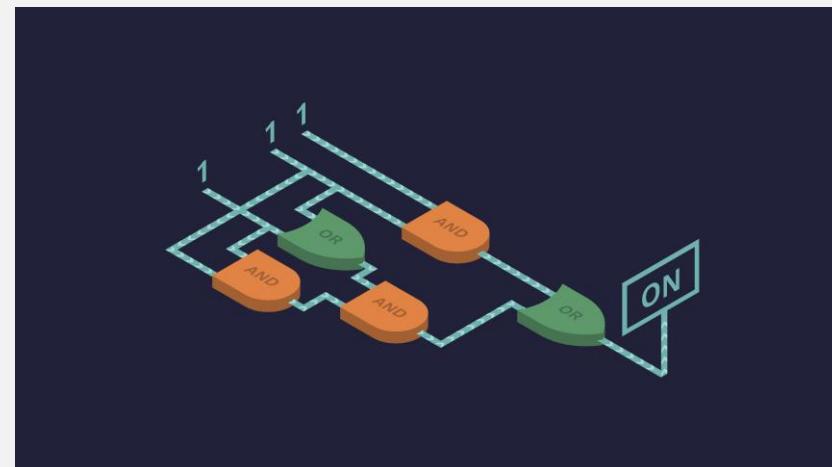
(haven't proven yet)

After this, it'll be much easier to find other NP-Complete problems!

THEOREM

If B is NP-complete and $B \leq_P C$ for C in NP, then C is NP-complete.

It sort of makes sense that every problem can be reduced to it ...



THEOREM

known

unknown

Key Thm: If B is NP-complete and $B \leq_P C$ for C in NP, then C is NP-complete.

Proof:

- Need to show: C is **NP-complete**:
 - it's in **NP** (given), and
 - every lang A in **NP** reduces to C in poly time (must show)
- For every language A in **NP**, reduce $A \rightarrow C$ by:
 - First reduce $A \rightarrow B$ in poly time
 - Can do this because B is **NP-Complete**
 - Then reduce $B \rightarrow C$ in poly time
 - This is given
- Total run time: Poly time + poly time = poly time

To use this theorem,
 C must be in **NP**

DEFINITION

A language B is **NP-complete** if it satisfies two conditions:

1. B is in NP, and
2. every A in NP is polynomial time reducible to B .

THEOREM

Using: If B is NP-complete and $B \leq_P C$ for C in NP, then C is NP-complete.

3 steps to prove a language C is NP-complete:

1. Show C is in NP
2. Choose B , the NP-complete problem to reduce from
3. Show a poly time mapping reduction from B to C

To show poly time mapping reducibility:

1. create **computable fn**,
2. show that it **runs in poly time**,
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4. and **reverse direction**
(or **contrapositive of reverse direction**)

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3. Show a poly time mapping reduction from B to C

Example:

Let $C = 3SAT$, to prove $3SAT$ is NP-Complete:

1. Show $3SAT$ is in NP

Flashback: 3SAT is in NP

$\text{3SAT} = \{\langle \phi \rangle \mid \phi \text{ is a satisfiable Boolean formula}\}$

Let n = the number of variables in the formula

Verifier:

On input $\langle \phi, c \rangle$, where c is a possible assignment of variables in ϕ to values:

- Accept if c satisfies ϕ

Running Time: $O(n)$

Non-deterministic Decider:

On input $\langle \phi \rangle$, where ϕ is a boolean formula:

- Non-deterministically try all possible assignments in parallel
- Accept if any satisfy ϕ

Running Time: Checking each assignment takes time $O(n)$

THEOREM

Using: If B is NP-complete and $B \leq_P C$ for C in NP, then C is NP-complete.

3 steps to prove a language is NP-complete:

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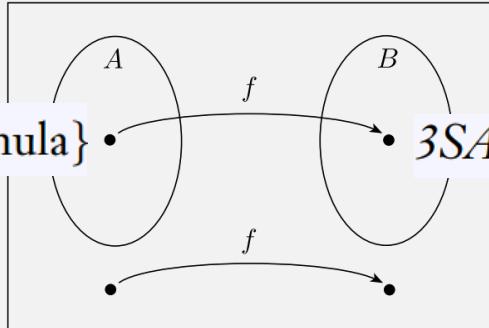
Example:

Let $C = 3SAT$, to prove $3SAT$ is NP-Complete:

- 1. Show $3SAT$ is in NP
- 2. Choose B , the NP-complete problem to reduce from: SAT
- 3. Show a poly time mapping reduction from SAT to $3SAT$

Theorem: SAT is Poly Time Reducible to $3SAT$

$SAT = \{\langle \phi \rangle \mid \phi \text{ is a satisfiable Boolean formula}\}$

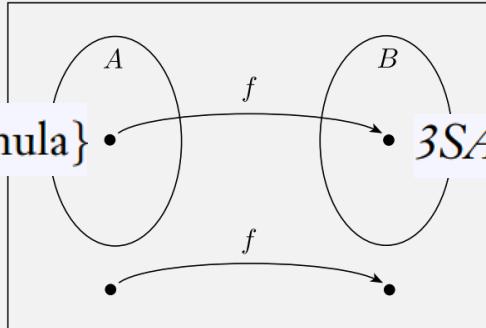


To show poly time mapping reducibility:

1. create **computable fn** f ,
2. show that it **runs in poly time**,
3. then show **forward direction** of mapping red.,
 \Rightarrow if $\phi \in SAT$, then $f(\phi) \in 3SAT$
4. and **reverse direction**
 \Leftarrow if $f(\phi) \in 3SAT$, then $\phi \in SAT$
(or **contrapositive** of reverse direction)
 \Leftarrow (alternative) if $\phi \notin SAT$, then $f(\phi) \notin 3SAT$

Theorem: SAT is Poly Time Reducible to 3SAT

$SAT = \{\langle \phi \rangle \mid \phi \text{ is a satisfiable Boolean formula}\}$



Want: poly time computable fn converting a Boolean formula ϕ to 3CNF:

1. Convert ϕ to CNF (an AND of OR clauses)
 - a) Use DeMorgan's Law to push negations onto literals

$$\neg(P \vee Q) \Leftrightarrow (\neg P) \wedge (\neg Q)$$

$$\neg(P \wedge Q) \Leftrightarrow (\neg P) \vee (\neg Q)$$

Remaining step: show
iff relation holds ...

$O(n)$

- b) Distribute ORs to get ANDs outside of parens

$$(P \vee (Q \wedge R)) \Leftrightarrow ((P \vee Q) \wedge (P \vee R))$$

$O(n)$

... this thm is a special
case, don't need to
separate forward/reverse
dir bc each step is
already a known "law"

2. Convert to 3CNF by adding new variables

$$(a_1 \vee a_2 \vee a_3 \vee a_4) \Leftrightarrow (a_1 \vee a_2 \vee z) \wedge (\bar{z} \vee a_3 \vee a_4)$$

$O(n)$

THEOREM

Using: If B is NP-complete and $B \leq_P C$ for C in NP, then C is NP-complete.

3 steps to prove a language is NP-complete:

1. Show C is in NP
2. Choose B , the NP-complete problem to reduce from
3. Show a poly time mapping reduction from B to C

Example:

Let $C = 3SAT$, to prove $3SAT$ is NP-Complete:

- 1. Show $3SAT$ is in NP
- 2. Choose B , the NP-complete problem to reduce from: SAT
- 3. Show a poly time mapping reduction from SAT to $3SAT$

Each NP-complete problem we prove makes it easier to prove the next one!

THEOREM

Using: If B is NP-complete and $B \leq_P C$ for C in NP, then C is NP-complete.

3 steps to prove a language is NP-complete:

1. Show C is in NP
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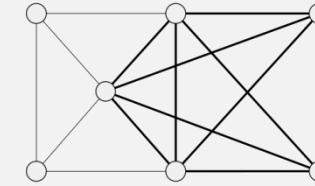
Example:

Let $C = \cancel{3SAT} \text{CLIQUE}$, to prove $\cancel{3SAT} \text{CLIQUE}$ is NP-Complete:

- ? 1. Show $\cancel{3SAT} \text{CLIQUE}$ is in NP
- ? 2. Choose B , the NP-complete problem to reduce from: $\cancel{SAT} \cancel{3SAT}$
- ? 3. Show a poly time mapping reduction from $3SAT$ to $\cancel{3SAT} \text{CLIQUE}$

Flashback:

CLIQUE is in NP



$$\text{CLIQUE} = \{\langle G, k \rangle \mid G \text{ is an undirected graph with a } k\text{-clique}\}$$

PROOF IDEA The clique is the certificate.

Let $n = \# \text{ nodes in } G$

PROOF The following is a **verifier V** for CLIQUE.

c is at most n

V = “On input $\langle \langle G, k \rangle, c \rangle$:

1. Test whether c is a subgraph with k nodes in G .

For each node in c , check
whether it's in G : $O(n)$

2. Test whether G contains all edges connecting nodes in c .

For each pair of nodes in c ,
check whether there's an
edge in G : $O(n^2)$

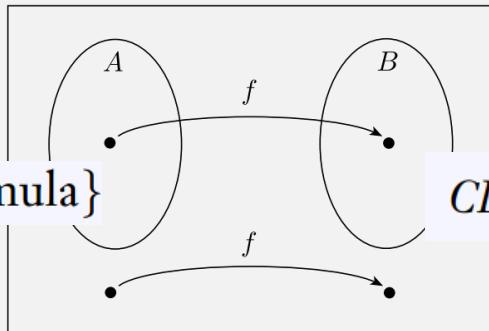
3. If both pass, *accept*; otherwise, *reject*.”

Flashback:

$3SAT$ is polynomial time reducible to $CLIQUE$.

$3SAT = \{\langle \phi \rangle \mid \phi \text{ is a satisfiable 3cnf-formula}\}$

$CLIQUE = \{\langle G, k \rangle \mid G \text{ is an undirected graph with a } k\text{-clique}\}$



Need: poly time computable fn converting a 3cnf-formula ...

Example:

$$\phi = (x_1 \vee x_1 \vee \boxed{x_2}) \wedge (\boxed{\bar{x}_1} \vee \bar{x}_2 \vee \bar{x}_2) \wedge (\bar{x}_1 \vee x_2 \vee \boxed{x_2})$$

- ... to a graph containing a clique:

- Each clause maps to a group of 3 nodes
- Connect all nodes except:
- Contradictory nodes

Don't forget iff

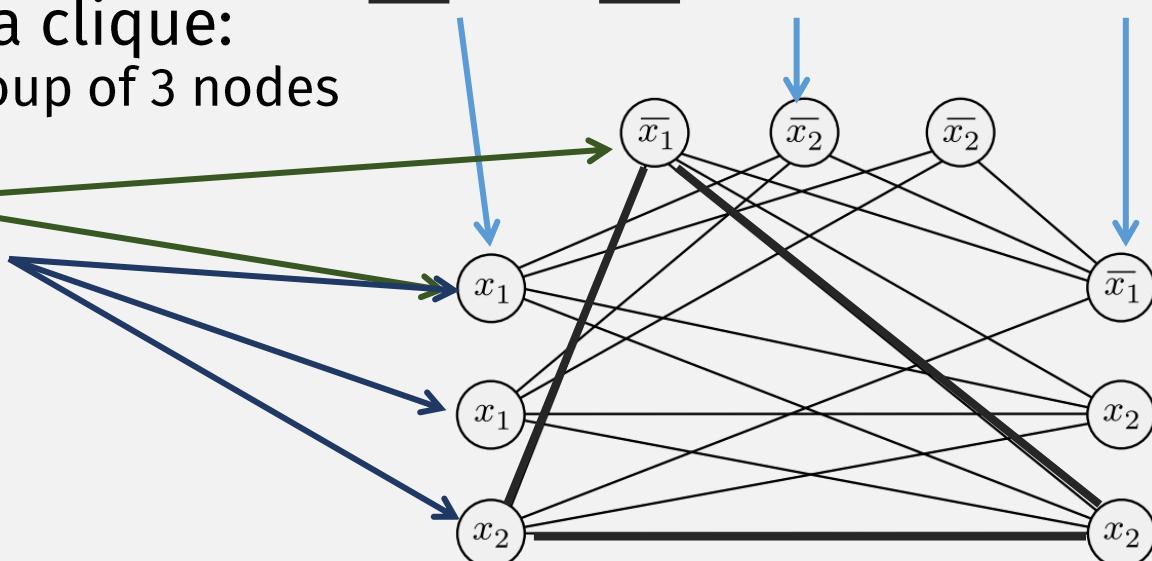
Nodes in the same group

\Rightarrow If $\phi \in 3SAT$

- Then each clause has a TRUE literal
 - Those are nodes in the clique!
 - E.g., $x_1 = 0, x_2 = 1$

\Leftarrow If $\phi \notin 3SAT$

- For any assignment, some clause must have a contradiction with another clause
- Then in the graph, some clause's group of nodes won't be connected to another group, preventing the clique



Runs in **poly time**:

- # literals = # nodes
- # edges poly in # nodes

$O(n)$

$O(n^2)$

THEOREM

Using: If B is NP-complete and $B \leq_P C$ for C in NP, then C is NP-complete.

3 steps to prove a language is NP-complete:

1. Show C is in NP
2. Choose B , the NP-complete problem to reduce from
3. Show a poly time mapping reduction from B to C

Example:

Let $C = \cancel{3SAT} \text{CLIQUE}$, to prove $\cancel{3SAT} \text{CLIQUE}$ is NP-Complete:

- 1. Show $\cancel{3SAT} \text{CLIQUE}$ is in NP
- 2. Choose B , the NP-complete problem to reduce from: $\cancel{SAT} \cancel{3SAT}$
- 3. Show a poly time mapping reduction from $3SAT$ to $\cancel{3SAT} \text{CLIQUE}$

NP-Complete problems, so far

- $SAT = \{\langle\phi\rangle \mid \phi \text{ is a satisfiable Boolean formula}\}$ (haven't proven yet)
- $3SAT = \{\langle\phi\rangle \mid \phi \text{ is a satisfiable 3cnf-formula}\}$ (reduced SAT to $3SAT$)
- $CLIQUE = \{\langle G, k \rangle \mid G \text{ is an undirected graph with a } k\text{-clique}\}$ (reduced $3SAT$ to $CLIQUE$)

Each NP-complete problem we prove makes it easier to prove the next one!

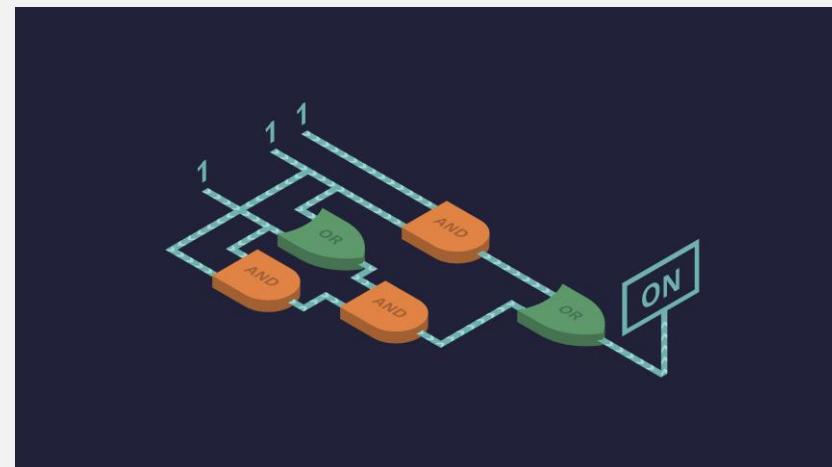
Next Time: The Cook-Levin Theorem

The first NP-Complete problem

THEOREM

SAT is NP-complete.

It sort of makes sense that every problem can be reduced to it ...



After this, it'll be much easier to find other NP-Complete problems!

THEOREM

If B is NP-complete and $B \leq_P C$ for C in NP, then C is NP-complete.

Quiz 5/8

On gradescope