

How do we measure efficiency?

 \bullet platform independent, implementation-detail independent \rightarrow ignore constant factors, use big O notation when we talk about running time.

• instance independent \rightarrow worst-case analysis (sometimes average case analysis)

• of predictive value with respect to increasing input size, tells us how algorithm scales \rightarrow want to measure rate of growth of T(n) as function of n, the input size.

Asymptotic, worst - case analysis Seek polynomial time algorithms

Worst-Case Analysis

Worst case running time. Obtain bound on largest possible running time of algorithm on input of a given size N.

- Generally captures efficiency in practice.
 Draconian view, but hard to find effective alternative.

Average case running time. Obtain bound on running time of algorithm on random input as a function of input size N.

- . Hard (or impossible) to accurately model real instances by random distributions.
- Algorithm tuned for a certain distribution may perform poorly on other inputs.

Polynomial-Time

Brute force. For many non-trivial problems, there is a natural brute force search algorithm that checks every possible solution. . Typically takes 2^N time or worse for inputs of size N.

Unacceptable in practice.

Desirable scaling property. When the input size doubles, the algorithm should only slow down by some constant factor C.

There exists constants c > 0 and d > 0 such that on every input of size N, its running time is bounded by $c N^d$ steps.

Def. An algorithm is poly-time if the above scaling property holds.

Worst-Case Polynomial-Time

Def. An algorithm is efficient if its running time is polynomial.

- $\begin{array}{l} \mbox{Justification: It really works in practicel}\\ \mbox{. Although } 6.02\times10^{23}\times N^{20} \mbox{ is technically poly-time, it would be} \end{array}$ useless in practice.
- In practice, the poly-time algorithms that people develop almost always have low constants and low exponents.
- . Breaking through the exponential barrier of brute force typically exposes some crucial structure of the problem.

Exceptions.

- . Some poly-time algorithms do have high constants and/or exponents, and are useless in practice.
- Some exponential-time (or worse) algorithms are widely used because the worst-case instances seem to be rare.

Why It Matters

| | | | ery long time | | s 10 ²⁵ years, we sin | npiy record the | aigorithm as |
|---------------|---------|--------------|----------------|--------------|----------------------------------|-----------------|-----------------------|
| | п | $n \log_2 n$ | n ² | n^3 | 1.5^{n} | 2^n | n! |
| n = 10 | < 1 sec | < 1 sec | < 1 sec | < 1 sec | < 1 sec | < 1 sec | 4 se |
| n = 30 | < 1 sec | < 1 sec | < 1 sec | < 1 sec | < 1 sec | 18 min | 10 ²⁵ year |
| n = 50 | < 1 sec | < 1 sec | < 1 sec | < 1 sec | 11 min | 36 years | very long |
| n = 100 | < 1 sec | < 1 sec | < 1 sec | 1 sec | 12,892 years | 1017 years | very long |
| n = 1,000 | < 1 sec | < 1 sec | 1 sec | 18 min | very long | very long | very long |
| n = 10,000 | < 1 sec | < 1 sec | 2 min | 12 days | very long | very long | very lon |
| n = 100,000 | < 1 sec | 2 sec | 3 hours | 32 years | very long | very long | very lon |
| n = 1,000,000 | 1 sec | 20 sec | 12 days | 31,710 years | very long | very long | very lon |

Moore's Law

The prediction that transistor density and hence the speed of computers will double every 18 months or so.

- Based on observation of 1960-- 1965
- Has pretty much held for last 40 years

Does this provide disincentive to develop efficient (polynomial time) algorithms?

| | Moore's L | aw | |
|---|-----------------------------|-------------------|---------------------------|
| Does Moore's Law pr time) algorithms? | rovide disincentive t | o develop efficie | ent (polynomial |
| NO!! | | | |
| Running time of alg | Max input size in time T | 2x speedup | 2 ¹⁰ x speedup |
| | | | |
| Exponential algorithm polynomial algorithm | | | while |

| Asymptotic | Order of | Growth |
|------------|----------|--------|
|------------|----------|--------|

Upper bounds. T(n) is O(f(n)) if there exist constants c > 0 and $n_0 \ge 0$ such that for all $n \ge n_0$ we have T(n) $\le c \cdot f(n)$.

Lower bounds. T(n) is $\Omega(f(n))$ if there exist constants $c \ge 0$ and $n_0 \ge 0$ such that for all $n \ge n_0$ we have T(n) $\ge c \cdot f(n)$.

Tight bounds. T(n) is $\Theta(f(n))$ if T(n) is both O(f(n)) and $\Omega(f(n))$.

- $$\begin{split} & \hbox{Ex:} \quad T(n) = 32n^2 + 17n + 32. \\ & \hbox{I}(n) \text{ is } O(n^2), O(n^3), \Omega(n^2), \Omega(n), \text{ and } \Theta(n^2) \ . \\ & \hbox{I}(n) \text{ is not } O(n), \Omega(n^3), \Theta(n), \text{ or } \Theta(n^3). \end{split}$$

| Grand challenge: (| Classify Problems Accor | ding to Computational | Requirements |
|--------------------|--|-----------------------|--------------|
| Q. Which prob | ems will we be able to s | olve in practice? | |
| - | ition. [Cobham 1964, Ec nomial-time algorithms. | | 66] |
| | Yes | Probably no | |
| | Shortest path | Longest path | |
| | Matching | 3D-matching | |
| | Min cut | Max cut | |
| | 2-SAT | 3-SAT | |
| | Planar 4-color | Planar 3-color | |
| | Bipartite vertex cover | Vertex cover | |
| | | | |
| | Primality testing | Factoring | |
| | | | |
| | | | |

| Classify Problems | |
|--|----|
| Desiderata. Classify problems according to those that can be solved in polynomial-time and those that cannot. | |
| For any nice function T(n) There are problems that require more than T(n) time to solve. | |
| Frustrating news. Huge number of fundamental problems have defied classification for decades. | |
| NP-completeness: Show that these fundamental problems are "computationally equivalent" and appear to be different manifestations of one really hard problem. | |
| | |
| | 12 |

Polynomial-Time Reduction

Desiderata'. Suppose we could solve X in polynomial-time. What else could we solve in polynomial time?

Reduction. Problem X polynomial reduces to problem Y if arbitrary instances of problem X can be solved using:

- Polynomial number of standard computational steps, plus
- Polynomial number of calls to oracle that solves problem Y.

Notation. $X \leq_{P} Y$.

Remarks.

- We pay for time to write down instances sent to black box $\,\Rightarrow\,$ instances of Y must be of polynomial size.
- . Note: Cook reducibility.
 - 🔨 in contrast to Karp reductions

Polynomial-Time Reduction

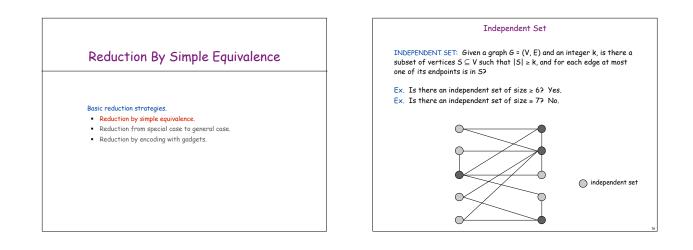
Purpose. Classify problems according to relative difficulty.

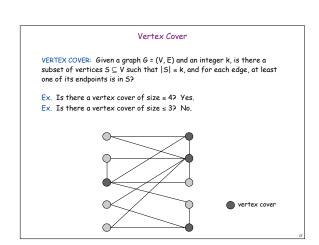
Design algorithms. If $X \le_p Y$ and Y can be solved in polynomial-time, then X can also be solved in polynomial time.

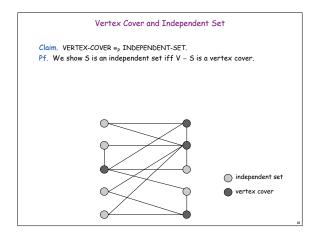
Establish intractability. If $X \le_p Y$ and X cannot be solved in polynomial-time, then Y cannot be solved in polynomial time.

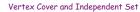
Establish equivalence. If $X \leq_p Y$ and $Y \leq_p X$, we use notation $X \equiv_p Y$.

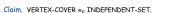
up to cost of reduction





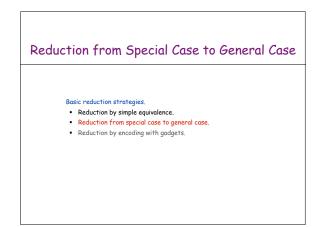






- Pf. We show S is an independent set iff V S is a vertex cover.
- . Let S be any independent set.
- Consider an arbitrary edge (u, v).
- . S independent $\Rightarrow u \notin S$ or $v \notin S \ \Rightarrow \ u \in V$ S or $v \in V$ S.
- Thus, V S covers (u, v).

- Let V S be any vertex cover. . Consider two nodes $u\in S$ and $v\in S.$
- Observe that (u, v) ∉ E since V S is a vertex cover.
- . Thus, no two nodes in S are joined by an edge $\,\Rightarrow$ S independent set. \bullet





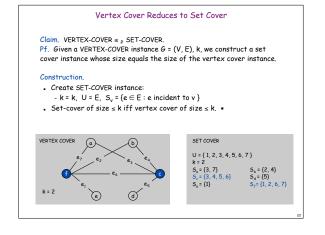
SET COVER: Given a set U of elements, a collection S_1, S_2, \ldots, S_m of subsets of U, and an integer k, does there exist a collection of $\leq k$ of these sets whose union is equal to U?

Sample application.

- m available pieces of software.
- Set U of n capabilities that we would like our system to have.
- The ith piece of software provides the set S_i ⊆ U of capabilities.
 Goal: achieve all n capabilities using fewest pieces of software.

Ex:

| U = { 1, 2, 3, 4, 5, | 6,7} |
|-------------------------------|-------------------------|
| k = 2 | |
| S ₁ = {3, 7} | S ₄ = {2, 4} |
| S ₂ = {3, 4, 5, 6} | S ₅ = {5} |
| 5 ₃ = {1} | $S_6 = \{1, 2, 6, 7\}$ |

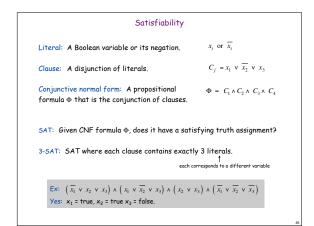


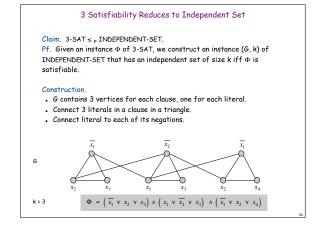


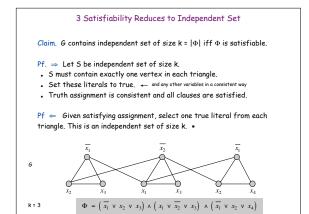
Basic strategies.

- Reduction by simple equivalence.
- Reduction from special case to general case.
- Reduction by encoding with gadgets.











Basic reduction strategies.

- Simple equivalence: INDEPENDENT-SET = P VERTEX-COVER.
- Special case to general case: VERTEX-COVER \leq $_{\rm P}$ SET-COVER.
- Encoding with gadgets: $3-SAT \leq p$ INDEPENDENT-SET.

Transitivity. If $X \leq_p Y$ and $Y \leq_p Z$, then $X \leq_p Z$. Pf idea. Compose the two algorithms.

Ex: 3-SAT ≤ p INDEPENDENT-SET ≤ p VERTEX-COVER ≤ p SET-COVER.

Self-Reducibility

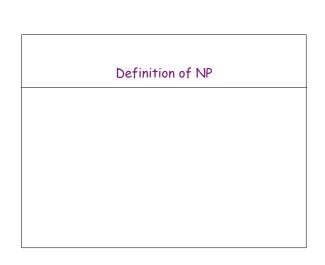
Decision problem. Does there exist a vertex cover of size $\leq k^2$ Search problem. Find vertex cover of minimum cardinality.

- Self-reducibility. Search problem $\leq P$ decision version.
- Applies to all (NP-complete) problems we discuss. Justifies our focus on decision problems.

Ex: to find min cardinality vertex cover.

- (Binary) search for cardinality k* of min vertex cover.
- Find a vertex v such that $G-\{v\}$ has a vertex cover of size $\leq k^\star$ 1. any vertex in any min vertex cover will have this property
- Include v in the vertex cover.
- Recursively find a min vertex cover in $G = \{v\}$.

delete v and all incident edges



Decision Problems

Decision problem.

• X is a set of strings (a language). . Instance: string s.

 $\label{eq:certification} Certification\ algorithm\ intuition.$

• Algorithm A solves problem X: A(s) = yes iff $s \in X$.

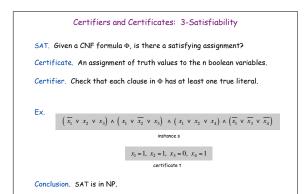
Polynomial time. Algorithm A runs in poly-time if for every string s, A(s) terminates in at most p(|s|) "steps", where $p(\cdot)$ is some polynomial. t length of s

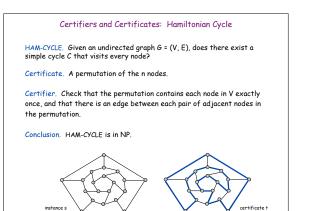
NP

PRIMES: X = { 2, 3, 5, 7, 11, 13, 17, 23, 29, 31, 37, } Algorithm. [Agrawal-Kayal-Saxena, 2002] $p(|s|) = |s|^8$.

| | Definitio | n of P | | | |
|---|--|------------------------------|---|--|--|
| \mathcal{P}_{\cdot} Decision problems for which there is a poly-time algorithm. | | | | | |
| Problem | Description | Algorithm | Yes | N٥ | |
| MULTIPLE | Is x a multiple of y? | Grade school division | 51, 17 | 51, 16 | |
| RELPRIME | Are x and y relatively prime? | Euclid (300 BCE) | 34, 39 | 34, 51 | |
| PRIMES | Is × prime? | AKS (2002) | 53 | 51 | |
| EDIT- DISTANCE | Is the edit distance between x and y less than 5? | Dynamic programming | niether neither | acgggt ttttta | |
| LSOLVE | Is there a vector x that satisfies Ax = b? | Gauss-Edmonds elimination | $\begin{bmatrix} 0 & 1 & 1 \\ 2 & 4 & -2 \\ 0 & 3 & 15 \end{bmatrix}, \begin{bmatrix} 4 \\ 2 \\ 36 \end{bmatrix}$ | $\begin{bmatrix} 1 & 0 & 0 \\ 1 & 1 & 1 \\ 0 & 1 & 1 \end{bmatrix}, \begin{bmatrix} 1 \\ 1 \\ 1 \end{bmatrix}$ | |
| | | | | | |
| | | | | | |







P, NP, EXP

P. Decision problems for which there is a poly-time algorithm. EXP. Decision problems for which there is an exponential-time algorithm. NP. Decision problems for which there is a poly-time certifier.

Claim. $P \subseteq NP$.

- Pf. Consider any problem X in P.
- By definition, there exists a poly-time algorithm A(s) that solves X.
- Certificate: $t = \varepsilon$, certifier C(s, t) = A(s).

Claim. NP \subseteq EXP.

- $\ensuremath{\mathsf{Pf}}$. Consider any problem X in NP.
- By definition, there exists a poly-time certifier C(s, t) for X. To solve input s, run C(s, t) on all strings t with $|t| \le p(|s|)$.
- . Return $_{\rm yes},$ if C(s, t) returns $_{\rm yes}$ for any of these.

The Main Question: P Versus NP Does P = NP? [Cook 1971, Edmonds, Levin, Yablonski, Gödel] Is the decision problem as easy as the certification problem? Clay \$1 million prize. would break RSA cryptoge (and potentially collapse economy) If yes: Efficient algorithms for 3-COLOR, TSP, FACTOR, SAT, If no: No efficient algorithms possible for 3-COLOR, TSP, SAT, ... Consensus opinion on P = NP? Probably no.





Looking for a Job?

Some writers for the Simpsons and Futurama.

- J. Steward Burns. M.S. in mathematics, Berkeley, 1993.
- David X. Cohen. M.S. in computer science, Berkeley, 1992.
- Al Jean. B.S. in mathematics, Harvard, 1981.
- Ken Keeler. Ph.D. in applied mathematics, Harvard, 1990.
- Jeff Westbrook. Ph.D. in computer science, Princeton, 1989.



Polynomial Transformation

Def. Problem X polynomial reduces (Cook) to problem Y if arbitrary instances of problem X can be solved using:

- Polynomial number of standard computational steps, plus
- Polynomial number of calls to oracle that solves problem Y.

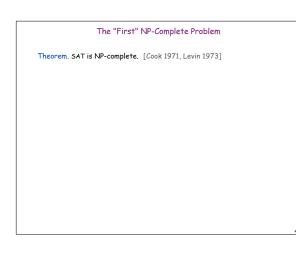
Def. Problem X polynomial transforms (Karp) to problem Y if given any input x to X, we can construct an input y such that x is a yes instance of X iff y is a yes instance of Y. $\uparrow_{we require} |y| \text{ to be of size polynomial in } |x|$

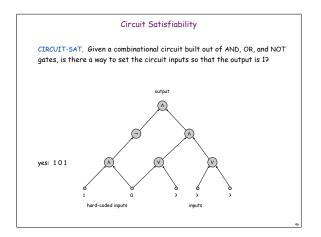
Note. Polynomial transformation is polynomial reduction with just one call to oracle for Y, exactly at the end of the algorithm for X. Almost all previous reductions were of this form.

Open question. Are these two concepts the same?

we abuse notation ≤. and blur distinction

$\label{eq:NP-Complete} NP-complete$ $\begin{array}{l} \mathsf{NP}\text{-complete} & A \text{ problem Y in NP with the property that for every problem X in NP, X \leq_p Y. \\ \end{array}$ Theorem. Suppose Y is an NP-complete problem. Then Y is solvable in poly-time iff P = NP. $\begin{array}{l} \mathsf{Pf}_{\cdot} \iff \mathrm{If} \ P = \mathrm{NP} \ \text{ hen Y can be solved in poly-time since Y is in NP. \\ \mathsf{Pf}_{\cdot} \implies \mathrm{Suppose Y \ can be solved in poly-time.} \\ \bullet \ \mathsf{Let X be any problem in NP. \ Since X \leq_p Y, we can solve X in \\ \ \mathsf{poly-time. This implies NP \subseteq P. \\ \bullet \ We \ already \ \mathsf{know} \ P \subseteq \ \mathsf{NP. Thus P = NP. } \bullet \\ \end{array}$





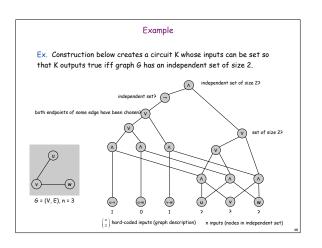


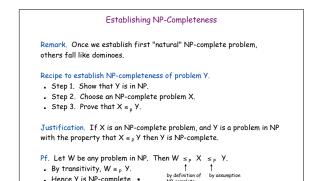
Theorem. CIRCUIT-SAT is NP-complete. [Cook 1971, Levin 1973] Pf. (sketch)

- Any algorithm that takes a fixed number of bits n as input and produces a yes/no answer can be represented by such a circuit.
- Moreover, if algorithm takes poly-time, then circuit is of poly-size. sketchy part of proof; fixing the number of bits is important, and reflects basic distinction between algorithms and circuits

and reflects basic distinction between algorithms and circuit

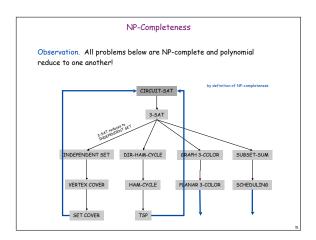
- Consider some problem X in NP. It has a poly-time certifier C(s, t).
 To determine whether s is in X, need to know if there exists a certificate t of length p(|s|) such that C(s, t) = yes.
- View C(s, t) as an algorithm on |s| + p(|s|) bits (input s, certificate t) and convert it into a poly-size circuit K.
 first |s| bits are hard-coded with s
- remaining p(|s|) bits represent bits of t
- Circuit K is satisfiable iff C(s, t) = yes.





Hence Y is NP-complete.

3-SAT is NP-Complete Theorem. 3-SAT is NP-complete. Pf. Suffices to show that CIRCUIT-SAT \leq_{P} 3-SAT since 3-SAT is in NP. . Let K be any circuit. . Create a 3-SAT variable x_i for each circuit element i. . Make circuit compute correct values at each node: $-\mathbf{x}_2 = -\mathbf{x}_3 \implies \text{add 2 clauses:} \quad x_2 \lor x_3, \quad \overline{x_2} \lor \overline{x_3}$ $\begin{array}{cccc} \mathbf{x}_{2} &= \mathbf{x}_{3} & \Rightarrow & \text{add } 2 \text{ classes}, & \mathbf{x}_{2} &= \mathbf{x}_{3}, & \mathbf{x}_{2} &= \mathbf{x}_{3} \\ \mathbf{x}_{1} &= \mathbf{x}_{4} & \mathbf{x}_{5} &\Rightarrow & \text{add } 3 \text{ classes}, & \mathbf{x}_{1} & \mathbf{x}_{4}, & \mathbf{x}_{1} & \mathbf{x}_{5}, & \mathbf{x}_{1} & \mathbf{x}_{4} & \mathbf{x}_{5} \\ \mathbf{x}_{0} &= \mathbf{x}_{1} & \mathbf{x}_{2} &\Rightarrow & \text{add } 3 \text{ classes}, & \mathbf{x}_{0} & \mathbf{x}_{1}, & \mathbf{x}_{0} & \mathbf{x}_{2}, & \mathbf{x}_{0} & \mathbf{x}_{1} & \mathbf{x}_{2} \end{array}$. Hard-coded input values and output value. output $-x_5 = 0 \Rightarrow add 1 clause: \overline{x_5}$ $-x_0 = 1 \Rightarrow add 1 clause: x_0$ • Final step: turn clauses of length < 3 into clauses of length exactly 3.





Six basic genres of NP-complete problems and paradigmatic examples. • Packing problems: SET-PACKING, INDEPENDENT SET.

- . Covering problems: SET-COVER, VERTEX-COVER.
- Constraint satisfaction problems: SAT, 3-SAT. Sequencing problems: HAMILTONIAN-CYCLE, TSP.
- Partitioning problems: 3D-MATCHING 3-COLOR.
- Numerical problems: SUBSET-SUM, KNAPSACK.

Practice. Most NP problems are either known to be in P or NP-complete.

Notable exceptions. Factoring, graph isomorphism.

Extent and Impact of NP-Completeness

Extent of NP-completeness. [Papadimitriou 1995]

- . Prime intellectual export of CS to other disciplines.
- . 6,000 citations per year (title, abstract, keywords).
- more than "compiler", "operating system", "database"
- Broad applicability and classification power.
- "Captures vast domains of computational, scientific, mathematical endeavors, and seems to roughly delimit what mathematicians and scientists had been aspiring to compute feasibly."

NP-completeness can guide scientific inquiry.

- . 1926: Ising introduces simple model for phase transitions.
- 1944: Onsager solves 2D case in tour de force.
- 19xx: Feynman and other top minds seek 3D solution.
- 2000: Istrail proves 3D problem NP-complete

More Hard Computational Problems Aerospace engineering: optimal mesh partitioning for finite elements. Biology: protein folding. Chemical engineering: heat exchanger network synthesis. Civil engineering: equilibrium of urban traffic flow. Economics: computation of arbitrage in financial markets with friction. Electrical engineering: VLSI layout. Environmental engineering: optimal placement of contaminant sensors. Financial engineering: find minimum risk portfolio of given return. Game theory: find Nash equilibrium that maximizes social welfare. Genomics: phylogeny reconstruction. Mechanical engineering: structure of turbulence in sheared flows. Medicine: reconstructing 3-D shape from biplane angiocardiogram. Operations research: optimal resource allocation. Physics: partition function of 3-D Ising model in statistical mechanics. Politics: Shapley-Shubik voting power. Pop culture: Minesweeper consistency. Statistics: optimal experimental design.