

# COMPLEXITY THEORY

#### Lecture 1: Introduction and Motivation

Markus Krötzsch Knowledge-Based Systems

TU Dresden, 10th Oct 2017

### **Course Tutors**





#### Markus Krötzsch Lectures

David Carral Exercises

Complexity Theory

# Organisation

```
Lectures
Tuesday, DS 3 (11:10–12:40), APB E005
Wednesday, DS 6 (16:40–18:10), APB E005
```

Exercise Sessions (starting 17 October) Tuesday, DS 5 (14:50–16:20), APB E005

Important: No Lectures or Exercises in Week 3 (24 and 25 Oct)

Web Page https://iccl.inf.tu-dresden.de/web/Complexity\_Theory\_(WS2017/18)

Lecture Notes Slides of current and past lectures will be online.

# Goals and Prerequisites

### Goals

- Introduce basic notions of **computational complexity theory**
- Introduce commonly known complexity classes (P, NP, PSpace, ...) and discuss relationships between them
- Develop tools to classify problems into their corresponding complexity classes
- Introduce (some) advanced topics of complexity theory

### (Non-)Prerequisites

- No particular prior courses needed
- Prior acquaintance with Turing Machines and basic topics in formal languages and complexity is helpful
- · General mathematical and theoretical computer science skills necessary

# **Reading List**

- Michael Sipser: Introduction to the Theory of Computation, International Edition; 3rd Edition; Cengage Learning 2013
- Sanjeev Arora and Boaz Barak: Computational Complexity: A Modern Approach; Cambridge University Press 2009
- Michael R. Garey and David S. Johnson: **Computers and Intractability**; Bell Telephone Laboratories, Inc. 1979
- Erich Grädel: Complexity Theory; Lecture Notes, Winter Term 2009/10
- John E. Hopcroft and Jeffrey D. Ullman: Introduction to Automata Theory, Languages, and Computation; Addison Wesley Publishing Company 1979
- Neil Immerman: **Descriptive Complexity**; Springer Verlag 1999
- Christos H. Papadimitriou: **Computational Complexity**; 1995 Addison-Wesley Publishing Company, Inc

# Computational Problems are Everywhere

- What are the factors of 54,623?
- What is the shortest route by car from Berlin to Hamburg?
- My program now runs for two weeks. Will it ever stop?
- Is this C++ program syntactically correct?

# Computational Problems are Everywhere

### Example 1.1

- What are the factors of 54,623?
- What is the shortest route by car from Berlin to Hamburg?
- My program now runs for two weeks. Will it ever stop?
- Is this C++ program syntactically correct?

### Clear

Computational Problems are ubiquitous in our everyday life! And, depending on what we want to do, those problems either need to be **easily solvable** or **hardly solvable**.

# Computational Problems are Everywhere

### Example 1.1

- What are the factors of 54,623?
- What is the shortest route by car from Berlin to Hamburg?
- My program now runs for two weeks. Will it ever stop?
- Is this C++ program syntactically correct?

### Clear

Computational Problems are ubiquitous in our everyday life! And, depending on what we want to do, those problems either need to be **easily solvable** or **hardly solvable**.

Approach to problems:

[T]he way is to avoid what is strong, and strike at what is weak.

(Sun Tzu: The Art of War, Chapter 6: Weak Points and Strong)

Markus Krötzsch, 10th Oct 2017

### Example 1.2 (Shortest Path Problem)

Given a weighted graph and two vertices s, t, find the shortest path between s and t.

### Example 1.2 (Shortest Path Problem)

Given a weighted graph and two vertices s, t, find the shortest path between s and t.

Easily solvable using, e.g., Dijkstra's Algorithm.

### Example 1.2 (Shortest Path Problem)

Given a weighted graph and two vertices s, t, find the shortest path between s and t.

Easily solvable using, e.g., Dijkstra's Algorithm.

Example 1.3 (Longest Path Problem) Given a weighted graph and two vertices *s*, *t*, find the **longest** path between *s* and *t*.

### Example 1.2 (Shortest Path Problem)

Given a weighted graph and two vertices s, t, find the shortest path between s and t.

Easily solvable using, e.g., Dijkstra's Algorithm.

# Example 1.3 (Longest Path Problem) Given a weighted graph and two vertices *s*, *t*, find the **longest** path between *s* and *t*.

No efficient algorithm known, and believed to not exist. (i.e., this problem is **NP-hard**)

### Example 1.2 (Shortest Path Problem)

Given a weighted graph and two vertices s, t, find the shortest path between s and t.

Easily solvable using, e.g., Dijkstra's Algorithm.

### Example 1.3 (Longest Path Problem)

Given a weighted graph and two vertices s, t, find the **longest** path between s and t.

No efficient algorithm known, and believed to not exist. (i.e., this problem is **NP-hard**)

Observation Difficulty of a problem is hard to assess

# Measuring the Difficulty of Problems

Question

How can we measure the complexity of a problem?

# Measuring the Difficulty of Problems

### Question

How can we measure the complexity of a problem?

### Approach

Estimate the resource requirements of the "best" algorithm that solves this problem.

#### Typical Resources:

- Running Time
- Memory Used

# Measuring the Difficulty of Problems

### Question

How can we measure the complexity of a problem?

### Approach

Estimate the resource requirements of the "best" algorithm that solves this problem.

#### Typical Resources:

- Running Time
- Memory Used

### Note

To assess the complexity of a problem, we need to consider **all possible algorithms** that solve this problem.

### Problems

What actually is ... a Problem?

(Decision) Problems are word problems of particular languages.

### Problems

What actually is ... a Problem?

(Decision) Problems are word problems of particular languages.

Example 1.4

"Problem: Is a given graph connected?" will be modeled as the word problem of the language

 $\mathsf{GCONN} := \{ \langle G \rangle \mid G \text{ is a connected graph } \}.$ 

Then for a graph G we have

```
G is connected \iff \langle G \rangle \in \text{GCONN}.
```

#### Note

The notation  $\langle G \rangle$  denotes a suitable encoding of the graph *G* over some fixed alphabet (e.g., {0,1}).

What actually is ... an Algorithm?

### What actually is ... an Algorithm?

Different approaches to formalize the notion of an "algorithm"

- Turing Machines
- Lambda Calculus
- $\mu$ -Recursion
- . . .

### What actually is ... an Algorithm?

Different approaches to formalize the notion of an "algorithm"

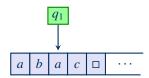
- Turing Machines
- Lambda Calculus
- *µ*-Recursion
- ...

### What actually is ... an Algorithm?

Different approaches to formalize the notion of an "algorithm"

- Turing Machines
- Lambda Calculus
- *µ*-Recursion

. . .

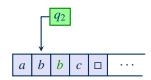


### What actually is ... an Algorithm?

Different approaches to formalize the notion of an "algorithm"

- Turing Machines
- Lambda Calculus
- *µ*-Recursion

. . .

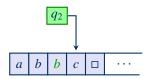


### What actually is ... an Algorithm?

Different approaches to formalize the notion of an "algorithm"

- Turing Machines
- Lambda Calculus
- *µ*-Recursion

. . .



Suppose we are given a language  $\mathcal{L}$  and a word w.

Question

Does there need to exist **any** algorithm that decides whether  $w \in \mathcal{L}$ ?

Suppose we are given a language  $\mathcal{L}$  and a word w.

Question

Does there need to exist **any** algorithm that decides whether  $w \in \mathcal{L}$ ?

#### Answer

No. Some problems are **undecidable**.

Suppose we are given a language  $\mathcal{L}$  and a word w.

Question

Does there need to exist **any** algorithm that decides whether  $w \in \mathcal{L}$ ?

#### Answer

No. Some problems are **undecidable**.

Suppose we are given a language  $\mathcal{L}$  and a word w.

Question

Does there need to exist **any** algorithm that decides whether  $w \in \mathcal{L}$ ?

#### Answer

No. Some problems are **undecidable**.

Example 1.5

• The Halting Problem of Turing machines

Suppose we are given a language  $\mathcal{L}$  and a word w.

Question

Does there need to exist **any** algorithm that decides whether  $w \in \mathcal{L}$ ?

#### Answer

No. Some problems are **undecidable**.

- The Halting Problem of Turing machines
- The Entscheidungsproblem (Is a mathematical statement true?)

Suppose we are given a language  $\mathcal{L}$  and a word w.

Question

Does there need to exist **any** algorithm that decides whether  $w \in \mathcal{L}$ ?

#### Answer

No. Some problems are **undecidable**.

- The Halting Problem of Turing machines
- The Entscheidungsproblem (Is a mathematical statement true?)
- Finding the lowest air fare between two cities (→ Reference)

Suppose we are given a language  $\mathcal{L}$  and a word w.

Question

Does there need to exist **any** algorithm that decides whether  $w \in \mathcal{L}$ ?

#### Answer

No. Some problems are **undecidable**.

- The Halting Problem of Turing machines
- The Entscheidungsproblem (Is a mathematical statement true?)
- Finding the lowest air fare between two cities (→ Reference)
- Deciding syntactic validity of C++ programs ( $\rightarrow$  Reference)

Suppose we are given a language  $\mathcal{L}$  and a word w.

Question

Does there need to exist **any** algorithm that decides whether  $w \in \mathcal{L}$ ?

#### Answer

No. Some problems are **undecidable**.

### Example 1.5

- The Halting Problem of Turing machines
- The Entscheidungsproblem (Is a mathematical statement true?)
- Finding the lowest air fare between two cities (→ Reference)
- Deciding syntactic validity of C++ programs ( $\rightarrow$  Reference)

Avoid: Suppose from now on all problems we consider to be decidable.

### Time and Space

#### Drawback

Measuring running time and memory requirements depends highly on the **machine**, and not so much on the **problem**.

### Time and Space

#### Drawback

Measuring running time and memory requirements depends highly on the **machine**, and not so much on the **problem**.

#### Resort

Measure time and space only asymptotically using Big-O-Notation:

### Time and Space

#### Drawback

Measuring running time and memory requirements depends highly on the **machine**, and not so much on the **problem**.

#### Resort

Measure time and space only asymptotically using Big-O-Notation:

 $f(n) = O(g(n)) \iff f(n)$  "asymptotically bounded by" g(n)

### Time and Space

#### Drawback

Measuring running time and memory requirements depends highly on the **machine**, and not so much on the **problem**.

#### Resort

Measure time and space only asymptotically using Big-O-Notation:

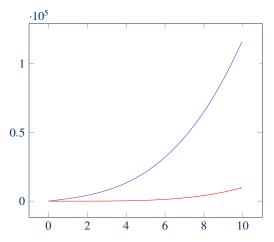
 $f(n) = O(g(n)) \iff f(n)$  "asymptotically bounded by" g(n)

More formally:

$$f(n) = O(g(n)) \iff \exists c > 0 \exists n_0 \in \mathbb{N} \, \forall n > n_0 \colon f(n) \le c \cdot g(n).$$

### Example 1.6

 $100n^3 + 1729n = O(n^4)$ :

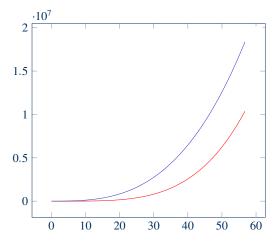


Markus Krötzsch, 10th Oct 2017

Complexity Theory

### Example 1.6

 $100n^3 + 1729n = O(n^4)$ :

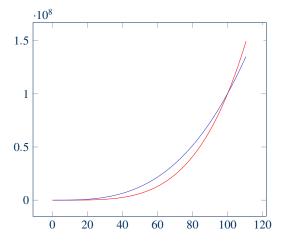


Markus Krötzsch, 10th Oct 2017

Complexity Theory

### Example 1.6

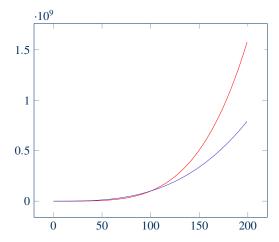
 $100n^3 + 1729n = O(n^4)$ :



Markus Krötzsch, 10th Oct 2017

### Example 1.6

 $100n^3 + 1729n = O(n^4)$ :



### Approach

The **time (space) complexity** of a problem is the asymptotic running time of a fastest (least memory consumptive) algorithm that solves the problem.

### Approach

The **time (space) complexity** of a problem is the asymptotic running time of a fastest (least memory consumptive) algorithm that solves the problem.

Problem

Still too difficult ...

### Approach

The **time (space) complexity** of a problem is the asymptotic running time of a fastest (least memory consumptive) algorithm that solves the problem.

Problem

Still too difficult ...

### Example 1.7 (Traveling Salesman Problem)

Given a weighted graph, find the shortest simple path visiting every node.

### Approach

The **time (space) complexity** of a problem is the asymptotic running time of a fastest (least memory consumptive) algorithm that solves the problem.

Problem

Still too difficult ...

### Example 1.7 (Traveling Salesman Problem)

Given a weighted graph, find the shortest simple path visiting every node.

• Best known algorithm runs in time  $O(n^2 2^n)$  (Bellman-Held-Karp algorithm)

### Approach

The **time (space) complexity** of a problem is the asymptotic running time of a fastest (least memory consumptive) algorithm that solves the problem.

Problem

Still too difficult ...

### Example 1.7 (Traveling Salesman Problem)

Given a weighted graph, find the shortest simple path visiting every node.

- Best known algorithm runs in time  $O(n^2 2^n)$  (Bellman-Held-Karp algorithm)
- Best known lower bound is  $O(n \log n)$

### Approach

The **time (space) complexity** of a problem is the asymptotic running time of a fastest (least memory consumptive) algorithm that solves the problem.

Problem

Still too difficult ...

### Example 1.7 (Traveling Salesman Problem)

Given a weighted graph, find the shortest simple path visiting every node.

- Best known algorithm runs in time  $O(n^2 2^n)$  (Bellman-Held-Karp algorithm)
- Best known lower bound is  $O(n \log n)$

Exact complexity of TSP unknown.

Approach

### Approach

Divide decision problems into the "quality" of their fastest algorithms:

• P is the class of problems solvable in polynomial time

### Approach

- P is the class of problems solvable in polynomial time
- PSpace is the class of problems solvable in polynomial space

### Approach

- P is the class of problems solvable in polynomial time
- PSpace is the class of problems solvable in polynomial space
- ExpTime is the class of problems solvable in exponential time

### Approach

- P is the class of problems solvable in polynomial time
- PSpace is the class of problems solvable in polynomial space
- ExpTime is the class of problems solvable in exponential time
- L is the class of problems **solvable in logarithmic space** (apart from the input)

### Approach

- P is the class of problems solvable in polynomial time
- PSpace is the class of problems solvable in polynomial space
- ExpTime is the class of problems solvable in exponential time
- L is the class of problems **solvable in logarithmic space** (apart from the input)
- NP is the class of problems verifiable in polynomial time

### Approach

- P is the class of problems solvable in polynomial time
- PSpace is the class of problems solvable in polynomial space
- ExpTime is the class of problems solvable in exponential time
- L is the class of problems **solvable in logarithmic space** (apart from the input)
- NP is the class of problems verifiable in polynomial time
- NL is the class of problems verifiable in logarithmic space

### Approach

- P is the class of problems solvable in polynomial time
- PSpace is the class of problems solvable in polynomial space
- ExpTime is the class of problems solvable in exponential time
- L is the class of problems **solvable in logarithmic space** (apart from the input)
- NP is the class of problems verifiable in polynomial time
- NL is the class of problems **verifiable in logarithmic space** And many more!

### Approach

Divide decision problems into the "quality" of their fastest algorithms:

- P is the class of problems **solvable in polynomial time**
- PSpace is the class of problems solvable in polynomial space
- ExpTime is the class of problems solvable in exponential time
- L is the class of problems **solvable in logarithmic space** (apart from the input)
- NP is the class of problems verifiable in polynomial time
- NL is the class of problems verifiable in logarithmic space

#### And many more!

 $\oplus$ P, #P, AC, AC<sup>0</sup>, ACC0, AM, AP, APSpace, BPL, BPP, BQP, coNP, E, Exp, FP, IP, MA, MIP, NC, NExpTime, P/poly, PH, PP, PSpace, RL, RP,  $\Sigma_i^p$ , TISP(T(n), S(n)), ZPP, ...

## Strike at What is Weak

#### Approach (cf. Cobham–Edmonds Thesis) The problems in P are "tractable" or "efficiently solvable" (and those outside not)

Strike at What is Weak

### Approach (cf. Cobham–Edmonds Thesis)

The problems in P are "tractable" or "efficiently solvable" (and those outside not)

#### Example 1.8

The following problems are in P:

- Shortest Path Problem
- Satisfiability of Horn-Formulas
- Linear Programming
- Primality

Strike at What is Weak

#### Approach (cf. Cobham–Edmonds Thesis)

The problems in P are "tractable" or "efficiently solvable" (and those outside not)

#### Example 1.8

The following problems are in P:

- Shortest Path Problem
- Satisfiability of Horn-Formulas
- Linear Programming
- Primality

#### Note

The Cobham-Edmonds-Thesis is only a **rule of thumb**: there are (practically) tractable problems outside of P, and (practically) intractable problems in P.

Markus Krötzsch, 10th Oct 2017

Complexity Theory

#### Caveat

It is not known how big P is.

In particular, it is unknown whether  $P \neq NP$  or not.

#### Caveat

It is not known how big P is. In particular, it is unknown whether  $P \neq NP$  or not.

#### Approach

Try to find out which problems in a class are at least as hard as others.

#### Caveat

It is not known how big P is. In particular, it is unknown whether  $P \neq NP$  or not.

#### Approach

Try to find out which problems in a class are at least as hard as others. **Complete** problems are then the hardest problems of a class.

#### Caveat

It is not known how big P is. In particular, it is unknown whether  $P \neq NP$  or not.

### Approach

Try to find out which problems in a class are at least as hard as others. **Complete** problems are then the hardest problems of a class.

#### Example 1.9

Satisfiability of propositional formulas is **NP-complete**: if we can efficiently decide whether a propositional formula is satisfiable, we can solve **any** problem in NP efficiently.

#### Caveat

It is not known how big P is. In particular, it is unknown whether  $P \neq NP$  or not.

### Approach

Try to find out which problems in a class are at least as hard as others. **Complete** problems are then the hardest problems of a class.

#### Example 1.9

Satisfiability of propositional formulas is **NP-complete**: if we can efficiently decide whether a propositional formula is satisfiable, we can solve **any** problem in NP efficiently.

But: we still do not know whether we can or cannot solve satisfiability efficiently. We only know it will be difficult to find out ...

# Live Survey: Student Haves and Wants

## Learning Goals

- Get an overview over the foundations of Complexity Theory
- Gain insights into advanced techniques and results in Complexity Theory
- Understand what it means to "compute" something, and what the strengths and limits of different computing approaches are
- Get a feeling of how hard certain problems are, and where this hardness comes from
- Appreciate how very little we actually know about the computational complexity of many problems

# Lecture Outline (1)

• Turing Machines (Revision)

Definition of Turing Machines; Variants; Computational Equivalence; Decidability and Recognizability; Enumeration

#### • Undecidability

Examples of Undecidable Problems; Mapping Reductions; Rice's Theorem; Recursion Theorem

#### • Time Complexity

Measuring Time Complexity; Many-One Reductions; Cook-Levin Theorem; Time Complexity Classes (P, NP, ExpTime); NP-completeness; pseudo-NP-complete problems

#### • Space Complexity

Space Complexity Classes (PSpace, L, NL); Savitch's Theorem; PSpace-completeness; NL-completeness; NL = coNL

## Lecture Outline (2)

#### • Diagonalisation

Hierarchy Theorems (det. Time, non-det. Time, Space); Gap Theorem; Ladner's Theorem; Relativisation; Baker-Gill-Solovay Theorem

#### • Alternation

Alternating Turing Machines; APTime = PSpace; APSpace = ExpTime; Polynomial Hierarchy; NTIME(n)  $\not\subseteq$  TISP( $n^{1.2}, n^{0.2}$ )

#### Circuit Complexity

Boolean Circuits; Alternative Proof of Cook-Levin Theorem; Parallel Computation (NC); P-completeness; P/poly; (Karp-Lipton Theorem, Meyer's Theorem)

#### • Probabilistic Computation

Randomised Complexity Classes (RP, PP, BPP, ZPP); Sipser-Gács-Lautemann Theorem

## Avoid what is Strong, and Strike at what is Weak

Sometimes the best way to solve a problem is to avoid it ...

# Avoid what is Strong, and Strike at what is Weak

Sometimes the best way to solve a problem is to avoid it ...

