

# CSE 431/531: Algorithm Analysis and Design (Fall 2022)

## NP-Completeness

Lecturer: Shi Li

*Department of Computer Science and Engineering  
University at Buffalo*

# NP-Completeness Theory

- The topics we discussed so far are **positive results**: how to design efficient algorithms for solving a given problem.
- NP-Completeness provides **negative results**: some problems can **not** be solved efficiently.

**Q:** Why do we study negative results?

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- NP-Completeness provides **negative results**: some problems can **not** be solved efficiently.

**Q:** Why do we study negative results?

- A given problem  $X$  cannot be solved in polynomial time.
- Without knowing it, you will have to keep trying to find polynomial time algorithm for solving  $X$ . All our efforts are doomed!

# Efficient = Polynomial Time

- Polynomial time:  $O(n^k)$  for any constant  $k > 0$
- Example:  $O(n)$ ,  $O(n^2)$ ,  $O(n^{2.5} \log n)$ ,  $O(n^{100})$
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## Reason for Efficient = Polynomial Time

- For natural problems, if there is an  $O(n^k)$ -time algorithm, then  $k$  is small, say 4
- A good cut separating problems: for most natural problems, either we have a polynomial time algorithm, or the best algorithm runs in time  $\Omega(2^{n^c})$  for some  $c$
- Do not need to worry about the computational model

# Outline

- 1 Some Hard Problems
- 2 P, NP and Co-NP
- 3 Polynomial Time Reductions and NP-Completeness
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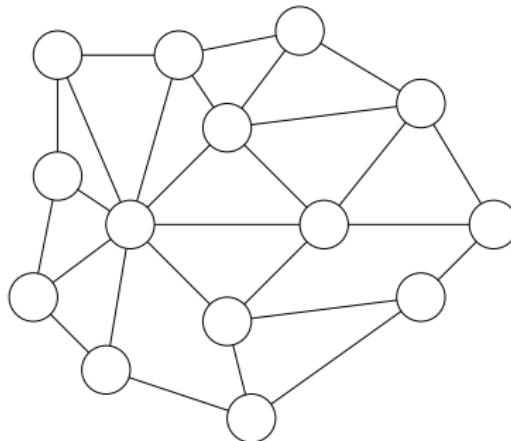
# Example: Hamiltonian Cycle Problem

**Def.** Let  $G$  be an undirected graph. A **Hamiltonian Cycle (HC)** of  $G$  is a cycle  $C$  in  $G$  that **passes each vertex of  $G$  exactly once**.

## Hamiltonian Cycle (HC) Problem

**Input:** graph  $G = (V, E)$

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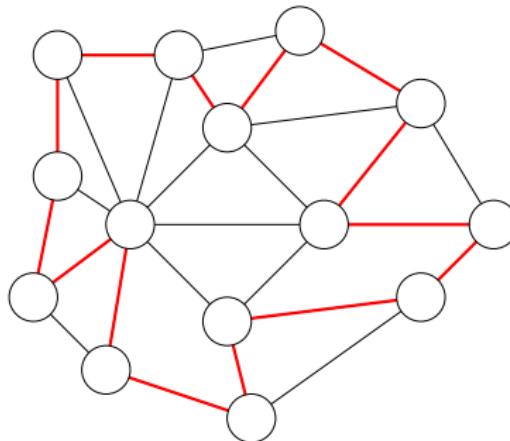
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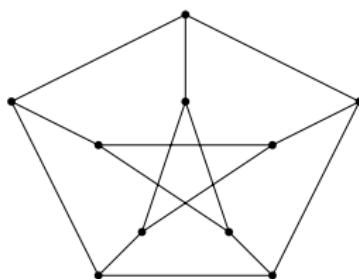
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- The graph is called the **Petersen Graph**. It has no HC.

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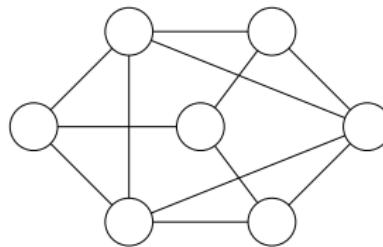
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- HC is **NP-hard**: it is **unlikely** that it can be solved in polynomial time.

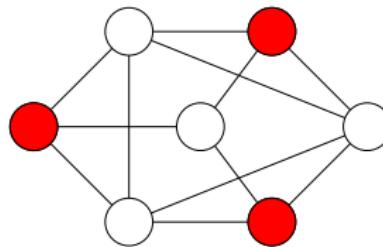
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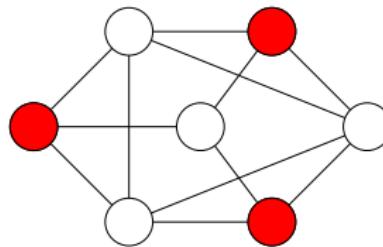
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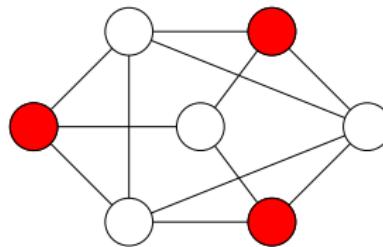
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- Maximum Independent Set is NP-hard

# Formula Satisfiability

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**Output:** whether the boolean formula is satisfiable

- Example:  $\neg((\neg x_1 \wedge x_2) \vee (\neg x_1 \wedge \neg x_3) \vee x_1 \vee (\neg x_2 \wedge x_3))$  is not satisfiable
- Trivial algorithm: enumerate all possible assignments, and check if each assignment satisfies the formula. The algorithm runs in exponential time.

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**Fact** For each optimization problem  $X$ , there is a decision version  $X'$  of the problem. If we have a polynomial time algorithm for the decision version  $X'$ , we can solve the original problem  $X$  in polynomial time.

# Optimization to Decision

## Shortest Path

**Input:** graph  $G = (V, E)$ , weight  $w$ ,  $s, t$  and a bound  $L$

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## Maximum Independent Set

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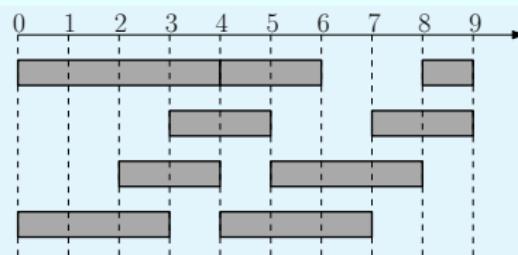
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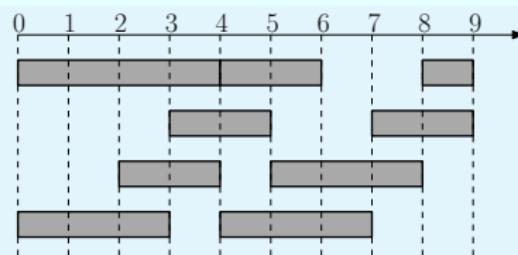
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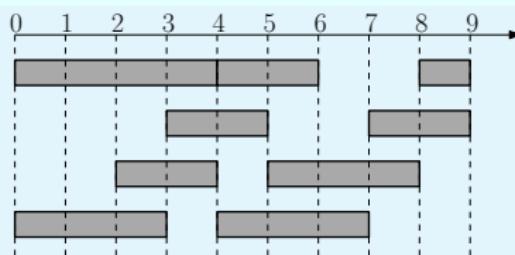


- $(0, 3, 0, 4, 2, 4, 3, 5, 4, 6, 4, 7, 5, 8, 7, 9, 8, 9)$

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- $(0, 3, 0, 4, 2, 4, 3, 5, 4, 6, 4, 7, 5, 8, 7, 9, 8, 9)$
- Encode the sequence into a binary string as before

# Encoding

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**A:** No! As long as we are using a “natural” encoding. We only care whether the running time is polynomial or not

## Define Problem as a Function

$$X : \{0, 1\}^* \rightarrow \{0, 1\}$$

**Def.** A **decision problem**  $X$  is a function mapping  $\{0, 1\}^*$  to  $\{0, 1\}$  such that for any  $s \in \{0, 1\}^*$ ,  $X(s)$  is the correct output for input  $s$ .

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**Def.**  $A$  has a **polynomial running time** if there is a polynomial function  $p(\cdot)$  so that for every string  $s$ , the algorithm  $A$  terminates on  $s$  in at most  $p(|s|)$  steps.

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- The decision versions of interval scheduling, shortest path and minimum spanning tree all in P.

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**Def.** The message Alice sends to Bob is called a **certificate**, and the algorithm Bob runs is called a **certifier**.

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- Certificate: a set of size  $k$
- Certifier: check if the given set is really an independent set

# The Complexity Class NP

**Def.**  $B$  is an **efficient certifier** for a problem  $X$  if

- $B$  is a polynomial-time algorithm that takes two input strings  $s$  and  $t$ , and outputs 0 or 1.
- there is a polynomial function  $p$  such that,  $X(s) = 1$  if and only if there is string  $t$  such that  $|t| \leq p(|s|)$  and  $B(s, t) = 1$ .

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**Def.** The complexity class NP is the set of all problems for which there exists an efficient certifier.

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- $\text{HC}(G) = 1 \iff \exists S, B(G, S) = 1$

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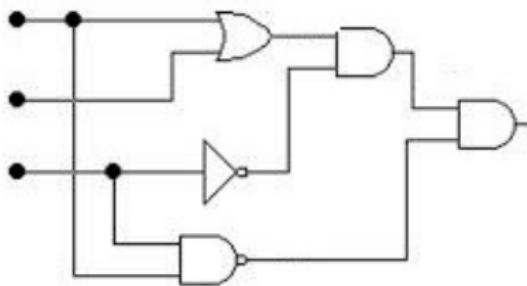
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**Input:** a circuit with and/or/not gates

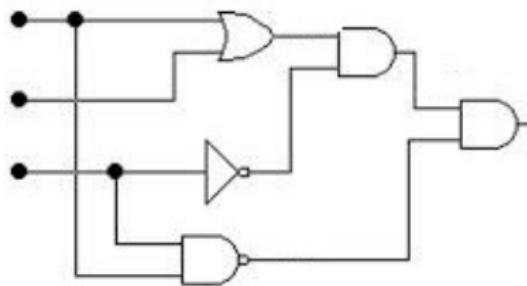
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- Is Circuit-Sat  $\in$  NP?

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- Alice can only convince Bob that  $G$  is a no-instance
- $\overline{\text{HC}} \in \text{Co-NP}$

# The Complexity Class Co-NP

**Def.** For a problem  $X$ , the problem  $\overline{X}$  is the problem such that  $\overline{X}(s) = 1$  if and only if  $X(s) = 0$ .

**Def.**  $\text{Co-NP}$  is the set of decision problems  $X$  such that  $\overline{X} \in \text{NP}$ .

**Def.** A **tautology** is a boolean formula that always evaluates to 1.

## Tautology Problem

**Input:** a boolean formula

**Output:** whether the formula is a tautology

- e.g.  $(\neg x_1 \wedge x_2) \vee (\neg x_1 \wedge \neg x_3) \vee x_1 \vee (\neg x_2 \wedge x_3)$  is a tautology

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- Bob can certify that a formula is not a tautology
- Thus Tautology  $\in$  Co-NP

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- The certificate is an empty string
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- Similarly,  $P \subseteq \text{Co-NP}$ , thus  $P \subseteq NP \cap \text{Co-NP}$

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- We assume  $P \neq NP$  and prove that problems do not have polynomial time algorithms.
- We said it is **unlikely** that Hamiltonian Cycle can be solved in polynomial time:
  - if  $P \neq NP$ , then  $HC \notin P$
  - $HC \notin P$ , unless  $P = NP$

# Is NP = Co-NP?

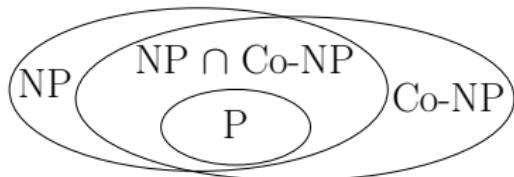
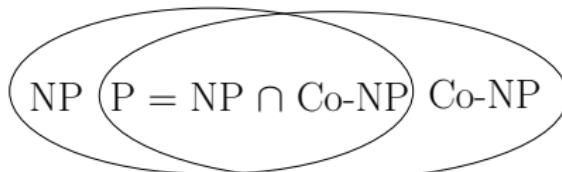
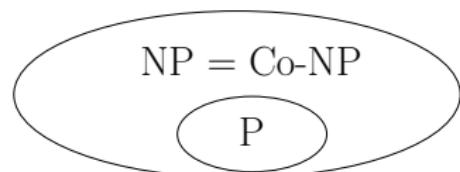
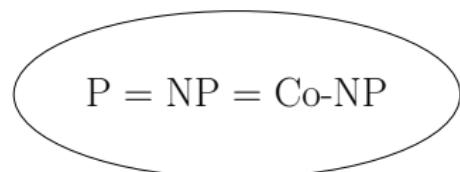
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# Is NP = Co-NP?

- Again, a big open problem
- Most researchers believe  $\text{NP} \neq \text{Co-NP}$ .

## 4 Possibilities of Relationships

Notice that  $X \in \text{NP} \iff \overline{X} \in \text{Co-NP}$  and  $P \subseteq \text{NP} \cap \text{Co-NP}$



- People commonly believe we are in the 4th scenario

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# Polynomial-Time Reductions

**Def.** Given a black box algorithm  $A$  that solves a problem  $X$ , if any instance of a problem  $Y$  can be solved using a polynomial number of standard computational steps, plus a polynomial number of calls to  $A$ , then we say  $Y$  is polynomial-time reducible to  $X$ , denoted as  $Y \leq_P X$ .

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# Polynomial-Time Reduction: Example

## Hamiltonian-Path (HP) problem

**Input:**  $G = (V, E)$  and  $s, t \in V$

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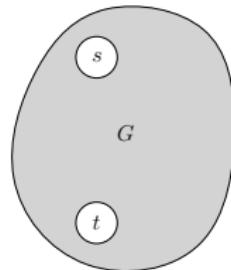
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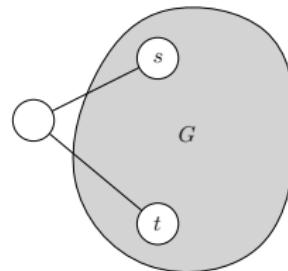
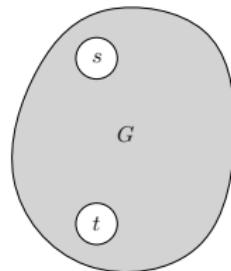
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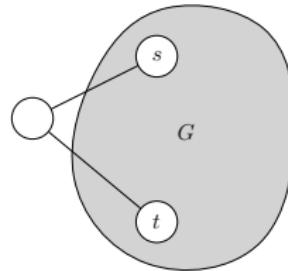
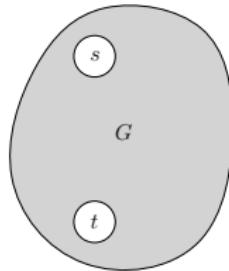
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**Obs.**  $G$  has a HP from  $s$  to  $t$  if and only if graph on right side has a HC.

# NP-Completeness

**Def.** A problem  $X$  is called **NP-complete** if

- ①  $X \in \text{NP}$ , and
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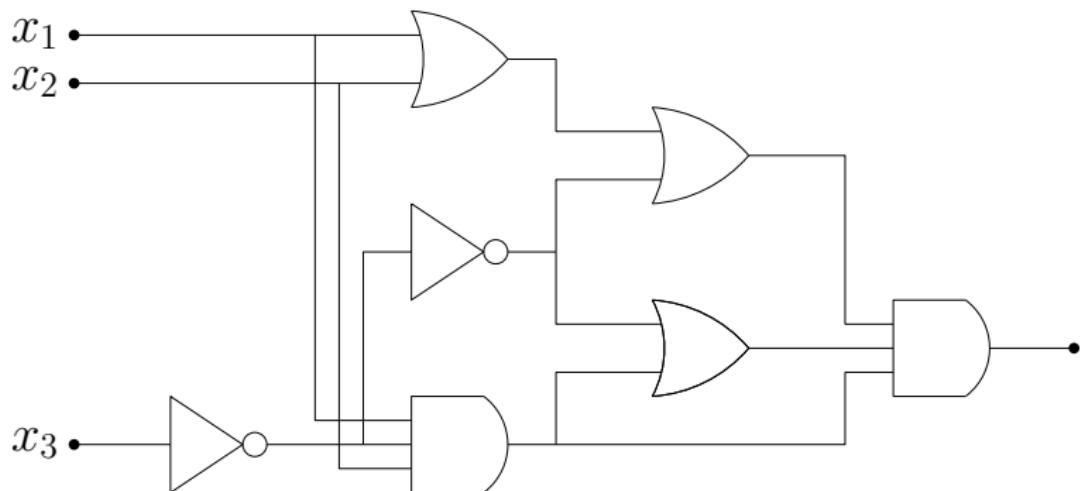
- How can we find a problem  $X \in \text{NP}$  such that every problem  $Y \in \text{NP}$  is polynomial time reducible to  $X$ ? Are we asking for too much?
- No! There is indeed a large family of natural NP-complete problems

# The First NP-Complete Problem: Circuit-Sat

## Circuit Satisfiability (Circuit-Sat)

**Input:** a circuit

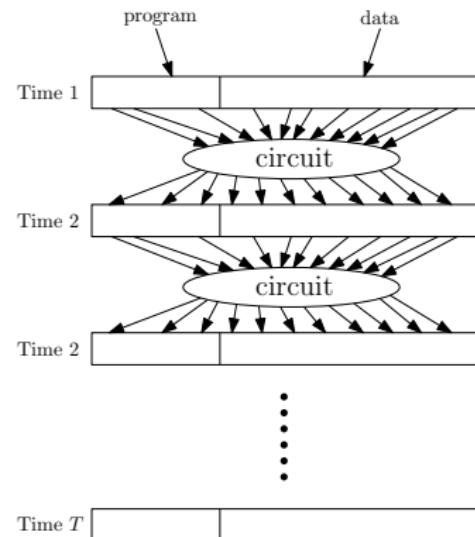
**Output:** whether the circuit is satisfiable



# Circuit-Sat is NP-Complete

- key fact: algorithms can be converted to circuits

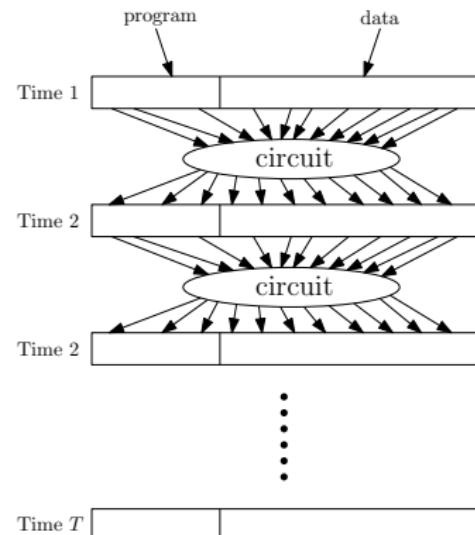
**Fact** Any algorithm that takes  $n$  bits as input and outputs 0/1 with running time  $T(n)$  can be converted into a circuit of size  $p(T(n))$  for some polynomial function  $p(\cdot)$ .



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- Then, we can show that any problem  $Y \in \text{NP}$  can be reduced to Circuit-Sat.
- We prove  $\text{HC} \leq_P \text{Circuit-Sat}$  as an example.

## $\text{HC} \leq_P \text{Circuit-Sat}$

$\text{check-}\text{HC}(G, S)$

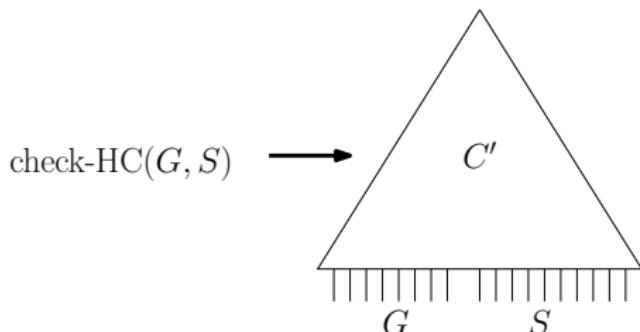
- Let  $\text{check-}\text{HC}(G, S)$  be the certifier for the Hamiltonian cycle problem:  $\text{check-}\text{HC}(G, S)$  returns 1 if  $S$  is a Hamiltonian cycle in  $G$  and 0 otherwise.

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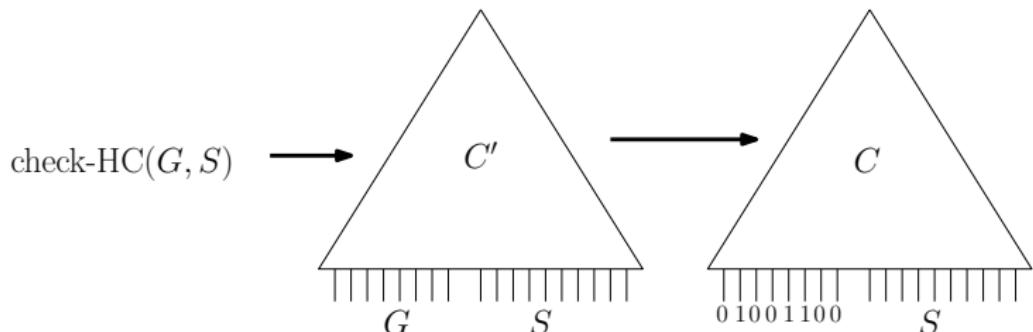
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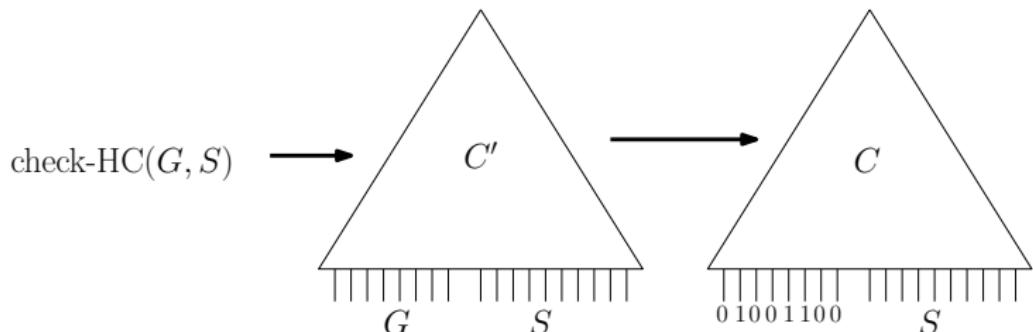
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## $Y \leq_P \text{Circuit-Sat, For Every } Y \in \text{NP}$

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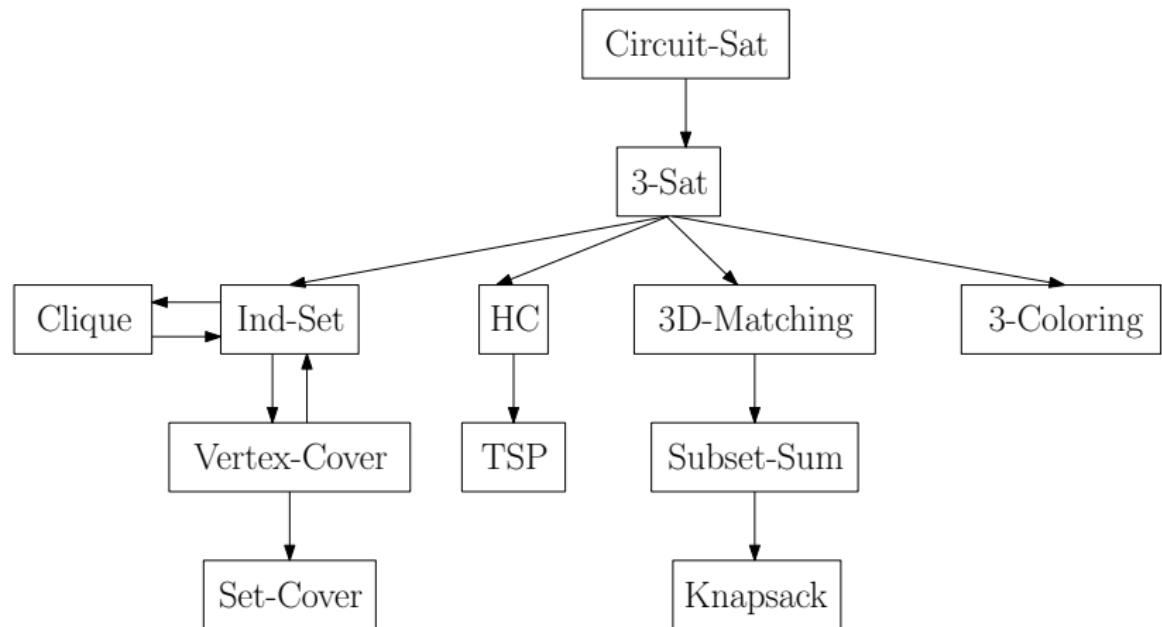
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**Theorem** Circuit-Sat is NP-complete.

# Reductions of NP-Complete Problems



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- Clause: disjunction ("or") of at most 3 literals:  $x_3 \vee \neg x_4$ ,  
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 $x_1 \vee x_8 \vee \neg x_9$ ,  $\neg x_2 \vee \neg x_5 \vee x_7$
- 3-CNF formula: conjunction ("and") of clauses:  
$$(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee \neg x_4)$$

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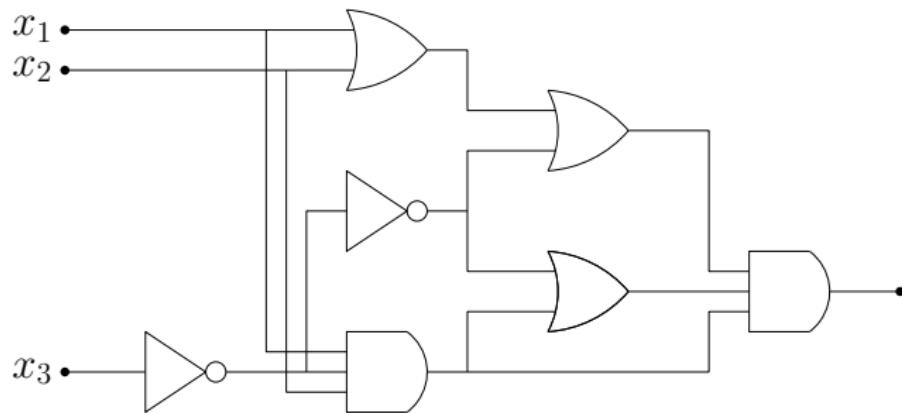
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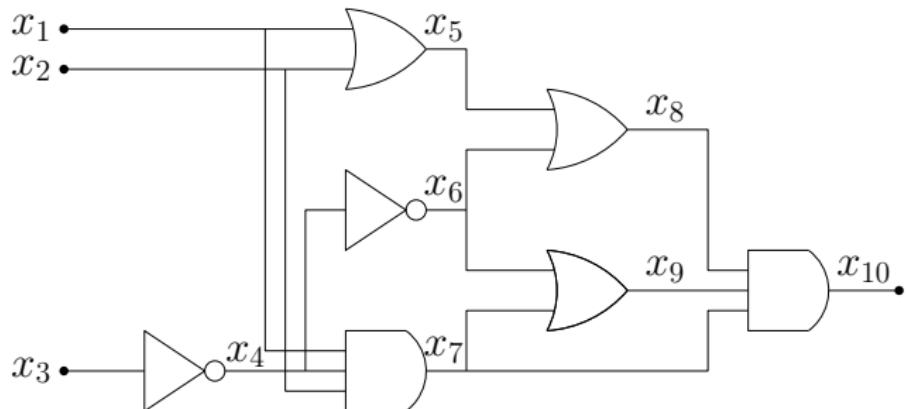
**Output:** whether the 3-CNF is satisfiable

- To satisfy a 3-CNF, we need to satisfy all clauses
- To satisfy a clause, we need to satisfy at least 1 literal
- Assignment  $x_1 = 1, x_2 = 1, x_3 = 0, x_4 = 0$  satisfies  $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee \neg x_4)$

# Circuit-Sat $\leq_P$ 3-Sat

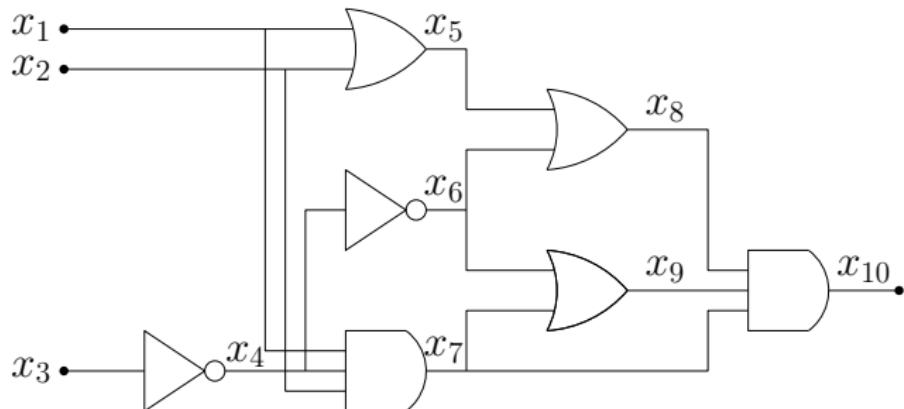


# Circuit-Sat $\leq_P$ 3-Sat



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- Associate every wire with a new variable
- The circuit is equivalent to the following formula:

$$\begin{aligned} & (x_4 = \neg x_3) \wedge (x_5 = x_1 \vee x_2) \wedge (x_6 = \neg x_4) \\ & \wedge (x_7 = x_1 \wedge x_2 \wedge x_4) \wedge (x_8 = x_5 \vee x_6) \\ & \wedge (x_9 = x_6 \vee x_7) \wedge (x_{10} = x_8 \wedge x_9 \wedge x_7) \wedge x_{10} \end{aligned}$$

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$$x_5 = x_1 \vee x_2 \iff$$

$x_1$	$x_2$	$x_5$	$x_5 \leftrightarrow x_1 \vee x_2$
0	0	0	1
0	0	1	0
0	1	0	0
0	1	1	1
1	0	0	0
1	0	1	1
1	1	0	0
1	1	1	1

# Circuit-Sat $\leq_P$ 3-Sat

$$\begin{aligned}(x_4 = \neg x_3) \wedge (x_5 = x_1 \vee x_2) \wedge (x_6 = \neg x_4) \\ \wedge (x_7 = x_1 \wedge x_2 \wedge x_4) \wedge (x_8 = x_5 \vee x_6) \\ \wedge (x_9 = x_6 \vee x_7) \wedge (x_{10} = x_8 \wedge x_9 \wedge x_7) \wedge x_{10}\end{aligned}$$

Convert each clause to a 3-CNF

$$x_5 = x_1 \vee x_2 \iff$$

$x_1$	$x_2$	$x_5$	$x_5 \leftrightarrow x_1 \vee x_2$
0	0	0	1
0	0	1	0
0	1	0	0
0	1	1	1
1	0	0	0
1	0	1	1
1	1	0	0
1	1	1	1

# Circuit-Sat $\leq_P$ 3-Sat

$$\begin{aligned}(x_4 = \neg x_3) \wedge (x_5 = x_1 \vee x_2) \wedge (x_6 = \neg x_4) \\ \wedge (x_7 = x_1 \wedge x_2 \wedge x_4) \wedge (x_8 = x_5 \vee x_6) \\ \wedge (x_9 = x_6 \vee x_7) \wedge (x_{10} = x_8 \wedge x_9 \wedge x_7) \wedge x_{10}\end{aligned}$$

Convert each clause to a 3-CNF

$$x_5 = x_1 \vee x_2 \Leftrightarrow$$

$$(x_1 \vee x_2 \vee \neg x_5) \wedge$$

$x_1$	$x_2$	$x_5$	$x_5 \leftrightarrow x_1 \vee x_2$
0	0	0	1
0	0	1	0
0	1	0	0
0	1	1	1
1	0	0	0
1	0	1	1
1	1	0	0
1	1	1	1

# Circuit-Sat $\leq_P$ 3-Sat

$$\begin{aligned}(x_4 = \neg x_3) \wedge (x_5 = x_1 \vee x_2) \wedge (x_6 = \neg x_4) \\ \wedge (x_7 = x_1 \wedge x_2 \wedge x_4) \wedge (x_8 = x_5 \vee x_6) \\ \wedge (x_9 = x_6 \vee x_7) \wedge (x_{10} = x_8 \wedge x_9 \wedge x_7) \wedge x_{10}\end{aligned}$$

Convert each clause to a 3-CNF

$$x_5 = x_1 \vee x_2 \Leftrightarrow$$

$$(x_1 \vee x_2 \vee \neg x_5) \wedge$$

$x_1$	$x_2$	$x_5$	$x_5 \leftrightarrow x_1 \vee x_2$
0	0	0	1
0	0	1	0
0	1	0	0
0	1	1	1
1	0	0	0
1	0	1	1
1	1	0	0
1	1	1	1

# Circuit-Sat $\leq_P$ 3-Sat

$$\begin{aligned} & (x_4 = \neg x_3) \wedge (x_5 = x_1 \vee x_2) \wedge (x_6 = \neg x_4) \\ & \wedge (x_7 = x_1 \wedge x_2 \wedge x_4) \wedge (x_8 = x_5 \vee x_6) \\ & \wedge (x_9 = x_6 \vee x_7) \wedge (x_{10} = x_8 \wedge x_9 \wedge x_7) \wedge x_{10} \end{aligned}$$

Convert each clause to a 3-CNF

$$x_5 = x_1 \vee x_2 \Leftrightarrow$$

$$(x_1 \vee x_2 \vee \neg x_5) \wedge$$

$$(x_1 \vee \neg x_2 \vee x_5) \wedge$$

$x_1$	$x_2$	$x_5$	$x_5 \leftrightarrow x_1 \vee x_2$
0	0	0	1
0	0	1	0
0	1	0	0
0	1	1	1
1	0	0	0
1	0	1	1
1	1	0	0
1	1	1	1

# Circuit-Sat $\leq_P$ 3-Sat

$$\begin{aligned}(x_4 = \neg x_3) \wedge (x_5 = x_1 \vee x_2) \wedge (x_6 = \neg x_4) \\ \wedge (x_7 = x_1 \wedge x_2 \wedge x_4) \wedge (x_8 = x_5 \vee x_6) \\ \wedge (x_9 = x_6 \vee x_7) \wedge (x_{10} = x_8 \wedge x_9 \wedge x_7) \wedge x_{10}\end{aligned}$$

Convert each clause to a 3-CNF

$$x_5 = x_1 \vee x_2 \Leftrightarrow$$

$$(x_1 \vee x_2 \vee \neg x_5) \wedge$$

$$(x_1 \vee \neg x_2 \vee x_5) \wedge$$

$x_1$	$x_2$	$x_5$	$x_5 \leftrightarrow x_1 \vee x_2$
0	0	0	1
0	0	1	0
0	1	0	0
0	1	1	1
1	0	0	0
1	0	1	1
1	1	0	0
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# Circuit-Sat $\leq_P$ 3-Sat

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Convert each clause to a 3-CNF

$$x_5 = x_1 \vee x_2 \Leftrightarrow$$

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$$(x_1 \vee \neg x_2 \vee x_5) \wedge$$

$$(\neg x_1 \vee x_2 \vee x_5) \wedge$$

$x_1$	$x_2$	$x_5$	$x_5 \leftrightarrow x_1 \vee x_2$
0	0	0	1
0	0	1	0
0	1	0	0
0	1	1	1
1	0	0	0
1	0	1	1
1	1	0	0
1	1	1	1

# Circuit-Sat $\leq_P$ 3-Sat

$$\begin{aligned}(x_4 = \neg x_3) \wedge (x_5 = x_1 \vee x_2) \wedge (x_6 = \neg x_4) \\ \wedge (x_7 = x_1 \wedge x_2 \wedge x_4) \wedge (x_8 = x_5 \vee x_6) \\ \wedge (x_9 = x_6 \vee x_7) \wedge (x_{10} = x_8 \wedge x_9 \wedge x_7) \wedge x_{10}\end{aligned}$$

Convert each clause to a 3-CNF

$$x_5 = x_1 \vee x_2 \Leftrightarrow$$

$$(x_1 \vee x_2 \vee \neg x_5) \wedge$$

$$(x_1 \vee \neg x_2 \vee x_5) \wedge$$

$$(\neg x_1 \vee x_2 \vee x_5) \wedge$$

$x_1$	$x_2$	$x_5$	$x_5 \leftrightarrow x_1 \vee x_2$
0	0	0	1
0	0	1	0
0	1	0	0
0	1	1	1
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# Circuit-Sat $\leq_P$ 3-Sat

$$\begin{aligned} & (x_4 = \neg x_3) \wedge (x_5 = x_1 \vee x_2) \wedge (x_6 = \neg x_4) \\ & \wedge (x_7 = x_1 \wedge x_2 \wedge x_4) \wedge (x_8 = x_5 \vee x_6) \\ & \wedge (x_9 = x_6 \vee x_7) \wedge (x_{10} = x_8 \wedge x_9 \wedge x_7) \wedge x_{10} \end{aligned}$$

Convert each clause to a 3-CNF

$$x_5 = x_1 \vee x_2 \Leftrightarrow$$

$$(x_1 \vee x_2 \vee \neg x_5) \wedge$$

$$(x_1 \vee \neg x_2 \vee x_5) \wedge$$

$$(\neg x_1 \vee x_2 \vee x_5) \wedge$$

$$(\neg x_1 \vee \neg x_2 \vee x_5)$$

$x_1$	$x_2$	$x_5$	$x_5 \leftrightarrow x_1 \vee x_2$
0	0	0	1
0	0	1	0
0	1	0	0
0	1	1	1
1	0	0	0
1	0	1	1
1	1	0	0
1	1	1	1

# Circuit-Sat $\leq_P$ 3-Sat

- Circuit  $\iff$  Formula  $\iff$  3-CNF

## Circuit-Sat $\leq_P$ 3-Sat

- Circuit  $\iff$  Formula  $\iff$  3-CNF
- The circuit is satisfiable if and only if the 3-CNF is satisfiable

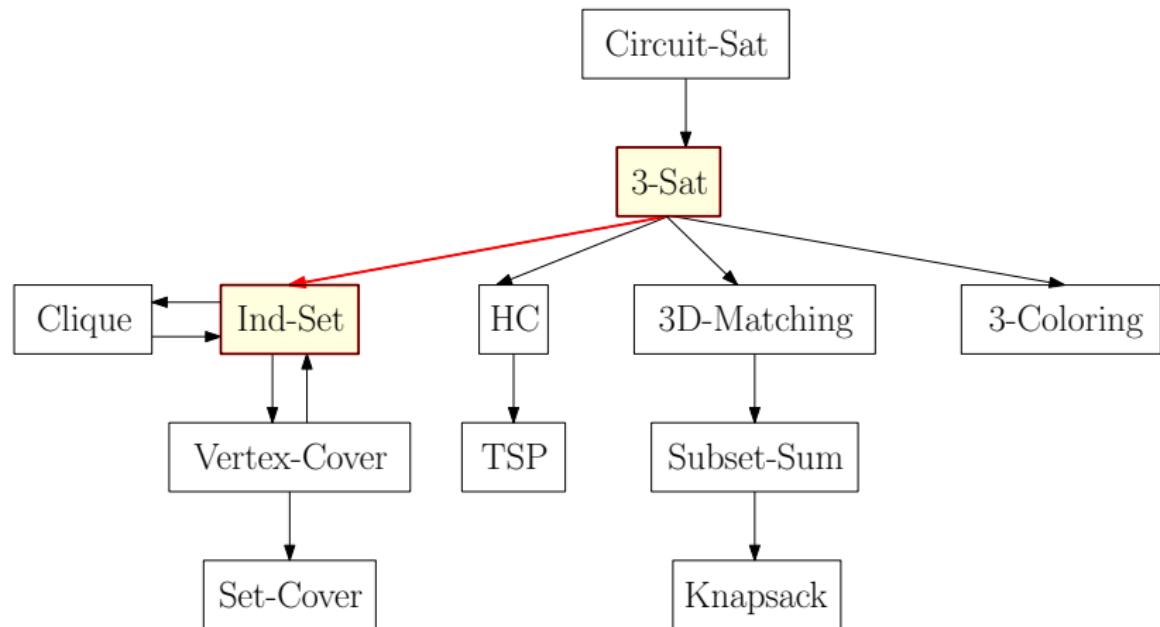
## Circuit-Sat $\leq_P$ 3-Sat

- Circuit  $\iff$  Formula  $\iff$  3-CNF
- The circuit is satisfiable if and only if the 3-CNF is satisfiable
- The size of the 3-CNF formula is polynomial (indeed, linear) in the size of the circuit

## Circuit-Sat $\leq_P$ 3-Sat

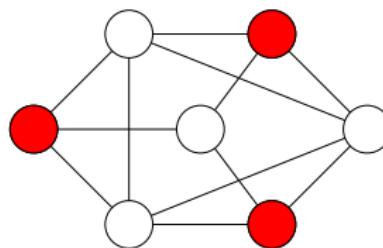
- Circuit  $\iff$  Formula  $\iff$  3-CNF
- The circuit is satisfiable if and only if the 3-CNF is satisfiable
- The size of the 3-CNF formula is polynomial (indeed, linear) in the size of the circuit
- Thus, Circuit-Sat  $\leq_P$  3-Sat

# Reductions of NP-Complete Problems



## Recall: Independent Set Problem

**Def.** An **independent set** of  $G = (V, E)$  is a subset  $I \subseteq V$  such that no two vertices in  $I$  are adjacent in  $G$ .



## Independent Set (Ind-Set) Problem

**Input:**  $G = (V, E), k$

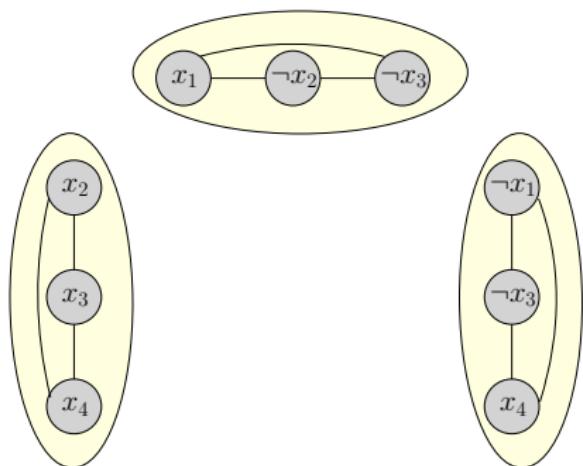
**Output:** whether there is an independent set of size  $k$  in  $G$

## 3-Sat $\leq_P$ Ind-Set

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$

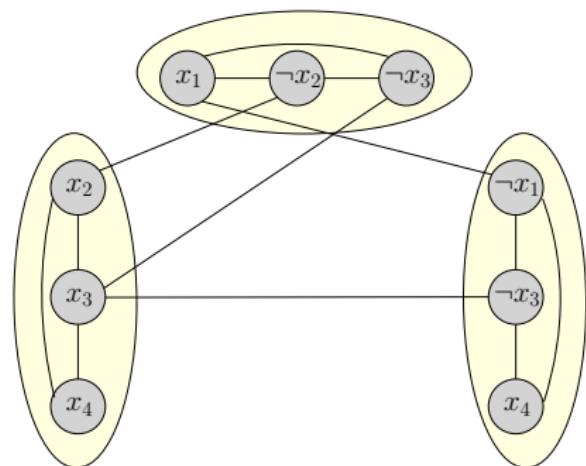
## 3-Sat $\leq_P$ Ind-Set

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- A clause  $\Rightarrow$  a group of 3 vertices, one for each literal
- An edge between every pair of vertices in same group



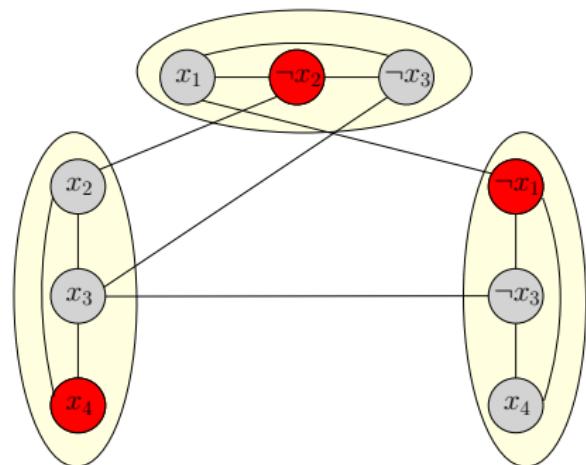
## 3-Sat $\leq_P$ Ind-Set

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- A clause  $\Rightarrow$  a group of 3 vertices, one for each literal
- An edge between every pair of vertices in same group
- An edge between every pair of contradicting literals



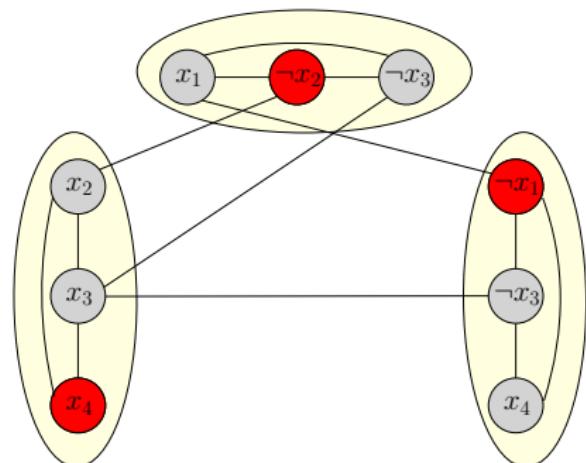
## 3-Sat $\leq_P$ Ind-Set

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- A clause  $\Rightarrow$  a group of 3 vertices, one for each literal
- An edge between every pair of vertices in same group
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- Problem: whether there is an IS of size  $k = \#\text{clauses}$



## 3-Sat $\leq_P$ Ind-Set

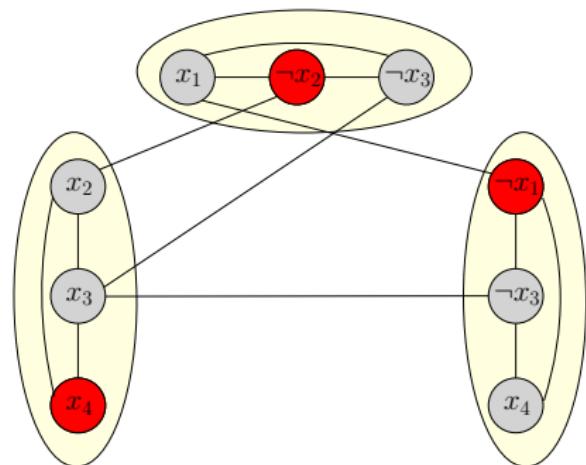
- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- A clause  $\Rightarrow$  a group of 3 vertices, one for each literal
- An edge between every pair of vertices in same group
- An edge between every pair of contradicting literals
- Problem: whether there is an IS of size  $k = \#\text{clauses}$



3-Sat instance is yes-instance  $\Leftrightarrow$  Ind-Set instance is yes-instance:

## 3-Sat $\leq_P$ Ind-Set

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- A clause  $\Rightarrow$  a group of 3 vertices, one for each literal
- An edge between every pair of vertices in same group
- An edge between every pair of contradicting literals
- Problem: whether there is an IS of size  $k = \#\text{clauses}$

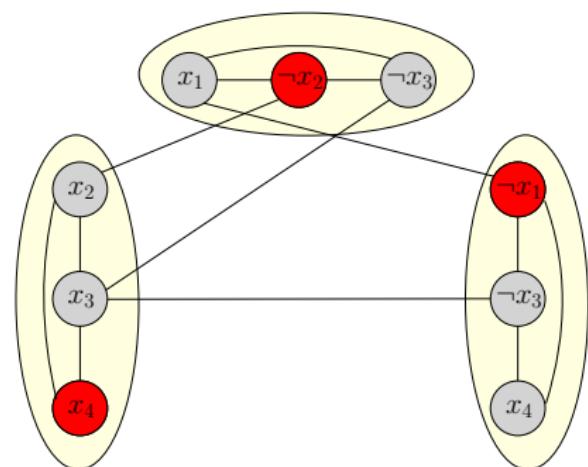


3-Sat instance is yes-instance  $\Leftrightarrow$  Ind-Set instance is yes-instance:

- satisfying assignment  $\Rightarrow$  independent set of size  $k$
- independent set of size  $k \Rightarrow$  satisfying assignment

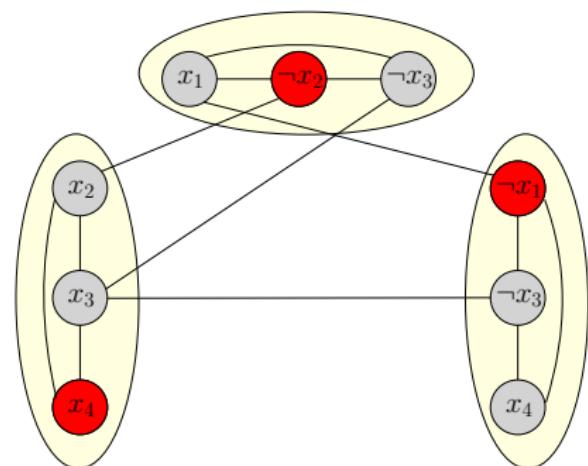
# Satisfying Assignment $\Rightarrow$ IS of Size $k$

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$



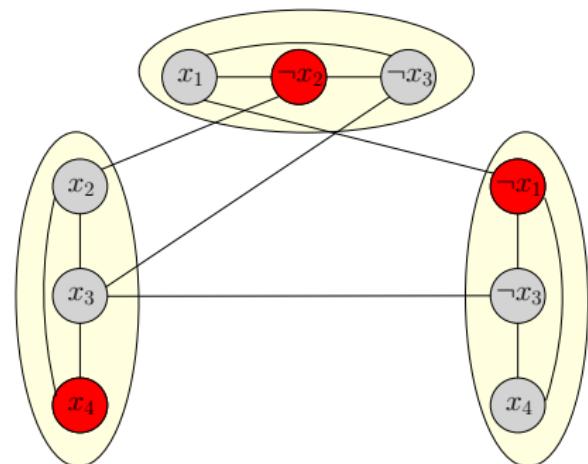
# Satisfying Assignment $\Rightarrow$ IS of Size $k$

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- For every clause, at least 1 literal is satisfied



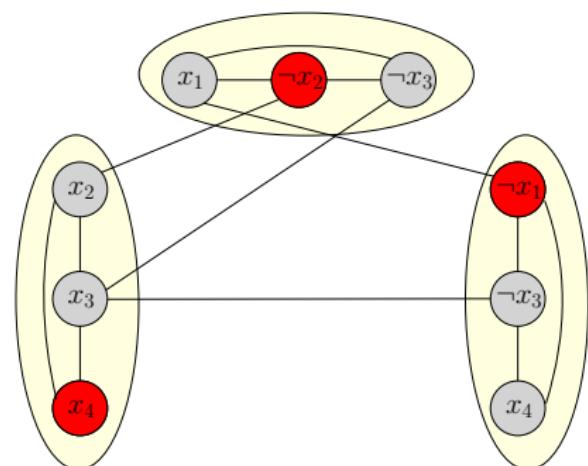
# Satisfying Assignment $\Rightarrow$ IS of Size $k$

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- For every clause, at least 1 literal is satisfied
- Pick the vertex correspondent the literal



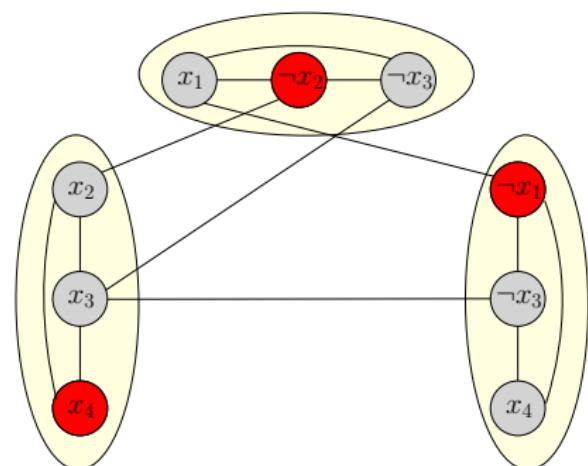
# Satisfying Assignment $\Rightarrow$ IS of Size $k$

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- For every clause, at least 1 literal is satisfied
- Pick the vertex correspondent the literal
- So, 1 literal from each group



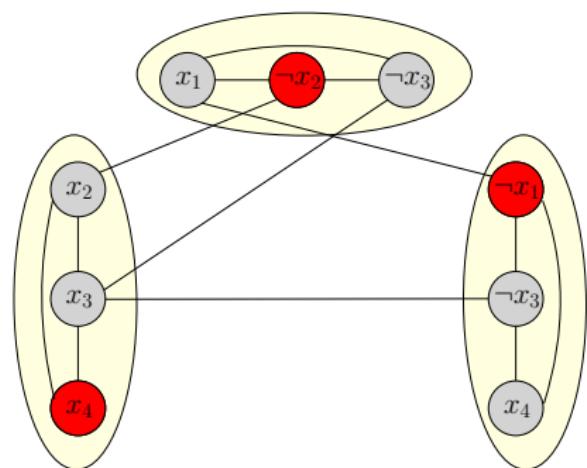
# Satisfying Assignment $\Rightarrow$ IS of Size $k$

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- For every clause, at least 1 literal is satisfied
- Pick the vertex correspondent the literal
- So, 1 literal from each group
- No contradictions among the selected literals



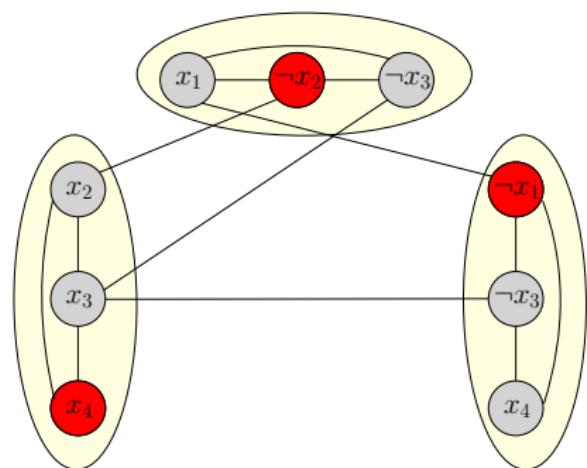
# Satisfying Assignment $\Rightarrow$ IS of Size $k$

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- For every clause, at least 1 literal is satisfied
- Pick the vertex correspondent the literal
- So, 1 literal from each group
- No contradictions among the selected literals
- An IS of size  $k$



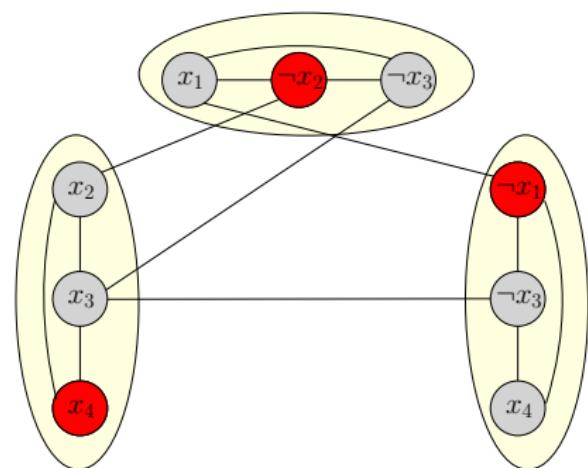
# IS of Size $k \Rightarrow$ Satisfying Assignment

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$



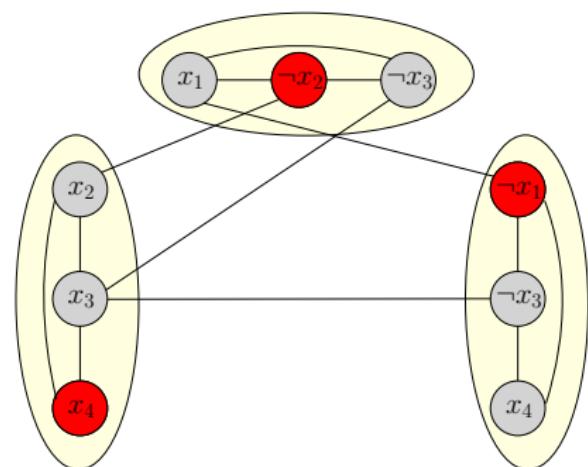
# IS of Size $k \Rightarrow$ Satisfying Assignment

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- For every group, exactly one literal is selected in IS



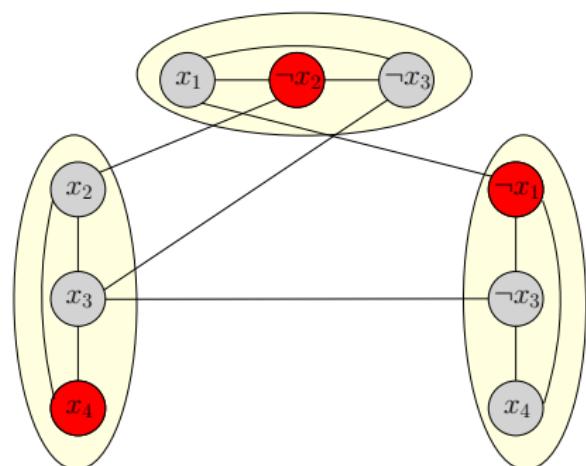
# IS of Size $k \Rightarrow$ Satisfying Assignment

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- For every group, exactly one literal is selected in IS
- No contradictions among the selected literals



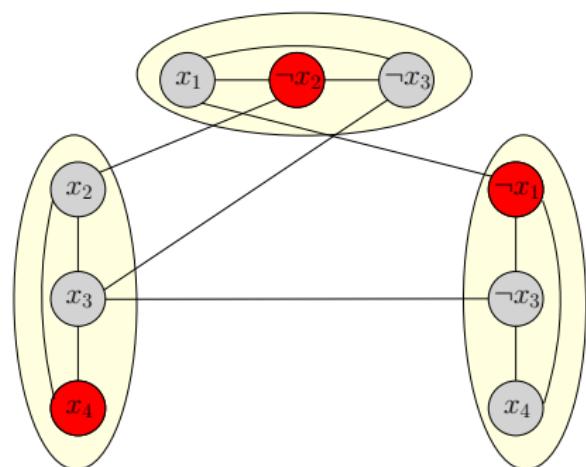
# IS of Size $k \Rightarrow$ Satisfying Assignment

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- For every group, exactly one literal is selected in IS
- No contradictions among the selected literals
- If  $x_i$  is selected in IS, set  $x_i = 1$



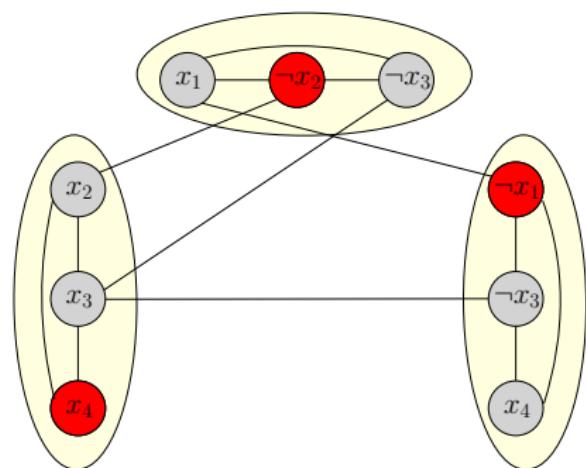
# IS of Size $k \Rightarrow$ Satisfying Assignment

- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- For every group, exactly one literal is selected in IS
- No contradictions among the selected literals
- If  $x_i$  is selected in IS, set  $x_i = 1$
- If  $\neg x_i$  is selected in IS, set  $x_i = 0$

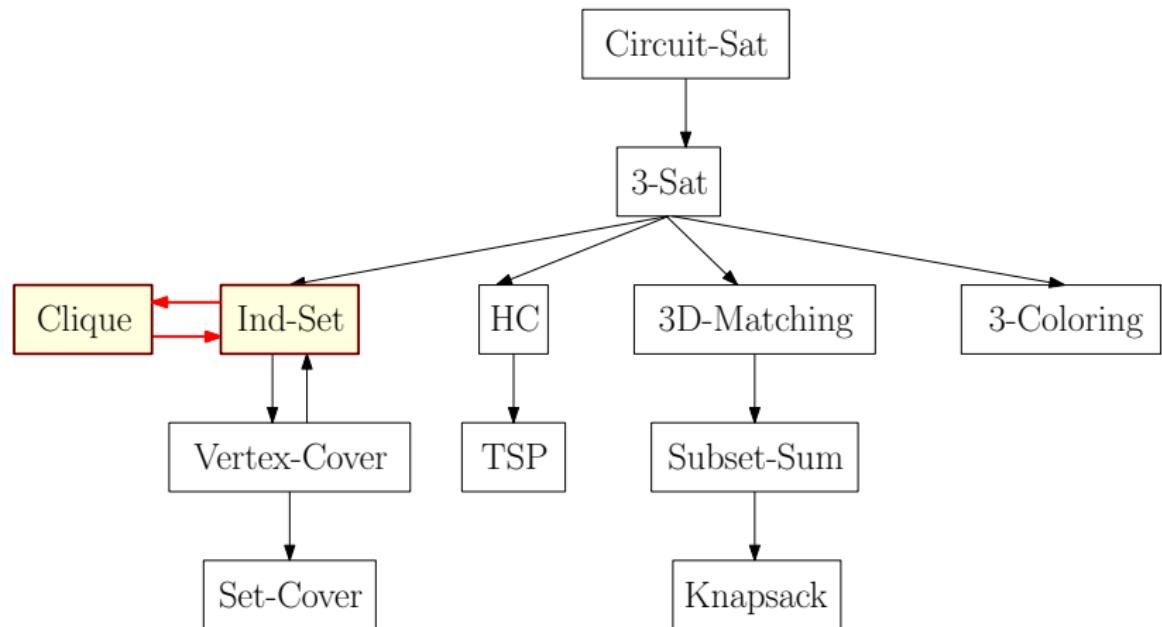


# IS of Size $k \Rightarrow$ Satisfying Assignment

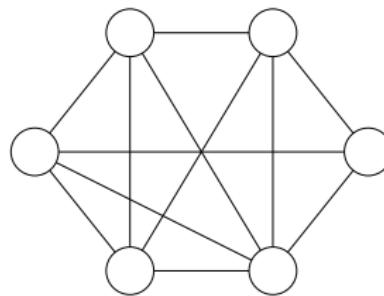
- $(x_1 \vee \neg x_2 \vee \neg x_3) \wedge (x_2 \vee x_3 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee x_4)$
- For every group, exactly one literal is selected in IS
- No contradictions among the selected literals
- If  $x_i$  is selected in IS, set  $x_i = 1$
- If  $\neg x_i$  is selected in IS, set  $x_i = 0$
- Otherwise, set  $x_i$  arbitrarily



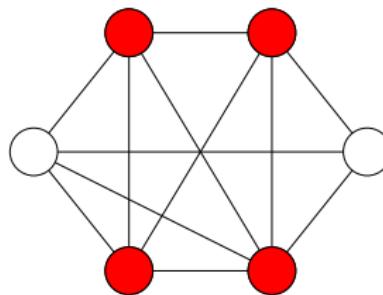
# Reductions of NP-Complete Problems



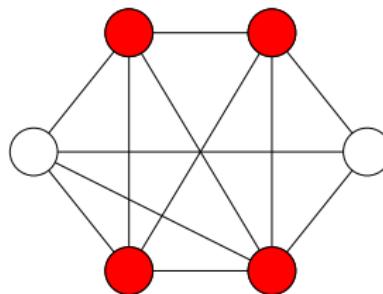
**Def.** A **clique** in an undirected graph  $G = (V, E)$  is a subset  $S \subseteq V$  such that  $\forall u, v \in S$  we have  $(u, v) \in E$



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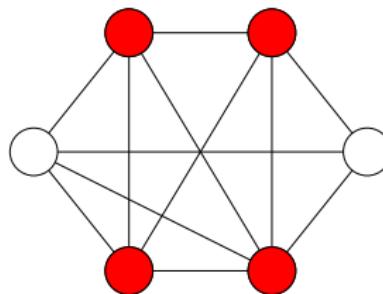


## Clique Problem

**Input:**  $G = (V, E)$  and integer  $k > 0$ ,

**Output:** whether there exists a clique of size  $k$  in  $G$

**Def.** A **clique** in an undirected graph  $G = (V, E)$  is a subset  $S \subseteq V$  such that  $\forall u, v \in S$  we have  $(u, v) \in E$



## Clique Problem

**Input:**  $G = (V, E)$  and integer  $k > 0$ ,

**Output:** whether there exists a clique of size  $k$  in  $G$

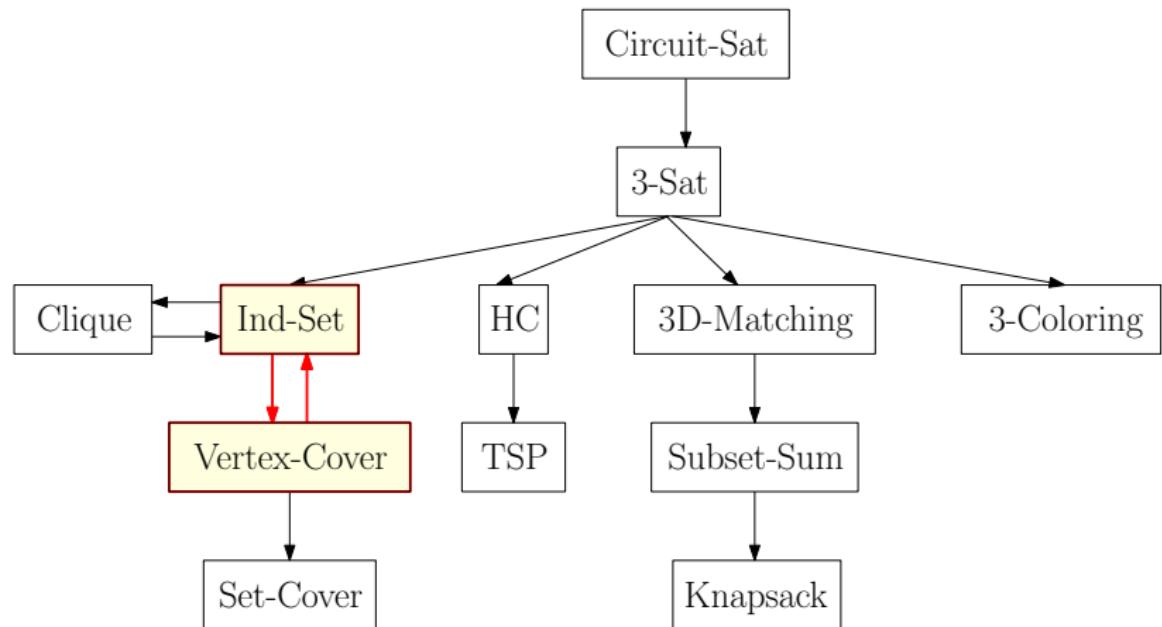
- What is the relationship between Clique and Ind-Set?

## Clique $=_P$ Ind-Set

**Def.** Given a graph  $G = (V, E)$ , define  $\overline{G} = (V, \overline{E})$  be the graph such that  $(u, v) \in \overline{E}$  if and only if  $(u, v) \notin E$ .

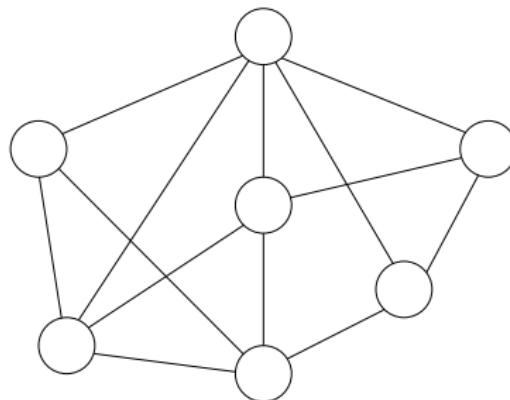
**Obs.**  $S$  is an independent set in  $G$  if and only if  $S$  is a clique in  $\overline{G}$ .

# Reductions of NP-Complete Problems



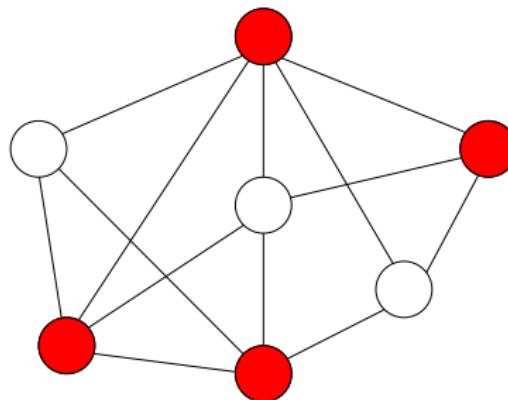
# Vertex-Cover

**Def.** Given a graph  $G = (V, E)$ , a **vertex cover** of  $G$  is a subset  $S \subseteq V$  such that for every  $(u, v) \in E$  then  $u \in S$  or  $v \in S$  .



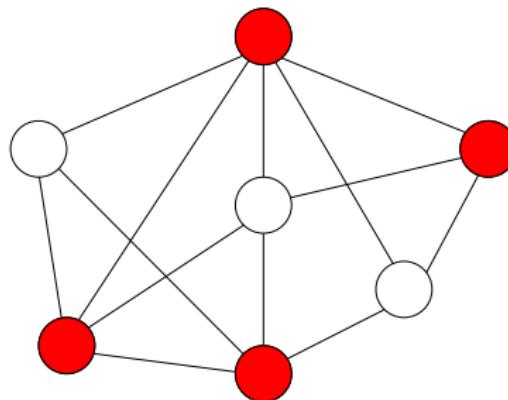
## Vertex-Cover

**Def.** Given a graph  $G = (V, E)$ , a **vertex cover** of  $G$  is a subset  $S \subseteq V$  such that for every  $(u, v) \in E$  then  $u \in S$  or  $v \in S$  .



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## Vertex-Cover Problem

**Input:**  $G = (V, E)$  and integer  $k$

**Output:** whether there is a vertex cover of  $G$  of size at most  $k$

Vertex-Cover  $=_P$  Ind-Set

## Vertex-Cover $=_P$ Ind-Set

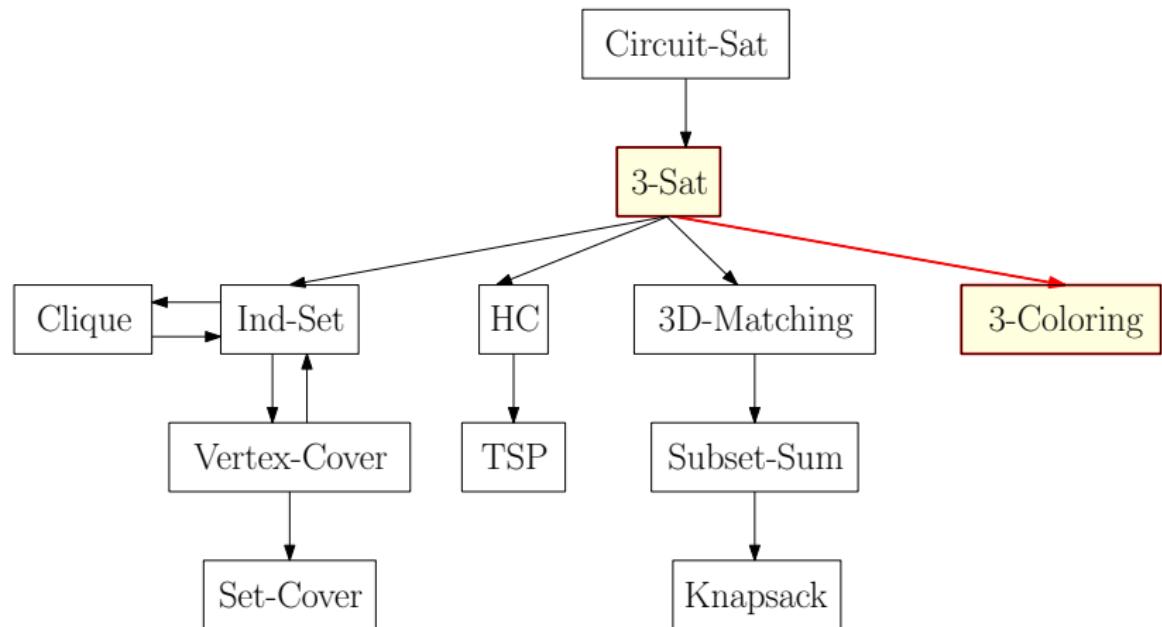
**Q:** What is the relationship between Vertex-Cover and Ind-Set?

## Vertex-Cover =<sub>P</sub> Ind-Set

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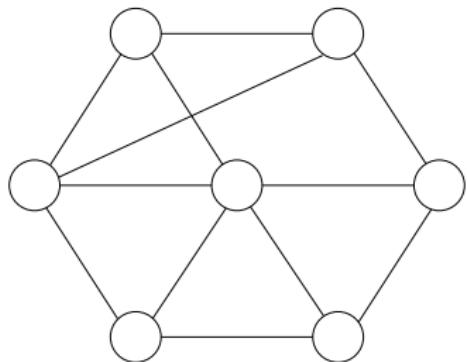
**A:**  $S$  is a vertex-cover of  $G = (V, E)$  if and only if  $V \setminus S$  is an independent set of  $G$ .

# Reductions of NP-Complete Problems



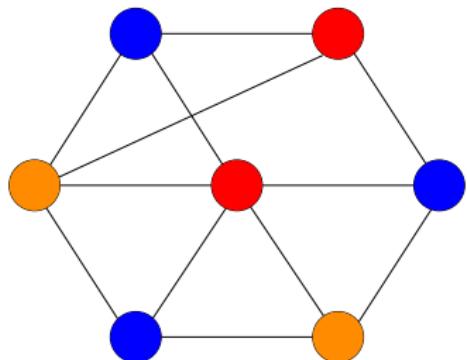
# $k$ -coloring problem

**Def.** A  $k$ -coloring of  $G = (V, E)$  is a function  $f : V \rightarrow \{1, 2, 3, \dots, k\}$  so that for every edge  $(u, v) \in E$ , we have  $f(u) \neq f(v)$ .  $G$  is  $k$ -colorable if there is a  $k$ -coloring of  $G$ .



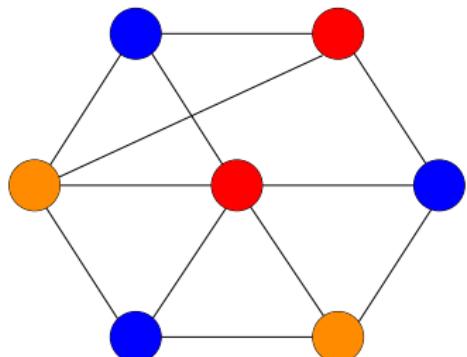
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## $k$ -coloring problem

**Input:** a graph  $G = (V, E)$

**Output:** whether  $G$  is  $k$ -colorable or not

## 2-Coloring Problem

**Obs.** A graph  $G$  is 2-colorable if and only if it is bipartite.

**Q:** How do we check if a graph  $G$  is 2-colorable?

## 2-Coloring Problem

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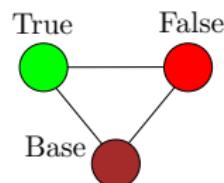
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**A:** We check if  $G$  is bipartite.

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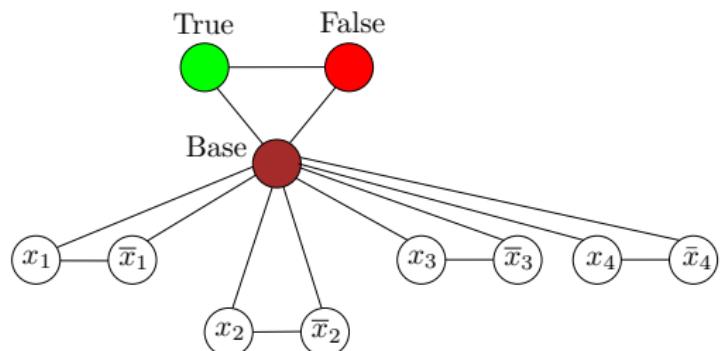
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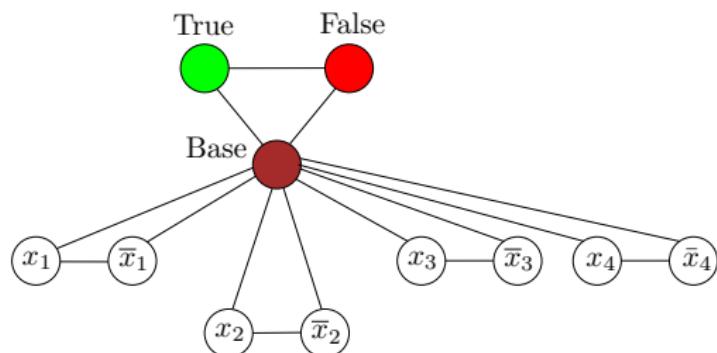


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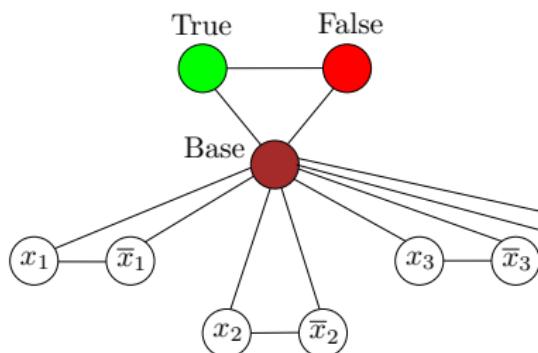
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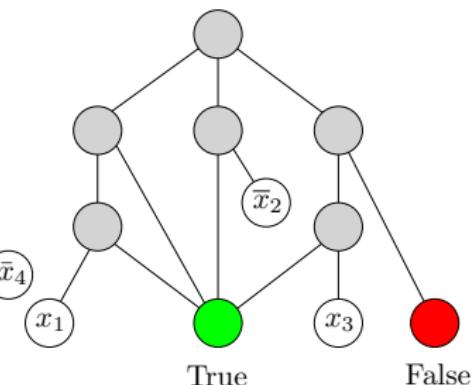
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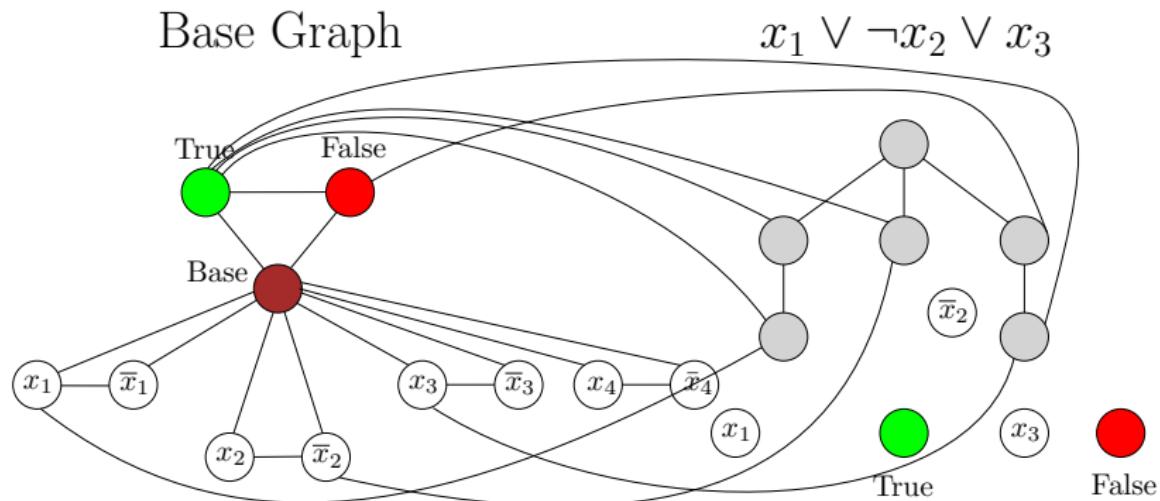


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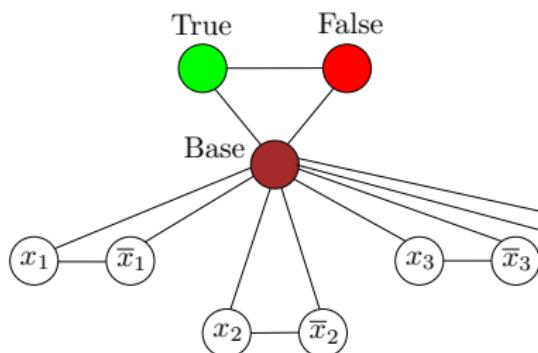
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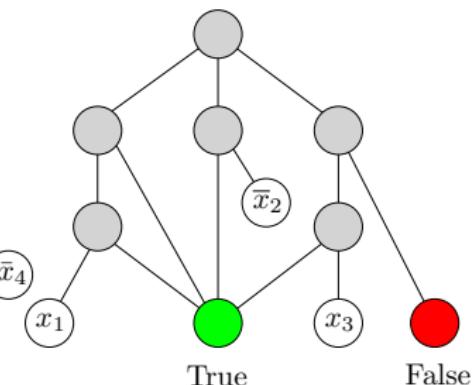
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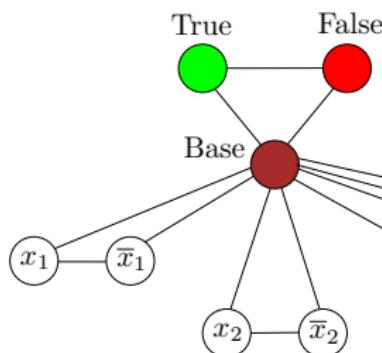
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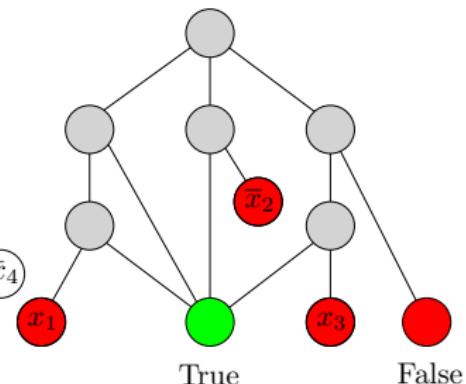
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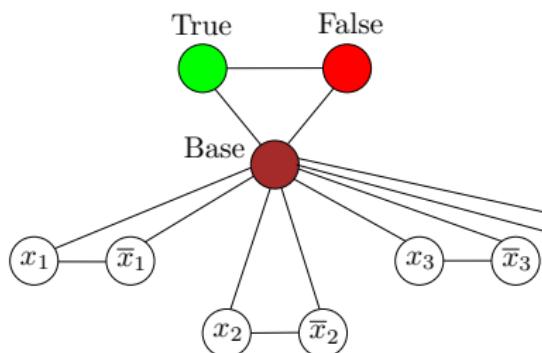
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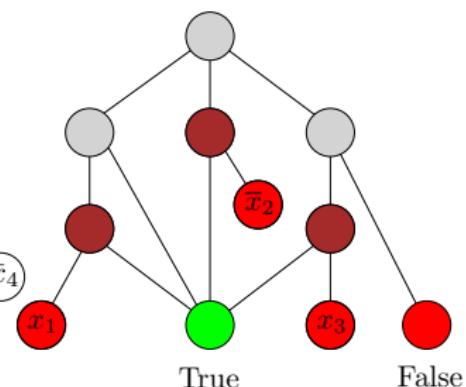
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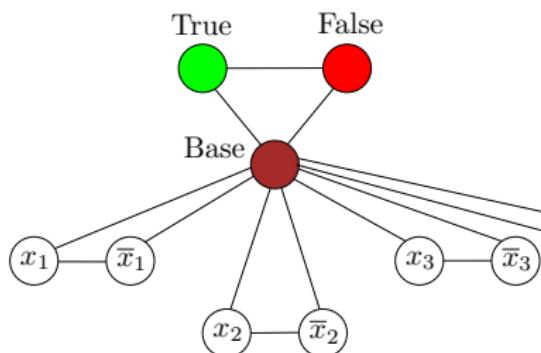
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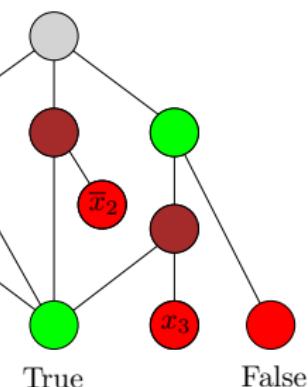
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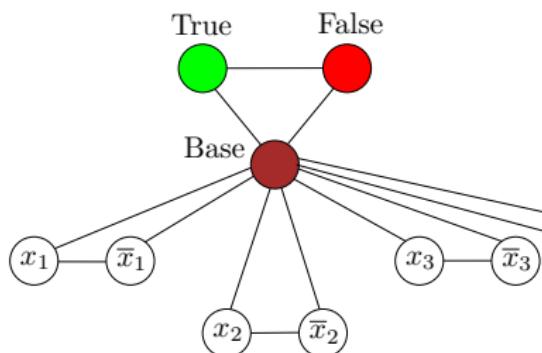
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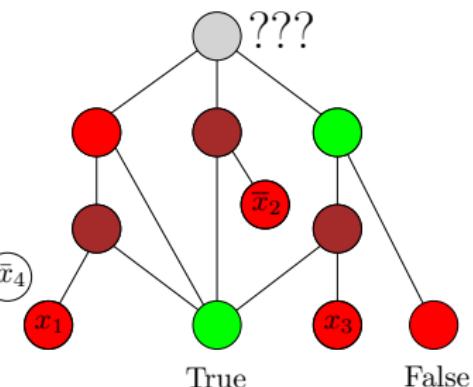
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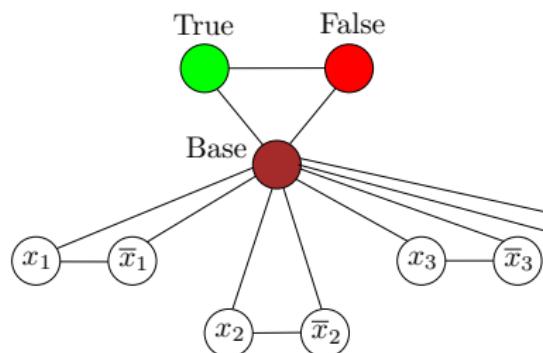
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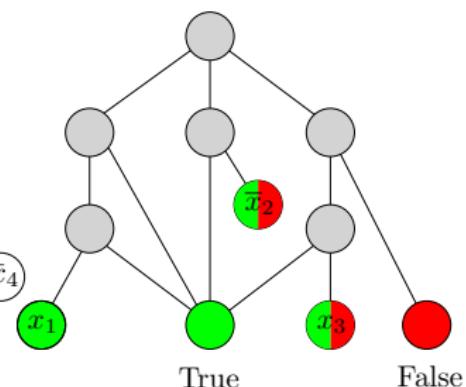
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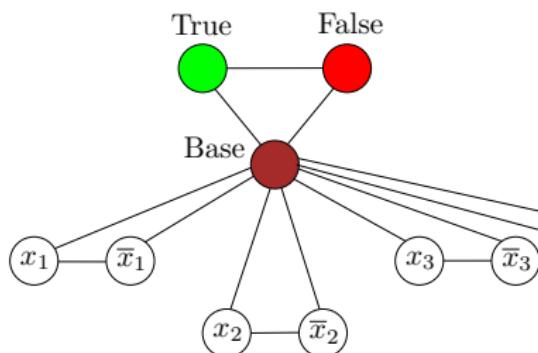
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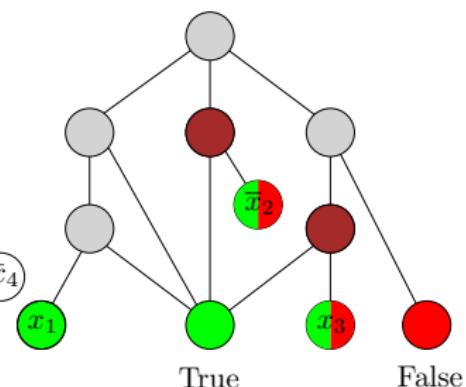
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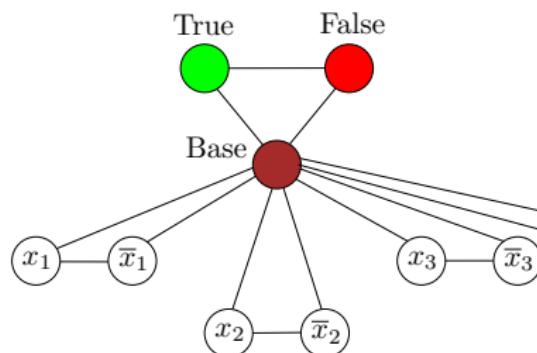
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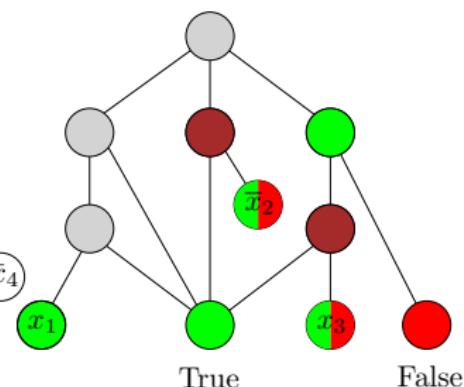
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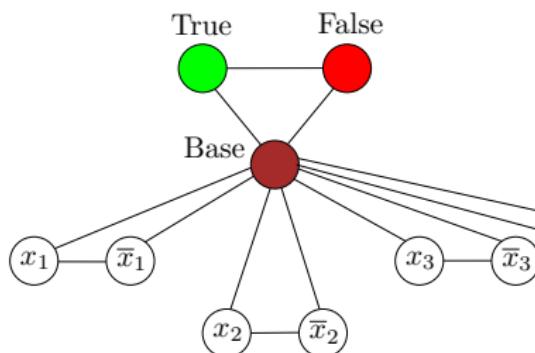
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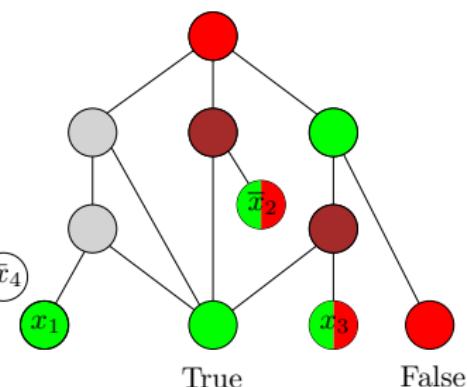
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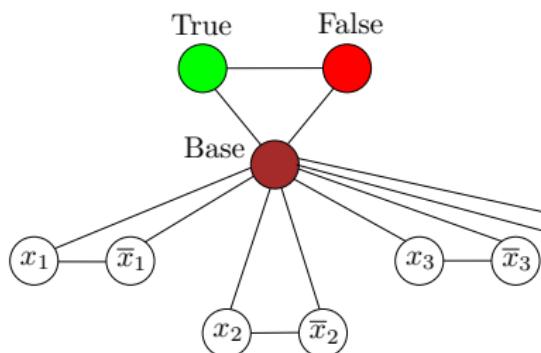
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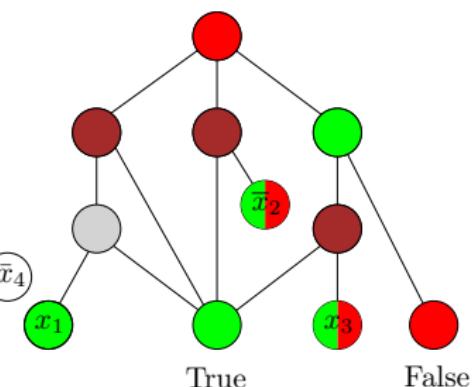
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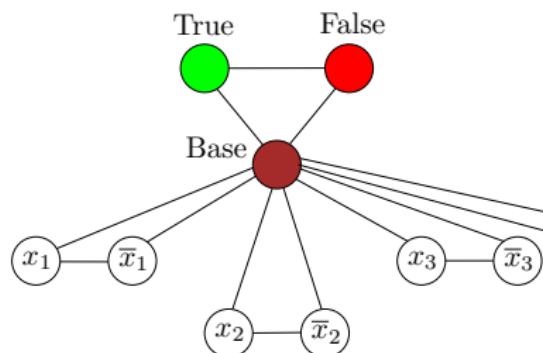
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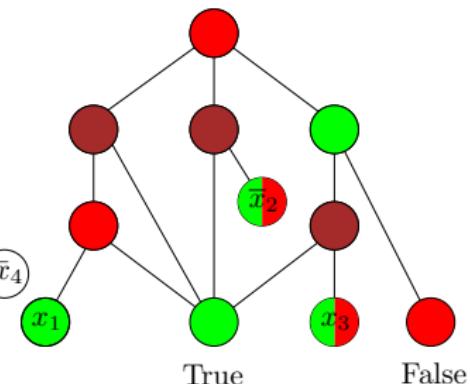
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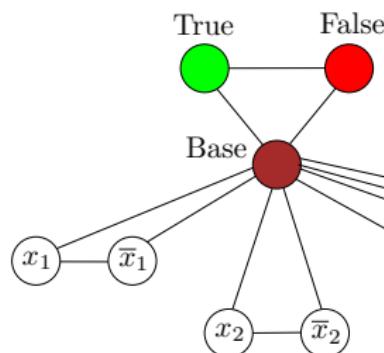
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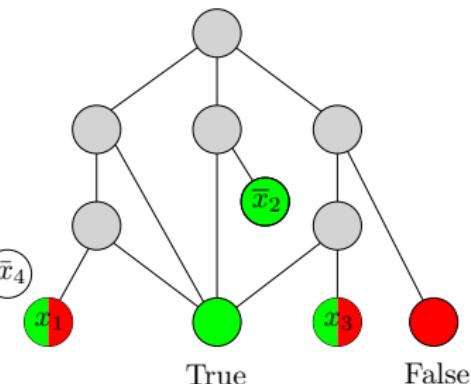
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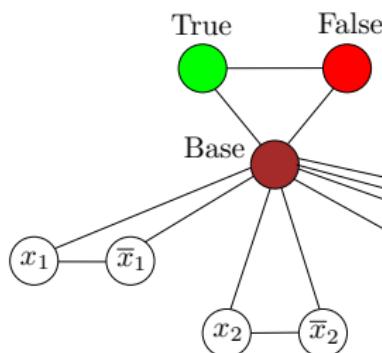
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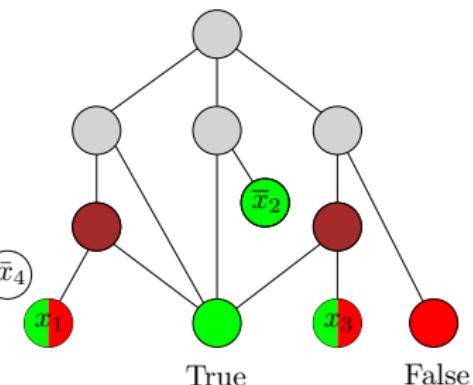
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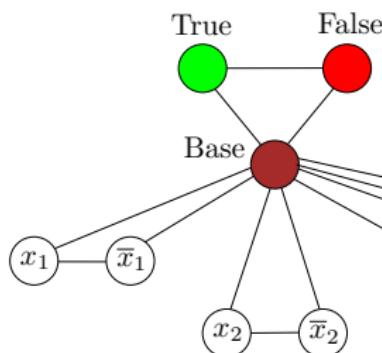
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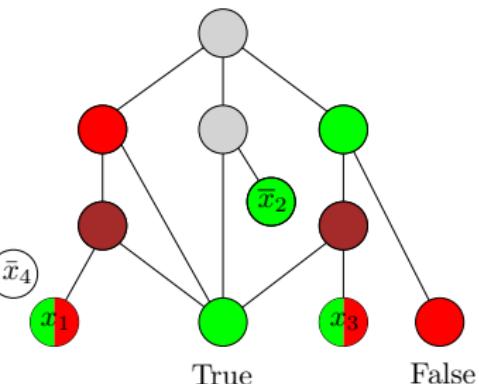
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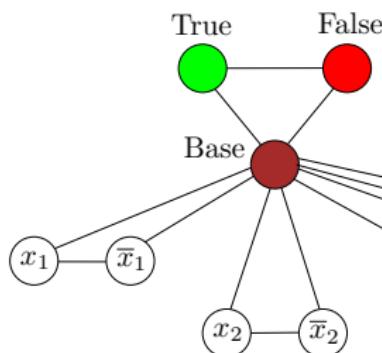
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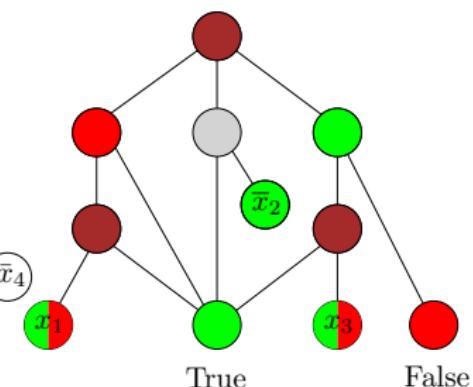
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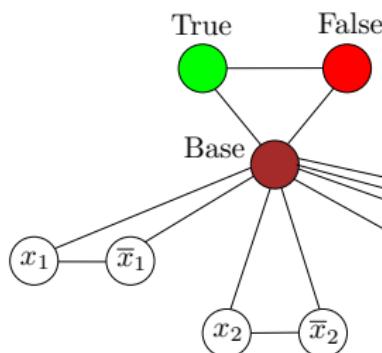
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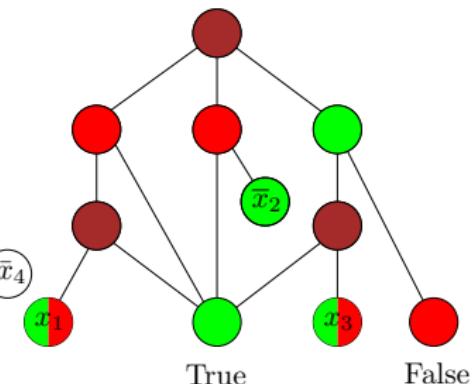
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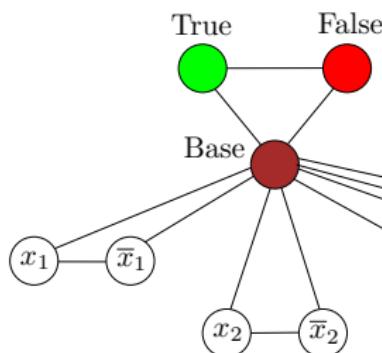
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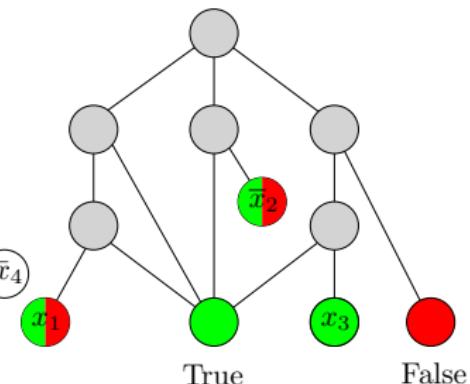
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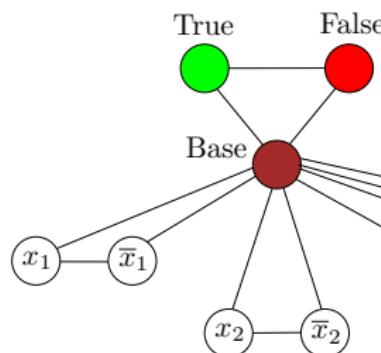
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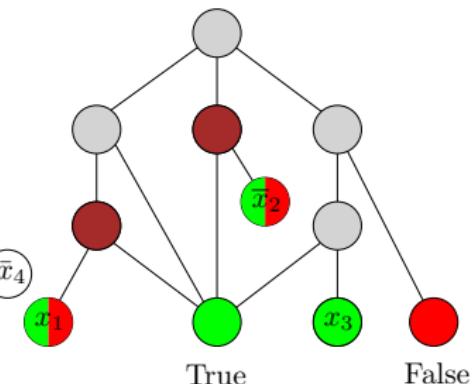
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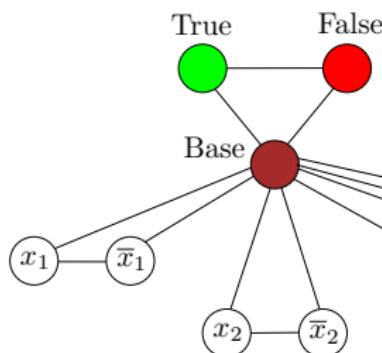
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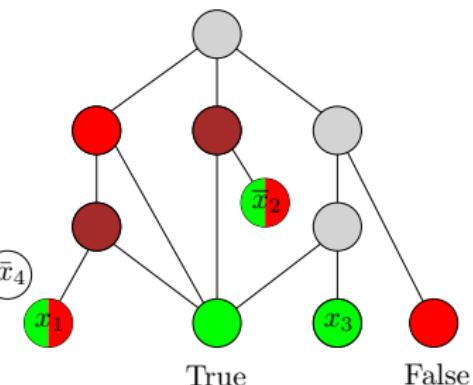
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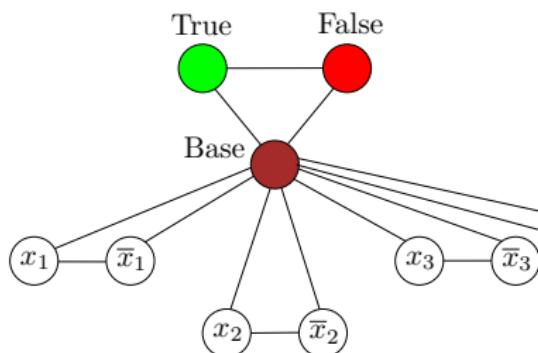
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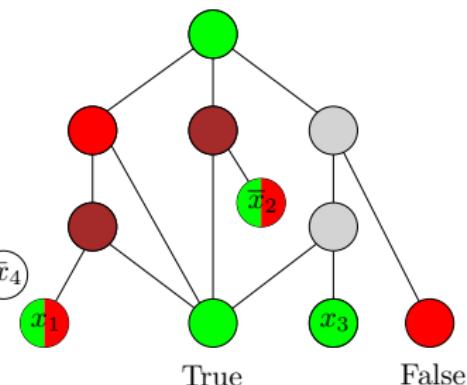
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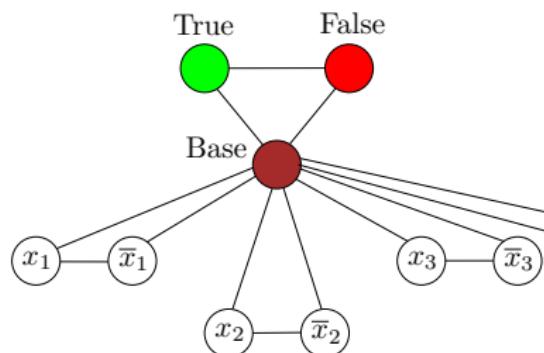
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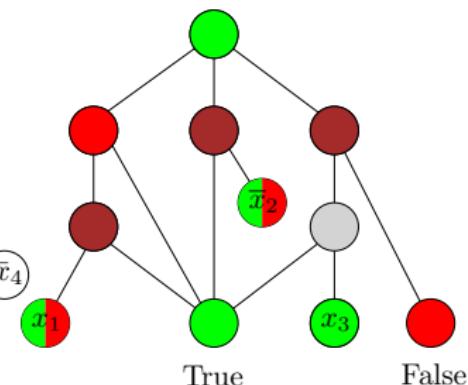
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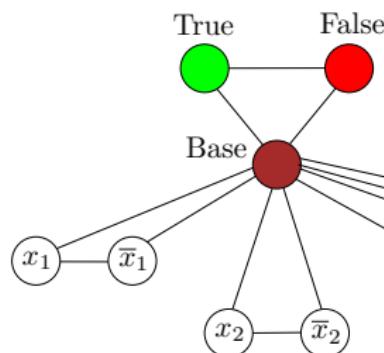
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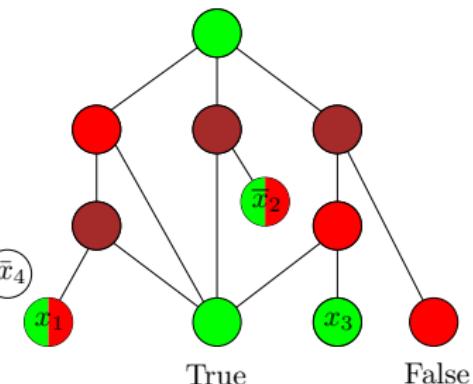
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Recall the definition of polynomial time reductions:

**Def.** Given a black box algorithm  $A$  that solves a problem  $X$ , if any instance of a problem  $Y$  can be solved using a polynomial number of standard computational steps, plus a polynomial number of calls to  $A$ , then we say  $Y$  is polynomial-time reducible to  $X$ , denoted as  $Y \leq_P X$ .

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- In general, algorithm for  $Y$  can call the algorithm for  $X$  many times.
- However, for most reductions, we call algorithm for  $X$  only once
- That is, for a given instance  $s_Y$  for  $Y$ , we only construct one instance  $s_X$  for  $X$

# A Strategy of Polynomial Reduction

- Given an instance  $s_Y$  of problem  $Y$ , show how to construct in polynomial time an instance  $s_X$  of problem such that:
  - $s_Y$  is a yes-instance of  $Y \Rightarrow s_X$  is a yes-instance of  $X$
  - $s_X$  is a yes-instance of  $X \Rightarrow s_Y$  is a yes-instance of  $Y$

# Outline

- 1 Some Hard Problems
- 2 P, NP and Co-NP
- 3 Polynomial Time Reductions and NP-Completeness
- 4 NP-Complete Problems
- 5 Dealing with NP-Hard Problems
- 6 Summary

**Q:** How far away are we from proving or disproving  $P = NP$ ?

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- Essentially we have no techniques for proving lower bound for running time

# Dealing with NP-Hard Problems

- Faster exponential time algorithms
- Solving the problem for special cases
- Fixed parameter tractability
- Approximation algorithms

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## Travelling Salesman Problem:

- Brute-force:  $O(n! \cdot \text{poly}(n))$
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- In practice: TSP Solver can solve Euclidean TSP instances with more than 100,000 vertices

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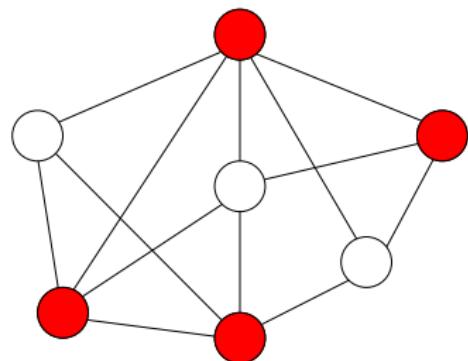
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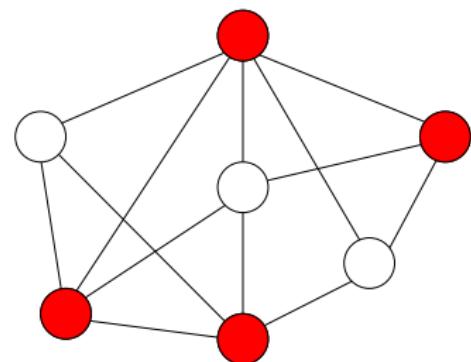
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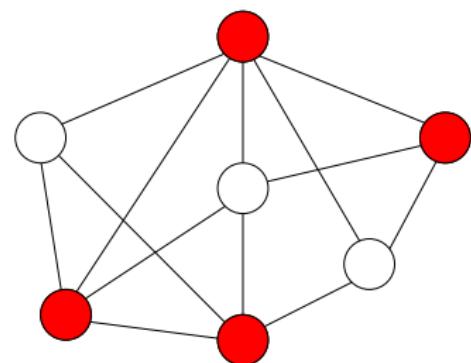
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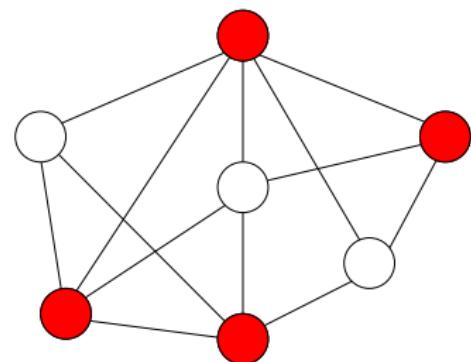
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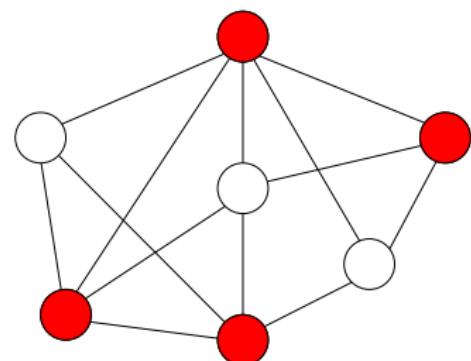
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- We want to make the approximation ratio as small as possible, while maintaining the property that the algorithm runs in polynomial time
- There is an 2-approximation for the vertex cover problem: **we can efficiently find a vertex cover whose size is at most 2 times that of the optimal vertex cover**

# Outline

- 1 Some Hard Problems
- 2 P, NP and Co-NP
- 3 Polynomial Time Reductions and NP-Completeness
- 4 NP-Complete Problems
- 5 Dealing with NP-Hard Problems
- 6 Summary

# Summary

- We consider decision problems
- Inputs are encoded as  $\{0, 1\}$ -strings

**Def.** The complexity class **P** is the set of decision problems  $X$  that can be solved in polynomial time.

- Alice has a supercomputer, fast enough to run an exponential time algorithm
- Bob has a slow computer, which can only run a polynomial-time algorithm

**Def.** (Informal) The complexity class **NP** is the set of problems for which Alice can convince Bob a yes instance is a yes instance

# Summary

**Def.**  $B$  is an **efficient certifier** for a problem  $X$  if

- $B$  is a polynomial-time algorithm that takes two input strings  $s$  and  $t$
- there is a polynomial function  $p$  such that,  $X(s) = 1$  if and only if there is string  $t$  such that  $|t| \leq p(|s|)$  and  $B(s, t) = 1$ .

The string  $t$  such that  $B(s, t) = 1$  is called a **certificate**.

**Def.** The complexity class **NP** is the set of all problems for which there exists an efficient certifier.

# Summary

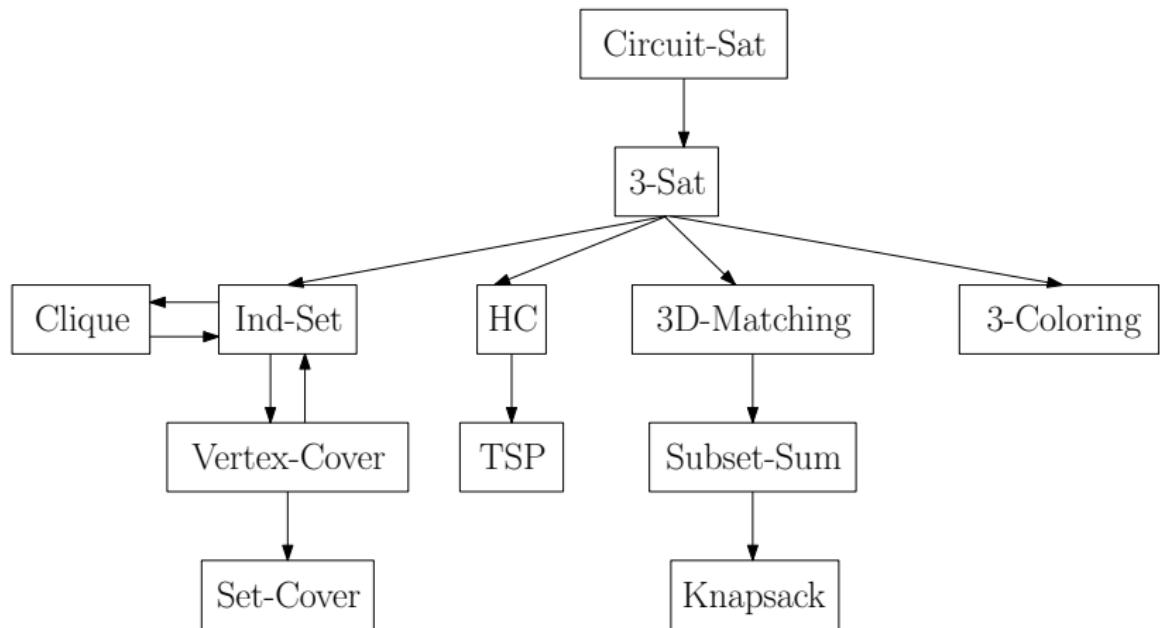
**Def.** Given a black box algorithm  $A$  that solves a problem  $X$ , if any instance of a problem  $Y$  can be solved using a polynomial number of standard computational steps, plus a polynomial number of calls to  $A$ , then we say  $Y$  is polynomial-time reducible to  $X$ , denoted as  $Y \leq_P X$ .

**Def.** A problem  $X$  is called NP-complete if

- ①  $X \in \text{NP}$ , and
- ②  $Y \leq_P X$  for every  $Y \in \text{NP}$ .

- If any NP-complete problem can be solved in polynomial time, then  $P = NP$
- Unless  $P = NP$ , a NP-complete problem can not be solved in polynomial time

# Summary



## Proof of NP-Completeness for Circuit-Sat

- Fact 1: a polynomial-time algorithm can be converted to a polynomial-size circuit
- Fact 2: for a problem in NP, there is a efficient certifier.
- Given a problem  $X \in \text{NP}$ , let  $B(s, t)$  be the certifier
- Convert  $B(s, t)$  to a circuit and hard-wire  $s$  to the input gates
- $s$  is a yes-instance if and only if the resulting circuit is satisfiable
- Proof of NP-Completeness for other problems by reductions