#### COMP3630 / COMP6363

# week 10: Various

Most is not based on the book

slides created by: Pascal Bercher

convenor & lecturer: Pascal Bercher

The Australian National University

Semester 1, 2025

# Content of this Chapter

- ➤ On polytime-requirement for reductions
- > Karp vs. Cook (reductions)
- > Optimization problems

# On polytime-requirement for reductions

- > For all classes (except **P**) we looked into <u>completeness</u>.
- > So, why did we look into <a href="harmonia-rather">hardness</a> (and thus, if matching bounds, completeness), rather than just membership?

- > For all classes (except **P**) we looked into completeness.
- > So, why did we look into <u>hardness</u> (and thus, if matching bounds, completeness), rather than just membership?
  - Because membership is only an upper bound, not a lower one.
  - Hardness provides a lower bound.
  - E.g., providing an EXPTIME membership proof for a language doesn't prevent it from also being in NP or even P!

- > For all classes (except **P**) we looked into <u>completeness</u>.
- > So, why did we look into <u>hardness</u> (and thus, if matching bounds, completeness), rather than just membership?
  - Because membership is only an upper bound, not a lower one.
  - Hardness provides a lower bound.
  - E.g., providing an EXPTIME membership proof for a language doesn't prevent it from also being in NP or even P!
- > However, we never did that for P... We only showed membership! Why?

- > For all classes (except **P**) we looked into completeness.
- > So, why did we look into <u>hardness</u> (and thus, if matching bounds, completeness), rather than just membership?
  - Because membership is only an upper bound, not a lower one.
  - Hardness provides a lower bound.
  - E.g., providing an **EXPTIME** membership proof for a language doesn't prevent it from also being in **NP** or even **P**!
- > However, we never did that for P... We only showed membership! Why?
  - Because we need a refined definition of P-hardness, because . . .
  - otherwise, all problems in P are trivially P-hard and hence -complete!

#### Theorem w10.1

If **P**-hardness were defined as for all other problems, then: all non-trivial problems in **P** are **P**-complete.

#### Theorem w10.1

If **P**-hardness were defined as for all other problems, then: all non-trivial problems in **P** are **P**-complete.

# Proof.

- > Let L ∈ P. Show that L is P-hard, i.e., for all L' ∈ P, L' ≤ $_P$  L. Let L' ∈ P.
- $\rightarrow$  Show that there exists a reduction r, such that for any  $w \in \Sigma^*$ ,  $w \in L'$  iff  $r(w) \in L$ .

#### Theorem w10.1

If **P**-hardness were defined as for all other problems, then: all non-trivial problems in P are P-complete.

# Proof.

- > Let  $L \in \mathbf{P}$ . Show that L is  $\mathbf{P}$ -hard, i.e., for all  $L' \in \mathbf{P}$ ,  $L' \leq_P L$ . Let  $L' \in \mathbf{P}$ .
- > Show that there exists a reduction r, such that for any  $w \in \Sigma^*$ ,  $w \in L'$  iff  $r(w) \in L$ .
- > Define r as follows:
  - Let  $w_{\text{ves}} \in L$  and  $w_{no} \notin L$ . These are constant and thus independent of any w.
  - Decide  $w \in L'$  in polynomial time (possible by assumption).
  - If  $w \in L'$ , define  $r(w) = w_{\text{ves}}$ , otherwise  $r(w) = w_{\text{no}}$ .

Why does this break for trivial problems?

5/15 Pascal Bercher week 10. Various Semester 1, 2025

#### Theorem w10.1

If **P**-hardness were defined as for all other problems, then: all non-trivial problems in P are P-complete.

# Proof.

- > Let  $L \in \mathbf{P}$ . Show that L is  $\mathbf{P}$ -hard, i.e., for all  $L' \in \mathbf{P}$ ,  $L' \leq_P L$ . Let  $L' \in \mathbf{P}$ .
- > Show that there exists a reduction r, such that for any  $w \in \Sigma^*$ ,  $w \in L'$  iff  $r(w) \in L$ .
- > Define r as follows:
  - Let  $w_{\text{ves}} \in L$  and  $w_{no} \notin L$ . These are constant and thus independent of any w.
  - Decide  $w \in L'$  in polynomial time (possible by assumption).
  - If  $w \in L'$ , define  $r(w) = w_{\text{ves}}$ , otherwise  $r(w) = w_{\text{no}}$ .

Why does this break for trivial problems?

- $\rightarrow$  A language L is called trivial iff  $L = \emptyset$  or  $L = \Sigma^*$ .
- > In both cases, there does not exist both an  $w_{ves}$  instance and  $w_{no}$  instance.
- > So, no reduction is possible for trivial problems.

week 10: Various 5/15 Pascal Bercher Semester 1, 2025

Maybe a philosophical question: Can we always  $\underline{\text{find}}$  a reduction in polynomial time?

Maybe a philosophical question: Can we always find a reduction in polynomial time?

> The question doesn't even make sense... polynomial in <a href="what">what? The language</a>? What does that mean? How is it presented? What "does change"? (Any complexity analysis requires "an input that changes".)

Maybe a philosophical question: Can we always find a reduction in polynomial time?

- > The question doesn't even make sense... polynomial in <a href="what">what</a>? The <a href="language">language</a>? What does that mean? How is it presented? What "does change"? (Any complexity analysis requires "an input that changes".) Let's look into the question anyway! :)
- > The proof also assumes that we "have" the polytime procedure that decides L'. But do we really know it, just because we "know"  $L' \in \mathbf{P}$ ?

Maybe a philosophical question: Can we always find a reduction in polynomial time?

- > The question doesn't even make sense... polynomial in <a href="what">what</a>? The <a href="language">language</a>? What does that mean? How is it presented? What "does change"? (Any complexity analysis requires "an input that changes".) Let's look into the question anyway! :)
- > The proof also assumes that we "have" the polytime procedure that decides L'. But do we really know it, just because we "know" L' ∈ P? Probably? For a problem to be in P, we either know that there exists an algorithm that proves P-membership or there is a series of reductions to a problem in P (which is again a poly algorithm, since polytime functions compose). However, I'm not sure whether for every problem in P, we are give a concrete decision procedure that runs in polytime, or whether for some problem we just "concluded" that there must be some...

Maybe a philosophical question: Can we always find a reduction in polynomial time?

- > The question doesn't even make sense... polynomial in <a href="what">what? The language</a>? What does that mean? How is it presented? What "does change"? (Any complexity analysis requires "an input that changes".) Let's look into the question anyway!:)
- > The proof also assumes that we "have" the polytime procedure that decides L'. But do we really know it, just because we "know" L' ∈ P? Probably? For a problem to be in P, we either know that there exists an algorithm that proves P-membership or there is a series of reductions to a problem in P (which is again a poly algorithm, since polytime functions compose). However, I'm not sure whether for every problem in P, we are give a concrete decision procedure that runs in polytime, or whether for some problem we just "concluded" that there must be some...
- > The proof assumes that we "know" a constant  $w_{\text{ves}} \in L'$  and  $w_{no} \notin L'$ . But do we?

Maybe a philosophical question: Can we always  $\underline{\text{find}}$  a reduction in polynomial time?

- > The question doesn't even make sense... polynomial in <a href="what">what? The language?</a> What does that mean? How is it presented? What "does change"? (Any complexity analysis requires "an input that changes".) Let's look into the question anyway! :)
- > The proof also assumes that we "have" the polytime procedure that decides L'. But do we really know it, just because we "know" L' ∈ P? Probably? For a problem to be in P, we either know that there exists an algorithm that proves P-membership or there is a series of reductions to a problem in P (which is again a poly algorithm, since polytime functions compose). However, I'm not sure whether for every problem in P, we are give a concrete decision procedure that runs in polytime, or whether for some problem we just "concluded" that there must be some...
- > The proof assumes that we "know" a constant  $w_{\text{ves}} \in L'$  and  $w_{\text{no}} \notin L'$ . But do we?
  - One of them: yes, in polytime. Just take any word  $w \in \Sigma^*$  and decide it in polytime. Then, either declare  $w_{\text{yes}} := w$  (if  $w \in L'$ ) or  $w_{\text{no}} := w$  (if  $w \notin L'$ ).
  - But how to find "the other answer"? Even if such a witness has polylength based on ... (what? the representation of the language?), there would still be exponentially many words to try.

This question relates to those "more philosophical ones" in the tutorial of week 9.

# Why polytime reductions? Why not more?

#### Theorem w10.2

Under poly-space reductions, all non-trivial problems in PSPACE are PSPACE-complete.

#### Comment.

Recall that this includes all problems in P and NP.

# Why polytime reductions? Why not more?

#### Theorem w10.2

Under poly-space reductions, all non-trivial problems in PSPACE are PSPACE-complete.

#### Comment.

Recall that this includes all problems in **P** and **NP**.

#### Proof.

Identical to the one before. Just replace P by PSPACE and poly-time by poly-space.

7/15 Pascal Bercher week 10. Various Semester 1, 2025

#### Trivia

#### Stephen Cook

- > Formalized the notion of polytime-reductions in 1971, in his paper: "The Complexity of Theorem Proving Procedures"
- > Such reductions are also called "Cook-reductions" (see next slide)
- > Remember "Cook's Theorem"? He proved SAT **NP**-complete.
- > He won the Turing Award ("Nobel Prize for Computer Science") in 1982

#### Richard Karp

- > Proved 21 important problems NP-complete in his 1972 paper: "Reducibility Among Combinatorial Problems"
- > Provided an alternative definition of reductions, "Karp-reduction" (see next slide)
- > He won the Turing Award in 1985

#### Definition w10.1 (Cook-reduction)

Let A and B be decision problems. We say that A Cook-reduces to B (written  $A \leq_P^C B$ ) if there exists a deterministic Turing machine M that decides A in polynomial time with access to an oracle for B (arbitrarily often).

#### Definition w10.1 (Cook-reduction)

Let A and B be decision problems. We say that A Cook-reduces to B (written  $A \leq_{P}^{C} B$ ) if there exists a deterministic Turing machine M that decides A in polynomial time with access to an oracle for B (arbitrarily often).

#### Definition w10.2 (Karp-reduction)

Let A and B be decision problems. We say that A Karp-reduces to B (written  $A \leq_P^K B$ ) if there exists a function  $f: \Sigma^* \to \Sigma^*$  such that:

- f is computable in polynomial time, and
- for all  $w \in \Sigma^*$ :  $w \in A$  if and only if  $f(w) \in B$ .

#### Note:

> We use . . .

#### Definition w10.1 (Cook-reduction)

Let A and B be decision problems. We say that A Cook-reduces to B (written  $A \leq_{P}^{C} B$ ) if there exists a deterministic Turing machine M that decides A in polynomial time with access to an oracle for B (arbitrarily often).

#### Definition w10.2 (Karp-reduction)

Let A and B be decision problems. We say that A Karp-reduces to B (written  $A \leq_P^K B$ ) if there exists a function  $f: \Sigma^* \to \Sigma^*$  such that:

- f is computable in polynomial time, and
- for all  $w \in \Sigma^*$ :  $w \in A$  if and only if  $f(w) \in B$ .

#### Note:

- > We use Karp-reductions!
- > Every Karp-reduction is also a Cook-reduction (trivially: the Cook oracle just calls the result of the Karp reduction).
- > Not every Cook-reduction is a Karp-reduction (non-trivial, skipped here).

#### Definition w10.1 (Cook-reduction)

Let A and B be decision problems. We say that A Cook-reduces to B (written  $A \leq_P^P B$ ) if there exists a deterministic Turing machine M that decides A in polynomial time with access to an oracle for B (arbitrarily often).

#### Definition w10.2 (Karp-reduction)

Let A and B be decision problems. We say that A Karp-reduces to B (written  $A \leq_P^K B$ ) if there exists a function  $f: \Sigma^* \to \Sigma^*$  such that:

- f is computable in polynomial time, and
- for all  $w \in \Sigma^*$ :  $w \in A$  if and only if  $f(w) \in B$ .

#### Note:

- > We use Karp-reductions!
- > Every Karp-reduction is also a Cook-reduction (trivially: the Cook oracle just calls the result of the Karp reduction).
- > Not every Cook-reduction is a Karp-reduction (non-trivial, skipped here).
- > We get different theoretical results for those reductions (see next slide).

,

Pascal Bercher week 10: Various Semester 1, 2025

10 / 15

Why Karp? If we have a deterministic algorithm for an **NP**-complete problem that runs in time worse than poly, but not yet exponential, e.g.,  $\mathcal{O}(n^{\log n})$ , then

Why Karp? If we have a deterministic algorithm for an **NP**-complete problem that runs in time worse than poly, but not yet exponential, e.g.,  $\mathcal{O}(n^{\log n})$ , then

> with Karp, we can solve any problem in  $\ensuremath{\mathbf{NP}}$  in that time

Why Karp? If we have a deterministic algorithm for an **NP**-complete problem that runs in time worse than poly, but not yet exponential, e.g.,  $\mathcal{O}(n^{\log n})$ , then

- > with Karp, we can solve any problem in **NP** in that time (because Karp is transitive and polytime composes)
- > with Cook, we cannot conclude anything (because it's not transitive, see below)

Why Karp? If we have a deterministic algorithm for an **NP**-complete problem that runs in time worse than poly, but not yet exponential, e.g.,  $\mathcal{O}(n^{\log n})$ , then

- > with Karp, we can solve any problem in **NP** in that time (because Karp is transitive and polytime composes)
- > with Cook, we cannot conclude anything (because it's not transitive, see below)

#### Further notes on Karp vs. Cook:

> Karp-reductions are transitive, but Cook-reductions are not (because we would need Oracles from multiple problems).

Why Karp? If we have a deterministic algorithm for an **NP**-complete problem that runs in time worse than poly, but not yet exponential, e.g.,  $\mathcal{O}(n^{\log n})$ , then

- > with Karp, we can solve any problem in **NP** in that time (because Karp is transitive and polytime composes)
- > with Cook, we cannot conclude anything (because it's not transitive, see below)

#### Further notes on Karp vs. Cook:

- > Karp-reductions are transitive, but Cook-reductions are not (because we would need Oracles from multiple problems).
- > We don't know yet whether the set of **NP**-complete problems under Cook- and Karp-reductions are the same.

Why Karp? If we have a deterministic algorithm for an **NP**-complete problem that runs in time worse than poly, but not yet exponential, e.g.,  $\mathcal{O}(n^{\log n})$ , then

- > with Karp, we can solve any problem in **NP** in that time (because Karp is transitive and polytime composes)
- > with Cook, we cannot conclude anything (because it's not transitive, see below)

#### Further notes on Karp vs. Cook:

- > Karp-reductions are transitive, but Cook-reductions are not (because we would need Oracles from multiple problems).
- > We don't know yet whether the set of NP-complete problems under Cook- and Karp-reductions are the same.
- > Cook lets us flip the answer after a polytime reduction, Karp doesn't.

Why Karp? If we have a deterministic algorithm for an **NP**-complete problem that runs in time worse than poly, but not yet exponential, e.g.,  $\mathcal{O}(n^{\log n})$ , then

- > with Karp, we can solve any problem in **NP** in that time (because Karp is transitive and polytime composes)
- > with Cook, we cannot conclude anything (because it's not transitive, see below)

#### Further notes on Karp vs. Cook:

- > Karp-reductions are transitive, but Cook-reductions are not (because we would need Oracles from multiple problems).
- > We don't know yet whether the set of NP-complete problems under Cook- and Karp-reductions are the same.
- > Cook lets us flip the answer after a polytime reduction, Karp doesn't.
- > We don't know whether the set of **NP**-complete problems under Cook reductions are the same as those under Karp reductions.

Why Karp? If we have a deterministic algorithm for an **NP**-complete problem that runs in time worse than poly, but not yet exponential, e.g.,  $\mathcal{O}(n^{\log n})$ , then

- > with Karp, we can solve any problem in NP in that time (because Karp is transitive and polytime composes)
- > with Cook, we cannot conclude anything (because it's not transitive, see below)

#### Further notes on Karp vs. Cook:

- > Karp-reductions are transitive, but Cook-reductions are not (because we would need Oracles from multiple problems).
- > We don't know yet whether the set of NP-complete problems under Cook- and Karp-reductions are the same.
- > Cook lets us flip the answer after a polytime reduction, Karp doesn't.
- > We don't know whether the set of **NP**-complete problems under Cook reductions are the same as those under Karp reductions.
- > If P = NP (note that the definition of NP does not depend on reductions), the two kinds of reductions are equally expressive.

#### So far:

- > We have just considered yes/no problems
- > E.g., "Does problem P possess 'a solution'?"

#### In Practice:

- > We want to obtain a solution! And maybe even the best!
- > For example, a satisfying assignment, or the size of the smallest vertex cover.

#### So far:

- > We have just considered yes/no problems
- > E.g., "Does problem P possess 'a solution'?"

#### In Practice:

- > We want to obtain a solution! And maybe even the best!
- > For example, a satisfying assignment, or the size of the smallest vertex cover.

# Example w10.1

- > Yes/No problem: Does G have a vertex cover of size  $\leq k$ ?
- > Optimization problem:
  - What is the size of the smallest vertex cover for G? Or:
  - What is a vertex cover for G with the smallest size?

#### So far:

- > We have just considered yes/no problems
- > E.g., "Does problem P possess 'a solution'?"

#### In Practice:

- > We want to obtain a solution! And maybe even the best!
- > For example, a satisfying assignment, or the size of the smallest vertex cover.

#### Example w10.1

- > Yes/No problem: Does G have a vertex cover of size  $\leq k$ ?
- > Optimization problem:
  - What is the size of the smallest vertex cover for G? Or:
  - What is a vertex cover for G with the smallest size?

#### Observation:

> If we can solve the optimization problem, we can solve the yes/no problem.

#### Optimisation Problems

- > Cannot be in **NP**, as they are not yes/no problems.
- > In fact, cannot be in <u>any</u> complexity class, since it's not a <u>decision problem</u>.

#### Optimisation Problems

- > Cannot be in **NP**, as they are not yes/no problems.
- > In fact, cannot be in any complexity class, since it's not a decision problem.

#### Theorem w10.2

If the a decision problem is NP-complete and  $P \neq NP$ , then we cannot solve the optimization version of it in polytime.

#### Optimisation Problems

- > Cannot be in **NP**, as they are not yes/no problems.
- > In fact, cannot be in any complexity class, since it's not a decision problem.

#### Theorem w10.2

If the a decision problem is NP-complete and  $P \neq NP$ , then we cannot solve the optimization version of it in polytime.

#### Proof.

> We know: yes/no version is **NP**-complete and  $P \neq NP$  (as assumed).

#### Optimisation Problems

- > Cannot be in **NP**, as they are not yes/no problems.
- > In fact, cannot be in any complexity class, since it's not a decision problem.

#### Theorem w10.2

If the a decision problem is NP-complete and  $P \neq NP$ , then we cannot solve the optimization version of it in polytime.

#### Proof.

- > We know: yes/no version is **NP**-complete and  $P \neq NP$  (as assumed).
- > Now assume we can solve the optimization version in P.

#### **Optimisation Problems**

- > Cannot be in **NP**, as they are not yes/no problems.
- > In fact, cannot be in any complexity class, since it's not a decision problem.

#### Theorem w10.2

If the a decision problem is NP-complete and  $P \neq NP$ , then we cannot solve the optimization version of it in polytime.

#### Proof.

- > We know: yes/no version is **NP**-complete and  $P \neq NP$  (as assumed).
- > Now assume we can solve the optimization version in P.
- > Solve this problem in **P**. Compare solution size s with k of the decision variant. Return yes iff s < k.

#### **Optimisation Problems**

- > Cannot be in **NP**, as they are not yes/no problems.
- > In fact, cannot be in any complexity class, since it's not a decision problem.

#### Theorem w10.2

If the a decision problem is NP-complete and  $P \neq NP$ , then we cannot solve the optimization version of it in polytime.

#### Proof.

- > We know: yes/no version is **NP**-complete and  $P \neq NP$  (as assumed).
- > Now assume we can solve the optimization version in P.
- Solve this problem in P. Compare solution size s with k of the decision variant. Return yes iff s < k.</p>
- > Since this comparison can be done in **P**, we also solved our decision problem in **P**.

#### **Optimisation Problems**

- > Cannot be in **NP**, as they are not yes/no problems.
- > In fact, cannot be in any complexity class, since it's not a decision problem.

#### Theorem w10.2

If the a decision problem is NP-complete and  $P \neq NP$ , then we cannot solve the optimization version of it in polytime.

#### Proof.

- > We know: yes/no version is **NP**-complete and  $P \neq NP$  (as assumed).
- > Now assume we can solve the optimization version in **P**.
- > Solve this problem in **P**. Compare solution size s with k of the decision variant. Return yes iff s < k.
- > Since this comparison can be done in **P**, we also solved our decision problem in **P**.
- > This is a contradiction to  $P \neq NP$ , so the optimization problem is not in P.

# Examples

#### Example w10.3

- > "Does  $\phi$  have a satisfying valuation?" can be expressed as a decision problem.
- > "Find a satisfying valuation of  $\phi$ ." is <u>not</u> a decision problem.

# Examples

## Example w10.3

- $\rightarrow$  "Does  $\phi$  have a satisfying valuation?" can be expressed as a decision problem.
- > "Find a satisfying valuation of  $\phi$ ." is not a decision problem.

#### From week 11:

#### Example w10.4

- > "Does the classical planning problem *P* have a solution?" can be expressed as a decision problem.
- > "Find a solution to the classical planning problem P." is not a decision problem.

### Examples

#### Example w10.3

- $\rightarrow$  "Does  $\phi$  have a satisfying valuation?" can be expressed as a decision problem.
  - $\rightarrow$  "Find a satisfying valuation of  $\phi$ ." is not a decision problem.

#### From week 11:

#### Example w10.4

- > "Does the classical planning problem *P* have a solution?" can be expressed as a decision problem.
- $\rightarrow$  "Find a solution to the classical planning problem P." is not a decision problem.

#### Related to week 12:

(too complex, not covered)

15 / 15

# Example w10.5

- > "Does the delete-relaxed HTN planning problem *P* have a solution?" can be expressed as a decision problem. (It is **NP**-complete, proved in 2014 by Alford et al.)
- > "Find a solution to the delete-relaxed HTN planning problem P." is <u>not</u> a decision problem. Interestingly, even shortest solutions can be exponentially long in |P|! (Think of what that implies for certificates! How is that possible?!)