The Cook-Levin Thm

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BILL, RECORD LECTURE!!!!

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Variants of SAT

1. SAT is the set of all boolean formulas that are satisfiable. That is, $\phi(\vec{x}) \in SAT$ if there exists a vector $\vec{b}$ such that $\phi(\vec{b}) = TRUE$.
2. CNFSAT is the set of all boolean formulas in SAT of the form $C_1 \wedge \cdots \wedge C_m$ where each C_i is an $\vee$ of literals.
3. k-SAT is the set of all boolean formulas in SAT of the form $C_1 \wedge \cdots \wedge C_m$ where each C_i is an $\vee$ of exactly k literals.
4. DNFSAT is the set of all boolean formulas in SAT of the form $C_1 \vee \cdots \vee C_m$ where each C_i is an $\wedge$ of literals.
5. k-DNFSAT is the set of all boolean formulas in SAT of the form $C_1 \vee \cdots \vee C_m$ where each C_i is an $\wedge$ of exactly k literals.

Turing Machines Def

Def A *Turing Machine* is a tuple $(Q, \Sigma, \delta, s, h)$ where

- Q is a finite set of states. It has the state h.
- Σ is a finite alphabet. It contains the symbol $\#$.
- $\delta : (Q - \{h\}) \times \Sigma \to Q \times \Sigma \cup \{R, L\}$
- $s \in Q$ is the start state, h is the halt state.

Note There are many variants of Turing Machines- more tapes, more heads. All equivalent.

Conventions for our Turing Machines

1. Tape has a left endpoint; however, the tape goes off to infinity to the right.
2. The alphabet has symbols $\{a, b, \#, \$, Y, N\}$.
3. $\#$ is the blank symbol.
4. \$ is a separator symbol.
5. Y and N are only used when the machine goes into a halt state. They are YES and NO.
6. The input is written on the left. So the input *abba* would be on the tape as

$$abba\#\#\#\cdots$$

7. The head is initially on the rightmost symbol of the input. So it he above it would be on the a just before the $\#$ symbol.

How to Represent any Computation

Let M be a Turing Machine and $x \in \Sigma^*$. We represent the computation $M(x)$ as follows:

Example The tape has:

$$abba\#abcab\#a\#\#\#\cdots$$

If the machine is in state q and the head is looking at the c then we represent this by:

$$abba\#ab(c,q)ab\#a\#\#\#\cdots$$

Convention—extend alphabet and allow symbols $\Sigma \times Q$. The symbol (c,q) means the symbol is c, the state is q, and that square is where the head of the machine is.

Configurations

We need a term for strings like:

$$abba\#ab(c,q)a$$

Def Strings in $\Sigma^*(\Sigma \times Q)\Sigma^*$ are configuration.

The Computation $M(x)$ is represented by a sequence of configs.

Key A config is finite since what we don't see is $\#$.

Example

If $\delta(s, b) = (q, L)$ and $\delta(q, b) = (p, a)$

a	a	b	b	(b, s)	$\#$
a	a	b	(b, q)	b	$\#$
a	a	b	(a, p)	b	$\#$

- The left endpoint is the end of the tape.
- The unseen symbols on the right are all $\#$

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Let $t(n) = q(n + p(n))$, a poly.
Here is ALL that matters:

- Numb of steps $M(x,y)$ takes is $\le t(|x|)$. Hence $\le t(|x|)$ configs.
- Computation can only look at the first $t(|x|)$ tapes squares on any config.

New Convention

Old Convention

$\#$	a	a	b	b	(s, b)	$\#$

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Tape is $t(|x|)$ long so **know** when stops. Can include entire tape.
Key Config is finite since what we don't see is never used.

Summary of What's Important

Let $X \in \mathrm{NP}$ via poly q and TM M, so

$$X = \{x : (\exists y)[|y| = q(|x|) \wedge M(x, y) = Y]$$

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$x \in X$ implies $(\exists y)[|y| = q(|x|) \wedge M(x, y) = Y]$ implies $(\exists y, C_1, \ldots, C_t)[C_1, \ldots, C_t$ is an accepting comp of $M(x, y)]$

Cook-Levin Thm

Theorem
SAT is NP*-complete.*

We need to prove two things:

1. $\mathrm{SAT} \in NP$.

$$\mathrm{SAT} = \{\phi : (\exists \vec{y})[\phi(\vec{y}) = T]\}$$

   Formally

$$B = \{(\phi, \vec{y}) : \phi(\vec{y}) = T\}$$

   The satisfying assignment is the witness.

2. For all $X \in \mathrm{NP}$, $X \leq \mathrm{SAT}$. This is the bulk of the proof.

$x \in X \rightarrow \ldots$

If $x \in X$ then there is a y of length $p(|x|)$ such that $M(x, y) = Y$.
If $x \in X$ then there is a y and a sequence of configurations $C_1, C_2, \ldots, C_t$ such that

- C_1 is the configuration that says 'input is $x\$y$, and I am in the starting state.'
- For all i, C_{i+1} follows from C_i (note that M is deterministic) using δ.
- C_t is the configuration that is in state h and the output is Y.
- $t = q(|x| + p(|x|))$.

How to make all of this into a formula?

How to Represent Sequence of Configs as Fml

KEY 1: We have variables for every possible entry in every possible configuration. The variables are

$$\{z_{i,j,\sigma} : 1 \le i, j \le t, \sigma \in \Sigma \cup (Q \times \Sigma)\}$$

If there is an accepting sequence of configurations then $z_{i,j,\sigma} = T$ iff the jth symbol in the ith configuration is σ.

Making the $z_{i,j,\sigma}$ Make Sense

Need that for all $1 \leq i, j \leq t$ there exists exactly one σ such that $z_{ij\sigma}$ is TRUE.

$$\bigvee_{\sigma \in \Sigma \cup (\Sigma \times Q)} z_{i,j,\sigma}$$

for each $\sigma \in \Sigma \cup (\Sigma \times Q)$

$$z_{i,j,\sigma} \rightarrow \bigwedge_{\tau \in \Sigma \cup (\Sigma \times Q) - \{\sigma\}} \neg z_{i,j,\tau}$$

C_1 is Start Config

C_1 is the $\bigwedge$ of the following:
C_1 starts with x. Let $x = x_1 \cdots x_n$.

$$z_{1,1,x_1} \wedge \cdots \wedge z_{1,n-1,x_{n-1}}, z_{1,n,(x_n,s)} \wedge z_{1,n+1,\$}$$

C_1 then has $q(|x|)$ symbols from $\{a,b\}$, so NOT the funny symbols.

$$\bigwedge_{j=n+2}^{n+q(|x|)+1} \bigvee_{\sigma\in\{a,b\}} z_{1,j,\sigma}$$

C_1 then has all blanks:

$$\wedge \bigwedge_{j=q(n)+n+3}^{t(n)} z_{1,j,\#}$$

C_1 is Start Config: Example

$x = ab$, $p(n) = n^2$, and $q(n) = 2n$
$|y| = 4$. Input to M is of length $2 + 4 + 1 = 7$, so $M(x, y)$ runs $\le 2 \times 7 = 14$ steps.
Formula saying C_1 codes x as input is

$$z_{1,1,a} \wedge z_{1,2,(b,s)} \wedge z_{1,3,\$} \wedge$$

$$(z_{1,4,a} \vee z_{1,4,b}) \wedge (z_{1,5,a} \vee z_{1,5,b}) \wedge (z_{1,6,a} \vee z_{1,6,b}) \wedge (z_{1,7,a} \vee z_{1,7,b}) \wedge$$

$$z_{1,8,\#} \wedge \cdots \wedge z_{1,23,\#}$$

C_t is an Accept Config

Convention $M(x, y)$ accepts means $M(x, y)$ leaves a Y on the left most square and the head is on the left most square.
The state in C_t is h, the halt state,

$$z_{t,1,(Y,h)}$$

C_i leads to C_{i+1}

Thought Experiment: What if $\delta(q,a) = (p,b)$. Then:

σ_1	(a,q)	σ_2
σ_1	(b,p)	σ_2

Formula is a $\bigwedge$ over relevant i, j, σ_1, σ_2 of:

$$(z_{ij\sigma_1} \wedge z_{i(j+1),(a,q)} \wedge z_{i,(j+2)\sigma_2}) \rightarrow$$

$$(z_{(i+1)j\sigma_1} \wedge z_{(i+1)(j+1),(b,p)} \wedge z_{(i+1),(j+2)\sigma_2})$$

C_i leads to C_{i+1}

Thought Experiment: What if $\delta(q, a) = (p, L)$. Then:

σ_1	(a, q)	σ_2
(σ_1, p)	a	σ_2

One can make a formula out of this as well. (Leave for HW.)

C_i leads to C_{i+1}

Note that only the symbols at or near the head get changed.

Also need a formula saying that if the (i, j) spot is NOT near the head and $z_{i,j,\sigma}$ then $z_{i+1,j,\sigma}$.

Putting it All Together

On input x you output a formula ϕ constructed as follows

1. $t(|x|) = q(|x| + p(|x|))$. We call this t.
2. Variables $\{z_{i,j,\tau} : 1 \leq i,j \leq t, \tau \in \Sigma \cup (\Sigma \times Q)\}$.
3. Formula saying:
   3.1 For all $1 \leq i,j \leq t$, exists ONE σ with $z_{i,j,\sigma} = T$.
   3.2 C_1 is the start config with x.
   3.3 C_t is the accept config.
   3.4 For each instruction of the TM have a formula saying C_i goes to C_{i+1} if that instruction is relevant.
   3.5 If head is not within 2 square of (i,j) and $z_{ij\sigma}$ then $z_{(i+1)j\sigma}$.

Important Upshot

- If $\mathrm{SAT} \in \mathrm{P}$ then every set in NP is in P, so we would have $\mathrm{P} = \mathrm{NP}$.
- We will soon have more NP-complete problems.
- If any NP-complete problem is in P then $\mathrm{P} = \mathrm{NP}$.
- In the year 2000 the Clay Math Institute posted seven math problems and offered $1,000,000 for the solution to any of them. Resolving P vs NP was one of them.

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CNFSAT $\rightarrow$ DNFSAT. Collect \$1,000,000

Idea Given ϕ in CNF form, convert to DNF form, solve DNF-SAT problem in Poly time, and now know if ϕ is in SAT.

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Bad News I'd rather have the $1,000,000 than be enlightened.

Vote on CNF vs DNF

Vote on whether the following statement is TRUE or FALSE:
There is a **proof** *that* $\mathrm{CNFSAT} \le \mathrm{DNFSAT}$ *is NOT true. That is, there is NO poly time algorithm that will transform* ϕ *in CNF form to* ψ *in DNF form such that* $\phi \in \mathrm{SAT}$ *iff* $\psi \in \mathrm{SAT}$.

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TRUE, we Do have a proof!. Hard to believe.

Work on in Breakout Rooms

Convert the following into CNF form

1. $(x_1 \lor y_1)$
2. $(x_1 \lor y_1) \land (x_2 \lor y_2)$
3. $(x_1 \lor y_1) \land (x_2 \lor y_2) \land (x_3 \lor y_3)$
4. $(x_1 \lor y_1) \land (x_2 \lor y_2) \land (x_3 \lor y_3) \land (x_4 \land y_4)$

CNF vs DNF

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CNF vs DNF

Convert the following into DNF form

1. $(x_1 \vee y_1)$

   $x_1 \vee y_1$

2. $(x_1 \vee y_1) \wedge (x_2 \vee y_2)$

CNF vs DNF

Convert the following into DNF form

1. $(x_1 \vee y_1)$
   $x_1 \vee y_1$
2. $(x_1 \vee y_1) \wedge (x_2 \vee y_2)$
   $(x_1 \wedge x_2) \vee (x_1 \wedge y_2) \vee (y_1 \wedge x_2) \vee (y_1 \vee y_2)$.
3. $(x_1 \vee y_1) \wedge (x_2 \vee y_2) \wedge (x_3 \vee y_3)$

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Convert the following into DNF form

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   $(x_1 \wedge x_2) \vee (x_1 \wedge y_2) \vee (y_1 \wedge x_2) \vee (y_1 \vee y_2)$.
3. $(x_1 \vee y_1) \wedge (x_2 \vee y_2) \wedge (x_3 \vee y_3)$

   $(x_1 \wedge x_2 \wedge x_3) \vee (x_1 \wedge x_2 \wedge y_3) \vee (x_1 \wedge y_2 \wedge x_3) \vee (x_1 \wedge y_2 \wedge y_3) \vee$

   $(y_1 \wedge x_2 \wedge x_3) \vee (y_1 \wedge x_2 \wedge y_3) \vee (y_1 \wedge y_2 \wedge x_3) \vee (y_1 \wedge y_2 \wedge y_3)$
4. $(x_1 \vee y_1) \wedge (x_2 \vee y_2) \wedge (x_3 \vee y_3) \wedge (x_4 \wedge y_4)$

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3. $(x_1 \vee y_1) \wedge (x_2 \vee y_2) \wedge (x_3 \vee y_3)$

   $$(x_1 \wedge x_2 \wedge x_3) \vee (x_1 \wedge x_2 \wedge y_3) \vee (x_1 \wedge y_2 \wedge x_3) \vee (x_1 \wedge y_2 \wedge y_3) \vee$$

   $$(y_1 \wedge x_2 \wedge x_3) \vee (y_1 \wedge x_2 \wedge y_3) \vee (y_1 \wedge y_2 \wedge x_3) \vee (y_1 \wedge y_2 \wedge y_3)$$

4. $(x_1 \vee y_1) \wedge (x_2 \vee y_2) \wedge (x_3 \vee y_3) \wedge (x_4 \wedge y_4)$
   Not going to do it but it would take 16 clauses.