CSE 417 Introduction to Algorithms

NP-Completeness (Chapter 8)

What can we feasibly compute?

Focus so far has been to give good algorithms for specific problems (and general techniques that help do this).

Now shifting focus to problems where we think this is *impossible*. Sadly, there are many...

Some History

1930/40's

Gödel, Church, Turing, ...: What is (is not) computable

1960/70's and since

What is (is not) feasibly computable

Goal – a (largely) technology-independent theory of time required by algorithms

Key modeling assumptions/approximations

Asymptotic (Big-O), worst case is revealing

Polynomial, exponential time – qualitatively different

Polynomial Time

The class P

(defined later)

Definition: P = the set of (decision) problems solvable by computers in *polynomial time*, i.e., $T(n) = O(n^k)$ for some fixed k (indp of input).

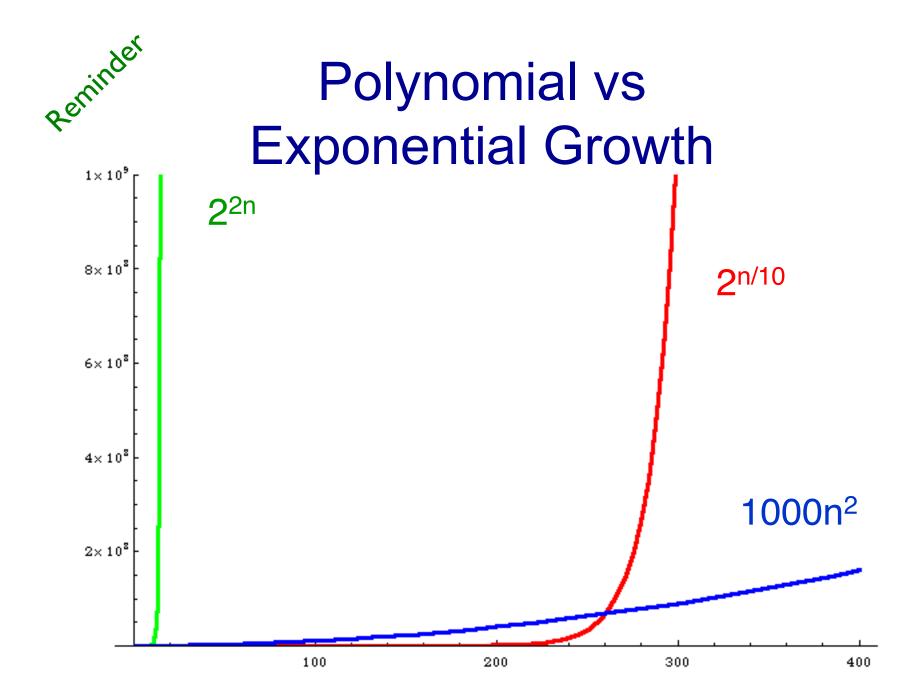
These problems are sometimes called *tractable* problems.

Examples: sorting, shortest path, MST, connectivity, RNA folding & other dyn. prog., flows & matching

 – i.e.: *most of this quarter* (exceptions: Change-Making/Stamps, Knapsack, TSP)

Why "Polynomial"?

- n²⁰⁰⁰ is *not* a nice time bound
- differences among n, 2n and n² are *not* negligible.
 But, simple theoretical tools don't easily capture such differences, while exponential vs polynomial is a qualitative difference potentially more amenable to theoretical analysis.
 - "Problem is in P": starting point for more detailed analysis"
 - "Problem is not in P": maybe you need to shift to a more tractable variant / lower your expectations





Next year's computer will be 2x faster. If I can solve problem of size n_0 today, how large a problem can I solve in the same time next year?

Complexity	Increase	E.g.T=10 ¹²	
O(n)	$n_0 \rightarrow 2n_0$	1012	2 x 10 ¹²
O(n ²)	$n_0 \rightarrow \sqrt{2} n_0$	10 ⁶	1.4 × 10 ⁶
O(n ³)	$n_0 \rightarrow {}^3\sqrt{2} n_0$	I 0 ⁴	1.25 × 10 ⁴
2 ^{n /10}	$n_0 \rightarrow n_0 + 10$	400	410
2 ⁿ	$n_0 \rightarrow n_0 + I$	40	41

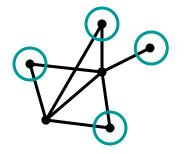
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Two Problems

How hard are they? We don't fully know...

The Independent Set Problem

Given: a graph G=(V,E) and an integer k Question: is there U \subseteq V with |U| \ge k s.t. no pair of vertices in U is joined by an edge?



What's it good for?

- E.g., if nodes = web pages, and edges join "similar" pages, then pages forming an independent set are likely to represent distinctly different topics
- E.g., if nodes = courses, and edge = a student is co-enrolled, then an independent set is a set of courses whose finals could be scheduled simultaneously

How hard is it? Don't fully know. Exponential time is easily possible (try all 2ⁿ subsets). But no poly time solution is known

Boolean Satisfiability

Boolean variables $x_1, ..., x_n$

taking values in {0,1}. 0=false, 1=true

Literals

 x_i or $\neg x_i$ for i = 1, ..., n

Clause

a logical OR of one or more literals

e.g. (x₁ $\vee \neg x_3 \lor x_7 \lor x_{12}$)

CNF formula ("conjunctive normal form")

a logical AND of a bunch of clauses

Boolean Satisfiability

CNF formula example

 $(\mathsf{x}_1 \lor \neg \mathsf{x}_3 \lor \mathsf{x}_7) \land (\neg \mathsf{x}_1 \lor \neg \mathsf{x}_4 \lor \mathsf{x}_5 \lor \neg \mathsf{x}_7)$

The formula is *satisfiable* if there's some assignment of 0's and 1's to the variables that makes it true

the one above is, the following isn't

 $\mathsf{x}_1 \land (\neg \mathsf{x}_1 \lor \mathsf{x}_2) \land (\neg \mathsf{x}_2 \lor \mathsf{x}_3) \land \neg \mathsf{x}_3$

Satisfiability: Given a CNF formula F, is it satisfiable?

AKA "SAT"; 3 literals per clause: "3SAT"

Satisfiable?

$$(\neg x \lor \neg y \lor \neg z) \land (\neg x \lor y \lor z) \land (x \lor \neg y \lor z) \land (x \lor y \lor \neg z)$$

Satisfiability

What's it good for?

Theorem provers Circuit validation Analysis of program logic Etc.

How hard is it?

- Don't know fully
- Exponential time is easily possible (try all 2ⁿ assignments)
- But no poly time solution is known

Reduction, I

Reductions: a useful tool

Definition: To "reduce A to B" means to solve A, given a subroutine solving B.

Example: reduce MEDIAN to SORT Solution: sort, then select (n/2)nd Example: reduce SORT to FIND_MAX Solution: FIND_MAX, remove it, repeat Example: reduce MEDIAN to FIND_MAX Solution: transitivity: compose solutions above.

Reductions & Time

Definition: To reduce A to B means to solve A, given a subroutine solving B.

If setting up call, etc., is fast, then a fast algorithm for B implies (nearly as) fast an algorithm for A

Contrapositive: If every algorithm for A is slow, then no algorithm for B can be fast.

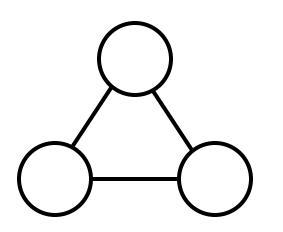
"complexity of A" < "complexity of B" + "complexity of reduction"

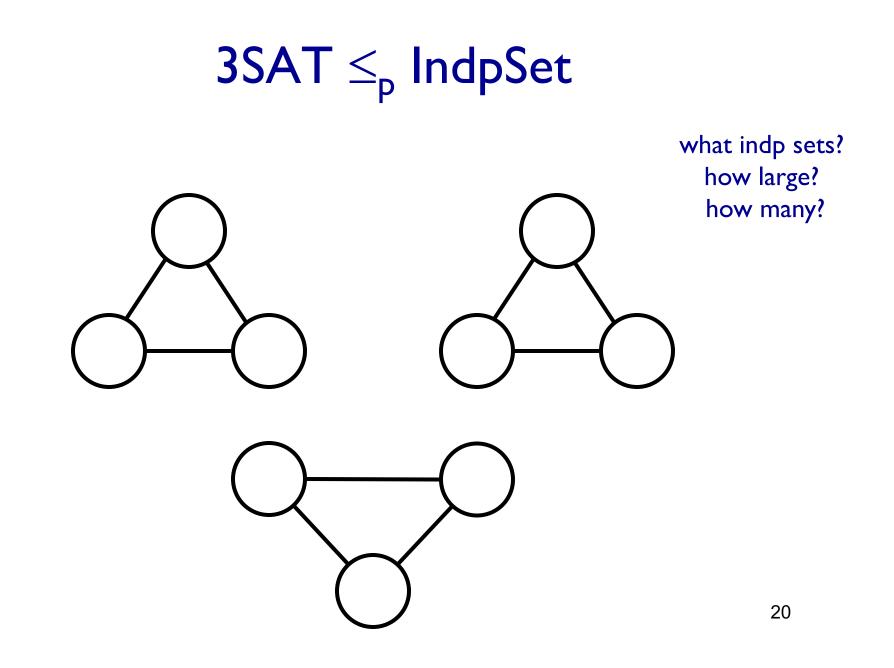
SAT and Independent Set

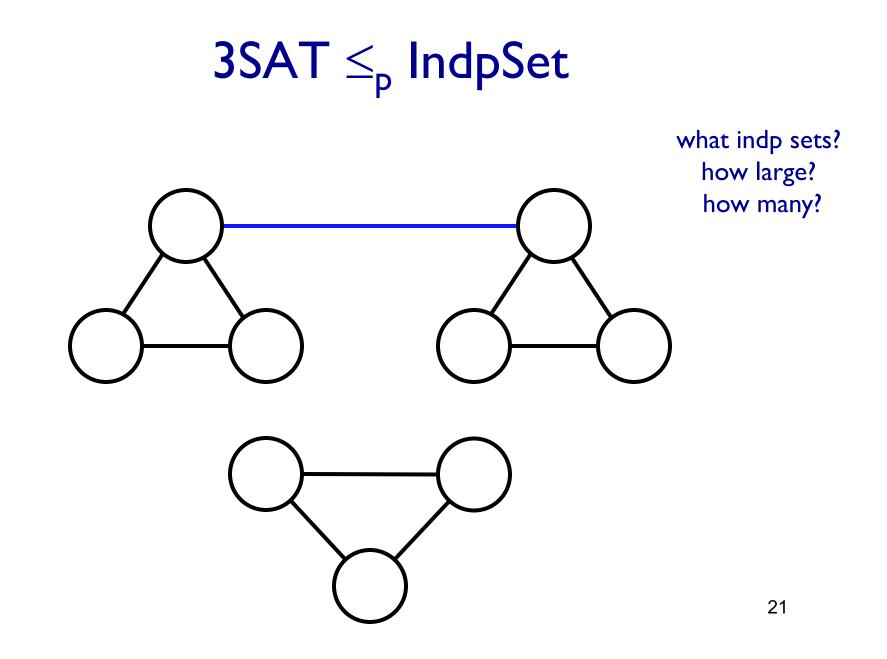
They are superficially different problems, but are intimately related at a deep level

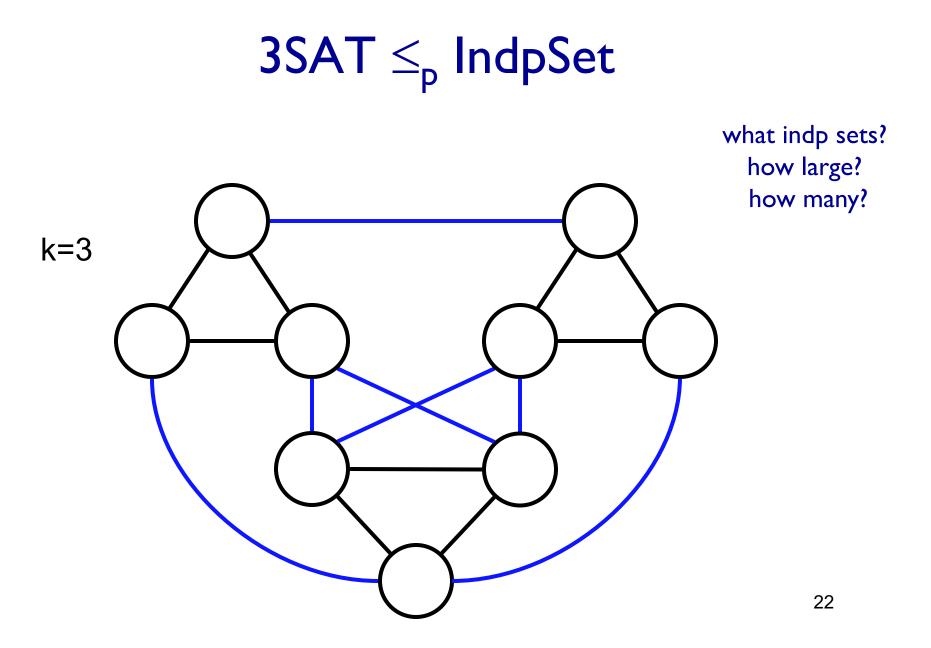
$3SAT \leq_p IndpSet$

what indp sets? how large? how many?

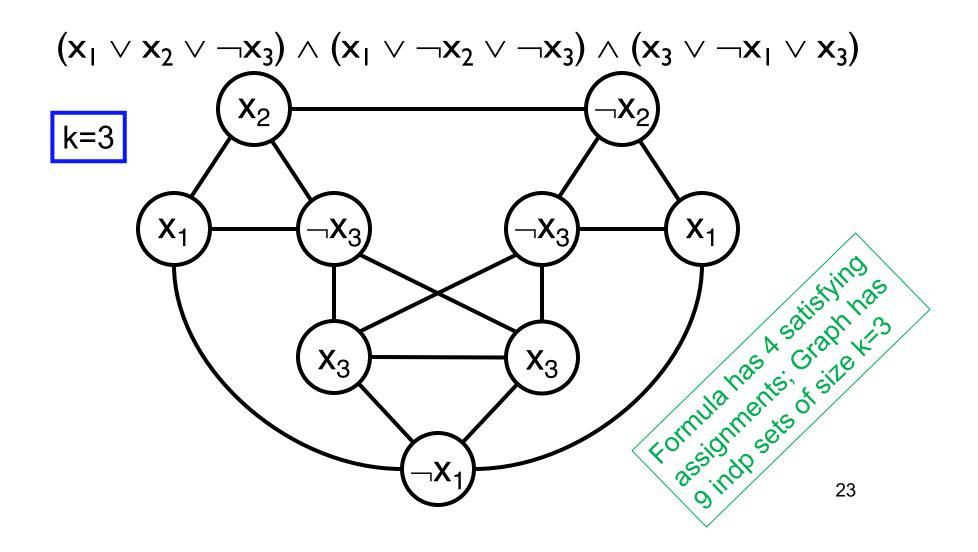


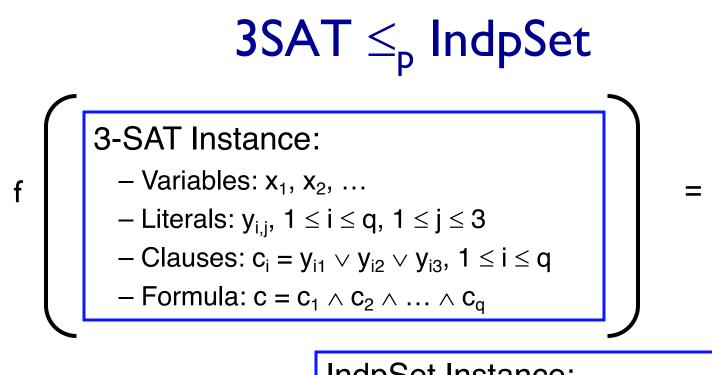






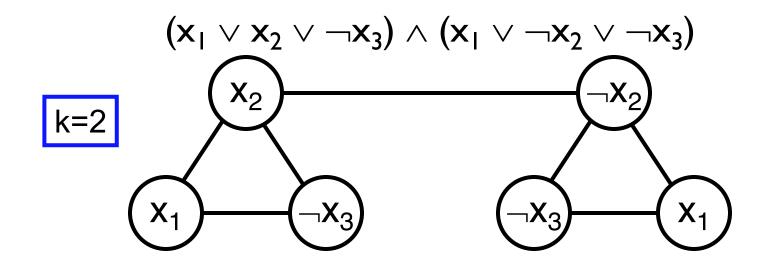


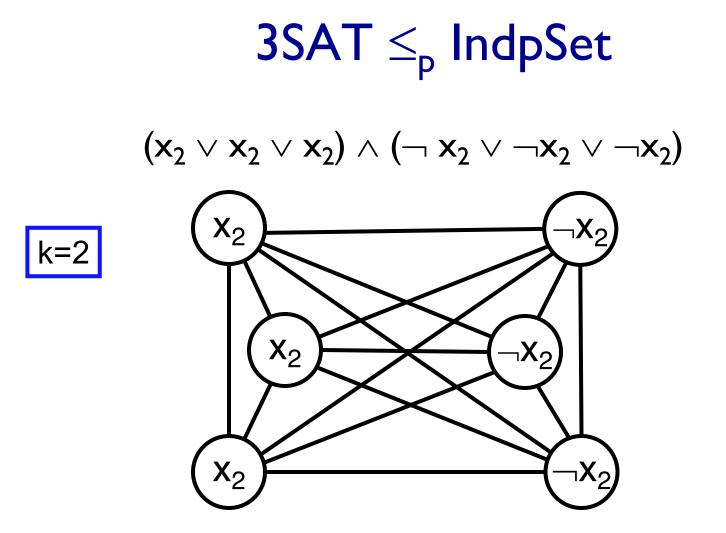




$$\begin{aligned} &- k = q \\ &- G = (V, E) \\ &- V = \{ [i,j] \mid 1 \le i \le q, \ 1 \le j \le 3 \} \\ &- E = \{ ([i,j], [k,l]) \mid i = k \text{ or } y_{ij} = \neg y_{kl} \} \end{aligned}$$

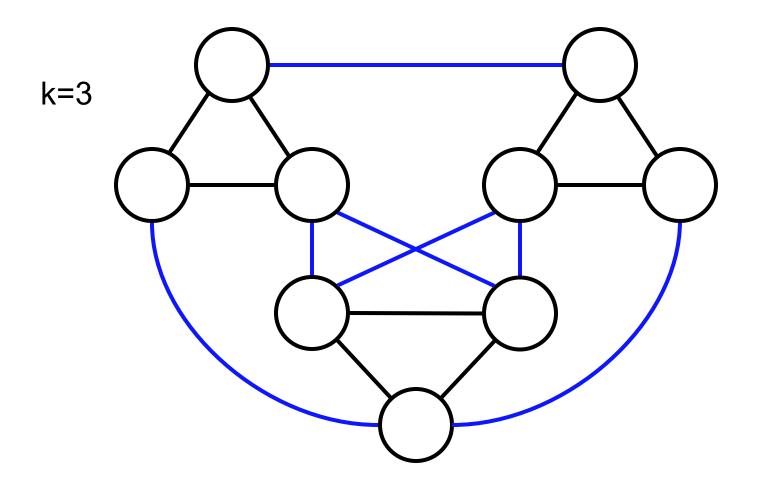






Satisfiable? k-Independent set?





Correctness of " $3SAT \leq_p IndpSet$ "

Summary of reduction function f: Given formula, make graph G with one group per clause, one node per literal. Connect each to all nodes in same group; connect all complementary literal pairs $(x, \neg x)$. Output graph G plus integer k = number of clauses. Note: f does not know whether formula is satisfiable or not; does not know if G has k-IndpSet; does not try to find satisfying assignment or set.

Correctness:

• Show f poly time computable: A key point is that graph size is polynomial in formula size; mapping basically straightforward.

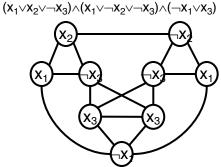
• Show c in 3-SAT iff f(c)=(G,k) in IndpSet:

(\Rightarrow) Given an assignment satisfying c, pick one true literal per clause. Add corresponding node of each triangle to set. Show it is an IndpSet: I per triangle never conflicts w/ another in same triangle; only true literals (but perhaps not all true literals) picked, so not both ends of any (x, \neg x) edge.

(\Leftarrow) Given a k-Independent Set in G, selected labels define a valid (perhaps partial) truth assignment since no (x, \neg x) pair picked. It satisfies c since there is one selected node in each clause triangle (else some other clause triangle has > I selected node, hence not an independent set.)

Utility of "3SAT \leq_p IndpSet"

Suppose we had a fast algorithm for IndpSet, then we could get a fast algorithm for 3SAT:



Given 3-CNF formula w, build Independent Set instance y = f(w) as above, run the fast IS alg on y; say "YES, w is satisfiable" iff IS alg says "YES, y has a Independent Set of the given size"

On the other hand, *suppose* no fast alg is possible for 3SAT, then we know none is possible for Independent Set either.

" $3SAT \leq_p IndpSet$ " Retrospective

Previous slides: two suppositions

Somewhat clumsy to have to state things that way.

Alternative: abstract out the key elements, give it a name ("polynomial time mapping reduction"), then properties like the above always hold.

Reduction, II

Polynomial time "mapping" reduction

Decision Problems & Notation

Most of NP theory is framed for *decision problems*, i.e., problems for which the desired answer is YES/NO, e.g.

- "Is there a satisfying assignment for formula f?" or
- "Does graph G have an independent set of size k?" (As opposed to, say, "find such an assignment/set." Why? It's simpler.)

Notation: for a decision problem A, we view A as the set of YES instances: i.e., " $x \in A$ " means "x is a YES instance of A". E.g., examples above become:

- " $f \in SAT$?" and
- "(G, k) \in IndpSet ?"

Polynomial-Time Reductions

Definition: Let A and B be two decision problems. A is polynomially (mapping) reducible to B ($A \leq_p B$) if there exists a polynomial-time algorithm f that converts each instance x of problem A to an instance f(x) of B such that:

x is a YES instance of A iff f(x) is a YES instance of B

$$x \in A \iff f(x) \in B$$

The notation " $A \leq_p B$ " is meant to suggest "A is easier than B", or more precisely, "A is not more than polynomially harder than B"

Polynomial-Time Reductions (cont.)

Why the notation?

Defn: $A \leq_{D} B$ "A is polynomial-time reducible to B," iff there is a polynomial-time computable function f such that: $x \in A \iff f(x) \in B$ polynomial "complexity of A" ≤ "complexity of B" + "complexity of f" Theorem: (I) $A \leq_{D} B$ and $B \in P \implies A \in P$ (2) $A \leq_{D} B$ and $A \notin P \implies B \notin P$ (3) $A \leq_{D} B$ and $B \leq_{D} C \implies A \leq_{D} C$ (transitivity)

Another Example Reduction

SAT to Subset Sum (Knapsack)

Subset-Sum, AKA Knapsack

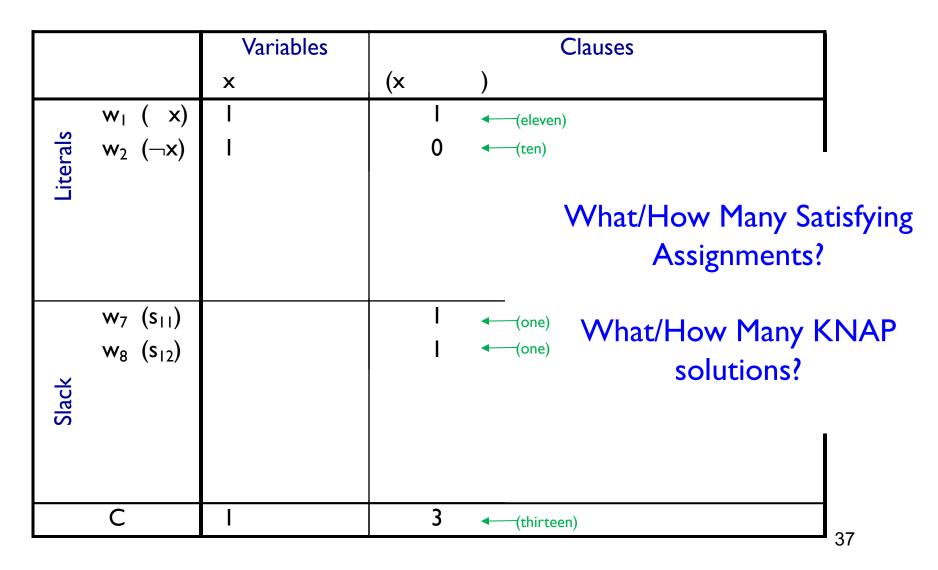
 $KNAP = \{ (w_1, w_2, ..., w_n, C) \mid a \text{ subset of the } w_i \text{ sums to } C \}$ Positive integers

 w_i 's and C encoded in radix $r \ge 2$. (Decimal used in following example.)

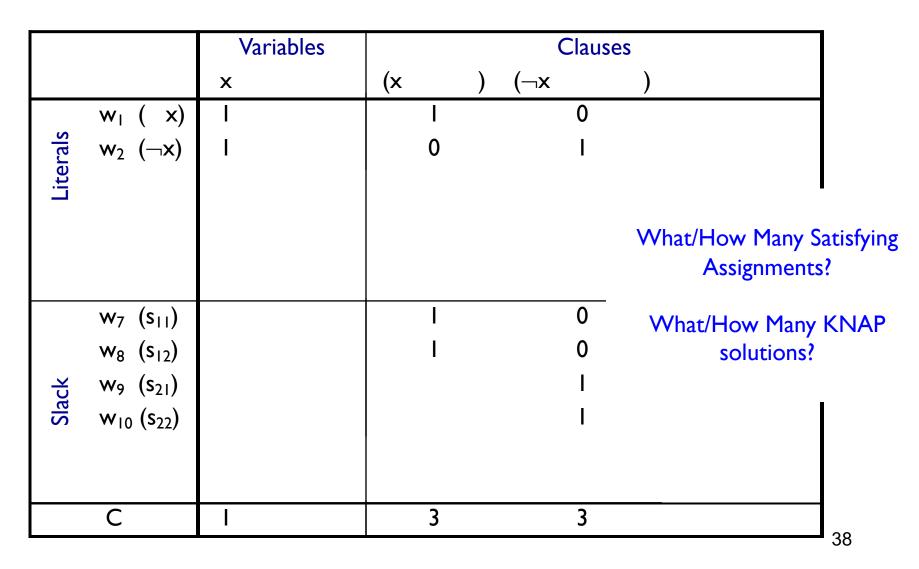
Theorem: 3-SAT \leq_P KNAP

Pf: given formula with p variables & q clauses, build KNAP instance with $2(p+q) w_i$'s, each with (p+q) decimal digits. See examples below.

Formula: (x)



Formula: (x) \land (\neg x)



Formula: (x _\

(X	\vee	Y	\vee	Z)	
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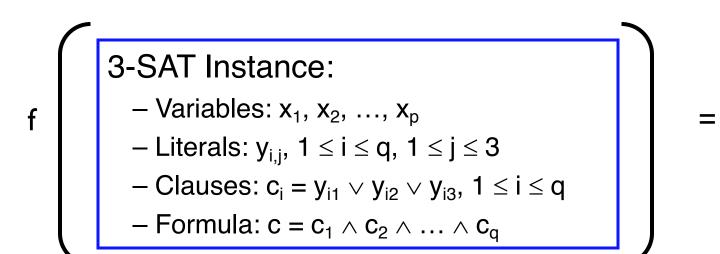
	V	ariable	es		Clauses
	x	у	z	$(x \lor y \lor z)$	
w ₁ (x)	I	0	0	I	
w₂ (¬x)	Ι	0	0	0	
w ₃ (y)		Ι	0	1	
w₄ (¬y)		Ι	0	0	What/How Many Satisfying
w ₅ (z)			Ι	I	Assignments?
w ₆ (¬z)			Ι	0	0
w ₇ (s ₁₁)				I	What/How Many KNAP
w ₈ (s ₁₂)				I	-
					solutions?
С	I	I	Ι	3	39
	$w_{2} (\neg x) \\ w_{3} (y) \\ w_{4} (\neg y) \\ w_{5} (z) \\ w_{6} (\neg z) \\ w_{7} (s_{11}) \\ w_{8} (s_{12}) $	$\begin{array}{c c c} & \mathbf{x} \\ \hline \mathbf{w}_1 & (\mathbf{x}) & \mathbf{I} \\ \mathbf{w}_2 & (\neg \mathbf{x}) & \mathbf{I} \\ \mathbf{w}_3 & (\mathbf{y}) & \\ \mathbf{w}_3 & (\mathbf{y}) & \\ \mathbf{w}_4 & (\neg \mathbf{y}) & \\ \mathbf{w}_5 & (\mathbf{z}) & \\ \mathbf{w}_6 & (\neg \mathbf{z}) & \\ \hline \mathbf{w}_7 & (\mathbf{s}_{11}) & \\ \mathbf{w}_8 & (\mathbf{s}_{12}) & \\ \end{array}$	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	$\begin{array}{ c c c c c c c c } \hline x & y & z & (x \lor y \lor z) \\ \hline w_1 & (x) & I & 0 & 0 & I \\ w_2 & (\neg x) & I & 0 & 0 & 0 \\ w_3 & (y) & I & 0 & 1 & 0 \\ w_4 & (\neg y) & I & 0 & 0 & 0 \\ w_5 & (z) & I & 0 & 0 & 0 \\ w_5 & (z) & I & 0 & 0 & 0 \\ w_6 & (\neg z) & I & 0 & 0 & 0 \\ \hline w_7 & (s_{11}) & & I & 1 & 0 \\ w_8 & (s_{12}) & & I & I & 0 \\ \hline & & & & & I & 0 & 0 \\ \hline & & & & & & I & 0 & 0 \\ \hline & & & & & & I & 0 & 0 \\ \hline & & & & & & & I & 0 & 0 \\ \hline & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & & & & & I & 0 & 0 \\ \hline & & & & & & & & & & & & & & I & 0 \\ \hline & & & & & & & & & & & & & & & & & &$

 $\text{Formula:} (\mathsf{x} \lor \mathsf{y} \lor \mathsf{z}) \land (\neg \mathsf{x} \lor \mathsf{y} \lor \neg \mathsf{z}) \land (\neg \mathsf{x} \lor \neg \mathsf{y} \lor \mathsf{z})$

		Variables			Clauses		
		х	у	z	$(x \lor y \lor z)$	$(\neg x \lor y \lor \neg z)$	$(\neg x \lor \neg y \lor z)$
Literals	w ₁ (x)	I	0	0	I	0	0
	w₂ (¬x)	Ι	0	0	0	I	I
	w ₃ (y)		Ι	0		I	0
	w₄ (¬y)		Ι	0	0	0	I
	w ₅ (z)			Ι	I I	0	I
	w ₆ (¬z)			Ι	0	I	0
Slack	w ₇ (s ₁₁)				I	0	0
	w ₈ (s ₁₂)				I	0	0
	w ₉ (s ₂₁)					I	0
	w ₁₀ (s ₂₂)					I	0
	w ₁₁ (s ₃₁)						I
	w ₁₂ (s ₃₂)						I
	С	I			3	3	3

What/How Many Satisfying Assignments/KNAP solutions?

3-SAT \leq_{P} KNAP



KNAP Instance:

- -2(p+q) wi's, each with (p+q) decimal digits, mostly 0
- For the 2p "literal" weights, a single 1 in H.O. p digits marks which variable; 1's in L.O. q digits mark each clause containing that literal.
- Two "slacks" per clause; single 1 marks the clause.
- Knapsack Capacity C = 11..133..3 (p 1's, q 3's)

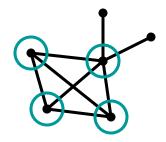
Correctness

- Poly time for reduction is routine; details omitted. Note that it does not look at satisfying assignment(s), if any, nor at subset sums (but the problem instance it builds captures one via the other...)
- If formula is satisfiable, select the literal weights corresponding to the true literals in a satisfying assignment. If that assignment satisfies k literals in a clause ($1 \le k \le 3$), also select (3 - k) of the "slack" weights for that clause. (note $0 \le 3 - k \le 2$, so this is possible.) Total = C.
- Conversely, suppose KNAP instance has a solution. Columns are decoupled since ≤ 5 one's per column, so no "carries" in sum (recall – weights are decimal). Since H.O. p digits of C are I, exactly one of each pair of literal weights included in the subset, so it defines a valid assignment. Since L.O. q digits of C are 3, but at most 2 "slack" weights contribute to each, at least one of the selected literal weights must be 1 in that clause, hence the assignment satisfies the formula.

Decision vs Search Problems

The Clique Problem

Given: a graph G=(V,E) and an integer k Question: is there a subset U of V with $|U| \ge k$ such that every pair of vertices in U is joined by an edge.



E.g., if nodes are web pages, and edges join "similar" pages, then pages forming a clique are likely to be about the same topic

Decision Problems

Computational complexity commonly analyzed using decision problems

Answer is just 1 or 0 (yes or no).

Why?

Much simpler to deal with

Deciding whether G has a k-clique, is certainly no harder than *finding* a k-clique in G, so a lower bound on deciding is also a lower bound on finding Less important, but if you have a good decider, you can often use it to get a good finder. (Ex.: does G still have a k-clique after I remove this vertex?) 45

Some Convenient Technicalities

"Problem" – the general case

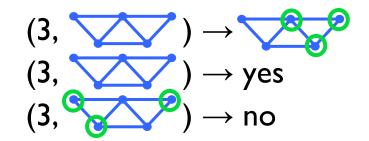
- Ex: The Clique Problem: Given a graph G and an integer k, does G contain a k-clique?
- "Problem Instance" one specific case Ex: Does contain a 4-clique? (no) Ex: Does contain a 3-clique? (yes)

Some Convenient Technicalities

Three kinds of problem:

Search: Find a k-clique in G

Decision: Is there a k-clique in G (3, Verification: Is this a k-clique in G (3, Cartal Content of Content of



Problems as Sets of "Yes" Instances Ex: CLIQUE = { (G,k) | G contains a k-clique } E.g., (, 4) ∉ CLIQUE E.g., (, 3) ∈ CLIQUE

But we'll sometimes be a little sloppy and use CLIQUE to mean the associated search problem

Beyond P

SAT and 3SAT

Satisfiability: A Boolean formula in conjunctive normal form (CNF) is satisfiable if there exists an assignment of 0's and 1's to its variables such that the value of the expression is 1.

Example:

$$S=(x \lor y \lor \neg z) \land (\neg x \lor y \lor z) \land (\neg x \lor \neg y \lor \neg z)$$

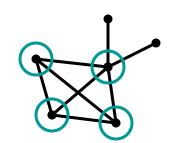
Example above is satisfiable. (E.g., set x=y=1, z=0.)

SAT = the set of satisfiable CNF formulas

3SAT = ... having at most 3 literals per clause

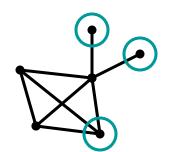
Clique:

Pairs $\langle G, k \rangle$, where G=(V,E) is a graph and k is an integer k, for which there is a subset U of V with $|U| \ge k$ such that every pair of vertices in U is joined by an edge.



Independent-Set:

Pairs $\langle G, k \rangle$, where G=(V,E) is a graph and k is an integer, for which there is a subset U of V with $|U| \ge k$ such that *no* pair of vertices in U is joined by an edge.



Euler Tour:

Graphs G=(V,E) for which there is a cycle traversing each edge once.

Hamilton Tour:

Graphs G=(V,E) for which there is a simple cycle of length |V|, i.e., traversing each vertex once.

TSP:

Pairs $\langle G,k \rangle$, where G=(V,E,w) is a a weighted graph and k is an integer, such that there is a Hamilton tour of G with total weight $\leq k$.

Short Path:

4-tuples $\langle G, s, t, k \rangle$, where G=(V,E) is a digraph with vertices s, t, and an integer k, for which there is a path from s to t of length $\leq k$

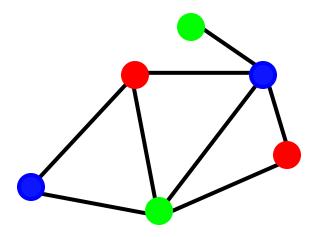
Long Path:

4-tuples $\langle G, s, t, k \rangle$, where G=(V,E) is a digraph with vertices s, t, and an integer k, for which there is an acyclic path from s to t of length $\geq k$

3-Coloring:

Graphs G=(V,E) for which there is an assignment of at most 3 colors to the vertices in G such that no two adjacent vertices have the same color.

Example:



Beyond P?

There are many natural, practical problems for which we don't know any polynomial-time algorithms:

e.g., SAT, IndpSet, CLIQUE, KNAP, TSP, ...

e.g., most of others above (excl: shortpath, Euler)

Lack of imagination or intrinsic barrier?

And what, if anything, do they have in common?

NP

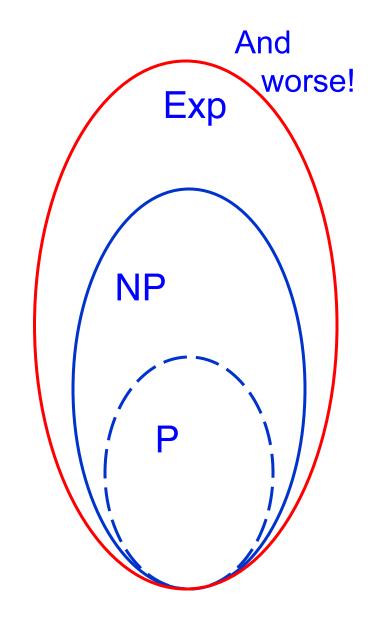
Roadmap

Not every problem is easy (in P)

Exponential time is bad

Worse things happen, too

There is a very commonly-seen class of problems, called NP, that appear to require exponential time (but unproven)



Review: Some Problems

Clique Independent Set Euler Tour Hamilton Tour TSP 3-Coloring Partition Satisfiability Short Paths Long Paths

All superficially different, but –

All of the form: Given input X, is there a Y with property Z? Furthermore, if I had a purported Y, I could quickly test whether it had property Z

Common property of these problems: Discrete Exponential Search Loosely-find a needle in a haystack

"Answer" to a decision problem is literally just yes/no, but there's always a somewhat more elaborate "solution" (aka "hint" or "certificate"; what the search version would report) that *transparently*[‡] justifies each "yes" instance (and only those) – but it's *buried in an exponentially large search space of potential solutions*.

[‡]*Transparently* = verifiable in polynomial time

Defining NP: The Idea

NP consists of all decision problems where

Can verify YES answers efficiently (in polynomial time) given a short (polynomial-size) hint

And

_ one among exponentially many; "know it when you see it"

No hint can fool your polynomial time verifier into saying YES for a NO instance

Defining NP: formally

A decision problem L is in NP iff there is a polynomial time procedure v(-,-), (the "verifier") and an integer q such that

for every $x \in L$ there is a "hint" h with $|h| \le |x|^q$ such that v(x,h) = YES and

for every $x \notin L$ there is *no* hint *h* with $|h| \leq |x|^q$ such that v(x,h) = YES ("Hints," sometimes called "certificates," or "witnesses", are just strings. Think of them as exactly what the search version would output.)

Note 1: a problem is "in NP" if it can be *posed* as an exponential search problem, even if there may be other ways to *solve* it.

Note 2: the defn is not quickly actionable without a way to find *h*.

Example: Clique

"Is there a k-clique in this graph?"

any subset of k vertices might be a clique

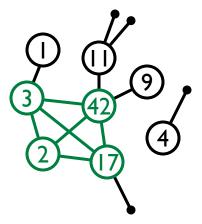
there are many such subsets, but I only need to find one

if I knew where it was, I could describe it succinctly, e.g. "look at the k vertices 2, 3, 17, 42, ...",

I'd know one if I saw one: "yes, there are edges between 2 & 3, 2 & 17,... so it's a k-clique"

this can be quickly checked

And if there is *no k*-clique, I wouldn't be fooled by a statement like "look at vertices 2, 3, 17, 42, …" ("Ha! No edge from 3 to 17!")



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More Formally: CLIQUE is in NP

```
procedure v(x,h)
  if
     x is a well-formed representation of a
                                                           Say, edge list &
     graph G = (V, E) and an integer k,
                                                          decimal number
  and
     h is a well-formed representation of a
                                                         Say, length |V| 0-1
                                                           vector w/ k l's
     k-vertex subset U of V.
                          \forall x,y \in U, is (x,y) \in E...
  and
     U is a clique in G,
                                         Important note: this answer
                                         does NOT mean x \notin CLIQUE;
  then output "YES"
                                         just means this h isn't a k-clique
  else output "l'm unconvinced"
                                         (but some other might be).
                                                                         62
```

Time O(n²)

ls it correct?

For every x = (G,k) such that G contains a k-clique, there is a hint h that will cause v(x,h) to say YES, namely h = a list of the vertices in such a k-clique and

No hint can fool v into saying yes if either x isn't well-formed (the uninteresting case) or if x = (G,k)but G does not have any cliques of size k (the interesting case)

And |h| < |x| and v(x,h) takes time ~ $(|x|+|h|)^2$

IndpSet is in NP

```
procedure v(x,h)
 if
    x is a well-formed representation of a graph
    G = (V, E) and an integer k,
 and
    h is a well-formed representation of a k-vertex
    subset U of V,
 and
    U is an Indp Set in G,
                                     Important note: this answer does
 then output "YES"
                                     NOT mean x ∉ IndpSet; just
 else output "l'm unconvinced"
                                     means this h isn't a k-IndpSet
                                     (but some other might be).
```

Is it correct?

For every x = (G,k) such that G contains a k-IndpSet, there is a hint h that will cause v(x,h) to say YES, namely h = a list of the vertices in such a set and

No hint can fool v into saying yes if either x isn't well-formed (the uninteresting case) or if x = (G,k)but G does not have any Indp Set of size k (the interesting case)

And |h| < |x| and v(x,h) takes time ~ $(|x|+|h|)^2$

Example: SAT

"Is there a satisfying assignment for this Boolean formula?"

any assignment might work

there are lots of them

I only need one

if I had one I could describe it succinctly, e.g., " x_1 =T, x_2 =F, ..., x_n =T"

I'd know one if I saw one: "yes, plugging that in, I see formula = T..." and this can be quickly checked

And if the formula is unsatisfiable, I wouldn't be fooled by , " x_1 =T,

x₂=F, ..., x_n=F"

More Formally: SAT \in NP

Hint: the satisfying assignment A

Verifier: v(C, A) = syntax(C, A) & satisfies(C, A)

Syntax: True iff C is a well-formed CNF formula & A is a truth-assignment to its variables

Satisfies: plug A into C; check that it evaluates to True

Correctness:

If C is satisfiable, it has some satisfying assignment A, and we'll recognize it

If C is unsatisfiable, it doesn't, and we won't be fooled

Analysis: |A| < |C|, and time for $v(C,A) \sim \text{linear}$ in |C|+|A|

Short Path

"Is there a short path (< k) from s to t in this graph?"

- Any path might work
- There are lots of them
- I only need one
- If I knew one I could describe it succinctly, e.g., "go from s to node 2, then node 42, then ... "
- I'd know one if I saw one: "yes, I see there's an edge from s to 2 and from 2 to 42... and the total length is < k"
- And if there isn't a short path, I wouldn't be fooled by, e.g., "go from s to node 2, then node 42, then ... "

Long Path

"Is there a long (acyclic) path (> k) from s to t in this graph?"

- Any path might work
- There are lots of them
- I only need one

If I knew one I could describe it succinctly, e.g., "go from s to node 2, then node 42, then ... "

I'd know one if I saw one: "yes, I see there's an edge from s to 2 and from 2 to 42..., no dups, & total length is > k"

And if there isn't a long path, I wouldn't be fooled by, e.g., "go from s to node 2, then node 42, then ... "

Keys to showing that a problem is in NP

What's the output? (must be YES/NO)

What's the input? Which are YES?

For every given YES input, is there a hint that would help, i.e. allow verification in polynomial time? Is it polynomial length?

OK if some inputs need no hint

For any given NO input, is there a hint that would trick you?

Two Final Points About "Hints"

- I. Hints/verifiers aren't unique. The "... there is a ..." framework often suggests their form, but many possibilities "is there a clique" could be verified from its vertices, or its edges, or all but 3 of each, or all non-vertices, or... Details of the hint string, the verifier and its time bound all shift, but same bottom line.
- 2. In NP doesn't prove its hard

"Short Path" or "Small Spanning Tree" or "Large Flow" can be formulated as "...there is a...," but, due to very special structure of these problems, we can quickly find the solution even without a hint. The mystery is whether that's possible for the other problems, too.

Contrast: problems not in NP (probably)

Rather than "there is a..." maybe it's "no..." or "for all..." or "the smallest/largest..." E.g.

UNSAT: "no assignment satisfies formula," or "for all assignments, formula is false"

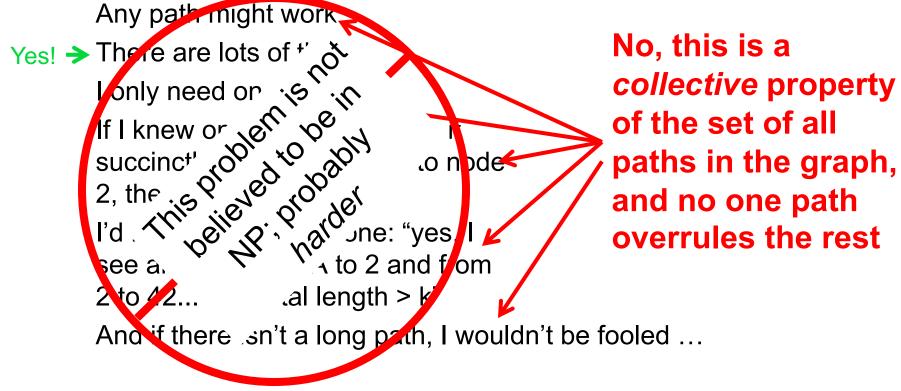
Or

NOCLIQUE: "every subset of k vertices is not a k-clique" MAXCLIQUE: "the largest clique has size k"

Unlikely that a single, short hint is sufficiently informative to allow poly time verification of properties like these (but this is also an important open problem).

Another Contrast: Mostly Long Paths

"Are the *majority* of paths from s to t long (>k)?"



Problems in P can also be verified in polynomial-time

Short Path: Given a graph G with edge lengths, is there a path from s to t of length $\leq k$?

Verify: Given a purported path from s to t, is it a path, is its length $\leq k$?

Small Spanning Tree: Given a weighted undirected graph G, is there a spanning tree of weight $\leq k$? Verify: Given a purported spanning tree, is it a spanning tree, is its weight $\leq k$?

(But the hints aren't really needed in these cases...)

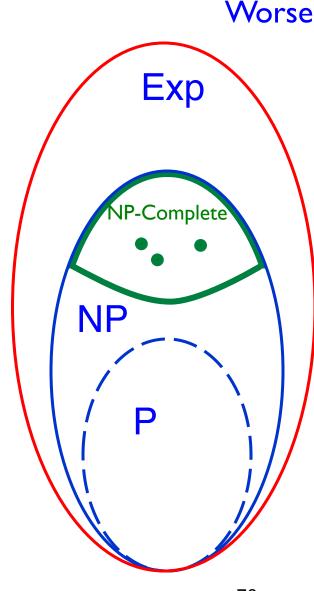
NP-completeness

NP-Completeness

Definition: Problem B is NP-complete if: (1) B belongs to NP, and

(2) every problem in NP is polynomially reducible to B.

Intuitively, these are the "hardest problems" in NP They are also all deeply related solving any solves them all!



Worse

Exp

NP-Complet

Ρ

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NP

NP-completeness (cont.)

Thousands of important problems have been shown to be NP-complete.

The general belief is that there is no efficient algorithm for any NP-complete problem, but no proof of that belief is known.

Examples: SAT, clique, vertex cover, IndpSet, Ham tour, TSP, bin packing... Basically, everything we've seen that's in NP but not known to be in P

Alt way to prove NP-completeness

Lemma: Problem B is NP-complete iff:

(I) B belongs to NP, and

(2') Some NP-complete problem A is polynomialtime reducible to B.

That is, to show NP-completeness of a new problem B in NP, it suffices to show that SAT or any other NP-complete problem is polynomial-time reducible to B.

Ex: IndpSet is NP-complete

3-SAT is NP-complete (S. Cook; see below) 3-SAT \leq_p IndpSet IndpSet is in NP Therefore IndpSet is also NP-complete

So, poly-time algorithm for IndpSet would give polytime algs for *everything* in NP

Ditto for KNAP, 3COLOR, ...

Cook's Theorem

SAT is NP-Complete

Cook's Theorem

Theorem: Every problem in NP is reducible to SAT

Proof Sketch: SAT assignment = hint; formula = verifier.

Generic "NP" problem: is there a poly size "hint," verifiable in poly time

Encode "hint" using Boolean variables. SAT mimics "is there a hint" via "is there an assignment". The "verifier" runs on a digital computer, and digital computers just do Boolean logic. "SAT" can mimic that, too, hence can verify that the assignment *actually* encodes a hint the verifier would accept.

"SAT": is there an assignment (the hint) satisfying the formula (the verifier)

Pf uses *generic* NP problems, but a few specific examples will give the flavor

$$\textbf{3-Coloring} \leq_{p} \textbf{SAT}$$

Given G = (V, E) \forall i in V, variables r_i, g_i, b_i encode color of i

$$\begin{array}{l} \Lambda_{i \in V} \left[\left(r_{i} \lor g_{i} \lor b_{i} \right) \land \\ \left(\neg r_{i} \lor \neg g_{i} \right) \land \left(\neg g_{i} \lor \neg b_{i} \right) \land \left(\neg b_{i} \lor \neg r_{i} \right) \right] \land \\ \downarrow \\ \Lambda_{(i,j) \in E} \left[\left(\neg r_{i} \lor \neg r_{j} \right) \land \left(\neg g_{i} \lor \neg g_{j} \right) \land \left(\neg b_{i} \lor \neg b_{j} \right) \right] \end{array}$$

adj nodes ⇔ diff colors
no node gets 2
every node gets a color

Equivalently: $(\neg(r_i \land g_i)) \land (\neg(g_i \land b_i)) \land (\neg(b_i \land r_i)) \land$ $\land_{(i,j) \in E} [(r_i \Rightarrow \neg r_j) \land (g_i \Rightarrow \neg g_j) \land (b_i \Rightarrow \neg b_j)]$

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Independent Set \leq_p SAT

Given G = (V, E) and k \forall i in V, variable x_i encodes inclusion of i in IS

 \mathbf{L}

$$\Lambda_{(i,j) \in E} (\neg x_i \lor \neg x_j) \land \text{``number of True } x_i \text{ is } \geq k \text{''} \checkmark$$

every edge has one end or other not in IS (no edge connects 2 in IS) possible in 3 CNF, but technically messy, so details omitted; basically, count 1's

Knapsack $\leq_p SAT$

Given weights $w_1, w_2, ..., w_n$ and C $I \le i \le n$, variable x_i encodes inclusion of w_i in sum $\leftarrow \frac{1}{2}$ Plus b*n variables $y_{i,i}$, where b = # of bits in w_i 's

$$(A_{(i,j)}(y_{i,j} = ((j-th bit of w_i) \land x_i))) \land (\Sigma y_{i,j} = C) \land (J-th bit of w_i) \land (\Sigma y_{i,j} = C) \land (J-th bit of w_i) \land (\Sigma y_{i,j} = C) \land (J-th bit of w_i) \land (\Sigma y_{i,j} = C) \land (J-th bit of w_i) \land (\Sigma y_{i,j} = C) \land (J-th bit of w_i) \land (\Sigma y_{i,j} = C) \land (J-th bit of w_i) \land (\Sigma y_{i,j} = C) \land (J-th bit of w_i) \land (\Sigma y_{i,j} = C) \land (J-th bit of w_i) \land (\Sigma y_{i,j} = C) \land (J-th bit of w_i) \land (\Sigma y_{i,j} = C) \land (J-th bit of w_i) \land (\Sigma y_{i,j} = C) \land (J-th bit of w_i) \land (\Sigma y_{i,j} = C) \land (J-th bit of w_i) \land (J-th bit of w_i)$$

y_{i,j}'s encode bits of selected weights adds n binary numbers possible in 3 CNF, but technically messy, so details omitted

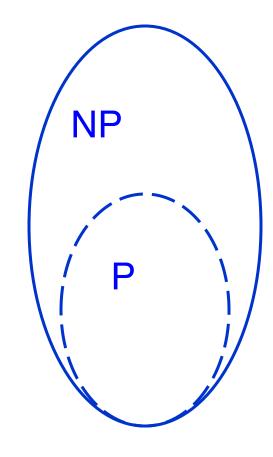
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Relating P to NP

Complexity Classes

NP = Polynomial-time verifiable

- P = Polynomial-time solvable
- P ⊆ NP: "verifier" is just the P-time alg; ignore "hint"



Solving NP problems without hints

The most obvious algorithm for most of these problems is brute force:

- try all possible hints; check each one to see if it works. Exponential time:
 - 2ⁿ truth assignments for n variables
 - n! possible TSP tours of n vertices

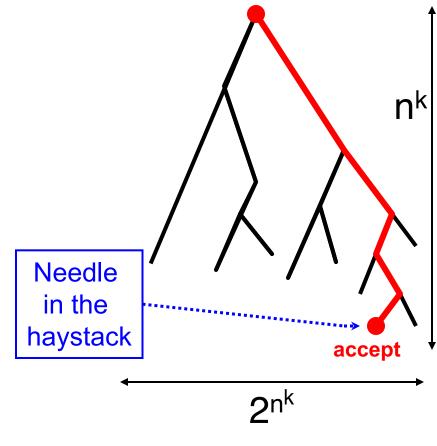
 $\binom{n}{k}$ possible k element subsets of n vertices, perhaps k = log n or n/3 etc.

...and to date, every alg, even much less-obvious ones, are slow, too

P vs NP vs Exponential Time

Theorem: Every problem in NP can be solved (deterministically) in exponential time

Proof: "hints" are only n^k long; try all 2^{n^k} possibilities, say, by backtracking. If any succeed, answer YES; if all fail, answer NO.



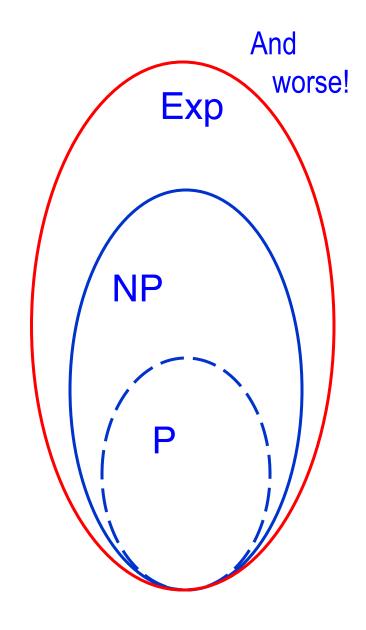
P and NP

Every problem in P is in NP

one doesn't even need a hint for problems in P so just ignore any hint you are given

Every problem in NP is in exponential time

I.e., $P \subseteq NP \subseteq Exp$ We know $P \neq Exp$, so either $P \neq NP$, or $NP \neq Exp$ (most likely both)



Does P = NP?

This is the big open question!

To show that P = NP, we have to show that every problem that belongs to NP can be solved by a polynomial time deterministic algorithm. Would be very cool, but no one has shown this yet.

(And it seems unlikely to be true.)

More History – As of 1970

Many of the above problems had been studied for decades

All had real, practical applications

None had poly time algorithms; exponential was best known

But, it turns out they all have a very deep similarity under the skin

Some Problem Pairs

Euler Tour 2-SAT 2-Coloring Min Cut Shortest Path Hamilton Tour 3-SAT 3-Coloring Max Cut Longest Path Superficially different; similar computationally

Similar pairs; seemingly different computationally

Polynomial Time Reduction, III

Two definitions of "A \leq_p B"

Book uses general definition: "could solve A in poly time, if I had a poly time *subroutine* for B."

Examples on previous slides are special case:

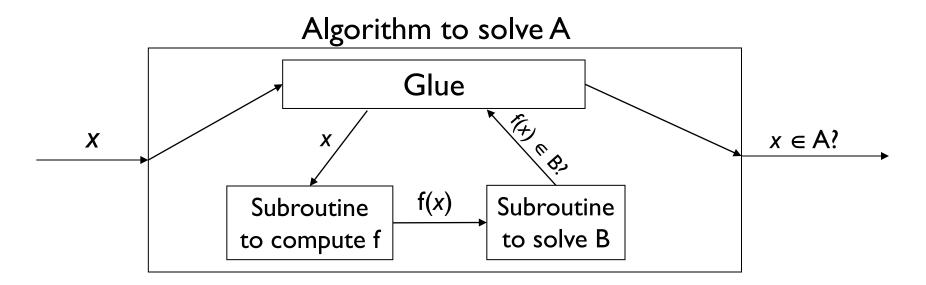
• call the subroutine once, report its answer.

This special case is used in ~98% of all reductions

Largely irrelevant for this course, but if you seem to need 1st defn, e.g. on HW, fine, but there's perhaps a simpler way...

Cook

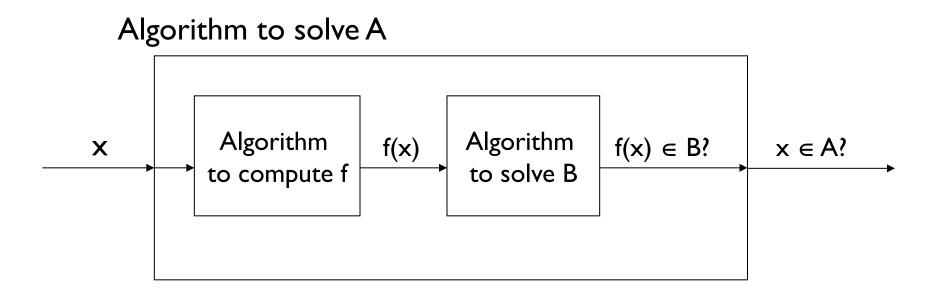
Using an Algorithm for B to Solve A



"If $A \leq_P B$, and we can solve B in polynomial time, then we can solve A in polynomial time also."

Key issue: Can we (quickly) turn an A-instance x into one (or more) B-instance(s) f(x) so that answer(s) to " $f(x) \in B$ " help us decide $x \in A$ "?

Using an Algorithm for B to Solve A



"If $A \leq_P B$, and we can solve B in polynomial time, then we can solve A in polynomial time also."

Ex: suppose f takes $O(n^3)$ and algorithm for B takes $O(n^2)$. How long does the above algorithm for A take?

P vs NP

Theory P = NP ? Open Problem! I bet against it

Practice

Many interesting, useful, natural, well-studied problems known to be NP-complete With rare exceptions, no one routinely finds exact solutions to large,

arbitrary instances

P vs NP: Summary so far

P = "poly time solvable"

NP = "poly time verifiable" (nondeterministic poly time solvable)

Defined only for *decision* problems, but fundamentally about search: can cast many problems as searching for a poly size, poly time verifiable "solution" in a 2^{poly} size "search space."

Examples:

- is there a big clique? Space = all big subsets of vertices; solution = one subset; verify = check all edges
- is there a satisfying assignment? Space = all assignments; solution = one asgt; verify = eval formula

Sometimes we can do that quickly (is there a small spanning tree?); P = NP would mean we could *always* do it quickly.

More Reductions

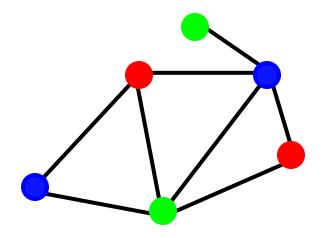
SAT to Coloring

NP-complete problem: 3-Coloring

Input: An undirected graph G=(V,E).

Output: True iff there is an assignment of at most 3 colors to the vertices in G such that no two adjacent vertices have the same color.

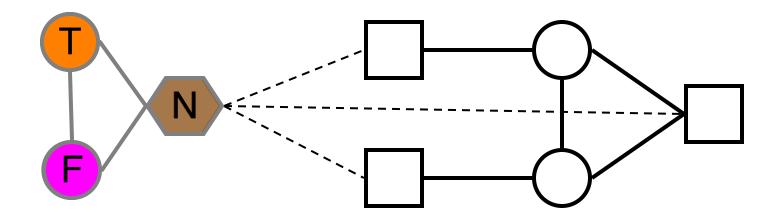
Example:



In NP? Exercise

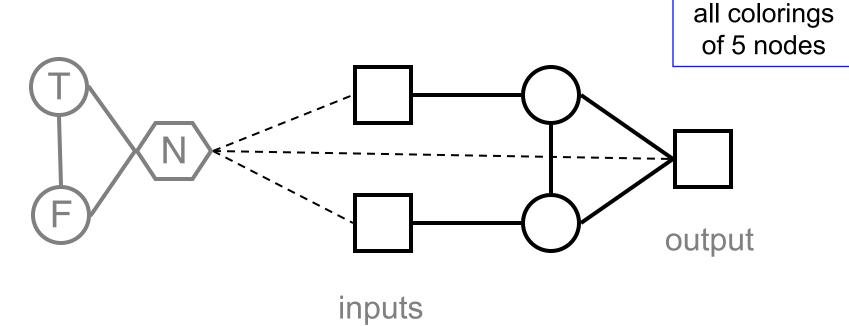
A 3-Coloring Gadget:

In what ways can this be 3-colored?



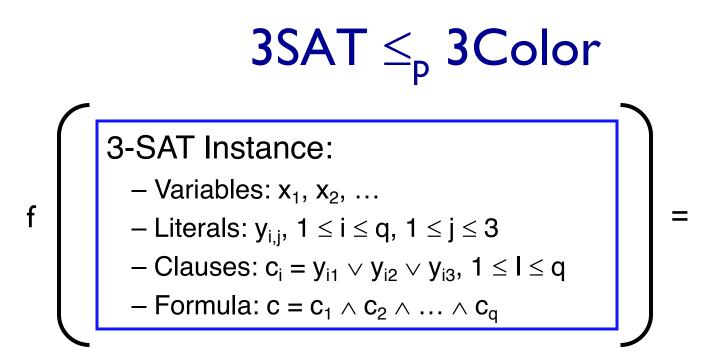
A 3-Coloring Gadget: "Sort of an OR gate"

if output is T, some input must be T if some input is T, output may be T Exercise: find



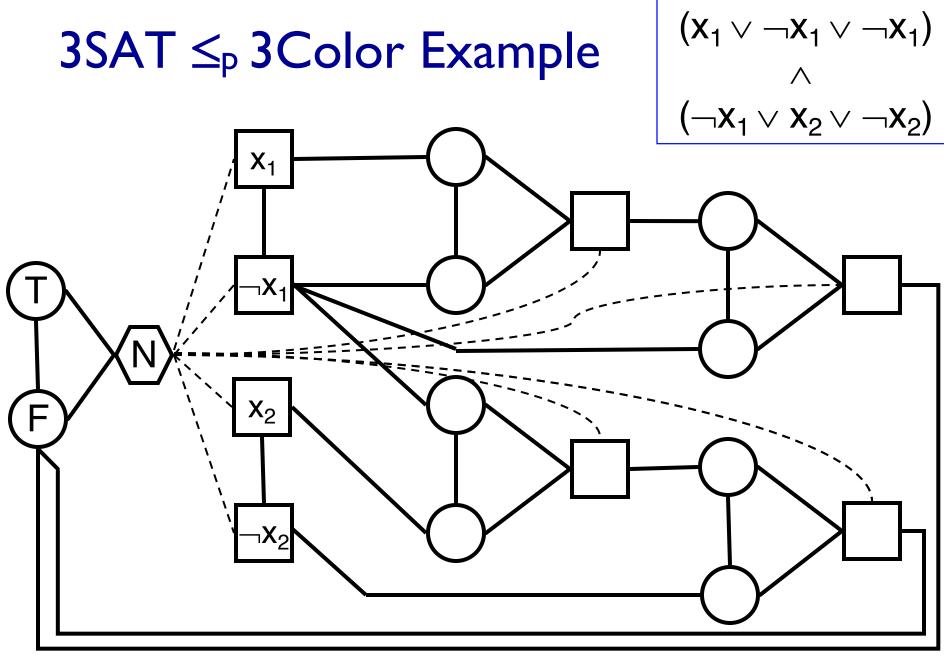
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NB: this is not the same gadget as used in KT 8.7



3Color Instance: -G = (V, E)-6q + 2n + 3 vertices

- 13 q + 3 n + 3 edges
- (See Example for details)



6 q + 2 n + 3 vertices 13 q + 3 n + 3 edges

Correctness of " $3SAT \leq_p 3Coloring$ "

Summary of reduction function f:

Given formula, make G with T-F-N triangle, I pair of literal nodes per variable, 2 "or" gadgets per clause, connected as in example.

Note: again, f does not know or construct satisfying assignment or coloring.

Correctness:

• Show f poly time computable: A key point is that graph size is polynomial in formula size; graph looks messy, but pattern is basically straightforward.

• Show c in 3-SAT iff f(c) is 3-colorable:

(⇒) Given an assignment satisfying c, color literals T/F as per assignment; can color "or" gadgets so output nodes are T since each clause is satisfied. (⇐) Given a 3-coloring of f(c), name colors T-N-F as in example. All square nodes are T or F (since all adjacent to N). Each variable pair (x_i, ¬x_i) must have complementary labels since they're adjacent. Define assignment based on colors of x_i's. Clause "output" nodes must be colored T since they're adjacent to both N & F. By fact noted earlier, output can be T only if at least one input is T, hence it is a satisfying assignment.

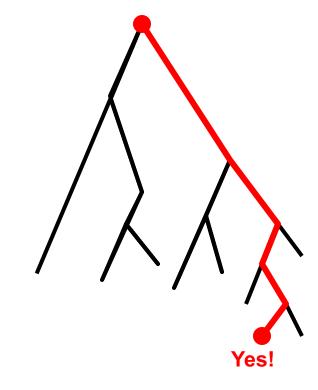
Coping with NP-hardness

Coping with NP-Hardness

- Is your real problem a special subcase?
 - E.g. 3-SAT is NP-complete, but 2-SAT is not; ditto 3vs 2-coloring
 - E.g. only need planar-/interval-/degree 3 graphs, trees,...?
- Guaranteed approximation good enough?
 - E.g. Euclidean TSP within 1.5 * Opt in poly time
- Fast enough in practice (esp. if n is small),
- E.g. clever exhaustive search like dynamic programming, backtrack, branch & bound, pruning
- Heuristics usually a good approx and/or fast 107

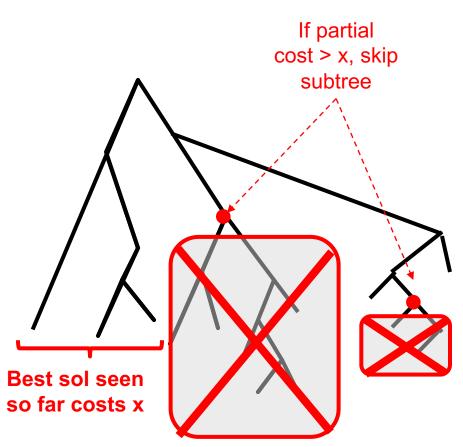
Backtracking

Search problems often naturally described as making a series of choices ("x_i=T or F?"; "Vertex j next in path?" ...). Systematically try one after another, "backtracking" to try next alternative after exhausting subsequent possibilities. If any succeed, answer YES; if all fail, answer NO.



Branch-and-Bound

For many minimization problems, during backtrack search, you can lower-bound the cost of all potential continuations of the search based on "partial" solution so far. If that exceeds best known solution, you can cut out entire subtrees.



NP-complete problem: TSP

Input: An undirected graph G=(V,E) with integer edge weights, and an integer b.

Example: b = 34 7 7 2 4 3 55

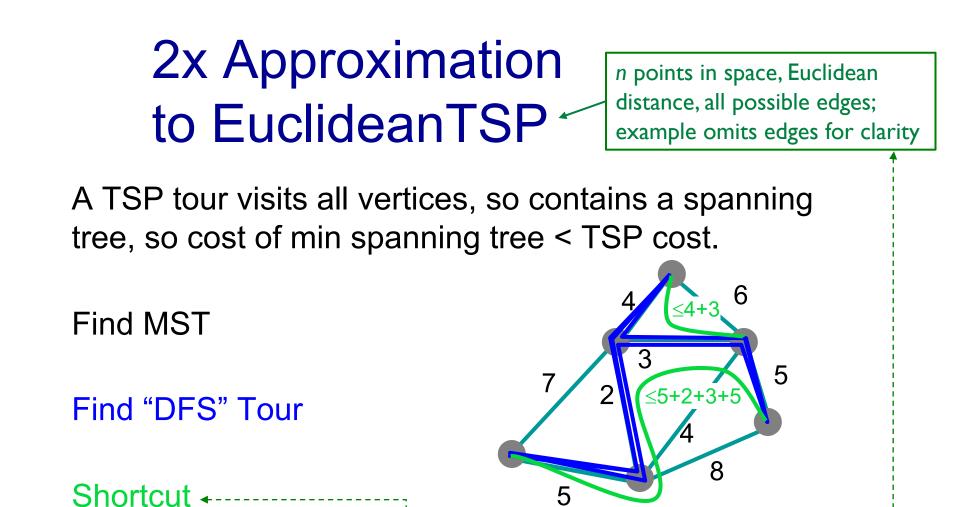
Output: YES iff there is a simple cycle in G passing through all vertices (once), with total cost \leq b.

TSP - Nearest Neighbor Heuristic

Recall NN Heuristic–go to nearest unvisited vertex

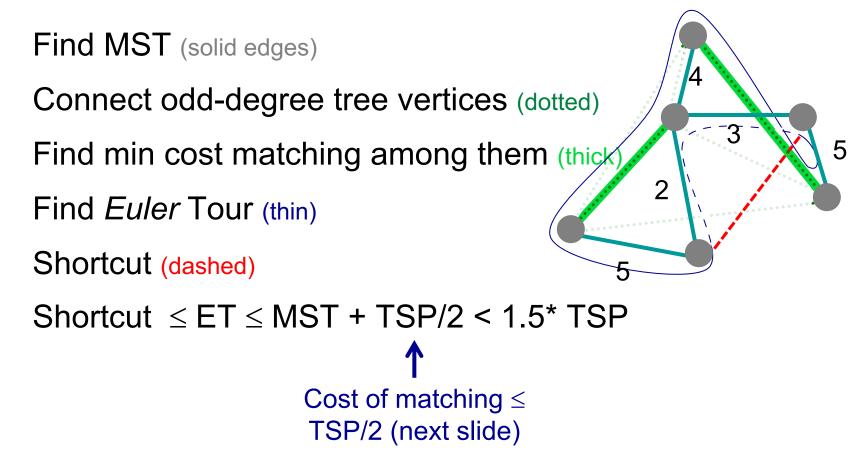
Fact: NN tour can be about (log n) x opt, i.e. $\lim_{n \to \infty} \frac{NN}{OPT} \to \infty$

(above example is not that bad)



TSP \leq shortcut < DFST = 2 * MST < 2 * TSP

1.5x Approximation to EuclideanTSP



Min Matching \leq TSP/2

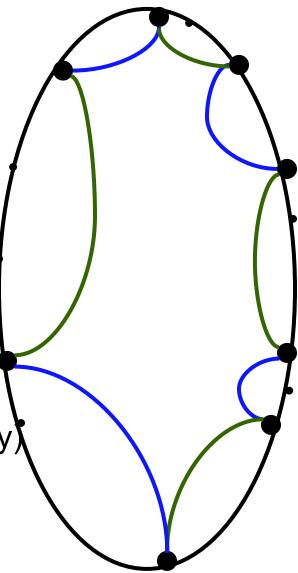
Oval = TSP

Big dots = odd tree nodes (Exercise: show every graph has an even number of odd degree vertices)

Blue, Green = 2 matchings

Blue + Green < TSP (triangle inequality)

So min matching \leq TSP/2



Progress on TSP approximation

This 1.5x approximation was the best know for \approx 35 years

CSE faculty member Shayan Oveis Gharan with collaborators Saberi and Singh improved on this a few years ago; you might enjoy watching the recording of the colloquium he gave on this in April, 2013:

> New Approximation Algorithms for the Traveling Salesman Problem

(http://www.cs.washington.edu/events/colloquia/search/details?id=2360)

P / NP Summary

Ρ

Many important problems are in P: solvable in deterministic polynomial time

Details are the fodder of algorithms courses. We've seen a few examples here, plus many other examples in other courses

Few problems not in P are routinely solved;

For those that are, practice is usually restricted to small instances, or we're forced to settle for approximate, suboptimal, or heuristic "solutions"

A major goal of complexity theory is to delineate the boundaries of what we can feasibly solve

NP

The tip-of-the-iceberg in terms of problems conjectured not to be in P, but a very important tip, because

- a) they're very commonly encountered, probably because
- b) they arise naturally from basic "search" and "optimization" questions.

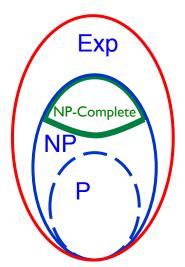
Definition: poly time verifiable;

"guess and check", "is there a..." – are also useful views

Worse

NP-completeness

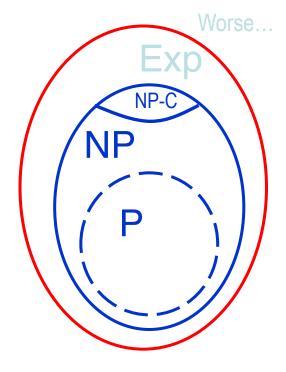
Defn & Properties of \leq_p



A is NP-complete: in NP & everything in NP reducible to A "the hardest problems in NP" "All alike under the skin" Most known natural problems in NP are complete #1: 3CNF-SAT Many others: Clique, IndpSet, 3Color, KNAP, HamPath, TSP, ...

Summary

- Big-O good
- P good
- Exp bad
- Exp, but hints help? NP
- NP-hard, NP-complete bad (I bet)
- To show NP-complete reductions
- NP-complete = hopeless? no, but you need to lower your expectations: heuristics, approximations and/or small instances.



Common Errors in NP-completeness Proofs

Backwards reductions

Bipartiteness \leq_{p} SAT is true, but not so useful.

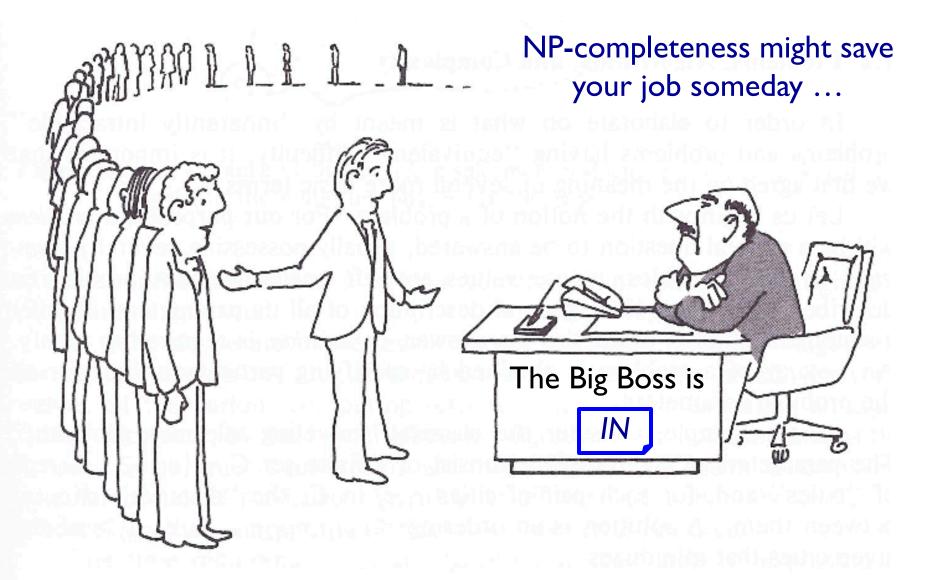
 $(XYZ \leq_p SAT \text{ shows } XYZ \text{ in } NP, \text{ doesn't show it's hard.})$

Slooow Reductions

"Find a satisfying assignment, then output..."

Half Reductions

E.g., delete dashed edges in 3Color reduction. It's still true that "c satisfiable \Rightarrow G is 3 colorable", but 3-colorings don't necessarily give satisfying- (or valid) assignments. E.g., add or delete slacks in KNAP: similar troubles



"I can't find an efficient algorithm, but neither can all these famous people." [Garey & Johnson, 1979]

