CSE 417 Introduction to Algorithms Winter 2006

> NP-Completeness (Chapter 8)

> > 1

#### Some Algebra Problems (Algorithmic)

Given positive integers a, b, c

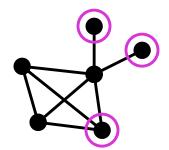
Question 1: does there exist a positive integer x such that ax = c ?

Question 2: does there exist a positive integer x such that  $ax^2 + bx = c$ ?

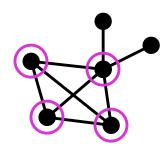
Question 3: do there exist positive integers x and y such that  $ax^2 + by = c$ ?

#### Some Problems

- Independent-Set:
  - Given a graph G=(V,E) and an integer k, is there a subset U of V with IUI ≥ k such that no two vertices in U are joined by an edge.



- Clique:
  - Given a graph G=(V,E) and an integer k, is there a subset U of V with IUI ≥ k such that every pair of vertices in U is joined by an edge.



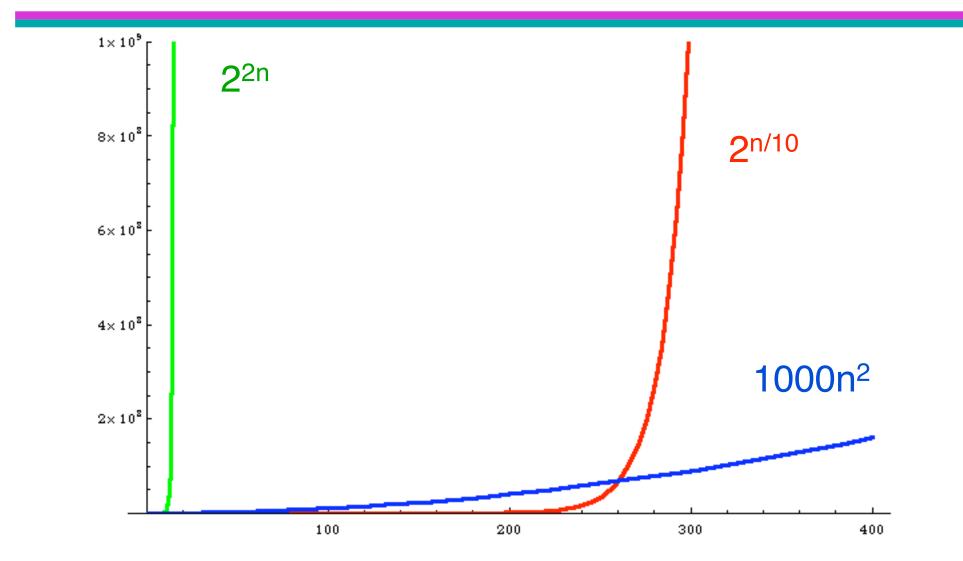
## A Brief History of Ideas

- From Classical Greece, if not earlier, "logical thought" held to be a somewhat mystical ability
- Mid 1800's: Boolean Algebra and foundations of mathematical logic created possible "mechanical" underpinnings
- 1900: David Hilbert's famous speech outlines program: mechanize all of mathematics?
- 1930's: Gödel, Church, Turing, et al. prove it's impossible

## More History

- 1930/40's
  - What is (is not) computable
- 1960/70's
  - 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 vs Exponential Growth



#### Another view of Poly vs Exp

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 <sup>12</sup>	
O(n)	$n_0 \rightarrow 2n_0$	10 <sup>12</sup>	2 x 10 <sup>12</sup>
O(n <sup>2</sup> )	$n_0 \rightarrow \sqrt{2} n_0$	10 <sup>6</sup>	1.4 x 10 <sup>6</sup>
O(n <sup>3</sup> )	$n_0 \rightarrow 3\sqrt{2} n_0$	10 <sup>4</sup>	1.25 x 10 <sup>4</sup>
2 <sup>n /10</sup>	$n_0 \rightarrow n_0 + 10$	400	410
2 <sup>n</sup>	$n_0 \rightarrow n_0 + 1$	40	41

## Polynomial versus exponential

- We'll say any algorithm whose run-time is
  - polynomial is good
  - bigger than polynomial is bad
- Note of course there are exceptions:
  - n<sup>100</sup> is bigger than (1.001)<sup>n</sup> for most practical values of n but usually such run-times don't show up
  - There are algorithms that have run-times like O(2<sup>n/22</sup>) and these may be useful for small input sizes, but they're not too common either

#### 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" the specific cases
  - Ex: Does contain a 4-clique? (no)
  - Ex: Does contain a 3-clique? (yes)
- Decision Problems Just Yes/No answer
- Problems as Sets of "Yes" Instances
  - Ex: CLIQUE = { (G,k) I G contains a k-clique }
    - E.g., ( **▼**, 4) ∉ CLIQUE
    - E.g., (  $\checkmark$  , 3)  $\in$  CLIQUE

## Decision problems

- Computational complexity usually 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 kclique after I remove this vertex?)

#### The class P

**Definition**: P = set of (decision) problems solvable by computers in polynomial time.

i.e.  $T(n) = O(n^k)$  for some fixed k.

These problems are sometimes called **tractable** problems.

**Examples**: sorting, shortest path, MST, connectivity, various dynamic programming – *all of 417 up to now except Change-Making/Stamp problem* 

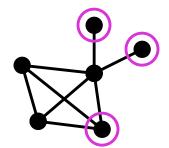
## Beyond P?

- There are many natural, practical problems for which we don't know any polynomial-time algorithms
- e.g. CLIQUE:
  - Given a weighted graph G and an integer k, does there exist a k-clique in G?
- e.g. quadratic Diophantine equations:

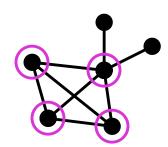
- Given a, b,  $c \in N$ ,  $\exists x, y \in N$  s.t.  $ax^2 + by = c$ ?

#### Some Problems

- Independent-Set:
  - Given a graph G=(V,E) and an integer k, is there a subset U of V with IUI ≥ k such that no two vertices in U are joined by an edge.



- Clique:
  - Given a graph G=(V,E) and an integer k, is there a subset U of V with IUI ≥ k such that every pair of vertices in U is joined by an edge.



#### Some More Problems

- Euler Tour:
  - Given a graph G=(V,E) is there a cycle traversing each edge once.
- Hamilton Tour:
  - Given a graph G=(V,E) is there a simple cycle of length IVI, i.e., traversing each *vertex* once.
- TSP:
  - Given a weighted graph G=(V,E,w) and an integer k, is there a Hamilton tour of G with total weight ≤ k.

## Satisfiability

- Boolean variables x<sub>1</sub>,...,x<sub>n</sub>
  - 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.  $(x_1 \vee \neg x_3 \vee x_7 \vee x_{12})$
- CNF formula
  - a logical AND of a bunch of clauses

## Satisfiability

- CNF formula example
  - $(x1 \lor \neg x3 \lor x7) \land (\neg x1 \lor \neg x4 \lor x5 \lor \neg x7)$
- If there is some assignment of 0's and 1's to the variables that makes it true then we say the formula is *satisfiable* 
  - the one above is, the following isn't
  - $x1 \land (\neg x1 \lor x2) \land (\neg x2 \lor x3) \land \neg x3$
- Satisfiability: Given a CNF formula F, is it satisfiable?

#### Satisfiable?

18

## More History – As of 1970

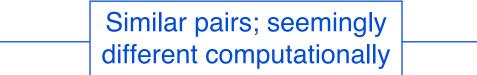
- Many of the above problems had been studied for decades
- All had real, practical applications
- None had poly time algorithms; exponential was best known
- But, it turns out they all have a very deep similarity under the skin

#### Some Problem Pairs

- Euler Tour
- 2-SAT
- Min Cut
- Shortest Path

- Hamilton Tour
- 3-SAT
- Max Cut
- Longest Path

Superficially different; similar computationally



## Common property of these problems

- There is a special piece of information, a short hint or proof, that allows you to efficiently (in polynomialtime) verify that the YES answer is correct. This hint might be very hard to find
- e.g.
  - TSP: the tour itself,
  - Independent-Set, Clique: the set U
  - Satisfiability: an assignment that makes F true.
  - Quadratic Diophantine eqns: the numbers x & y.

## The complexity class $\ensuremath{\mathsf{NP}}$

NP consists of all decision problems where

 You can verify the YES answers efficiently (in polynomial time) given a short (polynomial-size) hint

And

- No hint can fool your polynomial time verifier into saying YES for a NO instance
- (implausible for all exponential time problems)

## More Precise Definition of NP

- A decision problem is in NP iff there is a polynomial time procedure v(.,.), and an integer k such that
  - for every YES problem instance x there is a hint h with lhl ≤ lxl<sup>k</sup> such that v(x,h) = YES

and

- for every NO problem instance x there is no hint h with lhl ≤ lxl<sup>k</sup> such that v(x,h) = YES
- "Hints" sometimes called "Certificates"

## Example: CLIQUE 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 a clique in G,
   then output "YES"
   else output "I'm unconvinced"
```

## Is it correct?

 For every x = (G,k) such that G contains a kclique, 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)

## Another example: $SAT \in NP$

- Hint: the satisfying assignment A
- Verifier: v(F,A) = syntax(F,A) && satisfies(F,A)
  - Syntax: True iff F is a well-formed formula & A is a truth-assignment to its variables
  - Satisfies: plug A into F and evaluate
- Correctness:
  - If F is satisfiable, it has some satisfying assignment
     A, and we'll recognize it
  - If F is unsatisfiable, it doesn't, and we won't be fooled

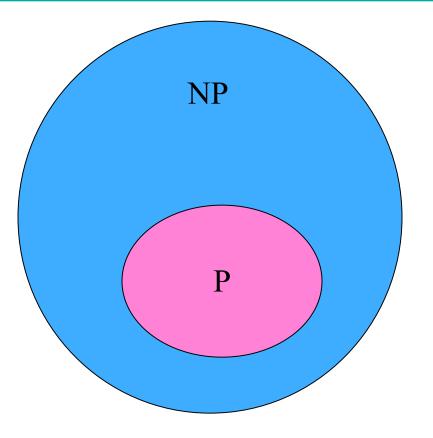
# Keys to showing that a problem is in NP

- 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? Is it polynomial length?
  - OK if some inputs need no hint
- For any given NO input, is there a hint that would trick you?

## **Complexity Classes**

#### NP = Polynomial-time verifiable

P = Polynomial-time
 solvable



## Solving NP problems without hints

- The only obvious algorithm for most of these problems is brute force:
  - try all possible hints and check each one to see if it works.
  - Exponential time:
    - 2<sup>n</sup> truth assignments for n variables
    - n! possible TSP tours of n vertices
    - $\binom{n}{k}$  possible k element subsets of n vertices
    - etc.
- ...and to date, every alg, even much less-obvious ones, are slow, too

# Problems in P can also be verified in polynomial-time

<u>Shortest Path</u>: 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  $\leq k$ ?

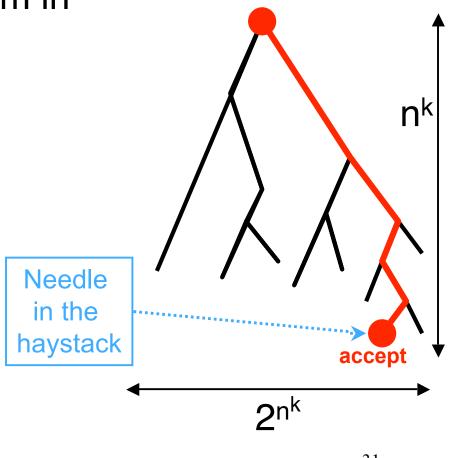
<u>Small Spanning Tree</u>: Given a weighted undirected graph G, is there a spanning tree of weight  $\leq k$ ?

**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...)

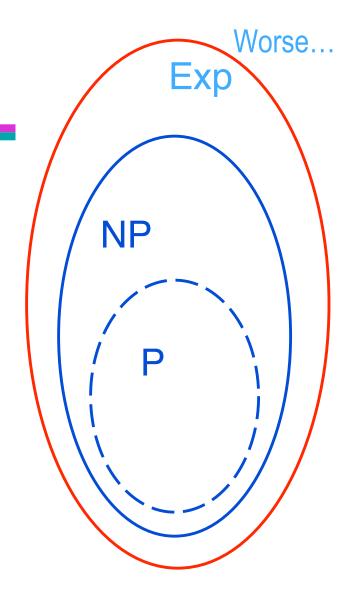
#### P vs NP vs Exponential Time

- Theorem: Every problem in NP can be solved deterministically in exponential time
- Proof: "hints" are only n<sup>k</sup> long; try all 2<sup>n<sup>k</sup></sup> possibilities, say by backtracking. If any succeed, say YES; if all fail, say 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 ≠ Exp, so either P ≠NP, or NP ≠ Exp (most likely both)



## P vs NP

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

- Practice
  - Many interesting, useful, natural, well-studied problems known to be NPcomplete
  - With rare exceptions, no one routinely succeeds in finding exact solutions to large, arbitrary instances

A problem NOT in NP; A bogus "proof" to the contrary

EEXP = {(p,x) | program p accepts input x in < 2<sup>2|x|</sup> steps }

#### **NON** Theorem: EEXP in NP

 "Proof" 1: Hint = step-by-step trace of the computation of p on x; verify step-by-step

## More Connections

- Some Examples in NP
  - Satisfiability
  - Independent-Set
  - Clique
  - Vertex Cover
- All hard to solve; hints seem to help on all
- Very surprising fact:

Fast solution to <u>any</u> gives fast solution to <u>all</u>!

#### The class NP-complete

We are pretty sure that no problem in NP – P can be solved in polynomial time.

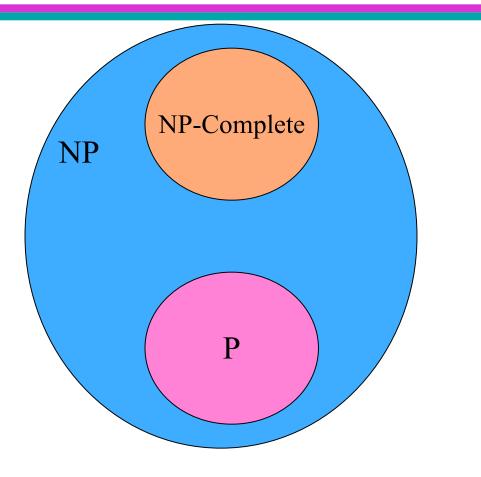
- **Non-Definition**: NP-complete = the hardest problems in the class NP. (Formal definition later.)
- Interesting fact: If any one NP-complete problem could be solved in polynomial time, then *all* NP problems could be solved in polynomial time.

#### **Complexity Classes**

**NP** = Poly-time **verifiable** 

**P** = Poly-time **solvable** 

**NP-Complete = "Hardest"** problems in **NP** 



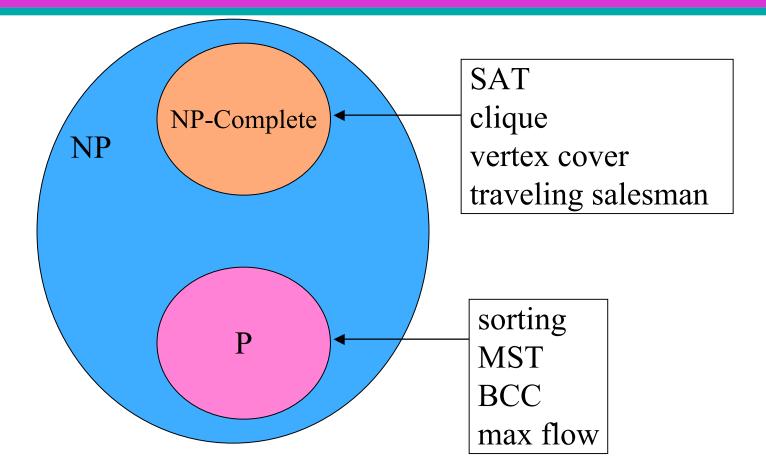
### The class NP-complete (cont.)

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

Fact (Dogma): 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, Hamiltonian cycle, TSP, bin packing.

### **Complexity Classes of Problems**



### Does P = NP?

- This is an 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.
- No one has shown this yet.
- (It seems unlikely to be true.)

## Is all of this useful for anything?

Earlier in this class we learned techniques for solving problems in **P**.

Question: Do we just throw up our hands if we come across a problem we suspect not to be in P?

# Dealing with NP-complete Problems

#### What if I think my problem is <u>not in P</u>?

Here is what you might do:

- 1) Prove your problem is **NP-hard** or **-complete** (a common, but not guaranteed outcome)
- 2) Come up with an algorithm to solve the problem **usually** or **approximately**.

### 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)<sup>nd</sup>
Example: reduce SORT to FIND\_MAX Solution: FIND\_MAX, remove it, repeat
Example: reduce MEDIAN to FIND\_MAX Solution: transitivity: compose solutions above.

### Reductions: Why useful

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

Fast algorithm for B implies fast algorithm for A (nearly as fast; takes some time to set up call, etc.)

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 is NP-complete

#### **Cook's theorem: SAT is NP-complete**

#### Satisfiability (SAT)

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

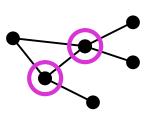
 $S = (x + y + \neg z) \cdot (\neg x + y + z) \cdot (\neg x + \neg y + \neg z)$ 

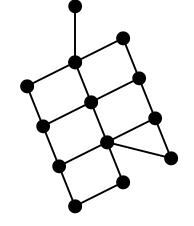
Example above is satisfiable. (We can see this by setting x=1, y=1 and z=0.)

### NP-complete problem: Vertex Cover

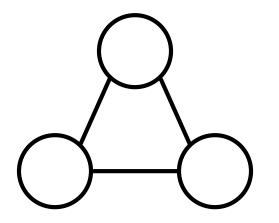
**Input**: Undirected graph G = (V, E), integer k. **Output**: True iff there is a subset C of V of size  $\leq k$  such that every edge in E is incident to at least one vertex in C.

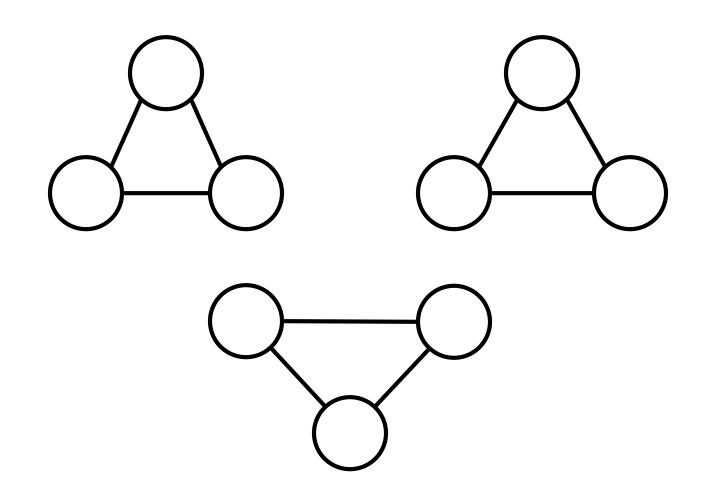
**Example**: Vertex cover of size  $\leq 2$ .

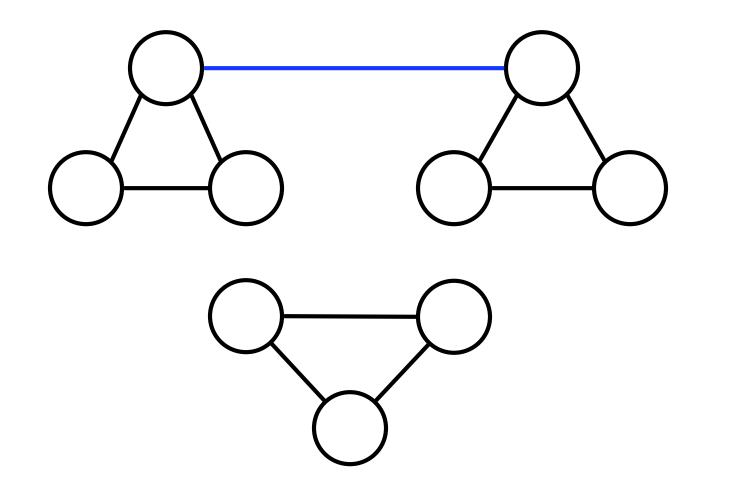


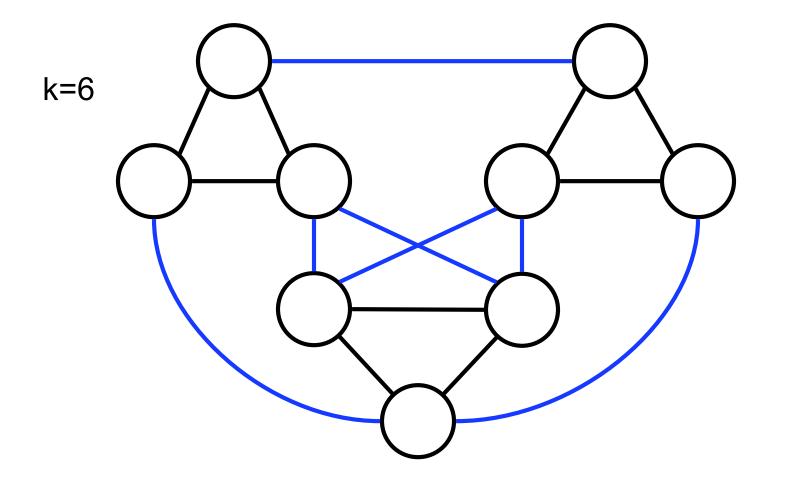


**In NP?** Exercise

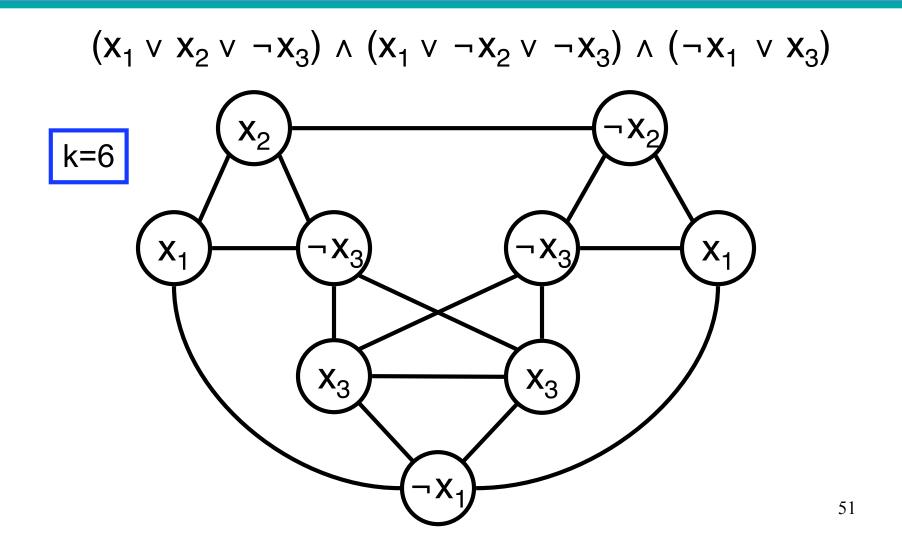


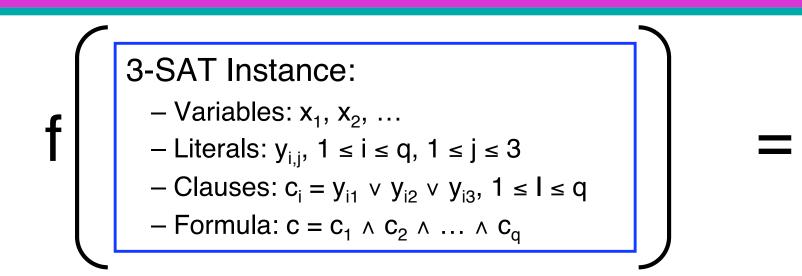




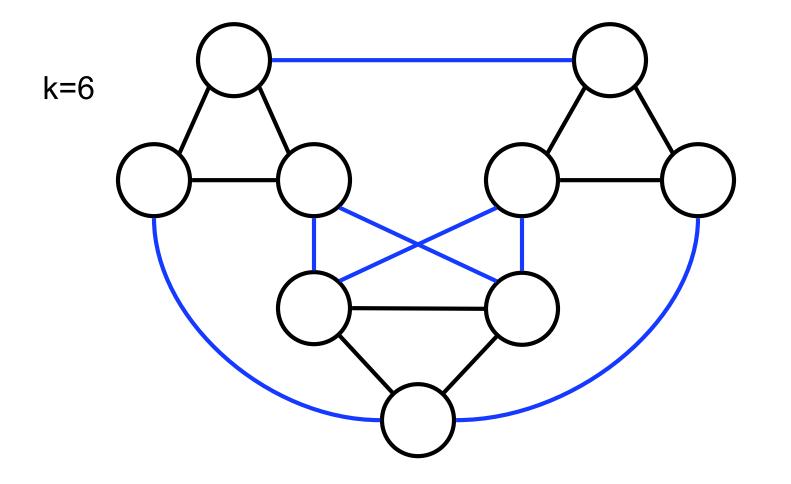


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VertexCover Instance: - k = 2q - G = (V, E) - V = { [i,j] | 1 ≤ i ≤ q, 1 ≤ j ≤ 3 } - E = { ( [i,j], [k,l] ) | i = k or y<sub>ij</sub> = ¬y<sub>kl</sub> }



### Correctness of "3-SAT ≤<sub>p</sub> VertexCover"

Summary of reduction function f:

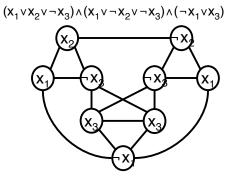
Given formula, make graph G with one group per clause, one node per literal. Connect each to all nodes in *same* group, *plus* complementary literals  $(x, \neg x)$ . Output graph G plus integer k = 2 \* number of clauses. Note: f does *not* know whether formula is satisfiable or not; does *not* know if G has k-cover; does *not* try to find satisfying assignment or cover.

Correctness:

- 1. 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 VertexCover:
   (⇒) Given an assignment satisfying c, pick one true literal per clause.
   Add *other* 2 nodes of each triangle to cover. Show it is a cover: 2 per
   triangle cover triangle edges; only true literals (but perhaps not all true
   literals) uncovered, so at least one end of every (x, ¬x) edge is covered.
   (⇐) Given a k-vertex cover in G, *uncovered* labels define a valid (perhaps
   partial) truth assignment since no (x, ¬x) pair uncovered. It satisfies c
   since there is one uncovered node in each clause triangle (else some
   other clause triangle has > 1 uncovered node, hence an uncovered edge.)

# Utility of "3-SAT ≤<sub>p</sub> VertexCover"

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



- Given 3-CNF formula *w*, build Vertex
   Cover instance *y* = *f(w)* as above, run the fast
   VC alg on *y*; say "YES, w is satisfiable" iff VC alg
   says "YES, y has a vertex cover of the given size"
- On the other hand, *suppose* no fast alg is possible for 3SAT, then we know none is possible for VertexCover either.

"3-SAT ≤<sub>p</sub> VertexCover" Retrospective

- Previous slide: two *suppositions*
- Somewhat clumsy to have to state things that way.
- Alternative: abstract out the key elements, give it a name ("polynomial time reduction"), then properties like the above always hold.

### **Polynomial-Time Reductions**

**Definition**: Let **A** and **B** be two problems.

We say that **A** is **polynomially reducible** to **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**.

#### $\mathbf{x} \in \mathbf{A} \iff f(\mathbf{x}) \in \mathbf{B}$

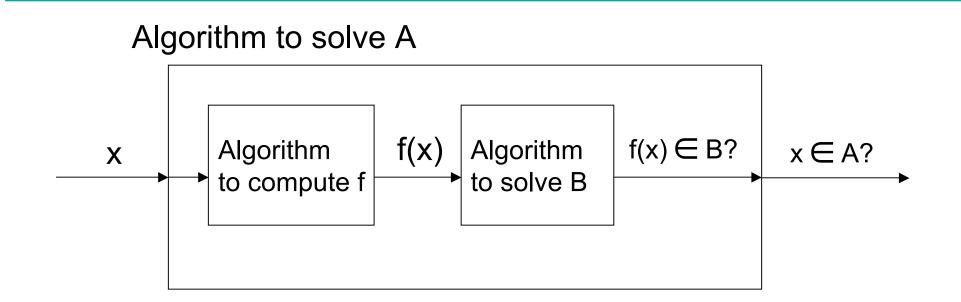
### Polynomial-Time Reductions (cont.)

**Define:**  $A \leq_p B$  "A is polynomial-time reducible to B", iff there is a polynomial-time computable Why the notation? function f such that:  $\mathbf{x} \in \mathbf{A} \iff \mathbf{f}(\mathbf{x}) \in \mathbf{B}$ 

"complexity of A"  $\leq$  "complexity of B" + "complexity of f"

(1) 
$$A \leq_{p} B$$
 and  $B \in P \Rightarrow A \in P$   
(2)  $A \leq_{p} B$  and  $A \notin P \Rightarrow B \notin P$   
(3)  $A \leq_{p} B$  and  $B \leq_{p} C \Rightarrow A \leq_{p} C$  (transitivity)

# 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?

### **Definition of NP-Completeness**

**Definition**: Problem *B* is **NP-hard** if *every* problem in NP is polynomially reducible to *B*.

#### **Definition**: Problem *B* is **NP-complete** if:

- (1) B belongs to NP, and
- (2) B is NP-hard.

# Proving a problem is NP-complete

- Technically, for condition (2) we have to show that every problem in NP is reducible to B. (yikes!) This sounds like a lot of work.
- For the very first NP-complete problem (SAT) this had to be proved directly.
- However, once we have one NP-complete problem, then we don't have to do this every time.
- Why? Transitivity.

### **Re-stated Definition**

Lemma: Problem *B* is **NP-complete** if:

(1) *B* belongs to NP, and

(2') *A* is polynomial-time reducible to *B*, for <u>some</u> problem *A* that is NP-complete.

That is, to show (2') given a new problem *B*, it is sufficient to show that SAT or any other NP-complete problem is polynomial-time reducible to *B*.

### Usefulness of Transitivity

- Now we only have to show  $L' \leq_p L$ , for <u>some</u> *NP-complete* problem *L'*, in order to show that *L* is NP-hard. Why is this equivalent?
- 1) Since *L'* is *NP-complete, we know that L'* is *NP-hard.* That is:

 $\forall L'' \in NP$ , we have  $L'' \leq_p L'$ 

2) If we show  $L' \leq_p L$ , then by transitivity we know that:  $\forall L'' \in NP$ , we have  $L'' \leq_p L$ .

Thus L is NP-hard.

### Ex: VertexCover is NP-complete

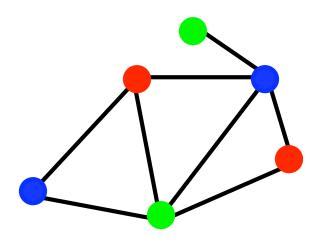
- 3-SAT is NP-complete (shown by S. Cook)
- 3-SAT ≤<sub>p</sub> VertexCover
- VertexCover is in NP (we showed this earlier)
- Therefore VertexCover is also NP-complete
- So, poly-time algorithm for VertexCover would give poly-time algs for *everything* in NP

### 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.

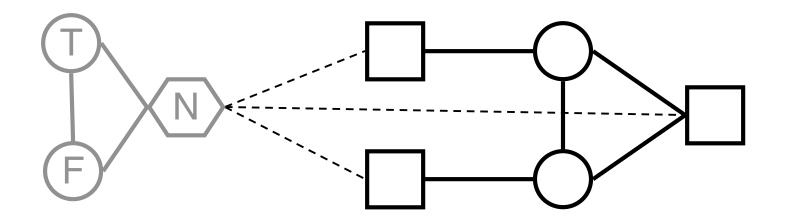
Example:



**In NP?** Exercise

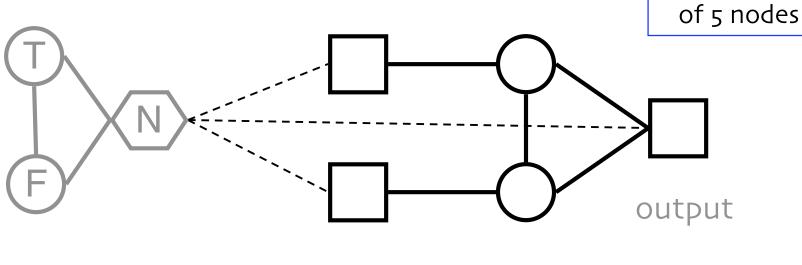
# A 3-Coloring Gadget:

In what ways can this be 3-colored?



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

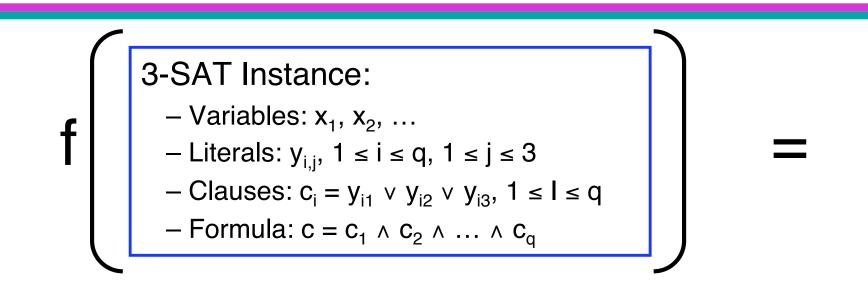
(1) if any input is T, the output can be T
(2) if output is T, some input must be T



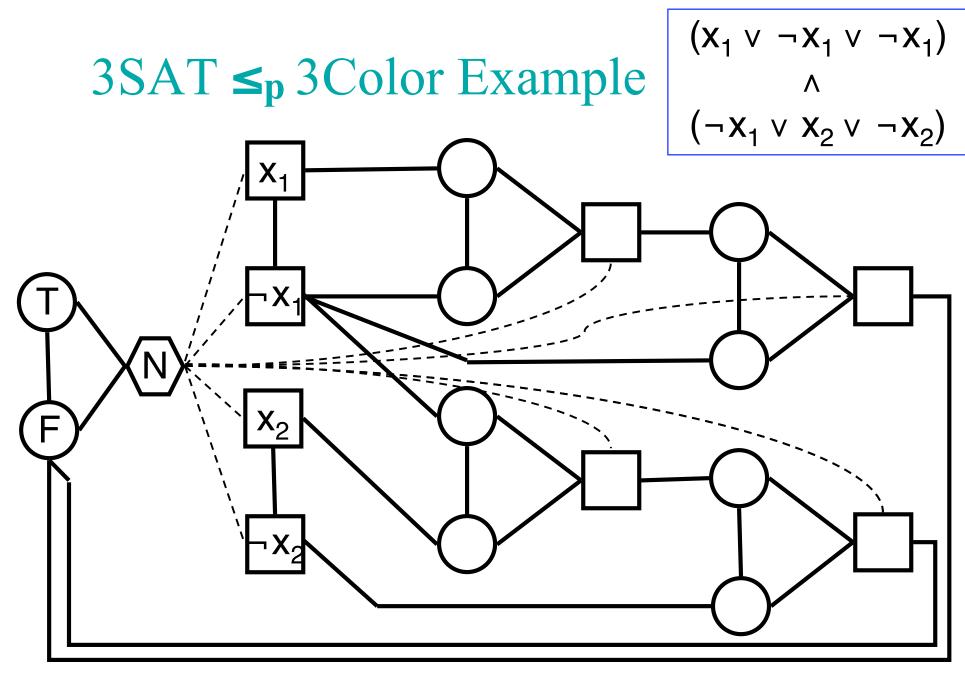
inputs

all colorings

# 3SAT ≤<sub>p</sub> 3Color



3Color Instance: -G = (V, E) -6q + 2n + 3 vertices -13q + 3n + 3 edges -(See Example for details)



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

## Correctness of "3-SAT ≤<sub>p</sub> 3Coloring"

Summary of reduction function f:

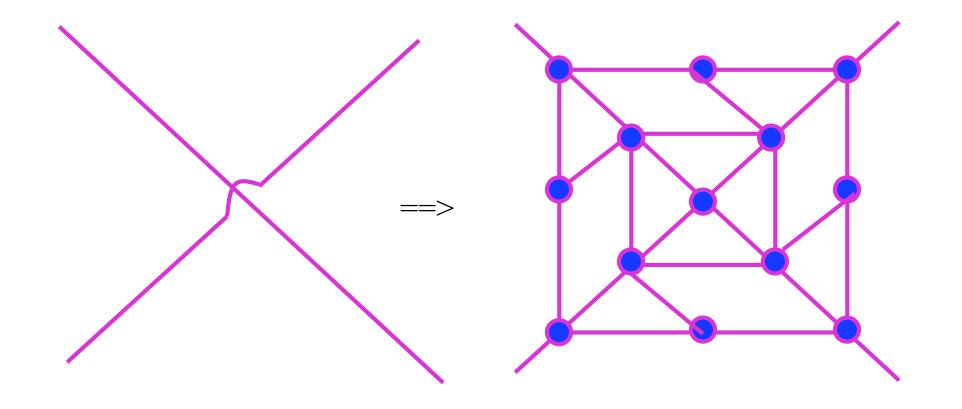
Given formula, make G with T-F-N triangle, 1 pair of literal nodes per variable, 2 "or" gadgets per clause, connected as in example. Note: again, f does *not* know or construct satisfying assignment or coloring.

Correctness:

- 1. 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.
- 2. 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.

# Planar 3-Coloring is also NP-Complete



71

Common Errors in NP-completeness Proofs

- Backwards reductions
   Bipartiteness ≤<sub>p</sub> SAT is true, but not so useful.
   (XYZ ≤<sub>p</sub> SAT shows XYZ in NP, does *not* show it's hard.)
- Slooow Reductions "Find a satisfying assignment, then output..."
- Half Reductions

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 good assignments.

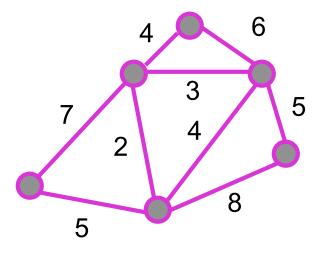
# Coping with NP-Completeness

- Is your real problem a special subcase?
  - E.g. 3-SAT is NP-complete, but 2-SAT is not;
  - Ditto 3- vs 2-coloring
  - E.g. maybe you only need planar graphs, or degree 3 graphs, or …
- Guaranteed approximation good enough?
  - E.g. Euclidean TSP within 1.5 \* Opt in poly time
- Clever exhaustive search may be fast enough in practice, e.g. Backtrack, Branch & Bound, pruning
- Heuristics usually a good approximation and/or usually fast

### NP-complete problem: **TSP**

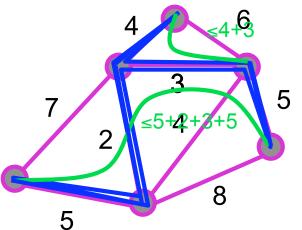
Input: An undirected graph G=(V,E) with integer edge weights, and an integer b.

Output: YES iff there is a simple cycle in G passing through all vertices (once), with total cost ≤ b. Example: b = 34



## 2x Approximation to EuclideanTSP

- A TSP tour visits all vertices, so contains a spanning tree, so TSP cost is > cost of min spanning tree.
- Find MST
- Find "DFS" Tour
- Shortcut



TSP ≤ shortcut < DFST = 2 \* MST < 2 \* TSP</li>

### 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.

