## CSE 417 Introduction to Algorithms Winter 2007

NP-Completeness (Chapter 8)

I

## Some Algebra Problems (Algorithmic)

Given positive integers a, b, c

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

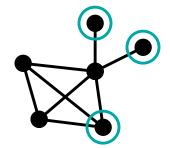
Question 2: does there exist a positive integer x such that  $ax^2 + bx = c$ ?

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

#### Some Problems

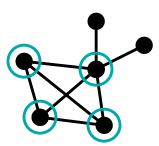
Independent-Set:

Given a graph G=(V,E) and an integer k, is there a subset U of V with  $|U| \ge k$  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  $|U| \ge k$  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?

http://mathworld.wolfram.com/HilbertsProblems.html

1930's: Gödel, Church, Turing, et al. prove it's impossible

## More History

1930/40's

What is (is not) computable

1960/70's

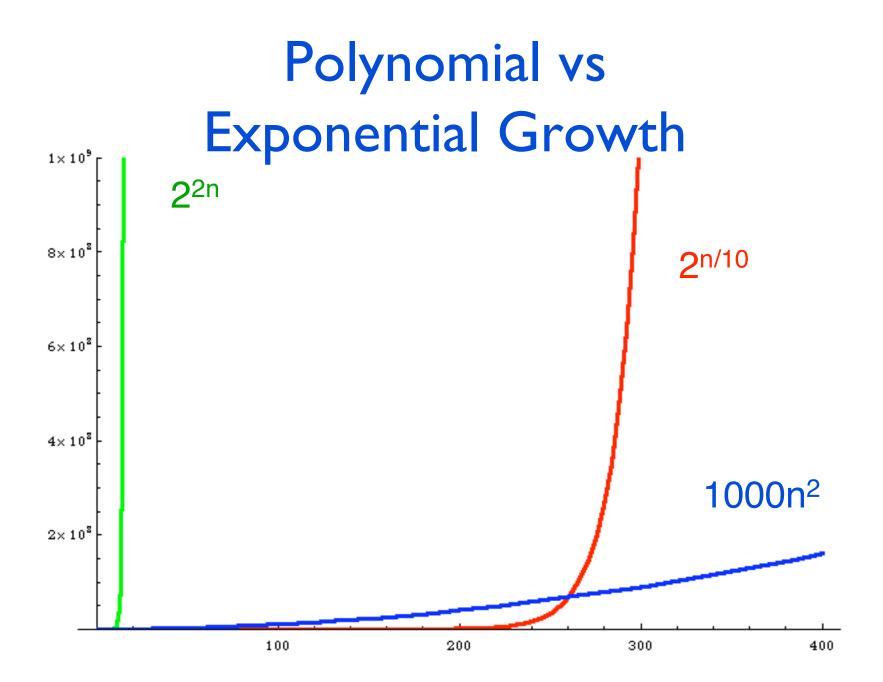
What is (is not) feasibly computable

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



#### 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>        | $2 \times 10^{12}$     |
| $O(n^2)$           | $n_0 \rightarrow \sqrt{2} n_0$    | 106                     | 1.4 x 10 <sup>6</sup>  |
| $O(n^3)$           | $n_0 \rightarrow \sqrt[3]{2} n_0$ | 104                     | 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

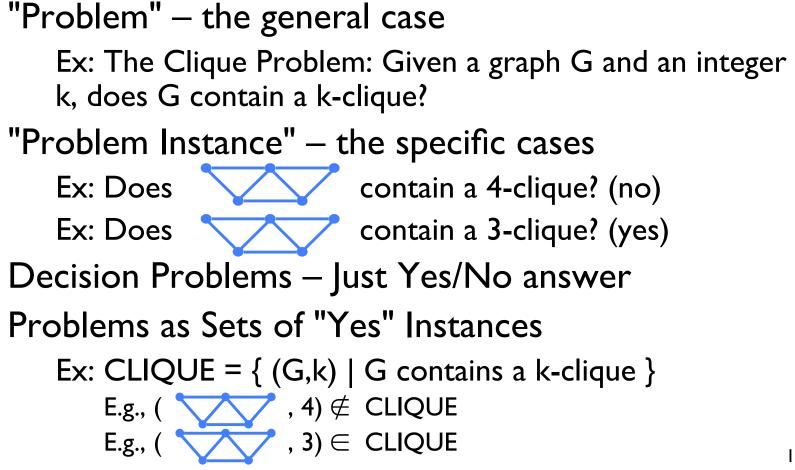
#### We'll say any algorithm whose run-time is polynomial is good bigger than polynomial is bad

#### 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  $O(2^{sqrt(n)/22})$ and these may be useful for small input sizes, but they're not too common either

#### Some Convenient Technicalities



#### **Decision problems**

## Computational complexity usually analyzed using decision problems

answer is just I 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?)

#### 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, RNA folding & other dyn. prog. – most of 417 (exceptions: Change-Making/Stamps, TSP)

## Beyond P?

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

e.g. CLIQUE:

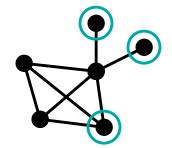
Given an undirected graph G and an integer k, does G contain a k-clique?

e.g. quadratic Diophantine equations: Given a, b, c  $\in$  N, 3 x, y  $\in$  N s.t. ax<sup>2</sup> + by = c ?

#### Some Problems

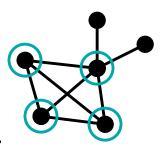
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#### Clique:

Given a graph G=(V,E) and an integer k, is there a subset U of V with  $|U| \ge k$  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 |V|, 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  $\leq k$ .

## 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 = I, ..., 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

 $(x_1 \vee \neg x_3 \vee x_7) \land (\neg x_1 \vee \neg x_4 \vee x_5 \vee \neg x_7)$ 

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

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

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

#### Satisfiable?

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

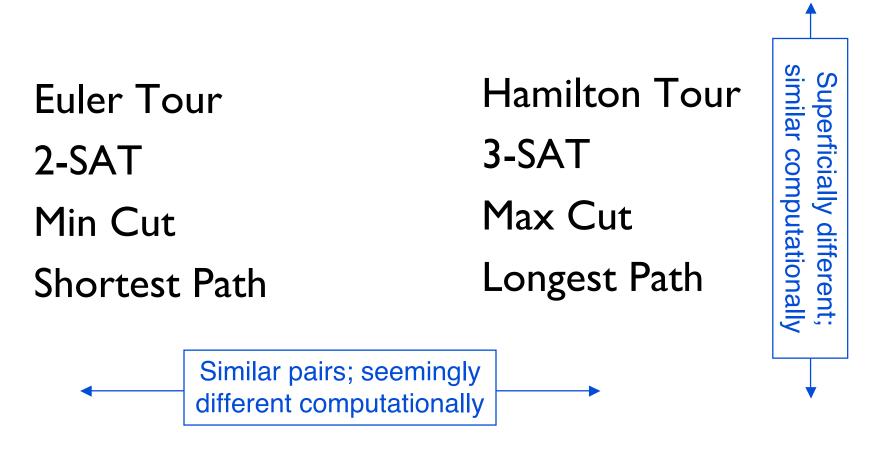
$$\begin{pmatrix} x & v & y & v & z \end{pmatrix} \land (\neg x & v & y & v & \neg z ) \land ( \neg x & v & \gamma & v & z ) \land ( \neg x & v & \neg y & v & z ) \land ( \neg x & v & \neg y & v & \neg z ) \land ( \neg x & v & \gamma & v & z ) \land ( x & v & \gamma & v & \neg z ) \end{pmatrix}$$

## 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



#### Common property of these problems

There is a special piece of information, a short hint or proof, that allows you to efficiently (in polynomial-time) verify that the YES answer is correct. *BUT*, this hint might be very hard to find

e.g.

TSP: the tour itself Independent-Set, Clique: the vertex set U Satisfiability: an assignment that makes formula true Quadratic Diophantine eqns: the numbers x & y

## The complexity class 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  $|h| \le |x|^k$  such that v(x,h) = YES and

for every NO problem instance x there is no hint h with  $|h| \le |x|^k$  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"
```

#### 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)

### 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?

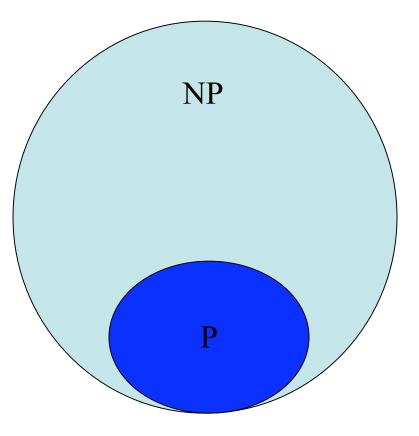
OK if some inputs need no hint

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 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:
  - 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

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

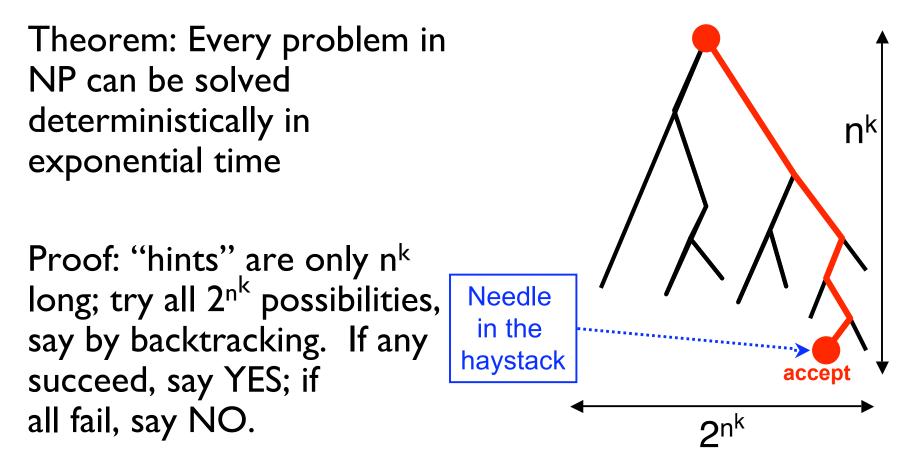
Verify: Given a purported path from s to t, is it a path, is its length  $\leq k$ ?

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...)

#### P vs NP vs Exponential Time



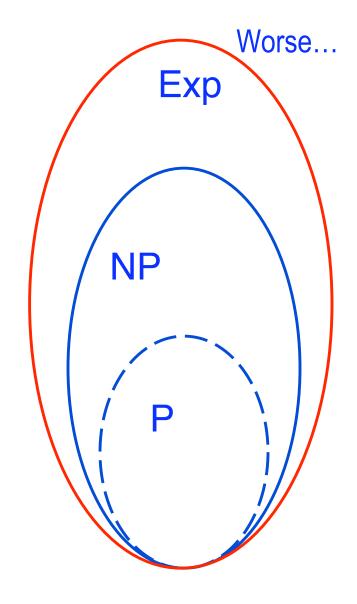
## P and NP

#### 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)



#### 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 succeeds in finding exact solutions to large, arbitrary instances

A problem NOT in NP; A bogus "proof" to the contrary  $EEXP = \{(p,x) \mid prog \ p \ accepts \ input \ x \ in < 2^{2^{|x|}} \ steps \}$ NON Theorem: EEXP in NP "Proof" 1: Hint = step-by-step trace of the computation of p on x; verify step-by-step

"Proof" II: Hint = a bit; accept iff it's 1

## 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 any gives fast solution to all!

#### **NP-complete Problems**

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.

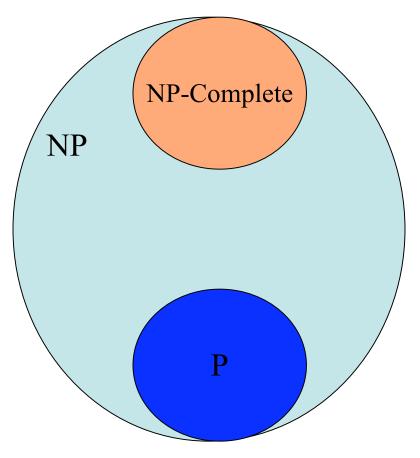
### **Complexity Classes**

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

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

#### NP-Complete =

"Hardest" problems in NP



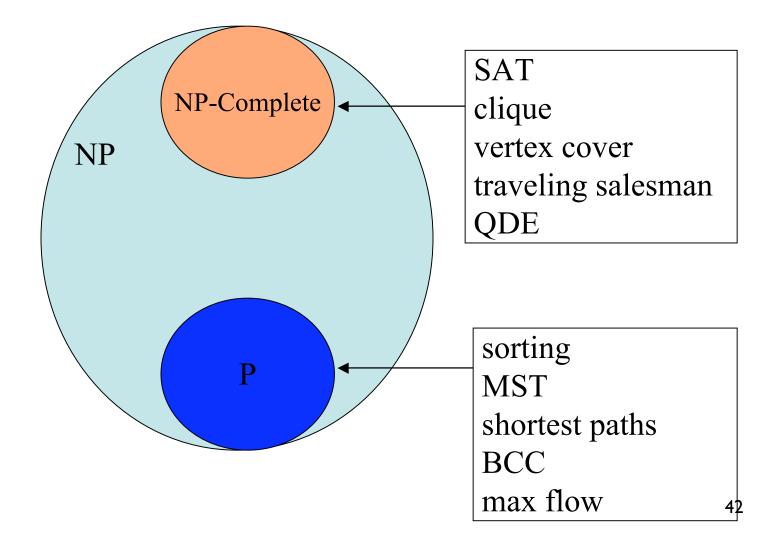
#### The class NP-complete (cont.)

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 not in P?

Here is what you might do:

I) 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)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: 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:

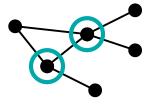
 $S=(x+y+\neg z)\bullet(\neg x+y+z)\bullet(\neg x+\neg y+\neg z)$ 

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

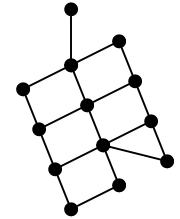
#### NP-complete problem: Vertex Cover

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.

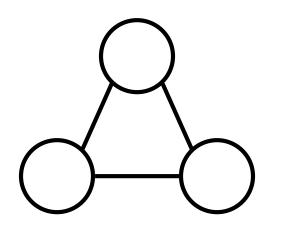
Example: Vertex cover of size  $\leq 2$ .



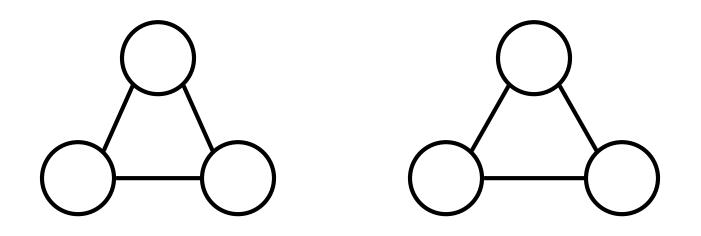
In NP? Exercise

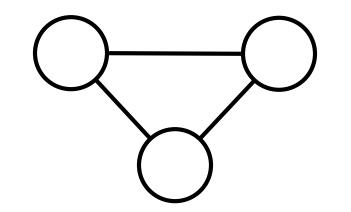


# $3SAT \leq_p VertexCover$



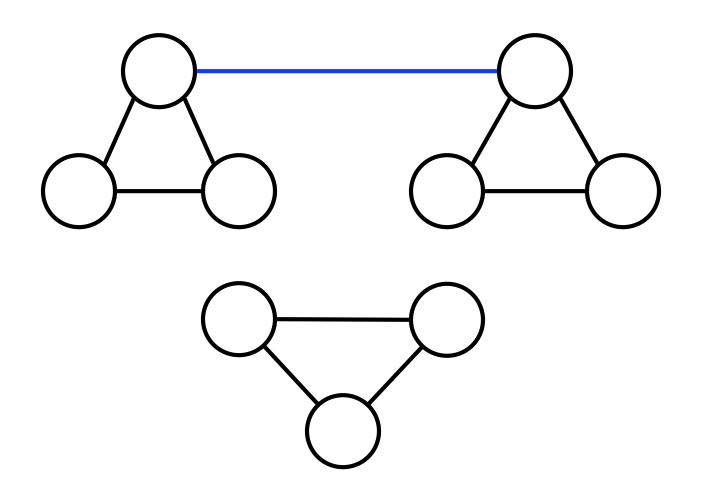
## $3SAT \leq_{p} VertexCover$



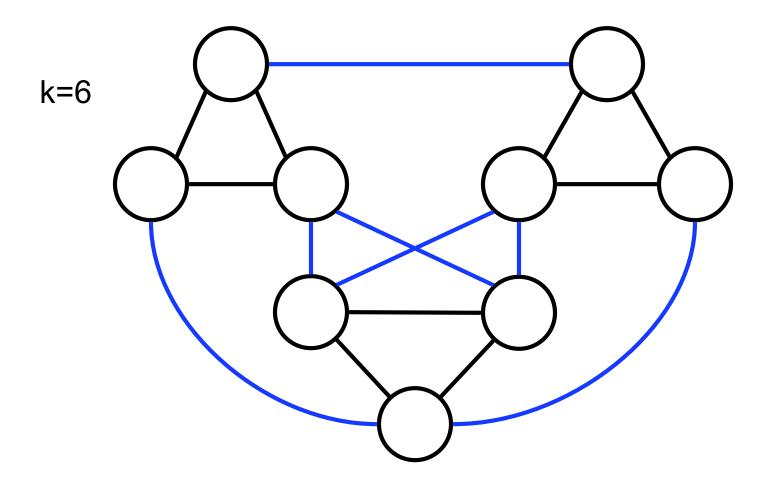


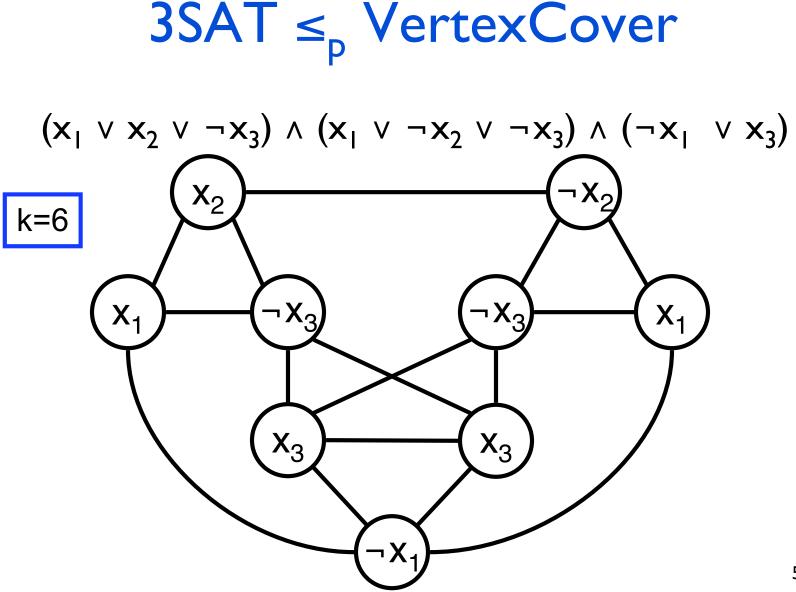
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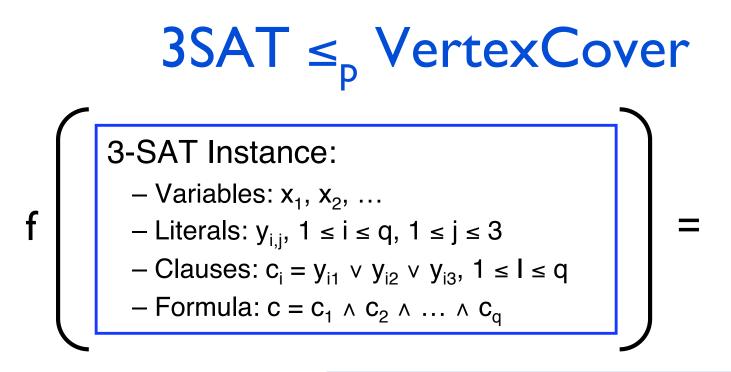
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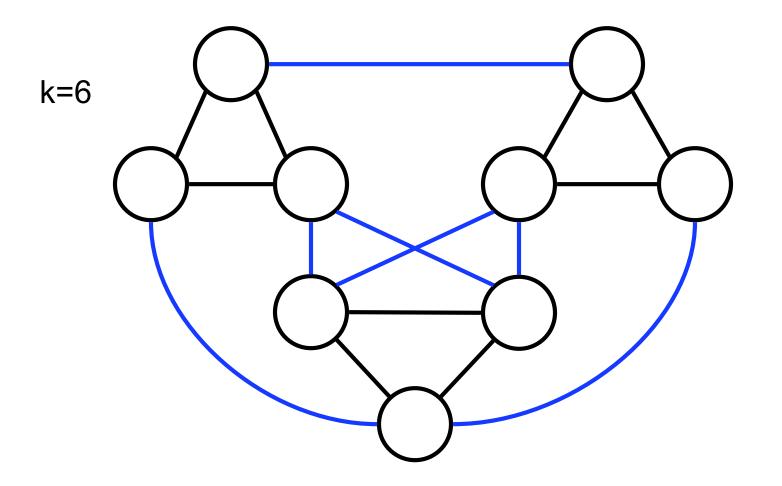












### Correctness of " $3SAT \leq_p VertexCover$ "

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:

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

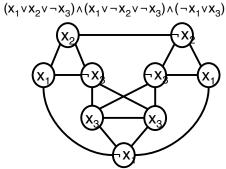
Show c in 3-SAT iff f(c)=(G,k) in VertexCover:

( $\Rightarrow$ ) 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,  $\neg$ x) edge is covered.

( $\Leftarrow$ ) Given a k-vertex cover in G, uncovered labels define a valid (perhaps partial) truth assignment since no (x,  $\neg$ x) pair uncovered. It satisfies c since there is one uncovered node in each clause triangle (else some other clause triangle has > I uncovered node, hence an uncovered edge.)

#### Utility of " $3SAT \leq_p VertexCover$ "

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.

#### " $3SAT \leq_{p} VertexCover"$ 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.

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

### Polynomial-Time Reductions (cont.)

Define:  $A \leq_p B$  "A is polynomial-time reducible to B", iff there is a polynomial-time computable function f such that:  $x \in A \iff f(x) \in B$ 

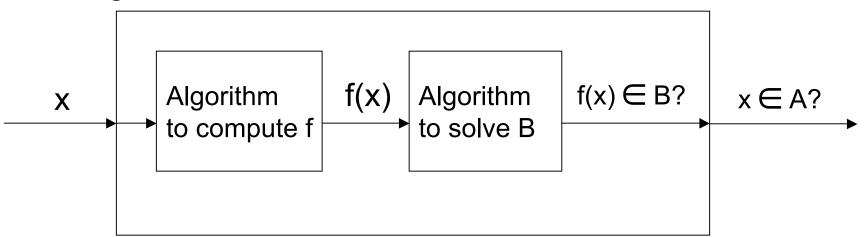
"complexity of A"  $\leq$  "complexity of B" + "complexity of f"

(1) 
$$A \le p B$$
 and  $B \in P \implies A \in P$   
(2)  $A \le p B$  and  $A \notin P \implies B \notin P$   
(3)  $A \le p B$  and  $B \le p C \implies A \le p C$  (transitivity)

Why the notation?

# Using an Algorithm for **B** to Solve **A**

Algorithm 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:

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

## Proving a problem is NPcomplete

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:

(I) B belongs to NP, and

(2') A is polynomial-time reducible to B, for some 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 some NP-complete problem L', in order to show that L is NP-hard. Why is this equivalent?

I) 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

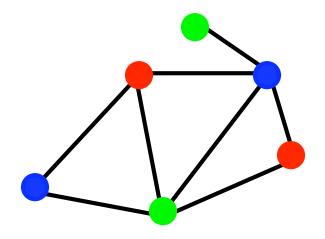
So, poly-time algorithm for VertexCover would give poly-time algs for everything in NP

#### 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.

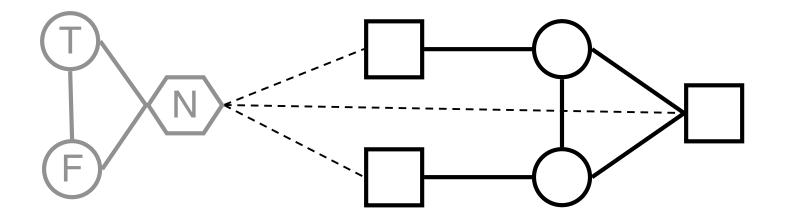
Example:



In NP? Exercise

#### A 3-Coloring Gadget:

In what ways can this be 3-colored?



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

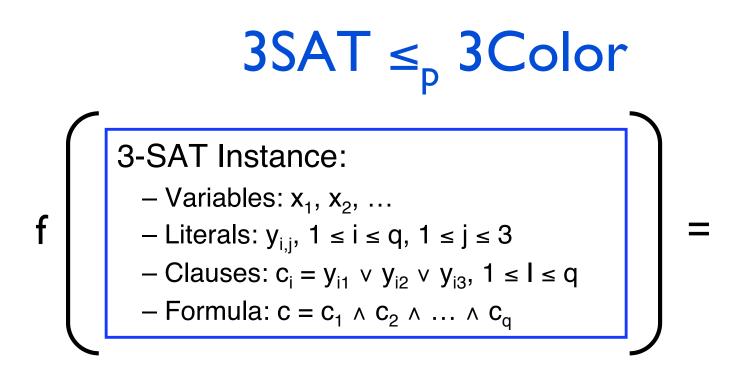
if any input is T, the output can be T if output is T, some input must be T

T N E output

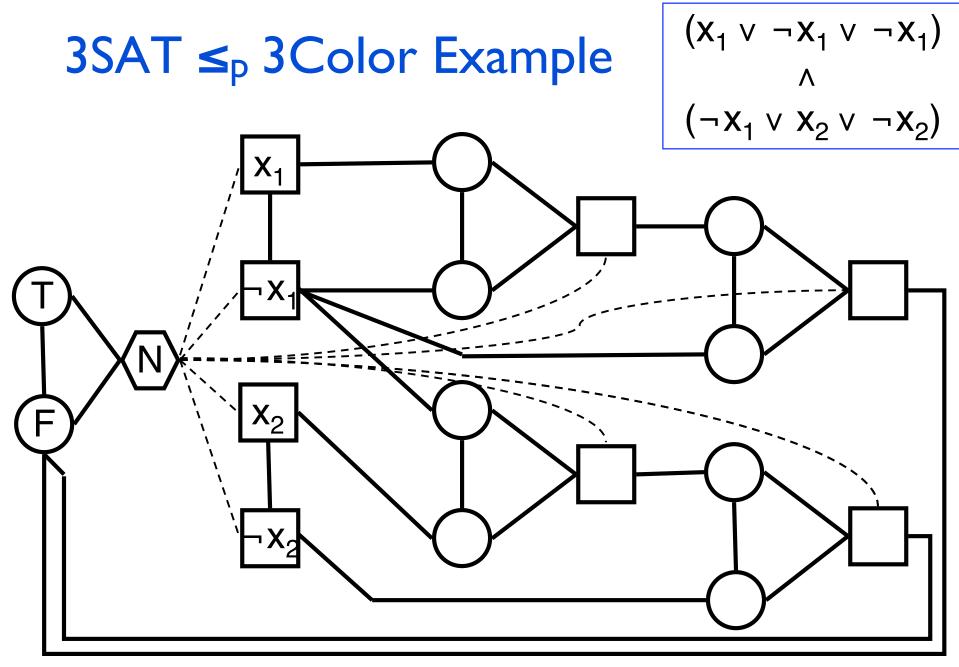
inputs

Exercise: find

all colorings



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 " $3SAT \leq_p 3Coloring$ "

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.

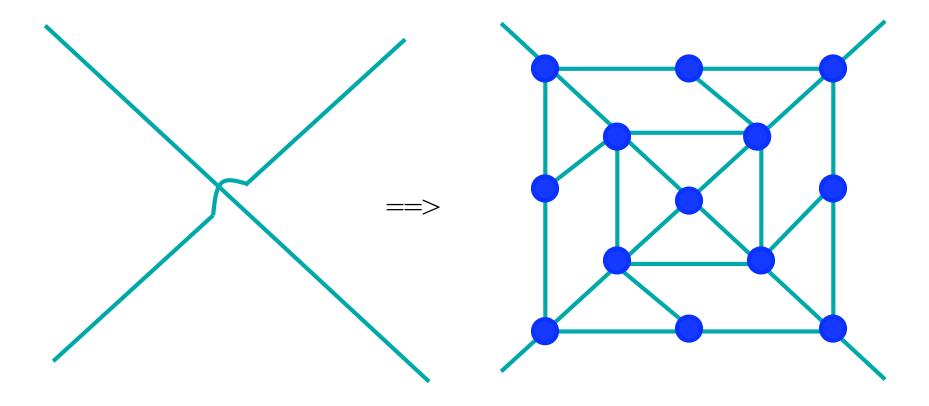
Correctness:

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 (xi, ¬xi) must have complementary labels since they're adjacent. Define assignment based on colors of xi'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



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# Common Errors in NP-completeness Proofs

Backwards reductions Bipartiteness  $\leq_p$  SAT is true, but not so useful. (XYZ  $\leq_p$  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 ...

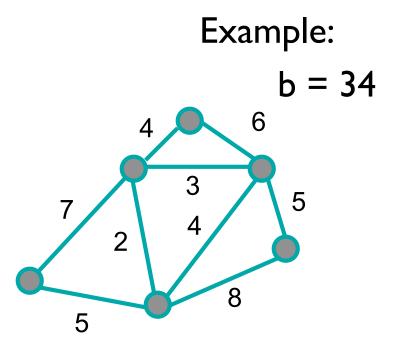
Guaranteed approximation good enough?

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  $\leq$  b.



#### TSP - Nearest Neighbor Heuristic

**Recall NN Heuristic** 

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)

#### 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  $\leq$  shortcut  $\leq$  DFST = 2 \* MST  $\leq$  2 \* 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.

