

CSE 421: Introduction to Algorithms

NP-completeness

Paul Beame

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Computational Complexity

- Classify problems according to the amount of computational resources used by the best algorithms that solve them
- Recall:
 - worst-case running time of an algorithm
 - max # steps algorithm takes on any input of size n

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Relative Complexity of Problems

- Want a notion that allows us to compare the complexity of problems
 - Want to be able to make statements of the form

“If we could solve problem B in polynomial time then we can solve problem A in polynomial time”

“Problem B is at least as hard as problem A ”

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Polynomial Time Reduction

- $A \leq_p B$ if there is an algorithm for A using a ‘black box’ (subroutine) that solves B that
 - Uses only a polynomial number of steps
 - Makes only a polynomial number of calls to a subroutine for B
- Thus, poly time algorithm for B implies poly time algorithm for A
 - Not only is the number of calls polynomial but the size of the inputs on which the calls are made is polynomial!
- If you can prove there is no fast algorithm for A , then that proves there is no fast algorithm for B

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Why the name reduction?

- **Weird**: it maps an easier problem into a harder one
- Same sense as saying Maxwell **reduced** the problem of analyzing electricity & magnetism to solving partial differential equations
 - solving partial differential equations in general is a much harder problem than solving E&M problems

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A geek joke

- An engineer
 - is placed in a kitchen with an empty kettle on the table and told to boil water; she fills the kettle with water, puts it on the stove, turns on the gas and boils water.
 - she is next confronted with a kettle full of water sitting on the counter and told to boil water; she puts it on the stove, turns on the gas and boils water.
- A mathematician
 - is placed in a kitchen with an empty kettle on the table and told to boil water; he fills the kettle with water, puts it on the stove, turns on the gas and boils water.
 - he is next confronted with a kettle full of water sitting on the counter and told to boil water: he empties the kettle in the sink, places the empty kettle on the table and says, “I’ve reduced this to an already solved problem”.

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A Special kind of Polynomial-Time Reduction

- We will always use a restricted form of polynomial-time reduction often called Karp or many-one reduction
- $A \leq_p^1 B$ if and only if there is an algorithm for **A** given a black box solving **B** that on input **x**
 - Runs for polynomial time computing an input $f(x)$
 - Makes one call to the black box for **B**
 - Returns the answer that the black box gave

We say that the function f is the reduction

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Reductions by Simple Equivalence

- Show: Independent-Set \leq_p Clique
- Independent-Set:
 - Given a graph $G=(V,E)$ and an integer k , is there a subset U of V with $|U| \geq k$ 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 $|U| \geq k$ such that **every pair** of vertices in U is joined by an edge?

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Independent-Set \leq_p Clique

- Given (G,k) as input to Independent-Set where $G=(V,E)$
- Transform to (G',k) where $G'=(V,E')$ has the same vertices as **G** but **E'** consists of **precisely** those edges that are **not** edges of **G**
- U is an independent set in **G**
- ⇔ U is a clique in G'

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More Reductions

- Show: Independent Set \leq_p Vertex-Cover
- Vertex-Cover:
 - Given an undirected graph $G=(V,E)$ and an integer k is there a subset W of V of size at most k such that every edge of **G** has at least one endpoint in W ? (i.e. W covers all edges of **G**)?
- Independent-Set:
 - Given a graph $G=(V,E)$ and an integer k , is there a subset U of V with $|U| \geq k$ such that **no two** vertices in U are joined by an edge?

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Reduction Idea

- **Claim:** In a graph $G=(V,E)$, S is an independent set iff $V-S$ is a vertex cover
- **Proof:**
 - ⇒ Let S be an independent set in **G**
 - Then S contains at most one endpoint of each edge of **G**
 - At least one endpoint must be in $V-S$
 - $V-S$ is a vertex cover
 - ⇐ Let $W=V-S$ be a vertex cover of **G**
 - Then S does not contain both endpoints of any edge (else W would miss that edge)
 - S is an independent set

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Reduction

- Map (G,k) to $(G,n-k)$
 - Previous lemma proves correctness
- Clearly polynomial time
- We also get that
 - Vertex-Cover \leq_p Independent Set

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Reductions from a Special Case to a General Case

- Show: Vertex-Cover \leq_p Set-Cover
- Vertex-Cover:
 - Given an undirected graph $G=(V,E)$ and an integer k is there a subset W of V of size at most k such that every edge of G has at least one endpoint in W ? (i.e. W covers all edges of G)?
- Set-Cover:
 - Given a set U of n elements, a collection S_1, \dots, S_m of subsets of U , and an integer k , does there exist a collection of at most k sets whose union is equal to U ?

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The Simple Reduction

- Transformation f maps $(G=(V,E),k)$ to (U,S_1, \dots, S_m, k')
 - $U \leftarrow E$
 - For each vertex $v \in V$ create a set S_v containing all edges that touch v
 - $k' \leftarrow k$
- Reduction f is clearly polynomial-time to compute
- We need to prove that the resulting algorithm gives the right answer!

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Proof of Correctness

- Two directions:
 - If the answer to Vertex-Cover on (G,k) is YES then the answer for Set-Cover on $f(G,k)$ is YES
 - If a set W of k vertices covers all edges then the collection $\{S_v \mid v \in W\}$ of k sets covers all of U
 - If the answer to Set-Cover on $f(G,k)$ is YES then the answer for Vertex-Cover on (G,k) is YES
 - If a subcollection S_{v_1}, \dots, S_{v_k} covers all of U then the set $\{v_1, \dots, v_k\}$ is a vertex cover in G .

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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 path from s to t , is certainly no harder than *finding* a path from s to t 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.

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Polynomial time

- Define P (polynomial-time) to be
 - the set of all decision problems solvable by algorithms whose worst-case running time is bounded by some polynomial in the input size.

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Beyond P?

- There are many other natural, practical problems for which we don't know any polynomial-time algorithms
- e.g. decisionTSP:
 - Given a weighted graph G and an integer k , does there exist a tour that visits all vertices in G having total weight at most k ?

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Satisfiability

- Boolean variables x_1, \dots, x_n
 - taking values in $\{0,1\}$. 0=false, 1=true
- Literals
 - x_i or $\neg x_i$ for $i=1, \dots, n$
- 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
- k-CNF formula
 - All clauses have exactly k variables

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Satisfiability

- CNF formula example
 $(x_1 \vee \neg x_3 \vee x_4) \wedge (x_2 \vee \neg x_4 \vee x_3) \wedge (x_2 \vee \neg x_1 \vee x_3)$
- 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
 - $x_1 \wedge (\neg x_1 \vee x_2) \wedge (\neg x_2 \vee x_3) \wedge \neg x_3$
- 3-SAT**: Given a CNF formula F with 3 variables per clause, is it satisfiable?

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Common property of these problems

- There is a special piece of information, a **short certificate** or proof, that allows you to **efficiently verify** (in polynomial-time) that the **YES** answer is correct. This certificate might be very hard to find
- e.g.
 - DecisionTSP**: the tour itself,
 - Independent-Set, Clique**: the set U
 - 3-SAT**: an assignment that makes F true.

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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) **certificate**

And

- No certificate** can fool your polynomial time verifier into saying **YES** for a **NO** instance

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More Precise Definition of NP

- A decision problem is in NP iff there is a polynomial time procedure **verify**(...), and an integer k such that
 - for every input x to the problem that is a **YES** instance there is a certificate t with $|t| \leq |x|^k$ such that **verify**(x,t) = **YES**
 - and
 - for every input x to the problem that is a **NO** instance there does **not** exist a certificate t with $|t| \leq |x|^k$ such that **verify**(x,t) = **YES**

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Example: CLIQUE is in NP

```
procedure verify( $x,t$ )
  if
     $x$  is a well-formed representation of a
    graph  $G = (V, E)$  and an integer  $k$ ,
    and
     $t$  is a well-formed representation of a
    vertex subset  $U$  of  $V$  of size  $k$ ,
    and
     $U$  is a clique in  $G$ ,
  then output "YES"
  else output "I'm unconvinced"
```

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Is it correct?

For every $x = (G, k)$ such that G contains a k -clique, there is a certificate t that will cause $\text{verify}(x, t)$ to say **YES**,

- t = a list of the vertices in such a k -clique

And no certificate can fool $\text{verify}(x, \cdot)$ into saying **YES** if either

- x isn't well-formed (the uninteresting case)
- $x = (G, k)$ but G does not have any cliques of size k (the interesting case)

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Keys to showing that a problem is in NP

- What's the output? (must be **YES/NO**)
- What must the input look like?
- Which inputs need a **YES** answer?
 - Call such inputs **YES** inputs/**YES** instances
- For every given **YES** input, is there a certificate that would help?
 - OK if some inputs need no certificate
- For any given **NO** input, is there a fake certificate that would trick you?

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Solving NP problems without hints

- The only **obvious algorithm** for most of these problems is **brute force**:
 - try all possible certificates and check each one to see if it works.
 - **Exponential** time:
 - 2^n truth assignments for n variables
 - $n!$ possible TSP tours of n vertices
 - $\binom{n}{k}$ possible k element subsets of n vertices
 - etc.

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What We Know

- Nobody knows if all problems in **NP** can be done in polynomial time, i.e. does **P=NP**?
 - one of the most important open questions in all of science.
 - huge practical implications
- Every problem in **P** is in **NP**
 - one doesn't even need a certificate for problems in **P** so just ignore any hint you are given
- Every problem in **NP** is in exponential time

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NP-hardness & NP-completeness

- Some problems in **NP** seem hard
 - people have looked for efficient algorithms for them for hundreds of years without success
- However
 - nobody knows how to **prove** that they are really hard to solve, i.e. **P \neq NP**

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Problems in NP that seem hard

- Some Examples in **NP**
 - 3-SAT
 - Independent-Set
 - Clique
 - Vertex Cover
- All hard to solve; certificates seem to help on all
- Fast solution to *any* gives fast solution to *all*!

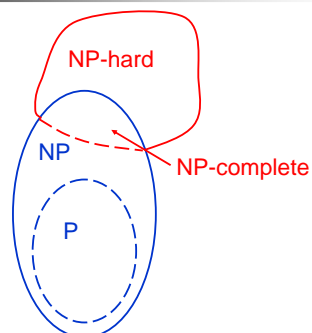
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NP-hardness & NP-completeness

- Alternative approach to proving problems not in P
 - show that they are at least as hard as any problem in NP
- Rough definition:
 - A problem is **NP-hard** iff it is at least as hard as any problem in NP
 - A problem is **NP-complete** iff it is both
 - NP-hard**
 - in NP

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P and NP



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NP-hardness & NP-completeness

- Definition:** A problem B is **NP-hard** iff every problem $A \in NP$ satisfies $A \leq_p B$
- Definition:** A problem B is **NP-complete** iff A is NP-hard and $A \in NP$
- Even though we seem to have lots of hard problems in NP it is not obvious that such super-hard problems even exist!

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Cook-Levin Theorem

- Theorem (Cook 1971, Levin 1973):** **3-SAT** is **NP-complete**
- Recall
 - CNF formula
 - $(x_1 \vee \neg x_3 \vee x_4) \wedge (x_2 \vee \neg x_4 \vee x_3) \wedge (x_2 \vee \neg x_1 \vee x_3)$
 - 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**
 - 3-SAT:** Given a 3-CNF formula F , is it satisfiable?

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Implications of Cook-Levin Theorem?

- There is at least one interesting super-hard problem in NP
- Is that such a big deal?
- YES!
 - There are lots of other problems that can be solved if we had a polynomial-time algorithm for **3-SAT**
 - Many of these problems are exactly as hard as **3-SAT**

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A useful property of polynomial-time reductions

- Theorem:** If $A \leq_p B$ and $B \leq_p C$ then $A \leq_p C$
- Proof idea:** (Using \leq_p^1)
 - Compose the reduction f from A to B with the reduction g from B to C to get a new reduction $h(x) = g(f(x))$ from A to C .
 - The general case is similar and uses the fact that the composition of two polynomials is also a polynomial

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Cook-Levin Theorem & Implications

- **Theorem (Cook 1971, Levin 1973):**
3-SAT is NP-complete
 For proof see CSE 431
- **Corollary: B is NP-hard \Leftrightarrow 3-SAT \leq_p B**
 - (or $A \leq_p B$ for any NP-complete problem A)
- **Proof:**
 - If B is NP-hard then every problem in NP polynomial-time reduces to B, in particular 3-SAT does since it is in NP
 - For any problem A in NP, $A \leq_p$ 3-SAT and so if $3\text{-SAT} \leq_p B$ we have $A \leq_p B$.
 - therefore B is NP-hard if $3\text{-SAT} \leq_p B$

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Another NP-complete problem: 3-SAT \leq_p Independent-Set

- A Tricky Reduction:
 - mapping CNF formula F to a pair $\langle G, k \rangle$
 - Let m be the number of clauses of F
 - Create a vertex in G for each literal in F
 - Join two vertices u, v in G by an edge iff
 - u and v correspond to literals in the same clause of F, (green edges) or
 - u and v correspond to literals x and $\neg x$ (or vice versa) for some variable x. (red edges).
 - Set $k=m$
 - Clearly polynomial-time

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3-SAT \leq_p Independent-Set

F: $(x_1 \vee \neg x_3 \vee x_4) \wedge (x_2 \vee \neg x_4 \vee x_3) \wedge (x_2 \vee \neg x_1 \vee x_3)$

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3-SAT \leq_p Independent-Set

- Correctness:
 - If F is satisfiable then there is some assignment that satisfies at least one literal in each clause.
 - Consider the set U in G corresponding to the first satisfied literal in each clause.
 - $|U|=m$
 - Since U has only one vertex per clause, no two vertices in U are joined by green edges
 - Since a truth assignment never satisfies both x and $\neg x$, U doesn't contain vertices labeled both x and $\neg x$ and so no vertices in U are joined by red edges
 - Therefore G has an independent set, U, of size at least m
 - Therefore (G, m) is a YES for independent set.

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3-SAT \leq_p Independent-Set

1 0 1 1 0 1 1 0 1

F: $(x_1 \vee \neg x_3 \vee x_4) \wedge (x_2 \vee \neg x_4 \vee x_3) \wedge (x_2 \vee \neg x_1 \vee x_3)$

Given assignment $x_1=x_2=x_3=x_4=1$,
U is as circled

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3-SAT \leq_p Independent-Set

- Correctness continued:
 - If (G, m) is a YES for Independent-Set then there is a set U of m vertices in G containing no edge.
 - Therefore U has precisely one vertex per clause because of the green edges in G.
 - Because of the red edges in G, U does not contain vertices labeled both x and $\neg x$
 - Build a truth assignment A that makes all literals labeling vertices in U true and for any variable not labeling a vertex in U, assigns its truth value arbitrarily.
 - By construction, A satisfies F
 - Therefore F is a YES for 3-SAT.

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3-SAT \leq_p Independent-Set

0 1 0 ? 1 0 ? 1 0

F: $(x_1 \vee \neg x_3 \vee x_4) \wedge (x_2 \vee \neg x_4 \vee x_3) \wedge (x_2 \vee \neg x_1 \vee x_3)$

Given **U**, satisfying assignment is $x_1=x_3=x_4=0, x_2=0$ or 1

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Independent-Set is NP-complete

- We just showed that **Independent-Set** is NP-hard and we already knew **Independent-Set** is in NP.
- Corollary:** **Clique** is NP-complete
 - We showed already that **Independent-Set** \leq_p **Clique** and **Clique** is in NP.

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Problems we already know are NP-complete

- 3-SAT
- Independent-Set
- Clique
- Vertex-Cover
- Set-Cover
- There are 1000's of practical problems that are NP-complete, e.g. scheduling, optimal VLSI layout etc.

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Steps to Proving Problem B is NP-complete

- Show **B** is NP-hard:
 - State: "Reduction is from NP-hard Problem A"
 - Show what the map **f** is
 - Argue that **f** is polynomial time
 - Argue correctness: **two directions** Yes for **A** implies Yes for **B** and vice versa.
- Show **B** is in NP
 - State what hint/certificate is and why it works
 - Argue that it is polynomial-time to check.

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Some other NP-complete examples you should know

- Hamiltonian-Cycle** Given a directed graph **G** is there a cycle in **G** that visits each **vertex** in **G** exactly once?
- Hamiltonian-Path** Given a directed graph **G** is there a path in **G** that visits each **vertex** in **G** exactly once?
 - Both are also NP-complete when **G** is an undirected graph
- Note that deciding the similar questions for **Eulerian-Cycle** and **Eulerian-Path** (which require that each **edge** be visited exactly once rather than each **vertex**) can be done in polynomial time.
 - How?

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Travelling-Salesman Problem (TSP)

- Given a set of **n** cities v_1, \dots, v_n and distances between each pair of cities $d(v_i, v_j)$ what is the shortest tour that visits all the cities?
 - Not a decision problem
- DecisionTSP:**
 - Given a set of distances given by **d** for each pair of cities in v_1, \dots, v_n and an integer **D**, does there exist a tour that visits all cities having total weight at most **D**?

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Hamiltonian-Cycle \leq_p Decision TSP

- Define the reduction
 - Vertices V of $G=(V,E)$ become cities
 - Set $d(v_i, v_j)$ to 1 if $(v_i, v_j) \in E$
2 if not
 - Set $D=|V|$
- Claim:** There is a Hamiltonian cycle in G iff there is a tour of length $|V|$

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Graph Colorability

- Defn:** Given a graph $G=(V,E)$, and an integer k , a k -coloring of G is
 - an assignment of up to k different colors to the vertices of G so that the endpoints of each edge have different colors.
- 3-Color:** Given a graph $G=(V,E)$, does G have a 3-coloring?
- Claim:** 3-Color is NP-complete
- Proof:** 3-Color is in NP:
 - Hint is an assignment of red, green, blue to the vertices of G
 - Easy to check that each edge is colored correctly

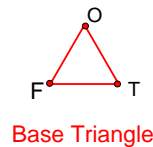
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3-SAT \leq_p 3-Color

- Reduction:**
 - We want to map a 3-CNF formula F to a graph G so that
 - G is 3-colorable iff F is satisfiable

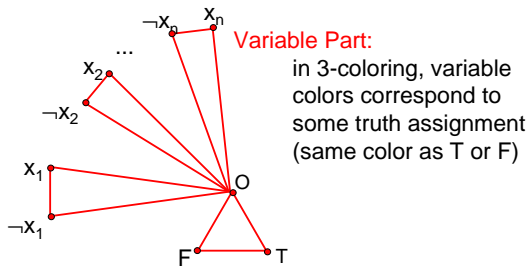
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3-SAT \leq_p 3-Color



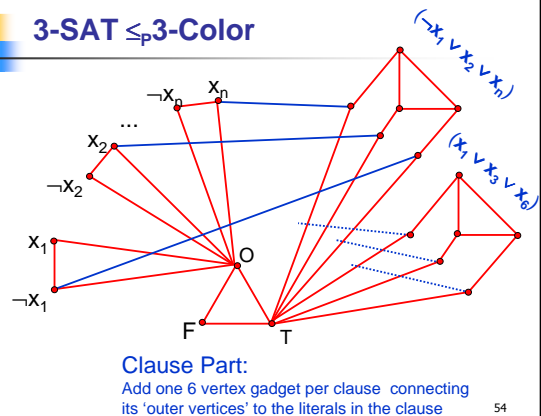
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3-SAT \leq_p 3-Color



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3-SAT \leq_p 3-Color



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3-SAT \leq_p 3-Color

Any truth assignment satisfying the formula can be extended to a 3-coloring of the graph

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3-SAT \leq_p 3-Color

Any 3-coloring of the graph colors each gadget triangle using each color

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3-SAT \leq_p 3-Color

Any 3-coloring of the graph has an F opposite the O color in the triangle of each gadget

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3-SAT \leq_p 3-Color

Any 3-coloring of the graph has T at the other end of the blue edge connected to the F

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3-SAT \leq_p 3-Color

Any 3-coloring of the graph yields a satisfying assignment to the formula

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More NP-completeness

- **Subset-Sum problem**
 - Given n integers w_1, \dots, w_n and integer W
 - Is there a subset of the n input integers that adds up to exactly W ?
- $O(nW)$ solution from dynamic programming but if W and each w_i can be n bits long then this is exponential time

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3-SAT \leq_p Subset-Sum

- Given a 3-CNF formula with m clauses and n variables
- Will create $2m+2n$ numbers that are $m+n$ digits long
 - Two numbers for each variable x_i
 - t_i and f_i (corresponding to x_i being true or x_i being false)
 - Two extra numbers for each clause
 - u_j and v_j (filler variables to handle number of false literals in clause C_j)

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3-SAT \leq_p Subset-Sum

	i			j										
	1	2	3	4	...	n	1	2	3	4	...	m		
t_1	1	0	0	0	...	0	0	0	0	1	0	...	1	
f_1	1	0	0	0	...	0	1	0	0	1	0	...	0	
t_2	0	1	0	0	...	0	0	1	0	0	...	1		
f_2	0	1	0	0	...	0	0	0	1	1	...	0		
		
$u_1=v_1$	0	0	0	0	...	0	1	0	0	0	...	0		
$u_2=v_2$	0	0	0	0	...	0	0	1	0	0	...	0		
		
W	1	1	1	1	...	1	3	3	3	3	...	3		

$C_3=(x_1 \vee \neg x_2 \vee x_3)$
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Matching Problems

- Perfect Bipartite Matching**
 - Given a bipartite graph $G=(V,E)$ where $V=X \cup Y$ and $E \subseteq X \times Y$, is there a set M in E such that every vertex in V is in precisely one edge of M ?
- In P
 - Network Flow gives $O(nm)$ algorithm where $n=|V|$, $m=|E|$.

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3-Dimensional Matching

- Perfect Bipartite Matching** is in P
 - Given a bipartite graph $G=(V,E)$ where $V=X \cup Y$ and $E \subseteq X \times Y$, is there a subset M in E such that every vertex in V is in precisely one edge of M ?
- 3-Dimensional Matching**
 - Given a tripartite hypergraph $G=(V,E)$ where $V=X \cup Y \cup Z$ and $E \subseteq X \times Y \times Z$, is there a subset M in E such that every vertex in V is in precisely one hyperedge of M ?
 - is in NP : Certificate is the set M

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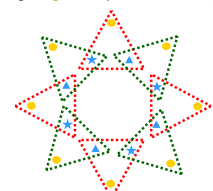
3-Dimensional Matching

- Theorem: 3-Dimensional Matching** is NP -complete
- Proof:**
 - We've already seen that it is in NP
 - 3-Dimensional Matching** is NP -hard:
 - Reduction from **3-SAT**
 - Given a 3-CNF formula F we create a tripartite hypergraph ("hyperedges" are triangles) G based on F as follows

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3-SAT \leq_p 3-Dimensional Matching

- Variable part:**
 - If variable x_i occurs r_i times in F create r_i red and r_i green triangles linked in a circle, one pair per occurrence
 - Perfect matching M must either use all the green edges leaving red tips uncovered (x_i is assigned false) or all the red edges leaving all green tips uncovered (x_i is assigned true)



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3-SAT \leq_p 3-Dimensional Matching

- Clause part:** Two new nodes per clause joined to each of its literals:

$C_3 = (x_1 \vee \neg x_2 \vee x_3)$

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3-SAT \leq_p 3-Dimensional Matching

- Slack:** If there are m clauses then there are $3m$ variable occurrences. That means $3m$ total tips are not covered by whichever of red or green triangles not chosen. Of these, m are covered if each clause is satisfied. Need to cover the remaining $2m$ tips.

Solution: Add $2m$ pairs of slack vertices
Add triangles joining each pair with every tip!

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3-SAT \leq_p 3-Dimensional Matching

- Well-formed:** Each triangle has one of each type of node:
- Correctness:**
 - If F has a satisfying assignment then choose the following triangles which form a perfect 3-dimensional matching in G :
 - Either the red or the green triangles in the cycle for x_i - the opposite of the assignment to x_i
 - The triangle containing the first true literal for each clause and the two clause nodes
 - $2m$ slack triangles one per new pair of nodes to cover all the remaining tips

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3-SAT \leq_p 3-Dimensional Matching

- Correctness continued:**
 - If G has a perfect 3-dimensional matching then:
 - Each blue node in the cycle for each x_i is contained in exactly two triangles, exactly one of which must be in M . If one triangle in the cycle is in M , the others must be the same color. We use the color not used to define the truth assignment to x_i
 - The two nodes for any clause must be contained in an edge which must also contain a third node that corresponds to a literal made true by the truth assignment. Therefore the truth assignment satisfies F so it is satisfiable.

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P vs NP

<ul style="list-style-type: none"> Theory <ul style="list-style-type: none"> $P = NP?$ Open Problem! Bet against it 	<ul style="list-style-type: none"> Practice <ul style="list-style-type: none"> 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
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Is NP as bad as it gets?

- NO!** NP-complete problems are frequently encountered, but there are worse:
 - Some problems provably require exponential time.
 - Ex: Does M halt on input x in $2^{|x|}$ steps?
 - Some require $2^n, 2^{2^n}, 2^{2^{2^n}}, \dots$ steps
- And some are just plain uncomputable

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