

# CSE 421: Introduction to Algorithms

## NP-completeness

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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
- $A \leq_p B$  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  $G$   
 $\Leftrightarrow U$  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:**
  - $\Rightarrow$  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
  - $\Leftarrow$  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 ≠ 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!*

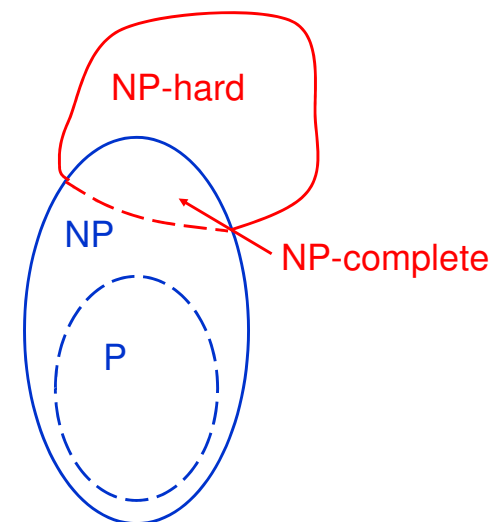
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## NP-hardness & NP-completeness

- 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  $A \in \text{NP}$
- 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-SAT**  $\leq_p$  **B** we have **A**  $\leq_p$  **B**.
    - therefore **B** is **NP**-hard if **3-SAT**  $\leq_p$  **B**

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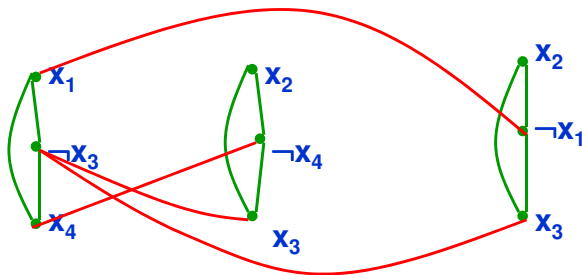
## Another NP-complete problem: 3-SAT $\leq_p$ Independent-Set

- A Tricky Reduction:
  - mapping CNF formula **F** to a pair  $\langle \mathbf{G}, k \rangle$
  - 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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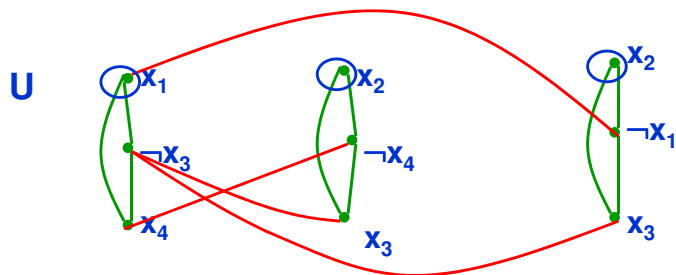
## 3-SAT $\leq_p$ Independent-Set

- 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**.
    - $|\mathbf{U}|=m$
    - 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  $(\mathbf{G}, m)$  is a **YES** for independent set.

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### 3-SAT $\leq_p$ Independent-Set

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



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

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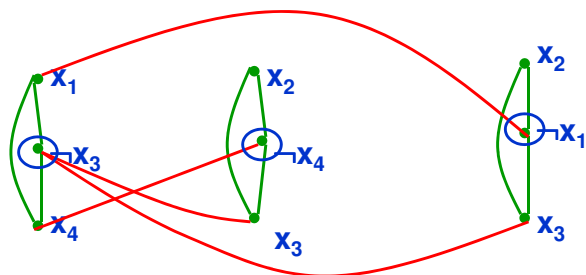
### 3-SAT $\leq_p$ Independent-Set

- 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

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



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 $\leq_p$ DecisionTSP

- 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

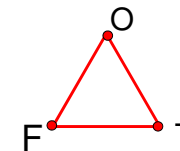
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## 3-SAT $\leq_p$ 3-Color

- 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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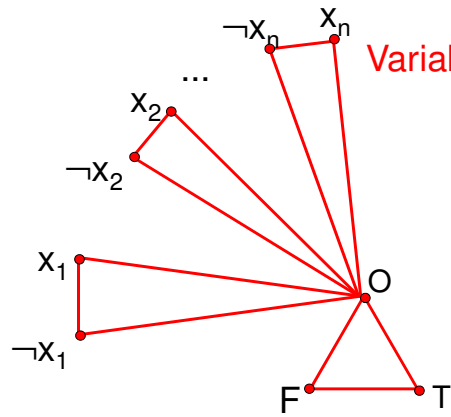
## 3-SAT $\leq_p$ 3-Color



Base Triangle

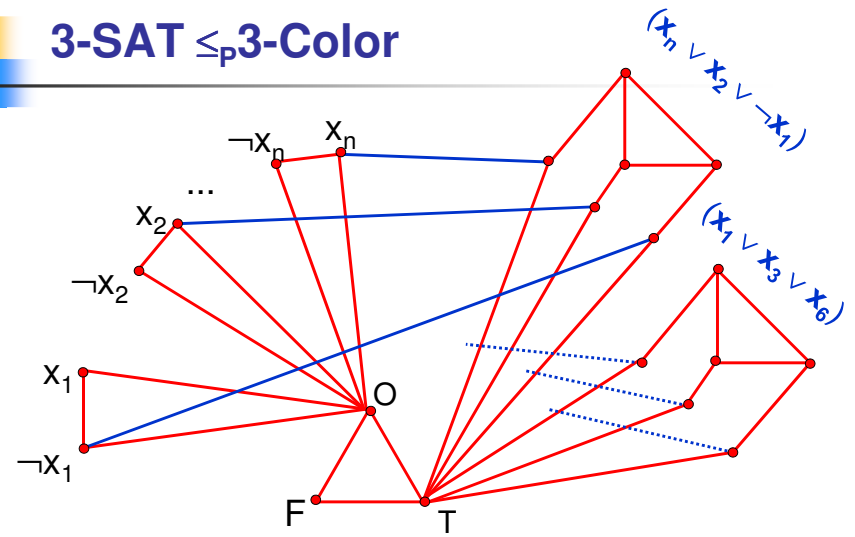
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# 3-SAT $\leq_p$ 3-Color



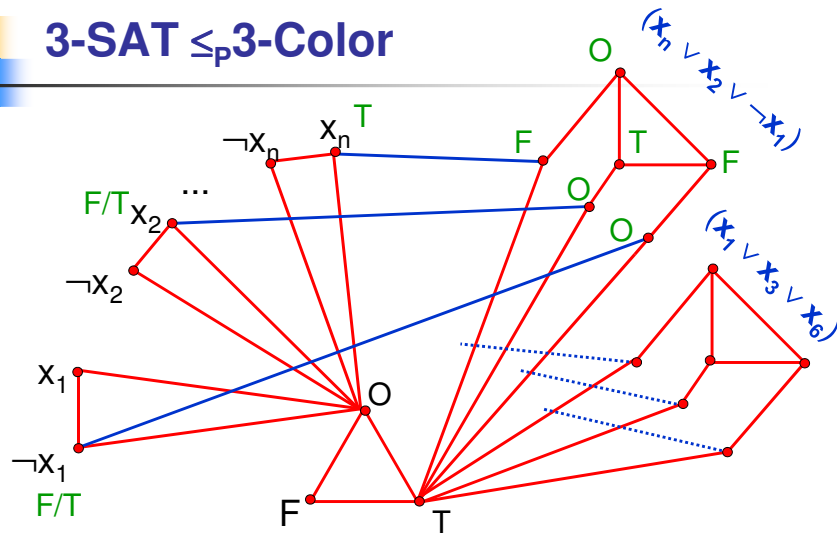
**Variable Part:**  
 in 3-coloring, variable colors correspond to some truth assignment (same color as T or F)

# 3-SAT $\leq_p$ 3-Color



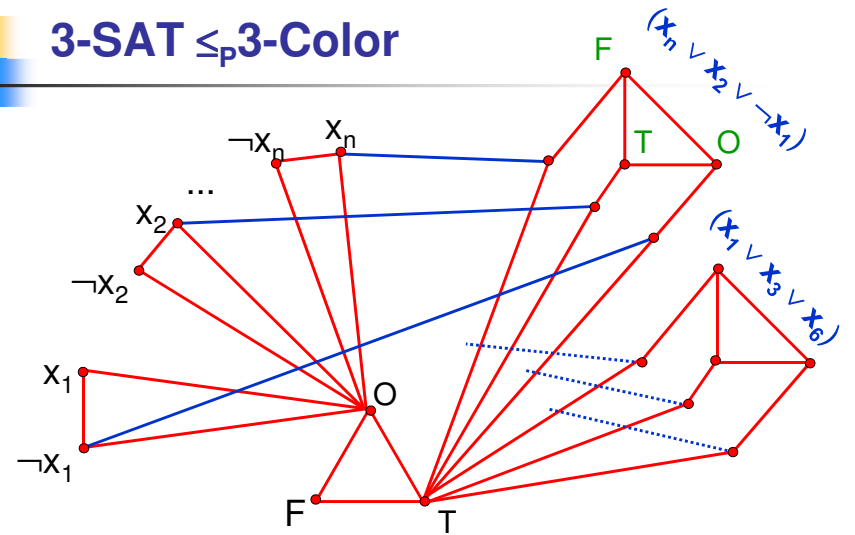
**Clause Part:**  
 Add one 6 vertex gadget per clause connecting its 'outer vertices' to the literals in the clause

# 3-SAT $\leq_p$ 3-Color



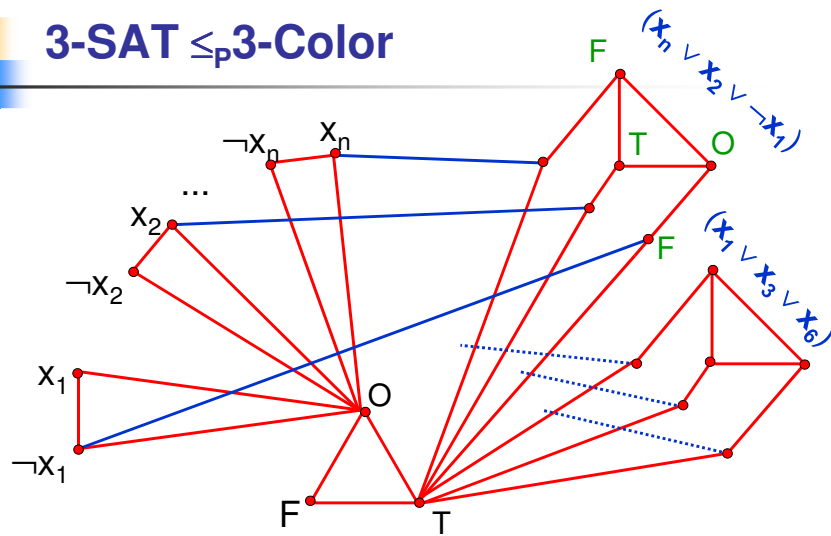
Any truth assignment satisfying the formula can be extended to a 3-coloring of the graph

# 3-SAT $\leq_p$ 3-Color



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

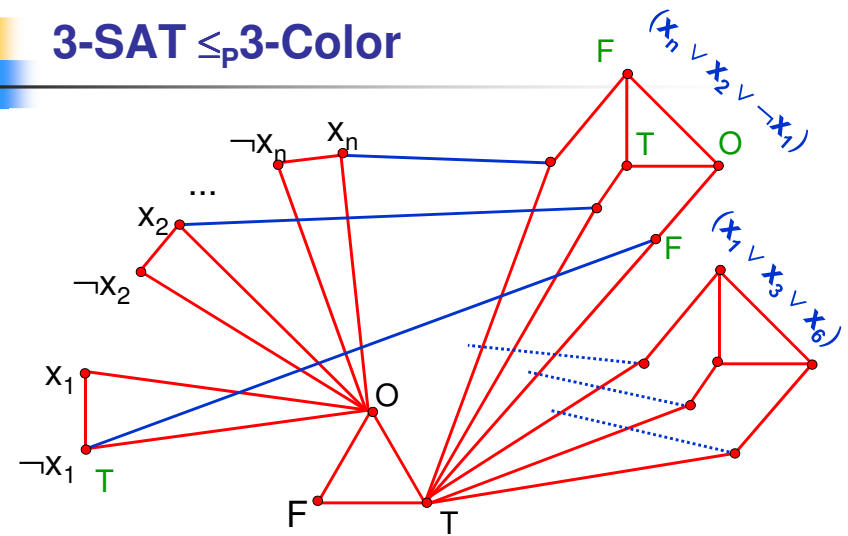
## 3-SAT $\leq_p$ 3-Color



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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## More NP-completeness

- **Subset-Sum problem**  
(Decision version of **Knapsack**)
  - 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

$C_3 = (x_1 \vee \neg x_2 \vee x_5)$

|             | i |   |   |   | j   |   |   |   |   |   |     |   |
|-------------|---|---|---|---|-----|---|---|---|---|---|-----|---|
|             | 1 | 2 | 3 | 4 | ... | n | 1 | 2 | 3 | 4 | ... | m |
| $t_1$       | 1 | 0 | 0 | 0 | ... | 0 | 0 | 0 | 1 | 0 | ... | 1 |
| $f_1$       | 1 | 0 | 0 | 0 | ... | 0 | 1 | 0 | 0 | 1 | ... | 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 |

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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

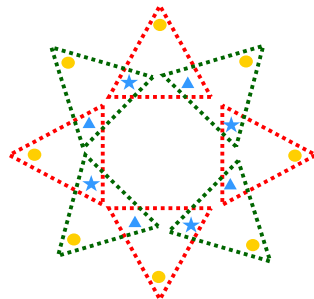
- **Theorem: 3-Dimensional Matching** is  $NP$ -complete
- **Proof:**
  - We've already seen that it is in  $NP$
  - **3-Dimensional Matching** is  $NP$ -hard:
    - Reduction from **3-SAT**
    - Given a 3-CNF formula  $F$  we create a tripartite hypergraph ("hyperedges" are triangles)  $G$  based on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

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## 3-SAT $\leq_p$ 3-Dimensional Matching

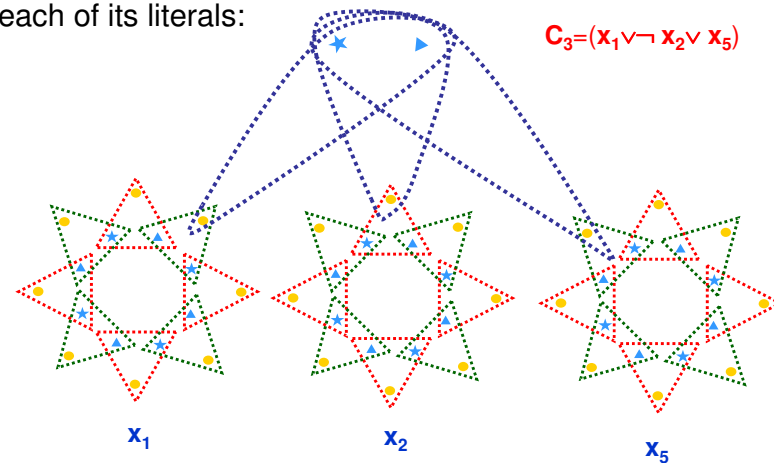
- Variable part:
  - If variable  $x_i$  occurs  $r_i$  times in  $F$  create  $r_i$  red and  $r_i$  green triangles linked in a circle, one pair per occurrence
    - Perfect matching  $M$  must either use all the green edges leaving red tips uncovered ( $x_i$  is assigned false) or all the red edges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

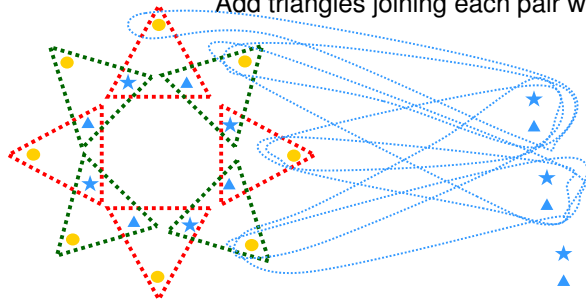


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## 3-SAT $\leq_p$ 3-Dimensional Matching

- 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

- **Theory**
  - **P = NP?**
  - Open Problem!
  - 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

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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  $2^n$ ,  $2^{2^n}$ ,  $2^{2^{2^n}}$ , ... steps
  - And some are just plain uncomputable

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