

# **CSE 421: Introduction to Algorithms**



---

## **NP-completeness**

Paul Beame



# 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**



# 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**”



# 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**



# 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



# 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”.



# 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



## 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?





# 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  $G'$



# 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?



# 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



# 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



# Reductions from a Special Case to a General Case

---

- Show: **Vertex-Cover**  $\leq_p$  **Set-Cover**
- **Vertex-Cover:**
  - Given an undirected graph  $\mathbf{G}=(\mathbf{V},\mathbf{E})$  and an integer  $\mathbf{k}$  is there a subset  $\mathbf{W}$  of  $\mathbf{V}$  of size at most  $\mathbf{k}$  such that every edge of  $\mathbf{G}$  has at least one endpoint in  $\mathbf{W}$ ? (i.e.  $\mathbf{W}$  covers all edges of  $\mathbf{G}$ )?
- **Set-Cover:**
  - Given a set  $\mathbf{U}$  of  $\mathbf{n}$  elements, a collection  $\mathbf{S}_1,\dots,\mathbf{S}_m$  of subsets of  $\mathbf{U}$ , and an integer  $\mathbf{k}$ , does there exist a collection of at most  $\mathbf{k}$  sets whose union is equal to  $\mathbf{U}$ ?



# The Simple Reduction

---

- Transformation **f** maps  $(\mathbf{G}=(\mathbf{V},\mathbf{E}),\mathbf{k})$  to  $(\mathbf{U},\mathbf{S}_1,\dots,\mathbf{S}_m,\mathbf{k}')$ 
  - $\mathbf{U}\leftarrow\mathbf{E}$
  - For each vertex  $\mathbf{v}\in\mathbf{V}$  create a set  $\mathbf{S}_v$  containing all edges that touch  $\mathbf{v}$
  - $\mathbf{k}'\leftarrow\mathbf{k}$
- Reduction **f** is clearly polynomial-time to compute
- We need to prove that the resulting algorithm gives the right answer!



# Proof of Correctness

---

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



# 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.





# 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.



## 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**?



# 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



# 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?



## 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.



# 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



## 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**



## Example: CLIQUE is in NP

---

procedure **verify**(**x**,**t**)

if

**x** is a well-formed representation of a graph  $\mathbf{G} = (\mathbf{V}, \mathbf{E})$  and an integer **k**,

and

**t** is a well-formed representation of a vertex subset  $\mathbf{U}$  of  $\mathbf{V}$  of size **k**,

and

$\mathbf{U}$  is a clique in  $\mathbf{G}$ ,

then output "**YES**"

else output "**I'm unconvinced**"





## Is it correct?

---

For every  $x = (\mathbf{G}, k)$  such that  $\mathbf{G}$  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)
- $x = (\mathbf{G}, k)$  but  $\mathbf{G}$  does not have any cliques of size  $k$  (the interesting case)



## 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?



# 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.



# 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



# 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.  **$P \neq NP$**



# 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!*

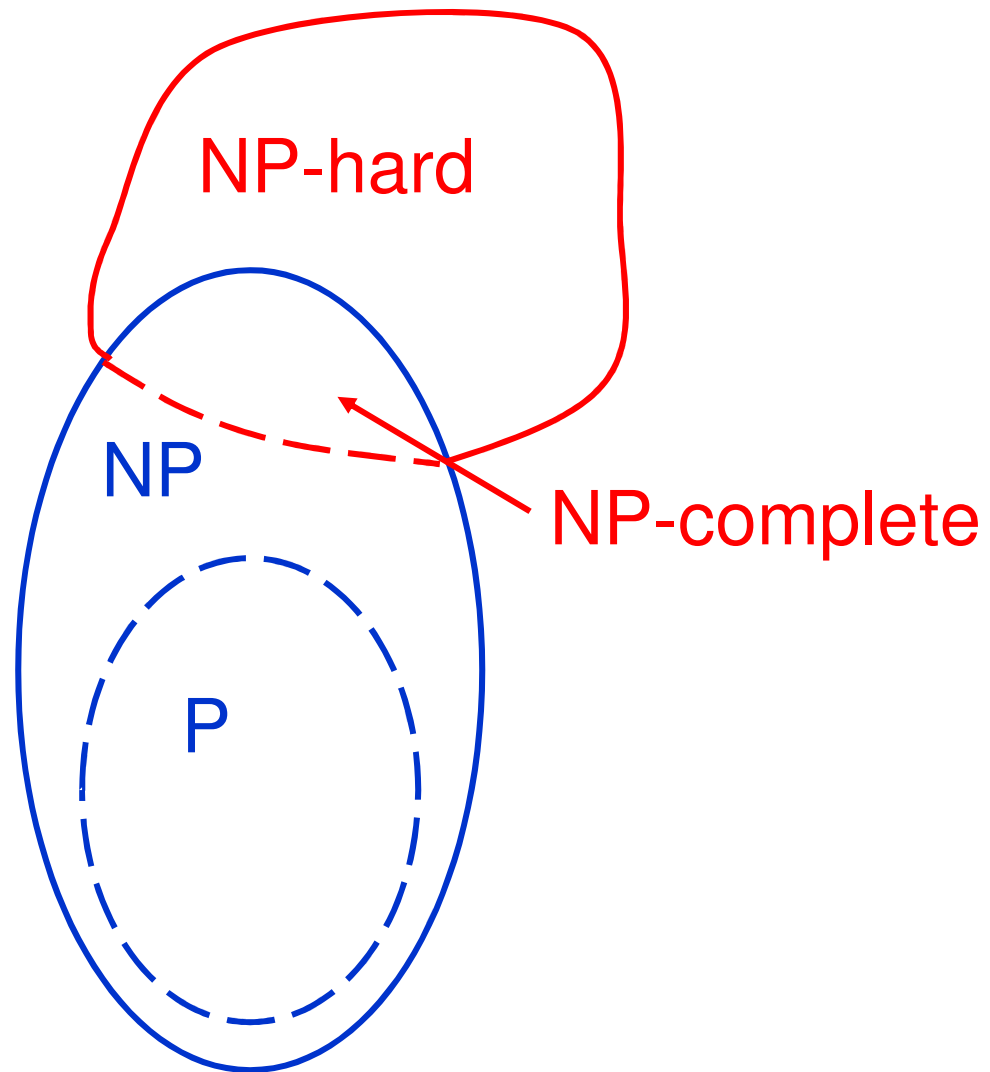


# NP-hardness & NP-completeness

---

- 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**

# P and NP







# 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!



# 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?



# 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**



# 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



# 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**



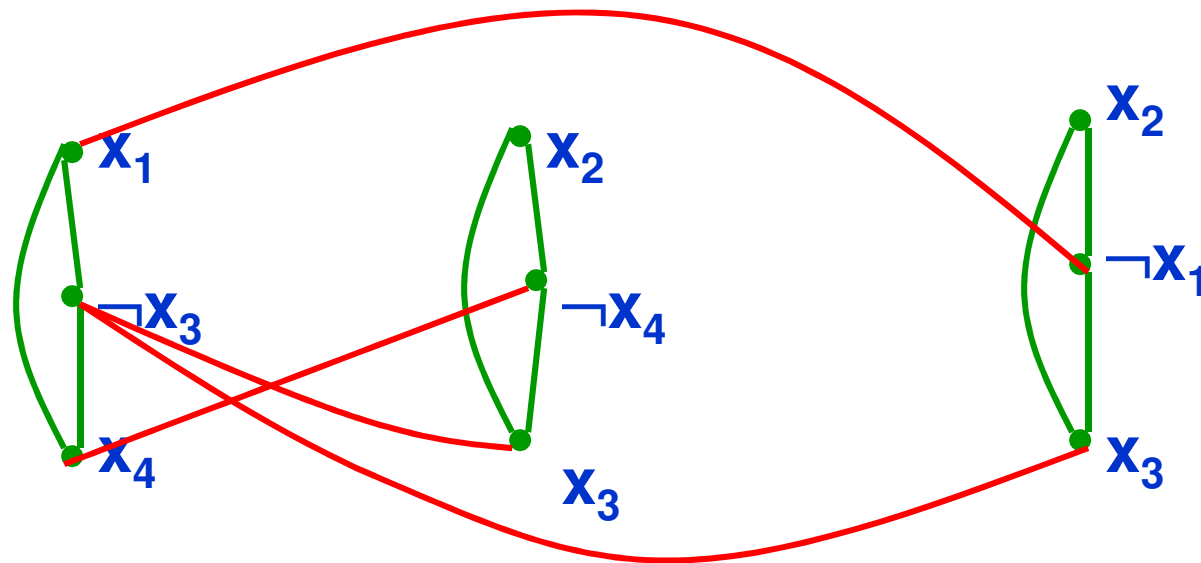
# Another NP-complete problem: 3-SAT $\leq_p$ Independent-Set

---

- 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  $\neg \mathbf{x}$  (or vice versa) for some variable **x**. (red edges).
  - Set **k=m**
  - Clearly polynomial-time

# 3-SAT $\leq_p$ Independent-Set

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





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

---

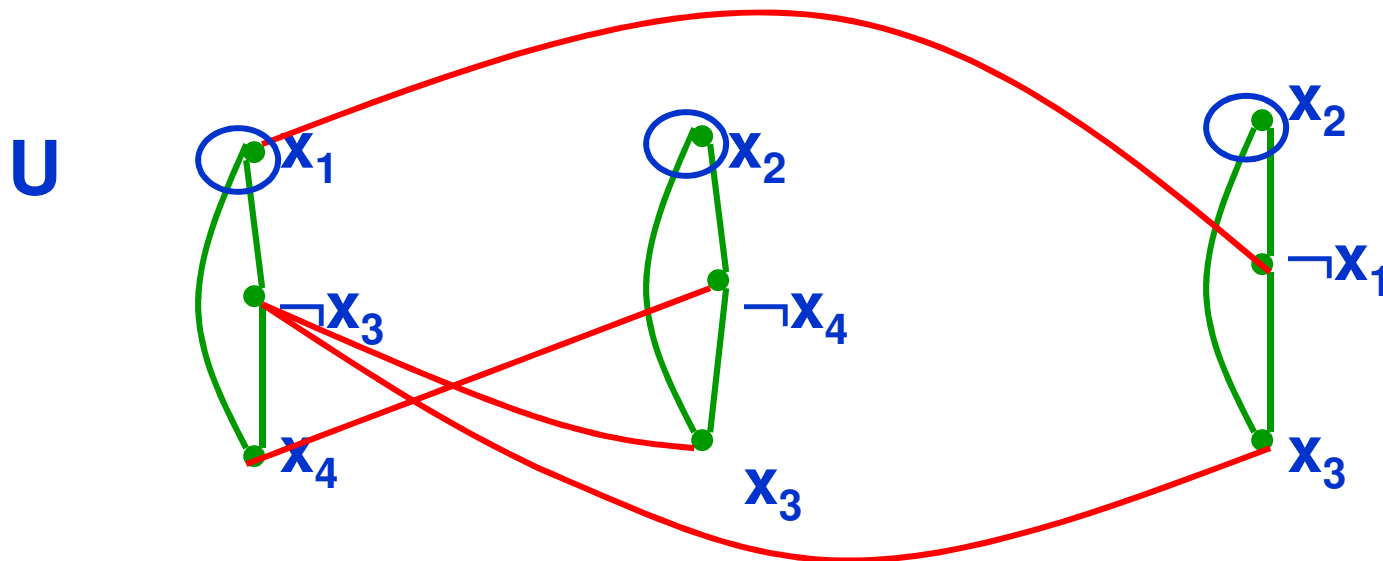
- Correctness:
  - If **F** is **satisfiable** then there is some assignment that satisfies at least one literal in each clause.
  - Consider the set **U** in **G** corresponding to the **first satisfied literal in each clause**.
    - $|\mathbf{U}|=m$
    - Since **U** has only one vertex per clause,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



# 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



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

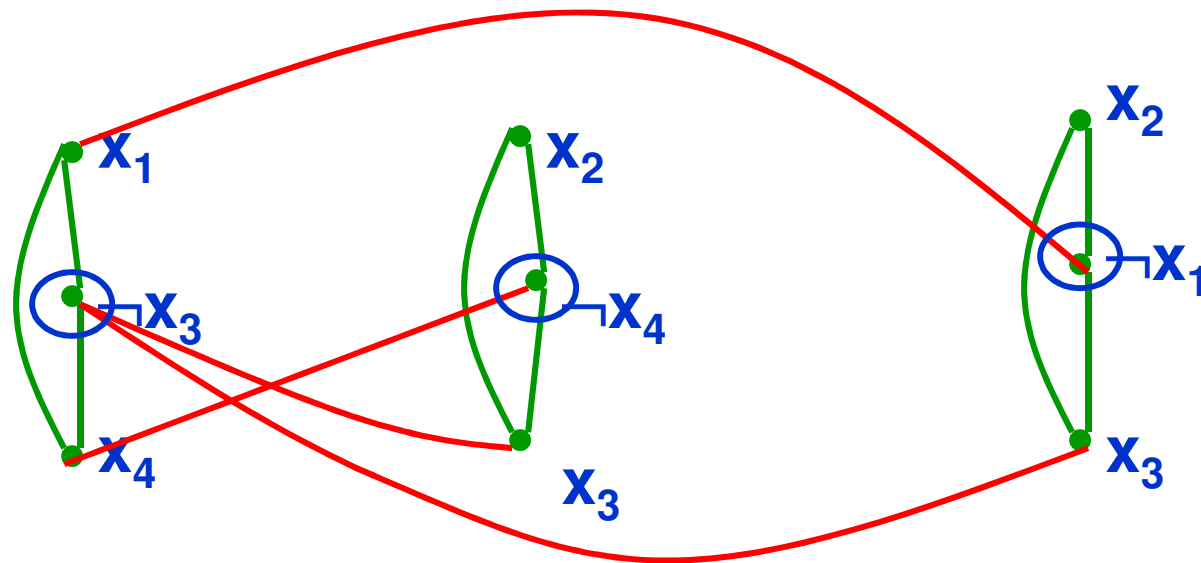
---

- 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**.

# 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  $\mathbf{U}$ , satisfying assignment  
is  $x_1 = x_3 = x_4 = 0$ ,  $x_2 = 0$  or  $1$



# 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.



# 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.



# 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.

# 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?



# 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  $D$ ?





# 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  $|V|$



# 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



# 3-SAT $\leq_p$ 3-Color

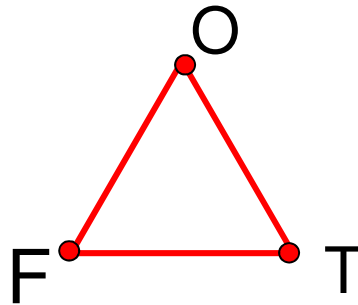
---

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



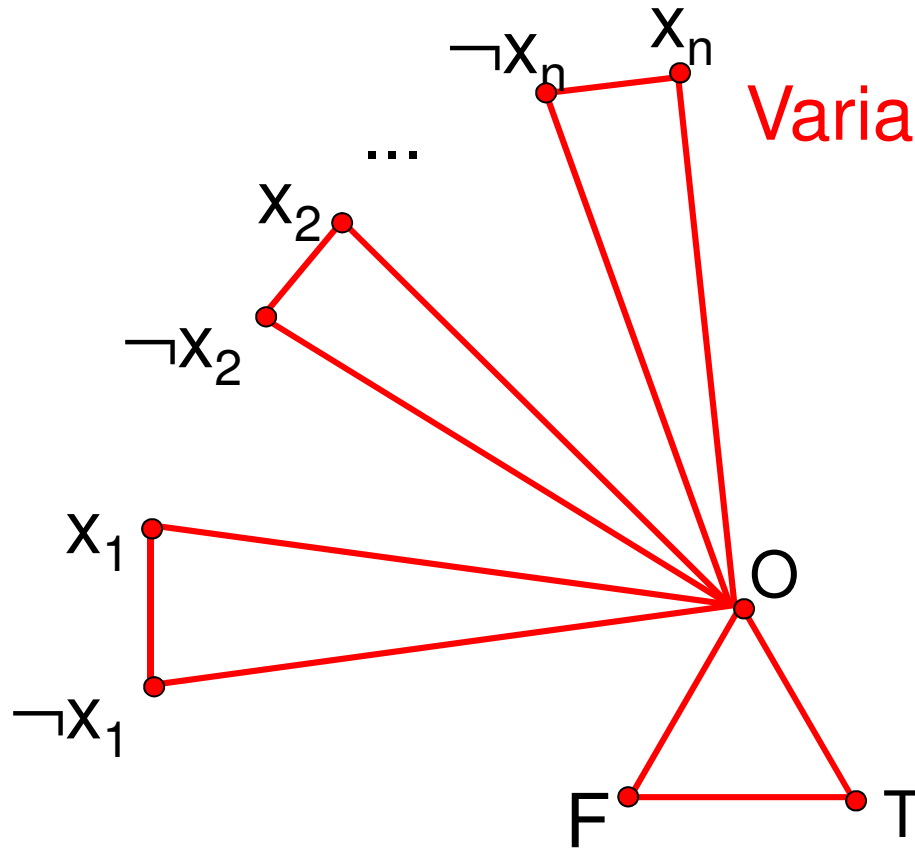
# 3-SAT $\leq_p$ 3-Color

---



Base Triangle

# 3-SAT $\leq_p$ 3-Color

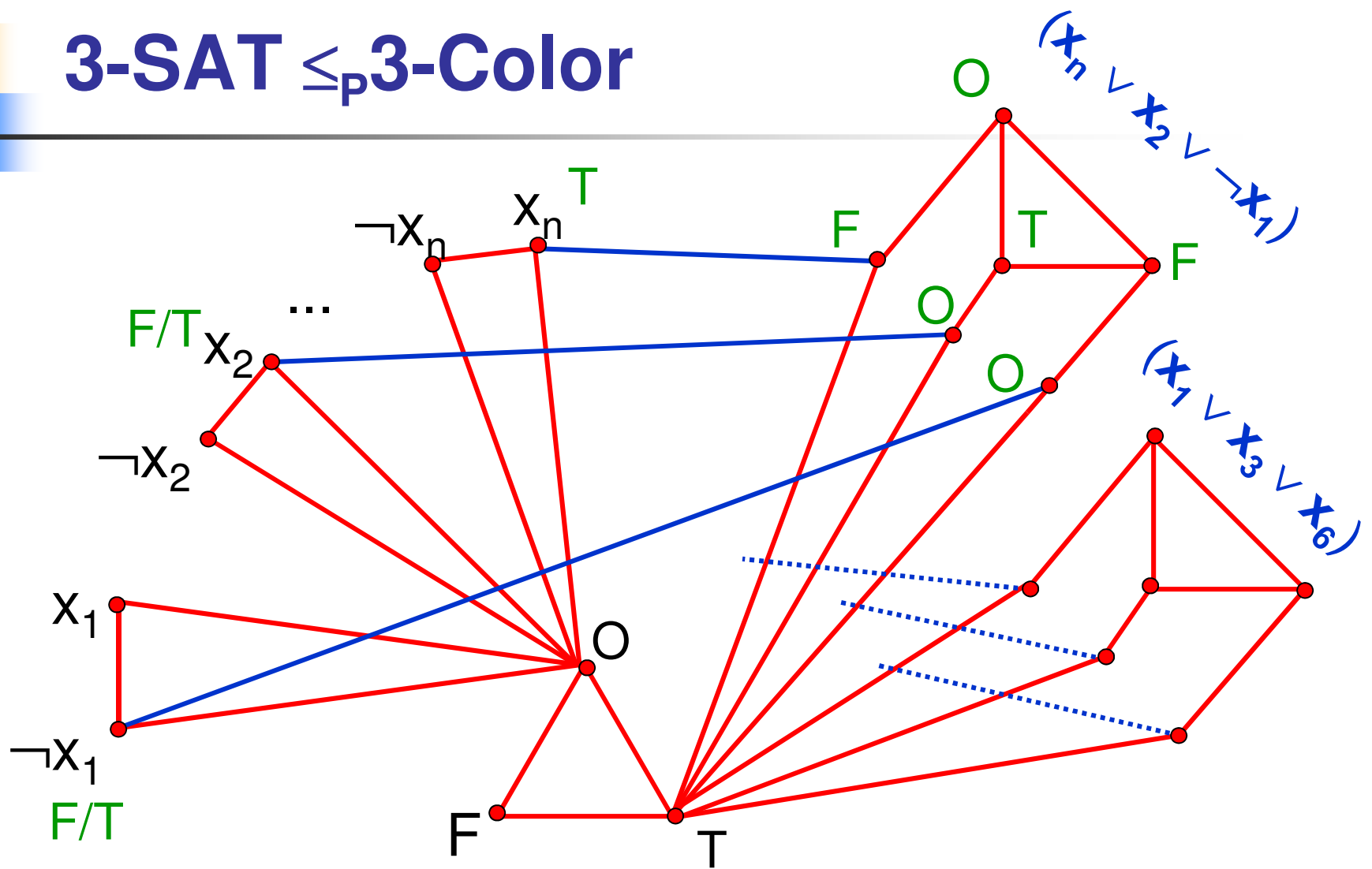


**Variable Part:**

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

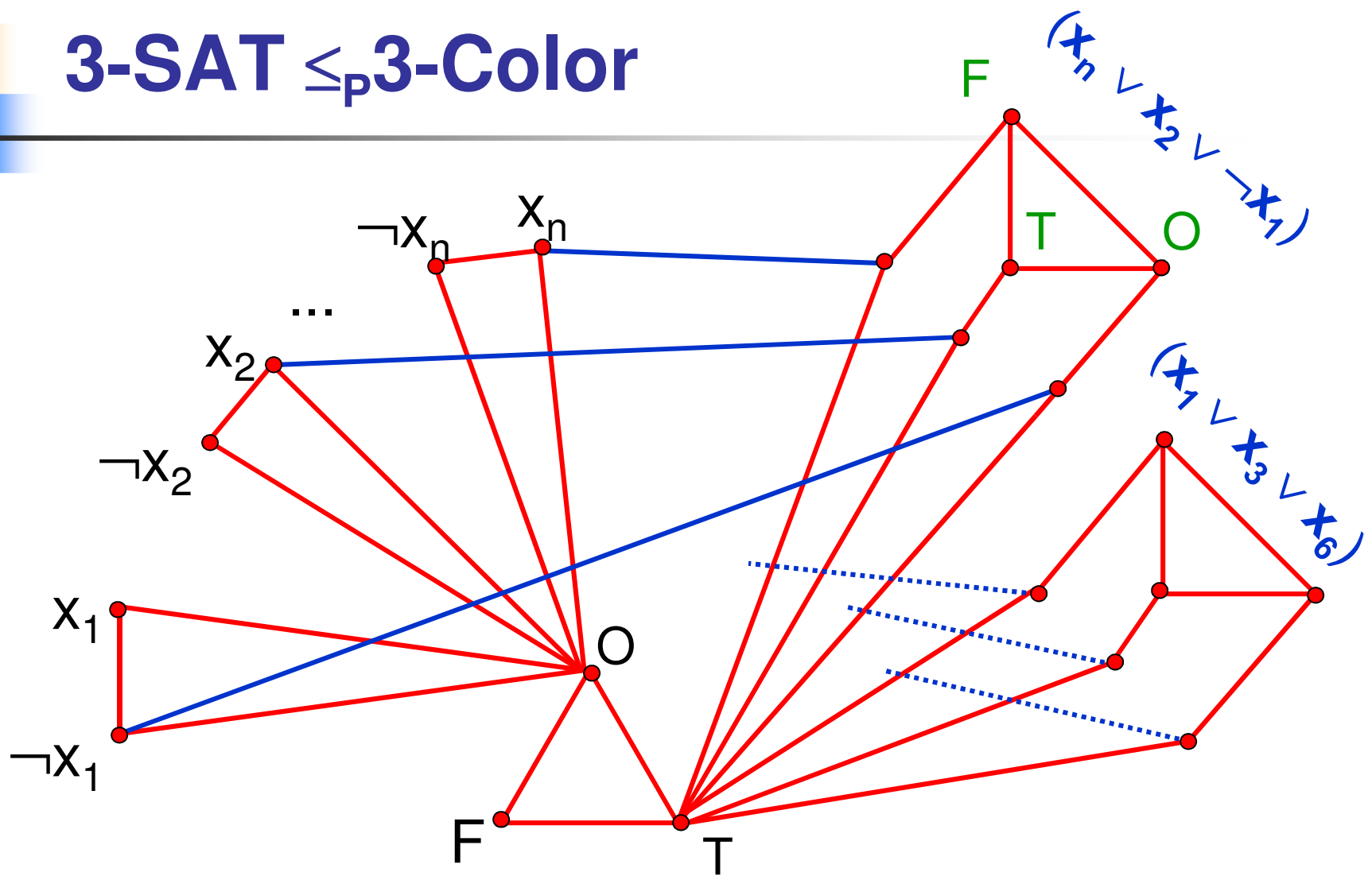


# 3-SAT $\leq_p$ 3-Color



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

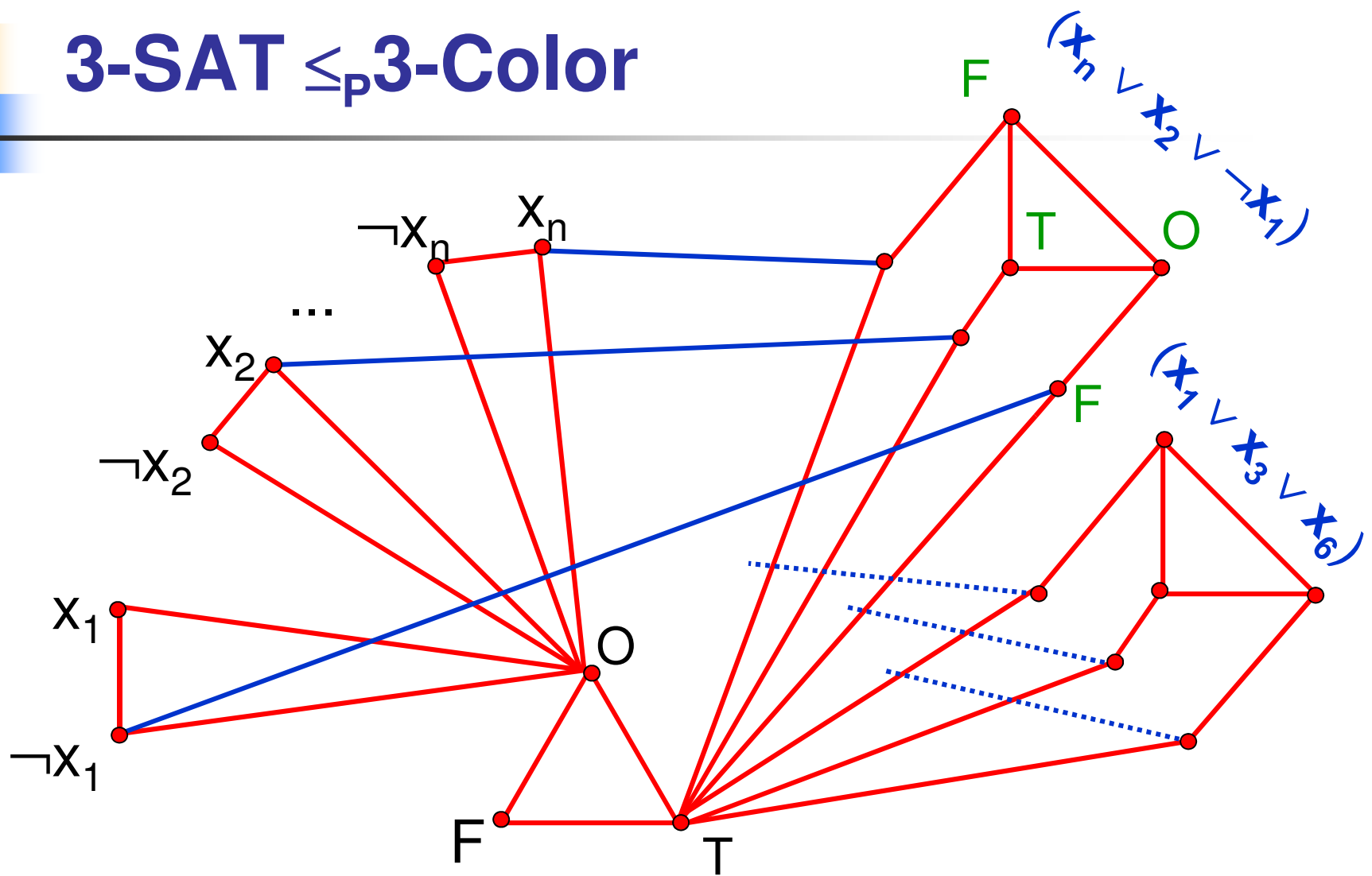
# 3-SAT $\leq_p$ 3-Color



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

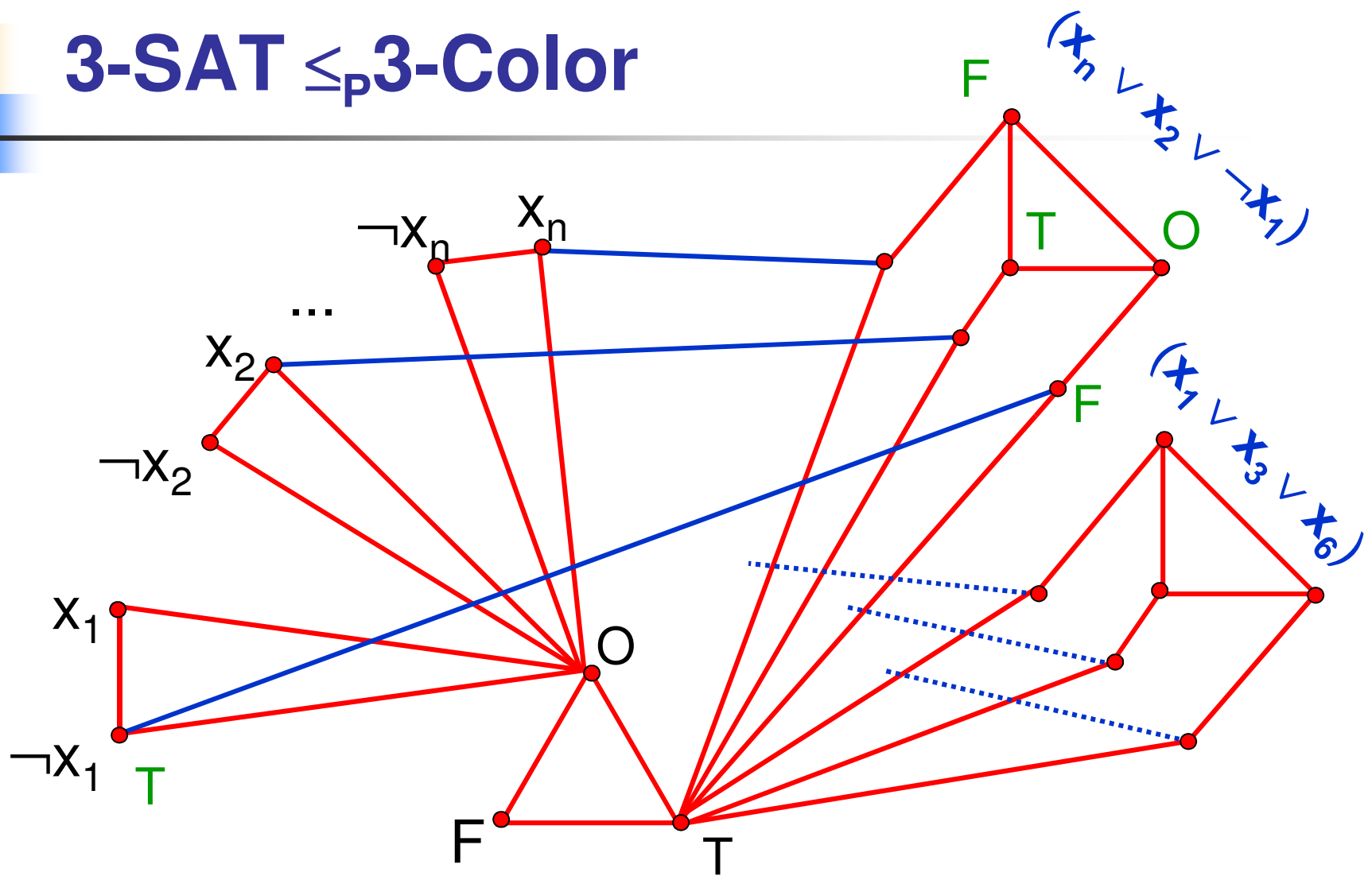


# 3-SAT $\leq_p$ 3-Color



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

# 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



# 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



## 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<sub>i</sub>**
    - **t<sub>i</sub>** and **f<sub>i</sub>** (corresponding to **x<sub>i</sub>** being true or **x<sub>i</sub>** being false)
  - Two extra numbers for each clause
    - **u<sub>j</sub>** and **v<sub>j</sub>** (filler variables to handle number of false literals in clause **C<sub>j</sub>**)

# 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	1	0	...	1	$C_3 = (x_1 \vee \neg x_2 \vee x_5)$
$f_1$		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	
						...						....		
<b>W</b>		1	1	1	1	...	1	3	3	3	3	...	3	



# 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  $n=|V|$ ,  $m=|E|$ .



# 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  $M$



# 3-Dimensional Matching

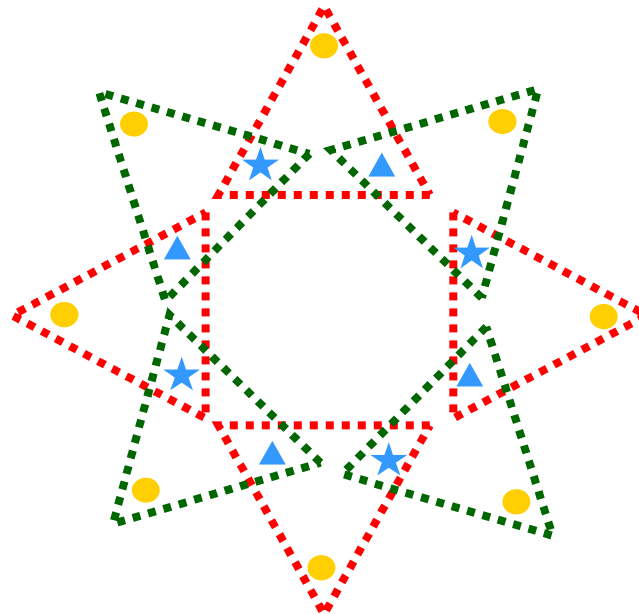
---

- **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



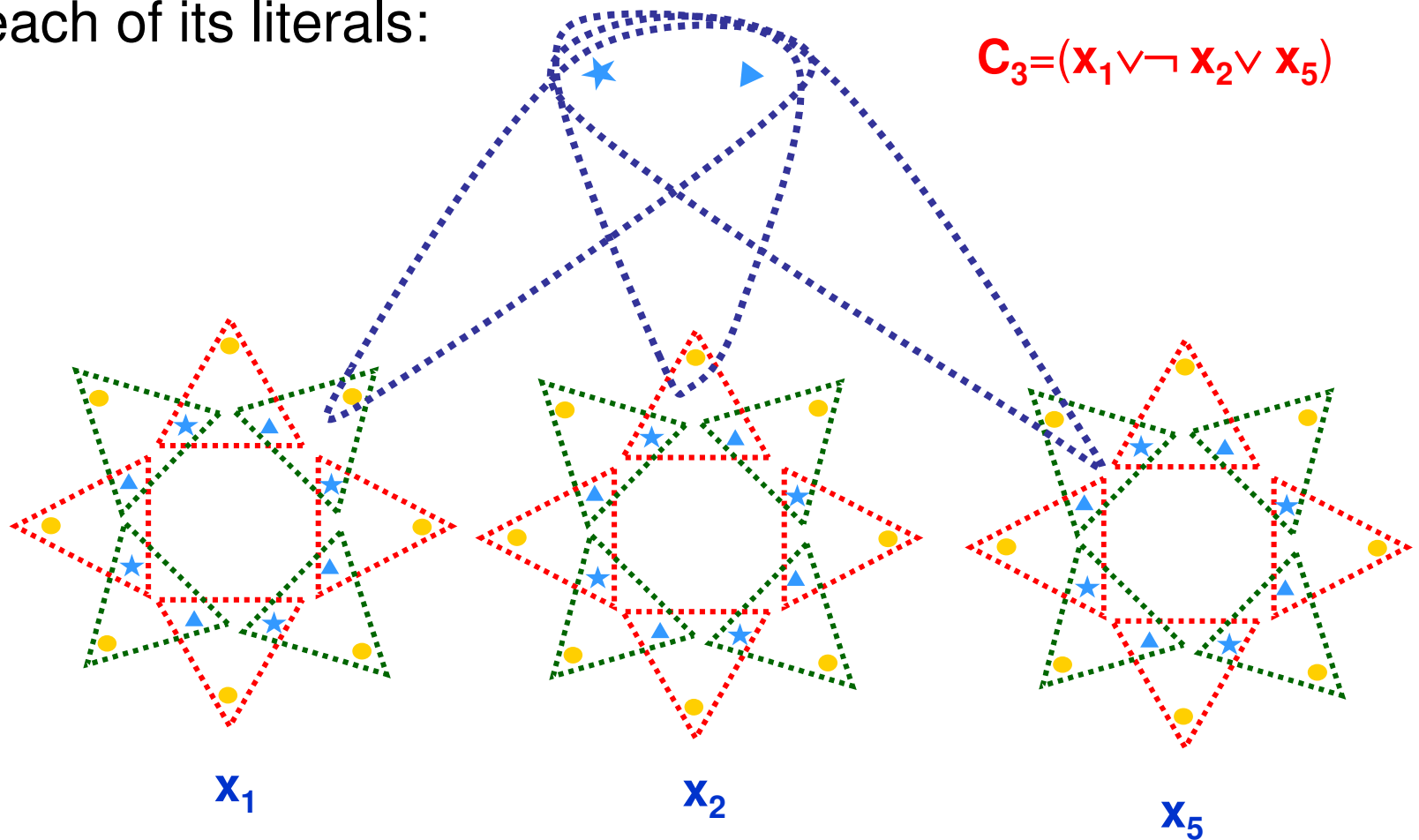
# 3-SAT $\leq_p$ 3-Dimensional Matching

- 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)



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

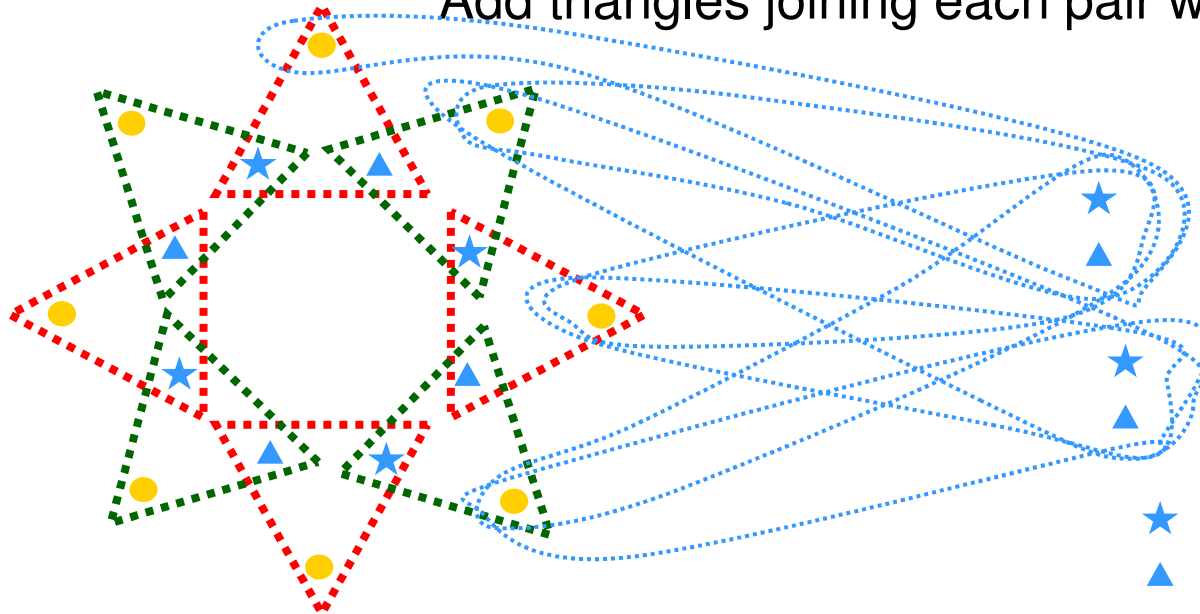
- **Clause part:** Two new nodes per clause joined to each of its literals:



# 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!





# 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



# 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.



# 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



# 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