CSE 5311 Notes 11: Intractability

(Last updated 3/27/17 5:00 PM)

ELEMENTARY CONCEPTS

Satisfiability: $(p \lor q) \land (p \lor \overline{q}) \land (\overline{p} \lor q) \land (\overline{p} \lor \overline{q})$

Is there an assignment? (Decision problem, rather than an optimization problem)

Similar to debugging a logic circuit - Is there an input case that turns on the output LED?

Aside: Evaluating one input setting for a circuit is P-complete \Rightarrow hard to massively parallelize.

https://en.wikipedia.org/wiki/Boolean_satisfiability_problem

https://complexityzoo.uwaterloo.ca

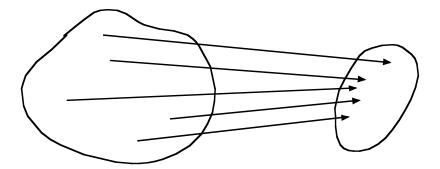
NP-complete means (informally):

- 1. The problem may be computed ("decided") in nondeterministic polynomial time.
 - a. Guess a solution (polynomial time easy to get)
 - b. Check the solution in polynomial time (deterministic).

Checking ("verification") is easier than computing.

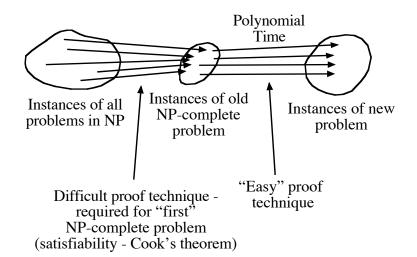
2. All problems in NP may be transformed ("reduced") to this problem in polynomial time.

If an instance of one problem is transformed to an instance of another, the new problem has a solution iff the old problem has a solution.





Showing that all NP problems reduce to new problem is unnecessary. Instead, find another NP-complete problem:



Property 1 without property 2 - problem is just in NP (upper bound). Example: Is a table sorted?

Property 2 without property 1 - problem is said to be "NP-hard" (lower bound - at least as difficult as all other problems in NP). Note: property 1 is usually trivial to establish and is often omitted in proofs.

Significance of a problem being NP-complete

No polynomial-time algorithm is known for any NP-complete problem. (Only exponential time)

If a polynomial-time algorithm is known for one NP-complete problem, then there is a polynomial-time algorithm for every NP-complete problem.

Exponential lower bound has never been shown.

If difficult instances of an NP-complete problem arise in practice, then approximation schemes with bounds on the quality of the solution are needed.

What about playing chess?

Example Problems:

Satisfiability

Graph (Vertex) Coloring

Job Scheduling with Penalties - durations, deadlines, penalties (single processor)

Bin Packing - how many fixed-sized bins are needed to hold variable-sized objects?

Knapsack - how many objects with different profits and sizes should go into a knapsack?

Subset Sums - is there a subset whose sum is a particular value?

Hamiltonian Path - does a graph (or digraph) have a path including each vertex exactly once?

Hamiltonian Circuit - is there a cycle including each vertex exactly once?

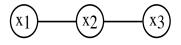
Traveling Salesperson - minimize distance for Hamiltonian circuit

Steiner subgraph - is there a connected subgraph (tree) that includes designated *terminal* vertices and whose total weight does not exceed a given value? (Euclidean version is NP-hard, http://www.geosteiner.com)

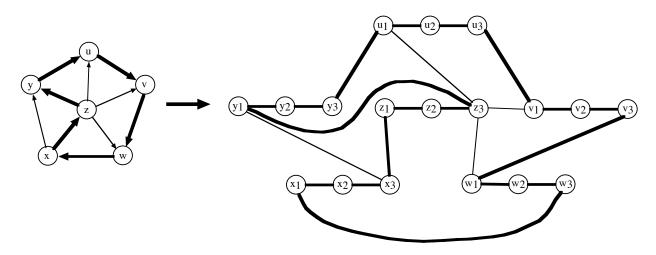
Exact spanning tree

REDUCTIONS

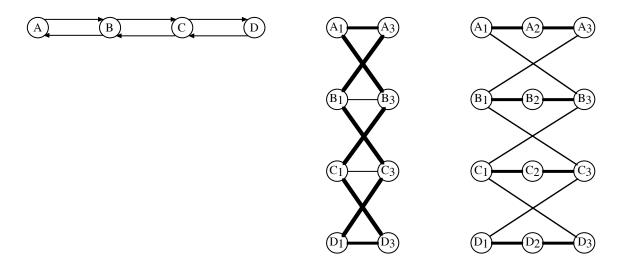
- Important resource M.R. Garey and D.S. Johnson, *Computers and Intractability: A Guide to the Theory of NP-Completeness*, Freeman, 1979.
- Suppose you know *directed* Hamiltonian circuit is NP-complete. Show that *undirected* Hamiltonian circuit is NP-complete (CLRS 34.5.3, especially Figure 34.17, gives a reduction from vertex cover):
 - 1. Replace each vertex x by three vertices x_1, x_2, x_3 connected as:



2. Include an edge $\{u_3, v_1\}$ for each edge (u, v) in the directed graph.



Leaving out x₂ will not work - allows going in wrong direction:



Show 3-satisfiability is NP-complete by reduction from conjunctive normal form satisfiability.

In CNF an expression is a conjunction of several *clauses* (disjunctions).

Each clause has several *literals* which may be asserted or negated.

The reduction is based on replacing each clause with k > 3 literals by k - 2 clauses for 3-satisfiability and introducing k - 3 new variables:

$$A \lor B \lor C \lor D \lor E \lor F \lor G$$

$$\overline{A}, \overline{B}, \overline{C}, \overline{D}, \overline{E}, \overline{F}, \overline{G}$$

$$A \lor B \lor X_1$$

$$\overline{X}_1 \lor C \lor X_2$$

$$\overline{X}_2 \lor D \lor X_3$$

$$\overline{X}_3 \lor E \lor X_4$$

$$\overline{X}_4 \lor F \lor G$$

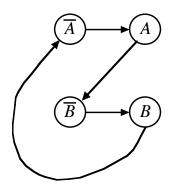
$$\overline{A}, \overline{B}, \overline{C}, \overline{D}, \overline{E}, \overline{F}, \overline{G}$$

Note, however, that 2-satisfiability is in P. Convert to a graph problem by replacing each $P \lor Q$ by $(\overline{P}) \longrightarrow (Q)$ and $(\overline{Q}) \longrightarrow (P)$ based on $A \rightarrow B = \overline{A} \lor B$.

If there is a path from \overline{X} to X, then X is true. If there is a path from X to \overline{X} , then X is false.

If X and \overline{X} are in a cycle, then the expression is unsatisfiable.

Consider A, B, $\overline{A} \vee \overline{B}$:



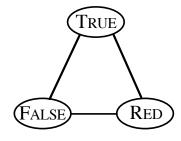
Show that graph 3-colorability is NP-complete by a reduction from 3-sat.

This reduction is fairly difficult. Others are much worse.

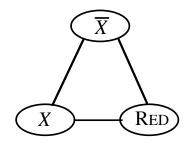
Conceptually, we will call the 3 colors TRUE, FALSE, and RED.

Since coloring is usually viewed as assigning the numbers 0, 1, 2 to the vertices, for any successful coloring there are five renamings based on permutations.

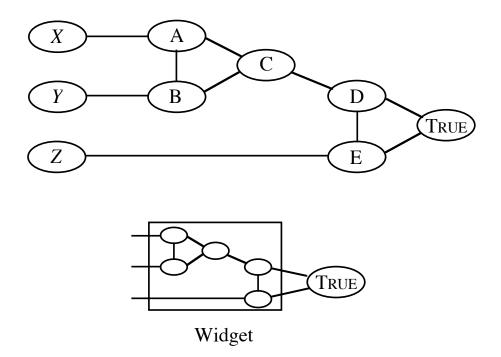
The reduction starts with a triangle to establish which number has which color:



For each variable *X*, another triangle is needed to constrain the value:



For each clause $X \lor Y \lor Z$ the following pattern is used. At least one of X, Y, and Z is forced to be true.



Observe:

1. X, Y, and Z must have the same color as TRUE or FALSE.

2. One of D and E has the same color as FALSE, the other the same color as RED.

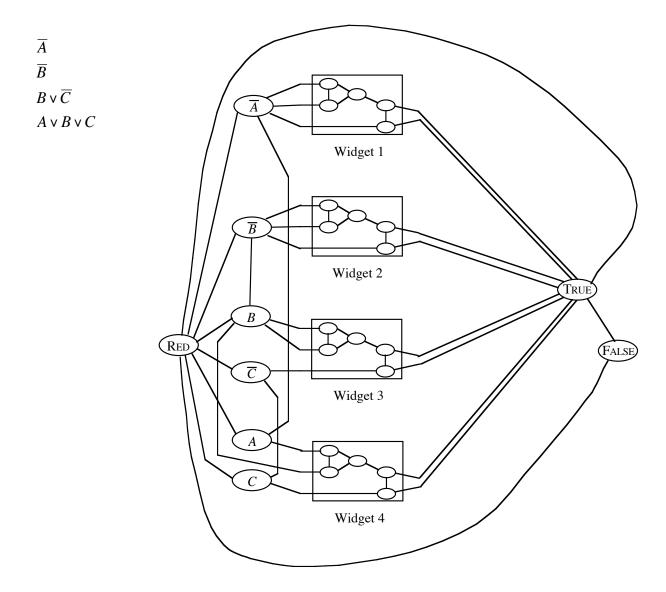
3. If E has the same color as FALSE, then Z has the same color as TRUE.

4. If E has the same color as RED, then D has the same color as FALSE.

Summary:

B C D	E	X	Y	Ζ
RED ??? FALSE (4th color!)	Red I	False	False	False
RED FALSE RED	False I	False	False	True
False Red False	Red I	False	True	False
False Red False	Red I	False	True	TRUE
True Red False	Red '	True	False	False
True Red False	Red	True	False	TRUE
Red True False	Red	True	True	False
RED TRUE FALSE	Red	True	True	True
(4th color!)REDFALSEFALSEREDFALSEREDFALSEREDFALSEFALSETRUEREDFALSEFALSEREDTRUEREDTRUEFALSEFALSE	False I Red I Red I Red ' Red ' Red '	False False False True True True	False True True False False True	TRU FALS TRU FALS TRU FALS

Unsatisfiable instance - graph will require 4 colors



If \overline{A} is removed, 3 coloring is possible.

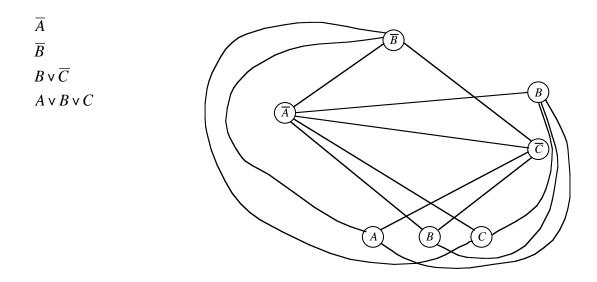
k-clique - Is there a complete subgraph with *k* vertices?

Show *k*-clique is NP-complete by a reduction from 3-sat.

Each literal becomes a vertex.

Connect each vertex to the vertices for all other clauses, except for \overline{X}

Is there a clique with one vertex per clause (i.e. *k* is the number of clauses)?

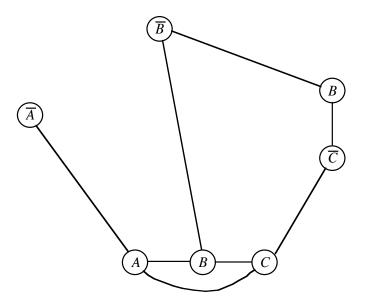


Vertex Cover = set of vertices such that every edge has at least one incident vertex in cover. Is there a vertex cover with no more than p vertices?

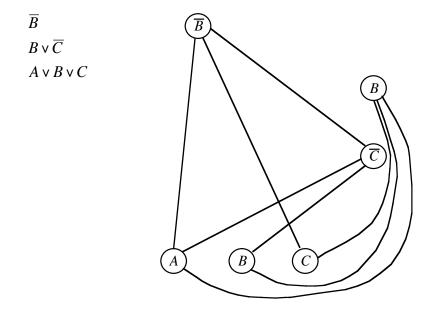
Reduce from *k*-clique:

- 1. Take complement of graph. (Edge is in complement iff edge is not in graph.)
- 2. Is there a |V| k cover? (Choose vertices not in the *k*-clique.)

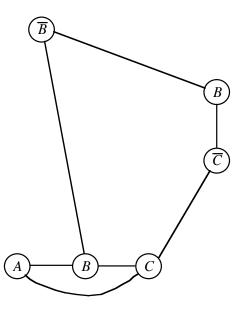
From *k*-clique example - Is there a 3-cover?



Consider clique when first clause is removed.



3-vertex cover



Show Steiner subgraph is NP-complete by a reduction from 3-sat.

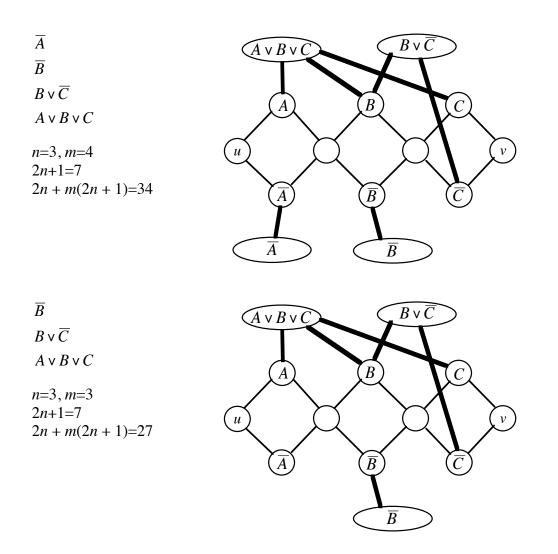
Steiner vertex for each possible literal on *n* propositions.

Terminal vertex for each of m clauses, u, and v.

Unit-weight edges in subgraph with u, v, and literal vertices (for choosing assignment).

Edges with weight 2n + 1 between each clause vertex and vertices for its literals

Is there a subgraph with total weight *not exceeding* 2n + m(2n + 1)?



Three reduction exercises, solutions are at: http://ranger.uta.edu/~weems/NOTES5311/NEWNOTES/notes11.reductions.pdf

1. Show that deciding whether an undirected graph is 5-colorable is NP-complete by a simple reduction from the 3-colorability problem. In addition to your proof, give an example of your reduction on a 3-colorable graph.

2. Prove that the *set packing* problem is NP-complete.

Hint 1: There is a straightforward reduction from k-clique. Hint 2: It is often helpful to give an example of the reduction used.

INSTANCE: Collection C of finite sets, positive integer $K \le |C|$. QUESTION: Does C contain at least K mutually (i.e. pairwise) disjoint sets?

3. The *hitting set* problem gives a collection *C* of subsets of a set *S* and a positive integer *k*. We would like to know if there is a subset *S'* of *S* with $|S'| \le k$ such that *S'* contains at least one element from each subset in *C*. Give a proof that *hitting set* is NP-complete by using the fact that vertex cover is NP-complete.

APPROXIMATION

- Goal: Performance guarantees for optimization (NP-hard) problems corresponding to NP-complete problems.
 - 1. How fast?
 - 2. Approach:

Greedy Online Preprocessing (e.g. MST, DFS) Randomization Restricted cases (e.g. spare or dense, planar graphs) (SAT solvers - http://www.satcompetition.org/ http://www.nytimes.com/1999/07/13/science/separating-the-insolvable-and-the-merelydifficult.html) (Fixed Parameter Tractability - http://fpt.wikidot.com/) (Parallelism?)

3. Quality of solution

 $\max \text{ ratio } = \frac{Optimal}{Solution} \ge 1 \text{ (e.g. knapsack)}$ $\min \text{ ratio } = \frac{Solution}{Optimal} \ge 1 \text{ (e.g. TSP)}$

4. Generality

Approximation Algorithm - achieve max/min ratio in $O(n^k)$ time (k fixed)

Approximation Scheme - flexible ratio $1 + \varepsilon$ in $O(f(n,\varepsilon))$

Polynomial-time Approximation Scheme - $O(n^{f(\varepsilon)})$

Fully PTAS -
$$O\left(n^k \left(\frac{1}{\varepsilon}\right)^l\right)$$
 time

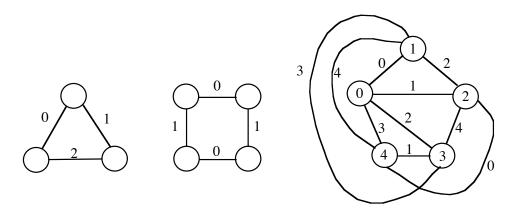
Seminal papers (aside):

http://dl.acm.org.ezproxy.uta.edu/citation.cfm?doid=290179.290180

http://epubs.siam.org.ezproxy.uta.edu/doi/abs/10.1137/S0097539796309764

Edge Coloring (http://ranger.uta.edu/~weems/NOTES5311/misraGriesNew.c)

An unusually optimistic situation . . .



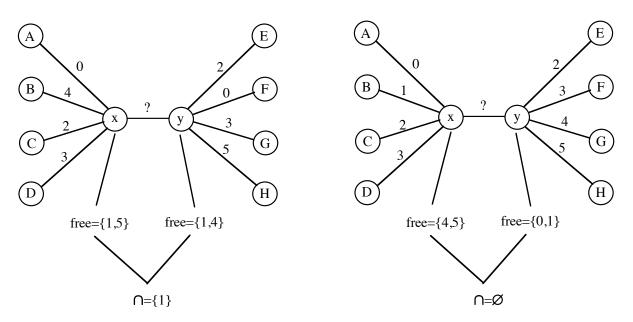
Vizing's Theorem

 $\Delta(G) \leq X'(G) \leq \Delta(G) + 1$ (Required number of colors is either degree ("Class 1") or degree + 1 ("Class 2"). For bipartite graphs, $\Delta(G) = X'(G)$.)

NP-complete to test if $\Delta(G) = X'(G)$, but takes only O(VE) to color with $\Delta(G) + 1$ colors ($\Delta(G)$ for bipartite) in an incremental fashion. Thus:

min ratio $\leq \frac{\Delta(G) + 1}{X'(G)} \leq \frac{\Delta(G) + 1}{\Delta(G)}$

What if?



So, steal a color from another edge and give that edge a new color.

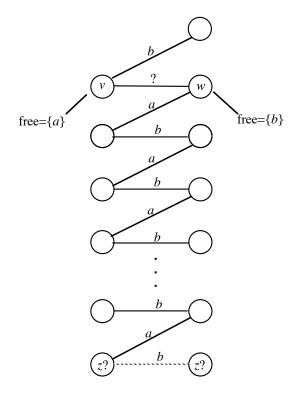
HOW?

Aside: The simpler problem of coloring a bipartite graph using Δ colors.

From p. 347 of H.N. Gabow, "Using Euler Partitions to Edge Color Bipartite Multigraphs", *Int'l J. of Computer and Information Sciences* 5(4), 1976, 345-355:

Now we describe a method for coloring due to Vizing. Originally each edge of G is uncolored; it must be assigned one of Δ possible colors. An uncolored edge (v, w) is colored as follows. At most Δ - 1 edges incident to v are colored, so some color a is missing at v; similarly, some color b is missing at w. Construct an "alternating (a, b) path" starting at w, as follows. The path begins with the edge incident to w that is colored a (if it exists). Consecutive edges in the path are alternately colored a and b. The path ends at the vertex z where the next color is missing. It is easy to see that $z \neq v, w$ if the graph is bipartite.

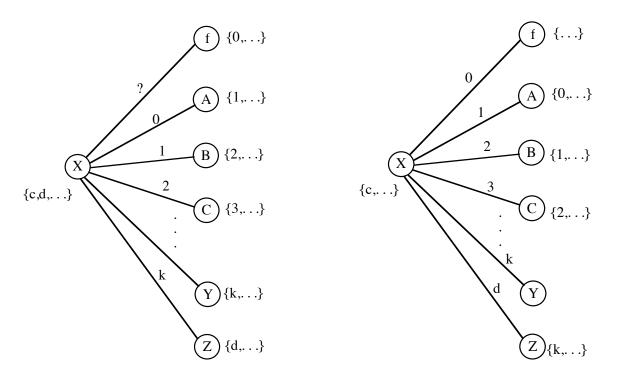
Interchange colors along the path, switching *a* to *b* and *b* to *a*. This makes color *a* missing at both *v* and *w*, since $z \neq v, w$. Edge (v, w) can now be colored *a*.



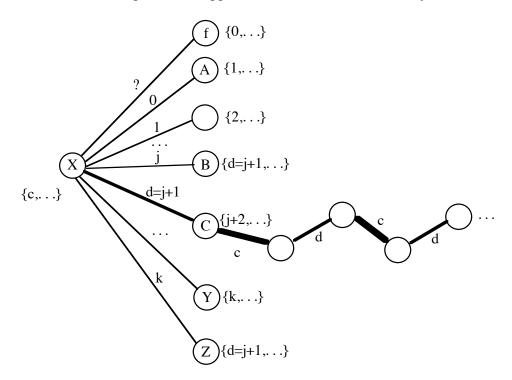
Back to non-bipartite . . .

Most general case - *maximal fan* with free(X) \cap free(f) = \emptyset .

If no edge incident to X is colored with last free color d, immediately "rotate" fan:



While maximizing the fan, suppose the next color (d) is already on an earlier fan edge:



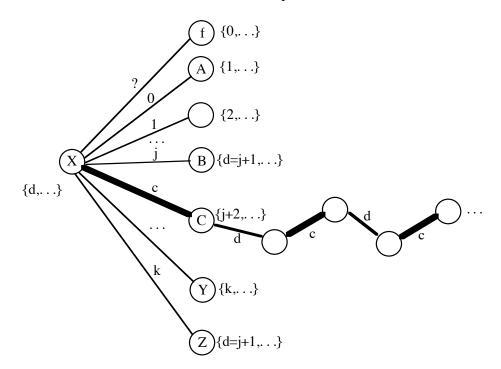
1. Find (alternating) dc-path starting with X-C.

dc-path (above) reaches no more than one of B or Z. (Why?)

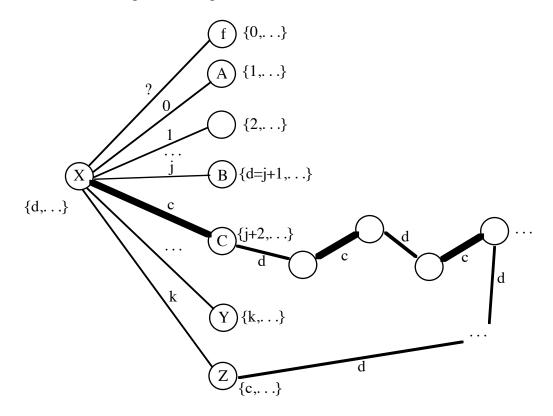
2. Invert colors (c \Leftrightarrow d) along entire dc-path.

14

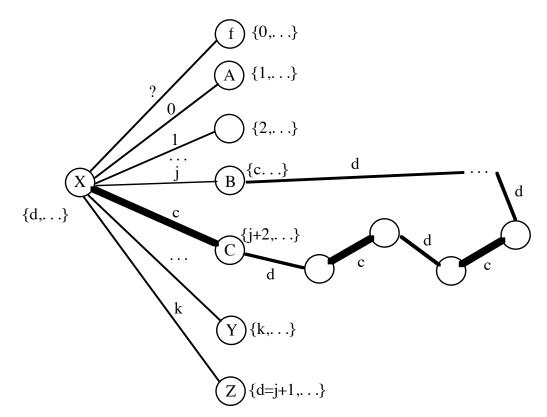
a. Neither B or Z reached - fan now stops at B.



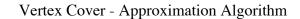
b. Z reached - again, fan stops at B.



c. B reached - fan keeps all vertices.



3. Rotate fan.



VC := \emptyset for each edge {u, v} // arbitrary order if u \notin VC and v \notin VC VC := VC \cup {u, v}

- 1. At termination, VC is a vertex cover.
- 2. Polynomial time obvious.
- 3. a. *VCOPT* must cover the set of edges processed based on the "if".
 - b. VC_{OPT} must include at least one of $\{u, v\}$ for each of these edges, so:

$$\frac{1}{2}|VC| \le |VC_{OPT}| \qquad \text{min ratio} \le \frac{|VC|}{|VC_{OPT}|} \le 2$$

Aggressive strategy of choosing one vertex from an uncovered edge is vulnerable to "stars".

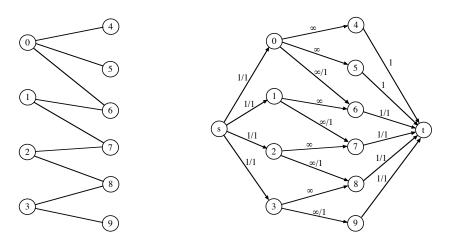
Max-flow instance is isomorphic to bipartite matching max-flow, except capacities from V_1 to

 V_2 are ∞ .

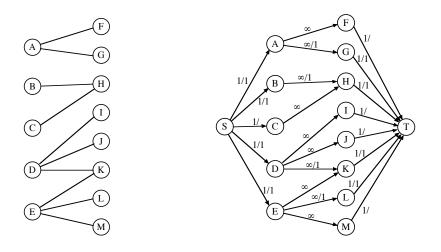
Set of edges from V_1 to V_2 with (unit) flow after max-flow is found is a maximum matching. The size of a maximum matching gives an (obvious) lower bound on the size of a minimum bipartite vertex cover. (Showing that the size of a maximum matching is also an upper bound is more involved -Aside: https://en.wikipedia.org/wiki/K%C5%91nig's_theorem_%28graph_theory%29).

Theorem: If a minimum *S*-*T* cut is known, then $(V_1 \cap T) \cup (V_2 \cap S)$ is a minimum bipartite vertex cover.

Proof: Suppose the bipartite graph has an edge $\{v_1, v_2\}$ with $v_1 \in V_1$ and $v_2 \in V_2$ and $v_1 \in S$. Since the capacity of $\{v_1, v_2\}$ is ∞ , $\{v_1, v_2\}$ is an edge in the residual network and $v_2 \in S$ to prevent $\{v_1, v_2\}$ from being uncovered. ***



 $S = \{s\} \quad T = \{t, 0, 1, 2, 3, 4, 5, 6, 7, 8, 9\} \quad V_1 \cap T = \{0, 1, 2, 3\} \quad V_2 \cap S = \emptyset$



 $S = \{s, B, C, H\} \quad T = \{t, A, D, E, F, G, I, J, K, L, M\} \quad V_1 \cap T = \{A, D, E\} \quad V_2 \cap S = \{H\}$

Bin Packing (one dimensional)

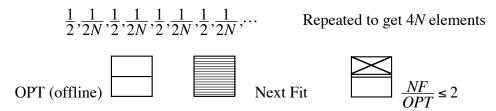
Minimize number of unit size bins to hold objects with sizes $0 < s_i \le 1$.

Next Fit

Online

Use one bin, then seal when next item doesn't fit.

Worst case sequence



First-fit Decreasing

Sort *n* sizes descending

For each object, go through bins "left-to-right" to find first bin that object fits in.

Achieves $\frac{FF}{OPT} \le 1.5$ (not hard to improve ratio to 4/3, difficult to get 11/9)

Claim: Objects placed in extra bins have size $\leq 1/2$



Proof: Suppose otherwise.

Claim: Number of objects in extra bins $\leq OPT(S) - 1$

Proof: Suppose OPT(S) extra objects are used.

1. Waste in every OPT bin < size of every object in extra bins.

2. Consider
$$\sum_{i=1}^{OPT} (OPT_i \ sum + Extra \ Object_i)$$

But since each OPT_i sum + Extra Object_i > 1, this sum exceeds OPT, a contradiction.

Based on the two claims, the number of extra bins \leq OPT/2 and the ratio is 1.5.

Set Cover

Input: Set S and subsets such that $S = \bigcup_{i=1}^{n} S_i$

Output: Small set of subsets covering S.

Greedy Technique:

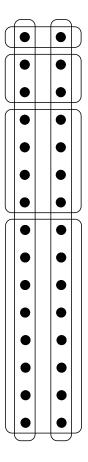
Choose subset with largest number of uncovered elements.

(Implementation: Doubly-linked list for each element in S. Doubly-linked list for each subset. Ordered table for priority queue.)

Achieves: $\frac{Greedy}{OPT} \le \ln(|\text{largest subset}|) + 1$

See CLRS, p. 1119-1121 for detailed proof.

Example to motivate logarithmic approximation ratio:



Optimal solution would use the two subsets of 15 elements rather than four subsets with 16, 8, 4, and 2 elements.

Traveling Salesperson - Version 1: complete graph with unrestricted edge weights

No ρ -approximation in P time (unless P = NP).

Suppose a graph is to be tested for a Hamiltonian cycle:

Weight each "real" edge with 1.

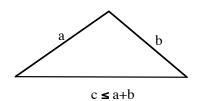
"Imaginary" edges are weighted with $\rho |V| + 1$.

If ρ -approximation gives TSP with length |V|, then performance is better than guaranteed and have a Hamiltonian cycle.

If ρ -approximation gives TSP with length > ρ |V|, then performance guarantee has not been met.

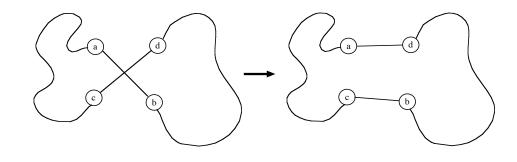
Traveling Salesperson - Version 2: edge weights restricted to obey triangle inequality

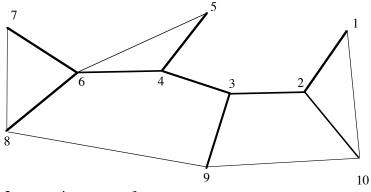
Scale-up trick used in Version 1 proof is avoided.



2-approximate

- 1. Find minimum spanning tree.
- 2. Depth-first search order vertices by discovery time.
- 3. Return to start vertex.
- 4. Remove edge crossings optional





2-approximate proof:

1. $|MST| \leq |T_{OPT}|$

Best case - removing largest edge in OPT (a cycle) gives MST.

2. $|T_{\Delta}| \leq 2|MST|$

Since MST short cuts are no longer than subpath skipped.

$$\frac{1}{2}|T_{\Delta}| \le |MST| \le |T_{OPT}|$$
, so $|T_{\Delta}| \le 2|T_{OPT}|$

(Aside: see http://en.wikipedia.org/wiki/Christofides_algorithm for a 3/2-approximate technique.)

Ordinary Exact Subset Sums

(Recall simple exponential time/space method using table in Notes 0)

CLRS, p. 1128-1129 - saves space by maintaining lists of reachable sums.

Each a/b list element gives a reachable sum a and an element's index b.

$$\frac{1}{2} \quad \frac{2}{3} \quad \frac{3}{6} \quad \frac{4}{11} \quad \frac{5}{15} \quad \frac{6}{25}$$
Target=36
$$L0 = \{0/0\} \\ 2$$

$$L1 = \{0/0, 2/1\} \\ 3 \quad 5$$

$$L2 = \{0/0, 2/1, 3/2, 5/2\} \\ 6 \quad 8 \quad 9 \quad 11$$

- L3={0/0, 2/1, 3/2, 5/2, 6/3, 8/3, 9/3, 11/3} 11 13 14 16 17 19 20 22
- L4={0/0, 2/1, 3/2, 5/2, 6/3, 8/3, 9/3, 11/3, 13/4, 21 18 20 15 17 23 24 26 28 14/4, 16/4, 17/4, 19/4, 20/4, 22/429 32 34 35 37? 31
- L5={0/0, 2/1, 3/2, 5/2, 6/3, 8/3, 9/3, 11/3,13/4, 25 27 28 30 31 33 34 36 38? 14/4, 15/5, 16/4, 17/4, 18/5, 19/4, 20/4, 21/5, 22/4, 23/5, 24/5, 26/5, 28/5, 29/5, 31/5, 32/5, 34/5, 35/5} $L6=\{0/0, 2/1, 3/2, 5/2, 6/3, 8/3, 9/3, 11/3, 13/4,$ 14/4, 15/5, 16/4, 17/4, 18/5, 19/4, 20/4, 21/5, 22/4, 23/5, 24/5, 25/6, 26/5, 27/6, 28/5, 29/5, 30/6, 31/5, 32/5, 33/6, 34/5, 35/5, 36/6}

Approximation for Subset Sums

Uses intervals to achieve approximation to within ε of desired value.

6

25

CLRS, p. 1130-1133, gives fully PTAS based on ε .

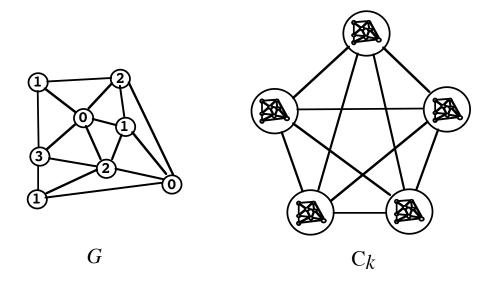
 $\frac{1}{2} \frac{2}{3} \frac{3}{6} \frac{4}{11} \frac{5}{15}$ Target=33..36 $L0=\{0..3/0\}$ 2..5 $L1=\{0..3/0, 3..5/1\}$ 3..6
6..8

Graph (Vertex) Coloring - no efficient approximation (unless P = NP)

Suppose a P time algorithm exists to color every graph G with $X(G) \ge k$ using *fewer* than $\frac{4}{3}X(G)$ colors, then 3-colorability would be in P.

Proof:

- 1. C_k is the complete graph with *k* vertices.
- 2. *G* is an instance of 3-colorability.
- 3. Graph $H = C_k[G]$ (composition of graphs).



Each vertex in a copy of G is connected to all vertices in all other copies of G.

4. If X(G) = 3, each copy of G requires its own 3 colors, so X(H) = 3k.

Claimed algorithm would use fewer than $\frac{4}{3}(3k) = 4k$ colors for *G* to be 3-colorable. Otherwise, X(G) > 3 so each copy of *G* needs at least 4 colors. $X(H) \ge 4k$ Algorithm would then use at least 4k colors to color *H*. So, the claimed algorithm is a P-time decision procedure for 3-colorability.

Thus, such an algorithm is "unlikely".

(Aside: https://en.wikipedia.org/wiki/Hadwiger-Nelson_problem)