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- ▶ So far, we have focused on problems with “efficient” algorithms
- ▶ I.e., problems with algorithms that run in polynomial time: $O(n^c)$ for some constant $c \geq 1$
 - ▶ Side note 1: We call it efficient even if c is large, since it is likely that another, even more efficient, algorithm exists
 - ▶ Side note 2: Need to be careful to speak of polynomial in **size** of the input, e.g., size of a single integer k is $\log k$, so time linear in k is exponential in size (number of bits) of input
- ▶ But, for some problems, the fastest known algorithms require time that is **superpolynomial**
 - ▶ Includes sub-exponential time (e.g., $2^{n^{1/3}}$), exponential time (e.g., 2^n), doubly exponential time (e.g., 2^{2^n}), etc.
 - ▶ There are even problems that cannot be solved in *any* amount of time (e.g., the “halting problem”)
- ▶ We will focus on **lower bounds** again, but this time we’ll use them to argue that some problems probably don’t have **any** efficient solution

- ▶ Our focus will be on the **complexity classes** called P and NP
- ▶ Centers on the notion of a **Turing machine (TM)**, which is a finite state machine with an infinitely long tape for storage
 - ▶ Anything a computer can do, a TM can do, and vice-versa
 - ▶ More on this in CSCE 428/828 and CSCE 424/824
- ▶ P = “deterministic polynomial time” = set of problems that can be solved by a **deterministic TM** (deterministic algorithm) in poly time
- ▶ NP = “nondeterministic polynomial time” = the set of problems that can be solved by a **nondeterministic TM** in polynomial time
 - ▶ Can loosely think of a nondeterministic TM as one that can explore many, many possible paths of computation at once
 - ▶ Equivalently, NP is the set of problems whose solutions, if given, can be **verified** in polynomial time

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- ▶ Problem HAM-CYCLE: Does a graph $G = (V, E)$ contain a **hamiltonian cycle**, i.e., a simple cycle that visits every vertex in V exactly once?
 - ▶ This problem is in NP, since if we were given a specific G plus the yes/no answer to the question plus a **certificate**, we can verify a “yes” answer in polynomial time using the certificate
 - ▶ Not worried about verifying a “no” answer
 - ▶ What would be an appropriate certificate?
 - ▶ Not known if HAM-CYCLE $\in$ P

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- ▶ Problem EULER: Does a directed graph $G = (V, E)$ contain an **Euler tour**, i.e., a cycle that visits every edge in E exactly once and can visit vertices multiple times?
 - ▶ This problem is in P, since we can answer the question in polynomial time by checking if each vertex's in-degree equals its out-degree
 - ▶ Does that mean that the problem is also in NP? If so, what is the certificate?

NP-Completeness

Notes and Questions

- ▶ Any problem in P is also in NP, since if we can efficiently solve the problem, we get the poly-time verification for free
 $\Rightarrow P \subseteq NP$
- ▶ Not known if $P \subset NP$, i.e., unknown if there exists a problem in NP that's not in P
- ▶ A subset of the problems in NP is the set of **NP-complete** (NPC) problems
 - ▶ Every problem in NPC is at least as hard as all others in NP
 - ▶ These problems are believed to be intractable (no efficient algorithm), but not yet proven to be so
 - ▶ If any NPC problem is in P, then $P = NP$ and life is glorious 😊 and a little bit scary (e.g., RSA public key algorithm would break)

Proving NP-Completeness

Notes and Questions

- ▶ Thus, if we prove that a problem is NPC, we can tell our boss that we cannot find an efficient algorithm and should take a different approach
 - ▶ E.g., approximation algorithm, heuristic approach
- ▶ How do we prove that a problem B is NPC?
 1. Prove that $B \in NP$ by identifying certificate that can be used to verify a "yes" answer in polynomial time
 - ▶ Typically, use the obvious choice of what causes the "yes" (e.g., the hamiltonian cycle itself, given as a list of vertices)
 - ▶ **Need to argue that verification requires polynomial time**
 - ▶ The certificate is **not** merely the instance, unless $B \in P$
 2. Show that B is as hard as any other NP problem by showing that if we can efficiently solve B then we can efficiently solve all problems in NP
- ▶ First step is usually easy, but second looks difficult
- ▶ Fortunately, part of the work has been done for us ...

- ▶ We will use the idea of an efficient **reduction** of one problem to another to prove how hard the latter one is
- ▶ A reduction takes an instance of one problem A and transforms it to an instance of another problem B in such a way that a solution to the instance of B yields a solution to the instance of A
- ▶ **Example:** How did we prove lower bounds on convex hull and BST problems?
- ▶ Time complexity of reduction-based algorithm for A is the time for the reduction to B plus the time to solve the instance of B

Decision Problems

Notes and Questions

- ▶ Before we go further into reductions, we simplify our lives by focusing on **decision problems**
- ▶ In a decision problem, the only output of an algorithm is an answer “yes” or “no”
- ▶ I.e., we’re not asked for a shortest path or a hamiltonian cycle, etc.
- ▶ Not as restrictive as it may seem: Rather than asking for the weight of a shortest path from i to j , just ask if there exists a path from i to j with weight at most k
- ▶ Such decision versions of *optimization problems* are no harder than the original optimization problem, so if we show the decision version is hard, then so is the optimization version
- ▶ Decision versions are especially convenient when thinking in terms of languages and the Turing machines that accept/reject them

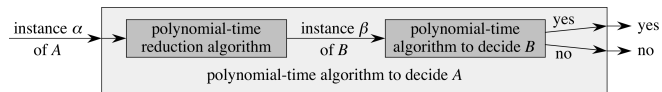
Reductions (2)

Notes and Questions

- ▶ What is a reduction in the NPC sense?
- ▶ Start with two problems A and B , and we want to show that problem B is at least as hard as A
- ▶ Will **reduce** A to B via a **polynomial-time reduction** by transforming *any* instance α of A to *some* instance β of B such that
 1. The transformation **must** take polynomial time (since we’re talking about hardness in the sense of efficient vs. inefficient algorithms)
 2. The answer for α is “yes” **if and only if** the answer for β is “yes”
- ▶ If such a reduction exists, then B is at least as hard as A since if an efficient algorithm exists for B , we can solve any instance of A in polynomial time
- ▶ Notation: $A \leq_P B$, which reads as “ A is no harder to solve than B , modulo polynomial time reductions”

Reductions (3)

Notes and Questions



- ▶ Same as reduction for convex hull (yielding CHSort), but no need to transform solution to B to solution to A
- ▶ As with convex hull, reduction's time complexity must be strictly less than the lower bound we are proving for B 's algorithm

Reductions (4)

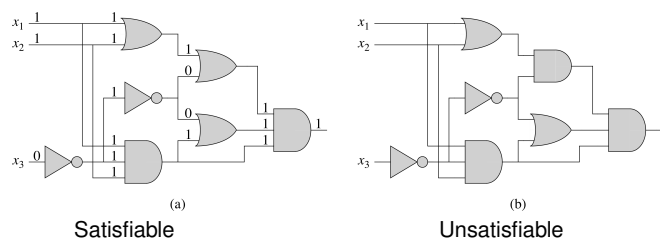
Notes and Questions

- ▶ But if we want to prove that a problem B is NPC, do we have to reduce to it *every* problem in NP?
- ▶ No we don't:
 - ▶ If another problem A is known to be NPC, then we know that any problem in NP reduces to it
 - ▶ If we reduce A to B , then any problem in NP can reduce to B via its reduction to A followed by A 's reduction to B
 - ▶ We then can call B an **NP-hard** problem, which is NPC if it is also in NP
 - ▶ Still need our first NPC problem to use as a basis for our reductions

CIRCUIT-SAT

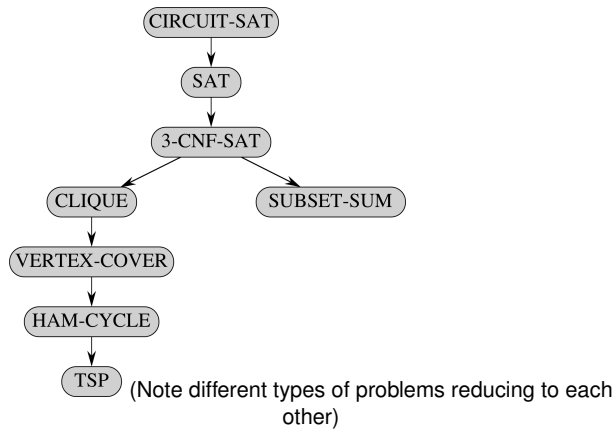
Notes and Questions

- ▶ Our first NPC problem: CIRCUIT-SAT
- ▶ An instance is a boolean combinational circuit (no feedback, no memory)
- ▶ Question: Is there a **satisfying assignment**, i.e., an assignment of inputs to the circuit that satisfies it (makes its output 1)?



- ▶ To prove CIRCUIT-SAT to be NPC, need to show:
 1. CIRCUIT-SAT $\in$ NP; what is its certificate that we can use to confirm a "yes" in polynomial time?
 2. That any problem in NP reduces to CIRCUIT-SAT
- ▶ We'll skip the NP-hardness proof for #2, save to say that it leverages the existence of an algorithm that verifies certificates for some NP problem

- ▶ We'll use the fact that CIRCUIT-SAT is NPC to prove that these other problems are as well:
 - ▶ SAT: Does boolean formula ϕ have a satisfying assignment?
 - ▶ 3-CNF-SAT: Does 3-CNF formula ϕ have a satisfying assignment?
 - ▶ CLIQUE: Does graph G have a clique (complete subgraph) of k vertices?
 - ▶ VERTEX-COVER: Does graph G have a vertex cover (set of vertices that touches all edges) of k vertices?
 - ▶ HAM-CYCLE: Does graph G have a hamiltonian cycle?
 - ▶ TSP: Does complete, weighted graph G have a hamiltonian cycle of total weight $\leq k$?
 - ▶ SUBSET-SUM: Is there a subset S' of finite set S of integers that sum to exactly a specific target value t ?
- ▶ Many more in Garey & Johnson's book, with proofs



How to Prove a Problem B is NP-Complete

Important to follow every one of these steps!

1. Prove that the problem B is in NP
 - 1.1 Describe a certificate that can verify a “yes” answer
 - ▶ Often, the certificate is simple and obvious (but **not** merely the instance)
 - 1.2 Describe how the certificate is verified
 - 1.3 Argue that the verification takes polynomial time
2. Prove that the problem B is NP-hard
 - 2.1 Take **any** other NP-complete problem A and reduce it to B
 - ▶ Your reduction must transform **any** instance of A to **some** instance of B
 - 2.2 Prove that the reduction takes polynomial time
 - ▶ The reduction is an algorithm, so analyze it like any other
 - 2.3 Prove that the reduction is valid
 - ▶ I.e., the answer is “yes” for the instance of A if and only if the answer is “yes” for the instance of B
 - ▶ **Must** argue both directions: “if” and “only if”
 - ▶ Constructive proofs work well here, e.g., “Assume the instance of VERTEX-COVER (problem A) has a vertex cover of size $\leq k$. We will now construct from that a hamiltonian cycle in problem B .”

Notes and Questions

NPC Problem: Formula Satisfiability (SAT)

Notes and Questions

- ▶ Given: A boolean formula ϕ consisting of
 1. n boolean variables $x_1, \dots, x_n$
 2. m boolean connectives from $\wedge, \vee, \neg, \rightarrow$, and $\leftrightarrow$
 3. Parentheses
- ▶ Question: Is there an assignment of boolean values to $x_1, \dots, x_n$ to make ϕ evaluate to 1?
- ▶ E.g.: $\phi = ((x_1 \rightarrow x_2) \vee \neg((\neg x_1 \leftrightarrow x_3) \vee x_4)) \wedge \neg x_2$ has satisfying assignment $x_1 = 0, x_2 = 0, x_3 = 1, x_4 = 1$ since

$$\begin{aligned}
 \phi &= ((0 \rightarrow 0) \vee \neg((\neg 0 \leftrightarrow 1) \vee 1)) \wedge \neg 0 \\
 &= (1 \vee \neg((1 \leftrightarrow 1) \vee 1)) \wedge 1 \\
 &= (1 \vee \neg(1 \vee 1)) \wedge 1 \\
 &= (1 \vee 0) \wedge 1 \\
 &= 1
 \end{aligned}$$

SAT is NPC

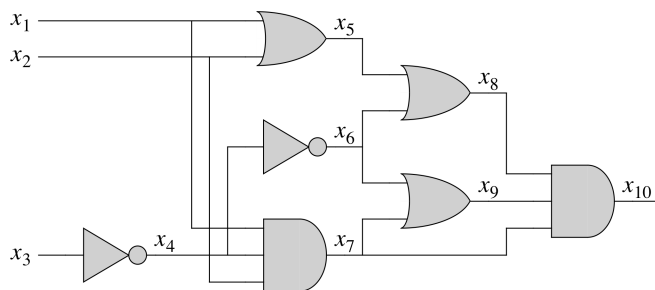
Notes and Questions

- ▶ **SAT is in NP:** ϕ 's satisfying assignment certifies that the answer is "yes" and this can be easily checked in poly time by assigning the values to the variables and evaluating
- ▶ **SAT is NP-hard:** Will show $\text{CIRCUIT-SAT} \leq_p \text{SAT}$ by reducing from CIRCUIT-SAT to SAT
- ▶ In reduction, need to map **any** instance (circuit) C of CIRCUIT-SAT to **some** instance (formula) ϕ of SAT such that C has a satisfying assignment if and only if ϕ does
- ▶ Further, the time to do the mapping must be polynomial in the size of the circuit (number of gates and wires), implying that ϕ 's representation must be polynomially sized
 - ⇒ Do **not** get to simply map C to a boolean formula (can't do in polynomial time)

SAT is NPC (2)

Notes and Questions

Define a variable in ϕ for each wire in C :



SAT is NPC (3)

Notes and Questions

- ▶ Then define a clause of ϕ for each gate that defines the function for that gate:

$$\begin{aligned} \phi = x_{10} \quad & \wedge \quad (x_4 \leftrightarrow \neg x_3) \\ & \wedge \quad (x_5 \leftrightarrow (x_1 \vee x_2)) \\ & \wedge \quad (x_6 \leftrightarrow \neg x_4) \\ & \wedge \quad (x_7 \leftrightarrow (x_1 \wedge x_2 \wedge x_4)) \\ & \wedge \quad (x_8 \leftrightarrow (x_5 \vee x_6)) \\ & \wedge \quad (x_9 \leftrightarrow (x_6 \vee x_7)) \\ & \wedge \quad (x_{10} \leftrightarrow (x_7 \wedge x_8 \wedge x_9)) \end{aligned}$$

SAT is NPC (4)

Given C 's satisfying assignment $x_1 = 1, x_2 = 1, x_3 = 0$:

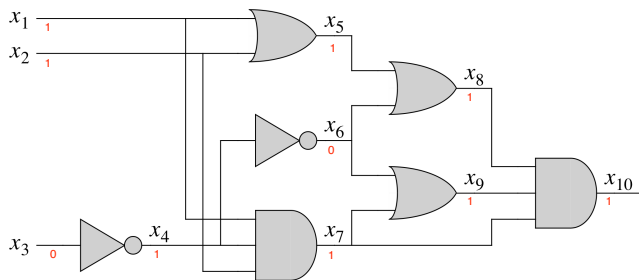
$$\begin{aligned}
 \phi &= x_{10} \wedge (x_4 \leftrightarrow \neg x_3) \wedge (x_5 \leftrightarrow (x_1 \vee x_2)) \wedge (x_6 \leftrightarrow \neg x_4) \\
 &\wedge (x_7 \leftrightarrow (x_1 \wedge x_2 \wedge x_4)) \wedge (x_8 \leftrightarrow (x_5 \vee x_6)) \wedge (x_9 \leftrightarrow (x_6 \vee x_7)) \\
 &\wedge (x_{10} \leftrightarrow (x_7 \wedge x_8 \wedge x_9)) \\
 \phi &= x_{10} \wedge (x_4 \leftrightarrow 1) \wedge (x_5 \leftrightarrow 1) \wedge (x_6 \leftrightarrow \neg x_4) \\
 &\wedge (x_7 \leftrightarrow (1 \wedge x_4)) \wedge (x_8 \leftrightarrow (x_5 \vee x_6)) \wedge (x_9 \leftrightarrow (x_6 \vee x_7)) \\
 &\wedge (x_{10} \leftrightarrow (x_7 \wedge x_8 \wedge x_9)) \\
 &\quad \text{assign } x_4 = 1, x_5 = 1 \\
 \phi &= x_{10} \wedge 1 \wedge 1 \wedge (x_6 \leftrightarrow 0) \wedge (x_7 \leftrightarrow 1) \wedge (x_8 \leftrightarrow (1 \vee x_6)) \\
 &\wedge (x_9 \leftrightarrow (x_6 \vee x_7)) \wedge (x_{10} \leftrightarrow (x_7 \wedge x_8 \wedge x_9)) \\
 &\quad \text{assign } x_6 = 0, x_7 = 1 \\
 \phi &= x_{10} \wedge 1 \wedge 1 \wedge 1 \wedge 1 \wedge 1 \wedge (x_8 \leftrightarrow 1) \wedge (x_9 \leftrightarrow 1) \wedge (x_{10} \leftrightarrow (1 \wedge x_8 \wedge x_9)) \\
 &\quad \text{assign } x_8 = 1, x_9 = 1 \\
 \phi &= x_{10} \wedge 1 \wedge 1 \wedge 1 \wedge 1 \wedge 1 \wedge 1 \wedge 1 \wedge (x_{10} \leftrightarrow 1) \\
 &\quad \text{assign } x_{10} = 1 \\
 \phi &= 1 \wedge 1 \wedge 1 \wedge 1 \wedge 1 \wedge 1 \wedge 1 \wedge 1 \wedge 1 = 1
 \end{aligned}$$

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Notes and Questions

SAT is NPC (5)

Given ϕ 's satisfying assignment $x_1 = 1, x_2 = 1, x_3 = 0, x_4 = 1, x_5 = 1, x_6 = 0, x_7 = 1, x_8 = 1, x_9 = 1, x_{10} = 1$, can extract $x_1 = 1, x_2 = 1, x_3 = 0$ as satisfying assignment to C :



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Notes and Questions

SAT is NPC (6)

- Size of ϕ is polynomial in size of C (number of gates and wires)
- ⇒ If C has a satisfying assignment, then the final output of the circuit is 1 and the value on each internal wire matches the output of the gate that feeds it
 - Thus, ϕ evaluates to 1
- ⇐ If ϕ has a satisfying assignment, then each of ϕ 's clauses is satisfied, which means that each of C 's gate's output matches its function applied to its inputs, and the final output is 1
- Since satisfying assignment for $C \Rightarrow$ satisfying assignment for ϕ and vice-versa, we get C has a satisfying assignment if and only if ϕ does

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Notes and Questions

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- ▶ Given: A boolean formula that is in 3-conjunctive normal form (3-CNF), which is a conjunction of clauses, each a disjunction of 3 literals, e.g.,

$$(x_1 \vee \neg x_1 \vee \neg x_2) \wedge (x_3 \vee x_2 \vee x_4) \wedge (\neg x_1 \vee \neg x_3 \vee \neg x_4) \wedge (x_4 \vee x_5 \vee x_1)$$

- ▶ Question: Is there an assignment of boolean values to $x_1, \dots, x_n$ to make the formula evaluate to 1?

3-CNF-SAT is NPC

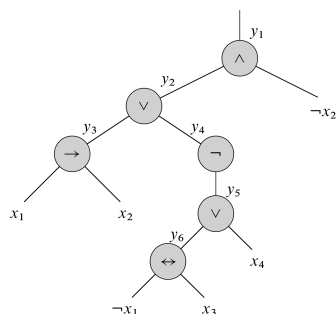
Notes and Questions

- ▶ **3-CNF-SAT is in NP:** The satisfying assignment certifies that the answer is “yes” and this can be easily checked in poly time by assigning the values to the variables and evaluating
- ▶ **3-CNF-SAT is NP-hard:** Will show $\text{SAT} \leq_P \text{3-CNF-SAT}$
- ▶ Again, need to map **any** instance ϕ of SAT to **some** instance ϕ''' of 3-CNF-SAT
 1. Parenthesize ϕ and build its **parse tree**, which can be viewed as a circuit
 2. Assign variables to wires in this circuit, as with previous reduction, yielding ϕ' , a conjunction of clauses
 3. Use the truth table of each clause ϕ'_i to get its DNF, then convert it to CNF ϕ''_i
 4. Add auxiliary variables to each ϕ''_i to get three literals in it, yielding ϕ'''_i
 5. Final CNF formula is $\phi''' = \bigwedge_i \phi'''_i$

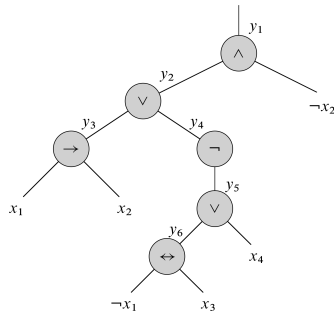
Building the Parse Tree

Notes and Questions

$$\phi = ((x_1 \rightarrow x_2) \vee \neg((\neg x_1 \leftrightarrow x_3) \vee x_4)) \wedge \neg x_2$$



Might need to parenthesize ϕ to put at most two children per node



$$\phi' = y_1 \wedge (y_1 \leftrightarrow (y_2 \wedge \neg x_2)) \wedge (y_2 \leftrightarrow (y_3 \vee y_4)) \wedge (y_3 \leftrightarrow (x_1 \rightarrow x_2)) \wedge (y_4 \leftrightarrow \neg y_5) \wedge (y_5 \leftrightarrow (y_6 \vee x_4)) \wedge (y_6 \leftrightarrow (\neg x_1 \leftrightarrow x_3))$$

Convert Each Clause to CNF

Notes and Questions

- Consider first clause $\phi'_1 = (y_1 \leftrightarrow (y_2 \wedge \neg x_2))$
- Truth table:

y_1	y_2	x_2	$(y_1 \leftrightarrow (y_2 \wedge \neg x_2))$
1	1	1	0
1	1	0	1
1	0	1	0
1	0	0	0
0	1	1	1
0	1	0	0
0	0	1	1
0	0	0	1

- Can now directly read off DNF of negation:

$$\neg \phi'_1 = (y_1 \wedge y_2 \wedge x_2) \vee (y_1 \wedge \neg y_2 \wedge x_2) \vee (y_1 \wedge \neg y_2 \wedge \neg x_2) \vee (\neg y_1 \wedge y_2 \wedge \neg x_2)$$

- And use DeMorgan's Law to convert it to CNF:

$$\phi''_1 = (\neg y_1 \vee \neg y_2 \vee \neg x_2) \wedge (\neg y_1 \vee y_2 \vee \neg x_2) \wedge (\neg y_1 \vee y_2 \vee x_2) \wedge (y_1 \vee \neg y_2 \vee x_2)$$

Add Auxillary Variables

Notes and Questions

- Based on our construction, ϕ is satisfiable iff $\phi'' = \bigwedge_i \phi''_i$ is, where each ϕ''_i is a CNF formula each with at most three literals per clause
- But we need to have *exactly* three per clause!
- Simple fix: For each clause C_i of ϕ'' ,
 1. If C_i has three distinct literals, add it as a clause in ϕ'''
 2. If $C_i = (\ell_1 \vee \ell_2)$ for distinct literals ℓ_1 and ℓ_2 , then add to ϕ'''

$$(\ell_1 \vee \ell_2 \vee p) \wedge (\ell_1 \vee \ell_2 \vee \neg p)$$
 3. If $C_i = (\ell)$, then add to ϕ'''

$$(\ell \vee p \vee q) \wedge (\ell \vee p \vee \neg q) \wedge (\ell \vee \neg p \vee q) \wedge (\ell \vee \neg p \vee \neg q)$$
- p and q are **auxiliary variables**, and the combinations in which they're added result in an expression that is satisfied if and only if the original clause is

Proof of Correctness of Reduction

- $\Leftrightarrow \phi$ has a satisfying assignment iff ϕ''' does
1. CIRCUIT-SAT reduction to SAT implies satisfiability preserved from ϕ to ϕ'
 2. Use of truth tables and DeMorgan's Law ensures ϕ'' equivalent to ϕ'
 3. Addition of auxillary variables ensures ϕ''' is satisfiable iff ϕ'' is
- Constructing ϕ''' from ϕ takes polynomial time
1. ϕ' gets variables from ϕ , plus at most one variable and one clause per operator in ϕ
 2. Each clause in ϕ' has at most 3 variables, so each truth table has at most 8 rows, so each clause in ϕ' yields at most 8 clauses in ϕ''
 3. Since there are only two auxillary variables, each clause in ϕ'' yields at most 4 in ϕ'''
 4. Thus size of ϕ''' is polynomial in size of ϕ , and each step easily done in polynomial time

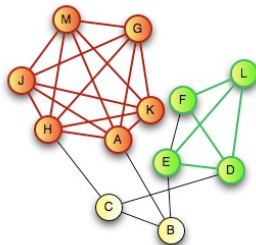
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Notes and Questions

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NPC Problem: Clique Finding (CLIQUE)

- Given: An undirected graph $G = (V, E)$ and value k
- Question: Does G contain a clique (complete subgraph) of size k ?



Has a clique of size $k = 6$, but not of size 7

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Notes and Questions

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CLIQUE is NPC

- **CLIQUE is in NP:** A list of vertices in the clique certifies that the answer is “yes” and this can be easily checked in poly time (how?)
- **CLIQUE is NP-hard:** Will show $3\text{-CNF-SAT} \leq_p \text{CLIQUE}$ by mapping **any** instance $\langle \phi \rangle$ of 3-CNF-SAT to **some** instance $\langle G, k \rangle$ of CLIQUE
- Seems strange to reduce a boolean formula to a graph, but we will show that ϕ has a satisfying assignment iff G has a clique of size k
 - Caveat: the reduction merely preserves the iff relationship; it does not try to directly solve either problem, nor does it assume it knows what the answer is

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Notes and Questions

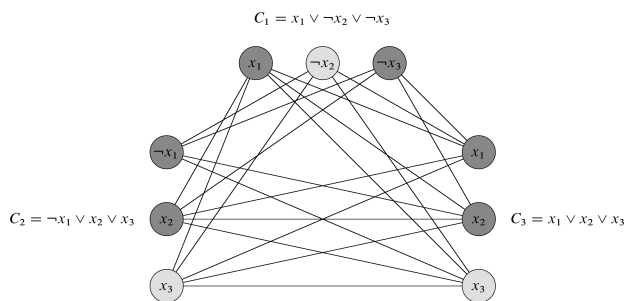
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- ▶ Let $\phi = C_1 \wedge \dots \wedge C_k$ be a 3-CNF formula with k clauses
- ▶ For each clause $C_r = (\ell_1^r \vee \ell_2^r \vee \ell_3^r)$ put vertices v_1^r , v_2^r , and v_3^r into V
- ▶ Add edge (v_i^r, v_j^s) to E if:
 1. $r \neq s$, i.e., v_i^r and v_j^s are in separate triples
 2. ℓ_i^r is not the negation of ℓ_j^s
- ▶ Obviously can be done in polynomial time

The Reduction (2)

Notes and Questions

$\phi = (x_1 \vee \neg x_2 \vee \neg x_3) \wedge (\neg x_1 \vee x_2 \vee x_3) \wedge (x_1 \vee x_2 \vee x_3)$
 Satisfied by $x_2 = 0, x_3 = 1$



The Reduction (3)

Notes and Questions

- ⇒ If ϕ has a satisfying assignment, then at least one literal in each clause is true
- ▶ Picking corresponding vertex from a true literal from each clause yields a set V' of k vertices, each in a distinct triple
- ▶ Since each vertex in V' is in a distinct triple and literals that are negations of each other cannot both be true in a satisfying assignment, there is an edge between each pair of vertices in V'
- ▶ V' is a clique of size k
- ⇐ If G has a size- k clique V' , can assign 1 to corresponding literal of each vertex in V'
- ▶ Each vertex in its own triple, so each clause has a literal set to 1
- ▶ Will not try to set both a literal and its negation to 1
- ▶ Get a satisfying assignment

Notes and Questions

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Notes and Questions

- $$\overline{E} = \{(u, v) : u, v \in V, u \neq v, (u, v) \notin E\}$$

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Notes and Questions



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Proof of Correctness

Notes and Questions

- ⇒ Assume G has a size- k clique $C' \subseteq V$
 - ▶ Consider edge $(z, v) \in \bar{E}$
 - ▶ If it's in $\bar{E}$, then $(z, v) \notin E$, so at least one of z and v (which cover (z, v)) is not in C' , so at least one of them is in $V \setminus C'$
 - ▶ This holds for each edge in $\bar{E}$, so $V \setminus C'$ is a vertex cover of $\bar{G}$ of size $|V| - k$
- ⇐ Assume $\bar{G}$ has a size- $(|V| - k)$ vertex cover $V' \subseteq V$
 - ▶ For each $(z, v) \in \bar{E}$, at least one of z and v is in V'
 - ▶ I.e., $(z, v) \in \bar{E} \Rightarrow (z \in V') \vee (v \in V')$
 - ▶ By contrapositive, $\neg((z \in V') \vee (v \in V')) \Rightarrow (z, v) \notin \bar{E}$
 - ▶ I.e., if both $u, v \notin V'$, then $(u, v) \in E$
 - ▶ Since every pair of nodes in $V \setminus V'$ has an edge between them in G , $V \setminus V'$ is a clique of size $|V| - |V'| = k$ in G

NPC Problem: Subset Sum (SUBSET-SUM)

Notes and Questions

- ▶ Given: A finite set S of positive integers and a positive integer **target** t
- ▶ Question: Is there a subset $S' \subseteq S$ whose elements sum to t ?
- ▶ E.g.,
 $S = \{1, 2, 7, 14, 49, 98, 343, 686, 2409, 2793, 16808, 17206, 117705, 117993\}$ and $t = 138457$ has a solution
 $S' = \{1, 2, 7, 98, 343, 686, 2409, 17206, 117705\}$

SUBSET-SUM is NPC

Notes and Questions

- ▶ **SUBSET-SUM is in NP:** The subset S' certifies that the answer is “yes” and this can be easily checked in poly time (how?)
- ▶ **SUBSET-SUM is NP-hard:** Will show $3\text{-CNF-SAT} \leq_P \text{SUBSET-SUM}$ by mapping **any** instance ϕ of 3-CNF-SAT to **some** instance $\langle S, t \rangle$ of SUBSET-SUM
- ▶ Make two reasonable assumptions about ϕ :
 1. No clause contains both a variable and its negation
 2. Each variable appears in at least one clause

The Reduction

- ▶ Let ϕ have k clauses $C_1, \dots, C_k$ over n variables $x_1, \dots, x_n$
- ▶ Reduction creates two numbers in S for each variable x_i and two numbers for each clause C_j
- ▶ Each number has $n + k$ digits, the most significant n tied to variables and least significant k tied to clauses
 1. Target t has a 1 in each digit tied to a variable and a 4 in each digit tied to a clause
 2. For each x_i , S contains integers v_i and v'_i , each with a 1 in x_i 's digit and 0 for other variables. Put a 1 in C_j 's digit for v_i if x_i in C_j , and a 1 in C_j 's digit for v'_i if $\neg x_i$ in C_j
 3. For each C_j , S contains integers s_j and s'_j , where s_j has a 1 in C_j 's digit and 0 elsewhere, and s'_j has a 2 in C_j 's digit and 0 elsewhere
- ▶ Greatest sum of any digit is 6, so no carries when summing integers
- ▶ Can be done in polynomial time

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Notes and Questions

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The Reduction (2)

$$C_1 = (x_1 \vee \neg x_2 \vee \neg x_3), C_2 = (\neg x_1 \vee \neg x_2 \vee \neg x_3), \\ C_3 = (\neg x_1 \vee \neg x_2 \vee x_3), C_4 = (x_1 \vee x_2 \vee x_3)$$

	x_1	x_2	x_3	C_1	C_2	C_3	C_4
$v_1 =$	1	0	0	1	0	0	1
$v'_1 =$	1	0	0	0	1	1	0
$v_2 =$	0	1	0	0	0	0	1
$v'_2 =$	0	1	0	1	1	1	0
$v_3 =$	0	0	1	0	0	1	1
$v'_3 =$	0	0	1	1	1	0	0
$s_1 =$	0	0	0	1	0	0	0
$s'_1 =$	0	0	0	2	0	0	0
$s_2 =$	0	0	0	0	1	0	0
$s'_2 =$	0	0	0	0	2	0	0
$s_3 =$	0	0	0	0	0	1	0
$s'_3 =$	0	0	0	0	0	2	0
$s_4 =$	0	0	0	0	0	0	1
$s'_4 =$	0	0	0	0	0	0	2
$t =$	1	1	1	4	4	4	4

$$x_1 = 0, x_2 = 0, x_3 = 1$$

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Proof of Correctness

- ⇒ If $x_i = 1$ in ϕ 's satisfying assignment, SUBSET-SUM solution S' will have v_i , otherwise v'_i
- ▶ For each variable-based digit, the sum of the elements of S' is 1
 - ▶ Since each clause is satisfied, each clause contains at least one literal with the value 1, so each clause-based digit sums to 1, 2, or 3
 - ▶ To match each clause-based digit in t , add in the appropriate subset of **slack variables** s_j and s'_j

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Notes and Questions

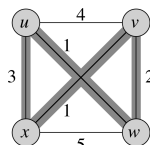
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- ⇐ In SUBSET-SUM solution S' , for each $i = 1, \dots, n$, exactly one of v_i and v'_i must be in S' , or sum won't match t
 - ▶ If $v_i \in S'$, set $x_i = 1$ in satisfying assignment, otherwise we have $v'_i \in S'$ and set $x_i = 0$
 - ▶ To get a sum of 4 in clause-based digit C_j , S' must include a v_i or v'_i value that is 1 in that digit (since slack variables sum to at most 3)
 - ▶ Thus, if $v_i \in S'$ has a 1 in C_j 's position, then x_i is in C_j and we set $x_i = 1$, so C_j is satisfied (similar argument for $v'_i \in S'$ and setting $x_i = 0$)
 - ▶ This holds for all clauses, so ϕ is satisfied

In-Class Exercise: Traveling Salesman Problem (TSP)

Notes and Questions

- ▶ Given: A complete, undirected graph G with nonnegative costs on its edges, and a number k
- ▶ Question: Is there a tour that visits every city (vertex) exactly once, finishing where it started, and has total cost $\leq k$?



Has a tour of cost $k = 7$

Prove that TSP is NP-complete (*Reduce from HAM-CYCLE, realizing that HAM-CYCLE's instance is a graph with no costs and not necessarily complete*)