## Introduction to NP-Completeness: Lecture 18

**Lecturer:** S. S. Ravi

**Affiliation:** Biocomplexity Institute and Initiative, UVA

Email: ssravi@virginia.edu

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**Request:** If you send email to Ravi regarding this lecture, please be sure to cc the message to Professor Haifeng Xu (hx4ad@virginia.edu).

## Outline for Lecture 18

- 1 Basic Definitions (Decision Problems and Examples)
- Complexity Classes P and NP
- 3 Polynomial Time Reductions with Examples

## **Basic Definitions**

### **Terminology and Notation:**

- "Efficiently solvable" and "Polynomial time solvable" are synonyms.
- For graph problems, "vertex" and "node" are synonyms.
- The Boolean values True and False are represented by 1 and 0 respectively.

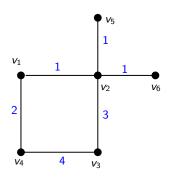
#### **Decision Problem:**

- Problem specification consists of an instance and question.
- The answer to the question is "YES" or "NO".

## **Example – Minimum Spanning Tree (MST):**

<u>Instance:</u> An undirected graph G(V, E) with a weight w(e) for each edge  $e \in E$  and a number B.

Question: Does G have a spanning tree of weight at most B?



- For this graph G, choosing B = 8 leads to a "YES" instance.
- For the same graph, choosing B = 7 leads to a "NO" instance.

## **Additional Terminology:**

- For a Boolean variable x, its **complement** is  $\overline{x}$ ; x and  $\overline{x}$  are **literals**.
- A clause is a disjunction (i.e., the OR) of literals.

**Examples:** 
$$(\overline{x_2})$$
,  $(x_1 \vee \overline{x_3})$ ,  $(x_1 \vee \overline{x_2} \vee \overline{x_3})$ 

■ When we assign a 0 or 1 value to each Boolean variable, a clause evaluates to 1 (i.e., it is **satisfied**) or 0 (it is not satisfied).

## **Satisfiability** (SAT) Problem:

Instance: A set  $X = \{x_1, x_2, ..., x_n\}$  of Boolean variables and a set  $F = \{C_1, C_2, ..., C_m\}$  of m clauses using the variables in X.

**Note:** Think of F as the formula  $C_1 \wedge C_2 \wedge \cdots \wedge C_m$ . Such a formula is in **Conjunctive Normal Form** (CNF).

Question: Is F satisfiable, i.e., is there an assignment of 0-1 values to variables in X such that each clause in F is satisfied?

### **Examples:**

Let  $X=\{x_1,x_2,x_3,x_4\}$  and let  $F_1$  consist of  $C_1=(x_1\vee\overline{x_3}\vee x_4)$  and  $C_2=(\overline{x_2}\vee x_3\vee\overline{x_4})$ . This is a "YES" instance of SAT. (Choose  $x_1=1,\ x_2=0,\ x_3=0$  and  $x_4=0$ .)

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- 2 Let  $X = \{x_1, x_2\}$ . Suppose  $F_2$  consists of  $C_1 = (x_1 \lor x_2)$ ,  $C_2 = (\overline{x_1})$  and  $C_3 = (\overline{x_2})$ . This is a "NO" instance of SAT. (Why?)

## Complexity Classes P and NP

**Class P:** Contains problems that can be solved in polynomial time. (MST is an example of such a problem.)

**Class NP (Nondeterministic Polynomial time)**: Contains problems for which a *given solution can be verified efficiently*.

**Note:** The given solution *S* is also called a **certificate**.

This verification requires two conditions.

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- **1** The size of the given solution S should be a polynomial in the size of the problem instance I.
- 2 The verification algorithm must run in time that is a polynomial in the sum of the sizes of the problem instance *I* and the solution *S*.

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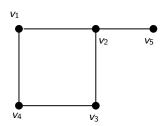
- Given S, we can substitute the values into each clause check that all clauses are satisfied in O(mn) time.
- Thus, SAT is in **NP**.

## Minimum Vertex Cover (MVC):

Instance: An undirected graph G(V, E) and an integer  $k \le |V|$ .

Question: Does G have a **vertex cover** of size at most k, that is, is there a subset  $V' \subseteq V$  such that  $|V'| \le k$  and for each edge  $\{v_i, v_i\} \in E$ , at least one of  $v_i$  and  $v_i$  is in V'?

## Example:



- For this graph G,  $V_1 = \{v_2, v_4\}$  is a vertex cover. (It is also a minimum vertex cover.)
- For G,  $V_2 = \{v_1, v_3\}$  is <u>not</u> a vertex cover. (Edge  $\{v_2, v_5\}$  is not covered.)

## Example – Minimum Vertex Cover (MVC) is in NP:

■ A given instance I of MVC has a graph G(V, E), with |V| = n, |E| = m, and an integer  $k \le n$ . (The size of instance I is O(m + n).)

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   (Exercise: Explain how the verification can be done in O(m + n) time.)
- Thus, MVC is in **NP**.

## Relationship between P and NP

**Observation:**  $P \subseteq NP$ .

**Reason:** For any problem in **P**, a polynomial time algorithm can construct a solution and use the solution as the certificate.

**Example:** For the MST problem, an algorithm can construct a minimum spanning tree T and use T as the certificate.

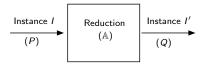
### Famous Open Question: Is P = NP?

- Considered a very important problem in Computer Science and Mathematics.
- Clay Institute offers a prize of \$1 Million for its solution.
- Most CS researchers believe that  $P \neq NP$ .

## Polynomial Time Reductions

**Definition:** A **reduction** from a problem P to a problem Q is a deterministic algorithm  $\mathbb A$  which transforms any instance I of problem P to an instance I' of problem B such that

- 1 A runs in polynomial time and
- 2 I is a "YES" instance of P if and only if I' is a "YES" instance of Q.



**Note:** A reduction  $\mathbb{A}$  efficiently transforms each instance I of P into an instance I' of Q such that there is a solution to I iff there is a solution to I'.

**Terminology/Notation:** "P is reducible to Q" or  $P \leq_p Q$ .

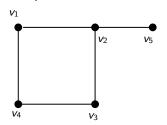
### **Example – Reducing MVC to Maximum Independent Set:**

## Maximum Independent Set (MIS):

Instance: An undirected graph G(V, E) and an integer  $\ell \leq |V|$ .

Question: Does G have an **independent set** with at least  $\ell$  vertices, that is, is there a subset  $V_1 \subseteq V$  such that  $|V_1| \ge \ell$  and there is no edge in G between any pair of vertices in  $V_1$ ?

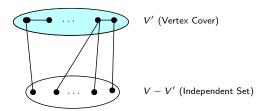
### Example:



- For this graph G,  $V_1 = \{v_1, v_3, v_5\} \text{ is an independent set. (It is also a maximum independent set.)}$
- For G,  $V_2 = \{v_1, v_4, v_5\}$  is <u>not</u> an independent set (since G has the edge  $\{v_1, v_4\}$ ).

**Lemma 1:** For any graph G(V, E), V' is a vertex cover iff V - V' is an independent set.

#### **Proof idea:**



**Corollary 1:** G(V, E) has a vertex cover of size k iff it has an independent set of size |V| - k.

**Theorem 1:** MVC  $\leq_p$  MIS.

**Proof:** 

■ MVC instance I consists of graph G(V, E) and integer k.

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- Thus, MVC  $\leq_p$  MIS.

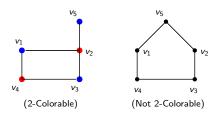
**2SAT:** Version of SAT in which each clause has at most 2 literals. 2SAT is efficiently solvable.

## **Graph 2-Coloring:** (G2C)

Instance: Undirected graph G(V, E).

Question: Can each vertex in V be assigned a color from {Red, Blue}, so that for each edge  $\{v_i, v_j\} \in E$ , the colors assigned to  $v_i$  and  $v_j$  are different?

## Example:



**Theorem 2:** G2C  $\leq_p$  2SAT.

**Proof:** 

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- Resulting 2SAT instance I' has |V| variables and 2|E| clauses.

#### Example:



Boolean variables:  $x_1$ ,  $x_2$ ,  $x_3$ 

Clauses: 
$$(x_1 \lor x_2)$$
,  $(\overline{x_1} \lor \overline{x_2})$ ,  $(x_2 \lor x_3)$ ,  $(\overline{x_2} \lor \overline{x_3})$ 

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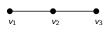
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  - In every assignment that satisfies both  $(x_i \lor x_j)$  and  $(\overline{x_i} \lor \overline{x_j})$ ,  $x_i$  and  $x_i$  have different values.

### Proof of Theorem 2 (continued):

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### Proof of Theorem 2 (continued):

**Part 2:** Suppose G2C instance *I* has a solution.

**Goal:** Construct a solution to the 2SAT instance I'.

■ Proof similar to that of Part 1. (Exercise)

### Why are reductions useful?

**Lemma 2:** Suppose  $P \leq_{p} Q$ .

If Q is efficiently solvable, then so is P.

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**Lemma 2:** Suppose  $P \leq_p Q$ .

- If *Q* is efficiently solvable, then so is *P*.
- If P is not efficiently solvable, then so is Q.

#### Notes:

- The reduction from G2C to 2SAT shows that G2C is efficiently solvable (since 2SAT has an efficient algorithm).
- The reduction from MVC to MIS can be used to conclude that MIS is also **NP**-complete (since MVC is **NP**-complete).
- Thus, reductions are useful to obtain efficient algorithms as well as to prove hardness results.

#### What we know about NP-complete problems:

- **NP**-complete problems are the "hardest" ones in **NP**.
- The problems are all "equivalent": they are all efficiently solvable or none of them is efficiently solvable.
- We don't know which of these possibilities is true.
- General conjecture: NP-complete problems are not efficiently solvable. (All known algorithms for NP-complete problems have exponential running times.)
- **NP**-complete problems are said be "computationally intractable".

## Steps to Prove **NP**-completeness

**Goal:** To prove that Problem Q is **NP**-complete.

- Show that Q is in NP. (This step shows the membership in NP.)
- Identify a suitable problem P which is known to be NP-complete.
- Show that  $P \leq_p Q$ . This shows the **NP-hardness** of Q.

#### **Example:**

- It is easy to show that the MIS problem is in NP.
- We showed that MVC  $\leq_p$  MIS (Theorem 1).
- Since MVC is NP-complete, so is MIS.

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  - **2** Show that  $P \leq_p Q$ .
- To show that a problem P is "hard" (i.e., **NP**-complete):

- To show that a problem *P* is "easy" (i.e., efficiently solvable):
  - 1 You must first identify a problem Q that is known to be easy.
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