An Introduction to Parameterized Complexity

Lecture 1: Fixed-Parameter Tractability

Clemens Grabmayer

Ph.D. Program, Advanced Period Gran Sasso Science Institute L'Aquila, Italy

Monday, June 19, 2023

Course overview

Monday, June 19 10.00 – 12.00	Tuesday, June 20 10.00 – 12.00	Wednesday, June 21 10.00 – 12.00	Thursday, June 22 10.00 – 12.00	Friday, June 23 10.00 – 12.00
Introduction & basic FPT results	Notions of bounded graph width	Guest Lecture Alessandro Aloisio	Algorithmic Meta-Theorems	FPT-Intractability Classes & Hierarchies
motivation for FPT kernelization, Crown Lemma, Sunflower Lemma	path-, tree-, clique width, FPT-results by dynamic programming, transferring FPT results betw. widths	examples FPT-results: firefighting problem, coverage in multi- interface networks,	1st-order logic, monadic 2nd-order logic, FPT-results by Courcelle's Theorems for tree and clique-width	motivation for FP-intractability results, FPT-reductions, class XP (slicewise polynomial), W- and A-Hierarchies, placing problems on these hierarchies
Algorithmic Techniques			Formal-Method & Algorithmic Techniques	
				15.00 – 16.00
				Guest Exercise Class Alessandro Aloisio
				Intractability results on the firefighting problem

Course developers



Hugo Gilbert course 2019/20 (Hugo & Clemens)



CG & Alessandro Aloisio course 2020/21 (Alessandro & C)

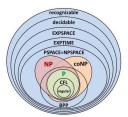
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Classical complexity theory

- analyses problems by resource (space or time)
 needed to solve them on a reasonable machine model
- ▶ as a function of the input size n = |x| (Hartmanis/Stearns, 1965)
- ⇒ variety of complexity classes (P, LOGSPACE, NP, PSPACE, ...)
- ⇒ tractable problems
 - = polynomial-time computable (in P)
- ⇒ theory of intractability (reductions, NP completeness)



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Drawback

- measures problem size n = |x|
 only in terms of input instances x,
 and ignores structural information about instances
- sometimes problems are easier to solve for instances if additional structure information is available

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Parameterized complexity

- measures complexity also in terms of a parameter $k = \kappa(x)$ that may depend on the input x in an arbitrary way
- \Rightarrow fixed-parameter tractable problems relaxes polynomial time solvability to algorithms whose non-polynomial behavior $f(k) \cdot p(n)$ is restricted by parameter k
- ⇒ complexity classes (FPT, XP, W[P], W- and A-hierarchies)
- ⇒ theory of fixed-parameter intractability

Parameterized (versus classical) problems

Definition

A classical (decision) problem is a pair $\langle \Sigma, Q \rangle$ where:

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 - $\triangleright \kappa : \Sigma^* \to \mathbb{N}$ a function, the parameterization.

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Assumption

The parameterization κ can be efficiently computed.

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Definition

The size of an instance $\langle x, \kappa(x) \rangle$ of $\langle Q, \kappa \rangle$ is

$$|\langle x, \kappa(x) \rangle| = |x| + \kappa(x)$$
.

Parameterized problems (examples)

A Parameterized Clique Problem

p-CLIQUE:

Given: a graph G and an integer k,

Question: Does there exists a clique of size k in G?

Parameter: k.

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Given: a universe $U = \{x_1, \dots, x_n\}$, a collection of sets $S = (S_1, \dots, S_m)$ where $S_i \subseteq U$ and an integer k,

Question: Does there exists a set $S \subseteq U$ such that $|S| \le k$ and $S \cap S_i \ne \emptyset$, $\forall i \in \{1, ..., m\}$.

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- ▶ NP-hard even if $\max |S_i| = 2$,
- ▶ is fixed-parameter tractable.

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There is a hierarchy on parameters.

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There are many different types of parameters!

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 E.g., the number of voters in an election problem.
- Some more structural property of the instance.
 E.g., the diameter of a graph.
- It can be a combination of values, a difference, ...

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The art of parameterization

- Graph problems: maximum degree, treewidth, diameter...
- Social choice problems: number of voters, candidates, correlation of preferences...
- ▶ Boolean formulas: number of variables, number of clauses...
- Problems on strings: maximum length of a string, size of the alphabet...

Fixed Parameter Tractability

Definition

A parameterized problem (Q, κ) is *fixed-parameter tractable* if:

```
\exists f: \mathbb{N} \to \mathbb{N} computable \exists p \in \mathbb{N}[X] polynomial \exists \mathbb{A} algorithm, takes inputs in \Sigma^* and \forall x \in \Sigma^* [\mathbb{A} decides if x \in Q in time \leq f(\kappa(x)) \cdot p(|x|)].
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FPT := complexity class of all fixed-parameter tractable problems.

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Goal in parameterized algorithmics:

- ⇒ design FPT algorithms,
- \Rightarrow try to make both factors $f(\kappa(x))$ and p(|x|) as small as possible.
- ⇒ or show (if possible) that finding such factors is impossible

Slices of FPT problems are in P

The ℓ -th slice of a parameterized problem (Q, κ) :

$$\langle Q, \kappa \rangle_{\ell} := \{ x \in Q \mid \kappa(x) = \ell \} .$$

Proposition

If $\langle Q, \kappa \rangle \in \mathsf{FPT}$, then $\langle Q, \kappa \rangle_{\ell} \in \mathsf{P}$ for all $\ell \in \mathbb{N}$.

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Proof.

If $\langle Q, \kappa \rangle \in \mathsf{FPT}$, then there are a function $f : \mathbb{N} \to \mathbb{N}$ computable, a polynomial p, and an algorithm \mathbb{A} that decides $x \in \Sigma^*$ in running time $\leq f(\kappa(x)) \cdot p(|x|)$ time. This algorithm can also be used to decide the ℓ -th slice in time $\leq f(\ell) \cdot p(|x|)$, which for fixed ℓ is a polynomial.

A problem not in FPT (unless P = NP)

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Application

p-COLORABILITY

Instance: a graph \mathcal{G} and $k \in \mathbb{N}$.

Parameter: k.

Problem: Decide whether \mathcal{G} is k-colorable.

Known: 3-Colorability ∈ NP-complete (Lovàsz, Stockmeyer, 1973).

Since 3-Colorability = p-Colorability₃,

it follows that p-Colorability \notin FPT (unless P = NP).

Slice-wise polynomial problems

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XP := complexity class of slice-wise polynomial problems.

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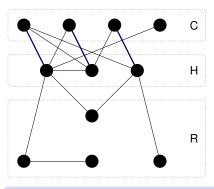
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From today's lecture



A **crown decomposition** of a graph G is a partitioning (C, H, R) of V(G), such that:

- C is nonempty.
- ② C is an independent set.
- \bullet H separates C and R.
- **4** *G* contains a matching of *H* into *C*.

Lemma (Crown lemma.)

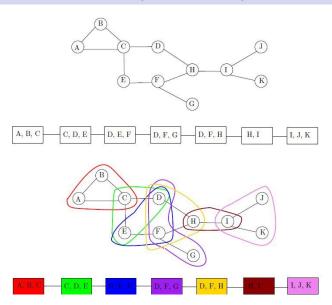
Let G be a graph with no isolated vertices and with at least 3k + 1 vertices. There is a polynomial-time algorithm that:

- either finds a matching of size k + 1 in G;
- or finds a crown decomposition of G.

Tomorrow

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In tomorrow's lecture: a path decomposition of a graph



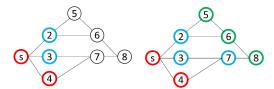
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From Wednesday's Guest Lecture: Firefighting Problem

Definitions

A vertex of an undirected graph G(V, E) can be burned, protected, vulnerable, or saved.



From Wednesday's Guest Lecture: Coverage in Multi-Interface Networks



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CMI(p) (for $p \in \mathbb{N}$)

Instance: A graph $\mathcal{G} = \langle V, E \rangle$, $W: V \to 2^{\{1, \dots, a\}}$ available-interface allocation, $c: \{1, \dots, a\} \to \mathbb{R}^+$ interface cost function.

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Solution: An allocation $W_A: V \to 2^{\{1,\dots,a\}}$ of active interfaces covering $\mathcal G$ such that $W_A(v) \subseteq W(v)$, and $|W_A(v)| \le p$ for all $v \in V$, if possible; otherwise, a negative answer.

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Problem: Obtain, if possible, a minimal solution with respect to the total cost of the interfaces that are activated, that is,

 $c(W_A) = \sum_{v \in V} \sum_{i \in W_A(v)} c(i)$.

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From Thursdays's lecture: Monadic second-order logic

$$\psi_{\mathbf{3}} := \exists C_{\mathbf{1}} \exists C_{\mathbf{2}} \exists C_{\mathbf{3}} \big(\big(\forall x \bigvee_{i=1}^{3} C_{i}(x) \big) \\ \land \forall x \forall y \big(E(x,y) \to \bigwedge_{i=1}^{3} \neg \big(C_{i}(x) \land C_{i}(y) \big) \big) \big)$$

$$\mathcal{A}(\mathcal{G}) \vDash \psi_{\mathbf{3}} \iff \mathcal{G} \text{ has is 3-colorable}.$$

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motivation for FPT kernelization, Crown Lemma, Sunflower Lemma	path-, tree-, clique width, FPT-results by dynamic programming, transferring FPT results betw. widths	examples FPT-results: firefighting problem, coverage in multi- interface networks,	1st-order logic, monadic 2nd-order logic, FPT-results by Courcelle's Theorems for tree and clique-width	motivation for FP-intractability results, FPT-reductions, class XP (slicewise polynomial), W- and A-Hierarchies, placing problems on these hierarchies
Algorithmic Techniques		Formal-Method & Algorithmic Techniques		
				15.00 – 16.00
				Guest Exercise Class Alessandro Aloisio
				Intractability results on the firefighting problem

From Friday's lecture: W-Hierarchy

'There is no definite single class that can be viewed as "the parameterized NP". Rather, there is a whole hierarchy of classes playing this role. (Flum, Grohe [FG06])



Course overview

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Introduction & basic FPT results			Algorithmic Meta-Theorems	FPT-Intractability Classes & Hierarchies
motivation for FPT kernelization,			1st-order logic, monadic 2nd-order	motivation for FP-intractability results,
Crown Lemma, Sunflower Lemma			logic, FPT-results by Courcelle's Theorems for tree and	FPT-reductions, class XP (slicewise polynomial), W- and
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	path-, tree-, clique width, FPT-results by dynamic programming, transferring FPT	examples FPT-results: firefighting problem, coverage in multi- interface networks,		Intractability results on the firefighting problem
	results betw. widths			

Books





- Marek Cygan, Fedor V. Fomin, Lukasz Kowalik, Daniel Lokshtanov, Daniel Marx, Marcin Pilipczuk, Michal Pilipczuk, and Saket Saurabh, *Parameterized Algorithms*, 1st ed., Springer, 2015.
- Jörg Flum and Martin Grohe, *Parameterized Complexity Theory*, Springer, 2006.

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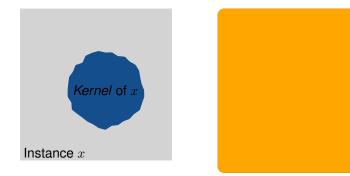
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Kernelization methods (informally)

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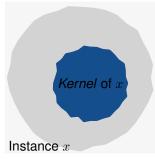
- a systematic study of polynomial-time preprocessing algorithms,
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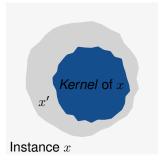
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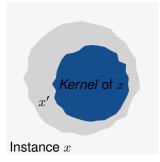
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- → Application of rule 1
- → Application of rule 2

- Often a collection of efficient preprocessing rules.
- ► Transform an instance *x* into a smaller equivalent instance *x'*.
- ► Hopefully, $|x'| \le g(\kappa(x))$. → use a (non-efficient) exact algorithm.

Kernelization (formally)

Definition

Let $\langle Q, \kappa \rangle$ be a parameterized problem over Σ .

A *kernelization* of (Q, κ) is a function $K: \Sigma^* \to \Sigma^*$ such that:

- ▶ *K* is polynomial-time computable
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 - $(x \in Q \iff \underline{K}(x) \in Q) ,$
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The (parameterized) Point Line Cover Problem

p-Point-Line-Cover:

Given: n points in the plane and an integer k,

Parameter: The integer k.

Question: Do there exist k lines that cover all points?

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Proposition

p-POINT-LINE-COVER \in FPT: it admits a kernel of size with k^2 points.

The (parameterized) Vertex Cover Problem

p-VERTEX-COVER:

Given: A graph G.

Parameter: The integer k.

Question: Does there exists a vertex cover of size at most k?

Definition

Let G be a graph and $S \subseteq V(G)$. The set S is called vertex cover if for every edge of G at least one of its endpoints is in S.

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Exercise

Find an $O(k^2)$ kernel for p-VERTEX-COVER.

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Theorem

p-VERTEX-COVER \in FPT, because it admits a kernel with at most $O(k^2)$ vertices and $O(k^2)$ edges.

Kernelization ⇒ FPT

Exercise

If (Q, κ) admits a kernel and is decidable, then $(Q, \kappa) \in \mathsf{FPT}$.

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A parameterized problem (Q, κ) is *fixed-parameter tractable* if:

```
 \exists f: \mathbb{N} \to \mathbb{N} \text{ computable } \exists p \in \mathbb{N}[X] \text{ polynomial} \\ \exists \mathbb{A} \text{ algorithm, takes inputs in } \Sigma^* \text{ and } \forall x \in \Sigma^* \\ \big[ \mathbb{A} \text{ decides if } x \in Q \text{ in time } \leq f(\kappa(x)) \cdot p(|x|) \big].
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FPT := complexity class of all fixed-parameter tractable problems.

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```
(Q,K) a parameterized problem, Q < 2*
 Definition K: Z* > Z* a kernelization for (Q, K) if:
    (K1) YXE>* (XEQ (XK)EQ)
      Ka) K is polytime computable
      M3) ∃n: N→N Yx∈ Z*( | K(x)| ≤ L( k(x))).
Proposition: If <0,187 is decidable, and has kernelization K, then (Q,18) EFPT
Proof. Since < Q K) is decidable, there is an algorithm A) that decides instances xet in time = f(1x1) steps for some Computable function f: N > N.
Then assuming a polynomial algorialum Ax for k (time bounded by F(x))
  We construct on PPT algorishm Al(K) for
                                         K(x) E = * | Ruming Lime A(K) =
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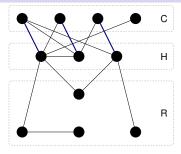
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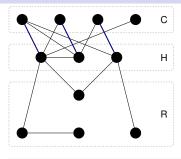
Crown Decomposition and Crown Lemma



A **crown decomposition** of a graph G is a partitioning (C, H, R) of V(G), such that:

- C is nonempty.
- 2 C is an independent set.
- \odot H separates C and R.
- **4** *G* contains a matching of *H* into *C*.

Crown Decomposition and Crown Lemma



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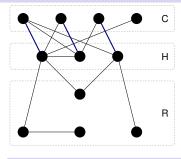
- C is nonempty.
- 2 C is an independent set.
- \odot H separates C and R.
- G contains a matching of H into C.

Lemma (Crown Lemma)

Let G be a graph with no isolated vertices and with at least 3k + 1 vertices. There is a polynomial-time algorithm that:

- either finds a matching of size k + 1 in G;
- or finds a crown decomposition of G.

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Exercise

Apply the Crown Lemma to the Vertex Cover Problem.

The (par.) Vertex Cover Problem (smaller kernel)

p-VERTEX-COVER:

Given: A graph G.

Parameter: The integer k.

Question: Does there exists a vertex cover of size at most k?

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Rule 2: If $|(V(G))| \ge 3k + 1$, apply the Crown Lemma.

- ▶ If it returns a matching of size k + 1, then conclude that (G, k) is a no-instance
- ▶ If it returns a crown decomposition $V(G) = C \cup H \cup R$:
 - Pick the vertices in H in the solution

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 - Reduce (G − H, k − |H|) to (G − H − C, k − |H|) by using Rule 1 (note that vertices in C are isolated)

Theorem

p-VERTEX-COVER admits a kernel with at most 3k vertices.

The (parameterized) Dual-Coloring Problem

p-COLORABILITY:

Given: A graph $G = \langle V, E \rangle$ on n vertices and an integer k.

Parameter: The integer k. Question: Is G k-colorable?

Definition

Let $k \in \mathbb{N}$. A graph $G = \langle V, E \rangle$ is k-colorable if there is a function $C : V \to \{1, \dots, k\}$ such that $C(u) \neq C(v)$ for all edges $\{u, v\} \in E$.

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Given: A graph $G = \langle V, E \rangle$ on n vertices and an integer k.

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Exercise

Obtain a kernel with O(k) vertices using crown decomposition.

The Dual-Coloring Problem

Rule 1: Let $I \subseteq V(G)$ be the isolated vertices. Remove I from G, and color them with one color. The new instance if (G - I, k)

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Rule 2: Consider graph $\overline{G}(V, \overline{E})$ obtained from G by saying that $e \in \overline{E}$ iff $e \notin E$.

If |(V(G))| > 3k, apply the Crown Lemma to \overline{G} .

If it returns a matching of size k + 1, then conclude that (G, k) is a yes-instance

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Theorem

p-DUAL-COLORING admits a kernel with at most 3k vertices.

Sunflower Lemma

Definition

A sunflower with k petals and a core Y is a collection of sets S_1, \ldots, S_k such that $S_i \cap S_j = Y$ for all $i \neq j$. The sets $S_i \setminus Y$ are petals and they must be non-empty.

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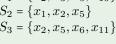
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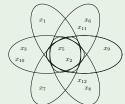
A sunflower with 6 petals and a core $Y = \{x_2, x_5\}.$

$$S_1 = \{x_2, x_3, x_5, x_{10}\}$$

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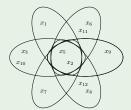
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Lemma (Sunflower lemma (Erdős, Rado))

Let A be a family of sets (without duplicates) over a universe U such that each set in A has cardinality = d.

If $|\mathcal{A}| > d!(k-1)^d$, then \mathcal{A} contains a sunflower with k petals which can be computed in time polynomial in $|\mathcal{A}|$, |U|, and k.

Application to *d*-Hitting Set

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Parameterized *d*-Hitting Set Problem

p-d-HITTING-SET:

Given: A family \mathcal{A} of sets over a universe U, where each set has cardinality $\leq d$ and a positive integer k,

Parameter: The integer k.

Question: Does there exists a subset $H \subseteq U$ of size at most

k such that H intersects each set in A?

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Exercise

Apply the sunflower lemma.

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Theorem

p-d-HITTING-SET has a kernel with $\leq d!k^dd$ sets $\& \leq d!k^dd^2$ elements.

Application to *d*-Hitting Set

Observation

If \mathcal{A} contains a sunflower $\mathcal{S} = \{S_1, \dots, S_{k+1}\}$ of k+1 sets, then every hitting set H of \mathcal{A} with $|H| \leq k$ must intersect the core Y of \mathcal{S} . Otherwise it is a no-instance, because H cannot intersect each of the k+1 petals $S_i \setminus Y$.

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Rule **HS.1**: Let (U, A, k) be an instance of d-HITTING SET. Assume that \mathcal{A} contains a sunflower $\mathcal{S} = \{S_1, \dots, S_{k+1}\}$ of cardinality k+1 with core Y. Then return (U', \mathcal{A}', k) , where $\mathcal{A}' := (\mathcal{A} \setminus \mathcal{S}) \cup Y$, $U' := \bigcup \mathcal{A}' = \bigcup_{X \in \mathcal{A}'} X.$

Proof (kernel of p-d-HITTING-SET with $\leq d!k^dd$ sets and $\leq d!k^dd^2$ elements).

If for some $d' \in \{1, ..., d\}$, the number of sets in \mathcal{A} of size = d' is more than $d'!k^{d'}$, then the sunflower lemma yields a sunflower of size k + 1.

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Application to *d*-Hitting Set

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Proof (kernel of p-d-HITTING-SET with $\leq d! k^d d$ sets and $\leq d! k^d d^2$ elements).

If for some $d' \in \{1,...,d\}$, the number of sets in \mathcal{A} of size = d' is more than $d'!k^{d'}$, then the sunflower lemma yields a sunflower of size k+1. Rule **HS.1** applies. By applying this rule exhaustively, we obtain a new family of sets \mathcal{A}' with $\leq d'!k^{d'}$ sets of size = d' for every $d' \in \{1,...,d\}$. Hence $|\mathcal{A}'| \leq d!k^{d}d$ and $|U'| = d!k^{d}d^{2}$. If $\varnothing \in \mathcal{A}'$ (a sunflower had an empty core), then it is a no instance. \square

Tomorrow

Monday, June 19 10.00 – 12.00 Introduction & basic FPT results motivation for FPT kernelization, Crown Lemma, Sunflower Lemma	Tuesday, June 20 10.00 – 12.00 Notions of bounded graph width path-, tree-, clique width, FPT-results by dynamic programming, transferring FPT results betw. widths	Wednesday, June 21 10.00 – 12.00 Guest Lecture Alessandro Aloisio examples FPT-results: firefighting problem, coverage in multi- interface networks,	Thursday, June 22 10.00 – 12.00 Algorithmic Meta-Theorems 1st-order logic, monadic 2nd-order logic, FPT-results by Courcelle's Theorems for tree and clique-width	Friday, June 23 10.00 – 12.00 FPT-Intractability Classes & Hierarchies motivation for FP-intractability results, FPT-reductions, class XP (slicewise polynomial), W- and A-Hierarchies, placing problems on these
				hierarchies
Algorithmic Techniques			Formal-Method & Algorithmic Techniques	
				15.00 – 16.00
				Guest Exercise Class Alessandro Aloisio
				Intractability results on the firefighting problem