



# Data Structures and Algorithms Design

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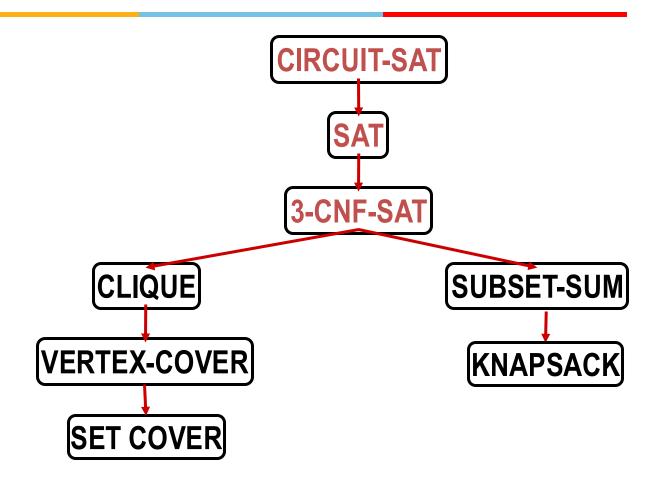


## **CONTACT SESSION 14-PLAN**

Contact Sessions(#)	List of Topic Title	Text/Ref Book/external resource
14	Definition of P and NP classes and examples, Understanding NP-Completeness: CNF-SAT Cook-Levin theorem  Polynomial time reducibility: CNF-SAT and 3-SAT, Vertex Cover	T1: 13.1, 13.2, 13.3
15	Polynomial time reducibility: Clique and Vertex-Cover	T1: 13.3, 13.4

# NP-Completeness and the Proofs



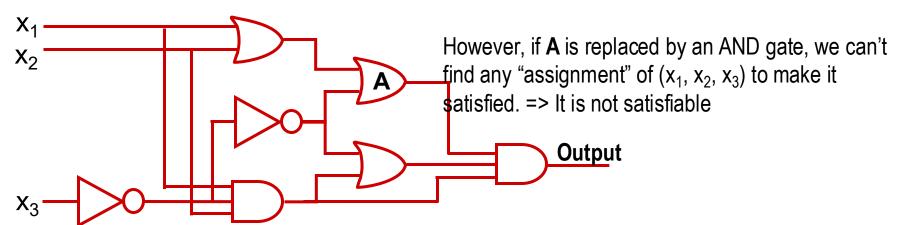


# CIRCUIT-SAT First NP-complete Problem



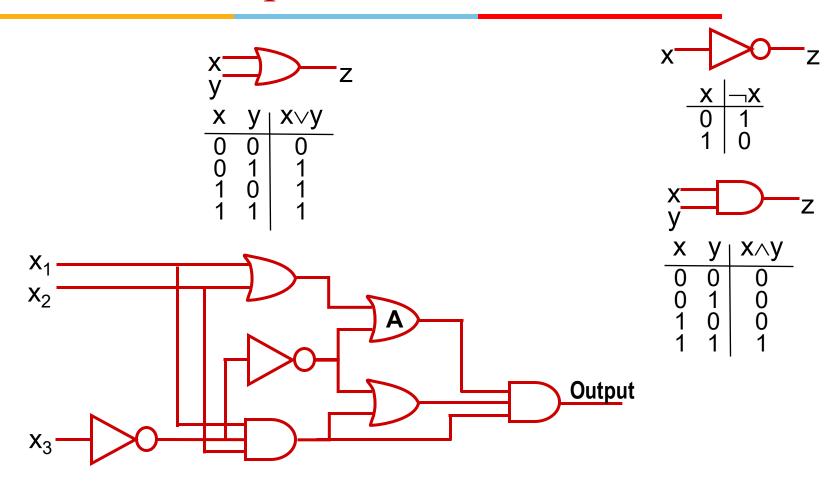
• Given a boolean combinational circuit composed of AND, OR, and NOT gates, is it satisfiable?

If we assign 1, 1, 0 to  $x_1$ ,  $x_2$ , and  $x_3$ , the output will be 1. The circuit is satisfied by some assignment .It is satisfiable.



# innovate achieve lead

# CIRCUIT-SAT First NP-complete Problem





# NP-Completeness and the Proofs

- A common approach to prove that a problem, A, is NP-complete:
- 1. Prove  $A \in NP$
- 2. Select a known NP-complete problem **K**
- 3. Describe an algorithm that maps an instance of **K** to an instance of **A**
- 4. Prove that the results for both instances (yes or no) in(3) are the same
- 5. Prove that the algorithm in (3) runs in polynomial time [Polynomial-time Reducibility]



- Given a boolean formula of n boolean variables, m boolean connectives, and required parenthesis, is it satisfiable?
- Boolean functions:

<u>P</u>	Q	P \ Q	P v Q	<u>¬P</u>	$P \rightarrow Q$	$\underline{P} \longleftrightarrow \underline{Q}$
T	T	$\mathbf{T}$	$\mathbf{T}$	F	$\mathbf{T}$	$\mathbf{T}$
T	F	$\mathbf{F}$	$\mathbf{T}$	$\mathbf{F}$	$\mathbf{F}$	F
F	T	$\mathbf{F}$	$\mathbf{T}$	T	$\mathbf{T}$	F
$\mathbf{F}$	F	$\mathbf{F}$	$\mathbf{F}$	T	T	T



Example:  $((x_1 \rightarrow x_2) \lor \neg ((\neg x_1 \leftrightarrow x_3) \lor x_4)) \land \neg x_2$ It is satisfiable by the assignment:

$$x_1=0, x_2=0, x_3=1, x_4=1$$
  
ie  $((0 \to 0) \lor \neg ((\neg 0 \leftrightarrow 1) \lor 1)) \land \neg 0$   
=  $(1 \lor \neg (1 \lor 1)) \land 1$ 

<u>P</u>	Q	P ^ Q	P v Q	<u>¬P</u>	$P \rightarrow Q$	<u>P</u> ↔Q
T	$\mathbf{T}$	T	$\mathbf{T}$	$\mathbf{F}$	$\mathbf{T}$	$\mathbf{T}$
T	$\mathbf{F}$	$\mathbf{F}$	$\mathbf{T}$	$\mathbf{F}$	$\mathbf{F}$	$\mathbf{F}$
F	$\mathbf{T}$	$\mathbf{F}$	$\mathbf{T}$	T	T	$\mathbf{F}$
F	$\mathbf{F}$	$\mathbf{F}$	$\mathbf{F}$	T	T	T

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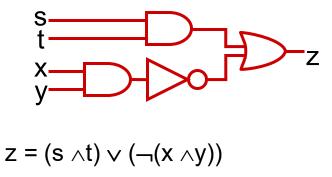
## SAT Problem

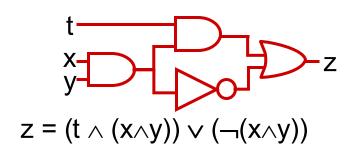
- SAT is NP-Complete
- 2 parts of the proof:
  - SAT ∈ NP
  - SAT is NP-hard
- SAT $\in$ NP
- Consider an algorithm:
- bool Verify\_Sat(Input\_Boolean\_Formula, Certificate/\*an assignment to the variables, eg. x<sub>1</sub>, x<sub>2</sub>, x<sub>3</sub>\*/)
- This algorithm replaces each variable in the formula with its corresponding values and evaluate the expression.
- This is a 2-input, polynomial-time verification algorithm for SAT. Since we can find such an algorithm for SAT, we say that SAT can be verified in polynomial time.

#### **SAT is NP-hard**

Show that CIRCUIT-SAT  $\leq_{p}$  SAT

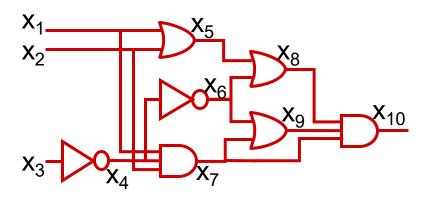
ie. Any instance of circuit satisfiability can be reduced in polynomial time to an instance of formula satisfiability







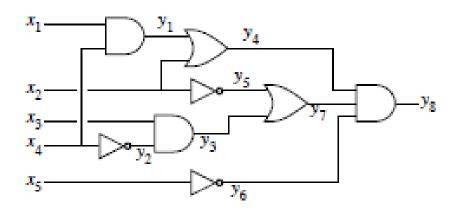
- Since we need to show that "Any instance of circuit satisfiability can be reduced in **polynomial time** to an instance of formula satisfiability."
- We design a more clever method:
- Step 1. For each gate, formulate it with the operation on its incident wires. eg.  $x_{10} \leftrightarrow (x_7 \land x_8 \land x_9)$
- Step 2. "AND" all the formulas of the gates.



#### The formula:

$$\begin{array}{c} x_{10} \wedge (x_4 \leftrightarrow \neg \ x_3) \\ \wedge (x_5 \leftrightarrow (x_1 \vee x_2)) \\ \wedge (x_6 \leftrightarrow \neg x_4) \\ \wedge (x_7 \leftrightarrow (x_1 \wedge x_2 \wedge x_4)) \\ \wedge (x_8 \leftrightarrow (x_5 \vee x_6)) \\ \wedge (x_9 \leftrightarrow (x_6 \vee x_7)) \\ \wedge (x_{10} \leftrightarrow (x_7 \wedge x_8 \wedge x_9)) \end{array}$$

# SAT Problem-Example

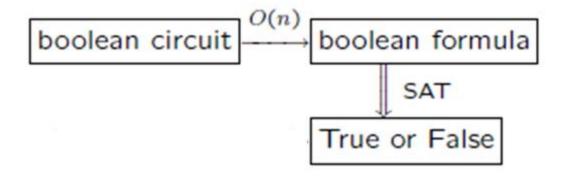


$$(y_1 = x_1 \land x_4) \land (y_2 = \overline{x_4}) \land (y_3 = x_3 \land y_2) \land (y_4 = y_1 \lor x_2) \land (y_5 = \overline{x_2}) \land (y_6 = \overline{x_5}) \land (y_7 = y_3 \lor y_5) \land (y_8 = y_4 \land y_7 \land y_6) \land y_8$$

A boolean circuit with gate variables added, and an equivalent boolean formula.



## SAT – Reduction Picture





- The original circuit is satisfiable iff the resulting formula is satisfiable
- We can transform any boolean circuit into a formula in linear time and the size of the resulting formula is only a constant factor larger than the size of the circuit
- Thus we've shown that if we had a polynomial-time algorithm for SAT, then we'd have a polynomial-time algorithm for Circuit Satisfiability
- This means that SAT is NP-Hard

- Given a boolean formula in 3-CNF, is it satisfiable?
- 3-CNF-SAT is NP-complete
- 2 parts of the proof:
  - A. 3-CNF-SAT ∈ NP
  - B. 3-CNF-SAT is NP-hard

A 3-CNF Example:

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



#### 3-CNF-SAT∈NP

Consider an algorithm:

bool Verify\_3\_CNF\_SAT(Input\_Boolean\_Formula, Certificate /\*an assignment to the variables\*/)

- This algorithm replaces each variable in the formula with its corresponding values and evaluate the expression.
- This is a 2-input, polynomial-time verification algorithm for 3-CNF-SAT.



• Since we can find such an algorithm for 3-CNF-SAT, we say that 3-CNF-SAT can be verified in polynomial time, and 3-CNF-SAT∈NP.



#### **3-CNF-SAT is NP-hard**

Show that SAT  $\leq_p$  3-CNF-SAT

ie. Any instance of formula satisfiability can be reduced in polynomial time to an instance of 3-CNF formula satisfiability.

A formula Example: 
$$((X_1 \rightarrow X_2) \lor \neg ((\neg X_1 \leftrightarrow X_3) \lor X_4)) \land \neg X_2$$

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

#### The Reduction:

Step 1: Create a binary "parse" tree for the formula.

Step 2: Rewrite it in the form:

$$y_{1} \wedge (y_{1} \leftrightarrow (y_{2} \wedge \neg x_{2}))$$

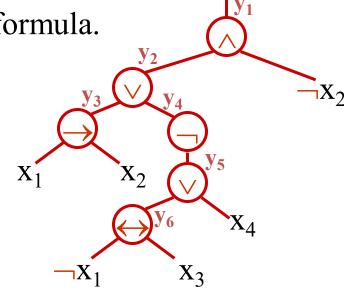
$$\wedge (y_{2} \leftrightarrow (y_{3} \vee y_{4}))$$

$$\wedge (y_{3} \leftrightarrow (x_{1} \rightarrow x_{2}))$$

$$\wedge (y_{4} \leftrightarrow \neg y_{5})$$

$$\wedge (y_{5} \leftrightarrow (y_{6} \vee x_{4}))$$

$$\wedge (y_{6} \leftrightarrow (\neg x_{1} \leftrightarrow x_{3}))$$



#### The Reduction:

Step 3: Change each sub-clause of the following to an OR of literals:

$$y_{1} \wedge (y_{1} \leftrightarrow (y_{2} \wedge \neg x_{2}))$$

$$\wedge (y_{2} \leftrightarrow (y_{3} \vee y_{4}))$$

$$\wedge (y_{3} \leftrightarrow (x_{1} \rightarrow x_{2}))$$

$$\wedge (y_{4} \leftrightarrow \neg y_{5})$$

$$\wedge (y_{5} \leftrightarrow (y_{6} \vee x_{4}))$$

$$\wedge (y_{6} \leftrightarrow (\neg x_{1} \vee x_{3}))$$

Eg	<b>y</b> <sub>1</sub>	У2	<b>X</b> <sub>2</sub>	$(y_1 \leftrightarrow (y_2 \land \neg x_2))$	· (v · v · v · )
	1 1 1 1 0	1 1 0 0	1 0 1 0		$\rightarrow (y_1 \land y_2 \land x_2)$ $\rightarrow (y_1 \land \neg y_2 \land x_2)$
	0 0 0	1 0 0	0 1 0	0 1 1	$(y_1 \land \neg y_2 \land \neg x_2)$ $(\neg y_1 \land y_2 \land \neg x_2)$

We can rewrite  $(y_1 \leftrightarrow (y_2 \land \neg x_2))$  as:

$$\neg \left[ (y_1 \land y_2 \land x_2) \lor (y_1 \land \neg y_2 \land x_2) \lor (y_1 \land \neg y_2 \land \neg x_2) \lor (\neg y_1 \land y_2 \land \neg x_2) \right]$$

By DeMorgan's laws:

$$=> \neg(y_1 \land y_2 \land x_2) \land \neg(y_1 \land \neg y_2 \land x_2) \land \neg(y_1 \land \neg y_2 \land \neg x_2) \land \neg(\neg y_1 \land y_2 \land \neg x_2)$$
  
$$=> (\neg y_1 \lor \neg y_2 \lor \neg x_2) \land (\neg y_1 \lor y_2 \lor \neg x_2) \land (\neg y_1 \lor y_2 \lor x_2) \land (y_1 \lor \neg y_2 \lor x_2)$$



#### The Reduction:

Step 3: Change each sub-clause to an OR of literals:

$$y_{1} \wedge (y_{1} \leftrightarrow (y_{2} \wedge \neg x_{2}))$$

$$\wedge (y_{2} \leftrightarrow (y_{3} \vee y_{4}))$$

$$\wedge (y_{3} \leftrightarrow (x_{1} \rightarrow x_{2}))$$

$$\wedge (y_{4} \leftrightarrow \neg y_{5})$$

$$\wedge (y_{5} \leftrightarrow (y_{6} \vee x_{4}))$$

$$\wedge (y_{6} \leftrightarrow (\neg x_{1} \vee x_{3}))$$

We can rewrite  $(y_1 \leftrightarrow (y_2 \land \neg x_2))$  as:

$$(\neg y_1 \lor \neg y_2 \lor \neg x_2) \land (\neg y_1 \lor y_2 \lor \neg x_2) \land (\neg y_1 \lor y_2 \lor x_2) \land (y_1 \lor \neg y_2 \lor x_2)$$

Apply the same method to other sub-clauses:

```
\begin{array}{l} y_1 \wedge (\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) \\ \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 \vee x_3)) \end{array}
```



- In 3SAT every clause must have exactly 3 different literals.
- To reduce from an instance of SAT to an instance of 3SAT, we must make all clauses to have exactly 3 variables...
- Basic idea
- (A) Pad short clauses so they have 3 literals.
- (B) Break long clauses into shorter clauses.
- (C) Repeat the above till we have a 3CNF.

(A) Case clause with one literal: Let c be a clause with a single literal (i.e., c = ℓ). Let u, v be new variables. Consider

$$c' = (\ell \lor u \lor v) \land (\ell \lor u \lor \neg v)$$
$$\land (\ell \lor \neg u \lor v) \land (\ell \lor \neg u \lor \neg v).$$

Observe that c' is satisfiable iff c is satisfiable

Case clause with 2 literals: Let  $c = \ell_1 \vee \ell_2$ . Let u be a new variable. Consider

$$c' = \left(\ell_1 \vee \ell_2 \vee u\right) \, \wedge \, \left(\ell_1 \vee \ell_2 \vee \neg u\right).$$

Again c is satisfiable iff c' is satisfiable

#### Clauses with more than 3 literals

Let  $c = \ell_1 \vee \cdots \vee \ell_k$ . Let  $u_1, \ldots u_{k-3}$  be new variables. Consider

$$c' = (\ell_1 \vee \ell_2 \vee u_1) \wedge (\ell_3 \vee \neg u_1 \vee u_2)$$

$$\wedge (\ell_4 \vee \neg u_2 \vee u_3) \wedge$$

$$\cdots \wedge (\ell_{k-2} \vee \neg u_{k-4} \vee u_{k-3}) \wedge (\ell_{k-1} \vee \ell_k \vee \neg u_{k-3}).$$

The clause with more than 3 variables {a1,a2,a3,a4,a5} can be expanded to {a1,a2,s1} {!s1,a3,s2} {!s2,a4,a5} with s1 and s2 new variables whose value will depend on which variable in the original clause is true

innovate

#### Example

$$\varphi = \left(\neg x_1 \lor \neg x_4\right) \land \left(x_1 \lor \neg x_2 \lor \neg x_3\right)$$
$$\land \left(\neg x_2 \lor \neg x_3 \lor x_4 \lor x_1\right) \land \left(x_1\right).$$

#### Equivalent form:

$$\psi = (\neg x_1 \lor \neg x_4 \lor z) \land (\neg x_1 \lor \neg x_4 \lor \neg z)$$

$$\land (x_1 \lor \neg x_2 \lor \neg x_3)$$

$$\land (\neg x_2 \lor \neg x_3 \lor y_1) \land (x_4 \lor x_1 \lor \neg y_1)$$

$$\land (x_1 \lor u \lor v) \land (x_1 \lor u \lor \neg v)$$

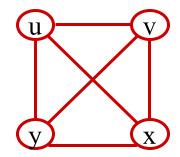
$$\land (x_1 \lor \neg u \lor v) \land (x_1 \lor \neg u \lor \neg v).$$



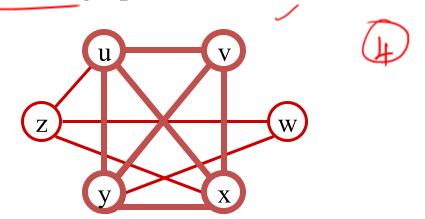


# The Clique Problem

A complete graph



A **Clique** in an undirected graph G=(V,E) is a complete subgraph of G.



Optimization problem: Find a clique of maximum size in a graph.

Decision problem: Whether a clique of a given size k exists in the graph.

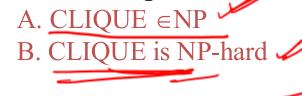
# The Clique Problem



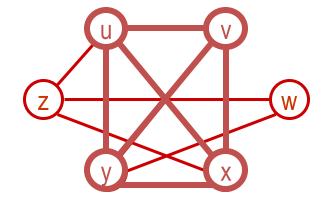
- A *clique* in an undirected graph G (V,E) is a subset V' subset of V, of vertices, each pair of which is connected by an edge in E.
- In other words, a clique is a complete subgraph of G.
- The *size* of a clique is the number of vertices it contains.

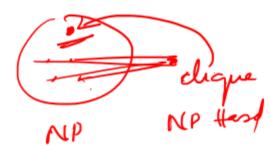
#### **CLIQUE** is NP-complete

2 parts of the proof:











- (CLIQUE ∈NP) ×
- Consider an algorithm:

bool Verify\_CLIQUE(Input\_Graph,Certificate)/\*a set of vertices in the input graph\*/)

- This algorithm checks whether the set of vertices in the certificate are linked up as a complete graph.
- This is a 2-input, polynomial-time verification algorithm for CLIQUE.
- Since we can find such an algorithm for CLIQUE, we say that CLIQUE can be verified in polynomial time, and CLIQUE∈NP.

- **CLIQUE** is NP-hard
- Show that  $3\text{-CNF-SAT} \le p$  CLIQUE
- ie. Any instance of 3-CNF formula satisfiability be reduced in polynomial time to an instance of CLIQUE.

A 3-CNF Example: 
$$(x_1 \lor \neg x_2 \lor \neg x_3) \land (\neg x_1 \lor x_2 \lor x_3) \land (x_1 \lor x_2 \lor x_3)$$

- The Reduction :
- Describe a 3-CNF formula with k sub-clauses as:
- $(l_1^1 \lor l_2^1 \lor l_3^1) \land (l_1^2 \lor l_2^2 \lor l_3^2) \land ... (l_1^k \lor l_2^k \lor l_3^k)$
- Reduce it to a clique problem such that it is satisfiable if and only if a corresponding graph has a clique of size k.
- Step 1: Represent each "term"  $l_i^r$  as a vertex  $v_i^r$ .
- Step 2: Create the edges for any two vertices:  $v_i^r$  and  $v_j^s$  if:  $\underline{r \neq s}$  and  $\underline{l_i^r}$  is not the negation of  $\underline{l_i^s}$

#### • The Reduction:

- The reduction algorithm begins with an instance of 3-CNF-SAT.
- Let Ø =C1 ^ C2 ^... ^ Ck be a boolean formula in 3-CNF with k clauses.
- For r = 1; 2; ..., k, each clause Cr has exactly three distinct literals  $l_1, l_2, and l_3$ .
- We shall construct a graph G such that is satisfiable if and only if G has a clique of size k.

We construct the graph G = (V, E) as follows. For each clause  $C_r = (l_1^r \vee l_2^r \vee l_3^r)$  in  $\phi$ , we place a triple of vertices  $\nu_1^r$ ,  $\nu_2^r$ , and  $\nu_3^r$  into V. We put an edge between two vertices  $\nu_i^r$  and  $\nu_j^s$  if both of the following hold:

- v<sub>i</sub><sup>r</sup> and v<sub>j</sub><sup>s</sup> are in different triples, that is, r ≠ s, and
- their corresponding literals are consistent, that is, l<sub>i</sub> is not the negation of l<sub>i</sub>.

We can easily build this graph from  $\phi$  in polynomial time. As an example of this construction, if we have

$$\phi = (x_1 \vee \neg x_2 \vee \neg x_3) \wedge (\neg x_1 \vee x_2 \vee x_3) \wedge (x_1 \vee x_2 \vee x_3),$$

then G is the graph

$$F = (\chi_1 \vee \chi_2) \wedge (\bar{\chi}_1 \vee \bar{\chi}_2) \wedge (\chi_1 \vee \chi_3) = 1$$

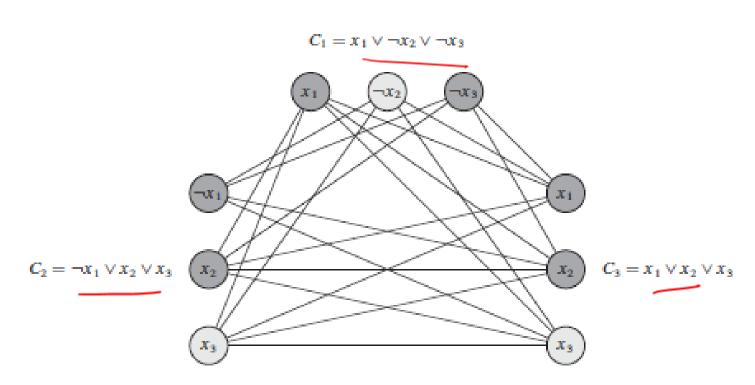
$$\langle \bar{\chi}_1, 2 \rangle \langle \bar{\chi}_2, 2 \rangle$$

$$\langle \chi_1, 3 \rangle$$

$$\langle \chi_2, 1 \rangle$$

$$\begin{cases} x_2 = 1 \\ x_1 = 0 \end{cases}$$

$$x_3 = 1$$



The graph G derived from the 3-CNF formula  $\phi = C_1 \wedge C_2 \wedge C_3$ , where  $C_1 = (x_1 \vee \neg x_2 \vee \neg x_3)$ ,  $C_2 = (\neg x_1 \vee x_2 \vee x_3)$ , and  $C_3 = (x_1 \vee x_2 \vee x_3)$ , in reducing 3-CNF-SAT to CLIQUE. A satisfying assignment of the formula has  $x_2 = 0$ ,  $x_3 = 1$ , and  $x_1$  either 0 or 1. This assignment satisfies  $C_1$  with  $\neg x_2$ , and it satisfies  $C_2$  and  $C_3$  with  $x_3$ , corresponding to the clique with lightly shaded vertices.

# The CLIQUE Problem Summary



- Given a 3-CNF formula F, we construct a graph G as follows.
- The graph has one node for each instance of each literal in the formula
- Two nodes are connected by an edge is:
  - (1) they correspond to literals in different clauses and
  - (2) those literals do not contradict each other

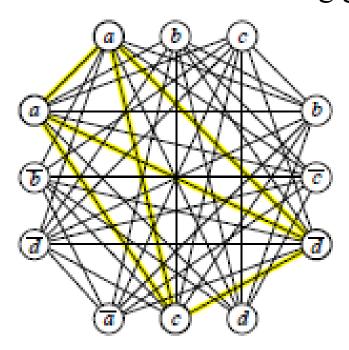
# The CLIQUE Problem Summary



• Let F be the formula:

$$(a \lor b \lor c)^{(b} \lor c \lor d)^{(a} \lor c \lor d)^{(a} \lor c \lor d)$$

• This formula is transformed into the following graph:



# The CLIQUE Problem Summary

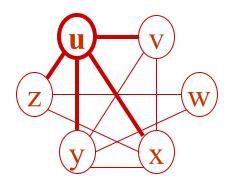


- Let F have k clauses. Then G has a clique of size k iff F has a satisfying assignment. The proof:
- satisfying assignment 

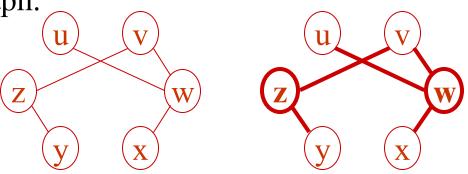
   k-clique: If we have a satisfying assignment, then we can choose one literal in each clause
  that is true. Those literals form a k-clique in the graph.



A vertex **Covers** a set of edges:



A Vertex-Cover in an undirected graph is a set of vertices that cover all edges in the graph.



 $Vertex-Cover = \{w, z\}$ 

**Vertex-Cover Problem** 

Optimization problem: Find a vertex-cover of minimum size in a graph.

Decision problem: Whether a graph has a vertex-cover of a given size k.

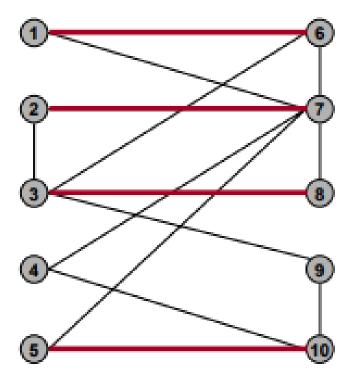


#### Ex.

Is there a vertex cover of size 4?

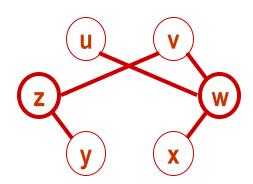
YES.

Is there a vertex cover of size 3?
 NO.



### **VERTEX-COVER** is NP-complete

- 2 parts of the proof:
  - A. VERTEX-COVER ∈NP
  - B. VERTEX-COVER is NP-hard





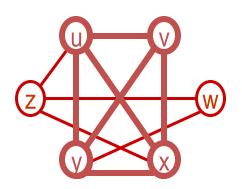
#### • <u>VERTEX-COVER ∈ NP</u>

• Consider an algorithm:

- This algorithm checks whether the set of vertices in the certificate cover all edges in the input graph.
- This is a 2-input, polynomial-time verification algorithm for **VERTEX-COVER**.
- Since we can find such an algorithm for VERTEX-COVER, we say that VERTEX-COVER can be verified in polynomial time, and VERTEX-COVER ∈ NP



- VERTEX-COVER is NP-hard
- Show that CLIQUE ≤p VERTEX-COVER
- ie. Any instance of CLIQUE satisfiability can be reduced in polynomial time to an instance of VERTEX-COVER.



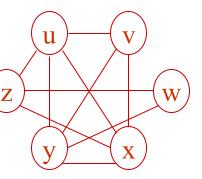
#### The Reduction:

For any CLIQUE satisfiability problem G=(V,E), k, we can create a VERTEX-COVER problem G',|V|-k such that G' is the *complement* of G.

Example:

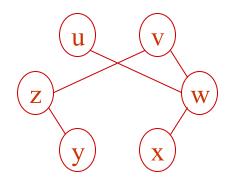
**CLIQUE** problem:

In the graph G=(V,E), can we find a clique of size k=4?



G

G' = complement of G



# **VERTEX-COVER** problem:

In the graph G', can we find a clique of size |V|-k=2?

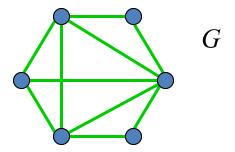


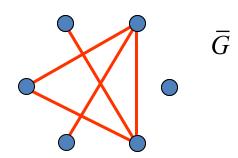
# Complement of a graph

• Given an undirected graph G (V,E), we define the *complement* of G as G (V,E')where

E'=
$$\{(u,v): u,v \in V, u \neq v \text{ and } (u,v) \notin E\}$$

- G is the graph containing exactly those edges that are not in G.
- The complement of G has all the edges that are missing in G—i.e. that would have to be added to make the complete graph.







- The reduction algorithm takes as input an instance (G,k) of the clique problem.
- It computes the complement G, which we can easily do in polynomial time.
- The output of the reduction algorithm is the instance (G',|V|-k)of the vertex-cover problem.



Suppose that  $\underline{G}$  has a clique  $V' \subseteq V$  with |V'| = k. We claim that V - V' is a vertex cover in  $\overline{G}$ . Let (u, v) be any edge in  $\overline{E}$ . Then,  $(u, v) \not\in E$ , which implies that at least one of u or v does not belong to V', since every pair of vertices in V' is connected by an edge of E. Equivalently, at least one of u or v is in V - V', which means that edge (u, v) is covered by V - V'. Since (u, v) was chosen arbitrarily from  $\overline{E}$ , every edge of  $\overline{E}$  is covered by a vertex in V - V'. Hence, the set V - V', which has size |V| - k, forms a vertex cover for  $\overline{G}$ .