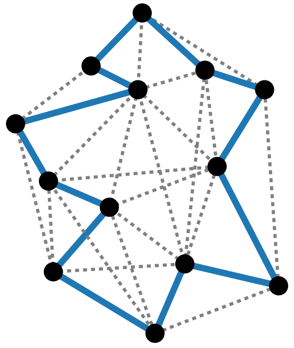
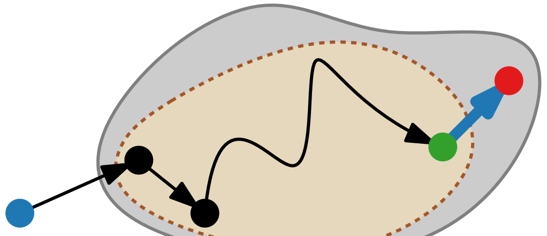
# Advanced Algorithms

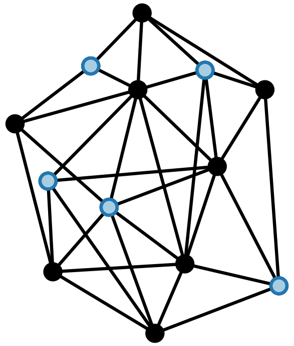
## Exact Algorithms for NP-Hard Problems

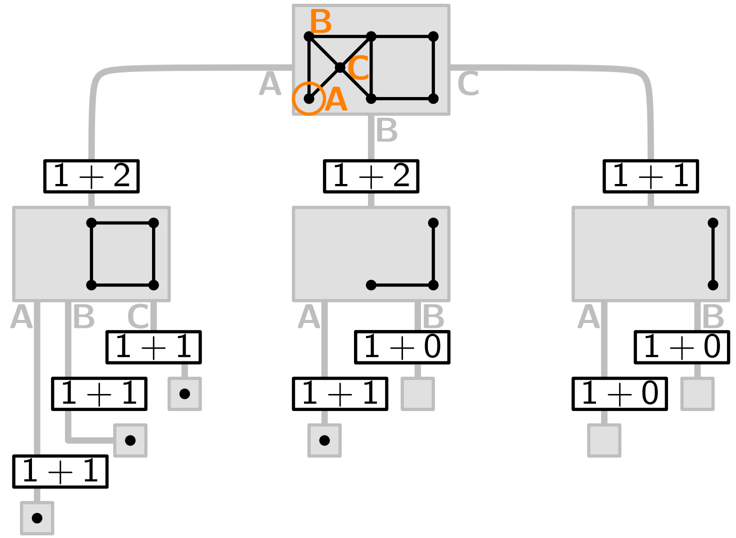
## Traveling Salesman Problem and Maximal Independent Set

Johannes Zink · WS23/24



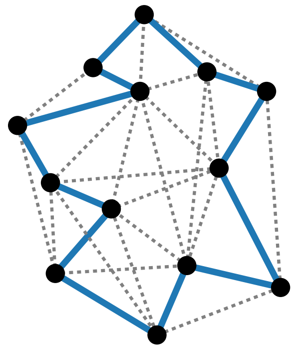




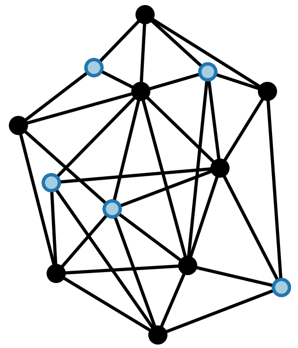


# Examples of NP-Hard Problems

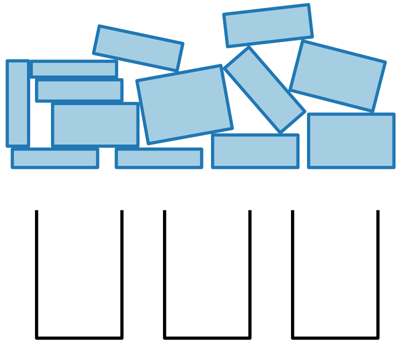
Many important (practical) problems are NP-hard, for example ...



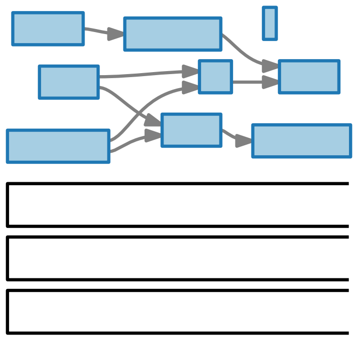
TSP



MIS



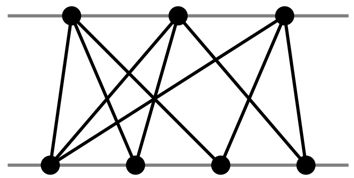
Bin Packing



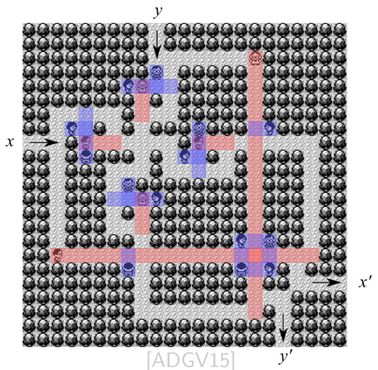

Scheduling

$$(x_1 \vee x_2 \vee \neg x_4) \wedge$$
$$(\neg x_2 \vee x_3 \vee \neg x_4) \wedge$$
$$(x_3 \vee x_7 \vee \neg x_8) \wedge$$
$$\dots$$

SAT



Graph Drawing

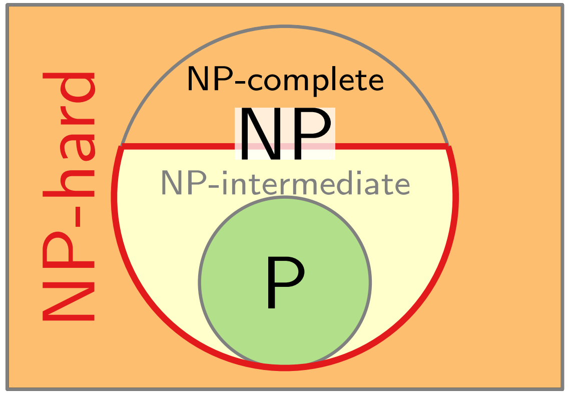



[ADGV15]

Games

...

# What is P, NP, and NP-Hardness?




- P is the complexity class that consists of all problems that can be solved in polynomial time.
- NP is the complexity class that consists of all problems that can be solved in *non-deterministic polynomial time*, i.e., a problem in NP can be solved in polynomial time by a hypothetical machine that can duplicate itsself to try different parameters in its computation.
- There is another, more accessible equivalent definition:
  A problem is in NP if the correctness of a solution can be verified in polynomial time.
- It is not proven yet, but all indications suggest that P $\neq$ NP.
- The hardest problems in NP are called *NP-complete*.
- All problems that are at least as hard as any NP-complete problem are called *NP-hard*.
  One can show NP-hardness by a polynomial-time reduction from an NP-hard problem.
- Assuming P $\neq$ NP, NP-hard problems cannot be solved in polynomial time.

# Misconceptions about NP-Hardness

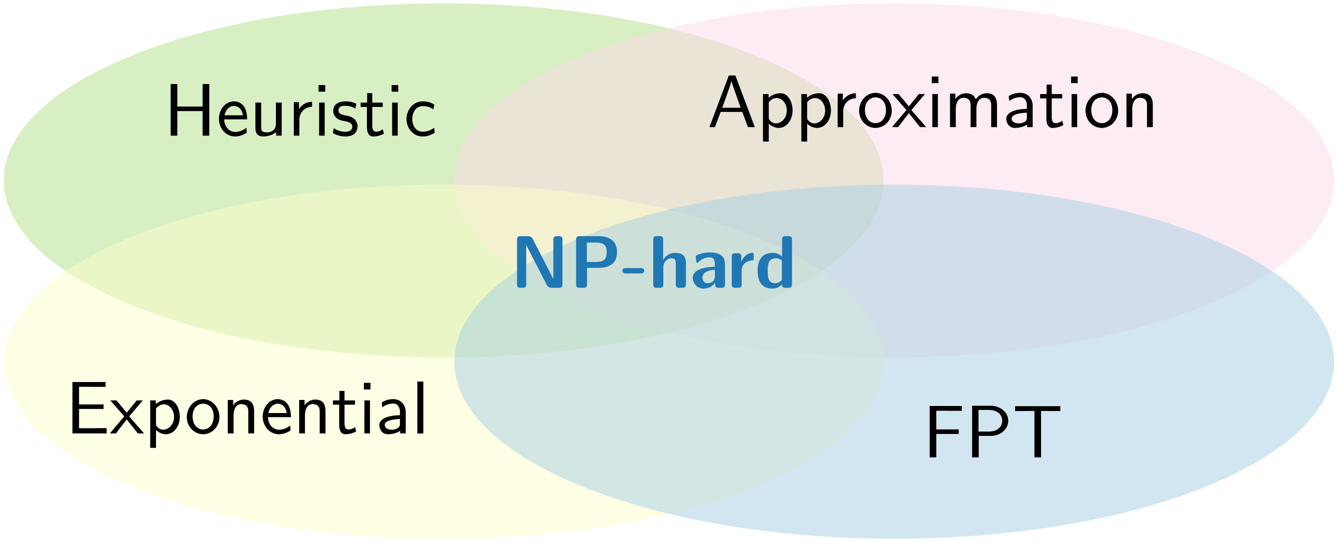
Common misconceptions [Mann '17]

- If similar problems are NP-hard, then the problem at hand is also NP-hard.
- Problems that are hard to solve in practice by an engineer are NP-hard.
- NP-hard problems cannot be solved optimally.
- NP-hard problems cannot be solved more efficiently than by exhaustive search.
- For solving NP-hard problems, the only practical possibility is the use of heuristics.

# Dealing with NP-Hard Problems

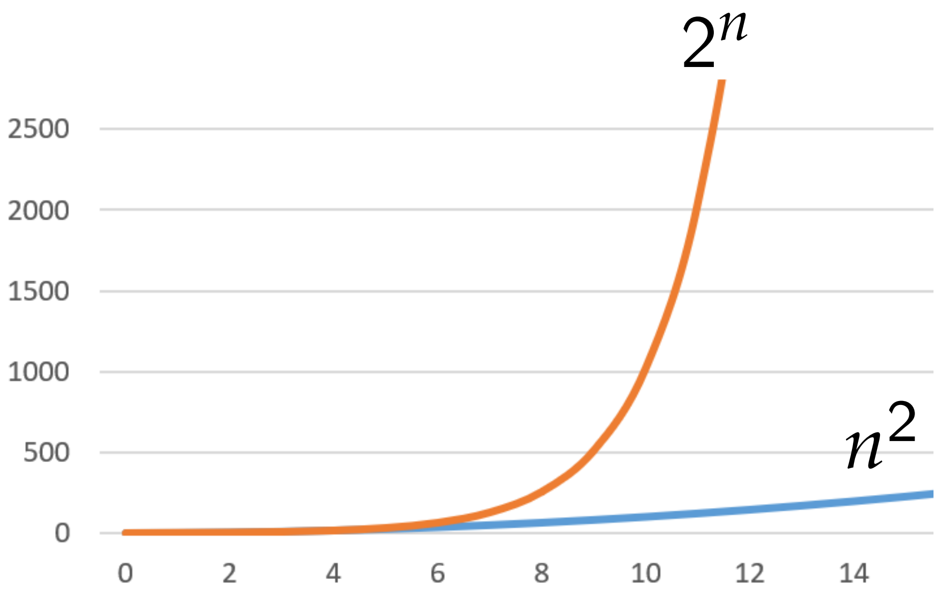
What should we do?

- Sacrifice optimality for speed
  - Heuristics
    (Simulated Annealing,
    Tabu-Search)
  - Approximation Algorithms
    (MST-Edge-Doubling,
    Christofides-Algorithm)
- Optimal Solutions
  - Exact exponential-time algorithms
    (with a better running time than
    just a brute-force algorithm)
  - Fine-grained analysis –
    parameterized algorithms




this lecture

# Motivation




efficient (polynomial-time)
vs.
inefficient (super-pol.time)

Exponential running time . . . should we just give up?

- . . . can be *"fast"* for medium-size instances:
  - "hidden" constants in polynomial-time algorithms:
    $2^{100}n > 2^n$ for $n \leq 100$
  - $n^4 > 1.2^n$ for $n \leq 100$
  - TSP solvable exactly for $n \leq 2000$ and specialized instances with $n \leq 85900$

# Motivation

Exponential running time . . . maybe we need better hardware?

- Suppose an algorithm uses $a^n$ steps & can solve for a fixed amount of time $t$ instances up to size $n_0$.
- Improving hardware by a constant factor $c$ only *adds a constant* (relative to $c$) to $n_0$:

$$a^{n_0'} = c \cdot a^{n_0} \rightsquigarrow n_0' = \log_a c + n_0$$

- Reducing the base of the runtime to $b < a$ results in a *multiplicative* increase:

$$b^{n_0'} = a^{n_0} \rightsquigarrow n_0' = n_0 \cdot \log_b a$$

# Motivation

Exponential running time ... but can we at least find exact algorithms that are faster than **brute-force** (trivial) approaches?

- TSP: Bellman-Held-Karp algorithm has a running time in $\mathcal{O}(2^n n^2)$ compared to an $\mathcal{O}(n! \cdot n)$-time brute-force search.
- MIS: algorithm by Tarjan & Trojanowski runs in $\mathcal{O}^*(2^{n/3})$ time compared to a trivial $\mathcal{O}(n2^n)$-time approach.

  $\mathcal{O}^*$ hides polynomial factors in $n$ (see next slide)
- Coloring: Lawler gave an $\mathcal{O}(n(1+\sqrt[3]{3})^n)$ algorithm compared to $\mathcal{O}(n^{n+1})$-time brute-force search.
- SAT: No better algorithm than trivial brute-force search known.

# $\mathcal{O}^*$-Notation

$$\mathcal{O}(1.4^n \cdot n^2) \subsetneq \mathcal{O}(1.5^n \cdot n) \subsetneq \mathcal{O}(2^n)$$

- base of exponential part dominates $\rightsquigarrow$ negligible polynomial factors

$$f(n) \in \mathcal{O}^*(g(n)) \Leftrightarrow \exists \text{ polynomial } p(n) \text{ with } f(n) \in \mathcal{O}(g(n)p(n))$$

- typical result

| Approach | Runtime in $\mathcal{O}$-Notation | $\mathcal{O}^*$-Notation |
|---|---|---|
| Brute-Force | $\mathcal{O}(2^n)$ | $\mathcal{O}^*(2^n)$ |
| Algorithm A | $\mathcal{O}(1.5^n \cdot n)$ | $\mathcal{O}^*(1.5^n)$ |
| Algorithm B | $\mathcal{O}(1.4^n \cdot n^2)$ | $\mathcal{O}^*(1.4^n)$ |

# Traveling Salesperson Problem (TSP)

**Input.** Distinct cities $\{v_1, v_2, \ldots, v_n\}$ with distances $d(v_i, v_j) \in Q_{\geq 0}$;
directed, complete graph $G$ with edge weights $d$

**Output.** Tour of the traveling salesperson of minimum total length that visits all the cities and returns to the starting point;


i.e., a Hamiltonian cycle $(v_{\pi(1)}, \ldots, v_{\pi(n)}, v_{\pi(1)})$ of $G$ of minimum weight

$$\sum_{i=1}^{n-1} d(v_{\pi(i)}, v_{\pi(i+1)}) + d(v_{\pi(n)}, v_{\pi(1)})$$

**Brute-force.**

- Try all permutations and pick the one with smallest weight.
- Runtime: $\Theta(n! \cdot n) = n \cdot 2^{\Theta(n \log n)}$

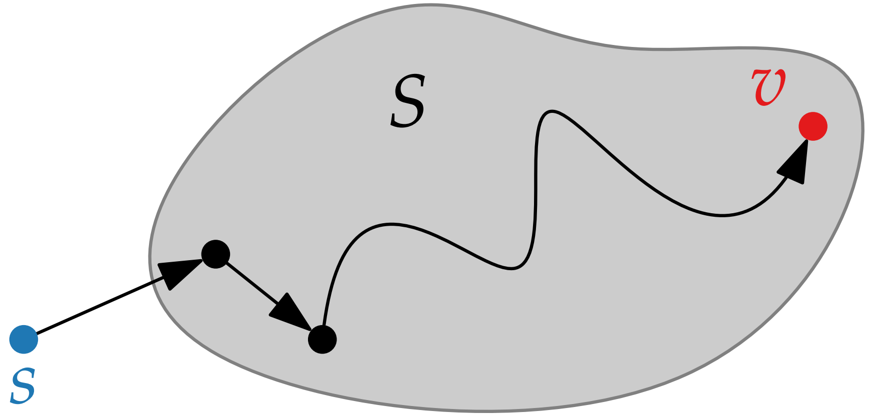
# TSP – Dynamic Programming (Bellman-Held-Karp Algorithm)

## Idea.

Richard M. Karp

- Dynamic programming means re-using optimal substructures (typically stored in a "table"). We store optimal partial tour lengths.
- Select a starting vertex $s \in V$.
- For each $S \subseteq V - s$ and $v \in S$, let:

  $\mathrm{OPT}[S, v]$ = length of a shortest $s$-$v$-path that visits precisely the vertices of $S \cup \{s\}$.




- Use $\mathrm{OPT}[S - v, u]$ to compute $\mathrm{OPT}[S, v]$.

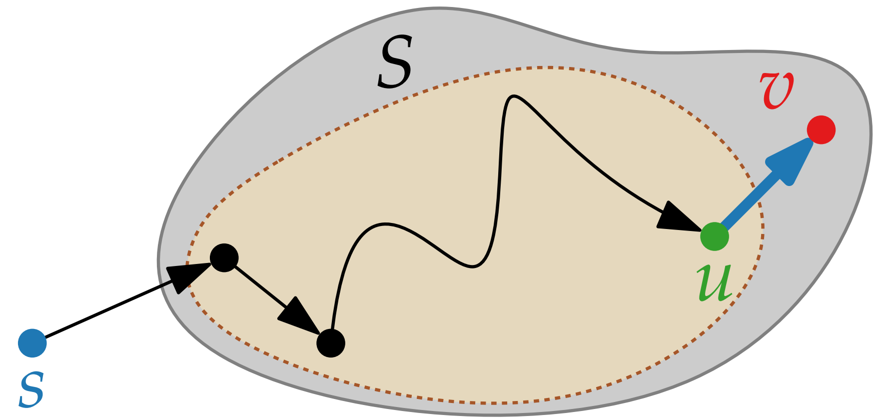
Richard E. Bellman

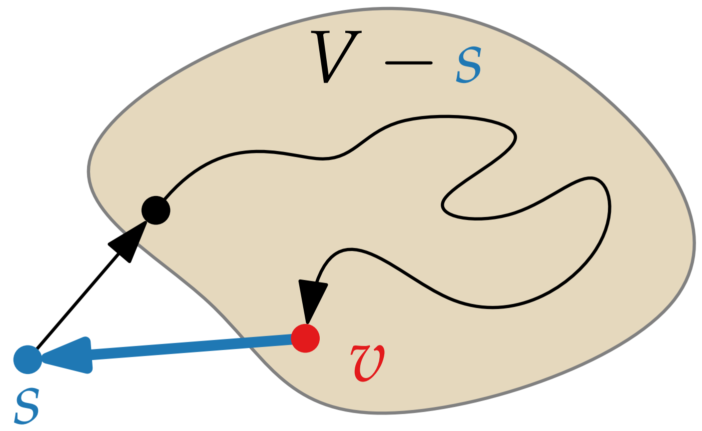
# TSP – Dynamic Programming

## Details.

- The base case $S = \{v\}$ is easy: $\mathrm{OPT}[\{v\}, v] = d(s, v)$.
- When $|S| \geq 2$, compute $\mathrm{OPT}[S, v]$ recursively:

$$\mathrm{OPT}[S, v] = \min\{\mathrm{OPT}[S - v, u] + d(u, v) \mid u \in S - v\}$$




- After computing $\mathrm{OPT}[S, v]$ for each $S \subseteq V - s$ and each $v \in V - s$, the optimal solution is easily obtained as follows:

$$\mathrm{OPT} = \min\{\mathrm{OPT}[V - s, v]\} + d(v, s) \mid v \in V - s\}$$

# TSP – Dynamic Programming

## Pseudocode.

Bellmann-Held-Karp$(G, d)$:

**foreach** $v \in V - s$ **do**
  $\mathrm{OPT}[\{v\}, v] = d(s, v)$

**for** $j = 2$ **to** $n - 1$ **do**
  **foreach** $S \subseteq V - s$ with $|S| = j$ **do**
    **foreach** $v \in S$ **do**
      $\mathrm{OPT}[S, v] = \min\{\, \mathrm{OPT}[S - v, u] + d(u, v) \mid u \in S - v \,\}$

**return** $\min\{\, \mathrm{OPT}[V - s, v] + d(v, s) \mid v \in V - s \,\}$

$\}\mathcal{O}(2^n)$ $\}\mathcal{O}(n)$ $\}\mathcal{O}(n)$

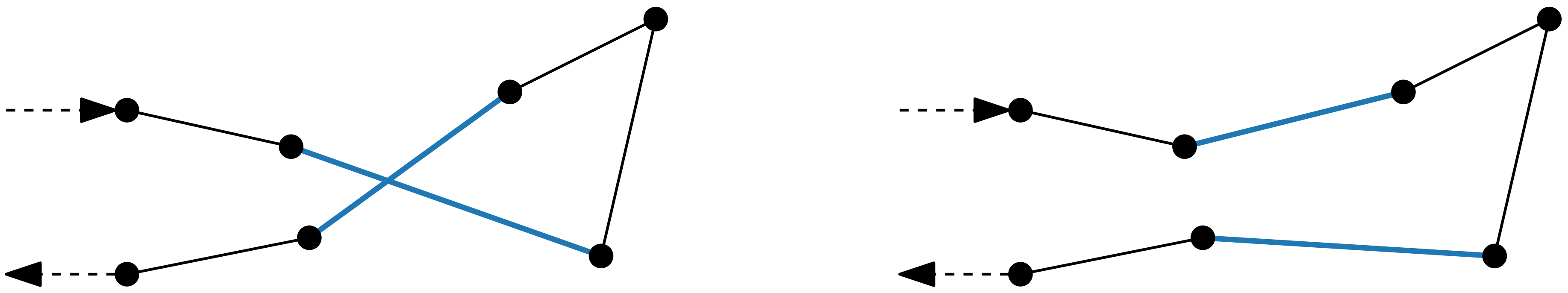
- A shortest tour can be found by backtracking the DP table (as usual).

## Analysis.

- running time for the central for-loop is in $\mathcal{O}(2^n n^2) \subseteq \mathcal{O}^*(2^n)$
- Space usage in $\Theta(2^n \cdot n)$
- Or actually better? What table values do we need to store?

# TSP – Discussion

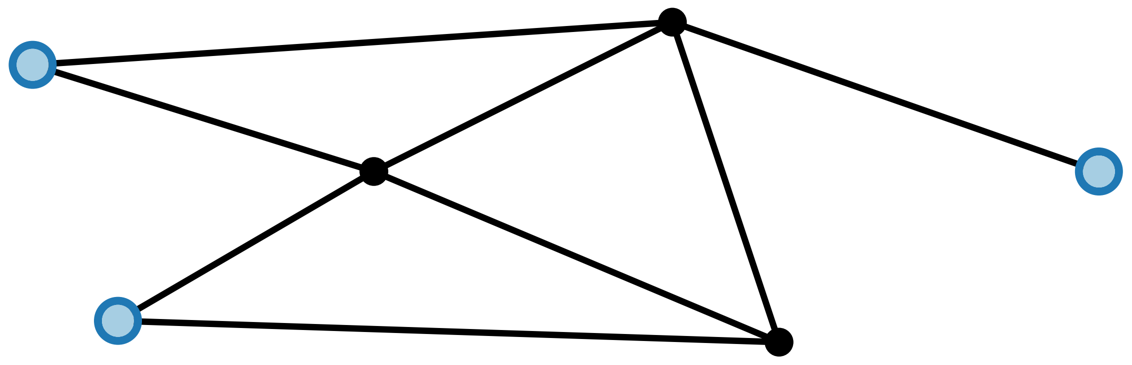
- DP algorithm that runs in $\mathcal{O}^*(2^n)$ time and $\mathcal{O}^*(2^n)$ space.
- Brute-force runs in $2^{\mathcal{O}(n \log n)}$ time and $\mathcal{O}(n^2)$ space.
  $\Rightarrow$ Sacrifice space for speedup.
- Many variants of TSP: symmetric, assymetric, metric, vehicle routing problems, ...
- Metric TSP can easily be 2-approximated. (Do you remember how? $\rightarrow$ last lecture)
- Eucledian TSP is considered in the course Approximation Algorithms.
- In practice, one successful approach is to start with a greedily computed Hamiltonian cycle and then use 2-OPT and 3-OPT swaps to improve it.



# Maximum Independent Set (MIS)

**Input.** Graph $G = (V, E)$ with $n$ vertices.

**Output.** Maximum size **independent** set, i.e., a largest set $U \subseteq V$ such that no pair of vertices in $U$ is adjacent in $G$.



**Naive MIS branching.**

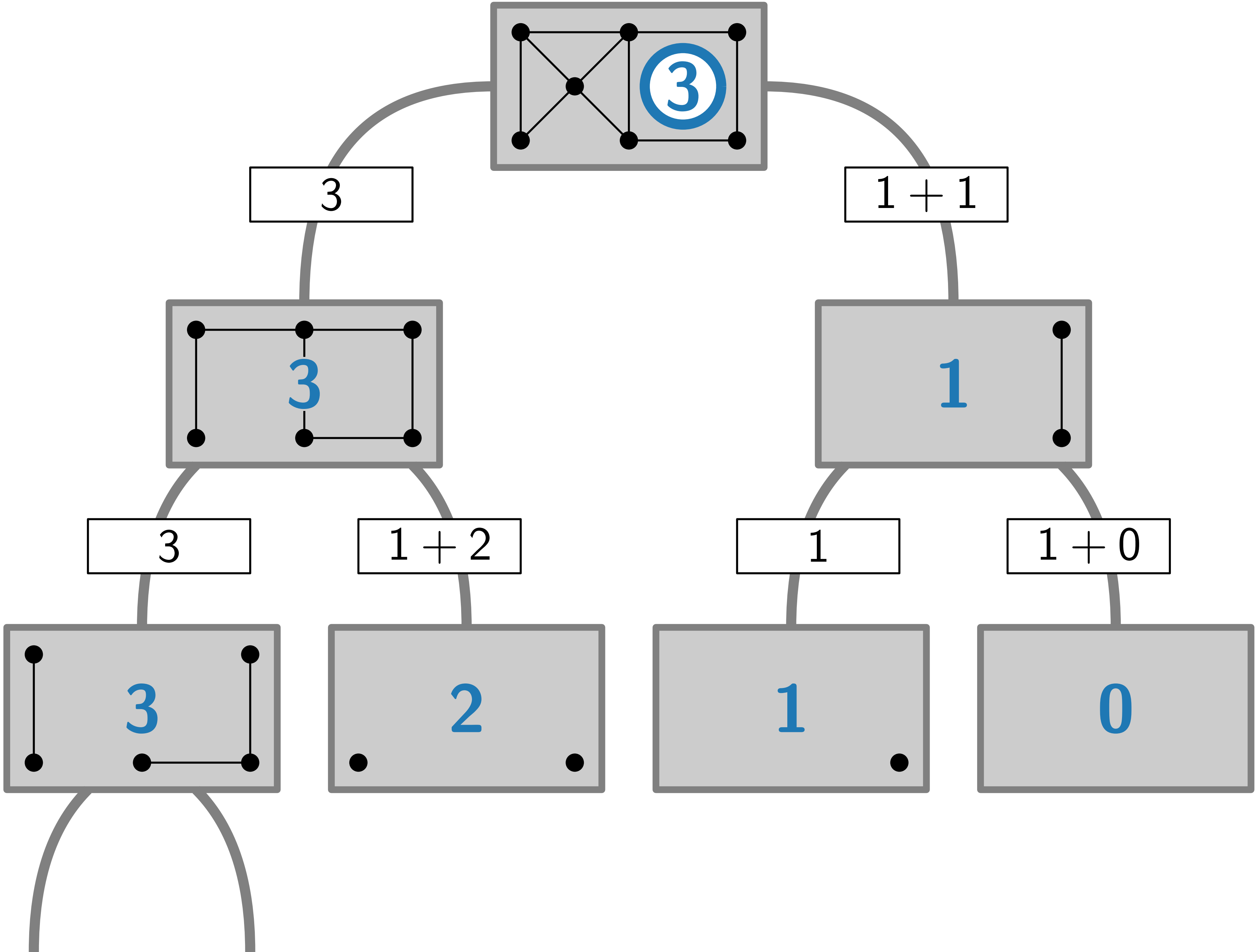
- Take a vertex $v$ or don't take it.

NaiveMIS$(G)$:

**if** $V == \emptyset$ **then**
  **return** 0
$v =$ arbitrary vertex in $V(G)$
**return** $\max\{1+$ NaiveMIS$(G - N(v) - \{v\})$,
  NaiveMIS$(G - \{v\})\}$

**Brute-force.**

- Try all subets of $V$.
- Runtime: $\mathcal{O}(2^n \cdot n)$



3
3
1 + 1
3
1
3
1 + 2
1
1 + 0
3
2
1
0

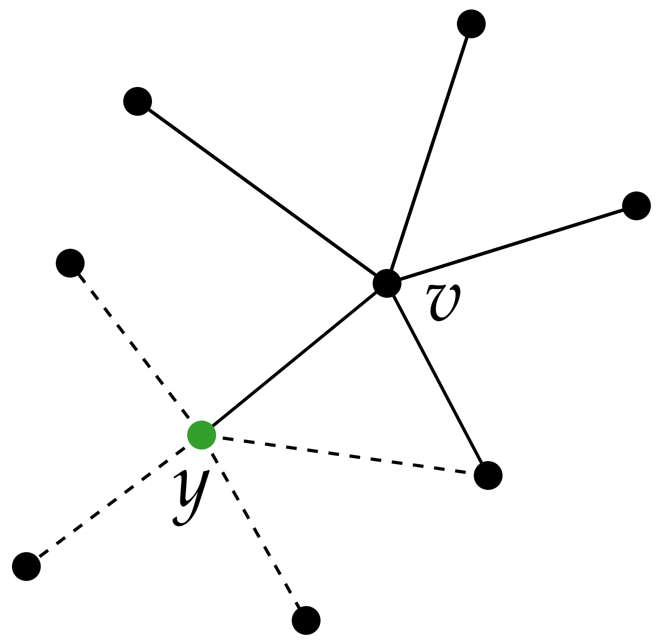
# MIS – Smarter Branching

**Lemma.**

Let $U$ be a maximum independent set in $G$. Then for each $v \in V$:

1. $v \in U \Rightarrow N(v) \cap U = \emptyset$
2. $v \notin U \Rightarrow |N(v) \cap U| \geq 1$

Thus, $N[v] := N(v) \cup \{v\}$ contains some $y \in U$ and no other vertex of $N[y]$ is in $U$.




**Smarter MIS branching.**

- For some vertex $v$, branch on vertices in $N[v]$.

SmarterMIS($G$):

  **if** $V == \emptyset$ **then**
    **return** 0

  $v =$ vertex of minimum degree in $V(G)$
  **return** $1 + \max\{\text{MIS}(G - N[y]) \mid y \in N[v]\}$

- Correctness follows from the lemma.
- We prove a runtime of $\mathcal{O}^*(3^{n/3}) = \mathcal{O}^*(1.4423^n)$.

# MIS – Branching Analysis

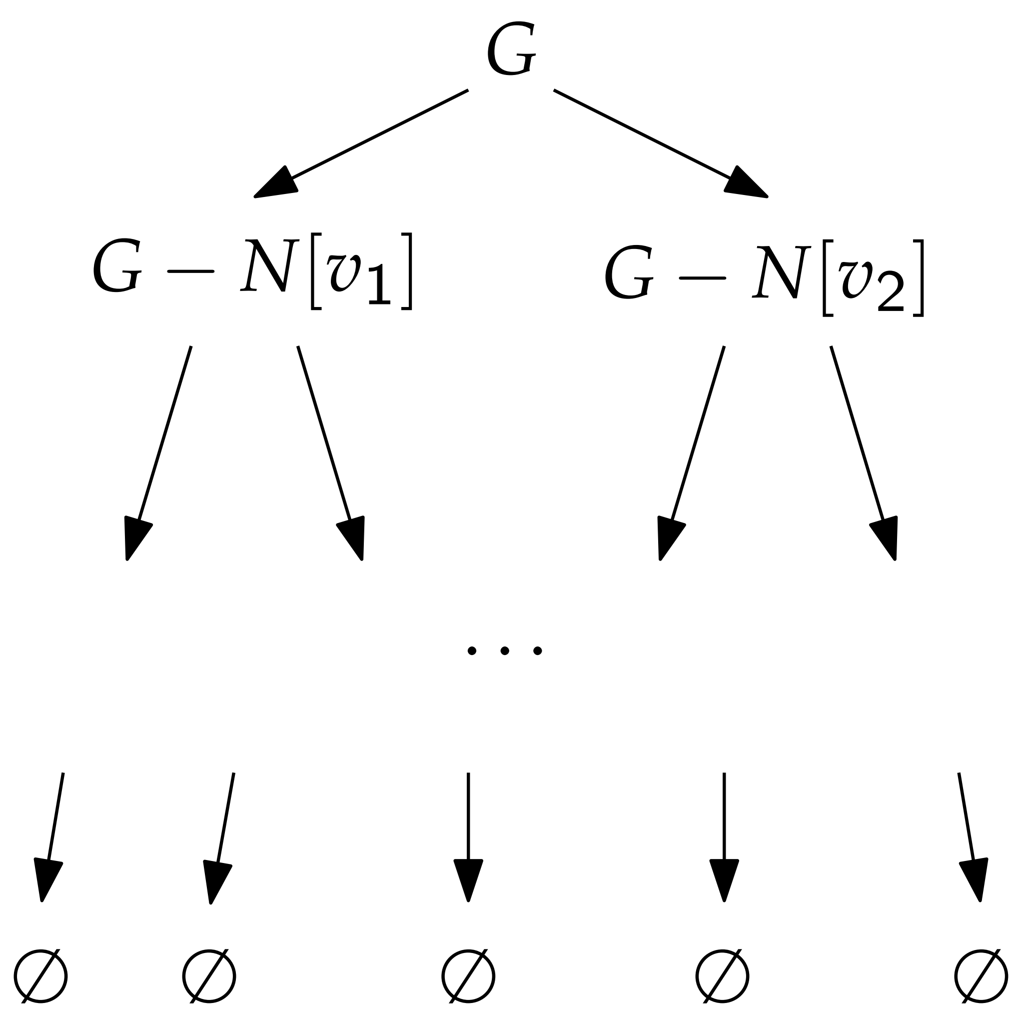
Execution corresponds to a **search tree** whose vertices are labeled with the input of the respective recursive call.

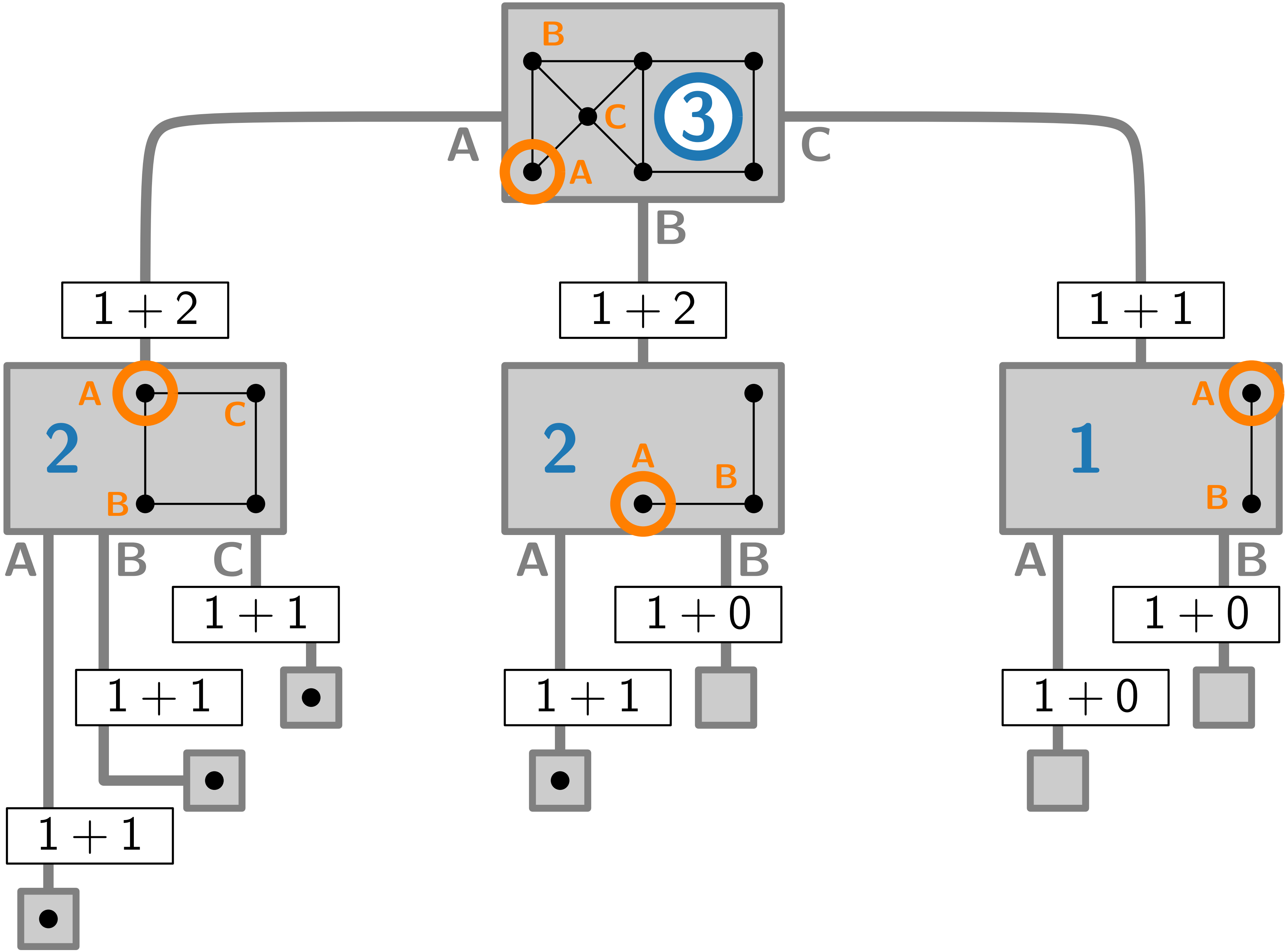
- Let $B(n)$ be the maximum number of leaves of a search tree for a graph with $n$ vertices.
- Search-tree has height $\leq n$.

$\rightsquigarrow$ The runtime of the algorithm is

$$T(n) \in \mathcal{O}(nB(n)) = \mathcal{O}^*(B(n)).$$

- Let's consider an example run.




B
C
A
3
A
B
C
1 + 2
1 + 2
1 + 1
A
C
B
2
A
B
2
A
1
B
A
B
C
A
B
A
B
1 + 1
1 + 0
1 + 0
1 + 1
1 + 1
1 + 0
1 + 1

# MIS – Runtime Analysis

For a worst-case $n$-vertex graph $G$ $(n \geq 1)$:

$$B(n) \leq \sum_{y \in N[v]} B(n - (\deg(y)+1)) \leq (\deg(v)+1) \cdot B(\, n - (\deg(v)+1)\,)$$

where $v$ is a minimum degree vertex of $G$, and $B(n') \leq B(n)$ for any $n' \leq n$.

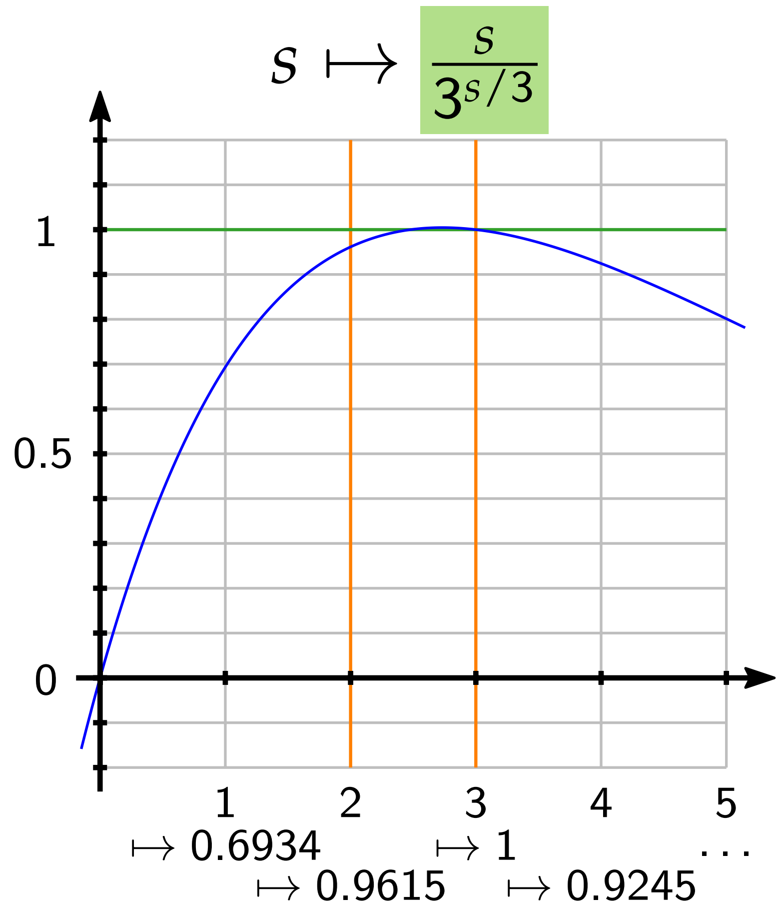
We prove by induction that $B(n) \leq 3^{n/3}$.

- Base case: $B(0) = 1 \leq 3^{0/3} = 1$
- Induc. hypothesis: for all $n' \leq n$, $B(n') \leq 3^{n'/3}$ holds.
- Induc. step: for $n \geq 1$, set $s = \deg(v) + 1$.

$$B(n) \leq s \cdot B(n-s) \leq s \cdot 3^{(n-s)/3} = \frac{s}{3^{s/3}} \cdot 3^{n/3} \leq 3^{n/3}$$

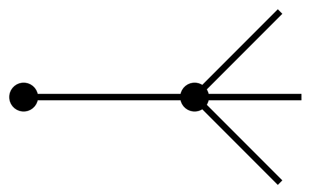
$$B(n) \in \mathcal{O}^*(\sqrt[3]{3}^{\,n}) \subseteq \mathcal{O}^*(1.44225^n)$$

$\leq 1$ for all natural numbers



# MIS – Discussion

- Smarter branching leads to an $\mathcal{O}^*(1.44225^n)$-time algorithm.
- In comparison, brute-force runs in $\mathcal{O}^*(2^n)$ time.
- Algorithms for MIS known that run in $\mathcal{O}^*(1.2202^n)$ time and polynomial space,
- and in $\mathcal{O}^*(1.2109^n)$ time and exponential space.
- What vertices are always in a MIS?
- What vertices can we savely assume are in a MIS?



- Advanced case analysis in [Fomin, Kratsch Ch 2.3] leads to an $\mathcal{O}^*(1.2786^n)$-time algorithm.
- **Exercise**: Edge-branching for MIS

# Literature

Main source:

- [Fomin, Kratsch Ch1] “Exact Exponential Algorithms”

Referenced papers:


- [ADMV ’15] Classic Nintendo Games are (Computationally) Hard
- [Mann ’17] The Top Eight Misconceptions about NP-Hardness