

## 6.5 REDUCTIONS

- ▶ *introduction*
- ▶ *designing algorithms*
- ▶ *establishing lower bounds*
- ▶ *classifying problems*
- ▶ *intractability*

## Overview: introduction to advanced topics

### Main topics. [next 2 lectures]

- Reduction: design algorithms, establish lower bounds, classify problems.
- Intractability: problems beyond our reach.
- Combinatorial search: coping with intractability.

### Shifting gears.

- From individual problems to problem-solving models.
- From linear/quadratic to polynomial/exponential scale.
- From details of implementation to conceptual framework.

### Goals.

- Place algorithms we've studied in a larger context.
- Introduce you to important and essential ideas.
- Inspire you to learn more about algorithms!



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- ▶ *classifying problems*
- ▶ *intractability*

## Bird's-eye view

**Desiderata.** Classify **problems** according to computational requirements.

complexity	order of growth	examples
linear	$N$	min, max, median, Burrows-Wheeler transform, ...
linearithmic	$N \log N$	sorting, element distinctness, convex hull, closest pair, ...
quadratic	$N^2$	?
⋮	⋮	⋮
exponential	$c^N$	?

**Frustrating news.** Huge number of problems have defied classification.

## Bird's-eye view

**Desiderata.** Classify **problems** according to computational requirements.

**Desiderata'.**

Suppose we could (could not) solve problem  $X$  efficiently.

What else could (could not) we solve efficiently?

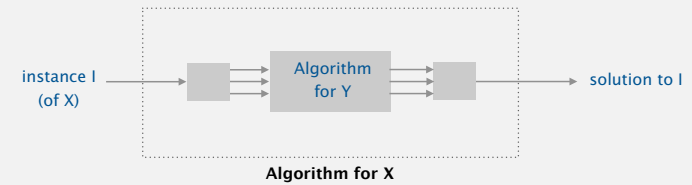


“ Give me a lever long enough and a fulcrum on which to place it, and I shall move the world. ” — Archimedes

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## Reduction

**Def.** Problem  $X$  **reduces to** problem  $Y$  if you can use an algorithm that solves  $Y$  to help solve  $X$ .



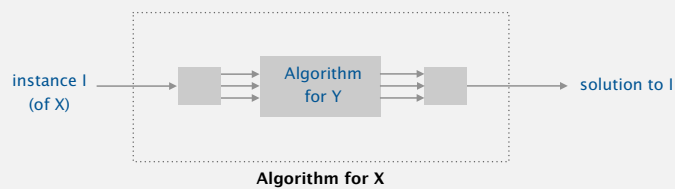
Cost of solving  $X$  = total cost of solving  $Y$  + cost of reduction.

perhaps many calls to  $Y$  on problems of different sizes      preprocessing and postprocessing

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## Reduction

**Def.** Problem  $X$  **reduces to** problem  $Y$  if you can use an algorithm that solves  $Y$  to help solve  $X$ .



**Ex 1.** [finding the median reduces to sorting]

To find the median of  $N$  items:

- Sort  $N$  items.
- Return item in the middle.

Cost of solving finding the median.  $N \log N + 1$ .

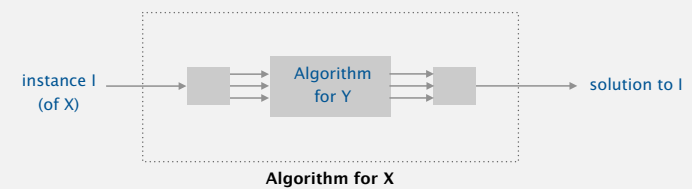
cost of sorting

cost of reduction

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## Reduction

**Def.** Problem  $X$  **reduces to** problem  $Y$  if you can use an algorithm that solves  $Y$  to help solve  $X$ .



**Ex 2.** [element distinctness reduces to sorting]

To solve element distinctness on  $N$  items:

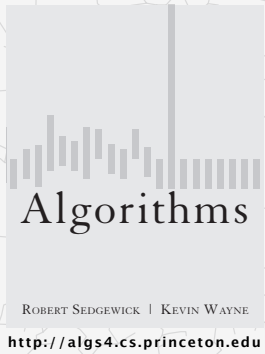
- Sort  $N$  items.
- Check adjacent pairs for equality.

Cost of solving element distinctness.  $N \log N + N$ .

cost of sorting

cost of reduction

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- ▶ **designing algorithms**
- ▶ establishing lower bounds
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- ▶ intractability

## Reduction: design algorithms

**Def.** Problem  $X$  **reduces to** problem  $Y$  if you can use an algorithm that solves  $Y$  to help solve  $X$ .

**Design algorithm.** Given algorithm for  $Y$ , can also solve  $X$ .

**More familiar reduction examples.**

- 3-collinear reduces to sorting.
- CPM reduces to topological sort.
- Arbitrage reduces to shortest paths.
- Baseball elimination reduces to maxflow.
- Burrows-Wheeler transform reduces to suffix sort.
- ...

**Mentality.** Since I know how to solve  $Y$ , can I use that algorithm to solve  $X$ ?

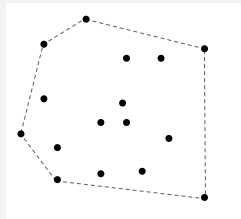
↑  
programmer's version: I have code for  $Y$ . Can I use it for  $X$ ?

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## Convex hull reduces to sorting

**Sorting.** Given  $N$  distinct integers, rearrange them in ascending order.

**Convex hull.** Given  $N$  points in the plane, identify the extreme points of the convex hull (in counterclockwise order).



convex hull

1251432  
2861534  
3988818  
8111033  
13546464  
89885444  
43434213  
34435312

sorting

**Proposition.** Convex hull reduces to sorting.

**Pf.** Graham scan algorithm.

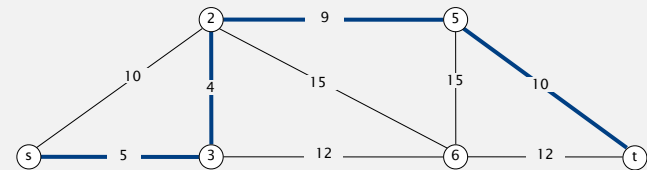
**Cost of convex hull.**  $N \log N + N$ .

← cost of sorting      ← cost of reduction

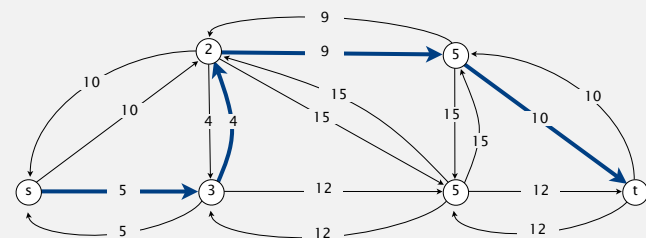
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## Shortest paths on edge-weighted graphs and digraphs

**Proposition.** Undirected shortest paths (with nonnegative weights) reduces to directed shortest path.



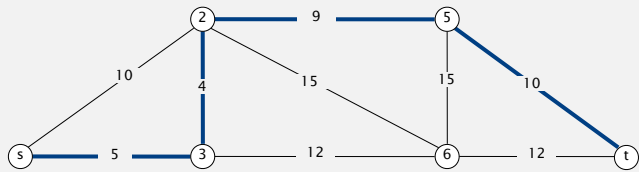
**Pf.** Replace each undirected edge by two directed edges.



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## Shortest paths on edge-weighted graphs and digraphs

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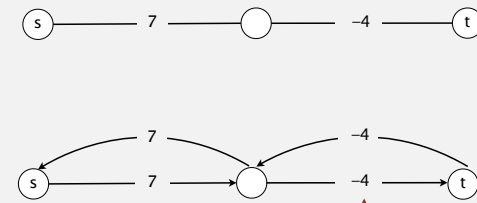
cost of shortest paths in digraph      cost of reduction

Cost of undirected shortest paths.  $E \log V + E$ .

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## Shortest paths with negative weights

**Caveat.** Reduction is invalid for edge-weighted graphs with negative weights (even if no negative cycles).



reduction creates negative cycles

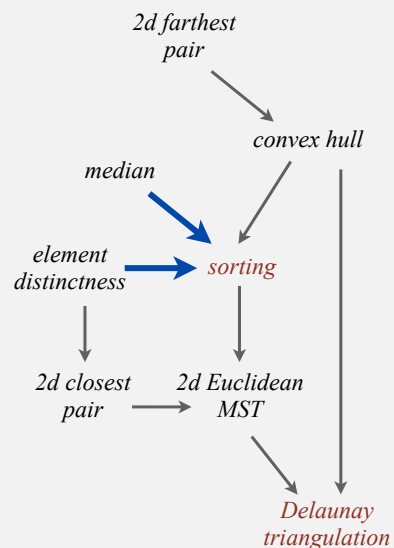
**Remark.** Can still solve shortest-paths problem in undirected graphs (if no negative cycles), but need more sophisticated techniques.

reduces to weighted non-bipartite matching (!)

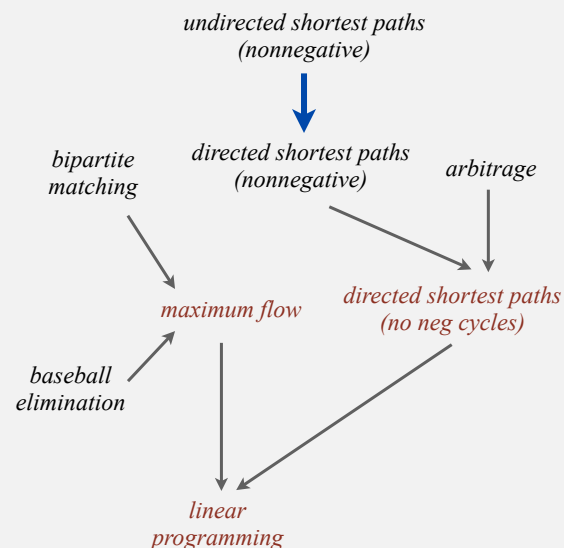
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## Some reductions involving familiar problems

computational geometry



combinatorial optimization



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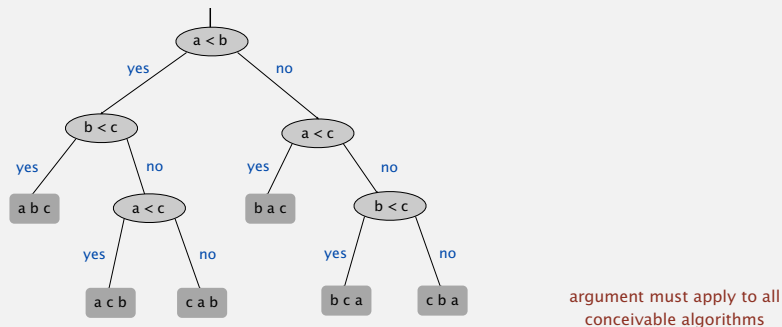
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## Bird's-eye view

**Goal.** Prove that a problem requires a certain number of steps.

**Ex.** In decision tree model, any compare-based sorting algorithm requires  $\Omega(N \log N)$  compares in the worst case.



**Bad news.** Very difficult to establish lower bounds from scratch.

**Good news.** Spread  $\Omega(N \log N)$  lower bound to  $Y$  by reducing sorting to  $Y$ .

assuming cost of reduction is not too high

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## Linear-time reductions

**Def.** Problem  $X$  **linear-time reduces** to problem  $Y$  if  $X$  can be solved with:

- Linear number of standard computational steps.
- Constant number of calls to  $Y$ .

**Ex.** Almost all of the reductions we've seen so far. [Which ones weren't?]

**Establish lower bound:**

- If  $X$  takes  $\Omega(N \log N)$  steps, then so does  $Y$ .
- If  $X$  takes  $\Omega(N^2)$  steps, then so does  $Y$ .

**Mentality.**

- If I could easily solve  $Y$ , then I could easily solve  $X$ .
- I can't easily solve  $X$ .
- Therefore, I can't easily solve  $Y$ .

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## Lower bound for convex hull

**Proposition.** In quadratic decision tree model, any algorithm for sorting  $N$  integers requires  $\Omega(N \log N)$  steps.

allows linear or quadratic tests:  
 $\underline{x}_i < \underline{x}_j$  or  $(x_j - x_i)(x_k - x_i) - (x_j)(x_i - x_i) < 0$

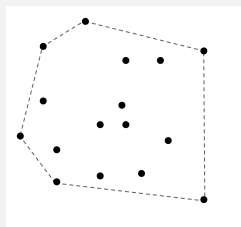
**Proposition.** Sorting linear-time reduces to convex hull.

**Pf.** [see next slide]

lower-bound mentality:  
 I can't sort in linear time,  
 so I can't solve convex hull  
 in linear time either

1251432  
 2861534  
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sorting



convex hull

linear or  
 quadratic tests

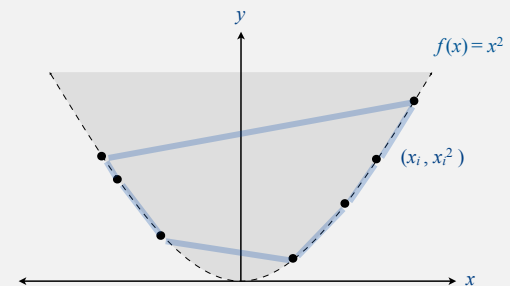
**Implication.** Any ccw-based convex hull algorithm requires  $\Omega(N \log N)$  ops.

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## Sorting linear-time reduces to convex hull

**Proposition.** Sorting linear-time reduces to convex hull.

- Sorting instance:  $x_1, x_2, \dots, x_N$ .
- Convex hull instance:  $(x_1, x_1^2), (x_2, x_2^2), \dots, (x_N, x_N^2)$ .



**Pf.**

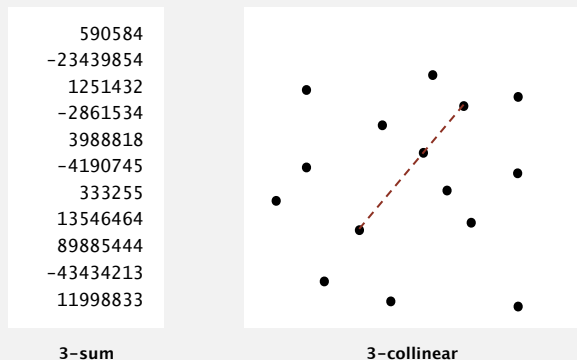
- Region  $\{x : x^2 \geq x\}$  is convex  $\Rightarrow$  all  $N$  points are on hull.
- Starting at point with most negative  $x$ , counterclockwise order of hull points yields integers in ascending order.

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## Lower bound for 3-COLLINEAR

**3-SUM.** Given  $N$  distinct integers, are there three that sum to 0?

**3-COLLINEAR.** Given  $N$  distinct points in the plane, are there 3 that all lie on the same line?



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**3-SUM.** Given  $N$  distinct integers, are there three that sum to 0?

**3-COLLINEAR.** Given  $N$  distinct points in the plane, are there 3 that all lie on the same line?

**Proposition.**  $3\text{-SUM}$  linear-time reduces to  $3\text{-COLLINEAR}$ .

**Pf.** [next two slides]

lower-bound mentality:  
if I can't solve 3-sum in  $N^{1.99}$  time,  
I can't solve 3-collinear  
in  $N^{1.99}$  time either

**Conjecture.** Any algorithm for  $3\text{-SUM}$  requires  $\Omega(N^2)$  steps.

**Implication.** No sub-quadratic algorithm for  $3\text{-COLLINEAR}$  likely.

your  $N^2 \log N$  algorithm was pretty good

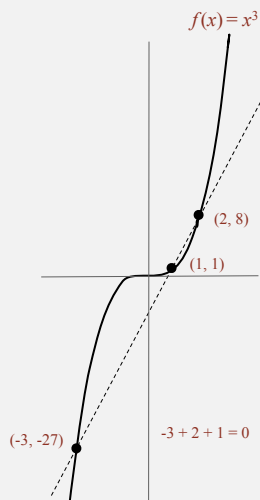
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## 3-SUM linear-time reduces to 3-COLLINEAR

**Proposition.**  $3\text{-SUM}$  linear-time reduces to  $3\text{-COLLINEAR}$ .

- $3\text{-SUM}$  instance:  $x_1, x_2, \dots, x_N$ .
- $3\text{-COLLINEAR}$  instance:  $(x_1, x_1^3), (x_2, x_2^3), \dots, (x_N, x_N^3)$ .

**Lemma.** If  $a, b,$  and  $c$  are distinct, then  $a + b + c = 0$  if and only if  $(a, a^3), (b, b^3),$  and  $(c, c^3)$  are collinear.



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**Pf.** Three distinct points  $(a, a^3), (b, b^3),$  and  $(c, c^3)$  are collinear iff:

$$\begin{aligned} 0 &= \begin{vmatrix} a & a^3 & 1 \\ b & b^3 & 1 \\ c & c^3 & 1 \end{vmatrix} \\ &= a(b^3 - c^3) - b(a^3 - c^3) + c(a^3 - b^3) \\ &= (a - b)(b - c)(c - a)(a + b + c) \end{aligned}$$

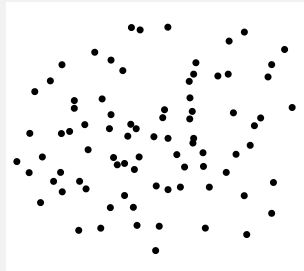
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## Establishing lower bounds: summary

Establishing lower bounds through reduction is an important tool in guiding algorithm design efforts.

Q. How to convince yourself no linear-time convex hull algorithm exists?

- A1. [hard way] Long futile search for a linear-time algorithm.
- A2. [easy way] Linear-time reduction from sorting.



convex hull



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## Classifying problems: summary

**Desiderata.** Problem with algorithm that matches lower bound.

**Ex.** Sorting and convex hull have complexity  $N \log N$ .

**Desiderata'.** Prove that two problems  $X$  and  $Y$  have the same complexity.

- First, show that problem  $X$  linear-time reduces to  $Y$ .
- Second, show that  $Y$  linear-time reduces to  $X$ .
- Conclude that  $X$  and  $Y$  have the same complexity.

even if we don't know what it is!



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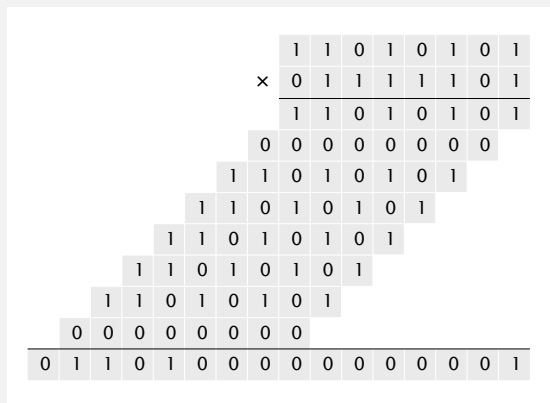


ROBERT SEDGWICK | KEVIN WAYNE  
<http://algs4.cs.princeton.edu>

## Integer arithmetic reductions

**Integer multiplication.** Given two  $N$ -bit integers, compute their product.

**Brute force.**  $N^2$  bit operations.



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## Integer arithmetic reductions

**Integer multiplication.** Given two  $N$ -bit integers, compute their product.

**Brute force.**  $N^2$  bit operations.

problem	arithmetic	order of growth
integer multiplication	$a \times b$	$M(N)$
integer division	$a / b, a \bmod b$	$M(N)$
integer square	$a^2$	$M(N)$
integer square root	$\lfloor \sqrt{a} \rfloor$	$M(N)$

integer arithmetic problems with the same complexity as integer multiplication

Q. Is brute-force algorithm optimal?

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## History of complexity of integer multiplication

year	algorithm	order of growth
?	brute force	$N^2$
1962	Karatsuba	$N^{1.585}$
1963	Toom-3, Toom-4	$N^{1.465}, N^{1.404}$
1966	Toom-Cook	$N^{1+\epsilon}$
1971	Schönhage-Strassen	$N \log N \log \log N$
2007	Fürer	$N \log N 2^{\log^* N}$
?	?	$N$

number of bit operations to multiply two  $N$ -bit integers

used in Maple, Mathematica, gcc, cryptography, ...

Remark. GNU Multiple Precision Library uses one of five different algorithm depending on size of operands.



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## Linear algebra reductions

**Matrix multiplication.** Given two  $N$ -by- $N$  matrices, compute their product.

**Brute force.**  $N^3$  flops.

row  $i$   $\times$  column  $j$  =  $0.5 \cdot 0.1 + 0.3 \cdot 0.0 + 0.9 \cdot 0.4 + 0.6 \cdot 0.1 = 0.47$

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## Linear algebra reductions

**Matrix multiplication.** Given two  $N$ -by- $N$  matrices, compute their product.

**Brute force.**  $N^3$  flops.

problem	linear algebra	order of growth
matrix multiplication	$A \times B$	$MM(N)$
matrix inversion	$A^{-1}$	$MM(N)$
determinant	$ A $	$MM(N)$
system of linear equations	$Ax = b$	$MM(N)$
LU decomposition	$A = LU$	$MM(N)$
least squares	$\min \ Ax - b\ _2$	$MM(N)$

numerical linear algebra problems with the same complexity as matrix multiplication

Q. Is brute-force algorithm optimal?

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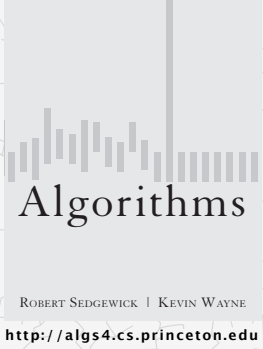


## History of complexity of matrix multiplication

year	algorithm	order of growth
?	brute force	$N^3$
1969	Strassen	$N^{2.808}$
1978	Pan	$N^{2.796}$
1979	Bini	$N^{2.780}$
1981	Schönhage	$N^{2.522}$
1982	Romani	$N^{2.517}$
1982	Coppersmith-Winograd	$N^{2.496}$
1986	Strassen	$N^{2.479}$
1989	Coppersmith-Winograd	$N^{2.376}$
2010	Strother	$N^{2.3737}$
2011	Williams	$N^{2.3727}$
?	?	$N^{2+\epsilon}$

number of floating-point operations to multiply two  $N$ -by- $N$  matrices

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## Bird's-eye view

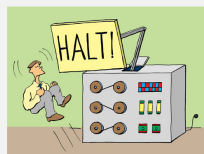
**Def.** A problem is **intractable** if it can't be solved in polynomial time.

**Desiderata.** Prove that a problem is intractable.

Two problems that provably require exponential time.

- Given a constant-size program, does it halt in at most  $K$  steps?
- Given  $N$ -by- $N$  checkers board position, can the first player force a win?

input size =  $c + \lg K$



using forced capture rule

**Frustrating news.** Very few successes.

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## A key problem: satisfiability

**SAT.** Given a system of boolean equations, find a solution.

**Ex.**

$\neg x_1 \text{ or } x_2 \text{ or } x_3 = \text{true}$   
 $x_1 \text{ or } \neg x_2 \text{ or } x_3 = \text{true}$   
 $\neg x_1 \text{ or } \neg x_2 \text{ or } \neg x_3 = \text{true}$   
 $\neg x_1 \text{ or } \neg x_2 \text{ or } x_4 = \text{true}$   
 $x'_2 \text{ or } x_3 \text{ or } x_4 = \text{true}$

$x_1 \ x_2 \ x_3 \ x_4$   
 $T \ T \ F \ T$

**3-SAT.** All equations of this form (with three variables per equation).

**Key applications.**

- Automatic verification systems for software.
- Mean field diluted spin glass model in physics.
- Electronic design automation (EDA) for hardware.
- ...

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## Satisfiability is conjectured to be intractable

Q. How to solve an instance of 3-SAT with  $n$  variables?

A. Exhaustive search: try all  $2^n$  truth assignments.

Q. Can we do anything substantially more clever?



Conjecture ( $P \neq NP$ ). 3-SAT is intractable (no poly-time algorithm).

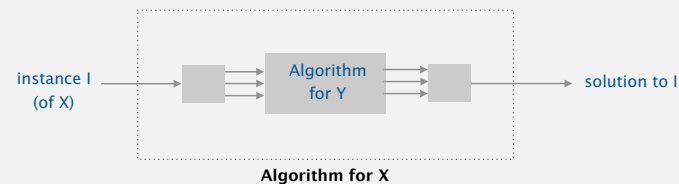
consensus opinion

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## Polynomial-time reductions

Problem  $X$  poly-time (Cook) reduces to problem  $Y$  if  $X$  can be solved with:

- Polynomial number of standard computational steps.
- Polynomial number of calls to  $Y$ .



Establish intractability. If 3-SAT poly-time reduces to  $Y$ , then  $Y$  is intractable. (assuming 3-SAT is intractable)

Mentality.

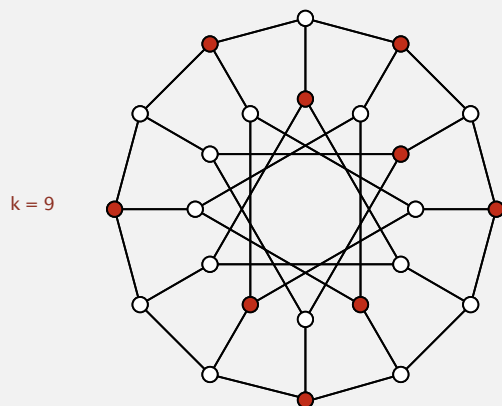
- If I could solve  $Y$  in poly-time, then I could also solve 3-SAT in poly-time.
- 3-SAT is believed to be intractable.
- Therefore, so is  $Y$ .

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## Independent set

An independent set is a set of vertices, no two of which are adjacent.

IND-SET. Given graph  $G$  and an integer  $k$ , find an independent set of size  $k$ .



$k = 9$

Applications. Scheduling, computer vision, clustering, ...

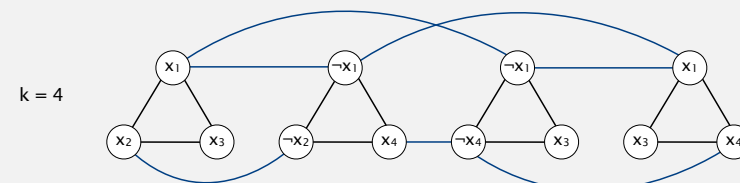
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## 3-satisfiability reduces to independent set

Proposition. 3-SAT poly-time reduces to IND-SET. ← lower-bound mentality: if I could solve IND-SET efficiently, I could solve 3-SAT efficiently

Pf. Given an instance  $\Phi$  of 3-SAT, create an instance  $G$  of IND-SET:

- For each clause in  $\Phi$ , create 3 vertices in a triangle.
- Add an edge between each literal and its negation.



$\Phi = (x_1 \text{ or } x_2 \text{ or } x_3) \text{ and } (\neg x_1 \text{ or } \neg x_2 \text{ or } x_4) \text{ and } (\neg x_1 \text{ or } x_3 \text{ or } \neg x_4) \text{ and } (x_1 \text{ or } x_3 \text{ or } x_4)$

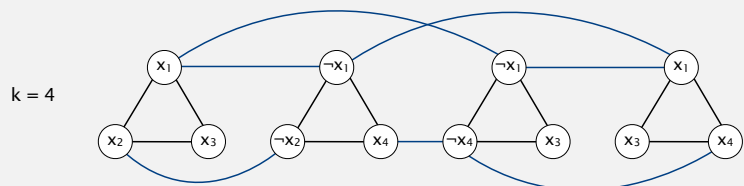
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- $\Phi$  satisfiable  $\Rightarrow G$  has independent set of size  $k$ .

↑  
for each of  $k$  clauses, include in independent set one vertex corresponding to a true literal

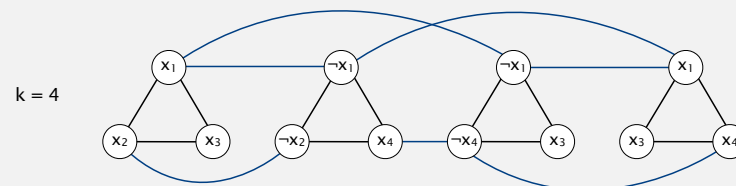
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- $\Phi$  satisfiable  $\Rightarrow G$  has independent set of size  $k$ .
- $G$  has independent set of size  $k \Rightarrow \Phi$  satisfiable.

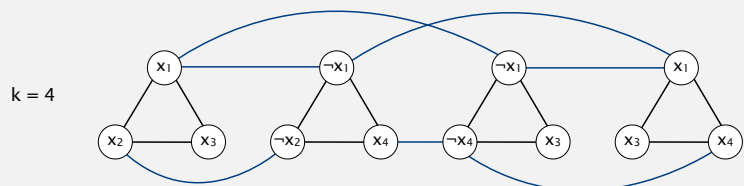
↑  
set literals corresponding to  $k$  vertices in independent set to true  
(set remaining literals in any consistent manner)

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### 3-satisfiability reduces to independent set

**Proposition.** 3-SAT poly-time reduces to IND-SET.

**Implication.** Assuming 3-SAT is intractable, so is IND-SET.



$$\Phi = (x_1 \text{ or } x_2 \text{ or } x_3) \text{ and } (\neg x_1 \text{ or } \neg x_2 \text{ or } x_4) \text{ and } (\neg x_1 \text{ or } x_3 \text{ or } \neg x_4) \text{ and } (x_1 \text{ or } x_3 \text{ or } x_4)$$

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### Integer linear programming

**ILP.** Given a system of linear inequalities, find an **integral** solution.

$$\begin{aligned} 3x_1 + 5x_2 + 2x_3 + x_4 + 4x_5 &\geq 10 \\ 5x_1 + 2x_2 + 4x_4 + 1x_5 &\leq 7 \\ x_1 + x_3 + 2x_4 &\leq 2 \\ 3x_1 + 4x_3 + 7x_4 &\leq 7 \\ x_1 + x_4 &\leq 1 \\ x_1 + x_3 + x_5 &\leq 1 \\ \text{all } x_i &= \{0, 1\} \end{aligned}$$

← linear inequalities

← integer variables

yes instance:  $x_1 \ x_2 \ x_3 \ x_4 \ x_5$   
0 1 0 1 1

**Context.** Cornerstone problem in operations research.

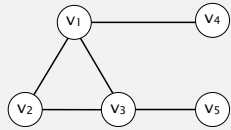
**Remark.** Finding a real-valued solution is tractable (linear programming).

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## Independent set reduces to integer linear programming

**Proposition.** *IND-SET* poly-time reduces to *ILP*.

**Pf.** Given instance  $\{G, k\}$  of *IND-SET*, create an instance of *ILP* as follows:



is there an independent set of size 3?

$$\begin{array}{l}
 x_1 + x_2 + x_3 + x_4 + x_5 = 3 \quad \leftarrow \text{number of vertices selected} \\
 x_1 + x_2 \leq 1 \\
 x_2 + x_3 \leq 1 \\
 x_1 + x_3 \leq 1 \\
 x_1 + x_4 \leq 1 \\
 x_3 + x_5 \leq 1 \\
 \text{all } x_i = \{0, 1\} \quad \leftarrow \text{binary variables}
 \end{array}$$

at most one vertex selected from each edge

is there a feasible solution?

**Intuition.**  $x_i = 1$  if and only if vertex  $v_i$  is in independent set.

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## 3-satisfiability reduces to integer linear programming

**Proposition.** *3-SAT* poly-time reduces to *IND-SET*.

**Proposition.** *IND-SET* poly-time reduces to *ILP*.

**Transitivity.** If  $X$  poly-time reduces to  $Y$  and  $Y$  poly-time reduces to  $Z$ , then  $X$  poly-time reduces to  $Z$ .

**Implication.** Assuming *3-SAT* is intractable, so is *ILP*.

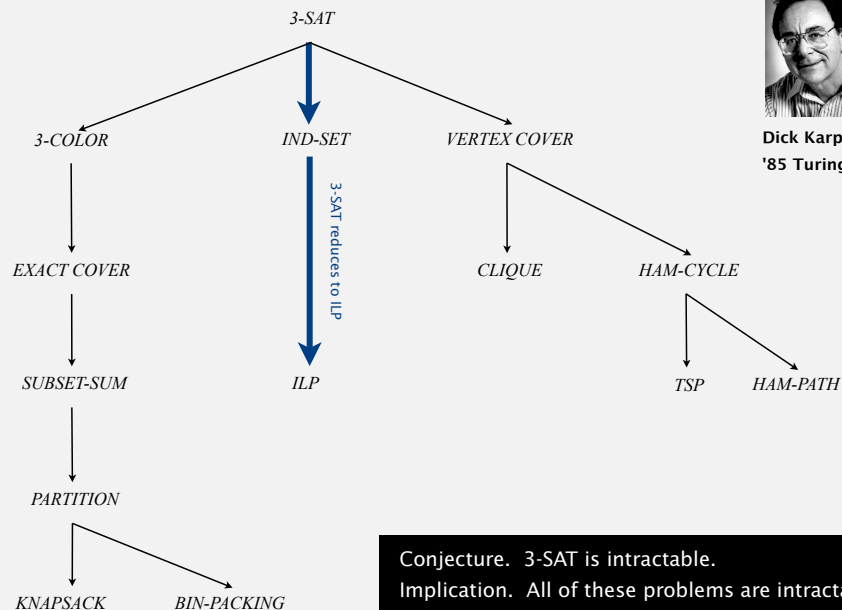
lower-bound mentality:  
if I could solve *ILP* efficiently,  
I could solve *IND-SET* efficiently;  
if I could solve *IND-SET* efficiently,  
I could solve *3-SAT* efficiently

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## More poly-time reductions from 3-satisfiability



Dick Karp  
'85 Turing award



**Conjecture.** *3-SAT* is intractable.  
**Implication.** All of these problems are intractable.

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## Implications of poly-time reductions from 3-satisfiability

Establishing intractability through poly-time reduction is an important tool in guiding algorithm design efforts.

**Q.** How to convince yourself that a new problem is (probably) intractable?

- A1.** [hard way] Long futile search for an efficient algorithm (as for *3-SAT*).
- A2.** [easy way] Reduction from *3-SAT*.

**Caveat.** Intricate reductions are common.

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## Search problems

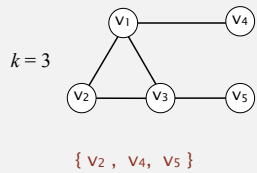
**Search problem.** Problem where you can check a solution in poly-time.

Ex 1. 3-SAT.

$$\Phi = (x_1 \text{ or } x_2 \text{ or } x_3) \text{ and } (\neg x_1 \text{ or } \neg x_2 \text{ or } x_4) \text{ and } (\neg x_1 \text{ or } x_3 \text{ or } \neg x_4) \text{ and } (x_1 \text{ or } x_3 \text{ or } x_4)$$

$$x_1 = \text{true}, x_2 = \text{true}, x_3 = \text{true}, x_4 = \text{true}$$

Ex 2. IND-SET.



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## P vs. NP

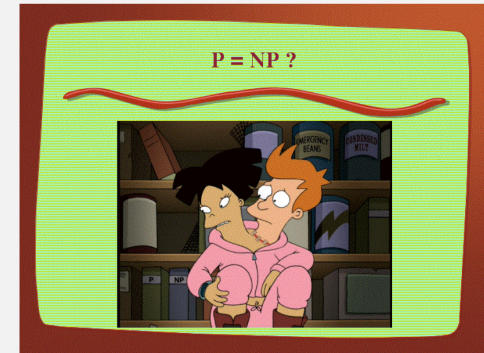
**P.** Set of search problems solvable in poly-time.

**Importance.** What scientists and engineers can compute feasibly.

**NP.** Set of search problems.

**Importance.** What scientists and engineers aspire to compute feasibly.

**Fundamental question.**



**Consensus opinion.** No.

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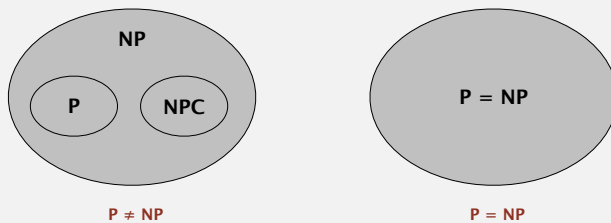
## Cook-Levin theorem

An NP problem is **NP-COMPLETE** if all problems in NP poly-time to reduce to it.

**Cook-Levin theorem.** 3-SAT is NP-COMPLETE.

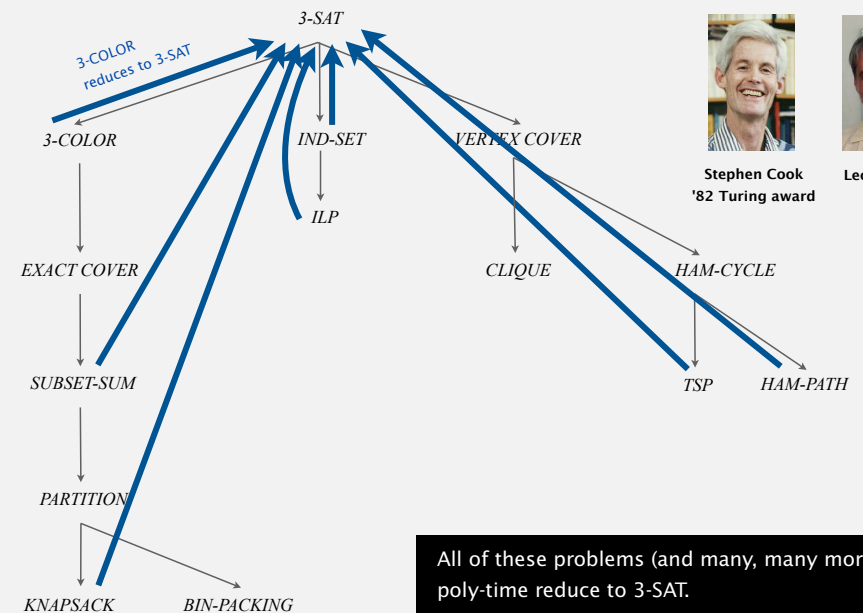
**Corollary.** 3-SAT is tractable if and only if  $P = NP$ .

**Two worlds.**



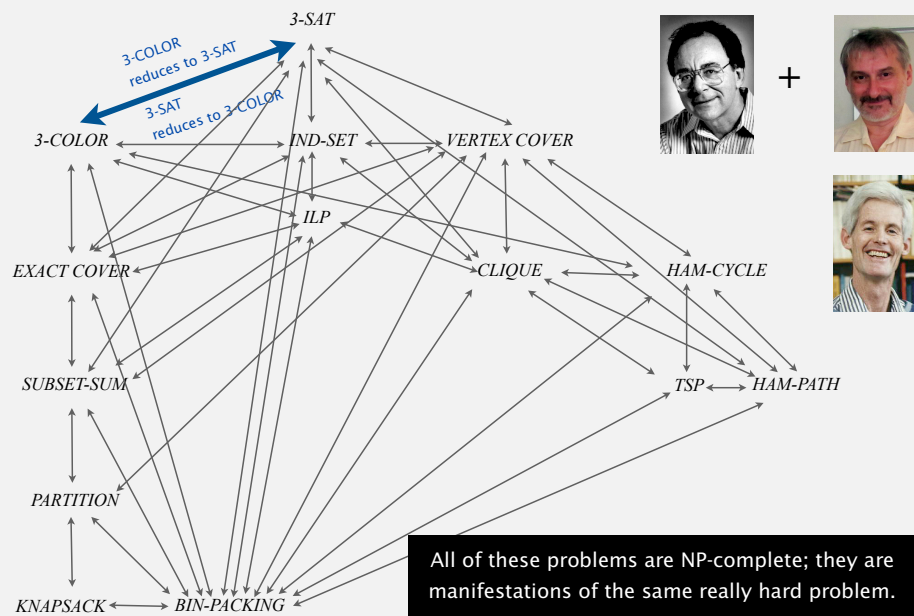
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## Implications of Cook-Levin theorem



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## Implications of Karp + Cook-Levin



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## Birds-eye view: review

**Desiderata.** Classify **problems** according to computational requirements.

complexity	order of growth	examples
linear	$N$	min, max, median, Burrows-Wheeler transform, ...
linearithmic	$N \log N$	sorting, element distinctness, convex hull, closest pair, ...
quadratic	$N^2$	?
$\vdots$	$\vdots$	$\vdots$
exponential	$c^N$	?

**Frustrating news.** Huge number of problems have defied classification.

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## Birds-eye view: revised

**Desiderata.** Classify **problems** according to computational requirements.

complexity	order of growth	examples
linear	$N$	min, max, median,
linearithmic	$N \log N$	sorting, convex hull,
$M(N)$	?	integer multiplication, division, square root, ...
$MM(N)$	?	matrix multiplication, $Ax = b$ , least square, determinant, ...
$\vdots$	$\vdots$	$\vdots$
NP-complete	probably not $N^b$	3-SAT, IND-SET, ILP, ...

**Good news.** Can put many problems into equivalence classes.

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## Complexity zoo

**Complexity class.** Set of problems sharing some computational property.



[http://qwiki.stanford.edu/index.php/Complexity\\_Zoo](http://qwiki.stanford.edu/index.php/Complexity_Zoo)

**Bad news.** Lots of complexity classes.

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## Summary

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### Reductions are important in theory to:

- Design algorithms.
- Establish lower bounds.
- Classify problems according to their computational requirements.

### Reductions are important in practice to:

- Design algorithms.
- Design reusable software modules.
  - stacks, queues, priority queues, symbol tables, sets, graphs
  - sorting, regular expressions, suffix arrays
  - MST, shortest path, maxflow, linear programming
- Determine difficulty of your problem and choose the right tool.