CS 374: Algorithms & Models of Computation, Spring 2017

Polynomial Time Reductions

Lecture 22 April 18, 2017

Part I

(Polynomial Time) Reductions

Reductions

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Using Reductions

- We use reductions to find algorithms to solve problems.
- We also use reductions to show that we can't find algorithms for some problems. (We say that these problems are hard.)

Reductions for decision problems/languages

For languages L_X , L_Y , a reduction from L_X to L_Y is:

- An algorithm . . .
- 2 Input: $w \in \Sigma^*$
- **3** Output: $w' \in \Sigma^*$
- Such that:

$$w \in L_Y \iff w' \in L_X$$

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(Actually, this is only one type of reduction, but this is the one we'll use most often.) There are other kinds of reductions.

Reductions for decision problems/languages

For decision problems X, Y, a reduction from X to Y is:

- An algorithm . . .
- 2 Input: I_X , an instance of X.
- 3 Output: I_Y an instance of Y.
- Such that:

 I_Y is YES instance of $Y \iff I_X$ is YES instance of X

Using reductions to solve problems

- **1** \mathcal{R} : Reduction $X \to Y$
- **2** $\mathcal{A}_{\mathbf{Y}}$: algorithm for \mathbf{Y} :

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- 2 \mathcal{A}_{Y} : algorithm for Y:
- $\bullet \longrightarrow \text{New algorithm for } X$:

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\mathcal{A}_X(I_X):

// I_X: instance of X.

I_Y \Leftarrow \mathcal{R}(I_X)

return \mathcal{A}_Y(I_Y)
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Using reductions to solve problems

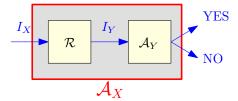
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return \mathcal{A}_Y(I_Y)
```



If \mathcal{R} and \mathcal{A}_{Y} polynomial-time $\implies \mathcal{A}_{X}$ polynomial-time.

Comparing Problems

- "Problem X is no harder to solve than Problem Y".
- ② If Problem X reduces to Problem Y (we write $X \leq Y$), then X cannot be harder to solve than Y.
- - **1** X is no harder than Y, or
 - Y is at least as hard as X.

Part II

Examples of Reductions

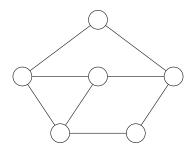
Given a graph G, a set of vertices V' is:

lacksquare independent set: no two vertices of V' connected by an edge.

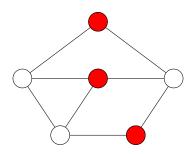
Given a graph G, a set of vertices V' is:

- **1** independent set: no two vertices of V' connected by an edge.
- clique: every pair of vertices in V' is connected by an edge of G.

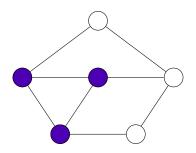
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The Independent Set and Clique Problems

Problem: Independent Set

Instance: A graph G and an integer k.

Question: Does G has an independent set of size $\geq k$?

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Problem: Clique

Instance: A graph G and an integer k.

Question: Does G has a clique of size $\geq k$?

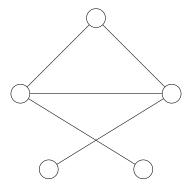
Recall

For decision problems X, Y, a reduction from X to Y is:

- An algorithm . . .
- ② that takes I_X , an instance of X as input . . .
- **3** and returns I_Y , an instance of Y as output ...
- \bullet such that the solution (YES/NO) to I_Y is the same as the solution to I_X .

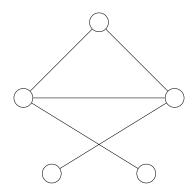
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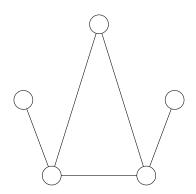
An instance of Independent Set is a graph G and an integer k.

Reduction given $<\underline{G}, k>$ outputs $<\overline{G}, k>$ where \overline{G} is the complement of G. \overline{G} has an edge (u, v) if and only if (u, v) is not an edge of G.



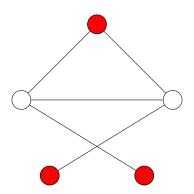
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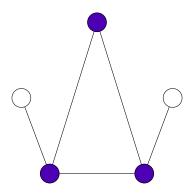
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Correctness of reduction

Lemma

G has an independent set of size k if and only if \overline{G} has a clique of size k.

Proof.

Need to prove two facts:

G has independent set of size at least k implies that \overline{G} has a clique of size at least k.

 \overline{G} has a clique of size at least k implies that G has an independent set of size at least k.

Easy to see both from the fact that $S \subseteq V$ is an independent set in

G if and only if S is a clique in \overline{G} .

● Independent Set ≤ Clique.

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- If have an algorithm for Clique, then we have an algorithm for Independent Set.

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- If have an algorithm for Clique, then we have an algorithm for Independent Set.
- 3 Clique is at least as hard as Independent Set.
- Also... Clique

 Independent Set. Why? Thus Clique and Independent Set are polnomial-time equivalent.

Assume you can solve the **Clique** problem in T(n) time. Then you can solve the **Independent Set** problem in

- (A) O(T(n)) time.
- (B) $O(n \log n + T(n))$ time.
- (C) $O(n^2T(n^2))$ time.
- (D) $O(n^4T(n^4))$ time.
- (E) $O(n^2 + T(n^2))$ time.
- (F) Does not matter all these are polynomial if T(n) is polynomial, which is good enough for our purposes.

DFA Universality

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How do we solve **DFA Universality**?

We check if **M** has any reachable non-final state.

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Given an NFA N, convert it to an equivalent DFA M, and use the

DFA Universality Algorithm.

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Reduce it to **DFA Universality**?

Given an NFA N, convert it to an equivalent DFA M, and use the **DFA Universality** Algorithm.

The reduction takes exponential time!

NFA Universality is known to be PSPACE-Complete and we do not expect a polynomial-time algorithm.

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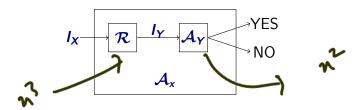
To find efficient algorithms for problems, we are only interested in polynomial-time reductions. Reductions that take longer are not useful.

If we have a polynomial-time reduction from problem X to problem Y (we write $X \leq_P Y$), and a poly-time algorithm \mathcal{A}_Y for Y, we have a polynomial-time/efficient algorithm for X.

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A polynomial time reduction from a *decision* problem X to a *decision* problem Y is an *algorithm* A that has the following properties:

- **1** given an instance I_X of X, A produces an instance I_Y of Y
- ② \mathcal{A} runs in time polynomial in $|I_X|$.
- **3** Answer to I_X YES iff answer to I_Y is YES.

Proposition

If $X \leq_P Y$ then a polynomial time algorithm for Y implies a polynomial time algorithm for X.

Such a reduction is called a **Karp reduction**. Most reductions we will need are Karp reductions.Karp reductions are the same as mapping reductions when specialized to polynomial time for the reduction step.

Reductions again...

Let X and Y be two decision problems, such that X can be solved in polynomial time, and $X \leq_P Y$. Then

- (A) Y can be solved in polynomial time.
- (B) Y can NOT be solved in polynomial time.
- (C) If Y is hard then X is also hard.
- (D) None of the above.
- (E) All of the above.

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If $X \leq_P Y$ and X does not have an efficient algorithm, Y cannot have an efficient algorithm!

Polynomial-time reductions and instance sizes

Proposition

Let \mathcal{R} be a polynomial-time reduction from X to Y. Then for any instance I_X of X, the size of the instance I_Y of Y produced from I_X by \mathcal{R} is polynomial in the size of I_X .

Polynomial-time reductions and instance sizes

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Proof.

 \mathcal{R} is a polynomial-time algorithm and hence on input I_X of size $|I_X|$ it runs in time $p(|I_X|)$ for some polynomial p().

 I_Y is the output of \mathcal{R} on input I_X .

 \mathcal{R} can write at most $p(|I_X|)$ bits and hence $|I_Y| \leq p(|I_X|)$.

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 I_Y is the output of \mathcal{R} on input I_X .

 $\mathcal R$ can write at most $p(|I_X|)$ bits and hence $|I_Y| \leq p(|I_X|)$.

Note: Converse is not true. A reduction need not be polynomial-time even if output of reduction is of size polynomial in its input.

A polynomial time reduction from a *decision* problem X to a *decision* problem Y is an *algorithm* A that has the following properties:

- **1** Given an instance I_X of X, A produces an instance I_Y of Y.
- 2 \mathcal{A} runs in time polynomial in $|I_X|$. This implies that $|I_Y|$ (size of I_Y) is polynomial in $|I_X|$.
- **3** Answer to I_X YES iff answer to I_Y is YES.

Proposition

If $X \leq_P Y$ then a polynomial time algorithm for Y implies a polynomial time algorithm for X.

Transitivity of Reductions

Proposition

 $X \leq_P Y$ and $Y \leq_P Z$ implies that $X \leq_P Z$.

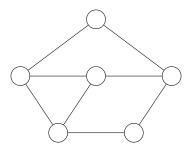
Note: $X \leq_P Y$ does not imply that $Y \leq_P X$ and hence it is very important to know the FROM and TO in a reduction.

To prove $X \leq_P Y$ you need to show a reduction FROM X TO Y That is, show that an algorithm for Y implies an algorithm for X.

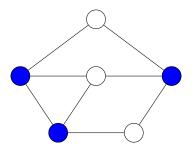
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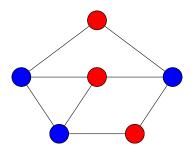
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The Vertex Cover Problem

Problem (Vertex Cover)

Input: A graph G and integer k.

Goal: Is there a vertex cover of size $\leq k$ in G?



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Can we relate **Independent Set** and **Vertex Cover**?

Relationship between...

Vertex Cover and Independent Set

Proposition

Let G = (V, E) be a graph. S is an independent set if and only if $V \setminus S$ is a vertex cover.

Proof.

- (\Rightarrow) Let **S** be an independent set
 - Consider any edge $uv \in E$.
 - 2 Since **S** is an independent set, either $u \not\in S$ or $v \not\in S$.
 - **3** Thus, either $u \in V \setminus S$ or $v \in V \setminus S$.
 - **0V** \setminus **S**is a vertex cover.
- (\Leftarrow) Let $V \setminus S$ be some vertex cover:
 - Consider $u, v \in S$
 - **2** uv is not an edge of G, as otherwise $V \setminus S$ does not cover uv.
 - \longrightarrow **S** is thus an independent set.

Independent Set <**P Vertex Cover**

• G: graph with n vertices, and an integer k be an instance of the Independent Set problem.

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Independent Set \leq_{P} Vertex Cover

- G: graph with n vertices, and an integer k be an instance of the Independent Set problem.
- ② G has an independent set of size $\geq k$ iff G has a vertex cover of size $\leq n-k$

Independent Set \leq_P Vertex Cover

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- **1** (G, k) is an instance of **Independent Set**, and (G, n k) is an instance of **Vertex Cover** with the same answer.

Independent Set \leq_{P} Vertex Cover

- G: graph with n vertices, and an integer k be an instance of the Independent Set problem.
- ② G has an independent set of size $\geq k$ iff G has a vertex cover of size $\leq n-k$
- **3** (G, k) is an instance of **Independent Set**, and (G, n k) is an instance of **Vertex Cover** with the same answer.
- **1** Therefore, Independent Set \leq_P Vertex Cover. Also Vertex Cover \leq_P Independent Set.

Proving Correctness of Reductions

To prove that $X \leq_{P} Y$ you need to give an algorithm A that:

- **1** Transforms an instance I_X of X into an instance I_Y of Y.
- ② Satisfies the property that answer to I_X is YES iff I_Y is YES.
 - typical easy direction to prove: answer to I_Y is YES if answer to
 I_X is YES
 - 2 typical difficult direction to prove: answer to I_X is YES if answer to I_Y is YES (equivalently answer to I_X is NO if answer to I_Y is NO).
- Runs in polynomial time.

Part III

The Satisfiability Problem (SAT)

Propositional Formulas

Definition

Consider a set of boolean variables $x_1, x_2, \ldots x_n$.

- **1** A **literal** is either a boolean variable x_i or its negation $\neg x_i$.
- ② A clause is a disjunction of literals. For example, $x_1 \lor x_2 \lor \neg x_4$ is a clause.
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- A formula in conjunctive normal form (CNF) is propositional formula which is a conjunction of clauses
- **4** A formula φ is a 3CNF:
 - A CNF formula such that every clause has **exactly** 3 literals.
 - ① $(x_1 \lor x_2 \lor \neg x_4) \land (x_2 \lor \neg x_3 \lor x_1)$ is a 3CNF formula, but $(x_1 \lor x_2 \lor \neg x_4) \land (x_2 \lor \neg x_3) \land x_5$ is not.

Satisfiability

Problem: SAT

Instance: A CNF formula φ .

Question: Is there a truth assignment to the variable of

 φ such that φ evaluates to true?

Problem: 3SAT

Instance: A 3CNF formula φ .

Question: Is there a truth assignment to the variable of

 φ such that φ evaluates to true?

Satisfiability

SAT

Given a CNF formula φ , is there a truth assignment to variables such that φ evaluates to true?

Example

- $(x_1 \lor x_2 \lor \neg x_4) \land (x_2 \lor \neg x_3) \land x_5$ is satisfiable; take $x_1, x_2, \dots x_5$ to be all true
- ② $(x_1 \vee \neg x_2) \wedge (\neg x_1 \vee x_2) \wedge (\neg x_1 \vee \neg x_2) \wedge (x_1 \vee x_2)$ is not satisfiable.

3SAT

Given a 3 CNF formula φ , is there a truth assignment to variables such that φ evaluates to true?

(More on **2SAT** in a bit...)

Importance of **SAT** and **3SAT**

- SAT and 3SAT are basic constraint satisfaction problems.
- Many different problems can reduced to them because of the simple yet powerful expressively of logical constraints.
- Arise naturally in many applications involving hardware and software verification and correctness.
- As we will see, it is a fundamental problem in theory of NP-Completeness.

$z = \bar{x}$

Given two bits x, z which of the following **SAT** formulas is equivalent to the formula $z = \overline{x}$:

- (A) $(\overline{z} \vee x) \wedge (z \vee \overline{x})$.
- (B) $(z \vee x) \wedge (\overline{z} \vee \overline{x})$.
- (C) $(\overline{z} \vee x) \wedge (\overline{z} \vee \overline{x}) \wedge (\overline{z} \vee \overline{x})$.
- (D) $z \oplus x$.
- (E) $(z \lor x) \land (\overline{z} \lor \overline{x}) \land (z \lor \overline{x}) \land (\overline{z} \lor x)$.

$z = x \wedge y$

Given three bits x, y, z which of the following **SAT** formulas is equivalent to the formula $z = x \wedge y$:

- (A) $(\overline{z} \lor x \lor y) \land (z \lor \overline{x} \lor \overline{y})$.
- (B) $(\overline{z} \lor x \lor y) \land (\overline{z} \lor \overline{x} \lor y) \land (z \lor \overline{x} \lor \overline{y}).$
- (C) $(\overline{z} \lor x \lor y) \land (\overline{z} \lor \overline{x} \lor y) \land (z \lor \overline{x} \lor y) \land (z \lor \overline{x} \lor \overline{y}).$
- (D) $(z \lor x \lor y) \land (\overline{z} \lor \overline{x} \lor y) \land (z \lor \overline{x} \lor y) \land (z \lor \overline{x} \lor \overline{y}).$
- (E) $(z \lor x \lor y) \land (z \lor x \lor \overline{y}) \land (z \lor \overline{x} \lor y) \land (z \lor \overline{x} \lor \overline{y}) \land (\overline{z} \lor x \lor y) \land (\overline{z} \lor x \lor \overline{y}) \land (\overline{z} \lor \overline{x} \lor y) \land (\overline{z} \lor \overline{x} \lor \overline{y}).$

$z = x \vee y$

Given three bits x, y, z which of the following **SAT** formulas is equivalent to the formula $z = x \lor y$:

- (A) $(\overline{z} \lor x \lor y) \land (\overline{z} \lor \overline{x} \lor y) \land (z \lor \overline{x} \lor \overline{y})$.
- (B) $(\overline{z} \lor x \lor y) \land (\overline{z} \lor \overline{x} \lor y) \land (z \lor \overline{x} \lor y) \land (z \lor \overline{x} \lor \overline{y})$.
- (C) $(z \lor x \lor y) \land (\overline{z} \lor \overline{x} \lor y) \land (z \lor \overline{x} \lor y) \land (z \lor \overline{x} \lor \overline{y}).$
- (D) $(z \lor x \lor y) \land (z \lor x \lor \overline{y}) \land (z \lor \overline{x} \lor y) \land (z \lor \overline{x} \lor \overline{y}) \land (\overline{z} \lor x \lor y) \land (\overline{z} \lor x \lor \overline{y}) \land (\overline{z} \lor \overline{x} \lor y) \land (\overline{z} \lor \overline{x} \lor \overline{y}).$
- (E) $(\overline{z} \lor x \lor y) \land (z \lor \overline{x} \lor y) \land (z \lor x \lor \overline{y}) \land (z \lor \overline{x} \lor \overline{y})$.

How **SAT** is different from **3SAT**?

In SAT clauses might have arbitrary length: $1, 2, 3, \ldots$ variables:

$$\Big(x \lor y \lor z \lor w \lor u\Big) \land \Big(\neg x \lor \neg y \lor \neg z \lor w \lor u\Big) \land \Big(\neg x\Big)$$

In **3SAT** every clause must have **exactly 3** different literals.

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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

- Pad short clauses so they have 3 literals.
- Break long clauses into shorter clauses.
- 3 Repeat the above till we have a 3CNF.

- **3** 3SAT \leq_P SAT.
- Because...

A **3SAT** instance is also an instance of **SAT**.

Claim

SAT \leq_P 3SAT.

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Claim

 $SAT <_P 3SAT$.

Given φ a **SAT** formula we create a **3SAT** formula φ' such that

- $oldsymbol{\Phi}$ is satisfiable iff $oldsymbol{\varphi}'$ is satisfiable.
- ② φ' can be constructed from φ in time polynomial in $|\varphi|$.

Claim

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Given φ a SAT formula we create a 3SAT formula φ' such that

- lacktriangledown is satisfiable iff $m{\varphi}'$ is satisfiable.
- ② φ' can be constructed from φ in time polynomial in $|\varphi|$.

Idea: if a clause of φ is not of length 3, replace it with several clauses of length exactly 3.

A clause with two literals

Reduction Ideas: clause with 2 literals

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

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

A clause with a single literal

Reduction Ideas: clause with 1 literal

• Case clause with one literal: Let c be a clause with a single literal (i.e., $c = \ell$). Let u, v be new variables. Consider

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

A clause with more than 3 literals

Reduction Ideas: clause with more than 3 literals

• Case clause with five literals: Let $c = \ell_1 \lor \ell_2 \lor \ell_3 \lor \ell_4 \lor \ell_5$. Let u be a new variable. Consider

$$c' = (\ell_1 \vee \ell_2 \vee \ell_3 \vee u) \wedge (\ell_4 \vee \ell_5 \vee \neg u).$$

A clause with more than 3 literals

Reduction Ideas: clause with more than 3 literals

1 Case clause with k > 3 literals: Let $c = \ell_1 \vee \ell_2 \vee \ldots \vee \ell_k$. Let μ be a new variable. Consider

$$c' = (\ell_1 \vee \ell_2 \dots \ell_{k-2} \vee u) \wedge (\ell_{k-1} \vee \ell_k \vee \neg u).$$

Breaking a clause

Lemma

For any boolean formulas X and Y and z a new boolean variable. Then

$$X \lor Y$$
 is satisfiable

if and only if, z can be assigned a value such that

$$(X \lor z) \land (Y \lor \neg z)$$
 is satisfiable

(with the same assignment to the variables appearing in \boldsymbol{X} and \boldsymbol{Y}).

SAT \leq_{P} **3SAT** (contd)

Clauses with more than 3 literals

Let
$$c = \ell_1 \lor \dots \lor \ell_k$$
. Let $u_1, \dots u_{k-3}$ be new variables. Consider $c' = \left(\ell_1 \lor \ell_2 \lor u_1\right) \land \left(\ell_3 \lor \neg u_1 \lor u_2\right) \land \left(\ell_4 \lor \neg u_2 \lor u_3\right) \land \dots \land \left(\ell_{k-2} \lor \neg u_{k-4} \lor u_{k-3}\right) \land \left(\ell_{k-1} \lor \ell_k \lor \neg u_{k-3}\right).$

Claim

 $\varphi = \psi \wedge c$ is satisfiable iff $\varphi' = \psi \wedge c'$ is satisfiable.

Another way to see it — reduce size of clause by one:

$$c' = \left(\ell_1 \vee \ell_2 \ldots \vee \ell_{k-2} \vee u_{k-3}\right) \wedge \left(\ell_{k-1} \vee \ell_k \vee \neg u_{k-3}\right).$$

Example

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

$$\psi = (\neg x_1 \vee \neg x_4 \vee z) \wedge (\neg x_1 \vee \neg x_4 \vee \neg z)$$

Example

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

$$\psi = (\neg x_1 \lor \neg x_4 \lor z) \land (\neg x_1 \lor \neg x_4 \lor \neg z)$$
$$\land (x_1 \lor \neg x_2 \lor \neg x_3)$$

Example

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

Example

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

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

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

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

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

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

Overall Reduction Algorithm

Reduction from SAT to 3SAT

Correctness (informal)

 φ is satisfiable iff ψ is satisfiable because for each clause c, the new 3CNF formula c' is logically equivalent to c.

What about **2SAT**?

2SAT can be solved in polynomial time! (specifically, linear time!)

No known polynomial time reduction from **SAT** (or **3SAT**) to **2SAT**. If there was, then **SAT** and **3SAT** would be solvable in polynomial time.

Why the reduction from **3SAT** to **2SAT** fails?

Consider a clause $(x \lor y \lor z)$. We need to reduce it to a collection of **2**CNF clauses. Introduce a face variable α , and rewrite this as

$$(x \lor y \lor \alpha) \land (\neg \alpha \lor z)$$
 (bad! clause with 3 vars) or $(x \lor \alpha) \land (\neg \alpha \lor y \lor z)$ (bad! clause with 3 vars).

(In animal farm language: **2SAT** good, **3SAT** bad.)

What about **2SAT**?

A challenging exercise: Given a **2SAT** formula show to compute its satisfying assignment...

(Hint: Create a graph with two vertices for each variable (for a variable x there would be two vertices with labels x=0 and x=1). For ever 2 CNF clause add two directed edges in the graph. The edges are implication edges: They state that if you decide to assign a certain value to a variable, then you must assign a certain value to some other variable.

Now compute the strong connected components in this graph, and continue from there...)