

Constraint Satisfaction Problems

Mathematical Background: Sets, Relations, and Graphs

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Constraints, sets, relations, graphs



- Formal definition of CSP uses **sets** and **constraints**
- Constraints are **relational** statements that restrict possible solutions
- CSP solving techniques use operations that manipulate sets and relations
- CSP instances can also be represented by various kinds of **graphs**
- Graph-theoretical notions can be used to describe, e.g., **structural properties** of constraint networks
- Complexity for solving CSP instances can depend on both the relations used in the constraints and properties of the constraint graphs

Sets and Relations
Graphs
Computational Complexity

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1 Set-Theoretical Basics and Relations



- Sets
- Relations
- Relations over Variables

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Set-theoretical notations



Usually, we use sets in a naïve way. The following notations are all standard ...

Boolean operations on sets:

$$A \cup B := \{x : x \in A \text{ or } x \in B\}$$

$$A \cap B := \{x \in A : x \in B\}$$

$$A \setminus B := \{x \in A : x \notin B\}$$

Subset relation: $A \subseteq B$, $A \subsetneq B$, etc., are defined as usual.

Power set: $2^A := \{B : B \subseteq A\}$

(Ordered) pairs:

$$(x, y) := \{\{x\}, \{x, y\}\}$$

$$(x_1, \dots, x_n) := ((x_1, \dots, x_{n-1}), x_n)$$

Product: $A \times B := \{(a, b) : a \in A \text{ and } b \in B\}$

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Definition

A **relation over** sets X_1, \dots, X_n is a subset

$$R \subseteq X_1 \times \dots \times X_n =: \prod_{1 \leq i \leq n} X_i.$$

The number n is referred to as **arity** of R .

An **n -ary relation on** a set X is a subset

$$R \subseteq X^n := X \times \dots \times X \quad (n \text{ times}).$$

Since relations are sets, set-theoretical operations (union, intersection, complement) can be applied to relations as well.

For binary relations on a set X we have some special operations:

Definition

Let R, S be binary (2-ary) relations on X .

The **converse** of relation R is defined by:

$$R^{-1} := \{(x, y) \in X^2 : (y, x) \in R\}.$$

The **composition** of relations R and S is defined by:

$$R \circ S := \{(x, z) \in X^2 : \exists y \in X \text{ s.t. } (x, y) \in R \text{ and } (y, z) \in S\}.$$

The **identity relation** is:

$$\Delta_X := \{(x, y) \in X^2 : x = y\}.$$

Operating on binary relations

Lemma

Let X be a non-empty set. Let $\mathcal{R}(X)$ be the set of all binary relations on X . Then:

- (a) $\mathcal{R}(X)$ forms a Boolean algebra on $X \times X$.
- (b) For all relations $R, S, T \in \mathcal{R}(X)$:

$$R \circ (S \circ T) = (R \circ S) \circ T$$

$$R \circ (S \cup T) = (R \circ S) \cup (R \circ T)$$

$$\Delta_X \circ R = R \circ \Delta_X = R$$

$$(R^{-1})^{-1} = R \text{ and } (-R)^{-1} = -(R^{-1})$$

$$(R \cup S)^{-1} = R^{-1} \cup S^{-1}$$

$$(R \circ S)^{-1} = S^{-1} \circ R^{-1}$$

$$(R \circ S) \cap T^{-1} = \emptyset \text{ if and only if } (S \circ T) \cap R^{-1} = \emptyset$$

Constraints, relations, and variables

Constraints can be expressed by relations that restrict value assignments to variables.

Consider variables x_1, x_2, x_3 and relations B, C defined by:

$$B = \{(x, y, z) \in [0..3]^3 : x < y < z\}$$

$$C = \{(x, y, z) \in [0..3]^3 : x > y > z\}.$$

- “ (x_1, x_2, x_3) satisfies B ” and “ (x_3, x_2, x_1) satisfies B ” express **different** constraints, while ...
- “ (x_3, x_2, x_1) satisfies B ” and “ (x_1, x_2, x_3) satisfies C ” essentially express the **same** constraint.

x_1	x_2	x_3	\neq	x_3	x_2	x_1	\equiv	x_1	x_2	x_3
0	1	2		0	1	2		2	1	0
0	1	3		0	1	3		3	1	0
0	2	3		0	2	3		3	2	0

Relations over variables



Let V be a set of variables. For $v_i \in V$, let $\text{dom}(v_i)$ be a set (of values), called the **domain** of v_i .

Definition

A **relation** over (pairwise distinct) variables $v_1, \dots, v_n \in V$ is a pair

$$R_{v_1, \dots, v_n} := ((v_1, \dots, v_n), R)$$

where R is a relation over $\text{dom}(v_1), \dots, \text{dom}(v_n)$.

The sequence (v_1, \dots, v_n) is referred to as the **scheme** (or: **range**), the set $\{v_1, \dots, v_n\}$ as the **scope**, and R as the **graph** of R_{v_1, \dots, v_n} .

We will not always distinguish between a relation over variables and its graph (and between scope and scheme), e. g., we write

$$R_{v_1, \dots, v_n} \subseteq \text{dom}(v_1) \times \dots \times \text{dom}(v_n).$$

Selections, ...



Let $R_v = (v, R)$ be a relation over variables $v = (v_1, \dots, v_n)$.

Definition

For any fixed value $a_i \in \text{dom}(v_i)$, define

$$\sigma_{v_i=a_i}(v, R) := (v, R')$$

with

$$R' := \{(x_1, \dots, x_n) \in R : x_i = a_i\}.$$

The (unary) operation $\sigma_{v_i=a_i}$ is called **selection** or **restriction**.

A multiple selection operation $\sigma_{v_{i_1}=a_1, \dots, v_{i_k}=a_k}$ can be defined in a similar way.

... Projections, ...



Let (i_1, \dots, i_k) be a k -tuple of pairwise distinct elements of $\{1, \dots, n\}$ ($k \leq n$).

Definition

Given a relation (v, R) over $v = (v_1, \dots, v_n)$,

$$\pi_{v_{i_1}, \dots, v_{i_k}}(v, R) := ((v_{i_1}, \dots, v_{i_k}), R')$$

with

$$R' := \left\{ y \in \prod_{1 \leq j \leq k} \text{dom}(v_{i_j}) : y = (x_{i_1}, \dots, x_{i_k}), \text{ for some } (x_1, \dots, x_n) \in R \right\}$$

is a relation over $(v_{i_1}, \dots, v_{i_k})$, called the **projection** of (v, R) on $(v_{i_1}, \dots, v_{i_k})$.

Note: Each permutation of the scheme v defines a projection.

For binary relations $R, R_{x,y}^{-1} = \pi_{y,x}(R_{x,y})$.

... Joins



Definition

Consider a tuple of pairwise distinct variables $v = (v_1, \dots, v_n)$.

Let (v', R) and (v'', S) be relations over variables $v' = (v_{i_1}, \dots, v_{i_k})$

and $v'' = (v_{j_1}, \dots, v_{j_l})$, resp., s. t.

$\{v_{i_1}, \dots, v_{i_k}\} \cup \{v_{j_1}, \dots, v_{j_l}\} = \{v_1, \dots, v_n\}$. Then

$$(v', R) \bowtie (v'', S) := (v, T)$$

with

$$T = \left\{ x \in \prod_{1 \leq i \leq n} \text{dom}(v_i) : (x_{i_1}, \dots, x_{i_k}) \in R \text{ and } (x_{j_1}, \dots, x_{j_l}) \in S \right\}$$

is a relation over (v_1, \dots, v_n) , the **join** of (v', R) and (v'', S) .

For binary relations $R = R_{x,y}$ and $S = S_{y,z}$ on the same set,

$$R \circ S = \pi_{x,z}(R_{x,y} \bowtie S_{y,z}).$$

Examples



Consider relations $R := R_{x_1, x_2, x_3}$ and $S := S_{x_2, x_3, x_4}$ defined by:

x_1	x_2	x_3	x_2	x_3	x_4
b	b	c	a	a	1
c	b	c	b	c	2
c	n	n	b	c	3

Then $\sigma_{x_3=c}(R)$, $\pi_{x_2, x_3}(R)$, $\pi_{x_2, x_1}(R)$, and $R \bowtie S$ are:

x_1	x_2	x_3	x_2	x_3	x_2	x_1	x_1	x_2	x_3	x_4
b	b	c	b	c	b	b	b	b	c	2
c	b	c	b	c	b	c	b	b	c	3
			n	n	n	c	c	b	c	2
							c	b	c	3

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- Undirected Graphs
- Directed Graphs
- Labeled Graphs
- Hypergraphs

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Undirected graph



Definition

An **(undirected, simple) graph** is an ordered pair

$$G = \langle V, E \rangle$$

where:

- V is a non-empty set (of **vertices, nodes**);
- E is a set of two-element subsets $X \subseteq V$ (elements of E are called **edges**).

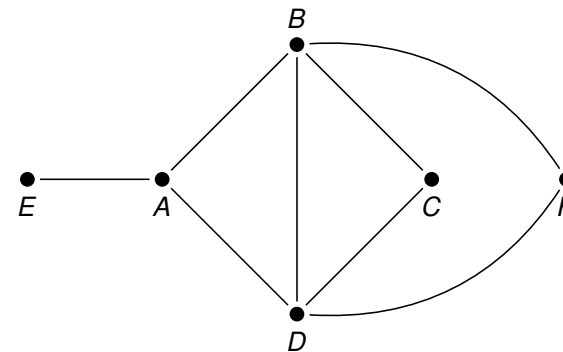
Usually, we assume that the graph (i.e., $|V|$) is finite.

In undirected, simple graphs edges are often written as $[u, v]$.

Sometimes, one allows E to also contain singleton subsets of V (**loops**), written as $[v, v]$. But **simple** graphs are always loopless.

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A simple undirected graph



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Undirected multi-graph



Often we allow for multiple edges between the same vertices.

Definition

An **(undirected, multi-) graph** is an ordered triple

$$G = \langle V, E, \gamma \rangle$$

where:

- V is non-empty set (of **vertices, nodes**);
- $\gamma: E \rightarrow \{X \in 2^V : 1 \leq |X| \leq 2\}$.

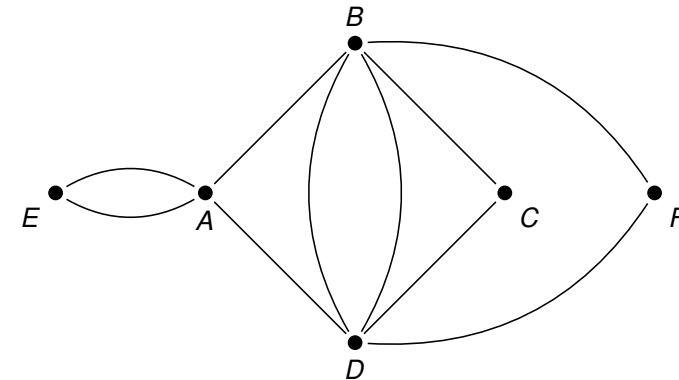
The elements of E are called **edges**.

We always assume: $V \cap E = \emptyset$.

The **order** of a graph is the number of vertices $|V|$. Often, $|E|$ is referred to as the **size** of G , but often we specify both $n := |V|$ and $m := |E|$.

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An undirected multi-graph



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Graphs: Walks, cycles, etc.



Definition

Let $G = \langle V, E, \gamma \rangle$ be an undirected graph.

- If $\gamma(e) = \{u, v\}$ for some $e \in E$, then u and v are called **adjacent** (or: **connected** by e).
- A **path** (or: **walk**) in G is a sequence

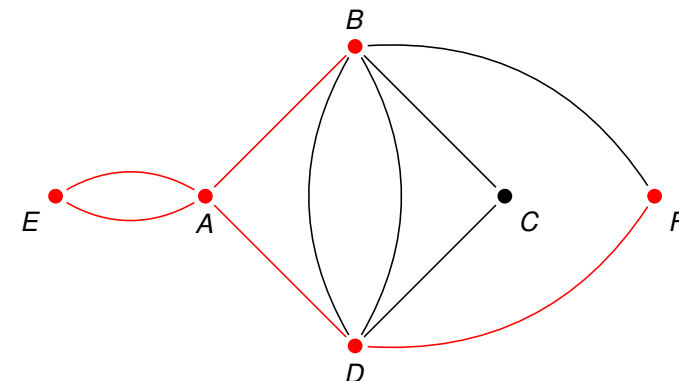
$$(v_0, e_1, v_1, \dots, e_k, v_k)$$

such that $e_1, \dots, e_k \in E$ and $\gamma(e_i) = \{v_{i-1}, v_i\}$ (for each $1 \leq i \leq k$). k is referred to as **length**, v_0 as **start vertex**, and v_k as **end vertex** of the path.

- A **cycle** is a path (v_0, \dots, e_k, v_k) with $v_0 = v_k$ and $k \geq 1$.
- A walk (v_0, \dots, e_k, v_k) is **simple** if $e_i \neq e_j$ for all $i \neq j$.
- A walk (v_0, \dots, e_k, v_k) is **elementary** if $v_i \neq v_j$ for $0 \leq i \neq j \leq k$ (but $v_n = v_n$ is allowed).

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Paths: An example



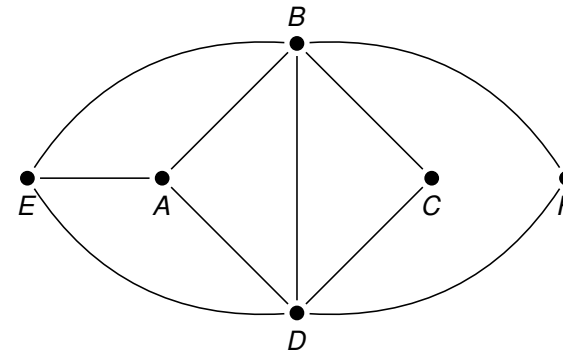
A simple path visiting the nodes B, A, E, D, F

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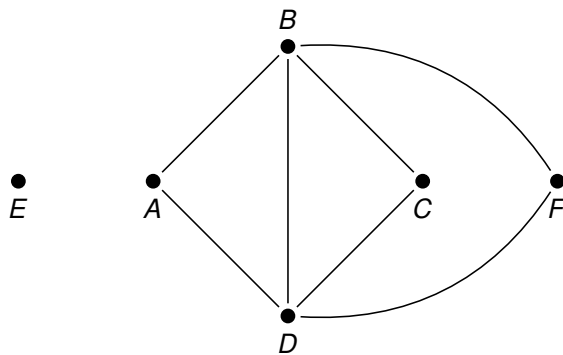
Let $G = \langle V, E, \gamma \rangle$ be an undirected graph.

Definition

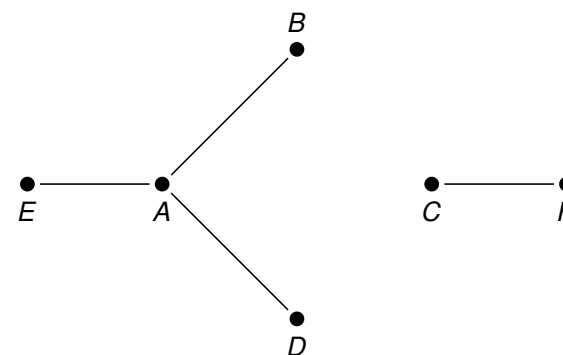
- (a) G is **connected** if for each pair of vertices u and v , there exists a path from u to v .
- (b) G is **complete** if any pair of vertices is connected by an edge.
- (c) G is a **forest** if G is cycle-free.
- (d) G is a **tree** if G is cycle-free and connected.



Connected, but not complete

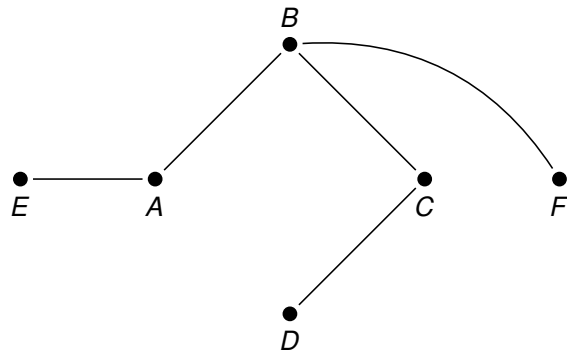


A not connected graph



A forest

Examples



A tree

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Graph-theoretical notions

Let $G = \langle V, E, \gamma \rangle$ be an undirected graph.

Definition

Let V' be a non-empty subset of V . Then $G[V'] = \langle V', E', \gamma' \rangle$ with:

$$E' = \{e \in E : \gamma(e) \subseteq V'\} \text{ and } \gamma' := \gamma|_{E'}$$

is called the **subgraph** induced by V' .

Definition

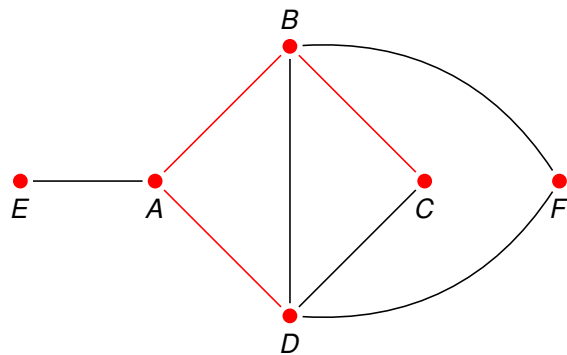
Let E' be a subset of E . Then $G[E'] = \langle V, E', \gamma|_{E'} \rangle$ is called the **partial graph** induced by E' .

Definition

A **clique** in a graph G is a complete subgraph of G .

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Directed Graph

Definition

A **directed (multi-) graph** (or: **digraph**) is an ordered tuple

$$G = \langle V, A, \alpha, \omega \rangle$$

where:

- V is a non-empty set (of **vertices** or **nodes**),
- A is a set (elements of A are called **arcs**, **edges**, or **arrows**),
- $\alpha, \omega : A \rightarrow V$ are functions.

$\alpha(a)$ is called the **start vertex** of a , $\omega(a)$ the **end vertex** of a .

If G has no parallel arcs (i.e., $a, a' \in A$ with $\alpha(a) = \alpha(a')$ and $\omega(a) = \omega(a')$), we can write A as a set of tuples:

$$\{(\alpha(a), \omega(a)) \in V^2 : a \in A\}.$$

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Digraphs: Some notions

Most notions introduced for undirected graphs can easily be adapted for directed graphs. For example:

Definition

A **path** in G is a sequence $(v_0, a_1, v_1, \dots, a_k, v_k)$ such that $a_1, \dots, a_k \in A$ and for each $1 \leq i \leq k$, $\alpha(a_i) = v_{i-1}$ and $\omega(a_i) = v_i$.

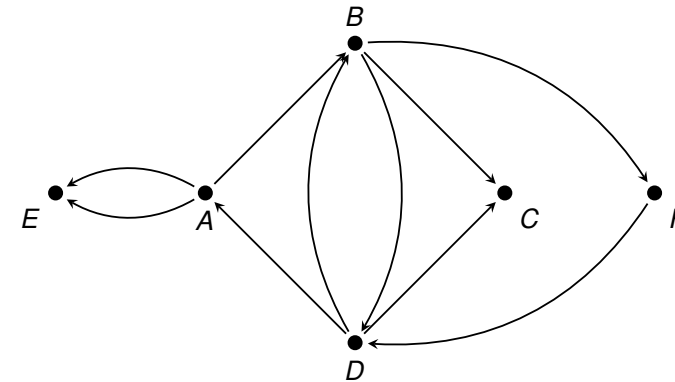
$g^+(v)$: the **outdegree** of v , the number of arcs that start from v

$g^-(v)$: the **indegree** of v , the number of arcs that end in v

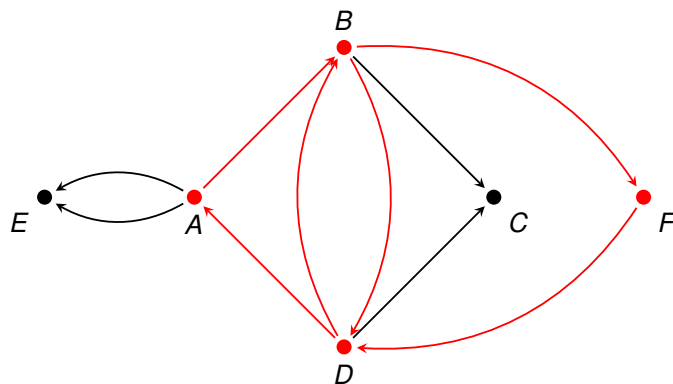
parents of v : nodes with an arc to v

childs of v : nodes with an arc from v

A directed multi-graph



A directed multi-graph



A directed graph with a (strongly) connected subgraph

Labeled graphs

Often graphs $G = \langle V, E/A, \dots \rangle$ are equipped with labeling functions.

Let L be a not-empty set of labels.

Vertex labeling: a function $l : V \rightarrow L$ that assigns to each v a vertex label $l(v) \in L$.

Edge labeling: a function $l : E \rightarrow L$ that assigns to each $e \in E$ a label $l(e) \in L$.

Example: In route planning, one can represent street networks as digraphs with an arc labeling (expressing travelling distance between places/nodes).

The label set may be equipped with further structures. In the route planning example, the labeling function is understood as a distance function (metric space).

Hypergraph

Graphs can be used to represent binary relations between nodes.

For relations of higher arity we need:

Definition

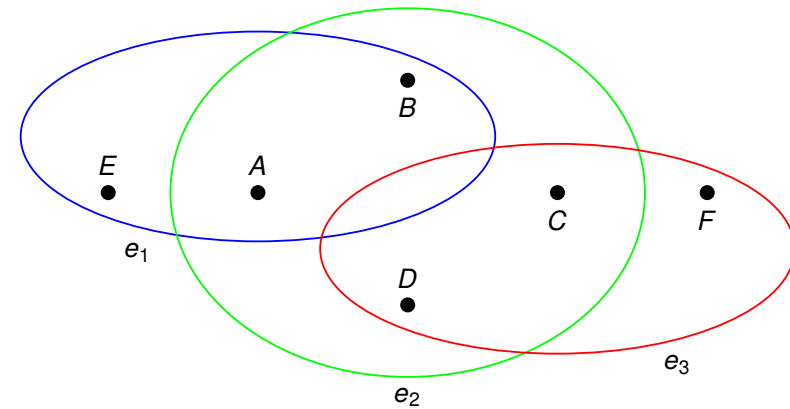
A **hypergraph** is a pair $H = \langle V, E \rangle$, where

- V is a set (of **nodes**, **vertices**),
- E is a set of non-empty subsets of V (called **hyperedges**), i.e., $E \subseteq 2^V \setminus \{\emptyset\}$.

Notice: Hyperedges may contain arbitrarily many nodes.

k-uniform hypergraph: each hyperedge contains exactly k vertices.

Hypergraphs: An example



A hypergraph

3 Computational Complexity

- \mathcal{O} , Ω , etc.
- Computational Problems
- NP

Model of computation

- In the lecture we do not use a specific model of computation: any Turing-complete abstract machine (Turing machine, (unit cost?) RAM, ...) suffices
- When analyzing algorithms, we use a **uniform cost model**: constant costs are assumed for every machine operation (regardless of the size of its input)

Landau symbols

Let M be the set of all functions $f : \mathbb{N} \rightarrow \mathbb{R}$, $g \in M$.

$$\mathcal{O}(g) = \{f \in M : \exists c \in \mathbb{R} \exists n_0 \in \mathbb{N} \forall n > n_0 : f(n) \leq c \cdot g(n)\}$$

$$\Omega(g) = \{f \in M : \exists c \in \mathbb{R} \exists n_0 \in \mathbb{N} \forall n > n_0 : f(n) \geq c \cdot g(n)\}$$

$$\Theta(g) = \mathcal{O}(g) \cap \Omega(g)$$

- Runtime depends on used data structures
- For example: basic operations on a graph depend on how the graph is represented (e.g., as an **adjacency matrix** or an **adjacency list**).

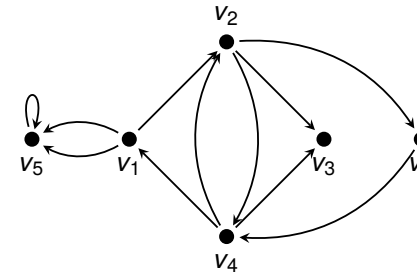
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Let $G = \langle V, A, \alpha, \omega \rangle$ be a digraph.

Adjacency matrix: $n \times n$ matrix $(a_{ij})_{1 \leq i, j \leq n}$ such that a_{ij} is the number of arcs from vertex v_i to vertex v_j .

Adjacency list: an array of lists, namely, for each vertex v , the list of v 's children (in undirected graphs: neighbors = adjacent vertices)

Graph:

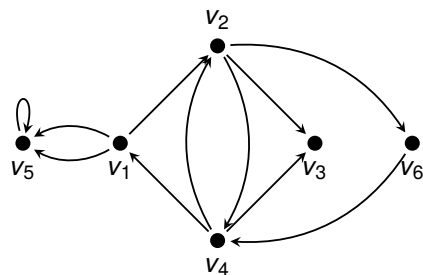


Adjacency matrix:

$$\begin{pmatrix} 0 & 1 & 0 & 0 & 2 & 0 \\ 0 & 0 & 1 & 1 & 0 & 1 \\ 0 & 0 & 0 & 0 & 0 & 0 \\ 1 & 1 & 1 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 & 0 & 0 \end{pmatrix}$$

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Graph:



Adjacency list:

- 1 → 2 → 5 → 5
- 2 → 6 → 3 → 4
- 3
- 4 → 1 → 2
- 5 → 5
- 6 → 4

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Consider the following operations on a digraph (without parallel arcs):

- Arc:** Check whether there is an arc from v to w ($(v, w) \in E?$);
- Deg⁺:** Determine the outdegree of v ($g^+(v) = ?$);
- Root:** Check whether there exists a v with $g^-(v) = 0$.

Data structure	Memory	Arc	Deg ⁺	Root
Adjacency matrix	$\theta(n^2)$	$\theta(1)$	$\theta(n)$	$\theta(n^2)$
Adjacency list	$\theta(n+m)$	$\theta(g^+(v))$	$\theta(g^+(v))$	$\theta(n+m)$

n : number of vertices; m : number of arcs/edges

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Computational problems



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In the lecture we will study three types of computational problems:

- **Decision problems**
Expected output: YES / NO
- **Search problems**
Expected output: a solution
- **Optimization problems**
Expected output: an optimal solution

Decision problem



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Let X be a set of problem instances and F be a unary property defined on X .

Then the decision problem “ x satisfies F ?” is defined as follows:

- **Given:** A problem instance $x \in X$
- **Question:** Does x satisfy condition F ?

Example

- **Given:** A digraph $G = \langle V, E \rangle$, vertices $v_1, v_2 \in V$.
- **Question:** Does there exist a path from v_1 to v_2 in G ?

Search problem



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Let X be a set of problem instances, S be the set of solution candidates, and R be a binary relation $R \subseteq X \times S$.

Then the search problem “Find a solution of x ?” is defined as follows:

- **Given:** A problem instance $x \in X$
- **Asked:** A solution $s \in S$ with $(x, s) \in R$

Example

- **Given:** A digraph $G = \langle V, E \rangle$, vertices $v_1, v_2 \in V$.
- **Asked:** Find a path from v_1 to v_2 in G (if there exists one; otherwise “failure”)

Optimization problem



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Let X be a set of problem instances, S be the set of solution candidates, R be a binary relation $R \subseteq X \times S$, and $f : S \rightarrow \mathbb{R}$ be an **objective function**.

The optimization problem “Find an optimal solution of x ?” is defined as follows:

- **Given:** A problem instance $x \in X$
- **Asked:** A solution $s \in S$ with $(x, s) \in R$ that maximizes/minimizes f , i.e., $f(s)$ is maximal/minimal among all s with $(x, s) \in R$

Example

- **Given:** A weighted digraph $G = \langle V, E \rangle$, vertices $v_1, v_2 \in V$.
- **Asked:** Find a **shortest** path from v_1 to v_2 in G (if there exists one; otherwise “failure”)

P, NP



P: class of decision problems that can be solved by a deterministic Turing machine (DTM) in polynomial time

NP: class of decision problems that can be solved by a non-deterministic Turing machine (NDTM) in polynomial time

Alternative characterization of NP

NP: class of decision problems X such that there exists a polynomial-time **verifier** for X .

A **polynomial-time verifier** for X is a polynomial-time DTM M such that there exists a polynomial $p : \mathbb{N} \rightarrow \mathbb{N}$ with:

- given x is a YES-instance of X , there exists a **witness** (or: **certificate**) s with $|s| \leq p(|x|)$ such that M accepts (x, s) , and
- given x is a NO-instance of X , for any candidate s with $|s| \leq p(|x|)$, M rejects (x, s) .

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NP-completeness



Consider decision problems X and X' encoded as formal languages L, L' over alphabets Σ, Σ' .

Polynomial reduction: L' is **polynomially reducible** to L , $L' \leq_p L$, if there exists a total and polynomial time-computable function $f : \Sigma' \rightarrow \Sigma$ such that $w \in L' \iff f(w) \in L$.

Definition

- A decision problem L is **NP-hard** if for each decision problem L' in NP, it holds $L' \leq_p L$.
- A decision problem L is **NP-complete** if it is both in NP and NP-hard.

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SAT, 3SAT



Theorem (Cook)

The Boolean satisfiability problem, i.e., the problem of deciding whether a propositional logic formula φ is satisfiable, is NP-complete.

3CNF-SAT formula: a propositional logic formula φ that is in conjunctive normal form such that each clause contains at most 3 literals.

Theorem (3CNF-SAT)

The problem of deciding whether a 3CNF-SAT formula is satisfiable is NP-complete.

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3-COLORABILITY



The problem **3-COLORABILITY** is defined as follows:

Given an undirected, simple graph $G = \langle V, E \rangle$, is there a vertex coloring $c : V \rightarrow \{1, 2, 3\}$ such that for each pair of adjacent vertices v, v' in G , $c(v) \neq c(v')$.

Theorem

3-COLORABILITY is NP-complete.

Proof.

Obviously, **3-COLORABILITY** is in NP: we only need to guess the coloring c . Then we check whether this coloring assigns different colors to adjacent vertices. This can be done in polynomial time.

We now show that **3-COLORABILITY** is NP-hard by a polynomial reduction from **3CNF-SAT**. Since **3CNF-SAT** is NP-complete, each problem in NP can be reduced to **3CNF-SAT** and via **3CNF-SAT** \leq_p **3-COLORABILITY**, each problem in NP can also be

reduced to **3-COLORABILITY**

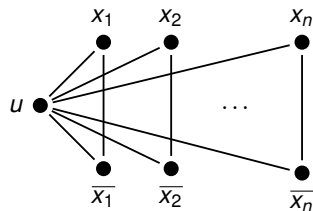
3-COLORABILITY



We construct a function that assigns to each 3CNF-SAT formula $\varphi = C_1 \wedge \dots \wedge C_m$ a graph G_φ such that

φ is satisfiable $\iff G_\varphi$ has a coloring with colors {red, blue, green}.

We assume (w.l.o.g.) that each clause C_j consists of exactly three literals, i.e., $C_j = (l_{j1} \vee l_{j2} \vee l_{j3})$. Let x_1, \dots, x_n be the set of propositional variables that occur in φ . G_φ will contain the following subgraph G_T (with $2n + 1$ vertices):

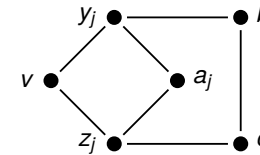


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For each clause C_j ($1 \leq j \leq m$) we add a subgraph G_j (clause gadget) with new vertices a_j, b_j, c_j, y_j, z_j and a vertex v which is the same in each of the clause gadgets:



Vertices in G_j are connected by an edge to vertices in G_T as follows:

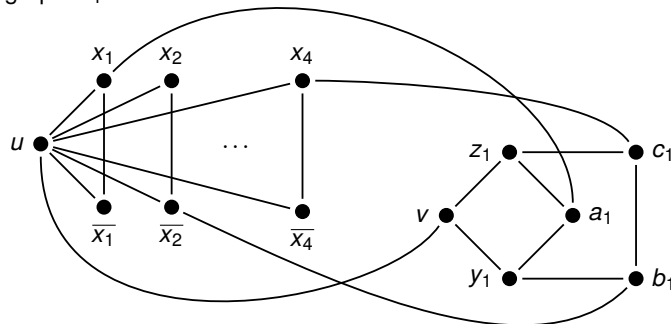
- an edge $\{u, v\}$
- edges $\{a_j, l_{j1}\}, \{b_j, l_{j2}\}, \{c_j, l_{j3}\}$ ($1 \leq j \leq m$)

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For example, if $\varphi = (x_1 \vee \neg x_2 \vee x_4) \wedge \dots$, G_φ contains the following subgraph G_1 :



For example: if $V(x_1) = 1, V(x_2) = 1, V(x_4) = 0, \dots$,

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Proof (summary).

Thus we have constructed a function f that assigns to each 3CNF-SAT formula $\varphi = C_1 \wedge \dots \wedge C_m$ a graph G_φ such that

φ is satisfiable $\iff G_\varphi$ has a coloring with colors {red, blue, green}.

Since the constructed graph G_φ has $2n + 5m + 2$ vertices, f can be computed in polynomial time. □

Notice:

- Actually, what we have proven is: $3\text{CNF-SAT} \leq_p k\text{-COLORABILITY}$, for $k \geq 3$.
- The corresponding search problem "Given a graph, find a 3-coloring ..." is in the complexity class **Function NP (FNP)**.

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- Short reminder on set-theoretical notions and operations
- Even more operations can be defined for relations
- Distinguish relations (as sets) and relations over variables
- Very basic reminder of graph-theoretical notions
- ... and complexity theory
- Example: k -colorability is an NP-complete decision problem
- ... for $k \geq 3$; for $k = 2$ it is **tractable**

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