BILL AND NATHAN, RECORD LECTURE!!!!

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BILL RECORD LECTURE!!!

Approx Classes and Reductions

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Approx Classes

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Alg means Poly Time Algorithm.

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We Assume $P \neq NP$.

Max Alg: Benefit Notation

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If we dealt with min problems we would use cost.

Def of Approx

Def ALG an alg and $c \ge 1$ is a constant A is a max-problem. ALG is *c***-app-alg for A** if,

$$\operatorname{benefit}(\operatorname{ALG}(x)) \geq \frac{1}{c} \times \operatorname{benefit}(\operatorname{OPT}(x)).$$

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(5) Can define more classes.

The following are known: (1) $PTAS \subseteq APX \subseteq LAPX \subseteq PAPX$ (this is obvious).

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d) TSP \notin PAPX.

Approx Reductions

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Example of an Approx Reduction

Recall MAX3SAT \notin PTAS.



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Recall MAX3SAT \notin PTAS. **Def** IS returns the largest ind set.



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1) Input (ϕ, ϵ) .

2) Form graph G SEE NEXT SLIDE.

Recall MAX3SAT \notin PTAS.

Def IS returns the largest ind set.

Thm If $IS \in PTAS$ then $MAX3SAT \in PTAS$.

Assume $IS \in PTAS$. We give PTAS for MAX3SAT.

1) Input (ϕ, ϵ) .

2) Form graph G SEE NEXT SLIDE.

3) Use PTAS on (G, ϵ) to get Ind set of size $\geq (1 - \epsilon)OPT(G)$ clauses.

Recall MAX3SAT \notin PTAS.

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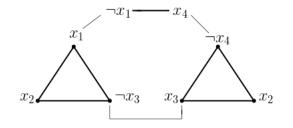
Assume $IS \in PTAS$. We give PTAS for MAX3SAT.

1) Input (ϕ, ϵ) .

2) Form graph G SEE NEXT SLIDE.

3) Use PTAS on (G, ϵ) to get Ind set of size $\geq (1 - \epsilon)OPT(G)$ clauses.

4) Easily map that Ind Set to a partial assignment that satisfies $\geq (1 - \epsilon) OPT(\phi)$.



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

Figure: MAX3SAT \leq IS

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Formal Def of Approx Preserving Reduction

Def A, B be 2 problems. An **approximation preserving reduction (APR)** from A to B is a **pair of poly time functions** $x \rightarrow x'$ and $y' \rightarrow y$ 1) If x is an instance of A then x' is an instance of B. 2) If y' is a solution for x' then y is a solution for x. 3) If y' is a **good** solution for x' then y is a **good** solution for x. (The notion of **good** will vary.)

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We are only interested in **good** solutions. Hence we may restrict y' to solutions that do not have an obvious improvement.

Example We assume a solutions for MAX3SAT will assign a var that only appears positively to T.

Def An *L*-reduction $A \leq_L B$ is an APR where:

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Def An *L*-reduction $A \leq_L B$ is an APR where: (1) $OPT_B(x') = O(OPT_A(x))$ (2) $|benefit_A(x') - OPT_A(x)| = O(|benefit_B(y') - OPT_B(y)|)$

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Thm If $B \in PTAS$ and $A \leq_L B$ then $A \in PTAS$.

Def Let *A* be a max-problem.



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Its PAPX-complete since CLIQ is PAPX-complete.

 $\begin{array}{l} \mathsf{MAX3SAT} \leq_L \\ \mathsf{MAX3SATE-3} \end{array}$

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MAXthSAT and Variants

Def

(1) **MAX3SAT** Input a 3CNF fml ϕ .

Output: Max number of clauses that can be satisfied.

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MAXthSAT and Variants

Def

(1) **MAX3SAT** Input a 3CNF fml ϕ . Output: Max number of clauses that can be satisfied.

(2) **MAX3SATE-a** Input 3CNF fml ϕ where every var occurs $\leq a$. Output: Max number of clauses that can be satisfied.

We show **bad reduction** to motivate a **good reduction**.

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1. Input $\phi(x_1, \ldots, x_n)$. Assume ϕ has *m* clauses.

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2.2 Replace the k occurrences of x with z_1, \ldots, z_k .

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 - 2.3 Add $(z_1 \rightarrow z_2)$, $(z_2 \rightarrow z_3)$, ..., $(z_{L-1} \rightarrow z_k)$, $(z_k \rightarrow z_1)$. These clauses are an attempt to force all of the z_i to have the same truth value. (If this was a decision-problem reduction then the attempt would succeed.)

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Output ϕ' .

Good News $\phi \in SAT$ iff $\phi' \in SAT$.



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Bad News Example of why reduction does not work.

$$\phi(x) = (x \lor x \lor x) \land \dots \land (x \lor x \lor x) \land (\neg x \lor \neg x \lor \neg x) \land \dots \land (\neg x \lor \neg x \lor \neg x)$$

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There are $m (x \lor x \lor x)$ clauses and $m (\neg x \lor \neg x \lor \neg x)$ clauses. Note that MAX3SAT $(\phi) = m$.

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$$(z_1 \lor z_2 \lor z_3) \land \cdots \land (z_{3m-2} \lor z_{3m-1} \lor z_{3m}) \land$$

$$(\neg z_{3m+1} \lor \neg z_{3m+2} \lor \neg z_{3m+3}) \land \cdots \land (\neg z_{6m-2} \lor \neg z_{6m-1} \lor \neg z_{6m}) \land$$

$$(z_1 \rightarrow z_2) \land \cdots \land (z_{6m-1} \rightarrow z_{6m}) \land (z_{6m} \rightarrow z_1)$$

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Set z_1, \ldots, z_{3m} to T and z_{3m+1}, \ldots, z_{6m} to F. We satisfy every single clause except $z_{3m} \rightarrow z_{3m+1}$. Thats m + m + 6m - 1 = 8m - 1 clauses.

$$(z_1 \lor z_2 \lor z_3) \land \cdots \land (z_{3m-2} \lor z_{3m-1} \lor z_{3m}) \land$$

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Upshot MAX3SAT(ϕ) = m and MAX3SAT(ϕ') = 8m - 1. That doesn't seem to bad. But wait....

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No Map from y' to y

It Gets Worse There is no useful way to take that assignment and map it to an assignment for ϕ that satisfies many clauses.

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No Map from y' to y

It Gets Worse There is no useful way to take that assignment and map it to an assignment for ϕ that satisfies many clauses.

What We Did Wrong We replaced x with z_1, z_2, z_3 and we intended z_1, z_2, z_3 them to all get the same truth value. But we did nothing to enforce that.

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Small Caveat We will actually work with z_1, \ldots, z_7 .

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In failed reduction we used a **cycle** to connect the different variables that are supposed to all have the same truth value. In the correct reduction we will use a more complicated graph. **Def** Let $d \in \mathbb{N}$. A *d*-expander graph G = (V, E) has: (1) every vertex has degree *d* (2) for every partition $V = V_1 \cup V_2$, $E(V_1, V_2) \ge \min(|V_1|, |V_2|)$.

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Known for all $k \equiv 0 \pmod{2}$, there exists a 3-expander graph on k vertices. we will assume every var that appears ≥ 8 times appears an even number of times.

Here is the reduction:



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- (c) three times in clauses of the form $z_i \rightarrow z_i$ (deg 3).

The last two come from G having degree 3.

Clearly every var occurs \leq 7 times.

How to go from an assignment for ϕ' to an assignment for ϕ .



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If x occurs \leq 7 times in ϕ then x is in ϕ' and gets the same truth value that $\vec{b'}$ gave it.

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- If x occurs $k \ge 8$ times in ϕ then there are z_1, \ldots, z_k in ϕ' .
- This is the interesting case so goto the next slide.

Recall We said that if can **easily** improve \vec{b}' we assume that has already been done.

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We show that all the z_1, \ldots, z_k are assigned same value. We can then set x to that value in \vec{b} .

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Intuition If we set all of the z_i to SAME truth value then all of the clauses from the expander, of the form $z_i \rightarrow z_j$, will be set to T. More of these clauses will be set T then clauses in the original formula which might get flipped to F.

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Why Does This Reduction Work? Interesting Case

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Recap

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- 3) Routine to show that this is an *L*-reduction.
- 4) MAX3SAT-7 is APX-complete.

What About MAX3SATE-3

Thm MAX3SAT-7 \leq_L MAX3SAT-3.

This is an easy reduction using the cycles from the bad reduction.

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What About MAX3SATE-3

Thm MAX3SAT-7 \leq_L MAX3SAT-3.

This is an easy reduction using the cycles from the bad reduction. We leave the details to the reader.

Two Reasons Lower Bounds On MAX3SAT-3 Important

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1. We will use MAX3SAT-3 to prove many graph problems on bounded-degree graphs are hard to approximate. These proofs will be clever but elementary.

Two Reasons Lower Bounds On MAX3SAT-3 Important

- 1. We will use MAX3SAT-3 to prove many graph problems on bounded-degree graphs are hard to approximate. These proofs will be clever but elementary.
- We will use MAX3SAT-3 to prove SET COVER is hard to approximate. This proof will use PCP-like machinery. (We won't get that far.)

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Bounded Degree Graph Problems

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Graph Problems

Notation If G is a graph then $\Delta(G)$ is the max degree. **Def**

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Graph Problems

Notation If G is a graph then $\Delta(G)$ is the max degree. **Def ISB-a**: Given graph G, $\Delta(G) \leq a$, ret. size of max ind set.

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Notation If G is a graph then $\Delta(G)$ is the max degree. **Def ISB-a**: Given graph G, $\Delta(G) \leq a$, ret. size of max ind set. **VCB-a**: Given graph G, $\Delta(G) \leq a$, ret. size of min vert. cov.

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Notation If G is a graph then $\Delta(G)$ is the max degree. **Def**

ISB-a: Given graph G, $\Delta(G) \leq a$, ret. size of max ind set. **VCB-a**: Given graph G, $\Delta(G) \leq a$, ret. size of min vert. cov. **DOMB-a**: Given graph G, $\Delta(G) \leq a$, ret. size of min dom set. We show that, for some constant a, all of these are APX-complete.

AP-Hard

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AP-Hard MAX3SAT-3 \leq_L ISB-4 by the MAX3SAT \leq_L IS reduction.

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MAX3SAT-3 \leq_L ISB-4 by the MAX3SAT \leq_L IS reduction. So ISB-4 is APX-hard.



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$$\begin{split} \mathrm{ISB-4} &\in \mathrm{APX:} \\ \mathrm{Halldórsson-Radhakrishnan} \text{ showed that} \\ \mathrm{ISB-\Delta} \text{ has a } \frac{\Delta+2}{3}\text{-approx.} \end{split}$$

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ISB-4 \in APX: Halldórsson-Radhakrishnan showed that ISB- Δ has a $\frac{\Delta+2}{3}$ -approx. If $\Delta = 4$ we get ISB-3 has a 2-approx.

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We now know that ISB-4 does not have a PTAS.

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Can the 2 be lowered?

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MAX3SAT-3 \leq_L ISB-4 by the MAX3SAT \leq_L IS reduction. So ISB-4 is APX-hard.

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$$\begin{split} \mathrm{ISB-4} &\in \mathrm{APX}: \\ \mathsf{Halldórsson}\mathsf{-Radhakrishnan} \text{ showed that} \\ \mathrm{ISB-}\Delta \text{ has a } \frac{\Delta+2}{3}\text{-approx}. \\ \mathsf{If} \ \Delta &= 4 \text{ we get ISB-3 has a 2-approx}. \\ \mathsf{So} \ \mathrm{ISB-4} &\in \mathrm{APX}. \end{split}$$

We now know that ISB-4 does not have a PTAS.

Can the 2 be lowered? Might be open.

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APX-hard

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APX-hard

ISB-4 \leq_L VCB-4: The usual, (1) Map G to G.



APX-hard

ISB-4 \leq_L VCB-4: The usual, (1) Map G to G.

(2) Map a vertex cover for G to its complement to get an independent set for G.

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VCB- $4 \in APX$:

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VCB- $4 \in APX$:

Know that VC has a 2-Approx.

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There are reasons to think VC does not have a $(2 - \epsilon)$ -approx.

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DOMB-8 is APX-Complete

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DOMB-8 is APX-Complete

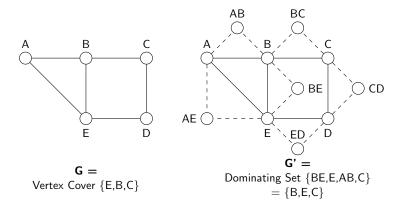
APX-Hard

DOMB-8 is APX-Complete

APX-Hard VCB-4 \leq_L DOMB-8: See next slide



VCB-4 \leq_L DOMB-8



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$\operatorname{DOMB-}\Delta$ in APX

Parekh showed that $DOMB-\Delta$ has a $O(\log \Delta)$ -approx.



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Parekh showed that $DOMB-\Delta$ has a $O(\log \Delta)$ -approx. Pinning down the exact constant may be open.

We know that $DOMB-\Delta$ is APX but not PTAS.





We have shown

$\mathrm{MAX3SAT} \leq_L \mathrm{MAX3SAT}\text{-}3 \leq_L \mathrm{ISB}\text{-}4 \leq_L \mathrm{VCB}\text{-}4 \leq_L \mathrm{DOMB}\text{-}8$

and that all of these problems are APX-complete.





We have shown

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Our next goal is to show that MAXCUT is APX-complete.



We have shown

MAX3SAT \leq_L MAX3SAT-3 \leq_L ISB-4 \leq_L VCB-4 \leq_L DOMB-8

and that all of these problems are APX-complete.

Our next goal is to show that MAXCUT is APX-complete.

We will need two more problems in logic to help us get there.

Def MAX2SAT Given a 2CNF formula ϕ ,

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Def MAX2SAT Given a 2CNF formula ϕ , what is the max number of clauses that can be

what is the max number of clauses that can be satisfied by an assignment?

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MAX3NAESAT Given a 3CNF formula ϕ ,

Def MAX2SAT Given a 2CNF formula ϕ , what is the max number of clauses that can be satisfied by an assignment?

MAX3NAESAT Given a 3CNF formula ϕ , what is the max number of clauses that can be satisfied by an assignment with the extra condition that no clause has all of its literals T. (NAE stands for Not-All-Equal.)

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APX-Hard We show ISB-4 \leq_{L} MAX2SAT.

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We map an assignment for ϕ to an IS set of G.

Key If the assignment makes some 2-clause $\overline{u} \vee \overline{v}$ F, then change the assignment to make u F.

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- The set of variables set T are an IS in G.

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It may make more 2-clauses true.

It will make ONE 1-clause, $\{u\}$ F.

Hence number of clauses satisfied will not decrease.

The set of variables set T are an IS in G.

Leave to the reader that this works.

MAX2SAT is APX-Complete: In APX

The randomized algorithm gives a $\frac{1}{2}$ -approx.

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We now know that MAX2SAT is APX but not PTAS.

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MAX2SAT \leq_{L} MAX3NAESAT.

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MAX2SAT \leq_L MAX3NAESAT.

1. Input ϕ , a formula where every clause has \leq 2 literals.

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Case z = T The *m* satisfied clauses all have ≥ 1 literal set F. If we flip the truth value of all the vars (*z* is now F) we get an assignment where *m* clauses are T, and none of them are TTT. Hence we can assume z = F.

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Case z = F T The assignment, not including z, is an assignment for ϕ that makes m clauses T. Hence

$$\operatorname{benefit}(\phi', \vec{b}') = \operatorname{benefit}(\phi, \vec{b}).$$

MAX3NAESAT is APX-Complete: In APX

MAX3NAESAT has a $\frac{3}{4}$ -approx.



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The prob that a clause is satisfied with the condition is the (prob that the assignment is NOT TTT or FFF), so is $\frac{6}{8} = \frac{3}{4}$

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Hence expected number of satisfied clauses is $\frac{3}{4}$ of the clauses.

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Hence expected number of satisfied clauses is $\frac{3}{4}$ of the clauses.

Can be made deterministic by the Cond. Prob. Method.. Method.

Now we know that MAX3NAESAT is in APX but not PTAS.

MAXCUT IS APX-Complete

Def MAXCUT Given graph G, finds $U \subseteq V$ that maximizes E(U, V - U).

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MAXCUT IS APX-Complete

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Thm MAXCUT is APX-complete. We omit proof that MAX3NAESAT \leq_L MAXCUT

More Logic Problems!

Def Let *C* be some type of SAT problem (e.g., 3CNF, 1-in-7-SAT, NAE-8-SAT).

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Def Let *C* be some type of SAT problem (e.g., 3CNF, 1-in-7-SAT, NAE-8-SAT).

We refer to **rels satisfied** rather than **clauses satisfied** since we may regard (say) satisfying exactly 1 out of the 7 literals as T as satisfying the relationship, but not 2 out of the 7.

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(1) **MAXCSP** Given a *C*-type fml, find an assignment that maximizes the number of rels satisfied.

(2) **MINCSP** Given a *C*-type fml, find an assignment that minimizes the number of rels unsatisfied. (Equiv to MAXCSP as functions, but not as approx.)

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(3) **MAXONES** Given a *C*-type fml, find a assignment that satisfies all rels and maximizes the number of 1's in the assignment.

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Connection to Other Problems

Some problems can be phrased as one of these four types.

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Some problems can be phrased as one of these four types. (1) **MAXCUT** is a MAXCSP problem where the relations are all 2-ary \oplus . If G = (V, E) is a graph then the corresponding **MAXCSP** problem is the set of relations: $\{x_i \oplus x_j : (i, j) \in E\}.$

Connection to Other Problems

Some problems can be phrased as one of these four types.

(1) **MAXCUT** is a MAXCSP problem where the relations are all 2-ary \oplus .

If G = (V, E) is a graph then the corresponding MAXCSP problem is the set of relations:

 $\{x_i\oplus x_j:(i,j)\in E\}.$

(2) **VC** is a MINONES problem where the relations are 2-ary \lor . If G = (V, E) is a graph then the corresponding **MINCSP** problem is the set of relations:

 $\{x_i \lor x_j : (i,j) \in E\}.$

Recall Schaefer's theorem classified all types of formulas as either P or NPC.

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Good News There is a theorem that classifies all such functions in terms of how hard to approx!

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Bad News Its a mess involving some classes that are contrived just for the theorem.

Good News I won't be presenting it.

List of APX-Complete Problems

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About this List

We list several APX-complete problems.



We list several APX-complete problems. There are many more.

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We list several APX-complete problems.

There are many more.

We will not prove any of them APX-complete.

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We list several APX-complete problems.

There are many more.

We will not prove any of them APX-complete.

We note that they do not just use MAX3SAT. They use each other or the problems proven APX-complete earlier in this slide packet.

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This will in in contrast to LAPX which we will see has much fewer problems and only uses SET COVER for reductions.

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Input A set of unit squares with the edges colored, and a target rectangle RECT.

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Input A set of unit squares with the edges colored, and a target rectangle RECT.

Question Is there a packing of the squares into RECT such that all tiles sharing an edge have matching colors. (The colors are unary numbers, hence the frame will be shown strongly NP-complete. (These tiles are called *Wang Tiles* and were introduced by Hao Wang to study frames in logic.) he function version of EMP is to maximize the number of edges that match.

Max Ind Set on 3-regular, 3-edge colorable graphs

Input A 3-regular graph and a 3-coloring of the edges (no two incident edges are the same color).

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Question Find the largest independent set. (This problem is used to show EMP is APX-complete.)

Input Disjoint sets *A*, *B*, *C* with |A| = |B| = |C| = n, and $M \subseteq A \times B \times C$ such that every elements of $A \cup B \cup C$ appears twice.

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- 2. Every element of $A \cup B \cup C$ is in some triple of M' (no unmarried people).

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The output is an $M' \subseteq M$ such that

- 1. All the triples in M' are disjoint (no polygamy).
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- 3. In the function version of this we are trying to maximize the size of M' that satisfies the two above.

Metric TSP

Input A Weighted graph G such that for all vertices a, b, c $w(a, c) \le w(a, b) + w(b, c)$.

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Question Find the lowest cost HAM cycle.