

6. Kernelization

COMP6741: Parameterized and Exact Computation

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- 1 Vertex Cover
 - Simplification rules
 - Preprocessing algorithm
- 2 Kernelization algorithms
- 3 A smaller kernel for VERTEX COVER
- 4 More on Crown Decompositions
- 5 Kernels and Fixed-parameter tractability
- 6 Further Reading

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Vertex cover

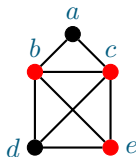
A **vertex cover** of a graph $G = (V, E)$ is a subset of vertices $S \subseteq V$ such that for each edge $\{u, v\} \in E$, we have $u \in S$ or $v \in S$.

VERTEX COVER

Input: A graph $G = (V, E)$ and an integer k

Parameter: k

Question: Does G have a vertex cover of size at most k ?



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Simplification rules for VERTEX COVER

(Degree-0)

If $\exists v \in V$ such that $d_G(v) = 0$, then set $G \leftarrow G - v$.

Simplification rules for VERTEX COVER

(Degree-0)

If $\exists v \in V$ such that $d_G(v) = 0$, then set $G \leftarrow G - v$.

Proving correctness. A simplification rule is **sound** if for any instance, it produces an equivalent instance. Two instances I, I' are **equivalent** if they are both **YES**-instances or they are both **NO**-instances.

Lemma 1

(Degree-0) is sound.

Simplification rules for VERTEX COVER

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Lemma 1

(Degree-0) is sound.

Proof.

First, suppose $(G - v, k)$ is a **YES**-instance. Let S be a vertex cover for $G - v$ of size at most k . Then, S is also a vertex cover for G since no edge of G is incident to v . Thus, (G, k) is a **YES**-instance.

Now, suppose (G, k) is a **YES**-instance. For the sake of contradiction, assume $(G - v, k)$ is a **NO**-instance. Let S be a vertex cover for G of size at most k . But then, $S \setminus \{v\}$ is a vertex cover of size at most k for $G - v$; a contradiction. \square

Simplification rules for VERTEX COVER

(Degree-1)

If $\exists v \in V$ such that $d_G(v) = 1$, then set $G \leftarrow G - N_G[v]$ and $k \leftarrow k - 1$.

Simplification rules for VERTEX COVER

(Degree-1)

If $\exists v \in V$ such that $d_G(v) = 1$, then set $G \leftarrow G - N_G[v]$ and $k \leftarrow k - 1$.

Lemma 1

(Degree-1) is sound.

Proof.

Let u be the neighbor of v in G . Thus, $N_G[v] = \{u, v\}$.

If S is a vertex cover of G of size at most k , then $S \setminus \{u, v\}$ is a vertex cover of $G - N_G[v]$ of size at most $k - 1$, because $u \in S$ or $v \in S$.

If S' is a vertex cover of $G - N_G[v]$ of size at most $k - 1$, then $S' \cup \{u\}$ is a vertex cover of G of size at most k , since all edges that are in G but not in $G - N_G[v]$ are incident to v . □

Simplification rules for VERTEX COVER

(Large Degree)

If $\exists v \in V$ such that $d_G(v) > k$, then set $G \leftarrow G - v$ and $k \leftarrow k - 1$.

Simplification rules for VERTEX COVER

(Large Degree)

If $\exists v \in V$ such that $d_G(v) > k$, then set $G \leftarrow G - v$ and $k \leftarrow k - 1$.

Lemma 1

(Large Degree) is sound.

Proof.

Let S be a vertex cover of G of size at most k . If $v \notin S$, then $N_G(v) \subseteq S$, contradicting that $|S| \leq k$. □

Simplification rules for VERTEX COVER

(Number of Edges)

If $d_G(v) \leq k$ for each $v \in V$ and $|E| > k^2$ then return **No**

Simplification rules for VERTEX COVER

(Number of Edges)

If $d_G(v) \leq k$ for each $v \in V$ and $|E| > k^2$ then return **No**

Lemma 1

(Number of Edges) is sound.

Proof.

Assume $d_G(v) \leq k$ for each $v \in V$ and $|E| > k^2$.

Suppose $S \subseteq V$, $|S| \leq k$, is a vertex cover of G .

We have that S covers at most k^2 edges.

However, $|E| \geq k^2 + 1$.

Thus, S is not a vertex cover of G . □

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Preprocessing algorithm for VERTEX COVER

VC-preprocess

Input: A graph G and an integer k .

Output: A graph G' and an integer k' such that G has a vertex cover of size at most k if and only if G' has a vertex cover of size at most k' .

$G' \leftarrow G$

$k' \leftarrow k$

repeat

 | Execute simplification rules (Degree-0), (Degree-1), (Large Degree), and
 | (Number of Edges) for (G', k')

until *no simplification rule applies*

return (G', k')

Effectiveness of preprocessing algorithms

- How effective is VC-preprocess?
- We would like to study preprocessing algorithms mathematically and quantify their effectiveness.

- Say that a preprocessing algorithm for a problem Π is **nice** if it runs in polynomial time and for each instance for Π , it returns an instance for Π that is strictly smaller.

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- \rightarrow executing it a linear number of times reduces the instance to a single bit
- \rightarrow such an algorithm would solve Π in polynomial time
- For **NP**-hard problems this is not possible unless $P = NP$
- We need a different measure of effectiveness

Measuring the effectiveness of preprocessing algorithms

- We will measure the effectiveness in terms of the **parameter**
- How large is the resulting instance in terms of the parameter?

Lemma 2

For any instance (G, k) for VERTEX COVER, VC-preprocess produces an equivalent instance (G', k') of size $O(k^2)$.

Proof.

Since all simplification rules are sound, $(G = (V, E), k)$ and $(G' = (V', E'), k')$ are equivalent.

By (Number of Edges), $|E'| \leq (k')^2 \leq k^2$.

By (Degree-0) and (Degree-1), each vertex in V' has degree at least 2 in G' .

Since $\sum_{v \in V'} d_{G'}(v) = 2|E'| \leq 2k^2$, this implies that $|V'| \leq k^2$.

Thus, $|V'| + |E'| \subseteq O(k^2)$. □

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Definition 3

A **kernelization** for a parameterized problem Π is a **polynomial time** algorithm, which, for any instance I of Π with parameter k , produces an **equivalent** instance I' of Π with parameter k' such that $|I'| \leq f(k)$ and $k' \leq f(k)$ for a computable function f .

We refer to the function f as the **size** of the kernel.

Note: We do not formally require that $k' \leq k$, but this will be the case for many kernelizations.

VC-preprocess is a quadratic kernelization

Theorem 4

VC-preprocess is a $O(k^2)$ kernelization for VERTEX COVER.

Can we obtain a kernel with fewer vertices?

Exercise

A **dominating set** of a graph $G = (V, E)$ is a set of vertices $S \subseteq V$ such that $N_G[S] = V$.

DEGREE-5 DOMINATING SET

Input: A graph $G = (V, E)$ with maximum degree at most 5 and an integer k

Parameter: k

Question: Does G have a dominating set of size at most k ?

Design a linear kernel for DEGREE-5 DOMINATING SET.

Exercise

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Input: A graph $G = (V, E)$ with maximum degree at most 5 and an integer k

Parameter: k

Question: Does G have a dominating set of size at most k ?

Design a linear kernel for DEGREE-5 DOMINATING SET.

Hint: How many vertices can a **YES**-instance have at most, as a function of k ?

Simplification rule:

If $|V| > 6 \cdot k$, then return **No**.

Exercise

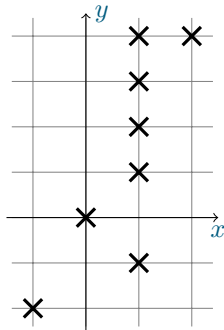
POINT LINE COVER

Input: A set of points P in the plane \mathbb{R}^2 , and an integer k .

Parameter: k .

Question: Is there a set L of at most k lines in \mathbb{R}^2 such that each point in P lies on at least one line in L ?

Example: $(P = \{(-1, -2), (0, 0), (1, -1), (1, 1), (1, 2), (1, 3), (1, 4), (2, 4)\}, k = 2)$ is a **YES**-instance since the lines $y = 1$ and $y = 2x$ cover all the points.



Show that POINT LINE COVER has a polynomial kernel.

Exercise

POINT LINE COVER

Input: A set of points P in the plane \mathbb{R}^2 , and an integer k .

Parameter: k .

Question: Is there a set L of at most k lines in \mathbb{R}^2 such that each point in P lies on at least one line in L ?

Show that POINT LINE COVER has a polynomial kernel.

Hints:

- (1) Show that the algorithm can restrict its attention to a polynomial number of *candidate lines* (aim for $O(|P|^2)$).
- (2) Design a simplification rule for the case where one candidate line covers many points in P .
- (3) Design a simplification rule that solves POINT LINE COVER when $|P|$ is large compared to t .

Exercise

A **cluster graph** is a graph where every connected component is a complete graph.

CLUSTER EDITING

Input: Graph $G = (V, E)$, integer k

Parameter: k

Question: Is it possible to edit (add or delete) at most k edges of G so that it becomes a cluster graph?



- 1 Show that G is a cluster graph iff G contains no induced P_3 (path with 3 vertices).
- 2 Design a kernel for CLUSTER EDITING with $O(k^2)$ vertices.

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A **cluster graph** is a graph where every connected component is a complete graph.

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- 2 Design a kernel for CLUSTER EDITING with $O(k^2)$ vertices.

Hints for 2: design simplification rules for (1) a vertex that does not occur in any P_3 , (2) an edge that occurs in many P_3 s, and (3) a non-edge that occurs in many P_3 s

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Integer Linear Program for VERTEX COVER

The VERTEX COVER problem can be written as an Integer Linear Program (ILP). For an instance $(G = (V, E), k)$ for VERTEX COVER with $V = \{v_1, \dots, v_n\}$, create a variable x_i for each vertex v_i , $1 \leq i \leq n$. Let $X = \{x_1, \dots, x_n\}$.

$$\text{ILP}_{\text{VC}}(G) = \begin{array}{ll} \text{Minimize } \sum_{i=1}^n x_i & \\ x_i + x_j \geq 1 & \text{for each } \{v_i, v_j\} \in E \\ x_i \in \{0, 1\} & \text{for each } i \in \{1, \dots, n\} \end{array}$$

Then, (G, k) is a YES-instance iff the objective value of $\text{ILP}_{\text{VC}}(G)$ is at most k .

LP relaxation for VERTEX COVER

$LP_{VC}(G) =$

$$\text{Minimize } \sum_{i=1}^n x_i$$

$$x_i + x_j \geq 1$$

$$x_i \geq 0$$

for each $\{v_i, v_j\} \in E$

for each $i \in \{1, \dots, n\}$

Note: the value of an optimal solution for the Linear Program $LP_{VC}(G)$ is at most the value of an optimal solution for $ILP_{VC}(G)$

Properties of LP optimal solution

- Let $\alpha : X \rightarrow \mathbb{R}_{\geq 0}$ be an optimal solution for $\text{LP}_{\text{VC}}(G)$. Let

$$V_- = \{v_i : \alpha(x_i) < 1/2\}$$

$$V_{1/2} = \{v_i : \alpha(x_i) = 1/2\}$$

$$V_+ = \{v_i : \alpha(x_i) > 1/2\}$$

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$$V_+ = \{v_i : \alpha(x_i) > 1/2\}$$

Lemma 5

For each $i, 1 \leq i \leq n$, we have that $\alpha(x_i) \leq 1$.

Lemma 6

V_- is an independent set.

Lemma 7

$N_G(V_-) = V_+$.

Properties of LP optimal solution II

Lemma 8

For each $S \subseteq V_+$ we have that $|S| \leq |N_G(S) \cap V_-|$.

Proof.

For the sake of contradiction, suppose there is a set $S \subseteq V_+$ such that $|S| > |N_G(S) \cap V_-|$.

Let $\epsilon = \min_{v_i \in S} \{\alpha(x_i) - 1/2\}$ and $\alpha' : X \rightarrow \mathbb{R}_{\geq 0}$ s.t.

$$\alpha'(x_i) = \begin{cases} \alpha(x_i) & \text{if } v_i \notin S \cup (N_G(S) \cap V_-) \\ \alpha(x_i) - \epsilon & \text{if } v_i \in S \\ \alpha(x_i) + \epsilon & \text{if } v_i \in N_G(S) \cap V_- \end{cases}$$

Note that α' is an improved solution for $\text{LP}_{\text{VC}}(G)$, contradicting that α is optimal. □

Properties of LP optimal solution III

Theorem 9 (Hall's marriage theorem)

A bipartite graph $G = (V \uplus U, E)$ has a matching saturating $S \subseteq V$

\Leftrightarrow

for every subset $W \subseteq S$ we have $|W| \leq |N_G(W)|$.¹

¹A **matching** M in a graph G is a set of edges such that no two edges in M have a common endpoint. A matching **saturates** a set of vertices S if each vertex in S is an end point of an edge in M .

Properties of LP optimal solution III

Theorem 9 (Hall's marriage theorem)

A bipartite graph $G = (V \uplus U, E)$ has a matching saturating $S \subseteq V$

\Leftrightarrow

for every subset $W \subseteq S$ we have $|W| \leq |N_G(W)|$.¹

Consider the bipartite graph $B = (V_- \uplus V_+, \{\{u, v\} \in E : u \in V_-, v \in V_+\})$.

Lemma 10

There exists a matching M in B of size $|V_+|$.

Proof.

The lemma follows from the previous lemma and Hall's marriage theorem. \square

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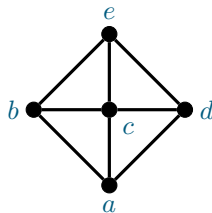
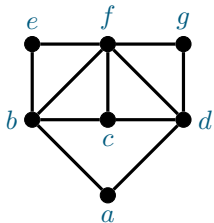
Definition 11 (Crown Decomposition)

A crown decomposition (C, H, B) of a graph $G = (V, E)$ is a partition of V into sets C, H , and B such that

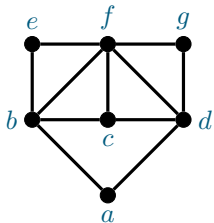
- the crown C is a non-empty independent set,
- the head $H = N_G(C)$,
- the body $B = V \setminus (C \cup H)$, and
- there is a matching of size $|H|$ in $G[H \cup C]$.

By the previous lemmas, we obtain a crown decomposition $(V_-, V_+, V_{1/2})$ of G if $V_- \neq \emptyset$.

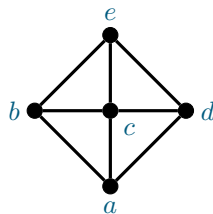
Crown Decomposition: Examples



Crown Decomposition: Examples



crown decomposition
 $(\{a, e, g\}, \{b, d, f\}, \{c\})$



has no crown decomposition

Lemma 12

Suppose that $G = (V, E)$ has a crown decomposition (C, H, B) . Then,

$$vc(G) \leq k \iff vc(G[B]) \leq k - |H|,$$

where $vc(G)$ denotes the size of the smallest vertex cover of G .

Using the crown decomposition

Lemma 12

Suppose that $G = (V, E)$ has a crown decomposition (C, H, B) . Then,

$$vc(G) \leq k \iff vc(G[B]) \leq k - |H|,$$

where $vc(G)$ denotes the size of the smallest vertex cover of G .

Proof.

(\Rightarrow): Let S be a vertex cover of G with $|S| \leq k$. Since S contains at least one vertex for each edge of a matching, $|S \cap (C \cup H)| \geq |H|$. Therefore, $S \cap B$ is a vertex cover for $G[B]$ of size at most $k - |H|$.

(\Leftarrow): Let S be a vertex cover of $G[B]$ with $|S| \leq k - |H|$. Then, $S \cup H$ is a vertex cover of G of size at most k , since each edge that is in G but not in G' is incident to a vertex in H . □

Corollary 13 ([Nemhauser, Trotter, 1974])

There exists a smallest vertex cover S of G such that $S \cap V_- = \emptyset$ and $V_+ \subseteq S$.

Crown reduction

(Crown Reduction)

If solving $\text{LP}_{VC}(G)$ gives an optimal solution with $V_- \neq \emptyset$, then return $(G - (V_- \cup V_+), k - |V_+|)$.

Crown reduction

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If solving $\text{LP}_{VC}(G)$ gives an optimal solution with $V_- \neq \emptyset$, then return $(G - (V_- \cup V_+), k - |V_+|)$.

(Number of Vertices)

If solving $\text{LP}_{VC}(G)$ gives an optimal solution with $V_- = \emptyset$ and $|V| > 2k$, then return **No**.

Crown reduction

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If solving $\text{LP}_{\text{VC}}(G)$ gives an optimal solution with $V_- \neq \emptyset$, then return $(G - (V_- \cup V_+), k - |V_+|)$.

(Number of Vertices)

If solving $\text{LP}_{\text{VC}}(G)$ gives an optimal solution with $V_- = \emptyset$ and $|V| > 2k$, then return **No**.

Lemma 14

(Crown Reduction) and (Number of Vertices) are sound.

Proof.

(Crown Reduction) is sound by previous Lemmas.

Let α be an optimal solution for $\text{LP}_{\text{VC}}(G)$ and suppose $V_- = \emptyset$. The value of this solution is at least $|V|/2$. Thus, the value of an optimal solution for $\text{ILP}_{\text{VC}}(G)$ is at least $|V|/2$. Since G has no vertex cover of size less than $|V|/2$, we have a **No**-instance if $k < |V|/2$. □

Theorem 15

VERTEX COVER has a kernel with $2k$ vertices and $O(k^2)$ edges.

This is the smallest known kernel for VERTEX COVER.

See <http://fpt.wikidot.com/fpt-races> for the current smallest kernels for various problems.

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Lemma 16 (Crown Lemma)

Let $G = (V, E)$ be a graph without isolated vertices and with $|V| \geq 3k + 1$. There is a polynomial time algorithm that either

- finds a matching of size $k + 1$ in G , or
- finds a crown decomposition of G .

Crown Lemma

Lemma 16 (Crown Lemma)

Let $G = (V, E)$ be a graph without isolated vertices and with $|V| \geq 3k + 1$. There is a polynomial time algorithm that either

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To prove the lemma, we need König's Theorem

Theorem 17 ([König, 1916])

In every bipartite graph the size of a maximum matching is equal to the size of a minimum vertex cover.

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Proof.

Compute a maximum matching M of G . If $|M| \geq k + 1$, we are done.



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Proof.

Compute a maximum matching M of G . If $|M| \geq k + 1$, we are done. Note that $I := V \setminus V(M)$ is an independent set with $\geq k + 1$ vertices.



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Consider the bipartite graph B formed by edges with one endpoint in $V(M)$ and the other in I .



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Compute a minimum vertex cover X and a maximum matching M' of B .



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We know: $|X| = |M'| \leq |M| \leq k$. Hence, $X \cap V(M) \neq \emptyset$.



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Compute a minimum vertex cover X and a maximum matching M' of B .

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Let $M^* = \{e \in M' : e \cap (X \cap V(M)) \neq \emptyset\}$.



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Compute a minimum vertex cover X and a maximum matching M' of B .

We know: $|X| = |M'| \leq |M| \leq k$. Hence, $X \cap V(M) \neq \emptyset$.

Let $M^* = \{e \in M' : e \cap (X \cap V(M)) \neq \emptyset\}$.

We obtain a crown decomposition with crown $C = V(M^*) \cap I$ and head $H = X \cap V(M) = X \cap V(M^*)$. □

Exercise

A k -coloring of a graph $G = (V, E)$ is a function $f : V \rightarrow \{1, 2, \dots, k\}$ such that $f(u) \neq f(v)$ if $uv \in E$.

SAVING COLORS

Input: Graph G , integer k

Parameter: k

Question: Does G have a $(n - k)$ -coloring?

Design a kernel for SAVING COLORS with $O(k)$ vertices.

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A k -coloring of a graph $G = (V, E)$ is a function $f : V \rightarrow \{1, 2, \dots, k\}$ such that $f(u) \neq f(v)$ if $uv \in E$.

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Question: Does G have a $(n - k)$ -coloring?

Design a kernel for SAVING COLORS with $O(k)$ vertices.

Hint: Get rid of vertices v with $N_G[v] = V$ and consider the dual of G , i.e., the graph $\overline{G} = (V, \{uv : u, v \in V \text{ and } uv \notin E\})$. Use the Crown Lemma with \overline{G} and $k - 1$.

Lemma 17 (Crown Lemma)

Let $G = (V, E)$ be a graph without isolated vertices and with $|V| \geq 3k + 1$. There is a polynomial time algorithm that either

- finds a matching of size $k + 1$ in G , or
- finds a crown decomposition of G .

Outline

- 1 Vertex Cover
 - Simplification rules
 - Preprocessing algorithm
- 2 Kernelization algorithms
- 3 A smaller kernel for VERTEX COVER
- 4 More on Crown Decompositions
- 5 Kernels and Fixed-parameter tractability
- 6 Further Reading

Theorem 18

Let Π be a decidable parameterized problem.

Π has a kernelization algorithm $\Leftrightarrow \Pi$ is FPT.

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Proof.

(\Rightarrow): An FPT algorithm is obtained by first running the kernelization, and then any brute-force algorithm on the resulting instance.

(\Leftarrow): Let A be an FPT algorithm for Π with running time $O(f(k)n^c)$.

If $f(k) < n$, then A has running time $O(n^{c+1})$. In this case, the kernelization algorithm runs A and returns a trivial YES- or NO-instance depending on the answer of A .

Otherwise, $f(k) \geq n$. In this case, the kernelization algorithm outputs the input instance. □

After computing a kernel ...

- ... we can use any algorithm to compute an actual solution.
- Brute-force, faster exponential-time algorithms, parameterized algorithms, often also approximation algorithms

- A parameterized problem may not have a kernelization algorithm
 - Example, COLORING² parameterized by k has no kernelization algorithm unless $P = NP$.
 - A kernelization would lead to a polynomial time algorithm for the NP-complete 3-COLORING problem
- Kernelization algorithms lead to FPT algorithms ...
- ... FPT algorithms lead to kernels

²Can one color the vertices of an input graph G with k colors such that no two adjacent vertices receive the same color?

Exercise

An **edge clique cover** of a graph G is a set of cliques in G so that each edge of G is contained in at least one of these cliques.

EDGE CLIQUE COVER

Input: graph G , integer k

Parameter: k

Question: Does G have an edge clique cover with k cliques?

Design a kernel for EDGE CLIQUE COVER with $O(2^k)$ vertices.

Exercise

An **edge clique cover** of a graph G is a set of cliques in G so that each edge of G is contained in at least one of these cliques.

EDGE CLIQUE COVER

Input: graph G , integer k

Parameter: k

Question: Does G have an edge clique cover with k cliques?

Design a kernel for EDGE CLIQUE COVER with $O(2^k)$ vertices.

Hint: consider 2 vertices that are contained in exactly the same cliques.

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