

Chapter 2¹⁰

Exponential Time Algorithms¹

These lecture notes were originally prepared for the AGAPE 2009 Spring School on Fixed Parameter and Exact Algorithms, May 25-29 2009, Lozari, Corsica (France).

This document attempts to survey techniques that appear in exact, exponential-time algorithmics using the taxonomy developed by Levitin. The purpose is to force the exposition to adopt an alternative perspective over previous surveys, and to form an opinion of the flexibility of the taxonomic framework of Levitin.²

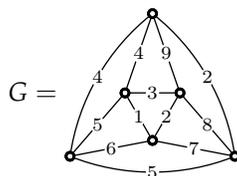
I have made no attempt to be comprehensive. A recent textbook by Fomin and Kratsch covers the material in much more depth.³

1 Brute force

A brute force algorithm simply evaluates the definition, typically leading to exponential running times.

Some representative problems

TSP. Our first example is the Traveling Salesman Problem. Given a weighted graph like



with n vertices $V = \{v_1, \dots, v_n\}$ (sometimes called “cities”) the *traveling salesman problem* is to find a shortest Hamiltonian path from the first to the last city, i.e., a path that starts at $s = v_1$, ends at $t = v_n$, includes every other vertex exactly once, and travels along edges whose total weight is minimal. Formally, we want to find

$$\min_{\pi} \sum_{i=1}^{n-1} w(\pi(i), \pi(i+1)),$$

¹ 2012-09-10, rev. 0223752

² Levitin, *Introduction to the Design & Analysis of Algorithms*, Addison-Wesley, 2003.

³ Fedor Fomin and Dieter Kratsch, *Exact Exponential Algorithms*, Springer, 2010.

where the sum is over all permutations π of $\{1, 2, \dots, n\}$ that fix 1 and n . When the weights are uniformly 1, the problem reduces to deciding if a Hamiltonian path at all.

This above expression can be evaluated within a polynomial factor of $n!$ operations. In fact, because of certain symmetries it suffices to examine $(n - 2)!$ permutations, and each of these requires take $O(n)$ products and sums. On the other hand, it's not trivial to iterate over precise these permutations in time $O((n - 2)!)$. We will normally want to avoid these considerations, since they only contribute a polynomial factor, and write somewhat imprecisely $O^*(n!)$, where $O^*(f(n))$ means $O(n^c f(n))$ for some constant c .

Independent set. An *independent set* in an n -vertex graph $G = (V, E)$ is a subset of vertices $U \subseteq V$ where no edge from E has both its endpoints in U . Such a set can be found by considering all subsets (and checking independence of each), in time $O^*(2^n)$.

Satisfiability. The *3-Satisfiability problem* is given by a Boolean formula ϕ on variables x_1, \dots, x_n is on 3-conjunctive normal form if it consists of a conjunction of m clauses, each of the form $(a \vee b \vee c)$, where each of the *literals* a, b, c is a single variable or the negation of a single variable. The satisfiability problem for this class of formulas is to decide if ϕ admits a satisfying assignment. This can be decided by considering all assignments, in time $O^*(2^n)$. (Note that m can be assumed to be polynomial in n , otherwise ϕ would include duplicate clauses.)

Counting perfect matchings. A *perfect matching* in a graph $G = (V, E)$ is an edge subset $M \subseteq E$ that includes every vertex as an endpoint exactly once; in other words

$$|M| = \frac{1}{2}|V| \quad \bigcup M = V.$$

In fact, famously, a matching can be found in polynomial time, so we are interested in the counting version of this problem: how many perfect matchings does G admit? From the definition, this still takes $O^*(2^m)$ time.

We will look at this problem for bipartite graphs as well as for general graphs.

THE PROBLEMS ABOVE ARE ALL DIFFICULT PROBLEMS, hard for complexity classes such as NP or #P, so we cannot expect to devise algorithms that run in polynomial time. Instead, we will improve the exponential running time. For example, for some problems we will find vertex-exponential time algorithms, i.e., algorithms with



Figure 1: A bipartite graph and 2 of its 3 perfect matchings.

running time $\exp(O(n))$ instead of $\exp(O(m))$ or $O^*(n!)$ $O^*(n^n)$. Other algorithms will improve the base of the exponent, for example from $O^*(2^n)$ to $O(1.732^n)$.

Generating permutations and combinations

It is not completely straightforward to iterate over all subsets, k -subsets or permutations of $[n] = \{1, \dots, n\}$. Knuth devotes over 300 pages to these questions.⁴

Subsets. If n is smaller than the number of bits in a machine word, we can use the simple correspondance between binary numbers and incidence vectors of subsets. The set $S \subseteq [n]$ then corresponds to the bit string with $b_i = [i \in S]$. We can then generate all subsets of $[n]$ using machine arithmetic, counting from 0 to 2^n . For larger n one needs to simulate the “binary counter” logic: starting from the right, find the first 0, flip it. If its left neighbour is a 1, proceed oing it and continue to the left.

Permutations. Let (a_1, \dots, a_n) be a permutation of $[n]$. Then the lexicographically next permutation is given by the following procedure:

1. find the largest index i such that $a_i < a_{i+1}$
2. switch a_i with the smallest value in (a_{i+1}, \dots, a_n) larger than a_i .
3. sort (a_{i+1}, \dots, a_n)

Combinations. Let (a_1, \dots, a_k) denote a k -subset of $[n]$ in sorted order. Starting with $(1, 2, \dots, k)$, and ending in $(n - k + 1, n - k + 2, \dots, n)$, the next k -subset is given by the following procedure:

1. find the largest index i such that $a_i \neq n - k + i$
2. increase a_i by 1
3. for $j = i + 1$ to k , set $a_j = a_i + j - i$

2 Greedy

A greedy algorithm does “the obvious thing” for a given ordering, the hard part is figuring out *which* ordering. A canonical example is interval scheduling.

In exponential time, we can consider *all* orderings. This leads to running times around $n!$ and is seldom better than brute force, so this class of algorithms does not seem to play a role in exponential time algorithmics. An important exception is given as an exercise.

⁴ Donald E. Knuth, *The Art of Computer Programming*, Vol. 4: Combinatorial Algorithms, sec. 7.2.1.1–7.2.1.4. Addison-Wesley, 2011.

3 Recursion

Recurrences express the solution to the problem in terms of solutions of subproblems. Recursive algorithms compute the solution by applying the recurrence until the problem instance is trivial.

Decrease and conquer

Decrease and conquer reduces the instance size by a constant, or a constant factor. Canonical examples include binary search in a sorted list, graph traversal, or Euclid's algorithm.

In exponential time, we produce several smaller instances (instead of just one), which we can use this to exhaust the search space. Maybe "exhaustive decrease and conquer" is a good name for this variant—this way, the technique becomes an umbrella of exhaustive search techniques such as branch-and-bound.

3-Satisfiability. An instance to 3-Satisfiability includes at least one clause with 3 literals. (Otherwise it's an instance of 2-Satisfiability, which can be solved in polynomial time.) Pick such a clause and construct three new instances:

$T\star\star$ set the first literal to true,

$FT\star$ set the first literal to false and the second to true,

FFT set the first two literals to false and the third to true,

These three possibilities are disjoint and exhaust the satisfying assignments. (In particular, FFF is not a satisfying assignment.)

Each of these assignments resolves the clause under consideration, and maybe more, so some cleanup is required. In any case, the number of free variables is decreased by at least 1, 2, or 3, respectively. We can recurse on the three resulting three instances, so the running time satisfies

$$T(n) = T(n - 1) + T(n - 2) + T(n - 3) + O(n + m).$$

The solution to this recurrence is $O(1.8393^n)$. (The analysis of this type of algorithm is one of the most actively researched topics in exact exponential-time algorithmics and very rich.)

Independent set. Let v be a vertex of with at least three neighbours. (If no such vertex exists, the independent set problem is easy.) Construct two new instances to independent set:

$G[V - v]$ the input graph with v removed. If $I \not\ni v$ is an independent set in G then it is also an independent set in $G[V - v]$.

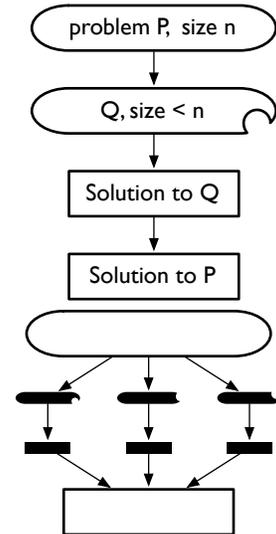


Figure 2: Decrease and conquer with one (left) and many (right) subproblems.

$G[V - N(v)]$ the input graph with v and its neighbours removed.

If $I \ni v$ is an independent set in G , then none of v 's neighbours belong to I , so that $I - \{v\}$ is an independent set in $G[V - N(v)]$.

These two possibilities are disjoint and exhaust the independent sets.

We recurse on the two resulting instances, so the running time is no worse than

$$T(n) = T(n - 1) + T(n - 4) + O(n + m).$$

The solution to this recurrence is $O(1.3803^n)$.

TSP. Galvanized by our successes we turn to TSP.

For each $T \subseteq V$ and $v \in T$, denote by $\text{OPT}(T, v)$ the minimum weight of a path from s to v that consists of exactly the vertices in T . To construct $\text{OPT}(T, v)$ for all $s \in T \subseteq V$ and all $v \in T$, the algorithm starts with $\text{OPT}(\{s\}, s) = 0$, and evaluates the recurrence

$$\text{OPT}(T, v) = \min_{u \in T \setminus \{v\}} \text{OPT}(T \setminus \{v\}, u) + w(u, v). \quad (1)$$

While this is correct, there is no improvement over brute force: the running time is given by

$$T(n) = n \cdot T(n - 1)$$

which solves to $O(n!)$. However, we will revisit this recurrence later.

Divide and conquer

The divide and conquer idea partitions the instance into two smaller instances of roughly half the original size and solves them recursively. Mergesort is a canonical example.

An essential question is *how* to partition the instance into smaller instances. In exponential time, we simply consider *all* such partitions. This leads to running times of the form

$$T(n) = 2^n n^{O(1)} T(\frac{1}{2}n),$$

which is $O(c^n)$, and the space is polynomial in n . Maybe “exponential divide and conquer” is a good name for this idea.

TSP. Let $\text{OPT}(U, s, t)$ denote the shortest path from s to t that uses exactly the vertices in U . Then we have the recurrence

$$\text{OPT}(U, s, t) = \min_{m, S, T} \text{OPT}(S, s, m) + \text{OPT}(T, m, t), \quad (2)$$

where the minimum is over all subsets $S, T \subseteq U$ and vertices $m \in U$ such that $s \in S, t \in T, S \cup T = U, S \cap T = \{m\}$, and $|S| = \lfloor \frac{1}{2}n \rfloor + 1, |T| = n - |S| + 1$.

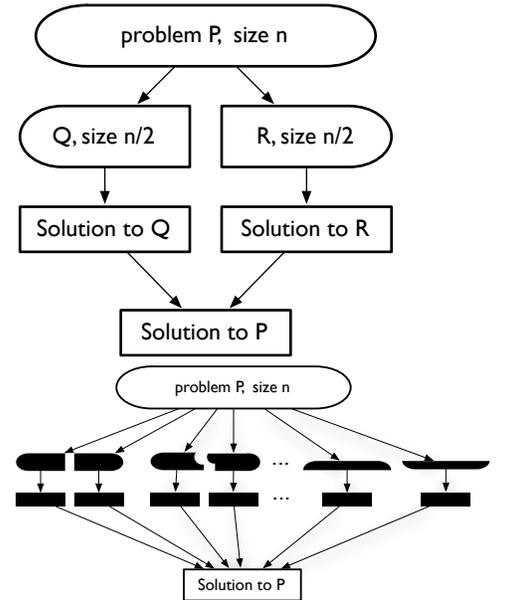


Figure 3: Divide and conquer with one division (top) and an exponential number of divisions (bottom).

The divide and conquer solution continues using this recurrence until the sets U become trivial. At each level of the recursion, the algorithm considers $(n-2) \binom{n-2}{\lceil (n-2)/2 \rceil}$ partitions and recurses on two instances with fewer than $\frac{1}{2}n + 1$ cities. Thus, the running time is

$$T(n) = (n-2) \cdot \binom{n-2}{\lceil (n-2)/2 \rceil} \cdot 2 \cdot T(n/2 + 1),$$

which solves to $O(4^n n^{\log n})$.

The space required on each recursion level to enumerate all partitionings is polynomial. Since the recursion depth is polynomial (in fact, logarithmic) in n , the algorithm uses polynomial space.

4 Transformation

Transformations compute a problem by computing a different problem in its stead. This can be called transform-and-conquer or reduction.

For exponential time algorithms, the reductions can involve the construction of an exponential number of instances (as in Moebius inversion), or be of exponential size (as in finding triangles).

Moebius inversion

See Thore Husfeldt, *Invitation to Algorithmic Uses of Inclusion–Exclusion*, 2011, arXiv:1105.2942.

Finding triangles

The number of triangles of undirected d -vertex graph T is given by

$$\frac{1}{6} \operatorname{tr} A^3,$$

where A denotes the adjacency matrix of T and tr , the *trace*, is the sum of the diagonal entries. To see this, observe that the i th diagonal entry counts the number of paths of length 3 from the i th vertex to itself, and each triangle contributes six-fold to such entries (once for every corner, and once for every direction).

To compute $A^3 = A \cdot A \cdot A$ we need two matrix multiplications, which takes time $O(d^\omega)$ for some $\omega < 3$, the best current bound is $\omega < 2.374$.

Independent set. We want to find an independent set of size k in $G = (V, E)$, and now we assume for simplicity that 3 divides k .

Construct $G' = (V', E')$, where each vertex $v \in V'$ corresponds to an independent set in G of size $\frac{1}{3}k$. Two vertices are joined by an

edge $uv \in E'$ if their corresponding sets form an independent set of size $\frac{2}{3}k$. The crucial feature is that a triangle in G' corresponds to an independent set of size k in G . The graph G' has $\binom{n}{k/3} \leq n^{k/3}$ vertices, so the whole algorithm takes time $O^*(n^{\omega k/3})$, rather than the obvious $\binom{n}{k}$.

Perfect matching The next example, for Perfect Matchings, is somewhat more intricate, and uses both transformations from this section.

We return to perfect matchings, but now in regular graphs. Let $G[n = r; m = k]$ denote the number of induced subgraphs of G with r vertices and k edges. For such a graph, the number of ways to pick $\frac{1}{2}n$ edges is $k^{n/2}$, so we can rewrite

$$f(V) = \sum_{Y \subseteq V} (-1)^{|V \setminus Y|} g(Y) = \sum_{k=1}^m \sum_{r=2}^n (-1)^r G[n = r; m = k] k^{n/2}.$$

Thus, we have reduced the problem to computing $G[n = r; m = k]$ for given r and k , and we'll now do this faster than in the obvious 2^n iterations.

We are tempted to do the following: Construct a graph T where every vertex corresponds to a subgraph of G induced by a vertex subset $U \subseteq V$ with $\frac{1}{3}r$ vertices and $\frac{1}{6}k$ edges. Two vertices in T are joined by an edge if there are $\frac{1}{6}k$ edges between their corresponding vertex subsets. Then we would like to argue that every triangle in T corresponds to an induced subgraph of G with r edges and k edges. This, of course, doesn't quite work because (1) the three vertex subsets might overlap and (2) the edges do not necessarily partition into such six equal-sized families. Once identified, these problems are easily addressed.

The construction is as follows. Partition the vertices of G into three sets V_0, V_1 , and V_2 of equal size, assuming 3 divides n for readability. Our plan is to build a large tripartite graph T whose vertices correspond to induced subgraphs of G that are entirely contained in one of the V_i .

Some notation: An induced subgraph of G has r_1 vertices in V_1 , k_1 edges with both endpoints in V_1 , and k_{12} edges between V_1 and V_2 . Define $r_2, r_3, k_2, k_3, k_{23}$, and k_{13} similarly. We will solve the problem of computing $G[n = r; m = k]$ separately for each choice of these parameters such that $r_1 + r_2 + r_3 = r$ and $k_1 + k_2 + k_3 + k_{12} + k_{23} + k_{13} = k$. We can crudely bound the number of such new problems by $n^3 + m^6$, i.e., a polynomial in the input size.

The tripartite graph T is now defined as follows: There is a vertex for every induced subgraph $G[U]$, provided that U is entirely contained in one of the V_i , and contains exactly r_i vertices and k_i edges. An edge joins the vertices corresponding to $U_i \subseteq V_i$ and

$U_j \subseteq V_j$ if $i \neq j$ and there are exactly k_{ij} edges between U_i and U_j in G . The graph T has at most $3 \cdot 2^{n/3}$ vertices and $3 \cdot 2^{2n/3}$ edges. Every triangle in T uniquely corresponds to an induced subgraph $G[U_1 \cup U_2 \cup U_3]$ in G with the parameters described in the previous paragraph.

The total running time is $O^*(n^{\omega k/3}) = (1.732^n)$.

5 Iterative improvement

Iterative improvement plays a vital role in efficient algorithms and includes important ideas such as the augmenting algorithms used to solve maximum flow and bipartite matching algorithms, the Simplex method, and local search heuristics. So far, very few of these ideas have been explored in exponential time algorithms. An important exception is a local search procedure for satisfiability.

Local search

We consider 3-Satisfiability. Start with a random assignment to the variables. If all clauses are satisfied, we're done. Otherwise, pick a falsified clause uniformly at random, pick one of its literals uniformly at random, and negate it. Repeat this local search step $3n$ times. After that, start over with a fresh random assignment. This process finds a satisfying assignment (if there is one) in time $O^*((\frac{4}{3})^n)$ with high probability.

The analysis considers the number d of differences between the current assignment A and a particular satisfying assignment A^* (the Hamming distance). In the local search steps, the probability that the distance is decreased by 1 is at least $\frac{1}{3}$ (namely, when we pick exactly the literal where A and A^* differ), and the probability that the distance is increased by 1 is at most $\frac{2}{3}$. So we can pessimistically estimate the probability $p(d)$ of reducing the distance to 0 when we start at distance d ($0 \leq d \leq n$) by standard methods from the analysis of random walks in probability theory to

$$p(d) = 2^{-d}.$$

(Under the rug one finds an argument that we can safely terminate this random walk after $3n$ steps without messing up the analysis too much.)

The probability that a 'fresh' random assignment has distance d to A^* is

$$\binom{n}{d} 2^{-n},$$

so the total probability that the algorithm reaches A^* from a random

assignment is at least

$$\sum_{d=0}^n \binom{n}{d} 2^{-n-d} = \frac{1}{2^n} \sum_{d=0}^n \binom{n}{d} 2^{-d} = \frac{1}{2^n} (1 + \frac{1}{2})^n = (\frac{3}{4})^n.$$

Especially, in expectation, we can repeat this proces and arrive at A^* or some other satisfying assignment after $(\frac{4}{3})^n$ trails.

6 Time–Space tradeoffs

Time–space tradeoffs avoid redundant computation, typically “re-computation,” by storing values in large tables. In particular, this includes dynamic programming.

Dynamic programming over the subsets

Dynamic programming consists of describing the problem (or a more general form of it) recursively in an expression that involves only few varying parameters, and then compute the answer for each possible value of these parameters, using a table to avoid redundant computation. A canonical example is Knapsack.

In exponential time, the dynamic programme can consider all subsets (of vertices, for example). This is, in fact, one of the earliest applications of dynamic programming, dating back to Bellman’s original work in the early 1960s.

TSP. We turn to the Traveling Salesman Problem and show how to solve it in $O(2^n n^2)$. We go back to the decrease and conquer recurrence

$$\text{OPT}(T, v) = \min_{u \in T \setminus \{v\}} \text{OPT}(T \setminus \{v\}, u) + w(u, v) .$$

The usual dynamic programming trick kicks in: The values $\text{OPT}(T, v)$ are stored a table when they are computed to avoid redundant re-computation, an idea sometimes called *memoisation*. The space and time requirements are within a polynomial factor of 2^n , the number of subsets $T \subseteq V$. Figure 4 shows the first few steps.

It is instructive to see what happens if we start with the divide and conquer recurrence instead:

$$\text{OPT}(U, s, t) = \min_{m, S, T} \text{OPT}(S, s, m) + \text{OPT}(T, m, t) ;$$

recall that S and T are a balanced vertex partition of U . We build a large table containing the value of $\text{OPT}(X, u, v)$ for all vertex subsets $X \subseteq V$ and all pairs of vertives u, v . This table has size $2^n n^2$, and the entry corresponding to a subset X of size k can be computed by

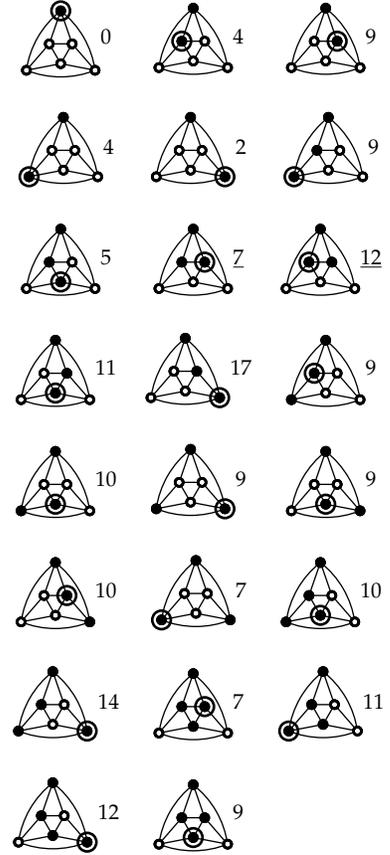


Figure 4: The first few steps of filling out a table for $\text{OPT}(T, v)$ for the example graph. The starting vertex s is at the top, v is circled, and T consists of the black vertices. At this stage, the values of $\text{OPT}(T, v)$ have been computed for all $|T| \leq 3$, and we just computed the value 9 at the bottom right by inspecting the two underlined cases. The “new” black vertex has been reached either via a weight 2 edge, for a total weight of $2 + 7$, or via a weight 1 edge for a total weight of $12 + 1$. The optimum value for this subproblem is 9.

accessing 2^k other table entries corresponding to smaller sets. Thus, the total running time is within a polynomial factor of

$$\sum_{k=0}^n \binom{n}{k} 2^k = (2+1)^n = 3^n.$$

We observe that the benefit from memoisation is smaller compared to the decrease and conquer recurrence, which spent more time in the recursion (“dividing”) and less time assembling solutions (“conquering”).

Dynamic programming over a tree decomposition

The second major application of dynamic programming is over the tree decomposition of a graph. See, e.g., chapter 11 in the textbook by Kleinberg and Tardos.

Meet in the middle

Consider again the Traveling Salesman Problem. If the input graph is 4-regular (i.e., every vertex has exactly 4 neighbours), it makes sense to enumerate the different Hamiltonian paths by making one of three choices at every vertex, for a total of at most $O^*(3^n)$ paths, instead of considering the $O^*(n!)$ different permutations. Of course, the dynamic programming solution is still faster, but we can do even better using a different time–space trade-off.

We turn again to the “divide and conquer” recurrence,

$$\text{OPT}(U, s, t) = \min_{m, S, T} \text{OPT}(S, s, m) + \text{OPT}(T, m, t).$$

This time we evaluate it by building a table for all choices of m and $T \ni t$ with $|T| = n - \lfloor \frac{1}{2}n \rfloor$. No recursion is involved, we brutally check all paths from m to t of length $|T|$, in time $O^*(3^{n/2})$. After this table is completed we iterate over all choices of $S \ni s$ with $|S| = \lfloor \frac{1}{2}n \rfloor + 1$ the same way, using $3^{n/2}$ iterations. For each S and m we check our dictionary for the entry corresponding to m and $V - S$.

It is instructive to compare this idea to the dynamic programming approach. There, we used the recurrence relation at every level. Here, we use it only at the top. In particular, the meet-in-the-middle idea is qualitatively different from the concept of using memoisation to save some overlapping recursive invocations.

7 Exercises

A graph can be *k-coloured* if each vertex can be coloured with one of k different colours such that no edge connects vertices of the same colour.

This set of exercises asks you do solve the k -colouring problem in various ways for a graph with n vertices and m edges

Exercise 1. Using brute force, in time $O^*(n^k)$.

Exercise 2. Using a greedy algorithm, in time $O^*(n!)$.

Exercise 3. Using decrease-and-conquer, in time in time $O^*((1 + \sqrt{5})/2)^{n+m}$. *Hint:* That's the solution to the "Fibonacci" recurrence $T(s) = T(s - 1) + T(s - 2)$.

Exercise 4. Using divide-and-conquer, in time $O^*(9^n)$.

Exercise 5. Using Moebius inversion, in time $O^*(3^n)$. *Hint:* $\sum_{i=0}^n \binom{n}{i} 2^i = (2 + 1)^n$.

Exercise 6. Using dynamic programming over the subsets, in time $O^*(3^n)$.

Exercise 7. Using Yates's algorithm and Moebius inversion, in time $O^*(2^n)$.

Exercise 8. Using a transformation to counting triangles, count the number of 2-colourings in time $O^*(2^{\omega n/3})$.