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# VII Selected Topics

- Matrix Operations
- Linear Programming
- Number Theoretic Algorithms
- Polynomials and the FFT
- Approximation Algorithms
- ...

## 31 Number-Theoretic Algorithms

- Now, a “large input” typically means an input containing “large integers” rather than an input containing “many integers”
- We measure the size of an input in terms of the number of bits required to represent that input, not just the number of integers in the input
- We consider the set  $\mathbb{Z} = \{\dots, -2, -1, 0, 1, 2, \dots\}$  of integers and the set  $\mathbb{N} = \{0, 1, 2, \dots\}$  of natural numbers

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## Divisibility and divisors

- The notation  $d \mid a$  (“ $d$  divides  $a$ ”) means that  $a = kd$  for some integer  $k$
- Every integer divides  $0$
- If  $a > 0$  and  $d \mid a$ , then  $|d| \leq |a|$
- If  $d \mid a$ , then  $a$  is a **multiple** of  $d$
- If  $d$  does not divide  $a$ , we write  $d \nmid a$
- If  $d \mid a$  and  $d \geq 0$ , we say that  $d$  is a **divisor** of  $a$
- $d \mid a$  if and only if  $-d \mid a$ , so that no generality is lost by defining the divisors to be nonnegative



## Prime and composite numbers

- An integer  $a > 1$  whose only divisors are the trivial divisors  $1$  and  $a$  is a **prime (number)**
- An integer  $a > 1$  that is not prime is a **composite (number)**
- The integer  $1$  a **unit**, and it is neither prime nor composite
- Similarly, the integer  $0$  and all negative integers are neither prime nor composite

2,3,5,7,11,13,17,19,23,29,31,37,41,43,47,53,59,61,67,71,...



## Fermat's two square theorem

- Odd primes can be arranged in two classes
  - Those that leave remainder 1 when divided by 4

$5, 13, 17, 29, 37, 41, \dots$

- and the primes which leave remainder 3

$3, 7, 11, 19, 23, 31, \dots$

- All primes in the 1st class, and none of the 2nd, can be expressed as a square of two integral squares

$$5 = 1^2 + 2^2, 13 = 2^2 + 3^2, 17 = 1^2 + 4^2, 29 = 2^2 + 5^2, \dots$$



## The division theorem, remainders, and modular equivalence

### Theorem 31.1 (Division theorem)

For any integer  $a$  and any positive integer  $n$ , there exist unique integers  $q$  and  $r$  s.t.  $0 \leq r < n$  and  $a = qn + r$

- The value  $q = \lfloor a/n \rfloor$  is the **quotient** of the division
- The value  $r = a \bmod n$  is the **remainder** (or **residue**) of the division
- We have that  $n \mid a$  if and only if  $a \bmod n = 0$



- We can partition the integers into  $n$  equivalence classes according to their remainders modulo  $n$
- The equivalence class modulo  $n$  containing an integer  $a$  is

$$[a]_n = \{a + kn : k \in \mathbb{Z}\}$$

- E.g.,  $[3]_7 = \{\dots, -11, -4, 3, 10, 17, \dots\}$
- We can also denote this set by  $[-4]_7$  and  $[10]_7$
- We can say that writing  $a \in [b]_n$  is the same as writing

$$a \equiv b \pmod{n}$$



## Common divisors and greatest common divisors

- If  $d$  is a divisor of  $a$  and  $d$  is also a divisor of  $b$ , then  $d$  is a common divisor of  $a$  and  $b$
- 1 is a common divisor of any two integers
- An important property of common divisors is that  $d \mid a$  and  $d \mid b$  implies  $d \mid (a + b)$  and  $d \mid (a - b)$
- More generally,  $d \mid a$  and  $d \mid b$  implies  $d \mid (ax + by)$  for any integers  $x$  and  $y$
- Also, if  $a \mid b$ , then either  $|a| \leq |b|$  or  $b = 0$ , which implies that  $a \mid b$  and  $b \mid a$  implies  $a = \pm b$



- The **greatest common divisor** (gcd) of two integers  $a$  and  $b$ , not both zero, is the largest of the common divisors of  $a$  and  $b$ ;  $\gcd(a, b)$
- $\gcd(24, 30) = 6$ ,  $\gcd(5, 7) = 1$ , and  $\gcd(0, 9) = 9$
- If  $a$  and  $b$  are both nonzero, then  $\gcd(a, b)$  is an integer between 1 and  $\min(|a|, |b|)$
- Define  $\gcd(0, 0) = 0$ 

$$\gcd(a, b) = \gcd(b, a)$$

$$\gcd(a, b) = \gcd(-a, b)$$

$$\gcd(a, b) = \gcd(|a|, |b|)$$

$$\gcd(a, 0) = |a|$$

$$\gcd(a, ka) = |a| \text{ for any } k \in \mathbb{Z}$$



**Theorem 31.2** *If  $a$  and  $b$  are any integers, not both zero, then  $\gcd(a, b)$  is the smallest positive element of the set  $\{ax + by : x, y \in \mathbb{Z}\}$  of linear combinations of  $a$  and  $b$ .*

**Corollary 31.3** *For any integers  $a$  and  $b$ , if  $d \mid a$  and  $d \mid b$ , then  $d \mid \gcd(a, b)$ .*

**Corollary 31.4** *For all integers  $a$  and  $b$  and any nonnegative integer  $n$ ,  $\gcd(an, bn) = n \gcd(a, b)$ .*

**Corollary 31.5** *For all positive integers  $n$ ,  $a$ , and  $b$ , if  $n \mid ab$  and  $\gcd(a, n) = 1$ , then  $n \mid b$ .*



## Relatively prime integers

- Two integers  $a$  and  $b$  are **relatively prime** if their only common divisor is 1;  $\gcd(a, b) = 1$
- E.g., 8 and 15 are relatively prime, but neither is a prime number *per se*
- If two integers are each relatively prime to  $p$ , then their product is relatively prime to  $p$

**Theorem 31.6** For any integers  $a, b$ , and  $p$ , if both  $\gcd(a, p) = 1$  and  $\gcd(b, p) = 1$ , then  $\gcd(ab, p) = 1$ .



**Proof** It follows from Theorem 31.2 that there exist integers  $x, y, x'$ , and  $y'$  s.t.

$$\begin{aligned} ax + py &= 1 \\ bx' + py' &= 1 \end{aligned}$$

Multiplying these equations and rearranging, we have

$$ab(xx') + p(ybx' + y'ax + pyy') = 1$$

Since 1 is thus a positive linear combination of  $ab$  and  $p$ , an appeal to Theorem 31.2 completes the proof. ■

- Integers  $n_1, n_2, \dots, n_k$  are pairwise relatively prime if, whenever  $i \neq j$ , we have  $\gcd(n_i, n_j) = 1$



## Unique factorization

**Theorem 31.7** For all primes  $p$  and all integers  $a$  and  $b$ , if  $p \mid ab$ , then  $p \mid a$  or  $p \mid b$  (or both).

**Theorem 31.8 (Unique factorization)** There is exactly one way to write any composite integer  $a$  as a product of the form  $a = p_1^{e_1} p_2^{e_2} \cdots p_r^{e_r}$ , where the  $p_i$  are prime,  $p_1 < p_2 < \cdots < p_r$ , and the  $e_i$  are positive integers.

- As an example, the number 6 000 is uniquely factored into primes as  $2^4 \cdot 3 \cdot 5^3$



## 31.2 Greatest common divisor

- Prime factorizations of positive integers  $a$  and  $b$

$$a = p_1^{e_1} p_2^{e_2} \cdots p_r^{e_r}$$

$$b = p_1^{f_1} p_2^{f_2} \cdots p_r^{f_r}$$

- with zero exponents being used to make the set of primes  $p_1, p_2, \dots, p_r$  the same for  $a$  and  $b$ , then,

$$\gcd(a, b) = p_1^{\min(e_1, f_1)} p_2^{\min(e_2, f_2)} \cdots p_r^{\min(e_r, f_r)}$$

- However, the best algorithms to date for factoring do not run in polynomial time



- Euclid's algorithm for computing greatest common divisors relies on the following theorem

**Theorem 31.9** (GCD recursion theorem)

For any integers  $a \geq 0$  and  $b > 0$ ,  
 $\text{gcd}(a, b) = \text{gcd}(b, a \bmod b)$ .

- The *Elements* of Euclid (circa 300 B.C.) describes the following gcd algorithm, it may be of even earlier origin



## Euclid's algorithm

EUCLID( $a, b$ )

1. **if**  $b = 0$
2.     **return**  $a$
3. **else return** EUCLID( $b, a \bmod b$ )

EUCLID(21,30) = EUCLID(30,21)  
 = EUCLID(21,9)  
 = EUCLID(9,3)  
 = EUCLID(3,0) = 3





## The running time of Euclid's algorithm

- We analyze the worst-case running time of EUCLID as a function of the size of  $a$  and  $b$
- Assume w.l.o.g. that  $a > b \geq 0$
- The overall running time of EUCLID is proportional to the number of recursive calls it makes
- Our analysis makes use of the Fibonacci numbers  $F_k$



**Lemma 31.10** *If  $a > b \geq 1$  and the call EUCLID( $a, b$ ) performs  $k \geq 1$  recursive calls, then  $a \geq F_{k+2}$  and  $b \geq F_{k+1}$ .*

**Proof** The proof proceeds by induction on  $k$ . For the basis of the induction, let  $k = 1$ . Then,  $b \geq 1 = F_2$ , and since  $a > b$ , we must have  $a \geq 2 = F_3$ . Since  $b > (a \bmod b)$ , in each recursive call the first argument is strictly larger than the second; the assumption that  $a > b$  therefore holds for each recursive call.



Assume inductively that the lemma holds if  $k - 1$  recursive calls are made; we then prove that the lemma holds for  $k$  recursive calls. Since  $k > 0$ , we have  $b > 0$ , and  $\text{EUCLID}(a, b)$  calls  $\text{EUCLID}(b, a \bmod b)$  recursively, which in turn makes  $k - 1$  recursive calls.

The inductive hypothesis then implies that  $b \geq F_{k+1}$  (thus proving part of the lemma), and  $a \bmod b \geq F_k$ .

We have

$$b + (a \bmod b) = b + (a - b\lfloor a/b \rfloor) \leq a,$$

since  $a > b > 0$  implies  $\lfloor a/b \rfloor \leq 1$ .

Thus,  $a \geq b + (a \bmod b) \geq F_{k+1} + F_k = F_{k+2}$ . ■



**Theorem 31.11** (Lamé's theorem) *For any integer  $k \geq 1$ , if  $a > b \geq 1$  and  $b < F_{k+1}$ , then the call  $\text{EUCLID}(a, b)$  makes fewer than  $k$  recursive calls.*

- Show (by induction on  $k$ ) that the upper bound of this theorem is the best possible because the call  $\text{EUCLID}(F_{k+1}, F_k)$  makes exactly  $k - 1$  recursive calls when  $k \geq 2$
- Since  $F_k \approx \phi^k / \sqrt{5}$ , where  $\phi^k$  is the golden ratio  $(1 + \sqrt{5})/2$ , the number of recursive calls in  $\text{EUCLID}$  is  $O(\lg b)$



## 31.6 Powers of an element

- Just as we often consider the multiples of a given element  $a$ , modulo  $n$ , we consider the sequence of powers of  $a$ , modulo  $n$ , where  $a \in \mathbb{Z}_n^*$ :  $a^0, a^1, a^2, a^3, \dots$  modulo  $n$
- Indexing from 0, the 0th value in this sequence is  $a^0 \bmod n = 1$ , and the  $i$ th value is  $a^i \bmod n$
- For example, the powers of 3 modulo 7 are

$i$	0	1	2	3	4	5	6	7	8	9	10	11	...
$3^i \bmod 7$	1	3	2	6	4	5	1	3	2	6	4	5	...



- Above  $\mathbb{Z}_n^*$  stands for a **multiplicative group modulo  $n$** :  $(\mathbb{Z}_n^*, \cdot_n)$
- The elements of this group are the set  $\mathbb{Z}_n^*$  of elements in  $\mathbb{Z}_n$  that are relatively prime to  $n$ :

$$\mathbb{Z}_n^* = \{[a]_n \in \mathbb{Z}_n : \gcd(a, n) = 1\}$$

- An example of such a group is

$$\mathbb{Z}_{15}^* = \{1, 2, 4, 7, 8, 11, 13, 14\}$$



- The powers of 2 modulo 7 are

$i$	0	1	2	3	4	5	6	7	8	9	10	11	...
$2^i \bmod 7$	1	2	4	1	2	4	1	2	4	1	2	4	...

- Let  $\langle a \rangle$  denote the subgroup of  $\mathbb{Z}_n^*$  generated by  $a$  by repeated multiplication, and let  $\text{ord}_n(a)$  (the “order of  $a$ , modulo  $n$ ”) denote the order of  $a$  in  $\mathbb{Z}_n^*$
- E.g.,  $\langle 2 \rangle = \{1, 2, 4\}$  in  $\mathbb{Z}_7^*$ , and  $\text{ord}_7(2) = 3$
- The size of  $\mathbb{Z}_n^*$  is denoted  $\phi(n)$
- This function is known as Euler’s phi function



- It satisfies the equation

$$\phi(n) = n \prod_{\substack{p:p \text{ is prime} \\ \text{and } p | n}} \left(1 - \frac{1}{p}\right)$$

so that  $p$  runs over all the primes dividing  $n$  (including  $n$  itself, if  $n$  is prime)

**Theorem 31.30** (Euler’s theorem)

For any integer  $n > 1$ ,

$$a^{\phi(n)} \equiv 1 \pmod{n} \quad \text{for all } a \in \mathbb{Z}_n^*.$$



### Theorem 31.31 (Fermat's little theorem)

If  $p$  is prime, then

$$a^{p-1} \equiv 1 \pmod{p} \text{ for all } a \in \mathbb{Z}_p^*.$$

- Fermat's little theorem applies to every element in  $\mathbb{Z}_p$  except 0, since  $0 \notin \mathbb{Z}_p^*$
- For all  $a \in \mathbb{Z}_p$ , however, we have  $a^p \equiv a \pmod{p}$  if  $p$  is prime
- E.g.,  $2^{7-1} = 2^6 = 64$  and  $64 \bmod 7 = 1$ , while  $2^{6-1} = 2^5 = 32$  and  $32 \bmod 6 = 2$ :  
hence 6 is not prime
- We showed that 6 is a composite number without factoring it!



- Fermat's little theorem, thus, (almost) gives a test for primality
- We say that  $p$  passes the Fermat test at  $a$ , if  $a^{p-1} \equiv 1 \pmod{p}$
- Call a number  $p$  **pseudoprime** if it passes Fermat tests for all smaller  $a$  relatively prime to it
- Only infrequent **Carmichael numbers** are pseudoprime without being prime
- If a number is not pseudoprime, it fails at least half of all Fermat tests
- We easily get a pseudoprimality algorithm with an exponentially small error probability



### PSEUDOPRIME( $p$ )

1. Select random  $a_1, \dots, a_k \in \mathbb{Z}_p^*$
2. Compute  $a_i^{p-1} \bmod p$  for each  $i$
3. If all values are 1 **accept**, otherwise **reject**

- If  $p$  isn't pseudoprime, it passes each randomly selected test with probability at most  $\frac{1}{2}$
- Probability that it passes all  $k$  tests is thus  $\leq 2^{-k}$
- The algorithm operates in polynomial time
- To convert this algorithm to a primality algorithm, we should still avoid the problem with the Carmichael numbers



- A number  $x$  is a **square root of 1**, modulo  $n$ , if it satisfies the equation  $x^2 \equiv 1 \pmod{n}$
- The number 1 has exactly two square roots, 1 and  $-1$ , modulo any prime  $p$
- For many composite numbers, including all the Carmichael numbers, 1 has 4 or more square roots
- E.g.,  $\pm 1$  and  $\pm 8$  are the 4 square roots of 1 mod 21
- We can obtain square roots of 1 if  $p$  passes the Fermat test at  $a$  because
  - $a^{p-1} \bmod p \equiv 1$  and so
  - $a^{(p-1)/2} \bmod p$  is a square root of 1
- We may repeatedly divide the exponent by two, so long as the resulting exponent remains an integer



- PRIME( $p$ )                      % **accept** = input  $p$  is prime
1. **if**  $p$  is even, **accept** if  $p = 2$ , otherwise **reject**
  2. Select random  $a_1, \dots, a_k \in \mathbb{Z}_p^*$
  3. **for each**  $i \in \{1, \dots, k\}$
  4.     Compute  $a^{p-1} \bmod p$ , **reject** if different from 1
  5.     Let  $p - 1 = st$  where  $s$  is odd and  $t = 2^h$  is a power of 2
  6.     Compute the sequence  $a^{s \cdot 2^0}, a^{s \cdot 2^1}, \dots, a^{s \cdot 2^h}$  modulo  $p$
  7.     **if** some element of this sequence is not 1, find the last element that is not 1 and **reject** if that element is not  $-1$
  8. All test have been passed, so **accept**



**Lemma**    *If  $p$  is an odd prime,*  
 $\Pr[\text{PRIME accepts } p] = 1.$

**Proof** If  $p$  is prime, no branch of the algorithm rejects: Rejection in line 4 means that  $(a^{p-1} \bmod p) \neq 1$  and Fermat's little theorem implies that  $p$  is composite.

If rejection happens in line 7, there exists some  $b \in \mathbb{Z}_p^*$  s.t.

$$b \not\equiv \pm 1 \pmod{p} \text{ and } b^2 \equiv 1 \pmod{p}.$$

Therefore  $b^2 - 1 \equiv 0 \pmod{p}$ .



Factoring yields

$$(b - 1)(b + 1) \equiv 0 \pmod{p},$$

which implies that  $(b - 1)(b + 1) = cp$  for some positive integer  $c$ .

Because  $b \not\equiv \pm 1 \pmod{p}$ , both  $b - 1$  and  $b + 1$  are in the interval  $]0, p[$ .

Therefore  $p$  is composite because a multiple of a prime number cannot be expressed as a product of numbers that are smaller than it is.  $\square$



- The next lemma shows that the algorithm identifies composite numbers with high probability
- An important elementary tool from number theory, *Chinese remainder theorem*, says that a one-to-one correspondence exists between  $\mathbb{Z}_{pq}$  and  $(\mathbb{Z}_p \times \mathbb{Z}_q)$  if  $p$  and  $q$  are relatively prime:
  - Each number  $r \in \mathbb{Z}_{pq}$  corresponds to a pair  $(a, b)$ , where  $a \in \mathbb{Z}_p$  and  $b \in \mathbb{Z}_q$  s.t.
    - $r \equiv a \pmod{p}$  and
    - $r \equiv b \pmod{q}$





**Lemma** If  $p$  is an odd composite number,  
 $\Pr[\text{PRIME accepts } p] \leq 2^{-k}$ .

**Proof** Omitted, takes advantage of the Chinese remainder thm.  $\square$

- Let  $\text{PRIMES} = \{n \mid n \text{ is a prime number in binary}\}$
- The preceding algorithm and its analysis establishes:  $\text{PRIMES} \in \text{BPP}$
- Note that the probabilistic primality algorithm has *one-sided error*. When it rejects, we know that the input must be composite. An error may only occur in accepting the input.



- Thus an incorrect answer can only occur when the input is a composite number
- For all primes we get the correct answer
- The one-sided error feature is common to many probabilistic algorithms, so the special complexity class  $\text{RP}$  is designated for it:

**Definition**  $\text{RP}$  is the class of languages that are recognized by probabilistic polynomial time Turing machines where inputs in the language are accepted with a probability of at least  $\frac{1}{2}$  and inputs not in the language are rejected with a probability of 1.

- Our algorithm shows that  $\text{COMPOSITES} \in \text{RP}$



## PRIMES $\in P$

- A generalization of Fermat's little theorem:

**Theorem A.** Let  $a$  and  $p$  be relatively prime and  $p > 1$ .  
 $p$  is a prime number if and only if

$$(X - a)^p \equiv X^p - a \pmod{p}$$

- $X$  is not important here, only the coefficients of the polynomial  $(X - a)^p - (X^p - a)$  are significant
- For  $0 < i < p$ , the coefficient of  $X^i$  is  $\binom{p}{i} a^{p-i}$
- Supposing that  $p$  is prime,  $\binom{p}{i} = 0 \pmod{p}$  and hence all the coefficients are zero



- Therefore, we are left with the first term  $X^p$  and the last one  $-a^p$ , which is  $-a$  modulo  $p$
- Unfortunately, deciding the primality of  $p$  based on this requires an exponential time
- Agrawal (1999): it suffices to examine the polynomial  $(X - a)^p$  modulo  $X^r - 1$
- If  $r$  is large enough, the only composite numbers that pass the test are powers of odd primes
- On the other hand,  $r$  should be quite small so that the complexity of the approach does not grow too much
- Kayal & Saxena (2000):  $r$  doesn't have to be larger than  $4(\log^2 p)$ , in which case the complexity of the test procedure is only of the order  $O(\log^3 n)$ ; i.e., belongs to  $P$
- The result is based on an unproven claim



- A pair of odd numbers is called *Sophie Germain primes* if both  $q$  and  $2q + 1$  are primes (related to Fermat's last theorem)
- Agrawal, Kayal & Saxena (2002): If one can find a pair of SG primes  $q$  and  $2q + 1$  s.t.  

$$q > 4(\sqrt{2q + 1}) \cdot \log p$$

then  $r$  does not need to be larger than

$$2(\sqrt{2q + 1}) \cdot \log p$$

- Unfortunately this test is recursive and has time requirement of  $O(\log^{12} n)$  instead of the  $O(\log^3 n)$  mentioned above



### DETERMINISTIC-PRIME( $p$ )

1. if  $p = ab$  for some  $b > 1$  then reject
2.  $r \leftarrow 2$
3. while  $r < p$  do
4.   if  $\gcd(p, r) \neq 1$  then reject
5.   if DETERMINISTIC-PRIME( $r$ ) then    %  $r > 2$
6.    Let  $q$  be the largest factor of  $r - 1$
7.    if  $q > 4\text{sqrt}(r) \cdot \log p$  and  $p^{(r-1)/q} \neq 1 \pmod{r}$  then break
8.     $r \leftarrow r + 1$
9. for  $a \leftarrow 1$  to  $2\text{sqrt}(r) \cdot \log p$  do
10.   if  $(x - a)^p \neq x^p - a \pmod{x^r - 1, p}$  then reject
11. accept the input;



- The test of line 1 removes the powers of odd primes as required by the test of Agrawal (1999)
- The loop in lines 3–8 searches a pair of Sophie Germain primes  $q$  and  $r$
- Line 4 tests for Theorem A that  $p$  and  $r$  are relatively prime
- The loop in line 9 examines primality using a variation of Theorem A (Agrawal, 1999) up to value  $2\sqrt{r} \log p$  (AKS, 2002)
- Because Theorem A holds if and only if  $p$  is prime, the decision of the algorithm is correct
- The other variations only affect the complexity of the algorithm, not its correctness



## 35 Approximation Algorithms

- Many problems of practical significance are NP-complete, yet too important to abandon
- We have ways to get around NP-completeness
  - 1) If the actual inputs are small, an algorithm with exponential running time may be satisfactory
  - 2) We may be able to isolate important special cases that we can solve in polynomial time
  - 3) We might come up with approaches to find near-optimal solutions in polynomial time. In practice, near-optimality is often good enough. Such an algorithm is called an **approximation algorithm**



## Performance ratios for approximation algorithms

- Let each potential solution have a positive cost; we wish to find a near-optimal solution
- The problem may be either a maximization or a minimization problem
- An algorithm has approximation ratio of  $\rho(n)$  if, for any input of size  $n$ , the cost  $C$  of the solution produced by the algorithm is within a factor of  $\rho(n)$  of the cost  $C^*$  of an optimal solution:

$$\max\left(\frac{C}{C^*}, \frac{C^*}{C}\right) \leq \rho(n)$$



- An algorithm that achieves an approximation ratio  $\rho(n)$ , is a  $\rho(n)$ -*approximation algorithm*
- The definitions apply to both minimization and maximization problems
- For a maximization problem,  $0 < C \leq C^*$ , and the ratio  $C^*/C$  gives the factor by which the cost of an optimal solution is larger than the cost of the approximate solution
- Similarly, for a minimization problem,  $0 < C^* \leq C$ , and the ratio  $C/C^*$  gives the factor by which the cost of the approximate solution is larger than the cost of an optimal solution



- We assume that all solutions have positive cost, these ratios are always well defined
- The approximation ratio of an approximation algorithm is never less than 1, since  $C/C^* \leq 1$  implies  $C^*/C \geq 1$
- A 1-approximation algorithm produces an optimal solution
- An approximation algorithm with a large approximation ratio may return a solution that is much worse than optimal



- An **approximation scheme** for an optimization problem is an approximation algorithm that takes as input not only an instance of the problem, but also a value  $\epsilon > 0$  such that for any fixed  $\epsilon$ , the scheme is a  $(1 + \epsilon)$ -approximation algorithm
- An approximation scheme is a polynomial-time approximation scheme if for any fixed  $\epsilon > 0$ , it runs in time polynomial in the size  $n$  of its input
- The running time of a poly-time approximation scheme can increase rapidly as  $\epsilon$  decreases
- E.g., the running time of a polynomial-time approximation scheme might be  $O(n^{n/2})$



- Ideally, if  $\epsilon$  decreases by a constant factor, the running time to achieve the desired approximation should not increase by more than a constant factor (though not necessarily the same constant factor by which  $\epsilon$  decreased)
- The running time of a **fully polynomial-time approximation scheme** is polynomial in both  $1/\epsilon$  and the size  $n$  of the input instance
- E.g., the running time might be  $O((1/\epsilon)^2 n^3)$
- With such a scheme, any constant-factor decrease in  $\epsilon$  comes with a corresponding constant-factor increase in the running time



## 35.1 The vertex-cover problem

- A **vertex cover** of an undirected graph  $G = (V, E)$  is a subset  $V' \subseteq V$  s.t. if  $(u, v)$  is an edge of  $G$ , then either  $u \in V'$  or  $v \in V'$  (or both)
- The size of a vertex cover is the number of vertices in it
- The **vertex-cover problem** is to find a vertex cover of minimum size in a given graph
- This problem is the optimization version of an NP-complete decision problem

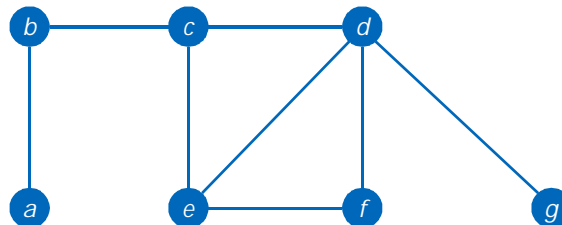


**APPROX-VERTEX-COVER( $G$ )**

1.  $C \leftarrow \emptyset$
2.  $E' \leftarrow G.E$
3. **while**  $E' \neq \emptyset$
4.   let  $(u, v)$  be an arbitrary edge of  $E'$
5.    $C \leftarrow C \cup \{u, v\}$
6.   remove from  $E'$  every edge incident on either  $u$  or  $v$
7. **return**  $C$

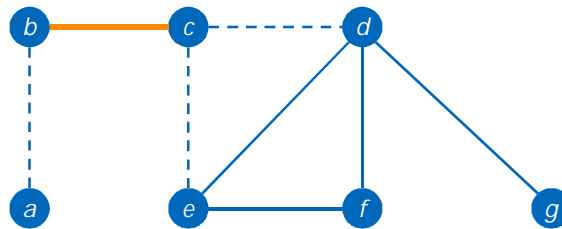


Selection of the first random edge:  $(b, c)$

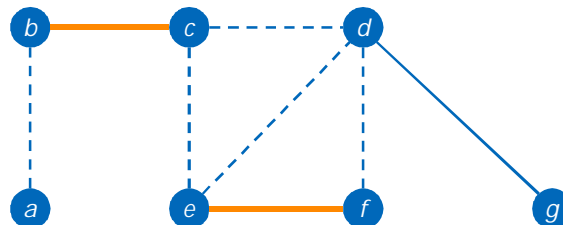




We remove other edges connected with nodes *b* and *c*



The next random choice : (*e, f*) and  
Removal of other edges connected with its nodes



The only remaining choice ( $d, g$ )

We end up with a cover of 6 nodes,  
while the optimal one has 3 nodes (e.g.,  $b, d, e$ )

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**Theorem 35.1** APPROX-VERTEX-COVER is polynomial time 2-approximation algorithm for vertex cover.

**Proof.** The time complexity of the algorithm, using adjacency list representation for the graph, is  $O(V + E)$ , and thus uses a polynomial time.

The set of nodes  $C$  returned by the algorithm obviously is a vertex cover for the edges of  $G$ , because nodes are inserted into  $C$  in the loop of row 3 until all edges have been covered.

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- Let  $A$  be the set of edges chosen by algorithm in row 4.
- In order to cover the edges of  $A$  any vertex cover — in particular also the optimal vertex cover  $C^*$  — has to contain at least one of the ends of each edge in  $A$ .
- Because the end points of the edges in  $A$  are distinct by the design of the algorithm,  $|A|$  is a lower bound for the size of any vertex cover.
- In particular,

$$|C^*| \geq |A|.$$



- Each execution of line 4 picks an edge for which neither of its endpoints is already in  $C$ , yielding an (exact) upper bound on the size of the vertex cover returned:

$$|C| = 2|A|$$

- Combining the above equations, we obtain

$$|C| = 2|A| \leq 2|C^*|$$

- thereby proving the theorem. ■

