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A New Satisfiability Algorithm With Applications To Max-Cut

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Abstract. We prove an upper bound of $m/5.217 + 3$ on the treewidth of a graph with m edges. Moreover, we can always find efficiently a set of no more than $m/5.217 + 1$ nodes whose removal yields a partial 2-tree. As an application, we immediately get simple algorithms for several problems, including MAX-CUT, MAX-2-SAT and MAX-2-XSAT. The resulting algorithms have running times of $O^*(2^{t/5.217})$, where t is the number of distinct clause types. In particular, this implies a record-breaking time complexity of $O^*(2^{m/5.217})$.

1 Introduction

We are currently experiencing a renaissance in the investigation of exponential-time algorithms. The first subsection will elaborate on this. One example of obvious importance is testing a boolean formula for satisfiability. Following a short review of earlier scholarship in this area, the contributions of the paper at hand will be highlighted.

1.1 Worst-case upper bounds for NP-hard problems

We believe that no polynomial time algorithms exist for NP-hard problems. Still, there is no doubt as to the practical relevance of many of them. For some of these problems, there are polynomial-time approximation algorithms that give solutions within a factor α, usually called the performance ratio, of the optimal solution. However, for problems that are MAX-SNP-hard [1, 29], it is known that the performance ratio of a polynomial-time algorithm cannot be better than some constant ζ, called the inapproximability ratio, unless P=NP. For example, the ratios known for MAX-2-SAT are $\alpha = 0.931$ [10] and $\zeta = 0.955$ [15].

Recently, there has been a wave of effort in proving exponential-time worst-case upper bounds for NP-hard problems — in particular for the exact solution of MAX-SNP-hard problems. One of the most intensely investigated problems in this area seems to be SAT, the problem of satisfiability of a propositional formula in conjunctive normal form — CNF. In the early 1980s, the trivial bound of $O^*(2^n)$ has been improved for formulæ in 3-CNF[1], where every clause contains at most three literals, by Monien and Speckenmeyer [27]. After that, improved upper bounds for k-SAT [8, 17, 23, 24, 30, 32], MAX-SAT [6, 3, 26, 28], MAX-2-SAT [3, 28], and other NP-hard problems could be obtained.

[1] The O^*-notation was introduced by Woeginger and suppresses all polynomial factors; e.g., $2^k n^5 = O^*(2^k)$.

1.2 Related work

Concerning the problems for formulæ in CNF, most authors consider bounds with respect to three parameters:

- the length l of the input formula (i.e., the number of literal occurrences),
- the number m of its clauses, and
- the number n of the variables occurring in it.

As of today, $O^*(2^{l/9.7})$ and $O^*(2^{m/3.23})$ are the best bounds for SAT [17]. In contrast, with respect to the number of variables, nothing better than the trivial bound of $O^*(2^n)$ is known. For the special case of 3-SAT, the bounds with respect to l and m are the same as for SAT, whereas a randomized algorithm [18] taking $O^*(1.324^n)$ steps and a deterministic one [8] running in $O^*(1.481^n)$ time are known.

The maximum satisfiability problem — Max-SAT— is an important generalization of SAT. Given a formula in CNF, it asks for the maximum number of simultaneously satisfiable clauses. The decision variant of this problem is complete for both NP and Max-SNP, even if each clause contains at most two literals — this restriction is called Max-2-SAT [29]. Max-SAT and Max-2-SAT are well-studied in the context of approximation algorithms [2, 7, 10, 15, 19, 37]. Recently, numerous results regarding worst-case time bounds for the exact solution of Max-SAT and Max-2-SAT have been published [3, 7, 14, 16, 26, 28, 12]. The best bounds that have been achieved for Max-SAT [3] are $O^*(2^{l/6.89})$ and $O^*(2^{m/2.36})$. For Max-2-SAT, the considerably better bounds of $O^*(2^{m/2.46})$, $O^*(2^{m/2.88})$ and $O^*(2^{m/3.44})$ [6, 28, 3] follow from Max-SAT algorithms. The best algorithm developed particularly for Max-2-SAT [12] has time complexity $O^*(2^{m/5})$, which implies $O^*(2^{l/10})$. With respect to the number of variables, the trivial $O^*(2^n)$ algorithm has not been improved until recently, when Williams came up with a new algorithm solving Max-2-SAT in $O^*(2^{\omega n/3})$ steps [36] for an $\omega < 2.379$. More precisely, $O^*(n^\omega)$ is the asymptotic running time of the best algorithm for matrix product over a ring. For Max-SAT, there is another relevant parameter, namely the number k of satisfiable clauses. An algorithm that is efficient with respect to k might be faster than one that is good with respect to m if k is much smaller than m [26, 22].

In general, a Max-SAT-instance is represented by a multiset rather than a set of clauses, since a clause may occur more than once. In order to account for this, we let m denote the number of clause occurrences — the total *weight*. Furthermore, we declare t to stand for the number of *clause types*. A *clause type* will be understood as a maximum distinct set of variables occuring together in at least one clause, disregarding negations. It is easy to see that t can be much smaller than m, even in formulæ that do not have multiple identical clauses.

1.3 Contributions of this paper

In this paper, we present a very simple algorithm for Max-2-SAT that has time complexity $O^*(2^{t/5})$, and thus $O^*(2^{m/5})$ just like the one by Gramm et al. [12]. Moreover, we analyze a slightly more complicated version of the algorithm, lowering the bound to $O^*(2^{t/5.217})$. The latter improves upon the best known upper bounds for solving Max-2-SAT [13], Max-2-XSAT [25] and Max-Cut [33].

Impressive as these new record bounds may seem, they are just the tip of the iceberg. In fact, they represent little more than mere by-products of a much more general technique. It relies on our main graph theoretical result, which states that the treewidth of a graph $G = (V, E)$ is bounded by $|E|/5.217 + 3$. Furthermore, a tree decomposition of this size can be obtained in polynomial time. The method that stems from this observation enables a narrowing of the search space for many important NP-hard problems. In particular, a simple application yields the above-mentioned record-breaking bounds.

2 Preliminaries

In this section we describe the notation we use for Max-Cut and satisfiability problems. Moreover, we recall the notion of treewidth.

2.1 Maximum satisfiability

Throughout this paper, we adhere to the notation for boolean formulæ used by Gramm et al. [12]. Let V be a set of boolean variables. A *literal* is either a variable or its negation. As usual, the negation of a variable x is denoted by $\bar{x}$, and whenever l denotes a negated variable $\bar{x}$, then $\bar{l}$ stands for the variable x.

Algorithms for finding the exact solution of Max-SAT are often designed for the unweighted Max-SAT problem. However, Max-SAT formulæ are generally represented by multisets, i.e., formulæ in CNF with positive integer weights. Thus, we consider the weighted Max-SAT problem with positive integer weights. A *(weighted) clause* is a pair (ω, S), where ω is a positive integer and S is a nonempty finite set of literals that does not contain any variable and its negation simultaneously. We call ω the *weight* of the clause.

An *assignment* is a finite set of literals that does not contain any variable together with its negation. Informally speaking, if an assignment A contains a literal l, then the literal l has the value *True* in A. In addition to usual clauses, we allow a special *true clause* $(\omega, \mathbf{T})$, also called a $\mathbf{T}$-*clause*, which is satisfied by every assignment.

The *length* of a clause (ω, S) is the cardinality of S, or 0 in the case of a $\mathbf{T}$-clause; a k-*clause* is a clause of length exactly k. In this paper, a *formula* — more precisely a *formula in (weighted) CNF* — is a finite set of weighted clauses (ω, S), with at most one clause for each S. A formula is in 2-*CNF* if it contains only 2-clauses, 1-clauses and possibly a $\mathbf{T}$-clause. The *length of a formula* is the sum of the lengths of all its clauses.

Pairs of the $(0, S)$ variety are *not* clauses; for simplicity, however, we assume $(0, S) \in F$ for all S and all F when defining the operators $+$ and $-$:

$$F + G = \big\{ (\omega_1 + \omega_2, S) \;\big|\; (\omega_1, S) \in F \text{ and } (\omega_2, S) \in G, \text{ and } \omega_1 + \omega_2 > 0 \big\},$$
$$F - G = \big\{ (\omega_1 - \omega_2, S) \;\big|\; (\omega_1, S) \in F \text{ and } (\omega_2, S) \in G, \text{ and } \omega_1 - \omega_2 > 0 \big\}.$$

Example 1. If

$$F = \{ \ (2, \mathbf{T}), \ (3, \{x, y\}), \ (4, \{\bar{x}, \bar{y}\}) \ \}$$

and

$$G = \{ \ (2, \{x, y\}), \ (4, \{\bar{x}, \bar{y}\}) \ \},$$

then

$$F - G = \{\ (2, \mathbf{T}),\ (1, \{x, y\})\ \}.$$

For a literal l and a formula F, the formula $F[l]$ is obtained by setting the value of l to *true*. More precisely, we define

$$\begin{aligned} F[l] = (\{\ (\omega, S) \mid (\omega, S) \in F \text{ and } l, \bar{l} \notin S\ \} + \\ \{\ (\omega, S \setminus \{\bar{l}\}) \mid (\omega, S) \in F \text{ and } S \neq \{\bar{l}\} \text{ and } \bar{l} \in S\ \} + \\ \{\ (\omega, \mathbf{T}) \mid \omega \text{ is the sum of the weights } \omega' \\ \text{of all clauses } (\omega', S) \text{ of } F \text{ such that } l \in S\ \}. \end{aligned}$$

Note that no $(\omega, \emptyset)$ or $(0, S)$ is included in $F[l]$, $F+G$ or $F-G$. For an assignment $A = \{l_1, \ldots, l_s\}$ and a formula F, we define $F[A] = F[l_1][l_2]\ldots[l_s]$. Evidently, $F[l][l'] = F[l'][l]$ for every pair of literals l, l' with $l \neq \bar{l}'$. In short, we write $F[l_1, \ldots, l_s]$ instead of $F[\{l_1, \ldots, l_s\}]$.

Example 2. If

$$F = \{\ (1, \mathbf{T}),\ (1, \{x, y\}),\ (5, \{\bar{y}\}),\ (2, \{\bar{x}, \bar{y}\}),\ (10, \{\bar{z}\}),\ (2, \{\bar{x}, z\})\ \},$$

then

$$F[x, \bar{z}] = \{\ (12, \mathbf{T}),\ (7, \{\bar{y}\})\ \}.$$

□

The *weight of satisfied clauses* for a formula F and an assignment A is defined as ω where $(\omega, \mathbf{T})$ is the **T**-*clause* in $F[A]$, or 0 if there is none such. As expected, the *maximum weight of satisfied clauses* for a formula F is $\mathit{OptVal}(F) = \max_A\{\, \omega \mid (\omega, \mathbf{T}) \in F[A]\, \}$, where A is taken over all possible assignments. An assignment A is *optimal* iff $F[A]$ only contains $(\omega, \mathbf{T})$ and $\omega = \mathit{OptVal}(F)$. Note that when $\omega = 0$, the simplified formula $F[A]$ does not contain any clause. We say that two formulæ F_1 and F_2 are *equivalent* if there is no assignment A such that the weight of satisfied clauses for F_1 and A differs from the one for F_2 and A.

2.2 Maximum cut

Let $G = (V, E)$ be an undirected graph. If $S \,\dot\cup\, T$ is a partition of V, we call the pair (S, T) a *cut*. The *size* of a cut (S, T) is the number of edges connecting S and T. The Max-Cut problem is to find a cut of maximal size. Its complexity is well investigated in terms of the number of edges m [9, 12, 14]; the best algorithm so far [33] has time complexity $O^*(2^{m/5})$.

It is well known that Max-Cut can be solved by transforming an instance of Max-Cut into a Max-2-SAT instance as follows: The set of variables corresponds to the set of vertices. For every edge $\{x, y\}$ in the graph we add the two clauses $\{x, y\}$ and $\{\bar{x}, \bar{y}\}$ to the formula. It is easy to see that the graph has a cut of size k iff $m + k$ clauses can be satisfied in the corresponding formula, where m is the number of edges. In this way, an $O^*(2^{\alpha m})$ step algorithm for Max-2-SAT can be employed to solve Max-Cut in $O^*(2^{2\alpha m})$ steps.

Recently, the problem Max-2-XSAT has been investigated. It is defined similar to Max-2-SAT, but a clause is only considered fulfilled by an assignment A if A satisfies *exactly one* of its literals. There is an algorithm that solves

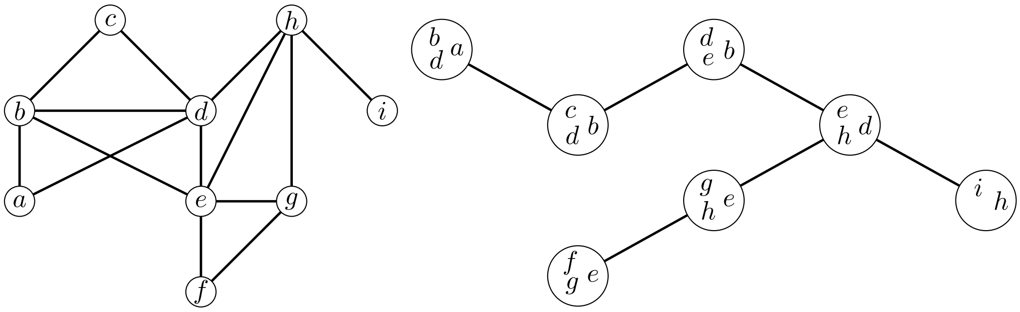

Fig. 1. A graph of treewidth four and an optimal tree decomposition.

MAX-2-XSAT in $O^*(2^{m/4})$ steps [25]. The connection between MAX-2-XSAT and MAX-CUT is even tighter than the one between MAX-2-SAT and MAX-CUT: The MAX-2-XSAT-formula containing the clause $\{x, y\}$ for each edge $\{x, y\}$ has m simultaneously satisfiable clauses iff there is a cut of size m in the given graph. It is thus only fair to say that MAX-CUT is a special case of the more general problem MAX-2-XSAT, where negative literals are allowed. Still, the algorithm for MAX-2-XSAT [25] only yields an $O^*(2^{m/4})$ algorithm for MAX-CUT, which is exactly the same time complexity achieved earlier by Fedin and Kulikov [9].

The results of this paper also imply a simpler algorithm for MAX-2-XSAT whose running time is $O^*(2^{m/5.217})$. This implies a runtime bound of $O^*(2^{m/5.217})$ for MAX-CUT. There is, however, another possibility to show the new bound for MAX-CUT in terms of an algorithm for MAX-2-SAT itself: We will show that the new MAX-2-SAT-algorithm has a running time of only $O^*(2^{t/5.217})$, where t is the number of clause types. Using the above reduction, a graph with m edges is transformed into a MAX-2-SAT-formula with $2m$ clauses, but only m *types* of clauses.

2.3 Treewidth

Treewidth measures how "treelike" a graph is. The notion of treewidth was introduced by Robertson and Seymour [31]. Bodlaender [4] and Kloks [20] give an introduction to this concept. Many graph problems that are hard in general can be solved efficiently, i.e., in polynomial and often linear time, for graphs of bounded treewidth. Well-known examples are HAMILTONIAN PATH, MAX-CUT, INDEPENDENT SET and VERTEX COVER [35]. Formally, we can define treewidth via tree decompositions:

A pair $\big(\{\, X_i \subseteq V \mid i \in I\}, T\big)$ is a *tree decomposition* of a graph $G = (V, E)$ if T is a tree with node set I, every edge $\{u, v\}$ is contained in some X_i (that is, $u, v \in X_i$), and $X_i \cap X_j \subseteq X_k$ for every k that lies on the path from i to j in T. The *width* of a tree decomposition $\big(\{\, X_i \mid i \in I\}, T\big)$ is $\max_{i \in I} |X_i| - 1$. The *treewidth* $tw(G)$ of G is the minimal width of all tree decompositions of G. Graphs of treewidth k are also called partial k-trees.

There is an immediate analogy to treewidth known as the *robber and cops game* [34]. In this game, a robber and some cops move between nodes of a graph according to simple rules. The robber may move along edges at any speed, whereas only one cop may slowly jump from his current location to any other node at a time. The game ends if the cops catch the robber. If and only if there exists a strategy for $k+1$ cops to catch a robber on a graph according to these simple rules, its treewidth is bounded by k.

We can derive all the main results in this paper without resorting to treewidth at all. It is, however, used as a main ingredient indirectly. Our algorithms can be seen as finding a tree decomposition of width $m/5+2$ for a graph with m edges. Unfortunately, there do not seem to exist many results that relate the number of edges of a graph to its treewidth. The only result known to us shows that *most* sparse graphs have large treewidth [21]. In particular, there are graphs with $m = \Theta(n)$ and $tw(G) = \Theta(m)$.

Is there a better upper bound on the treewidth than $m/5+2$? Note how improving the bound of $m/5+2$ (including a polynomial algorithm to find a tree or path decomposition) improves the running time of our first Max-2-SAT algorithm without further ado. On the other hand, we are looking for a family $\mathcal{G}$ of graphs, such that $tw(G) > \alpha m$ for all $G \in \mathcal{G}$ and an α as large as possible. Results in this vein should enable a clearer sight on the tightness of our upper bounds.

2.4 Formulæ and graphs

Let F be a formula in 2-CNF whose set of variables will be called V. The corresponding *connectivity graph* is $G_F = (V, E)$ where

$$E = \big\{ \{x, y\} \mid \text{the distinct variables } x \text{ and } y \text{ occur together in a clause} \big\},$$

representing the way variables interact in a formula. Notice that it does not make a difference in how many clauses a pair of variables occurs, or whether a variable is negated or not. For instance, the two graphs $G_{F[x]}$ and $G_{F[\bar{x}]}$ are identical. As a consequence, the formula F cannot be reconstructed from G_F.

Still, we can read a lot of information off G_F. An edge between x and y represents a direct dependency between x and y. On the other hand, x is isolated in G_F iff it only occurs in 1-clauses. Similarly, if x has degree one in G_F, it lends itself to simplification by what we will later call the companion rule.

3 An algorithm with only one reduction rule

In what follows, we prove our foundational result: a graph with m edges has treewidth at most $m/5+2$, and we can quickly find a set of no more than $m/5$ nodes whose removal leaves a very simply structured graph, namely a special case of a partial 2-tree. As an application of this technique we can solve several optimization problems efficiently. These problems need to be expressable in graph terms as follows: There is a graph $G = (V, E)$ for every instance, and given a node v in the graph, we can reduce the instance to a smaller one whose graph is $G[V \setminus \{v\}]$. Moreover, the problem must be easy to solve when the corresponding graphs are partial 2-trees. Finally, reduction steps on nodes of degree two or more may be *expensive*, whereas nodes of degree one have to be *easy* to deal with in the problem context.

Then, the algorithm derived from our graph-theoretical result takes at most $m/5$ expensive operations to reduce any input instance with m egdes to one whose graph is a special case of a partial 2-tree. Many problems have these properties, where the expensive operations usually originate from case distinctions that lead to branching in the recursion tree. Consider MAX-CUT as an example: Vertices of degree one can be deleted, since they will increase the overall size of a maximum cut by one in any case, whereas nodes of higher degree require branching.

The algorithm presented in this section is rather simple and broadly applicable. An even simpler algorithm will emerge in the next section; however, it will have the additional requirement that nodes of degree two are easy to deal with as well. Hence, if this condition does not hold for a problem, we have to stick to the more general algorithm from this section; otherwise, the simpler algorithm from the next section is preferable.

The special rôle of degree-one nodes in the first algorithm is reflected in the following definition:

Definition 1. *Let $G = (V, E)$ be a graph. Then $R(G)$ is the graph obtained by deleting vertices v with $\deg(v) = 1$ repeatedly until there are no such vertices left.*

Observe that $R(G)$ is well-defined, since it does not make any difference in what order nodes are chosen for deletion. What is more, the following lemma shows that even when we delete arbitrary nodes between reductions, the order is irrelevant. This property greatly simplifies algorithmic application of the rule. From now on, we shorten $G[V \setminus \{v\}]$ to $G - v$ as well as $G[V \setminus D]$ to $G - D$.

Lemma 1. *Let $G = (V, E)$ be a graph and $D = \{v_1, \ldots, v_k\}$ a set of vertices from V. Then,*

$$R(G - D) = R(R(\ldots(R(R(G - v_1) - v_2) - v_3) \cdots - v_{k-1}) - v_k).$$

Proof. Let $V_1 = V \setminus D$ and V_2 the vertices from $R(\ldots(R(R(G - v_1) - v_2) - v_3) \cdots - v_{k-1}) - v_k$, that is, the sets of nodes on the left and right hand side of the equation before the final R-reduction is applied. Note that to show the claim, it suffices to look at the sets of nodes, because edges are only removed upon deletion of incident nodes. Moreover, the R-operation can only decrease degrees in the graph. That is why, before the final R-operation, $V_1 \supseteq V_2$. This implies one direction of the set equality.

We show the other inclusion by contradiction. Call v the first node that is removed on the right hand side but remains on the left. Clearly, $v \notin D$, and v has been deleted because of the reduction rule. As all its predecessors have been removed in $R(G - D)$, too, v will be deleted by the R-operation on the left hand side as well. □

In all interesting cases, R-reducing a graph does not affect its treewidth:

Lemma 2. *Let G be a graph containing a cycle. Then $tw(G) = tw(R(G))$.*

Proof. Let S be a strategy to catch a robber on $R(G)$. Note that only dead ends are removed by the reduction rule. A combination of different dead ends results in a tree. Therefore, the only difference between G and $R(G)$ are trees attached to nodes in G. If the robber is locked in a part of $R(G)$ by S, the attached trees in G do not change this. The only advantage the robber can gain from such trees is the possibility to hide in them, that is, in a tree attached to some node v guarded by a cop. Hence, in order to adapt S to G, we only need to catch the robber in such a tree if he really retreats to it. This is easily done by two cops. □

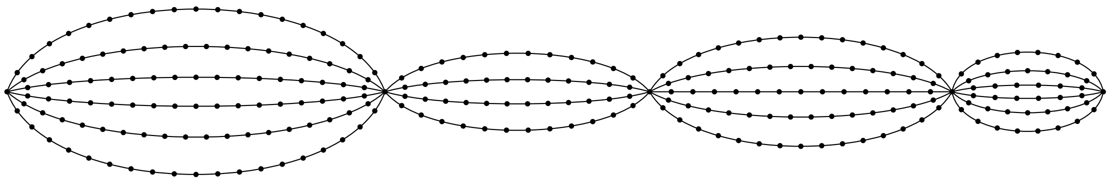

Fig. 2. A (non-cyclic) hot dog graph.

Having investigated the properties of our only reduction rule, we turn our attention to the simple family of hot dog graphs. Surprisingly, any graph can be turned into a hot dog graph by deleting a small set of nodes and applying the R-reduction.

Definition 2. *A path of length at least one between two possibly identical nodes s and t in a graph G is called a* leg *if all its nodes other than s and t have degree two in G. A* hot dog graph *consists of nodes $v_1, \ldots, v_k$ such that v_i and v_{i+1} are connected by arbitrarily many legs. Additionally, v_k and v_1 may be connected in this fashion as well.*

Definition 3. *Let $G = (V, E)$ be a graph whose nodes have degree at least two. A* 4-spider *is a subgraph that consists of a* head *$h \in V$ with degree four, three or four distinct* feet *$u_1, \ldots, u_l \in V \setminus \{h\}$ of degree at least three, and four disjoint legs connecting head and feet.*

A 3-spider *is defined similarly for a head of degree three and exactly three distinct feet connected to it via three legs. In any case, the* body *of a spider consists of all its nodes except the feet.*

The nice thing about spiders is that their bodies can be removed from a graph quite easily: First remove the head, which is a node with relatively high degree, and then remove the remainder of the body by consecutively removing nodes of degree one.

It is interesting to note that hot dog graphs cannot contain spiders. The following lemma shows that the converse is also true in a fairly general setting. This enables us to turn any graph into a hot dog graph using relatively cheap operations.

Lemma 3. *Let $G = (V, E)$ be a connected graph whose nodes have degree between two and four. G is a hot dog graph iff it does not contain a 3- or 4-spider.*

Proof. It is obvious that a hot dog graph cannot contain spiders. On the other hand, let G be a graph as postulated in the premise that does not contain a spider. Let H be the set of nodes that do not have exactly two neighbors. Observe that every $v \in H$ may be connected to at most two more nodes from H via legs, because otherwise v_i would be the head of a spider. Thus, we can arrange the nodes from H in a linear or cyclical fashion as in the definition of a hot dog graph. $\square$

Interestingly, if a node v has been the head of a spider in G, it keeps this rôle in the contracted graph. In what follows, we want to estimate the spider bodycount required to carve out a hot dog graph. In effect, we need to look

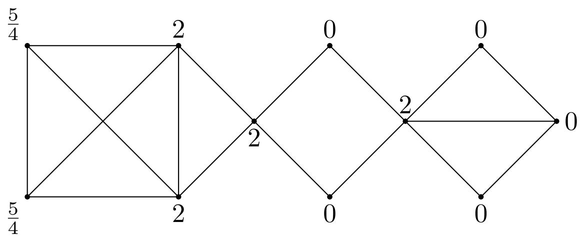

Fig. 3. A graph and the potential of its nodes: $\Psi(G) = 10.5$ and $|E| = 17$.

for the number of edges that have to be removed. As it turns out, this feat is substantially eased if we analyze in terms of a potential function of nodes instead.

Definition 4. *Let $G = (V, E)$ be a graph, $v \in V$, and*

$$\deg_3(v) = \big|\{u \in V \mid \textit{ there is a leg connecting } u \textit{ and } v, \textit{ and } \deg(u) \geq 3\}\big|.$$

We define the potential functions $\psi\colon V \to \mathbf{N}$ and $\Psi\colon \mathcal{G} \to \mathbf{N}$ as follows:

$$\psi(v) = \begin{cases} 0 & \textit{if } \deg(v) \leq 2 \\ 0 & \textit{if } \deg(v) = 3 \textit{ and } \deg_3(v) = 1 \\ 5/4 & \textit{if } \deg(v) = 3 \textit{ and } \deg_3(v) > 1 \\ 2 & \textit{if } \deg(v) \geq 4 \end{cases}$$

We extend the definition to graphs via

$$\Psi(G) = \sum_{v \in V} \psi(v).$$

Lemma 4. *Let $G = (V, E)$ be a graph. Then $\Psi(G) \leq |E|$.*

Proof.

$$|E| = \frac{1}{2} \sum_{v \in V} \deg(v) = \frac{1}{2} \sum_{i=1}^{|V|-1} \sum_{\substack{v \in V \\ \deg(v)=i}} i \geq \sum_{\substack{v \in V \\ \deg(v)=3}} \frac{5}{4} + \sum_{\substack{v \in V \\ \deg(v) \geq 4}} 2 \geq \Psi(G).$$

□

Lemma 5. *Let $G = (V, E)$ be a graph whose nodes have degree between two and four. If G contains a 4-spider with head h, then*

$$\Psi(R(G - h)) \leq \Psi(G) - 5.$$

Proof. Let S be a 4-spider with head h. We have to distinguish several cases.

In the first case, S has four different feet $u_1, \ldots, u_4$ with $3 \leq \deg(u_i) \leq 4$. Removing h and all nodes of degree one consecutively has the following effect: Because h is erased, the potential decreases by 2. As a consequence, the degree of each foot is lowered by one. This means that the potential decreases by $2 - 5/4 = 3/4$ or $5/4 - 0 = 5/4$ per foot. The total loss of potential thus amounts to at least $2 + 4(3/4) = 5$.

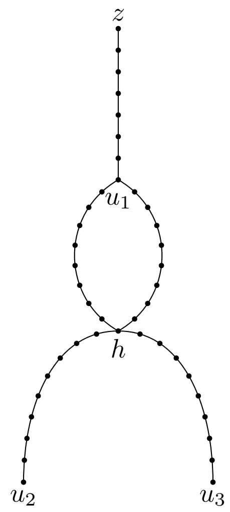

Fig. 4. A 4-spider with only three feet. Removing the spider and consequently erasing all nodes of degree one also decreases the potential of z by at least $3/4$ if $\deg(u_1) = 3$.

In the second case, there are only three feet $u_1, \ldots, u_3$, and the situation is slightly more complicated. W.l.o.g. two paths are leading to u_1 and one path each to u_2 and u_3. If $\deg(u_1) = 4$, removing the body of S does the following: The potential of u_1 is lowered by 2, the potential of h decreased by 2 as well, and the potentials of u_2 and u_3 shrink by $2 - 5/4 = 3/4$ or $5/4 - 0 = 5/4$ each. Altogether, these values sum up to a loss of potential greater than 5.

Otherwise, if $\deg(u_1) = 3$, only one other leg starts from u_1. Let z denote the node this leg ends in. Note that z and h have to be different, since otherwise S would not be a spider at all: There would be three paths to u_1, but only two feet. See Figure 4 for an illustration.

If z, u_2, u_3 are all different, the potential of h decreases by 2, the potential of u_1 by $5/4$, and the potentials of z, u_2, and u_3 by at least $3/4$ each, which is again more than 5 in total. If z, u_2, u_3 are not all different, say $z = u_3 \neq u_2$, then the potential of h is lowered by 2, the potential of u_1 by $5/4$, the potential of $z = u_3$ by at least $5/4$, and the potential of u_2 by at least $3/4$, which is more than 5 altogether. □

Lemma 6. *Let $G = (V, E)$ be a connected graph whose nodes have degree between two and four. If G does not contain any 4-spider, but a 3-spider with head h, then $\Psi(R(G - h)) \leq \Psi(G) - 5$.*

Proof. Let h be the head of a 3-spider with feet u_1, u_2, u_3. Removing this spider causes the potential to decrease by at least 5, since $\psi(h) = 5/4$, and we lose at least $5/4$ on each foot, too. To see this, distinguish the following two cases: Either, $\deg(u_i) = 3$ — this leads to a decrease in potential of exactly $5/4$ — or, $\deg(u_i) = 4$ for some i. In the latter case, observe that there is exactly one leg between u_i and h, as u_i is a foot of the 3-spider with head h. Since u_i cannot be the head of a 4-spider, the three other legs starting in u_i end in the same node z. Then, however, we have that $\psi(u_i) = 0$ in $R(G - h)$ due to the definition of ψ and $\deg_3$. □

Let us now begin putting the pieces together.

Theorem 1. *Let $G = (V, E)$ be a graph. There is a set $D \subseteq V$ such that $R(G - D)$ is a hot dog graph and $|D| \leq |E|/5$.*

Proof. We construct a set of nodes D such that $R(G - D)$ is a hot dog graph. As long as G contains a node v with degree at least five, remove v from G and set $D := D \cup \{v\}$. Now delete the bodies of all 4-spiders from G, and then do the same for 3-spiders. Add the heads of all these spiders to D. Note that removing a spider's body is the same as removing its head and applying the reduction rule R afterwards.

We obtain a set D such that $R(G - D)$ is a hot dog graph. Using Lemmata 4, 5, and 6, it is easy to see that $|D| \leq m/5$. □

Theorem 2. *The treewidth of a graph $G = (V, E)$ is at most $|E|/5 + 2$.*

Proof. Let D the set given by Theorem 1. By Lemma 2, R-reducing $G - D$ leaves its treewidth intact, provided that it contains a cycle. Hence, the treewidth of $G - D$ is not higher than that of a hot dog graph. It is easy to see that hot dog graphs constitute a special case of series-parallel graphs, which have treewidth at most two [5, p. 174]. Otherwise, $G - D$ is but a forest. Altogether, we have that $tw(G) \leq |D| + 2 = |E|/5 + 2$. □

Having thus achieved our graph theoretic main result, we continue with an application to Max-2-SAT. The interpretation of the above result in the context of connectivity graphs immediately yields the following corollary:

Corollary 1. *Let F be a 2-SAT-formula with t clause types. Then we can find a set of variables $z_1, \ldots, z_r$, $r \leq t/5$ in polynomial time such that: If A is an assignment to $z_1, \ldots, z_r$, then the reduced connectivity graph $R(G_{F[A]})$ is a hot dog graph.*

Henceforth, when discussing connectivity graphs for formulæ, we do not distinguish between nodes and the variables they represent, that is we use the same names for both.

Lemma 7. *Let F be a 2-SAT-formula such that G_F is a hot dog graph. The maximum number of satisfiable clauses can be determined in polynomial time.*

Proof. Let $x_1, \ldots, x_k$ be the nodes of degree at least three, and let C_i denote the set of clauses containing a variable that lies on a path between two vertices in $\{x_1, \ldots, x_i\}$. Define c_i^0 as the maximum number of satisfied clauses in C_i when x_i is set to 0 (c_i^1 analogous). Clearly, $max(c_k^0, c_k^1)$ is the solution to the Max-2-SAT problem on F.

Both c_1^0 and c_1^1 are easy to calculate. We show how c_{i+1}^0 can be computed from c_i^0 and c_i^1 in polynomial time. Consider for instance the case where $x_i = x_{i+1} = 0$. For every leg between x_i and x_{i+1}, we compute the optimum assignment to the variables on this leg. This can be done in polynomial time using dynamic programming, because every such node has at most two neighbors. Adding up the values for every leg, we obtain the maximum number of satisfied clauses for $x_i = x_{i+1} = 0$. Repeating this procedure for $x_i = 1$ immediately yields c_{i+1}^0. □

Definition 5. *Let F be a 2-SAT-formula. We call the variable x a* companion *(*of *y) if there is a unique variable $y \neq x$ that occurs together with x in a clause.*

In terms of the respective connectivity graph G_F, the variable x is a companion if and only if the degree of x in G_F is one. Again, we may do away with such appendices in a fashion similar to R-reduction. Insofar, the next lemma is in analogy to Lemma 2.

Lemma 8 (The companion reduction rule). *Let F be a 2-SAT formula. If x is a companion, we can transform F into an equivalent formula F' containing the same variables except for x, where $G_{F'} = G_F - x$. This can be done in polynomial time.*

Proof. Let F be a formula, x a companion of y, F' consist of all clauses in F with an occurrence of the variable x, and $F'' = F - F'$. Let furthermore $a = \mathit{OptVal}(F'[y])$, $b = \mathit{OptVal}(F'[\bar{y}])$, and

$$H = \begin{cases} \{(b, \mathbf{T}), (a - b, \{y\})\} & \text{if } a > b \\ \{(a, \mathbf{T}), (b - a, \{\bar{y}\})\} & \text{otherwise} \end{cases}$$

It is easy to see that $a = \mathit{OptVal}(H[y])$ and $b = \mathit{OptVal}(H[\bar{y}])$. We immediately get

$$\begin{aligned} &\mathit{OptVal}(H + F'') = \\ &\quad \max\{\mathit{OptVal}(H[y]) + \mathit{OptVal}(F''[y]), \mathit{OptVal}(H[\bar{y}]) + \mathit{OptVal}(F''[\bar{y}])\} = \\ &\quad \max\{\mathit{OptVal}(F'[y] + \mathit{OptVal}(F''[y]), \mathit{OptVal}(F'[\bar{y}] + \mathit{OptVal}(F''[\bar{y}])\} = \\ &\qquad = \mathit{OptVal}(F' + F'') = \mathit{OptVal}(F). \end{aligned}$$

Hence, we can replace F by the equivalent formula $H + F''$. Note that it is very easy to calculate a and b, and that $H + F''$ does not contain the variable x anymore. □

Putting together Theorem 1 as well as Lemmata 7 and 8 analogously to Theorem 2 yields the following runtime bound:

Theorem 3. Max-2-SAT *can be solved in $O^*(2^{t/5})$ steps.*

4 A second rule simplifies the algorithm

In this section, we develop a simpler algorithm which employs a second reduction rule in addition, which replaces a path (u, v, w) with $\deg(v) = 2$ by the path (u, w). We call this operation *contracting* v. Notice that this introduces another constraint on the set of possible applications: Degree-two nodes must be easy to handle in the problem translation. That is, the way they contribute to a solution should only depend on their two neighbors.

In short, we trade simplicity for applicability: As we will see in what follows, the refined method allows for a much simpler implementation, and thus eases the analysis. Moreover, in the place of hot dog graphs, it leaves a trivial graph without any edges.

On the other hand, there are problems that do not meet the above extra constraint, while the technique from the previous section can still be employed. Again, consider Max-Cut: In the direct approach, it is not clear how to avoid branching on degree-two nodes. Fortunately, in this case, a different problem encoding will emerge that enables an application of the more straightforward second approach.

Algorithm A
Input: A graph $G = (V, E)$
Output: $D \subseteq V$, $|D| \leq |E|/5$, such that $R'(G - D)$ has no edges
$D \leftarrow \emptyset$;
while there is a node v with $\deg(v) \geq 3$ **do**
  choose a node v with maximum degree;
  $D \leftarrow D \cup \{v\}$; $G \leftarrow R'_v(G)$
od;
return D

Fig. 5. A simpler algorithm that uses R' rather than R

Definition 6. *Let $G = (V, E)$ be a graph and $v \in V$. Let $R'(G)$ be the graph that we get from G by repeatedly removing degree one vertices and contracting degree two vertices until no such operation is possible. Whenever a contraction leads to a double edge, only a single edge is retained. We also define $R'_v(G) := R'(G - v)$.*

Lemma 9. *Let $G = (V, E)$ be a graph with minimum degree three and maximum degree four. If $v \in V$ and $\deg(v) = 4$, then $\Psi(R'_v(G)) \leq \Psi(G) - 5$.*

Proof. Let $u_1, \ldots, u_4$ be the neighbors of v. We have $\psi(v) = 2$, and removing v decreases the degree of each u_i by one. In total, the operation lowers the potential by at least $2 + 4(3/4) = 5$. Since neither the removal of a degree one node nor the contraction of a degree two node can increase the potential, this implies $\Psi(R'_v(G)) \leq \Psi(G) - 5$. □

Lemma 10. *Let $G = (V, E)$ be a 3-regular graph. For every $v \in V$ we have that $\Psi(R'_v(G)) \leq \Psi(G) - 5$.*

Proof. Every node in a 3-regular graph has a potential of $\Psi(3) = 5/4$. Removing v hence lowers the potential by 5. □

Theorem 4. *Algorithm A finds a set $D \subseteq V$ such that $|D| \leq m/5$ and $R'(G-D)$ has no edges.*

Proof. As long as there are nodes of degree at least five, the body of the **while**-loop increases the size of D by one while removing at least five edges. As soon as all nodes have degree at most four, $\Psi(G) \leq |E|$ by Lemma 4. From then on, the potential $\Psi(G)$ decreases by at least five in the body of the **while**-loop according to Lemmata 9 and 10. Since $R'(G)$ never contains nodes of degree one or two, the graph cannot have any edges when the algorithm terminates.

It is, however, not obvious that $R'(G - D)$ is the same graph. We only know that removing the nodes of D in the right order and applying reduction rules in between yields a graph without edges. However, analogously to Lemma 1, it is easy to see that indeed $R'_{x_k}(R'_{x_{k-1}}(\cdots R'_{x_1}(G)\cdots)) = R'(G - \{x_1, \ldots, x_k\})$. □

In order to use Algorithm A for solving Max-2-SAT, we must find reduction rules for formulæ that correspond to removing a node of degree one and contracting a node of degree two. The companion reduction rule can be used on a formula F to remove a node of degree one from G_F. But what do we need to do with F in order to contract a node of degree two in G_F? It is easy to see that we have to eliminate a variable x that occurs with *exactly two* other variables y and z in 2-clauses, introducing new clauses of the type $\{y, z\}$ in return.

Definition 7. *Let F be a 2-SAT-formula. A variable x is a* double companion *if and only if the degree of x in G_F is two.*

To ease the introduction of a double companion reduction rule, we now generalize the notion of a clause. We defined a clause to be a pair (ω, C) where C is a set of (non-complementary) literals and ω a positive integer. In this section, we allow ω to be a negative integer as well. For the following theorem, remember the definition of our new parameter t, the number of clause types.

Lemma 11 (The double companion reduction rule). *Let F be an arbitrary 2-SAT formula. If x is a double companion, then we can transform F into an equivalent formula F' which contains the same variables as F except x, and possibly clauses of negative weight, in polynomial time. The formula F' does not have more clause types than F. Moreover, $G_{F'}$ is the graph obtained from G_F by contracting x.*

Proof. Let x be a double companion that occurs together with y and z. Let $F = F' + F''$, where F' consists of all the clauses that contain x and F'' holds all the other clauses. We define $a = \mathit{OptVal}(F'[y,z])$, $b = \mathit{OptVal}(F'[y,\bar{z}])$, $c = \mathit{OptVal}(F'[\bar{y},z])$, and $d = \mathit{OptVal}(F'[\bar{y},\bar{z}])$. Let

$$G = \big\{(a+b+c+d, \mathbf{T}), (-d, \{y,z\}), (-c, \{y,\bar{z}\}), (-b, \{\bar{y},z\}), (-a, \{\bar{y},\bar{z}\})\big\}.$$

We easily see $a = \mathit{OptVal}(G[y,z])$, $b = \mathit{OptVal}(G[y,\bar{z}])$, $c = \mathit{OptVal}(G[\bar{y},z])$, and $d = \mathit{OptVal}(G[\bar{y},\bar{z}])$. Therefore, $\mathit{OptVal}(F' + F'') = \mathit{OptVal}(G + F'')$. Moreover, x does obviously not occur in $G + F''$. □

Example 3. Let F be the formula

$$F = \{\ (2,\{y,x\}),\ (1,\{\bar{y},\bar{x}\}),\ (2,\{\bar{x},\bar{z}\}),\ (1,\{x,\bar{z}\}),\ (1,\{y,\bar{z}\})\ \}$$

with double companion x. We get

$$F' = \{\ (2,\{y,x\}),\ (1,\{\bar{y},\bar{x}\}),\ (2,\{\bar{x},\bar{z}\}),\ (1,\{x,\bar{z}\})\ \}$$

and thus $\mathit{OptVal}(F'[y,z]) = 2$, $\mathit{OptVal}(F'[y,\bar{z}]) = 5$, $\mathit{OptVal}(F'[\bar{y},z]) = 1$, and $\mathit{OptVal}(F'[\bar{y},\bar{z}]) = 4$. By the double companion reduction rule, F' reduces to

$$G = \{(2+5+1+4, \mathbf{T}),\ (-4,\{y,z\}),\ (-1,\{y,\bar{z}\}),\ (-5,\{\bar{y},z\}),\ (-2,\{\bar{y},\bar{z}\})\},$$

and we obtain

$$G + F'' = \{\ (12,\mathbf{T}),\ (-4,\{y,z\}),\ (-5,\{\bar{y},z\}),\ (-2,\{\bar{y},\bar{z}\})\ \}.$$

The optimum assignment $y = 1, z = 0$ satisfies clauses weighted six in both $G + F''$ and F.

We now have reduction rules for formulæ in 2-CNF that enable us to eliminate all nodes with degree up to two in the corresponding connectivity graph. Algorithm B uses this machinery on the connectivity graph of a 2-CNF formula to find the number of satisfiable clauses. The algorithm can be easily modified to return an optimal assignment, too. The running time is again $O^*(2^{t/5})$, where $t \leq m$ is the number of different clause types.

Algorithm B
Input: A MAX-2-SAT-formula F
Output: $OptVal(F)$
Let D be the result of Algorithm A on G_F;
$r \leftarrow 0$;
for all assignments A on D **do**
    $F' \leftarrow F[A]$;
    Reduce F' by the (double) companion reduction rule while possible;
    $t \leftarrow OptVal(F')$;
    if $t > r$ **then** $r \leftarrow t$ **fi**
od;
return r

Fig. 6. An algorithm for MAX-2-SAT that uses Algorithm A to find a small set of variables for which all assignments have to be tested.

It turns out that we need not use the connectivity graph explicitly. Instead, we can employ a recursive procedure as described in Algorithm C. In this form it corresponds to classical satisfiability algorithms starting with the Davis–Putnam procedure: Apply reduction rules as long as possible and then choose a variable for branching. In the past, better and better algorithms included more and more complicated rules. This involves reduction rules as well as rules for choosing a variable (or a group of variables) to branch on, combined with clever pruning of cases that cannot lead to an optimal assignment. In contrast, Algorithm C is very simple: It is comprised of only two reduction rules and one rule to choose a variable for branching, none of which are complicated.

Algorithm C
Input: A MAX-2-SAT-formula F
Output: $OptVal(F)$
Reduce F by the (double) companion reduction rule while possible;
if $F = \{(k, \mathbf{T})\}$ **then return** k
else
    choose a variable x that occurs in a maximum number of clause types;
    return $\max\{\text{Algorithm C}(F[x]), \text{Algorithm C}(F[\bar{x}])\}$
fi

Fig. 7. A very simple algorithm for MAX-2-SAT that does not use the connectivity graph directly.

5 Improving beyond $t/5$

In this section, we apply a tiny modification to the algorithm discussed above. More precisely, we introduce the additional rule to avoid picking a node of degree four all of whose neighbors have degree four as well, whenever possible.

We begin by looking at a special case for graphs of low degree. This theorem is of independent interest, and its proof serves to introduce the methods we apply in Theorem 6.

Theorem 5. *Let $G = (V, E)$ be a graph with m edges and maximum degree four. Then there is a set $D \subseteq V$, $|D| \leq \frac{3}{16}m + 1$, such that $R'(G - D)$ has no edges.*

Proof. Given $G = (V, E)$, construct $D \subseteq V$ as follows. Pick a vertex of maximum degree, and while choosing vertices of degree four, only take a vertex all of whose neighbors have degree four if no other type of degree-four node remains. Note that the latter is only the case if the graph is 4-regular. Remove the chosen vertex, apply the two reduction rules, and repeat the procedure until the maximum degree in the remaining graph drops below three.

We redefine the potential function ψ:

$$\psi(v) = \begin{cases} 0 & \text{if } \deg(v) \leq 2 \\ 4/3 & \text{if } \deg(v) = 3 \\ 2 & \text{if } \deg(v) \geq 4 \end{cases}$$

Let $\langle n_1, \ldots, n_d \rangle$ denote the case that we pick a node v of degree d whose neighbors have degree n_1 through n_d. The respective losses of potential caused by the removal of such nodes v can be computed easily: the potential of v drops to zero, whereas the degree of each of its neighbors decreases by one. For instance, the loss of potential in the case $\langle 4, 4, 4, 3 \rangle$ amounts to $2 + 3 \cdot (2 - 4/3) + 4/3$. The resulting values are listed in the following table.

case	$\langle 4,4,4,4 \rangle$	$\langle 4,4,4,3 \rangle$	$\langle 4,4,3,3 \rangle$	$\langle 4,3,3,3 \rangle$	$\langle 3,3,3,3 \rangle$	$\langle 3,3,3 \rangle$
loss	$4\frac{2}{3}$	$5\frac{1}{3}$	6	$6\frac{2}{3}$	$7\frac{1}{3}$	$5\frac{1}{3}$

Observe that the special case $\langle 4, 4, 4, 4 \rangle$ can only occur in the first iteration, which causes at most one extra step, or if preceeded by $\langle 3, 3, 3, 3 \rangle$: Clearly, it cannot be preceeded by $\langle 3, 3, 3 \rangle$, because we always pick a vertex of maximum degree. Furthermore, a node of degree three is created in all the remaining cases, preventing the graph from becoming 4-regular and thus excluding the case $\langle 4, 4, 4, 4 \rangle$.

Except for the first step, the good case $\langle 3, 3, 3, 3 \rangle$ countervails against the bad case $\langle 4, 4, 4, 4 \rangle$. Since the average loss of potential in these two cases amounts to 6, we have that the potential decreases by an average of at least $5\frac{1}{3}$ per step. Hence, the overall potential will drop to zero after at most $\frac{3}{16}m$ additional iterations. □

Note that, analogously to Lemma 4, it is easily checked that $\Psi(G) \leq |E|$ for continuations of the potential functions in both the previous and the upcoming proof.

Theorem 6. *Let $G = (V, E)$ be a graph with m edges. Then there is a set $D \subseteq V$, $|D| \leq \frac{23}{120}m + 1$, such that $R'(G - D)$ has no edges.*

Proof. We use both the algorithm and the notation described in the proof to the previous theorem. Again, we redefine the potential function ψ:

$$\psi(v) = \begin{cases} 0 & \text{if } \deg(v) \leq 2 \\ 30/23 & \text{if } \deg(v) = 3 \\ 45/23 & \text{if } \deg(v) = 4 \\ 5/2 & \text{if } \deg(v) \geq 5 \end{cases}$$

Obviously, we get rid of at least six edges per iteration as long as the algorithm removes nodes of degree at least six. It hence suffices to switch to an analysis via

Algorithm A′
Input: A graph $G = (V, E)$
Output: $D \subseteq V$, $|D| \leq |E|/5.217 + 1$, such that $R'(G - D)$ has no edges
$D \leftarrow \emptyset$;
while there is a node v with $\deg(v) \geq 3$ **do**
  choose a node v with maximum degree,
  avoiding the case $\langle 4, 4, 4, 4\rangle$ if possible;
  $D \leftarrow D \cup \{v\}$; $G \leftarrow R'_v(G)$
od;
return D

Fig. 8. A slightly more complicated variant of Algorithm A

potential as soon as the maximum degree in the remaining graph has decreased to at most five. When a node of degree five is deleted, this lowers the potential by at least $5/2 + 5 \cdot (5/2 - 45/23) = 5\frac{5}{23}$. The other cases are listed below.

case	$\langle 4,4,4,4\rangle$	$\langle 4,4,4,3\rangle$	$\langle 4,4,3,3\rangle$	$\langle 4,3,3,3\rangle$	$\langle 3,3,3,3\rangle$	$\langle 3,3,3\rangle$
loss	$4\frac{13}{23}$	$5\frac{5}{23}$	$5\frac{20}{23}$	$6\frac{12}{23}$	$7\frac{4}{23}$	$5\frac{5}{23}$

As detailed above, the good case $\langle 3, 3, 3, 3\rangle$ countervails against the bad case $\langle 4, 4, 4, 4\rangle$; their average loss of potential is $5\frac{20}{23}$. Hence, only nodes of degree at most two remain after at most $\frac{23}{120}m + 1$ iterations. □

Modifiying Algorithm A according to the above result, as depicted in Figure 8, leads to the following improved running times.

Corollary 2. Max-2-SAT *and* Max-2-XSAT *can be solved in* $O^*(2^{t/5.217})$ *and thus in* $O^*(2^{m/5.217})$ *time.* Max-Cut *can be solved in* $O^*(2^{m/5.217})$ *time.*

In order to give an upper bound on the treewidth of a graph $G = (V, E)$ using the above results, it suffices to check that $tw(G - D) \leq 2$. This is because $tw(R'(G - D)) = 0$, and R' does not trivialize graphs of treewidth at least three [5, p. 174].

Corollary 3. *The treewidth of a graph* $G = (V, E)$ *is at most* $|E|/5.217 + 3$.

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