# **Lecture Notes in Computer Science**

11880

## Founding Editors

Gerhard Goos, Germany Juris Hartmanis, USA

#### **Editorial Board Members**

Elisa Bertino, USA Wen Gao, China Bernhard Steffen, Germany Gerhard Woeginger, Germany Moti Yung, USA

# FoLLI Publications on Logic, Language and Information Subline of Lectures Notes in Computer Science

#### Subline Editors-in-Chief

Valentin Goranko, *Stockholm University, Sweden*Michael Moortgat, *Utrecht University, The Netherlands* 

#### Subline Area Editors

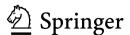
Nick Bezhanishvili, *University of Amsterdam, The Netherlands*Anuj Dawar, *University of Cambridge, UK*Philippe de Groote, *Inria Nancy, France*Gerhard Jäger, *University of Tübingen, Germany*Fenrong Liu, *Tsinghua University, Beijing, China*Eric Pacuit, *University of Maryland, USA*Ruy de Queiroz, *Universidade Federal de Pernambuco, Brazil*Ram Ramanujam, *Institute of Mathematical Sciences, Chennai, India* 

More information about this series at http://www.springer.com/series/7407

## Ronald de Haan

# Parameterized Complexity in the Polynomial Hierarchy

Extending Parameterized Complexity Theory to Higher Levels of the Hierarchy



Author
Ronald de Haan
Institute for Logic, Language
and Computation
University of Amsterdam
Amsterdam. The Netherlands

ISSN 0302-9743 ISSN 1611-3349 (electronic) Lecture Notes in Computer Science ISBN 978-3-662-60669-8 ISBN 978-3-662-60670-4 (eBook) https://doi.org/10.1007/978-3-662-60670-4

LNCS Sublibrary: SL1 - Theoretical Computer Science and General Issues

© Springer-Verlag GmbH Germany, part of Springer Nature 2019

This work is subject to copyright. All rights are reserved by the Publisher, whether the whole or part of the material is concerned, specifically the rights of translation, reprinting, reuse of illustrations, recitation, broadcasting, reproduction on microfilms or in any other physical way, and transmission or information storage and retrieval, electronic adaptation, computer software, or by similar or dissimilar methodology now known or hereafter developed.

The use of general descriptive names, registered names, trademarks, service marks, etc. in this publication does not imply, even in the absence of a specific statement, that such names are exempt from the relevant protective laws and regulations and therefore free for general use.

The publisher, the authors and the editors are safe to assume that the advice and information in this book are believed to be true and accurate at the date of publication. Neither the publisher nor the authors or the editors give a warranty, expressed or implied, with respect to the material contained herein or for any errors or omissions that may have been made. The publisher remains neutral with regard to jurisdictional claims in published maps and institutional affiliations.

"Parameterized Complexity in the Polynomial Hierarchy" was co-recipient of the E. W. Beth Dissertation Prize 2017 for outstanding dissertations in the fields of logic, language, and information. This work extends the theory of parameterized complexity to higher levels of the Polynomial Hierarchy (PH). For problems at higher levels of the PH, a promising solving approach is to develop fixed-parameter tractable reductions to SAT, and to subsequently use a SAT solving algorithm to solve the problem. In this dissertation, a theoretical toolbox is developed that can be used to classify in which cases this is possible. The use of this toolbox is illustrated by applying it to analyze a wide range of problems from various areas of computer science and artificial intelligence.

This Springer imprint is published by the registered company Springer-Verlag GmbH, DE part of Springer Nature

The registered company address is: Heidelberger Platz 3, 14197 Berlin, Germany

### **Preface**

This book came about during my PhD studies at the Technische Universität Wien, from 2012 until 2016.

It originally appeared as my PhD dissertation in 2016, for which I was awarded the E. W. Beth Dissertation Prize for outstanding contributions in the domains of logic, language, and information by the Association for Logic, Language, and Information (FoLLI) in 2017.

As a result, this book is now being published in the FoLLI Publications on Logic, Language, and Information, in Springer's *Lecture Notes in Computer Science* series.

The theme of this book is "The Extension of Parameterized Complexity Theory to Higher Levels of the Polynomial Hierarchy."

This theme allows for theoretical explorations that are motivated by the aim to develop theoretical tools that can be used to classify whether computational problems can be solved by the approach of first reducing them to SAT in fixed-parameter tractable time, and then solving them by invoking a SAT solving algorithm.

This toolbox is relevant for computational problems from all kinds of domains, in fact, many of the theoretical developments and applications in this book are driven by concrete, natural problems from a variety of areas of computer science and artificial intelligence.

I hope that this book will serve as a starting point for future theoretical investigations on this topic.

I am grateful to all the people that supported me throughout my PhD studies; helping me directly or indirectly in writing this book.

In particular, I owe many thanks to my PhD supervisor Stefan Szeider, for showing me how to do theoretical research, and for giving me the freedom to discover, as well as become an expert in an area of research that fits my interests.

September 2019 Ronald de Haan

# **Contents**

1	Int	roduct	ion	1
			xt: Intractability and a New Way of Coping	2
			ured Complexity Investigation	3
			Problem Statement	4
	1.3	Contri	ibutions	5
		1.3.1	Main Contributions	8
		1.3.2	Overview of the Parameterized Complexity Framework	9
		1.3.3	Research Impact	9
	1.4	Roadr	map	9
	1.5	Reflec	eting on the Theoretical Paradigm	13
		1.5.1	Black Box Algorithms for NP-complete Problems	13
		1.5.2	Focus on the Second Level of the Polynomial Hierarchy	15
		1.5.3	Complexity-Theoretic Assumptions	16
		1.5.4	Worst-Case Behavior of Fpt-Reductions	17
_				
Fo	unda	tions		
2	Co	mplexi	-,,	21
	2.1	Basics		21
		2.1.1	Traditional Tractability: P	22
		2.1.2	Traditional Intractability: NP and NP-Completeness	24
	2.2	The P		26
		2.2.1		26
		2.2.2	Polynomial Space	27
		2.2.3	$\mathcal{E}$	28
	2.3	Bound		29
	2.4	Non-u	niform Complexity	31
3	Par	ramete	rized Complexity Theory	33
	3.1	Fixed-	-Parameter Tractability	33
		3.1.1	Polynomial-Time Solvability for Constant Parameter	
				34
		3.1.2	<b>&amp;</b>	35
		3.13	Alternative Characterizations of FPT	36

tents

	3.2	Fixed-Pa	rameter Intractability	36
		3.2.1	The Classes para-K	37
		3.2.2	The Weft Hierarchy	38
		3.2.3	The A-Hierarchy and First-Order Logic	39
		3.2.4	The Classes XNP, Xco-NP, $X\Sigma_i^p$ , and $X\Pi_i^p$	40
Be	yond	Para-NI		
4	Fpt	t-Reducib	oility to SAT	45
	4.1	Modern	SAT Solvers	47
		4.1.1	The Success of SAT Solvers	48
		4.1.2	Algorithmic Techniques	49
		4.1.3	Successful Algorithms for Other	
			NP-complete Problems	50
	4.2		Fpt-Reductions to SAT	52
		4.2.1	Quantified Boolean Satisfiability	52
		4.2.2	Backdoors for Abductive Reasoning	58
		4.2.3	Backdoors for Disjunctive Answer Set Programming	59
		4.2.4	Bounded Model Checking	60
			review: Fpt-Time Turing Reductions to SAT	60
	4.4		pility	62
		4.4.1	Hardness for para- $\Sigma_2^p$	62
		4.4.2	Hardness for A[2]	63
5	The	e Need fo	or a New Completeness Theory	71
	5.1	Running	Example: Disjunctive Answer Set Programming	72
		5.1.1	Parameterized Variants Where Known Theory Suffices	75
	5.2	Motivati	ng New Theory	76
		5.2.1	Hardness for para-NP and para-co-NP	78
		5.2.2	Membership in XNP and Xco-NP	78
6	A l	New Com	pleteness Theory	85
			rameterized Complexity Classes	86
		6.1.1	The Hierarchies $\Sigma_2^p[k*,t]$ and $\Sigma_2^p[*k,t]$	86
		6.1.2	Another Hierarchy	88
	6.2	The Para	ameterized Complexity Class $\Sigma_2^p[k*]$	89
		6.2.1	Collapse	89
		6.2.2	Answer Set Programming and Completeness for $\Sigma_2^p[k*]$	90
		6.2.3	Additional Characterizations of $\Sigma_2^p[k*]$	94
	6.3	The $\Sigma_2^p$ [ $*$	(k, t] Hierarchy	115
		6.3.1	A Normalization Result for $\Sigma_2^p[*k,1]$	116
		6.3.2	A Normalization Result for $\Sigma_2^{\bar{p}}[*k, P]$	118
		6.3.3	Answer Set Programming and $\Sigma_2^p[*k, P]$ -Completeness	122
		6.3.4	Alternating Turing Machine Characterization	127

	Contents	ix
	6.4 Relation to Known Parameterized Complexity Classes	130
	6.4.1 Relation of $\Sigma_2^p[k*]$ to Other Classes	130
	6.4.2 Relation of $\Sigma_2^{2}[*k, t]$ to Other Classes	132
	6.4.3 Relation Between $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$	134
7	Fpt-Algorithms with Access to a SAT Oracle	137
	7.1 Known Parameterized Complexity Classes	138
	7.2 The Parameterized Complexity Class FPT <sup>NP</sup> [few]	141
	7.2.1 A Parameterized Variant of the Boolean Hierarchy	142
	7.2.2 Satisfiability Problems Complete for FPT <sup>NP</sup> [few]	144
	7.3 Lower Bounds on the Number of Oracle Queries	146
	7.4 Bounded Optimization Problems	147
	7.5 Witness-Producing SAT Oracles	151
	7.5.1 Comparing the Oracle Models for Decision Problems	153
	7.5.2 Comparing the Oracle Models for Search Problems	155
Аp	plying the Theory	
8	Problems in Knowledge Representation and Reasoning	161
	8.1 Disjunctive Answer Set Programming	162
	8.2 Abductive Reasoning	162
	8.3 Robust Constraint Satisfaction	173
9	Model Checking for Temporal Logics	181
	9.1 The (Parameterized) Complexity of Model Checking	184
	9.1.1 Temporal Logics	184
	9.1.2 (Parameterized) Complexity Results	186
	9.2 Symbolically Represented Kripke Structures	187
	9.2.1 PSPACE-hardness for Symbolic Model Checking	187
	9.2.2 An Fpt-Reduction to SAT for LTL\U,X	191
	9.3 Another Parameterized Variant of the Polynomial Hierarchy	193
	9.3.1 Alternative Characterizations	194
	9.3.2 Relation to Other Parameterized Variants of the PH	196
	9.4 Completeness for PH(level) and para-PSPACE	196
10	Problems Related to Propositional Satisfiability	205
	10.1 Minimization of DNF Formulas and Implicants	206
	10.1.1 Minimizing Implicants	206
	10.1.2 Minimizing DNF Formulas	209
	10.2 Inconsistency Repair	214
11	Problems in Judgment Aggregation	219
	11.1 Judgment Aggregation	221
	11.1.1 Formula-Based Judgment Aggregation	222
	11.1.2 Constraint-Based Judgment Aggregation	223

	<b>a</b>
v	Contents
Λ	

	11.2	Agenda Safety for the Majority Rule	225
		11.2.1 CNF Formulas	225
		11.2.2 Syntactic Restrictions	227
		11.2.3 Bounded Treewidth	233
		11.2.4 Small Counterexamples	237
	11.3		239
		11.3.1 Upper Bounds for the Formula-Based Framework	241
		11.3.2 Lower Bounds for the Formula-Based Framework	242
		11.3.3 Upper Bounds for the Constraint-Based Framework	247
		11.3.4 Lower Bounds for the Constraint-Based Framework	248
		11.3.5 Overview.	250
			250
12	Plan	ning Problems	251
	12.1	SAS <sup>+</sup> Planning	251
	12.2	Planning with Uncertainty	252
	12.3	Soft Goal Optimization	257
13	Gra	ph Problems	261
	13.1	Extending Graph Colorings	261
	13.2	Extending Cliques	263
		13.2.1 $\Pi_2^p$ -Completeness for Clique-Extension	267
_		4. Odero Thorica in Completion Theory	
DΔ	otion		
Rel	ation	to Other Topics in Complexity Theory	
Rel			271
	Sube	exponential-Time Reductions	271 272
	<b>Sub</b> e 14.1	exponential-Time Reductions	272
	<b>Sub</b> e 14.1	exponential-Time Reductions  A Known Separation Result	<ul><li>272</li><li>273</li></ul>
	<b>Sub</b> e 14.1	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]	272 273 274
	<b>Subo</b> 14.1 14.2	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]  14.2.2 Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$	272 273 274 278
	<b>Subo</b> 14.1 14.2	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]	272 273 274
	<b>Subo</b> 14.1 14.2 14.3	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]  14.2.2 Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ .  Relating $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ to Each Other	272 273 274 278
14	Subo 14.1 14.2 14.3 Non-	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]  14.2.2 Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ .  Relating $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ to Each Other  -uniform Parameterized Complexity.	272 273 274 278 282
14	Subo 14.1 14.2 14.3 Non-	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]  14.2.2 Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ .  Relating $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ to Each Other  -uniform Parameterized Complexity  Non-uniform Parameterized Complexity Classes	272 273 274 278 282 285
14	Subo 14.1 14.2 14.3 Non-	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]  14.2.2 Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ .  Relating $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ to Each Other  -uniform Parameterized Complexity  Non-uniform Parameterized Complexity Classes  15.1.1 Fpt-Size and Xp-Size Advice	272 273 274 278 282 285 286
14	Subo 14.1 14.2 14.3 Non-	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]  14.2.2 Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ Relating $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ to Each Other  -uniform Parameterized Complexity  Non-uniform Parameterized Complexity Classes  15.1.1 Fpt-Size and Xp-Size Advice  15.1.2 Slice-Wise Advice	272 273 274 278 282 285 286 287
14	Subo 14.1 14.2 14.3 Non-	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]  14.2.2 Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ .  Relating $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ to Each Other  -uniform Parameterized Complexity  Non-uniform Parameterized Complexity Classes  15.1.1 Fpt-Size and Xp-Size Advice  15.1.2 Slice-Wise Advice  15.1.3 Poly-size and Kernel-Size Advice	272 273 274 278 282 285 286 287 287 288
14	Sube 14.1 14.2 14.3 Non- 15.1	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]  14.2.2 Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ .  Relating $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ to Each Other  -uniform Parameterized Complexity.  Non-uniform Parameterized Complexity Classes  15.1.1 Fpt-Size and Xp-Size Advice  15.1.2 Slice-Wise Advice  15.1.3 Poly-size and Kernel-Size Advice  15.1.4 Slice-Wise Non-uniformity.	272 273 274 278 282 285 286 287 287 288 289
14	Subo 14.1 14.2 14.3 Non-	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]  14.2.2 Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ .  Relating $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ to Each Other  -uniform Parameterized Complexity  Non-uniform Parameterized Complexity Classes  15.1.1 Fpt-Size and Xp-Size Advice  15.1.2 Slice-Wise Advice  15.1.3 Poly-size and Kernel-Size Advice  15.1.4 Slice-Wise Non-uniformity.  Basic Results	272 273 274 278 282 285 286 287 287 288 289 289
14	Sube 14.1 14.2 14.3 Non- 15.1	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]  14.2.2 Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ .  Relating $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ to Each Other  -uniform Parameterized Complexity.  Non-uniform Parameterized Complexity Classes  15.1.1 Fpt-Size and Xp-Size Advice  15.1.2 Slice-Wise Advice  15.1.3 Poly-size and Kernel-Size Advice  15.1.4 Slice-Wise Non-uniformity.  Basic Results  15.2.1 Alternative Characterizations	272 273 274 278 282 285 286 287 287 288 289 289
14	Sube 14.1 14.2 14.3 Non- 15.1	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]  14.2.2 Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ .  Relating $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ to Each Other  -uniform Parameterized Complexity.  Non-uniform Parameterized Complexity Classes  15.1.1 Fpt-Size and Xp-Size Advice  15.1.2 Slice-Wise Advice  15.1.3 Poly-size and Kernel-Size Advice  15.1.4 Slice-Wise Non-uniformity.  Basic Results  15.2.1 Alternative Characterizations  15.2.2 Separations	272 273 274 278 282 285 286 287 287 288 289 289 293
14	Sube 14.1 14.2 14.3 Non- 15.1	exponential-Time Reductions  A Known Separation Result  More Separation Results $14.2.1$ Separation Results for A[2] $14.2.2$ Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ Relating $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ to Each Other  -uniform Parameterized Complexity  Non-uniform Parameterized Complexity Classes $15.1.1$ Fpt-Size and Xp-Size Advice $15.1.2$ Slice-Wise Advice $15.1.3$ Poly-size and Kernel-Size Advice $15.1.4$ Slice-Wise Non-uniformity  Basic Results $15.2.1$ Alternative Characterizations $15.2.2$ Separations  Relation to Parameterized Knowledge Compilation	272 273 274 278 282 285 286 287 288 289 289 289 293 301
14	Sube 14.1 14.2 14.3 Non- 15.1	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]  14.2.2 Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ .  Relating $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ to Each Other  -uniform Parameterized Complexity  Non-uniform Parameterized Complexity Classes  15.1.1 Fpt-Size and Xp-Size Advice  15.1.2 Slice-Wise Advice  15.1.3 Poly-size and Kernel-Size Advice  15.1.4 Slice-Wise Non-uniformity  Basic Results  15.2.1 Alternative Characterizations  15.2.2 Separations  Relation to Parameterized Knowledge Compilation  15.3.1 Parameterized Knowledge Compilation	272 273 274 278 282 285 286 287 287 288 289 289 289 301 301
14	Sube 14.1 14.2 14.3 Non- 15.1	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]  14.2.2 Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ Relating $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ to Each Other  -uniform Parameterized Complexity  Non-uniform Parameterized Complexity Classes  15.1.1 Fpt-Size and Xp-Size Advice  15.1.2 Slice-Wise Advice  15.1.3 Poly-size and Kernel-Size Advice  15.1.4 Slice-Wise Non-uniformity  Basic Results  15.2.1 Alternative Characterizations  15.2.2 Separations  Relation to Parameterized Knowledge Compilation  15.3.1 Parameterized Knowledge Compilation  15.3.2 (Conditional) Incompilability Results	272 273 274 278 282 285 286 287 288 289 289 293 301 301 305
14	Sube 14.1 14.2 14.3 Non- 15.1	exponential-Time Reductions  A Known Separation Result  More Separation Results  14.2.1 Separation Results for A[2]  14.2.2 Separation Results for $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ .  Relating $\Sigma_2^p[k*]$ and $\Sigma_2^p[*k,t]$ to Each Other  -uniform Parameterized Complexity  Non-uniform Parameterized Complexity Classes  15.1.1 Fpt-Size and Xp-Size Advice  15.1.2 Slice-Wise Advice  15.1.3 Poly-size and Kernel-Size Advice  15.1.4 Slice-Wise Non-uniformity  Basic Results  15.2.1 Alternative Characterizations  15.2.2 Separations  Relation to Parameterized Knowledge Compilation  15.3.1 Parameterized Knowledge Compilation	272 273 274 278 282 285 286 287 287 288 289 289 289 301 301

		Contents	XI
		15.3.4 The Parameterized Compilability of Finding	
		Small Cliques	321
		15.3.5 Other Parameterized Compilation Problems	326
	15.4	Parameterized Variants of the Karp-Lipton Theorem	330
Co	nclusio	ons	
16	_	Problems and Future Research Directions	335
		Improving Solving Methods	336
	16.2	Open Theoretical Problems	337
		16.2.1 Further Study of the $\Sigma_2^p[*k,t]$ Hierarchy	337
		16.2.2 Further Study of the Relation Between Classes	338
		16.2.3 Other Topics	339
		16.2.4 Generalizing to Higher Levels of the PH	340
		Limited Non-determinism	340
		Witness Oracles	342
	16.5	Non-deterministic Kernelization	343
<b>17</b>	Conc	lusion	349
	17.1	Summary	349
		Research Impact	352
Ap	pendix	A: Compendium of Parameterized Problems	355
_	_	B: Generalization to Higher Levels of the Polynomial	
Hie	erarchy	y	375
Ref	ference	es	387
Ind	lex of ]	Parameterized Problems	397