

# CSPs and fixed-parameter tractability

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# Parameterized problems

## Main idea

Instead of expressing the running time as a function  $T(n)$  of  $n$ , we express it as a function  $T(n, k)$  of the input size  $n$  and some parameter  $k$  of the input.

In other words: we do not want to be efficient on all inputs of size  $n$ , only for those where  $k$  is small.

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In other words: we do not want to be efficient on all inputs of size  $n$ , only for those where  $k$  is small.

What can be the parameter  $k$ ?

- The size  $k$  of the solution we are looking for.
- The maximum degree of the input graph.
- The dimension of the point set in the input.
- The length of the strings in the input.
- The length of clauses in the input Boolean formula.
- ...

## Parameterized complexity

**Problem:**

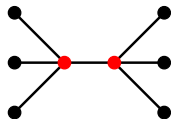
**Input:**

**Question:**

VERTEX COVER

Graph  $G$ , integer  $k$

Is it possible to cover the edges with  $k$  vertices?



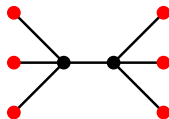
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NP-complete

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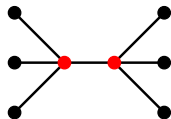
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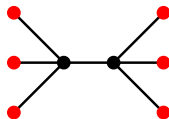
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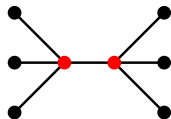
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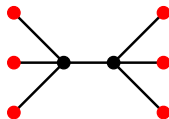
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$O(n^k)$  possibilities

$O(2^k n^2)$  algorithm exists  
exists 😊

NP-complete

$O(n^k)$  possibilities

No  $n^{o(k)}$  algorithm  
known 😞

## Bounded search tree method

Algorithm for VERTEX COVER:

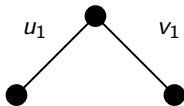
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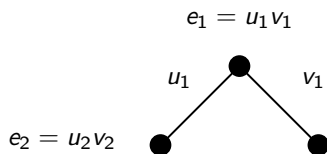
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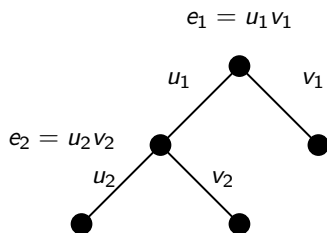
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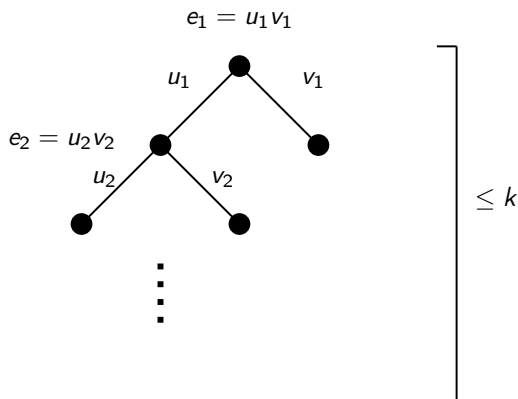
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Height of the search tree  $\leq k \Rightarrow$  at most  $2^k$  leaves  $\Rightarrow 2^k \cdot n^{O(1)}$  time algorithm.

# Fixed-parameter tractability

## Main definition

A parameterized problem is **fixed-parameter tractable (FPT)** if there is an  $f(k)n^c$  time algorithm for some constant  $c$ .

Main goal of parameterized complexity: to find FPT problems.

# Fixed-parameter tractability

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Main goal of parameterized complexity: to find FPT problems.

Examples of NP-hard problems that are FPT:

- Finding a vertex cover of size  $k$ .
- Finding a path of length  $k$ .
- Finding  $k$  disjoint triangles.
- Drawing the graph in the plane with  $k$  edge crossings.
- Finding disjoint paths that connect  $k$  pairs of points.
- ...

## W[1]-hardness

Negative evidence similar to NP-completeness. If a problem is **W[1]-hard**, then the problem is not FPT unless  $\text{FPT} = \text{W}[1]$ .

Some W[1]-hard problems:

- Finding a clique/independent set of size  $k$ .
- Finding a dominating set of size  $k$ .
- Finding  $k$  pairwise disjoint sets.
- ...

# Reactions to FPT

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Hmm... Is my favorite graph problem FPT parameterized by the size of the solution/number of objects/etc. ?

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Hmm... Is my favorite graph problem FPT parameterized by the size of the solution/number of objects/etc. ?

## Typical CSP researcher:

**SAT** is trivially FPT parameterized by the number of variables.  
So why should I care?



# Parameterizing SAT

Trivial: 3SAT is FPT parameterized by the number of variables ( $2^k \cdot n^{O(1)}$  time algorithm).

Trivial: 3SAT is FPT parameterized by the number of clauses ( $2^{3k} \cdot n^{O(1)}$  time algorithm).

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What about SAT parameterized by the number  $k$  of **clauses**?

Algorithm 1: Problem kernel

- If a clause has more than  $k$  literals: can be ignored, removing it does not make the problem any easier.
- If every clause has at most  $k$  literals: there are at most  $k^2$  variables, use brute force.

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What about SAT parameterized by the number  $k$  of **clauses**?

Algorithm 2: Bounded search tree

- Pick a variable occurring both positively and negatively, branch on setting it to 0 or 1.
- In both branches, the number of clauses strictly decreases  $\Rightarrow$  search tree of size  $2^k$ .

# MAX SAT

- **MAX SAT**: Given a formula, satisfy at least  $k$  clauses.
- Polynomial for fixed  $k$ : guess the  $k$  clauses, use the previous algorithm to check if they are satisfiable.
- Is the problem FPT?

# MAX SAT

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- Is the problem FPT?
- YES: If there are at least  $2k$  clauses, a random assignment satisfies  $k$  clauses on average. Otherwise, use the previous algorithm.

This is not very insightful, can we say anything more interesting?

## Above average MAX SAT

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- Above average MAX SAT (satisfy  $m/2 + k$  clauses) is FPT [Mahajan and Raman 1999]
- Above average MAX  $r$ -SAT (satisfy  $(1 - 1/2^r)m + k$  clauses) is FPT [Alon et al. 2010]
- Satisfying  $\sum_{i=1}^m (1 - 1/2^{r_i}) + k$  clauses is NP-hard for  $k = 2$  [Crowston et al. 2012]
- Above average MAX  $r$ -LIN-2 (satisfy  $m/2 + k$  linear equations) is FPT [Gutin et al. 2010]
- Permutation CSPs such as MAXIMUM ACYCLIC SUBGRAPH and BETWEENNESS [Gutin et al. 2010].
- ...

## Boolean constraint satisfaction problems

Let  $\Gamma$  be a set of **Boolean** relations. An  $\Gamma$ -formula is a conjunction of relations in  $\Gamma$ :

$$R_1(x_1, x_4, x_5) \wedge R_2(x_2, x_1) \wedge R_1(x_3, x_3, x_3) \wedge R_3(x_5, x_1, x_4, x_1)$$

### SAT( $\Gamma$ )

- Given: an  $\Gamma$ -formula  $\varphi$
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### SAT( $\Gamma$ )

- Given: an  $\Gamma$ -formula  $\varphi$
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$\Gamma = \{a \neq b\} \Rightarrow \text{SAT}(\Gamma) = 2\text{-coloring of a graph}$

$\Gamma = \{a \vee b, a \vee \bar{b}, \bar{a} \vee \bar{b}\} \Rightarrow \text{SAT}(\Gamma) = 2\text{SAT}$

$\Gamma = \{a \vee b \vee c, a \vee b \vee \bar{c}, a \vee \bar{b} \vee \bar{c}, \bar{a} \vee \bar{b} \vee \bar{c}\} \Rightarrow \text{SAT}(\Gamma) = 3\text{SAT}$

**Question:** SAT( $\Gamma$ ) is polynomial time solvable for which  $\Gamma$ ?

It is NP-complete for which  $\Gamma$ ?

# Schaefer's Dichotomy Theorem (1978)

## Theorem [Schaefer 1978]

For every  $\Gamma$ , the  $\text{SAT}(\Gamma)$  problem is polynomial-time solvable if one of the following holds, and NP-complete otherwise:

- Every relation is satisfied by the all 0 assignment
- Every relation is satisfied by the all 1 assignment
- Every relation can be expressed by a 2SAT formula
- Every relation can be expressed by a Horn formula
- Every relation can be expressed by an anti-Horn formula
- Every relation is an affine subspace over  $\text{GF}(2)$

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This is surprising for two reasons:

- this family does not contain NP-intermediate problems and
- the boundary of polynomial-time and NP-hard problems can be cleanly characterized.

## Other dichotomy results

- Approximability of  $\text{MAX-SAT}$ ,  $\text{MIN-UNSAT}$  [Khanna et al. 2001]
- Approximability of  $\text{MAXONES-SAT}$ ,  $\text{MINONES-SAT}$  [Khanna et al. 2001]
- Generalization to 3-valued variables [Bulatov 2002]
- Inverse satisfiability [Kavvadias and Sideri, 1999]
- etc.

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Celebrated open question: generalize Schaefer's result to relations over variables with non-Boolean, but fixed domain.

$\text{CSP}(\Gamma)$ : similar to  $\text{SAT}(\Gamma)$ , but with non-Boolean domain.

Conjecture [Feder and Vardi 1998]

Let  $\Gamma$  be a finite set of relations over an arbitrary fixed domain. Then  $\text{CSP}(\Gamma)$  is either polynomial-time solvable or NP-complete.

# Weighted problems

Parameterizing by the weight (= number of 1s) of the solution.

- $\text{MINONES-SAT}(\Gamma)$  :  
Find a satisfying assignment with weight at most  $k$
- $\text{EXACTONES-SAT}(\Gamma)$  :  
Find a satisfying assignment with weight exactly  $k$
- $\text{MAXONES-SAT}(\Gamma)$  :  
Find a satisfying assignment with weight at least  $k$

The first two problems can be always solved in  $n^{O(k)}$  time, and the third one as well if  $\text{SAT}(\Gamma)$  is in P.

**Goal:** Characterize which languages  $\Gamma$  make these problems FPT.

# EXACTONES-SAT( $\Gamma$ )

Theorem [Marx 2004]

EXACTONES-SAT( $\Gamma$ ) is FPT if  $\Gamma$  is weakly separable and W[1]-hard otherwise.

Examples of weakly separable constraints:

- affine constraints
- “0 or 5 out of 8”

Examples of not weakly separable constraints:

- $(\neg x \vee \neg y)$
- $x \rightarrow y$
- “0 or 4 out of 8”

## Larger domains

What is the generalization of  $\text{EXACTONES-SAT}(\Gamma)$  to larger domains?

- 1 Find a solution with exactly  $k$  nonzero values (zeros constraint).
- 2 Find a solution where nonzero value  $i$  appears exactly  $k_i$  times (cardinality constraint).

Theorem [Bulatov and M. 2011]

For every  $\Gamma$  closed under substituting constants,  $\text{CSP}(\Gamma)$  with zeros constraint is FPT or  $W[1]$ -hard.

(E.g., if  $R(x_1, x_2, x_3, x_4) \in \Gamma$ , then  $R(x_1, 3, x_3, 0) \in \Gamma$ .)



## Larger domains

The following two problems are equivalent:

- $\text{CSP}(\Gamma)$  with cardinality constraint, where  $\Gamma$  contains only the relation  $R = \{00, 10, 02\}$ .
- **BICLIQUE**: Find a complete bipartite graph with  $k$  vertices on each side. The fixed-parameter tractability of **BICLIQUE** is a notorious open problem (conjectured to be hard).

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So the best we can get at this point:

**Theorem [Bulatov and M. 2011]**

For every  $\Gamma$  closed under substituting constants,  $\text{CSP}(\Gamma)$  with cardinality constraint is FPT or **BICLIQUE**-hard.

# MINONES-SAT( $\Gamma$ )

The bounded-search tree algorithm for VERTEX COVER can be generalized to MINONES-SAT.

## Observation

MINONES-SAT( $\Gamma$ ) is FPT for every finite  $\Gamma$ .

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## Observation

MINONES-SAT( $\Gamma$ ) is FPT for every finite  $\Gamma$ .

But can we solve the problem simply by preprocessing?

## Definition

A polynomial kernel is a polynomial-time reduction creating an equivalent instance whose size is polynomial in  $k$ .

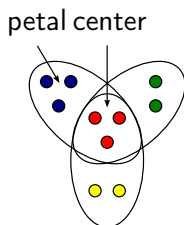
**Goal:** Characterize the languages  $\Gamma$  for which MINONES-SAT( $\Gamma$ ) has a polynomial kernel.

**Example:** the special case  $d$ -HITTING SET (where  $\Gamma$  contains only  $R = x_1 \vee \dots \vee x_d$ ) has a polynomial kernel.

# Sunflower lemma

## Definition

Sets  $S_1, S_2, \dots, S_k$  form a **sunflower** if the sets  $S_i \setminus (S_1 \cap S_2 \cap \dots \cap S_k)$  are disjoint.



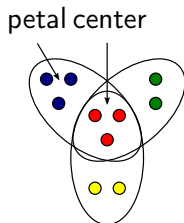
## Lemma [Erdős and Rado, 1960]

If the size of a set system is greater than  $(p-1)^d \cdot d!$  and it contains only sets of size at most  $d$ , then the system contains a sunflower with  $p$  petals.

# Sunflowers and $d$ -HITTING SET

## $d$ -HITTING SET

Given a collection  $\mathcal{S}$  of sets of size at most  $d$  and an integer  $k$ , find a set  $S$  of  $k$  elements that intersects every set of  $\mathcal{S}$ .



## Reduction Rule

Suppose more than  $k + 1$  sets form a sunflower.

- If the sets are disjoint  $\Rightarrow$  No solution.
- Otherwise, keep only  $k + 1$  of the sets.

## Dichotomy for kernelization

Kernelization for general  $\text{MINONES-SAT}(\Gamma)$  generalizes the sunflower reduction, and requires that  $\Gamma$  is “mergeable.”

Theorem [Kratsch and Wahlström 2010]

- (1) If  $\text{MINONES-SAT}(\Gamma)$  is polynomial-time solvable or  $\Gamma$  is mergeable, then  $\text{MINONES-SAT}(\Gamma)$  has a polynomial kernelization.
- (2) If  $\text{MINONES-SAT}(\Gamma)$  is NP-hard and  $\Gamma$  is not mergeable, then  $\text{MINONES-SAT}(\Gamma)$  does not have a polynomial kernel, unless the polynomial hierarchy collapses.

# Dichotomy for kernelization

Similar results for other problems:

Theorem [Kratsch, M., Wahlström 2010]

- If  $\Gamma$  has property  $X$ , then  $\text{MAXONES-SAT}(\Gamma)$  has a polynomial kernel, and otherwise no (unless the polynomial hierarchy collapses).
- If  $\Gamma$  has property  $Y$ , then  $\text{EXACTONES-SAT}(\Gamma)$  has a polynomial kernel, and otherwise no (unless the polynomial hierarchy collapses).



# Local search

## Local search

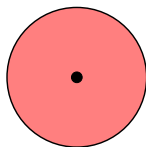
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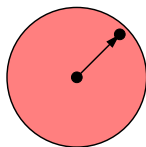
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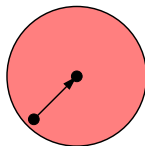
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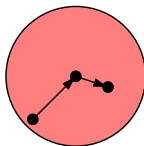
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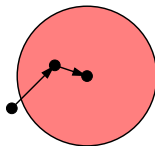
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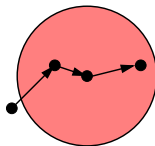
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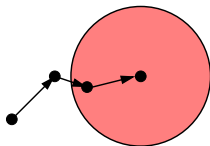
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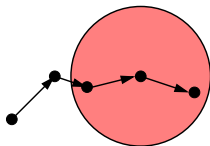




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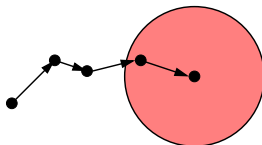
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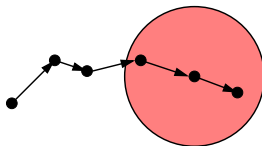
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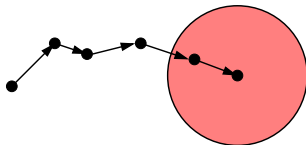
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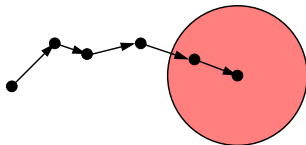
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Walk in the solution space by iteratively replacing the current solution with a better solution in the local neighborhood.



**Problem:** local search can stop at a local optimum (no better solution in the local neighborhood).

More sophisticated variants: simulated annealing, tabu search, etc.

## Local neighborhood

The local neighborhood is defined in a problem-specific way:

- For TSP, the neighbors are obtained by swapping 2 cities or replacing 2 edges.
- For a problem with 0-1 variables, the neighbors are obtained by flipping a single variable.
- For subgraph problems, the neighbors are obtained by adding/removing one edge.

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Larger neighborhood (larger  $k$ ):

- algorithm is less likely to get stuck in a local optimum,
- it is more difficult to check if there is a better solution in the neighborhood.

## Searching the neighborhood

**Question:** Is there an efficient way of finding a better solution in the  $k$ -neighborhood?

We study the complexity of the following problem:

### $k$ -step Local Search

Input: instance  $I$ , solution  $x$ , integer  $k$

Find: A solution  $x'$  with  $\text{dist}(x, x') \leq k$  that is "better" than  $x$ .



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### $k$ -step Local Search

Input: instance  $I$ , solution  $x$ , integer  $k$

Find: A solution  $x'$  with  $\text{dist}(x, x') \leq k$  that is "better" than  $x$ .

**Remark 1:** If the optimization problem is hard, then it is unlikely that this local search problem is polynomial-time solvable: otherwise we would be able to find an optimum solution.

**Remark 2:** Size of the  $k$ -neighborhood is usually  $n^{O(k)} \Rightarrow$  local search is polynomial-time solvable for every fixed  $k$ , but this is not practical for larger  $k$ .

## $k$ -step Local Search

The question that we want to investigate:

### Question

Is  $k$ -step Local Search FPT for a particular problem?

If yes, then local search algorithms can consider larger neighborhoods, improving their efficiency.

**Important:**  $k$  is the number of allowed changes and **not** the size of the solution. Relevant even if solution size is large.

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### Examples:

- Local search is easy: it is FPT to find a larger independent set in a planar graph with at most  $k$  exchanges [Fellows et al. 2008].
- Local search is hard: it is W[1]-hard to check if it is possible to obtain a shorter TSP tour by replacing at most  $k$  arcs [M. 2008].

## Local search for SAT

Simple satisfiability:

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A family of problems:

Theorem [Krokhin and M. 2008]

Dichotomy results for MINONES-SAT( $\Gamma$ ).

## Strict vs. permissive

Something strange: for some problems (e.g., **VERTEX COVER** on bipartite graphs), local search is hard, even though the problem is polynomial-time solvable.

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Input: instance  $I$ , solution  $x$ , integer  $k$   
Find: A solution  $x'$  with  $\text{dist}(x, x') \leq k$  that is “better” than  $x$ .

### Permissive $k$ -step Local Search

Input: instance  $I$ , solution  $x$ , integer  $k$   
Find: Any solution  $x'$  “better” than  $x$ , if there is such a solution at distance at most  $k$ .

## Constraint Satisfaction Problems (CSP)

A CSP instance is given by describing the

- variables,
- domain of the variables,
- constraints on the variables.

**Task:** Find an assignment that satisfies every constraint.

$$I = C_1(x_1, x_2, x_3) \wedge C_2(x_2, x_4) \wedge C_3(x_1, x_3, x_4)$$

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**Examples:**

- **3SAT**: 2-element domain, every constraint is ternary
- **VERTEX COLORING**: domain is the set of colors, binary constraints
- **k-CLIQUE** (in graph  $G$ ):  $k$  variables, domain is the vertices of  $G$ ,  $\binom{k}{2}$  binary constraints

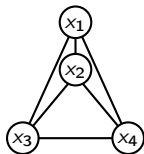
## Graphs and hypergraphs related to CSP

**Gaifman/primal graph:** vertices are the variables, two variables are adjacent if they appear in a common constraint.

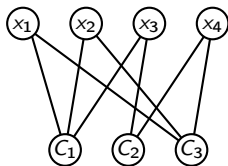
**Incidence graph:** bipartite graph, vertices are the variables and constraints.

**Hypergraph:** vertices are the variables, constraints are the hyperedges.

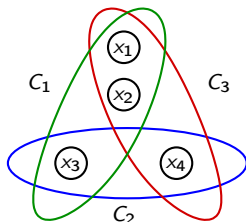
$$I = C_1(x_2, x_1, x_3) \wedge C_2(x_4, x_3) \wedge C_3(x_1, x_4, x_2)$$



Primal graph



Incidence graph



Hypergraph

# Treewidth and CSP

## Theorem [Freuder 1990]

For every fixed  $k$ , CSP can be solved in polynomial time if the primal graph of the instance has treewidth at most  $k$ .

**Note:** The running time is  $|D|^{O(k)}$ , which is not FPT parameterized by treewidth.

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We know that binary  $\text{CSP}(\mathcal{G})$  is polynomial-time solvable for every class  $\mathcal{G}$  of graphs with bounded treewidth. Are there other polynomial cases?

## Tractable structures

**Question:** Which graph properties lead to polynomial-time solvable CSP instances?

Systematic study:

- Binary CSP: Every constraint is of arity 2.
- $\text{CSP}(\mathcal{G})$ : problem restricted to binary CSP instances with primal graph in  $\mathcal{G}$ .
- Which classes  $\mathcal{G}$  make  $\text{CSP}(\mathcal{G})$  polynomial-time solvable?
- E.g., if  $\mathcal{G}$  is the set of trees, then it is easy, if  $\mathcal{G}$  is the set of 3-regular graphs, then it is  $W[1]$ -hard parameterized by the number of variables (hence unlikely to be polynomial-time solvable).

## Dichotomy for binary CSP

Complete answer for **every** class  $\mathcal{G}$ :

Theorem [Grohe-Schwentick-Segoufin 2001]

Let  $\mathcal{G}$  be a computable class of graphs.

- (1) If  $\mathcal{G}$  has bounded treewidth, then  $\text{CSP}(\mathcal{G})$  is polynomial-time solvable.
- (2) If  $\mathcal{G}$  has unbounded treewidth, then  $\text{CSP}(\mathcal{G})$  is  $\text{W}[1]$ -hard parameterized by number of variables.

**Note:** In (2),  $\text{CSP}(\mathcal{G})$  is not necessarily NP-hard.



## Dichotomy for binary CSP

Complete answer for **every** class  $\mathcal{G}$ :

Theorem [Grohe-Schwentick-Segoufin 2001]

Let  $\mathcal{G}$  be a recursively enumerable class of graphs. Assuming  $\text{FPT} \neq \text{W}[1]$ , the following are equivalent:

- Binary  $\text{CSP}(\mathcal{G})$  is polynomial-time solvable.
- Binary  $\text{CSP}(\mathcal{G})$  is FPT parameterized by the number of variables.
- $\mathcal{G}$  has bounded treewidth.

**Note:** Fixed-parameter tractability does not give us more power here than polynomial-time solvability!

## Combination of parameters

CSP can be parameterized by many (combination of) parameters.

### Examples:

- CSP is  $W[1]$ -hard parameterized by the treewidth of the primal graph.
- CSP is FPT parameterized by the treewidth of the primal graph and the domain size.

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### Examples:

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- CSP is FPT parameterized by the treewidth of the primal graph and the domain size.

[Samer and Szeider 2010] considered 11 parameters and determined the complexity of CSP by any subset of these parameters.

tw:	treewidth of primal graph	arity:	maximum arity
$tw^d$ :	tw of dual graph	dep:	largest relation size
$tw^*$ :	tw of incidence graph	deg:	largest variable occurrence
vars:	number of variables	ovl:	largest overlap between scopes
dom:	domain size	diff:	largest difference between scopes
cons:	number of constraints		

# Summary

- Fixed-parameter tractability results for SAT and CSPs do exist.
- Choice of parameter is not obvious.
- Above average parameterization.
- Local search.
- Parameters related to the graph of the constraints.