The square root phenomenon in planar graphs

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40th International Colloquium on Automata, Languages and Programming (ICALP 2013)
Riga, Latvia
July 9, 2013

Main message

Are NP-hard problems easier on planar graphs? Yes, usually.

By how much?

Often by exactly a square root factor.

Overview

Chapter 1:

Subexponential algorithms using treewidth.

Chapter 2:

Grid minors and bidimensionality.

Chapter 3:

Finding bounded-treewidth solutions.

Better exponential algorithms

Most NP-hard problems (e.g., 3-COLORING, INDEPENDENT SET, HAMILTONIAN CYCLE, STEINER TREE, etc.) remain NP-hard on planar graphs, so what do we mean by "easier"?

 $^{^{1}}$ Notable exception: MAX 1 CUT is in P for planar graphs.

Better exponential algorithms

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The running time is still exponential, but significantly smaller:

$$2^{O(n)} \Rightarrow 2^{O(\sqrt{n})}$$

$$n^{O(k)} \Rightarrow n^{O(\sqrt{k})}$$

$$2^{O(k)} \cdot n^{O(1)} \Rightarrow 2^{O(\sqrt{k})} \cdot n^{O(1)}$$

¹Notable exception: MAX CUT is in P for planar graphs.

Chapter 1: Subexponential algorithms using treewidth

Treewidth is a measure of "how treelike the graph is."

We need only the following basic facts:

Treewidth

- If a graph G has treewidth k, then many classical NP-hard problems can be solved in time $2^{O(k)} \cdot n^{O(1)}$ or $2^{O(k \log k)} \cdot n^{O(1)}$ on G.
- ② A planar graph on n vertices has treewidth $O(\sqrt{n})$.

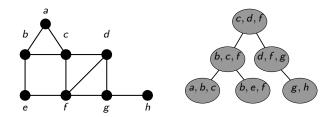
Treewidth — a measure of "tree-likeness"

Tree decomposition: Vertices are arranged in a tree structure satisfying the following properties:

- If u and v are neighbors, then there is a bag containing both of them.
- 2 For every v, the bags containing v form a connected subtree.

Width of the decomposition: largest bag size -1.

treewidth: width of the best decomposition.



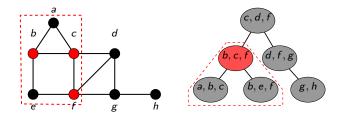
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A subtree communicates with the outside world only via the root of the subtree.

Subexponential algorithm for 3-COLORING

Theorem

3-Coloring can be solved in time $2^{O(w)} \cdot n^{O(1)}$ on graphs of treewidth w.

+

Theorem [Robertson and Seymour]

A planar graph on *n* vertices has treewidth $O(\sqrt{n})$.

 \downarrow

Corollary

3-Coloring can be solved in time $2^{O(\sqrt{n})}$ on planar graphs.

textbook algorithm + combinatorial bound ψ subexponential algorithm

Lower bounds

Corollary

3-COLORING can be solved in time $2^{O(\sqrt{n})}$ on planar graphs.

Two natural questions:

- Can we achieve this running time on general graphs?
- Can we achieve even better running time (e.g., $2^{O(\sqrt[3]{n})}$) on planar graphs?

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- Can we achieve even better running time (e.g., $2^{O(\sqrt[3]{n})}$) on planar graphs?

 $P \neq NP$ is not a sufficiently strong hypothesis: it is compatible with 3SAT being solvable in time $2^{O(n^{1/1000})}$ or even in time $n^{O(\log n)}$.

We need a stronger hypothesis!

Exponential Time Hypothesis (ETH)

Hypothesis introduced by Impagliazzo, Paturi, and Zane:

Exponential Time Hypothesis (ETH)

There is no $2^{o(n)}$ -time algorithm for *n*-variable 3SAT.

Note: current best algorithm is 1.30704ⁿ [Hertli 2011].

Note: an *n*-variable 3SAT formula can have $\Omega(n^3)$ clauses.

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Sparsification Lemma [Impagliazzo, Paturi, Zane 2001]

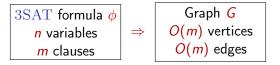
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There is a $2^{o(m)}$ -time algorithm for *m*-clause 3SAT.

Exponential Time Hypothesis (ETH)

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The textbook reduction from 3SAT to 3-Coloring:

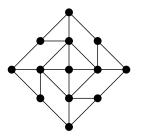


Corollary

Assuming ETH, there is no $2^{o(n)}$ algorithm for 3-Coloring on an n-vertex graph G.

What about 3-COLORING on planar graphs?

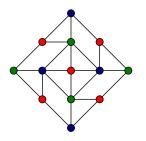
The textbook reduction from 3-Coloring to Planar 3-Coloring uses a "crossover gadget" with 4 external connectors:



- In every 3-coloring of the gadget, opposite external connectors have the same color.
- Every coloring of the external connectors where the opposite vertices have the same color can be extended to the whole gadgets.
- If two edges cross, replace them with a crossover gadget.

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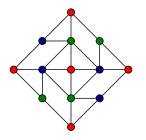
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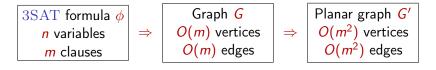
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- Every coloring of the external connectors where the opposite vertices have the same color can be extended to the whole gadgets.
- If two edges cross, replace them with a crossover gadget.

- The reduction from 3-COLORING to PLANAR 3-COLORING introduces O(1) new edge/vertices for each crossing.
- A graph with m edges can be drawn with $O(m^2)$ crossings.



Corollary

Assuming ETH, there is no $2^{o(\sqrt{n})}$ algorithm for 3-Coloring on an n-vertex planar graph G.

(Essentially observed by [Cai and Juedes 2001])

Summary of Chapter 1

Streamlined way of obtaining tight upper and lower bounds for planar problems.

Upper bound:

Standard bounded-treewidth algorithm + treewidth bound on planar graphs give $2^{O(\sqrt{n})}$ time subexponential algorithms.

Lower bound:

Textbook NP-hardness proof with quadratic blow up + ETH rule out $2^{o(\sqrt{n})}$ algorithms.

Works for Hamiltonian Cycle, Vertex Cover, Independent Set, Feedback Vertex Set, Dominating Set, Steiner Tree, ...

Chapter 2: Grid minors and bidimensionality

More refined analysis of the running time: we express the running time as a function of input size n and a parameter k.

Definition

A problem is **fixed-parameter tractable (FPT)** parameterized by k if it can be solved in time $f(k) \cdot n^{O(1)}$ for some computable function f.

Examples of FPT problems:

- Finding a vertex cover of size k.
- Finding a feedback vertex set of size k.
- Finding a path of length k.
- Finding k vertex-disjoint triangles.
- ...

Note: these four problems have $2^{O(k)} \cdot n^{O(1)}$ time algorithms, which is best possible on general graphs.

W[1]-hardness

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

For these problems, the exponent of n has to depend on k (the running time is typically $n^{O(k)}$).

Subexponential parameterized algorithms

What kind of upper/lower bounds we have for f(k)?

- For most problems, we cannot expect a 2^{o(k)} · n^{O(1)} time algorithm on general graphs.
 (As this would imply a 2^{o(n)} algorithm.)
- For most problems, we cannot expect a 2^{o(√k)} · n^{O(1)} time algorithm on planar graphs.
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Subexponential parameterized algorithms

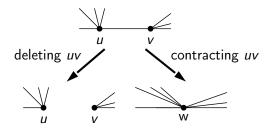
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- For most problems, we cannot expect a 2^{o(√k)} · n^{O(1)} time algorithm on planar graphs.
 (As this would imply a 2^{o(√n)} algorithm.)
- However, $2^{O(\sqrt{k})} \cdot n^{O(1)}$ algorithms do exist for several problems on planar graphs, even for some W[1]-hard problems.
- Quick proofs via grid minors and bidimensionality.
 [Demaine, Fomin, Hajiaghayi, Thilikos 2004]

Minors

Definition

Graph H is a minor of G ($H \le G$) if H can be obtained from G by deleting edges, deleting vertices, and contracting edges.

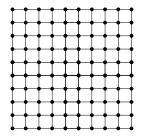


Note: length of the longest path in H is at most the length of the longest path in G.

Planar Excluded Grid Theorem

Theorem [Robertson, Seymour, Thomas 1994]

Every planar graph with treewidth at least 4k has a $k \times k$ grid minor.



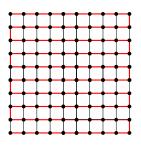
Note: for general graphs, we need treewidth at least $k^{4k^4(k+2)}$ for a $k \times k$ grid minor [Diestel et al. 1999]

(A k^{O(1)} bound was just announced [Chekuri and Chuznoy 2013]!)

Bidimensionality for k-PATH

Observation: If the treewidth of a planar graph G is at least $4\sqrt{k}$

- \Rightarrow It has a $\sqrt{k} \times \sqrt{k}$ grid minor (Planar Excluded Grid Theorem)
- \Rightarrow The grid has a path of length at least k.
- \Rightarrow G has a path of length at least k.



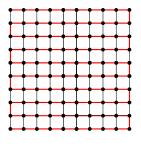
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We use this observation to find a path of length at least k on planar graphs:

- Set $w := 4\sqrt{k}$.
- Find an O(1)-approximate tree decomposition.
 - If treewidth is at least w: we answer "there is a path of length at least k."
 - If we get a tree decomposition of width O(w), then we can solve the problem in time $2^{O(w \log w)} \cdot n^{O(1)} = 2^{O(\sqrt{k} \log k)} \cdot n^{O(1)}$

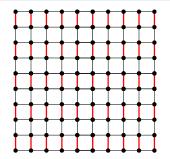


Bidimensionality

Definition

A graph invariant x(G) is minor-bidimensional if

- $x(G') \le x(G)$ for every minor G' of G, and
- If G_k is the $k \times k$ grid, then $x(G_k) \ge ck^2$ (for some constant c > 0).



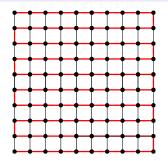
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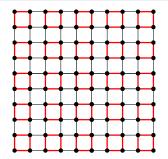
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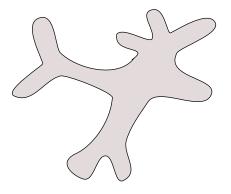
Summary of Chapter 2

Tight bounds for minor-bidimensional planar problems.

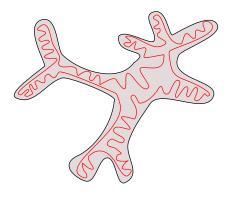
- Upper bound: Standard bounded-treewidth algorithm + planar excluded grid theorem give $2^{O(\sqrt{k})} \cdot n^{O(1)}$ time FPT algorithms.
- Lower bound: Textbook NP-hardness proof with quadratic blow up + ETH rule out $2^{o(\sqrt{n})}$ time algorithms \Rightarrow no $2^{o(\sqrt{k})} \cdot n^{O(1)}$ time algorithm.

Variant of theory works for contraction-bidimensional problems, e.g., INDEPENDENT SET, DOMINATING SET.

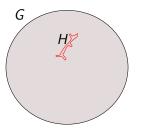
So far the way we have used treewidth is to find something (e.g., Hamiltonian cycle) in a large bounded-treewidth graph:



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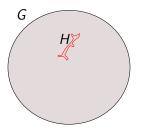
But we can also find small bounded-treewidth objects in an arbitrary large graph.



Theorem [Alon, Yuster, Zwick 1994]

Given a graph H and weighted graph G, we can find a minimum weight subgraph of G isomorphic to H in time $2^{O(|V(H)|)} \cdot n^{O(\mathsf{tw}(H))}$.

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If the problem can be formulated as finding a graph of treewidth $O(\sqrt{k})$, then we get an $n^{O(\sqrt{k})}$ time algorithm.

Examples

Three examples:

- PLANAR *k*-TERMINAL CUT Improvement from $n^{O(k)}$ to $2^{O(k)} \cdot n^{O(\sqrt{k})}$.
- PLANAR STRONGLY CONNECTED SUBGRAPH Improvement from $n^{O(k)}$ to $2^{O(k \log k)} \cdot n^{O(\sqrt{k})}$.
- SUBSET TSP with k cities in a planar graph Improvement from $2^{O(k)} \cdot n^{O(1)}$ to $2^{O(\sqrt{k} \log k)} \cdot n^{O(1)}$.

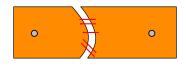
A classical problem

s-t Cut

Input: A graph G, an integer p, vertices s and t

Output: A set S of at most p edges such that removing S sep-

arates s and t.



Theorem [Ford and Fulkerson 1956]

A minimum s - t cut can be found in polynomial time.

What about separating more than two terminals?

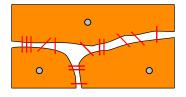
More than two terminals

k-TERMINAL CUT (aka MULTIWAY CUT)

Input: A graph G, an integer p, and a set T of k terminals

Output: A set S of at most p edges such that removing S sep-

arates any two vertices of T



Theorem [Dalhaus et al. 1994]

NP-hard already for k = 3.

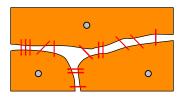
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Theorem [Dalhaus et al. 1994] [Hartvigsen 1998] [Bentz 2012]

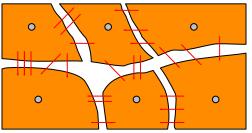
PLANAR k-TERMINAL CUT can be solved in time $n^{O(k)}$.

Theorem [Klein and M. 2012]

PLANAR **k**-TERMINAL CUT can be solved in time $2^{O(k)} \cdot n^{O(\sqrt{k})}$.

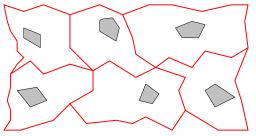
Dual graph

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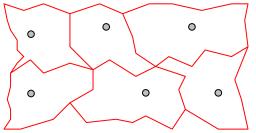


Recall:

 $\begin{array}{ccc} \text{Primal graph} & & \text{Dual graph} \\ & \text{vertices} & \Leftrightarrow & \text{faces} \\ & \text{faces} & \Leftrightarrow & \text{vertices} \\ & \text{edges} & \Leftrightarrow & \text{edges} \end{array}$

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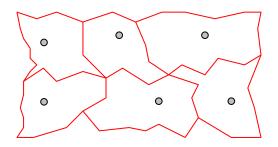


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We slightly transform the problem in such a way that the terminals are represented by **vertices** in the dual graph (instead of faces).

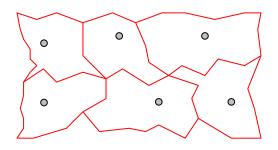
Finding the dual solution



Main ideas of [Dalhaus et al. 1994] [Hartvigsen 1998] [Bentz 2012]:

- **1** The dual solution has O(k) branch vertices.
- ② Guess the location of branch vertices $(n^{O(k)}$ guesses).
- Deep magic to find the paths connecting the branch vertices (shortest paths are not necessarily good!)

Finding the dual solution



Idea for $n^{O(\sqrt{k})}$ time algorithm:

- Guess the graph *H* representing the branch vertices.
- Build a weighted complete graph G representing the distances in the planar graph.
- Find in time $n^{O(tw(H))} = n^{O(\sqrt{k})}$ a minimum weight copy of H in G.

Problem: How to ensure that the solution separates the terminals?

Lower bounds

Theorem [Klein and M. 2012]

PLANAR k-TERMINAL CUT can be solved in time $2^{O(k)} \cdot n^{O(\sqrt{k})}$.

Natural questions:

- Is there an $f(k) \cdot n^{o(\sqrt{k})}$ time algorithm?
- Is there an $f(k) \cdot n^{O(1)}$ time algorithm (i.e., is it fixed-parameter tractable)?

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The previous lower bound technology is of no help here: showing that there is no $2^{o(\sqrt{n})}$ time algorithm does not answer the question.

Lower bounds:

Theorem [M. 2012]

PLANAR k-TERMINAL CUT is W[1]-hard and has no $f(k) \cdot n^{o(\sqrt{k})}$ time algorithm (assuming ETH).

W[1]-hardness

Definition

A parameterized reduction from problem A to B maps an instance (x, k) of A to instance (x', k') of B such that

- $(x,k) \in A \iff (x',k') \in B$,
- $k' \leq g(k)$ for some computable function g.
- (x', k') can be computed in time $f(k) \cdot |x|^{O(1)}$.

Easy: If there is a parameterized reduction from problem A to problem B and B is FPT, then A is FPT as well.

Definition

A problem P is W[1]-hard if there is a parameterized reduction from k-CLIQUE to P.

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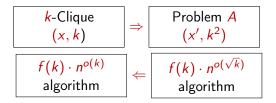
A problem P is W[1]-hard if there is a parameterized reduction from k-CLIQUE to P.

Tight bounds

Theorem [Chen et al. 2004]

Assuming ETH, there is no $f(k) \cdot n^{o(k)}$ algorithm for k-CLIQUE for any computable function f.

Transfering to other problems:



Bottom line:

To rule out $f(k) \cdot n^{o(\sqrt{k})}$ algorithms, we need a parameterized reduction that blows up the parameter at most quadratically.

Grid Tiling

GRID TILING

Input: A $k \times k$ matrix and a set of pairs $S_{i,j} \subseteq [D] \times [D]$ for

each cell.

Find: A pair $s_{i,j} \in S_{i,j}$ for each cell such that

Horizontal neighbors agree in the first component.

Vertical neighbors agree in the second component.

(1,1)	(1,5)	(1,1)
(1,3)	(4,1)	(4,2)
(4,2)	(3,5)	(3,3)
(2,2)	(1,3)	(2,2)
(4,1)	(2,1)	(3,2)
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Fact

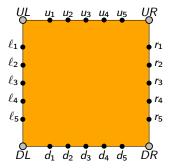
There is a parameterized reduction from k-CLIQUE to $k \times k$ GRID TILING.

Reduction from $k \times k$ GRID TILING to PLANAR k^2 -TERMINAL CUT

For every set $S_{i,j}$, we construct a gadget with 4 terminals such that

- for every $(x, y) \in S_{i,j}$, there is a minimum multiway cut that represents (x, y).
- every minimum multiway cut represents some $(x, y) \in S_{i,j}$.

Main part of the proof: constructing these gadgets.



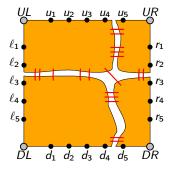
The gadget.

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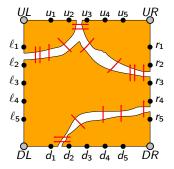
A cut representing (2,4).

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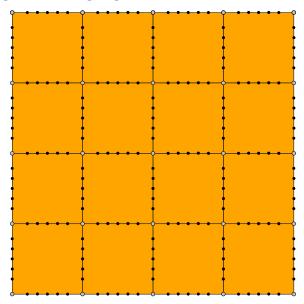
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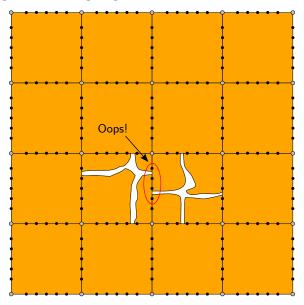


A cut not representing any pair.

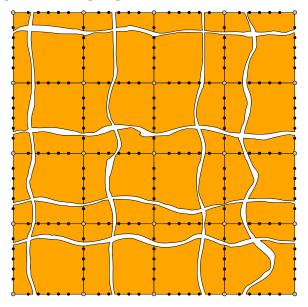
Putting together the gadgets



Putting together the gadgets



Putting together the gadgets



PLANAR k-TERMINAL CUT

• Upper bound:

Looking at the dual + cutting open a Steiner tree + guessing a topology + finding a graph of treewidth $O(\sqrt{k})$.

Lower bound:

ETH + reduction from GRID TILING + tricky gadget construction rule out $f(k) \cdot n^{o(\sqrt{k})}$ time algorithms.

STRONGLY CONNECTED SUBGRAPH

Undirected graphs:

STEINER TREE: Find a minimum weight connected subgraph that contains all k terminals.

Theorem [Dreyfus-Wagner 1972]

STEINER TREE can be solved in time $2^{O(k)} \cdot n^{O(1)}$.

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Directed graphs:

STRONGLY CONNECTED SUBGRAPH: Find a minimum weight strongly connected subgraph that contains all k terminals.

Theorem

STRONGLY CONNECTED SUBGRAPH on general directed graphs

- can be solved in time $n^{O(k)}$ [Feldman and Ruhl 2006],
- is W[1]-hard parameterized by *k* [Guo, Niedermeier, Suchý 2011].

STRONGLY CONNECTED SUBGRAPH on planar graphs

Theorem [Feldman and Ruhl 2006]

STRONGLY CONNECTED SUBGRAPH can be solved in time $n^{O(k)}$ on general directed graphs.

Natural questions:

- Is there an $f(k) \cdot n^{o(k)}$ time algorithm on planar graphs?
- Is there an $f(k) \cdot n^{O(1)}$ time algorithm (i.e., is it fixed-parameter tractable) on planar graphs?

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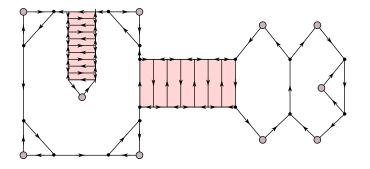
Theorem [Chitnis, Hajiaghayi, M.]

STRONGLY CONNECTED SUBGRAPH on planar directed graphs

- can be solved in time $2^{O(k \log k)} \cdot n^{O(\sqrt{k})}$,
- has no $f(k) \cdot n^{o(\sqrt{k})}$ time algorithm.

Optimum solutions

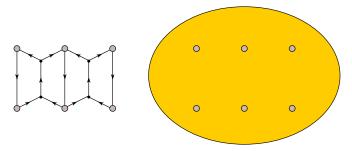
Closely looking at the $n^{O(k)}$ algorithm of [Feldman and Ruhl 2006] shows that an optimum solution consists of directed paths and "bidirectional strips":



With some work, we can bound the number paths/strips by O(k).

Algorithm

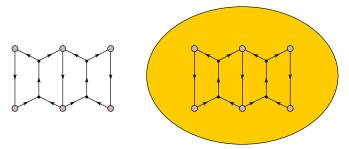
[Ignore the bidirectional strips for simplicity]



- We guess the topology of the solution $(2^{O(k \log k)})$ possibilities).
- Treewidth of the topology is $O(\sqrt{k})$.
- We can find the best realization of this topology (matching the location of the terminals) in time $n^{O(\sqrt{k})}$.

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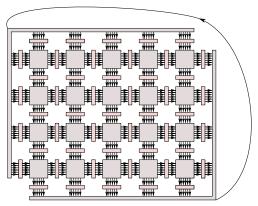
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Lower bound

Theorem [Chitnis, Hajiaghayi, M.]

STRONGLY CONNECTED SUBGRAPH has no $f(k) \cdot n^{o(\sqrt{k})}$ time algorithm on planar directed graphs (assuming ETH).

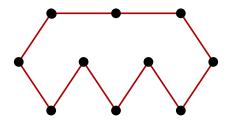
The proof is by reduction from $\mathbf{G}\mathbf{RID}\ \mathbf{TILING}$ and complicated construction of gadgets.



TSP

TSP

Input: A set T of cities and a distance function d on TOutput: A tour on T with minimum total distance



Theorem [Held and Karp]

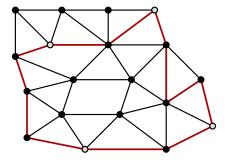
TSP with k cities can be solved in time $2^k \cdot n^{O(1)}$.

Dynamic programming:

Let x(v, T') be the minimum length of path from v_{start} to v visiting all the cities $T' \subseteq T$.

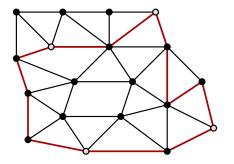
SUBSET TSP on planar graphs

Assume that the cities correspond to a subset \mathcal{T} of a planar graph and distance is measured in this planar graph.



SUBSET TSP on planar graphs

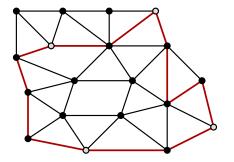
Assume that the cities correspond to a subset \mathcal{T} of a planar graph and distance is measured in this planar graph.



- Can be solved in time $2^{O(\sqrt{n})}$.
- Can be solved in time $2^k \cdot n^{O(1)}$.
- Question: Can we solve it in time $2^{O(\sqrt{k})} \cdot n^{O(1)}$?

SUBSET TSP on planar graphs

Assume that the cities correspond to a subset T of a planar graph and distance is measured in this planar graph.

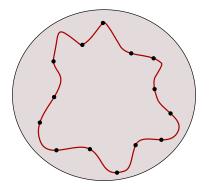


Theorem [Klein and M.]

SUBSET TSP for k cities in a (unit-weight) planar graph can be solved in time $2^{O(\sqrt{k} \log k)} \cdot n^{O(1)}$.

TSP and treewidth

- We wanted to formulate the problem as finding a low treewidth subgraph.
- A cycle has treewidth 2, is this of any help?

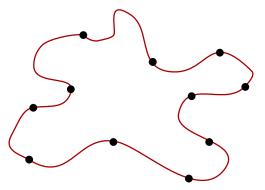


Problem:

We have to remember the subset of cities visited by the partial tour $(2^k$ possibilities).

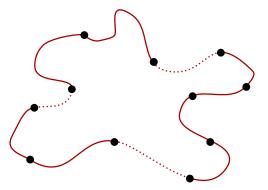
c-change TSP

- c-change operation: removing c steps of the tour and connecting the resulting c paths in some other way.
- A solution is c-OPT if no c-change can improve it.
- We can find a c-OPT solution in $k^{O(c)} \cdot D$ time, where D is the maximum distance (if distances are integers).



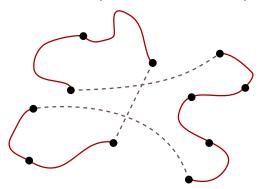
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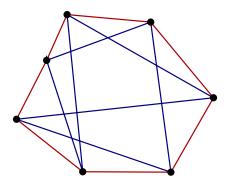
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The treewidth bound

Consider the union of an optimum solution and a 4-OPT solution as a graph on k vertices:



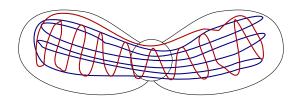
Lemma

The union of an optimum solution and a 4-OPT solution has treewidth $O(\sqrt{k})$ [some techincal details omitted].

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- The union has separators of size $O(\sqrt{k})$.
- In each component, the set of cities visited by the optimum solution is nice: it is the same as what $O(\sqrt{k})$ segments of the 4-OPT tour visited $(k^{O(\sqrt{k})})$ possibilities).

Summary of Chapter 3

Parameterized problems where bidimensionality does not work.

• Upper bounds:

Algorithms based on finding a bounded-treewidth subgraph. Treewidth bound is problem-specific:

- k-TERMINAL CUT: dual solution has O(k) branch vertices.
- PLANAR STRONGLY CONNECTED SUBGRAPH: solution consists of O(k) paths/strips.
- SUBSET TSP on planar graphs: the union of an optimum solution and a 4-OPT solution has treewidth O(k).

Lower bounds:

To rule out $f(k) \cdot n^{o(\sqrt{k})}$ time algorithms, we have to prove W[1]-hardness by reduction from GRID TILING.

- **Chapter 1**: Subexponential algorithms using treewidth.
 - Algorithms: standard treewidth algorithms.
 - Lower bounds: textbook NP-completeness proofs + ETH.
- Chapter 2: Grid minors and bidimensionality.
 - Algorithms: standard treewidth algorithms + excluded grid theorem.
 - Lower bounds: textbook NP-completeness proofs + ETH.
- Chapter 3: Finding bounded-treewidth solutions.
 - Algorithms: the solution can be represented by a graph of treewidth $O(\sqrt{k})$.
 - Lower bounds: grid-like W[1]-hardness proofs to rule out $f(k) \cdot n^{o(\sqrt{k})}$ algorithms.

• A robust understanding of why certain problems can be solved in time $2^{O(\sqrt{n})}$ etc. on planar graphs and why the square root is best possible.

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- A robust understanding of why certain problems can be solved in time $2^{O(\sqrt{n})}$ etc. on planar graphs and why the square root is best possible.
- Going beyond the basic toolbox requires new problem-specific algorithmic techniques and hardness proofs with tricky gadget constructions.
- The lower bound technology on planar graphs cannot give a lower bound without a square root factor. Does this mean that there are matching algorithms for other problems as well?
 - $2^{O(\sqrt{k})} \cdot n^{O(1)}$ time algorithm for STEINER TREE with k terminals in a planar graph?
 - $2^{O(\sqrt{k})} \cdot n^{O(1)}$ time algorithm for finding a cycle of length exactly k in a planar graph?
 - ...