The complexity of Shortest Common Supersequence for inputs with no identical consecutive letters

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Abstract

The Shortest Common Supersequence problem (SCS for short) consists in finding a shortest common supersequence of a finite set of words on a fixed alphabet Σ. It is well-known that its decision version denoted [SR8] in [3] is NP-complete. Many variants have been studied in the literature. In this paper we settle the complexity of two such variants of SCS where inputs do not contain identical consecutive letters. We prove that those variants denoted φSCS and MSCS both have a decision version which remains NP-complete when $|\Sigma| \geq 3$. Note that it was known for MSCS when $|\Sigma| \geq 4$ [2] and we discuss how [1] states a similar result for $|\Sigma| \geq 3$.

The two problems we study are precisely described below. In this paper, we will use the following terminology. Given two words over an alphabet Σ, $u = u_1 \dots u_p$ ($u_i \in \Sigma$) and $v = v_1 \dots v_q$ ($v_i \in \Sigma$), an *embedding* of u into v is an injection f from $\{1, \dots, p\}$ into $\{1, \dots, q\}$ such that $u_i = v_{f(i)}$. It tells that v is a supersequence of u and we also say that f maps letters of u onto letters of v. We will also use equivalently the terms *pattern*, *block* or *factor* to designate a sequence of consecutive letters in a word. A supersequence *for a set of words* is a word which is a supersequence for each of those words.

To define the first problem, we use the notations $\Sigma_2 = \{0, 1\}$ and $\Sigma_3 = \{0, 1, 2\}$, and we define the word morphism $\varphi : \Sigma_2^* \to \Sigma_3^*$ by $\varphi(0) = 0202$ and $\varphi(1) = 1$.

Shortest Common Supersequence for some inputs generated by φ - decision version φSCS **Input:** A set $L = \{w_1, \dots, w_n\}$ of words on the alphabet Σ_3 such that $L \subseteq \varphi(\Sigma^*)$, each w_i contains exactly two ones, which moreover are non consecutive, and an integer k.

Output: Does there exist a supersequence of L of size less than k?

The second variant has been named Modified SCS in [2].

Modified Shortest Common Supersequence (MSCS) - decision version **Input:** A set $L = \{w_1, \dots, w_n\}$ of words on an alphabet $\Sigma = \{a_1, a_2, \dots, a_d\}$ such that no word w_i contains two consecutive identical letters and no word w_i starts with letter a_1, and an integer k.

Output: Does there exist a supersequence of L of size less than k?

A careful look at those two problems shows that φSCS is a particular case of MSCS if $|\Sigma| \geq 3$. The input words for φSCS are a concatenation of patterns 0202 and 1 with no consecutive ones, thus they do not contain consecutive identical letters. Moreover none of those input words starts

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with letter 2. Up to relabelling the letters, one may consider that $a_1 = 2$. Consequently if we show that φSCS is NP-complete then MSCS is also NP-complete if $|\Sigma| \geq 3$. The threshold on $|\Sigma|$ which involves NP-hardness is tight: when $|\Sigma| = 2$, MSCS is trivially polynomial.

Note that Fleischer and Woeginger designed in [2] a reduction proving that MSCS is NP-complete when $|\Sigma| \geq 4$. One should also mention Darte's work [1] which does not focus directly on MSCS, but states a result about typed fusions for typed directed graphs in a compilation context. However, as he explains at the beginning of Section 3.5, when the directed graphs are disjoint union of chains, his problem is equivalent to SCS. Moreover the conditions over its typed fusions and digraphs implies that the SCS inputs equivalent to his digraph inputs, are words with no identical consecutive letters. Thus Proposition 3 in [1] can be interpreted as the fact that SCS for inputs with no identical consecutive letters is NP-complete. His reduction from Vertex Cover uses the alphabet $\Sigma = \{0, 1, \bar{a}\}$ and a careful look shows that he generates SCS inputs where no word starts with $\bar{a}$. Consequently one could state that the NP-completeness of MSCS for three letters is shown there. His reduction is derived from a paper of Räihä and Ukkonen [5] as well as its proof. Unfortunately it is 10 pages long and hard to check.

The main purpose of our work is to provide a new NP-completeness reduction for MSCS when $|\Sigma| \geq 3$, with a shorter proof, so that the result becomes undisputed. To this end, we choose to show that φSCS is NP-complete. Our proof is a very close adaptation of Theorem 4.2 of [4] where Middendorf proves the NP-completeness of another variant of the Shortest Common Supersequence Problem. The NP-completeness reduction will start from Vertex Cover, but we will need the next two lemmas.

Lemma 1. *Let L be a set of words over Σ_3, such that $L \subseteq \varphi(\Sigma^*)$, and $S = s_1 \dots s_l$ be a supersequence of L. Then there exists a supersequence S' of L of size $\leq |S|$ such that $S' \subseteq \varphi(\Sigma^*)$.*

Proof. • *First step:* Let S' be a supersequence of L and let S'' be the string obtained from S' after applying one of the following operations:

1. If S' ends by 0, delete it.
2. If S' starts by 2, delete it
3. If S' contains 00, replace it by 0.
4. If S' contains 22, replace it by 2.
5. If S' contains 01, replace it by 10.
6. If S' contains 12, replace it by 21.

Then S'' is still a supersequence of L: indeed, item (i) and (ii) are obvious since no word of L starts by 2 nor ends by 0. For item (iii), observe that no embedding can map two 0 onto two consecutive 0, since no word contains two consecutive 0. Thus if S' contains 00 at index i, and f is an embedding of $w \in L$ so that f maps a zero of w onto s_{i+1}, we can modify f to map this zero onto s_i. Then s_{i+1} is useless and we can delete it. The same argument applies for item (iv). For item (v), observe that no embedding can map a 0 and a 1 onto two consecutive 0 and 1 because this pattern does not appear in any word of L. Thus if S' contains 01 at index i, and f is an embedding of $w \in L$ so that f maps a zero of w onto s_i (resp. a one of w onto s_{i+1}), we can swap the 0 and the 1 in S and modify f to map the zero of w onto s_{i+1} (resp. the one of w onto s_i). The same argument applies for item (vi).

Consequently, starting from S, we can iterately "push" the zeros from left to right by deletion (transformation 00 into 0) or switching (01 into 10), and delete the last letter if it is a zero, until getting a supersequence S_1 where each 0 is followed by a 2. In the same manner, starting from S_1, we can iterately "push" the 2's from right to left until getting a supersequence S_2 where each two is preceded by a zero. In other words, S_2 is formed by blocks of 02 and blocks of 1. Observe that for such supersequences and for every $w \in L$, there always exists an embedding f of $w \in L$ such that for each block 02, either f maps two consecutive letters to this block or f maps no letter to this block. We will focus only on this type of embedding in the following. Observe moreover that $|S_2| \leq |S|$.

- *Second step:* The goal is to build a supersequence S_3 formed by blocks of 0202 and blocks of 1. Suppose first that S_2 starts by $(02)^{2k'}1$ for some $k' \in \mathbb{N}$. Consider the first apparition $s_i \dots s_{i+2k+2}$, $i \in [0 : |S_2|]$ of a pattern $1(02)^{2k+1}1$ for any $k \in \mathbb{N}$ and call $2j$ the number of blocks of 02 before the pattern. Let S' be the string obtained from S_2 by replacing this pattern by $1(02)^{2k}102$. Then S' is a supersequence of each $w \in L$: let f be an embedding of w in S_2. Either f does not map any letter to $s_{i+2k+2} = 1$, or f uses at most $2k$ blocks of 02 between $s_i = 1$ and $s_{i+2k+2} = 1$, or there exists a block of 02 among the $2j$th first blocks such that f maps no letter to this block and f maps no 1 between this block of 02 and s_{i+1}. Otherwise, $w \notin \varphi(\Sigma^*)$. In each one of the three cases, we can easily modify f so that S' is a supersequence of w. We can iterate the process until no odd block of 02 is found. Finally, if S' ends with a pattern $1(02)^{2k+1}$, we can replace it by $1(02)^{2k}$ and still have a supersequence: if f is an embedding of $w \in L$, either f uses only $2k$ blocks among these $2k+1$, or there exists a block of 02 in S' before the 1 which is not used by f and such that f maps no one after this block. Thus we can modify f as in the previous arguments. The last case if when S_2 starts with $(02)^{2k'+1}1$: we can replace this pattern at the very first step by $(02)^{2k'}102$ by the same arguments. Thus we obtain a supersequence S_3 of size $\leq |S|$ such that $S_3 \in \varphi(\Sigma^*)$. □

Lemma 2. *Let n be a positive even integer, $L = \{S_0, \dots, S_{n^2}\}$ be a set of strings with $S_i = (0202)^i 1 (0202)^{n^2-i}$ for $i \in [0 : n^2]$. Then let S be a supersequence of L such that $S \in \varphi(\Sigma^*)$:*

- *If S contains exactly k ones, then S contains at least $\lceil (n^2+1)/k \rceil - 1 + n^2$ blocks of 0202.*
- *If S contains exactly $n^2 - 1 + k$ blocks of 0202, then S contains at least $\lceil (n^2+1)/k \rceil$ ones.*
- *The string $S_{\min} = 1((02)^n 1)^{2n}(02)^{n-2}$ is a shortest supersequence of L. It has length $4n^2 + 4n - 3$.*

Proof.

- Let S containing k ones. There must be a subset L' of L which contains at least $\lceil (n^2+1)/k \rceil$ strings such that the strings in L' can be embedded in S in such a way that the ones in these strings are mapped onto the same one of S. Let $i_{\max} = \max\{i | S_i \in L'\}$ and $i_{\min} = \min\{i | S_i \in L'\}$. Since $S_{i_{\min}}$ and $S_{i_{\max}}$ are mapped onto the same one, S must contain at least $i_{\max} + n^2 - i_{\min}$ zeros. Moreover, $i_{\max} \geq i_{\min} + \lceil (n^2+1)/k \rceil - 1$, so S contains at least $\lceil (n^2+1)/k \rceil - 1 + n^2$ blocks of 0202.

- Let S containing $n^2 - 1 + k$ blocks of 0202. Consider a one in S and let L' be the subset of L such that the one in the strings of L' is mapped onto this one. Let j be the number of blocks of 0202 before this one in S. Then $S_i \in L'$ only if $i \leq j$ and $n^2 - i \leq n^2 - 1 + k - j$,

i.e. only if $j+1-k \leq i \leq j$. Let $i_{\max} = \max\{i | S_i \in L'\}$ and $i_{\min} = \min\{i | S_i \in L'\}$. Then $|L'| \leq i_{\max} - i_{\min} + 1 \leq j - j - 1 + k + 1 \leq k$. At most k strings are mapped onto the same one, thus there are at least $\lceil (n^2+1)/k \rceil$ ones.

- $S_{\min}$ is indeed a supersequence of L: first, it is a supersequence of S_0. Secondly, if $i \neq 0$, there exists $j \in [1:2n]$ such that $(j-1)n/2 + 1 \leq i \leq jn/2$. Then the one in S_i can be mapped to the $(j+1)$th one, and there is $jn/2 \geq i$ blocks of 0202 before the one, and $(2n-j)n/2+n/2-1$ blocks of 0202 after the one, which is enough to map the suffix $(0202)^{n^2-i}$ because $(2n-j)n/2+n/2-1 \geq n^2-((j-1)n/2+1) \geq n^2-i$. So $S_{\min}$ is indeed a supersequence of L.

  Let S' be the shortest supersequence of L. By Lemma 1, $S' \in \varphi(\Sigma^*)$, so we can apply (i): if k is the number of ones of S', then $|S'| \geq k + 4\lceil (n^2+1)/k \rceil - 4 + 4n^2 \geq f(k)$ where f is the function defined on $\mathbb{R}$ by $f(x) = x + 4(n^2+1)/x - 4 + 4n^2$. However, f admits a minimum on $\mathbb{R}$ which is $f(2\sqrt{n^2+1}) = 4\sqrt{n^2+1} + 4n^2 - 4 > 4n + 4n^2 - 4$. Consequently, $|S'| \geq f(k) > 4n + 4n^2 - 4$. Since $|S'|$ is an integer, $|S'| \geq 4n + 4n^2 - 3 = |S|$.

□

Theorem 3. *φSCS is NP-complete.*

Proof. Obviously, φSCS is in NP. We reduce the Vertex Cover problem to it. Let $G = (V, E)$ be a graph with vertices $V = \{v_1, \ldots, v_n\}$ and edge set $E = \{e_1, \ldots e_m\}$ and an integer k be an instance of Vertex Cover. Recall that the Vertex Cover problem asks whether G has a vertex cover of size $\leq k$, i.e. a subset $V' \subseteq V$ with $|V'| \leq k$ such that for each edge $v_iv_j \in E$, at least one of v_i and v_j is in V'. Let us now construct our instance of φSCS:

For all $i \in [1:n], j \in [0:36n^2]$, let
$A_i = (0202)^{6n(i-1)+3n}1(0202)^{6n(n+1-i)}$,
$B_j = (0202)^j 1 (0202)^{36n^2-j}$,
$X_i^j = A_iB_j$.

For each edge $e_l = v_iv_j \in E$, $i < j$, let
$T_l = (0202)^{6n(i-1)}1(0202)^{6n(j-i-1)+3n}1(0202)^{6n(n+2-j)}(0202)^{36n^2-1}$.

Now let $L = \{X_i^j | i \in [1:n], j \in [0:36n^2]\} \cup \{T_l | l \in [1:m]\}$. Clearly, L can be constructed in polynomial time, each string in L is in $\varphi(\Sigma^*)$ and has exactly two ones, which are non consecutive. We will now show that L has a supersequence of length $\leq 168n^2 + 37n - 3 + k$ if and only if G has a vertex cover V' of size $\leq k$.

Suppose $V' = \{v_{i_1}, \ldots, v_{i_k}\}$ is a vertex cover of G. Define
$S' = ((02)^{6n}1(02)^{6n})^{i_1-1}1((02)^{6n}1(02)^{6n})^{i_2-i_1}1 \ldots ((02)^{6n}1(02)^{6n})^{i_k-i_{k-1}}1((02)^{6n}1(02)^{6n})^{n+1-i_k}(02)^{6n}$,
$S'' = 1((02)^{6n}1)^{12n}(02)^{6n-2}$,
$S = S'S''$, then $|S| = 168n^2 + 37n - 3 + k$.

By Lemma 2, S'' is a supersequence of $\{B_j | j \in [0:36n^2]\}$. Moreover, $((02)^{6n}1(02)^{6n})^n(02)^{6n}$ is a supersequence of $\{A_i | i \in [1:n]\}$ thus S' also is. From this we deduce that S is a supersequence of $\{X_i^j | i \in [1:n], j \in [0:36n^2]\}$.

Finally, let us prove that S is a supersequence of T_l for $l \in [1:m]$. Let $e_l = v_iv_j$, $i < j$, and consider the two following cases:

- *Case 1*: $v_i \in V'$, i.e. there exists $t \in [1:k]$ such that $i = i_t$. The suffixe $(0202)^{36n^2-1}$ of T_l can be embedded in S''. The goal is to prove that the pre-

fix $P_l = (0202)^{6n(i-1)}1(0202)^{6n(j-i-1)+3n}1(0202)^{6n(n+2-j)}$ can be embedded in S'. Observe that one can obtain the following subsequence S'_l of S' by deleting a few ones: $S'_l = ((02)^{6n}1(02)^{6n})^{i_t-1}1((02)^{6n}1(02)^{6n})^{n+1-i_{t_1}}(02)^{6n}$. Now S'_l can be rewritten $S'_l = ((02)^{6n}1(02)^{6n})^{i-1}\underline{1}((02)^{6n}1(02)^{6n})^{j-i-1}(02)^{6n}\underline{1}(02)^{6n}((02)^{6n}1(02)^{6n})^{n+1-j}(02)^{6n}$. Now we can embed the prefix P_l in S'_l by mapping its two ones onto the two underlined ones of S'_l and checking that the number of blocks of 0202 is enough.

- *Case 2*: $v_j \in V'$. The suffixe $(0202)^{3n}(0202)^{36n^2-1}$ of T_l can be embedded in S''. We can prove similarly to Case 1 that the prefix $P_l = (0202)^{6n(i-1)}1(0202)^{6n(j-i-1)+3n}1(0202)^{6n(n+1-j)+3n}$ can be embedded in S'.

Finally, S is a supersequence of L of size $168n^2 + 37n - 3 + k$.

Suppose now that L has a supersequence of length $\leq 168n^2 + 37n - 3 + k$. By Lemma 1, L has a supersequence S of size $\leq 168n^2 + 37n - 3 + k$ such that $S \in \varphi(\Sigma^*)$. Define S' and S'' such that $S = S'S''$, where S' is the shortest prefix of S that contains exactly $6n^2 + 3n$ blocks of 0202. Since each A_i contains $6n^2 + 3n$ blocks of 0202, like S', and S is a supersequence of X_i^j, then S'' is a supersequence of $\{B_j | j \in [0 : 36n^2]\}$. Let us state the following two claims:

Claim 4. *For each $i \in [1 : n]$, S' must contain a one between the $(6n(i-1)+3n)$th block of* 0202 *and the $(6in)$th block of* 0202*. Consequently, S' contains at least n ones.*

Proof. Assume for contradiction that the claim does not hold for an $i \in [1 : n]$. Then the one in A_i is mapped on a one in S which is after at least $6in$ blocks of 0202. Since S' contains only $6n^2+3n$ blocks of 0202, the suffix $(0202)^{3n}$ of $A_i = (0202)^{6n(i-1)+3n}1(0202)^{6n^2+3n-6ni}(0202)^{3n}$ must be mapped onto S''. Consequently, S'' is a supersequence of $\{(0202)^{3n}B_j | j \in [0 : 36n^2]\}$, thus by Lemma 2, $|S''| \geq 4 \cdot 3n + 144n^2 + 24n - 3 = 144n^2 + 36n - 3$. Since $|S'| \geq 4(6n^2 + 3n)$, we have $|S| \geq 24n^2 + 12n + 144n^2 + 36n - 3 = 168n^2 + 48n - 3 > 168n^2 + 37n - 3 + k$, a contradiction. □

Claim 5. *For $l \in [1 : m]$ and $e_l = v_iv_j$, $i < j$, T_l cannot be embedded in S if S' contains a one neither between the $6n(i-1)$th block of* 0202 *and the $(6n(i-1)+3n)$th block of* 0202*, nor between the $6n(j-1)$th block of* 0202 *and the $(6n(j-1)+3n)$th block of* 0202*.*

Proof. Assume that the claim does not hold for an $l \in [1 : m]$ with $e_l = v_iv_j$, $i < j$. The suffix $(0202)^{6n+36n^2-1}$ of T_l must be mapped onto S'': indeed, let $P_l = (0202)^{6n(i-1)}1(0202)^{6n(j-i-1)+3n}1(0202)^{6n(n+1-j)}0$ be a prefix of T_l. The first one (resp. second one, last zero) of P_l must be mapped to a one (resp. one, zero) of S, let t_1 (resp. t_2, t_3) be the number of blocks of 0202 in S before this one (resp. one, zero). The assumption implies $t_1 \notin [6n(i-1) : 6n(i-1)+3n]$ and $t_2 \notin [6n(j-1) : 6n(j-1)+3n]$. By definition of P_l, $t_1 \geq 6n(i-1)$ thus, by assumption $t_1 \geq 6n(i-1)+3n$. By definition of P_l again, $t_2 \geq t_1 + 6n(j-i-1) + 3n \geq 6n(j-1)$. Consequently, $t_2 \geq 6n(j-1)+3n$. Finally, $t_3 \geq t_2 + 6n(n+1-j) \geq 6n^2 + 3n$. Since S' contains exactly $6n^2 + 3n$ blocks of 0202, the last zero of P_l is mapped onto S''.

Consequently, S'' must contain at least $6n+36n^2-1$ blocks of 0202. Assume S'' contains $36n^2+p$ blocks of 0202 with $p \geq 6n-1$. By Lemma 2 (ii), $|S''| \geq 4(36n^2+p) + \lceil (36n^2+1)/(p+1) \rceil \geq f(p)$ where f is the function defined on $\mathbb{R}$ by $f(x) = 4(36n^2+x) + (36n^2+1)/(x+1)$. But f is increasing on $[3n : +\infty[$. Since $p \geq 6n-1$, $f(p) \geq f(6n-1) = 4(36n^2 + 6n - 1) + (36n^2 + 1)/(6n) > 144n^2 + 24n - 4 + 6n$. Thus $|S''| \geq 144n^2 + 30n - 3$.

Since S' contains $6n^2+3n$ blocks of 0202 and, as a consequence of Claim 4, at least n ones, we have $|S'| \geq 4(6n^2+3n)+n = 24n^2+13n$. Consequently, $|S| \geq 144n^2+30n-3+24n^2+13n = 168n^2+43n-3 > 168n^2+37n-3+k$, a contradiction. □

Conclusion By Lemma 2, $|S''| \geq 144n^2+24n-3$. By definition, S' contains $6n^2+3n$ blocks of 0202. Since $|S| \leq 168n^2+37n-3+k$, S' can contain at most $168n^2+37n-3+k-(144n^2+24n-3)-4(6n^2+3n) = n+k$ ones. By Claim 4, there is a one between the $(6n(i-1)+3n)$th zero and the $6in$th zero of S' for each $i \in [1:n]$, which makes n ones. This implies that there can be at most k indices $i \in [1:n]$ such that there is a one between the $6n(i-1)$th zero and the $(6n(i-1)+3n)$th zero of S'. Let $i_1, \dots i_p$ be these indices, $p \leq k$. Thanks to Claim 5, we see that $\{v_{i_1}, \dots, v_{i_k}\}$ is a vertex cover of G of size $p \leq k$.

□

As explained in the presentation of the two variants, inputs for φSCS have no identical consecutive letters and do not start with 2, thus we immediatly gain the following corollary.

Corollary 6. MSCS *is NP-complete when* $|\Sigma| \geq 3$.

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