

# Binary Contingency Tables in Theory and Practice

Ivona Bezáčková

(Rochester Institute of Technology)

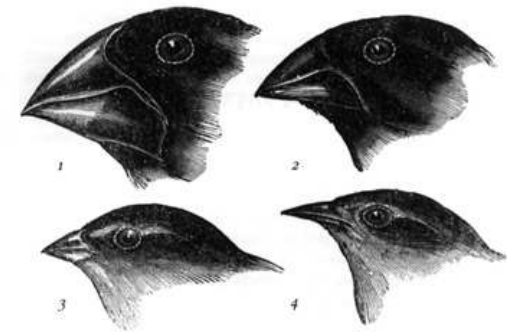
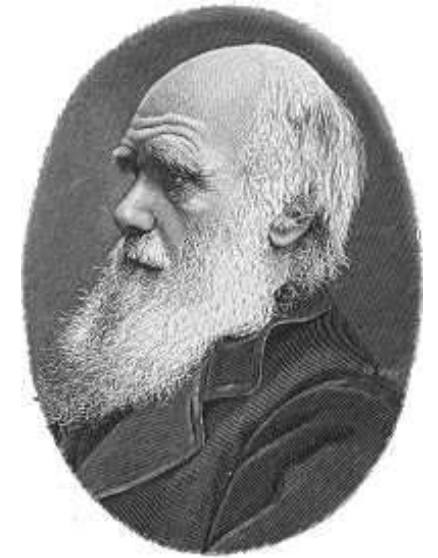
Based on joint works with Nayantara Bhatnagar, Alistair Sinclair, Daniel Štefankovič, and Eric Vigoda.

# Darwin's Finches



**The Voyage of the Beagle**

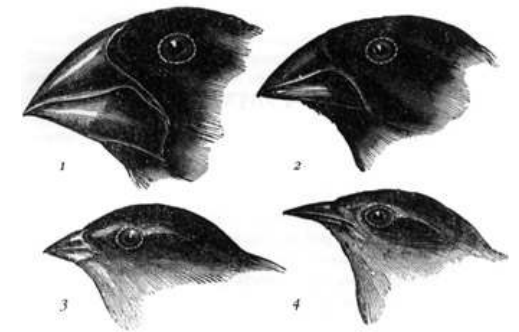
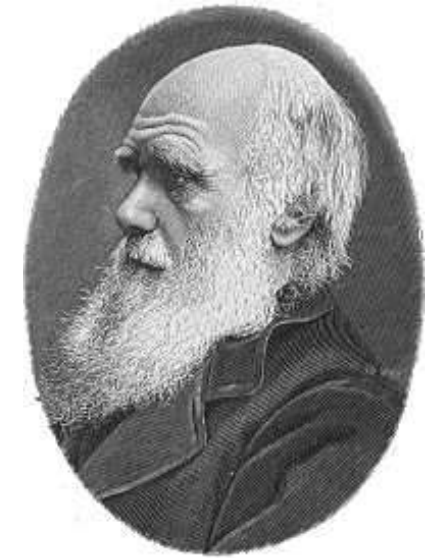
Galápagos archipelago (1835)



# Darwin's Finches

## Distribution of Darwin's Finches on Visitor Islands

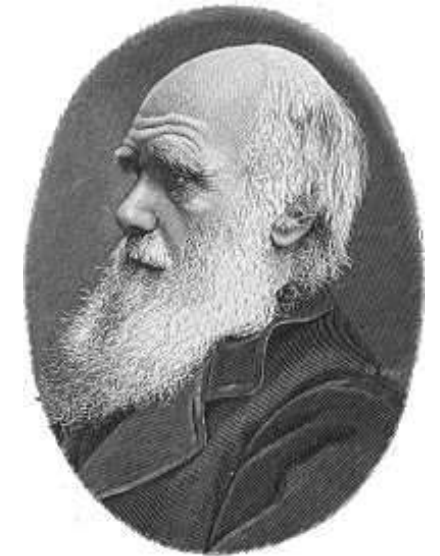
	Santa Cruz	Plaza	Santa Fe	San Cristobal	Espanola	Floreana	Isabela	Fernandina	Santiago	Rabida
Small Ground Finch	●	●	●	●	●	●	●	●	●	●
Medium Ground Finch	●	●	●	●		●	●	●	●	●
Large Ground Finch	●						●	●	●	●
Cactus Ground Finch	●	●	●	●		●	●		●	●
Large Cactus Ground Finch					●					
Sharp-beaked Ground Finch								●	●	
Vegetarian Finch	●			●		●	●	●	●	●
Small Tree Finch	●		●	●		●	●	●	●	●
Medium Tree Finch						●				
Large Tree Finch	●					●	●	●	●	●
Woodpecker Finch	●			●			●		●	
Mangrove Finch							●	●		
Warbler Finch	●		●	●	●	●	●	●	●	●



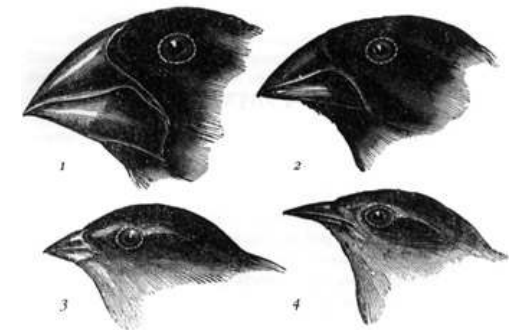
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Large Ground Finch	•						•	•	•	•
Cactus Ground Finch	•	•	•	•	•	•	•	•	•	•
Large Cactus Ground Finch					•					
Sharp-beaked Ground Finch								•	•	
Vegetarian Finch	•			•		•	•	•	•	•
Small Tree Finch	•		•	•		•	•	•	•	•
Medium Tree Finch						•				
Large Tree Finch	•					•	•	•	•	•
Woodpecker Finch	•			•			•		•	
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Warbler Finch	•		•	•	•	•	•	•	•	•



8



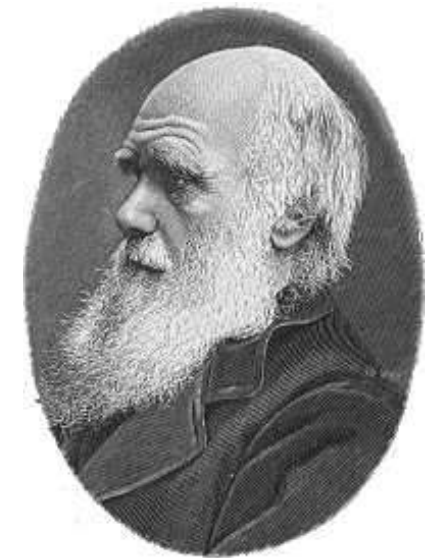
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9 3 5 7 3 8 10 9 10 8



10  
9  
6  
8  
2  
3  
7  
8  
1  
6  
4  
2  
10

chance

OR

competitive pressures

?

# Binary Contingency Tables

---

Input: marginals

(row sums  $r_1, r_2, \dots, r_m$ , column sums  $c_1, c_2, \dots, c_n$ )

Sample space: 0/1 tables satisfying the marginals

Goal: count / sample

							4
							2
							3
							5
							3
3	4	2	1	2	2	3	

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1	1			1		1	4
	1	1					2
1	1				1		3
	1	1		1	1	1	5
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# Different Approaches

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Theory (Markov chain Monte Carlo with simulated annealing)

- [Jerrum-Sinclair-Vigoda '01](#): approximate permanent in  $O^*(n^{10})$ , yields  $O^*((mn)^{10})$  algorithm for  $m \times n$  binary contingency tables
- [Bezáková-Bhatnagar-Vigoda '06](#):  $O^*((mn)^3(m+n)^5)$

Practice (sequential importance sampling, [Chen-Diaconis-Holmes-Liu '05](#))

- [Bezáková-Sinclair-Štefankovič-Vigoda '06](#): negative example
- [Jose Blanchet '06](#): SIS works if marginals  $O(n^{1/4})$
- [Bayati-Kim-Saberi '07](#): alternative importance sampling method, works if marginals  $O(n^{1/4})$

Practice (the switching Markov chain, [Diaconis-Gangolli '94](#))

- [Kannan-Tetali-Vempala '97](#), [Cooper-Dyer-Greenhill '05](#): works for regular marginals



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# Permanent: Broder Chain

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[Broder '88]

**What for:** uniform sampling of perfect matchings

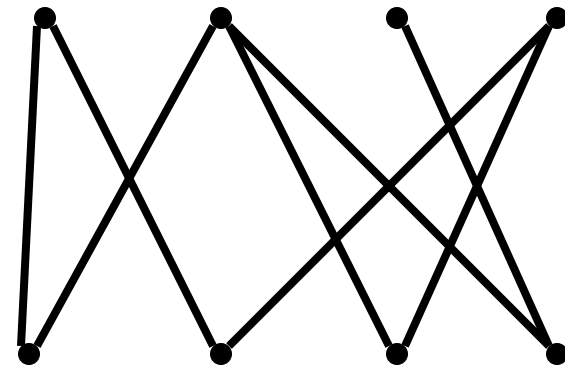
**How:** Markov chain on perfect + near-perfect matchings

Perfect matching:

subset of vertex-disjoint  
edges covering all vertices

Permanent:

number of all perfect matchings



# Permanent: Broder Chain

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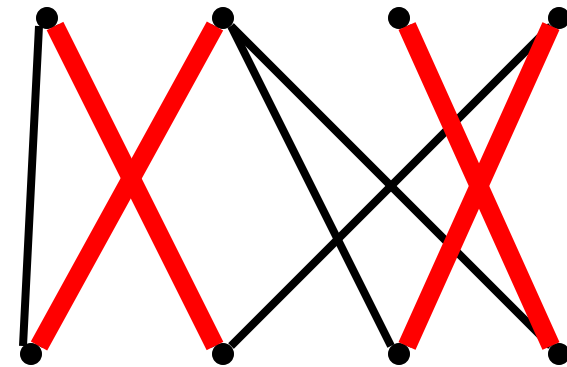
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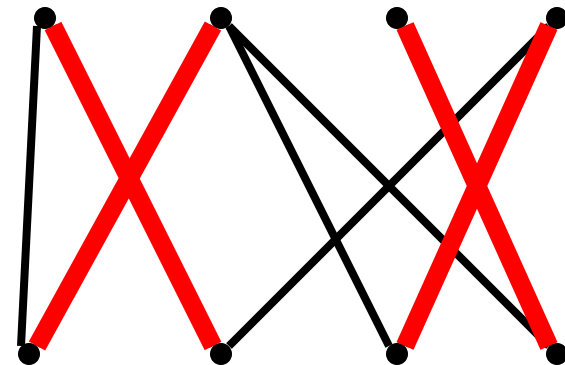
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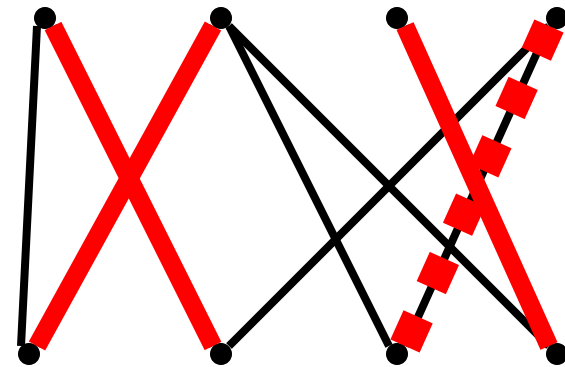
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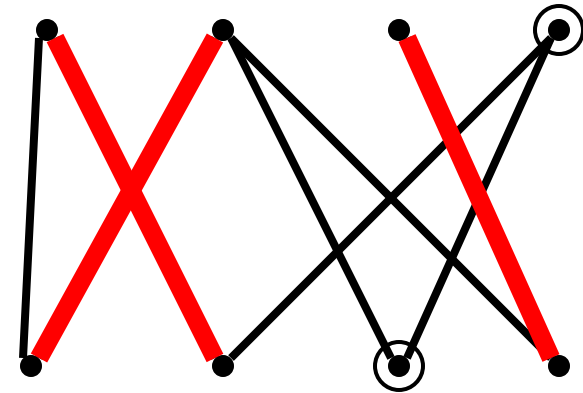
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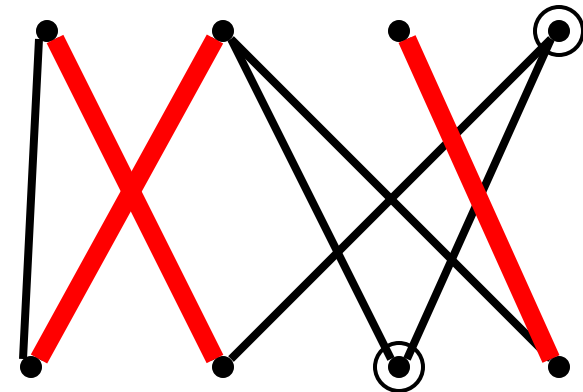
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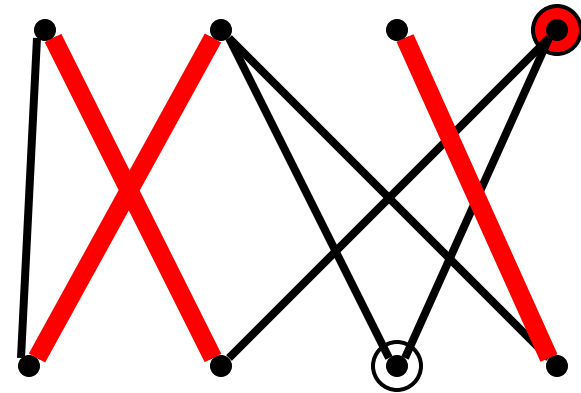
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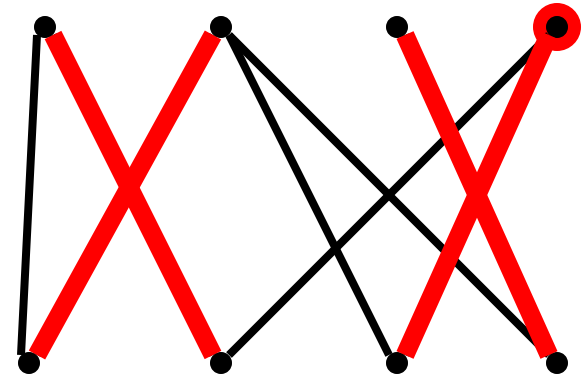
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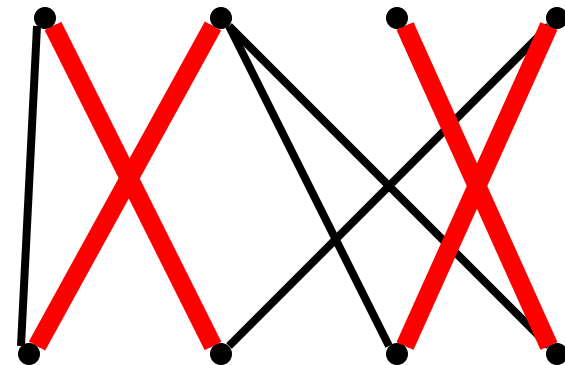
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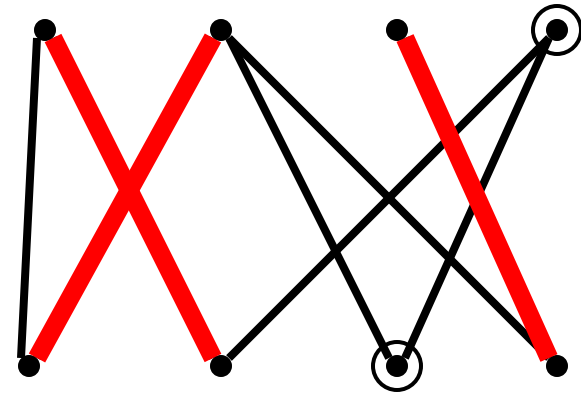
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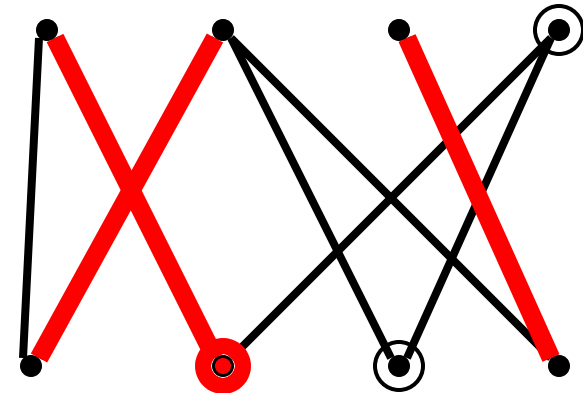
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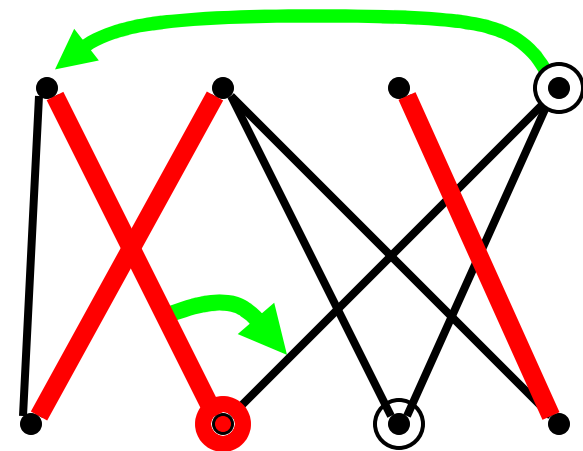
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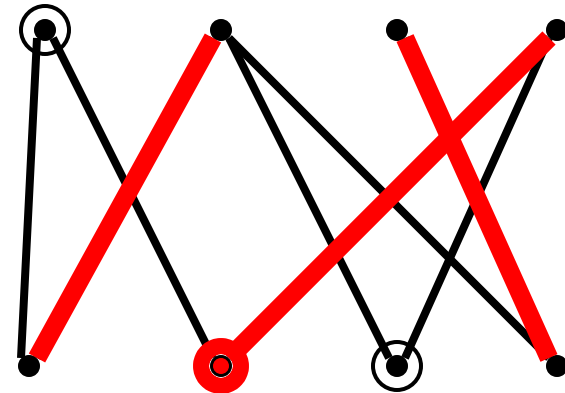
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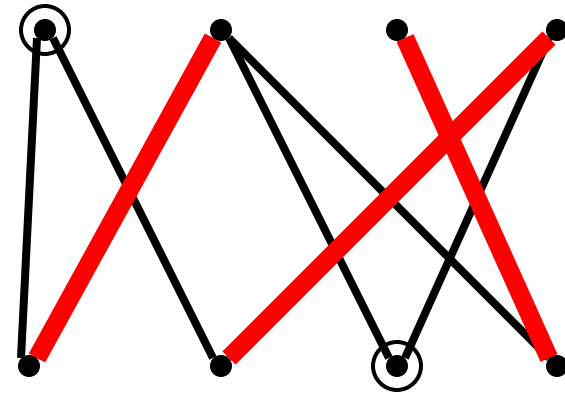
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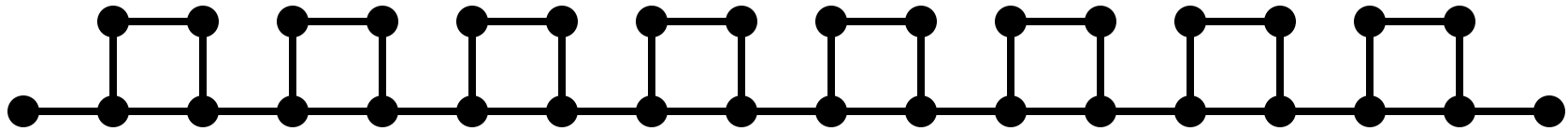


# Broder Chain

---

Mixes in polynomial time ?

Even if it did...



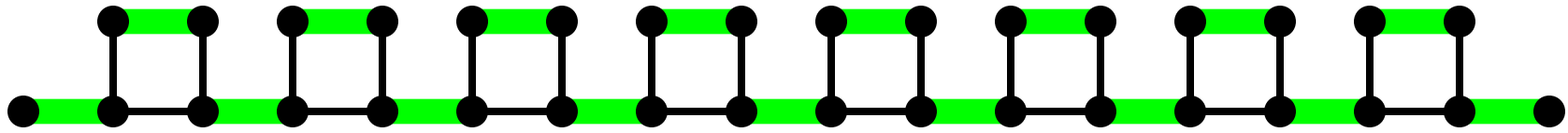


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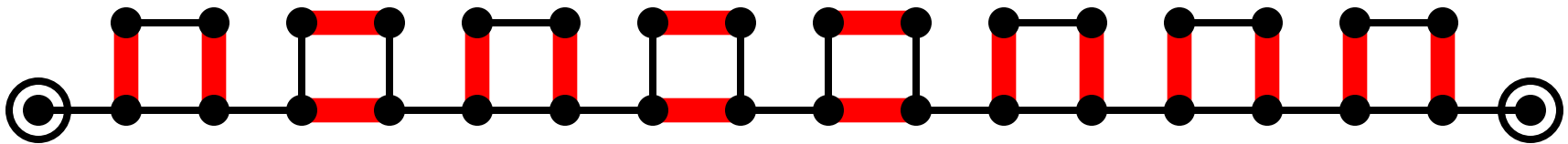


1 perfect matching

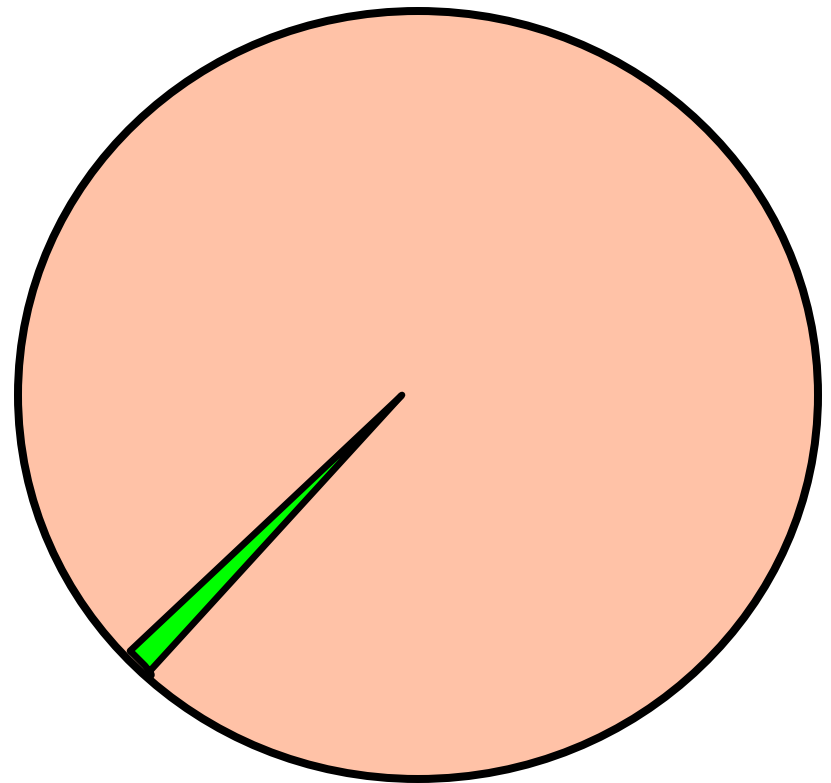
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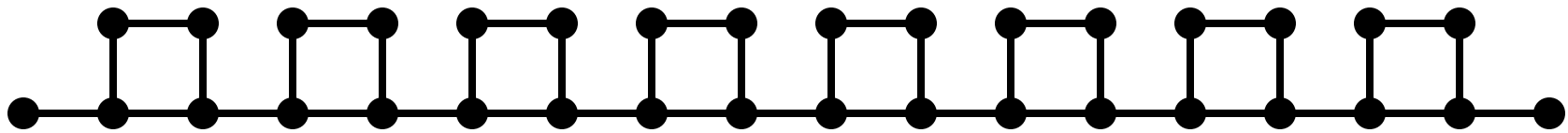
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 $\geq 2^{(n/4)}$  near matchings



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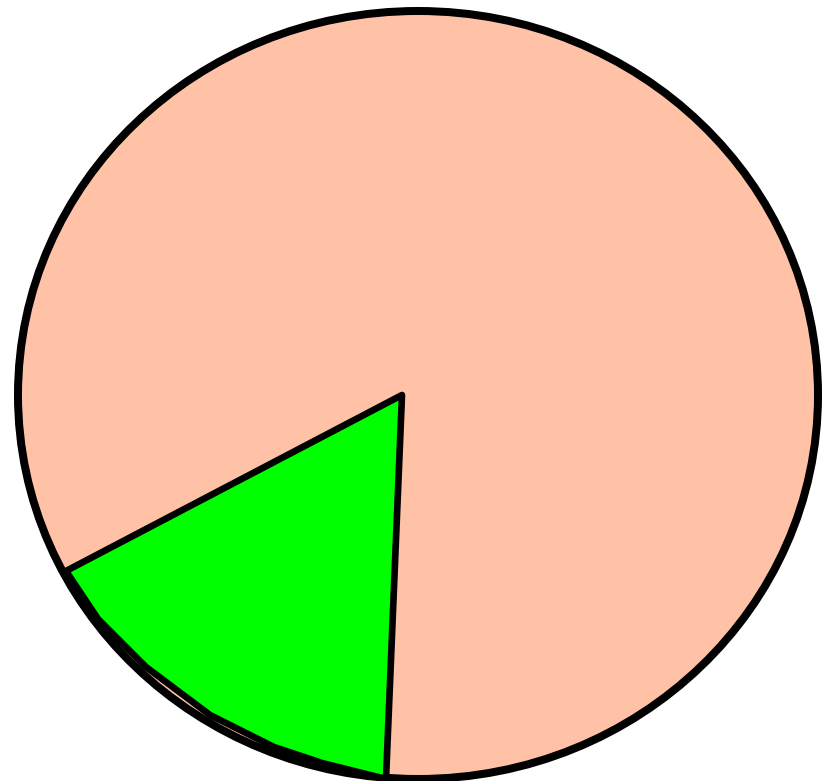


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Thm [Jerrum-Sinclair '89]:

Rapid mixing if perfects  
**polynomially** related to nears.

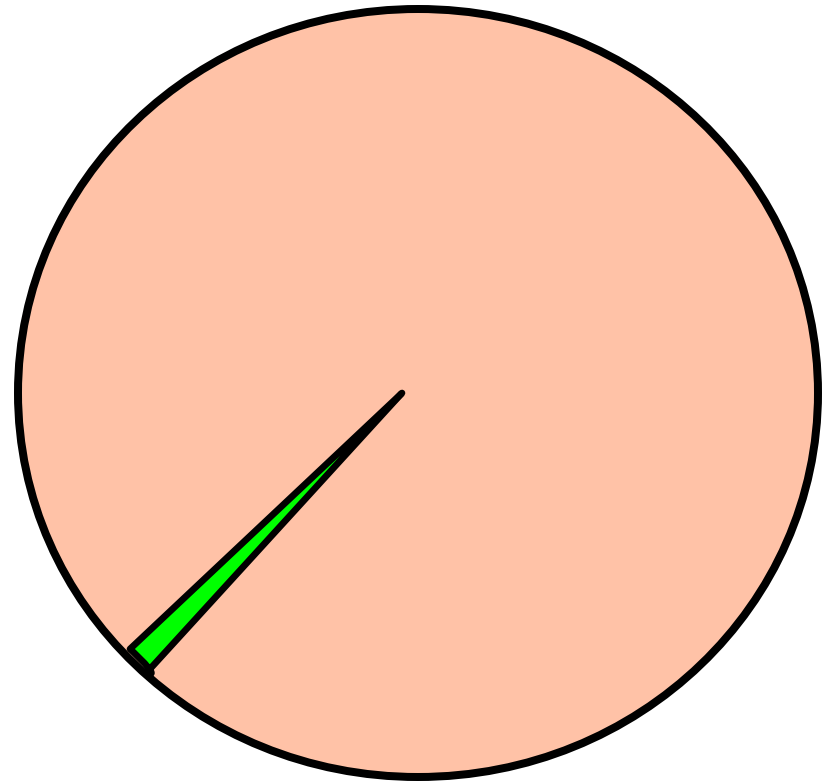


# Simulated Annealing for Permanent

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Jerrum-Sinclair-Vigoda '01:

Change the **weight** so that **perfect matchings** take **polynomial** fraction.



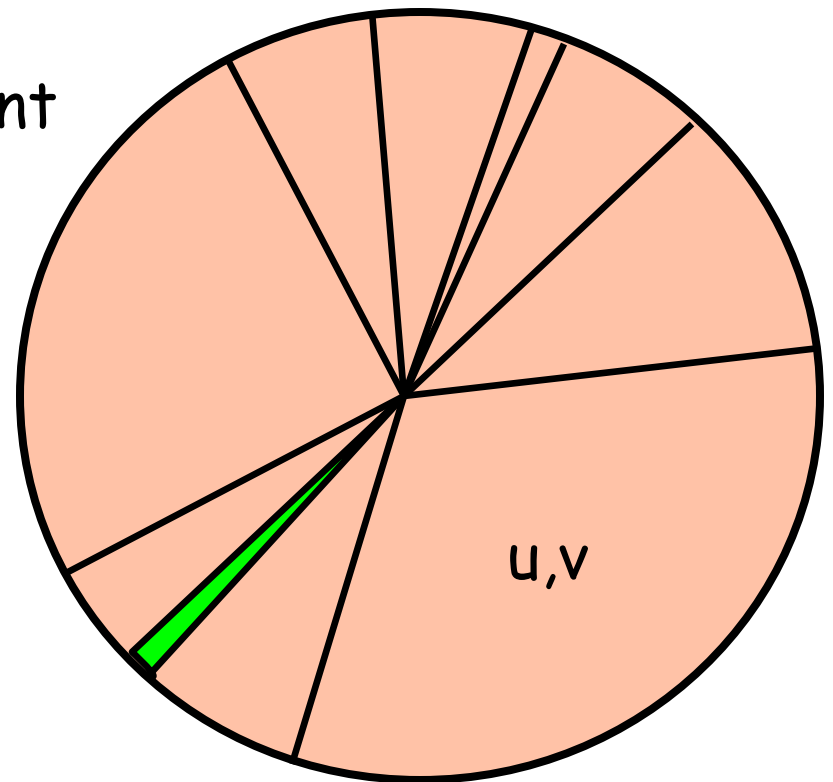
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Originally:  $n^2+1$  regions,  
very different  
size



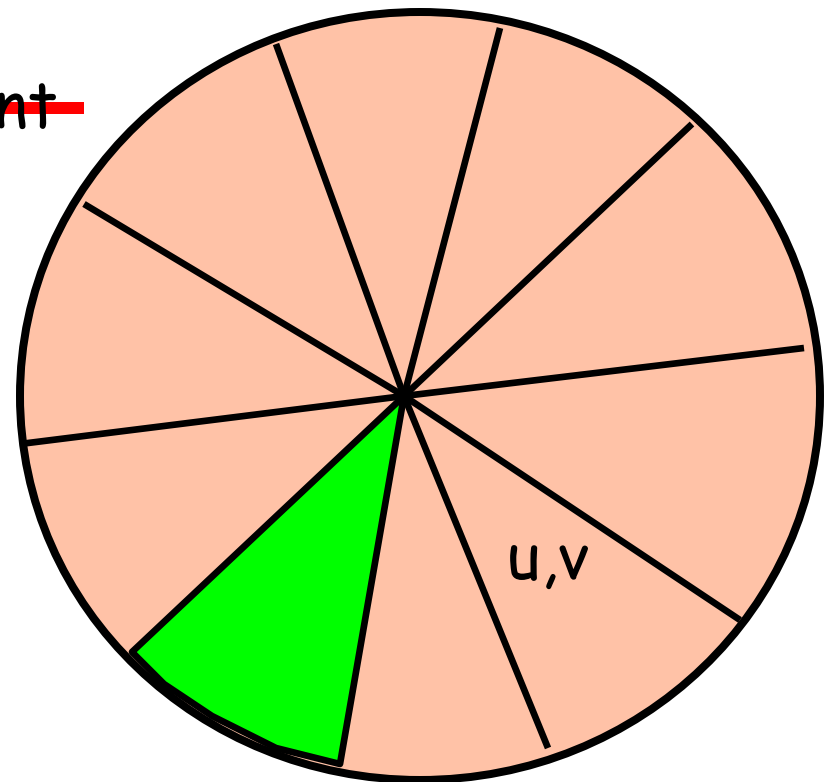
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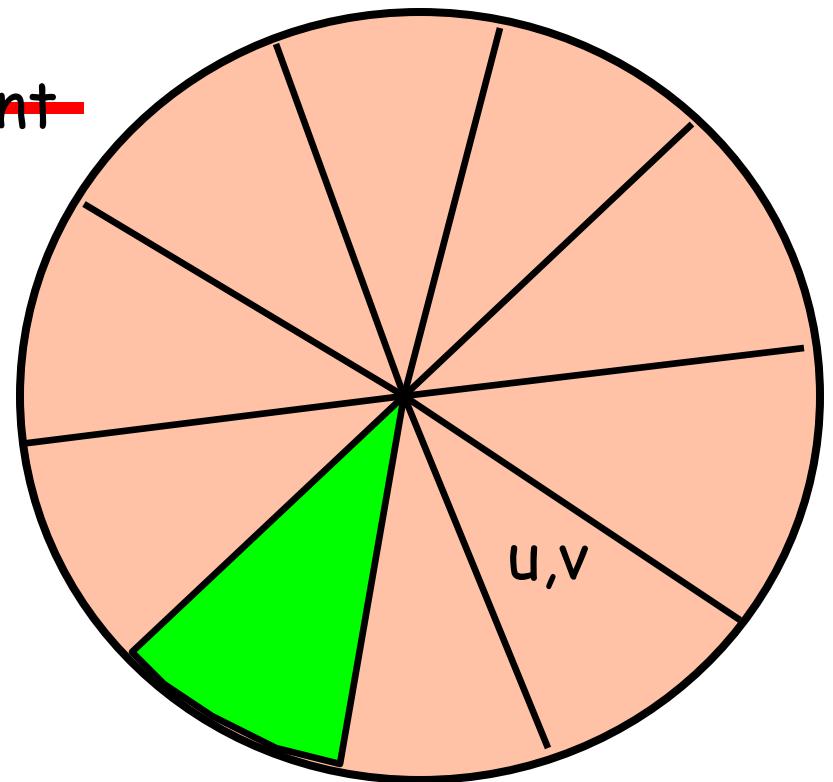
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**Ideal weights**

(for a matching with holes  $u,v$ ):

$$\frac{(\# \text{ perfects})}{(\# \text{ nears with holes } u,v)}$$



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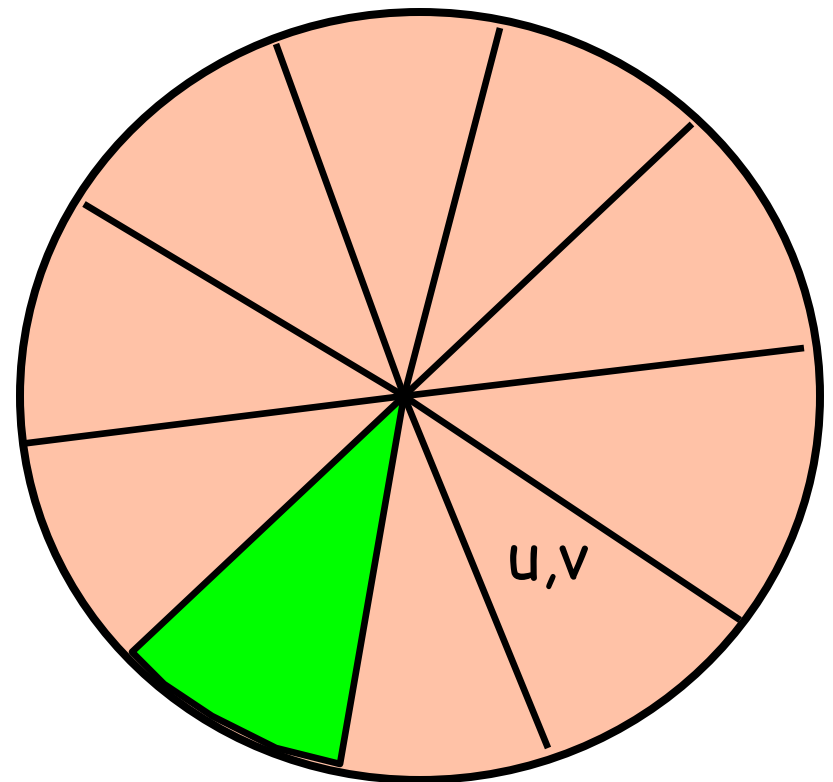
**Good:** A perfect matching sampled with prob.  $1/(n^2+1)$

**Bad:** Computing ideal weights as hard as original problem ?

Solution: **Approximate**

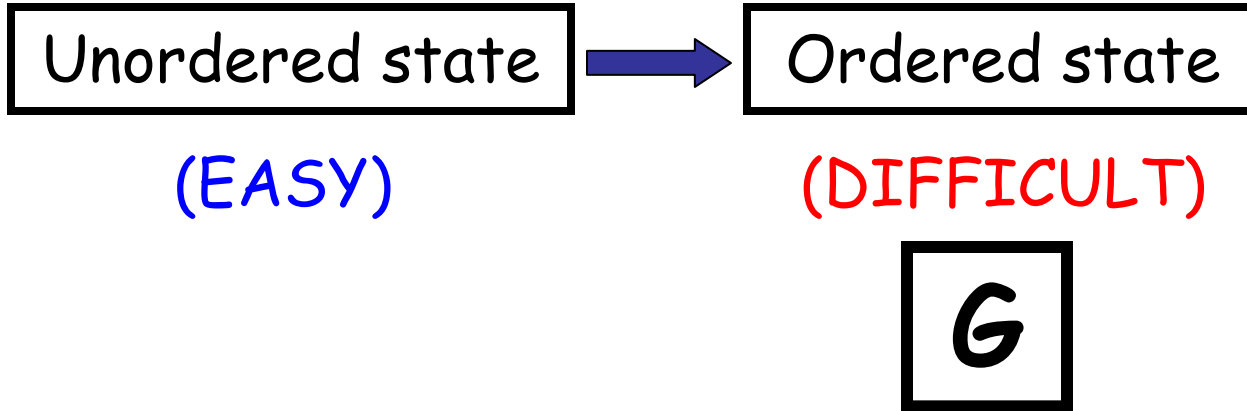
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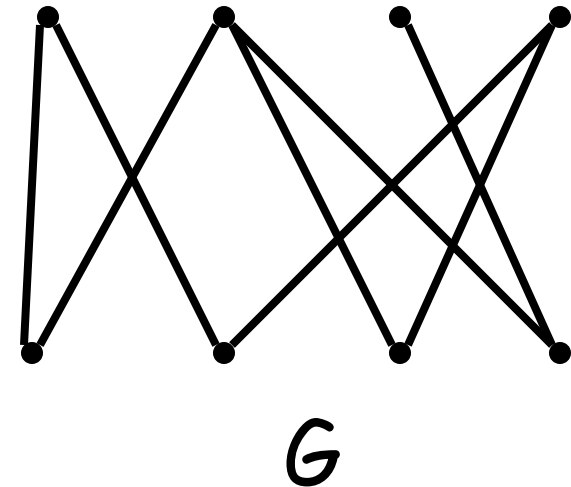
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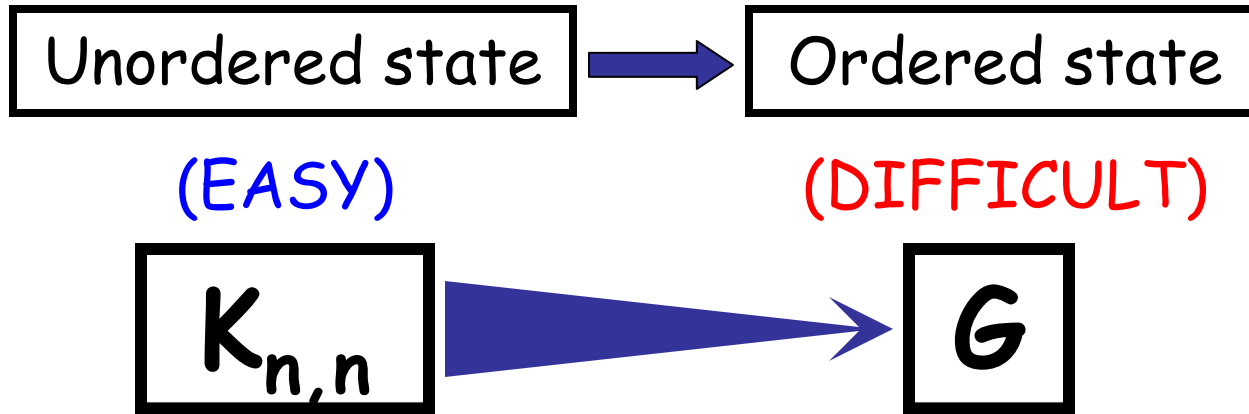
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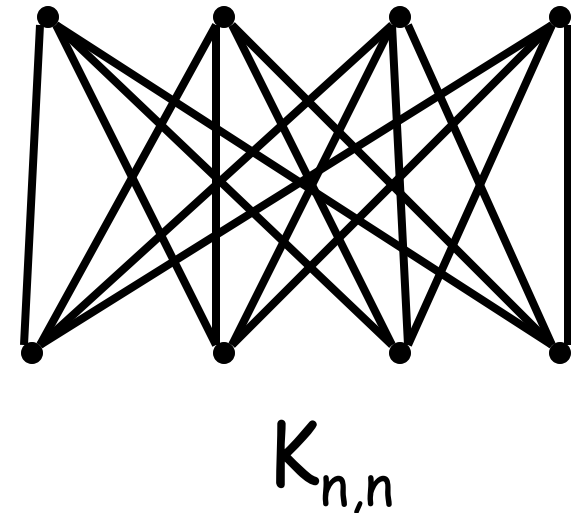
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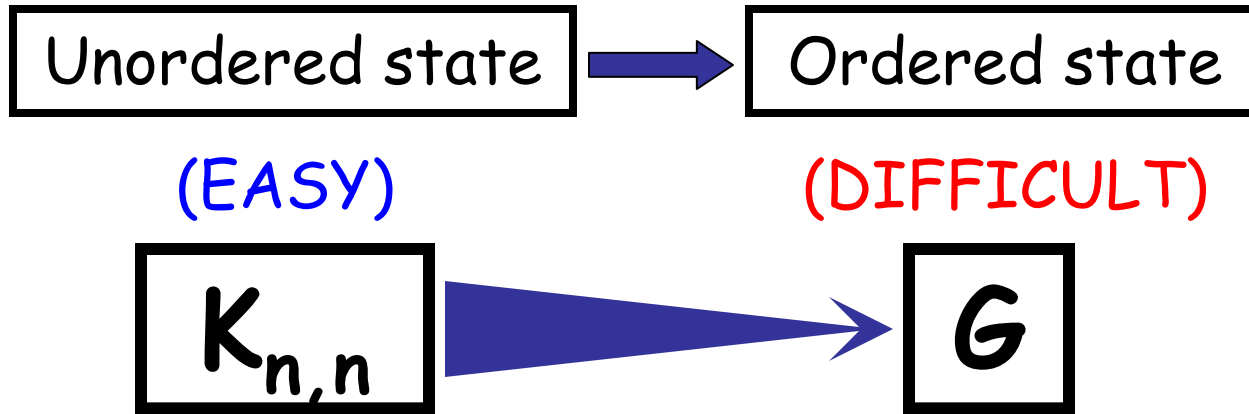
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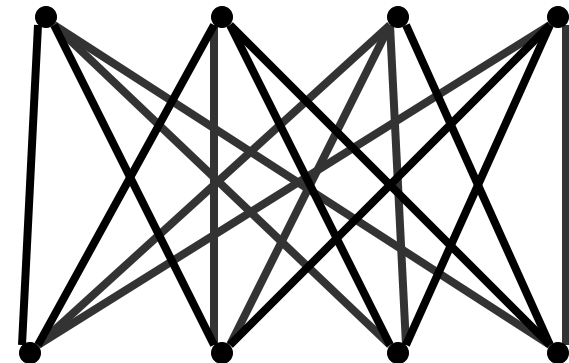
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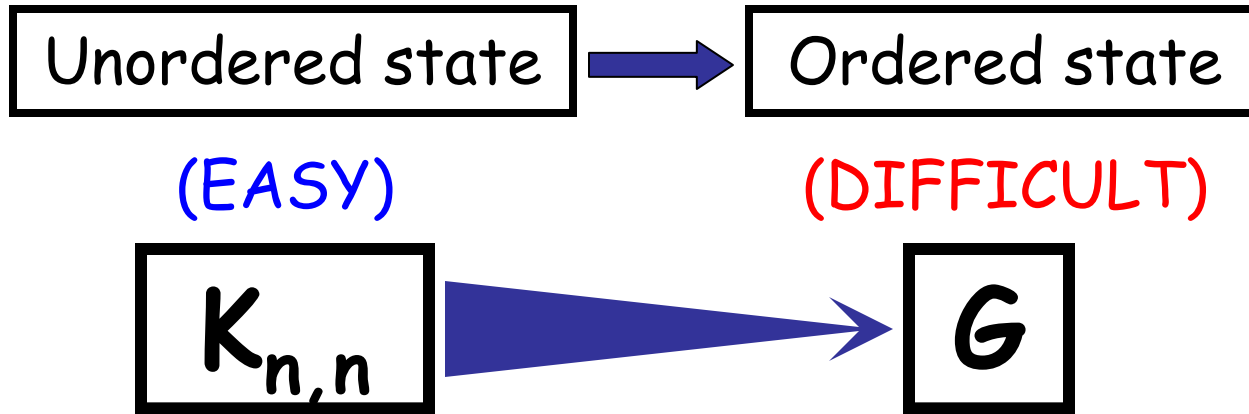
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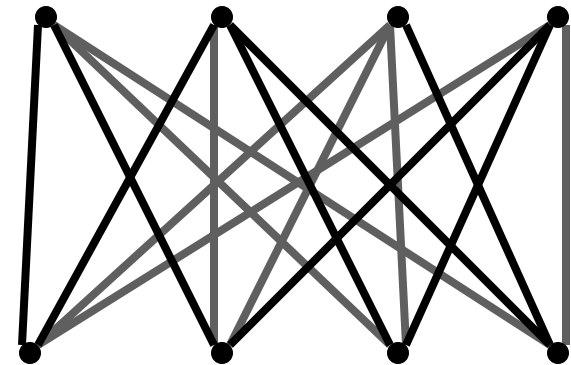
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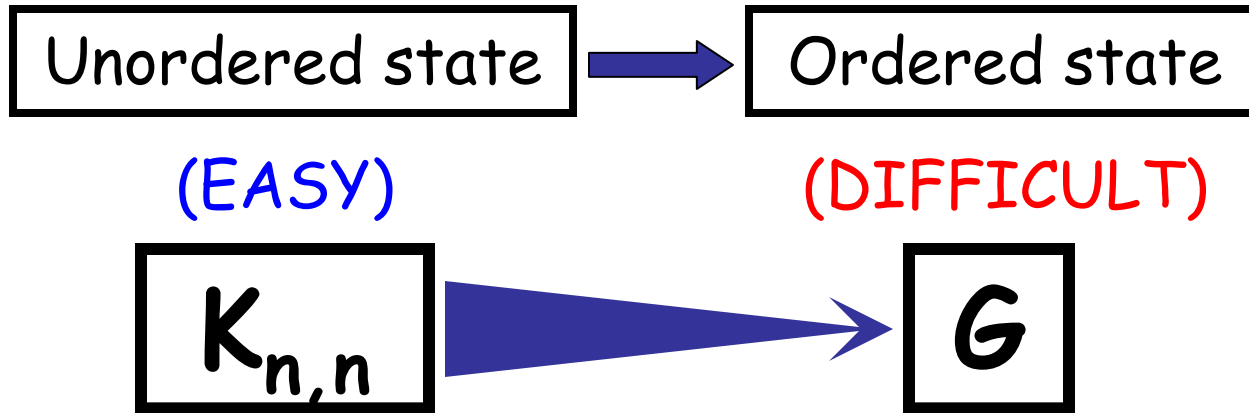
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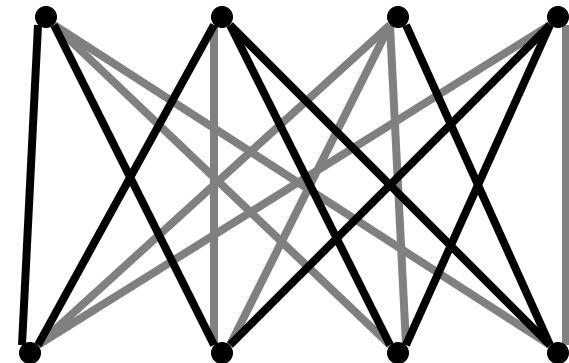
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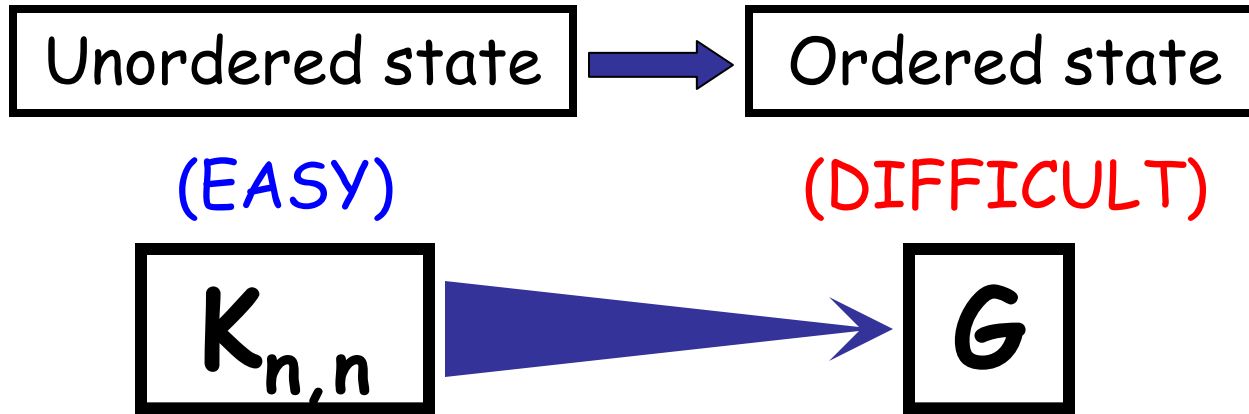
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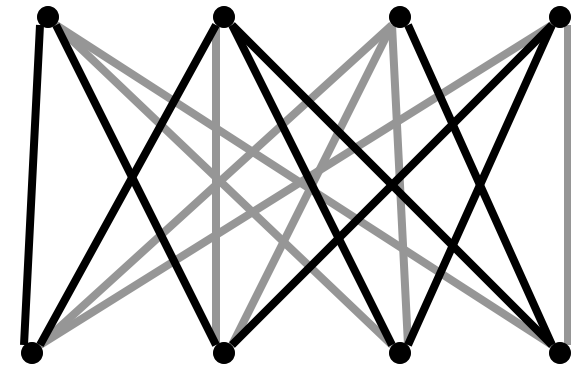
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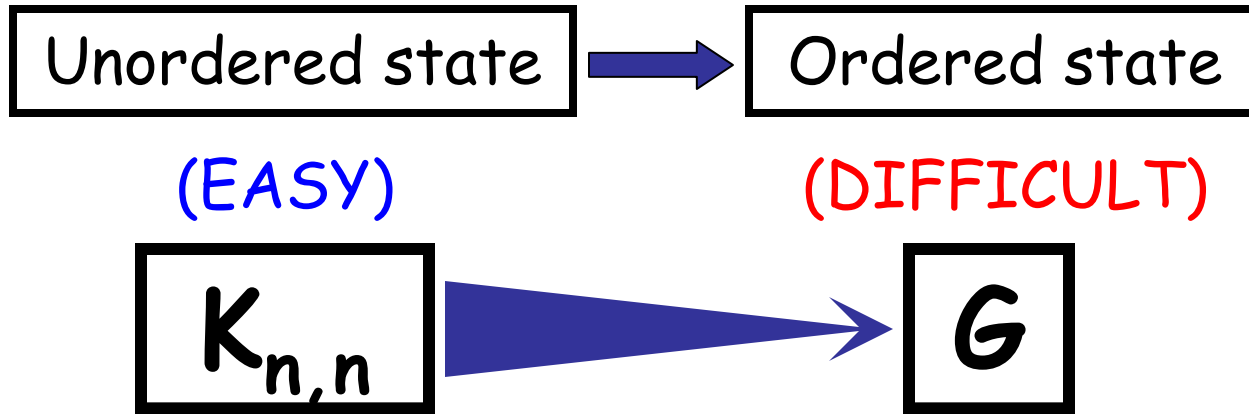
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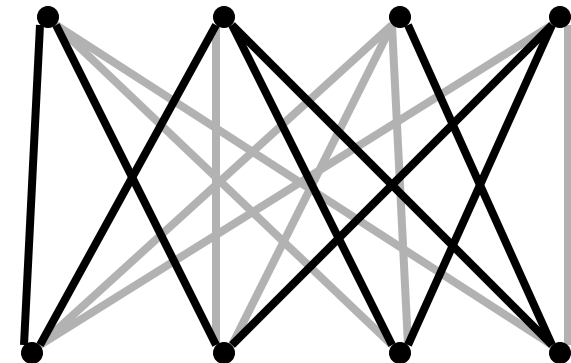
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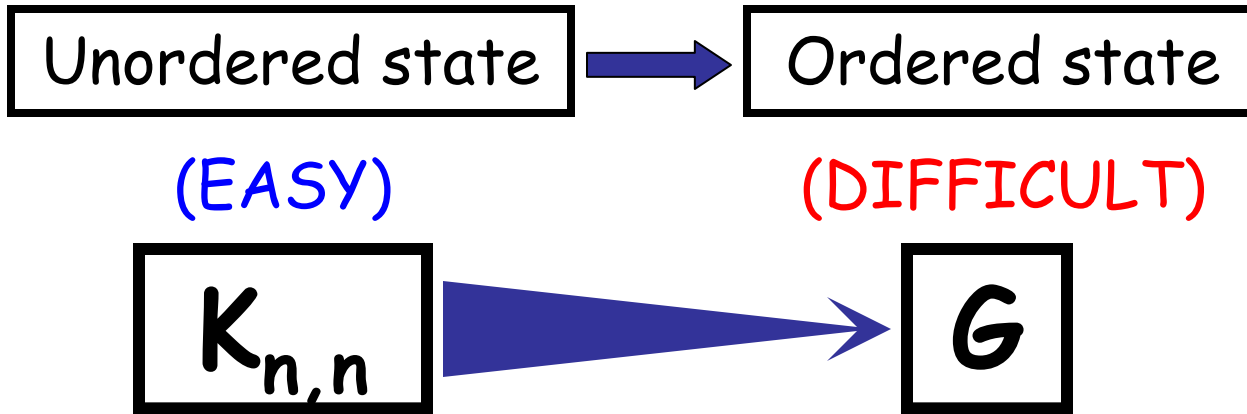
Solution: **Approximate**

**Ideal weights**  
(for a matching with holes  $u,v$ ):

$$\frac{(\# \text{ perfects})}{(\# \text{ nears with holes } u,v)}$$



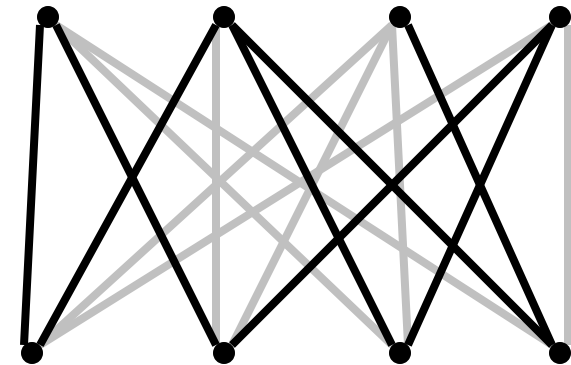
# Simulated Annealing for Permanent



Solution: **Approximate**

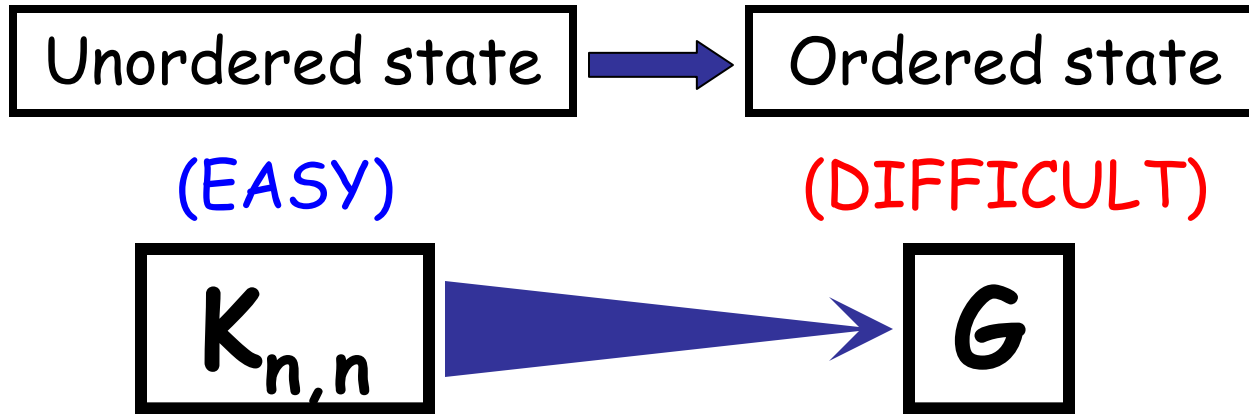
**Ideal weights**  
(for a matching with holes  $u,v$ ):

$$\frac{(\# \text{ perfects})}{(\# \text{ nears with holes } u,v)}$$





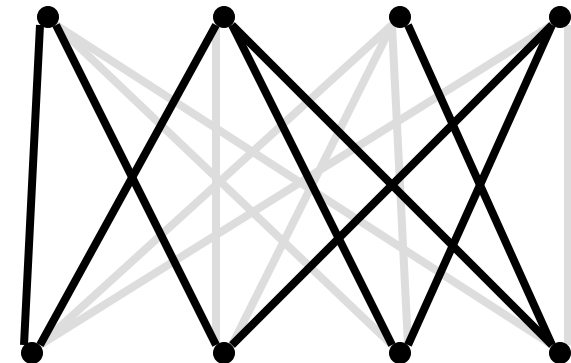
# Simulated Annealing for Permanent



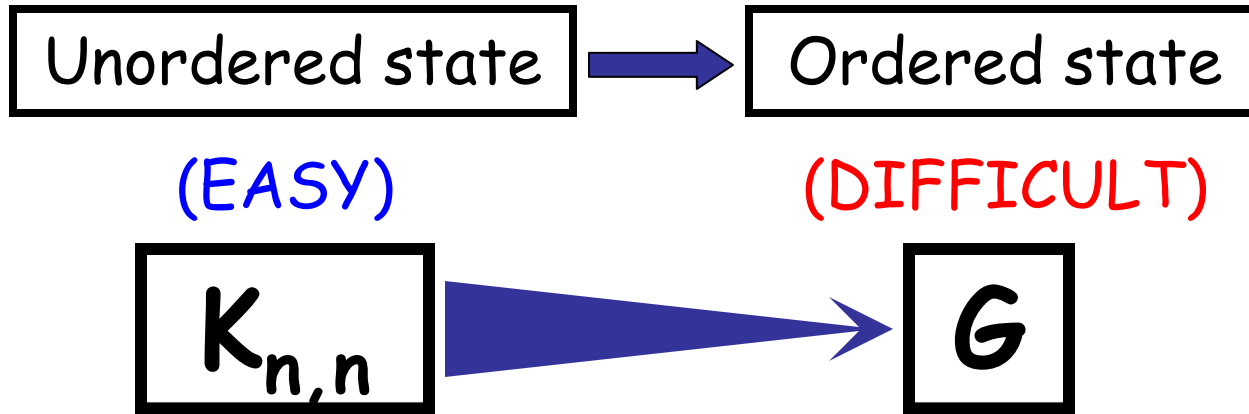
Solution: **Approximate**

**Ideal weights**  
(for a matching with holes  $u,v$ ):

$$\frac{(\# \text{ perfects})}{(\# \text{ nears with holes } u,v)}$$



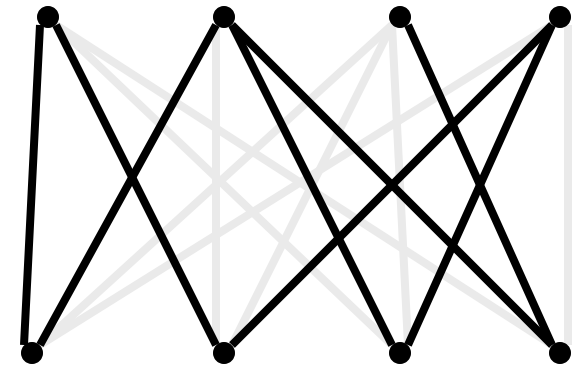
# Simulated Annealing for Permanent



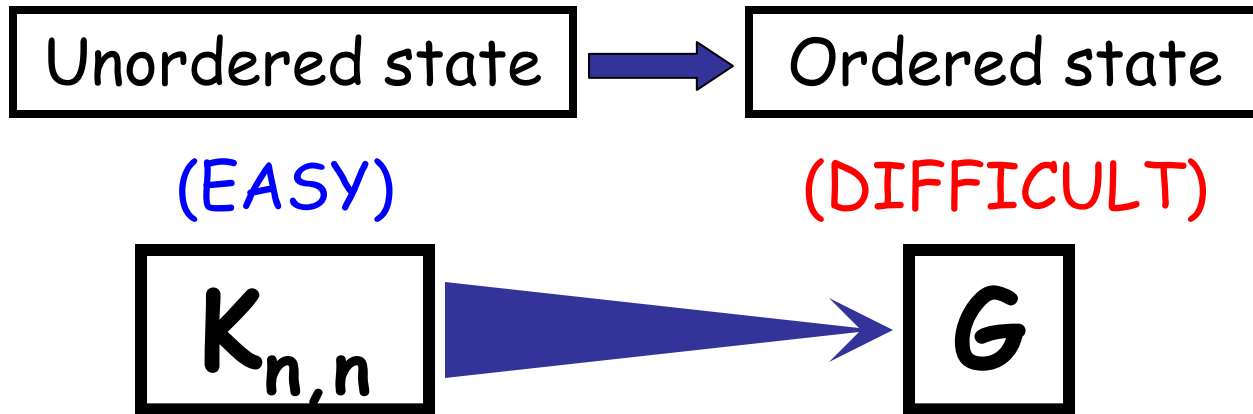
Solution: **Approximate**

**Ideal weights**  
(for a matching with holes  $u,v$ ):

$$\frac{(\# \text{ perfects})}{(\# \text{ nears with holes } u,v)}$$



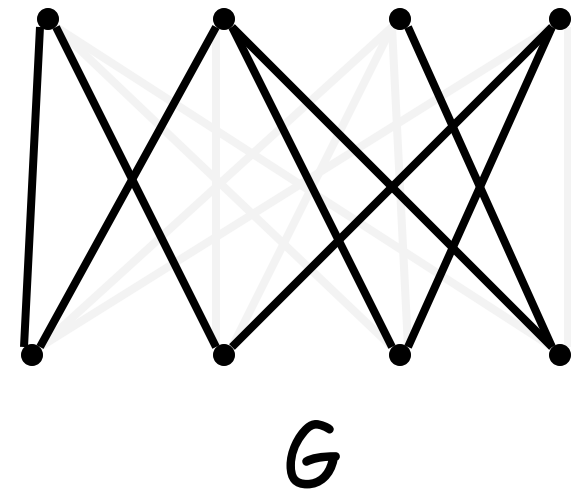
# Simulated Annealing for Permanent



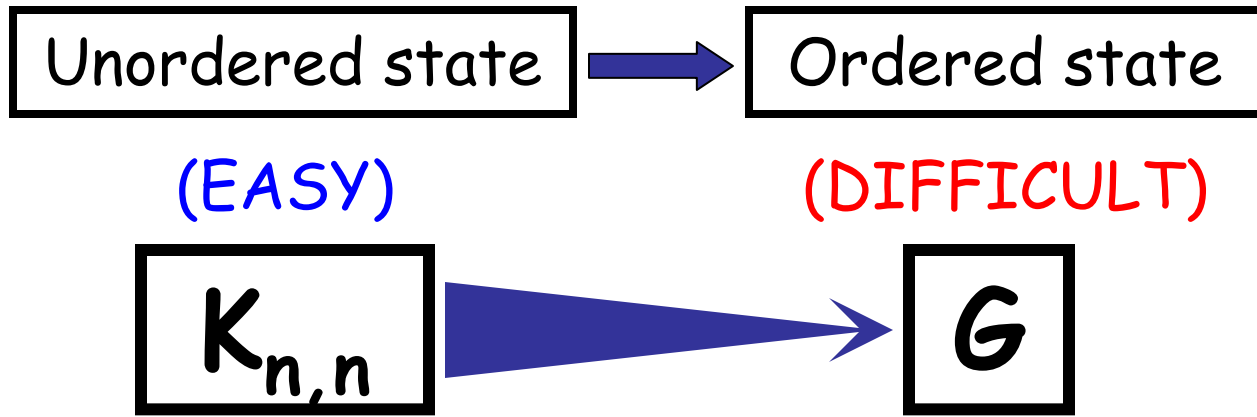
Solution: **Approximate**

**Ideal weights**  
(for a matching with holes  $u,v$ ):

$$\frac{(\# \text{ perfects})}{(\# \text{ nears with holes } u,v)}$$



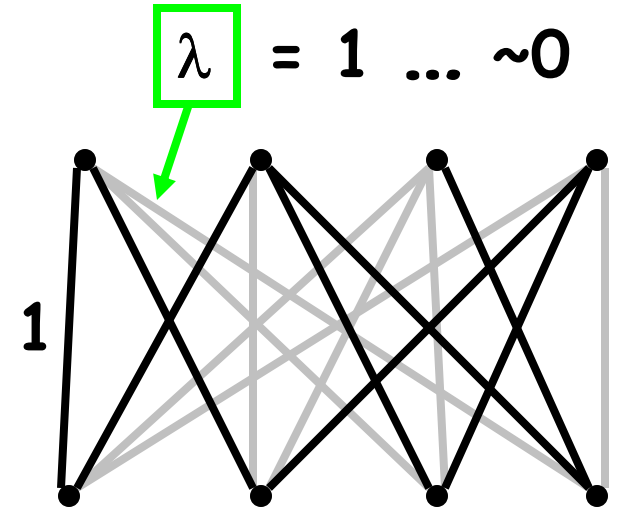
# Simulated Annealing for Permanent



Solution: **Approximate**

**Ideal weights**  
(for a matching with holes  $u,v$ ):

$$\frac{(\# \text{ perfects})}{(\# \text{ nears with holes } u,v)}$$



# Simulated Annealing for Permanent

Ideal weights  $\frac{(\# \text{ perfects})}{(\# \text{ nears with holes } u,v)}$

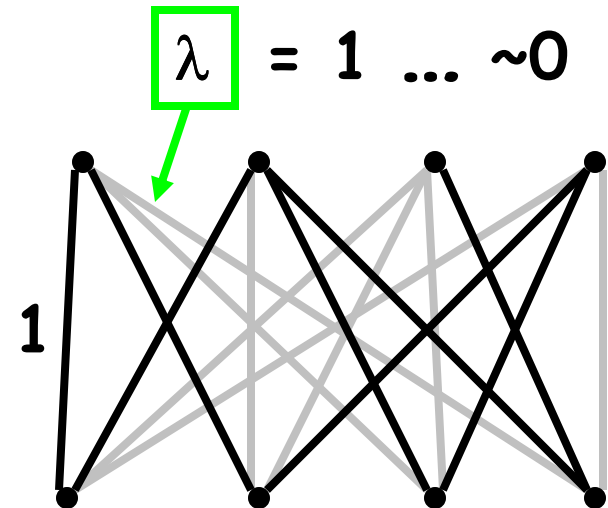
need to be  $\lambda$ -weighted:

$$w(u,v) = \frac{\lambda(\mathcal{P})}{\lambda(\mathcal{N}(u,v))}$$

where

$$\lambda(M) = \lambda \# \lambda\text{-edges in } M$$

$$\lambda(S) = \sum_{M \text{ in } S} \lambda(M)$$



# Simulated Annealing for Permanent

**Thm** [Jerrum-Sinclair-Vigoda '01]:  
Weighted Broder chain mixes  
if  $w(u,v)$  approximated within  
a constant factor.

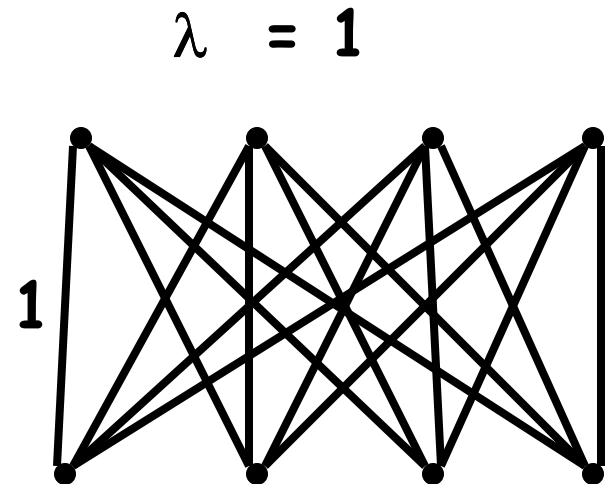
$$w(u,v) = \frac{\lambda(\mathcal{P})}{\lambda(\mathcal{N}(u,v))}$$

**Algorithm (sketch):**

- \* Initially,  $\lambda = 1$ .  
Thus  $w(u,v) = n!/(n-1)! = n$ .

Later, have approx. of  $w(u,v)$ .  
Run chain to improve the approx.  
Decrease  $\lambda$  (until  $\sim 0$ ).

(Improved approx. of old  $\lambda =$  starting approx. of new  $\lambda$ )



# Simulated Annealing for Permanent

**Thm** [Jerrum-Sinclair-Vigoda '01]:  
Weighted Broder chain mixes  
if  $w(u,v)$  approximated within  
a constant factor.

$$w(u,v) = \frac{\lambda(\mathcal{P})}{\lambda(\mathcal{N}(u,v))}$$

↑  
4-apx

**Algorithm (sketch):**

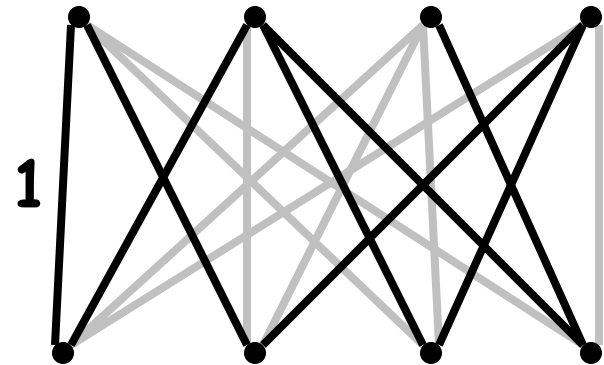
Initially,  $\lambda = 1$ .

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(Improved approx. of old  $\lambda =$  starting approx. of new  $\lambda$ )

$\lambda = 0.7$



# Simulated Annealing for Permanent

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Weighted Broder chain mixes  
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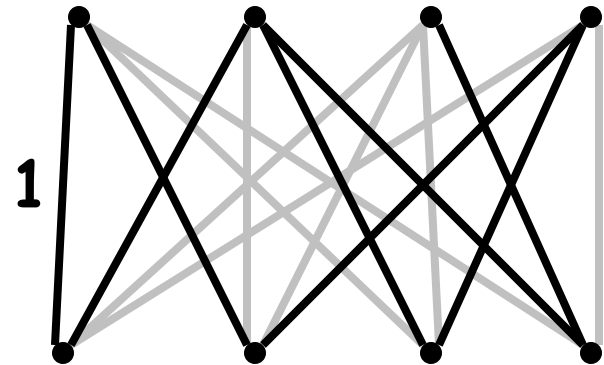
- \* Run chain to improve the approx.  
Decrease  $\lambda$  (until  $\sim 0$ ).

(Improved approx. of old  $\lambda =$  starting approx. of new  $\lambda$ )

$$w(u,v) = \frac{\lambda(\mathcal{P})}{\lambda(\mathcal{N}(u,v))}$$

~~4~~-apx  
2

$\lambda = 0.7$





# Simulated Annealing for Permanent

**Thm** [Jerrum-Sinclair-Vigoda '01]:  
 Weighted Broder chain mixes  
 if  $w(u,v)$  approximated within  
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Initially,  $\lambda = 1$ .

Thus  $w(u,v) = n!/(n-1)! = n$ .

Later, have approx. of  $w(u,v)$ .

Run chain to improve the approx.

\* Decrease  $\lambda$  (until  $\sim 0$ ).

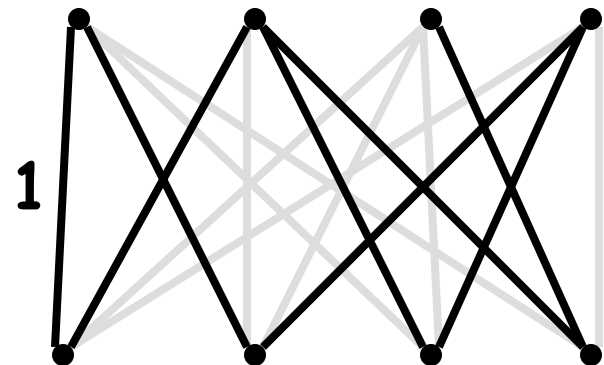
(Improved approx. of old  $\lambda =$  starting approx. of new  $\lambda$ )

$$w(u,v) = \frac{\lambda(\mathcal{P})}{\lambda(\mathcal{N}(u,v))}$$

~~4-apx~~  
 2

= 4-apx for

$\lambda = \cancel{0.7} 0.6$



# Simulated Annealing for Permanent

**Thm** [Jerrum-Sinclair-Vigoda '01]:  
 Weighted Broder chain mixes  
 if  $w(u,v)$  approximated within  
 a constant factor.

**Algorithm (sketch):**

Initially,  $\lambda = 1$ .

Thus  $w(u,v) = n!/(n-1)! = n$ .

Later, have approx. of  $w(u,v)$ .

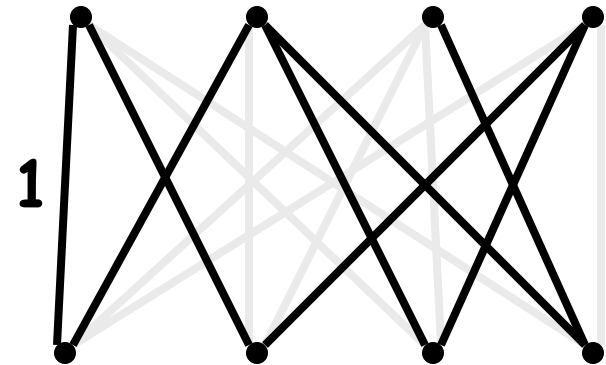
Run chain to improve the approx.

\* Decrease  $\lambda$  (until  $\sim 0$ ).

(Improved approx. of old  $\lambda$  = starting approx. of new  $\lambda$ )

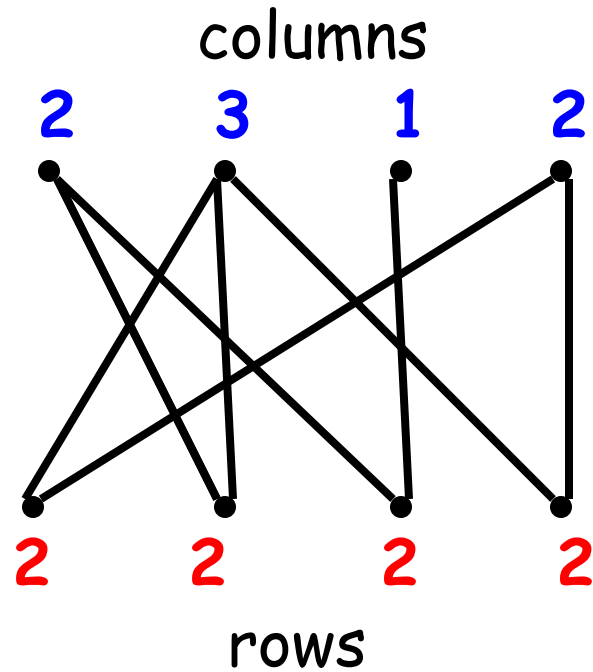
$$w(u,v) = \frac{\lambda(\mathcal{P})}{\lambda(\mathcal{N}(u,v))}$$

$\uparrow$   
~~4-approx~~  
 $\frac{2}{2} = 4\text{-approx for}$   
 $\lambda = \cancel{0.7} \cancel{0.6} \dots \sim 0$



# BCT: Bipartite Graphs with Given Degrees

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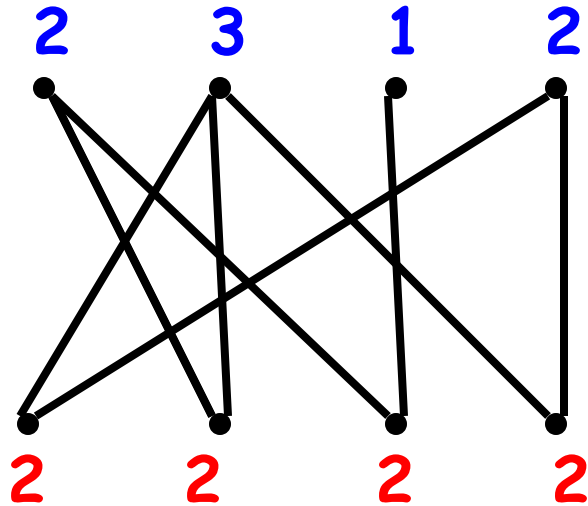
columns

0	1	0	1	2
1	1	0	0	2
1	0	1	0	2
0	1	0	1	2
2	3	1	2	

rows

Detailed description: A 4x4 bipartite adjacency matrix. The columns are labeled with degrees 2, 3, 1, 2. The rows are labeled with degrees 2, 2, 2, 2. The matrix is symmetric. The top row has 0, 1, 0, 1. The second row has 1, 1, 0, 0. The third row has 1, 0, 1, 0. The bottom row has 0, 1, 0, 1. The right side of the matrix has red numbers 2, 2, 2, 2. The bottom of the matrix has blue numbers 2, 3, 1, 2.

# BCT: Bipartite Graphs with Given Degrees



columns

0	1	0	1	2
1	1	0	0	2
1	0	1	0	2
0	1	0	1	2
	2	3	1	2

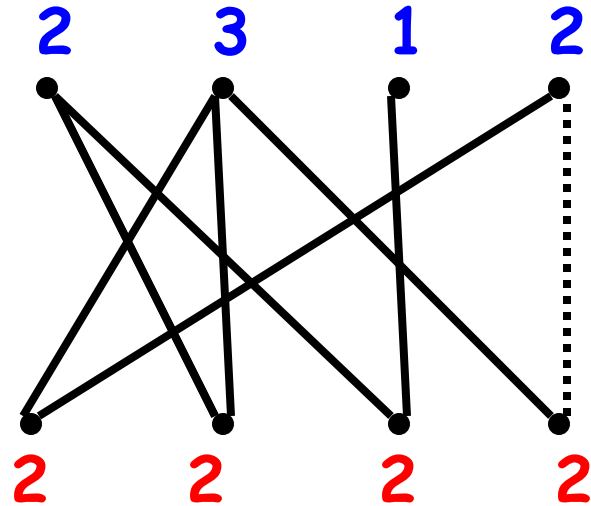
rows

"Sliding" Markov Chain on perfect and near tables

Perfect: remove a random edge

Near: slide edges or match

# BCT: Bipartite Graphs with Given Degrees



columns

0	1	0	1	2
1	1	0	0	2
1	0	1	0	2
0	1	0	1	2
	2	3	1	2

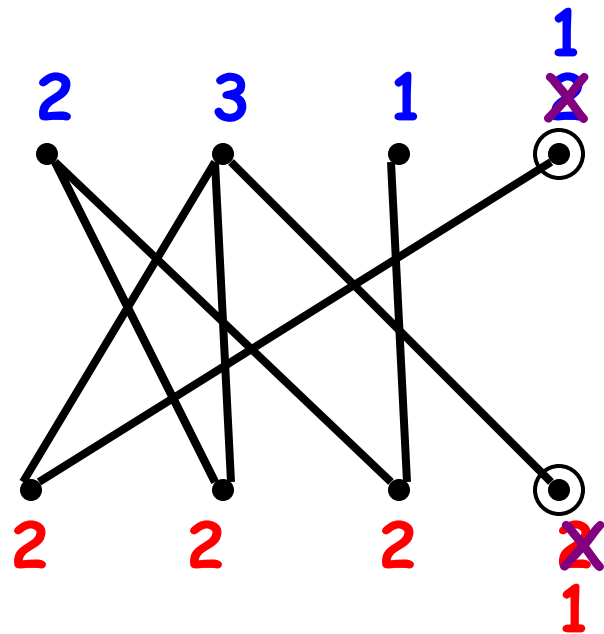
ROWS

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# BCT: Bipartite Graphs with Given Degrees



columns

0	1	0	1	2
1	1	0	0	2
1	0	1	0	2
0	1	0	0	<del>2</del> 1
	2	3	1	<del>1</del> 1

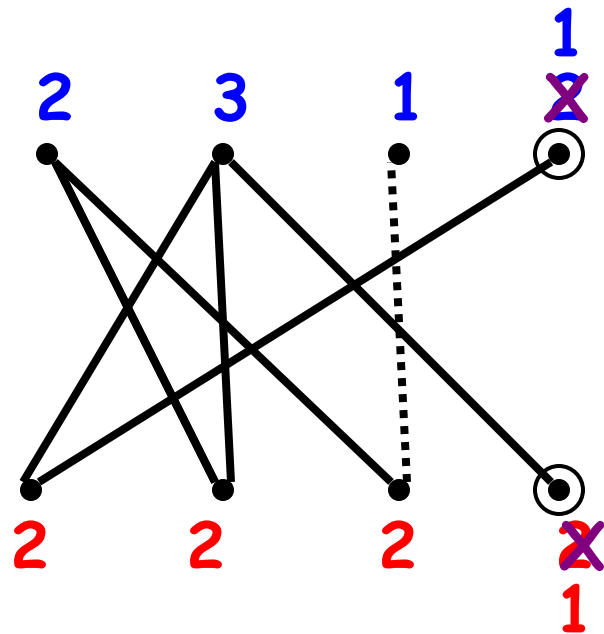
rows

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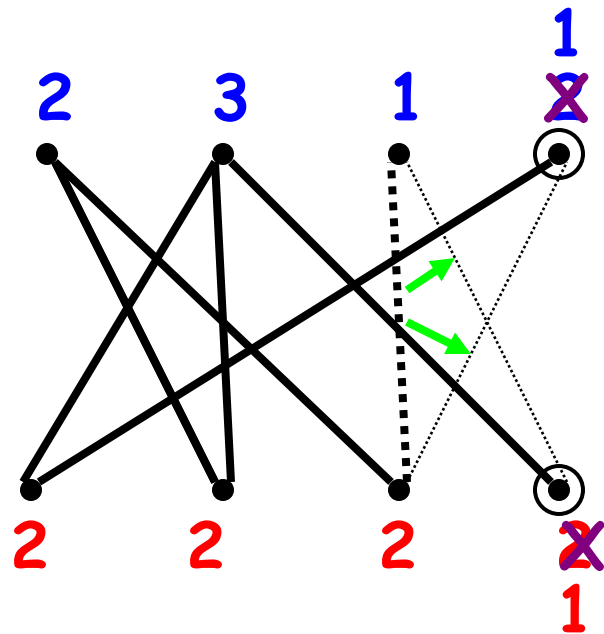
	columns				
	0	1	0	1	2
ROWS	1	1	0	0	2
	1	0	1	0	2
	0	1	0	0	<del>2</del> 1
		2	3	1	<del>1</del> 1

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	columns				
	0	1	0	1	2
ROWS	1	1	0	0	2
	1	0	1	0	2
	0	1	0	0	<del>2</del> 1
		2	3	1	<del>1</del> 1

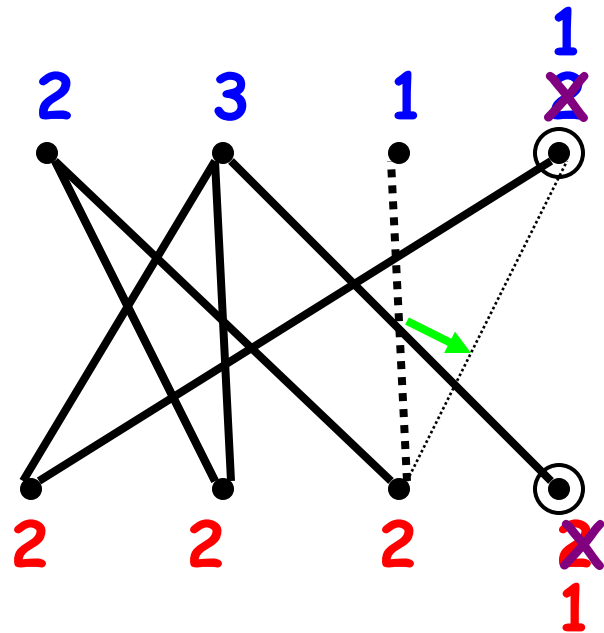
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# BCT: Bipartite Graphs with Given Degrees



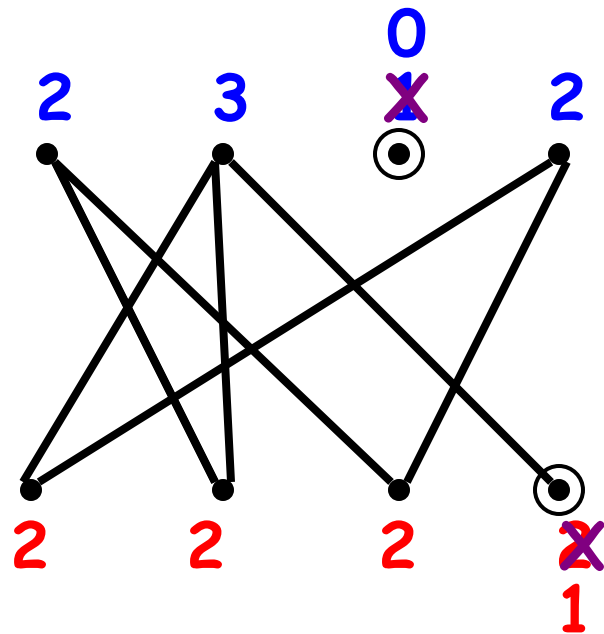
	columns				
	0	1	0	1	2
ROWS	1	1	0	0	2
	1	0	1	0	2
	0	1	0	0	<del>2</del> 1
		2	3	1	<del>1</del> 1

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columns

0	1	0	1	2
1	1	0	0	2
1	0	0	1	2
0	1	0	0	<del>2</del> 1
	2	3	<del>0</del> 0	2

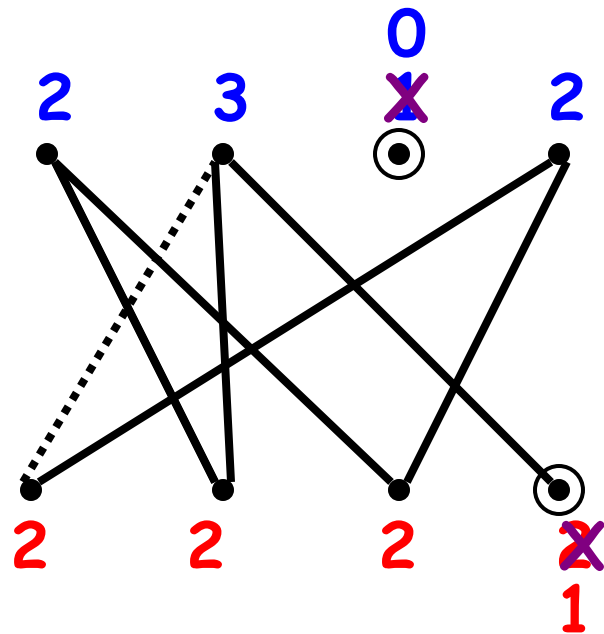
rows

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# BCT: Bipartite Graphs with Given Degrees



columns

0	1	0	1	2
1	1	0	0	2
1	0	0	1	2
0	1	0	0	<del>2</del> 1
	2	3	<del>0</del> 0	2

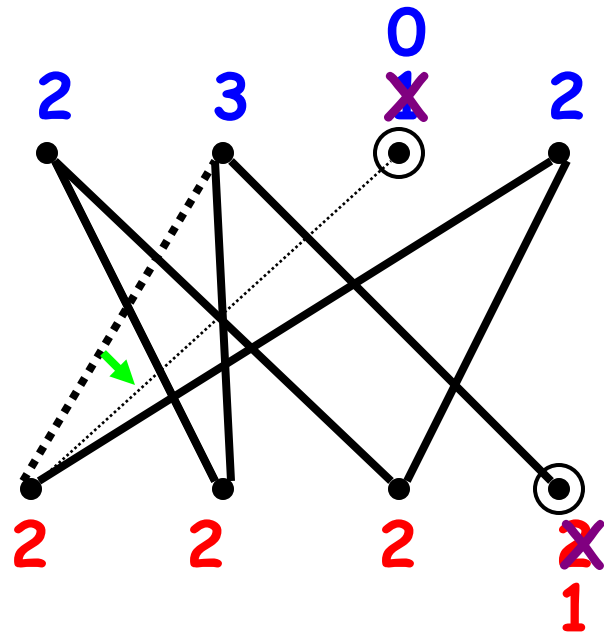
rows

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# BCT: Bipartite Graphs with Given Degrees



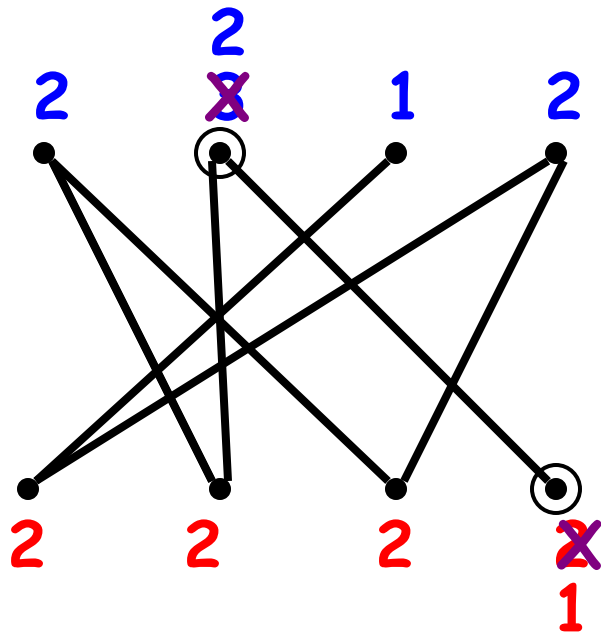
	columns				
	0	1	0	1	2
ROWS	1	1	0	0	2
	1	0	0	1	2
	0	1	0	0	<del>2</del> 1
	2	3	<del>0</del>	2	

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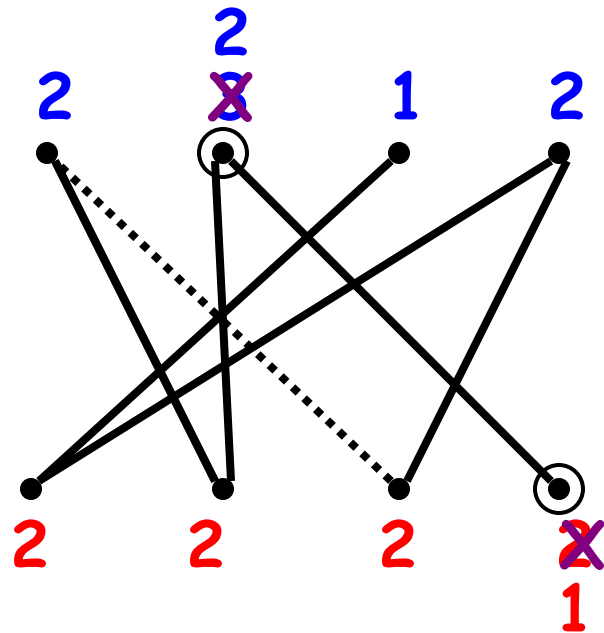
	columns				
	0	1	0	1	2
ROWS	1	0	1	0	2
	1	0	0	1	2
	0	1	0	0	<del>2</del> 1
		2	<del>2</del>	1	2

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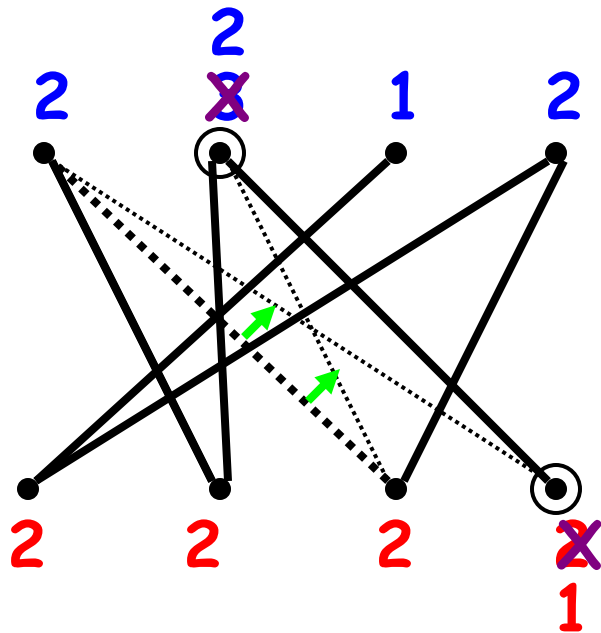
	columns				
	0	1	0	1	2
ROWS	1	0	1	0	2
	1	0	0	1	2
	0	1	0	0	<del>2</del> 1
		2	<del>2</del>	1	2

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# BCT: Bipartite Graphs with Given Degrees



columns

0	1	0	1	2
1	0	1	0	2
1	0	0	1	2
0	1	0	0	<del>2</del> 1
2	<del>2</del> 2	1	2	

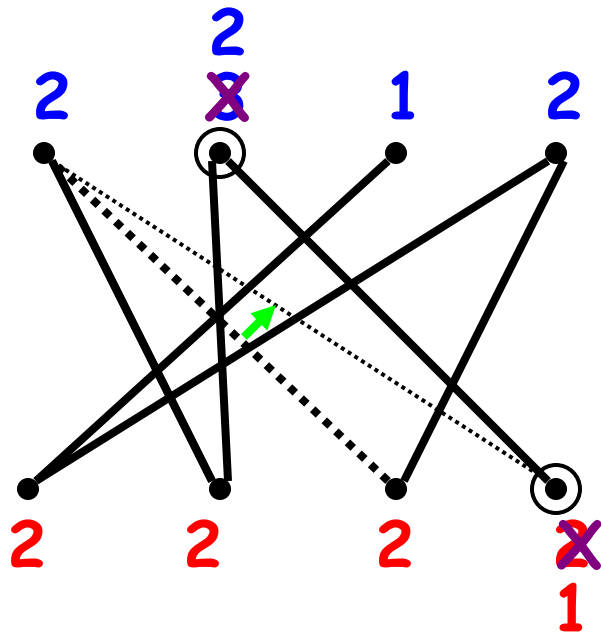
rows

"Sliding" Markov Chain on perfect and near tables

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Near: slide edges or match

# BCT: Bipartite Graphs with Given Degrees



columns

0	1	0	1	2
1	0	1	0	2
1	0	0	1	2
0	1	0	0	<del>2</del> 1
	2	<del>2</del> 2	1	2

rows

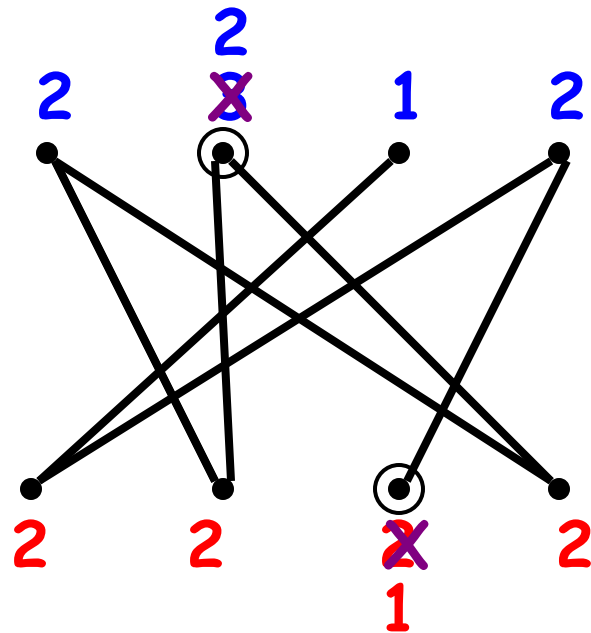
"Sliding" Markov Chain on perfect and near tables

Perfect: remove a random edge

Near: slide edges or match



# BCT: Bipartite Graphs with Given Degrees



columns

0	1	0	1	2
1	0	1	0	2
0	0	0	1	<del>2</del> 1
1	1	0	0	2
2	<del>2</del> 2	1	2	

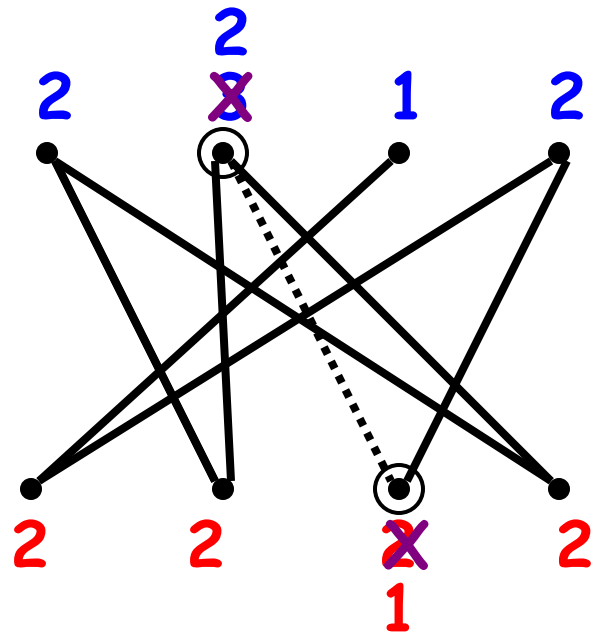
rows

"Sliding" Markov Chain on perfect and near tables

Perfect: remove a random edge

Near: slide edges or match

# BCT: Bipartite Graphs with Given Degrees



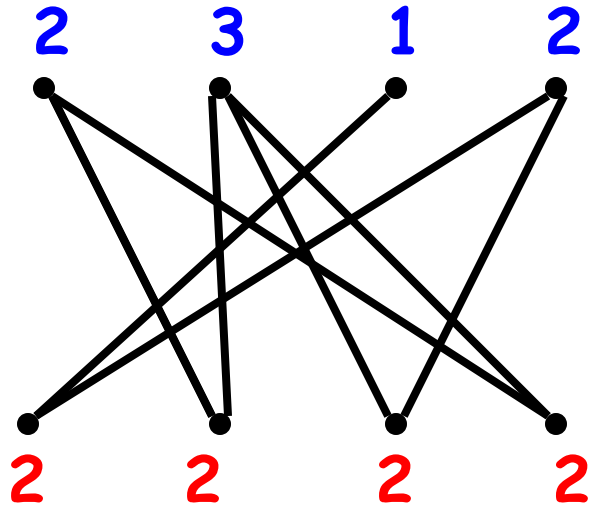
	columns				
	0	1	0	1	2
rows	1	0	1	0	2
	0	0	0	1	<del>2</del> 1
	1	1	0	0	2
	2	<del>2</del> 2	1	2	

"Sliding" Markov Chain on perfect and near tables

Perfect: remove a random edge

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# BCT: Bipartite Graphs with Given Degrees



columns

0	1	0	1	2
1	0	1	0	2
0	1	0	1	2
1	1	0	0	2
	2	3	1	2

rows

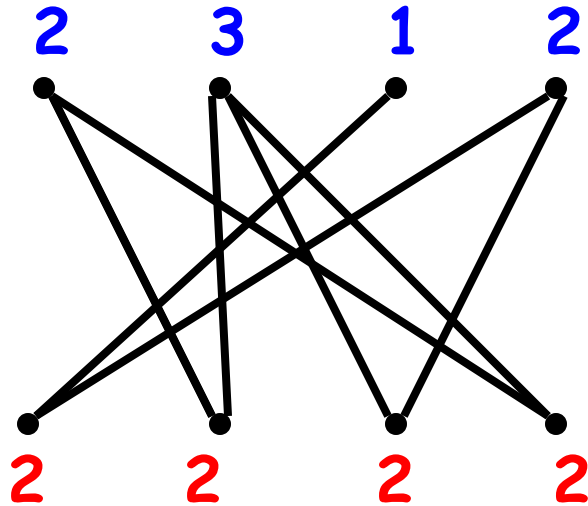
"Sliding" Markov Chain on perfect and near tables

Perfect: remove a random edge

Near: slide edges or match

# Simulated Annealing for BCT ?

Bezáková-  
Bhatnagar-  
Vigoda '06



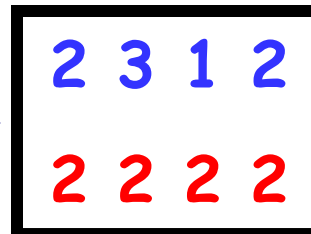
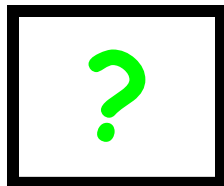
Ideal weights

$$\frac{(\# \text{ perfects})}{(\# \text{ nears with holes } u, v)}$$



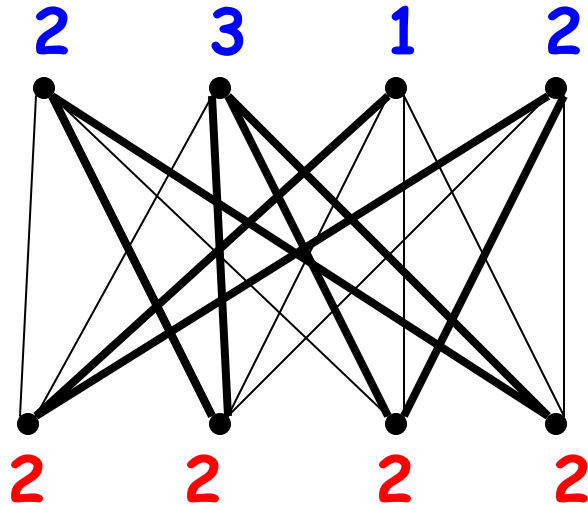
(EASY)

(DIFFICULT)



# Simulated Annealing for BCT ?

Bezáková-  
Bhatnagar-  
Vigoda '06

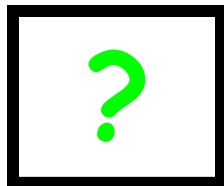


Ideal weights

$$\frac{(\# \text{ perfects})}{(\# \text{ nears with holes } u, v)}$$

Unordered state

(EASY)



Ordered state

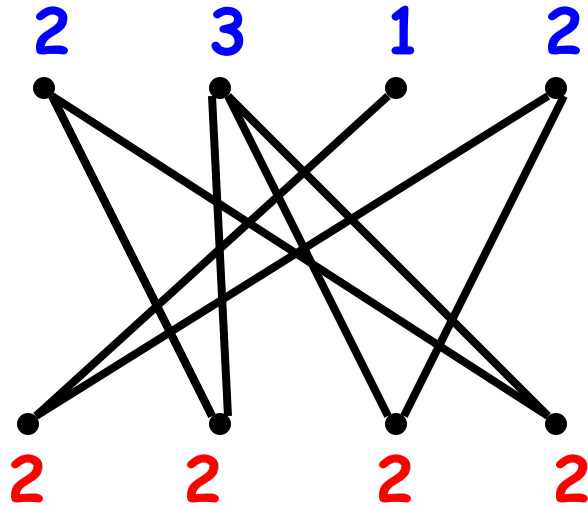
(DIFFICULT)

2 3 1 2  
2 2 2 2 on  $K_{n,n}$



# Simulated Annealing for BCT ?

Bezáková-  
Bhatnagar-  
Vigoda '06



Ideal weights

$$\frac{(\# \text{ perfects})}{(\# \text{ nears with holes } u, v)}$$

Unordered state

(EASY)

2 3 1 2

2 2 2 2

on  $G^*$

Ordered state

(DIFFICULT)

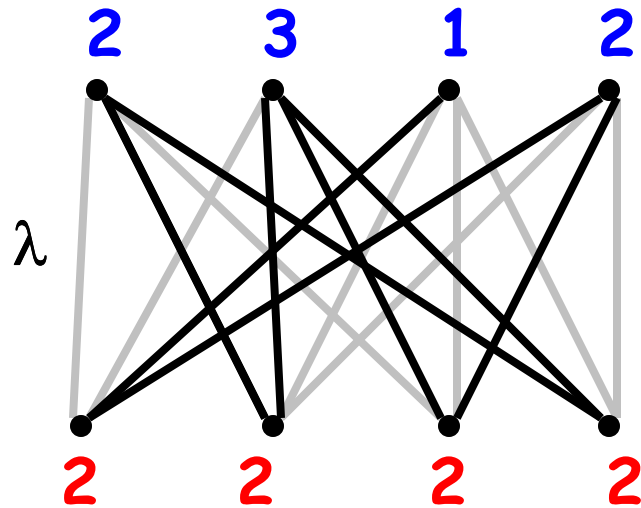
2 3 1 2

2 2 2 2

on  $K_{n,n}$



# Simulated Annealing for BCT ?



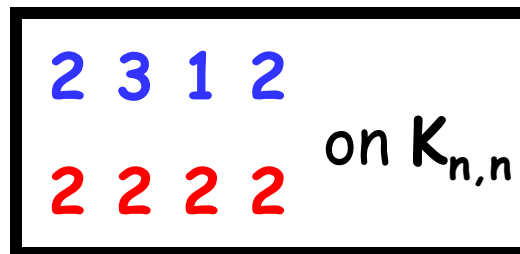
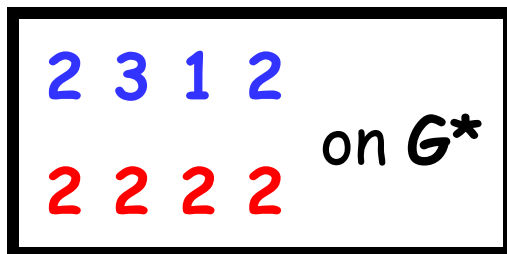
Recall that

$$w(u,v) = \frac{\lambda(\mathcal{P})}{\lambda(\mathcal{N}(u,v))}$$

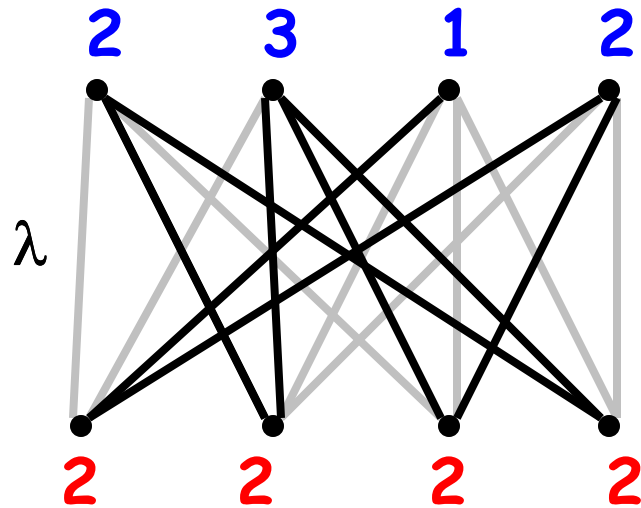
where  $\lambda(T) = \lambda \# \lambda\text{-edges in } T$

$$\lambda(S) = \sum_{T \text{ in } S} \lambda(T)$$

$\lambda = \sim 0$  ..... 1



# Simulated Annealing for BCT ?



Recall that

$$w(u,v) = \frac{\lambda(\mathcal{P})}{\lambda(\mathcal{N}(u,v))}$$

where  $\lambda(T) = \lambda \# \lambda\text{-edges in } T$

$$\lambda(S) = \sum_{T \text{ in } S} \lambda(T)$$

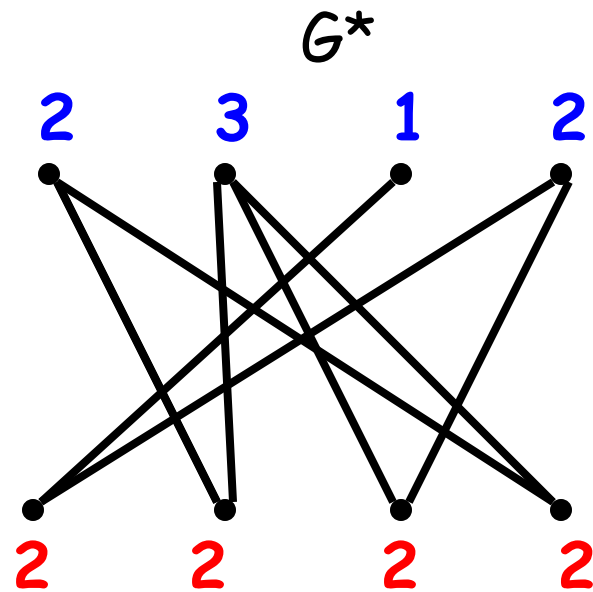
The catch :

What, if for some  $u,v$ , there is no near-table which uses all real edges ? Then,

$$\lambda(\mathcal{N}(u,v)) = 0 \quad \text{for } \lambda = 0.$$



# Simulated Annealing for BCT ?



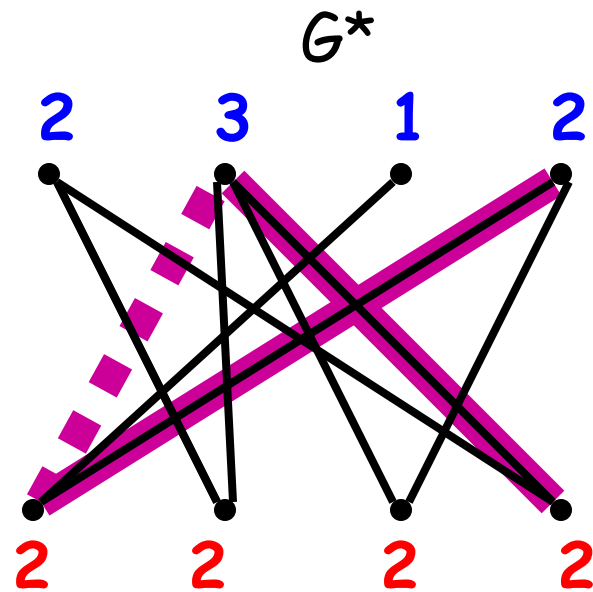
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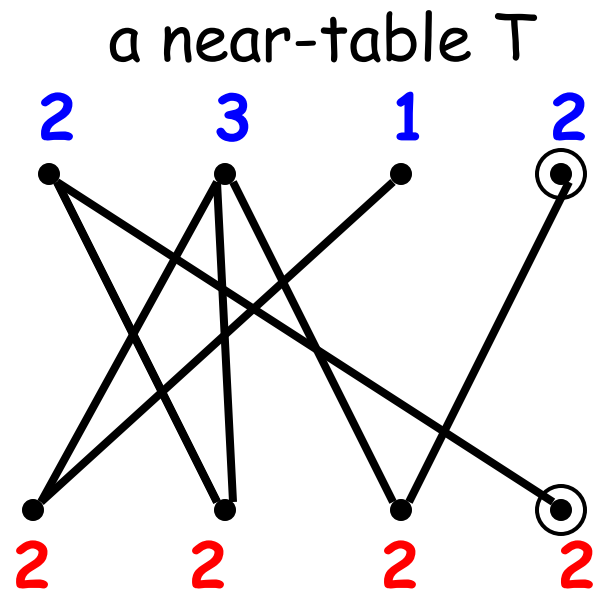
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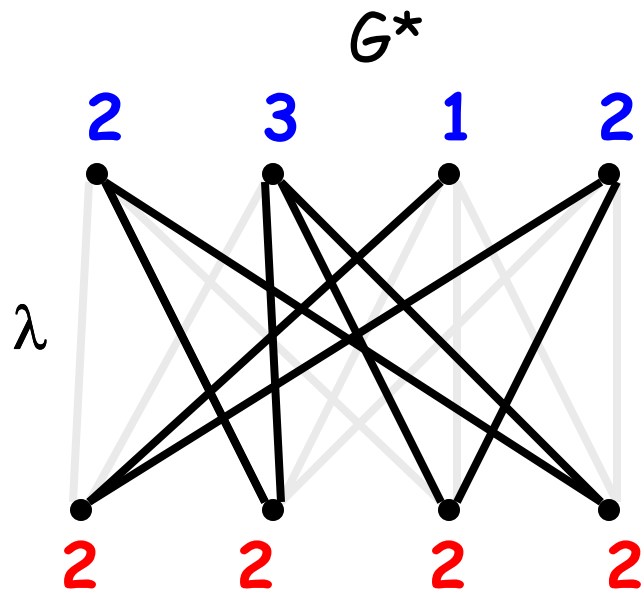
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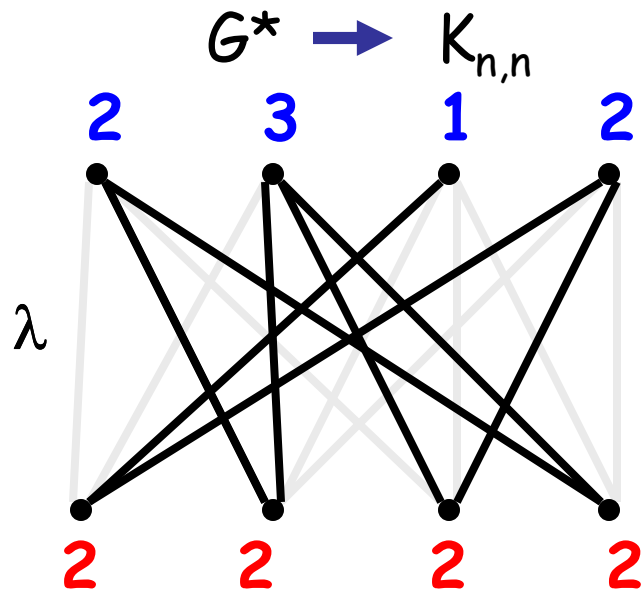
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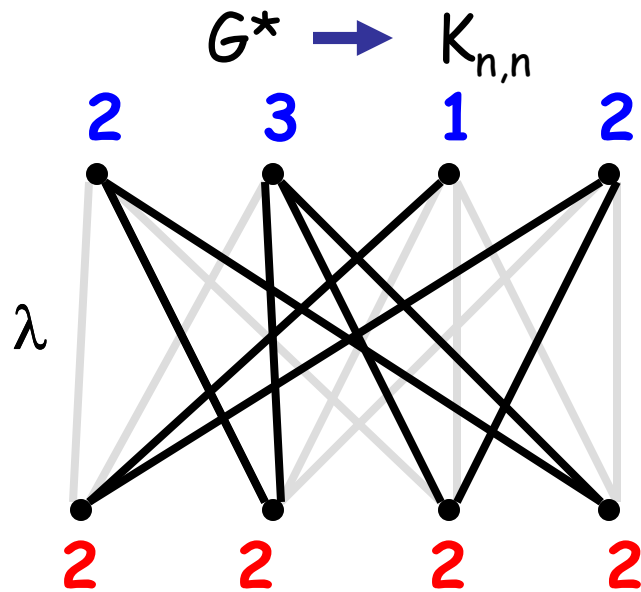
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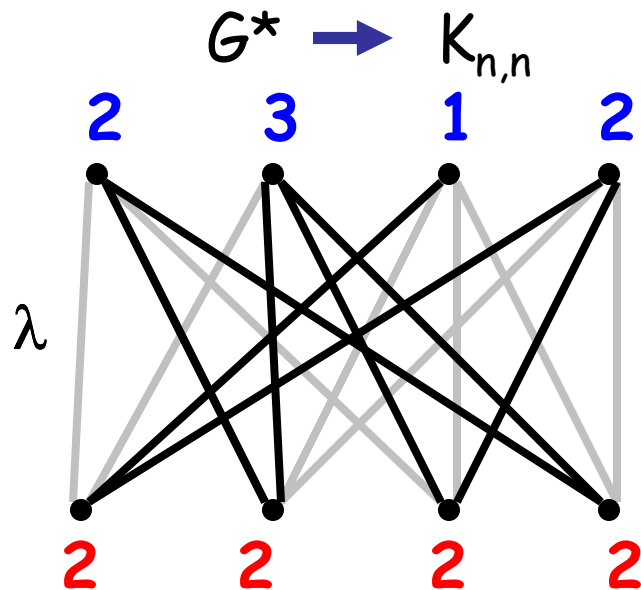
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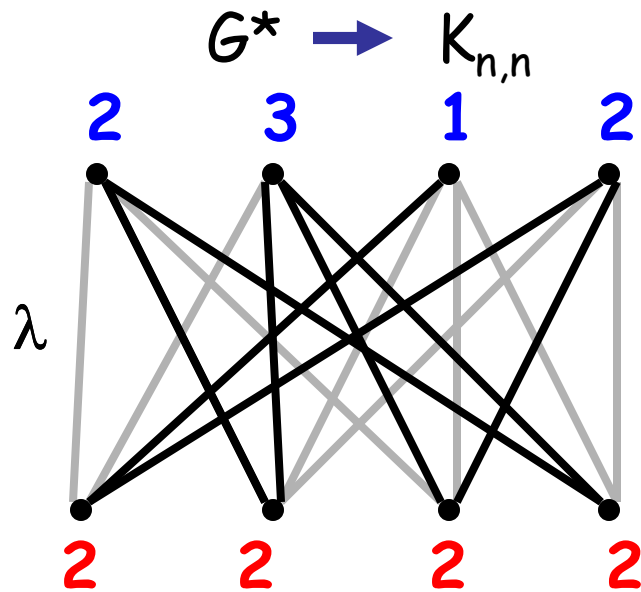
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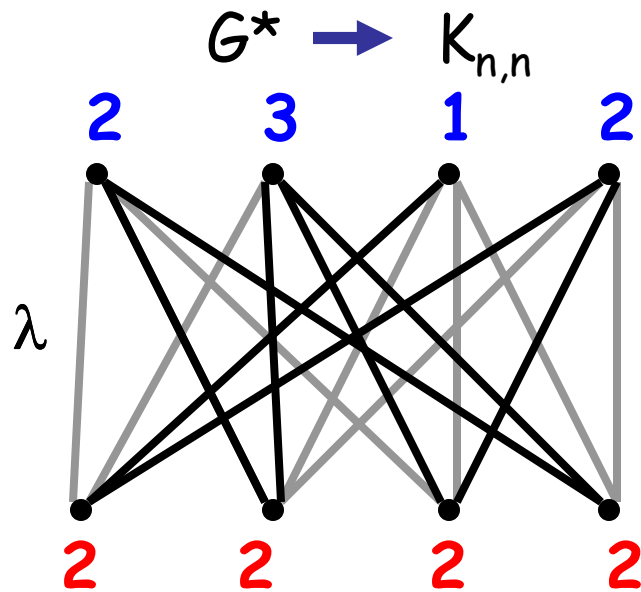
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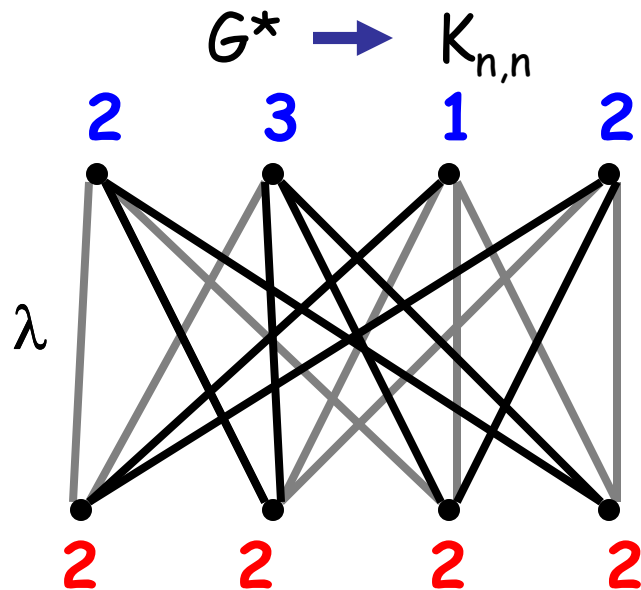
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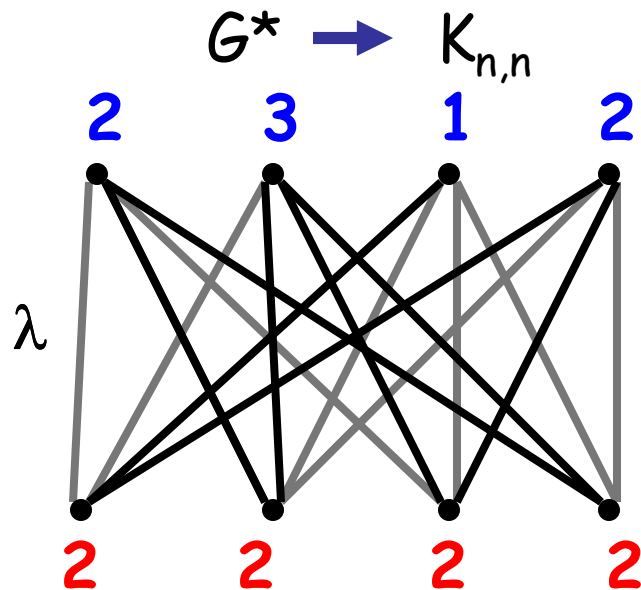
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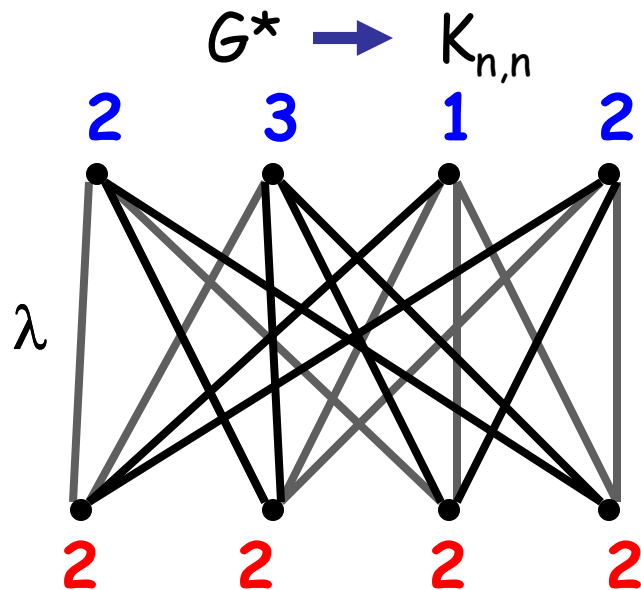
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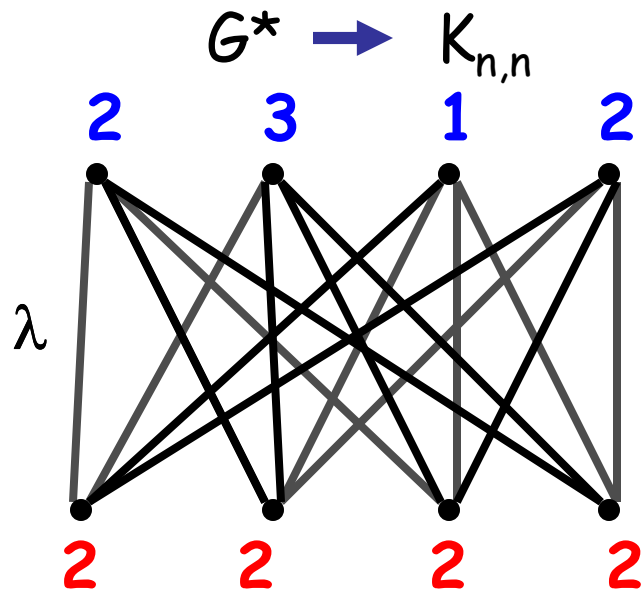
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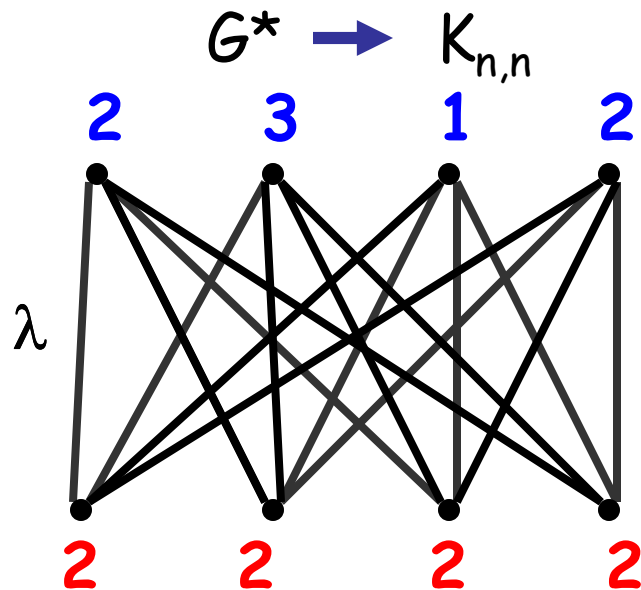
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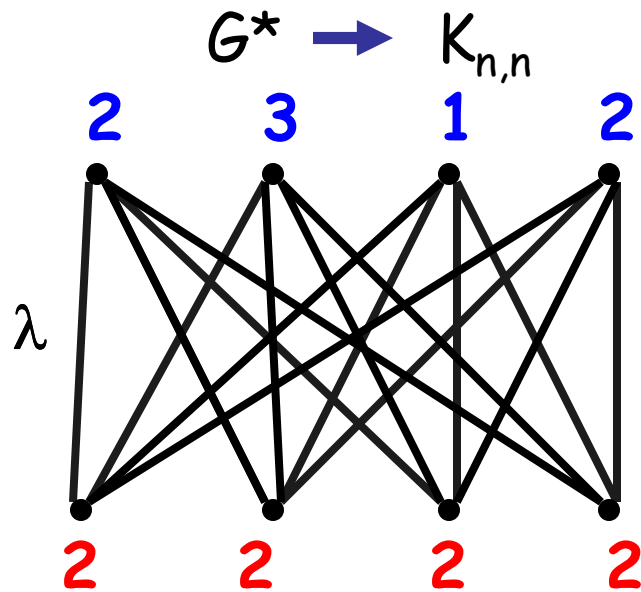
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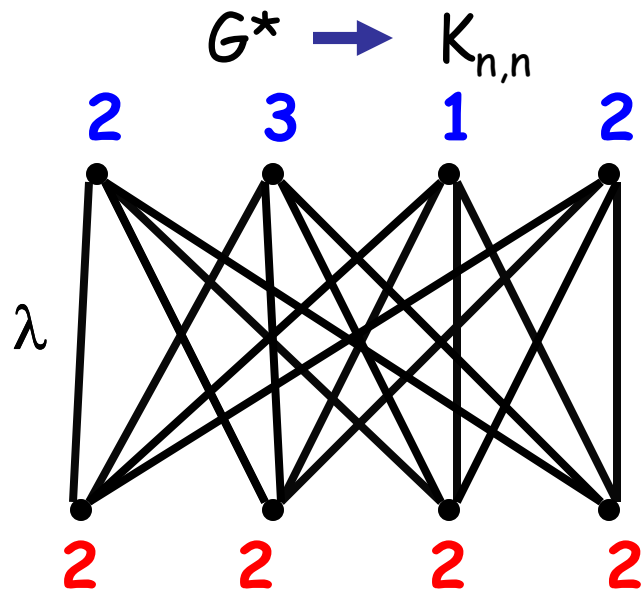
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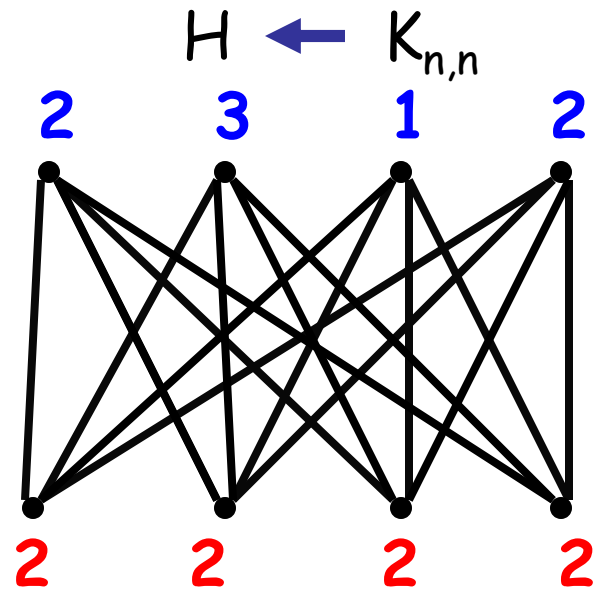
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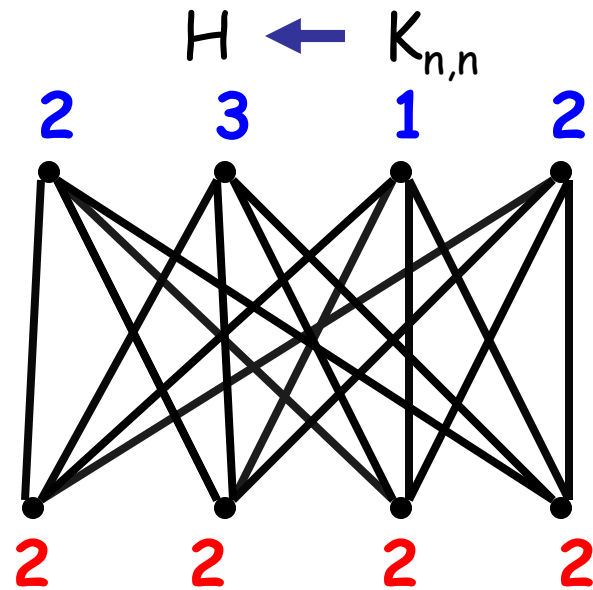
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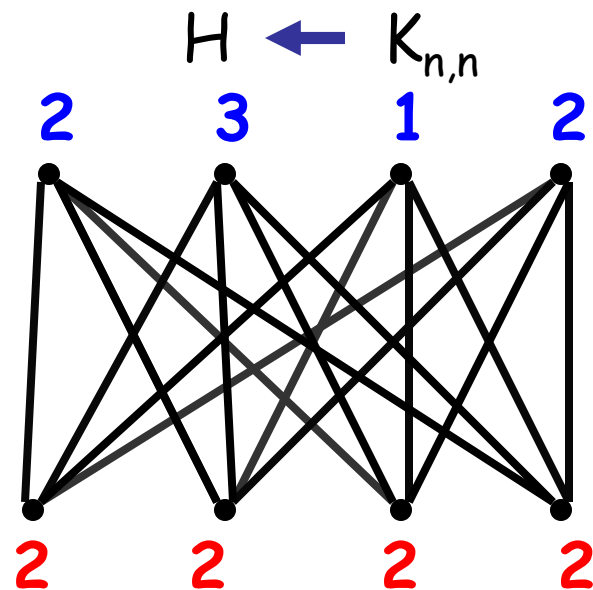
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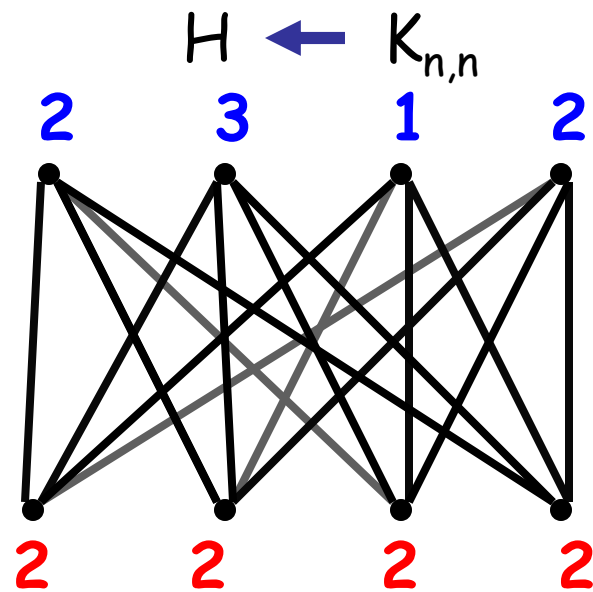
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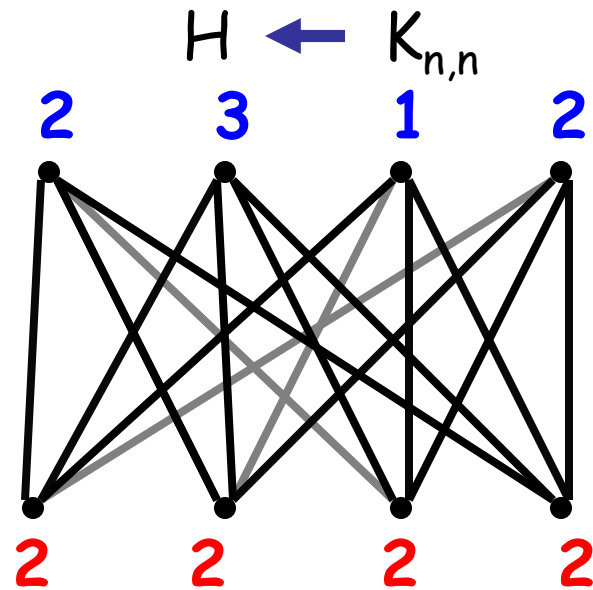
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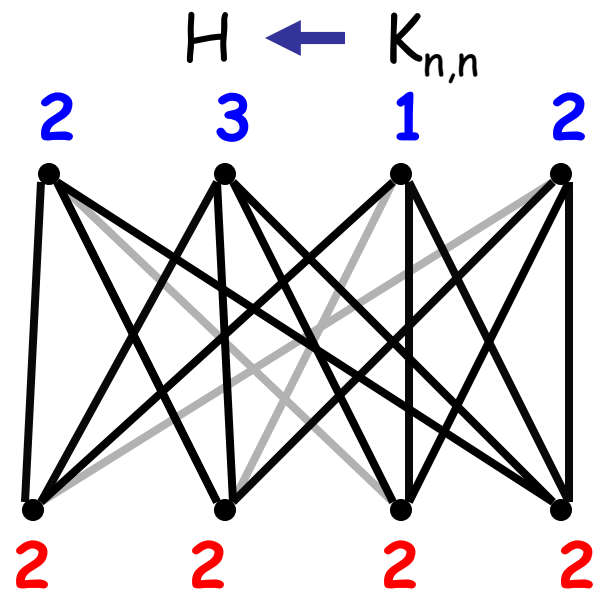
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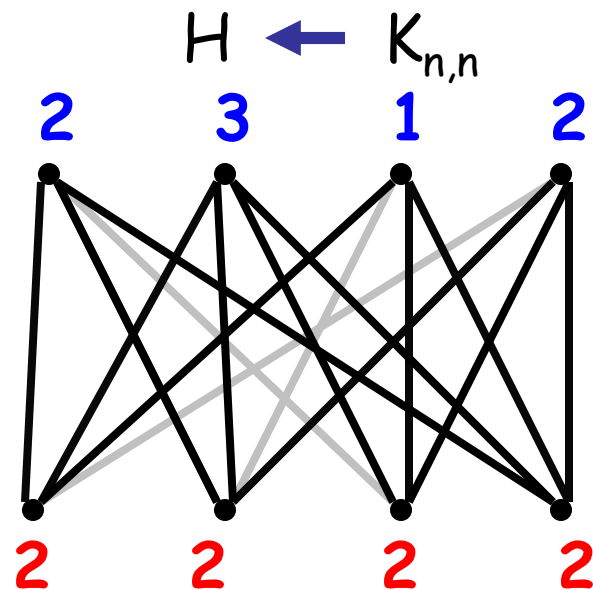
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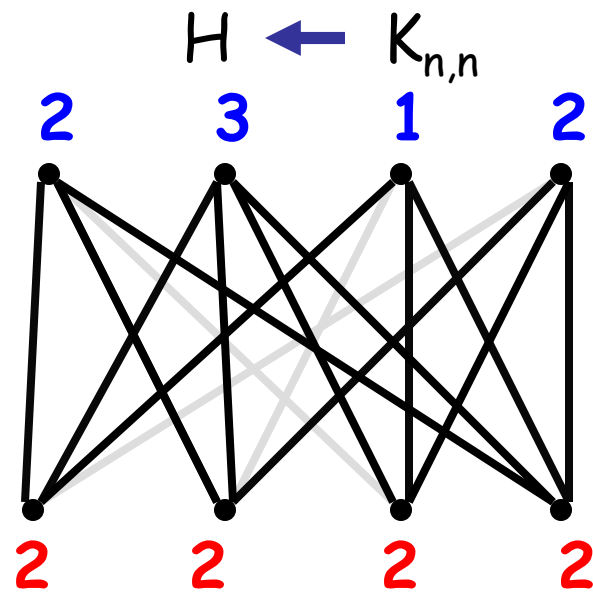
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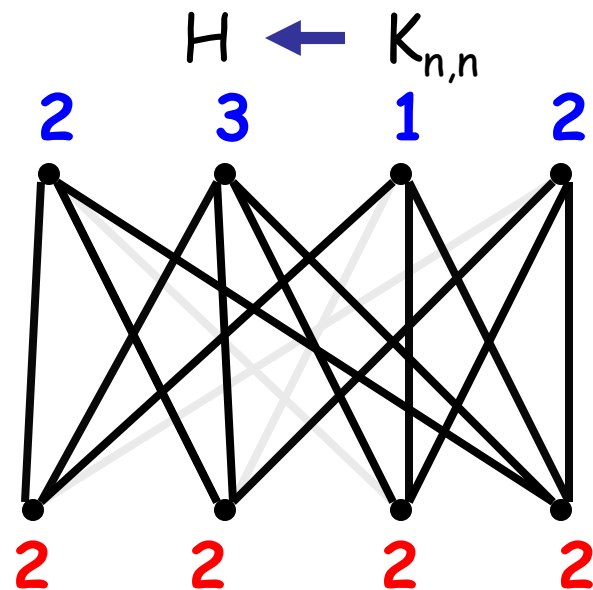
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# Different Approaches

Theory (Markov chain Monte Carlo with simulated annealing)

- [Jerrum-Sinclair-Vigoda '01](#): approximate permanent in  $O^*(n^{10})$ , yields  $O^*((mn)^{10})$  algorithm for  $m \times n$  binary contingency tables
- [Bezáková-Bhatnagar-Vigoda '06](#):  $O^*((mn)^3(m+n)^5)$

{ Practice (sequential importance sampling, [Chen-Diaconis-Holmes-Liu '05](#))

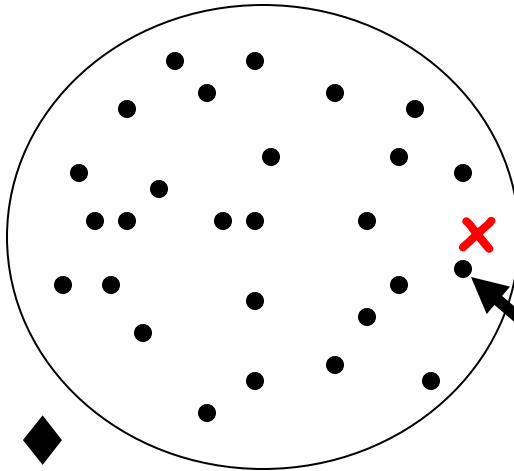
- [Bezáková-Sinclair-Štefankovič-Vigoda '06](#): negative example
- [Jose Blanchet '06](#): SIS works if marginals  $O(n^{1/4})$
- [Bayati-Kim-Saberi '07](#): alternative importance sampling method, works if marginals  $O(n^{1/4})$

Practice (the switching Markov chain, [Diaconis-Gangolli '94](#))

- [Kannan-Tetali-Vempala '97](#), [Cooper-Dyer-Greenhill '05](#): works for regular marginals

# Importance Sampling

for counting problems



Probability distribution  $\sigma$   
on the points +  $\diamond$

with positive probability  $\sigma(x) > 0$

Random variable

$$\eta(s) = \begin{cases} 1/\sigma(s) & \text{if } s \text{ in the set} \\ 0 & \text{if } s \text{ is } \diamond \end{cases}$$

Unbiased estimator

$$E[\eta] = \sum \sigma(x) \cdot 1/\sigma(x) = \text{size of the set}$$

# Sequential Importance Sampling for BCT

---

[Chen-Diaconis-Holmes-Liu '05]

a specific  $\sigma$

- fill table column-by-column
- assign each column ignoring other column sums

							4
							2
							3
							5
							3
3	4	2	1	2	2	3	

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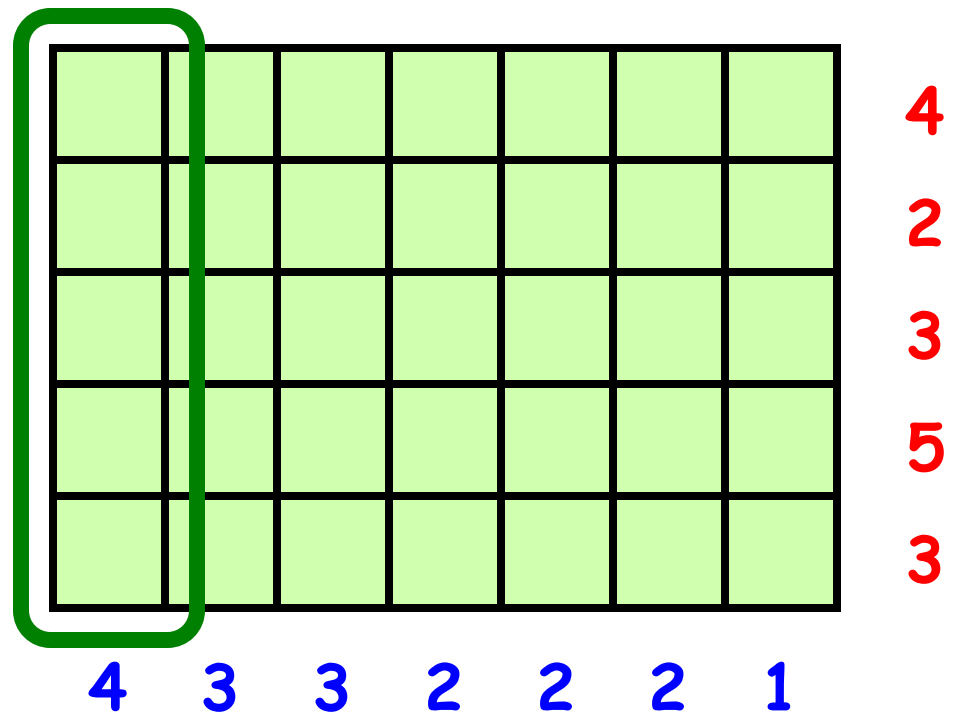
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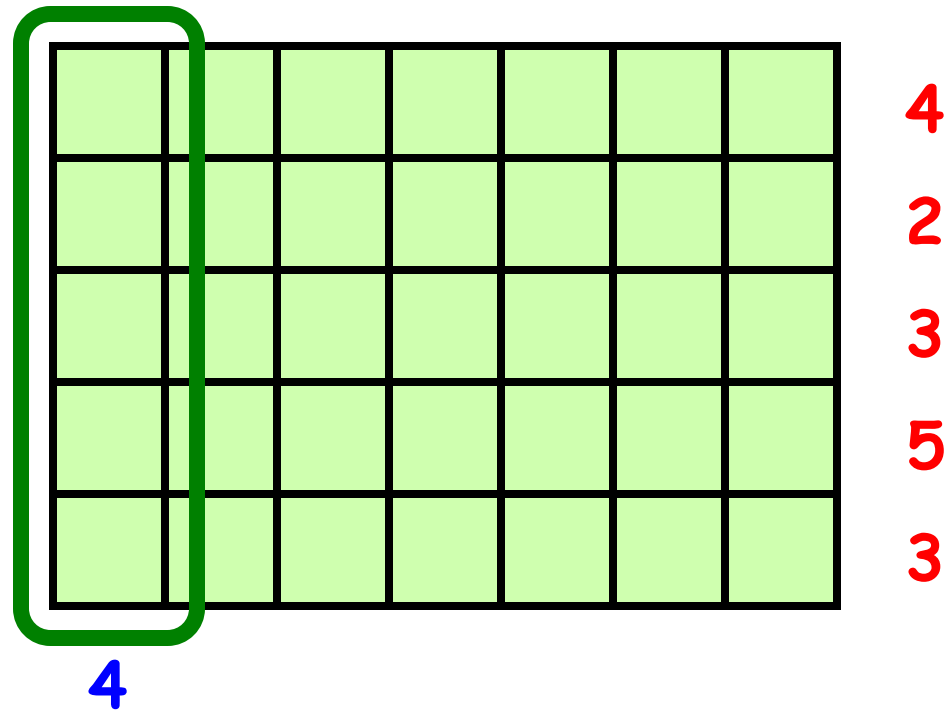


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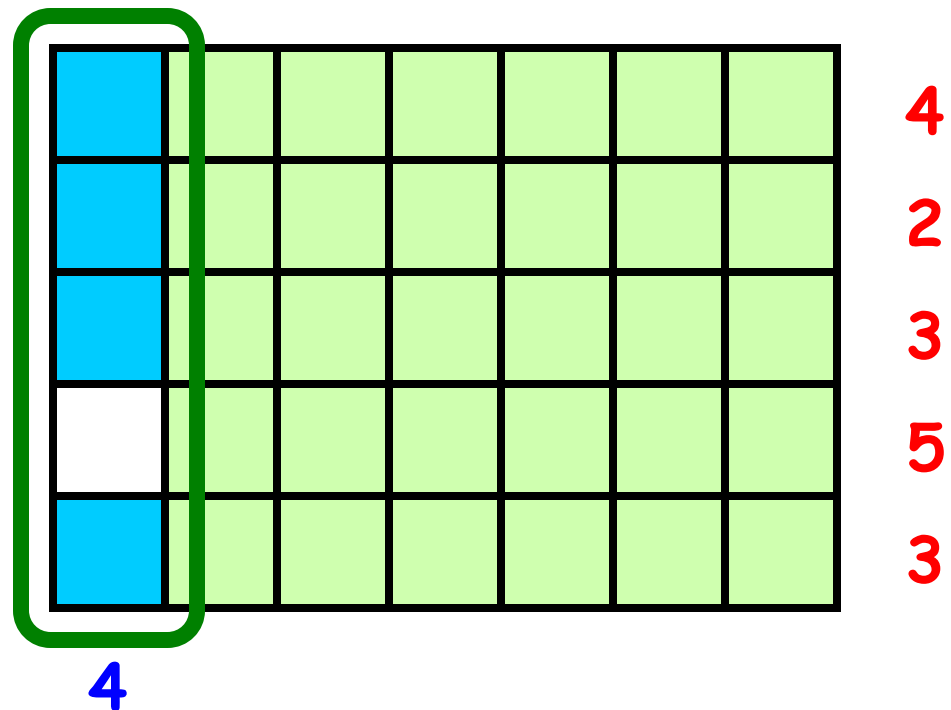
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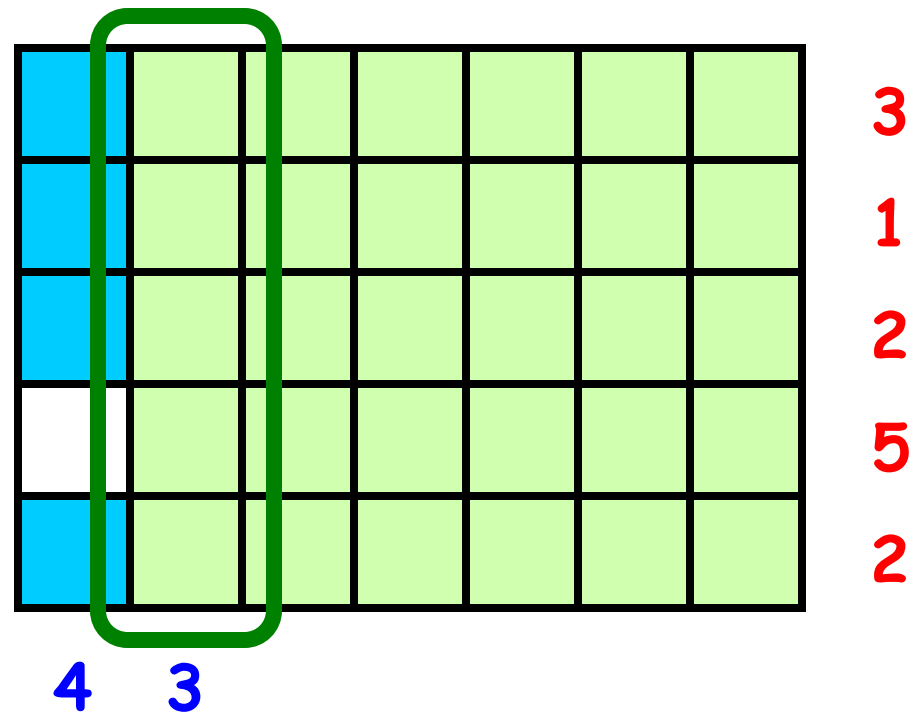
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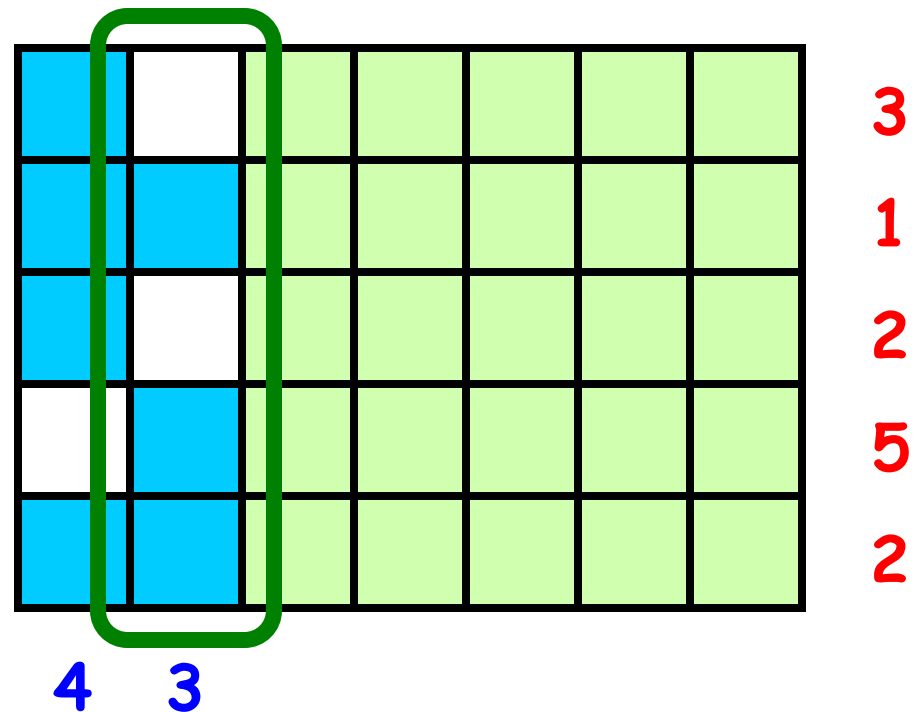
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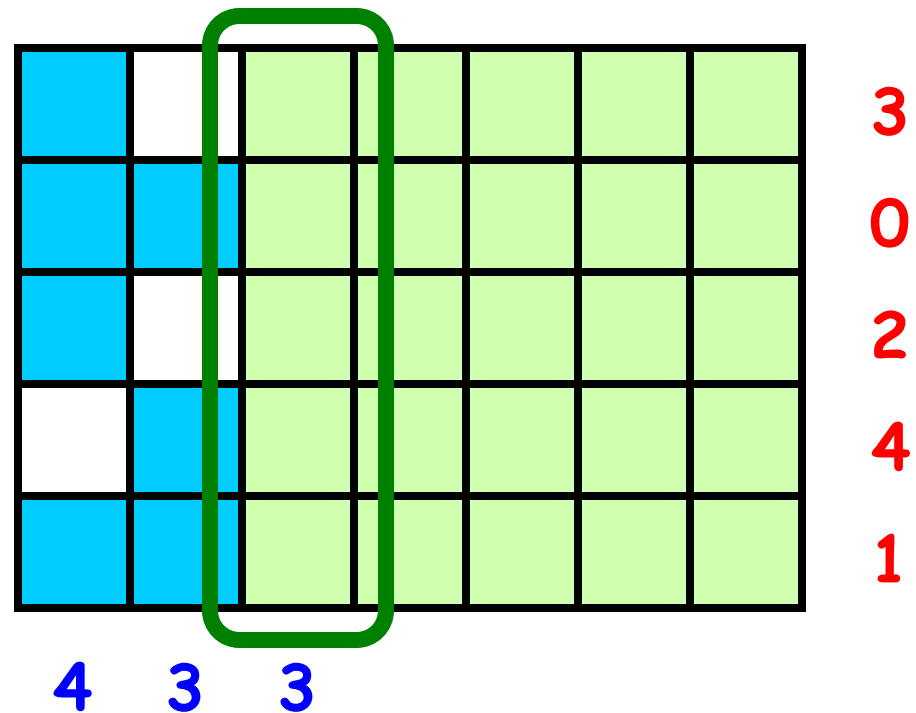
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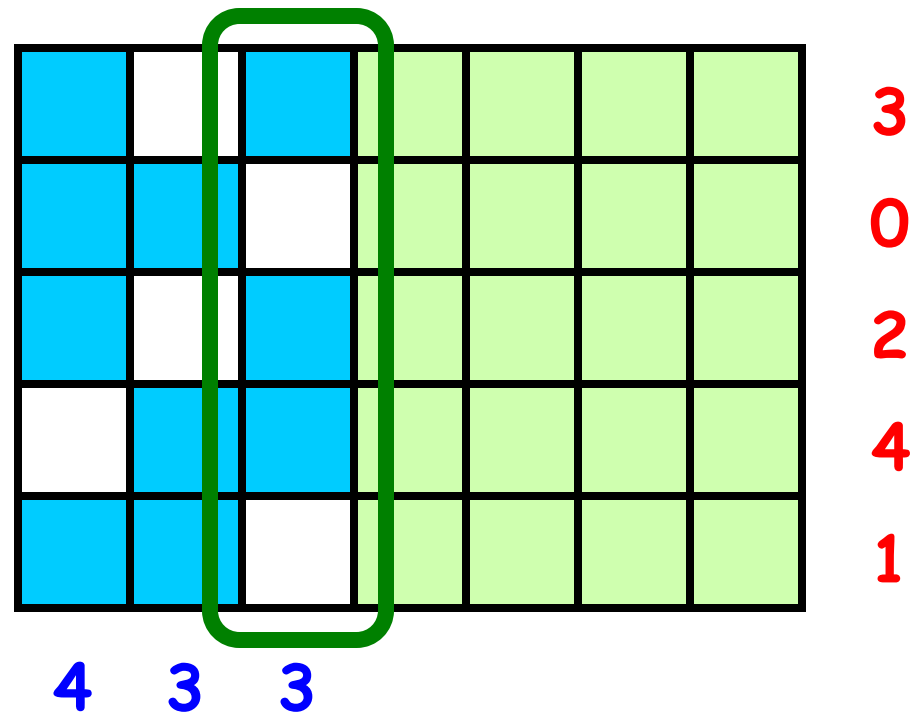
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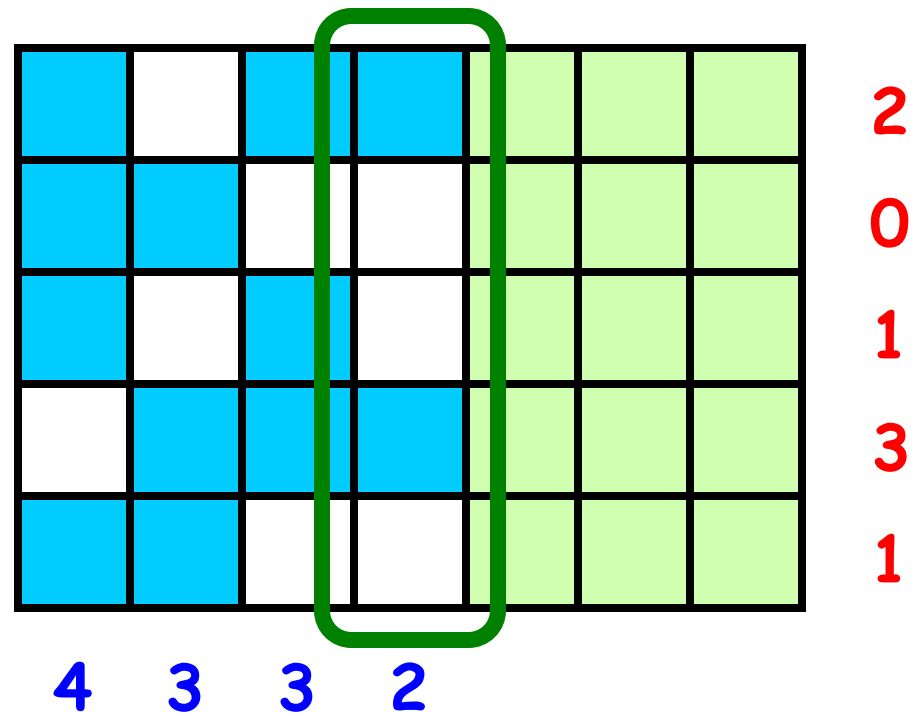
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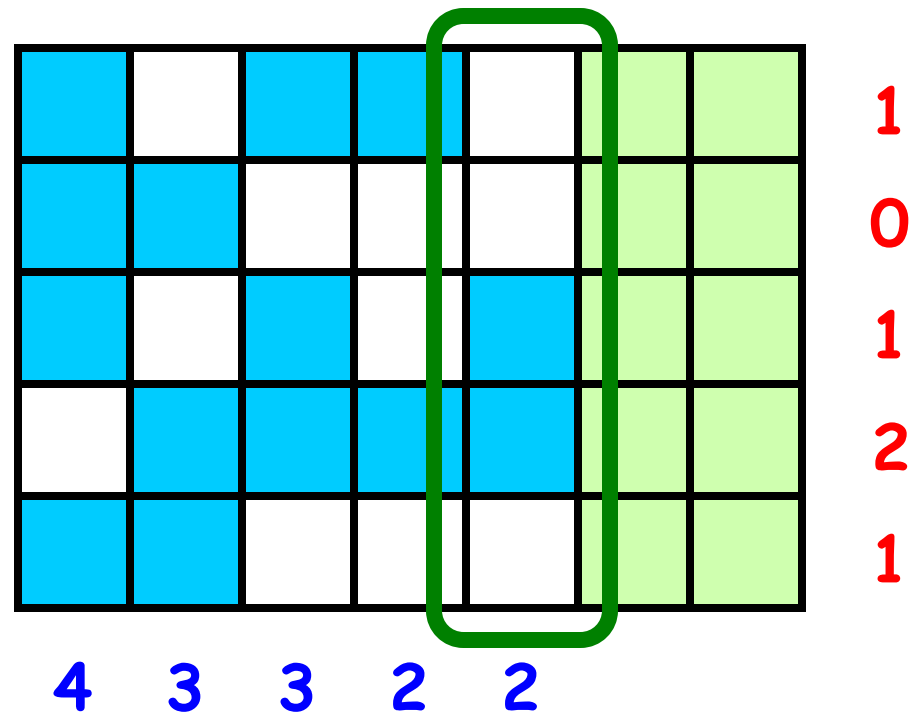
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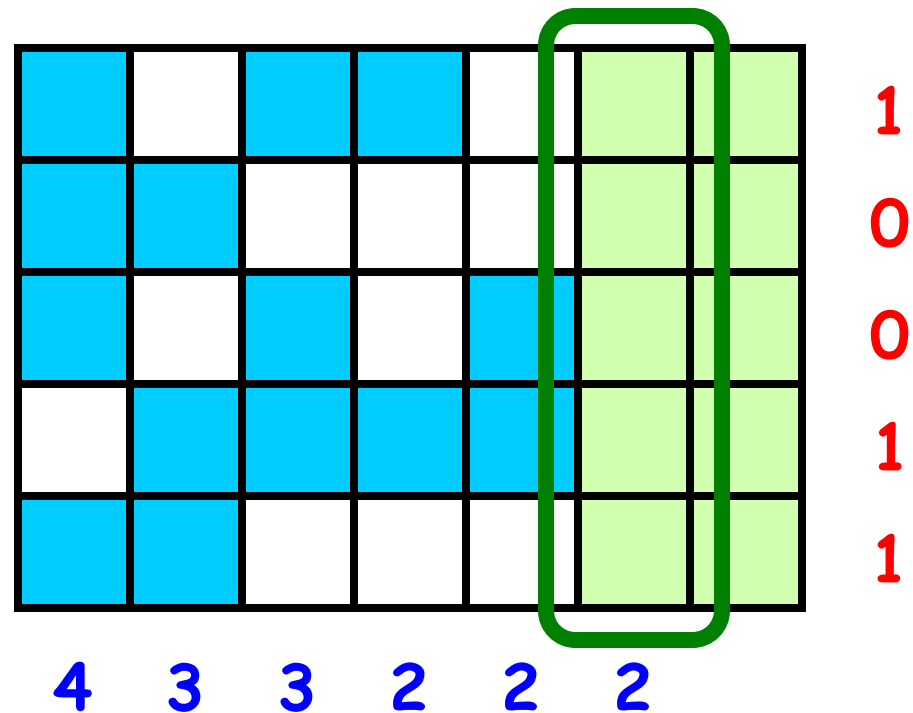
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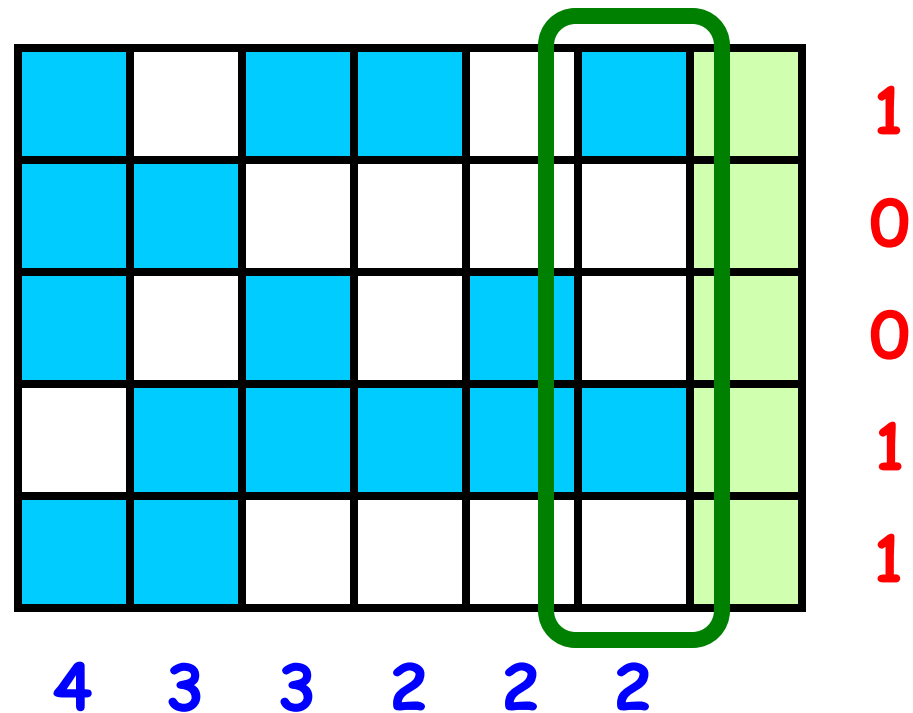
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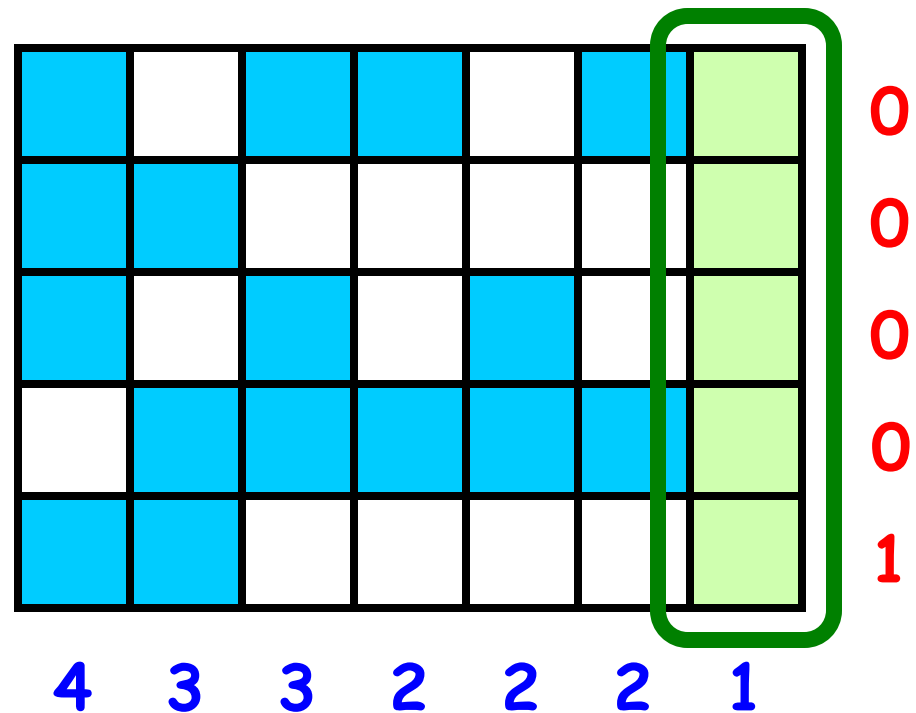
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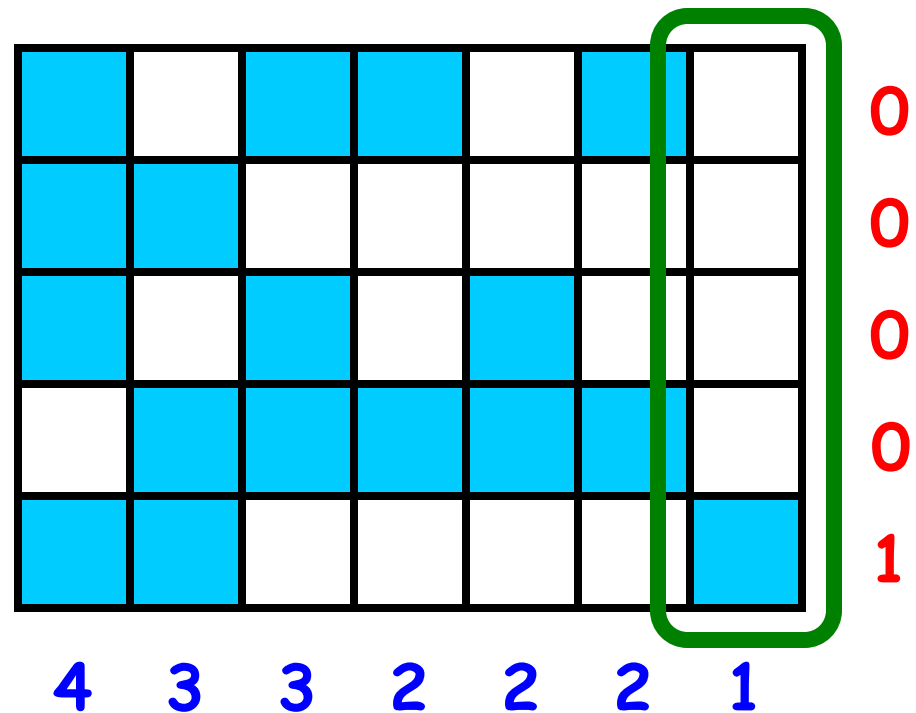
a specific  $\sigma$

- fill table column-by-column
- assign each column ignoring other column sums

assign the column  
with probability  
proportional to

$$\prod r_i / (n - r_i)$$

where product  
ranges over  $i$ : rows  
with assignment 1



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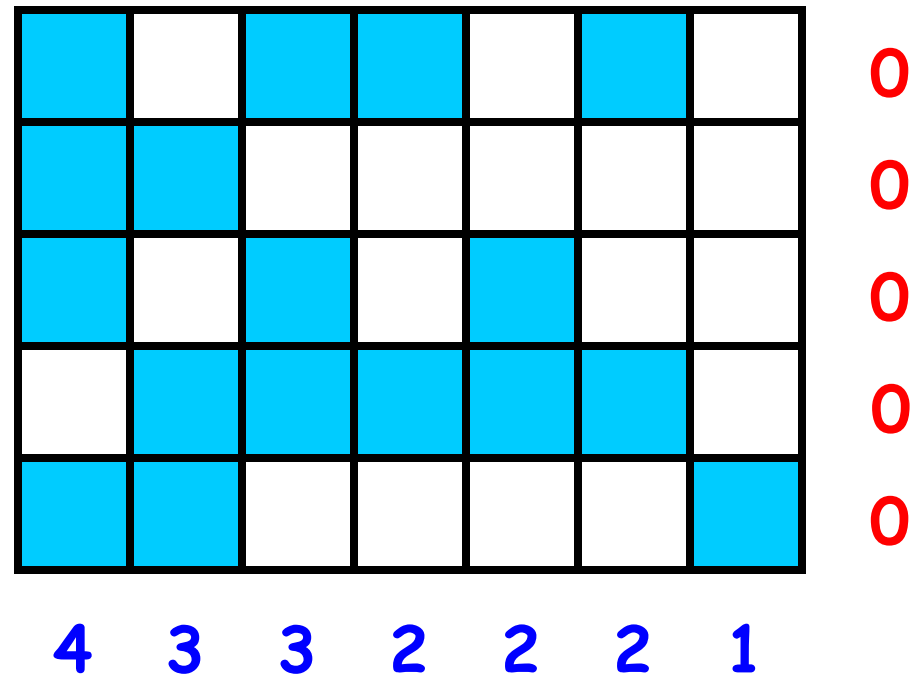
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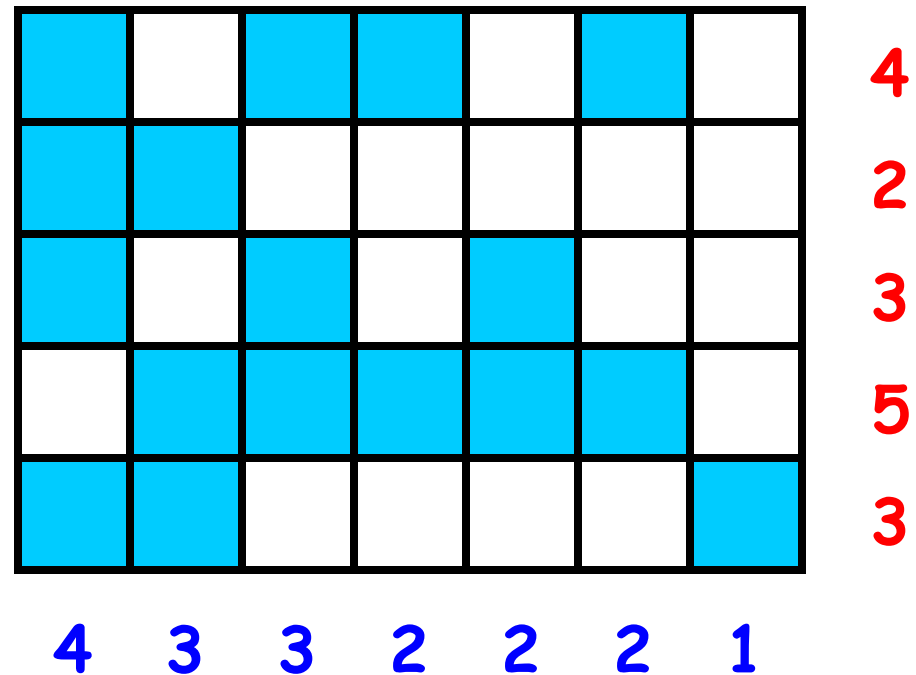
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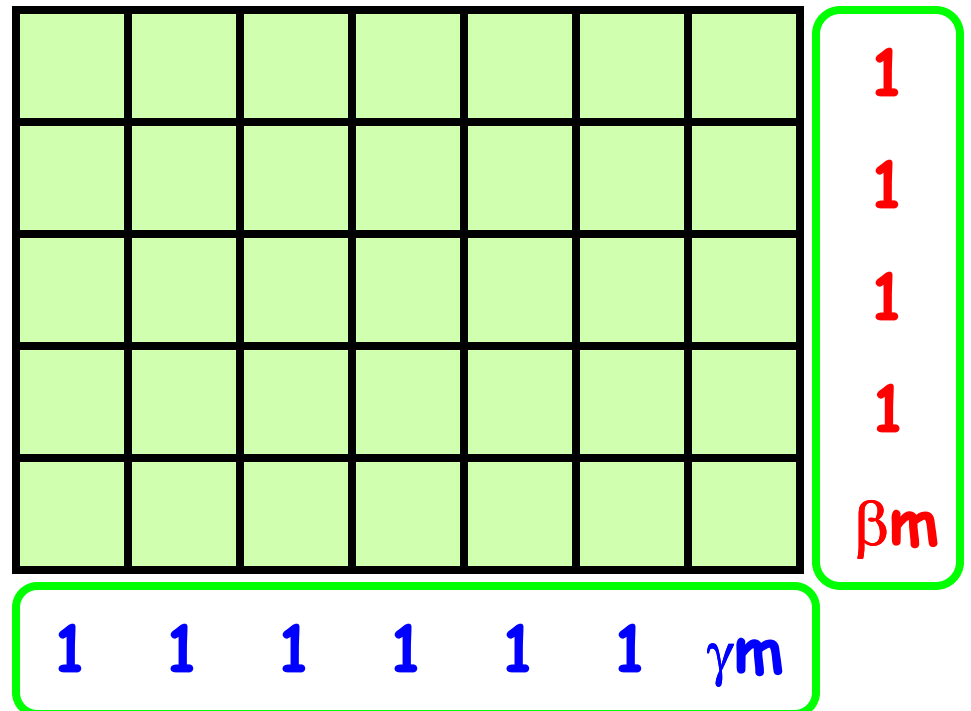
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# A Counterexample for SIS

**Thm** [Bezáková-Sinclair-Štefankovič-Vigoda '06]:

For any  $\beta \neq \gamma$ , SIS output after any subexponential number of trials is **off by an exponential factor** (with high probability).

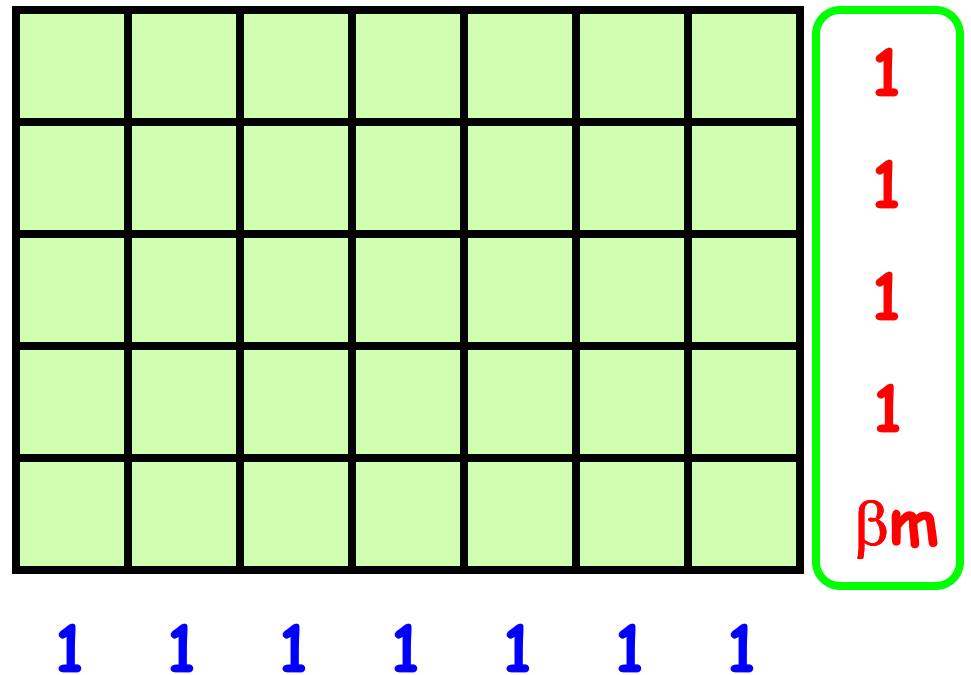


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## Simpler example





# A Counterexample for SIS

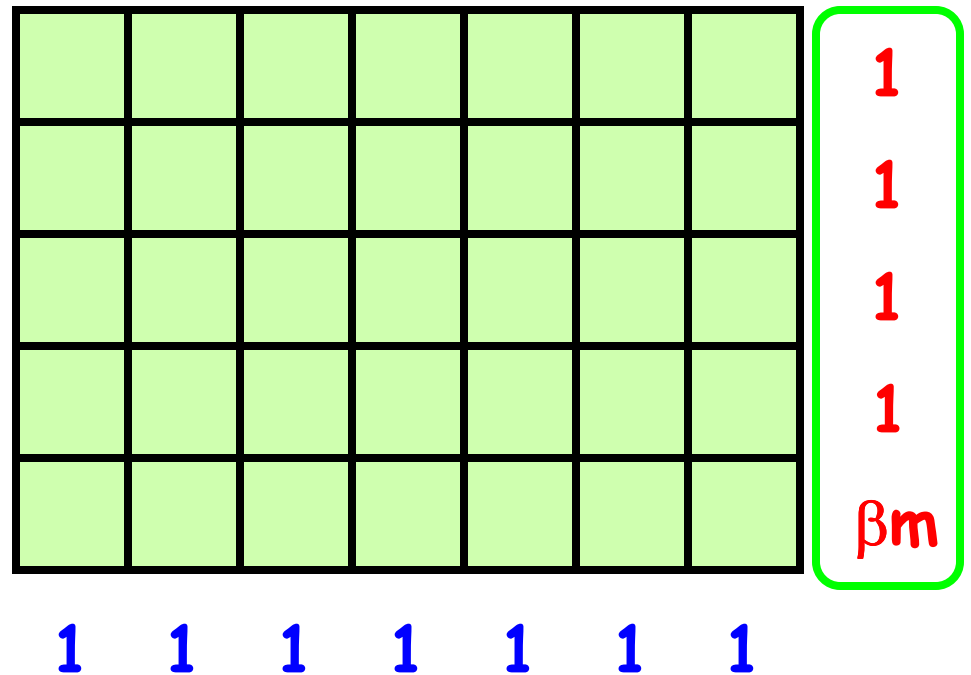
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## Intuition

Random table:

- randomly choose  $\beta m$  ones



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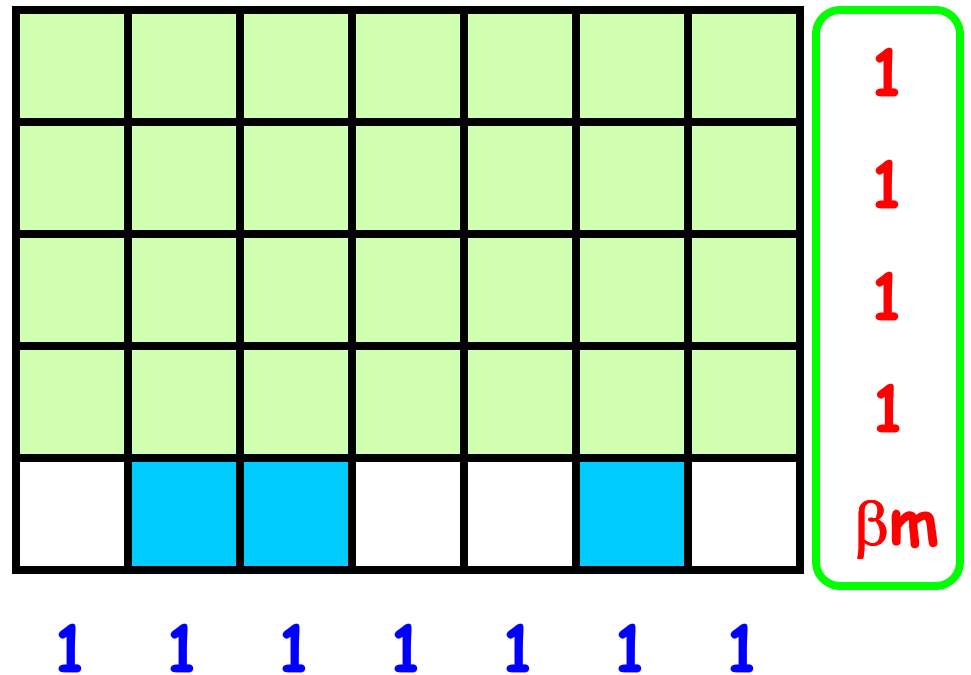
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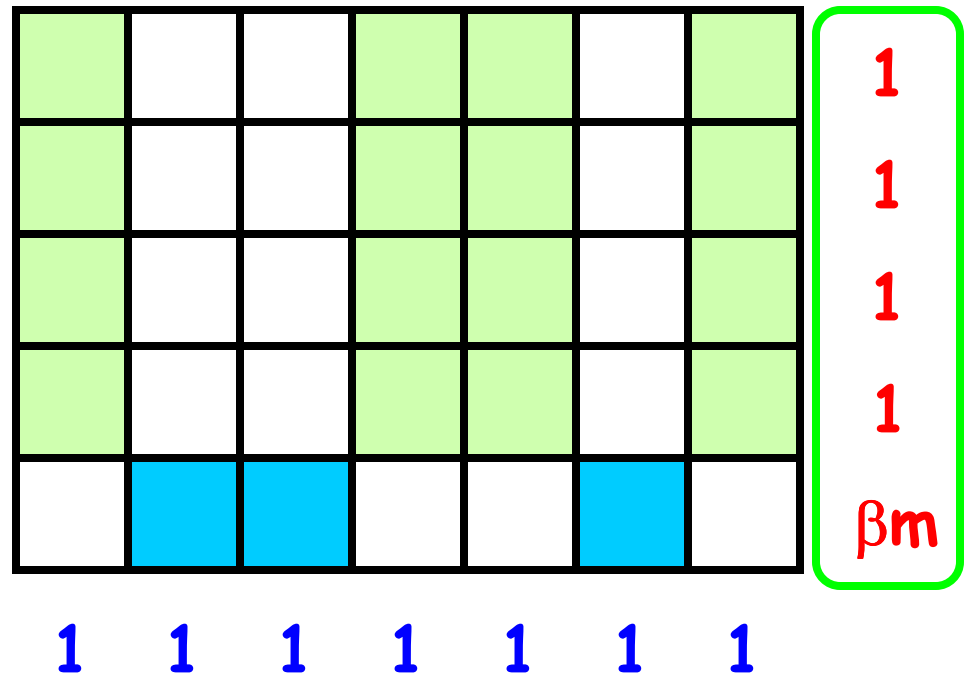
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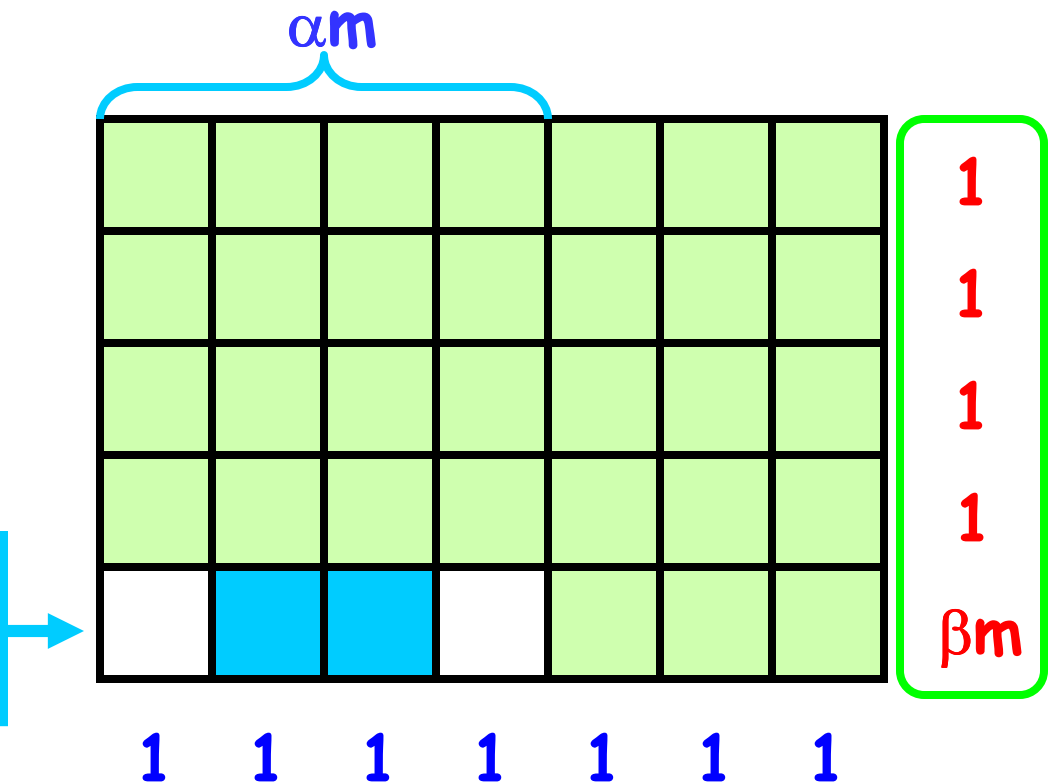
## Intuition

Expect:  $\alpha\beta m$  ones

SIS: asymptotically fewer

Random table:

- randomly choose  $\beta m$  ones



# A Counterexample for SIS

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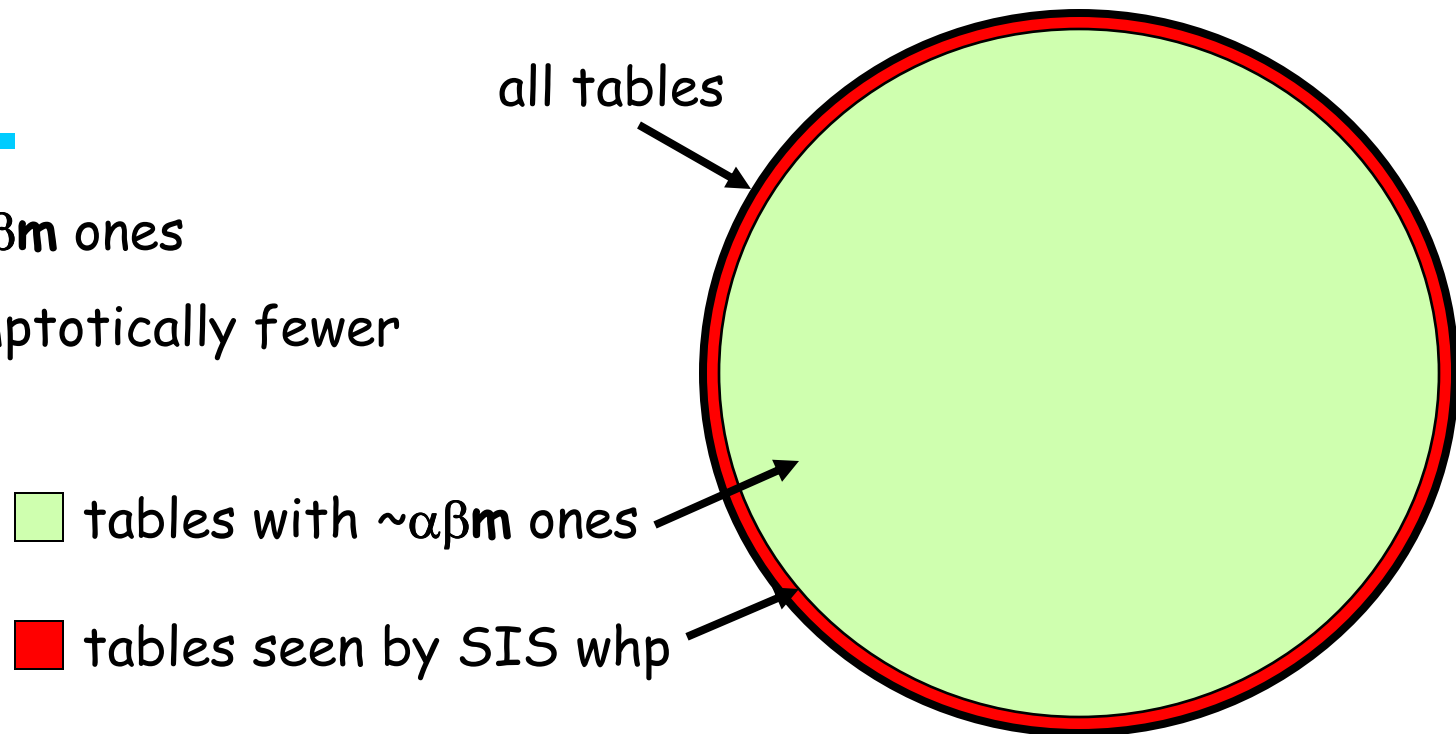
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## Intuition

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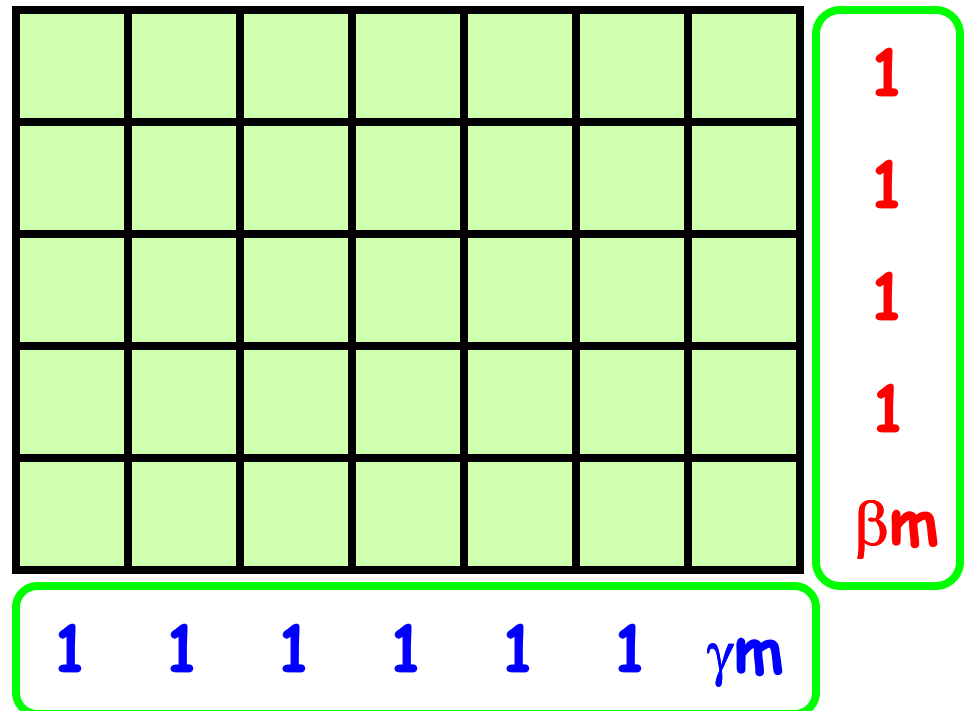
# A Counterexample for SIS

Thm [Bezáková-Sinclair-Štefankovič-Vigoda '06]:

For any  $\beta \neq \gamma$ , SIS output after any subexponential number of trials is **off by an exponential factor** (with high probability).

Result holds for any order of rows/columns.

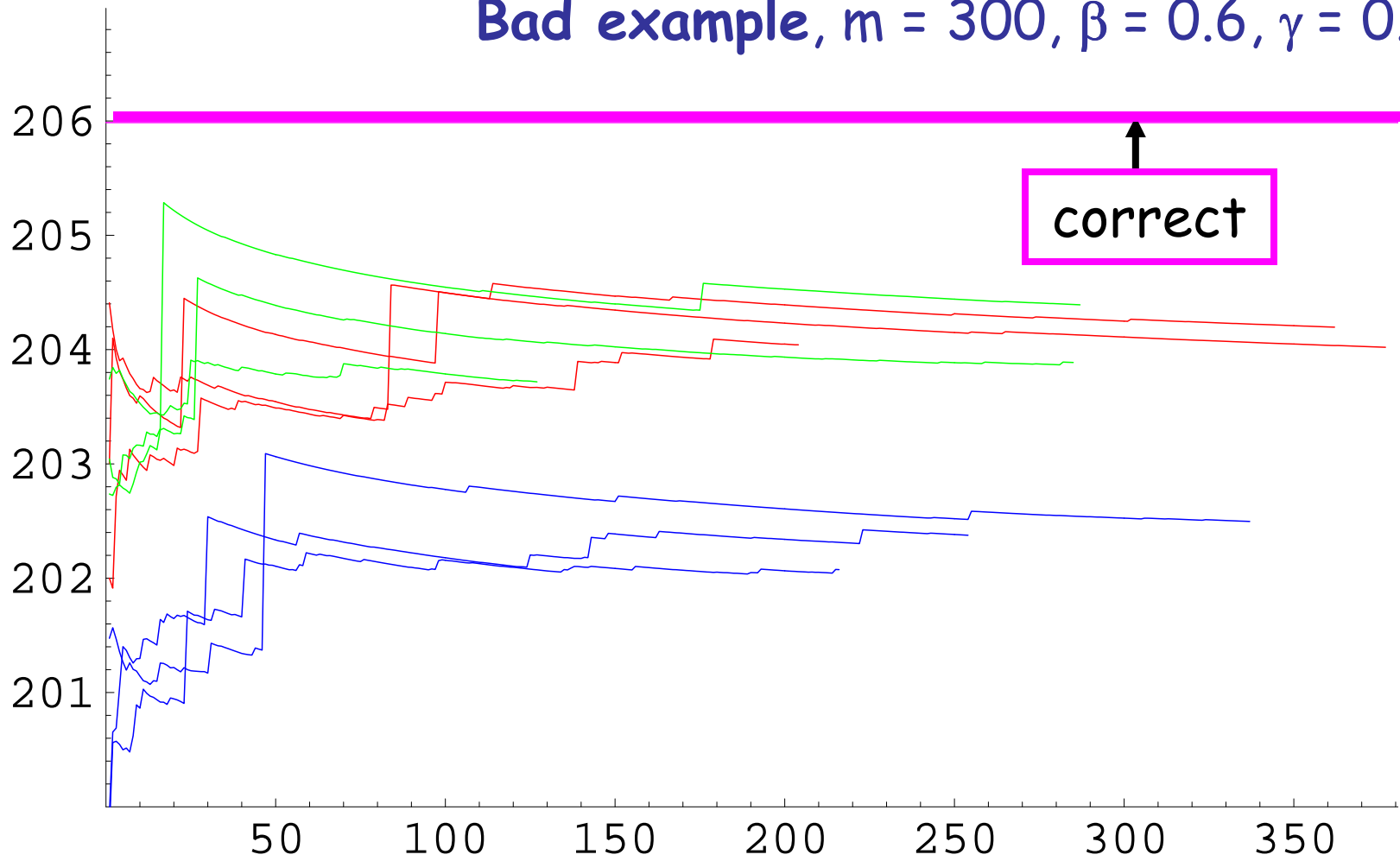
Alternating rows and columns?



# SIS - Experimental Results

Bad example,  $m = 300$ ,  $\beta = 0.6$ ,  $\gamma = 0.7$

log-scale of SIS estimate



number SIS steps

# Open Problems

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- Practical algorithm ?
- Detecting convergence of SIS
- SIS for larger marginals ?
- The Switching Markov chain of Diaconis-Gangolli ?
  
- General contingency tables
- Cell-bounded tables
- Counting non-bipartite graphs with a given degree sequence