

8. INTRACTABILITY I

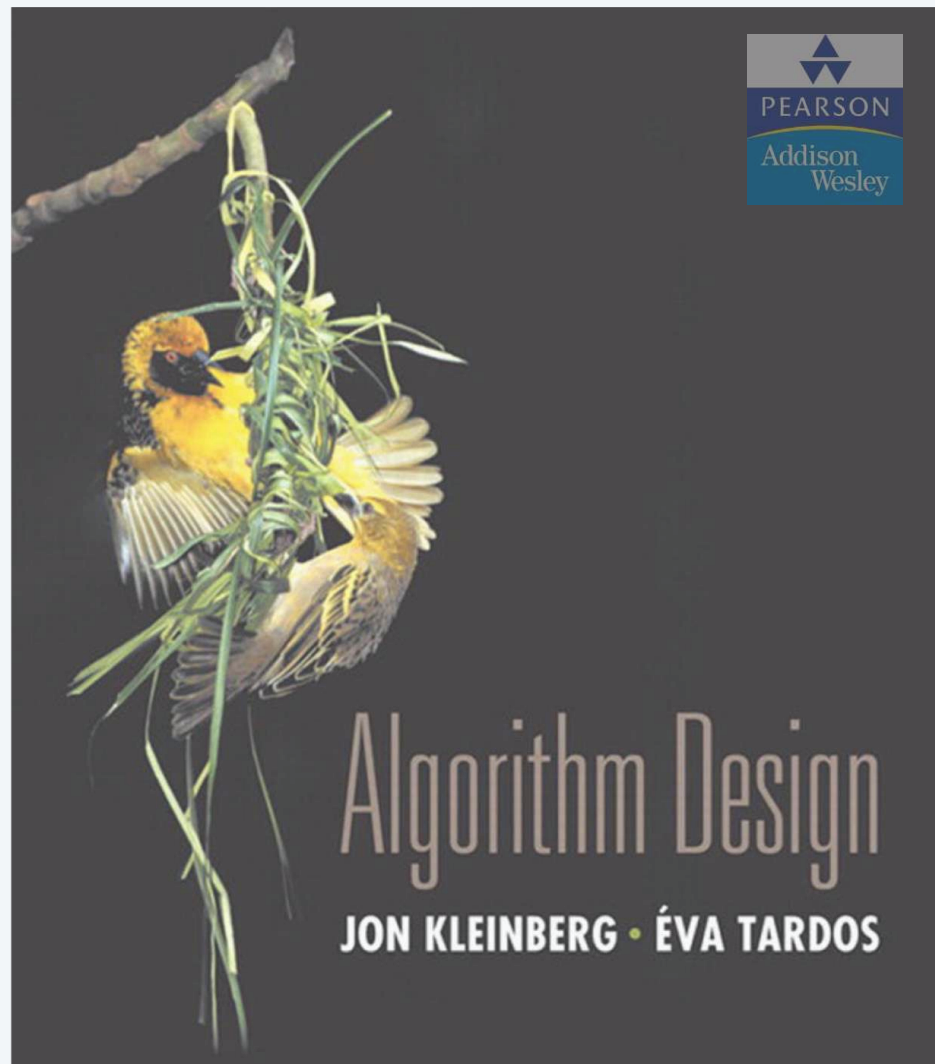
- ▶ *poly-time reductions*
- ▶ *packing and covering problems*
- ▶ *constraint satisfaction problems*
- ▶ *sequencing problems*
- ▶ *partitioning problems*
- ▶ *graph coloring*
- ▶ *numerical problems*

Lecture slides by Kevin Wayne

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<http://www.cs.princeton.edu/~wayne/kleinberg-tardos>

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SECTION 8.1

8. INTRACTABILITY I

- ▶ *poly-time reductions*
- ▶ *packing and covering problems*
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Algorithm design patterns and antipatterns

Algorithm design patterns.

- Greedy.
- Divide and conquer.
- Dynamic programming.
- Duality.
- **Reductions.**
- Local search.
- Randomization.

Algorithm design antipatterns.

- **NP-completeness.** $O(n^k)$ algorithm unlikely.
- **PSPACE-completeness.** $O(n^k)$ certification algorithm unlikely.
- Undecidability. No algorithm possible.

Classify problems according to computational requirements

Q. Which problems will we be able to solve in practice?

A working definition. Those with poly-time algorithms.



von Neumann
(1953)



Nash
(1955)



Gödel
(1956)



Cobham
(1964)



Edmonds
(1965)



Rabin
(1966)

Turing machine, word RAM, uniform circuits, ...



Theory. Definition is broad and robust.

constants tend to be small, e.g., $3n^2$



Practice. Poly-time algorithms scale to huge problems.

Classify problems according to computational requirements

Q. Which problems will we be able to solve in practice?

A working definition. Those with poly-time algorithms.

yes	probably no
shortest path	longest path
min cut	max cut
2-satisfiability	3-satisfiability
planar 4-colorability	planar 3-colorability
bipartite vertex cover	vertex cover
matching	3d-matching
primality testing	factoring
linear programming	integer linear programming

Classify problems

Desiderata. Classify problems according to those that can be solved in polynomial time and those that cannot.

Provably requires exponential time.

- Given a constant-size program, does it halt in at most k steps?
- Given a board position in an n -by- n generalization of checkers, can black guarantee a win?

input size = $c + \log k$

using forced capture rule



Alan designed the perfect computer



Frustrating news. Huge number of fundamental problems have defied classification for decades.

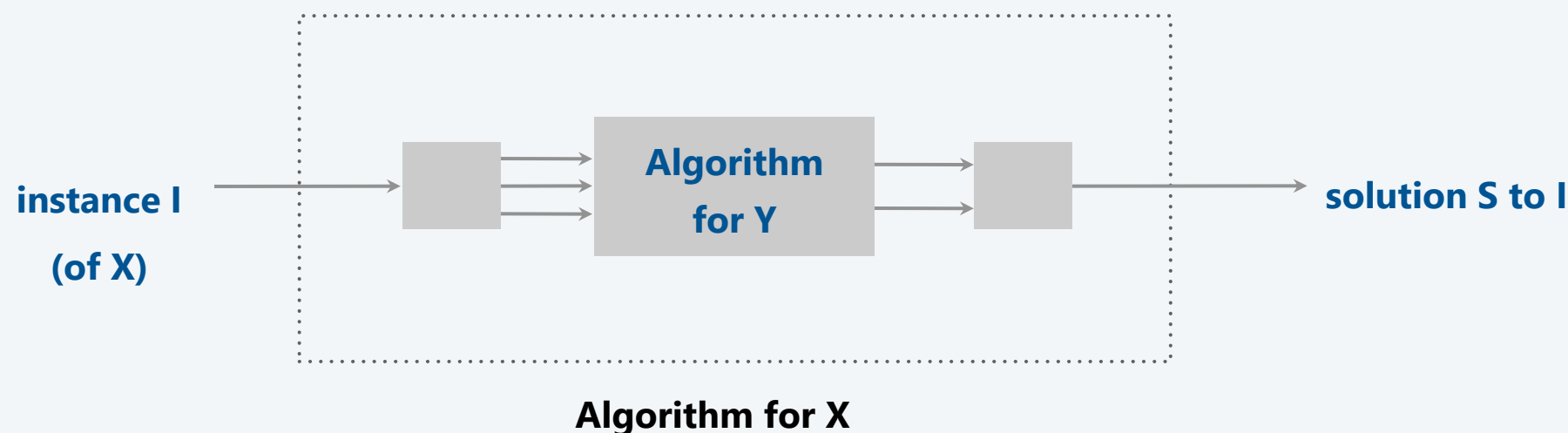
Poly-time reductions

Desiderata'. Suppose we could solve problem Y in polynomial time. What else could we solve in polynomial time?

Reduction. Problem X **polynomial-time (Cook) reduces to** problem Y if arbitrary instances of problem X can be solved using:

- Polynomial number of standard computational steps, plus
- Polynomial number of calls to oracle that solves problem Y .

computational model supplemented by special piece of hardware that solves instances of Y in a single step



Poly-time reductions

Desiderata'. Suppose we could solve problem Y in polynomial time. What else could we solve in polynomial time?

Reduction. Problem X **polynomial-time (Cook) reduces to** problem Y if arbitrary instances of problem X can be solved using:

- Polynomial number of standard computational steps, plus
- Polynomial number of calls to oracle that solves problem Y .

Notation. $X \leq_P Y$.

Note. We pay for time to write down instances of Y sent to oracle \Rightarrow instances of Y must be of polynomial size.

Novice mistake. Confusing $X \leq_P Y$ with $Y \leq_P X$.



Suppose that $X \leq_P Y$. Which of the following can we infer?

- A. If X can be solved in polynomial time, then so can Y .
- B. X can be solved in poly time iff Y can be solved in poly time.
- C. If X cannot be solved in polynomial time, then neither can Y .
- D. If Y cannot be solved in polynomial time, then neither can X .



Which of the following poly-time reductions are known?

- A. $\text{FIND-MAX-FLOW} \leq_p \text{FIND-MIN-CUT}$.
- B. $\text{FIND-MIN-CUT} \leq_p \text{FIND-MAX-FLOW}$.
- C. Both A and B.
- D. Neither A nor B.

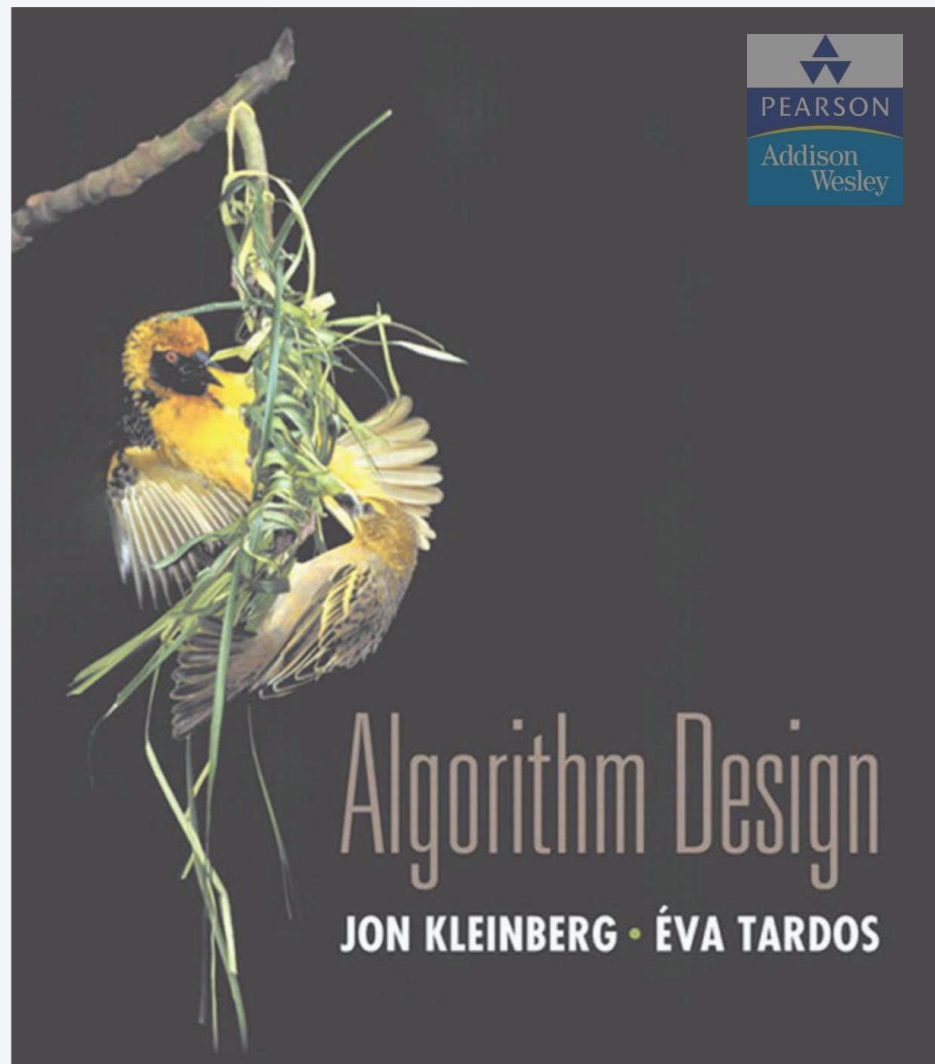
Poly-time reductions

Design algorithms. If $X \leq_P Y$ and Y can be solved in polynomial time, then X can be solved in polynomial time.

Establish intractability. If $X \leq_P Y$ and X cannot be solved in polynomial time, then Y cannot be solved in polynomial time.

Establish equivalence. If both $X \leq_P Y$ and $Y \leq_P X$, we use notation $X \equiv_P Y$. In this case, X can be solved in polynomial time iff Y can be.

Bottom line. Reductions classify problems according to **relative** difficulty.



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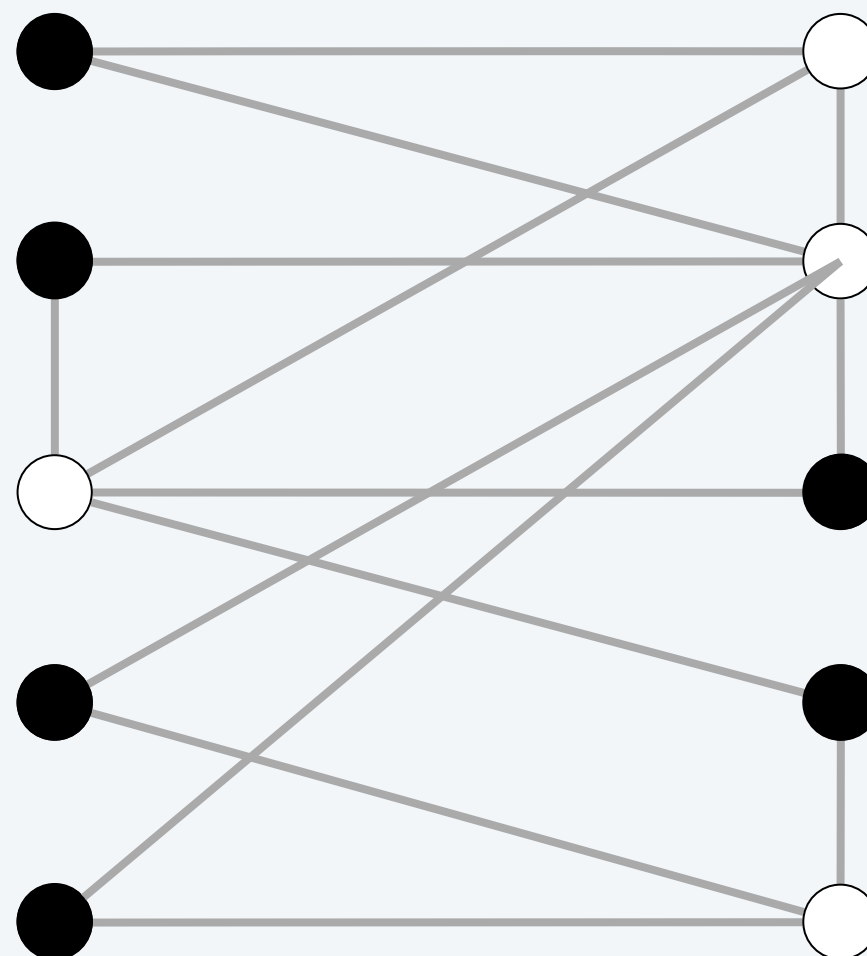
- ▶ *poly-time reductions*
- ▶ ***packing and covering problems***
- ▶ *constraint satisfaction problems*
- ▶ *sequencing problems*
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- ▶ *graph coloring*
- ▶ *numerical problems*

Independent set

INDEPENDENT-SET. Given a graph $G = (V, E)$ and an integer k , is there a subset of k (or more) vertices such that no two are adjacent?

Ex. Is there an independent set of size ≥ 6 ?

Ex. Is there an independent set of size ≥ 7 ?



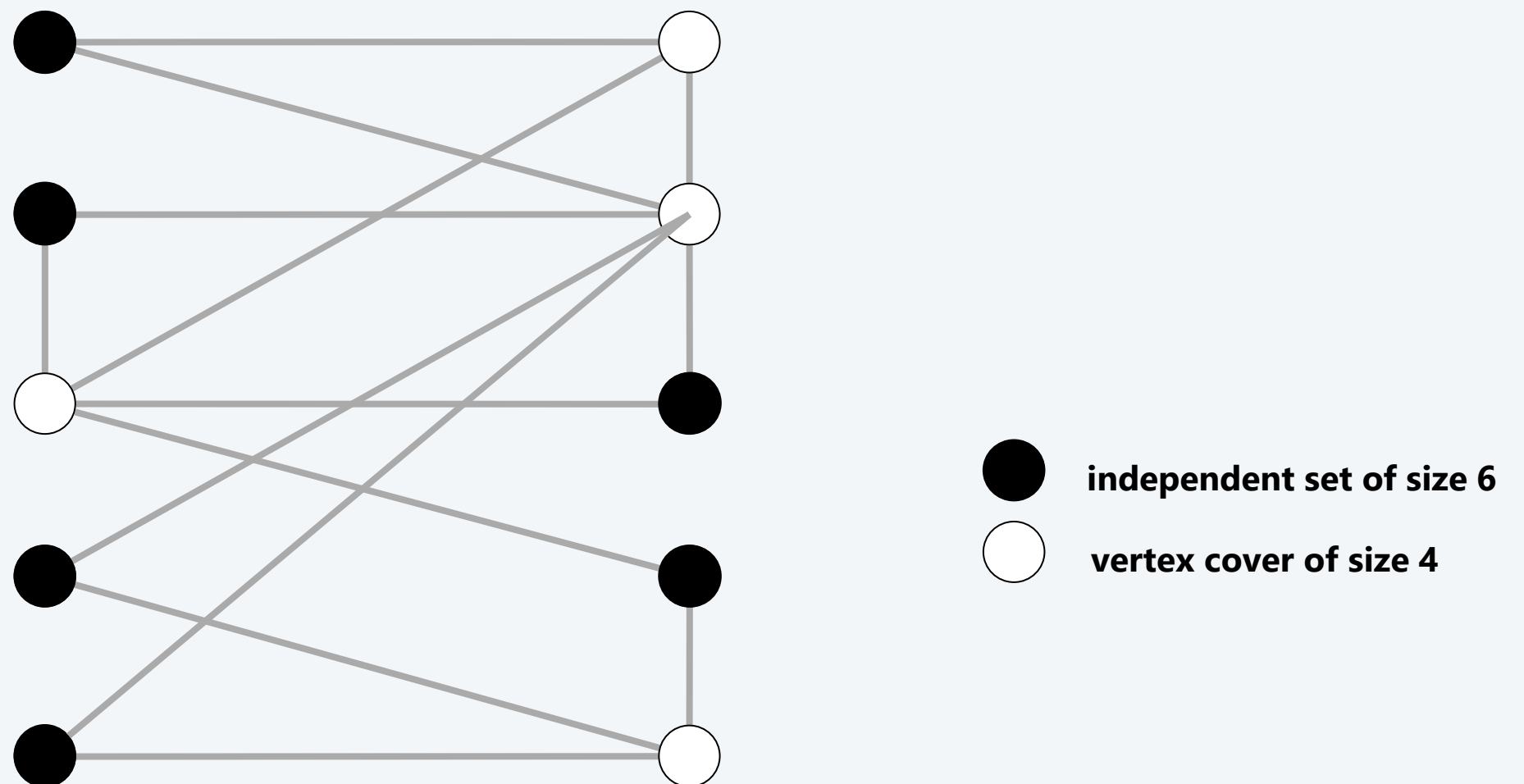
● independent set of size 6

Vertex cover

VERTEX-COVER. Given a graph $G = (V, E)$ and an integer k , is there a subset of k (or fewer) vertices such that each edge is incident to at least one vertex in the subset?

Ex. Is there a vertex cover of size ≤ 4 ?

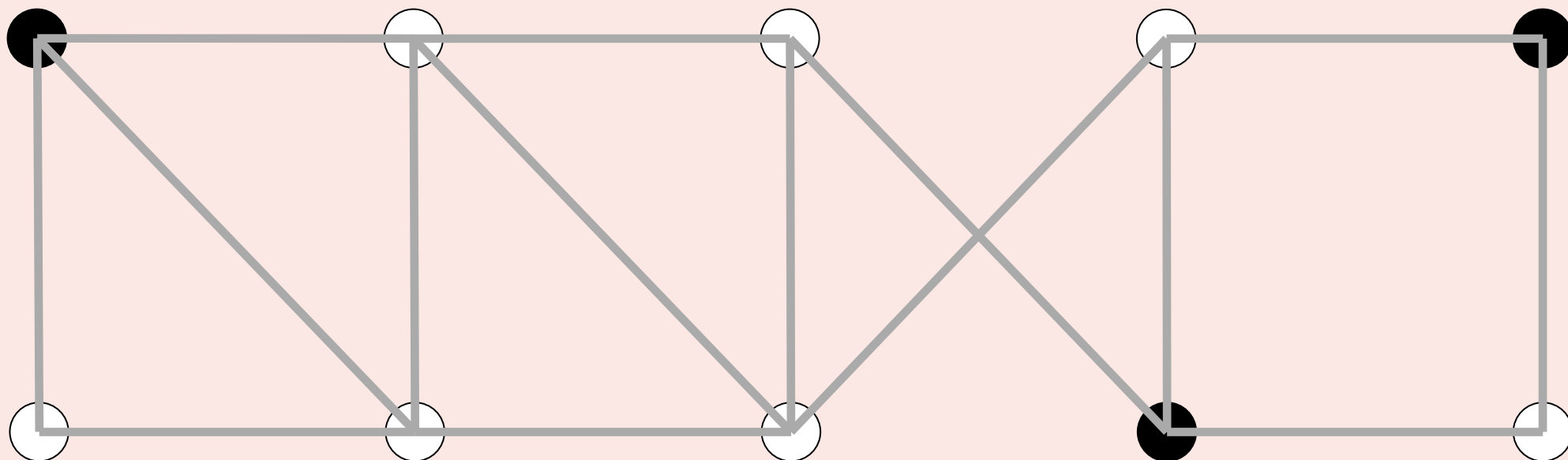
Ex. Is there a vertex cover of size ≤ 3 ?





Consider the following graph G. Which are true?

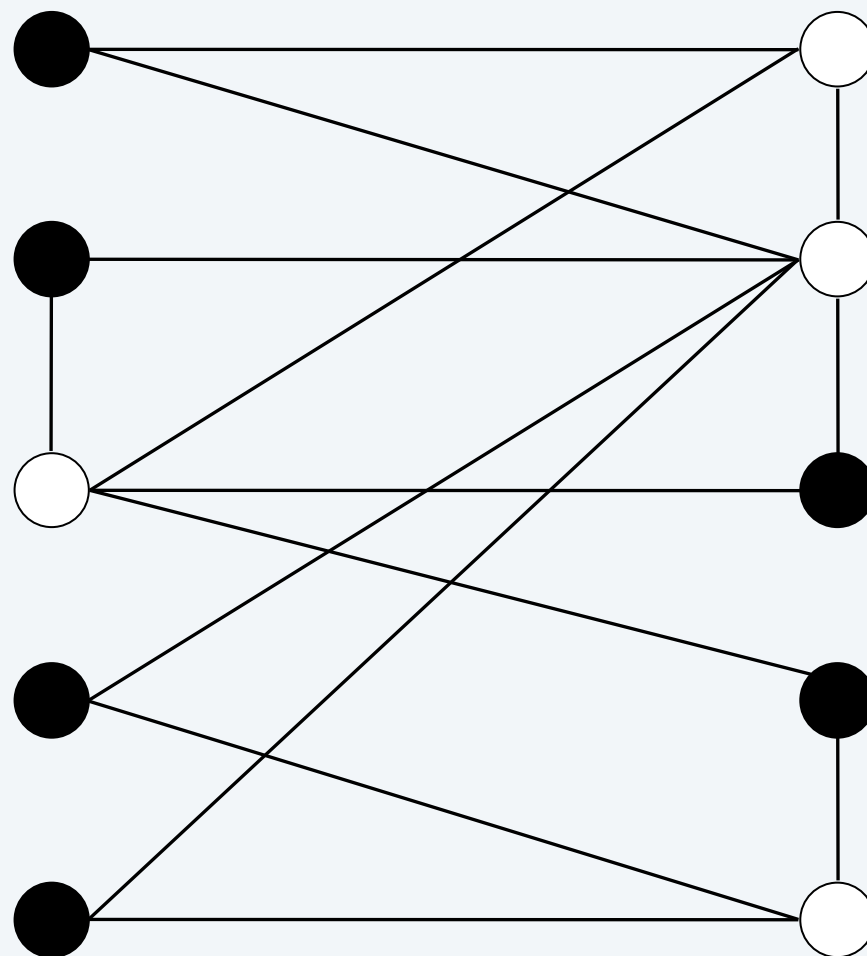
- A. The white vertices are a vertex cover of size 7.
- B. The black vertices are an independent set of size 3.
- C. Both A and B.
- D. Neither A nor B.



Vertex cover and independent set reduce to one another

Theorem. $\text{INDEPENDENT-SET} \equiv_p \text{VERTEX-COVER}$.

Pf. We show S is an independent set of size k iff $V - S$ is a vertex cover of size $n - k$.



● independent set of size 6
○ vertex cover of size 4

Vertex cover and independent set reduce to one another

Theorem. $\text{INDEPENDENT-SET} \equiv_P \text{VERTEX-COVER}$.

Pf. We show S is an independent set of size k iff $V - S$ is a vertex cover of size $n - k$.

\Rightarrow

- Let S be any independent set of size k .
- $V - S$ is of size $n - k$.
- Consider an arbitrary edge $(u, v) \in E$.
- S independent \Rightarrow either $u \notin S$, or $v \notin S$, or both.
 \Rightarrow either $u \in V - S$, or $v \in V - S$, or both.
- Thus, $V - S$ covers (u, v) . ▪

Vertex cover and independent set reduce to one another

Theorem. $\text{INDEPENDENT-SET} \equiv_P \text{VERTEX-COVER}$.

Pf. We show S is an independent set of size k iff $V - S$ is a vertex cover of size $n - k$.

\Leftarrow

- Let $V - S$ be any vertex cover of size $n - k$.
- S is of size k .
- Consider an arbitrary edge $(u, v) \in E$.
- $V - S$ is a vertex cover \Rightarrow either $u \in V - S$, or $v \in V - S$, or both.
 \Rightarrow either $u \notin S$, or $v \notin S$, or both.
- Thus, S is an independent set. ▪

Set cover

SET-COVER. Given a set U of elements, a collection S of subsets of U , and an integer k , are there $\leq k$ of these subsets whose union is equal to U ?

Sample application.

- m available pieces of software.
- Set U of n capabilities that we would like our system to have.
- The i^{th} piece of software provides the set $S_i \subseteq U$ of capabilities.
- Goal: achieve all n capabilities using fewest pieces of software.

$$U = \{ 1, 2, 3, 4, 5, 6, 7 \}$$

$$S_a = \{ 3, 7 \}$$

$$S_b = \{ 2, 4 \}$$

$$S_c = \{ 3, 4, 5, 6 \}$$

$$S_d = \{ 5 \}$$

$$S_e = \{ 1 \}$$

$$S_f = \{ 1, 2, 6, 7 \}$$

$$k = 2$$

a set cover instance



Given the universe $U = \{ 1, 2, 3, 4, 5, 6, 7 \}$ and the following sets, which is the minimum size of a set cover?

- A. 1
- B. 2
- C. 3
- D. None of the above.

$$U = \{ 1, 2, 3, 4, 5, 6, 7 \}$$

$$S_a = \{ 1, 4, 6 \}$$

$$S_b = \{ 1, 6, 7 \}$$

$$S_c = \{ 1, 2, 3, 6 \}$$

$$S_d = \{ 1, 3, 5, 7 \}$$

$$S_e = \{ 2, 6, 7 \}$$

$$S_f = \{ 3, 4, 5 \}$$

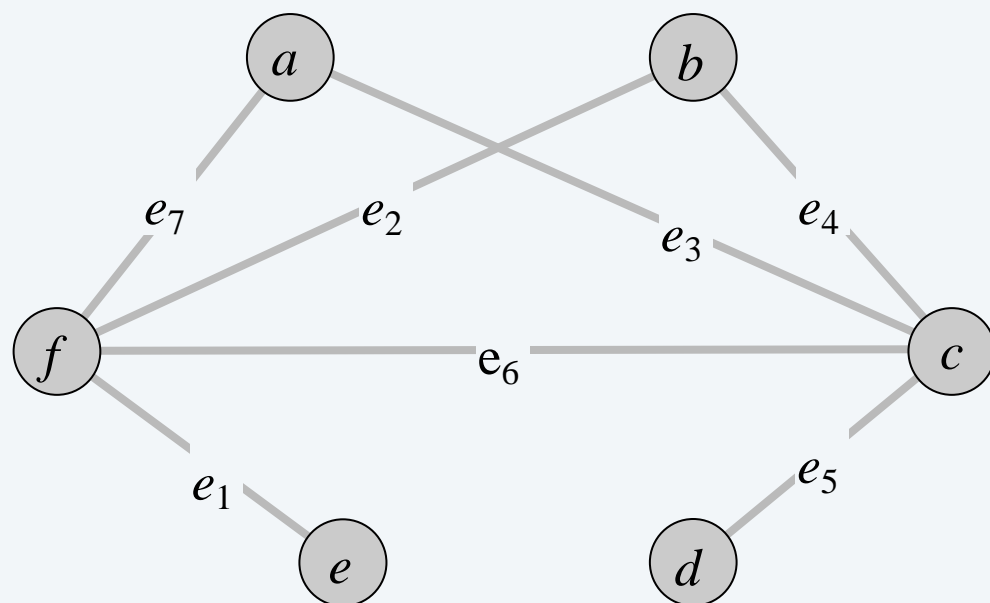
Vertex cover reduces to set cover

Theorem. $\text{VERTEX-COVER} \leq_p \text{SET-COVER}$.

Pf. Given a VERTEX-COVER instance $G = (V, E)$ and k , we construct a SET-COVER instance (U, S, k) that has a set cover of size k iff G has a vertex cover of size k .

Construction.

- Universe $U = E$.
- Include one subset for each node $v \in V$: $S_v = \{e \in E : e \text{ incident to } v\}$.



**vertex cover instance (k
= 2)**

$U = \{ 1, 2, 3, 4, 5, 6, 7 \}$	
$S_a = \{ 3, 7 \}$	$S_b = \{ 2, 4 \}$
$S_c = \{ 3, 4, 5, 6 \}$	$S_d = \{ 5 \}$
$S_e = \{ 1 \}$	$S_f = \{ 1, 2, 6, 7 \}$

**set cover instance
($k = 2$)**

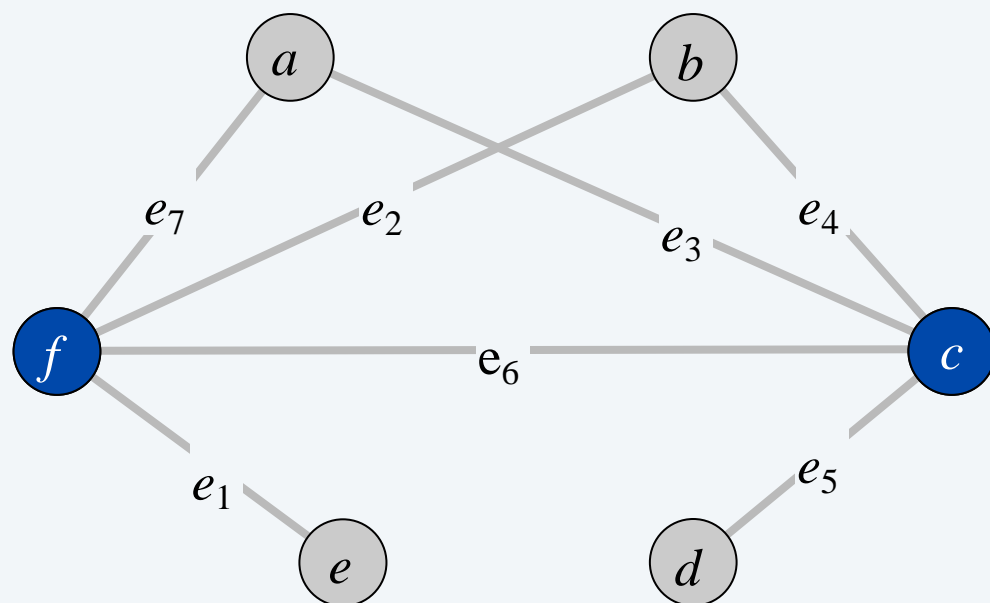
Vertex cover reduces to set cover

Lemma. $G = (V, E)$ contains a vertex cover of size k iff (U, S, k) contains a set cover of size k .

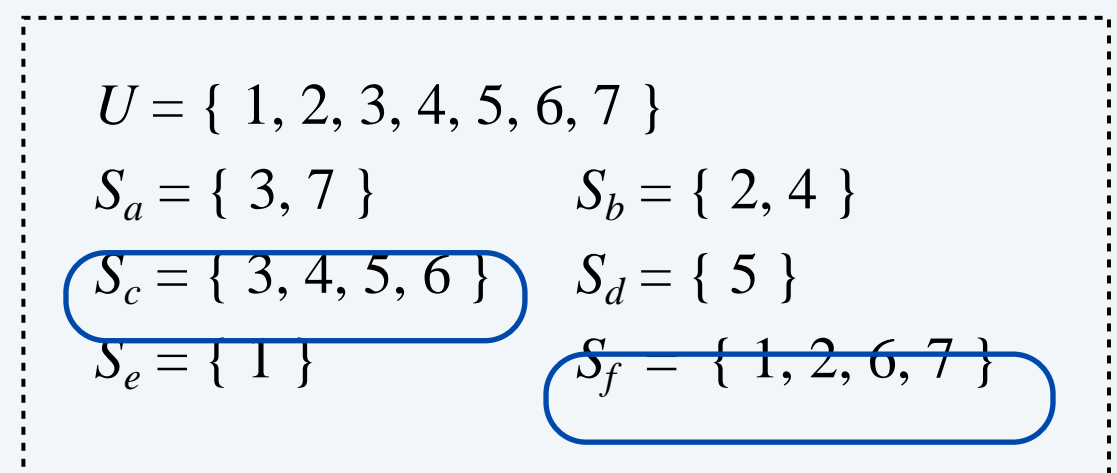
Pf. \Rightarrow Let $X \subseteq V$ be a vertex cover of size k in G .

- Then $Y = \{ S_v : v \in X \}$ is a set cover of size k . ▪

“yes” instances of VERTEX-COVER
are solved correctly



vertex cover instance (k
= 2)



set cover instance
($k = 2$)

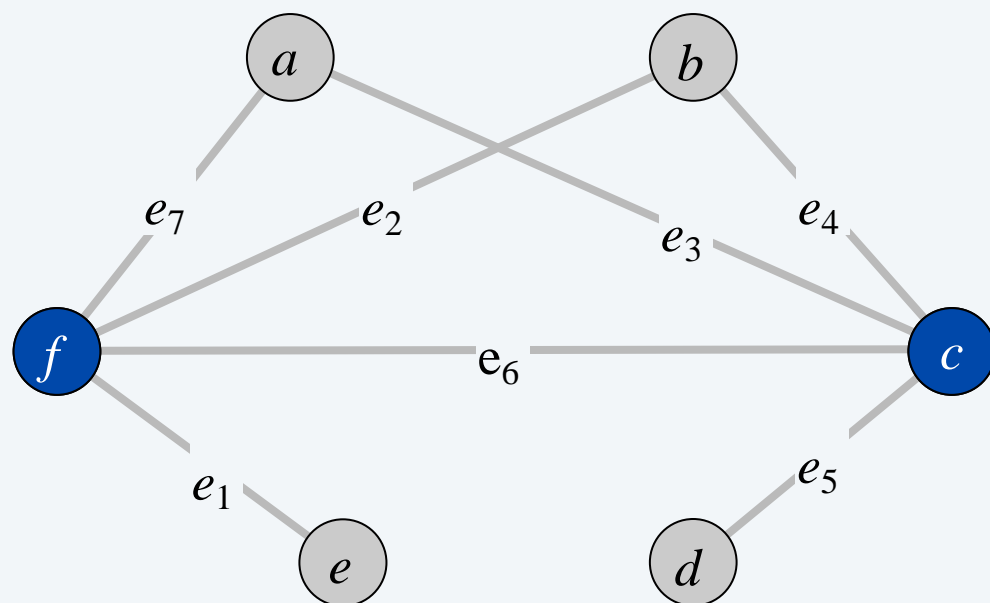
Vertex cover reduces to set cover

Lemma. $G = (V, E)$ contains a vertex cover of size k iff (U, S, k) contains a set cover of size k .

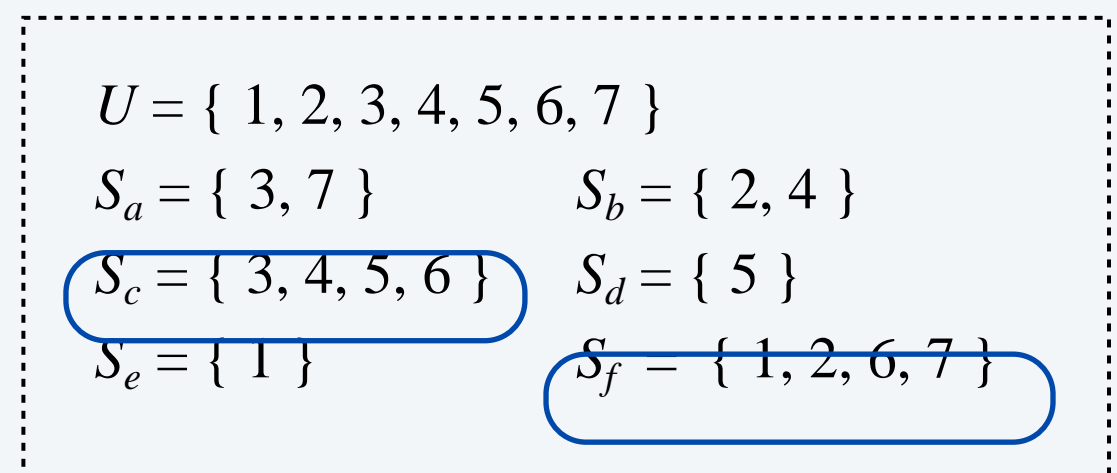
Pf. \Leftarrow Let $Y \subseteq S$ be a set cover of size k in (U, S, k) .

▪ Then $X = \{ v : S_v \in Y \}$ is a vertex cover of size k in G . ▪

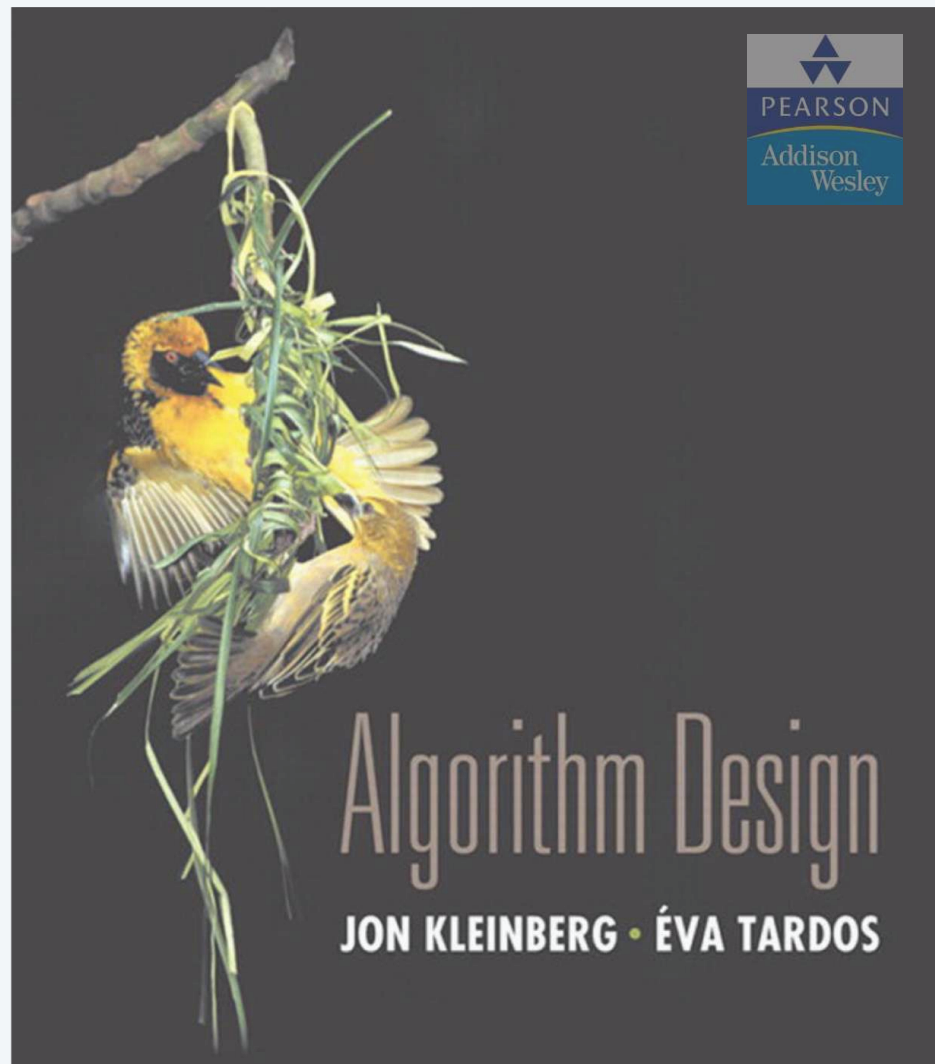
“no” instances of VERTEX-COVER
are solved correctly



vertex cover instance (k
= 2)



set cover instance
($k = 2$)



SECTION 8.2

8. INTRACTABILITY I

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Satisfiability

Literal. A Boolean variable or its negation.

$$x_i \text{ or } \overline{x_i}$$

Clause. A disjunction of literals.

$$C_j = x_1 \vee \overline{x_2} \vee x_3$$

Conjunctive normal form (CNF). A propositional formula Φ that is a conjunction of clauses.

$$\Phi = C_1 \wedge C_2 \wedge C_3 \wedge C_4$$

SAT. Given a CNF formula Φ , does it have a satisfying truth assignment?

3-SAT. SAT where each clause contains exactly 3 literals (and each literal corresponds to a different variable).

$$\Phi = (\overline{x_1} \vee x_2 \vee x_3) \wedge (x_1 \vee \overline{x_2} \vee x_3) \wedge (\overline{x_1} \vee x_2 \vee x_4)$$

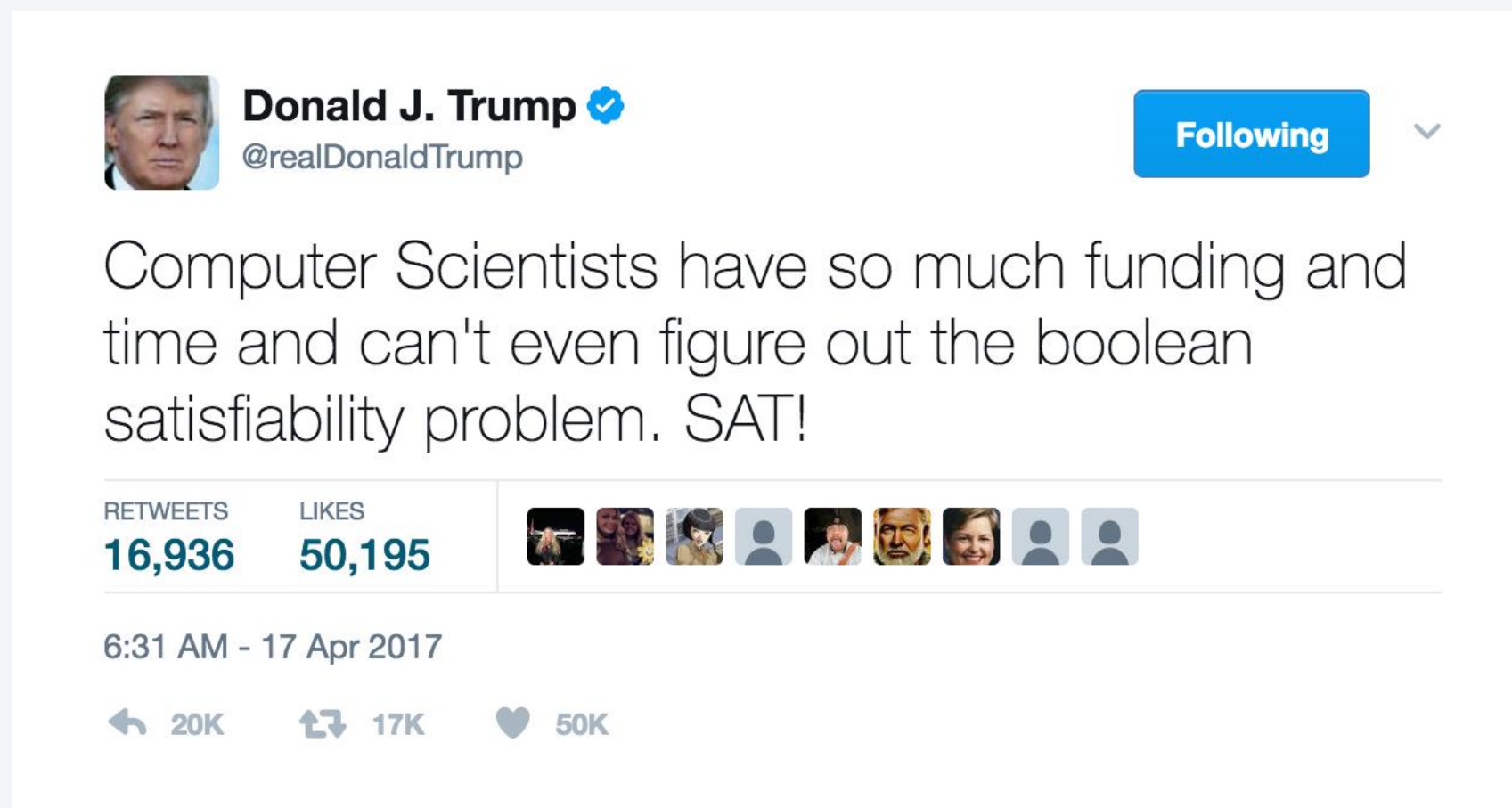
yes instance: $x_1 = \text{true}$, $x_2 = \text{true}$, $x_3 = \text{false}$, $x_4 = \text{false}$

Key application. Electronic design automation (EDA).

Satisfiability is hard

Scientific hypothesis. There does not exist a poly-time algorithm for 3-SAT.

P vs. NP. This hypothesis is equivalent to **$P \neq NP$** conjecture.



<https://www.facebook.com/pg/npcompleteteens>

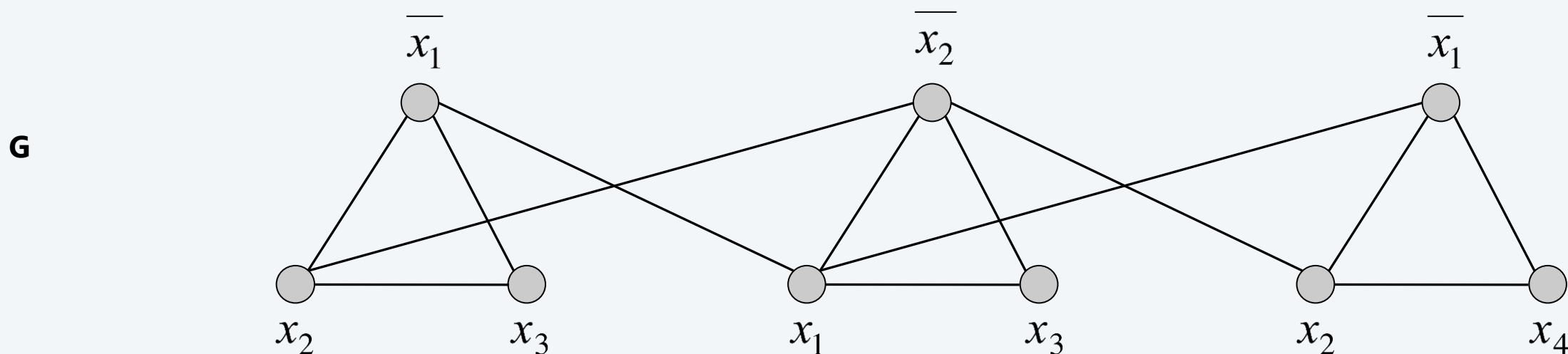
3-satisfiability reduces to independent set

Theorem. $3\text{-SAT} \leq_P \text{INDEPENDENT-SET}$.

Pf. Given an instance Φ of 3-SAT, we construct an instance (G, k) of INDEPENDENT-SET that has an independent set of size $k = |\Phi|$ iff Φ is satisfiable.

Construction.

- G contains 3 nodes for each clause, one for each literal.
- Connect 3 literals in a clause in a triangle.
- Connect literal to each of its negations.



k = 3

$$\Phi = (\bar{x}_1 \vee x_2 \vee x_3) \wedge (x_1 \vee \bar{x}_2 \vee x_3) \wedge (\bar{x}_1 \vee x_2 \vee x_4)$$

3-satisfiability reduces to independent set

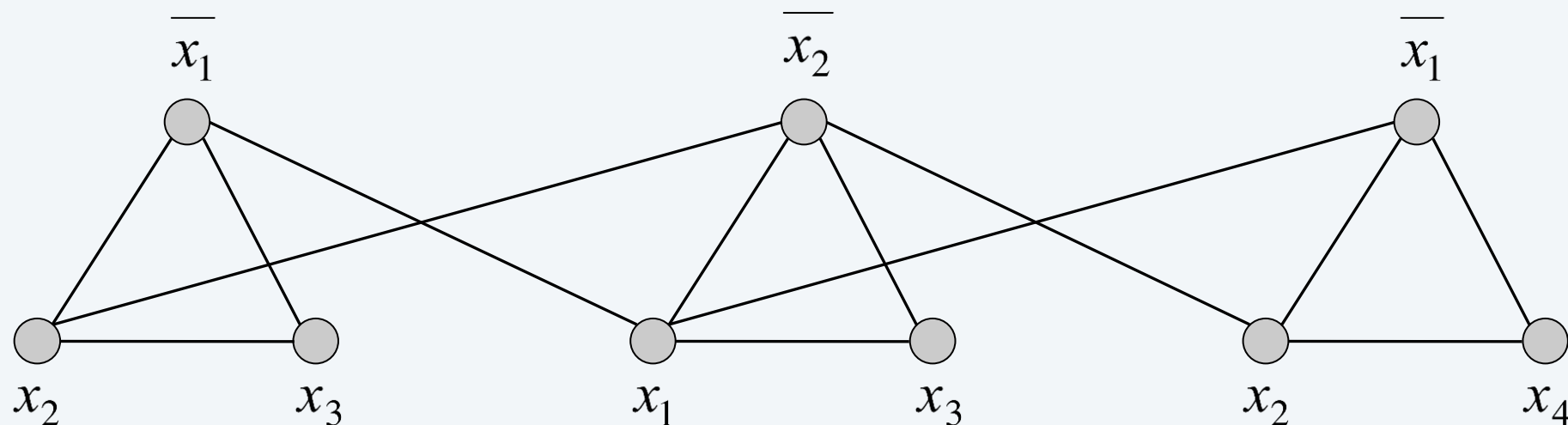
Lemma. Φ is satisfiable iff G contains an independent set of size $k = |\Phi|$.

Pf. \Rightarrow Consider any satisfying assignment for Φ .

- Select one true literal from each clause/triangle.
- This is an independent set of size $k = |\Phi|$. ▪

“yes” instances of 3-SAT
are solved correctly

G



k = 3

$$\Phi = (\bar{x}_1 \vee x_2 \vee x_3) \wedge (x_1 \vee \bar{x}_2 \vee x_3) \wedge (\bar{x}_1 \vee x_2 \vee x_4)$$

3-satisfiability reduces to independent set

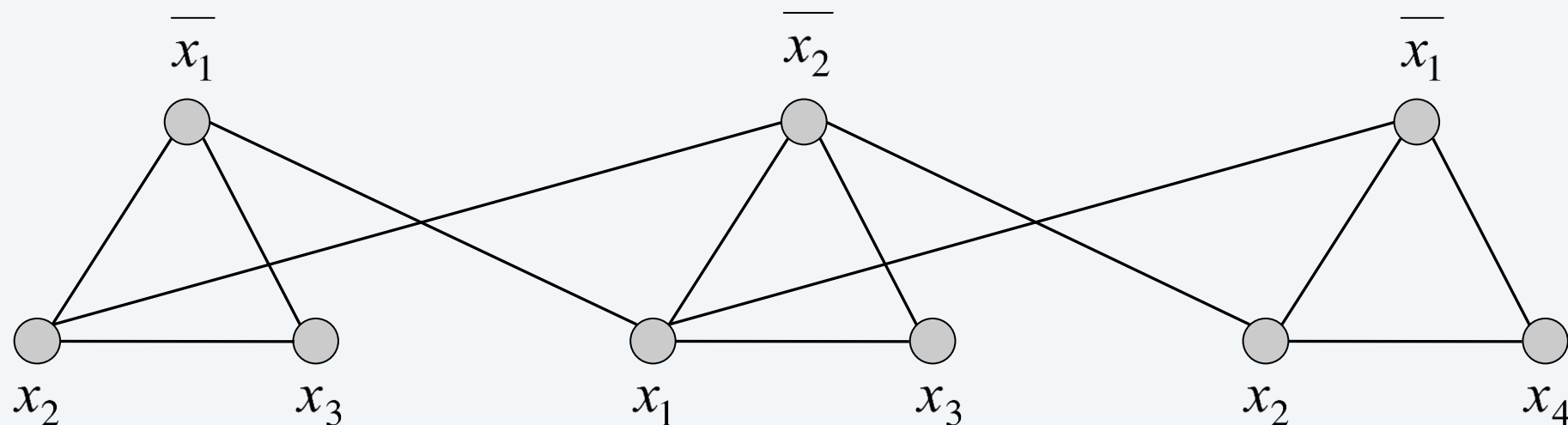
Lemma. Φ is satisfiable iff G contains an independent set of size $k = |\Phi|$.

Pf. \Leftarrow Let S be independent set of size k .

- S must contain exactly one node in each triangle.
- Set these literals to *true* (and remaining literals consistently).
- All clauses in Φ are satisfied. ▪

“no” instances of 3-SAT
are solved correctly

G



k = 3

$$\Phi = (\bar{x}_1 \vee x_2 \vee x_3) \wedge (x_1 \vee \bar{x}_2 \vee x_3) \wedge (\bar{x}_1 \vee x_2 \vee x_4)$$

Review

Basic reduction strategies.

- Simple equivalence: $\text{INDEPENDENT-SET} \equiv_p \text{VERTEX-COVER}$.
- Special case to general case: $\text{VERTEX-COVER} \leq_p \text{SET-COVER}$.
- Encoding with gadgets: $3\text{-SAT} \leq_p \text{INDEPENDENT-SET}$.

Transitivity. If $X \leq_p Y$ and $Y \leq_p Z$, then $X \leq_p Z$.

Pf idea. Compose the two algorithms.

Ex. $3\text{-SAT} \leq_p \text{INDEPENDENT-SET} \leq_p \text{VERTEX-COVER} \leq_p \text{SET-COVER}$.

DECISION, SEARCH, AND OPTIMIZATION PROBLEMS

Decision problem. Does there **exist** a vertex cover of size $\leq k$?

Search problem. **Find** a vertex cover of size $\leq k$.

Optimization problem. **Find** a vertex cover of **minimum** size.

Goal. Show that all three problems poly-time reduce to one another.

SEARCH PROBLEMS VS. DECISION PROBLEMS



VERTEX-COVER. Does there exist a vertex cover of size $\leq k$?

FIND-VERTEX-COVER. Find a vertex cover of size $\leq k$.

Theorem. $\text{VERTEX-COVER} \equiv_p \text{FIND-VERTEX-COVER}$.

Pf. \leq_p Decision problem is a special case of search problem. ▀

Pf. \geq_p

To find a vertex cover of size $\leq k$:

- Determine if there exists a vertex cover of size $\leq k$.
- Find a vertex v such that $G - \{v\}$ has a vertex cover of size $\leq k - 1$.
(any vertex in any vertex cover of size $\leq k$ will have this property)
- Include v in the vertex cover.
- Recursively find a vertex cover of size $\leq k - 1$ in $G - \{v\}$. ▀

delete v and all incident edges

OPTIMIZATION PROBLEMS VS. SEARCH PROBLEMS

FIND-VERTEX-COVER. Find a vertex cover of size $\leq k$.

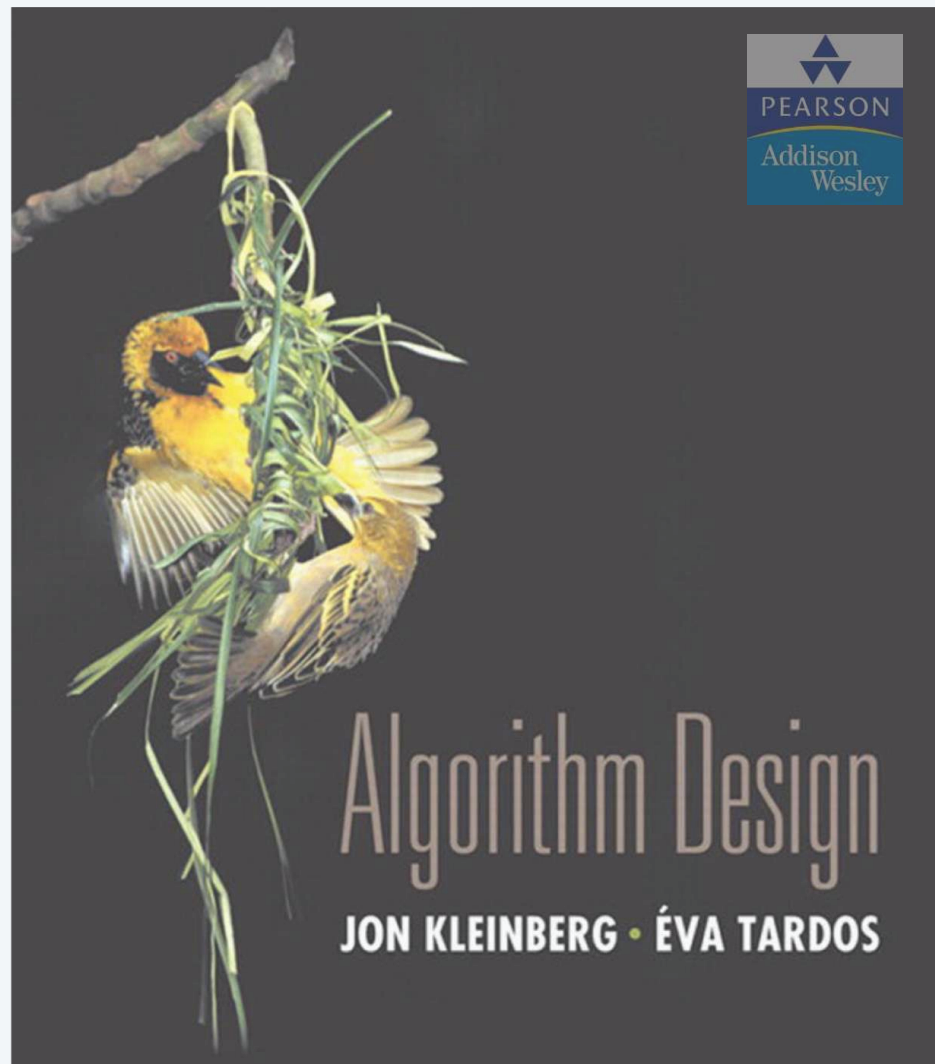
FIND-MIN-VERTEX-COVER. Find a vertex cover of minimum size.

Theorem. $\text{FIND-VERTEX-COVER} \equiv_p \text{FIND-MIN-VERTEX-COVER}$.

Pf. \leq_p Search problem is a special case of optimization problem. ▀

Pf. \geq_p To find vertex cover of minimum size:

- ▀ Binary search (or linear search) for size k^* of min vertex cover.
- ▀ Solve search problem for given k^* . ▀



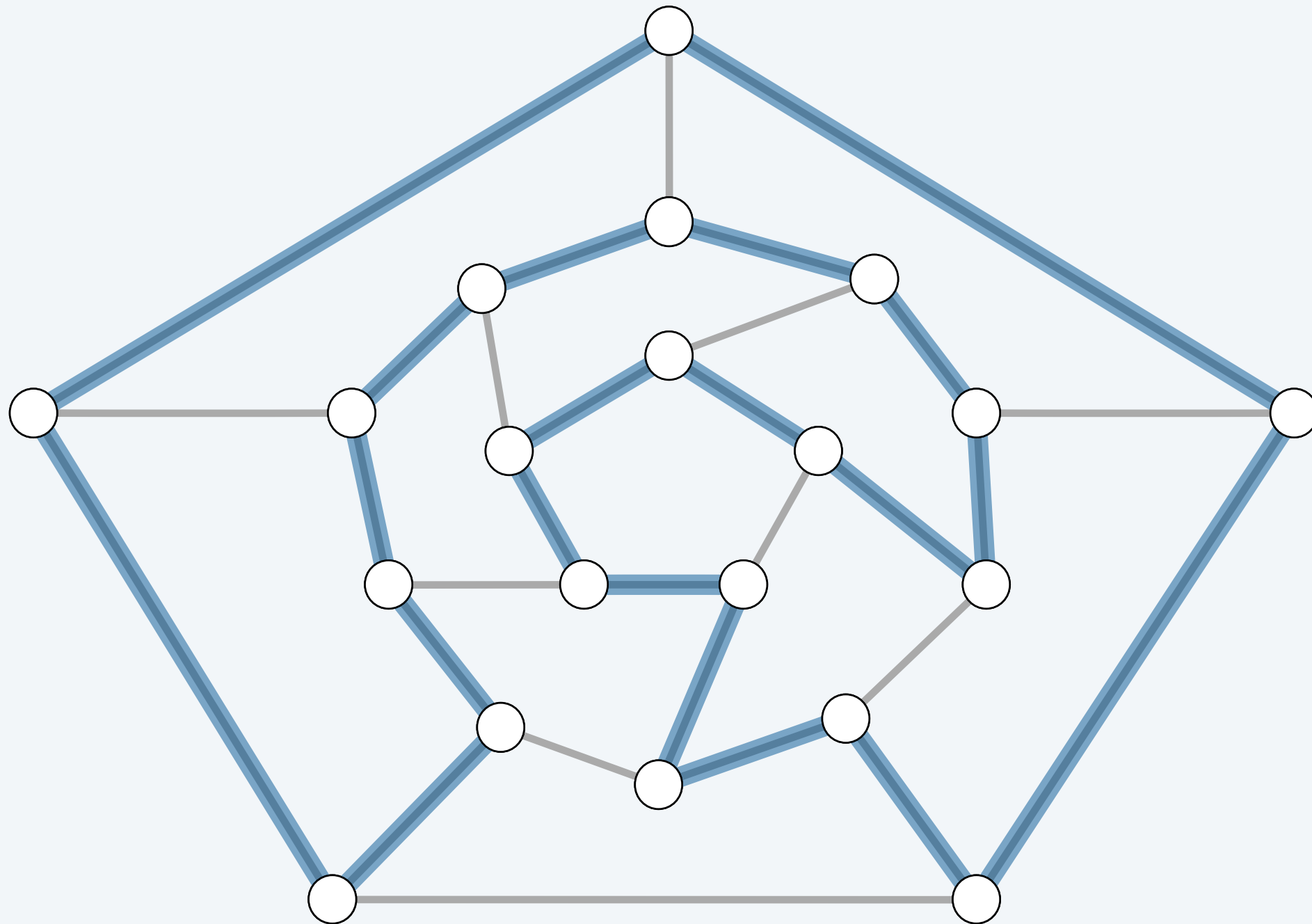
SECTION 8.5

8. INTRACTABILITY I

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Hamilton cycle

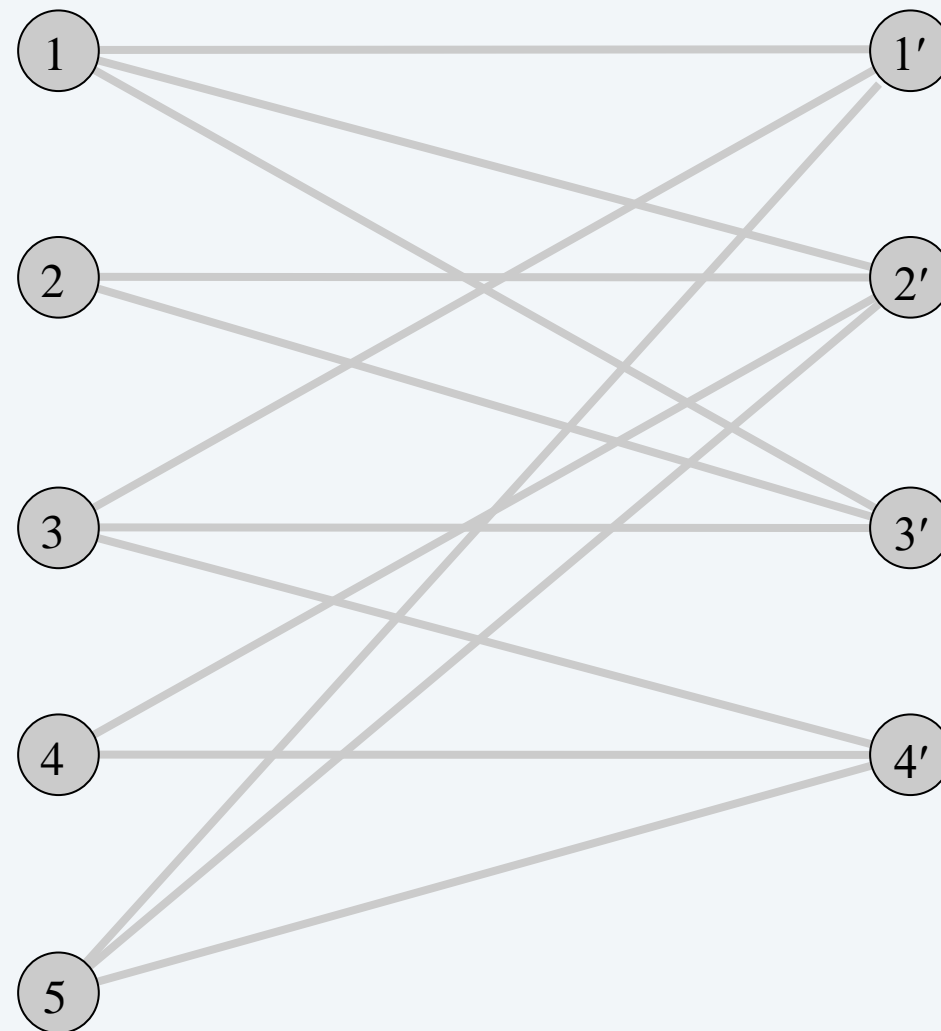
HAMILTON-CYCLE. Given an undirected graph $G = (V, E)$, does there exist a cycle Γ that visits every node exactly once?



yes

Hamilton cycle

HAMILTON-CYCLE. Given an undirected graph $G = (V, E)$, does there exist a cycle Γ that visits every node exactly once?



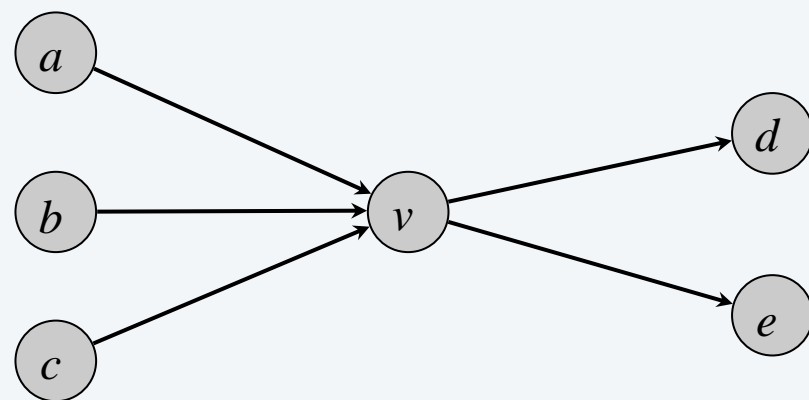
no

Directed Hamilton cycle reduces to Hamilton cycle

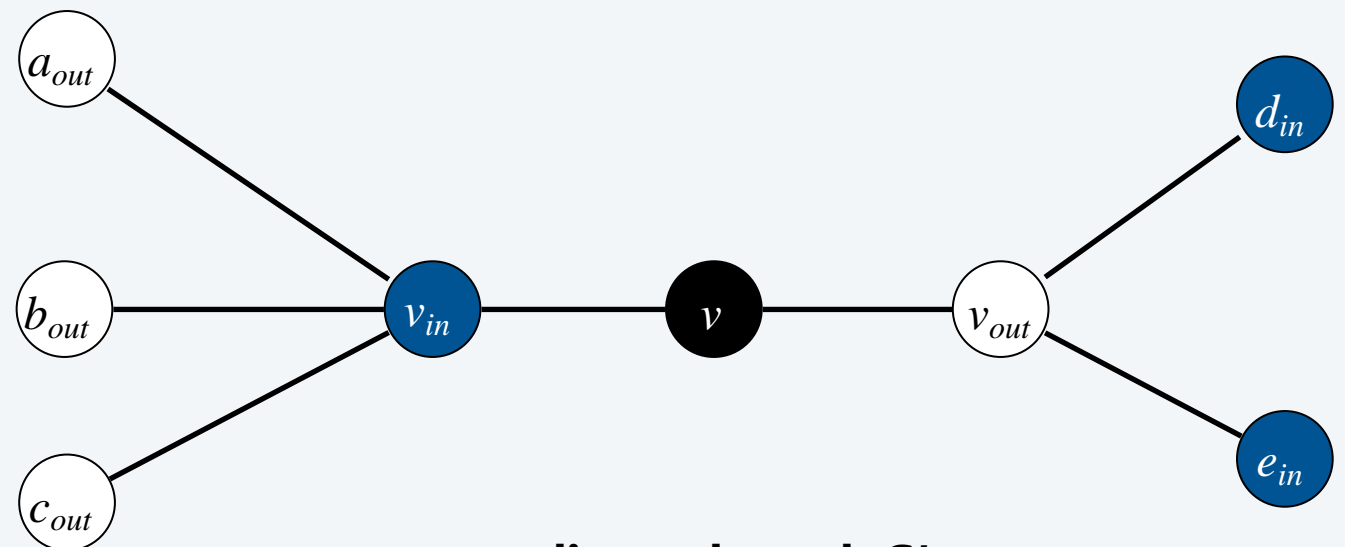
DIRECTED-HAMILTON-CYCLE. Given a directed graph $G = (V, E)$, does there exist a directed cycle Γ that visits every node exactly once?

Theorem. $\text{DIRECTED-HAMILTON-CYCLE} \leq_P \text{HAMILTON-CYCLE}$.

Pf. Given a directed graph $G = (V, E)$, construct a graph G' with $3n$ nodes.



directed graph G



undirected graph G'

Directed Hamilton cycle reduces to Hamilton cycle

Lemma. G has a directed Hamilton cycle iff G' has a Hamilton cycle.

Pf. \Rightarrow

- Suppose G has a directed Hamilton cycle Γ .
- Then G' has an undirected Hamilton cycle (same order). ▪

Pf. \Leftarrow

- Suppose G' has an undirected Hamilton cycle Γ' .
- Γ' must visit nodes in G' using one of following two orders:
..., black, white, blue, black, white, blue, black, white, blue, ...
..., black, blue, white, black, blue, white, black, blue, white, ...
- Black nodes in Γ' comprise either a directed Hamilton cycle Γ in G , or reverse of one. ▪

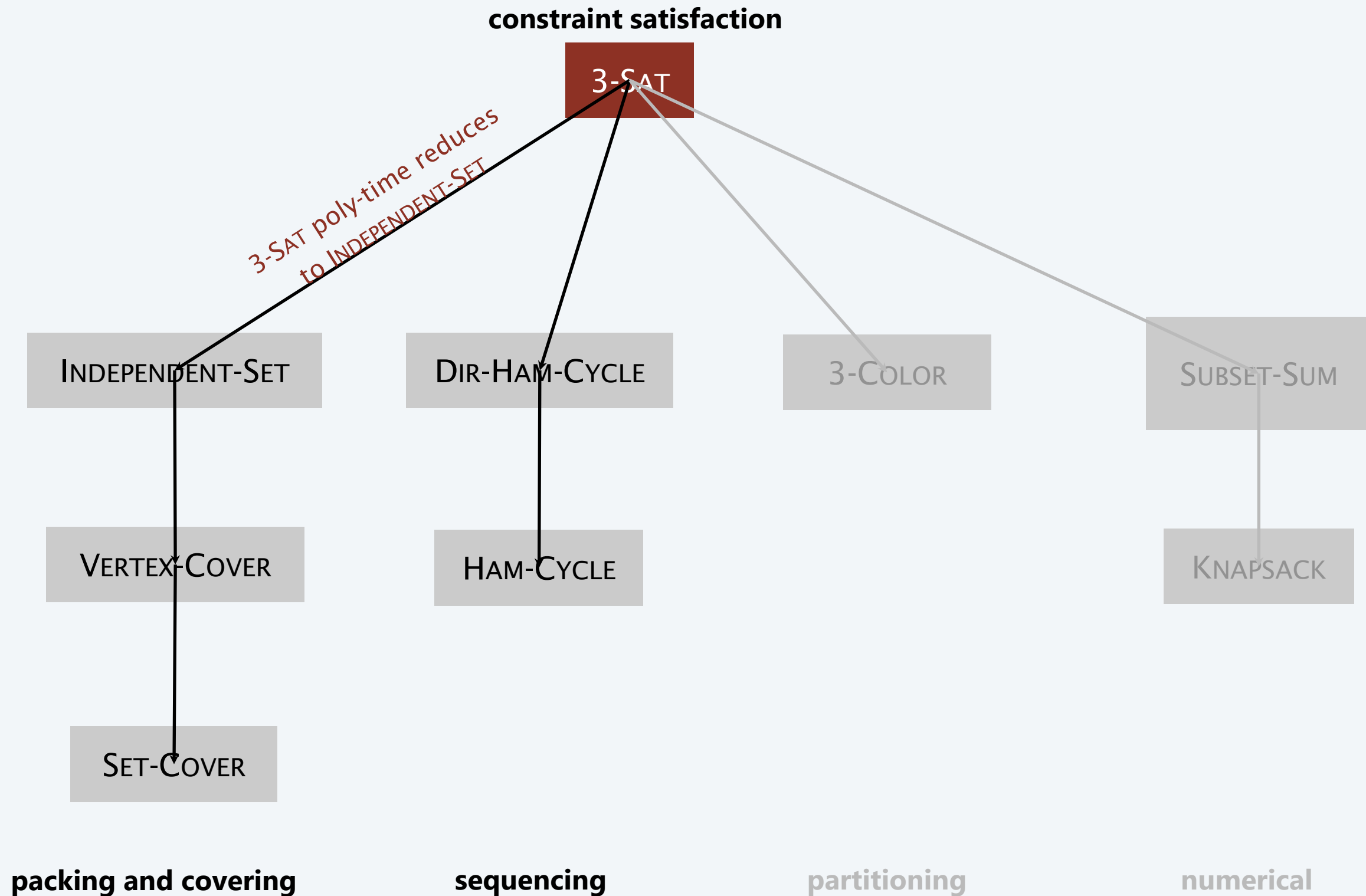
3-satisfiability reduces to directed Hamilton cycle

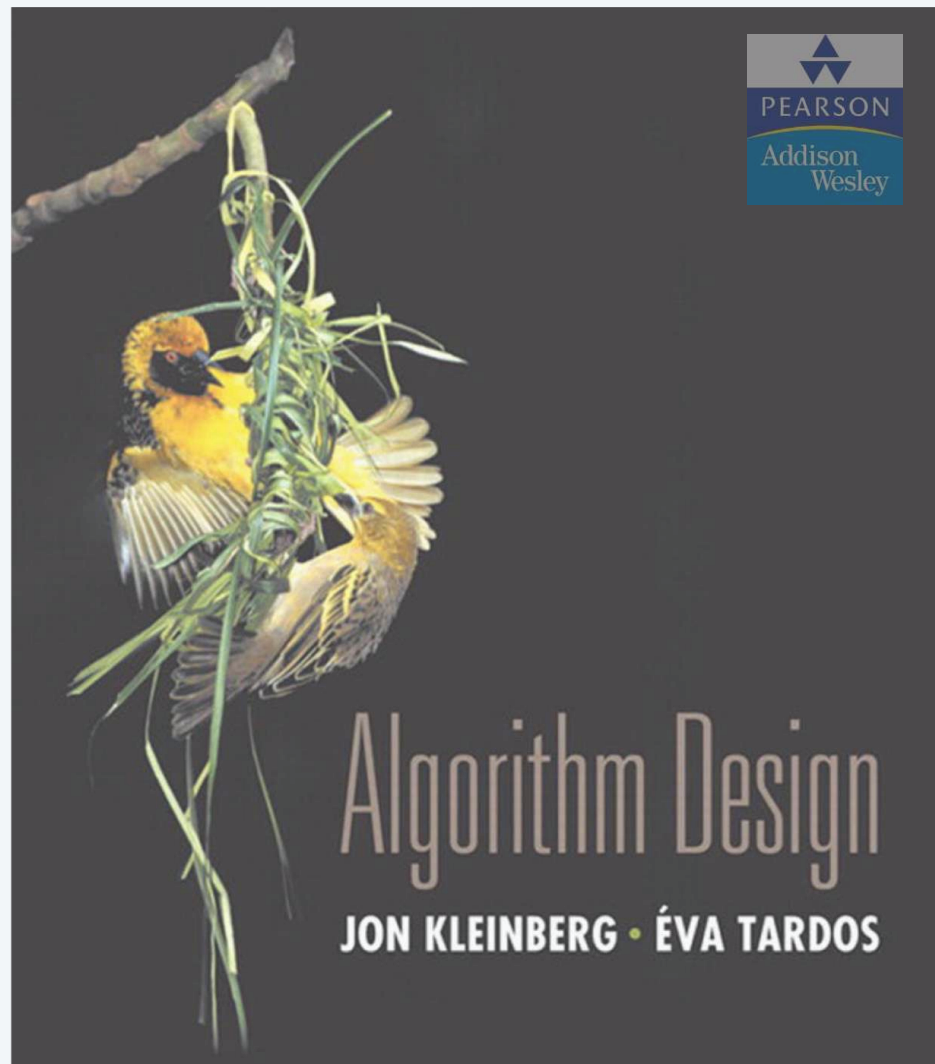
Theorem. $3\text{-SAT} \leq_P \text{DIRECTED-HAMILTON-CYCLE}$.

Pf. Given an instance Φ of 3-SAT, we construct an instance G of DIRECTED-HAMILTON-CYCLE that has a Hamilton cycle iff Φ is satisfiable.

Construction overview. Let n denote the number of variables in Φ . We will construct a graph G that has 2^n Hamilton cycles, with each cycle corresponding to one of the 2^n possible truth assignments.

Poly-time reductions





SECTION 8.6

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3-dimensional matching

3D-MATCHING. Given n instructors, n courses, and n times, and a list of the possible courses and times each instructor is willing to teach, is it possible to make an assignment so that all courses are taught at different times?

instructor	course	time
Wayne	COS 226	TTh 11-12:20
Wayne	COS 423	MW 11-12:20
Wayne	COS 423	TTh 11-12:20
Tardos	COS 423	TTh 3-4:20
Tardos	COS 523	TTh 3-4:20
Kleinberg	COS 226	TTh 3-4:20
Kleinberg	COS 226	MW 11-12:20
Kleinberg	COS 423	MW 11-12:20

3-dimensional matching

3D-MATCHING. Given 3 disjoint sets X , Y , and Z , each of size n and a set $T \subseteq X \times Y \times Z$ of triples, does there exist a set of n triples in T such that each element of $X \cup Y \cup Z$ is in exactly one of these triples?

$$X = \{ x_1, x_2, x_3 \}, \quad Y = \{ y_1, y_2, y_3 \}, \quad Z = \{ z_1, z_2, z_3 \}$$

$$T_1 = \{ x_1, y_1, z_2 \}, \quad T_2 = \{ x_1, y_2, z_1 \}, \quad T_3 = \{ x_1, y_2, z_2 \}$$

$$T_4 = \{ x_2, y_2, z_3 \}, \quad T_5 = \{ x_2, y_3, z_3 \},$$

$$T_7 = \{ x_3, y_1, z_3 \}, \quad T_8 = \{ x_3, y_1, z_1 \}, \quad T_9 = \{ x_3, y_2, z_1 \}$$

an instance of 3d-matching (with $n = 3$)

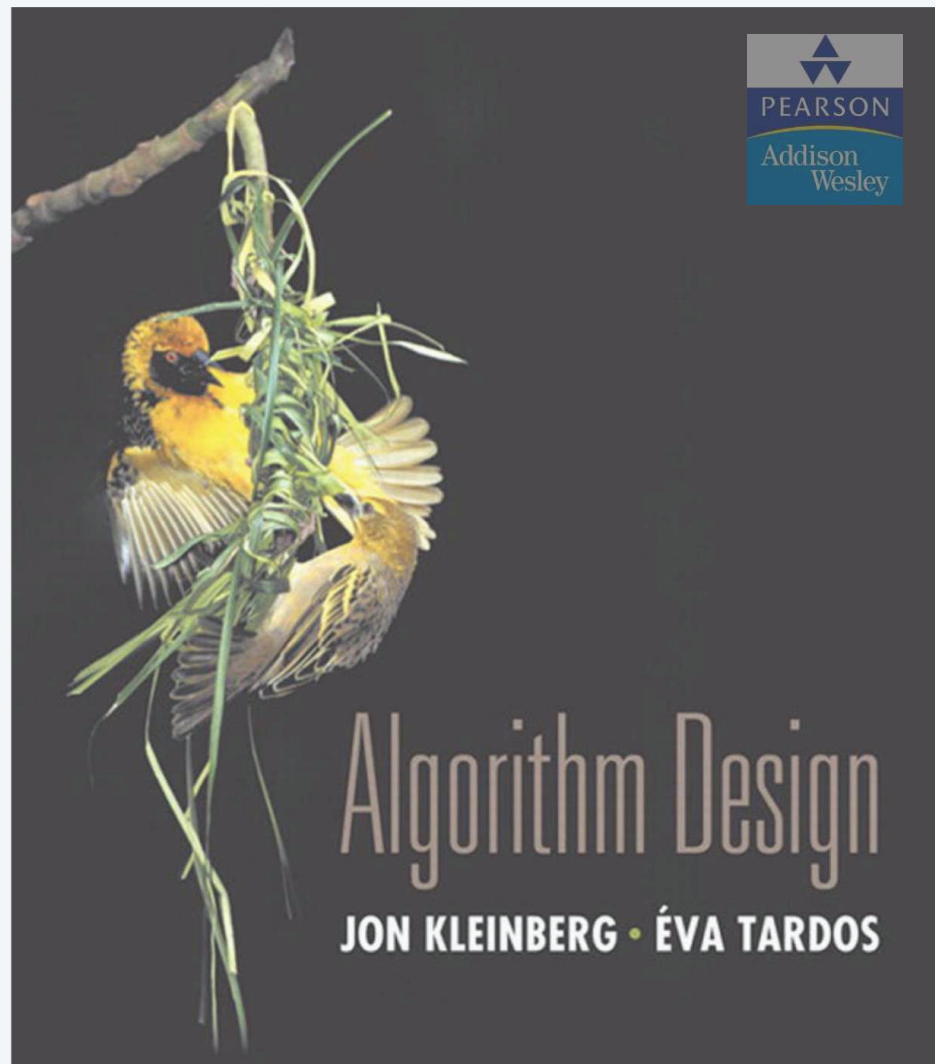
Remark. Generalization of bipartite matching.

3-dimensional matching

3D-MATCHING. Given 3 disjoint sets X , Y , and Z , each of size n and a set $T \subseteq X \times Y \times Z$ of triples, does there exist a set of n triples in T such that each element of $X \cup Y \cup Z$ is in exactly one of these triples?

Theorem. $3\text{-SAT} \leq_P 3\text{D-MATCHING}$.

Pf. Given an instance Φ of 3-SAT, we construct an instance of 3D-MATCHING that has a perfect matching iff Φ is satisfiable.



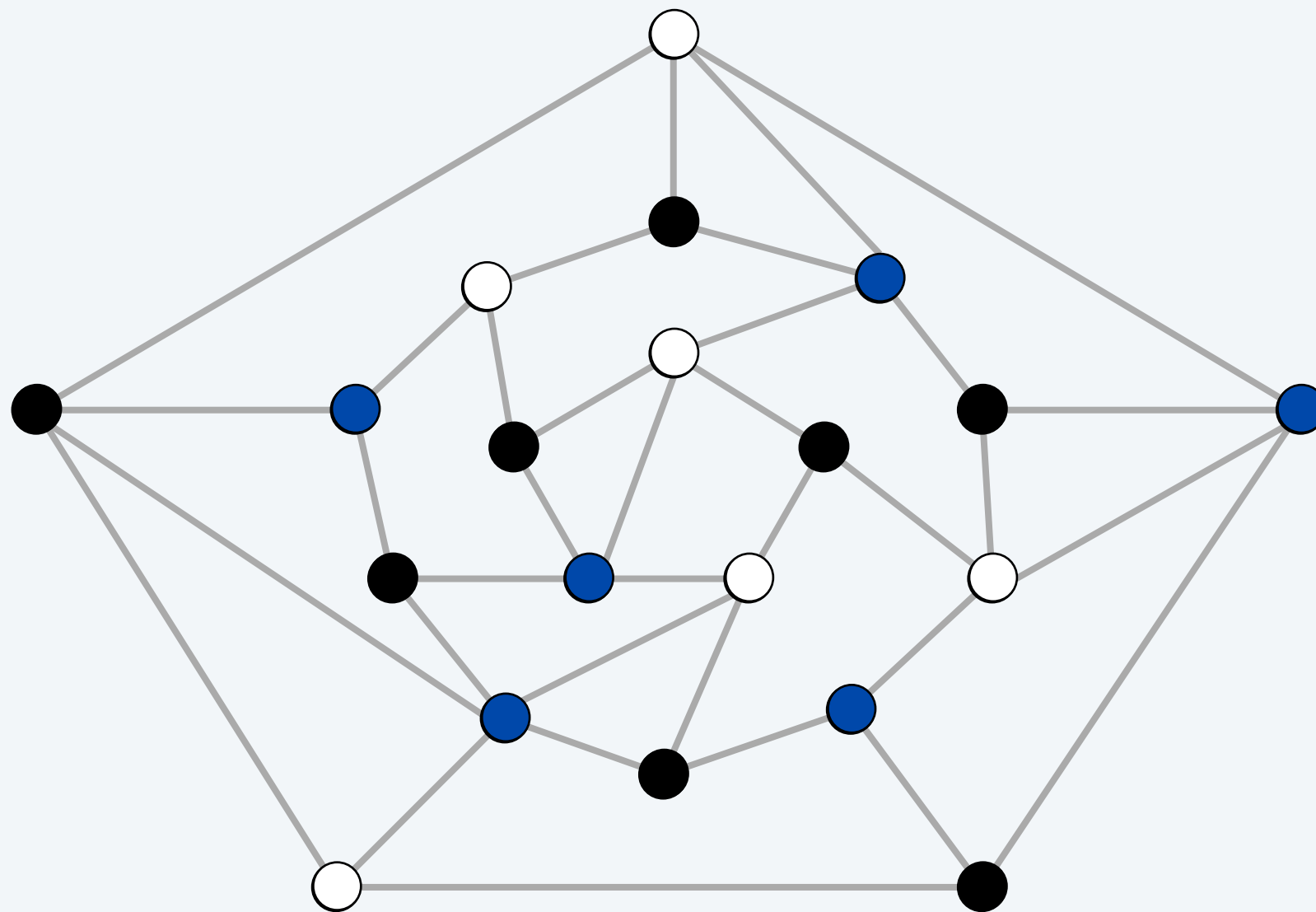
SECTION 8.7

8. INTRACTABILITY I

- ▶ *poly-time reductions*
- ▶ *packing and covering problems*
- ▶ *constraint satisfaction problems*
- ▶ *sequencing problems*
- ▶ *partitioning problems*
- ▶ ***graph coloring***
- ▶ *numerical problems*

3-colorability

3-COLOR. Given an undirected graph G , can the nodes be colored black, white, and blue so that no adjacent nodes have the same color?

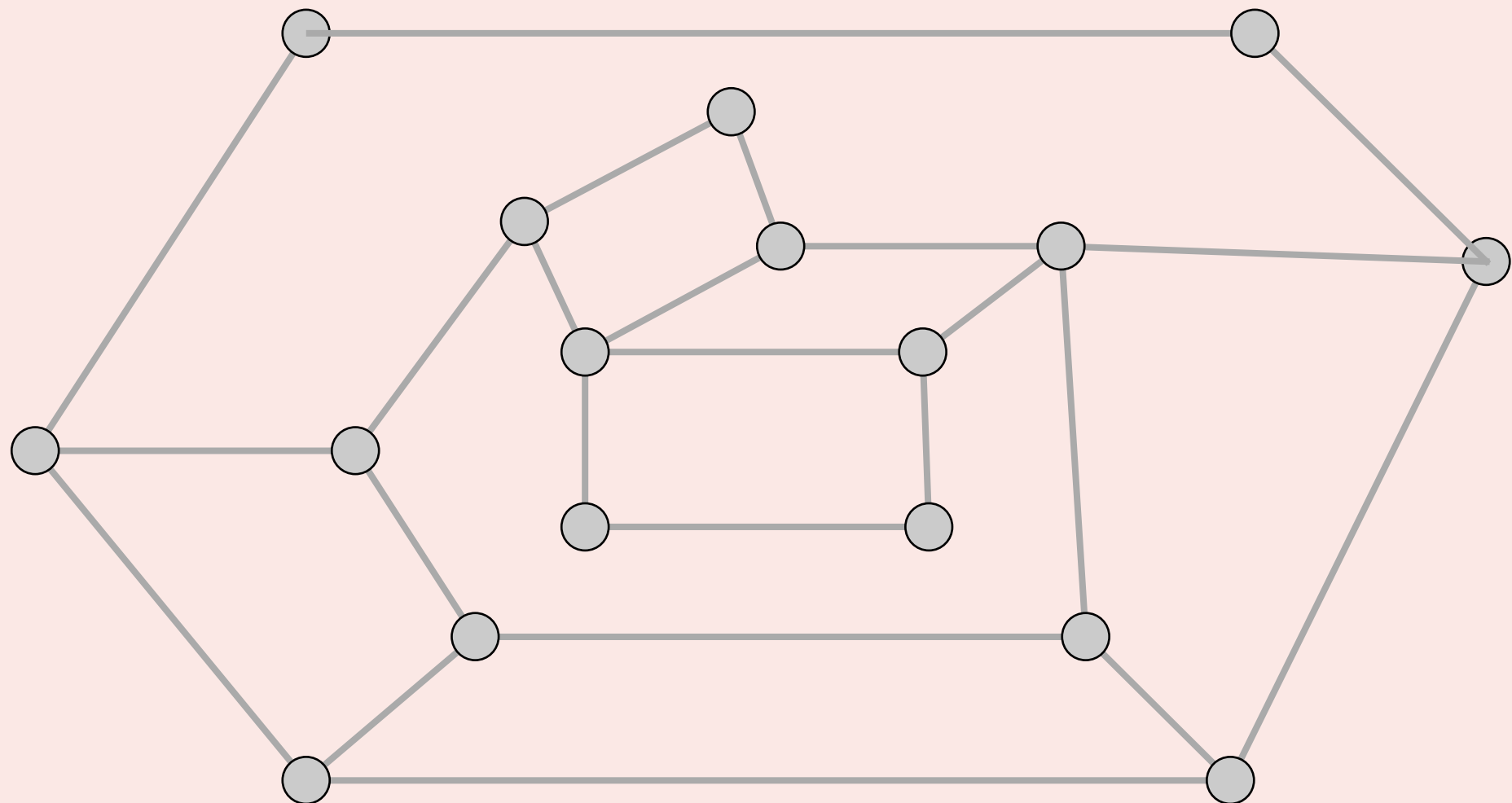


yes instance



How difficult to solve 2-COLOR?

- A. $O(m + n)$ using BFS or DFS.
- B. $O(mn)$ using maximum flow.
- C. $\Omega(2^n)$ using brute force.
- D. Not even Tarjan knows.



Application: register allocation

Register allocation. Assign program variables to machine registers so that no more than k registers are used and no two program variables that are needed at the same time are assigned to the same register.

Interference graph. Nodes are program variables; edge between u and v if there exists an operation where both u and v are “live” at the same time.

Observation. [Chaitin 1982] Can solve register allocation problem iff interference graph is k -colorable.

Fact. $3\text{-COLOR} \leq_P K\text{-REGISTER-ALLOCATION}$ for any constant $k \geq 3$.

REGISTER ALLOCATION & SPILLING VIA GRAPH COLORING

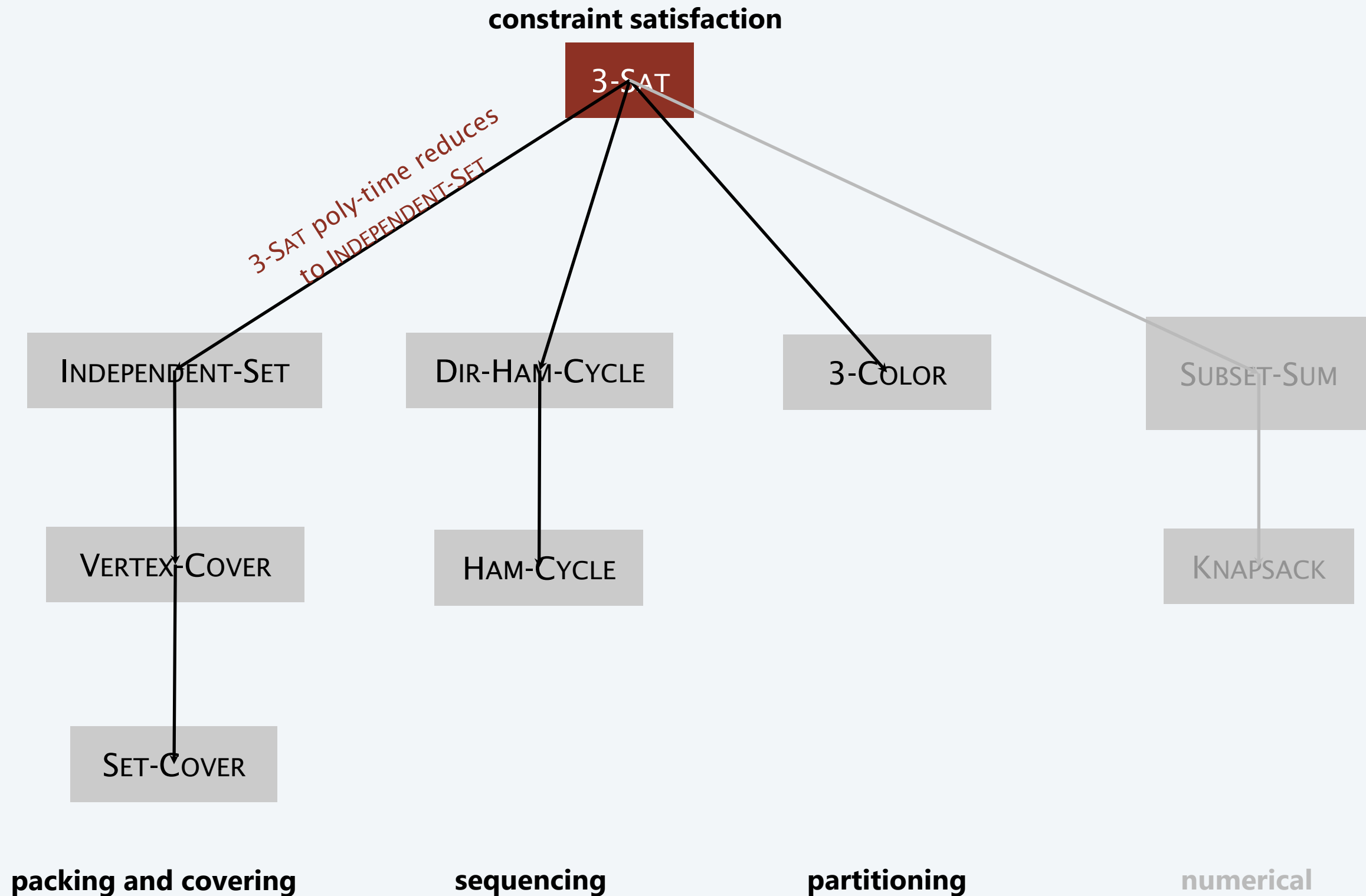
G. J. Chaitin
IBM Research
P.O.Box 218, Yorktown Heights, NY 10598

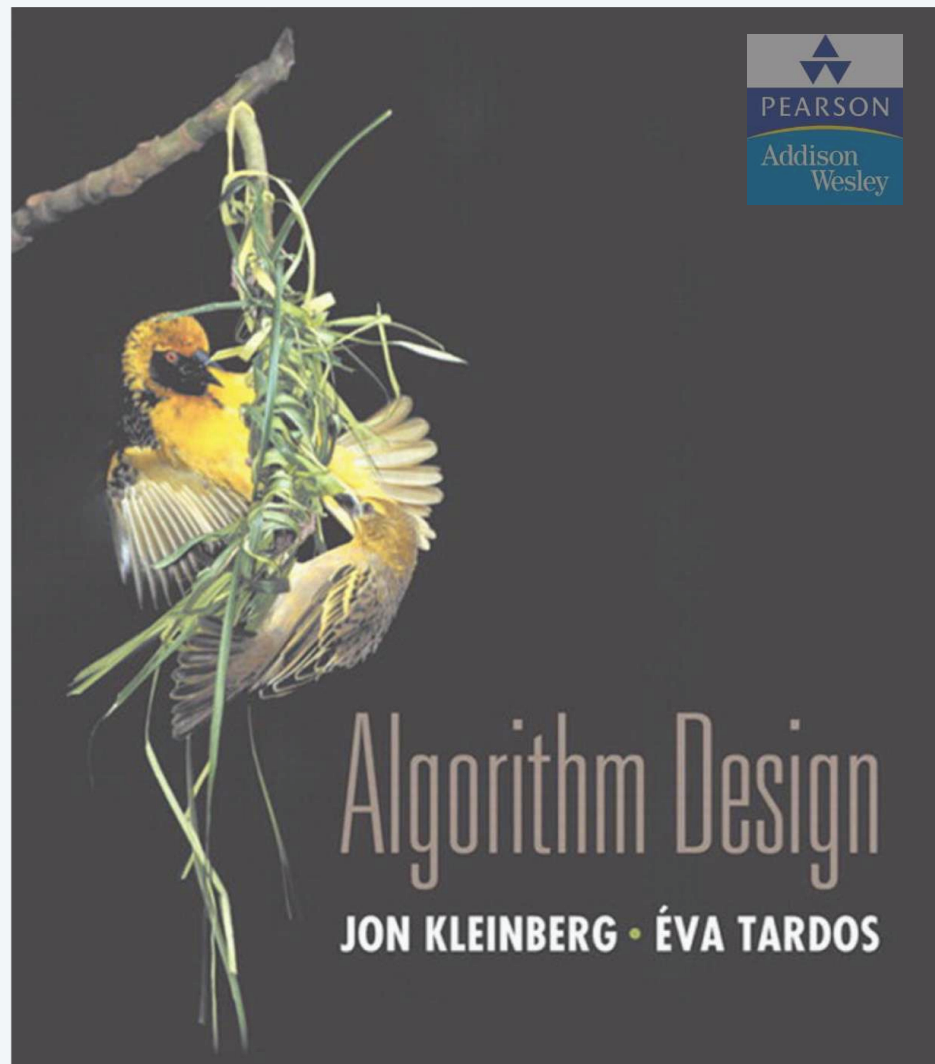
3-satisfiability reduces to 3-colorability

Theorem. $3\text{-SAT} \leq_P 3\text{-COLOR}$.

Pf. Given 3-SAT instance Φ , we construct an instance of 3-COLOR that is 3-colorable iff Φ is satisfiable.

Poly-time reductions



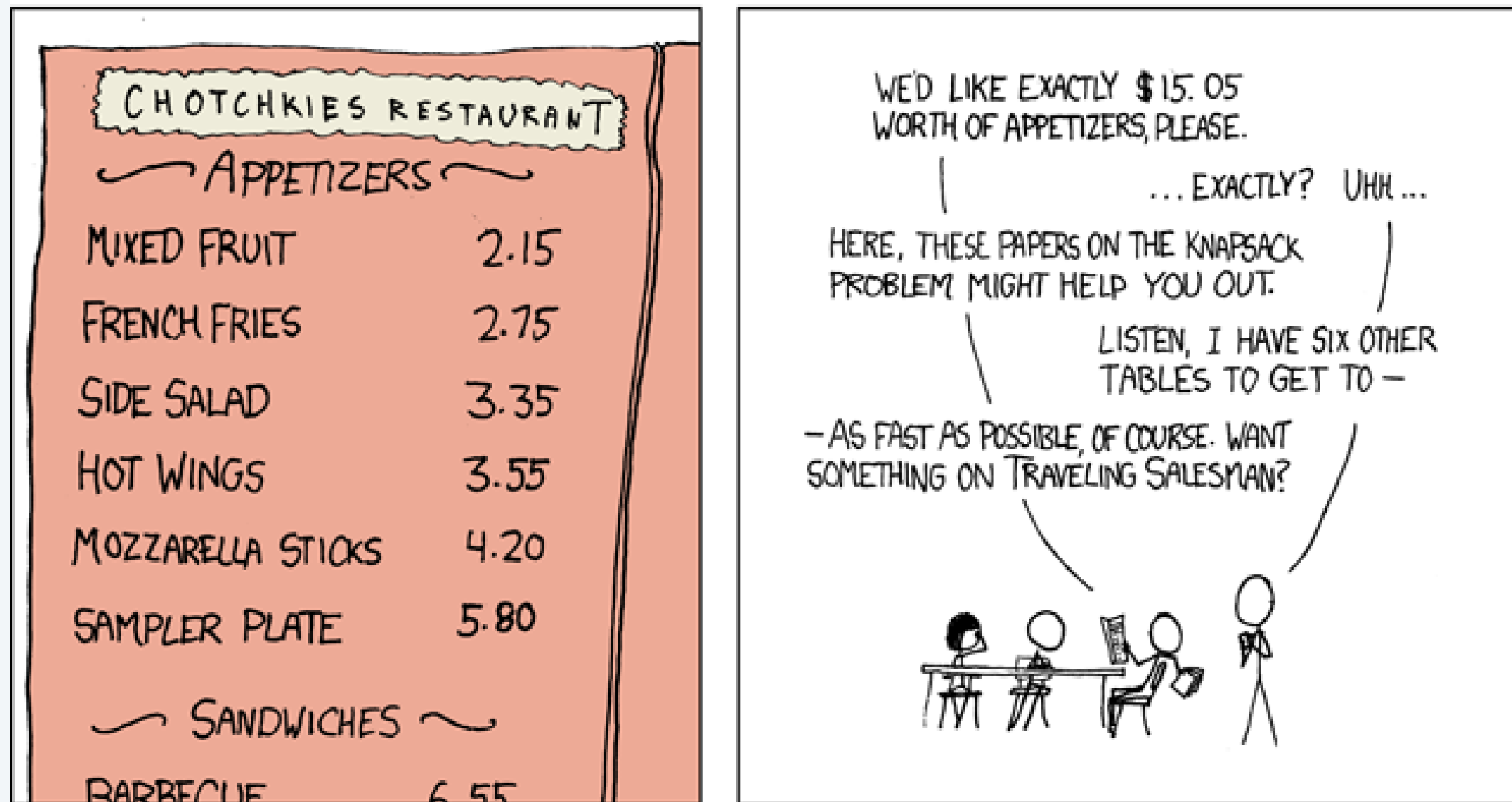


SECTION 8.8

8. INTRACTABILITY I

- ▶ *poly-time reductions*
- ▶ *packing and covering problems*
- ▶ *constraint satisfaction problems*
- ▶ *sequencing problems*
- ▶ *partitioning problems*
- ▶ *graph coloring*
- ▶ ***numerical problems***

MY HOBBY: EMBEDDING NP-COMPLETE PROBLEMS IN RESTAURANT ORDERS



NP-Complete by Randall Munro

<http://xkcd.com/287>

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Subset sum

SUBSET-SUM. Given n natural numbers w_1, \dots, w_n and an integer W , is there a subset that adds up to exactly W ?

Ex. { 215, 215, 275, 275, 355, 355, 420, 420, 580, 580, 655, 655 }, $W = 1505$.

Yes. $215 + 355 + 355 + 580 = 1505$.

Remark. With arithmetic problems, input integers are encoded in binary. Poly-time reduction must be polynomial in **binary** encoding.

Subset sum

Theorem. $3\text{-SAT} \leq_P \text{SUBSET-SUM}$.

Pf. Given an instance Φ of 3-SAT, we construct an instance of SUBSET-SUM that has a solution iff Φ is satisfiable.

SUBSET SUM REDUCES TO KNAPSACK



SUBSET-SUM. Given n natural numbers w_1, \dots, w_n and an integer W , is there a subset that adds up to exactly W ?

KNAPSACK. Given a set of items X , weights $u_i \geq 0$, values $v_i \geq 0$, a weight limit U , and a target value V , is there a subset $S \subseteq X$ such that:

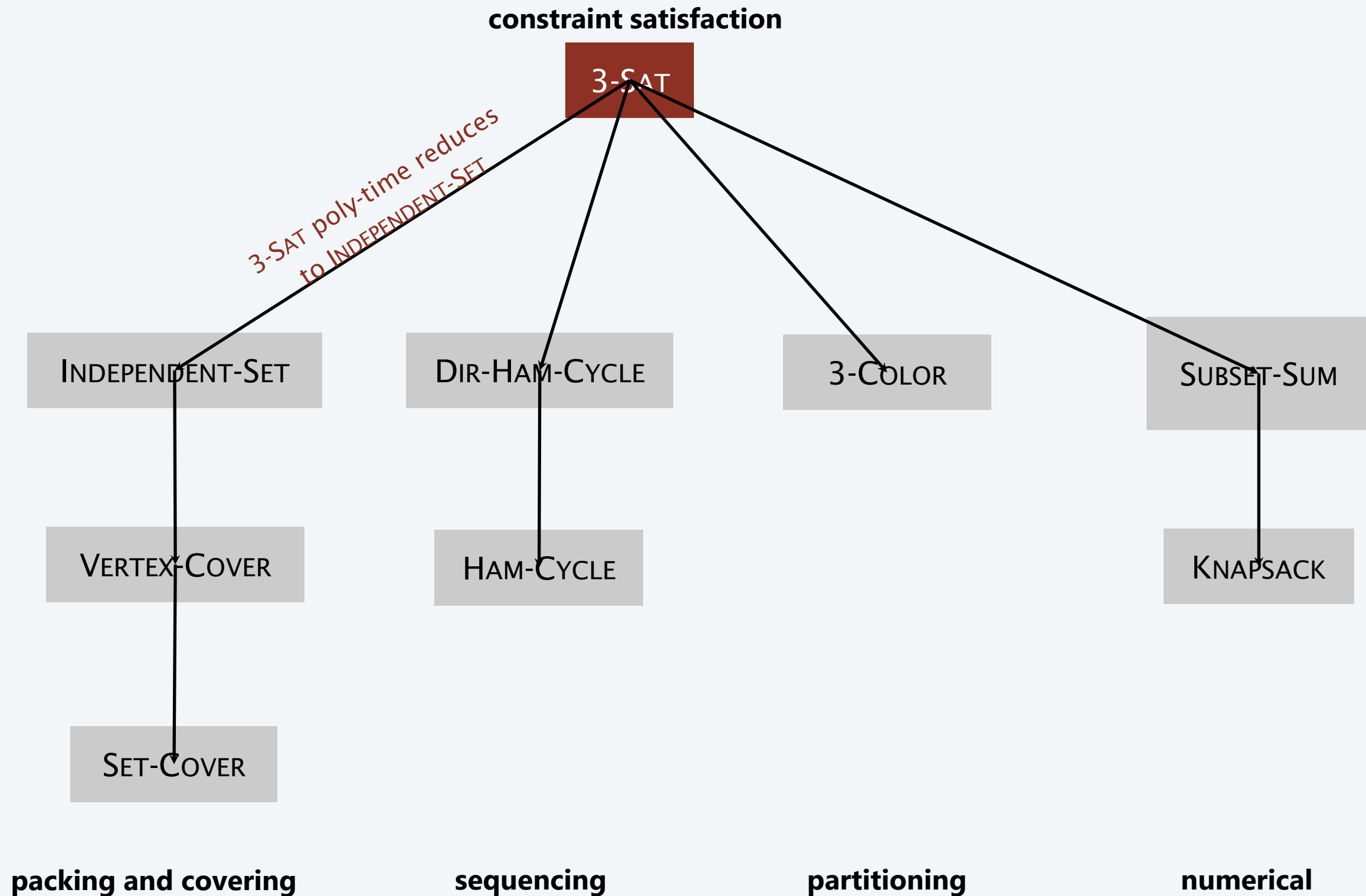
$$\sum_{i \in S} u_i \leq U, \quad \sum_{i \in S} v_i \geq V$$

Recall. $O(n U)$ dynamic programming algorithm for KNAPSACK.

Challenge. Prove $\text{SUBSET-SUM} \leq_P \text{KNAPSACK}$.

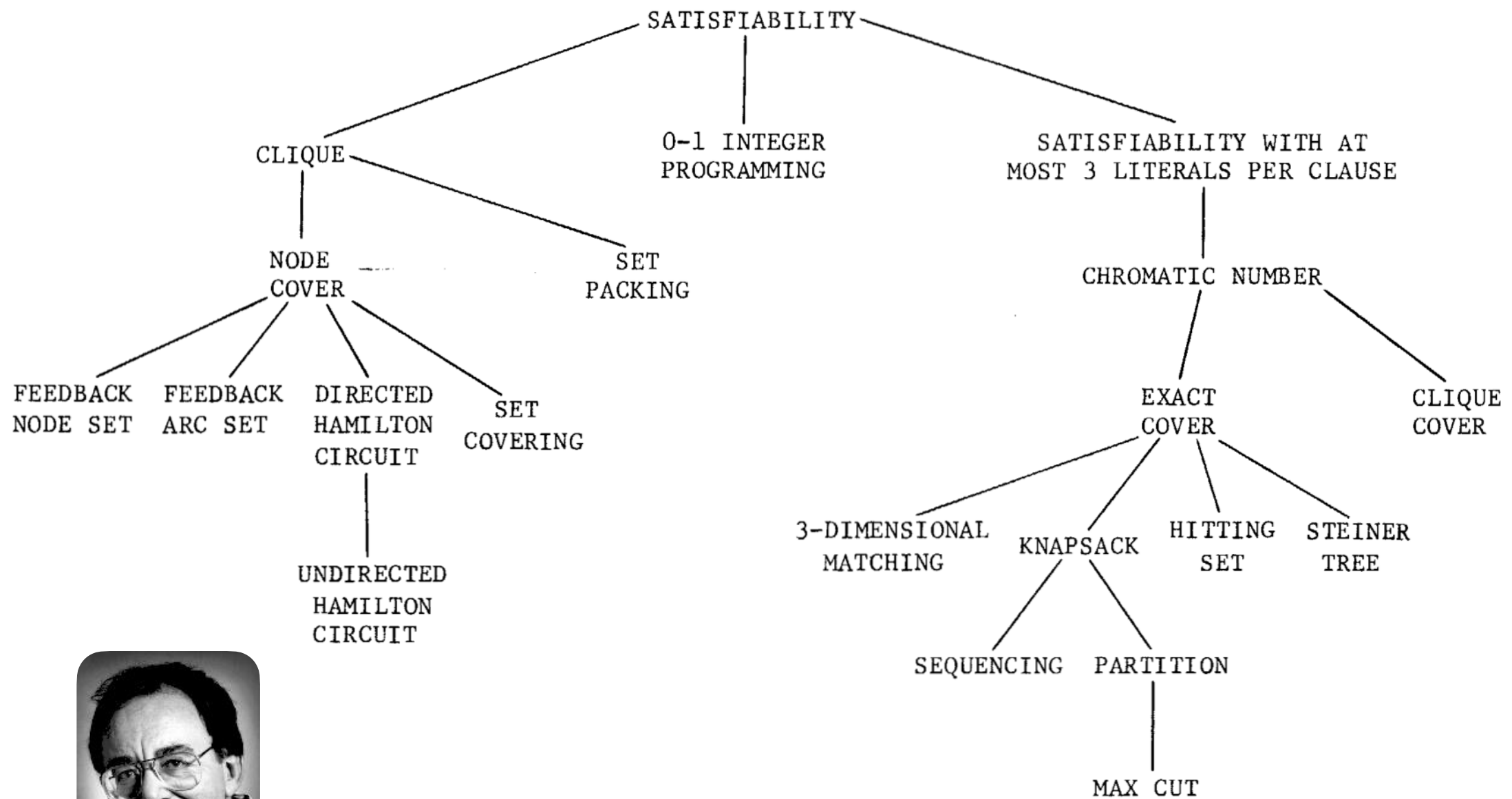
Pf. Given instance (w_1, \dots, w_n, W) of SUBSET-SUM, create KNAPSACK instance:

Poly-time reductions



Karp's 20 poly-time reductions from satisfiability

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Dick Karp (1972)
1985 Turing Award

FIGURE 1 - Complete Problems

RICHARD M. KARP