

CLIQUE (3): Description of Function f

- Let c_1, \dots, c_m be the clauses in formula φ .
Let k_i denote the number of literals in clause c_i .
Let $l_{i,1}, \dots, l_{i,k_i}$ be the literals in clause c_i .
 - For every literal in every clause we create a corresponding vertex:
$$V = \{l_{ij} \mid 1 \leq i \leq m, 1 \leq j \leq k_i\}$$
 - Two vertices are connected by an edge,
if they come from distinct clauses and
if their literals are not negations of each other.
 - We set $k = m$.
- 4. (Polynomial time):**
The function f can be computed in polynomial time.

CLIQUE (5b): Correctness

Lemma B: G has m -clique \Rightarrow formula φ satisfiable

- Consider m -clique U in G
- Then the literals in U belong to m different clauses

Independent Set

Problem: Independent Set

Instance: An undirected graph $G' = (V', E')$; an integer k'

Question: Does G' contain an independent set with (at least) k' vertices?

- An independent set $S \subseteq V$ is a set that does not span any edges

Theorem

INDEPENDENT SET is NP-complete.

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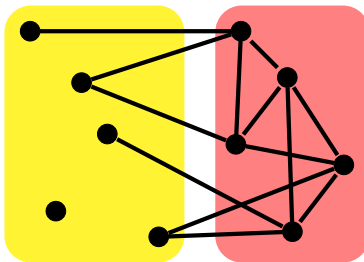
- We show $\text{CLIQUE} \leq_p \text{INDEPENDENT-SET}$
- Set $V' = V$ and $E' = V \times V - E$ and $k' = k$

Vertex Cover (2)

Observation

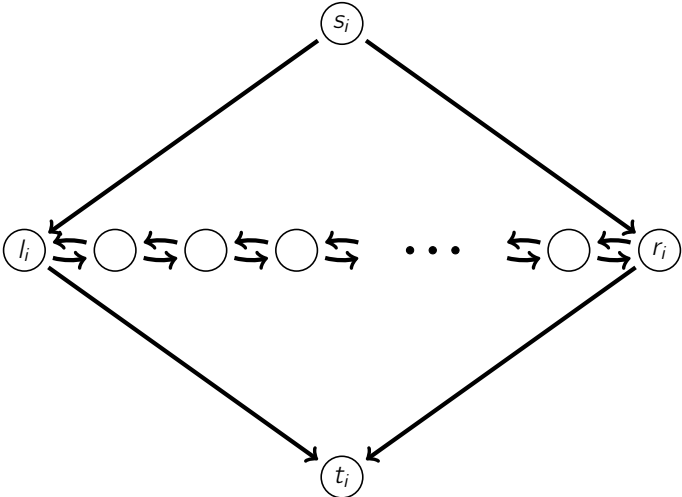
In an undirected graph $G = (V, E)$ all subsets $S \subseteq V$ satisfy:

- S is independent set $\Leftrightarrow V - S$ is vertex cover
- S is vertex cover $\Leftrightarrow V - S$ is independent set



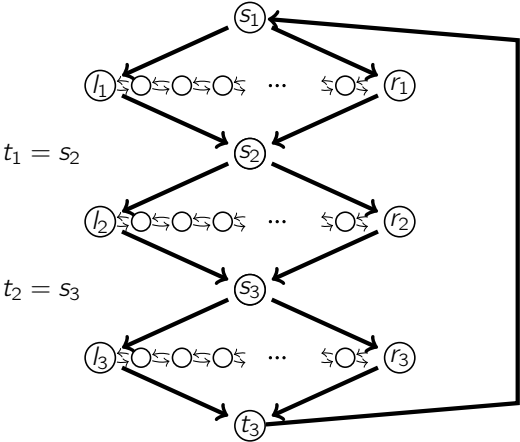
D-Ham-Cycle (3a): Reduction / Diamond-Gadgets

For every variable x_i , we create a corresponding **diamond-gadget** G_i :



D-Ham-Cycle (3b): Reduction / Diamond-Gadgets

These n diamond-gadgets are connected to each other by identifying vertex t_i and vertex s_{i+1} (for $1 \leq i \leq n - 1$) as well as t_n and s_1 with each other:



D-Ham-Cycle (4c): Reduction / Clause-Vertices

Question

Is it possible that after the creation of all these clause-vertices
some Hamiltonian cycle jumps forward and backward between the
diamond-gadgets instead of traversing them in the natural order?

D-Ham-Cycle (4c): Reduction / Clause-Vertices

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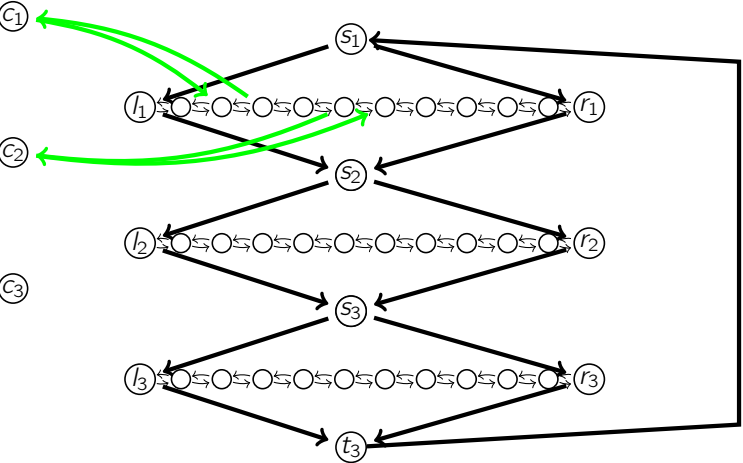
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Answer

No. (Why??)

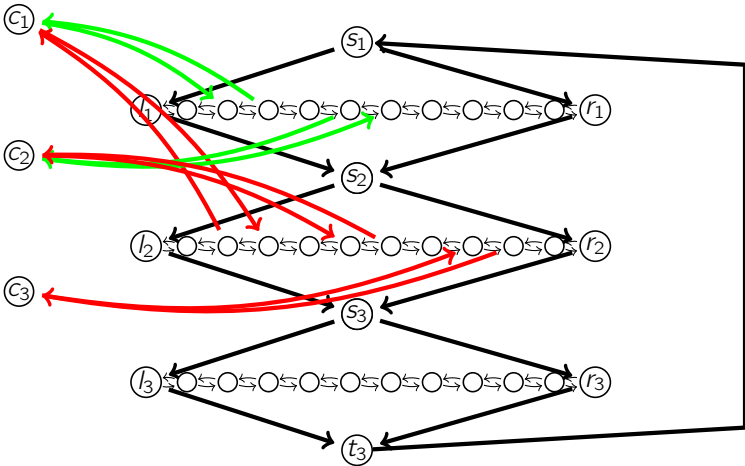
D-Ham-Cycle (5): Illustration

$$\varphi = (x_1 \vee \neg x_2 \vee \neg x_3) \wedge (\neg x_1 \vee x_2 \vee x_3) \wedge (x_2 \vee x_3)$$



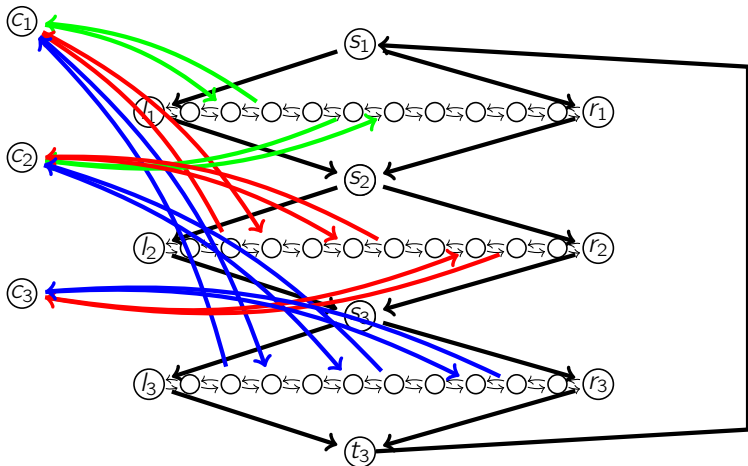
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D-Ham-Cycle (6a): Correctness

Lemma A: G has directed Hamilton cycle $\Rightarrow \varphi$ satisfiable

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- If a clause-vertex c_j is visited from a gadget G_i that is traversed **left-to-right**, then according to our construction clause c_j must contain literal \bar{x}_i .
- Consequently this clause c_j will be satisfied, whenever variable x_i is set to $x_i = 0$ (LR).
- If a clause-vertex c_j is visited from a gadget G_i that is traversed **right-to-left**, then according to our construction clause c_j must contain literal x_i .
- Consequently this clause c_j will be satisfied, whenever variable x_i is set to $x_i = 1$ (RL).
- Summarizing: The truth setting associated with the Hamilton cycle does indeed satisfy formula φ .

D-Ham-Cycle (6b): Correctness

Lemma B: φ satisfiable $\Rightarrow G$ has directed Hamilton cycle

D-Ham-Cycle (6b): Correctness

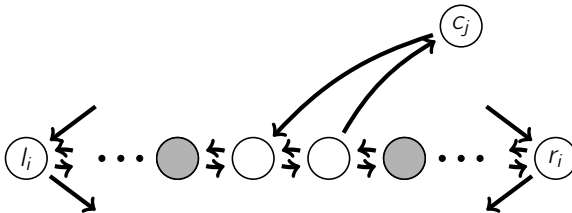
Lemma B: φ satisfiable $\Rightarrow G$ has directed Hamilton cycle

- A satisfying truth assignment for the variables determines for every diamond-gadget G_1, \dots, G_n , whether it is traversed left-to-right or right-to-left.

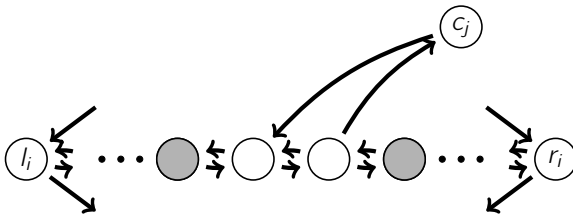
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Lemma B: φ satisfiable $\Rightarrow G$ has directed Hamilton cycle

- A satisfying truth assignment for the variables determines for every diamond-gadget G_1, \dots, G_n , whether it is traversed left-to-right or right-to-left.
- The clause-vertex c_j can be built into the traversal: We pick a variable x_i that makes clause c_j true, and we visit c_j by a short excursion from the diamond-gadget G_i .



D-Ham-Cycle (6c): Correctness



- If c_j is satisfied for $x_i = 1$, then x_i occurs in **positive** form in c_j . A right-to-left traversal of diamond-gadget G_i allows a short excursion to c_j .
- If c_j is satisfied for $x_i = 0$, then x_i occurs in **negative** form in c_j . A left-to-right traversal of diamond-gadget G_i allows a short excursion to c_j .
- Hence all the clause-vertices can be integrated into the traversal.

D-Ham-Cycle (7): Wrapping Up

4. (Polynomial time):

Show that f can be computed in polynomial time.

- The construction uses n diamond-gadgets, each with $O(m)$ vertices
- The construction uses m clause-vertices

5. (Correctness):

Show that for $x \in \{0, 1\}^*$ we have $x \in L^*$ if and only if $f(x) \in L$.

$$\varphi \in \text{SAT} \Leftrightarrow f(\varphi) = \langle G \rangle \in \text{D-Ham-Cycle}$$

Ham-Cycle (1): Definition

Problem: Hamilton cycle (Ham-Cycle)

Instance: An undirected graph $G = (V, E)$

Question: Does G contain a Hamilton cycle?

Theorem

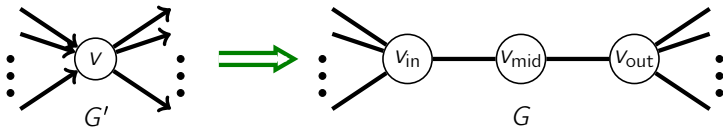
Ham-Cycle is NP-complete.

Proof:

- We show $\text{D-Ham-Cycle} \leq_p \text{Ham-Cycle}$
- Let $G' = (V', A')$ be an instance of D-Ham-Cycle
- We construct in polynomial time an undirected graph $G = (V, E)$, so that: $G' \in \text{D-Ham-Cycle} \Leftrightarrow G \in \text{Ham-Cycle}$

Ham-Cycle (2): Reduction

- Let $G' = (V', A')$ be an instance of D-Ham-Cycle
- The undirected graph G results from G' by local replacements:



Interpretation:

- v_{in} is entrance-vertex for v_{mid}
- v_{out} is exit-vertex for v_{mid}

Ham-Cycle (3): Correctness

G' has directed Hamilton cycle $\Leftrightarrow G$ has Hamilton cycle

(A) Each directed Hamilton cycle in G' can easily be translated into a Hamilton cycle in G .

(B) What about the reverse statement?

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- Every Hamilton cycle in G visits vertex v_{mid} right between the two vertices v_{in} and v_{out}
- Either: $v_{\text{in}} - v_{\text{mid}} - v_{\text{out}}$ Or: $v_{\text{out}} - v_{\text{mid}} - v_{\text{in}}$

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(B) What about the reverse statement?

- Every Hamilton cycle in G visits vertex v_{mid} right between the two vertices v_{in} and v_{out}
- Either: $v_{\text{in}} - v_{\text{mid}} - v_{\text{out}}$ Or: $v_{\text{out}} - v_{\text{mid}} - v_{\text{in}}$
- There are no edges between u_{in} and v_{in}
- There are no edges between u_{out} and v_{out}
- Hence every Hamilton cycle in G can be translated into a directed Hamilton cycle for G' .

TSP (1): Definitions

Traveling Salesman Problem (TSP)

Instance: Cities $1, \dots, n$; distances $d(i, j)$; a bound B

Question: Does there exist a roundtrip of length at most B ?

Two special cases:

Problem: Δ -TSP

Instance: Cities $1, \dots, n$; symmetric distances $d(i, j)$ that satisfy the triangle inequality $d(i, j) \leq d(i, k) + d(k, j)$; a bound B

Question: Does there exist a roundtrip of length at most B ?

Problem: $\{1, 2\}$ -TSP

Instance: Cities $1, \dots, n$; symmetric distances $d(i, j) \in \{1, 2\}$; a bound B

Question: Does there exist a roundtrip of length at most B ?

TSP (2): Proof of NP-Completeness

Theorem

TSP and Δ -TSP and $\{1, 2\}$ -TSP are NP-hard.

- It is enough to show that $\{1, 2\}$ -TSP is NP-hard.
- We show: $\text{Ham-Cycle} \leq_p \{1, 2\}\text{-TSP}$

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- It is enough to show that $\{1, 2\}$ -TSP is NP-hard.
- We show: $\text{Ham-Cycle} \leq_p \{1, 2\}\text{-TSP}$
- From an undirected graph $G = (V, E)$ for Ham-Cycle we construct a TSP instance.
- Each vertex $v \in V$ becomes a city
- The distance between city u and city v is

$$d(u, v) = \begin{cases} 1 & \text{in case } \{u, v\} \in E \\ 2 & \text{in case } \{u, v\} \notin E \end{cases}$$

- We set $B := |V|$

TSP (2): Proof of NP-Completeness

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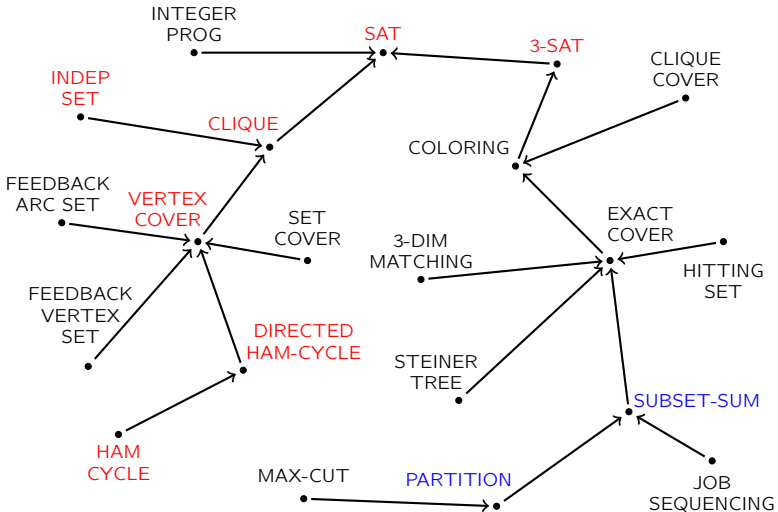
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- We set $B := |V|$
- Graph G has a Hamilton cycle,
if and only if the constructed TSP instance has a tour of length $\leq B$.

Landscape with Karp's 20 reductions



SUBSET-SUM (1): Definition

SUBSET-SUM

Instance: Positive integers a_1, \dots, a_n ; a bound b

Question: Does there exist an index set $I \subseteq \{1, \dots, n\}$ with $\sum_{i \in I} a_i = b$?

Example: Instance for SUBSET-SUM

Numbers 1, 2, 4, 8, 16, 32, 64, 128, 256, 512, 1024 and $b = 999$

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Theorem

SUBSET-SUM is NP-complete.

SUBSET-SUM (2): Reduction

Theorem

SUBSET-SUM is NP-complete.

Proof:

- SUBSET-SUM lies in NP
- We show $3\text{-SAT} \leq_p \text{SUBSET-SUM}$
- Consider Boolean formula φ in 3-CNF as instance of 3-SAT
- The formula has clauses c_1, \dots, c_m with variables x_1, \dots, x_n

The reduction works with decimal numbers with $n + m$ digits.

The k -th digit of an integer z will always be denoted $z(k)$.

SUBSET-SUM (3a): Var-Numbers / Definition

We define:

$$S^+(i) = \{j \in \{1, \dots, m\} \mid \text{clause } c_j \text{ contains literal } x_i\}$$

$$S^-(i) = \{j \in \{1, \dots, m\} \mid \text{clause } c_j \text{ contains literal } \bar{x}_i\}$$

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For every Boolean variable x_i with $1 \leq i \leq n$, we create two corresponding Var-numbers a_i^+ and a_i^- with the following digits:

$$a_i^+(i) = 1 \quad \text{and for all } j \in S^+(i) : a_i^+(n+j) = 1$$

$$a_i^-(i) = 1 \quad \text{and for all } j \in S^-(i) : a_i^-(n+j) = 1$$

All other digits in these decimal representations are 0.

SUBSET-SUM (3b): Var-Numbers / Example

As an example, consider the formula

$$(x_1 \vee x_2 \vee x_3) \wedge (x_2 \vee \bar{x}_3 \vee \bar{x}_4)$$

The following Var-numbers are created:

$$a_1^+ = 100010$$

$$a_1^- = 100000$$

$$a_2^+ = 010011$$

$$a_2^- = 010000$$

$$a_3^+ = 001010$$

$$a_3^- = 001001$$

$$a_4^+ = 000100$$

$$a_4^- = 000101$$

SUBSET-SUM (3c): Dummy-Numbers

- For every clause c_j we introduce two corresponding **Dummy-numbers** d_j and d'_j .
- Dummy-numbers have digit 1 at position $n + j$; all other digits are 0.

Example, continued

Once again consider the formula

$$(x_1 \vee x_2 \vee x_3) \wedge (x_2 \vee \bar{x}_3 \vee \bar{x}_4)$$

The Dummy-numbers for the two clauses are:

$$d_1 = 0000\mathbf{10}$$

$$d'_1 = 0000\mathbf{10}$$

$$d_2 = 0000\mathbf{01}$$

$$d'_2 = 0000\mathbf{01}$$

SUBSET-SUM (3d): Goal Value

The **goal value** b is defined as follows:

- $b(k) = 1$ for $1 \leq k \leq n$,
- $b(k) = 3$ for $n + 1 \leq k \leq n + m$.

Example, completed

Once again consider the formula

$$(x_1 \vee x_2 \vee x_3) \wedge (x_2 \vee \bar{x}_3 \vee \bar{x}_4)$$

The corresponding goal value is:

$$b = 111133$$

SUBSET-SUM (4a): Illustration

An example for a formula with n variables and m clauses:

	1	2	3	...	n	$n+1$	$n+2$...	$n+m$
a_1^+	1	0	0	...	0	1	0
a_1^-	1	0	0	...	0	0	0
a_2^+	0	1	0	...	0	0	1
a_2^-	0	1	0	...	0	1	0
a_3^+	0	0	1	...	0	1	1
\vdots	\vdots	\vdots	\vdots	\vdots	\vdots	\vdots	\vdots	\vdots	\vdots
a_n^+	0	0	0	...	1	0	0
a_n^-	0	0	0	...	1	0	1
d_1	0	0	0	...	0	1	0	...	0
d'_1	0	0	0	...	0	1	0	...	0
\vdots	\vdots	\vdots	\vdots	\vdots	\vdots	\vdots	\vdots	\vdots	\vdots
d_m	0	0	0	...	0	0	0	...	1
d'_m	0	0	0	...	0	0	0	...	1
b	1	1	1	...	1	3	3	...	3

SUBSET-SUM (4b): Illustration

- For every decimal position $i \in \{1, \dots, n\}$ we have: Only two of the Var-numbers and Dummy-numbers have a digit 1 at this position; all other numbers have a digit 0 at this position.
- For every decimal position $i \in \{n+1, \dots, n+m\}$ we have: Only five of the Var-numbers and Dummy-numbers have a digit 1 at this position; all other numbers have a digit 0 at this position.

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Observation: No carry-overs

If we add up an arbitrary subset of Var-numbers and Dummy-numbers, then there are no carry-overs from one decimal position to the next one.

SUBSET-SUM (5): Time Complexity of Reduction

- The SAT instance φ consists of n variables and m clauses.
The input size is $\geq m + n$.
- The constructed SUBSET-SUM instance consists of $2n + 2m + 1$ decimal numbers each with $m + n$ decimal places.
- The reduction can be performed $O((m + n)^2)$ in polynomial time.

SUBSET-SUM (6a): Correctness

Lemma A: Formula φ satisfiable \Rightarrow SUBSET-SUM instance solvable

Suppose there is a satisfying truth setting x^* for formula φ .

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Suppose there is a satisfying truth setting x^* for formula φ .

- If $x_i^* = 1$, then select a_i^+ ; otherwise select a_i^-
- The sum of the selected Var-numbers is denoted A
- As for every $i \in \{1, \dots, n\}$ either a_i^+ or a_i^- has been selected, we have $A(i) = 1$

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- The sum of the selected Var-numbers is denoted A
- As for every $i \in \{1, \dots, n\}$ either a_i^+ or a_i^- has been selected, we have $A(i) = 1$
- Furthermore $A(n+j) \in \{1, 2, 3\}$ for $1 \leq j \leq m$, as every clause contains one or two or three true literals.

SUBSET-SUM (6b): Correctness

Lemma B: SUBSET-SUM instance solvable \Rightarrow formula φ satisfiable

Suppose that there exists a subset K_A of the Var-numbers (with sum A) and a subset K_D of the Dummy-numbers (with sum D), that sum up to the goal sum b ; hence: $A + D = b$.

SUBSET-SUM (6b): Correctness

Lemma B: SUBSET-SUM instance solvable \Rightarrow formula φ satisfiable

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- The set K_A contains for every $i \in \{1, \dots, n\}$ exactly one of the two Var-numbers a_i^+ and a_i^- ; otherwise we would have $A(i) \neq 1$.

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- The set K_A contains for every $i \in \{1, \dots, n\}$ exactly one of the two Var-numbers a_i^+ and a_i^- ; otherwise we would have $A(i) \neq 1$.
- We set $x_i = 1$ in case $a_i^+ \in K_A$, and otherwise $x_i = 0$.

PARTITION (1): Definition

Problem: PARTITION

Instance: Positive integers a'_1, \dots, a'_n ; with $\sum_{i=1}^n a'_i = 2A'$

Question: Does there exist an index set $I \subseteq \{1, \dots, n\}$ with $\sum_{i \in I} a'_i = A'$?

PARTITION is the special case of SUBSET-SUM with $b := (\sum a_i)/2$

Theorem

PARTITION is NP-complete.

Proof:

- PARTITION is in NP
- We show $\text{SUBSET-SUM} \leq_p \text{PARTITION}$

PARTITION (2): Reduction

- Let $a_1, \dots, a_n \in \mathbb{N}$ and $b \in \mathbb{N}$ be an arbitrary instance of SUBSET-SUM
- Let $S := \sum_{i=1}^n a_i$, and w.l.o.g. assume $S \geq b$

We map this SUBSET-SUM instance into a PARTITION instance, that consists of the following $n + 2$ numbers a'_1, \dots, a'_{n+2} :

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We map this SUBSET-SUM instance into a PARTITION instance, that consists of the following $n + 2$ numbers a'_1, \dots, a'_{n+2} :

- $a'_i = a_i$ for $1 \leq i \leq n$
- $a'_{n+1} = 2S - b$ and $a'_{n+2} = S + b$

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- $a'_i = a_i$ for $1 \leq i \leq n$
- $a'_{n+1} = 2S - b$ and $a'_{n+2} = S + b$

The sum of these $n + 2$ numbers is $\sum_{i=1}^{n+2} a'_i = 4S$.
Therefore $A' := 2S$ holds in the PARTITION instance.

The reduction can be done in polynomial time.

PARTITION (3a): Correctness

Lemma A: SUBSET-SUM instance solvable \Rightarrow PARTITION instance solvable

- If the SUBSET-SUM instance contains a subset of the numbers a_1, \dots, a_n with sum b , then the corresponding numbers a'_1, \dots, a'_n in the PARTITION instance also have sum b .
- We add the number $a'_{n+1} = 2S - b$ to this subset, and we get a subset with the desired goal sum $A' = 2S$.

Coding Length (1)

- Let X be an algorithmic problem
- We measure the running time of an algorithm A for problem X in terms of the **coding length** (or **size**) of the instances I of X
- The coding length $|I|$ is the number of symbols in a “reasonable” description of instance I
- Small (polynomial) changes in such descriptions are irrelevant for our definitions / theorems / proofs / results

Coding Length (2)

Example: Undirected graphs

Reasonable descriptions of undirected graphs $G = (V, E)$ are

- adjacency lists of length $\ell_1(G) = O(|E| \log |V|)$
- adjacency matrices of length $\ell_2(G) = O(|V|^2)$

We have:

- $\ell_1(G)$ is polynomially bounded in $\ell_2(G)$
- $\ell_2(G)$ is polynomially bounded in $\ell_1(G)$

Coding Length (3)

Example: Natural numbers

Reasonable descriptions of natural numbers n are

- Decimal representation of length $\approx \log_{10} n$
- Binary representation of length $\approx \log_2 n$
- Octal representation of length $\approx \log_8 n$
- Hexadecimal representation of length $\approx \log_{16} n$

For all real numbers $a, b > 1$ we have: $\log_a n = \log_a b \cdot \log_b n$
 Hence the various coding lengths only differ by a constant factor.

Remark

The number n represents the **value** n with **coding length** $O(\log n)$.
 Note that the value depends exponentially on the coding length.

Value versus Coding Length

Definition: **Number**

For an instance I of some algorithmic problem,
we denote by **Number(I)** the value of the target number in I .

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Example

- For a TSP instance I ,
 $Number(I)$ equals the largest inter-city distance $\max_{i,j} d(i, j)$.
- For a SUBSET-SUM instance I ,
 $Number(I)$ equals the maximum of the numbers a_1, \dots, a_n and b .
- For a SAT instance I ,
 $Number(I)$ equals the maximum of the numbers n and m .
 (Ergo: $Number(I) \leq |I|$.)

The parameter $Number(I)$ is only relevant for problems that deal with distances, costs, weights, lengths, profits, time intervals, etc

Pseudo-Polynomial Time (1): Definition

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An algorithm A solves a problem X in **pseudo-polynomial** time, if the run time of A on instances I of X is polynomially bounded in $|I|$ and $Number(I)$.

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Theorem

The problems SUBSET-SUM and PARTITION are pseudo-polynomially solvable.

