

Introduction to Algorithms

0-1 Knapsack Problem

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Fall Semester 2024

Outline

Knapsack Problem

Greedy Algorithm for Knapsack

Dynamic Programming Approach for Knapsack

Discussion

Contents

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Greedy Algorithm for Knapsack

Dynamic Programming Approach for Knapsack

Discussion

Knapsack Problem

- ▶ The knapsack problem is a NP-complete problem of combinatorial optimization. Similar problems often appear in the fields of business, mathematics, computational complexity theory, cryptography, and applied mathematics.
- ▶ The knapsack problem has been studied for more than a century, with early works dating as far back as 1897.
- ▶ Application: find the least wasteful way to cut raw materials, choose investment and portfolio, choose asset-backed asset securitization, generate keys for Merkle-Hellman and other backpack cryptosystems.

Knapsack Problem

- ▶ Suppose we are planning a hiking trip; and we are, therefore, interested in filling a knapsack with items that are considered necessary for the trip.
- ▶ There are n different item types that are deemed desirable; these could include bottle of water, apple, orange, sandwich, and so forth. Each item type has a given set of two attributes, namely a weight (or volume) and a value that quantifies the level of importance associated with each unit of that type of item.
- ▶ Since the knapsack has a limited weight (or volume) capacity, the problem of interest is to figure out how to load the knapsack with a combination of units of the specified types of items that yields the greatest total value.

Knapsack Problem

Problem Definition(Knapsack):

- ▶ Input: Knapsack takes a set S of n items, each with benefit b_i and weight w_i , and a knapsack with weight bound W (for simplicity we assume that all elements have $w_i \leq W$).
- ▶ Output: Find a subset of items $I \subseteq S$ that maximizes $\sum_{i \in I} b_i$, and satisfies the constraint $\sum_{i \in I} w_i \leq W$.

Knapsack Problem

There are two versions of the problem:

- ▶ Fractional knapsack problem: Items are divisible; you can take any fraction of an item.
- ▶ 0-1 knapsack problem: Items are indivisible; you either take an item or not.

Contents

Knapsack Problem

Greedy Algorithm for Knapsack

Dynamic Programming Approach for Knapsack

Discussion

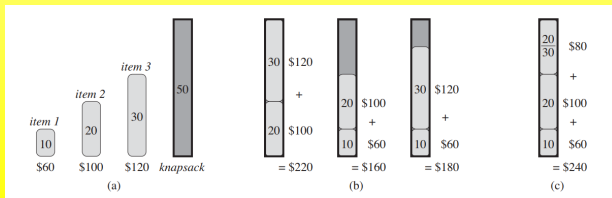
Greedy Algorithm for Knapsack

Greedy-Algorithm()

- 1: Sort items in non-increasing order of $\frac{b_i}{w_i}$.
 - 2: Greedily pick items in the above order.
- ▶ To solve the fractional problem, we first compute the **benefit per weight** b_i/w_i for each item;
 - ▶ Obeying a greedy strategy, we begins by taking as much as possible of the item with the greatest value per pound;
 - ▶ Then we takes the next greatest valuable item, and so forth until he fills the knapsack;
 - ▶ Thus, by sorting the items by value per pound, the greedy algorithm runs in $O(n \lg n)$ time.
 - ▶ The fractional knapsack problem has the **greedy-choice property**.

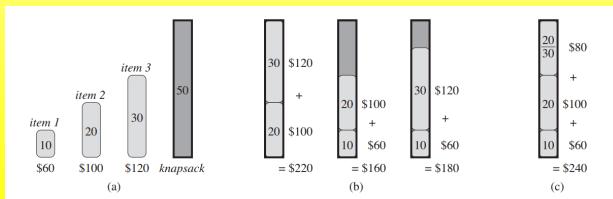
Greedy Algorithm for Knapsack

- ▶ But this greedy strategy **does not work** for the 0–1 knapsack problem. To see the reason, consider the problem instance illustrated in Figure 16.2(a).
- ▶ The benefit per weight of item 1 is 6 per weight, which is greater than that of either item 2 (5 per weight) or item 3 (4 per weight).
- ▶ However, the optimal solution takes items 2 and 3, leaving 1 behind. The two possible solutions that involve item 1 are both suboptimal.



Greedy Algorithm for Knapsack

- ▶ The reason is that taking item 1 we are unable to fill the knapsack to capacity, and the empty space lowers the effective profit per size of our load.
- ▶ But for the comparable fractional problem, the greedy strategy, which takes item 1 first, does yield an optimal solution, as shown in Figure 16.2(c).



Greedy Algorithm for Knapsack: Very Bad

Greedy performs arbitrarily bad in the worst case.

Assume that there are two items. The first one has weight $\epsilon > 0$ and benefit 2ϵ , and the second one has weight B and benefit B . The capacity of the knapsack is B .

Our greedy algorithm will only pick the small item, and the benefit is 2ϵ . The optimal solution is to pick the second item, with benefit B . This example makes this greedy method a pretty bad algorithm.

Greedy-Redux Algorithm for Knapsack: Small Twist

Therefore, we make the following small adjustment to our greedy algorithm:

Greedy-Algorithm Redux()

- 1: Sort items in non-increasing order of $\frac{b_i}{w_i}$ // we here denote each item as a_i , where $1 \leq i \leq n$.
- 2: Greedily add items until we hit an item a_i that is too big. ($\sum_{k=1}^i w_k > W \geq \sum_{k=1}^{i-1} w_k$).
- 3: Pick the better of $\{a_1, a_2, \dots, a_{i-1}\}$ and a_i .

Greedy-Redux Algorithm for Knapsack: Bounded Approximation Ratio

Theorem: Greedy Algorithm Redux is a 2-approximation for the knapsack problem.

Proof: We employed a greedy algorithm. Therefore we can say that if our solution is suboptimal, we must have some leftover space W_{rest} at the end. Imagine for a second that our algorithm was able to take a fraction of an item. Then, by adding $\frac{W_{\text{rest}}}{w_i} b_i$ to our knapsack value, we would either match or exceed OPT (remember that OPT is unable to take fractional items), i.e.,

$$\sum_{k=1}^{i-1} b_k + \frac{W_{\text{rest}}}{w_i} b_i \geq \text{OPT}.$$

Therefore, either $\sum_{k=1}^{i-1} b_k \geq \frac{1}{2} \text{OPT}$ or $b_i \geq \frac{W_{\text{rest}}}{w_i} b_i \geq \frac{1}{2} \text{OPT}$

Contents

Knapsack Problem

Greedy Algorithm for Knapsack

Dynamic Programming Approach for Knapsack

Discussion

Dynamic Programming

- ▶ We can do better with an algorithm based on dynamic programming.
- ▶ We need to carefully identify the subproblems.

Dynamic Programming

Defining a Subproblem

- ▶ Given a knapsack with maximum capacity W , and a set S consisting of n items
- ▶ Each item i has some weight w_i and benefit b_i (Here, we can assume all w_i and W are integer values.)
- ▶ Problem: How to pack the knapsack to achieve maximum total value of packed items?
- ▶ Let's add another parameter: w , which will represent the weight of the knapsack for a subproblem.

Dynamic Programming

Defining a Subproblem

- ▶ The subproblem will then be to compute $V[k, w]$, i.e., to find an optimal solution for $S_k =$ items labeled $1, 2, \dots, k$ in a knapsack of size w
- ▶ Assuming knowing $V[i, j]$, where $i = 0, 1, 2, \dots, k - 1$, $j = 0, 1, 2, \dots, w$, how to derive $V[k, w]$?

Dynamic Programming

Recursive Formula for subproblems:

$$V[k, w] = \begin{cases} V[k-1, w] & \text{if } w_k > w \\ \max\{V[k-1, w], V[k-1, w-w_k] + b_k\} & \text{else} \end{cases}$$

It means, that the best subset of S_k that has total weight w is:

- ▶ the best subset of S_{k-1} that has total weight $\leq w$, or
- ▶ the best subset of S_{k-1} that has total weight $\leq w - w_k$ plus the item k

Dynamic Programming

DP for knapsack()

1: for $w = 0$ to W do

2: $V[0,w]=0$

3: for $i = 1$ to n do

4: $V[i,0]=0$

5: for $i = 1$ to n do

6: for $w = 0$ to W do

7: if $w_i \leq W$ then

8: if $b_i + V[i - 1, w - w_i] > V[i - 1, w]$ then

9: $V[i, w] = b_i + V[i - 1, w - w_i]$

10: else

11: $V[i, w] = V[i - 1, w]$

Dynamic Programming

- ▶ What is the running time of this algorithm? $O(nW)$
- ▶ Let's run our algorithm on the following data:
 - $n = 4$ (number of items)
 - $W = 5$ (weight bound)
 - Elements (weight, benefit):
(2,3), (3,4), (4,5), (5,6)

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 |
|-----------------|---|---|---|---|---|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | | | | | | |
| 2 | | | | | | |
| 3 | | | | | | |
| 4 | | | | | | |

for $w = 0$ to W
 $V[0,w] = 0$

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 |
|-----------------|---|---|---|---|---|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | | | | | |
| 2 | 0 | | | | | |
| 3 | 0 | | | | | |
| 4 | 0 | | | | | |

for $i = 1$ to n
 $V[i,0] = 0$

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 |
|-----------------|---|---|---|---|---|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | 0 | | | | |
| 2 | 0 | | | | | |
| 3 | 0 | | | | | |
| 4 | 0 | | | | | |

$i=1$

$b_i=3$

$w_i=2$

$w=1$

$w-w_i=-1$

if $w_i \leq w$ // item i can be part of the solution

if $b_i + V[i-1, w-w_i] > V[i-1, w]$

$V[i, w] = b_i + V[i-1, w-w_i]$

else

$V[i, w] = V[i-1, w]$

else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:

1: (2,3)

2: (3,4)

3: (4,5)

4: (5,6)

Dynamic Programming Example

| $i \backslash W$ | 0 | 1 | 2 | 3 | 4 | 5 |
|------------------|---|---|---|---|---|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | 0 | 3 | | | |
| 2 | 0 | | | | | |
| 3 | 0 | | | | | |
| 4 | 0 | | | | | |

 $i=1$ $b_i=3$ $w_i=2$ $w=2$ $w-w_i=0$

if $w_i \leq w$ // item i can be part of the solution

if $b_i + V[i-1, w-w_i] > V[i-1, w]$

$V[i, w] = b_i + V[i-1, w-w_i]$

else

$V[i, w] = V[i-1, w]$

else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:

1: (2,3)

2: (3,4)

3: (4,5)

4: (5,6)

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 |
|-----------------|---|---|---|----------|---|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | 0 | 3 | 3 | | |
| 2 | 0 | | | | | |
| 3 | 0 | | | | | |
| 4 | 0 | | | | | |

 $i=1$ $b_i=3$ $w_i=2$ $w=3$ $w-w_i=1$

if $w_i \leq w$ // item i can be part of the solution

if $b_i + V[i-1, w-w_i] > V[i-1, w]$

$V[i, w] = b_i + V[i-1, w-w_i]$

else

$V[i, w] = V[i-1, w]$

else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:

1: (2,3)

2: (3,4)

3: (4,5)

4: (5,6)

Dynamic Programming Example

| | | | | | | | |
|-----------------|---|---|---|---|----------|---|-----------|
| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 | $i=1$ |
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | $b_i=3$ |
| 1 | 0 | 0 | 3 | 3 | 3 | | $w_i=2$ |
| 2 | 0 | | | | | | $w=4$ |
| 3 | 0 | | | | | | $w-w_i=2$ |
| 4 | 0 | | | | | | |

if $w_i \leq w$ // item i can be part of the solution
 if $b_i + V[i-1, w-w_i] > V[i-1, w]$
 $V[i, w] = b_i + V[i-1, w-w_i]$
 else
 $V[i, w] = V[i-1, w]$
 else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:

- 1: (2,3)
- 2: (3,4)
- 3: (4,5)
- 4: (5,6)

Dynamic Programming Example

| $i \backslash W$ | 0 | 1 | 2 | 3 | 4 | 5 | |
|------------------|---|---|---|---|---|----------|-----------|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | $i=1$ |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 | $b_i=3$ |
| 2 | 0 | | | | | | $w_i=2$ |
| 3 | 0 | | | | | | $w=5$ |
| 4 | 0 | | | | | | $w-w_i=3$ |

if $w_i \leq w$ // item i can be part of the solution

if $b_i + V[i-1, w-w_i] > V[i-1, w]$

$V[i, w] = b_i + V[i-1, w-w_i]$

else

$V[i, w] = V[i-1, w]$

else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:

1: (2,3)

2: (3,4)

3: (4,5)

4: (5,6)

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 | |
|-----------------|---|----------|---|---|---|---|------------|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | $i=2$ |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 | $b_i=4$ |
| 2 | 0 | 0 | | | | | $w_i=3$ |
| 3 | 0 | | | | | | $w=1$ |
| 4 | 0 | | | | | | $w-w_i=-2$ |

if $w_i \leq w$ // item i can be part of the solution

if $b_i + V[i-1, w-w_i] > V[i-1, w]$

$V[i, w] = b_i + V[i-1, w-w_i]$

else

$V[i, w] = V[i-1, w]$

else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:

1: (2,3)

2: (3,4)

3: (4,5)

4: (5,6)

Dynamic Programming Example

| $i \backslash W$ | 0 | 1 | 2 | 3 | 4 | 5 |
|------------------|---|---|---|---|---|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 |
| 2 | 0 | 0 | 3 | | | |
| 3 | 0 | | | | | |
| 4 | 0 | | | | | |

$i=2$
 $b_i=4$
 $w_i=3$
 $w=2$
 $w-w_i=-1$

if $w_i \leq w$ // item i can be part of the solution

if $b_i + V[i-1, w-w_i] > V[i-1, w]$

$V[i, w] = b_i + V[i-1, w-w_i]$

else

$V[i, w] = V[i-1, w]$

else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:

1: (2,3)

2: (3,4)

3: (4,5)

4: (5,6)

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 | |
|-----------------|---|---|---|----------|---|---|-----------|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | $i=2$ |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 | $b_i=4$ |
| 2 | 0 | 0 | 3 | 4 | | | $w_i=3$ |
| 3 | 0 | | | | | | $w=3$ |
| 4 | 0 | | | | | | $w-w_i=0$ |

if $w_i \leq w$ // item i can be part of the solution

if $b_i + V[i-1, w-w_i] > V[i-1, w]$

$V[i, w] = b_i + V[i-1, w-w_i]$

else

$V[i, w] = V[i-1, w]$

else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:

1: (2,3)

2: (3,4)

3: (4,5)

4: (5,6)

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 |
|-----------------|---|---|---|---|----------|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 |
| 2 | 0 | 0 | 3 | 4 | 4 | |
| 3 | 0 | | | | | |
| 4 | 0 | | | | | |

$i=2$
 $b_i=4$
 $w_i=3$
 $w=4$
 $w-w_i=1$

if $w_i \leq w$ // item i can be part of the solution
 if $b_i + V[i-1, w-w_i] > V[i-1, w]$
 $V[i, w] = b_i + V[i-1, w-w_i]$
 else
 $V[i, w] = V[i-1, w]$
 else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:

- 1: (2,3)
- 2: (3,4)
- 3: (4,5)
- 4: (5,6)

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 |
|-----------------|---|---|---|---|---|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 |
| 2 | 0 | 0 | 3 | 4 | 4 | 7 |
| 3 | 0 | | | | | |
| 4 | 0 | | | | | |

$i=2$
 $b_i=4$
 $w_i=3$
 $w=5$
 $w-w_i=2$

if $w_i \leq w$ // item i can be part of the solution

if $b_i + V[i-1, w-w_i] > V[i-1, w]$

$V[i, w] = b_i + V[i-1, w-w_i]$

else

$V[i, w] = V[i-1, w]$

else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:

1: (2,3)

2: (3,4)

3: (4,5)

4: (5,6)

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 |
|-----------------|---|---|---|---|---|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 |
| 2 | 0 | 0 | 3 | 4 | 4 | 7 |
| 3 | 0 | 0 | 3 | 4 | | |
| 4 | 0 | | | | | |

$i=3$
 $b_i=5$
 $w_i=4$
 $w=1..3$

if $w_i \leq w$ // item i can be part of the solution

if $b_i + V[i-1, w-w_i] > V[i-1, w]$

$V[i, w] = b_i + V[i-1, w-w_i]$

else

$V[i, w] = V[i-1, w]$

else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:

1: (2,3)

2: (3,4)

3: (4,5)

4: (5,6)

Dynamic Programming Example

| | | | | | | |
|------------------|---|---|---|---|---|---|
| $i \backslash W$ | 0 | 1 | 2 | 3 | 4 | 5 |
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 |
| 2 | 0 | 0 | 3 | 4 | 4 | 7 |
| 3 | 0 | 0 | 3 | 4 | 5 | |
| 4 | 0 | | | | | |

$i=3$
 $b_i=5$
 $w_i=4$
 $w=4$
 $w - w_i=0$

if $w_i \leq w$ // item i can be part of the solution
 if $b_i + V[i-1, w-w_i] > V[i-1, w]$
 $V[i, w] = b_i + V[i-1, w - w_i]$
 else
 $V[i, w] = V[i-1, w]$
 else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:
 1: (2,3)
 2: (3,4)
 3: (4,5)
 4: (5,6)

Dynamic Programming Example

| $i \backslash W$ | 0 | 1 | 2 | 3 | 4 | 5 | |
|------------------|---|---|---|---|---|---|---------------|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | $i=3$ |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 | $b_i=5$ |
| 2 | 0 | 0 | 3 | 4 | 4 | 7 | $w_i=4$ |
| 3 | 0 | 0 | 3 | 4 | 5 | 7 | $w=5$ |
| 4 | 0 | | | | | | $w - w_i = 1$ |

if $w_i \leq w$ // item i can be part of the solution

if $b_i + V[i-1, w-w_i] > V[i-1, w]$

$V[i, w] = b_i + V[i-1, w-w_i]$

else

$V[i, w] = V[i-1, w]$

else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:

1: (2,3)

2: (3,4)

3: (4,5)

4: (5,6)

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 |
|-----------------|---|---|---|---|---|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 |
| 2 | 0 | 0 | 3 | 4 | 4 | 7 |
| 3 | 0 | 0 | 3 | 4 | 5 | 7 |
| 4 | 0 | 0 | 3 | 4 | 5 | |

$i=4$
 $b_i=6$
 $w_i=5$
 $w=1..4$

if $w_i \leq w$ // item i can be part of the solution
 if $b_i + V[i-1, w-w_i] > V[i-1, w]$
 $V[i, w] = b_i + V[i-1, w-w_i]$
 else
 $V[i, w] = V[i-1, w]$
 else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:

- 1: (2,3)
- 2: (3,4)
- 3: (4,5)
- 4: (5,6)

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 |
|-----------------|---|---|---|---|---|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 |
| 2 | 0 | 0 | 3 | 4 | 4 | 7 |
| 3 | 0 | 0 | 3 | 4 | 5 | 7 |
| 4 | 0 | 0 | 3 | 4 | 5 | 7 |

$i=4$
 $b_i=6$
 $w_i=5$
 $w=5$
 $w - w_i = 0$

if $w_i \leq w$ // item i can be part of the solution
 if $b_i + V[i-1, w-w_i] > V[i-1, w]$
 $V[i, w] = b_i + V[i-1, w-w_i]$
 else
 $V[i, w] = V[i-1, w]$
 else $V[i, w] = V[i-1, w]$ // $w_i > w$

Items:
 1: (2,3)
 2: (3,4)
 3: (4,5)
 4: (5,6)

Dynamic Programming

How to find actual Knapsack Items

- ▶ All of the information we need is in the table.
- ▶ $V[n, W]$ is the maximal value of items that can be placed in the Knapsack.
- ▶ Let $i = n$ and $k = W$.

find actual knapsacks items()

- 1: if $i = n$ and $k = W$ then
- 2: mark the i -th item as in the knapsack
- 3: $i = i - 1, k = k - w_i$
- 4: else
- 5: $i = i - 1$

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 | $i=4$ |
|-----------------|---|---|---|---|---|---|----------------|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | $k=5$ |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 | $b_i=6$ |
| 2 | 0 | 0 | 3 | 4 | 4 | 7 | $w_i=5$ |
| 3 | 0 | 0 | 3 | 4 | 5 | 7 | $V[i,k] = 7$ |
| 4 | 0 | 0 | 3 | 4 | 5 | 7 | $V[i-1,k] = 7$ |

$i=n, k=W$

while $i, k > 0$

if $V[i,k] \neq V[i-1,k]$ then

mark the i^{th} item as in the knapsack

$i = i-1, k = k-w_i$

else

$i = i-1$

Items:

1: (2,3)

2: (3,4)

3: (4,5)

4: (5,6)

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 | |
|-----------------|---|---|---|---|---|---|--------------|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | $i=4$ |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 | $k=5$ |
| 2 | 0 | 0 | 3 | 4 | 4 | 7 | $b_i=6$ |
| 3 | 0 | 0 | 3 | 4 | 5 | 7 | $w_i=5$ |
| 4 | 0 | 0 | 3 | 4 | 5 | 7 | $V[i,k]=7$ |
| | | | | | | | $V[i-1,k]=7$ |

$i=n, k=W$

while $i,k > 0$

if $V[i,k] \neq V[i-1,k]$ then

mark the i^{th} item as in the knapsack

$i = i-1, k = k-w_i$

else

$i = i-1$

Items:

1: (2,3)

2: (3,4)

3: (4,5)

4: (5,6)

Dynamic Programming Example

| | | | | | | | |
|-----------------|---|---|---|---|---|---|----------------|
| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 | $i=3$ |
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | $k=5$ |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 | $b_i=5$ |
| 2 | 0 | 0 | 3 | 4 | 4 | 7 | $w_i=4$ |
| 3 | 0 | 0 | 3 | 4 | 5 | 7 | $V[i,k] = 7$ |
| 4 | 0 | 0 | 3 | 4 | 5 | 7 | $V[i-1,k] = 7$ |

```

i=n, k=W
while i,k > 0
    if  $V[i,k] \neq V[i-1,k]$  then
        mark the  $i^{\text{th}}$  item as in the knapsack
         $i = i-1, k = k-w_i$ 
    else
         $i = i-1$ 
    
```

Items:

- 1: (2,3)
- 2: (3,4)
- 3: (4,5)
- 4: (5,6)

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 |
|-----------------|---|---|---|---|---|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 |
| 2 | 0 | 0 | 3 | 4 | 4 | 7 |
| 3 | 0 | 0 | 3 | 4 | 5 | 7 |
| 4 | 0 | 0 | 3 | 4 | 5 | 7 |

$i=2$
 $k=5$
 $b_i=4$
 $w_i=3$
 $V[i,k] = 7$
 $V[i-1,k] = 3$
 $k - w_i = 2$

Items:

1: (2,3)
 2: (3,4)
 3: (4,5)
 4: (5,6)

$i=n, k=W$
 while $i, k > 0$
 if $V[i,k] \neq V[i-1,k]$ then
 mark the i^{th} item as in the knapsack
 $i = i-1, k = k-w_i$
 else
 $i = i-1$

Dynamic Programming Example

| | | | | | | |
|-----------------|---|---|---|---|---|---|
| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 |
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 |
| 2 | 0 | 0 | 3 | 4 | 4 | 7 |
| 3 | 0 | 0 | 3 | 4 | 5 | 7 |
| 4 | 0 | 0 | 3 | 4 | 5 | 7 |

$i=1$
 $k=2$
 $b_i=3$
 $w_i=2$
 $V[i,k]=3$
 $V[i-1,k]=0$
 $k-w_i=0$

Items:

1: (2,3)
 2: (3,4)
 3: (4,5)
 4: (5,6)

```

i=n, k=W
while i,k > 0
    if V[i,k] ≠ V[i-1,k] then
        mark the ith item as in the knapsack
        i = i-1, k = k-wi
    else
        i = i-1
    
```

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 |
|-----------------|---|---|---|---|---|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 |
| 2 | 0 | 0 | 3 | 4 | 4 | 7 |
| 3 | 0 | 0 | 3 | 4 | 5 | 7 |
| 4 | 0 | 0 | 3 | 4 | 5 | 7 |

$i=0$
 $k=0$

The optimal knapsack should contain {1, 2}

$i=n, k=W$
 while $i, k > 0$
 if $V[i, k] \neq V[i-1, k]$ then
 mark the n^{th} item as in the knapsack
 $i = i-1, k = k-w_i$
 else
 $i = i-1$

Items:

1: (2,3)
 2: (3,4)
 3: (4,5)
 4: (5,6)

Dynamic Programming Example

| $i \setminus W$ | 0 | 1 | 2 | 3 | 4 | 5 |
|-----------------|---|---|---|---|---|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 0 | 0 | 3 | 3 | 3 | 3 |
| 2 | 0 | 0 | 3 | 4 | 4 | 7 |
| 3 | 0 | 0 | 3 | 4 | 5 | 7 |
| 4 | 0 | 0 | 3 | 4 | 5 | 7 |

The optimal knapsack should contain {1, 2}

$i=n, k=W$

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Items:

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Contents

Knapsack Problem

Greedy Algorithm for Knapsack

Dynamic Programming Approach for Knapsack

Discussion

Discussion : Pseudo-polynomial

Pseudo-polynomial time:

a numeric algorithm runs in pseudo-polynomial time if its running time is a polynomial in the numeric value of the input — but not necessarily in the length of the input (the number of bits required to represent it)

- ▶ The Running time of dynamic programming algorithm on 0-1 Knapsack problem is $O(W * n)$, the number W needs $\log W$ bits to describe, so it is pseudo-polynomial.
- ▶ Other pseudo-polynomial algorithm: Primality testing

Discussion: Another DP approach, Pseudo-polynomial

- ▶ Let P be the profit of the most profitable object, i.e. $P = \max_{a \in S} p(a)$. From this, we can upper bound the profit that can be achieved as nP for the n objects. Here, we can assume the benefit of each item are **interger values**.
- ▶ For each $i \in \{1, \dots, n\}$ and $p \in \{1, \dots, nP\}$, let $S_{i,p}$ denote a subset of $\{a_1, \dots, a_i\}$ that has a total profit of exactly p and takes up the least amount of space possible.
- ▶ Let $A(i, p)$ be the size of the set $S_{i,p}$, with a value of ∞ to denote no such subset.
- ▶ For $A(i, p)$, we have the base case $A(1, p)$ where $A(1, p(a_1))$ is $s(a_1)$ and all other values are ∞ .

Discussion: Another DP approach, Pseudo-polynomial

- ▶ We can use the following recurrence to calculate all values for $A(i, p)$:

$$A(i+1, p) = \begin{cases} \min\{A(i, p), s(a_{i+1}) + A(i, p - p(a_{i+1}))\}, & \text{if } p(a_{i+1}) \leq p \\ A(i, p), & \text{otherwise} \end{cases}$$

- ▶ The optimal subset then corresponds with the set $S_{n,p}$ for which p is maximized and $A(n, p) \leq B$. Since this iterates through at most n different values to calculate each $A(i, p)$ we get a total running time of $O(n^2P)$ and thus a **pseudo-polynomial** algorithm for knapsack.
- ▶ It is easy to modify the above DP algorithm to achieve a full polynomial-time approximation scheme (FPTAS) for 0-1 knapsack.

Another Dynamic Programming for Knapsack

DP for knapsack()

- 1: Let P be the maximum benefit of all items.
- 2: Given $\varepsilon > 0$, let $K = \frac{\varepsilon \cdot P}{n}$.
- 3: for each object a_i do
- 4: define a new profit $p'(a_i) = \lfloor \frac{p(a_i)}{K} \rfloor$.
- 5: With these as profits of n items, using the dynamic programming algorithm presented in previous slide, find the most profitable set, say S' .
- 6: Output S' as the final solution for the original knapsack problem

Another Dynamic Programming for Knapsack

Theorem

The set S' , output by the aforementioned algorithm, satisfies that

$$P(S') \geq (1 - \epsilon) \cdot \text{OPT}.$$

Here $P(S')$ denotes the profit (or benefit) from the set S' , and OPT is the optimum benefit of the original problem.

Another Dynamic Programming for Knapsack

Proof.

Let O be the optimal set for the original problem, and let $P'(X)$ be the modified profit of set X with profit function $p'()$. Clearly,

$$p(a) - K \leq K \cdot p'(a) \leq p(a);$$

$$P(O) - K \cdot P'(O) \leq n \cdot K.$$

Then we have

$$P(S') \geq K \cdot P'(S') \geq K \cdot P'(O) \geq P(O) - nK = \text{OPT} - \varepsilon \cdot P \geq (1 - \varepsilon)\text{OPT}$$

This finishes the proof. □

Discussions: Variations of Knapsack Problem

There are many variations of the knapsack problem that have arisen from the vast number of applications of the basic problem.

- ▶ Basic knapsack: n items, each with benefit b_i and weight w_i , and a knapsack with weight bound W .
- ▶ Unbounded knapsack problem: For each item a_i , it can be selected unlimited times, i.e., we do not put any upper bounds on the number of times an item may be selected.
- ▶ Bounded knapsack problem: For each item a_i , it can only be selected by at most k_i times in the final solution, i.e., there is an upper bound that an item may be selected.
- ▶ Multidimensional knapsack problem There are more than one constraints (for example, both a volume limit and a weight limit). This problem has 0-1, bounded, and unbounded etc. variants.