

Knapsack Problem

- We have n items with weights and values:

Item:					
Weight:	6	2	4	3	11
Value:	20	8	14	13	35

- And we have a knapsack:
 - it can only carry so much weight:



Capacity: 10



Capacity: 10

Item:



Weight:

6

2

4

3

11

Value:

20

8

14

13

35

• Unbounded Knapsack:

- Suppose I have **infinite copies** of all of the items.
- What's the **most valuable way to fill the knapsack?**



Total weight: 10

Total value: 42

• 0/1 Knapsack:

- Suppose I have **only one copy** of each item.
- What's the **most valuable way to fill the knapsack?**



Total weight: 9

Total value: 35

Some notation

Item:



Weight:

W_1

W_2

W_3

...

W_n

Value:

V_1

V_2


V_3

V_n



Capacity: W

Recipe for applying Dynamic Programming

- **Step 1:** Identify optimal substructure. 
- **Step 2:** Find a recursive formulation for the value of the optimal solution.
- **Step 3:** Use dynamic programming to find the value of the optimal solution.
- **Step 4:** If needed, keep track of some additional info so that the algorithm from Step 3 can find the actual solution.
- **Step 5:** If needed, code this up like a reasonable person.

Optimal substructure

- Sub-problems:
 - Unbounded Knapsack with a smaller knapsack.
 - $K[x]$ = value you can fit in a knapsack of capacity x



First solve the problem for small knapsacks



Then larger knapsacks



Then larger knapsacks

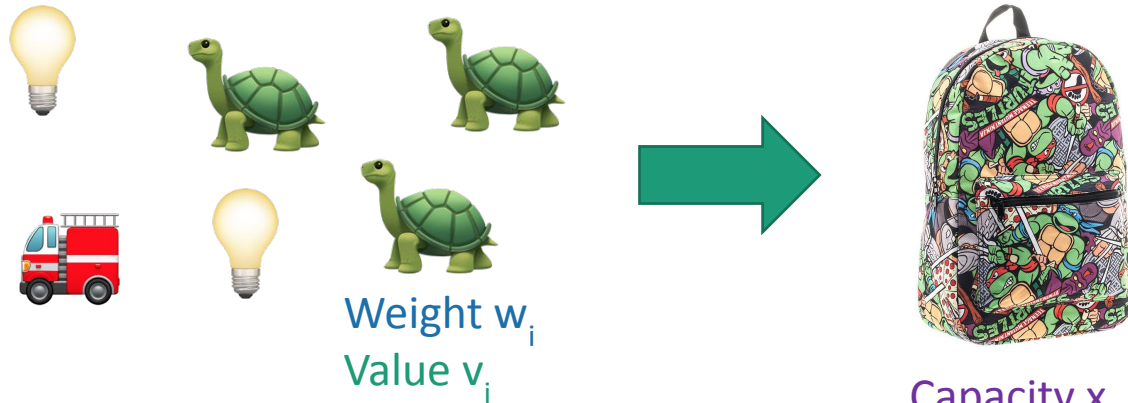
Optimal substructure



item i

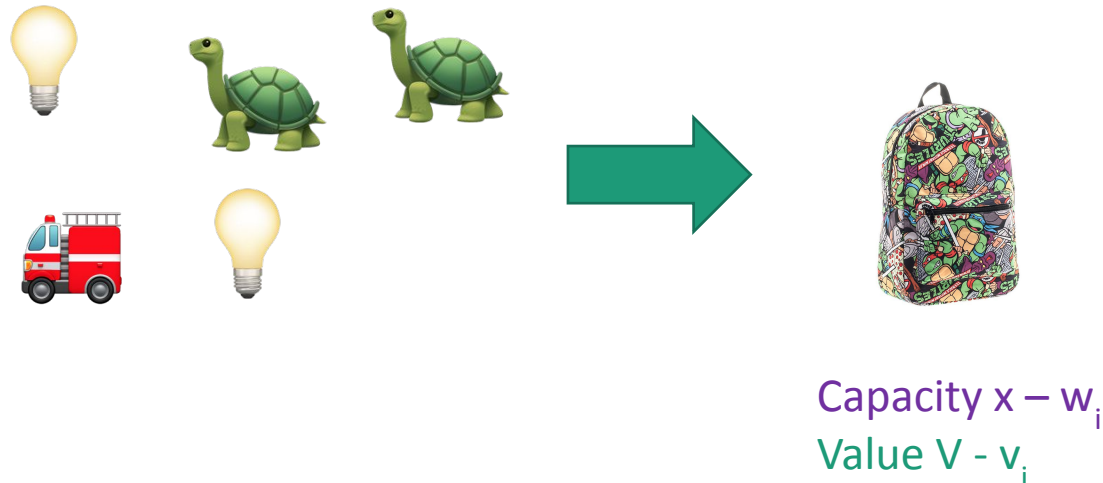
- Suppose this is an optimal solution for capacity x :

Say that the optimal solution contains at least one copy of item i .



- Then this is optimal for capacity $x - w_i$:

Why?





item i

Optimal substructure

- Suppose this is an optimal solution for capacity x :

Say that the optimal solution contains at least one copy of item i .

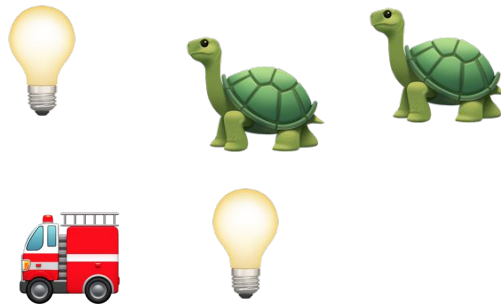


Weight w_i
Value v_i



Capacity x
Value V

- Then this is optimal for capacity $x - w_i$:



Capacity $x - w_i$
Value $V - v_i$

If I could do better than the second solution, then adding a turtle to that improvement would improve the first solution.

Recipe for applying Dynamic Programming

- **Step 1:** Identify **optimal substructure**.
- **Step 2:** Find a **recursive formulation** for the value of the optimal solution.
- **Step 3:** Use **dynamic programming** to find the value of the optimal solution.
- **Step 4:** If needed, keep track of some additional info so that the algorithm from Step 3 can **find the actual solution**.
- **Step 5:** If needed, **code this up like a reasonable person**.



Recursive relationship

- Let $K[x]$ be the **optimal value** for capacity x .

$$K[x] = \max_i \left\{ \text{[Backpack Icon]} + \text{[Turtle Icon]} \right\}$$

The maximum is over
all i so that


Optimal way to
fill the smaller
knapsack

The value of
item i .

$$K[x] = \max_i \left\{ K[x - w_i] + v_i \right\}$$

- (And $K[x] = 0$ if the maximum is empty).
 - That is, if there are no i so that

Recipe for applying Dynamic Programming

- **Step 1:** Identify optimal substructure.
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 - **Step 4:** If needed, keep track of some additional info so that the algorithm from Step 3 can find the actual solution.
 - **Step 5:** If needed, code this up like a reasonable person.
- 

Let's write a bottom-up DP algorithm

- UnboundedKnapsack(W , n , $weights$, $values$):
 - $K[0] = 0$
 - **for** $x = 1, \dots, W$:
 - $K[x] = 0$
 - **for** $i = 1, \dots, n$:
 - **if** $w_i \leq x$:
 - $K[x] = \max\{ K[x], K[x - w_i] + v_i \}$
 - **return** $K[W]$

Running time: $O(nW)$

$$K[x] = \max_i \{ \text{🎒} + \text{🐢} \}$$
$$= \max_i \{ K[x - w_i] + v_i \}$$

Why does this work?

Because our recursive relationship makes¹sense.

Can we do better?

- Writing down W takes $\log(W)$ bits.
- Writing down all n weights takes at most $n\log(W)$ bits.
- Input size: $n\log(W)$.
 - Maybe we could have an algorithm that runs in time $O(n\log(W))$ instead of $O(nW)$?
 - Or even $O(n^{1000000} \log^{1000000}(W))$?
- Open problem!
 - (But probably the answer is **no**...otherwise $P = NP$)

Recipe for applying Dynamic Programming

- **Step 1:** Identify optimal substructure.
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Let's write a bottom-up DP algorithm

- UnboundedKnapsack(**W**, **n**, **weights**, **values**):
 - $K[0] = 0$
 - **for** $x = 1, \dots, W$:
 - $K[x] = 0$
 - **for** $i = 1, \dots, n$:
 - **if** $w_i \leq x$:
 - $K[x] = \max\{ K[x], K[x - w_i] + v_i \}$
 - **return** $K[W]$

$$K[x] = \max_i \{ \text{🎒} + \text{🐢} \}$$
$$= \max_i \{ K[x - w_i] + v_i \}$$

Let's write a bottom-up DP algorithm

- UnboundedKnapsack(W , n , weights , values):
 - $K[0] = 0$
 - $\text{ITEMS}[0] = \emptyset$
 - for $x = 1, \dots, W$:
 - $K[x] = 0$
 - for $i = 1, \dots, n$:
 - if $w_i \leq x$:
 - $K[x] = \max\{ K[x], K[x - w_i] + v_i \}$
 - If $K[x]$ was updated:
 - $\text{ITEMS}[x] = \text{ITEMS}[x - w_i] \cup \{ \text{item } i \}$
 - return $\text{ITEMS}[W]$

$$\begin{aligned} K[x] &= \max_i \{ \text{bag} + \text{turtle} \} \\ &= \max_i \{ K[x - w_i] + v_i \} \end{aligned}$$

Example

$$K[x] = \max\{ K[x], K[x - w_i] + v_i \}$$

	0	1	2	3	4
K	0				
ITEMS					

Item:



Weight:

1

2

3

Value:

1

4


6



Capacity: 4

Example

$$K[x] = \max\{ K[x], K[x - w_i] + v_i \}$$

	0	1	2	3	4
K	0	1			
ITEMS					

ITEMS[1] = ITEMS[0] + 

Item:



Weight:

1

2

3

Value:

1

4




6



Capacity: 4

Example

$$K[x] = \max\{ K[x], K[x - w_i] + v_i \}$$

	0	1	2	3	4
K	0	1	2		
ITEMS			 		

ITEMS[2] = ITEMS[1] + 

Item:



Weight:

1

2

3

Value:

1

4



6



Capacity: 4

Example

$$K[x] = \max\{ K[x], K[x - w_i] + v_i \}$$

	0	1	2	3	4
K	0	1	4		
ITEMS					

ITEMS[2] = ITEMS[0] + 

Item:



Weight:

1

2

3

Value:

1

4





6



Capacity: 4

Example

$$K[x] = \max\{ K[x], K[x - w_i] + v_i \}$$

	0	1	2	3	4
K	0	1	4	5	
ITEMS				 	

Item:



Weight:

1

2

3

Value:

1

4

6




ITEMS[3] = ITEMS[2] + 



Capacity: 4

Example

$$K[x] = \max\{ K[x], K[x - w_i] + v_i \}$$

	0	1	2	3	4
K	0	1	4	6	
ITEMS					

Item:



Weight:

1

2

3

Value:

1

4

6






ITEMS[3] = ITEMS[0] + 



Capacity: 4

Example

$$K[x] = \max\{ K[x], K[x - w_i] + v_i \}$$

	0	1	2	3	4
K	0	1	4	6	7
ITEMS					 

Item:



Weight:

1

2

3

Value:

1

4

6






ITEMS[4] = ITEMS[3] + 



Capacity: 4

Example

$$K[x] = \max\{ K[x], K[x - w_i] + v_i \}$$

	0	1	2	3	4
K	0	1	4	6	8
ITEMS					 

Item:



Weight:

1

2

3

Value:

1

4

6

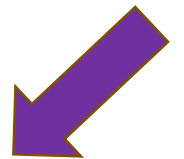
$$\text{ITEMS}[4] = \text{ITEMS}[2] + \text{Lightbulb}$$



Capacity: 4

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(Pass)

What have we learned?

- We can solve unbounded knapsack in time $O(nW)$.
 - If there are n items and our knapsack has capacity W .
- We again went through the steps to create DP solution:
 - We kept a one-dimensional table, creating smaller problems by making the knapsack smaller.



Capacity: 10

Item:



Weight:

6

2

4

3

11

Value:

20

8

14

13

35

• Unbounded Knapsack:

- Suppose I have **infinite copies** of all of the items.
- What's the **most valuable way to fill the knapsack?**



Total weight: 10

Total value: 42

• 0/1 Knapsack:


- Suppose I have **only one copy** of each item.
- What's the **most valuable way to fill the knapsack?**



Total weight: 9

Total value: 35

Recipe for applying Dynamic Programming

- **Step 1:** Identify optimal substructure. 
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Optimal substructure: try 1

- Sub-problems:
 - Unbounded Knapsack with a smaller knapsack.



First solve the problem for small knapsacks



Then larger knapsacks



Then larger knapsacks

This won't quite work...

- We are only allowed **one copy of each item**.
- The sub-problem needs to “know” what items we've used and what we haven't.



Optimal substructure: try 2

- Sub-problems:
 - 0/1 Knapsack with fewer items.

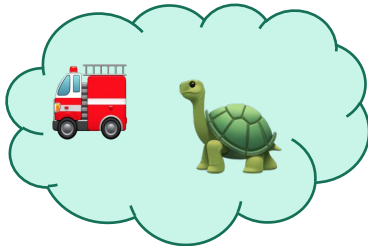


First solve the problem with few items



We'll still increase the size of the knapsacks.

Then more items



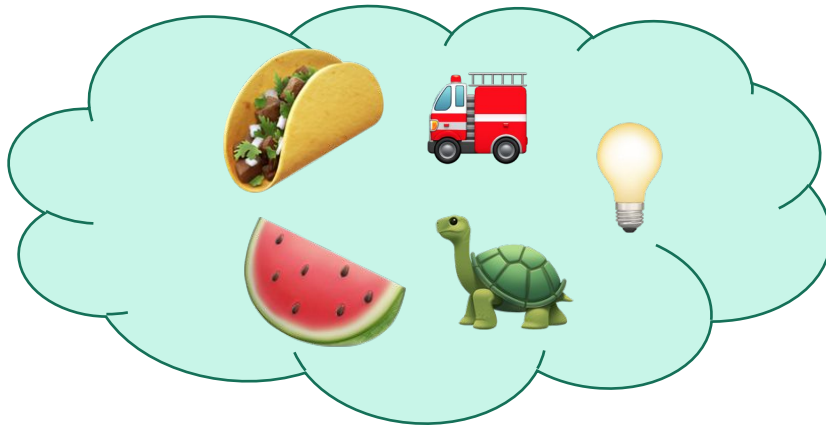
Then yet more items



(We'll keep a two-dimensional table).

Our sub-problems:

- Indexed by x and j



First j items

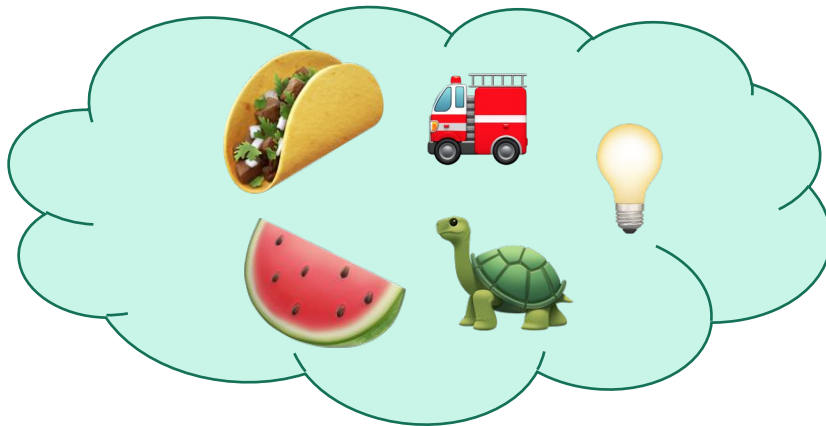


Capacity x

$K[x,j]$ = optimal solution for a knapsack of size x using only the first j items.

Relationship between sub-problems

- Want to write $K[x,j]$ in terms of smaller sub-problems.



First j items



Capacity x

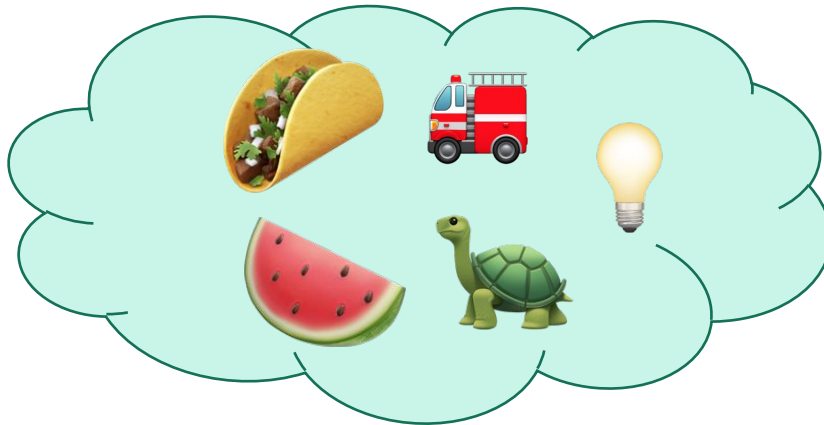
$K[x,j]$ = optimal solution for a knapsack of size x using only the first j items.

Two cases



item j

- **Case 1:** Optimal solution for j items does not use item j .
- **Case 2:** Optimal solution for j items does use item j .



First j items



Capacity x

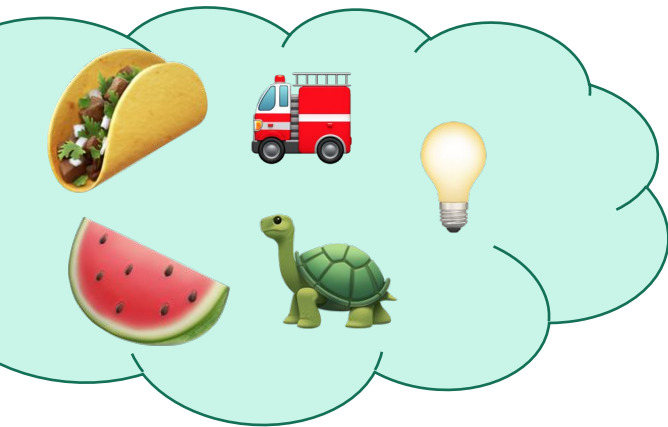
$K[x,j]$ = optimal solution for a knapsack of size x using only the first j items.

Two cases

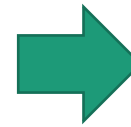
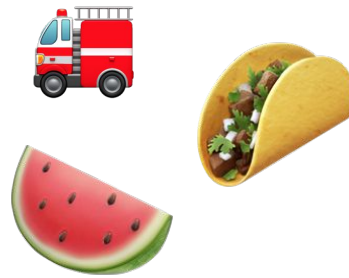


item j

- **Case 1:** Optimal solution for j items does not use item j .



First j items



Capacity x

Value V

Use only the first j items

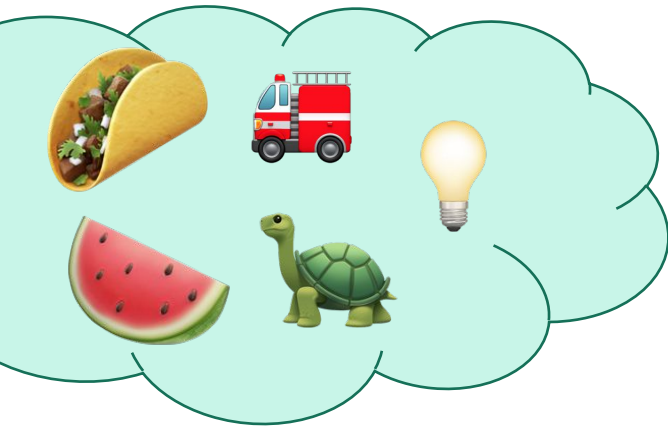
What lower-indexed problem should we solve to solve this problem?

Two cases

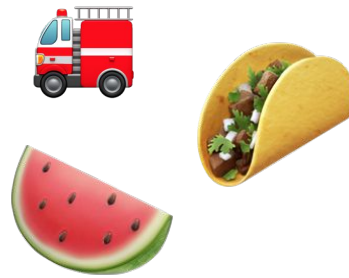


item j

- **Case 1:** Optimal solution for j items does not use item j .



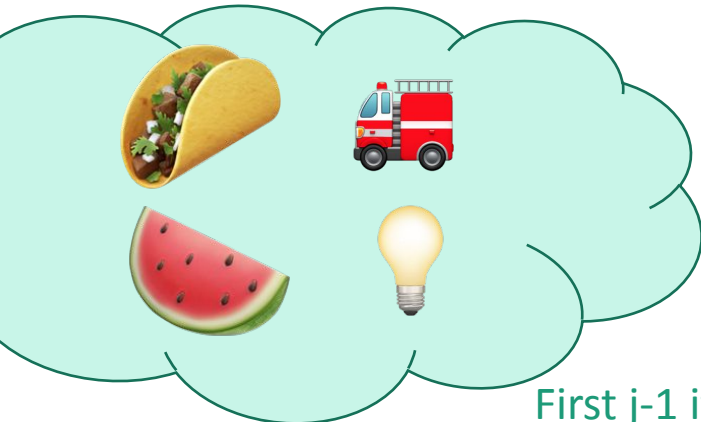
First j items



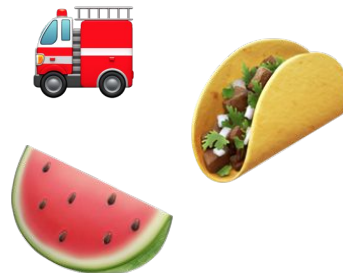
Capacity x
Value V

Use only the first j items

- Then this is an optimal solution for $j-1$ items:



First $j-1$ items



Capacity x
Value V

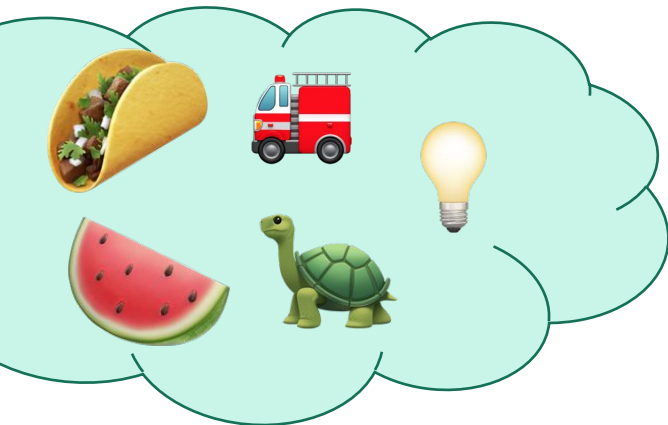
Use only the first $j-1$ items.

Two cases



item j

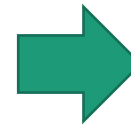
- **Case 2:** Optimal solution for j items uses item j .



First j items



Weight w_j
Value v_j



Capacity x
Value V

Use only the first j items

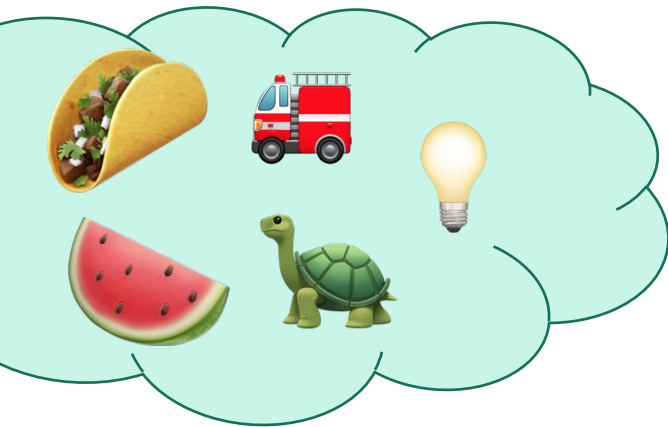
What lower-indexed problem should we solve to solve this problem?

Two cases



item j

- **Case 2:** Optimal solution for j items uses item j .



First j items



Weight w_j
Value v_j



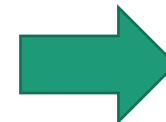
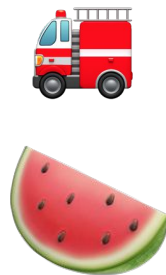
Capacity x
Value V

Use only the first j items

- Then this is an optimal solution for $j-1$ items and a smaller knapsack:



First $j-1$ items



Capacity $x - w_j$
Value $V - v_j$

Use only the first $j-1$ items.

Recipe for applying Dynamic Programming

- **Step 1:** Identify optimal substructure.
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- **Step 5:** If needed, code this up like a reasonable person.



Recursive relationship

- Let $K[x,j]$ be the optimal value for:
 - capacity x ,
 - with j items.

$$K[x,j] = \max\{ \underset{\text{Case 1}}{K[x, j-1]}, \underset{\text{Case 2}}{K[x - w_j, j-1] + v_j} \}$$

- (And $K[x,0] = 0$ and $K[0,j] = 0$).

Recipe for applying Dynamic Programming

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- **Step 5:** If needed, code this up like a reasonable person.

Bottom-up DP algorithm

- Zero-One-Knapsack(W, n, w, v):
 - $K[x,0] = 0$ for all $x = 0, \dots, W$
 - $K[0,i] = 0$ for all $i = 0, \dots, n$
 - **for** $x = 1, \dots, W$:
 - **for** $j = 1, \dots, n$:
 - $K[x,j] = K[x, j-1]$ Case 1
 - **if** $w_j \leq x$:
 - $K[x,j] = \max\{ K[x,j], K[x - w_j, j-1] + v_j \}$ Case 2
 - **return** $K[W,n]$

Running time $O(nW)$

Example

	x=0	x=1	x=2	x=3
j=0	0	0	0	0
j=1	0			
j=2	0			
j=3	0			



current entry

relevant previous entry

Item:



Weight:

1

2

3

Value:

1

4

6

Capacity: 3

• Zero-One-Knapsack(W, n, w, v):

• $K[x,0] = 0$ for all $x = 0, \dots, W$

• $K[0,i] = 0$ for all $i = 0, \dots, n$

• for $x = 1, \dots, W$:

• for $j = 1, \dots, n$:

• $K[x,j] = K[x, j-1]$

• if $W_j \leq x$:

• $K[x,j] = \max\{$
 $K[x,j],$

$K[x - w_j, j-1] + v_j \}$

• return $K[W,n]$

Example

	x=0	x=1	x=2	x=3
j=0	0	0	0	0
j=1	0	0		
j=2	0			
j=3	0			



current
entry

relevant
previous entry

Item:



Weight:

1

2

3

Value:

1

4

6

Capacity: 3

• Zero-One-Knapsack(W, n, w, v):

• $K[x,0] = 0$ for all $x = 0, \dots, W$

• $K[0,i] = 0$ for all $i = 0, \dots, n$

• for $x = 1, \dots, W$:

• for $j = 1, \dots, n$:

• $K[x,j] = K[x, j-1]$

• if $W_j \leq x$:

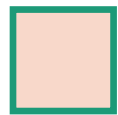
• $K[x,j] = \max\{$
 $K[x,j],$

$K[x - w_j, j-1] + v_j \}$

• return $K[W,n]$

Example

	x=0	x=1	x=2	x=3
j=0	0	0	0	0
j=1	0	1		
j=2	0			
j=3	0			



current entry



relevant previous entry

Item:



Weight:

1

Value:

1



2

4



3

6



Capacity: 3

• Zero-One-Knapsack(W, n, w, v):

• $K[x,0] = 0$ for all $x = 0, \dots, W$

• $K[0,i] = 0$ for all $i = 0, \dots, n$

• for $x = 1, \dots, W$:

• for $j = 1, \dots, n$:

• $K[x,j] = K[x, j-1]$







• if $W_j \leq x$:

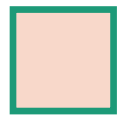
• $K[x,j] = \max\{$
 $K[x,j],$

$K[x - w_j, j-1] + v_j \}$

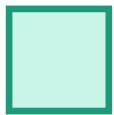
• return $K[W,n]$

Example

	x=0	x=1	x=2	x=3
j=0	0	0	0	0
 j=1	0	1 		
 j=2	0	1 		
  j=3	0			



current
entry



relevant
previous entry

Item:



Weight:

1

Value:

1



2

4



3

6



Capacity: 3

• Zero-One-Knapsack(W, n, w, v):

• $K[x,0] = 0$ for all $x = 0, \dots, W$

• $K[0,i] = 0$ for all $i = 0, \dots, n$

• for $x = 1, \dots, W$:

• for $j = 1, \dots, n$:

• $K[x,j] = K[x, j-1]$








• if $W_j \leq x$:

• $K[x,j] = \max\{$
 $K[x,j],$

$K[x - w_j, j-1] + v_j \}$

• return $K[W,n]$

Example

	x=0	x=1	x=2	x=3
j=0	0	0	0	0
 j=1	0	1 		
 j=2	0	1 		
  j=3	0	1 		



current
entry



relevant
previous entry

Item:



Weight:

1

Value:

1



2

4



3

6



Capacity: 3

• Zero-One-Knapsack(W, n, w, v):

• $K[x,0] = 0$ for all $x = 0, \dots, W$

• $K[0,i] = 0$ for all $i = 0, \dots, n$

• for $x = 1, \dots, W$:

• for $j = 1, \dots, n$:

• $K[x,j] = K[x, j-1]$








• if $W_j \leq x$:

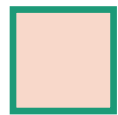
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$K[x - w_j, j-1] + v_j \}$

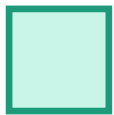
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Example

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j=0	0	0	0	0
 j=1	0	1 	0	
 j=2	0	1 		
  j=3	0	1 		



current
entry



relevant
previous entry

Item:



Weight:

1

Value:

1



2

4



3

6



Capacity: 3

• Zero-One-Knapsack(W, n, w, v):

• $K[x,0] = 0$ for all $x = 0, \dots, W$

• $K[0,i] = 0$ for all $i = 0, \dots, n$

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• for $j = 1, \dots, n$:

• $K[x,j] = K[x, j-1]$









• if $W_j \leq x$:

• $K[x,j] = \max\{$
 $K[x,j],$

$K[x - w_j, j-1] + v_j \}$

• return $K[W,n]$

Example

	x=0	x=1	x=2	x=3
j=0	0	0	0	0
 j=1	0	1 	1 	
 j=2	0	1 		
  j=3	0	1 		



current
entry



relevant
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relevant previous entry

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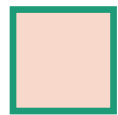
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• return $K[W,n]$

Example

	x=0	x=1	x=2	x=3
j=0	0	0	0	0
 j=1	0	1 	1 	
  j=2	0	1 	4 	
   j=3	0	1 		



current
entry



relevant
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j=2	0	1 	4 	
j=3	0	1 	4 	



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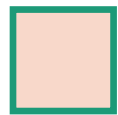
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Example

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j=0	0	0	0	0
j=1	0	1 	1 	0
j=2	0	1 	4 	
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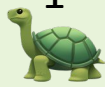






• if $W_j \leq x$:

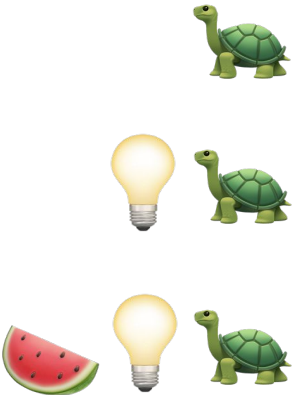
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Example

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j=0	0	0	0	0
j=1	0	1 	1 	1 
j=2	0	1 	4 	
j=3	0	1 	4 	



current entry



relevant previous entry

Item:



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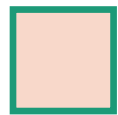
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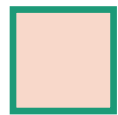
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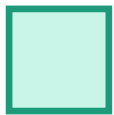
• return $K[W,n]$

Example

	x=0	x=1	x=2	x=3
j=0	0	0	0	0
j=1	0	1 	1 	1 
j=2	0	1 	4 	5  
j=3	0	1 	4 	



current
entry



relevant
previous entry

Item:



1

Weight:

Value:

1



2

4



3

6



Capacity: 3

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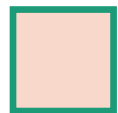
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j=1	0	1 	1 	1 
j=2	0	1 	4 	5  
j=3	0	1 	4 	5  



current entry



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1

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2

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3

1

4

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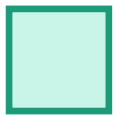
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Example

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j=0	0	0	0	0
j=1	0	1 	1 	1 
j=2	0	1 	4 	5  
j=3	0	1 	4 	6 



current
entry



relevant
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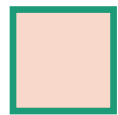
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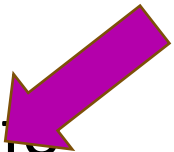
• $K[x,j] = \max\{$
 $K[x,j],$
 $K[x - w_j, j-1] + v_j \}$

• return $K[W,n]$

So the optimal solution is to put one watermelon in your knapsack!

Recipe for applying Dynamic Programming

- **Step 1:** Identify optimal substructure.
- **Step 2:** Find a recursive formulation for the value of the optimal solution.
- **Step 3:** Use dynamic programming to find the value of the optimal solution.
- **Step 4:** If needed, keep track of some additional info so that the algorithm from Step 3 can find the actual solution.
- **Step 5:** If needed, code this up like a reasonable person.



What have we learned?

- We can solve 0/1 knapsack in time $O(nW)$.
 - If there are n items and our knapsack has capacity W .
- We again went through the steps to create DP solution:
 - We kept a two-dimensional table, creating smaller problems by restricting the set of allowable items.

Question

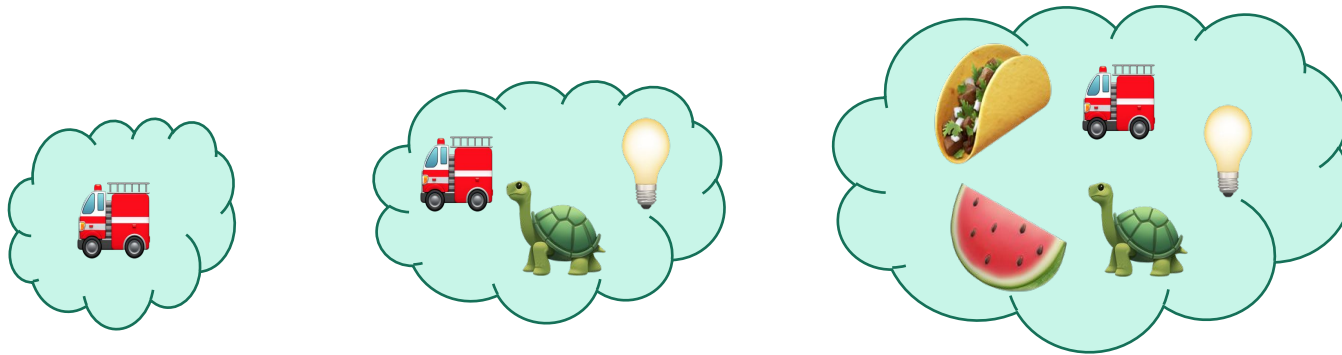
- How did we know which substructure to use in which variant of knapsack?

Answer in retrospect:

This one made sense for unbounded knapsack because it doesn't have any memory of what items have been used.



VS.



In 0/1 knapsack, we can only use each item once, so it makes sense to leave out one item at a time.

Operational Answer: try some stuff, see what works!