### 0-1 Knapsack Problem

**0-1 Knapsack Problem:**
Given items $T_1, T_2, T_3, ..., T_n$ with associated weights $w_1, w_2, w_3, ..., w_n$ and benefit values $b_1, b_2, b_3, ..., b_n$, how can we maximize the total benefit subject to an absolute weight limitation $W$?

$$S = \{ \text{maximize } \sum b_i \text{ subject to } \sum w_i \leq W. \}$$

A brute-force solution to this problem is to enumerate all possible subsets of $T$ and select the one with the highest total benefit from among all those whose weight is $\leq W$.

The running time of this brute-force approach is $O(2^n)$.

### 0-1 Knapsack Solution Counterexample

**Given the following (benefit, weight) pairs**

$T_1, T_2, T_3, T_4, T_5$ and $W = 20$

- $(3,2)$
- $(5,4)$
- $(8,5)$
- $(4,3)$
- $(10,9)$

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<thead>
<tr>
<th>Benefit</th>
<th>Weight</th>
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<td>3</td>
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Best solution with the first 4 items: overall benefit $= 14$

Best solution with the first 5 items: overall benefit $= 26$

### Algorithm 0-1 Knapsack

**Input:** Set $T$ of $n$ items, such that item $i$ has positive benefit $b_i$ and positive integer weight $w_i$; positive integer for maximum total weight $W$.

**Output:** For $w = 0, ..., W$, maximum benefit $B[w]$ of a subset of $T$ with total weight $w$.

**0-1Knapsack (T, W)**
1. for $w = 0$ to $W$ do
2. $B[w] = 0$
3. for $k = 1$ to $n$ do
4. for $w = W$ downto $w_i$ do
5. if $B[w - w_i] + b_i > B[w]$ then

### 0-1 Knapsack Algorithm Execution

**Given the following (benefit, weight) pairs**

$T_1, T_2, T_3, T_4, T_5$ and $W = 20$

$$(3,2), (5,4), (8,5), (4,3) \text{ and } (10,9)$$

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<th>$B[w]$</th>
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$B[k, w] = \begin{cases} B[k-1, w] \text{ if } w_i \leq w \\ \max(B[k-1, w], B[k-1, w-w_i] + b_i) \text{ otherwise} \end{cases}$

The best subset of $T_k$ that has total weight $w$ is either the best subset of $T_{k-1}$ that has total weight $w$ or the best subset of $T_{k-1}$ that has total weight $w - w_i$ plus the item $k$.

This solution is simple (only 2 parameters, $k$ and $w$) and it satisfies the subproblem optimization condition. The problem $B[k, w]$ is built from $B[k-1, w]$ and possibly $B[k-1, w - w_i]$.

### 0-1 Knapsack Problem

**Suppose we use an approach like that used in the Floyd-Warshall APSPs algorithm:**
Define subproblems by using a parameter $k$ so that subproblem $k$ is the best way to fill the knapsack using only items from the set $T_1 ... T_k$.

Derive an equation that takes the best solution using only items from $T_{k-1}$ and considers how to add the item $k$ to that.

Unfortunately, we can find a counter-example to this approach that shows the global solution may actually contain a suboptimal subproblem solution.

### 0-1 Knapsack Problem

A better approach is to formulate each subproblem as that of computing $B[k, w]$, which is defined as the maximum total value of a subset of $T_k$ from among all those having total weight exactly $w$.

$$B[k, w] = \begin{cases} B[k-1, w] \text{ if } w_i > w \\ \max(B[k-1, w], B[k-1, w-w_i] + b_i) \text{ otherwise} \end{cases}$$

The best subset of $T_k$ that has total weight $w$ is either the best subset of $T_{k-1}$ that has total weight $w$ or the best subset of $T_{k-1}$ that has total weight $w - w_i$ plus the item $k$.

This solution is simple (only 2 parameters, $k$ and $w$) and it satisfies the subproblem optimization condition. The problem $B[k, w]$ is built from $B[k-1, w]$ and possibly $B[k-1, w - w_i]$.
Fractional Knapsack Problem

**Fractional Knapsack Problem:**

Given items $T_1, T_2, T_3, ..., T_n$ with associated weights $w_1, w_2, w_3, ..., w_n$ and benefit values $b_1, b_2, b_3, ..., b_n$, how can we maximize the total benefit subject to an absolute weight limitation $W$?

We can take an amount $x_i$ of each item $i$ such that $0 \leq x_i \leq w_i$ for each $i \in T$ and $\sum x_i \leq W$

The total benefit is determined by

$$\sum_{i \in T} b_i \left(\frac{x_i}{w_i}\right)$$

Note that in this problem, unlike the 0-1 Knapsack problem, we are allowed to use arbitrary fractions of an item.

Complexity of 0-1 Knapsack Solution

Running time is dominated by 2 nested for-loops, where the outer loop iterates $n$ times and the inner one iterates at most $W$ times.

The running time of this algorithm is in $O(nW)$

The running time of the 0-1 Knapsack algorithm depends on a parameter $W$ that, strictly speaking, is not proportional to the size of the input.

An algorithm whose running time depends on the magnitude of a number given in the input, not the size of the input set, is called a pseudo-polynomial time algorithm.

Fractional Knapsack Algorithm

**Input:** Set $T$ of items (such that each item has a positive benefit and a positive weight) and a positive maximum weight value $W$.

**Output:** Amount $x_i$ of each item that maximizes the total benefit while not exceeding the maximum total weight $W$.

**FractionalKnapsack (T, W)**

1. for each item $i$ in $T$ do
2. $x_i = 0$
3. $v_i = b_i/w_i$ (value index of item)
4. $w = 0$
5. while $w < W$ do
6. remove from $S$ item $i$ with highest $v_i$
7. $a = \min(w, W-w)$
8. $x_i = a$
9. $w = w + a$
Fractional Knapsack Algorithm

The running time of the Fractional Knapsack algorithm is \( O(n \log n) \). Why?

This algorithm uses a greedy approach, not a dynamic programming technique, to find the optimal solution. Which other algorithms did we study that use a greedy approach to find an optimal solution?

```
FractionalKnapsack (T, W)
1. for each item i in T do
2. \( x_i = 0 \)
3. \( v_i = b_i/w_i \) \{value index of item\}
4. \( w = 0 \)
5. while \( w < W \) do
6. remove from S item i with highest \( v_i \)
7. \( a = \min\{w_i, W-w\} \)
8. \( x_i = a \)
9. \( w = w + a \)
```

The running time of the Fractional Knapsack algorithm is \( O(n \log n) \).

Why?

This algorithm uses a greedy approach, not a dynamic programming technique, to find the optimal solution. Which other algorithms did we study that use a greedy approach to find an optimal solution?

Longest Common Subsequence Problem

**Problem:** Given \( X = (x_1, x_2, ..., x_m) \) and \( Y = (y_1, y_2, ..., y_n) \), find the longest common subsequence (LCS) of \( X \) and \( Y \).

**Example:** In genetics applications, the DNA of different organisms is compared to determine how “similar” the organisms are in an evolutionary sense.

\[ X = \langle ACGGTCCGAGTGCGGAAGCCGGCCGAA \rangle \]
\[ Y = \langle GTGTTCGGAAATGCGTATTGCTCTGTAAC \rangle \]

**LCS\_XY = \langle GTCGTCGGAAGCCGGCCGAA \rangle**

Note: characters in a subsequence must appear in the same order, but not necessarily consecutively.

**Brute-Force solution**
1. Enumerate all subsequences of \( X \) and check to see if they appear in \( Y \).
2. Each subsequence of \( X \) corresponds to a subset of the indices \( \{1, 2, ..., m\} \) of the elements of \( X \) – so there are \( 2^m \) subsequences of \( X \) (why?).

Clearly, this is not a good approach...time to try dynamic programming!

**Recursive Solution to LCS Problem**

The recursive LCS Formulation (\( |X| = m \) and \( |Y| = n \))

- Let \( C[i,j] \) = length of the LCS of \( X_i \) and \( Y_j \), where \( X_i = (x_1, x_2, ..., x_i) \) and \( Y_j = (y_1, y_2, ..., y_j) \).
- Our goal: \( C[m,n] \) (consider entire \( X \) and \( Y \))
- Basis \( C[i,0] = 0 \) and \( C[0,j] = 0 \)
- \( C[i,j] \) is calculated as shown below (two cases):
  - Case 1: \( x_i = y_j \) (\( i, j > 0 \))
    In this case, we can increase the size of the LCS of \( X_{i-1} \) and \( Y_{j-1} \) by appending \( x_i = y_j \) to the LCS of \( X_{i-1} \) and \( Y_{j-1} \), i.e.,
    \( C[i, j] = C[i-1, j-1] + 1 \)
  - Case 2: \( x_i \neq y_j \) (\( i, j > 0 \))
    In this case, we take the LCS to be the longer of the LCS of \( X_{i-1} \) and \( Y_{j} \), and the LCS of \( X_{i} \) and \( Y_{j-1} \), i.e.,
    \( C[i, j] = \max(C[i, j-1], C[i-1, j]) \)

**Top-Down DP Solution to LCS Problem**

- initialize \( C[i, 0] = C[0, j] = 0 \) for \( i = 0...m \) and \( j = 1...n \)
- initialize \( C[i, j] = \text{NIL} \) for \( i = 1...m \) and \( j = 1...n \)

**LCS(i, j)**
1. if \( C[i, j] = \text{NIL} \) return \( \text{NIL} \)
2. if \( x_i = y_j \) then
3. \( C[i, j] = \text{LCS}(i-1, j-1) + 1 \)
4. else
5. \( C[i, j] = \max( \text{LCS}(i, j-1), \text{LCS}(i-1, j)) \)
6. return \( C[i, j] \)

\( C \) is a two-dimensional array holding the solutions to subproblems.

**Bottom-Up DP Solution to LCS Problem**

We now want to figure out the “right” order to solve the subproblems. To compute \( C[i, j] \), we need the solutions to:

\( C[i-1, j-1] \) (when \( x_i = y_j \))
\( C[i-1, j] \) and \( C[i, j-1] \) (when \( x_i \neq y_j \))

If we fill in the \( C \) array in row major order, these dependencies will be satisfied.

\( \text{LCS}(X, Y) \)
1. \( m = \text{length}(X) \)
2. \( n = \text{length}(Y) \)
3. for \( i = 0 \) to \( m \) do \( C[i, 0] = 0 \)
4. for \( j = 0 \) to \( n \) do \( C[0, j] = 0 \)
5. for \( i = 1 \) to \( m \) do
6. for \( j = 1 \) to \( n \) do
7. if \( x_i = y_j \) then \( C[i, j] = C[i-1, j-1] + 1 \)
8. else \( C[i, j] = \max( C[i-1, j], C[i, j-1] ) \)
9. return \( C[m, n] \)
### Bottom-Up LCS DP

Running time = \(O(mn)\) (constant time for each entry in \(C[i, j]\))

This algorithm finds the value of the LCS, but how can we keep track of the characters in the LCS?

We need to keep track of which neighboring table entry gave the optimal solution to a subproblem (break ties arbitrarily).

- If \(x_i = y_j\), the answer came from the diagonal
- If \(x_i \neq y_j\), the answer came from above (or to the left).

### Bottom-Up DP Solution to LCS Problem

**Idea:**
- Save a pointer to find the path representing the longest common subsequence.
- Use a 2-dimensional array \(B[i, j]\) to store the pointers (initially this array will be all NIL).

```plaintext
LCS(X, Y)
1. m = length(X)
2. n = length(Y)
3. for i = 0 to m do C[i, 0] = 0
4. for j = 0 to n do C[0, j] = 0
5. for i = 1 to m do
6.   for j = 1 to n do
7.     if \(x_i = y_j\) then C[i, j] = C[i-1, j-1] + 1
8.     \(B[i, j] = "\uparrow"\)
9.   else
10.    if C[i - 1, j] >= C[i, j - 1] then
11.       C[i, j] = C[i - 1, j]
12.       \(B[i, j] = "\uparrow"\)
13.    else C[i, j] = C[i, j - 1]
14.       \(B[i, j] = "\leftarrow"\)

Constructing an LCS

**initial call:** Print-LCS(b, X, length[X], length[Y])

```plaintext
Print-LCS(b, X, i, j)
1. if i = 0 or j = 0 then return
2. if \(B[i, j] = "\uparrow"\) then
3.   print \(x_i\)
4.   else if \(B[i, j] = "\leftarrow"\) then
5.     Print-LCS(b, X, i-1, j)
6.   else
7.     Print-LCS(b, X, i, j-1)
```

### Complexity of LCS Algorithm

The running time of the LCS algorithm is \(O(mn)\), since each table entry takes \(O(1)\) time to compute.

The running time of the Print-LCS algorithm is \(O(m + n)\), since one of \(m\) or \(n\) is decremented in each stage of the recursion.