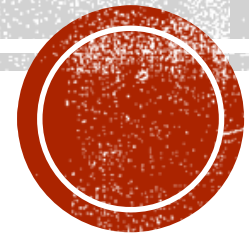
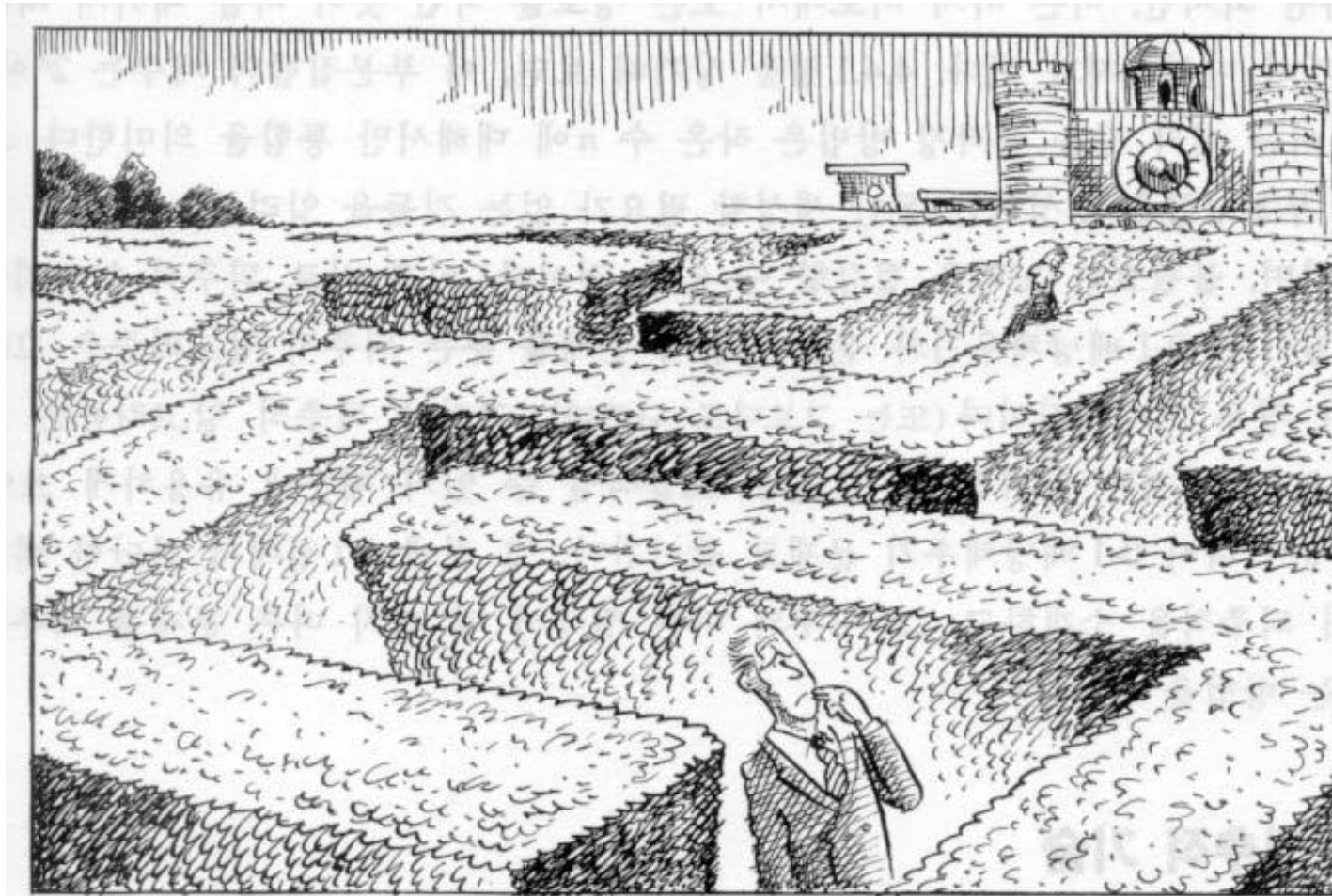


# Lect05. Backtracking





# Backtracking

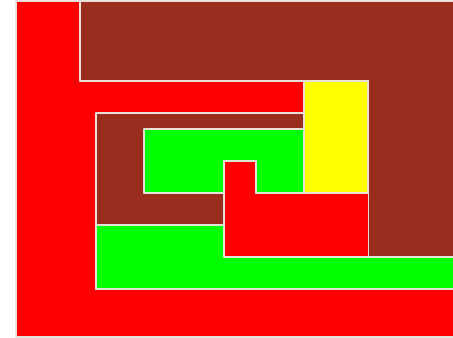
- Suppose you have to make a series of *decisions*, among various *choices*, where
  - You don't have enough information to know what to choose
  - Each decision leads to a new set of choices
  - Some sequence of choices (possibly more than one) may be a solution to your problem
- **Backtracking** is a methodical way of trying out various sequences of decisions, until you find one that “works”
- Backtracking is kind of like trying **to find your way out of a maze**.
- You try heading in one direction, and if you hit a dead end, you go back to the last intersection and try a different direction.
- In the worst case, you end up trying every possible passage in the maze.

# Solving a maze

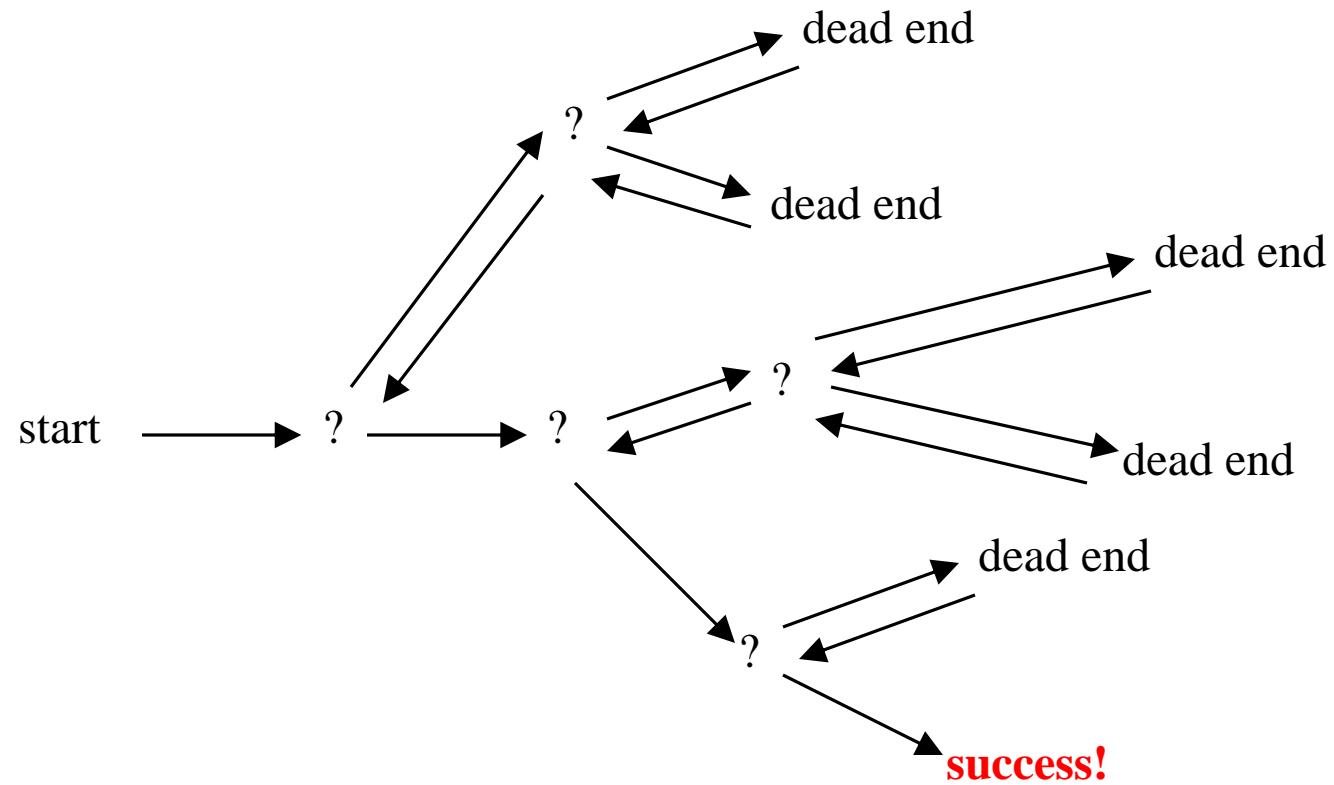
- Given a maze, find a path from start to finish
- At each intersection, you have to decide between three or fewer choices:
  - Go straight
  - Go left
  - Go right
- You don't have enough information to choose correctly
- Each choice leads to another set of choices
- One or more sequences of choices may (or may not) lead to a solution
- Many types of maze problem can be solved with backtracking

## Example : Coloring a map

- You wish to color a map with not more than four colors
  - red, yellow, green, blue
- Adjacent countries must be in different colors
- You don't have enough information to choose colors
- Each choice leads to another set of choices
- One or more sequences of choices may (or may not) lead to a solution
- Many coloring problems can be solved with backtracking



## Backtracking (animation)



# The Backtracking Technique

- **Backtracking** is used to solve problems in which a **sequence** of objects is selected from a specified **set** so that the sequence satisfies some **criterion**.
- **n-Queens Problem** : to position  $n$  queens on an  $n \times n$  chessboard so that no two queens threaten each other.
  - No two queens can be in the **same row, column, or diagonal**.
  - The sequence for the problem is the  $n$  positions in which the queens are placed.
  - The set for each choice is  $n^2$  possible positions on the chessboard, and the criterion is that no two queens can threaten each other.
  - The  $n$ -Queens problem is a generalization of its instance when  $n=8$ , which is the instance using a standard chessboard.
- **Depth-First Search** : find a spanning tree from a graph. A **preorder** tree traversal is a depth-first search of a tree. This means that the root is visited first, and a visit to a node is followed immediately by visits to all descendants of the node. Backtracking is a modified **depth-first search** of a tree.

# Depth-First Search

- Visit a root node, then visit all descendants of the node from left to right(= preorder tree traversal).

```
void depth_first_tree_search (node v) {  
    node u;  
    visit v;  
    for (each child u of v)  
        depth_first_tree_search(u)  
}
```



# DFS

- A depth-first search does not require that the children be visited in any particular order, but we will visit the **children** of a node from **left to right**.

# Example of DFS

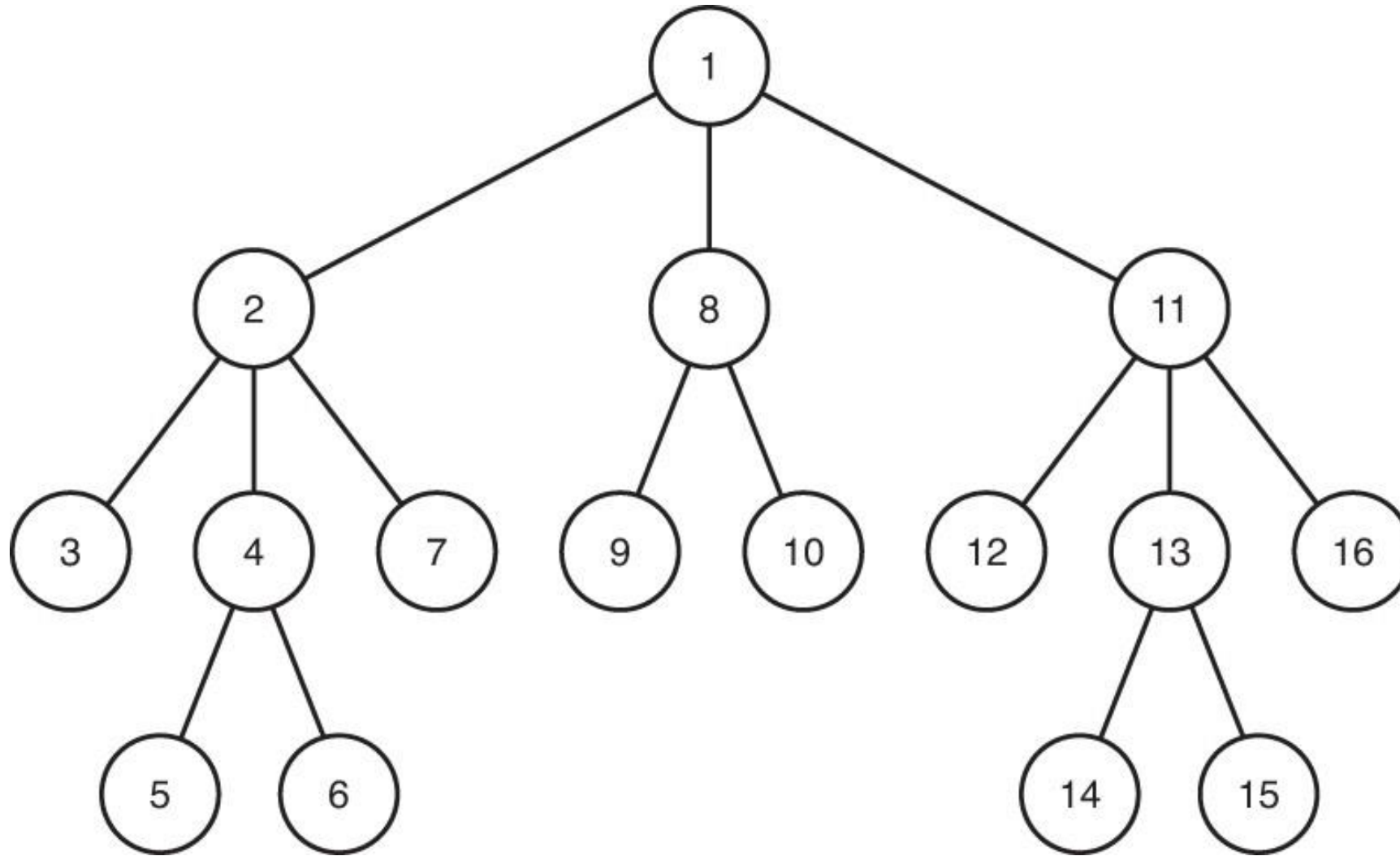


Figure 5.1: A tree with nodes numbered according to a depth-first search

# 4-Queen Problem

- To return to the ***n*-Queens problem** when ***n* = 4**, our task is **to position four queens on a 4 x 4 chessboard** so that no two queens threaten each other.
- We already know that no two queens can be in the same row.
- The instance can be solved by assigning each queen a different row and checking which column combinations yield solutions. In this case there are **4 x 4 x 4 x 4 = 256** candidate solutions.

# State space tree for 4-Queens Problem

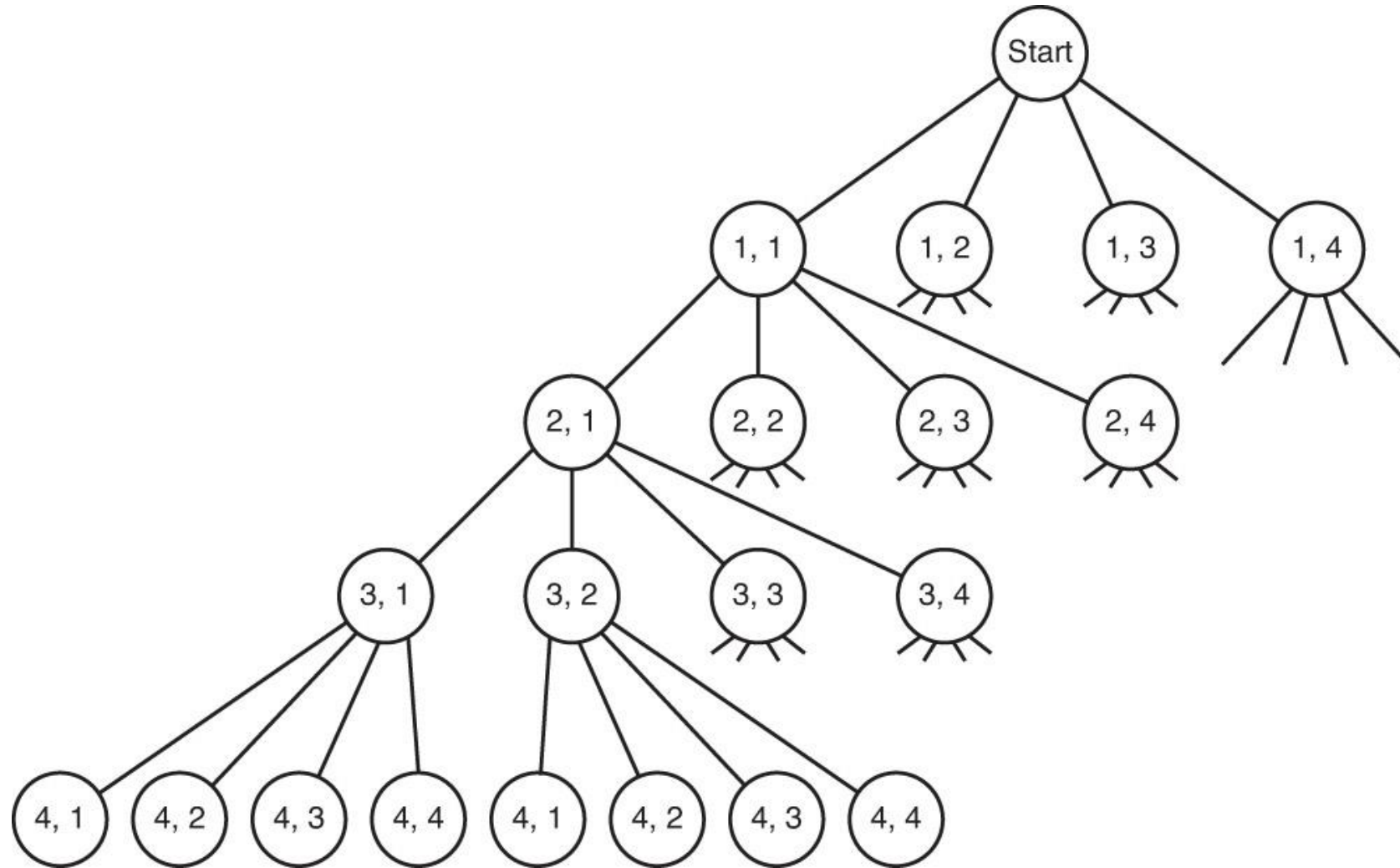


Figure 5.2: A portion of the state space tree for the instance of the  $n$ -Queens problem in which  $n=4$ .

# State Space Tree

- We can create the **candidate solutions by constructing a tree** in which the column choices for the first queen (in row 1) are stored in level-1 nodes in the tree, the column choices for the second queen are in level-2 nodes, and so on. **A path from the root to the leaf is a candidate solution.** This tree is called a **state space tree**.
- The procedure whereby, after determining that a node lead to nothing but dead ends, we **go back** (“**backtrack**”) to the node’s parent and proceed with the search on the next child.
- **Promising (node)** : the node can lead to a solution, otherwise, it is called as **nonpromising**.
- **Pruning** : check each node whether it is promising, if not, backtracking to the node’s parent.

**Backtracking is the procedure to pruned state space tree**

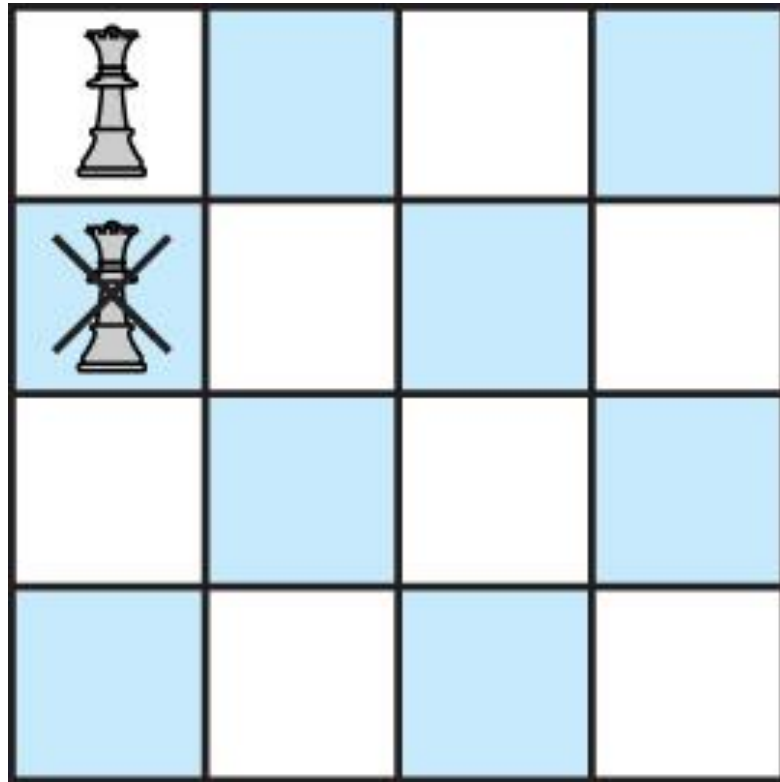
# Algorithm and Pruned State Space Tree

- **Backtracking** consists of doing a depth-first search of a **state space tree**,
  - **checking** whether **each node is promising**, and
  - if it is **nonpromising**, **backtracking**(going back) to the node's parent. This process is called **pruning**.
- A subtree consisting of the visited nodes is called the **pruned state space tree**.
- Backtracking Algorithm
  1. DFS of state space tree
  2. Checking each node is promising
  3. If it is non promising, backtracking to the node's parent and doing the search

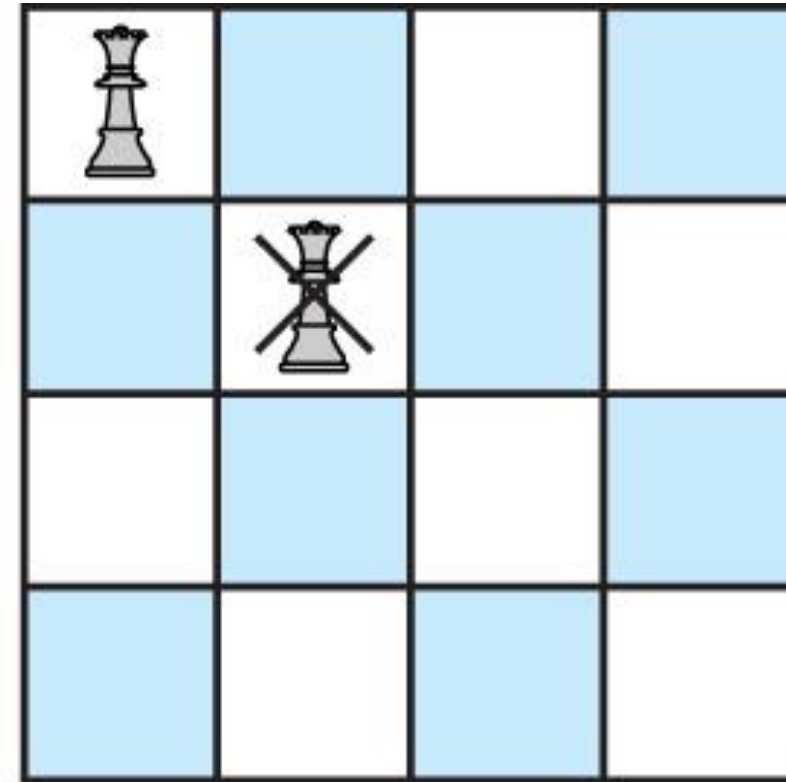
# Backtracking Algorithm

```
void checknode (node v) {  
    if (promising(v))  
        if (there is a solution at v)  
            write the solution;  
    else  
        for (each child u of v)  
            checknode(u);  
}
```

# Example



(a)



(b)

Figure 5.3: Diagram showing that if the first queen is placed in column 1, the second queen cannot be placed in column 1 (a) or column 2 (b).



# Pruned State Space Tree of 4-Queens Problem

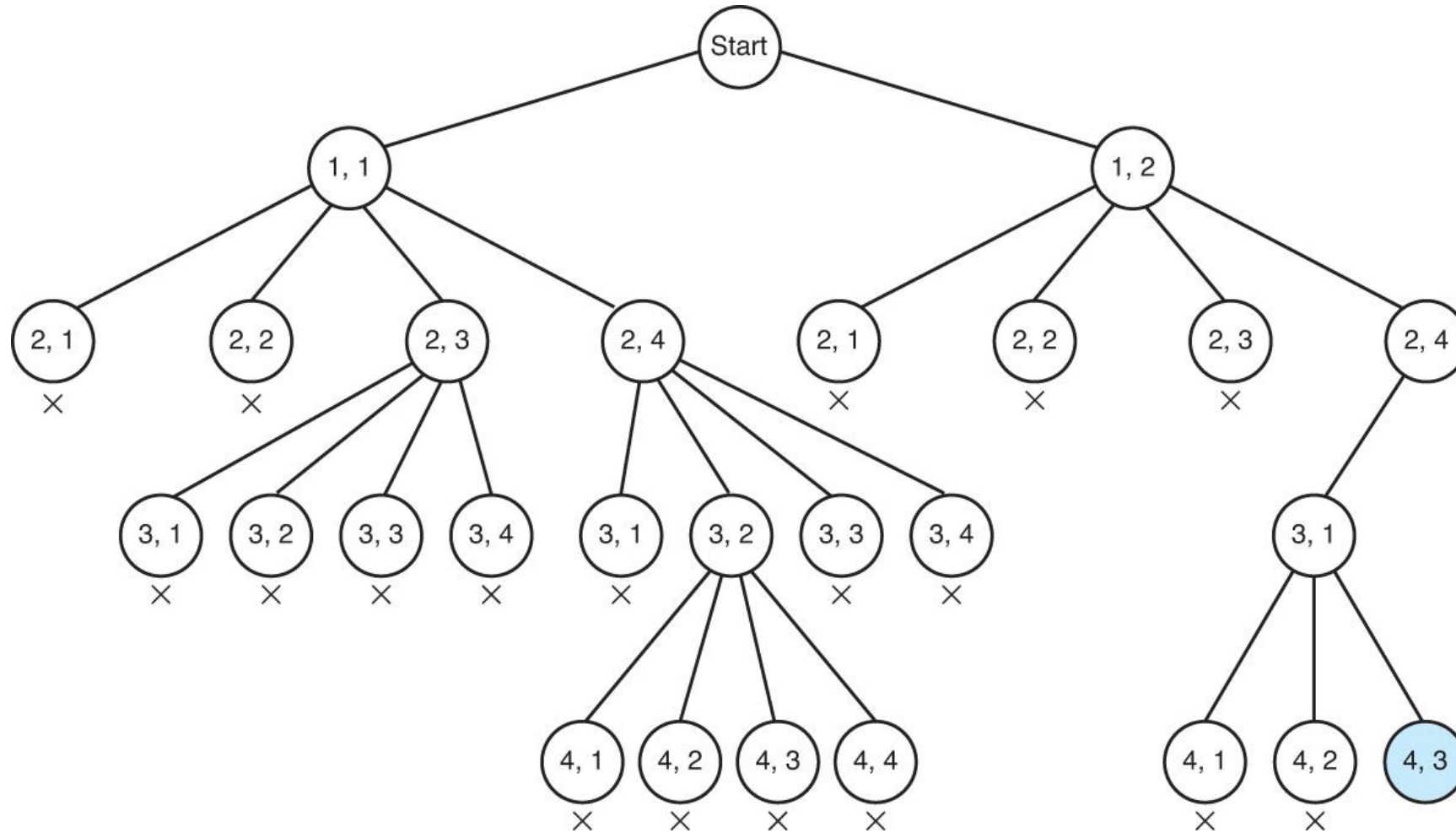


Figure 5.4: A portion of the pruned state space tree produced when backtracking is used to solve the instance of the  $n$ -Queens problems in which  $n=4$ .

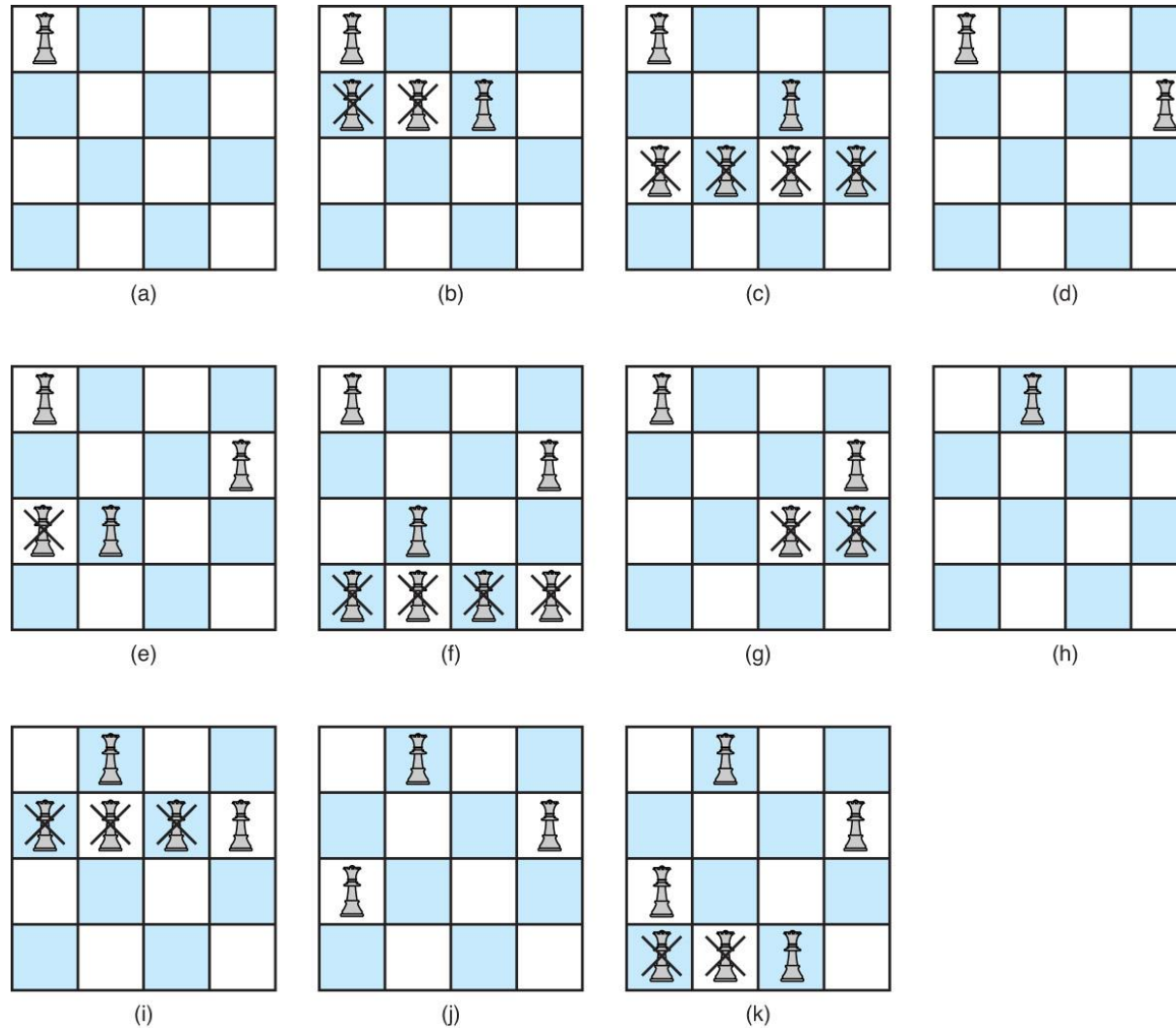


Figure 5.5: The actual chessboard positions that are tried when backtracking is used to solve the instance of the  $n$ -Queens problem in which  $n=4$ . Each nonpromising position is marked with a cross.

# DFS vs. Backtracking

- Comparison of # of visited nodes
  - DFS = 155 nodes
  - Backtracking = 27 nodes



# n-Queen Problem

# $n$ -Queens Problem

- In the  $n$ -Queens problem,
  - one way of eliminating a branch is if it would put two queens in the same column.
  - Another way of eliminating branches is to recognize that no two queens can be on the same diagonal.
- When we identify **a node as nonpromising**, we **go back to the parent** and try another branch.
- Eventually we will get to one or more leaf nodes and have several candidate sequences to evaluate.
- **Get to any leaf node : solution.**

# *n*-Queens Problem

- Let  $col(i)$  be the column where the queen in the  $i$ th row is located, then to check whether the queen in the  $k$ th row is in the same column, we need to check whether

$$col(i) = col(k)$$

- Now to check the diagonals, consider this example:

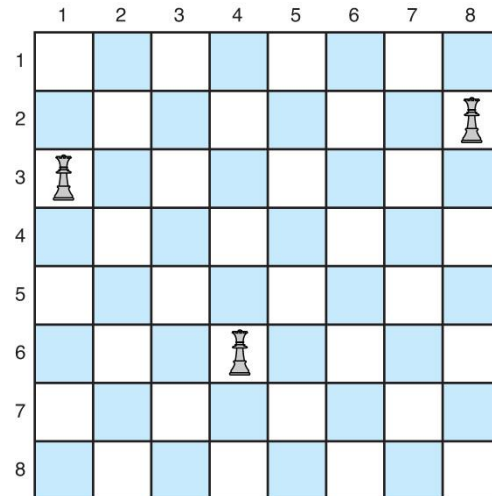
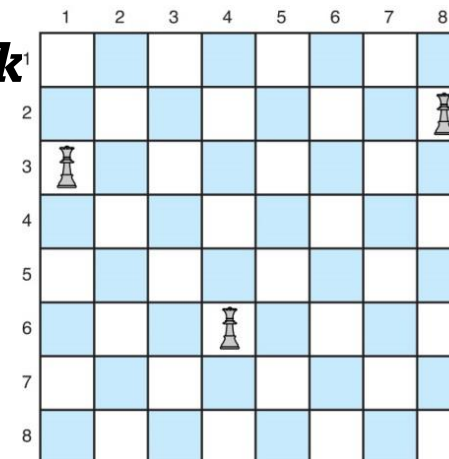


Figure 5.6: The queen in row 6 is being threatened in its left diagonal by the queen in row 3 and in its right diagonal by the queen in row 2.

# *n*-Queens Problem

- In this example, the queen in row 6 is being threatened in its left diagonal by the queen in row 3, and in its right diagonal by the queen in row 2. Notice that
$$\text{col}(6) - \text{col}(3) = 4 - 1 = 3 = 6 - 3.$$
- That is, for the queen threatening from the left, the difference in the columns is the same as the difference in the rows. Furthermore,
$$\text{col}(6) - \text{col}(2) = 4 - 8 = -4 = 2 - 6.$$
- That is, for the queen threatening from the right, the difference in the columns is the negative of the difference in the rows.
- Therefore, if the queen in the  $k$ th row threatens the queen in the  $i$ th row along one of its diagonals, then

$$\text{col}(i) - \text{col}(k) = i - k \text{ or } \text{col}(k) - \text{col}(i) = i - k$$



# $n$ -Queens Problem

- Criterion:

- In the chessboard, two queens **can not** be in the same row, column or diagonal.

- $col(i)$  : the column where the queen is in the  $i$ th row.

- In the same column:

- $col(i) = col(k)$

- 

- In the diagonal:

- $col(i) - col(k) = i - k$  or  $col(i) - col(k) = k - i$



## Algorithm 5.1 : $n$ -Queens Problem

- **Problem** : Position  $n$  queens on a chessboard so that no two are in the same **row**, **column**, or **diagonal**.
- **Inputs** : positive integer  $n$ .
- **Outputs** : **all possible ways  $n$  queens can be placed** on an  $n \times n$  chessboard so that no two queens threaten each other. Each output consists of an array of integers  $col$  indexed from 1 to  $n$ , where  $col[i]$  is the column where the queen in the  $i$ th row is placed.

```
void queens(index i){
    index j;
    if (promising(i))
        if(i==n)
            cout << col[1] through col[n];
        else
            for(j=1; j<=n; j++){ // See if queen in (i+1)st row can be
                col[i+1]=j;      // positioned in each of the n columns.
                queens(i+1);
            }
}
```

```
bool promising(index i){
    index k;
    bool switch;

    k=1;
    switch = true;
    while(k<i && switch){ //Check if any queen threatens queens in the ith row.
        if(col[i]==col[k] || abs(col[i]-col[k])==i-k)
            switch = false;
        k++;
    }
    return switch;
}
```

# Analysis of $n$ -Queens Problem

- To determine the number of nodes checked as a function of  $n$ , the number of queens. Upper bound on the # of nodes in the pruned state space tree by **counting the # of nodes in the entire state space tree**. Root (level 0) 1 node,  $n$  nodes at level 1,  $n^2$  nodes at level 2, ... and  $n^n$  nodes at level  $n$ . The total # of nodes

$$1 + n + n^2 + n^3 + \dots + n^n = \frac{n^{n+1} - 1}{n - 1}$$

$n = 8$ , the state space tree contains

$$\frac{8^9 - 1}{8 - 1} = 19,173,961 \text{ nodes.}$$

- This analysis is of limited value because the whole purpose of backtracking is to avoid checking many of these nodes.

# Analysis of $n$ -Queens Problem

- To obtain an **upper bound on the # of promising nodes** using no two queens can ever be placed in the same column..
- Ex.  $n = 8$ . The first queen can be positioned in any of the eight columns. Once the first queen is positioned, the second can be positioned in at most seven columns; once the second is positioned, the third can be positioned in at most six columns; and so on. There are at most

$$\begin{aligned} 1 + 8 + 8 \times 7 + 8 \times 7 \times 6 + \dots + 8! \\ = 109,601 \text{ promising nodes.} \end{aligned}$$

- Generalizing this result to an arbitrary  $n$ , there are at most

$$\begin{aligned} 1 + n + n(n-1) + n(n-1)(n-2) + \dots + n! \\ \text{promising nodes.} \end{aligned}$$

# Discussion

- This analysis does **not give us a very good idea** as to the efficiency of the algorithm for the following reasons:
  - Does not take into account the diagonal check in function promising. Therefore, there could be **far less promising nodes** than this upper bound.
  - Total # of nodes checked includes both promising and nonpromising nodes. The # of nonpromising nodes can be substantially greater than the # of promising nodes.

# Discussion

- A straightforward way to determine the efficiency of the algorithm is to **actually run** the algorithm on a computer and **count how many nodes are checked**.
- Actually running an algorithm to determine its efficiency is **not really an analysis**. The purpose of an analysis is to determine ahead of time whether an algorithm is efficient.

# Run Time

**Table 5.1: An illustration of how much checking is saved by backtracking in the  $n$ -Queens problem<sup>[\*]</sup>**

$n$	Number of Nodes Checked by Algorithm 1 <sup>[†]</sup>	Number of Candidate Solutions Checked by Algorithm 2 <sup>[‡]</sup>	Number of Nodes Checked by Backtracking	Number of Nodes Found Promising by Backtracking
4	341	24	61	17
8	19,173,961	40,320	15,721	2057
12	$9.73 \times 10^{12}$	$4.79 \times 10^8$	$1.01 \times 10^7$	$8.56 \times 10^5$
14	$1.20 \times 10^{16}$	$8.72 \times 10^{10}$	$3.78 \times 10^8$	$2.74 \times 10^7$

<sup>[\*]</sup>Entries indicate numbers of checks required to find all solutions.

<sup>[†]</sup>Algorithm 1 does a depth-first search of the state space tree without backtracking.

<sup>[‡]</sup>Algorithm 2 generates the  $n!$  candidate solutions that place each queen in a different row and column.

# Usage Tips for using Backtracking

- The time spent in the promising function is a consideration in any backtracking algorithm.
- That is, our goal is not strictly to cut down on the number of nodes checked; rather, it is to improve overall efficiency.
- A very **time-consuming promising function** could offset the advantage of checking fewer nodes.

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# Using a Monte Carlo Algorithm to Estimate the Efficiency of a Backtracking Algorithm



# Using a Monte Carlo Algorithm to Estimate the Efficiency of a Backtracking Algorithm

- The **state space tree** for a problem may contain an exponentially large or larger number of nodes.
- Given two instances with the same value of  $n$ , one of them may require that very few nodes be checked, whereas the other requires that the entire state space tree be checked.
- If we had an estimate of how efficiently a given backtracking algorithm would process a particular instance, we could decide whether using the algorithm on that instance was reasonable.
- We can **obtain such an estimate using a Monte Carlo algorithm.**

# Probabilistic Algorithm

- Monte Carlo algorithms are **probabilistic algorithms**.
  - By a **probabilistic algorithm**, we mean one in which the **next instruction executed** is sometimes **determined at random** according to some probability distribution.
    - Unless otherwise stated, we assume that **probability distribution** is the **uniform distribution**.
  - By a **deterministic algorithm**, we mean one in which this cannot happen.
- A Monte Carlo algorithm estimates the expected value of a random variable, defined on a sample space.
- **No guarantee** the estimate is closed to the true expected value, but the probability that it is close increases as the time available to the algorithm increases
- Generate a “**typical path**” in the tree consisting of the nodes the would be checked, then **estimate the number of nodes** in this tree from the path.

# Monte Carlo Algorithm

- Monte Carlo Algorithm requires the analyzed algorithm to satisfy the following **two conditions**:
  1. The **same promising function** must be used on all nodes at the **same level** in the state space tree.
  2. Nodes at the **same level** in the state space tree must **have the same number of children**.

# Monte Carlo Algorithm

1. Let  $m_0$  be the number of promising children of the root.
2. Randomly generate a promising node at level 1. Let  $m_1$  be the number of promising children of this node.
3. Randomly generate a promising child of the node obtained in the previous step. Let  $m_2$  be the number of promising children of this node. :
4. Randomly generate a promising child of the node obtained in the previous step. Let  $m_i$  be the number of promising children of this node.
5. This process continues until no promising children are found.

# Monte Carlo Algorithm

- Because we assume that nodes at the same level in the state space tree all have the same number of children,  $m_i$  is an estimate of the average number of promising children of nodes at level  $i$ . Let  
 $t_i$  = total # of children of a node at level  $i$ .
- Because all  $t_i$  children of a node are checked and only the  $m_i$  promising children have children that are checked, an estimate of the **total # of nodes checked by the backtracking algorithm** to find all solutions is given by

$$1 + t_0 + m_0 t_1 + m_0 m_1 t_2 + \cdots + m_0 m_1 \cdots m_{i-1} t_i + \cdots$$

## Algorithm 5.2 : Monte Carlo Estimate

□ **Problem** : Estimate the efficiency of a backtracking algorithm using a Monte Carlo algorithm.

**Inputs** : an **instance of the problem** that the backtracking algorithm solves.

**Output** : an **estimate of the number of nodes** in the pruned state space tree produced by the algorithm.

**int estimate** ( )

{ **node**  $v$ ;

**int**  $m$ ,  $mprod$ ,  $t$ ,  $numnodes$ ;

$v$  = root of state space tree;

$numnodes = 1$ ;

$m = 1$ ;

**while** (  $m \neq 0$  )

    {  $t$  = number of children of  $v$ ;

$mprod = mprod * m$ ;

$numnodes = numnodes + mprod * t$ ;

$m$  = number of promising  
      children of  $v$ ;

**if** (  $m \neq 0$  )

$v$  = randomly selected  
      promising child of  $v$ ;

    }

**return**  $numnodes$ ;

}

## Algorithm 5.3 : Estimate for Algorithm 5.1

❑ **Problem** : Estimate the efficiency of **Algorithm 5.1**.

**Inputs** : positive integer  $n$ .

**Output** : an **estimate of the number of nodes** in the pruned state space tree produced by the algorithm.

```
int estimate_n_queens (int  $n$ )
{
    index  $i, j, col[1..n]$ ;
    int  $m, mprod, numnodes$ ;
    set_of_index  $prom\_children$ ;
     $i = 0$ ;
     $numnodes = 1$ ;
     $m = 1$ ;
    while (  $m \neq 0 \ \&\& \ i \neq n$  )
        {
             $mprod = mprod * m$ ;
             $numnodes += mprod * t$ ;
             $i++$ ;
             $m = 0$ ;
             $prom\_children = \emptyset$ ;
```

```
        for ( $j = 1; j \leq n; j++$ )
            {
                 $col[i] = j$ ;
                if ( promising( $i$ ) )
                    {
                         $m++$ ;
                         $prom\_children =$ 
                             $prom\_children \cup \{j\}$ ;
                    }
                if (  $m \neq 0$  )
                    {
                         $j =$  randomly selection from
                             $prom\_children$ ;
                         $col[i] = j$ ;
                    }
            }
        return  $numnodes$ ;
    }
```



# The Sum-of-Subsets Problem



# The Sum-of-Subsets Problem

In the knapsack problem, **if the profit of each item is the same**, then the goal is to **maximize the total weight** while not exceed  **$W$** .

So the thief might **first try to determine whether there was a set** whose total weight equaled  **$W$** .

The problem of determining such sets is called the **Sum-of-Subsets Problem**.

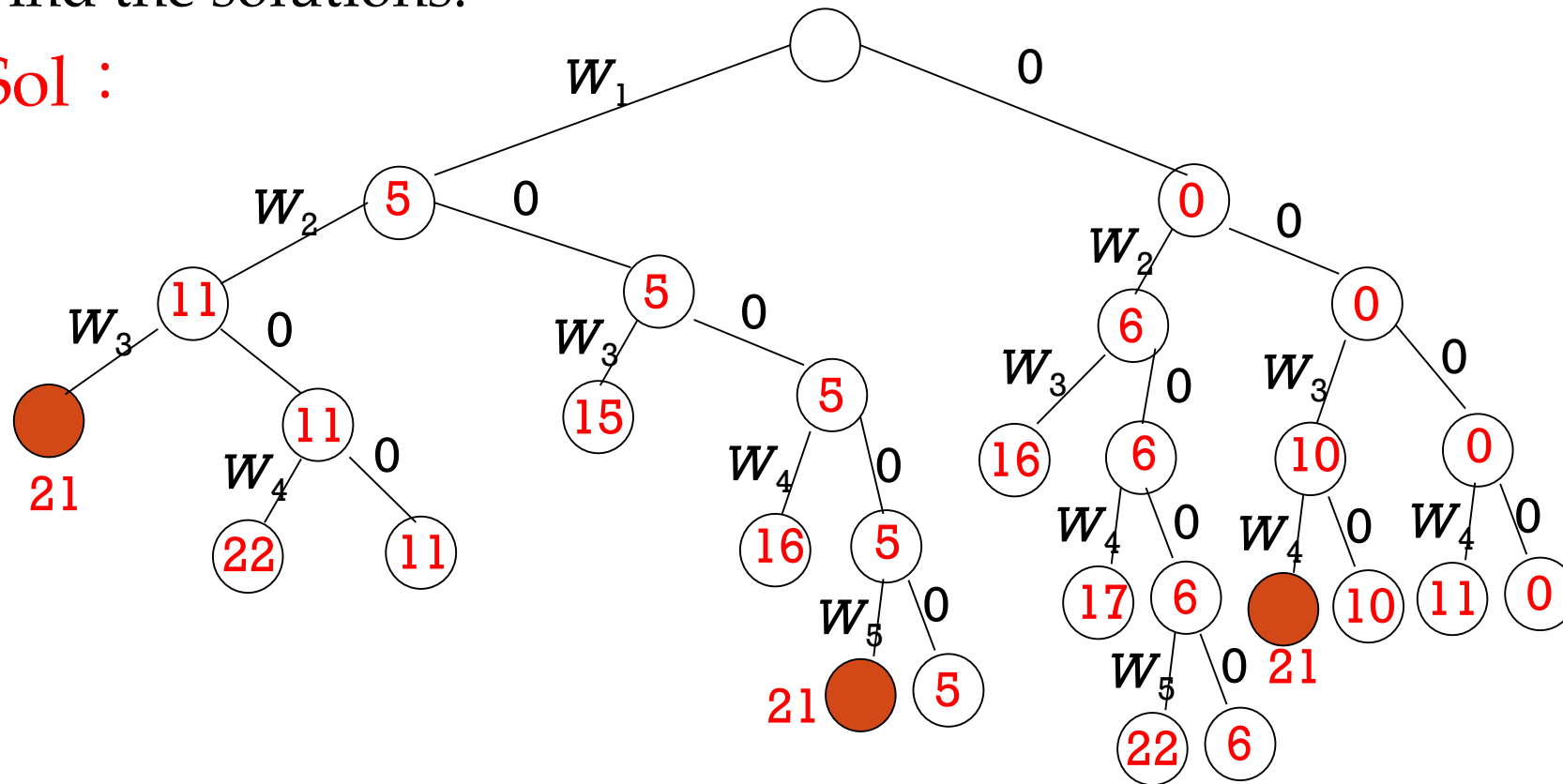
## Example 5.2

Suppose that  $n = 5$ ,  $W = 21$ , and

$w_1 = 5$ ,  $w_2 = 6$ ,  $w_3 = 10$ ,  $w_4 = 11$ , and  $w_5 = 16$ .

Find the solutions.

Sol :



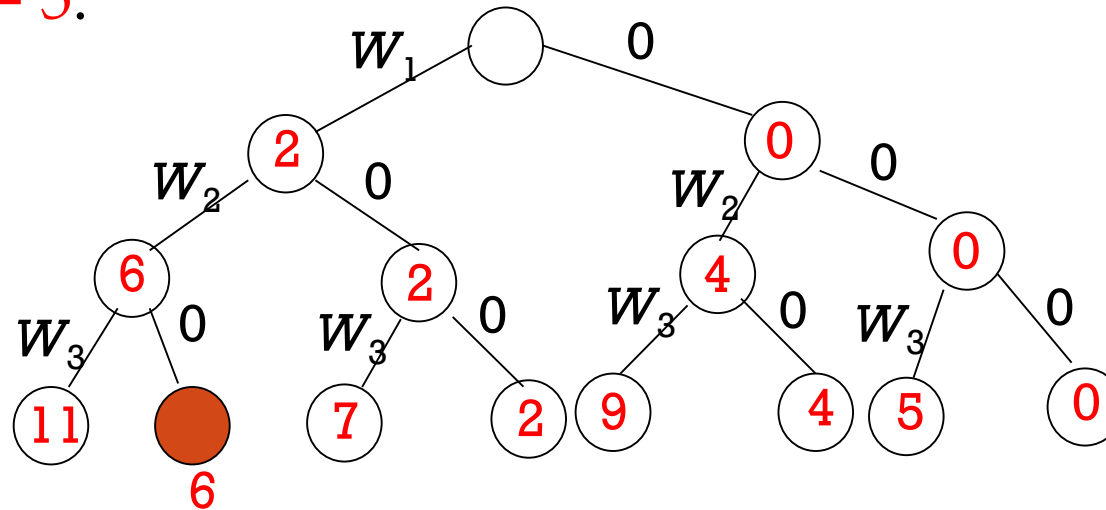
## Example 5.3

Suppose that  $n = 3$ ,  $W = 6$ , and

$$w_1 = 2, w_2 = 4, w_3 = 5.$$

Find the solutions.

Sol :



## Example 5.4

Suppose that  $n = 4$ ,  $W = 13$ , and

$$w_1 = 3, w_2 = 4, w_3 = 5, w_4 = 6.$$

Find the solutions.

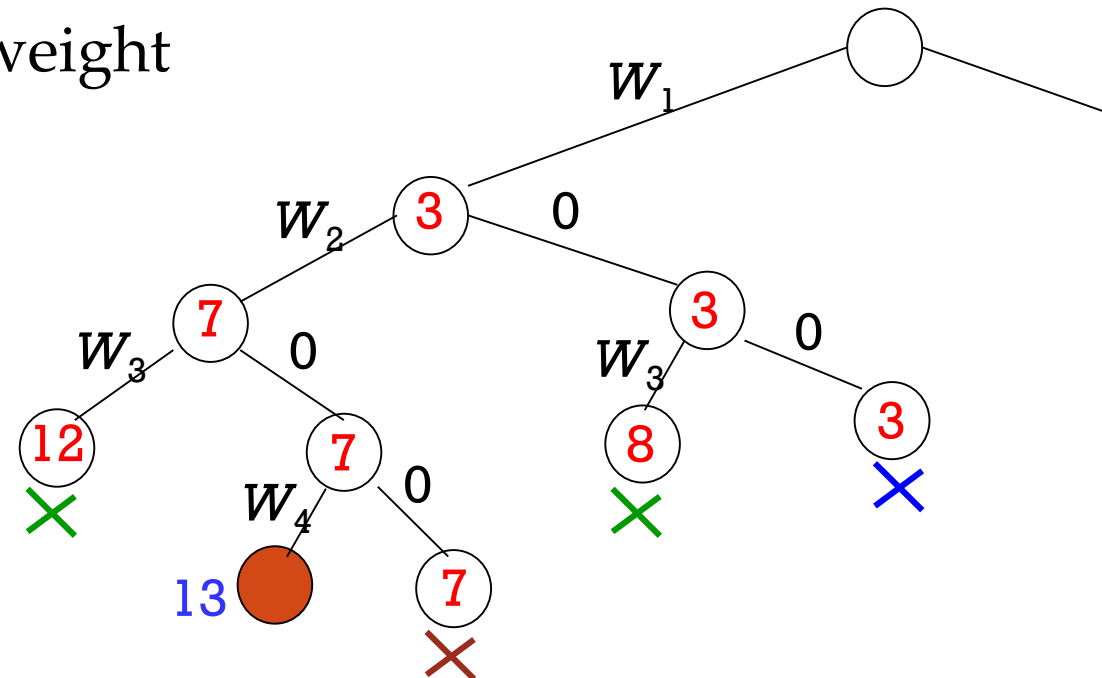
**Sol :** For the weights sorting in nondecreasing order,

a node is nonpromising if  $weight + w_{i+1} > W$

where  $weight$  is the total weight up to a node at level  $i$ .

$$weight + total_r < W$$

is also nonpromising.



## Algorithm 5.4

❑ **Problem** : Given  $n$  positive weights and a positive integer  $W$ , find all combinations of the weights that sum to  $W$ .

**Inputs** : positive integer  $n$ , sorted array  $w$  index from 1 to  $n$ , and a positive integer  $W$ .

**Output** : all combinations of the weights that sum to  $W$ .

```
void sum_of_subsets (index  $i$ , int  $weight$ , int  $total$ )
{ if (promising( $i$ ))
    if ( $weight = W$ )
        cout <<  $include[1]$  through  $include[i]$ ;
    else {  $include[i+1] = \text{"yes"}$ ;
        sum_of_subsets( $i+1$ ,  $weight+w[i+1]$ ,  $total-w[i+1]$ );
         $include[i+1] = \text{"no"}$ ;
        sum_of_subsets( $i+1$ ,  $weight$ ,  $total-w[i+1]$ ); }
}

bool promising (index  $i$ )
{ return ( $weight+total \geq W$ ) && ( $weight = W \parallel weight+w[i+1] \leq W$ ); }
```

# Analysis of Algorithm 5.4

## Worst-Case Time Complexity :

Number of nodes in the state space tree searched

$$1 + 2 + 2^2 + 2^3 + \cdots + 2^n = 2^{n+1} - 1$$

If  $\sum_{i=1}^{n-1} w_i < W$  and  $w_n = W$ ,

it needs an exponentially large number of nodes to be visited.

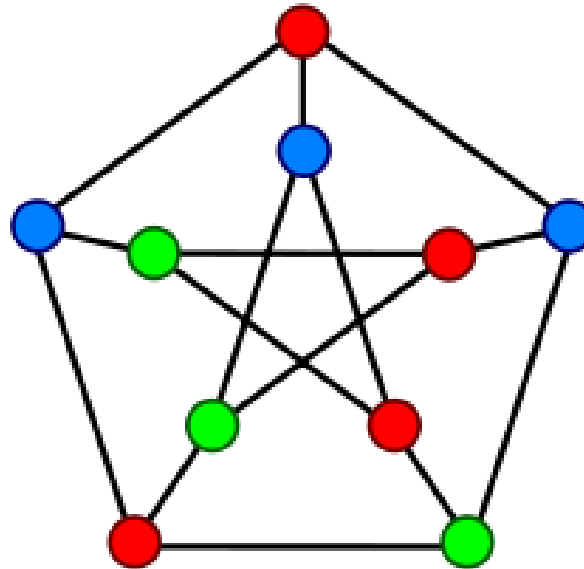


# Graph Coloring

# Graph Coloring

- **m-Coloring Problem:**

- Find all ways to color an undirected graph using at most  $m$  color, so that no two adjacent vertices are the same color.





# Planar Graph

- It can be drawn in a plane in such a way that no two edges cross each other.
- Each region in the map is represented by a vertex. If one region is adjacent to another region, we join their corresponding vertices by an edge.

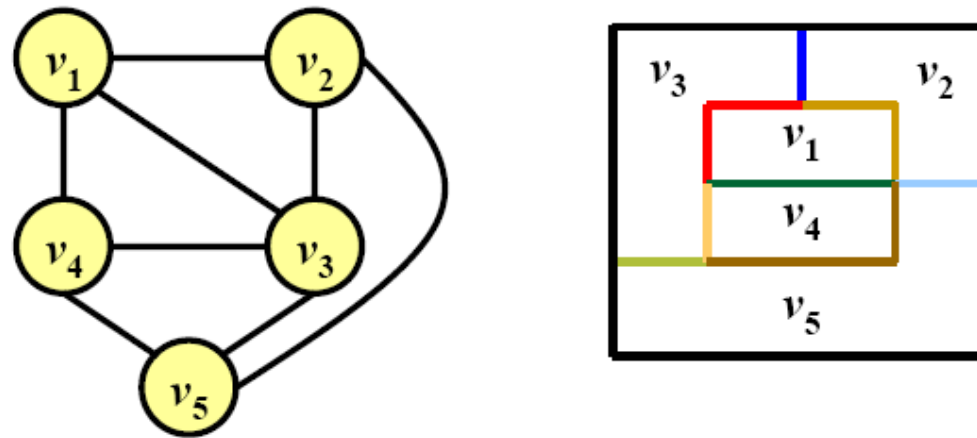


Figure 5.11: Map (top) and its planar graph representation (bottom)

## Example 5.5

Find all ways to color the 4 vertices graph.

Sol : If  $m = 2$ , no solution.

If  $m = 3$ ,  $(v_1: \text{color 1}), (v_2, v_4: \text{color 2}), (v_3: \text{color 3});$

$(v_1: \text{color 1}), (v_2, v_4: \text{color 3}), (v_3: \text{color 2});$

$(v_1: \text{color 2}), (v_2, v_4: \text{color 1}), (v_3: \text{color 3});$

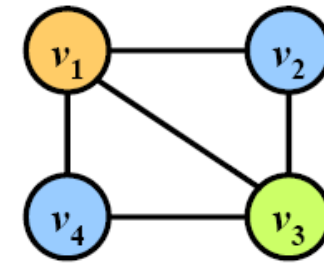
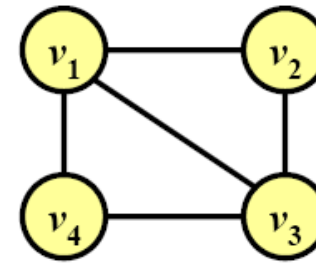
$(v_1: \text{color 2}), (v_2, v_4: \text{color 3}), (v_3: \text{color 1});$

$(v_1: \text{color 3}), (v_2, v_4: \text{color 1}), (v_3: \text{color 2});$

$(v_1: \text{color 3}), (v_2, v_4: \text{color 2}), (v_3: \text{color 1}).$

If  $m = 4$ ,  $(v_i: \text{color } i)$ , for  $i = 1$  to 4, total  $4! = 24$ .

So what we concerned is the case  $m < N$ , the number of vertices.



# Graph Coloring : State Space Tree

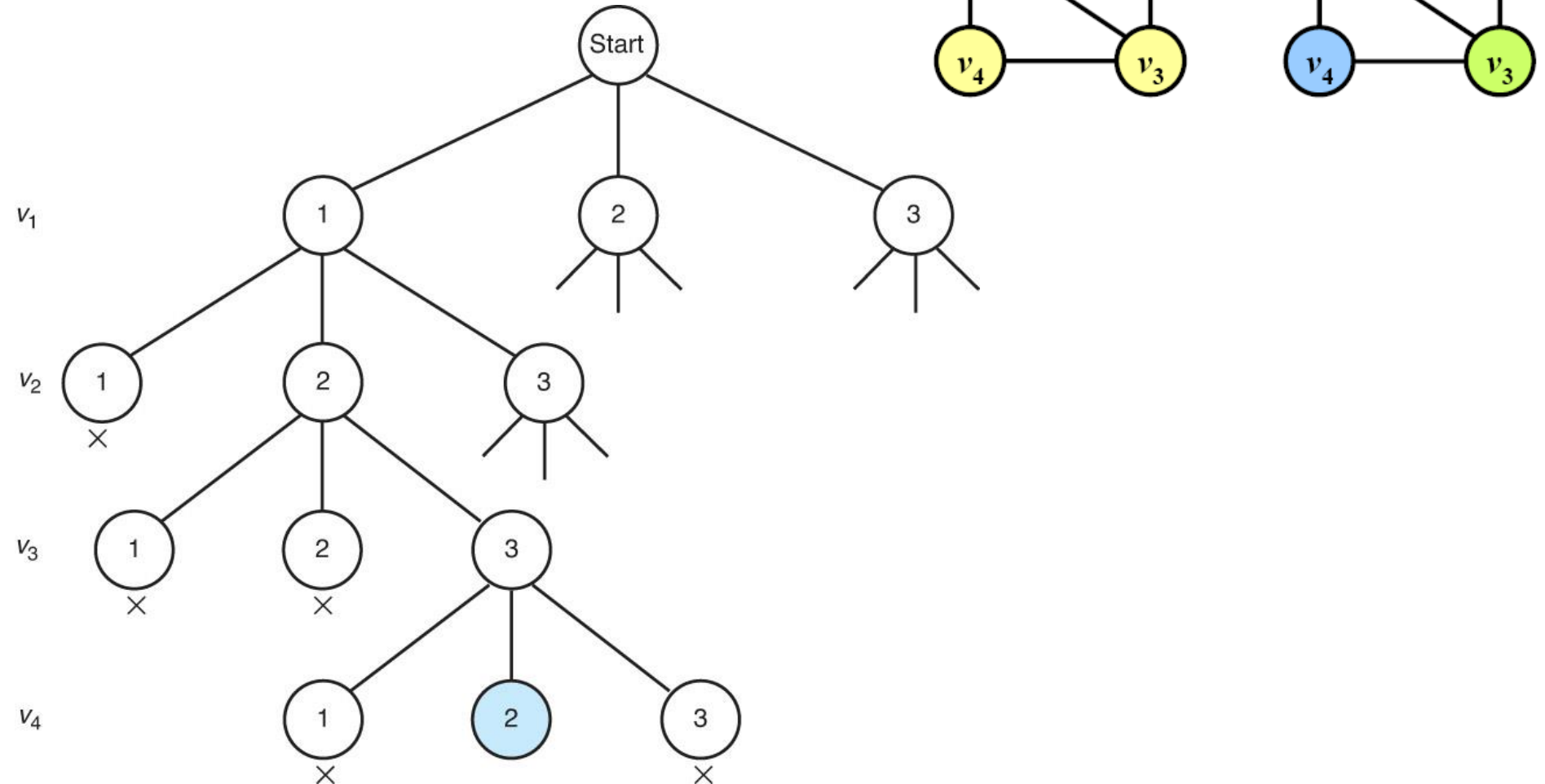


Figure 5.12: A portion of the pruned state space tree produced using backtracking to do a 3-coloring of the graph in figure 5.10.

# Algorithm 5.5

□ **Problem** : Find all ways for the *m*-Coloring Problem.

**Inputs** : positive integer *n*, *m*, and an adjacent matrix *W*.

**Output** : an array *vcolor*, where *vcolor*[*i*] is the color of vertex *i*.

```
void m_coloring (index i)
{ int color;
  if (promising(i));
  if (i=n);
    cout << vcolor[1] through vcolor[n];
  else
    for (color=1; color<=m; color++)
      { vcolor[i+1]=color;
        m_coloring(i+1); }
}
```

```
bool promising(index i)
{ index j;
  bool switch;
  switch = true;
  j = 1;
  while (j < i && switch)
    { if (W[i][j] &&
          vcolor[i]=vcolor[j])
      switch = false;
      j++; }
  return switch;
}
```

# Analysis of Algorithm 5.5

## Worst-Case Time Complexity :

Number of nodes in the state space tree searched

$$1 + m + m^2 + m^3 + \dots + m^n = \frac{m^{n+1} - 1}{m - 1}$$

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# The Hamiltonian Circuits Problem

# The Hamiltonian Circuits Problem

## Hamiltonian Circuit (Tour)

A path that starts at a given vertex, visits each vertex in the graph exactly once, and ends at the starting vertex.

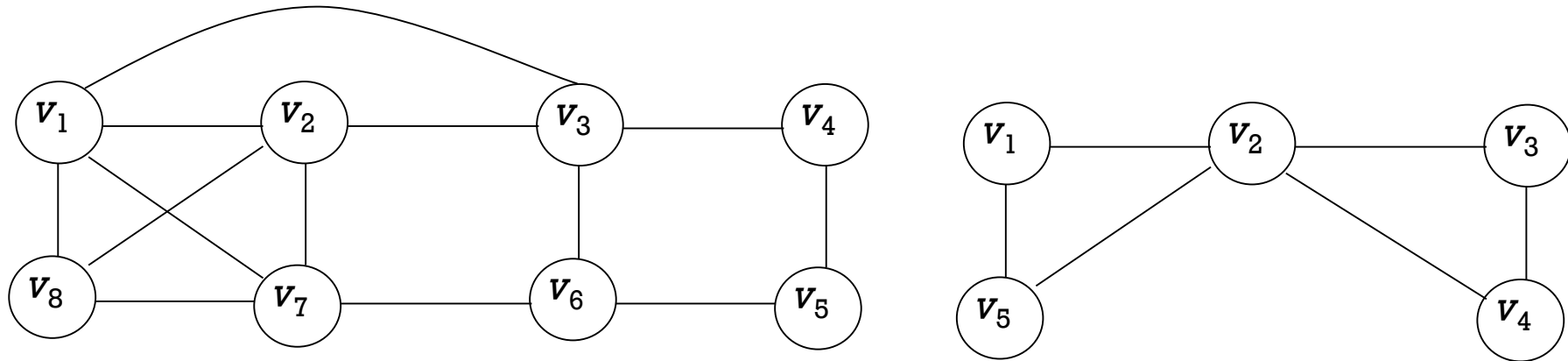


Figure 5.13: The graph in (a) contains the Hamiltonian Circuit; the graph in (b) contains no Hamiltonian Circuit.

# State Space Tree

Put the starting vertex at **level 0** in the tree; call it the **zeroth vertex** on the path.

At **level 1**, consider each vertex other than the starting vertex as the **first vertex** after the starting one.

At **level 2**, consider each of these same vertices as the **second vertex**, and so on.

Finally, at **level  $n-1$** , consider each of these same vertices as the  **$(n-1)$ st vertex**.



# Backtrack in the State Space Tree

1. The  $i$ th vertex on the path must be adjacent to the  $(i-1)$ st vertex on the path.
2. The  $(n-1)$ st vertex must be adjacent to the 0th vertex (the starting one).
3. The  $i$ th vertex cannot be one of the first  $(i-1)$  vertices.

## Algorithm 5.6

❑ **Problem** : Find all Hamiltonian Circuits for the graph.

**Inputs** : an undirected graph with  $n$  vertices, and an adjacency matrix  $W$ .

**Output** : an array *vindex*, where *vindex*[ $i$ ] is the index of the  $i$ -th vertex on the path.

```
void hamiltonian (index  $i$ )
{ index  $j$ ;
  if (promising( $i$ ))
    if ( $I = n-1$ );
      cout << vindex[0] through
          vindex[ $n-1$ ];
    else
      for ( $j = 2; j \leq n; j++$ )
        { vindex[ $i+1$ ] =  $j$ ;
          hamiltonian( $i+1$ ); }
}
```

```
bool promising(index  $i$ )
{ index  $j$ ;    bool switch;
  if ( $i=n-1 \ \&\& \ ! \ W[\textit{vindex}[n-1]][\textit{vindex}[0]]$ );
    switch = false;
  else if ( $i>0 \ \&\& \ ! \ W[\textit{vindex}[i-1]][\textit{vindex}[i]]$ );
    switch = false;
  else { switch = true;
         $j = 1$ ;
        while ( $j < i \ \&\& \ \textit{switch}$ )
          { if (vindex[ $i$ ] = vindex[ $j$ ])
              switch = false;
             $j++$ ; } }
  return switch;
}
```

# Analysis of Algorithm 5.6

## Worst-Case Time Complexity :

Number of nodes in the state space tree searched

$$1 + (n-1) + (n-1)^2 + (n-1)^3 + \cdots + (n-1)^n = \frac{(n-1)^{n+1} - 1}{n-2}$$



# The 0-1 Knapsack Problem

# The 0-1 Knapsack Problem

## Backtracking for the 0-1 Knapsack Problem

```
void checknode (node v)  
{   node u;  
  
    if (value(v) is better than best)  
        best = value(v);  
    if (promising(v))  
        for (each child u of v)  
            checknode(u);  
}
```

# Nonpromising Nodes

*weight* : the sum of the weights of the items that have been included up to some node.  $\Rightarrow \text{weight} \geq W$

*profit* : the sum of the profits of the items included up to some node.

**Initialization:**  $\text{bound} = \text{profit}$ ,  $\text{totweight} = \text{weight}$

If  $\text{bound} \leq \text{maxprofit}$

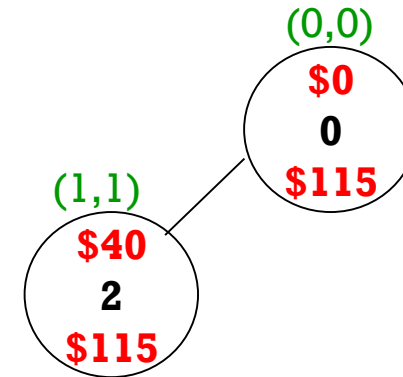
$$\text{totweight} = \text{weight} + \sum_{j=i+1}^{k-1} w_j \quad \Rightarrow \text{Nonpromising}$$

$$\text{bound} = \underbrace{\left( \text{profit} + \sum_{j=i+1}^{k-1} p_j \right)}_{\text{Profit from first } k-1 \text{ items taken}} + \underbrace{(W - \text{totweight})}_{\text{Capacity available for } k\text{th item}} \times \underbrace{\frac{p_k}{w_k}}_{\text{Profit per unit weight for } k\text{th item}}$$

## Example 5.6

Suppose that  $n = 4$ ,  $W=16$ , and we have the following

$i$	$p_i$	$w_i$	$p_i/w_i$
1	\$40	2	\$20
2	\$30	5	\$6
3	\$50	10	\$5
4	\$10	5	\$2



Find the solutions.

**Sol :**

1. Set  $maxprofit = 0$
2. Visit  $node(0,0)$   
 $profit = 0$   
 $weight = 0$   
 $bound = 0 + 40 + 30 + (16 - 7)50/10 = 115$
3. Visit  $node(1,1)$  :  $profit = 0 + 40 = 40$        $weight = 0 + 2 = 2$      $maxprofit = 40$   
 $bound = 40 + 30 + (16 - 7)50/10 = 115$

## Example 5.6 (Cont'd)

$n = 4, W=16,$

4. Visit **node(2,1)**

$profit = 40+30=70$

$weight = 2+5=7$

$maxprofit :$

$profit(70) > 40(maxprofit) \Rightarrow 70$

$bound = 70 + (16-7)50/10 = 115$

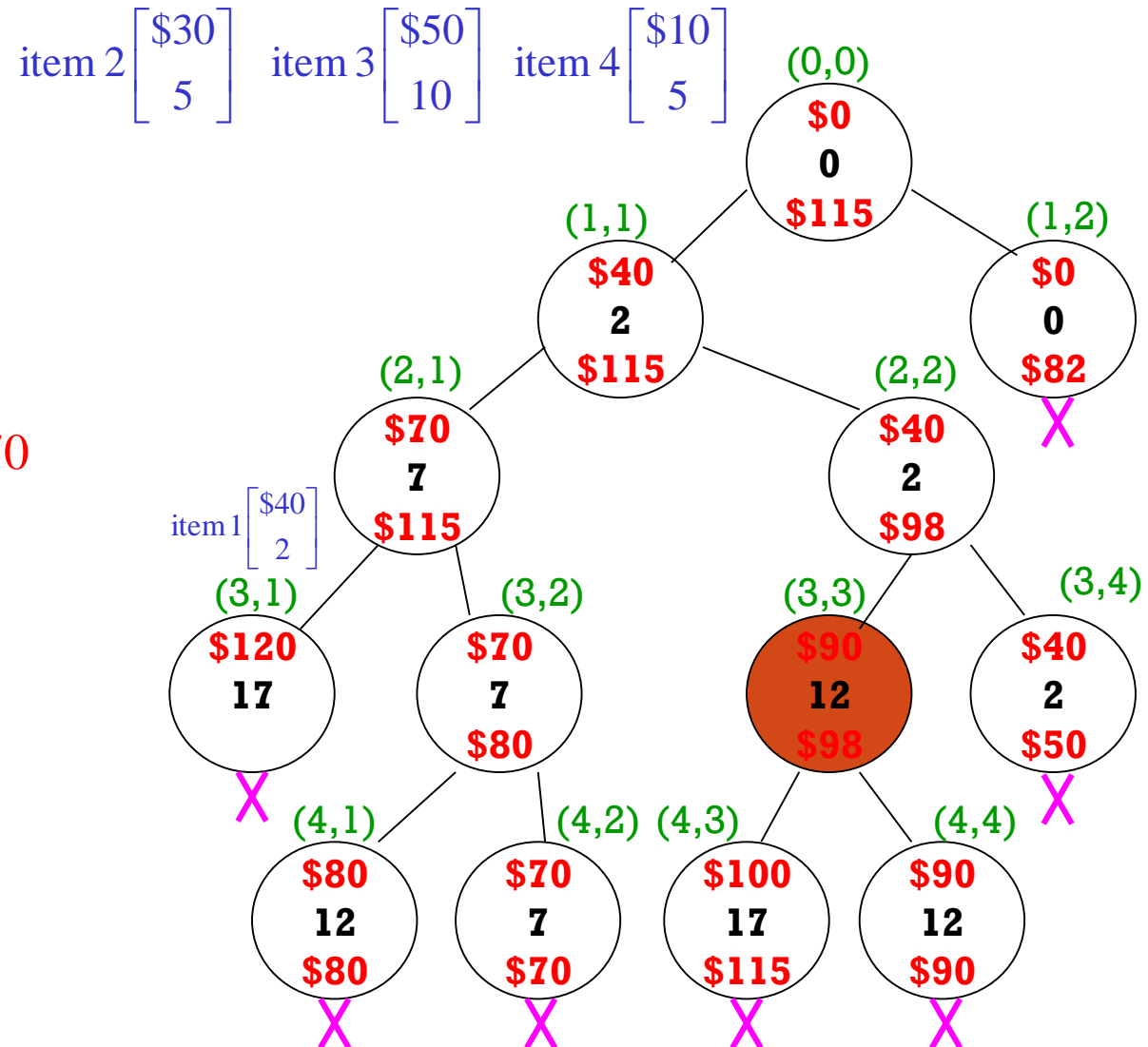
5. Visit **node (3,1)**

$profit = 70+50=120$

$weight = 7+10=17 > W : false$

$maxprofit : no change$

$bound : nonpromising-no computing$





## Algorithm 5.7

□ **Problem** : Given  $n$  positive weights and a positive integer  $W$ , find all combinations of the weights that sum to  $W$ .

**Inputs** : positive integer  $n$ , sorted array  $w$  index from 1 to  $n$ , and a positive integer  $W$ .

**Output** : all combinations of the weights that sum to  $W$ .

```
void knapsack (index  $i$ , int  $profit$ , int  $weight$ )
{ if ( $weight \leq W$  &&  $profit > maxprofit$ )
    {  $maxprofit = profit$ ;
       $numbest = i$  ;
       $bestset = include$ ; }
  if (promising( $i$ ))
  {  $include[i+1] = \text{"yes"}$ ;
    knapsack( $i+1$ ,  $profit+p[i+1]$ ,  $weight+w[i+1]$ );
     $include[i+1] = \text{"no"}$ ;
    knapsack( $i+1$ ,  $profit$ ,  $weight$ ); } }
```

## Algorithm 5.7

```
bool promising (index i)
{
    index j, k;
    int totweight;
    float bound;
    if (weight >= W)
        return false;
    else { j = i + 1;
        bound = profit ;
        totweight = weight;
        while (j <= n && totweight+w[j] <= W)
            { totweight = totweight + w[j];
              bound = bound + p[j];
              j ++; }
        k = j;
        if (k <= n)
            bound = bound + (W−totweight)*p[k]/w[k];
        return bound > maxprofit; } }
```