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www.linkedin.com/in/tigran-hayrapetyan-cs/

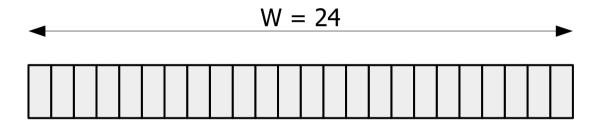
# Knapsack problem

prerequisites:

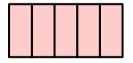
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Let's start this time from problem definition.

We have a knapsack of capacity **W**:



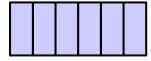
And we have several items, each having its weight w[i], and bonus b[i]:



$$w_1 = 5, b_1 = 11$$



$$w_2 = 3, b_2 = 4$$



$$w_3 = 6$$
,  $b_3 = 12$ 

Our task is to place some items in the knapsack in such a way that:

$$\sum w_i \leq W$$

$$\sum b_i = B \rightarrow max$$

This two constraints have guite natural meaning:

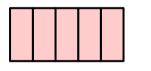
- First means that all the picked items should fit in the knapsack,
- Second means that we want to take with ourselves as larger bonus as possible.

Let's try to figure out solution for the presented example.

#### **Try 1**:

$$\mathbf{W} = 24$$

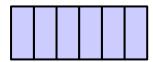
$$\mathbf{B} = \mathbf{4} \times \mathbf{b_1} = \mathbf{44}$$



$$w_1 = 5, b_1 = 11$$



$$w_2 = 3, b_2 = 4$$

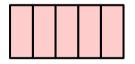


$$w_3 = 6$$
,  $b_3 = 12$ 



#### **Try 2:**

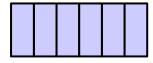
$$B = 4*b_1 + b_2 =$$
= 44 + 4 =
= 48



$$\mathbf{w}_{1} = \mathbf{5}, \, \mathbf{b}_{1} = \mathbf{11}$$



$$w_2 = 3, b_2 = 4$$



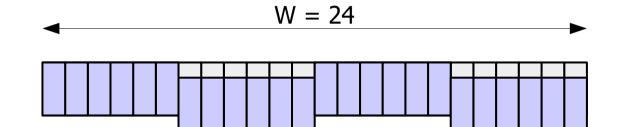
$$w_3 = 6$$
,  $b_3 = 12$ 



#### **Try 3:**



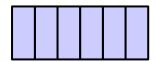
$$B = 4*b_3 = 48$$



$$w_1 = 5, b_1 = 11$$



$$w_2 = 3, b_2 = 4$$

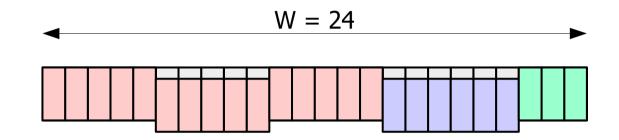


$$w_3 = 6$$
,  $b_3 = 12$ 



#### **Try 4:**

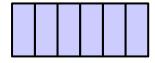
$$B = = 3*b1 + b3 + b2= 33 + 12 + 4= 49$$



$$\mathbf{w}_{1} = \mathbf{5}, \, \mathbf{b}_{1} = \mathbf{11}$$



$$w_2 = 3, b_2 = 4$$



$$w_3 = 6$$
,  $b_3 = 12$ 

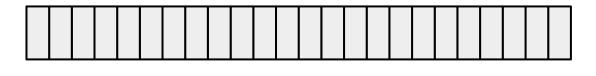


## Usage

There are many practical applications of the knapsack problem:

#### **Usage 1 – time scheduling:**

- We have some time allocated, and <u>tasks</u> which can be done during it,
- Each task has its <u>duration</u>, and <u>benefit</u> that we will receive, if completed.
- We need to do those tasks, which will give us <u>maximal benefit</u>.



## Usage

#### **Usage 2 – packaging:**

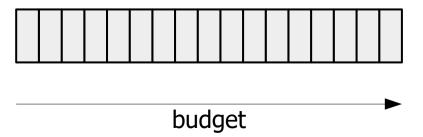
- When we have a carrier with <u>certain capacity</u>, and objects which should be placed there,
- Each object has its size and its price,
- We want to pick those objects, which will <u>maximize the price</u>.



## Usage

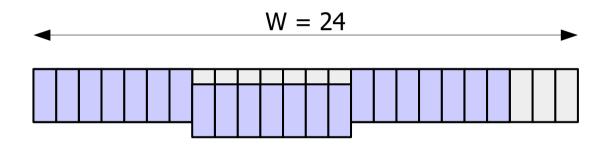
#### **Usage 3 – budget planning:**

- When we have an <u>allocated budget</u>, and possible spendings,
- Each spending has its <u>price</u>, and <u>probability to succeed</u>,
- We want to spend our budget on such spendings, which together will maximize our success probability.

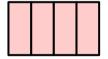


Why it is <u>not easy</u> to find the solution?

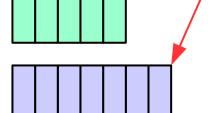
**Approach 1)** - placing the item with <u>maximal bonus first</u>.



$$(w_{1}, b_{1}) = (4, 6)$$



$$(w_2, b_2) = (5, 9)$$

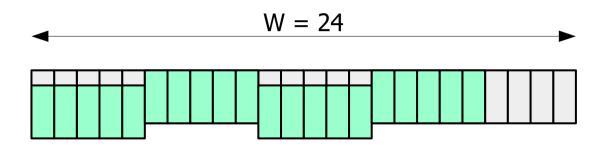


... but this is <u>not optimal</u>, as  $(\mathbf{w}_3, \mathbf{b}_3)$  <u>takes a lot of space</u>.

$$(w_{3}, b_{3}) = (7, 10)$$

... taking some of  $(\mathbf{w}_2, \mathbf{b}_2)$  will be better:

$$B = 4*9 = 36$$



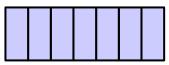
$$(w_{1}, b_{1}) = (4, 6)$$



$$(w_2, b_2) = (5, 9)$$

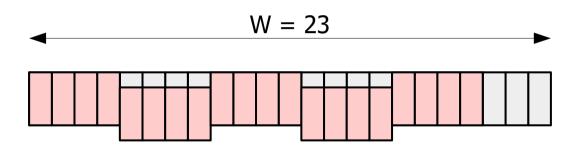


$$(w_3, b_3) = (7, 10)$$

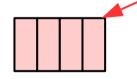


**Approach 2)** - placing the item with minimal weight first.

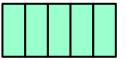
$$B = 5*6 = 30$$



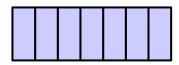
$$(w_1, b_1) = (4, 6)$$



$$(w_2, b_2) = (5, 9)$$

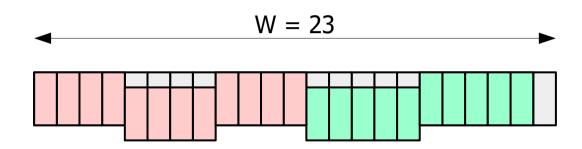


$$(w_{3}, b_{3}) = (7, 10)$$

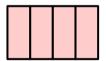


... but this is <u>not optimal</u>, as  $(\mathbf{w_1}, \mathbf{b_1})$  <u>uses space inefficiently</u>.

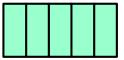
... taking some of  $(\mathbf{w}_2, \mathbf{b}_2)$  instead will be better:



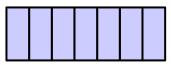
$$(w_{1}, b_{1}) = (4, 6)$$



$$(w_2, b_2) = (5, 9)$$

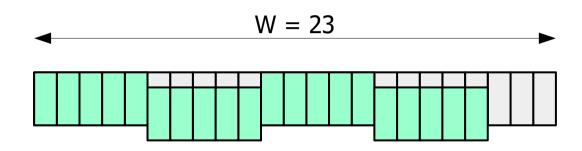


$$(w_3, b_3) = (7, 10)$$



**Approach 3)** - placing the item with <u>maximal bonus/weight first</u>.

$$B = 4*9 = 36$$

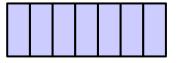




$$6/4 = 1.5$$

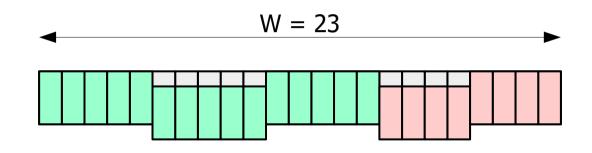


$$9/5 = 1.8$$



... but this is <u>not optimal</u>, as it will be better <u>to not fill</u> (**w**<sub>2</sub>,**b**<sub>2</sub>) till the end.

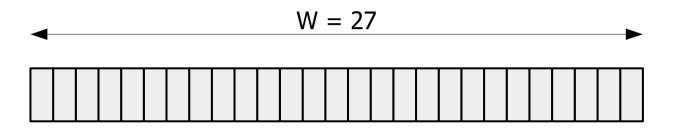
... rewinding one  $(\mathbf{w}_2, \mathbf{b}_2)$  will be better:



6/4 = 1.5

### **Exercise**

Solve KP for the following input set:



$$(w_{1}, b_{1}) = (2, 1)$$

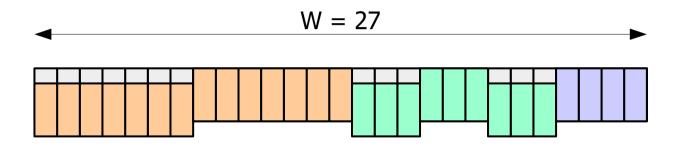
$$(w_{2}, b_{2}) = (3, 4)$$

$$(w_3, b_3) = (4, 7)$$

$$(w_4, b_4) = (7, 14)$$

# Exercise (solution)

Solve KP for the following input set:



$$(w_{1}, b_{1}) = (2, 2)$$

$$(w_{2}, b_{2}) = (3, 4)$$

$$(w_3, b_3) = (4, 6)$$

$$(w_4, b_4) = (7, 14)$$

We have already formalized the Knapsack problem:

$$\sum x_i w_i \leq W$$

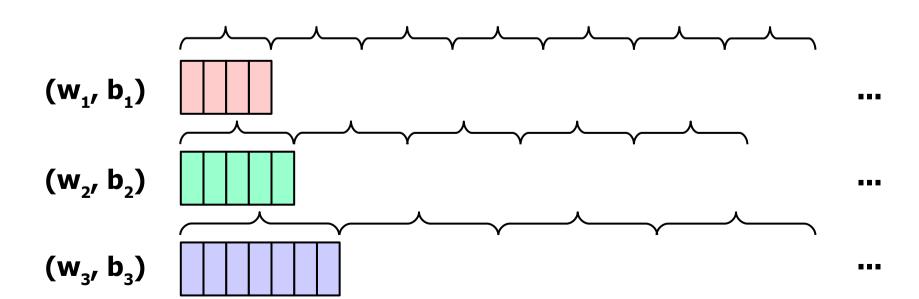
$$\sum x_i b_i = B \rightarrow max$$

In statement that we have seen so far  $\mathbf{x}_i$  are non-negative integers.

This variant of is called <u>Unbounded Knapsack Problem</u> (UKP).

$$\forall i, x_i \in \{0, 1, 2, 3, ...\}$$

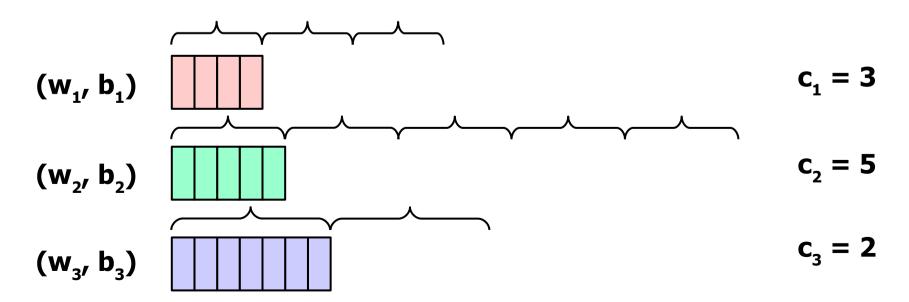
The impression is like:



Another variant is called **Bounded Knapsack Problem** (BKP), where:

$$\forall i, x_i \in \{0, 1, 2, 3, ..., c_i\}$$

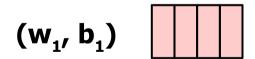
The impression is like:



The other variant is called 0-1 Knapsack Problem (0-1 KP), where:

$$\forall i, x_i \in \{0,1\}$$

... so we just either take or not take that item.



**Question**: Which variant of Knapsack problem is easier?

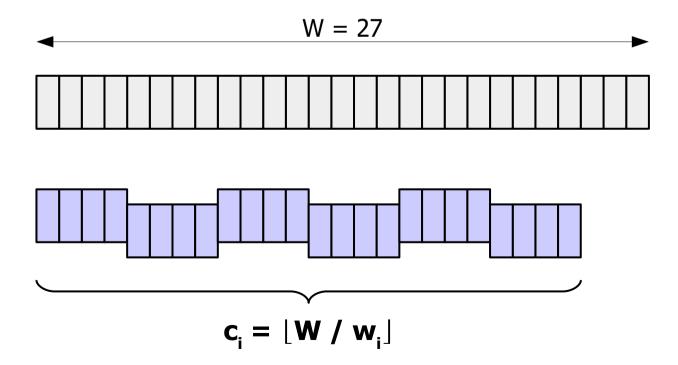
**Question**: Which variant of Knapsack problem is easier?

Answer. No one.

**Question**: Can one of those variants be converted to some other?

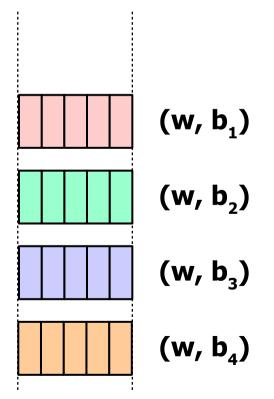
**Question**: Can one of those variants be converted to some other?

**Answer**. UKP can be brought to BKP, as any item  $\mathbf{i}$  can be used at most  $\mathbf{W}$  /  $\mathbf{w}_{\mathbf{i}}$  times.



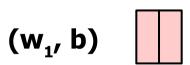
Before moving to the general solution, let's consider several trivial cases.

Case 1) - all weights are equal :  $\mathbf{w}_i = \mathbf{const}$ 

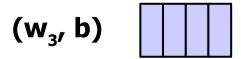


- This means we will always place
   [W / w] items,
- For UKP we will just take the one with  $\mathbf{b}_{\mathbf{i}} \to \mathbf{max}$ .
- For "0-1 KP" we will place the items in <u>decreasing order</u> of **b**<sub>i</sub>.

Case 2) - all bonuses are equal :  $b_i = const$ 





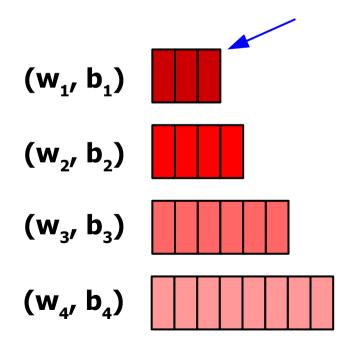


- This means that we want to place as many items as possible,
- For UKP we will just take the one with  $\mathbf{w}_i \to \mathbf{min}$ .
- For "0-1 KP" we will place the items in <u>increasing order</u> of w<sub>i</sub>.

**Case 3)** – bonuses decrease, together with increase of weights:

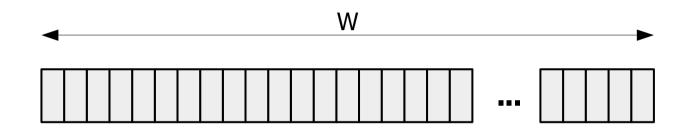
$$w_1 \leq w_2 \leq w_3 \leq \dots \leq w_N$$

$$b_1 \ge b_2 \ge b_3 \ge \dots \ge b_N$$



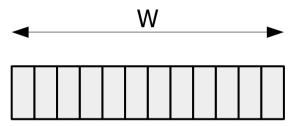
- This is also an easy case, as our preference here is clear,
- For UKP we will use the first item only,
- For 0-1 KP we will place items from left to right.

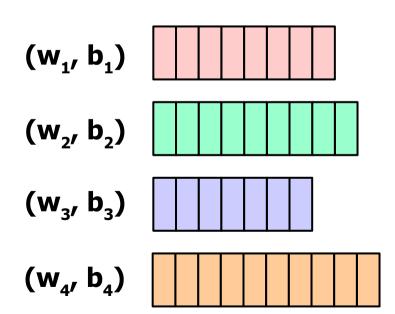
**Case 4)** – 0-1 knapsack, <u>so large</u> that it will fit all items inside:



We will just place all the items.

**Case 5)** – knapsack so small, that it will fit only one item:

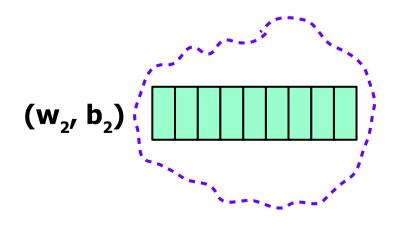




We will place the one with
 b<sub>i</sub> -> max.

Before finishing the trivial cases part, let me point that complexity of KP comes from the fact that  $\mathbf{x}_i$  must be integers.

... which means we can't cut items apart.

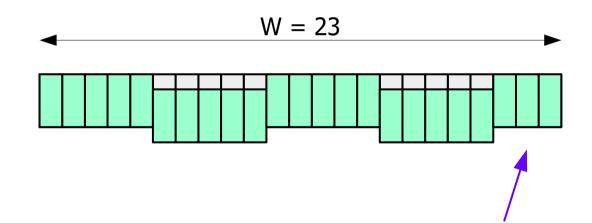


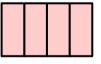
Otherwise, if we would be allowed to cut itmes apart (i.e. if  $\mathbf{x}_i$  could be real numbers), then...

For UKP we will just pick the item with  $\mathbf{b_i/w_i} \rightarrow \mathbf{max}$ , and fill the knapsack with it till the end.

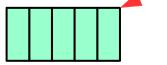
$$x_2 = 4.6$$

$$B = 4.6*9 = 41.4$$

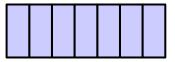




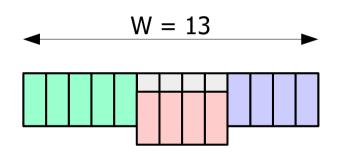
$$6/4 = 1.5$$



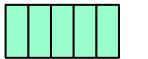
$$9/5 = 1.8$$



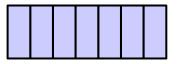
For 0-1 KP we will place all the items in decreasing order of  $\mathbf{b}_i/\mathbf{w}_i$  ratio.



$$6/4 = 1.5$$



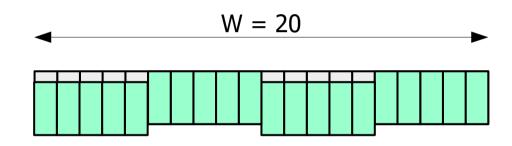
$$9/5 = 1.8$$



In all cases we are sure that every unit of **W** carries as much bonus as it is possible.

One more aspect is that complexity of KP comes when we would like to cut some items... which is actually not allowed.

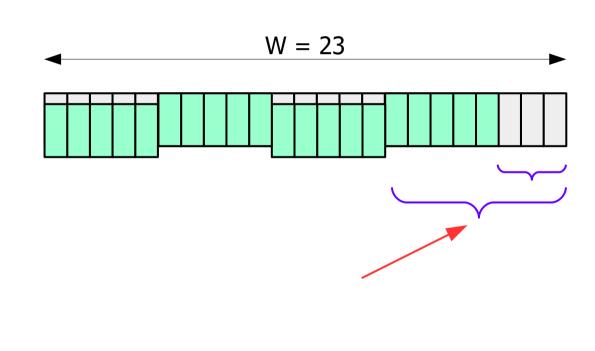
$$B = 4*9 = 36$$

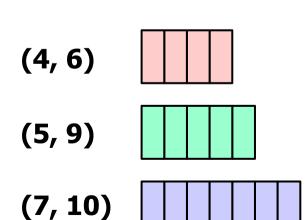


In UKP, if no need to cut ever arises, we can <u>just</u> <u>fill the **W** with the best item.</u>

## Knapsack problem

So the problem arises when we don't know how to pack things in the remaining, smaller area...

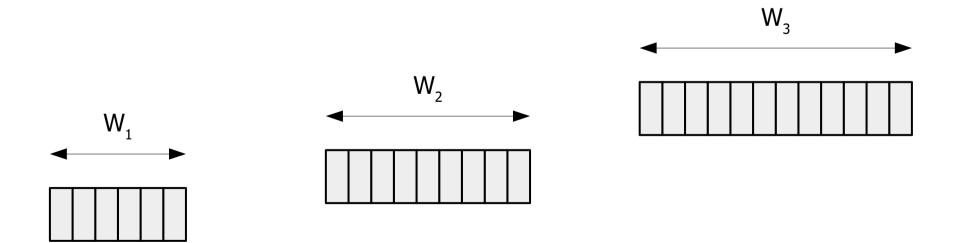




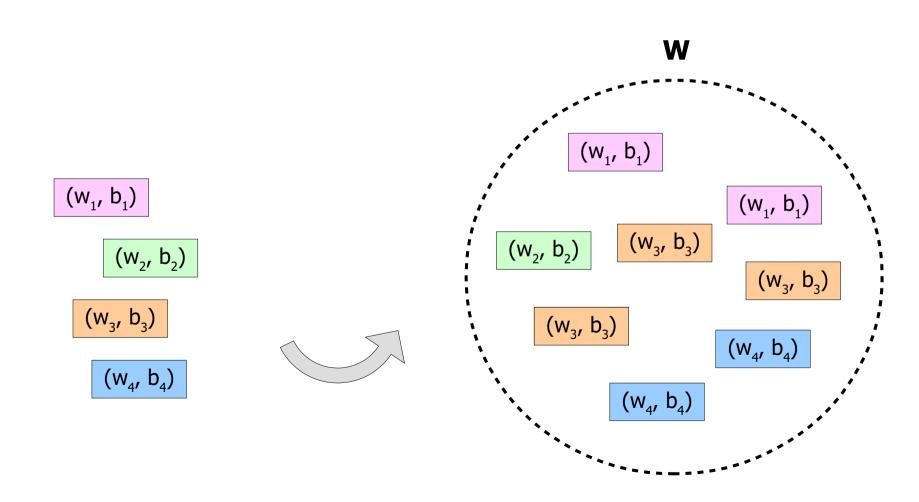
## Knapsack problem

Which brings us to the idea that...

... instead of trying to fill knapsack **W**, perhaps it will be better to find at first solutions for smaller knapsacks?

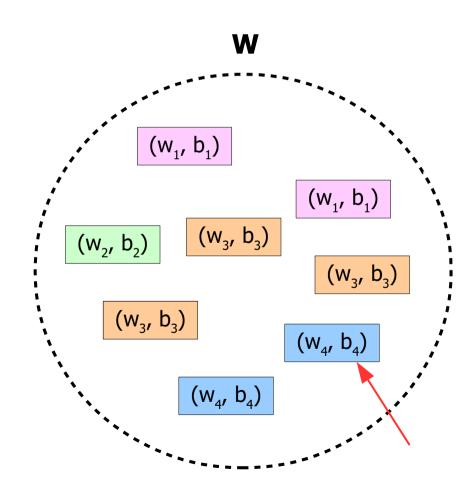


Suppose we have found the optimal solution for UKP.



Suppose we have found the optimal solution for UKP.

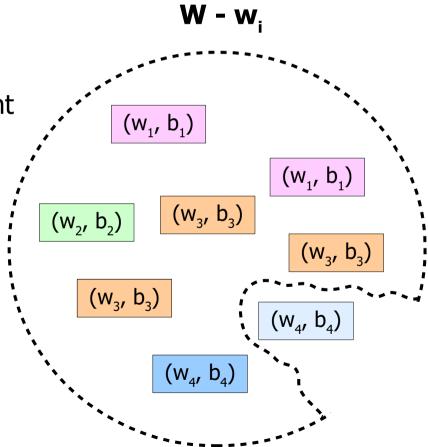
One of those items (w<sub>i</sub>,b<sub>i</sub>) was placed the last.



Suppose we have found the optimal solution for UKP.

One of those items (w<sub>i</sub>,b<sub>i</sub>) was placed the last.

 Which means that in the previous moment, we had optimal placement for knapsack of size "W - w<sub>i</sub>".

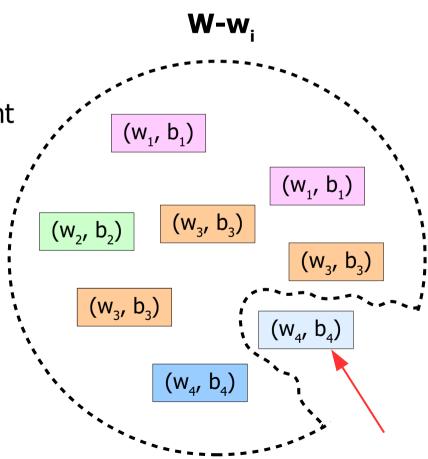


Suppose we have found the optimal solution for UKP.

One of those items (w<sub>i</sub>,b<sub>i</sub>) was placed the last.

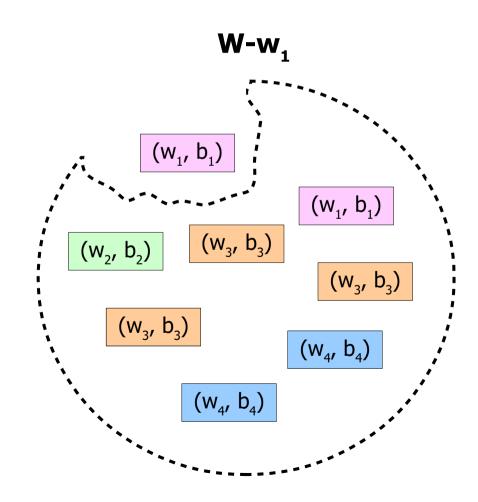
 Which means that in the previous moment, we had optimal placement for knapsack of size "W-w<sub>i</sub>".

So <u>if we knew</u> which item will be placed the last, we can reduce our problem to knapsack of size "**W-w**<sub>i</sub>".



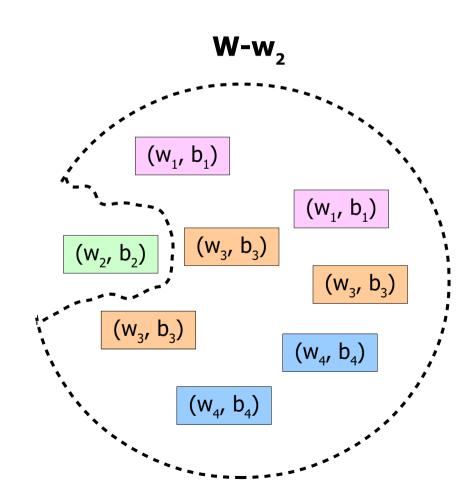
But the last placed item is definitely <u>one of the **N** existing items</u>:

- So we can try N variants.
- •
- for (w<sub>1</sub>, b<sub>1</sub>),



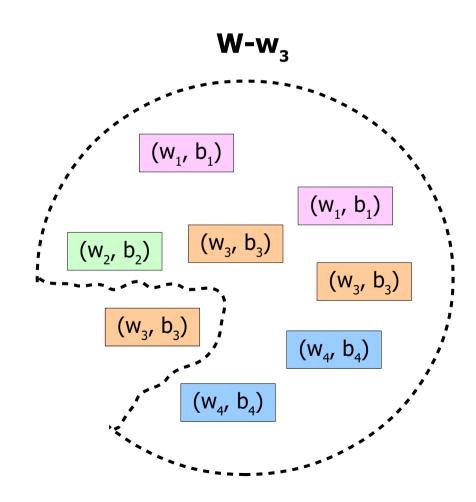
But the last placed item is definitely <u>one of the **N** existing items</u>:

- So we can try N variants.
- •
- for (w<sub>2</sub>, b<sub>2</sub>),



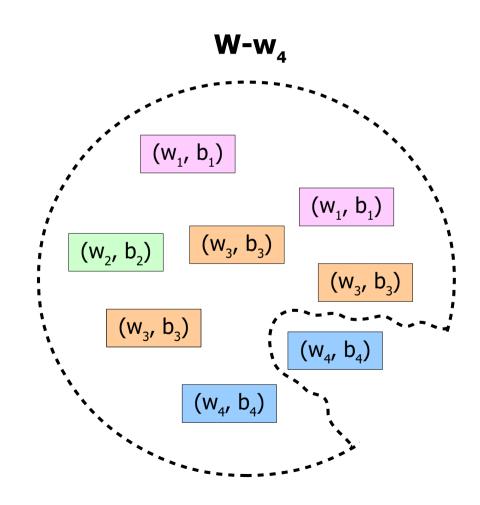
But the last placed item is definitely one of the **N** existing items.

- So we can try N variants.
- •
- for (w<sub>3</sub>, b<sub>3</sub>),



But the last placed item is definitely <u>one of the **N** existing items</u>:

- So we can try N variants.
- •
- and finally for (w<sub>4</sub>, b<sub>4</sub>),



This brings us to the following recursive formula:

```
B[W] = max(
B[W-w_1] + b_1,
B[W-w_2] + b_2,
...
B[W-w_N] + b_N,
```

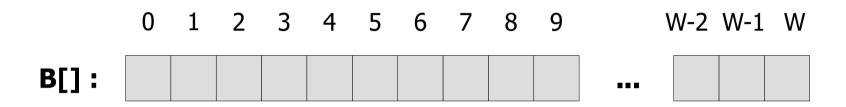
where **B[i]** is the optimal bonus for knapsack of size 'i'.

Exit-case for such recursive formula will be:

```
B[0] = 0,
B[-i] : (not allowed).
```

We can already write the pseudo-code:

So result of this algorithm is array "B[]",



Time complexity is **O(WN)**, as filling each cell of "**B[]**" requires **O(N)** time.

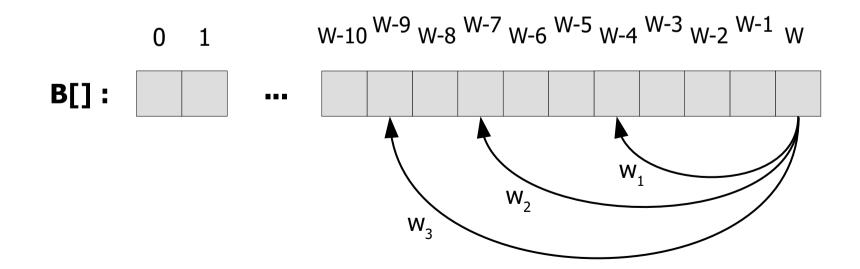
**Question**: Which approach will work faster here, DP or memoization?

... let's see how memoization will be written:

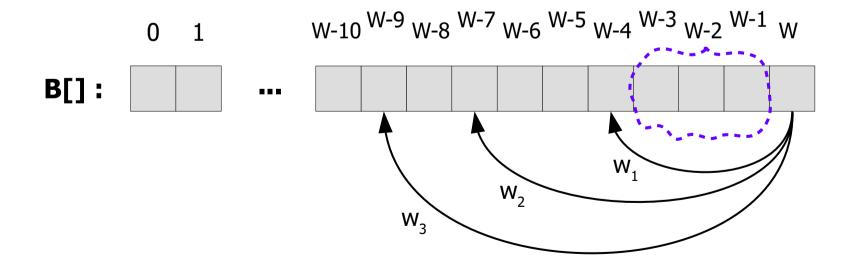
```
N, W : Integer,
w[0..N), b[0..N) : Array of Integers,
B[0..W] = \{-1\} : Array of Integers,
function UKP_memoization( i: Integer ) : Integer
    if B[i] != -1
      return B[i]  // Already was calculated
    if i == 0
       return B[0] := 0 // The answer for B[0]
    for k := 0 to N-1 // General case
        if w[k] <= i</pre>
            B[i] := max(B[i],
                    UKP_memoization( i-w[k] ) + b[k] )
    return B[i]
```

**Question**: Which approach will work faster here, DP or memoization?

Answer: Memoization addresses & calculates some of the previous cells,



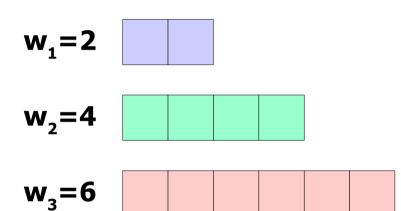
Question: Which approach will work faster here, DP or memoization?Answer: Memoization addresses & calculates some of the previous cells,... which means that some other cells will remain not calculated.

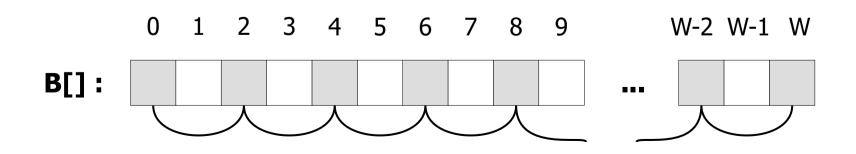


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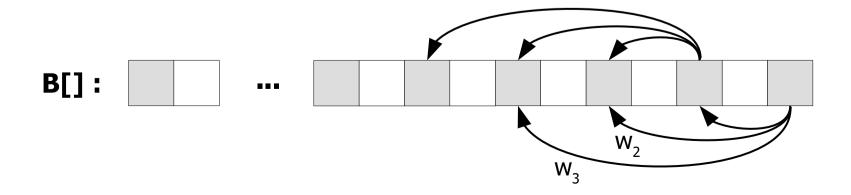




**Question**: If all weights  $\mathbf{w_1}$ ,  $\mathbf{w_2}$ , ...,  $\mathbf{w_N}$  are even, can we somehow optimize DP approach?

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... note, if we do memoization, that will be optimized automatically.



This method constructs the array **B[]**, where **B[i]** shows optimal bonus for kanpsack of weight 'i'.

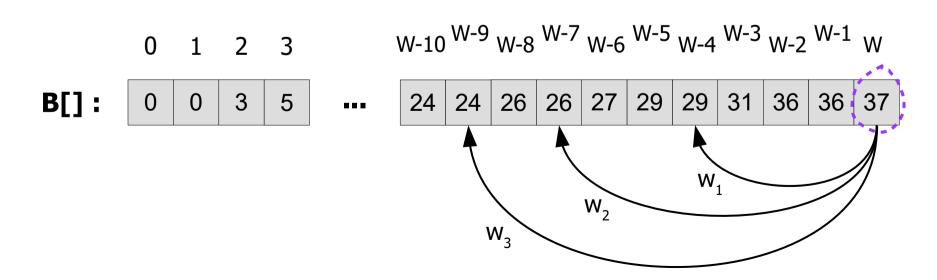
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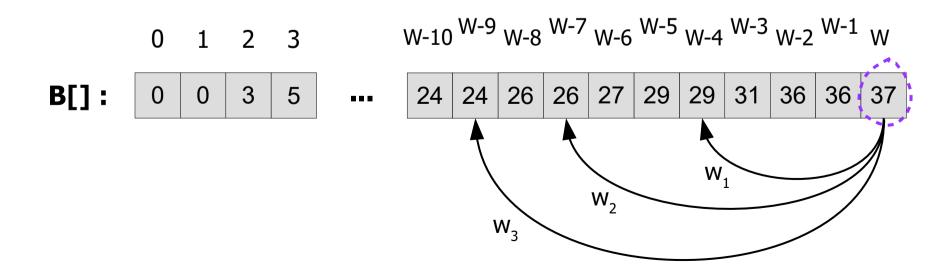
... but can we identify <u>exact set of items</u>, which gives us bonus **B[W]**? In order to do that, we must <u>move back – from right to left</u>.

The item B[W] was calculated by one of items  $B[W-w_1]$ ,  $B[W-w_2]$ , ...,  $B[W-w_N]$ .



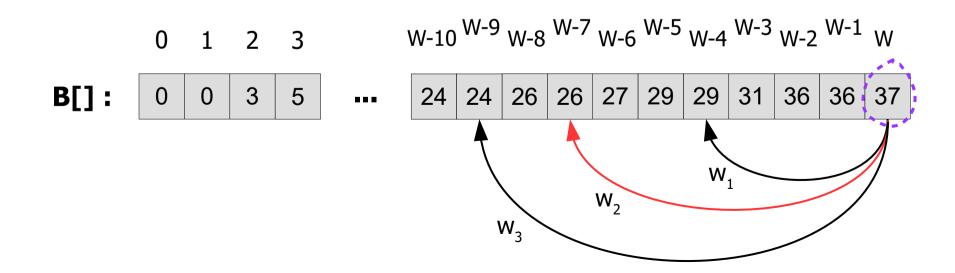
Let's recall the formula for **B[i]**:

$$B[W] = max($$
 $B[W-w_1] + b_1,$ 
 $B[W-w_2] + b_2,$ 
 $...$ 
 $B[W-w_N] + b_N,$ 



So we can just check the **N** options, and see which one gives:

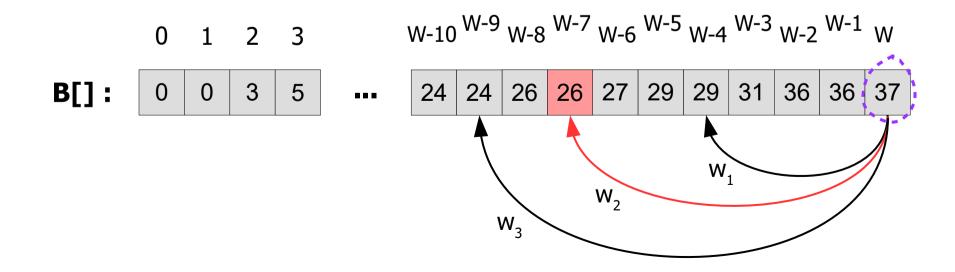
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Once found, we know that the last placed item was  $(\mathbf{w_i}, \mathbf{b_i})$ ,

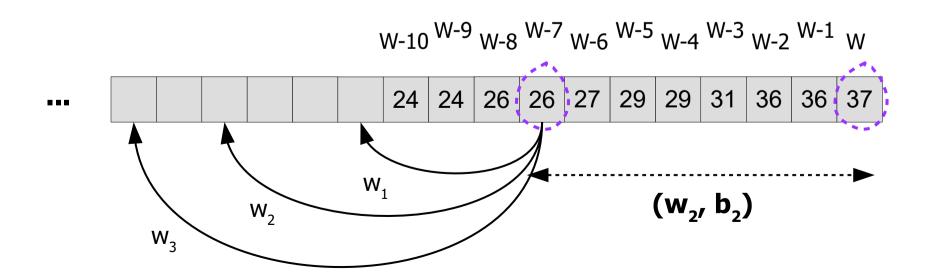


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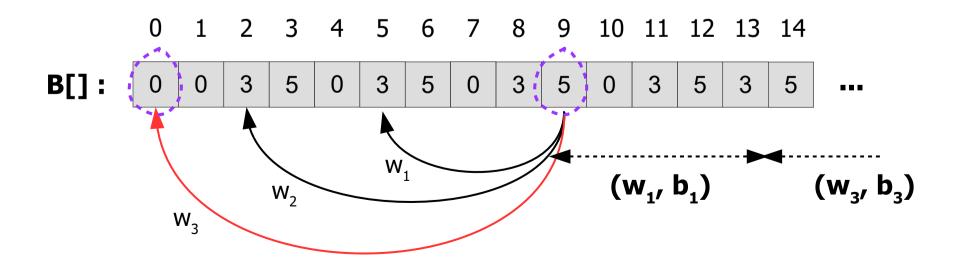
Once found, we know that the last placed item was  $(\mathbf{w}_i, \mathbf{b}_i)$ ,

... and we can continue obtaining other items from "W-w<sub>i</sub>".



This process will <u>finish when</u> we reach **B[0]**.

... at that point of time, all items which compose **B[W]** are found.



... the pseudo-code of path restoration becomes:

```
N, W : Integer,
w[0..N), b[0..N) : Array of Integers,
B[0..W] = \{-1\} : Array of Integers,
procedure UKP_restore_path( x: Integer )
    if x == 0 // Check if all items are reported
        return
    for k := 0 to N-1 // Try item (w[k],b[k])
        if B[i] == B[i-w[k]] + b[k]
            report (w[k],b[k])
            UKP_restore_path( i-w[k] )
            break
```

**Question**: Can we restore the paths faster?

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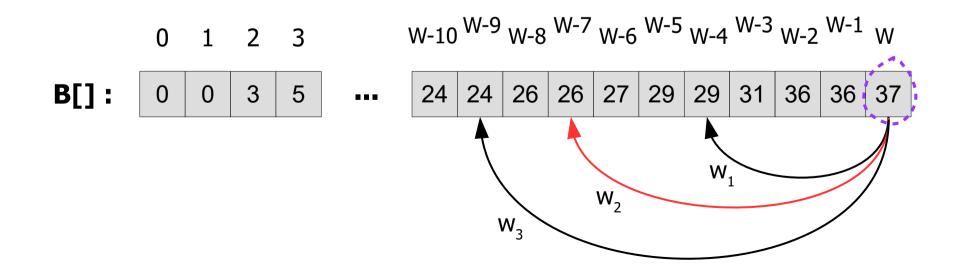
Answer: Yes.

• Every value **B[i]** was calculated at some point of time,

**Question**: Can we restore the paths faster?

Answer. Yes.

- Every value **B[i]** was calculated at some point of time,
- It's value was max() from several variants  $i \in [1, N]$ .



**Question**: Can we restore the paths faster?

Answer. Yes.

- Every value **B[i]** was calculated at some point of time,
- It's value was max() from several variants i ∈ [1, N].
- So at the moment of calculation we can remember that index too.

W-10 W-9 W-8 W-7 W-6 W-5 W-4 W-3 W-2 W-1 W

<b>B</b> []:	0	0	3	5
ast[]:	-	-	0	0

24	24	26	26	27	29	29	31	36	36	37
1	0	2	2	1	1	1	0	1	2	2

So 'last[x]' gives us index of the item, which will be placed the last to obtain weight 'x'.

The pseudocode becomes shorter:

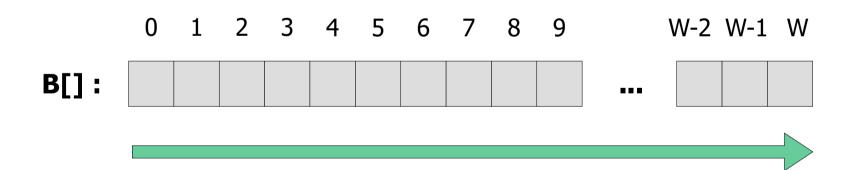
```
N, W : Integer,
w[0..N), b[0..N) : Array of Integers,
B[0..W] = {-1} : Array of Integers,
last[0..W] : Array of Integers,

procedure UKP_restore_path( x: Integer )
   if x == 0 or last[x] == -1 // Check for completion
        return
   report ( w[last[x]], b[last[x]] ) // Report last item
   UKP_restore_path( x - w[last[x]] ) // Continue
```

### Solution of 0-1 KP

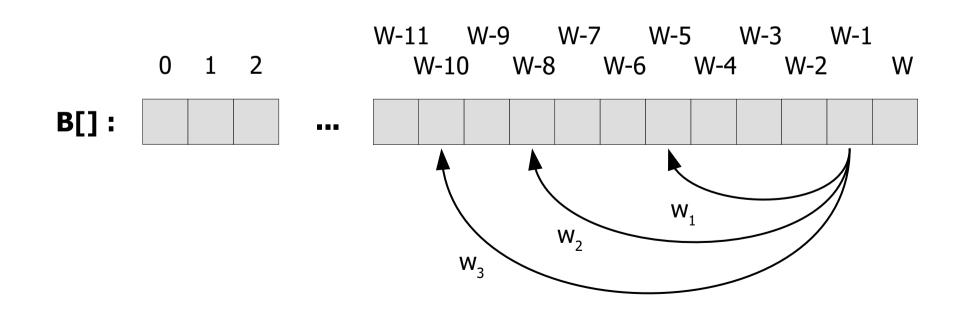
If solving problem of 0-1 KP, can we similarly fill the array "**B[]**", from left to right?

... reminder, now we can user every item only once.



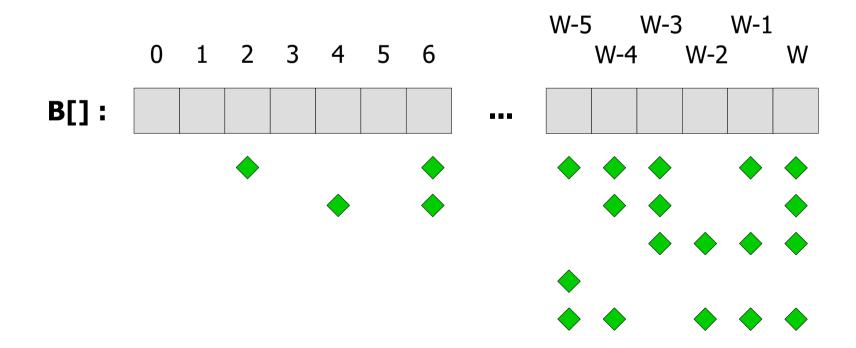
### Solution of 0-1 KP

No we can't because when calculating some **B[x]**, we must know <u>if which</u> <u>items were already used</u>:



### Solution of 0-1 KP

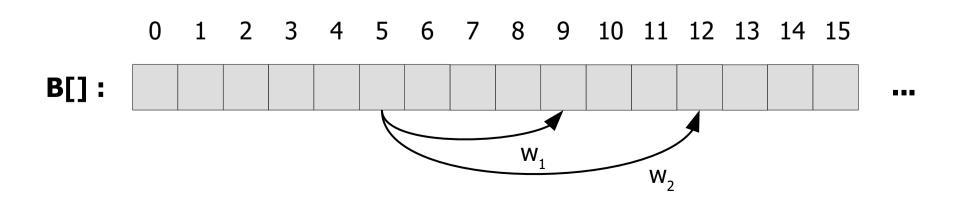
Then, maybe for every **B**[x] we should <u>also store the exact set of items</u> used there?



Then, maybe for every **B**[x] we should <u>also store the exact set of items</u> used there?

No, because some sets of items can be more preferable than others.

- For example, B[5] can be used for both B[9] and B[12],
- For being used in B[9], its set should not contain (w<sub>1</sub>,b<sub>1</sub>),
- For being used in B[12], its set should not contain (w<sub>2</sub>,b<sub>2</sub>),
- So we need to keep all the sets, which give maximal B[x] then...

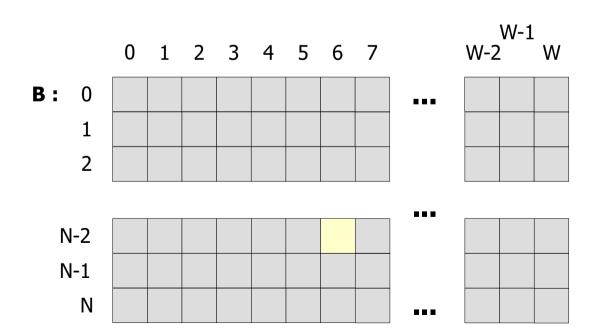


Obviously, this leads to a waste of computational time and memory.

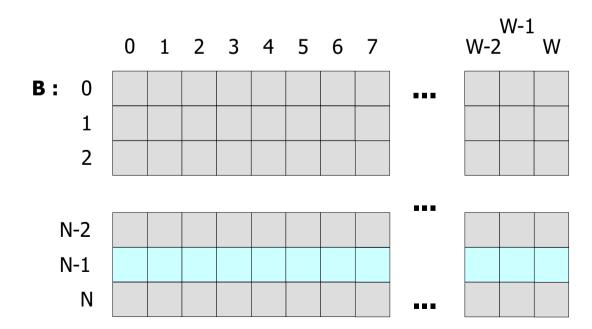
... so probably we can't behave here the same way, as we did for UKP.

Let's <u>reduce the problem</u> now not only by weight '**W**', but also by number of used items '**k**'.

- so here instead of an array we will have a matrix "B[0..N][0..W]",
- where "B[k][x]" will show the maximal bonus that we can place in 'x' weight, using only first 'k' items.

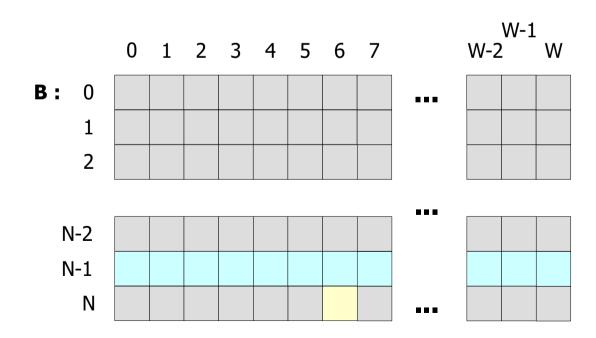


Assume we have calculated the <u>one-before-last row</u>, i.e. we know maximal bonuses for **[0..W]** knapsacks, when using first **N-1** items.



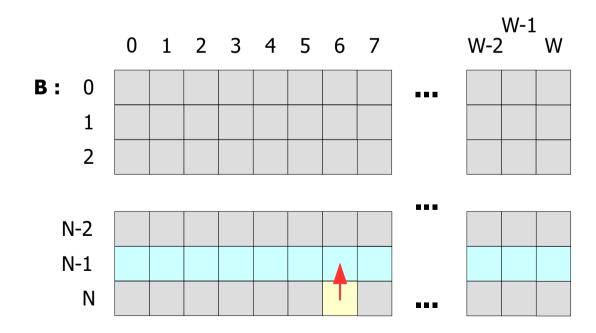
Assume we have calculated the <u>one-before-last row</u>, i.e. we know maximal bonuses for **[0..W]** knapsacks, when using first **N-1** items.

Then the **N**'th item arrives. <u>How it can affect</u> current solutions? What will cells of the last row be equal to?



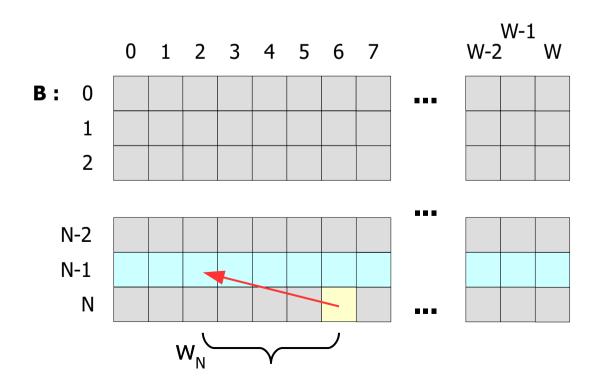
If we are allowed to use all the **N** items, current solution will either use the **N**'th item, or it will not.

• If it doesn't use the N'th item, then B[N][x] = B[N-1][x].



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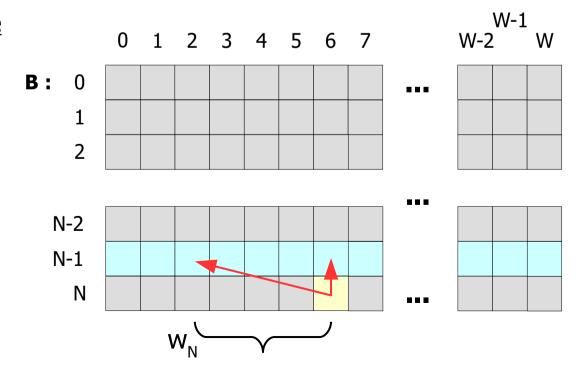
- If it doesn't use the N'th item, then B[N][x] = B[N-1][x].
- Otherwise, we reduce our capacity to "x-w<sub>N</sub>", and the answer becomes:  $B[N][x] = B[N-1][x-w_N] + b_N$ .



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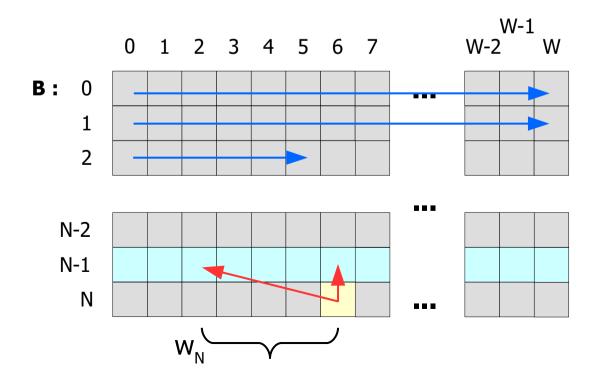
So it just remains to <u>choose</u> between this **2** options.



The formula for 0-1 KP becomes:

```
B[k][x] = max(
B[k-1][x],
B[k-1][x-w<sub>k</sub>] + b<sub>k</sub>)
```

And we can iterate over the matrix, filling every cell in **O(1)** time.

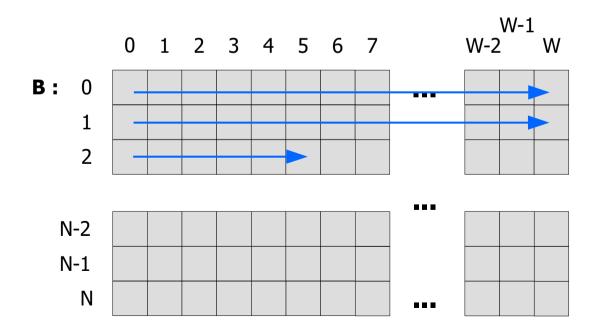


The pseudocode becomes:

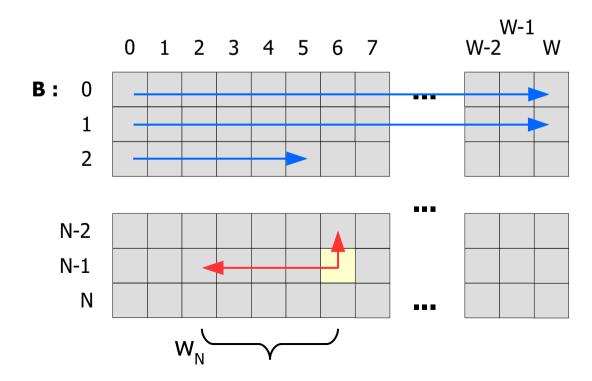
```
N, W : Integer,
w[1..N], b[1..N] : Array of Integers,
B[0..N][0..W] = \{0\} : Matrix of Integers,
procedure calculate_0_1_KP()
   // First row is already zeroes.
   // First column is also already zeroes.
    for k:=1 to N
       for x:=1 to W
            B[k][x] := B[k-1][x] // If we don't use k-th
            if x \ge w[k] // If we can use k-th item
                B[k][x] := max(
                        B[k][x],
                        B[k-1][x-w[k]] + b[k]
```

Time and memory complexity of the DP algorithm becomes O(N\*W),

... as we fill every cell in **O(1)** time.

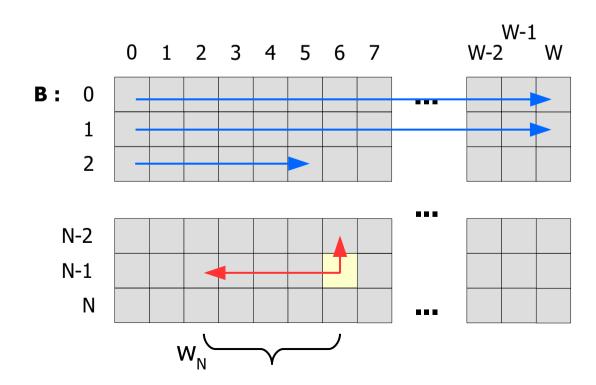


**Question**: What will happen if we will pick second option not from previous row, but from the current one?

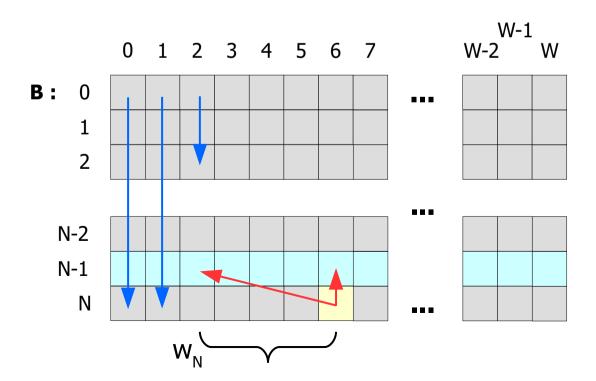


**Question**: What will happen if we will pick second option not from previous row, but from the current one?

**Answer**: We will receive solution of UKP, as the same **k**'th item can be used several times then.

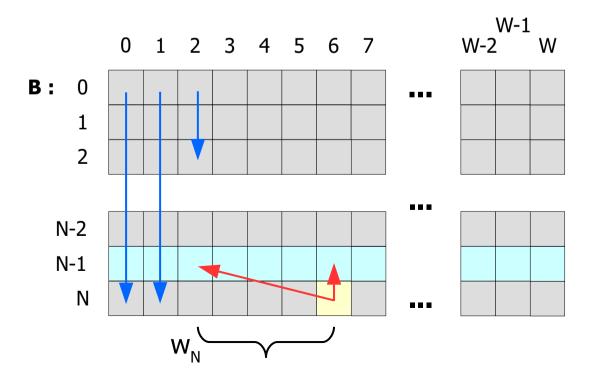


**Question**: Can we iterate over the cells in the other direction?

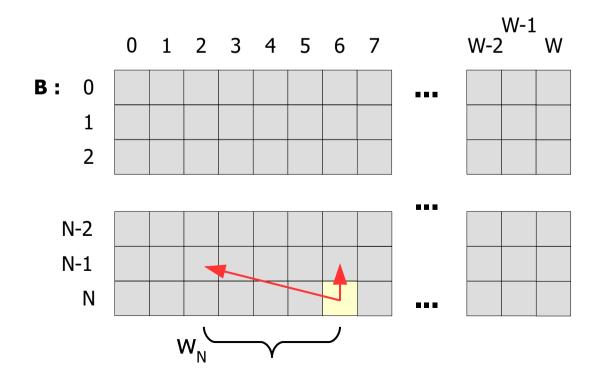


**Question**: Can we iterate over the cells in the other direction?

**Answer**: Yes, as the dependencies are not violated.



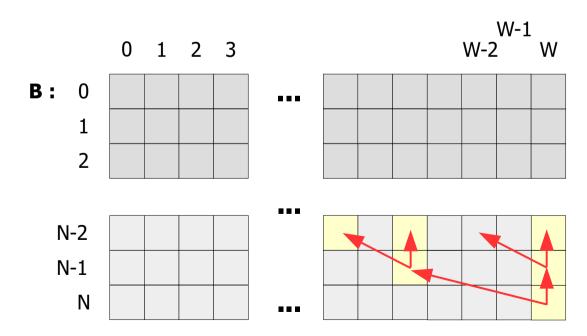
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**Answer**: Memoization can be preferable, as it might significantly decrease number of calculated cells,

... because we are interested only in **B[N][W]**.



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# Thank you!

Knapsack problem