Lecture 13

More dynamic programming!

Longest Common Subsequences, Knapsack, and (if time) independent sets in trees.

Announcements

- HW5 due Friday!
- HW6 released Friday!

Last time

Dynamic Programming!

- Not coding in an action movie.

Last time

Dynamic Programming!

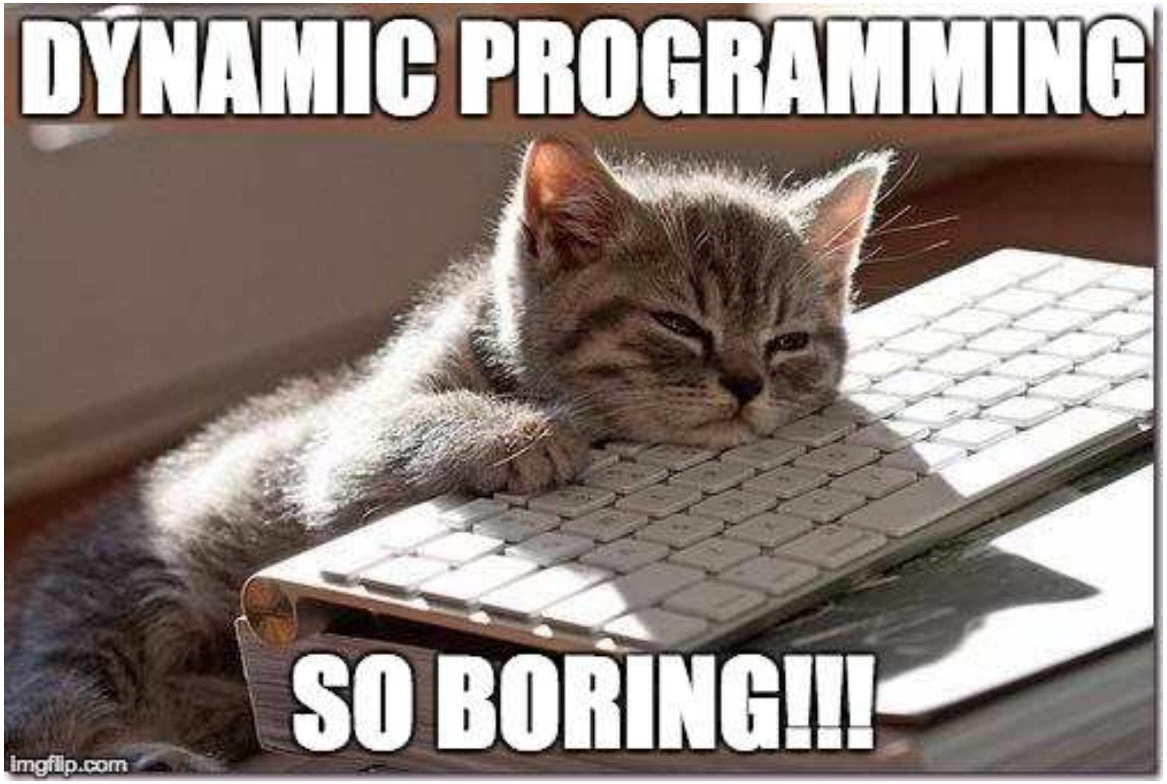
- Dynamic programming is an algorithm design paradigm.
- Basic idea:
  - Identify **optimal sub-structure**
    - Optimum to the big problem is built out of optima of small sub-problems
  - Take advantage of **overlapping sub-problems**
    - Only solve each sub-problem once, then use it again and again
  - Keep track of the solutions to sub-problems in a table as you build to the final solution.

Today

- Examples of dynamic programming:
    1. Longest common subsequence
    2. Knapsack problem
        - Two versions!
    3. Independent sets in trees
        - If we have time…
        - (If not the slides will be there as a reference)

The goal of this lecture

- For you to get really bored of dynamic programming



Longest Common Subsequence

- How similar are these two species?

DNA:
AGCCCTAAGGGCTACCTAGCTT

DNA:
GACAGCCTACAAGCGTTAGCTTG

Longest Common Subsequence

- How similar are these two species?

DNA:
AGCCCTAAGGGCTACCTAGCTT

DNA:
GACAGCCTACAAGCGTTAGCTTG

- Pretty similar, their DNA has a long common subsequence:

AGCCTAAGCTTAGCTT

Longest Common Subsequence

- Subsequence:
  - BDFH is a **subsequence** of ABCDEFGH
- If X and Y are sequences, a **common subsequence** is a sequence which is a subsequence of both.
  - BDFH is a **common subsequence** of ABCDEFGH and of ABDFGHI
- A **longest common subsequence**…
  - …is a common subsequence that is longest.
  - The **longest common subsequence** of ABCDEFGH and ABDFGHI is ABDFGH.

We sometimes want to find these

- Applications in bioinformatics

- The unix command `diff`
- Merging in version control
  - svn, git, etc…

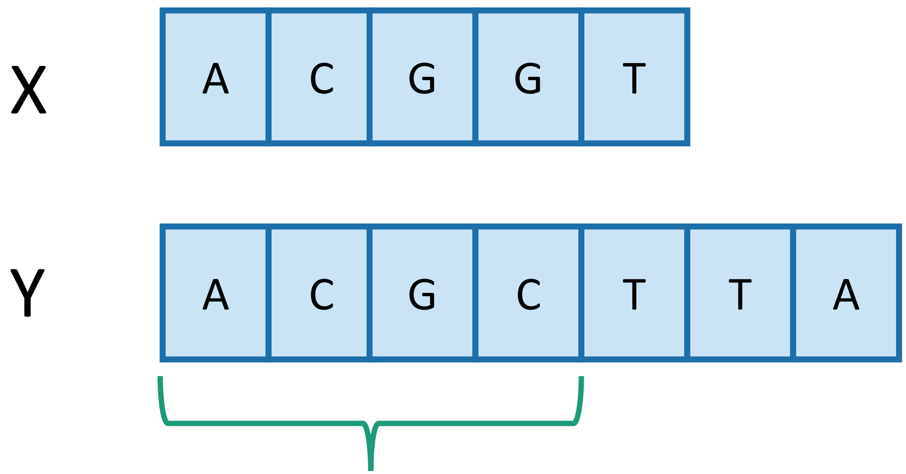
```
DN0a22a660:~ mary$ cat file1
A
B
C
D
E
F
G
H
DN0a22a660:~ mary$ cat file2
A
B
D
F
G
H
I
DN0a22a660:~ mary$ diff file1 file2
3d2
< C
5d3
< E
8a7
> I
DN0a22a660:~ mary$
```

Recipe for applying Dynamic Programming

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

Step 1: Optimal substructure

Prefixes:



Notation: denote this prefix **ACGC** by Y_4

- Our sub-problems will be finding LCS's of prefixes to X and Y.
- Let $C[i,j] = \text{length\_of\_LCS}(X_i, Y_j)$

Optimal substructure ctd.

- Subproblem:
  - finding LCS's of prefixes of X and Y.
- Why is this a good choice?
  - There's some relationship between LCS's of prefixes and LCS's of the whole things.
  - These subproblems overlap a lot.

To see this formally, on to…

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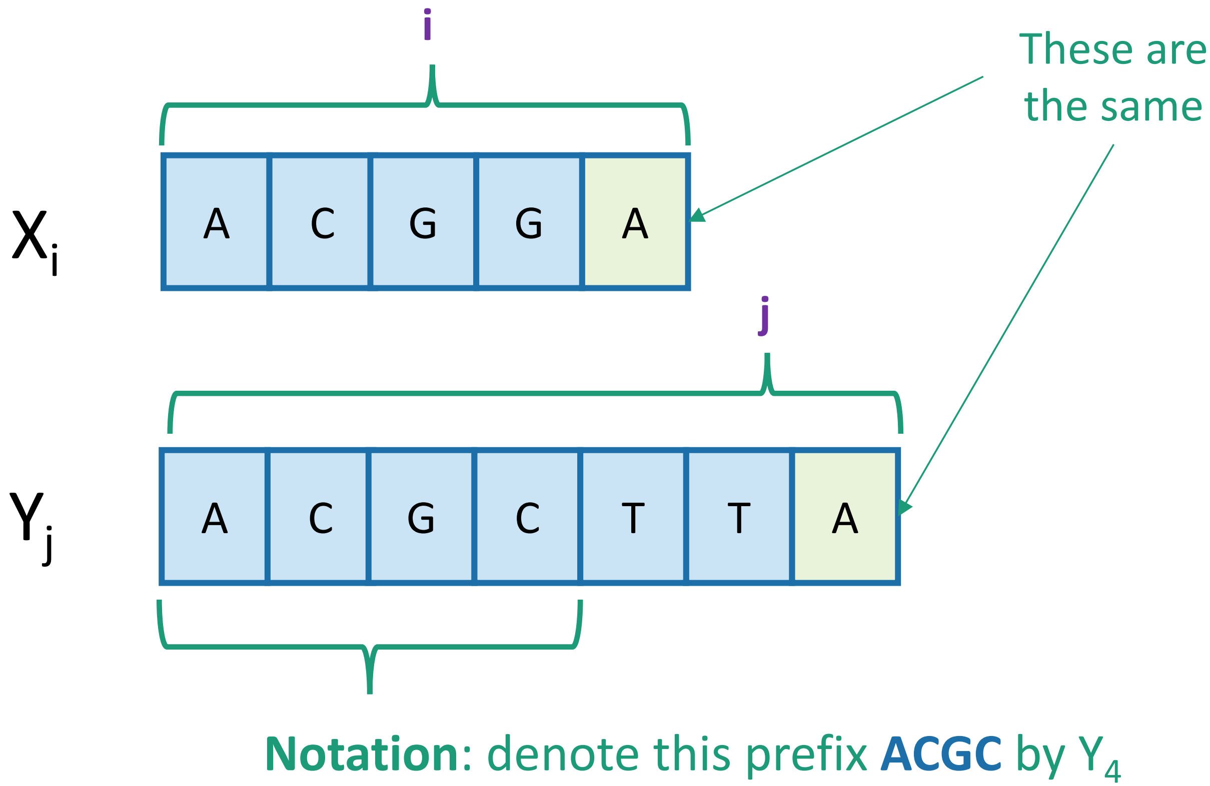
Two cases

- Our sub-problems will be finding LCS's of prefixes to X and Y.
- Let C[i,j] = length_of_LCS(X_i, Y_j)

Case 1: X[i] = Y[j]

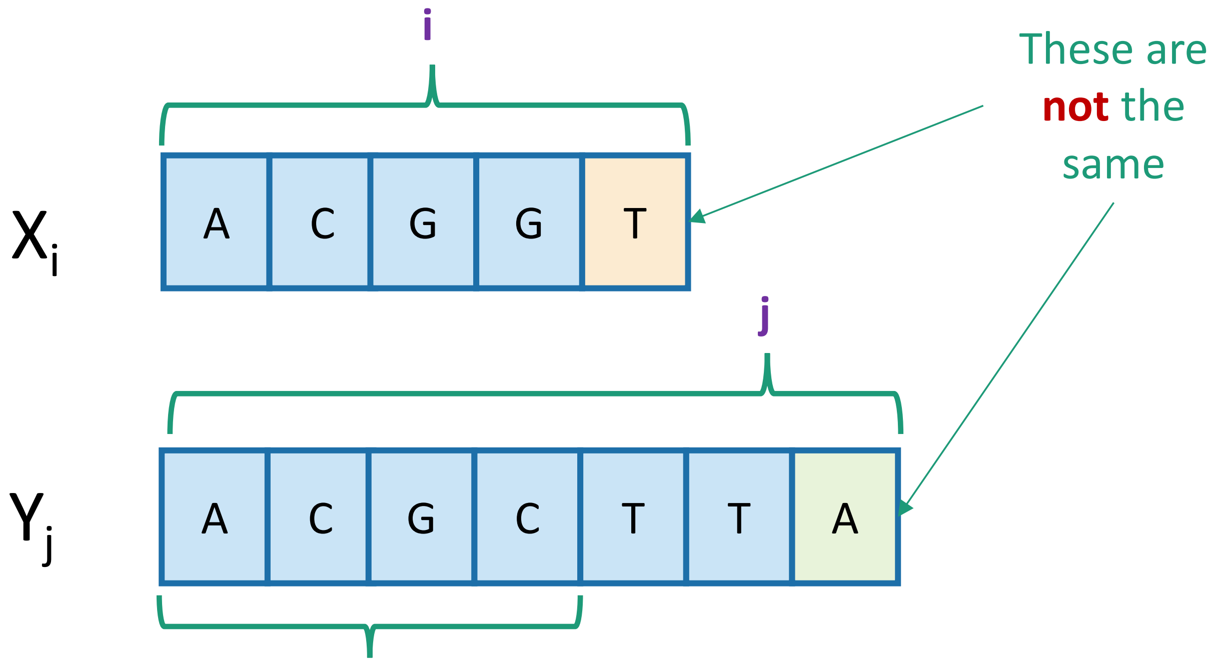


- Then C[i,j] = 1 + C[i-1,j-1].
  - because LCS(X_i,Y_j) = LCS(X_{i-1},Y_{j-1}) followed by A

Two cases

- Our sub-problems will be finding LCS's of prefixes to X and Y.
- Let C[i,j] = length_of_LCS(X_i, Y_j)

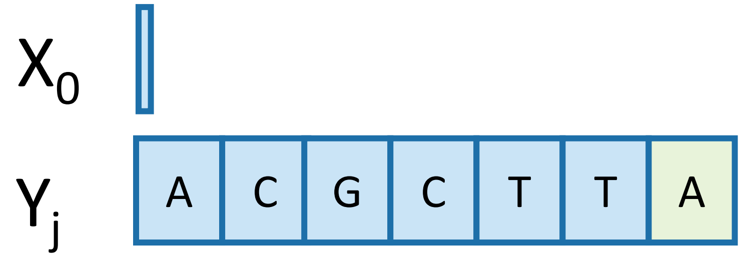
Case 2: X[i] != Y[j]



Notation: denote this prefix **ACGC** by Y_4

- Then C[i,j] = max{ C[i-1,j], C[i,j-1] }.
  - either $LCS(X_i,Y_j) = LCS(X_{i-1},Y_j)$ and T is not involved,
  - or $LCS(X_i,Y_j) = LCS(X_i,Y_{j-1})$ and A is not involved,

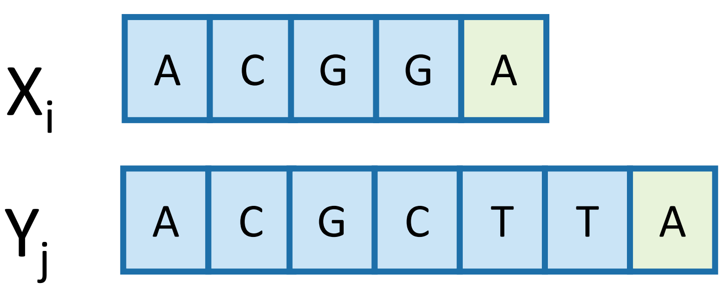
Recursive formulation
of the optimal solution



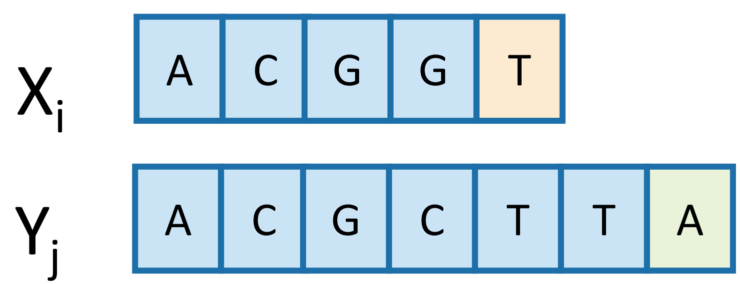
Case 0

- $C[i,j] = \begin{cases} 0 & \text{if } i = 0 \text{ or } j = 0 \\ C[i-1, j-1] + 1 & \text{if } X[i] = Y[j] \text{ and } i,j > 0 \\ \max\{\, C[i, j-1], C[i-1, j]\} & \text{if } X[i] \neq Y[j] \text{ and } i,j > 0 \end{cases}$

Case 1



Case 2



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LCS DP OMG BBQ

- **LCS**(X, Y):
  - C[i,0] = C[0,j] = 0 for all i = 1,…,m, j=1,…n.
  - **For** i = 1,…,m and j = 1,…,n:
    - **If** X[i] = Y[j]:
      - C[i,j] = C[i-1,j-1] + 1
    - **Else:**
      - C[i,j] = max{ C[i,j-1], C[i-1,j] }

Running time: O(nm)

$$C[i,j] = \begin{cases} 0 & \text{if } i = 0 \text{ or } j = 0 \\ C[i-1, j-1] + 1 & \text{if } X[i] = Y[j] \text{ and } i,j > 0 \\ \max\{ C[i, j-1], C[i-1, j] \} & \text{if } X[i] \neq Y[j] \text{ and } i,j > 0 \end{cases}$$

Example

X	A	C	G	G	A

Y	A	C	T	G

Y

X		A	C	T	G
	0	0	0	0	0
A	0				
C	0				
G	0				
G	0				
A	0				

$$C[i,j] = \begin{cases} 0 & \text{if } i = 0 \text{ or } j = 0 \\ C[i-1, j-1] + 1 & \text{if } X[i] = Y[j] \text{ and } i,j > 0 \\ \max\{\, C[i, j-1], C[i-1, j]\} & \text{if } X[i] \neq Y[j] \text{ and } i,j > 0 \end{cases}$$

Example

X	A	C	G	G	A

Y	A	C	T	G

X \ Y		A	C	T	G
	0	0	0	0	0
A	0	1	1	1	1
C	0	1	2	2	2
G	0	1	2	2	3
G	0	1	2	2	3
A	0	1	2	2	3

So the LCM of X and Y has length 3.

$$C[i,j] = \begin{cases} 0 & \text{if } i = 0 \text{ or } j = 0 \\ C[i-1, j-1] + 1 & \text{if } X[i] = Y[j] \text{ and } i,j > 0 \\ \max\{ C[i, j-1], C[i-1, j] \} & \text{if } X[i] \neq Y[j] \text{ and } i,j > 0 \end{cases}$$

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Example

X	A	C	G	G	A
Y	A	C	T	G	

		Y: A	C	T	G
X	0	0	0	0	0
A	0				
C	0				
G	0				
G	0				
A	0				

$$C[i,j] = \begin{cases} 0 & \text{if } i = 0 \text{ or } j = 0 \\ C[i-1, j-1] + 1 & \text{if } X[i] = Y[j] \text{ and } i, j > 0 \\ \max\{\, C[i, j-1], C[i-1, j]\} & \text{if } X[i] \neq Y[j] \text{ and } i, j > 0 \end{cases}$$

Example

X

A	C	G	G	A

Y

A	C	T	G

Y

X		A	C	T	G
	0	0	0	0	0
A	0	1	1	1	1
C	0	1	2	2	2
G	0	1	2	2	3
G	0	1	2	2	3
A	0	1	2	2	3

$$C[i,j] = \begin{cases} 0 & \text{if } i = 0 \text{ or } j = 0 \\ C[i-1, j-1] + 1 & \text{if } X[i] = Y[j] \text{ and } i,j > 0 \\ \max\{\, C[i, j-1], C[i-1, j]\} & \text{if } X[i] \neq Y[j] \text{ and } i,j > 0 \end{cases}$$

Example

X				
A	C	G	G	A

Y			
A	C	T	G

X \ Y		A	C	T	G
	0	0	0	0	0
A	0	1	1	1	1
C	0	1	2	2	2
G	0	1	2	2	3
G	0	1	2	2	3
A	0	1	2	2	3

- Once we've filled this in, we can work backwards.

$$C[i,j] = \begin{cases} 0 & \text{if } i = 0 \text{ or } j = 0 \\ C[i-1, j-1] + 1 & \text{if } X[i] = Y[j] \text{ and } i,j > 0 \\ \max\{ C[i, j-1], C[i-1, j]\} & \text{if } X[i] \neq Y[j] \text{ and } i,j > 0 \end{cases}$$

Example

X	A	C	G	G	A
Y	A	C	T	G	

Y

		A	C	T	G
	0	0	0	0	0
A	0	1	1	1	1
C	0	1	2	2	2
G	0	1	2	2	3
G	0	1	2	2	3
A	0	1	2	2	3

X

- Once we've filled this in, we can work backwards.

That 3 must have come from the 3 above it.

$$C[i,j] = \begin{cases} 0 & \text{if } i = 0 \text{ or } j = 0 \\ C[i-1,j-1]+1 & \text{if } X[i] = Y[j] \text{ and } i,j > 0 \\ \max\{\, C[i,j-1], C[i-1,j]\} & \text{if } X[i] \neq Y[j] \text{ and } i,j > 0 \end{cases}$$

Example

X: A C G G A

Y: A C T G

		Y: A	C	T	G
X	0	0	0	0	0
A	0	1	1	1	1
C	0	1	2	2	2
G	0	1	2	2	3
G	0	1	2	2	3
A	0	1	2	2	3

- Once we've filled this in, we can work backwards.
- A diagonal jump means that we found an element of the LCS!

This 3 came from that 2 – we found a match!

$$C[i,j] = \begin{cases} 0 & \text{if } i = 0 \text{ or } j = 0 \\ C[i-1, j-1] + 1 & \text{if } X[i] = Y[j] \text{ and } i, j > 0 \\ \max\{ C[i, j-1], C[i-1, j]\} & \text{if } X[i] \neq Y[j] \text{ and } i, j > 0 \end{cases}$$

Example

X: | A | C | G | G | A |

Y: | A | C | T | G |

X \ Y		A	C	T	G
	0	0	0	0	0
A	0	1	1	1	1
C	0	1	2	2	2
G	0	1	2	2	3
G	0	1	2	2	3
A	0	1	2	2	3

- Once we've filled this in, we can work backwards.
- A diagonal jump means that we found an element of the LCS!

That 2 may as well have come from this other 2.

G

$$C[i,j] = \begin{cases} 0 & \text{if } i = 0 \text{ or } j = 0 \\ C[i-1, j-1] + 1 & \text{if } X[i] = Y[j] \text{ and } i,j > 0 \\ \max\{ C[i, j-1], C[i-1, j]\} & \text{if } X[i] \neq Y[j] \text{ and } i,j > 0 \end{cases}$$

Example

X	A	C	G	G	A
Y	A	C	T	G	

X \ Y		A	C	T	G
	0	0	0	0	0
A	0	1	1	1	1
C	0	1	2	2	2
G	0	1	2	2	3
G	0	1	2	2	3
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- Once we've filled this in, we can work backwards.
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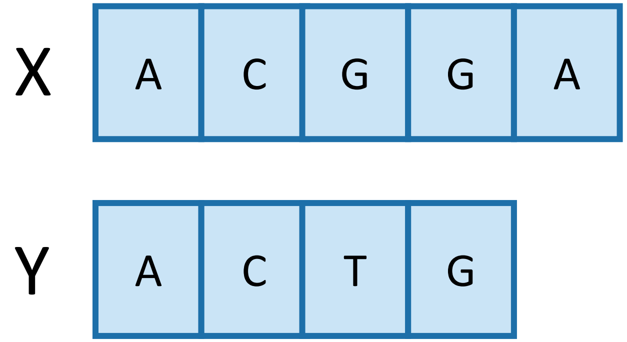
G

$$C[i,j] = \begin{cases} 0 & \text{if } i = 0 \text{ or } j = 0 \\ C[i-1,j-1] + 1 & \text{if } X[i] = Y[j] \text{ and } i,j > 0 \\ \max\{\, C[i,j-1], C[i-1,j]\} & \text{if } X[i] \neq Y[j] \text{ and } i,j > 0 \end{cases}$$

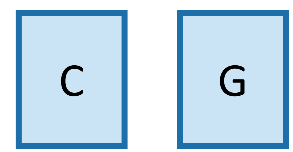
Example



Y

X		A	C	T	G
	0	0	0	0	0
A	0	1	1	1	1
C	0	1	2	2	2
G	0	1	2	2	3
G	0	1	2	2	3
A	0	1	2	2	3

- Once we've filled this in, we can work backwards.
- A diagonal jump means that we found an element of the LCS!



$$C[i,j] = \begin{cases} 0 & \text{if } i = 0 \text{ or } j = 0 \\ C[i-1,j-1]+1 & \text{if } X[i] = Y[j] \text{ and } i,j > 0 \\ \max\{\, C[i,j-1], C[i-1,j]\} & \text{if } X[i] \neq Y[j] \text{ and } i,j > 0 \end{cases}$$

Example

X: A C G G A

Y: A C T G

X \ Y		A	C	T	G
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G	0	1	2	2	3
A	0	1	2	2	3

- Once we've filled this in, we can work backwards.
- A diagonal jump means that we found an element of the LCS!

A C G

This is the LCS!

$$C[i,j] = \begin{cases} 0 & \text{if } i = 0 \text{ or } j = 0 \\ C[i-1, j-1] + 1 & \text{if } X[i] = Y[j] \text{ and } i,j > 0 \\ \max\{ C[i, j-1], C[i-1, j]\} & \text{if } X[i] \neq Y[j] \text{ and } i,j > 0 \end{cases}$$

This gives an algorithm to recover the actual LCS not just its length

- See lecture notes for pseudocode
- It runs in time O(n + m)
  - We walk up and left in an n-by-m array
  - We can only do that for n + m steps.
- So actually recovering the LCS from the table is much faster than building the table was.
- We can find LCS(X,Y) in time O(mn).

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This pseudocode actually isn't so bad

- If we are only interested in the length of the LCS:
  - Since we go across the table one-row-at-a-time, we can only keep two rows if we want.
  - If we want to recover the LCS, we need to keep the whole table.

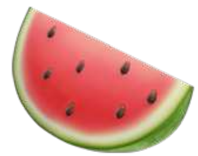
- Can we do better than O(mn) time?
  - A bit better.
    - By a log factor or so.
  - But doing much better (polynomially better) is an open problem!
    - If you can do it let me know :D

What have we learned?

- We can find LCS(X,Y) in time O(nm)
  - if |Y|=n, |X|=m
- We went through the steps of coming up with a dynamic programming algorithm.
  - We kept a 2-dimensional table, breaking down the problem by decrementing the length of X and Y.

Example 2: 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

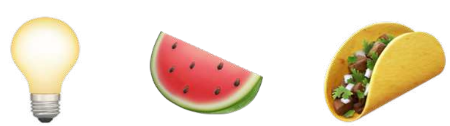
Capacity: 10

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?

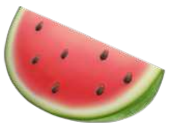
Total weight: 10
Total value: 42

- 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

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Optimal substructure

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

First solve the problem for small knapsacks

Then larger knapsacks

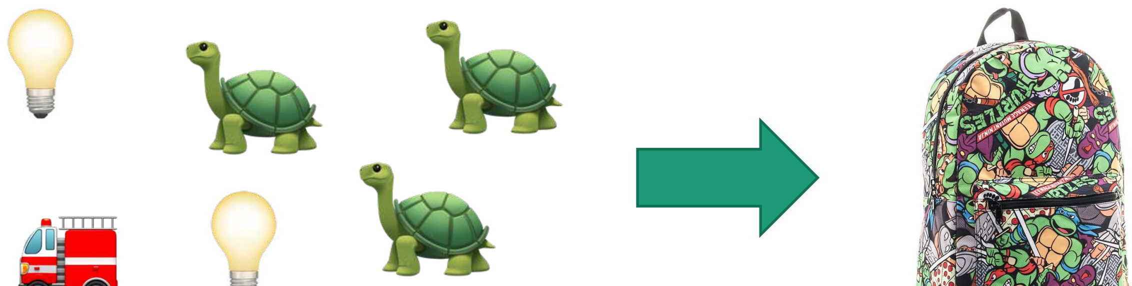
Then larger knapsacks

Optimal substructure

item i

- Suppose this is an optimal solution for capacity x:

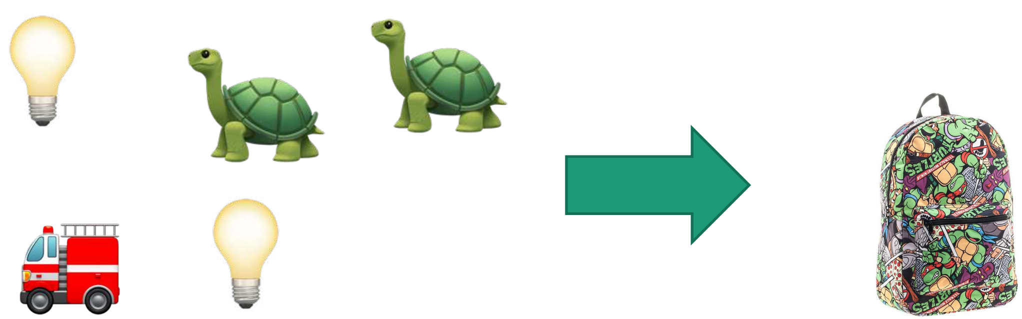
Say that the optimal solution contains at least one copy of item i.



Weight w_i
Value v_i

Capacity x
Value V

- Then this optimal for capacity x - w_i:



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

Capacity x – w_i
Value V - v_i

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Recursive relationship

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

K[x] = max$_i$ {  +  }

The maximum is over all i so that $w_i \leq x$.

Optimal way to fill the smaller knapsack

The value of item i.

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

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

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Let's write a bottom-up DP algorithm

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

Running time: O(nW)

$K[x] = \max_i \{$  +  $\}$

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

Why does this work?

Because our recursive relationship makes sense.

Can we do better?

- We only need log(W) bits to write down the input W and to write down all the weights.
- Maybe we could have an algorithm that runs in time O(nlog(W)) instead of O(nW)?
- Or even $O(\ n^{1000000} \log^{1000000}(W)\ )$?

- Open problem!
  - (But probably the answer is **no**…otherwise P = NP)

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

$K[x] = \max_i \{$  $+$  $\}$

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

Let’s write a bottom-up DP algorithm

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

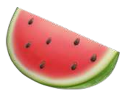
K[x] = $\max_i$ {  +  }

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

Example

- UnboundedKnapsack(W, n, weights, values):
  - K[0] = 0
  - ITEMS[0] = ∅
  - **for** x = 1, …, W:
    - K[x] = 0
    - **for** i = 1, …, n:
      - **if** $w_i \leq x$:
        - $K[x] = \max\{\, K[x], K[x - w_i] + v_i \,\}$
        - If K[x] was updated:
          - ITEMS[x] = ITEMS[x – w_i] ∪ { item i }
  - **return** ITEMS[W]

	0	1	2	3	4
K	0				
ITEMS					

Item:			
Weight:	1	2	3
Value:	1	4	6

Capacity: 4

Example

- UnboundedKnapsack(W, n, weights, values):
  - K[0] = 0
  - ITEMS[0] = Ø
  - **for** x = 1, …, W:
    - K[x] = 0
    - **for** i = 1, …, n:
      - **if** $w_i \leq x$:
        - $K[x] = \max\{ K[x], K[x - w_i] + v_i \}$
        - If K[x] was updated:
          - ITEMS[x] = ITEMS[x – w_i] ∪ { item i }
  - **return** ITEMS[W]

	0	1	2	3	4
K	0	1			
ITEMS					

ITEMS[1] = ITEMS[0] + 

Item:			
Weight:	1	2	3
Value:	1	4	6

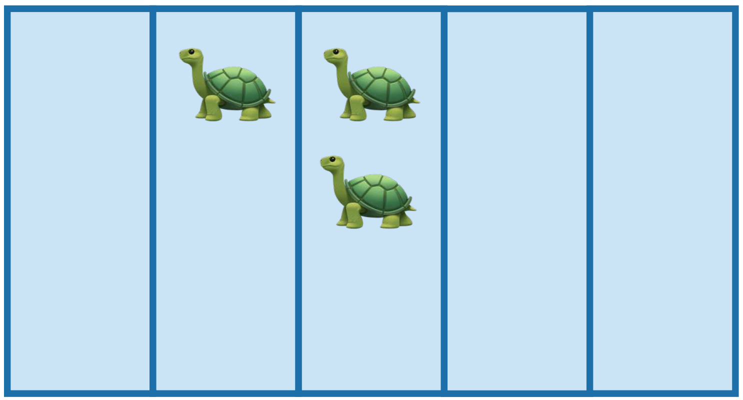
Capacity: 4

Example

- UnboundedKnapsack(W, n, weights, values):
  - K[0] = 0
  - ITEMS[0] = Ø
  - **for** x = 1, …, W:
    - K[x] = 0
    - **for** i = 1, …, n:
      - **if** $w_i \leq x$:
        - $K[x] = \max\{ K[x], K[x - w_i] + v_i \}$
        - If K[x] was updated:
          - ITEMS[x] = ITEMS[x – w_i] ∪ { item i }
  - **return** ITEMS[W]

	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

- UnboundedKnapsack(W, n, weights, values):
  - K[0] = 0
  - ITEMS[0] = Ø
  - **for** x = 1, …, W:
    - K[x] = 0
    - **for** i = 1, …, n:
      - **if** $w_i \leq x$:
        - $K[x] = \max\{ K[x], K[x - w_i] + v_i \}$
        - If K[x] was updated:
          - ITEMS[x] = ITEMS[x – w_i] ∪ { item i }
  - **return** ITEMS[W]

	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

- UnboundedKnapsack(W, n, weights, values):
  - K[0] = 0
  - ITEMS[0] = Ø
  - **for** x = 1, …, W:
    - K[x] = 0
    - **for** i = 1, …, n:
      - **if** $w_i \leq x$:
        - $K[x] = \max\{\, K[x], K[x - w_i] + v_i \,\}$
        - If K[x] was updated:
          - ITEMS[x] = ITEMS[x – w_i] ∪ { item i }
  - **return** ITEMS[W]

Example

	0	1	2	3	4
K	0	1	4	5	
ITEMS					

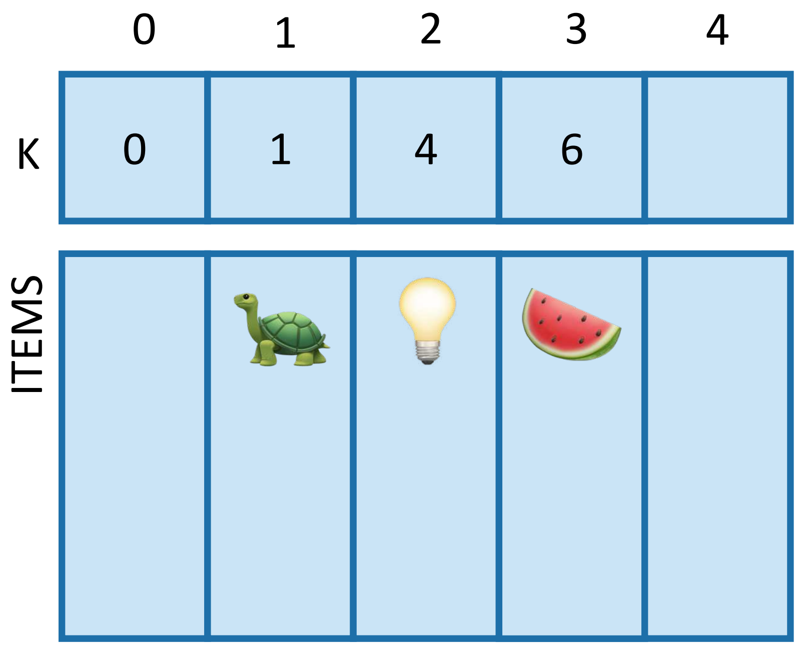
ITEMS[3] = ITEMS[2] + 

Item:			
Weight:	1	2	3
Value:	1	4	6

Capacity: 4

Example

- UnboundedKnapsack(W, n, weights, values):
  - K[0] = 0
  - ITEMS[0] = ∅
  - **for** x = 1, …, W:
    - K[x] = 0
    - **for** i = 1, …, n:
      - **if** $w_i \leq x$:
        - $K[x] = \max\{\, K[x], K[x - w_i] + v_i \,\}$
        - If K[x] was updated:
          - ITEMS[x] = ITEMS[x – w_i] ∪ { item i }
  - **return** ITEMS[W]



ITEMS[3] = ITEMS[0] + 

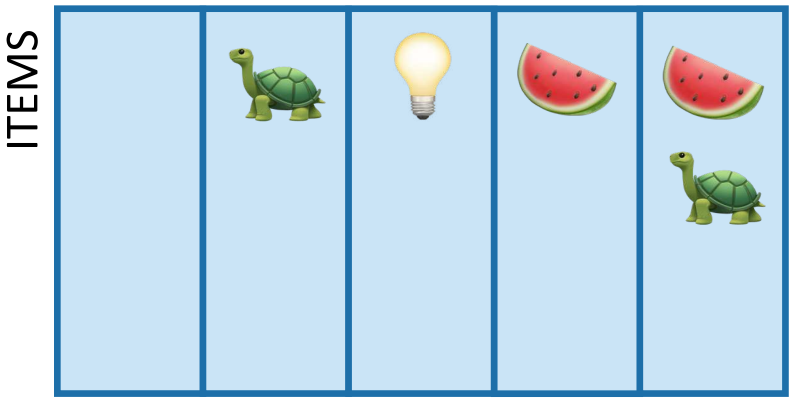
Item:

Weight:	1	2	3
Value:	1	4	6

Capacity: 4

Example

	0	1	2	3	4
K	0	1	4	6	7



ITEMS[4] = ITEMS[3] + 

- UnboundedKnapsack(W, n, weights, values):
  - K[0] = 0
  - ITEMS[0] = Ø
  - **for** x = 1, …, W:
    - K[x] = 0
    - **for** i = 1, …, n:
      - **if** $w_i \leq x$:
        - $K[x] = \max\{ K[x], K[x - w_i] + v_i \}$
        - If K[x] was updated:
          - ITEMS[x] = ITEMS[x – w_i] ∪ { item i }
  - **return** ITEMS[W]

Item: 

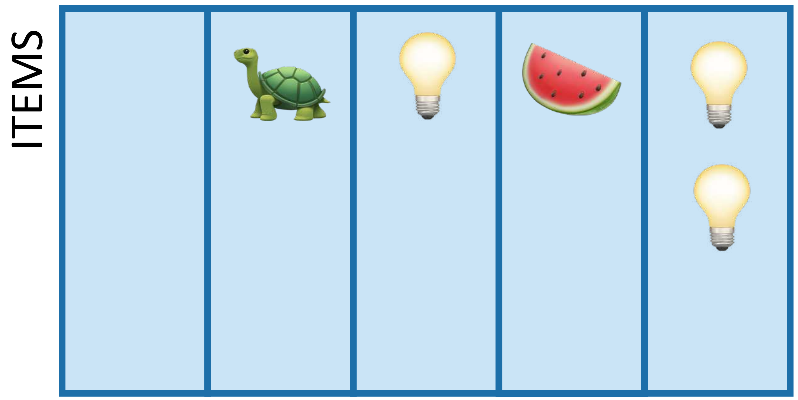
Weight: 1 2 3

Value: 1 4 6

Capacity: 4

Example

	0	1	2	3	4
K	0	1	4	6	8



ITEMS[4] = ITEMS[2] + 

- UnboundedKnapsack(W, n, weights, values):
  - K[0] = 0
  - ITEMS[0] = ∅
  - **for** x = 1, …, W:
    - K[x] = 0
    - **for** i = 1, …, n:
      - **if** $w_i \leq x$:
        - $K[x] = \max\{ K[x], K[x - w_i] + v_i \}$
        - If K[x] was updated:
          - ITEMS[x] = ITEMS[x – w_i] ∪ { item i }
  - **return** ITEMS[W]

Item: 

Weight: 1 2 3

Value: 1 4 6

Capacity: 4

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.

(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

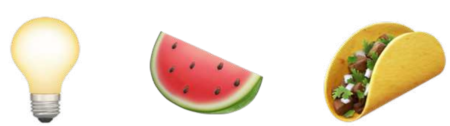
Item: 

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.
- **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: 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.

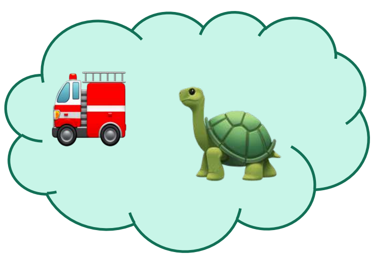
Optimal substructure: try 2

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

We'll still increase the size of the knapsacks.

First solve the problem with few items

Then more items

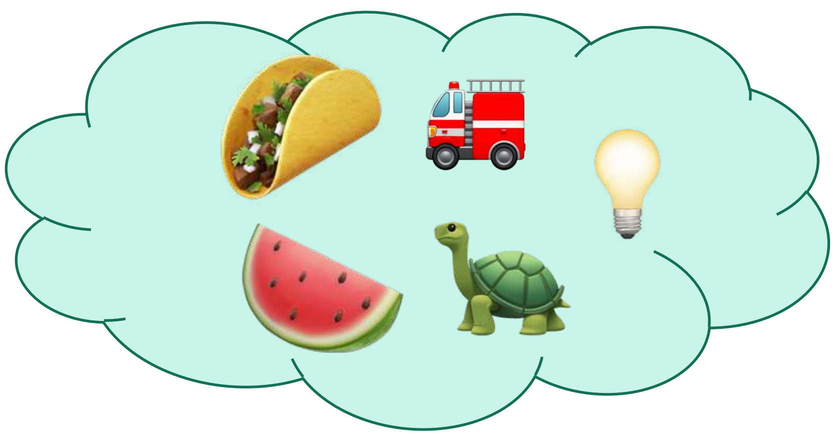


Then yet more items

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

Our sub-problems:

- Indexed by x and j



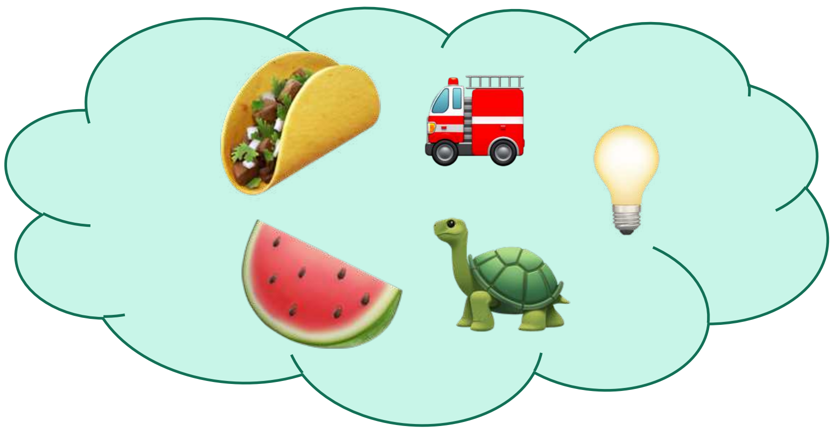
First j items

Capacity x

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.



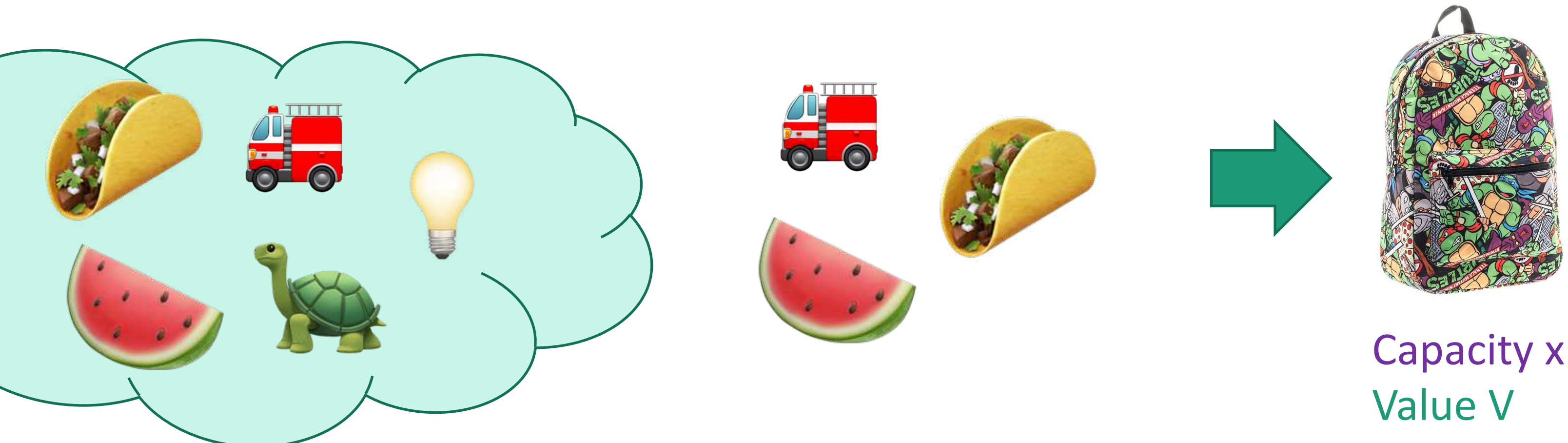
First j items

Capacity x

Two cases

item j

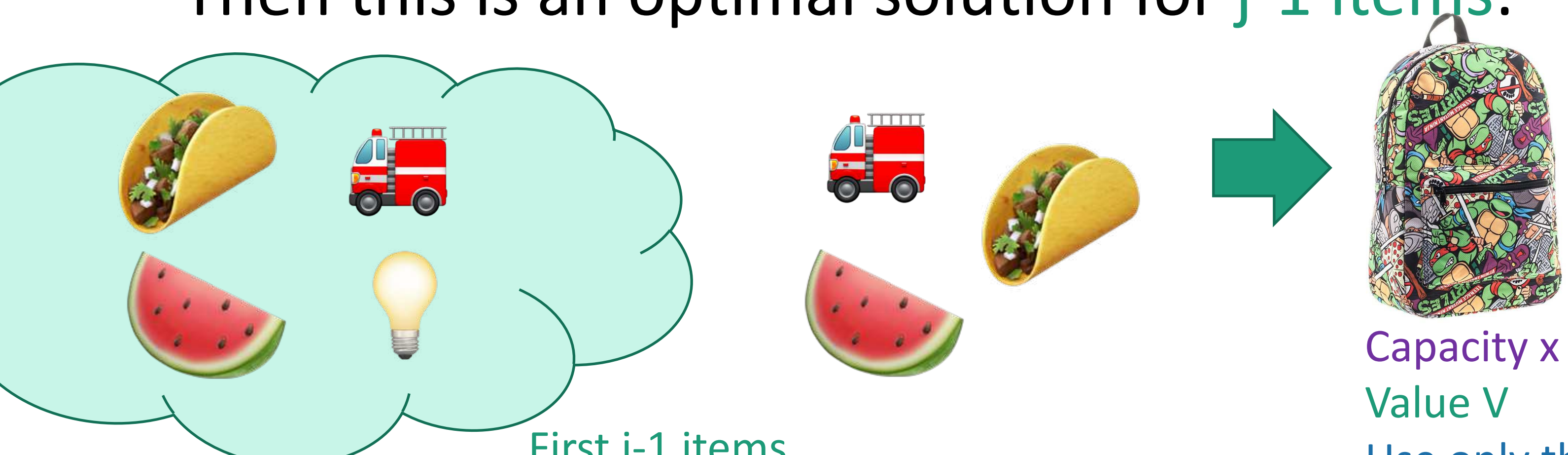
- **Case 1**: Optimal solution for j items does not use item j.



First j items

Capacity x
Value V
Use only the first j items

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

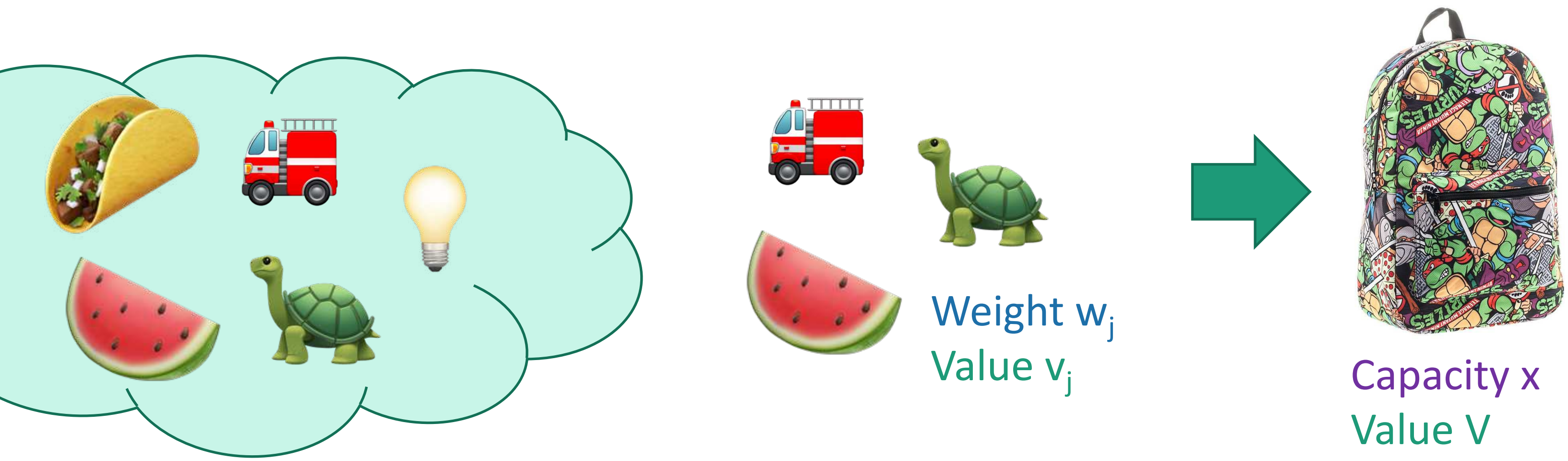


First j-1 items

Capacity x
Value V
Use only the first j-1 items.

Two cases

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



- Then this is an optimal solution for j-1 items and a smaller 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.

Recursive relationship

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

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

Case 1

Case 2

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

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.

Bottom-up DP algorithm

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

	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

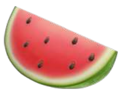
Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

	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

Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

	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	2	3
Value:	1	4	6

Capacity: 3

Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

	x=0	x=1	x=2	x=3
j=0	0	0	0	0
🐢 j=1	0	1 🐢 (relevant previous entry)		
💡 🐢 j=2	0	1 🐢 (current entry)		
🍉 💡 🐢 j=3	0			

current entry

relevant previous entry

Item:	🐢	💡	🍉
Weight:	1	2	3
Value:	1	4	6

Capacity: 3

Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

	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	2	3
Value:	1	4	6

Capacity: 3

Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

		x=0	x=1	x=2	x=3
	j=0	0	0	0	0
🐢	j=1	0	1 🐢	0	
💡 🐢	j=2	0	1 🐢		
🍉 💡 🐢	j=3	0	1 🐢		

current entry (x=2, j=1)

relevant previous entry (x=2, j=0)

Item:	🐢	💡	🍉
Weight:	1	2	3
Value:	1	4	6

Capacity: 3

Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

	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 previous entry

Item: 

Weight: 1 2 3

Value: 1 4 6

Capacity: 3

Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

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

current entry

relevant previous entry

Item:

Weight:	1	2	3
Value:	1	4	6

Capacity: 3

Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

	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 previous entry

Item:			
Weight:	1	2	3
Value:	1	4	6

Capacity: 3

Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

	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	4	

current entry

relevant previous entry

Item:			
Weight:	1	2	3
Value:	1	4	6

Capacity: 3

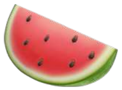
Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

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

current entry

relevant previous entry

Item:				
Weight:	1	2	3	
Value:	1	4	6	Capacity: 3

Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

	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	
j=3	0	1	4	

current entry

relevant previous entry

Item:	1	2	3
Weight:	1	2	3
Value:	1	4	6

Capacity: 3

Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
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      - 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]

	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	1
j=3	0	1	4	

current entry

relevant previous entry

Item:			
Weight:	1	2	3
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Capacity: 3

Example

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      - 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]

	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:			
Weight:	1	2	3
Value:	1	4	6

Capacity: 3

Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

		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 💡	5 🐢 💡

current entry

relevant previous entry

Item:	🐢	💡	🍉
Weight:	1	2	3
Value:	1	4	6

Capacity: 3

Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

	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	6

current entry

relevant previous entry

Item:				
Weight:	1	2	3	
Value:	1	4	6	Capacity: 3

Example

- Zero-One-Knapsack(W, n, w, v):
  - K[x,0] = 0 for all x = 0,…,W
  - K[0,i] = 0 for all i = 0,…,n
  - **for** x = 1,…,W:
    - **for** j = 1,…,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]

		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 💡	6 🍉

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

current entry

relevant previous entry

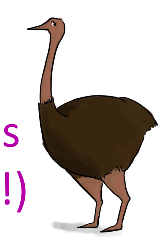
Item:	🐢	💡	🍉
Weight:	1	2	3
Value:	1	4	6

Capacity: 3

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.

You do this one!
(We did it on the slide in the previous example, just not in the pseudocode!)



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.

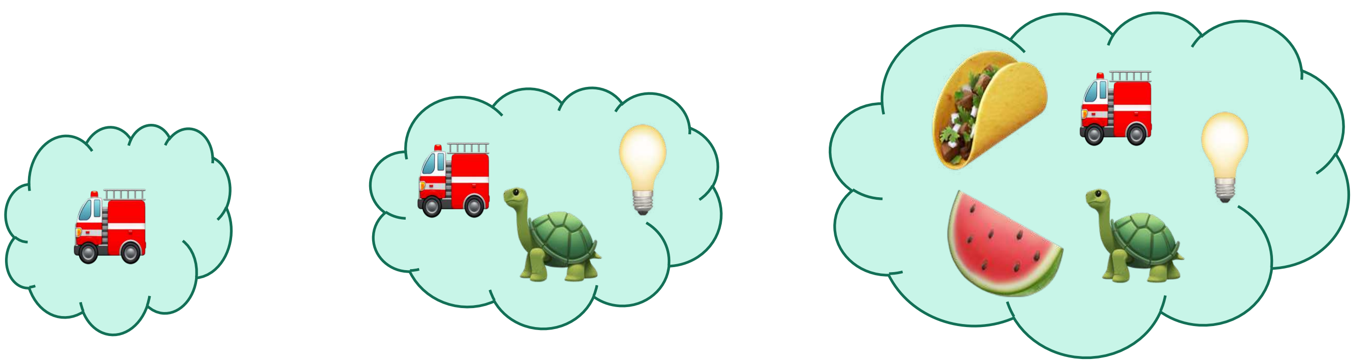
Question

- 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.

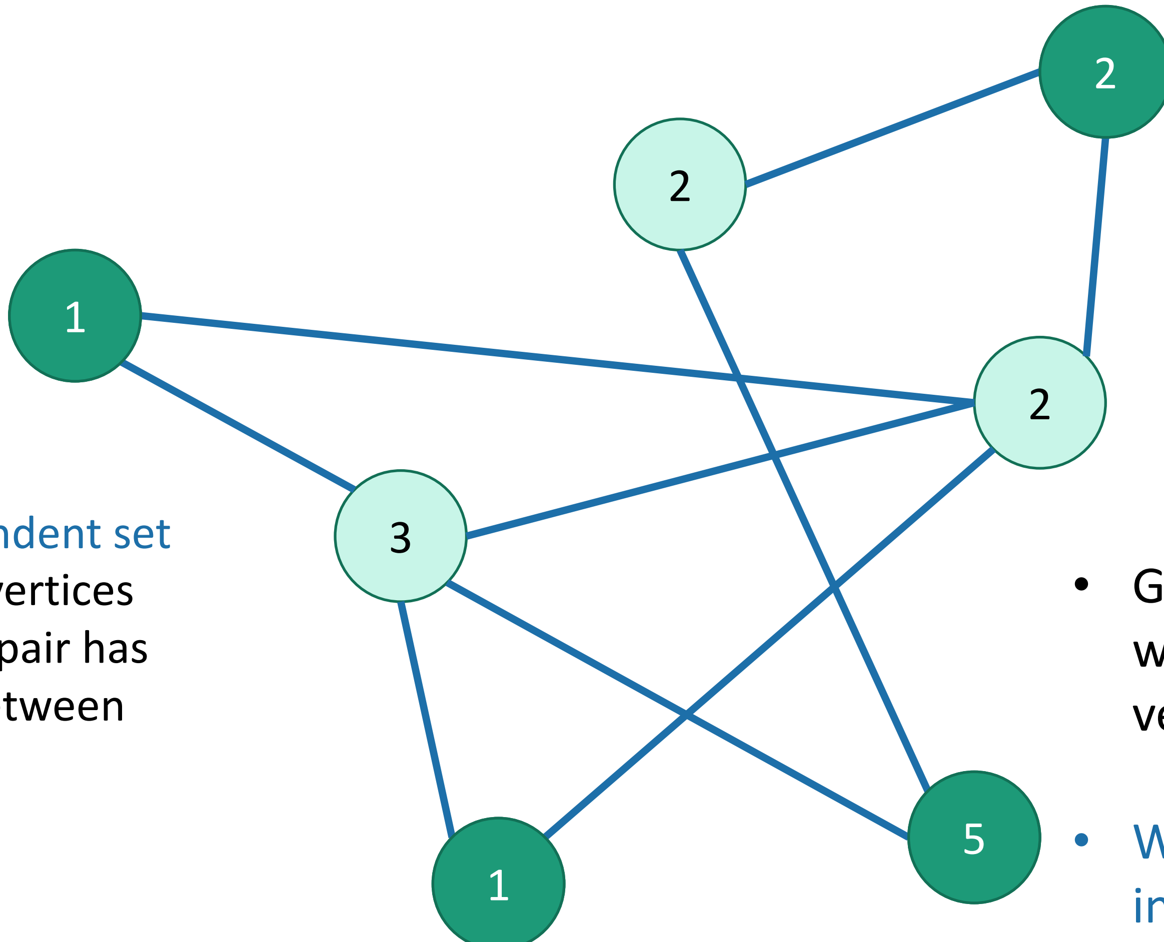


In 0/1 knapsack, we can only use each item once, so it makes sense to leave out one item at a time.

Operational Answer: try some stuff, see what works!

Example 3: Independent Set

if we still have time



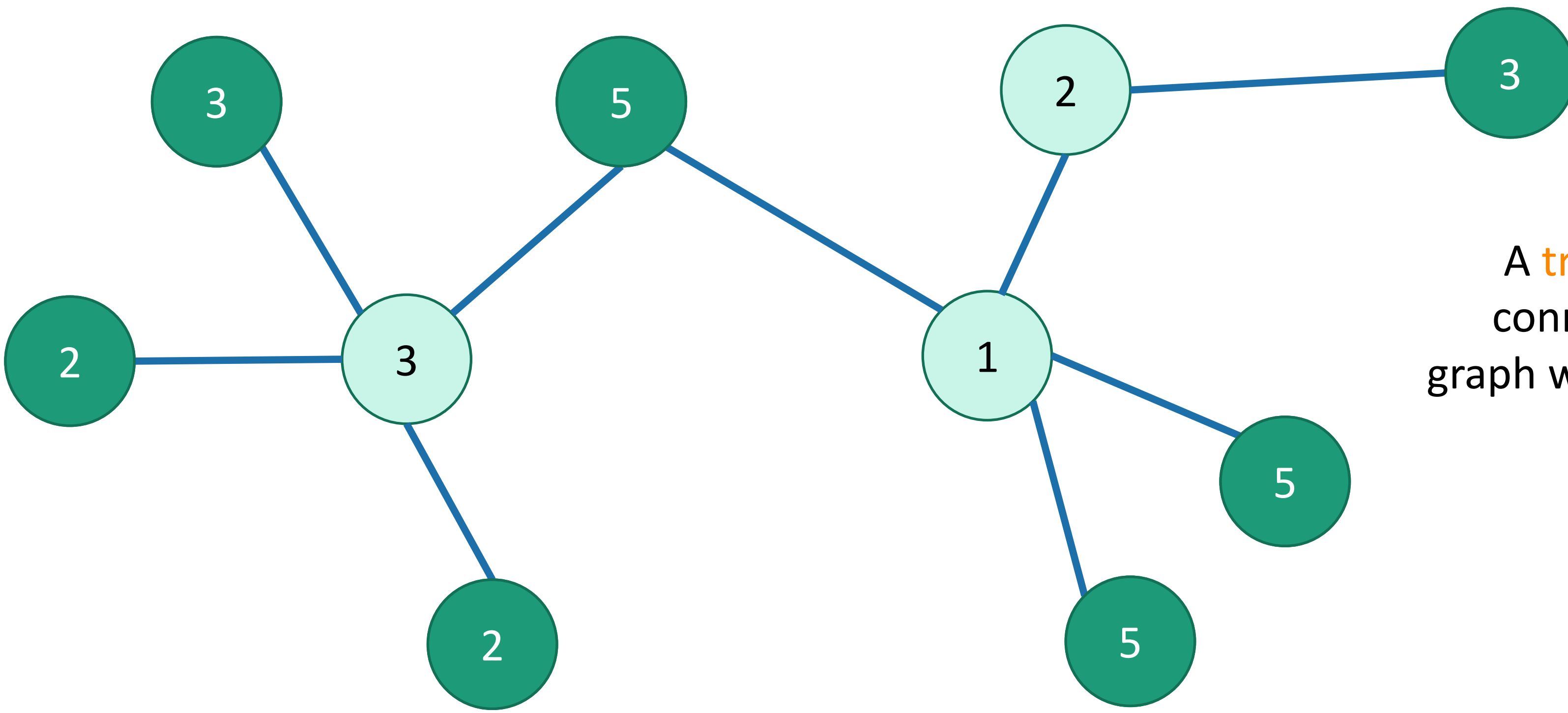
An independent set is a set of vertices so that no pair has an edge between them.

- Given a graph with weights on the vertices…
- What is the independent set with the largest weight?

Actually this problem is NP-complete.

So we are unlikely to find an efficient algorithm

- But if we also assume that the graph is a tree…



A tree is a connected graph with no cycles.

Problem:

find a maximal independent set in a tree (with vertex weights).

Recipe for applying Dynamic Programming

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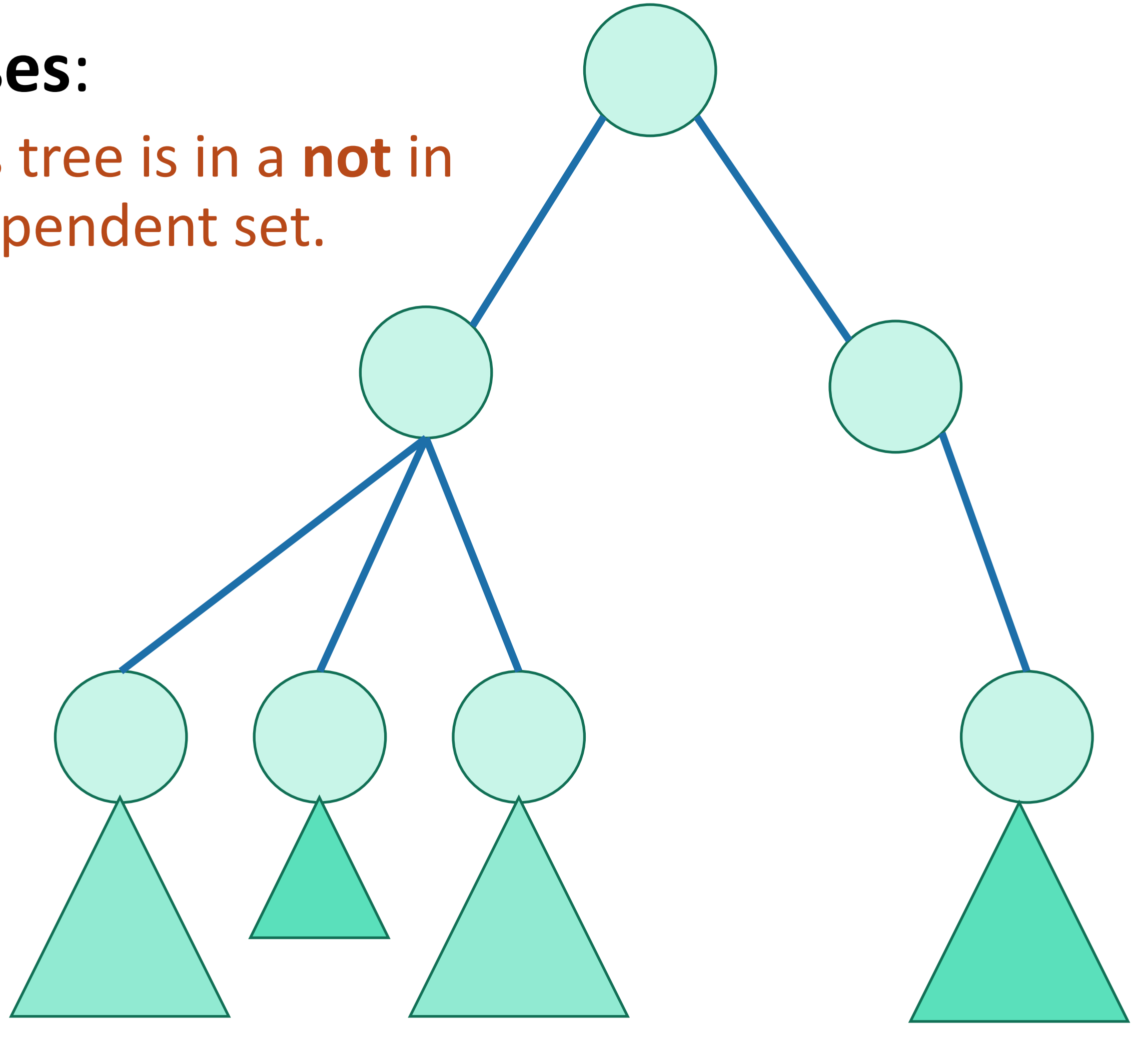
- **Step 5:** If needed, code this up like a reasonable person.

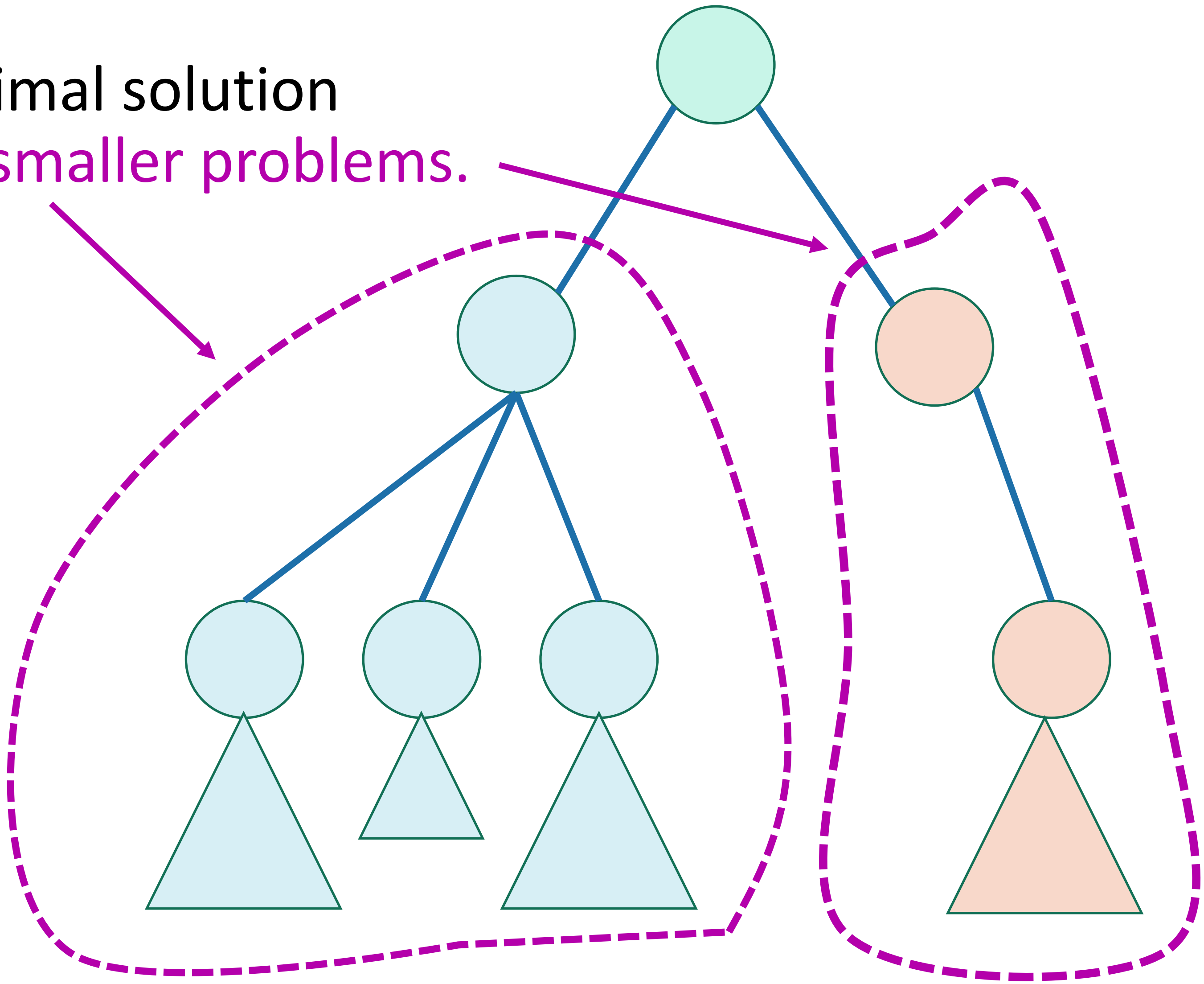
Optimal substructure

- **Subtrees** are a natural candidate.
- There are **two cases**:
  1. The root of this tree is in a **not** in a maximal independent set.
  2. Or it is.



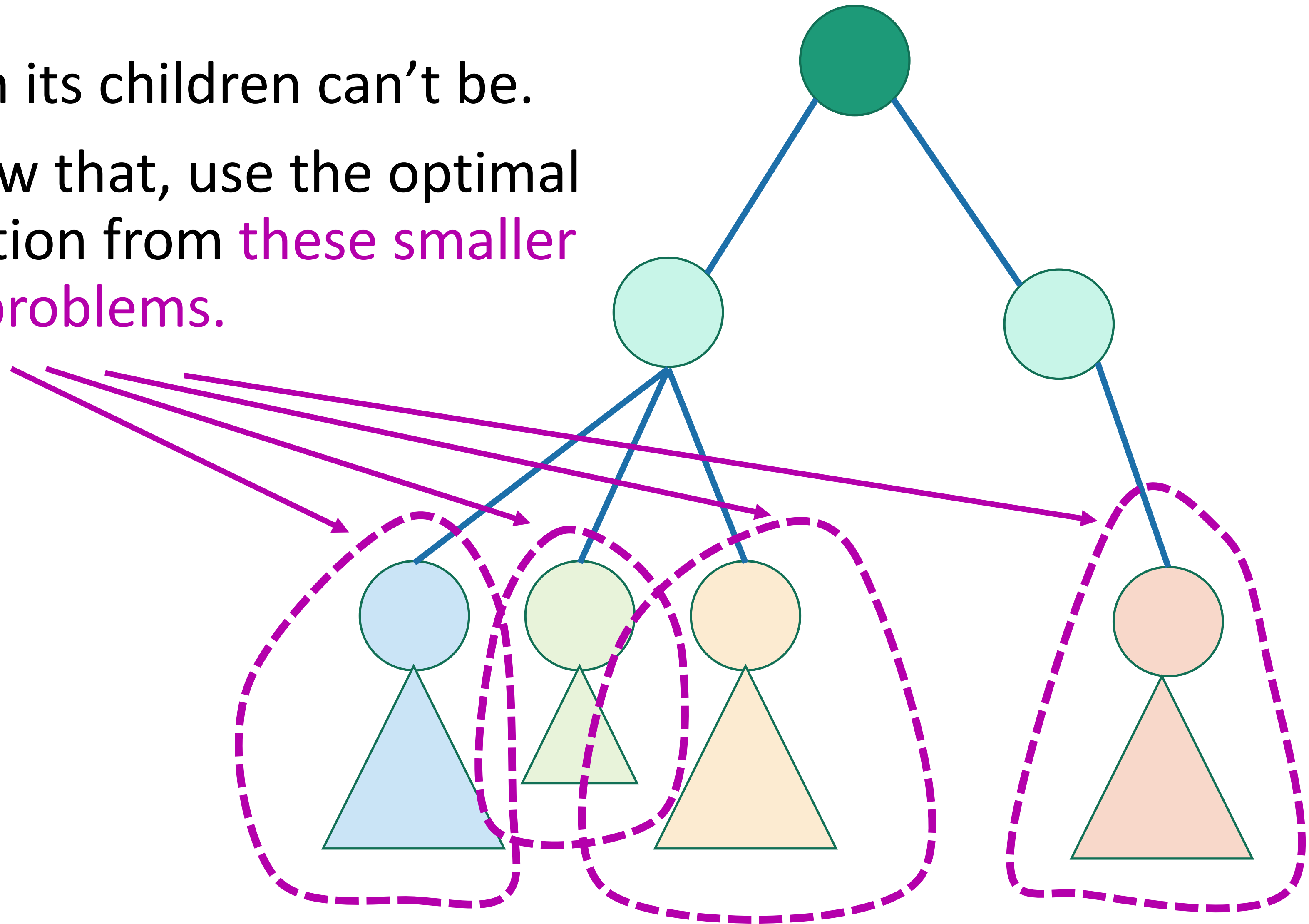
Case 1:
the root is **not** in an maximal independent set

- Use the optimal solution from these smaller problems.



Case 2:
the root is in an maximal independent set

- Then its children can't be.
- Below that, use the optimal solution from these smaller subproblems.



Recipe for applying Dynamic Programming

- **Step 1:** Identify optimal substructure.
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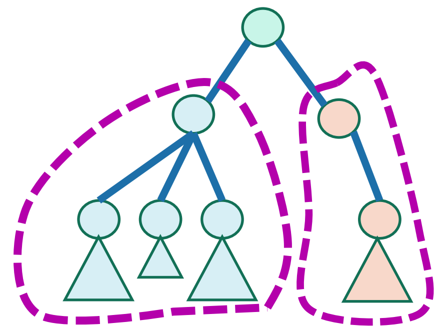
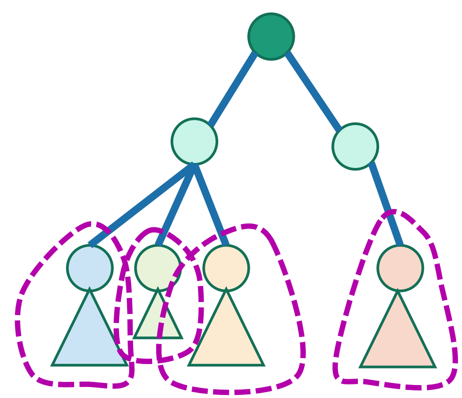
Recursive formulation: try 1

- Let A[u] be the weight of a maximal independent set in the tree rooted at u.



- $A[u] =$

$$\max \begin{cases} \sum_{v \in u.\text{children}} A[v] \\ \text{weight}(u) + \sum_{v \in u.\text{grandchildren}} A[v] \end{cases}$$

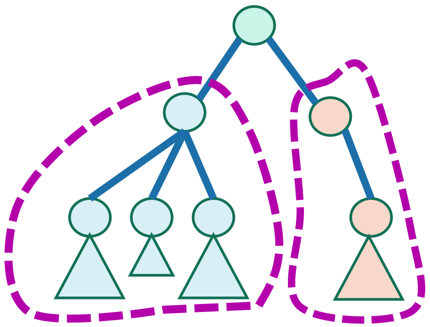


When we implement this, how do we keep track of this term?

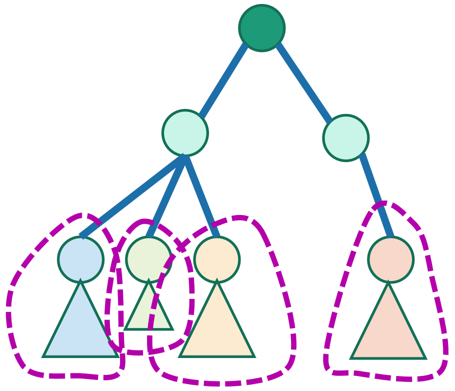
Recursive formulation: try 2

Keep two arrays!

- Let A[u] be the weight of a maximal independent set in the tree rooted at u.
- Let B[u] = $\sum_{v \in u.\text{children}} A[v]$



- $A[u] = \max \begin{cases} \sum_{v \in u.\text{children}} A[v] \\ \text{weight}(u) + \sum_{v \in u.\text{children}} B[v] \end{cases}$



Recipe for applying Dynamic Programming

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A top-down DP algorithm

- MIS_subtree(u):
  - **if** u is a leaf:
    - A[u] = weight(u)
    - B[u] = 0
  - **else**:
    - **for** v in u.children:
      - MIS_subtree(v)
    - $A[u] = \max\{ \sum_{v \in u.\text{children}} A[v], \text{weight}(u) + \sum_{v \in u.\text{children}} B[v] \}$
    - $\text{B}[u] = \sum_{v \in u.\text{children}} A[v]$

Initialize global arrays A, B that we will use in all of the recursive calls.

- MIS(T):
  - MIS_subtree(T.root)
  - **return** A[T.root]

Running time?

- We visit each vertex once, and at every vertex we do O(1) work:
  - Make a recursive call
  - look stuff up in tables
- Running time is O(|V|)

Why is this different from divide-and-conquer?

That's always worked for us with tree problems before…

- MIS_subtree(u):
  - **if** u is a leaf:
    - **return** weight(u)
  - **else**:
    - **for** v in u.children:
      - MIS_subtree(v)
    - **return** max{ $\sum_{v \in u.\text{children}} \text{MIS\_subtree}(v)$,

      $\text{weight}(u) + \sum_{v \in u.\text{grandchildren}} \text{MIS\_subtree}(v)$ }

This is exactly the same pseudocode, except we've ditched the table and are just calling MIS_subtree(v) instead of looking up A[v] or B[v].

- MIS(T):
  - **return** MIS_subtree(T.root)

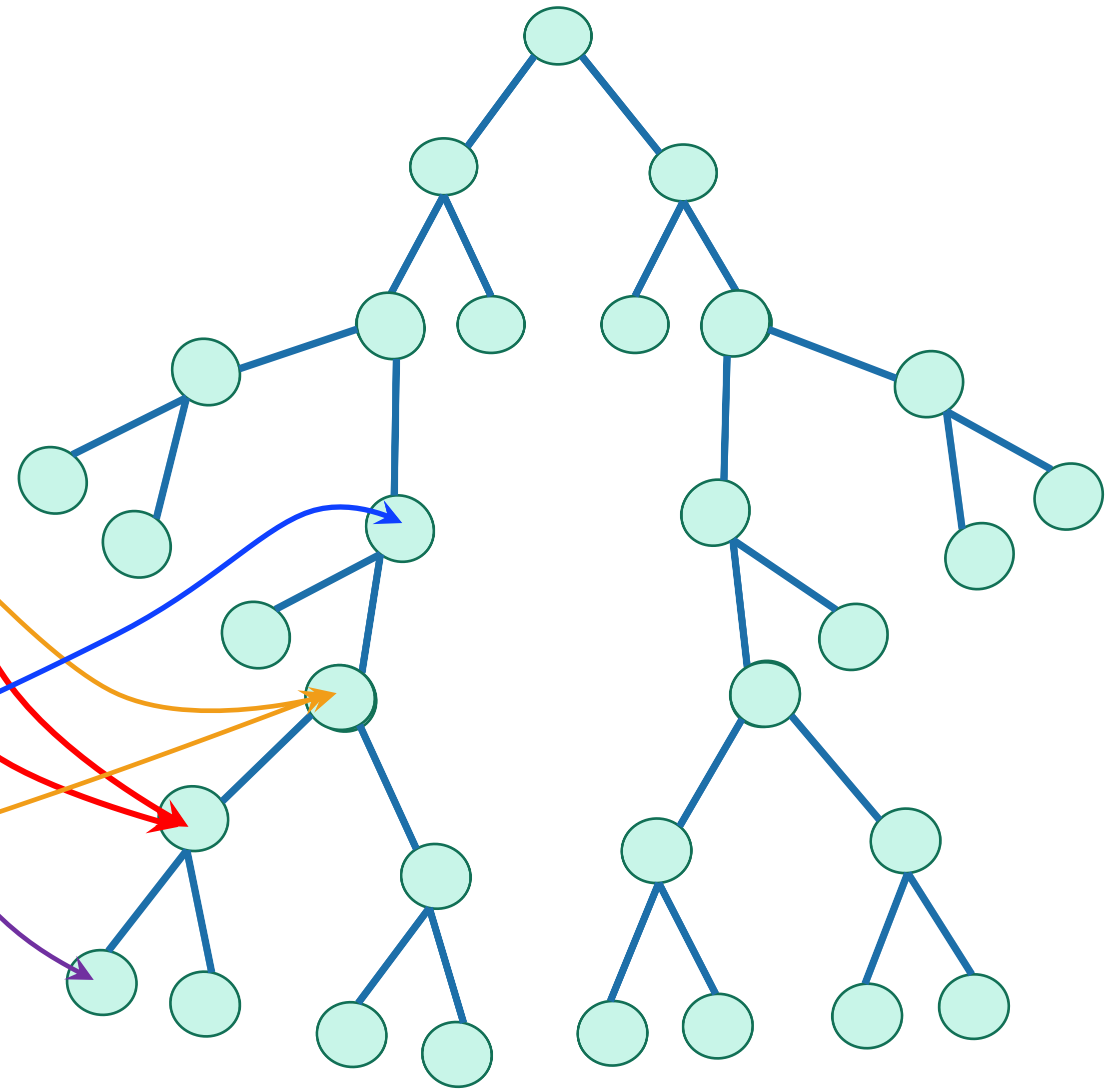
Why is this different from divide-and-conquer?

That’s always worked for us with tree problems before…

How often would we ask about the subtree rooted **here**?

Once for **this node** and once for **this one**.

But we then ask about **this node** twice, **here** and **here**.



This will blow up exponentially without using dynamic programming to take advantage of **overlapping subproblems**.

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.

You do this one!

What have we learned?

- We can find maximal independent sets in trees in time O(|V|) using dynamic programming!
- For this example, it was natural to implement our DP algorithm in a top-down way.

Recap

- Today we saw examples of how to come up with dynamic programming algorithms.
  - Longest Common Subsequence
  - Knapsack two ways
  - (If time) maximal independent set in trees.
- There is a **recipe** for dynamic programming algorithms.

Recipe for applying Dynamic Programming

- **Step 1:** Identify optimal substructure.
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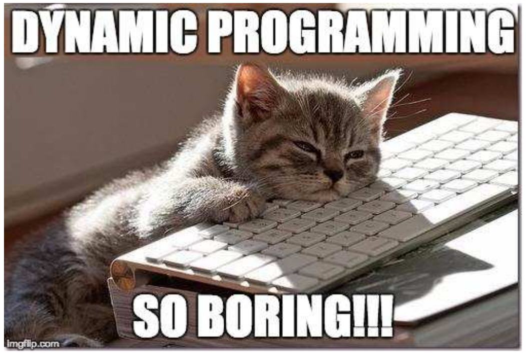
Recap



- Today we saw examples of how to come up with dynamic programming algorithms.
  - Longest Common Subsequence
  - Knapsack two ways
  - (If time) maximal independent set in trees.
- There is a **recipe** for dynamic programming algorithms.
- Sometimes coming up with the right substructure takes some creativity
  - You'll get lots of practice on Homework 6! ☺

Next week

- Greedy algorithms!

Before next time

- Pre-lecture exercise: Greed is good!