

An Improved FPTAS for 0-1 Knapsack

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0-1 Knapsack Problem

Given:

Knapsack capacity $W > 0$

n items

Each item i has *weight* $0 < w_i \leq W$
and *profit* $p_i > 0$

Find a subset of items $I \subseteq [n]$ such that:

- $w(I) := \sum_{i \in I} w_i \leq W$
- $p(I) := \sum_{i \in I} p_i$ is maximized

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A well-known NP-hard problem

FPTAS for 0-1 Knapsack

OPT = optimal total profit $p(I)$

For $\varepsilon > 0$, find a subset $I \subseteq [n]$ such that:

- $w(I) \leq W$
- $p(I) \geq \frac{\text{OPT}}{1+\varepsilon}$

Solvable in $\text{poly}\left(n, \frac{1}{\varepsilon}\right)$ time

Prior Work

FPTAS for 0-1 Knapsack:

- $\tilde{O}(n^3 / \varepsilon)$ (textbook algorithm)
- $\tilde{O}(n + \varepsilon^{-4})$ [Ibarra and Kim, 1975]
- $\tilde{O}(n + \varepsilon^{-3})$ [Kellerer and Pferschy, 2004]
- $\tilde{O}(n + \varepsilon^{-2.5})$ [Rhee, 2015]
- $\tilde{O}(n + \varepsilon^{-2.4})$ [**Chan, 2018**]

Prior Work

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- $\tilde{O}(n + \varepsilon^{-4})$ [Ibarra and Kim, 1975]
- $\tilde{O}(n + \varepsilon^{-3})$ [Kellerer and Pferschy, 2004]
- $\tilde{O}(n + \varepsilon^{-2.5})$ [Rhee, 2015]
- $\tilde{O}(n + \varepsilon^{-2.4})$ [**Chan, 2018**]
- $\tilde{O}(n + \varepsilon^{-2.25})$ (**this work**)

Conditional Lower Bound:

No $O\left((n + \varepsilon^{-1})^{2-\delta}\right)$ time algorithm,

unless **(min, +) convolution** has truly subquadratic algo
[Cygan, Mucha, Węgrzycki, and Włodarczyk, 2017]

A Special Case

FPTAS for *Subset Sum* ($p_i = w_i$):

- $\tilde{O}(\min\{n + \varepsilon^{-2}, n\varepsilon^{-1}\})$

[Kellerer, Mansini, Pferschy, and Speranza, 2003]

A Special Case

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- $\tilde{O}(\min\{n + \varepsilon^{-2}, n\varepsilon^{-1}\})$

[Kellerer, Mansini, Pferschy, and Speranza, 2003]

Our 0-1 Knapsack algorithm utilizes this result

- Our $\tilde{O}(n + \varepsilon^{-2.25})$ algorithm builds on Chan's $\tilde{O}(n + \varepsilon^{-2.4})$ algorithm
- Two new ideas
 1. Extending Chan's number-theoretic technique from two levels to multiple levels.

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 2. A greedy argument \Rightarrow less computation spent on cheap items (small *unit profit* p_i/w_i)

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This talk

- Our $\tilde{O}(n + \varepsilon^{-2.25})$ algorithm builds on Chan's $\tilde{O}(n + \varepsilon^{-2.4})$ algorithm
- Two new ideas
 1. Extending Chan's number-theoretic technique from two levels to multiple levels.

2. A greedy argument \Rightarrow less computation spent on cheap items (small *unit profit* p_i/w_i)

Preliminaries (based on [Chan, 2018])

Using Chan's Lemmas as blackboxes

This talk

$\tilde{O}(n + \varepsilon^{-2.333})$ algo

Preliminaries

- Assume $n \leq \text{poly}(\varepsilon^{-1})$.
- Too cheap items ($p_i < \frac{\varepsilon}{n} \max_j p_j$) are discarded at the beginning (loss $\leq \varepsilon \cdot \text{OPT}$)
So $\frac{\max p_j}{\min p_j} \leq \text{poly}(\varepsilon^{-1})$

n items, capacity = W
weight $0 < w_i \leq W$ and profit $p_i > 0$

Preliminaries

- “Profit function” (defined over real $x \geq 0$)
$$f_I(x) = \max \{p(J) : J \subseteq I, w(J) \leq x\}$$

$n \leq \text{poly}(\varepsilon^{-1})$ items
profit $\max p_j / \min p_j \leq \text{poly}(\varepsilon^{-1})$
weight $0 < w_i \leq W$

Preliminaries

- “Profit function” (defined over real $x \geq 0$)

$$f_I(x) = \max \{p(J) : J \subseteq I, w(J) \leq x\}$$

- Task: compute a $(1 + \varepsilon)$ -approximation of profit function f_I ,

$$\tilde{f}_I(x) \leq f_I(x) \leq (1 + \varepsilon)\tilde{f}_I(x), \forall x \geq 0$$

$n \leq \text{poly}(\varepsilon^{-1})$ items

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- For disjoint sets I, J of items,

$$f_{I \cup J}(x) = (f_I \oplus f_J)(x) := \max_{0 \leq y \leq x} (f_I(y) + f_J(x - y))$$

$n \leq \text{poly}(\varepsilon^{-1})$ items

profit $\max p_j / \min p_j \leq \text{poly}(\varepsilon^{-1})$

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$$f_{I \cup J}(x) = (f_I \oplus f_J)(x) := \max_{0 \leq y \leq x} (f_I(y) + f_J(x - y))$$

- $\tilde{f}_I \oplus \tilde{f}_J$ is a $(1 + \varepsilon)$ -approximation of $f_{I \cup J}$

$n \leq \text{poly}(\varepsilon^{-1})$ items

profit $\max p_j / \min p_j \leq \text{poly}(\varepsilon^{-1})$

weight $0 < w_i \leq W$

Preliminaries

- A nondecreasing step function f has a $(1 + \varepsilon)$ -approx. with only $\tilde{O}(1/\varepsilon)$ steps (by rounding down to powers of $(1 + \varepsilon)$)

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profit $\max p_j / \min p_j \leq \text{poly}(\varepsilon^{-1})$

Preliminaries

- A nondecreasing step function f has a $(1 + \varepsilon)$ -approx. with only $\tilde{O}(1/\varepsilon)$ steps (by rounding down to powers of $(1 + \varepsilon)$)
- “**Merging Lemma**”: Computing (a $(1 + \varepsilon)$ -approx. of) $f_1 \oplus \cdots \oplus f_m$ takes $\tilde{O}(m/\varepsilon^2)$ time.

($\log m$ depth binary tree. $\varepsilon' := \varepsilon / \log m$)

$$f \oplus g := \max_{0 \leq y \leq x} (f(y) + g(x - y))$$

Preliminaries

- Divide items into $O(\log 1/\varepsilon)$ groups
(group k : $p_i \in [2^k, 2^{k+1}]$)

$n \leq \text{poly}(\varepsilon^{-1})$ items

profit $\max p_j / \min p_j \leq \text{poly}(\varepsilon^{-1})$

weight $0 < w_i \leq W$

Merging $f_1 \oplus \dots \oplus f_m$: $\tilde{O}(m/\varepsilon^2)$ time.

Preliminaries

- Divide items into $O(\log 1/\varepsilon)$ groups (group k : $p_i \in [2^k, 2^{k+1}]$)
- Compute all f_k and merge them in $\tilde{O}(1/\varepsilon^2)$ time

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- Compute all f_k and merge them in $\tilde{O}(1/\varepsilon^2)$ time
- Now **assume** $p_i \in [1, 2]$

$n \leq \text{poly}(\varepsilon^{-1})$ items

profit $\max p_j / \min p_j \leq \text{poly}(\varepsilon^{-1})$

weight $0 < w_i \leq W$

Merging $f_1 \oplus \dots \oplus f_m$: $\tilde{O}(m/\varepsilon^2)$ time.

Preliminaries

- Simple greedy (sort by unit profit $\frac{p_1}{w_1} \geq \frac{p_2}{w_2} \geq \dots$)
approximates with additive error $d \leq \max p_i = O(1)$

profit $p_i \in [1, 2]$
weight $0 < w_i \leq W$

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- Simple greedy (sort by unit profit $\frac{p_1}{w_1} \geq \frac{p_2}{w_2} \geq \dots$) approximates with additive error $d \leq \max p_i = O(1)$
- For $f(w) \geq \Omega(\varepsilon^{-1})$, this is $1 + O(\varepsilon)$ multiplicative approx.

profit $p_i \in [1,2]$
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Preliminaries

- Simple greedy (sort by unit profit $\frac{p_1}{w_1} \geq \frac{p_2}{w_2} \geq \dots$) approximates with additive error $d \leq \max p_i = O(1)$
- For $f(w) \geq \Omega(\varepsilon^{-1})$, this is $1 + O(\varepsilon)$ multiplicative approx.
- Only need to $1 + O(\varepsilon)$ approximate $\min\{B, f_I\}$ for $B = O(\varepsilon^{-1})$!

profit $p_i \in [1,2]$
weight $0 < w_i \leq W$

Preliminaries

- Round p_i down to $1, 1 + \varepsilon, 1 + 2\varepsilon, \dots, 2 - \varepsilon$
($1 + \varepsilon$) multiplicative error
- Only $m = O(1/\varepsilon)$ different p_i 's!

$$p_i \in [1, 2]$$

Preliminaries

- Round p_i down to $1, 1 + \varepsilon, 1 + 2\varepsilon, \dots, 2 - \varepsilon$
($1 + \varepsilon$) multiplicative error
- Only $m = O(1/\varepsilon)$ different p_i 's!
- Collect all items with the **same profit p** .
Then f_p can be computed by simple greedy (sort $w_1 \leq w_2 \leq \dots$)

$$p_i \in [1, 2]$$

Recap

$$p_i \in [1, 2]$$

Profit functions f_1, \dots, f_m obtained by simple greedy (one for every p_i) ($m = O(1/\varepsilon)$)

Task: $1 + O(\varepsilon)$ approximate

$$\min\{B, f_1 \oplus \dots \oplus f_m\} \quad (B = O(\varepsilon^{-1}))$$

Lemma: Merging $f_1 \oplus \dots \oplus f_m$ in $\tilde{O}(m/\varepsilon^2)$ time.

(Immediately gives $\tilde{O}(n + \varepsilon^{-3})$ algo)

Chan's results

$\tilde{O}(\varepsilon^{-1}\sqrt{B}m)$ algo
(faster when **B small**)



$\tilde{O}(\varepsilon^{-4/3}n + \varepsilon^{-2})$ algo
(faster when **n small**)

n items with $m = O(\varepsilon^{-1})$ distinct profit values $p_i \in [1,2]$

Task: $1 + O(\varepsilon)$ approximate

$$\min\{B, f_1 \oplus \dots \oplus f_m\}$$

($B = O(\varepsilon^{-1})$)

A Greedy Lemma

- If
- the items can be divided into two groups H, L with a large enough gap between their unit profits,

$$\max_{\ell \in L} p_{\ell}/w_{\ell} \leq (1 - \alpha) \cdot \min_{h \in H} p_h/w_h$$

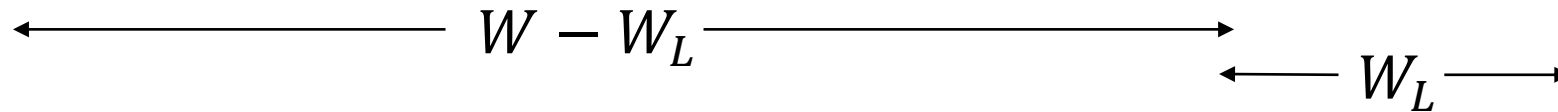
- and group H is large enough,

$$\sum_{h \in H} w_h > W$$

Then

- In an optimal solution, L -items contribute total profit $\leq 2/\alpha$

$$p_i \in [1, 2]$$
$$\text{capacity} = W$$

H L 

- Suppose the optimal solution is

$$f_{H \cup L}(W) = f_H(W - W_L) + f_L(W_L)$$

$$p_i \in [1, 2]$$

$$\text{capacity} = W$$

$$\max_{\ell \in L} p_\ell / w_\ell \leq (1 - \alpha) \cdot \min_{h \in H} p_h / w_h$$

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H L 

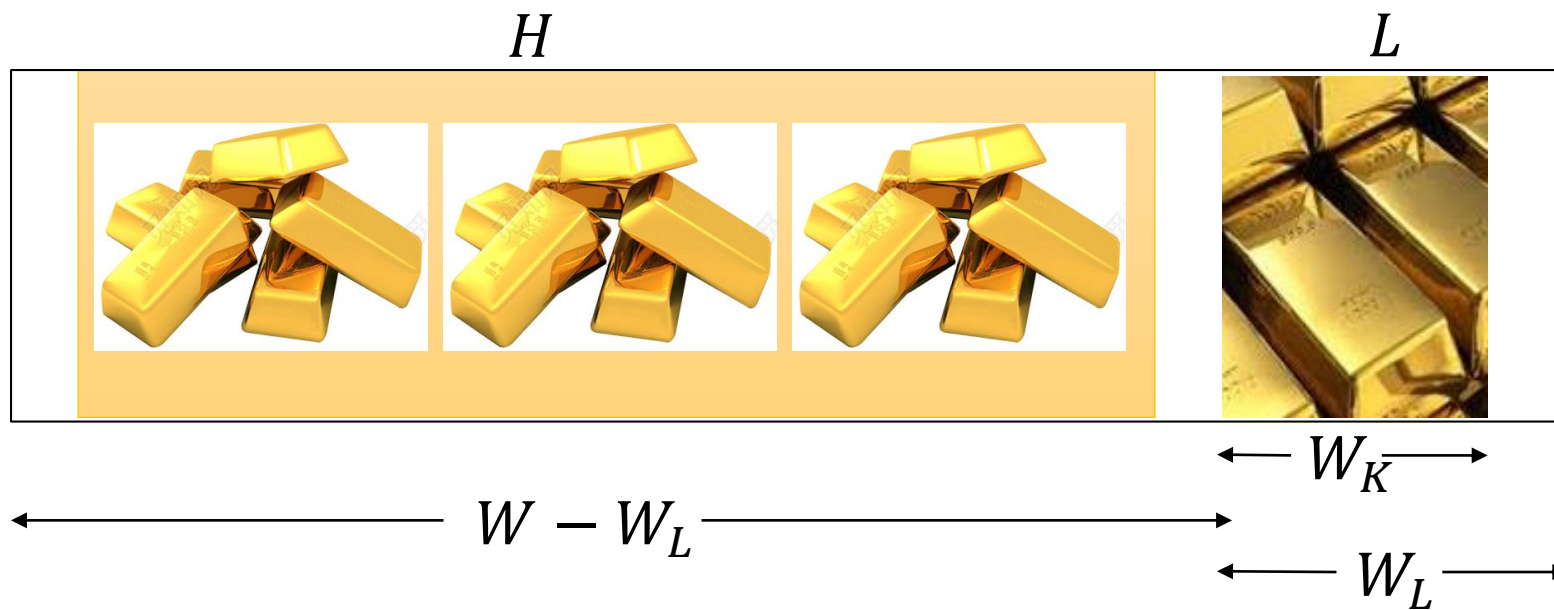
- Remove all L -items, and insert more H -items (denoted by K) to fill in the W_L space

$$p_i \in [1, 2]$$

$$\text{capacity} = W$$

$$\max_{\ell \in L} p_{\ell} / w_{\ell} \leq (1 - \alpha) \cdot \min_{h \in H} p_h / w_h$$

$$\sum_{h \in H} w_h > W$$



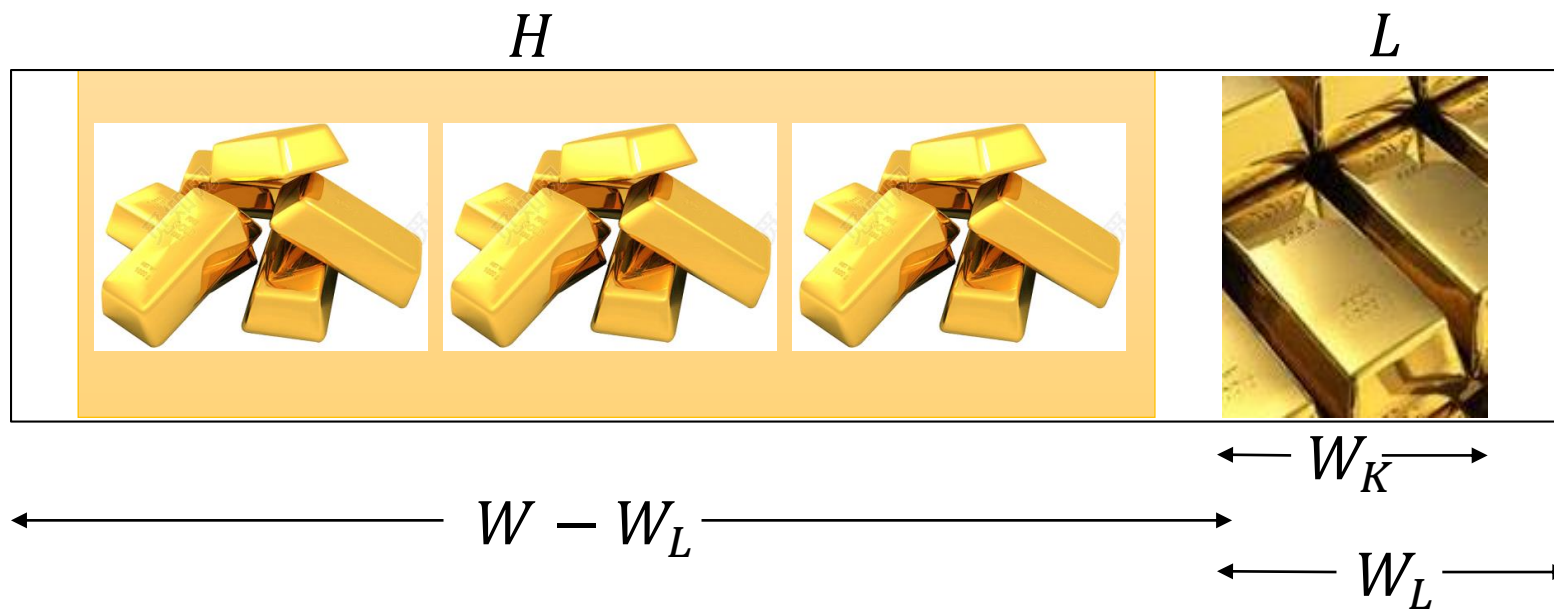
- Remove all L -items, and insert more H -items (denoted by K) to fill in the W_L space
- Until $W_L - W_K < \max_{h \in H} w_h$

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$$\sum_{h \in H} w_h > W$$



- Remove all L -items, and insert more H -items (denoted by K) to fill in the W_L space
- Until $W_L - W_K < \max_{h \in H} w_h \leq 2/q$

$$p_i \in [1, 2]$$

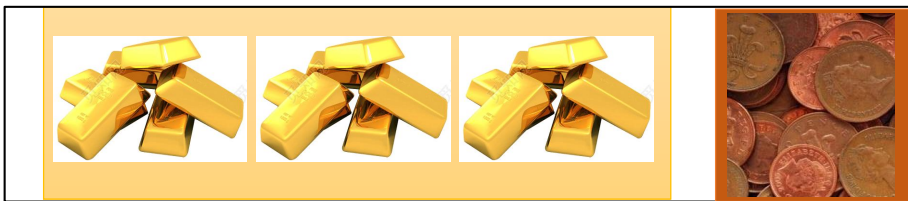
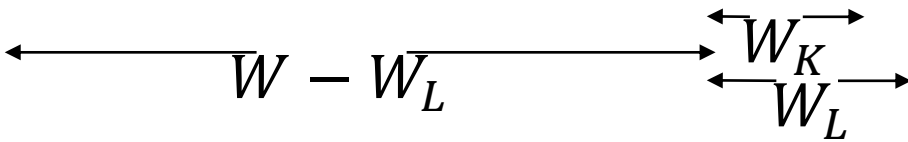
capacity = W

$$\max_{\ell \in L} p_\ell / w_\ell \leq (1 - \alpha) \cdot \min_{h \in H} p_h / w_h = (1 - \alpha) \cdot q$$

$$\sum_{h \in H} w_h > W$$

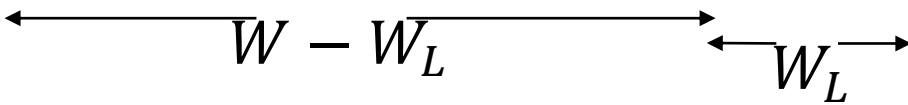


$$\text{tot profit} \geq f_H (W - W_L) + qW_K$$



optimal sol:

$$f_{H \cup L}(W) = f_H(W - W_L) + f_L(W_L)$$



$$p_i \in [1, 2]$$

$$\text{capacity} = W$$

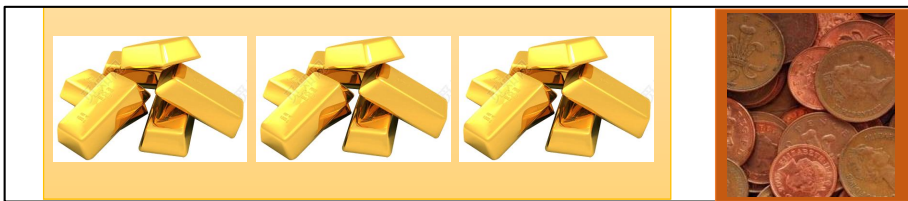
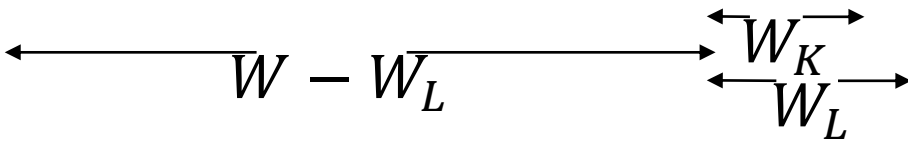
$$\max_{\ell \in L} p_\ell / w_\ell \leq (1 - \alpha) \cdot \min_{h \in H} p_h / w_h = (1 - \alpha) \cdot q$$

$$\sum_{h \in H} w_h > W$$

$$W_L - W_K < 2/q$$

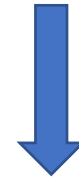
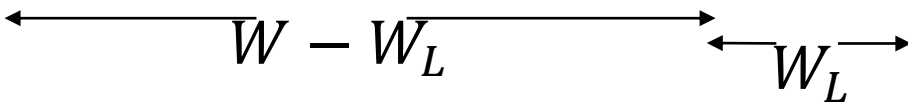


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optimal sol:

$$f_{H \cup L}(W) = f_H(W - W_L) + f_L(W_L)$$



$$qW_K \leq f_L(W_L)$$

$$p_i \in [1, 2]$$

$$\text{capacity} = W$$

$$\max_{\ell \in L} p_\ell / w_\ell \leq (1 - \alpha) \cdot \min_{h \in H} p_h / w_h = (1 - \alpha) \cdot q$$

$$\sum_{h \in H} w_h > W$$

$$W_L - W_K < 2/q$$

$$(1 - \alpha) \cdot q \cdot W_L \geq f_L(W_L)$$

$$f_L(W_L) \geq qW_K$$

$$qW_K > qW_L - 2$$



$$(1 - \alpha) \cdot qW_L > qW_L - 2$$

$$\text{tot profit} \geq f_H(W - W_L) + qW_K$$

optimal sol:

$$f_{H \cup L}(W) = f_H(W - W_L) + f_L(W_L)$$



$$qW_K \leq f_L(W_L)$$

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$$\alpha qW_L < 2$$

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$$(1 - \alpha) \cdot qW_L > qW_L - 2$$



$$\alpha qW_L < 2$$



$$f_L(W_L) < 2/\alpha$$

$$\text{tot profit} \geq f_H(W - W_L) + qW_K$$

optimal sol:

$$f_{H \cup L}(W) = f_H(W - W_L) + f_L(W_L)$$



$$qW_K \leq f_L(W_L)$$

$$p_i \in [1, 2]$$

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$$\max_{\ell \in L} p_\ell / w_\ell \leq (1 - \alpha) \cdot \min_{h \in H} p_h / w_h = (1 - \alpha) \cdot q$$

$$\sum_{h \in H} w_h > W$$

$$W_L - W_K < 2/q$$

Recap

$$\text{If: } \max_{\ell \in L} p_{\ell}/w_{\ell} \leq (1 - \alpha) \cdot \min_{h \in H} p_h/w_h$$
$$\sum_{h \in H} w_h > W$$

Then: In optimal solution of $f_{H \cup L}(W)$, L -items contribute total profit $\leq 2/\alpha$

Task: $1 + O(\varepsilon)$ approximate $\min\{B, f_I\}$, $B = O(\varepsilon^{-1})$

$\tilde{O}(\varepsilon^{-1} \sqrt{B} m)$ algo (Chan)

(faster when **B small**)

$\tilde{O}(\varepsilon^{-4/3} n + \varepsilon^{-2})$ algo (Chan)

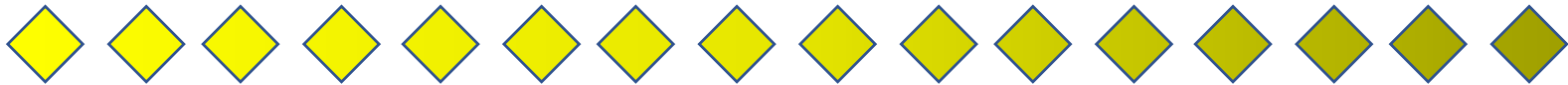
(faster when **n small**)

$m = O(\varepsilon^{-1})$ distinct values

$p_i \in [1, 2]$

Improved Algorithm

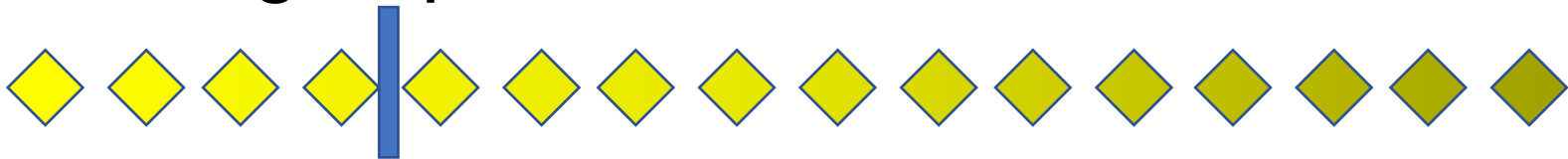
- Sort the items by p_i/w_i , and divide into three groups



$$p_i \in [1,2]$$

Improved Algorithm

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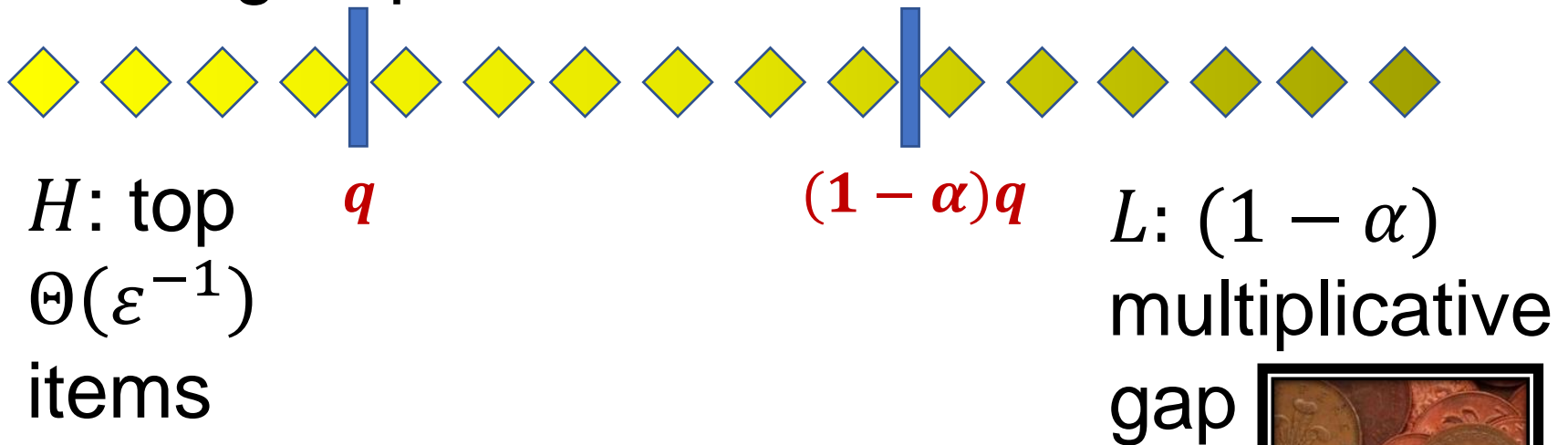
H : top
 $\Theta(\varepsilon^{-1})$
items



$$p_i \in [1,2]$$

Improved Algorithm

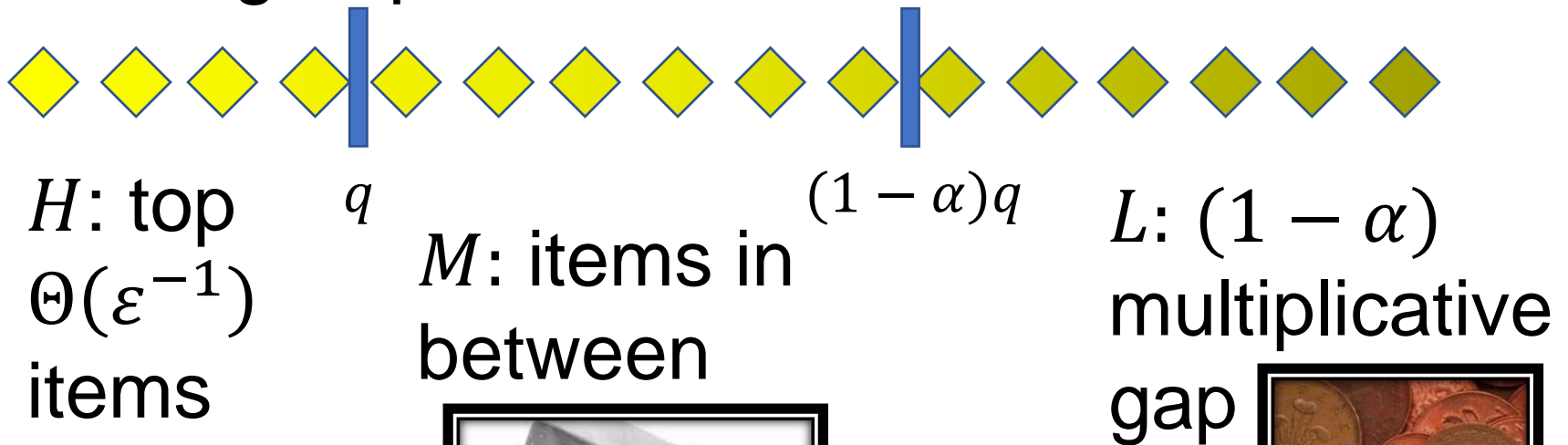
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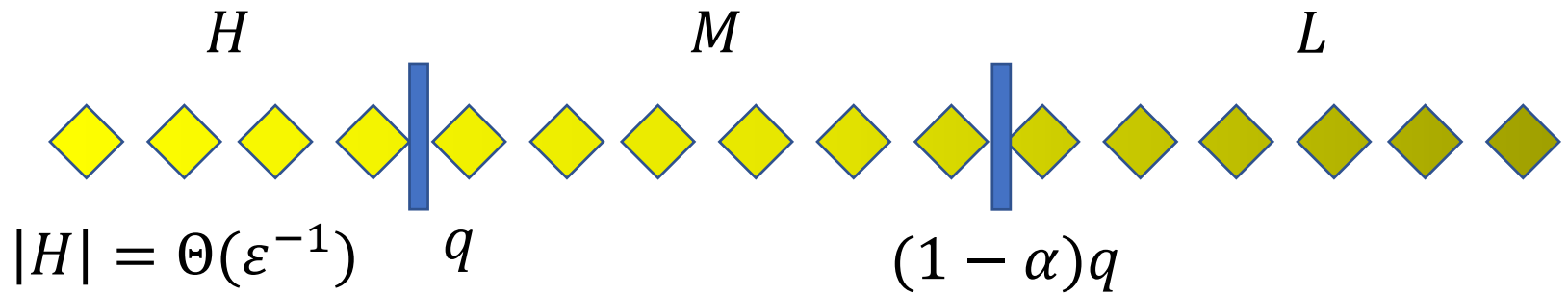
Improved Algorithm

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$$p_i \in [1, 2]$$

Improved Algorithm



Task: $1 + O(\varepsilon)$ approximate $\min\{O(\varepsilon^{-1}), f_I\}$

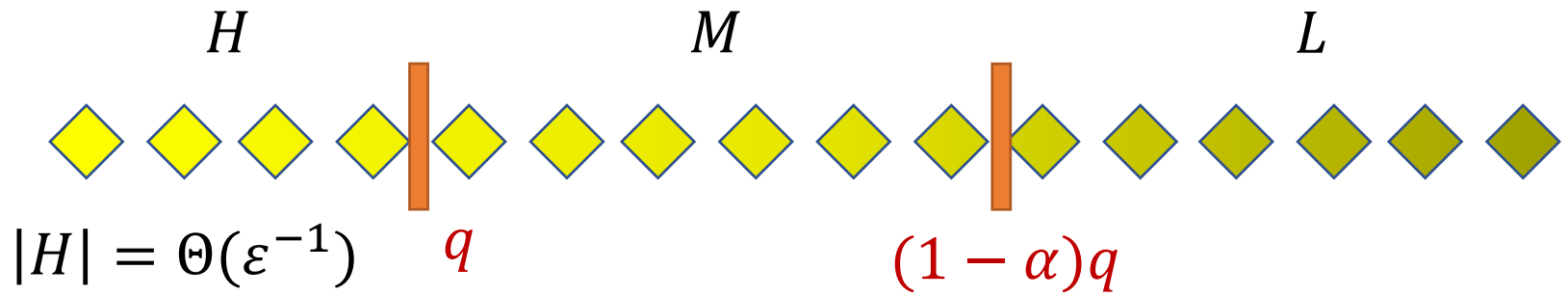
If:
$$\max_{\ell \in L} p_\ell / w_\ell \leq (1 - \alpha) \cdot \min_{h \in H} p_h / w_h$$

$$\sum_{h \in H} w_h > W$$

Then: In optimal solution of $f_{H \cup L}(W)$, L -items contribute total profit $\leq 2/\alpha$

$p_i \in [1, 2]$

Improved Algorithm

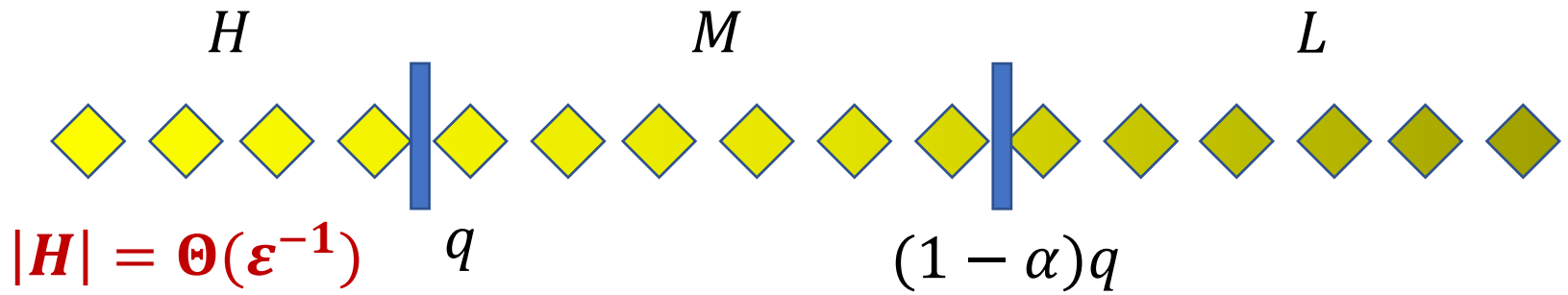


Task: $1 + O(\varepsilon)$ approximate $\min\{O(\varepsilon^{-1}), f_I\}$

If: $\max_{\ell \in L} p_\ell / w_\ell \leq (1 - \alpha) \cdot \min_{h \in H} p_h / w_h$ ✓
 $\sum_{h \in H} w_h > W$
 Then: In optimal solution of $f_{H \cup L}(W)$, L -items contribute total profit $\leq 2/\alpha$

$p_i \in [1, 2]$

Improved Algorithm



Task: $1 + O(\epsilon)$ approximate $\min\{O(\epsilon^{-1}), f_I\}$

(If $f_I(W) < O(\epsilon^{-1})$ then $W < w(H)$)

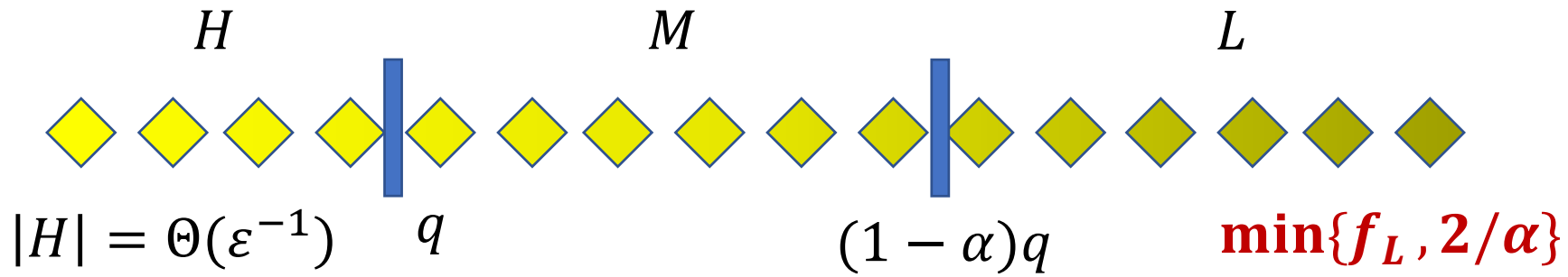
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$\sum_{h \in H} w_h > W$ ✓

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Improved Algorithm

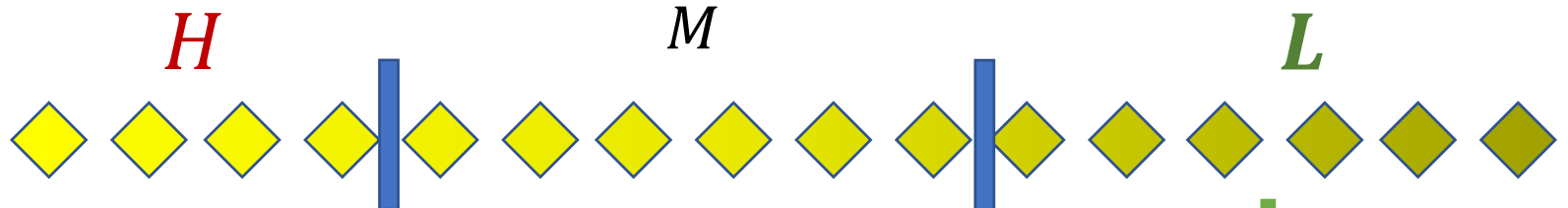


Task: $1 + O(\varepsilon)$ approximate $\min\{O(\varepsilon^{-1}), f_I\}$

If: $\max_{\ell \in L} p_\ell / w_\ell \leq (1 - \alpha) \cdot \min_{h \in H} p_h / w_h$ ✓
 $\sum_{h \in H} w_h > W$ ✓
 Then: In optimal solution of $f_{H \cup L}(W)$, L -items contribute total profit $\leq 2/\alpha$ ✓

$p_i \in [1, 2]$

Improved Algorithm



$$|H| = \Theta(\varepsilon^{-1}) \quad q$$

$$(1 - \alpha)q \quad \min\{f_L, 2/\alpha\}$$

$\tilde{O}(\varepsilon^{-4/3}n + \varepsilon^{-2})$ algo (Chan)
(faster when n small)

$\tilde{O}(\varepsilon^{-1}\sqrt{B}m)$ algo (Chan)
(faster when B small)

$$n := |H| \approx 1/\varepsilon$$

$$m := O(\varepsilon^{-1})$$

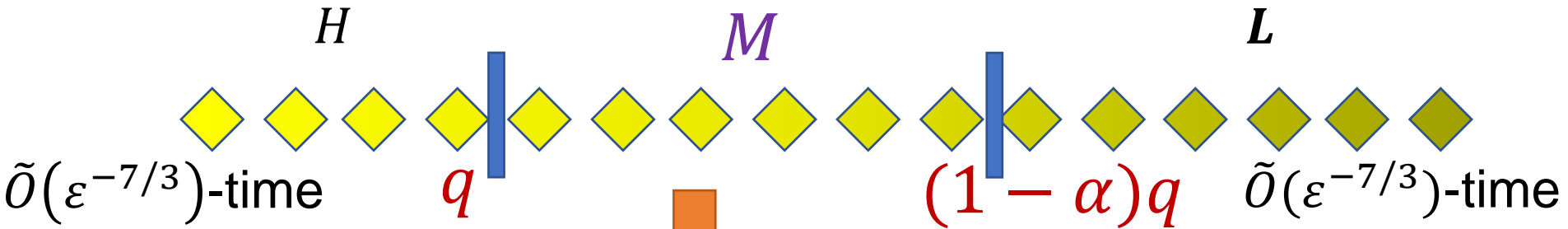
$$B := 2/\alpha$$

$$\tilde{O}(\varepsilon^{-7/3})$$

$$\tilde{O}(\varepsilon^{-7/3})$$

$$\text{Let } \alpha = \varepsilon^{2/3}$$

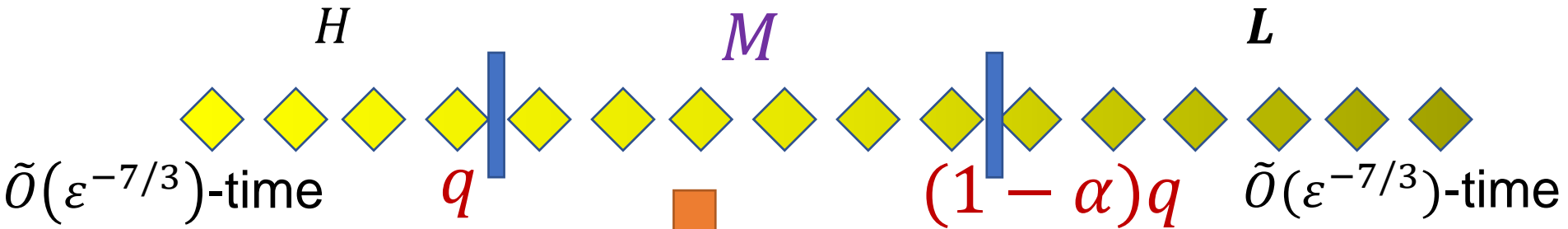
Improved Algorithm



Group M : Round p_i/w_i
down to powers of $(1 + \varepsilon)$

Let $\alpha = \varepsilon^{2/3}$

Improved Algorithm

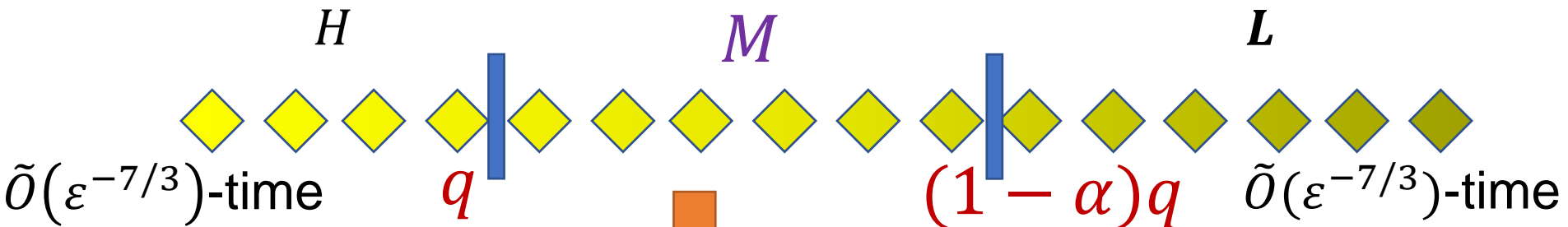


Group M : Round p_i/w_i
down to powers of $(1 + \varepsilon)$

Only $\log_{1+\varepsilon} \frac{1}{1-\alpha} \approx \alpha/\varepsilon = \varepsilon^{-1/3}$
distinct values of p_i/w_i

Let $\alpha = \varepsilon^{2/3}$

Improved Algorithm



Group M : Round p_i/w_i
down to powers of $(1 + \epsilon)$

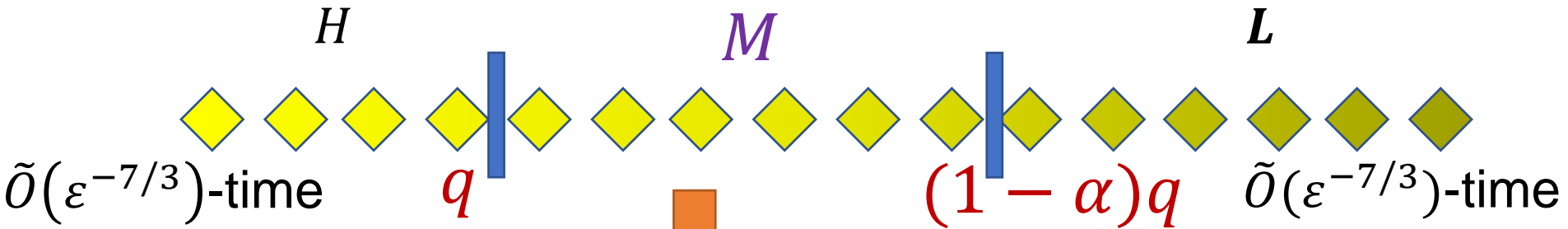
Only $\log_{1+\epsilon} \frac{1}{1-\alpha} \approx \alpha/\epsilon = \epsilon^{-1/3}$
distinct values of p_i/w_i

Items with the same p_i/w_i
(profit \propto weight): a **Subset
Sum** instance

$\tilde{O}(n + \epsilon^{-2})$ time [KMPS03]

Let $\alpha = \epsilon^{2/3}$

Improved Algorithm



Group M : Round p_i/w_i
down to powers of $(1 + \varepsilon)$

Only $\log_{1+\varepsilon} \frac{1}{1-\alpha} \approx \alpha/\varepsilon = \varepsilon^{-1/3}$

distinct values of p_i/w_i

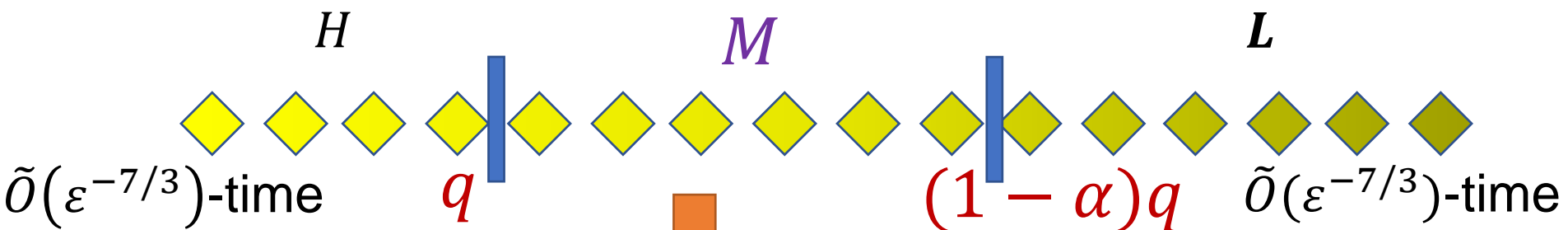
Items with the same p_i/w_i
(profit \propto weight): a **Subset**
Sum instance

Merge $\varepsilon^{-1/3}$ groups

$\tilde{O}(n + \varepsilon^{-2})$ time [KMPS03]

Let $\alpha = \varepsilon^{2/3}$

Improved Algorithm



Group M : Round p_i/w_i down to powers of $(1 + \varepsilon)$

$$n + \varepsilon^{-1/3} \cdot \varepsilon^{-2}$$

Only $\log_{1+\varepsilon} \frac{1}{1-\alpha} \approx \alpha/\varepsilon = \varepsilon^{-1/3}$

distinct values of p_i/w_i

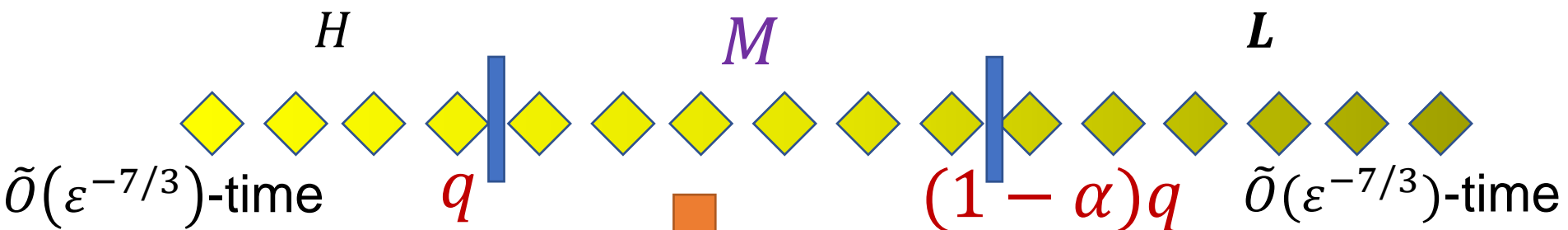
Items with the same p_i/w_i (profit \propto weight): a **Subset Sum** instance

Merge $\varepsilon^{-1/3}$ groups

$\tilde{O}(n + \varepsilon^{-2})$ time [KMPS03]

Let $\alpha = \varepsilon^{2/3}$

Improved Algorithm



Group M : Round p_i/w_i down to powers of $(1 + \varepsilon)$

$$n + \varepsilon^{-1/3} \cdot \varepsilon^{-2}$$

Only $\log_{1+\varepsilon} \frac{1}{1-\alpha} \approx \alpha/\varepsilon = \varepsilon^{-1/3}$ distinct values of p_i/w_i

Total time:
 $\tilde{O}(n + \varepsilon^{-7/3})$

Items with the same p_i/w_i (profit \propto weight): a **Subset Sum** instance

Merge $\varepsilon^{-1/3}$ groups

$$\tilde{O}(n + \varepsilon^{-2}) \text{ time [KMPS03]}$$

Let $\alpha = \varepsilon^{2/3}$

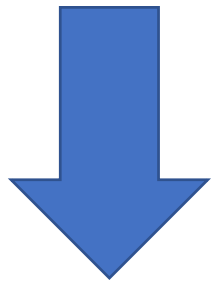
Further improvement

$$\tilde{O}(\varepsilon^{-1}\sqrt{B}m) \text{ (Chan)}$$

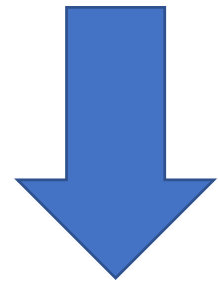
(faster when **B small**)

$$\tilde{O}(\varepsilon^{-4/3}n + \varepsilon^{-2}) \text{ (Chan)}$$

(faster when **n small**)



extending Chan's
techniques from **two levels**
to **multiple levels**

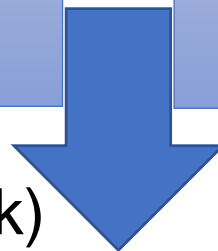


$$\tilde{O}(\varepsilon^{-4/3}B^{1/3}m^{2/3}) \text{ (} m^2 \gg \varepsilon^{-2}/B \text{)}$$

(faster when **B small**)

$$\tilde{O}(\varepsilon^{-3/2}n^{3/4} + n + \varepsilon^{-2})$$

(faster when **n small**)



Greedy argument (this talk)

$$\tilde{O}(n + \varepsilon^{-9/4})$$

Open problem

Subset Sum:

$$\tilde{O}(\min\{n + \varepsilon^{-2}, n\varepsilon^{-1}\})$$

[Kellerer, Mansini, Pferschy, and Speranza, 2003]

Unbounded Knapsack (each item has infinitely many copies) which easily reduces to 0-1 Knapsack:

$$\tilde{O}(n + \varepsilon^{-2}) \text{ [Jansen and Kraft, 2015]}$$

Improve 0-1 Knapsack to $\tilde{O}(n + \varepsilon^{-2})$ time?

Thank you!