

# *Analysis and Design of Algorithms*



**CS3230**  
C23530

Week 9

**Greedy Algorithms**

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Ken Sung**



# Admin

- Programming Assignment 2 OUT
  - Submit written part to the box in undergrad office COM1-02-19 by Thurs Apr 11 before 6 pm (next week)
  - Submit online part as usual
- Midterms will be handed back in tutorials next week

# Recap of last lecture

- Dynamic programming – algorithm design pattern for problems displaying optimal substructure and overlapping subproblems
- Examples:
  - Shortest path in a DAG
  - Longest common subsequence in a pair of strings
  - Knapsack problem

# Shortest Path Lengths in DAGs

initialize all  $\text{dist}(\cdot)$  values to  $\infty$

$\text{dist}(s) \leftarrow 0$

**for**  $v \in V \setminus \{s\}$  in linearized order:

$$\text{dist}(v) = \min\{\text{dist}(u) + \ell(u, v) : (u, v) \in E(G)\}$$

- There are  $n$  many subproblems  $\{\text{dist}(v) : v \in V\}$
- Subproblems processed in the topological order, and each subproblem only needs solutions to previous ones
- Running time:  ~~$\Theta(n)$~~   $O(|E| + |V|)$

# Recursive Solution

Let  $m[i, w]$  be the maximum value that can be obtained using:

- a subset of items in  $\{1, 2, \dots, i\}$
- with total weight no more than  $w$

$$m[i, w] = \begin{cases} 0, & \text{if } i = 0 \text{ or } w = 0 \\ \max\{m[i-1, w-w_i] + v_i, m[i-1, w]\}, & w \geq w_i \\ m[i-1, w], & \text{otherwise} \end{cases}$$

*Note: In the original image, the condition  $w \geq w_i$  is highlighted in yellow and crossed out with a red line, and the word "otherwise" is written below it.*

# Today: Greedy Algorithms

A very general technique, like divide-and-conquer and dynamic programming

Technique is to recast the problem so that only **one** subproblem needs to be solved at each step. Beats divide-and-conquer and dynamic programming, **when it works**.

# Today: Greedy Algorithms

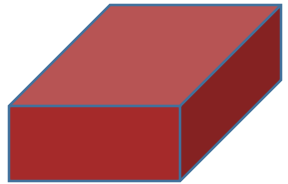
- Fractional Knapsack problem
- Activity Selection problem
- Prim's algorithm for Minimum Spanning Tree

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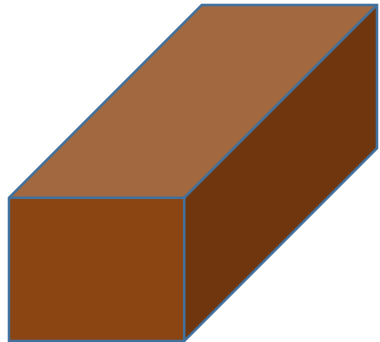
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# Fractional Knapsack



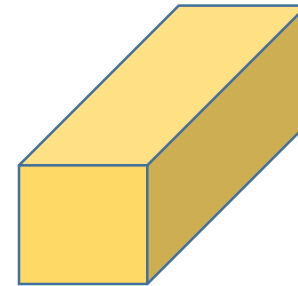
\$100  
1 kg



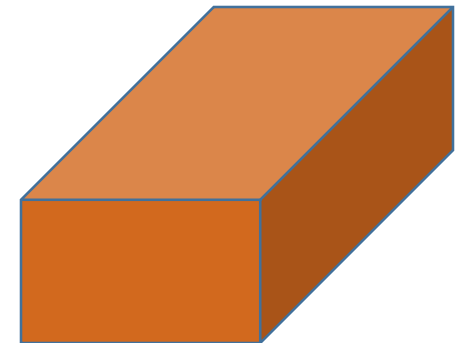
\$100  
5 kg



4 kg



\$30  
3 kg



\$20  
4 kg

# Fractional Knapsack

## Input:

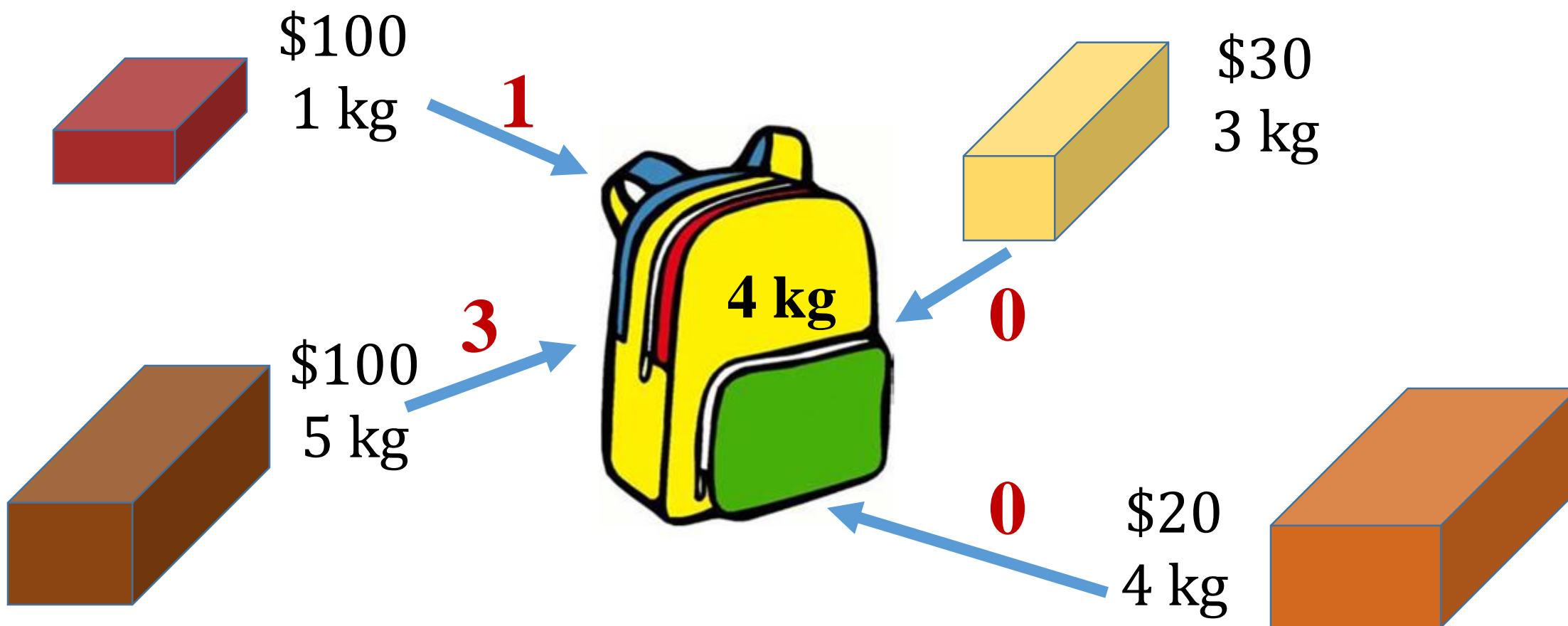
$(w_1, v_1), (w_2, v_2), \dots, (w_n, v_n)$  and  $T$

## Output:

Weights  $x_1, \dots, x_n$  that maximize  $\sum_i v_i \cdot \frac{x_i}{w_i}$  subject to:

$$\sum_i x_i \leq T \text{ and } 0 \leq x_j \leq w_j \text{ for all } j \in [n].$$

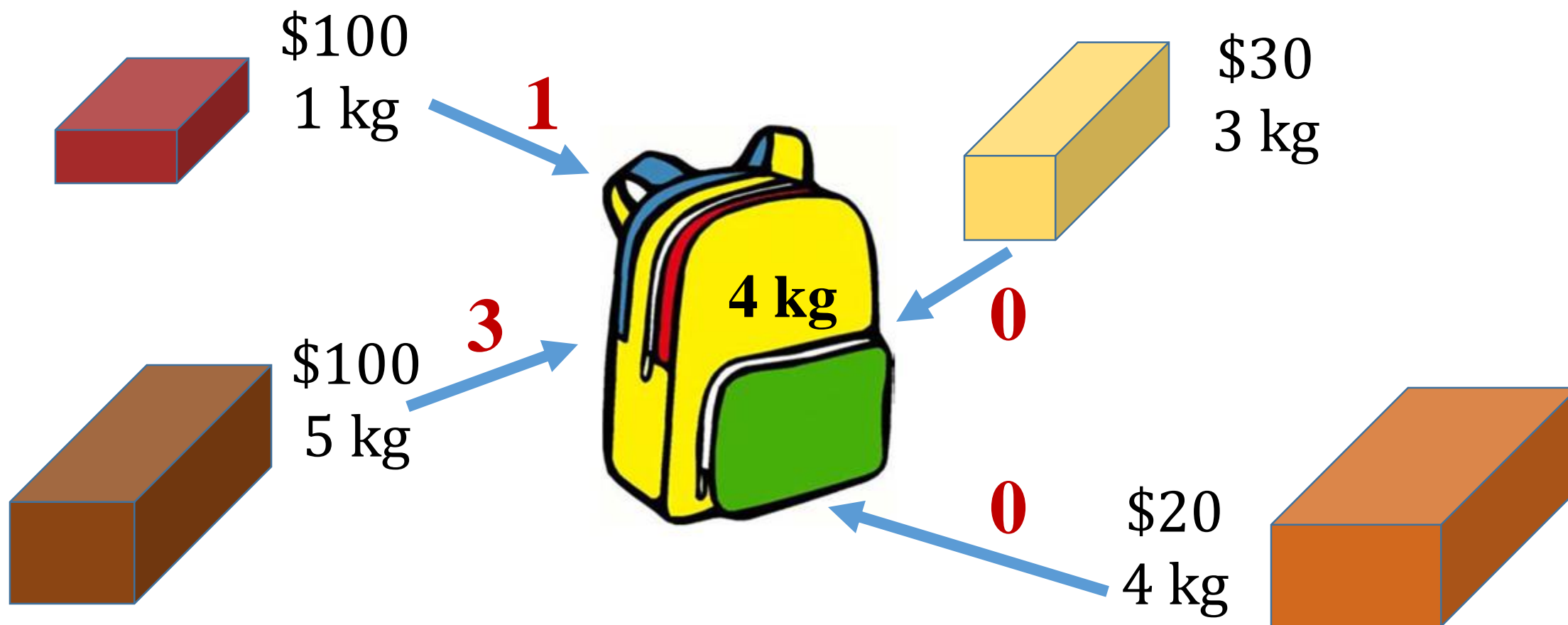
# Fractional Knapsack



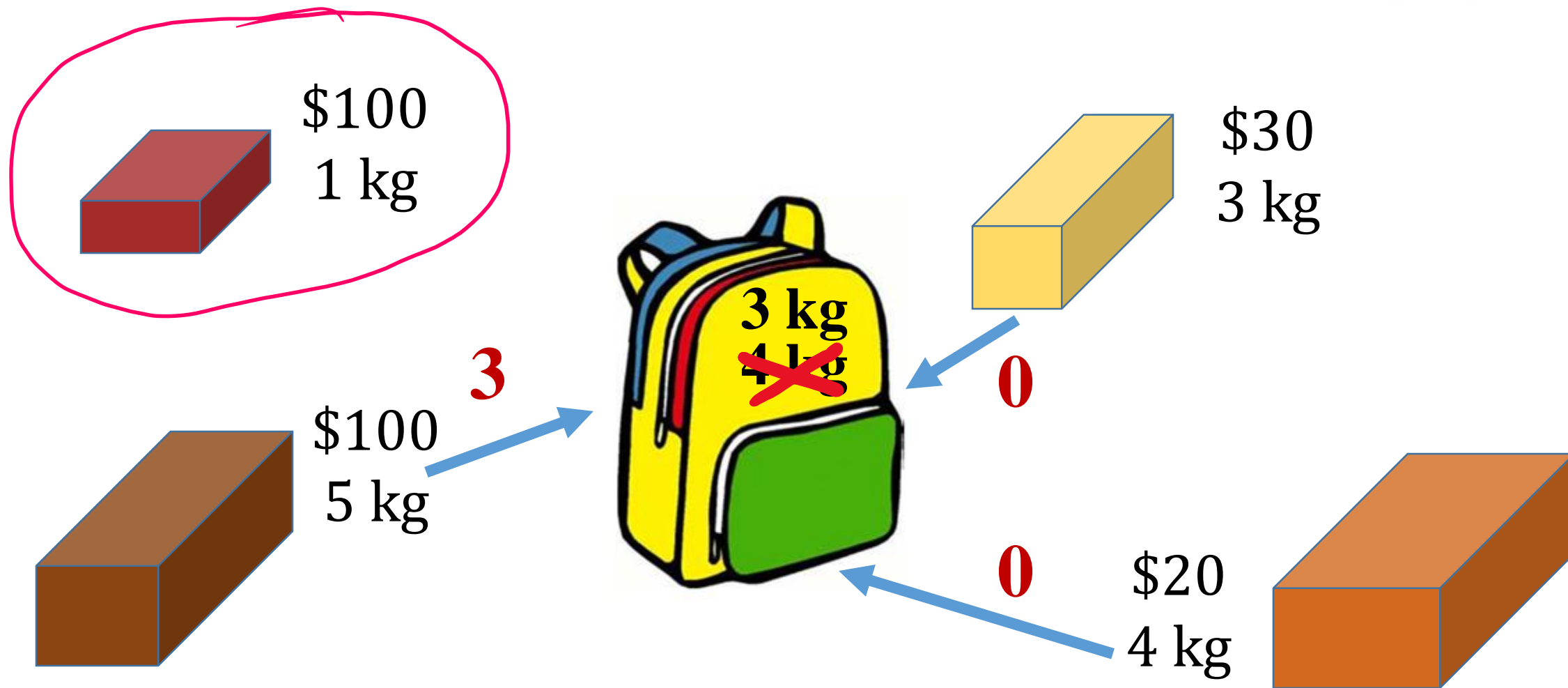
# Optimal Substructure

**If we remove  $w$  kgs of one item  $j$  from the optimal knapsack, then the remaining load must be the optimal knapsack weighing at most  $T - w$  kgs that one can take from the  $n - 1$  original items and  $w_j - w$  kgs of item  $j$ .**

# Fractional Knapsack



# Fractional Knapsack



# Optimal Substructure: Why?



# Optimal Substructure: Why?

- Let  $X$  be the value of the optimal knapsack. Suppose that the remaining load after removing  $w$  kgs of item  $j$  was not the optimal knapsack weighing at most  $T - w$  kgs that one can take from the  $n - 1$  original items and  $w_j - w$  kgs of item  $j$ .



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- This means that there is a knapsack of value  $> X - v_j \cdot \frac{w}{w_j}$  with weight  $\leq T - w$  kgs among the  $n - 1$  other items and  $w_j - w$  kgs of item  $j$ .

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- Combining with  $w$  kgs of item  $j$  gives knapsack of value  $> X$  and weight at most  $T$  for original input. Contradiction!

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**Cut-and-  
paste  
argument**

# Dynamic Programming?

In integral knapsack problem, we used the optimal substructure to formulate DP for deciding whether to add item  $j$ .

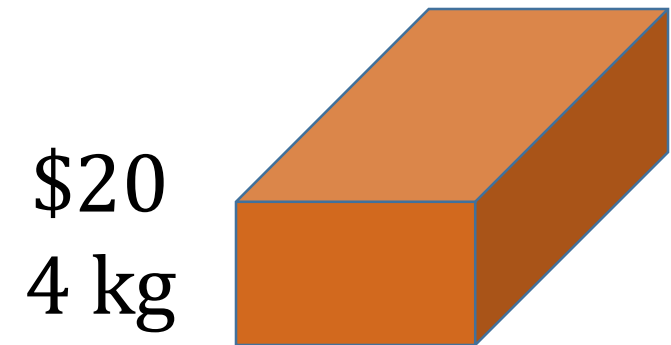
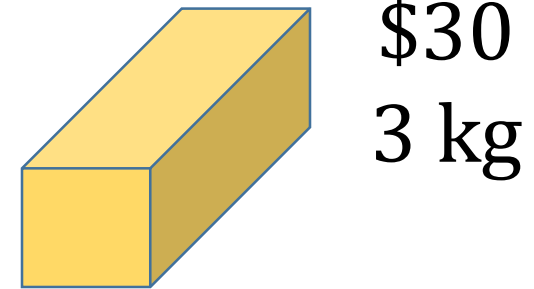
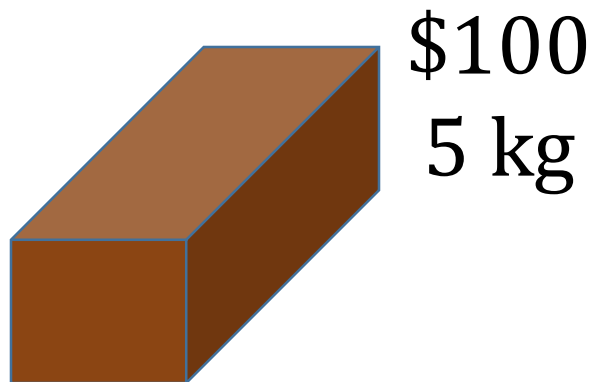
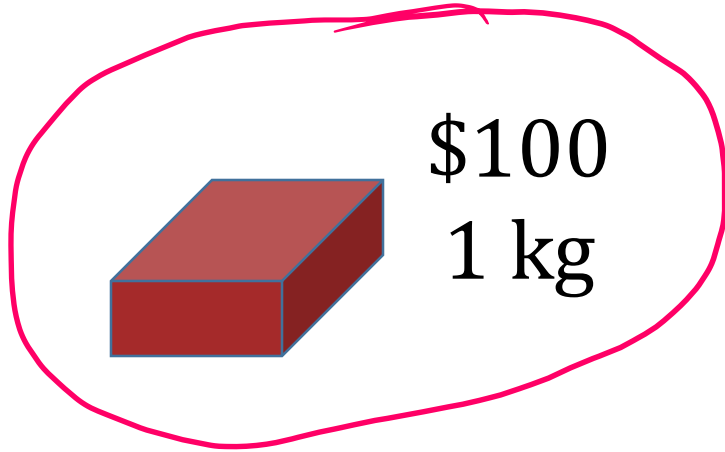
But in this case, we can do better....

# Greedy-choice Property



**Claim:** Let  $j^*$  be the item with the maximum value/kg,  $v_j/w_j$ . Then, there exists an optimal knapsack containing  $\min(w_{j^*}, T)$  kgs of item  $j^*$ .

# Max value/kg item



# Greedy-choice Property: Why?



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- Suppose an optimal knapsack contains  $x_1$  kgs of item 1,  $x_2$  kgs of item 2, ...,  $x_n$  kgs of item  $n$  such that:  
$$x_1 + x_2 + \cdots + x_n = \min(w_{j^*}, T)$$



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- Replace this weight by  $\min(w_{j^*}, T)$  kgs of item  $j^*$ .

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$$x_1 + x_2 + \cdots + x_n = \min(w_{j^*}, T)$$
- Replace this weight by  $\min(w_{j^*}, T)$  kgs of item  $j^*$ .
- Total weight does not change. Total value does not decrease because value/kg of  $j^*$  is maximum. So, knapsack stays optimal.

# Strategy for Greedy Algorithm

- Use greedy-choice property to put  $\min(w_{j^*}, T)$  kgs of item  $j^*$  in knapsack.
- If knapsack weighs  $T$  kgs, we are done.
- Otherwise, use optimal substructure to solve subproblem where all of item  $j^*$  is removed and knapsack weight limit is  $T - w_{j^*}$ .

# Recursive greedy algorithm

REC-FRAC-KNAPSACK( $v, w, T$ ):

**if**  $T == 0$ :

**return**

$n \leftarrow v.length()$

$jmax \leftarrow 1$

**for**  $i = 2$  to  $n$ :

**if**  $v[i]/w[i] > v[jmax]/w[jmax]$ :

$jmax \leftarrow i$

**if**  $w_{jmax} \geq T$ :

**print** “ $T$  kgs of  $jmax$ ”

**else**:

**print** “ $w_{jmax}$  kgs of  $jmax$ ”

        REC-FRAC-KNAPSACK( $v.remove(jmax), w.remove(jmax), T - w_{jmax}$ )

**return**

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        REC-FRAC-KNAPSACK( $v.remove(jmax), w.remove(jmax), T - w_{jmax}$ )

**return**



$O(n^2)$

# Iterative greedy algorithm

ITER-FRAC-KNAPSACK( $v, w, T$ ):

$valperkg \leftarrow [1, 2, \dots, n]$

Sort  $valperkg$  using comparison operator  $\preceq$  where  $i \preceq j$  if  $\frac{v[i]}{w[i]} \leq \frac{v[j]}{w[j]}$

**for**  $i = 1$  to  $n$ :

**if**  $T == 0$ : **break**

$j \leftarrow valperkg[i]$

$w \leftarrow \min(w[j], T)$

**print** “ $w$  kgs of item  $j$ ”

$T \leftarrow T - w$

**return**

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**print** “ $w$  kgs of item  $j$ ”

$T \leftarrow T - w$

**return**



$O(n \log n)$

# Paradigm for greedy algorithms



1. Cast the problem where we have to make a choice and are left with one subproblem to solve.
2. Prove that there is always an optimal solution to the original problem that makes the greedy choice, so the greedy choice is safe.
3. Use optimal substructure to show that we can combine an optimal solution to the subproblem with the greedy choice to get an optimal solution to the original problem.



# Today: Greedy Algorithms

- Fractional Knapsack problem
- **Activity Selection problem**
- Prim's algorithm for Minimum Spanning Tree

# Activity Selection Problem

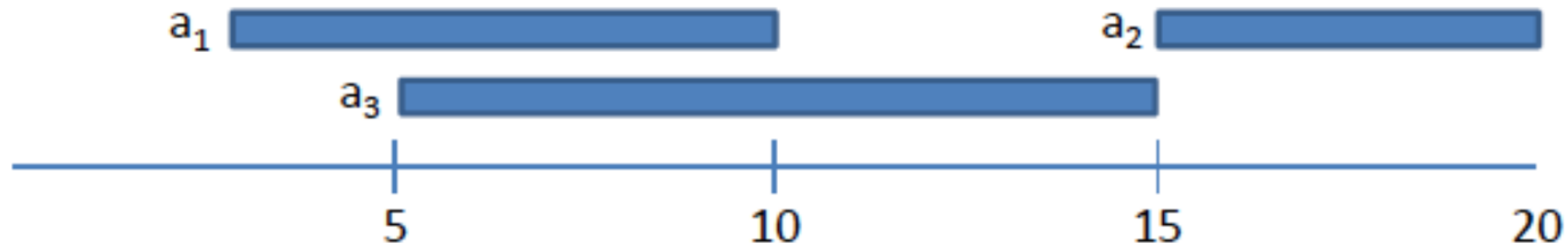
Given a set of activities  $S = \{a_1, a_2, \dots, a_n\}$ :

- Each activity takes place during  $[s_i, f_i)$
- Two activities  $a_i$  and  $a_j$  are **compatible** if their time intervals don't overlap:  $s_i \geq f_j$  or  $s_j \geq f_i$ .

**Problem:** Find a largest subset of mutually compatible activities.

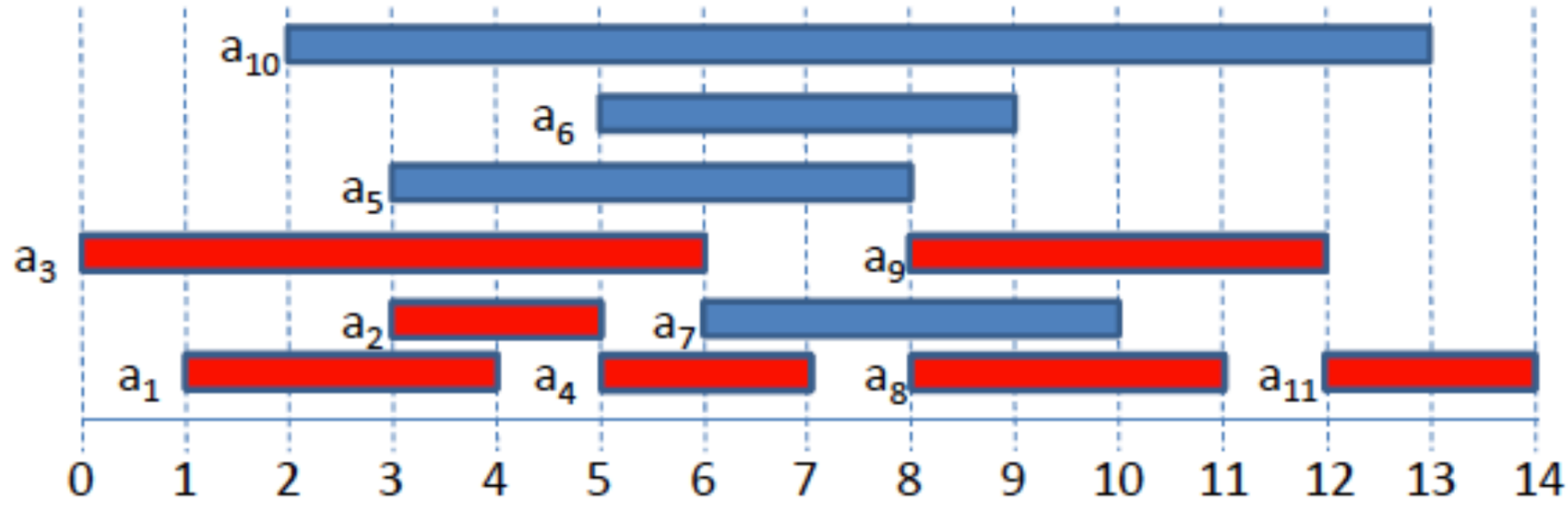
**Example:**  $a_1=[3, 10)$ ,  $a_2=[15, 20)$ ,  $a_3=[5, 15)$

- $\{a_1 \text{ and } a_2\}$  and  $\{a_2 \text{ and } a_3\}$  are compatible
- $\{a_1 \text{ and } a_3\}$  are not compatible



**Example:** Find a max-size subset of mutually compatible activities

$i$	1	2	3	4	5	6	7	8	9	10	11
$s_i$	1	3	0	5	3	5	6	8	8	2	12
$f_i$	4	5	6	7	8	9	10	11	12	13	14



$\{a_3, a_9, a_{11}\}$  are mutually compatible

$\{a_1, a_4, a_8, a_{11}\}$  is a largest set of mutually compatible activities

Another largest set is  $\{a_2, a_4, a_9, a_{11}\}$

# Optimal Substructure



Suppose an optimal scheduling  $S$  contains activity  $a_j$ . Let:

$$\text{Before}_j = \{a_i : f_i \leq s_j\}$$

$$\text{After}_j = \{a_i : s_i \geq f_j\}$$

Then,  $S$  also contains an optimal scheduling for  $\text{Before}_j$  and an optimal scheduling for  $\text{After}_j$ .

# Optimal Substructure: Why?

- Suppose  $S$  does not include an optimal schedule for  $\text{Before}_j$ .
- Then, by replacing the set of activities from  $\text{Before}_j$  in  $S$  with the optimal scheduling for  $\text{Before}_j$ , we can increase the size of  $S$  and maintain compatibility. Contradiction!
- Same argument for  $\text{After}_j$

# Using optimal substructure

- Value of the optimal scheduling is then:

$$OPT(a_1, \dots, a_n) = \max_{j \in [n]} \left( 1 + OPT(\text{Before}_j) + OPT(\text{After}_j) \right)$$

where we are searching for  $a_j$  that belongs in an optimal solution.

- Can set this up as a DP with running time  $O(n^3)$ . Exercise!
- But greedy choice simplifies the search for  $a_j \dots$



# Greedy-choice property



**Claim:** There exists an optimal scheduling that contains the activity  $a^*$  with the earliest finishing time.

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Note that  $\text{Before}_{a^*} = \emptyset$ , so:

$$OPT(a_1, \dots, a_n) = 1 + OPT(\{a_1, \dots, a_n\} \setminus \{a^*\})$$

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- Consider an optimal scheduling  $S$  and let  $a$  be the activity in  $S$  that has the earliest finishing time.

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- Replace  $a$  by  $a^*$ . The schedule remains compatible and number of activities is the same.

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- Replace  $a$  by  $a^*$ . The schedule remains compatible and number of activities is the same.
- The new schedule is also optimal.

# Greedy algorithm

GREEDY-ACTIVITY-SELECTOR( $s, f$ )

$n \leftarrow \text{length}[s], A \leftarrow \{a_1\}, i \leftarrow 1$

**for**  $m \leftarrow 2$  **to**  $n$

**do if**  $s_m \geq f_i$

**then**  $A \leftarrow A \cup \{a_m\}$

$i \leftarrow m$

**return**  $A$

Linear time,  
assuming activities  
already ordered in  
increasing finish time

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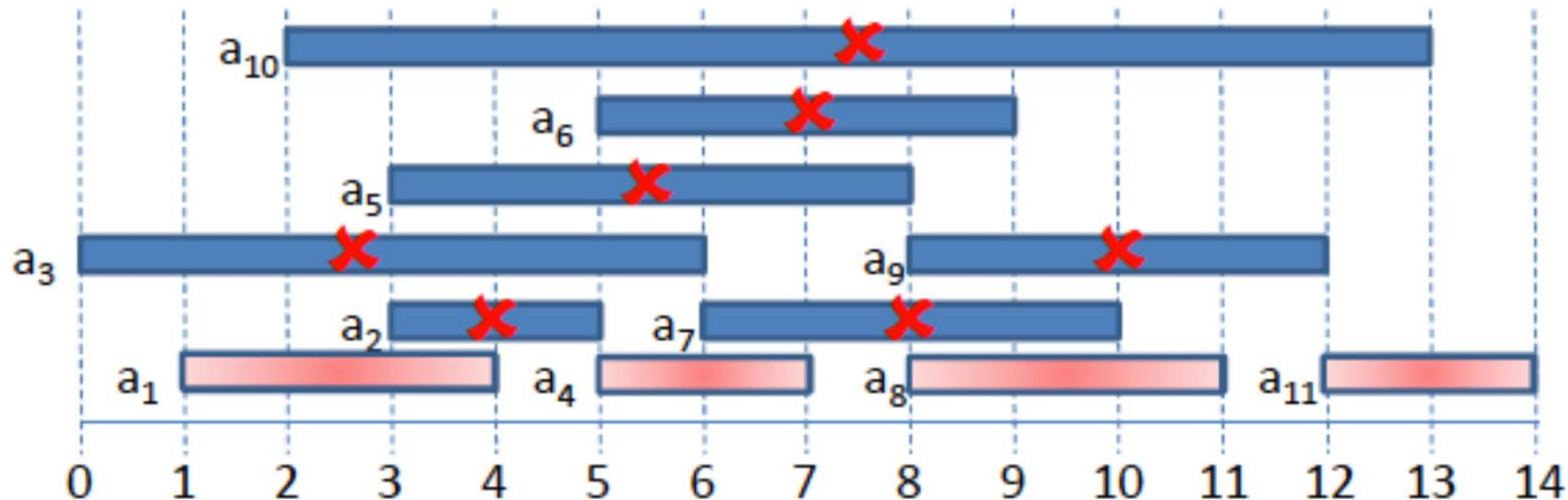
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**Example:** Greedy algorithm selects 4 activities:  $a_1, a_4, a_8, a_{11}$





# Today: Greedy Algorithms

- Fractional Knapsack problem
- Activity Selection problem
- **Minimum Spanning Tree**

# Minimum spanning trees

**Input:** A connected, undirected graph  $G = (V, E)$  with weight function  $w : E \rightarrow \mathbb{R}$ .

- For simplicity, assume that all edge weights are distinct. (CLRS covers the general case.)

# Minimum spanning trees

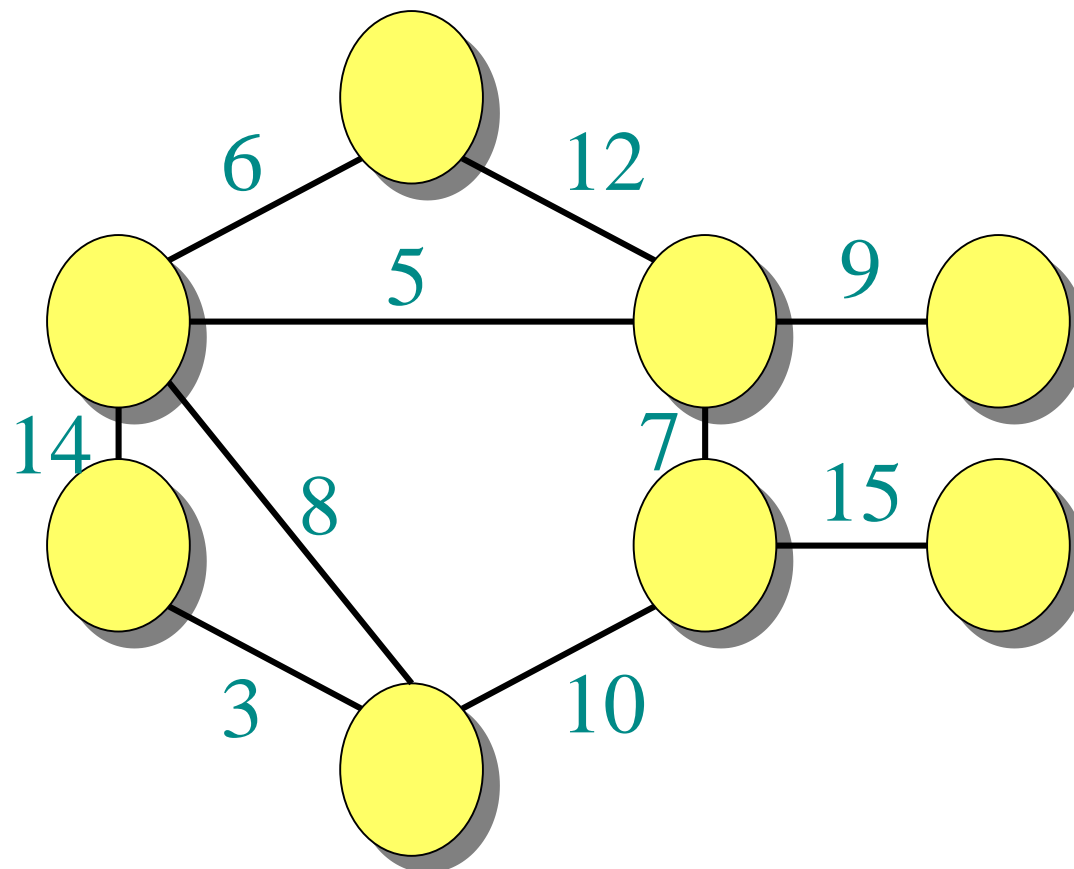
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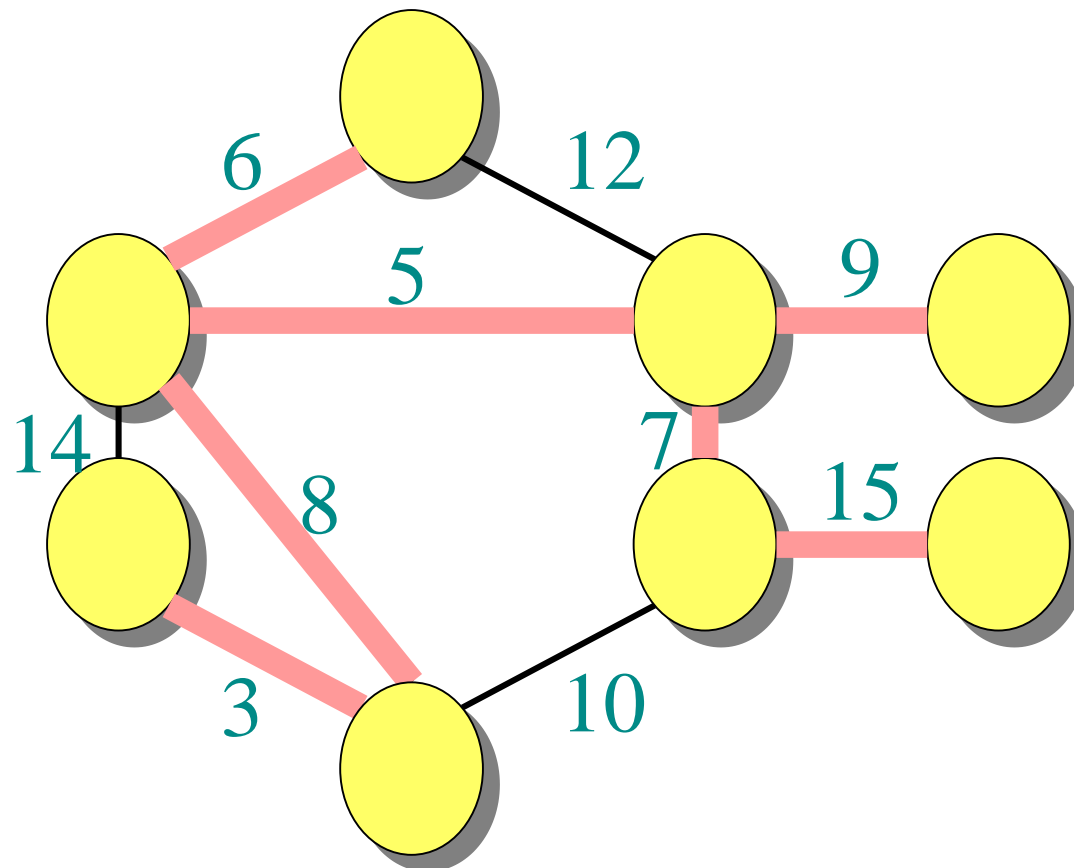
**Output:** A *spanning tree*  $T$  — a tree that connects all vertices — of minimum weight:

$$w(T) = \sum_{(u,v) \in T} w(u,v).$$

# Example of MST



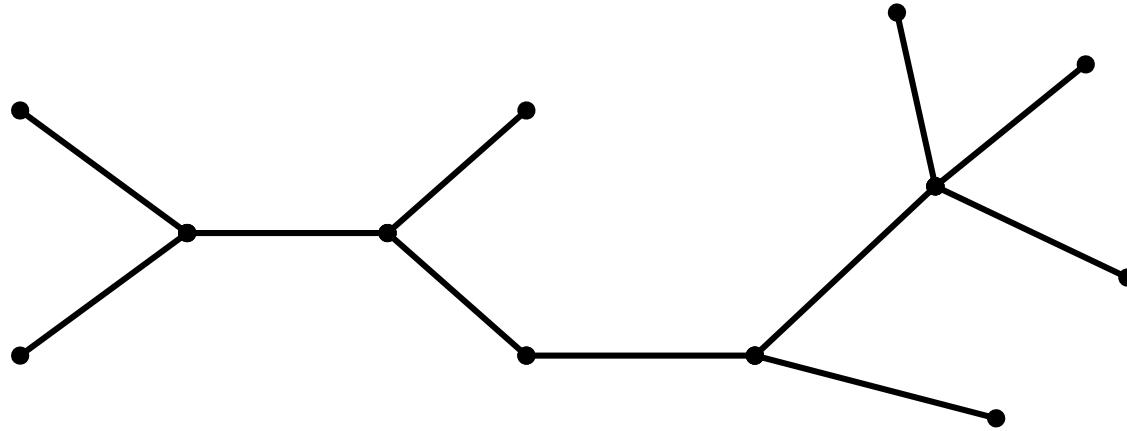
# Example of MST



# Optimal substructure

MST  $T$ :

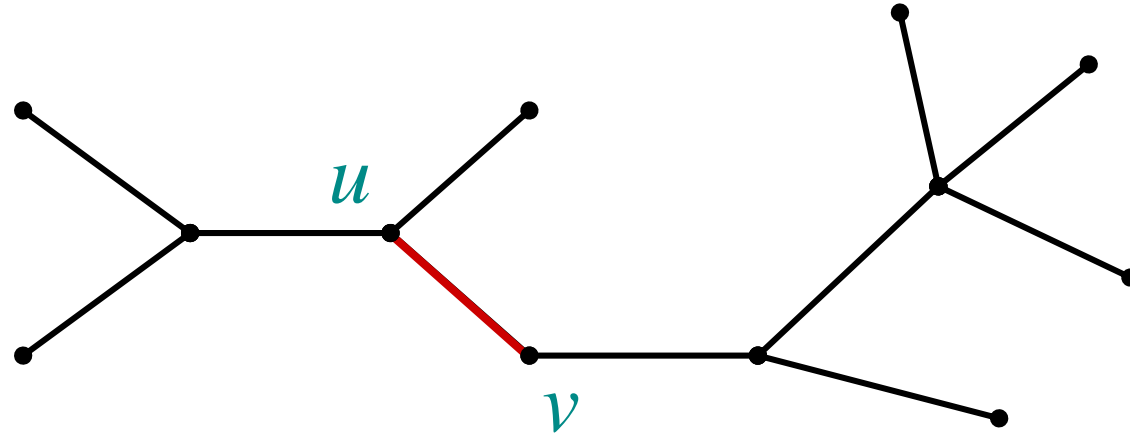
(Other edges of  $G$   
are not shown.)



# Optimal substructure

MST  $T$ :

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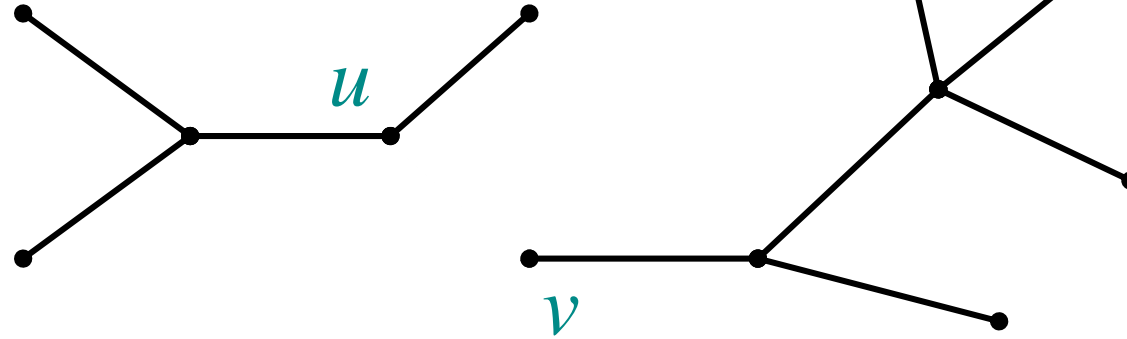


Remove any edge  $(u, v) \in T$ .

# Optimal substructure

MST  $T$ :

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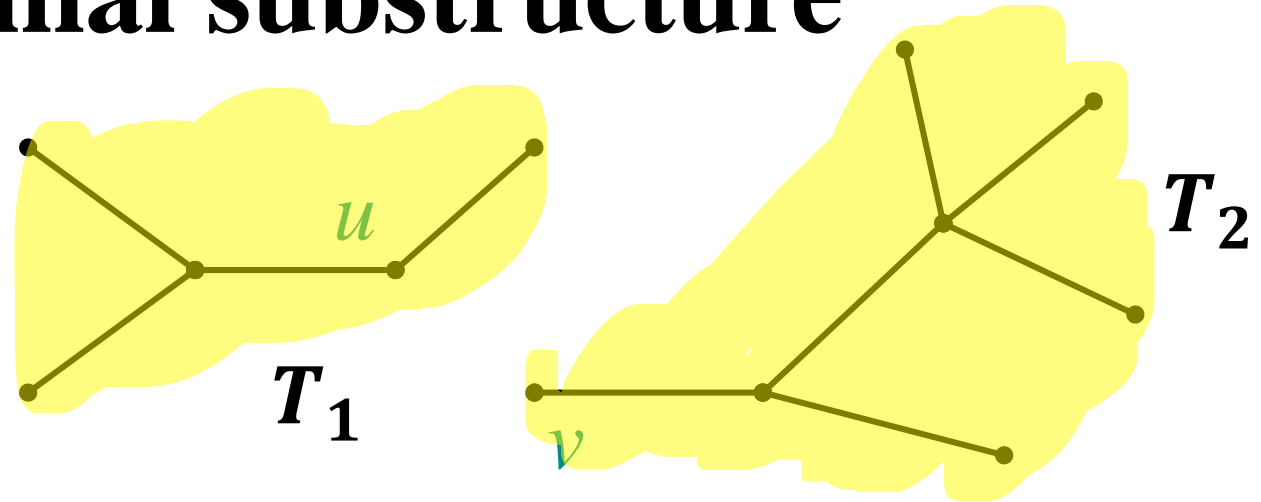
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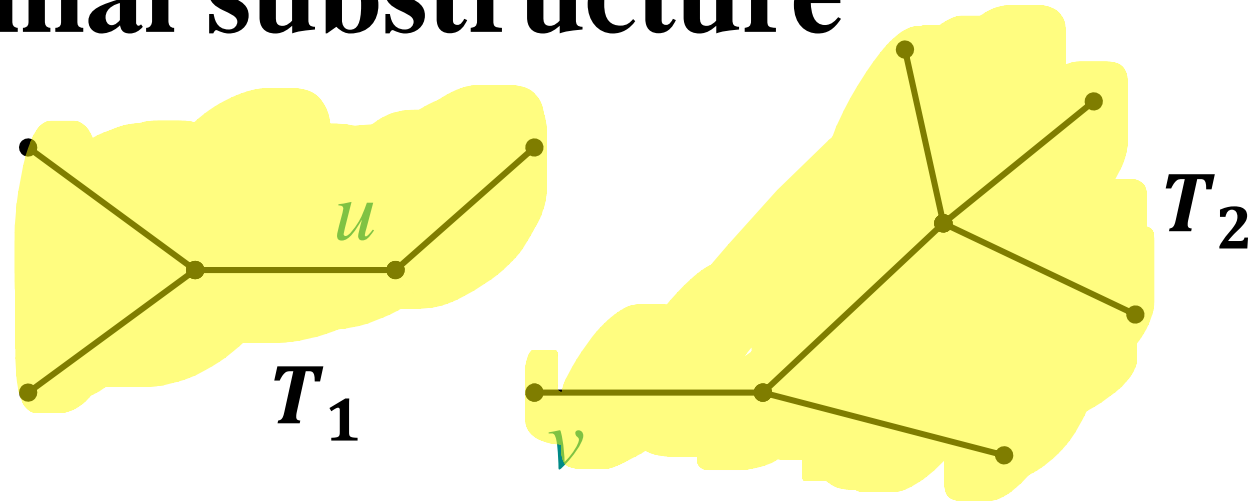


Remove any edge  $(u, v) \in T$ . Then,  $T$  is partitioned into two subtrees  $T_1$  and  $T_2$ .

# Optimal substructure

MST  $T$ :

(Other edges of  $G$   
are not shown.)



**Theorem:** The subtree  $T_1$  is an MST of  $G_1 = (V_1, E_1)$ , the subgraph of  $G$  **induced** by the vertices of  $T_1$ :

$V_1 = \text{vertices of } T_1,$

$E_1 = \{ (x, y) \in E : x, y \in V_1 \}.$

Similarly for  $T_2$ .

# Optimal substructure: Why?

*Proof.* Cut and paste:

$$w(T) = w(u, v) + w(T_1) + w(T_2).$$

If  $T_1'$  were a lower-weight spanning tree than  $T_1$  for  $G_1$ , then  $T' = \{(u, v)\} \cup T_1' \cup T_2$  would be a lower-weight spanning tree than  $T$  for  $G$ . □

# Proof of optimal substructure

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Can use DP! The DP algorithm would search for which edge  $(u, v)$  to add and then recurse on  $T_1$  and  $T_2$ .

# Hallmark for “greedy” algorithms

***Greedy-choice property***  
*A locally optimal choice  
is globally optimal.*

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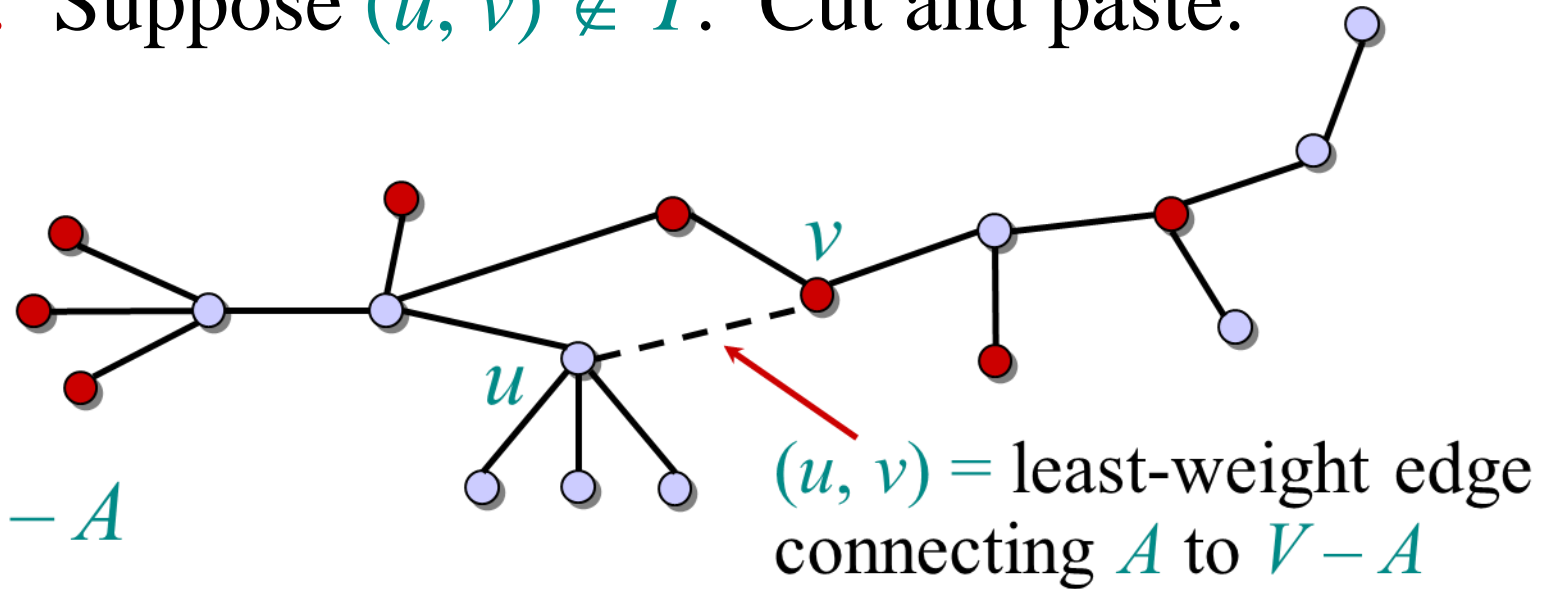
**Theorem.** Let  $T$  be a MST of  $G = (V, E)$ , and let  $A$  be **any** subset of vertices. Suppose that  $(u, v) \in E$  is the least-weight edge connecting  $A$  to  $V - A$ . Then,  $(u, v) \in T$ .

# Greedy-choice property: Why?

*Proof.* Suppose  $(u, v) \notin T$ . Cut and paste.

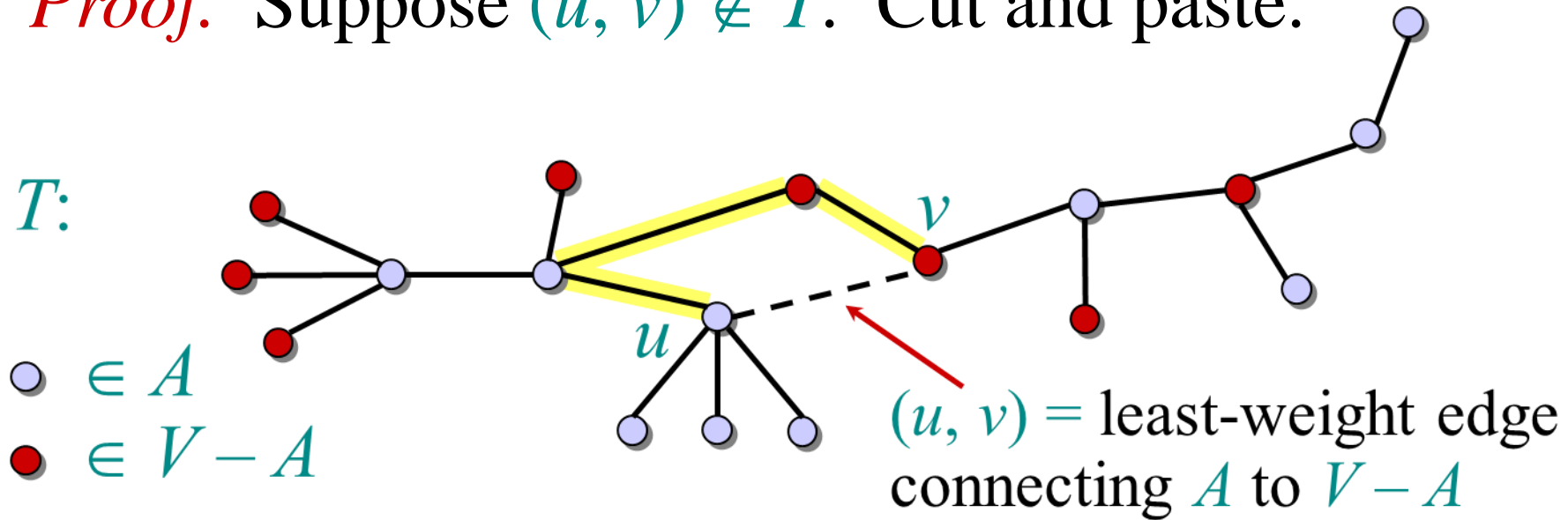
$T$ :

$\circ \in A$   
 $\bullet \in V - A$



# Greedy-choice property: Why?

*Proof.* Suppose  $(u, v) \notin T$ . Cut and paste.



Consider the unique simple path from  $u$  to  $v$  in  $T$ .

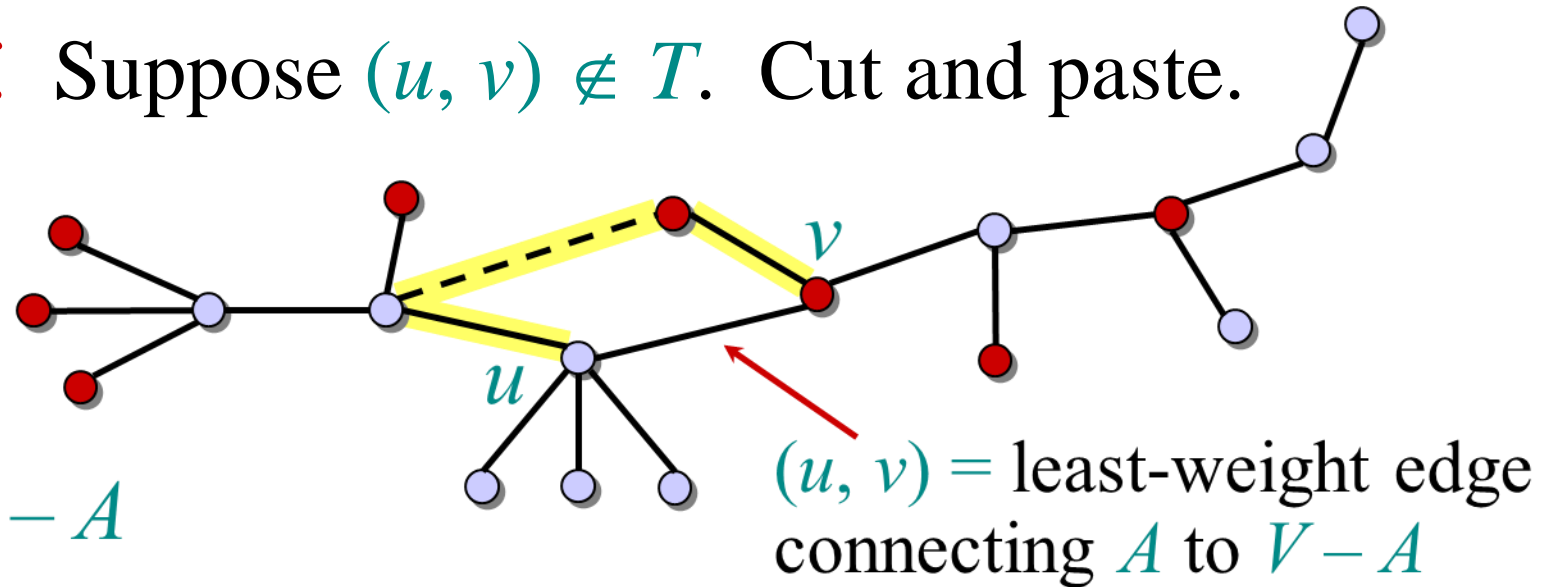


# Greedy-choice property: Why?

*Proof.* Suppose  $(u, v) \notin T$ . Cut and paste.

$T$ :

●  $\in A$   
●  $\in V - A$

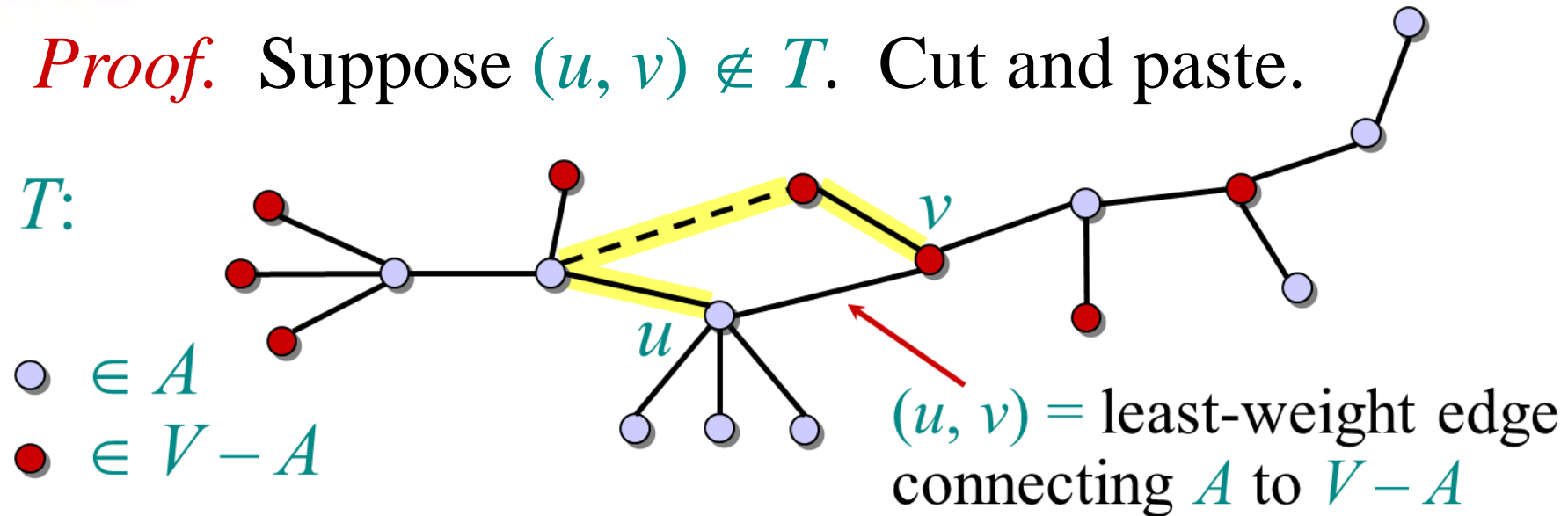


Swap  $(u, v)$  with the first edge on this path that connects a vertex in  $A$  to a vertex in  $V - A$ .

# Greedy-choice property: Why?

*Proof.* Suppose  $(u, v) \notin T$ . Cut and paste.

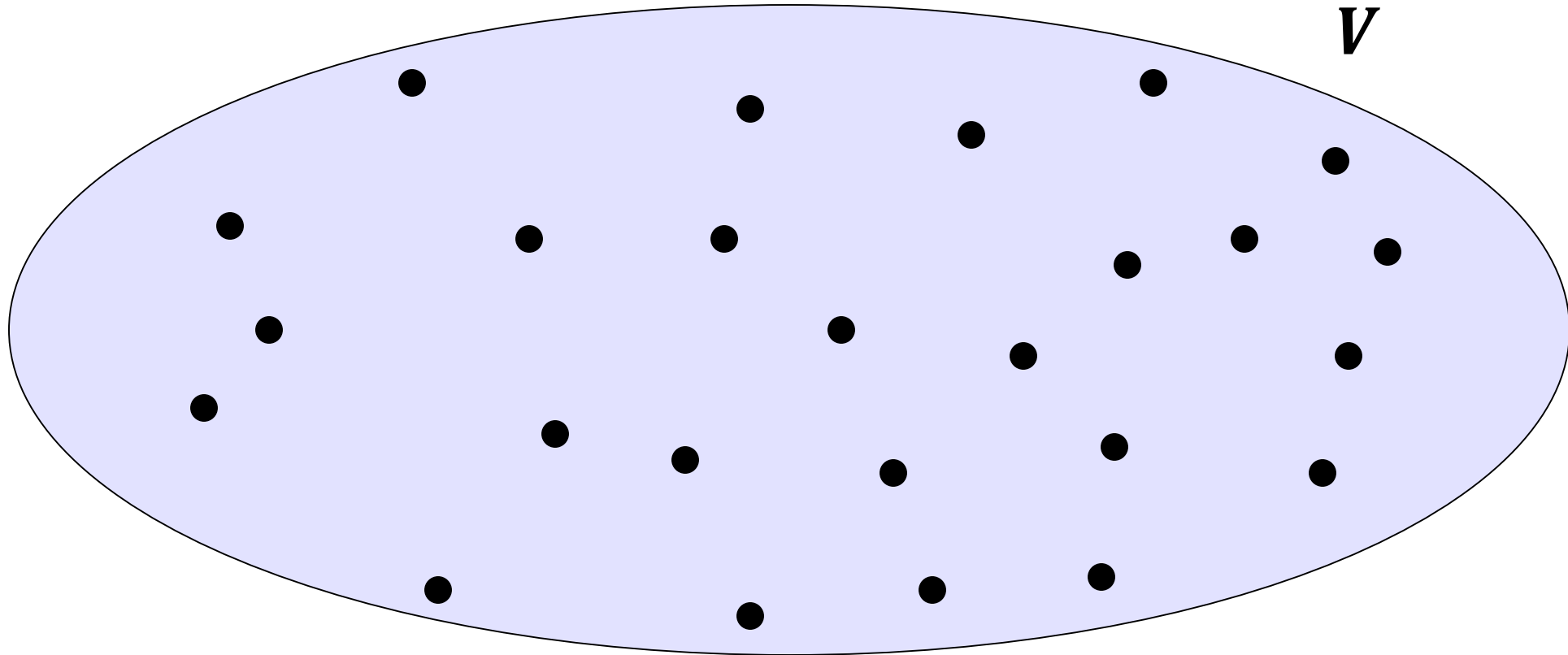
$T$ :



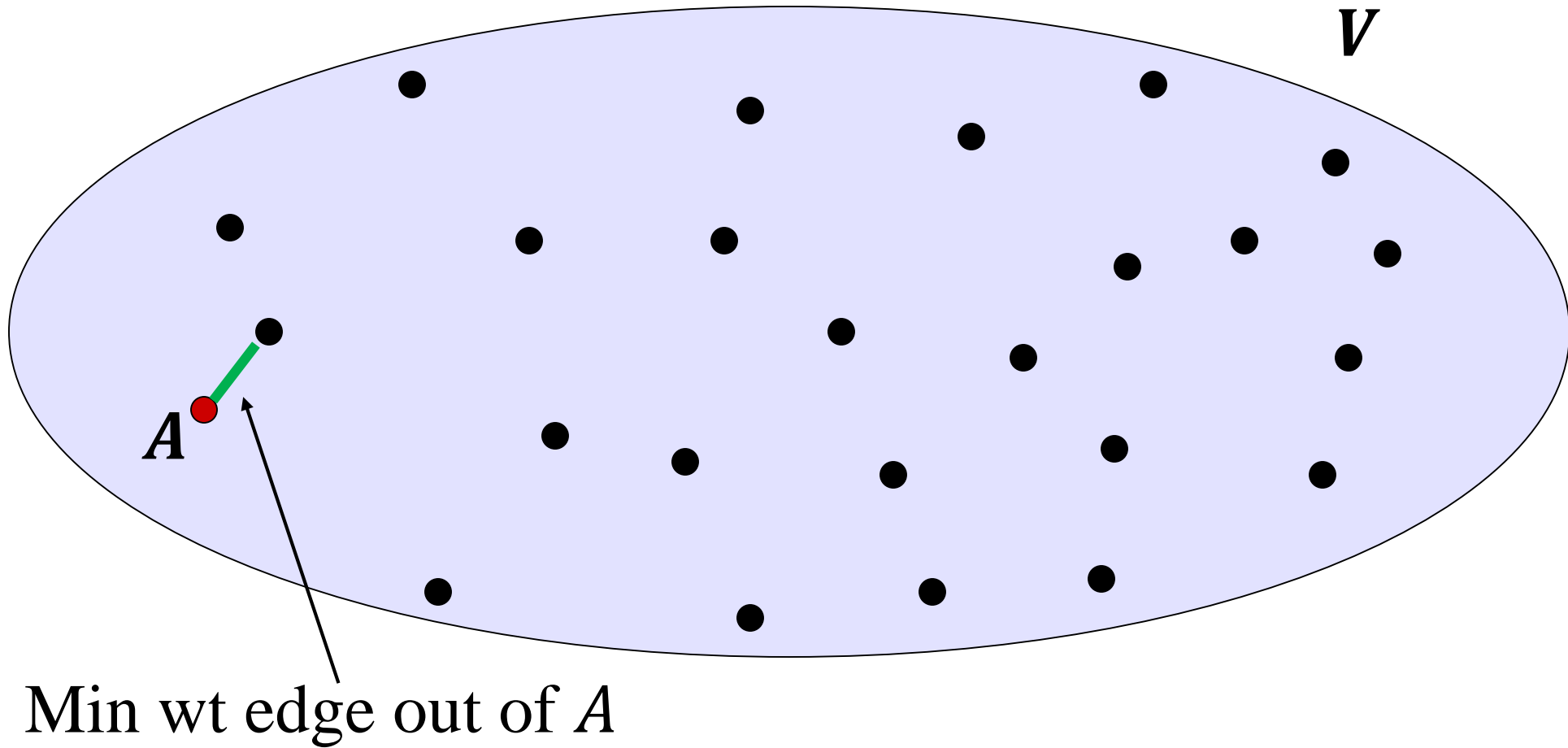
Swap  $(u, v)$  with the first edge on this path that connects a vertex in  $A$  to a vertex in  $V - A$ .

A lighter weight spanning tree than  $T$  results. □

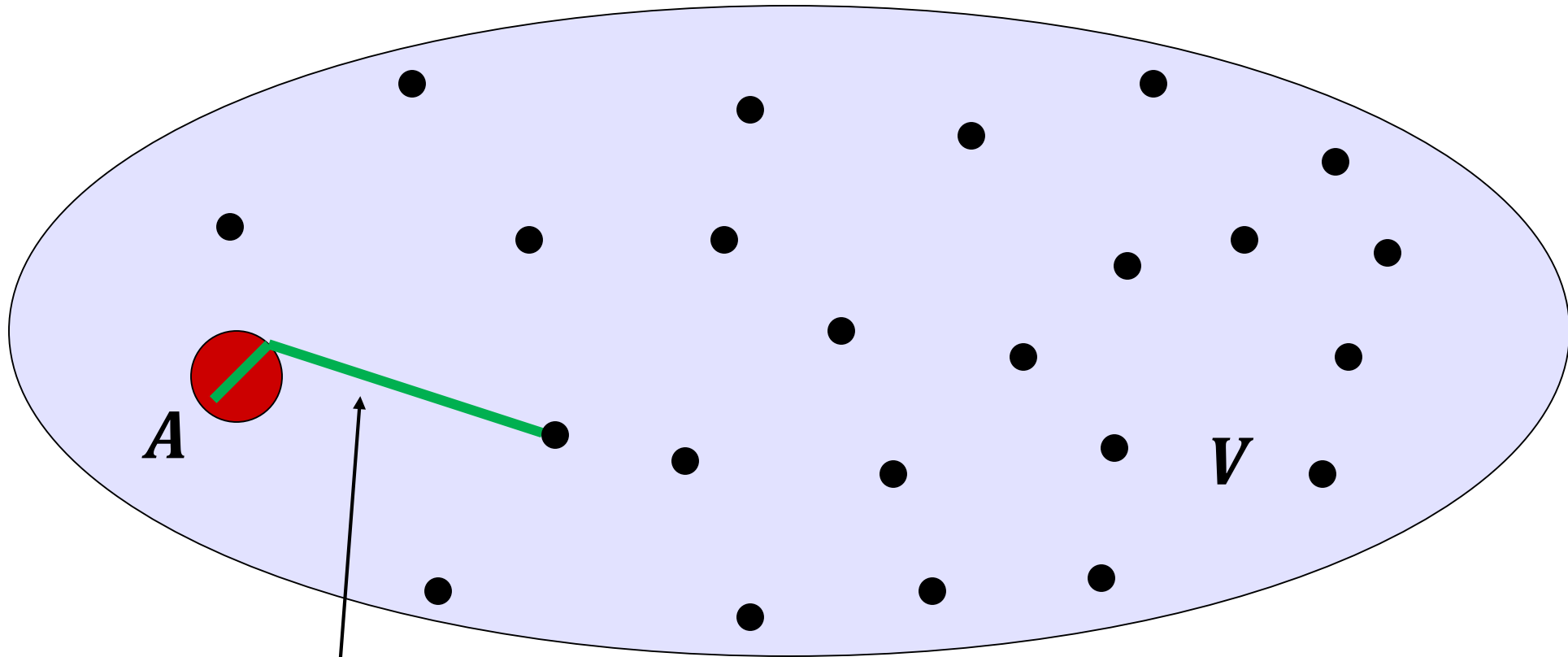
# Greedy Algorithm



# Greedy Algorithm

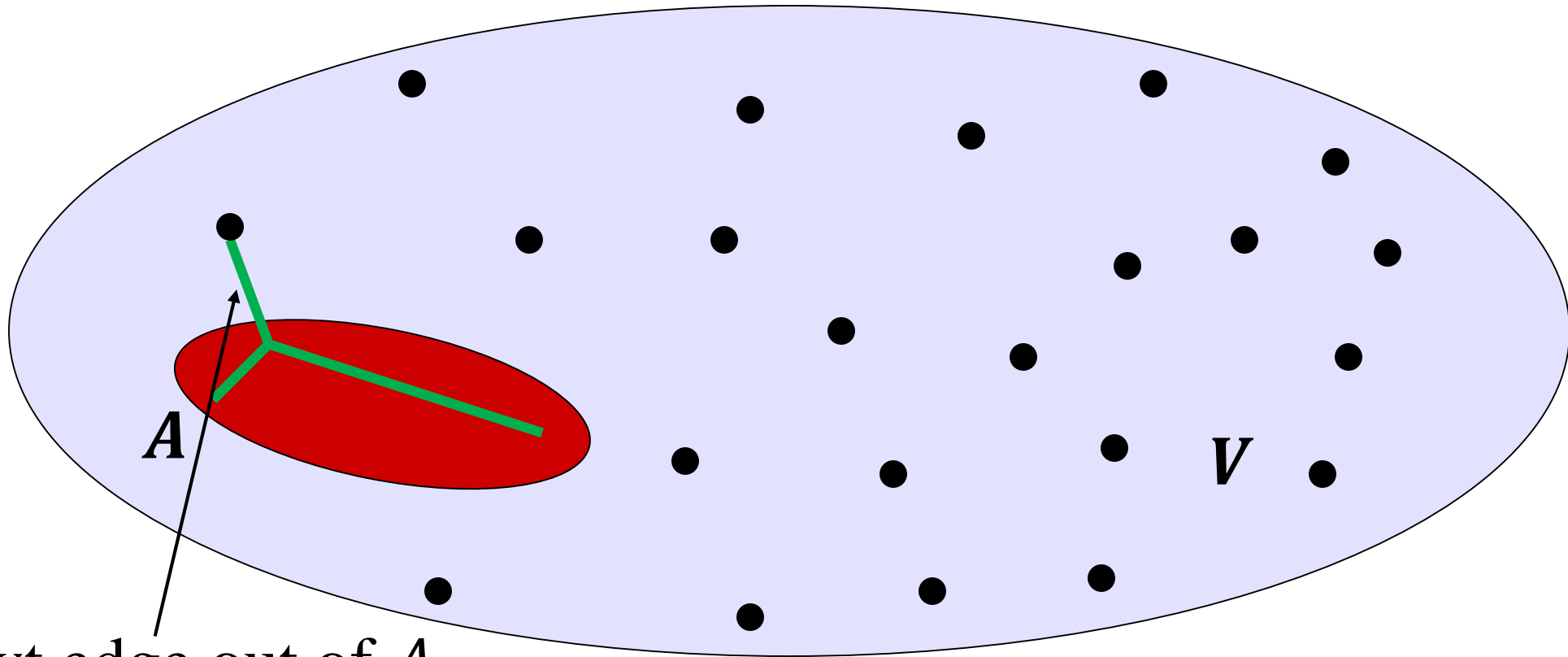


# Greedy Algorithm



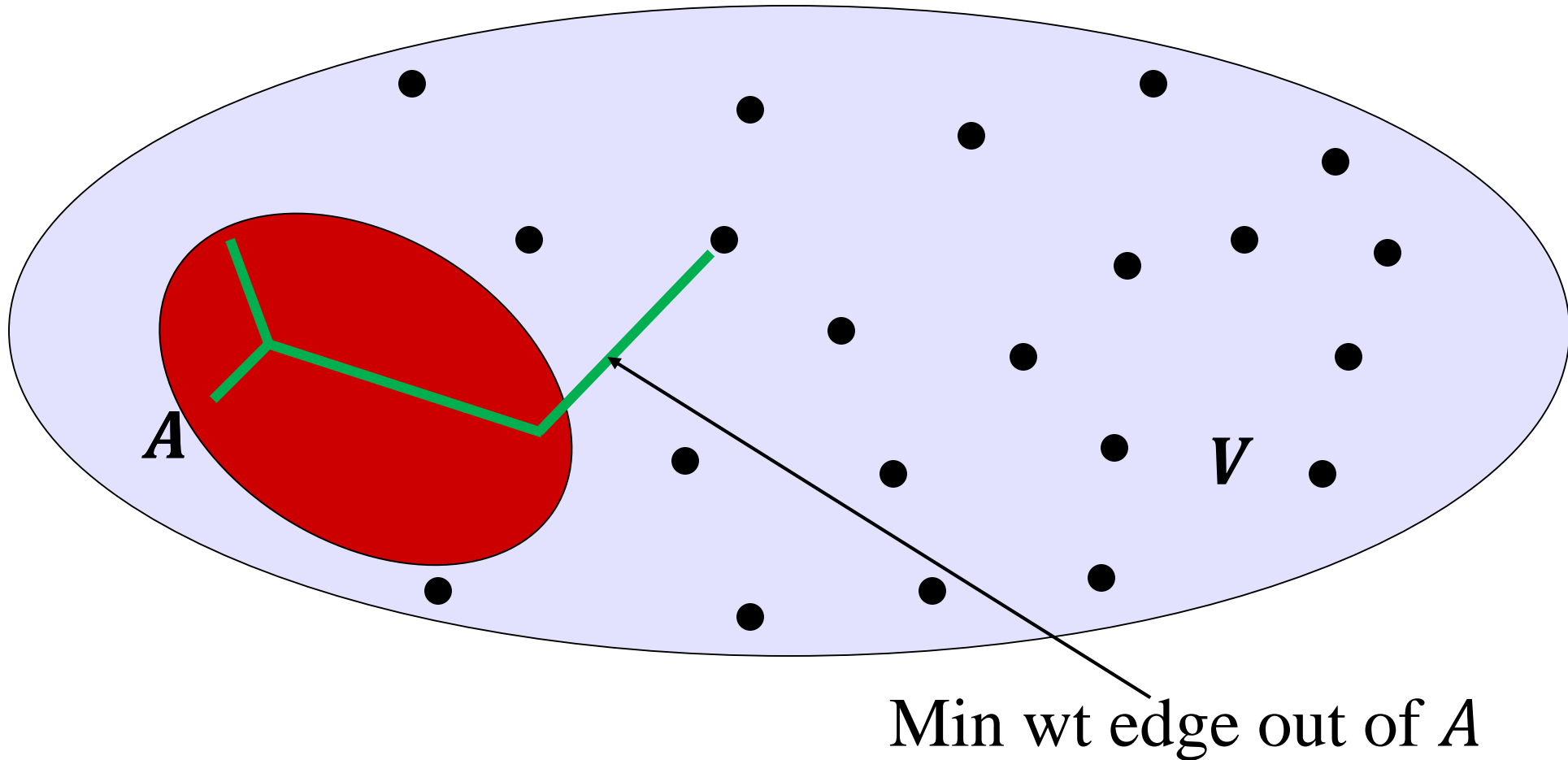
Min wt edge out of  $A$

# Greedy Algorithm

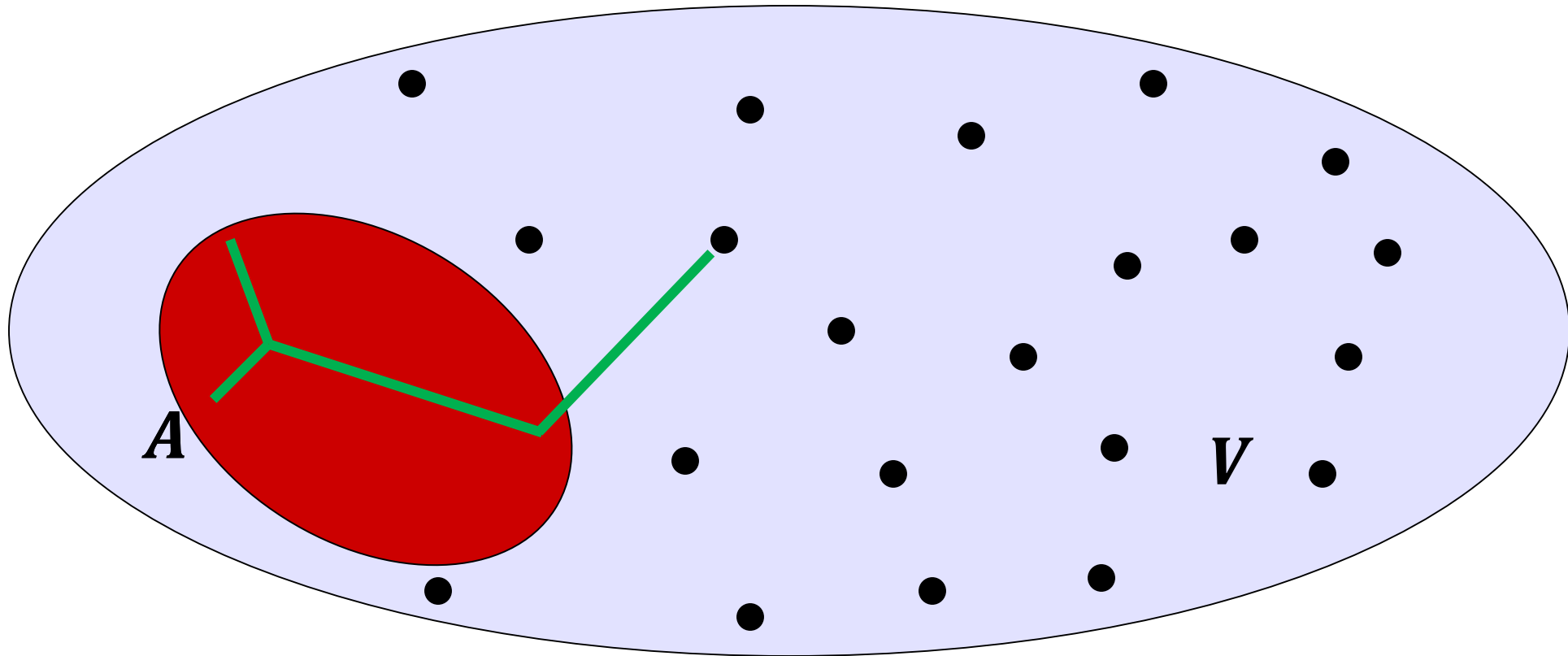


Min wt edge out of  $A$

# Greedy Algorithm



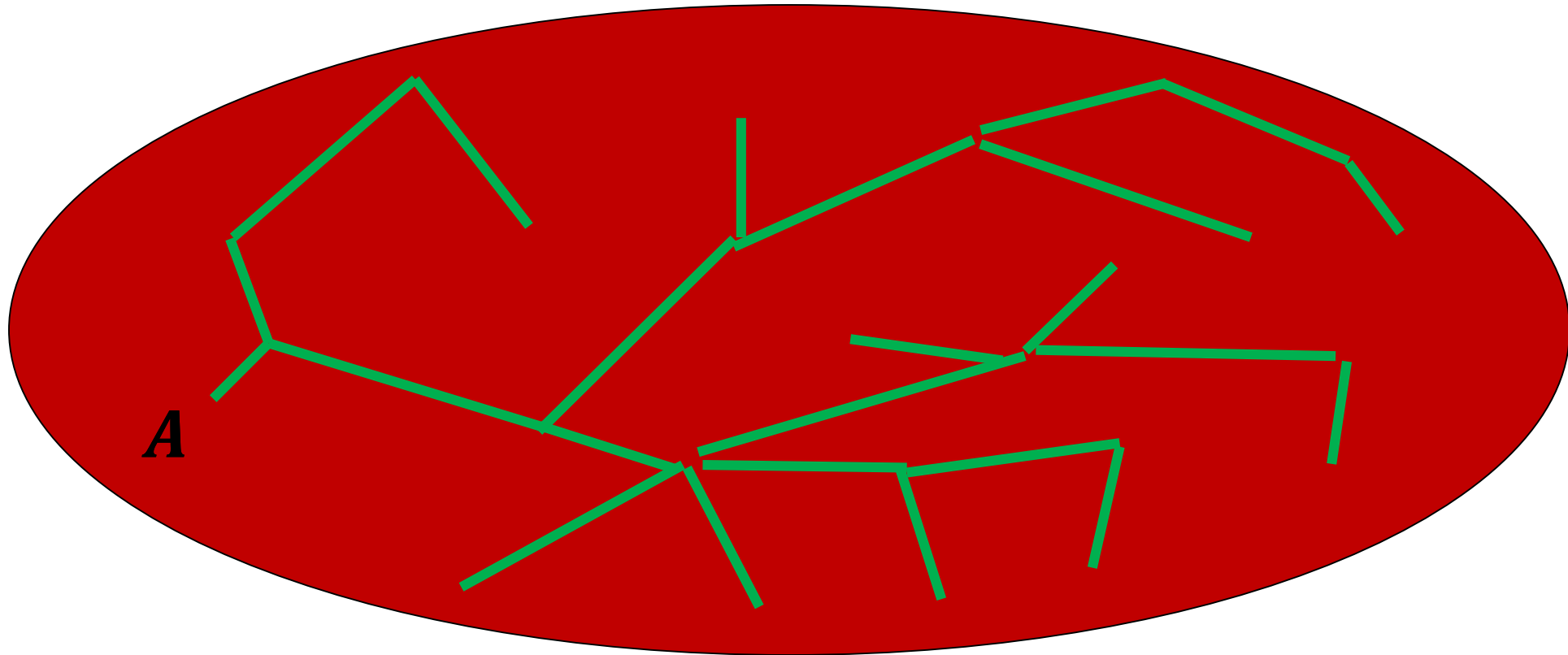
# Greedy Algorithm



■ ■ ■



# Greedy Algorithm



# Prim's algorithm

**IDEA:** Maintain  $V - A$  as a priority queue  $Q$ . Key each vertex in  $Q$  with the weight of the least-weight edge connecting it to a vertex in  $A$ .

$Q \leftarrow V$

$key[v] \leftarrow \infty$  for all  $v \in V$

$key[s] \leftarrow 0$  for some arbitrary  $s \in V$

**while**  $Q \neq \emptyset$

**do**  $u \leftarrow \text{EXTRACT-MIN}(Q)$

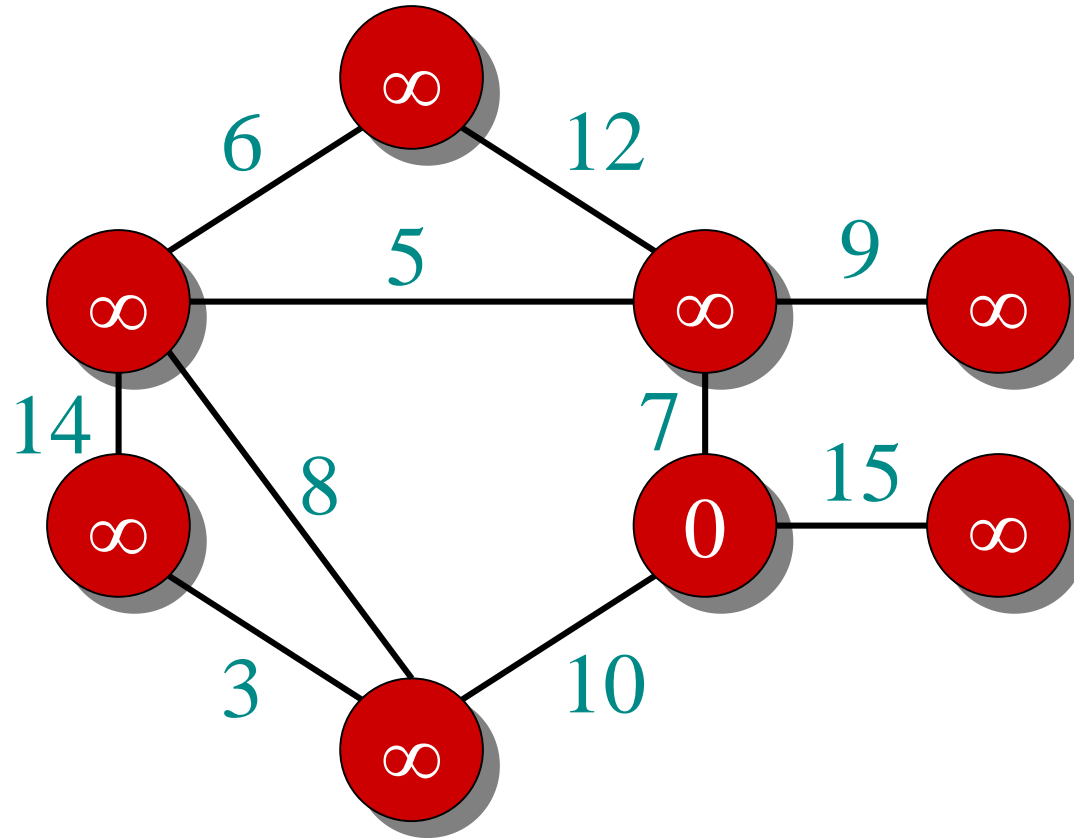
**for each**  $v \in \text{Adj}[u]$

**do if**  $v \in Q$  and  $w(u, v) < key[v]$

**then**  $key[v] \leftarrow w(u, v)$      ▷ DECREASE-KEY

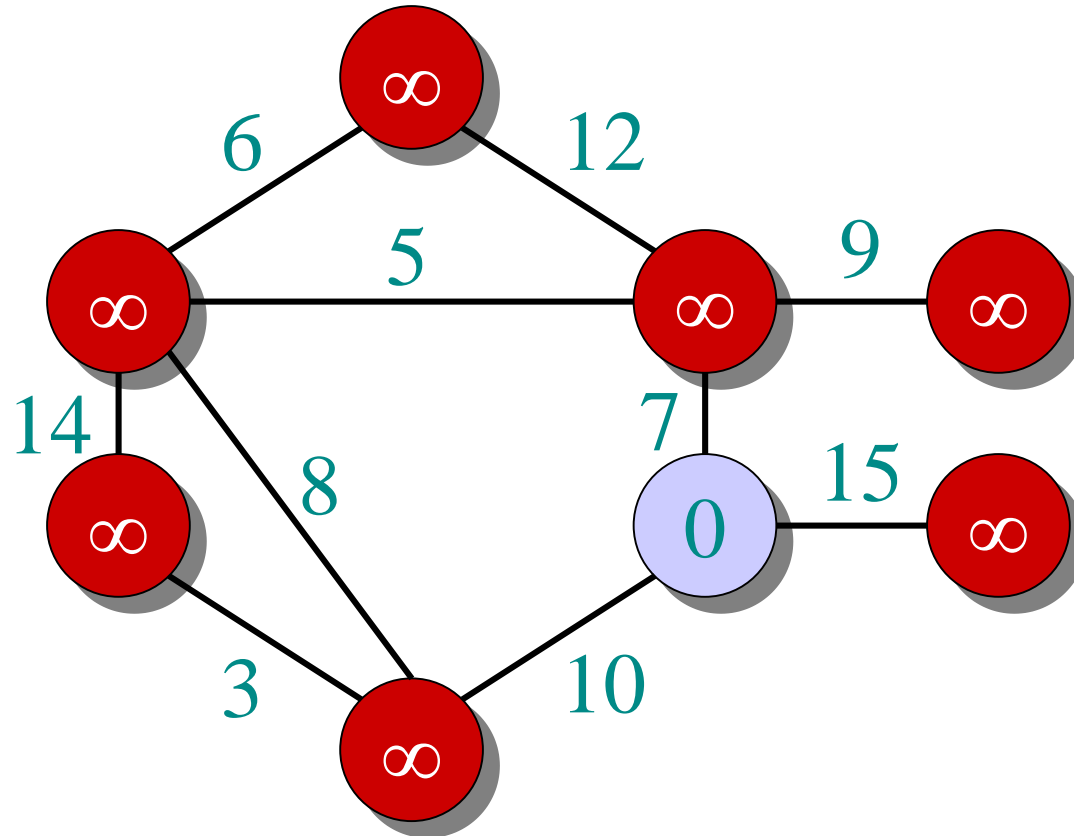
$\pi[v] \leftarrow u$

At the end,  $\{(v, \pi[v])\}$  forms the MST.



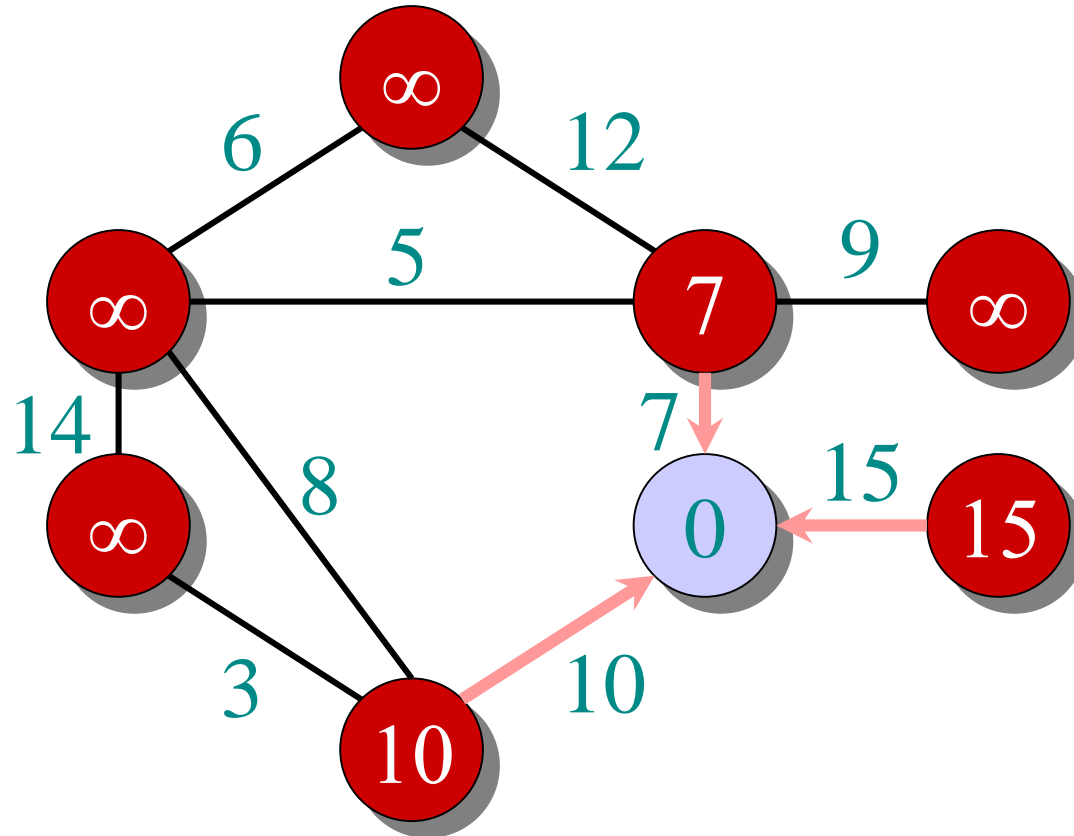
# Example of Prim's algorithm

  $\in A$   
  $\in V - A$



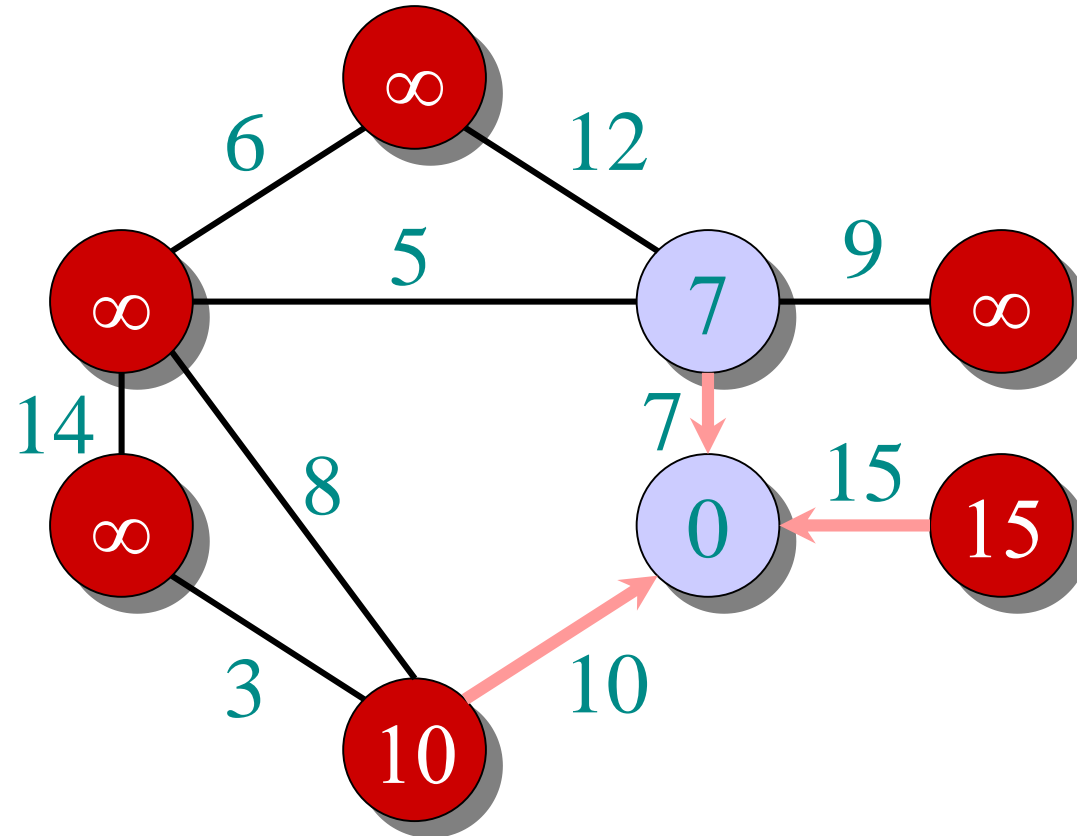
# Example of Prim's algorithm

$\circ \in A$   
 $\bullet \in V - A$



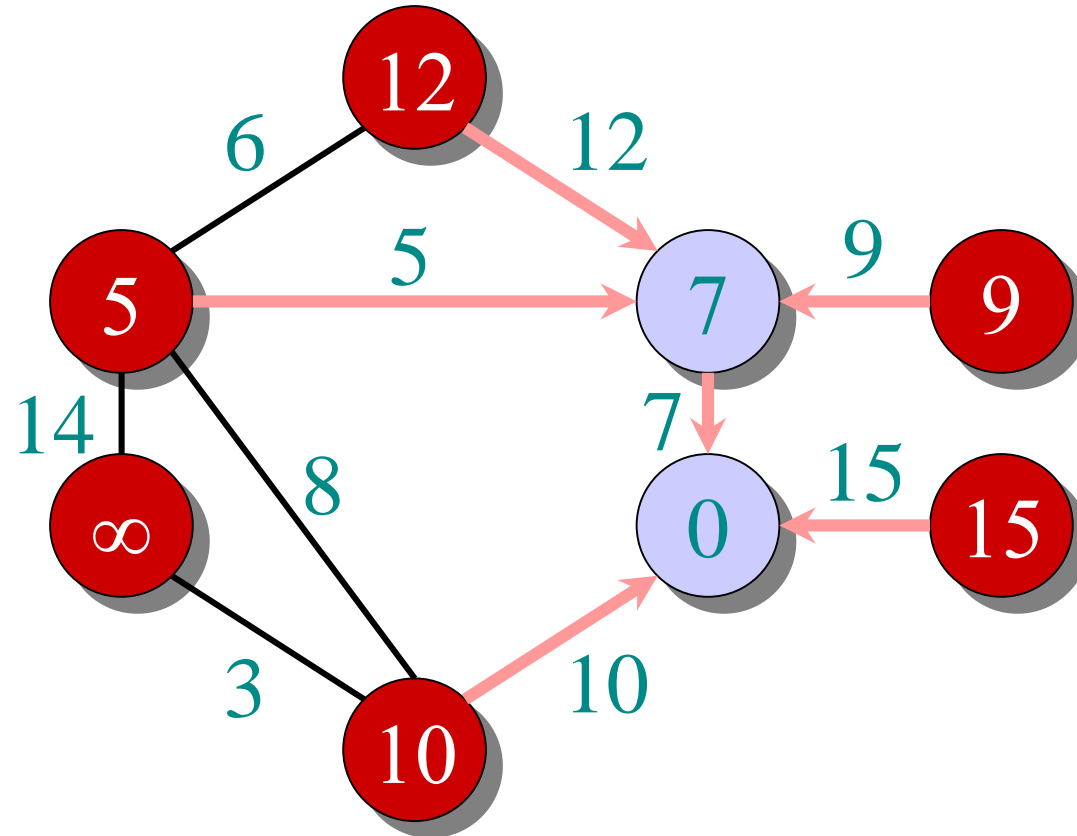
# Example of Prim's algorithm

$\circ \in A$   
 $\bullet \in V - A$



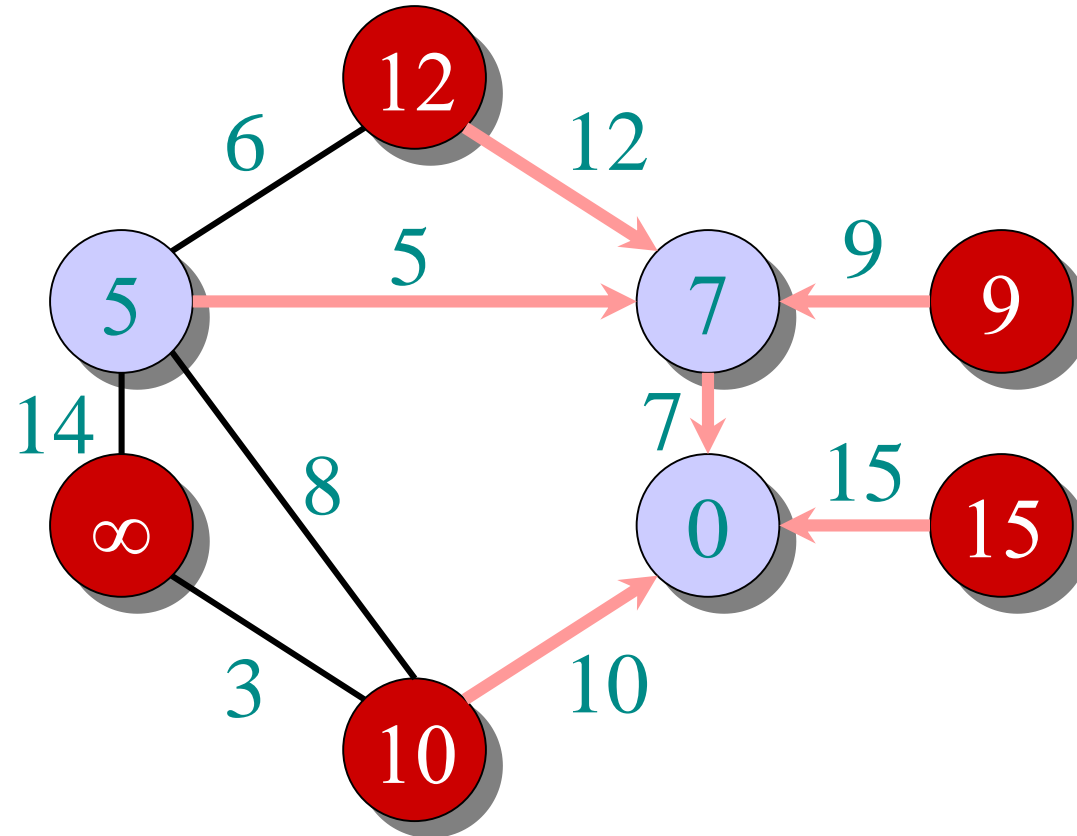
# Example of Prim's algorithm

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 $\bullet \in V - A$



# Example of Prim's algorithm

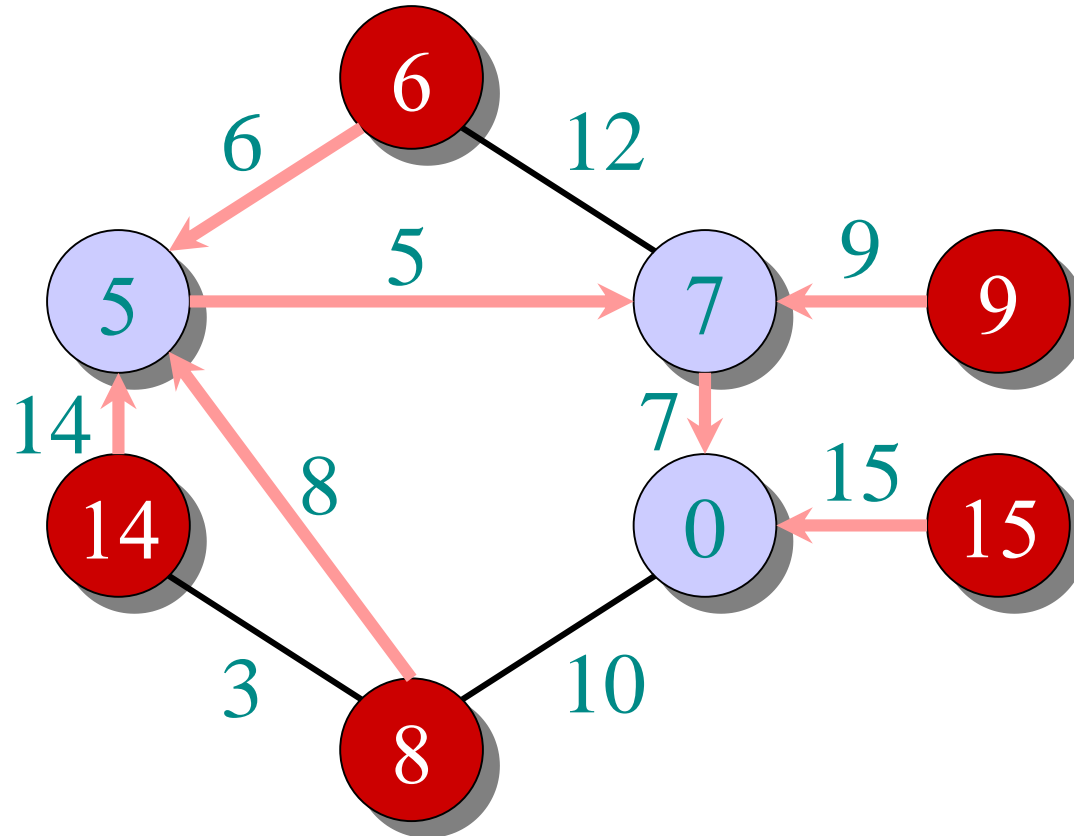
$\circ \in A$   
 $\bullet \in V - A$





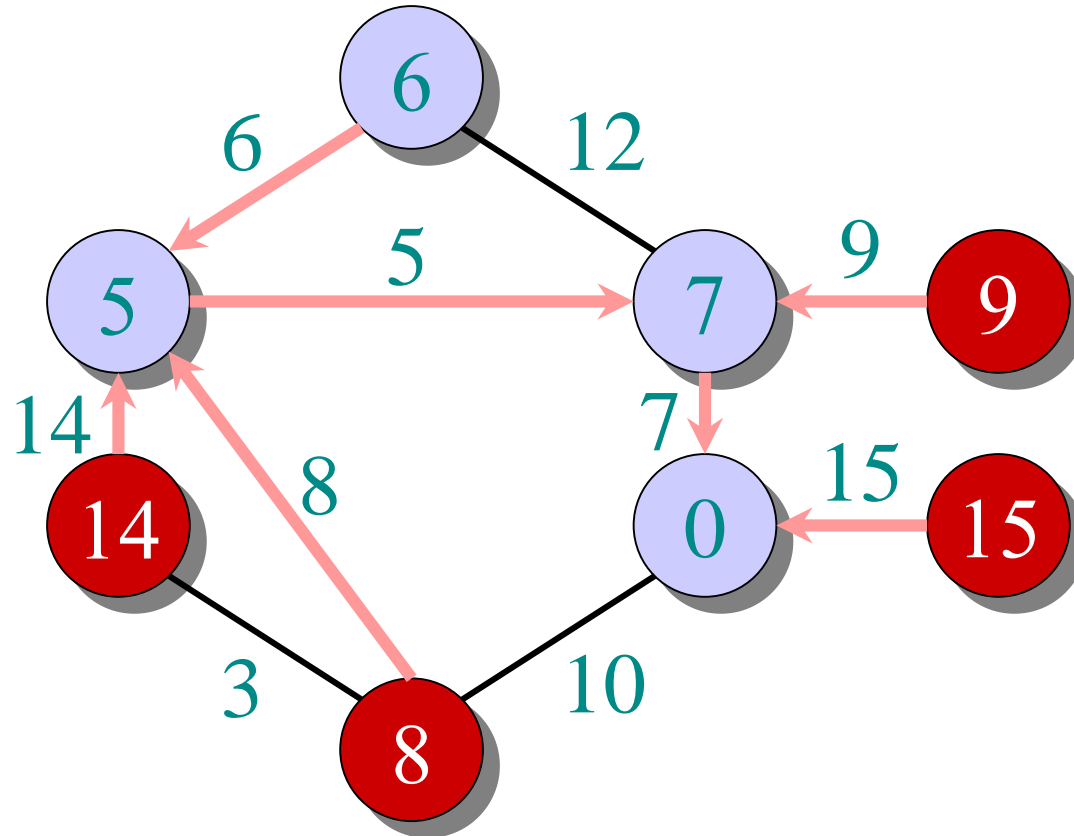
# Example of Prim's algorithm

○  $\in A$   
●  $\in V - A$



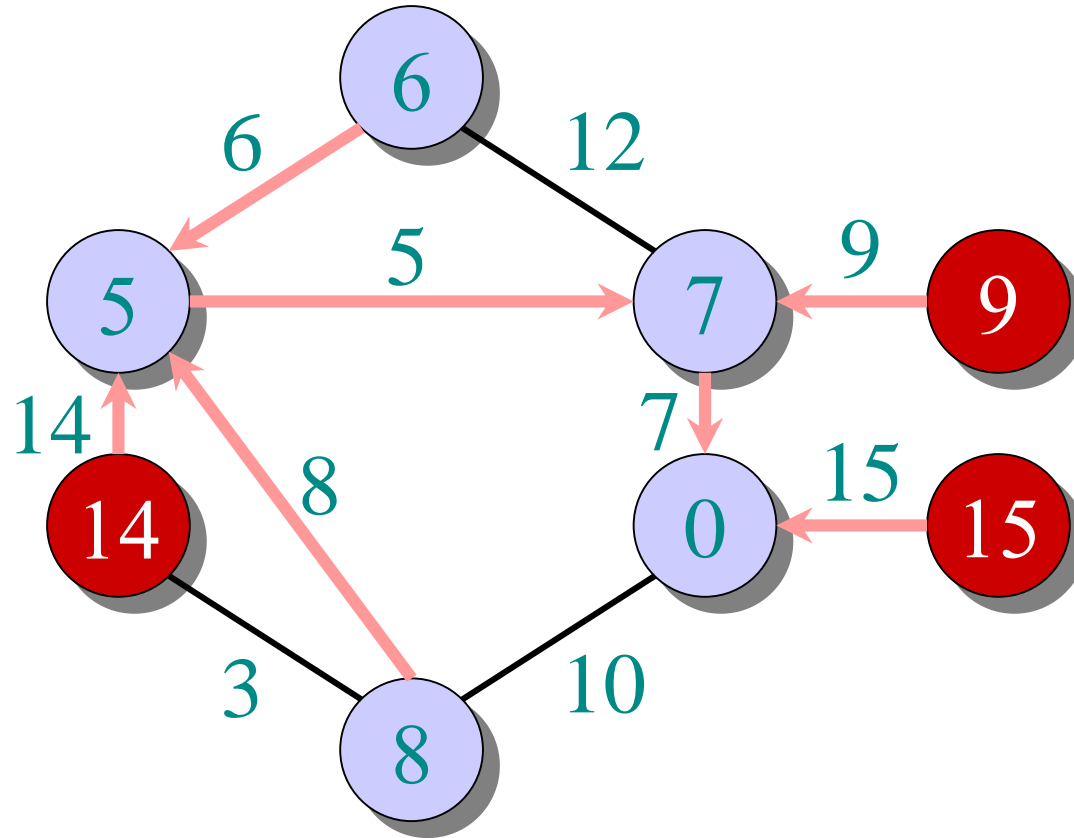
# Example of Prim's algorithm

$\circ \in A$   
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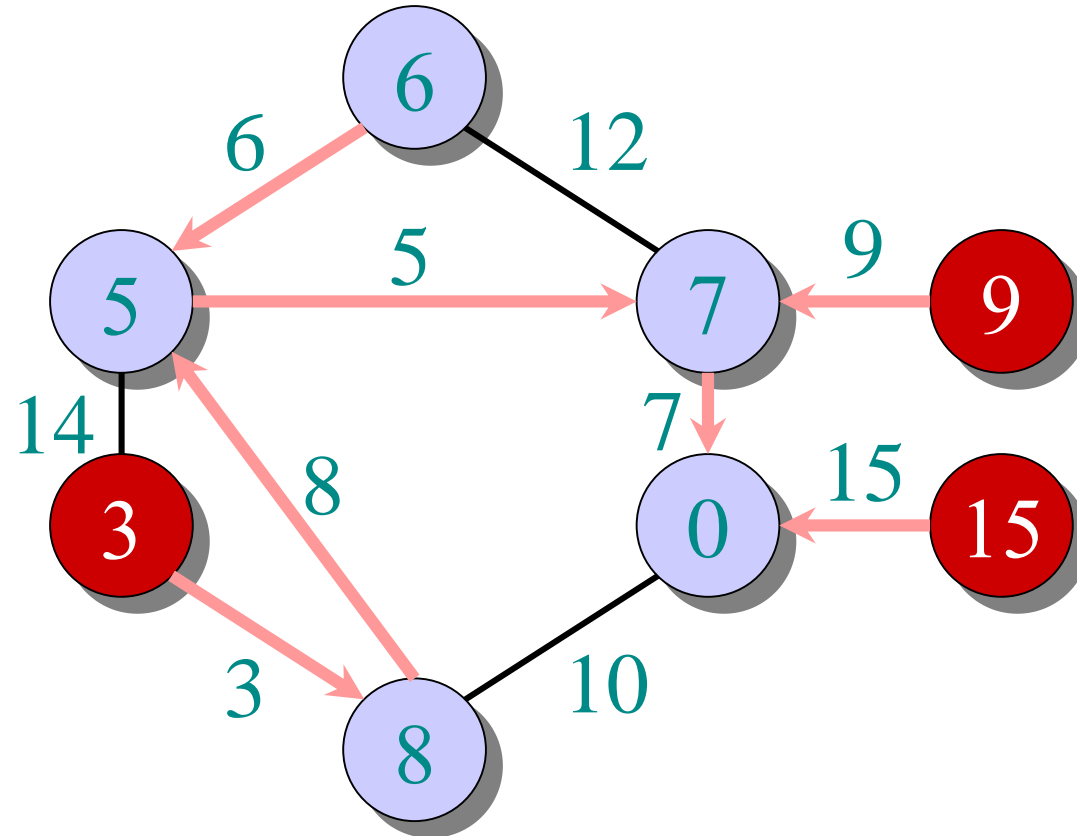
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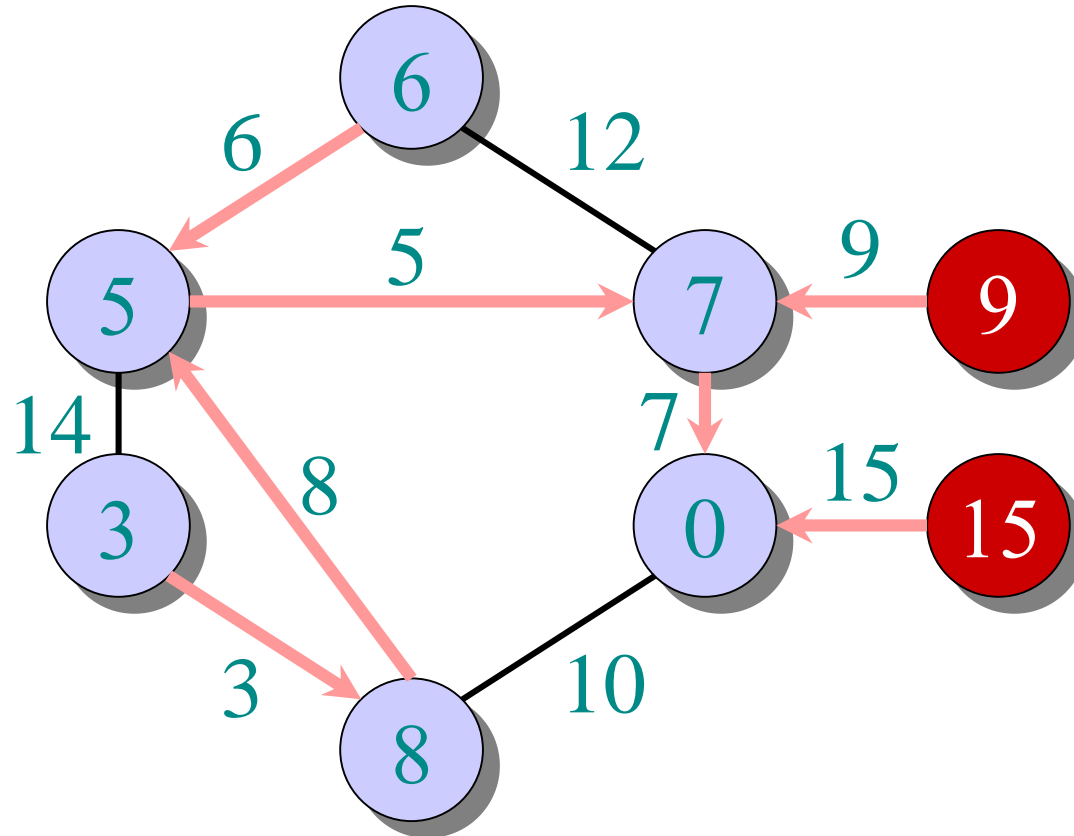
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●  $\in A$   
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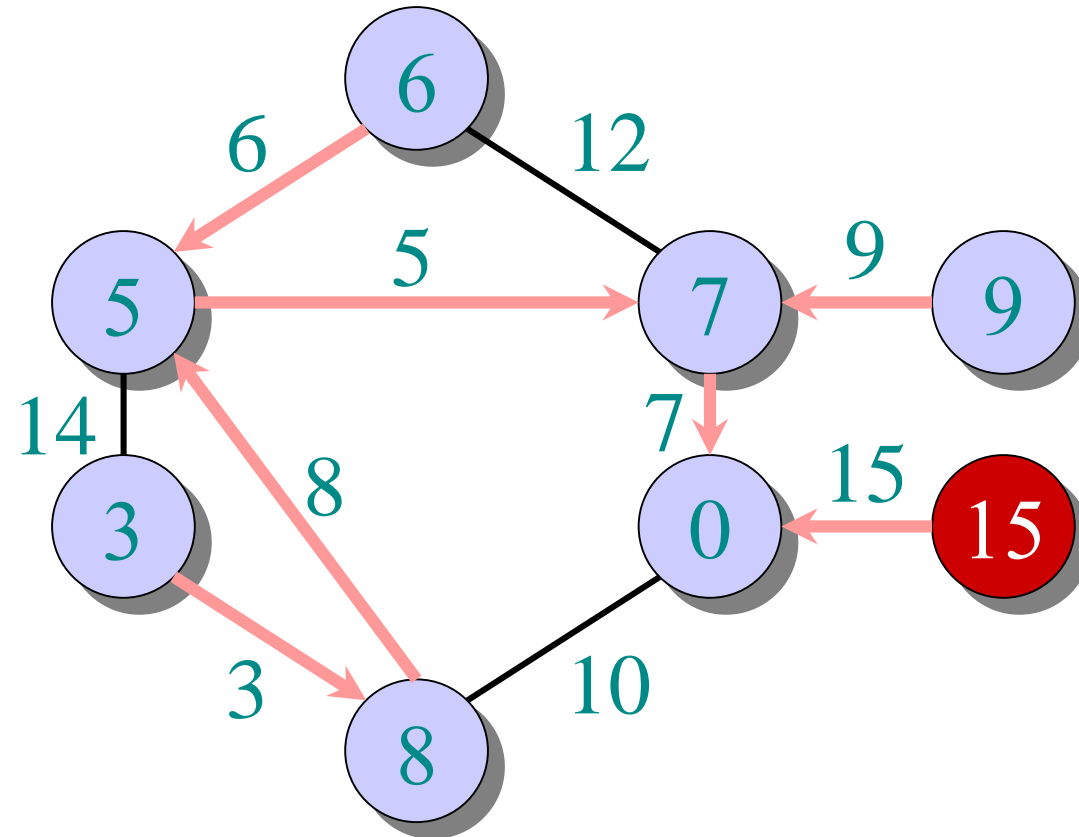
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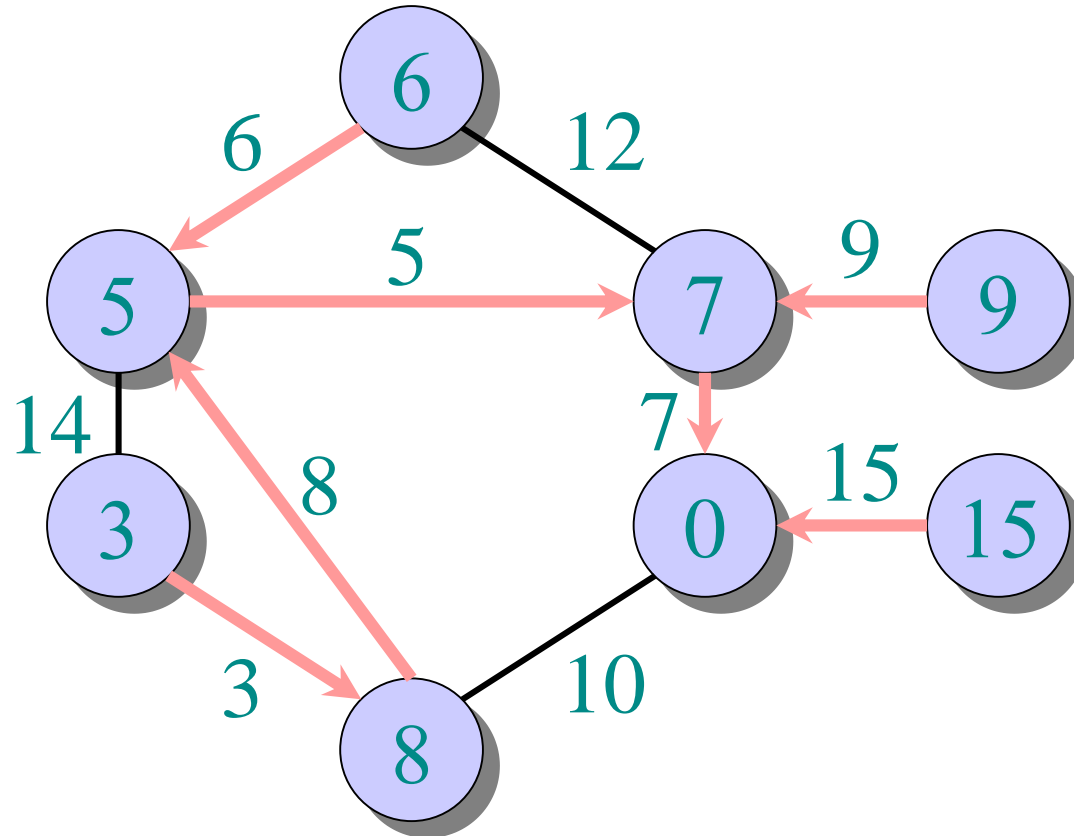
# Example of Prim's algorithm

$\circ \in A$   
 $\bullet \in V - A$



# Example of Prim's algorithm

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# Analysis of Prim

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 $Q \leftarrow V$   
 $key[v] \leftarrow \infty$  for all  $v \in V$   
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while  $Q \neq \emptyset$   
  do  $u \leftarrow \text{EXTRACT-MIN}(Q)$   
    for each  $v \in \text{Adj}[u]$   
      do if  $v \in Q$  and  $w(u, v) < key[v]$   
        then  $key[v] \leftarrow w(u, v)$   
           $\pi[v] \leftarrow u$ 
```



# Analysis of Prim

$\Theta(V)$   
total

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$\Theta(V)$   
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$|V|$   
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$|V|$  times
   
 $degree(u)$  times

Handshaking Lemma  $\Rightarrow \Theta(E)$  implicit DECREASE-KEY's.

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$|V|$  times
   
 $degree(u)$  times

Handshaking Lemma  $\Rightarrow \Theta(E)$  implicit DECREASE-KEY's.

$$\text{Time} = \Theta(V) \cdot T_{\text{EXTRACT-MIN}} + \Theta(E) \cdot T_{\text{DECREASE-KEY}}$$



# Analysis of Prim (continued)

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# Analysis of Prim (continued)

$$\text{Time} = \Theta(V) \cdot T_{\text{EXTRACT-MIN}} + \Theta(E) \cdot T_{\text{DECREASE-KEY}}$$

$Q$	$T_{\text{EXTRACT-MIN}}$	$T_{\text{DECREASE-KEY}}$	Total
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# Analysis of Prim (continued)

$$\text{Time} = \Theta(V) \cdot T_{\text{EXTRACT-MIN}} + \Theta(E) \cdot T_{\text{DECREASE-KEY}}$$

$Q$	$T_{\text{EXTRACT-MIN}}$	$T_{\text{DECREASE-KEY}}$	Total
array	$O(V)$	$O(1)$	$O(V^2)$



# Analysis of Prim (continued)

$$\text{Time} = \Theta(V) \cdot T_{\text{EXTRACT-MIN}} + \Theta(E) \cdot T_{\text{DECREASE-KEY}}$$

$Q$	$T_{\text{EXTRACT-MIN}}$	$T_{\text{DECREASE-KEY}}$	Total
array	$O(V)$	$O(1)$	$O(V^2)$
binary heap	$O(\lg V)$	$O(\lg V)$	$O(E \lg V)$

# Analysis of Prim (continued)

$$\text{Time} = \Theta(V) \cdot T_{\text{EXTRACT-MIN}} + \Theta(E) \cdot T_{\text{DECREASE-KEY}}$$

$Q$	$T_{\text{EXTRACT-MIN}}$	$T_{\text{DECREASE-KEY}}$	Total
array	$O(V)$	$O(1)$	$O(V^2)$
binary heap	$O(\lg V)$	$O(\lg V)$	$O(E \lg V)$
Fibonacci heap	$O(\lg V)$ amortized	$O(1)$ amortized	$O(E + V \lg V)$ worst case



# Other greedy algorithms for MST

- Boruvka's algorithm
- Kruskal's algorithm
  - Use the same greedy-choice property we used
  - Both run in time  $O(E \log V)$ , though Boruvka's algorithm is usually the method of choice in practice.

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Best to date:

- Karger, Klein, and Tarjan [1993].
- Randomized algorithm.
- $O(V + E)$  expected time.