

# 10

## Approximation Algorithms

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## Outline

# 10 Approximation Algorithms

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## **10.1 Motivation and Definitions**

# Recap: Optimization Problems, NPO

Recall general optimization problem  $U \in \text{NPO}$ :

- ▶ each instance  $x$  has non-empty set of *feasible solutions*  $M(x)$
- ▶ objective function *cost* assigns value  $\text{cost}(y)$  to all candidate solutions  $y \in M(x)$
- ▶ can check in polytime
  - ▶ whether  $x$  is a valid instance
  - ▶ whether  $y \in M(x)$
  - ▶ compute  $\text{cost}(y) \in \mathbb{Q}$

For each  $U$ , consider two variants:

- ▶ *optimization problem*: output  $y \in M(x)$  s.t.  $\text{cost}(y) = \overset{\text{min or max}}{\text{goal}}_{y' \in M(x)} \text{cost}(y')$
- ▶ *evaluation problem*: output  $\text{goal}_{y \in M(x)} \text{cost}(y)$

# Perfect is the enemy of good

Optimal solutions are great, but if they are too expensive to get, maybe “*close-to-optimal*” suffices?

A *heuristic* is an algorithm  $A$  that always computes a feasible solution  $A(x) \in M(x)$ , but we may not have any guarantees about  $\text{cost}(A(x))$ .

$A$  “consistent” with problem  
↓

(Sometimes that’s all we have . . .)

Our goal: Prove guarantees about worst possible  $\text{cost}(A(x))$ .

Problem: optimal objective function value depends on  $x$ ,  
so how to define “good enough”?

Relate  $\text{cost}(A(x))$  to  $\mathbf{OPT} = \text{goal}_{y \in M(x)} \text{cost}(y)$ .  $\rightsquigarrow$  *approximation algorithm*

# Approximation Algorithms

## Definition 10.1 (Approximation Ratio)

Let  $U = (\Sigma_I, \Sigma_O, L, L_I, M, cost, goal)$  be an optimization problem. For every  $x \in L_I$  we denote its *optimal objective value* by  $OPT = OPT_U(x) = goal_{y \in M(x)} cost(y)$ .

Let further  $A$  be an algorithm consistent with  $U$ .

The *approximation ratio*  $R_A(x)$  of  $A$  on  $x$  is defined as  $R_A(x) = \frac{cost(A(x))}{OPT_U(x)}$ . ◀

Note: For minimization problems,  $R_A \geq 1$ ; for maximization problems  $R_A \leq 1$

## Definition 10.2 (Approximation Algorithm)

An algorithm  $A$  consistent with an optimization problem  $U = (\Sigma_I, \Sigma_O, L, L_I, M, cost, goal)$  is called a *c-approximation (algorithm) for U* if

- ▶  $goal = \min$  and  $\forall x \in L_I : R_A(x) \leq c$ ;
- ▶  $goal = \max$  and  $\forall x \in L_I : R_A(x) \geq c$ .

## 10.2 Vertex Cover and Matchings

## Example: Vertex Cover

Recall the VERTEXCOVER optimization problem.

$C$  is a VC iff  $\{u, v\} \in E : \{u, v\} \cap C \neq \emptyset$

goal = min

How can we vouch for a VC  $C$  to be (close to) optimal?

### Definition 10.3 ((Maximal/Maximum/Perfect) Matching)

Given graph  $G = (V, E)$ , a set  $M \subseteq E$  is a *matching* (in  $G$ ) if  $(V, M)$  has max-degree 1.

↑ disjoint pairs of vertices

$M$  is  $(\subseteq)$ -*maximal* (a.k.a. *saturated*) if no superset of  $M$  is a matching.

$M$  is a *maximum matching* if there is no matching of strictly larger cardinality in  $G$ .

$M$  is a *perfect matching* if  $|M| = |V|/2$ .

Note:

- ▶  $\subseteq$ -maximal matchings easy to find via greedy algorithm.
- ▶ Maximum matchings are much more complicated, but also computable in polytime (Edmonds's "Blossom algorithm")



# Matching $\rightarrow$ Vertex Cover

## Lemma 10.4 ( $VC \geq M$ )

If  $M$  is a matching and  $C$  is a vertex cover in  $G$ , then  $|C| \geq |M|$ .

**Proof:**

Let  $\{v, w\} \in M \subseteq E$ .  $\rightsquigarrow$   $C$  has to contain  $v$  or  $w$  (or both).

Since all  $|M|$  matching edges are disjoint,  $C$  must cover them by  $\geq |M|$  distinct endpoint. ■

---

```
1 procedure matchingVertexCoverApprox( $G = (V, E)$ )
2   // greedy maximal matching
3    $M := \emptyset$ 
4   for  $e \in E$  // arbitrary order
5     if  $M \cup \{e\}$  is a matching
6        $M := M \cup \{e\}$ 
7   return  $\bigcup_{\{u,v\} \in M} \{u, v\}$ 
```

---

## Theorem 10.5 (Matching is 2-approx for Vertex Cover)

matchingVertexCoverApprox is a *2-approximation* for VERTEXCOVER.

## Can we do better?

Maybe do smarter analysis?

A tight example for “ $\text{VC} \geq M$ ”:  $K_{n,n}$

Assuming the *unique games conjecture*, no polytime  $(2 - \varepsilon)$  approx for VC.

Simple matching-based approximation worst-case optimal . . .

## 10.3 The Drosophila of Approximation: Set Cover

# (Weighted) Set Cover

## Definition 10.6 (SETCOVER)

**Given:** a number  $n$ ,  $\mathcal{S} = \{S_1, \dots, S_k\}$  of  $k$  subsets of  $U = [n]$ ,  
and a cost function  $c : \mathcal{S} \rightarrow \mathbb{N}$ .

**Solutions:**  $\mathcal{C} \subseteq [k]$  with  $\bigcup_{i \in \mathcal{C}} S_i = U$

**Cost:**  $\sum_{i \in \mathcal{C}} c(S_i)$

**Goal:** min

- ▶ *cardinality version* a.k.a. UNWEIGHTEDSETCOVER has cost  $c(S) = |S|$
- ▶ UNWEIGHTEDSETCOVER generalizes VERTEXCOVER:  
For VERTEXCOVER instances, the sets  $S_i$  are the sets of edges incident at a vertex  $v$   
     $\rightsquigarrow$  additional property that each  $e \in U$  occurs in **exactly** 2 sets  $S_i$
- ▶ general UNWEIGHTEDSETCOVER = Vertex Cover on hypergraphs

We will use SETCOVER to illustrate various techniques for approximation algorithms.

# Greedy Algorithm

Arguably simplest approach: **Greedily** pick set with current best *cost-per-new-item* ratio.

---

```
1 procedure greedySetCover( $n, \mathcal{S}, c$ )
2    $\mathcal{C} := \emptyset; C := \emptyset$ 
3   // For analysis:  $i := 1$ 
4   while  $C \neq [n]$ 
5      $i^* := \arg \min_{i \in [n]} \frac{c(S_i)}{|S_i \setminus C|}$ 
6      $\mathcal{C} := \mathcal{C} \cup \{i^*\}$ 
7      $C := C \cup S_{i^*}$ 
8     // For analysis only:
9     //  $\alpha_i := \frac{c(S_{i^*})}{|S_{i^*} \setminus C|}$ 
10    // for  $e \in S_{i^*} \setminus C$  set  $\text{price}(e) := \alpha_i$ 
11    //  $i := i + 1$ 
12  return  $\mathcal{C}$ 
```

---

## Lemma 10.7 (Price Lemma)

Let  $e_1, e_2, \dots, e_n$  the order, in which greedySetCover covers the elements of  $U$ .

Then for all  $j \in \{1, \dots, n\}$  we have

$$\text{price}(e_j) \leq \frac{\text{OPT}}{n - j + 1}.$$

### Proof:

Consider time when the  $j$ th element  $e_j$  is covered.

$|\overline{C}| = n - (j - 1)$  elements uncovered (for  $\overline{C} = U \setminus C$ ).

Optimal SC  $\mathcal{C}^*$  covers  $\overline{C}$  with cost  $\leq \text{OPT}$

$$\rightsquigarrow \exists S_{i^*} : \underbrace{\frac{c(S_{i^*})}{|S_{i^*} \setminus C|}}_{\geq \text{price}(e_j)} \leq \frac{\text{OPT}}{|\overline{C}|} \leq \frac{\text{OPT}}{n - j + 1}.$$

in  $\mathcal{C}^*$ , but not (yet) in  $\mathcal{C}$

Arbitrarily order sets in  $\mathcal{C}^*$ , assign prices to uncovered elements.

If all prices were  $> \text{OPT}/|\overline{C}|$ , covering  $\overline{C}$  would cost  $> \text{OPT}$ . ⚡

# Greedy Set Cover Analysis

## Theorem 10.8 (greedySetCover approx)

greedySetCover is an  $H_n$ -approximation for WEIGHTEDSETCOVER.

Proof:

$$\begin{aligned} c(\mathcal{C}) &= \sum_{i \in \mathcal{C}} c(S_i) = \sum_{j=1}^n \text{price}(e_j) \\ &\stackrel{[\text{Lemma 10.7}]}{\leq} \sum_{j=1}^n \frac{OPT}{n-j+1} = OPT \sum_{i=1}^n \frac{1}{n} = H_n \cdot OPT \end{aligned}$$

# Greedy Worst Case

$H_n \sim \ln n$  is . . . not amazing. (Guarantee becomes worse with growing input size)

Unfortunately, bound is **tight** for greedySetCover in the worst case even on WEIGHTEDVERTEXCOVER instances:

- ▶ Consider star graph where leaves cost  $\frac{1}{n}, \frac{1}{n-1}, \dots, 1$ , and middle vertex costs  $1 + \varepsilon$ .
- ▶ greedySetCover picks all leaves  $\rightsquigarrow H_n$
- ▶  $OPT = 1 + \varepsilon$

More complicated constructions:  $\Omega(\log n)$ -approx even for (UNWEIGHTED)VERTEXCOVER.

## 10.4 The Layering Technique for Set Cover



# Size-proportional cost functions

Greedy failed on “unfair” costs for sets . . . what if costs are “nicer”?

Larger sets “should” be more costly.

## Definition 10.9 (Size-proportional cost function)

A cost function  $c$  is called *size proportional* if there is a constant  $p$  so that  $c(S_i) = p|S_i|$ . ◀

## Definition 10.10 (Frequency)

The *frequency*  $f_e$  of an element  $e \in [n]$  is the number of sets in which it occurs:

$$f_e = |\{j : e \in S_j\}|.$$

The (maximal) *frequency* of a SETCOVER instance is  $f = \max_e f_e$ . ◀

Note: (WEIGHTED)VERTEXCOVER instance  $\rightsquigarrow f = 2$

# Size-proportional indeed easier

## Lemma 10.11 (size-proportionality $\rightarrow$ trivial $f$ -approx)

For a size proportional weight function  $c$  we have  $c(S) \leq f \cdot OPT$ .

Proof:

$$c(S) = \sum_{i=1}^k c(S_i) = p \sum_{i=1}^k |S_i| = p \sum_{e \in U} f_e \leq p \sum_{e \in U} f \stackrel{\text{size-prop.} \rightsquigarrow OPT \geq p \cdot n}{\leq} f \cdot OPT$$

Taking *all* sets gives  $f$ -approx, so certainly true for greedySetCover.

But probably not too many problem instances are that simple ...

# Layering Algorithm

**Idea:** Split cost function into sum of

- ▶ size-proportional part  $c_0$  and
- ▶ a some residue  $c_1$

---

```
1 procedure layeringSetCover( $U, S, c$ )
2    $p := \min \left\{ \frac{c(S_j)}{|S_j|} : j \in [k] \right\}$ 
3    $c_0(S_i) := p \cdot |S_i|$  // size-prop. part
4    $c_1(S_i) := c(S_i) - c_0(S_i)$  //  $\geq 0$ 
5    $\mathcal{C}_0 := \{j \in [k] : c_1(S_j) = 0\}$ 
6    $U_0 := \bigcup_{j \in \mathcal{C}_0} S_j$  // covered by size-prop.
7   if  $U_0 == U$ 
8     return  $\mathcal{C}_0$ 
9   else
10     $U_1 := U \setminus U_0$  // rest of universe
11     $S_1 := \{S \in \{S_1, \dots, S_k\} \mid S \cap U_1 \neq \emptyset\}$ 
12     $\mathcal{C}_1 := \text{layeringSetCover}(U_1, S_1, c_1)$ 
13  return  $\mathcal{C}_0 \cup \mathcal{C}_1$ 
```

---

## Theorem 10.12 (layering $f$ -approx)

layeringSetCover is  $f$ -approx. for SETCOVER. ◀

### Proof:

Show by induction over recursive calls that

(a) computes cover (b) of cost  $\leq f \cdot OPT$ .

**Basis:**  $U_0 = U$

All of  $U$  covered by size-prop. part/

$\rightsquigarrow$   $f$ -approx by Lemma 10.11

### Inductive step:

IH:  $\mathcal{C}_1$  covers  $U_1$  at cost  $c_1(\mathcal{C}_1) \leq f \cdot OPT(U_1, S_1, c_1)$ .

Let  $\mathcal{C}^*$  be **optimal** set cover w.r.t.  $c$

Lemma 10.11:  $\mathcal{C} = \mathcal{C}_0 \cup \mathcal{C}_1$  is  $f$ -approx w.r.t.  $c_0$ .

$\rightsquigarrow c_0(\mathcal{C}) \leq f \cdot c_0(\mathcal{C}^*) \quad (0)$

# Layering Algorithm [2]

Proof (cont.):

Define  $\mathcal{C}_1^* = \{i \in \mathcal{C}^* : S_i \in \mathcal{S}_1\}$

$\mathcal{C}_1^*$  is a set cover for  $U_1$

$$\rightsquigarrow c_1(\mathcal{C}_1) \underset{IH}{\leq} OPT(U_1, \mathcal{S}_1, c_1) \leq f \cdot c_1(\mathcal{C}_1^*) \quad (1)$$

$$c(\mathcal{C}) = c_0(\mathcal{C}) + c_1(\mathcal{C})$$

$$= c_0(\mathcal{C}) + c_1(\mathcal{C}_1)$$

$$\begin{array}{c} \uparrow \\ i \in \mathcal{C}_0 \rightsquigarrow c_1 = 0 \end{array}$$

$$\underset{(0),(1)}{\leq} f \cdot (c_0(\mathcal{C}^*) + c_1(\mathcal{C}_1^*))$$

$$\leq f \cdot (c_0(\mathcal{C}^*) + c_1(\mathcal{C}^*))$$

$$= f \cdot c(\mathcal{C}^*)$$

Note: For VERTEXCOVER, this yields again a 2-approximation.

$\rightsquigarrow$  Same as using maximal matching

But the layering algorithm can handle *arbitrary vertex costs* (WEIGHTEDVERTEXCOVER)!

## 10.5 Applications of Set Cover

# Shortest Superstrings

## Definition 10.13 (SHORTESTSUPERSTRING)

**Given:** alphabet  $\Sigma$ , set of strings  $W = \{w_1, \dots, w_n\} \subseteq \Sigma^+$

**Feasible Instances:** *superstrings*  $s$  of  $S$ , i. e.,  $s$  contains  $w_i$  as substring for  $1 \leq i \leq n$ .

**Cost:**  $|s|$

**Goal:** min



## Remark 10.14

Without-loss-of-generality assumption: no string is a substring of another.



- ▶ Motivation: DNA assembly (sequencing from many shorter “reads”)
- ▶ General problem is NP-complete

**Here:** Reduce this problem to SETCOVER!

# Shortest Superstring by Set Cover

Construct *all* pairwise superstrings: overlap  $w_i$  and  $w_j$  by exactly  $\ell$  characters (if possible)

$\sigma_{i,j,\ell} = w_i[0..|w_i|-\ell) \cdot w_j$  valid iff  $w_j[0..\ell) = w_i[|w_i|-\ell..|w_i|)$

$M = \{\sigma_{i,j,\ell} : i, j \in [u], \ell \in [0..\min\{|w_i|, |w_j|\}]\}$

$\rightsquigarrow$  **Set Cover instance:**

- ▶ **Universe:**  $[n]$   $\rightsquigarrow$  try to *cover* all words in  $W$  with superstring ...
- ▶ **Subsets:**  $S = \{S_\pi : \pi \in W \cup M\}$  ... by combining pairwise superstrings.  
where  $S_\pi = \{k \in [n] : \exists i, j : w_k = \pi[i..j)\}$
- ▶ **Cost function:**  $c(S_\pi) = |\pi|$

Given set-cover solution  $\{S_{\pi_1}, \dots, S_{\pi_k}\}$

$\rightsquigarrow$  superstring  $s = \pi_1 \dots \pi_k$  (in any order)

# Shortest Superstring by Set Cover – Analysis

## Lemma 10.15 (Pairwise superstrings yield 2-SC-approx)

Let  $W$  be an instance for SHORTESTSUPERSTRING and  $(n, S, c)$  the corresponding SETCOVER instance. Let further  $OPT$  resp.  $OPT_{SC}$  be the optimal objective value of  $W$  resp.  $(n, S, c)$ . Then  $OPT \leq OPT_{SC} \leq 2 \cdot OPT$ .

## Corollary 10.16 ( $2H_n$ approximation for superstring)

By solving the transformed set cover instance with greedySetCover, we obtain a  $2H_n$ -approximation for the shortest superstring problem.

**Proof (Lemma 10.15):**

► “ $OPT \leq OPT_{SC}$ ”

It suffices to show that  $s = \pi_1 \dots \pi_k$  is a valid superstring.

By definition, every  $w_i$  must be contained in some  $\pi_k$  as a substring.

► “ $OPT_{SC} \leq 2 \cdot OPT$ ”

$OPT = |s^*|$  for a *shortest* superstring  $s^*$  for  $W$ .

Without loss of generality, suppose  $s^*$  contains  $w_1, \dots, w_n$  *in this order*.



# Shortest Superstring by Set Cover – Analysis [2]

**Proof:**

Define groups:  $i_1 = 1$ ;  $i_j = \min\{i > i_{j-1} : \text{first occurrence of } w_i \text{ does not overlap } w_{i_{j-1}}\}$ .

Group  $j$  starts with  $w_{i_j}$  and ends with  $w_{i_{j+1}-1}$

$\rightsquigarrow$  overlap of two strings  $\rightsquigarrow \pi_j = \sigma_{i_j, i_{j+1}-1, \ell_j}$

Groups can overlap (so concatenation of  $\sigma$ s longer than  $s^*$ ).

But group  $j$  and  $j + 2$  cannot overlap!

$\rightsquigarrow |\pi_1 \dots \pi_k| \leq 2|s^*| = 2 \cdot OPT.$

(Note: Better approximation algorithms for SHORTESTSUPERSTRING possible via different techniques.)

## 10.6 (F)PTAS: Arbitrarily Good Approximations

# Approximation Schemes

The problems so far had a barrier to arbitrarily good approximations; but sometimes we can achieve the latter!

## Definition 10.17 ((F)PTAS)

Let  $U = (\Sigma_I, \Sigma_O, L, L_I, M, cost, \text{min})$  an optimization problem.

An algorithm  $A = A_\varepsilon(x)$  with input  $(\varepsilon, x)$  is called

***polynomial-time approximation scheme (PTAS)*** for  $U$ ,

if for every constant  $\varepsilon \in \mathbb{Q}_{>0}$ , the algorithm  $A_\varepsilon$  is a  $(1 + \varepsilon)$ -approximation for  $U$  with running time polynomial in  $|x|$ .

If the running time of  $A_\varepsilon(x)$  is bounded by a polynomial in  $|x|$  **and**  $\varepsilon^{-1}$ ,  $A$  is called a ***fully polynomial-time approximation scheme (FPTAS)*** for  $U$ . ◀

Note: PTAS could have running time  $O(n^{2^{1/\varepsilon}})$  or so (akin to XP running time)

FPTAS much stronger ... *but do they even exist for any NP-hard problems?* Yes!

# Pseudopolynomial DP Reprise

Recall **0/1-KNAPSACK**: **Given:** items  $1, \dots, n$  with *weights*  $w_1, \dots, w_n$  and *values*  $v_1, \dots, v_n$ ;

**Feasible solutions:** subset of items with total weight  $\leq b$

**Goal:** maximize total value

**Approximation Idea:** Work with *rounded* values (depending on  $\varepsilon$ )

In Unit 3, we solved Knapsack

- ▶ using a DP table  $V[n', b'] = \max$  value from items  $1..n'$  and total weight  $b' \leq b$

$\rightsquigarrow n \cdot b$  entries  $\rightsquigarrow$  total time  $O(n \cdot b \cdot \log(\text{MaxInt}(v)))$

$\rightsquigarrow$  good if *weights* are small, but we want to round *values*

- ▶ actually, DP also works with values as index!

Assumption:  $w_1, \dots, w_n, v_1, \dots, v_n \in \mathbb{N}$

- ▶ DP table  $W[n', v] = \min$  weight from items  $1, \dots, n'$  with value  $= v$

$$W[n', v] = \begin{cases} \min\{W[n' - 1, v], W[n' - 1, v - v_{n'}] + w_{n'}\} & \text{if } v_{n'} < v \\ W[n' - 1, v] & \text{otherwise} \end{cases}$$

(+ initial values)

$\rightsquigarrow n \cdot nV$  entries for  $V = \max v_i$   $\rightsquigarrow$  total time  $O(n^2 \cdot V \cdot \log(\text{MaxInt}(w)))$

# FPTAS for Knapsack

Convenience Assumption: any item fits in the knapsack alone, i. e.,  $w_i \leq b$

---

```
1 procedure knapsackFPTAS( $w, v, b, \varepsilon$ )
2    $V := \max_{i=1, \dots, n} v_i$ 
3    $K := \varepsilon V / n$ 
4    $\tilde{v} := \lfloor \frac{v}{K} \rfloor$  // rounded  $v$ 
5   return DPKnapsack( $w, \tilde{v}, b$ )
```

---

DPKnapsack is pseudopolynomial DP algorithm  
with running time  $O(n^2 \cdot V \cdot \log(\text{MaxInt}(w)))$

## Theorem 10.18

approxKnapsack is an FPTAS for 0/1-KNAPSACK.

**Proof:**

First consider running time; dominated by DPKnapsack.

$$O(n^2 \tilde{V} \log(\text{MaxInt}(w))) \leq O(n^2 \tilde{V} |x|) \leq O\left(n^2 |x| \frac{V}{K}\right) \leq O(n^3 |x| \varepsilon^{-1}) \leq O(|x|^4 \varepsilon^{-1})$$

It remains to show that total value of  $I = \text{DPKnapsack}(w, \tilde{v}, b)$  is  $v(I) \geq (1 - \varepsilon) \cdot \text{OPT}$

## FPTAS for Knapsack [2]

Proof (cont.):

Let  $I^*$  be an optimal solution,  $v(I^*) = \sum_{i \in I^*} v_i = OPT$

For each  $i \in [n]$ , we have by definition  $\boxed{v_i - K < K \cdot \tilde{v}_i \leq v_i} \quad (*)$ .

FPKnapsack returns *optimal* solution for rounded values  $\rightsquigarrow \tilde{v}(I) \geq \tilde{v}(I^*) \quad (o)$

Moreover,  $OPT \geq V$  by our assumption that each item fits into knapsack.  $(V)$

We now have

$$v(I) \underset{(*)}{\geq} K \cdot \tilde{v}(I) \underset{(o)}{\geq} K \cdot \tilde{v}(I^*) \underset{(*)}{\geq} v(I^*) - nK = OPT - \varepsilon V \underset{(V)}{\geq} (1 - \varepsilon) \cdot OPT$$

# FPTAS asks for much

## Theorem 10.19 (FPTAS $\rightarrow$ FPT and pseudopolynomial)

1.  $U \in \text{FPTAS} \implies p\text{-}U \in \text{FPT}$
2.  $U \in \text{FPTAS}$  and  $\text{cost}(u, x) < p(\text{MaxInt}(x))$  for some polynomial  $p$   
 $\implies \exists$  pseudopolynomial algorithm for  $U$ .



## 10.7 Christofides's Algorithm



# Metric TSP – MST Approximation

METRICTRAVELINGSALESPERSONPROBLEM: TSP where distances obey triangle inequality

## Step 1: MST

- ▶ Consider edge-weighted complete graph  $G = ([n], E, D)$  of cities with pairwise distances  $D_{i,j}$ .
- ▶ Compute a minimum spanning tree  $T$  in  $G$ .

“Baby-Christofides”: Walk around  $T$  (Euler tour after doubling all edges)

If this visits a vertex another time, simply skip it  
(shortcut edge to next vertex)

## Lemma 10.20

Baby-Christofides is a 2-approximation for METRICTSP.

### Proof:

- $\rightsquigarrow$  Walking around  $T$  uses each edge twice: cost =  $2c(T)$ .
- ▶ Shortcutting does not make the tour longer by the triangle inequality.
- ▶ Removing one edge from an optimal TSP tour yields a spanning tree (path)
- $\rightsquigarrow OPT \geq c(T)$ .


# Matchings and Tours

Can we improve upon the specific Euler tour we used?

Doubling edges was costly. For even-degree vertices this is not needed!

Recall: graph has an Euler tour iff all vertices have even degrees.

## Lemma 10.21

Let  $V' \subseteq V$  with  $|V'|$  even and let  $M$  be a minimum-cost perfect matching on  $V'$  (in the TSP graph). Then  $c(M) \leq OPT/2$ . 


**Proof:**

Let  $C^*$  be the optimal TSP tour and let  $C'$  be the tour (on  $V'$ ) where we shortcut all vertices not in  $V'$ .

By triangle inequality  $c(C') \leq c(C^*)$ .

Since  $|V'|$  is even,  $C'$  is the *disjoint union of two perfect matchings* of  $V'$  (odd and even steps).

So the cheaper of these two matchings has cost  $\leq c(C')/2 \leq c(C^*)/2 = OPT/2$ .

$\rightsquigarrow$  optimal perfect matching also has  $c(M) \leq OPT/2$ . 

# Christofides's 3/2-Approximation

## Step 2: Christofides's Algorithm

- ▶  $T := \text{MST in } G$ .
- ▶  $V' := \text{vertices with odd degree in } T$ .
- ▶  $M := \text{minimum-cost perfect matching of } V' \text{ in } G$ .
- ▶ Output Euler cycle  $C$  in  $([n], E(T) \cup M)$ , shortcutting repeated vertices.

## Theorem 10.22

Christofides's algorithm is a  $\frac{3}{2}$ -approximation for METRICTSP.

Proof:

$$c(C) = c(T) + c(M) \leq OPT + OPT/2 = \frac{3}{2} \cdot OPT$$

Major open problem: Can  $\frac{3}{2}$  be improved?

- ▶ Was open since 1976
- ▶ (Tiny) improvement published at STOC 2021 ( $(\frac{3}{2} - \delta)$ -approximation) out of PhD project of Nathan Klein (!)

## 10.8 Randomized Approximations

# Randomized Approximation Guarantees

## Definition 10.23 (Randomized $\delta$ -approx.)

Let  $U = (\Sigma_I, \Sigma_O, L, L_I, M, cost, \mathbf{min})$  an optimization problem.

For  $\delta > 1$ , a randomized algorithm  $A$  is called *randomized  $\delta$ -approximation algorithm for  $U$* , if

- ▶  $\mathbb{P}[A(x) \in M(x)] = 1$ , (always feasible) and
- ▶  $\mathbb{P}[R_A(x) \leq \delta] \geq \frac{1}{2}$  (typically within  $\delta$ )

for all  $x \in L_I$ .

## Definition 10.24 ( $\delta$ -expected approx.)

Let  $U = (\Sigma_I, \Sigma_O, L, L_I, M, cost, \min)$  an optimization problem.

For  $\delta > 1$ , a  $A$  is called (*randomized*)  *$\delta$ -expected approximation algorithm for  $U$* , if

- ▶  $\mathbb{P}[A(x) \in M(x)] = 1$  (always feasible) and
- ▶  $\frac{\mathbb{E}[cost(A(x))]}{OPT_U(x)} \leq \delta$  (expected within  $\delta$ )

for all  $x \in L_I$ .

(Minimization problems similar.)