# Lecture 15

Minimum Spanning Trees

### Announcements

- HW7 due Wednesday.
- HW8 (last homework!) out Wednesday

About last week ...

### Last time

- Greedy algorithms
  - Make a series of choices.
    - Choose this activity, then that one, ...
    - Never backtrack.
  - Show that, at each step, your choice does not rule out success.
    - At every step, there exists an optimal solution consistent with the choices we've made so far.
  - At the end of the day:
    - you've built only one solution,
    - never having ruled out success,
    - so your solution must be correct.

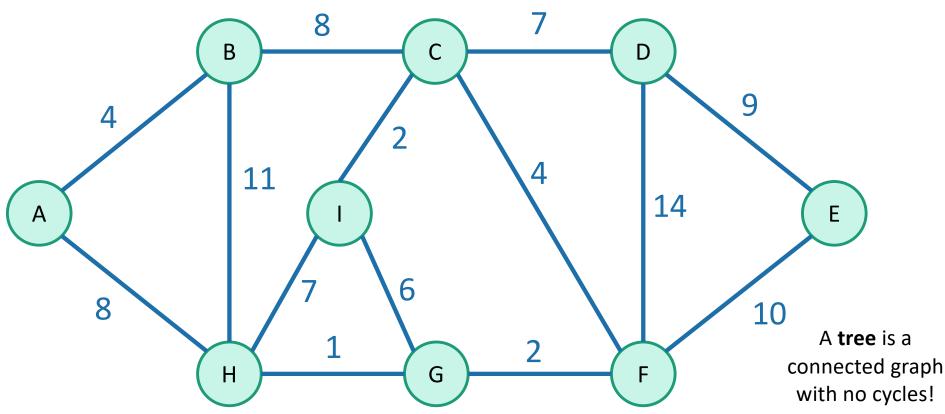
# Today

Greedy algorithms for Minimum Spanning Tree.

### Agenda:

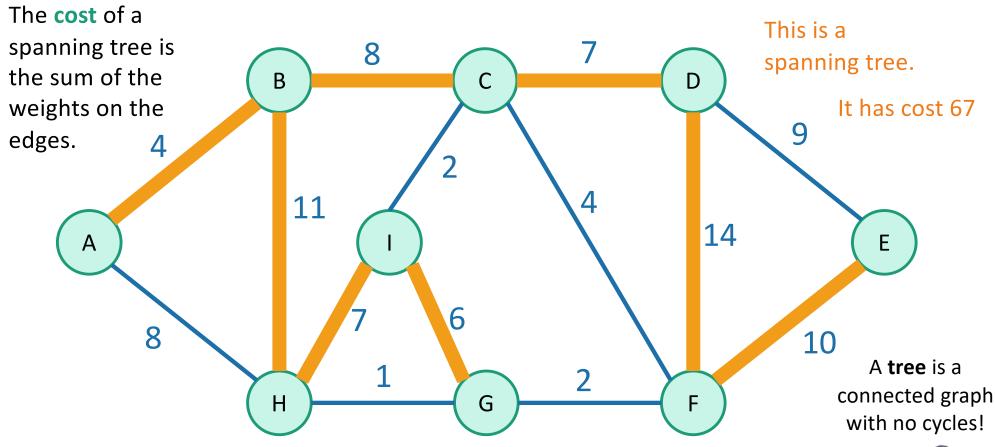
- 1. What is a Minimum Spanning Tree?
- 2. Short break to introduce some graph theory tools
- 3. Prim's algorithm
- 4. Kruskal's algorithm

Say we have an undirected weighted graph



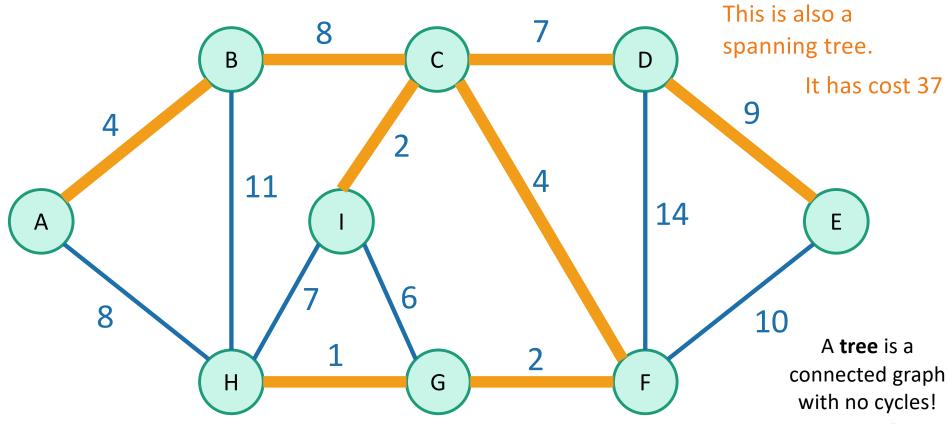


Say we have an undirected weighted graph



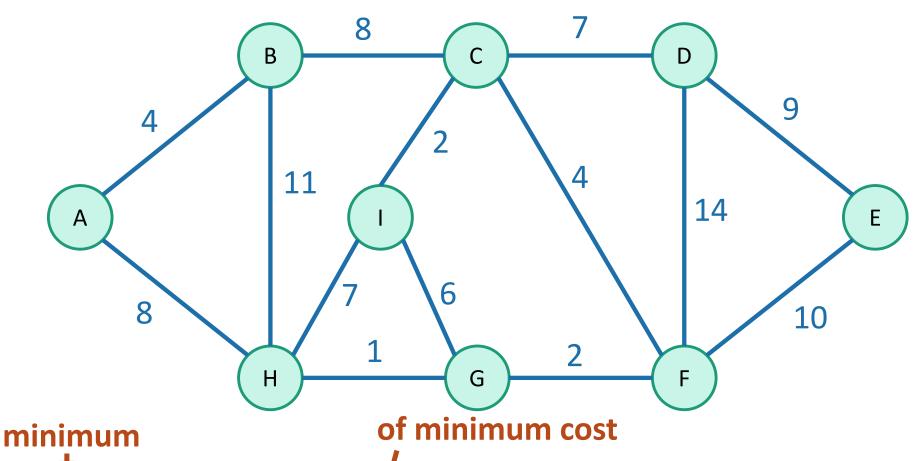


Say we have an undirected weighted graph

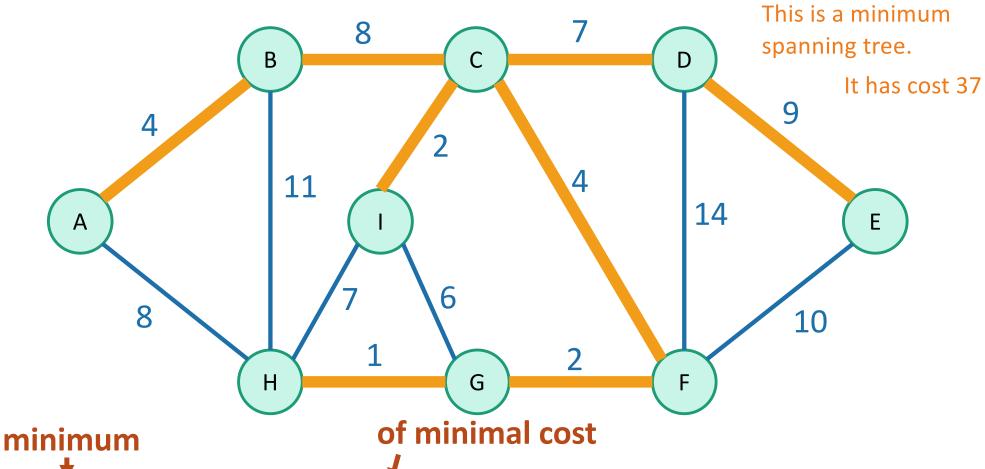




Say we have an undirected weighted graph



Say we have an undirected weighted graph



# Why MSTs?

- Network design
  - Connecting cities with roads/electricity/telephone/...

Branch 1

1.ANT1

- cluster analysis
  - eg, genetic distance
- image processing
  - eg, image segmentation
- Useful primitive
  - for other graph algs





Figure 2: Fully parsimonious minimal spanning tree of 933 SNPs for 282 isolates of *Y. pestis* colored by location.

Morelli et al. Nature genetics 2010

Central/South Africa

2.ANT3

0.ANT1

Branch 0

0.PE2a

South America O Other

Madagascar

3.ANT 0.ANT3

China

Branch 2

0.PE7

Root idotubero IP32953

Kurdistan/Turkey

### How to find an MST?

- Today we'll see two greedy algorithms.
- In order to prove that these greedy algorithms work, we'll show something like:

Suppose that our choices so far are consistent with an MST.

Then the next greedy choice that we make is still consistent with an MST.

 This is not the only way to prove that these algorithms work! Following your pre-lecture exercise...

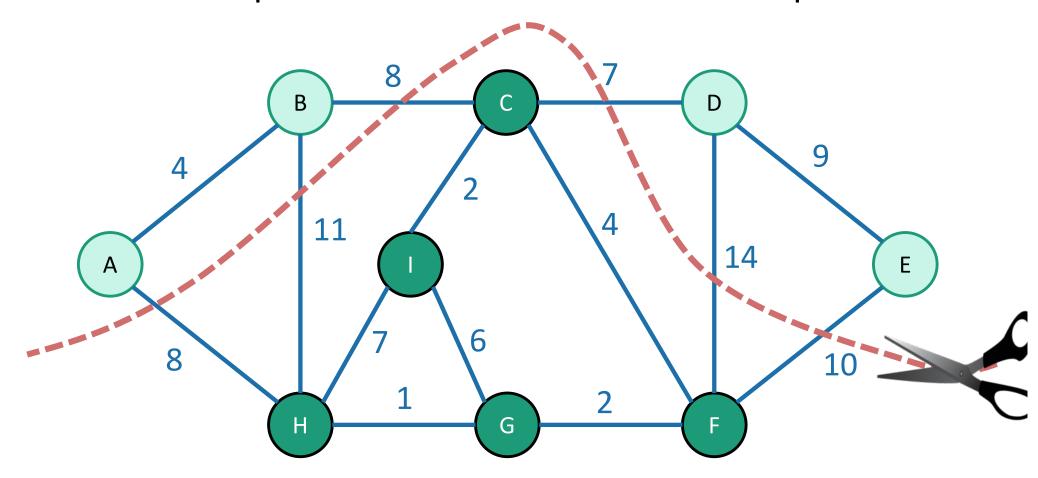
Let's brainstorm some greedy algorithms! Think-share! 8 (You already did the thinking, so go ahead and share). В 11 14 Ε 6 8 10 Η G

# Brief aside

for a discussion of cuts in graphs!

# Cuts in graphs

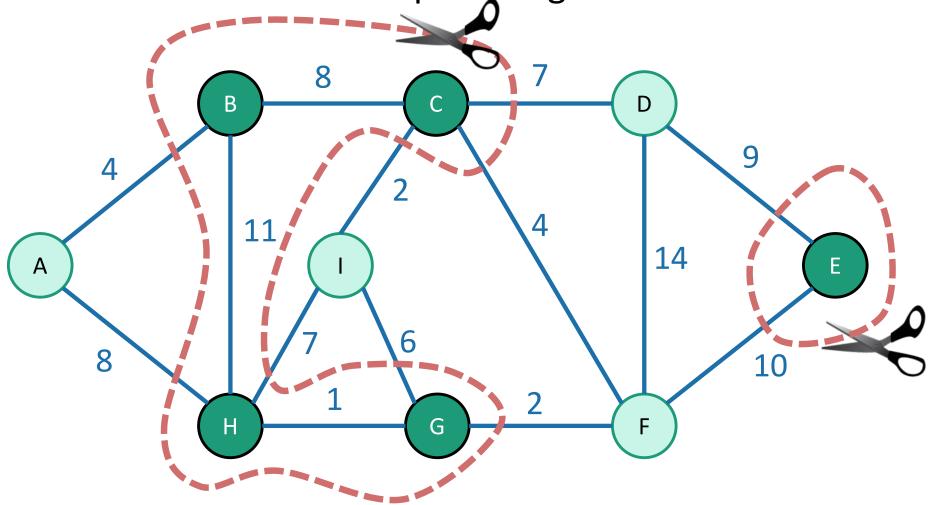
A cut is a partition of the vertices into two parts:



This is the cut "{A,B,D,E} and {C,I,H,G,F}"

# Cuts in graphs

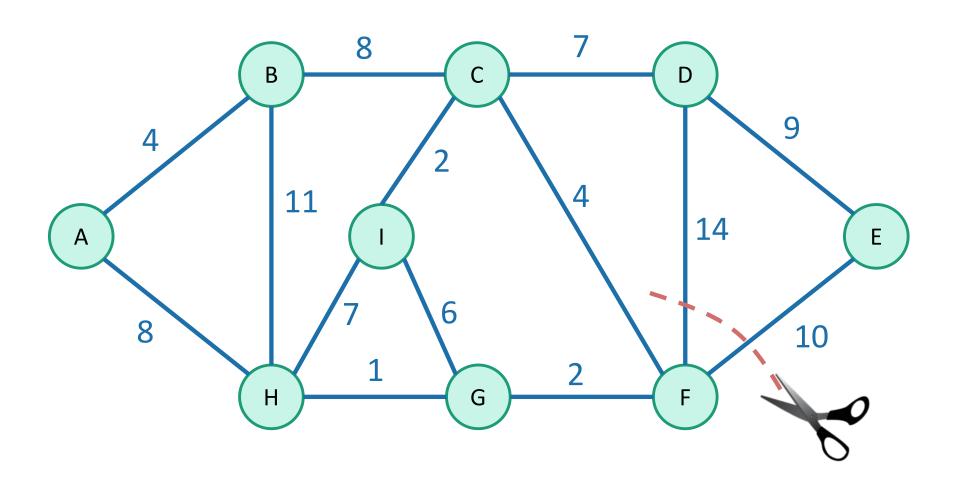
One or both of the two parts might be disconnected.



This is the cut "{B,C,E,G,H} and {A,D,I,F}"

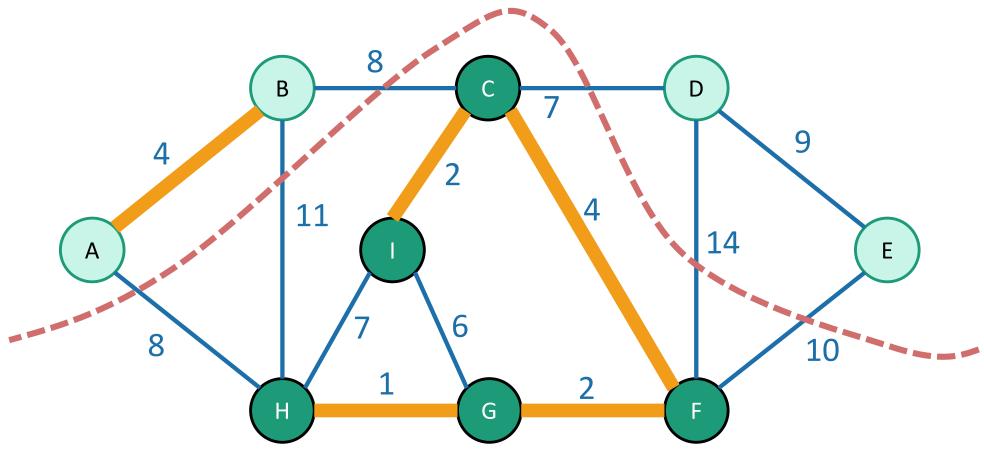
# Cuts in graphs

• This is *not* a cut. Cuts are partitions of vertices.



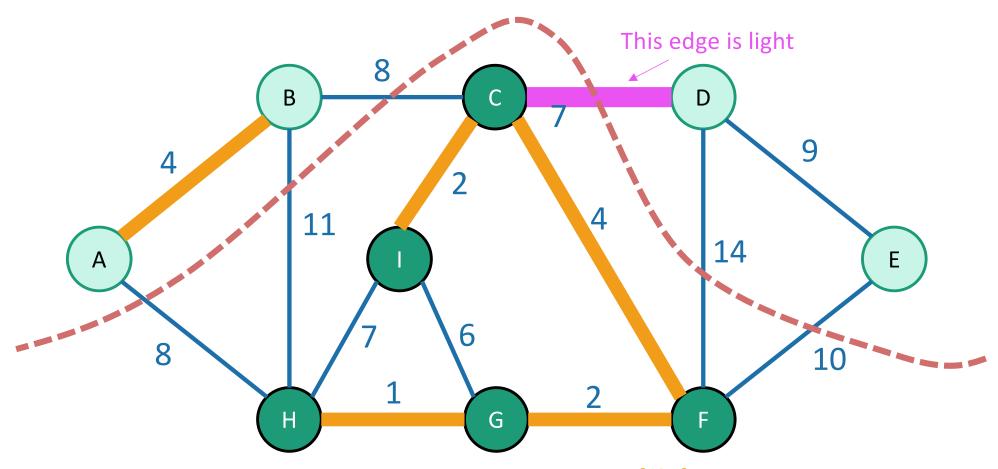
# Let S be a set of edges in G

- We say a cut **respects** S if no edges in S cross the cut.
- An edge crossing a cut is called light if it has the smallest weight of any edge crossing the cut.



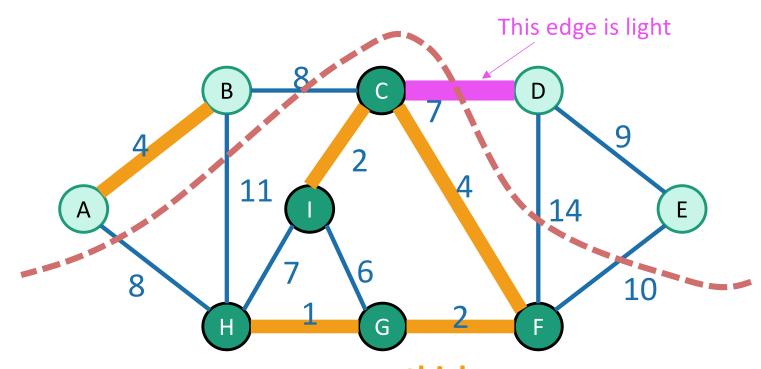
# Let S be a set of edges in G

- We say a cut **respects** S if no edges in S cross the cut.
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### Lemma

- Let S be a set of edges, and consider a cut that respects S.
- Suppose there is an MST containing S.
- Let {u,v} be a light edge.
- Then there is an MST containing S U {{u,v}}

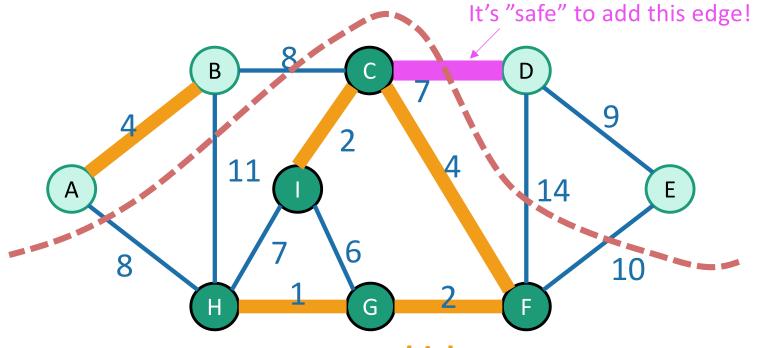


### Lemma

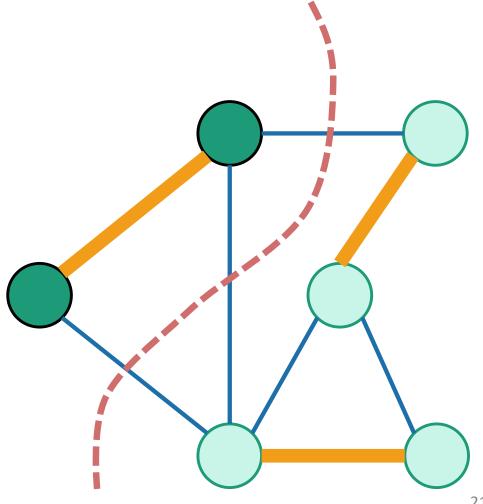
- Let S be a set of edges, and consider a cut that respects S.
- Suppose there is an MST containing S.
- Let {u,v} be a light edge.
- Then there is an MST containing S U {{u,v}}

#### Aka:

If we haven't ruled out the possibility of success so far, then adding a light edge still won't rule it out.



- Assume that we have:
  - a cut that respects S

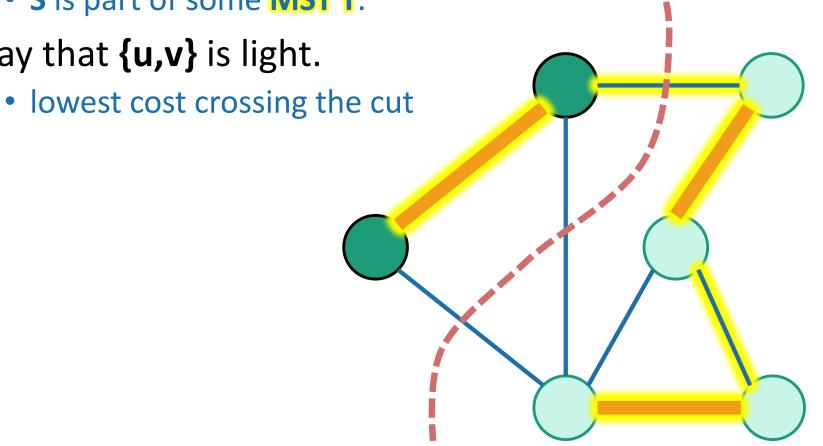


Assume that we have:

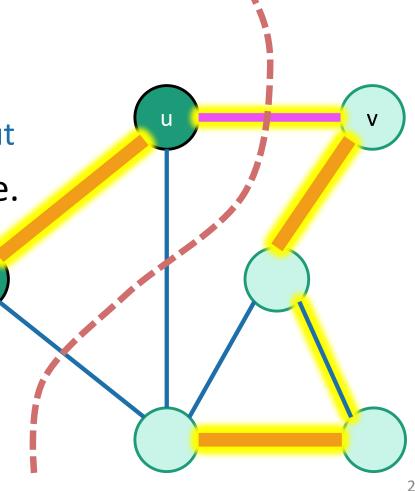
a cut that respects S

• **S** is part of some **MST T**.

Say that {u,v} is light.



- Assume that we have:
  - a cut that respects S
  - **S** is part of some **MST T**.
- Say that {u,v} is light.
  - lowest cost crossing the cut
- If {u,v} is in T, we are done.
  - T is an MST containing both {u,v} and S.



Assume that we have:

a cut that respects S

• **S** is part of some **MST T**.

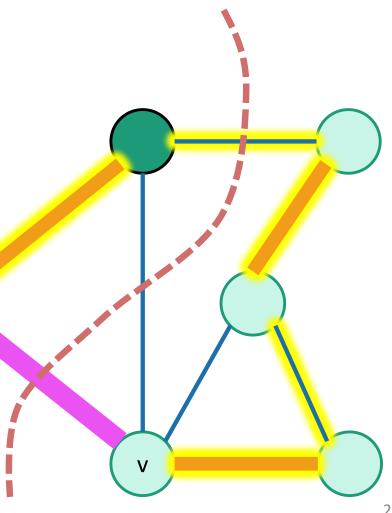
Say that {u,v} is light.

lowest cost crossing the cut

Say {u,v} is not in T.

 Note that adding {u,v} to T will make a cycle. **Claim:** Adding any additional edge to a spanning tree will create a cycle.

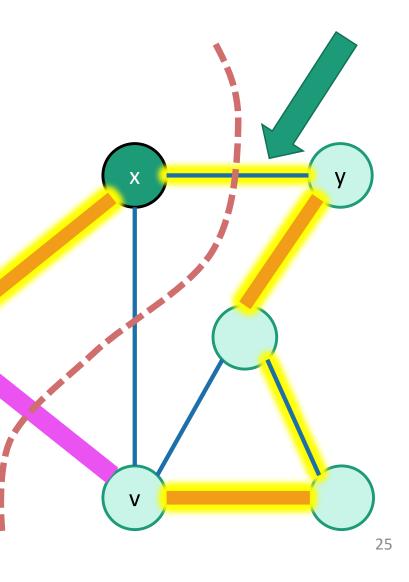
**Proof:** Both endpoints are already in the tree and connected to each other.



- Assume that we have:
  - a cut that respects S
  - **S** is part of some **MST T**.
- Say that {u,v} is light.
  - lowest cost crossing the cut
- Say {u,v} is not in T.
- Note that adding {u,v} to T will make a cycle.
- There is at least one other edge, {x,y}, in this cycle crossing the cut.

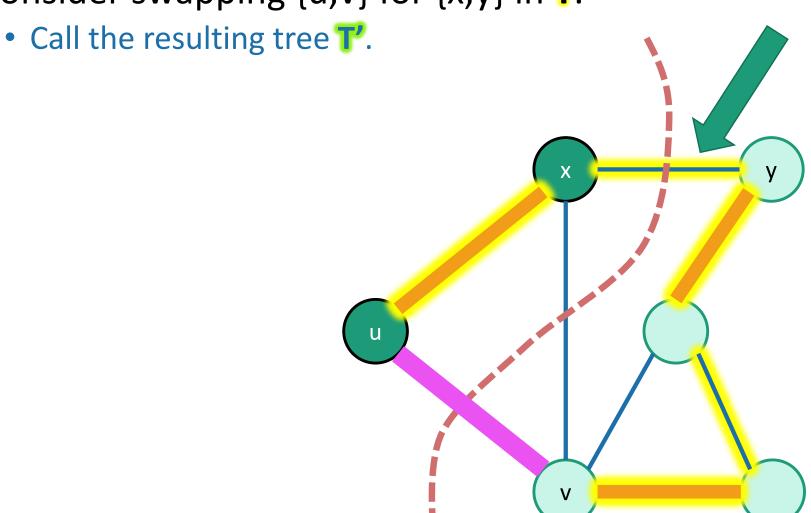
**Claim:** Adding any additional edge to a spanning tree will create a cycle.

**Proof:** Both endpoints are already in the tree and connected to each other.



## Proof of Lemma ctd.

Consider swapping {u,v} for {x,y} in T.



### Proof of Lemma ctd.

Consider swapping {u,v} for {x,y} in T.

Call the resulting tree T'.

• Claim: T' is still an MST.

It is still a spanning tree (why?)

It has cost at most that of T

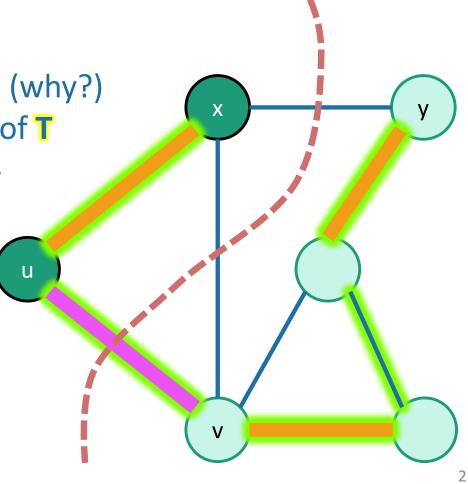
because {u,v} was light.

T had minimal cost.

So T' does too.

• So T' is an MST containing S and {u,v}.

This is what we wanted.



# Why is T' still a spanning tree?

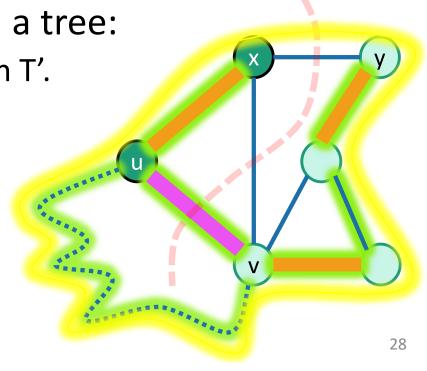
- It spans because we didn't change which vertices it touches.
- To see that it's still a tree, note that it touches n vertices and has n-1 edges, so it must be a tree.

ALTERNATIVE reason it's still a tree:

• Suppose there were a cycle in T'.

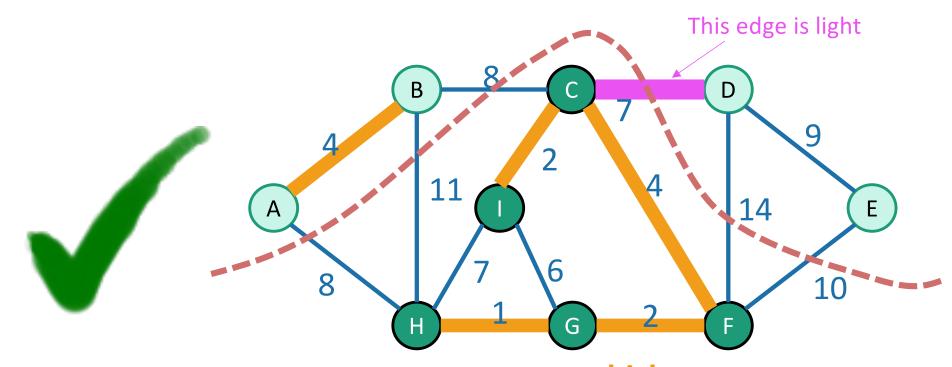
But then we had a cycle in T!

• Contradiction.



### Lemma

- Let S be a set of edges, and consider a cut that respects S.
- Suppose there is an MST containing S.
- Let {u,v} be a light edge.
- Then there is an MST containing S U {{u,v}}



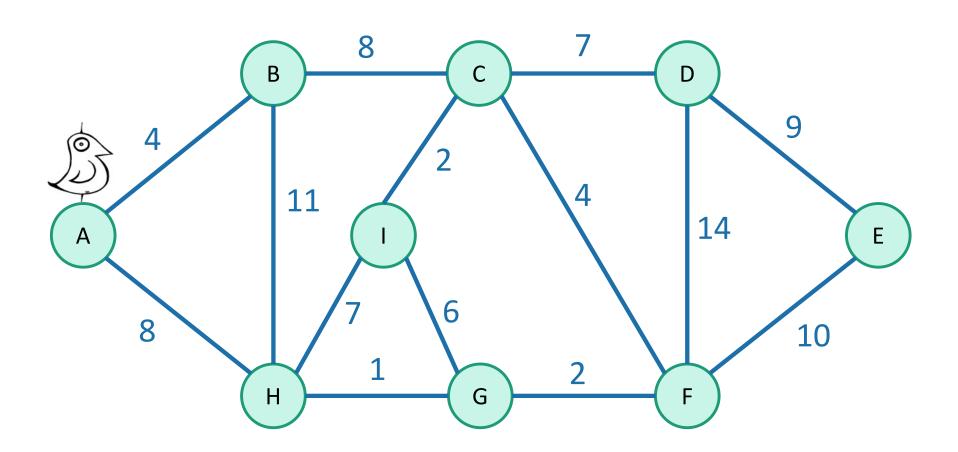
# End aside

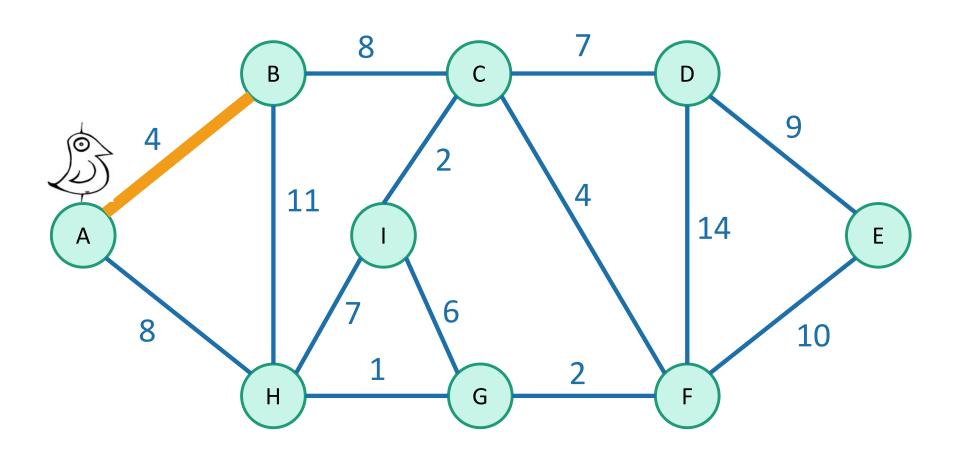
Back to MSTs!

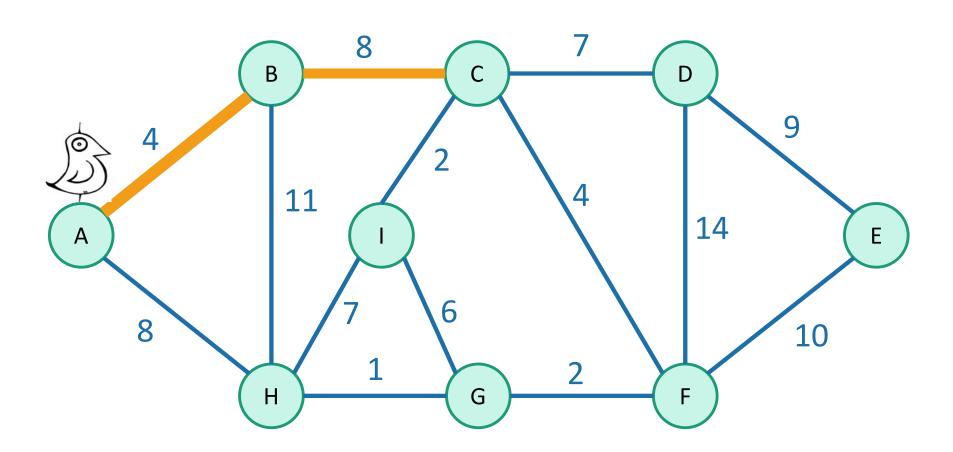
### Back to MSTs

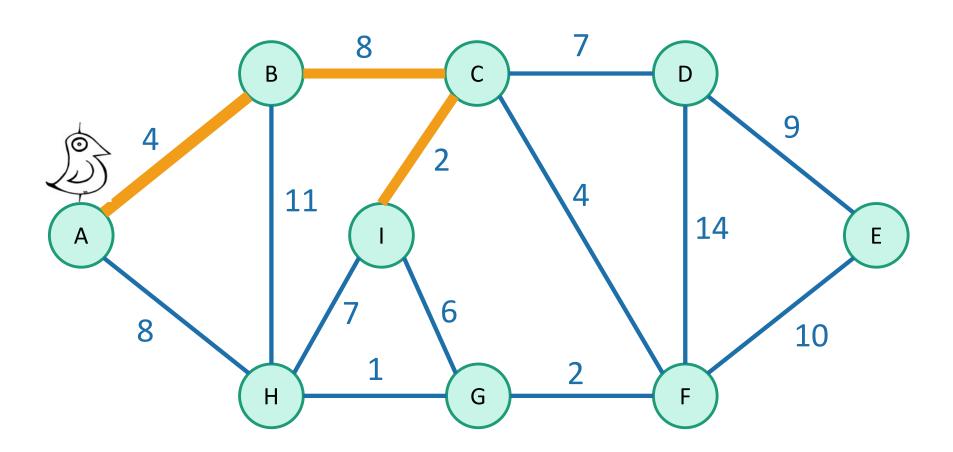
- How do we find one?
- Today we'll see two greedy algorithms.

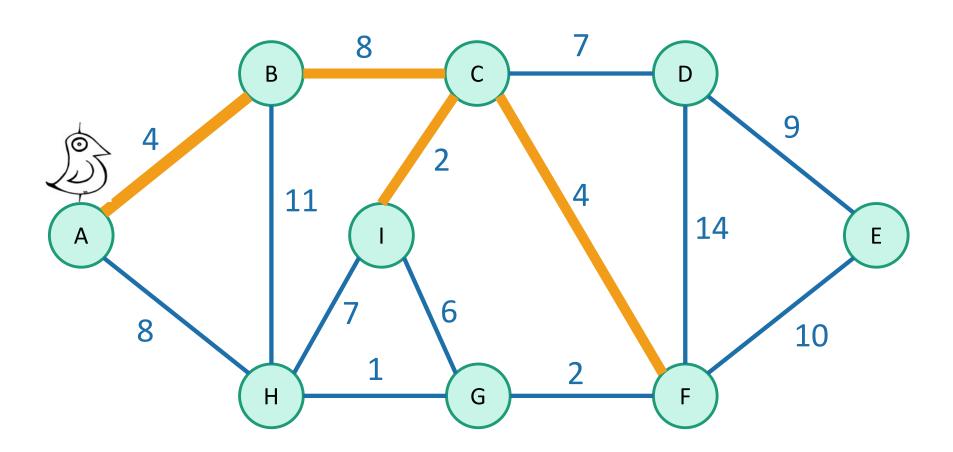
- The strategy:
  - Make a series of choices, adding edges to the tree.
  - Show that each edge we add is safe to add:
    - we do not rule out the possibility of success
    - we will choose light edges crossing cuts and use the Lemma.
  - Keep going until we have an MST.

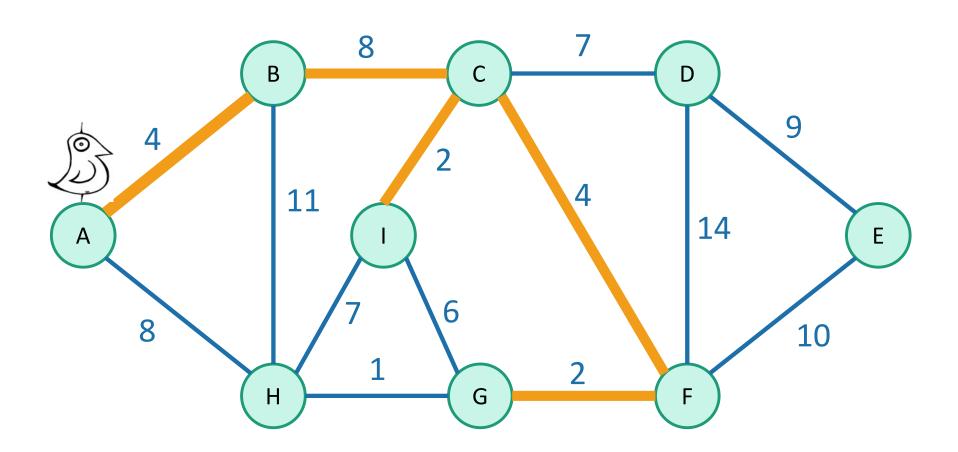


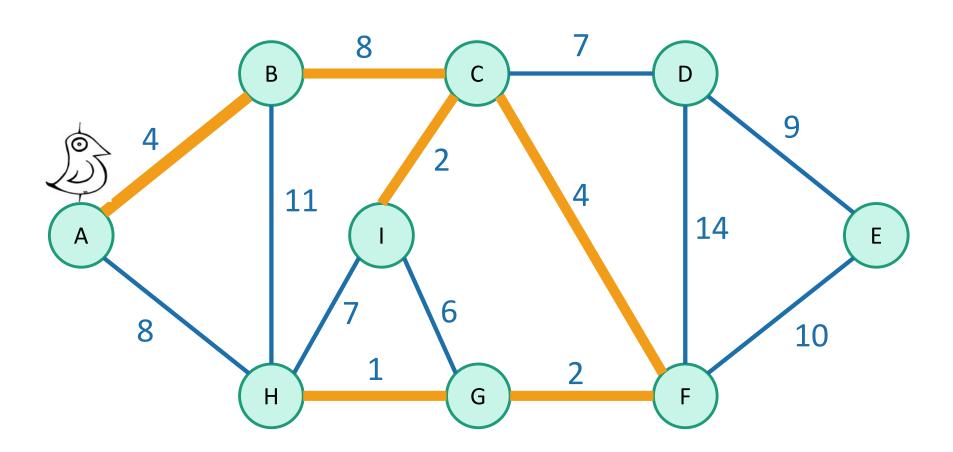


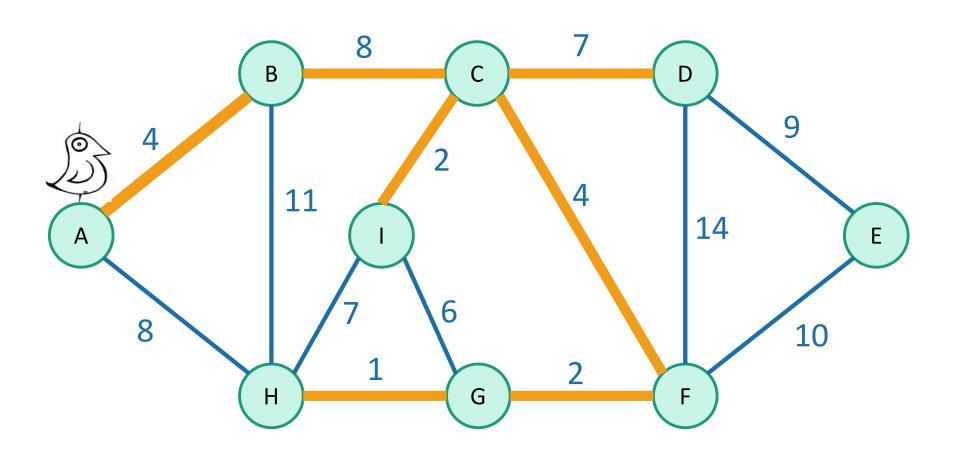


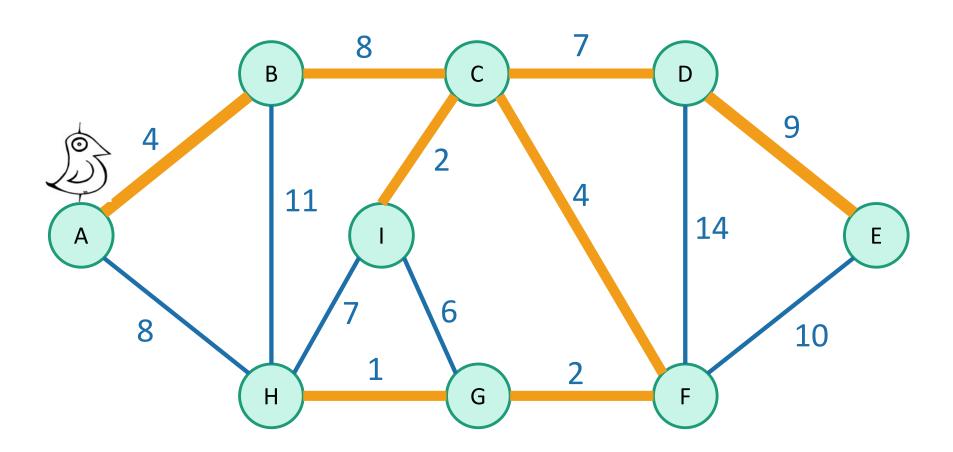












#### We've discovered

## Prim's algorithm!

Jarnik [1930] Prim [1957] Dijkstra [1959]

- slowPrim( G = (V,E), starting vertex s ):
  - Let (s,u) be the lightest edge coming out of s.
  - MST = { (s,u) }
  - verticesVisited = { s, u }
  - while |verticesVisited| < |V|: 4
    - find the lightest edge {x,v} in E so that:
      - x is in verticesVisited
      - v is not in verticesVisited
    - add {x,v} to MST
    - add v to verticesVisited
  - return MST

At most n iterations of this while loop.

Time at most m to go through all the edges and find the lightest.

41

#### Naively, the running time is O(nm):

- For each of ≤n iterations of the while loop:
  - Go through all the edges.

### Two questions

- 1. Does it work?
  - That is, does it actually return a MST?

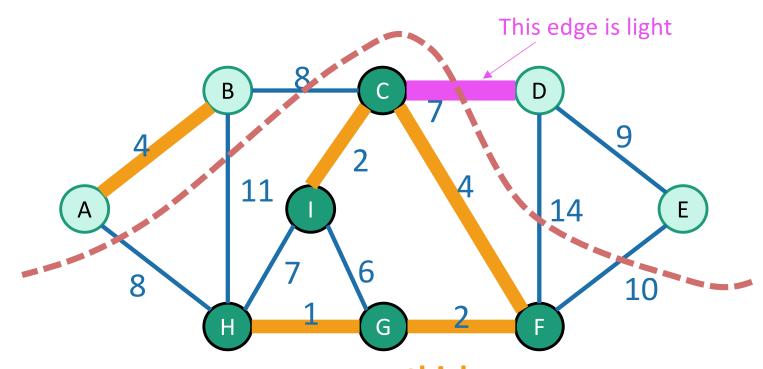
- 2. How do we actually implement this?
  - the pseudocode above says "slowPrim"...

### Does it work?

- We need to show that our greedy choices don't rule out success.
- That is, at every step:
  - If there exists an MST that contains all of the edges S we have added so far...
  - ...then when we make our next choice {u,v}, there is still an MST containing S and {u,v}.
- Now it is time to use our lemma!

### Lemma

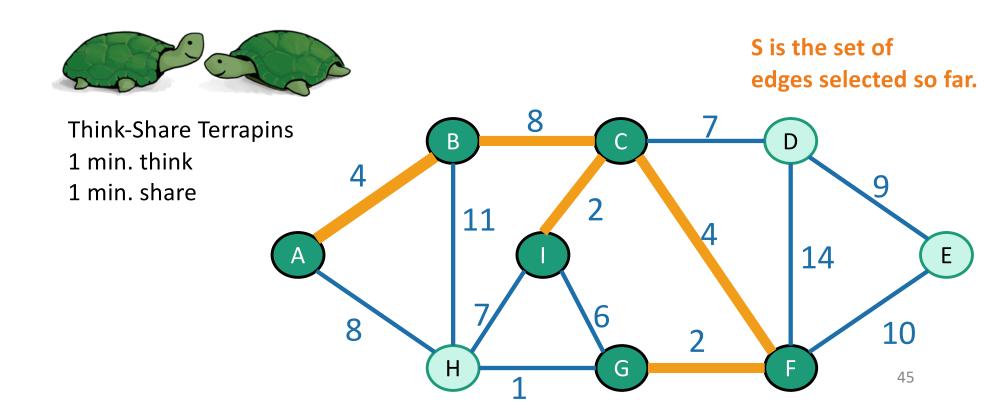
- Let S be a set of edges, and consider a cut that respects S.
- Suppose there is an MST containing S.
- Let {u,v} be a light edge.
- Then there is an MST containing S U {{u,v}}



### Partway through Prim

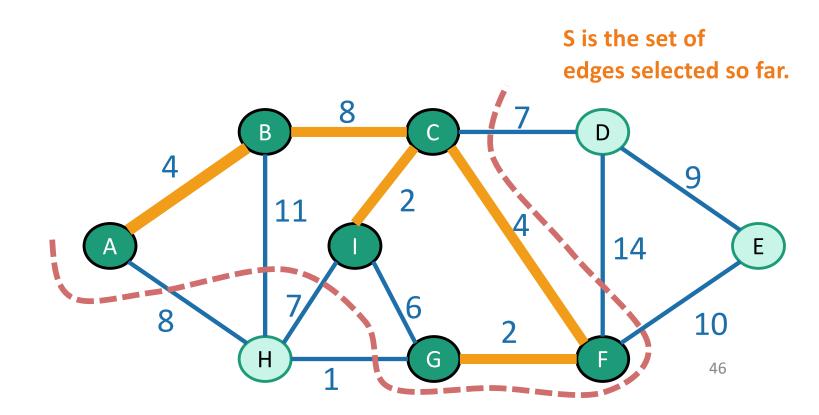
- Assume that our choices S so far don't rule out success
  - There is an MST consistent with those choices

How can we use our lemma to show that our next choice also does not rule out success?



## Partway through Prim

- Assume that our choices S so far don't rule out success
  - There is an MST consistent with those choices
- Consider the cut {visited, unvisited}
  - This cut respects S.



### Partway through Prim

- Assume that our choices S so far don't rule out success
  - There is an MST consistent with these choices
- Consider the cut {visited, unvisited}
  - This cut respects S.
- The edge we add next is a light edge.
- Least weight of any edge crossing the cut.
  By the Lemma, that edge is safe to add.
  There is still an MST consistent with the new set of edges.
  add this one next

### Hooray!

• Our greedy choices don't rule out success.

 This is enough (along with an argument by induction) to guarantee correctness of Prim's algorithm.

#### SLIDE SKIPPED IN CLASS

## Formally(ish)



- Inductive hypothesis:
  - After adding the t'th edge, there exists an MST with the edges added so far.
- Base case:
  - After adding the O'th edge, there exists an MST with the edges added so far. **YEP.**
- Inductive step:
  - If the inductive hypothesis holds for t (aka, the choices so far are safe), then it holds for t+1 (aka, the next edge we add is safe).
  - That's what we just showed.
- Conclusion:
  - After adding the n-1'st edge, there exists an MST with the edges added so far.
  - At this point we have a spanning tree, so it better be minimal.

# Break

### Two questions

- 1. Does it work?
  - That is, does it actually return a MST?
    - Yes!
- 2. How do we actually implement this?
  - the pseudocode above says "slowPrim"...

- Each vertex keeps:
  - the distance from itself to the growing spanning tree

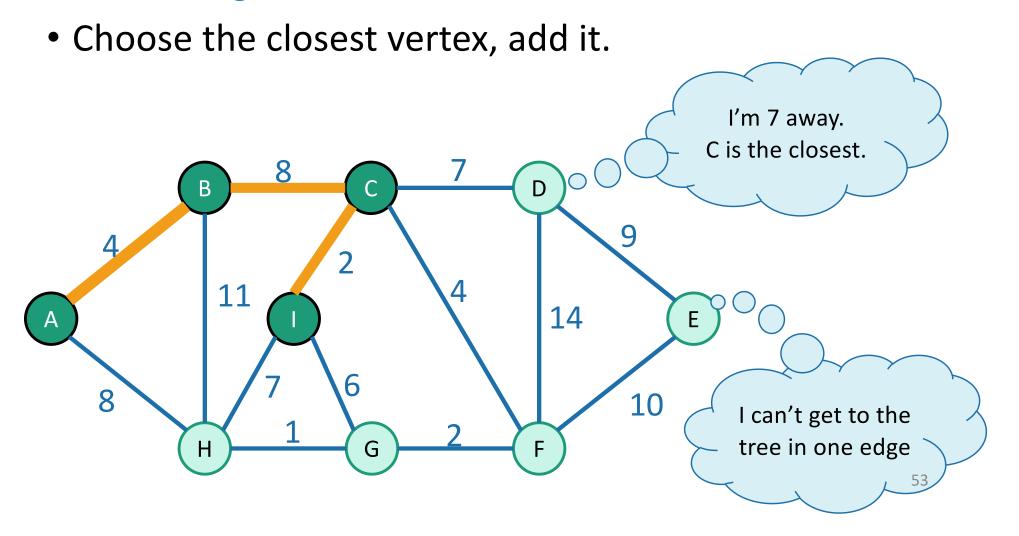
if you can get there in one edge.

how to get there.

I'm 7 away. C is the closest. 11 14 6 10 I can't get to the tree in one edge

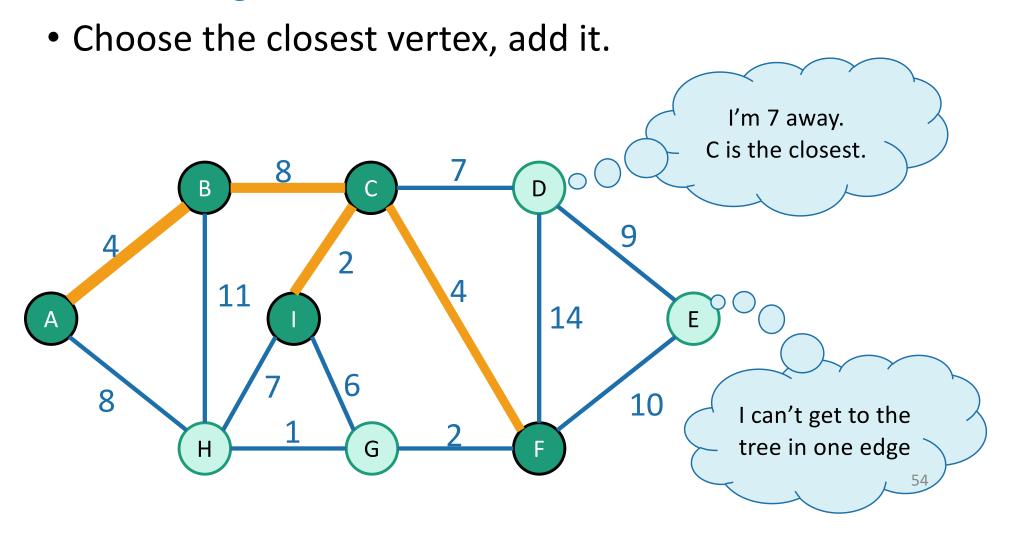
- Each vertex keeps:
  - the distance from itself to the growing spanning tree
  - how to get there.

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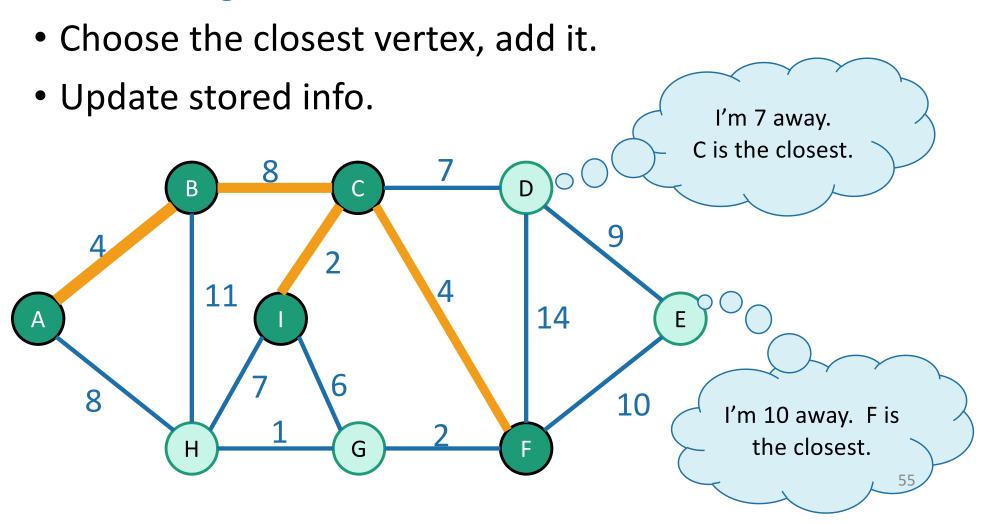
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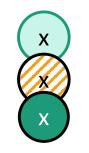
- Each vertex keeps:
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  - how to get there.

if you can get there in one edge.



Every vertex has a key and a parent

Until all the vertices are reached:

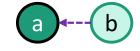


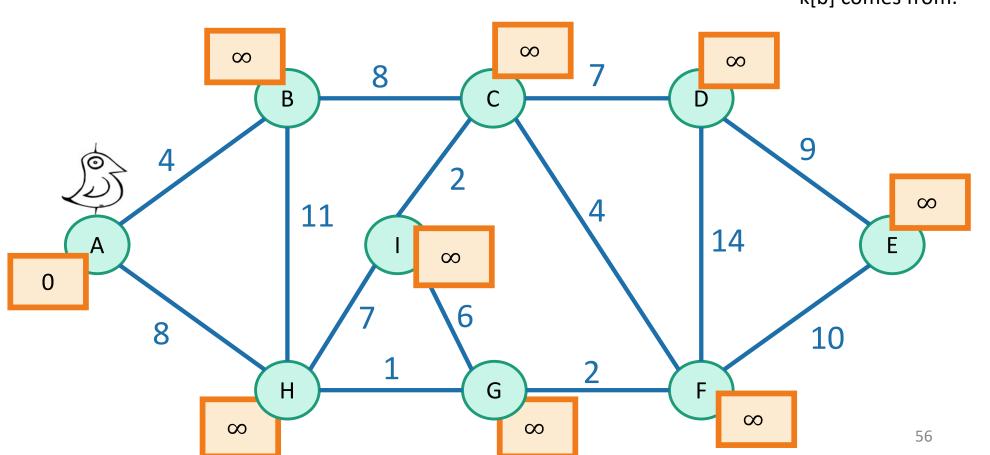
Can't reach x yet x is "active"

Can reach x



k[x] is the distance of x from the growing tree





### Every vertex has a key and a parent

Until all the vertices are reached:

Activate the unreached vertex u with the smallest key.



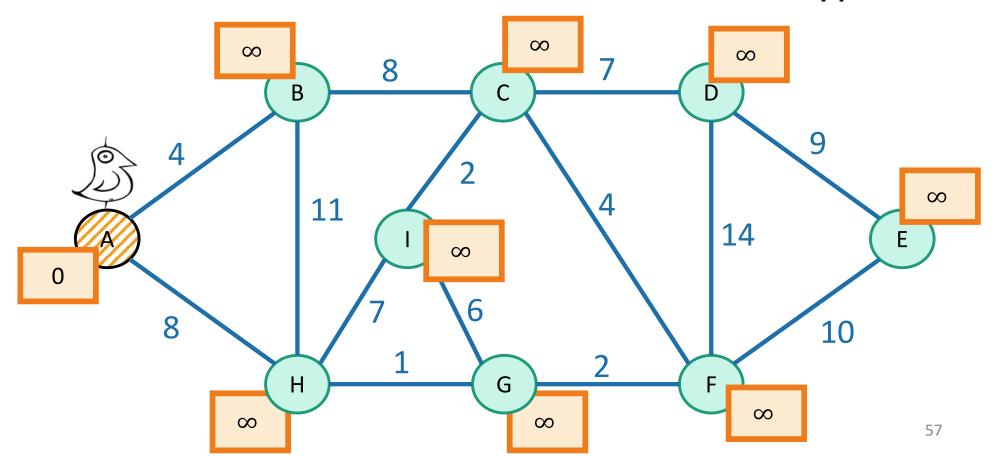
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#### Every vertex has a key and a parent

Until all the vertices are reached:

- Activate the unreached vertex u with the smallest key.
- for each of u's unreached neighbors v:
  - k[v] = min( k[v], weight(u,v) )
  - if k[v] updated, p[v] = u



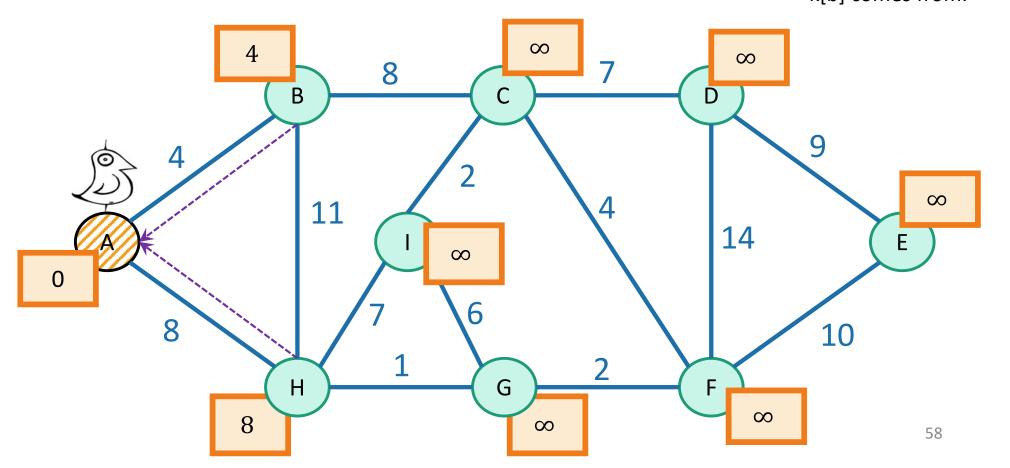
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- Mark u as reached, and add (p[u],u) to MST.



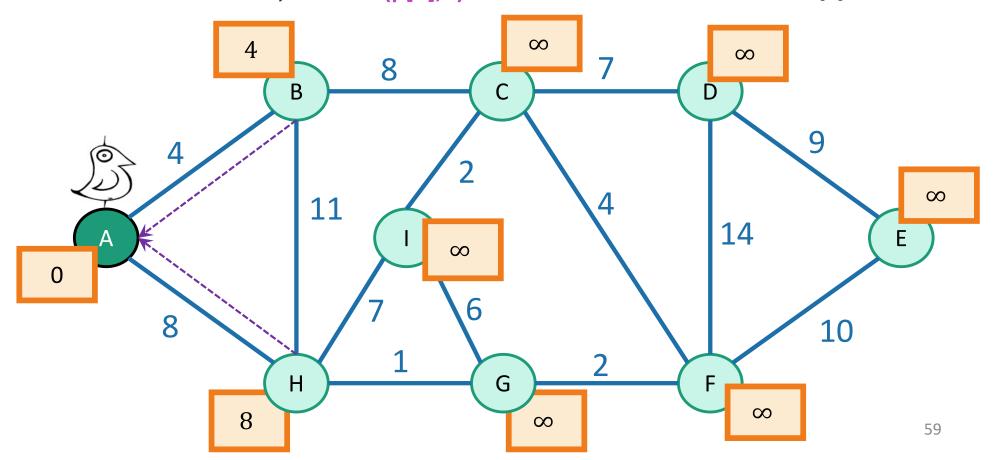
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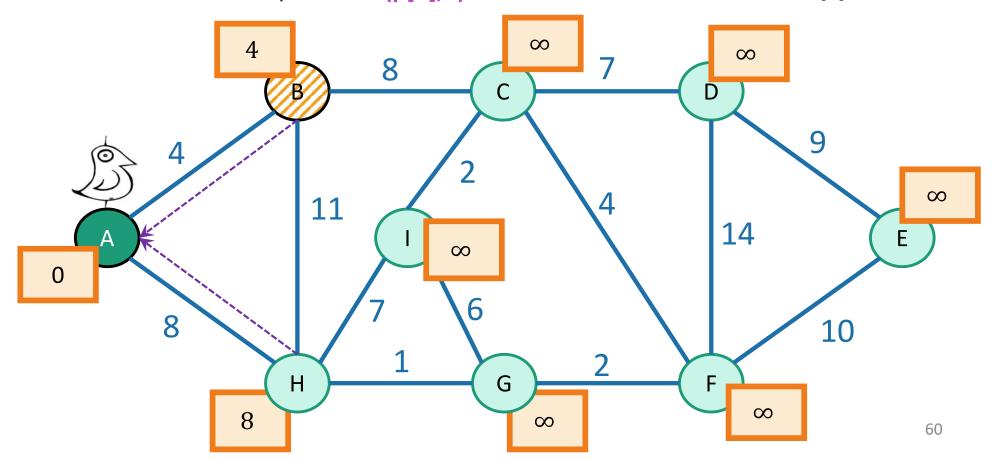
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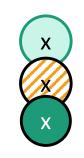




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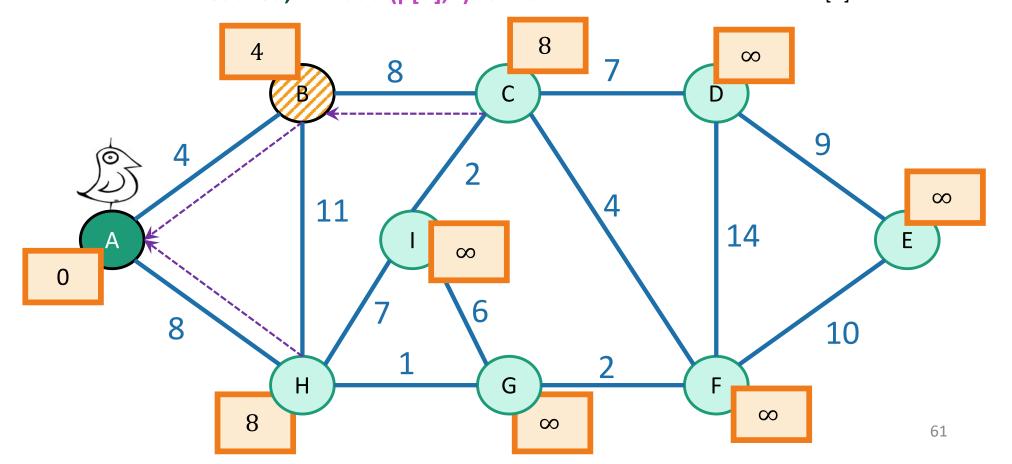
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#### Every vertex has a key and a parent

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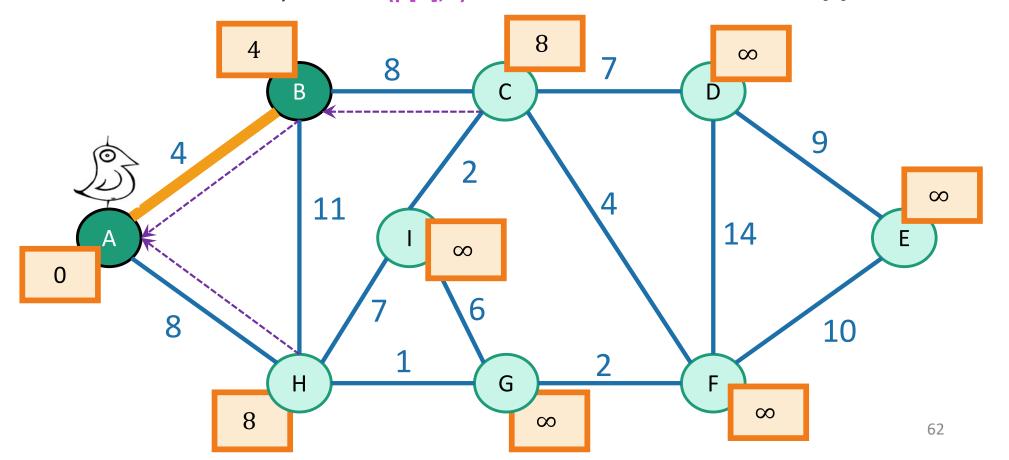
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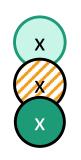




#### Every vertex has a key and a parent

**Until** all the vertices are **reached**:

- Activate the unreached vertex u with the smallest key.
- for each of u's unreached neighbors v:
  - k[v] = min( k[v], weight(u,v) )
  - if k[v] updated, p[v] = u
- Mark u as reached, and add (p[u],u) to MST.



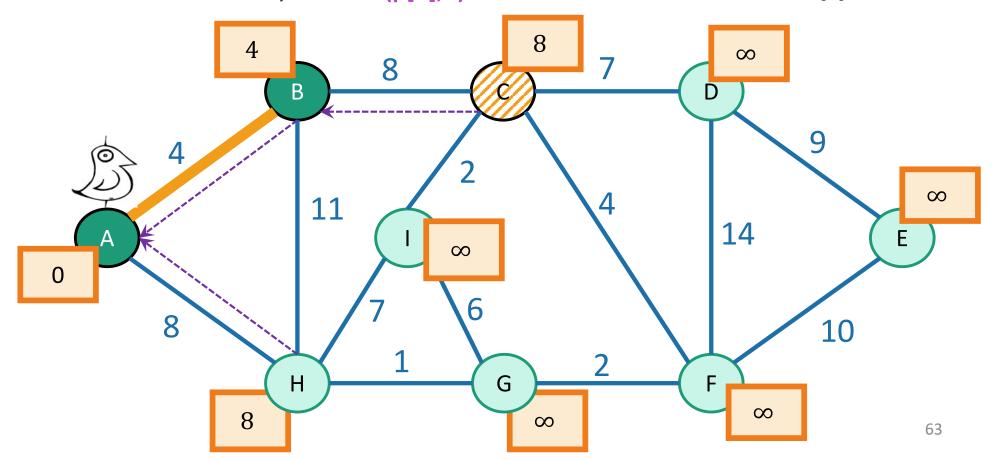
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k[x] is the distance of x from the growing tree





### Every vertex has a key and a parent

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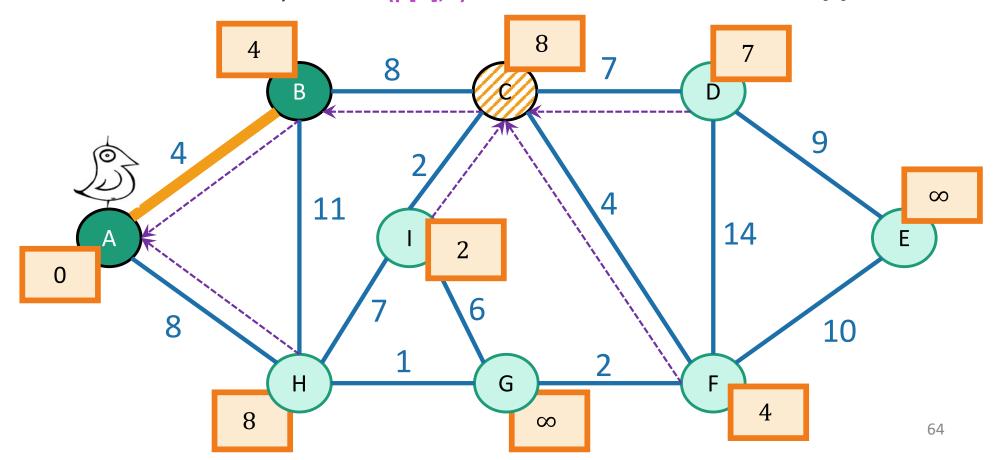
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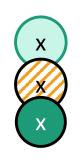




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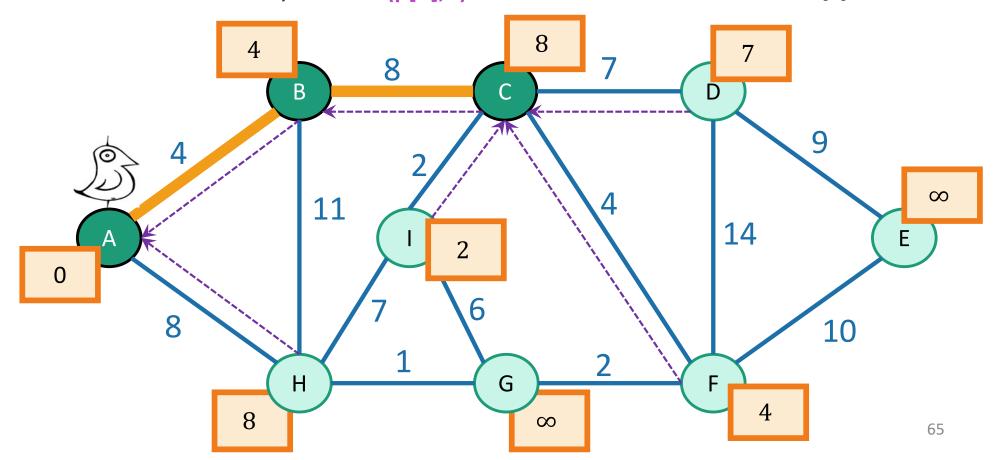
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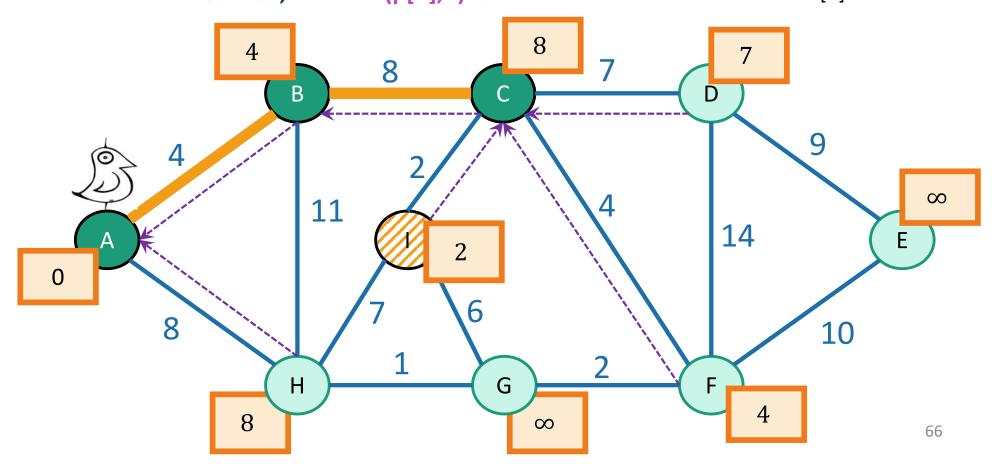
Can't reach x yet x is "active"

Can reach x



k[x] is the distance of x from the growing tree

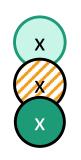




### Every vertex has a key and a parent

Until all the vertices are reached:

- Activate the unreached vertex u with the smallest key.
- for each of u's unreached neighbors v:
  - k[v] = min( k[v], weight(u,v) )
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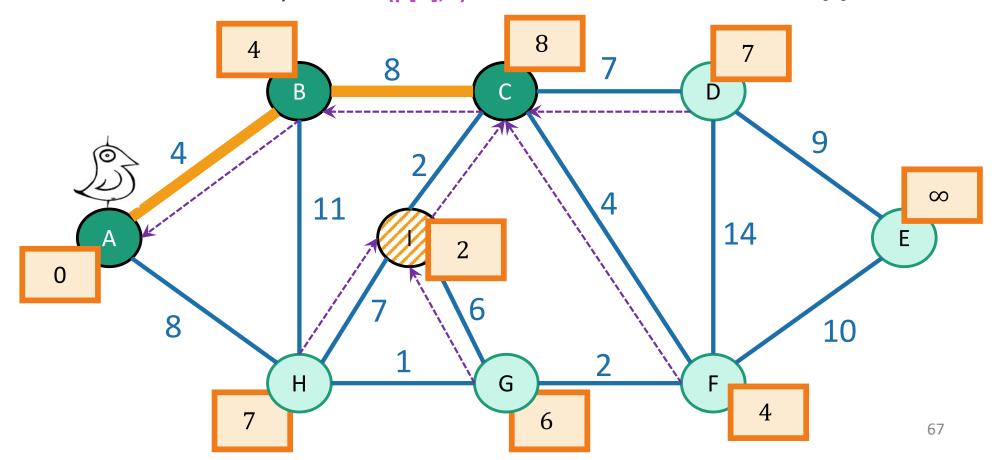
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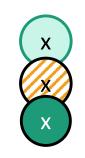




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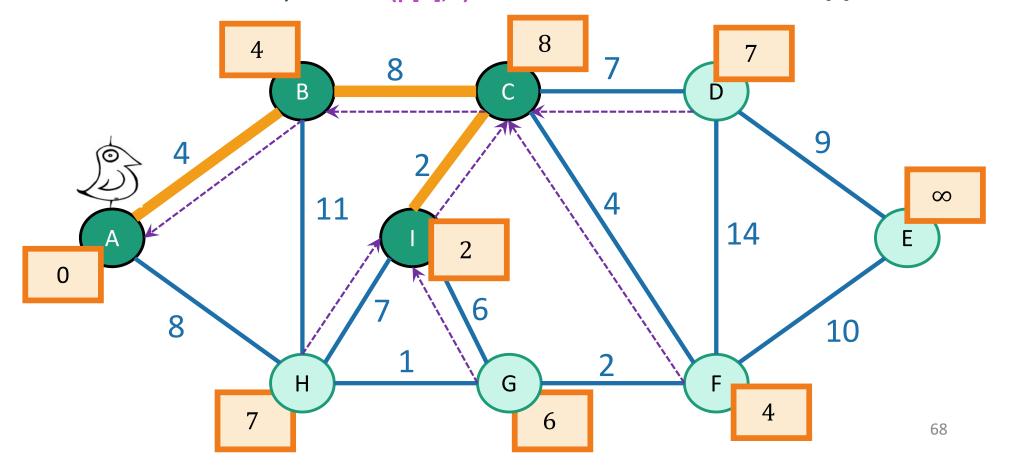
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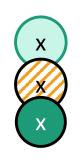




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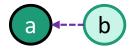


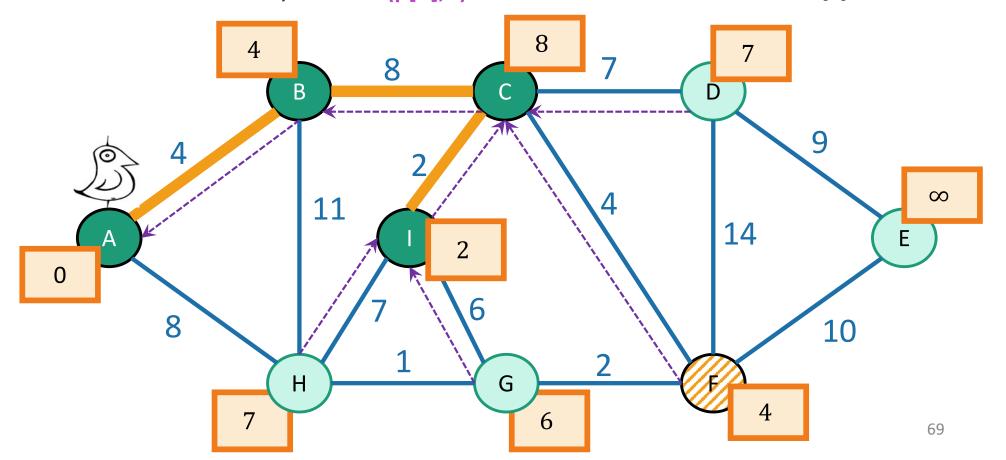
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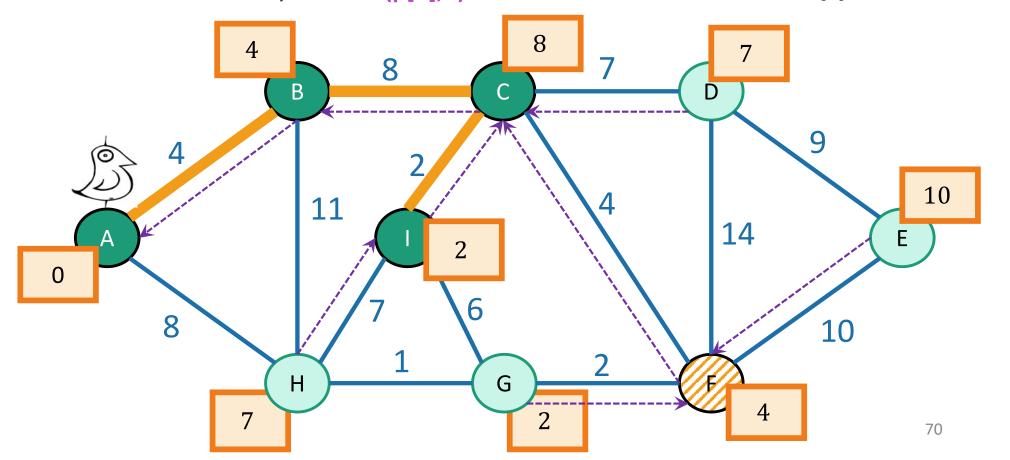
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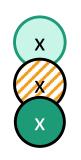




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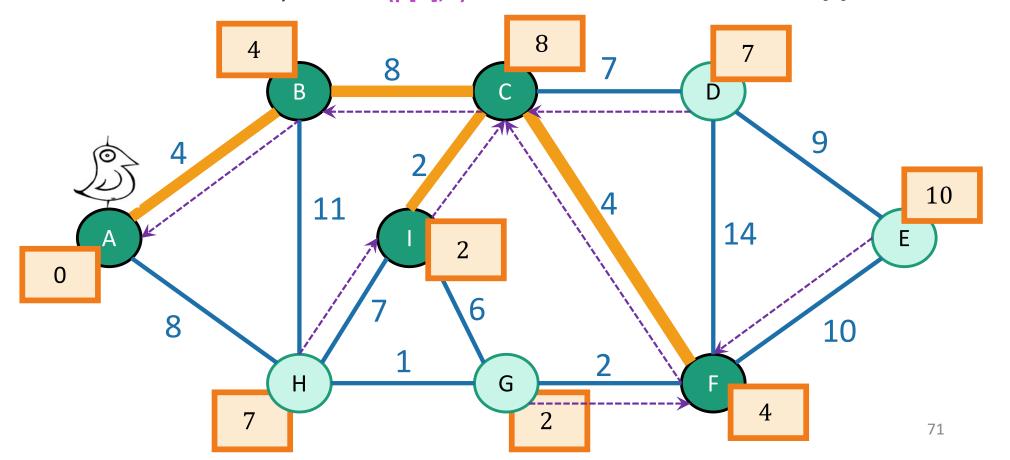
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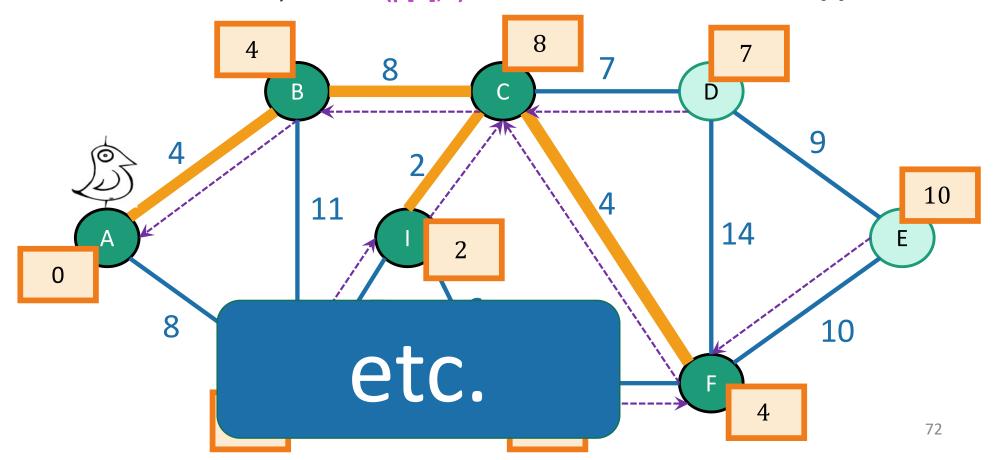
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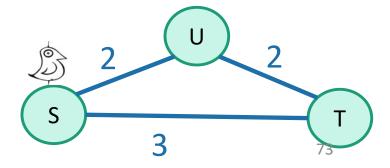




### This should look pretty familiar

- Very similar to Dijkstra's algorithm!
- Differences:
  - 1. Keep track of p[v] in order to return a tree at the end
    - But Dijkstra's can do that too, that's not a big difference.
  - 2. Instead of d[v] which we update by
    - d[v] = min( d[v], d[u] + w(u,v) )
       we keep k[v] which we update by
    - k[v] = min(k[v], w(u,v))
- To see the difference, consider:

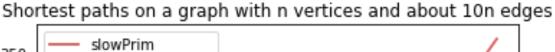
Thing 2 is the big difference.

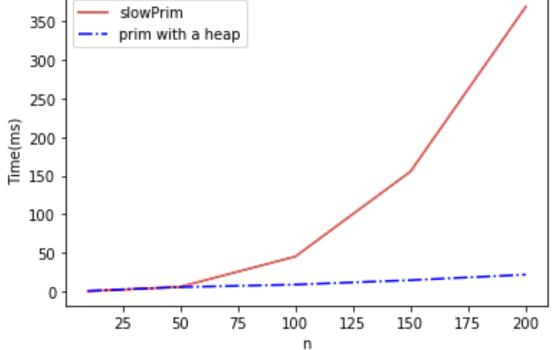


### One thing that is similar:

### Running time

- Exactly the same as Dijkstra:
  - O(mlog(n)) using a Red-Black tree as a priority queue.
  - O(m + nlog(n)) amortized time if we use a Fibonacci Heap\*.





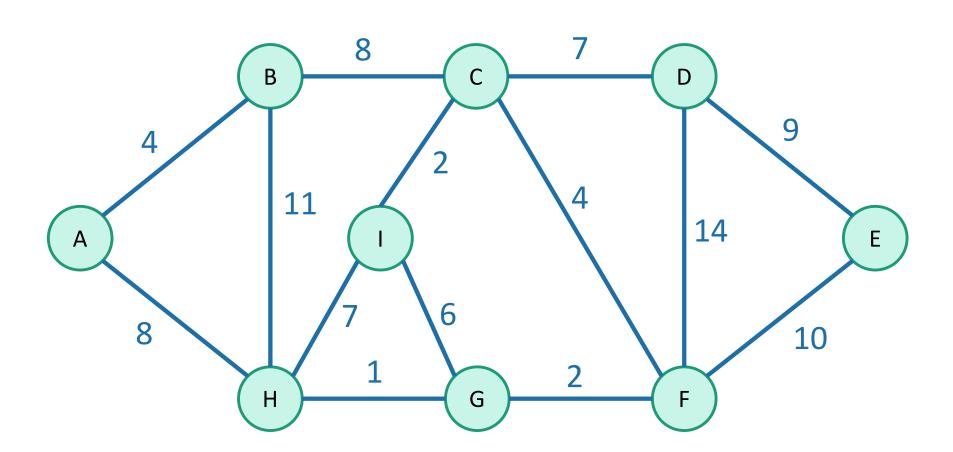
### Two questions

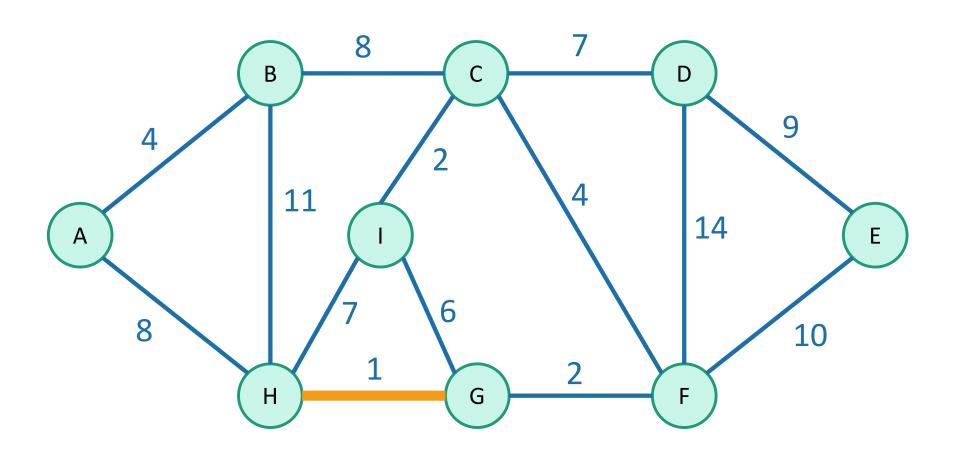
- 1. Does it work?
  - That is, does it actually return a MST?
    - Yes!
- 2. How do we actually implement this?
  - the pseudocode above says "slowPrim"...
    - Implement it basically the same way we'd implement Dijkstra!
    - See IPython notebook for an implementation.

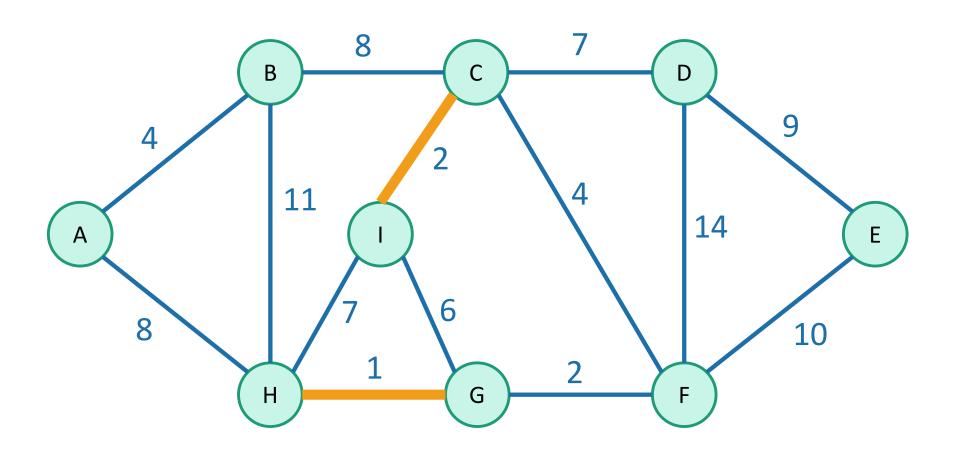
### What have we learned?

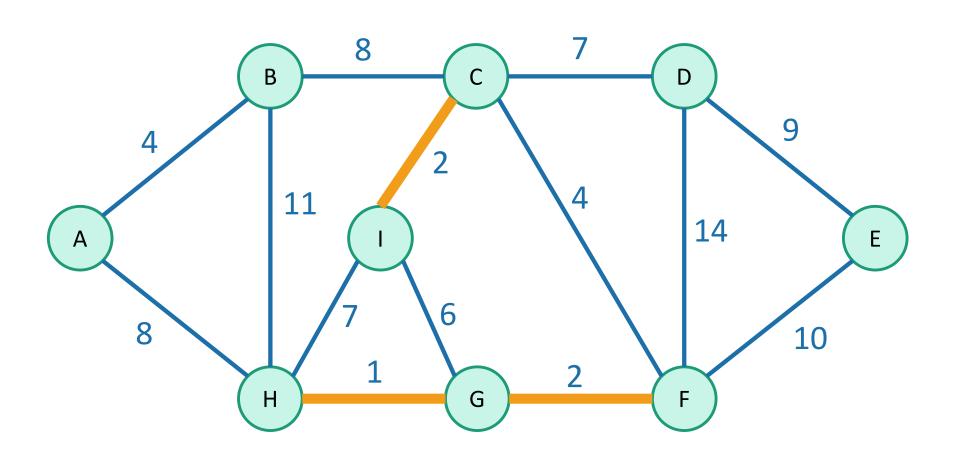
- Prim's algorithm greedily grows a tree
  - smells a lot like Dijkstra's algorithm
- It finds a Minimum Spanning Tree!
  - in time O(mlog(n)) if we implement it with a Red-Black Tree.
  - In amortized time O(m + nlog(n)) with a Fibonacci heap.
- To prove it worked, we followed the same recipe for greedy algorithms we saw last time.
  - Show that, at every step, we don't rule out success.

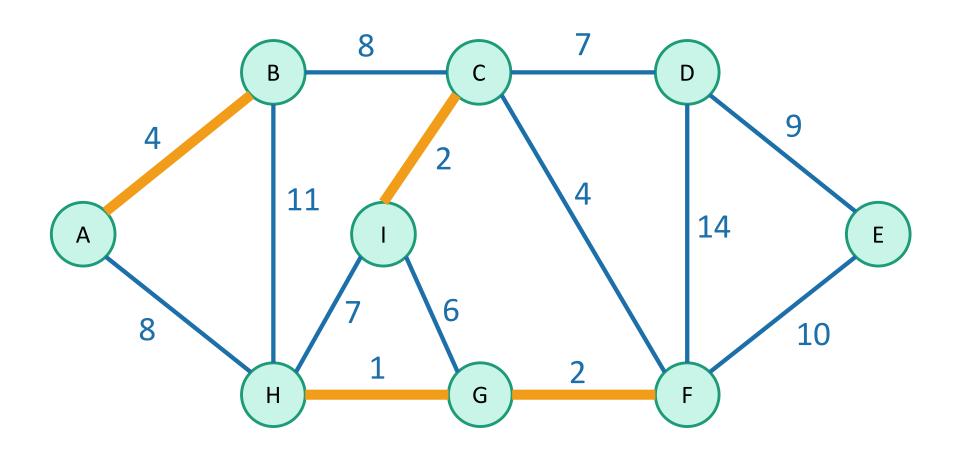
# That's not the only greedy algorithm for MST!

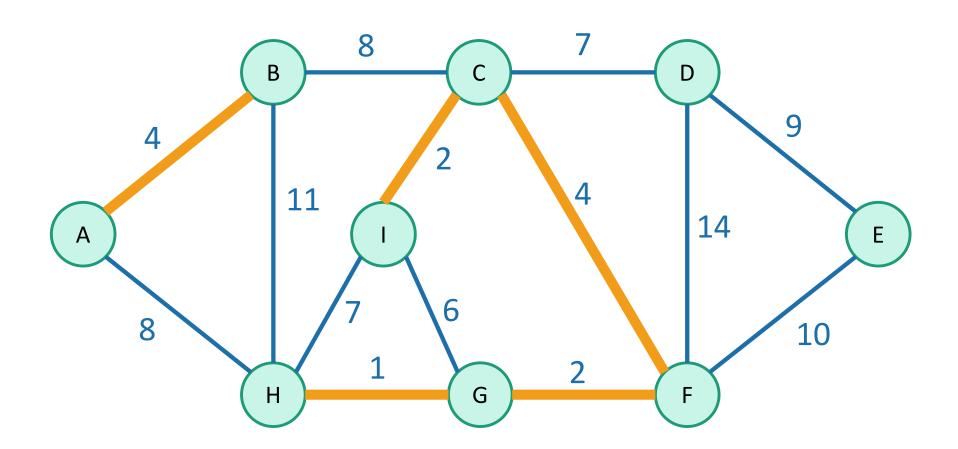


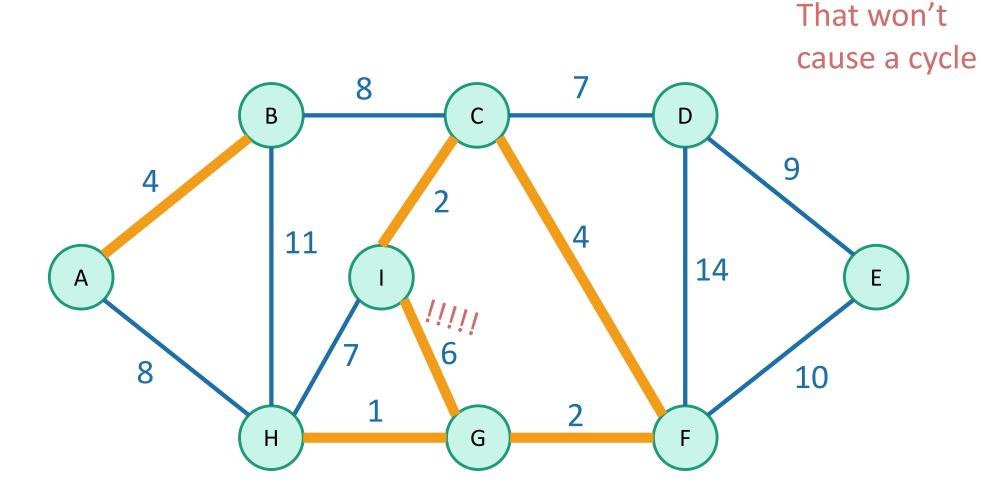


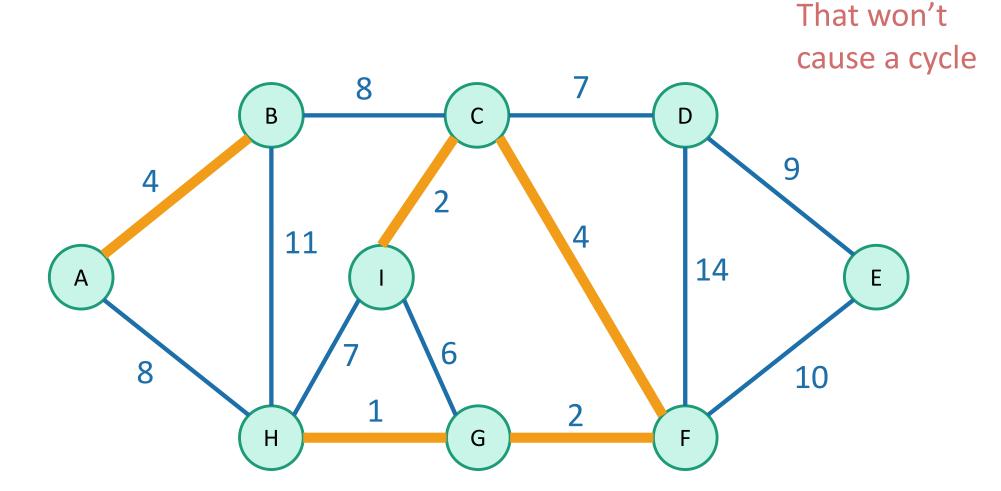


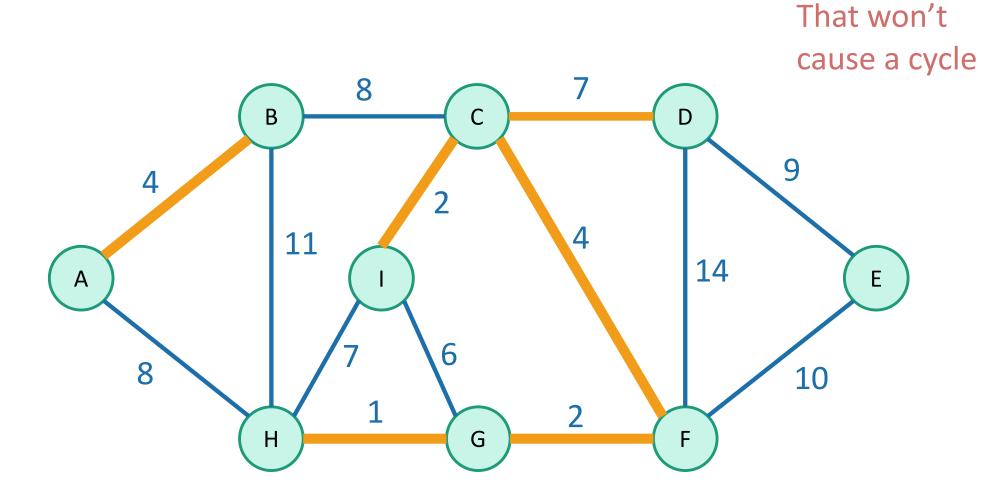


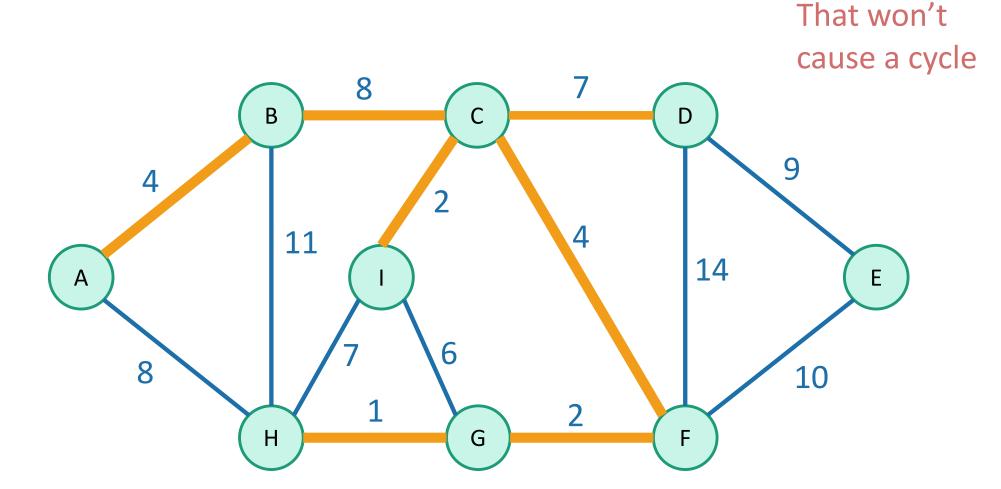


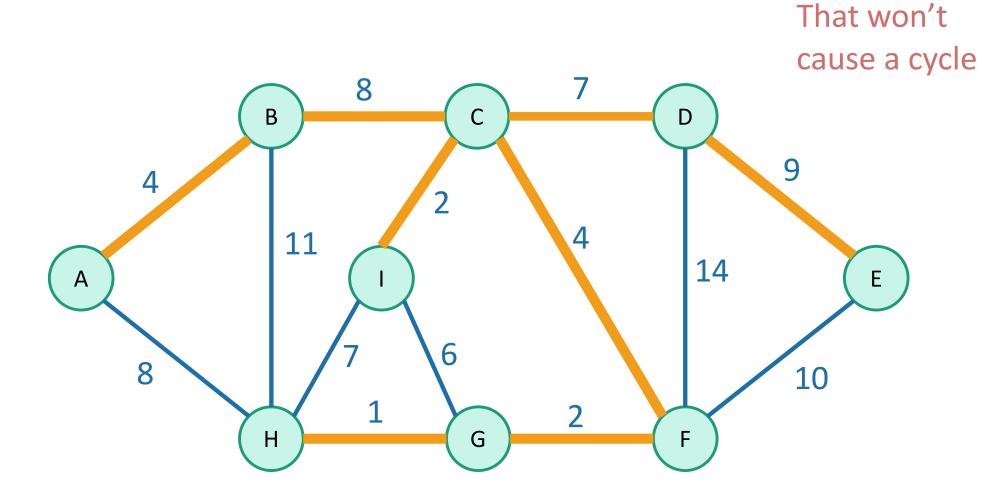










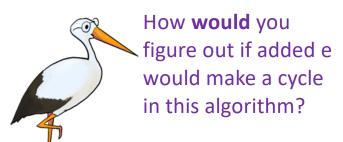


## We've discovered Kruskal's algorithm!

- slowKruskal(G = (V,E)):
  - Sort the edges in E by non-decreasing weight.
  - MST = {}
  - **for** e in E (in sorted order): 
    m iterations through this loop
    - if adding e to MST won't cause a cycle:
      - add e to MST.

How do we check this?

return MST



#### Naively, the running time is ???:

- For each of m iterations of the for loop:
  - Check if adding e would cause a cycle...

### Two questions

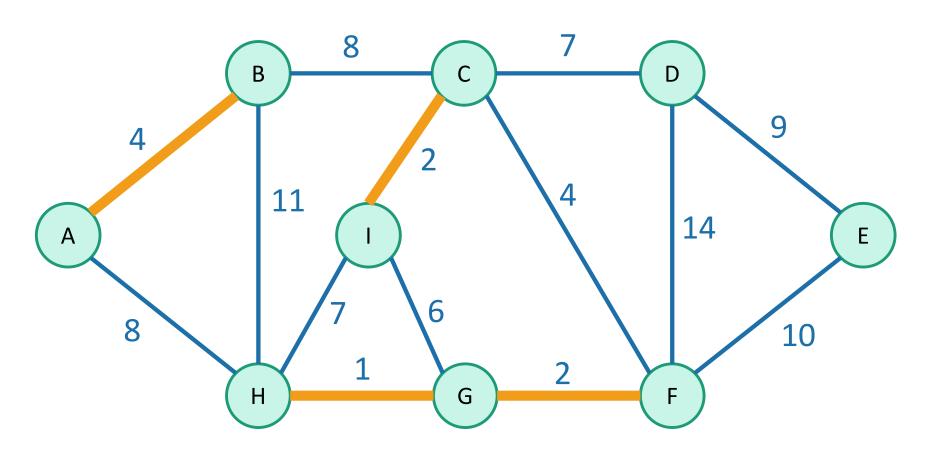
- 1. Does it work?
  - That is, does it actually return a MST?

- 2. How do we actually implement this?
  - the pseudocode above says "slowKruskal"...



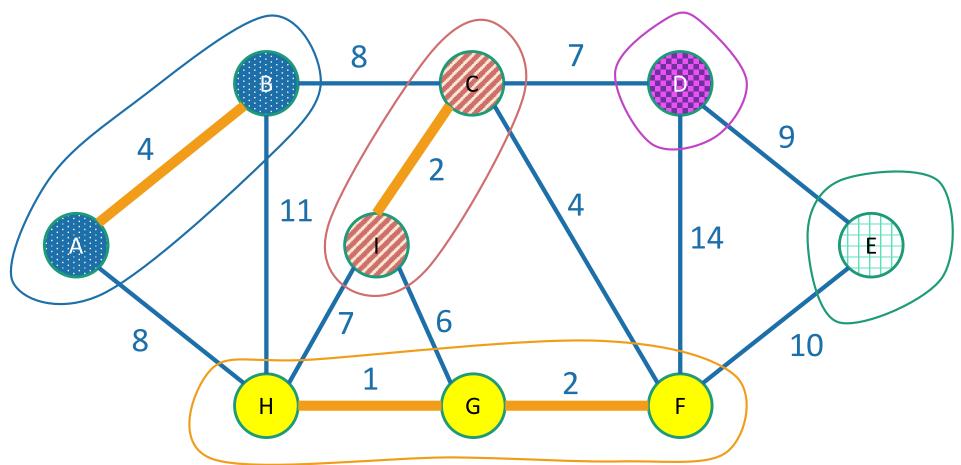
A **forest** is a collection of disjoint trees





A **forest** is a collection of disjoint trees

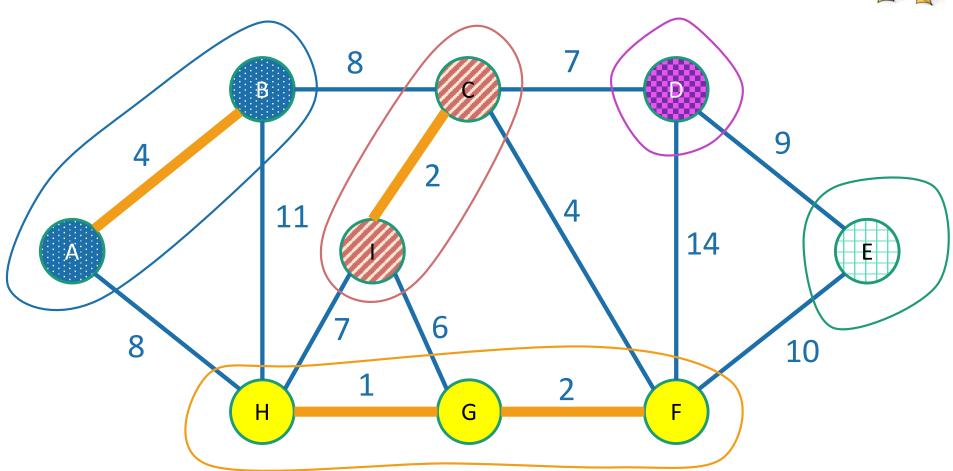




A **forest** is a collection of disjoint trees



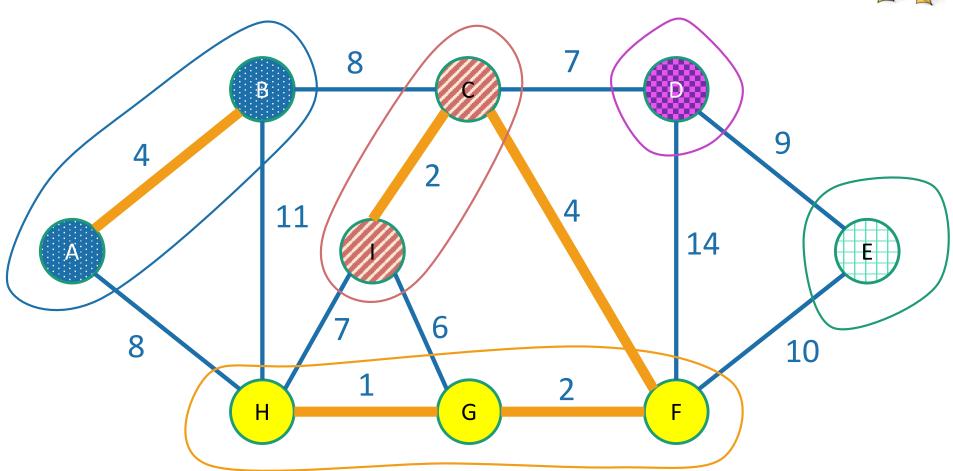
When we add an edge, we merge two trees:



A **forest** is a collection of disjoint trees



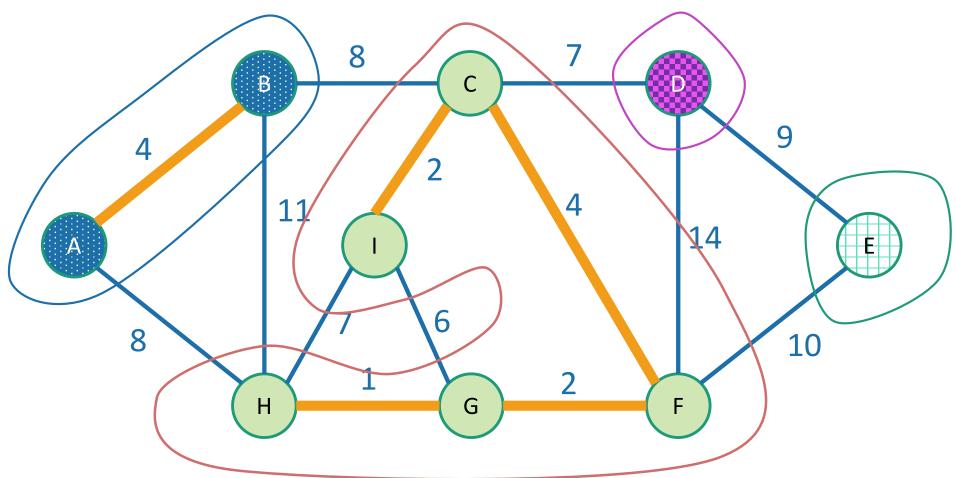
When we add an edge, we merge two trees:



A **forest** is a collection of disjoint trees



When we add an edge, we merge two trees:



We never add an edge within a tree since that would create a cycle.

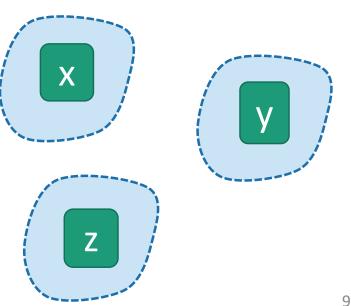
### Keep the trees in a special data structure



### Union-find data structure also called disjoint-set data structure

- Used for storing collections of sets
- Supports:
  - makeSet(u): create a set {u}
  - find(u): return the set that u is in
  - union(u,v): merge the set that u is in with the set that v is in.

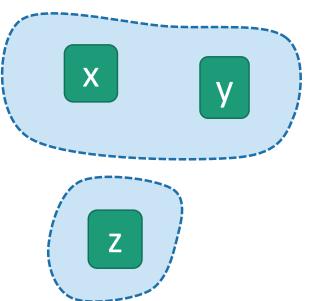
```
makeSet(x)
makeSet(y)
makeSet(z)
union(x,y)
```



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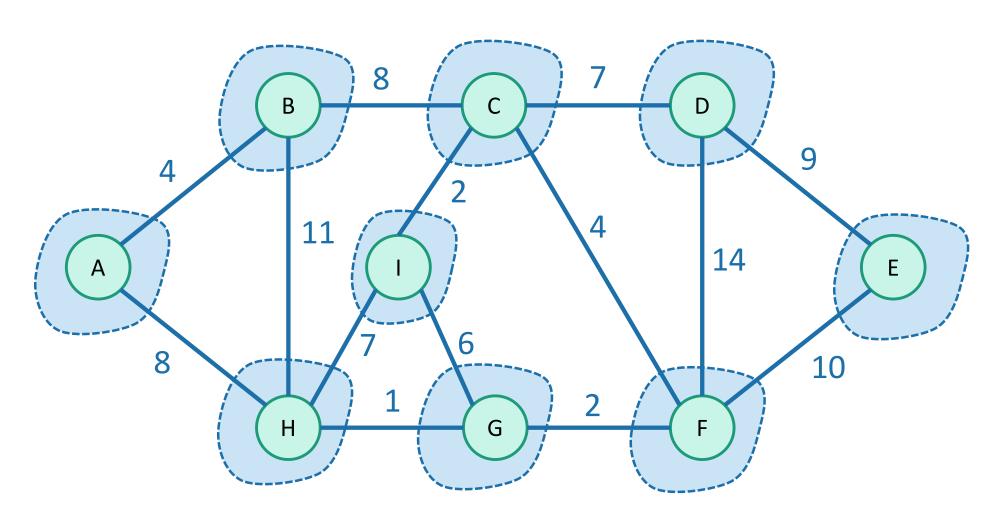
```
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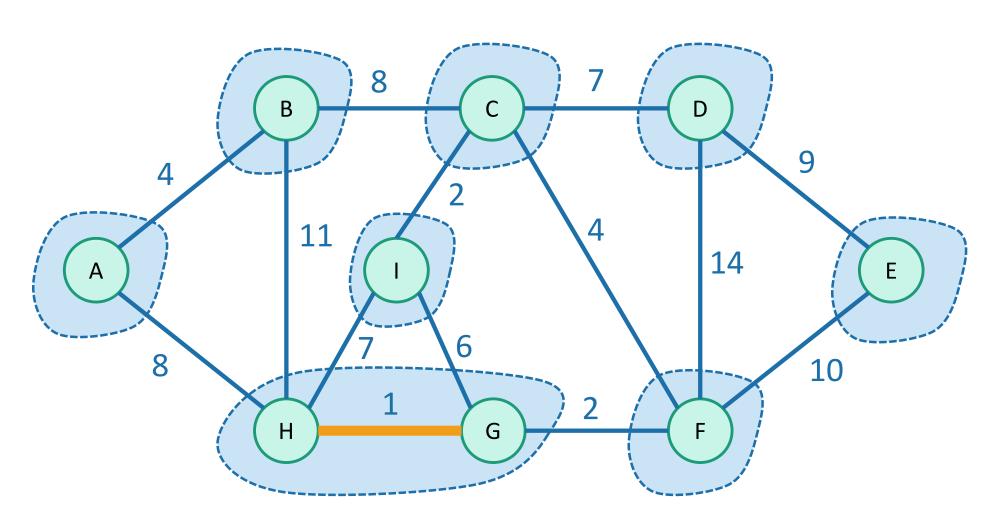
union(x,y)
find(x)
```

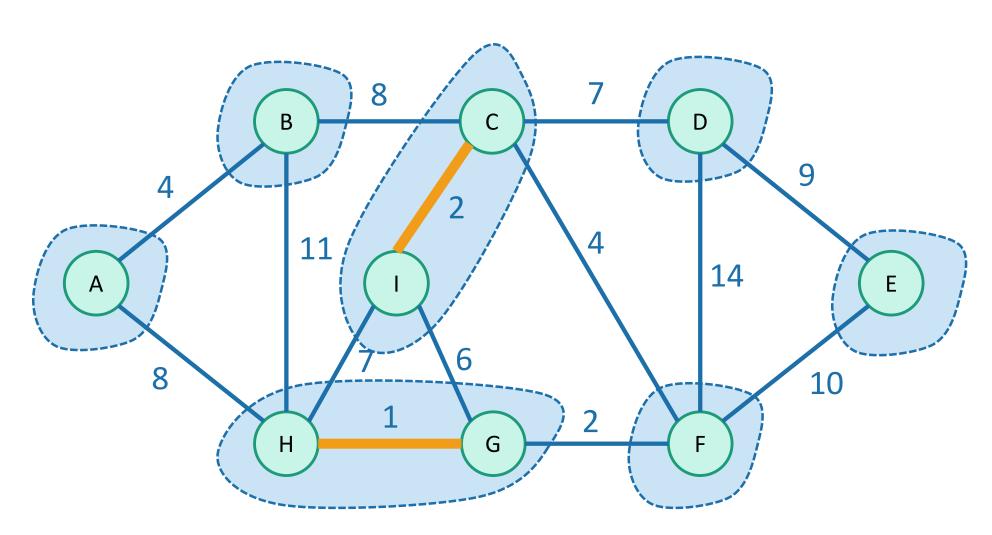
### Kruskal pseudo-code

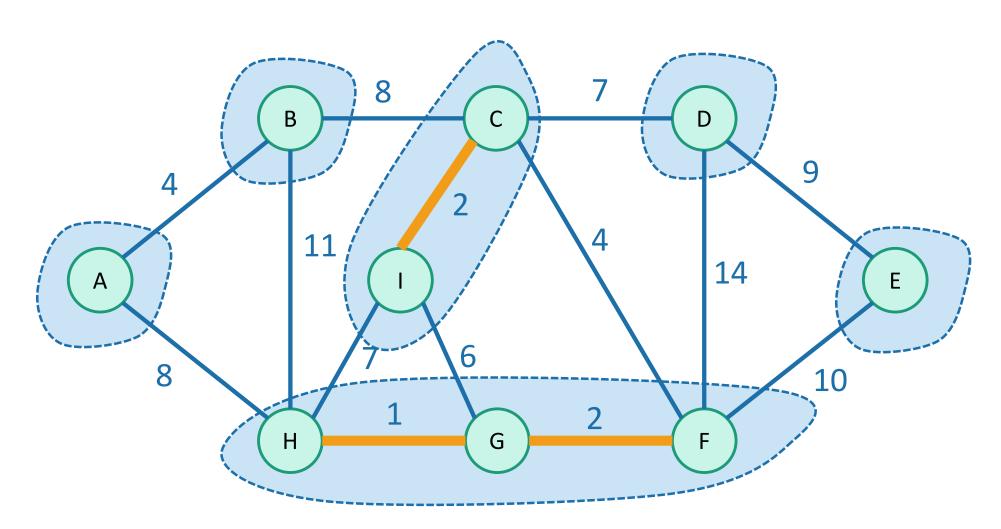
- **kruskal**(G = (V,E)):
  - Sort E by weight in non-decreasing order

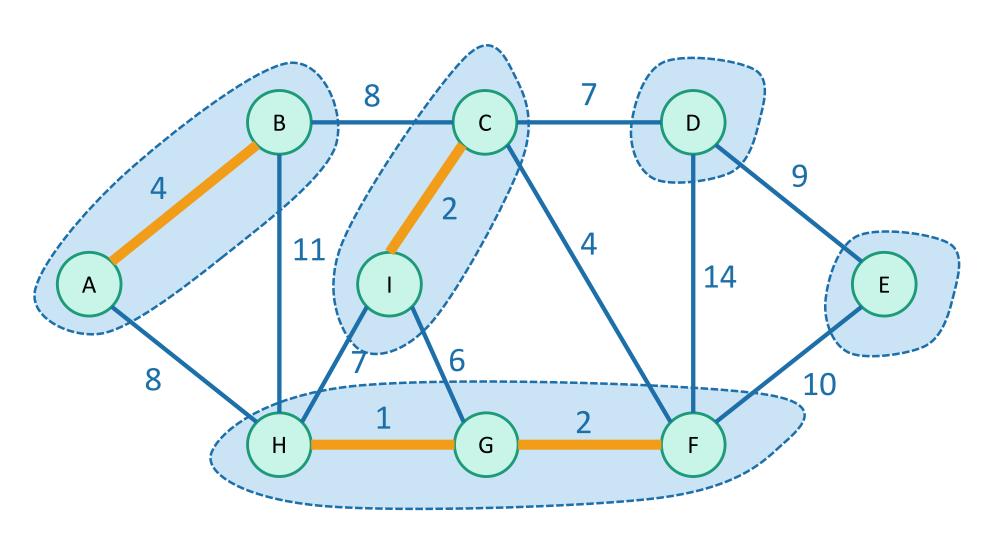
To start, every vertex is in its own tree.

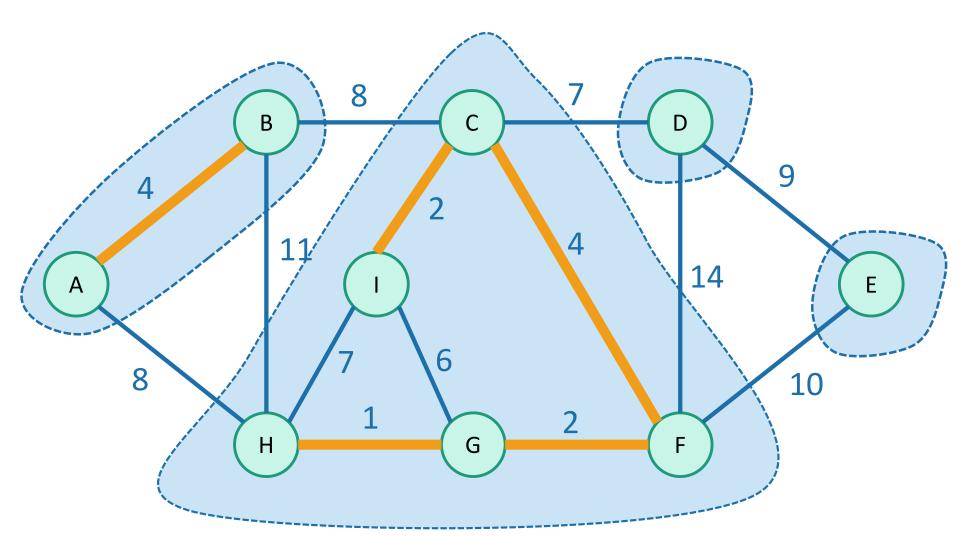


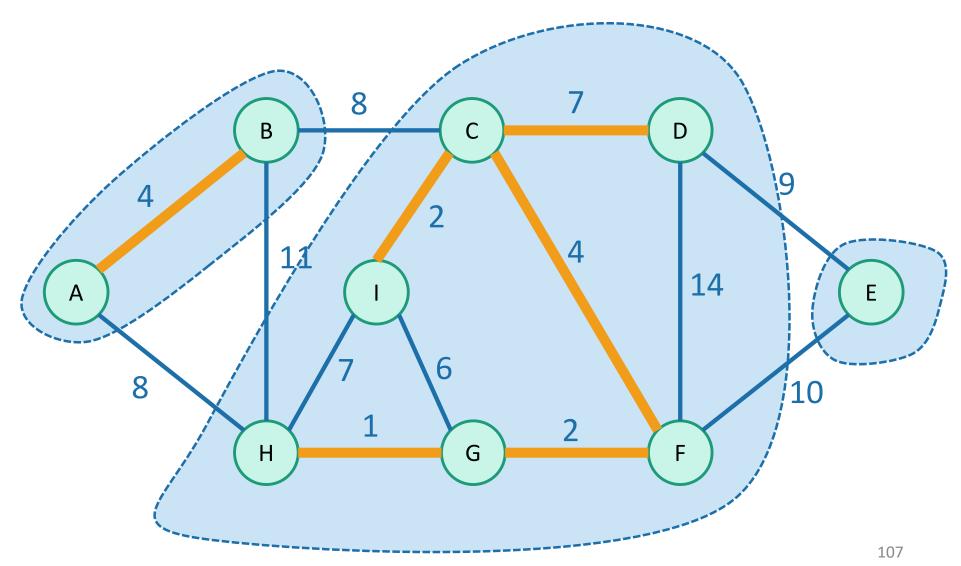


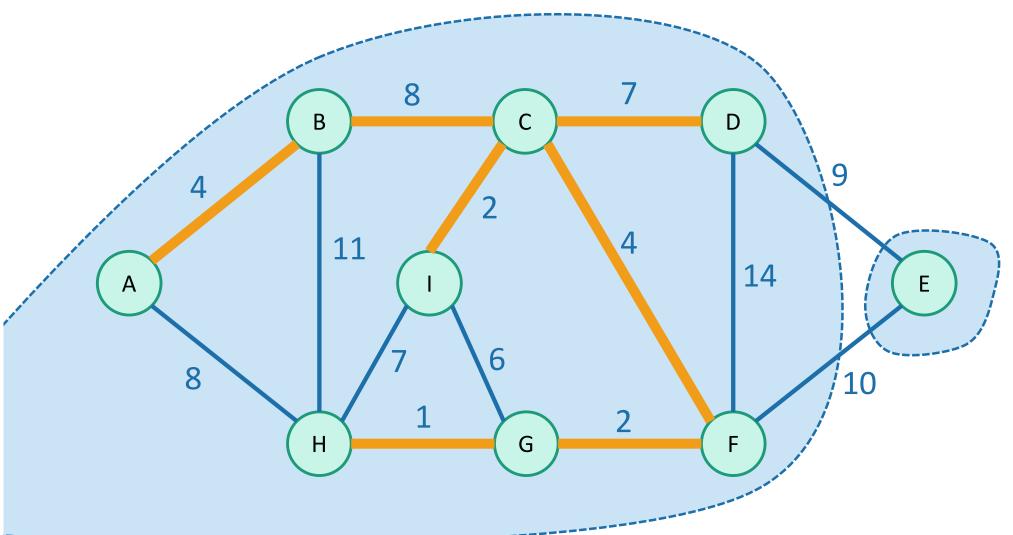






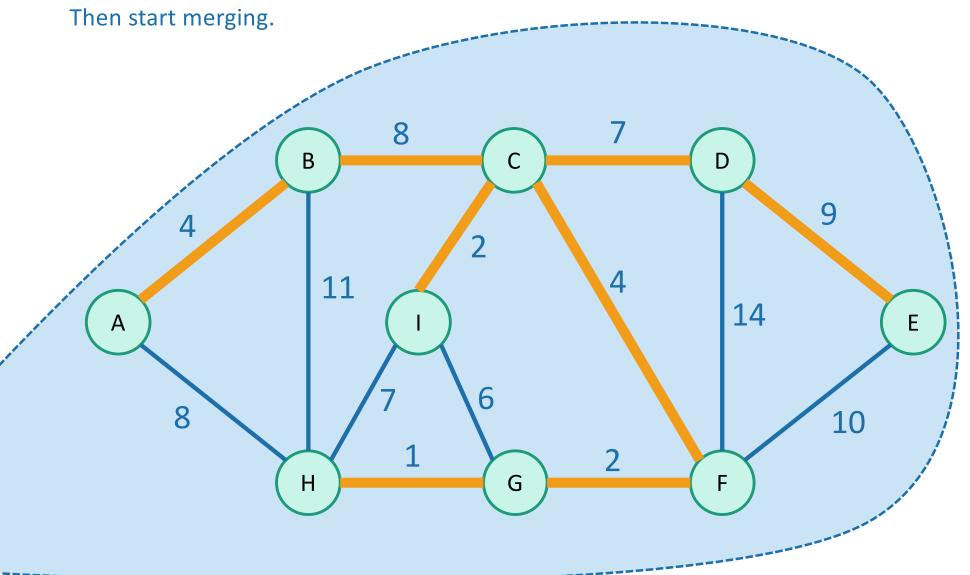






#### Stop when we have one big tree!

### Once more...



### Running time

- Sorting the edges takes O(m log(n))
  - In practice, if the weights are small integers we can use radixSort and take time O(m)
- For the rest:
  - n calls to makeSet
    - put each vertex in its own set
  - 2m calls to find
    - for each edge, **find** its endpoints
  - n-1 calls to union
    - we will never add more than n-1 edges to the tree,
    - so we will never call **union** more than n-1 times.
- Total running time:
  - Worst-case O(mlog(n)), just like Prim with a RBtree.
  - Closer to O(m) if you can do radixSort

\*technically, they run in amortized time  $O(\alpha(n))$ , where  $\alpha(n)$  is the inverse Ackerman function.  $\alpha(n) \le 4$  provided that n is smaller than the number of atoms in the universe.

In practice, each of makeSet, find, and union run in constant time\*
(There is a simpler way which does find and union in time O(log n)).

## Two questions

- 1. Does it work?
  - That is, does it actually return a MST?

Now that we understand this "tree-merging" view, let's do this one.

- 2. How do we actually implement this?
  - the pseudocode above says "slowKruskal"...
    - Worst-case running time O(mlog(n)) using a union-find data structure.

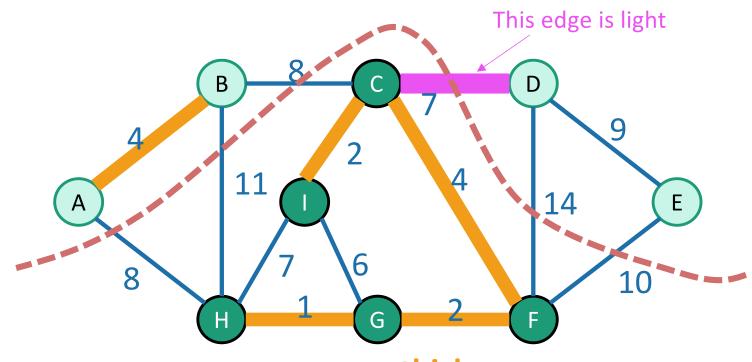
#### Does it work?

- We need to show that our greedy choices don't rule out success.
- That is, at every step:
  - There exists an MST that contains all of the edges we have added so far.
- Now it is time to use our lemma!

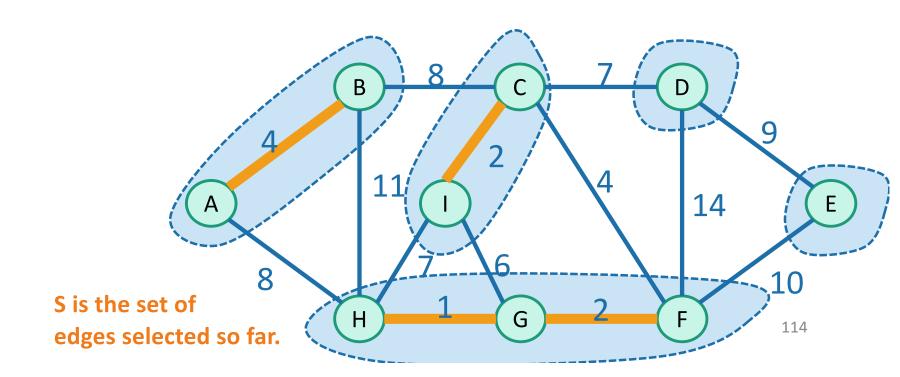
again!

#### Lemma

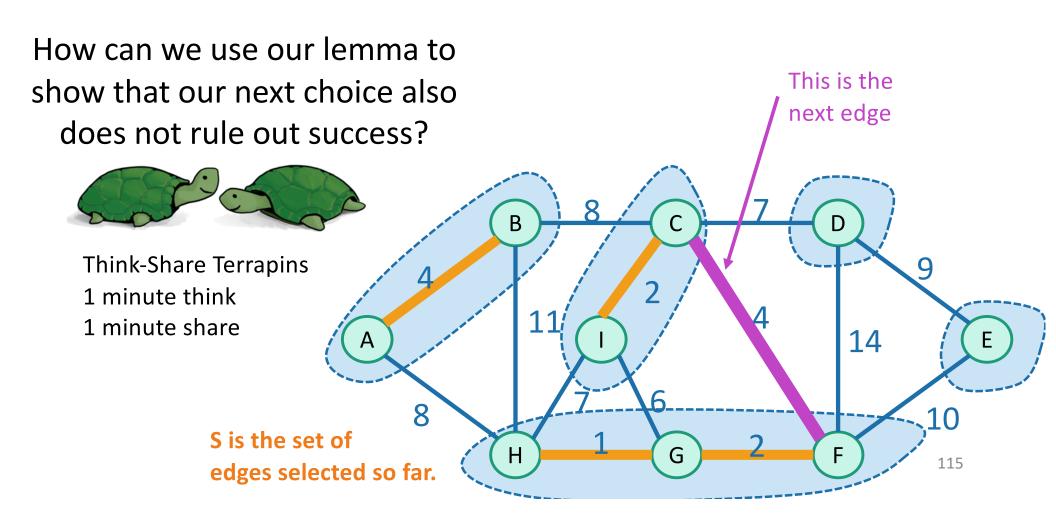
- Let S be a set of edges, and consider a cut that respects S.
- Suppose there is an MST containing S.
- Let {u,v} be a light edge.
- Then there is an MST containing S U {{u,v}}



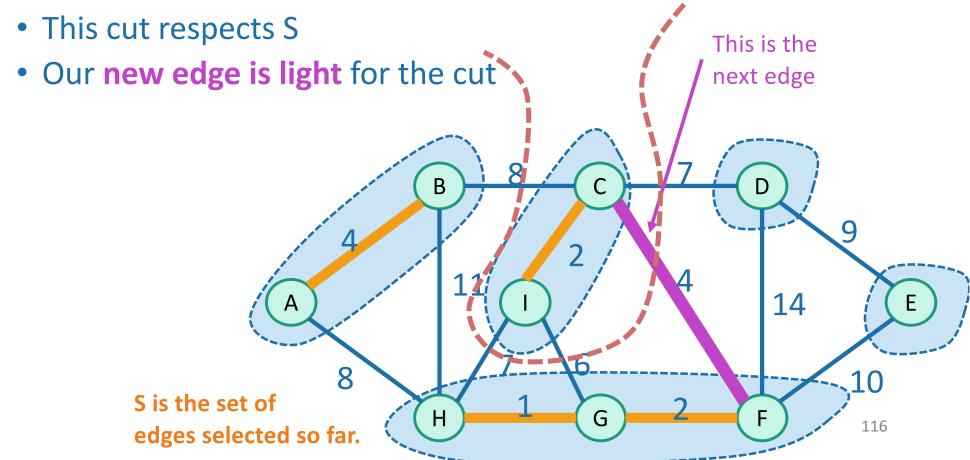
- Assume that our choices S so far don't rule out success.
  - There is an MST extending them
- The next edge we add will merge two trees, T1, T2



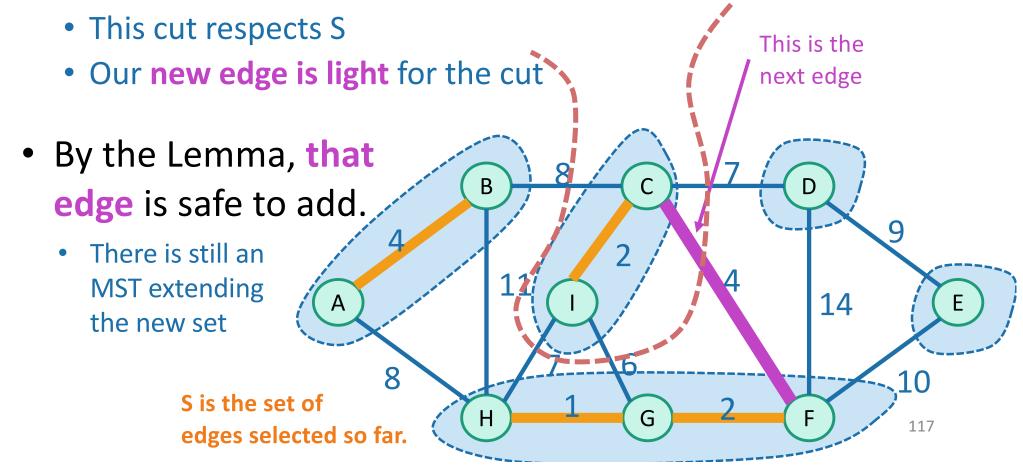
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## Hooray!

Our greedy choices don't rule out success.

 This is enough (along with an argument by induction) to guarantee correctness of Kruskal's algorithm.

# Formally(ish)

- Inductive hypothesis:
  - After adding the t'th edge, there exists an MST with the edges added so far.
- Base case:
  - After adding the O'th edge, there exists an MST with the edges added so far. **YEP.**
- Inductive step:
  - If the inductive hypothesis holds for t (aka, the choices so far are safe), then it holds for t+1 (aka, the next edge we add is safe).
  - That's what we just showed.
- Conclusion:
  - After adding the n-1'st edge, there exists an MST with the edges added so far.
  - At this point we have a spanning tree, so it better be minimal.

## Two questions

- 1. Does it work?
  - That is, does it actually return a MST?
    - Yes
- 2. How do we actually implement this?
  - the pseudocode above says "slowKruskal"...
    - Using a union-find data structure!

#### What have we learned?

- Kruskal's algorithm greedily grows a forest
- It finds a Minimum Spanning Tree in time O(mlog(n))
  - if we implement it with a Union-Find data structure
  - if the edge weights are reasonably-sized integers and we ignore the inverse Ackerman function, basically O(m) in practice.
- To prove it worked, we followed the same recipe for greedy algorithms we saw last time.
  - Show that, at every step, we don't rule out success.

## Compare and contrast

#### • Prim:

- Grows a tree.
- Time O(mlog(n)) with a red-black tree
- Time O(m + nlog(n)) with a Fibonacci heap

#### Kruskal:

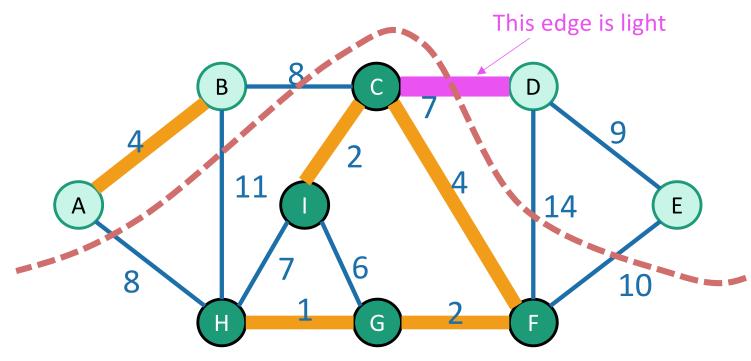
- Grows a forest.
- Time O(mlog(n)) with a union-find data structure
- If you can do radixSort on the edge weights, morally O(m)

Kruskal might be a better idea on sparse graphs if you can radixSort edge weights

Prim might be a better idea on dense graphs if you can't radixSort edge weights

#### Both Prim and Kruskal

- Greedy algorithms for MST.
- Similar reasoning:
  - Optimal substructure: subgraphs generated by cuts.
  - The way to make safe choices is to choose light edges crossing the cut.



### Can we do better?

State-of-the-art MST on connected undirected graphs

- Karger-Klein-Tarjan 1995:
  - O(m) time randomized algorithm
- Chazelle 2000:
  - O(m·  $\alpha(n)$ ) time deterministic algorithm
- Pettie-Ramachandran 2002:

O The optimal number of comparisons you need to solve the problem, whatever that is...

What is this number? Do we need that silly  $\alpha(n)$ ? Open questions!

## Recap

- Two algorithms for Minimum Spanning Tree
  - Prim's algorithm
  - Kruskal's algorithm
- Both are (more) examples of greedy algorithms!
  - Make a series of choices.
  - Show that at each step, your choice does not rule out success.
  - At the end of the day, you haven't ruled out success, so you must be successful.

#### Next time

Minimum cuts ... and max flows!

#### Before next time

Pre-lecture exercise: routing on rickety bridges!