CS 362, Minimum Spanning Trees

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Today’s Outline

- Minimum Spanning Trees
- Safe Edge Theorem
- Kruskal and Prim’s algorithms
- Graph Representation
Graph Definition

- A graph is a pair of sets \((V, E)\).
- We call \(V\) the vertices of the graph.
- \(E\) is a set of vertex pairs which we call the edges of the graph.
- In an *undirected* graph, the edges are unordered pairs of vertices and in a *directed* graph, the edges are ordered pairs.
- We assume that there is never an edge from a vertex to itself (no self-loops) and that there is at most one edge from any vertex to any other (no multi-edges).
- \(|V|\) is the number of vertices in the graph and \(|E|\) is the number of edges.
Graph Defns

- A graph $G' = (V', E')$ is a subgraph of $G = (V, E)$ if $V' \subseteq V$ and $E' \subseteq E$ is a set of edges over the nodes in $V'$.
- If $(u, v)$ is an edge in a graph, then $u$ is a neighbor of $v$.
- For a vertex $v$, the degree of $v$, $\text{deg}(v)$, is equal to the number of neighbors of $v$.
- A walk is a sequence of edges, where each successive pair of edges shares a vertex.
- A path is a walk, where the vertices visited are all distinct.
- A graph is connected if there is a path from any vertex to any other vertex.
- A disconnected graph consists of several connected components which are maximal connected subgraphs.
- Two vertices are in the same component if and only if there is a path between them.
Graph Defns

For undirected graphs:

• A cycle is a walk that starts and ends at the same vertex and where all vertices except the last visited are unique.
• A graph is acyclic if no subgraph is a cycle. Acyclic graphs are also called forests.
• A tree is a connected acyclic graph. It’s also a connected component of a forest.
• A spanning tree of a graph $G$ is a subgraph that is a tree and also contains every vertex of $G$. A graph can only have a spanning tree if it’s connected.
• A spanning forest of $G$ is a collection of spanning trees, one for each connected component of $G$. 
Minimum Spanning Tree Problem

• Suppose we are given a connected, undirected weighted graph
• That is a graph \( G = (V, E) \) together with a function \( w: E \to R \) that assigns a weight \( w(e) \) to each edge \( e \). (We assume the weights are real numbers)
• Our task is to find the minimum spanning tree of \( G \), i.e., the spanning tree \( T \) minimizing the function

\[
w(T) = \sum_{e \in T} w(e)
\]
A weighted graph and its minimum spanning tree
Applications

- Creating an inexpensive road network to connect cities
- Wiring up homes for phone service with the smallest amount of wire
- Finding a good approximation to the TSP problem
Generic MST Algorithm

```
Generic-MST(G,w) {
    A = {};
    while (A does not form a spanning tree) {
        find an edge (u,v) that is safe for A;
        A = A union (u,v);
    }
    return A;
}
```
Safe edges - Definition

- Let $A$ be any set of edges in $G$ that is a subset of some MST of $G$
- An edge $e$ is safe for $A$ if $A \cup \{e\}$ is also a subset of a MST.
Safe edges

- A **cut** \((S, V - S)\) of a graph \(G = (V, E)\) is a partition of \(V\)
- An edge \((u, v)\) **crosses** the cut \((S, V - S)\) if one of its endpoints is in \(S\) and the other is in \(V - S\)
- A cut **respects** a set of edges \(A\) if no edge in \(A\) crosses the cut.
- An edge is a **light edge** crossing a cut if its weight is the minimum of any edge crossing the cut.
Theorem

Let $G = (V, E)$ be a connected, undirected graph with a real-valued weight function $w$ defined on $E$. Let $A$ be a subset of $E$ that is included in some minimum spanning tree for $G$. Let $(S, V - S)$ be any cut of $G$ that respects $A$ and let $(u, v)$ be a light edge crossing $(S, V - S)$. Then edge $(u, v)$ is safe for $A$. 
Proof

• Let $T'$ be a MST that includes some set of edges $A$
• Assume that $T'$ does not contain the light edge $e = (u, v)$
• Since $T'$ is connected, it contains a unique path from $u$ to $v$ and at least one edge $e'$ on this path crosses the cut that respects $A$
• Note that $w(e) \leq w(e')$ by assumption
• Removing $e'$ from $T'$ and adding $e$ gives us a new spanning tree $T$
• $T$ has total weight no more than $T'$ and thus $T$ must also be a MST. QED.
Proof that every safe edge is in some MST. The red edges are the set $A$. 
Corollary

Let $G = (V, E)$ be a connected, undirected graph with a real-valued weight function $w$ defined on $E$. Let $A$ be a subset of $E$ that is included in some minimum spanning tree for $G$, and let $C = (V_c, E_c)$ be a connected component (tree) in the forest $G_A = (V, A)$. If $(u, v)$ is a light edge connecting $C$ to some other component in $G_A$, then $(u, v)$ is safe for $A$.

Proof: The cut $(V_C, V - V_C)$ respects $A$, and $(u, v)$ is a light edge for this cut. Therefore $(u, v)$ is safe for $A$. 

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Two MST algorithms

- There are two major MST algorithms, Kruskal’s and Prim’s.
- In Kruskal’s algorithm, the set $A$ is a forest. The safe edge added to $A$ is always a least-weighted edge in the graph that connects two distinct components.
- In Prim’s algorithm, the set $A$ forms a single tree. The safe edge added to $A$ is always a least-weighted edge connecting the tree to a vertex not in the tree.
Kruskal’s Algorithm

- Q: In Kruskal’s algorithm, how do we determine whether or not an edge connects two distinct connected components?
- A: We need some way to keep track of the sets of vertices that are in each connected components and a way to take the union of these sets when adding a new edge to \( A \) merges two connected components.
- What we need is the data structure for maintaining disjoint sets (aka Union-Find) that we discussed last week.
MST-Kruskal(G,w){
    for (each vertex v in V)
        Make-Set(v);
    sort the edges of E into nondecreasing order by weight;
    for (each edge (u,v) in E taken in nondecreasing order){
        if(Find-Set(u)!=Find-Set(v)){
            A = A union (u,v);
            Set-Union(u,v);
        }
    }
    return A;
}
Kruskal’s algorithm run on the example graph. Thick edges are in $A$. Dashed edges are useless.
Correctness?

- Correctness of Kruskal’s algorithm follows immediately from the corollary
- Each time we add the lightest weight edge that connects two connected components, hence this edge must be safe for $A$
- This implies that at the end of the algorithm, $A$ will be a MST
● The runtime for Kruskal’s alg. will depend on the implementation of the disjoint-set data structure. We’ll assume the implementation with union-by-rank and path-compression which we showed has amortized cost of \( \log^* n \)
• Time to sort the edges is $O(|E| \log |E|)$
• Total amount of time for the $|V|$ calls to Make-Set; and $O(|E|)$ calls to Find-Set and Set-Union is $O((|V|+|E|) \log^* |V|)$
• Since $G$ is connected, $|E| \geq |V| - 1$ and so $O((|V|+|E|) \log^* |V|) = O(|E| \log^* |V|) = O(|E| \log |E|)$
• Total amount of additional work done in the for loop is just $O(|E|)$
• Thus total runtime of the algorithm is $O(|E| \log |E|)$
• Since $|E| \leq |V|^2$, we can rewrite this as $O(|E| \log |V|)$
Prim’s Algorithm

- In Prim’s algorithm, the set \( A \) maintained by the algorithm forms a single tree.
- The tree starts from an arbitrary root vertex and grows until it spans all the vertices in \( V \).
- At each step, a light edge is added to the tree \( A \) which connects \( A \) to an isolated vertex of \( G_A = (V, A) \).
- By our Corollary, this rule adds only safe edges to \( A \), so when the algorithm terminates, it will return a MST.
Example Run

Prim’s algorithm run on the example graph, starting with the bottom vertex.
At each stage, thick edges are in $A$, an arrow points along $A$’s safe edge, and dashed edges are useless.
An Implementation

- To implement Prim’s algorithm, we keep all edges adjacent to $A$ in a heap
- When we pull the minimum-weight edge off the heap, we first check to see if both its endpoints are in $A$
- If not, we add the edge to $A$ and then add the neighboring edges to the heap
- If we implement Prim’s algorithm this way, its running time is $O(|E| \log |E|) = O(|E| \log |V|)$
- However, we can do better
Prim’s Algorithm

- We can speed things up by noticing that the algorithm visits each vertex only once.
- Rather than keeping the edges in the heap, we will keep a heap of vertices, where the key of each vertex $v$ is the weight of the minimum-weight edge between $v$ and $A$ (or infinity if there is no such edge).
- Each time we add a new edge to $A$, we may need to decrease the key of some neighboring vertices.
We will break up the algorithm into two parts, Prim-Init and Prim-Loop.

```c
Prim(V,E,s){
    Prim-Init(V,E,s);
    Prim-Loop(V,E,s);
}
```
Prim-Init

Prim-Init(V,E,s){
    for each vertex v in V - {s}{
        if ((v,s) is in E){
            edge(v) = (v,s);
            key(v) = w((v,s));
        }else{
            edge(v) = NULL;
            key(v) = infinity;
        }
        Heap-Insert(v);
    }
    Heap-Insert(s);
}
Prim-Loop

Prim-Loop(V,E,s){
    A = {}; 
    for (i = 1 to |V| - 1){  
        v = Heap-ExtractMin(); 
        add edge(v) to A;  
        for (each edge (u,v) in E){  
            if ((u,v) is not in A AND key(u) > w(u,v)){  
                edge(u) = (u,v); 
                Heap-DecreaseKey(u,w(u,v)); 
            } 
        } 
    } 
    return A; 
}
• The runtime of Prim’s is dominated by the cost of the heap operations Insert, ExtractMin and DecreaseKey
• Insert and ExtractMin are each called $O(|V|)$ times
• DecreaseKey is called $O(|E|)$ times, at most twice for each edge
• If we use a Fibonacci Heap, the amortized costs of Insert and DecreaseKey is $O(1)$ and the amortized cost of ExtractMin is $O(\log |V|)$
• Thus the overall run time of Prim’s is $O(|E| + |V| \log |V|)$
• This is faster than Kruskal’s unless $E = O(|V|)$
Note

- This analysis assumes that it is fast to find all the edges that are incident to a given vertex
- We have not yet discussed how we can do this
- This brings us to a discussion of how to represent a graph in a computer
Graph Representation

There are two common data structures used to explicitly represent graphs

- Adjacency Matrices
- Adjacency Lists
Adjacency Matrix

- The adjacency matrix of a graph $G$ is a $|V| \times |V|$ matrix of 0’s and 1’s
- For an adjacency matrix $A$, the entry $A[i, j]$ is 1 if $(i, j) \in E$ and 0 otherwise
- For undirected graphs, the adjacency matrix is always symmetric: $A[i, j] = A[j, i]$. Also the diagonal elements $A[i, i]$ are all zeros
Example Graph
Example Representations

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Adjacency matrix and adjacency list representations for the example graph.
Adjacency Matrix

- Given an adjacency matrix, we can decide in $\Theta(1)$ time whether two vertices are connected by an edge.
- We can also list all the neighbors of a vertex in $\Theta(|V|)$ time by scanning the row corresponding to that vertex.
- This is optimal in the worst case, however if a vertex has few neighbors, we still need to examine every entry in the row to find them all.
- Also, adjacency matrices require $\Theta(|V|^2)$ space, regardless of how many edges the graph has, so it is only space efficient for very dense graphs.
Adjacency Lists

• For *sparse* graphs — graphs with relatively few edges — we’re better off with adjacency lists
• An adjacency list is an array of linked lists, one list per vertex
• Each linked list stores the neighbors of the corresponding vertex
Adjacency Lists

- The total space required for an adjacency list is $O(|V| + |E|)$
- Listing all the neighbors of a node $v$ takes $O(1 + deg(v))$ time
- We can determine if $(u, v)$ is an edge in $O(1 + deg(u))$ time by scanning the neighbor list of $u$
- Note that we can speed things up by storing the neighbors of a node not in lists but rather in hash tables
- Then we can determine if an edge is in the graph in expected $O(1)$ time and still list all the neighbors of a node $v$ in $O(1 + deg(v))$ time