

# CS 341: ALGORITHMS

## Lecture 6: greedy algorithms II

Readings: see website

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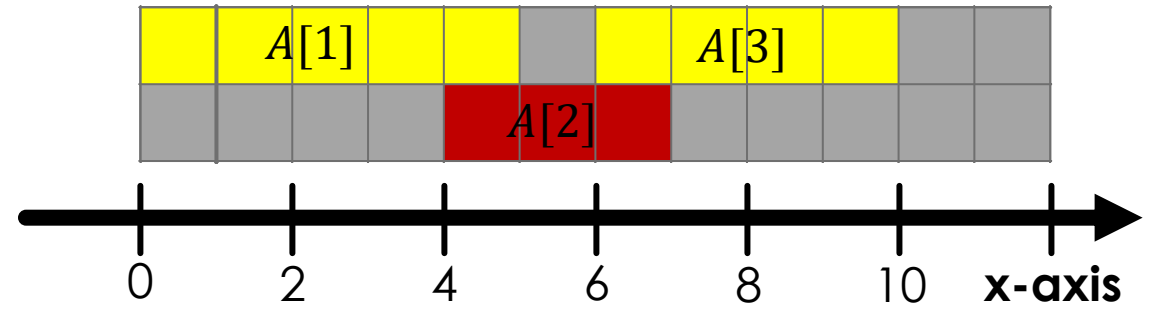
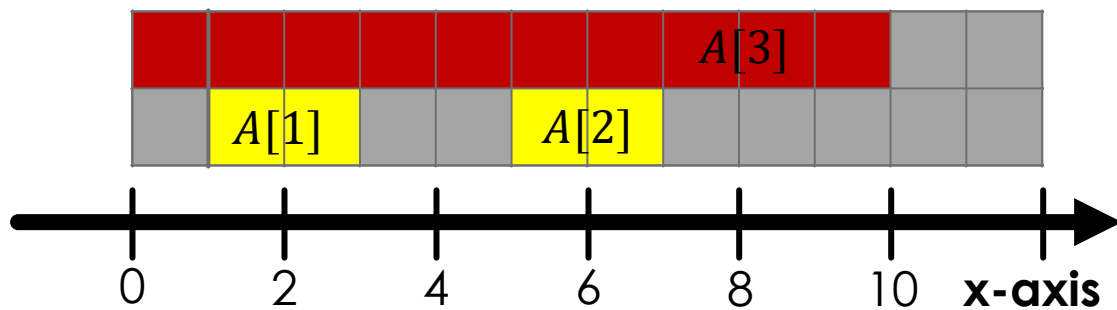
# OPTIMALITY PROOF

**for greedy interval selection**

**Goal:** choose **as many** disjoint intervals as possible,  
(i.e., without any overlap)

- 3 Sort the intervals in increasing order of **finishing times**. At any stage, choose the **earliest finishing** interval that is disjoint from all previously chosen intervals (i.e., the local evaluation criterion is  $f_i$ ).

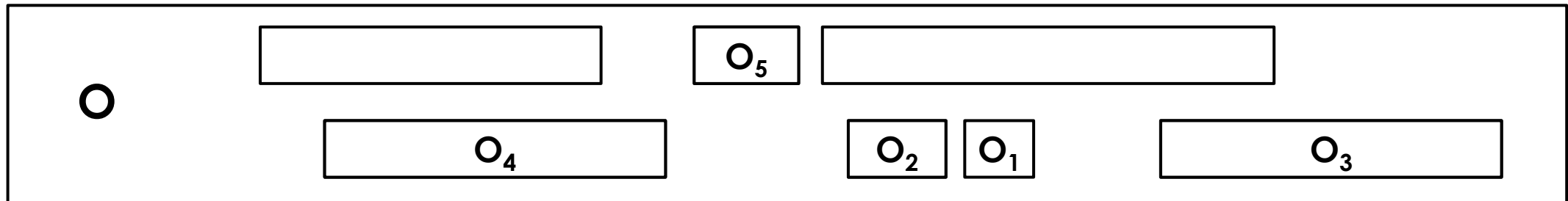
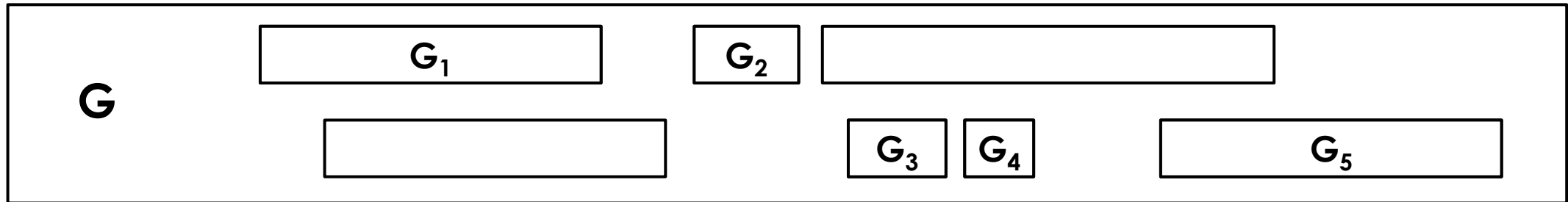
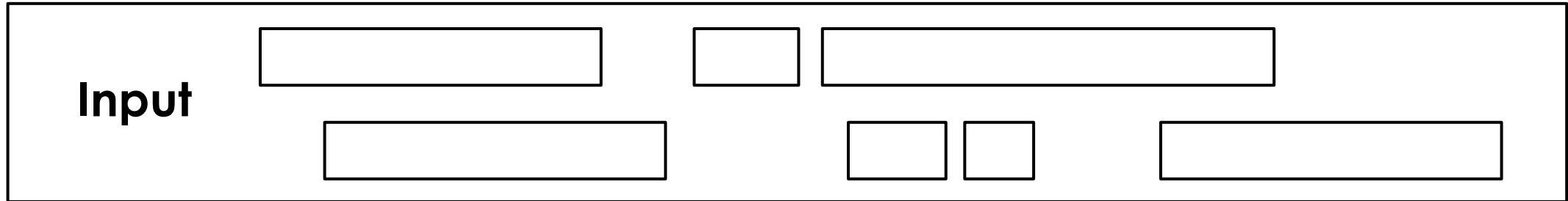
**Algorithm:**



# PROVING OPTIMALITY

- Consider an input  $A[1..n]$
- Let  $\mathbf{G}$  be the greedy solution
- Let  $\mathbf{O}$  be an optimal solution
- “Greedy stays ahead” argument
  - Intuition: out of the a given set of intervals, greedy picks **as many as optimal**

# VISUAL EXAMPLE



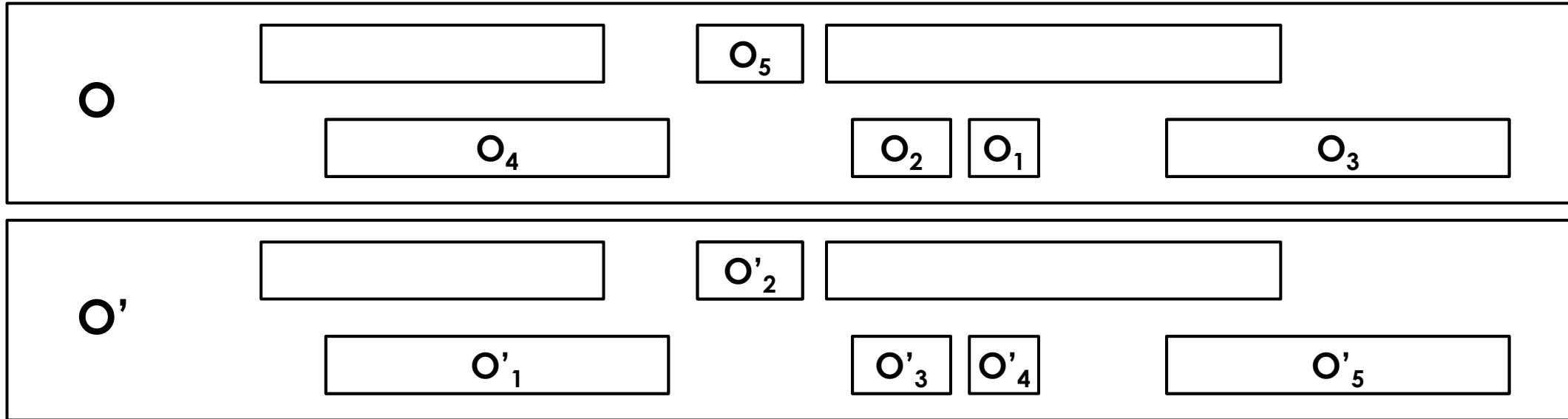
How to compare G and O?

Imagine reordering O to match G!

**CRUCIAL:** We are **NOT**  
assuming the optimal **algorithm**  
uses the same sort order!

We are merely **imagining reordering**  
the intervals chosen by the optimal  
algorithm so we can easily **compare**  
**their finish times** to intervals in **G**

# REORDERING $O$ BY INCREASING FINISH TIME

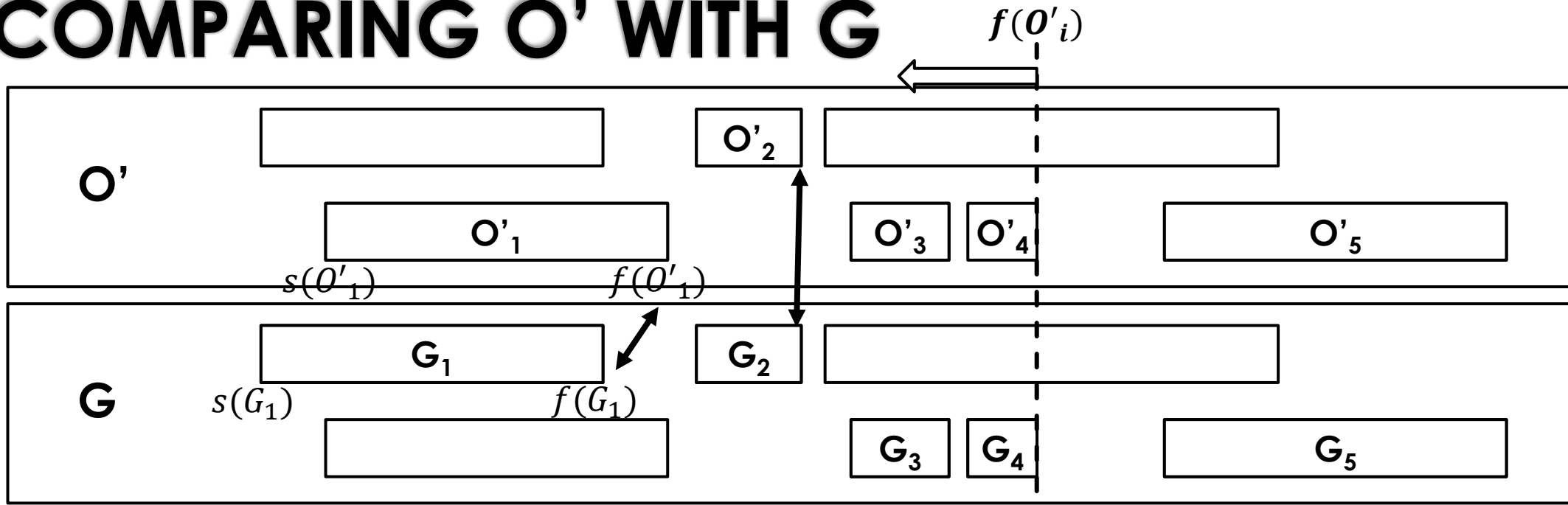


Now  $O'$  and  $G$  are both ordered by increasing finish time

This ordering helps us leverage what we know about  $G$  in our comparison with  $O'$ .

Argue for a prefix of the intervals sorted this way,  $G$  chooses **as many as  $O'$**

# COMPARING O' WITH G



Looks like  $f(G_1) \leq f(O'_1)$  and  $f(G_2) \leq f(O'_2)$  ... Is  $f(G_i) \leq f(O'_i)$  for **all**  $i$ ?

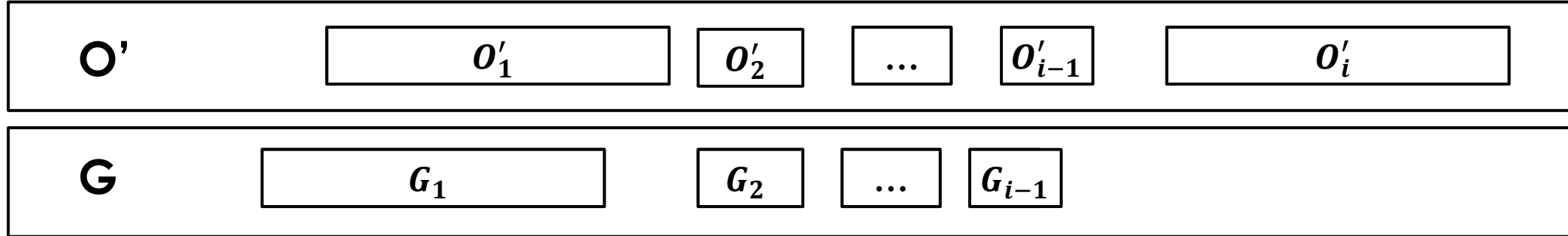
**If** this trend holds in general, then

**out of the intervals with finish time  $\leq f(O'_i)$**

**G chooses as many intervals as O!**

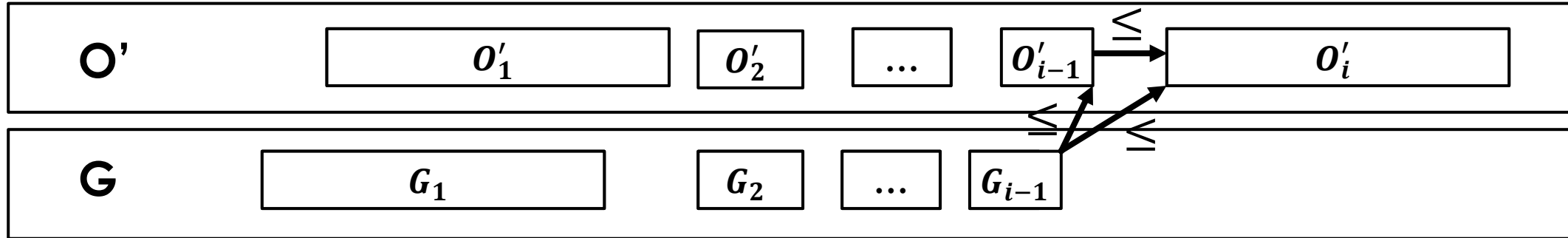


# PROVING LEMMA: $f(G_i) \leq f(O'_i)$ FOR ALL $i$



Base case:  $f(G_1) \leq f(O'_1)$  since **G** chooses the interval with the earliest finish time first.

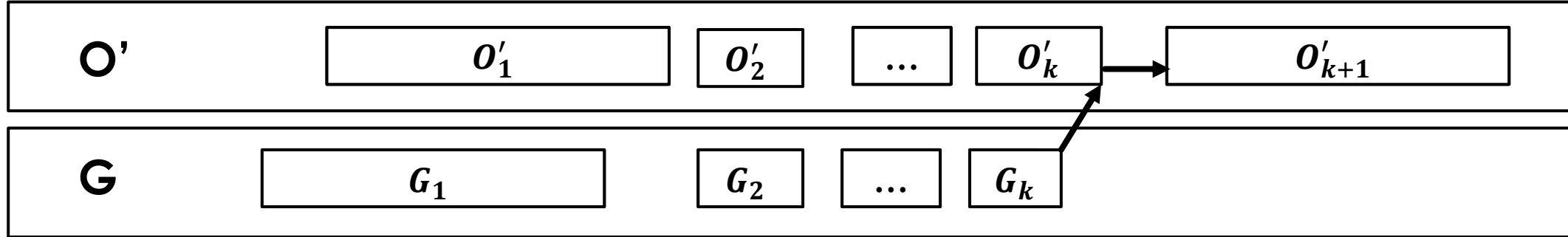
# PROVING LEMMA: $f(G_i) \leq f(O'_i)$ FOR ALL $i$



Inductive step: assume  $f(G_{i-1}) \leq f(O'_{i-1})$ . Show  $f(G_i) \leq f(O'_i)$ .

- Since  $O'$  is feasible,  $f(O'_{i-1}) \leq s(O'_i)$
- So  $f(G_{i-1}) \leq s(O'_i)$
- So  **$G$  can choose  $O'_i$**  if it has the smallest finish time
- **So  $f(G_i) \leq f(O'_i)$**

# USING THIS LEMMA



- Suppose  $|O'| > |G|$  to obtain a contradiction
  - So if  $G$  chooses  $k$  intervals,  $O'$  chooses at least  $k + 1$
- By the lemma,  $f(G_k) \leq f(O_k)$
- Since  $O'$  is feasible,  $f(O'_k) \leq s(O'_{k+1})$
- **But then  $G$  can, and would, pick  $O'_{k+1}$ .**
  - **Contradiction!**

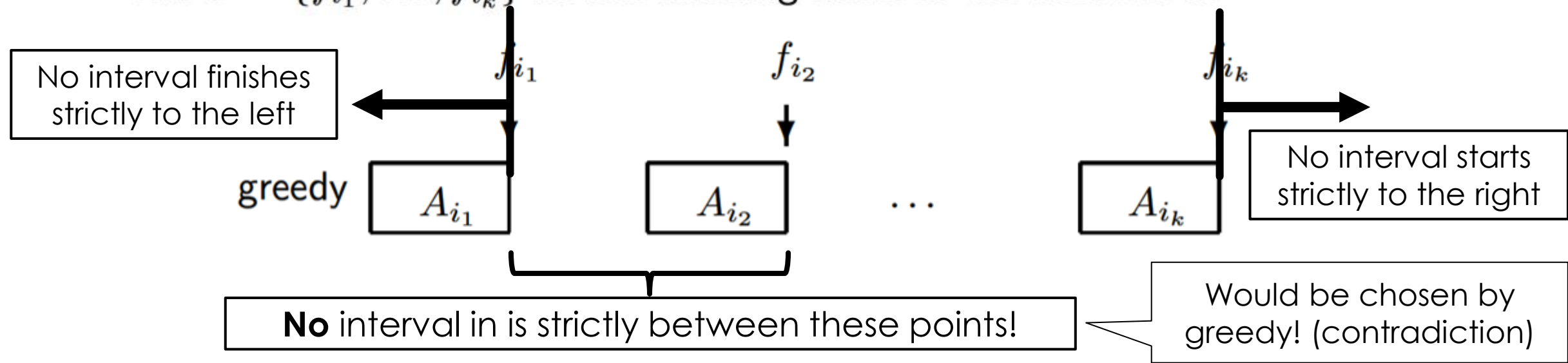
So assumption  
 $|O'| > |G|$  is wrong!

So  $G$  is optimal

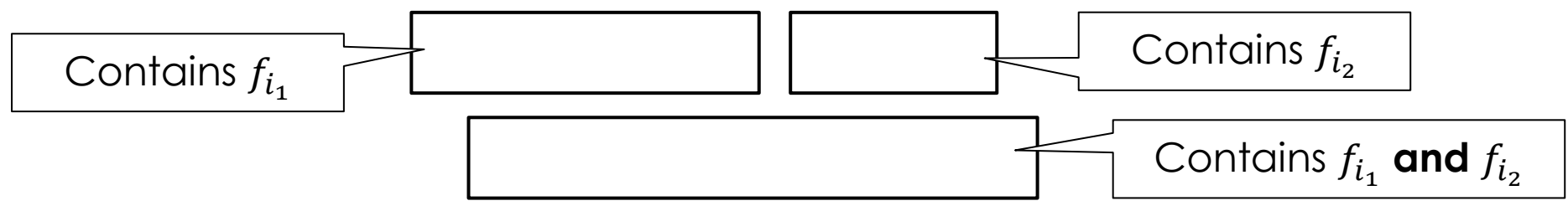
# A DIFFERENT PROOF

“**Slick**” ad-hoc approaches are sometimes possible...

Let  $F = \{f_{i_1}, \dots, f_{i_k}\}$  be the finishing times of the intervals in  $X$



So, in addition to the intervals in  $X$ , only the following types of intervals are **possible**



Thus, **every interval** contains some finishing time in  $F$

And, two intervals in  $O$  **cannot contain the same** element of  $F$

So, there must be as many finishing times in  $F$  as there are intervals in  $O$ . QED

# KNAPSACK PROBLEMS



## Problem 4.4

### Knapsack

**Instance:** Profits  $P = [p_1, \dots, p_n]$ ; weights  $W = [w_1, \dots, w_n]$ ; and a capacity,  $M$ . These are all positive integers.

**Feasible solution:** An  $n$ -tuple  $X = [x_1, \dots, x_n]$  where  $\sum_{i=1}^n w_i x_i \leq M$ .

Gotta respect the  
**weight limit M...**



## Problem 4.4

### Knapsack

**Instance:** Profits  $P = [p_1, \dots, p_n]$ ; weights  $W = [w_1, \dots, w_n]$ ; and a capacity,  $M$ . These are all positive integers.

**Feasible solution:** An  $n$ -tuple  $X = [x_1, \dots, x_n]$  where  $\sum_{i=1}^n w_i x_i \leq M$ .

In the **0-1 Knapsack** problem (often denoted just as **Knapsack**), we require that  $x_i \in \{0, 1\}$ ,  $1 \leq i \leq n$ .

In the **Rational Knapsack** problem, we require that  $x_i \in \mathbb{Q}$  and  $0 \leq x_i \leq 1$ ,  $1 \leq i \leq n$ .

**Find:** A feasible solution  $X$  that maximizes  $\sum_{i=1}^n p_i x_i$ .

#### **0-1 Knapsack:**

NP Hard.

Probably requires exponential time to solve...

#### **Rational knapsack:**

Can be solved in polynomial time by a greedy alg!

Lets discuss this now... other one later



# POSSIBLE GREEDY STRATEGIES FOR KNAPSACK PROBLEMS

- **Strategy 1:** consider items in **decreasing** order of **profit** (i.e., we maximize the local evaluation criterion  $p_i$ )
- Let's try an example input
  - Profits  $P = [20, 50, \mathbf{100}]$
  - Weights  $W = [10, 20, 10]$
  - Weight limit  $M = 10$
- Algorithm selects last item for 100 profit
  - Looks optimal in this example

# POSSIBLE GREEDY STRATEGIES FOR KNAPSACK PROBLEMS

- **Strategy 1:** consider items in **decreasing** order of **profit** (i.e., we maximize the local evaluation criterion  $p_i$ )
- How about a **second example input**
  - Profits  $P = [20, 50, 100]$
  - Weights  $W = [10, 20, 100]$
  - Weight limit  $M = 10$
- Algorithm selects last item for **10** profit
  - **Not optimal!**

# POSSIBLE GREEDY STRATEGIES FOR KNAPSACK PROBLEMS

- **Strategy 2:** consider items in **increasing** order of **weight** (i.e., we minimize the local evaluation criterion  $w_i$ )
- **Counterexample**
  - Profits  $P = [20, 50, 100]$
  - Weights  $W = [10, 20, 100]$
  - Weight limit  $M = 10$
- Algorithm selects first item for 20 profit
  - It **could** select half of second item, for 25 profit!

# POSSIBLE GREEDY STRATEGIES FOR KNAPSACK PROBLEMS

- **Strategy 3:** consider items in **decreasing** order of **profit divided by weight** (i.e., we maximize local evaluation criterion  $p_i/w_i$ )
- Let's try our first example input
  - Profits  $P = [20, 50, \mathbf{100}]$
  - Weights  $W = [10, 20, 10]$
  - Weight limit  $M = 10$
- Profit divided by weight
  - $P/W = [2, 2.5, 10]$
- Algorithm selects last item for 100 profit (optimal)

# POSSIBLE GREEDY STRATEGIES FOR KNAPSACK PROBLEMS

- **Strategy 3:** consider items in **decreasing** order of **profit divided by weight** (i.e., we maximize local evaluation criterion  $p_i/w_i$ )
- Let's try our second example input
  - Profits  $P = [20, 50, \mathbf{100}]$
  - Weights  $W = [10, 20, 100]$
  - Weight limit  $M = 10$
- Profit divided by weight
  - $P/W = [2, 2.5, 1]$
- Algorithm selects second item for 25 profit (optimal)

It turns out strategy #3 **is** optimal...

```

1 Preprocess(A[1..n], M) // A[i] = (p_i, w_i)
2   sort A by decreasing profit divided by weight
3   let p[1..n] be the profits in A
4   let w[1..n] be the weights in A
5   return GreedyRationalKnapsack(p, w, M)

```

```

6
7 GreedyRationalKnapsack(p[1..n], w[1..n], M)

```

```

8   X = [0, ..., 0]
9   weight = 0

```

No items are chosen yet

Current weight of knapsack

```

10
11   for i = 1..n

```

For all items

```

12     if weight + w[i] > M then

```

If we **cannot** fit the entire item

```

13         X[i] = (M - weight) / w[i]

```

Put in as much of the item as you can, to **exactly fill** the knapsack

```

14         break

```

```

15     else

```

```

16         X[i] = 1

```

```

17         weight = weight + w[i]

```

Otherwise take the entire item

```

18
19   return X

```

22

Either  $X=(1,1,\dots,1,0,\dots,0)$  or  $X=(1,1,\dots,1,x_i,0,\dots,0)$  where  $x_i \in (0,1)$

```
1 Preprocess(A[1..n], M) // A[i] = (p_i, w_i)
2   sort A by decreasing profit divided by weight
3   let p[1..n] be the profits in A
4   let w[1..n] be the weights in A
5   return GreedyRationalKnapsack(p, w, M)
```

Running time complexity?

Can do preprocessing in  $\Theta(n \log n)$

```
7 GreedyRationalKnapsack(p[1..n], w[1..n], M)
```

```
8   X = [0, ..., 0]
9   weight = 0
```

Create array in  $\Theta(n)$  time

```
11   for i = 1..n
12     if weight + w[i] > M then
13       X[i] = (M - weight) / w[i]
14       break
15     else
16       X[i] = 1
17       weight = weight + w[i]
```

$\Theta(n)$  iterations each doing  $\Theta(1)$  work

```
18
19   return X
```

Total  $\Theta(n \log n)$   
(or  $\Theta(n)$  if input is already sorted)

# INFORMAL FEASIBILITY ARGUMENT

(SHOULD BE GOOD ENOUGH TO SHOW FEASIBILITY ON ASSESSMENTS)

- **Feasibility: all  $x_i$  are in  $[0, 1]$  and total weight is  $\leq M$**
- Either *everything* fits in the knapsack, or:
- When we exit the loop, **weight is exactly  $M$**
- Every time we write to  $x_i$  it's either 0, 1 or  $(M - weight)/w_i$  where  $weight + w[i] > M$ 
  - Rearranging the latter we get  $(M - weight)/w_i < 1$
  - And  $weight \leq M$ ,  
so  $(M - weight)/w_i \geq 0$
  - **So, we have  $x_i \in [0, 1]$**

```
11 for i = 1..n
12     if weight + w[i] > M then
13         X[i] = (M - weight) / w[i]
14         break
15     else
16         X[i] = 1
17         weight = weight + w[i]
```



# MINOR MODIFICATION TO FACILITATE **FORMAL** PROOF

```
1 GreedyRationalKnapsack(p[1..n], w[1..n], M)
2   X = [0, ..., 0]
3   weight = 0
4
5   for i = 1..n
6     if weight + w[i] > M then
7       X[i] = (M - weight) / w[i]
8       weight = M
9       break
10    else
11      X[i] = 1
12      weight = weight + w[i]
13
14   return X
```

Optional slide, just  
for your notes

Does NOT change behaviour  
of the algorithm at all!

# FORMAL FEASIBILITY ARG

- **Loop invariant:**  $\forall_i : x_i \in [0,1]$

- **and**  $weight = \sum_{i=1}^n w_i x_i \leq M$

```
5   for i = 1..n
6       if weight + w[i] > M then
7           X[i] = (M - weight) / w[i]
8           weight = M
9           break
10      else
11          X[i] = 1
12          weight = weight + w[i]
```

- Base case. Initially  $weight = 0$  and  $\forall_i : x_i = 0$ .

- So  $0 = weight = \sum_{i=1}^n w_i \cdot 0 = \sum_{i=1}^n w_i x_i \leq M$

- Inductive step.

- Suppose invariant holds at start of iteration  $i$

- Let  $weight', x_i'$  denote values of  $weight, x_i$  at **end** of iteration  $i$

- Prove invariant holds at end of iteration  $i$

- i.e.,  $\forall_i : x'_i \in [0, 1]$  **and**  $weight' = \sum_{i=1}^n w_i x'_i \leq M$

Optional slide, just for your notes

# FORMAL FEASIBILITY ARG

- **WTP:**  $\forall_i : x'_i \in [0, 1]$   
and  $weight' = \sum_{i=1}^n w_i x'_i \leq M$

```
5   for i = 1..n
6       if weight + w[i] > M then
7           X[i] = (M - weight) / w[i]
8           weight = M
9           break
10      else
11          X[i] = 1
12          weight = weight + w[i]
```

- Case 1:  $weight + w_i \leq M$

- $x'_i = 1$  which is in  $[0, 1]$  (by line 11)

- $weight' = weight + w_i$  (by line 12)  
and **this is**  $\leq M$  by the case

- $weight' = \sum_{k=1}^n x_k w_k + w_i$  (by invariant)

- $weight' = \sum_{k=1}^n x_k w_k + x'_i w_i$  (since  $x'_i = 1$ )

- And  $x'_k = x_k$  for all  $k \neq i$  and  $x_i = 0$  so  $\sum_{k=1}^n x'_k w_k = x'_i w_i + \sum_{k=1}^n x_k w_k$

- Rearrange to get  $\sum_{k=1}^n x_k w_k = (\sum_{k=1}^n x'_k w_k - x'_i w_i)$

- So  $weight' = (\sum_{k=1}^n x'_k w_k - x'_i w_i) + x'_i w_i = \sum_{k=1}^n x'_k w_k$

Optional slide, just  
for your notes

# FORMAL FEASIBILITY ARG

- **WTP:**  $\forall_i : x'_i \in [0, 1]$   
**and**  $weight' = \sum_{i=1}^n w_i x'_i \leq M$

- Case 2:  $weight + w_i > M$

- We have  $w_i > M - weight$   
and  $M - weight \geq 0$

(by case)  
(by invariant)

- So  $0 \leq \frac{M - weight}{w_i} < 1$  **which means**  $x'_i \in [0, 1)$

- $weight' = M = weight + (M - weight)$  (by line 8)

- $weight' = \sum_{k=1}^n x_k w_k + (M - weight)$  (by invariant)

- But  $x'_k = x_k$  for all  $k \neq i$  and  $x_i = 0$  so  $\sum_{k=1}^n x'_k w_k = x'_i w_i + \sum_{k=1}^n x_k w_k$

- Rearrange to get  $\sum_{k=1}^n x_k w_k = (\sum_{k=1}^n x'_k w_k - x'_i w_i)$

- So  $weight' = (\sum_{k=1}^n x'_k w_k - x'_i w_i) + (M - weight)$

- And  $M - weight = x'_i w_i$  **so**  $weight' = \sum_{k=1}^n x'_k w_k$

```
5   for i = 1..n
6       if weight + w[i] > M then
7           X[i] = (M - weight) / w[i]
8           weight = M
9           break
10      else
11          X[i] = 1
12          weight = weight + w[i]
```

Optional slide, just  
for your notes



# EXCHANGE ARGUMENT

for proving optimality

# OPTIMALITY – AN **EXCHANGE** ARGUMENT

For simplicity, assume that the profit / weight ratios are all distinct, so


$$\frac{p_1}{w_1} > \frac{p_2}{w_2} > \dots > \frac{p_n}{w_n}.$$

Suppose the greedy solution is  $X = (x_1, \dots, x_n)$  and the optimal solution is  $Y = (y_1, \dots, y_n)$ .

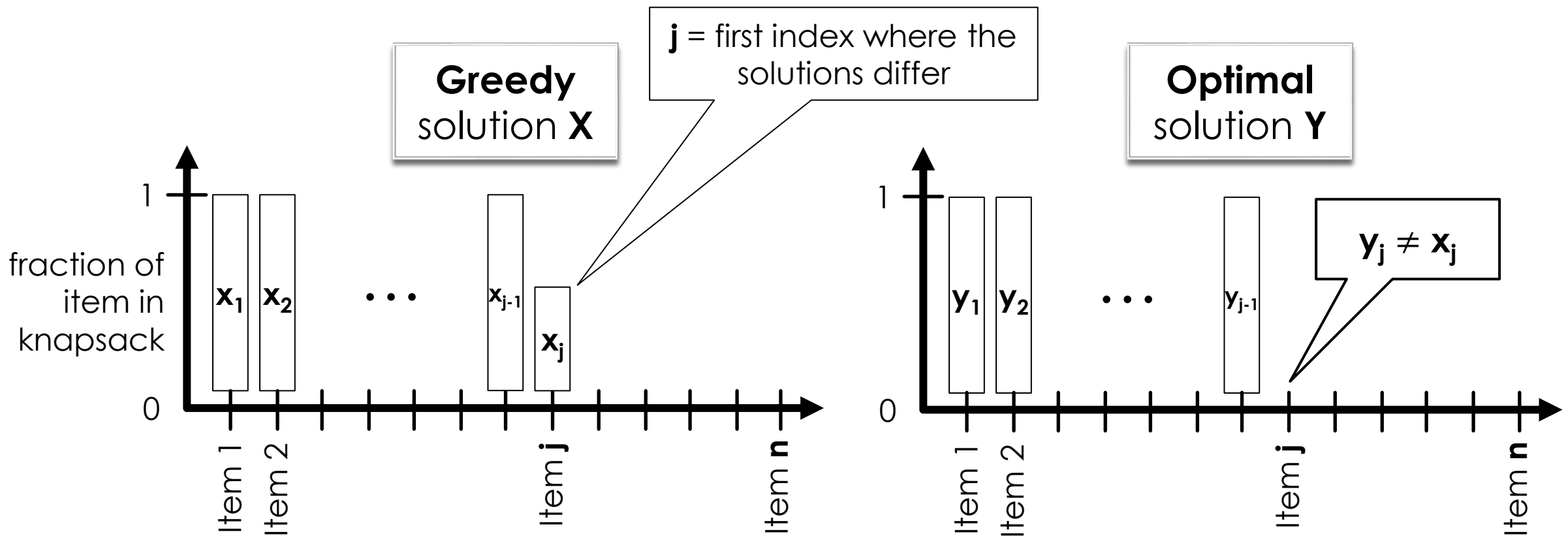
We will prove that  $X = Y$ , i.e.,  $x_j = y_j$  for  $j = 1, \dots, n$ . Therefore there is a unique optimal solution and it is equal to the greedy solution.

Suppose  $X \neq Y$ .  To obtain a contradiction

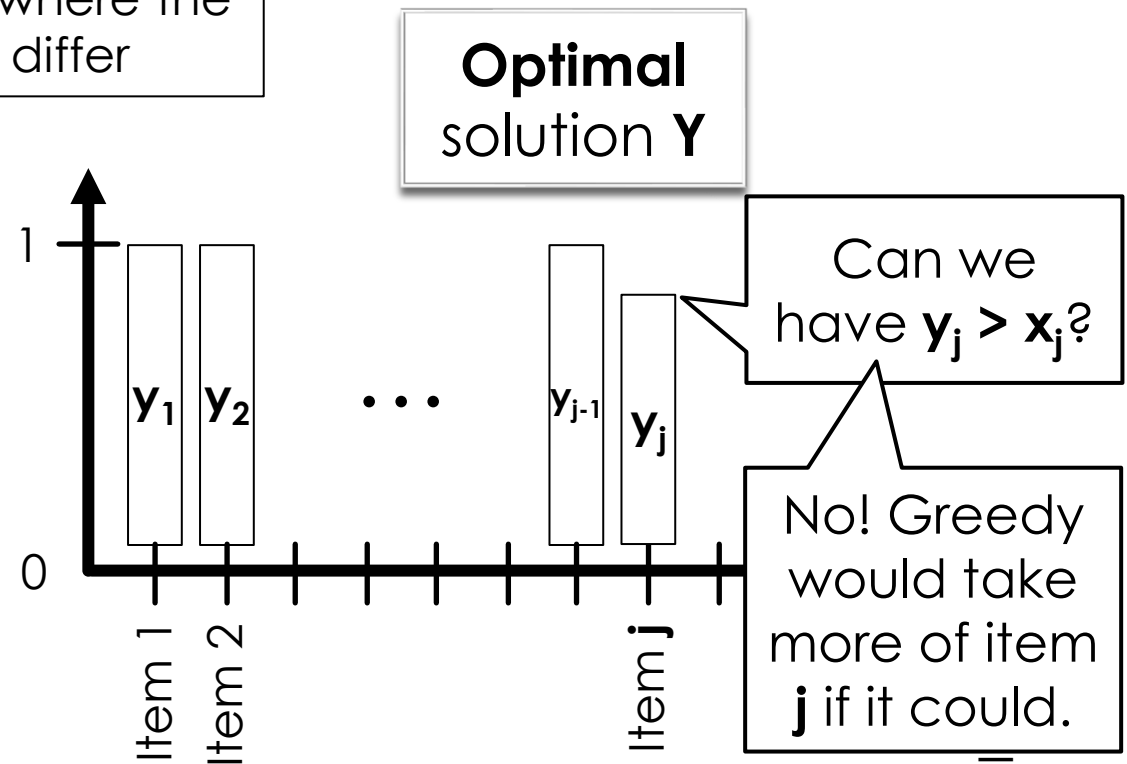
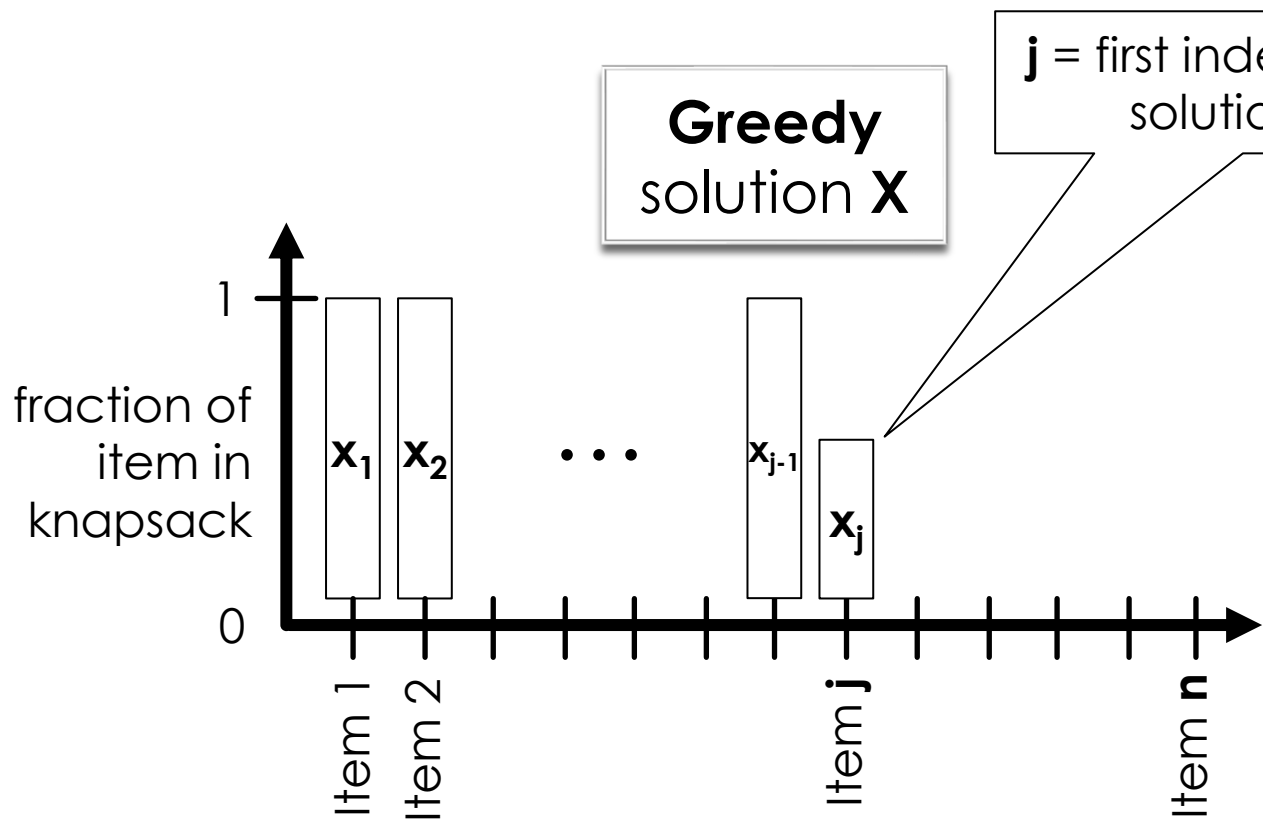
Pick the smallest integer  $j$  such that  $x_j \neq y_j$ .



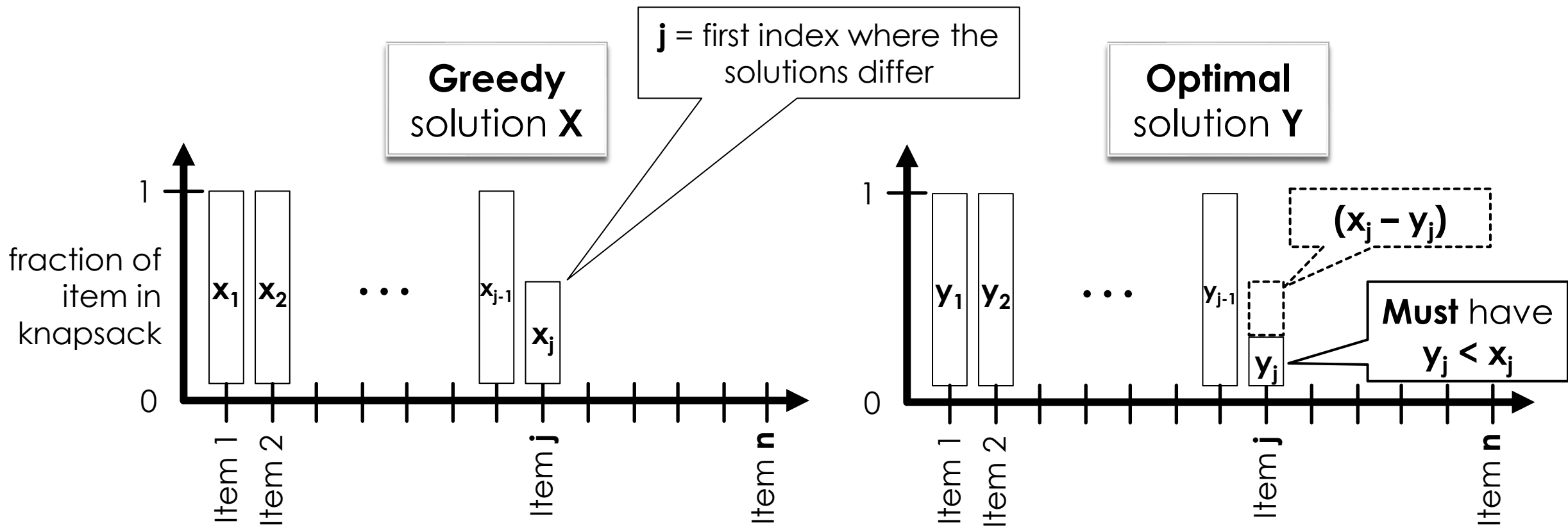
$X$  and  $Y$  are **identical** up to  $x_j$  and  $y_j$ , respectively

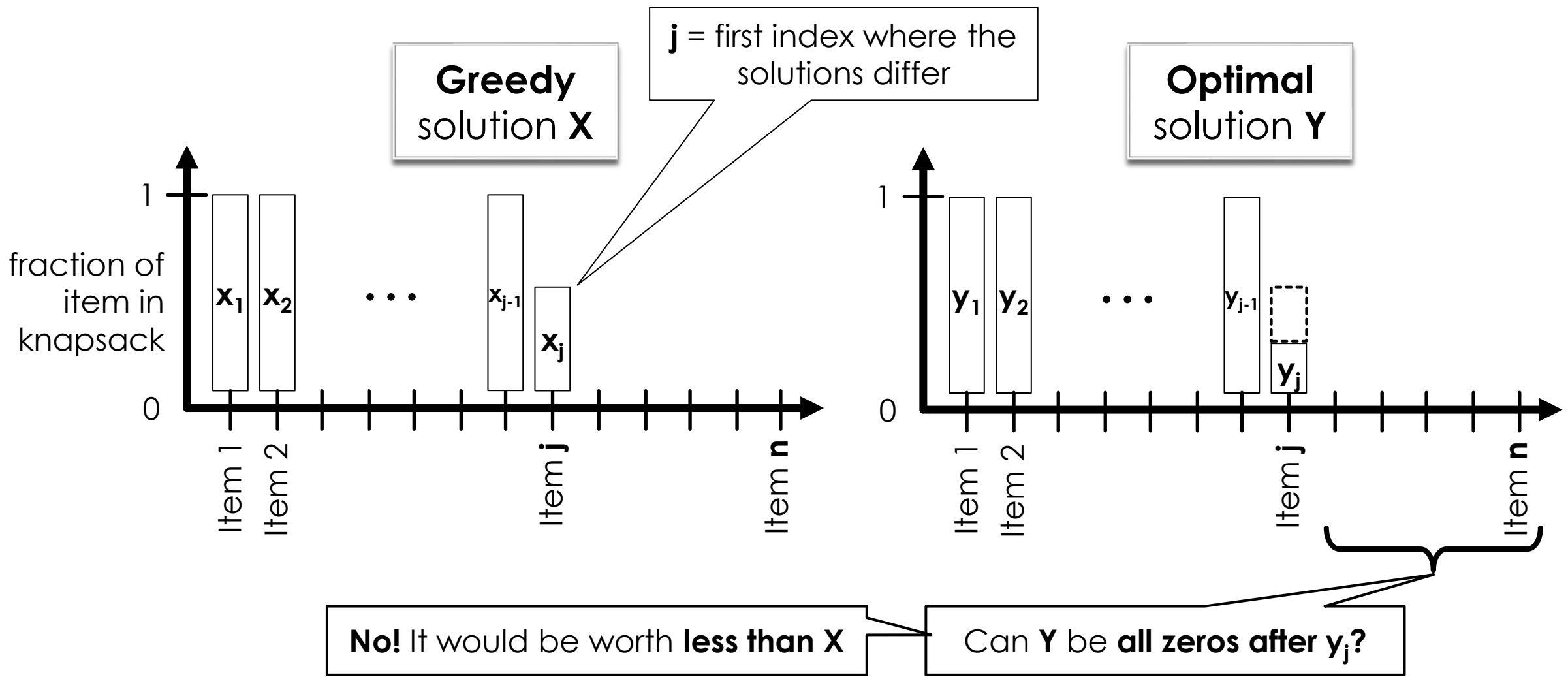


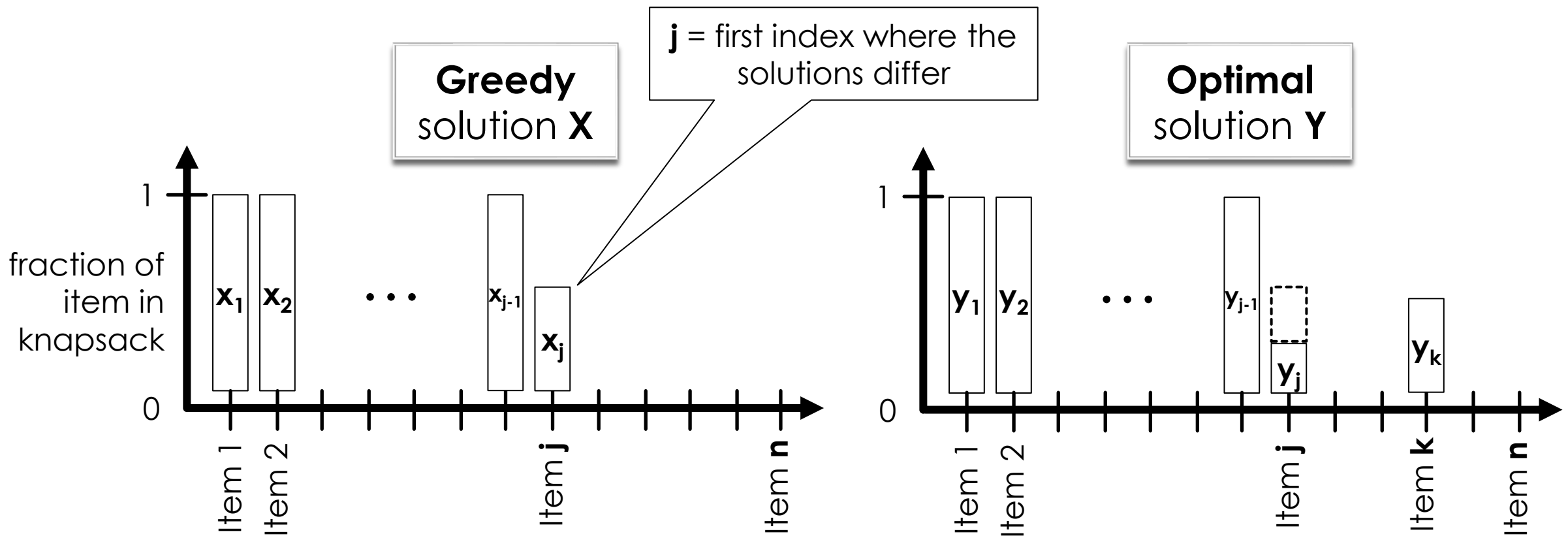
What's the relationship between  $x_j$  and  $y_j$ ?









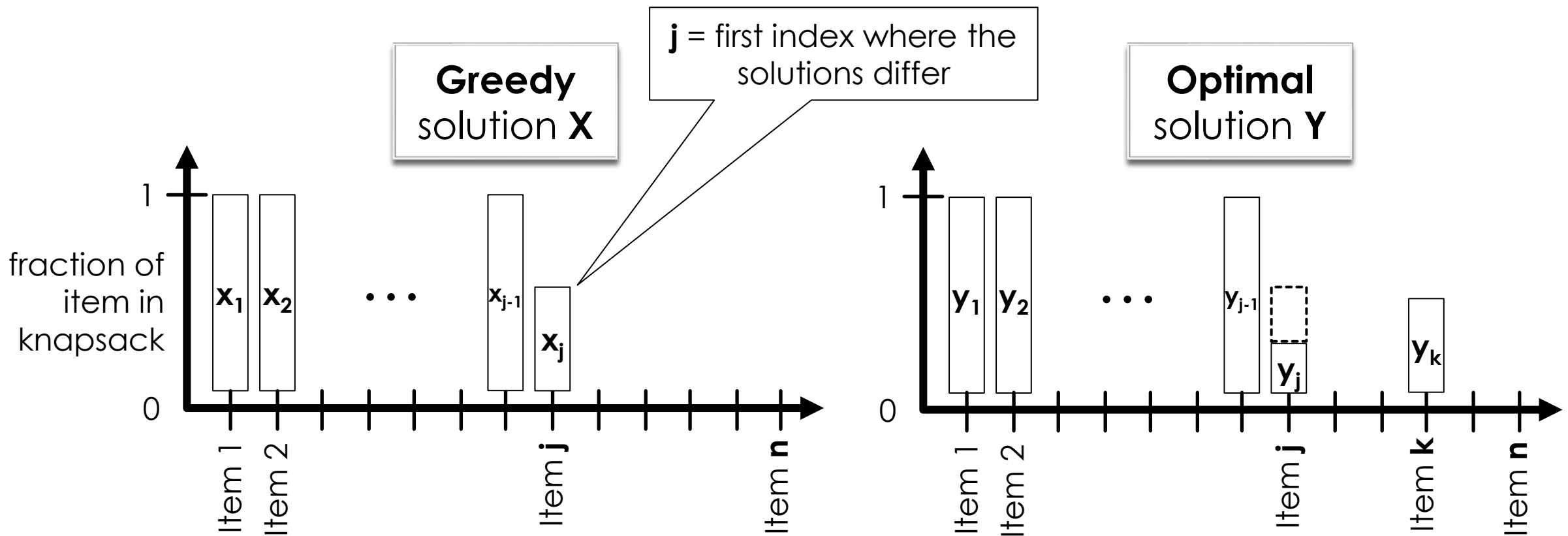


Must exist  $k > j$  such that  $y_k > 0$

**Remove** some of item  $k$  and **replace** it with some of item  $j$ ?

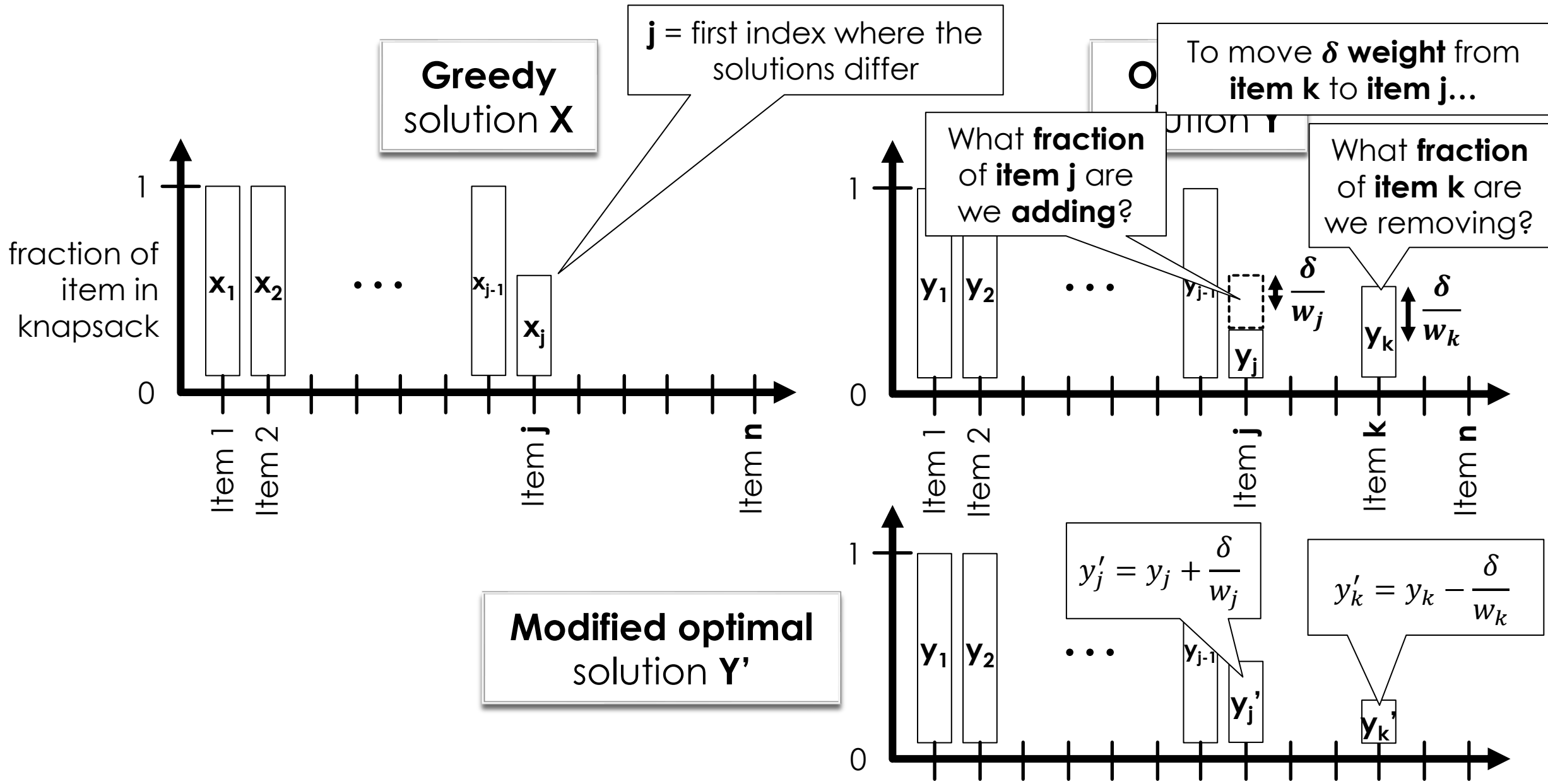
**How much** of item  $k$  should we remove?

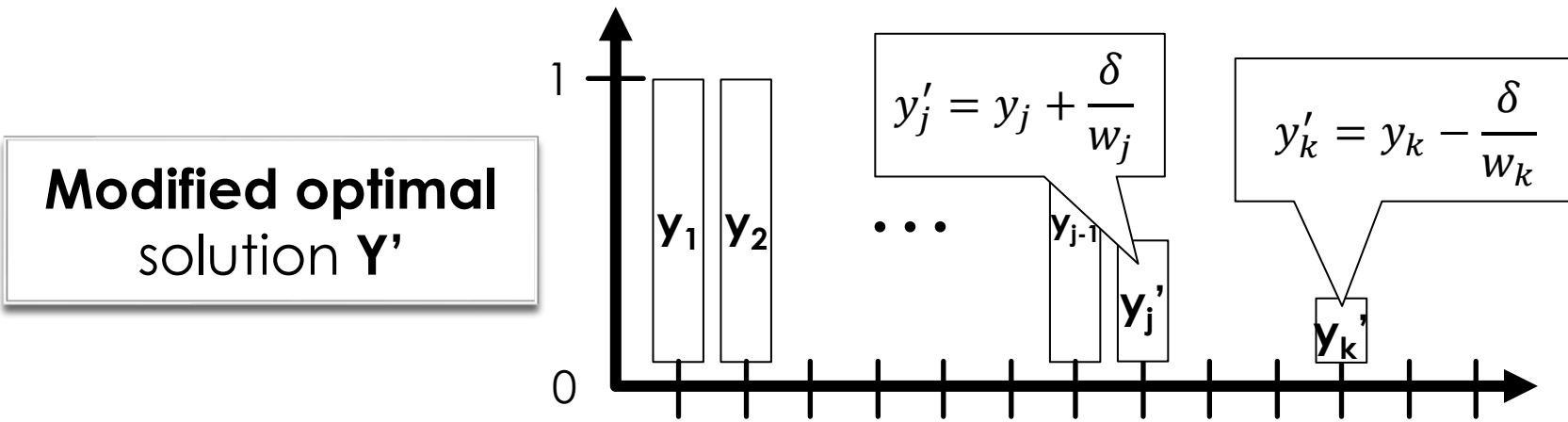
But, by our **sort order**, **item j is worth more** (per unit of weight) than **item k**!



Since item  $j$  is worth **more per unit weight**, replacing **even a tiny amount** of item  $k$  with item  $j$  will improve the solution

So, we remove an infinitesimal  $\delta > 0$  of weight of item  $k$ , and add  $\delta$  weight of item  $j$





The idea is to show that

$Y'$  is feasible, and

$\text{profit}(Y') > \text{profit}(Y)$ .

This contradicts the optimality of  $Y$  and proves that  $X = Y$ .

To show  $Y'$  is feasible, we show  $y'_k \geq 0, y'_j \leq 1$  and  $\text{weight}(Y') \leq M$

# FEASIBILITY OF $Y'$

- To show  $Y'$  is feasible, we show  $y'_k \geq 0, y'_j \leq 1$  and  $weight(Y') \leq M$
- Let's show  $y'_k \geq 0$ 
  - By definition,  $y'_k = y_k - \frac{\delta}{w_k}$
  - So,  $y'_k \geq 0$  iff  $y_k - \frac{\delta}{w_k} \geq 0$  iff  $\delta \leq y_k w_k$
  - And we know  $y_k$  and  $w_k$  are both **positive**
  - So, this constrains  $\delta$  to be smaller than this **positive number**
  - Therefore, it is possible to choose positive  $\delta$  s.t.  $y'_k \geq 0$

Existence proof, but a  
non-constructive one

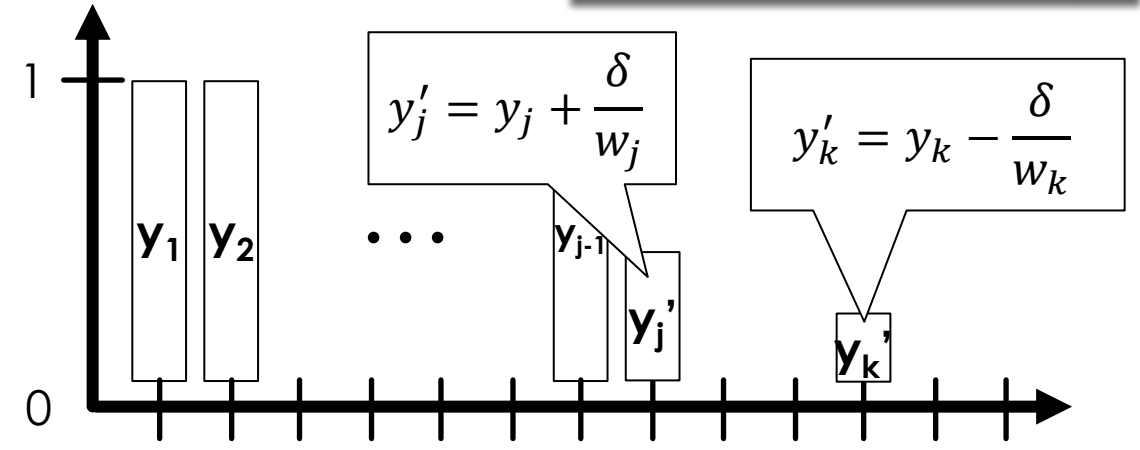
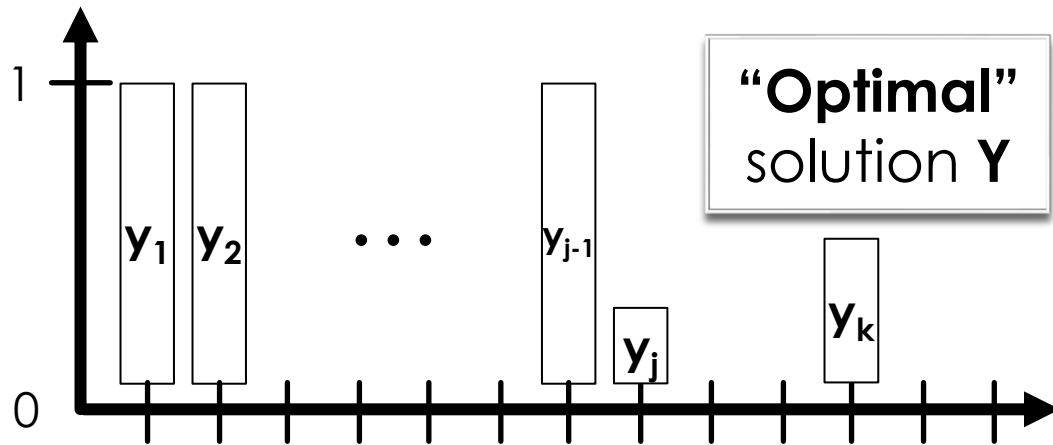
# FEASIBILITY OF $Y'$

- To show  $Y'$  is feasible, we show  $y'_k \geq 0, y'_j \leq 1$  and  $weight(Y') \leq M$
- Now let's show  $y'_j \leq 1$ 
  - By definition,  $y'_j = y_j + \frac{\delta}{w_j}$
  - So,  $y'_j \leq 1$  iff  $y_j + \frac{\delta}{w_j} \leq 1$  iff  $\delta \leq (1 - y_j)w_j$
  - Recall  $y_j < x_j$ , so  $y_j < 1$ , which means  $(1 - y_j) > 0$
  - So, this constrains  $\delta$  to be smaller than some **positive number**



# FEASIBILITY OF $Y'$

- Finally, we show  $weight(Y') \leq M$



- Recall changes to get  $Y'$  from  $Y$ 
  - We move  $\delta$  weight from item  $k$  to item  $j$
  - This does not change the total weight!
- So  $weight(Y') = weight(Y) \leq M$
- Therefore,  $Y'$  is feasible!

# SUPERIORITY OF $Y'$

- Finally we compute  $profit(Y')$

- $profit(Y') = profit(Y) + \frac{\delta}{w_j} p_j - \frac{\delta}{w_k} p_k$

(Fraction of item j **added**)  
× (profit for item j)

- $= profit(Y) + \delta \left( \frac{p_j}{w_j} - \frac{p_k}{w_k} \right)$

(Fraction of item k **removed**)  
× (profit for item k)

- Since j is before k, and we consider items with more profit per unit weight first, we have  $\frac{p_j}{w_j} > \frac{p_k}{w_k}$ .

- So, if  $\delta > 0$  then  $\delta \left( \frac{p_j}{w_j} - \frac{p_k}{w_k} \right) > 0$

- Since we can choose  $\delta > 0$ , we have  $profit(Y') > profit(Y)$ .

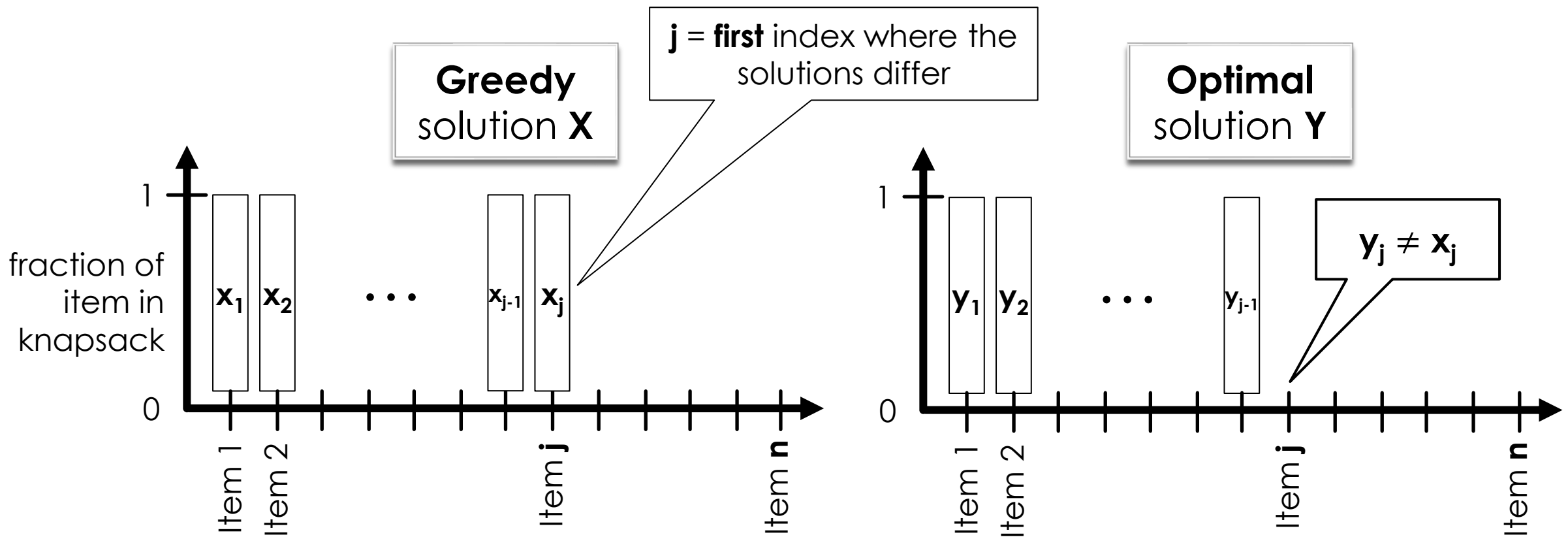
Contradicts optimality of Y!  
So assumption  $X \neq Y$  is bad.  
Therefore, X is optimal.

Covering the next 9  
slides is homework!

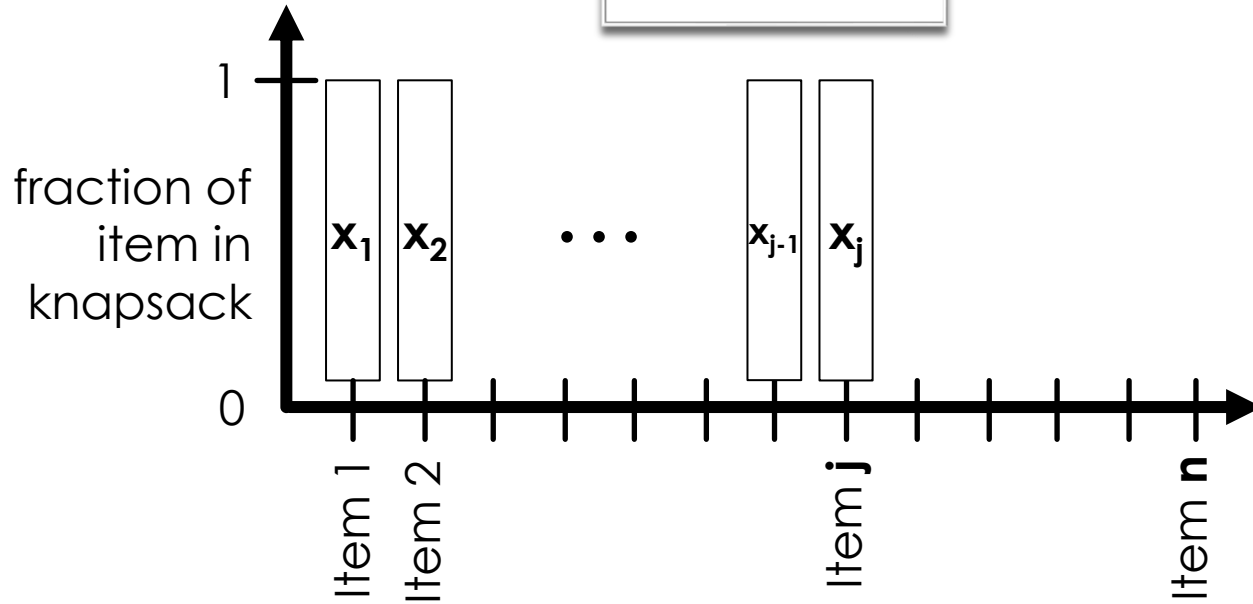
WHAT IF ELEMENTS DON'T HAVE  
DISTINCT PROFIT/WEIGHT RATIOS?

# OPTIMALITY PROOF WITHOUT DISTINCTNESS

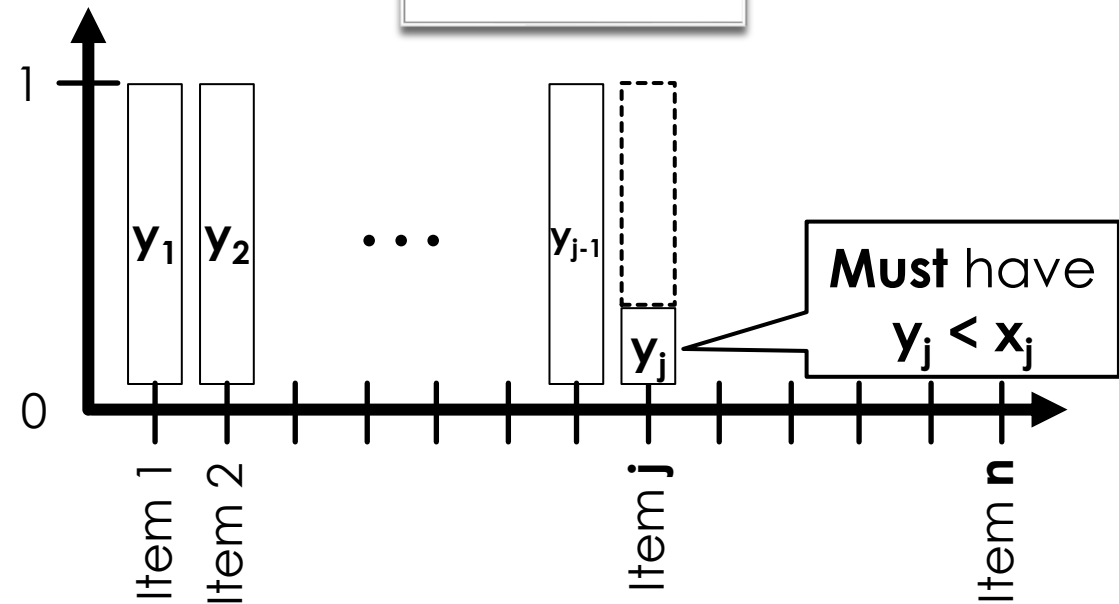
- There may be many optimal solutions
- **Key idea:** Let  $Y$  be an optimal solution that **matches  $X$  on a maximal number of indices**
- **Observe:** if  $X$  is really optimal, then  $Y = X$
- Suppose not for contra
  - We will modify  $Y$ , preserving its optimality, but making it match  $X$  on **one more index** (a contradiction!)



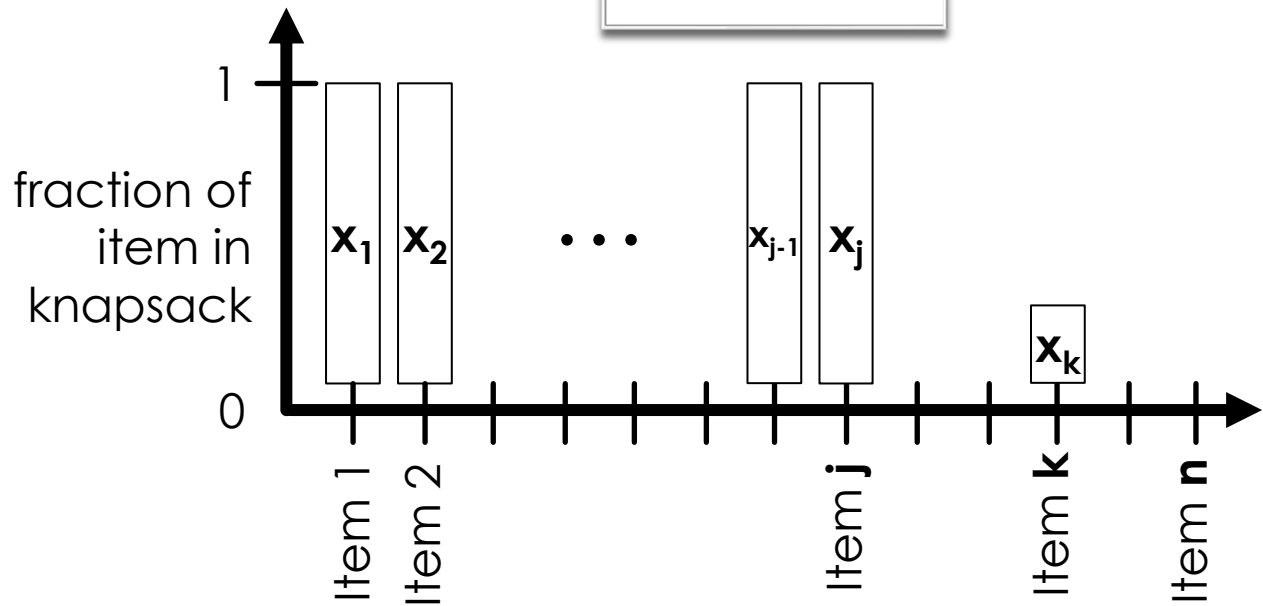
**Greedy**  
solution **X**



**Optimal**  
solution **Y**



**Greedy solution X**

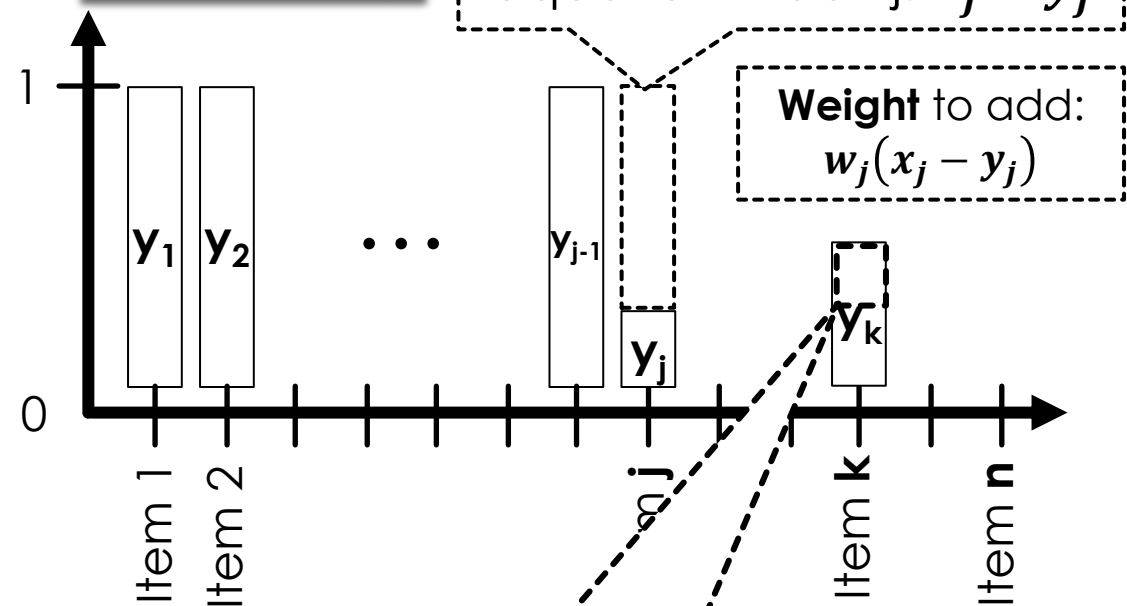


Must exist  $k > j$  such that  $y_k > x_k$  because weight of X and Y must be the same

**Remove** some **weight  $\delta$**  of item **k** and **add** the same weight of item **j**

With the goal of making the solutions **equal on index k or index j**

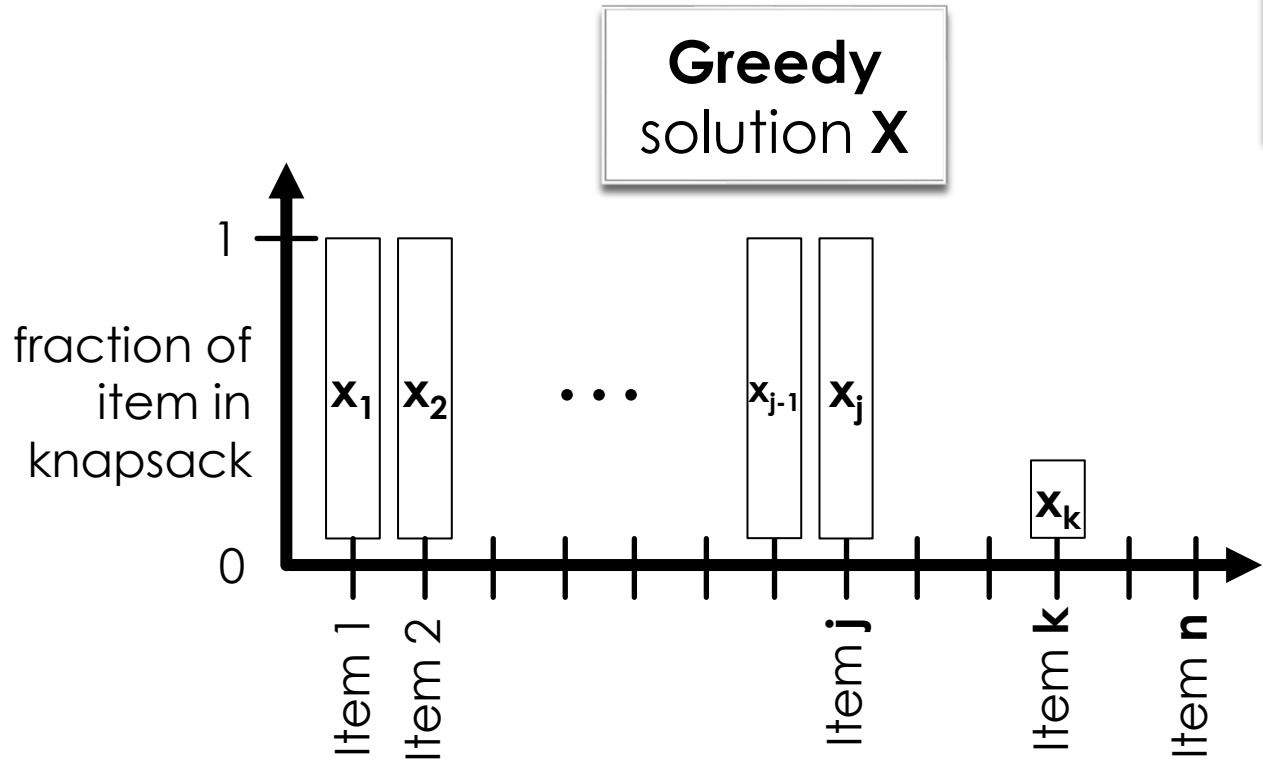
**Optimal solution Y**



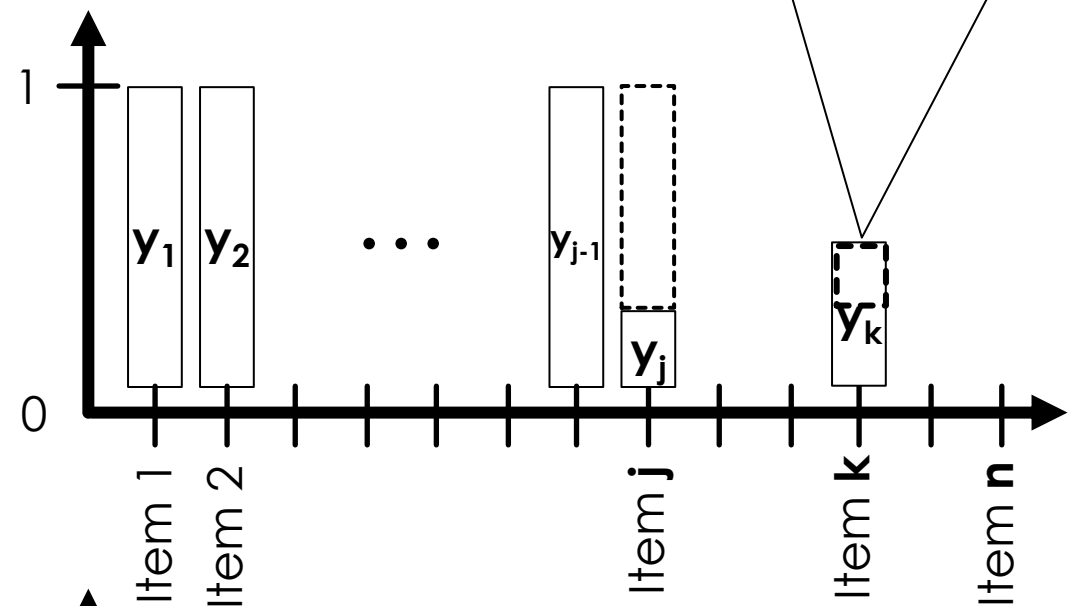
**Fraction** we should **remove** from k to make solutions equal on index k:  $y_k - x_k$

**Weight** to remove:  $w_k(y_k - x_k)$

Let  $\delta = \min\{w_j(x_j - y_j), w_k(y_k - x_k)\}$   
Observe  $\delta > 0$

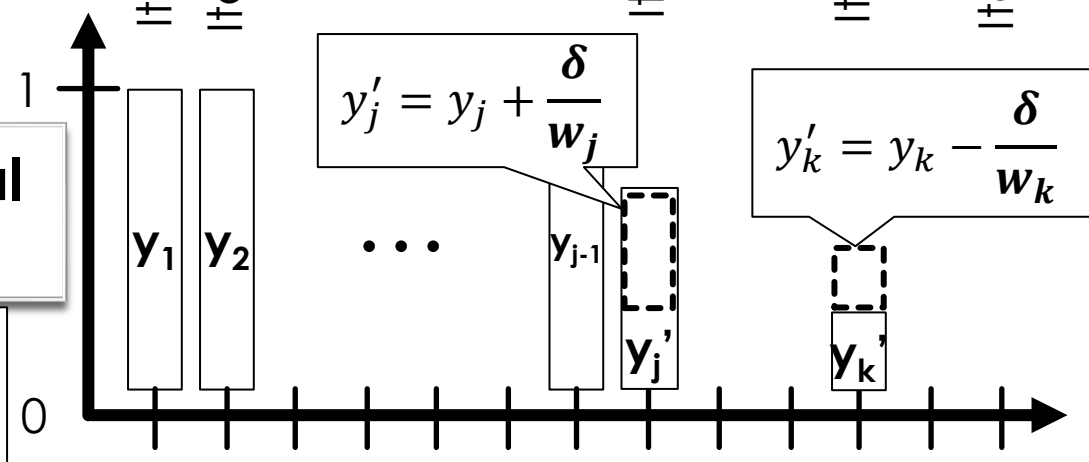


**Optimal solution Y**



Suppose  $\delta = w_k(y_k - x_k)$

**Modified optimal solution Y'**

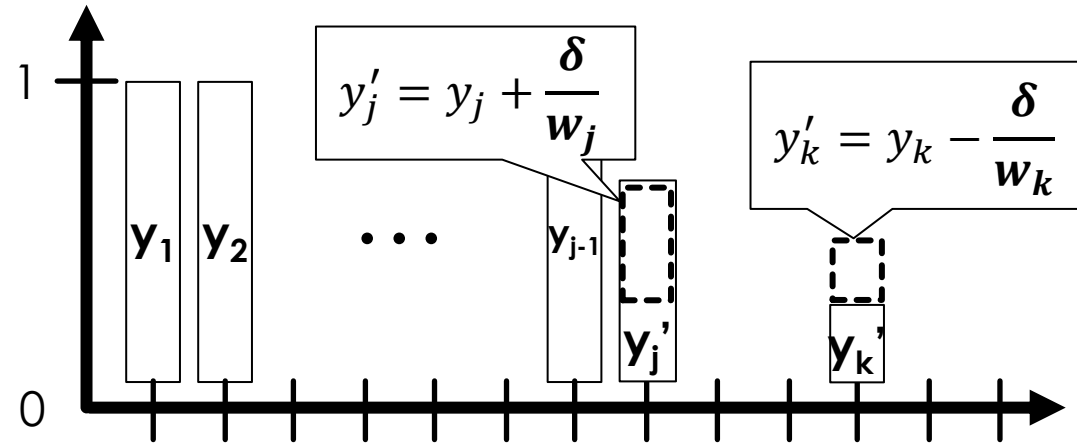


In this case, since  $\delta = w_k(y_k - x_k)$ , we end up with  $y_k' = x_k$

If  $\delta$  were  $w_j(x_j - y_j)$ , we would have  $y_j' = x_j$



**Modified optimal solution  $Y'$**



To show  $Y'$  is feasible, we show  $weight(Y') \leq M$  and  $y_k' \geq 0, y_j' \leq 1$

<b>Weight</b>	We move $\delta$ weight from item $k$ to item $j$ This does not change the total weight! So $weight(Y') = weight(Y) = M$
---------------	--

# FEASIBILITY OF $Y'$

- Showing  $y'_k \geq 0$ 
  - By definition,  $y'_k = y_k - \frac{\delta}{w_k} \geq 0$  iff  $\delta \leq y_k w_k$
  - But  $\delta$  is the **minimum** of  $w_j(x_j - y_j)$  and  $w_k(y_k - x_k) \leq w_k y_k$
  - And  $w_k(y_k - x_k) \leq w_k y_k$  **so**  $\delta \leq y_k w_k$
- Showing  $y'_j \leq 1$ 
  - $y'_j = y_j + \frac{\delta}{w_j} \leq 1$  iff  $\frac{\delta}{w_j} \leq 1 - y_j$  **iff**  $\delta \leq w_j(1 - y_j)$  (rearranging)
  - $\delta \leq w_j(x_j - y_j)$  (definition of  $\delta$ )
  - and  $w_j(x_j - y_j) \leq w_j(1 - y_j)$  (by feasibility of  $X$ , i.e.,  $x_j \leq 1$ )

# PROFIT OF $Y'$

(Fraction of item  $j$  **added**)  $\times$  (profit for entire item)

- $profit(Y') = profit(Y) + \frac{\delta}{w_j} p_j - \frac{\delta}{w_k} p_k = profit(Y) + \delta \left( \frac{p_j}{w_j} - \frac{p_k}{w_k} \right)$
- Since  $j$  is before  $k$ , and we consider items with more profit per unit weight first, we have  $\frac{p_j}{w_j} \geq \frac{p_k}{w_k}$ .
- Since  $\delta > 0$  and  $\frac{p_j}{w_j} \geq \frac{p_k}{w_k}$ , we have  $\delta \left( \frac{p_j}{w_j} - \frac{p_k}{w_k} \right) \geq 0$
- Since  $Y$  is optimal, this **cannot be positive**
- So  $Y'$  is a new optimal solution that **matches  $X$  on one more index than  $Y$**
- Contradiction:  $Y$  matched  $X$  on a **maximal** number of indices!

# SUMMARIZING EXCHANGE ARGUMENTS

- If inputs are distinct
  - So there is a unique optimal solution
  - Let  $O \neq G$  be an optimal solution that beats greedy
  - Show how to change  $O$  to obtain a better solution
- If not
  - There may be many optimal solutions
  - Let  $O \neq G$  be an optimal solution that matches greedy on as many choices as possible
  - Show how to change  $O$  to obtain an optimal solution  $O'$  that matches greedy for even more choices