7.3 Prim's Algorithm

WWW Prim's algorithm is another greedy algorithm that finds a minimal spanning tree in a connected, weighted graph. Unless specified otherwise, all of the weights are assumed to be positive. Unlike Kruskal's algorithm, whose partial solutions are not necessarily connected, a partial solution in Prim's algorithm is a tree.

> Prim's algorithm begins with a start vertex and no edges and then applies the greedy rule: Add an edge of minimum weight that has one vertex in the current tree and the other not in the current tree.

> **Example 7.3.1.** We show how Prim's algorithm finds a minimal spanning tree for the graph G in Figure 7.2.3 assuming that the start vertex is 5.

> Prim's algorithm first selects edge (5,6) since, among all of the edges incident on the start vertex 5, it has minimum weight. Edge (5,6) has one vertex in the current tree and the other not in the current tree.

At the next iteration, possible edges to add are

since each has one vertex in the current tree and the other not in the current tree [see Figure 7.3.1(a)]. Edges (5,1) and (6,3) each have minimum weight 3 and either can be selected; different spanning trees will result, but each will have minimum weight. We arbitrarily assume that (5, 1) is selected.

At the next iteration, possible edges to add are

[see Figure 7.3.1(b)]. Edge (1,3), which has minimum weight 2, is selected. At the next iteration, possible edges to add are

[see Figure 7.3.1(c)]. Notice that (5,3) and (6,3) are no longer candidates for selection because vertices 3, 5, and 6 are all in the tree. Edge (3,4), which has minimum weight 1, is selected.

At the final iteration, possible edges to add are

[see Figure 7.3.1(d)]. Edge (1,2), which has minimum weight 4, is selected. We obtain the minimal spanning shown in Figure 7.3.1(e).

To implement Prim's algorithm, we must keep track of candidate edges to add to the current tree. We can simplify this task if we retain only one minimum weight edge from each vertex not in the current tree to the current tree. For example, Figure 7.3.1(b) shows three edges from vertex 3, which is not in the current tree, to the tree: (3,1) of weight 2, (3,5) of weight 6, and (3,6) of weight 3. We would not select (3,5) or (3,6) because the

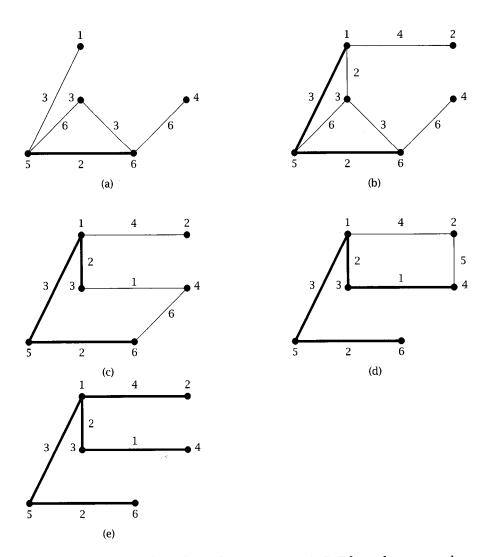


Figure 7.3.1 Prim's algorithm. The start vertex is 5. Edges chosen are shown as thick lines. Candidate edges for selection at the next iteration are shown as thin lines. Edge (5,6) is selected first because, among the edges incident on the start vertex (5,6) has minimum weight. Next [see (a)], among the candidate edges, (5,1), which has minimum weight, is selected. Next [see (b)], among the candidate edges, (1,3), which has minimum weight, is selected. Next [see (c)], among the candidate edges, (3,4), which has minimum weight, is selected. Finally [see (d)], among the candidate edges, (1,2), which has minimum weight, is selected yielding the minimal spanning tree (e).

weight of each exceeds the weight of (3,1). Therefore, we retain only (3,1) as a candidate edge from vertex 3 to the current tree. If we retain only one minimum weight edge from each vertex not in the current tree to the current tree, Figure 7.3.1(b) becomes Figure 7.3.2.

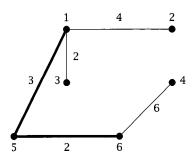


Figure 7.3.2 Modifying Figure 7.3.1(b) to implement Prim's algorithm. Instead of considering *all* edges from vertices not in the current tree to the tree, we consider only a *least weight* edge from each vertex not in the current tree to the tree.

We keep a list h of vertices v not in the tree and the minimum weight of an edge from v to a vertex in the tree. We also maintain an array *parent* that tells us which edges give minimum weights. If (v, w) is an edge of minimum weight where v is not in the tree and w is in the tree, then parent[v] = w.

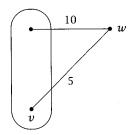
Example 7.3.2. For Figure 7.3.2, the following table shows the list h and the parent of each vertex in h

h		parent[v]
Vertex (v)	Minimum Weight from v to Tree	
2	4	1
3	2	1
4	6	6

The parent array is

$$parent[2] = 1$$
, $parent[3] = 1$, $parent[4] = 6$.

After the vertex v with a minimum weight edge to the tree is deleted from the h list, the vertices still in the h list may need their weights adjusted. For example, if, in the original h list, the weight corresponding to vertex w was 10 but there is an edge from w to v of weight less than 10, say 5, the adjusted weight corresponding to w becomes 5 (see Figure 7.3.3). Thus, after selecting vertex v, we examine each vertex w not in the tree adjacent to v. If the weight of edge (v, w) is less than the weight in the h list corresponding to w, we update the weight corresponding to w to the weight of edge (v, w). We also update parent[w] to v. In order to perform this updating efficiently, we represent the graph using adjacency lists.



Current Tree

Figure 7.3.3 Updating a vertex's weight entry in the h list. Before vertex v was added to the tree, the least weight edge from w to the tree was 10. Since edge (v, w) has weight 5, after v is added to the tree, the weight corresponding to w becomes 5. Also, parent[w] becomes v.

Example 7.3.3. We show a trace of Prim's algorithm for the graph *G* of Figure 7.2.3. We assume that the start vertex is 5.

Initially, t	the h	list and	l parents of	vertices	in h are
--------------	---------	----------	--------------	----------	------------

h		parent[v]	
Vertex (v)	Minimum Weight from v to Tree		
1	3	5	
2	∞	_	
3	6	5	
4	∞	_	
6	2	5	

As shown, if there is no edge from a vertex not in the tree to the tree, we set its weight to ∞ . The *parent* array is

$$parent[1] = 5$$
, $parent[3] = 5$, $parent[5] = 0$, $parent[6] = 5$.

As shown, to indicate the start vertex, we set its parent to zero.

We then select the minimum weight 2 in the h list and delete this entry from the h list, which corresponds to selecting edge (5,6). We then examine all of the vertices adjacent to 6 not in the tree to determine whether any entries in the h list need updating. In this case, vertices 3 and 4 in the h list have their weights adjusted. Since the edge (3,6) has weight 3, but 3's old weight in the h list was 6, vertex 3's weight entry is updated to 3. Similarly, since there is an edge from 4 to 6 of weight 6, 4's weight entry is updated to 6. The h list and parents of vertices in h become

-	h	parent[v]
Vertex (v)	Minimum Weight from v to Tree	
1	3	5
2	∞	_
3	3	6
4	6	6

The parent array becomes

$$parent[1] = 5$$
, $parent[3] = 6$, $parent[4] = 6$, $parent[5] = 0$, $parent[6] = 5$.

Next, we select the minimum weight 3 in the h list and delete this entry from the h list. Since there is a tie, we could select the entry corresponding to either vertex 1 or 3. We arbitrarily choose vertex 1, which corresponds to selecting edge (1,5). We then examine all of the vertices adjacent to 1 not in the tree to determine whether any entries in the h list need updating. In this case, vertices 2 and 3 in the h list have their weights adjusted. The h list and parents of vertices in h become

	h	parent[v]
Vertex (v)	Minimum Weight from v to Tree	
2	4	1
3	2	1
4	6	6

and the parent array becomes

$$parent[1] = 5$$
, $parent[2] = 1$, $parent[3] = 1$, $parent[4] = 6$, $parent[5] = 0$, $parent[6] = 5$.

Next, we select the minimum weight 2 in the h list and delete this entry from the h list, which corresponds to selecting edge (1,3). We then examine all of the vertices adjacent to 3 not in the tree to determine whether any entries in the h list need updating. In this case, vertex 4 in the h list has its weight adjusted. The h list and parents of vertices in h become

h .:		parent[v]
Vertex (v)	Minimum Weight from v to Tree	
2	4	1
4	1	3

and the parent array becomes

$$parent[1] = 5$$
, $parent[2] = 1$, $parent[3] = 1$, $parent[4] = 3$, $parent[5] = 0$, $parent[6] = 5$.

Next, we select the minimum weight 1 in the h list and delete this entry from the h list, which corresponds to selecting edge (3,4). We then examine all of the vertices adjacent to 4 not in the tree to determine whether any entries in the h list need updating. In this case, no vertex has its weight adjusted. The h list and parent of the vertex in h become

	h	parent[v]
Vertex (v)	Minimum Weight from v to Tree	
2	4	1

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and the parent array becomes

```
parent[1] = 5, parent[2] = 1, parent[3] = 1, parent[4] = 3, parent[5] = 0, parent[6] = 5.
```

We select the remaining weight 4 in the h list and delete this entry from the h list, which corresponds to selecting edge (1,2). The h list becomes empty and the *parent* array is unchanged. Prim's algorithm terminates with the minimal spanning tree T shown in Figure 7.2.3.

In Prim's algorithm, we assume that h is an <u>abstract</u> data type that supports the following operations: If key is an array of size n, the expression

```
h.init(key, n)
```

initializes h to the values in key. The expression

```
h.del()
```

deletes the item in h with the smallest weight and returns the corresponding vertex. The expression

```
h.isin(w)
```

returns true if vertex w is in h and false otherwise. The expression

```
h.keyval(w)
```

returns the weight corresponding to vertex w. Finally, the expression

```
h.decrease(w, wgt)
```

changes the weight corresponding to vertex w to wgt (a smaller value).

Algorithm 7.3.4 Prim's Algorithm. This algorithm finds a minimal spanning tree in a connected, weighted, n-vertex graph. The graph is represented using adjacency lists; adj[i] is a reference to the first node in a linked list of nodes representing the vertices adjacent to vertex i. Each node has members ver, the vertex adjacent to i; weight, representing the weight of edge (i, ver); and next, a reference to the next node in the linked list or null, for the last node in the linked list. The start vertex is start. In the minimal spanning tree, the parent of vertex $i \neq start$ is parent[i], and parent[start] = 0. The value ∞ is the largest available integer value.

```
Input Parameters: adj, start

Output Parameter: parent

prim(adj, start, parent) {
    n = adj.last
    // key is a local array
    for i = 1 to n
        key[i] = \infty
    key[start] = 0
    parent[start] = 0
    // the following statement initializes the
    // container h to the values in the array key
```

There are several ways to implement the abstract data type h in Prim's algorithm (Algorithm 7.3.4). One efficient way is to use a binary minheap (see Section 3.5). We analyze the worst-case time of Prim's algorithm assuming that h is implemented using a binary minheap and that the graph has n vertices and m edges. The worst-case time of the various heap operations involved are summarized in Figure 7.3.4 (see Section 3.5 for details).

Operation	Worst-Case Time
init(key, n)	$\Theta(n)$
del()	$\Theta(\lg n)$
isin(w)	$\Theta(1)$
keyval(w)	$\Theta(1)$
decrease(w, ref.weight)	$\Theta(\lg n)$

Figure 7.3.4 The worst-case time for binary minheap operations.

Each for loop takes time $\Theta(n)$. The *init* operation takes time $\Theta(n)$. The delete operation *del*, which takes time $O(\lg n)$, is in a for loop whose time is $\Theta(n)$; thus, the total worst-case time for the delete operations is $O(n \lg n)$. The *total* time for the while loop is $\Theta(m)$ since each iteration of the while loop inspects another node on some adjacency list and there are 2m nodes altogether. Each *isin* and *keyval* operation takes constant time to evaluate. The decrease operation *decrease*, which takes time $O(\lg n)$, is in the while loop whose total time is $\Theta(m)$; thus, the total worst-case time for the decrease operations is $O(m \lg n)$. Since $m \ge n - 1$, the dominant term is $m \lg n$ and the worst-case time is $O(m \lg n)$. [In the following subsection, we show that this estimate is sharp; that is, the worst-case time is $\Theta(m \lg n)$.]

If, instead of using a binary heap to implement Prim's algorithm, we use a Fibonacci heap (see Fredman, 1987), we can improve the worst-case time of Prim's algorithm to $\Theta(m + n \lg n)$.

The proof of correctness of Prim's algorithm is similar to the proof of correctness of Kruskal's algorithm.

Theorem 7.3.5 Correctness of Prim's Algorithm. *Prim's algorithm (Algorithm 7.3.4) is correct; that is, it finds a minimal spanning tree.*

Proof. We use induction to show that, at each iteration of Prim's algorithm, the tree constructed is contained in a minimal spanning tree. It then follows that at the termination of Prim's algorithm, the tree constructed *is* a minimal spanning tree.

When we begin, the tree consists of no edges and is contained in every minimal spanning tree. Thus the basis step is true.

Turning to the inductive step, let T denote the tree constructed by Prim's algorithm prior to another iteration of the algorithm. The inductive assumption is that T is contained in a minimal spanning tree. Let (v, w) be the next edge selected by Prim's algorithm, where v is in T and w is not in T. Let G' be T together with all of the vertices not in T. Then T is a component of G' and (v, w) is a minimum weight edge with one vertex in T and one not in T. By Theorem 7.2.5, when (v, w) is added to G', the resulting graph is also contained in a minimal spanning tree. The inductive step is complete and the theorem is proved.

†I ower Bound Time Estimate

In this subsection, we show that the worst-case time for Prim's algorithm using a binary heap is $\Theta(m \lg n)$, where m denotes the number of edges and n denotes the number of vertices.

The bottleneck is the decrease operation

h.decrease(w, ref.weight)

To obtain worst-case time, we must construct a graph in which the decrease operation takes time $\Theta(\lg i)$ sufficiently often when the heap contains i vertices. We can guarantee such behavior if the next vertex's key to decrease has the maximum key in the heap which is then decreased so that it becomes the smallest key in the heap (in which case the vertex moves from a terminal node in the heap to the root). We construct such a graph with $n \geq 4$ vertices and $m \geq 4n$ edges as follows. [If m < 4n, for any graph the worst-case time T satisfies

 $T \geq C n \lg n \geq \frac{C}{4} m \lg n = \Omega(m \lg n).$

The first inequality results from the fact that any implementation of Prim's algorithm that uses comparisons of weights can sort an array of size $\Theta(n)$, and, so, has worst-case time $\Omega(n \lg n)$ (see Exercise 15).]

Our graph G has vertices 1, 2, ..., n. For i = 1, ..., n - 1, we construct edges (i, i + 1) of weight 1 (see Figure 7.3.5). We next construct edges

$$(1, n), (1, n - 1), \dots, (1, 4), (1, 3)$$

of decreasing weight. We next construct edges

$$(2, n), (2, n - 1), \dots, (2, 5), (2, 4)$$

[†]This subsection can be omitted without loss of continuity.

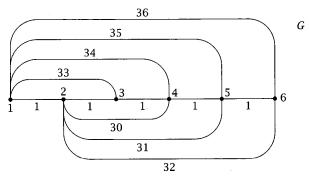


Figure 7.3.5 Part of the graph G with n=6 vertices for input to Prim's algorithm. The edges shown as curves are given the weights $n^2, n^2-1, n^2-2, \ldots$, which here become $36,35,\ldots$. This graph produces worst-case time $\Theta(m \lg n)$. After vertices 1 and 2 are deleted from the heap, the heap contains keys 33,34,35,36 (the original minimum weights of edges from vertices 3,4,5,6 to vertex 1). We then examine the edges (2,6),(2,5),(2,4),(2,3) in this order. Since the weight of (2,6) is 32, 6's key is decreased from 36 to 32. Since 36 was the largest key and 32 will become the smallest key, vertex 6 moves from a terminal vertex in the heap to the root, which takes time at least $C \lg (n-2)$. Similarly, when keys 35,34,33 are decreased, they too each take time at least $C \lg (n-2)$. The total time to decrease these keys is at least $C(n-2) \lg (n-2)$.

of decreasing weight, where the weight of (2,n) is less than the weight of (1,3). We continue in this way, stopping when m edges have been constructed. We assume that the weights assigned in this part of the construction are, in order, $n^2, n^2 - 1, n^2 - 2, \ldots$

Suppose that G is input to Prim's algorithm and that the start vertex is 1. After 1 is deleted from the heap and the keys are decreased, we have

Vertex	Minimum Weight to Tree
2	1
3	$n^2 - (n-3)$
4	$n^2 - (n-4)$
:	:
n - 2	$n^2 - 2$
n - 1	$n^2 - 1$
n	n^2

Vertex 2 is deleted next. Assume that when the keys are decreased, the edges are examined in the order

$$(2, n), (2, n - 1), \dots, (2, 4), (2, 3).$$

After vertex 2 is deleted from the heap, n's key is largest. Therefore, it is a terminal vertex in the heap. Since its new value is less than any of the current

keys, the time to decrease n's key is at least $C \lg (n-2)$ for some constant C. Now (n-1)'s key is largest. Therefore, it is a terminal vertex in the heap. Since its new value is less than any of the current keys, the time to decrease (n-1)'s key is also at least $C \lg (n-2)$. Similarly, the time to decrease each of the other keys is also at least $C \lg (n-2)$. The total time to decrease the keys (if all of these edges are present) is at least $C (n-2) \lg (n-2)$.

Vertex 3 is deleted next. Assume that when the keys are decreased, the edges are examined in the order

$$(3, n), (3, n - 1), \ldots, (3, 5), (3, 4).$$

Arguing as in the preceding paragraph, we see that the time to decrease each of the keys is at least $C \lg(n-3)$, and the total time to decrease the keys (if all of these edges are present) is at least $C(n-3) \lg(n-3)$.

Let *T* be the time for all of the decrease operations for our graph *G*. Then

$$T \ge C[(n-2)\lg(n-2) + (n-3)\lg(n-3) + \cdots + (k+1)\lg(n-p)],$$

where the last edges constructed were k edges of the form (p,i). (The inequality could be strict since the right side may not account for all of the keys that eventually decrease to 1.) We show that

$$T \geq \frac{C}{2} m \lg \left(\frac{n-2}{2} \right).$$

First, suppose that $n - p \ge \lceil (n-2)/2 \rceil$. Then

$$T \geq C[(n-2)\lg(n-2) + (n-3)\lg(n-3) + \dots + (k+1)\lg(n-p)]$$

$$\geq C[(n-2)\lg\left\lceil\frac{n-2}{2}\right\rceil + \dots + (k+1)\lg\left\lceil\frac{n-2}{2}\right\rceil]$$

$$\geq C[(n-2) + \dots + (k+1)]\lg\left\lceil\frac{n-2}{2}\right\rceil$$

$$\geq C[(n-3) + \dots + k)]\lg\left(\frac{n-2}{2}\right).$$

Since the sum

$$(n-3)^2+\cdots+k$$

counts all of the edges except those of weight 1 and those incident on vertex 1,

$$(n-3) + \cdots + k = m - (n-1) - (n-2).$$

Because $m \ge 4n$,

$$m-(n-1)-(n-2)\geq \frac{m}{2}$$

(see Exercise 12). It follows that

$$T \geq \frac{C}{2} m \lg \left(\frac{n-2}{2} \right).$$

Now suppose that $n - p < \lceil (n-2)/2 \rceil$. In this case,

$$T \geq C[(n-2)\lg(n-2) + (n-3)\lg(n-3) + \dots + (k+1)\lg(n-p)]$$

$$\geq C\left[(n-2)\lg(n-2) + \dots + \left\lceil \frac{n-2}{2} \right\rceil \lg \left\lceil \frac{n-2}{2} \right\rceil \right]$$

$$\geq C\left[(n-2)\lg \left\lceil \frac{n-2}{2} \right\rceil + \dots + \left\lceil \frac{n-2}{2} \right\rceil \lg \left\lceil \frac{n-2}{2} \right\rceil \right]$$

$$\geq C\left[(n-2) + \dots + \left\lceil \frac{n-2}{2} \right\rceil \right] \lg \left(\frac{n-2}{2} \right)$$

$$\geq \frac{C}{2} m \lg \left(\frac{n-2}{2} \right).$$

The last inequality follows from the inequality

$$(n-2)+\cdots+\left\lceil\frac{n-2}{2}\right\rceil\geq\frac{n(n-1)}{4},$$

which holds for $n \ge 4$ (see Exercise 13), and the fact that the maximum number of edges in the graph is n(n-1)/2.

In either case, we have

$$T \geq \frac{C}{2} m \lg \left(\frac{n-2}{2} \right) = \Omega(m \lg n).$$

We showed earlier that the worst-case time of Prim's algorithm using a binary heap is $O(m \lg n)$. It follows that the worst-case time of Prim's algorithm using a binary heap is $\Theta(m \lg n)$.

Exercises

- **1S.** Trace Prim's algorithm for the graph of Exercise 1, Section 7.2. Assume that the start vertex is 1.
- **2.** Trace Prim's algorithm for the graph of Exercise 2, Section 7.2. Assume that the start vertex is 8.
- **3.** Trace Prim's algorithm for the graph of Exercise 3, Section 7.2. Assume that the start vertex is 11.
- **4S.** Write an algorithm whose input is the *parent* array constructed by Prim's algorithm and whose output is a list of the edges in the minimal spanning tree constructed by Prim's algorithm.
 - **5.** Explain why we can't eliminate the *parent* array in Algorithm 7.3.4 and replace the statement

$$parent[w] = v$$

with

$$println(v + "" + w)$$

- **6.** What is the worst-case time (in terms of *n*) of Prim's algorithm when the input is the complete graph on *n* vertices? Assume that *h* is implemented using a binary minheap.
- **7S.** What is the worst-case time of Prim's algorithm if *h* is implemented using an array that is always sorted from largest to smallest weight?
 - **8.** What is the worst-case time of Prim's algorithm if *h* is implemented using an unsorted array?
- **9.** Are there graphs for which Prim's algorithm is faster than Kruskal's algorithm?
- **10S.** Are there graphs for which Prim's algorithm is slower than Kruskal's algorithm?
 - 11. Provide an implementation of Prim's algorithm that uses an adjacency matrix instead of adjacency lists. What is the worst-case time of your algorithm? Assume that h is implemented using a binary minheap.
 - 12. Show that if $m \ge 4n$,

$$m-(n-1)-(n-2)\geq \frac{m}{2}.$$

13S. Show that if $n \ge 4$,

$$(n-2) + (n-3) + \cdots + \left\lceil \frac{n-2}{2} \right\rceil \ge \frac{n(n-1)}{4}.$$

- 14. Show that any implementation of Prim's algorithm must examine each edge's weight at least once, and thus has time $\Omega(m)$.
- 15. Show that any implementation of Prim's algorithm that uses comparisons of weights can sort an array of size $\Theta(n)$ and, so, has worst-case time $\Omega(n \lg n)$.

7.4 Dijkstra's Algorithm 代克思托

The map in Figure 7.4.1(a) shows six cities and the time in minutes to drive between cities that are directly connected by a road. A computer technician based in Riverview, who is desperately needed in Wolf, must find the quickest route from Riverview to Wolf.

WWW The map in Figure 7.4.1(a) can be considered a graph [see Figure 7.4.1(b)] in which the cities become vertices, the roads become edges, and the times