CS 409: Data Structures and Algorithms

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There's a handout that tells you everything you need to know for now about the course structure:

- TAs and consultants
- Office hours
- Grading
- Text
- How to find out more
  - Check the course web site and newsgroup!

What's It All About?

In a nutshell:

- designing and analyzing algorithms for solving computational problems.

Such algorithms deal with *data*.

- That means we need good *data structures*
  - ways of storing and accessing the data to make the algorithm efficient

We consider some key data structures and efficient ways of implementing them:

- stacks, queues, linked lists, hash tables, binary search trees, binomial heaps, ...

Data structures are the building blocks for many algorithms, so it's worth optimizing them.

We apply data structures to important problems (graph algorithms, sorting, prioritizing, string matching, ...)

Programming is an important component of this course!

Required Background

I will assume you know basic properties of:

- Basic functions ($\lfloor x \rfloor$, $\lg n$, 2^n, $n!$) (Ch. 2.2)
- Summations (Ch. 3)
  - Summation notation: $\Sigma_{k=1}^{n} k$
  - Technique for bounding sums: $\Sigma_{k=1}^{n} k < n^2$.
    - including approximation by integrals
- Sets, relations, functions, graphs, trees (Ch. 5)
  - manipulating intersection, union, complement
  - reflexive, symmetric, transitive relations
  - injection, bijection, one-to-one correspondence
  - degree, connected component, (un)directed graph
  - binary trees
- Counting and Probability (Chapter 6.1-6.4)
  - choosing k out of n
  - axioms of probability
  - conditional probability and independence
  - expected value
  - binomial distribution

A word to the wise:

- Review this material NOW!
- Make sure you can do all the review problems
- See me or someone else on staff if you can't

CS211 is a prerequisite for the course.

- There is some overlap in topics covered
  - I will cover some topics in greater depth (e.g., hashing) , and briefly review others (e.g., breadth-first and depth-first search)

CS280 is also a prerequisite:

- You need to know how to do induction
- We will cover Minimum Spanning Trees and Dijkstra's algorithm (sometimes done in CS280)

An Example: Sorting

Given: A sequence of n numbers $\langle a_1, \ldots, a_n \rangle$

Output: A permutation (reordering) $\langle a'_1, \ldots, a'_n \rangle$ such that $a'_1 \leq \ldots \leq a'_n$.

A naive (but common) approach: Insertion Sort.

- Assume we've sorted the first k elements; put the $(k+1)$st element into the right place by comparing it until we find the right place for it.

Suppose $A = \langle a_1, \ldots, a_n \rangle$ is an array to be sorted.

- $A[i] = a_i$

INSERTION-SORT(A)

```
for j ← 2 to length[A]
   do key ← A[j]
        ▷ Insert A[j] into sorted sequence A[1..j − 1].
      i ← j − 1
      while i > 0 and A[i] > key
         do A[i + 1] ← A[i]
         i ← i − 1
      A[i + 1] ← key
```

Suppose $A = \langle 5, 2, 4, 6, 1 \rangle$.

5 2 4 6 1 $\quad j = 2$; $key = 2$

2 5 4 6 1 $\quad j = 3$; $key = 4$

2 4 5 6 1 $\quad j = 4$; $key = 6$

2 4 5 6 1 $\quad j = 5$; $key = 1$

1 2 4 5 6

Running Time of Insertion Sort

Assume step i in the algorithm "costs" c_i

Let t_j be number of times jth inner loop is executed

- t_j depends on the input A
- best case: $t_j = 1$
- worst case: $t_j = j$

1	**for** $j \leftarrow 2$ **to** *length*$[A]$	c_1	n
2	**do** *key* $\leftarrow A[j]$	c_2	$n-1$
3	$\triangleright$ Insert $A[j]$ into sorted sequence $A[1..j-1]$.	0	$n-1$
4	$i \leftarrow j-1$	c_4	$n-1$
5	**while** $i > 0$ and $A[i] > key$	c_5	$\Sigma_{j=2}^{n} t_j$
6	**do** $A[i+1] \leftarrow A[i]$	c_6	$\Sigma_{j=2}^{n}(t_j - 1)$
7	$i \leftarrow i-1$	c_7	$\Sigma_{j=2}^{n}(t_j - 1)$
8	$A[i+1] \leftarrow key$	c_8	$n-1$

Let $T(A)$ be the running time on input A:

$$T(A) = c_1 n + (c_2 + c_4 + c_8 - c_6 - c_7)(n-1) + (c_5 + c_6 + c_7) \sum_{j=1}^{n-1} t_j$$

$$T(A) = c_1 n + (c_2 + c_4 + c_8 - c_6 - c_7)(n-1) + (c_5 + c_6 + c_7) \sum_{j=1}^{n-1} t_j$$

Best case: $t_j = 1$

$$\begin{aligned} T(A) &= c_1 n + (c_2 + c_4 + c_5 + c_8)(n-1) \\ &= (c_1 + c_2 + c_4 + c_5 + c_8)n - (c_2 + c_4 + c_5 + c_8) \end{aligned}$$

Worst case: $t_j = j$

$$\begin{aligned} T(A) &= (c_5 + c_6 + c_7) \textstyle\sum_{j=2}^{n-1} j + \cdots \\ &= (c_5 + c_6 + c_7)(\frac{n(n+1)}{2} - 1) + \cdots \end{aligned}$$

- Quadratic is OK if n is 5, 10, 100.
- But what if $n = 1,000,000$?

Average case:

- When we insert $A[j]$, roughly half the elements in $A[1..j-1]$ will be greater that $A[j]$, and half will be less.
  - $t_j \sim j/2$
- Average case is still quadratic

Designing Algorithms

Insertion sort uses an *incremental* approach:

- We insert a single element into $A[1..j]$.

We can do better using “divide-and-conquer”

- *Divide* each problem into smaller subproblems (typically about half the size of the original)
- *Conquer* each subproblem
- *Combine* the solutions

Merge Sort

Merge sort is a sorting algorithm that uses divide and conquer.

- *Divide* the sequence to be sorted into two subsequences of size $n/2$
- *Conquer*: sort the two subsequence (recursively)
- *Combine*: merge the resulting sequences

Suppose A is an array of length n, $1 \leq p \leq r \leq n$:

$\textsc{Merge-Sort}(A, p, r)$

if $p < r$
    then $q \leftarrow \lfloor (p + r)/2 \rfloor$
        $\textsc{Merge-Sort}(A, p, q)$
        $\textsc{Merge-Sort}(A, q + 1, r)$
        $\textsc{Merge}(A, p, q, r)$

Analysis of Merge-Sort

```
MERGE-SORT(A, p, r)

if p < r
   then q ← ⌊(p + r)/2⌋
        MERGE-SORT(A, p, q)
        MERGE-SORT(A, q + 1, r)
        MERGE(A, p, q, r)
```

If $m = r - p + 1$, define

- $T(m)$ = the worst-case time for MERGE-SORT(A, p, r)
- $U(m)$ = be the worst-case time for MERGE(A, p, q, r)

$$T(m) = \begin{cases} c_1 & \text{if } m = 1 \\ 2T(\lceil m/2 \rceil) + U(m) & \text{if } m > 1 \end{cases}$$

Not hard to show that $U(m) = \Theta(m)$

It follows that $T(n) = \Theta(n \lg n)$ ($\lg = \log_2$)

- This is much better than $\Theta(n^2)$ for large n!

What We'll Cover

- Data structures (Chapters 7, 11–14, 22)
    - Stacks, queues, linked lists
    - Hashing
    - Binary search trees, red-black trees (maybe)
    - Heaps
- Algorithm design techniques (Chapters 16–18)
    - dynamic programming
    - greedy algorithms
    - amortized analysis
- Graph algorithms (Chapters 23–25, 27)
    - Strongly connected components
    - Minimum spanning tree
    - Shortest paths (Dijkstra's algorithm)
    - Maximum flow

- NP-completeness (Chapter 36)
- If there's time:
  - String Matching (Chapter 34)
  - The RSA cryptosystem (Chapter 33.7)

This week:

- Technical background
  - Asymptotic growth (big O,Θ,Ω) (Chapter 2.1)
  - Recurrences (Chapter 4.1, 4.3)
  - A little probability

Asymptotic Notation

We measure the efficiency of an algorithm as a function of the input size.

- Want to describe the efficiency succinctly

Some useful notation:

- $T(n) = O(g(n))/\Omega(g(n))/\Theta(g(n))$ if there is a constant c such that $cg(n)$ is asymptotically an upper/lower/tight bound for $T(n)$
  - $T(n) = \Theta(g(n))$ iff $T(n) = O(g(n))$ and $T(n) = \Omega(g(n))$.

We won't cover $o(g(n))$, $\omega(g(n))$.

Formally, $\Theta(g(n))$, $O(g(n))$, and $\Omega(g(n))$ are sets of functions:

- $\Theta(g(n)) = \{f(n) : \exists c_1, c_2 > 0, n_0$
  $(c_1 g(n) \leq f(n) \leq c_2 g(n)$ for $n \geq n_0)\}$
- $O(g(n)) = \{f(n) : \exists c_2 > 0, n_0(f(n) \leq c_2 g(n)$ for $n \geq n_0)\}$
- $\Omega(g(n)) = \{f(n) : \exists c_1 > 0, n_0(c_1 g(n) \leq f(n)$ for $n \geq n_0)\}$

Example: $2n^2 + 3n + 1 = \Theta(n^2) = 2n^2 + \Theta(n)$.

- Clearly $2n^2 \leq 2n^2 + 3n + 1 \leq 3n^2$ for $n \geq 4$
  - Since $n^2 \geq 3n + 1$ if $n \geq 4$
- Also $2n^2 + 3n \leq 2n^2 + 3n + 1 \leq 2n^2 + 4n$

More generally, if $a > 0$,

$$an^2 + bn + c = \Theta(n^2) = an^2 + \Theta(n)$$

Example: $6n^3 \neq \Theta(n^2)$; $6n^3 = \Omega(n^2)$.

- Really should say $6n^3 \notin \Theta(n^2)$; $6n^3 \in \Omega(n^2)$.

The O, Θ, Ω notation ignores constants.

- The constants depend on the machine, details of implementation
- Improving the constants is good but ...
- Improving $\Theta(\ldots)$ is better
  - It gives us a better indication of how the problem scales
  - $\Theta(\lg n) < \Theta(\lg^2 n) < \Theta(n) < \Theta(n \lg n) < \Theta(n^2) < \Theta(2^n)$

Recurrences

A *recurrence* is a relation that describes a function in terms of its value on smaller inputs.

$$T(m) = \begin{cases} c_1 & \text{if } m = 1 \\ 2T(\lceil m/2 \rceil) + c_2 m & \text{if } m > 1 \end{cases}$$

Recurrences arise frequently when computing the running time of a recursive algorithm.

- Often stated without $\lceil\,\rceil$, $\lfloor\,\rfloor$

How do we solve them?

- Guess and verify by induction (substitution method)
- Apply master theorem

We won't cover iteration method.

The Substitution Method

$$T(n) = \begin{cases} c_1 & \text{if } m = 1 \\ 2T(n/2) + n & \text{if } m > 1 \end{cases}$$

Guess $T(n) \leq cn\lg(n)$ (for some c:)

Verify:

$$\begin{aligned} T(n) &= 2T(n/2) + n \\ &\leq 2c(n/2 \lg n/2) + n \\ &= cn\lg(n/2) + n \\ &= cn\lg n + n - cn\lg 2 \\ &= cn\lg n + (1-c)n \\ &\leq cn\lg n \quad (\text{if } c \geq 1) \end{aligned}$$

What about $T(1)$?

- $c\lg 1 = 0$

All we need is $T(n) \leq cn\lg n$ for n sufficiently large.

- E.g. $T(2) = 2c_1 + 2$. Choose $c = c_1 + 1$.
  - Then $T(2) \leq 2c\lg 2 = 2c_1 + 2$

A formal proof that $T(n) \leq cn\lg n$ for $n \geq 2$ proceeds by induction.

- YOU ALL SHOULD KNOW HOW TO DO INDUCTION PROOFS!

The Master Method

Theorem: Let $a, b \geq 1$ and suppose

$$T(n) = aT(n/b) + f(n).$$

- Can replace n/b by $\lceil n/b \rceil$ or $\lfloor n/b \rfloor$.

1. If $f(n) = O(n^{\log_b(a)-\epsilon})$ for some $\epsilon > 0$ then $T(n) = \Theta(n^{\log_b(a)})$.
2. If $f(n) = \Theta(n^{\log_b(a)})$ then $T(n) = \Theta(n^{\log_b(a)} \lg n)$.
3. If $f(n) = \Omega(n^{\log_b(a)+\epsilon})$ for some $\epsilon > 0$ and
   $af(n/b) \leq cf(n)$ for some $c > 1$
   then $T(n) = \Theta(f(n))$.

In all three cases we compare $f(n)$ with $n^{\log_b(a)}$.

- The larger function dominates

Roughly:

- if $f(n) \ll n^{\log_b(a)}$, then $T(n) = \Theta(n^{\log_b(a)})$
- if $f(n) \sim n^{\log_b(a)}$, then $T(n) = \Theta(n^{\log_b(a)} \lg n)$
- if $f(n) \gg n^{\log_b(a)}$, then $T(n) = \Theta(f(n))$

$T(n) = aT(n/b) + f(n)$:

1. If $f(n) = O(n^{\log_b(a)-\epsilon})$ for some $\epsilon > 0$
   then $T(n) = \Theta(n^{\log_b(a)})$.
2. If $f(n) = \Theta(n^{\log_b(a)})$ then $T(n) = \Theta(n^{\log_b(a)} \lg n)$.
3. If $f(n) = \Omega(n^{\log_b(a)+\epsilon})$ for some $\epsilon > 0$ and
   $af(n/b) \leq cf(n)$ for some $c > 1$
   then $T(n) = \Theta(f(n))$.

Comments:

- $f(n) \ll n^{\log_b(a)}$ means there is some polynomial n^ϵ such that $f(n) \leq cn^{\log_b(a)}/n^\epsilon$
- Third case has a regularity condition: $af(n/b) \leq cf(n)$
- Not all cases covered by theorem—but it's still very useful

$T(n) = aT(n/b) + f(n)$:

1. If $f(n) = O(n^{\log_b(a)-\epsilon})$ for some $\epsilon > 0$
   then $T(n) = \Theta(n^{\log_b(a)})$.
2. If $f(n) = \Theta(n^{\log_b(a)})$ then $T(n) = \Theta(n^{\log_b(a)} \lg n)$.
3. If $f(n) = \Omega(n^{\log_b(a)+\epsilon})$ for some $\epsilon > 0$ and
   $af(n/b) \leq cf(n)$ for some $c > 1$
   then $T(n) = \Theta(f(n))$.

Examples:

- $T(n) = 9T(n/3) + n$
  - $a = 9,\ b = 3,\ f(n) = n$
  - $n^{\log_3(9)} = n^2$, so $f(n) = O(n^{\log_3(9)-\epsilon})$
  - $T(n) = \Theta(n^2)$
- $T(n) = T(2n/3) + 1$
  - $a = 1,\ b = 3/2,\ f(n) = 1 = n^{\log_{3/2}(1)}$
  - $T(n) = \Theta(\lg n)$
- $T(n) = 3T(n/4) + n \lg n$
  - $a = 3,\ b = 4,\ f(n) = n \lg n$
  - $n^{\log_4 3} \sim n^{0.793}$; $f(n) = \Omega(n^{0.793+\epsilon})$
  - $af(n/b) = 3(n/4)\lg(n/4) \leq (3/4)n \lg n = 3/4 f(n)$
  - $T(n) = \Theta(n \lg n)$

$T(n) = aT(n/b) + f(n)$:

1. If $f(n) = O(n^{\log_b(a)-\epsilon})$ for some $\epsilon > 0$ then $T(n) = \Theta(n^{\log_b(a)})$.
2. If $f(n) = \Theta(n^{\log_b(a)})$ then $T(n) = \Theta(n^{\log_b(a)} \lg n)$.
3. If $f(n) = \Omega(n^{\log_b(a)+\epsilon})$ for some $\epsilon > 0$ and
   $af(n/b) \leq cf(n)$ for some $c > 1$
   then $T(n) = \Theta(f(n))$.

- $T(n) = 2T(n/2) + n \lg n$
  - $a = b = 2, \ f(n) = n \lg n$
  - $n^{\log_2(2)} = n^1$;
    - $n \lg n \neq O(n^{1-\epsilon})$
    - $n \lg n \neq \Theta(n)$
    - $n \lg n \neq \Omega(n^{1+\epsilon})$
- Theorem does not apply!

Random Variables and Expectation: A Review

Suppose S is a sample space with a probability Pr

Remember: a *random variable* X on S is a function from S to the real numbers.

- $\Pr(X = x) = \Pr(\{s \in S : X(s) = x\})$
- Example: toss a pair of fair dice.
  - Let S be the set of 36 outcomes: $(1,1), (1,2), \ldots$
  - Let $X(a,b) = a + b$
  - $\Pr(X = 4) = \Pr(\{(1,3),(2,2),(3,1)\}) = 1/12$

The expected value of X is

$$E(X) = \sum_x x \Pr(X = x).$$

- For $X(a,b) = a + b$

$$E(X) = 2(1/36) + 3(2/36) + 3(3/36) + \cdots$$
$$+7(6/36) + \cdots + 12(1/36)$$

When we talk about the average-case running time of an algorithm, we mean the expectation.

Dynamic Sets

- A *dynamic set* is one whose membership changes over time.
- Sometimes the elements of a dynamic set have an associated *key*
  - In that case, we write $key[x] = k$
- Sometimes keys come from a totally ordered set
  - this means $key[x] > key[x']$, $key[x] < key[x']$ or $key[x] = key[x']$

Dynamic Set Operations

We want to be able to manipulate dynamic sets.

Typical operations:

- SEARCH(S, k): returns $x \in S$ such that $key[x] = k$ if there is one; NIL otherwise
  - typically x is a pointer to an element in S, not the element itself
- INSERT(S, x)
- DELETE(S, x)
- MINIMUM(S): returns element with smallest key
- MAXIMUM(S): returns element with largest key
- SUCCESSOR(S, x)
- PREDECESSOR(S, x)
  - MINIMUM, MAXIMUM, PREDECESSOR, and SUCCESSOR make sense only if the keys are totally ordered

We do not necessarily want or need to implement all these operations.

- Different data types implement different subsets
- A *dictionary* allows insert, delete, and search
- A priority queue allows insert, delete, maximum
- There are typically tradeoffs between implementations