# INF102 Algorithms, Data Structures and Programming

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#### INF102, practical stuff

- Lecturer: Marc Bezem; Team: see homepage
- ► Homepage: INF102 (hyperlinks in red)
- ► Also: GitHub (recommended); Dropbox: slides, schedule
- Textbook: Algorithms, 4th edition
- ▶ Prerequisites: INF100 + 101 ( $\approx$  Ch. 1.1 + 1.2)
- Syllabus (pensum): Ch. 1.3 − 1.5, Ch. 2 − 4
- Exam: three compulsory exercises and a written exam
- ▶ Old exams: 2004–2013, 2014
- Table of Contents of these slides

#### Resources

- Good textbook, USA-style: many pages, exercises etc.
- Average speed must be ca 50 pages p/w
- Lectures (ca 24) focus on the essentials
- ▶ Slides (ca 120, dense!) summarize the lectures
- Prepare yourself by reading in advance
- Workshops: selected exercises
- ► Test yourself by trying some exercises in advance
- ▶ If you can do the exercises (incl. compulsory), you are fine
- Review of exercises on Friday morning

#### Generic Bags, Queues and Stacks

- Generic programming in Java, example: PolyPair.java
- ▶ Bag, Queue and Stack are generic, iterable collections
- Queue and Stack: Ch. 9 in textbook INF100/1
- ► APIs include: boolean isEmpty() and int size()
- ▶ All three support adding an element
- Queue and Stack support removing an element (if any)
- ► FIFO Queue (en/dequeue), LIFO Stack (push/pop)
- ► Dijkstra's Two-Stack Expression Evaluation Movie
- ► Example: (1+((2+3)\*(4\*5)))

#### **Implementations**

- ResizingArray\_Stack.java
- Arrays give direct access, but have fixed size
- Resizing takes time and space proportional to size
- LinkedList\_Stack.java
- No fixed size, but indirect access
- ▶ Pointers take space and dereferencing takes time
- Programming with pointers: make a picture
- LinkedList\_Queue.java

#### Computation time and memory space

- ► Two central questions:
  - How long will my program take?
  - ▶ Will there be enough memory?
- Example: ThreeSum.java
- ▶ Inner loop (here a[i]+a[j]+a[k]==0) is important
- Sorting helps: ThreeSumOptimized.java
- ▶ Run some experiments: 1Kints.txt, 2Kints.txt, ...

### Methods of Analysis

#### Empirical:

- ▶ Run program with randomized inputs, measuring time & space
- Run program repeatedly, doubling the input size
- Measuring time: StopWatch
- ► Plot, or log-log plot and linear regression

#### Theoretical:

- Define a cost model by abstraction (e.g., array accesses, comparisons, operations)
- Try to count/estimate/average this cost as function of the input (size)
- ▶ Use O(f(n)) and  $f(n) \sim g(n)$

## ThreeSum, empirically

- ▶ Input sizes 1K, 2K, 4K, 8K take time 0.1, 0.8, 6.4 ,51.1 sec
- ► The log's are 3, 3.3, 3.6, 3.9 and -1, -0.1, 0.8, 1.71
- Basis of the logarithm should be the same for both
- ▶ Linear regression gives  $y \approx 3x 10$
- ▶  $\log(f(n)) = 3\log(n) 10$  iff

$$f(n) = 10^{\log(f(n))} = 10^{3\log(n)-10} = n^3 * 10^{-10}$$

- ▶ Conclusion: cubic in the input size, with constant  $\approx 10^{-10}$
- Strong dependence on input can be a problem
- ightharpoonup Constant  $10^{-10}$  depends on computer, exponent 3 does not

## ThreeSum, theoretically

- ▶ Number of different picks of triples: g(n) = n(n-1)(n-2)/6
- ▶ Inner loop a[i]+a[j]+a[k]==0 executed g(n) times
- $g(n) = n^3/6 n^2/2 + n/3$
- ▶ Cubic term  $n^3/6$  wins for large n
- ► Computational model # array accesses:  $3 * n^3/6 = n^3/2$
- ► Cost array access t sec: time  $t * n^3/2$  sec
- Cost models are abstractions! (NB cache)

#### Big Oh, and $\sim$

- Q: 'wins for large n' uhh???
- lacktriangle A: Big Oh, and  $\sim$  will clear this up
- ▶ Costs are positive quantities, so  $f, g, ... : \mathbb{N} \to \mathbb{R}^+$
- ▶ MNF130: f(n) is O(g(n)) if there exist  $c \in \mathbb{R}^+$ ,  $N \in \mathbb{N}$  such that  $f(n) \le cg(n)$  for all  $n \ge N$  (that is,, for n large enough)
- ► Example:  $n^2$  and even  $99n^3$  are  $O(n^3)$ , but  $n^3$  is not  $O(n^{2.9})$
- ▶ INF102:  $f(n) \sim g(n)$  if  $1 = \lim_{n \to \infty} f(n)/g(n)$
- ▶ If  $f(n) \sim g(n)$ , then f(n) is O(g(n)) and g(n) is O(f(n))
- ▶ Big Oh and ~ aim to capture 'order of growth'
- ightharpoonup Big Oh abstracts from constant factors,  $\sim$  does not
- Large constant factors are important!

### Important orders of growth

- ▶ constant: c, f(n) = c for all n
- ▶ linear: n (compare all for n = 20 sec)
- ▶ linearithmetic: n log n
- quadratic: n<sup>2</sup>
- ightharpoonup cubic:  $n^3$
- exponential: 2<sup>n</sup>
- general form:  $an^b(\log n)^c$

### Logarithms and Exponents

- ▶ Definition:  $\log_x z = y$  iff  $x^y = z$  for x > 0
- ▶ Inverses:  $x^{\log_x y} = y$  and  $\log_x x^y = y$
- Exponent:  $x^{(y+z)} = x^y x^z$ ,  $x^{(yz)} = (x^y)^z$
- ► Logarithm:  $\log_x(yz) = \log_x y + \log_x z$ ,  $\log_x z = \log_x y \log_y z$
- ▶ Base of logarithm: the *x* in log<sub>*x*</sub>
- ▶ Various bases:  $log_2 = lg$ ,  $log_e = ln$ ,  $log_{10} = log$
- ▶ Double exponent: e.g.  $2^{(2^n)}$  (not used in INF102)
- ▶ Double logarithm: log(log n) (not used in INF102)

#### Worst case, average case, amortized cost

- Worst case: guaranteed, independent of input; Examples:
  - Linked list implementations of Stack, Queue and Bag: all operations take constant time in the worst case
  - Resizing array implementations of Stack, Queue and Bag: adding and deleting take linear time in the worst case (easy)
- ▶ Average case: not guaranteed, dependent of input *distribution*
- ▶ Amortized: worst-case cost *per operation*. E.g., each 10-th operation has cost  $\leq 21$ , all others cost 1, amortized  $\leq 3$  p/o.
- Resizing arrays: adding and deleting take constant time per operation in the worst case (proof is difficult)
- Special case of resizing array that is only growing:  $1(2)2(4)34(8)5678(16)9 \dots 16(32) \dots$ , with (n) the new size. Risizing to (n) costs 2n array accesses, so in total  $(1+4)+(1+8)+(2+16)+(4+32)+(8+64) \dots$ , so 9 p/push.

## Staying Connected

- We want efficient algorithms and datastructures for testing whether two objects are 'connected'
- ▶ MNF130: relation  $E \subseteq V \times V$  is an *equivalence* if
  - ▶ *E* is reflexive:  $\forall x \in V$ . E(x,x)
  - ▶ *E* is symmetic:  $\forall x, y \in V$ .  $E(x, y) \rightarrow E(y, x)$
  - ▶ *E* is transitive:  $\forall x, y, z \in V$ .  $E(x, y) \land E(y, z) \rightarrow E(x, z)$
- We assume connectedness to be an equivalence
- Dynamic connectivity means (here) that E can grow
- Clear relationship with paths in graphs, (connected) components (MNF130)
- ▶ Input: *N* and pairs in  $V = \{0, ..., N-1\}$  defining *E*
- Challenge: efficient boolean connected(int p, int q)
- ▶ Example: N = 10, 4 3, 3 8, ... (algs4-data/tinyUG.txt)
- Picture on blackboard (don't print pairs that are already connected)

#### Union-Find

- Find, idea: every component has one element as its identifier, int find(int n) computes this identifier
- Union, idea: for any new pair n m that are not already connected, union(int n, int m) takes the union of the two components, ensuring find(n) == find(m)
- ► API: UF; Cost model: number of array accesses
- Implementations:
  - ► SlowUF.java: id[p] identifier of p find()  $\sim$  1, union()  $\sim$  between n+3 and 2n+1
  - ► FastUF.java: int[] id pointers, id[p]==p: identifier find() ~ 1+2d, union() ~ 1+ two find()'s
  - ► WeightedUF.java: int[] id pointers, int[] sz subtree sizes find() and union() both ~ lg n
- WeightedUF: height of subtree of size k is at most lg k
- ▶ Path-compression: ultimate improvement of UF (almost O(1), amortized)

### Sorting

- Sorting: putting objects in a certain order
- ▶ MNF130: relation  $R \subseteq V \times V$  is a total order(ing) if
  - 1. R is reflexive:  $\forall x \in V$ . R(x,x)
  - 2. R is transitive:  $\forall x, y, z \in V$ .  $R(x, y) \land R(y, z) \rightarrow R(x, z)$
  - 3. R is antisymmetric:  $\forall x, y \in V$ .  $R(x, y) \land R(y, x) \rightarrow x = y$
  - 4. R is total:  $\forall x, y \in V$ .  $R(x, y) \vee R(y, x)$
- Natural orderings:
  - Numbers of any type: ordinary ≤ and ≥
  - ► Strings: lexicographic
  - ▶ Objects of a Comparable type: v.compareTo(w) <= 0</p>

# Sorting (ctnd)

- Bubble sort: ExampleSort.java
- Certification: assert isSorted(a) in main()
- No guarantee against modifying the array (but exch() is safe)
- Costmodel 1: number of exch()'s and less()'s
- Costmodel 2: number of array accesses
- ► Pitfalls: cache misses, expensive v.compareTo(w) < 0
- Why studying sorting? (java.util.Arrays.sort())
- Comparing sorting algorithms: SortCompare.java

#### Selection Sort

- ▶ Bubble sort:  $\sim n^2/2$  compares,  $0 \le \text{exchanges} \le \sim n^2/2$
- Selection sort:
  - ► Find index of a minimum in a[0..n-1], exchange with a[0]
  - ► Find index of a minimum in a[1..n-1], exchange with a[1]
  - ▶ ... until n-2
- ▶ Selection sort:  $\sim n^2/2$  compares,  $0 \le \text{exchanges} \le n-1$  (!)

```
public static void sort(Comparable[] a) {
  int N = a.length;
  for (int i=0; i<N-1; i++){
    int min=i;
    for (int j=i+1; j<N; j++) if less(a[j],a[min])) min=j;
    if (i != min) exch(a,i,min);
}</pre>
```

#### Insertion sort

- Insertion sort:
  - Insert a[1] on its correct place in (sorted) a[0..0]
  - Insert a[2] on its correct place in (sorted) a[0..1]
  - ▶ ... until a[n-1]
- Very good for partially sorted arrays, costs:
  - ▶ Best case: n-1 compares and 0 exchanges
  - Worst case:  $\sim n^2/2$  compares and exchanges
  - Average case:  $\sim n^2/4$  compares and exchanges (distinct keys)

```
public static void sort(Comparable[] a) {
  int N = a.length;
  for (int i=1; i<N; i++){
    for (int j=i; j>0 && less(a[j],a[j-1]); j--)
      exch(a,j,j-1);
  }
}
```

#### Shell sort

- Insertion sort:
  - Very good for partially sorted arrays
  - Slow in transport: step by step exch(a,j,j-1)
- ▶ Idea: h-sort, a[i],a[i+h],a[i+2h],... sorted (any i)

```
public static void hsort(int h, Comparable[] a) {
  int N = a.length;
  for (int i=h; i<N; i++)
    for (int j=i; j-h>=0 && less(a[j],a[j-h]); j-=h)
      exch(a,j,j-h);
}
```

- ▶ Insertion sort: hsort(1,a)
- ► Shell sort: e.g., hsort(10,a); hsort(1,a)

## Shell sort (ctnd)

- ▶ hsort(10,a); hsort(1,a) faster than just hsort(1,a)!
- Q: How is this possible?
- ▶ A: hsort(10,a) transports items in steps of 10, which would be done by hsort(1,a) in 10 steps of 1.
- ▶ What about hsort(100,a); hsort(10,a); hsort(1,a)?
- ▶ To be expected: depends on the length N of the array
- ▶ Best practice: h = N/3, N/9, ..., 364, 121, 40, 13, 4, 1

#### Mergesort

- ► Top-down (recursive) algorithm:
  - Mergesort left half, mergesort right half
  - Merge the results
- Using an auxiliary array: TopDownMergeSort.java, Movie
- Bottom-up algorithm (16 elements):
  - Merge a[0],a[1], so a[2],a[3], so a[4],a[5], so ...
  - ► Merge a[0..1],a[2..3], so a[4..5],a[6..7], so ...
  - Merge a[0..3],a[4..7], so a[8..11],a[12..15]
  - Merge a[0..7],a[8..15], done!
- Also using an auxiliary array: BottomUpMergeSort.java

#### Run-time and memory use of mergesort

▶ Mergesort uses between  $\sim (N/2) \lg N$  and  $\sim N \lg N$  compares. Proof on bb. Important formula  $(N = 2^n)$ :

$$2C(2^{n-1}) + 2^{n-1} \le C(2^n) \le 2C(2^{n-1}) + 2^n$$

- ▶ Mergesort uses at most  $\sim 6N \lg N$  array accesses
- ▶ Mergesort uses  $\sim 2N$  space (plus some var's)
- Q: How fast can compare-based sorting of N distinct keys be?
- A: Ig N! ~ N Ig N; Proof in book and on bb. Keywords: binary compare tree, inner nodes for each compare(a[i],a[j]), permutations in the leaves,

 $\mathit{N}! = \mathsf{number} \ \mathsf{of} \ \mathsf{permutations} \leq \mathsf{number} \ \mathsf{of} \ \mathsf{leaves} \leq 2^{\mathsf{height} \ \mathsf{of} \ \mathsf{tree}}$ 

#### Quicksort

- ► Top-down (recursive) algorithm:
  - ► Choose a (pivot) value *v* in the array
  - ▶ Partition the array in non-empty parts  $\leq v$  and  $\geq v$
  - Quicksort the two parts
- ▶ Pros: in-place, average computation time  $O(n \log n)$
- ► Cons: stack space for the recursion, worst-case  $O(n^2)$ , not stable
- ► Implementation: QuickSort.java
- ▶ BTW: Bug in java.util.Arrays.sort

#### Quicksort, details

- Subtleties in sort(): shuffling protects against worst-case behaviour
- Termination of recursive quicksort()
- Subtleties in partition():
  - ▶ Invariants 1<=h in the two inner loops
  - Postcondition after the two inner loops
  - ▶ Invariant of the for(;;) loop
  - ► Termination of the for(;;) loop
  - There are some variations that are also correct

### Run-time and memory use of quicksort

- ▶ Compare Quicksort to other sorts  $(n = 10^2, 10^3, ...)$
- Quicksort: time  $O(n^2)$  if pivot is always smallest (or largest)
- Randomization: choose pivot randomly, or shuffle array
- ▶ If all keys are distinct and randomization is perfect, then quicksort uses on average  $\sim 2n \ln n$  compares and  $\sim (n/3) \ln n$  exchanges (proofs in book, complicated)
- Relevant improvements:
  - ► Cut-off to insertion sort for sizes ≤ 15 (ca.)
  - Median-of-three pivot
  - Taking advantage of duplicate keys (3-way partitioning)
- Quicksort is generally quite good
- ▶ In special situations other sorts are better (e.g., countsort)

### **Priority Queues**

- Assume collecting and processing items having keys
- Examples of keys: time-stamp, price-tag, priority-tag
- Assume: keys can be ordered
- Reasonable: processing currently highest (or lowest)
- Special cases: items time-stamped when added
  - Queue: dequeue currently oldest (lowest time-stamp)
  - Stack: pop currently newest (highest time-stamp)
- Priority queue generalizes this
- Examples: highest priority, largest transaction, lowest price
- ► Abstract from 'item' and use only 'key' (in applications: use objects with fields item and key and compare on key)

### **Priority Queues**

► Good info: Wikipedia; API (the bare essentials):

```
public class ArrayListPQ<Key extends Comparable<Key>>
```

```
void     insert(Key v) // insert a key
Key     delMax() // delete a largest key, if any
boolean     isEmpty()
```

int size()

- ▶ Aim: operations in logarithmic time, no extra space
- In case of duplicate keys: 'a' largest, not 'the'
- Typical application: the 1K largest keys of 1G unsorted keys
- ► Client: BottomM.java (Q: why is the output slowing down?)

#### Heaps

- MNF130: A binary tree is complete if all levels are filled. So, a complete binary tree of height h has 2<sup>h</sup>-1 nodes (picture).
- ▶ INF102: A binary tree is (left-)complete if all levels < h are filled, the level h may be partially be empty on the right. A (left-)complete binary tree of height h has between  $2^{h-1}$  and  $2^h-1$  nodes.
- ▶ A (left-)complete binary tree of n nodes has height  $\lfloor \lg n \rfloor$
- A binary tree is heap-ordered if the key in each node is ≥ the keys in its children (if any). So, the root has a maximal key.
- Array representation of heap-ordered binary tree: picture bb
- Methods swim() and sink(): picture bb
- Implementation: ArrayListPQ.java

### Run-time and memory use of heaps

- ▶ In a heap of n elements (since height is  $\leq \lfloor \lg n \rfloor$ ):
  - ▶ swim(), and hence insert(), takes at most  $1 + \lfloor \lg n \rfloor$  compares
  - ▶ sink(), and hence delMax(), takes at most  $2\lfloor \lg n \rfloor$  compares
  - ▶ swim(), and hence insert(), takes at most  $\lfloor \lg n \rfloor$  exchanges
  - ▶ sink(), and hence delMax(), takes at most  $2\lfloor \lg n \rfloor$  exchanges
- Heap construction by inserting (no deletes) not optimal
- ▶ Right-to-left heap construction (bb) takes < 2n compares and < n exchanges
- Applications: heapsort and merging sorted streams (bb)

### Purpose of Sorting

- Sorting makes the following easier and more efficient:
  - Searching (binary search, example: ThreeSumOptimized
  - ▶ Searching and looking up, e.g., the pagenumber in an index
  - Removing duplicates
  - Finding the median, quartiles etc.
- Our sorting algorithms are generic: sort(Comparable[] a), for any user-defined data type with a compareTo() method
- ▶ We do *pointer sorting*, manipulating refs to objects.
  - Pro: not moving full objects
  - Cons: pointer dereferencing, no sort(int[] a)
- More flexibility: pass a Comparator object to sort()

### Comparator object

- ▶ API: void sort(Object[] a, Comparator c)
- ► Call: sort(a, new Transaction.WhenOrder())
- ► Call: sort(a, new Transaction.SizeOrder())
- Obs: import java.util.Comparator
- ▶ Obs: less(Object o1, Object o2, Comparator c)
- Priority queues also with Comparator

#### More

- Stability: relative order of equal keys is preserved
- ▶ Important in multi-key applications (e.g., timestamp and size)
- Which sorting algorithm to use?
  - Quicksort is a good general purpose choice
  - Don't forget: java.util.Arrays.sort()
  - Special care: sorting arrays of primitive type
  - Special care: many duplicate keys
- Consider sorting first to make other problems easier

## Applications of Sorting

- Commercial computing
- Search for information
- Job scheduling heuristic: longest processing time first
- Combinatorial search in AI
- ► To come: Prim's and Dijkstra's algorithms
- Data compressions
- Cryptology and genomics (e.g., longest repeating substring)

## Symbol Tables

- Symbol table associates keys with values: key-value pairs
- Examples: keyword-page number, ID number-personal data
- Important operations:
  - ▶ Insert a key-value pair in the symbol table: void put(k,v)
  - Search the value for a given key (if any): Value get(k)
- Important conventions:
  - ▶ Inserting key-value for existing key: overwriting the value
  - No duplicate keys, no null keys
  - Value null: no value for this key
  - ▶ Lazy deletion: insert key-null; Eager: really delete key
- API of unordered symbol table
- ▶ Aim: all operations in time  $\sim c(\lg n)$  with small constant c

#### ST Basics

- Archetypical ST-client: frequency counter (code: later)
- Cost model: number of compares
- ▶ Naive ST: unordered linked list, linear search
  - ▶ Search miss:  $\sim n$  compares
  - ▶ Search hit: between 1 and  $\sim n$  compares
  - ▶ Random search hit:  $(1 + \cdots + n)/n \sim n/2$  compares
  - ▶ Inserting *n* distinct keys:  $(1 + \cdots + n) \sim n^2/2$  compares
- algs4-data/leipzig1M.txt: 21M words, 500K distinct
- Naive ST impracticable for genomics, internet
- Scale: G-T keys, M-G distinct (Kilo, Mega, Giga, Tera)
- Better: hashing (in Ch. 3.4)
- Better: ordered ArrayList, binary search, ArrayListST.java
- ▶ Binary search:  $O(\lg n)$ ; ArrayList: insert amortized O(1)

### Binary Search Trees

- Binary search tree: for every node, all keys to the left of this node are smaller, and all keys to the right are larger
- Search time: lenght of the path to the node where the key 'should' be
- ▶ Balanced binary tree with *n* keys has lg *n* height
- Unbalanced binary trees can have height n (so long paths)
- API of ordered symbol table
- ▶ UBST.java: put(), get(), size(), isEmpty()

## Binary Search Trees (ctnd)

- Interrelated, increasing difficulty: min(), deleteMin(), delete(Key k)
- Node of minimum key: not null; has left child null; is root or left child of parent (picture on bb) public Value min(Node x){//min in subtree with root x if (x==null) return null; // secures x!=null below Value v:
  - do {v = x.value; x = x.left;} while (x!=null);
    return v;
  - } // cf. tail recursive min() in Alg. 3.3
- ▶ Delete minimum key, two cases: (1) both children null; (2) left child null
- Delete is really difficult: bb + BST.java
- Don't forget: update x.N along the path to the root!

#### Balanced Search Trees: keep paths short!

- ▶ NB tree balancing not as easy as in UF and Heap (4hrs!)
- ▶ A 2-3 search tree consists of 2-nodes and 3-nodes:
  - ► Each 2-node has two children and a key *k* such that all keys in the left subtree are < *k*, and all keys in the right subtree > *k*
  - ▶ Each 3-node has three children and two keys  $k_1$ ,  $k_2$  such that all keys in the left subtree are  $< k_1$ , all keys in the middle subtree  $> k_1$  and  $< k_2$ , and all keys in the right subtree  $> k_2$
- Examples and pictures on bb
- ▶ Perfect 2-3 search tree: paths from root to leaves equally long
- Search: compare key with key(s) in node, if equal return corresponding value, else search in one of left, middle, right subtree where the key should be (if it occurs at all)
- Insert should preserve being perfect, rough idea:
  - ▶ into a 2-node: make it into a 3-node
  - ▶ into a 3-node: do something clever (explained on bb)

## ToC and topics of general interest

- ► Table of Contents on next slide (all items clickable)
- Practical stuff: slide 2

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