

# INF102

## Algorithms, Data Structures and Programming

Marc Bezem<sup>1</sup>

<sup>1</sup>Department of Informatics  
University of Bergen

Fall 2017

## INF102, practical stuff

- ▶ Lecturer: Marc Bezem; Team: see homepage
- ▶ Homepage: [INF102](#) (requires login)
- ▶ Also: [INF102 on GitHub](#)
- ▶ Tentative [schedule](#)
- ▶ Textbook: [Algorithms, 4th edition](#)
- ▶ Prerequisites: INF100 + 101 ( $\approx$  Ch. 1.1 + 1.2)
- ▶ Syllabus (pensum): Ch. 1.3 – 1.5, Ch. 2 – 4
- ▶ Three compulsory exercises, must be passed
- ▶ Digital exam (Inspera) [06.12.2017](#)
- ▶ Old exams: [2004–2017](#)
- ▶ [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: help with **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 Tuesday morning

## Generic Bags, Queues and Stacks

- ▶ Generic programming in Java, example: **PolyPair.java**
- ▶ Bag, Queue and Stack are generic, iterable collections
- ▶ All three support adding an element
- ▶ Queue and Stack support removing an element (if any)
- ▶ FIFO Queue (en/dequeue), LIFO Stack (push/pop)
- ▶ Stack: INF101; Bag is a Stack without pop
- ▶ APIs include: `boolean isEmpty()` and `int size()`

## Implementations and one application

- ▶ Implementation of Stack: `LinkedList_Stack.java`
- ▶ Implementation of Queue: `LinkedList_Queue.java`
- ▶ Dijkstra's Two-Stack Expression Evaluation
- ▶ Example:  $( 1 + ( ( 2 + 3 ) * ( 4 * 5 ) ) )$
- ▶ Now you learned something about compilers!
- ▶ `Movie`

## Resizing Arrays

- ▶ Arrays have direct access, but have fixed size
- ▶ Linked lists have flexible size, but no direct access
- ▶ Best of both: use new, resized arrays, *wisely*:
  - ▶ double size when the array becomes overfull
  - ▶ halve size when the array becomes quarter full
- ▶ Resizing takes time and space proportional to size
- ▶ Not too seldom (correctness), not too often (efficiency)
- ▶ Later: we retain *constant time direct access*
- ▶ Later: add operation in *constant time on average*
- ▶ Once we have understood resizing arrays: **ArrayList**

## Implementations

- ▶ `ResizingArray_Stack.java`
- ▶ Arrays give direct access, resizing at reasonable cost
- ▶ `LinkedList_Stack.java`
- ▶ No fixed size, but indirect access incurs a cost
- ▶ Pointers take space and dereferencing takes time
- ▶ Programming with pointers: make a picture

## 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 Algorithm Analysis

- ▶ Empirical:
  - ▶ Run program with randomized inputs, measuring time & space
  - ▶ Run program repeatedly, varying (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  $O(f(n))$  (MNF130) and  $f(n) \sim g(n)$  (see next slide)

## Orders of Growth, Big Oh and $\sim$

- ▶ Big Oh and  $\sim$  aim to capture 'order of growth'
- ▶ Costs are positive quantities, so  $f, g, \dots : \mathbb{N} \rightarrow \mathbb{R}^+$
- ▶ MNF130:  $f(n)$  is  $O(g(n))$  if there exist  $c \in \mathbb{R}^+$ ,  $N \in \mathbb{N}$  such that  $f(n) \leq cg(n)$  for all  $n \geq N$  (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  $1 = \lim_{n \rightarrow \infty} (f(n)/g(n))$
- ▶ If  $f(n) \sim g(n)$ , then  $f(n)$  is  $O(g(n))$  and  $g(n)$  is  $O(f(n))$
- ▶ Not conversely: Big Oh disregards constant factors,  $\sim$  not
- ▶ Factor  $c$  hidden in Big Oh is important in practice
- ▶ Bound  $N$  is important if it is large

## Important orders of growth

| order of growth as function of $n$             | value for $n = 20$               |
|--|----------------------------------|
| constant: $c$ , meaning $f(n) = c$ for all $n$ | $c$ sec                          |
| linear: $n$                                    | 20 sec                           |
| linearithmetic: $n \log n$                     | 26 sec                           |
| quadratic: $n^2$                               | 400 sec                          |
| cubic: $n^3$                                   | 8000 sec                         |
| exponential: $2^n$                             | 1048576 sec                      |
| general form: $an^b(\log n)^c$                 | $a \cdot 20^b \cdot (1.3)^c$ sec |

## 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
- ▶  $f(n) = n^3/6 - n^2/2 + n/3$
- ▶ Cubic term  $n^3/6$  wins for large  $n$ :  $f(n) \sim n^3/6$
- ▶ Cost model # array accesses:  $\sim n^3/2$
- ▶ Cost array access  $t$  sec: total time  $\sim t * n^3/2$  sec
- ▶ Cost models are (necessary) simplifications!

## 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
- ▶ See the plots in [plot sheet](#)
- ▶ 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  $\approx 10^{-10}$
- ▶ No surprise: see the 3-nested loop in [ThreeSum.java](#)
- ▶ Strong dependence on input can be a problem
- ▶ Constant  $10^{-10}$  depends on computer, exponent 3 does not

## 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:  
 $1(2)2(4)3(4)4(8)5(6)6(8)7(16)8(9) \dots 16(32) \dots$ , with  $(n)$  the new size.  
 Resizing to  $(n)$  costs  $2n$  array accesses, so in total  
 $(1+4)+(1+8)+(2+16)+(4+32)+(8+64) \dots$ , so 9 p/push.

## Remarks and Pitfalls

- ▶ Theoretical approach:
  - ▶ Wrong cost model
  - ▶ JVM optimization can obscure the exponent
  - ▶ Caching can have large impact on memory access
  - ▶ Large constant factor in Big Oh
  - ▶ Worst case can be easy, average case difficult
- ▶ Empirical approach:
  - ▶ The focus is on run time (using space costs time)
  - ▶ Dependence on input, randomization does not always help
  - ▶ Machine/platform dependence
  - ▶ Linear regression not good for, e.g.,  $O(n^2 \log n)$

## Exercise

Aim: better understand the empirical method.

1. Let input sizes 1, 2, 4, 6, 8K take 2, 7.9, 32, 72, 129 sec
2. Make a plot such as in [plot sheet](#) (download)
3. Compute the log's of the input sizes and of the run times and make the log-log plot such as in [plot sheet](#) (second plot)
4. Estimate  $a$  and  $b$  such that the log-log plot is  $y \approx ax - b$
5. Estimate  $a$  and  $b$  through [linear regression](#), compare with 4.
6. Find  $f(n)$  given that  $\log(f(n)) = a \log(n) - b$ . Surprised?

In cases where the run time mostly depends on the size  $n$  of the input and not on the input itself, the function  $f$  is a reasonable (polynomial) estimation of the run time.



## Logarithms and Exponents Cheat Sheet

- ▶ Definition:  $\log_x z = y$  iff  $x^y = z$  for  $x > 0$
- ▶ Base of logarithm: the  $x$  in  $\log_x$
- ▶ Inverses:  $x^{\log_x y} = y$  and  $\log_x x^y = y$
- ▶ Exponent, laws:  $x^{(y+z)} = x^y x^z$ ,  $x^{(yz)} = (x^y)^z$
- ▶ Logarithm, laws:  $\log_x(yz) = \log_x y + \log_x z$ ,  
 $\log_x z = \log_x y \log_y z$
- ▶ 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)

## Staying Connected

- ▶ We want efficient algorithms and datastructures for testing whether two objects are 'connected' (e.g., in networks)
- ▶ We assume connectedness to be an equivalence
- ▶ MNF130: relation  $E \subseteq V \times V$  is an *equivalence* if
  - ▶  $E$  is *reflexive*:  $\forall x \in V. E(x, x)$
  - ▶  $E$  is *symmetric*:  $\forall x, y \in V. E(x, y) \rightarrow E(y, x)$
  - ▶  $E$  is *transitive*:  $\forall x, y, z \in V. E(x, y) \wedge E(y, z) \rightarrow E(x, z)$
- ▶ Dynamic connectivity means (here) that  $E$  can grow
- ▶ Relationship with paths in graphs, (connected) components (MNF130): nodes are connected if there is a path between them
- ▶ Input:  $N$  and pairs in  $V = \{0, \dots, N-1\}$  defining  $E$
- ▶ Challenge: efficient boolean `connected(int p, int q)`

## Example

- ▶ Example (`algs4-data/tinyUF.txt`) :  $N = 10$
- ▶ Nodes 0, 1, 2, 3, 4, 5, 6, 7, 8, 9
- ▶ Edges: 4–3, 3–8, 6–5, 9–4, 2–1, 8–9, 5–0, ...
- ▶ Linear space: don't add pairs that are already connected!
- ▶ Q: what are the costs of storing all pairs that are connected, space and time?
- ▶ See: [algoritmevisualisering](#) by Ragnhild Ålvik, Kristian Rosland, Knut Anders Stokke

## 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()`  $\sim 2$  or between  $n+3$  and  $2n+1$  (!)
  - ▶ **FastUF.java**: `int[] id` pointers, `id[p]==p`: identifier  
`find()`  $\sim 1+2d$ , `union()`  $\sim 1 + \text{two find()}'s$
  - ▶ **WeightedUF.java**: `int[] id` pointers, `int[] sz` subtree sizes  
`find()` and `union()` both  $\sim \lg n$

## Trees (cf. MNF130) and WeightedUF

A (rooted) *tree* consist of *nodes* (also called *vertices*) one of which is called the *root*  $r$ . Every node  $n$  is connected by an *edge* to zero or more other nodes, called the *children* of the *parent*  $n$ . Moreover, each node  $n \neq r$  has a unique parent in a tree. Trees are naturally depicted in levels starting with the root at level 0, then the level 1 of the children of the root, level 2 of the children of the children of the root, and so on. The level of a node is also called its *depth*. In a finite tree there is always a highest level (maximum depth) and this is called the *height* of the tree.

- ▶ WeightedUF: height of subtree of size  $k$  is at most  $\lg k$  (proof by induction on blackboard)
- ▶ Ultimate improvement of UF (almost  $O(1)$ , amortized): path-compression (sketch on bb)

# 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*:  $\forall x, y, z \in V. R(x, y) \wedge R(y, z) \rightarrow R(x, z)$
  3.  $R$  is *antisymmetric*:  $\forall x, y \in V. R(x, y) \wedge R(y, x) \rightarrow x = y$
  4.  $R$  is *total*:  $\forall x, y \in V. R(x, y) \vee R(y, x)$
- ▶ Natural orderings:
  - ▶ Numbers of any type: ordinary  $\leq$  and  $\geq$
  - ▶ Strings: lexicographic
  - ▶ Objects of a Comparable type: `v.compareTo(w) <= 0`

## Sorting and searching: linear vs binary search

```
int linearSearch(Comparable key, Comparable[] a){  
    for (int i=0; i < a.length; i++){  
        if (key.compareTo(a[i])==0) {return i;}  
    }  
    return -1; // key not in array: O(a.length)  
}
```

```
int binarySearch(Comparable key, Comparable[] a) {  
    int lo=0; int hi=a.length-1; int mid; int test  
    while (lo <= hi){  
        mid = (lo+hi)/2; test = key.compareTo(a[mid]);  
        if (test == 0) {return mid;}  
        if (test < 0) { hi = mid-1;} else {lo = mid+1;}  
    }  
    return -1; // key not in SORTED array: O(lg(a.length))  
}
```

## Sorting (ctnd)

- ▶ Elementary sorts:
  1. Bubble sort (like gas bubbles in sparkling water)
  2. Selection sort (iterated selection of minima)
  3. Insertion sort (iterated insertion of elements)
  4. Shell sort (Shell's refinement of insertion sort)
- ▶ Bubble sort: **ExampleSort.java**
- ▶ Certification: `assert isSorted(a)` in `main()`  
(no guarantee against modifying the array, but `exch()` is safe)
- ▶ Costmodel(s): number of `less()`'s and of `exch()`'s  
(or array accesses; discuss pointer vs. object)
- ▶ Why studying sorting? (`java.util.Arrays.sort()`)
- ▶ Comparing sorting algorithms: **SortCompare.java**



## Selection Sort

- ▶ Bubble sort:  $\sim n^2/2$  compares,  $0 \leq \text{exchanges} \leq n^2/2$
- ▶ 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,  $0 \leq \text{exchanges} \leq n-1$  (!)

```
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);  
    }  
}
```

## 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 due to one-step transport `exch(a,j,j-1)`
  - ▶ Why not larger steps `exch(a,j,j-h)` ?
- ▶ Idea: presort `a[i],a[i+h],a[i+2h],...` for `i = 0..h-1`

```
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
- ▶ The run-time analysis of Shell sort is very difficult
- ▶ Best practice:  $h = N/3, N/9, \dots, 364, 121, 40, 13, 4, 1$
- ▶ Example: [algoritmevisualisering](#) by Ragnhild Ålvik, Kristian Rosland, Knut Anders Stokke

# Mergesort

- ▶ Top-down (recursive) algorithm:
  - ▶ Mergesort left half, mergesort right half
  - ▶ Merge the results (example: 2468,1357)
- ▶ Using an auxiliary array: [TopDownMergeSort.java](#), [Movie](#)
- ▶ Bottom-up algorithm (16 elements):
  - ▶ Merge  $a[0], a[1]$ , merge  $a[2], a[3]$ , merge  $a[4], a[5]$ , ...
  - ▶ Merge  $a[0..1], a[2..3]$ , merge  $a[4..5], a[6..7]$ , ...
  - ▶ Merge  $a[0..3], a[4..7]$ , merge  $a[8..11], a[12..15]$
  - ▶ 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 ( $N = 2^n$ ):

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

- ▶ 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:  $\lg N! \sim N \lg N$ ; Proof in book and on bb. Keywords: binary *compare tree*, inner nodes for each `compare(a[i], a[j])`, permutations in the leaves,  
 $N! = \text{number of permutations} \leq \text{number of leaves} \leq 2^{\text{height of tree}}$

# 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
- ▶ Examples: [algoritmevisualisering](#) by Ragnhild Ålvik, Kristian Rosland, Knut Anders Stokke
- ▶ Pros: in-place, average computation time  $O(n \log n)$
- ▶ Cons: stack space for recursion, worst-case  $O(n^2)$ , not stable
- ▶ Implementation: [QuickSort.java](#)
- ▶ BTW: [Bug in java.util.Arrays.sort](#)

## Quicksort, details

- ▶ Subtleties in `Quicksort.sort()`: shuffling protects against worst-case behaviour
- ▶ Termination of recursive `quicksort()`
- ▶ Subtleties in `partition()`:
  - ▶ Invariants  $l \leq h$  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 ( $n = 10^2, 10^3, \dots$ )
- ▶ 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  $\leq 15$  (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

- ▶ Aim: collecting and processing items having keys
- ▶ Examples of keys: time-stamp, price-tag, priority-tag
- ▶ Assume: keys are 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 MaxPQ<Key extends Comparable<Key>>
```

```
void          insert(Key v) // insert a key
```

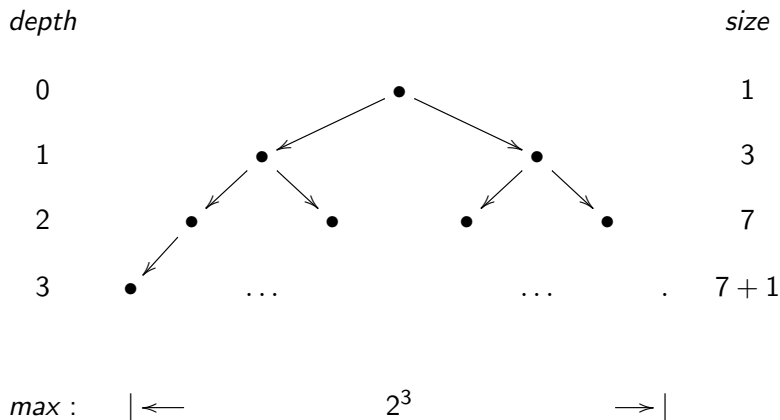
```
Key          delMax() // delete a largest key, if any
```

```
boolean      isEmpty()
```

```
int          size()
```

- ▶ In case of duplicate keys: 'a' largest, not 'the'
- ▶ Typical application: the 1K smallest keys of 1G unsorted keys
- ▶ Client: [BottomM.java](#) (Q: why is the output slowing down?)

## Example of left-complete binary tree



## Binary Trees

- ▶ MNF130: Tree *size* is number of nodes, *depth* of a node is number of links to the root, tree *height* is maximum depth.
- ▶ MNF130: In a *binary* tree every node has at most two children.
- ▶ MNF130: A binary tree is *complete* if all levels are filled. So, a complete binary tree of height  $h$  has  $2^{h+1}-1$  nodes.
- ▶ INF102: A binary tree is (left-) *complete* if all levels  $< h$  are filled, level  $h$  may be partly empty from the right (picture bb). A (left-)complete binary tree of height  $h$  has between  $2^h$  and  $2^{h+1}-1$  nodes.
- ▶ A left-complete binary tree of  $n$  nodes has height  $\lfloor \lg n \rfloor$  (from now on we leave out 'left-').

## Heap-ordered Binary Trees

- ▶ Naive implementations:
  - ▶ Unsorted (resizing) array: fast `insert()`, linear `delMax()`
  - ▶ Sorted (resizing) array: linear `insert()`, fast `delMax()`
- ▶ Aim: operations in logarithmic time, no extra space
- ▶ A binary tree is *heap-ordered* if the key in each node is  $\geq$  the keys in its children (if any). Thus the root has a maximal key.
- ▶ NB: a heap is NOT a search tree (different data invariants)!
- ▶ Array representation of heap-ordered complete binary tree (bb)
- ▶ Methods `swim()` and `sink()`: picture on bb, code below
- ▶ Implementation: `ArrayListPQ.java`

## Run-time and memory use of heaps, applications

- ▶ In a heap of  $n$  elements (since height is  $\leq \lfloor \lg n \rfloor$ ):
  - ▶ `insert()` takes  $\leq 1 + \lfloor \lg n \rfloor$  compares and exchanges
  - ▶ `delMax()` takes  $\leq 2\lfloor \lg n \rfloor$  compares and  $\leq 1 + \lfloor \lg n \rfloor$  exchanges
- ▶ Heap construction by `insert()` can sometimes be improved
- ▶ Example: maxheap from A B C D E F G H
- ▶ Given an array of  $n$  keys, right-to-left heap construction (bb) takes  $< 2n$  compares and  $< n$  exchanges
- ▶ Applications: **heapsort** and **merging sorted streams**
- ▶ Many variations with extended API (indexed priority queue)

## 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
  - ▶ Finding and 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, e.g.: `sort(a, new Transaction.WhenOrder())`
- ▶ Call, e.g.: `sort(a, new Transaction.SizeOrder())`
- ▶ Obs: `import java.util.Comparator`
- ▶ Obs: `less(Object o1, Object o2, Comparator c)`
- ▶ Priority queues also with `Comparator`

```
public class Transaction {  
    ...  
    public static class MyOrder {  
        implements Comparator<Transaction>  
        public int compare(Transaction t, Transaction v){...}  
    } // End of Myorder  
    ...// similarly: WhenOrder, SizeOrder  
} // End of Transaction
```

## Applications of Sorting

- ▶ Consider sorting first to make other problems easier
- ▶ Commercial computing (sort on price, departure time, ...)
- ▶ Search for information: web-indexing, search engines
- ▶ Job scheduling heuristic: longest processing time first
- ▶ To come: Prim's, Dijkstra's and Kruskal's algorithms
- ▶ Huffman compression: a lossless compression based on using the shortest codes for the symbols that occur ofttest.  
Frequency counter: next chapter!
- ▶ Cryptology and genomics (e.g., longest repeated substring)

# Symbol Tables

- ▶ Symbol table associates *keys* with *values*: *key-value pairs*
- ▶ Examples: keyword-list of page nrs, ID number-personal data, word-frequency
- ▶ 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-value
- ▶ **API** of unordered symbol table
- ▶ Aim: all operations in time  $\sim c \lg n$  with constant  $c$  small

## ST Basics

- ▶ Archetypical ST-client: frequency counter, `ArrayListST.main`
- ▶ Cost model: number of compares
- ▶ Naive ST: unordered linked list (or `ArrayList`), linear search
  - ▶ Search miss:  $\sim n$  compares
  - ▶ Search hit: between 1 and  $\sim n$  compares
  - ▶ Random search hit:  $(1 + \dots + n)/n \sim n/2$  compares
  - ▶ Inserting  $n$  distinct keys:  $(1 + \dots + (n - 1)) \sim n^2/2$  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 for unordered ST: hashing (in Ch. 3.4)

## Ordered Symbol Table

- ▶ Ordered ST: keys are ordered, f.e., in an `ArrayList`
- ▶ **API** of ordered symbol table
- ▶ Binary search: `get(Key k)` takes  $\sim \lg n$  comparisons
- ▶ What about `put(Key k, Value v)`? See **`ArrayList`**
- ▶ Pitfall: `add(int i, E e)` is linear, not amortized  $O(1)$ !
- ▶ Consequence: `put(Key k, Value v)` and `del(Key k)` *linear*
- ▶ Implementation with binary search in **`ArrayListST.java`**
- ▶ Trace of inserts on bb: `SEARCHEXAMPLE`
- ▶ Experiments with `tinyTale.txt`, `tale.txt`, ...

## Binary Search Trees

- ▶ Aim: `get`, `put`, `del` in logarithmic time, ST in linear space
- ▶ 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: length 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  $n$  (max depth)
- ▶ Search hits in a binary search tree, built without rebalancing, of  $n$  random keys take on average  $\sim 2 \ln n$  compares
- ▶ **UBST.java**: `put()`, `get()`, `size()`, `isEmpty()`
- ▶ Trace of inserts on bb: S E A R C H E X A M P L E

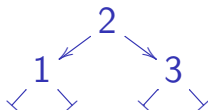
## Binary Search Trees (`min()`, `delMin()`, `delete()`)

- ▶ Interrelated, increasing difficulty: `min(Node x)`, `deleteMin(Node x)`, `delete(Node x, Key k)`
- ▶ Node of minimum key: not null, and has left child null, and is root or left child of parent (picture on bb)

```
public Node min(Node x){// precondition x!=null
    while (x.left!=null) x = x.left; // inv x!=null
    return x;
} // 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: `BST.java`, cf. `ArrayListST.java`
- ▶ Don't forget: update `x.N` along the path to the root!

## Delete from search tree, example:



```
root=delete(root,3)
```

(1st example)

```
| x=root; x.right=delete(x.right,3)
```

(x.right=null)

```
| | x'=x.right; return x'.left;
```

(x.size=2)

```
| | update x.size;
```

(root=x)

```
| | return x;
```

```
root=delete(root,2)
```

(2nd example)

```
| x=root; t=x; x=min(t.right);
```

(x=t.right)

```
| x.right=deleteMin(t.right);
```

(x.right=null)

```
| x.left=t.left;
```

(x.size=2)

```
| | update x.size;
```

(root=x)

```
| | return x;
```



## 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 keep tree perfect, rough idea:
  - ▶ into a 2-leaf: make it into a 3-leaf (easy)
  - ▶ any other case: (temporary) 4-nodes (see next, difficult)

## Insert in Perfect 2-3 Search Trees

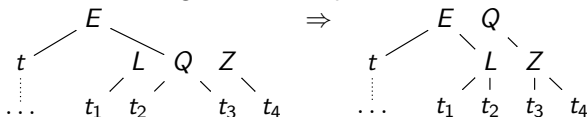
- ▶ Terminology: a *leaf* is a node all whose children are null
- ▶ Data invariant 1: tree is 2-3 search tree
- ▶ Data invariant 2: all paths from root to leaves equally long
  - ▶ Insert into a 2-leaf  $L$  : either  $\begin{array}{c} A \ L \\ \diagup \quad \diagdown \\ | \end{array}$  or  $\begin{array}{c} L \ Z \\ \diagup \quad \diagdown \\ | \end{array}$
  - ▶ into a 3-leaf whose parent is a 2-node: with new key  $Z$  (e.g.)
 

$$\begin{array}{c} E \\ \diagup \quad \diagdown \\ \text{leaf} \quad L \ Q \\ || \quad | \quad \diagdown \end{array} \Rightarrow \begin{array}{c} E \\ \diagup \quad \diagdown \\ \text{leaf} \quad L \ Q \ Z \\ || \quad | \quad \diagdown \end{array} \Rightarrow \begin{array}{c} E \ Q \\ \diagup \quad \diagdown \\ \text{leaf} \quad L \ Z \\ || \quad || \quad || \end{array}$$
  - ▶ into a 3-leaf whose parent is a 3-node: with new key  $Z$  (e.g.)
 

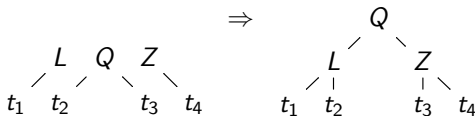
$$\begin{array}{c} C \ M \\ \diagup \quad \diagdown \\ \text{leaf}_l \quad \text{leaf}_m \quad XYZ \\ || \quad || \quad \diagdown \end{array} \Rightarrow \begin{array}{c} C \ M \ Y \\ \diagup \quad \diagdown \quad \diagdown \\ \text{leaf}_l \quad \text{leaf}_m \quad X \ Z \\ || \quad || \quad || \quad || \end{array}$$
  - ▶ into a 3-node whose parent is a 3-node: move up middle key!

## Insert (ctnd)

- ▶ Data invariant 1: tree is 2-3 search tree
- ▶ Data invariant 2: all paths from root to leaves equally long
- ▶ Insert works up from the leaf where the key 'should' be
  - ▶ if 2-node on path to root: make it into a 3-node; there are two cases, left and right, here is a picture of the latter



- ▶ otherwise, work upwards and, finally, split the root:



- ▶ working upwards, there are three cases: left, middle, and right

## Insert, summary and examples

- ▶ There exists a perfect 2-3 tree for any sequence of input keys
- ▶ Six operations for eliminating 4-nodes:
  - ▶ if parent is 2-node: move middle key up (left and right case)
  - ▶ if parent is 3-node: move middle key up (left, middle, right)
  - ▶ if root: split root
- ▶ Search and insert visit at most  $\lfloor \lg n \rfloor$  nodes
- ▶ Proof: maximal path length is  $\geq \lfloor \log_3 n \rfloor$  and  $\leq \lfloor \log_2 n \rfloor$
- ▶ Trace of inserts on bb: S E A R C H (E) X (A) M P L (E)
- ▶ Trace of inserts on bb: A C E H L M P R S X (keep balance!)

## Red-black trees

- ▶ Red-black trees implement 2-3 trees
- ▶ Idea: one 3-node = two 2-nodes + extra info
- ▶ Extra info coded in color, picture:



- ▶ A *red-black tree* is a binary search tree with red and black links such that:
  - ▶ Only left links can be red (but need not be)
  - ▶ Never
  - ▶ Perfect black balance (all paths from root to leaves same number of black links; this number is called the *black height*)
- ▶ Equivalent: red-black tree and perfect 2-3 search tree


## Red-black trees (ctnd)

- Color is attribute of *incoming* link (why?)

```
private class Node {  
    Key key;  
    Value value;  
    Node left, right;  
    boolean color; // true for red, false for black  
    int N; // number of keys in subtree below this node  
}  
  
private boolean isRed(Node n) {  
    if (n==null) {return false;} else {return x.color}
```

## Rotating and Color Flipping

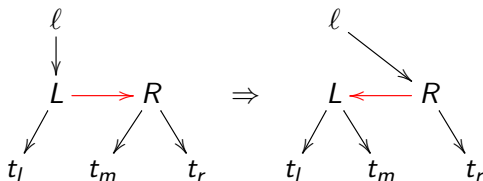
- ▶ Aim: restoring the data invariants of red-black search trees
  1. Only left links can be red, but never two successive
  2. Search tree invariant
  3. Perfect black balance
- ▶ Repairs use *rotations* and *color flips*, examples (leaves):
  - ▶ inserting  $Z$  in  $L \leftarrow R : L \leftarrow R \rightarrow Z$ , violation (why?)  
 repairment: color flip  $L \leftarrow R \rightarrow Z$  ( $R$  must up)
  - ▶ inserting  $A$  in  $L \leftarrow R : A \leftarrow L \leftarrow R$ , violation (why?)  
 repairment: rotation right + color flip  $A \leftarrow L \rightarrow R$
  - ▶ inserting  $M$  in  $L \leftarrow R : L \leftarrow R$ , violation  



 repairment: rotation left into  $L \leftarrow M \leftarrow R$ , then as above
- ▶ Rotations change the root of the subtree, preserving invariants

## Left Rotation

Call: `l = rotateLeft(l);`



```
private Node rotateLeft(Node l){
    Node r = l.right; l.right = r.left; r.left = l;
    r.color = l.color; l.color = true // == RED
    r.N = l.N; l.N -= 1+size(r.right); // Why?
    return r;
}
```



## Right Rotation and Color Flip

Typically in the following situation (e.g., after insert(L) in a 3-leaf):



- ▶ Code of `rotateRight()` like that of `rotateLeft()`
- ▶ NB1: operations are local (here only  $r$ ,  $M$ ,  $R$ )
- ▶ NB2: operations preserve data invariants
- ▶ NB3: root is a special case (always black)
- ▶ Deletions: complicated, but doable (Exc. 3.3.39–41)

## Run-time and memory use of Red-Black BSTs

- ▶ The height of a red-black BST with  $n$  nodes is  $\leq 2 \lg n$   
Proof: the worst-case is one 3-node path and the rest 2-nodes
- ▶ The average length of path (any color) from the root to a node in a red-black BST with  $n$  nodes is  $\lg n$  ('empirical fact')
- ▶ In a red-black BST, search, insert, ..., and delete, take logarithmic time in the worst-case. Proof: a constant amount of work is done per visited node (book Prop. I, p. 447).
- ▶ For red-black BSTs, logarithmic time is guaranteed!

# Hashing

- ▶ Idea: if keys in  $[0..99]$  an array is the perfect symbol table
- ▶ In fact: `CountSort99.java` counts frequencies like an ST client
- ▶ A *hash function* maps keys to array indices
- ▶ Injectivity of the hash function is not guaranteed
- ▶ *Hash collision*: different keys are mapped to the same index
- ▶ In such a case we need *collision resolution*
- ▶ Symbol tables: hashing is fast, but unordered (no `max,min`)
- ▶ Aim: ST operations in amortized  $O(1)$  time, extra space OK

## Space-Time Trade-Off

- ▶ Hashing is an example of a *space-time trade-off*
- ▶ Time: computation time required
- ▶ Space: memory space used
- ▶ Unlimited space: (1) use key as index (e.g., the bits)
- ▶ Unlimited time: (2) use linked list and linear search
- ▶ Hashing strikes a balance using (1) with some array of reasonable size, and (2) in case of collisions
- ▶ The balance between (1) and (2) can easily be tuned

## Hash functions

- ▶ Ideal (uniform hashing assumption, UHA): uniform and independent distribution of keys over integers from 0 to  $M - 1$
- ▶ Examples of **hash functions in Java**
- ▶ Horner:  $a_0 + x(a_1 + x(a_2 + \dots)) = a_0 + a_1x + a_2x^2 + \dots$
- ▶ Modular hashing ( $M$  prime), reasonably  $\approx$  UHA:  

```
private int hash(Key k){  
    return (key.hashCode() & 0x7fffffff) % M;}  

```
- ▶ Q: Why crazy  $\& 0x7fffffff$  ???
- ▶ A: In Java, e.g.,  $(-5 \% 3) == -2$  and not 1
- ▶ Q: Why  $M$  prime?
- ▶ A: E.g.,  $M = 32$  takes only into account the last five bits

## Collision Resolution

- ▶ Two main methods of collision resolution:
  1. Hashing with separate chaining (picture on bb)
  2. Hashing with linear probing (picture on bb)
- ▶ Separate chaining: symbol table is an array of linked lists, linear search. If array has length  $M$ , then the linked lists have average length  $N/M$  with  $N$  keys.
- ▶ Linear probing: symbol table is an array of length  $M \geq N$ . Colliding keys are put at the first empty position. Linear search from the position where the key 'should have been'. Empty position: not found. Deletion tricky: reinsert all keys to the right of the deleted key, until the first empty position (picture on bb). Works better with  $M \gg N$ .

## Symbol Table with Hashing

- ▶ Implementation: `ArrayListHashST.java`
- ▶  $M = 1$ : measure overhead wrt. `ArrayListST`
- ▶ Tests with various values of  $M$ : 31, 997, 65521
- ▶ NB1: `ArrayListST`, `UBST` are sorted (!)
- ▶ NB2: *construction* versus *use* of ST (hashing better for *use*)
- ▶ Hashing can be combined with any other ST-implementation
- ▶ UHA metaphor: for every key one throws a dice *once*, and remembers the value as the hash code of the key

## Quantitative analysis

- ▶ Throwing a dice 10 times, what is the probability of 3 fives?
- ▶ Under UHA, with  $N$  distinct keys, the probability that exactly  $k$  keys collide at some given hash value is

$$\binom{N}{k} \left(\frac{1}{M}\right)^k \left(\frac{M-1}{M}\right)^{N-k}, \text{ where e.g. } \binom{100}{10} \approx 1.7E13$$

- ▶ This is a small number for, say,  $N = M = 100$  and  $k = 10$
- ▶ For linear probing one typically takes  $M = 2N$
- ▶ For separate chaining one keeps  $N/8 \leq M \leq N/2$  (resizing  $M$ )
- ▶ Under UHA: search, insert, delete take amortized  $O(1)$  time
- ▶ Space used can be upto  $100N$  byte (objects, pointers); this on top of the space used by  $N$  key-value pairs



## Applications of Searching

- ▶ Synonyms: **associative array**, map, symbol table, or dictionary
- ▶ Origin of **symbol table**: compilers and interpreters
- ▶ Web-indexing, **search engines**
- ▶ Sparse matrices (many 0's): **dictionary**
  1. keys: (row, column)-pairs
  2. values: matrix entries
- ▶ Set API (no values, only keys, for deduplication, filtering):

```
public class SET<Key>
{ void add(Key k);
  void delete(Key k);
boolean contains(Key k);
boolean isEmpty();
  int size(); }
```

## Indexes and Reverse Indexes

- ▶ Index (key, value)
- ▶ Reverse index (value, key(s))
- ▶ Phone book (name+address, phone number(s))
- ▶ Reverse phone book (phone number, name+address)
- ▶ Dictionary (word, meaning or translation)
- ▶ Account information (client ID, account information)
- ▶ Genomics (protein, sequences of ACTG triplets)
- ▶ File systems (file name, location on disk/ file attributes)
- ▶ Internet domain name system (domain name, IP address)

## Balanced Search Tree or Hash Table?

- ▶ Q: Which symbol table to use?
- ▶ A: The basic choice between BST and HT depends on ...
  1. Ordering of keys essential: BST
  2. Availability of good hash function (good = fast + UHA)
  3. Ordering of keys expensive (long strings): HT (or: Ch.5)
  4. Ordering of keys possible, but not essential: HT + BST
  5. Space considerations (ArrayListST uses the least extra space)
  6. Number of distinct keys and the space each key takes
  7. Distribution of insert/delete/search operations

# Overview Chapter 1–3

## Chapter 1

- ▶ Stack and Queue, ThreeSum, Union-Find
- ▶ Theory:  $\sim$  and  $O$
- ▶ Experiments: loglog-plots, randomization

## Chapter 2: Sorting

- ▶ Selection-, Insertion-, Shell-, Merge-, QuickSort
- ▶ Priority Queue, Binary Heap, HeapSort
- ▶ CountSort

## Chapter 3

- ▶ Symbol Table
- ▶ Binary Search Tree, Perfect 2-3 Tree, Red-Black Tree
- ▶ Hashing: hash function and collision resolution

## Odds and Ends Chapter 1–3

- ▶ Path-compression in UF (71)
- ▶ Randomizing the order of the tests
- ▶ Compare-based sorting requires  $N \lg N$  comparisons (72)
- ▶ Double hashing: linear probing  
 $h_1(k), h_1(k) + h_2(k), h_1(k) + 2h_2(k), \dots$
- ▶ Indexed Priority Queues (74)

## Randomizing the order of the tests

```
for (int i=0; i<N; i++) {  
    a1[i] = StdRandom.uniform();  
    a2[i] = a1[i]; }  
if (StdRandom.uniform(2) == 0)  
    {total1 += time(alg1, a1); // summing runtime of alg1  
    total2 += time(alg2, a2); // summing runtime of alg2  
    }  
else  
    {total2 += time(alg2, a2); // summing runtime of alg2  
    total1 += time(alg1, a1); // summing runtime of alg1  
    }
```

## Path compression in UF

```
// Finding the "identifier" of the component of p in id:  
public int find(int p) {  
    while (p!=id[p]) { p=id[p]; }  
    return p;  
}
```

// now with path compression:

```
public int find(int p) {  
    int q=p; // remember the starting point  
    while (p!=id[p]) { p=id[p]; }  
    // postcondition: p==id[p]==identifier of q  
    while (id[q]!=p) { int aux=id[q]; id[q]=p; q=aux; }  
    return p;  
} // Example: int[] id={1,2,3,3}; find(0);
```

## Compare-based sorting: worst-case $\geq N \lg N$

- ▶ Every compare-based sorting algorithm for  $N$  distinct keys in an array  $a$  leads to a *binary compare tree* with
  - ▶ nodes  $(i:j)$  representing tests  $a[i] < a[j]$
  - ▶ left subtree:  $a[i] < a[j]$ ; right subtree:  $a[i] > a[j]$
  - ▶ leaves: sorted permutations of the array
- ▶ Example with array of length 3 on bb
- ▶ Every permutation should occur at least once in a leaf!
- ▶ Binary tree of height  $h$  has at most  $2^h$  leaves
- ▶ Length of path to leaf = number of comparisons
- ▶ Now  $h \geq \lg N! \sim N \lg N$  by Stirling from this formula:

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

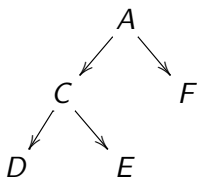


## Indexed Priority Queues (missing inverse qp of pq)

- ▶ IPQ  $\approx$  array with direct access to minimum (maximum)
- ▶ API: `void insert(int i, Key k); void del(int i); int minKey();`  
`Key keyOf(int i);...` Example of implementation:

| index | 0 | 1 | 2 | 3 | 4 | 5 | 6 |
|-------|---|---|---|---|---|---|---|
| pq    | 1 | 0 | 2 | 4 | 3 | 0 | 0 |
| keys  | C | A | F | E | D | - | - |

heap



Do: `insert(6,G)`, `insert(5,B)`, `insert(1,Z)`

NB1: `keys[pq[i]]` on position `i` in heap

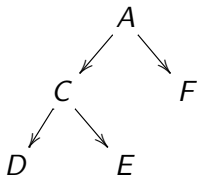
NB2: inverse index qp is needed

## Indexed Priority Queues

- ▶ IPQ  $\approx$  array with direct access to minimum (maximum)
- ▶ API: `void insert(int i, Key k); void del(int i); int minKey();`  
`Key keyOf(int i);...` Example of implementation:

| index | 0 | 1 | 2 | 3 | 4 | 5  | 6  |
|-------|---|---|---|---|---|----|----|
| pq    | 1 | 0 | 2 | 4 | 3 | 0  | 0  |
| keys  | C | A | F | E | D | -  | -  |
| qp    | 1 | 0 | 2 | 4 | 3 | -1 | -1 |

heap



Do: `insert(6,G), insert(5,B)`  
 NB qp is needed to find  
 the index of `key[i]` in pq  
 e.g., for `insert(1,Z)` (then: sink!)

# Indexed Priority Queues (ctnd)

After insert(6,G):

|       |   |   |   |   |   |    |   |
|-------|---|---|---|---|---|----|---|
| index | 0 | 1 | 2 | 3 | 4 | 5  | 6 |
| pq    | 1 | 0 | 2 | 4 | 3 | 6  | 0 |
| keys  | C | A | F | E | D | -  | G |
| qp    | 1 | 0 | 2 | 4 | 3 | -1 | 5 |

Step 1 insert(5,B):

|       |   |   |   |   |   |   |   |
|-------|---|---|---|---|---|---|---|
| index | 0 | 1 | 2 | 3 | 4 | 5 | 6 |
| pq    | 1 | 0 | 2 | 4 | 3 | 6 | 5 |
| keys  | C | A | F | E | D | B | G |
| qp    | 1 | 0 | 2 | 4 | 3 | 6 | 5 |

Step 2 (swaps)  
 pq[2]      pq[6]  
 qp[pq[2]] qp[pq[6]]

|       |   |   |   |   |   |   |   |
|-------|---|---|---|---|---|---|---|
| index | 0 | 1 | 2 | 3 | 4 | 5 | 6 |
| pq    | 1 | 0 | 5 | 4 | 3 | 6 | 2 |
| keys  | C | A | F | E | D | B | G |
| qp    | 1 | 0 | 6 | 4 | 3 | 2 | 5 |

## Graph classes

( MNF130: useful review of graph theory)

1. Undirected graphs: a set of *vertices* (or *nodes*)  $V$  and a set of *edges*  $E$  connecting the nodes
2. Directed graphs (*digraphs*): a set of nodes  $V$  and a set  $E$  of edges (or *arrows*) pointing from one node to another
3. *Edge-weighted graphs*: undirected graphs in which every edge has a number called the *weight* of the edge
4. *Edge-weighted digraphs*: digraphs in which every arrow has a weight

## Examples

1. **Map** (discuss: un/directed, un/weighted, multigraph)
2. Undirected graphs: social networks, communication networks (duplex communication)
3. Directed graphs: hyperlinks, (class, module, package) dependencies, logical circuits, job scheduling, flow graphs
4. Edge-weighted graphs: roadmaps with geographical distance, or with toll, communication networks with bandwidth
5. Edge-weighted digraphs: job scheduling with duration, transport of goods, financial transactions

## Undirected Graphs

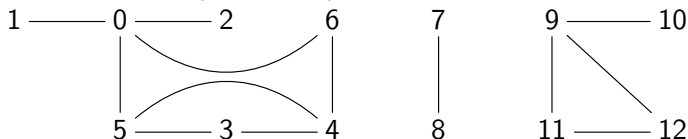
- ▶ Undirected graph: a set of *vertices* (or *nodes*)  $V$  and a set of *edges*  $E$  connecting the nodes
- ▶ *Subgraph*: subset of  $E$  and subset of  $V$  forming a graph (!)
- ▶ *Path*: sequence of nodes connected by edges (!)
- ▶ *Simple path*: path with no node repeated
- ▶ *Length of path*: number of edges
- ▶ *Cycle*: path of length  $> 0$  with same start and end node
- ▶ *Simple cycle*: not repeating edges or nodes (apart from start and end node)
- ▶ *Acyclic graph*: graph without simple cycles
- ▶ *Connected graph*: having a path between every two nodes
- ▶ *Connected component*: a maximal connected subgraph

## Trees and Forests

- ▶ 'Anomalies' concerning edges:
  - ▶ Self-loop: edge connecting a node to itself
  - ▶ Parallel edges: two edges connecting the same node(s)
- ▶ When no anomalies,  $E \subseteq \{\{v, v'\} \mid v \in V, v' \in V, v \neq v'\}$
- ▶ *Tree*: connected acyclic graph (then: no anomalies)
- ▶ *Spanning tree*: maximal subgraph that is a tree
- ▶ Lemma: any spanning tree of a connected graph contains all nodes. Proof by contradiction (on bb).
- ▶ *Forest*: graph consisting of disjoint trees
- ▶ *Spanning Forest*: forest consisting of spanning trees of connected components of a graph
- ▶ Example: `tinyG.txt` on bb

## Undirected Graphs (ctnd)

- ▶ *Distance* between two nodes: length of a shortest connecting path if there is a path connecting these nodes, otherwise  $\infty$
- ▶ *Degree* of a node: number of edges connected to that node
- ▶ Graph  $G = (V, E)$ , the following are equivalent:
  - ▶  $G$  is a tree (def: connected and acyclic)
  - ▶  $G$  has  $|V| - 1$  edges and no cycles
  - ▶  $G$  has  $|V| - 1$  edges and is connected
  - ▶  $G$  is acyclic and adding an edge creates a cycle
  - ▶ Any two nodes of  $G$  are connected by exactly one simple path
- ▶ Example: some (connected) subgraphs of `tinyG.txt`





## Graph representation and implementation

- ▶ Impractical: **adjacency matrix**  $\sim V^2$ , **incidence matrix**  $\sim VE$
- ▶ Often practical: **adjacency lists**  $\sim (V+2E)$ , that is, `adj[v]` lists all nodes `w` connected to `v` by an edge
- ▶ Example: `tinyG.txt` by **LinkedListG.java**
- ▶ Graph API includes: `V()`, `E()`, `addEdge()`
- ▶ Basic algorithms: Depth-First Search (DFS) and Breadth-First Search (BFS)
- ▶ Both DFS and BFS 'walk through the graph', in different ways
- ▶ Both DFS and BFS can compute a spanning tree and forest

```
public void dfs(Integer v, boolean[] marked) {
    marked[v] = true;
    for (Integer w : adj[v])
        if (! marked[w]) dfs(w,marked);
} // dfs() is recursive, call: dfs(v,marked);

public void bfs(Queue<Integer> q, boolean[] marked) {
    while (!q.isEmpty()) {
        Integer v = q.dequeue();
        for (Integer w : adj[v])
            if (! marked[w]) {marked[w]=true; q.enqueue(w);}
    }
} // call: marked[v]=true; q.enqueue(v); bfs(q,marked);

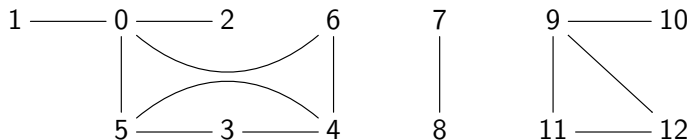
// Example: 0-1, 0-3, 1-2, 1-3, 3-4
// Example: complete ternary tree of height 2
```

## Implementation and Properties of DFS/BFS

- ▶ **LinkedListG.java**: `pathdfs()`, `pathbfs()`
- ▶ DFS and BFS mark nodes connected to a given source node in time proportional to the sum of their degrees ( $\leq 2E$ ), and can return a path from a marked node to the given source in time proportional to the length of this path
- ▶ BFS always finds a shortest path (proof: queue only contains nodes at distance  $k$  followed by nodes at distance  $k + 1$ , while all nodes at distance  $\leq k$  not in queue have been processed)
- ▶ DFS finds a left-most path (long or short, example bb)
- ▶ BFS tends to use more space (but not always)
- ▶ UF tests connectivity, but finds no paths

## Applications

- ▶ `StringSTG.java`, flight connections, shortest path = minimum number of stop-overs
- ▶ Degrees of separation in social networks, e.g., Erdős number = length of shortest path to Paul Erdős in the co-author graph
- ▶ Connected components: `LinkedListG.countcc()`
- ▶ Example: `tinyG.txt` has three connected components

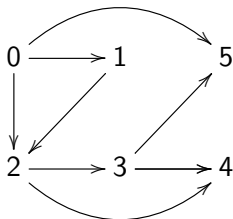


## Directed Graphs

- ▶ *Digraph*: a set of *vertices* (or *nodes*)  $V$  and a set of *directed edges* (or *arrows*)  $E$  pointing from one node to another
- ▶ *Subdigraph*, *directed (simple) path* (*dipath*), *directed (simple) cycle*, *acyclic*, *length*: as expected
- ▶ Often we leave out 'di' in digraph, dipath, etc.
- ▶ *DAG*: **D**irected **A**cyctic **G**raph;
- ▶ *Degree*: **in**-degree and **out**-degree
- ▶ Node  $v$  is *reachable* from  $w$ : a dipath from  $w$  to  $v$  exists
- ▶ *Strongly connected digraph*: dipath between every two nodes (for all  $v, w$ , there are dipaths from  $v$  to  $w$  and from  $w$  to  $v$ )
- ▶ *Strongly connected component*: maximal strongly connected subgraph ( $u \rightleftarrows v \rightarrow w$  has two scc's)
- ▶ Representation: adjacency lists even simpler!

## Directed Graph, example

tinyCG.txt:



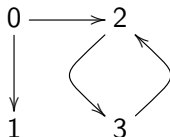
## Reachability Problems

Assume we are given a directed graph  $G$ .

- ▶ Single-source: given a node  $s$ , the *source*, is a given node  $v$  reachable from  $s$ ? Example: `tinyCG.txt`
- ▶ Multiple-source: given a set of nodes  $S$ , is a given node  $v$  reachable from some node in  $S$ ?
- ▶ Solutions: same DFS and BFS algorithms as in Chapter 1
- ▶ Application (example): **mark-and-sweep garbage collection**
- ▶ Single-source path: given  $s, v$  such that  $v$  is reachable from  $s$ . Find a path from  $s$  to  $v$ .
- ▶ Single-source shortest path: given  $s, v$  such that  $v$  is reachable from  $s$ . Find a *shortest* path from  $s$  to  $v$ .
- ▶ Solutions: same DFS (path) and BFS (shortest path) algorithms as for undirected graphs

## Cycle Detection

- ▶ Recall: a *DAG* is a graph without a directed cycle
- ▶ Acyclicity test, cycle detection: easy extension of DFS. We keep track of the search path from the source. If there is an arrow from  $v$  to  $w$  and  $w$  is on the path from the source to  $v$ , then there is a cycle. (DFS finds the leftmost path to the leftmost cycle.) Two techniques (space-time trade-off!):
  - ▶ Go back the search path: `LinkedListDiG.slowCyclist()`
  - ▶ Memorize the search path: `LinkedListDiG.fastCyclist()`
- ▶ Application: precedence scheduling of jobs
- ▶ Example: `cycleG.txt`





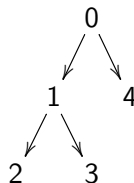
## Pre-order, post-order

- ▶ Graph walks based on DFS from a source node
- ▶ Pre-order: order in which DFS arrives at nodes
- ▶ Post-order: order in which DFS leaves nodes
- ▶ In-order *for binary trees*: e.g., in `UBST.show()`
- ▶ Example:

pre-order: 01234

post-order: 23140

in-order: 21304



- ▶ Example: `tinyCG.txt` on `bb` and by `LinkedListDiG.java`

## Topological order of acyclic digraph

- ▶ Topological order: total order  $\prec$  compatible with the graph in the following sense: if there is an arrow from  $u$  to  $v$ , then  $v \prec u$  (consequently:  $v \preceq u$  if  $v$  is reachable from  $u$ )
- ▶ NB one can also take  $\succ$ , this is only a matter of definition
- ▶ Lemma: if a digraph has a topological order, then it is acyclic (proof: a cycle cannot be ordered compatibly)
- ▶ Lemma: if a digraph is acyclic, then it has a topological order (proof idea: if acyclic, the post-order is a topological order since, if there is an arrow from  $u$  to  $v$ , then  $u$  is not reachable from  $v$  and DFS will leave  $u$  after it has left  $v$ )
- ▶ Topological order is a job schedule respecting precedence
- ▶ Example:  $1 \leftarrow 2 \leftarrow 4 \rightarrow 5 \rightarrow 3 \leftarrow 0$

## Transitive closure

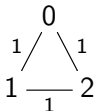
- ▶ Definition: given  $G$ , its (reflexive!) transitive closure  $G^*$  is a graph with the same nodes, with arrows from  $u$  to  $v$  for each  $v$  that is reachable from  $u$  in  $G$ .
- ▶ NB:  $G^*$  can have many more arrows than  $G$
- ▶ Implementation: adjacency matrix in case of many arrows

...

```
boolean[][] adjmat = new boolean[V][V];  
for (int v=0; v<V; v++) {  
    boolean[] marked = new boolean[V];  
    dfs(v,marked);  
    adjmat[v] = marked; // adjmat[v][v]==true: reflexive  
...  
}
```

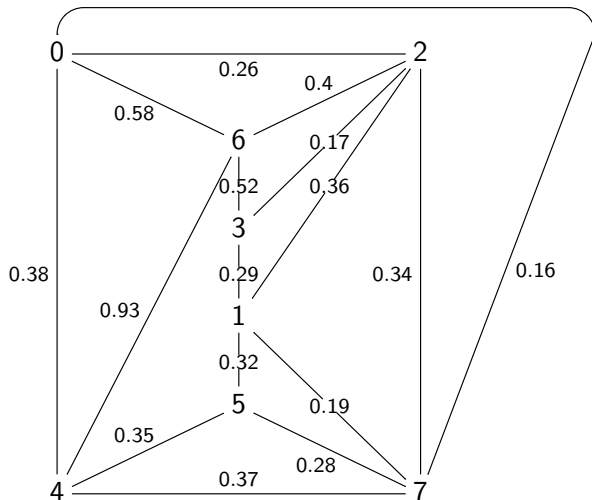
## Minimum Spanning Tree

- ▶ Recall slide 79: *spanning tree* of a connected undirected graph is a maximal subgraph that is a tree (and thus contains all nodes and is acyclic)
- ▶ EWG = Edge-Weighted Graph, here always connected
- ▶ Example: `tinyEWG.txt` on bb
- ▶ Recall slide 80: all spanning trees have  $V - 1$  edges
- ▶ *Weight* of spanning tree: sum of the weights of its edges
- ▶ *Minimum Spanning Tree*: spanning tree with minimal weight
- ▶ Example: three MSTs of



- ▶ Exc.4.3.3: if all weights different, then MST is unique
- ▶ From now on we assume all weights different!

## MST Example (tinyEWG.txt)



## Minimum Spanning Tree (ctnd)

- ▶ Applications: power plants and electrical grid, airlines and flight routes, maps and distance
- ▶ Weights may be zero or negative (e.g., cost minus profit of a new network of roads between cities)
- ▶ Two important algorithms to find the MST: Prim's and Kruskal's

## Cuts and Crossing Edges

- ▶ Recall slide 80: deleting an edge from a tree creates two disjoint components, adding an edge creates a cycle
- ▶ *Cut*: a partition of  $V$  in two non-empty subsets of nodes
- ▶ *Crossing edge*: edge connecting two nodes in different subsets of a cut
- ▶ NB there can be more than one crossing edge: 0 — 2



- ▶ Lemma: for any cut in an EWG, the crossing edge of minimum weight is in the MST.
- ▶ Proof: given a cut, assume by contradiction there is a crossing edge  $e$  of weight smaller than the crossing edge(s) that is (are) in the MST (e.g., the dotted edge above). Adding  $e$  creates a simple cycle, which must contain one other crossing edge  $f$  in the MST. Replacing  $f$  by  $e$ : ✗

## Prim's Lazy Algorithm

- ▶ Datastructures:
  - ▶ EWG represented with adjacency lists  $\text{adj}[v]$
  - ▶ Minimum priority queue  $\text{pq}$  for edges
  - ▶ Array  $\text{marked}[v]$  for marking vertices
  - ▶ Queue  $\text{mst}$  for the minimum spanning tree
- ▶ Edge is *eligible* if not both endpoints marked (crossing!)
- ▶ Algorithm based on previous lemma, cut: un/marked nodes
  1. mark 0 and add all eligible edges in  $\text{adj}[0]$  to  $\text{pq}$
  2. as long as  $\text{pq}$  is not empty, do:
    - 2.1 get and delete minimum edge  $e$  from  $\text{pq}$
    - 2.2 add  $e$  to  $\text{mst}$ , say the unmarked endpoint of  $e$  is  $k$
    - 2.3 mark  $k$  and add all eligible edges in  $\text{adj}[k]$  to  $\text{pq}$
    - 2.4 delete ineligible minimum edges from  $\text{pq}$
- ▶ After this algorithm, the queue  $\text{mst}$  contains the MST



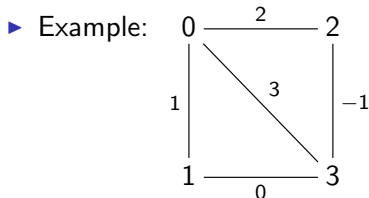
## Prim's Algorithm (ctnd)

- ▶ **LazyPrimMST.java**, methods `scan()` and `prim()`
- ▶ Invariant: at least one of the nodes of an edge in `pq` is marked
- ▶ NOT: all edges in `pq` are crossing edges wrt cut un/marked
- ▶ Lazy: ineligible edges are not eagerly deleted from `pq`
- ▶ Runtime: LazyPrimMST runs in  $O(E \log E)$  time (worst-case)
- ▶ Possible: *only* crossing edges wrt cut un/marked in `pq`
- ▶ Eager: if  $v$  unmarked, the only crossing edge of interest is the *lightest* one connecting  $v$  to the marked edges (= MST so far)
- ▶ Runtime: eager Prim runs in  $O(E \log V)$  time (worst-case)
- ▶ Max size `pq`:  $E$  edges for lazy;  $V$  nodes for eager

## Prim's Eager Algorithm

- ▶ Datastructures:

- ▶ EWG represented with adjacency lists `adj[v]`
- ▶ Boolean array `marked[v]` for marking vertices
- ▶ Array `distTo[v]`, minimum distances to MST so far
- ▶ Array `edgeTo[v]`, edges with minimum distance to MST so far
- ▶ Indexed minimum priority queue `pq`: `index=v`, `key=distTo[v]`
- ▶ Queue `mst` for the MST based on `edgeTo`



- ▶ **PrimMST.java**, methods `scan()` and `prim()`

## Kruskal's Algorithm

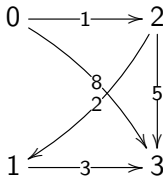
- ▶ Datastructures:
  - ▶ EWG represented with adjacency lists  $\text{adj}[v]$
  - ▶ Minimum priority queue  $pq$  for edges
  - ▶ Union-Find object  $uf$  testing connectivity
  - ▶ Queue  $mst$  for the minimum spanning tree
- ▶ Algorithm:
  1. delete the minimum edge  $e$  from  $pq$
  2. if the points connected by  $e$  are not connected, add  $e$  to  $mst$  and connect the points in  $uf$
  3. continue at point 1 until  $pq$  is empty or  $uf$  contains all nodes
- ▶ Examples: EWG on previous slide, `tinyEWG.txt`
- ▶ Correctness: same lemma about minimum-weight crossing edge of cut
- ▶ Implementation: `KruskalMST.java`, constructor method

## Memory-Use and Run-time Analysis

- ▶ Space, worst-case:
  - ▶ All methods use  $O(V + E)$  space for the graph, plus ...
  - ▶ Priority queue for edges (Lazy Prim and Kruskal):  $O(E)$  space
  - ▶ Priority queue for vertices (Eager Prim):  $O(V)$  space
  - ▶ Arrays indexed by vertices (all):  $O(V)$  space
- ▶ Time, worst-case:
  - ▶ Priority queue operations (Lazy Prim and Kruskal):  $O(E \log E)$  time
  - ▶ Priority queue operations (Eager Prim):  $O(E \log V)$  time
- ▶ NB:  $E \leq V^2$  implies  $\log E \leq \log V^2 \leq 2 \log V$
- ▶ Example: complete graph on  $0, \dots, 9$ , edge  $n-m$  weight  $n+m$ , MST consists of  $0-m$  for  $m = 1, \dots, 9$

## Shortest paths

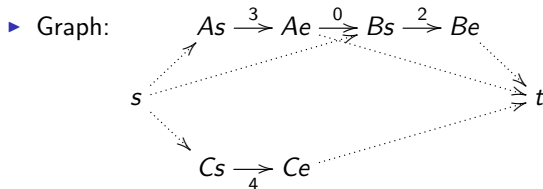
- ▶ Recall slide 76, *Edge-weighted digraphs*: digraphs in which every arrow has a weight
- ▶ *Weight* of a (di)path: sum of weights of the arrows
- ▶ *Shortest* path from node  $s$  to node  $t$ : minimum path weight
- ▶ EWD = Edge-Weighted Digraph, example: `tinyEWD.txt`
- ▶ Example: two SPs from 0 to 3:



- ▶ Shortest paths need not be unique, even if all weights are different!
- ▶ Shortest paths need not exist, for two independent reasons:
  - ▶ When target  $t$  is not reachable from source  $s$
  - ▶ When there is a negative cycle on the path to  $t$ , e.g.,  $1 \xrightarrow{-1} 1$

## Variations

- ▶ Single-source versus multiple sources
- ▶ Only non-negative weights versus all weights allowed
- ▶ Acyclic versus cycles, in particular negative cycles
- ▶ Longest path: shortest path with weights negated
- ▶ Important example: (parallel) scheduling of jobs A, B, and C
  - ▶ A (3 hrs), must precede by B (2 hr), independent C (4 hrs)



- ▶ Schedule, longest paths, makespan: `tinyJob.txt`
- ▶ Now add: A must start less than 2 hrs before B starts.  
Feasible? (No) And 4 hrs before? (Yes)

## Dijkstra's Algorithm

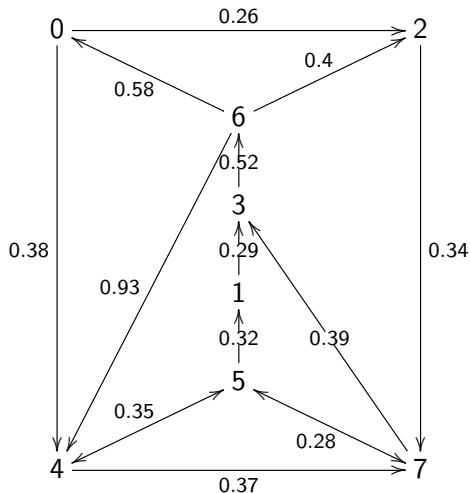
- ▶ Single-source, only non-negative weights, cycles no problem
- ▶ Datastructures:
  - ▶ EWD with adjacency lists `adj[v]` of weighted out-edges
  - ▶ Boolean array `marked[v]` for marking vertices
  - ▶ Array `distToSource[v]`, minimum distances to source so far
  - ▶ Array `pathToSource[v]`, best arrow to source so far
- ▶ Algorithm: relax (see below) and mark the unmarked node with least distance, until all marked; Simple example: slide 101
- ▶ Invariants:
  - ▶ Marked nodes: known shortest path to source (non-negativity!)
  - ▶ Unmarked nodes: known shortest path to source THROUGH marked nodes (requires in-arrow from marked node)
- ▶ Implementation `LinkedListEWD.slowEWD()`, examples `tinyJob.txt` and `tinyEWD.txt`

## Relaxation

- ▶ Assume an array `distToSource[v]` with minimum distances, so far, to a given source
- ▶ To *relax an edge*  $e$  from  $u$  to  $v$  with weight  $x$  means to update `distToSource[v]` to `distToSource[u] + x` if the latter is smaller
- ▶ To *relax a node*  $u$  means to relax all edges in `adj[u]`, that is, to update `distToSource[v]` to `distToSource[u] + x` if the latter is smaller, for every edge from  $u$  to  $v$  with weight  $x$
- ▶ Dijkstra: relax and mark unmarked node  $v$  with minimal `distToSource[v]`, until all nodes marked
- ▶ Bellman-Ford: do max  $V$  rounds of relaxation of all edges (may stop after a round without updates)



## EWD Example (tinyEWD.txt, NB $4 \leftrightarrow 5 \leftrightarrow 7$ !)



## Bellman-Ford

- ▶ Single-source, also negative weights, negative cycles detected
- ▶ Datastructures:
  - ▶ EWD with adjacency lists `adj[v]` of weighted out-edges
  - ▶ Array `distToSource[v]`, minimum distances to source so far
  - ▶ (Array `pathToSource[v]`, best arrow to source so far)
- ▶ Algorithm: do at most  $V$  rounds for every node  $v$  and every arrow  $e$  in `adj[v]`, if  $e$  shortens the distance to its endpoint  $w$ , update that distance (and path); stop after a round when no distances improve. If distances improve in the  $V$ -th round, a negative cycle is reachable from the source.
- ▶ Invariant: after  $n$  rounds the distances are less than or equal to the shortest path of length  $n$  from the source
- ▶ Implementation `LinkedListEWD.simpleBF()`, examples `tinyJob.txt` and `tiNoJob.txt`

## Memory-Use and Run-time Analysis

- ▶ Space
  - ▶ All methods use  $O(V + E)$  for the graph, plus  $O(V)$  extra
  - ▶ Still true for Dijkstra improved with an indexed priority queue, but indexed priority queue takes  $\sim 3V$  space
- ▶ Time, worst-case:
  - ▶  $V$  times finding a minimum (original Dijkstra):  $O(V^2)$
  - ▶ Priority queue operations (improved Dijkstra):  $O(E \log V)$
  - ▶  $V$  rounds relaxing  $E$  edges (Bellman-Ford):  $O(EV)$

## Odds and Ends Chapter 4

- ▶ Bellman-Ford
- ▶ Indexed Priority Queue
- ▶ ...

## ToC and topics of general interest

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

Introduction

Ch.1.3 Bags, Queues and Stacks

Ch.1.4 Analysis of Algorithms

Ch.1.5 Case Study: Union-Find

Ch.2.1 Elementary Sorts

Ch.2.2 Mergesort

Ch.2.3 Quicksort

Ch.2.4 Priority Queues

Ch.2.5 Applications

Ch.3.1 Symbol Tables

Ch.3.2 Binary Search Trees

Ch.3.3 Balanced Search Trees

Ch.3.4 Hash Tables

Ch.3.5 Applications of Searching

Overview Chapter 1–3

Ch.4.1 Undirected Graphs

Ch.4.2 Directed Graphs

Ch.4.3 Minimum Spanning Tree

Ch.4.4 Shortest Paths

Odds and Ends Chapter 4

Table of Contents