# INF102 Algorithms, Data Structures and Programming

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Fall 2015

### 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:  $N = 10, 43, 38, \dots$  (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 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>>
```

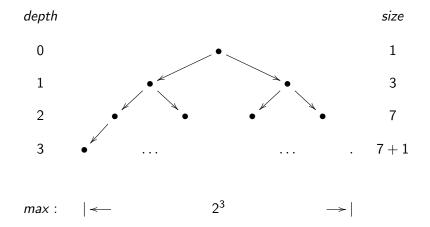
```
void     insert(Key v) // insert a key
Key     delMax() // delete a largest key, if any
boolean     isEmpty()
int     size()
```

- ► 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?)

### 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: A binary tree is complete if all levels are filled. So, a complete binary tree of height h has 2<sup>h+1</sup>-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<sup>h</sup> and 2<sup>h+1</sup>-1 nodes (from now on we leave out '(left-)').
- ▶ A complete binary tree of n nodes has height  $|\lg n|$

### **Picture**



## Heap-ordered Binary Trees

- A binary tree is heap-ordered if the key in each node is ≥ the keys in its children (if any). Thus the root has a maximal key.
- 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  $\leq \lfloor \lg n \rfloor$ ):
  - ▶ swim(), and hence insert(), takes  $\leq 1 + \lfloor \lg n \rfloor$  compares and  $\leq \lfloor \lg n \rfloor$  exchanges
  - ▶ sink(), and hence delMax(), takes  $\leq 2\lfloor \lg n \rfloor$  compares
  - ▶ sink() takes  $\leq \lfloor \lg n \rfloor$  exchanges, and  $delMax() \leq 1 + \lfloor \lg n \rfloor$
- Heap construction by insert() can sometimes be improved
- ► Given an array of keys, right-to-left heap construction (bb) takes < 2n compares and < n exchanges
- Applications: heapsort and merging sorted streams (bb)
- 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
  - 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

```
► 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 gueues 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
```

► API: void sort(Object[] a, Comparator c)

# 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 oftest. 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-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 constant c small

#### **ST** Basics

- Archetypical ST-client: frequency counter (code: main)
- Cost model: number of compares
- ▶ Naive ST: unordered linked list, linear search (INF101, Ch.9)
  - ▶ 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:  $(1 + \cdots + (n-1)) \sim n^2/2$  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
- API of ordered symbol table
- ▶ Binary search: get(Key k) takes  $\sim \lg n$  comparisons
- What about put(Key k, Value v)? ArrayListST, good!
- ▶ TODO: test that add(int i, E e) is amortized O(1)
- ► Implementation with binary search in ArrayListST.java
- Trace of inserts on bb: S E A R C H E X A M P L E
- Experiments with tinyTale.txt, tale.txt, ...

### 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 (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 (ctnd)

- 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){// x != null, subtree not empty

```
while (x.left!=null) x = x.left;
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: 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 keep tree perfect, rough idea:
  - ▶ into a 2-leaf: make it into a 3-leaf
  - into a 3-node: do something clever (explained next)

#### Insert in Balanced Search Trees

- ► Terminology: a *leaf* is a node all whose children are null
- ▶ Data invariant 1: 2-3 search tree
- Data invariant 2: paths from root to leaves equally long
  - Insert into a 2-leaf L: either AL or LZ
  - ▶ into a 3-leaf whose parent is a 2-node: with new key Z

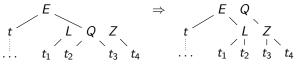
▶ into a 3-leaf whose parent is a 3-node: with new key Z added



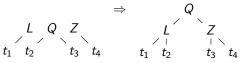
▶ into a 3-node whose parent is a 3-node: move up middle key!

### Insert (ctnd)

- ▶ Data invariant 1: 2-3 search tree
- Data invariant 2: 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 (two cases)



otherwise: split the root

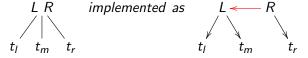


### Insert, summary and examples

- 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 | Ig n | 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

#### 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)

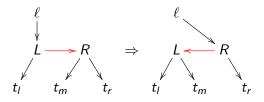
Color is attribute of incoming link (why?)
private class Node {
 Key key;
 Value value;
 Node left, right;
 boolean color; // true for red, false for black
 int N;
}
private boolean isRed(Node n) {
 if (n==null) {return false;} else {return x.color}

## Rotating and Color Flipping

- ▶ Aim: restoring the data invariants of red-black search trees
  - 1. Only left red links, but never two
  - 2. Search tree invariant
  - 3. Perfect black balance
- Invariants get violated by temporary 4-nodes, e.g.,
  - ▶ inserting Z in  $L \leftarrow R$ :  $L \leftarrow R \rightarrow Z$
  - ▶ inserting A in  $L \leftarrow R$ :  $A \leftarrow L \leftarrow R$
  - inserting M in  $L \leftarrow R$ :  $L \leftarrow R$
- Restoring:
  - ▶ Color flip  $L \leftarrow R \longrightarrow Z$ :  $L \leftarrow R \longrightarrow Z$
  - ▶ Rotation right + color flip  $A \leftarrow L \leftarrow R : A \leftarrow L \rightarrow R$
  - ▶ Rotation left into  $M \leftarrow L \leftarrow R$ , then as previous

#### Left Rotation

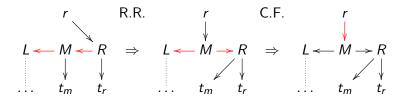
```
Call: 1 = rotateLeft(1);
```



```
private Node rotateLeft(Node 1){
  Node r = 1.right; 1.right = r.left; r.left = 1;
  r.color = 1.color; 1.color = true // == RED
  r.N = 1.N; 1.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 from the root to a node (?) in a red-black BST with n nodes is Ig 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.
- For red-black BSTs, logarithmic time is guaranteed!

### Hashing

- ▶ Idea: if keys in [0..99] an array is the perfect symbol table
- ▶ A hash function maps a key to an array index
- 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)
- $\triangleright$  Aim: ST operations 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:  $a_0 + x(a_1 + x(a_2 + \cdots)) = a_0 + a_1x + a_2x^2 + \cdots$
- ► Reasonably ≈ UHA: modular hashing (M prime): private int hash(Key k){ return (key.hashCode() & 0x7fffffff) % M;}
- ▶ Q: Why *M* prime?
- ightharpoonup A: e.g. M=32 takes only into account the last five bits

#### Collision Resolution

- ▶ Two 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 > 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). Array must have length ≥ N with N keys.

# Symbol Table with Hashing

- Implementation: ArrayListHashST.java
- ightharpoonup M = 1: measure overhead wrt. ArrayListST.java
- ► Tests with various values of M: 31, 997, 65521
- ▶ NB: construction versus use of ST (hashing better for use)
- ► Hashing can be combined with any other ST-implementation

### 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

$$\binom{N}{k} \left(\frac{1}{M}\right)^k \left(\frac{M-1}{M}\right)^{N-k}$$
, 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  $N/8 \le M \le N/2$  (resizing M)
- ▶ Under UHA: search, insert, delete take amortized O(1) time
- ► Extra space used can be upto 100 N 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()
```

# Applications of Searching (ctnd)

- Application (key, value)
- Phone book (name, phone number)
- Dictionary (word, meaning or translation)
- Account information (client ID, account information)
- Genomics (sequences of ACTG triplets, proteins)
- Experimental data of various kinds
- File systems (file name, address etc)
- ▶ Internet domain name system (domain name, IP address)
- Invertex index (value, key(s))

### 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

### Odds and Ends Chapter 1–3

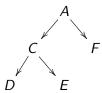
- Discuss methodological issues SortCompare
- ▶ Find out if add(int i, E e) in ArrayList is amortized O(1)
- Discuss primitive types (objects are costly)
- Distributed Hash Table
- ▶ Double hashing: linear probing  $h_1(k), h_1(k) + h_2(k), h_1(k) + 2h_2(k), \dots$
- Indexed Priority Queues: next slide

# Indexed Priority Queues

- ► IPQ ≈ 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:

heap

index	0	1	2	3	4	5	6
pq	1	0	2	4	3	0	0
keys	С	Α	F	Е	D	-	-
qp	1	0	2	4	3	-1	-1



Do: insert(6,G), insert(5,B)

#### 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. Undirected graphs: social networks, communication networks (duplex communication), road maps
- 2. Directed graphs: logical circuits, job scheduling, flow graphs, hyperlinks, (class, module, package) dependencies
- 3. Edge-weighted graphs: roadmaps with geographical distance, communication networks with bandwidth
- 4. 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
  - G has |V|-1 edges and no cycles
  - G has |V| 1 edges and is connected
  - ▶ G is acyclic and adding an edges creates a cycle
  - ▶ Any two nodes of *G* are connected by exactly one simple path
- Example: some subgraphs of tinyG.txt on bb

#### 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 k + 1 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., Erdös number = length of shortest path to Paul Erdös in the co-author graph
- Connected components:
- Example: tinyG.txt on bb and by LinkedListG.countcc()

### **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: Directed Acyclic Graph;
- 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  $(u \rightleftharpoons v \rightarrow w \text{ has two scc's})$
- Representation: adjacency lists even simpler!

### Reachability Problems

Assume we are given a directed graph G.

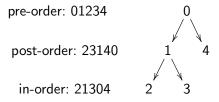
- Single-source: given a node s, the source, is a given node v reachable from s? Example: tinyCG.txt
- ▶ Multiple-source: given a set of nodes S, is a given node v reachable from some node in S?
- Solutions: same DFS and BFS algorithms as in Chapter 1
- Application (example): mark-and-sweep garbage collection
- 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 *v* to the source, 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: LinkedListG.slowCyclist()
  - Memorize the search path: LinkedListG.fastCyclist()
- Application: precedence scheduling of jobs

### 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:



Example: tinyCG.txt on bb and by LinkedListG

## Topological order of acyclic digraph

- ▶ Topological order: total order  $\prec$  compatible with the graph in the following sense: if there is an arrow from w to v, then  $v \preceq w$  (consequently:  $v \preceq w$  if v is reachable from w)
- ► 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 w to v, then w is not reachable from v and DFS will leave w after it has left v)
- ► Topological order is a job schedule respecting precedence

#### Transitive closure

- ▶ Definition: given G, its transitive closure  $G^*$  is a graph with the same nodes and arrows from v to w for each w that is reachable from v in G.
- ▶ NB: G\* can have many more arrows than G
- ► Implementation: adjacency matrix in case of high density of arrows (proof idea: if acyclic, the post-order is a topological order since, if there is an edge from w to v, then w is not reachable from v and dfs will leave w after it has left v)

## Minimum Spanning Tree

- Recall slide 65: 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 66: 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 weigth
- Example: three MSTs of 0 1/1 1-2
- ► Exc.4.3.3: if all weights different, then MST is unique
- From now on we assume all weights different!

# 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 66: 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

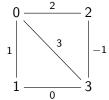
- Datastructures:
  - EWG represented with adjacency lists adj [v]
  - Minimum priority queue pq for edges
  - Array marked[v] for marking vertices
  - Queue mst for the minimum spanning tree
- Edge is *eligible* if not both endpoints marked (crossing!)
- Algorithm based on previous lemma, cut: un/marked
  - 1. mark 0 and add all eligible edges in adj [0] to pq
  - 2. get and delete minimum edge e from pq
  - 3. add e to mst
  - mark the unmarked endpoint of e, say k, and add all eligible edges in adj [k] to pq
  - 5. delete ineligible minimum edges from pq and get new eligible minimum edge e from pq
  - 6. continue at point 3 until pq is empty

# 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: edges in pq the crossing edges wrt cut un/marked
- Better: if v unmarked, the only crossing edge of interest is the lightest one connecting v to the marked edges (= MST so far)
- ▶ Runtime:  $\frac{\text{PrimMST.java}}{\text{runs in } O(E \log V)}$  time (worst-case)

## Prim's Eager Algorithm

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



PrimMST.java, methods scan() and prim()

## Kruskal's Algorithm

- Datastructures:
  - EWG represented with adjacency lists 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
  - 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
- ► Example: EWG on previous slide
- 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

#### Shortest paths

- ► Recall slide 62, *Edge-weighted digraphs*: digraphs in which every arrow has a weight
- Weight of a (di)path: sum of weights of the (directed) edges
- ▶ Shortest path from node s to node t: minimum path weight
- ► EWD = Edge-Weighted Digraph
- ► Example: two SPs from 0 to 3:  $0 \longrightarrow 2$



- ► Shortest paths need not be unique, even if all weights are different!
- Example: tinyEWD.txt on bb

## Odds and Ends Chapter 4

- StringSTG.java, flight connections, shortest path = minimum number of stop-overs
- Degrees of separation in social networks
- Transitive closure

## ToC and topics of general interest

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

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Ch.1.4 Analysis of Algorithms

Ch.1.5 Case Study: Union-Find

Ch.2.1 Elementary Sorts

Ch.2.2 Mergesort

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