

# CSE515 Advanced Algorithms

## Lecture 5: Review of Elementary Data Structures and Graph Algorithms

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## 1 Introduction

## 2 Arrays

## 3 Linked lists

- Doubly linked lists
- Stacks
- Queues

## 4 Graphs

- DFS
- BFS

## 5 Heaps

- Insertions
- Extracting the Minimum
- Priority queues

## 6 Binary search trees

# Introduction

- In this lecture, I will review elementary data structures and graph algorithms.
  - ▶ Linked lists, stacks and queues.
  - ▶ Heaps and priority queues.
  - ▶ Graph traversals (BFS, DFS).
  - ▶ Binary search trees.
- I will not be following this textbook closely in this lecture.
- These algorithms and data structures are fundamental. They are typically covered in undergraduate data structure courses.
- **Reference:** Sections 6, 10, 12, 13, and 22 of the textbook [Introduction to Algorithms](#) by Cormen, Leiserson, Rivest and Stein.

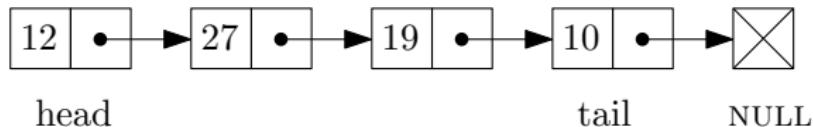
# Arrays

- Array  $A[1 \dots n]$  is created in  $O(n)$  time.
- We can access element  $A[i]$  at any index  $i$  in  $O(1)$  time
  - ▶ This is called *random access*

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  - ▶ This is called *random access*
- 2-dimensional array:  $B[1 \dots m, 1 \dots n]$
- Idem: access  $B[i, j]$  in  $O(1)$  time, create array in  $O(mn)$  time
- Generalizes to any dimension

# Linked Lists

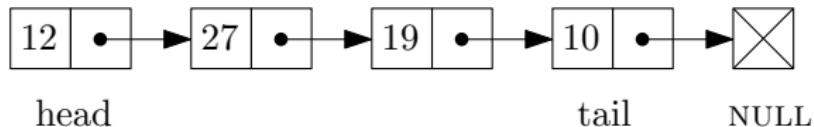


- Implementation: Each node in the list has two fields.

## Node

- next *reference to next node*
- data *data stored at this node*

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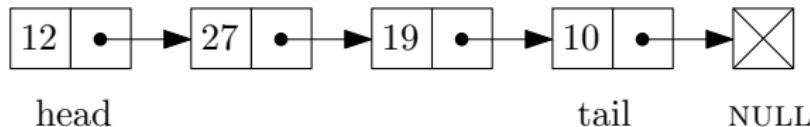
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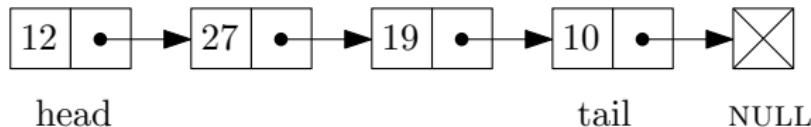
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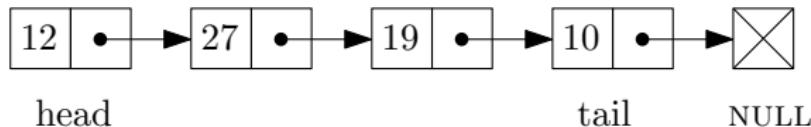
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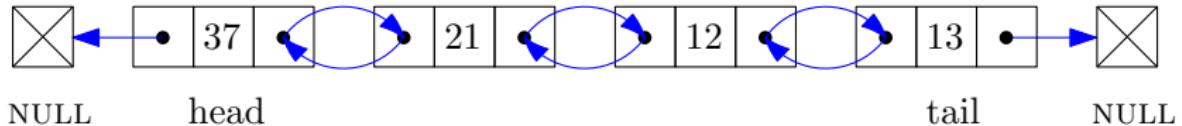
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- Operations:

- ▶ Insert/delete element at the head:  $O(1)$  time.
- ▶ Find an element in a list of size  $n$  in  $O(n)$  time.
- ▶ No random access: accessing/inserting/deleting an element in the middle of the list takes  $O(n)$  time.

# Doubly Linked Lists



## Node

- next *reference to next node*
- prev *reference to previous node*
- data *data stored at this node*

## List

- head *reference to the head node*
- tail *reference to the tail node*

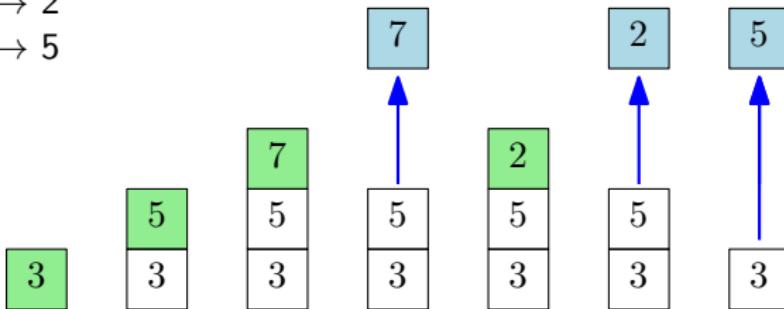
# Doubly Linked Lists

- Operations:

- ▶ Insert/delete element at the head or tail:  $O(1)$  time.
- ▶ Find an element in a list of size  $n$  in  $O(n)$  time.
- ▶ Delete/insert element at any location in  $O(n)$  time.

# Stacks

- A *stack* is an *abstract data type* with two operations:
  - ▶ push: insert an element
  - ▶ pop: remove from the stack the most recently inserted element
- Example:
  - ▶ Start with empty stack
  - ▶ push 3, push 5, push 7
  - ▶ pop → 7
  - ▶ push 2
  - ▶ pop → 2
  - ▶ pop → 5



# Stacks

- This is called *LIFO*: last in, first out.
- A stack can be implemented with

# Stacks

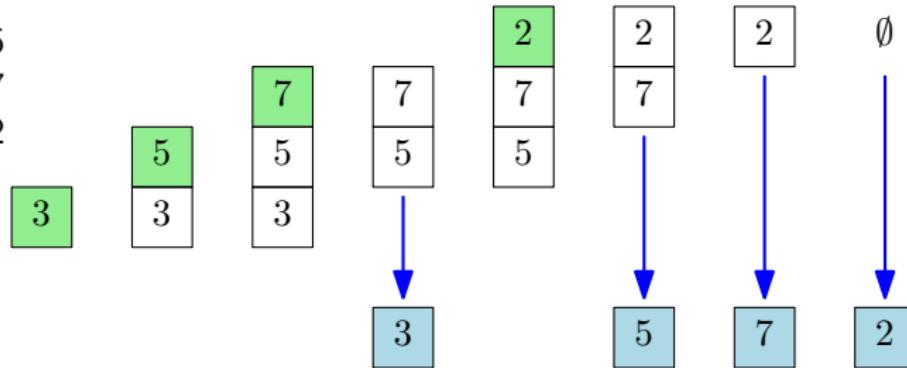
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- We can also use an array, where the last element is the top of the stack, and keep track of its index.

# Queue

- A *queue* is an abstract data type with two operations:
  - ▶ enqueue: insert an element
  - ▶ dequeue: remove from the queue the earliest inserted element
- Example:
  - ▶ start with empty queue
  - ▶ enqueue 3, enqueue 5, enqueue 7
  - ▶ dequeue → 3
  - ▶ enqueue 2
  - ▶ dequeue → 5
  - ▶ dequeue → 7
  - ▶ dequeue → 2



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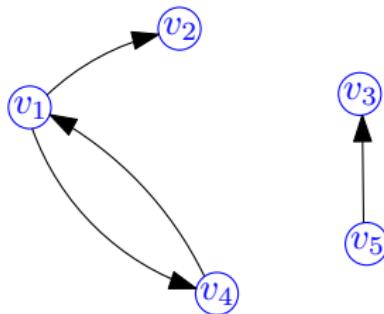
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# Queue

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- A queue can be implemented with a doubly linked list.
- Then each operation takes  $O(1)$  time.
- Can also be implemented with a singly linked list, and keep a pointer to the tail of the list.
- We can also use an array, seen as a circular list, and keep track of the index of the head and tail.

# Directed Graphs



$$V = \{v_1, v_2, v_3, v_4, v_5\}$$

$$n = 5$$

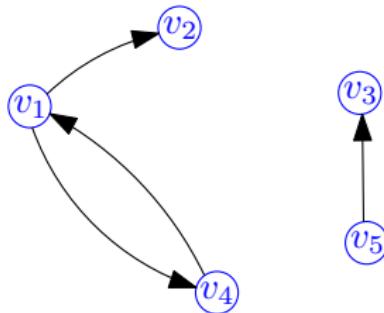
$$E = \{(v_1, v_2), (v_1, v_4), (v_4, v_2), (v_5, v_3)\}$$

$$m = 4$$

## Directed graphs

A *directed graph*  $G(V, E)$  consists of a set  $V$  of *vertices* and a set  $E \subset V \times V$  of *edges*.

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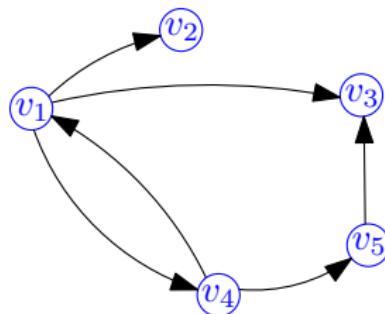
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## Directed graphs

A *directed graph*  $G(V, E)$  consists of a set  $V$  of *vertices* and a set  $E \subset V \times V$  of *edges*.

- So an edge is an *ordered pair* of vertices.
- A vertex may also be called a *node*.
- Usually, the number of vertices is denoted  $n = |V|$  and the number of edges is denoted  $m = |E|$ .

# Adjacency Lists



$$L(v_1) = \{v_2, v_3, v_4\}$$

$$L(v_2) = \emptyset$$

$$L(v_3) = \emptyset$$

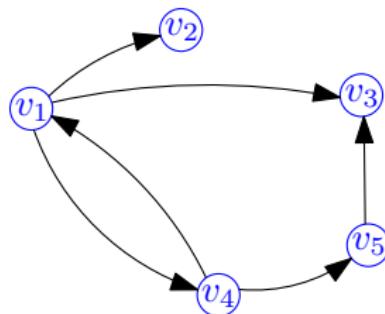
$$L(v_4) = \{v_1, v_5\}$$

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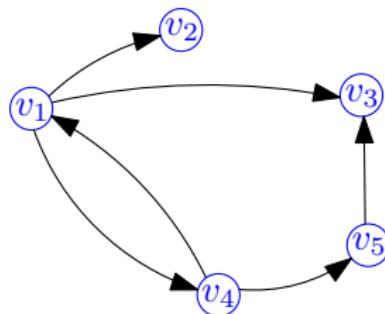
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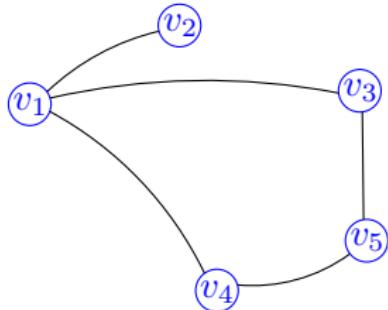
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## Adjacency lists

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- So a directed graph can be represented by a list of vertices, and an adjacency list for each vertex.

# Undirected Graphs



$$V = \{v_1, v_2, v_3, v_4, v_5\}$$

$$E = \{\{v_1, v_2\}, \{v_1, v_3\}, \{v_1, v_5\}, \{v_3, v_5\}, \{v_4, v_5\}\}$$

$$L(v_1) = \{v_2, v_3, v_4\}$$

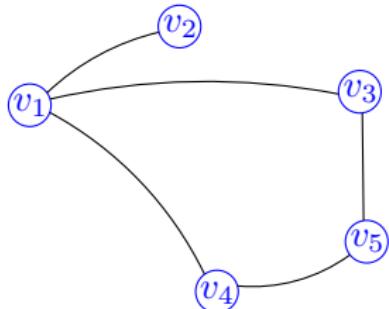
$$L(v_2) = \{v_1\} \qquad \qquad L(v_4) = \{v_1, v_5\}$$

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## Directed graphs

An *undirected graph*  $G(V, E)$  consists of a set  $V$  of *vertices* and a set  $E$  of *edges*. Each edge is an *unordered* pair of vertices.

# Undirected Graphs



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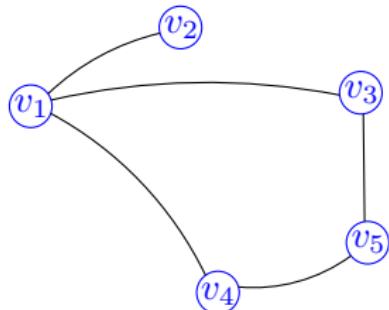
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- Two vertices  $v_i, v_j$  are said to be adjacent, or neighbors, if  $\{v_i, v_j\}$  is an edge.
- We can also represent an undirected graph using adjacency lists.

# Depth-First Search (DFS)

- *Depth-first search* (DFS) is an algorithm that, starting from a node  $s$ , finds all the nodes  $v$  such that there is a path from  $s$  to  $v$  in the graph.

# Depth-First Search (DFS)

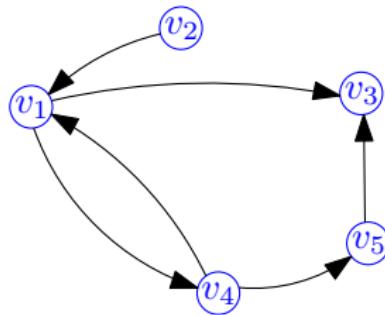
- *Depth-first search* (DFS) is an algorithm that, starting from a node  $s$ , finds all the nodes  $v$  such that there is a path from  $s$  to  $v$  in the graph.
- Initially, all nodes are *unmarked*.
- Then we call  $\text{DFS}(s)$ .

## Pseudocode

```
1: procedure DFS(node  $u$ )
2:   mark  $u$ 
3:   for each  $v \in L(u)$  do
4:     if  $v$  is unmarked then
5:       DFS( $v$ )
```

- It applies to directed and undirected graphs.

## Example



$$\begin{aligned}L(v_1) &= \{v_3, v_4\} \\L(v_2) &= \emptyset \\L(v_3) &= \emptyset \\L(v_4) &= \{v_1, v_5\} \\L(v_5) &= \{v_3\}\end{aligned}$$

- Suppose we run DFS from  $v_4$ .
- Then nodes  $v_1, v_3, v_5$  are visited in this order.
- $v_2$  remains unmarked.

# Analysis

Proposition

*DFS runs in*

# Analysis

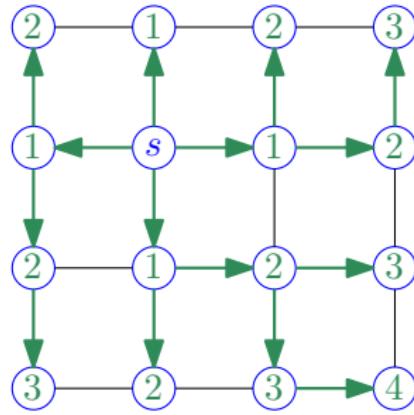
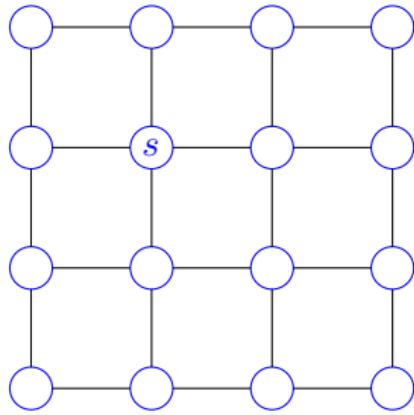
## Proposition

*DFS runs in  $O(n + m)$  time.*

## Proof.

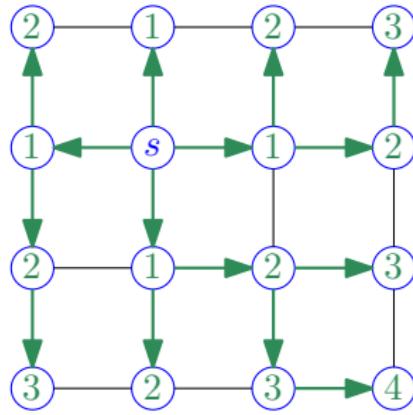
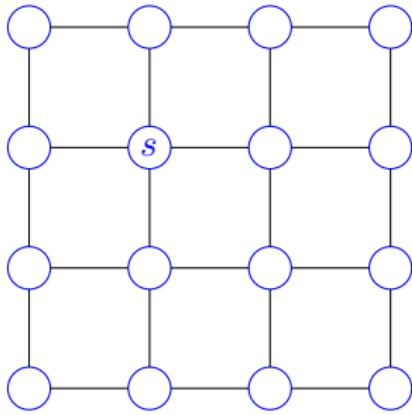
We need  $O(n)$  time to unmark all vertices. Then DFS is called once for each edge (twice for undirected graphs). □

# Breadth-First Search (BFS)



- *Breadth-first search* (BFS) visits the same set of nodes as DFS, but in a different order.

# Breadth-First Search (BFS)



- *Breadth-first search* (BFS) visits the same set of nodes as DFS, but in a different order.
- In addition, it computes:
  - ▶ The distance from  $s$  to all visited nodes.
  - ▶ A tree  $T$  rooted at  $s$ , such that the shortest path from  $s$  to all nodes within  $T$  is also a shortest path in  $G$ .

# Breadth-First Search (BFS)

## Pseudocode

```
1: procedure BFS( $G(V, E)$ ,  $s \in V$ )
2:    $Q \leftarrow$  new queue containing only  $s$ 
3:    $T \leftarrow$  empty tree  $T(V, \emptyset)$ 
4:    $d \leftarrow$  array of  $n$  integers
5:   unmark all nodes
6:   mark  $s$ 
7:    $d(s) = 0$ 
8:   while  $Q$  is nonempty do
9:      $u \leftarrow Q.\text{dequeue}$ 
10:    for each  $v \in L(u)$  do
11:      if  $v$  is unmarked then
12:        mark  $v$ 
13:        enqueue  $v$ 
14:        add edge  $(u, v)$  to  $T$ 
15:         $d(v) \leftarrow d(u) + 1$                                 ▷ distance from  $s$  to  $u$ 
```

# Breadth-First Search (BFS)

- Proof of correctness (sketch): The queue ensures that nodes are visited by nondecreasing distance from  $s$ .
- Analysis:

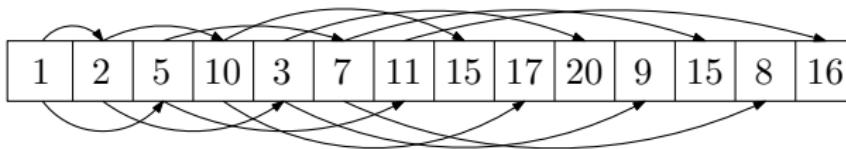
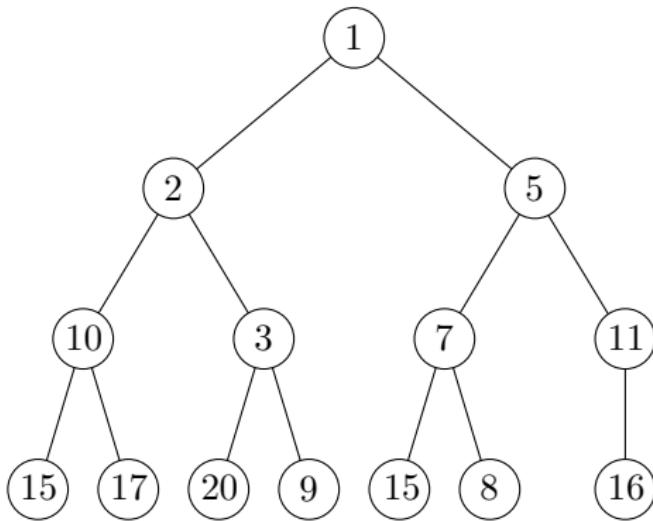
# Breadth-First Search (BFS)

- Proof of correctness (sketch): The queue ensures that nodes are visited by nondecreasing distance from  $s$ .
- Analysis: Each node and edge is visited once, so

## Proposition

*BFS runs in  $O(m + n)$  time.*

# Heaps



# Heaps

- A *heap* is a binary tree such that each node  $v$  contains a number  $\text{key}(v)$  called a *key*, and possibly satellite data.
- The nodes of a heap have the *heap property*:

## Property

*If  $v$  is the parent of  $w$ , then  $\text{key}(v) \leq \text{key}(w)$ .*

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If  $v$  is the parent of  $w$ , then  $\text{key}(v) \leq \text{key}(w)$ .

- The heap is recorded in an array  $H[1, \dots, N]$ .
- $N$  is the maximum number of elements that the heap can store.
- The root is  $H[1]$ .
- The two children of  $H[i]$  are  $H[2i]$  and  $H[2i + 1]$ .
- So the parent of  $H[i]$  is  $H[\lfloor i/2 \rfloor]$ .

# Heaps

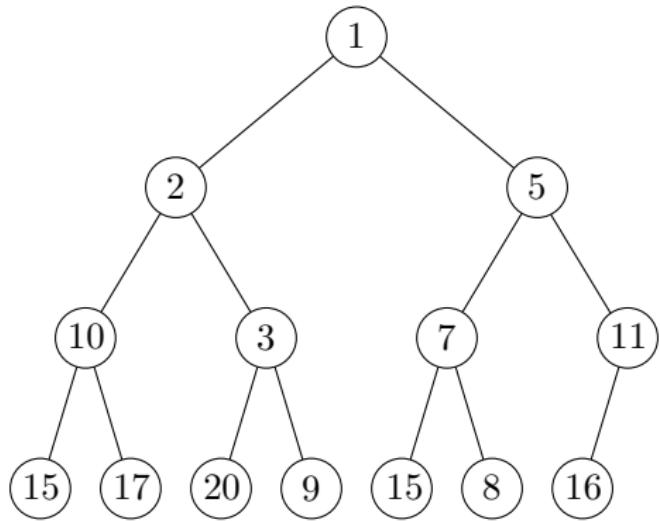
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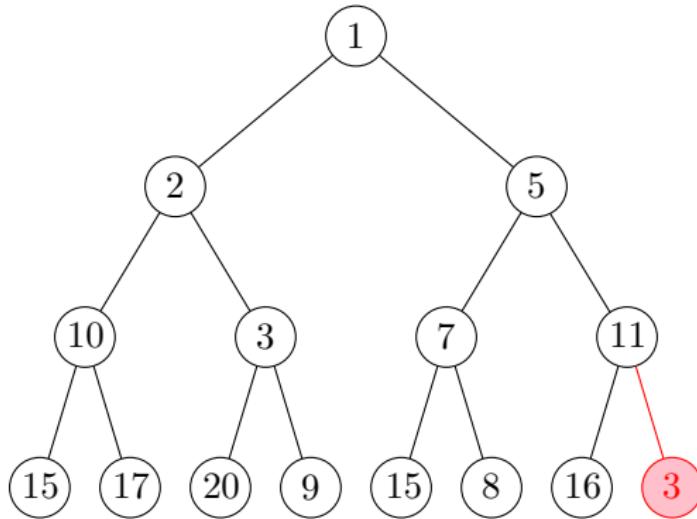
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- When the heap records  $n \leq N$  nodes, then they are recorded in  $H[1 \dots n]$ .

# Insertions

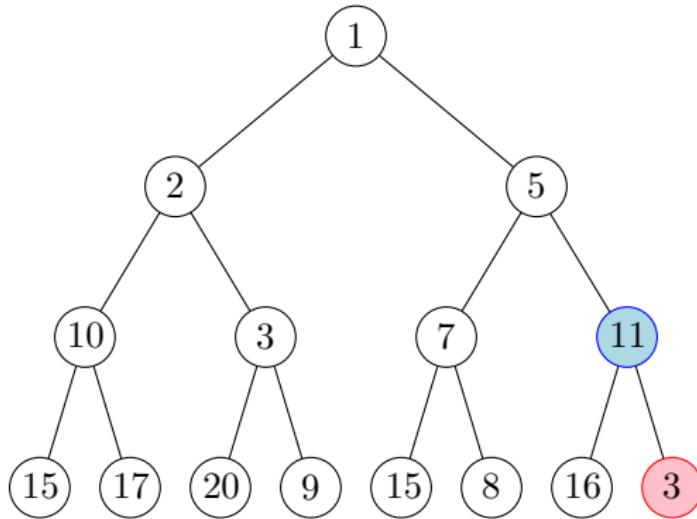


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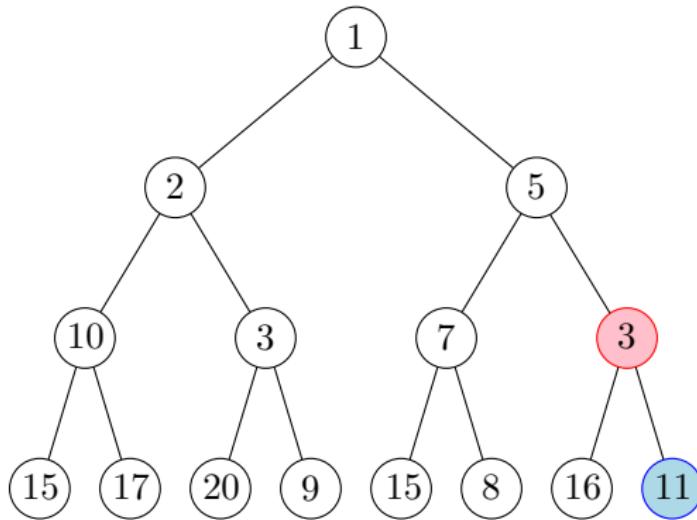
The new node is inserted at the last position

# Insertions



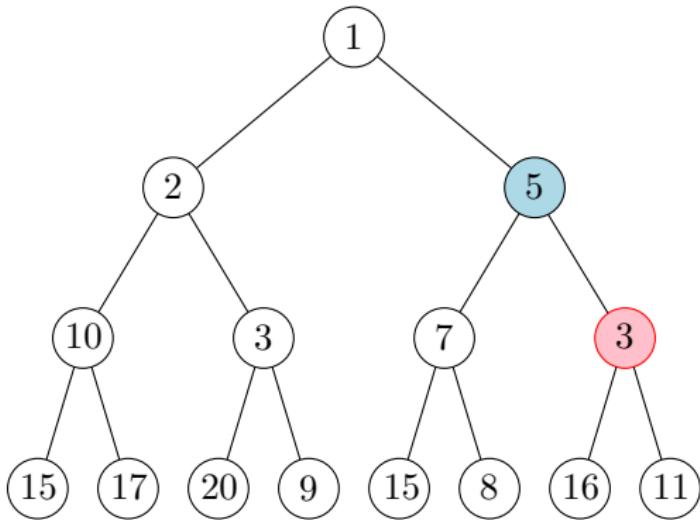
The heap property does not hold for the new node

# Insertions



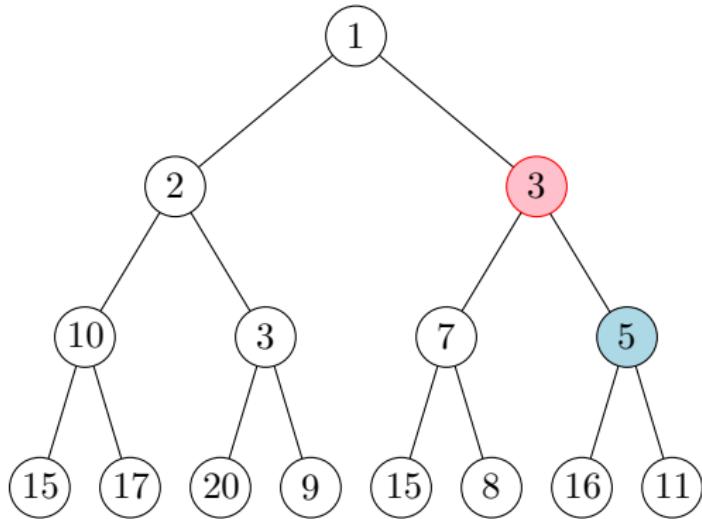
Fixing the heap

# Insertions



The heap property does not hold

# Insertions



Now the heap is fixed

# Insertions

- If the heap contains  $n$  nodes, the new node is inserted at  $H[n + 1]$ .
- Then we fix the heap by calling  $\text{HEAPIFY-UP}(H, n + 1)$

## Pseudocode

```
1: procedure HEAPIFY-UP( $H, i$ )
2:   if  $i > 1$  then
3:      $p \leftarrow \lfloor i/2 \rfloor$                                  $\triangleright p$  is the parent of  $i$ 
4:     if  $\text{key}(H[p]) > \text{key}(H[i])$  then
5:       Swap the contents of  $H[i]$  and  $H[p]$ 
6:       HEAPIFY-UP( $H, p$ )
```

- It takes time

# Insertions

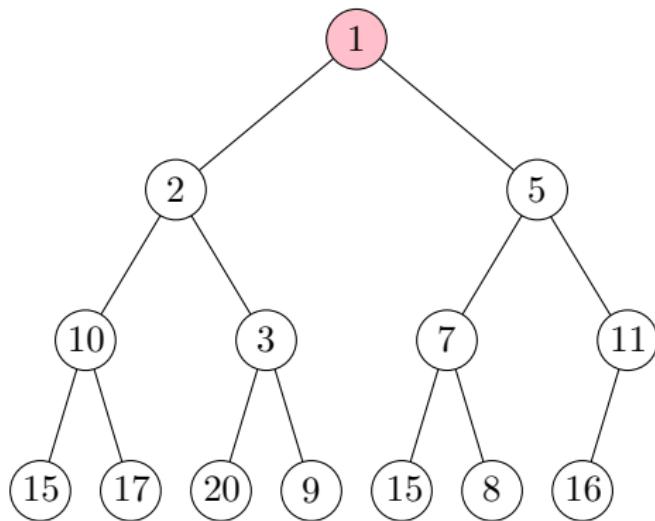
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4:     if  $\text{key}(H[p]) > \text{key}(H[i])$  then
5:       Swap the contents of  $H[i]$  and  $H[p]$ 
6:       HEAPIFY-UP( $H, p$ )
```

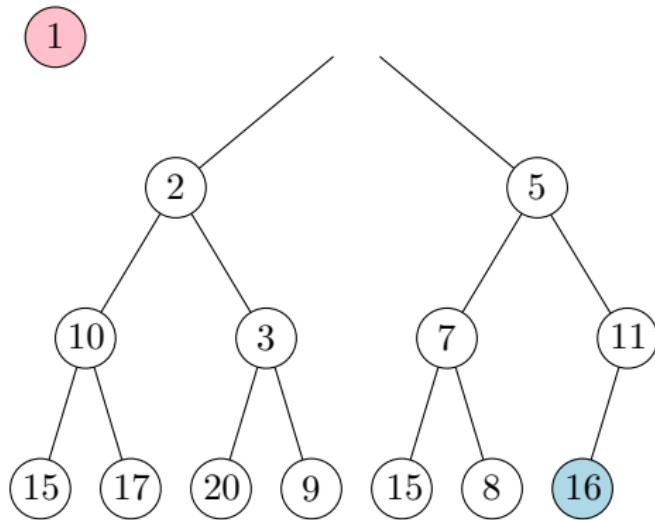
- It takes time  $O(\log n)$  because  $i$  gets halved at each recursive call.

# Extracting the Minimum



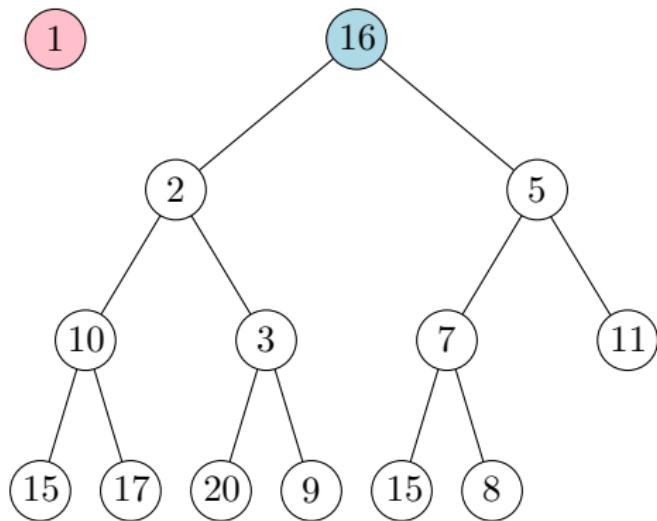
The minimum is at the root.

# Extracting the Minimum



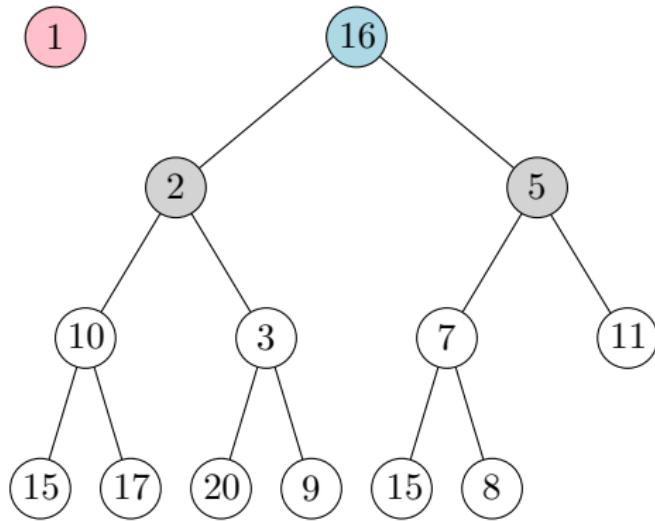
After we extract the minimum, a hole is left at the root.

# Extracting the Minimum



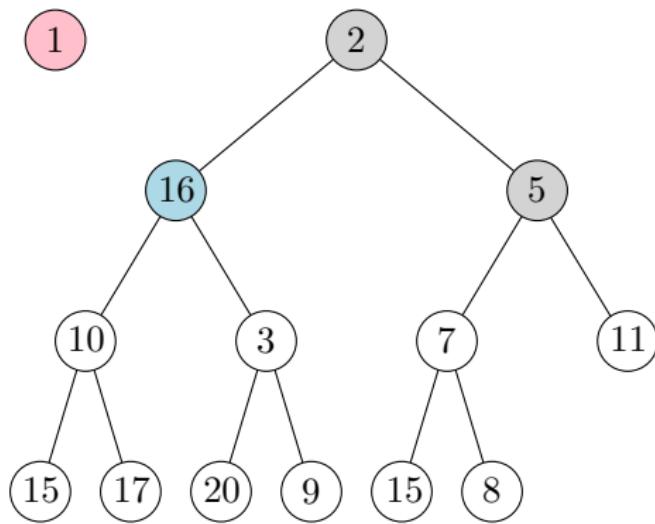
We move the last element to the root.

# Extracting the Minimum



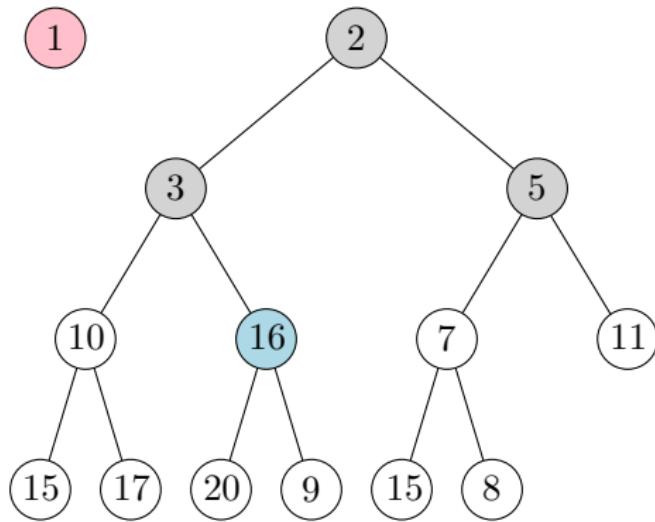
The heap property is violated.

# Extracting the Minimum



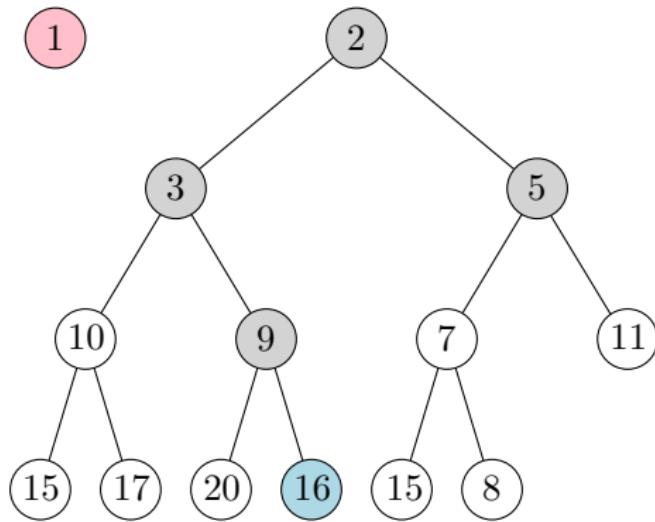
Fixing the heap.

# Extracting the Minimum



Fixing the heap.

# Extracting the Minimum



Now the heap is fixed.

# Extracting the Minimum

- The minimum is at the root node.
- So we first extract the root node.
- We replace it with the last node.
- We fix the heap property by calling  $\text{HEAPIFY-DOWN}(H)$ .  
(See next slide.)

# Extracting the Minimum

## Pseudocode

```
1: procedure HEAPIFY-DOWN( $H$ )
2:    $n \leftarrow \text{length}(H)$ 
3:    $i \leftarrow 1$ 
4:   while  $2i \leq n$  do
5:      $j \leftarrow \text{the index of the child of } i \text{ with smallest key.}$ 
6:     if  $\text{key}(H[i]) > \text{key}(H[j])$  then
7:       Swap the contents of  $H[i]$  and  $H[j]$ 
8:        $i \leftarrow j$ 
9:     else
10:    return
```

- This procedure runs in time

# Extracting the Minimum

## Pseudocode

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7:       Swap the contents of  $H[i]$  and  $H[j]$ 
8:        $i \leftarrow j$ 
9:     else
10:    return
```

- This procedure runs in time  $O(\log n)$  because  $i$  becomes  $2i$  or  $2i + 1$  at the end of each iteration of the WHILE loop.

# Heap Operations

## Theorem

A heap records a set of  $n$  elements using  $O(n)$  space. We can insert a new element in  $O(\log n)$  time, and extract the element with minimum key in  $O(\log n)$  time.

# Heap Operations

## Theorem

A heap records a set of  $n$  elements using  $O(n)$  space. We can insert a new element in  $O(\log n)$  time, and extract the element with minimum key in  $O(\log n)$  time.

- We can also delete any element  $H[i]$  in  $O(\log n)$  time:
  - ▶ First  $H[i] \leftarrow H[n]$ .
  - ▶ Then, if the key of  $H[i]$  is smaller than its parent, call  $\text{HEAPIFY-UP}(H, i)$
  - ▶ Otherwise, if the key of  $H[i]$  is larger than one of its child, call a modified version of  $\text{HEAPIFY-DOWN}$  that starts at  $H[i]$ .

# Priority Queues

- These two operations (INSERT and EXTRACTMIN) are the basic operations of an abstract data type called *priority queue*.
- Priority queues are often implemented using heaps, as they allow to perform each operation in  $O(\log n)$  time.

## Remarks

- We can sort a set of  $n$  numbers by inserting them all into a heap, and then extracting the minimum repeatedly.
- It takes

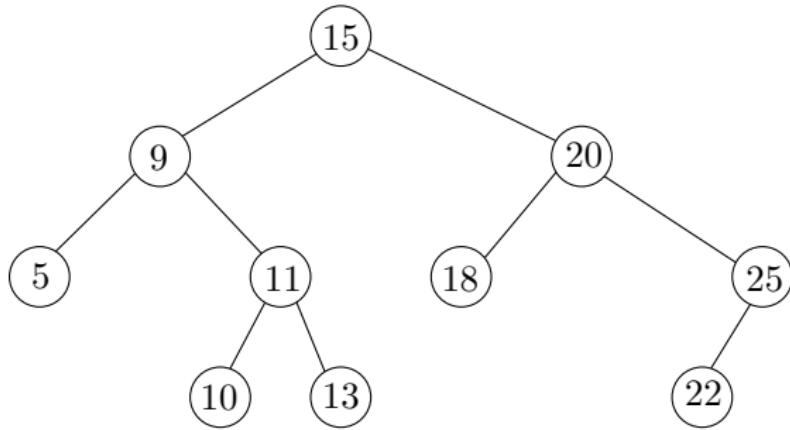
## Remarks

- We can sort a set of  $n$  numbers by inserting them all into a heap, and then extracting the minimum repeatedly.
- It takes  $O(n \log n)$  time.

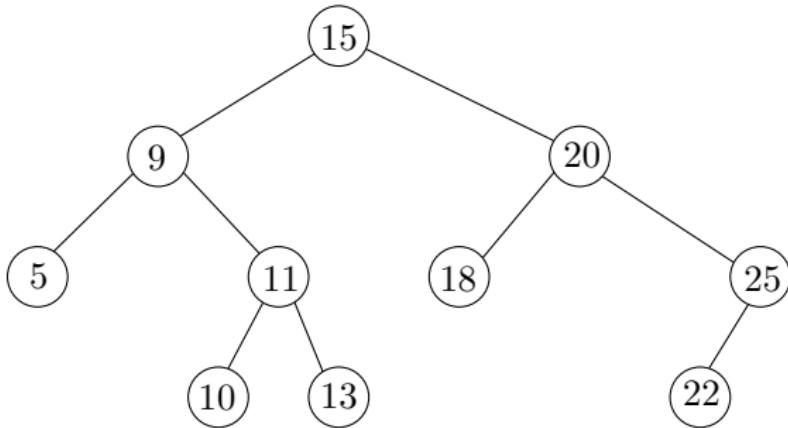
## Remarks

- We can sort a set of  $n$  numbers by inserting them all into a heap, and then extracting the minimum repeatedly.
- It takes  $O(n \log n)$  time.
- There is a slightly better way of sorting using a heap, called HEAPSORT, that inserts all the elements in  $O(n)$  time, but still needs  $\Theta(\log n)$  time for each extraction. (Not covered in CSE515.)

# Binary Search Trees



# Binary Search Trees

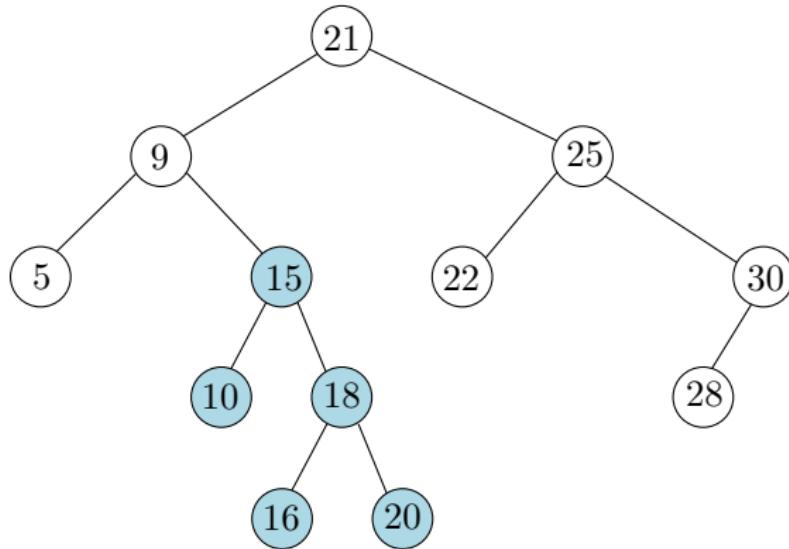


## Definition (Binary search tree)

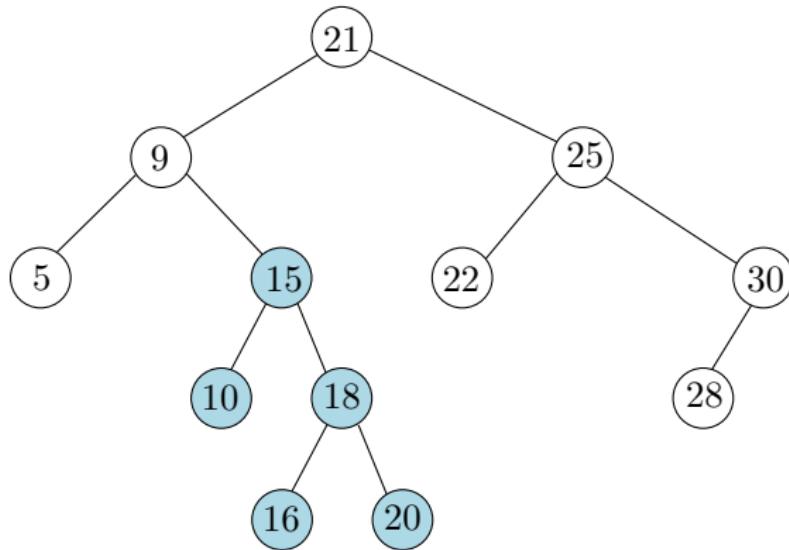
A *binary search tree (BST)*  $T$  is a binary tree that records a key at each node. Every node  $v$  of  $T$  has the following properties.

- For every node  $u$  in the left subtree of  $v$ , we have  $\text{key}(u) \leq \text{key}(v)$ .
- For every node  $w$  in the right subtree of  $v$ , we have  $\text{key}(w) \geq \text{key}(v)$ .

# Subtrees of a BST



## Subtrees of a BST



- BST with set of keys {5, 9, 10, 15, 16, 18, 20, 21, 22, 25, 28, 30}.

# Subtrees of a BST

## Proposition

*The keys stored in a subtree  $T'$  of a binary search tree  $T$  are consecutive. So if the keys of  $T$  are  $k_1 < k_2 < \dots < k_n$ , then  $T'$  stores  $k_i < k_{i+1} < \dots < k_j$  for  $1 \leq i \leq j \leq n$ .*

# Binary Search Trees

## Implementation

A node  $v$  of a BST records the following fields:

- $\text{key}(v)$  *the key of  $v$*
- $\text{left}(v)$  *pointer to the left child of  $v$*
- $\text{right}(v)$  *pointer to the right child of  $v$*

The pointer  $\text{left}(v)$  or  $\text{right}(v)$  is set to NIL if the corresponding child does not exist.

- Node  $v$  may also record satellite data

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- For instance, if  $T$  records points  $(x, y, z)$ , the key could be  $x$  and  $(y, z)$  could be the satellite data.

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- Node  $v$  may also record satellite data
- For instance, if  $T$  records points  $(x, y, z)$ , the key could be  $x$  and  $(y, z)$  could be the satellite data.
- In this lecture we do not use satellite data.

# Insertion into a BST

## Inserting key $k$ into a BST

```
1: procedure INSERT( $r, k$ )
2:   if  $r = \text{NIL}$  then
3:      $r \leftarrow \text{NEWNODE}(k)$ 
4:   else if  $k < \text{key}(r)$  then
5:     INSERT(left( $r$ ),  $k$ )
6:   else
7:     INSERT(right( $r$ ),  $k$ )
```

- The new key  $k$  is inserted from the *root* node  $r$  of the tree  $T$ .

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# Insertion into a BST

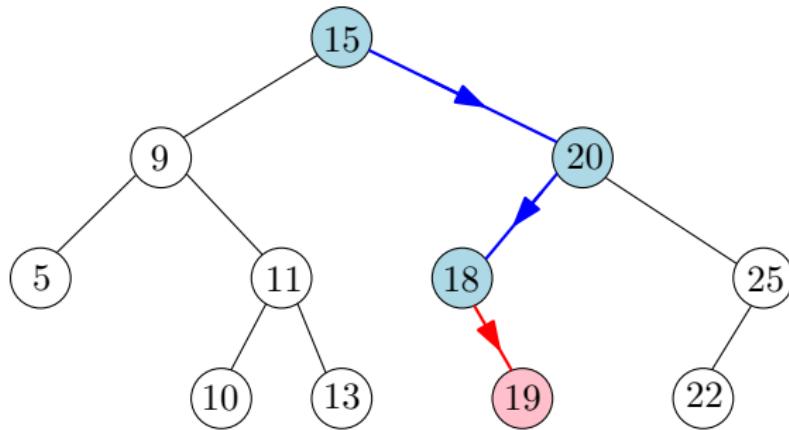
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- The new key  $k$  is inserted from the *root* node  $r$  of the tree  $T$ .
- The root node is the only node without parent.
- Insertion takes  $O(h + 1)$  time, where  $h$  is the height of the tree.

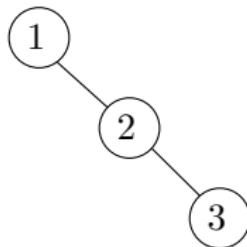
## BST Insertion: Example

- Inserting 19 into the tree from Slide 42

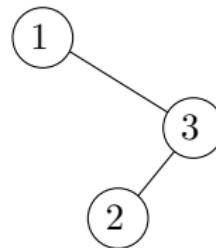


## BST Insertion Orders

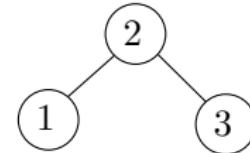
- The shape of a BST depends on the order of insertions.



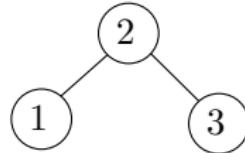
$1 \rightarrow 2 \rightarrow 3$



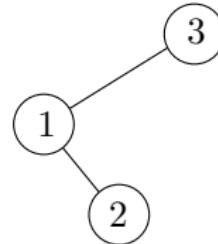
$1 \rightarrow 3 \rightarrow 2$



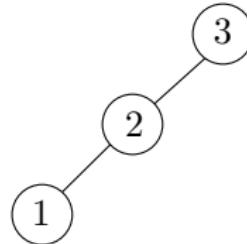
$2 \rightarrow 1 \rightarrow 3$



$2 \rightarrow 3 \rightarrow 1$



$3 \rightarrow 1 \rightarrow 2$



$3 \rightarrow 2 \rightarrow 1$

# In-Order Traversal

- The keys of a binary search tree  $T$  can be printed in nondecreasing order by calling the following procedure, called *in-order traversal*, from the root of  $T$ .

## Pseudocode

```
1: procedure IN-ORDER( $v$ )
2:   if  $v = \text{NIL}$  then
3:     return
4:   IN-ORDER(left( $v$ ))
5:   Print key( $v$ )
6:   IN-ORDER(right( $v$ ))
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```

- On the BST from Slide 42, it prints:

5   9   10   11   13   15   18   20   22   25

# Searching in a BST

## Problem (Searching)

*Given a binary search tree  $T$  and a key  $k$ , the **searching problem** is to decide whether  $k$  is the key of a node  $v$  of  $T$ , and if so, return  $v$ .*

- The procedure on next slide allows to search in a BST in  $O(h + 1)$  time, where  $h$  is the height of the tree.

# Searching in a BST

## Pseudocode

```
1: procedure SEARCH( $v, k$ )
2:   if  $v = \text{NIL}$  then
3:     return NOTFOUND
4:   if  $k < \text{key}(v)$  then
5:     return SEARCH(left( $v$ ),  $k$ )
6:   if  $k > \text{key}(v)$  then
7:     return SEARCH(right( $v$ ),  $k$ )
8:   return  $v$                                  $\triangleright k = \text{key}(v)$ 
```

# Balanced Binary Search Trees

- A BST with  $n$  nodes has height at least  $\lfloor \log n \rfloor$ , so the (worst case) search time is  $\Omega(\log n)$ .

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- So balanced BST have the same asymptotic search time as a sorted array, and allow efficient insertion/deletion. Sorted arrays, on the other hand, do not allow efficient insertion/deletion.

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- It is also possible to insert and delete nodes in  $\Theta(\log n)$  time in a balanced BST.
  - ▶ It requires to rebalance (change the structure) of the BST while inserting/deleting.
- So balanced BST have the same asymptotic search time as a sorted array, and allow efficient insertion/deletion. Sorted arrays, on the other hand, do not allow efficient insertion/deletion.
- Balanced binary search trees are not covered in CSE515, but you should know that they exist. (Covered in CSE221 Data structures.)