# 08. Dynamic Programming for Longest Common Subsequence and Optimal Binary Search Trees CPSC 535

Kevin A. Wortman





# Big Idea: Alternative Kinds of Solutions

- So far
  - Step 2. Derive a recurrence for an optimal value.
  - Recall rod cutting:

$$r_i = \max_{1 \le i \le n} (p_i + r_{n-i})$$

Recall matrix chain multiplication:

$$r_{i,j} = \min_{i \le k \le j} r_{i,k} + r_{k+1,j} + p_{i-1}p_kp_j$$

- ▶ Now: longest common subsequence (LCS)
  - not simply minimizing/maximizing one expression
  - instead, choose between three alternatives
  - 2D table, like matrix chain

#### Subsequences

- Let  $X = \langle x_1, x_2, \dots, x_m \rangle$  and  $Y = \langle y_1, y_2, \dots, y_n \rangle$  be two sequences
- ▶ Define **prefix** notation:  $X_k = \langle x_1, \dots, x_k \rangle$ ;  $X_0 = \langle \rangle$ 
  - if  $X = \langle 2, 7, 8, 1, 7, 1, 2 \rangle$  then  $X_3 = \langle 2, 7, 8 \rangle$
- ▶ Informally: a **subsequence** of *Y* is a copy of *Y* with some elements removed
- ▶ Formally: X is a **subsequence** of Y if there exists an increasing sequence of indices  $(i_1, i_2, ..., i_k)$  such that, for all  $j \in [1, k], x_j = y_{i_j}$
- Example: for  $X = \langle B, C, D, B \rangle$  and  $Y = \langle A, B, C, B, D, A, B \rangle$ , X is a subsequence of Y with index sequence  $\langle 2, 3, 5, 7 \rangle$

# Common Subsequence

- ▶ *Z* is a **common subsequence** of *X* and *Y*, if *Z* is a subsequence *X* and *Z* is a subsequence of *Y*
- ▶ a longest common subsequence is a common subsequence of maximum length
- **Example:** let  $X = \langle A, B, C, B, D, A, B \rangle$  and  $Y = \langle B, D, C, A, B, A \rangle$
- $ightharpoonup Z = \langle B, C, A \rangle$  is a common subsequence
- $ightharpoonup Z = \langle B, C, B, A \rangle$  is a longest common subsequence

```
Longest Common Subsequence (LCS) solution problem
```

**input:** sequences  $X = \langle x_1, x_2, \dots, x_m \rangle$  and  $Y = \langle y_1, y_2, \dots, y_n \rangle$ 

output: a longest common subsequence of X and Y

Longest Common Subsequence (LCS) value problem

input: (same)

**output:** the length of a longest common subsequence of X and Y

#### Design Process

- 1. Identify the problem's **solution** and **value**, and note which is our **goal**.
- 2. Derive a recurrence for an optimal value.
- 3. Design a divide-and-conquer algorithm that computes an **optimal value**.
- 4. Design a dynamic programming algorithm that computes an **optimal value**.
  - 4.1 top-down alternative: add table base case (memoization)
  - 4.2 **bottom-up** alternative: rewrite to use bottom-up loops instead of recursion
- 5. (if goal is a solution algo.) Design a dynamic programming algorithm that computes an **optimal solution**.

- 1. Identify the problem's solution and value, and note which is our goal.
- **solution:** a sequence e.g.  $\langle B, C, B, A \rangle$
- value: integer length of a sequence e.g. 4
- eventual goal is solution
- start with value

- 2. Derive a recurrence for an optimal value.
- ▶ Recall input:  $X = \langle x_1, x_2, \dots, x_m \rangle$  and  $Y = \langle y_1, y_2, \dots, y_n \rangle$
- ightharpoonup Recall *prefix:*  $X_i$  is first i elements of X
- ▶ Define  $LCS(X, Y) \equiv \text{length of longest common subsequence of } X \text{ and } Y$
- ► We need to define *LCS* recursively

- 2. Derive a recurrence for an optimal value.
- ▶ **Idea:** If last symbols  $x_m = y_n$  match, then extend a shorter common subsequence:  $LCS(X, Y) = LCS(X_{m-1}, Y_{n-1}) + 1$
- ▶ Else  $(x_m \neq y_n)$ , have to omit  $x_m$  or  $y_n$ 

  - Omit  $y_n$ :  $LCS(X, Y) = LCS(X, Y_{n-1})$
  - Want longest so

$$LCS(X, Y) = \max(LCS(X_{m-1}, Y), LCS(X, Y_{n-1}))$$

## Example

- ▶ Suppose  $X = \langle A, B, A, D \rangle$  and  $Y = \langle B, B, A, C, D \rangle$
- ▶ Last symbols match,  $x_4 = y_5 = D$ , so

$$LCS(X, Y) = LCS(X_{m-1}, Y_{n-1}) + 1$$
$$= LCS(\langle A, B, A \rangle, \langle B, B, A, C \rangle) + 1$$

- Now suppose  $X = \langle A, B, A, D \rangle$  and  $Y = \langle B, B, A, C, C \rangle$
- Last symbols differ  $(x_4 = D \text{ but } y_5 = C)$ , so

$$\begin{split} LCS(X,Y) &= \max(LCS(X_{m-1},Y_n),LCS(X_m,Y_{n-1})) \\ &= \max(\langle A,B,A\rangle,\langle B,B,A,C,C\rangle),LCS(\langle A,B,A,D\rangle,\langle B,B,A,C\rangle)) \end{split}$$

2. Derive a recurrence for an optimal value.

$$LCS(X_m, Y_n) = \begin{cases} 0 & m = 0 \\ 0 & n = 0 \\ LCS(X_{m-1}, Y_{n-1}) + 1 & x_m = x_n \\ \max(LCS(X_{m-1}, Y_n), LCS(X_m, Y_{n-1})) & \text{otherwise} \end{cases}$$

3. Design a divide-and-conquer algorithm that computes an optimal value.

# Matrix Chain Multiplication Step 4.a

- 4. Design a dynamic programming algorithm that computes an optimal value.
  - 4.1 top-down alternative: add table base case (memoization)
- Recall memoization: use a hash dictionary to make a "memo" of pre-calculated solutions
- create hash table T
- use pair (m, n) as key in table T, storing  $LCS(X_m, Y_n)$

# Matrix Chain Multiplication Step 4.a

```
1: function LCS-MEMOIZED(X[1..m], Y[1..n])
2:
      HASH-TABLE-CREATE(T)
      return LCS-M(T, X, Y)
4: end function
5: function LCS-M(T, X[1..m], Y[1..n])
6:
      q = \text{HASH-TABLE-SEARCH}(T, (m, n))
7:
      if a \neq NIL then
8:
9:
         return a
      end if
10:
       if m == 0 or n == 0 then
11:
          a = 0
12:
       else if X[m] == Y[n] then
13:
          q = LCS-M(T, X[1..m-1], Y[1..m-1]) + 1
14:
       else
15:
          a = \max(LCS-M(X[1..m-1], Y[1..n]), LCS-M(X[1..m], Y[1..n-1])
16:
       end if
17:
       a.key = (m, n)
18:
       HASH-TABLE-INSERT(a)
19:
       return a
20: end function
```

# Memoized Algorithm Analysis

- ▶ T contains  $\Theta(n^2)$  pairs (m, n)
- each entry is inserted exactly once
- in the general case, LCS-M takes  $\Theta(1)$  expected time
- ▶  $\Rightarrow$  LCS-MEMOIZED takes  $\Theta(n^2)$  expected time

- 4. Design a dynamic programming algorithm that computes an **optimal value**.
  - 4.1 top-down alternative: add table base case (memoization)
  - 4.2 bottom-up alternative: rewrite to use bottom-up loops instead of recursion
- create 2D array c where  $c[i][j] = LCS(X_i, Y_j)$
- **bottom-up:** write an explicit **for** loop that computes and stores every general case
- need to order loops so we never use an uninitialized element
- initialize all base cases before any general case

```
1: function LCS-BU(X[1..m], Y[1..n])
 2:
       Create array c[0..m][0..n]

    □ unusual index range

       for i from 0 to m do
           c[i][0] = 0
       end for
 6:
       for j from 1 to n do
                                                                                      \triangleright only initialize c[0][0] once
           c[0][i] = 0
 8.
       end for
g.
       for i from 1 to m do
10:
           for i from 1 to n do
               if X[i] == Y[j] then
11.
12:
                   c[i][i] = c[i-1][i-1] + 1
13:
               else
                  c[i][j] = \max(c[i-1][j], c[i][j-1])
14.
15:
               end if
           end for
16:
17.
       end for
18:
        return c[m][n]
19: end function
```

# Bottom-Up Analysis

- ▶ LCS-BU is clearly  $\Theta(n^2)$  time
- (easy analysis)

- 5. (if goal is a solution algo.) Design a dynamic programming algorithm that computes an **optimal solution**.
- **idea:** for each (i, j), record which alternative sub-solution defines c[i][j]:

  - $\uparrow \equiv c[i-1][j]$
  - $\leftarrow \equiv c[i][i-1]$
- define

$$b[i][j] \in \{ \nwarrow, \uparrow, \leftarrow \}$$

rewrite  $\max(c[i-1][j], c[i][j-1])$  as **if**/**else** so we can update b[i][j]

```
1: function LCS-SOLUTION(X[1..m], Y[1..n])
2:
3:
4:
5:
7:
89:
11:
        Create arrays c[0..m][0..n] and b[1..m][1..n]
        for i from 0 to m do
            c[i][0] = 0
        end for
        for j from 1 to n do
            c[0][i] = 0
        end for
        for i from 1 to m do
              for j from 1 to n do
                 if X[i] == Y[i] then
 12:
                    c[i][j] = c[i-1][j-1] + 1
 13:
                    b[i][i] = 
 14:
                 else if c[i-1][j] \ge c[i][j-1] then
 15:
                    c[i][i] = c[i-1][i]
 16:
                    b[i][i] = \uparrow
 17:
18:
19:
20:
21:
23:
                 else
                    c[i][i] = c[i][i-1]
                    b[i][j] = \leftarrow
                 end if
              end for
          end for
          return LCS-BTRACK(b, X, m, n)
 24: end function
```

□ only initialize c[0][0] once

```
1: function LCS-BTRACK(b[1..m][1..n], X[1..m], i, j)
       if i == 0 or i == 0 then
3.
          return ()
                                                                                    4:
       end if
       if b[i][j] == \nabla then
5:
          return LCS-BTRACK(b, X, i-1, j-1) + \langle X[i] \rangle
6:

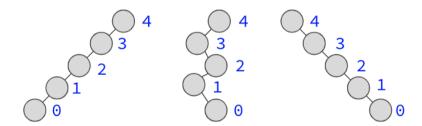
    □ append

       else if b[i][j] == \uparrow then
7:
8:
          return LCS-BTRACK(b, X, i-1, j)
9:
       else
          return LCS-BTRACK(b, X, i, j - 1)
10.
       end if
11.
12: end function
```

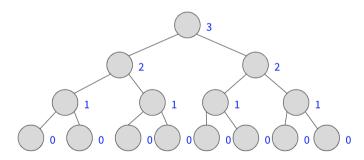
# Review: Binary Search Trees

- ▶ Recall Binary Search Tree (BST): fundamental data structure
- **Depth** of node x = length of path from root to x
- ▶ **Height** of tree = maximum depth of any node
- ▶ Time of a search = **depth** of search path
- Height
  - worst case =  $\Theta(n)$
  - ▶ best case =  $\Theta(\log n)$
- ▶ self-balancing BST maintains  $\Theta(\log n)$  height

#### Worst-Case BSTs



#### Best-Case BST



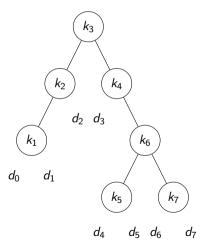
# Optimal BSTs

- Fix the sequence of search operations
- Optimal BST: minimizes total search time
  - including constant factors
- ▶ Total time for *n* elements and *k* searches:
  - ▶ any self-balancing BST:  $O(k \log n)$
  - optimal BST:  $O(k \log n)$  with lowest possible constant factor
- Goal
  - frequencly-visited elements near root
  - rarely-visited elements near leaves
  - tricky because a path visits multiple nodes; all count

## Problem Setup

- Given:
  - ordered keys  $K = \langle k_1, k_2, \dots, k_n \rangle$
  - "dummy" values  $d_0, d_1, \ldots, d_n$  represent values of failed searches, between keys
- ▶ for a given search and index i,
  - $p_i$  = probability that this is a successfull search for  $k_i$
  - $q_i$  = probability that this is a failed search for value  $d_i$

# Problem Setup



#### **Expected Search Cost**

Every search ends in a key  $k_i$  or dummy  $d_i$ , so

$$\sum_{i=1}^{n} p_i + \sum_{i=0}^{n} q_i = 1.$$

For tree T,

$$E[\operatorname{search in} T] = \sum_{i=1}^{n} (\operatorname{depth}_{T}(k_{i}) + 1) \cdot p_{i} + \sum_{i=0}^{n} (\operatorname{depth}_{T}(d_{i})) \cdot q_{i}$$
$$= 1 + \sum_{i=1}^{n} (\operatorname{depth}_{T}(k_{i})) \cdot p_{i} + \sum_{i=0}^{n} (\operatorname{depth}_{T}(d_{i})) \cdot q_{i}$$

Have: probabilities  $p_1, \ldots, p_n$  and  $q_0, \ldots, q_n$ 

Need: shape T to minimize sum

## Optimal BST Problem

Optimal Binary Search Tree (BST) solution problem

**input:** keys  $K = \langle k_1, k_2, \dots, k_n \rangle$ ; successfull-search probabilities  $p_1, p_2, \dots, p_n$ ; and failed-search

probabilities  $q_0, q_1, \ldots, q_n$ 

**output:** a BST T that contains K with minimum expected search cost

Optimal Binary Search Tree (BST) value problem

**input:** successfull-search probabilities  $p_1, p_2, \ldots, p_n$ ; and failed-search probabilities  $q_0, q_1, \ldots, q_n$ 

**output:** the minimum expected search cost of a tree that contains K

(Note: keys K unneeded for value problem.)

## Design Process

- 1. Identify the problem's **solution** and **value**, and note which is our **goal**.
- 2. Derive a recurrence for an optimal value.
- 3. Design a divide-and-conquer algorithm that computes an **optimal value**.
- 4. Design a dynamic programming algorithm that computes an **optimal value**.
  - 4.1 top-down alternative: add table base case (memoization)
  - 4.2 **bottom-up** alternative: rewrite to use bottom-up loops instead of recursion
- 5. (if goal is a solution algo.) Design a dynamic programming algorithm that computes an **optimal solution**.

- 1. Identify the problem's solution and value, and note which is our goal.
- ▶ solution: a BST T
- ▶ value:  $E[\text{search in }T] = 1 + \sum_{i=1}^{n} (\text{depth}_{T}(k_i)) \cdot p_i + \sum_{i=0}^{n} (\text{depth}_{T}(d_i)) \cdot q_i$
- goal is value

- 2. Derive a recurrence for an optimal value.
- Make one decision and recurse for the rest
- Decision: choose some key to be root
- ▶ Define  $e[i,j] = E[\text{search in optimal tree containing } k_i, ..., k_j]$
- ▶ Denote empty tree with j = i 1
- ▶ Base case: empty tree; cost is q<sub>i-1</sub>
- General case:
  - choose a split index r
  - recursively compute left subtree e[i, r-1]
  - recursively compute right subtree e[r+1,j]
  - add root on top; increases depths of subtrees

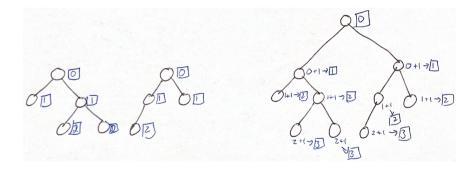
- Place root atop two subtrees
- ▶ +1 to path length of every descendant
- Recall

$$E[\operatorname{search in} T] = \sum_{i=1}^{n} (\operatorname{depth}_{T}(k_{i}) + 1) \cdot p_{i} + \sum_{i=0}^{n} (\operatorname{depth}_{T}(d_{i})) \cdot q_{i}$$
$$= 1 + \sum_{i=1}^{n} (\operatorname{depth}_{T}(k_{i})) \cdot p_{i} + \sum_{i=0}^{n} (\operatorname{depth}_{T}(d_{i})) \cdot q_{i}$$

- ▶ +1 to each path increases E[search in T] by  $\sum_{i=1}^{n} p_i + \sum_{i=0}^{n} \cdot q_i$
- Define

$$w(i,j) = \sum_{k=1}^{i} p_k + \sum_{k=0}^{j} \cdot q_k$$

# Adding a Root Increments Path Lengths



For a chosen root index r,

$$e[i,j] = e[i,r-1] + e[r+1,j] + w(i,j)$$

Optimize by choosing whichever root has minimal total cost:

$$e[i,j] = \begin{cases} q_{i-1} & \text{if } j = i-1 \\ \min_{r \in [i:j]} (e[i,r-1] + e[r+1,j] + w(i,j)) & \text{if } i \leq j \end{cases}$$

## Optimal BST Step 3 – core function

3. Design a divide-and-conquer algorithm that computes an **optimal value**.

```
1: function OBST-REC(p[1..n], q[0..n], i, j)
2:
3:
4:
       if j == (i-1) then
           return a[i-1]
       end if
5:
6:
7:
8:
       e = \infty
       for r from i to i do
           t = OBST-REC(p, q, i, r - 1) + OBST-REC(p, q, r + 1, j) + W(p, q, i, j)
           if t < e then
9:
               e = t
10:
            end if
11:
        end for
12.
        return e
13: end function
```

## Optimal BST Step 3 – helper functions

3. Design a divide-and-conquer algorithm that computes an **optimal value**.

```
1: function OBST-DC(p[1..n], q[0..n])
       return OBST-DC-REC(p, q, 1, n)
3: end function
4: function W(p[1..n], q[0..n], i, j)
5:
       w = 0
6:
7:
8:
       for k from i to i do
          w = w + p[k]
       end for
9:
       for k from i-1 to j do
10:
           w = w + q[k]
11:
       end for
12.
        return w
13: end function
```

# Optimal BST Step 4.a

- 4. Design a dynamic programming algorithm that computes an **optimal value**.
  - 4.1 top-down alternative: add table base case (memoization)
- create hash table T
- use pair (i,j) as key in table T, storing OBST-REC(p,q,i,j)

# Optimal BST Step 4.a - helper functions

```
1: function OBST-MEMOIZED(p[1..n], q[0..n])
      HASH-TABLE-CREATE(T)
      return OBST-DC-REC(p, q, T, 1, n)
4. end function
5: function W(p[1..n], q[0..n], i, j)
6:
      w = 0
      for k from i to j do
8:
9:
          w = w + p[k]
      end for
10:
       for k from i-1 to j do
11:
           w = w + q[k]
12:
       end for
13:
       return w
14: end function
```

# Optimal BST Step 4.a – core function

```
1: function OBST-M(p[1..n], q[0..n], T, i, j)
       q = \text{HASH-TABLE-SEARCH}(T, (i, i))
       if a \neq NIL then
4:
5:
6:
7:
8:
9:
           return a
       end if
       if i == (i-1) then
           return a[i-1]
       end if
       e = \infty
10:
       for r from i to i do
11:
            t = OBST-M(p, q, T, i, r - 1) + OBST-M(p, q, T, r + 1, i) + W(p, q, i, i)
12:
           if t < e then
13:
               e = t
14.
            end if
15:
        end for
16:
       e.key = (i, j)
17:
        HASH-TABLE-INSERT(e)
18:
        return e
19: end function
```

# Optimal BST Step 4.b

- 4. Design a dynamic programming algorithm that computes an **optimal value**.
  - 4.1 top-down alternative: add table base case (memoization)
  - 4.2 **bottom-up** alternative: rewrite to use bottom-up loops instead of recursion
- reate 2D array e where e[i][j] = OBST-REC(p, q, i, j)
- **bottom-up:** write an explicit **for** loop that computes and stores every general case

# Optimal BST Step 4.b

```
1: function OBST-BU(p[1..n], q[0..n])
 2:
       Create array e[1..n+1][0..n]
       for i from 1 to n+1 do
           e[i][i-1] = q[i-1]
       end for
       for \ell from 1 to n do
           for i from 1 to n-\ell+1 do
8:
              i = i + \ell - 1
9:
               e[i][i] = \infty
               for r = i to i do
10:
                   t = e[i][r-1] + e[r+1][i] + W(p,q,i,j)
11.
12:
                  if t < e[i][i] then
                      e[i][i] = t
13:
                   end if
14.
15:
               end for
           end for
16:
17.
       end for
18:
       return e[1][n]
19: end function
```

▷ unusual index range▷ base cases

p base east

# Optimal BST Bottom-Up Analysis

- Create array  $e: \Theta(n^2)$
- ▶ Base cases:  $\Theta(n)$
- General cases:
  - for loop over  $\ell$ :  $\Theta(n)$  iterations
  - nested **for** loop over  $i: \Theta(n)$  iterations
  - nested **for** loop over  $r: \Theta(n)$  iterations
  - ▶ call W(p,q,i,j):  $\Theta(n)$  time
- ▶ total  $\Theta(n^4)$  time
- bottleneck is calls to W
- can precompute and cache W values in their own table

# Optimal BST Final Draft

```
1: function OBST-BU(p[1..n], q[0..n])
2:
3:
4:
5:
6:
7:::.0:
11:
        Create array e[1..n+1][0..n]
        Create array w[1..n+1][0..n]
        for i from 1 to n+1 do
           e[i][i-1] = q[i-1]
            w[i][i-1] = a[i-1]
        end for
        for \ell from 1 to n do
            for i from 1 to n-\ell+1 do
                 i = i + \ell - 1
                 e[i][j] = \infty
 12:
                 w[i][j] = w[i][j-1] + p[j] + q[j]
 13:
                 for r = i to i do
 14:
                    t = e[i][r-1] + e[r+1][j] + w[i][j]
 15:
                    if t < e[i][i] then
 16:
17:
18:
19:
20:
21:
                         e[i][j] = t
                    end if
                 end for
              end for
          end for
          return e[1][n]
      end function
```

 $\triangleright$  unusual index range  $\triangleright$  w[i][j] = W(p, q, i, j)

# Optimal BST Final Draft Analysis

- three nested loop
- ▶ body of innermost loop is now only  $\Theta(1)$
- ▶ OBST-BU takes  $\Theta(n^3)$  time