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

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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:

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

- 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, ..., x_m \rangle and Y = \langle y_1, y_2, ..., 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 $Y = \langle y_1, y_2, \dots, y_n \rangle$
- Recall prefix: X_i is first i elements of X
- ▶ Define LCS(X, Y) ≡ length of longest common subsequence of X 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 x_m : $LCS(X, Y) = LCS(X_{m-1}, Y)$
 - 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**.

```
1: function LCS-DC(X[1..m], Y[1..n])
2:
      if m == 0 or n == 0 then
3:
         return 0
4:
      else if X[m] == Y[n] then
5:
         return LCS-DC(X[1..m-1], Y[1..n-1]) + 1
6:
      else
7:
         return \max(LCS-DC(X[1..m-1], Y[1..n]), LCS-DC(X[1..m], Y[1..n-1])
8:
      end if
9: end function
```

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])
       HASH-TABLE-CREATE(T)
3:
       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:
          return q
9:
       end if
10:
       if m == 0 or n == 0 then
11:
           q = 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:
           q = \max(LCS-M(X[1..m-1], Y[1..n]), LCS-M(X[1..m], Y[1..n-1])
16:
       end if
17:
       q.key = (m, n)
18:
       HASH-TABLE-INSERT(q)
19:
       return q
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])
       Create array c[0..m][0..n]

    □ unusual index range

 3:
       for i from 0 to m do
           c[i][0] = 0
 4:
 5:
       end for
 6:
       for j from 1 to n do
                                                     \triangleright only initialize c[0][0] once
 7:
           c[0][j] = 0
 8:
       end for
 9.
       for i from 1 to m do
10:
            for j from 1 to n do
               if X[i] == Y[i] 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:
               end if
15:
16:
           end for
        end for
17:
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]:

 - $\uparrow \equiv c[i-1][j]$
 - $\leftarrow \equiv c[i][j-1]$
 - 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:
6:
7:
8:
9:0:
        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
                                                                                       \triangleright only initialize c[0][0] once
            c[0][j] = 0
        end for
        for i from 1 to m do
             for j from 1 to n do
 11:
                 if X[i] == Y[j] 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][j] = c[i-1][j]
 16:
                     b[i][j] = \uparrow
 17:
                 else
 18:
                     c[i][j] = c[i][j-1]
 19:
                     b[i][i] = \leftarrow
 20:
21:
22:
23:
                 end if
             end for
          end for
          return LCS-BTRACK(b, X, m, n)
 24: end function
```

```
function LCS-BTRACK(b[1..m][1..n], X[1..m], i, j)
       if i == 0 or i == 0 then
 2:
 3:
           return ()
                                                        4.
       end if
 5:
       if b[i][j] == \mathbb{N} then
           return LCS-BTRACK(b, X, i-1, j-1) + \langle X[i] \rangle
6:

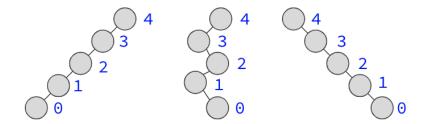
    □ append

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

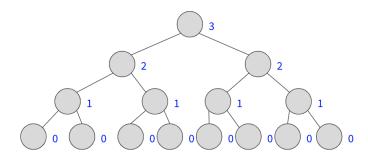
Review: Binary Search Trees

- 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



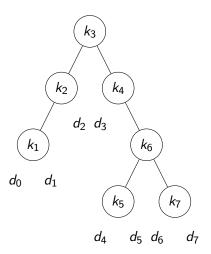
Optimal BSTs

- ▶ 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, \dots, 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
 - $ightharpoonup q_i$ = 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,

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

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 $K = \langle k_1, k_2, \ldots, k_n \rangle$; successfull-search probabilities p_1, p_2, \ldots, 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:

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

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_{i-1}
- 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

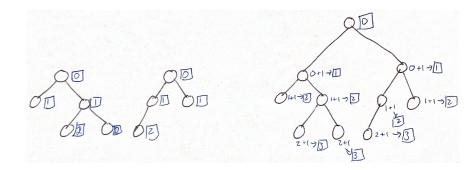
$$E[\text{search in } T] = \sum_{i=1}^{n} (\text{depth}_{T}(k_{i}) + 1) \cdot p_{i} + \sum_{i=0}^{n} (\text{depth}_{T}(d_{i})) \cdot q_{i}$$

$$= 1 + \sum_{i=1}^{n} (\text{depth}_{T}(k_{i})) \cdot p_{i} + \sum_{i=0}^{n} (\text{depth}_{T}(d_{i})) \cdot q_{i}$$

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

```
function OBST-REC(p[1..n], q[0..n], i, j)
2:
        if j == (i-1) then
3:
             return q[i-1]
 4:
        end if
5:
        e = \infty
6:
        for r from i to i do
7:
             t = \mathsf{OBST}\text{-REC}(p, q, i, r - 1) + \mathsf{OBST}\text{-REC}(p, q, r + 1, j) + \mathsf{W}(p, q, i, j)
            if t < e then
8:
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
   function W(p[1..n], q[0..n], i, j)
5:
       w = 0
6:
       for k from i to j do
 7:
           w = w + p[k]
8:
       end for
9:
       for k from i-1 to i 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)
3:
       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
7:
       for k from i to j do
8:
          w = w + p[k]
9:
       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)
2:
       q = \text{HASH-TABLE-SEARCH}(T, (i, j))
 3:
       if q \neq NIL then
4:
           return a
5:
       end if
6:
       if i == (i-1) then
7:
           return q[i-1]
8:
       end if
9:
       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, j) + W(p, q, i, j)
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
 - create 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])
       Create array e[1..n+1][0..n]
 2:

    □ unusual index range

 3:
       for i from 1 to n+1 do
           e[i][i-1] = q[i-1]
 4:
                                                                        base cases
 5:
       end for
 6:
       for \ell from 1 to n do
 7:
           for i from 1 to n-\ell+1 do
               i = i + \ell - 1
 8:
 9:
               e[i][j] = \infty
10:
               for r = i to i do
                   t = e[i][r-1] + e[r+1][j] + W(p,q,i,j)
11:
12:
                   if t < e[i][j] then
13:
                       e[i][j] = t
                   end if
14:
15:
               end for
16:
            end for
        end for
17:
18:
        return e[1][n]
19: end function
```

Optimal BST Bottom-Up Analysis

- Create array $e: \Theta(n^2)$
- ▶ Base cases: $\Theta(n)$
- General cases:
 - **for** loop over ℓ : $\Theta(n)$ 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:
8:
10:
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] = q[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][i] = \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][j] then
16:
                        e[i][j] = t
17:
18:
19:
20:
21:
                    end if
                 end for
             end for
         end for
         return e[1][n]
22: end function
```

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

base cases

Optimal BST Final Draft Analysis

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