

Course 50.050/50.550

Advanced Algorithms

Week 1 – Lecture L01.01



About this course

This course covers relevant foundations of **discrete mathematics** and other related mathematical areas, so that we can understand **advanced algorithms**, and how diverse mathematical ideas are used in **algorithm design**.

- ▶ Emphasis on understanding the underlying mathematics for algorithms beyond those covered in 50.004 (Algorithms).

Course Textbook:

- ▶ "Discrete Mathematics and Its Applications" (6th Edition), by Kenneth Rosen

Other Reference Books:

- ▶ "Concrete Mathematics: A Foundation for Computer Science" (6th Edition), by Donald Knuth, Oren Patashnik, and Ronald Graham.
- ▶ "Mathematics for Computer Science" by Eric Lehman, F. Thomson Leighton, and Albert R. Meyer.

Course materials, such as lecture slides, cohort class slides, and homework, will be available on [eDimension](#).



Teaching Team

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We shall be using **Ed Discussion** to help with your questions.

Grading

1D Project:	10% (Week 8)
Homework sets:	20% (for 6 HW sets)
4 Mini-quizzes:	15% (Weeks 3, 6, 10, 12)
Midterm Exam:	25% (Week 8)
Final Exam:	30% (Week 14)

Mini-quizzes:

- ▶ Best 3 of 4 mini-quiz scores will be counted towards final grade.
- ▶ Each mini-quiz is 15mins long (held during your cohort class).

Homework:

- ▶ Typically due on Fridays, 1pm.
- ▶ Homework submission is via [eDimension](#).
- ▶ Graded homework will be returned one week after submission.
- ▶ Suggested solutions to homework will be uploaded onto eDimension shortly before graded homework is returned.

Homework Grading

Each homework set is worth 20 marks.

- ▶ You should try your best not to spend more than one full afternoon to complete each homework set.
 - ▶ The good thing about homework sets is that you can spend as much time on them as you want.
 - ▶ If you are stuck with some homework question, don't give up!
- ▶ You are strongly encouraged to discuss the questions with your friends, as well as discuss on **Ed Discussion**. However, you must write up your own solutions.
- ▶ See eDimension for details on policy for late HW submission.
- ▶ Issues with homework grading must be raised **within one week** upon receiving the graded homework.

Outline of Lecture

- ▶ Sets, set operations
- ▶ Injections, surjections and bijections
- ▶ Countable sets vs uncountable sets
- ▶ Different “sizes” of infinities

What is a set?

A **set** is a well-defined collection of **distinct** objects.

- ▶ **Notation:** Given some distinct objects, we have to place them in between curly brackets $\{ \}$ to denote the set comprising these objects.
- ▶ **Example:** The set of all positive integers strictly below 10:

$$\{1, 2, 3, 4, 5, 6, 7, 8, 9\}$$

- ▶ **Example:** The following specific set of ASCII strings:

$$\{'A', 'x+y=z', 'Advanced Algorithms!', 'hello', 'ehofsjd'\}$$

We can also give a description of the set.

- ▶ **Example:** The set of all functions $f : A \rightarrow B$ for some fixed sets A and B .
- ▶ **Example:** The set of all non-empty ASCII strings.

Question: What is the difference between 0 and $\{0\}$?

Answer: 0 is a number, while $\{0\}$ is a set that contains a single number, the number 0 .

Basic properties of sets

A set is **unordered**.

- ▶ **Example:** $\{1, 2, 3\}$ and $\{3, 2, 1\}$ are the exact same set!

The objects contained in a set are called **elements**.

- ▶ **Example:** The set $\{2, 3, 5\}$ has three elements.
 - ▶ The three elements of this set are 2, 3, 5.

Elements of a set can be sets themselves.

- ▶ **Example:** The set $\{\{2, 3\}, \{5\}\}$ has two elements.
 - ▶ Both elements are sets themselves. They are $\{2, 3\}$ and $\{5\}$.
- ▶ **Example:** The set $\{1, \{2, 3\}, \{5\}\}$ has three elements.
 - ▶ Elements: one number and two sets of numbers.

An **empty set**, denoted by \emptyset (or \varnothing), is a set with no elements.

Question: What is the difference between \emptyset and $\{\emptyset\}$ and $\{\{\emptyset\}\}$?

Answer: \emptyset is a set with no elements.

$\{\emptyset\}$ is a set with one element, the empty set \emptyset .

$\{\{\emptyset\}\}$ is a set with one element, the set $\{\emptyset\}$ consisting of the empty set as its single element.



Naming conventions for sets

We can give names to sets.

- ▶ **Example:** We can say “Let $X := \{a, b, c\}$ be a set.” Then this set X has three elements. They are a, b, c .
 - ▶ Here, the symbol “ $:=$ ” indicates we are defining something.
 - ▶ Uppercase English letters are usually used to denote sets.
 - ▶ Lowercase English letters are usually used to denote elements.

The empty set \emptyset is sometimes also called the **null set**.

- ▶ **Alternative notation:** \emptyset is also sometimes written as $\{\}$.

A set with one element is called a **singleton** (or **singleton set**).

- ▶ **Example:** $\{\emptyset\}$ is a singleton consisting of the single element \emptyset .

A set with two elements is called a **pair** (or **unordered pair**).

Warning: Some authors may have different “writing” conventions.

- ▶ **Example:** Some authors write $\{1, 1, 2, 2, 3, 3\}$ and $\{1, 2, 3\}$ to mean the exact same set, consisting of three elements 1, 2, 3.
 - ▶ Similar: When you define a Python set and indicate repeated elements, those repeats are automatically ignored.



Basic notation related to sets

Suppose X and Y are sets.

- ▶ We write $x \in X$ to mean that x is an element of X .
- ▶ We write $x \notin X$ to mean that x is **not** an element of X .
- ▶ We write $X \subseteq Y$ to mean that X is a **subset** of Y .
 - ▶ This means that every element of X is also an element of Y .
 - ▶ It is possible that $X = Y$, i.e. X and Y could be the same set.
- ▶ We write $X \not\subseteq Y$ to mean that X is **not** a subset of Y .
 - ▶ This means that there is some element of X that is not an element of Y .
- ▶ We write $X \subsetneq Y$ to mean that X is a subset of Y that is not identically Y .
 - ▶ Same meaning as $X \subseteq Y$ **and** $X \neq Y$.
 - ▶ We say that X is a **proper** subset of Y .

Warning: Some authors write “ $X \subset Y$ ” instead of “ $X \subseteq Y$ ” to mean the same thing: X is a subset of Y , and possibly $X = Y$.

Set operations

Suppose X and Y are sets.

- ▶ **Set union:** $X \cup Y$ is the set containing those elements that are in X or Y or both.
 - ▶ e.g. if $X = \{1, 2\}$ and $Y = \{2, 3\}$, then $X \cup Y = \{1, 2, 3\}$.
- ▶ **Set intersection:** $X \cap Y$ is the set containing only those elements that are in both X and Y .
 - ▶ e.g. if $X = \{1, 2\}$ and $Y = \{2, 3\}$, then $X \cap Y = \{2\}$.
 - ▶ We say X and Y are **disjoint** if $X \cap Y = \emptyset$.
- ▶ **Set difference:** $X - Y$ is the set containing those elements in X that are not in Y .
 - ▶ e.g. if $X = \{1, 2\}$ and $Y = \{2, 3\}$, then $X - Y = \{1\}$.
 - ▶ Can you see why $X - Y$ and $X - X \cap Y$ are the same set?
- ▶ **Set exclusion:** If $Y \subseteq X$, then $X \setminus Y$ is the set $X - Y$.
 - ▶ When we write $X \setminus Y$, we are implicitly assuming that $Y \subseteq X$.
 - ▶ e.g. if $X = \{a, b, c\}$ and $Y = \{a, c\}$, then $X \setminus Y = \{b\}$.
- ▶ **Symmetric difference:** $X \Delta Y$ is the set containing those elements that are in either X or Y , but not in both X and Y .
 - ▶ $X \Delta Y$ is exactly the same as $(X \cup Y) \setminus (X \cap Y)$.
 - ▶ e.g. if $X = \{1, 2\}$ and $Y = \{2, 3\}$, then $X \Delta Y = \{1, 3\}$.
 - ▶ Symmetric difference is also called **disjunctive union**.



Complements of sets

Frequently, we study sets not in isolation, but as subsets of some “bigger” set, which we call the **universal set** or the **ground set**.

- ▶ What is considered the universal set depends on the context.
- ▶ **Example:** If we consider sets consisting of integers, then our universal set could be \mathbb{Z} , the set of all integers.

Once it is clear from the context what our universal set U is, then we can consider complements of sets.

Definition: The **complement** of a set X is the set $U \setminus X$.

- ▶ **Notation:** The complement of X is denoted by \overline{X} or X^c .
- ▶ **Note:** Complements of sets makes sense only when it is clear what the universal set U is.

Fact: Given any two sets A and B contained in the same universal set, we always have the following two set identities:

- ▶ $\overline{A \cup B} = \overline{A} \cap \overline{B}$ and $\overline{A \cap B} = \overline{A} \cup \overline{B}$.
- ▶ This is known as **De Morgan's laws** (for sets).



Important examples of sets of numbers

- ▶ \mathbb{Z} denotes the set of all **integers**.
 - ▶ $\mathbb{Z} = \{\dots, -3, -2, -1, 0, 1, 2, 3, \dots\}$.
- ▶ \mathbb{Z}^+ denotes the set of all **positive integers**.
 - ▶ $\mathbb{Z}^+ = \{1, 2, 3, \dots\}$.
- ▶ \mathbb{N} denotes the set of all **natural numbers**.
 - ▶ \mathbb{N} is also the set of all **non-negative integers**.
 - ▶ $\mathbb{N} = \{0, 1, 2, 3, \dots\}$.
 - ▶ **Warning:** Some authors write \mathbb{N} to mean \mathbb{Z}^+ .
- ▶ \mathbb{Q} denotes the set of all **rational numbers**.
 - ▶ \mathbb{Q}^+ denotes the set of all positive rational numbers.
- ▶ \mathbb{R} denotes the set of all **real numbers**.
 - ▶ \mathbb{R}^+ denotes the set of all positive real numbers.
 - ▶ $\mathbb{R}_{\geq 0}$ denotes the set of all non-negative real numbers.
- ▶ \mathbb{C} denotes the set of all **complex numbers**.
 - ▶ **Warning:** The notation \mathbb{C}^+ does not quite make sense.
 - ▶ **Note:** “positive” always means “ > 0 ”.
 - ▶ What does it mean for a complex number $x + iy$ to be positive?

Are there other kinds of numbers? Yes! More in Week 9.



Building new sets from existing sets

Question: How do we “construct” \mathbb{Q} ?

- ▶ We could define \mathbb{Q} as the **set** $\mathbb{Q} := \{\frac{p}{q} | p \in \mathbb{Z}, q \in \mathbb{Z}^+\}$.
 - ▶ e.g. we treat $\frac{1}{2}, \frac{2}{4}, \frac{3}{6}$ as being the same element in \mathbb{Q} .
- ▶ In other words, we built \mathbb{Q} from the two sets \mathbb{Z} and \mathbb{Z}^+ .

Set-builder notation: We can define a set X via the “format”

$$X := \left\{ \text{what the elements in } X \text{ look like} \mid \text{what conditions must hold} \right\}$$

- ▶ **Example:** $\{x | x \in \mathbb{R}, x > 5\}$ denotes the **set** of all x **such that** the conditions “ x is a real number”, and “ $x > 5$ ” are satisfied.
- ▶ We could also write $\{x | x \in \mathbb{R}, x > 5\}$ as $\{x \in \mathbb{R} | x > 5\}$.
- ▶ **Example:** $\{x \in \mathbb{Z} | x \text{ is a multiple of } 5\}$ is another set.

For this set-builder notation, we could also use “:” in place of “|”.

- ▶ **Example:** $\mathbb{R}^+ := \{x : x \in \mathbb{R}, x > 0\} = \{x \in \mathbb{R} : x > 0\}$.
- ▶ **Example:** $\mathbb{C} := \{x + y\sqrt{-1} : x, y \in \mathbb{R}\}$.

Power sets

Definition: Given a set X , the **power set** of X is the set containing all possible subsets of X .

- ▶ The power set of X is denoted by $\mathcal{P}(X)$ or 2^X .
- ▶ **Example:** The power set of the set $\{1, 2, 3\}$ is

$$\mathcal{P}(\{1, 2, 3\}) = \left\{ \emptyset, \{1\}, \{2\}, \{3\}, \{1, 2\}, \{1, 3\}, \{2, 3\}, \{1, 2, 3\} \right\}.$$

Theorem: Let $n \in \mathbb{N}$, and let X be a set with n elements. Then, the power set $\mathcal{P}(X)$ has 2^n elements.

Proof: What could a subset Y of X look like? For every element $x \in X$, either x is in Y or x is not in Y ; there are two possibilities for each x . Since X is a set with n elements, there are a total of 2^n different possibilities for what Y could contain. \square

- ▶ **Example:** $\mathcal{P}(\{1, 2, 3\})$ has $2^3 = 8$ elements.
- ▶ **Example:** $\mathcal{P}(\emptyset) = \{\emptyset\}$ has one element.
- ▶ **Example:** $\mathcal{P}(\{\emptyset\}) = \{\emptyset, \{\emptyset\}\}$ has two elements.



Cardinality of sets

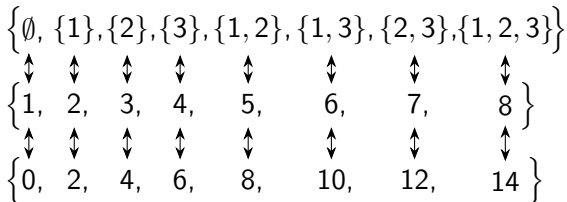
Definition: The **cardinality** of a set is its number of elements.

► **Notation:** The cardinality of a set X is denoted by $|X|$.

- The set $\mathcal{P}(\{1, 2, 3\})$ has cardinality $2^3 = 8$.
- The set $\{1, 2, 3, 4, 5, 6, 7, 8\}$ has cardinality 8.
- The set $\{0, 2, 4, 6, 8, 10, 12, 14\}$ also has cardinality 8.

Question: Given two sets A and B , how to tell whether $|A| = |B|$?

► Intuitively, A and B have the same cardinality if the elements of A “match up” with the elements of B .



► We can make this intuitive “matching up” idea precise by considering a **function** $f : A \rightarrow B$.

Quick recap: What exactly is a function?

A function can be written in the form $f : X \rightarrow Y$.

- ▶ X and Y are sets. We give the name “ f ” to this function.
- ▶ We can think of f as a map from set X to set Y .
 - ▶ Every element $x \in X$ is mapped to some element in Y that we denote by $f(x)$. We call $f(x)$ the **image of f at x** , or the **value of f at x** , or the **output of f at x** , or the **output value of f at x** .
 - ▶ We say that f is a function **from X to Y** .
- ▶ The **domain** of f is X , while the **codomain** of f is Y .
 - ▶ **Note:** The codomain of f may be different from the **range** of f .
 - ▶ The **range** (or **image**) of f is the set of possible output values of f .

Example: $f : \mathbb{R} \rightarrow \mathbb{R}$ given by $f(x) = x^2$ is the square function.

- ▶ When defining the mapping of f , we can write $x \mapsto x^2$ to mean exactly the same as $f(x) = x^2$ (for all x in the domain).
- ▶ This “maps to” symbol \mapsto allows us to define functions without necessarily having to give a name to the function.
 - ▶ $x \mapsto x^2$ with domain \mathbb{R} and codomain \mathbb{R} is the square function.

Note: Two functions with the same domain, codomain and mapping, are the same function, even if they have different names.



Injectons, surjections, bijections

Definition: Let $f : X \rightarrow Y$ be a function.

- ▶ f is **surjective** (or **onto**) if its range equals its codomain.
 - ▶ i.e. every $y \in Y$ is an output value of f at some $x \in X$.
- ▶ f is **injective** (or **one-to-one**) if f maps distinct elements of X to distinct elements of Y .
 - ▶ i.e. the only way for $f(x_1) = f(x_2)$ to be true is if $x_1 = x_2$.
- ▶ f is **bijective** if f is both injective and surjective.
- ▶ An **injection/surjection/bijection** is a function that is injective/surjective/bijective.

Fact: If f is a bijection from X to Y , then there exists a bijection from Y to X , called the **inverse** of f . This inverse is denoted by f^{-1} .

Examples:

- ▶ $f_1 : \mathbb{R} \rightarrow \mathbb{R}$ given by $x \mapsto x^2$ is neither injective nor surjective.
- ▶ $f_2 : \mathbb{R}_{\geq 0} \rightarrow \mathbb{R}_{\geq 0}$ given by $x \mapsto x^2$ is a bijection.
 - ▶ Its inverse f_2^{-1} (from $\mathbb{R}_{\geq 0}$ to $\mathbb{R}_{\geq 0}$) is given by $x \mapsto \sqrt{x}$.
- ▶ $f_3 : \mathbb{R} \rightarrow \mathbb{R}_{\geq 0}$ given by $x \mapsto x^2$ is surjective but not injective.
- ▶ $f_4 : \mathbb{R}_{\geq 0} \rightarrow \mathbb{R}$ given by $x \mapsto x^2$ is injective but not surjective.



Counting the number of elements in sets

Note: The cardinality of a finite set must be a number in \mathbb{N} .

- ▶ Conversely, if a set X has cardinality $|X| = n$ for some $n \in \mathbb{N}$, then X must be a finite set.
- ▶ Thus, we define a set X to be **finite** if $|X| = n$ for some $n \in \mathbb{N}$.

Definition: Given $n \in \mathbb{N}$ and a set X , we say X has **cardinality** n if there exists a **bijection** $f : X \rightarrow \{1, 2, \dots, n\}$.

- ▶ **Special case:** $X = \emptyset$ is the only possible set with cardinality 0.
- ▶ **Note:** The set $\{1, 2, \dots, n\}$ has cardinality n .

Definition: Two sets X and Y are said to have the **same cardinality** if there exists a **bijection** $f : X \rightarrow Y$.

Question: What does it mean when a set is **not** finite?

- ▶ A set that is not a finite set is called an **infinite** set.

Question of the day: Do all infinite sets have the same cardinality?

- ▶ Can we say that every infinite set has the same cardinality ∞ ?

Countably infinite sets

A set is called **countably infinite** if it has the same cardinality as \mathbb{N} .

- ▶ Intuitively, a set X is countably infinite if its elements can be matched up exactly with the non-negative integers.
 - ▶ We can think of this “matching up” as a sequence x_0, x_1, x_2, \dots (with indices in \mathbb{N}) that has all elements in X , without repeats.

Example: \mathbb{Z}^+ is countably infinite, since the function $f : \mathbb{N} \rightarrow \mathbb{Z}^+$ given by $x \mapsto x + 1$ is a bijection.

- ▶ We can think of a sequence x_0, x_1, x_2, \dots , where $x_k := k + 1$.

More generally, a set X is countably infinite if we can construct a sequence x_0, x_1, x_2, \dots , whose terms are indexed by \mathbb{N} , such that:

- ▶ Every x_i in this sequence is an element of X .
- ▶ Every $x \in X$ is one of the terms of the sequence.
- ▶ There are no repeated terms in the sequence.

Remark: Since there is a bijection from \mathbb{N} to \mathbb{Z}^+ , a set X is countably infinite if we can equivalently construct a sequence x_1, x_2, x_3, \dots , whose terms are indexed by \mathbb{Z}^+ , such that the above three conditions hold.



Countably infinite and countable sets

Example: Let $A := \{2n + 1 : n \in \mathbb{N}\}$ and $B := \{2n : n \in \mathbb{N}\}$.

- ▶ $A = \{\text{odd integers in } \mathbb{N}\}$, $B = \{\text{even integers in } \mathbb{N}\}$.
- ▶ Both A and B are countably infinite sets.
- ▶ **Interesting Fact:** A and B are disjoint subsets of \mathbb{N} .
 - ▶ A and B have the same cardinality as \mathbb{N} , yet both are proper disjoint subsets of \mathbb{N} , whose union $A \cup B$ equals \mathbb{N} .

Consequence: It is possible for a set X to be partitioned into two disjoint subsets A and B , both with the same cardinality as X .

- ▶ i.e. it is possible to split one set into two sets of the same size.
- ▶ Counter-intuitive things happen when we deal with infinite sets.

Question: Can you explain why \mathbb{Z} has the same cardinality as \mathbb{N} ?

- ▶ Can you write down an explicit bijection from \mathbb{N} to \mathbb{Z} ?

Question: Do you think \mathbb{Q} has the same cardinality as \mathbb{N} ?

Definition: A set is **countable** if it is finite or countably infinite.

- ▶ A set is **uncountable** if it is not countable.

Question: Are there uncountable sets?

Are there uncountable sets?

Answer: Yes. We claim that the real interval $(0, 1)$ is uncountable.

Suppose on the contrary that $(0, 1)$ is countable. This means we can have a sequence r_0, r_1, r_2, \dots consisting of all real numbers in $(0, 1)$.

Key Idea 1: Consider the decimal representations of r_0, r_1, r_2, \dots

$$r_0 = 0.d_{0,0}d_{0,1}d_{0,2}d_{0,3} \dots$$

$d_{i,j}$ is the $(j+1)$ -th decimal digit of r_i

$$r_1 = 0.d_{1,0}d_{1,1}d_{1,2}d_{1,3} \dots$$

e.g. if $r_0 = 0.2357 \dots$, then:

$$r_2 = 0.d_{2,0}d_{2,1}d_{2,2}d_{2,3} \dots$$

$d_{0,0} = 2, d_{0,1} = 3, d_{0,2} = 5, d_{0,3} = 7, \dots$

$$r_3 = 0.d_{3,0}d_{3,1}d_{3,2}d_{3,3} \dots$$

$$\vdots$$

Let $r \in (0, 1)$ have decimal representation $r = 0.a_0a_1a_2 \dots$, where

$$a_i = \begin{cases} 2, & \text{if } r_{i,i} = 1; \\ 1, & \text{if } r_{i,i} \neq 1. \end{cases}$$

Key Idea 2: The $(i+1)$ -th decimal digit of r and r_i are different.

- This means that r cannot appear in our sequence, yet r is an element of the real interval $(0, 1)$. Contradiction!



Different sizes for infinity

Definition: Given sets X and Y , we have $|X| \leq |Y|$ if there exists an injection from X to Y .

Remark: To show that $|X| < |Y|$, we must show that there is an injection from X and Y AND show that there is no possible bijection from X to Y .

So far, we have seen several infinite sets: \mathbb{N} , \mathbb{Z}^+ , etc.

- ▶ Countably infinite sets have the same cardinality as \mathbb{N} .
- ▶ We denote the cardinality $|\mathbb{N}|$ by \aleph_0 (read as aleph-nought).

We have also seen that $(0, 1) = \{x \in \mathbb{R} : 0 < x < 1\}$ is uncountable.

Fact: \mathbb{R} has the same cardinality as the real interval $(0, 1)$.

- ▶ The map $x \mapsto \tan(\pi x - \frac{\pi}{2})$ is a bijection from $(0, 1)$ to \mathbb{R} .
- ▶ **Consequence:** The set \mathbb{R} of real numbers is uncountable.
- ▶ We denote the cardinality $|\mathbb{R}|$ by 2^{\aleph_0} .

The **continuum hypothesis** is a statement in set theory that says:

There is no set X satisfying $|\mathbb{N}| < |X| < |\mathbb{R}|$.

Theorem: (Gödel, 1940) The continuum hypothesis is a statement that **cannot be proven**, i.e. it is not true, and it is not false!



Infinitely many sizes for infinity

Our exploration of infinite sets so far..

- ▶ \mathbb{N} has cardinality \aleph_0 , \mathbb{R} has cardinality 2^{\aleph_0} . We also know $\aleph_0 < 2^{\aleph_0}$.
- ▶ These cardinalities \aleph_0 and 2^{\aleph_0} are examples of **cardinal numbers**.

Theorem: The sets \mathbb{R} and $\mathcal{P}(\mathbb{N})$ have the same cardinality.

- ▶ Proof is out of syllabus, although not too hard.

Theorem: For any set X , we have $|X| < |\mathcal{P}(X)|$.

- ▶ **Russell's paradox:** The “set of all sets” cannot contain itself.
- ▶ More formally, a set cannot possibly contain its power set.

Consequence:

$$|X| < |\mathcal{P}(X)| < |\mathcal{P}(\mathcal{P}(X))| < |\mathcal{P}(\mathcal{P}(\mathcal{P}(X)))| < \dots$$

Note: The set of **cardinal numbers** extends the set of natural numbers:

$0, 1, 2, 3, \dots; \aleph_0, \aleph_1, \aleph_2, \aleph_3, \dots$

- ▶ Given $n \in \mathbb{N}$, we define \aleph_{n+1} to be the next smallest possible cardinal number after \aleph_n .
- ▶ The unprovability of the continuum hypothesis implies that we are unable to prove whether “ $\aleph_1 = 2^{\aleph_0}$ ” is true or false.



Summary

- ▶ Sets, set operations
- ▶ Injections, surjections and bijections
- ▶ Countable sets vs uncountable sets
- ▶ Different “sizes” of infinities