

# 6.006 Introduction to Algorithms

## Lecture Notes

Jason Ku & Erik Demaine, MIT

Yangming Li, self-study notes of MIT 6.006 (Spring 2020)

All rights reserved.

*These notes were transcribed and augmented by Yangming Li during self-study of MIT 6.006 (Spring 2020). All rights reserved.*

## 1. Course Objectives

- **Primary goal:** Teach you to solve computational problems.
- **Key skills:**
  - Designing correct algorithms and data structures.
  - Proving correctness (via induction, invariants).
  - Analyzing efficiency (asymptotic running time).
  - Communicating solutions clearly in writing.
- **Assessment:** Three quizzes covering
  1. Data structures & sorting
  2. Graph algorithms (shortest paths, etc.)
  3. Dynamic programming

## 2. Computational Problems & Algorithms

### 2.1 Formalizing a Problem

**Inputs:** a set  $I$

**Outputs:** a set  $O$

**Problem specification:** a relation  $R \subseteq I \times O$ ; for each  $i \in I$ , the valid outputs  $o \in O$  satisfy  $(i, o) \in R$ .

**Predicate form:** often given by a Boolean predicate  $P(i, o)$ .

**Example:** “Do any two students share the same birthday?”

### 2.2 Definition of an Algorithm

- A finite procedure (function) mapping each input  $i \in I$  to exactly one output  $a(i)$ .
- *Correctness:*  $\forall i \in I, P(i, a(i))$  holds.
- *Example:* Maintain a record of seen birthdays; for each new student, check record—if match, **return** pair; else append to record; at end **return** none.

## 2.3 Proving Correctness by Induction

**Inductive hypothesis:** After processing the first  $k$  inputs, if a match exists among them, the algorithm has already returned it.

**Base case ( $k = 0$ ):** Vacuously true.

**Inductive step:** Show that if it holds for  $k$ , it holds for  $k + 1$ : either a match was found among the first  $k$ , or the  $(k + 1)$ -th element matches one in the record.

## 3. Efficiency & Asymptotic Analysis

### 3.1 Measuring Performance

- Abstract away machine speed; count *basic operations* on a Word-RAM.
- Express cost as a function of input size  $n$ .
- Use asymptotic notation:  $O(\cdot)$  for upper bounds,  $\Omega(\cdot)$  for lower bounds,  $\Theta(\cdot)$  for tight bounds.

### 3.2 Common Growth Classes

$$O(1), \quad O(\log n), \quad O(n), \quad O(n \log n), \quad O(n^c) \ (c > 1), \quad O(2^{\Theta(n)}).$$

## 4. Word-RAM Model

- Memory = array of  $w$ -bit words, byte-addressable, random access in  $O(1)$ .
- CPU can load/store one word and perform arithmetic/comparison/bitwise ops in  $O(1)$ .
- Word size  $w$  must grow as  $\Omega(\log n)$  to address  $n$  memory cells.

## 5. Static Sequences & Arrays

### 5.1 Static Sequence Interface

`build(x)`: construct sequence from given items.

`length()`: return  $n$ .

`get_at(i)` / `set_at(i,v)`: access or modify element  $i$ .

`iter()`: traverse all items in order.

### 5.2 Implementation: Static Array

- Store items in a contiguous block of  $n$  words.
- Access via address  $\text{base} + i$  in  $O(1)$ .
- `build`, `iter`  $\in \Theta(n)$ , `get/set_at`  $\in O(1)$ .
- Dynamic updates (insert/delete) require shifting  $\Theta(n)$ .

## 6. Dynamic Sequences

### 6.1 Interface Extension

`insert_at(i,v)`, `delete_at(i)`: insert or remove at position  $i$ .

`insert_first/last(v)`, `delete_first/last()`: common special cases.

## 6.2 Linked List Implementation

- Singly-linked nodes storing `item` and `next` pointer.
- Maintain `head` (and optionally `tail` and `length`).
- `insert_first/delete_first`  $\in O(1)$ .
- `get_at(i)`, `set_at(i)`, `insert_at(i)`, `delete_at(i)` require walking  $O(n)$ .

## 7. Dynamic Arrays (“Amortized Arrays”)

- Store items in array of size  $\text{size} \geq n$ , maintain  $\frac{1}{2}\text{size} \leq n \leq \text{size}$ .
- `get/set_at`  $\in O(1)$  worst-case.
- `insert_last`: if  $n < \text{size}$ , do  $A[n] = v$ ,  $n++$  in  $O(1)$ . If  $n = \text{size}$ , allocate new array of size  $2n$ , copy  $\Theta(n)$ , then insert.
- *Amortized analysis*: over  $n$  inserts from empty, total resizing cost  $\sum_{i=1}^{\log n} 2^i = O(n)$ . `insert_last` is  $O(1)$  amortized.
- `delete_last` similarly  $O(1)$  amortized (with occasional shrink).

## 8. Comparative Summary

Operation	Static Array	Linked List	Dynamic Array
<code>get/set_at</code>	$O(1)$	$O(n)$	$O(1)$
<code>insert_first</code>	$\Theta(n)$	$O(1)$	$O(n)$
<code>insert_last</code>	$\Theta(n)$	$O(1)$	$O(1)$ amortized
<code>delete_first</code>	$\Theta(n)$	$O(1)$	$\Theta(n)$
<code>delete_last</code>	$\Theta(n)$	$O(n)$	$O(1)$ amortized
<code>insert/delete_at</code>	$\Theta(n)$	$O(n)$	$\Theta(n)$

*Next up*: exploring further data structures (balanced trees, hash tables), advanced amortized analyses, and practical implementations in Python’s `list` type.

## 1 Hashing and Hash Tables

### 1.1 Why we can’t beat $\Theta(\log n)$ in the comparison model

- In the *comparison model*, the only way to distinguish keys is by comparing them:

$$k_1 \stackrel{?}{<} k_2, \quad k_1 \stackrel{?}{=} k_2, \quad k_1 \stackrel{?}{>} k_2.$$

- Any comparison-based search algorithm can be viewed as a *decision tree* whose internal nodes are comparisons and whose leaves are *outputs* (either “found – return item” or “not found”).
- To store  $n$  distinct keys plus the answer “not found,” such a tree needs at least  $n + 1$  leaves.
- A binary tree with  $L$  leaves has height at least  $\lceil \log_2 L \rceil$ . Hence any comparison-based `find` must make *at least*  $\Omega(\log n)$  comparisons in the worst case.

## 1.2 Direct-Access Tables (“perfect hashing”)

- If keys are integers in a small universe  $[0, \dots, U - 1]$ , one can allocate an array of size  $U$  and store key  $k$  at index  $k$ . Then

$$\text{find, insert, delete} = \Theta(1)$$

worst-case time.

- But if  $U \gg n$ , this uses  $\Theta(U)$  space, which can be prohibitive.

## 1.3 Hash Tables with Chaining

- Allocate an array (“hash table”) of size  $m = \Theta(n)$ .
- Pick a *hash function*  $h : \{0, \dots, U - 1\} \rightarrow \{0, \dots, m - 1\}$ .
- To **insert** key  $k$ : append it to a small auxiliary structure (a *chain*) at bucket  $h(k)$ .
- To **find**  $k$ : go to bucket  $h(k)$  and scan its chain linearly looking for  $k$ .
- Time depends on the chain length at  $h(k)$ .

## 1.4 Universal Hashing

[Universal hash family] Let  $p > U$  be prime. For any  $a \in \{1, 2, \dots, p - 1\}$  and  $b \in \{0, 1, \dots, p - 1\}$  define

$$h_{a,b}(k) = ((a \cdot k + b) \bmod p) \bmod m.$$

The family

$$\mathcal{H} = \{h_{a,b} : 1 \leq a < p, 0 \leq b < p\}$$

is called *universal* if for any two distinct keys  $x \neq y$ ,

$$\Pr_{h \leftarrow \mathcal{H}} [h(x) = h(y)] \leq \frac{1}{m}.$$

## 1.5 Expected Chain Length & Running Time

- Fix any key  $k_i$  stored in the table. Let

$$X_{ij} = \begin{cases} 1 & \text{if } h(k_i) = h(k_j), \\ 0 & \text{otherwise,} \end{cases}$$

an indicator for “key  $k_j$  collides with  $k_i$ .”

- Then the length of the chain at bucket  $h(k_i)$  is

$$X_i = \sum_{j=1}^n X_{ij}.$$

- By linearity of expectation and universality,

$$[X_i] = \sum_{j=1}^n [X_{ij}] = 1 + \sum_{j \neq i} \Pr[h(k_i) = h(k_j)] \leq 1 + (n - 1) \frac{1}{m} = O(1) \quad (\text{if } m = \Theta(n)).$$

- Thus under a random choice of  $h \in \mathcal{H}$ , each chain has *expected* length  $O(1)$ .
- Consequently, all three operations—

**find, insert, delete**

—take *expected*  $O(1)$  time.

## 1.6 Summary

- In the comparison model, **find** on  $n$  items requires  $\Omega(\log n)$  time.
- By using *hash tables* with *universal* hashing and *chaining*, we achieve

$$[\mathbf{find}, \mathbf{insert}, \mathbf{delete}] = O(1), \quad \text{using } O(n) \text{ space.}$$

- This “randomized” worst-case guarantee holds over the choice of hash function and is independent of the key distribution.

## Problem Session#2

### 1. Solving Recurrences via Master Theorem

Recall the standard recurrence

$$T(n) = aT\left(\frac{n}{b}\right) + f(n),$$

and let  $\alpha = \log_b a$ . There are three main cases:

**Case 1:** If  $f(n) = O(n^{\alpha-\varepsilon})$  for some  $\varepsilon > 0$ , then

$$T(n) = \Theta(n^\alpha).$$

**Case 2:** If  $f(n) = \Theta(n^\alpha \log^k n)$  for some  $k \geq 0$ , then

$$T(n) = \Theta(n^\alpha \log^{k+1} n).$$

**Case 3:** If  $f(n) = \Omega(n^{\alpha+\varepsilon})$  for some  $\varepsilon > 0$  and  $a f(n/b) \leq c f(n)$  for some  $c < 1$ , then

$$T(n) = \Theta(f(n)).$$

**(a)**  $T(n) = 2T(n/2) + O(\sqrt{n})$  Here  $a = 2, b = 2 \implies \alpha = 1$ , and  $f(n) = O(n^{1/2}) = O(n^{1-\frac{1}{2}})$ , so Case 1 applies:

$$T(n) = \Theta(n^\alpha) = \Theta(n).$$

**(b)**  $T(n) = 8T(n/4) + O(n^{3/2})$  Here  $a = 8, b = 4 \implies \alpha = \log_4 8 = 3/2$ , and  $f(n) = O(n^{3/2}) = \Theta(n^\alpha)$ , so Case 2 with  $k = 0$ :

$$T(n) = \Theta(n^{3/2} \log n).$$

### 2. Searching an Unbounded Sorted List (“Infinity Stones”)

**Problem:** You have an infinite sequence of planets indexed  $1, 2, \dots$ , each with a hidden index. You can query a planet to ask if its index is *less*, *equal*, or *greater* than the target  $k$ . Design an  $O(\log k)$ -time algorithm.

### Solution: Exponential + Binary Search

1. *Exponential search*: Probe positions  $1, 2, 4, 8, \dots, 2^m$  until you find  $2^m \geq k$ . This takes  $O(m) = O(\log k)$  queries.
2. *Binary search*: Now  $k \in [2^{m-1}, 2^m]$ , so binary-search that interval in  $O(\log k)$  more queries.

Total time  $O(\log k)$ .

### 3. Layered-Image Document Data Structure

Maintain a document of  $n$  images (layers) with unique IDs, supporting:

<code>build()</code>	: $O(1)$ ,
<code>import(<math>x</math>)</code>	: $O(n)$ ,    add $x$ on top,
<code>display()</code>	: $O(n)$ ,    list all IDs top-to-bottom,
<code>move_below(<math>x, y</math>)</code>	: $O(\log n)$ ,    move layer $x$ just underneath $y$ .

#### Idea: Hybrid Set + Sequence

- Keep a *sorted array* of all IDs for  $O(\log n)$ -time **find** by binary search.
- Keep a *doubly-linked list* to store the current layer order, so that splicing (remove + insert) is  $O(1)$  given pointers.
- In the array, store with each key  $x$  a pointer to its linked-list node.

#### Operations

1. **build**: allocate empty array + empty list,  $O(1)$ .
2. **import( $x$ )**: binary-search/insert  $x$  in array =  $O(n)$ ; prepend to linked list =  $O(1)$ .
3. **display**: traverse linked list,  $O(n)$ .
4. **move\_below( $x, y$ )**:
  - (a) find  $x, y$  in array via binary search,  $O(\log n)$ ;
  - (b) in the linked list, splice out  $x$  and re-insert after  $y$ ,  $O(1)$ .

### 4. West-to-East Brick-Blowing Wolf

Given an array  $A[1..n]$  of positive integers (brick counts), define

$$D[i] = 1 + |\{j > i : A[j] < A[i]\}| \quad (1 \leq i \leq n).$$

Compute all  $D[i]$  in  $O(n)$  time.

**Naïve**: For each  $i$ , scan  $j = i + 1 \dots n$  to count all smaller,  $O(n^2)$ .

#### Two-Finger (“Sliding Window”)

- Notice that  $A[i]$  and the set of  $\{j > i : A[j] < A[i]\}$  both *monotonically* change as  $i$  increases.
- Maintain two pointers  $i = 1$  and  $j = 1$ .
- For each  $i = 1 \dots n$ :
  1. Advance  $j$  while  $j \leq n$  and  $A[j] < A[i]$ .
  2. Then  $D[i] = (j - 1) - i + 1 = j - i$ .

- Since neither  $i$  nor  $j$  ever decreases, each moves at most  $n$  steps  $O(n)$  total.

“Monotone queue” tricks like this yield many other  $O(n)$  solutions.

*End of Problem Session #2.*

### 3. Sorting: Beyond $\Theta(n \log n)$

#### 3.1 Comparison–Model Lower Bound

In the *comparison model*, any sorting algorithm compares keys pairwise. We can view its flow as a binary decision tree whose leaves correspond to the  $n!$  possible orderings (permutations) of the  $n$  inputs.

- A binary tree with  $L$  leaves has height at least  $\lceil \log_2 L \rceil$ .
- Here  $L = n!$ , so any comparison sort must make

$$\Omega(\log_2(n!)) = \Omega(n \log n)$$

comparisons in the worst case (e.g. by Stirling’s approximation or the simpler bound  $n!/2 \geq (n/2)^{n/2}$ ).

Thus  $\Theta(n \log n)$  is optimal for any comparison-based sort.

#### 3.2 Direct-Access (Counting) Sort

When keys are integers in a small universe  $\{0, 1, \dots, u-1\}$ , and we allow *direct access* to an array of length  $u$ , we can sort in  $O(n + u)$  time:

1. Allocate an array  $C[0..u-1]$  of empty lists.
2. **for**  $i \leftarrow 1$  to  $n$ : append item  $A[i]$  onto list  $C[A[i]]$ .
3. Scan  $k = 0$  to  $u-1$ , and for each element of  $C[k]$  (in insertion order), output it.

Work and space:  $O(n + u)$ . If  $u = O(n)$ , this is  $O(n)$  time.

#### 3.3 Radix Sort

To handle larger integer ranges  $u$ , write each key  $K$  in base  $n$  as

$$K = d_0 + d_1 n + d_2 n^2 + \dots + d_{m-1} n^{m-1}, \quad m = \lceil \log_n u \rceil,$$

with digits  $0 \leq d_j < n$ . Then sort by *tuples* of digits, from least to most significant, using a *stable*  $O(n)$ –time sort (e.g. counting sort) on each digit:

1. Decompose each  $K$  into its  $m$  base- $n$  digits.
2. **for**  $j = 0$  to  $m-1$ : stable-sort the array by digit  $d_j$  (counting sort on  $0..n-1$ ).

Total time

$$O(m(n + n)) = O(n \log_n u).$$

In particular, if  $u = n^c$  for constant  $c$ , then  $\log_n u = c$  and radix sort runs in  $O(n)$  time.

*Next:* practical stable-sorting implementations and applications of radix methods.

### 3. Problem Session 3.2: Hash-Backed Sequences

**Goal.** Using a black-box hash table supporting

$\text{build}(\{(k_i, x_i)\}) : O(n)$  expected  
 $\text{find}(k) \rightarrow (k, x) : O(1)$  expected  
 $\text{insert/delete}(k, x) : O(1)$  expected amortized

implement a *sequence* interface on items  $x$ :

$\text{build}(\langle x_0, \dots, x_{n-1} \rangle) : O(n)$  exp.  
 $\text{get\_at}(i), \text{set\_at}(i, x) : O(1)$  exp.  
 $\text{insert\_at}(i, x), \text{delete\_at}(i) : O(n)$  exp.  
 $\text{insert\_first/last}(x), \text{delete\_first/last}() : O(1)$  exp. amortized

#### 3.2.1 Index-Mapping for Random Access

Store each sequence entry  $x$  as a hash-table entry with

$\text{key} = i, \quad \text{value} = x.$

- $\text{get\_at}(i)$ :  $\text{find}(i).\text{value}.$
- $\text{set\_at}(i, x)$ :  $\text{find}(i).\text{value} \leftarrow x.$

#### 3.2.2 Rebuild for Arbitrary Insert/Delete

To support  $\text{insert\_at}$  or  $\text{delete\_at}$  at index  $i$ :

1.  $A \leftarrow \text{iter}()$  // extract items in order
2. Perform the array-style insert/delete on  $A$  in  $O(n)$ .
3.  $\text{build}(A)$  in  $O(n)$  to reconstruct the hash table.

#### 3.2.3 Fast Deque Ends via *First* Offset

Maintain an integer  $\text{first}$  so that the valid keys are  $\text{first}, \dots, \text{first} + n - 1$ . Keep also  $\text{length} = n$ .

- $\text{insert\_last}(x)$ :  $\text{insert}(\text{first} + n, (x)), n \mapsto n + 1.$
- $\text{delete\_last}()$ :  $\text{delete}(\text{first} + n - 1), n \mapsto n - 1.$
- $\text{insert\_first}(x)$ :  $\text{first} \leftarrow \text{first} - 1; \text{insert}(\text{first}, x), n \mapsto n + 1.$
- $\text{delete\_first}()$ :  $\text{delete}(\text{first}), \text{first} \leftarrow \text{first} + 1, n \mapsto n - 1.$

This preserves the invariant that the sequence occupies keys  $\text{first}, \dots, \text{first} + n - 1$ , and all operations run in  $O(1)$  expected amortized.

—

### 4. “Critic-Sort” (Problem 3)

Sort  $n$  items by various key types; points for faster vs. slower correct solutions.

1. (a) Integers in  $[-n..n]$ : map to  $[0..2n]$  by  $k \mapsto k + n$ , then *radix-sort* in  $O(n)$ .
2. (b) Strings of up to  $10 \log n$  letters:



- *Radix-sort* in base  $n$ : pack each string into one integer in  $[0, n^{10}]$  (treat as base- $n$  digit string), then radix-sort in  $O(n)$ .
3. (c) Integers in  $[0..n^2]$  : radix-sort in  $O(n)$ .
  4. (d) Rationals  $w/f \leq 1$ ,  $0 < w \leq f \leq n^2$  :
    - Comparison sort via  $\text{compare}(w_i/f_i, w_j/f_j) \iff w_i f_j \leq w_j f_i$  in  $O(n \log n)$ .
    - or *radix-sort*: map each  $w/f$  to  $\lfloor w n^4 / f \rfloor \in [0..n^6]$ , then radix-sort in  $O(n)$ .

—

## 5. “Gank-Frehry” (Problem 4)

Given deck  $D$  of  $n$  cards, each labeled by a letter  $a \dots z$ , define

$$P(D, i, k) = \text{sort}(D[i..i+k-1]) \quad (\text{cyclic indices}).$$

- (a) Build in  $O(n)$  time a DS answering in  $O(1)$  whether  $P(D, i, k) = P(D, j, k)$ .  
*Solution:* Maintain a length-26 *frequency table* of counts of  $a, b, \dots, z$  for each window of size  $k$ . Slide the window in  $O(1)$  per step (increment one count, decrement one count), record the 26-tuple; equality reduces to comparing 26 integers in  $O(1)$ .
- (b) Find the most frequent hand among all  $P(D, i, k)$ . Build all  $n$  frequency-tuples, radix-sort them (range  $[0..n]$  in each of 26 digits) in  $O(n)$ , then scan to pick the mode in  $O(n)$ .

## 6. Binary Trees (Part 1)

We now introduce *rooted binary trees* as a flexible, dynamic DWV (dynamic, writable, versatile) data structure supporting both *sequence* and *set* interfaces in  $O(h)$  time per operation, where  $h$  is the tree height.

### 6.1 Definitions

A *binary tree* is a collection of nodes, each with:

- **node.left**, **node.right**: pointers to children (or  $\perp$  if absent),
- **node.parent**: pointer to parent (or  $\perp$  at the root),
- **node.item**: the payload (key, value, or sequence element).

Key notions:

Subtree rooted at  $x$  :  $\{x\} \cup \{\text{all descendants of } x\}$ .

$(x) = \#\{\text{edges from root to } x\}$ ,

$(x) = \max\{(y) - (x) \mid y \in \text{subtree}(x)\}$ ,

Tree height  $h = (\text{root})$ .

### 6.2 In-Order (Traversal) Sequence

Define the “in-order” (or *traversal*) enumeration of nodes:

$$\text{inorder}(x) = \left\{ \text{inorder}(x.\text{left}), x, \text{inorder}(x.\text{right}) \right\}$$

recursively. This yields a total order on every subtree.

### 6.3 Basic Tree-Walk Primitives

All run in  $O(h)$  worst-case time:

```
[1] subtree_firstnode node.left  $\neq \perp$  node  $\leftarrow$  node.left node
[1] successornode node.right  $\neq \perp$  subtree_first(node.right) node is not a left child of its parent
node  $\leftarrow$  node.parent node.parent
```

### 6.4 Insertion in In-Order Position

Insert ‘new’ immediately after ‘node’ in traversal order:

```
[1] insert_afternode, new node.right =  $\perp$  attach new as node.right let  $s \leftarrow$  subtree_first(node.right)
attach new as  $s$ .left
```

### 6.5 Deletion of an Arbitrary Node

Delete ‘node’ from tree, preserving in-order:

```
[1] deletenode node is a leaf detach from parent node.left  $\neq \perp$  let  $p \leftarrow$  predecessor(node) swap ( $p$ .item, node.item)
delete( $p$ ) let  $s \leftarrow$  successor(node) swap ( $s$ .item, node.item) delete( $s$ )
Here predecessor is defined symmetrically to successor.
```

### 6.6 From Traversal to *Set* and *Sequence* Interfaces

- **Sequences:** store element  $x_i$  at the  $i$ th node in in-order;  $\text{insert\_at}(i, x) \rightarrow$  insert after the  $i-1$ st node, etc.
- **Sets (BSTs):** store key  $k$  in node so that the in-order is  $\uparrow k$ ;  $\text{find}(k)$  is just BST lookup in  $O(h)$ , as is  $\text{find\_prev}$ ,  $\text{find\_next}$  via predecessor/successor.

Next lecture: *balance* the tree to ensure  $h = O(\log n)$  and thus  $O(\log n)$  per operation.

## 7. AVL Trees: Height-Balanced BSTs

We now enhance our basic binary tree to guarantee  $h = O(\log n)$  by enforcing the *AVL (Adelson-Velskii–Landis)* *balance* condition: for every node  $x$ ,

$$|(x.\text{right}) - (x.\text{left})| \leq 1.$$

This ensures any AVL tree with  $n$  nodes has height  $h = O(\log n)$ .

### 7.1 Subtree-Augmented Height

Augment each node with its subtree height:

$$x.\text{height} = 1 + \max\{x.\text{left}.\text{height}, x.\text{right}.\text{height}\}.$$

Since “height” is a *subtree property* (computed from children in  $O(1)$  time), we maintain it in  $O(1)$  per node. Whenever an insertion/deletion (which only adds/removes a leaf) alters the tree, we walk up the ancestor chain—up to  $h$  nodes—recomputing height in  $O(h)$  total.

Define the *skew* of node  $x$  as

$$\text{skew}(x) = (x.\text{right}) - (x.\text{left}),$$

so height-balance means  $\text{skew}(x) \in \{-1, 0, 1\}$  for every node.

## 7.2 Tree Rotations

Two local tree rewrites, *right-* and *left-rotations*, preserve in-order traversal:

A left-rotation is symmetric. Each rotation takes  $O(1)$  pointer updates; afterward, update the two affected nodes' height.

## 7.3 Rebalancing After Insert/Delete

Upon inserting or deleting a leaf, walk up from the changed node to the root, updating **height** and checking skew. If  $\text{skew}(x) = \pm 2$ , let  $y$  be the “heavy” child of  $x$ :

$$y = \begin{cases} x.\text{right}, & \text{if } \text{skew}(x) = +2, \\ x.\text{left}, & \text{if } \text{skew}(x) = -2. \end{cases}$$

Compute  $\text{skew}(y)$ , then apply one of four cases:

$\text{bskew}(x)=+2$  and  $\text{skew}(y) \in \{0, +1\}$ : *single right-rotate* at  $x$ .

$\text{skew}(x) = -2$  and  $\text{skew}(y) \in \{0, -1\}$ : *single left-rotate* at  $x$ .

$\text{skew}(x) = +2$  and  $\text{skew}(y) = -1$ : *double rotation*—first left-rotate at  $y$ , then right-rotate at  $x$ .

$\text{skew}(x) = -2$  and  $\text{skew}(y) = +1$ : *double rotation*—first right-rotate at  $y$ , then left-rotate at  $x$ .

After each rotation, update **height** on the rotated nodes, then continue upward. Each rotation and height-update costs  $O(1)$ , and we perform at most one rotation per unbalanced node, yielding  $O(h)$  time for rebalancing.

## 7.4 AVL Tree Performance

- An AVL tree with  $n$  nodes satisfies  $h = O(\log n)$ .
- All basic BST operations—`find`, `find_prev/next`, `insert`, `delete`, `get_at/insert_at/delete_at`, etc.—now run in  $O(h) = O(\log n)$  worst-case time.
- Build (from scratch) in  $O(n)$  via repeated leaf-insert plus rebalancing, or  $O(n \log n)$  via BST `insert`; iteration in  $O(n)$ .

Thus AVL trees give us a single, unified data structure supporting both the *set* and *sequence* interfaces in  $O(\log n)$  time per update or query.

## Problem Session 4: Binary Trees & Heaps

### Data Structures Reviewed

- **Set Interface**

Array (unsorted)	$O(1)$ build, $O(n)$ find/insert/delete
Sorted array/set AVL	$O(n \log n)$ build, $O(\log n)$ query, $O(n)$ insert/delete
Hash table	$O(n)$ build, $O(1)$ expected ops, no order queries
Balanced BST (AVL)	$O(n \log n)$ build, $O(\log n)$ all ops including order queries
- **Sequence Interface**

– Array / dynamic array:  $O(1)$  random access,  $O(n)$  insert/delete at ends or middle

- Sequence AVL tree:  $O(\log n)$  all sequence ops (indexed access, insert/delete at index)
- **Priority Queue (Min/Max)**
  - Binary heap:  $O(n)$  build,  $O(\log n)$  insert/delete\_max or delete\_min

## Measuring Empirical Performance

- Implemented all recitation data structures in Python
- Measured build, access, insert, delete times on same hardware
- Observations:
  - Array build/access: very fast (C-intrinsic), constant time
  - Dynamic array insert/delete at end: amortized  $O(1)$
  - Linked-list sequence delete/insert at head:  $O(1)$
  - AVL sequence insert/delete at arbitrary index:  $O(\log n)$
  - Sorted array set: fast lookup, slow updates
  - AVL set: balanced performance across all ops

## Sequence AVL Tree Deletion Example

1. Given a sequence AVL tree with stored *height* and *subtree size* at each node
2. Perform `delete_at(8)`:
  - Navigate by comparing target index to left-subtree size
  - Remove the found node, splice children as usual
  - On the path back to the root, update:
 
$$\text{size} \leftarrow 1 + \text{size}(\text{left}) + \text{size}(\text{right}), \quad \text{height} \leftarrow 1 + \max(\text{height}(\text{left}), \text{height}(\text{right}))$$
  - If any node becomes unbalanced ( $|\Delta| > 1$ ), apply rotations:
    - *Right rotation*: for left-heavy case
    - *Left-right* / *right-left* double rotations: for zig-zag cases
3. Each delete costs  $O(\log n)$  for navigation +  $O(1)$  per rotation, at most  $O(\log n)$  rotations

## Problem 4.1: “Nick Fury” Extremes

**Goal:** From an array of  $n$  opinions (positive/negative), find the  $\log n$  most extreme values.

- *Model API*:
 
$$\text{BUILD}(\text{array}) = O(n), \quad \text{DELETE\_MAX}() = O(\log n)$$
- **Reduction to priority queue:**
  1. Build heap on absolute values in  $O(n)$
  2. Repeat  $\log n$  times: DELETE\_MAX to extract extremes
  3. Total:  $O(n + (\log n) \cdot \log n) = O(n)$
- **Space-restricted variant:** only  $O(\log n)$  extra space
  - Maintain a set AVL tree of size  $\log n$  holding current top extremes
  - For each new opinion:
    - \* Insert into tree, remove smallest if size exceeds  $\log n$
  - Each op  $O(\log \log n)$  on size- $\log n$  tree;  $n$  such ops  $\Rightarrow O(n \log \log n)$

## Problem 4.3: Top- $k$ Bidders

### Operations:

- `new_bid(id, $)` / `update_bid(id, $)` in  $O(\log n)$
- `get_revenue()`: sum of top  $k$  bids in  $O(1)$

### Data structure design:

- **DictAVL** keyed by bidder ID  $\rightarrow$  node pointers
- **HighAVL** (size  $k$ ) on bid amounts (max-heap semantics)
- **LowAVL** (size  $n - k$ ) on bid amounts
- **TotalRevenue**: integer sum of bids in HighAVL

### Maintaining invariants:

#### 1. On `new_bid/update_bid`:

- Via DictAVL, locate and remove old entry from one of HighAVL/LowAVL
- Reinsert updated bid into appropriate tree:

$$\begin{cases} \text{if } \$ \geq \min(\text{HighAVL}) & \rightarrow \text{HighAVL, update TotalRevenue} \\ \text{else} & \rightarrow \text{LowAVL} \end{cases}$$

- If HighAVL size  $> k$ , move its minimum to LowAVL (adjust TotalRevenue)
- If HighAVL size  $< k$ , move maximum from LowAVL to HighAVL

#### 2. All operations use $O(1)$ cross-links + $O(\log n)$ AVL ops $\Rightarrow O(\log n)$

#### 3. `get_revenue()`: return TotalRevenue in $O(1)$

## Problem 4.4: Receiver Roster (Rank Queries)

### Operations:

- `record_game(playerID, gameID, points)` / corrections in  $O(\log n)$
- `find_kth_best(k)`: return player with  $k$ -th highest average in  $O(\log n)$

### Data structure design:

- **PlayerAVL** keyed by playerID  $\rightarrow$  node pointers
  - Each node stores nested **GameAVL** (per-player game records)
  - Augment with *sumPoints* and *gameCount*
- **RankAVL** keyed by average performance ( $\sum / c$ ) with subtree-size augment

### Maintaining invariants:

- On `record_game/update`:

1. Use PlayerAVL  $\rightarrow$  locate player node
2. Update its GameAVL (insert/delete), adjust *sumPoints*, *gameCount*
3. Remove & reinsert player in RankAVL (key changes), update subtree sizes

- `find_kth_best(k)`: in RankAVL, perform SELECT via subtree sizes in  $O(\log n)$

## 8. Binary Heaps & Heapsort

Today we introduce the *binary heap*, an array-based tree structure implementing the **priority queue** interface in  $O(\log n)$  time per operation and yielding an in-place  $n \log n$  sort.

### 8.1 Priority Queue Interface

Store a set of items with keys (priorities) and support:

<code>insert(<math>x</math>) :</code>	add item $x$ with key $x.\text{key}$ .
<code>find_max() :</code>	return item with largest key, or $\perp$ .
<code>delete_max() :</code>	remove and return the max-key item, or $\perp$ .
<code>build(<math>\{x_i\}_{i=1}^n</math>) :</code>	construct PQ on $n$ items.

### 8.2 Heapsort by PQ

Any PQ with `build` in  $T_{\text{build}}(n)$  and `delete_max` in  $T_{\text{max}}(n)$  induces:

$$T_{\text{sort}}(n) = T_{\text{build}}(n) + \sum_{i=1}^n T_{\text{max}}(i) \quad \text{or} \quad n \cdot T_{\text{insert}}(n) + T_{\text{max}}(n).$$

In particular, a heap with  $T_{\text{build}} = O(n)$  and  $T_{\text{max}} = O(\log n)$  yields  $O(n \log n)$  in-place.

### 8.3 Complete Binary Trees in an Array

An  $n$ -node *complete binary tree* is filled level by level, left to right. Its nodes are stored in an array  $Q[0..n-1]$  in *level order*. For index  $i$ :

$$\text{left child: } 2i+1, \quad \text{right child: } 2i+2, \quad \text{parent: } \lfloor (i-1)/2 \rfloor.$$

This array uses no pointers—an *implicit-tree* representation.

### 8.4 Max-Heap Property

$Q$  is a *max-heap* iff for every  $i$ :

$$Q[i].\text{key} \geq \begin{cases} Q[2i+1].\text{key}, \\ Q[2i+2].\text{key}, \end{cases}$$

whenever those children exist. By induction, each node's key is  $\geq$  all keys in its subtree. Hence the maximum lies at  $Q[0]$ .

### 8.5 Insertion: `heapify_up`

[1] `InsertQ, x` append  $x$  at  $Q[\text{size}-1]$  `HEAPIFY_UP( $Q$ ,  $i = \text{size}-1$ )` `heapify_upQ, i`  $i = 0$  at root  $p \leftarrow \lfloor (i-1)/2 \rfloor$   $Q[p].\text{key} < Q[i].\text{key}$  swap  $Q[p] \leftrightarrow Q[i]$  `HEAPIFY_UP( $Q$ ,  $p$ )` Runs in  $O() = O(\log n)$ .

### 8.6 Delete-Max: `heapify_down`

[1] `Delete_MaxQ` `size = 0`  $\perp \text{ret} \leftarrow Q[0]$  swap  $Q[0] \leftrightarrow Q[\text{size}-1]$  `size -= 1` `HEAPIFY_DOWN( $Q$ ,  $0$ )` `ret` `heapify_downQ, i` let  $\ell = 2i+1$ ,  $r = 2i+2$  children  $\ell \geq \text{size}$  leaf  $j \leftarrow \ell$   $r < \text{size}$  and  $Q[r].\text{key} > Q[\ell].\text{key}$   $j \leftarrow r$   $Q[j].\text{key} > Q[i].\text{key}$  swap  $Q[i] \leftrightarrow Q[j]$  `HEAPIFY_DOWN( $Q$ ,  $j$ )` Also  $O(\log n)$  worst-case.

## 8.7 Heapsort and In-Place Build

Heapsort on array  $A[0..n-1]$ :

1. *In-place build\_heap*( $A$ ) in  $O(n)$  by calling `HEAPIFY_DOWN`  $A, i$  for  $i = \lfloor n/2 \rfloor - 1, \dots, 0$ .
2. For  $k = n - 1$  down to 1: swap  $A[0] \leftrightarrow A[k]$ , then `HEAPIFY_DOWN`( $A, 0$ ) on prefix of size  $k$ .

Total time  $O(n) + \sum_{k=1}^n O(\log k) = O(n \log n)$ , uses only  $O(1)$  extra space.

**Summary:** Binary heaps give an in-place priority queue with  $O(\log n)$  insert/delete<sub>max</sub>,  $O(n)$  build, and yield an in-place  $O(n \log n)$  heapsort.

## 9. Graphs & Breadth-First Search

Today we begin PartII: graph theory. We introduce the fundamental problem of *single-source shortest paths* in an unweighted graph and give the classic  $O(|V| + |E|)$  **Breadth-First Search** (BFS) algorithm.

### 9.1 Definitions & Notation

A (simple) graph  $G = (V, E)$  has

$$V = \{v_1, \dots, v_n\}, \quad E \subseteq \{\{u, v\} : u, v \in V, u \neq v\} \quad (\text{undirected}).$$

$\text{Adj}(u) = \{v : \{u, v\} \in E\}$  lists  $u$ 's neighbors. A *path* from  $s$  to  $t$  is a sequence  $(v_0 = s, v_1, \dots, v_k = t)$  with  $\{v_{i-1}, v_i\} \in E$ ; its *length* is  $k$ .

We seek, for a fixed source  $s$ , the distance  $\text{dist}(s, v) = \min\{\text{length of any path } s \rightarrow v\}$  and a corresponding *predecessor* tree  $p[v]$  so that following  $p$ -pointers from  $v$  back to  $s$  yields a shortest path.

### 9.2 Level Sets

Define level-sets

$$L_0 = \{s\}, \quad L_i = \{v \in V : \text{dist}(s, v) = i\}.$$

Then  $L_0, L_1, \dots$  partition those vertices reachable from  $s$  by increasing distance.

### 9.3 Breadth-First Search (BFS)

Compute  $\text{dist}$  and  $p$  by “growing” level-sets one layer at a time. [1]  $\text{BFS}_G = (V, E), s$  for each  $v \in V$ : set  $\text{dist}[v] \leftarrow \infty$ ,  $p[v] \leftarrow \text{nil}$   $\text{dist}[s] \leftarrow 0$  initialize empty queue  $Q$ ; *enqueue*  $Q, s$   $Q$  not empty  $u \leftarrow \text{dequeue } Q$  each  $v \in \text{Adj}(u)$   $\text{dist}[v] = \infty$   $v$  first discovered  $\text{dist}[v] \leftarrow \text{dist}[u] + 1$   $p[v] \leftarrow u$  *enqueue*  $Q, v$

After BFS:

$$\text{dist}[v] = \text{dist}(s, v), \quad p[v] = \text{predecessor of } v \text{ on some shortest } s \rightarrow v \text{ path.}$$

## 9.4 Correctness & Runtime

- BFS visits vertices in nondecreasing order of dist, so each is first discovered at the correct distance.
- Each edge  $\{u, v\}$  is examined exactly twice (once from  $u$ , once from  $v$ ), and each vertex enqueued/dequeued once.

Thus total time is

$$O(|V| + |E|),$$

and space is  $O(|V|)$  for dist,  $p$ , and the queue.

**Next:** weighted graphs & Dijkstra's algorithm.

## Review: Graphs

- A *graph*  $G = (V, E)$  has vertex set  $V$  and edge set  $E \subseteq V \times V$ .
- *Directed* vs. *undirected* graphs (arrows vs. no arrows).
- A *simple graph*: no duplicate edges or self-loops.
- For  $v \in V$ , define outgoing neighbors

$$^+(v) = \{w : (v, w) \in E\}.$$

- A *path* is a sequence of vertices following edges. A *simple path* visits no vertex twice.
- Common problems: reachability, shortest path, connectivity, etc.

## Notation: Linear-time in Graphs

“Saying an algorithm runs in linear time on a graph” means  $O(|V| + |E|)$ .

## Breadth-First vs. Depth-First Search

**BFS:** explores in “waves” by distance from source, level by level.

**DFS:** explores by following one branch as far as possible, then backtracking.

## Reachability & Parent-Tree

- *Reachability problem:* Given directed  $G$  and source  $s$ , determine all  $v$  reachable from  $s$ .
- Store an array  $parent[v]$ ; when  $parent[v] \neq \perp$ ,  $v$  has been reached.
- Recover path by backtracking parents from  $v$  to  $s$ .

## Depth-First Search (DFS)

```
procedure DFS(G, s):  
  parent[s] ← s  
  call Visit(s)
```

```
procedure Visit(u):
```



```

for each  $v$  in  $\text{Adj}(u)$  do
  if  $\text{parent}[v] = \text{null}$  then
     $\text{parent}[v] \leftarrow u$ 
    Visit( $v$ )

```

### Correctness (by induction on distance $k$ )

- *Claim:* For any  $v$  at distance  $k$  from  $s$ , DFS sets  $\text{parent}[v]$  correctly.
- *Base  $k = 0$ :* Only  $s$ , and  $\text{parent}[s]$  is initialized.
- *Inductive step:* Let  $v$  be at distance  $k + 1$ , and let  $u$  be its predecessor at distance  $k$ . By IH, Visit( $u$ ) is called, sees  $v \in \text{Adj}(u)$ , and sets  $\text{parent}[v] := u$ .

### Runtime

$$\text{DFS}(s) : O(|E_{\text{reachable}}|) \implies O(|E|)$$

Full DFS over all components is  $O(|V| + |E|)$ .

## Applications

### (1) Connected Components (undirected)

- *Full-DFS:* for each  $v \in V$ , if unvisited, call DFS( $v$ ) to mark its entire component.
- Overall time:  $O(|V| + |E|)$ .

### (2) Topological Order in DAGs

- A DAG is a directed acyclic graph.
- A *topological order* is a numbering  $f : V \rightarrow \{1, \dots, |V|\}$  so that  $(u, v) \in E \implies f(u) < f(v)$ .
- Compute *full DFS*, record vertices in the order they finish (post-order), then reverse that list.
- *Theorem:* In a DAG, reverse finishing order is a valid topological order.
  - *Proof sketch:* For each edge  $(u, v)$ , either  $u$  calls  $v$  (so  $v$  finishes before  $u$ ) or  $v$  cannot reach  $u$  (so finishes first); reversing restores  $u$  before  $v$ .

### (3) Cycle Detection in Directed Graphs

- A graph has a directed cycle iff it is not a DAG.
- Run full DFS; check for any back-edge from  $u$  to an ancestor  $v$  in the recursion tree.
- Upon discovering such an edge, report the cycle by backtracking the parent pointers from  $u$  back to  $v$ .
- Runs in  $O(|V| + |E|)$ .

## Review: Unweighted Single-Source Shortest Paths

- **BFS** finds, for unweighted  $G = (V, E)$  and source  $s$ ,

$$\delta(s, v) = \min\{\text{\#edges on any path } s \rightarrow v\}$$

and parent pointers in  $O(|V| + |E|)$ .

- *Reachability*: list only reachable vertices in  $O(|E|)$ .
- *Connected components*: full-graph BFS/DFS loop  $\Rightarrow O(|V| + |E|)$ .
- *Topological sort* in a DAG via reverse DFS-finish order  $\Rightarrow O(|V| + |E|)$ .

## Weighted Graphs

- A *weighted graph* is  $(V, E, w)$ ,  $w : E \rightarrow \mathbb{Z}$  (edge weights may be negative, zero, or positive).
- *Path weight*: for path  $\pi = e_1, \dots, e_k$ ,

$$w(\pi) = \sum_{i=1}^k w(e_i).$$

- *Weighted shortest-path distance*:

$$\delta(s, t) = \begin{cases} \inf_{\pi: s \rightarrow t} w(\pi) & \text{if a path exists and no negative cycle reachable,} \\ -\infty & \text{if a negative-weight cycle is reachable,} \\ +\infty & \text{if } t \text{ is unreachable.} \end{cases}$$

- Negative-weight cycle: any cycle whose total weight  $< 0$  allows arbitrarily low  $w(\pi)$ .

## Parent Pointers from Distances

Given all finite  $\delta(s, v)$ , we can build `parent[]` in  $O(|V| + |E|)$ :

```
for v in V:
    parent[v] ←
parent[s] ←
for each u in V:
    for each (u,v) in E:
        if parent[v] = ∞ and (s,u)+w(u,v)=(s,v):
            parent[v] ← u
```

## Relaxation & Triangle Inequality

- Maintain estimates  $d(v) \geq \delta(s, v)$ .
- *Relax edge*  $(u, v)$ : if  $d(u) + w(u, v) < d(v)$  then set

$$d(v) \leftarrow d(u) + w(u, v).$$

- Invariant: after each relax,  $d(v)$  equals weight of some  $s \rightarrow v$  path or  $+\infty$ .
- Relaxation is *safe*: never underestimates true  $\delta(s, v)$ .

## Single-Source Shortest Paths in a DAG

1. **Initialize:**

$$\forall v \in V : \quad d(v) \leftarrow +\infty, \quad d(s) \leftarrow 0.$$

2. Compute a topological order  $v_1, \dots, v_{|V|}$  of the DAG.

### 3. Relaxation loop:

```
for u in [v1, v2, ..., v|V|]:
    for each edge (u,v) in E:
        relax(u,v)
```

*Correctness:* by induction on the topo-order, every predecessor's  $d(u) = \delta(s, u)$  when processed, so relaxing yields  $d(v) = \delta(s, v)$ . *Time:*  $O(|V| + |E|)$  since each edge is relaxed once.

## Recap: Weighted SSSP in DAGs

- Last lecture: *DAG-relaxation* solves single-source shortest-paths (SSSP) in any DAG (even with negative weights) in  $O(|V| + |E|)$ .
- We can reconstruct parent pointers in  $O(|V| + |E|)$  once all finite distances are known.
- Today's goal: SSSP in *general* directed graphs (possibly with cycles and negative weights), returning
  - finite  $\delta(s, v)$  for vertices with well-defined shortest distance,
  - $\delta(s, v) = +\infty$  if  $v$  unreachable,
  - $\delta(s, v) = -\infty$  if  $v$  is “pulled down” by a reachable negative-weight cycle,
  - plus an explicit negative cycle if one exists.

## Negative-Weight Cycles

- A *negative-weight cycle* is a directed cycle whose total edge-weight  $< 0$ .
- If any cycle of negative total weight is reachable from  $s$ , then any vertex reachable from that cycle has  $\delta(s, v) = -\infty$  (you can loop arbitrarily many times).
- To detect such vertices, we will identify a *witness*  $u$ :

$$\delta_k(s, u) < \delta_{k-1}(s, u)$$

where  $\delta_k(s, u)$  is the minimum weight of any  $s-u$  path using at most  $k$  edges.

- Any negative-weight cycle contains at least one witness; and any vertex with  $\delta(s, v) = -\infty$  is reachable from a witness.

## $k$ -Edge Shortest Paths

$$\delta_k(s, v) = \min\{w(\pi) \mid \pi: s \rightarrow v, |\pi| \leq k\}.$$

- We only need to check  $k \leq |V| - 1$  since any simple path has  $\leq |V| - 1$  edges.
- If for some  $v$ ,  $\delta_{|V|}(s, v) < \delta_{|V|-1}(s, v)$ , then  $v$  is a witness and  $\delta(s, v) = -\infty$ .

## Graph-Duplication Trick

- Construct a new DAG  $G' = (V', E')$  with  $|V| + 1$  levels: for each  $v \in V$  and  $0 \leq k \leq |V|$  create  $v^{(k)}$ .
- Add zero-weight “stay” edges:  $(v^{(k)}, v^{(k+1)})$  for all  $0 \leq k < |V|$ .

- For each original edge  $(u, v) \in E$ , add  $(u^{(k)}, v^{(k+1)})$  with weight  $w(u, v)$ , for all  $0 \leq k < |V|$ .
- Then  $|V'| = (|V| + 1)|V|$  and  $|E'| = |V| \cdot |V| + |V| \cdot |E| = O(|V|(|V| + |E|))$ .
- In  $G'$ , any path from  $s^{(0)}$  to  $v^{(k)}$  uses  $\leq k$  original edges, so

$$\delta_{G'}(s^{(0)}, v^{(k)}) = \delta_k(s, v).$$

## Bellman–Ford via DAG Relaxation

1. Build  $G'$  as above.
2. Run *DAG-relaxation* on  $G'$  from source  $s^{(0)}$ :

```
// initialize all d[u^{(k)}] = +∞ except d[s^{(0)}] = 0
topoOrder ← topological sort of G'
for u in topoOrder:
    for each edge (u, v) in G'.E:
        relax(u, v)
```

3. For each original  $v \in V$ , let

$$d_v = d_{G'}(s^{(0)}, v^{(|V|-1)}).$$

- If  $d_v < +\infty$ , then  $d_v = \delta(s, v)$ .
- If  $d_v = +\infty$ ,  $v$  is unreachable.
- If  $\exists u$  with  $d_{G'}(s^{(0)}, u^{(|V|)}) < d_{G'}(s^{(0)}, u^{(|V|-1)})$ , mark  $u$  a *witness*.
- From each witness, do a DFS/BFS in the *original* graph to mark all reachable  $v$  with  $d_v \leftarrow -\infty$ .

## Correctness & Running Time

- *Correctness*: By construction  $\delta_{G'}(s^{(0)}, v^{(k)}) = \delta_k(s, v)$ ; if no relaxation occurs at level  $|V|$ , no witness  $\rightarrow$  no negative cycle.
- *Time*: Building  $G'$  and running DAG-relaxation takes  $O(|V|(|V| + |E|))$ . Finding witnesses and marking reachable vertices adds  $O(|V| + |E|)$ .  $\Rightarrow O(|V| \cdot |E|)$  overall.

## Recap: SSSP on Weighted Graphs

- Three prior approaches:
  1. *BFS-reduction*: expand each edge of weight  $w$  into  $w$  unit-edges—linear only if  $\sum w = O(|V| + |E|)$  and  $w \geq 0$ .
  2. *DAG-relaxation*: if  $G$  is a DAG (no cycles), run relaxation in topological order in  $O(|V| + |E|)$ .
  3. *Bellman–Ford*: works on any directed graph (even with negative-weight cycles), in  $O(|V| \times (|V| + |E|)) = O(|V| \cdot |E|)$ , marking distances  $-\infty$  for vertices pulled down by a reachable negative cycle.
- Today: assume all edge-weights  $w(e) \geq 0$ , no negative cycles, and achieve  $O((|V| + |E|) \log |V|)$  (or better in practice).

## Key Observations

1. **Nonnegativity**  $\implies$  **monotonicity**. Along any shortest path  $s \rightarrow \dots \rightarrow u \rightarrow v$ ,

$$\delta(s, u) \leq \delta(s, v),$$

since edge-weights  $\geq 0$ . Thus “closer” vertices cannot become “farther” later.

2. **If vertex-distances were known in sorted order**, we could relax edges in that order (like DAG-relaxation) and compute all  $\delta(s, v)$  in  $O(|V| + |E|)$ .

## Dijkstra's Algorithm

[1] **Initialize:**  $\forall v \in V : d[v] \leftarrow +\infty, \quad d[s] \leftarrow 0$  Build a *changeable priority queue*  $Q$  of all  $v \in V$ , keyed by  $d[v]$   $Q \neq \emptyset$   $(u, d_u) \leftarrow Q.\text{delete\_min}()$  remove vertex of smallest current estimate  
each  $(u, v) \in E$   $d[v] > d[u] + w(u, v)$   $d[v] \leftarrow d[u] + w(u, v)$   $Q.\text{decrease\_key}(v, d[v])$   $d[\cdot]$

## Changeable Priority Queue

Supports three operations on items with unique **id** and numeric **key**:

`build(all items),   delete_min(),   decrease_key(id, newKey)`

Implementation strategies:

- **Array + linear scan**— $O(1)$  `decrease_key`,  $O(|V|)$  `delete_min`  $\implies O(|V|^2 + |E||V|)$  overall (good if  $|E| = \Theta(|V|^2)$ ).
- **Binary heap + direct-access array**— $O(\log |V|)$  both operations  $\implies O((|V| + |E|) \log |V|)$ .
- **Fibonacci heap**— $O(1)$  amortized `decrease_key`,  $O(\log |V|)$  `delete_min`  $\implies O(|V| \log |V| + |E|)$ .

## Correctness Sketch

- *Invariant:* once  $d[v] = \delta(s, v)$ , it never increases (relaxation only lowers estimates, and always to the length of some path).
- *Claim:* when a vertex  $v$  is extracted by `delete_min`,  $d[v] = \delta(s, v)$ .
  - Base ( $s$ ):  $d[s] := 0 = \delta(s, s)$ .
  - Induction: let  $v$  be the  $k$ th extracted. Any shortest  $s \rightarrow v$  path passes through some predecessor  $u$  either already extracted (so  $d[u] = \delta(s, u)$  by IH, then edge-relaxation fixed  $d[v]$  when  $u$  was extracted) or still in  $Q$  (so  $d[v] \geq d[u] + w(u, v) \geq \delta(s, u) + w(u, v) = \delta(s, v)$ ). Since  $v$  had the minimal  $d[\cdot]$  among  $Q$ , we must have  $d[v] = \delta(s, v)$  at extraction.

## Running Time

$$T = O\left( \underbrace{|V| \log |V|}_{\text{build} + |V| \times \text{delete\_min}} + \underbrace{|E| \times 1}_{\substack{\text{decrease\_key per relax} \\ \text{(amortized)}}} \right) = O(|V| \log |V| + |E|).$$

- In sparse graphs ( $|E| = O(|V|)$ ):  $O(|V| \log |V|)$ .
- In dense graphs ( $|E| \approx |V|^2$ ): array-scan gives  $O(|V|^2)$ , which is still optimal up to constants.
- Fibonacci heaps achieve  $O(|V| \log |V| + |E|)$  in all regimes.

## Problem Statement

- **Input:** A directed graph  $G = (V, E)$  with integer edge-weights  $w : E \rightarrow \mathbb{Z}$ , no negative-weight cycles.
- **Output:** For every ordered pair  $(u, v) \in V \times V$ , compute

$$\delta(u, v) = \min_{\pi: u \rightarrow v} \sum_{(x, y) \in \pi} w(x, y) \in \mathbb{Z} \cup \{+\infty\}.$$

- If  $G$  has a reachable negative-weight cycle, we may *abort*.
- Note: output size is  $\Theta(|V|^2)$ , so  $\Omega(|V|^2)$  time is unavoidable.

## Brute-Force via SSSP

For each  $s \in V$  : run  $\text{SSSP}(G, s) \implies O(|V| \times T_{\text{SSSP}})$ .

- Bellman–Ford  $\Rightarrow O(|V| \cdot (|V| + |E|)) = O(|V| \cdot |E|)$ .
- Dijkstra (if  $w \geq 0$ )  $\Rightarrow O(|V|^2 \log |V| + |V||E|)$ .
- ... suboptimal when  $|V|$  large.

## Johnson’s Reweighting Technique

### “Edge-Potential” Transformation

Choose an arbitrary *potential* function  $h : V \rightarrow \mathbb{Z}$ . Define new weights

$$w'(u, v) = w(u, v) + h(u) - h(v).$$

**Claim:** All shortest paths in  $G$  remain shortest in  $G' = (V, E, w')$ . [Sketch] Any directed path  $\pi = v_0 \rightarrow v_1 \rightarrow \dots \rightarrow v_k$  in  $G$  has

$$w'(\pi) = \sum_{i=1}^k [w(v_{i-1}, v_i) + h(v_{i-1}) - h(v_i)] = w(\pi) + h(v_0) - h(v_k).$$

The term  $h(v_0) - h(v_k)$  is constant for all paths from  $v_0$  to  $v_k$ , so minima are preserved.

### Finding a *nonnegative* Reweighting

1. Add a *super-source*  $s$  with 0-weight edges  $(s, v)$  for all  $v \in V$ , obtaining  $G_s$ .
2. Run Bellman–Ford from  $s$  to compute

$$h(v) = \delta_{G_s}(s, v) \quad (\text{finite} \Leftrightarrow \text{no neg. cycle reachable}).$$

- If any  $h(v) = -\infty$ , **abort** (neg. cycle exists).
3. Reweight each  $(u, v) \in E$  by

$$w'(u, v) = w(u, v) + h(u) - h(v) \geq 0,$$

since Bellman–Ford distances obey the triangle inequality.

## All-Pairs via Dijkstra

1. Build  $G'$  with nonnegative weights  $w'$  as above.
2. For each  $s \in V$ , run Dijkstra on  $(G', w')$  in  $O((|V| + |E|) \log |V|)$  to get  $d'(s, v) = \delta_{G'}(s, v)$ .
3. Recover original distances:

$$\delta_G(s, v) = d'(s, v) + h(v) - h(s).$$

## Running Time

$$T_{\text{Johnson}} = \underbrace{O(|V| + |E|)}_{\text{add super-source}} + \underbrace{O(|V| \cdot |E|)}_{\text{Bellman-Ford}} + \underbrace{O(|V| (|V| + |E|) \log |V|)}_{\text{V-times Dijkstra}} = O(|V| |E| + |V|^2 \log |V|).$$

- *Sparse graphs* ( $|E| = O(|V|)$ ):  $O(|V|^2 \log |V|)$ .
- *Dense graphs* ( $|E| = \Theta(|V|^2)$ ):  $O(|V|^3)$  via array-scan Dijkstra.
- Avoids  $O(|V| \cdot |E|)$  per source by limiting Bellman-Ford to once.

## 1. Recursive-Algorithm Design: SRTBOT

1. **Subproblems:** Identify a (polynomial) set of subproblems.
2. **Relation:** Write each subproblem's solution in terms of smaller subproblems.
3. **Topological order:** Find an order (or prove acyclicity) so dependencies go "forward."
4. **Base cases:** Specify trivial subproblems explicitly.
5. **Original problem:** Express the desired output as one of the subproblems.
6. **Time:** Analyze total cost by summing nonrecursive work over all subproblems.

## 2. Add Memoization = *Dynamic Programming*

$$\text{recursive\_solve}(prob) : \begin{cases} \text{if } prob \in \text{memo} : \text{return memo}[prob] \\ \text{if base-case} : ans \leftarrow \text{trivial-value} \\ \text{else: } ans \leftarrow \text{Relation}(\{\text{recursive\_solve}(sub)\}) \\ \text{memo}[prob] \leftarrow ans \\ \text{return ans} \end{cases}$$

$$T = \sum_{\substack{\text{each subproblem} \\ p}} [\text{cost of computing } p \text{ (excl. recursive calls)}].$$

## 3. Examples

### 3.1 Fibonacci Numbers

$$F_n = \begin{cases} 1 & n = 1, 2, \\ F_{n-1} + F_{n-2} & n > 2. \end{cases}$$

- **Subproblems:**  $f(i) = F_i, i = 1, \dots, n$ .

- **Relation:**  $f(i) = f(i - 1) + f(i - 2)$ .
- **Order:**  $i = 1, 2, \dots, n$ .
- **Base:**  $f(1) = f(2) = 1$ .
- **Original:**  $f(n)$ .
- **Time:**  $\Theta(n)$  additions.

### 3.2 DAG Single-Source Shortest Paths

Let  $G = (V, E)$  be a DAG, source  $s$ . Define

$$d(v) = \min\{d(u) + w(u, v) : (u, v) \in E\} \cup \{+\infty\}, \quad d(s) = 0.$$

- **Subproblems:**  $d(v)$  for each  $v \in V$ .
- **Relation:**  $d(v) = \min_{(u,v) \in E} \{d(u) + w(u, v)\}$ .
- **Order:** Any topological sort of  $G$ .
- **Base:**  $d(s) = 0$ , all others initialized  $+\infty$ .
- **Original:** All  $d(v)$ .
- **Time:**  $\sum_v O(\deg^-(v)) = O(|V| + |E|)$ .

## 4. Case Study: “Linear” Bowling

- $n$  pins in a row, pin  $i$  has score  $v_i \in \mathbb{Z}$ .
- Hitting one pin  $i$  yields  $+v_i$ ; hitting two adjacent pins  $(i, i + 1)$  yields  $+v_i v_{i+1}$ .
- You may skip pins; maximize total score.

### DP Formulation

- **Subproblems:**  $B(i)$  = optimum score on suffix  $i, \dots, n - 1$ .
- **Relation:**

$$B(i) = \max\{B(i + 1), v_i + B(i + 1), v_i v_{i+1} + B(i + 2)\}.$$
- **Order:**  $i = n, n - 1, \dots, 0$ .
- **Base:**  $B(n) = 0$ , and  $B(n + 1) = 0$ .
- **Original:**  $B(0)$ .
- **Time:**  $O(1)$  per  $i$ ,  $\Theta(n)$  total.

## 5. Key Takeaways

- *Dynamic programming* = recursion + memoization.
- *Design recipe (SRTBOT)* helps structure DP: choose subproblems, write recurrence, order, base, original, analyze.
- Many sequence problems use *prefixes*, *suffixes*, or *substrings* as subproblems.
- Local “brute force” + memoization turns exponential recurrences polynomial.



## 1. Review: SRTBOT & Memoization

- **Subproblems**
  - Split your problem into a polynomial set of subproblems.
  - For *sequences*, try *prefixes*, *suffixes*, or *substrings*.
- **Relation**
  - Express each subproblem in terms of smaller subproblems.
  - *Brute-force* any unknown feature with a polynomial loop, then **max/min/sum/etc.**
- **Topological order**
  - Choose an order (usually simple for-loops) so all dependencies are computed first.
- **Base cases**
- **Original problem**
  - Identify which subproblem(s) give the final answer.
- **Time**

$$T = \sum_{\text{subproblem } p} [\text{nonrec. work to compute } p].$$

- + *Memoization*: cache each subproblem's answer to avoid recomputation.

## 2. Longest Common Subsequence (LCS)

**Problem.** Given two sequences  $A[0..m-1]$ ,  $B[0..n-1]$ , find a longest sequence  $L$  that is a subsequence of both.

- **Subproblems:**

$$L(i, j) = \text{length of LCS of suffix } A[i..m-1] \text{ and } B[j..n-1].$$

- **Relation:**

$$L(i, j) = \begin{cases} 1 + L(i+1, j+1) & \text{if } A[i] = B[j], \\ \max\{L(i+1, j), L(i, j+1)\} & \text{otherwise.} \end{cases}$$

- **Order:** for  $i = m \downarrow 0$ , for  $j = n \downarrow 0$ .
- **Base:**  $L(m, j) = L(i, n) = 0$  for all  $i, j$ .
- **Original:**  $L(0, 0)$ .
- **Time:**  $O(mn)$  (each of  $mn$  cells  $O(1)$  work).
- **Recovering a solution:** store *parent pointers* to trace back one valid LCS.

## 3. Longest Increasing Subsequence (LIS)

**Problem.** Given one sequence  $A[0..n-1]$ , find a longest strictly increasing subsequence.

- **Trick:** we must know the *first element* of the LIS to enforce the increasing condition.

- **Subproblems:**

$\text{LIS}(i) = \text{length of LIS of } A[i..n-1] \text{ that starts at } A[i].$

- **Relation:**

$$\text{LIS}(i) = 1 + \max_{\substack{i < j < n \\ A[j] > A[i]}} \text{LIS}(j),$$

defaulting to 1 if no  $j$  qualifies.

- **Original:**  $\max_{0 \leq i < n} \text{LIS}(i)$ .
- **Order:** for  $i = n-1 \downarrow 0$ .
- **Base:**  $\text{LIS}(n) = 0$  (empty suffix).
- **Time:**  $O(n^2)$  (each  $i$  scans  $O(n)$  choices).

## 4. Alternating-Move Coin-Taking Game

**Problem.** Coins  $v_0, \dots, v_{n-1}$  in a row. Two players alternate taking either the leftmost or rightmost coin. Score is sum of values you take. Zero-sum, both play optimally. Compute the first player's maximum guaranteed score.

- **Subproblems:**  $X(i, j, P)$  = first player's max score on coins  $i..j$  when it is player  $P$ 's turn ( $P \in \{\text{Me}, \text{You}\}$ ).
- **Relation:**

$$X(i, j, \text{Me}) = \max\{v_i + X(i+1, j, \text{You}), v_j + X(i, j-1, \text{You})\},$$

$$X(i, j, \text{You}) = \min\{X(i+1, j, \text{Me}), X(i, j-1, \text{Me})\}.$$

- **Order:** increasing substring length  $j-i$ .
- **Base:**  $X(i, i, \text{Me}) = v_i, X(i, i, \text{You}) = 0$ .
- **Original:**  $X(0, n-1, \text{Me})$ .
- **Time:**  $O(n^2)$  (each of  $O(n^2)$  subproblems  $O(1)$  work).

## 5. Subproblem-Expansion

- Sometimes the *obvious* subproblem (suffix/prefix) isn't enough to write a simple recurrence.
- *Expand* your subproblem definition by adding *constraints* (e.g. "starts at  $i$ ," "which player's turn")—as long as the overall count remains polynomial.
- This yields simpler recurrences at the cost of a larger DP table.

## 1. Dynamic Programming *via* Subproblem Expansion

- We can "remember" additional *state* by *expanding* our subproblem index.
- E.g. in the two-player coin game we had both  $(i, j, \text{Me})$  and  $(i, j, \text{You})$ .
- Today:
  - Bellman–Ford as DP

- Floyd–Warshall (all-pairs SSSP)
- Arithmetic parenthesization (max/min)
- Piano-/guitar- fingering

## 2. Bellman–Ford as DP

$$d_k(s, v) = \min \left\{ d_{k-1}(s, v), \min_{(u \rightarrow v) \in E} [d_{k-1}(s, u) + w(u, v)] \right\},$$

- Subproblems:  $d_k(s, v)$  = shortest  $\leq k$ -edge path  $s \rightarrow v$ .
- Order: increasing  $k = 0, 1, \dots, n - 1$  (acyclic in  $k$ ).
- Base:  $d_0(s, s) = 0$ ,  $d_0(s, v) = +\infty$  for  $v \neq s$ .
- Original:  $d_{n-1}(s, v)$  (or detect negative cycle if  $d_n < d_{n-1}$ ).
- Time:  $\sum_{k=1}^{n-1} \sum_{v \in V} \deg^-(v) = O(n |E|)$ .

## 3. Floyd–Warshall: All-Pairs SSSP via DP

$$D_{u,v}^{(k)} = \min \left\{ D_{u,v}^{(k-1)}, D_{u,k}^{(k-1)} + D_{k,v}^{(k-1)} \right\},$$

- Subproblems:  $D_{u,v}^{(k)}$  = shortest  $u \rightarrow v$  using only intermediate  $\{1, \dots, k\}$ .
- Order:  $k = 0, 1, \dots, n$ ; for each  $k$  loop over all  $u, v \in \{1..n\}$ .
- Base ( $k = 0$ ):  $D_{u,v}^{(0)} = \begin{cases} 0, & u = v, \\ w(u, v), & (u \rightarrow v) \in E, \\ +\infty, & \text{else.} \end{cases}$
- Original:  $D_{u,v}^{(n)}$  for all  $u, v$ .
- Time:  $O(n^3)$  (three nested loops,  $O(1)$  work each).

## 4. Parenthesization: Max/Min DP

$$X(i, j, \text{opt}) = \text{opt} \left\{ [X(i, k, \text{opt}_L) \star_k X(k, j, \text{opt}_R)] \mid i < k < j, \text{opt}_L, \text{opt}_R \in \{\min, \max\} \right\},$$

- **Subproblems:**  $X(i, j, \text{opt})$  = value of best parenthesization of  $a_i \star_{i+1} a_{i+1} \cdots \star_{j-1} a_{j-1}$  under  $\text{opt} \in \{\min, \max\}$ .
- Guess the *last* operator  $\star_k$ ; recurse on two substrings.
- Order: increasing length  $j - i$  (acyclic).
- Base:  $X(i, i + 1, \text{opt}) = a_i$ .
- Original:  $X(0, n, \max)$ .
- Time:  $O(n^3)$  (two loops for  $i, j$ , inner loop over  $k$ , constant  $\times 4$  for opt pairs).

## 5. Piano/Guitar Fingering (Sequence + State DP)

$$F(i, f) = \min_{f' \in [1..F]} \left\{ d(t_i, f; t_{i+1}, f') + F(i+1, f') \right\},$$

- **Subproblems:**  $F(i, f)$  = min. total difficulty to play suffix  $t_i \dots t_{n-1}$  if note  $t_i$  uses finger  $f$ .
- Guess next-note finger  $f'$ ; cost = transition  $d(t_i, f; t_{i+1}, f') + F(i+1, f')$ .
- Order:  $i = n-1 \downarrow 0$ , for each  $f = 1..F$ .
- Base:  $F(n-1, f) = 0$  (last note, no further cost).
- Original:  $\min_f F(0, f)$ .
- Time:  $O(n \cdot F^2)$ .

**General lesson:** Expand subproblem indices to remember any finite *context/state*, then brute-force remaining choices.

## 1. Overview & SRTBOT Review

- Today: DP on integer inputs  $\rightsquigarrow$  *pseudo-polynomial* time.
- Examples: **Rod-Cutting**, **Subset-Sum**.
- Then: “Diagonal” recap of all DP techniques seen.
- Reminder: SRTBOT = Subproblems, Relation, Topo-order, Base, Original, Time.
  - *Subproblem design* often hardest:
    - \* Sequences  $\rightarrow$  prefixes/suffixes/substrings
    - \* Integers  $\rightarrow$  all smaller e.g. Fibonacci:  $F(n) \rightarrow F(0..n)$
    - \* Multiples  $\rightarrow$  product of spaces
    - \* *Expansion/state add’n*  $\rightarrow$  remember “past”
  - *Relation* by “guessing” answer to a question  $\rightarrow$  recurse on smaller subproblems and *loop* over all guesses.
  - Ensure *acyclic*: give explicit topological order.
  - Add *base cases*; express *original* problem in terms of subproblems.
  - Run-time  $\approx$  #subproblems  $\times$  non-recursive work + cost to combine original.

## 2. Rod-Cutting

### Problem

Given integer length  $L$  and prices  $v[1..L]$ , choose a partition

$$L = i_1 + i_2 + \dots + i_k, \quad i_j \in \{1, \dots, L\},$$

to maximize  $\sum_{j=1}^k v[i_j]$ .

### SRTBOT

#### 1. Subproblems:

$$R(\ell) = \max\{\text{value of best cut of length } \ell\}, \quad \ell = 0, 1, \dots, L.$$

2. **Relation:** for each  $1 \leq p \leq \ell$ ,

$$R(\ell) = \max_{1 \leq p \leq \ell} \{ v[p] + R(\ell - p) \}.$$

3. **Topo-order:** increasing  $\ell = 0, 1, \dots, L$  (calls only to smaller  $\ell$ ).  
 4. **Base:**  $R(0) = 0$ .  
 5. **Original:**  $R(L)$ .  
 6. **Time:**  $\sum_{\ell=1}^L O(\ell) = O(L^2)$ .

### 3. Subset-Sum (Decision DP)

#### Problem

Given integers  $a_0, \dots, a_{n-1} > 0$  and target  $T$ , decide if some subset sums to  $T$ .

#### SRTBOT

1. **Subproblems:**

$$S(i, t) = \begin{cases} \text{"Yes"} & \exists S \subseteq \{a_i, \dots, a_{n-1}\} : \sum S = t, \\ \text{"No"} & \text{otherwise,} \end{cases}$$

for  $0 \leq i \leq n, 0 \leq t \leq T$ .

2. **Relation:**

$$S(i, t) = [S(i+1, t)] \vee [t \geq a_i \wedge S(i+1, t - a_i)].$$

3. **Topo-order:** decreasing  $i = n, n-1, \dots, 0$  (suffix DP).  
 4. **Base:** for all  $0 \leq t \leq T$ ,

$$S(n, t) = \begin{cases} \text{Yes,} & t = 0, \\ \text{No,} & t > 0. \end{cases}$$

5. **Original:**  $S(0, T)$ .  
 6. **Time:**  $O(nT)$ .

#### Pseudo-Polynomial Time

- Input size = #words =  $n + 1$  (the  $a_i$  plus  $T$ ).
- Runtime =  $O(nT)$  is **not** polynomial in  $n + 1$  (unless  $T = O(n^{O(1)})$ ).
- It is *pseudo-polynomial*: polynomial in  $n$  and in the *numeric value*  $T, a_i$ .
- If  $T \leq n^{O(1)}$ , then  $O(nT) = n^{O(1)}$  so still efficient *in practice*.

## 4. DP-Technique Recap

Problem Type	Subproblems	Branching & Combine
Sequences	prefixes/suffixes/substrings	often $O(1)$ guesses (e.g. include/skip, left/right) + max / min
Integer-DP	all $0..N$	$O(N)$ guesses (rod-cutting, subset-sum)
Multi-seq DP	product of seq. spaces	e.g. LCS: 2-way guess at first letters
Graph-DP	per-vertex $\delta(s, v)$ or $(u, v, k)$	DAG-shortest: $\deg(v)$ guesses; BF: $ E $ per level; FW: 2-way
State-Expansion	add state var. (min/max, player-turn, finger)	multiply #subprobs by small factor; guess next state

*Key takeaway:* By *choosing subproblems* (sequence-vs. integer-vs. graph), then *adding state* as needed, and *brute-forcing* a small set of guesses, one obtains a DP whose running time is ( $\#$ subproblems)  $\times$  (branching factor), often polynomial or pseudo-polynomial.

## 1. P vs. EXP vs. R

**P:** problems solvable in polynomial time  $n^{O(1)}$  **EXP:** problems solvable in exponential time, e.g.  $2^{n^{O(1)}}$  **R:** all decidable problems (finite-time solvable)

[scale=0.8, every node/.style=font=] [thick] (0,0) – (6,0) node[midway,above]P – (10,0) node[right]EXP – (14,0) node[right]R; [below] at (0,0) easy; [below] at (14,0) hard; [below] at (2,0)  $\subset$ ; [below] at (8,0)  $\subset$ ;

- $P \subsetneq \text{EXP}$ : e.g.  $N \times N$  CHESS is EXP-complete.
- R strictly contains EXP: e.g. HALTING is not in R (undecidable).

## 2. Undecidability (Uncomputable)

- Every program  $\leftrightarrow$  finite string of bits  $\leftrightarrow$  an integer.
- Every decision problem  $\leftrightarrow$  infinite bit-string  $\leftrightarrow$  real in  $[0, 1]$ .
- $\#$  programs =  $\aleph_0$ ,  $\#$  problems = continuum  $\implies$  “most” problems have no solver.
- HALT: “Given program P, input x, does P(x) terminate?” is undecidable.

## 3. NP and “Lucky” Computation

**NP:** Decision problems solvable in *non-deterministic polynomial time*, i.e. by a “lucky” algorithm:

Make  $O(\log n)$  bit-guesses, always correct, in  $n^{O(1)}$  time.

Equivalently, *poly-time verifier + certificate y*:

- If answer is YES,  $\exists y$  with  $|y| = n^{O(1)}$  s.t. verifier  $V(x, y)$  accepts in  $\text{poly}(|x|)$ .
- If answer is NO,  $\forall y$ ,  $V(x, y)$  rejects.

$\mathbf{P} \subseteq \mathbf{NP} \subseteq \mathbf{EXP}$ . Open: P vs. NP?

## 4. NP-Hardness & Completeness

**Poly-time reduction**  $A \leq_P B$ :

$$x \mapsto f(x) \text{ in polytime, } [B(f(x)) = 1] \iff [A(x) = 1].$$

*At least as hard:*  $A \leq_P B \implies$  (“ $B$  is at least as hard as  $A$ ”).

**NP-hard:** every  $A \in \mathbf{NP}$  reduces to  $B$ . **NP-complete:**  $B \in \mathbf{NP}$  and NP-hard.

$$\mathbf{P} \subseteq \mathbf{NP} \subseteq \mathbf{NP-hard} \subseteq \mathbf{EXP},$$

and NP-complete is the boundary between NP and NP-hard.

## 5. Examples

- 3-PARTITION is NP-complete.
- JIGSAW-PUZZLE, TETRIS (PERFECT-INFO), SUBSET-SUM, 3-SAT, ... are NP-complete via poly-time reductions.
- $N \times N$  CHESS is EXP-complete.
- “Most” natural puzzles and video games (Mario, Zelda, Sudoku, Minesweeper) are NP-complete or harder.

*Key takeaway:*

- **P** = efficiently solvable.
- **NP** = efficiently *verifiable* (lucky guesses).
- **NP-complete** = hardest puzzles in NP (all NP reduce here).
- $\mathbf{P} \neq \mathbf{NP}$  ? implies no poly-time alg for NP-complete.
- $\mathbf{R}$  = decidable; “most” problems lie outside  $\mathbf{R}$  (uncomputable).

## 1. Course Goals (Lecture 1 Review)

Recall our three core goals for 6.006:

1. **Solve hard computational problems.** Design correct algorithms on unbounded inputs.
2. **Argue correctness.** Prove your procedure always returns the right answer ( valid input).
3. **Argue efficiency.** Define a computation model (word-RAM, cost = operations) and show your algorithm scales well as  $n \rightarrow \infty$ .
4. (*Meta*) Communicate algorithms, proofs, and analyses clearly to others.

## 2. Complexity Recap (Lecture 19)

- **P** – decidable in  $\text{poly}(n)$  time.
- **EXP** – decidable in  $2^{n^{O(1)}}$  time ( $P \subsetneq \text{EXP}$ ).
- **R** – all decidable problems;  $\text{EXP} \subsetneq \text{R}$ .
- **Undecidable**: e.g. HALT (no algorithm).
- **NP** – “lucky” algorithms (non-deterministic polytime) or poly-time verifiers + certificates.
- **NP-hardness / completeness**: poly-time reductions; NP-complete sit at NP’s hardest boundary.

## 3. Course Content Summary

### Quiz 1: Fundamental Data Structures & Sorting

- *Sequence ADTs*: dynamic arrays (`push_pop_end`), sequence-AVL (insert/delete middle).
- *Set ADTs*: hash tables (expected  $O(1)$ ), sorted arrays, set-AVL ( $O(\log n)$  order operations).
- *Sorting via “find-and-extract”*: Selection-sort variants ( $\Theta(n^2)$ ), heap-sort ( $n \log n$ ).
- *Indirect / counting / radix sort*: linear-time for integer keys in fixed range.

### Quiz 2: Graph Algorithms

- *Single-source shortest paths*:
  - DAG-shortest (linear),
  - Bellman-Ford ( $O(VE)$ ),
  - Dijkstra ( $O(E + V \log V)$ ).
- *All-pairs shortest paths*:
  - Floyd-Warshall ( $O(V^3)$ ),
  - Johnson’s ( $O(VE + V^2 \log V)$ ) for sparse graphs.
- *Minimum spanning tree*: Kruskal / Prim ( $O(E \log V)$ ).
- *Union-find*:  $\alpha(n)$  amortized.
- *Network flow*: augmenting-path algorithms ( $O(E^2)$  etc.).

### Quiz 3: Dynamic Programming (SRTBOT)

- *Subproblems*  $\rightarrow$  DAG vertices, *Relation*  $\rightarrow$  edges, *Topo order* + *base cases* + *combine*.
- Examples: Fibonacci, rod-cutting, subset-sum, LCS, coin-game, parenthesization, piano/guitar-fingering.

## 4. Beyond 6.006: Next Steps

### 6.046 (Design & Analysis of Algorithms)

- More advanced *data structures* (splay, skip lists, van Emde Boas).
- *Advanced paradigms*: greedy proof templates, randomized algorithms (Las Vegas vs. Monte Carlo), approximation algorithms.
- *Formal amortized analysis*: potential method.
- *Extended models*: parallel algorithms, cache-aware/oblivious.



## Other Theory Frontiers

- **Randomization:** design analysis (hashing, primality, streaming).
- **Numerical algorithms:** real-number approximation, error bounds.
- **Approximation:** PTAS, FPTAS for NP-hard optimizations.
- **Advanced complexity:** P vs. NP open; space-complexity (PSPACE); parameterized complexity.
- **Quantum / parallel:** new computation models (entanglement, multi-core / distributed).

*Congratulations on completing 6.006! You now have a toolbox of algorithms, proofs, and analyses to tackle real-world computational challenges.*