# **COS 226**

# **Algorithms and Data Structures Princeton University** Spring 2011

**Robert Sedgewick** 

# **Course Overview**

- **outline**
- why study algorithms?
- usual suspects
- **coursework**
- resources

#### COS 226 course overview

#### What is COS 226?

- Intermediate-level survey course.
- Programming and problem solving with applications.
- Algorithm: method for solving a problem.
- Data structure: method to store information.

topic	data structures and algorithms			
data types	stack, queue, union-find, priority queue			
sorting	quicksort, mergesort, heapsort, radix sorts			
searching	hash table, BST, red-black tree			
graphs	BFS, DFS, Prim, Kruskal, Dijkstra			
strings	KMP, regular expressions, TST, Huffman, LZW			
advanced	B-tree, suffix arrays, maxflow, simplex			

#### Their impact is broad and far-reaching.

Internet. Web search, packet routing, distributed file sharing, ...

Biology. Human genome project, protein folding, ...

Computers. Circuit layout, file system, compilers, ...

Computer graphics. Movies, video games, virtual reality, ...

Security. Cell phones, e-commerce, voting machines, ...

Multimedia. CD player, DVD, MP3, JPG, DivX, HDTV, ...

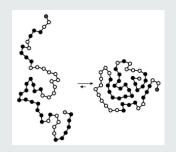
Transportation. Airline crew scheduling, map routing, ...

Physics. N-body simulation, particle collision simulation, ...

...





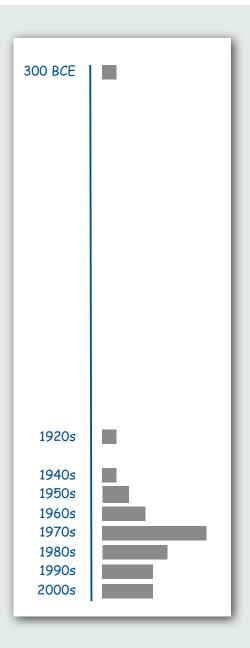






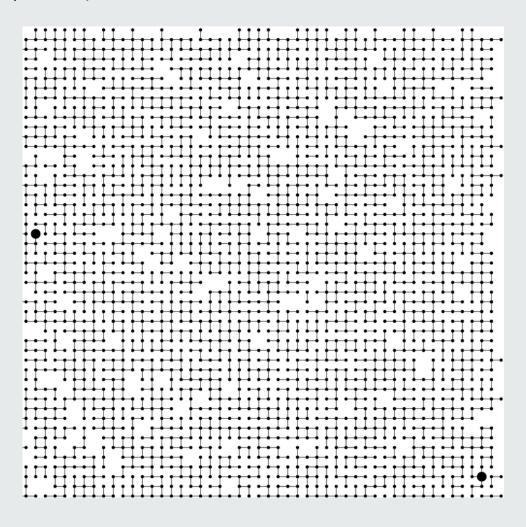
### Old roots, new opportunities.

- Study of algorithms dates at least to Euclid.
- Some important algorithms were discovered by undergraduates!



To solve problems that could not otherwise be addressed.

Ex. Network connectivity. [stay tuned]



#### For intellectual stimulation.

"For me, great algorithms are the poetry of computation. Just like verse, they can be terse, allusive, dense, and even mysterious. But once unlocked, they cast a brilliant new light on some aspect of computing." — Francis Sullivan

" An algorithm must be seen to be believed." — D. E. Knuth

They may unlock the secrets of life and of the universe.

Computational models are replacing mathematical models in scientific inquiry.

$$E = mc^{2}$$

$$F = ma$$

$$F = \frac{Gm_{1}m_{2}}{r^{2}}$$

$$\left[-\frac{h^{2}}{2m}\nabla^{2} + V(r)\right]\Psi(r) = E\Psi(r)$$

20th century science (formula based)

```
for (double t = 0.0; true; t = t + dt)
  for (int i = 0; i < N; i++)
  {
    bodies[i].resetForce();
    for (int j = 0; j < N; j++)
        if (i != j)
        bodies[i].addForce(bodies[j]);
  }</pre>
```

21st century science (algorithm based)

"Algorithms: a common language for nature, human, and computer." — Avi Wigderson

For fun and profit.





Morgan Stanley









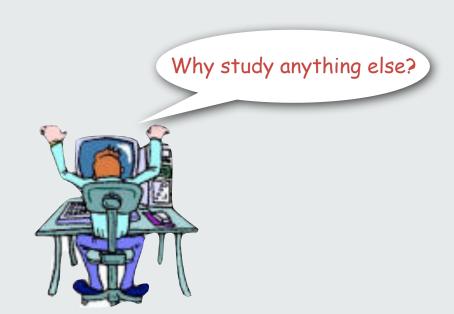








- Their impact is broad and far-reaching.
- Old roots, new opportunities.
- To solve problems that could not otherwise be addressed.
- For intellectual stimulation.
- They may unlock the secrets of life and of the universe.
- For fun and profit.



# The usual suspects

Lectures. Introduce new material.

Precepts. Discussion, problem-solving, background for programming assignment.

First precept meets this week

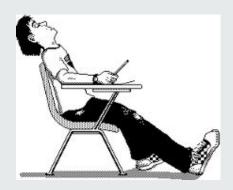
What	When	Where	Who	Office	Office Hours
L01	MW 11-12:20	Friend 101	Prof. Sedgewick	CS 319	W 1:30-2:30
PO1	Th 12:30	CS 102	Maia Ginsburg (lead)	CS 205	*
P01 <i>A</i>	Th 12:30	Friend 108	Josh Kroll Sherrard 320		*
PO1B	Th 12:30	Friend 109	Dave Walker	CS 211	*
P03	Th 3:30	Friend 109	Maia Ginsburg	CS 205	*
P02	F 11	CS 102	RobSchapire CS 407		*
P02 <i>A</i>	F 11	Friend 109	Aman Dhesi	C5 103B	*

\* see web page for updates

UTAs in Friend 106/107 (check web page for hours).

#### All questions answered

### 90-minute lecture? Soporiphic!

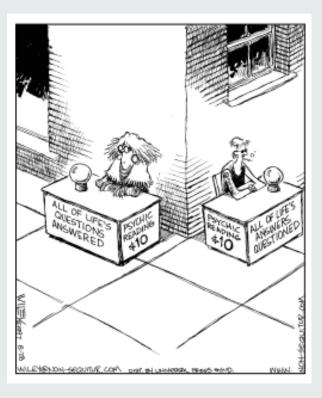


Each lecture will include a 5-minute break for a brief AQA session.

- ask a question!
- · email a question
- preferably not about course content

All students must meet RS at office hours

• W 1:30 to 2:30 (more after break)



#### Coursework and grading

### 8 programming assignments. 40%

- Electronic submission.
- Due 11pm, starting Tuesday 2/9.

#### Exercises, 15%

• Due at beginning of lecture, starting Monday 2/8.

#### Exams.

- Closed-book with cheatsheet.
- Midterm. 15%
- Final. 30%

Staff discretion. To adjust borderline cases.



everyone needs to

- attend precept
- meet me in office hours

#### Resources (web)

#### Course content.

- · Course info.
- Exercises
- Lecture slides.
- Programming assignments.
- Submit assignments.

### Booksite (under construction).

- Brief summary of content.
- Download code from lecture, book, exercises, examples
- Links to references



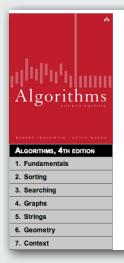
# Computer Science 226 Algorithms and Data Structures Spring 2010

Course Information | Assignments | Exercises | Lectures

#### **COURSE INFORMATION**

**Description.** This course surveys the most important algorithms and data structures in use on computers today. Particular emphasis is given to algorithms for sorting, searching, and string processing. Fundamental algorithms in a number of other areas are covered as well, including geometric and graph algorithms. The course will concentrate on developing implementations, understanding their performance characteristics, and estimating their potential effectiveness in applications.

http://www.princeton.edu/~cos226



#### ALGORITHMS, 4TH EDITION

essential information that every serious programmer needs to know about algorithms and data structures

**Textbook.** The textbook *Algorithms, 4th Edition* by Robert Sedgewick and Kevin Wayne surveys the most important algorithms and data structures in use today. The broad perspective taken makes it an appropriate introduction to the field. The textbook is organized into seven chapters:

- Chapter 1: Fundamentals considers a scientific and engineering basis for comparing algorithms and making predictions.
- Chapter 2: Sorting considers several classic sorting algorithms, including insertion sort, mergesort, and quicksort. It also includes a binary heap implementation of a priority queue.
- Chapter 3: Searching includes several classic symbol table implementations, including binary search trees, red-black trees, and hash tables.
- . Chapter 4: Graphs surveys the most important graph processing

introcs.cs.princeton.edu
algs4.cs.princeton.edu

#### Resources (books)

### Required readings.

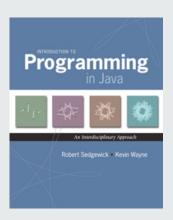
- Algorithms 4<sup>th</sup> edition.
- to be published in early March

#### Preliminary edition (Fall 2010)

- on reserve in the library
- or, borrow a copy from a friend
- see the web for some Algs4 excerpts

#### Recommended Java reference.

• Introduction to Programming in Java.











#### What's ahead?

Lecture 1. Union find. ← today

Precept 1. Meets Thursday or Friday.

Lecture 2. Analysis of algorithms.



Exercise 1. Due in precept Thursday or Friday.

Assignment 1. Due via electronic submission at 11pm on Tuesday.

Right course? See Maia after lecture.

Placed out of COS 126? Review the following in Intro to Programming in Java

- Section 1.5: I/O and command-line interface.
- Section 4.1: Analysis of algorithms.
- Section 4.3: Stacks and queues.



Not registered? Go to any precept this week.

Change precept? Use SCORE. ← see Colleen Kenny-McGinley in CS 210 if the only precept you can attend is closed

# 1.5 Case Study



- dynamic connectivity
- quick find
- quick union
- **▶** improvements
- applications

# Subtext of today's lecture (and this course)

### Steps to developing a usable algorithm.

- Model the problem.
- Find an algorithm to solve it.
- Fast enough? Fits in memory?
- If not, figure out why.
- Find a way to address the problem.
- Iterate until satisfied.

The scientific method.

Mathematical analysis.

# dynamic connectivity

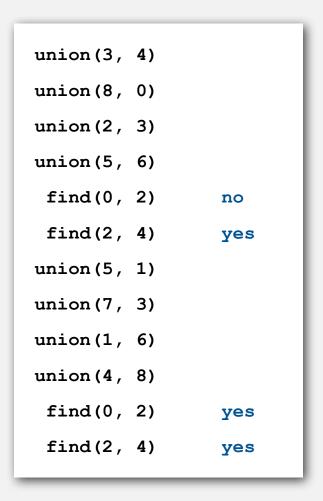
- quick find
- quick union
- > improvements
- applications

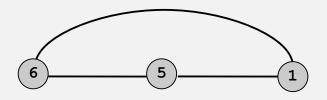
#### Dynamic connectivity

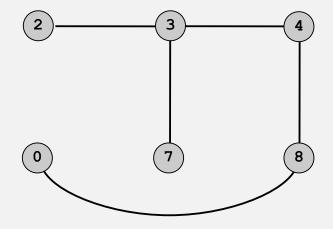
### Given a set of objects

- Union: connect two objects.
- Find: is there a path connecting the two objects?

more difficult problem: find the path







# Network connectivity: larger example

Q. Is there a path from p to q? A. Yes. but finding the path is more difficult: stay tuned (Chapter 4)

#### Modeling the objects

### Dynamic connectivity applications involve manipulating objects of all types.

- Variable name aliases.
- Pixels in a digital photo.
- Computers in a network.
- Web pages on the Internet.
- Transistors in a computer chip.
- Metallic sites in a composite system.
- Terrorists communicating to develop a plot.

#### When programming, convenient to name objects 0 to N-1.

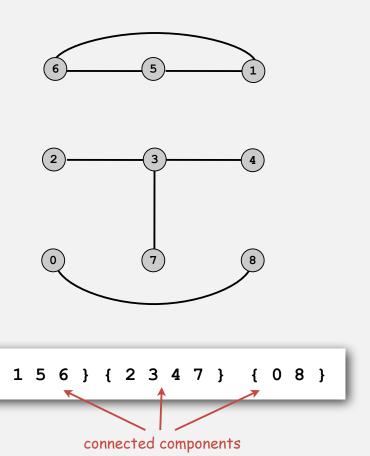
- Use integers as array index.
- Suppress details not relevant to union-find.

can use symbol table to translate from object names to integers (stay tuned)

# Modeling the connections

Transitivity. If p is connected to q and q is connected to r, then p is connected to r.

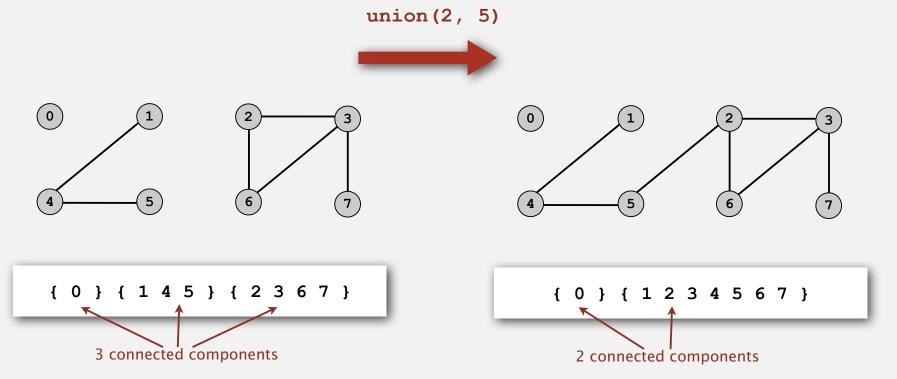
Connected components. Maximal set of objects that are mutually connected.



### Implementing the operations

Find query. Check if two objects are in the same set.

Union command. Replace sets containing two objects with their union.



# Union-find data type (API)

Goal. Design efficient data structure for union-find.

- Number of objects N can be huge.
- Number of operations M can be huge.
- Find queries and union commands may be intermixed.

public class	UF	
	UF(int N)	create union-find data structure with  N objects and no connections
boolean	<pre>find(int p, int q)</pre>	are p and q in the same component?
void	union(int p, int q)	add connection between p and q
int	count()	number of components

#### Dynamic-connectivity client

- ullet Read in number of objects N from standard input.
- Repeat:
  - read in pair of integers from standard input
  - write out pair if they are not already connected

```
public static void main(String[] args)
{
  int N = StdIn.readInt();
  UF uf = new UF(N);
  while (!StdIn.isEmpty())
  {
    int p = StdIn.readInt();
    int q = StdIn.readInt();
    if (uf.find(p, q)) continue;
    uf.union(p, q);
    StdOut.println(p + " " + q);
  }
}
```

```
% more tiny.txt
10
4 3
3 8
6 5
9 4
2 1
8 9
5 0
7 2
6 1
1 0
6 7
```



- quick find
- > quick union
- improvements
- ▶ applications

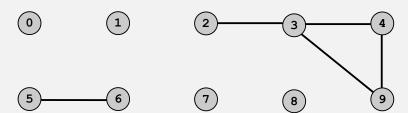
# Quick-find [eager approach]

#### Data structure.

- Integer array ia[] of size N.
- Interpretation: p and q are connected if they have the same id.

i 0 1 2 3 4 5 6 7 8 9 id[i] 0 1 9 9 9 6 6 7 8 9

5 and 6 are connected 2, 3, 4, and 9 are connected



### Quick-find [eager approach]

#### Data structure.

- Integer array ia[] of size N.
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```
i 0 1 2 3 4 5 6 7 8 9
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5 and 6 are connected 2, 3, 4, and 9 are connected

Find. Check if p and q have the same id.

#### Quick-find [eager approach]

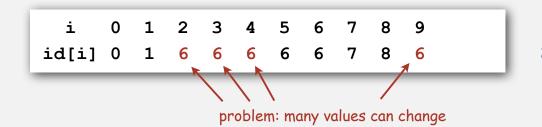
#### Data structure.

- Integer array ia[] of size N.
- Interpretation: p and q are connected if they have the same id.

5 and 6 are connected 2, 3, 4, and 9 are connected

Find. Check if p and q have the same id.

Union. To merge sets containing p and q, change all entries with ia[p] to ia[q].



union of 3 and 6 2, 3, 4, 5, 6, and 9 are connected

### Quick-find example

```
id[]
     0 1 2 3 4 5 6 7 8 9
     0 1 2 3 3 5 6 7 8 9
    0 1 2 3 3 5 6 7 8 9
     0 1 2 8 8 5 6 7 8 9
6 5 0 1 2 8 8 5 6 7 8 9
     0 1 2 8 8 5 5 7 8 9
    0 1 2 8 8 5 5 7 8 9
     0 1 2 8 8 5 5 7 8 8
    0 1 2 8 8 5 5 7 8 8
     0 1 1 8 8 5 5 7 8 8
    0 1 1 8 8 5 5 7 8 8
    0 1 1 8 8 5 5 7 8 8
     0 1 1 8 8 0 0 7 8 8
7 2 0 1 1 8 8 0 0 7 8 8
     0 1 1 8 8 0 0 1 8 8
6 1 0 1 1 8 8 0 0 1 8 8
                                  id[p] and id[q] differ, so
                                union() changes entries equal
     1 1 1 8 8 1 1 1 8 8
                                  to id[p] to id[q] (in red)
     1 1 1 8 8 1 1 1 8 8
    1 1 1 8 8 1 1 1 8
                                     id[p] and id[q]
                                   match, so no change
```

#### Quick-find: Java implementation

```
public class QuickFindUF
   private int[] id;
   public QuickFindUF(int N)
       id = new int[N];
                                                             set id of each object to itself
       for (int i = 0; i < N; i++)
                                                             (N array accesses)
          id[i] = i;
                                                             check whether p and q
   public boolean find(int p, int q)
                                                             are in the same component
   { return id[p] == id[q]; }
                                                             (2 array accesses)
   public void union(int p, int q)
       int pid = id[p];
       int qid = id[q];
                                                             change all entries with id[p] to id[q]
       for (int i = 0; i < id.length; i++)
                                                             (linear number of array accesses)
          if (id[i] == pid) id[i] = qid;
```

#### Quick-find is too slow

Cost model. Number of array accesses (for read or write).

algorithm	init	union	find
quick-find	N	N	1

#### Quick-find defect.

- Union too expensive.
- Trees are flat, but too expensive to keep them flat.
- Ex. Takes  $N^2$  array accesses to process sequence of N union commands on N objects.

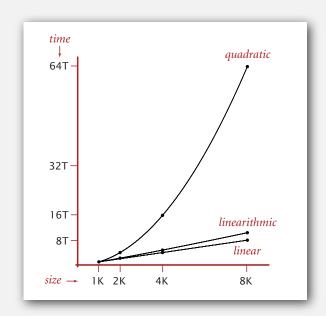
#### Quadratic algorithms do not scale

#### Rough standard (for now).

- 10<sup>9</sup> operations per second.
- 109 words of main memory.
- Touch all words in approximately 1 second.

#### Ex. Huge problem for quick-find.

- 109 union commands on 109 objects.
- Quick-find takes more than  $10^{18}$  operations.
- 30+ years of computer time!



#### Paradoxically, quadratic algorithms get worse with newer equipment.

a truism (roughly)

since 1950!

- New computer may be 10x as fast.
- But, has 10x as much memory so problem may be 10x bigger.
- With quadratic algorithm, takes 10x as long!

- dynamic connectivity
- ▶ quick find
- quick union
- → improvements
  - applications

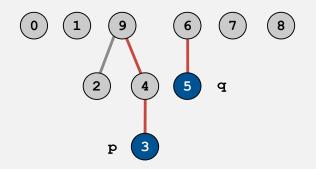
# Quick-union [lazy approach]

#### Data structure.

- Integer array ia[] of size N.
- Interpretation: id[i] is parent of i.
- Root of i is id[id[id[...id[i]...]]].

i 0 1 2 3 4 5 6 7 8 9
id[i] 0 1 9 4 9 6 6 7 8 9

keep going until it doesn't change



3's root is 9; 5's root is 6

### Quick-union [lazy approach]

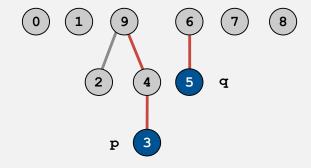
#### Data structure.

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i 0 1 2 3 4 5 6 7 8 9 id[i] 0 1 9 4 9 6 6 7 8 9

Find. Check if p and q have the same root.

keep going until it doesn't change



3's root is 9; 5's root is 6 3 and 5 are not connected

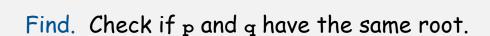
#### Quick-union [lazy approach]

#### Data structure.

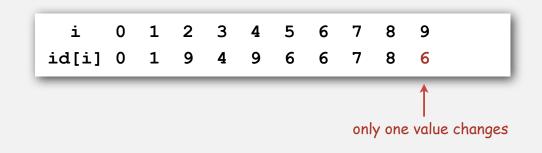
- Integer array ia[] of size N.
- Interpretation: id[i] is parent of i.
- Root of i is id[id[id[...id[i]...]]].

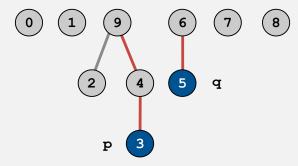
keep going until it doesn't change



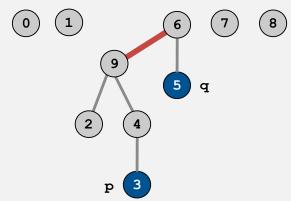


Union. To merge sets containing p and q, set the id of p's root to the id of q's root.

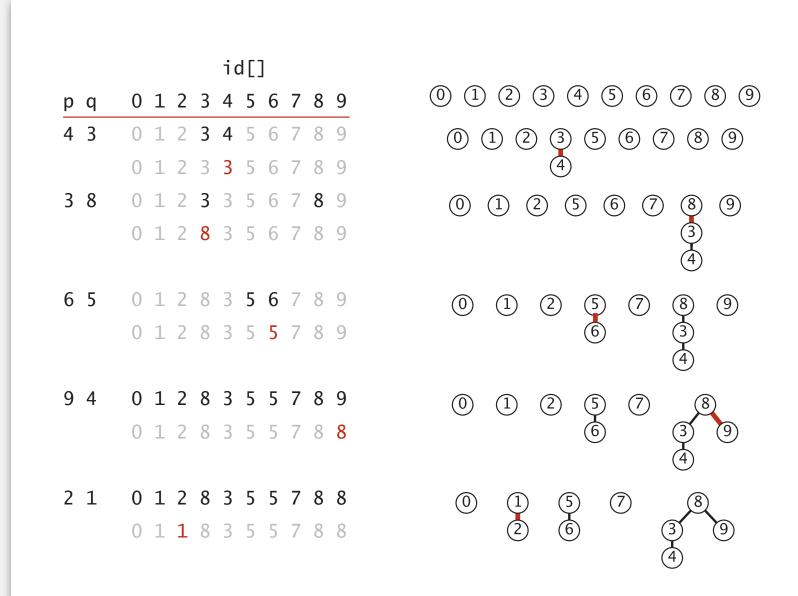




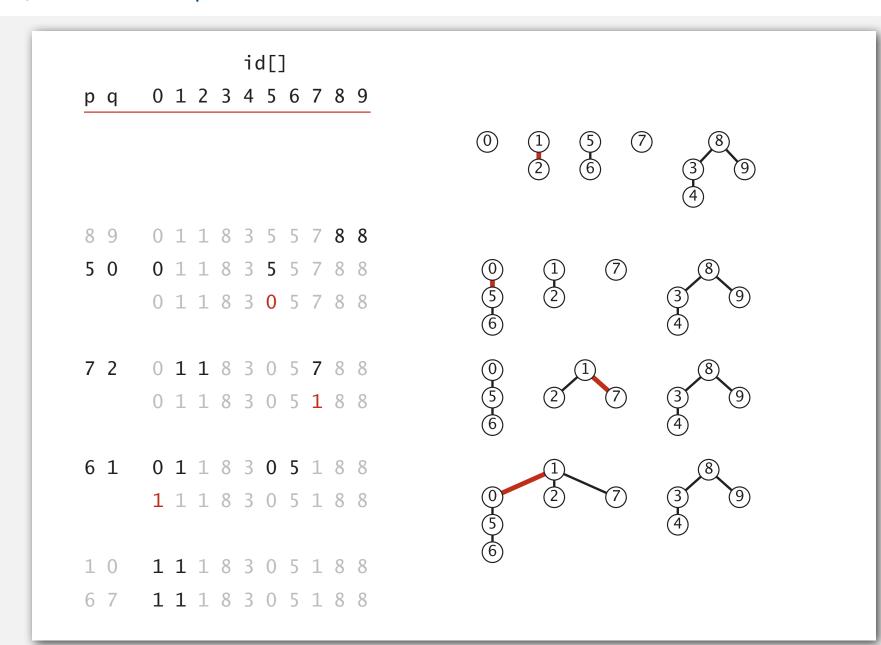
3's root is 9; 5's root is 6 3 and 5 are not connected



# Quick-union example



# Quick-union example



#### Quick-union: Java implementation

```
public class QuickUnionUF
   private int[] id;
   public QuickUnionUF(int N)
                                                                set id of each object to itself
       id = new int[N];
                                                                (N array accesses)
       for (int i = 0; i < N; i++) id[i] = i;
   private int root(int i)
                                                                chase parent pointers until reach root
       while (i != id[i]) i = id[i];
                                                                (depth of i array accesses)
       return i;
   public boolean find(int p, int q)
                                                                check if p and q have same root
       return root(p) == root(q);
                                                                (depth of p and q array accesses)
   public void union(int p, int q)
                                                                change root of p to point to root of q
       int i = root(p), j = root(q);
                                                                (depth of p and q array accesses)
       id[i] = j;
```

#### Quick-union is also too slow

Cost model. Number of array accesses (for read or write).

algorithm	init	union	find	
quick-find	N	N	1	
quick-union	N	N †	N	← worst case

† includes cost of finding root

#### Quick-find defect.

- Union too expensive (N array accesses).
- Trees are flat, but too expensive to keep them flat.

#### Quick-union defect.

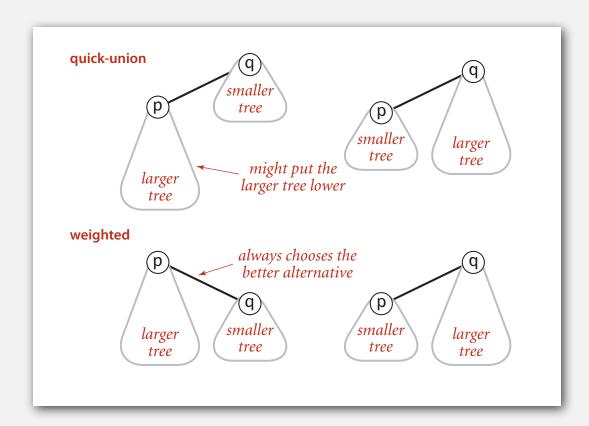
- Trees can get tall.
- Find too expensive (could be N array accesses).

- quick union improvements applications

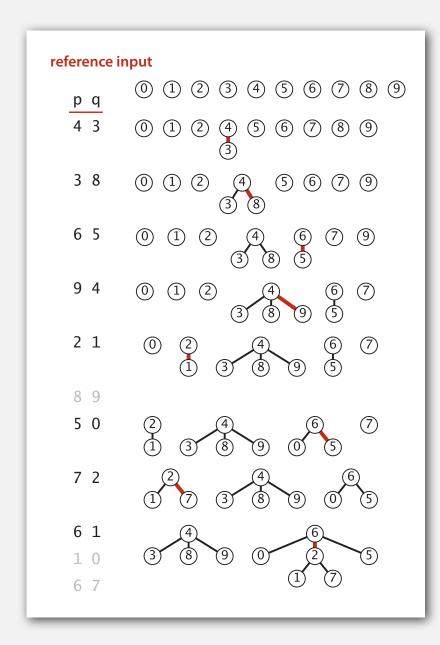
## Improvement 1: weighting

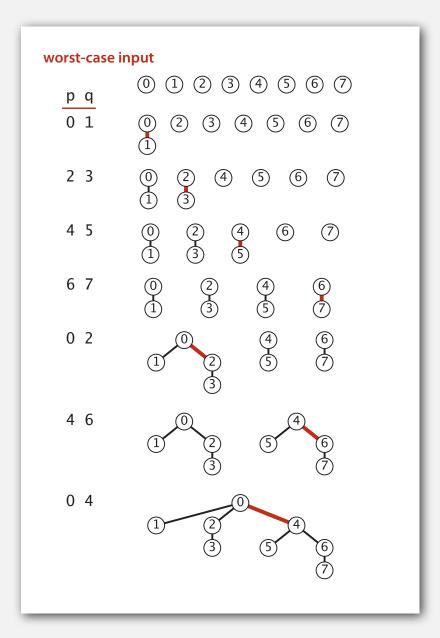
# Weighted quick-union.

- Modify quick-union to avoid tall trees.
- Keep track of size of each tree (number of objects).
- Balance by linking small tree below large one.

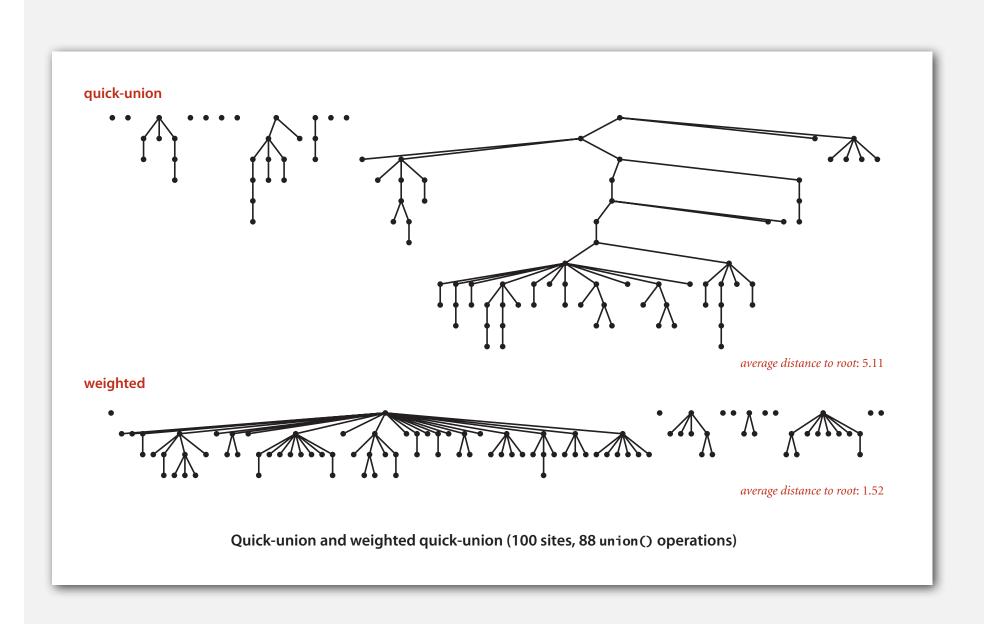


## Weighted quick-union examples





# Quick-union and weighted quick-union example



#### Weighted quick-union: Java implementation

Data structure. Same as quick-union, but maintain extra array sz[i] to count number of objects in the tree rooted at i.

Find. Identical to quick-union.

```
return root(p) == root(q);
```

Union. Modify quick-union to:

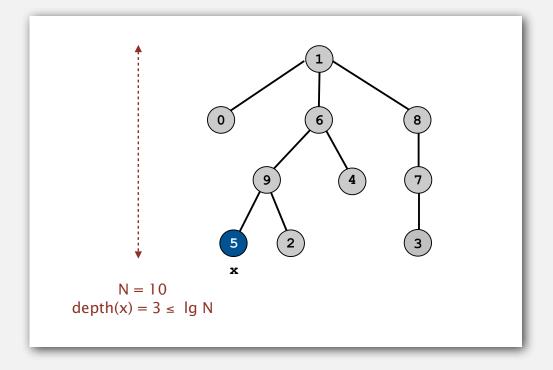
- Merge smaller tree into larger tree.
- Update the sz[] array.

# Weighted quick-union analysis

### Running time.

- Find: takes time proportional to depth of p and q.
- Union: takes constant time, given roots.

Proposition. Depth of any node x is at most  $\lg N$ .



### Weighted quick-union analysis

### Running time.

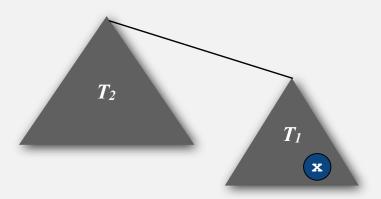
- Find: takes time proportional to depth of p and q.
- Union: takes constant time, given roots.

Proposition. Depth of any node x is at most  $\lg N$ .

Pf. When does depth of x increase?

Increases by 1 when tree  $T_1$  containing x is merged into another tree  $T_2$ .

- The size of the tree containing x at least doubles since  $|T_2| \ge |T_1|$ .
- Size of tree containing x can double at most  $\lg N$  times. Why?



## Weighted quick-union analysis

### Running time.

- Find: takes time proportional to depth of p and q.
- Union: takes constant time, given roots.

Proposition. Depth of any node x is at most  $\lg N$ .

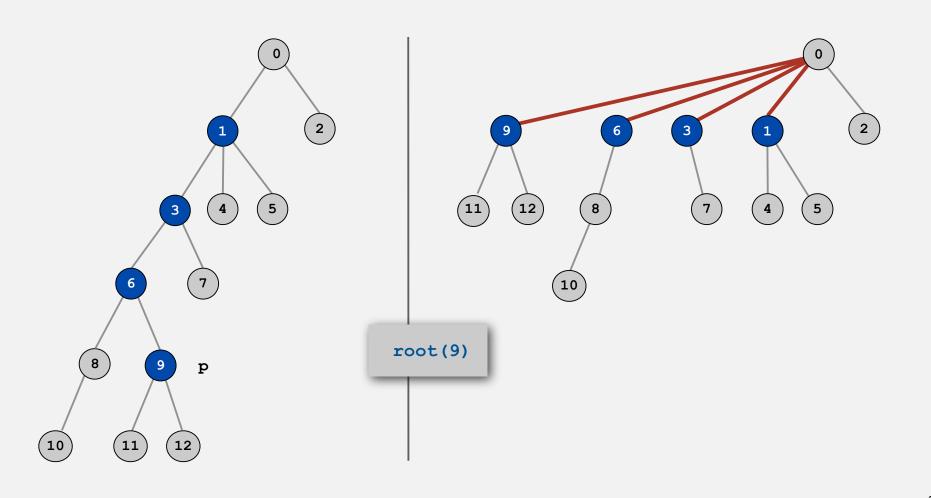
algorithm	init	union	find
quick-find	N	N	1
quick-union	N	N †	N
weighted QU	N	lg N †	lg N

† includes cost of finding root

- Q. Stop at guaranteed acceptable performance?
- A. No, easy to improve further.

# Improvement 2: path compression

Quick union with path compression. Just after computing the root of p, set the id of each examined node to point to that root.



#### Path compression: Java implementation

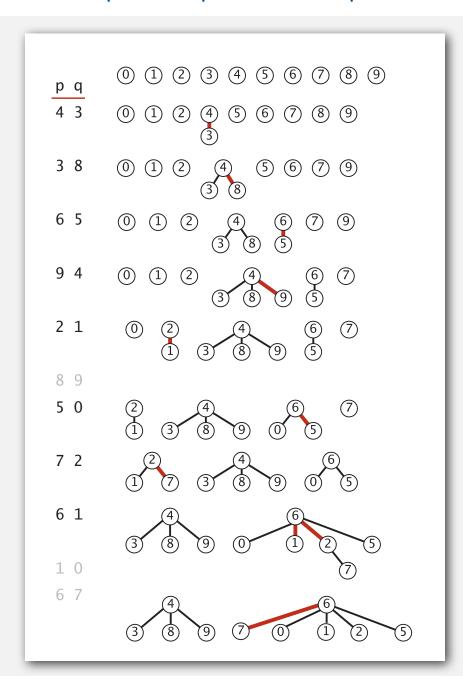
Standard implementation: add second loop to find() to set the id[] of each examined node to the root.

Simpler one-pass variant: halve the path length by making every other node in path point to its grandparent.

```
public int root(int i)
{
    while (i != id[i])
    {
        id[i] = id[id[i]];
        i = id[i];
    }
    return i;
}
```

In practice. No reason not to! Keeps tree almost completely flat.

# Weighted quick-union with path compression example



1 linked to 6 because of path compression

7 linked to 6 because of path compression

### Weighted quick-union with path compression: amortized analysis

Proposition. Starting from an empty data structure, any sequence of M union-find operations on N objects makes at most proportional to  $N+M\lg^*N$  array accesses.

- Proof is very difficult.
- Can be improved to  $N + M \alpha(M, N)$ .  $\leftarrow$  see COS 423
- But the algorithm is still simple!



Bob Tarjan (Turing Award '86)

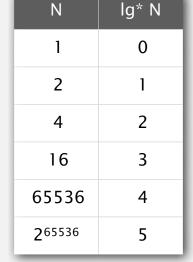
#### Linear-time algorithm for M union-find ops on N objects?

- Cost within constant factor of reading in the data.
- In theory, WQUPC is not quite linear.
- In practice, WQUPC is linear.

because  $\lg^* N$  is a constant in this universe

because	Ig*	/V	IS	a	constant	ın	this	unive	erse

Amazing fact. No linear-time algorithm exists.



Ig\* function

### Summary

Bottom line. WQUPC makes it possible to solve problems that could not otherwise be addressed.

algorithm	worst-case time
quick-find	M N
quick-union	M N
weighted QU	N + M log N
QU + path compression	N + M log N
weighted QU + path compression	N + M lg* N

M union-find operations on a set of N objects

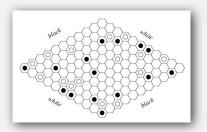
# Ex. [ $10^9$ unions and finds with $10^9$ objects]

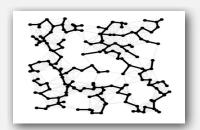
- WQUPC reduces time from 30 years to 6 seconds.
- Supercomputer won't help much; good algorithm enables solution.

▶ improvements applications

#### Union-find applications

- Percolation.
- Games (Go, Hex).
- ✓ Network connectivity.
- Least common ancestor.
- Equivalence of finite state automata.
- Hoshen-Kopelman algorithm in physics.
- Hinley-Milner polymorphic type inference.
- Kruskal's minimum spanning tree algorithm.
- Compiling equivalence statements in Fortran.
- Morphological attribute openings and closings.
- Matlab's bwlabel () function in image processing.



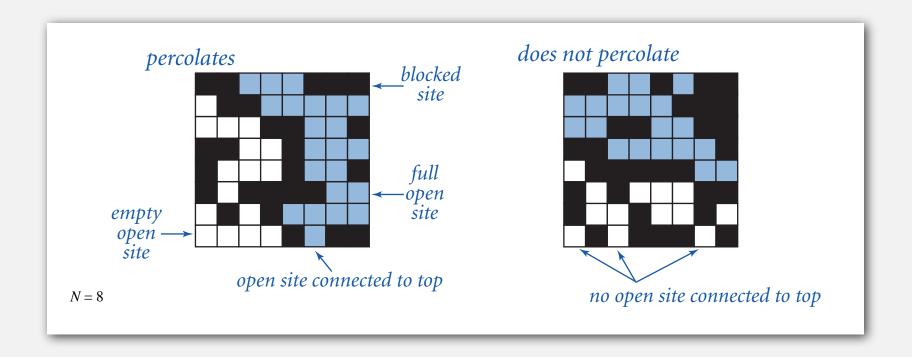




#### Percolation

### A model for many physical systems:

- N-by-N grid of sites.
- Each site is open with probability p (or blocked with probability 1-p).
- System percolates if top and bottom are connected by open sites.



#### Percolation

# A model for many physical systems:

- *N*-by-*N* grid of sites.
- Each site is open with probability p (or blocked with probability 1-p).
- System percolates if top and bottom are connected by open sites.

model	system	vacant site	occupied site	percolates
electricity	material	conductor	insulated	conducts
fluid flow	material	empty	blocked	porous
social interaction	population	person	empty	communicates

# Likelihood of percolation

Depends on site vacancy probability p.

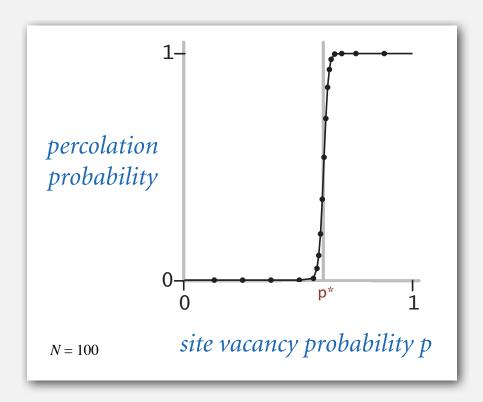


### Percolation phase transition

### When N is large, theory guarantees a sharp threshold $p^*$ .

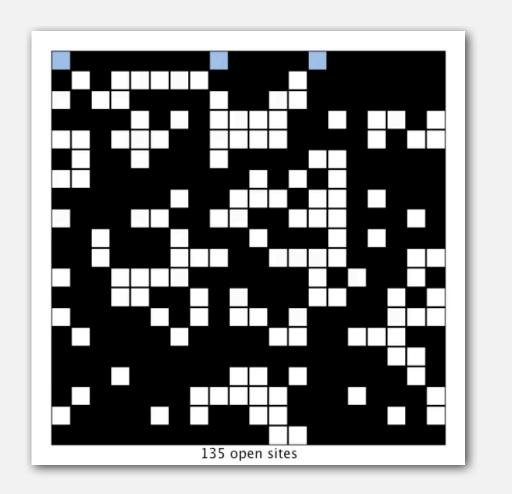
- $p > p^*$ : almost certainly percolates.
- $p < p^*$ : almost certainly does not percolate.

### Q. What is the value of $p^*$ ?



#### Monte Carlo simulation

- Initialize N-by-N whole grid to be blocked.
- Declare random sites open until top connected to bottom.
- Vacancy percentage estimates  $p^*$ .



full open site
(connected to top)

empty open site
(not connected to top)

blocked site

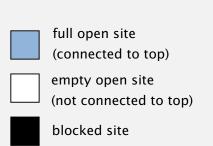
### UF solution to find percolation threshold

### How to check whether system percolates?

- Create an object for each site.
- Sites are in same set if connected by open sites.
- Percolates if any site in top row is in same set as any site in bottom row.

brute force algorithm: check all N<sup>2</sup> pairs

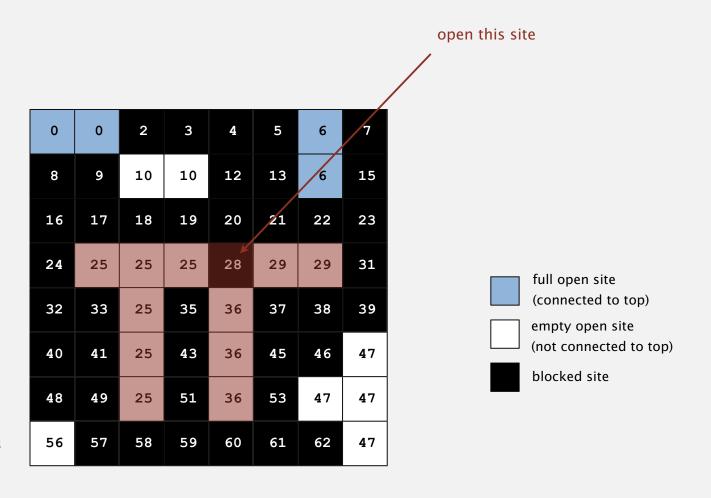
0	0	2	3	4	5	6	7
8	9	10	10	12	13	6	15
16	17	18	19	20	21	22	23
24	25	25	25	28	29	29	31
32	33	25	35	36	37	38	39
40	41	25	43	36	45	46	47
48	49	25	51	36	53	47	47
56	57	58	59	60	61	62	47



N=8

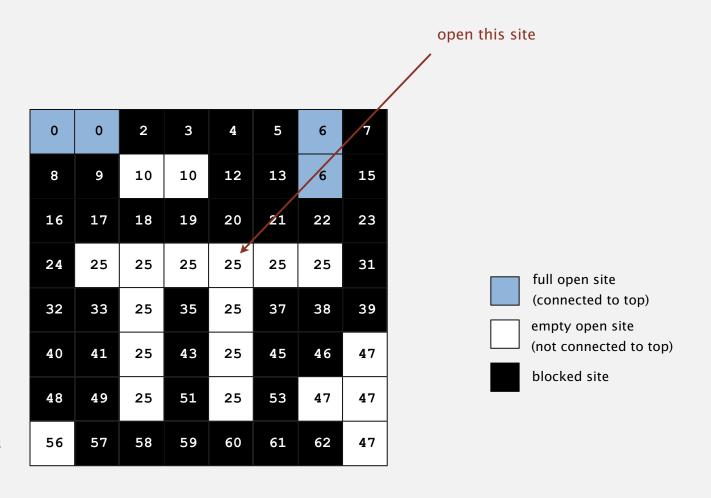
# UF solution to find percolation threshold

# Q. How to declare a new site open?



# UF solution to find percolation threshold

- Q. How to declare a new site open?
- A. Take union of new site and all adjacent open sites.



# UF solution: a critical optimization

Q. How to avoid checking all pairs of top and bottom sites?

0	0	2	3	4	5	6	7
8	9	10	10	12	13	6	15
16	17	18	19	20	21	22	23
24	25	25	25	25	25	25	31
32	33	25	35	25	37	38	39
40	41	25	43	25	45	46	47
48	49	25	51	25	53	47	47
56	57	58	59	60	61	62	47

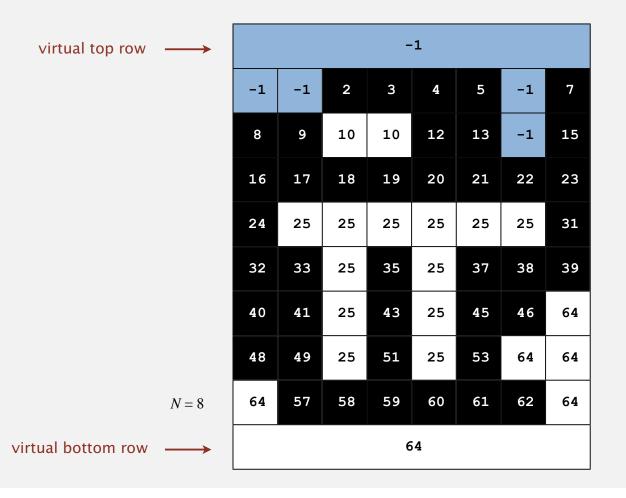
full open site
(connected to top)

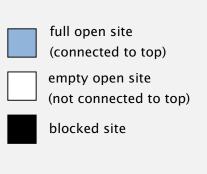
empty open site
(not connected to top)

blocked site

### UF solution: a critical optimization

- Q. How to avoid checking all pairs of top and bottom sites?
- A. Create a virtual top and bottom objects; system percolates when virtual top and bottom objects are in same set.

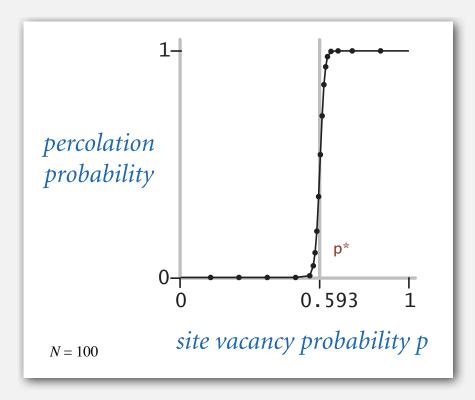




#### Percolation threshold

- Q. What is percolation threshold  $p^*$ ?
- A. About 0.592746 for large square lattices.

percolation constant known only via simulation



Fast algorithm enables accurate answer to scientific question.

# Subtext of today's lecture (and this course)

### Steps to developing a usable algorithm.

- Model the problem.
- Find an algorithm to solve it.
- Fast enough? Fits in memory?
- If not, figure out why.
- Find a way to address the problem.
- Iterate until satisfied.

The scientific method.

Mathematical analysis.