

CS4102 Algorithms

Spring 2022

Last Day of Unit A!

Announcements

- Homework schedule on course website
 - Unit A Basic HW3 now available
 - Unit A Advanced and Programming HW now available
 - Unit A Programming submission opens Wednesday
 - **Hard deadline for Unit A Basic HW: Friday, 11:30 pm on GradeScope**
- TA Office Hours
 - 7-10pm Sun-Thurs in Ols 011
 - Online hours also available
- Unit A Exam: Tuesday, February 22, in class

Today's Keywords

- Finish up Median of Medians
 - how that applies to QuickSelect and Quicksort
- Quicksort and expected time
- Lower bounds proof for comparison sorts
- Review of sorts and their properties

How to pick the pivot?

Good Pivot

- What makes a good Pivot?
 - Roughly even split between left and right
 - Ideally: median
- Can we find median in linear time?
 - Yes!
 - Quickselect

Quickselect

- Finds i^{th} order statistic
 - i^{th} smallest element in the list
 - 1st order statistic: minimum
 - n^{th} order statistic: maximum
 - $\frac{n}{2}^{\text{th}}$ order statistic: median
- CLRS, Section 9.1
 - **Selection problem:** Given a list of distinct numbers and value i , find value x in list that is larger than exactly $i-1$ list elements

Quickselect

- Finds i^{th} order statistic
- Idea: pick a **pivot** element, partition, then recurse on sublist containing index i
- **Divide**: select an element p , **Partition(p)**
- **Conquer**: if $i = \text{index of } p$, done!
 - if $i < \text{index of } p$ recurse left. Else recurse right
- **Combine**: Nothing!

Partition (Divide step)

Given: a list, a pivot value p

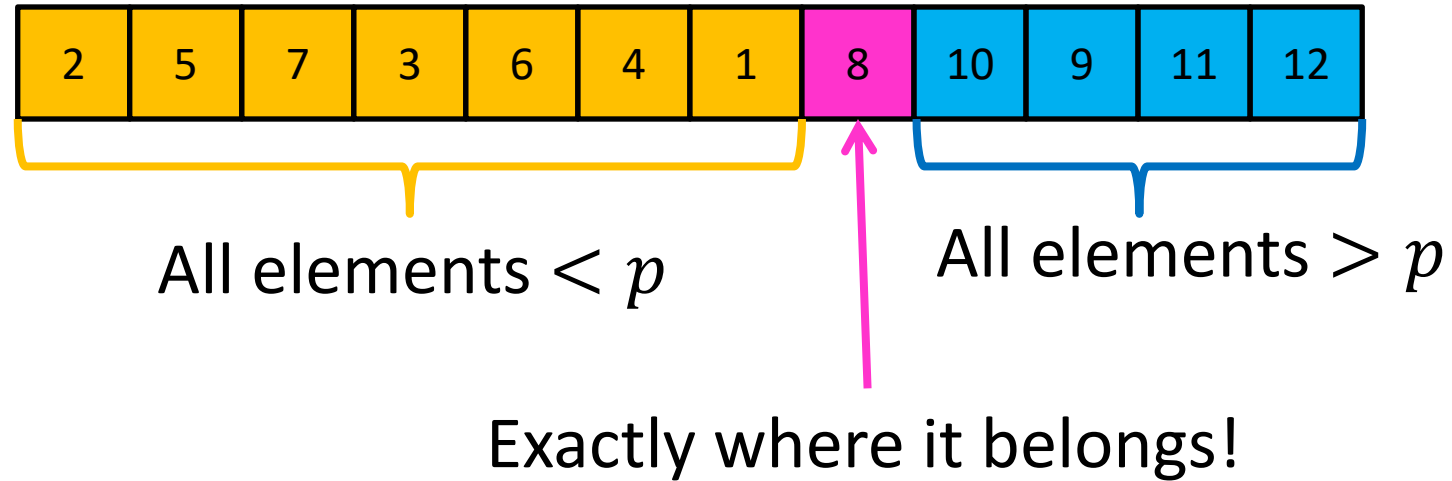
Start: unordered list

8	5	7	3	12	10	1	2	4	9	6	11
---	---	---	---	----	----	---	---	---	---	---	----

Goal: All elements $< p$ on left, all $> p$ on right

5	7	3	1	2	4	6	8	12	10	9	11
---	---	---	---	---	---	---	---	----	----	---	----

Conquer



Recurse on sublist that contains index i
(adjust i accordingly if recursing right)

CLRS Pseudocode for Quickselect

RANDOMIZED-SELECT(A, p, r, i)

```
1  if  $p == r$ 
2      return  $A[p]$ 
3   $q = \text{RANDOMIZED-PARTITION}(A, p, r)$ 
4   $k = q - p + 1$  // number of elements in left sub-list + 1
5  if  $i == k$  // the pivot value is the answer
6      return  $A[q]$ 
7  elseif  $i < k$ 
8      return RANDOMIZED-SELECT( $A, p, q - 1, i$ )
9  else return RANDOMIZED-SELECT( $A, q + 1, r, i - k$ )
```

A – the list
 p – index of first item
 r – index of last item
 i – find i th smallest item
 q – pivot location
 k – number on left + 1

note adjustment
to i parameter
when recursing
on right side

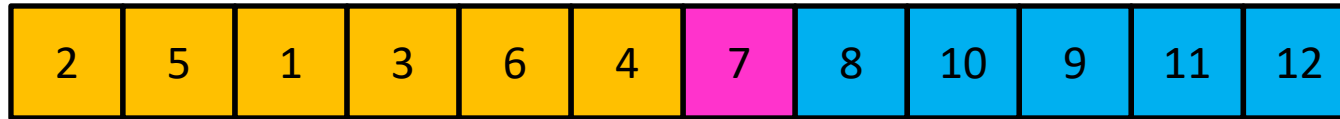
Note: In CLRS, they're using a partition that randomly chooses the pivot element. That's why you see "Randomized" in the names here. Ignore that for the moment.

Work These Examples!

- For each of the following calls, show
 - The value of q after each partition,
 - Which recursive calls made
- 1. `Select([3, 2, 9, 0, 7, 5, 6, 1], p=0, r=7, i=2)`
- 2. `Select([3, 2, 9, 0, 7, 5, 6, 1], p=0, r=7, i=5)`
- 3. `Select([3, 2, 9, 0, 7, 5, 6, 1], p=0, r=7, i=7)`

Quickselect Run Time

If the pivot is always the median:



Then we divide in half each time

$$S(n) = S\left(\frac{n}{2}\right) + n$$

$$S(n) = O(n)$$

Quickselect Run Time

If the partition is always unbalanced:



Then we shorten by 1 each time

$$S(n) = S(n - 1) + n$$

$$S(n) = O(n^2)$$

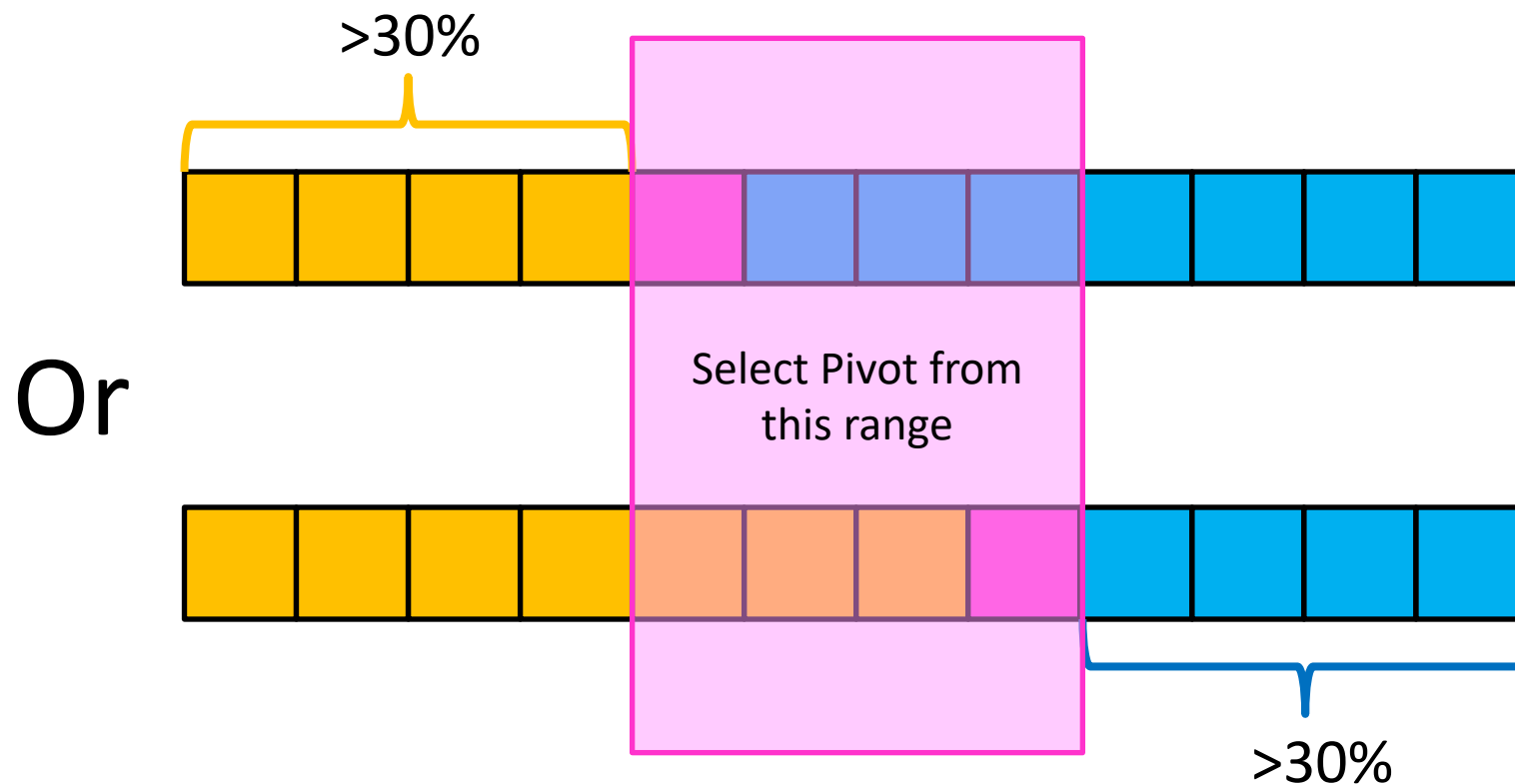
Good Pivot for Quickselect

Déjà vu?

- What makes a good Pivot for Quickselect?
 - Roughly even split between left and right
 - Ideally: median
- Here's what's next:
 - First, **median of medians** algorithm
 - Finds something close to the median in $\Theta(n)$ time
 - Second, we can prove that when its result used with Quickselect's partition, then Quickselect is guaranteed $\Theta(n)$
 - Because we now have a $\Theta(n)$ way to find the median, this guarantees Quicksort will be $\Theta(n \lg n)$
 - Notes:
 - We have to do all this for every call to Partition in Quicksort
 - We could just use the value returned by median of medians for Quicksort's Partition

Pretty Good Pivot

- What makes a “pretty good” Pivot?
 - Both sides of Pivot >30%



Median of Medians

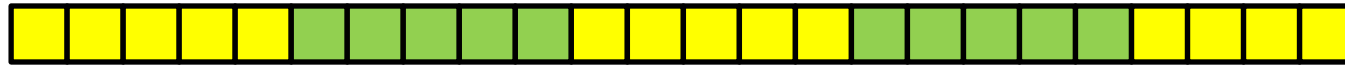
- Fast way to select a “pretty good” pivot
- Guarantees pivot is greater than 30% of elements and less than 30% of the elements
 - I.e. it’s in the middle 40% ($\pm 20\%$ of the true median)
- **Idea**: break list into chunks, find the median of each chunk, use the median of those medians
- CLRS, pp. 220-221
- https://en.wikipedia.org/wiki/Median_of_medians

Median of Medians

- Fast way to select a “good” pivot
- Guarantees pivot is greater than 30% of elements and less than 30% of the elements
- **Idea**: break list into chunks, find the median of each chunk, use the median of those medians

Median of Medians

1. Break list into chunks of size 5



List could be long, many more than 5 chunks!

2. Find the **median** of each chunk
(using insertion sort: $n=5$, max 20 comparisons per chunk)



3. Return **median of medians** (using Quickselect, this algorithm, called recursively, on list of medians)



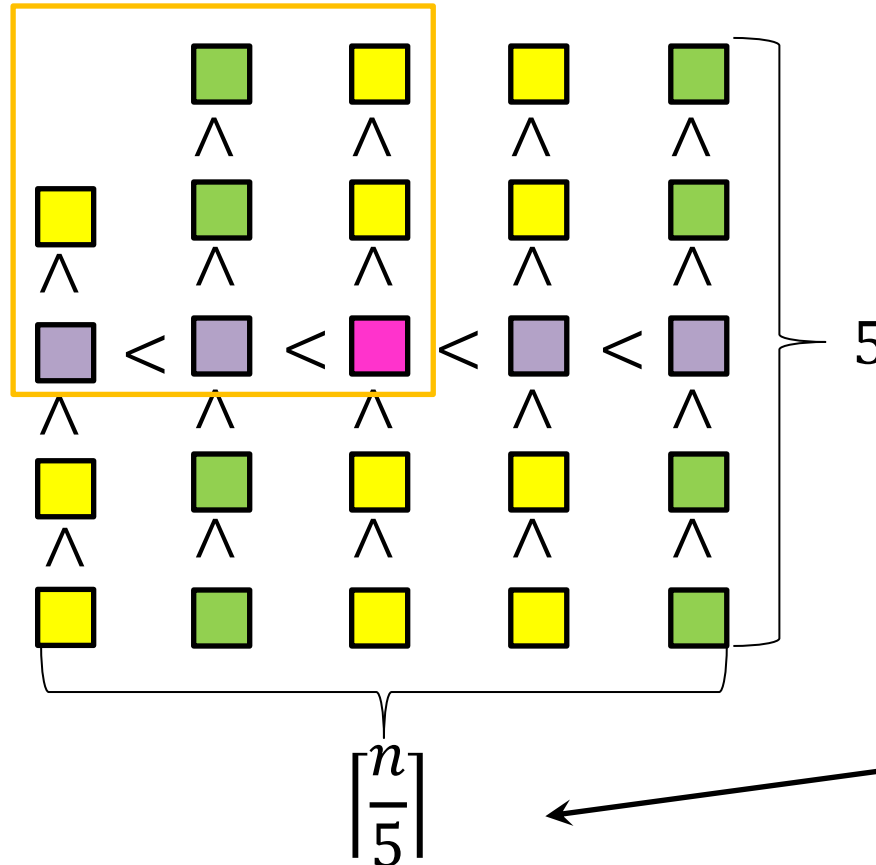
List could be long, many more than 5 medians!

Why is this good?



Each chunk sorted, chunks ordered by their medians

MedianofMedians
is Greater than all
of these

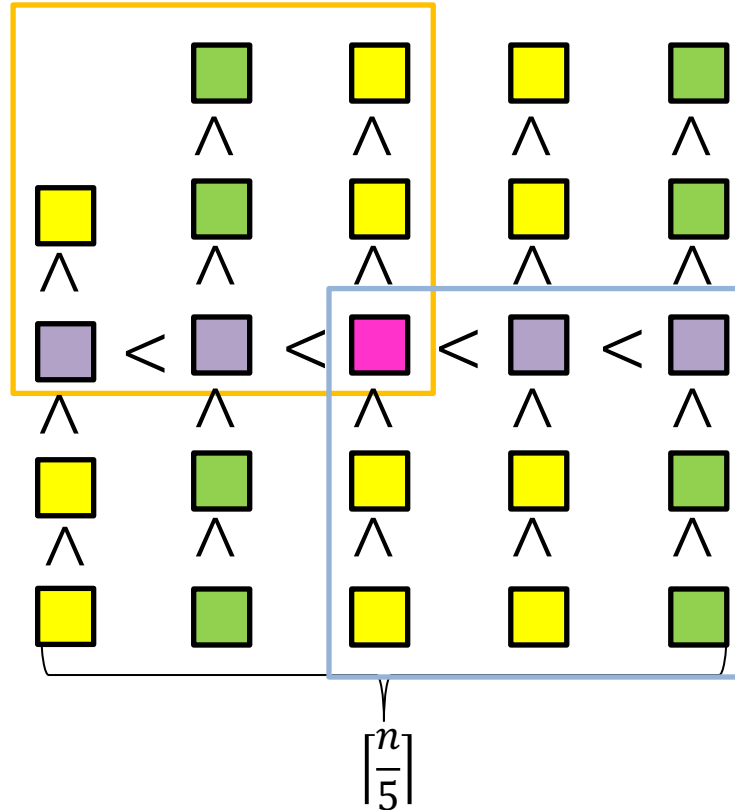


List could be long, so not a small number!

Why is this good?

Median of Medians

is larger than all of these



Larger than 3 things in each (but one) list to the left

Similarly:

$$3 \left(\frac{1}{2} \cdot \left\lceil \frac{n}{5} \right\rceil - 2 \right) \approx \frac{3n}{10} - 6 \text{ elements} < \text{pink square}$$

$$3 \left(\frac{1}{2} \cdot \left\lceil \frac{n}{5} \right\rceil - 2 \right) \approx \frac{3n}{10} - 6 \text{ elements} > \text{pink square}$$

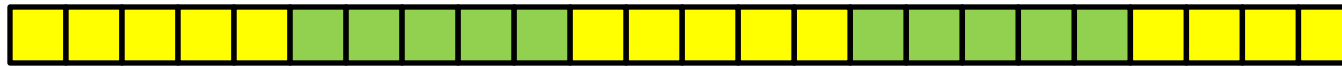
Worried about the details of this math? See CLRS p. 221

Run-time of Quickselect with Median of Medians

- **Divide:** select an element p using Median of Medians,
 $\text{Partition}(p)$ $M(n) + \Theta(n)$
- **Conquer:** if $i = \text{index of } p$, done, if $i < \text{index of } p$ recurse left.
Else recurse right $\leq S\left(\frac{7}{10}n\right)$
- **Combine:** Nothing!
 $S(n) \leq S\left(\frac{7}{10}n\right) + M(n) + \Theta(n)$

Median of Medians, Run Time

1. Break list into chunks of 5 $\Theta(n)$



2. Find the **median** of each chunk $\Theta(n)$



3. Return **median** of medians (using Quickselect)



$$S\left(\frac{n}{5}\right)$$

$$M(n) = S\left(\frac{n}{5}\right) + \Theta(n)$$

Quickselect

$$S(n) \leq S\left(\frac{7n}{10}\right) + M(n) + \Theta(n)$$

$$M(n) = S\left(\frac{n}{5}\right) + \Theta(n)$$

$$= S\left(\frac{7n}{10}\right) + S\left(\frac{n}{5}\right) + \Theta(n)$$

$$= S\left(\frac{7n}{10}\right) + S\left(\frac{2n}{10}\right) + \Theta(n)$$

$$\leq S\left(\frac{9n}{10}\right) + \Theta(n) \quad \text{Because } S(n) = \Omega(n)$$

CLRS gives a more rigorous proof!
See p. 222 for more details

Master theorem Case 3!

$$S(n) = O(n)$$

$$S(n) = \Theta(n)$$

Compare to ‘Obvious’ Approach

- An “obvious” approach to Selection Problem:
 - Given list and value i : Sort list, then choose i -th item
 - We’ve only seen sorting algorithms that are $\Omega(n \log n)$
 - Later we’ll show this really is a lower-bound
 - So this approach is $\Theta(n \log n)$
- Therefore Quickselect is asymptotically better than this sorting-based solution for Selection Problem!

Phew! Back to Quicksort

Using Quickselect, with a median-of-medians partition:



Then we divide in half each time

$$T(n) = 2T\left(\frac{n}{2}\right) + \Theta(n)$$

$$T(n) = \Theta(n \log n)$$

Is it worth it?

- Using Quickselect to pick median guarantees $\Theta(n \log n)$ run time
- But, this approach has very large constants
 - If you really want $\Theta(n \log n)$, better off using MergeSort
- Better approach: Choose random pivot for Quicksort
 - Very small constant (random() is a fast algorithm)
 - Can prove the *expected runtime* is $\Theta(n \log n)$
 - Why? Unbalanced partitions are very unlikely

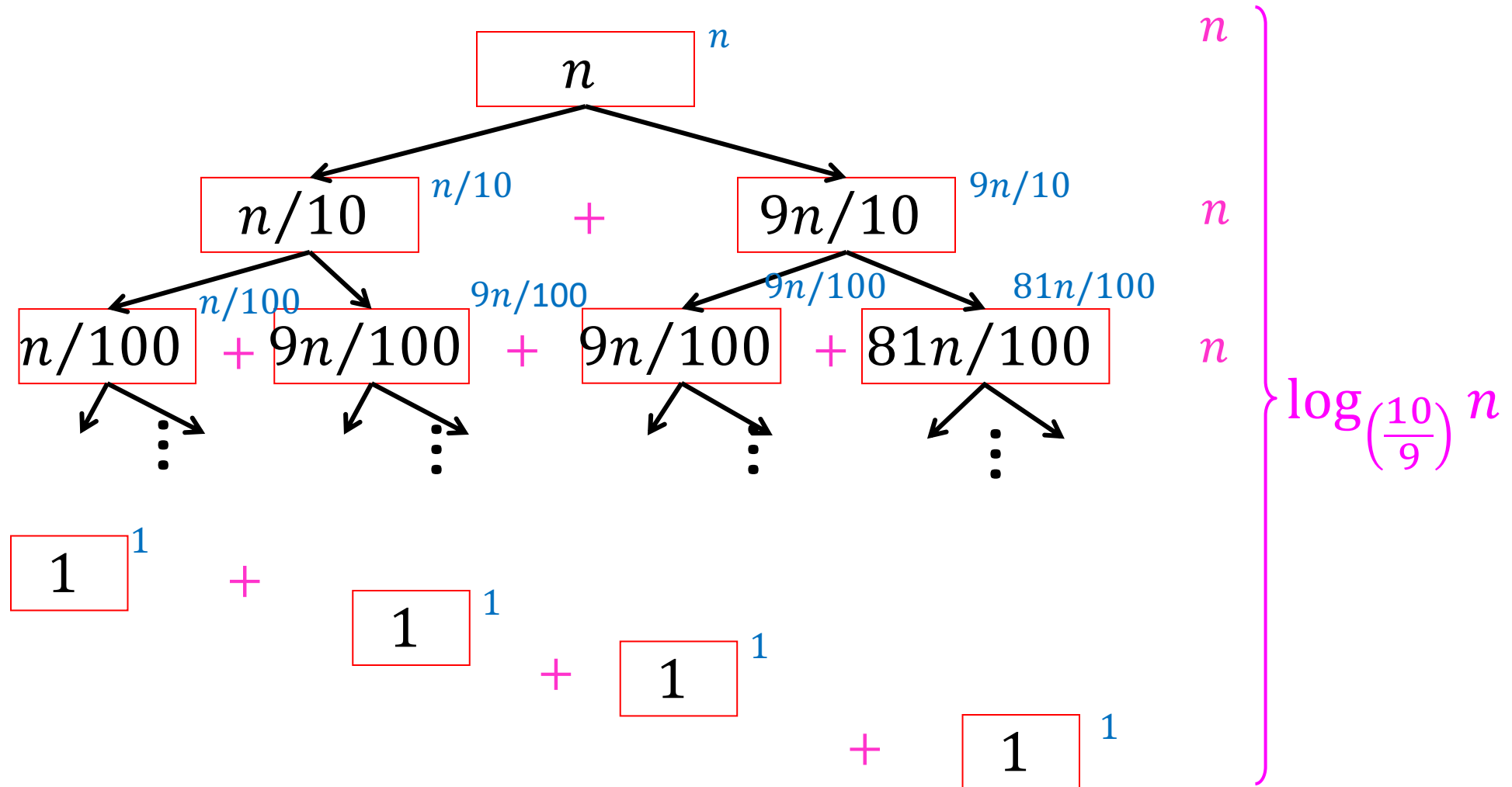
Quicksort Run Time

If the **pivot** is always $\frac{n}{10}$ th order statistic:



$$T(n) = T\left(\frac{n}{10}\right) + T\left(\frac{9n}{10}\right) + n$$

$$T(n) = T\left(\frac{n}{10}\right) + T\left(\frac{9n}{10}\right) + n$$



Quicksort Run Time

If the **pivot** is always $\frac{n}{10}$ th order statistic:



$$T(n) = T\left(\frac{n}{10}\right) + T\left(\frac{9n}{10}\right) + n$$

$$T(n) = \Theta(n \log n)$$

Quicksort Run Time

If the **pivot** is always d^{th} order statistic:



Then we shorten by d each time

$$T(n) = T(n - d) + n$$

$$T(n) = O(n^2)$$

What's the probability of this occurring?

Probability of n^2 run time

We must consistently select **pivot** from within the first d terms

Probability first **pivot** is among d smallest: $\frac{d}{n}$

Probability second **pivot** is among d smallest: $\frac{d}{n-d}$

Probability all **pivots** are among d smallest:

$$\frac{d}{n} \cdot \frac{d}{n-d} \cdot \frac{d}{n-2d} \cdot \dots \cdot \frac{d}{2d} \cdot 1 = \frac{1}{\left(\frac{n}{d}\right)!}$$

Sorting, so far

- Sorting algorithms we have discussed:
 - Mergesort $O(n \log n)$
 - Quicksort $O(n \log n)$
- Other sorting algorithms (will discuss):
 - Bubblesort $O(n^2)$
 - Insertionsort $O(n^2)$
 - Heapsort $O(n \log n)$

Can we do better than $O(n \log n)$?

Mental Stretch

Show $\log(n!) = \Theta(n \log n)$

Hint: show $n! \leq n^n$

Hint 2: show $n! \geq \left(\frac{n}{2}\right)^{\frac{n}{2}}$

$$\log n! = O(n \log n)$$

$$n! = n \cdot (n - 1) \cdot (n - 2) \cdot \dots \cdot 2 \cdot 1$$

$$n^n = n \cdot \overset{\parallel}{n} \cdot \hat{n} \cdot \hat{n} \cdot \dots \cdot \hat{n} \cdot \hat{n}$$

$$n! \leq n^n$$

$$\Rightarrow \log(n!) \leq \log(n^n)$$

$$\Rightarrow \log(n!) \leq n \log n$$

$$\Rightarrow \log(n!) = O(n \log n)$$

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

$$n! = n \cdot (n-1) \cdot (n-2) \cdot \dots \cdot \frac{n}{2} \cdot \left(\frac{n}{2}-1\right) \cdot \dots \cdot 2 \cdot 1$$

∨ ∨ ∨ || ∨ ∨ ||

$$\binom{n}{\frac{n}{2}} = \frac{n}{2} \cdot \frac{n}{2} \cdot \frac{n}{2} \cdot \dots \cdot \frac{n}{2} \cdot 1 \cdot \dots \cdot 1 \cdot 1$$

$$n! \geq \left(\frac{n}{2}\right)^{\frac{n}{2}}$$

$$\Rightarrow \log(n!) \geq \log \left(\left(\frac{n}{2}\right)^{\frac{n}{2}} \right)$$

$$\Rightarrow \log(n!) \geq \frac{n}{2} \log \frac{n}{2}$$

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

Worst Case Lower Bounds

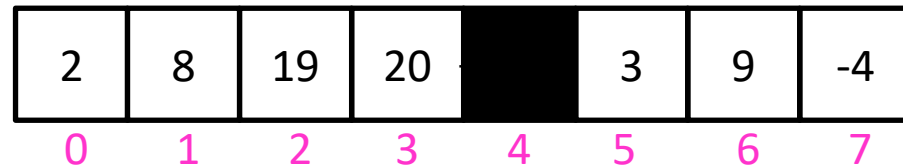
- Prove that there is no algorithm which can sort faster than $O(n \log n)$
- Non-existence proof!
 - Might seem like it would be hard to do?
 - But we're learning how to do lower bounds proofs!

Example Lower Bound Proof: Find Min

Show that finding the minimum of an unordered list requires $\Omega(n)$ comparisons

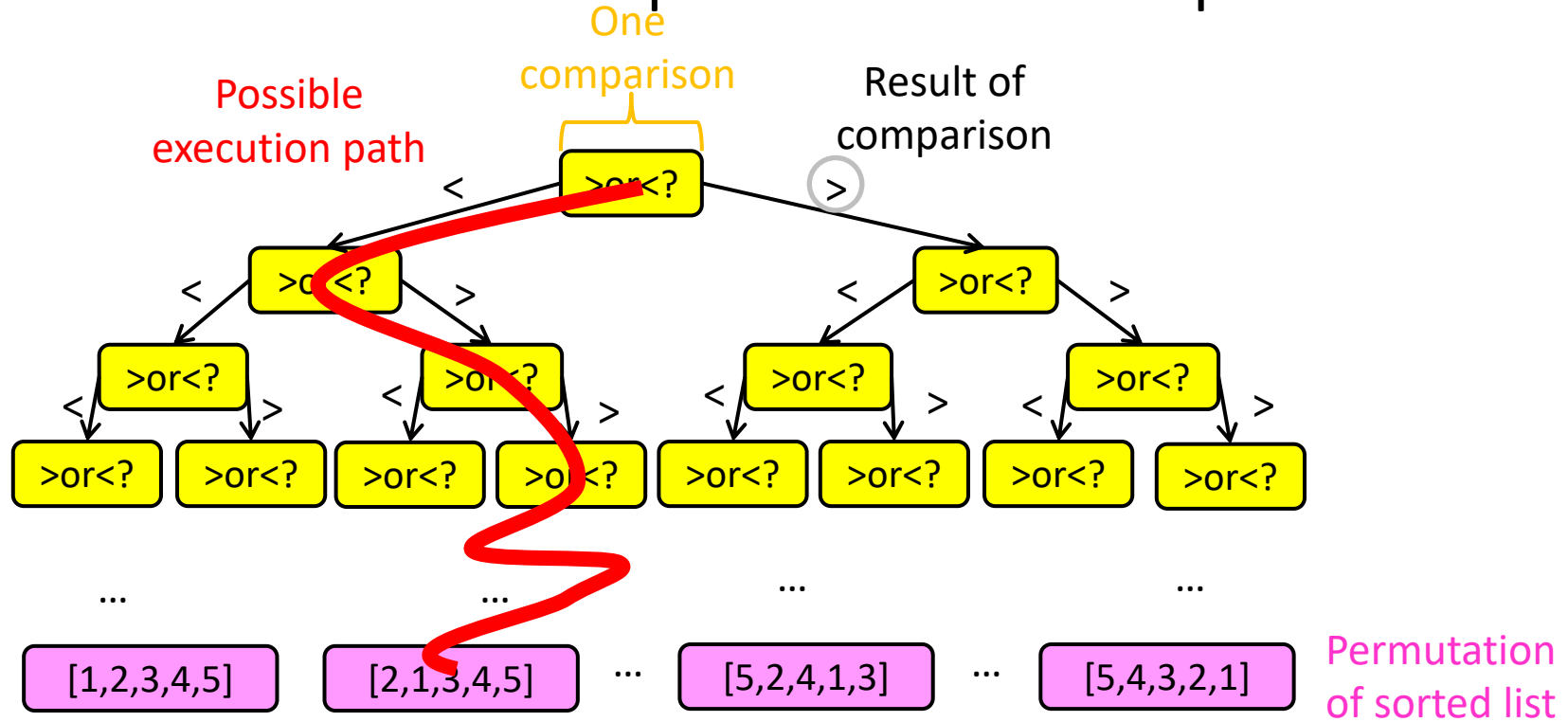
Suppose (toward contradiction) that there is an algorithm for Find Min that does fewer than $\frac{n}{2} = \Omega(n)$ comparisons.

This means there is at least one “uncompared” element
We can't know that this element wasn't the min!



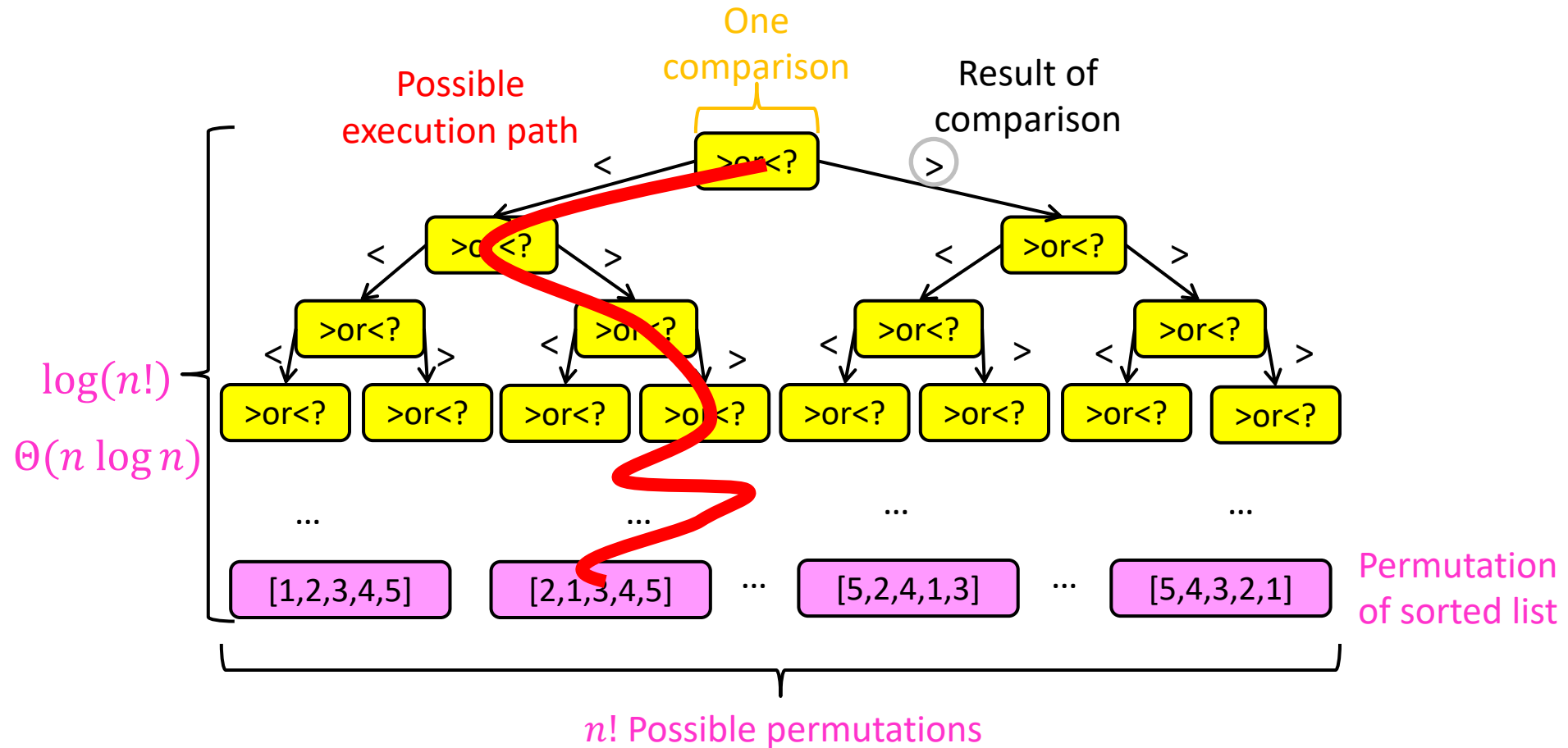
Strategy: Decision Tree

- Sorting algorithms use comparisons to figure out the order of input elements
- Draw tree to illustrate all possible execution paths



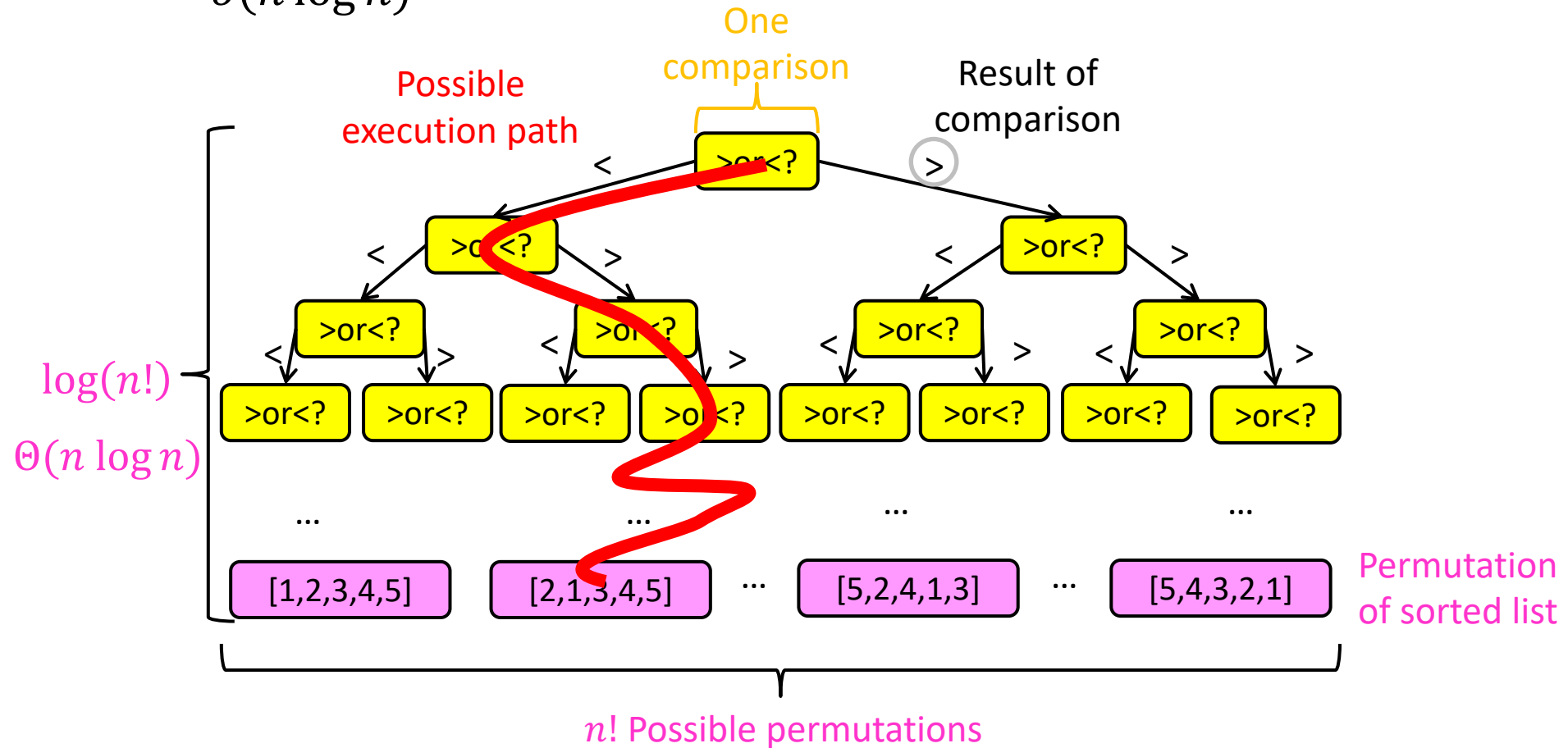
Strategy: Decision Tree

- Worst case run time is the longest execution path
- i.e., “height” of the decision tree



Strategy: Decision Tree

- Conclusion: Worst Case Optimal run time of sorting is $\Theta(n \log n)$
 - There is no (comparison-based) sorting algorithm with run time $o(n \log n)$



Sorting, so far

- Sorting algorithms we have discussed:
 - Mergesort $O(n \log n)$ Optimal!
 - Quicksort $O(n \log n)$ Optimal!
- Other sorting algorithms (will discuss):
 - Bubblesort $O(n^2)$
 - Insertionsort $O(n^2)$
 - Heapsort $O(n \log n)$ Optimal!

Speed Isn't Everything

Important properties of sorting algorithms:

- **Run Time**
 - Asymptotic Complexity
 - Constants
- **In Place (or In-Situ)**
 - Done with only constant additional space
- **Adaptive**
 - Faster if list is nearly sorted
- **Stable**
 - Equal elements remain in original order
- **Parallelizable**
 - Runs faster with multiple computers

Mergesort

- **Divide:**
 - Break n -element list into two lists of $n/2$ elements
- **Conquer:**
 - If $n > 1$: Sort each sublist **recursively**
 - If $n = 1$: List is already sorted (**base case**)
- **Combine:**
 - Merge together sorted sublists into one sorted list

Run Time?

$\Theta(n \log n)$
Optimal!

In Place?

No

Adaptive?

No

Stable?

Yes!
(usually)

Merge

- **Combine:** Merge sorted sublists into one sorted list
- We have:
 - 2 sorted lists (L_1, L_2)
 - 1 output list (L_{out})

While (L_1 and L_2 not empty):

If $L_1[0] \leq L_2[0]$:

$L_{out}.append(L_1.pop())$

Else:

$L_{out}.append(L_2.pop())$

$L_{out}.append(L_1)$

$L_{out}.append(L_2)$

Stable:

If elements are equal, leftmost comes first

Mergesort

- **Divide:**
 - Break n -element list into two lists of $n/2$ elements
- **Conquer:**
 - If $n > 1$: Sort each sublist **recursively**
 - If $n = 1$: List is already sorted (**base case**)
- **Combine:**
 - Merge together sorted sublists into one sorted list

Run Time?

$\Theta(n \log n)$

Optimal!

In Place?

No

Adaptive?

No

Stable?

Yes!
(usually)

Parallelizable?

Yes!

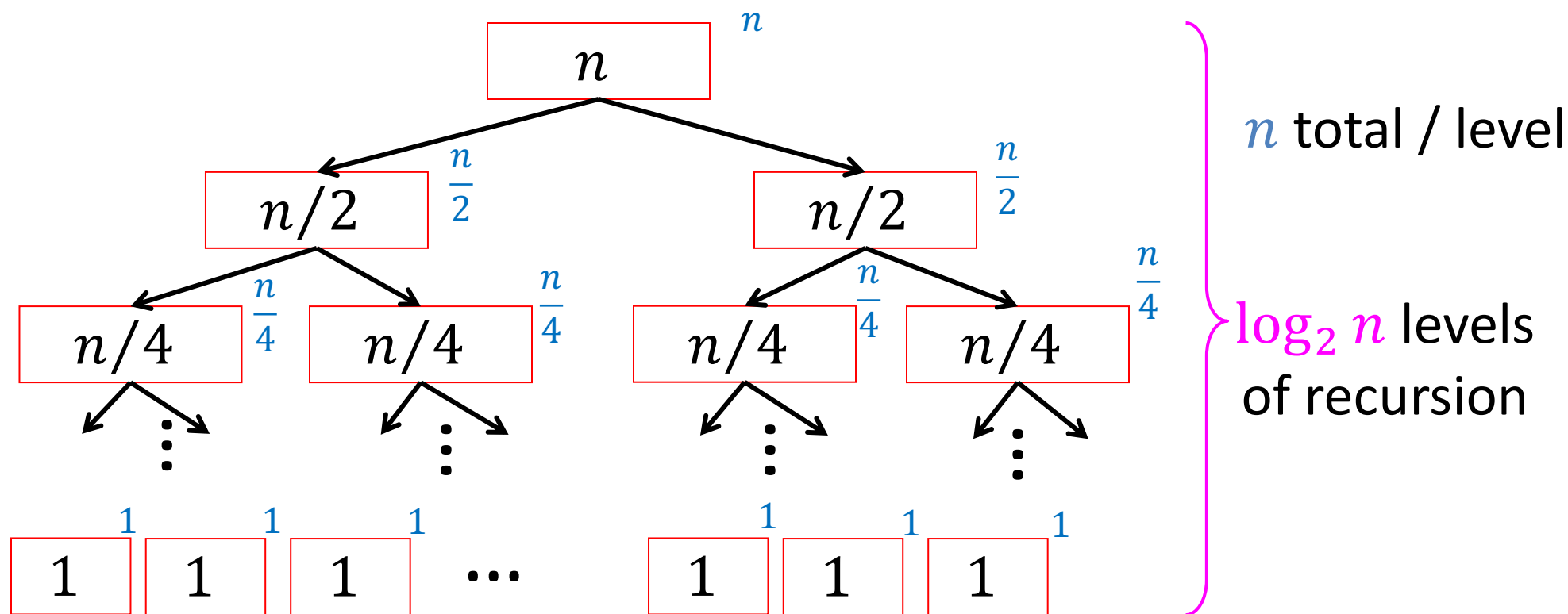
Mergesort

- **Divide:**
 - Break n -element list into two lists of $n/2$ elements
- **Conquer:**
 - If $n > 1$:
 - Sort each sublist **recursively**
 - If $n = 1$:
 - List is already sorted (**base case**)
- **Combine:**
 - Merge together sorted sublists into one sorted list

Parallelizable:
Allow different machines to work on each sublist

Mergesort (Sequential)

$$T(n) = 2T\left(\frac{n}{2}\right) + n$$

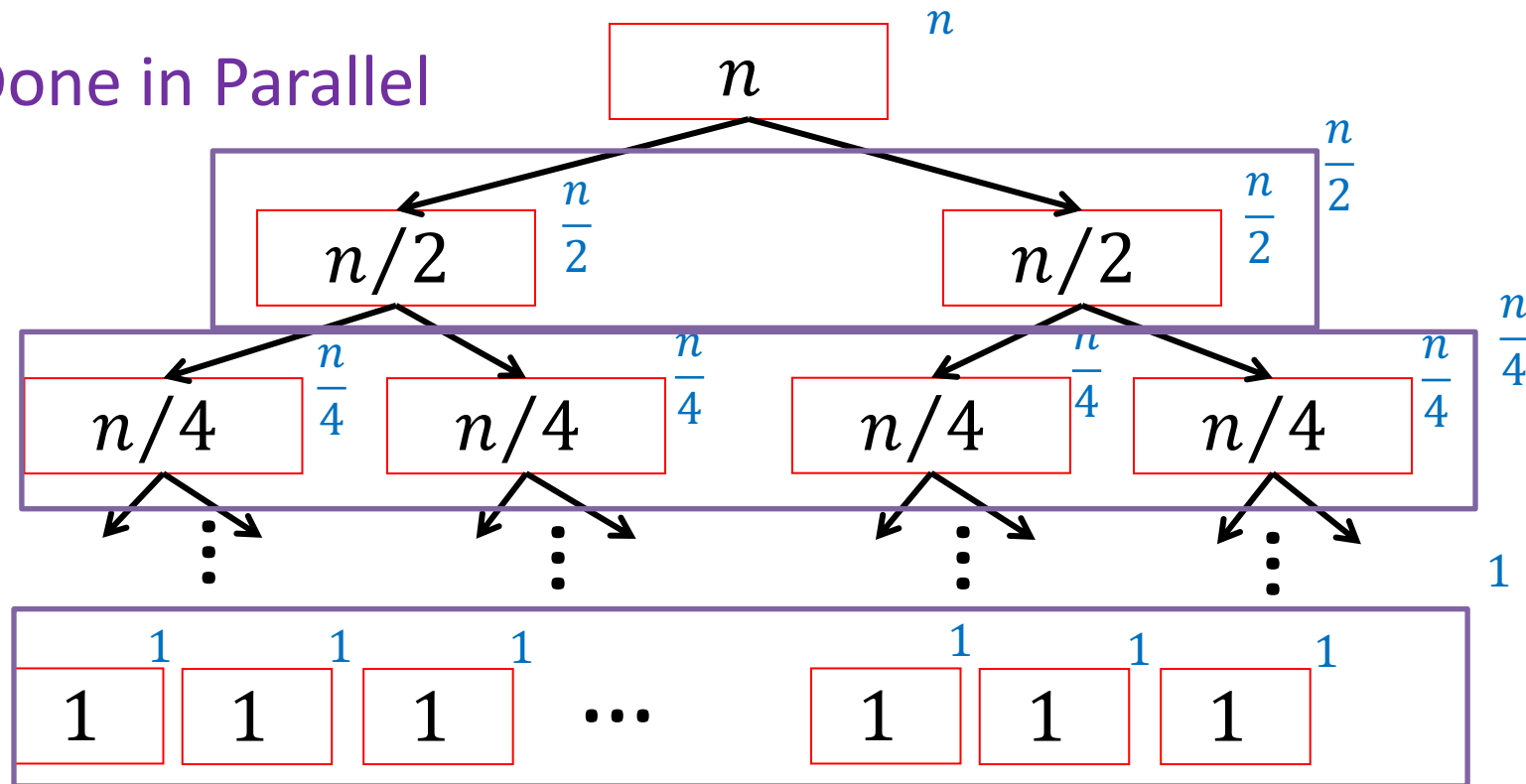


Run Time: $\Theta(n \log n)$

Mergesort (Parallel)

$$T(n) = T\left(\frac{n}{2}\right) + n$$

Done in Parallel



Run Time: $\Theta(n)$

Quicksort

Idea: pick a **partition** element, recursively sort two sublists around that element

- **Divide:** select an element p , **Partition(p)**
- **Conquer:** recursively sort left and right sublists
- **Combine:** Nothing!

Run Time?

$\Theta(n \log n)$

(almost always)
Better constants
than Mergesort

In Place?

kinda

Adaptive?

No!

Stable?

No

Parallelizable?

Yes!

Uses stack for
recursive calls

- Horton's lecture on 2/15 stopped here (or one slide earlier?)

Bubble Sort

Idea: March through list, swapping **adjacent elements** if out of order, repeat until sorted

8	5	7	9	12	10	1	2	4	3	6	11
---	---	---	---	----	----	---	---	---	---	---	----

5	8	7	9	12	10	1	2	4	3	6	11
---	---	---	---	----	----	---	---	---	---	---	----

5	7	8	9	12	10	1	2	4	3	6	11
---	---	---	---	----	----	---	---	---	---	---	----

5	7	8	9	12	10	1	2	4	3	6	11
---	---	---	---	----	----	---	---	---	---	---	----

Bubble Sort

- Idea: March through list, swapping adjacent elements if out of order, repeat until sorted

Run Time?

$$\Theta(n^2)$$

Constants worse
than Insertion Sort

In Place?

Yes

Adaptive?

Kinda

“Compared to straight insertion [...], bubble sorting requires a more complicated program and takes about twice as long!” –Donald Knuth



Bubble Sort is “almost” Adaptive

Idea: March through list, swapping **adjacent elements** if out of order

1	2	3	4	5	6	7	8	9	10	11	12
---	---	---	---	---	---	---	---	---	----	----	----

1	2	3	4	5	6	7	8	9	10	11	12
---	---	---	---	---	---	---	---	---	----	----	----

Only makes one “pass”

2	3	4	5	6	7	8	9	10	11	12	1
---	---	---	---	---	---	---	---	----	----	----	---

After one “pass”

2	3	4	5	6	7	8	9	10	11	1	12
---	---	---	---	---	---	---	---	----	----	---	----

Requires n passes, thus is $O(n^2)$

Bubble Sort

- Idea: March through list, swapping adjacent elements if out of order, repeat until sorted

Run Time?

$$\Theta(n^2)$$

Constants worse
than Insertion Sort

Parallelizable?

In Place?

Adaptive?

Stable?

Yes!

~~Kinda~~

Yes

No

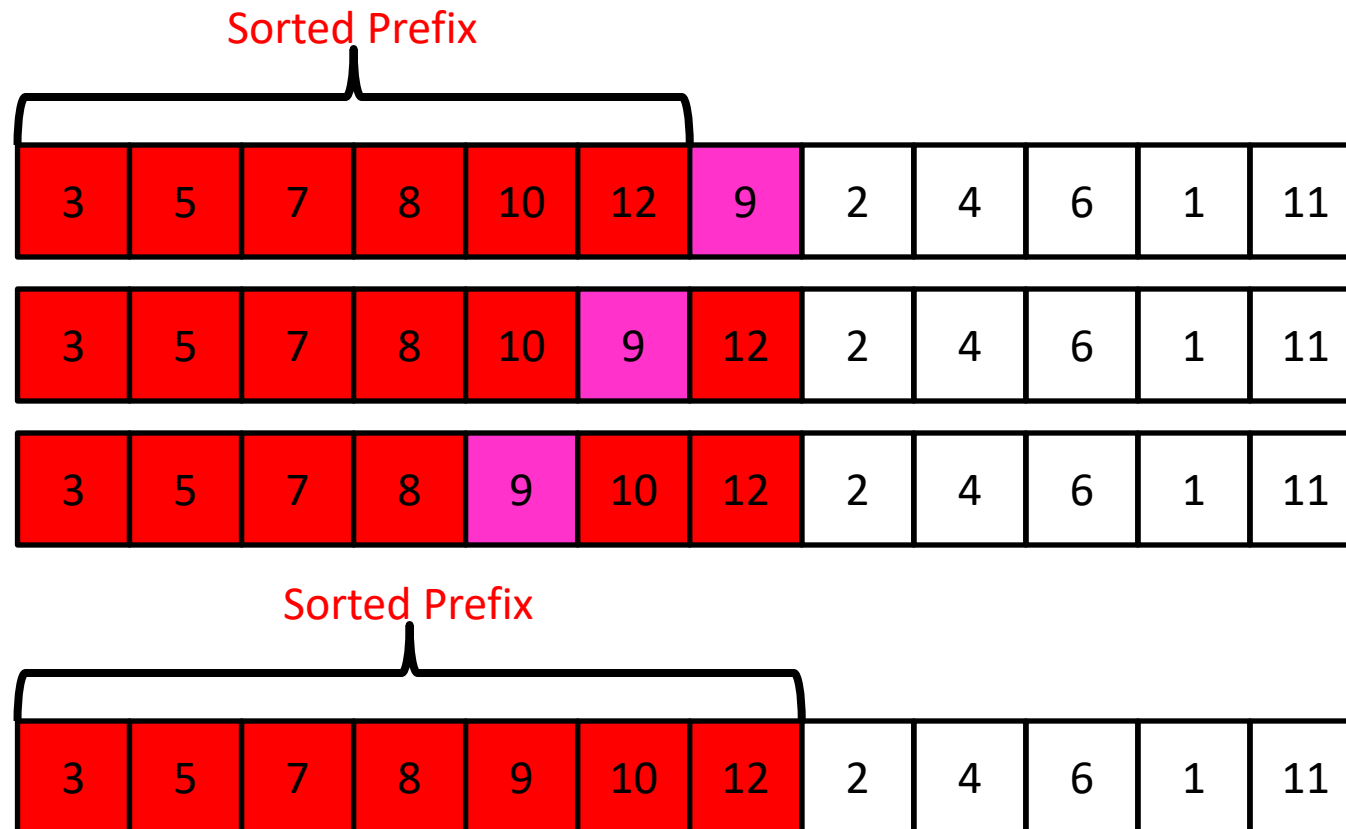
Not really

"the bubble sort seems to have nothing to recommend it, except a catchy name and the fact that it leads to some interesting theoretical problems" –Donald Knuth, The Art of Computer Programming



Insertion Sort

Idea: Maintain a **sorted list prefix**, extend that prefix by “inserting” the **next element**



Insertion Sort

- Idea: Maintain a **sorted list prefix**, extend that prefix by “inserting” the **next element**

In Place?

Yes!

Adaptive?

Yes

Run Time?

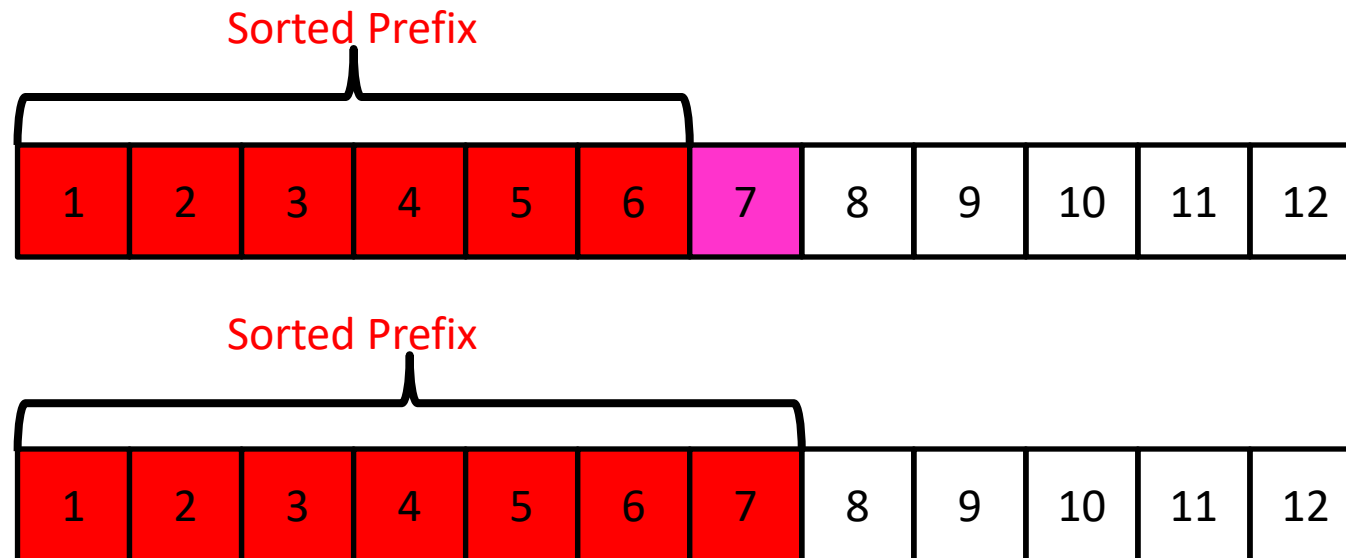
$\Theta(n^2)$

(but with very small constants)

Great for short lists!

Insertion Sort is Adaptive

Idea: Maintain a **sorted list prefix**, extend that prefix by “inserting” the **next element**



Only one comparison needed per element! Runtime: $O(n)$

Insertion Sort

- Idea: Maintain a **sorted list prefix**, extend that prefix by “inserting” the **next element**

Run Time?

$$\Theta(n^2)$$

(but with very small constants)

Great for short lists!

In Place?

Yes!

Adaptive?

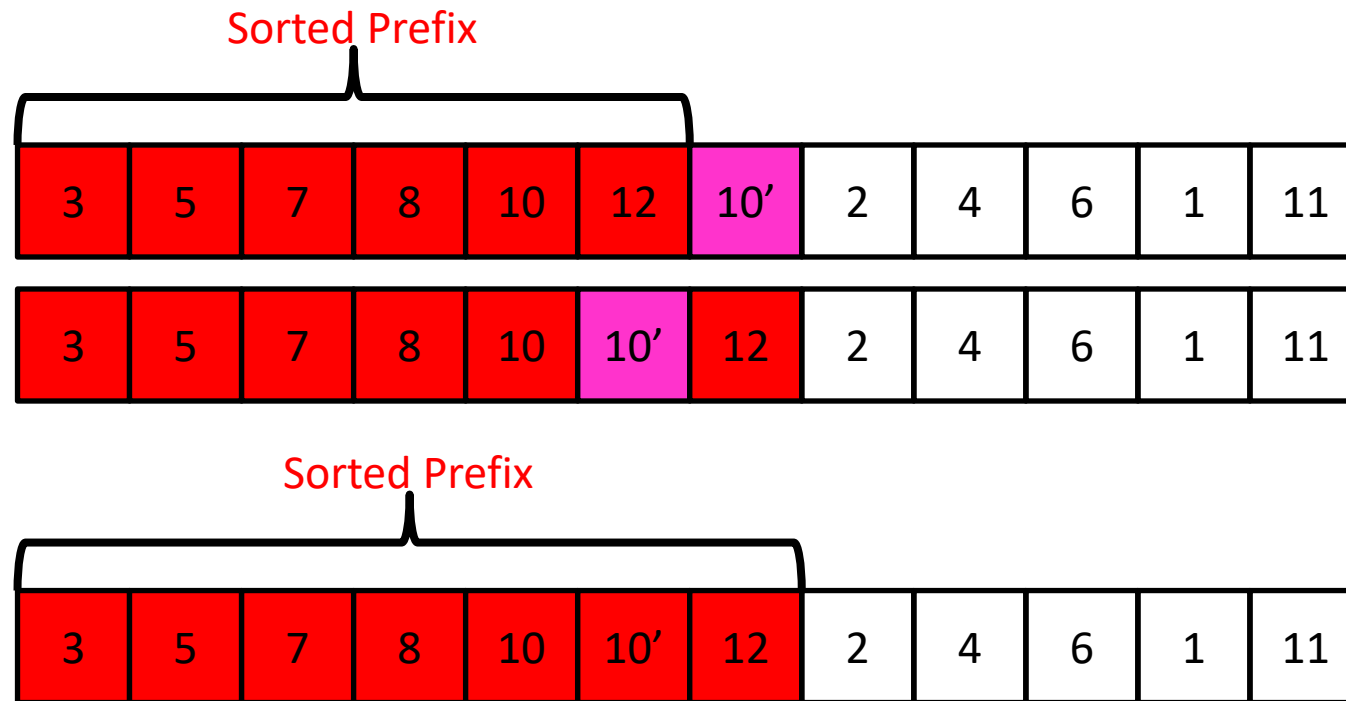
Yes

Stable?

Yes

Insertion Sort is Stable

- Idea: Maintain a **sorted list prefix**, extend that prefix by “inserting” the **next element**



The “second” 10 will stay to the right

Insertion Sort

- Idea: Maintain a **sorted list prefix**, extend that prefix by “inserting” the **next element**

Run Time?

$$\Theta(n^2)$$

(but with very small constants)

Great for short lists!

In Place?

Yes!

Adaptive?

Yes

Stable?

Yes

Parallelizable?

No

Can sort a list as it is received, i.e., don't need the entire list to begin sorting

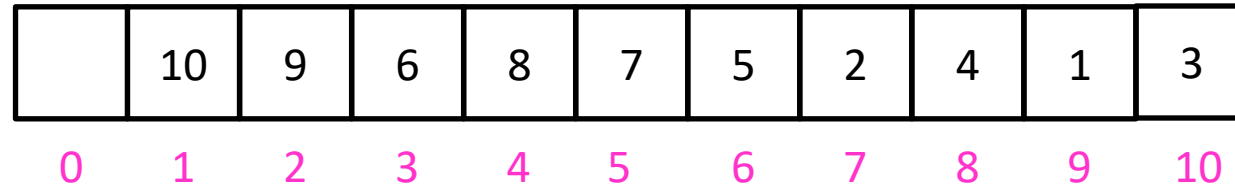
Online?

Yes

“All things considered, it's actually a pretty good sorting algorithm!” –Nate Brunelle

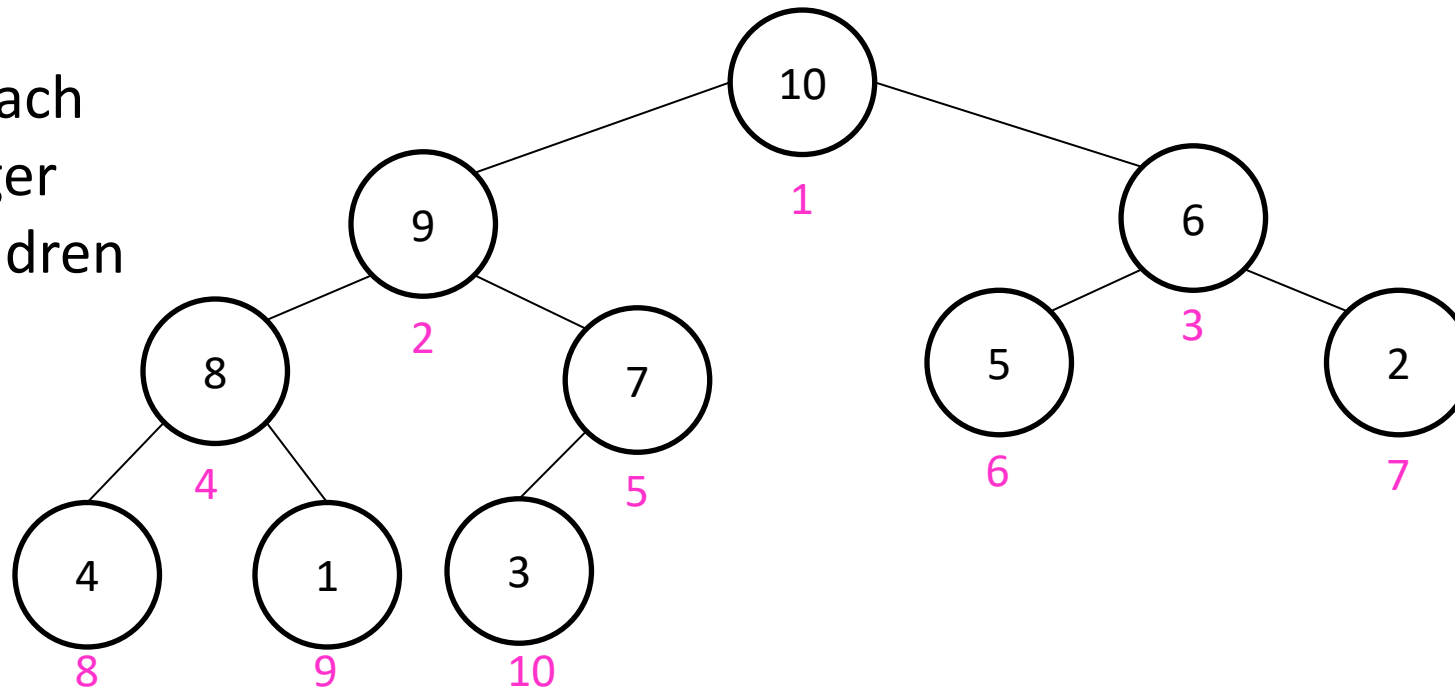
Heap Sort

- **Idea:** Build a Heap, repeatedly extract max element from the heap to build sorted list Right-to-Left



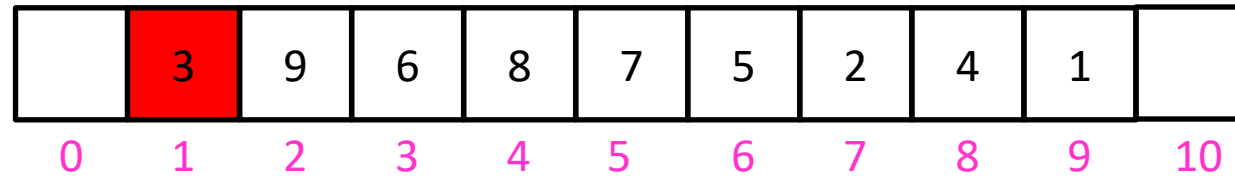
Max Heap

Property: Each node is larger than its children



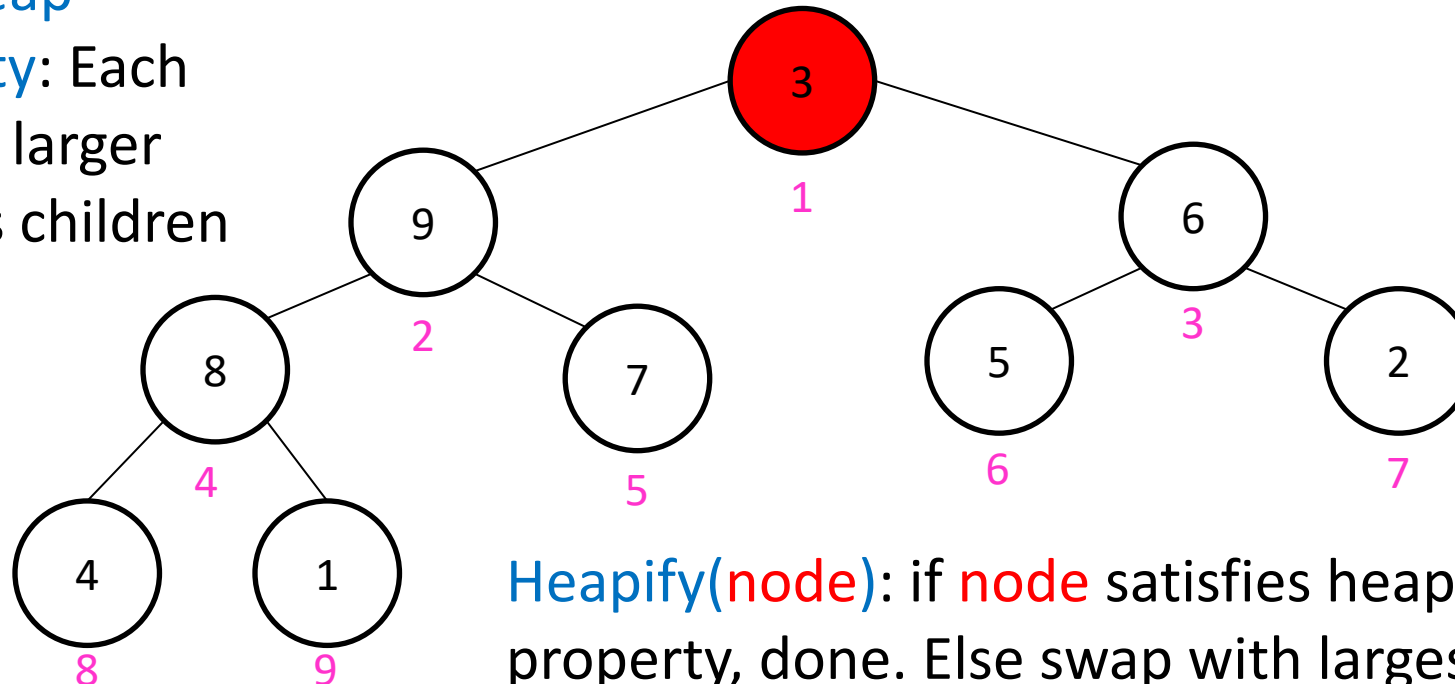
Heap Sort

- Remove the Max element (i.e. the root) from the Heap: replace with last element, call Heapify(root)



Max Heap

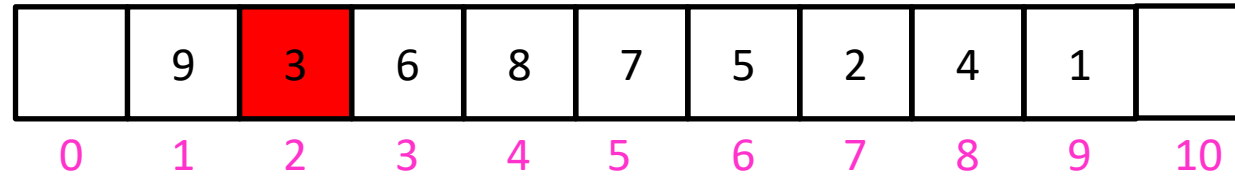
Property: Each node is larger than its children



Heapify(node): if node satisfies heap property, done. Else swap with largest child and recurse on that subtree

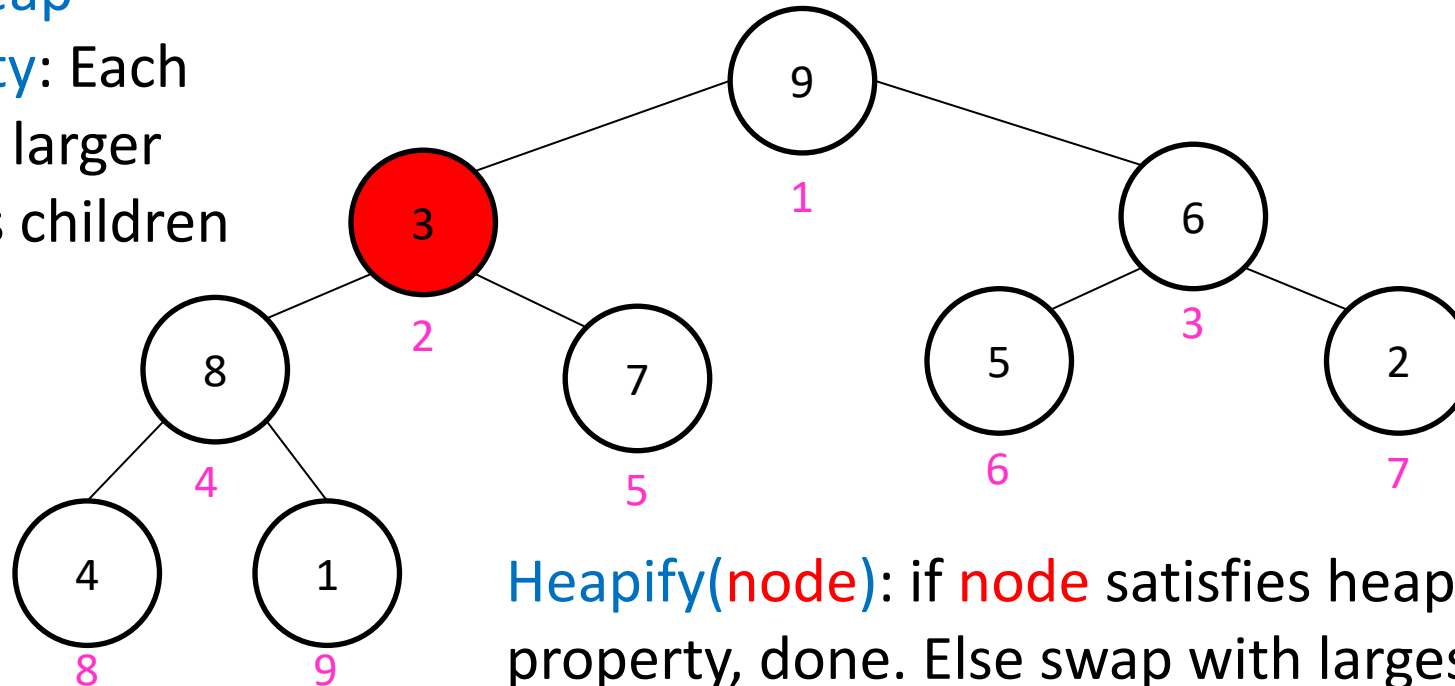
Heap Sort

- Remove the Max element (i.e. the root) from the Heap: replace with last element, call Heapify(root)



Max Heap

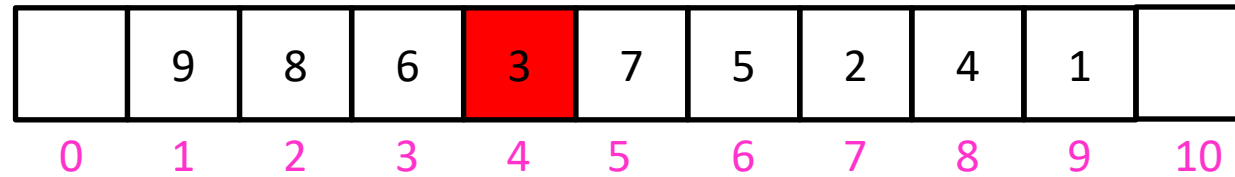
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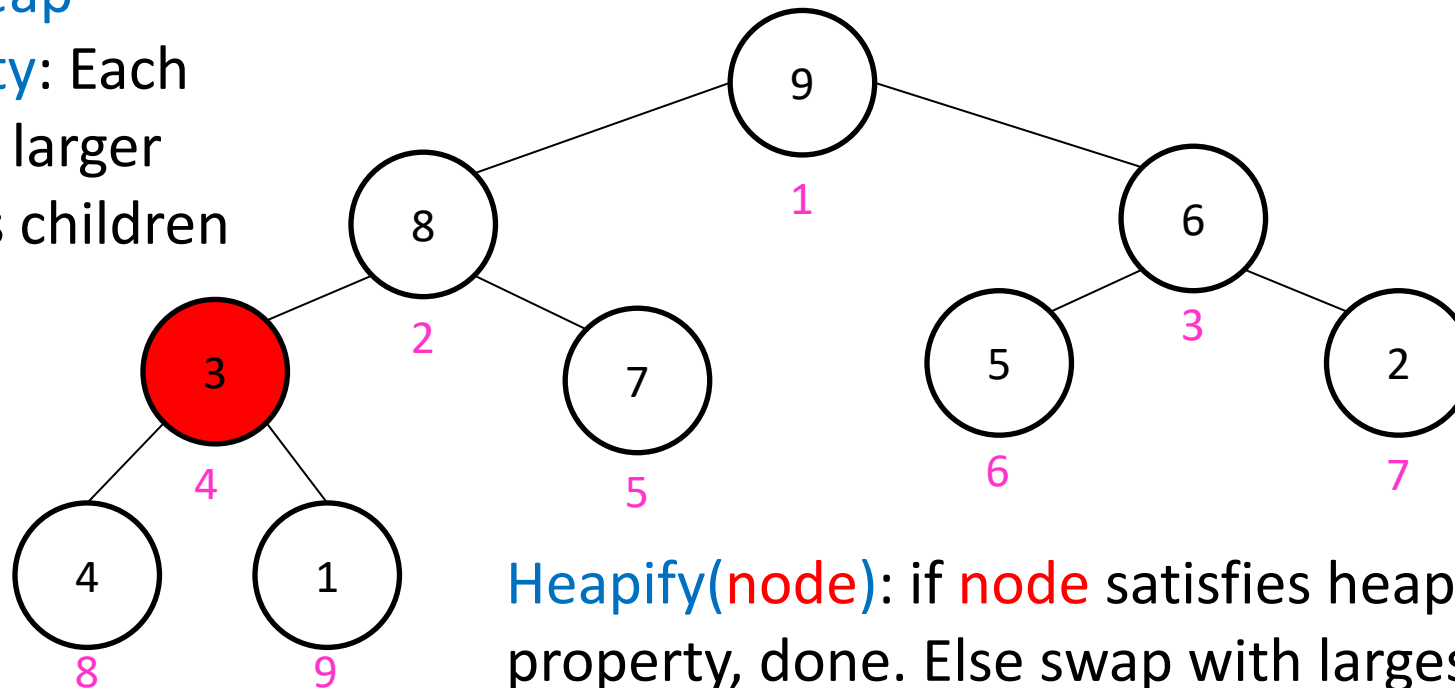
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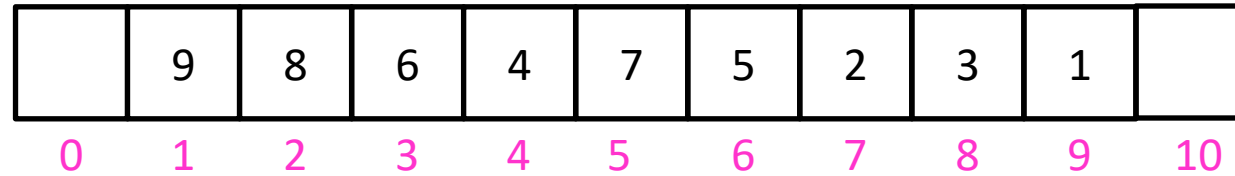
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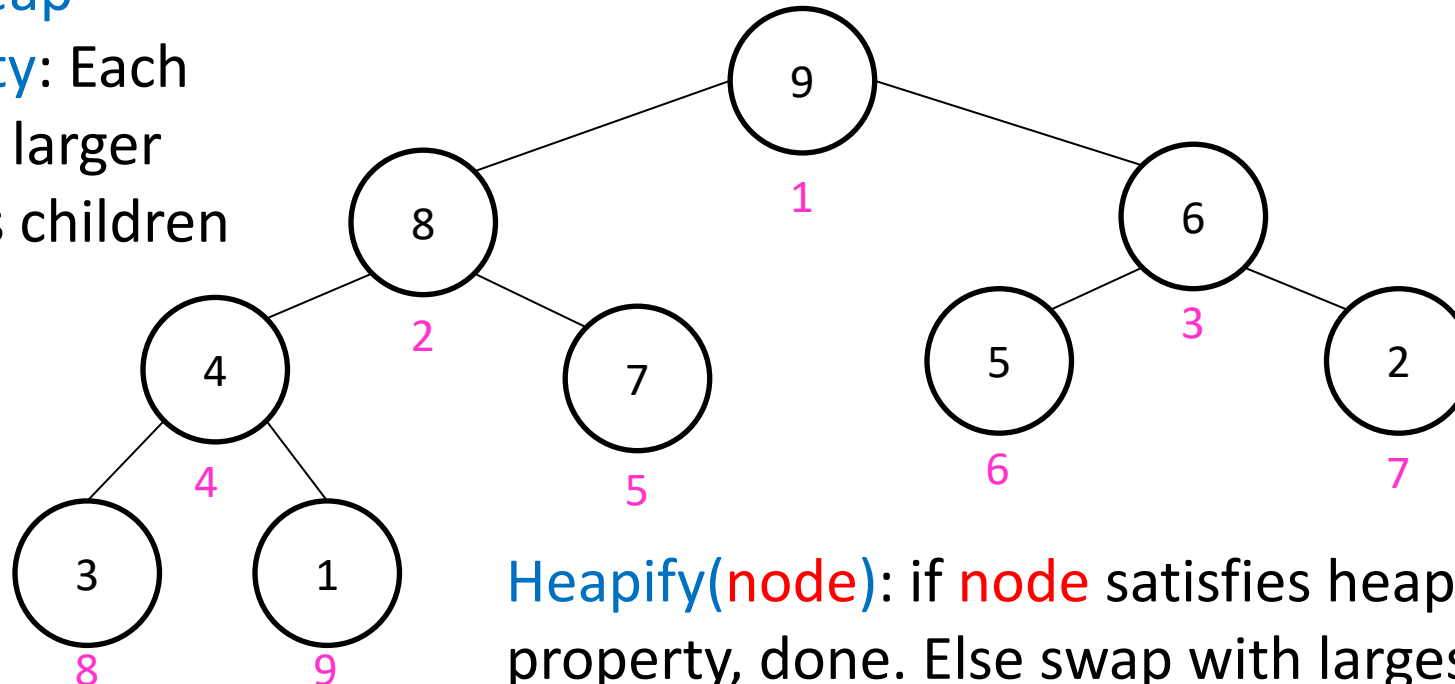
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Heap Sort

- **Idea:** Build a Heap, repeatedly extract max element from the heap to build sorted list Right-to-Left

In Place?

Yes!

When removing an element from the heap, move it to the (now unoccupied) end of the list

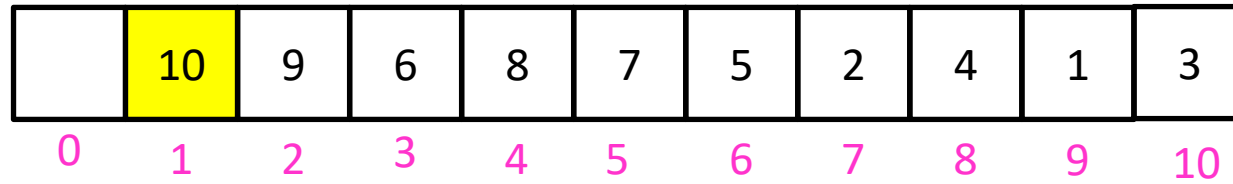
Run Time?

$\Theta(n \log n)$

Constants worse than Quick Sort

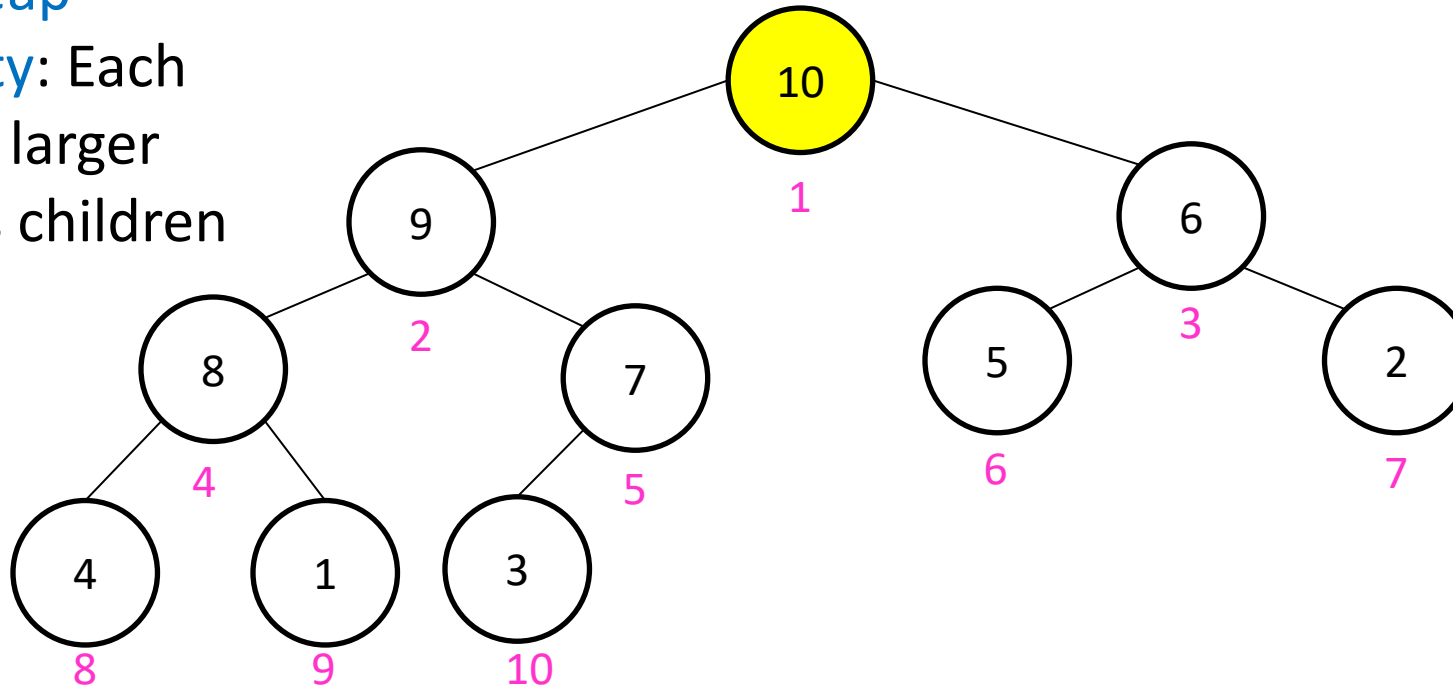
In Place Heap Sort

- **Idea:** When removing an element from the heap, move it to the (now unoccupied) end of the list



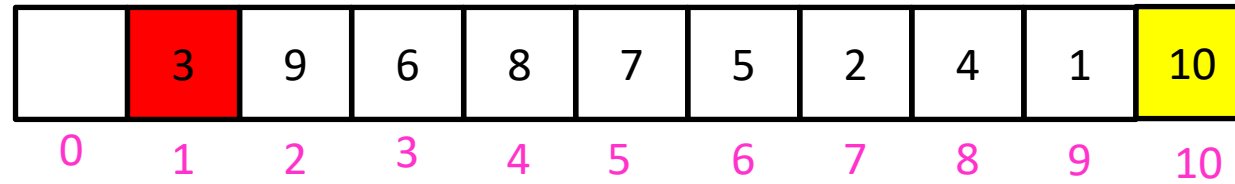
Max Heap

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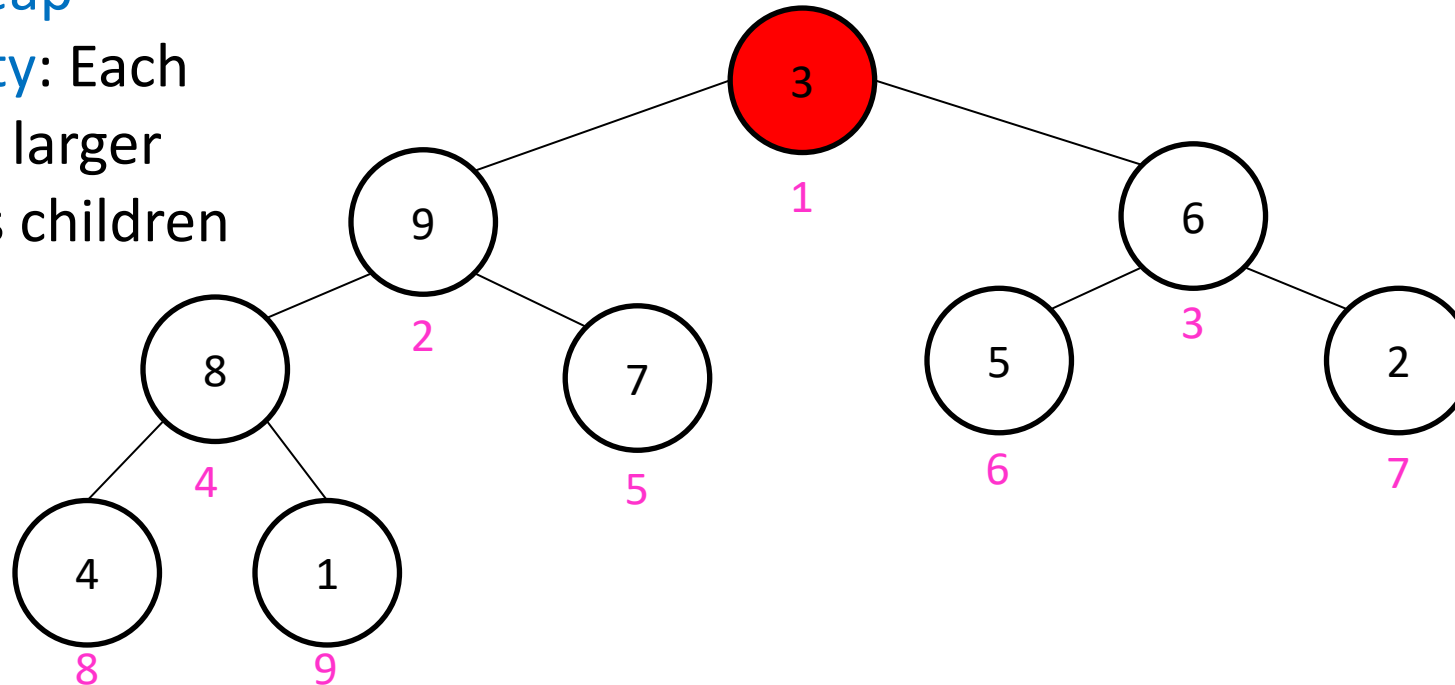
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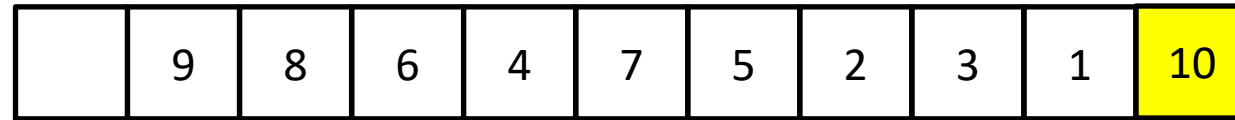
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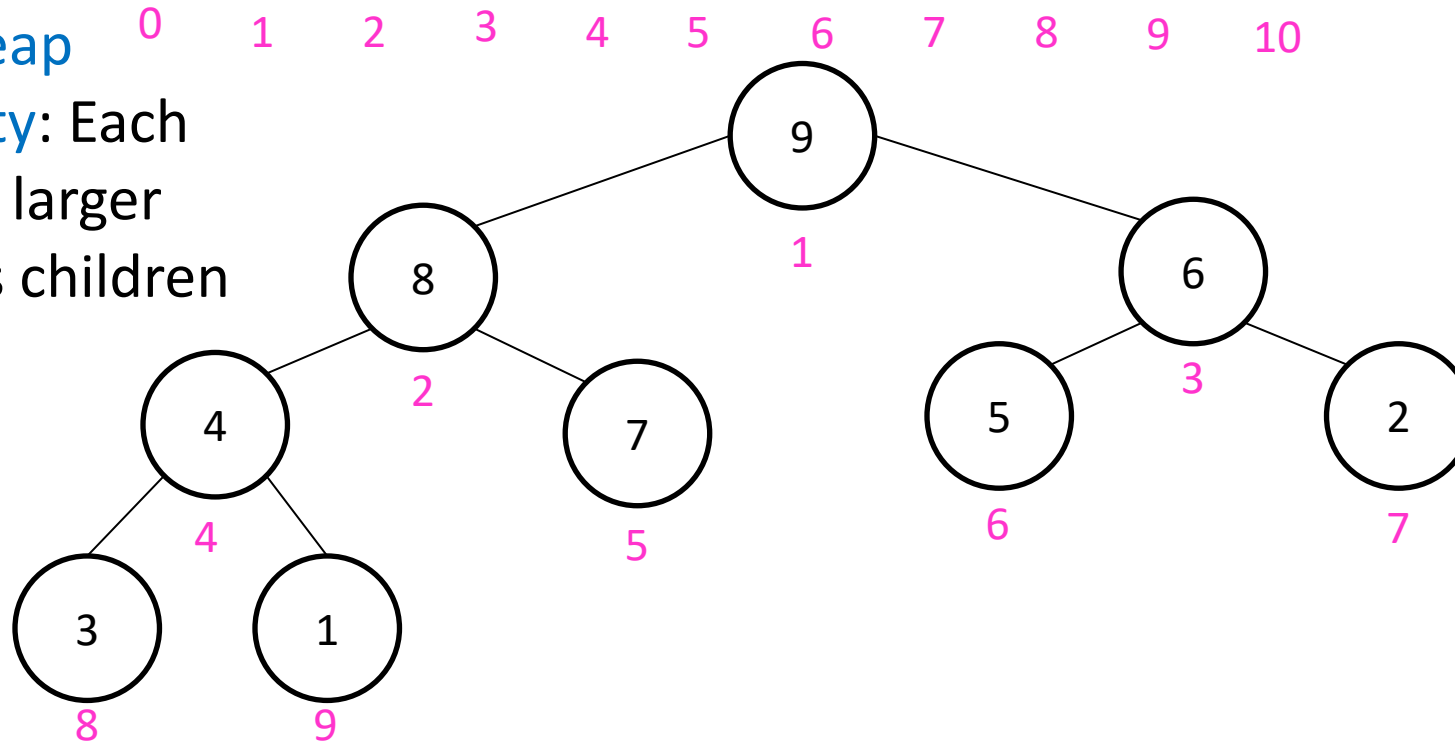
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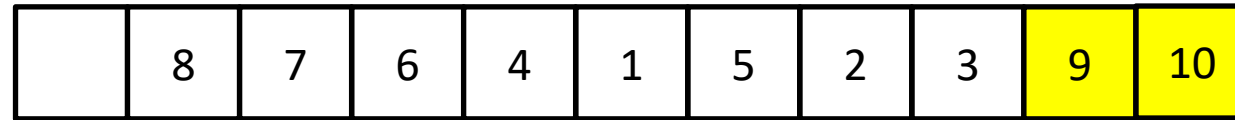
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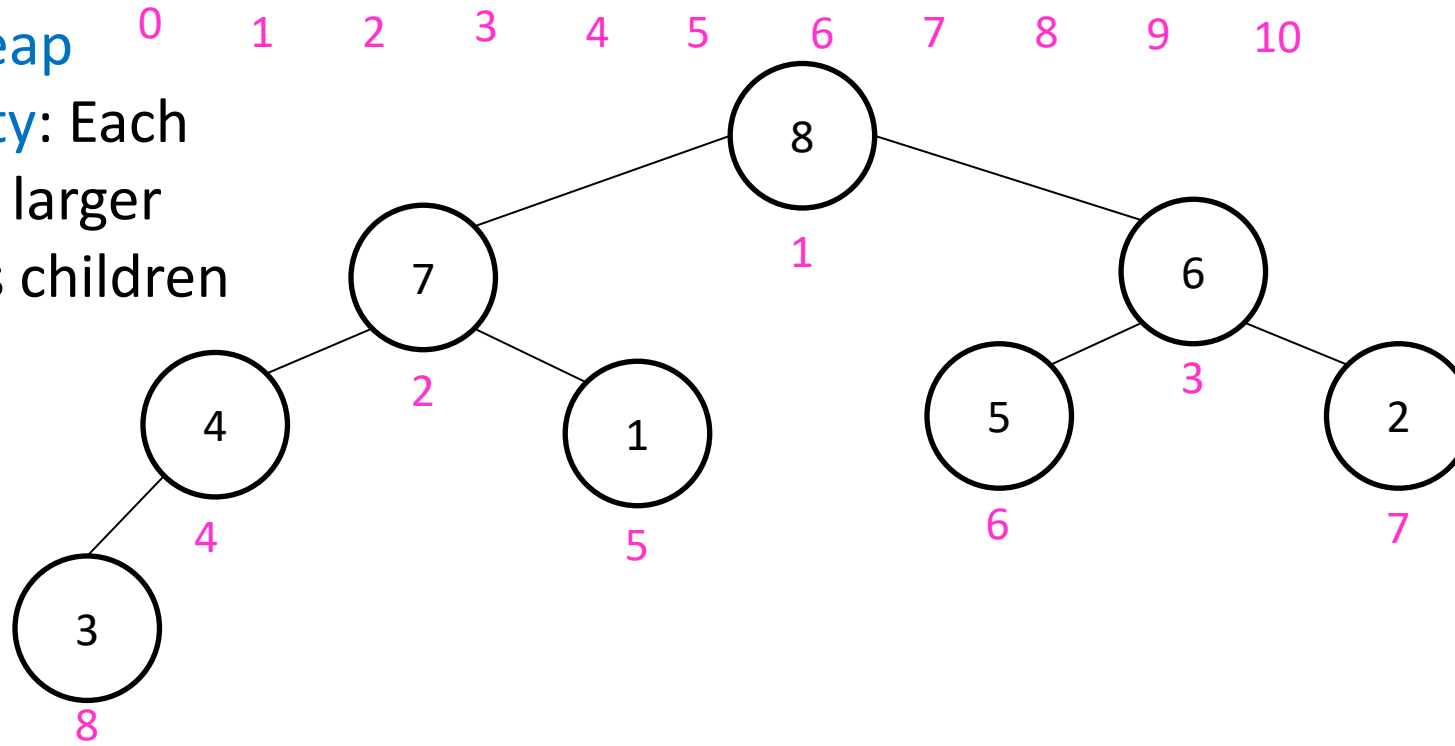
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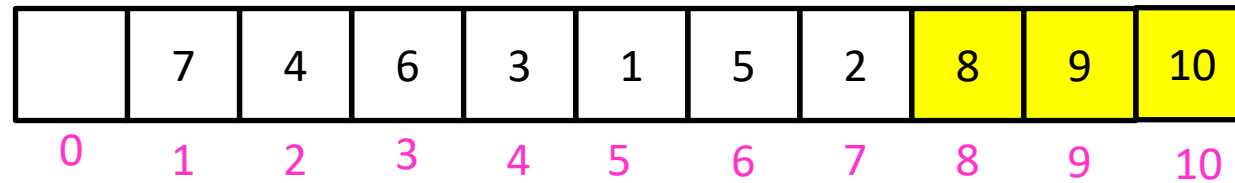
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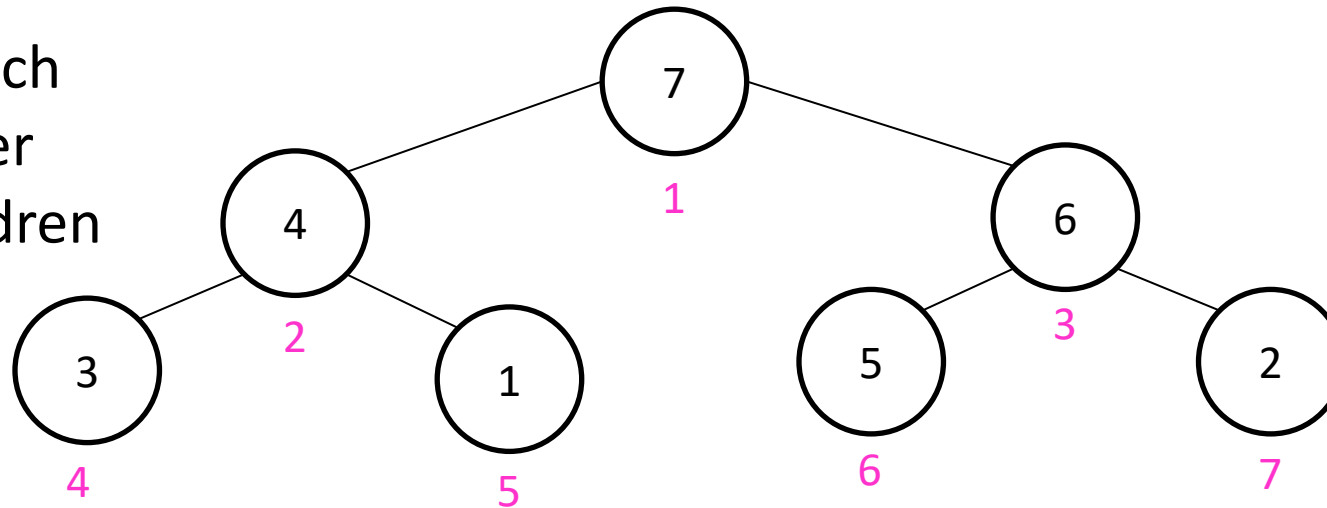
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Heap Sort

- **Idea:** Build a Heap, repeatedly extract max element from the heap to build sorted list Right-to-Left

Run Time?

$\Theta(n \log n)$

Constants worse than Quick Sort

Parallelizable?

In Place?

Yes!

Adaptive?

No

Stable?

No

No

Sorting, so far

- Sorting algorithms we have discussed:
 - Mergesort $O(n \log n)$ Optimal!
 - Quicksort $O(n \log n)$ Optimal!
- Other sorting algorithms (will discuss):
 - Bubblesort $O(n^2)$
 - Insertionsort $O(n^2)$
 - Heapsort $O(n \log n)$ Optimal!