

# Design and Analysis of Algorithms

## Midterm Review

### Lecture 8: Sorting in Linear Time, Selection Problem, and Optimal Binary Search Tree Problem



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# Review to Part I

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- In Part I, we illustrated Divide-and-Conquer using several examples:
  - Maximum Contiguous Subarray (最大子数组)
  - Counting Inversions (逆序计数)
  - Polynomial Multiplication (多项式乘法)
  - QuickSort and Partition (快速排序与划分)

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# Introduction to Part II

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- In Part II, we illustrated sorting and searching problems using several examples:
  - Heapsort and Priority Queues (堆排序与优先队列)
  - Lower Bound for Sorting (基于比较的排序下界)
  - Sorting in Linear Time (线性时间排序)
  - Selection Problem (选择问题)
  - AVL Tree (AVL树-二叉平衡树)

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# Review to Part III

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- In Part III, we illustrated Dynamic Programming (DP) using several examples:
  - 0-1 Knapsack (0-1 背包)
  - Rod-Cutting (钢条切割)
  - Chain Matrix Multiplication (矩阵链乘法)
  - Longest Common Subsequences (最长公共子序列)
  - Minimum Edit Distance (最小编辑距离)
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# Review to Divide-and-Conquer (DC)

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- **Divide-and-conquer** (DC) is an important algorithm design paradigm.
  - **Divide**  
Dividing a given problem into two or more subproblems (ideally of approximately equal size)
  - **Conquer**  
Solving each subproblem (directly if small enough or **recursively**)
  - **Combine**  
Combining the solutions of the subproblems into a global solution



# Review to Dynamic Programming (DP)

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- Dynamic Programming (DP) is similar to Divide and Conquer (D&C)
  - They both partition a problem into smaller subproblems
- DP is preferable when the subproblems **overlap**, i.e., they share common subproblems
- Often DP is used for **optimization problems**
  - Problems that have many solutions, and we want to find the best one
- Main idea of DP
  - Analyze the structure of an optimal solution
  - Recursively define the value of an optimal solution
  - Compute the value of an optimal solution (usually bottom-up)

# Comparison of DC and DP

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- Commonalities:
  - Partition the problem into particular subproblems.
  - Solve the subproblems.
  - Combine the solutions to solve the original one.
- Differences:
  - DC:
    - Efficient when the subproblems are independent.
    - Not efficient when subproblems share subsubproblems.
    - Some subproblems might be solved many times.
  - DP:
    - Suitable when subproblems share subsubproblems.
    - Do each subproblem only once.
    - The result is stored in a table in case it is needed elsewhere.
    - DP trades **space** for **time**.

# Outline

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- Sorting in Linear Time
  - Counting Sort
- Randomized Selection Problem
  - Problem Definition
  - First solution: Selection by sorting
  - A divide-and-conquer algorithm
- Optimal Binary Search Tree Problem
  - Review of Binary Search Tree
  - Problem Definition
  - A Dynamic Programming Algorithm

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# Review of Comparison-based Sorting

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- All sorting algorithms seen so far are based on comparing elements
  - E.g., insertion sort, merge sort and heapsort
- Insertion sort has worst-case running time  $\Theta(n^2)$ , while the others have worst-case running time  $\Theta(n \log n)$

## Question

Can we do better?

## Goal

We will prove that any **comparison-based sorting algorithm** has a worst-case running time  $\Omega(n \log n)$ .

# Can we do better?

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Are there sorting algorithms which are not based on comparisons? Do they beat the  $\Omega(n \log n)$  lower bound?

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Are there sorting algorithms which are not based on comparisons? Do they beat the  $\Omega(n \log n)$  lower bound?

- Counting sort (计数排序)
- Radix sort (基数排序)

# Outline

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- **Sorting in Linear Time**
  - Counting Sort
  - Radix Sort
- **Randomized Selection Problem**
  - Problem Definition
  - First solution: Selection by sorting
  - A divide-and-conquer algorithm
- **AVL Tree**
  - Binary Search Tree and AVL Tree
  - Insertion/Deletion Operations of AVL Tree
- **Optimal Binary Search Tree Problem**
  - Problem Definition
  - A Dynamic Programming Algorithm



# Main Ideas

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- Counting sort determines, for each input element  $x$ , the number of elements less than  $x$ .
- It uses this information to place element  $x$  directly into its position in the output array.
  - For example, if 17 elements are less than  $x$ , then  $x$  belongs in output position 18.

# Counting Sort

Counting-Sort( $A, B, k$ )

**Input:**  $A[1...n]$  where  $A[j] \in \{1, 2, \dots, k\}$

**Output:**  $B[1...n]$ , sorted

let  $C[1...k]$  be a new array;

**for**  $i \leftarrow 1$  *to*  $k$  **do**

$C[i] \leftarrow 0$ ;

**end**

**for**  $j \leftarrow 1$  *to*  $n$  **do**

$C[A[j]] \leftarrow C[A[j]] + 1$ ; //  $C[i] = |\{key = i\}|$

**end**

**for**  $i \leftarrow 2$  *to*  $k$  **do**

$C[i] \leftarrow C[i] + C[i - 1]$ ; //  $C[i] = |\{key \leq i\}|$

**end**

**for**  $j \leftarrow n$  *to*  $1$  **do**

$B[C[A[j]]] \leftarrow A[j]$ ;

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# Example: Counting Sort

---

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<i>A</i>	4	2	1	4	2

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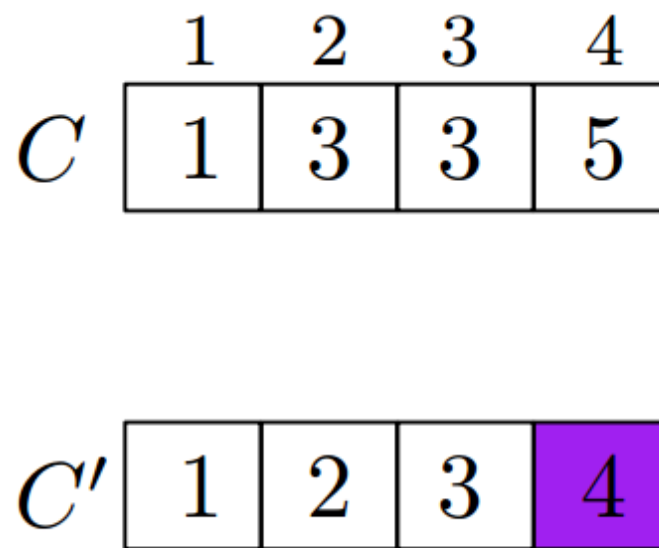
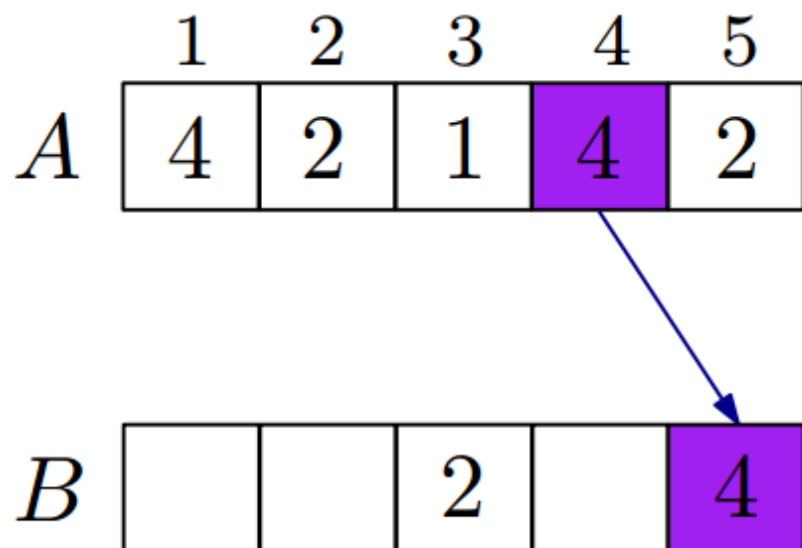
$B$			2		
-----	--	--	---	--	--

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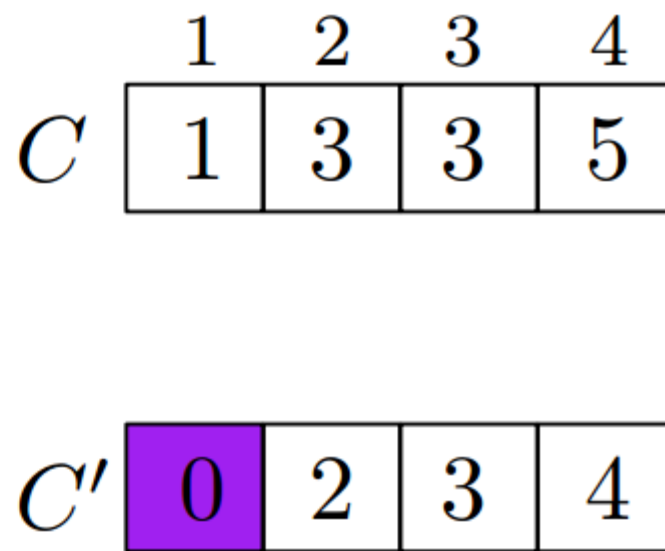
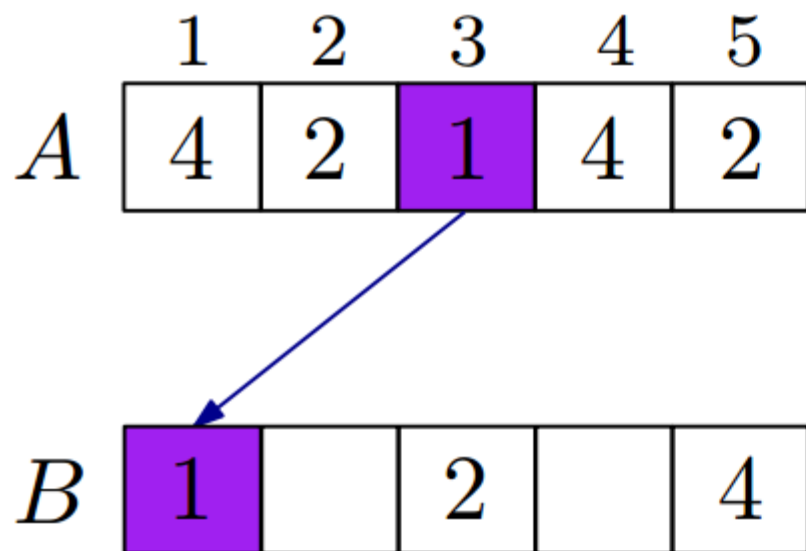
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# Analysis

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**for**  $i \leftarrow 1$  *to*  $k$  **do**

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Total:  $O(n + k)$

# Running Time

---

If  $k = O(n)$ , then counting sort takes  $O(n)$  time.

- But didn't we prove that sorting must take  $\Omega(n \log n)$  time?

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If  $k = O(n)$ , then counting sort takes  $O(n)$  time.

- But didn't we prove that sorting must take  $\Omega(n \log n)$  time?
- No, actually we proved that any comparison-based sorting algorithm takes  $\Omega(n \log n)$  time.

# Running Time

---

If  $k = O(n)$ , then counting sort takes  $O(n)$  time.

- But didn't we prove that sorting must take  $\Omega(n \log n)$  time?
- No, actually we proved that any comparison-based sorting algorithm takes  $\Omega(n \log n)$  time.
- Note that counting sort is not a comparison-based sorting algorithm.



# Running Time

---

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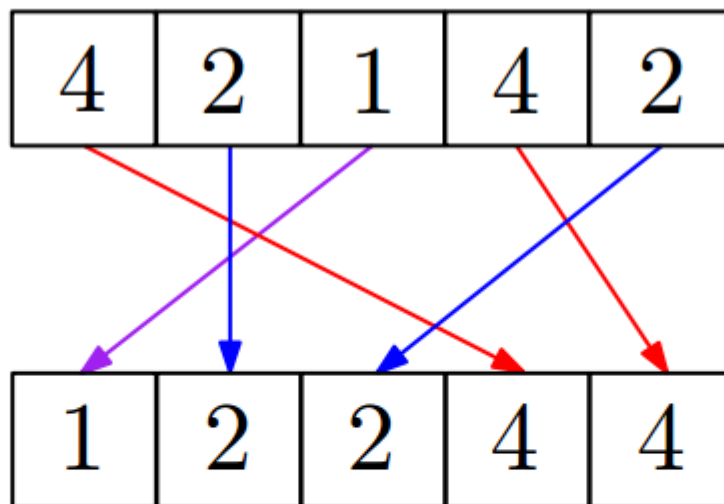
- But didn't we prove that sorting must take  $\Omega(n \log n)$  time?
- No, actually we proved that any comparison-based sorting algorithm takes  $\Omega(n \log n)$  time.
- Note that counting sort is not a comparison-based sorting algorithm.
- In fact, it makes no comparison at all!

# Stable Sorting

---

Counting sort is a **stable** sort

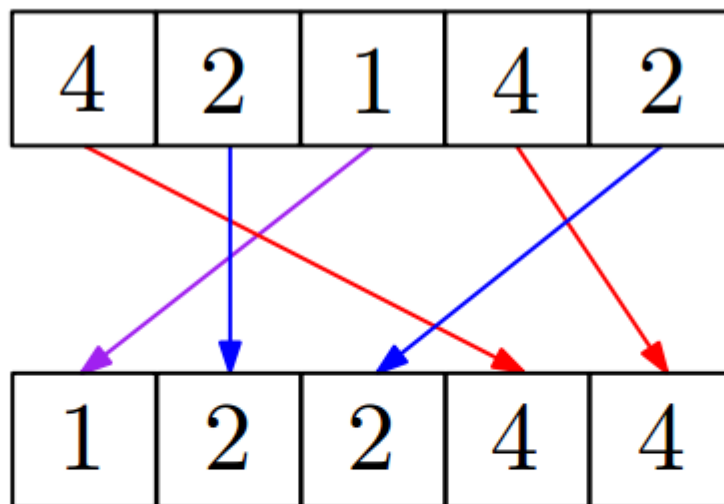
- it preserves the input order among equal elements.



# Stable Sorting

Counting sort is a **stable** sort

- it preserves the input order among equal elements.



## Exercise

What other sorts have this property?

# Outline

---

- Sorting in Linear Time
  - Counting Sort
- Randomized Selection Problem
  - Problem Definition
  - First solution: Selection by sorting
  - A divide-and-conquer algorithm
- Optimal Binary Search Tree Problem
  - Review of Binary Search Tree
  - Problem Definition
  - A Dynamic Programming Algorithm

# Linear Time Selection

---

## Definition (Selection Problem)

Given a sequence of numbers  $\langle a_1, \dots, a_n \rangle$ , and an integer  $i$ ,  $1 \leq i \leq n$ , find the  $i$ th smallest element. When  $i = \lceil n/2 \rceil$ , it is called the median problem.

# Linear Time Selection

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## Example

Given  $\langle 1, 8, 23, 10, 19, 33, 100 \rangle$ , the 4th smallest element is 19.

# Linear Time Selection

---

## Definition (Selection Problem)

Given a sequence of numbers  $\langle a_1, \dots, a_n \rangle$ , and an integer  $i$ ,  $1 \leq i \leq n$ , find the  $i$ th smallest element. When  $i = \lceil n/2 \rceil$ , it is called the median problem.

## Example

Given  $\langle 1, 8, 23, 10, 19, 33, 100 \rangle$ , the 4th smallest element is 19.

## Question

How do you solve this problem?

# Outline

---

- Sorting in Linear Time
  - Counting Sort
- Randomized Selection Problem
  - Problem Definition
  - First solution: Selection by sorting
  - A divide-and-conquer algorithm
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# First Solution: Selection by Sorting

---

- Sort the elements in ascending order with any algorithm of complexity  $O(n \log n)$ .

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## Question

Can we do better?

# First Solution: Selection by Sorting

---

- Sort the elements in ascending order with any algorithm of complexity  $O(n \log n)$ .
- Return the  $i$ th element of the sorted array.

The complexity of this solution is  $O(n \log n)$

## Question

Can we do better?

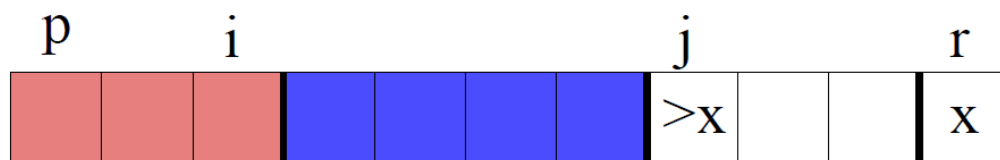
**Answer:** YES, but we need to recall `Partition(A,p,r)` used in Quicksort!

# Outline

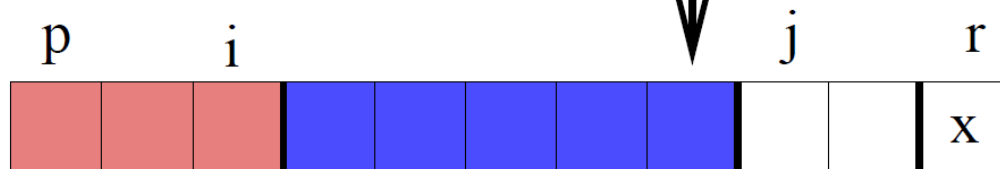
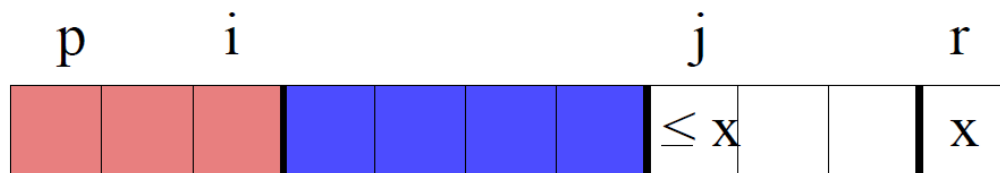
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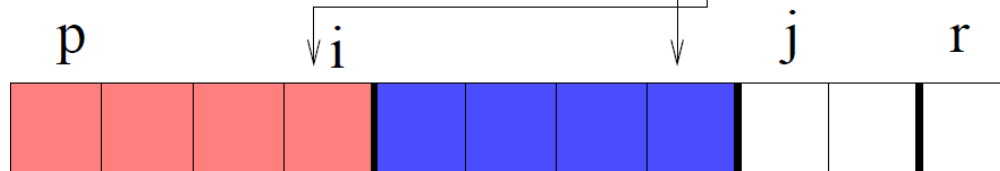
# Review of Randomized-Partition (A,p,r)


 $\leq x$ 
 $\geq x$ 

(A)  $A[j] > x$


 $\leq x$ 
 $\geq x$ 

 $\leq x$ 
 $\geq x$ 

(B)  $A[j] \leq x$


 $\leq x$ 
 $\geq x$



# Randomized-Select( $A, p, r, i$ ), $1 \leq i \leq r - p + 1$

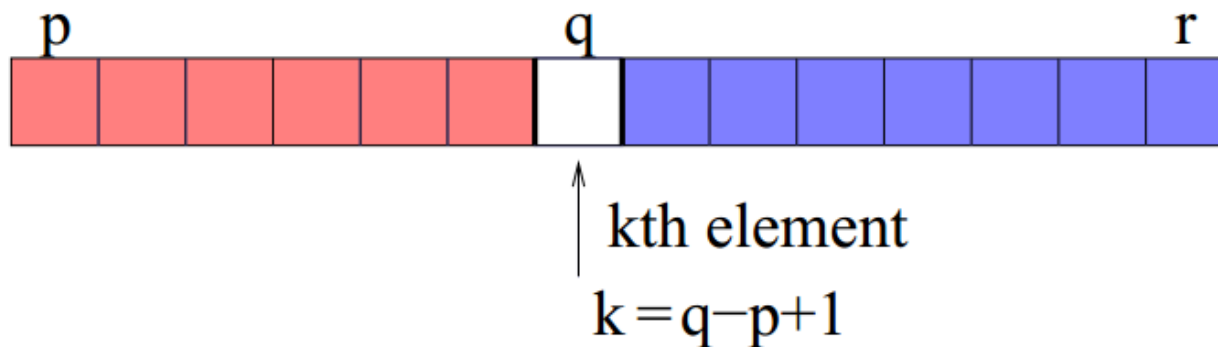
---

**Problem:** Select the  $i$ th smallest element in  $A[p..r]$ , where  $1 \leq i \leq r - p + 1$

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**Problem:** Select the  $i$ th smallest element in  $A[p..r]$ , where  $1 \leq i \leq r - p + 1$

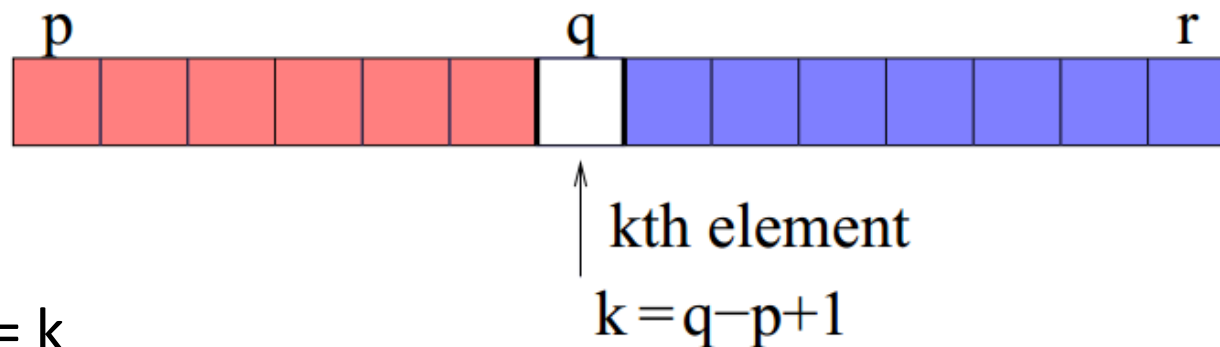
**Solution:** Apply Randomized-Partition( $A, p, r$ ), getting



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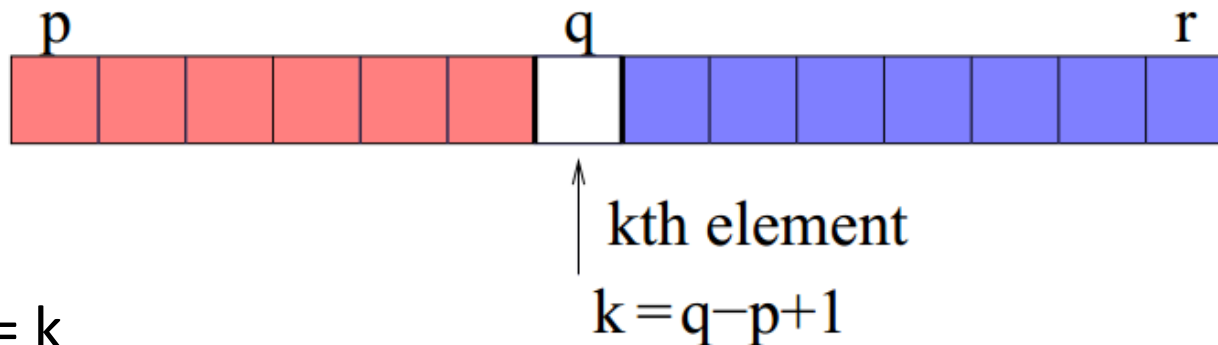


- $i = k$
- pivot is the solution

# Randomized-Select( $A, p, r, i$ ), $1 \leq i \leq r - p + 1$

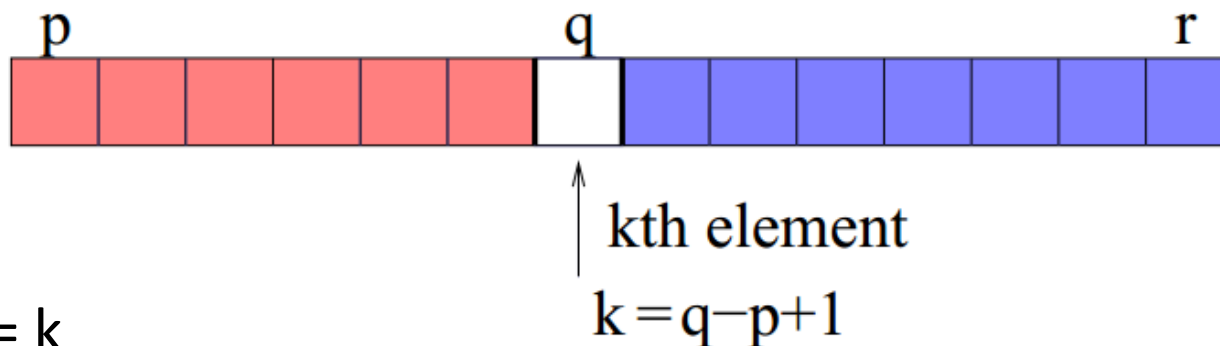
**Problem:** Select the  $i$ th smallest element in  $A[p..r]$ , where  $1 \leq i \leq r - p + 1$

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- $i = k$ 
  - pivot is the solution
- $i < k$ 
  - the  $i$ th smallest element in  $A[p..r]$  must be the  $i$ th smallest element in  $A[p..q-1]$

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  - pivot is the solution
- $i < k$ 
  - the  $i$ th smallest element in  $A[p..r]$  must be the  $i$ th smallest element in  $A[p..q-1]$
- $i > k$ 
  - the  $i$ th smallest element in  $A[p..r]$  must be the  $(i - k)$ th smallest element in  $A[q+1..r]$

If necessary, **recursively** call the same procedure to the subarray

# Randomized-Select( $A, p, r, i$ ), $1 \leq i \leq r - p + 1$

---

Randomized-Select( $A, p, r, i$ )

**Input:** An array  $A$ , the range of index  $p, r$ , the  $i$ th smallest element that we want to select

**Output:** The  $i$ th smallest element  $A[i]$

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**if**  $p$  is equal to  $r$  **then**

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**return**  $A[p]$ ;

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$q \leftarrow \text{Randomized-Partition}(A, p, r)$ ;



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$k \leftarrow q - p + 1$ ;

**if**  $i \leftarrow k$  **then**

# Randomized-Select( $A, p, r, i$ ), $1 \leq i \leq r - p + 1$

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    | **return**  $A[q]$ ; // The pivot is the answer

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    | **return** Randomized-Select( $A, p, q - 1, i$ );

**end**

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**end**

**else**

    | **return** Randomized-Select( $A, q + 1, r, i - k$ );

**end**

# Randomized-Select( $A, p, r, i$ ), $1 \leq i \leq r - p + 1$

Randomized-Select( $A, p, r, i$ )

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**end**

**else**

    | **return** Randomized-Select( $A, q + 1, r, i - k$ );

**end**

To find the  $i$ th smallest element in  $A[1..n]$ , call Randomized-Select( $A, 1, n, i$ )

# Randomized Selection - Example

---

- Find the 8th smallest element of the following list of numbers:
  - 8 25 2 14 3 20 15 13 12 11 7 5 9 10 16 18 1 23 26 21

# Randomized Selection - Example

- Select the  $i$ th smallest element in  $A[p..r]$ , pivot is  $A[q]$ ,  $k = q - p + 1$ .
  - $i = k$  : pivot is the solution
  - $i < k$  : the  $i$ th smallest element in  $A[p..q-1]$
  - $i > k$  : the  $(i-k)$ th smallest element in  $A[q+1..r]$

p										r									
8	25	2	14	3	20	15	13	12	11	7	5	9	10	16	18	1	23	26	21

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p																			
8	25	2	14	3	20	15	13	12	11	7	5	9	10	16	18	1	23	26	21
																		r	

$$i = 8, p = 1, r = 20$$



# Randomized Selection - Example

- Select the  $i$ th smallest element in  $A[p..r]$ , pivot is  $A[q]$ ,  $k = q - p + 1$ .
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p																			r
8	25	2	14	3	20	15	13	12	11	7	5	9	10	16	18	1	23	26	21
					↑														

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<b>p</b>															<b>q</b>				<b>r</b>
8	2	14	3	15	13	12	11	7	5	9	10	16	18	1	20	25	23	26	21



$$i = 8, p = 1, r = 20$$
$$q = 16, k = 16$$

# Randomized Selection - Example

- Select the  $i$ th smallest element in  $A[p..r]$ , pivot is  $A[q]$ ,  $k = q - p + 1$ .
  - $i = k$  : pivot is the solution
  - $i < k$  : the  $i$ th smallest element in  $A[p..q-1]$
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p														q	r				
8	2	14	3	15	13	12	11	7	5	9	10	16	18	1	20	25	23	26	21

↑

$$i = 8, p = 1, r = 20$$

$$q = 16, k = 16$$

# Randomized Selection - Example

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  - $i > k$  : the  $(i-k)$ th smallest element in  $A[q+1..r]$


<b>p</b>														<b>r</b>					
<b>8</b>	<b>2</b>	<b>14</b>	<b>3</b>	<b>15</b>	<b>13</b>	<b>12</b>	<b>11</b>	<b>7</b>	<b>5</b>	<b>9</b>	<b>10</b>	<b>16</b>	<b>18</b>	<b>1</b>	20	25	23	26	21

$$i = 8, p = 1, r = 15$$

# Randomized Selection - Example

- Select the  $i$ th smallest element in  $A[p..r]$ , pivot is  $A[q]$ ,  $k = q - p + 1$ .
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  - $i < k$  : the  $i$ th smallest element in  $A[p..q-1]$
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p										r									
8	2	14	3	15	13	12	11	7	5	9	10	16	18	1	20	25	23	26	21



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  - $i > k$  : the  $(i-k)$ th smallest element in  $A[q+1..r]$

p						q						r							
8	2	3	7	5	1	9	11	14	15	13	10	16	18	12	20	25	23	26	21

$$i = 8, p = 1, r = 15$$
$$q = 7, k = 7$$

# Randomized Selection - Example

- Select the  $i$ th smallest element in  $A[p..r]$ , pivot is  $A[q]$ ,  $k = q - p + 1$ .
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p						q						r							
8	2	3	7	5	1	9	11	14	15	13	10	16	18	12	20	25	23	26	21

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# Randomized Selection - Example

- Select the  $i$ th smallest element in  $A[p..r]$ , pivot is  $A[q]$ ,  $k = q - p + 1$ .
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							<b>p</b>										<b>r</b>			
8	2	3	7	5	1	9	11	14	15	13	10	16	18	12	20	25	23	26	21	

$$i = 1, p = 8, r = 15$$



# Randomized Selection - Example

- Select the  $i$ th smallest element in  $A[p..r]$ , pivot is  $A[q]$ ,  $k = q - p + 1$ .
  - $i = k$  : pivot is the solution
  - $i < k$  : the  $i$ th smallest element in  $A[p..q-1]$
  - $i > k$  : the  $(i-k)$ th smallest element in  $A[q+1..r]$

							<b>p</b>												<b>r</b>	
8	2	3	7	5	1	9	11	14	15	13	10	16	18	12	20	25	23	26	21	
										↑										

$$i = 1, p = 8, r = 15$$

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							<b>p</b>		<b>q</b>		<b>r</b>								
8	2	3	7	5	1	9	11	12	10	13	15	14	18	16	20	25	23	26	21
										↑									

$$i = 1, p = 8, r = 15$$
$$q = 11, k = 4$$

# Randomized Selection - Example

- Select the  $i$ th smallest element in  $A[p..r]$ , pivot is  $A[q]$ ,  $k = q - p + 1$ .
  - $i = k$  : pivot is the solution
  - $i < k$  : the  $i$ th smallest element in  $A[p..q-1]$
  - $i > k$  : the  $(i-k)$ th smallest element in  $A[q+1..r]$

							p			q			r							
8	2	3	7	5	1	9	11	12	10	13	15	14	18	16	20	25	23	26	21	
										↑										

$$i = 1, p = 8, r = 15$$

$$q = 11, k = 4$$

# Randomized Selection - Example

- Select the  $i$ th smallest element in  $A[p..r]$ , pivot is  $A[q]$ ,  $k = q - p + 1$ .
  - $i = k$  : pivot is the solution
  - $i < k$  : the  $i$ th smallest element in  $A[p..q-1]$
  - $i > k$  : the  $(i-k)$ th smallest element in  $A[q+1..r]$

							p		r										
8	2	3	7	5	1	9	11	12	10	13	15	14	18	16	20	25	23	26	21

$$i = 1, p = 8, r = 10$$

# Randomized Selection - Example

- Select the  $i$ th smallest element in  $A[p..r]$ , pivot is  $A[q]$ ,  $k = q - p + 1$ .
  - $i = k$  : pivot is the solution
  - $i < k$  : the  $i$ th smallest element in  $A[p..q-1]$
  - $i > k$  : the  $(i-k)$ th smallest element in  $A[q+1..r]$

							p	r												
8	2	3	7	5	1	9	11	12	10	13	15	14	18	16	20	25	23	26	21	
									↑											

$$i = 1, p = 8, r = 10$$

# Randomized Selection - Example

- Select the  $i$ th smallest element in  $A[p..r]$ , pivot is  $A[q]$ ,  $k = q - p + 1$ .
  - $i = k$  : pivot is the solution
  - $i < k$  : the  $i$ th smallest element in  $A[p..q-1]$
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							p,q		r											
8	2	3	7	5	1	9	10	12	11	13	15	14	18	16	20	25	23	26	21	
							↑													

$$i = 1, p = 8, r = 10$$
$$q = 8, k = 1$$

# Randomized Selection - Example

- Select the  $i$ th smallest element in  $A[p..r]$ , pivot is  $A[q]$ ,  $k = q - p + 1$ .
  - $i = k$  : pivot is the solution
  - $i < k$  : the  $i$ th smallest element in  $A[p..q-1]$
  - $i > k$  : the  $(i-k)$ th smallest element in  $A[q+1..r]$

							p,q														
8	2	3	7	5	1	9	10	12	11	13	15	14	18	16	20	25	23	26	21		
							↑														

$$i = 1, p = 8, r = 10$$
$$q = 8, k = 1$$

# Randomized Selection - Example

- Select the  $i$ th smallest element in  $A[p..r]$ , pivot is  $A[q]$ ,  $k = q - p + 1$ .
  - $i = k$  : pivot is the solution
  - $i < k$  : the  $i$ th smallest element in  $A[p..q-1]$
  - $i > k$  : the  $(i-k)$ th smallest element in  $A[q+1..r]$

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**10 is the 8th smallest element of the array.**



# Randomized Quicksort vs Randomized Selection

---

## Question

Why does Randomized Selection take  $O(n)$  time while Randomized Quicksort takes  $O(n \log n)$  time?

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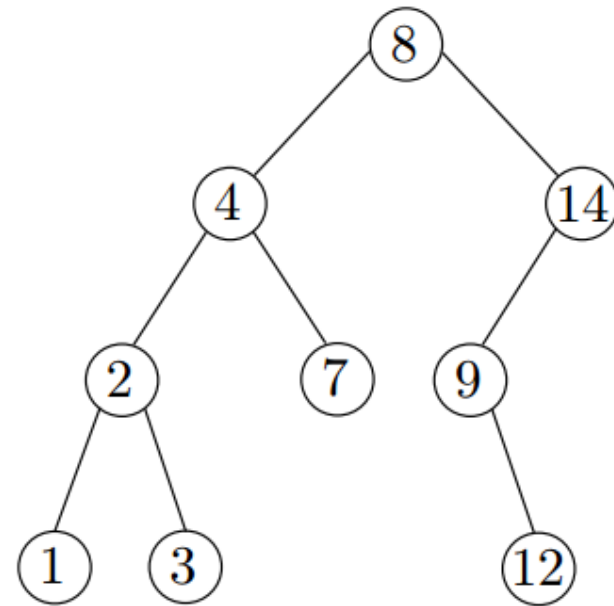
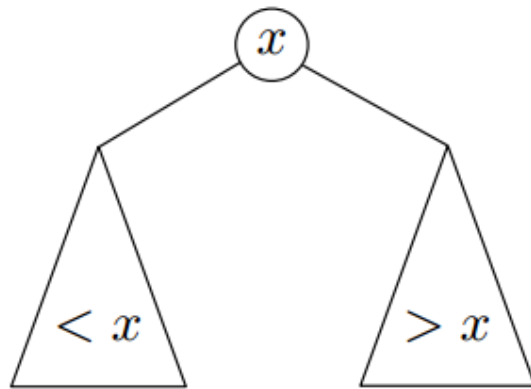
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# Binary Search Trees(BST)



## Binary-search-tree property

For every node  $x$

- All keys in its left subtree are smaller than the key value in  $x$
- All keys in its right subtree are larger than the key value in  $x$

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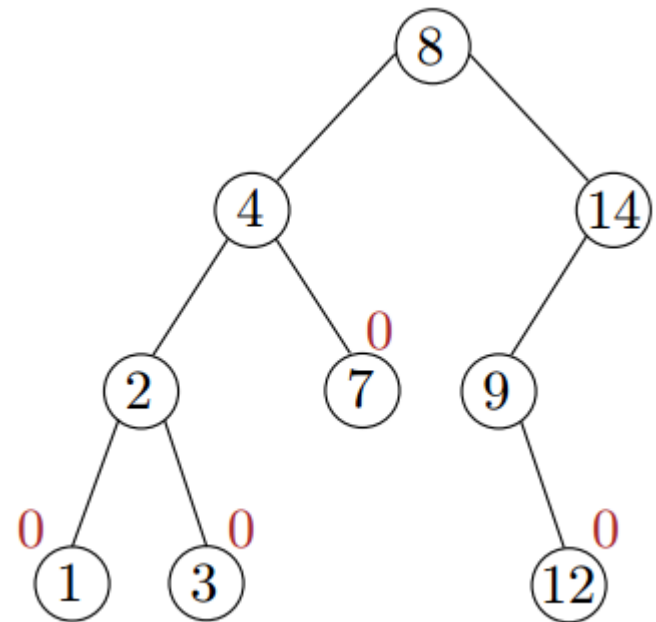
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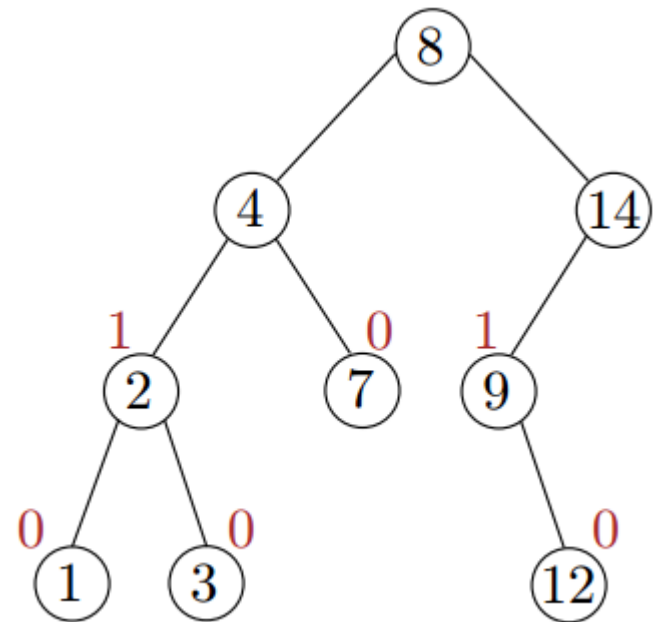
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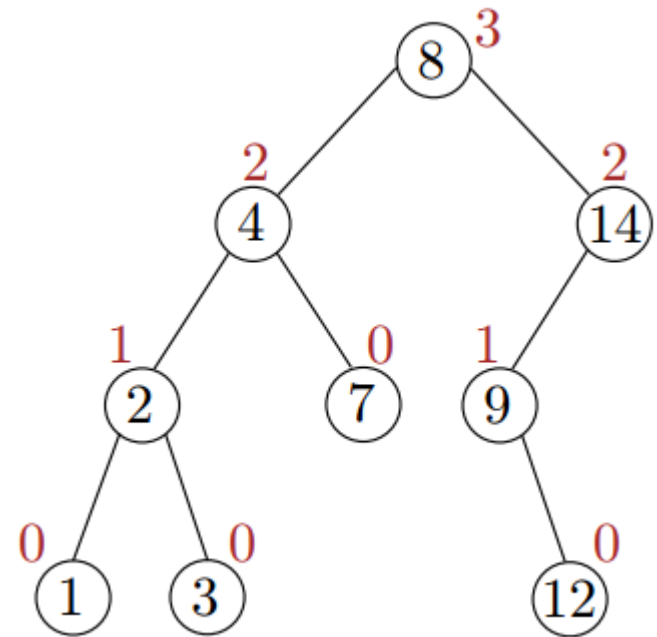
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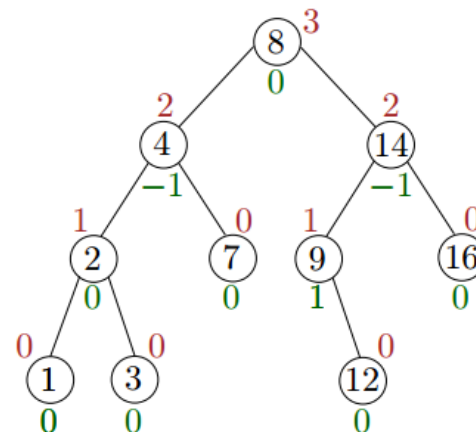
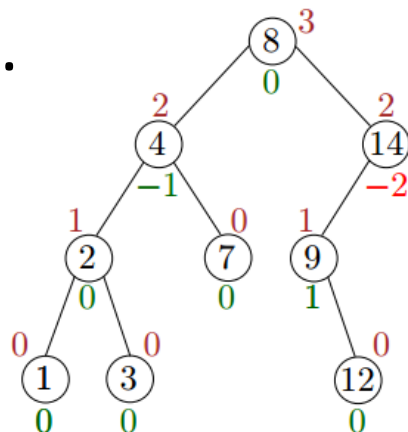
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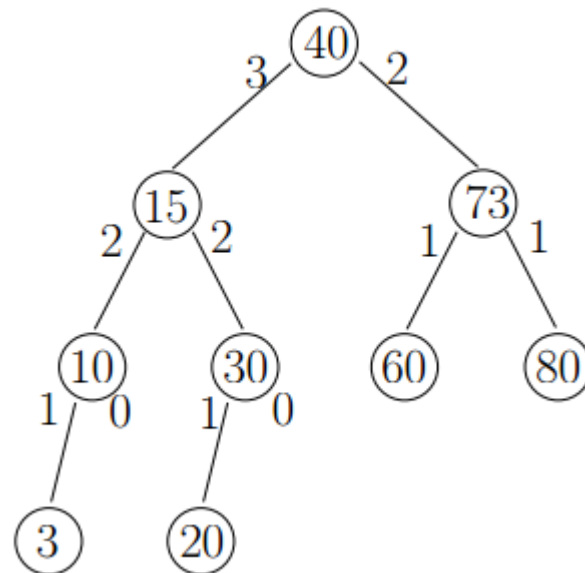
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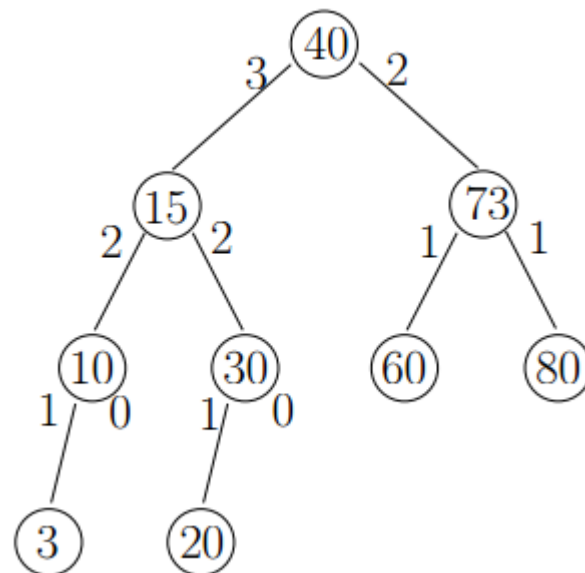
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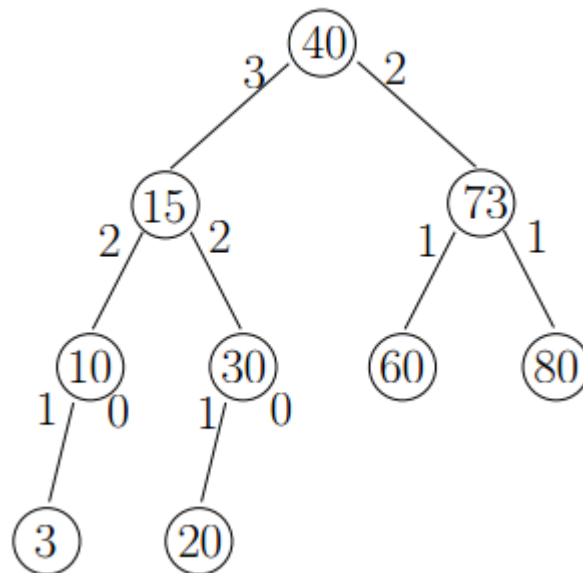
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# Optimal BST Problem

## Definition

- Given a sequence  $K = \langle k_1, k_2, \dots, k_n \rangle$  of  $n$  distinct keys in sorted order ( $k_1 < k_2 < \dots < k_n$ );

<b>Vocabulary</b>	
Word	Probability
$d_0$	$q_0=0.1$
Algorithm	$p_1=0.4$
$d_1$	$q_1=0.05$
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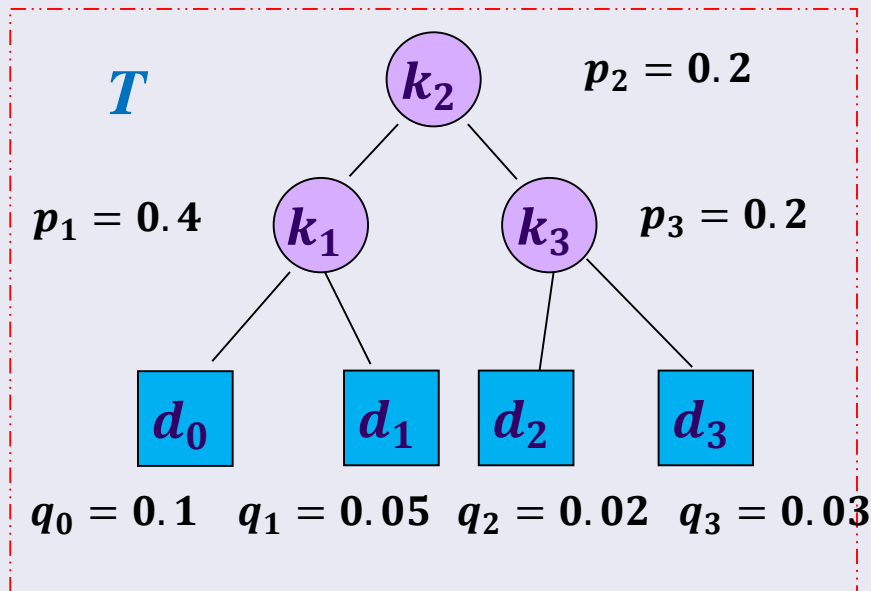
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- Construct a BST on these keys and dummy nodes
  - Each key  $k_i$  is an internal node;
  - Each “dummy key”  $d_i$  is a leaf



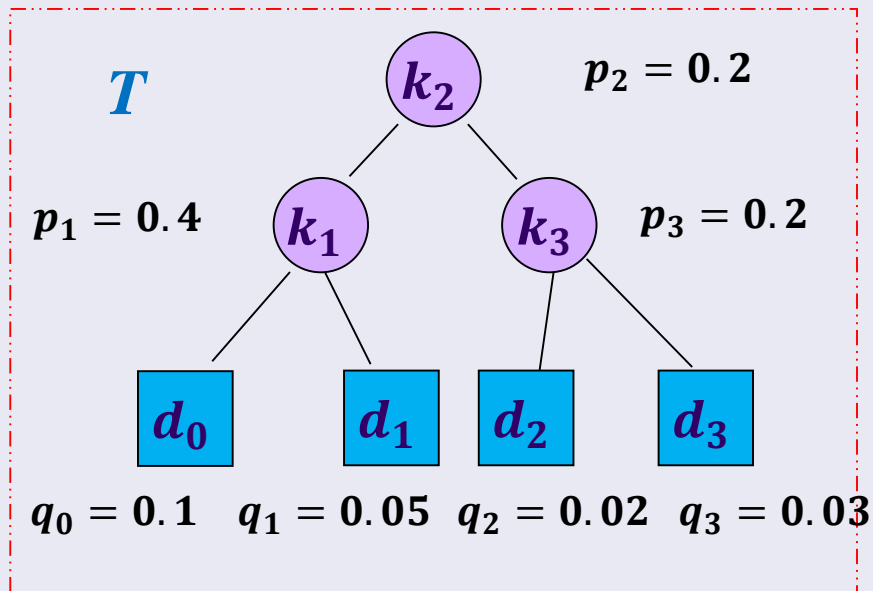
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- Search on this BST, every search is either successful or unsuccessful, we have

$$\sum_{i=1}^n p_i + \sum_{i=0}^n q_i = 1$$

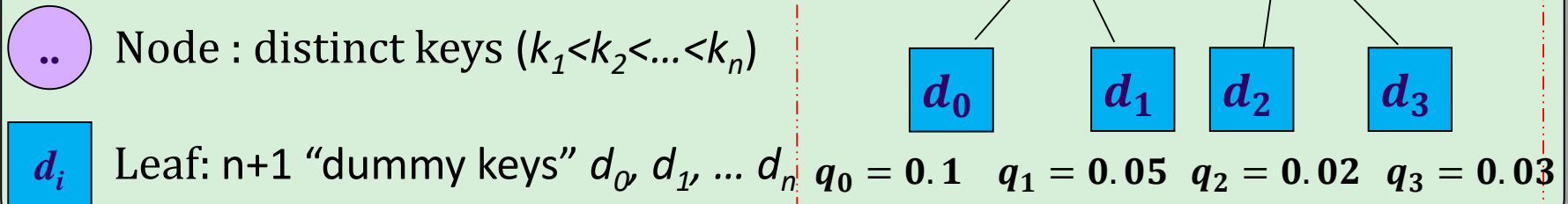


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Construct a BST whose expected search cost is the **smallest**.



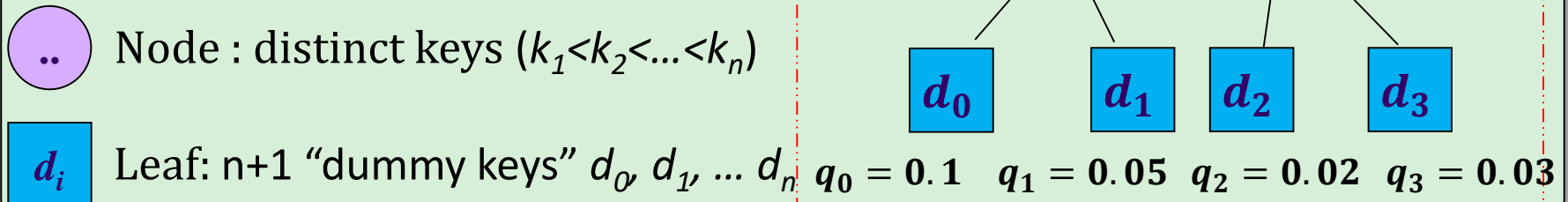
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$$E(\text{search cost in } T) = \sum_{i=1}^n [\text{depth}T(k_i) + 1] \cdot p_i + \sum_{i=0}^n [\text{depth}T(d_i) + 1] \cdot q_i$$

$$= 1 + \sum_{i=1}^n \text{depth}T(k_i) \cdot p_i + \sum_{i=0}^n \text{depth}T(d_i) \cdot q_i$$



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E. g.

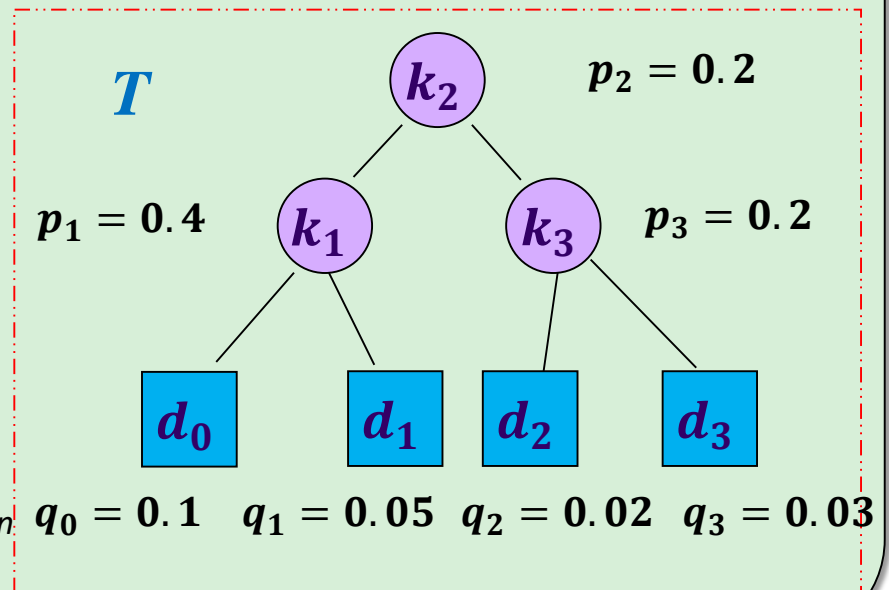
$$E(T) = 1 * 0.2 + 2 * 0.4 + 2 * 0.2 + 3 * 0.1 + 3 * 0.05 + 3 * 0.02 + 3 * 0.03 = 2$$



Node : distinct keys ( $k_1 < k_2 < \dots < k_n$ )



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# Outline

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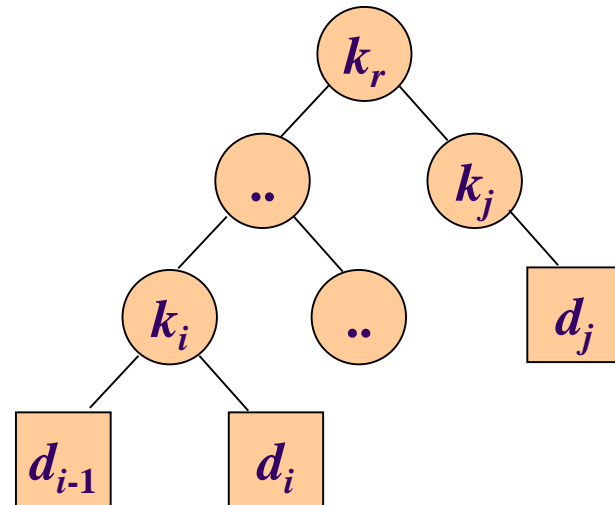
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# A DP Algorithm for Optimal BST Problem

## Step 1: Space of subproblems

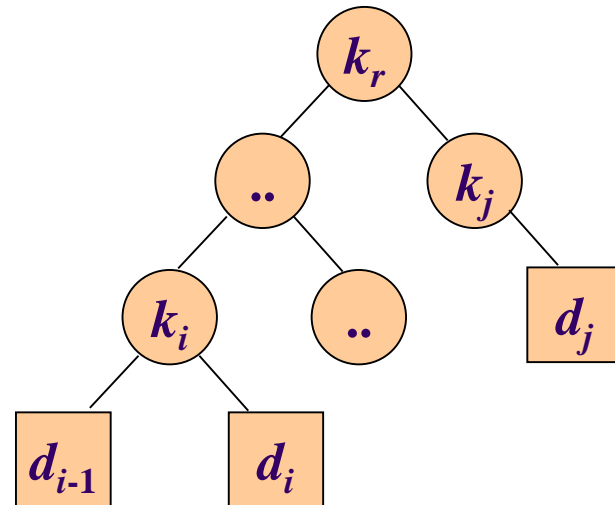
- Subproblem: finding an optimal BST containing the keys  $k_i, \dots, k_j$ , where  $i \geq 1, j \leq n$ , and  $j \geq i-1$ . (when  $j = i-1$ , there are no actual keys, we have just the dummy key  $d_{i-1}$ .)



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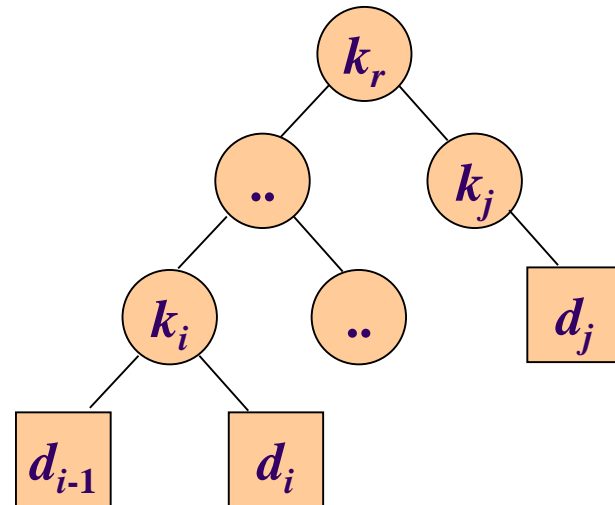
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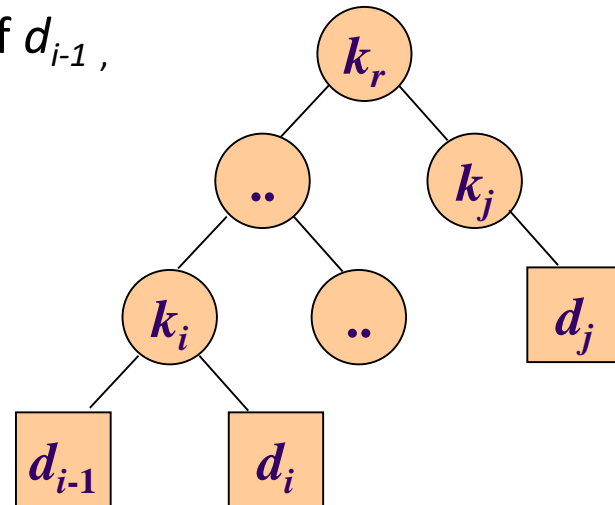
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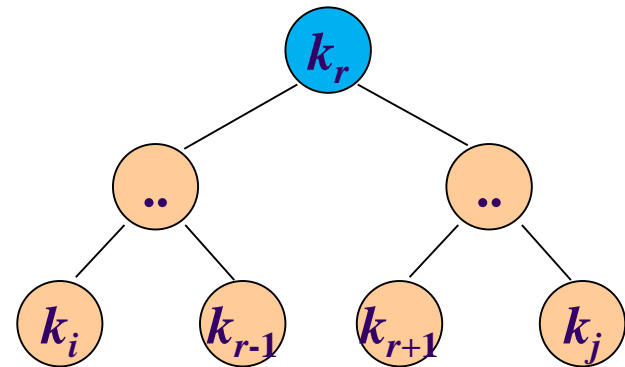
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- $e[i, j]$ : the expected cost of searching an optimal BST containing the keys  $k_i, \dots, k_j$ .
- Ultimately, wish to compute  $e[1, n]$ .
- **Boundary cases:**
  - When  $j=i-1$ , the tree has only one leaf  $d_{i-1}$ ,
  - $e[i, i-1] = q_{i-1}$ .



# A DP Algorithm for Optimal BST Problem

## Step 2: Relating the value of a problem and those of its subproblems

- When  $j \geq i$ , select a root  $k_r$  from among  $k_i, \dots, k_j$ ,
  - make an optimal BST with keys  $k_i, \dots, k_{r-1}$  its left subtree
  - and an optimal BST with keys  $k_{r+1}, \dots, k_j$  its right subtree.



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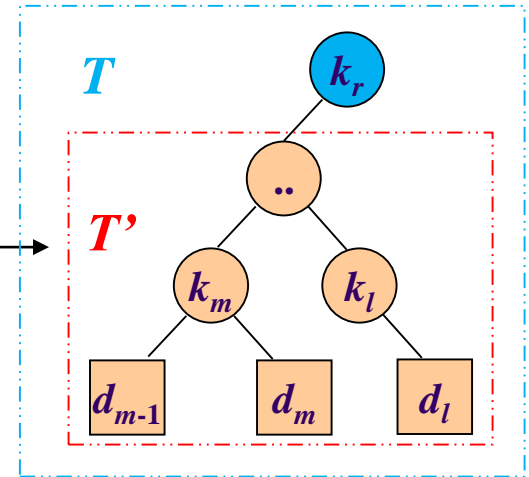
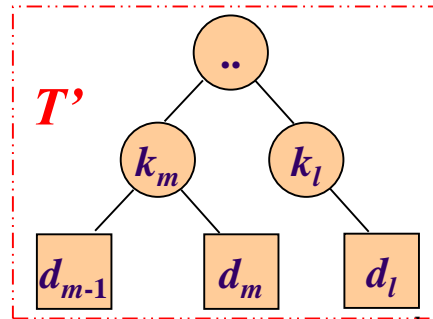
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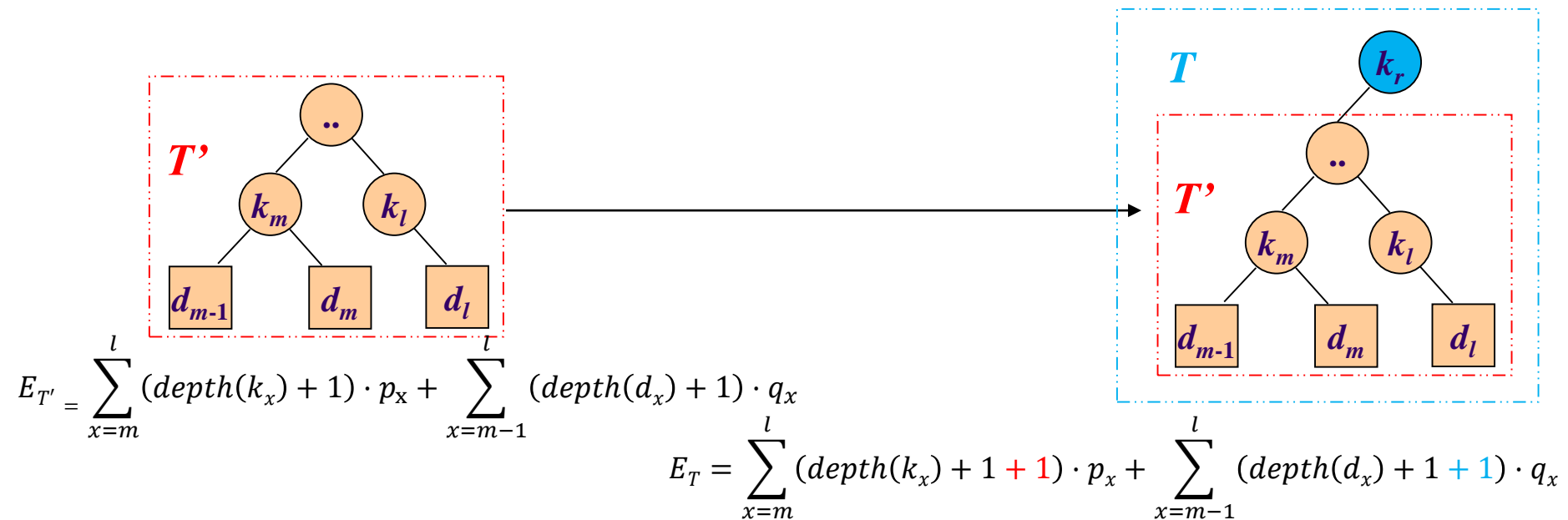


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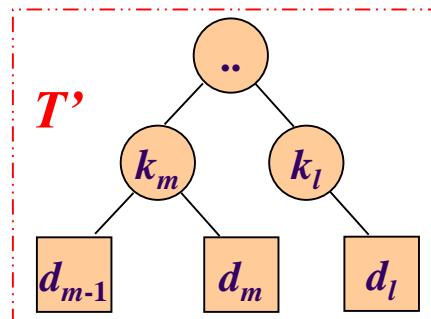




# A DP Algorithm for Optimal BST Problem

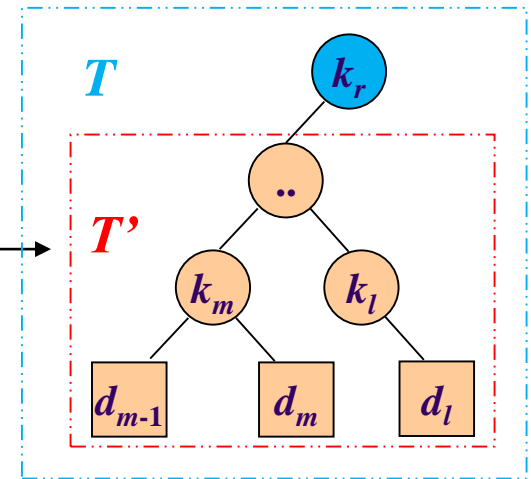
## Step 2: Relating the value of a problem and those of its subproblems

- What happens to the expected search cost of a subtree when it becomes a subtree of a node?



$$E_{T'} = e[m, l]$$

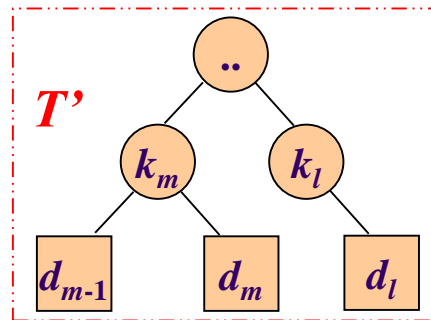
$$E_T = \sum_{x=m}^l (\text{depth}(k_x) + 1 + \textcolor{red}{1}) \cdot p_x + \sum_{x=m-1}^l (\text{depth}(d_x) + 1 + \textcolor{blue}{1}) \cdot q_x$$



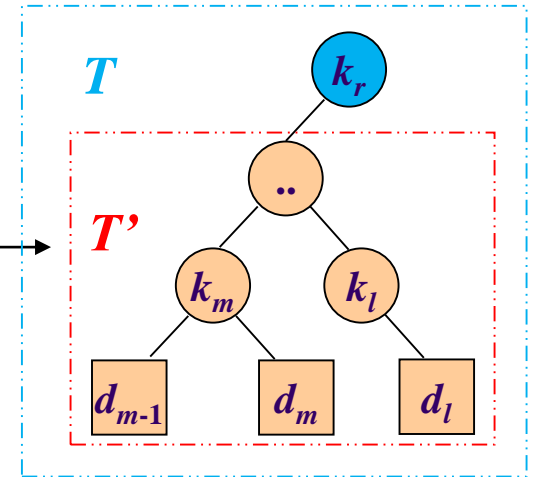
# A DP Algorithm for Optimal BST Problem

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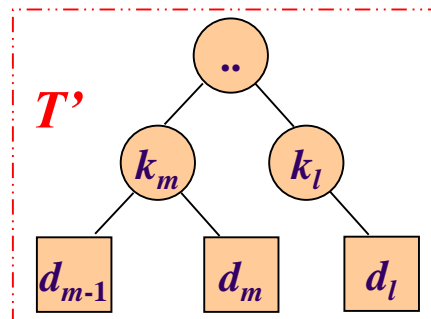


$$\begin{aligned}
 E_T &= \sum_{x=m}^l (\text{depth}(k_x) + 1 + \textcolor{red}{1}) \cdot p_x + \sum_{x=m-1}^l (\text{depth}(d_x) + 1 + \textcolor{blue}{1}) \cdot q_x \\
 &= \sum_{x=m}^l (\text{depth}(k_x) + 1) \cdot p_x + \sum_{x=m-1}^l (\text{depth}(d_x) + 1) \cdot q_x + \sum_{x=m}^l \textcolor{red}{p}_x + \sum_{x=m-1}^l \textcolor{blue}{q}_x \\
 &= e[m, l] + \textcolor{brown}{w}[m, l]
 \end{aligned}$$

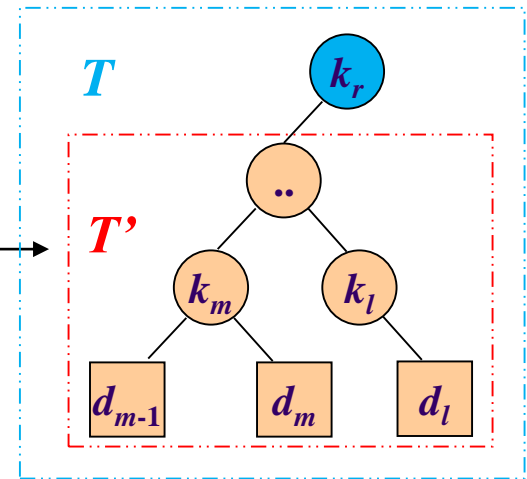
# A DP Algorithm for Optimal BST Problem

## Step 2: Relating the value of a problem and those of its subproblems

- What happens to the expected search cost of a subtree when it becomes a subtree of a node?



$$E_{T'} = e[m, l]$$



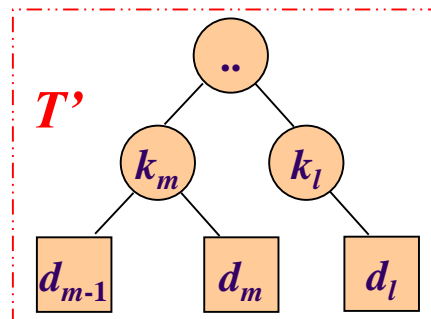
$$w[m, l] = \sum_{x=m}^l p_x + \sum_{x=m-1}^l q_x$$

$$\begin{aligned} E_T &= \sum_{x=m}^l (\text{depth}(k_x) + 1 + \textcolor{red}{1}) \cdot p_x + \sum_{x=m-1}^l (\text{depth}(d_x) + 1 + \textcolor{blue}{1}) \cdot q_x \\ &= \sum_{x=m}^l (\text{depth}(k_x) + 1) \cdot p_x + \sum_{x=m-1}^l (\text{depth}(d_x) + 1) \cdot q_x + \sum_{x=m}^l \textcolor{red}{p_x} + \sum_{x=m-1}^l \textcolor{blue}{q_x} \\ &= e[m, l] + \textcolor{brown}{w}[m, l] \end{aligned}$$

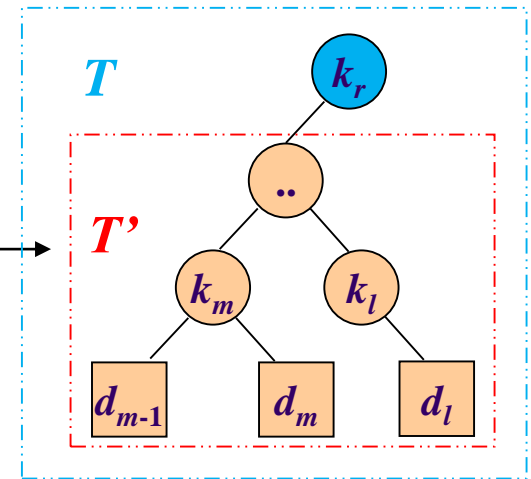
# A DP Algorithm for Optimal BST Problem

## Step 2: Relating the value of a problem and those of its subproblems

- What happens to the expected search cost of a subtree when it becomes a subtree of a node?



$$E_{T'} = e[m, l]$$



$$\begin{aligned} w[m, l] &= \sum_{x=m}^l p_x + \sum_{x=m-1}^l q_x \\ &= w[m, l-1] + p_l + q_l \end{aligned}$$

$$\begin{aligned} E_T &= \sum_{x=m}^l (\text{depth}(k_x) + 1 + \textcolor{red}{1}) \cdot p_x + \sum_{x=m-1}^l (\text{depth}(d_x) + 1 + \textcolor{blue}{1}) \cdot q_x \\ &= \sum_{x=m}^l (\text{depth}(k_x) + 1) \cdot p_x + \sum_{x=m-1}^l (\text{depth}(d_x) + 1) \cdot q_x + \sum_{x=m}^l \textcolor{red}{p_x} + \sum_{x=m-1}^l \textcolor{blue}{q_x} \\ &= e[m, l] + \textcolor{brown}{w}[m, l] \end{aligned}$$

# A DP Algorithm for Optimal BST Problem

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Step 2: Relating the value of a problem and those of its subproblems

- Thus, if  $k_r$  is the root of an optimal subtree containing keys  $k_i, \dots, k_j$ , we have

$$e[i, j] = p_r + (e[i, r-1] + w[i, r-1]) + (e[r+1, j] + w[r+1, j])$$

# A DP Algorithm for Optimal BST Problem

## Step 2: Relating the value of a problem and those of its subproblems

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- Noting that  $w[i, j] = w[i, r-1] + p_r + w[r+1, j]$

$$(w[i, r-1] = \sum_{x=i}^{r-1} p_x + \sum_{x=i-1}^{r-1} q_x, w[r+1, j] = \sum_{x=r+1}^j p_x + \sum_{x=r}^j q_x)$$

# A DP Algorithm for Optimal BST Problem

## Step 2: Relating the value of a problem and those of its subproblems

- Thus, if  $k_r$  is the root of an optimal subtree containing keys  $k_i, \dots, k_j$ , we have

$$e[i, j] = p_r + (e[i, r-1] + w[i, r-1]) + (e[r+1, j] + w[r+1, j])$$

- Noting that  $w[i, j] = w[i, r-1] + p_r + w[r+1, j]$

$$(w[i, r-1] = \sum_{x=i}^{r-1} p_x + \sum_{x=i-1}^{r-1} q_x, w[r+1, j] = \sum_{x=r+1}^j p_x + \sum_{x=r}^j q_x)$$

- We rewrite  $e[i, j]$  as

$$e[i, j] = e[i, r-1] + e[r+1, j] + w[i, j]$$

# A DP Algorithm for Optimal BST Problem

## Step 2: Relating the value of a problem and those of its subproblems

- Choose  $k_r$  as the root that gives the lowest expected search cost, giving us our **final recursive formulation**:

$$e[i, j] = \begin{cases} q_{i-1} & \text{if } j = i - 1, \\ \min_{i \leq r \leq j} \{e[i, r - 1] + e[r + 1, j] + w[i, j]\} & \text{if } i \leq j. \end{cases}$$

- $e[i, j]$  give the expected search costs in optimal BST.



# An Example of Optimal Binary Search Tree

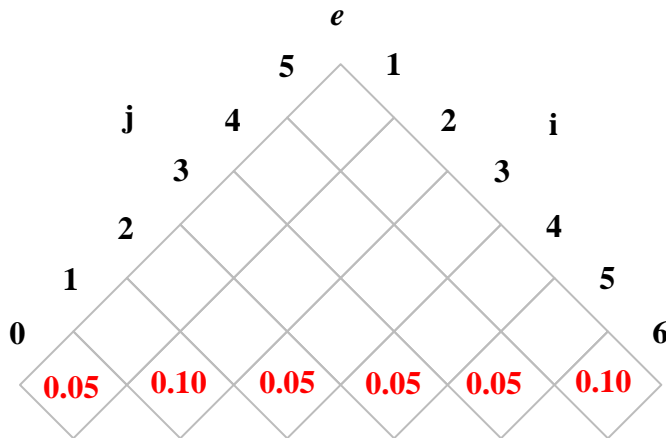
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$i$	0	1	2	3	4	5
$p_i$		0.15	0.10	0.05	0.10	0.20
$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

# An Example of Optimal Binary Search Tree

$i$	0	1	2	3	4	5
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## Step 0: Initialization

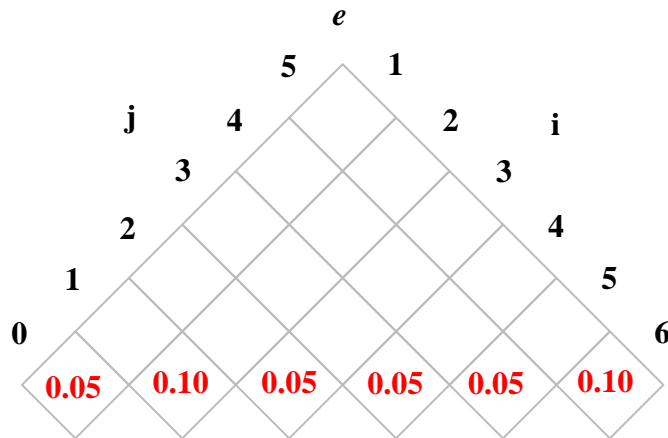


$$e[i, i-1] = q_{i-1}$$

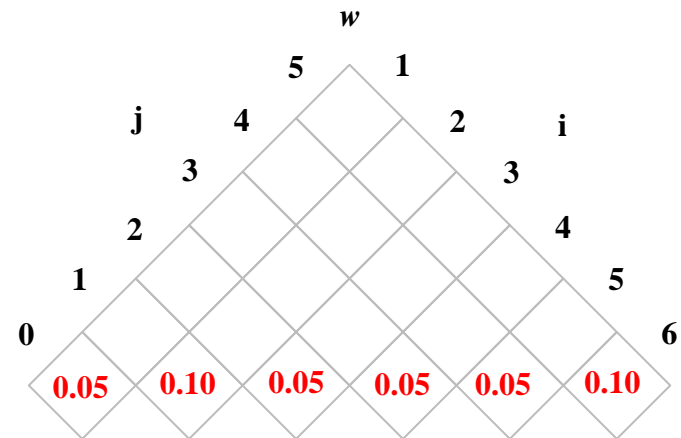
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## Step 0: Initialization



$$e[i, i-1] = q_{i-1}$$



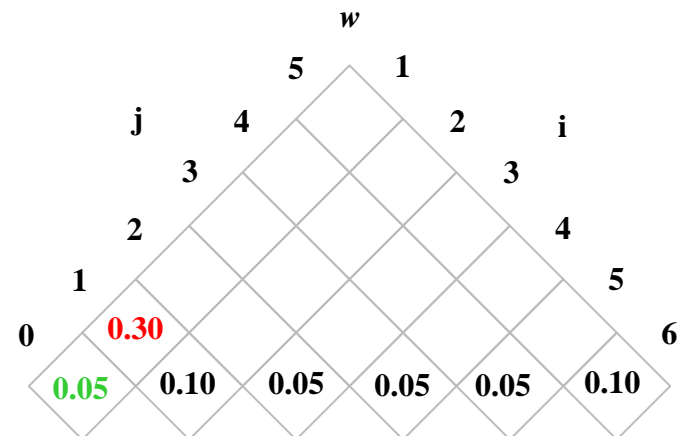
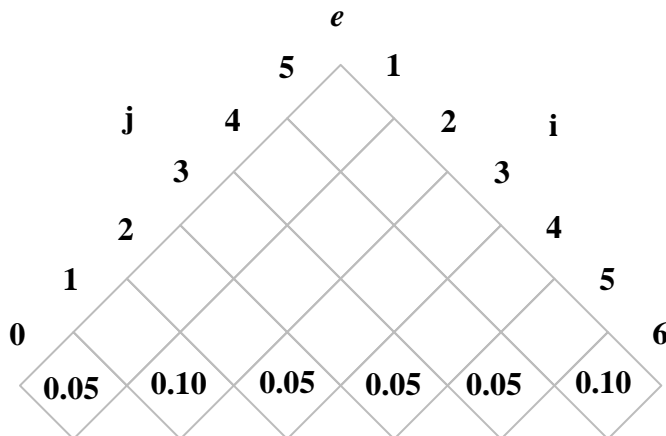
$$w[i, i-1] = q_{i-1}$$

# An Example of Optimal Binary Search Tree

$i$	0	1	2	3	4	5
$p_i$		0.15	0.10	0.05	0.10	0.20
$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

**Step 1: Computing  $e[i, i]$ ,  $w[i, i]$**

$$\begin{aligned}
 w[1,1] &= w[i, j-1] + p_j + q_j \\
 &= w[1,0] + p_1 + q_1 \\
 &= 0.05 + 0.15 + 0.10 = 0.30
 \end{aligned}$$



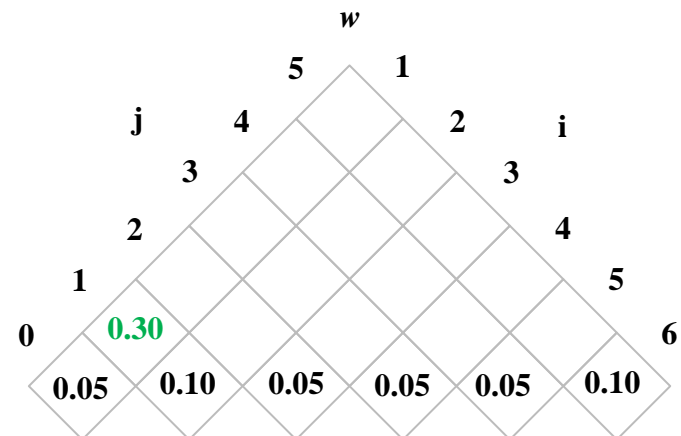
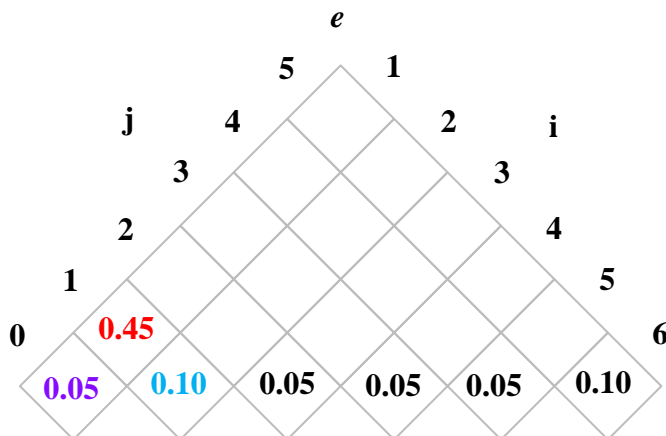
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## Step 1: Computing $e[i, i]$ , $w[i, i]$

$$\begin{aligned}
 e[1,1] &= \min_{1 \leq r \leq 1} (e[i, r-1] + e[r+1, j] + w[i, j]) \\
 &= e[1,0] + e[2,1] + w[1,1] \\
 &= 0.05 + 0.10 + 0.30 = 0.45
 \end{aligned}$$

$$\begin{aligned}
 w[1,1] &= w[i, j-1] + p_j + q_j \\
 &= w[1,0] + p_1 + q_1 \\
 &= 0.05 + 0.15 + 0.10 = 0.30
 \end{aligned}$$



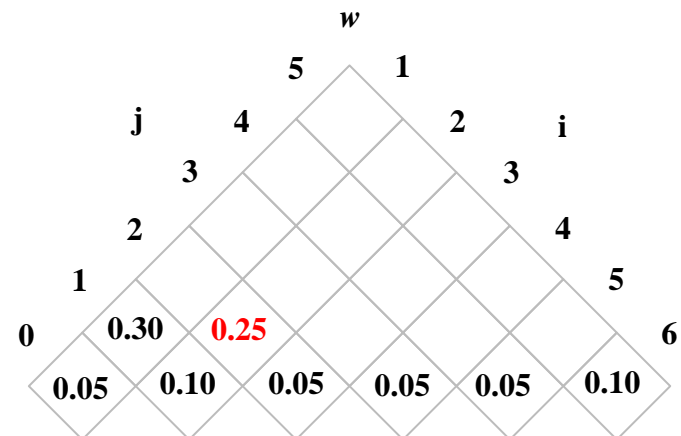
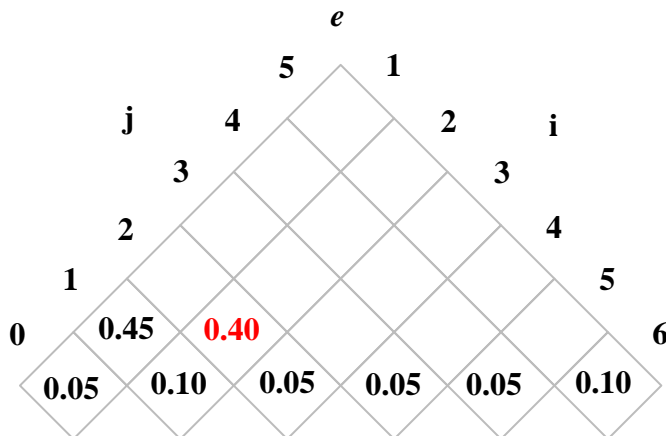
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$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

## Step 1: Computing $e[i, i]$ , $w[i, i]$

$$\begin{aligned}
 e[2,2] &= \min_{2 \leq r \leq 2} (e[i, r-1] + e[r+1, j] + w[i, j]) \\
 &= e[2,1] + e[3,2] + w[2,2] \\
 &= 0.10 + 0.05 + 0.25 = \mathbf{0.40}
 \end{aligned}$$

$$\begin{aligned}
 w[2,2] &= w[i, j-1] + p_j + q_j \\
 &= w[2,1] + p_2 + q_2 \\
 &= 0.10 + 0.10 + 0.05 = \mathbf{0.25}
 \end{aligned}$$



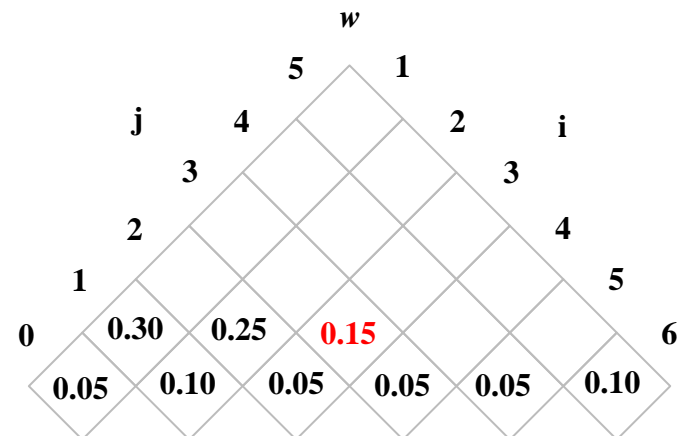
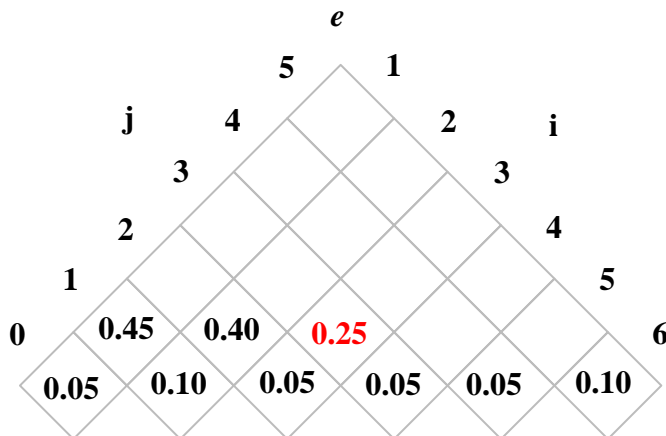
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$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

## Step 1: Computing $e[i, i]$ , $w[i, i]$

$$\begin{aligned}
 e[3,3] &= \min_{3 \leq r \leq 3} (e[i, r-1] + e[r+1, j] + w[i, j]) \\
 &= e[3,2] + e[4,3] + w[3,3] \\
 &= 0.05 + 0.05 + 0.15 = \mathbf{0.25}
 \end{aligned}$$

$$\begin{aligned}
 w[3,3] &= w[i, j-1] + p_j + q_j \\
 &= w[3,2] + p_3 + q_3 \\
 &= 0.05 + 0.05 + 0.05 = \mathbf{0.15}
 \end{aligned}$$



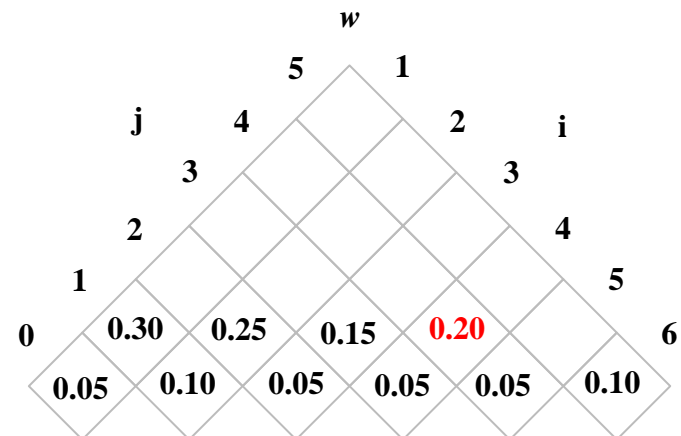
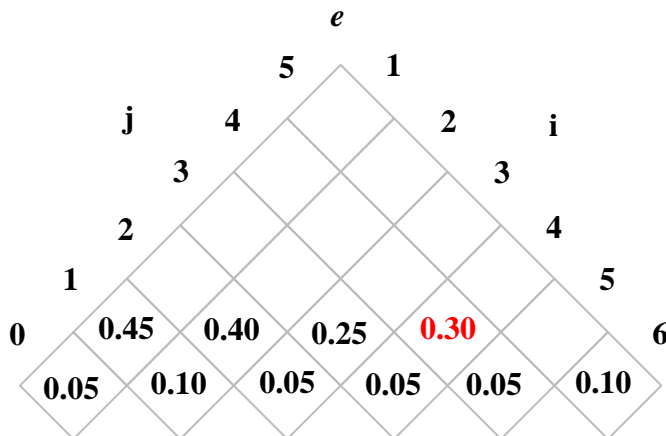
# An Example of Optimal Binary Search Tree

$i$	0	1	2	3	4	5
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$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

## Step 1: Computing $e[i, i]$ , $w[i, i]$

$$\begin{aligned}
 e[4,4] &= \min_{4 \leq r \leq 4} (e[i, r-1] + e[r+1, j] + w[i, j]) \\
 &= e[4,3] + e[5,4] + w[4,4] \\
 &= 0.05 + 0.05 + 0.20 = \mathbf{0.30}
 \end{aligned}$$

$$\begin{aligned}
 w[4,4] &= w[i, j-1] + p_j + q_j \\
 &= w[4,3] + p_4 + q_4 \\
 &= 0.05 + 0.10 + 0.05 = \mathbf{0.20}
 \end{aligned}$$





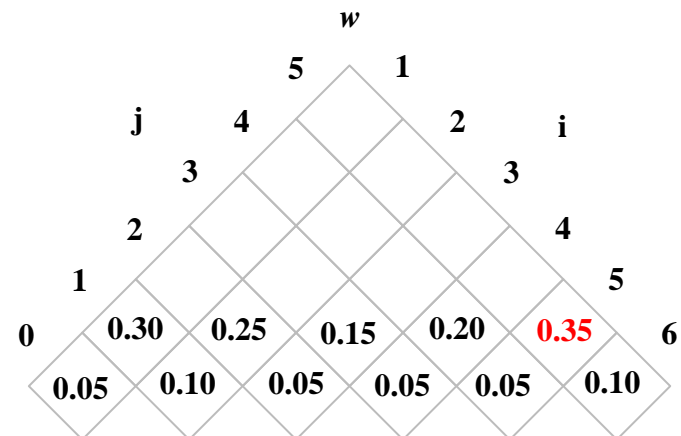
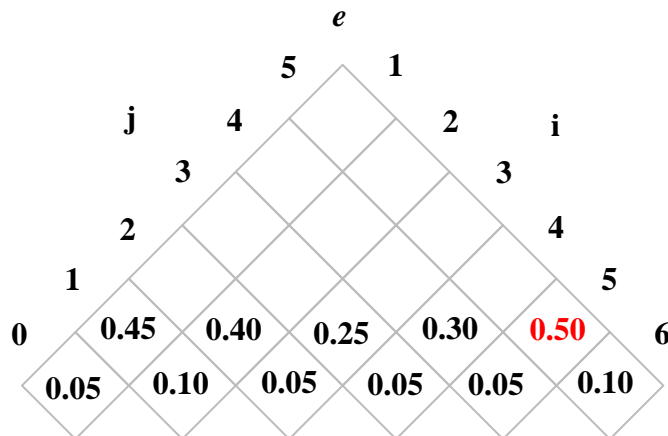
# An Example of Optimal Binary Search Tree

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$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

## Step 1: Computing $e[i, i]$ , $w[i, i]$

$$\begin{aligned}
 e[5,5] &= \min_{5 \leq r \leq 5} (e[i, r-1] + e[r+1, j] + w[i, j]) \\
 &= e[5,4] + e[6,5] + w[5,5] \\
 &= 0.05 + 0.10 + 0.35 = \mathbf{0.50}
 \end{aligned}$$

$$\begin{aligned}
 w[5,5] &= w[i, j-1] + p_j + q_j \\
 &= w[5,4] + p_5 + q_5 \\
 &= 0.05 + 0.20 + 0.10 = \mathbf{0.35}
 \end{aligned}$$



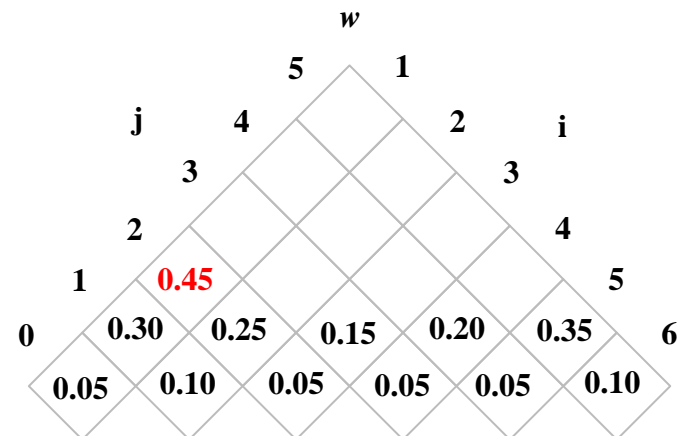
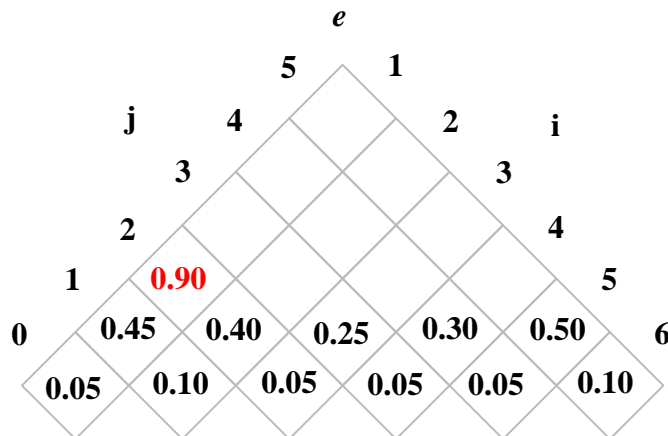
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$i$	0	1	2	3	4	5
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$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

## Step 2: Computing $e[i, i+1]$ , $w[i, i+1]$

$$\begin{aligned}
 e[1,2] &= \min_{1 \leq r \leq 2} (e[i, r-1] + e[r+1, j] + w[i, j]) \\
 &= \min \begin{cases} e[1,0] + e[2,2] + w[1,2] \\ e[1,1] + e[3,2] + w[1,2] \end{cases} \\
 &= \min \begin{cases} 0.05 + 0.40 + 0.45 = \mathbf{0.90} \\ 0.45 + 0.05 + 0.45 = 0.95 \end{cases}
 \end{aligned}$$

$$\begin{aligned}
 w[1,2] &= w[i, j-1] + p_j + q_j \\
 &= w[1,1] + p_2 + q_2 \\
 &= 0.30 + 0.10 + 0.05 = \mathbf{0.45}
 \end{aligned}$$



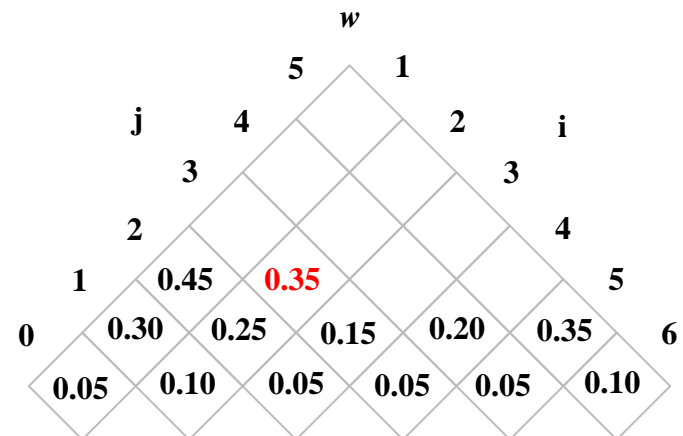
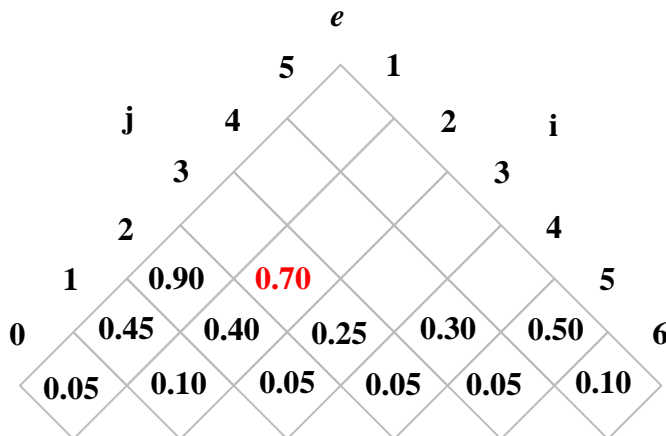
# An Example of Optimal Binary Search Tree

$i$	0	1	2	3	4	5
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$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

## Step 2: Computing $e[i, i+1]$ , $w[i, i+1]$

$$\begin{aligned}
 e[2,3] &= \min_{2 \leq r \leq 3} (e[i, r-1] + e[r+1, j] + w[i, j]) \\
 &= \min \begin{cases} e[2,1] + e[3,3] + w[2,3] \\ e[2,2] + e[4,3] + w[2,3] \end{cases} \\
 &= \min \begin{cases} 0.10 + 0.25 + 0.35 = \mathbf{0.70} \\ 0.40 + 0.05 + 0.35 = 0.80 \end{cases}
 \end{aligned}$$

$$\begin{aligned}
 w[2,3] &= w[i, j-1] + p_j + q_j \\
 &= w[2,2] + p_3 + q_3 \\
 &= 0.25 + 0.05 + 0.05 = \mathbf{0.35}
 \end{aligned}$$



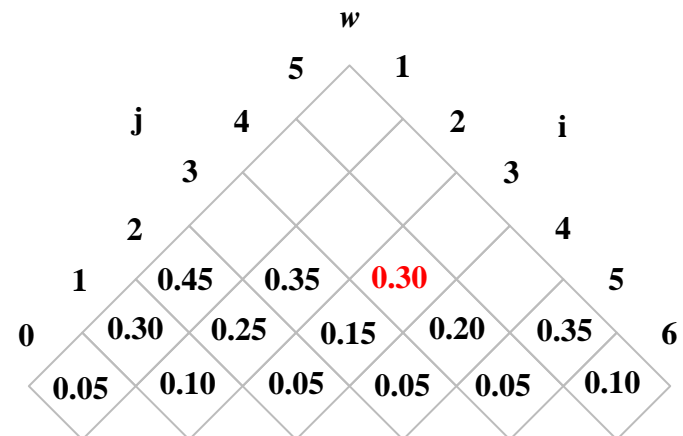
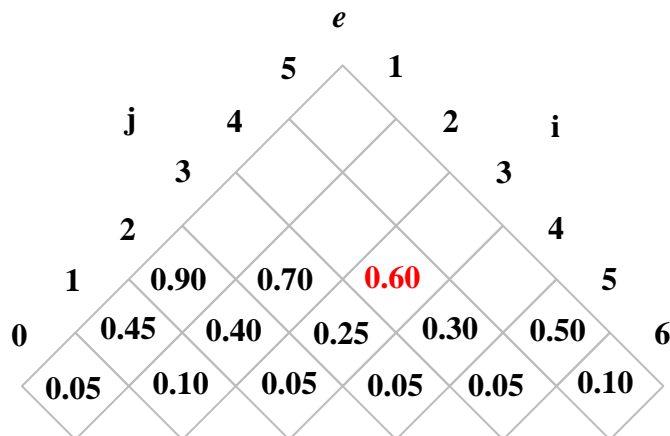
# An Example of Optimal Binary Search Tree

$i$	0	1	2	3	4	5
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$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

## Step 2: Computing $e[i, i+1]$ , $w[i, i+1]$

$$\begin{aligned}
 e[3,4] &= \min_{3 \leq r \leq 4} (e[i, r-1] + e[r+1, j] + w[i, j]) \\
 &= \min \begin{cases} e[3,2] + e[4,4] + w[3,4] \\ e[3,3] + e[5,4] + w[3,4] \end{cases} \\
 &= \min \begin{cases} 0.05 + 0.30 + 0.30 = 0.65 \\ 0.25 + 0.05 + 0.30 = \mathbf{0.60} \end{cases}
 \end{aligned}$$

$$\begin{aligned}
 w[3,4] &= w[i, j-1] + p_j + q_j \\
 &= w[3,3] + p_4 + q_4 \\
 &= 0.15 + 0.10 + 0.05 = \mathbf{0.30}
 \end{aligned}$$



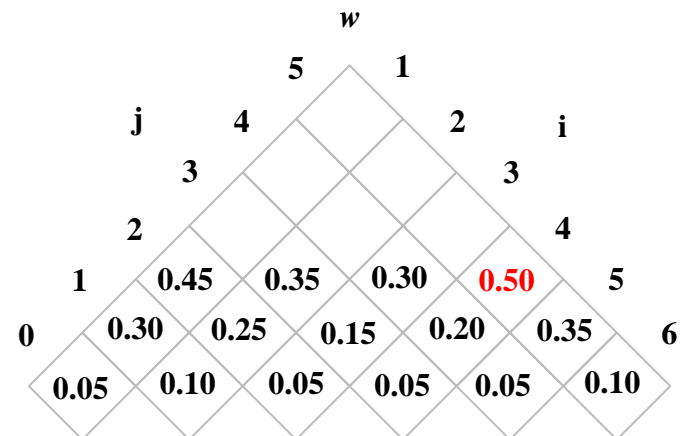
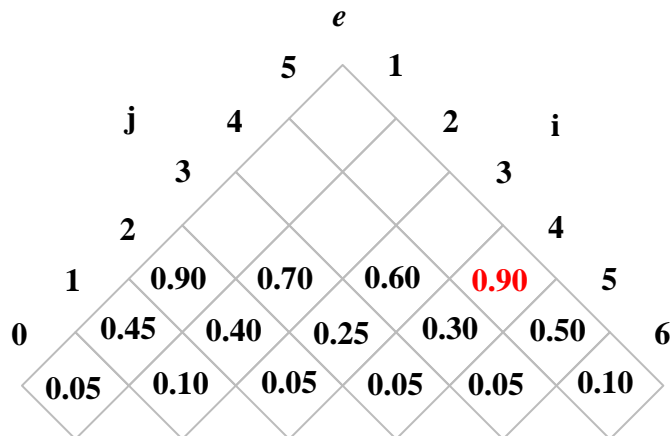
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$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

## Step 2: Computing $e[i, i+1]$ , $w[i, i+1]$

$$\begin{aligned}
 e[4,5] &= \min_{4 \leq r \leq 5} (e[i, r-1] + e[r+1, j] + w[i, j]) \\
 &= \min \begin{cases} e[4,3] + e[5,5] + w[4,5] \\ e[4,4] + e[6,5] + w[4,5] \end{cases} \\
 &= \min \begin{cases} 0.30 + 0.50 + 0.50 = 1.30 \\ 0.30 + 0.10 + 0.50 = \mathbf{0.90} \end{cases}
 \end{aligned}$$

$$\begin{aligned}
 w[4,5] &= w[i, j-1] + p_j + q_j \\
 &= w[4,4] + p_5 + q_5 \\
 &= 0.20 + 0.20 + 0.10 = \mathbf{0.50}
 \end{aligned}$$



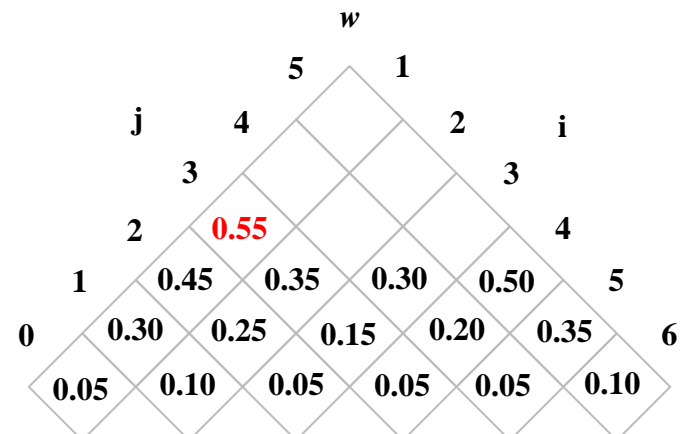
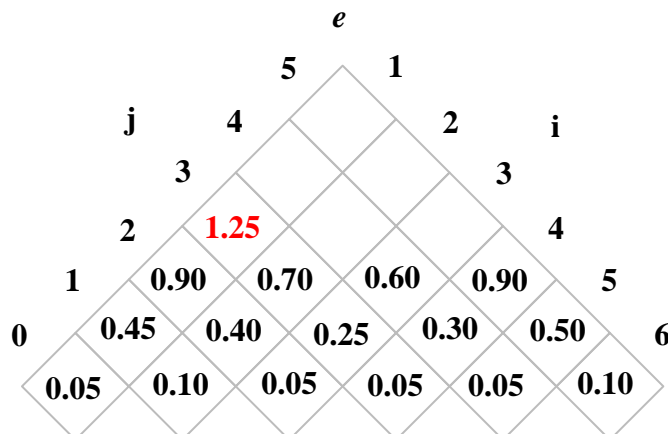
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$p_i$		0.15	0.10	0.05	0.10	0.20
$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

## Step 3: Computing $e[i, i+2], w[i, i+2]$

$$\begin{aligned}
 e[1,3] &= \min_{1 \leq r \leq 3} (e[i, r-1] + e[r+1, j] + w[i, j]) \\
 &= \min \begin{cases} e[1,0] + e[2,3] + w[1,3] \\ e[1,1] + e[3,3] + w[1,3] \\ e[1,2] + e[4,3] + w[1,3] \end{cases} \\
 &= \min \begin{cases} 0.05 + 0.70 + 0.55 = 1.30 \\ 0.45 + 0.25 + 0.55 = \mathbf{1.25} \\ 0.90 + 0.05 + 0.55 = 1.55 \end{cases}
 \end{aligned}$$

$$\begin{aligned}
 w[1,3] &= w[i, j-1] + p_j + q_j \\
 &= w[1,2] + p_3 + q_3 \\
 &= 0.45 + 0.05 + 0.05 = \mathbf{0.55}
 \end{aligned}$$



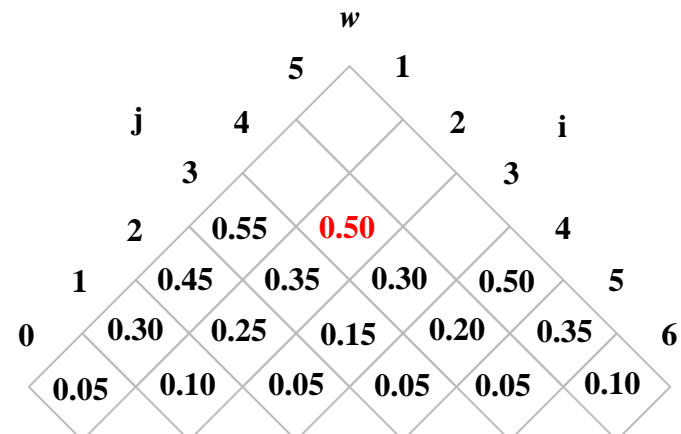
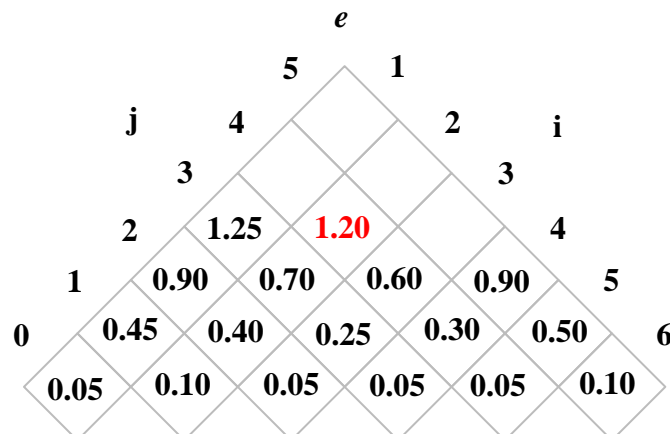
# An Example of Optimal Binary Search Tree

$i$	0	1	2	3	4	5
$p_i$		0.15	0.10	0.05	0.10	0.20
$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

## Step 3: Computing $e[i, i+2]$ , $w[i, i+2]$

$$\begin{aligned}
 e[2,4] &= \min_{2 \leq r \leq 4} (e[i, r-1] + e[r+1, j] + w[i, j]) \\
 &= \min \begin{cases} e[2,1] + e[3,4] + w[2,4] \\ e[2,2] + e[4,4] + w[2,4] \\ e[2,3] + e[5,4] + w[2,4] \end{cases} \\
 &= \min \begin{cases} 0.10 + 0.60 + 0.50 = \mathbf{1.20} \\ 0.40 + 0.30 + 0.50 = 1.20 \\ 0.70 + 0.05 + 0.50 = 1.25 \end{cases}
 \end{aligned}$$

$$\begin{aligned}
 w[2,4] &= w[i, j-1] + p_j + q_j \\
 &= w[2,3] + p_4 + q_4 \\
 &= 0.35 + 0.10 + 0.05 = \mathbf{0.50}
 \end{aligned}$$



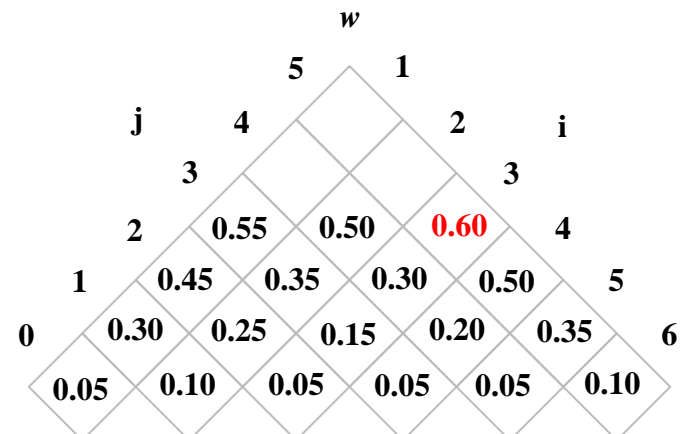
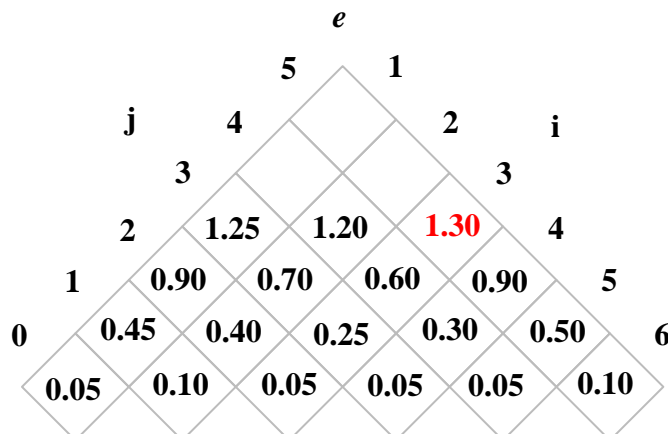
# An Example of Optimal Binary Search Tree

$i$	0	1	2	3	4	5
$p_i$		0.15	0.10	0.05	0.10	0.20
$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

## Step 3: Computing $e[i, i+2]$ , $w[i, i+2]$

$$\begin{aligned}
 e[3,5] &= \min_{3 \leq r \leq 5} (e[i, r-1] + e[r+1, j] + w[i, j]) \\
 &= \min \begin{cases} e[3,2] + e[4,5] + w[3,5] \\ e[3,3] + e[5,5] + w[3,5] \\ e[3,4] + e[6,5] + w[3,5] \end{cases} \\
 &= \min \begin{cases} 0.05 + 0.90 + 0.60 = 1.55 \\ 0.25 + 0.50 + 0.60 = 1.35 \\ 0.60 + 0.10 + 0.60 = \mathbf{1.30} \end{cases}
 \end{aligned}$$

$$\begin{aligned}
 w[3,5] &= w[i, j-1] + p_j + q_j \\
 &= w[3,4] + p_5 + q_5 \\
 &= 0.30 + 0.20 + 0.10 = \mathbf{0.60}
 \end{aligned}$$





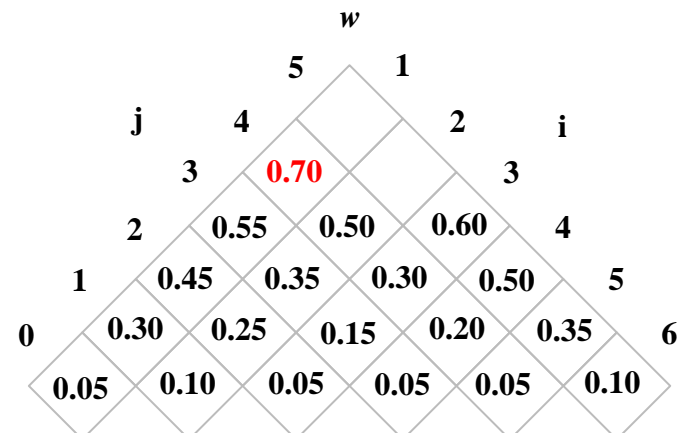
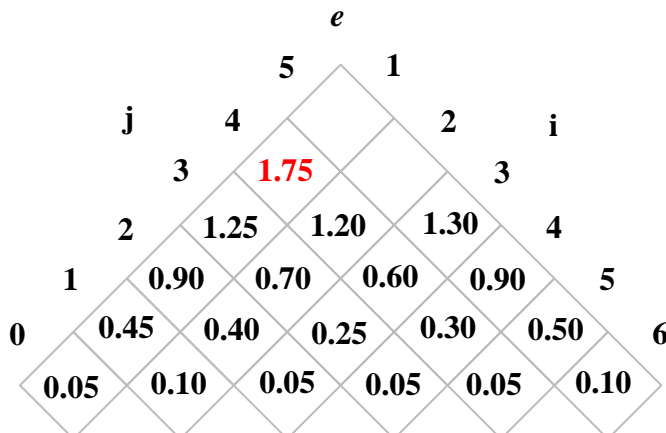
# An Example of Optimal Binary Search Tree

$i$	0	1	2	3	4	5
$p_i$		0.15	0.10	0.05	0.10	0.20
$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

## Step 4: Computing $e[i, i+3]$ , $w[i, i+3]$

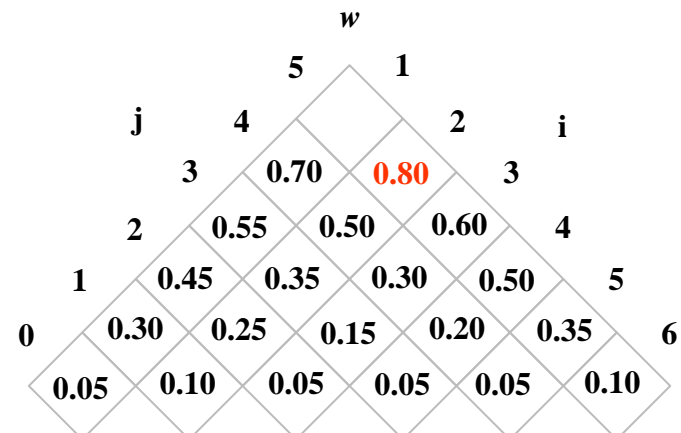
$$\begin{aligned}
 e[1,4] &= \min_{1 \leq r \leq 4} (e[i, r-1] + e[r+1, j] + w[i, j]) \\
 &= \min \begin{cases} e[1,0] + e[2,4] + w[1,4], e[1,1] + e[3,4] + w[1,4] \\ e[1,2] + e[4,4] + w[1,4], e[1,4] + e[5,4] + w[1,4] \end{cases} \\
 &= \min \begin{cases} 0.05 + 1.20 + 0.70, \mathbf{0.45 + 0.60 + 0.70} \\ 0.90 + 0.30 + 0.70, 1.75 + 0.05 + 0.70 \end{cases} \\
 &= \mathbf{1.75}
 \end{aligned}$$

$$\begin{aligned}
 w[1,4] &= w[i, j-1] + p_j + q_j \\
 &= w[1,3] + p_4 + q_4 \\
 &= 0.55 + 0.10 + 0.05 = \mathbf{0.70}
 \end{aligned}$$



### Step 4: Computing $e[i, i+3]$ , $w[i, i+3]$

$$\begin{aligned} w[2,5] &= w[i, j-1] + p_j + q_j \\ &= w[2,4] + p_5 + q_5 \\ [2,5] &= 0.50 + 0.20 + 0.10 = \mathbf{0.80} \end{aligned}$$



# An Example of Optimal Binary Search Tree

$i$	0	1	2	3	4	5
$p_i$		0.15	0.10	0.05	0.10	0.20
$q_i$	0.05	0.10	0.05	0.05	0.05	0.10

## Step 5: Computing $e[i, i+4], w[i, i+4]$

$$e[1,5] = \min_{1 \leq r \leq 5} (e[i, r-1] + e[r+1, j] + w[i, j])$$

$$= \min \begin{cases} e[1,0] + e[2,5] + w[1,5], e[1,1] + e[3,5] + w[1,5] \\ e[1,2] + e[4,5] + w[1,5], e[1,3] + e[5,5] + w[1,5] \\ e[1,4] + e[6,5] + w[1,5] \end{cases}$$

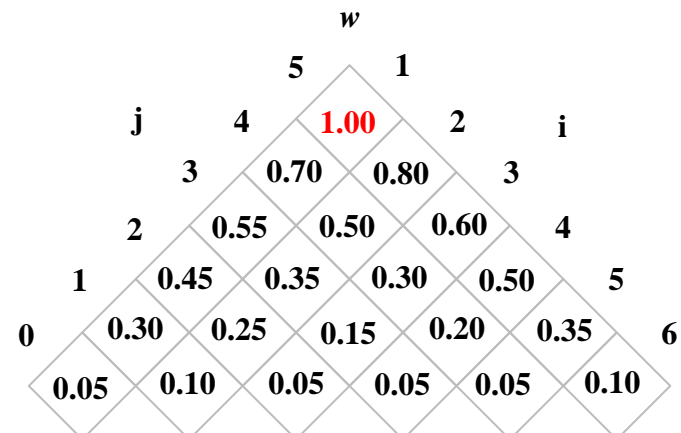
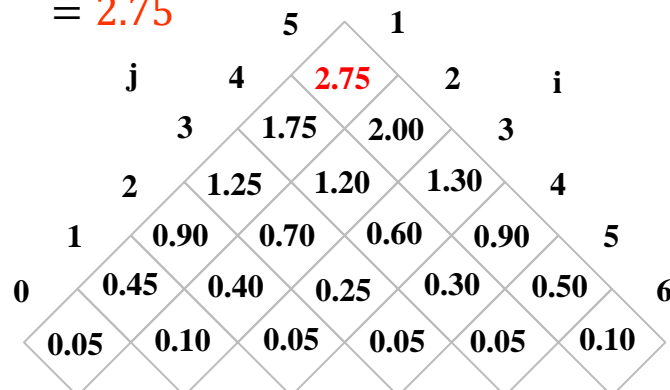
$$= \min \begin{cases} 0.05 + 2.00 + 1.00, \mathbf{0.45 + 1.30 + 1.00} \\ 0.90 + 0.90 + 1.00, 1.25 + 0.50 + 1.00 \\ e \quad 1.75 + 0.10 + 1.00 \end{cases}$$

$$= \mathbf{2.75}$$

$$w[1,5] = w[i, j-1] + p_j + q_j$$

$$= w[1,4] + p_5 + q_5$$

$$= 0.70 + 0.20 + 0.10 = \mathbf{1.00}$$



# A DP Algorithm for Optimal BST Problem

---

**Algorithm 1:** OPTIMAL-BST( $p, q, n$ )

---

1 let  $e[1..n+1, 0..n]$ ,  $w[1..n+1, 0..n]$  and  $root[1..n, 1..n]$  be new tables;

# A DP Algorithm for Optimal BST Problem

---

**Algorithm 1:** OPTIMAL-BST( $p, q, n$ )

---

```
1 let  $e[1..n+1, 0..n]$ ,  $w[1..n+1, 0..n]$  and  $root[1..n, 1..n]$  be new tables;  
2 for  $i=1$  to  $n+1$  do  
3   |  $e[i, i-1] = q_{i-1}$ ;  
4   |  $w[i, i-1] = q_{i-1}$ ;  
5 end
```

# A DP Algorithm for Optimal BST Problem

---

**Algorithm 1:** OPTIMAL-BST( $p, q, n$ )

---

```
1 let  $e[1..n+1, 0..n]$ ,  $w[1..n+1, 0..n]$  and  $root[1..n, 1..n]$  be new tables;  
2 for  $i=1$  to  $n+1$  do  
3   |  $e[i, i-1] = q_{i-1}$ ;  
4   |  $w[i, i-1] = q_{i-1}$ ;  
5 end  
6 for  $l=1$  to  $n$  do
```

# A DP Algorithm for Optimal BST Problem

---

## Algorithm 1: OPTIMAL-BST( $p, q, n$ )

---

```

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4      |    $w[i, i-1] = q_{i-1}$ ;
5  end
6  for  $l=1$  to  $n$  do
7      |   for  $i=1$  to  $n-l+1$  do
8          |        $j = i + l - 1$ ;
9          |        $e[i, j] = \infty$ ;
10         |        $w[i, j] = w[i, j-1] + p_j + q_j$ ;

```

# A DP Algorithm for Optimal BST Problem

---

## Algorithm 1: OPTIMAL-BST( $p, q, n$ )

---

```

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8          |        $j = i + l - 1$ ;
9          |        $e[i, j] = \infty$ ;
10         |        $w[i, j] = w[i, j-1] + p_j + q_j$ ;
11         |       for  $r=i$  to  $j$  do
12             |            $t = e[i, r-1] + e[r+1, j] + w[i, j]$ ;

```



# A DP Algorithm for Optimal BST Problem

---

## Algorithm 1: OPTIMAL-BST( $p, q, n$ )

---

```

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10         |        $w[i, j] = w[i, j-1] + p_j + q_j$ ;
11         |       for  $r=i$  to  $j$  do
12             |            $t = e[i, r-1] + e[r+1, j] + w[i, j]$ ;
13             |           if  $t < e[i, j]$  then
14                 |                $e[i, j] = t$ ;
15                 |                $root[i, j] = r$ ;
16             |           end

```

# A DP Algorithm for Optimal BST Problem

---

## Algorithm 1: OPTIMAL-BST( $p, q, n$ )

---

```

1  let  $e[1..n+1, 0..n]$ ,  $w[1..n+1, 0..n]$  and  $root[1..n, 1..n]$  be new tables;
2  for  $i=1$  to  $n+1$  do
3      |    $e[i, i-1] = q_{i-1}$ ;
4      |    $w[i, i-1] = q_{i-1}$ ;
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12             |            $t = e[i, r-1] + e[r+1, j] + w[i, j]$ ;
13             |           if  $t < e[i, j]$  then
14                 |                $e[i, j] = t$ ;
15                 |                $root[i, j] = r$ ;
16             |           end
17         |       end
18     |   end
19 end

```

# A DP Algorithm for Optimal BST Problem

---

## Algorithm 1: OPTIMAL-BST( $p, q, n$ )

---

```

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5  end
6  for  $l=1$  to  $n$  do
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13             |           if  $t < e[i, j]$  then
14                 |                $e[i, j] = t$ ;
15                 |                $root[i, j] = r$ ;
16             |           end
17         |       end
18     |   end
19 end
20 return  $e$  and  $root$ ;

```

# A DP Algorithm for Optimal BST Problem

---

## Algorithm 1: OPTIMAL-BST( $p, q, n$ )

---

```

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14                 |                $e[i, j] = t$ ;
15                 |                $root[i, j] = r$ ;
16             |           end
17         |       end
18     |   end
19 end
20 return  $e$  and  $root$ ;
```

**Complexity:** The loops are nested three levels deep. Each loop index takes on  $\leq n$  values. Hence the **time complexity** is  $O(n^3)$ . **Space complexity** is  $\Theta(n^2)$ .

