CSCI 3104 Fall 2022
Instructors: Prof. Grochow and Nagesh

Problem Set 7

Due Date	October 24, 2022
Name	**Your Name**
Student ID	**Your Student ID**
Collaborators	**List Your Collaborators Here**

Contents

Instructions

- The solutions **must be typed**, using proper mathematical notation. We cannot accept hand-written solutions. Useful links and references on LaTeXcan be found here on Canvas.
- You should submit your work through the **class Canvas page** only. Please submit one PDF file, compiled using this LaTeX template.
- You may not need a full page for your solutions; pagebreaks are there to help Gradescope automatically find where each problem is. Even if you do not attempt every problem, please submit this document with no fewer pages than the blank template (or Gradescope has issues with it).
- You are welcome and encouraged to collaborate with your classmates, as well as consult outside resources. You must **cite your sources in this document. Copying from any source is an Honor Code violation. Furthermore, all submissions must be in your own words and reflect your understanding of the material.** If there is any confusion about this policy, it is your responsibility to clarify before the due date.
- Posting to **any** service including, but not limited to Chegg, Reddit, StackExchange, etc., for help on an assignment is a violation of the Honor Code.

- You **must** virtually sign the Honor Code (see Section Honor Code). Failure to do so will result in your assignment not being graded.

Honor Code (Make Sure to Virtually Sign the Honor Pledge)

Problem HC. On my honor, my submission reflects the following:

- My submission is in my own words and reflects my understanding of the material.
- Any collaborations and external sources have been clearly cited in this document.
- I have not posted to external services including, but not limited to Chegg, Reddit, StackExchange, etc.
- I have neither copied nor provided others solutions they can copy.

In the specified region below, clearly indicate that you have upheld the Honor Code. Then type your name.

Honor Pledge. □

19 Standard 19 - Solving Recurrences: Tree Method

Problem 19. Consider the recurrence $T(n)$ below. Using the **tree method**, determine a suitable function $f(n)$ such that $T(n) \in \Theta(f(n))$. Clearly show all steps. Note the following:

- You may assume, without loss of generality, that n is a power of 3 (i.e., $n = 3^k$ for some integer $k \geq 0$).
- You may hand-draw your tree and embed it, provided it is legible and we do not have to rotate our screens to read it. However, **all your calculations must be typed**.

$$T(n) = \begin{cases} 1, & n < 3 \\ 9T(n/3) + n^2, & \text{otherwise.} \end{cases}$$

Answer. □

7 Quicksort

The quicksort algorithm has a worst-case running time of $\Theta(n^2)$ on an input array of n numbers. Despite this slow worst-case running time, quicksort is often the best practical choice for sorting because it is remarkably efficient on the average: its expected running time is $\Theta(n \lg n)$, and the constant factors hidden in the $\Theta(n \lg n)$ notation are quite small. It also has the advantage of sorting in place (see page 17), and it works well even in virtual-memory environments.

Section 7.1 describes the algorithm and an important subroutine used by quicksort for partitioning. Because the behavior of quicksort is complex, we start with an intuitive discussion of its performance in Section 7.2 and postpone its precise analysis to the end of the chapter. Section 7.3 presents a version of quicksort that uses random sampling. This algorithm has a good expected running time, and no particular input elicits its worst-case behavior. Section 7.4 analyzes the randomized algorithm, showing that it runs in $\Theta(n^2)$ time in the worst case and, assuming distinct elements, in expected $O(n \lg n)$ time.

7.1 Description of quicksort

Quicksort, like merge sort, applies the divide-and-conquer paradigm introduced in Section 2.3.1. Here is the three-step divide-and-conquer process for sorting a typical subarray $A[p \mathinner{.\,.} r]$:

Divide: Partition (rearrange) the array $A[p \mathinner{.\,.} r]$ into two (possibly empty) subarrays $A[p \mathinner{.\,.} q-1]$ and $A[q+1 \mathinner{.\,.} r]$ such that each element of $A[p \mathinner{.\,.} q-1]$ is less than or equal to $A[q]$, which is, in turn, less than or equal to each element of $A[q+1 \mathinner{.\,.} r]$. Compute the index q as part of this partitioning procedure.

Conquer: Sort the two subarrays $A[p \mathinner{.\,.} q-1]$ and $A[q+1 \mathinner{.\,.} r]$ by recursive calls to quicksort.

Combine: Because the subarrays are already sorted, no work is needed to combine them: the entire array $A[p \mathinner{.\,.} r]$ is now sorted.

The following procedure implements quicksort:

```
QUICKSORT($A, p, r$)
1  if $p < r$
2      $q = $ PARTITION($A, p, r$)
3      QUICKSORT($A, p, q - 1$)
4      QUICKSORT($A, q + 1, r$)
```

To sort an entire array A, the initial call is QUICKSORT(A, 1, $A.length$).

Partitioning the array

The key to the algorithm is the PARTITION procedure, which rearranges the subarray $A[p \mathinner{.\,.} r]$ in place.

```
PARTITION($A, p, r$)
1  $x = A[r]$
2  $i = p - 1$
3  for $j = p$ to $r - 1$
4      if $A[j] \le x$
5          $i = i + 1$
6          exchange $A[i]$ with $A[j]$
7  exchange $A[i + 1]$ with $A[r]$
8  return $i + 1$
```

Figure 7.1 shows how PARTITION works on an 8-element array. PARTITION always selects an element $x = A[r]$ as a ***pivot*** element around which to partition the subarray $A[p \mathinner{.\,.} r]$. As the procedure runs, it partitions the array into four (possibly empty) regions. At the start of each iteration of the **for** loop in lines 3–6, the regions satisfy certain properties, shown in Figure 7.2. We state these properties as a loop invariant:

> At the beginning of each iteration of the loop of lines 3–6, for any array index k,
>
> 1. If $p \le k \le i$, then $A[k] \le x$.
> 2. If $i + 1 \le k \le j - 1$, then $A[k] > x$.
> 3. If $k = r$, then $A[k] = x$.

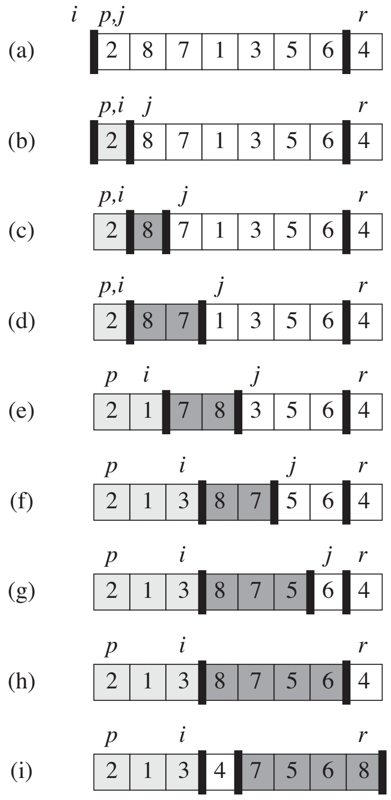


Figure 7.1 The operation of PARTITION on a sample array. Array entry $A[r]$ becomes the pivot element x. Lightly shaded array elements are all in the first partition with values no greater than x. Heavily shaded elements are in the second partition with values greater than x. The unshaded elements have not yet been put in one of the first two partitions, and the final white element is the pivot x. **(a)** The initial array and variable settings. None of the elements have been placed in either of the first two partitions. **(b)** The value 2 is "swapped with itself" and put in the partition of smaller values. **(c)–(d)** The values 8 and 7 are added to the partition of larger values. **(e)** The values 1 and 8 are swapped, and the smaller partition grows. **(f)** The values 3 and 7 are swapped, and the smaller partition grows. **(g)–(h)** The larger partition grows to include 5 and 6, and the loop terminates. **(i)** In lines 7–8, the pivot element is swapped so that it lies between the two partitions.

The indices between j and $r - 1$ are not covered by any of the three cases, and the values in these entries have no particular relationship to the pivot x.

We need to show that this loop invariant is true prior to the first iteration, that each iteration of the loop maintains the invariant, and that the invariant provides a useful property to show correctness when the loop terminates.

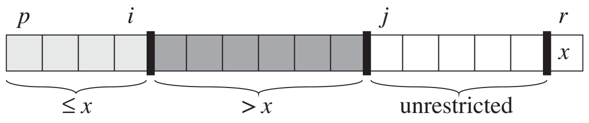


Figure 7.2 The four regions maintained by the procedure PARTITION on a subarray $A[p \mathinner{.\,.} r]$. The values in $A[p \mathinner{.\,.} i]$ are all less than or equal to x, the values in $A[i+1 \mathinner{.\,.} j-1]$ are all greater than x, and $A[r] = x$. The subarray $A[j \mathinner{.\,.} r-1]$ can take on any values.

Initialization: Prior to the first iteration of the loop, $i = p - 1$ and $j = p$. Because no values lie between p and i and no values lie between $i + 1$ and $j - 1$, the first two conditions of the loop invariant are trivially satisfied. The assignment in line 1 satisfies the third condition.

Maintenance: As Figure 7.3 shows, we consider two cases, depending on the outcome of the test in line 4. Figure 7.3(a) shows what happens when $A[j] > x$; the only action in the loop is to increment j. After j is incremented, condition 2 holds for $A[j-1]$ and all other entries remain unchanged. Figure 7.3(b) shows what happens when $A[j] \le x$; the loop increments i, swaps $A[i]$ and $A[j]$, and then increments j. Because of the swap, we now have that $A[i] \le x$, and condition 1 is satisfied. Similarly, we also have that $A[j-1] > x$, since the item that was swapped into $A[j-1]$ is, by the loop invariant, greater than x.

Termination: At termination, $j = r$. Therefore, every entry in the array is in one of the three sets described by the invariant, and we have partitioned the values in the array into three sets: those less than or equal to x, those greater than x, and a singleton set containing x.

The final two lines of PARTITION finish up by swapping the pivot element with the leftmost element greater than x, thereby moving the pivot into its correct place in the partitioned array, and then returning the pivot's new index. The output of PARTITION now satisfies the specifications given for the divide step. In fact, it satisfies a slightly stronger condition: after line 2 of QUICKSORT, $A[q]$ is strictly less than every element of $A[q+1 \mathinner{.\,.} r]$.

The running time of PARTITION on the subarray $A[p \mathinner{.\,.} r]$ is $\Theta(n)$, where $n = r - p + 1$ (see Exercise 7.1-3).

Exercises

7.1-1

Using Figure 7.1 as a model, illustrate the operation of PARTITION on the array $A = \langle 13, 19, 9, 5, 12, 8, 7, 4, 21, 2, 6, 11 \rangle$.

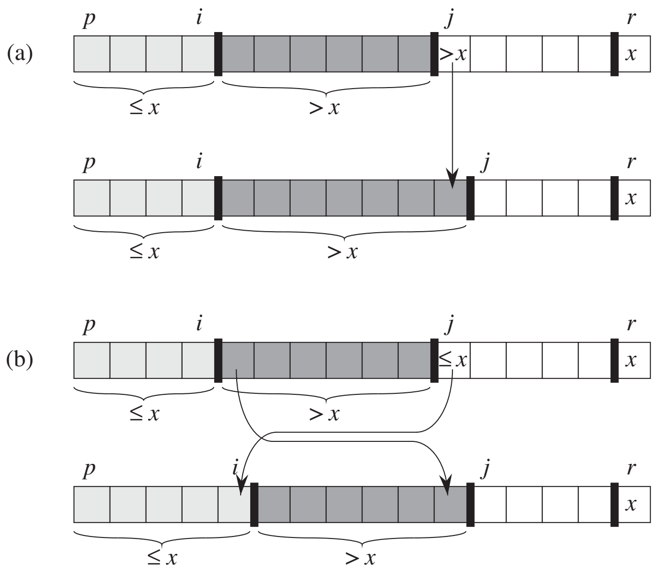


Figure 7.3 The two cases for one iteration of procedure PARTITION. **(a)** If $A[j] > x$, the only action is to increment j, which maintains the loop invariant. **(b)** If $A[j] \leq x$, index i is incremented, $A[i]$ and $A[j]$ are swapped, and then j is incremented. Again, the loop invariant is maintained.

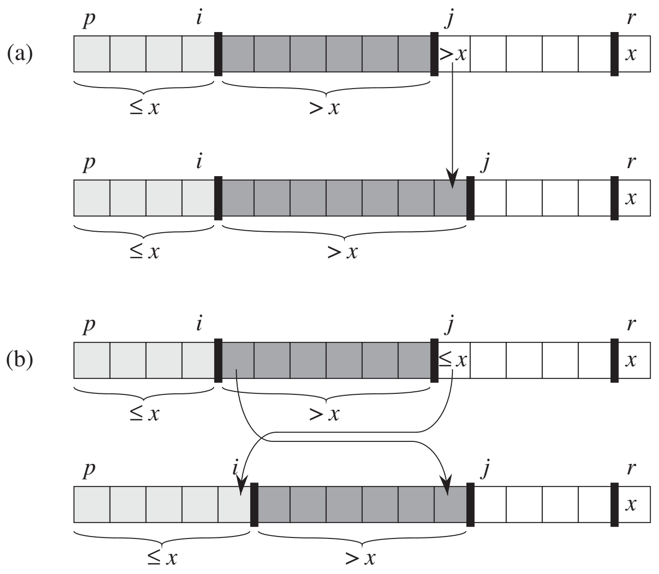
7.1-2
What value of q does PARTITION return when all elements in the array $A[p \, .. \, r]$ have the same value? Modify PARTITION so that $q = \lfloor (p + r)/2 \rfloor$ when all elements in the array $A[p \, .. \, r]$ have the same value.

7.1-3
Give a brief argument that the running time of PARTITION on a subarray of size n is $\Theta(n)$.

7.1-4
How would you modify QUICKSORT to sort into nonincreasing order?

7.2 Performance of quicksort

The running time of quicksort depends on whether the partitioning is balanced or unbalanced, which in turn depends on which elements are used for partitioning. If the partitioning is balanced, the algorithm runs asymptotically as fast as merge



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What value of q does PARTITION return when all elements in the array $A[p \mathinner{.\,.} r]$ have the same value? Modify PARTITION so that $q = \lfloor (p + r)/2 \rfloor$ when all elements in the array $A[p \mathinner{.\,.} r]$ have the same value.

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Give a brief argument that the running time of PARTITION on a subarray of size n is $\Theta(n)$.

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How would you modify QUICKSORT to sort into nonincreasing order?

7.2 Performance of quicksort

The running time of quicksort depends on whether the partitioning is balanced or unbalanced, which in turn depends on which elements are used for partitioning. If the partitioning is balanced, the algorithm runs asymptotically as fast as merge sort. If the partitioning is unbalanced, however, it can run asymptotically as slowly as insertion sort. In this section, we shall informally investigate how quicksort performs under the assumptions of balanced versus unbalanced partitioning.

Worst-case partitioning

The worst-case behavior for quicksort occurs when the partitioning routine produces one subproblem with $n-1$ elements and one with 0 elements. (We prove this claim in Section 7.4.1.) Let us assume that this unbalanced partitioning arises in each recursive call. The partitioning costs $\Theta(n)$ time. Since the recursive call on an array of size 0 just returns, $T(0) = \Theta(1)$, and the recurrence for the running time is

$$\begin{aligned} T(n) &= T(n-1) + T(0) + \Theta(n) \\ &= T(n-1) + \Theta(n) . \end{aligned}$$

Intuitively, if we sum the costs incurred at each level of the recursion, we get an arithmetic series (equation (A.2)), which evaluates to $\Theta(n^2)$. Indeed, it is straightforward to use the substitution method to prove that the recurrence $T(n) = T(n-1) + \Theta(n)$ has the solution $T(n) = \Theta(n^2)$. (See Exercise 7.2-1.)

Thus, if the partitioning is maximally unbalanced at every recursive level of the algorithm, the running time is $\Theta(n^2)$. Therefore the worst-case running time of quicksort is no better than that of insertion sort. Moreover, the $\Theta(n^2)$ running time occurs when the input array is already completely sorted—a common situation in which insertion sort runs in $O(n)$ time.

Best-case partitioning

In the most even possible split, PARTITION produces two subproblems, each of size no more than $n/2$, since one is of size $\lfloor n/2 \rfloor$ and one of size $\lceil n/2 \rceil - 1$. In this case, quicksort runs much faster. The recurrence for the running time is then

$$T(n) = 2T(n/2) + \Theta(n) ,$$

where we tolerate the sloppiness from ignoring the floor and ceiling and from subtracting 1. By case 2 of the master theorem (Theorem 4.1), this recurrence has the solution $T(n) = \Theta(n \lg n)$. By equally balancing the two sides of the partition at every level of the recursion, we get an asymptotically faster algorithm.

Balanced partitioning

The average-case running time of quicksort is much closer to the best case than to the worst case, as the analyses in Section 7.4 will show. The key to understand-

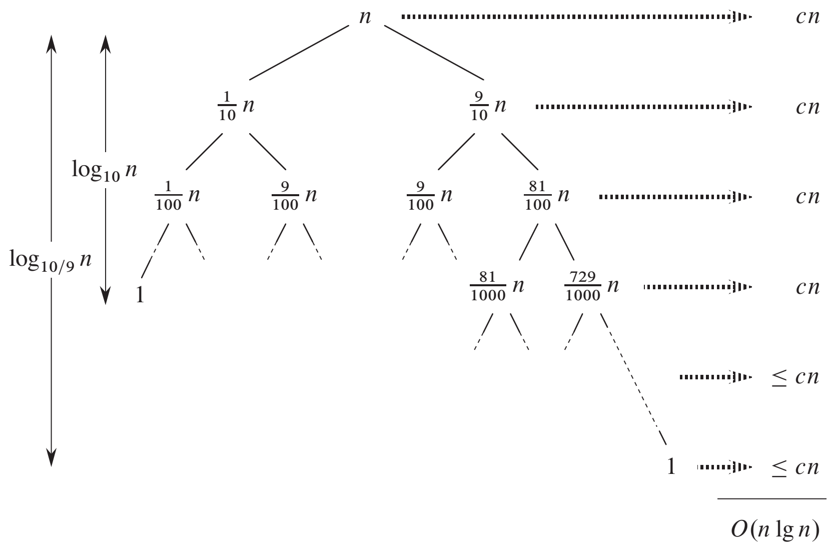

Figure 7.4 A recursion tree for QUICKSORT in which PARTITION always produces a 9-to-1 split, yielding a running time of $O(n \lg n)$. Nodes show subproblem sizes, with per-level costs on the right. The per-level costs include the constant c implicit in the $\Theta(n)$ term.

ing why is to understand how the balance of the partitioning is reflected in the recurrence that describes the running time.

Suppose, for example, that the partitioning algorithm always produces a 9-to-1 proportional split, which at first blush seems quite unbalanced. We then obtain the recurrence

$$T(n) = T(9n/10) + T(n/10) + cn ,$$

on the running time of quicksort, where we have explicitly included the constant c hidden in the $\Theta(n)$ term. Figure 7.4 shows the recursion tree for this recurrence. Notice that every level of the tree has cost cn, until the recursion reaches a boundary condition at depth $\log_{10} n = \Theta(\lg n)$, and then the levels have cost at most cn. The recursion terminates at depth $\log_{10/9} n = \Theta(\lg n)$. The total cost of quicksort is therefore $O(n \lg n)$. Thus, with a 9-to-1 proportional split at every level of recursion, which intuitively seems quite unbalanced, quicksort runs in $O(n \lg n)$ time—asymptotically the same as if the split were right down the middle. Indeed, even a 99-to-1 split yields an $O(n \lg n)$ running time. In fact, any split of *constant* proportionality yields a recursion tree of depth $\Theta(\lg n)$, where the cost at each level is $O(n)$. The running time is therefore $O(n \lg n)$ whenever the split has constant proportionality.

20 Standard 20 - QuickSort

20(a). Part (a)

Problem 20. (a) Write down a recurrence relation that models the **best case** running time of Quicksort, i.e. the case where PARTITION selects the **median** element at each iteration. What is the best-case running time of QuickSort? Be sure to write **both the recurrence relation and the runtime.**

Answer.

$$T(n) = \begin{cases} \text{Your answer} & : n \leq ?, \\ \text{Your answer} & : n > ?. \end{cases}$$

The best-case running time of QuickSort is.... ☐

20(b). Part (b)

(b) Write down a recurrence relation that models the **worst case** running time of Quicksort, i.e. the case where Partition selects the **last** element at each iteration. What is the worst-case running time of QuickSort? Be sure to write **both the recurrence relation and the runtime.**

Answer.

$$T(n) = \begin{cases} \text{Your answer} & : n \leq ?, \\ \text{Your answer} & : n > ?. \end{cases}$$

The worst-case running time of QuickSort is.... □

20(c). Part (c) (Also credit towards S17 or S19)

(c) Suppose that we modify PARTITION so that it chooses the median element as the pivot in calls that occur in nodes of the recursion tree of a call to QUICKSORT whose depth in the recursion tree is divisible by 3, and it chooses the maximum element as the pivot in calls that occur in nodes **all** other depth of this recursion tree.

Assume that the running time of this modified PARTITION is still $\Theta(n)$ on any subarray of length n. You may assume that the root of a recursion tree starts at level 0 (which is divisible by 3), its children are at level 1, etc. For example, the modified PARTITION chooses the median element at the root of the recursion tree, in the next two layers of the recursion tree it chooses the max, and in level 3 of the recursion tree it chooses the median again, and so on.

Your job is to write down a recurrence relation for the running time of this version of QUICKSORT given an array n distinct elements and solve it asymptotically, i.e. give your answer as $\Theta(f(n))$ for some function $f(n)$. Show your work.

(If you solve your recurrence using unrolling, you can get credit towards S17. If you solve your recurrence using the tree method you can get credit towards S19. In either case, this problem also counts towards credit for S20.)

Answer. □

2.2 Problem 3

Problem 3. Suppose that we modify PARTITION(A, s, e) so that it chooses the median element of $A[s..e]$ in calls that occur in nodes of even depth of the recursion tree of a call QUICKSORT$(A[1, \ldots, n], 1, n)$, and it chooses the minimum element of $A[s..e]$ in calls that occur in nodes of odd depth of this recursion tree.

Assume that the running time of this modified PARTITION is still $\Theta(n)$ on any subarray of length n. You may assume that the root of a recursion tree starts at level 0 (which is an even number), its children are at level 1, etc.

Write down a recurrence relation for the running time of this version of QUICKSORT given an array n distinct elements and solve it asymptotically, i.e. give your answer as $\Theta(f(n))$ for some function $f(n)$. Show your work.