# Lecture 4

Median and Selection

### Announcements!

• HW1 due tomorrow! **(** 



# Last Time: Solving Recurrence Relations

- A recurrence relation expresses T(n) in terms of T(less than n)
- For example,  $T(n) = 2 \cdot T\left(\frac{n}{2}\right) + 11 \cdot n$
- Two methods of solution:
  - 1. Master Theorem (aka, generalized "tree method")
  - 2. Substitution method (aka, guess and check)

### The Master Theorem

- Suppose  $a \ge 1, b > 1$ , and d are constants (that don't depend on n).
- Suppose  $T(n) = a \cdot T\left(\frac{n}{b}\right) + O(n^d)$ . Then

$$T(n) = \begin{cases} O(n^d \log(n)) & \text{if } a = b^d \\ O(n^d) & \text{if } a < b^d \\ O(n^{\log_b(a)}) & \text{if } a > b^d \end{cases}$$

#### Three parameters:

a: number of subproblems

b: factor by which input size shrinks

d: need to do nd work to create all the subproblems and combine their solutions.

A powerful theorem it is...



#### The Substitution Method

- Step 1: Guess what the answer is.
- Step 2: Prove by induction that your guess is correct.
- Step 3: Profit.

### The plan for today

- More practice with the Substitution Method.
- 2. k-SELECT problem
- 3. k-SELECT solution
- 4. Return of the Substitution Method.

### A fun recurrence relation

- $T(n) \le T\left(\frac{n}{5}\right) + T\left(\frac{7n}{10}\right) + n \text{ for } n > 10.$
- Base case: T(n) = 1 when  $1 \le n \le 10$

Apply here, the Master Theorem does NOT.



Jedi master Yoda

#### The Substitution Method

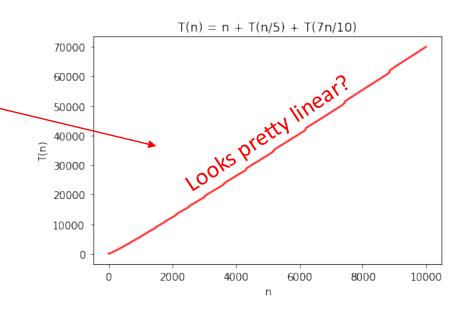
- Step 1: Guess what the answer is.
- Step 2: Prove by induction that your guess is correct.
- Step 3: Profit.

### Step 1: guess the answer

$$T(n) \le T\left(\frac{n}{5}\right) + T\left(\frac{7n}{10}\right) + n \text{ for } n > 10.$$
  
Base case:  $T(n) = 1 \text{ when } 1 \le n \le 10$ 

 Trying to work backwards gets gross fast...

- We can also just try it out.
  - (see IPython Notebook)
- Let's guess O(n) and try to prove it.



### Aside: Warning!

- It may be tempting to try to prove this with the inductive hypothesis "T(n) = O(n)"
- But that doesn't make sense!
- Formally, that's the same as saying:
  - Inductive Hypothesis for n:

The IH is supposed to hold for a specific n.

• There is some  $n_0 > 0$  and some C > 0 so that, for all  $n \ge n_0$ ,  $\mathcal{D}(n) \le C \cdot n$ .

But now we are letting n be anything big enough!

• Instead, we should pick C,  $n_0$  first...

# Step 2: prove our guess is right

$$T(n) \le T\left(\frac{n}{5}\right) + T\left(\frac{7n}{10}\right) + n \text{ for } n > 10.$$
  
Base case:  $T(n) = 1 \text{ when } 1 \le n \le 10$ 

- Inductive Hypothesis:  $T(n) \leq Cn$
- Base case:  $1 = T(n) \le Cn$  for all  $1 \le n \le 10$

what C should be yet! Let's go through the proof leaving it as "C" and then figure out what works...

- Inductive step:
  - Let k > 10. Assume that the IH holds for all n so that  $1 \le n < k$ .

• 
$$T(k) \le k + T\left(\frac{k}{5}\right) + T\left(\frac{7k}{10}\right)$$
  
 $\le k + C \cdot \left(\frac{k}{5}\right) + C \cdot \left(\frac{7k}{10}\right)$   
 $= k + \frac{C}{5}k + \frac{7C}{10}k$   
 $\le Ck$ ??

Nhatever we choose C to be, it should have C≥1

Let's solve for C and make this true! C = 10 works.

(on board)

- (aka, want to show that IH holds for n=k).
- Conclusion:
  - There is some C (=10) so that for all  $n \ge 1$ ,  $T(n) \le Cn$
  - By the definition of big-Oh, T(n) = O(n).

# Step 3: Profit

 $T(n) \le n + T\left(\frac{n}{5}\right) + T\left(\frac{7n}{10}\right)$  for n > 10. Base case: T(n) = 1 when  $1 \le n \le 10$ 

(Aka, pretend we knew this all along).

### Theorem: T(n) = O(n)Proof:

- Inductive Hypothesis:  $T(n) \leq 10n$ .
- Base case:  $1 = T(n) \le 10n$  for all  $1 \le n \le 10$
- Inductive step:
  - Let k > 10. Assume that the IH holds for all n so that  $1 \le n < k$ .

• 
$$T(k) \le k + T\left(\frac{k}{5}\right) + T\left(\frac{7k}{10}\right)$$
  
 $\le k + \mathbf{10} \cdot \left(\frac{k}{5}\right) + \mathbf{10} \cdot \left(\frac{7k}{10}\right)$   
 $= k + 2k + 7k = \mathbf{10}k$ 

- Thus IH holds for n=k.
- Conclusion:
  - For all  $n \ge 1$ ,  $T(n) \le 10n$
  - Then, T(n) = O(n), using the definition of big-Oh with  $n_0 = 1$ , c = 10.

#### What have we learned?

- The substitution method can work when the master theorem doesn't.
  - For example with different-sized sub-problems.
- Step 1: generate a guess
  - Throw the kitchen sink at it.
- Step 2: try to prove that your guess is correct
  - You may have to leave some constants unspecified till the end – then see what they need to be for the proof to work!!
- Step 3: profit
  - Pretend you didn't do Steps 1 and 2 and write down a nice proof.

#### The Plan

- 1. More practice with the Substitution Method.
- 2. k-SELECT problem
- 3. k-SELECT solution
- 4. Return of the Substitution Method.

### The k-SELECT problem

from your pre-lecture exercise

For today, assume all arrays have distinct elements.

A is an array of size n, k is in {1,...,n}

- **SELECT**(A, k):
  - Return the k'th smallest element of A.

- SELECT(A, 1) = 1
- SELECT(A, 2) = 3
- SELECT(A, 3) = 4
- SELECT(A, 8) = 14

- SELECT(A, 1) = MIN(A)
- SELECT(A, n/2) = MEDIAN(A)
- SELECT(A, n) = MAX(A)

Being sloppy about floors and ceilings!



On your pre-lecture exercise...

# An O(nlog(n))-time algorithm

- SELECT(A, k):
  - A = MergeSort(A)
  - return A[k-1] ←

It's k-1 and not k since my pseudocode is 0-indexed and the problem is 1-indexed...

- Running time is O(n log(n)).
- So that's the benchmark....

#### Can we do better?

We're hoping to get O(n)

Show that you can't do better than O(n).



### Goal: An O(n)-time algorithm

- On your pre-lecture exercise: SELECT(A, 1).
  - (aka, MIN(A))
- MIN(A):
  - ret =  $\infty$ If A[i] < ret:
    <ul>
    ret = A[i]

    This loop runs O(n) times • **For** i=0, ..., n-1:
  - Return ret
- Time O(n). Yay!

Also on your pre-lecture exercise

### How about SELECT(A,2)?

- **SELECT2(A)**:
  - ret =  $\infty$
  - minSoFar =  $\infty$
  - **For** i=0, .., n-1:
    - If A[i] < ret and A[i] < minSoFar:
      - ret = minSoFar
      - minSoFar = A[i]
    - Else if A[i] < ret and A[i] >= minSoFar:
      - ret = A[i]
  - Return ret

(The actual algorithm here is not very important because this won't end up being a very good idea...)

Still O(n)
SO FAR SO GOOD.

### SELECT(A, n/2) aka MEDIAN(A)?

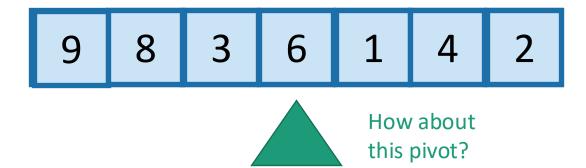
- MEDIAN(A):
  - ret =  $\infty$
  - minSoFar =  $\infty$
  - secondMinSoFar =  $\infty$
  - thirdMinSoFar =  $\infty$
  - fourthMinSoFar =  $\infty$
  - •
- This is not a good idea for large k (like n/2 or n).
- Basically this is just going to turn into something like INSERTIONSORT...and that has running time  $\Theta(n^2)$

#### The Plan

- 1. More practice with the Substitution Method.
- 2. k-SELECT problem
- 3. k-SELECT solution
- 4. Return of the Substitution Method.

### Idea: divide and conquer!

Say we want to find SELECT(A, k)



First, pick a "pivot."
We'll see how to do
this later.

Next, partition the array into "bigger than 6" or "less than 6"

This PARTITION step takes time O(n). (Notice that we don't sort each half).

L = array with things smaller than A[pivot] R = array with things larger than A[pivot]

### Idea: divide and conquer!

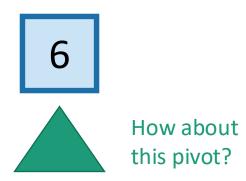
Say we want to find SELECT(A, k)

First, pick a "pivot." We'll see how to do this later.

Next, partition the array into "bigger than 6" or "less than 6"



L = array with things smaller than A[pivot]



This PARTITION step takes time O(n). (Notice that we don't sort each half).



R = array with things larger than A[pivot]

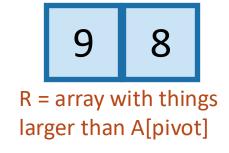
#### Idea continued...

Say we want to find SELECT(A, k)



L = array with things smaller than A[pivot]





- If k = 5 = len(L) + 1:
  - We should return A[pivot]
- If k < 5:
  - We should return SELECT(L, k)
- If k > 5:
  - We should return SELECT(R, k-5)

This suggests a recursive algorithm

(still need to figure out how to pick the pivot...)

#### Pseudocode

- getPivot (A) returns some pivot for us.
  - How?? We'll see later...
- **Partition** (A, p) splits up A into L, A[p], R.
  - See Lecture 4 IPython notebook for code

- Select(A,k):
  - If len(A) <= 50:
    - A = MergeSort(A)
    - Return A[k-1]
  - p = getPivot(A)
  - L, pivotVal, R = Partition(A,p)
  - **if** len(L) == k-1:
    - return pivotVal
  - **Else if** len(L) > k-1:
    - return Select(L, k)
  - **Else if** len(L) < k-1:
    - return Select(R, k len(L) 1)

Base Case: If the len(A) = O(1), then any sorting algorithm runs in time O(1).

**Case 1**: We got lucky and found exactly the k'th smallest value!

**Case 2**: The k'th smallest value is in the first part of the list

**Case 3**: The k'th smallest value is in the second part of the list



#### Does it work?

- Check out the IPython notebook for Lecture 4, which implements this with a bunch of different pivot-selection methods.
  - Seems to work!
- Check out the handout posted on the website for a rigorous proof that this works, with any pivotchoosing mechanism.
  - It provably works!
  - Also, this is a good example of proving that a recursive algorithm is correct.

### What is the running time?

Assuming we pick the pivot in time O(n)...

(go to board and think about it...)

```
Select(A,k):
If len(A) <= 50:</li>
A = MergeSort(A)
Return A[k-1]
p = getPivot(A)
L, pivotVal, R = Partition(A,p)
if len(L) == k-1:
return pivotVal
Else if len(L) > k-1:
return Select(L, k)
Else if len(L) < k-1:</li>
return Select(R, k - len(L) - 1)
```

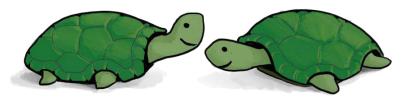
### What is the running time?

Assuming we pick the pivot in time O(n)...

• 
$$T(n) = \begin{cases} T(\operatorname{len}(\mathbf{L})) + O(n) & \operatorname{len}(\mathbf{L}) > k - 1 \\ T(\operatorname{len}(\mathbf{R})) + O(n) & \operatorname{len}(\mathbf{L}) < k - 1 \\ O(n) & \operatorname{len}(\mathbf{L}) = k - 1 \end{cases}$$

- What are len(L) and len(R)?
- That depends on how we pick the pivot...

What would be a "good" pivot? What would be a "bad" pivot?



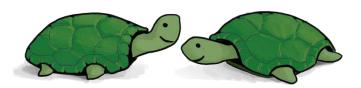
Think-Pair-Share Terrapins

### The ideal pivot



- We split the input exactly in half:
  - len(L) = len(R) = (n-1)/2

What would be the running time in that case? (If we could always choose that ideal pivot)



In case it's helpful...

• Suppose  $T(n) = a \cdot T\left(\frac{n}{b}\right) + O(n^d)$ . Then

$$T(n) = \begin{cases} O(n^d \log(n)) & \text{if } a = b^d \\ O(n^d) & \text{if } a < b^d \\ O(n^{\log_b(a)}) & \text{if } a > b^d \end{cases}$$

$$T(n) = \begin{cases} T(\operatorname{len}(\mathbf{L})) + O(n) & \operatorname{len}(\mathbf{L}) > k - 1 \\ T(\operatorname{len}(\mathbf{R})) + O(n) & \operatorname{len}(\mathbf{L}) < k - 1 \\ O(n) & \operatorname{len}(\mathbf{L}) = k - 1 \end{cases}$$

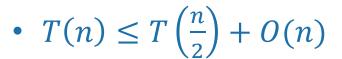
### The ideal pivot

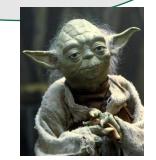


- We split the input exactly in half:
  - len(L) = len(R) = (n-1)/2

Apply here, the Master Theorem does NOT. Making unsubstantiated assumptions about problem sizes, we are.

 Let's pretend that's the case and use the **Master Theorem!** 





Jedi master Yoda

- So a = 1, b = 2, d = 1
- $T(n) \leq O(n^d) = O(n)$

• Suppose 
$$T(n) = a \cdot T\left(\frac{n}{h}\right) + O(n^d)$$
. Then

$$\leq O(n^d) = O(n)$$

$$T(n) = \begin{cases} O(n^d \log(n)) & \text{if } a = b^d \\ O(n^d) & \text{if } a < b^d \\ O(n^{\log_b(a)}) & \text{if } a > b^d \end{cases}$$

$$That would be great!$$

### The worst pivot

 The worst case is when we always recurse on almost the whole list...

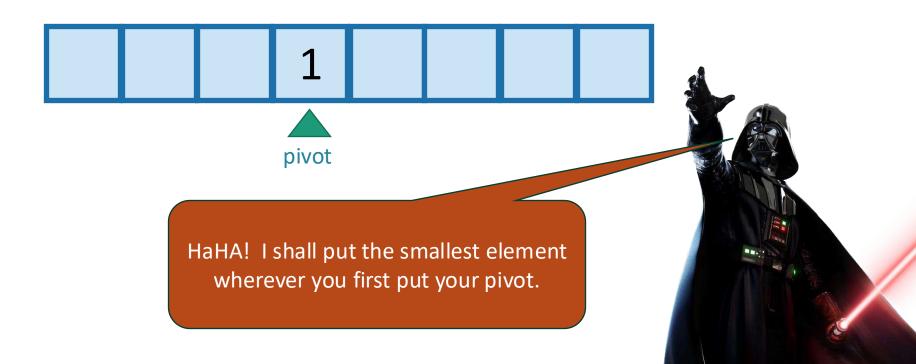
...how might that happen?

What is our recurrence relation in this worst case? What running time comes out of that?



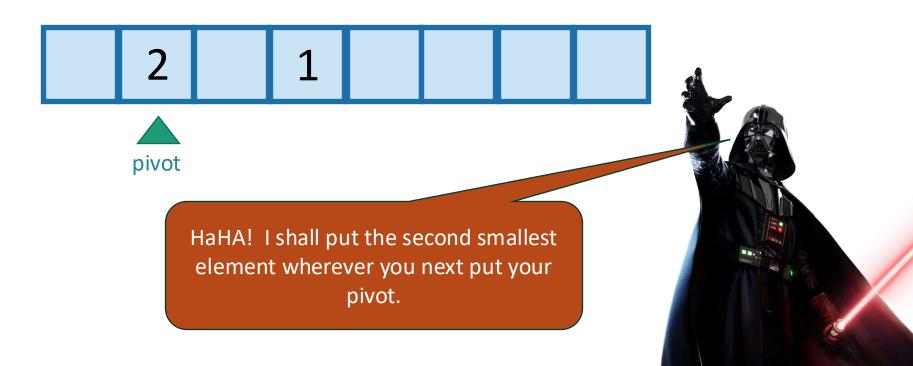
### In a worst-case analysis setting...

- Any version of getPivot that doesn't look at A
  is opening us up for a worst-case pivot.
- Suppose bad guy who knows what **getPivot** will do gets to come up with A.

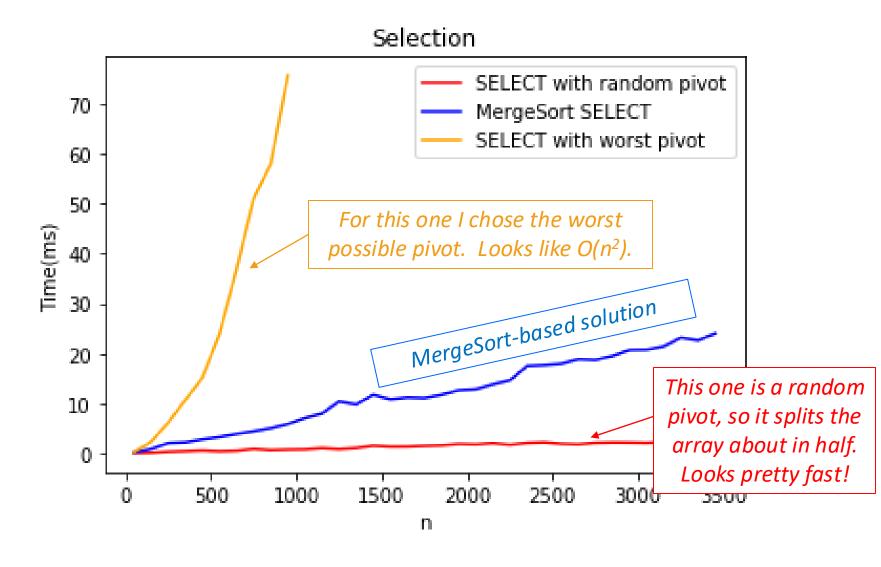


### In a worst-case analysis setting...

- Any version of getPivot that doesn't look at A
  is opening us up for a worst-case pivot.
- Suppose bad guy who knows what **getPivot** will do gets to come up with A.



### The distinction matters!



See Lecture 4 IPython notebook for code that generated this picture.

### How do we pick a good pivot?

#### Randomly?

- That works well if there's no bad guy.
- But if there is a bad guy who gets to see our pivot choices, a random pivot is just as bad as the worst-case pivot!
- In this class, we're doing worst-case analysis, so we won't be happy with a random pivot.

#### Aside:

- In practice, there is often no bad guy. In that case, just pick a random pivot and it works really well!
- (More on this next week)



### How do we pick a good pivot?

- For today, let's assume there's this bad guy.
- Reasons:
  - This gives us a very strong guarantee
  - We'll get to see a really clever algorithm.
    - It will have to look at A in order to choose the pivot!
  - We'll get to use the substitution method.



#### The Plan

- 1. More practice with the Substitution Method.
- 2. k-SELECT problem
- 3. k-SELECT solution
  - a) The outline of the algorithm.
  - b) How to pick the pivot.
- 4. Return of the Substitution Method.

## Approach

- First, we'll figure out what the ideal pivot would be.
  - But we won't be able to get it.
- Then, we'll figure out what a pretty good pivot would be.
  - But we still won't know how to get it.
- Finally, we will see how to get our pretty good pivot!
  - And then we will celebrate.

## How do we pick our ideal pivot?

• We'd like to live in the ideal world.



- Pick the pivot to divide the input in half.
- Aka, pick the median!
- Aka, pick SELECT(A, n/2)!



## How about a good enough pivot?

• We'd like to approximate the ideal world.



- Pick the pivot to divide the input about in half!
- Maybe this is easier!



## A good enough pivot

- We split the input not quite in half:
  - 3n/10 < len(L) < 7n/10
  - 3n/10 < len(R) < 7n/10

We still don't know that we can get such a pivot, but at least it gives us a goal and a direction to pursue!



Lucky the lackadaisical lemur

- If we could do that (let's say, in time O(n)), the Master Theorem would say:
- $T(n) \le T\left(\frac{7n}{10}\right) + O(n)$
- So a = 1, b = 10/7, d = 1
- $T(n) \le O(n^d) = O(n)$

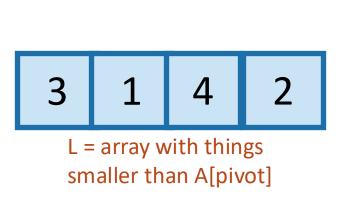
• Suppose 
$$T(n) = a \cdot T\left(\frac{n}{b}\right) + O(n^d)$$
. Then

$$T(n) = \begin{cases} O(n^d \log(n)) & \text{if } a = b^d \\ O(n^d) & \text{if } a < b^d \\ O(n^{\log_b(a)}) & \text{if } a > b^d \end{cases}$$

STILL GOOD!

#### Goal

Efficiently pick the pivot so that



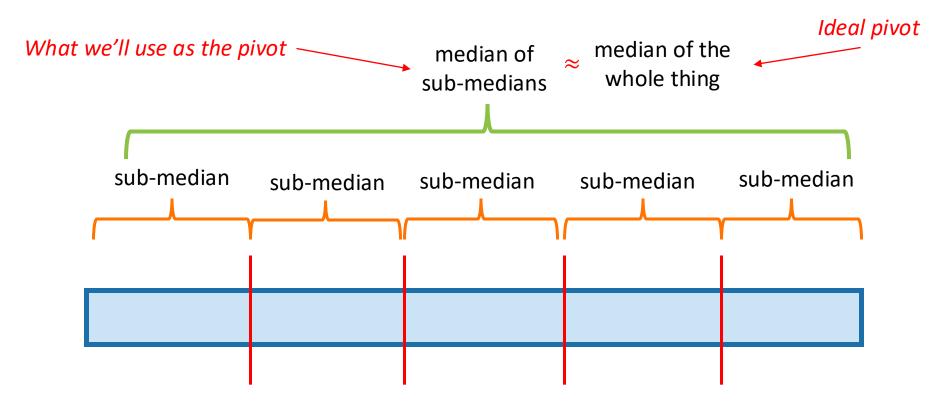
$$\frac{3n}{10} < \operatorname{len}(L) < \frac{7n}{10}$$



$$\frac{3n}{10} < \operatorname{len}(R) < \frac{7n}{10}$$

## Another divide-and-conquer alg!

- We can't solve SELECT(A,n/2) (yet)
- But we can divide and conquer and solve SELECT(B,m/2) for smaller values of m (where len(B) = m).
- Lemma\*: The median of sub-medians is close to the median.



<sup>\*</sup>we will make this a bit more precise.

### How to pick the pivot

- CHOOSEPIVOT(A):
  - Split A into m =  $\left[\frac{n}{5}\right]$  groups, of size <= 5 each.
  - **For** i=1, .., m:

This part is L

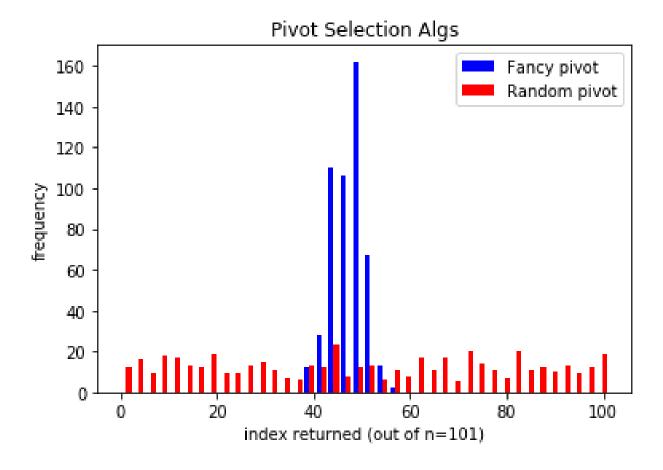
- Find the median within the i'th group, call it p<sub>i</sub>
- p = SELECT( [ $p_1, p_2, p_3, ..., p_m$ ], m/2)
- return the index of p in A

This takes time O(1) for each group, since each group has size 5. So that's O(m)=O(n) total in the for loop. Pivot is SELECT( , 3 ) = 6: PARTITION around that 6:

This part is R: it's almost the same size as L.

# CLAIM: this works divides the array *approximately* in half

Empirically (see Lecture 4 IPython Notebook):



## CLAIM: this works divides the array *approximately* in half

• Formally, we will prove (later):

Lemma: If we choose the pivots like this, then

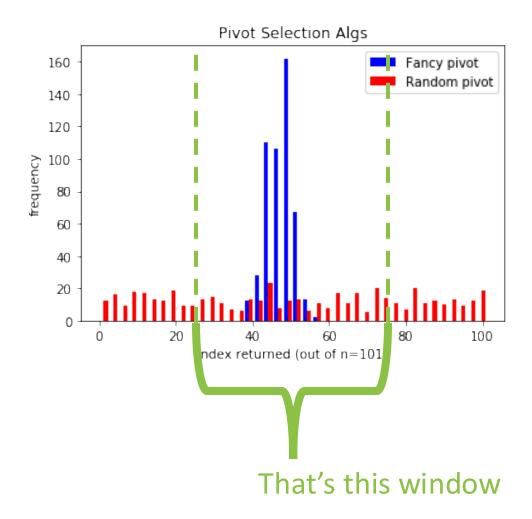
$$|L| \le \frac{7n}{10} + 5$$

and

$$|R| \le \frac{7n}{10} + 5$$

## Sanity Check

$$|L| \le \frac{7n}{10} + 5$$
 and  $|R| \le \frac{7n}{10} + 5$ 



Actually in practice (on randomly chosen arrays) it looks even better!

But this is a worst-case bound.



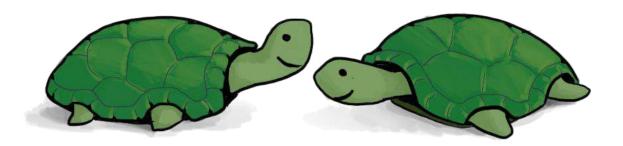
## How about the running time?

Suppose the Lemma is true. (It is).

• 
$$|L| \le \frac{7n}{10} + 5$$
 and  $|R| \le \frac{7n}{10} + 5$ 

Recurrence relation:

$$T(n) \leq ?$$



#### Pseudocode for choosePivot

while you think...

• Lemma: 
$$|L| \le \frac{7n}{10} + 5$$
 and  $|R| \le \frac{7n}{10} + 5$ 



- Suppose **Partition** runs in time O(n)
- Come up with a recurrence relation for T(n), the running time of Select, using the choosePivot algorithm we just described.

#### choosePivot(A):

- Split A into m =  $\left[\frac{n}{5}\right]$  groups, of size <=5 each.
- **For** i=1, .., m:
  - Find the median within the i'th group, call it pi
- $p = SELECT([p_1, p_2, p_3, ..., p_m], m/2)$
- return the index of p in A

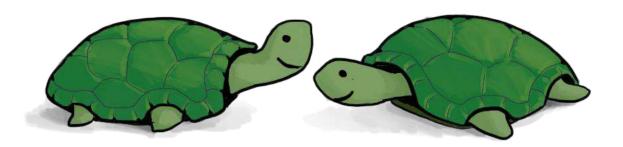
## How about the running time?

Suppose the Lemma is true. (It is).

• 
$$|L| \le \frac{7n}{10} + 5$$
 and  $|R| \le \frac{7n}{10} + 5$ 

Recurrence relation:

$$T(n) \leq ?$$



## How about the running time?

• Suppose the Lemma is true. (It is).

• 
$$|L| \le \frac{7n}{10} + 5$$
 and  $|R| \le \frac{7n}{10} + 5$ 

Recurrence relation:

$$T(n) \le T\left(\frac{n}{5}\right) + T\left(\frac{7n}{10}\right) + O(n)$$

The call to CHOOSEPIVOT makes one further recursive call to SELECT on an array of size n/5.

Outside of CHOOSEPIVOT, there's at most one recursive call to SELECT on array of size 7n/10 + 5.

We're going to drop the "+5" for convenience, but you can see CLRS for a more careful treatment if you're curious.

#### The Plan

- 1. More practice with the Substitution Method.
- 2. k-SELECT problem
- 3. k-SELECT solution
  - a) The outline of the algorithm.
  - b) How to pick the pivot.
- 4. Return of the Substitution Method.



This sounds like a job for...

# The Substitution Method!

Step 1: generate a guess

Step 2: try to prove that your guess is correct

Step 3: profit

$$T(n) \le T\left(\frac{n}{5}\right) + T\left(\frac{7n}{10}\right) + O(n)$$

That's convenient! We did this at the beginning of lecture!

Conclusion: T(n) = O(n)



Technically we only did it for  $T(n) \le T\left(\frac{n}{5}\right) + T\left(\frac{7n}{10}\right) + n$ , not when the last term has a big-Oh...



Plucky the Pedantic Penguin

## Recap of approach

- First, we figured out what the ideal pivot would be.
  - Find the median
- Then, we figured out what a pretty good pivot would be.
  - An approximate median
- Finally, we saw how to get our pretty good pivot!
  - Median of medians and divide and conquer!
  - Hooray!

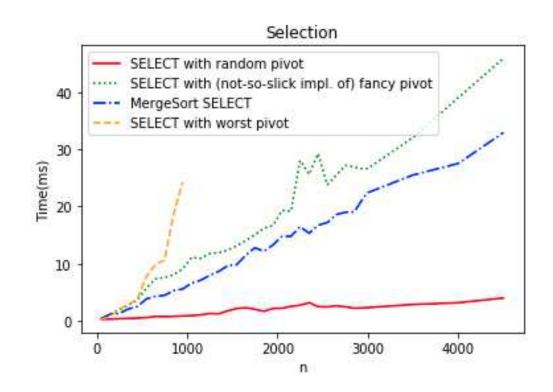
## In practice?

- With my not-very-slick implementation, our fancy version of SELECT is worse than the MergeSort-based SELECT ☺
  - But O(n) is better than O(nlog(n))! How can that be?
  - What's the constant in front of the n in our proof? 20? 30?
- On non-adversarial inputs, random pivot choice is much better.

#### Moral:

Just pick a random pivot if you don't expect nefarious arrays.

Optimize the implementation of SELECT (with the fancy pivot). Can you beat MergeSort for reasonable-sized inputs?



Siggi the Studious Stork

#### What have we learned?

#### Pending the Lemma

- It is possible to solve SELECT in time O(n).
  - Divide and conquer!
- If you want a deterministic algorithm expect that a bad guy will be picking the list, choose a pivot cleverly.
  - More divide and conquer!

 If you don't expect that a bad guy will be picking the list, in practice it's better just to pick a random pivot.

#### The Plan

- 1. More practice with the Substitution Method.
- 2. k-SELECT problem
- 3. k-SELECT solution
  - a) The outline of the algorithm.
  - b) How to pick the pivot.
- 4. Return of the Substitution Method.
- 5. (If time) Proof of that Lemma.

## If time, back to the Lemma

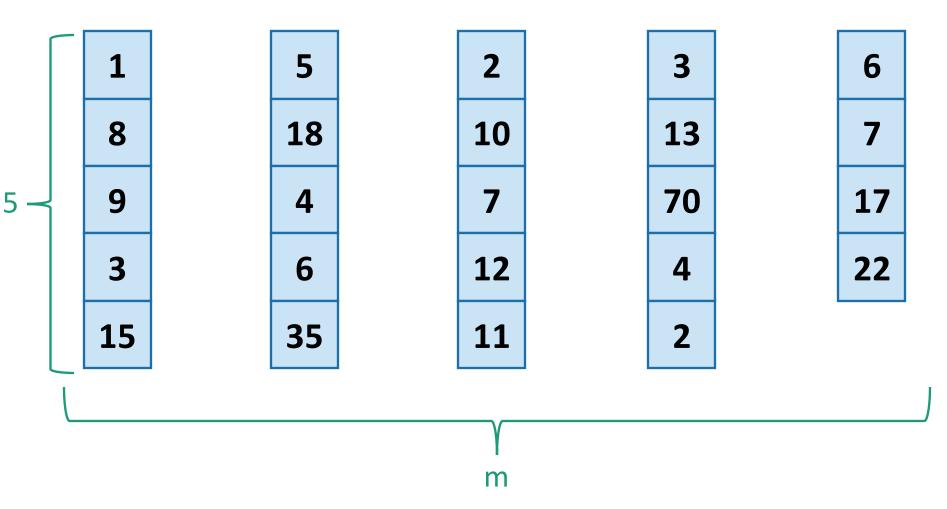
• **Lemma:** If L and R are as in the algorithm SELECT given above, then

$$|L| \le \frac{7n}{10} + 5$$

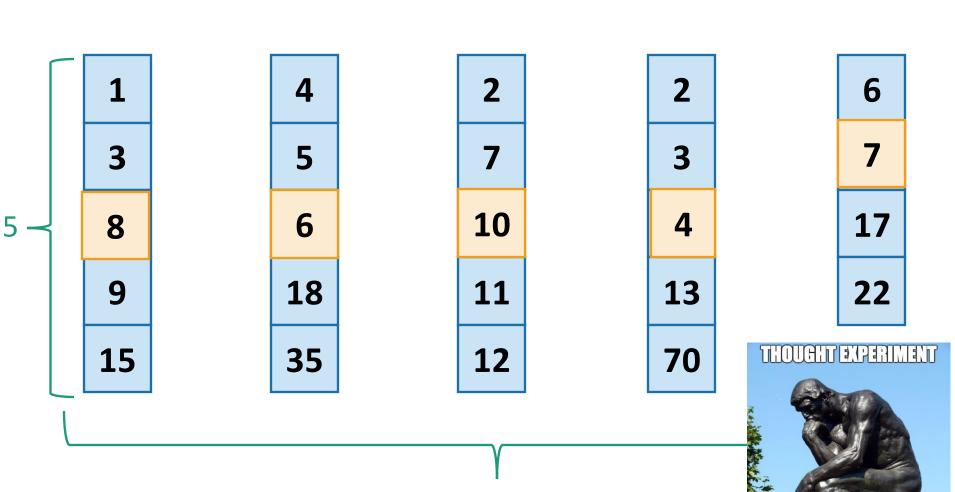
and

$$|R| \le \frac{7n}{10} + 5$$

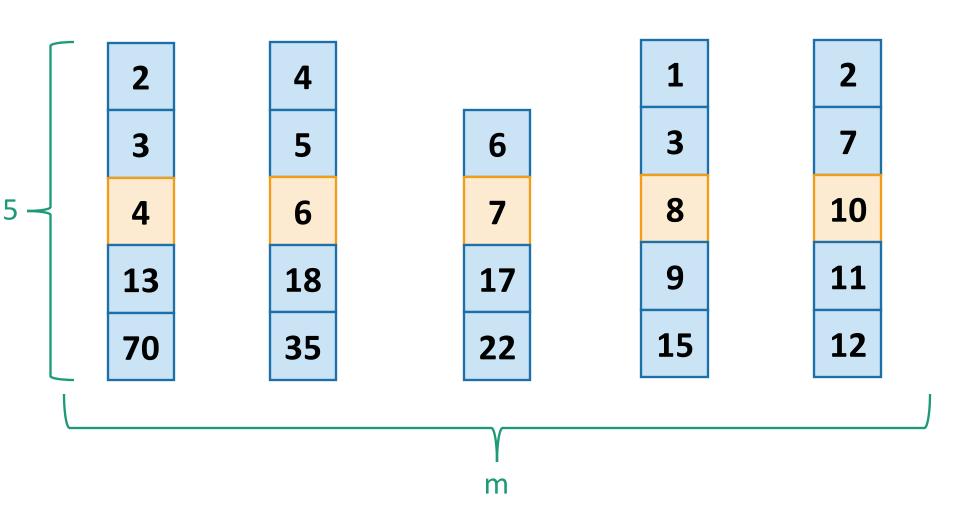
- We will see a proof by picture.
- See Algs Illuminated textbook (Lemma 6.7) for proof by proof.



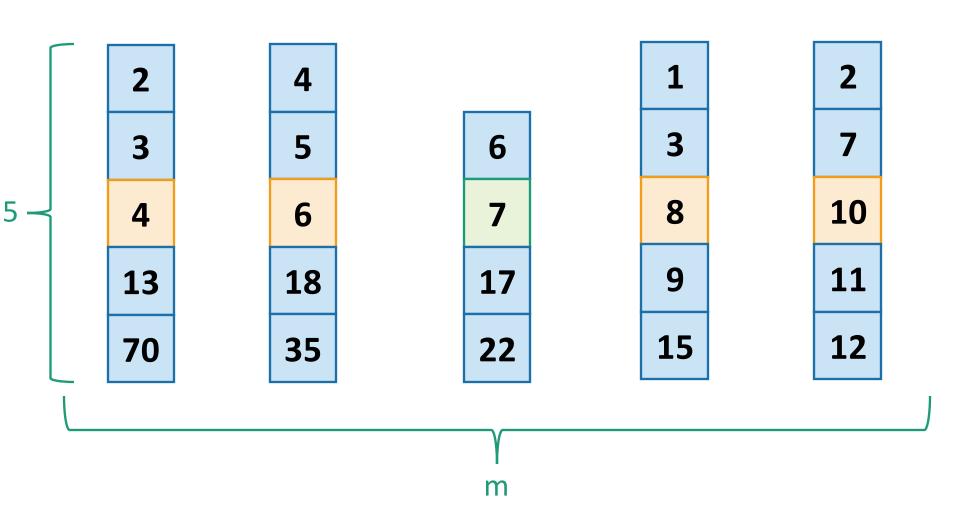
Say these are our m = [n/5] sub-arrays of size at most 5.



In our head, let's sort them.
Then find medians.

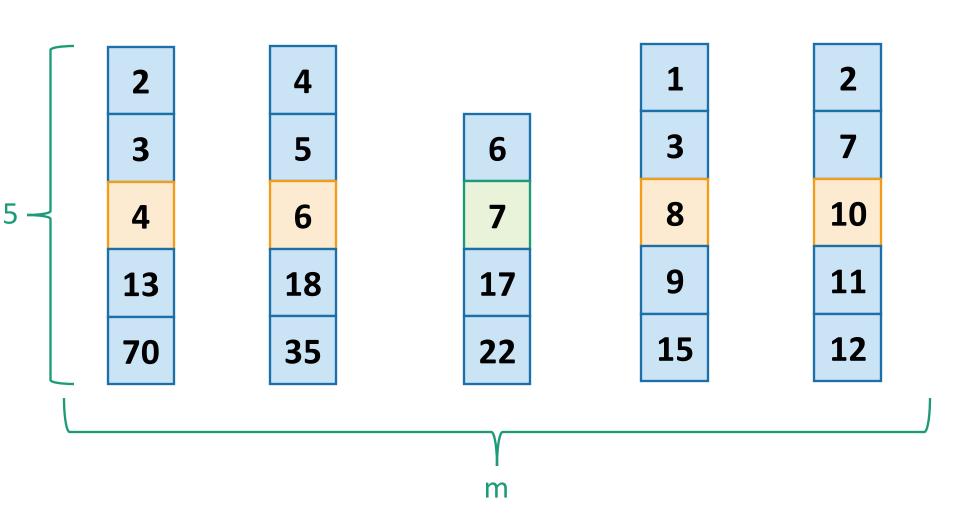


Then let's sort them by the median

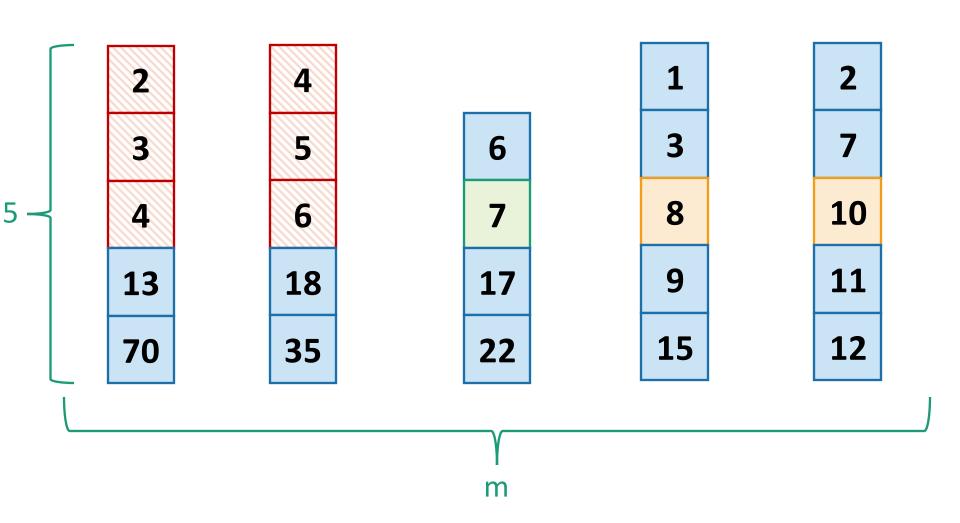


The median of the medians is 7. That's our pivot!

We will show that lots of elements are smaller than the pivot, hence not too many are larger than the pivot.

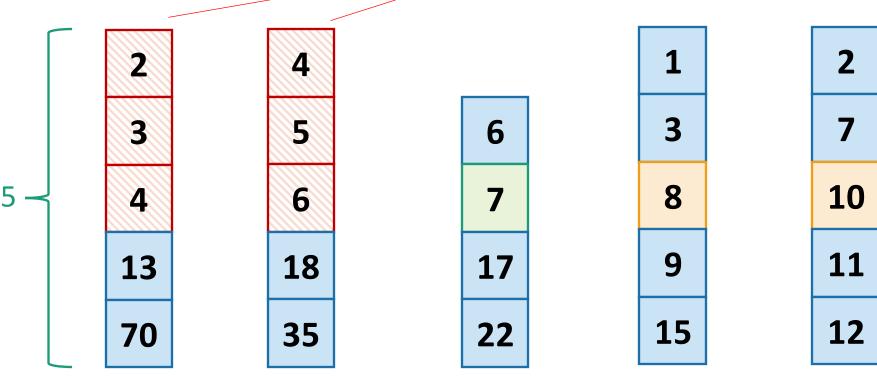


How many elements are SMALLER than the pivot?



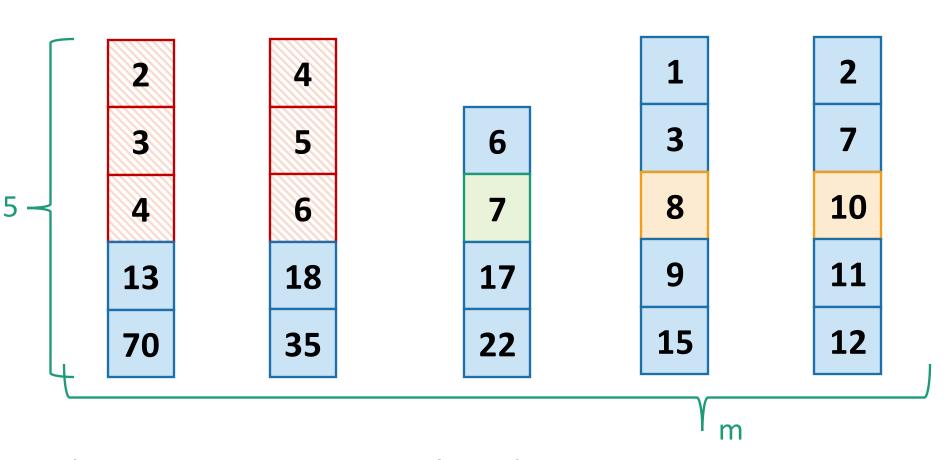
At least these ones: everything above and to the left.

 $3 \cdot \left( \left\lceil \frac{m}{2} \right\rceil - 1 \right)$  of these, but then one of them could have been the "leftovers" group.



How many of those are there?

at least 
$$3 \cdot \left( \left\lceil \frac{m}{2} \right\rceil - 2 \right)$$



So how many are LARGER than the pivot? At most...

$$n-1-3\left(\left[\frac{m}{2}\right]-2\right) \le \frac{7n}{10}+5$$

Remember 
$$m = \left\lceil \frac{n}{5} \right\rceil$$

## That was one part of the lemma

• **Lemma:** If L and R are as in the algorithm SELECT given above, then

$$|L| \leq \frac{7n}{10} + 5$$
 and 
$$|R| \leq \frac{7n}{10} + 5$$

The other part is exactly the same.

#### The Plan

- 1. More practice with the Substitution Method.
- 2. k-SELECT problem
- 3. k-SELECT solution
  - a) The outline of the algorithm.
  - b) How to pick the pivot.
- 4. Return of the Substitution Method.
- 5. (If time) Proof of that Lemma.



## Recap

 Substitution method can work when the master theorem doesn't.

- One place we needed it was for SELECT.
  - Which we can do in time O(n)!

#### Next time

Randomized algorithms and QuickSort!

#### BEFORE next time

- Hand in HW1!
- Get started on HW2!
  - Homework party Monday!
- Pre-Lecture Exercise 5
  - Remember probability theory?
  - The pre-lecture exercise will jog your memory.