# Retrieving Data and Sorting Advanced Programming and Algorithmic Design

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# Retrieving Data

 $A = \langle a_1, \dots, a_n \rangle$  contains some data, e.g., patient records

Each element is associated to an identifier, A[i].id, e.g., SSN

How to find the data associated to the identifier  $id_1$ ?

## A Naïve Solution and Outlook

Scan all the database searching for  $A[i].id = \mathrm{id}_1$ 

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What is the asymptotic complexity in terms of big-O? O(n)

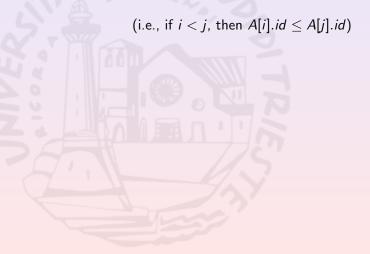
Can we do better?

Hint: How do you search a page in a book? Why?

If  $A = \langle a_1, \ldots, a_n \rangle$  is sorted w.r.t. the id's...



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(i.e., if i < j, then  $A[i].id \le A[j].id$ )

Look at element in the middle A[n/2]

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(i.e., if 
$$i < j$$
, then  $A[i].id \le A[j].id$ )

Look at element in the middle A[n/2]

if 
$$A[n/2].id = id_1$$
  
Done!

if 
$$A[n/2].id > id_1$$

Focus on the 1st half A, i.e,  $\langle a_1, \ldots, a_{n/2-1} \rangle$ 

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# A Better Technique: Dichotomic Search

If  $A = \langle a_1, \ldots, a_n \rangle$  is sorted w.r.t. the id's...

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$$i < j$$
, then  $A[i].id \le A[j].id$ )

Look at element in the middle A[n/2]

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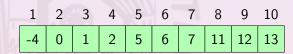
if  $A[n/2].id > id_1$ 

Focus on the 1st half A, i.e,  $\langle a_1, \ldots, a_{n/2-1} \rangle$ 

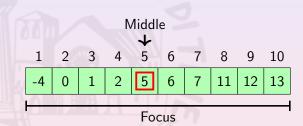
if  $A[n/2].id < id_1$ 

Focus on the 2nd half A, i.e,  $\langle a_{n/2+1}, \ldots, a_n \rangle$ 

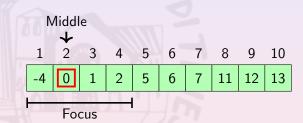
Repeat until A is not empty

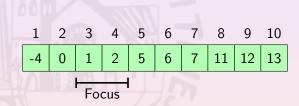


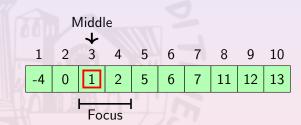


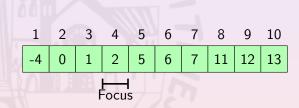




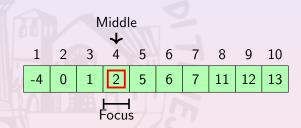








Search for 2 in < -4, 0, 1, 2, 5, 6, 7, 11, 12, 13 >.



**Found:** A[4] = 2

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```
def di_find(A, a):
     (1, r) \leftarrow (1, |A|)
     while r > 1:
          m \leftarrow (1+r)/2
           if A[m]==a:
                return m
          endif
           if A[m]>a:
                r \leftarrow m-1
           else
                I \leftarrow m+1
           endif
     endwhile
```

return 0

enddef

At each iteration, l - r is halved.

So, if  $|A| \leq 2^m$ , di\_find ends after m iterations.

The while-block takes time O(1).

The di\_find 's complexity is  $O(\log n)$ 

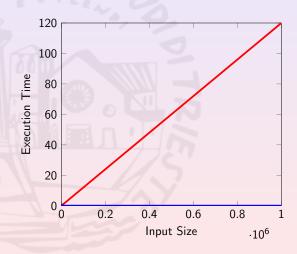
## Dichotomic Search vs Linear Search: Experiments

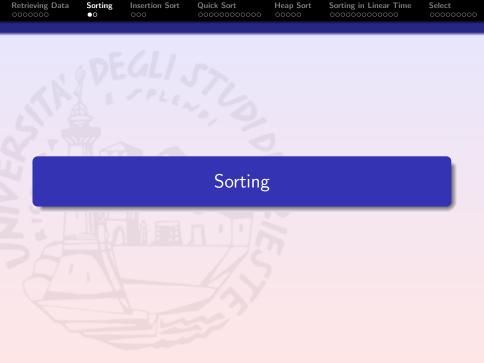
Execution time per  $1 \times 10^5$  random searches.

Input size	Linear Search	Dichotomic Search
$1 \times 10^{1}$	$3.3 \times 10^{-3} \text{ s}$	$3.2 \times 10^{-3} \text{ s}$
$1 \times 10^2$	$1.4 \times 10^{-2} \text{ s}$	$4.3 \times 10^{-3} \text{ s}$
$1 \times 10^3$	$1.2 \times 10^{-1} \text{ s}$	$5.9 \times 10^{-3} \text{ s}$
$1 \times 10^4$	1.2 s	$7.8 \times 10^{-3} \text{ s}$
$1 \times 10^5$	$1.2 \times 10^1$ s	$8.7 \times 10^{-3} \text{ s}$
$1 \times 10^6$	$1.2  imes 10^2$ s	$1.2 \times 10^{-2} \text{ s}$

## Dichotomic Search vs Linear Search: Experiments

Execution time per  $1 \times 10^5$  random searches.





# The Sorting Problem

**Input:** An array A of numbers

**Output:** The array A sorted i.e., if i < j, then  $A[i] \le A[j]$ 

E.g.,

# The Sorting Problem

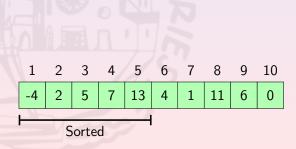
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E.g.,

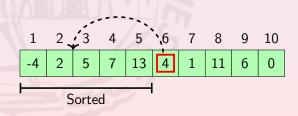
Any idea for a sorting algorithm? What is expected complexity?

If the first fragment of the array is already sorted



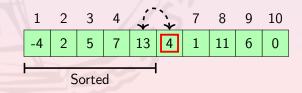
If the first fragment of the array is already sorted

we can "enlarge" it by inserting next element



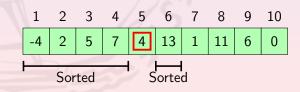
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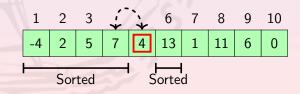
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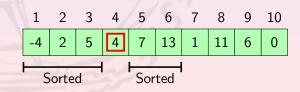
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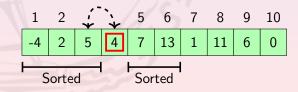
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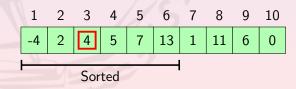
by swapping it and the previous one in the array until the previous one (if exists) is greater than it

> 5 6 10 2 5 13 1 11 6 0 Sorted > 4 Sorted < 4

#### Insertion Sort: Intuition

If the first fragment of the array is already sorted we can "enlarge" it by inserting next element by swapping it and the previous one in the array

until the previous one (if exists) is greater than it



# Insertion Sort: Code and Complexity

```
def insertion_sort(A):
   for i in 2.. | A | :
       while (j>1) and
               A[i] < A[i-1]:
           swap(A, j-1, j)
           i\leftarrow i-1
```

endwhile endfor

enddef

The while-loop block costs  $\Theta(1)$ 

It iterates O(i) and  $\Omega(1)$  times for all  $i \in [2, n]$ 

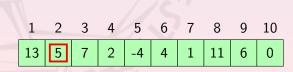
$$\sum_{i=2}^{n} O(i) * O(1) = O(\sum_{i=2}^{n} i)$$

$$= \frac{O(n^2)}{\sum_{i=2}^{n} \Omega(1) * \Omega(1) = \Omega(\sum_{i=2}^{n} 1)}$$

$$=\Omega(n)$$

### Quick Sort: Intuition

Select one element of the A: the pivot

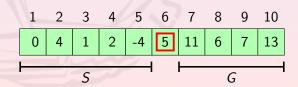


### Quick Sort: Intuition

Select one element of the A: the **pivot** 

#### partition A in:

- subarray S of the elements smaller or equal to the pivot
- the pivot
- subarray G of the elements greater then the pivot



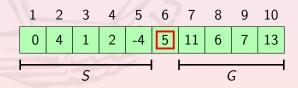
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Repeat on the subarrays having more than 1 elements



## Quick Sort: Intuition (Cont'd)

At the end of every iteration of above steps:

- the elements in S stay in S if A is sorted
- the elements in G stay in G if A is sorted
- the pivot is in its "sorted" position
- S and G are shorter then A

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An iteration places at least one element in the correct position

It prepares A for two recursive calls on S and G.

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### Quick Sort: Pseudo-Code

```
\label{eq:def_QUICKSORT} \begin{split} \text{def} & \ \text{QUICKSORT}(A, \ \ l=1, \ \ r=|A|): \\ & \ \text{if} \ \ l < r: \\ & \ p \leftarrow \text{PARTITION}(A, l, r, l) \\ & \ \text{QUICKSORT}(A, l, p-1) \\ & \ \text{QUICKSORT}(A, p+1, r) \\ & \ \text{endfi} \\ & \ \text{enddef} \end{split}
```

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### Quick Sort: Pseudo-Code

The last recursion call is a tail recursion

```
\begin{array}{l} \textbf{def QUICKSORT}(A, \ \ l=1, \ \ r=|A|):\\ \textbf{while} \ \ \ l< r:\\ p \leftarrow \mathsf{PARTITION}(A, l, r, l) \\ \\ \mathsf{QUICKSORT}(A, l, p-1)\\ l \leftarrow p+1\\ \textbf{endwhile} \\ \textbf{enddef} \end{array}
```

# Quick Sort: Complexity

The time complexity  $T_Q$  of quick sort will be

$$T_Q(|A|) = \left\{ egin{array}{ll} \Theta(1) & ext{if } |A| = 1 \ T_Q(|S|) + T_Q(|G|) + T_P(|A|) \end{array} 
ight. ext{ otherwise}$$

 $T_P$  is the complexity of **partition** 

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Is the pivot selection relevant?

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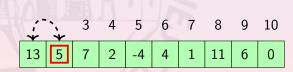
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 $T_P$  is the complexity of **partition** 

Is the pivot selection relevant? No, choose whatever you want

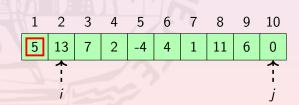
Which algorithm is the best for partition?

Switch the pivot  $\mathbf{p}$  and the first element in A



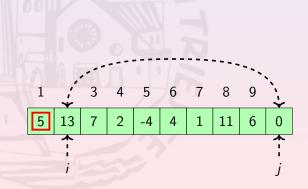
Switch the pivot  $\mathbf{p}$  and the first element in A

If A[i] > p,



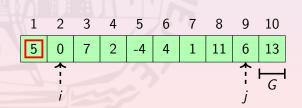
Switch the pivot  $\mathbf{p}$  and the first element in A

If A[i] > p, swap A[i] and A[j] and decrease j



Switch the pivot  $\mathbf{p}$  and the first element in A

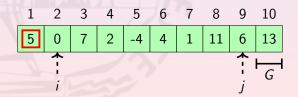
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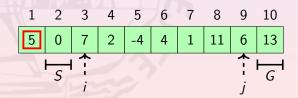
else  $(A[i] \leq p)$ ,



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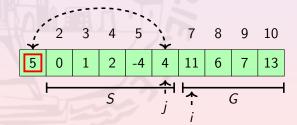
Repeat until  $i \leq j$ 

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Repeat until  $i \leq j$  and swap **p** and A[j]



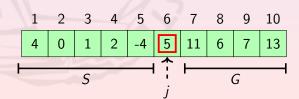
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Repeat until  $i \leq j$  and swap **p** and A[j]

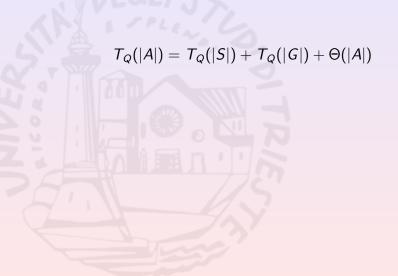
The complexity is  $\Theta(|A|)$ 



#### Partition: Pseudo-Code

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```
def PARTITION(A, i, j, p):
    swap(A, i, p)
    (p,i) \leftarrow (i,i+1)
    while i≤j:
      if A[i]>A[p]: # if A[i] is greater than the pivot
        swap(A,i,j) # place it in G
                      # increase G's size
      i \leftarrow i+1
                     # otherwise
     else
        i \leftarrow i+1
                        # A[i] is already in S
      endif
    endwhile
    swap(A,p,j) # place the pivot between S and G
    return i
enddef
```



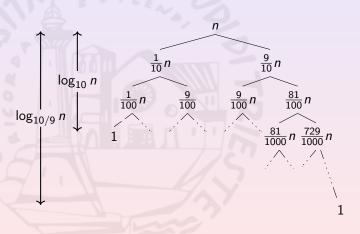
$$T_Q(|A|) = T_Q(|S|) + T_Q(|G|) + \Theta(|A|)$$

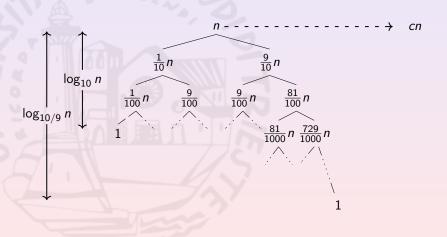
Worst Case: |G| = 0 or |S| = 0 for all recursive call.

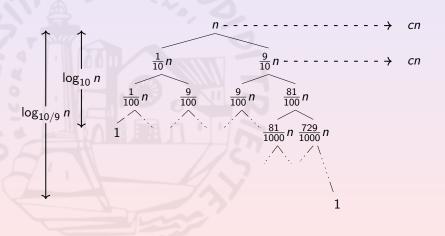
$$T_Q(n) = T_Q(n-1) + \Theta(n)$$

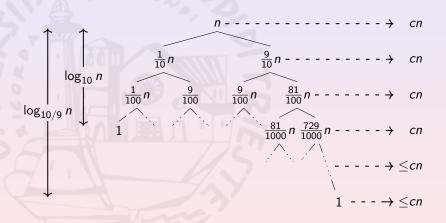
$$= \sum_{i=0}^n \Theta(i) = \Theta\left(\sum_{i=0}^n i\right)$$

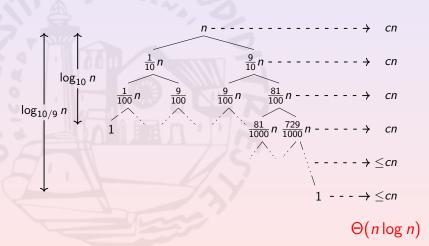
$$= \Theta(\mathbf{n}^2)$$











# Quick Sort Complexity: Average Case

"Good" and "bad" cases depend on the ordering of A

If all the permutations of A are equally likely,

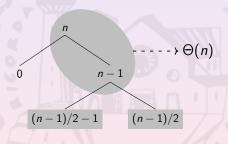
the partition has a ratio more balanced than 1/d with probability

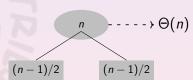
$$\frac{d-1}{d+1}$$

e.g., a partition "better" than 1/9 has probability 0.8

# Quick Sort Complexity: Average Case (Cont'd)

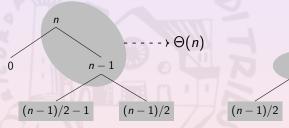
Even if "good" and "bad" cases alternate

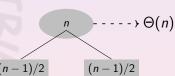




# Quick Sort Complexity: Average Case (Cont'd)

Even if "good" and "bad" cases alternate

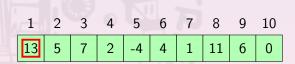




On the average  $\Theta(n \log n)$ 

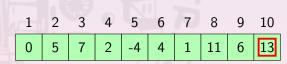
## Sorting by Searching the Maximum

#### Find the maximum



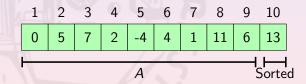
Find the maximum

Move the maximum at the end of the array



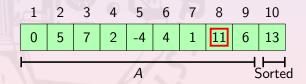
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Find the maximum

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Move the maximum at the end of the array

If |A| > 1, repeat on the initial fragment of A

The complexity is  $\sum_{i=1}^{|A|} \left( T_{\max}(i) + \Theta(1) \right)$ 

#### How to Find the Maximum?

By using ...

pushing the max to the right

 $\Longrightarrow$  Bubble Sort

$$egin{aligned} \mathcal{T}(|A|) &= \sum_{i=1}^{|A|} \left(\Theta(i) + \Theta(1)
ight) \ &= \Theta(|A|^2) \end{aligned}$$

• binary heap (see <a href="here">here</a>)

⇒ Heap Sort

## Heap Sort: Pseudo-Code

The array-based implementation of binary heap plays a crucial role

```
def HEAPSORT(A):
    H ← BUILD_MAX_HEAP(A) # the root is the max

for i ← |A| downto 2:
    swap(A,1,i)

    H. size ← H. size −1 # remove the last leaf
    HEAPIFY(H,1) # fix the max-heap
    endfor
enddef
```

## Heap Sort: Complexity

Building the binary heap costs  $\Theta(n)$ 

HEAPIFY costs  $O(\log i)$  per iteration and in total

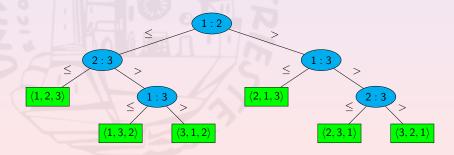
$$\sum_{i=2}^n \log i \le \sum_{i=2}^n \log n \in O(n \log n)$$

The overall complexity of heap sort is  $O(n \log n)$ 

#### Sorting By Comparison: Lower Bound

The execution of a sorting-by-comparison algorithm can be modeled as a decision-tree model

Any comparison between  $a_i$  and  $a_j$  corresponds to a node which branches the computation according whether  $a_i \leq a_j$  or  $a_i > a_j$ 



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## Sorting By Comparison: Lower Bound (Cont'd)

The decision tree's leaves are labeled by all the possible permutations of A which are n!

The height h is the maximum # of comparisons required by the algorithm

Since a binary tree has no more than  $2^h$  leaves,

$$h \ge \log_2(n!) \in \Omega(n \log n)$$

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The lower bound for comparison-based sorting is  $\Omega(n \log n)$ 

#### Sorting in Linear Time?

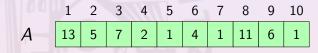
There is no general algorithm to sort in linear time by using comparisons

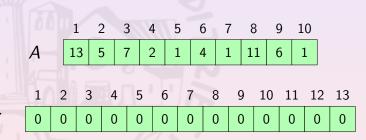
#### Sorting in Linear Time?

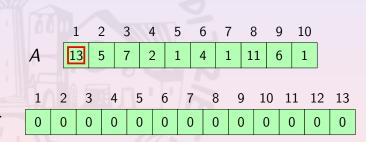
There is no general algorithm to sort in linear time by using comparisons

This bound does not hold if we introduce minor *ad-hoc* assumptions such as:

- bounded domain for the array values
- uniform distribution of the array values

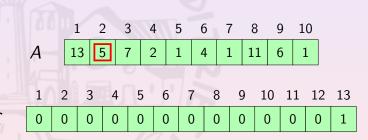


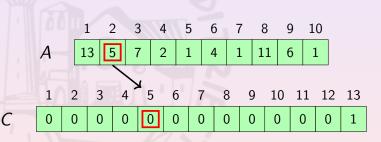


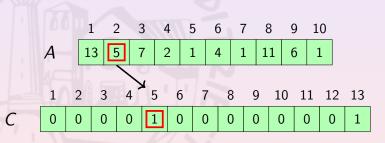


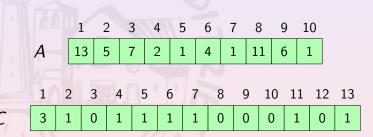




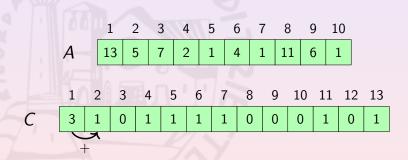




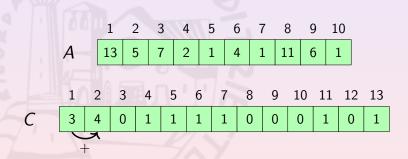




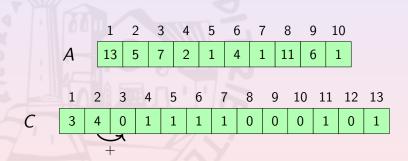
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- sums the values in C and get the # elements  $\leq$  to C's indexes



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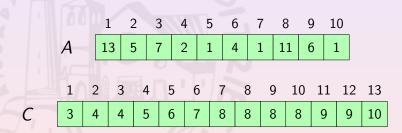
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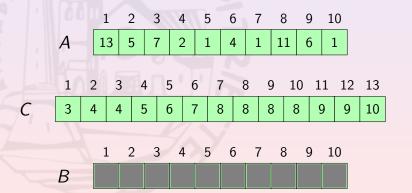
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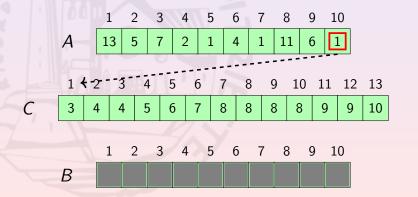
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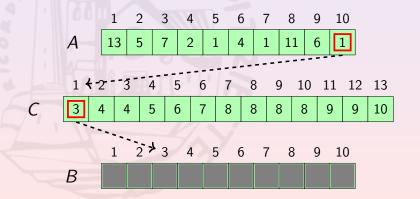
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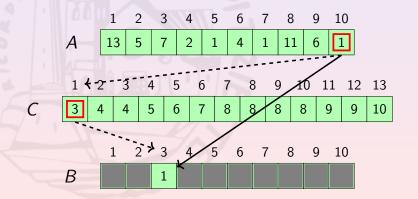
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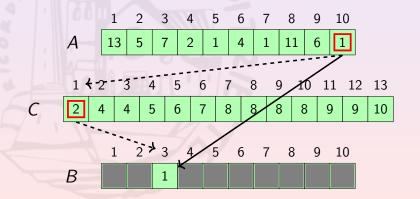
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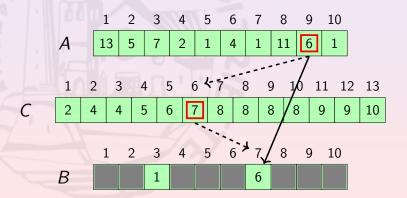
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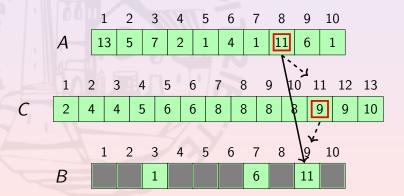
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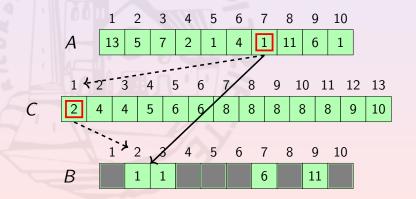


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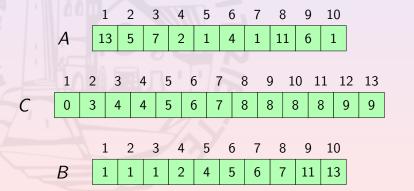
# Values in [1, k]: Counting Sort

- count the occurrences of A's values and place them in C
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# Values in [1, k]: Counting Sort

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It is not in-place and it requires the array C

## Counting Sort: Pseudo-Code

Retrieving Data

```
def COUNTING_SORT(A, B, k):
  C ← ALLOCATE_ARRAY(k, default_value=0)
  for i \leftarrow 1 upto |A|:
    C[A[i]] \leftarrow C[A[i]]+1
  endfor # C[i] is now the # of i in A
  for j \leftarrow 2 upto |C|:
    C[i] \leftarrow C[i-1] + C[i]
  endfor # C[j] is now the # of A's values < i
  for i \leftarrow |A| downto 1:
    B[C[A[i]]] \leftarrow A[i]
    C[A[i]] \leftarrow C[A[i]] - 1
  endfor
enddef
```

Allocating  ${\it C}$  and setting all its elements to 0



Allocating C and setting all its elements to 0

 $\Theta(k)$   $\Theta(n)$ Counting the instances of A's values

Allocating C and setting all its elements to 0

 $\Theta(k)$  $\Theta(n)$ 

Counting the instances of A's values

Setting in C[j] the # of A's values  $\leq j$ 

 $\Theta(k)$ 

Allocating C and setting all its elements to 0

s to 0  $\Theta(k)$   $\Theta(n)$ 

Counting the instances of A's values

Setting in C[j] the # of A's values  $\leq j$ 

 $\Theta(k)$ 

Copying A's values into B by using C

 $\Theta(n)$ 

Allocating $C$ and	setting all its	elements to 0
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Counting the instances of A's values

Setting in C[i] the # of A's values  $\leq i$ 

Copying A's values into B by using C

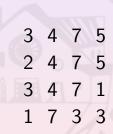
 $\Theta(n+k)$ Total complexy

 $\Theta(k)$ 

 $\Theta(n)$ 

 $\Theta(k)$ 

 $\Theta(n)$ 



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- use a stable algorithm and sort A according the digit i

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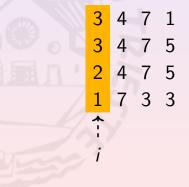
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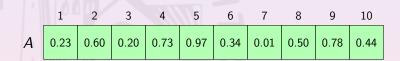
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## Radix Sort: Complexity

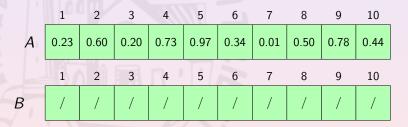
If the digit sorting is in  $\Theta(|A| + k)$ , radix sort takes time

$$\Theta\left(d\left(|A|+k\right)\right)$$

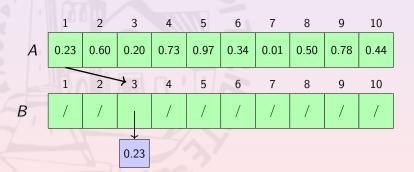
where d is the number of digits in each of A's values



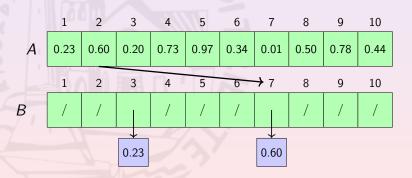
• split [0,1) in n buckets:  $\left[\frac{i-1}{n},\frac{i}{n}\right)$  for  $i\in[1,n]$ 



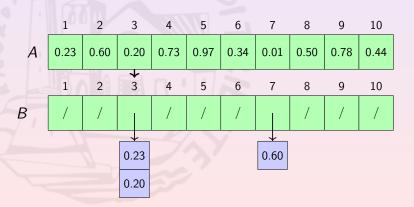
- split [0,1) in n buckets:  $\left[\frac{i-1}{n},\frac{i}{n}\right)$  for  $i\in[1,n]$
- add each value of A to the correct bucket



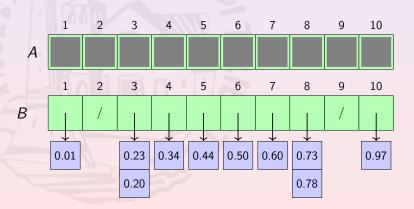
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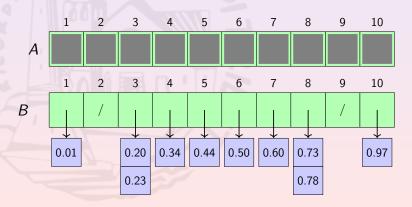
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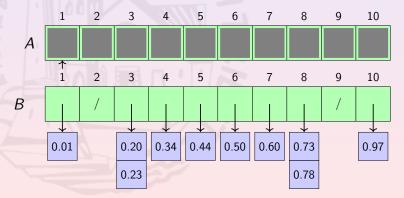
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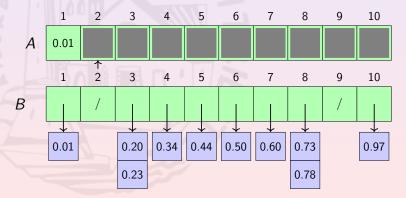
- split [0,1) in n buckets:  $\left[\frac{i-1}{n},\frac{i}{n}\right)$  for  $i\in[1,n]$
- add each value of A to the correct bucket
- sort the buckets



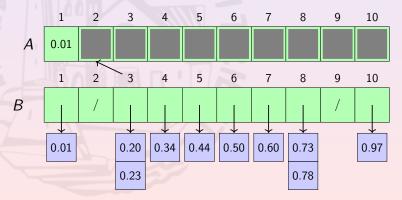
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- reverse the content of buckets in bucket order on A



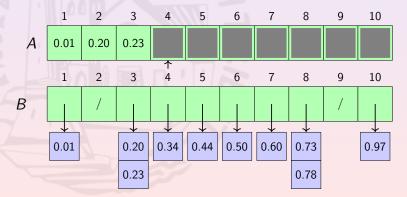
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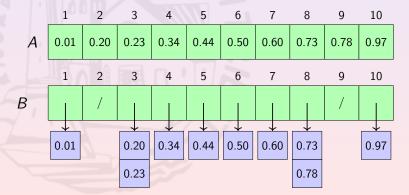
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#### Bucket Sort: Pseudo-Code

```
def BUCKET_SORT(A):
  B ← ALLOCATE_ARRAY_OF_EMPTY_LISTS ( | A | )
  for i \leftarrow 1 upto |A|:
    B[FLOOR(A[i]*n)+1]. append (A[i])
  endfor # now B contains the buckets
  i \leftarrow 0
  for j \leftarrow 1 upto |B|
     for v in B[j]: # reverse the bucket in A
      A[i] \leftarrow v
       i \leftarrow i+1
     endfor
```

sort(A, i-|B[j]|, |B[j]|) # sort the bucket



 $\Theta(n)$ 

Allocating and initializing B

Filling the buckets

 $\Theta(n)$   $\Theta(n)$ 

Allocating and initializing B

Filling the buckets

Sorting each bucket (expected)

 $\Theta(n)$   $\Theta(n)$  O(n)

Allocating and initializing B	$\Theta(n)$
Filling the buckets	$\Theta(n)$
Sorting each bucket (expected)	O(n)
Reversing buckets' content into A	$\Theta(n)$

Allocating and initializing $B$	$\Theta(n)$
Filling the buckets	$\Theta(n)$
Sorting each bucket (expected)	O(n)
Reversing buckets' content into A	$\Theta(n)$
Total expected complexy	O(n)

Let A be unsorted array

How to find the value that, if A was sorted, would be in position:

1?

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 $\Theta(n)$ 

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- $\Theta(n)$
- $O(n \log n)$

Can we do better?

**Input:** a potentially unsorted array A and an index  $i \in [1, |A|]$  **Output:** the value  $\bar{A}[i]$  where  $\bar{A}$  is the sorted version of A



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We reformulate it as:

**Input:** a potentially unsorted array A and an index  $i \in [1, |A|]$  **Output:** an index j s.t.  $\tilde{A}[j] = \bar{A}[i]$  where  $\tilde{A}$  and  $\bar{A}$  are A after the computation and the sorted version of A, respectively.

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Retrieving Data

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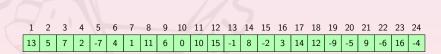
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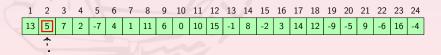
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We will assume that A does not contains multiple instances of the same value (not necessary, but simplify things)

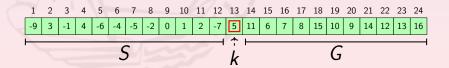




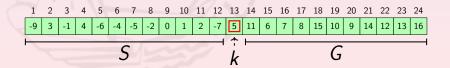
What about using PARTITION and a "dichotomic approach"?  $\bullet$  select a pivot A[j]



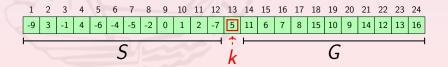
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- ullet compute  $k \leftarrow PARTITION(A,1,|A|,j)$  and get S and G



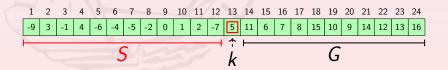
- select a pivot A[j]
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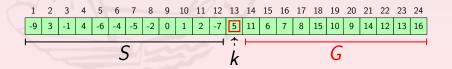
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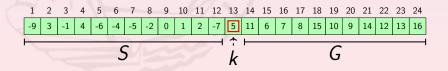
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A recursive algorithm can solve the problem!



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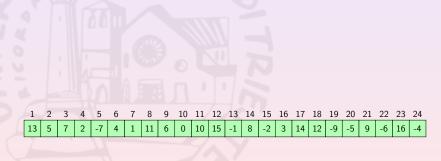
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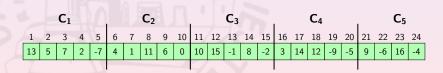
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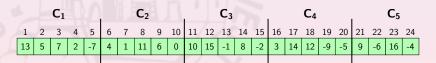
Is there a smart way to guess an almost-median value for  $\bar{A}$ ?



• split A in  $\lceil n/5 \rceil$  chunks  $C_1, \ldots, C_{n/5}$  each of size 5

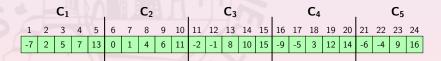


- split A in  $\lceil n/5 \rceil$  chunks  $C_1, \ldots, C_{n/5}$  each of size 5
- find the median  $m_i$  of  $C_i$



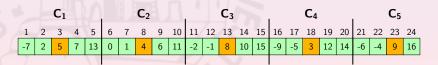
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- find the median  $m_i$  of  $C_i$ , e.g., by sorting  $C_i$  itself

sorting n/5 chunks of size 5, I have a complexity which isn/5 O(5 log5)=O(n): li



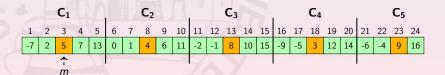
# Choosing the Pivot

- split A in  $\lceil n/5 \rceil$  chunks  $C_1, \ldots, C_{n/5}$  each of size 5
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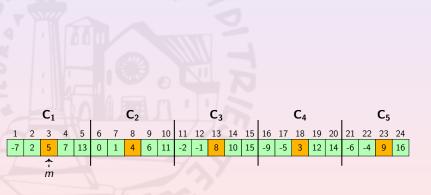


### Choosing the Pivot

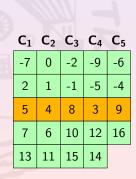
- split A in  $\lceil n/5 \rceil$  chunks  $C_1, \ldots, C_{n/5}$  each of size 5
- find the median  $m_i$  of  $C_i$ , e.g., by sorting  $C_i$  itself
- recursively compute the median m of the  $m_i$ 's



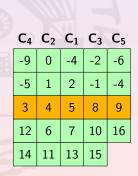
Think the chunks as they were the columns of a matrix



Think the chunks as they were the columns of a matrix



Sort the chunks according the medians

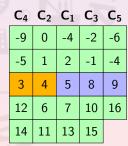


How many chunks are there?

$$\left\lceil \frac{n}{5} \right\rceil$$

How many  $m_i$  are greater or equal to m?

$$\left\lceil \frac{1}{2} \left\lceil \frac{n}{5} \right\rceil \right\rceil$$



How many chunks at least have 3 elements greater than m?

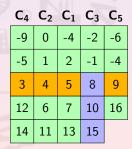
$$\left\lceil \frac{1}{2} \left\lceil \frac{n}{5} \right\rceil \right\rceil - 2$$

not the pivot chunk (median): it has only 2 elements greater than its pivotNor the last

C <sub>4</sub>	$C_2$	$C_1$	$C_3$	$C_5$
-9	0	-4	-2	-6
-5	1	2	-1	-4
3	4	5	8	9
12	6	7	10	16
14	11	13	15	

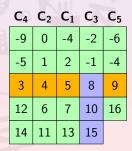
How many elements at least are greater than m?

$$3\left(\left\lceil\frac{1}{2}\left\lceil\frac{n}{5}\right\rceil\right\rceil-2\right)$$



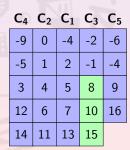
How many elements at least are greater than m?

$$3\left(\left\lceil\frac{1}{2}\left\lceil\frac{n}{5}\right\rceil\right\rceil-2\right)\geq\frac{3n}{10}-6$$



An upper bound for the # of elements smaller or equal to m is

$$n-\left(\frac{3n}{10}-6\right)=\frac{7n}{10}+6$$



cost to choose a proper pivot and then do partition to solve the proble

$$T_{S}(n) = \begin{cases} \Theta(1) & \text{if } n = 1 \\ T_{S}(\lceil n/5 \rceil) + T_{S}(7n/10 + 6) + \Theta(n) & \text{otherwise} \end{cases}$$

to sort the ch

another recursive

cost of partition

$$T_S(n) = \left\{ \begin{array}{ll} \Theta(1) & \text{if } n = 1 \\ T_S(\lceil n/5 \rceil) + T_S(7n/10 + 6) + \Theta(n) & \text{otherwise} \end{array} \right.$$

by induction

Let us assume that  $T_S(m) \le cm \in O(m)$  for m < n

$$T_S(n) \le c \lceil n/5 \rceil + c(7n/10+6) + c'n$$
  
 $\le c(n/5+1) + c(7n/10+6) + c'n$   
 $\le \frac{9}{10}cn + c'n + 7c$ 

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Hence,  $T_S(n) \le cn$  for  $c \ge 20c'$  and  $n \ge 140$  and

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Hence,  $T_S(n) \le cn$  for  $c \ge 20c'$  and  $n \ge 140$  and

$$T_S(n) \in \Theta(n)$$

Retrieving Data

# Select Algorithm: Pseudo-Code

```
def SELECT(A, i, l=1, r=|A|):
  i \leftarrow SELECT_{PIVOT}(A, I, r)
  k \leftarrow PARTITION(A, I, r, j)
  if i=k: # dichotomic approach
     return k
  endif
  if i < k: # search in S</pre>
     return SELECT(A, i, l, k-1)
  endif
  # search in G
  return SELECT(A, i, k+1, r) + k
enddef
```