#### **CE100 Algorithms and Programming II**

Week-3 (Matrix Multiplication/ Quick Sort)

Spring Semester, 2021-2022

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<iframe width=700, height=500 frameBorder=0 src="../ce100-week-3matrix.md\_slide.html"></iframe>



## Matrix Multiplication / Quick Sort

#### **Outline**

- Matrix Multiplication
  - Traditional
  - Recursive
  - Strassen



#### **Outline**

- Quicksort
  - Hoare Partitioning
  - Lomuto Partitioning
  - Recursive Sorting



#### Outline

- Quicksort Analysis
  - Randomized Quicksort
  - Randomized Selection
    - Recursive
    - Medians



#### **Matrix Multiplication**

- Input:  $A=[a_{ij}], B=[b_{ij}]$
- ullet Output:  $C=[c_{ij}]=A\cdot B\Longrightarrow i,j=1,2,3,\ldots,n$

$$egin{bmatrix} c_{11} & c_{12} & \dots & c_{1n} \ c_{21} & c_{22} & \dots & c_{2n} \ dots & dots & dots & dots \ c_{n1} & c_{n2} & \dots & c_{nn} \end{bmatrix} = egin{bmatrix} a_{11} & a_{12} & \dots & a_{1n} \ a_{21} & a_{22} & \dots & a_{2n} \ dots & dots & dots \ a_{n1} & a_{n2} & \dots & a_{nn} \end{bmatrix} \cdot egin{bmatrix} b_{11} & b_{12} & \dots & b_{1n} \ b_{21} & b_{22} & \dots & b_{2n} \ dots & dots & dots & dots \ b_{n1} & a_{n2} & \dots & b_{nn} \end{bmatrix}$$



#### **Matrix Multiplication**

$$egin{pmatrix} c_{11} & c_{12} & \cdots & c_{1n} \ c_{21} & c_{22} & \cdots & c_{2n} \ dots & dots & \ddots & dots \ c_{n1} & c_{n2} & \cdots & c_{nn} \end{pmatrix} = egin{pmatrix} a_{11} & a_{12} & \cdots & a_{1n} \ a_{21} & a_{22} & \cdots & a_{2n} \ dots & dots & \ddots & dots \ a_{n1} & a_{n2} & \cdots & a_{nn} \end{pmatrix} \cdot egin{pmatrix} b_{11} & b_{12} & \cdots & b_{1n} \ b_{21} & b_{22} & \cdots & b_{2n} \ dots & dots & \ddots & dots \ b_{n1} & b_{n2} & \cdots & b_{nn} \end{pmatrix}$$

$$ullet c_{ij} = \sum_{1 \leq k \leq n} a_{ik}.b_{kj}$$

#### Matrix Multiplication: Standard Algorithm

Running Time:  $\Theta(n^3)$ 

```
for i=1 to n do
    for j=1 to n do
        C[i,j] = 0
        for k=1 to n do
            C[i,j] = C[i,j] + A[i,k] + B[k,j]
        endfor
    endfor
endfor
```



#### Matrix Multiplication: Divide & Conquer

**IDEA**: Divide the nxn matrix into 2x2 matrix of (n/2)x(n/2) submatrices.

$$egin{pmatrix} egin{pmatrix} c_{11} & c_{12} \ c_{21} & c_{22} \end{pmatrix} = egin{pmatrix} a_{11} & a_{12} \ a_{21} & a_{22} \end{pmatrix} \cdot egin{pmatrix} b_{11} & b_{12} \ b_{21} & b_{22} \end{pmatrix} & egin{pmatrix} c_{11} & c_{12} \ c_{21} & c_{22} \end{pmatrix} = egin{pmatrix} a_{11} & a_{12} \ a_{21} & a_{22} \end{pmatrix} \cdot egin{pmatrix} b_{11} & b_{12} \ b_{21} & b_{22} \end{pmatrix}$$

$$c_{11} = a_{11}b_{11} + a_{12}b_{21}$$

$$c_{21} = a_{21}b_{11} + a_{22}b_{21}$$

$$\begin{pmatrix} c_{11} & c_{12} \\ c_{21} & c_{22} \end{pmatrix} = \begin{pmatrix} a_{11} & a_{12} \\ a_{21} & a_{22} \end{pmatrix} \cdot \begin{pmatrix} b_{11} & b_{12} \\ b_{21} & b_{22} \end{pmatrix} \qquad \begin{pmatrix} c_{11} & c_{12} \\ c_{21} & c_{22} \end{pmatrix} = \begin{pmatrix} a_{11} & a_{12} \\ a_{21} & a_{22} \end{pmatrix} \cdot \begin{pmatrix} b_{11} & b_{12} \\ b_{21} & b_{22} \end{pmatrix}$$

$$c_{12} = a_{11}b_{12} + a_{12}b_{22}$$

$$c_{22} = a_{21}b_{12} + a_{22}b_{22}$$



#### Matrix Multiplication: Divide & Conquer

$$egin{bmatrix} c_{11} & c_{12} \ c_{21} & c_{22} \end{bmatrix} = egin{bmatrix} a_{11} & a_{12} \ a_{21} & a_{22} \end{bmatrix} \cdot egin{bmatrix} b_{11} & b_{12} \ b_{21} & b_{22} \end{bmatrix}$$

 $8 ext{ mults and 4 adds of (n/2)*(n/2) submatrices} = egin{cases} c_{11} = a_{11}b_{11} + a_{12}b_{21} \ c_{21} = a_{21}b_{11} + a_{22}b_{21} \ c_{12} = a_{11}b_{12} + a_{12}b_{22} \ c_{22} = a_{21}b_{12} + a_{22}b_{22} \end{cases}$ 



#### Matrix Multiplication: Divide & Conquer

```
MATRIX-MULTIPLY(A, B)
    // Assuming that both A and B are nxn matrices
    if n == 1 then
        return A * B
    else
        //partition A, B, and C as shown before
        C[1,1] = MATRIX-MULTIPLY (A[1,1], B[1,1]) +
                 MATRIX-MULTIPLY (A[1,2], B[2,1]);
        C[1,2] = MATRIX-MULTIPLY (A[1,1], B[1,2]) +
                MATRIX-MULTIPLY (A[1,2], B[2,2]);
        C[2,1] = MATRIX-MULTIPLY (A[2,1], B[1,1]) +
        MATRIX-MULTIPLY (A[2,2], B[2,1]);
       C[2,2] = MATRIX-MULTIPLY (A[2,1], B[1,2]) +
        MATRIX-MULTIPLY (A[2,2], B[2,2]);
    endif
    return C
```

## Matrix Multiplication: Divide & Conquer Analysis

$$T(n) = 8T(n/2) + \Theta(n^2)$$

- 8 recursive calls  $\Longrightarrow 8T(\cdots)$
- ullet each problem has size  $n/2 \Longrightarrow \cdots T(n/2)$
- Submatrix addition  $\Longrightarrow \Theta(n^2)$



#### Matrix Multiplication: Solving the Recurrence

$$ullet T(n) = 8T(n/2) + \Theta(n^2)$$

$$a = 8, b = 2$$

$$\circ \ f(n) = \Theta(n^2)$$

$$\circ \ n^{log^a_b} = n^3$$

$$ullet$$
 Case 1:  $rac{n^{log_b^a}}{f(n)}=\Omega(n^arepsilon)\Longrightarrow T(n)=\Theta(n^{log_b^a})$ 

Similar with ordinary (iterative) algorithm.



#### Matrix Multiplication: Strassen's Idea

Compute  $c_{11}, c_{12}, c_{21}, c_{22}$  using 7 recursive multiplications.

In normal case we need 8 as below.

$$egin{bmatrix} c_{11} & c_{12} \ c_{21} & c_{22} \end{bmatrix} = egin{bmatrix} a_{11} & a_{12} \ a_{21} & a_{22} \end{bmatrix} \cdot egin{bmatrix} b_{11} & b_{12} \ b_{21} & b_{22} \end{bmatrix}$$

 $8 ext{ mults and 4 adds of (n/2)*(n/2) submatrices} = egin{cases} c_{11} = a_{11}b_{11} + a_{12}b_{21} \ c_{21} = a_{21}b_{11} + a_{22}b_{21} \ c_{12} = a_{11}b_{12} + a_{12}b_{22} \ c_{22} = a_{21}b_{12} + a_{22}b_{22} \end{cases}$ 



# CE100 Algorithms and Programming II Matrix Multiplication: Strassen's Idea

- Reminder:
  - $\circ$  Each submatrix is of size (n/2)\*(n/2)
  - $\circ$  Each add/sub operation takes  $\Theta(n^2)$  time
- Compute  $P1 \dots P7$  using 7 recursive calls to matrix-multiply

$$egin{aligned} P_1 &= a_{11} * (b_{12} - b_{22}) \ P_2 &= (a_{11} + a_{12}) * b_{22} \ P_3 &= (a_{21} + a_{22}) * b_{11} \ P_4 &= a_{22} * (b_{21} - b_{11}) \ P_5 &= (a_{11} + a_{22}) * (b_{11} + b_{22}) \ P_6 &= (a_{12} - a_{22}) * (b_{21} + b_{22}) \ P_7 &= (a_{11} - a_{21}) * (b_{11} + b_{12}) \end{aligned}$$

#### CE100 Matrix Multiplication: Strassen's Idea

$$egin{aligned} P_1 &= a_{11} * (b_{12} - b_{22}) \ P_2 &= (a_{11} + a_{12}) * b_{22} \ P_3 &= (a_{21} + a_{22}) * b_{11} \ P_4 &= a_{22} * (b_{21} - b_{11}) \ P_5 &= (a_{11} + a_{22}) * (b_{11} + b_{22}) \ P_6 &= (a_{12} - a_{22}) * (b_{21} + b_{22}) \ P_7 &= (a_{11} - a_{21}) * (b_{11} + b_{12}) \end{aligned}$$

• How to compute  $c_{ij}$  using  $P1 \dots P7$ ?

$$egin{aligned} c_{11} &= P_5 + P_4 - P_2 + P_6 \ c_{12} &= P_1 + P_2 \ c_{21} &= P_3 + P_4 \ c_{22} &= P_5 + P_1 - P_3 - P_7 \end{aligned}$$

#### Matrix Multiplication: Strassen's Idea

- 7 recursive multiply calls
- 18 add/sub operations



#### Matrix Multiplication: Strassen's Idea

e.g. Show that 
$$c_{12}=P_1+P_2$$
 :  $c_{12}=P_1+P_2$   $=a_{11}(b_{12}-b_{22})+(a_{11}+a_{12})b_{22}$   $=a_{11}b_{12}-a_{11}b_{22}+a_{11}b_{22}+a_{12}b_{22}$   $=a_{11}b_{12}+a_{12}b_{22}$ 



#### Strassen's Algorithm

- Divide: Partition A and B into (n/2)\*(n/2) submatrices. Form terms to be multiplied using + and -.
- Conquer: Perform 7 multiplications of (n/2)\*(n/2) submatrices recursively.
- Combine: Form C using + and on (n/2)\*(n/2) submatrices.

Recurrence: 
$$T(n) = 7T(n/2) + \Theta(n^2)$$



#### Strassen's Algorithm: Solving the Recurrence

$$ullet T(n) = 7T(n/2) + \Theta(n^2)$$

$$a = 7, b = 2$$

$$\circ \ f(n) = \Theta(n^2)$$

$$\circ \ n^{log^a_b} = n^{lg7}$$

$$ullet$$
 Case 1:  $rac{n^{log_b^a}}{f(n)}=\Omega(n^arepsilon)\Longrightarrow T(n)=\Theta(n^{log_b^a})$ 

$$T(n) = \Theta(n^{log_2^7})$$

$$2^3=8, 2^2=4$$
 so  $\Longrightarrow log_2^7pprox 2.81$ 

or use https://www.omnicalculator.com/math/log

#### Strassen's Algorithm

- ullet The number 2.81 may not seem much smaller than 3
- But, it is significant because the difference is in the exponent.
- ullet Strassen's algorithm beats the ordinary algorithm on today's machines for  $n \geq 30$  or so.
- Best to date:  $\Theta(n^{2.376...})$  (of theoretical interest only)



#### **Maximum Subarray Problem**

**Input:** An array of values

Output: The contiguous subarray that has the largest sum of elements

• Input array:

$$[13][-3][-25][20][-3][-16][-23]$$
  $\overbrace{[18][20][-7][12]}$   $[-22][-4][7]$ 

max. contiguous subarray

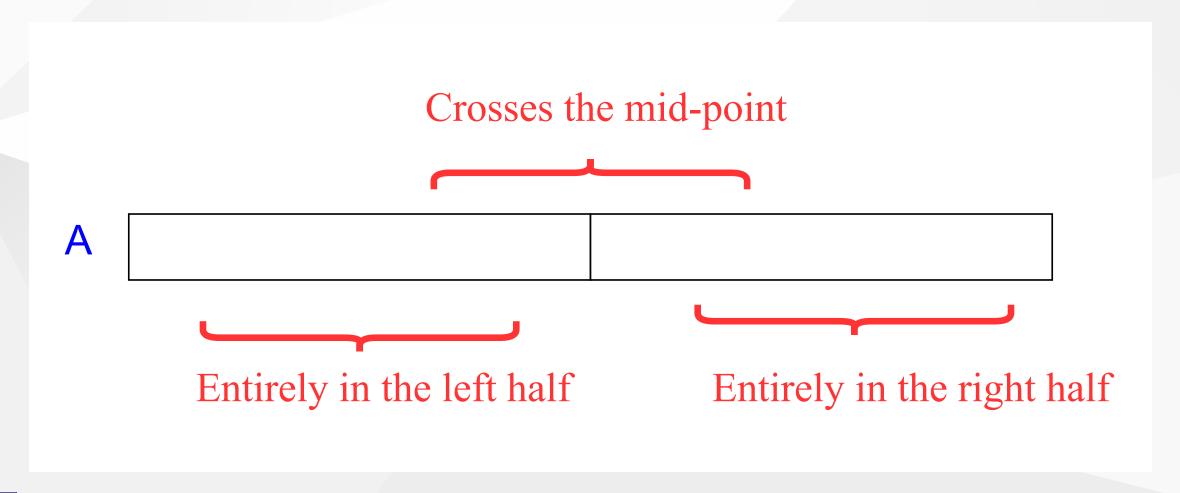


#### Maximum Subarray Problem: Divide & Conquer

- Basic idea:
- Divide the input array into 2 from the middle
- Pick the best solution among the following:
  - The max subarray of the left half
  - The max subarray of the right half
  - The max subarray crossing the mid-point



## Maximum Subarray Problem: Divide & Conquer





#### Maximum Subarray Problem: Divide & Conquer

- **Divide:** Trivial (divide the array from the middle)
- Conquer: Recursively compute the max subarrays of the left and right halves
- ullet Combine: Compute the max-subarray crossing the mid-point
  - $\circ$  (can be done in  $\Theta(n)$  time).
  - Return the max among the following:
    - the max subarray of the left-subarray
    - the max subarray of the rightsubarray
    - the max subarray crossing the mid-point

TODO: detailed solution in textbook...



#### **Conclusion: Divide & Conquer**

- Divide and conquer is just one of several powerful techniques for algorithm design.
- Divide-and-conquer algorithms can be analyzed using recurrences and the master method (so practice this math).
- Can lead to more efficient algorithms



#### Quicksort

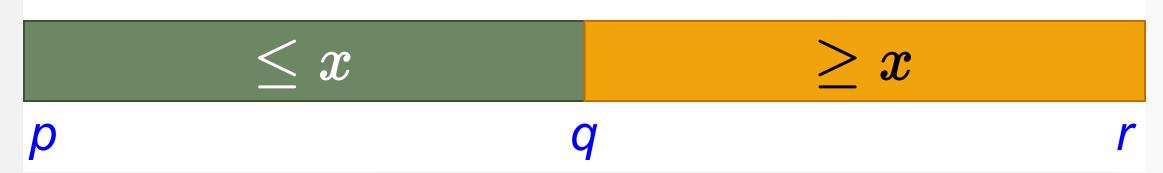
- One of the most-used algorithms in practice
- Proposed by C.A.R. *Hoare* in 1962.
- Divide-and-conquer algorithm
- In-place algorithm
  - The additional space needed is O(1)
  - The sorted array is returned in the input array
  - Reminder: Insertion-sort is also an in-place algorithm, but Merge-Sort is not inplace.
- Very practical



#### Quicksort

- **Divide:** Partition the array into 2 subarrays such that elements in the lower part  $\leq$  elements in the higher part
- Conquer: Recursively sort 2 subarrays
- Combine: Trivial (because in-place)

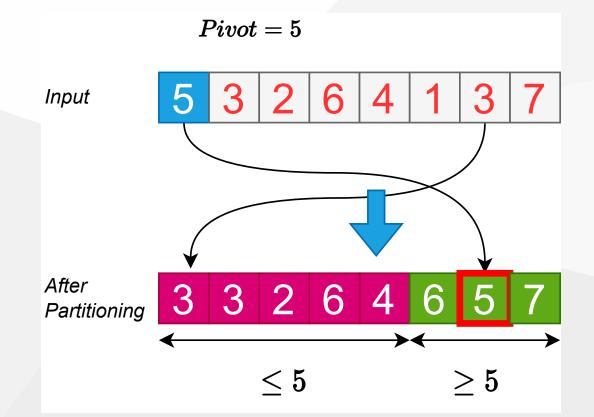
**Key:** Linear-time  $(\Theta(n))$  partitioning algorithm





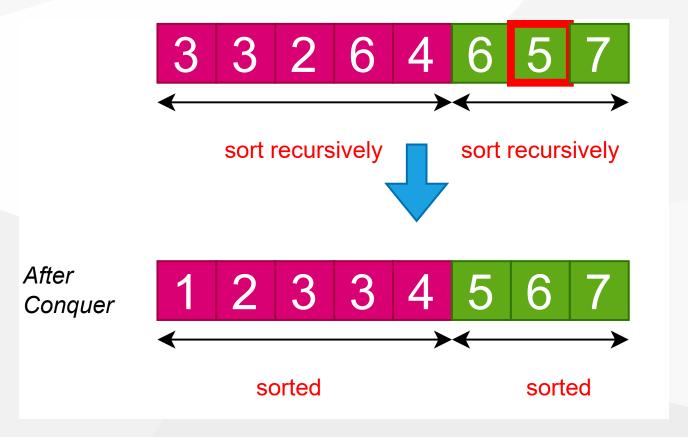
# Divide: Partition the array around a pivot element

- Choose a pivot element x
- Rearrange the array such that:
  - $\circ$  Left subarray: All elements  $\leq x$
  - $\circ$  Right subarray: All elements  $\geq x$



#### Conquer: Recursively Sort the Subarrays

Note: Everything in the left subarray ≤ everything in the right subarray



Note: Combine is trivial after conquer. Array already sorted.

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#### Two partitioning algorithms

#### • Hoare's algorithm:

Partitions around the first element of subarray

$$\circ \ (pivot = x = A[p])$$



#### • Lomuto's algorithm:

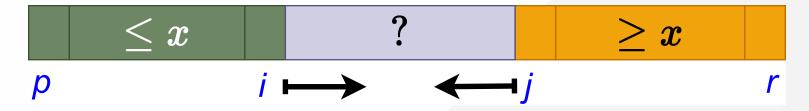
Partitions around the last element of subarray

$$\circ \ (pivot = x = A[r])$$



#### Hoare's Partitioning Algorithm

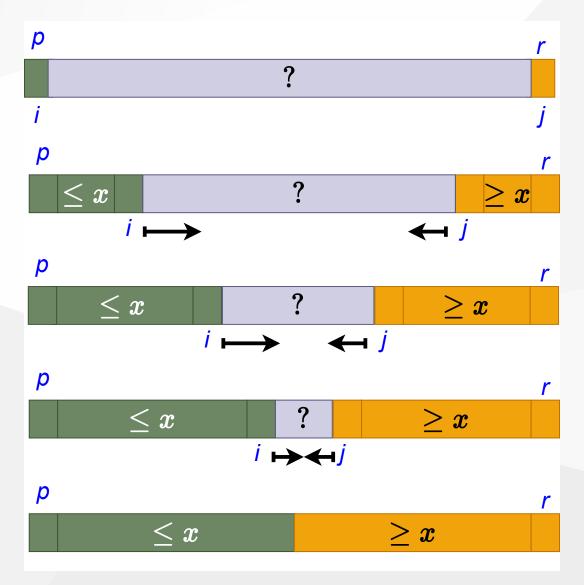
• Choose a pivot element: pivot = x = A[p]



- Grow two regions:
  - $\circ$  from left to right:  $A[p\dots i]$
  - $\circ$  from right to left:  $A[j \dots r]$ 
    - such that:
  - $\circ$  every element in  $A[p\ldots i] \leq \mathsf{pivot}$
  - $\circ$  every element in  $A[p\dots i] \geq$  pivot



### Hoare's Partitioning Algorithm





## Hoare's Partitioning Algorithm

- Elements are exchanged when
  - $\circ$  A[i] is too large to belong to the left region
  - $\circ \ A[j]$  is too small to belong to the right region
    - assuming that the inequality is strict
- ullet The two regions  $A[p\dots i]$  and  $A[j\dots r]$  grow until  $A[i]\geq pivot\geq A[j]$

```
H-PARTITION(A, p, r)

pivot = A[p]

i = p - 1

j = r - 1

while true do

repeat j = j - 1 until A[j] <= pivot

repeat i = i - 1 until A[i] <= pivot

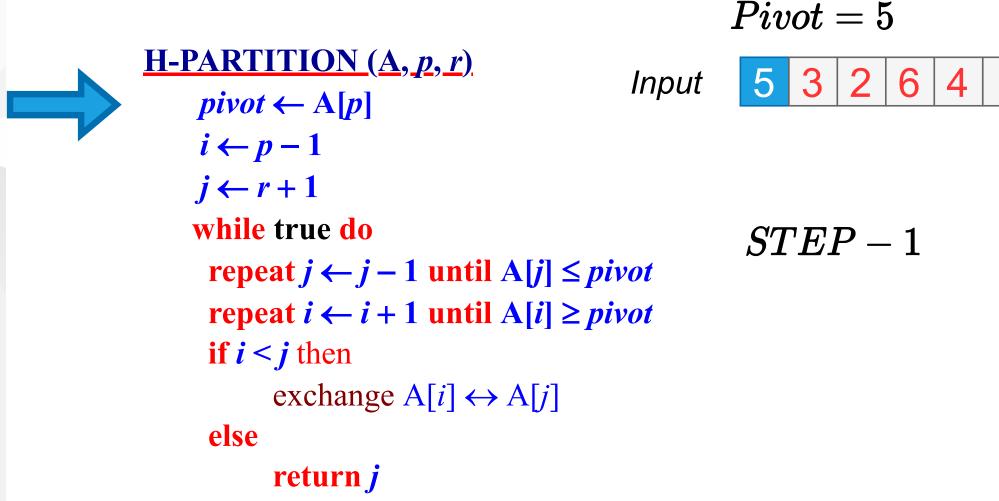
if i < j then

exchange A[i] with A[j]

else

return j
```

#### Hoare's Partitioning Algorithm Example (Step-1)



#### Hoare's Partitioning Algorithm Example (Step-2)

```
Pivot = 5
\underline{\text{H-PARTITION}(A,p,r)}
                                               Input
                                                                          6
     pivot \leftarrow A[p]
     i \leftarrow p-1
    j \leftarrow r + 1
    while true do
                                                           STEP-2
      repeat j \leftarrow j - 1 until A[j] \leq pivot
      repeat i \leftarrow i + 1 until A[i] \ge pivot
      if i < j then
            exchange A[i] \leftrightarrow A[j]
      else
            return j
```



#### Hoare's Partitioning Algorithm Example (Step-3)

```
Pivot = 5
H-PARTITION (A, p, r)
                                             Input
    pivot \leftarrow A[p]
    i \leftarrow p-1
    j \leftarrow r + 1
    while true do
                                                        STEP-3
     repeat j \leftarrow j - 1 until A[j] \leq pivot
      repeat i \leftarrow i + 1 until A[i] \ge pivot
     if i < j then
            exchange A[i] \leftrightarrow A[j]
     else
            return j
```



# Hoare's Partitioning Algorithm Example (Step-4)

```
Pivot = 5
\underline{\text{H-PARTITION}(A, p, r)}
                                                Input
     pivot \leftarrow A[p]
     i \leftarrow p-1
     j \leftarrow r + 1
     while true do
                                                            STEP-4
      repeat j \leftarrow j - 1 until A[j] \leq pivot
      repeat i \leftarrow i + 1 until A[i] \ge pivot
      if i < j then
            exchange A[i] \leftrightarrow A[j]
      else
             return j
```



# Hoare's Partitioning Algorithm Example (Step-5)

```
Pivot = 5
\underline{\text{H-PARTITION}(A, p, r)}
                                                Input
     pivot \leftarrow A[p]
     i \leftarrow p-1
    j \leftarrow r + 1
    while true do
                                                            STEP-5
      repeat j \leftarrow j - 1 until A[j] \leq pivot
      repeat i \leftarrow i + 1 until A[i] \ge pivot
      if i < j then
            exchange A[i] \leftrightarrow A[j]
      else
            return j
```



# Hoare's Partitioning Algorithm Example (Step-6)

```
Pivot = 5
\underline{\text{H-PARTITION}(A, p, r)}
                                                Input
    pivot \leftarrow A[p]
     i \leftarrow p-1
    j \leftarrow r + 1
    while true do
                                                           STEP-6
      repeat j \leftarrow j - 1 until A[j] \le pivot
      repeat i \leftarrow i + 1 until A[i] \ge pivot
      if i < j then
            exchange A[i] \leftrightarrow A[j]
      else
            return j
```

# Hoare's Partitioning Algorithm Example (Step-7)

```
Pivot = 5
\underline{\text{H-PARTITION}(A,p,r)}
                                                Input
     pivot \leftarrow A[p]
     i \leftarrow p-1
    j \leftarrow r + 1
     while true do
                                                           STEP-7
      repeat j \leftarrow j - 1 until A[j] \leq pivot
      repeat i \leftarrow i + 1 until A[i] \ge pivot
      if i < j then
            exchange A[i] \leftrightarrow A[j]
      else
            return j
```

# Hoare's Partitioning Algorithm Example (Step-8)

```
Pivot = 5
\underline{\text{H-PARTITION}(A,p,r)}
                                                Input
     pivot \leftarrow A[p]
     i \leftarrow p-1
    j \leftarrow r + 1
     while true do
                                                           STEP-8
      repeat j \leftarrow j - 1 until A[j] \leq pivot
      repeat i \leftarrow i + 1 until A[i] \ge pivot
      if i < j then
            exchange A[i] \leftrightarrow A[j]
      else
            return j
```

# Hoare's Partitioning Algorithm Example (Step-9)

```
Pivot = 5
\underline{\text{H-PARTITION}(A,p,r)}
                                                           3 3 2
                                               Input
     pivot \leftarrow A[p]
     i \leftarrow p-1
    j \leftarrow r + 1
     while true do
                                                          STEP = 9
      repeat j \leftarrow j - 1 until A[j] \leq pivot
      repeat i \leftarrow i + 1 until A[i] \ge pivot
      if i < j then
            exchange A[i] \leftrightarrow A[j]
      else
            return j
```

# Hoare's Partitioning Algorithm Example (Step-10)

```
Pivot = 5
\underline{\text{H-PARTITION}(A, p, r)}
                                                Input
     pivot \leftarrow A[p]
     i \leftarrow p-1
     j \leftarrow r + 1
    while true do
                                                           STEP - 10
      repeat j \leftarrow j - 1 until A[j] \leq pivot
      repeat i \leftarrow i + 1 until A[i] \ge pivot
      if i < j then
            exchange A[i] \leftrightarrow A[j]
      else
            return j
```

# Hoare's Partitioning Algorithm Example (Step-11)

```
Pivot = 5
\underline{\text{H-PARTITION}(A, p, r)}
                                                Input
     pivot \leftarrow A[p]
     i \leftarrow p-1
     j \leftarrow r + 1
    while true do
                                                          STEP-11
      repeat j \leftarrow j - 1 until A[j] \leq pivot
      repeat i \leftarrow i + 1 until A[i] \ge pivot
      if i < j then
            exchange A[i] \leftrightarrow A[j]
      else
            return j
```

# Hoare's Partitioning Algorithm Example (Step-12)

```
Pivot = 5
\underline{\text{H-PARTITION}(A, p, r)}
                                                Input
     pivot \leftarrow A[p]
     i \leftarrow p-1
    j \leftarrow r + 1
    while true do
                                                          STEP-12
      repeat j \leftarrow j - 1 until A[j] \leq pivot
      repeat i \leftarrow i + 1 until A[i] \ge pivot
      if i < j then
            exchange A[i] \leftrightarrow A[j]
      else
            return j
```

# Hoare's Partitioning Algorithm - Notes

- Elements are exchanged when
  - $\circ$  A[i] is too large to belong to the left region
  - $\circ \ A[j]$  is too small to belong to the right region
    - assuming that the inequality is strict
- ullet The two regions  $A[p\dots i]$  and  $A[j\dots r]$  grow until  $A[i] \geq pivot \geq A[j]$
- ullet The asymptotic runtime of Hoare's partitioning algorithm  $\Theta(n)$

```
H-PARTITION(A, p, r)
    pivot = A[p]
    i = p - 1
    j = r - 1
    while true do
        repeat j = j - 1 until A[j] <= pivot
        repeat i = i - 1 until A[i] <= pivot
        if i < j then exchange A[i] with A[j]
    else return j</pre>
```

### **Quicksort with Hoare's Partitioning Algorithm**

```
QUICKSORT (A, p, r)

if p < r then

q = H-PARTITION(A, p, r)

QUICKSORT(A, p, q)

QUICKSORT(A, q + 1, r)

endif
```

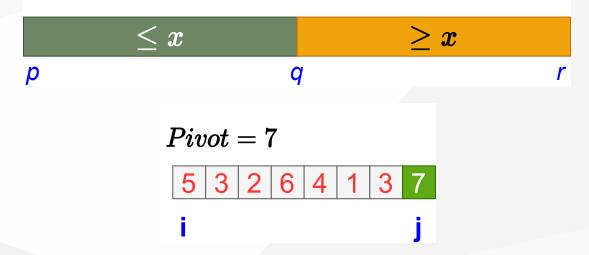
Initial invocation: QUICKSORT(A,1,n)

```
\sum x \geq x r
```



# Hoare's Partitioning Algorithm: Pivot Selection

ullet if we select pivot to be A[r] instead of A[p] in **H-PARTITION** 



- ullet Consider the example where A[r] is the largest element in the array:
  - $\circ$  End of H-PARTITION: i=j=r
  - $\circ$  In QUICKSORT: q=r
    - So, recursive call to:
      - QUICKSORT(A, p, q=r)
        - infinite loop



### Correctness of Hoare's Algorithm (1)

We need to prove 3 claims to show correctness:

- ullet Indices i and j never reference A outside the interval  $A[p\dots r]$
- Split is always non-trivial; i.e., j 
  eq r at termination
- ullet Every element in  $A[p\dots j] \leq$  every element in  $A[j+1\dots r]$  at termination

$$\leq x$$
  $\geq x$ 



### Correctness of Hoare's Algorithm (2)

- Notations:
  - $\circ$  k: # of times the while-loop iterates until termination
  - $\circ$   $i_m$ : the value of index i at the end of iteration m
  - $\circ j_m$ : the value of index j at the end of iteration m
  - $\circ$  x: the value of the pivot element
- ullet Note: We always have  $i_1=p$  and  $p\leq j_1\leq r$  because x=A[p]



### Correctness of Hoare's Algorithm (3)

**Lemma 1:** Either  $i_k=j_k$  or  $i_k=j_k+1$  at termination

#### **Proof of Lemma 1:**

- The algorithm terminates when  $i \geq j$  (the else condition).
- ullet So, it is sufficient to prove that  $i_k j_k \leq 1$
- There are 2 cases to consider:
  - $\circ$  Case 1: k=1, i.e. the algorithm terminates in a single iteration
  - $\circ$  Case 2: k>1, i.e. the alg. does not terminate in a single iter.

By contradiction, assume there is a run with  $i_k - j_k > 1$ 



### Correctness of Hoare's Algorithm (4)

#### Original correctness claims:

- ullet Indices i and j never reference A outside the interval  $A[p\dots r]$
- Split is always non-trivial; i.e.,  $j \neq r$  at termination

#### **Proof:**

- For k=1:
  - $\circ$  Trivial because  $i_1=j_1=p$  (see Case 1 in proof of Lemma 2)
- For k > 1:
  - $\circ \ i_k > p$  and  $j_k < r$  (due to the repeat-until loops moving indices)
  - $\circ \ i_k \leq r$  and  $j_k \geq p$  (due to Lemma 1 and the statement above)



### Correctness of Hoare's Algorithm (5)

**Lemma 2:** At the end of iteration m, where m < k (i.e. m is not the last iteration), we must have:

$$A[p\ldots i_m] \leq x$$
 and  $A[j_m\ldots r] \geq x$ 

#### **Proof of Lemma 2:**

• Base case: m=1 and k>1 (i.e. the alg. does not terminate in the first iter.)

Ind. Hyp.: At the end of iteration m-1, where m < k (i.e. m is not the last iteration), we must have:

$$A[p\ldots i_m-1]\leq x$$
 and  $A[j_m-1\ldots r]\geq x$ 

**General case:** The lemma holds for m, where m < k

### Proof of base case complete!

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### Correctness of Hoare's Algorithm (6)

### Original correctness claim:

ullet (c) Every element in  $A[\ldots j] \leq$  every element in  $A[j+\ldots r]$  at termination

### Proof of claim (c)

- There are 3 cases to consider:
  - $\circ$  Case 1: k=1, i.e. the algorithm terminates in a single iteration
  - $\circ$  Case 2: k>1 and  $i_k=j_k$
  - $\circ$  Case 3: k>1 and  $i_k=j_k+1$



### Lomuto's Partitioning Algorithm

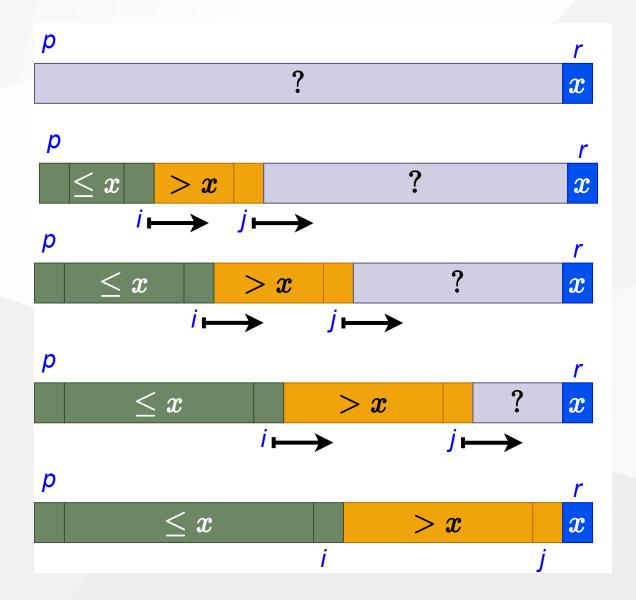
ullet Choose a pivot element: pivot=x=A[r]



- Grow two regions:
  - $\circ$  from left to right:  $A[p\dots i]$
  - $\circ$  from left to right:  $A[i+1\dots j]$ 
    - such that:
      - lacksquare every element in  $A[p\dots i] \leq pivot$
      - lacksquare every element in  $A[i+1\dots j]>pivot$

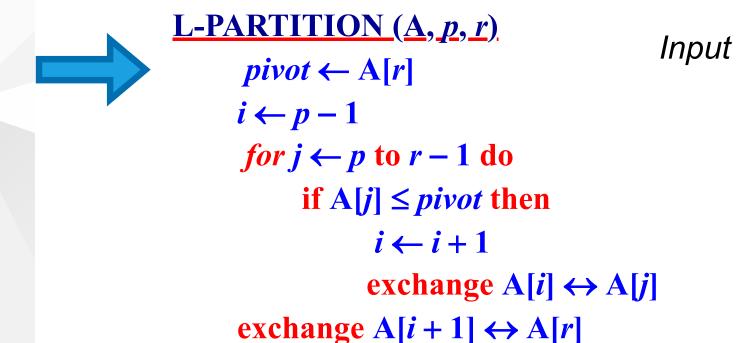


# Lomuto's Partitioning Algorithm





### Lomuto's Partitioning Algorithm Ex. (Step-1)



return i+1

```
p Pivot = 4  r
7 8 2 6 5 1 3 4
```

STEP-1



### Lomuto's Partitioning Algorithm Ex. (Step-2)

```
Pivot = 4
L-PARTITION (A, p, r)
                                             Input
      pivot \leftarrow A[r]
     i \leftarrow p-1
     for j \leftarrow p to r-1 do
           if A[j] \leq pivot then
                                                        STEP-2
                  i \leftarrow i + 1
                  exchange A[i] \leftrightarrow A[j]
     exchange A[i+1] \leftrightarrow A[r]
      return i+1
```



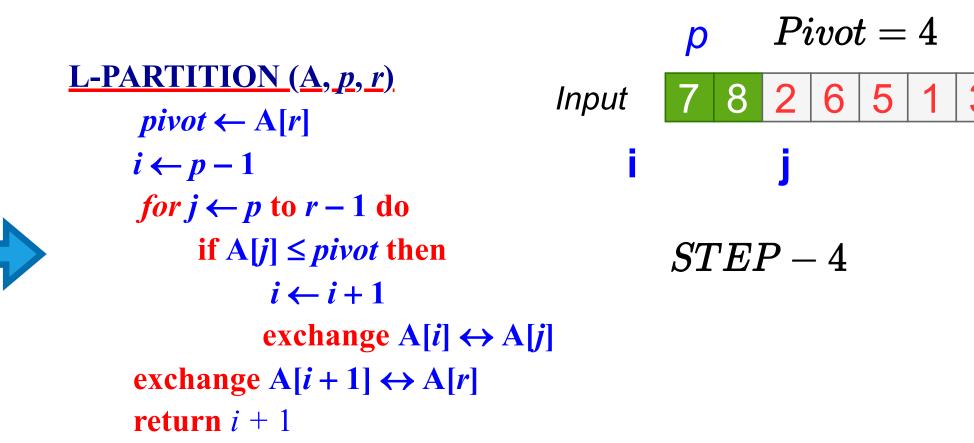
### Lomuto's Partitioning Algorithm Ex. (Step-3)

```
L-PARTITION (A, p, r)
      pivot \leftarrow A[r]
      i \leftarrow p-1
      for j \leftarrow p to r-1 do
            if A[j] \leq pivot then
                    i \leftarrow i + 1
                   exchange A[i] \leftrightarrow A[j]
      exchange A[i+1] \leftrightarrow A[r]
      return i+1
```





### Lomuto's Partitioning Algorithm Ex. (Step-4)





### Lomuto's Partitioning Algorithm Ex. (Step-5)

```
Pivot = 4
L-PARTITION (A, p, r)
                                                Input
      pivot \leftarrow A[r]
      i \leftarrow p-1
      for j \leftarrow p \text{ to } r-1 \text{ do}
            if A[j] \leq pivot then
                                                            STEP-5
                   i \leftarrow i + 1
                   exchange A[i] \leftrightarrow A[j]
      exchange A[i+1] \leftrightarrow A[r]
      return i+1
```

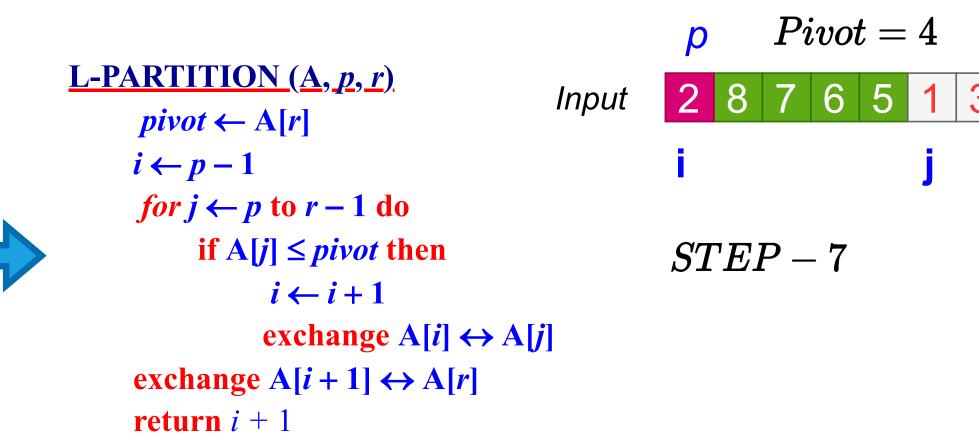


### Lomuto's Partitioning Algorithm Ex. (Step-6)

```
Pivot = 4
L-PARTITION (A, p, r)
                                                Input
      pivot \leftarrow A[r]
      i \leftarrow p-1
      for j \leftarrow p \text{ to } r-1 \text{ do}
            if A[j] \leq pivot then
                                                           STEP-6
                   i \leftarrow i + 1
                   exchange A[i] \leftrightarrow A[j]
      exchange A[i+1] \leftrightarrow A[r]
      return i+1
```



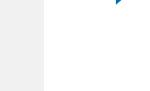
### Lomuto's Partitioning Algorithm Ex. (Step-7)





### Lomuto's Partitioning Algorithm Ex. (Step-8)

```
Pivot = 4
L-PARTITION (A, p, r)
                                                Input
      pivot \leftarrow A[r]
      i \leftarrow p-1
      for j \leftarrow p \text{ to } r-1 \text{ do}
            if A[j] \leq pivot then
                                                            STEP-8
                   i \leftarrow i + 1
                   exchange A[i] \leftrightarrow A[j]
      exchange A[i+1] \leftrightarrow A[r]
      return i+1
```



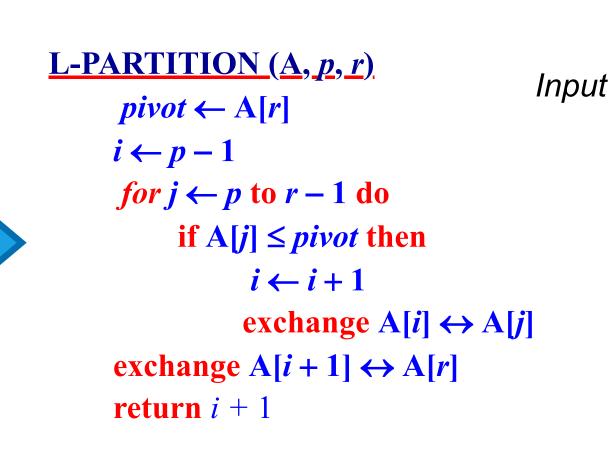


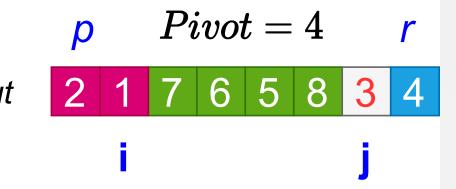
### Lomuto's Partitioning Algorithm Ex. (Step-9)

```
Pivot = 4
L-PARTITION (A, p, r)
                                                                         6 5 8
                                               Input
      pivot \leftarrow A[r]
     i \leftarrow p-1
      for j \leftarrow p \text{ to } r-1 \text{ do}
            if A[j] \leq pivot then
                                                          STEP-9
                   i \leftarrow i + 1
                  exchange A[i] \leftrightarrow A[j]
      exchange A[i+1] \leftrightarrow A[r]
      return i+1
```



### Lomuto's Partitioning Algorithm Ex. (Step-10)





$$STEP-10$$



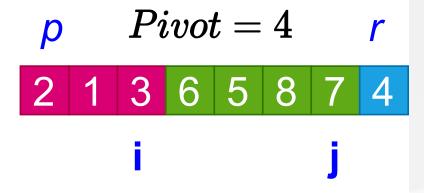
### Lomuto's Partitioning Algorithm Ex. (Step-11)

```
Pivot = 4
L-PARTITION (A, p, r)
                                                                        6 5 8
                                               Input
      pivot \leftarrow A[r]
     i \leftarrow p-1
      for j \leftarrow p \text{ to } r-1 \text{ do}
            if A[j] \leq pivot then
                                                         STEP-11
                   i \leftarrow i + 1
                  exchange A[i] \leftrightarrow A[j]
      exchange A[i+1] \leftrightarrow A[r]
      return i+1
```

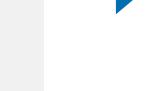


### Lomuto's Partitioning Algorithm Ex. (Step-12)

```
L-PARTITION (A, p, r)
                                                    Input
       pivot \leftarrow A[r]
      i \leftarrow p-1
      for j \leftarrow p \text{ to } r-1 \text{ do}
             if A[j] \leq pivot then
                     i \leftarrow i + 1
                    exchange A[i] \leftrightarrow A[j]
       exchange A[i+1] \leftrightarrow A[r]
       return i+1
```



$$STEP-12$$





### Lomuto's Partitioning Algorithm Ex. (Step-13)

```
Pivot = 4
L-PARTITION (A, p, r)
                                                     2 1 3 6 5 8
                                          Input
     pivot \leftarrow A[r]
     i \leftarrow p-1
     for j \leftarrow p to r-1 do
           if A[j] \leq pivot then
                                                    STEP-13
                 i \leftarrow i + 1
                 exchange A[i] \leftrightarrow A[j]
     exchange A[i+1] \leftrightarrow A[r]
     return i+1
```



### Lomuto's Partitioning Algorithm Ex. (Step-14)

```
Pivot = 4
L-PARTITION (A, p, r)
                                                               3 4
                                                                        5 8
                                           Input
      pivot \leftarrow A[r]
     i \leftarrow p-1
     for j \leftarrow p to r-1 do
           if A[j] \leq pivot then
                                                     STEP - 14
                 i \leftarrow i + 1
                 exchange A[i] \leftrightarrow A[j]
     exchange A[i+1] \leftrightarrow A[r]
     return i+1
```



### Lomuto's Partitioning Algorithm Ex. (Step-15)

```
Pivot = 4
L-PARTITION (A, p, r)
                                                              3 4
                                                                       5 8
                                           Input
      pivot \leftarrow A[r]
     i \leftarrow p-1
     for j \leftarrow p to r-1 do
           if A[j] \leq pivot then
                                                     STEP-15
                 i \leftarrow i + 1
                 exchange A[i] \leftrightarrow A[j]
     exchange A[i+1] \leftrightarrow A[r]
     return i+1
```



### Quicksort with Lomuto's Partitioning Algorithm

```
QUICKSORT (A, p, r)

if p < r then

q = L-PARTITION(A, p, r)

QUICKSORT(A, p, q - 1)

QUICKSORT(A, q + 1, r)

endif
```

Initial invocation: QUICKSORT(A,1,n)





### Comparison of Hoare's & Lomuto's Algorithms

- Notation: n = r p + 1
  - $\circ \ pivot = A[p]$  (Hoare)
  - $\circ \ pivot = A[r]$  (Lomuto)
- ullet # of element exchanges: e(n)
  - $\circ$  Hoare:  $0 \geq e(n) \geq \lfloor \frac{n}{2} \rfloor$ 
    - lacksquare Best: k=1 with  $i_1=j_1=p$  (i.e.,  $A[p+1\dots r]>pivot$ )
    - $lacksymbol{lack}$  Worst:  $A[p+1\dots p+\lfloor rac{n}{2} 
      floor-1] \geq pivot \geq A[p+\lceil rac{n}{2} 
      ceil \dots r]$
  - $\circ$  Lomuto :  $1 \leq e(n) \leq n$ 
    - $lacksquare \mathsf{Best:}\, A[p\dots r-1] > pivot$
    - $lacksquare Worst: A[p\dots r-1] \leq pivot$



# Comparison of Hoare's & Lomuto's Algorithms

- ullet # of element comparisons:  $c_e(n)$ 
  - $\circ$  Hoare:  $n+1 \leq c_e(n) \leq n+2$ 
    - lacksquare Best:  $i_k=j_k$
    - Worst:  $i_k = j_k + 1$
  - $\circ$  Lomuto:  $c_e(n) = n-1$
- ullet # of index comparisons:  $c_i(n)$ 
  - $\circ$  Hoare:  $1 \leq c_i(n) \leq \lfloor rac{n}{2} 
    floor + 1 ert(c_i(n) = e(n) + 1)$
  - $\circ$  Lomuto:  $c_i(n) = n-1$



### Comparison of Hoare's & Lomuto's Algorithms

- ullet # of index increment/decrement operations: a(n)
  - $\circ$  Hoare:  $n+1 \leq a(n) \leq n+2 | (a(n)=c_e(n)) |$
  - $\circ$  Lomuto:  $n \leq a(n) \leq 2n-1 | (a(n)=e(n)+(n-1)) |$
- Hoare's algorithm is in general faster
- ullet Hoare behaves better when pivot is repeated in  $A[p\dots r]$ 
  - Hoare: Evenly distributes them between left & right regions
  - Lomuto: Puts all of them to the left region



### **Analysis of Quicksort**

```
QUICKSORT (A, p, r)

if p < r then

q = H-PARTITION(A, p, r)

QUICKSORT(A, p, q)

QUICKSORT(A, q + 1, r)

endif
```

Initial invocation: QUICKSORT(A,1,n)



Assume all elements are distinct in the following analysis



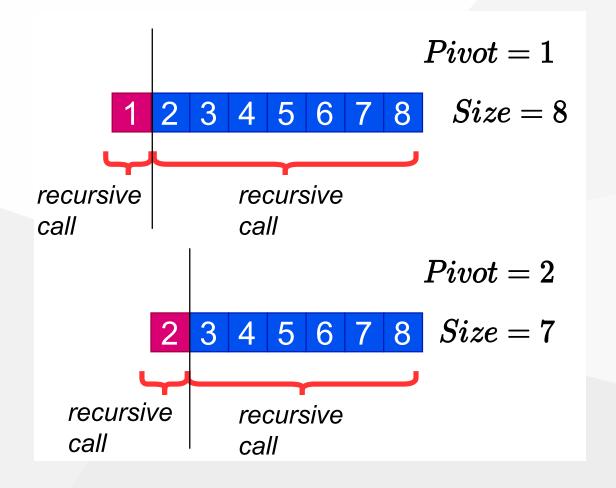
# **Analysis of Quicksort**

- ullet H-PARTITION always chooses A[p] (the first element) as the pivot.
- ullet The runtime of **QUICKSORT** on an already-sorted array is  $\Theta(n^2)$



### **Example: An Already Sorted Array**

Partitioning always leads to 2 parts of size 1 and n-1





### Worst Case Analysis of Quicksort

- Worst case is when the PARTITION algorithm always returns imbalanced partitions (of size 1 and n-1) in every recursive call.
  - This happens when the pivot is selected to be either the min or max element.
  - This happens for H-PARTITION when the input array is already sorted or reverse sorted

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

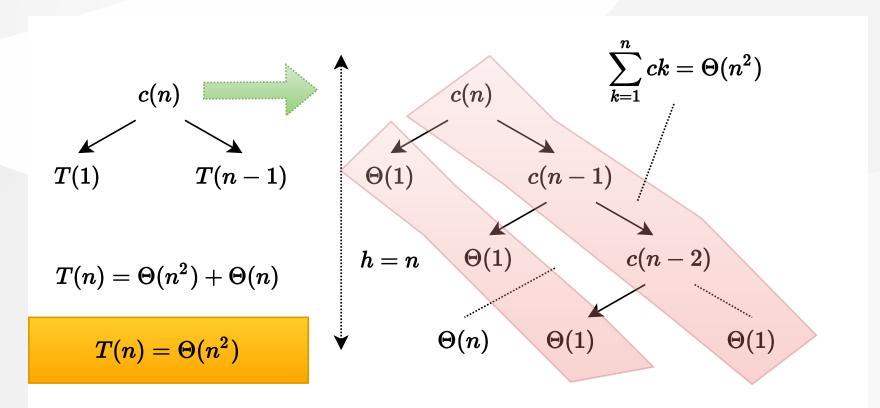
$$= T(n-1) + \Theta(n)$$

$$= \Theta(n2)$$



#### **Worst Case Recursion Tree**

$$T(n) = T(1) + T(n-1) + cn$$



### **Best Case Analysis (for intuition only)**

• If we're extremely lucky, H-PARTITION splits the array evenly at every recursive call

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

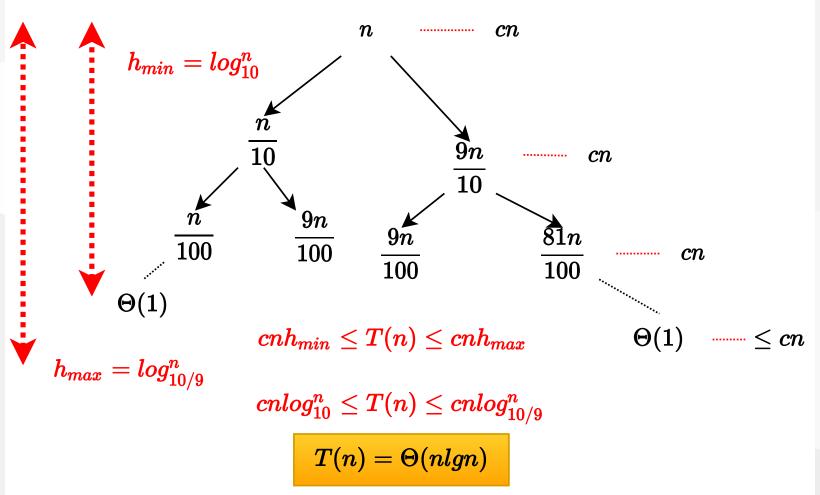
(same as merge sort)

• Instead of splitting 0.5:0.5, if we split 0.1:0.9 then we need solve following equation.

$$T(n) = T(n/10) + T(9n/10) + \Theta(n) = \Theta(nlgn)$$



### "Almost-Best" Case Analysis





- We have seen that if **H-PARTITION** always splits the array with 0.1-to-0.9 ratio, the runtime will be  $\Theta(nlgn)$ .
- Same is true with a split ratio of 0.01 to 0.99, etc.
- Possible to show that if the split has always constant  $(\Theta(1))$  proportionality, then the runtime will be  $\Theta(nlgn)$ .
- In other words, for a constant  $\alpha | (0 < \alpha \le 0.5)$ :
  - $\circ \; lpha \! \! to \! \! (1-lpha)$  proportional split yields  $\Theta(nlgn)$  total runtime



- In the rest of the analysis, assume that all input permutations are equally likely.
  - This is only to gain some intuition
  - We cannot make this assumption for average case analysis
  - We will revisit this assumption later
- Also, assume that all input elements are distinct.

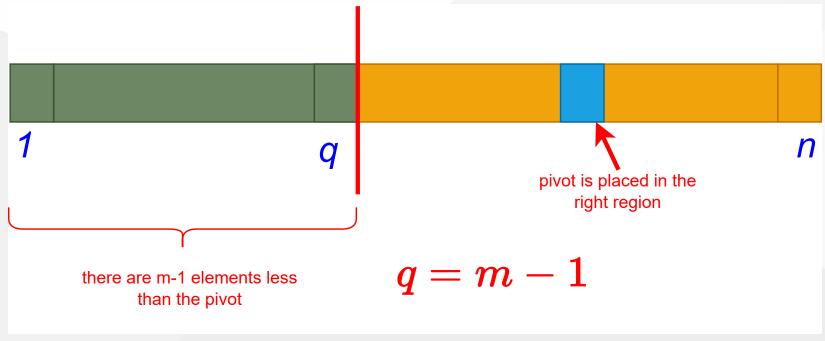


• Question: What is the probability that H-PARTITION returns a split that is more balanced than 0.1-to-0.9?



Reminder: H-PARTITION will place the pivot in the right partition unless the pivot is the smallest element in the arrays.

Question: If the pivot selected is the mth smallest value  $(1 < m \le n)$  in the input array, what is the size of the left region after partitioning?

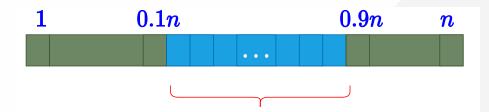


- Question: What is the probability that the pivot selected is the  $m^{th}$  smallest value in the array of size n?
  - $\circ 1/n$  (since all input permutations are equally likely)
- Question: What is the probability that the left partition returned by H-PARTITION has size m, where 1 < m < n?
  - $\circ \ 1/n$  (due to the answers to the previous 2 questions)



# CE100 Algorithms and Programming II Balanced Partitioning

 Question: What is the probability that H-PARTITION returns a split that is more balanced than 0.1 - to - 0.9?



The partition boundary will be in this region for a more balanced split than

$$0.1 - to - 0.9$$

$$Probability = \sum_{q=0.1n+1}^{0.9n-1} rac{1}{n} = rac{1}{n}(0.9n-1-0.1n-1+1)$$

$$=0.8-\frac{1}{n}$$

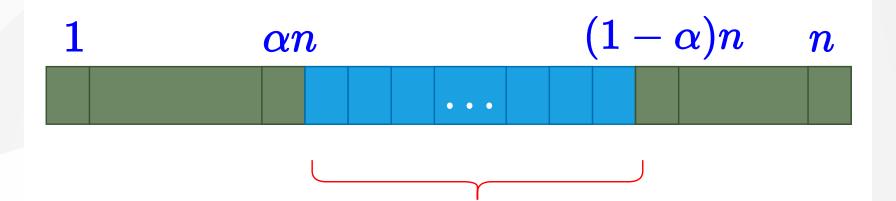
 $\approx 0.8$  for large n



- The probability that **H-PARTITION** yields a split that is more balanced than 0.1-to-0.9 is 80% on a random array.
- Let  $P_{\alpha>}$  be the probability that **H-PARTITION** yields a split more balanced than  $\alpha-to-(1-lpha)$ , where  $0<lpha\leq 0.5$
- Repeat the analysis to generalize the previous result



ce100 Algorithal anced than lpha-to-(1-lpha)?



The partition boundary will be in this region for a more balanced split than

$$\alpha n - to - (1 - \alpha)n$$

$$Probability = \sum_{q=lpha n+1}^{(1-lpha)n-1} rac{1}{n} \ = rac{1}{n}((1-lpha)n-1-lpha n-1+1)$$

- ullet We found  $P_{lpha>}=1-2lpha$ 
  - $_{\circ}\,$  Ex:  $P_{0.1>}=0.8$  and  $P_{0.01>}=0.98$
- Hence, **H-PARTITION** produces a split
  - more balanced than a
    - lacksquare 0.1-to-0.9 split 80% of the time
    - 0.01-to-0.99 split 98% of the time
  - less balanced than a
    - 0.1-to-0.9 split 20% of the time
    - 0.01-to-0.99 split 2% of the time



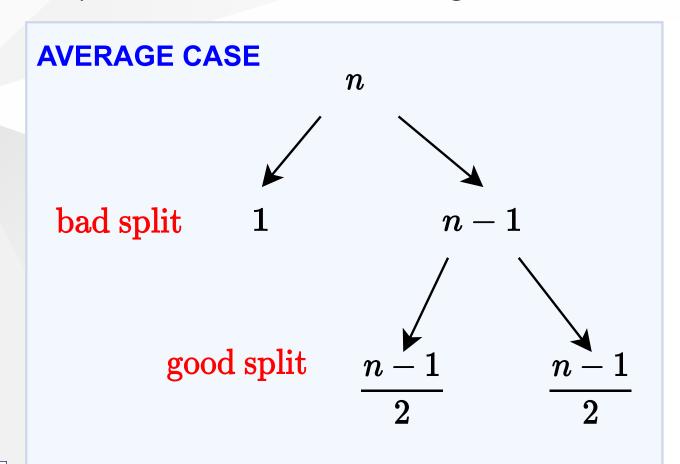
- Assumption: All permutations are equally likely
  - Only for intuition; we'll revisit this assumption later
- Unlikely: Splits always the same way at every level
- Expectation:
  - Some splits will be reasonably balanced
  - Some splits will be fairly unbalanced
- Average case: A mix of good and bad splits
  - Good and bad splits distributed randomly thru the tree

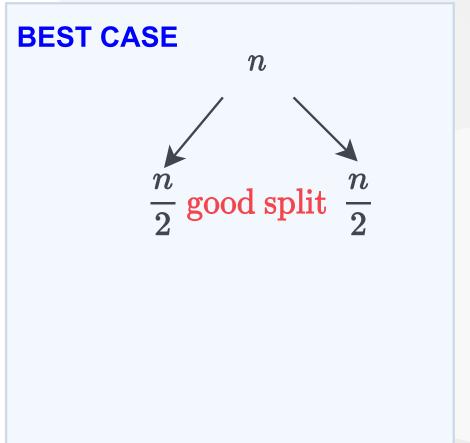


- Assume for intuition: Good and bad splits occur in the alternate levels of the tree
  - Good split: Best case split
  - Bad split: Worst case split



Compare 2-successive levels of avg case vs. 1 level of best case





- In terms of the remaining subproblems, **two levels of avg case** is slightly better than the **single level of the best case**
- The avg case has **extra divide cost of**  $\Theta(n)$  at alternate levels
- The extra divide cost  $\Theta(n)$  of bad splits absorbed into the  $\Theta(n)$  of good splits.
- ullet Running time is still  $\Theta(nlgn)$ 
  - But, slightly larger hidden constants, because the height of the recursion tree is about twice of that of best case.



- Another way of looking at it:
  - Suppose we alternate lucky, unlucky, lucky, unlucky, ...
  - We can write the recurrence as:
    - $L(n) = 2U(n/2) + \Theta(n)$  lucky split (best)
    - $lacksquare U(n) = L(n-1) + \Theta(n)$  unlucky split (worst)
  - Solving:

$$egin{aligned} L(n) &= 2(L(n/2-1) + \Theta(n/2)) + \Theta(n) \ &= 2L(n/2-1) + \Theta(n) \ &= \Theta(nlgn) \end{aligned}$$

How can we make sure we are usually lucky for all inputs?

• Worst case: Unbalanced split at every recursive call

$$T(n) = T(1) + T(n-1) + \Theta(n)$$
 $T(n) = \Theta(n2)$ 

• Best case: Balanced split at every recursive call (extremely lucky)

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



• Almost-best case: Almost-balanced split at every recursive call

$$T(n) = T(n/10) + T(9n/10) + \Theta(n)$$
 or  $T(n) = T(n/100) + T(99n/100) + \Theta(n)$  or  $T(n) = T(\alpha n) + T((1 - \alpha n) + \Theta(n)$ 

for any constant  $lpha, 0 < lpha \leq 0.5$ 



- For a random input array, the probability of having a split
  - $\circ$  more balanced than 0.1–to–0.9:80%
  - $\circ$  more balanced than 0.01–to–0.99:98%
  - $\circ$  more balanced than lpha to (1-lpha): 1 2lpha for any constant  $lpha, 0 < lpha \le 0.5$



- Avg case intuition: Different splits expected at different levels
  - some balanced (good), some unbalanced (bad)
- Avg case intuition: Assume the good and bad splits alternate
  - i.e. good split -> bad split -> good split -> ...
  - $\circ \ T(n) = \Theta(nlgn)$ 
    - (informal analysis for intuition)



#### Randomized Quicksort

- In the avg-case analysis, we assumed that all permutations of the input array are equally likely.
  - But, this assumption does not always hold
  - e.g. What if all the input arrays are reverse sorted?
    - Always worst-case behavior
- Ideally, the avg-case runtime should be independent of the input permutation.
- Randomness should be within the algorithm, not based on the distribution of the inputs.
  - i.e. The avg case should hold for all possible inputs



### **Randomized Algorithms**

- Alternative to assuming a uniform distribution:
  - Impose a uniform distribution
  - o e.g. Choose a random pivot rather than the first element
- Typically useful when:
  - there are many ways that an algorithm can proceed
  - o but, it's difficult to determine a way that is always guaranteed to be good.
  - o If there are many good alternatives; simply choose one randomly.



### **Randomized Algorithms**

- Ideally:
  - Runtime should be independent of the specific inputs
  - No specific input should cause worst-case behavior
  - Worst-case should be determined only by output of a random number generator.



#### Randomized Quicksort

• Using Hoare's partitioning algorithm:

```
R-QUICKSORT(A, p, r)
if p < r then
  q = R-PARTITION(A, p, r)
  R-QUICKSORT(A, p, q)
  R-QUICKSORT(A, q+1, r)</pre>
```

```
R-PARTITION(A, p, r)
s = RANDOM(p, r)
exchange A[p] with A[s]
return H-PARTITION(A, p, r)
```

- Alternatively, permuting the whole array would also work
  - but, would be more difficult to analyze



#### Randomized Quicksort

Using Lomuto's partitioning algorithm:

```
R-QUICKSORT(A, p, r)
if p < r then
  q = R-PARTITION(A, p, r)
  R-QUICKSORT(A, p, q-1)
  R-QUICKSORT(A, q+1, r)</pre>
```

```
R-PARTITION(A, p, r)
s = RANDOM(p, r)
exchange A[r] with A[s]
return L-PARTITION(A, p, r)
```

- Alternatively, permuting the whole array would also work
  - o but, would be more difficult to analyze



# **Notations for Formal Analysis**

- ullet Assume all elements in  $A[p\dots r]$  are distinct
  - $\circ$  Let n=r–p+1
- ullet Let  $rank(x) = |A[i]: p \leq i \leq r ext{ and } A[i] \leq x|$
- ullet i.e. rank(x) is the number of array elements with value less than or equal to x
  - $A = \{5, 9, 7, 6, 8, 1, 4\}$
  - p = 5, r = 4
  - $\circ rank(5) = 3$ 
    - i.e. it is the  $3^{rd}$  smallest element in the array



### Formal Analysis for Average Case

- The following analysis will be for **Quicksort** using **Hoare's** partitioning algorithm.
- ullet Reminder: The pivot is selected randomly and exchanged with A[p] before calling H-PARTITION
- Let x be the random pivot chosen.
- ullet What is the probability that rank(x)=i for  $i=1,2,\ldots n$  ?

$$P(rank(x) = i) = 1/n$$



#### Various Outcomes of H-PARTITION

- Assume that rank(x) = 1
  - o i.e. the random pivot chosen is the smallest element
  - $\circ$  What will be the size of the left partition (|L|)?
  - $\circ$  Reminder: Only the elements less than or equal to x will be in the left partition.

$$p=2, r=4 \ pivot=x=2$$

## CE100 Various Outcomes of H-PARTITION

- ullet Assume that rank(x)>1
  - o i.e. the random pivot chosen is not the smallest element
  - $\circ$  What will be the size of the left partition (|L|)?
  - $\circ$  Reminder: Only the elements less than or equal to x will be in the left partition.
  - $\circ$  Reminder: The pivot will stay in the right region after H-PARTITION if rank(x)>1

$$A = \{ \overbrace{2}^p, 4$$
 ,  $7, 6, 8, \overbrace{5}^{pivot}, \overbrace{9}^r \}$   $\Longrightarrow |L| = rank(x) - 1$ 

$$egin{aligned} p=2, r=4 \ pivot=x=5 \end{aligned}$$

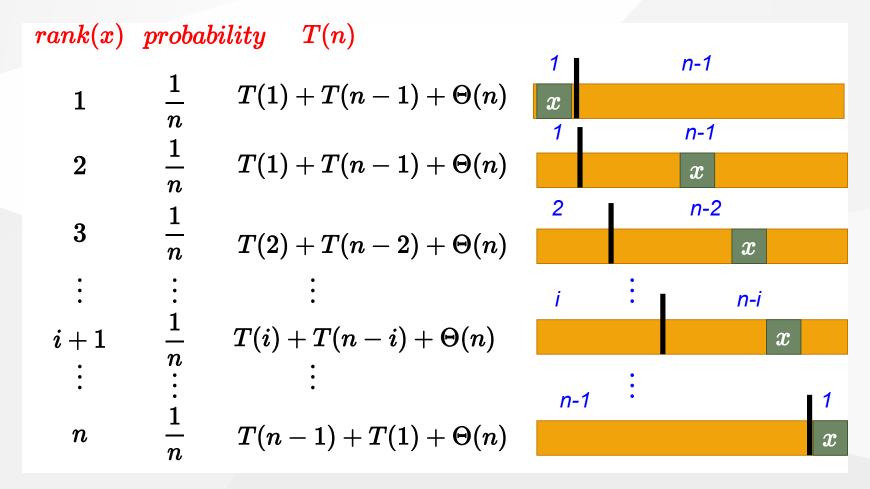
RTEU CE100 Week-3

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#### Various Outcomes of H-PARTITION - Summary

- $\bullet x: pivot$
- |L| : size of left region
- $P(rank(x) = i) = 1/n \text{ for } 1 \leq i \leq n$ 
  - $\circ ext{ if } rank(x) = 1 ext{ then } |L| = 1$
  - $\circ ext{ if } rank(x) > 1 ext{ then } |L| = rank(x) 1$
- P(|L| = 1) = P(rank(x) = 1) + P(rank(x) = 2)
  - $| \circ P(|L|=1)=2/n$
- P(|L| = i) = P(rank(x) = i + 1) for 1 < i < n
  - P(|L| = i) = 1/n for 1 < i < n

#### **Various Outcomes of H-PARTITION - Summary**



#### CE100 Average regrease Analysis: Recurrence

$$x = pivot$$

$$T(n) = rac{1}{n}(T(1) + t(n-1)) \qquad rank:1 \ + rac{1}{n}(T(1) + t(n-1)) \qquad rank:2 \ + rac{1}{n}(T(2) + t(n-2)) \qquad rank:3 \ dots \qquad dots \qquad dots \ + rac{1}{n}(T(i) + t(n-i)) \qquad rank:i+1 \ dots \ + rac{1}{n}(T(n-1) + t(1)) \qquad rank:n \ + \Theta(n)$$

#### Recurrence

$$T(n) = rac{1}{n} \sum_{q=1}^{n-1} (T(q) + T(n-q)) + rac{1}{n} (T(1) + T(n-1)) + \Theta(n)$$
 $ext{Note: } rac{1}{n} (T(1) + T(n-1)) = rac{1}{n} (\Theta(1) + O(n^2)) = O(n)$ 
 $T(n) = rac{1}{n} \sum_{q=1}^{n-1} (T(q) + T(n-q)) + \Theta(n)$ 

for  $k=1,2,\ldots,n-1$  each term T(k) appears twice once for q=k and once for q=n-k

$$T(n)=rac{2}{n}\sum_{k=1}^{n-1}T(k)+\Theta(n)$$

## Solving Recurrence: Substitution

- Guess: T(n) = O(nlgn)
- $T(k) \leq aklgk$  for k < n, for some constant a > 0

$$egin{align} T(n) &= rac{2}{n} \sum_{k=1}^{n-1} T(k) + \Theta(n) \ &\leq rac{2}{n} \sum_{k=1}^{n-1} aklgk + \Theta(n) \ &\leq rac{2a}{n} \sum_{k=1}^{n-1} klgk + \Theta(n) \end{aligned}$$

• Need a tight bound for  $\sum klgk$ 

# Tight bound for $\sum klgk$

Bounding the terms

$$0.5 \sum_{k=1}^{n-1} klgk \leq \sum_{k=1}^{n-1} nlgn = n(n-1)lgn \leq n^2 lgn$$

This bound is not strong enough because

$$\circ \ T(n) \leq rac{2a}{n} n^2 lgn + \Theta(n)$$

$$\circ = 2anlgn + \Theta(n) \Longrightarrow$$
 couldn't prove  $T(n) \leq anlgn$ 



# Tight bound for $\sum klgk$

- Splitting summations: ignore ceilings for simplicity
- $ullet \sum_{k=1}^{n-1} k lgk \leq \sum_{k=1}^{n/2-1} k lgk + \sum_{k=n/2}^{n-1} k lgk$ 
  - $\circ$  First summation: lgk < lg(n/2) = lgn 1
  - $\circ$  Second summation: lgk < lgn



Splitting: 
$$\sum_{k=1}^{n-1} klgk \leq \sum_{k=1}^{n/2-1} klgk + \sum_{k=n/2}^{n-1} klgk$$

$$ullet \sum_{k=1}^{n-1} k l g k \leq (l g (n-1)) \sum_{k=1}^{n/2-1} k + l g n \sum_{k=n/2}^{n-1} k$$

$$0 = lgn \sum_{k=1}^{n-1} k - \sum_{k=1}^{n/2-1} k$$

$$o = \frac{1}{2}n(n-1)lgn - \frac{1}{2}\frac{n}{2}(\frac{n}{2}-1)$$

$$0 = rac{1}{2}n^2lgn - rac{1}{8}n^2 - rac{1}{2}n(lgn - 1/2)$$

• 
$$\sum_{k=1}^{n-1} k lgk \leq rac{1}{2} n^2 lgn - rac{1}{8} n^2$$
 for  $lgn \geq 1/2 \Longrightarrow n \geq \sqrt{2}$ 



Substituting: - 
$$\sum_{k=1}^{n-1} k lgk \leq rac{1}{2} n^2 lgn - rac{1}{8} n^2$$

$$egin{align} T(n) &\leq rac{2a}{n} \sum_{k=1}^{n-1} k l g k + \Theta(n) \ &\leq rac{2a}{n} (rac{1}{2} n^2 l g n - rac{1}{8} n^2) + \Theta(n) \ &= a n l g n - (rac{a}{4} n - \Theta(n)) \end{aligned}$$

ullet We can choose a large enough so that  $rac{a}{4}n \geq \Theta(n)$ 

$$T(n) \leq anlgn$$
  $T(n) = O(nlgn)$ 



#### **Medians and Order Statistics**

- ullet ith order statistic:  $i^{th}$  smallest element of a set of n elements
- minimum: first order statistic
- maximum:  $n^{th}$  order statistic
- median: "halfway point" of the set

$$i=\lfloor rac{(n+1)}{2}
floor$$

or

$$i = \lceil rac{(n+1)}{2} 
ceil$$



#### **Selection Problem**

- Selection problem: Select the  $i^{th}$  smallest of n elements
- ullet Naïve algorithm: Sort the input array A; then return A[i]

$$\circ \ T(n) = heta(nlgn)$$

- using e.g. merge sort (but not quicksort)
- Can we do any better?



#### Selection in Expected Linear Time

- Randomized algorithm using divide and conquer
- Similar to randomized quicksort
  - Like quicksort: Partitions input array recursively
  - Unlike quicksort: Makes a single recursive call
    - Reminder: Quicksort makes two recursive calls
- Expected runtime:  $\Theta(n)$ 
  - $\circ$  Reminder: Expected runtime of quicksort:  $\Theta(nlgn)$



## Selection in Expected Linear Time: Example 1

• Select the  $2^{nd}$  smallest element:

$$A = \{6, 10, 13, 5, 8, 3, 2, 11\}$$
  
 $i = 2$ 

Partition the input array:

$$A = \{\underbrace{2,3,5}, \underbrace{13,8,10,6,11}\}$$
left subarray right subarray

ullet make a recursive call to select the  $2^{nd}$  smallest element in left subarray

## Selection in Expected Linear Time: Example 2

• Select the  $7^{th}$  smallest element:

$$A = \{6, 10, 13, 5, 8, 3, 2, 11\}$$
  
 $i = 7$ 

Partition the input array:

$$A = \{ 2, 3, 5, 13, 8, 10, 6, 11 \}$$
left subarray right subarray

ullet make a recursive call to select the  $4^{th}$  smallest element in right subarray

#### Selection in Expected Linear Time

```
R-SELECT(A,p,r,i)
  if p == r then
    return A[p];
  q = R-PARTITION(A, p, r)
  k = q-p+1;
  if i <= k then
    return R-SELECT(A, p, q, i);
  else
    return R-SELECT(A, q+1, r, i-k);</pre>
```

$$A = \{ igcup_p \cdots \le x ( ext{k smallest elements}) \ldots igcup_q \cdots \ge x \ldots igcup_r \} \ x = pivot$$



#### Selection in Expected Linear Time

- ullet All elements in  $L \leq$  all elements in R
- *L* contains:
- ullet |L|=q–p+1= k smallest elements of A[p...r]
- ullet if  $i \leq |L| = k$  then
  - $\circ$  search L recursively for its  $i^{th}$  smallest element
- else
  - $\circ$  search R recursively for its  $(i-k)^{th}$  smallest element

## **Runtime Analysis**

- Worst case:
  - Imbalanced partitioning at every level and the recursive call always to the larger partition

$$i = \{1, 2, 3, 4, 5, 6, 7, 8\}$$
  $i = 8$ 
 $i = \{2, 3, 4, 5, 6, 7, 8\}$   $i = 7$ 
 $i = 7$ 
 $i = 7$ 

## **Runtime Analysis**

• Worst case: Worse than the naïve method (based on sorting)

$$T(n) = T(n-1) + \Theta(n) \ T(n) = \Theta(n^2)$$

• Best case: Balanced partitioning at every recursive level

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

• Avg case: Expected runtime – need analysis T.B.D.

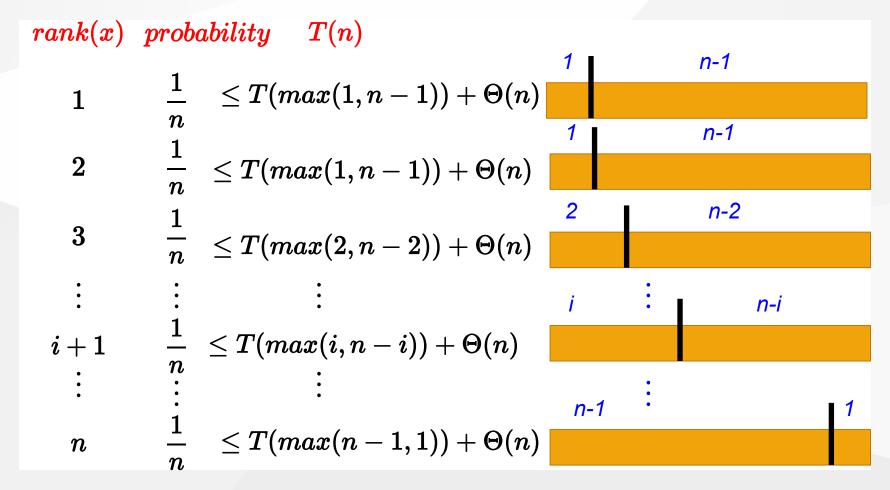
#### Reminder: Various Outcomes of H-PARTITION

- $\bullet x : pivot$
- ullet |L| : size of left region
- $P(rank(x) = i) = 1/n \text{ for } 1 \leq i \leq n$ 
  - $\circ ext{ if } rank(x) = 1 ext{ then } |L| = 1$
  - $\circ ext{ if } rank(x) > 1 ext{ then } |L| = rank(x) 1$
- P(|L| = 1) = P(rank(x) = 1) + P(rank(x) = 2)
  - $| \circ P(|L|=1)=2/n$
- P(|L| = i) = P(rank(x) = i + 1) for 1 < i < n
  - P(|L| = i) = 1/n for 1 < i < n

• To compute the **upper bound** for the **avg case**, assume that the  $i^{th}$  element always falls into the **larger partition**.

- We will analyze the case where the recursive call is always made to the larger partition
  - This will give us an upper bound for the avg case

#### Various Outcomes of H-PARTITION



$$ext{Recall:} P(|L|=i) = egin{cases} 2/n & ext{for } i=1 \ 1/n & ext{for } i=2,3,\ldots,n-1 \end{cases}$$

**Upper bound:** Assume  $i^{th}$  element always falls into the larger part.

$$T(n) \leq rac{1}{n}T(max(1,n-1)) + rac{1}{n}\sum_{q=1}^{n-1}T(max(q,n-q)) + O(n)$$

$$Note: \frac{1}{n}T(max(1, n-1)) = \frac{1}{n}T(n-1) = \frac{1}{n}O(n^2) = O(n)$$

$$\therefore (3 ext{ dot mean therefore}) \ T(n) \leq rac{1}{n} \sum_{q=1}^{n-1} T(max(q,n-q)) + O(n)$$



$$\therefore T(n) \leq rac{1}{n} \sum_{q=1}^{n-1} T(max(q, n-q)) + O(n)$$

$$max(q,n\!\!-\!\!q) = egin{cases} q & ext{if } q \geq \lceil n/2 
ceil \ n-q & ext{if } q < \lceil n/2 
ceil \end{cases}$$

- ullet n is odd: T(k) appears twice for  $k=\lceil n/2 
  ceil +1, \lceil n/2 
  ceil +2, \ldots, n-1$
- n is even: $T(\lceil n/2 \rceil)$  appears once T(k) appears twice for  $k=\lceil n/2 \rceil+1,\lceil n/2 \rceil+2,\dots,n-1$



Hence, in both cases:

$$\sum_{q=1}^{n-1}T(max(q,n-q))+O(n)\leq 2\sum_{q=\lceil n/2
ceil}^{n-1}T(q)+O(n)$$

$$\therefore T(n) \leq rac{2}{n} \sum_{q=\lceil n/2 
ceil}^{n-1} T(q) + O(n)$$



$$T(n) \leq rac{2}{n} \sum_{q=\lceil n/2 
ceil}^{n-1} T(q) + O(n)$$

- ullet By substitution guess T(n)=O(n)
- Inductive hypothesis:  $T(k) \leq ck, \forall k < n$

$$T(n) \leq rac{2}{n} \sum_{q=\lceil n/2 
ceil}^{n-1} ck + O(n)$$

$$=rac{2c}{n}igg(\sum_{k=1}^{n-1}k-\sum_{k=1}^{\lceil n/2
ceil-1}kigg)+O(n)$$

$$=rac{2c}{n}igg(rac{1}{2}n(n-1)-rac{1}{2}\lceilrac{n}{2}
ceiligg(rac{n}{2}-1igg)igg)+O(n)$$



$$egin{aligned} T(n) &\leq rac{2c}{n} \left(rac{1}{2}n(n-1) - rac{1}{2} \lceil rac{n}{2} 
ceil \left(rac{n}{2} - 1
ight)
ight) + O(n) \ &\leq c(n-1) - rac{c}{4}n + rac{c}{2} + O(n) \ &= cn - rac{c}{4}n - rac{c}{2} + O(n) \ &= cn - \left(\left(rac{c}{4}n + rac{c}{2}
ight) + O(n)
ight) \ &\leq cn \end{aligned}$$

ullet since we can choose c large enough so that (cn/4+c/2) dominates O(n)



#### Summary of Randomized Order-Statistic Selection

- Works fast: linear expected time
- Excellent algorithm in practise
- ullet But, the worst case is very bad:  $\Theta(n^2)$
- Blum, Floyd, Pratt, Rivest & Tarjan[1973] algorithms are runs in linear time in the worst case.
- Generate a good pivot recursively



F100 Week-3

#### Selection in Worst Case Linear Time

```
//return i-th element in set S with n elements
SELECT(S, n, i)
  if n <= 5 then
    SORT S and return the i-th element
  DIVIDE S into ceil(n/5) groups
  //first ceil(n/5) groups are of size 5, last group is of size n mod 5
  FIND median set M={m , ..., m_ceil(n/5)}
  // m_j : median of j-th group
  x = SELECT(M, ceil(n/5), floor((ceil(n/5)+1)/2))
  PARTITION set S around the pivot x into L and R
  if i <= |L| then</pre>
    return SELECT(L, |L|, i)
  else
    return SELECT(R, n-|L|, i-|L|)
```

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- ullet Input: Array S and index i
- Output: The  $i^{th}$  smallest value

```
11 27 39 42
                                   632
                                                    33
25
                               15
                                        14
                                            36 \quad 20
                  10
                                  23
                                        40
                                            5
                                                    18
       19 \quad 7
               21
                       34
                               37
                                                29
                                                        24
                                                            12
                                                                 38
```



**Step 1**: Divide the input array into groups of size 5

25	9	16	8	11
27	39	42	15	6
32	14	36	20	33
22	31	4	17	3
30	41	2	13	19
7	21	10	34	1
37	23	40	5	29
18	24	12	38	28
26	35	43		



**Step 2:** Compute the median of each group  $(\Theta(n))$ 

		Medians		
25	16	$\overbrace{11}$	8	9
39	42	27	6	15
36	33	32	20	14
22	31	17	3	4
41	30	19	13	2
21	34	10	1	7
37	40	29	23	5
38	28	24	12	18
	26	35	43	

ullet Let M be the set of the medians computed:

$$M_{ ext{RTEU CE100 Week-3}} \circ M_{ ext{RTEU CE100 Week-3}} = \{11, 27, 32, 17, 19, 10, 29, 24, 35\}$$

**Step 3**: Compute the median of the median group M

$$x \leftarrow SELECT(M, |M|, \lfloor (|M|+1)/2 
floor)$$
 where  $|M| = \lceil n/5 
ceil$ 

ullet Let M be the set of the medians computed:

$$\circ \ M = \{11, 27, 32, 17, 19, 10, 29, \overbrace{24}^{Median}, 35\}$$

- Median = 24
- ullet The runtime of the recursive call:  $T(|M|) = T(\lceil n/5 
  ceil)$



**Step 4:** Partition the input array S around the median-of-medians x

25	9	16	8	11	27	39	42	15	632	14	36	20	33	22	31	4	17	3	30	41
2	13	19	7	21	10	34	1	37	23	40	5	29	18	24	12	38	28	26	35	43

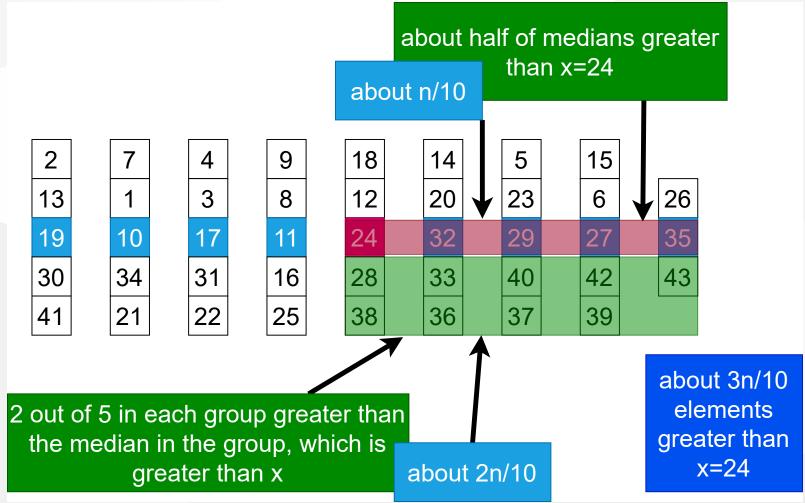
Partition S around x=24

Claim: Partitioning around x is guaranteed to be well-balanced.

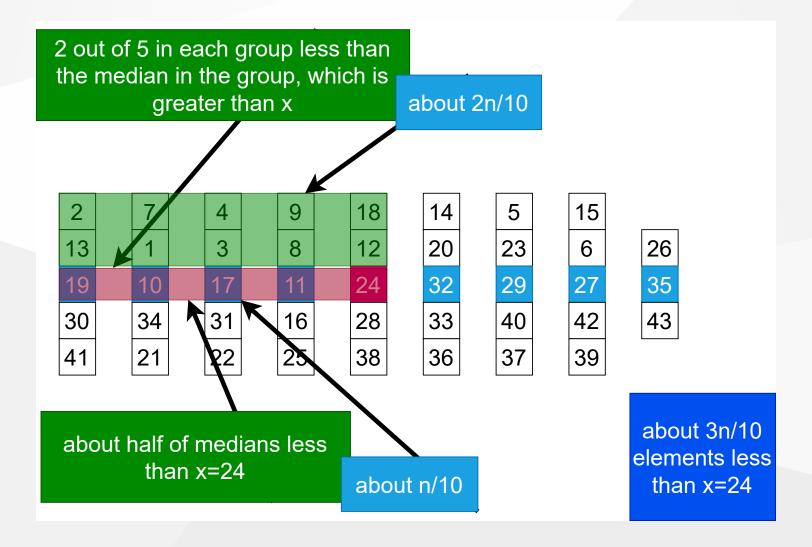
ullet  $M: \mathsf{Median}, M^*: \mathsf{Median}$  of  $\mathsf{Medians}$ 

		M		
41	30	19	13	2
21	34	10	1	7
22	31	17	3	4
25	16	11	8	9
		$M^*$		
38	28	24	12	18
36	33	32	20	14
37	40	29	23	5
39	42	27	6	15
	26	35	43	

ullet About half of the medians greater than x=24 (about n/10)









ullet Partitioning S around x=24 will lead to partitions of sizes  $\sim 3n/10$  and  $\sim 7n/10$  in the worst case.

#### Step 5: Make a recursive call to one of the partitions

```
if i <= |L| then
  return SELECT(L,|L|,i)
else
  return SELECT(R,n-|L|,i-|L|)</pre>
```



F100 Week-3

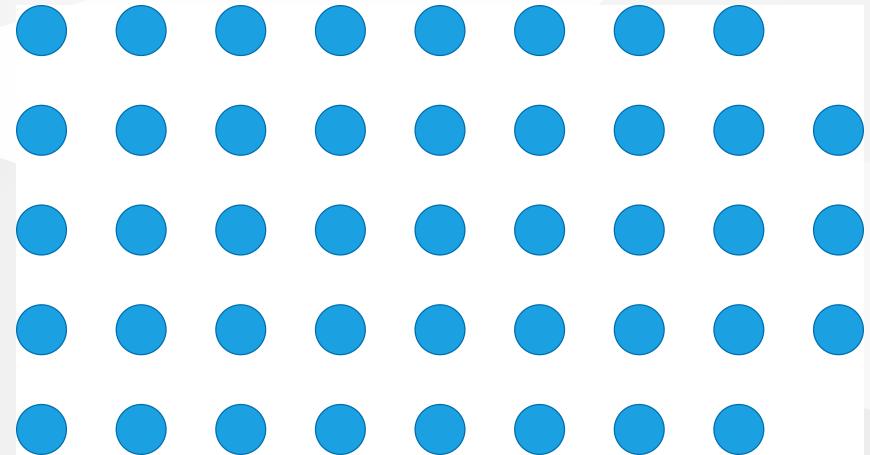
#### Selection in Worst Case Linear Time

```
//return i-th element in set S with n elements
SELECT(S, n, i)
  if n <= 5 then
    SORT S and return the i-th element
  DIVIDE S into ceil(n/5) groups
  //first ceil(n/5) groups are of size 5, last group is of size n mod 5
  FIND median set M={m , ..., m_ceil(n/5)}
  // m_j : median of j-th group
  x = SELECT(M, ceil(n/5), floor((ceil(n/5)+1)/2))
  PARTITION set S around the pivot x into L and R
  if i <= |L| then</pre>
    return SELECT(L, |L|, i)
  else
    return SELECT(R, n-|L|, i-|L|)
```

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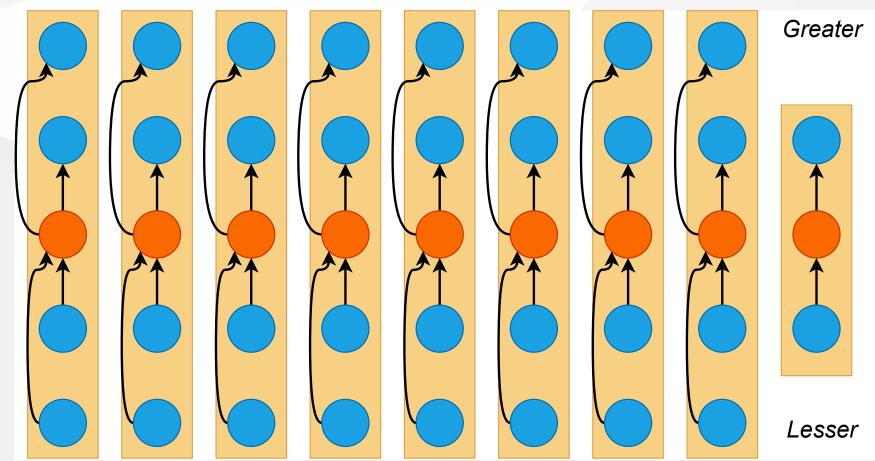
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1. Divide S into groups of size 5





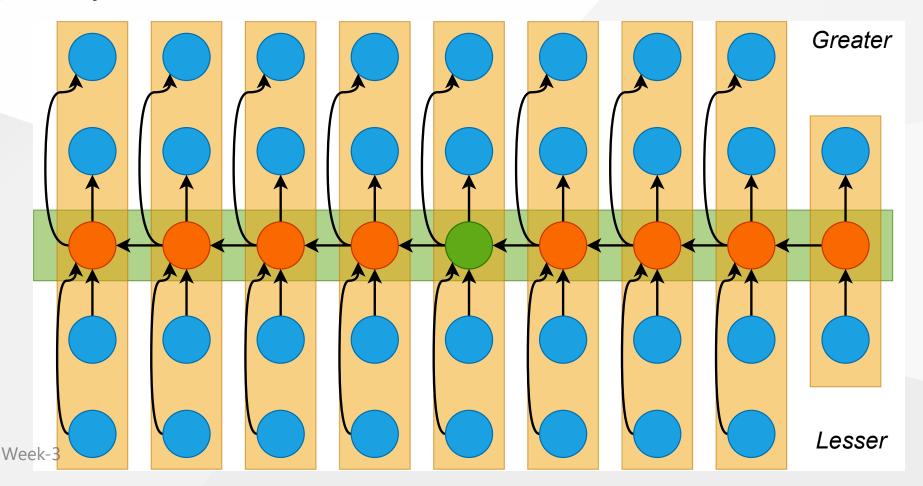
- Divide S into groups of size 5
- Find the median of each group



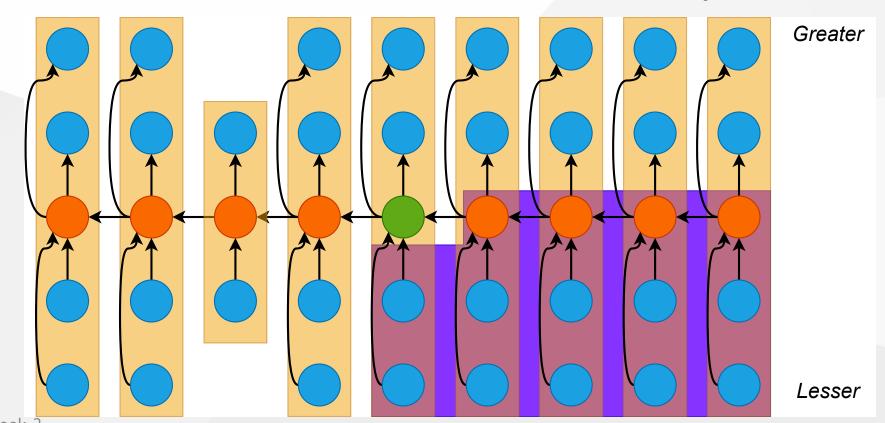
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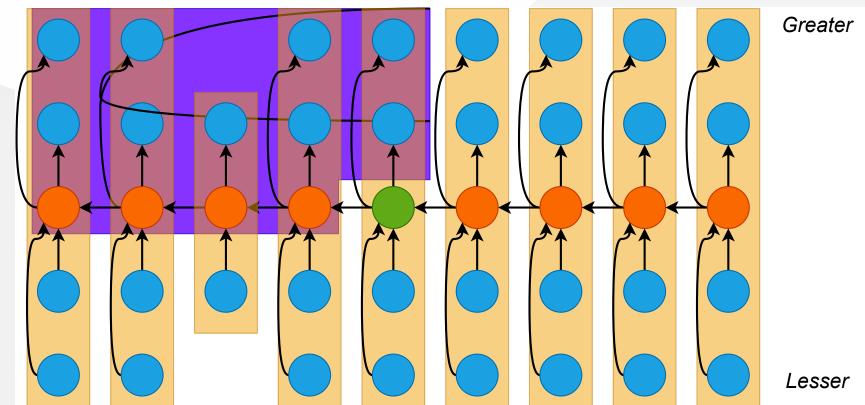
- Divide S into groups of size 5
- Find the median of each group
- Recursively select the median x of the medians



- ullet At least half of the medians  $\geq x$
- Thus  $m=\lceil \lceil n/5 \rceil/2 \rceil$  groups contribute 3 elements to R except possibly the last group and the group that contains x,  $|R| \geq 3(m-2) \geq \frac{3n}{10}-6$



- Similarly  $|L| \geq rac{3n}{10} 6$
- Therefore, **SELECT** is recursively called on at most  $n-(\frac{3n}{10}-6)=\frac{7n}{10}+6$  elements



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#### Selection in Worst Case Linear Time

```
//return i-th element in set S with n elements
                                             SELECT(S, n, i)
                                                if n \le 5 then
SORT S and return the i-th element DIVIDE S into ceil(n/5) groups //first ceil(n/5) groups are of size 5, last group is of size n mod 5 FIND median set M={m , ..., m_ceil(n/5)} // m_j : median of j-th group x = SELECT(M,ceil(n/5),floor((ceil(n/5)+1)/2)) PARTITION set S around the pivot x into L and R if i <= |L| then return SELECT(L, |L|, i) else return SELECT(R, n-|L|, i-|L|)
                                                   SORT S and return the i-th element
```



#### Selection in Worst Case Linear Time

Thus recurrence becomes

$$\circ \ T(n) \leq Tig( \lceil rac{n}{5} 
ceil ig) + Tig( rac{7n}{10} + 6 ig) + \Theta(n)$$

- Guess T(n) = O(n) and prove by induction
- Inductive step:

$$egin{align} T(n) & \leq c \lceil n/5 
ceil + c(7n/10+6) + \Theta(n) \ & \leq cn/5 + c + 7cn/10 + 6c + \Theta(n) \ & = 9cn/10 + 7c + \Theta(n) \ & = cn - \left[ c(n/10-7) - \Theta(n) 
ight] \leq cn \quad ext{(for large c)} \ \end{aligned}$$

ullet Work at each level of recursion is a constant factor (9/10) smaller

#### References

- Introduction to Algorithms, Third Edition | The MIT Press
- Bilkent CS473 Course Notes (new)
- Bilkent CS473 Course Notes (old)
- Insertion Sort GeeksforGeeks
- NIST Dictionary of Algorithms and Data Structures
- NIST Dictionary of Algorithms and Data Structures
- NIST big-O notation
- NIST big-Omega notation

