Algorithms 2022: Searching and Sorting

(Based on [Manber 1989])

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October 17, 2022

1 Binary Search

Searching a Sorted Sequence

Problem 1. *Let $x_1, x_2, \cdots, x_n$ be a sequence of real numbers such that $x_1 \leq x_2 \leq \cdots \leq x_n$. Given a real number z, we want to find whether z appears in the sequence, and, if it does, to find an index i such that $x_i = z$.*

Idea: cut the search space in half by asking only one question.

$$\begin{cases} T(1) = O(1) \\ T(n) = T(\frac{n}{2}) + O(1), n \geq 2 \end{cases}$$

Time complexity: $O(\log n)$ (applying the master theorem with $a = 1$, $b = 2$, $k = 0$, and $b^k = 1 = a$).

Binary Search

```
function Find (z, Left, Right) : integer;
begin
    if Left = Right then
        if X[Left] = z then Find := Left
        else Find := 0
    else
        Middle := ⌈(Left+Right)/2⌉;
        if z < X[Middle] then
            Find := Find(z, Left, Middle − 1)
        else
            Find := Find(z, Middle, Right)
end

Algorithm Binary_Search (X, n, z);
begin
    Position := Find(z, 1, n);
end
```

Binary Search: Alternative

```
function Find (z, Left, Right) : integer;
begin
    if Left > Right then
        Find := 0
    else
        Middle := ⌈(Left+Right)/2⌉;
        if z = X[Middle] then
            Find := Middle
        else if z < X[Middle] then
            Find := Find(z, Left, Middle − 1)
        else
            Find := Find(z, Middle + 1, Right)
end
```

How do the two algorithms compare?

/* The alternative may stop early once the target is found at *Middle*; otherwise, it spends another comparison to divide the search space. If by experience you expect to find the target almost all of the time, then consider using the alternative algorithm. */

1.1 Cyclically Sorted Sequence

Searching a Cyclically Sorted Sequence

Problem 2. *Given a cyclically sorted list, find the position of the minimal element in the list (we assume, for simplicity, that this position is unique).*

- Example 1:
	1	2	3	4	5	6	7	8	
[	5	6	7	0	1	2	3	4	]
  - The 4th is the minimal element.
- Example 2:
	1	2	3	4	5	6	7	8	
[	0	1	2	3	4	5	6	7	]
  - The 1st is the minimal element.
- To cut the search space in half, what question should we ask?

  /* If $X[Middle] < X[Right]$, then the minimal is in the left half (including $X[Middle]$; otherwise, it is in the right half (excluding $X[Middle]$). */

Cyclic Binary Search

```
Algorithm Cyclic_Binary_Search (X, n);
begin
    Position := Cyclic_Find(1, n);
end

function Cyclic_Find (Left, Right) : integer;
begin
    if Left = Right then Cyclic_Find := Left
```

```
    else
        Middle := ⌊(Left+Right)/2⌋;
        if X[Middle] < X[Right] then
            Cyclic_Find := Cyclic_Find(Left, Middle)
        else
            Cyclic_Find := Cyclic_Find(Middle + 1, Right)
end
```

1.2 "Fixpoints"

"Fixpoints"

Problem 3. *Given a sorted sequence of* distinct *integers $a_1, a_2, \cdots, a_n$, determine whether there exists an index i such that $a_i = i$.*

- Example 1:
  - $\begin{matrix} & 1 & 2 & 3 & 4 & 5 & 6 & 7 & 8 & \\ [& -1 & 1 & 2 & 4 & 5 & 6 & 8 & 9 &] \end{matrix}$
  - $a_4 = 4$ (there are more ...).
- Example 2:
  - $\begin{matrix} & 1 & 2 & 3 & 4 & 5 & 6 & 7 & 8 & \\ [& -1 & 1 & 2 & 5 & 6 & 8 & 9 & 10 &] \end{matrix}$
  - There is no i such that $a_i = i$.
- Again, can we cut the search space in half by asking only one question?

  /* As the numbers are distinct, they increase or decrease at least as fast as the indices (which always increase or decrease by one). If $X[Middle] < Middle$, then the fixpoint (if it exists) must be in the left half (excluding $X[Middle]$); otherwise, it must be in the right half (including $X[Middle]$). */

A Special Binary Search

```
function Special_Find (Left, Right) : integer;
begin
    if Left = Right then
        if A[Left] = Left then Special_Find := Left
        else Special_Find := 0
    else
        Middle := ⌊(Left+Right)/2⌋;
        if A[Middle] < Middle then
            Special_Find := Special_Find(Middle + 1, Right)
        else
            Special_Find := Special_Find(Left, Middle)
end
```

A Special Binary Search (cont.)

```
Algorithm Special_Binary_Search (A, n);
begin
    Position := Special_Find(1, n);
end
```

1.3 Stuttering Subsequence

Stuttering Subsequence

Problem 4. *Given two sequences A $(= a_1a_2\cdots a_n)$ and B $(= b_1b_2\cdots b_m)$, find the maximal value of i such that B^i is a subsequence of A.*

- If $B = xyzzx$, then $B^2 = xxyyzzzzxx$, $B^3 = xxxyyyzzzzzzxxx$, etc.
- B is a subsequence of A if we can embed B inside A in the same order but with possible holes.
- For example, $B^2 = xxyyzzzzxx$ is a subsequence of $xxzzyyyyxxzzzzzzxxx$.
- If B^j is a subsequence of A, then B^i is a subsequence of A, for $1 \leq i \leq j$.
- The maximum value of i cannot exceed $\lfloor \frac{n}{m} \rfloor$ (or B^i would be longer than A).

Stuttering Subsequence (cont.)

Two ways to find the maximum i:

- Sequential search: try 1, 2, 3, etc. sequentially.

  Time complexity: $O(nj)$, where j is the maximum value of i.
- Binary search between 1 and $\lfloor \frac{n}{m} \rfloor$.

  Time complexity: $O(n \log \frac{n}{m})$.

Can binary search be applied, if the bound $\lfloor \frac{n}{m} \rfloor$ is unknown?

Think of the base case in a reversed induction.

/* Try 2^0, 2^1, 2^2, $\cdots$, 2^{k-1}, and 2^k sequentially. If the target falls between 2^{k-1} and 2^k, apply binary search within that region. */

2 Interpolation Search

Interpolation Search

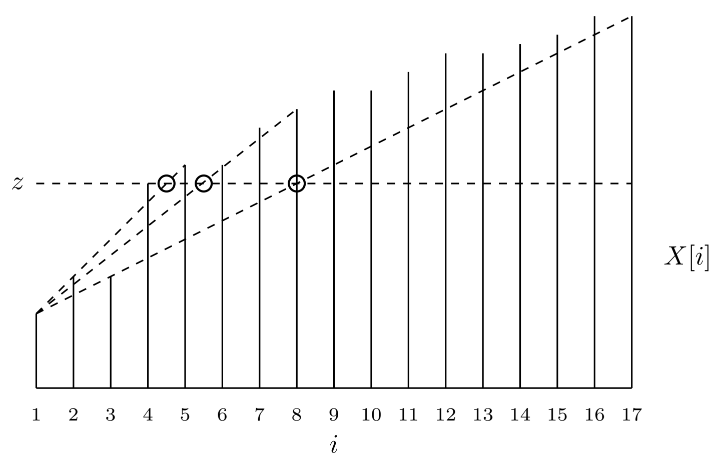
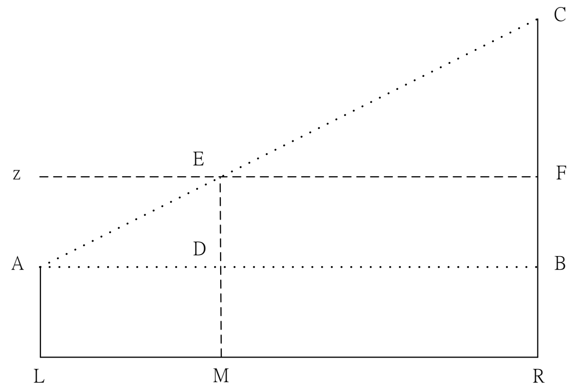


Figure: Interpolation search.

Source: redrawn from [Manber 1989, Figure 6.4].

Interpolation Search (cont.)



$$\frac{\overline{LM}}{\overline{LR}} = \frac{\overline{AD}}{\overline{AB}} = \frac{\overline{AE}}{\overline{AC}} = \frac{\overline{BF}}{\overline{BC}}, \text{so } |\overline{LM}| = \frac{|\overline{BF}|}{|\overline{BC}|} \times |\overline{LR}|$$

Interpolation Search (cont.)

function Int_Find $(z, Left, Right) : integer$;
begin
  if $X[Left] = z$ **then** $Int\_Find := Left$
  else if $Left = Right$ or $X[Left] = X[Right]$ **then**
    $Int\_Find := 0$
  else
    $Next\_Guess := \lceil Left + \frac{(z - X[Left])(Right - Left)}{X[Right] - X[Left]} \rceil$;
    if $z < X[Next\_Guess]$ **then**
      $Int\_Find := Int\_Find(z, Left, Next\_Guess - 1)$
    else
      $Int\_Find := Int\_Find(z, Next\_Guess, Right)$
end

/* $Next\_Guess - Left = |\overline{LM}| = \frac{|\overline{BF}|}{|\overline{BC}|} \times |\overline{LR}| \approx \lceil \frac{(z - X[Left])(Right - Left)}{X[Right] - X[Left]} \rceil$ */

Interpolation Search (cont.)

Algorithm Interpolation_Search (X, n, z);
begin
  if $z < X[1]$ or $z > X[n]$ **then** $Position := 0$
  else $Position := Int\_Find(z, 1, n)$;
end

3 Sorting

Sorting

Problem 5. *Given n numbers x_1, x_2, $\cdots$, x_n, arrange them in increasing order. In other words, find a sequence of distinct indices* $1 \le i_1, i_2, \cdots, i_n \le n$, *such that* $x_{i_1} \le x_{i_2} \le \cdots \le x_{i_n}$.

A sorting algorithm is called **in-place** if no additional work space is used besides the initial array that holds the elements.

3.1 Using Balanced Search Trees

Using Balanced Search Trees

- Balanced search trees, such as AVL trees, may be used for sorting:
  1. Create an empty tree.
  2. Insert the numbers one by one to the tree.
  3. Traverse the tree and output the numbers.
- What's the time complexity? Suppose we use an AVL tree.

3.2 Radix Sort

Radix Sort

```
Algorithm Straight_Radix (X, n, k);
begin
    put all elements of X in a queue GQ;
    for i := 1 to d do
        initialize queue Q[i] to be empty
    for i := k downto 1 do
        while GQ is not empty do
                pop x from GQ;
                d := the i-th digit of x;
                insert x into Q[d];
        for t := 1 to d do
            insert Q[t] into GQ;
    for i := 1 to n do
        pop X[i] from GQ
end
```

Time complexity: $O(nk)$.

3.3 Merge Sort

Merge Sort

```
Algorithm Mergesort (X, n);
begin  M_Sort(1, n)  end

procedure M_Sort (Left, Right);
begin
    if Right − Left = 1 then
       if X[Left] > X[Right] then swap(X[Left], X[Right])
    else if Left ≠ Right then
            Middle := ⌈(1/2)(Left + Right)⌉;
            M_Sort(Left, Middle − 1);
            M_Sort(Middle, Right);
```

Merge Sort (cont.)

```
        i := Left;  j := Middle;  k := 0;
        while (i ≤ Middle − 1) and (j ≤ Right) do
                k := k + 1;
                if X[i] ≤ X[j] then
                    TEMP[k] := X[i];  i := i + 1
                else TEMP[k] := X[j];  j := j + 1;
        if j > Right then
            for t := 0 to Middle − 1 − i do
                X[Right − t] := X[Middle − 1 − t]
        for t := 0 to k − 1 do
            X[Left + t] := TEMP[1 + t]
end
```

Time complexity: $O(n \log n)$.

Merge Sort (cont.)

6	2	8	5	10	9	12	1	15	7	3	13	4	11	16	14
②	⑥	8	5	10	9	12	1	15	7	3	13	4	11	16	14
2	6	⑤	⑧	10	9	12	1	15	7	3	13	4	11	16	14
②	⑤	⑥	⑧	10	9	12	1	15	7	3	13	4	11	16	14
2	5	6	8	⑨	⑩	12	1	15	7	3	13	4	11	16	14
2	5	6	8	9	10	①	⑫	15	7	3	13	4	11	16	14
2	5	6	8	①	⑨	⑩	⑫	15	7	3	13	4	11	16	14
①	②	⑤	⑥	⑧	⑨	⑩	⑫	15	7	3	13	4	11	16	14
1	2	5	6	8	9	10	12	⑦	⑮	3	13	4	11	16	14
1	2	5	6	8	9	10	12	7	15	③	⑬	4	11	16	14
1	2	5	6	8	9	10	12	③	⑦	⑬	⑮	4	11	16	14
1	2	5	6	8	9	10	12	3	7	13	15	④	⑪	16	14
1	2	5	6	8	9	10	12	3	7	13	15	4	11	⑭	⑯
1	2	5	6	8	9	10	12	3	7	13	15	④	⑪	⑭	⑯
1	2	5	6	8	9	10	12	③	④	⑦	⑪	⑬	⑭	⑮	⑯
①	②	③	④	⑤	⑥	⑦	⑧	⑨	⑩	⑪	⑫	⑬	⑭	⑮	⑯

Figure: An example of mergesort.

Source: redrawn from [Manber 1989, Figure 6.8].

3.4 Quick Sort

Quick Sort

```
Algorithm Quicksort (X, n);
begin
    Q_Sort(1, n)
end

procedure Q_Sort (Left, Right);
begin
    if Left < Right then
```

Partition$(X, \mathit{Left}, \mathit{Right})$;
Q_Sort$(\mathit{Left}, \mathit{Middle} - 1)$;
Q_Sort$(\mathit{Middle} + 1, \mathit{Right})$
end

Time complexity: $O(n^2)$, but $O(n \log n)$ in average

Quick Sort (cont.)

Algorithm Partition$(X, \mathit{Left}, \mathit{Right})$;
begin
  $\mathit{pivot} := X[\mathit{Left}]$;
  $L := \mathit{Left}$; $R := \mathit{Right}$;
  while $L < R$ **do**
    while $X[L] \leq \mathit{pivot}$ and $L \leq \mathit{Right}$ **do** $L := L + 1$;
    while $X[R] > \mathit{pivot}$ and $R \geq \mathit{Left}$ **do** $R := R - 1$;
    if $L < R$ **then** $\mathit{swap}(X[L], X[R])$;
  $\mathit{Middle} := R$;
  $\mathit{swap}(X[\mathit{Left}], X[\mathit{Middle}])$
end

Quick Sort (cont.)

6	2	8	5	10	9	12	1	15	7	3	13	4	11	16	14
6	2	④	5	10	9	12	1	15	7	3	13	⑧	11	16	14
6	2	4	5	③	9	12	1	15	7	⑩	13	8	11	16	14
6	2	4	5	3	①	12	⑨	15	7	10	13	8	11	16	14
①	2	4	5	3	⑥	12	9	15	7	10	13	8	11	16	14

Figure: Partition of an array around the pivot 6.
Source: redrawn from [Manber 1989, Figure 6.10].

Quick Sort (cont.)

6	2	8	5	10	9	12	1	15	7	3	13	4	11	16	14
1	2	4	5	3	⑥	12	9	15	7	10	13	8	11	16	14
①	2	4	5	3	⑥	12	9	15	7	10	13	8	11	16	14
①	②	4	5	3	⑥	12	9	15	7	10	13	8	11	16	14
①	②	3	④	5	⑥	12	9	15	7	10	13	8	11	16	14
①	②	3	④	5	⑥	8	9	11	7	10	⑫	13	15	16	14
①	②	3	④	5	⑥	7	⑧	11	9	10	⑫	13	15	16	14
①	②	3	④	5	⑥	7	⑧	10	9	⑪	⑫	13	15	16	14
①	②	3	④	5	⑥	7	⑧	9	⑩	⑪	⑫	13	15	16	14
①	②	3	④	5	⑥	7	⑧	9	⑩	⑪	⑫	⑬	15	16	14
①	②	3	④	5	⑥	7	⑧	9	⑩	⑪	⑫	⑬	14	⑮	16

Figure: An example of quicksort.
Source: redrawn from [Manber 1989, Figure 6.12].

Average-Case Complexity of Quick Sort

- When $X[i]$ is selected (at random) as the pivot,

$$T(n) = n - 1 + T(i-1) + T(n-i), \text{ where } n \geq 2.$$

The average running time will then be

$$\begin{aligned} T(n) &= n - 1 + \tfrac{1}{n}\textstyle\sum_{i=1}^{n}(T(i-1) + T(n-i)) \\ &= n - 1 + \tfrac{1}{n}\textstyle\sum_{i=1}^{n} T(i-1) + \tfrac{1}{n}\sum_{i=1}^{n} T(n-i) \\ &= n - 1 + \tfrac{1}{n}\textstyle\sum_{j=0}^{n-1} T(j) + \tfrac{1}{n}\sum_{j=0}^{n-1} T(j) \\ &= n - 1 + \tfrac{2}{n}\textstyle\sum_{i=0}^{n-1} T(i) \end{aligned}$$

- Solving this recurrence relation with full history, $T(n) = O(n \log n)$.

3.5 Heap Sort

Heap Sort

Algorithm Heapsort (A, n);
begin
    Build_Heap(A);
    for $i := n$ **downto** 2 **do**
        swap$(A[1], A[i])$;
        Rearrange_Heap$(i-1)$
end

Time complexity: $O(n \log n)$

Heap Sort (cont.)

procedure Rearrange_Heap (k);
begin
    $parent := 1$;
    $child := 2$;
    while $child \leq k - 1$ **do**
            if $A[child] < A[child+1]$ **then**
                $child := child + 1$;
            if $A[child] > A[parent]$ **then**
                swap$(A[parent], A[child])$;
                $parent := child$;
                $child := 2 * child$
            else $child := k$
end

Heap Sort (cont.)

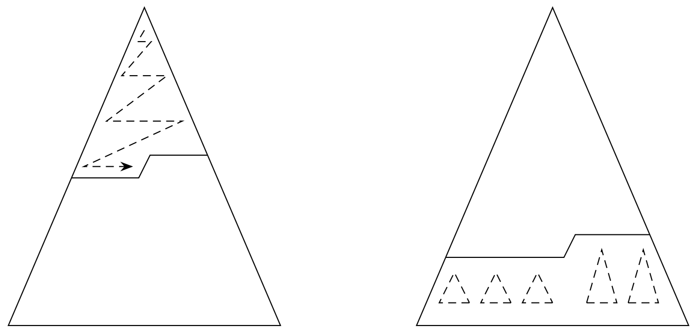


Figure: Top down and bottom up heap construction.
Source: redrawn from [Manber 1989, Figure 6.14].

How do the two approaches compare?

/* Top down: $O(n \log n)$.

Bottom up: O(sum of the heights of all nodes) $= O(n)$. Consider a full binary tree of height h. From an excercise problem in HW#2, we know that "sum of the heights of all nodes" of the tree equals $2^{h+1} - (h+2) \leq 2^{h+1} - 1 = n$. */

Building a Heap Bottom Up

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
6	2	8	5	10	9	12	1	15	7	3	13	4	11	16	14
6	2	8	5	10	9	12	14	15	7	3	13	4	11	16	1
6	2	8	5	10	9	16	14	15	7	3	13	4	11	12	1
6	2	8	5	10	13	16	14	15	7	3	9	4	11	12	1
6	2	8	5	10	13	16	14	15	7	3	9	4	11	12	1
6	2	8	15	10	13	16	14	5	7	3	9	4	11	12	1
6	2	16	15	10	13	12	14	5	7	3	9	4	11	8	1
6	15	16	14	10	13	12	2	5	7	3	9	4	11	8	1
16	15	13	14	10	9	12	2	5	7	3	6	4	11	8	1

Figure: An example of building a heap bottom up.
Source: adapted from [Manber 1989, Figure 6.15].

A Lower Bound for Sorting

- A lower bound for a particular problem is a proof that *no algorithm* can solve the problem better.
- We typically define a computation model and consider only those algorithms that fit in the model.
- **Decision trees** model computations performed by *comparison-based* algorithms.

Theorem 6 (Theorem 6.1)**.** *Every decision-tree algorithm for sorting has height* $\Omega(n \log n)$.

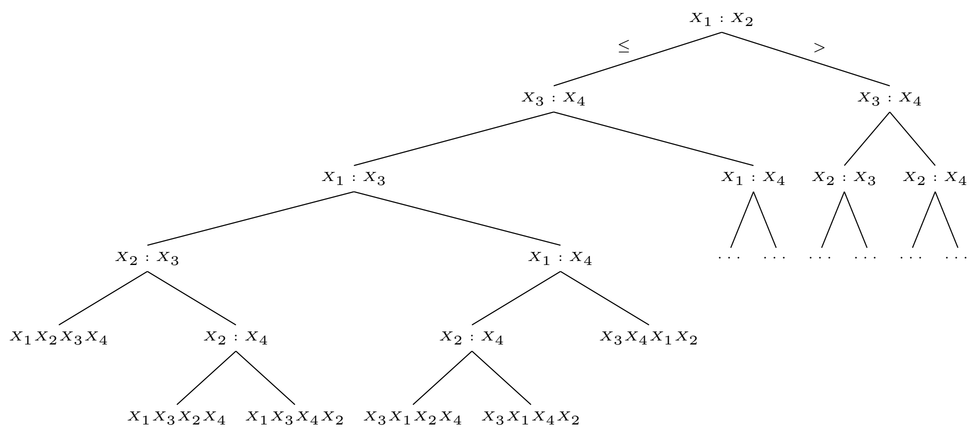
Proof idea: there must be at least $n!$ leaves in the decision tree, one for each possible outcome.

/* Recall Stirling's approximation: $n! = \sqrt{2\pi n}\left(\frac{n}{e}\right)^n (1 + O(1/n))$. The height of the decision tree must be at least $\log(n!)$, i.e., $\Omega(n \log n)$. */

Is the lower bound contradictory to the time complexity of radix sort?

A Lower Bound for Sorting (cont.)

A decision tree (partly shown) for the merge sort with $X_1X_2X_3X_4$ as input:



Note: in total, there should be $4! = 24$ leaves, only six of which are shown.

4 Order Statistics

Order Statistics: Minimum and Maximum

Problem 7. *Find the maximum and minimum elements in a given sequence.*

- The obvious solution requires $(n-1)+(n-2)$ $(=2n-3)$ comparisons between elements.
- Can we do better? (Which comparisons could have been avoided?)

  /* A better algorithm: compare x_1 and x_2. Set *min* to be the smaller of the two and *max* the larger. Compare x_3 and x_4 and then compare the smaller with *min* and the larger with *max*; these take three comparisons. Update *min* and *max* accordingly. Continue until we have exhausted the sequence of numbers. Assuming n is even, the total number of comparisons $= 1 + 3 \times \frac{(n-2)}{2} = \frac{3}{2}n - 2$. */

Order Statistics: Kth-Smallest

Problem 8. *Given a sequence $S = x_1, x_2, \cdots, x_n$ of elements, and an integer k such that $1 \leq k \leq n$, find the kth-smallest element in S.*

Order Statistics: Kth-Smallest (cont.)

procedure Select $(Left, Right, k)$;
begin
    if $Left = Right$ **then**
        $Select := Left$
    else $Partition(X, Left, Right)$;
        let Middle be the output of Partition;
        if $Middle - Left + 1 \geq k$ **then**
            $Select(Left, Middle, k)$
        else
            $Select(Middle + 1, Right, k - (Middle - Left + 1))$
end

```
Algorithm Selection (X, n, k);
begin
    if (k < 1) or (k > n) then print "error"
    else S := Select(1, n, k)
end
```

/* Here the formal parameter k (for rank) is made to be relative to the left bound of array indices, while *Left*, *Middle*, and *Right* are absolute index values. */

Order Statistics: Kth-Smallest (cont.)

The nested "**if**" statement may be simplified:

```
procedure Select (Left, Right, k);
begin
    if Left = Right then
        Select := Left
    else Partition(X, Left, Right);
        let Middle be the output of Partition;
        if Middle ≥ k then
            Select(Left, Middle, k)
        else
            Select(Middle + 1, Right, k)
end
```

5 Finding a Majority

Finding a Majority

Problem 9. *Given a sequence of numbers, find the majority in the sequence or determine that none exists.*

A number is a *majority* in a sequence if it occurs more than $\frac{n}{2}$ times in the sequence.

Caution: maintaining a counter for each possible number requires $O(\log n)$ time for each access to a particular counter, which means $O(n \log n)$ time in total. Sorting the sequence to find a probable candidate also requires $O(n \log n)$ time.

Idea: compare any two numbers in the sequence. What can we conclude if they are not equal?

/* If there is a majority, it is also a majority of the other $n - 2$ numbers. However, the reverse may not be true. */

What if they are equal?

/* Keep the first number as a candidate at hand and repeat the following:

If the next number equals the candidate, we increment the count of its occurrences; otherwise, we have a pair of unequal numbers to eliminate (by decrementing the count for the candidate). When the count becomes 0 (due to elimination), we take the next number as a new candidate. */

Finding a Majority (cont.)

```
Algorithm Majority (X, n);
begin
    C := X[1]; M := 1;
    for i := 2 to n do
```

```
        if M = 0 then
            C := X[i];  M := 1
        else
            if C = X[i] then M := M + 1
            else M := M − 1;
```

Finding a Majority (cont.)

```
    if M = 0 then Majority := −1
    else
        Count := 0;
        for i := 1 to n do
            if X[i] = C then Count := Count + 1;
        if Count > n/2 then Majority := C
        else Majority := −1
end
```

Time complexity: $O(n)$.