Searching and Sorting

(Based on [Manber 1989])

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Searching a Sorted Sequence

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Problem

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* $x_i = z$*.*

Searching a Sorted Sequence

Problem

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

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```
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
```

Binary Search (cont.)

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

Searching a Cyclically Sorted Sequence

Problem

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.

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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?

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
        $Middle := \lfloor \frac{Left+Right}{2} \rfloor$;
        if $X[Middle] < X[Right]$ **then**
            $Cyclic\_Find := Cyclic\_Find(Left, Middle)$
        else
            $Cyclic\_Find := Cyclic\_Find(Middle + 1, Right)$
end

"Fixpoints"

Problem

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:
1	2	3	4	5	6	7	8
−1	1	2	4	5	6	8	9
  - $a_4 = 4$ (there are more ...).
- Example 2:
1	2	3	4	5	6	7	8
−1	1	2	5	6	8	9	10
  - There is no i such that $a_i = i$.

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- Example 1:
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[−1	1	2	4	5	6	8	9]

  - $a_4 = 4$ (there are more ...).
- Example 2:
  -

1	2	3	4	5	6	7	8
[−1	1	2	5	6	8	9	10]

  - There is no i such that $a_i = i$.
- Again, can we cut the search space in half by asking only one question?

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

Stuttering Subsequence

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Problem

Given two sequences A $(= a_1 a_2 \cdots a_n)$ and B $(= b_1 b_2 \cdots b_m)$, 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 $xxzzyyyyxxzzzzzxxx$.

Stuttering Subsequence

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- If B^j is a subsequence of A, then B^i is a subsequence of A, for $1 \leq i \leq j$.

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- 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 $xxzzyyyyxxzzzzzxxx$.
- 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.

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

Stuttering Subsequence (cont.)

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

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  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.

Interpolation Search

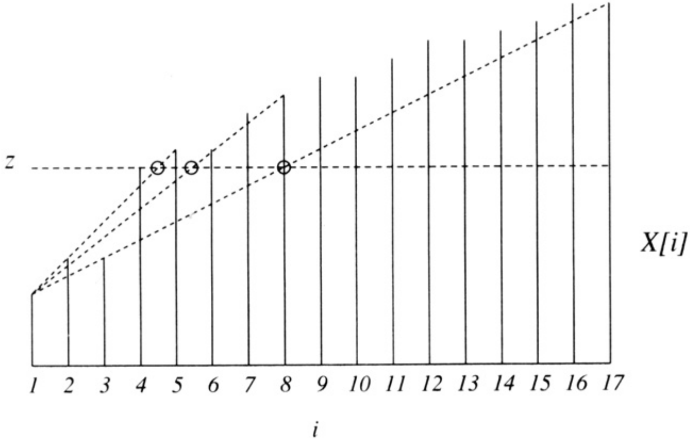
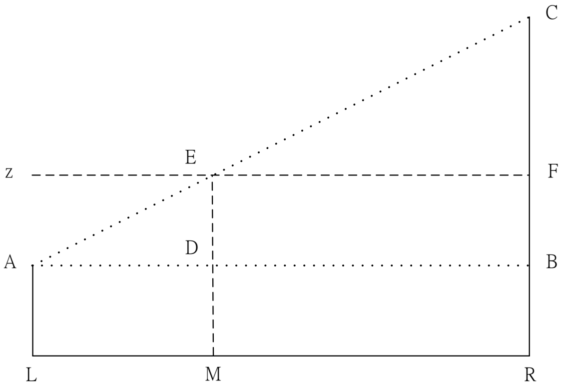


Figure 6.4 Interpolation search.

Source: [Manber 1989].

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.)

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```
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 := ⌈Left + (z−X[Left])(Right−Left) / (X[Right]−X[Left])⌉;
        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
```

$$Next\_Guess := \left\lceil Left + \frac{(z - X[Left])(Right - Left)}{X[Right] - X[Left]} \right\rceil$$

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

Sorting

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Problem

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

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

Using Balanced Search Trees

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- 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.

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.

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
```

Radix Sort

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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: $O(nk)$.

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 $Left \neq Right$ **then**
    $Middle := \lceil \frac{1}{2}(Left + Right) \rceil$;
    $M\_Sort(Left, Middle - 1)$;
    $M\_Sort(Middle, Right)$;

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
```

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 6.8 An example of mergesort. The first row is in the initial order. Each row illustrates either an exchange operation or a merge. The numbers that are involved in the current operation are circled.

Source: [Manber 1989].

Quick Sort

Algorithm Quicksort (X, n);
begin
    $Q\_Sort(1, n)$
end

procedure Q_Sort $(Left, Right)$;
begin
    if $Left < Right$ **then**
        $Partition(X, Left, Right)$;
        $Q\_Sort(Left, Middle - 1)$;
        $Q\_Sort(Middle + 1, Right)$
end

Quick Sort

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begin
    $Q\_Sort(1, n)$
end

procedure Q_Sort $(Left, Right)$;
begin
    if $Left < Right$ **then**
        $Partition(X, Left, Right)$;
        $Q\_Sort(Left, Middle - 1)$;
        $Q\_Sort(Middle + 1, Right)$
end

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

Quick Sort (cont.)

Algorithm Partition $(X, Left, Right)$;
begin
    $pivot := X[left]$;
    $L := Left$; $R := Right$;
    while $L < R$ **do**
        while $X[L] \leq pivot$ and $L \leq Right$ **do** $L := L + 1$;
        while $X[R] > pivot$ and $R \geq Left$ **do** $R := R - 1$;
        if $L < R$ **then** $swap(X[L], X[R])$;
    $Middle := R$;
    $swap(X[Left], X[Middle])$
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 6.10 Partition of an array around the pivot 6.

Source: [Manber 1989].

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 6.12 An example of quicksort. The first line is the initial input. A new pivot is selected in each line. The pivots are circled. When a single number appears between two pivots it is obviously in the right position.

Source: [Manber 1989].

Average-Case Complexity of Quick Sort

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

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

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

  The average running time will then be

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

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

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

Heap Sort

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end

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

Heap Sort (cont.)

```
procedure Rearrange_Heap (k);
begin
    parent := 1;
    child := 2;
    while child ≤ 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.)

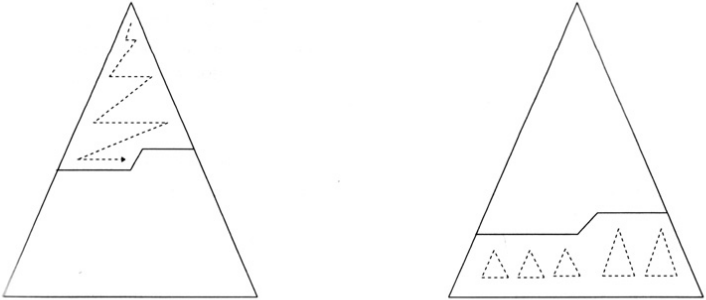

Figure 6.14 Top down and bottom up heap construction.

Source: [Manber 1989].

Heap Sort (cont.)

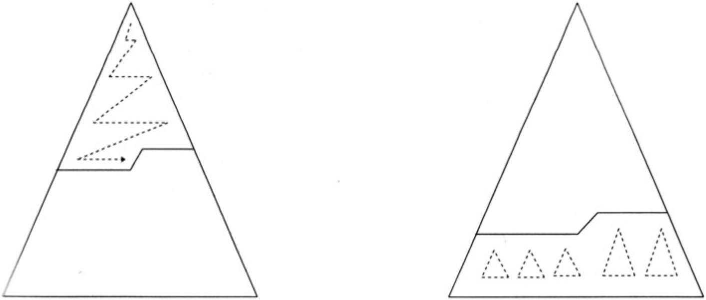

Figure 6.14 Top down and bottom up heap construction.

Source: [Manber 1989].

How do the two approaches compare?

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

Figure 6.15 An example of building a heap bottom up. The numbers on top are the indices. The circled numbers are those that have been exchanged on that step.

Source: [Manber 1989] (6 and 2 in the first row should be swapped).

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.

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

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

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

Order Statistics: Minimum and Maximum

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Problem

Find the maximum and minimum elements in a given sequence.

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- The obvious solution requires $(n-1)+(n-2)$ $(=2n-3)$ comparisons between elements.

Order Statistics: Minimum and Maximum

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Problem

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?

Order Statistics: Kth-Smallest

Problem

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 ≥ k then
            Select(Left, Middle, k)
        else
            Select(Middle + 1, Right, k − (Middle − Left + 1))
end
```

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
```

Order Statistics: Kth-Smallest (cont.)

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

Finding a Majority

Problem

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

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What if they are equal?

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
```