

Searching and Sorting (Based on [Manber 1989])

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Searching a Sorted Sequence



Problem

Let x_1, x_2, \dots, x_n be a sequence of real numbers such that $x_1 \le x_2 \le \dots \le x_n$. 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, \dots, x_n be a sequence of real numbers such that $x_1 \le x_2 \le \dots \le x_n$. 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.

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

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

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Binary Search



function Find (*z*, *Left*, *Right*) : *integer*; **begin**

```
if Left = Right then
    if X[Left] = z then Find := Left
    else Find := 0
```

else

$$\begin{array}{l} \textit{Middle} := \lceil \frac{\textit{Left} + \textit{Right}}{2} \rceil;\\ \textit{if } z < X[\textit{Middle}] \textit{ then}\\ \textit{Find} := \textit{Find}(z,\textit{Left},\textit{Middle} - 1)\\ \textit{else}\\ \textit{Find} := \textit{Find}(z,\textit{Middle},\textit{Pight}) \end{array}$$

end

Algorithm Binary_Search (X, n, z); begin

Position :=
$$Find(z, 1, n)$$
;

end

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Binary Search: Alternative



function Find (z, Left, Right) : integer; begin

if Left > Right **then** Find := 0

else

$$\begin{array}{l} \textit{Middle} := \lceil \frac{\textit{Left} + \textit{Right}}{2} \rceil;\\ \textbf{if } z = X[\textit{Middle}] \textbf{ then}\\ \textit{Find} := \textit{Middle}\\ \textbf{else if } z < X[\textit{Middle}] \textbf{ then}\\ \textit{Find} := \textit{Find}(z,\textit{Left},\textit{Middle} - 1)\\ \textbf{else}\\ \textit{Find} := \textit{Find}(z,\textit{Middle} + 1,\textit{Right}) \end{array}$$

end

How do the two algorithms compare?

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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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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.

😚 To cut the search space in half, what question should we ask?

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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

$$\begin{array}{l} \textit{Middle} := \lfloor \frac{\textit{Left} + \textit{Right}}{2} \rfloor;\\ \textit{if } X[\textit{Middle}] < X[\textit{Right}] \textit{ then}\\ \textit{Cyclic}_\textit{Find} := \textit{Cyclic}_\textit{Find}(\textit{Left},\textit{Middle})\\ \textit{else} \end{array}$$

$$Cyclic_Find := Cyclic_Find(Middle + 1, Right)$$

end

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"Fixpoints"



Problem

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

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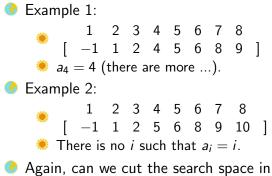
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"Fixpoints"



Problem

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



Again, can we cut the search space in half by asking only one question?

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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 := |\frac{Left+Right}{2}|;
        if A[Middle] < Middle then
          Special_Find := Special_Find(Middle + 1, Right)
        else
           Special_Find := Special_Find(Left, Middle)
end
```

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A Special Binary Search (cont.)



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

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Stuttering Subsequence



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 $B^2 = xxyyzzzxx$, $B^3 = xxxyyyzzzzxxx$, etc.

- *B* is a subsequence of *A* if we can embed *B* inside *A* in the same order but with possible holes.
- For example, B² = xxyyzzzxx is a subsequence of xxzzyyyyxxzzzxxx.

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Stuttering Subsequence



Problem

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- For example, $B^2 = xxyyzzzxx$ is a subsequence of xxzzyyyyxxzzzxxx.
- If B^j is a subsequence of A, then B^i is a subsequence of A, for $1 \le i \le j$.

Stuttering Subsequence



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
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, then $B^2 = xxyyzzzxx$, $B^3 = xxxyyyzzzzxxx$, etc.

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

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Two ways to find the maximum *i*:

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

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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.
- Sinary search between 1 and $\lfloor \frac{n}{m} \rfloor$.

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- Sinary 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?

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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.

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Interpolation Search



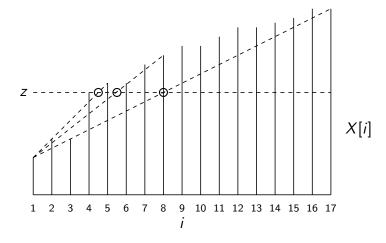


Figure: Interpolation search.

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

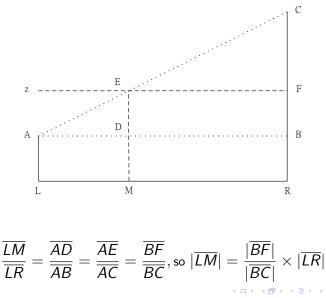
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Interpolation Search (cont.)





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Interpolation Search (cont.)



function Int_Find (z, Left, Right) : integer;
begin

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

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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



Problem

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

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

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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.

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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.

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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
```



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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).



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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 $Middle := \lceil \frac{1}{2}(Left + Right) \rceil$; $M_Sort(Left, Middle - 1)$; $M_Sort(Middle, Right)$;

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Merge Sort (cont.)



i := Left; i := Middle; k := 0;while (i < Middle - 1) and (i < Right) do k := k + 1: if X[i] < X[i] then TEMP[k] := X[i]; i := i + 1else TEMP[k] := X[i]; i := i + 1;if i > 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

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Merge Sort (cont.)



i := Left; i := Middle; k := 0;while (i < Middle - 1) and (i < Right) do k := k + 1: if X[i] < X[i] then TEMP[k] := X[i]; i := i + 1else TEMP[k] := X[i]; i := i + 1;if i > 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: $O(n \log n)$.

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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].

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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)</pre>

end

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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)</pre>

end

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

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Quick Sort (cont.)



Algorithm Partition(*X*, *Left*, *Right*); **begin**

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

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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].

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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
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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].

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Average-Case Complexity of Quick Sort



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

$$T(n) = n - 1 + T(i - 1) + T(n - i)$$
, where $n \ge 2$.

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Average-Case Complexity of Quick Sort



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

$$T(n) = n - 1 + T(i - 1) + T(n - i)$$
, where $n \ge 2$.

The average running time will then be

$$T(n) = n - 1 + \frac{1}{n} \sum_{i=1}^{n} (T(i-1) + T(n-i))$$

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

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

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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
```

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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: $O(n \log n)$

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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

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Heap Sort (cont.)



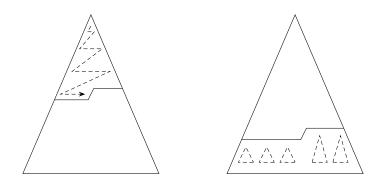


Figure: Top down and bottom up heap construction.

Source: redrawn from [Manber 1989, Figure 6.14].

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Heap Sort (cont.)



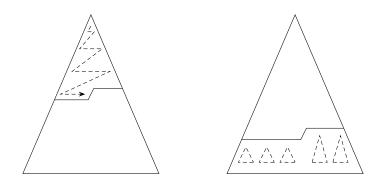


Figure: Top down and bottom up heap construction.

Source: redrawn from [Manber 1989, Figure 6.14].

How do the two approaches compare?

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Building a Heap Bottom Up

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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].

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- 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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Theorem (Theorem 6.1)

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 in the decision tree, one for each possible outcome.

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

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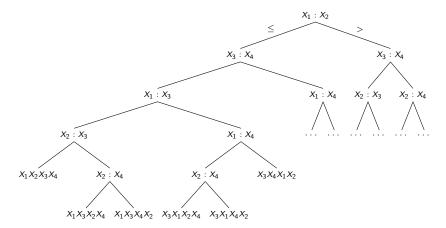
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A Lower Bound for Sorting (cont.)



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.

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Order Statistics: Minimum and Maximum



Problem

Find the maximum and minimum elements in a given sequence.

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Order Statistics: Minimum and Maximum



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- 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 $S = x_1, x_2, \dots, x_n$ of elements, and an integer k such that $1 \le k \le n$, find the kth-smallest element in S.

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Order Statistics: Kth-Smallest (cont.)



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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 \ge 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
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```

Order Statistics: *K***th-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 \ge k then

Select(Left, Middle, k)

else

Select(Middle + 1, Right, k)
```

end



Problem

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.

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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.

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What if they are equal?

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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
$$M := M - 1;$$

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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

Finding a Majority (cont.)



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

end

Time complexity: O(n).

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