

3

## Efficient Sorting -

The Power of Divide & Conquer

17 October 2022

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#### **Learning Outcomes**

- 1. Know principles and implementation of *mergesort* and *quicksort*.
- 2. Know properties and *performance characteristics* of mergesort and quicksort.
- **3.** Know the comparison model and understand the corresponding *lower bound*.
- **4.** Understand *counting sort* and how it circumvents the comparison lower bound.
- **5.** Know ways how to exploit *presorted* inputs.

Unit 3: Efficient Sorting



#### **Outline**

# **3** Efficient Sorting

- 3.1 Mergesort
- 3.2 Quicksort
- 3.3 Comparison-Based Lower Bound
- 3.4 Integer Sorting
- 3.5 Adaptive Sorting
- 3.6 Python's list sort
- 3.7 Order Statistics
- 3.8 Further D&C Algorithms

#### Why study sorting?

- fundamental problem of computer science that is still not solved
- building brick of many more advanced algorithms

Algorithm with optimal #comparisons in worst case?

- for preprocessing
- as subroutine
- playground of manageable complexity to practice algorithmic techniques

#### Here:

- "classic" fast sorting method
- ▶ exploit partially sorted inputs
- ▶ parallel sorting → Unit 5

# Part I

The Basics

#### Rules of the game

- ► Given:
  - ► array A[0..n) = A[0..n 1] of *n* objects
  - a total order relation ≤ among A[0],...,A[n-1]
     (a comparison function)
     Python: elements support <= operator (\_le\_())</li>
     Java: Comparable class (x.compareTo(y) <= 0)</li>
- ▶ **Goal:** rearrange (i. e., permute) elements within A, so that A is *sorted*, i. e.,  $A[0] \le A[1] \le \cdots \le A[n-1]$
- for now: A stored in main memory (internal sorting) single processor (sequential sorting)

#### **Clicker Question**



What is the complexity of sorting? Type you answer, e.g., as "Theta(sqrt(n))"

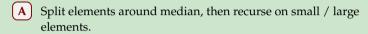


→ sli.do/comp526

## 3.1 Mergesort

#### **Clicker Question**

How does mergesort work?





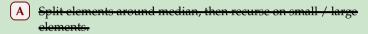
- **B** Recurse on left / right half, then combine sorted halves.
- C Grow sorted part on left, repeatedly add next element to sorted range.
- D Repeatedly choose 2 elements and swap them if they are out of order.
- **E** Don't know.



→ sli.do/comp526

#### **Clicker Question**

How does mergesort work?





lacksquare Recurse on left / right half, then combine sorted halves.  $\checkmark$ 

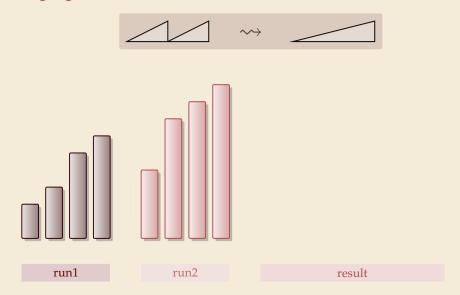


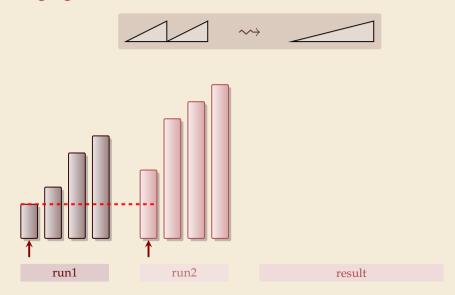
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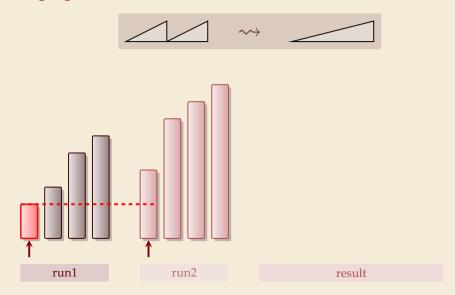


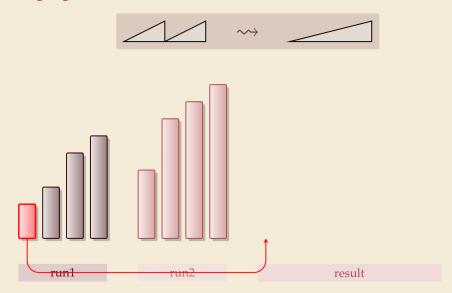
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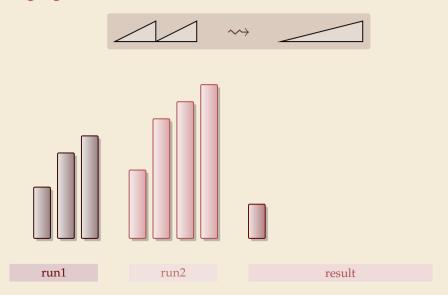


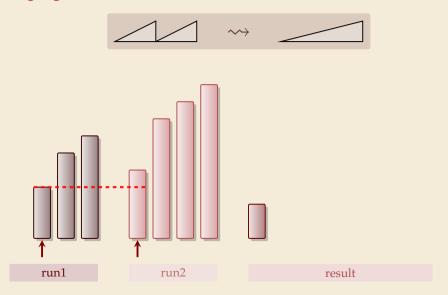


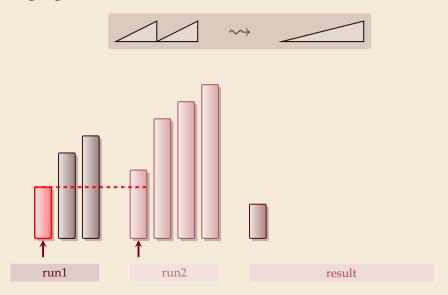


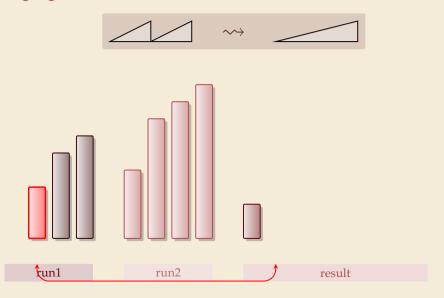


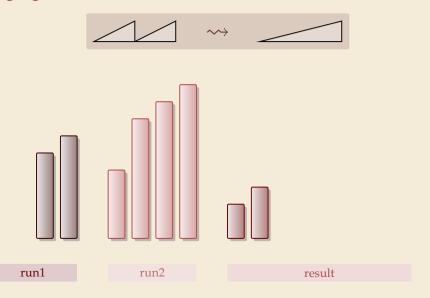


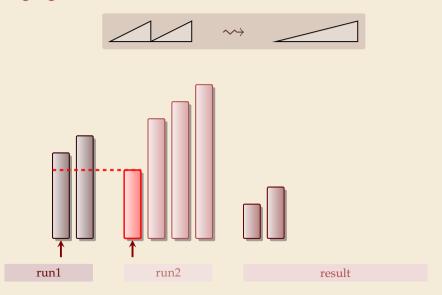


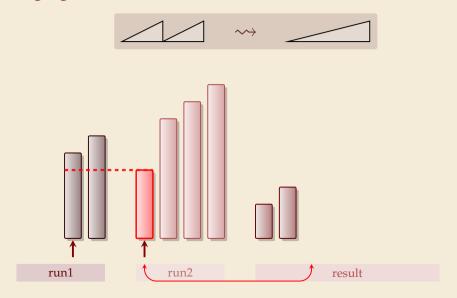


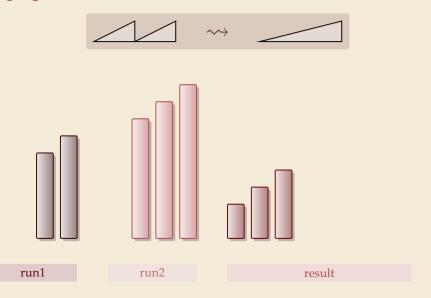


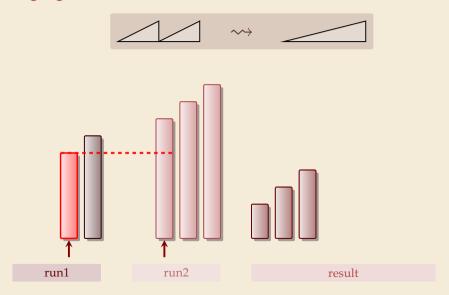


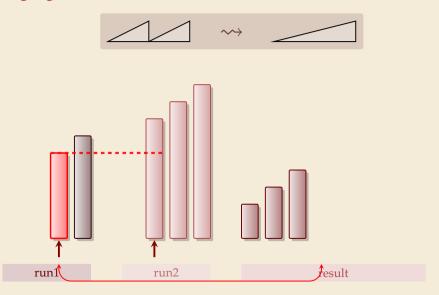


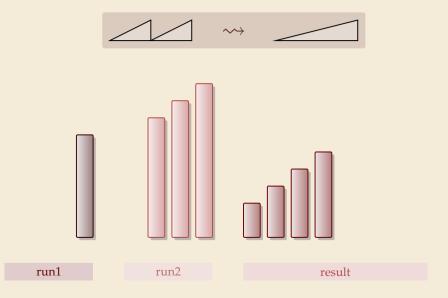


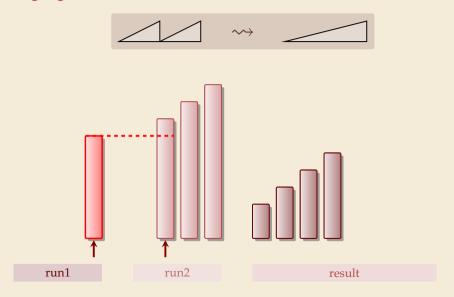


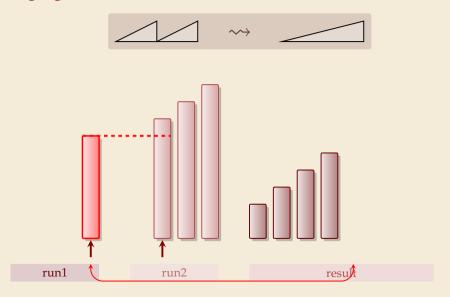




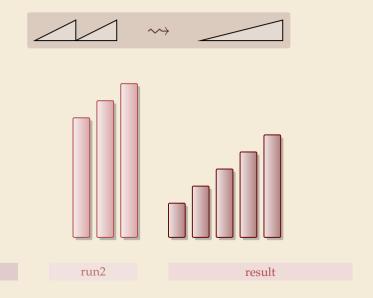




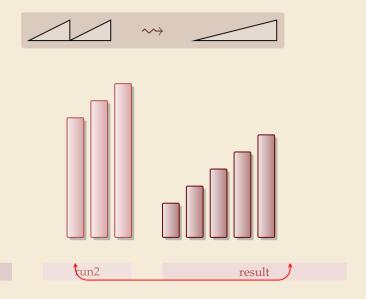




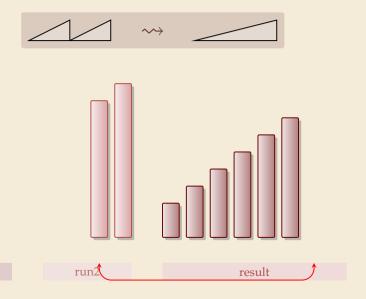
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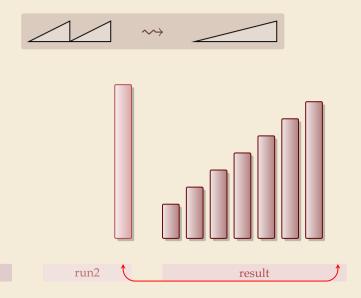
run1



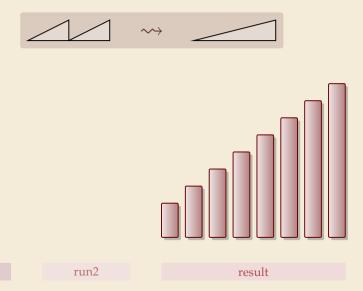
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run1



run1



#### **Clicker Question**

What is the worst-case running time of mergesort?

9

 $\mathbf{A}$   $\Theta(1)$ 

 $\Theta(\log n)$ 

 $\bigcirc$   $\Theta(\log\log n)$ 

 $\mathbf{D}$   $\Theta(\sqrt{n})$ 

 $\Theta(n)$ 

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

**G**  $\Theta(n \log n)$ 

 $oldsymbol{\square}$   $\Theta(n^{1+\epsilon})$ 

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

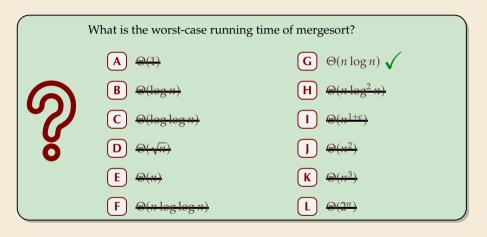
 $\mathbf{K}$   $\Theta(n^3)$ 

 $oldsymbol{\mathsf{L}}$   $\Theta(2^n)$ 



→ sli.do/comp526

#### **Clicker Question**





→ sli.do/comp526

#### Mergesort

```
procedure mergesort(A[l..r))

n := r - l

if n \le 1 return

m := l + \lfloor \frac{n}{2} \rfloor

mergesort(A[l..m))

mergesort(A[m..r))

merge(A[l..m), A[m..r), buf)

copy buf to A[l..r)
```

- ▶ recursive procedure
- merging needs
  - temporary storage buf for result (of same size as merged runs)
  - to read and write each element twice (once for merging, once for copying back)

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```

Analysis: count "element visits" (read and/or write)

$$C(n) = \begin{cases} 0 & n \le 1 \\ C(\lfloor n/2 \rfloor) + C(\lceil n/2 \rceil) + 2n & n \ge 2 \end{cases}$$

► recursive procedure

- merging needs
  - temporary storage buf for result (of same size as merged runs)
  - to read and write each element twice (once for merging, once for copying back)

same for best and worst case!

Simplification 
$$n = 2^k$$

$$C(2^{k}) = \begin{cases} 0 & k \le 0 \\ 2 \cdot C(2^{k-1}) + 2 \cdot 2^{k} & k \ge 1 \end{cases} = 2 \cdot 2^{k} + 2^{2} \cdot 2^{k-1} + 2^{3} \cdot 2^{k-2} + \dots + 2^{k} \cdot 2^{1} = 2k \cdot 2^{k}$$

$$C(n) = 2n \lg(n) = \Theta(n \log n)$$

$$C(2^{k}) = 2 C(2^{k-1}) + 2 \cdot 2^{k}$$

$$= 2 \left(2 \cdot C(2^{k-2}) + 2 \cdot 2^{k-1}\right) + 2 \cdot 2^{k}$$

$$= 2^{2} \cdot C(2^{k-2}) + 2^{2} \cdot 2^{k-1} + 2 \cdot 2^{k}$$

$$= 2^{2} \cdot C(2^{k-2}) + 2^{2} \cdot 2^{k-1} + 2 \cdot 2^{k}$$

#### **Mergesort – Discussion**

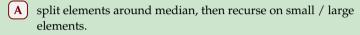
- optimal time complexity of  $\Theta(n \log n)$  in the worst case
- stable sorting method i.e., retains relative order of equal-key items
- memory access is sequential (scans over arrays)
- $\bigcap$  requires  $\Theta(n)$  extra space

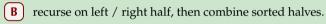
there are in-place merging methods, but they are substantially more complicated and not (widely) used

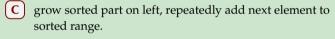
# 3.2 Quicksort

#### **Clicker Question**

How does quicksort work?







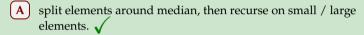
- **D** repeatedly choose 2 elements and swap them if they are out of order.
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#### **Clicker Question**

How does quicksort work?

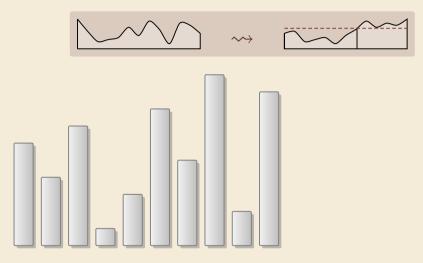


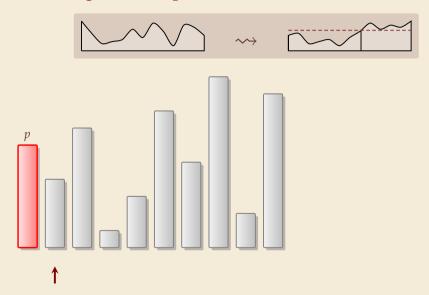
- recurse on left / right half, then combine
- grow sorted part on left, repeatedly add next element to sorted range.
- D repeatedly choose 2 elements and swap them if they are out of order.
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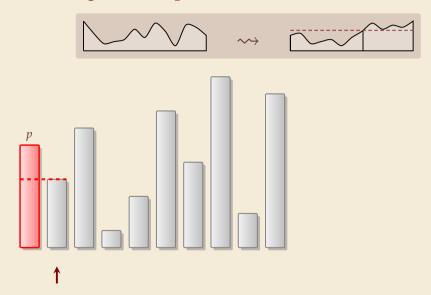


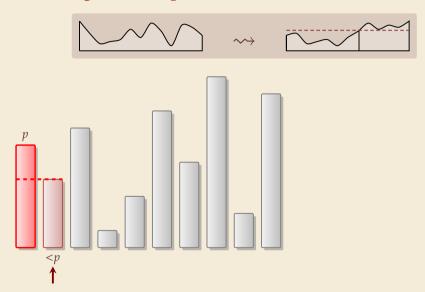
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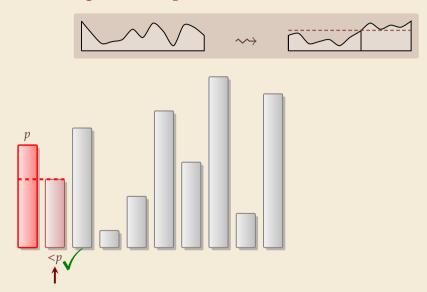


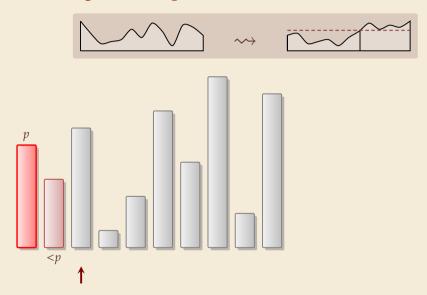


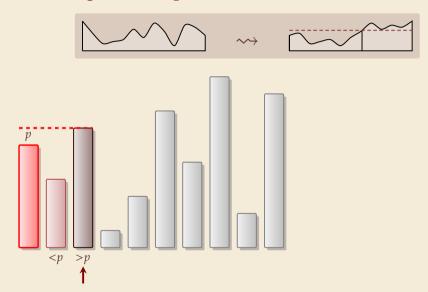


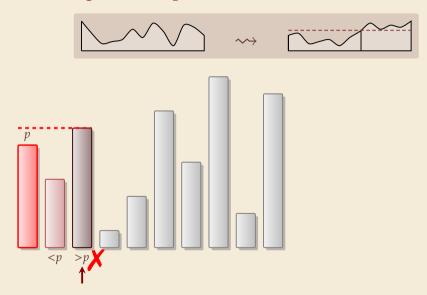


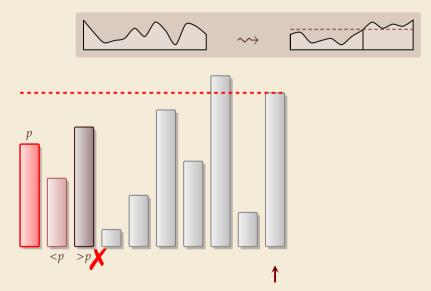


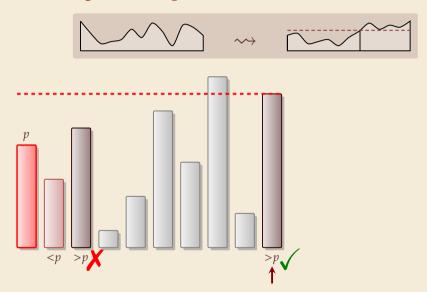


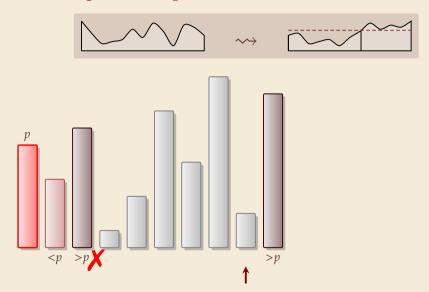


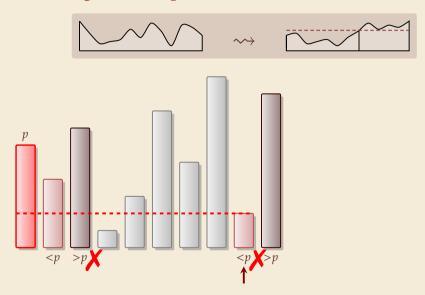


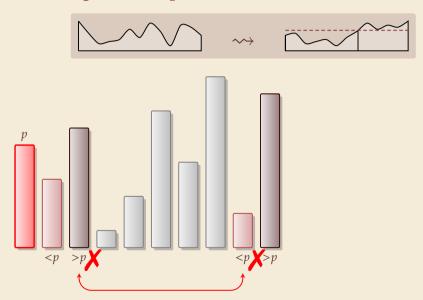


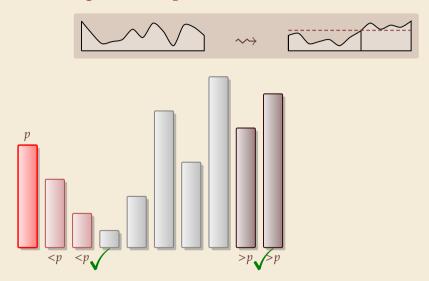


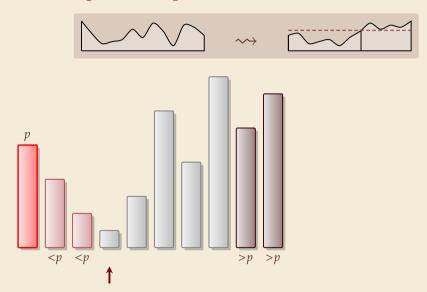


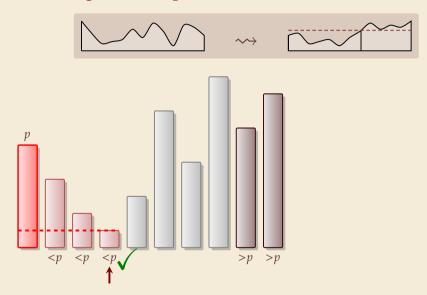


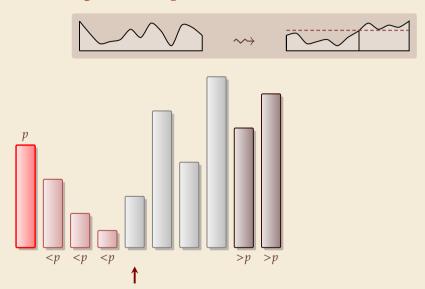


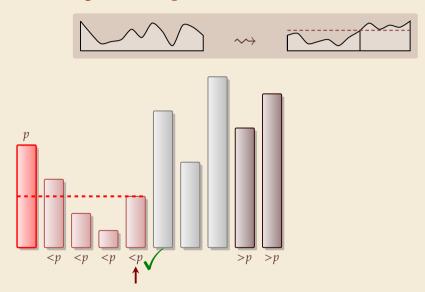


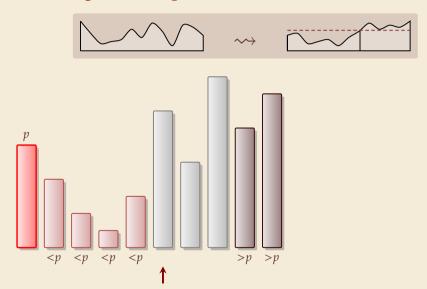


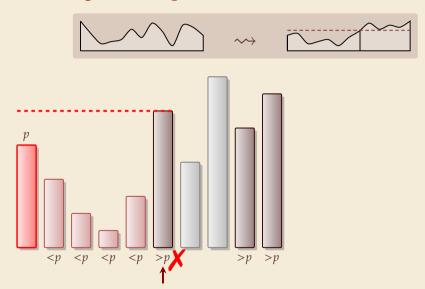


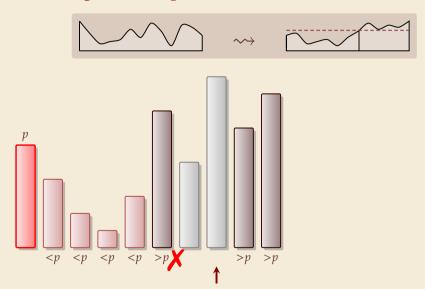


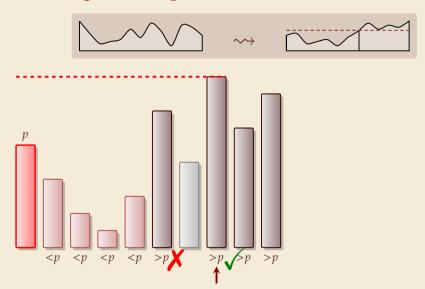


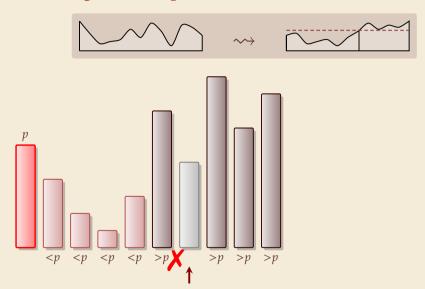


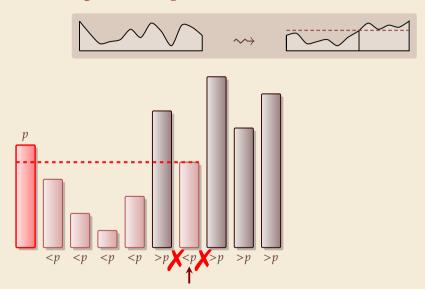


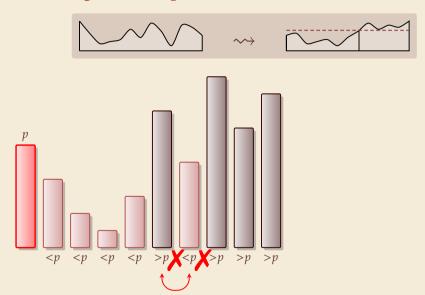


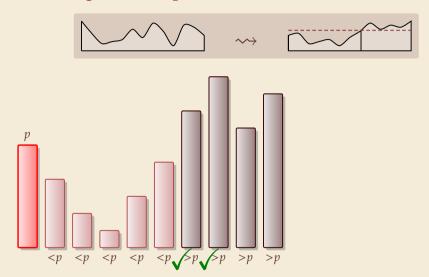


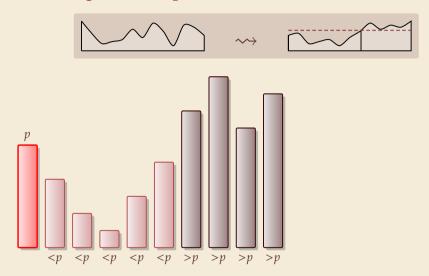


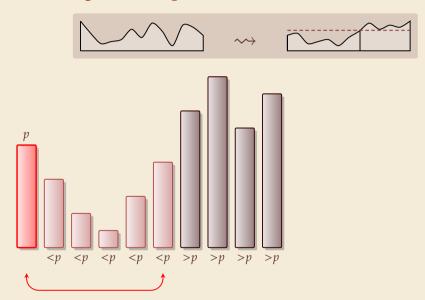


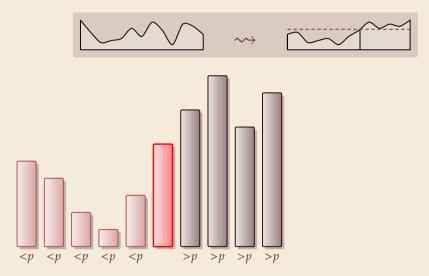




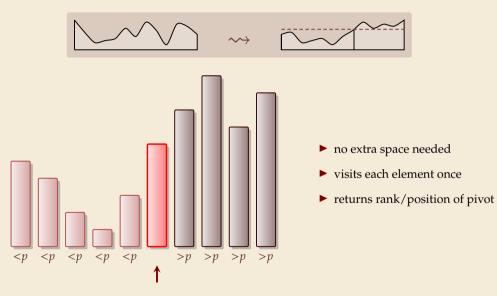








# Partitioning around a pivot



## Partitioning – Detailed code

Beware: details easy to get wrong; use this code!

(if you ever have to)

```
procedure partition(A, b)
      // input: array A[0..n), position of pivot b \in [0..n)
      swap(A[0], A[b])
      i := 0, \quad j := n
      while true do
           do i := i + 1 while i < n and A[i] < A[0]
          do j := j - 1 while j \ge 1 and A[j] > A[0]
          if i \ge j then break (goto 11)
          else swap(A[i], A[i])
      end while
10
      swap(A[0], A[i])
11
      return j
12
```

**Loop invariant (5–10):**  $A p \leq p ? \geq p$ 

```
1 procedure quicksort(A[l..r))

2 if r - \ell \le 1 then return

3 b := \text{choosePivot}(A[l..r))

4 j := \text{partition}(A[l..r), b)

5 quicksort(A[l..j))

6 quicksort(A[j + 1..r))
```

- recursive procedure
- choice of pivot can be
  - ▶ fixed position → dangerous!
  - ► random
  - more sophisticated, e.g., median of 3

## **Clicker Question**

What is the worst-case running time of quicksort?

9

 $\mathbf{A} \quad \Theta(1)$ 

 $\Theta(\log n)$ 

 $\bigcirc$   $\Theta(\log\log n)$ 

 $\mathbf{D} \quad \Theta(\sqrt{n})$ 

 $\Theta(n)$ 

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

 $\Theta(n \log n)$ 

 $\mathbf{H} \quad \Theta(n \log^2 n)$ 

 $\Theta(n^{1+\epsilon})$ 

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

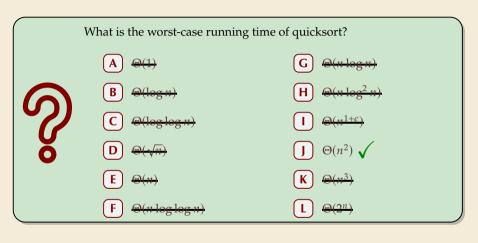
 $\mathbf{K}$   $\Theta(n^3)$ 

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



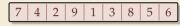
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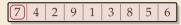
## **Clicker Question**

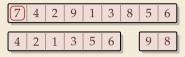


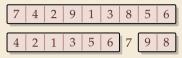


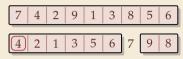
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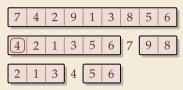


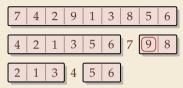


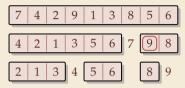


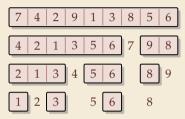


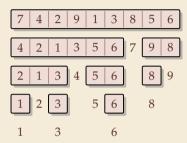


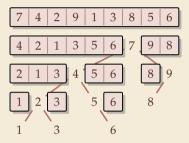




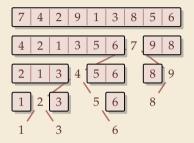








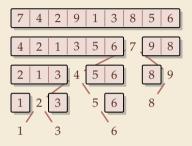
#### Quicksort



#### **Binary Search Tree (BST)**

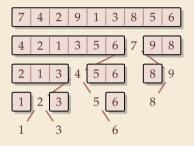
7 4 2 9 1 3 8 5 6

#### Quicksort





#### Quicksort

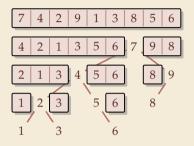


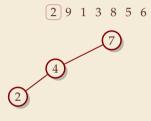
#### **Binary Search Tree (BST)**

4 2 9 1 3 8 5 6

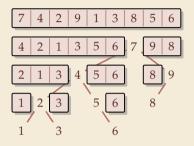


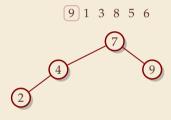
#### Quicksort



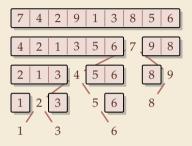


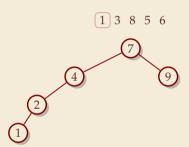
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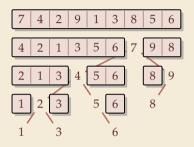


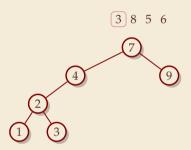
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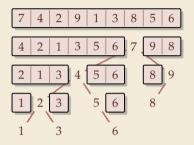


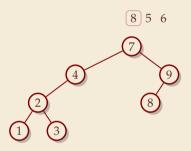
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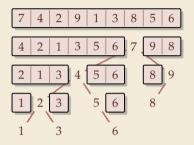


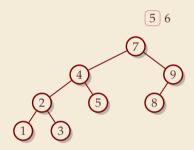
#### Quicksort



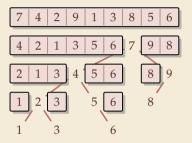


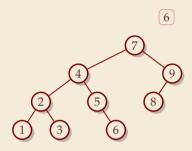
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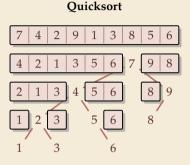




#### Quicksort

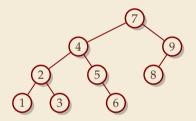






#### **Binary Search Tree (BST)**

7 4 2 9 1 3 8 5 6



- ► recursion tree of quicksort = binary search tree from successive insertion
- comparisons in quicksort = comparisons to built BST
- ► comparisons in quicksort ≈ comparisons to search each element in BST

## **Quicksort – Worst Case**

- ► Problem: BSTs can degenerate
- ightharpoonup Cost to search for k is k-1

$$\rightsquigarrow$$
 Total cost  $\sum_{k=1}^{n} (k-1) = \frac{n(n-1)}{2} \sim \frac{1}{2}n^2$ 

 $\rightarrow$  quicksort worst-case running time is in  $\Theta(n^2)$ 

terribly slow

But, we can fix this:

#### Randomized quicksort:

- ► choose a *random pivot* in each step
- → same as randomly shuffling input before sorting

## Randomized Quicksort - Analysis

- ightharpoonup C(n) = element visits (as for mergesort)
- $\rightsquigarrow$  quicksort needs  $\sim 2 \ln(2) \cdot n \lg n \approx 1.39 n \lg n$  in expectation
- ▶ also: very unlikely to be much worse: e. g., one can prove:  $Pr[cost > 10n \lg n] = O(n^{-2.5})$ distribution of costs is "concentrated around mean"
- ▶ intuition: have to be *constantly* unlucky with pivot choice

## **Quicksort – Discussion**

fastest general-purpose method

 $\Theta(n \log n)$  average case

works *in-place* (no extra space required)

memory access is sequential (scans over arrays)

 $\square$   $\Theta(n^2)$  worst case (although extremely unlikely)

not a stable sorting method

Open problem: Simple algorithm that is fast, stable and in-place.

# 3.3 Comparison-Based Lower Bound

#### Lower Bounds

- ▶ **Lower bound:** mathematical proof that *no algorithm* can do better.
  - ▶ very powerful concept: bulletproof impossibility result
    ≈ conservation of energy in physics
  - (unique?) feature of computer science: for many problems, solutions are known that (asymptotically) achieve the lower bound

#### **Lower Bounds**

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  - ▶ very powerful concept: bulletproof impossibility result
    ≈ conservation of energy in physics
  - (unique?) feature of computer science: for many problems, solutions are known that (asymptotically) achieve the lower bound
  - → can speak of "optimal algorithms"
- ▶ To prove a statement about *all algorithms*, we must precisely define what that is!
- ▶ already know one option: the word-RAM model
- ► Here: use a simpler, more restricted model.

## **The Comparison Model**

- ▶ In the *comparison model* data can only be accessed in two ways:
  - comparing two elements
  - ▶ moving elements around (e.g. copying, swapping)
  - ► Cost: number of these operations.

## The Comparison Model

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That's good! /Keeps algorithms general!

- This makes very few assumptions on the kind of objects we are sorting.
- ▶ Mergesort and Quicksort work in the comparison model.

## The Comparison Model

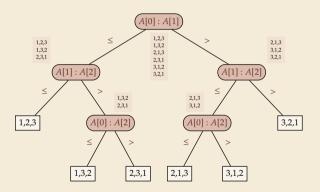
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- ▶ This makes very few assumptions on the kind of objects we are sorting.
- Mergesort and Quicksort work in the comparison model.
- → Every comparison-based sorting algorithm corresponds to a *decision tree*.
  - ▶ only model comparisons → ignore data movement
  - ▶ nodes = comparisons the algorithm does
  - ▶ next comparisons can depend on outcomes → different subtrees
  - ► child links = outcomes of comparison
  - ▶ leaf = unique initial input permutation compatible with comparison outcomes

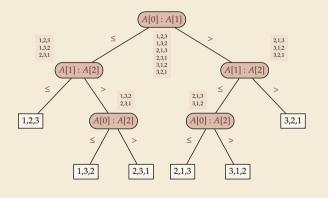
#### **Comparison Lower Bound**

**Example:** Comparison tree for a sorting method for A[0..2]:



#### **Comparison Lower Bound**

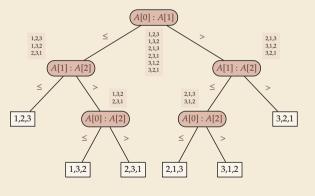
**Example:** Comparison tree for a sorting method for A[0..2]:



- ► Execution = follow a path in comparison tree.
- → height of comparison tree = worst-case # comparisons
- comparison trees are binary trees
- $\rightsquigarrow \ell \text{ leaves } \rightsquigarrow \text{ height } \geq \lceil \lg(\ell) \rceil$
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- comparison trees for sorting method must have ≥ n! leaves
- $\rightarrow$  height  $\ge \lg(n!) \sim n \lg n$ more precisely:  $\lg(n!) = n \lg n - \lg(e)n + O(\log n)$
- ▶ Mergesort achieves  $\sim n \lg n$  comparisons  $\rightsquigarrow$  asymptotically comparison-optimal!
- ▶ Open (theory) problem: Sorting algorithm with  $n \lg n \lg(e)n + o(n)$  comparisons?

#### **Clicker Question**



Does the comparison-tree from the previous slide correspond to a worst-case optimal sorting method?



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#### **Clicker Question**



Does the comparison-tree from the previous slide correspond to a worst-case optimal sorting method?



No



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### 3.4 Integer Sorting

▶ Does the above lower bound mean, sorting always takes time  $\Omega(n \log n)$ ?

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- ightharpoonup Here: sort n integers
  - ▶ can do *a lot* with integers: add them up, compute averages, . . . (full power of word-RAM)
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  - can do *a lot* with integers: add them up, compute averages, . . . (full power of word-RAM)
  - we are **not** working in the comparison model
  - *→* above lower bound does not apply!
  - but: a priori unclear how much arithmetic helps for sorting . . .

#### **Counting sort**

- ► Important parameter: size/range of numbers
  - ▶ numbers in range  $[0..U) = \{0,..., U-1\}$  typically  $U = 2^b \iff b$ -bit binary numbers

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- ▶ We can sort *n* integers in  $\Theta(n + U)$  time and  $\Theta(U)$  space when  $b \le w$ :

#### **Counting sort**

```
procedure countingSort(A[0..n))
       //A contains integers in range [0..U).
                                                                               count how often each possible
       C[0..U] := \text{new integer array, initialized to } 0
3
                                                                                   value occurs
       // Count occurrences
                                                                               produce sorted result directly
       for i := 0, ..., n-1

C[A[i]] := C[A[i]] + 1 \quad (())
                                                                                   from counts
       i := 0 // Produce sorted list
                                                                               circumvents lower bound by
          k := 0, \dots U - 1
\text{for } j := 1, \dots C[k]
A[i] := k; \ i := i + 1 \quad \Theta(1) \quad \Theta(C[k])
O(1) \quad \text{pointer offset}
O(1) \quad \text{pointer offset}
O(1) \quad \text{pointer of fleet}
       for k := 0, ..., U - 1
```

Can sort *n* integers in range [0..U) with U = O(n) in time and space  $\Theta(n)$ .

#### **Integer Sorting – State of the art**

- ightharpoonup O(n) time sorting also possible for numbers in range  $U = O(n^c)$  for constant c.
  - ightharpoonup radix sort with radix  $2^w$

#### ► Algorithm theory

- suppose  $U = 2^w$ , but w can be an arbitrary function of n
- $\blacktriangleright$  how fast can we sort *n* such *w*-bit integers on a *w*-bit word-RAM?
  - for  $w = O(\log n)$ : linear time (radix/counting sort)
  - for  $w = \Omega(\log^{2+\varepsilon} n)$ : linear time (*signature sort*)
  - ► for w in between: can do  $O(n\sqrt{\lg\lg n})$  (very complicated algorithm) don't know if that is best possible!



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\* \* \*

▶ for the rest of this unit: back to the comparisons model!

#### **Clicker Question**

Which statements are correct? Select all that apply.

My computer has 64-bit words, so an int has 64 bits. Hence I can sort any int[] of length  $n ext{ . . .}$ 



- $oldsymbol{A}$  in time proportional to n.
- **B**) in O(n) time.
- $\cap$  in  $O(n \log n)$  time.
- **D** in constant time.
- **E** some time, but not possible to say from given information.



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## Part II

Exploiting presortedness

# 3.5 Adaptive Sorting

#### **Adaptive sorting**

- ▶ Comparison lower bound also holds for the *average case*  $\leadsto$   $\lfloor \lg(n!) \rfloor$  cmps necessary
- ▶ Mergesort and Quicksort from above use  $\sim n \lg n$  cmps even in best case

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Can we do better if the input is already "almost sorted"?

#### Scenarios where this may arise naturally:

- ▶ Append new data as it arrives, regularly sort entire list (e.g., log files, database tables)
- Compute summary statistics of time series of measurements that change slowly over time (e. g., weather data)
- ▶ Merging locally sorted data from different servers (e. g., map-reduce frameworks)
- → Ideally, algorithms should *adapt* to input: *the more sorted the input, the faster the algorithm*... but how to do that!?

#### Warmup: check for sorted inputs

▶ Any method could first check if input already completely in order!

Best case becomes  $\Theta(n)$  with n-1 comparisons!

Usually n-1 extra comparisons and pass over data "wasted"

Only catches a single, extremely special case . . .

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  - Potentially exploits partial sortedness!
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For Mergesort, can instead check before merge with a **single** comparison

► If last element of first run ≤ first element of second run, skip merge

How effective is this idea?

```
procedure mergesortCheck(A[l..r))

n := r - l

if n \le 1 return

m := l + \lfloor \frac{n}{2} \rfloor

mergesortCheck(A[l..m))

mergesortCheck(A[m..r))

if A[m-1] > A[m]

merge(A[l..m), A[m..r), buf)

copy buf to A[l..r)
```

#### Mergesort with sorted check – Analysis

- ightharpoonup Simplified cost measure: merge cost = size of output of merges
  - ≈ number of comparisons
  - $\approx\,$  number of memory transfers / cache misses
- **Example** input: n = 64 numbers in sorted *runs* of 16 numbers each:

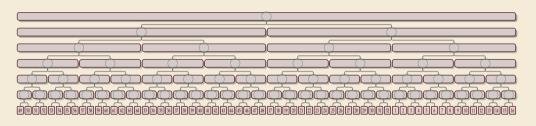


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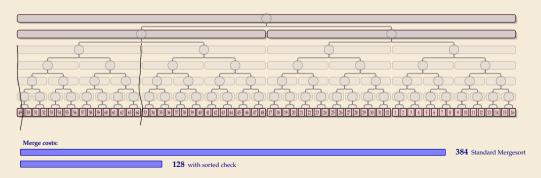


Merge costs:

384 Standard Mergesort

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  - ≈ number of memory transfers / cache misses
- **Example** input: n = 64 numbers in sorted *runs* of 16 numbers each:



Sorted check can help a lot!

#### Alignment issues

- ▶ In previous example, each run of length  $\ell$  saved us  $\ell \lg(\ell)$  in merge cost.
  - = exactly the cost of *creating* this run in mergesort had it not already existed

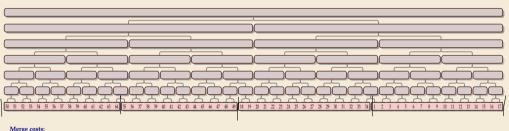
⇒ best savings we can hope for!

⇒ Are overall merge costs 
$$\mathcal{H}(\ell_1, \dots, \ell_r) := \underbrace{n \lg(n)}_{\text{mergesort}} - \underbrace{\sum_{i=1}^r \ell_i \lg(\ell_i)}_{\text{savings from runs}}$$
?

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#### Unfortunately, not quite:



savings from runs

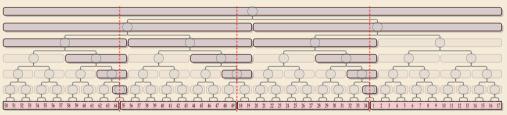
**127.8** H(15, 15, 17, 17)

384 Standard Mergesort

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Merge costs:

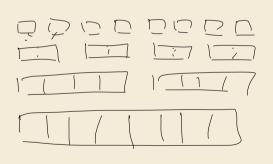
384 Standard Mergesort
216 with sorted check

**127.8**  $\Re(15, 15, 17, 17)$ 

#### **Natural Bottom-Up Mergesort**

► Can we do better by explicitly detecting runs?

```
procedure bottomUpMergesort(A[0..n))
       Q := new Queue // runs to merge
       // Phase 1: Enqueue singleton runs
       for i = 0, ..., n-1 do
           O.engueue((i,i+1))
       // Phase 2: Merge runs level—wise
       while \neg O.isEmpty()
           Q' := \text{new Queue}
           while Q.size() \ge 2
                (i_1, i_1) := O.dequeue()
10
                (i_2, j_2) := Q.dequeue()
11
                merge(A[i_1..j_1), A[i_2..j_2), buf)
12
                copy buf to A[i_1..i_2)
13
                O'.enqueue((i_1, i_2))
14
           if \neg Q.isEmpty()
15
                O'.enqueue(O.dequeue())
16
           Q := Q'
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```



#### **Natural Bottom-Up Mergesort**

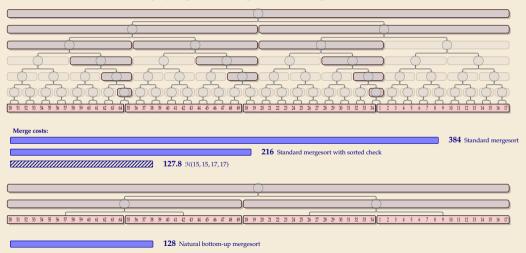
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14
           if \neg O.isEmptu()
15
                O'.enqueue(O.dequeue())
16
           Q := Q'
17
```

```
procedure natural Mergesort (A[0..n])
       Q := \text{new Queue}; i := 0
                                       find run A[i...j)
                                       starting at i
       while i < n
            i := i + 1
           while A[j] \ge A[j-1] do j := j+1
5
            Q.engueue((i,j)); i := j
       while \neg O.isEmpty()
           Q' := \text{new Queue}
            while O.size() \ge 2
10
                (i_2, j_2) := Q.dequeue()
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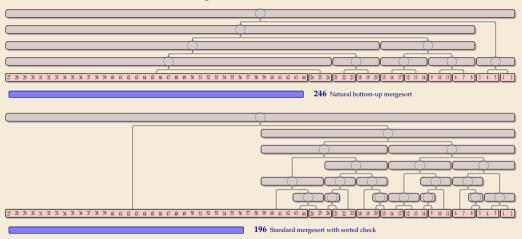
#### Natural Bottom-Up Mergesort – Analysis

▶ Works well runs of roughly equal size, regardless of alignment . . .



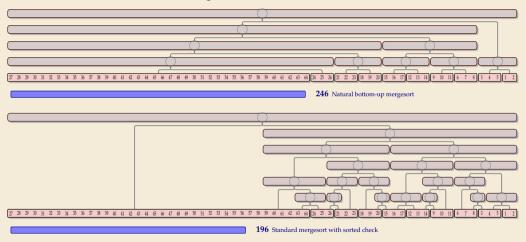
#### Natural Bottom-Up Mergesort – Analysis [2]

▶ ... but less so for uneven run lengths



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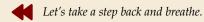
... can't we have both at the same time?!

#### **Good merge orders**

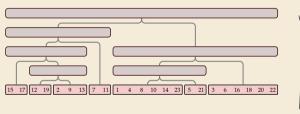


Let's take a step back and breathe.

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  - ► Conceptually, there are two tasks:
    - **1.** Detect and use existing runs in the input  $\rightsquigarrow \ell_1, \ldots, \ell_r$  (easy)
    - 2. Determine a favorable *order of merges* of runs ("automatic" in top-down mergesort)

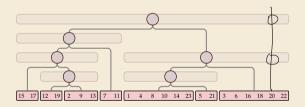


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Merge cost = total area of

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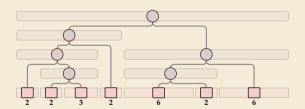
Merge cost = total area of

= total length of paths to all array entries



Let's take a step back and breathe.

- ► Conceptually, there are two tasks:
  - **1.** Detect and use existing runs in the input  $\rightarrow \ell_1, \ldots, \ell_r$  (easy)
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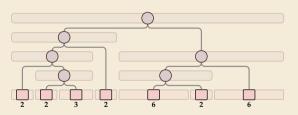
= total length of paths to all array entries

$$= \sum_{w \text{ leaf}} weight(w) \cdot depth(w)$$



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  - **1.** Detect and use existing runs in the input  $\rightarrow \ell_1, \dots, \ell_r$  (easy)
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**Merge cost** = total area of (

= total length of paths to all array entries

$$= \sum_{w \text{ leaf}} weight(w) \cdot depth(w)$$

well-understood problem with known algorithms

optimal merge tree

= optimal *binary search tree* for leaf weights  $\ell_1, \ldots, \ell_r$  (optimal expected search cost)

# **Nearly-Optimal Mergesort**

#### Nearly-Optimal Mergesorts: Fast, Practical Sorting Methods That Ontimally Adapt to Existing Runs

#### J. Ian Munro

University of Waterlee, Canada

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Schastian Wild University of Waterless Consider

wildfirmsterles ca () https://occid.org/0000-0002-6061-9173

#### - Abstract

We rement two stable represent variants, "madeset" and "possesset" that exploit evisitor runs substantial effort for determining the merging order (Takaoka 2009; Barbay & Navagro 2013) or do not have an optimal worst-case guarantee (Peters 2002: Ausey, Nicand & Pivoteau 2015: Buss & Knon 2018). We demonstrate that our methods are competitive in terms of running time with state-of-the-art implementations of stable sorting methods.

2012 ACM Subject Classification Theory of computation is Sorting and searching

Knowneds and obrases adoutive sorting, nearly-continual binary search trees. Timeort

Digital Object Identifier 10.4230/LIPIocESA.2018.63

Canada and the Canada Research Chairs Programme.

Related Version arXiv: 1805.04154 (extended version with appendiced

Supplement Material manufact 1941169. Joseph to recorded contains they stated Funding This work was supported by the Natural Sciences and Engineering Research Council of



#### 1 Introduction

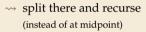
Sorting is a fundamental building black for comprose tasks and objections in both the theory and practice of computing. While practical and theoretically (close-to) optimal comparison-based sorting methods are known, instance-optimal sorting, i.e., methods that adent to the actual input and contait uncrific structural properties if present, is still an area of active research. We survey some recent developments in Section 1.1.

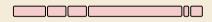
Many different structural properties have been investigated in theory. Two of them have also found wide adoption in practice, e. e., in Oracle's Java routine library: adapting to the annual of during has and mine mixture antel annuals called one. The former is OpenBSD implementation of exact from the Cutandard library. It is an ametable section method, through i.e., the relative order of elements with sonal laws might be destroyed in the process. It is hence used in Java solely for primitive-type arrays.

Schmidt Bernard under Creative Communic Literace CC-RV
2015 Annual European Symposium on Algorithms (ESA 2018).
Editors Visual Annu, Hannah End., and Chengrae Hennan Article No. 62, pp. 625–63.25
Editors Visual Annu, Hannah End., and Chengrae Hennan Article No. 62, pp. 625–63.25
UFFIS Schlein Banachtal — Lednic Scenirum its Deformatis. Daretteld Publishira. Gressare.

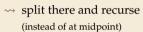
- ▶ In 2018, with Ian Munro, I combined research on nearly-optimal BSTs with mergesort
- → 2 new algorithms: Peeksort and Powersort
  - both adapt provably optimal to existing runs even in worst case:  $mergecost \leq \mathcal{H}(\ell_1, \dots, \ell_r) + 2n$
  - both are lightweight extensions of existing methods with negligible overhead
  - both fast in practice

- ▶ based on top-down mergesort
- ► "peek" at middle of array & find closest run boundary



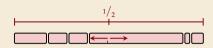


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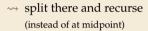


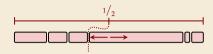


- ▶ based on top-down mergesort
- ▶ "peek" at middle of array & find closest run boundary
- → split there and recurse
  (instead of at midpoint)



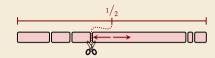
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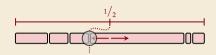


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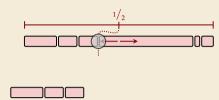
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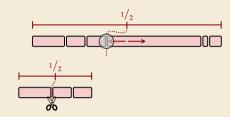
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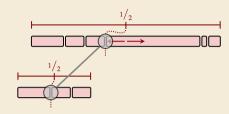
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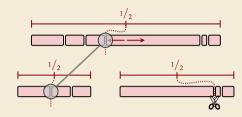
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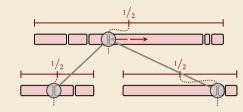


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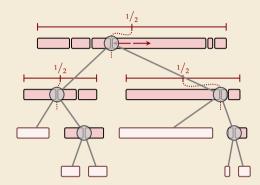


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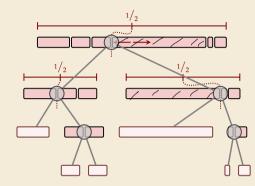
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- "peek" at middle of array& find closest run boundary
- → split there and recurse
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- can avoid scanning runs repeatedly:
  - ▶ find full run straddling midpoint
  - remember length of known runs at boundaries



with clever recursion, scan each run only once.

#### **Peeksort – Code**

```
procedure peeksort(A[\ell..r), \Delta_{\ell}, \Delta_{r})
                if r - \ell < 1 then return
  2
                if \ell + \Delta_{\ell} == r \vee \ell == r + \Delta_r then return
             m := \ell + |(r - \ell)/2|
5 i := \begin{cases} \ell + \Delta_{\ell} & \text{if } \ell + \Delta_{\ell} \ge m \\ \text{extendRunLeft}(A, m) & \text{else} \end{cases}
6 j := \begin{cases} r + \Delta_{r} \le m & \text{if } r + \Delta_{r} \le m \le m \\ \text{extendRunRight}(A, m) & \text{else} \end{cases}
7  g := \begin{cases} i & \text{if } m - i < j - m \\ j & \text{else} \end{cases}
8  \Delta_g := \begin{cases} j - i & \text{if } m - i < j - m \\ i - j & \text{else} \end{cases}
             peeksort(A[\ell..g), \Delta_{\ell}, \Delta_{g})
  9
                peeksort(A[g,r), \Delta_{\sigma}, \Delta_{r})
 10
                merge(A[\ell,g),A[g..r),buf)
 11
                copy buf to A[\ell..r)
```

► Parameters:



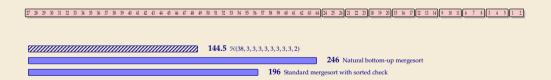
- ▶ initial call: peeksort(A[0..n),  $\Delta_0$ ,  $\Delta_n$ ) with  $\Delta_0$  = extendRunRight(A, 0)  $\Delta_n = n$  - extendRunLeft(A, n)
- helper procedure

```
procedure extendRunRight(A[0..n), i)
j := i + 1
\mathbf{while} \ j < n \land A[j - 1] \le A[j]
j := j + 1
\mathbf{return} \ j
```

(extendRunLeft similar)

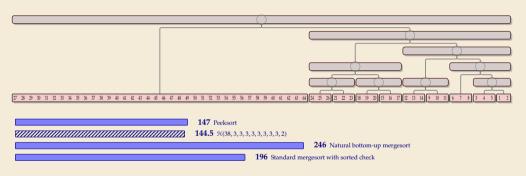
# **Peeksort – Analysis**

► Consider tricky input from before again:



# **Peeksort – Analysis**

► Consider tricky input from before again:



- ▶ One can prove: Mergecost always  $\leq \mathcal{H}(\ell_1, ..., \ell_r) + 2n$
- → We can have the best of both worlds!

# 3.6 Python's list sort

# **Sorting in Python**

- ► CPython
  - ▶ *Python* is only a specification of a programming language
  - ► The Python Foundation maintains *CPython* as the official reference implementation of the Python programming language
  - ▶ If you don't specifically install something else, python will be CPython
- ▶ part of Python are list.sort resp. sorted built-in functions
  - ▶ implemented in C
  - use *Timsort*, custom Mergesort variant by Tim Peters

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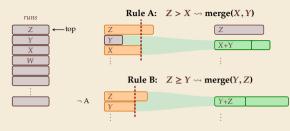
Sept 2021: **Python uses** *Powersort*! in CPython 3.11 and PyPy 7.3.6



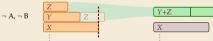
# **Timsort (original version)**

```
procedure Timsort(A[0..n))
i := 0; runs := new Stack()
while i < n
j := ExtendRunRight(A, i)
runs.push(i, j); i := j
while rule A/B/C/D applicable
merge corresponding runs
while runs.size() \ge 2
merge topmost 2 runs
```

- above shows the core algorithm; many more algorithm engineering tricks
- ► Advantages:
  - profits from existing runs
  - ► *locality of reference* for merges
- ► **But:** *not* optimally adaptive! (next slide)
  Reason: Rules A–D (Why exactly these?!)



Rule C:  $Y + Z \ge X \rightsquigarrow merge(Y, Z)$ 

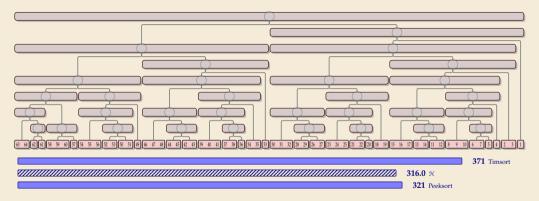


Rule D:  $X + Y \ge W \rightsquigarrow \text{merge}(Y, Z)$ 



#### Timsort bad case

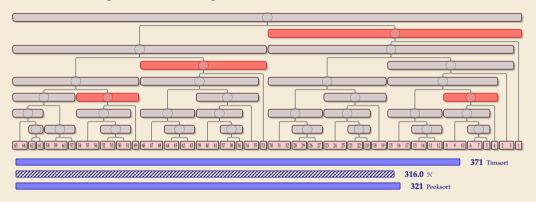
▶ On certain inputs, Timsort's merge rules don't work well:



As *n* increases, Timsort's cost approach  $1.5 \cdot \mathcal{H}$ , i. e., 50% more merge costs than necessary

#### Timsort bad case

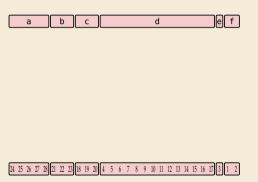
▶ On certain inputs, Timsort's merge rules don't work well:



- ▶ As n increases, Timsort's cost approach 1.5 ·  $\mathcal{H}$ , i. e., 50% more merge costs than necessary
  - ▶ intuitive problem: regularly very unbalanced merges

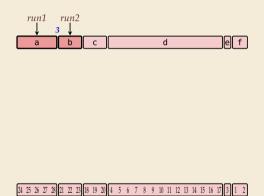
Timsort's *merge rules* aren't great, but overall algorithm has appeal . . . can we keep that?

```
procedure Powersort(A[0..n))
       i := 0; runs := new Stack()
      j := \text{ExtendRunRight}(A, i)
      runs.push(i, j); i := j
      while i < n
           j := \text{ExtendRunRight}(A, i)
           p := power(runs.top(), (i, j), n)
           while p \le \text{topmost power}
8
               merge topmost 2 runs
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```



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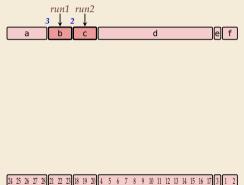
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```
run1
                                                                           run2
procedure Powersort(A[0..n))
       i := 0; runs := new Stack()
                                                                                                    d
       j := \text{ExtendRunRight}(A, i)
                                                     a – 3
       runs.push(i, j); i := j
                                                   run stack
       while i < n
           j := \text{ExtendRunRight}(A, i)
           p := power(runs.top(), (i, j), n)
           while p \le \text{topmost power}
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11
           merge topmost 2 runs
12
                                                                 24 25 26 27 28 21 22 23 18 19 20 4 5 6 7 8 9 10 11 12 13 14 15 16
```

e f

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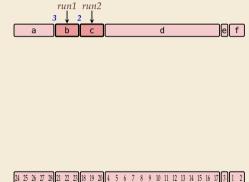
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```
run1 run2
procedure Powersort(A[0..n))
       i := 0; runs := new Stack()
                                                                                                   d
                                                     b-2
       j := \text{ExtendRunRight}(A, i)
                                                     a – 3
       runs.push(i, j); i := j
                                                   run stack
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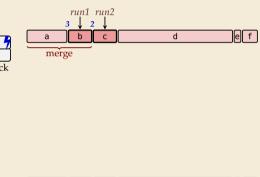
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```
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                                                  b – 2
      j := \text{ExtendRunRight}(A, i)
                                                  a – 3
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                                                run stack
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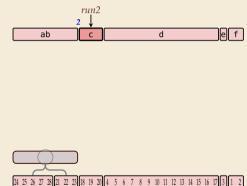
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```
procedure Powersort(A[0..n))
       i := 0; runs := new Stack()
                                                     b – 2
       j := \text{ExtendRunRight}(A, i)
                                                     a – 3
                                                                     merge
       runs.push(i, j); i := j
                                                   run stack
       while i < n
           j := \text{ExtendRunRight}(A, i)
           p := power(runs.top(), (i, j), n)
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                                                                 24 25 26 27 28 21 22 23 18 19 20 4 5 6 7 8 9 10 11 12 13 14 15 16
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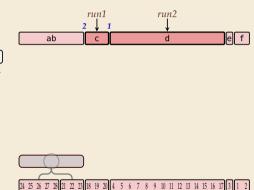


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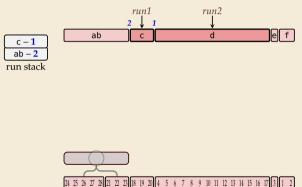
```
run2
procedure Powersort(A[0..n))
       i := 0; runs := new Stack()
                                                                    ab
      j := \text{ExtendRunRight}(A, i)
                                                  ab – 2
      runs.push(i, j); i := j
                                                run stack
      while i < n
           j := \text{ExtendRunRight}(A, i)
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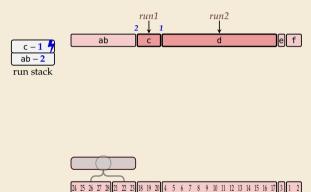
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                                                                    ab
      j := \text{ExtendRunRight}(A, i)
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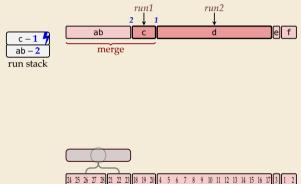
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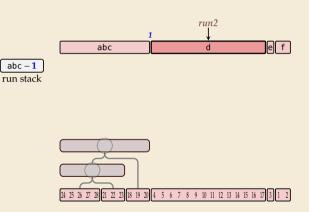
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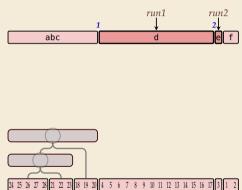
```
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               merge topmost 2 runs
9
           runs.push(i, j); i := j
10
      while runs.size() \ge 2
11
           merge topmost 2 runs
12
```



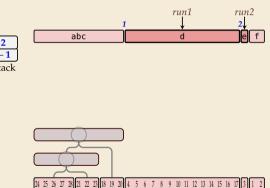
```
procedure Powersort(A[0..n))
       i := 0; runs := new Stack()
      j := \text{ExtendRunRight}(A, i)
      runs.push(i, j); i := j
      while i < n
           j := \text{ExtendRunRight}(A, i)
           p := power(runs.top(), (i, j), n)
           while p \le \text{topmost power}
8
               merge topmost 2 runs
9
           runs.push(i,j); i := j
10
      while runs.size() \ge 2
11
           merge topmost 2 runs
12
```



```
procedure Powersort(A[0..n))
       i := 0; runs := new Stack()
                                                                      abc
      j := \text{ExtendRunRight}(A, i)
                                                 abc – 1
      runs.push(i, j); i := j
                                                run stack
      while i < n
           j := \text{ExtendRunRight}(A, i)
           p := power(runs.top(), (i, j), n)
           while p \le \text{topmost power}
8
               merge topmost 2 runs
9
           runs.push(i,j); i := j
10
      while runs.size() \ge 2
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           merge topmost 2 runs
12
```



```
procedure Powersort(A[0..n))
       i := 0; runs := new Stack()
                                                                      abc
                                                  d-2
      j := \text{ExtendRunRight}(A, i)
                                                 abc – 1
      runs.push(i,j); i := j
                                                run stack
      while i < n
           j := \text{ExtendRunRight}(A, i)
           p := power(runs.top(), (i, j), n)
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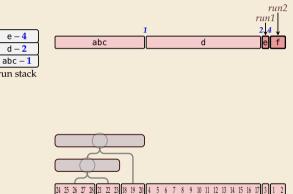


Timsort's *merge rules* aren't great, but overall algorithm has appeal . . . can we keep that?

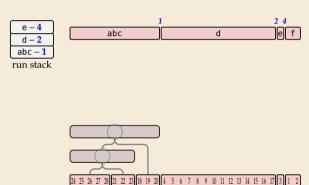
```
procedure Powersort(A[0..n))
       i := 0; runs := new Stack()
                                                                         abc
                                                                                                  d
                                                    d-2
       j := \text{ExtendRunRight}(A, i)
                                                   abc – 1
       runs.push(i,j); i := j
                                                  run stack
       while i < n
           j := \text{ExtendRunRight}(A, i)
           p := power(runs.top(), (i, j), n)
           while p \le \text{topmost power}
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                merge topmost 2 runs
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           runs.push(i,j); i := j
10
       while runs.size() \ge 2
11
           merge topmost 2 runs
12
                                                                         3 21 22 23 18 19 20 4 5 6 7 8 9 10 11 12 13 14 15 16
```

run2 run1

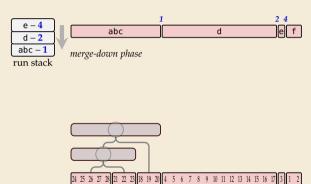
```
procedure Powersort(A[0..n))
       i := 0; runs := new Stack()
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                                                run stack
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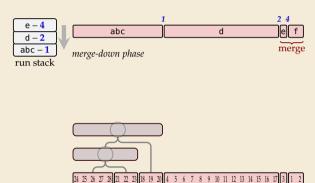
```
procedure Powersort(A[0..n))
       i := 0; runs := new Stack()
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      while i < n
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```



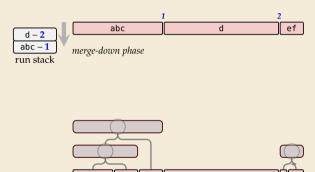
```
procedure Powersort(A[0..n))
       i := 0; runs := new Stack()
      j := \text{ExtendRunRight}(A, i)
      runs.push(i, j); i := j
      while i < n
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           p := power(runs.top(), (i, j), n)
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       i := 0; runs := new Stack()
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      while i < n
           i := \text{ExtendRunRight}(A, i)
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               merge topmost 2 runs
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12
```

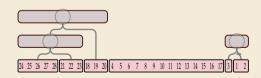


```
procedure Powersort(A[0..n))
       i := 0; runs := new Stack()
      j := \text{ExtendRunRight}(A, i)
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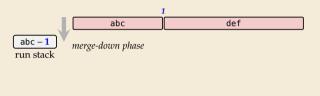


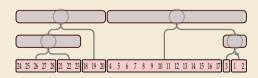
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```



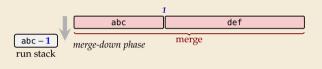


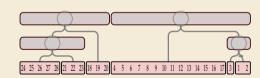
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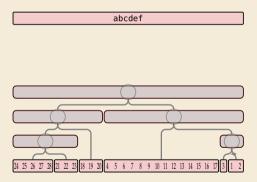


```
procedure Powersort(A[0..n))
       i := 0; runs := new Stack()
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```



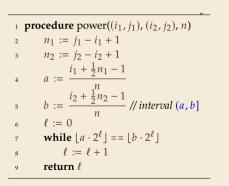


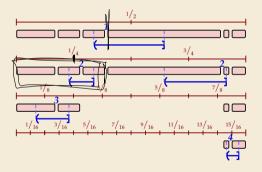
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```



## **Powersort – Computing powers**

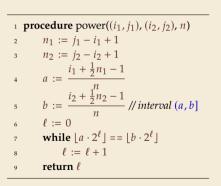
- ► Computing the power of (the node between) two runs  $A[i_1..j_1]$  and  $A[i_2..j_2]$ 
  - ► ← = normalized midpoint interval
  - ▶ power = min  $\ell$  s.t.  $\leftarrow$  contains  $c \cdot 2^{-\ell}$

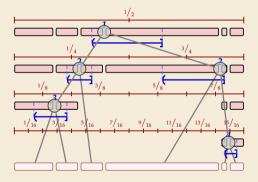




## **Powersort – Computing powers**

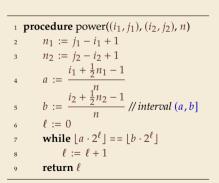
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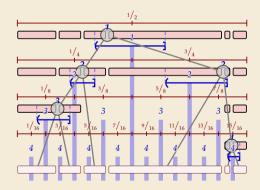




## **Powersort – Computing powers**

- ► Computing the power of (the node between) two runs  $A[i_1..j_1]$  and  $A[i_2..j_2]$ 
  - ► ← = normalized midpoint interval
  - ▶ power = min  $\ell$  s.t.  $\leftarrow$  contains  $c \cdot 2^{-\ell}$





### **Powersort – Discussion**

- Retains all advantages of Timsort
  - good locality in memory accesses
  - no recursion
  - ▶ all the tricks in Timsort
- optimally adapts to existing runs
- minimal overhead for finding merge order

# Part III

Divide & Conquer beyond sorting

## Divide and conquer

**Divide and conquer** *idiom* (Latin: *divide et impera*) to make a group of people disagree and fight with one another so that they will not join together against one (Merriam-Webster Dictionary)

win politics as in algorithms, many independent, small problems are better than a big one!

### Divide-and-conquer algorithms:

- 1. Break problem into smaller, independent subproblems. (Divide!)
  - 2. Recursively solve all subproblems. (Conquer!)
  - **3.** Assemble solution for original problem from solutions for subproblems.

#### **Examples:**

- ► Mergesort
- Ouicksort
- ► Binary search
- ► (arguably) Tower of Hanoi

## 3.7 Order Statistics

## **Selection by Rank**

► Standard data summary of numerical data: (Data scientists, listen up!)

▶ mean, standard deviation

► min/max (range)

easy to compute in  $\Theta(n)$  time

- histograms
- median, quartiles, other quantiles (a.k.a. order statistics)



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  - mean, standard deviation
  - ► min/max (range)
  - histograms
  - median, quartiles, other quantiles (a.k.a. order statistics)

easy to compute in  $\Theta(n)$  time

? computable in  $\Theta(n)$  time?

### General form of problem: Selection by Rank

▶ **Given:** array A[0..n) of numbers and number  $k \in [0..n)$ .

but 0-based & /counting dups

- ▶ **Goal:** find element that would be in position k if A was sorted (kth smallest element).
- ▶  $k = \lfloor n/2 \rfloor$   $\leadsto$  median;  $k = \lfloor n/4 \rfloor$   $\leadsto$  lower quartile k = 0  $\leadsto$  minimum;  $k = n \ell$   $\leadsto$   $\ell$ th largest

## Quickselect

- ► Key observation: Finding the element of rank *k* seems hard. But computing the rank of a given element is easy!
- $\rightarrow$  Pick any element A[b] and find its rank j.
  - ▶ j = k?  $\longrightarrow$  Lucky Duck! Return chosen element and stop
  - ▶ j < k?  $\longrightarrow$  ... not done yet. But: The j + 1 elements smaller than  $\leq A[b]$  can be excluded!
  - ▶ j > k?  $\rightarrow$  similarly exclude the n j elements  $\geq A[b]$

## Quickselect

- ► Key observation: Finding the element of rank *k* seems hard.

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  - ▶ j < k?  $\longrightarrow$  ... not done yet. But: The j + 1 elements smaller than  $\leq A[b]$  can be excluded!
  - ▶ j > k?  $\rightarrow$  similarly exclude the n j elements  $\geq A[b]$
- ▶ partition function from Quicksort:
  - returns the rank of pivot
  - separates elements into smaller/larger
- → can use same building blocks

```
(recursion can be replaced by loop)
```

```
1 procedure quickselect(A[l..r), k)

2 if r - \ell \le 1 then return A[l]

3 b := \text{choosePivot}(A[l..r))

4 j := \text{partition}(A[l..r), b)

5 if j := k

6 return A[j]

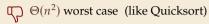
7 else if j < k k - (j * \ell)

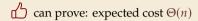
8 quickselect(A[j + 1..n), k - j - 1)

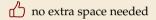
9 else \ell / j > k

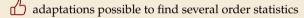
10 quickselect(A[0..j), k)
```

## **Quickselect Discussion**











For practical purposes, Quickselect is fine.



Yeah . . . maybe. But can we select by rank in O(n) worst case?

### **Better Pivots**

It turns out, we can!

- ► All we need is better pivots!
  - ► If pivot was the exact median, we would at least halve #elements in each step
  - ▶ Then the total cost of all partitioning steps is  $\leq 2n = \Theta(n)$ .

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But: finding medians is (basically) our original problem!

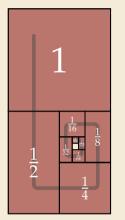
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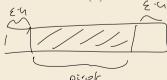


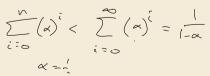
But: finding medians is (basically) our original problem!





It totally suffices to find an element of rank  $\alpha n$  for  $\alpha \in (\varepsilon, 1 - \varepsilon)$  to get overall costs  $\Theta(n)$ !





```
0
  procedure choosePivotMoM(A[1..r))
                                                                                    3
                                                                            8
       m := |n/5|
       for i := 0, ..., m-1
                                                                                    Œ
           sort(A[5i..5i + 4])
           // collect median of 5
5
                                                                           6
                                                                                    \alpha
           Swap A[i] and A[5i + 2]
6
       return quickselectMoM(A[0..m), \lfloor \frac{m-1}{2} \rfloor)
7
                                                                 0
                                                                          0
                                                                                   8
9 procedure quickselectMoM(A[l..r), k)
       if r - \ell \le 1 then return A[l]
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11
      i := partition(A[1..r), b)
12
       if i == k
13
           return A[i]
14
       else if j < k
15
           quickselectMoM(A[j+1..n), k-j-1)
16
       else //i > k
17
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```

6

3

```
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       m := |n/5|
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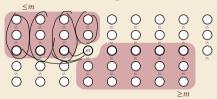
### **Analysis:**

- ► Note: 2 mutually recursive procedures → effectively 2 recursive calls!
- **1.** recursive call inside choosePivotMoM on  $m \le \frac{n}{5}$  elements

```
procedure choosePivotMoM(A[1..r))
       m := |n/5|
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### **Analysis:**

- ► Note: 2 mutually recursive procedures → effectively 2 recursive calls!
- **1.** recursive call inside choosePivotMoM on  $m \le \frac{n}{5}$  elements
- 2. recursive call inside quickselectMoM

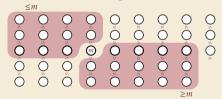


 $\rightsquigarrow$  partition excludes  $\sim 3 \cdot \frac{m}{2} \sim \frac{3}{10}n$  elem.

```
procedure choosePivotMoM(A[1..r))
       m := |n/5|
       for i := 0, ..., m-1
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15
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16
       else //i > k
17
            quickselectMoM(A[0..i), k)
18
```

### **Analysis:**

- ► Note: 2 mutually recursive procedures → effectively 2 recursive calls!
- 1. recursive call inside choosePivotMoM on  $m \leq \frac{n}{5}$  elements
- 2. recursive call inside quickselectMoM



 $\rightarrow$  partition excludes  $\sim 3 \cdot \frac{m}{2} \sim \frac{3}{10}n$  elem.

$$\begin{array}{ll}
 & \longrightarrow C(n) \leq \Theta(n) + C(\frac{1}{5}n) + C(\frac{7}{10}n) \\
 & \text{ansatz: overall} \\
 & \text{cost linear}
\end{array}$$

$$\begin{array}{ll}
 & \subseteq \Theta(n) + C(\frac{1}{5}n + \frac{7}{10}n) \\
 & = \Theta(n) + C(\frac{9}{10}n) \quad \longrightarrow \quad C(n) = \Theta(n)$$

# 3.8 Further D&C Algorithms

## **Majority**

- ▶ **Given:** Array A[0..n) of objects
- ► **Goal:** Check of there is an object x that occurs at  $> \frac{n}{2}$  positions in A if so, return x
- ▶ Naive solution: check each A[i] whether it is a majority  $\longrightarrow$   $\Theta(n^2)$  time

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Can be solved faster using a simple Divide & Conquer approach:

- ▶ If *A* has a majority, that element must also be a majority of at least one half of *A*.
- → Can find majority (if it exists) of left half and right half recursively
- $\sim$  Check these  $\leq$  2 candidates.
- ▶ Costs similar to mergesort  $\Theta(n \log n)$

$$C(u) = 2 \cdot C(\frac{\pi}{2}) + \Theta(a)$$

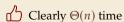
## **Majority – Linear Time**

We can actually do much better!

```
1 def MJRTY(A[0..n))
2  c := 0
3  for i := 1, ..., n-1
4  if c := 0
5  x := A[i]; c := 1
6  else
7  if A[i] := x then c := c + 1 else c := c - 1
8  return x
```



- ightharpoonup MJRTY(A[0..n)) returns *candidate* majority element
- either that candidate is the majority element or none exists(!)



## **Closest pair**

- ► **Given:** Array P[0..n) of points in the plane each has x and y coordinates: P[i].x and P[i].y
- ▶ **Goal:** Find pair P[i], P[j] that is closest in (Euclidean) distance
- ▶ Naive solution: compute distance of each pair  $\longrightarrow$   $\Theta(n^2)$  time
- ► Can be done in  $O(n \log n)$  time using a clever divide & conquer algorithm. (Details not part of the module material.)