



Loop Invariants





Sorting Continued

- So far we've talked about two algorithms to sort an array of numbers
 - What is the advantage of merge sort?
 - What is the advantage of insertion sort?
- Next on the agenda: *Heapsort*
 - Combines advantages of both previous algorithms











The Heap Property

- Heaps also satisfy the *heap property*:
 A[*Parent*(*i*)] ≥ A[*i*] for all nodes *i* > 1
 - In other words, the value of a node is at most the value of its parent
 - Where is the largest element in a heap stored?
- Definitions:
 - The *height* of a node in the tree = the number of edges on the longest downward path to a leaf
 - The height of a tree = the height of its root

Heap Height

- What is the height of an n-element heap? Why?
- This is nice: basic heap operations take at most time proportional to the height of the heap

Heap Height

- What is the height of an n-element heap? Why? Θ(lg n)
- This is nice: basic heap operations take at most time proportional to the height of the heap $O(\lg n)$
- Max- heap for sorting
- Min-heap for priority cues

Heap Height

- Heapsort procedures
- Heapify
- Build-heap
- Heapsort





Heap Operations: Heapify()

```
Heapify(A, i)
{
    l = Left(i); r = Right(i);
    if (l <= heap_size(A) && A[1] > A[i])
        largest = 1;
    else
        largest = i;
    if (r <= heap_size(A) && A[r] > A[largest])
        largest = r;
    if (largest != i)
        Swap(A, i, largest);
        Heapify(A, largest);
}
```





















Analyzing Heapify(): Formal

• So we have

 $T(n) \leq T(2n/3) + \Theta(1)$

• By case 2 of the Master Theorem,

 $T(n) = \mathcal{O}(\lg n)$

• Thus, Heapify() takes logarithmic time









Analyzing BuildHeap()

- Each call to **Heapify**() takes O(lg *n*) time
- There are O(n) such calls (specifically, [n/2])
- Thus the running time is O(*n* lg *n*)
 - *Is this a correct asymptotic upper bound?*
 - Is this an asymptotically tight bound?
- A tighter bound is O(*n*)
 - *How can this be? Is there a flaw in the above reasoning?*



Heapsort

- Given **BuildHeap()**, an in-place sorting algorithm is easily constructed:
 - Maximum element is at A[1]
 - Discard by swapping with element at A[n]
 - Decrement heap_size[A]
 - A[n] now contains correct value
 - Restore heap property at A[1] by calling
 Heapify()
 - Repeat, always swapping A[1] for A[heap_size
 (A)]

Heapsort(A) { BuildHeap(A); for (i = length(A) downto 2) { Swap(A[1], A[i]); heap_size(A) -= 1; Heapify(A, 1); } }



- The call to **BuildHeap()** takes O(n) time
- Each of the *n* 1 calls to **Heapify()** takes O(lg *n*) time
- Thus the total time taken by HeapSort() = $O(n) + (n - 1) O(\lg n)$ = $O(n) + O(n \lg n)$
 - $= O(n \lg n)$





- Insert(S, x) inserts the element x into set S
- Maximum(S) returns the element of S with the maximum key
- **ExtractMax(S)** removes and returns the element of S with the maximum key
- *How could we implement these operations using a heap?*



Review: Quicksort

- Sorts in place
- Sorts O(n lg n) in the average case
- Sorts O(n²) in the worst case
 - But in practice, it's quick
 - And the worst case doesn't happen often (but more on this later...)



Quicksort Code

```
Quicksort(A, p, r)
{
    if (p < r)
    {
        q = Partition(A, p, r);
        Quicksort(A, p, q);
        Quicksort(A, q+1, r);
    }
}</pre>
```







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```



Analyzing Quicksort

• In the worst case, input sorted or reverse sorted. One side of partion has no elemets

 $T(1) = \Theta(1)$

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

• Works out to (via aritmetic series)

 $T(n) = \Theta(n^2)$







Analyzing Quicksort

• What is we split

T(n) = T(9n/10) + T(n/10) + cn











Analyzing Quicksort: Average Case

- Intuitively, a real-life run of quicksort will produce a mix of "bad" and "good" splits
 - Randomly distributed among the recursion tree
 - Pretend for intuition that they alternate between best-case (n/2 : n/2) and worst-case (n-1 : 1)
- What happens if we bad-split root node, then goodsplit the resulting size (n-1) node?
 - We end up with three subarrays, size 1, (n-1)/2, (n-1)/2
 - $T(n) = 2(T(n/2 1) + \Theta(n/2)) + \Theta(n) = \Theta(n \lg n)$
 - No worse than if we had good-split the root node!



Analyzing Quicksort: Average Case

- Idean partition around random element
- Running time is independent of inout order
- No assumptions made about input distribution
- No specific case gives worst case behavior
- Worst case is determined only by the output of random number generator
- Idea: let T(n) = random variable for running time of quicksort



Analysis

$$T(n) = \begin{cases} T(0) + T(n-1) + \Theta(n) & \text{if } 0 : n-1 \text{ split,} \\ T(1) + T(n-2) + \Theta(n) & \text{if } 1 : n-2 \text{ split,} \\ \vdots \\ T(n-1) + T(0) + \Theta(n) & \text{if } n-1 : 0 \text{ split,} \end{cases}$$
$$= \sum_{k=0}^{n-1} X_k (T(k) + T(n-k-1) + \Theta(n))$$
$$X_k = \begin{cases} 1 & \text{if PARTITION generates a } k : n-k-1 \text{ split,} \\ 0 & \text{otherwise.} \end{cases}$$
$$E[X_k] = \Pr\{X_k = 1\} = 1/n \end{cases}$$

Analysis

$$E[T(n)] = E\left[\sum_{k=0}^{n-1} X_k(T(k) + T(n-k-1) + \Theta(n))\right]$$

= $\sum_{k=0}^{n-1} E[X_k(T(k) + T(n-k-1) + \Theta(n))]$
= $\sum_{k=0}^{n-1} E[X_k] \cdot E[T(k) + T(n-k-1) + \Theta(n)]$
= $\frac{1}{n} \sum_{k=0}^{n-1} E[T(k)] + \frac{1}{n} \sum_{k=0}^{n-1} E[T(n-k-1)] + \frac{1}{n} \sum_{k=0}^{n-1} \Theta(n)$
Linearity of expectation; $E[X_k] = 1/n$.

Analysis

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Linearity of expectation; $E[X_k] = 1/n$.
= $\frac{2}{n} \sum_{k=1}^{n-1} E[T(k)] + \Theta(n)$







Analyzing Quicksort: Average Case

- So partition generates splits (0:n-1, 1:n-2, 2:n-3, ..., n-2:1, n-1:0) each with probability 1/n
- If T(n) is the expected running time,

$$T(n) = \frac{1}{n} \sum_{k=0}^{n-1} [T(k) + T(n-1-k)] + \Theta(n)$$

- What is each term under the summation for?
- What is the $\Theta(n)$ term for?

Alternative Analysis

Without formal expectations E[.]





Analyzing Quicksort: Average Case

- We can solve this recurrence using the substitution method
 - Guess the answer
 - What's the answer?
 - Assume that the inductive hypothesis holds
 - Substitute it in for some value < n
 - Prove that it follows for n





- We can solve this recurrence using the dreaded substitution method
 - Guess the answer
 - $T(n) = O(n \lg n)$
 - Assume that the inductive hypothesis holds
 - $T(n) \le an \lg n + b$ for some constants a and b
 - Substitute it in for some value < n
 - Prove that it follows for n



Analyzing Quicksort: Average Case
$$T(n) = \frac{2}{n} \sum_{k=0}^{n-1} T(k) + \Theta(n)$$
The recurrence to be
solved $\leq \frac{2}{n} \sum_{k=0}^{n-1} (ak \lg k + b) + \Theta(n)$ Plug in inductive
hypothesis $\leq \frac{2}{n} \left[b + \sum_{k=1}^{n-1} (ak \lg k + b) \right] + \Theta(n)$ Expand out the k=0
case $= \frac{2}{n} \sum_{k=1}^{n-1} (ak \lg k + b) + \frac{2b}{n} + \Theta(n)$ 2b/n is just a constant,
so fold it into $\Theta(n)$ $= \frac{2}{n} \sum_{k=1}^{n-1} (ak \lg k + b) + \Theta(n)$ Note: leaving the same
recurrence as the book

Analyzing Quicksort: Average Case

$$T(n) = \frac{2}{n} \sum_{k=1}^{n-1} (ak \lg k + b) + \Theta(n)$$
The recurrence to be solved

$$= \frac{2}{n} \sum_{k=1}^{n-1} ak \lg k + \frac{2}{n} \sum_{k=1}^{n-1} b + \Theta(n)$$
Distribute the summation

$$= \frac{2a}{n} \sum_{k=1}^{n-1} k \lg k + \frac{2b}{n} (n-1) + \Theta(n)$$
Evaluate the summation:

$$b + b + \dots + b = b (n-1)$$

$$\leq \frac{2a}{n} \sum_{k=1}^{n-1} k \lg k + 2b + \Theta(n)$$
Since n-1 < n, 2b(n-1)/n < 2b
This summation gets its own set of slides later

Analyzing Quicksort: Average Case
$$T(n) \leq \frac{2a}{n} \sum_{k=1}^{n-1} k \lg k + 2b + \Theta(n)$$
The recurrence to be
solved $\leq \frac{2a}{n} \left(\frac{1}{2}n^2 \lg n - \frac{1}{8}n^2\right) + 2b + \Theta(n)$ We'll prove this later $= an \lg n - \frac{a}{4}n + 2b + \Theta(n)$ Distribute the (2a/n)
term $= an \lg n + b + \left(\Theta(n) + b - \frac{a}{4}n\right)$ Remember, our goal is
to get T(n) \leq an $\lg n + b$ $\leq an \lg n + b$ Pick a large enough that
an/4 dominates $\Theta(n) + b$

Analyzing Quicksort: Average Case So T(n) ≤ an lg n + b for certain a and b Thus the induction holds Thus T(n) = O(n lg n) Thus quicksort runs in O(n lg n) time on average Oh yeah, the summation...







$\begin{aligned} & \underset{k=1}{\text{Tightly Bounding}} \text{Bounding} \\ & \underset{k=1}{\overset{n-1}{\sum}} k \lg k \leq \frac{1}{2} \left(n^2 \lg n - n \lg n \right) - \frac{1}{8} n^2 + \frac{n}{4} \\ & \leq \frac{1}{2} n^2 \lg n - \frac{1}{8} n^2 \text{ when } n \geq 2 \end{aligned}$ & Done!!!