

CS 6212 DESIGN AND ANALYSIS OF ALGORITHMS

LECTURE: DIVIDE & CONQUER – PART I

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OBJECTIVES OF THIS LECTURE

By the end of this lecture, you will be able to:

- Describe the Divide & Conquer algorithmic design technique
- Apply the technique to designing algorithms for an important problem, Sorting, in two different ways
- Draw and appreciate the strong connection between recursion and Divide & Conquer
- Carry out time complexity analysis of Divide & Conquer algorithms, by deriving and solving recurrence relations
- Perform worst-case and average-case time complexity analysis

OUTLINE

- **Template for Divide and Conquer**
- **First Application: Mergesort**
- **Second Application: Quicksort**

DIVIDE & CONQUER

-- GENERAL STRATEGY AND UNDERLYING PHILOSOPHY --

- The general strategy is
 - Examine the size or magnitude of the input of the problem
 - If small enough, solve the problem directly
 - Such solutions are fairly simple, and often trivial, for small input
 - If not small, divide the input into two or more (smaller) parts
 - Solve the same problem on each part
 - by calling the algorithm recursively on each part
 - which is a huge saving in intellectual/design effort
 - Merge the subsolutions (i.e., the solutions of the parts) into a global solution
 - Merging subsolutions is usually simpler than finding a global solution from scratch

DIVIDE & CONQUER

-- TEMPLATE --

Template divide&conquer (input I)

begin

if (size or value of input is small enough)

then

 solve directly and **return**;

endif

divide input I into two or more parts I_1, I_2, \dots ;

$S_1 \leftarrow \text{divide\&conquer}(I_1)$;

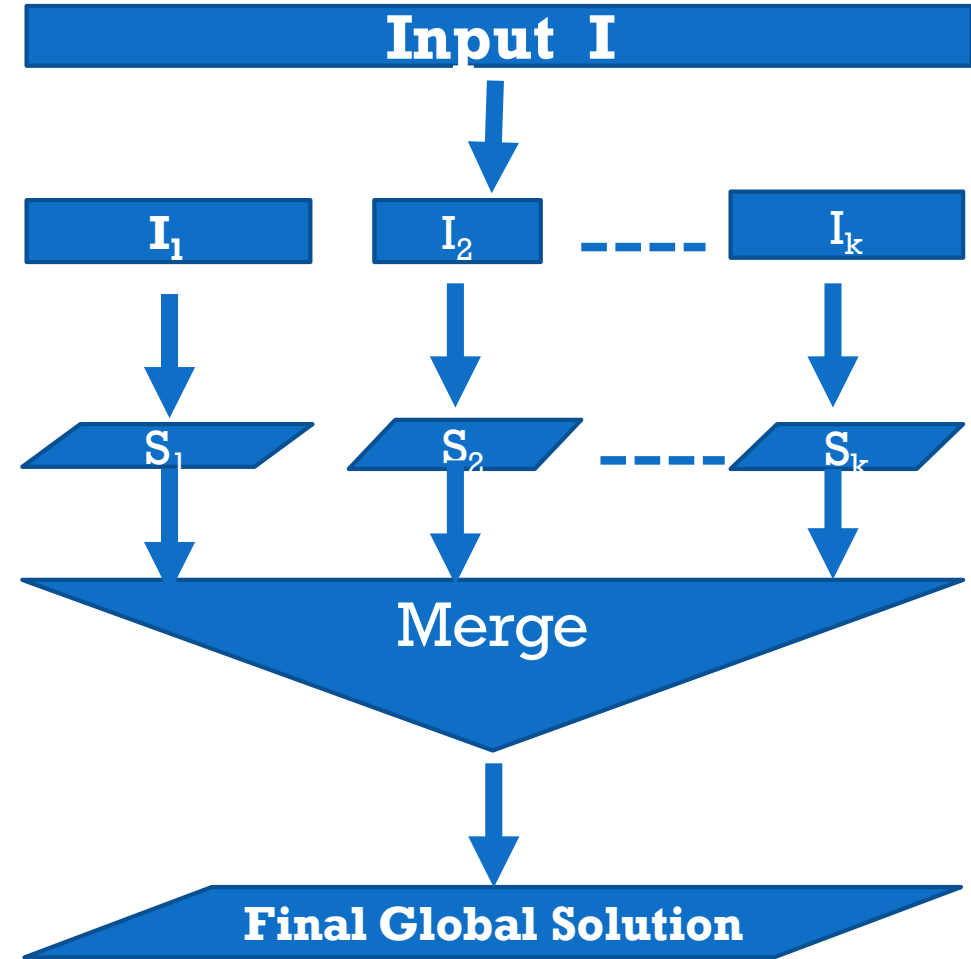
$S_2 \leftarrow \text{divide\&conquer}(I_2)$;

.....

Merge the subsolutions S_1, S_2, \dots into a

global solution S;

end



FIRST APPLICATION

-- SORTING --

- The Sorting problem:
 - **Input:** An arbitrary array of numbers
 - or array of any data type for which we have a comparator like \leq
 - **Output:** the same input but in increasing order (from min to max)
- **Goal:** Apply Divide & Conquer to design an algorithm for sorting
- **Note:** we can sort into decreasing order (from max to min)
 - simply change \leq to \geq

FIRST APPLICATION

-- SORTING REMARKS --

- Sorting is one of the oldest problems in CS
- Sorting algorithms are among the most widely used in IT
- Many sorting algorithms have been developed
- “First-generation” sorting algorithms take $O(n^2)$ time, which is relatively slow, especially for large n
- Some 1st gen sorting algs: *insertion sort, selection sort, exchange sort*
- Divide & Conquer sorting algorithms are much faster, as will be seen in this lecture

FIRST APPLICATION

-- MERGESORT--

```
Proc. Mergesort (in A[1:n], i, j; out B[1:n])  
// sorts A[i:j] to B[i:j]  
begin  
  generic C[1:n]; // same type as A  
  if i==j then B[i] = A[i]; Return; endif  
  Mergesort (A, i, (i+j)/2; C); // sorts 1st half  
  Mergesort(A, (i+j)/2 + 1, j; C); // sorts 2nd half  
  Merge(C, i, j; B); // merges the two sorted  
    // halves into a single sorted array  
end Mergesort
```

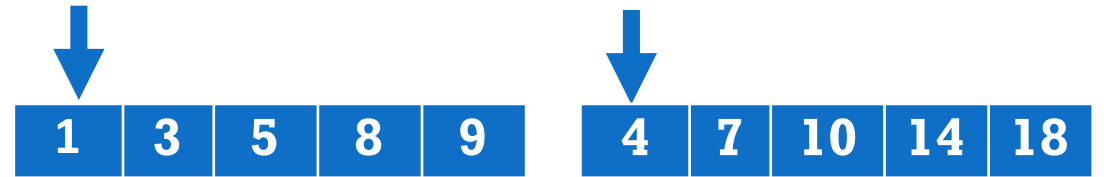
To sort whole array: call Mergesort (A, 1, n; B)

```
Procedure Merge(in C i, j; out B)  
// merges C[i:k] and C[k+1:j] into B[i:j]  
// k=(i+j)/2  
begin  
  int k=(i+j)/2, u=i, v=k+1, w=u;  
  // u scans C[i:k], v scans C[k+1:j]  
  // w indexes B  
  while (u <= k and v <= j) do  
    if C[u] <= C[v] then B[w++] = C[u++];  
    else B[w++] = C[v++];  
    endif  
  endwhile  
  if u > k then B[w:j] = C[v:j];  
  elseif v > j then B[w:j] = C[u:k];  
  endif  
end Merge
```


EXPLANATION OF MERGE

- **Input: Two sorted arrays**

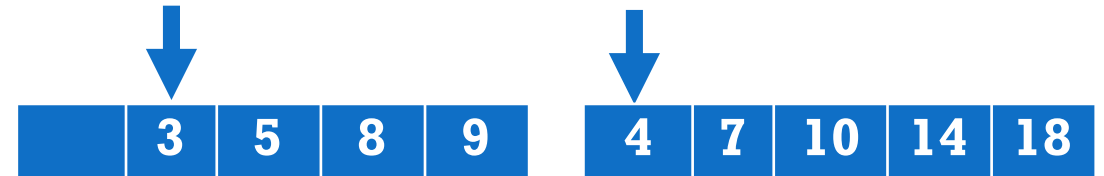
1. Compare heads
2. Move smaller value to the output
3. Move forward the smaller head
4. Repeat 1-3 until one input half is empty
5. Move remainder of other half to output



EXPLANATION OF MERGE

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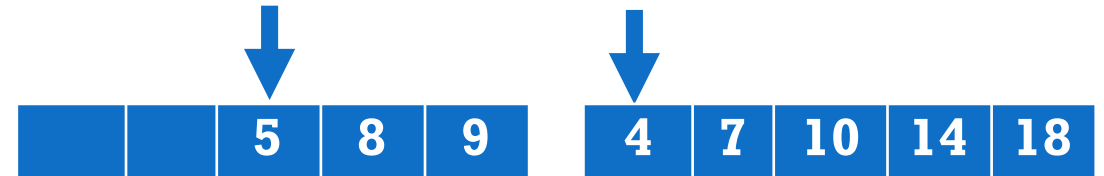
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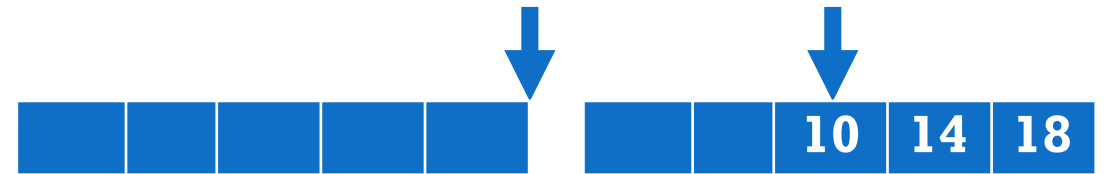
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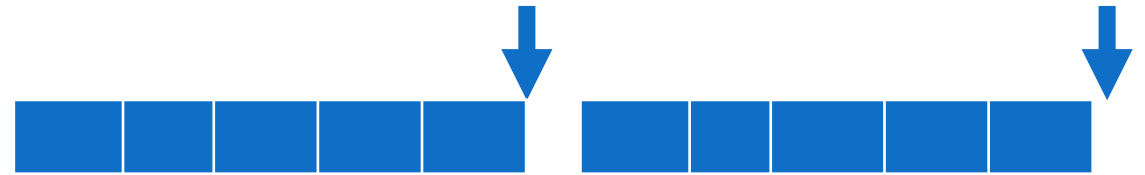
Output →



EXPLANATION OF MERGE

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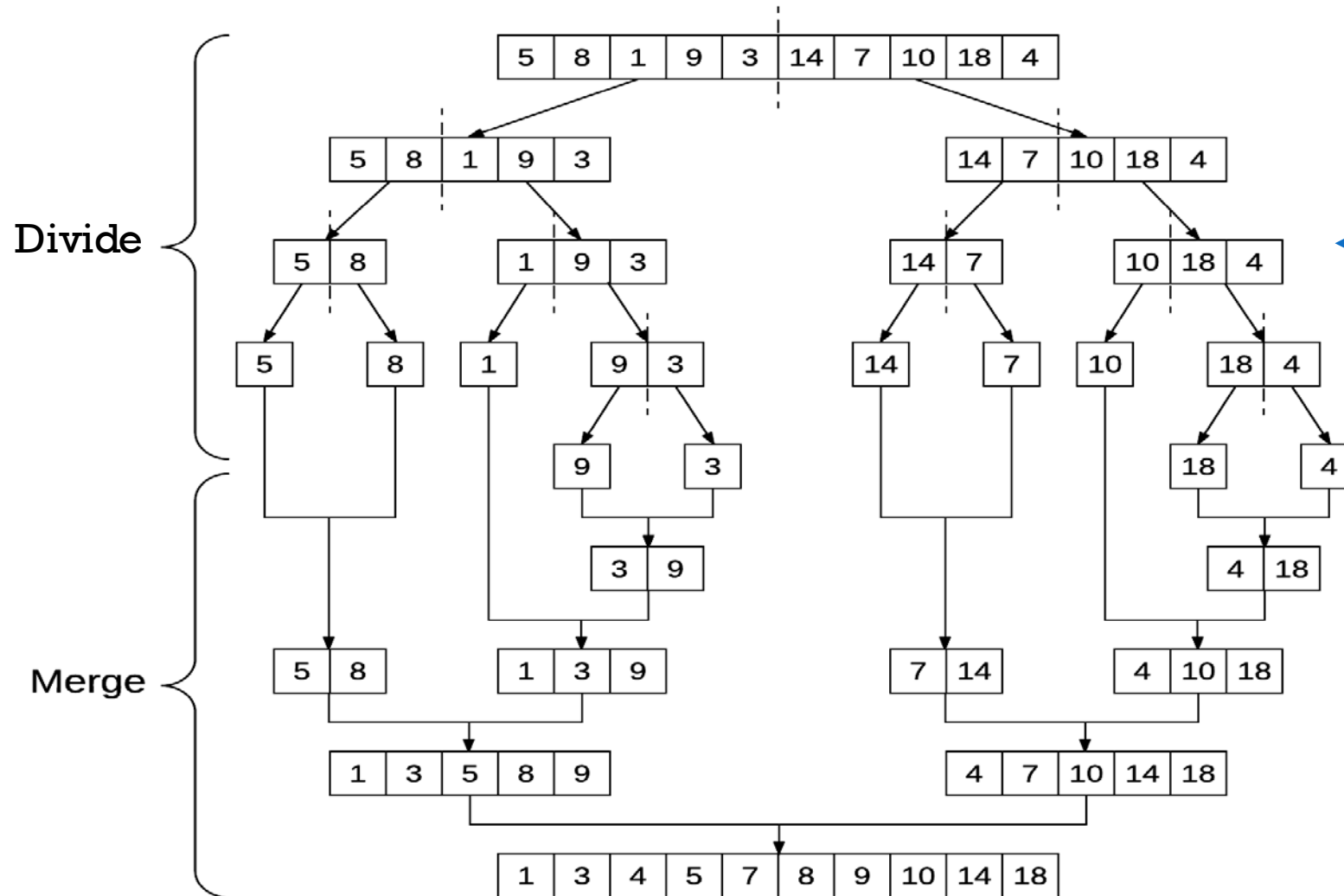


Output →

1	3	4	5	7	8	9	10	14	18
---	---	---	---	---	---	---	----	----	----

ILLUSTRATION OF MERGESORT

-- WHAT GOES ON INSIDE THE COMPUTER --

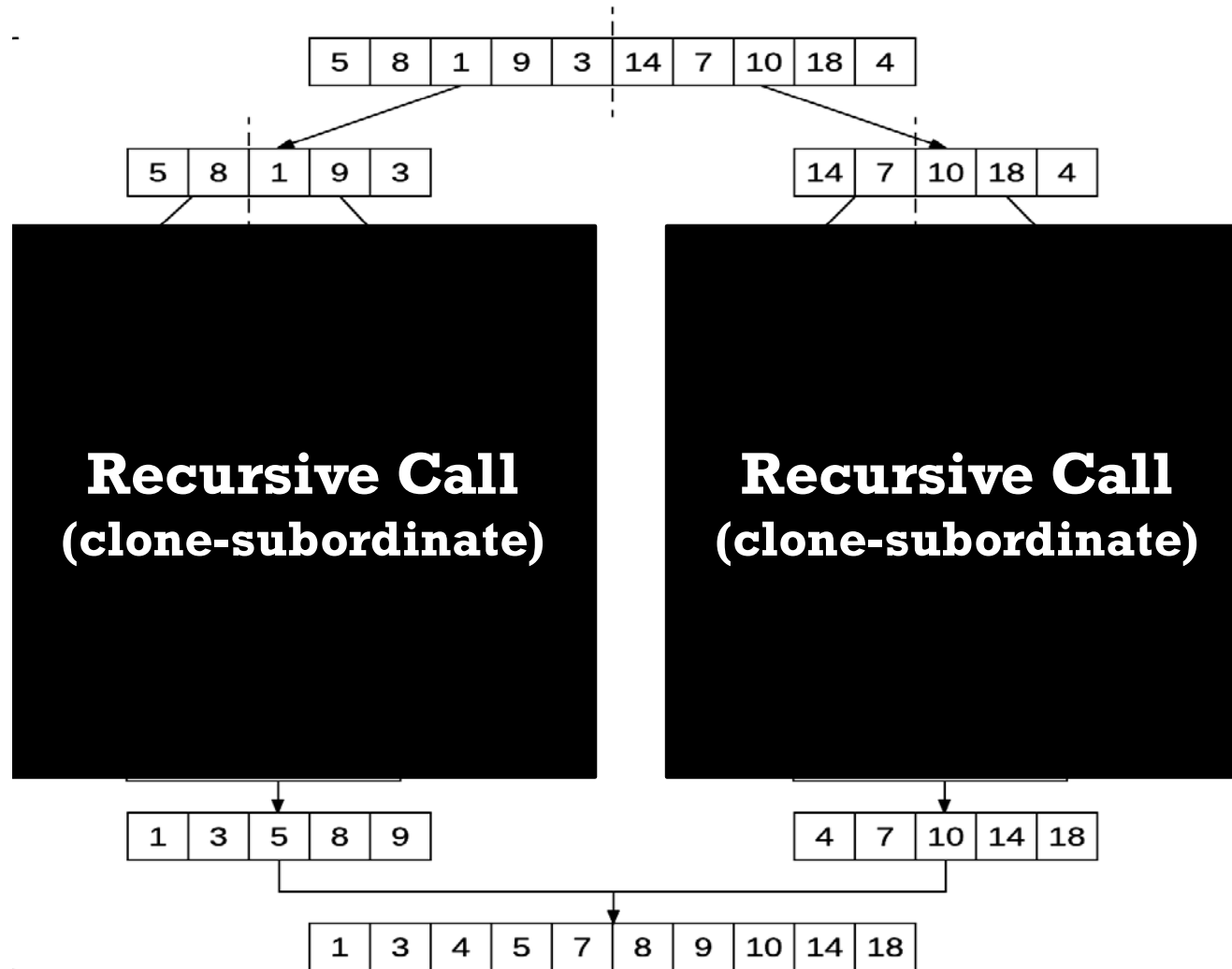


- This is what goes on inside the computer when executing Merge Sort
- But, **don't do** that "at home"
- Rather, ... (see next slide)

THE “BOSS-VIEW” OF MERGESORT

Proper Mindset:

1. Divide data into parts
 2. Then, as a boss, hand each part to a clone-subordinate
 3. Wait for each subordinate to come back with its sub-solution
 4. Then, as the boss, you take the sub-solutions and merge into a global solution
 5. As as boss, you take the credit!
- NEVER MICROMANAGE your subordinates



TIME COMPLEXITY OF MERGESORT

-- DERIVING A RECURRENCE RELATION --

- Time of Merge: $O(n)=cn$, for some constant c , because:
 - After each comparison, the input loses one element
 - Once the input loses all its elements (after $\leq n$ comparisons), it is done
- Time of Mergesort:
 - Let $T(n)$ be the time of Mergesort of n elements
 - $T(n) = (\text{time of each Mergesort on } n/2 \text{ elements}) + (\text{time of Merge})$
 - $T(n) = 2T\left(\frac{n}{2}\right) + cn, \quad T(1)=\text{constant}=c$
 - The above is called a recurrence relation

TIME COMPLEXITY OF MERGESORT

-- SOLVING THE RECURRENCE RELATION --

- Can be solved with the Master Theorem
- But we will solve it here more informally/easily

- $T(n) = 2T\left(\frac{n}{2}\right) + cn$, $T(1)=\text{constant}=c$. **Assume $n = 2^k$**

$$T(n) = 2T\left(\frac{n}{2}\right) + cn$$

$$T\left(\frac{n}{2}\right) = 2T\left(\frac{n}{2^2}\right) + c\frac{n}{2}$$

$$T\left(\frac{n}{2^2}\right) = 2T\left(\frac{n}{2^3}\right) + c\frac{n}{2^2}$$

...

$$T\left(\frac{n}{2^{k-1}}\right) = 2T\left(\frac{n}{2^k}\right) + c\frac{n}{2^{k-1}}$$

- Each line above came from applying the recurrence relation on some $\frac{n}{2^i}$, for $i = 0, 1, 2, \dots, k-1$
- Multiply each i^{th} line above by 2^i

$$T(n) = 2T\left(\frac{n}{2}\right) + cn$$

$$2T\left(\frac{n}{2}\right) = 2^2T\left(\frac{n}{2^2}\right) + 2c\frac{n}{2}$$

$$2^2T\left(\frac{n}{2^2}\right) = 2^3T\left(\frac{n}{2^3}\right) + 2^2c\frac{n}{2^2}$$


...


$$2^{k-1}T\left(\frac{n}{2^{k-1}}\right) = 2^kT\left(\frac{n}{2^k}\right) + 2^{k-1}c\frac{n}{2^{k-1}}$$

TIME COMPLEXITY OF MERGESORT

-- SOLVING THE RECURRENCE RELATION (2) --

$$\begin{aligned}T(n) &= 2T\left(\frac{n}{2}\right) + cn \\2T\left(\frac{n}{2}\right) &= 2^2T\left(\frac{n}{2^2}\right) + 2c\frac{n}{2} \\2^2T\left(\frac{n}{2^2}\right) &= 2^3T\left(\frac{n}{2^3}\right) + 2^2c\frac{n}{2^2} \\&\dots \\2^{k-1}T\left(\frac{n}{2^{k-1}}\right) &= 2^kT\left(\frac{n}{2^k}\right) + 2^{k-1}c\frac{n}{2^{k-1}}\end{aligned}$$


$$\begin{aligned}\cancel{T(n)} &= \cancel{2T\left(\frac{n}{2}\right)} + cn \\2\cancel{T\left(\frac{n}{2}\right)} &= \cancel{2^2T\left(\frac{n}{2^2}\right)} + cn \\2^2\cancel{T\left(\frac{n}{2^2}\right)} &= \cancel{2^3T\left(\frac{n}{2^3}\right)} + cn \\&\dots \\2^{k-1}\cancel{T\left(\frac{n}{2^{k-1}}\right)} &= 2^kT\left(\frac{n}{2^k}\right) + cn\end{aligned}$$

- 
- Sum of left terms = sum of right terms
 - Cancel terms that occur on both sides of “=”
 - What remains on the left is: $T(n)$
 - What remains on the right: $2^kT\left(\frac{n}{2^k}\right) + cnk = nT(1) + cnk$
 - Therefore: $T(n) = nT(1) + cnk = cn + cn \log n = O(n \log n)$
 - **$T(n) = O(n \log n)$**

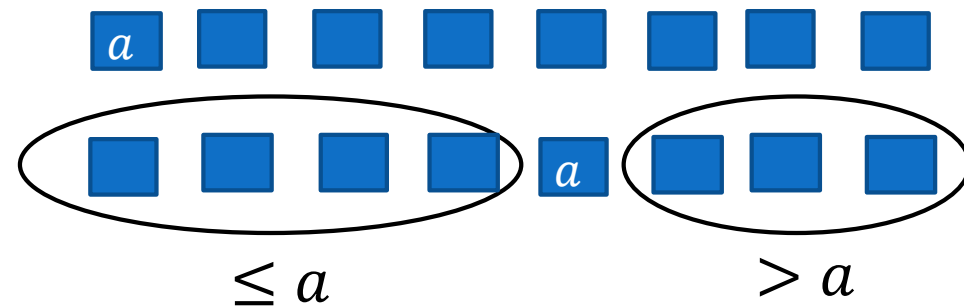
SECOND APPLICATION OF D&C

-- QUICKSORT --

- This time we partition the input $A[1:n]$ around an element in input $A[1:n]$, say $a = A[1]$, such that, after the partitioning:
 - All the input elements that are $\leq a$ are put in the first (left) partition
 - All the input elements that are $> a$ are put in the second (right) partition

Input A:

After partitioning around a :



- Partitioning takes $O(n)$ time

SECOND APPLICATION OF D&C

-- QUICKSORT ALGORITHM --

```
Procedure Quicksort(in/out A[1,n];in: p,q) // sorts A[p:q]
// The sorting is in situ, i.e., in place (within the same input array A
begin
  int r;
  if (p==q) then return; endif // if one element to sort, then sorted
  r := partition(A[p:q]); // r is the index where the partitioning
                        // element (p.a.) lands, i.e., now A[r]==p.a.
  Quicksort(A[p:r-1]); // now A[p:r-1] is sorted, and all are  $\leq a$ 
  Quicksort(A[r+1:q]); // now A[r+1:q] is sorted, and all are  $> a$ 
end
```

At the end of the algorithm, A[p:q] is sorted, because:

- A[p:r-1] is sorted and all are $\leq a \Rightarrow A[p] \leq A[p+1] \leq \dots \leq A[r-1] \leq a = A[r]$
- A[r+1:q] is sorted, and all are $> a \Rightarrow a < A[r+1] \leq A[r+2] \leq \dots \leq A[q]$
- Therefore: $A[p] \leq A[p+1] \leq \dots \leq A[r-1] \leq a = A[r] < A[r+1] \leq A[r+2] \leq \dots \leq A[q]$

TIME COMPLEXITY OF QUICKSORT

- Let $T(n)$ be the time of Quicksort($A[1,n]; 1,n$)
- $T(n) = (\text{time of partition}) + (\text{time of Quicksort}(A[1:n]; 1,r-1)) + (\text{time of Quicksort}(A[1:n]; r+1,n))$
- $T(n) = cn + T(r - 1) + T(n - r)$
- This is a recurrence relation, but we don't know r
- Worst-case time complexity:
 - $r = 1$ (i.e., partitioning is extremely unbalanced)
 - $T(n) = cn + T(1 - 1) + T(n - 1) = cn + T(0) + T(n - 1)$
 - $T(n) = T(n - 1) + cn$

TIME COMPLEXITY OF QUICKSORT

-- WORST-CASE ANALYSIS --

- $T(n) = T(n - 1) + cn$

- Cannot be solved with the Master Theorem b/c the latter doesn't apply to this kind of recurrence relation
- We'll solve it using the informal unfolding method

$$\begin{aligned} T(n) &= T(n-1) + cn \\ T(n-1) &= T(n-2) + c(n-1) \\ T(n-2) &= T(n-3) + c(n-2) \\ &\dots \\ T(1) &= T(0) + c \cdot 1 = c \cdot 1 \end{aligned}$$

The lines in the left box are all derived by applying the top recurrence relations at different values: $T(m) = T(m - 1) + cm$ for $m = n, n - 1, n - 2, \dots, 1$.

- Sum of left terms = sum of right terms
- Cancel terms that occur on both sides of “=”
- What remains on the left is: $T(n)$
- What remains on the right: $c(1 + 2 + \dots + (n - 1) + n)$
- Therefore: $T(n) = c(1 + 2 + \dots + (n - 1) + n) = cn(n + 1)/2$
- Conclusion: $T(n) = O(n^2)$, which is bad!

TIME COMPLEXITY OF QUICKSORT

-- AVERAGE-CASE ANALYSIS --

- **Irony:** Quicksort is slow in the worst case ($O(n^2)$) yet it is called **Quicksort**
- **Reality:** In practice, Quicksort is the fastest sorting algorithm around, faster even than Mergesort (which takes $O(n \log n)$ time $< O(n^2)$)
- So, what is going on?
- Well, the worst case occurs when the input happens to be already sorted (or nearly sorted), but that rarely happens
- In practice, the input is in random order
 - So, the question is: What happens if we have **average input**
- We need to perform “average-case” time complexity analysis

AVERAGE-CASE ANALYSIS OF QUICKSORT (1)

- Recall the general recurrence relation:

$$T(n) = T(r - 1) + T(n - r) + cn$$

where r can be 1 or 2 or ... or n

- Thus, $T(n)$ can be:

- $T(n) = T(0) + T(n - 1) + cn$, or
- $T(n) = T(1) + T(n - 2) + cn$, or
- $T(n) = T(2) + T(n - 3) + cn$, or
-
- $T(n) = T(n - 1) + T(0) + cn$

- So, the average value of $T(n)$ is the average of those n possible values, i.e., (the sum of those values)/ n

- As you sum, group the terms as shown left

- Thus, the sum is:
 $2[T(0) + T(1) + T(2) + \dots + T(n - 1)] + cn \cdot n$

AVERAGE-CASE ANALYSIS OF QUICKSORT (2)

- Therefore, the average of $T(n)$, denoted $T_A(n)$, is:
 - $T_A(n) = \text{sum}/n$
 - $T_A(n) = [2(T(1) + T(2) + \dots + T(n - 1)) + cn \cdot n]/n$
 - $T_A(n) = [2(T(1) + T(2) + \dots + T(n - 1)) + cn^2]/n$
- Multiplying both sides by n , we get
 - $nT_A(n) = 2(T(1) + T(2) + \dots + T(n - 1)) + cn^2$

AVERAGE-CASE ANALYSIS OF QUICKSORT (3)

- $nT_A(n) = 2(T(1) + T(2) + \dots + T(n - 1)) + cn^2$
- Since we are considering average time, we can assume that each $T(i)$ on the right (which is a recursive call on an average part) to be an average time $T_A(i)$
 - $nT_A(n) = 2(T_A(1) + T_A(2) + \dots + T_A(n - 1)) + cn^2$
- Applying the formula above at $n - 1$, we get
 - $(n - 1)T_A(n - 1) = 2(T_A(1) + T_A(2) + \dots + T_A(n - 2)) + c(n - 1)^2$
- Subtracting the last two equations, we obtain:
 - $nT_A(n) - (n - 1)T_A(n - 1) = 2T_A(n - 1) + cn^2 - c(n - 1)^2$
- Performing some arithmetic, we get:
 - $nT_A(n) = (n - 1)T_A(n - 1) + 2T_A(n - 1) + 2cn - c$
 - $nT_A(n) = (n + 1)T_A(n - 1) + 2cn - c$
 - $nT_A(n) \leq (n + 1)T_A(n - 1) + 2cn$ (because we got rid of $-c$)

AVERAGE-CASE ANALYSIS OF QUICKSORT (4)

- $nT_A(n) \leq (n + 1)T_A(n - 1) + 2cn$
- Divide both sides by $n(n + 1)$, we get:
 - $\frac{nT_A(n)}{n(n+1)} \leq \frac{(n+1)T_A(n-1)}{n(n+1)} + \frac{2cn}{n(n+1)}$
 - $\frac{T_A(n)}{n+1} \leq \frac{T_A(n-1)}{n} + \frac{2c}{n+1}$
- Calling $f(n) = \frac{T_A(n)}{n+1}$, and thus $f(n - 1) = \frac{T_A(n-1)}{n}$, the above equation becomes:
 - $f(n) \leq f(n - 1) + \frac{2c}{n+1}$

AVERAGE-CASE ANALYSIS OF QUICKSORT (5)

- $f(n) \leq f(n-1) + \frac{2c}{n+1}$, where $f(n) = \frac{T_A(n)}{n+1}$ ($f(0) = \frac{T_A(0)}{0+1} = 0$)

$$\begin{aligned}
 f(n) &\leq \cancel{f(n-1)} + \frac{2c}{n+1} \\
 \cancel{f(n-1)} &\leq \cancel{f(n-2)} + \frac{2c}{n} \\
 \cancel{f(n-2)} &\leq \cancel{f(n-3)} + \frac{2c}{n-1} \\
 &\dots \\
 \cancel{f(1)} &\leq f(0) + \frac{2c}{2}
 \end{aligned}$$

The lines in the left box are all derived by applying the top recurrence relations at different values: $f(m) \leq f(m-1) + \frac{2c}{m+1}$ for $m = n, n-1, n-2, \dots, 1$.

- Sum of left terms \leq sum of right terms
- Cancel terms that occur on both sides of " \leq "
- What remains on the left is: $f(n)$
- What remains on the right: $f(0) + 2c\left(\frac{1}{2} + \frac{1}{3} + \dots + \frac{1}{n} + \frac{1}{n+1}\right)$
- Therefore: $f(n) \leq 2c\left(\frac{1}{2} + \frac{1}{3} + \dots + \frac{1}{n} + \frac{1}{n+1}\right)$ note: $f(0)=0$

AVERAGE-CASE ANALYSIS OF QUICKSORT (6)

- $f(n) \leq 2c\left(\frac{1}{2} + \frac{1}{3} + \dots + \frac{1}{n} + \frac{1}{n+1}\right)$, where $f(n) = \frac{T_A(n)}{n+1}$
- From Calculus, $\frac{1}{2} + \frac{1}{3} + \dots + \frac{1}{n} + \frac{1}{n+1} \leq \text{Ln}(n+1) = O(\log n)$
- Therefore, $f(n) \leq 2c \text{Ln}(n+1)$
- Since, $f(n) = \frac{T_A(n)}{n+1}$ and hence $T_A(n) = (n+1)f(n)$, we get
 - $T_A(n) \leq (n+1)f(n) \leq 2c(n+1)\text{Ln}(n+1) = O(n \log n)$
- Conclusion: **$T_A(n) = O(n \log n)$**
- Because the constant factor in the above big-O is $<$ the constant factors of the Big-O of other sorting algorithms, Quicksort is faster on average than other sorting algorithms

THE PARTITION ALGORITHM

- Quicksort did some fancy partitioning
- Now we give an $O(n)$ time *in situ* partition algorithm

THE PARTITION ALGORITHM (2)

```
Function Partition(in/out A[p:q])  
begin  
  int i,j;  
  real a=A[p];           // a is the partitioning element  
  i=p;j=q;  
  while (i < j) do  
    while (A[i] <= a && i<q) do i++; endwhile  
    while (A[j] > a && j>p) do j--; endwhile  
    if i < j then  
      swap (A[i],A[j]); i++; j--;  
    endif  
  endwhile  
  swap(A[p],A[j]);  
  return (j);  
end
```

ILLUSTRATION OF PARTITION

Partitioning Element	Operation	Array										
A[1]=5	Partition(A[1:10])	5	8	1	9	3	14	7	10	18	4	
		5	8	1	9	3	14	7	10	18	4	
		i										j

ILLUSTRATION OF PARTITION

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			↑ i								↑ j

ILLUSTRATION OF PARTITION

Partitioning Element	Operation	Array									
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	8 > 5, 4 < 5 Swap(A[2], A[10])	5	8	1	9	3	14	7	10	18	4
				↑ i							
		5	4	1	9	3	14	7	10	18	8
				↑ i						↑ j	

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Partitioning Element	Operation	Array									
A[1]=5	Partition(A[1:10])	5	8	1	9	3	14	7	10	18	4
	8 > 5, 4 < 5 Swap(A[2], A[10])	5	8	1	9	3	14	7	10	18	4
				↑ i							
		5	4	1	9	3	14	7	10	18	8
					↑ i			↑ j			

ILLUSTRATION OF PARTITION

Partitioning Element	Operation	Array									
A[1]=5	Partition(A[1:10])	5	8	1	9	3	14	7	10	18	4
	8 > 5, 4 < 5 Swap(A[2], A[10])	5	8	1	9	3	14	7	10	18	4
				↑ i							
		5	4	1	9	3	14	7	10	18	8
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				↑ i							
		5	4	1	9	3	14	7	10	18	8
					↑ i	↑ j					

ILLUSTRATION OF PARTITION

Partitioning Element	Operation	Array									
A[1]=5	Partition(A[1:10])	5	8	1	9	3	14	7	10	18	4
	8 > 5, 4 < 5 Swap(A[2], A[10])	5	8	1	9	3	14	7	10	18	4
				↑ i							
	9 > 5, 3 < 5 Swap(A[4], A[5])	5	4	1	9	3	14	7	10	18	8
					↑ i	↑ j					
			5	4	1	3	9	14	7	10	18
					↑ j	↑ i					

ILLUSTRATION OF PARTITION

Partitioning Element	Operation	Array										
A[1]=5	Partition(A[1:10])	5	8	1	9	3	14	7	10	18	4	
	8 > 5, 4 < 5 Swap(A[2], A[10])	5	8	1	9	3	14	7	10	18	4	
			↑ i								↑ j	
	9 > 5, 3 < 5 Swap(A[4], A[5])	5	4	1	9	3	14	7	10	18	8	
				↑ i	↑ j							
	i > j Swap(A[1], A[4])	5	4	1	3	9	14	7	10	18	8	
				↑ j	↑ i							

ILLUSTRATION OF PARTITION

Partitioning Element	Operation	Array									
A[1]=5	Partition(A[1:10])	5	8	1	9	3	14	7	10	18	4
	8 > 5, 4 < 5 Swap(A[2], A[10])	5	8	1	9	3	14	7	10	18	4
			↑ i								↑ j
	9 > 5, 3 < 5 Swap(A[4], A[5])	5	4	1	9	3	14	7	10	18	8
				↑ i	↑ j						
	i > j Swap(A[1], A[4])	5	4	1	3	9	14	7	10	18	8
				↑ j	↑ i						
Now A is partitioned		3	4	1	5	9	14	7	10	18	8

TIME COMPLEXITY OF PARTITION

- At every step, either i moves one step right or j moves one step left
- After i and j meet and cross by at most one step, only constant-time work is done and the algorithm terminates
- So the time is proportional to the “total distance” traveled by i and j combined
 - That traveled distance is the length of the array (no matter where i and j meet)
- Therefore, the time of partition is $O(n)$

NEXT LECTURE

- We finish Divide and Conquer
- We apply it to the Order Statistics problem:
 - Finding the k^{th} smallest element of an arbitrary (unsorted) array
- We will see a simple way of applying D&C to that problem, yielding a slow algorithm
- Then we apply D&C to that problem in a more sophisticated way, yielding a much faster algorithm