

# Introduction to Randomized Algorithms: QuickSort

Lecture 2

August 27, 2020

# Outline

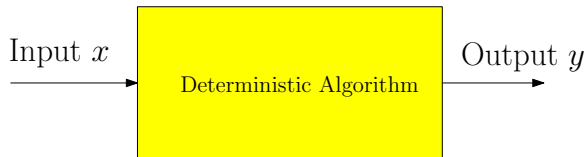
## Today

- Randomized Algorithms – Two types
  - Las Vegas
  - Monte Carlo
- Randomized Quick Sort

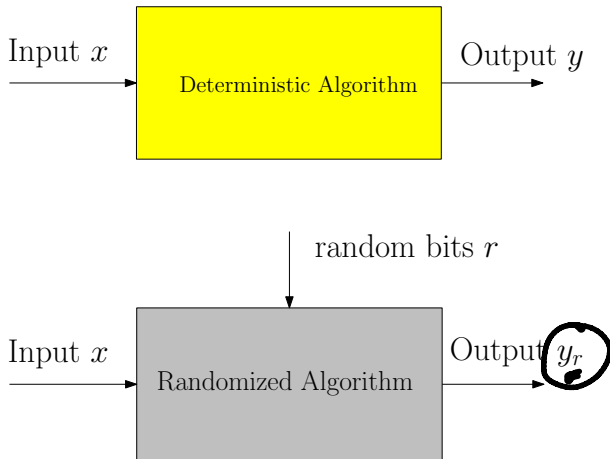
# Part I

## Introduction to Randomized Algorithms

# Randomized Algorithms



# Randomized Algorithms



# Example: Randomized QuickSort

## QuickSort ?

- 1 Pick a pivot element from array
- 2 Split array into 3 subarrays: those smaller than pivot, those larger than pivot, and the pivot itself.
- 3 Recursively sort the subarrays, and concatenate them.

## Randomized QuickSort

- 1 Pick a pivot element **uniformly at random** from the array
- 2 Split array into 3 subarrays: those smaller than pivot, those larger than pivot, and the pivot itself.
- 3 Recursively sort the subarrays, and concatenate them.



# Example: Randomized Quicksort

Recall: **QuickSort** can take  $\Omega(n^2)$  time to sort array of size  $n$ .

## Theorem

Randomized **QuickSort** sorts a given array of length  $n$  in  $O(n \log n)$  expected time.

with high probability.



# Example: Randomized Quicksort

Recall: **QuickSort** can take  $\Omega(n^2)$  time to sort array of size  $n$ .

## Theorem

*Randomized **QuickSort** sorts a given array of length  $n$  in  $O(n \log n)$  expected time.*

**Note:** On every input randomized **QuickSort** takes  $O(n \log n)$  time in expectation. On every input it may take  $\Omega(n^2)$  time with some small probability.

# Example: Verifying Matrix Multiplication

## Problem

Given three  $n \times n$  matrices  $A, B, C$  is  $AB = C$ ?

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Given three  $n \times n$  matrices  $A, B, C$  is  $AB = C$ ?

Deterministic algorithm:

- 1 Multiply  $A$  and  $B$  and check if equal to  $C$ .
- 2 Running time?  $O(n^3)$  by straight forward approach.  $O(n^{2.37})$  with fast matrix multiplication (complicated and impractical).

$$A \cdot B = C$$

$n^3$   
 $AB=C?$



# Example: Verifying Matrix Multiplication

## Problem

Given three  $n \times n$  matrices  $A, B, C$  is  $AB = C$ ?

Randomized algorithm:

- 1 Pick a random  $n \times 1$  vector  $r$ .
- 2 Return the answer of the equality  $ABr = Cr$ .
- 3 Running time?  $O(n^2)$ !

# Example: Verifying Matrix Multiplication

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- 1 Pick a random  $n \times 1$  vector  $r$ .
- 2 Return the answer of the equality  $ABr = Cr$ .
- 3 Running time?  $O(n^2)$ !

## Theorem

*If  $AB = C$  then the algorithm will always say YES. If  $AB \neq C$  then the algorithm will say YES with probability at most  $1/2$ . Can repeat the algorithm **100** times independently to reduce the probability of a false positive to  $1/2^{100}$ .*

# Why randomized algorithms?

- 1 Many many applications in algorithms, data structures and computer science!
- 2 In some cases only known algorithms are randomized or randomness is provably necessary.
- 3 Often randomized algorithms are (much) simpler and/or more efficient.
- 4 Several deep connections to mathematics, physics etc.
- 5 . . .
- 6 Lots of fun!

# Average case analysis vs Randomized algorithms

## Average case analysis:

- 1 Fix a deterministic algorithm.
- 2 Assume inputs comes from a probability distribution.
- 3 Analyze the algorithm's *average* performance over the distribution over inputs.

## Randomized algorithms:

- 1 Algorithm uses random bits in addition to input.
- 2 Analyze algorithms *average* performance over the given input where the average is over the random bits that the algorithm uses.
- 3 On each input behaviour of algorithm is random. Analyze worst-case over all inputs of the (average) performance.



# Types of Randomized Algorithms

Typically one encounters the following types:

- 1 **Las Vegas randomized algorithms:** for a given input  $x$  output of *algorithm is always correct* but the *running time is a random variable*. In this case we are interested in analyzing the *expected* running time.

# Types of Randomized Algorithms

Typically one encounters the following types:

- 1 **Las Vegas randomized algorithms:** for a given input  $x$  output of *algorithm is always correct* but the *running time is a random variable*. In this case we are interested in analyzing the *expected* running time.
- 2 **Monte Carlo randomized algorithms:** for a given input  $x$  the *running time is deterministic* but the *output is random*; correct with some probability. In this case we are interested in analyzing the *probability* of the correct output (and also the running time).
- 3 Algorithms whose running time and output may both be random.

# Analyzing Las Vegas Algorithms

Deterministic algorithm  $Q$  for a problem  $\Pi$ :

- 1 Let  $Q(x)$  be the time for  $Q$  to run on input  $x$  of length  $|x|$ .
- 2 Worst-case analysis: run time on worst input for a given size  $n$ .

$$\underline{\underline{T_{wc}(n)}} = \max_{x:|x|=n} \underline{\underline{Q(x)}}.$$

$$\underline{\underline{O(n \log n)}}$$

# Analyzing Las Vegas Algorithms

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$$T_{wc}(n) = \max_{x:|x|=n} Q(x).$$

*Randomized* algorithm  $R$  for a problem  $\Pi$ :

- 1 Let  $\underline{R(x)}$  be the time for  $Q$  to run on input  $x$  of length  $|x|$ .
- 2  $R(x)$  is a random variable: depends on random bits used by  $R$ .
- 3  $E[R(x)]$  is the expected running time for  $R$  on  $x$
- 4 Worst-case analysis: expected time on worst input of size  $n$

$$\underline{T_{rand-wc}(n)} = \max_{x:|x|=n} \underline{E[R(x)]}.$$

# Analyzing Monte Carlo Algorithms

Randomized algorithm  $M$  for a problem  $\Pi$ :

- 1 Let  $M(x)$  be the time for  $M$  to run on input  $x$  of length  $|x|$ .  
For Monte Carlo, assumption is that run time is deterministic.
- 2 Let  $\Pr[x]$  be the probability that  $M$  is correct on  $x$ .
- 3  $\Pr[x]$  is a random variable: depends on random bits used by  $M$ .
- 4 Worst-case analysis: success probability on worst input

$$P_{rand-wc}(n) = \min_{x:|x|=n} \Pr[x].$$

## Part II

# Randomized Quick Sort



# Analysis

What events to count?

- Number of Comparisons.



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What is the probability space?

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**Too Big!!**

**What random variables to define?  
What are the events of the algorithm?**

# Analysis via Recurrence

- 1 Given array  $A$  of size  $n$ , let  $Q(A)$  be number of comparisons of randomized **QuickSort** on  $A$ .
- 2 Note that  $Q(A)$  is a random variable.
- 3 Let  $A_{\text{left}}^i$  and  $A_{\text{right}}^i$  be the left and right arrays obtained if rank  $i$  element chosen as pivot.

Let  $X_i$  be indicator random variable, which is set to  $1$  if pivot is of rank  $i$  in  $A$ , else zero.

$$Q(A) = n + \sum_{i=1}^n X_i \cdot (Q(A_{\text{left}}^i) + Q(A_{\text{right}}^i)).$$

$$\sum X_i = 1$$

random variables

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$$Q(A) = n + \sum_{i=1}^n X_i \cdot \left( Q(A_{\text{left}}^i) + Q(A_{\text{right}}^i) \right).$$

Since each element of  $A$  has probability exactly of  $\mathbf{1/n}$  of being chosen:

$$\mathbf{E}[X_i] = \Pr[\text{pivot has rank } i] = \mathbf{1/n}.$$

# Independence of Random Variables

## Lemma

Random variables  $X_i$  is independent of random variables  $Q(A_{left}^i)$  as well as  $Q(A_{right}^i)$ , i.e.

$$\begin{aligned} E[X_i \cdot Q(A_{left}^i)] &= E[X_i] E[Q(A_{left}^i)] \\ E[X_i \cdot Q(A_{right}^i)] &= E[X_i] E[Q(A_{right}^i)] \end{aligned}$$

## Proof.

This is because the algorithm, while recursing on  $Q(A_{left}^i)$  and  $Q(A_{right}^i)$  uses new random coin tosses that are independent of the coin tosses used to decide the first pivot. Only the latter decides value of  $X_i$ . □

# Analysis via Recurrence

Let  $T(n) = \max_{A:|A|=n} \mathbf{E}[Q(A)]$  be the worst-case expected running time of randomized **QuickSort** on arrays of size  $n$ .

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We have, for any  $A$ :

$$Q(A) = n + \sum_{i=1}^n X_i \left( Q(A_{\text{left}}^i) + Q(A_{\text{right}}^i) \right)$$



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By linearity of expectation, and independence random variables:

$$\mathbf{E}[Q(A)] = n + \sum_{i=1}^n \mathbf{E}[X_i] \left( \mathbf{E}[Q(A_{\text{left}}^i)] + \mathbf{E}[Q(A_{\text{right}}^i)] \right).$$

*Handwritten annotations:*  
- Under  $\mathbf{E}[Q(A)]$ : two horizontal lines.  
- Under  $\mathbf{E}[X_i]$ : two horizontal lines, with  $\frac{1}{n}$  written below.  
- An arrow points from  $\mathbf{E}[Q(A_{\text{left}}^i)]$  to a diagram of an array split into two parts:  $|A_{\text{left}}^{i-1}|$  and  $|A_{\text{right}}^{i-1}|$ .  
- Another arrow points from  $\mathbf{E}[Q(A_{\text{right}}^i)]$  to the expression  $n-i$ .

# Analysis via Recurrence

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By linearity of expectation, and independence random variables:

$$\begin{aligned} \mathbf{E}[Q(A)] &= n + \sum_{i=1}^n \mathbf{E}[X_i] \left( \mathbf{E}[Q(A_{\text{left}}^i)] + \mathbf{E}[Q(A_{\text{right}}^i)] \right) . \\ \Rightarrow \mathbf{E}[Q(A)] &\leq n + \sum_{i=1}^n \frac{1}{n} (T(i-1) + T(n-i)) . \end{aligned}$$

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We derived:

$$\mathbf{E}[Q(A)] \leq n + \sum_{i=1}^n \frac{1}{n} (T(i-1) + T(n-i)).$$

Note that above holds for any  $A$  of size  $n$ . Therefore

$$\max_{A:|A|=n} \mathbf{E}[Q(A)] = \underline{T(n)} \leq n + \sum_{i=1}^n \frac{1}{n} (T(i-1) + T(n-i)).$$

# Solving the Recurrence

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

with base case  $T(1) = 0$ .

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## Lemma

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## Lemma

$$T(n) = O(n \log n).$$

## Proof.

(Guess and) Verify by induction. □

## Part III

# Slick analysis of QuickSort



# A Slick Analysis of QuickSort

Let  $Q(A)$  be number of comparisons done on input array  $A$ :

- 1 For  $1 \leq i < j \leq n$  let  $R_{ij}$  be the event that rank  $i$  element is compared with rank  $j$  element.
- 2  $X_{ij}$  is the indicator random variable for  $R_{ij}$ . That is,  $X_{ij} = 1$  if rank  $i$  is compared with rank  $j$  element, otherwise  $0$ .

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$$Q(A) = \sum_{1 \leq i < j \leq n} X_{ij}$$

and hence by linearity of expectation,

$$E[Q(A)] = \sum_{1 \leq i < j \leq n} E[X_{ij}] = \sum_{1 \leq i < j \leq n} \Pr[R_{ij}].$$

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7	5	9	1	3	4	8	6
---	---	---	---	---	---	---	---

With ranks: 6 4 8 1 2 3 7 5

As such, probability of comparing **5** to **8** is  $\Pr[R_{4,7}]$ .

# A Slick Analysis of QuickSort

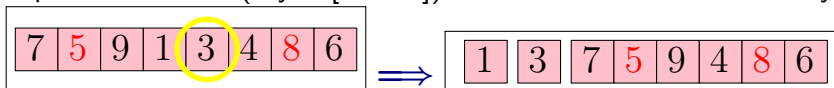
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- ① If pivot too small (say **3** [rank 2]). Partition and call recursively:



Decision if to compare **5** to **8** is moved to subproblem.

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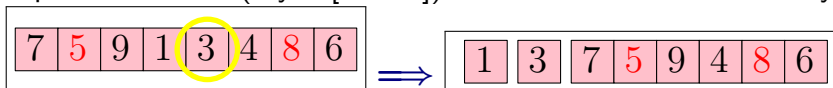
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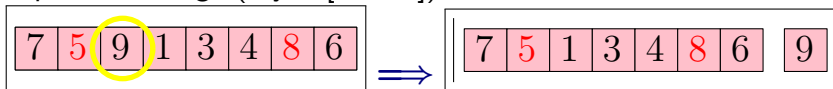
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- ② If pivot too large (say **9** [rank 8]):



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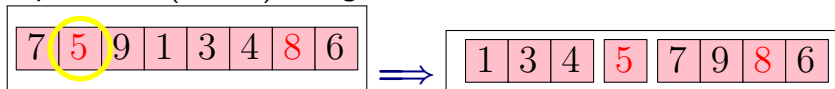
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① If pivot is **5** (rank 4). Bingo!





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7	5	9	1	3	4	8	6
---	---	---	---	---	---	---	---



1	3	4	5	7	9	8	6
---	---	---	---	---	---	---	---

- ② If pivot is **8** (rank 7). Bingo!

7	5	9	1	3	4	8	6
---	---	---	---	---	---	---	---



7	5	1	3	4	6	8	9
---	---	---	---	---	---	---	---

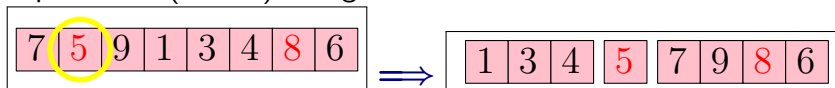
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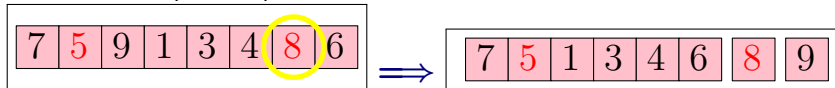
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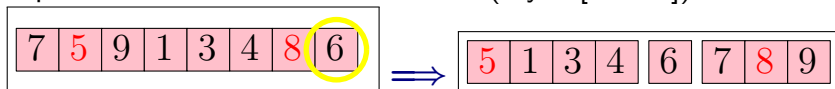
- ① If pivot is **5** (rank 4). Bingo!



- ② If pivot is **8** (rank 7). Bingo!



- ③ If pivot is in between the two numbers (say **6** [rank 5]):



**5** and **8** will never be compared to each other.

# A Slick Analysis of QuickSort

Question: What is  $\Pr[R_{i,j}]$ ?

## Conclusion:

$R_{i,j}$  happens if and only if:

$i$ th or  $j$ th ranked element is the first pivot out of  
 $i$ th to  $j$ th ranked elements.

# Digression

Consider the following experiment:

- Every day John decides whether to wear a tie by tossing a biased coin that comes up heads with probability  $p > 0$  (and tails otherwise). He wears a tie if it comes up heads.
- If the coin is heads he tosses an unbiased coin to decide whether to wear a red tie or a blue tie.

# Digression

Consider the following experiment:

- Every day John decides whether to wear a tie by tossing a biased coin that comes up heads with probability  $p > 0$  (and tails otherwise). He wears a tie if it comes up heads.
- If the coin is heads he tosses an unbiased coin to decide whether to wear a red tie or a blue tie.

**Question:** What is the probability that John wore a red tie on the first day he wore a tie?

# A Slick Analysis of QuickSort

Question: What is  $\Pr[R_{ij}]$ ?

# A Slick Analysis of QuickSort

Question: What is  $\Pr[R_{ij}]$ ?

Lemma

$$\Pr[R_{ij}] \stackrel{\circlearrowleft}{=} \frac{2}{j-i+1}$$



1, 2, 3, 4, 5, 6, ..., 100



$$j-i=1$$

$$= \sum_{1 \leq i < j \leq n} \Pr[R_{ij}]$$

$$\frac{2}{n}$$

$$\leq n \cdot \frac{2}{n} = \underline{\underline{2}}$$

# A Slick Analysis of QuickSort

**Question:** What is  $\Pr[R_{ij}]$ ?

## Lemma

$$\Pr[R_{ij}] = \frac{2}{j-i+1}.$$

## Proof.

Let  $a_1, \dots, a_i, \dots, a_j, \dots, a_n$  be elements of  $A$  in sorted order.

Let  $S = \{a_i, a_{i+1}, \dots, a_j\}$

**Observation:** If pivot is chosen outside  $S$  then all of  $S$  either in left array or right array.

**Observation:**  $a_i$  and  $a_j$  separated when a pivot is chosen from  $S$  for the first time. Once separated no comparison.

**Observation:**  $a_i$  is compared with  $a_j$  if and only if either  $a_i$  or  $a_j$  is chosen as a pivot from  $S$  at separation...  $\square$



# A Slick Analysis of QuickSort

Continued...

## Lemma

$$\Pr[R_{ij}] = \frac{2}{j-i+1}.$$

## Proof.

Let  $a_1, \dots, a_i, \dots, a_j, \dots, a_n$  be sort of  $A$ . Let

$$S = \{a_i, a_{i+1}, \dots, a_j\}$$

**Observation:**  $a_i$  is compared with  $a_j$  if and only if either  $a_i$  or  $a_j$  is chosen as a pivot from  $S$  at separation.

**Observation:** Given that pivot is chosen from  $S$  the probability that it is  $a_i$  or  $a_j$  is exactly  $2/|S| = 2/(j-i+1)$  since the pivot is chosen uniformly at random from the array.  $\square$

# How much is this?

$H_n = \sum_{i=1}^n \frac{1}{i}$  is the  $n$ 'th harmonic number

- (A)  $H_n = \Theta(1)$ .
- (B)  $H_n = \Theta(\log \log n)$ .
- (C)  $H_n = \Theta(\sqrt{\log n})$ .
- (D)  $H_n = \Theta(\log n)$ .
- (E)  $H_n = \Theta(\log^2 n)$ .

$$\begin{aligned} & \underbrace{a_1, a_2, \dots, a_n}_{\uparrow} \\ & \sum_{i=2}^{n-1} R_{1,i} \\ & = \sum_{i=2}^n \frac{2}{i} \\ & \leq 2 \sum_{i=1}^n \frac{1}{i} \\ & \quad \underline{\underline{2H_n \approx \ln n}} \\ & \underline{\underline{2nH_n \leq 2n \ln n}} \end{aligned}$$

# And how much is this?

$$T_n = \sum_{i=1}^{n-1} \sum_{j=1}^{n-i} \frac{1}{j}$$

is equal to

- (A)  $T_n = \Theta(n)$ .
- (B)  $T_n = \Theta(n \log n)$ .
- (C)  $T_n = \Theta(n \log^2 n)$ .
- (D)  $T_n = \Theta(n^2)$ .
- (E)  $T_n = \Theta(n^3)$ .

# A Slick Analysis of QuickSort

Continued...

$$E[Q(A)] = \sum_{1 \leq i < j \leq n} E[X_{ij}] = \sum_{1 \leq i < j \leq n} \Pr[R_{ij}].$$

**Lemma**

$$\Pr[R_{ij}] = \frac{2}{j-i+1}.$$

# A Slick Analysis of QuickSort

Continued...

**Lemma**

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# A Slick Analysis of QuickSort

Continued...

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$$E[Q(A)] = \sum_{1 \leq i < j \leq n} \frac{2}{j-i+1}$$

# A Slick Analysis of QuickSort

Continued...

## Lemma

$$\Pr[R_{ij}] = \frac{2}{j-i+1}.$$

$$\begin{aligned} \mathbb{E}[Q(A)] &= \sum_{1 \leq i < j \leq n} \frac{2}{j-i+1} \\ &= \sum_{i=1}^{n-1} \sum_{j=i+1}^n \frac{2}{j-i+1} \end{aligned}$$

# A Slick Analysis of QuickSort

Continued...

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# A Slick Analysis of QuickSort

Continued...

## Lemma

$$\Pr[R_{ij}] = \frac{2}{j-i+1}.$$

$$E[Q(A)] = 2 \sum_{i=1}^{n-1} \sum_{i < j}^n \frac{1}{j-i+1}$$

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$$\mathbb{E}[Q(A)] = 2 \sum_{i=1}^{n-1} \sum_{i < j}^n \frac{1}{j-i+1} \leq 2 \sum_{i=1}^{n-1} \sum_{\Delta=2}^{n-i+1} \frac{1}{\Delta}$$

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## Lemma

$$\Pr[R_{ij}] = \frac{2}{j-i+1}.$$

$$\begin{aligned} \mathbb{E}[Q(A)] &= 2 \sum_{i=1}^{n-1} \sum_{i < j}^n \frac{1}{j-i+1} \leq 2 \sum_{i=1}^{n-1} \sum_{\Delta=2}^{n-i+1} \frac{1}{\Delta} \\ &\leq 2 \sum_{i=1}^{n-1} (H_{n-i+1} - 1) \leq 2 \sum_{1 \leq i < n} H_n \end{aligned}$$

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## Lemma

$$\Pr[R_{ij}] = \frac{2}{j-i+1}.$$

$$\begin{aligned} \mathbb{E}[Q(\mathbf{A})] &= 2 \sum_{i=1}^{n-1} \sum_{i < j}^n \frac{1}{j-i+1} \leq 2 \sum_{i=1}^{n-1} \sum_{\Delta=2}^{n-i+1} \frac{1}{\Delta} \\ &\leq 2 \sum_{i=1}^{n-1} (H_{n-i+1} - 1) \leq 2 \sum_{1 \leq i < n} H_n \\ &\leq 2nH_n = O(n \log n) \end{aligned}$$

# Where do I get random bits?

**Question:** Are true random bits available in practice?

- 1 Buy them!
- 2 CPUs use physical phenomena to generate random bits.
- 3 Can use pseudo-random bits or semi-random bits from nature. Several fundamental unresolved questions in complexity theory on this topic. Beyond the scope of this course.
- 4 In practice pseudo-random generators work quite well in many applications.
- 5 The model is interesting to think in the abstract and is very useful even as a theoretical construct. One can *derandomize* randomized algorithms to obtain deterministic algorithms.

