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Algorithm Theory – WS 2024/25

Chapter 7 : Randomization II Randomized Quicksort / Randomized Min Cut Algorithm

Fabian Kuhn Dept. of Computer Science Algorithms and Complexity

Randomized Quicksort



Randomized Quicksort:

pick pivot uniformly at random

Randomized Quicksort: pick uniform random element as pivot

Running Time of sorting *n* elements:

- Let us just count the number of comparisons
- In the partitioning step, all n-1 non-pivot elements have to be compared to the pivot
- Number of comparisons:

depends on choice of pivot

n-1 +#comparisons in recursive calls

• If rank of pivot is r: recursive calls with r - 1 and n - r elements



Define: $\underline{T(n)}$: expected number of comparisons when sorting *n* elements

$$\mathbb{E}[C] = T(n)$$
$$\mathbb{E}[C_{\ell}|R = r] = T(r-1)$$
$$\mathbb{E}[C_{r}|R = r] = T(n-r)$$

Recursion:

$$\underline{T(n)} = \sum_{r=1}^{n} \frac{1}{n} \cdot \left(n - 1 + T(r-1) + T(n-r)\right)$$
$$T(0) = T(1) = 0$$

Theorem: The expected number of comparisons when sorting *n* elements using randomized quicksort is $T(n) \leq (2n \ln n)$. **Proof:** (by induction on n) n $T(n) = \sum_{\substack{r=1 \\ n \ \cdots \ n}} \frac{1}{n} \cdot \left(\frac{n-1+T(r-1)+T(n-r)}{1+T(n-r)} \right), \qquad T(0) = T(1) = 0$ $= n-1 + \frac{1}{n} \cdot \sum_{i=0}^{n-1} \left(T(i) + T(n-i-1) \right)$ $x \cdot \ln x$ $= n - 1 + \frac{2}{n} \cdot \sum_{i=1}^{n-1} T(i)$ induction ထါ 30 hypothesis $\leq n-1+\frac{4}{n}\cdot\sum_{i=1}^{n-1}\frac{i\cdot\ln i}{i}$ ∞ $< n - 1 + \frac{4}{n} \cdot \int_{1}^{n} x \ln x \, dx$. . . 10 15

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Theorem: The expected number of comparisons when sorting *n* elements using randomized quicksort is $T(n) \le 2n \ln n$.

Proof:

$$T(n) \le n - 1 + \frac{4}{n} \cdot \int_{1}^{n} x \ln x \, dx$$

$$T(n) \le n - 1 + \frac{4}{n} \cdot \left[\frac{n^{2} \ln n}{2} - \frac{n^{2}}{4} + \frac{1}{4}\right]$$

$$= x - 1 + 2n \ln n - x + \frac{x}{2} \frac{1}{n}$$

$$= 2n \ln n + \left(\frac{1}{n} - 1\right)$$

$$< 2n \ln n$$

Alternative Randomized Quicksort Analysis

Array to sort: [7,3,1,10,14,8,12,9,4,6,5,15,2,13,11]

Viewing quicksort run as a tree: 3,1,10,14,8,12,9,4,6,5,15,2,13,11] [10 , 14 , 8 (12), 9 , 15 , 13 , 11] [3,1,4,6,5 [10, 8, 9, 11] [3,1,4(2) [6] [14 , 15 , 13] [13, 14] [8]9] [11] 4 3 9 [14]

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Comparisons

- Comparisons are only between pivot and non-pivot elements
- Every element can only be the pivot once:
 - \rightarrow every 2 elements can only be compared once!
- W.I.o.g., assume that the elements to sort are 1,2, ..., n
- Elements *i* and *j* are compared if and only if either *i* or *j* is a pivot before any element *h*: *i* < *h* < *j* is chosen as pivot
 2 3
 - i.e., iff *i* is an ancestor of *j* or *j* is an ancestor of *i*



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X

Counting Comparisons

Random variable for every pair of elements (i, j), i < j:

 $\mathbf{X}_{ij} = \begin{cases} 1, & \text{if there is a comparison between } i \text{ and } j \\ 0, & \text{otherwise} \end{cases}$ $\mathbb{P}(\underline{X}_{ij} = 1) = \frac{2}{j-i+1}, \qquad \mathbb{E}[X_{ij}] = \frac{2}{j-i+1}$

Number of comparisons: X

$$X = \sum_{i < j} X_{ij}$$

• What is $\mathbb{E}[X]$?

Theorem: The expected number of comparisons when sorting *n* elements using randomized quicksort is $T(n) \le 2n \ln n$.

Proof:

Linearity of expectation:

For all random variables X_1, \ldots, X_n and all $a_1, \ldots, a_n \in \mathbb{R}$,

$$\mathbb{E}\left[\sum_{i}^{n} a_{i} X_{i}\right] = \sum_{i}^{n} a_{i} \mathbb{E}[X_{i}].$$

$$\underline{X} = \sum_{i < j} X_{ij} \implies \underline{\mathbb{E}[X]} = \mathbb{E}\left[\sum_{i < j} X_{ij}\right] = \sum_{i < j} \mathbb{E}[X_{ij}]$$
$$= \sum_{i < j} \frac{2}{j - i + 1} = \sum_{i = 1}^{n-1} \sum_{j = i+1}^{n} \frac{2}{j - i + 1}$$

Theorem: The expected number of comparisons when sorting n elements using randomized quicksort is $T(n) \le 2n \ln n$.

Proof:



Harmonic Series:

$$\underline{\underline{H}(k)} \coloneqq \sum_{i=1}^{k} \frac{1}{i}$$
$$\underline{H(k)} \le \underline{1 + \ln k}$$

Quicksort: High Probability Bound

- We have seen that the number of comparisons of randomized quicksort is $O(n \log n)$ in expectation.
- Can we also show that the number of comparisons is $O(n \log n)$ with high probability?
- Recall:

On each recursion level, each pivot is compared once with each other element that is still in the same "part"

Counting Number of Comparisons

- We looked at 2 ways to count the number of comparisons
 - recursive characterization of the expected number
 - number of different pairs of values that are compared

Let's consider yet another way:

- Each comparison is between a pivot and a non-pivot
- How many times is a specific array element *x* compared as a <u>non-pivot</u>?

Element x is compared as a non-pivot to a pivot once in every recursion level until one of the following two conditions apply:

x is chosen as a pivot or x is alone

Successful Recursion Level



- Consider a specific recursion level ℓ
 - Where the first recursion level is level 1

Define K_{ℓ} as follows: focus on elem. x

- If x is contained in a subarray on recursion level ℓ , then K_{ℓ} is defined as the length of the subarray containing x on level ℓ .
 - We therefore have $K_1 = n$ and $K_{\ell+1} \leq K_{\ell}$ for all $\ell \geq 1$
- If x has been chosen as a pivot before level ℓ , we set $K_{\ell} \coloneqq 1$

#comparisons of x as non-pivot \leq #levels ℓ for which $K_{\ell} > 1$

Definition: We say that recursion level ℓ is successful for element x iff the following is true:

$$K_{\ell+1} = 1$$
 or $K_{\ell+1} \le \frac{2}{3} \cdot K_{\ell}$

Successful Recursion Level

Lemma: For every recursion level ℓ and every array element x, it holds that level ℓ is successful for x with probability at least 1/3, independently of what happens in other recursion levels.

Proof:

• Assume that $K_{\ell} > 1$, otherwise level ℓ is trivially successful

$$\geq \lfloor K_{\ell} /_{3} \rfloor = \lfloor K_{\ell} /_{3} \rfloor \geq \lfloor K_{\ell} /_{3} \rfloor$$

• If pivot is in the middle part, both remaining parts have size

$$\leq \underline{K_{\ell}} - \underline{\left\lfloor \frac{K_{\ell}}{3} \right\rfloor} - \underline{1} \leq \frac{2}{3} \cdot K_{\ell}.$$

- In this case, level ℓ is successful
- The probability that the pivot in in the middle part is $\geq 1/_3$.

Number of Successful Recursion Levels

Lemma: If among the first ℓ recursion levels, at least $\log_{3/2}(n)$ are successful for element x, we have $K_{\ell+1} = 1$.

Proof:

• We know that

$$K_1 = n, \qquad \forall i \ge 1 : K_{i+1} \le K_i$$

- If level *i* is successful, then $K_{i+1} \leq \frac{2}{3} \cdot K_i$ or $K_{i+1} = 1$
- If s among the first ℓ levels are successful, then

$$\underbrace{K_{\ell+1}}_{\leq} \max\left\{\underline{1}, n \cdot \left(\frac{2}{3}\right)^{s}\right\}$$

• If $s \ge \log_{3/2}(n)$, then $K_{\ell+1} \le 1$.

Chernoff Bounds

- Let $X_1, ..., X_n$ be independent 0-1 random variables and define $p_i \coloneqq \mathbb{P}(X_i = 1)$.
- Consider the random variable $X = \sum_{i=1}^{n} X_i$
- We have $\mu \coloneqq \mathbb{E}[X] = \sum_{i=1}^{n} \mathbb{E}[X_i] = \sum_{i=1}^{n} p_i$

$$\forall \delta > 0$$
: $\mathbb{P}(X < (1 - \delta)\mu) < e^{-\delta^2 \mu/2}$

$$\forall \delta > 0: \ \mathbb{P}(X > (1+\delta)\mu) < \left(\frac{e^{\delta}}{(1+\delta)^{1+\delta}}\right)^{\mu} < \underbrace{e^{-\delta^{2}\mu/3}}_{\text{holds for } \delta \leq 1}$$

C

If $p_i = p$ for all *i*: $X \sim Bin(n, p)$

Chernoff Bounds, Example

$$p_i = p = \frac{1}{2}, \qquad \mu \coloneqq \mathbb{E}[X] = np = \frac{n}{2}$$

Assume that a fair coin is flipped n times. What is the probability to have

1. less than n/3 heads?

$$\mathbb{P}\left(X < \frac{n}{3}\right) = \mathbb{P}\left(X < \left(1 - \frac{1}{3}\right) \cdot \frac{n}{2}\right) < e^{-\frac{1}{2} \cdot \frac{1}{3^2} \cdot \frac{n}{2}} = e^{-n/36} \qquad \mathbb{P}(X < (1 - \delta)\mu) < e^{-\frac{\delta^2}{2}\mu}$$

2. more than 0.51n tails?

$$\mathbb{P}\left(X < (1 + 0.02) \cdot \frac{n}{2}\right) < e^{-\frac{0.02^2}{3} \cdot \frac{n}{2}} \approx e^{-0.0000667n} \qquad \mathbb{P}(X > (1 + \delta)\mu) < e^{-\frac{\delta^2}{3}\mu}$$

3. less than
$$\frac{n}{2} - \sqrt{c} \cdot n \ln n$$
 tails?

$$\mathbb{P}\left(X < \left(1 - \frac{2\sqrt{c} \cdot n \ln n}{n}\right) \cdot \frac{n}{2}\right) < e^{\frac{Ac \cdot n \ln n}{2\pi^2} + 2} = e^{-c \cdot \ln n} = \frac{1}{n^c}$$
With high probability, #heads/tails = $\frac{n}{2} \pm O\left(\sqrt{n \log n}\right)$

Number of Comparisons for x



Lemma: For every array element x, with high probability, as a non-pivot, x is compared to a pivot at most $O(\log n)$ times. 1- q. be the probability

Proof:

• Consider some level $i \ge 1$, and let if level i not successful

 $q_i \coloneqq \mathbb{P}(\text{level } i \text{ successful for } x \mid \text{history up to level } i)$

• Previous lemma
$$\Rightarrow q_i \ge 1/_3$$

Define random variable

leveli not succ -> X:=0

$$\chi_{i=1} \longrightarrow \text{level i succ.}$$

$$X_i \coloneqq \begin{cases} 0 & \text{if level } i \text{ not successful for } x \\ 1 & \text{with probability } \frac{1/3}{q_i} \text{ if level } i \text{ successful for } x \\ 0 & \text{with probability } \frac{1/3}{q_i} \end{cases}$$

• Then, $\mathbb{P}(X_i = 1) = \frac{1}{3}$ and X_i are independent for different *i*

$$\mathbb{P}(X_{1}=0) = \mathbb{P}(1 \text{ succ}) \cdot \frac{1/3}{1} = q_{1} \cdot \frac{1/3}{1} = (1/3)$$

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Number of Comparisons for *x*

Lemma: For every array element x, with high probability, as a non-pivot, x is compared to a pivot at most $O(\log n)$ times.

Proof:

- X_i independent, $\mathbb{P}(X_i = 1) = \frac{1}{3}, X_i = 1 \Longrightarrow \underbrace{\text{level } i \text{ successful}}_{t}$
- Consider the first <u>t</u> levels and define $X \coloneqq \sum X_i$
 - $\mathbb{E}[X] = \frac{1}{3} \cdot t$
 - $X \leq$ successful levels for x among first t levels
- Hence, if $X \ge \log_{3/2}(n)$, then $K_{t+1} = 1$
- We thus need that for any const. c > 0 and some $t = O(\log n)$,

$$\mathbb{P}\left(X < \log_{3/2}(n)\right) \leq \frac{1}{n^c}$$

Number of Comparisons for *x*

Lemma: For every array element x, with high probability, as a non-pivot, x is compared to a pivot at most $O(\log n)$ times.

Proof:

• $\mu := \mathbb{E}[X] = \frac{1}{3} \cdot t$, for c > 0 and some $t = O(\log n)$, we need $\mathbb{P}\left(X < \log_{3/2}(n)\right) \leq \frac{1}{n^{c}} \qquad e^{-\frac{b}{2}} \leq u^{-c}$ • Chernoff: $\mathbb{P}(X < (1 - \delta)\mu) \leq e^{-\frac{\delta^{2}}{2}\cdot\mu} \Rightarrow \mathbb{P}(X < \frac{\mu}{2}) \leq e^{-\frac{\mu}{8}}$ • We need $\mu \geq 2 \cdot \log_{3/2}(n)$ such that $\frac{\mu}{2} \geq \log_{3/2}(n)$ $\frac{\mu}{2} \cdot \frac{b}{3} \cdot \frac{\mu}{2}$ • We need $\mu \geq 8c \cdot \ln n$ such that $e^{-\mu/8} \leq n^{-c}$ • We can therefore choose $t = 3 \cdot \mu = O(\log n)$. $t = c \cdot \log n$

Number of Comparisons

Theorem: With high probability, the total number of comparisons is at most $O(n \log n)$.

Proof:

- For every const. c > 0, there exists const. $\alpha > 0$, s.t. for every element x, the number of comparisons for element x as a non-pivot is $\leq \alpha \ln n$ with probability at least $1 \frac{1}{n^c}$.
- Define event $\mathcal{E}_x \coloneqq \{ \text{#comparisons for } x \text{ as non-pivot} > \alpha \ln n \}$ • $\underline{\mathbb{P}(\mathcal{E}_x) \le n^{-c}}$
- Union bound over all events \mathcal{E}_{χ} :

$$\mathbb{P}\left(\bigcup_{\substack{x=1\\x=1}}^{n} \mathcal{E}_{x}\right) \leq \sum_{\substack{x=1\\x=1}}^{n} \mathbb{P}(\mathcal{E}_{x}) \leq n \cdot \frac{1}{n^{c}} = \frac{1}{n^{c-1}}$$

Relation to Random Binary Search Trees

Consider Recursion Tree: Label each subarray of size > 1 by the pivot and each subarray of size = 1 by the element in it.



- We get a binary search tree (BST) on the *n* elements
 - Corresponds to the BST with a random insertion order
- #comparisons of element x as non-pivot = depth of x in tree
 - Our analysis shows that the height of a random BST is $O(\log n)$, w.h.p.
- #comp. of rand. quicksort = $n \cdot$ average depth in a random BST

Types of Randomized Algorithms

Las Vegas Algorithm:

- always a correct solution
- running time is a random variable
- Example: randomized quicksort, contention resolution

Monte Carlo Algorithm:

- probabilistic correctness guarantee (mostly correct)
- fixed (deterministic) running time
- Example: primality test

Minimum Cut

Reminder: Given a graph G = (V, E), a cut is a partition $(\underline{A, B})$ of V such that $V = A \cup B$, $A \cap B = \emptyset$, $A, B \neq \emptyset$

Size of the cut (A, B): # of edges crossing the cut

• For weighted graphs, total edge weight crossing the cut

Goal: Find a cut of minimal size (i.e., of size $\lambda(G)$)

Maximum-flow based algorithm:

- Fix s, compute min s-t-cut for all $t \neq s$
- $O(m \cdot \lambda(G)) = O(mn)$ per *s*-*t* cut
- Gives an $O(mn\lambda(G)) = O(mn^2)$ -algorithm



Edge Contractions

• In the following, we consider multi-graphs that can have multiple edges (but no self-loops)



Contracting edge $\{u, v\}$:

- Replace nodes u, v by new node w
- For all edges $\{u, x\}$ and $\{v, x\}$, add an edge $\{w, x\}$
- Remove self-loops created at node w



Properties of Edge Contractions

Nodes:

Cuts:

- After contracting $\{u, v\}$, the new node represents u and v
- After a series of contractions, each node represents a subset of the original nodes



- Assume in the contracted graph, w represents nodes $S_w \subset V$
- The edges of a node w in a contracted graph are in a one-to-one correspondence with the edges crossing the cut $(S_w, V \setminus S_w)$

Randomized Contraction Algorithm

Algorithm:

while there are > 2 nodes do

contract a uniformly random edge

return cut induced by the last two remaining nodes

(cut defined by the original node sets represented by the last 2 nodes)

Theorem: The random contraction algorithm returns a minimum cut with probability at least $1/O(n^2)$.

• We will show this next.

Theorem: The random contraction algorithm can be implemented in time $O(n^2)$.

- There are n 2 contractions, each can be done in time O(n).
- We will see this later.

Contractions and Cuts

Lemma: If two original nodes $u, v \in V$ are merged into the same node of the contracted graph, there is a path connecting u and v in the original graph s.t. all edges on the path are contracted.

Proof:

- Any edge $\{x, y\}$ in the contracted graph corresponds to some edge in the original graph between two nodes u' and v' in the sets S_x and S_y represented by x and y.
- Contracting {x, y} merges the node sets S_x and S_y represented by x and y and does not change any of the other node sets.
- The claim then follows by induction on the number of edge contractions.



Contractions and Cuts



Lemma: During the contraction algorithm, the edge connectivity (i.e., the size of the min. cut) cannot get smaller.

Proof:

- All cuts in a (partially) contracted graph correspond to cuts of the same size in the original graph *G* as follows:
 - For a node u of the contracted graph, let Su be the set of original nodes that have been merged into u (the nodes that u represents)
 - Consider a cut (A, B) of the contracted graph
 - (A', B') with

$$A' \coloneqq \bigcup_{u \in A} S_u$$
, $B' \coloneqq \bigcup_{v \in B} S_v$

is a cut of G.

• The edges crossing cut (A, B) are in one-to-one correspondence with the edges crossing cut (A', B').

Contraction and Cuts

Lemma: The contraction algorithm outputs a cut (A, B) of the input graph G if and only if it never contracts an edge crossing (A, B).

Proof:

- 1. If an edge crossing (A, B) is contracted, a pair of nodes $u \in A$, $v \in B$ is merged into the same node and the algorithm outputs a cut different from (A, B).
- 2. If no edge of (A, B) is contracted, no two nodes $u \in A$, $v \in B$ end up in the same contracted node because every path connecting u and v in G contains some edge crossing (A, B)

In the end there are only 2 sets \rightarrow output is (A, B)



Theorem: The probability that the algorithm outputs a specific minimum cut is at least $2/(n(n-1)) = 1/\binom{n}{2}$.

To prove the theorem, we need the following claim:

Claim: If the minimum cut size of a multigraph G (no self-loops) is k, G has at least kn/2 edges.

Proof:

- Min cut has size k ⇒ all nodes have degree ≥ k
 A node v of degree < k gives a cut ({v}, V \ {v}) of size < k
- Number of edges $m = \frac{1}{2} \cdot \sum_{v} \deg(v) \ge \frac{1}{2} \cdot nk$



Theorem: The probability that the algorithm outputs a specific minimum cut is at least 2/n(n-1).

k edges

A

Proof:

- Consider a fixed min cut (A, B), assume (A, B) has size k
- The algorithm outputs (A, B) iff none of the k edges crossing (A, B) gets contracted.
- Before contraction *i*, there are n + 1 i nodes \rightarrow and thus $\geq (n + 1 - i)k/2$ edges
- If no edge crossing (A, B) is contracted before, the probability to contract an edge crossing (A, B) in step *i* is at most

$$\frac{\underline{k}}{(n+1-i)k} = \frac{2}{n+1-i}.$$

Theorem: The probability that the algorithm outputs a specific minimum cut is at least 2/n(n-1). **Proof:**

- If no edge crossing (A, B) is contracted before, the probability to contract an edge crossing (A, B) in step i is at most ²/_{n+1-i}.
- Event \mathcal{E}_i : edge contracted in step *i* is **not** crossing (A, B)
 - Goal: show that $\mathbb{P}(\mathcal{E}_1 \cap \cdots \cap \mathcal{E}_{n-2}) \ge 2/(n(n-1))$

$$\mathbb{P}(\text{alg. returns } (A, B)) = \mathbb{P}(\mathcal{E}_1 \cap \mathcal{E}_2 \cap \dots \cap \mathcal{E}_{n-2}) \\ = \mathbb{P}(\mathcal{E}_1) \cdot \mathbb{P}(\mathcal{E}_2 \mid \mathcal{E}_1) \cdot \mathbb{P}(\mathcal{E}_3 \mid \mathcal{E}_1 \cap \mathcal{E}_2) \cdot \dots \cdot \mathbb{P}(\mathcal{E}_{n-2} \mid \mathcal{E}_1 \cap \mathcal{E}_2 \cap \dots \cap \mathcal{E}_{n-3})$$

$$\mathbb{P}(\mathcal{E}_{i} \mid \mathcal{E}_{1} \cap \cdots \cap \mathcal{E}_{i-1}) \geq 1 - \frac{2}{n+1-i} = \frac{n-i-1}{n-i+1}$$
$$\mathbb{P}(\overline{\mathcal{E}}_{i} \setminus \mathcal{E}_{i} \cap \cdots \cap \mathcal{E}_{i-1}) \leq \frac{2}{n+1-i}$$

Theorem: The probability that the algorithm outputs a minimum cut is at least 2/n(n-1). **Proof:**

• $\mathbb{P}(\mathcal{E}_i \mid \mathcal{E}_1 \cap \dots \cap \mathcal{E}_{i-1}) \ge 1 - \frac{2}{n-i+1} = \frac{n-i-1}{n-i+1}$

• No edge crossing (A, B) contracted: event $\mathcal{E} = \bigcap_{i=1}^{n-2} \mathcal{E}_i$ $\mathbb{P}(\mathcal{E}) = \mathbb{P}(\mathcal{E}_1 \cap \dots \cap \mathcal{E}_{n-2})$ $= \mathbb{P}(\mathcal{E}_1) \cdot \mathbb{P}(\mathcal{E}_2 \mid \mathcal{E}_1) \dots \dots \mathbb{P}(\mathcal{E}_{n-2} \mid \mathcal{E}_1 \cap \dots \cap \mathcal{E}_{n-3})$

Randomized Min Cut Algorithm

Theorem: If the contraction algorithm is repeated $O(n^2 \log n)$ times, one of the $O(n^2 \log n)$ instances returns a min. cut w.h.p.

Proof:

• Probability to not get a minimum cut in $c \cdot \binom{n}{2} \cdot \ln n$ iterations:

$$\left(1 - \frac{1}{\binom{n}{2}}\right)^{c \cdot \binom{n}{2} \cdot \ln n} \le e^{-c \ln n} = \frac{1}{n^c}$$
$$\forall x \in \mathbb{R} : (1 + x) \le e^x$$

Corollary: The contraction algorithm allows to compute a minimum cut in $O(n^4 \log n)$ time w.h.p.

• It remains to show that each instance can be implemented in $O(n^2)$ time.