CSE 102
Homework Assignment 4
Solutions

1. Assume the correctness of the algorithm $\text{Partition}(A, p, r)$ on page 171 of the text. Use induction to prove the correctness of $\text{Quicksort}(A, p, r)$ on page 171.

   Proof:
   We reproduce QuickSort() here for reference.

   $\text{QuickSort}(A, p, r)$
   1. if $p < r$
   2. $\quad q = \text{Partition}(A, p, r)$
   3. $\quad \text{QuickSort}(A, p, q-1)$
   4. $\quad \text{QuickSort}(A, q+1, r)$

   The call to $\text{Partition}(A, p, r)$ is assumed to re-arrange $A[p \cdots r]$ and return an index q in the range $p \le q \le r$ such that $A[p \cdots (q-1)] \le A[q] < A[(q+1) \cdots r]$. We proceed by induction on the length $m = r - p + 1$ of $A[p \cdots r]$.

   I. If $m = 1$, then $r = p$ and the test on line (1) is false, so QuickSort() returns with no change to A. Indeed, an array of length 1 is already sorted, so no changes are needed.

   II. Let $m > 1$ and assume that QuickSort() correctly sorts any subarray of length less than m. We must show that QuickSort() correctly sorts any subarray of length $m = r - p + 1$. Now $m > 1$ implies $p < r$, so the test on line (1) is true and lines (2) through (4) are executed. Our assumption on Partition says that $A[p \cdots (q-1)] \le A[q] < A[(q+1) \cdots r]$ is true after line (2), where $p \le q \le r$. Observe

   $$\text{length}(A[p \cdots (q-1)]) = (q-1) - p + 1 < r - p + 1 = m$$

   and

   $$\text{length}(A[(q+1) \cdots r]) = r - (q+1) + 1 < r - p + 1 = m.$$

   The induction hypothesis implies that lines (3) and (4) correctly sort $A[p \cdots (q-1)]$ and $A[(q+1) \cdots r]$. The inequality $A[p \cdots (q-1)] \le A[q] < A[(q+1) \cdots r]$ now implies that the subarray $A[p \cdots r]$ is sorted, as required. ■

2. Recall the n^{th} harmonic number was defined to be $H_n = \sum_{k=1}^{n}\left(\frac{1}{k}\right) = 1 + \frac{1}{2} + \frac{1}{3} + \cdots + \frac{1}{n-1} + \frac{1}{n}$. Use induction to prove that

$$\sum_{k=1}^{n} kH_k = \frac{1}{2}n(n+1)H_n - \frac{1}{4}n(n-1)$$

for all $n \geq 1$. (Hint: Use the fact that $H_n = H_{n-1} + \frac{1}{n}$.)

Proof:

I. If $n = 1$ we have $\sum_{k=1}^{1} kH_k = 1 \cdot H_1 = 1$ and $\frac{1}{2} \cdot 1 \cdot (1+1)H_1 - \frac{1}{4} \cdot 1 \cdot (1-1) = 1$, so the base case is satisfied.

II. Let $n \geq 1$ and assume that $\sum_{k=1}^{n} kH_k = \frac{1}{2}n(n+1)H_n - \frac{1}{4}n(n-1)$ holds. We must show that $\sum_{k=1}^{n+1} kH_k = \frac{1}{2}(n+1)(n+2)H_{n+1} - \frac{1}{4}(n+1)n$ is also true.

$$\sum_{k=1}^{n+1} kH_k = \sum_{k=1}^{n} kH_k \ + \ (n+1)H_{n+1}$$

$$= \frac{1}{2}n(n+1)H_n - \frac{1}{4}n(n-1) + (n+1)H_{n+1} \qquad \text{(by the induction hypothesis)}$$

$$= \frac{1}{2}n(n+1)\left\{H_{n+1} - \frac{1}{n+1}\right\} - \frac{1}{4}n(n-1) + (n+1)H_{n+1} \qquad \text{(using the hint)}$$

$$= \left(\frac{n}{2} + 1\right)(n+1)H_{n+1} - \frac{1}{2} \cdot n - \frac{1}{4} \cdot n(n-1)$$

$$= \left(\frac{n+2}{2}\right)(n+1)H_{n+1} - \left(\frac{n}{2} + \frac{n^2}{4} - \frac{n}{4}\right)$$

$$= \frac{1}{2} \cdot (n+1)(n+2)H_{n+1} - \frac{n^2+n}{4}$$

$$= \frac{1}{2} \cdot (n+1)(n+2)H_{n+1} - \frac{1}{4} \cdot (n+1)n,$$

as required. ■

3. Use the results of problem #2 above, and problem #3 on the Midterm 1 to show, by direct substitution, that the solution to the recurrence

$$(*) \qquad t(n) = (n-1) + \frac{2}{n} \cdot \sum_{k=1}^{n-1} t(k)$$

is given by: $t(n) = 2(n+1)H_n - 4n$.

Proof:
We substitute $t(n) = 2(n+1)H_n - 4n$ into the left and right hand sides of the recurrence relation (*) to obtain an identity for all $n \geq 1$.

$$\begin{aligned}
\text{RHS} &= (n-1) + \frac{2}{n} \cdot \sum_{k=1}^{n-1} t(k) \\
&= (n-1) + \frac{2}{n} \cdot \sum_{k=1}^{n-1} [2(k+1)H_k - 4k] \\
&= (n-1) \ + \frac{4}{n} \cdot \sum_{k=1}^{n-1} kH_k \ + \frac{4}{n} \cdot \sum_{k=1}^{n-1} H_k \ - \ \frac{8}{n} \cdot \sum_{k=1}^{n-1} k \\
&= (n-1) + \frac{4}{n} \cdot \left(\frac{1}{2}n(n-1)H_{n-1} - \frac{1}{4}(n-1)(n-2)\right) \\
&\qquad\qquad + \frac{4}{n} \cdot (nH_{n-1} - (n-1)) \ - \ \frac{8}{n} \cdot \left(\frac{n(n-1)}{2}\right) \\
&= (n-1) + 2(n-1)H_{n-1} - \frac{(n-1)(n-2)}{n} + 4H_{n-1} - \frac{4(n-1)}{n} - 4(n-1) \\
&= -3(n-1) + (2n-2+4)H_{n-1} - \frac{(n-2+4)(n-1)}{n} \\
&= -3(n-1) + 2(n+1)H_{n-1} - \frac{(n+2)(n-1)}{n} \\
&= 2(n+1)\left(H_n - \frac{1}{n}\right) - \frac{3n(n-1) + (n+2)(n-1)}{n} \\
&= 2(n+1)H_n \ - \ \frac{2(n+1) + 3n(n-1) + (n+2)(n-1)}{n} \\
&= 2(n+1)H_n \ - \ \frac{2n + 2 + 3n^2 - 3n + n^2 + 2n - n - 2}{n} \\
&= 2(n+1)H_n \ - \ 4n = t(n) = \text{LHS}
\end{aligned}$$

■

4. Design a recursive algorithm called $\text{Extrema}(A, p, r)$ that, given an array $A[1 \cdots n]$ finds and returns both the min and max of the subarray $A[p \cdots r]$ as an ordered pair: $(\min(A[p \cdots r]), \max(A[p \cdots r]))$. Your algorithm should perform exactly $\lceil 3n/2 \rceil - 2$ array comparisons on an input array of length n. (Hint: Section 9.1 of the text describes an iterative algorithm that does this.)

   a. Write your algorithm in pseudo-code.

   Solution:
   Extrema() will call the following 3 subroutines, whose correctness is taken as obvious.

   $\underline{\min(a, b)}$ (returns the smaller of a and b)
   1. return $(a < b)?\ a : b$

   $\underline{\max(a, b)}$ (returns the larger of a and b)
   1. return $(a < b)?\ b : a$

   $\underline{\text{order}(a, b)}$ (returns the pair (a, b) in increasing order)
   1. return $(a < b)?\ (a, b) : (b, a)$

   Note each of the above functions performs exactly one comparison.

   $\underline{\text{Extrema}(A, p, r)}$ (pre: $p \le r$)
   1. if $p = r$
   2.   return $(A[p], A[p])$
   3. else if $p + 1 = r$
   4.   return $\text{order}(A[p], A[p + 1])$
   5. else
   6. $(m_1, M_1) = \text{order}(A[p], A[p + 1])$
   7. $(m_2, M_2) = \text{Extrema}(A, p + 2, r)$
   8.   return $(\min(m_1, m_2), \max(M_1, M_2))$

   ■

   b. Prove the correctness of your algorithm by induction on $m = r - p + 1$, the length of the subarray $A[p \cdots r]$.

   Proof:

   I. If $m = 1$, then $p = r$ and the test on line (1) is true, so line (2) is executed. Indeed, in this case both the maximum and minimum of this one element array is $A[p]$. If $m = 2$, we have $p + 1 = r$, so the test on line (1) is false and that on line (3) is true. The subroutine call $\text{order}(A[p], A[p + 1])$ returns an ordered pair consisting of the minimum and maximum (in that order) of the subarray $A[p, p + 1]$. The two base cases $m = 1$ and $m = 2$ are therefore satisfied.

   II. Let $m > 2$ and assume that Extrema(), when called on any subarray of length less than m, returns an ordered pair consisting of the minimum and maximum of the subarray, in that order. We must show that if $m = \text{length}(A[p \cdots r])$, then $\text{Extrema}(A, p, r)$ correctly finds and returns the ordered pair $(\min(A[p \cdots r]), \max(A[p \cdots r]))$. Since $m > 2$, the tests on lines (1) and (3) are false, and lines (6) through (8) are executed. Line (6) assigns the minimum and maximum of $A[p, p + 1]$ to m_1 and M_1, respectively. Also, since

$$\text{length}(A[(p+2)\cdots r]) = r-(p+2)+1 = (r-p+1)-2 = m-2 < m,$$

the induction hypothesis guarantees that line (7) assigns the minimum and maximum of the subarray $A[(p+2)\cdots r]$ to m_2 and M_2, respectively. The minimum and maximum of $A[p\cdots r]$ are therefore $\min(m_1, m_2)$ and $\max(M_1, M_2)$, respectively, which is exactly the ordered pair returned on line (8), as required. ■

c. Write a recurrence for the number of comparisons performed on $A[1\cdots n]$, and show that $T(n) = \lceil 3n/2 \rceil - 2$ is the solution.

Solution:
We have the recurrence

$$T(n) = \begin{cases} 0 & \text{if } n = 1 \\ 1 & \text{if } n = 2 \\ T(n-2)+3 & \text{if } n > 2 \end{cases}$$

Observe that the function $T(n) = \lceil 3n/2 \rceil - 2$ satisfies $T(1) = 0$ and $T(2) = 1$. When $n > 2$ we have

$$\begin{aligned}
\text{RHS} &= T(n-2)+3 \\
&= \left(\left\lceil \frac{3(n-2)}{2} \right\rceil - 2\right) + 3 \\
&= \left\lceil \frac{3n}{2} - 3 \right\rceil + 1 \\
&= \left\lceil \frac{3n}{2} \right\rceil - 3 + 1 \\
&= \left\lceil \frac{3n}{2} \right\rceil - 2 \\
&= T(n) \\
&= \text{LHS}
\end{aligned}$$

so that $T(n) = \lceil 3n/2 \rceil - 2$ satisfies the above recurrence. ■

5. (This is a slight re-wording of problem 8-5 on page 207 of CLRS 3rd edition.)
Suppose that, instead of sorting an array, we just require that the elements increase on average. More precisely, we call an n-element array $A[1 \cdots n]$ ***k*-sorted** if for all i in the range $1 \le i \le n-k$, the following holds:

$$\frac{\sum_{j=i}^{i+k-1} A[j]}{k} \le \frac{\sum_{j=i+1}^{i+k} A[j]}{k}$$

a. What does it mean for an array to be 1-sorted?
Solution:
A 1-sorted array is simply sorted in the usual sense. Indeed, substituting $k = 1$ into the definition yields

$$\frac{\sum_{j=i}^{i} A[j]}{1} \le \frac{\sum_{j=i+1}^{i+1} A[j]}{1} \quad \text{for } 1 \le i \le n-1$$

which says $A[i] \le A[i+1]$ for all i in the range $1 \le i \le n-1$. ■

b. Give a permutation of the numbers $\{1, 2, 3, \ldots, 10\}$ that is 2-sorted, but not sorted.
Solution:
Let $A = (1, 6, 2, 7, 3, 8, 4, 9, 5, 10)$. Then the consecutive 2-element averages are:

$$\begin{aligned}
&(1+6)/2 = 3.5\\
&(6+2)/2 = 4\\
&(2+7)/2 = 4.5\\
&(7+3)/2 = 5\\
&(3+8)/2 = 5.5\\
&(8+4)/2 = 6\\
&(4+9)/2 = 6.5\\
&(9+5)/2 = 7\\
&(5+10)/2 = 7.5
\end{aligned}$$

Therefore A is 2-sorted. ■

c. Prove that an n-element array is k-sorted if and only if $A[i] \le A[i+k]$ holds for all i in the range $1 \le i \le n-k$.
Proof:
By definition, $A[1 \cdots n]$ is k-sorted if and only if

$$\begin{aligned}
& \frac{\sum_{j=i}^{i+k-1} A[j]}{k} \le \frac{\sum_{j=i+1}^{i+k} A[j]}{k} && \text{for all} \quad 1 \le i \le n-k,\\
\text{iff} \quad & \sum_{j=i}^{i+k-1} A[j] \le \sum_{j=i+1}^{i+k} A[j] && \text{for all} \quad 1 \le i \le n-k,\\
\text{iff} \quad & A[i] + \sum_{j=i+1}^{i+k-1} A[j] \le \sum_{j=i+1}^{i+k-1} A[j] + A[i+k] && \text{for all} \quad 1 \le i \le n-k,\\
\text{iff} \quad & A[i] \le A[i+k] && \text{for all} \quad 1 \le i \le n-k,
\end{aligned}$$

as claimed. ■

d. Describe an algorithm that k-sorts an n-element array in time $\Theta(n \log n)$.

Solution:
Partition $A[1 \cdots n]$ into k (non-contiguous) sub-arrays, each of length at most $\lceil n/k \rceil$, as follows. Select every k^{th} element in A, starting at index i, for $i = 1, 2, \dots, k$, and call that subarray A_i. Thus

$$
\begin{aligned}
A_1 &= (A[1], A[1+k], A[1+2k], A[1+3k], \dots \dots \dots) \\
A_2 &= (A[2], A[2+k], A[2+2k], A[2+3k], \dots \dots \dots) \\
A_3 &= (A[3], A[3+k], A[3+2k], A[3+3k], \dots \dots \dots) \\
&\vdots \\
&\vdots \\
A_k &= (A[k], A[2k], A[3k], A[4k], \dots \dots \ \dots \ \dots \ \dots \ \dots \ \dots)
\end{aligned}
$$

Sort each of these sub-arrays using a $\Theta(n \log(n))$ sorting algorithm (such as merge sort or heap sort). Finally, reassemble the elements of the arrays $A_1, A_2, A_3, \dots, A_k$ into the original array object A by placing one element from each A_i into A, in order, until all elements in all A_i are exausted. Thus $A[1 \cdots n]$ now consists of

$$A = (A_1[1], A_2[1], \dots, A_k[1], A_1[2], A_2[2], \dots, A_k[2], A_1[3], A_2[3], \dots, A_k[3], \dots \dots)$$

Since each A_i is sorted, we have $A[i] \le A[i+k]$ for all i in the range $1 \le i \le n-k$. By part (c) above, the full array is k-sorted.

To accomplish the partitioning and reassembly, we can avoid the costly operation of allocating new array objects by sorting the (non-contiguous) subarrays of A in-place, relying on index calculations to step through each subarray. Even if we do create new array objects A_1, A_2, …, etc., the partition and reassemble steps involve no basic operations (array comparisons), and so can be ignored in the run time analysis. The total cost $T(n)$ of this algorithm is therefore the aggregate cost of the individual sorts, and hence

$$
\begin{aligned}
T(n) &= k \cdot \Theta\left(\left\lceil \frac{n}{k} \right\rceil \log \left\lceil \frac{n}{k} \right\rceil\right) \\
&= \Theta\left(k\left(\frac{n}{k}\right)\log\left(\frac{n}{k}\right)\right) \\
&= \Theta\big(n(\log n - \log k)\big) \\
&= \Theta(n \log n).
\end{aligned}
$$

■

Remarks
We illustrate the above algorithm by performing several k-sorts ($k = 2, 3\ 4$) on the following array of length $n = 10$: $A = (5, 3, 8, 10, 1, 6, 2, 9, 4, 7)$

$\underline{k = 2:}$ sort
$A_1 = (5, 8, 1, 2, 4) \longrightarrow (1, 2, 4, 5, 8)$
$A_2 = (3, 10, 6, 9, 7) \longrightarrow (3, 6, 7, 9, 10)$

2-sorted: $A = (1, 3, 2, 6, 4, 7, 5, 9, 8, 10)$

$\underline{k = 3}$: sort

$$
\begin{array}{lcl}
A_1 = (5, 10, 2, 7) & \longrightarrow & (2, 5, 7, 10) \\
A_2 = (3, 1, 9) & \longrightarrow & (1, 3, 9) \\
A_3 = (8, 6, 4) & \longrightarrow & (4, 6, 8)
\end{array}
$$

3-sorted: $A = (2, 1, 4, 5, 3, 6, 7, 9, 8, 10)$

$\underline{k = 4}$: sort

$$
\begin{array}{lcl}
A_1 = (5, 1, 4) & \longrightarrow & (1, 4, 5) \\
A_2 = (3, 6, 7) & \longrightarrow & (3, 6, 7) \\
A_3 = (8, 2) & \longrightarrow & (2, 8) \\
A_4 = (10, 9) & \longrightarrow & (9, 10)
\end{array}
$$

4-sorted: $A = (1, 3, 2, 9, 4, 6, 8, 10, 5, 7)$

Observe that for each k, and all i in the range $1 \leq i \leq k$, we have $\text{length}(A_i) \leq \lceil 10/k \rceil$.

There is also a very simple and clever way to alter the Quicksort algorithm so as to perform a k-sort. We leave this alteration as an exercise. ■