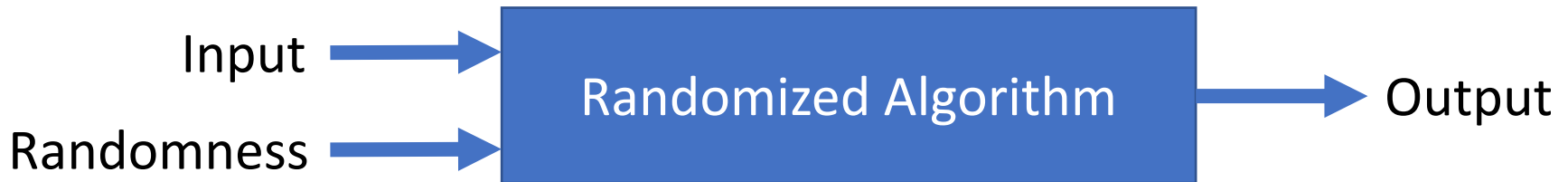


# CSC373

## Week 11: Randomized Algorithms

# Randomized Algorithms



# Randomized Algorithms

- **Running time**

- **Harder goal:** the running time should *always* be small
  - Regardless of both the input and the random coin flips
- **Easier goal:** the running time should be small *in expectation*
  - Expectation over random coin flips
  - But it should still be small for every input (i.e. worst-case)

- **Approximation Ratio**

- The objective value of the solution returned should, *in expectation*, be close to the optimum objective value
  - Once again, the expectation is over random coin flips
  - The approximation ratio should be small for every input

# Derandomization

- After coming up with a randomized approximation algorithm, one might ask if it can be “derandomized”
  - Informally, the randomized algorithm is making random choices that, in expectation, turn out to be good
  - Can we make these “good” choices deterministically?
- For some problems...
  - It may be easier to first design a simple randomized approximation algorithm and then de-randomize it...
  - Than to try to directly design a deterministic approximation algorithm

# Recap: Probability Theory

- Random variable  $X$

- Discrete

- Takes value  $v_1$  with probability  $p_1$ ,  $v_2$  w.p.  $p_2$ , ...
- Expected value  $E[X] = p_1 \cdot v_1 + p_2 \cdot v_2 + \dots$
- **Examples:** coin toss, the roll of a six-sided die, ...

- Continuous

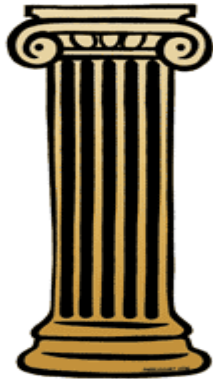
- Has a probability density function (pdf)  $f$
- Its integral is the cumulative density function (cdf)  $F$ 
  - $F(x) = \Pr[X \leq x] = \int_{-\infty}^x f(t) dt$
- Expected value  $E[X] = \int_{-\infty}^{\infty} x f(x) dx$
- **Examples:** normal distribution, exponential distribution, uniform distribution over  $[0,1]$ , ...

# Recap: Probability Theory

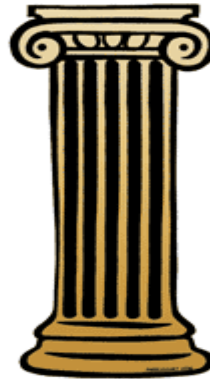
- Things you should be aware of...
  - Conditional probabilities
  - Conditional expectations
  - Independence among random variables
  - Moments of random variables
  - Standard discrete distributions: uniform over a finite set, Bernoulli, binomial, geometric, Poisson, ...
  - Standard continuous distributions: uniform over intervals, Gaussian/normal, exponential, ...

# Three Pillars

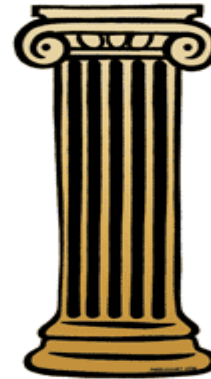
Linearity of Expectation



Union Bound



Chernoff Bound



- Deceptively simple, but incredibly powerful!
- Many many many many probabilistic results are just interesting applications of these three results

# Three Pillars

- **Linearity of expectation**

- $E[X + Y] = E[X] + E[Y]$

- This does *not* require any independence assumptions about  $X$  and  $Y$

- E.g. if you want to find out how many people will attend your party on average, just ask each person the probability with which they will attend and sum up the probabilities

- It does not matter whether some of them are friends and either all will attend together or none will attend



# Three Pillars

- Union bound

- For any two events  $A$  and  $B$ ,  $\Pr[A \cup B] \leq \Pr[A] + \Pr[B]$
- “Probability that at least one of the  $n$  events  $A_1, \dots, A_n$  will occur is at most  $\sum_i \Pr[A_i]$ ”
- Typically,  $A_1, \dots, A_n$  are “bad events”
  - You do not want any of them to occur
  - If you can individually bound  $\Pr[A_i] \leq 1/2^n$  for each  $i$ , then probability that at least one them occurs  $\leq 1/2$
  - Thus, with probability  $\geq 1/2$ , *none* of the bad events will occur

- Chernoff bound & Hoeffding’s inequality

- Read up!

# Exact Max- $k$ -SAT

# Exact Max- $k$ -SAT

- **Problem (recall)**

- **Input:** An exact  $k$ -SAT formula  $\varphi = C_1 \wedge C_2 \wedge \cdots \wedge C_m$ , where each clause  $C_i$  has exactly  $k$  literals, and a weight  $w_i \geq 0$  of each clause  $C_i$
  - **Output:** A truth assignment  $\tau$  maximizing the number (or total weight) of clauses satisfied under  $\tau$
- Let us denote by  $W(\tau)$  the total weight of clauses satisfied under  $\tau$

# Exact Max- $k$ -SAT

- Recall our local search
  - $N_d(\tau)$  = set of all truth assignments which can be obtained by changing the value of at most  $d$  variables in  $\tau$
- **Result 1:** Neighborhood  $N_1(\tau) \Rightarrow 2/3$ -apx for Exact Max-2-SAT.
- **Result 2:** Neighborhood  $N_1(\tau) \cup \tau^c \Rightarrow 3/4$ -apx for Exact Max-2-SAT.
- **Result 3:** Neighborhood  $N_1(\tau)$  + oblivious local search  $\Rightarrow 3/4$ -apx for Exact Max-2-SAT.

# Exact Max- $k$ -SAT

- Recall our local search
  - $N_d(\tau)$  = set of all truth assignments which can be obtained by changing the value of at most  $d$  variables in  $\tau$
- We claimed that  $\frac{3}{4}$ -apx for Exact Max-2-SAT can be generalized to  $\frac{2^k-1}{2^k}$ -apx for Exact Max- $k$ -SAT
  - Algorithm becomes slightly more complicated
- What can we do with randomized algorithms?

# Exact Max- $k$ -SAT

- **Recall:**
  - We have a formula  $\varphi = C_1 \wedge C_2 \wedge \dots \wedge C_m$
  - Variables =  $x_1, \dots, x_n$ , literals = variables or their negations
  - Each clause contains exactly  $k$  literals
- **The most naïve randomized algorithm**
  - Set each variable to TRUE with probability  $\frac{1}{2}$  and to FALSE with probability  $\frac{1}{2}$
- How good is this?

# Exact Max- $k$ -SAT

- **Recall:**
  - We have a formula  $\varphi = C_1 \wedge C_2 \wedge \dots \wedge C_m$
  - Variables =  $x_1, \dots, x_n$ , literals = variables or their negations
  - Each clause contains **exactly**  $k$  literals
- Let  $\tau$  be a random assignment
  - For each clause  $C_i$ :  $\Pr[C_i \text{ is not satisfied}] = 1/2^k$  **(WHY?)**
    - Hence,  $\Pr[C_i \text{ is satisfied}] = (2^k - 1)/2^k$
  - $E[W(\tau)] = \sum_{i=1}^m w_i \cdot \Pr[C_i \text{ is satisfied}]$  **(WHY?)**
  - $E[W(\tau)] = \frac{2^k - 1}{2^k} \cdot \sum_{i=1}^m w_i \geq \frac{2^k - 1}{2^k} \cdot OPT$

# Derandomization

- Can we derandomize this algorithm?
  - What are the choices made by the algorithm?
    - Setting the values of  $x_1, x_2, \dots, x_n$
  - How do we know which set of choices is good?
- **Idea:**
  - Do not think about all the choices at once.
  - Think about them one by one.
  - **Goal:** Gradually convert the random assignment  $\tau$  to a deterministic assignment  $\hat{\tau}$  such that  $W(\hat{\tau}) \geq E[W(\tau)]$ 
    - Combining with  $E[W(\tau)] \geq \frac{2^k - 1}{2^k} \cdot OPT$  will give the desired deterministic approximation ratio



# Derandomization

- Start with the random assignment  $\tau$  and write...

$$\begin{aligned} E[W(\tau)] &= \Pr[x_1 = T] \cdot E[W(\tau)|x_1 = T] + \Pr[x_1 = F] \cdot E[W(\tau)|x_1 = F] \\ &= \frac{1}{2} \cdot E[W(\tau)|x_1 = T] + \frac{1}{2} \cdot E[W(\tau)|x_1 = F] \end{aligned}$$

- Hence,  $\max(E[W(\tau)|x_1 = T], E[W(\tau)|x_1 = F]) \geq E[W(\tau)]$ 
  - What is  $E[W(\tau)|x_1 = T]$ ?
    - It is the expected weight when setting  $x_1 = T$  deterministically but still keeping  $x_2, \dots, x_n$  random
- If we can compute both  $E[W(\tau)|x_1 = T]$  and  $E[W(\tau)|x_1 = F]$ , and pick the better one...
  - Then we can set  $x_1$  deterministically without degrading the expected objective value

# Derandomization

- After deterministically making the right choice for  $x_1$  (say T), we can apply the same logic to  $x_2$

$$E[W(\tau)|x_1 = T] = \frac{1}{2} \cdot E[W(\tau)|x_1 = T, x_2 = T] + \frac{1}{2} \cdot E[W(\tau)|x_1 = T, x_2 = F]$$

- Pick the better of the two conditional expectations

- **Derandomized Algorithm:**

- For  $i = 1, \dots, n$

- Let  $z_i = T$  if  $E[W(\tau)|x_1 = z_1, \dots, x_{i-1} = z_{i-1}, x_i = T] \geq E[W(\tau)|x_1 = z_1, \dots, x_{i-1} = z_{i-1}, x_i = F]$ , and  $z_i = F$  otherwise

- Set  $x_i = z_i$

# Derandomization

- This is called *the method of conditional expectations*
  - If we're happy when making a choice at random, we should be at least as happy conditioned on at least one of the possible values of that choice
- **Remaining question:**
  - How do we compute & compare the two conditional expectations:  
 $E[W(\tau) | x_1 = z_1, \dots, x_{i-1} = z_{i-1}, x_i = T]$  and  
 $E[W(\tau) | x_1 = z_1, \dots, x_{i-1} = z_{i-1}, x_i = F]$ ?

# Derandomization

- $E[W(\tau) | x_1 = z_1, \dots, x_{i-1} = z_{i-1}, x_i = T]$ 
  - $\sum_r w_r \cdot \Pr[C_r \text{ is satisfied} | x_1 = z_1, \dots, x_{i-1} = z_{i-1}, x_i = T]$
  - Set the values of  $x_1, \dots, x_{i-1}, x_i$
  - If  $C_r$  resolves to TRUE already, the corresponding probability is 1
  - If  $C_r$  resolves to FALSE already, the corresponding probability is 0
  - Otherwise, if there are  $\ell$  literals left in  $C_r$  after setting  $x_1, \dots, x_{i-1}, x_i$ , the corresponding probability is  $\frac{2^\ell - 1}{2^\ell}$
- Compute  $E[W(\tau) | x_1 = z_1, \dots, x_{i-1} = z_{i-1}, x_i = F]$  similarly

# Max-SAT

- Simple randomized algorithm

- $\frac{2^k - 1}{2^k}$  – approximation for Max- $k$ -SAT

- Max-3-SAT  $\Rightarrow 7/8$

- [Håstad]: This is the best possible assuming  $P \neq NP$

- Max-2-SAT  $\Rightarrow 3/4 = 0.75$

- The best known approximation is 0.9401 using semi-definite programming and randomized rounding

- Max-SAT  $\Rightarrow 1/2$

- Max-SAT = no restriction on the number of literals in each clause

- The best known approximation is 0.7968, also using semi-definite programming and randomized rounding

# Max-SAT

- **Better approximations for Max-SAT**
  - Semi-definite programming is out of the scope
  - But we will see the simpler “LP relaxation + randomized rounding” approach that gives  $1 - 1/e \approx 0.6321$  approximation

- **Max-SAT:**

- **Input:**  $\varphi = C_1 \wedge C_2 \wedge \dots \wedge C_m$ , where each clause  $C_i$  has weight  $w_i \geq 0$  (and can have any number of literals)
- **Output:** Truth assignment that approximately maximizes the weight of clauses satisfied

# LP Formulation of Max-SAT

- **First, IP formulation:**

- Variables:

- $y_1, \dots, y_n \in \{0,1\}$ 
  - $y_i = 1$  iff variable  $x_i = \text{TRUE}$  in Max-SAT
- $z_1, \dots, z_m \in \{0,1\}$ 
  - $z_j = 1$  iff clause  $C_j$  is satisfied in Max-SAT

- Program:

Maximize  $\sum_j w_j \cdot z_j$

s.t.

$$\sum_{x_i \in C_j} y_i + \sum_{\bar{x}_i \in C_j} (1 - y_i) \geq z_j \quad \forall j \in \{1, \dots, m\}$$
$$y_i, z_j \in \{0,1\} \quad \forall i \in \{1, \dots, n\}, j \in \{1, \dots, m\}$$

# LP Formulation of Max-SAT

- LP relaxation:

- Variables:

- $y_1, \dots, y_n \in [0,1]$ 
  - $y_i = 1$  iff variable  $x_i = \text{TRUE}$  in Max-SAT
- $z_1, \dots, z_m \in [0,1]$ 
  - $z_j = 1$  iff clause  $C_j$  is satisfied in Max-SAT

- Program:

Maximize  $\sum_j w_j \cdot z_j$

s.t.

$$\sum_{x_i \in C_j} y_i + \sum_{\bar{x}_i \in C_j} (1 - y_i) \geq z_j \quad \forall j \in \{1, \dots, m\}$$

$$y_i, z_j \in [0,1] \quad \forall i \in \{1, \dots, n\}, j \in \{1, \dots, m\}$$



# Randomized Rounding

- **Randomized rounding**

- Find the optimal solution  $(y^*, z^*)$  of the LP
- Compute a random IP solution  $\hat{y}$  such that
  - Each  $\hat{y}_i = 1$  with probability  $y_i^*$  and 0 with probability  $1 - y_i^*$
  - Independently of other  $\hat{y}_i$ 's
  - The output of the algorithm is the corresponding truth assignment
- **What is  $\Pr[C_j \text{ is satisfied}]$  if  $C_j$  has  $k$  literals?**

$$1 - \prod_{x_i \in C_j} (1 - y_i^*) \cdot \prod_{\bar{x}_i \in C_j} (y_i^*)$$
$$\geq 1 - \left( \frac{\sum_{x_i \in C_j} (1 - y_i^*) + \sum_{\bar{x}_i \in C_j} (y_i^*)}{k} \right)^k \geq 1 - \left( \frac{k - z_j^*}{k} \right)^k$$

AM-GM inequality

LP constraint

# Randomized Rounding

- Claim

➤  $1 - \left(1 - \frac{z}{k}\right)^k \geq \left(1 - \left(1 - \frac{1}{k}\right)^k\right) \cdot z$  for all  $z \in [0,1]$  and  $k \in \mathbb{N}$

- Assuming the claim:

$$\Pr[C_j \text{ is satisfied}] \geq 1 - \left(\frac{k - z_j^*}{k}\right)^k \geq \underbrace{\left(1 - \left(1 - \frac{1}{k}\right)^k\right)}_{\text{Standard inequality}} \cdot z_j^* \geq \left(1 - \frac{1}{e}\right) \cdot z_j^*$$

- Hence,

$$\mathbb{E}[\text{\#weight of clauses satisfied}] \geq \underbrace{\left(1 - \frac{1}{e}\right) \sum_j w_j \cdot z_j^*}_{\text{Optimal LP objective}} \geq \left(1 - \frac{1}{e}\right) \cdot OPT$$

Optimal LP objective  $\geq$  optimal ILP objective

# Randomized Rounding

- **Claim**

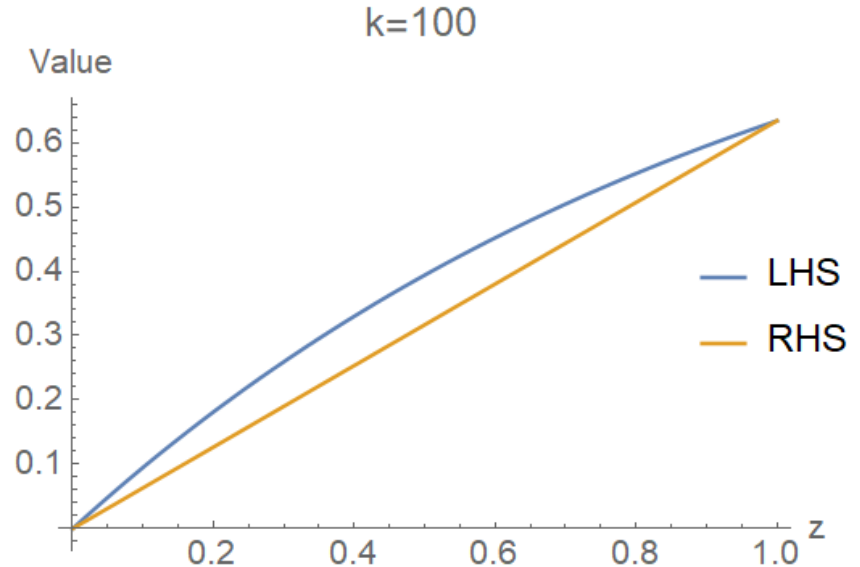
- $1 - \left(1 - \frac{z}{k}\right)^k \geq \left(1 - \left(1 - \frac{1}{k}\right)^k\right) \cdot z$  for all  $z \in [0,1]$  and  $k \in \mathbb{N}$

- **Proof of claim:**

- True at  $z = 0$  and  $z = 1$  (same quantity on both sides)

- For  $0 \leq z \leq 1$ :

- LHS is a convex function
    - RHS is a linear function
    - Hence,  $\text{LHS} \geq \text{RHS}$  ■



# Improving Max-SAT Apx

- **Best of both worlds:**

- Run both “LP relaxation + randomized rounding” and “naïve randomized algorithm”
- Return the best of the two solutions

- **Claim without proof:** This achieves a  $3/4 = 0.75$  approximation!
  - This algorithm can be derandomized.

- **Recall:**

- “naïve randomized” = independently set each variable to TRUE/FALSE with probability 0.5 each, which only gives  $1/2 = 0.5$  approximation by itself

# Back to 2-SAT

- Max-2-SAT is NP-hard (we didn't prove this!)
- But 2-SAT can be efficiently solved
  - “Given a 2-CNF formula, check whether *all* clauses can be satisfied simultaneously.”

- **Algorithm:**

- Repeatedly eliminate a clause with one literal & set the literal to true
- Create a graph with each remaining literal as a vertex
- For every clause  $(x \vee y)$ , add two edges:  $\bar{x} \rightarrow y$  and  $\bar{y} \rightarrow x$ 
  - $u \rightarrow v$  means if  $u$  is true,  $v$  must be true
- Formula is satisfiable iff no path from  $x$  to  $\bar{x}$  or  $\bar{x}$  to  $x$  for any  $x$ 
  - Can be checked in polynomial time

# Random Walk + 2-SAT

- Here's a cute randomized algorithm by Papadimitriou [1991]

- **Algorithm:**

- Start with an arbitrary assignment.
  - While there is an unsatisfied clause  $C = (x \vee y)$ 
    - Pick one of the two literals with equal probability.
    - Flip the variable value so that  $C$  is satisfied.
- 
- But can't this hurt the other clauses?
    - In a given step, yes.
    - But in expectation, we will still make progress.

# Random Walk + 2-SAT

- **Theorem:**

- If there is a satisfying assignment  $\tau^*$ , then this algorithm reaches a satisfying assignment in  $O(n^2)$  expected time.

- **Proof:**

- Fix a satisfying assignment  $\tau^*$
- Let  $\tau_0$  be the starting assignment
- Let  $\tau_i$  be the assignment after  $i$  iterations
- Consider the “hamming distance”  $d_i$  between  $\tau_i$  and  $\tau^*$ 
  - Number of coordinates in which the two differ
  - $d_i \in \{0, 1, \dots, n\}$
- **Claim:** the algorithm hits  $d_i = 0$  in  $O(n^2)$  iterations in expectation, unless it stops before that

# Random Walk + 2-SAT

- **Observation:**  $d_{i+1} = d_i - 1$  or  $d_{i+1} = d_i + 1$ 
  - Because we change one variable in each iteration.
- **Claim:**  $\Pr[d_{i+1} = d_i - 1] \geq 1/2$
- **Proof:**
  - Iteration  $i$  considers an unsatisfied clause  $C = (x \vee y)$
  - $\tau^*$  satisfies at least one of  $x$  or  $y$ , while  $\tau_i$  satisfies neither
  - Because we pick a literal randomly, w.p. at least  $1/2$  we pick one where  $\tau_i$  and  $\tau^*$  differ and decrease the distance
  - **Q:** Why did we need an unsatisfied clause? What if we pick one of  $n$  variables randomly and flip it?



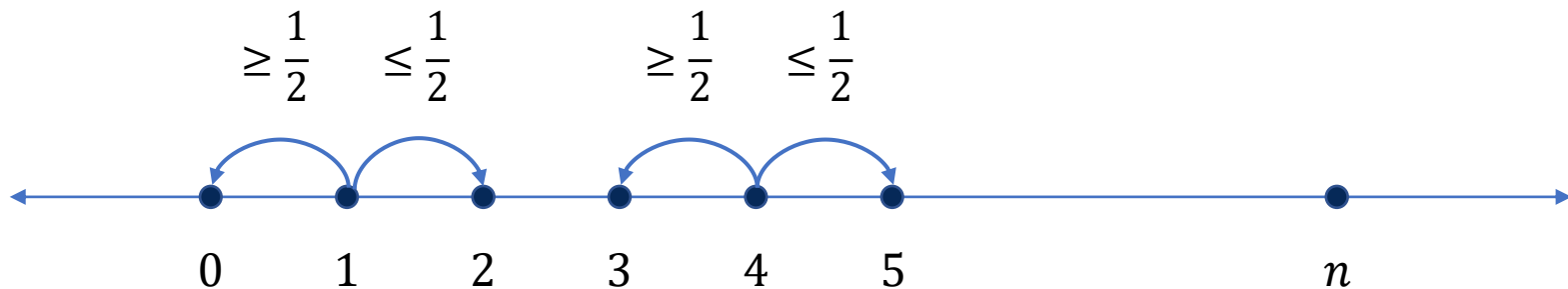
# Random Walk 2-SAT

- Answer:

- We want the distance to decrease with probability at least  $\frac{1}{2}$  no matter how close or far we are from  $\tau^*$
- If we are already close, choosing a variable at random will likely choose one where  $\tau$  and  $\tau^*$  already match
- Flipping this variable will increase the distance with high probability
- An unsatisfied clause narrows it down to two variables s.t.  $\tau$  and  $\tau^*$  differ on at least one of them

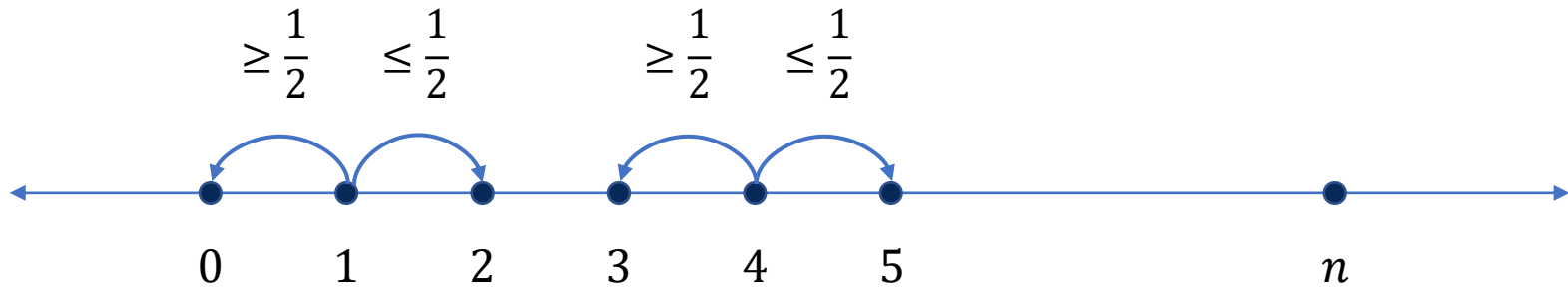
# Random Walk + 2-SAT

- **Observation:**  $d_{i+1} = d_i - 1$  or  $d_{i+1} = d_i + 1$
- **Claim:**  $\Pr[d_{i+1} = d_i - 1] \geq 1/2$



- **How does this help?**

# Random Walk + 2-SAT



- How does this help?
  - Can view this as a “Markov chain” and use known results on “hitting time”
  - But let’s prove it using elementary methods

# Random Walk + 2-SAT

- For  $k > \ell$ , define:
  - $T_{k,\ell}$  = expected number of iterations it takes to hit distance  $\ell$  for the first time when you start at distance  $k$
- $$T_{i+1,i} \leq \frac{1}{2} * 1 + \frac{1}{2} * (1 + T_{i+2,i})$$
$$= \frac{1}{2} * (1) + \frac{1}{2} * (1 + T_{i+2,i+1} + T_{i+1,i})$$
- Simplifying:
  - $T_{i+1,i} \leq 2 + T_{i+2,i+1} \leq 4 + T_{i+3,i+2} \leq \dots \leq O(n) + T_{n,n-1} \leq O(n)$ 
    - Uses  $T_{n,n-1} = 1$  (Why?)
- $T_{n,0} \leq T_{n,n-1} + \dots + T_{1,0} = O(n^2)$

Which pillar did we use?

# Random Walk + 2-SAT

- Can view this algorithm as a “drunken local search”
  - We are searching the local neighborhood
  - But we don’t ensure that we necessarily improve
  - We just ensure that in expectation, we aren’t hurt
  - Hope to reach a feasible solution in polynomial time
- Schöning extended this technique to  $k$ -SAT
  - Schöning’s algorithm no longer runs in polynomial time, but this is okay because  $k$ -SAT is NP-hard
  - It still improves upon the naïve  $2^n$
  - Later derandomized by Moser and Scheder [2011]

# Schöning's Algorithm for $k$ -SAT

- **Algorithm:**

- Choose a random assignment  $\tau$
- Repeat  $3n$  times ( $n = \text{\#variables}$ )
  - If  $\tau$  satisfies the CNF, stop
  - Else, pick an arbitrary unsatisfied clause and flip a random literal in the clause

# Schöning's Algorithm

- Randomized algorithm with one-sided error
  - If the CNF is satisfiable, it finds an assignment with probability at least  $\left(\frac{1}{2} \cdot \frac{k}{k-1}\right)^n$
  - If the CNF is unsatisfiable, it never finds an assignment
- Expected #times we need to repeat in order to find a satisfying assignment when one exists:  $\left(2 \left(1 - \frac{1}{k}\right)\right)^n$ 
  - For  $k = 3$ , this gives  $O(1.3333^n)$
  - For  $k = 4$ , this gives  $O(1.5^n)$

# Best Known Results

- 3-SAT
- Deterministic
  - Derandomized Schönning's algorithm:  $O(1.3333^n)$
  - Best known:  $O(1.3303^n)$  [HSSW]
    - If we are assured that there is a unique satisfying assignment:  $O(1.3071^n)$  [PPSZ]
- Randomized
  - Nothing better known without one-sided error
  - With one-sided error, best known is  $O(1.30704^n)$  [Modified PPSZ]



# Random Walk + 2-SAT

- Random walks are not only of theoretical interest
  - WalkSAT is a practical SAT algorithm
  - At each iteration, pick an unsatisfied clause *at random*
  - Pick a variable in the unsatisfied clause to flip:
    - With some probability, pick at random.
    - With the remaining probability, pick one that will make the fewest previously satisfied clauses unsatisfied
  - Restart a few times (avoids being stuck in local minima)
- Faster than “intelligent local search” (GSAT)
  - Flip the variable that satisfies most clauses

# Random Walks on Graphs

- Aleliunas et al. [1979]

- Let  $G$  be a connected undirected graph. Then a random walk starting from any vertex will cover the entire graph (visit each vertex at least once) in  $O(mn)$  steps.

- Limiting probability distribution

- In the limit, the random walk will visit a vertex with degree  $d_i$  in  $\frac{d_i}{2m}$  fraction of the steps

- Markov chains

- Generalize to directed (possibly infinite) graphs with unequal edge traversal probabilities

# Randomization for Sublinear Running Time

# Sublinear Running Time

- Given an input of length  $n$ , we want an algorithm that runs in time  $o(n)$ 
  - $o(n)$  examples:  $\log n$ ,  $\sqrt{n}$ ,  $n^{0.999}$ ,  $\frac{n}{\log n}$ , ...
  - The algorithm doesn't even get to read the full input!
- There are four possibilities:
  - **Exact vs inexact:** whether the algorithm always returns the correct/optimal solution or only does so with high probability (or gives some approximation)
  - **Worst-case versus expected running time:** whether the algorithm always takes  $o(n)$  time or only does so in expectation (but still on every instance)

# Exact algorithms, expected sublinear time

# Searching in Sorted List

- **Input:** A sorted doubly linked list with  $n$  elements.
  - Imagine you have an array  $A$  with  $O(1)$  access to  $A[i]$
  - $A[i]$  is a tuple  $(x_i, p_i, n_i)$ 
    - Value, index of previous element, index of next element.
  - Sorted:  $x_{p_i} \leq x_i \leq x_{n_i}$
- **Task:** Given  $x$ , check if there exists  $i$  s.t.  $x = x_i$
- **Goal:** We will give a randomized + exact algorithm with expected running time  $O(\sqrt{n})!$

# Searching in Sorted List

- **Motivation:**

- Often we deal with large datasets that are stored in a large file on disk, or possibly broken into multiple files
- Creating a new, sorted version of the dataset is expensive
- It is often preferred to “implicitly sort” the data by simply adding previous-next pointers along with each element
  
- Would like algorithms that can operate on such implicitly sorted versions and yet achieve sublinear running time
  - Just like binary search achieves for an explicitly sorted array

# Searching in Sorted List

## Algorithm:

- Select  $\sqrt{n}$  random indices  $R$
- Access  $x_j$  for each  $j \in R$
- Find “accessed  $x_j$  nearest to  $x$  in either direction”
  - either the largest among all  $x_j \leq x$ ...
  - or the smallest among all  $x_j \geq x$
- If you take the largest  $x_j \leq x$ , start from there and keep going “next” until you find  $x$  or go past its value
- If you take the smallest  $x_j \geq x$ , start from there and keep going “previous” until you find  $x$  or go past its value



# Searching in Sorted List

- **Analysis sketch:**

- Suppose you find the largest  $x_j \leq x$  and keep going “next”
- Let  $x_i$  be smallest value  $\geq x$
- Algorithm stops when it hits  $x_i$
- Algorithm throws  $\sqrt{n}$  random “darts” on the sorted list
- **Chernoff bound:**
  - Expected distance of  $x_i$  to the closest dart to its left is  $O(\sqrt{n})$
  - **We’ll assume this without proof!**
- Hence, the algorithm only does “next”  $O(\sqrt{n})$  times in expectation

# Searching in Sorted List

- **Note:**
  - We don't *really* require the list to be doubly linked. Just “next” pointer suffices if we have a pointer to the first element of the list (a.k.a. “anchored list”).
- This algorithm is optimal!
- **Theorem:** No algorithm that always returns the correct answer can run in  $o(\sqrt{n})$  expected time.
  - Can be proved using “Yao’s minimax principle”
  - Beyond the scope of the course, but this is a fundamental result with wide-ranging applications

# Sublinear Geometric Algorithms

- Chazelle, Liu, and Magen [2003] proved the  $\Theta(\sqrt{n})$  bound for searching in a sorted linked list
  - Their main focus was to generalize these ideas to come up with sublinear algorithms for geometric problems
  - **Polygon intersection:** Given two convex polyhedra, check if they intersect.
  - **Point location:** Given a Delaunay triangulation (or Voronoi diagram) and a point, find the cell in which the point lies.
  - They provided optimal  $O(\sqrt{n})$  algorithms for both these problems.

# Inexact algorithms, expected sublinear time

# Estimating Avg Degree in Graph

- **Input:**
  - Undirected graph  $G$  with  $n$  vertices
  - $O(1)$  access to the degree of any queried vertex
- **Output:**
  - Estimate the average degree of all vertices
  - More precisely, we want to find a  $(2 + \epsilon)$ -approximation in expected time  $O(\epsilon^{-O(1)}\sqrt{n})$
- **Wait!**
  - Isn't this equivalent to "given an array of  $n$  numbers between 1 and  $n - 1$ , estimate their average"?
  - No! That requires  $\Omega(n)$  time for any constant approximation!
    - Consider an instance with constantly many  $n - 1$ 's, and all other 1's: you may not discover any  $n - 1$  until you query  $\Omega(n)$  numbers

# Estimating Avg Degree in Graph

- Why are degree sequences more special?
- Erdős–Gallai theorem:
  - $d_1 \geq \dots \geq d_n$  is a degree sequence iff their sum is even and
$$\sum_{i=1}^k d_i \leq k(k-1) + \sum_{i=k+1}^n d_i$$
- Intuitively, we will sample  $O(\sqrt{n})$  vertices
  - We may not discover the few high degree vertices but we'll find their neighbors and thus account for their edges anyway!

# Estimating Avg Degree in Graph

- **Algorithm:**

- Take  $8/\epsilon$  random subsets  $S_i \subseteq V$  with  $|S_i| = O\left(\frac{\sqrt{n}}{\epsilon}\right)$
- Compute the average degree  $d_{S_i}$  in each  $S_i$ .
- Return  $\widehat{d} = \min_i d_{S_i}$

- **Analysis beyond the scope of this course**

- This gets the approximation right with probability at least  $\frac{5}{6}$
- By repeating the experiment  $\Omega(\log n)$  times and reporting the median answer, we can get the approximation right with probability at least  $1 - 1/O(n)$  and a bad approximation with the other  $1/O(n)$  probability cannot hurt much