#### **Naively sorting evolving data is optimal and robust**

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# <span id="page-1-0"></span>**[Background](#page-1-0)**

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	- ▶ *Open problem:* Does NAIVE-SORT achieve the optimal mdev and tdev?

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- $\triangleright$  NAIVE-SORT achieves optimal mdev =  $O(\log n)$  and tdev =  $O(n)$  for any const  $b > 1$  in  $t = O(n^2)$  steps.
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	- ▶ A technique for decoupling sorting and mixing steps.

# <span id="page-68-0"></span>**[Analysis](#page-68-0)**

## **Analysis outline**

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**Part A**: Outline for the mdev =  $O(\log n)$  and tdev =  $O(n \log n)$  bounds.

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**Part B**: (Brief) outline for the tdev =  $O(n)$  bound.

### <span id="page-77-0"></span>**[Part A: The](#page-77-0)** mdev =  $O(\log n)$  **and** tdev =  $O(n \log n)$ **[bounds](#page-77-0)**

**The exponential potential function with smoothing parameter**  $\alpha$  **is defined as** 

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\Phi_t = \sum_{i \in [n]} \left( e^{\alpha \cdot |i - \pi_t(i)|} - 1 \right).
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■ **Main idea:** Add  $n \cdot (d-1)$  gaps to make distances non-uniform.

$$
\pi_t = (6, 2, 5, 7, 1, 4, 3) \rightarrow \left( \underline{1}, \underline{1}, \underline{1}, \underline{1}, \underline{1}, 6, 2, \underline{1}, \underline{1}, 5, 7, 1, 4, 3, 7 \right),
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$$
\left(1, \frac{1}{2}, \frac{2}{2}, \frac{1}{3}, \frac{3}{3}, \frac{1}{4}, \frac{4}{4}, \frac{1}{5}, \frac{5}{5}, \frac{1}{6}, \frac{6}{7}, \frac{1}{7}\right).
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$$

Swapping values  $(2, 6)$  gives

$$
l_t=\left(\mathbf{1},\mathbf{1},\mathbf{1},\mathbf{1},\mathbf{1},\mathbf{6},\mathbf{2},\mathbf{1},\mathbf{1},\mathbf{5},7,\mathbf{1},4,\mathbf{3}\right)
$$

[Analysis](#page-68-0) 11

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Swapping values  $(2, 6)$  gives

$$
l_t=\left(\underline{\bot},\bot,\underline{\bot},\bot,\underbrace{6,2},\underline{\bot},\bot,\underbrace{5,7},\underbrace{1,4,3}_{6},7,4,\underbrace{3}_{7}\right)\rightarrow l_{t+1}=\left(\underline{\bot},\bot,\underbrace{2},\bot,\underline{\bot},\bot,\underline{\bot},6,\underbrace{5,7},\underbrace{1,4,3}_{6}\right)
$$

[Analysis](#page-68-0) 11

■ Returning to the previous example

$$
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■ Now, with the gaps, we have that

$$
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■ and all distances are increasing in a *sorted block*.  $\blacksquare$  Since  $\Phi_t$  is exponential,

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\Phi_t = \sum_{j:\ell_t(j)\neq \perp} e^{\alpha |d\cdot \ell_t(j)-j|},
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$$
\mathbf{E}\left[\Phi_{t+1}|\Phi_t\right] \leq \Phi_t \cdot \left(1 - \Omega\left(\frac{1}{n}\right)\right).
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[Analysis](#page-68-0) 12

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**•• Main idea:** Maintain a *target array*  $\tau_t$  (initially  $\tau_0 = id_n$ )

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$$
\pi_{t+1} = (\mathbf{3}, 1, \mathbf{4}, 5, 6, 2, 7) \quad \tau_{t+1} = (1, 2, \mathbf{4}, \mathbf{3}, 5, 6, 7).
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This way, the potential *does not change*, i.e.,  $\Phi_{t+1} = \Phi_t$ .

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$$

And, in a mixing step, swap the target positions of the items, i.e.,

$$
\pi_{t+1} = (3, 1, 4, 5, 6, 2, 7) \quad \tau_{t+1} = (1, 2, 4, 3, 5, 6, 7).
$$

This way, the potential *does not change*, i.e.,  $\Phi_{t+1} = \Phi_t$ . To preserve increasing distances needed for the sorting analysis, we require that

$$
\pi_t(i) < \pi_t(i+1) \quad \Rightarrow \quad \tau_t(\pi_t(i)) < \tau_t(\pi_t(i+1)).
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This way, the potential *does not change*, i.e.,  $\Phi_{t+1} = \Phi_t$ . To preserve increasing distances needed for the sorting analysis, we require that

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\pi_t(i) < \pi_t(i+1) \quad \Rightarrow \quad \tau_t(\pi_t(i)) < \tau_t(\pi_t(i+1)).
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We enforce this by performing successive swaps.

Our aim is to decouple sorting and mixing steps.

**Main idea:** Maintain a *target array*  $\tau_t$  (initially  $\tau_0 = id_n$ )

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Convergence time bounds are tight.

Bounds hold for relaxed mixing steps.

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# <span id="page-125-0"></span>**Part B:** The tdev =  $O(n)$  bound

#### **Why the previous analysis does not extend**

The previous analysis uses *long* intervals of length kn.

**Problem:** When  $k = o(\log n)$ , then mdev( $\tau$ ) =  $\omega(k)$ .

For example, when  $k = \Theta(1)$ , it follows that  $m \cdot \text{dev}(\tau) = \Theta(\log n / \log \log n)$ , and so the previous upper bound *does not* guarantee a decrease

 $\mathbf{E}\left[\Phi_{t+kn}|\Phi_t\right] \leq n \cdot e^{-\Theta(1)} \cdot e^{\Theta(\log n/\log \log n)} = n \cdot e^{\Theta(\log n/\log \log n)}.$ 

**Obsrvation:** We are assuming worst-case bound on displacement for  $all$  items in  $\tau$ .

**Solution:** *Reset* targets only for items with small displacements (those below  $O(k^{2/3})$ ).

▶ *Small displacements*: handle as in previous analysis.

▶ *Large displacements*: show that on aggregate they don't contribute much.

We prove a concentration inequality (c.f.  $[LS22]$ ) showing that

$$
\mathbf{Pr}\left[\Phi_t \le n \cdot e^{O(k^{2/3})}\right] \ge 1 - n^{-2}.
$$

which implies that *aggregate* contribution of large displacements is  $n \cdot e^{-\Omega(k^{1/3})}$ .

# **Putting it all together**

We repeat for  $\Theta(\log \log \log n)$  iterations.

**In iteration** *i*, we set  $k_{i+1} = (k_i)^{2/3}$ .



# <span id="page-128-0"></span>**[Conclusions](#page-128-0)**

In this work, we have shown

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- Use NAIVE-SORT to other problems with evolving data.
- Apply *analysis techniques* to related problems.



For more visualisations, see: [team.inria.fr/wide/papers/focs24](https://dimitrioslos.com/focs24)

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