

# CS473 - Algorithms I



## Lecture 9 Sorting in Linear Time

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# How Fast Can We Sort?

- The algorithms we have seen so far:
  - Based on **comparison** of elements
  - We only care about the relative ordering between the elements (not the actual values)
  - The smallest **worst-case runtime** we have seen so far:  $O(n \lg n)$
  - **Is  $O(n \lg n)$  the best we can do?**
  
- **Comparison sorts**: Only use comparisons to determine the relative order of elements.

# Decision Trees for Comparison Sorts

- Represent a sorting algorithm abstractly in terms of a **decision tree**
  - ▣ A **binary tree** that represents the **comparisons between elements** in the sorting algorithm
  - ▣ Control, data movement, and other aspects are ignored
- One decision tree corresponds to one sorting algorithm and one value of  $n$  (input size)

# Reminder: Insertion Sort (from Lecture 1)

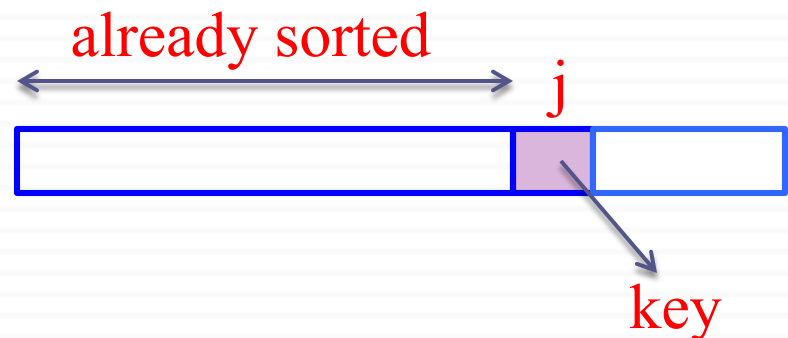
## Insertion-Sort (A)

```
1. for j ← 2 to n do
2.   key ← A[j];
3.   i ← j - 1;
4.   while i > 0 and A[i] > key
     do
5.     A[i+1] ← A[i];
6.     i ← i - 1;
7.   endwhile
8.   A[i+1] ← key;
9. endfor
```

} Iterate over array elts j

Loop invariant:

The subarray  $A[1..j-1]$   
is always sorted

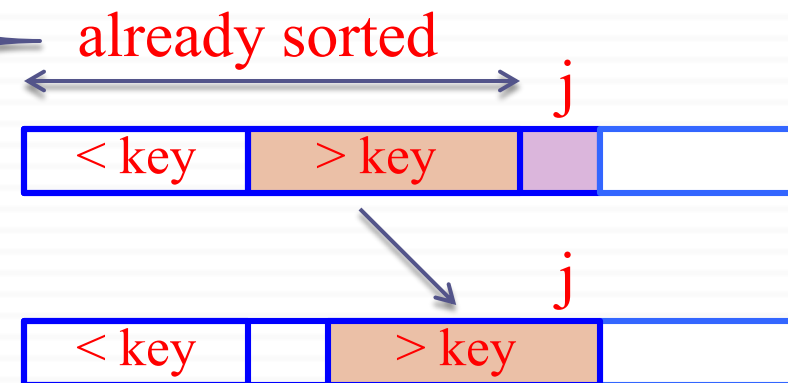


# Reminder: Insertion Sort (from Lecture 1)

## Insertion-Sort (A)

```
1. for  $j \leftarrow 2$  to  $n$  do
2.    $\text{key} \leftarrow A[j]$ ;
3.    $i \leftarrow j - 1$ ;
4.   while  $i > 0$  and  $A[i] > \text{key}$ 
      do
5.      $A[i+1] \leftarrow A[i]$ ;
6.      $i \leftarrow i - 1$ ;
      endwhile
7.    $A[i+1] \leftarrow \text{key}$ ;
endfor
```

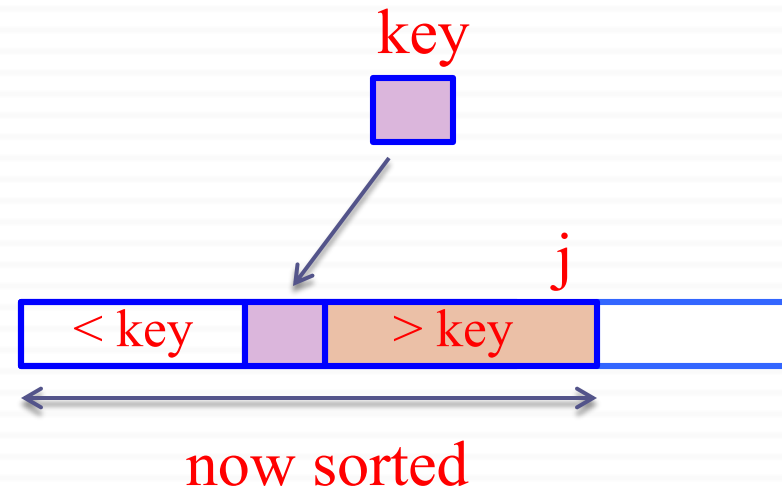
Shift right the entries  
in  $A[1..j-1]$  that are  $> \text{key}$



# Reminder: Insertion Sort (from Lecture 1)

## Insertion-Sort (A)

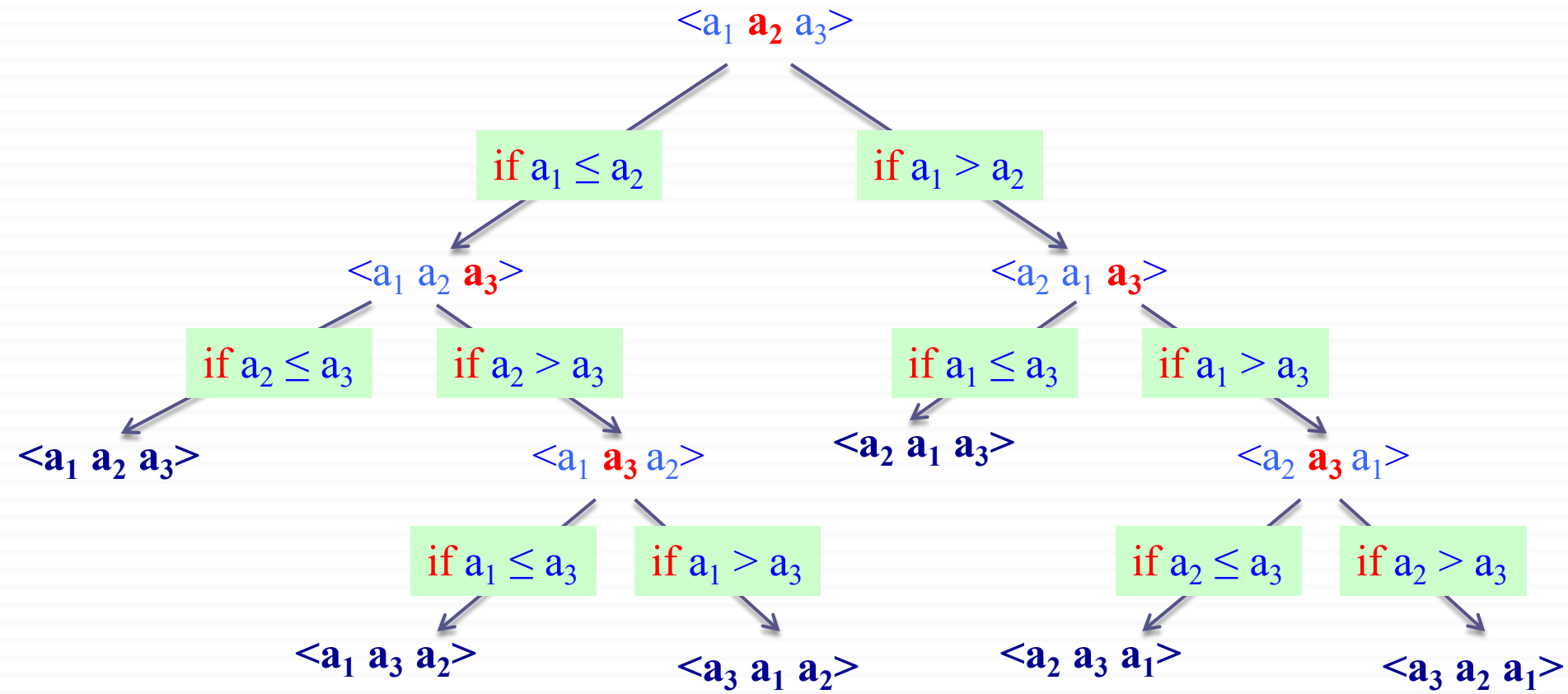
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2.    $\text{key} \leftarrow A[j]$ ;
3.    $i \leftarrow j - 1$ ;
4.   while  $i > 0$  and  $A[i] > \text{key}$ 
     do
5.      $A[i+1] \leftarrow A[i]$ ;
6.      $i \leftarrow i - 1$ ;
     endwhile
7.    $A[i+1] \leftarrow \text{key}$ ;
endfor
```



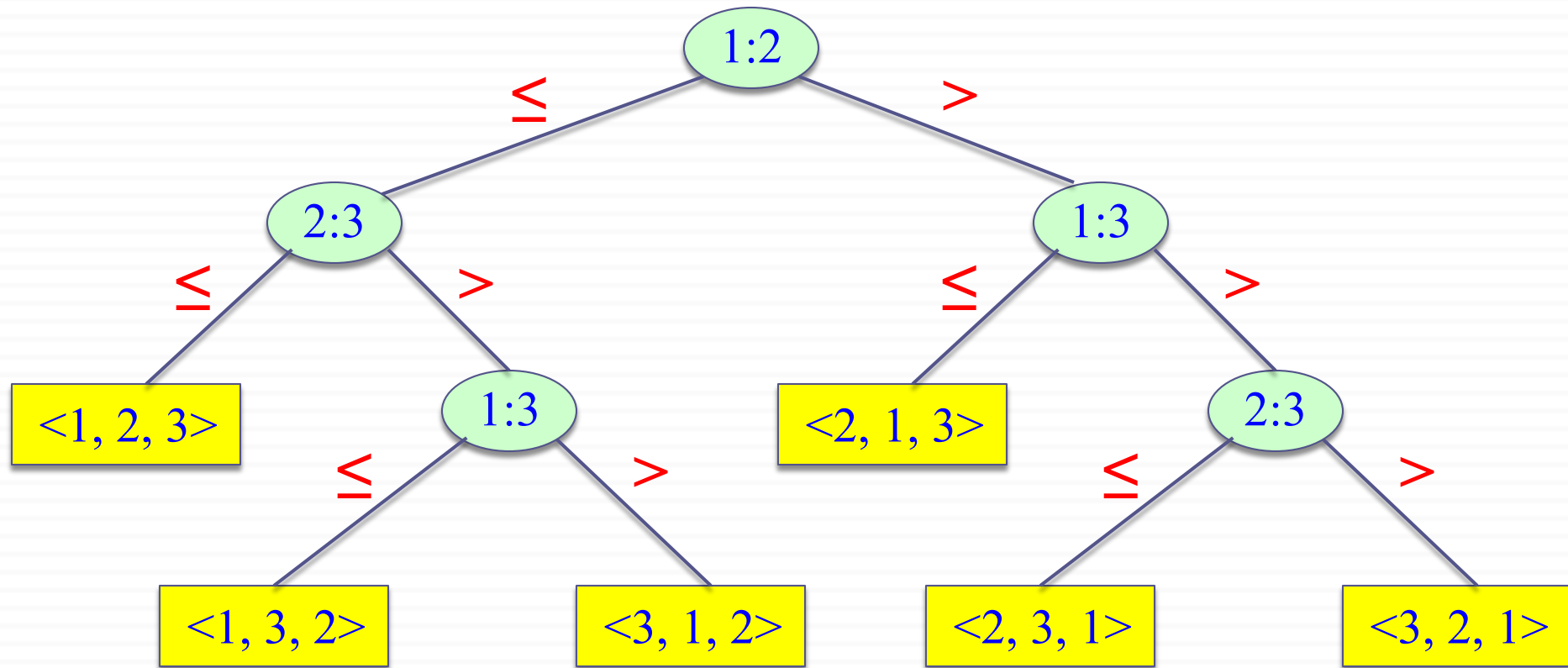
} Insert key to the correct location  
*End of iter  $j$ :  $A[1..j]$  is sorted*

# Different Outcomes for Insertion Sort and $n=3$

Input:  $\langle a_1, a_2, a_3 \rangle$



# Decision Tree for Insertion Sort and $n=3$



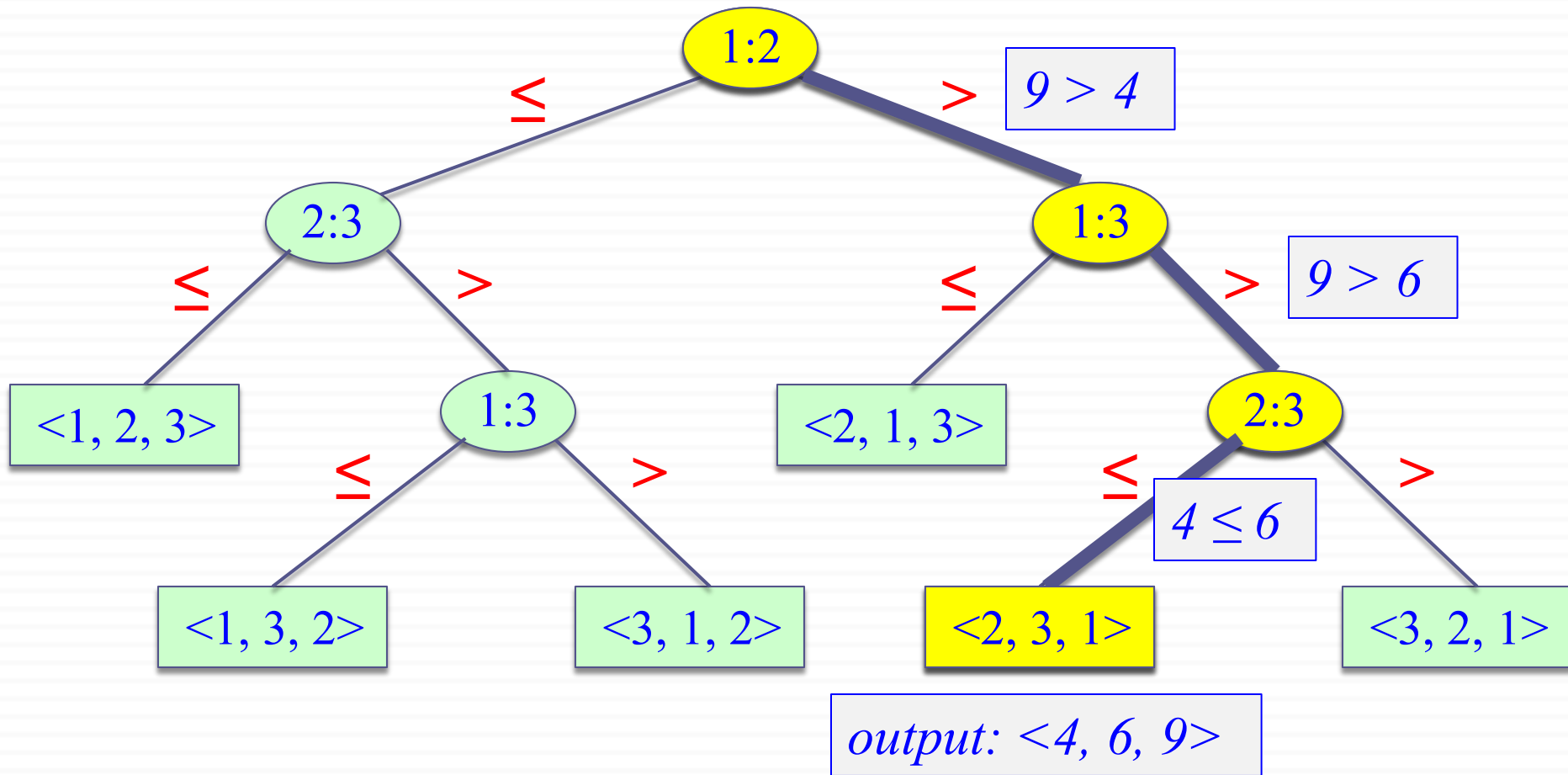


# Decision Tree Model for Comparison Sorts

- Internal node  $(i:j)$ : Comparison between elements  $a_i$  and  $a_j$
- Leaf node: An output of the sorting algorithm
- Path from root to a leaf: The execution of the sorting algorithm for a given input
- All possible executions are captured by the decision tree
- All possible outcomes (permutations) are in the leaf nodes

# Decision Tree for Insertion Sort and $n=3$

**Input:**  $\langle 9, 4, 6 \rangle$



# Decision Tree Model

- *A decision tree can model the execution of any comparison sort:*
  - One tree for each input size  $n$
  - View the algorithm as **splitting** whenever it compares two elements
  - The tree contains the **comparisons along all possible instruction traces**

*The running time of the algorithm = the length of the path taken*  
*Worst case running time = height of the tree*

# Lower Bound for Comparison Sorts

- Let  $n$  be the number of elements in the input array.
- What is the min number of leaves in the decision tree?  
 *$n!$  (because there are  $n!$  permutations of the input array, and all possible outputs must be captured in the leaves)*
- What is the max number of leaves in a binary tree of height  $h$ ?  
 $2^h$

- So, we must have:

$$2^h \geq n!$$

# Lower Bound for Decision Tree Sorting

**Theorem**: Any comparison sort algorithm requires  $\Omega(n \lg n)$  comparisons in the worst case.

**Proof**: We'll prove that any decision tree corresponding to a comparison sort algorithm must have height  $\Omega(n \lg n)$

$$2^h \geq n! \quad (\text{from previous slide})$$

$$h \geq \lg(n!)$$

$$\geq \lg((n/e)^n) \quad (\text{Stirling's approximation})$$

$$= n \lg n - n \lg e$$

$$= \Omega(n \lg n)$$

# Lower Bound for Decision Tree Sorting

**Corollary**: Heapsort and merge sort are asymptotically optimal comparison sorts.

**Proof**: The  $O(n \lg n)$  upper bounds on the runtimes for heapsort and merge sort match the  $\Omega(n \lg n)$  worst-case lower bound from the previous theorem.

# Sorting in Linear Time

Counting sort: No comparisons between elements

Input:  $A[1 .. n]$ , where  $A[j] \in \{1, 2, \dots, k\}$

Output:  $B[1 .. n]$ , sorted

Auxiliary storage:  $C[1 .. k]$

# Counting Sort

```
for i  $\leftarrow$  1 to k do  
    C[i]  $\leftarrow$  0  
for j  $\leftarrow$  1 to n do  
    C[A[j]]  $\leftarrow$  C[A[j]] + 1  
// C[i] = |{key = i}|
```

```
for i  $\leftarrow$  2 to k do  
    C[i]  $\leftarrow$  C[i] + C[i-1]  
// C[i] = |{key  $\leq$  i}|
```

```
for j  $\leftarrow$  n downto 1 do  
    B[C[A[j]]]  $\leftarrow$  A[j]  
    C[A[j]]  $\leftarrow$  C[A[j]] - 1
```

A: 

4	1	3	4	3
---	---	---	---	---

B: 


--	--	--	--	--

C: 

1	2	3	4				
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# Counting Sort



```
for i ← 1 to k do
    C[i] ← 0
for j ← 1 to n do
    C[A[j]] ← C[A[j]] + 1
// C[i] = |{key = i}|
```

```
for i ← 2 to k do
    C[i] ← C[i] + C[i-1]
// C[i] = |{key ≤ i}|
```

```
for j ← n downto 1 do
    B[C[A[j]]] ← A[j]
    C[A[j]] ← C[A[j]] - 1
```

Step 1: Initialize all counts to 0

A: 

4	1	3	4	3
---	---	---	---	---

B: 

--	--	--	--	--

C: 

1	2	3	4
0	0	0	0

# Counting Sort

**for**  $i \leftarrow 1$  **to**  $k$  **do**  
     $C[i] \leftarrow 0$   
**for**  $j \leftarrow 1$  **to**  $n$  **do**  
     $C[A[j]] \leftarrow C[A[j]] + 1$   
//  $C[i] = |\{\text{key} = i\}|$

**for**  $i \leftarrow 2$  **to**  $k$  **do**  
     $C[i] \leftarrow C[i] + C[i-1]$   
//  $C[i] = |\{\text{key} \leq i\}|$

**for**  $j \leftarrow n$  **downto**  $1$  **do**  
     $B[C[A[j]]] \leftarrow A[j]$   
     $C[A[j]] \leftarrow C[A[j]] - 1$

**Step 2:** Count the number of occurrences of each value in the input array

$j$

A:

4	1	3	4	3
---	---	---	---	---

B:

--	--	--	--	--


$1$     $2$     $3$     $4$

C:

1	0	2	2
---	---	---	---

# Counting Sort

```
for i ← 1 to k do
    C[i] ← 0
for j ← 1 to n do
    C[A[j]] ← C[A[j]] + 1
// C[i] = |{key = i}|
```



```
for i ← 2 to k do
    C[i] ← C[i] + C[i-1]
// C[i] = |{key ≤ i}|
```

```
for j ← n downto 1 do
    B[C[A[j]]] ← A[j]
    C[A[j]] ← C[A[j]] - 1
```

**Step 3**: Compute the number of elements less than or equal to each value

A: 

4	1	3	4	3
---	---	---	---	---

B: 

--	--	--	--	--


*i*  
1 2 3 4  
C: 

1	1	3	5
---	---	---	---

# Counting Sort

```
for i ← 1 to k do
    C[i] ← 0
for j ← 1 to n do
    C[A[j]] ← C[A[j]] + 1
// C[i] = |{key = i}|
```

```
for i ← 2 to k do
    C[i] ← C[i] + C[i-1]
// C[i] = |{key ≤ i}|
```



```
for j ← n downto 1 do
    B[C[A[j]]] ← A[j]
    C[A[j]] ← C[A[j]] - 1
```

**Step 4:** Populate the output array

*There are  $C[3] = 3$  elts that are  $\leq 3$*

A:

4	1	3	4	3
---	---	---	---	---

B:

1	2	3	4	5


C:

1	2	3	4
1	1	2	5

# Counting Sort

```
for i ← 1 to k do
    C[i] ← 0
for j ← 1 to n do
    C[A[j]] ← C[A[j]] + 1
// C[i] = |{key = i}|
```

```
for i ← 2 to k do
    C[i] ← C[i] + C[i-1]
// C[i] = |{key ≤ i}|
```



```
for j ← n downto 1 do
    B[C[A[j]]] ← A[j]
    C[A[j]] ← C[A[j]] - 1
```

**Step 4:** Populate the output array

*There are  $C[4] = 5$  elts that are  $\leq 4$*

A:

			j	
4	1	3	4	3

B:

1	2	3	4	5
		3		


C:

1	2	3	4
1	1	2	4

# Counting Sort

```
for i ← 1 to k do
    C[i] ← 0
for j ← 1 to n do
    C[A[j]] ← C[A[j]] + 1
// C[i] = |{key = i}|
```

```
for i ← 2 to k do
    C[i] ← C[i] + C[i-1]
// C[i] = |{key ≤ i}|
```



```
for j ← n downto 1 do
    B[C[A[j]]] ← A[j]
    C[A[j]] ← C[A[j]] - 1
```

**Step 4:** Populate the output array

*There are  $C[3] = 2$  elts that are  $\leq 3$*

j

A:

4	1	3	4	3
---	---	---	---	---

1   2   3   4   5

B:

		3		4
--	--	---	--	---

1   2   3   4


C:

1	1	1	4
---	---	---	---

# Counting Sort

```
for i ← 1 to k do
    C[i] ← 0
for j ← 1 to n do
    C[A[j]] ← C[A[j]] + 1
// C[i] = |{key = i}|
```

```
for i ← 2 to k do
    C[i] ← C[i] + C[i-1]
// C[i] = |{key ≤ i}|
```



```
for j ← n downto 1 do
    B[C[A[j]]] ← A[j]
    C[A[j]] ← C[A[j]] - 1
```

**Step 4:** Populate the output array

*There are  $C[1] = 1$  elts that are  $\leq 1$*

j

A:

4	1	3	4	3
---	---	---	---	---

1   2   3   4   5

B:

	3	3		4
--	---	---	--	---

1   2   3   4


C:

0	1	1	4
---	---	---	---

# Counting Sort

```
for i ← 1 to k do
    C[i] ← 0
for j ← 1 to n do
    C[A[j]] ← C[A[j]] + 1
// C[i] = |{key = i}|
```

```
for i ← 2 to k do
    C[i] ← C[i] + C[i-1]
// C[i] = |{key ≤ i}|
```



```
for j ← n downto 1 do
    B[C[A[j]]] ← A[j]
    C[A[j]] ← C[A[j]] - 1
```

**Step 4:** Populate the output array

*There are  $C[4] = 4$  elts that are  $\leq 4$*

**j**

A:

4	1	3	4	3
---	---	---	---	---

**1   2   3   4   5**

B:

1	3	3		4
---	---	---	--	---

**1   2   3   4**

C:

0	1	1	3
---	---	---	---



# Counting Sort: Runtime Analysis

```
for i  $\leftarrow$  1 to k do  
    C[i]  $\leftarrow$  0  
for j  $\leftarrow$  1 to n do  
    C[A[j]]  $\leftarrow$  C[A[j]] + 1  
// C[i] = |{key = i}|
```

$\Theta(k)$

$\Theta(n)$

```
for i  $\leftarrow$  2 to k do  
    C[i]  $\leftarrow$  C[i] + C[i-1]  
// C[i] = |{key  $\leq$  i}|
```

$\Theta(k)$

```
for j  $\leftarrow$  n downto 1 do  
    B[C[A[j]]]  $\leftarrow$  A[j]  
    C[A[j]]  $\leftarrow$  C[A[j]] - 1
```

$\Theta(n)$

Total runtime:  $\Theta(n+k)$

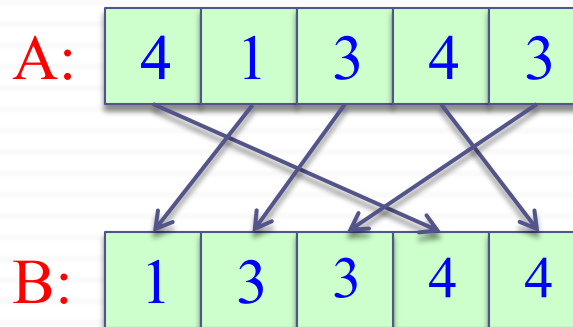
n: size of the input array  
k: the range of input values

# Counting Sort: Runtime

- Runtime is  $\Theta(n+k)$
- If  $k = O(n)$ , then counting sort takes  $\Theta(n)$
- Question: We proved a lower bound of  $\Theta(n \lg n)$  before! Where is the fallacy?
- Answer:
  - $\Theta(n \lg n)$  lower bound is for comparison-based sorting
  - Counting sort is not a comparison sort
  - In fact, not a single comparison between elements occurs!

# Stable Sorting

- Counting sort is a stable sort: It preserves the input order among equal elements.
  - ▣ i.e. The numbers with the same value appear in the output array in the same order as they do in the input array.



Exercise: Which other sorting algorithms have this property?

# Radix Sort

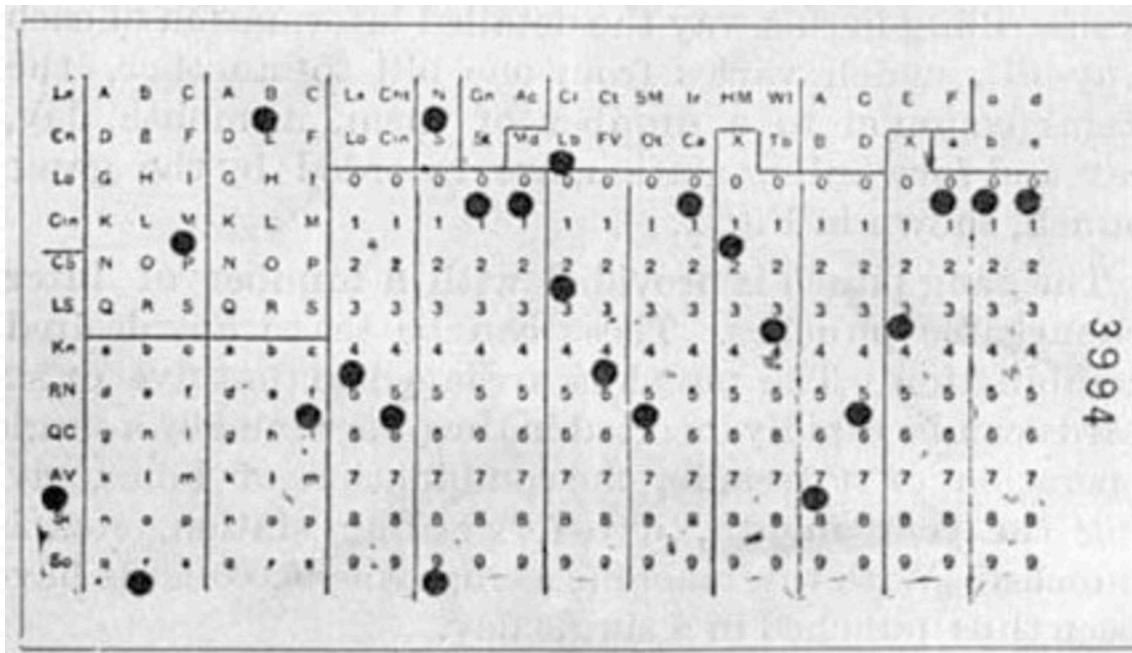
- *Origin*: Herman Hollerith's card-sorting machine for the 1890 US Census.
- *Basic idea*: Digit-by-digit sorting
- Two variations:
  - ▣ Sort from MSD to LSD (*bad idea*)
  - ▣ Sort from LSD to MSD (*good idea*)
  - ▣ *LSD/MSD: Least/most significant digit*

# Herman Hollerith (1860-1929)

- ❑ The 1880 U.S. Census took **almost 10 years** to process.
- ❑ While a lecturer at MIT, Hollerith prototyped **punched-card technology**.
- ❑ His machines, including a “**card sorter**,” allowed the 1890 census total to be reported in **6 weeks**.
- ❑ He founded the **Tabulating Machine Company** in 1911, which merged with other companies in 1924 to form **International Business Machines (IBM)**.



# Hollerith Punched Card

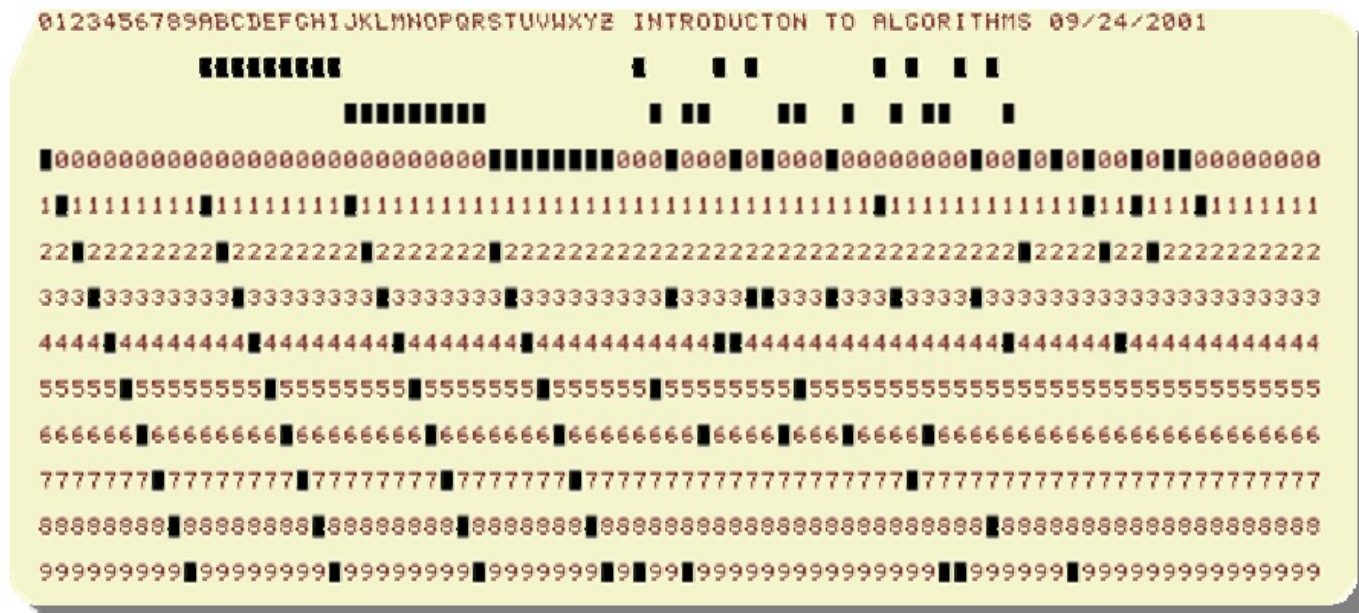


- 12 rows and 24 columns
- coded for age, state of residency, gender, etc.

*Punched card*: A piece of stiff paper that contains digital information represented by the presence or absence of holes.

# “Modern” IBM card

- One character per column



So, that’s why text windows have 80 columns!



# Hollerith Tabulating Machine and Sorter

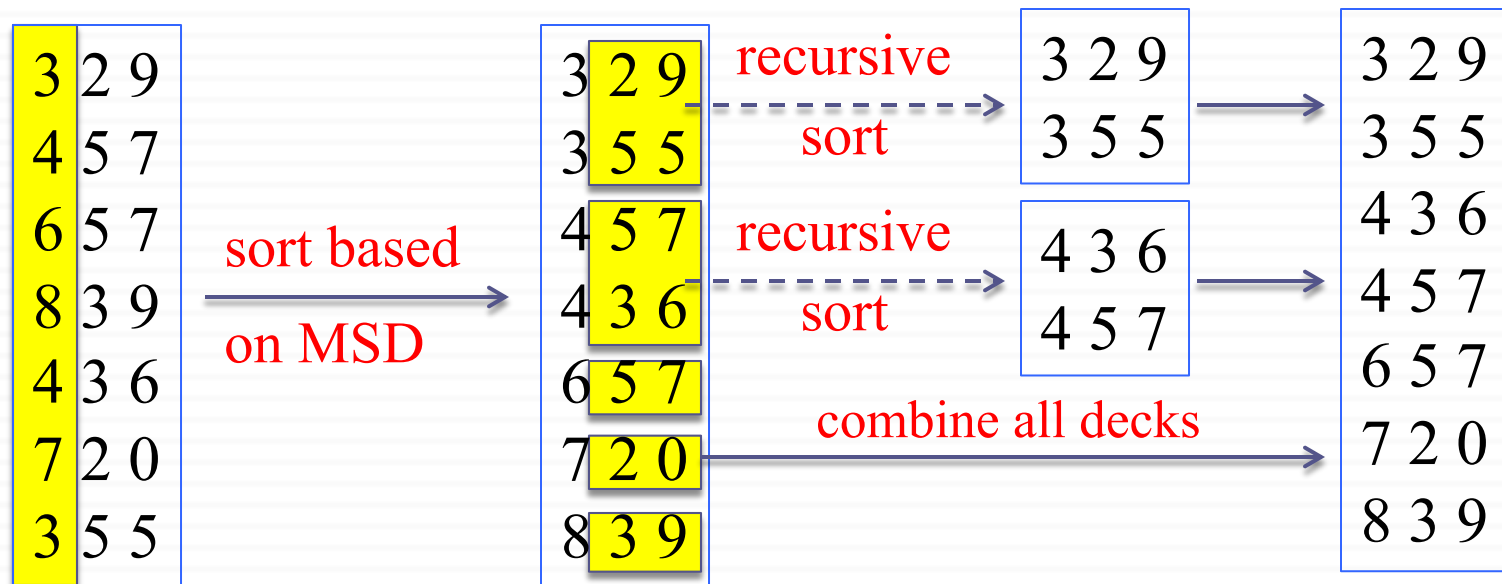


- Mechanically sorts the cards based on the hole locations.
- Sorting performed for one column at a time
- Human operator needed to load/retrieve/move cards at each stage



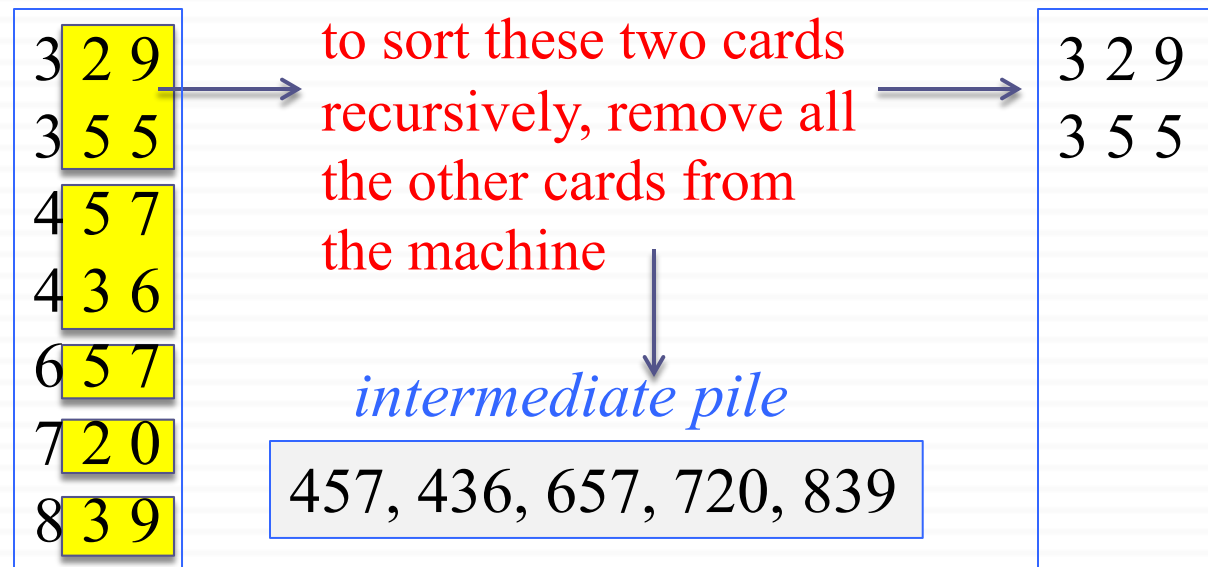
# Hollerith's MSD-First Radix Sort

- Sort starting from the most significant digit (MSD)
- Then, sort each of the resulting bins recursively
- At the end, combine the decks in order



# Hollerith's MSD-First Radix Sort

- To sort a subset of cards recursively:
  - ▣ All the other cards need to be removed from the machine, because the machine can handle only one sorting problem at a time.
  - ▣ The human operator needs to keep track of the intermediate card piles



# Hollerith's MSD-First Radix Sort

- MSD-first sorting may require:
  - very large number of sorting passes
  - very large number of intermediate card piles to maintain
- $S(d)$ : # of passes needed to sort  $d$ -digit numbers (worst-case)
- Recurrence:

$$S(d) = 10 S(d-1) + 1 \quad \text{with } S(1) = 1$$

Reminder: Recursive call made to each subset with the same most significant digit (MSD)

# Hollerith's MSD-First Radix Sort

**Recurrence:**  $S(d) = 10S(d-1) + 1$

$$\begin{aligned} S(d) &= 10 S(d-1) + 1 \\ &= 10 (10 S(d-2) + 1) + 1 \\ &= 10 (10 (10 S(d-3) + 1) + 1) + 1 \\ &= 10^i S(d-i) + 10^{i-1} + 10^{i-2} + \dots + 10^1 + 10^0 \end{aligned}$$

Iteration terminates when  $i = d-1$  with  $S(d-(d-1)) = S(1) = 1$

$$S(d) = \sum_{i=0}^{d-1} 10^i = \frac{10^d - 1}{10 - 1} = \frac{1}{9}(10^d - 1) \quad \longrightarrow \quad S(d) = \frac{1}{9}(10^d - 1)$$

# Hollerith's MSD-First Radix Sort

$P(d)$ : # of intermediate card piles maintained (worst-case)

Reminder: Each routing pass generates 9 intermediate piles except the sorting passes on least significant digits (LSDs)

There are  $10^{d-1}$  sorting calls to LSDs

$$\begin{aligned} P(d) &= 9 (S(d) - 10^{d-1}) = 9 ((10^d - 1)/9 - 10^{d-1}) \\ &= (10^d - 1 - 9 \cdot 10^{d-1}) = 10^{d-1} - 1 \end{aligned}$$

$$P(d) = 10^{d-1} - 1$$

Alternative solution: Solve the recurrence:  $P(d) = 10P(d-1) + 9$   
 $P(1) = 0$

# Hollerith's MSD-First Radix Sort

- Example: To sort 3 digit numbers, in the worst case:  
 $S(d) = (1/9) (10^3 - 1) = 111$  sorting passes needed  
 $P(d) = 10^{d-1} - 1 = 99$  intermediate card piles generated
- MSD-first approach has more recursive calls and intermediate storage requirement
  - ▣ Expensive for a “tabulating machine” to sort punched cards
  - ▣ Overhead of recursive calls in a modern computer

# LSD-First Radix Sort

- Least significant digit (**LSD**)-first radix sort seems to be a folk invention originated by machine operators.
- It is the counter-intuitive, but the better algorithm.
- Basic algorithm:

Sort numbers on their **LSD** first

Stable sorting needed!!!

Combine the cards into a single deck in order


Continue this sorting process for the other digits  
from the **LSD** to **MSD**

- Requires only  $d$  sorting passes
- No intermediate card pile generated

# LSD-first Radix Sort: Example

Step 1: Sort 1<sup>st</sup> digit


3	2	9
4	5	7
6	5	7
8	3	9
4	3	6
7	2	0
3	5	5



7	2	0
3	5	5
4	3	6
4	5	7
6	5	7
3	2	9
8	3	9

Step 2: Sort 2<sup>nd</sup> digit


7	2	0
3	5	5
4	3	6
4	5	7
6	5	7
3	2	9
8	3	9



7	2	0
3	2	9
4	3	6
8	3	9
3	5	5
4	5	7
6	5	7

Step 3: Sort 3<sup>rd</sup> digit

7	2	0
3	2	9
4	3	6
8	3	9
3	5	5
4	5	7
6	5	7



3	2	9
3	5	5
4	3	6
4	5	7
6	5	7
7	2	0
8	3	9



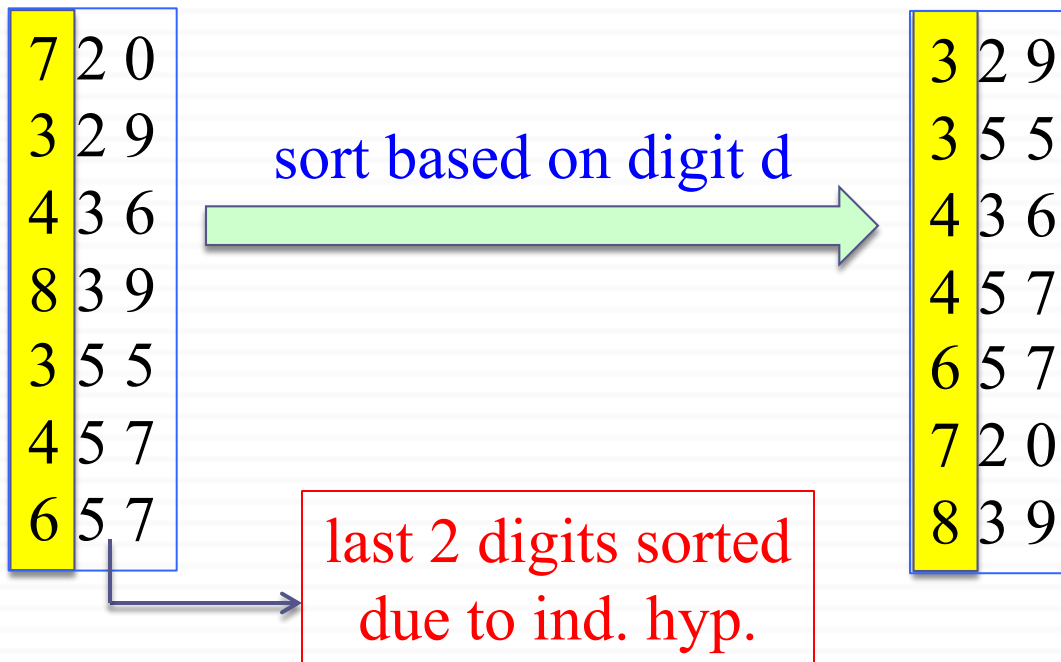
# Correctness of Radix Sort (LSD-first)

**Proof by induction:**

**Base case:**  $d=1$  is correct (trivial)

**Inductive hyp:** Assume the first  $d-1$  digits are sorted correctly

Prove that all  $d$  digits are sorted correctly after sorting digit  $d$



Two numbers that differ in digit  $d$  are correctly sorted (e.g. 355 and 657)

Two numbers equal in digit  $d$  are put in the same order as the input  
→ correct order

# Radix Sort: Runtime

- Use counting-sort to sort each digit

Reminder: Counting sort complexity:  $\Theta(n+k)$

$n$ : size of input array

$k$ : the range of the values

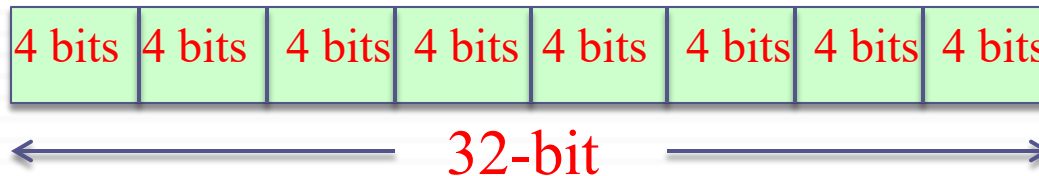
- Radix sort runtime:  $\Theta(d(n+k))$

$d$ : # of digits

- How to choose the  $d$  and  $k$ ?

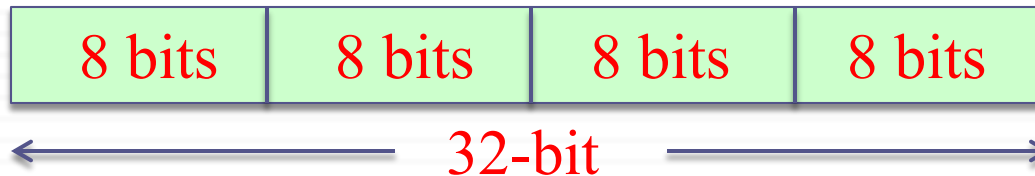
# Radix Sort: Runtime – Example 1

- We have flexibility in choosing  $d$  and  $k$
- Assume we are trying to sort 32-bit words
  - ▣ We can define each digit to be 4 bits
  - ▣ Then, the range for each digit  $k = 2^4 = 16$   
So, counting sort will take  $\Theta(n+16)$
  - ▣ The number of digits  $d = 32/4 = 8$
  - ▣ Radix sort runtime:  $\Theta(8(n+16)) = \Theta(n)$



# Radix Sort: Runtime – Example 2

- We have flexibility in choosing  $d$  and  $k$
- Assume we are trying to sort 32-bit words
  - ▣ Or, we can define each digit to be 8 bits
  - ▣ Then, the range for each digit  $k = 2^8 = 256$   
So, counting sort will take  $\Theta(n+256)$
  - ▣ The number of digits  $d = 32/8 = 4$
  - ▣ Radix sort runtime:  $\Theta(4(n+256)) = \Theta(n)$



# Radix Sort: Runtime

□ Assume we are trying to sort **b-bit** words

▣ Define each digit to be **r bits**

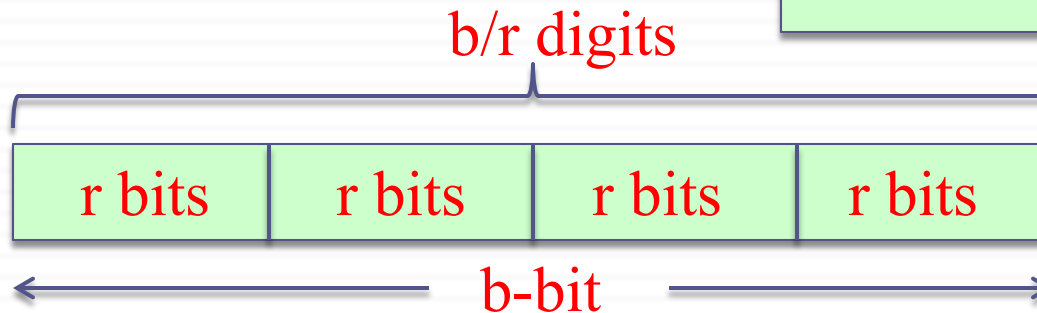
▣ Then, the range for each digit  $k = 2^r$

So, counting sort will take  $\Theta(n + 2^r)$

▣ The number of digits  $d = b/r$

Radix sort runtime:

$$T(n, b) = \Theta\left(\frac{b}{r} \left(n + 2^r\right)\right)$$



# Radix Sort: Runtime Analysis

$$T(n, b) = \Theta\left(\frac{b}{r} \left(n + 2^r\right)\right)$$

Minimize  $T(n, b)$  by differentiating and setting to 0

Or, intuitively:

We want to balance the terms  $(b/r)$  and  $(n + 2^r)$

Choose  $r \approx \lg n$

If we choose  $r \ll \lg n \rightarrow (n + 2^r)$  term **doesn't improve**

If we choose  $r \gg \lg n \rightarrow (n + 2^r)$  increases **exponentially**

# Radix Sort: Runtime Analysis

$$T(n, b) = \Theta\left(\frac{b}{r} \left(n + 2^r\right)\right)$$

Choose  $r = \lg n$



$$T(n, b) = \Theta(bn/\lg n)$$

For numbers in the range from 0 to  $n^d - 1$ , we have:

The number of bits  $b = \lg(n^d) = d \lg n$

→ Radix sort runs in  $\Theta(dn)$

# Radix Sort: Conclusions

Choose  $r = \lg n$



$$T(n, b) = \Theta(bn/\lg n)$$

- Example: Compare radix sort with merge sort/heapsort

1 million ( $2^{20}$ ) 32-bit numbers ( $n = 2^{20}$ ,  $b = 32$ )

Radix sort:  $\lceil 32/20 \rceil = 2$  passes

Merge sort/heap sort:  $\lg n = 20$  passes

- Downsides:

Radix sort has **little locality of reference** (more cache misses)

The version that uses counting sort is not in-place

- On modern processors, a well-tuned quicksort implementation typically runs faster.