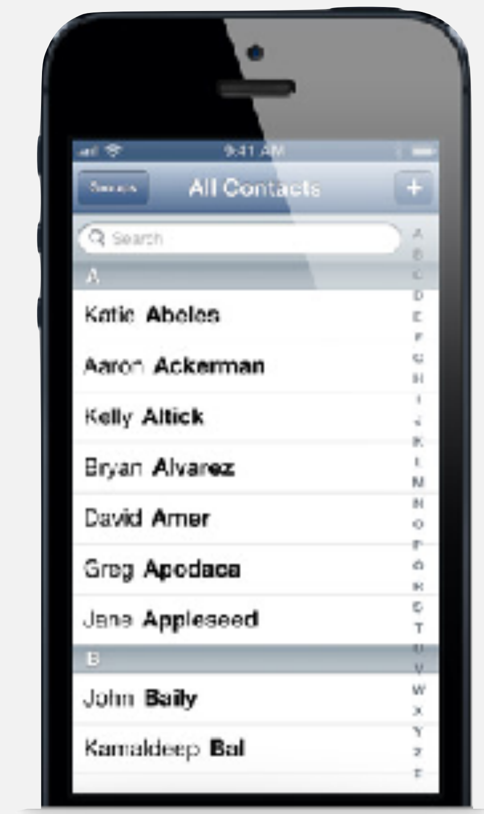
Introduction to Algorithms

Lecture 4: Elementary Sorting Algorithm

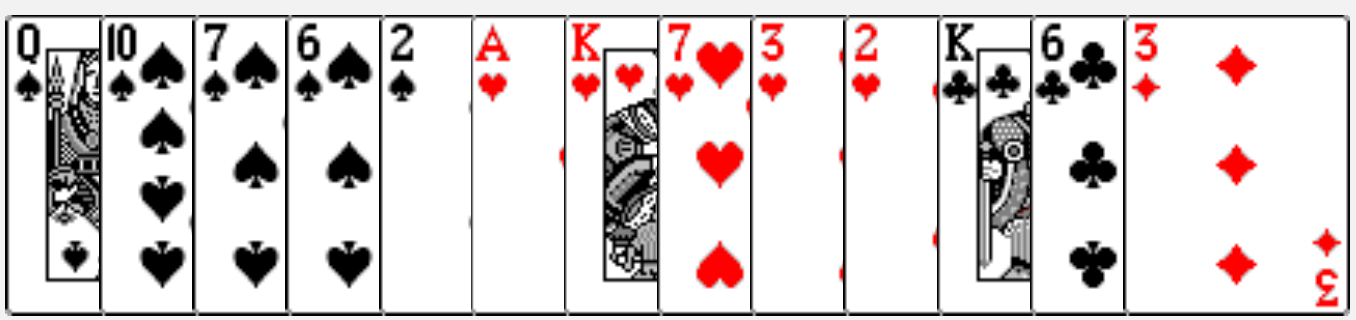
Yao-Chung Fan
yfan@nchu.edu.tw

Sorting applications

FedEx packages



contacts



playing cards

```
public class Girl {
  private int age = 28;
    public int getAge() {
      return 20;
    }
}
```

Elementary Sorts

- selection sort
- insertion sort
- shellsort
- shuffling

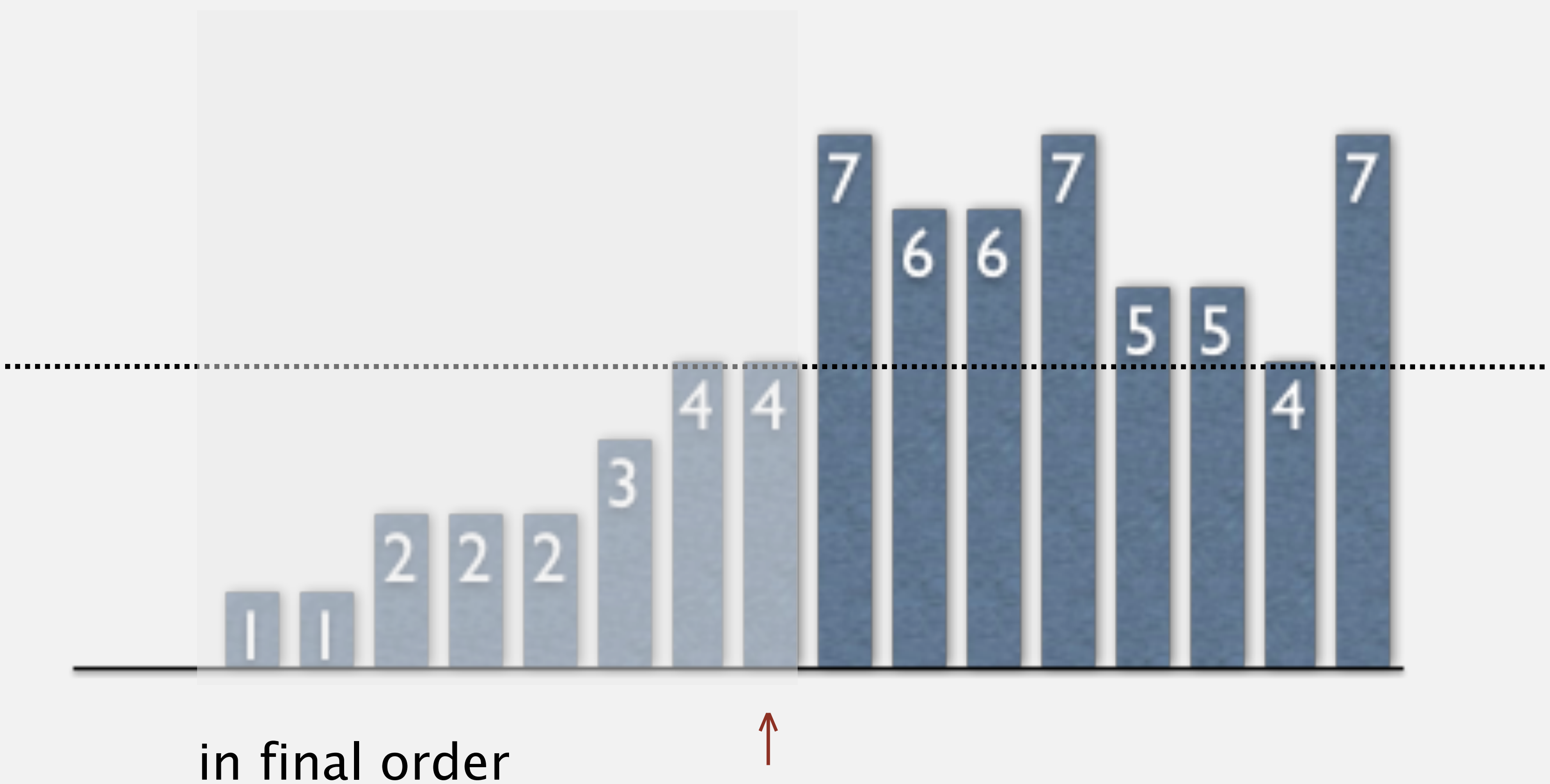
Selection sort

Algorithm. ↑ scans from left to right.

小到大排列，從陣列中找出最小的放到左邊第一個，重複此動作

Invariants.

- Entries the left of ↑ (including ↑) fixed and in ascending order.
- No entry to right of ↑ is smaller than any entry to the left of ↑.



Selection sort inner loop

To maintain algorithm invariants:

- Move the pointer to the right.

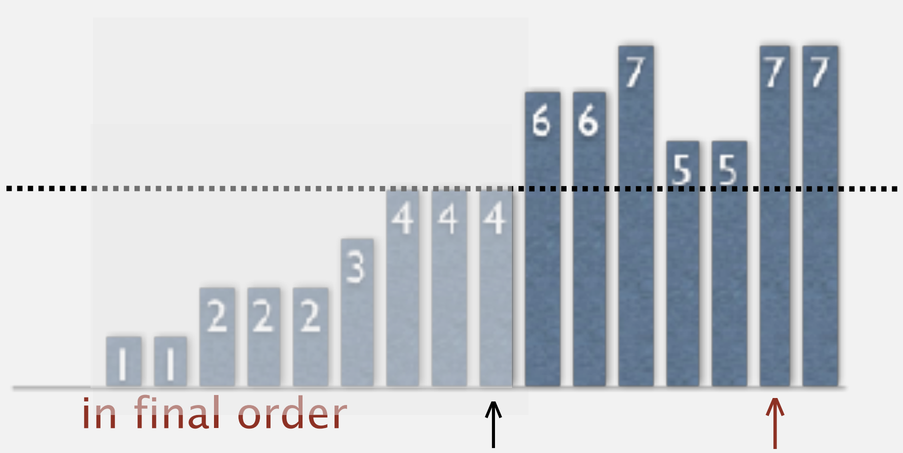
```
i++;
```

- Identify index of minimum entry on right.

```
int min = i;
for (int j = i+1; j < N; j++)
   if (less(a[j], a[min]))
      min = j;
```

- Exchange into position.

```
exch(a, i, min);
```



Selection sort: Java implementation

```
public class Selection
{
   public static void sort(Comparable[] a)
   {
      int N = a.length;
      for (int i = 0; i < N; i++)
      {
         int min = i;
         for (int j = i+1; j < N; j++)
            if (less(a[j], a[min]))
               min = j;
         exch(a, i, min);
      }
   }

   private static boolean less(Comparable v, Comparable w)
   {  /* as before */  }

   private static void exch(Comparable[] a, int i, int j)
   {  /* as before */  }
}
```

Selection sort: animations

20 random items

▲ algorithm position

in final order

not in final order

http://www.sorting-algorithms.com/selection-sort

Selection sort: mathematical analysis

Proposition. Selection sort uses $(N-1) + (N-2) + \ldots + 1 + 0 \sim N^2/2$ compares and N exchanges.

		a[]										
i	min	0	1	2	3	4	5	6	7	8	9	10
		S	O	R	T	E	X	A	M	P	L	E
0	6	S	O	R	T	E	X	A	M	P	L	E
1	4	A	O	R	T	E	X	S	M	P	L	E
2	10	A	E	R	T	O	X	S	M	P	L	E
3	9	A	E	E	T	O	X	S	M	P	L	R
4	7	A	E	E	L	O	X	S	M	P	T	R
5	7	A	E	E	L	M	X	S	O	P	T	R
6	8	A	E	E	L	M	O	S	X	P	T	R
7	10	A	E	E	L	M	O	P	X	S	T	R
8	8	A	E	E	L	M	O	P	R	S	T	X
9	9	A	E	E	L	M	O	P	R	S	T	X
10	10	A	E	E	L	M	O	P	R	S	T	X
		A	E	E	L	M	O	P	R	S	T	X

entries in black are examined to find the minimum

entries in red are a[min]

entries in gray are in final position

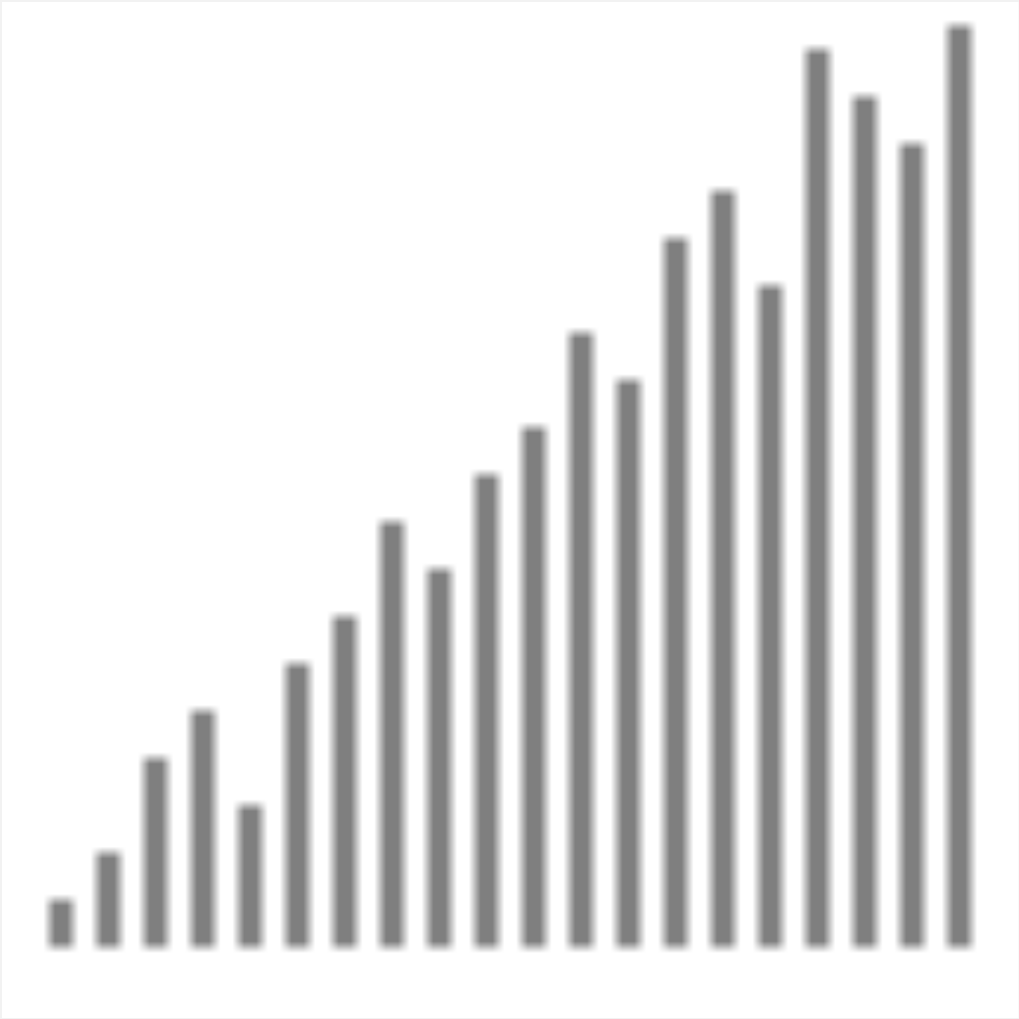
Trace of selection sort (array contents just after each exchange)

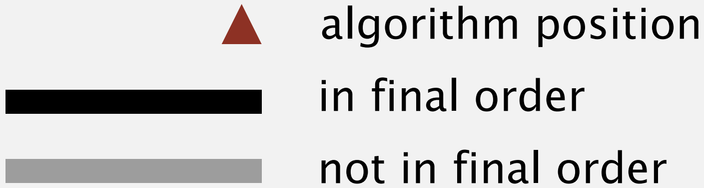
Running time insensitive to input. Quadratic time, even if input is sorted.

Data movement is minimal. Linear number of exchanges.

Selection sort: animations

20 partially-sorted items





http://www.sorting-algorithms.com/selection-sort

Sample sort client 1

Goal. Sort any type of data.

Ex 1. Sort random real numbers in ascending order.

seems artificial (stay tuned for an application)

```
public class Experiment
{
   public static void main(String[] args)
   {
      int N = Integer.parseInt(args[0]);
      Double[] a = new Double[N];
      for (int i = 0; i < N; i++)
         a[i] = StdRandom.uniform();
      Insertion.sort(a);
      for (int i = 0; i < N; i++)
         StdOut.println(a[i]);
   }
}
```

```
% java Experiment 10
0.08614716385210452
0.09054270895414829
0.10708746304898642
0.21166190071646818
0.363292849257276
0.460954145685913
0.5340026311350087
0.7216129793703496
0.9003500354411443
0.9293994908845686
```

Sample sort client 2

Goal. Sort any type of data.

Ex 2. Sort strings in alphabetical order.

```
public class StringSorter
{
   public static void main(String[] args)
   {
      String[] a = StdIn.readAllStrings();
      Insertion.sort(a);
      for (int i = 0; i < a.length; i++)
         StdOut.println(a[i]);
   }
}
```

```
% more words3.txt
bed bug dad yet zoo ... all bad yes

% java StringSorter < words3.txt
all bad bed bug dad ... yes yet zoo
[suppressing newlines]
```

Sample sort client 3

Goal. Sort any type of data.

Ex 3. Sort the files in a given directory by filename.

```
import java.io.File;

public class FileSorter
{
   public static void main(String[] args)
   {
      File directory = new File(args[0]);
      File[] files = directory.listFiles();
      Insertion.sort(files);
      for (int i = 0; i < files.length; i++)
         StdOut.println(files[i].getName());
   }
}
```

```
% java FileSorter .
Insertion.class
Insertion.java
InsertionX.class
InsertionX.java
Selection.class
Selection.java
Shell.class
Shell.java
ShellX.class
ShellX.java
```

Callbacks

Goal. Sort any type of data (for which sorting is well defined).

Q. How can `sort()` know how to compare data of type `Double`, `String`, and `java.io.File` without any information about the type of an item's key?

Callback = reference to executable code.

- Client passes array of objects to `sort()` function.
- The `sort()` function calls object's `compareTo()` method as needed.

Implementing callbacks.

- Java: interfaces.
- C: function pointers.
- C++: class-type functors.
- C#: delegates.
- Python, Perl, ML, Javascript: first-class functions.

Callbacks: roadmap

client

```
public class StringSorter
{
   public static void main(String[] args)
   {
      String[] a = StdIn.readAllStrings();
      Insertion.sort(a);
      for (int i = 0; i < a.length; i++)
         StdOut.println(a[i]);
   }
}
```

data-type implementation

```
public class String
implements Comparable<String>
{
   ...
   public int compareTo(String b)
   {
      ...
      return -1;
      ...
      return +1;
      ...
      return 0;
   }
}
```

Comparable interface (built in to Java)

```
public interface Comparable<Item>
{
   public int compareTo(Item that);
}
```

sort implementation

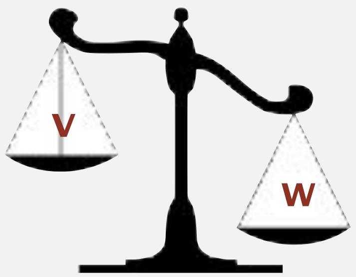
```
public static void sort(Comparable[] a)
{
   int N = a.length;
   for (int i = 0; i < N; i++)
      for (int j = i; j > 0; j--)
         if (a[j].compareTo(a[j-1]) < 0)
            exch(a, j, j-1);
         else break;
}
```

key point: no dependence on String data type

Comparable API

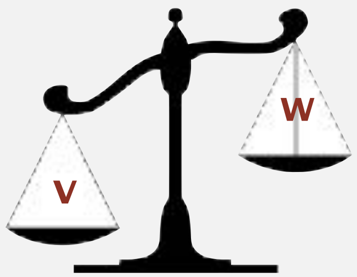
Implement `compareTo()` so that `v.compareTo(w)`

- Defines a total order.
- Returns a negative integer, zero, or positive integer
  if v is less than, equal to, or greater than w, respectively.
- Throws an exception if incompatible types (or either is `null`).



less than (return −1)

equal to (return 0)



greater than (return +1)

Built-in comparable types. `Integer`, `Double`, `String`, `Date`, `File`, ...

User-defined comparable types. Implement the `Comparable` interface.

Implementing the Comparable interface

Date data type. Simplified version of `java.util.Date`.

```
public class Date implements Comparable<Date>
{
   private final int month, day, year;

   public Date(int m, int d, int y)
   {
      month = m;
      day   = d;
      year  = y;
   }

   public int compareTo(Date that)
   {
      if (this.year  < that.year ) return -1;
      if (this.year  > that.year ) return +1;
      if (this.month < that.month) return -1;
      if (this.month > that.month) return +1;
      if (this.day   < that.day  ) return -1;
      if (this.day   > that.day  ) return +1;
      return 0;
   }
}
```

only compare dates
to other dates

Two useful sorting abstractions

Helper functions. Refer to data through compares and exchanges.

Less. Is item `v` less than `w` ?

```
private static boolean less(Comparable v, Comparable w)
{  return v.compareTo(w) < 0;  }
```

Exchange. Swap item in array `a[]` at index `i` with the one at index `j`.

```
private static void exch(Comparable[] a, int i, int j)
{
   Comparable swap = a[i];
   a[i] = a[j];
   a[j] = swap;
}
```

Selection sort: Java implementation

```
public class Selection
{
   public static void sort(Comparable[] a)
   {
      int N = a.length;
      for (int i = 0; i < N; i++)
      {
         int min = i;
         for (int j = i+1; j < N; j++)
            if (less(a[j], a[min]))
               min = j;
         exch(a, i, min);
      }
   }

   private static boolean less(Comparable v, Comparable w)
   {  /* as before */  }

   private static void exch(Comparable[] a, int i, int j)
   {  /* as before */  }
}
```

Elementary Sorts

- selection sort
- insertion sort
- shellsort
- shuffling

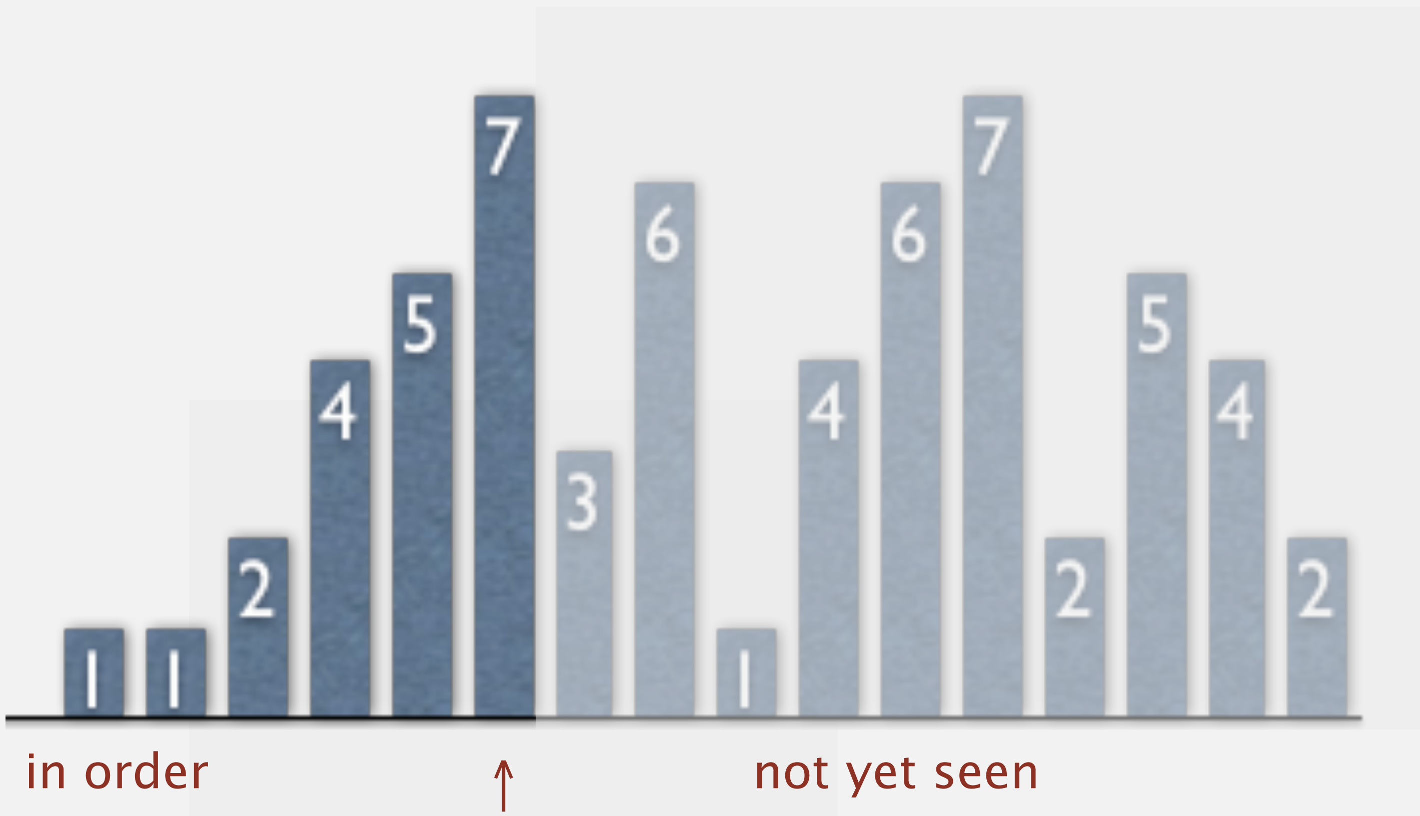
Insertion sort

Algorithm. ↑ scans from left to right.

起始兩個數字先排序，依序再加入新的數字，加入後再與先前的數字比較，較小就往前移

Invariants.

- Entries to the left of ↑ (including ↑) are in ascending order.
- Entries to the right of ↑ have not yet been seen.



Insertion sort inner loop

To maintain algorithm invariants:

- Move the pointer to the right.

```
i++;
```

- Moving from right to left, exchange `a[i]` with each larger entry to its left.

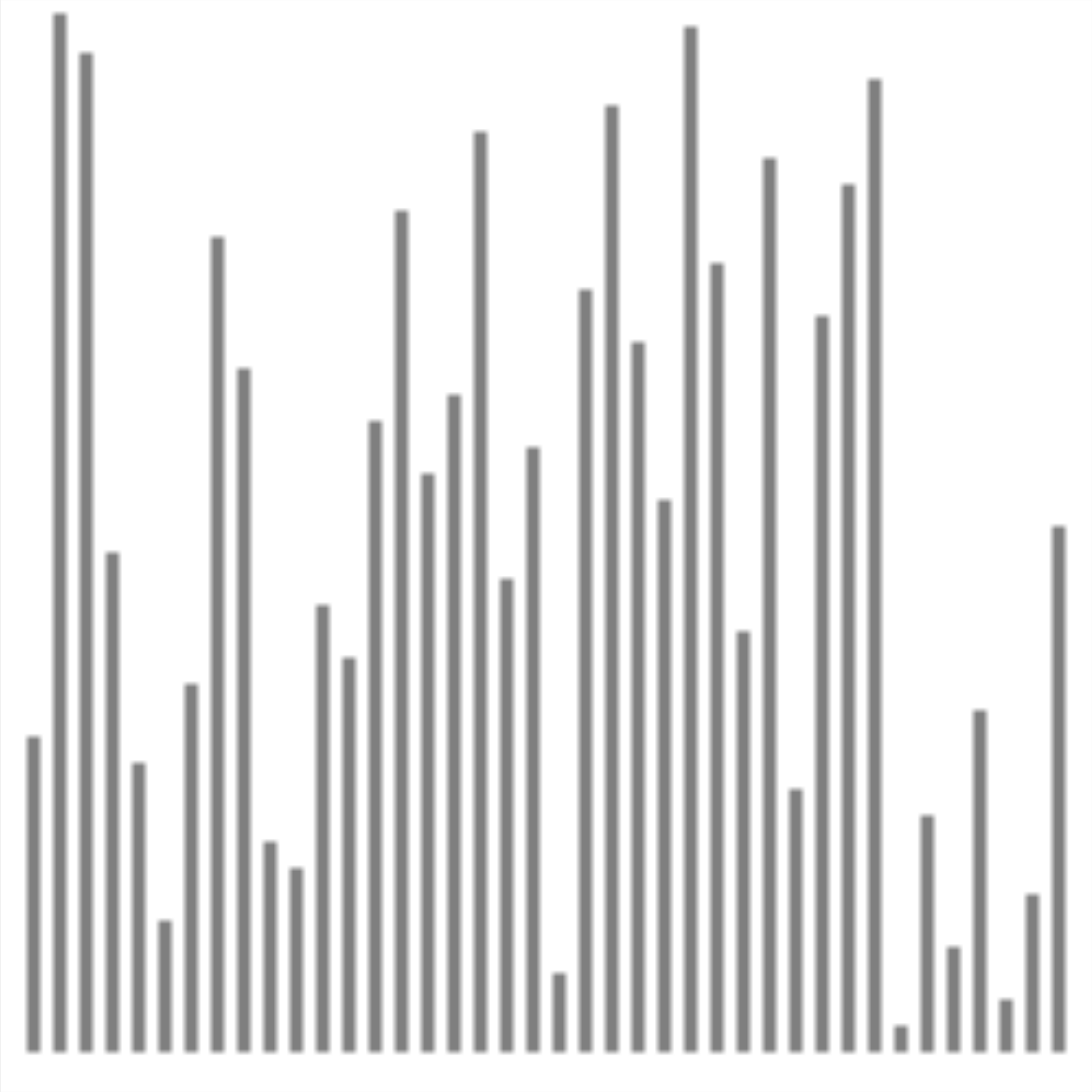
```
for (int j = i; j > 0; j--)
   if (less(a[j], a[j-1]))
        exch(a, j, j-1);
   else break;
```

Insertion sort: Java implementation

```
public class Insertion
{
   public static void sort(Comparable[] a)
   {
      int N = a.length;
      for (int i = 0; i < N; i++)
         for (int j = i; j > 0; j--)
            if (less(a[j], a[j-1]))
               exch(a, j, j-1);
            else break;
   }

   private static boolean less(Comparable v, Comparable w)
   {  /* as before */  }

   private static void exch(Comparable[] a, int i, int j)
   {  /* as before */  }
}
```

Insertion sort: animation

40 random items

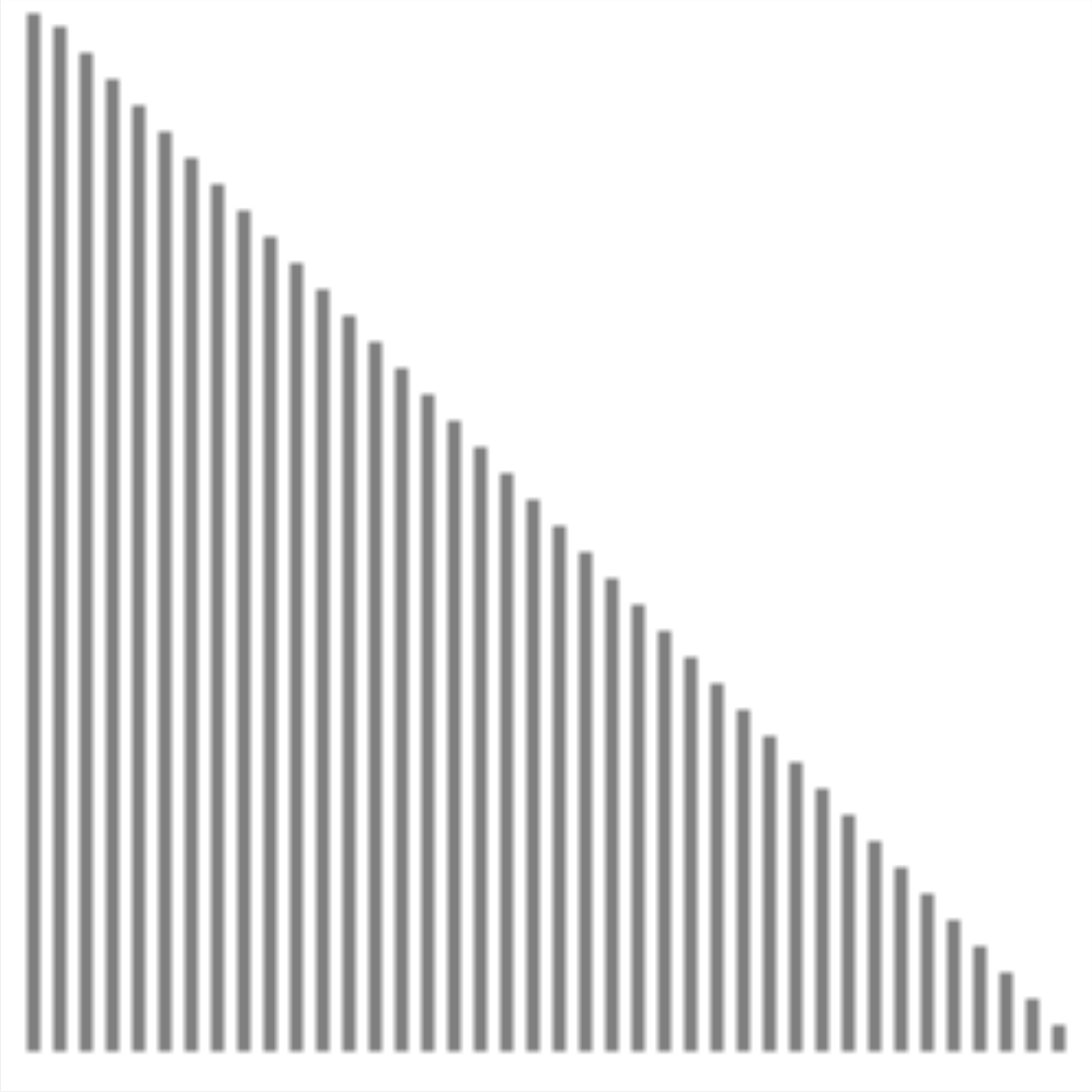


▲ algorithm position
in order
not yet seen

http://www.sorting-algorithms.com/insertion-sort

Insertion sort: animation

40 reverse-sorted items

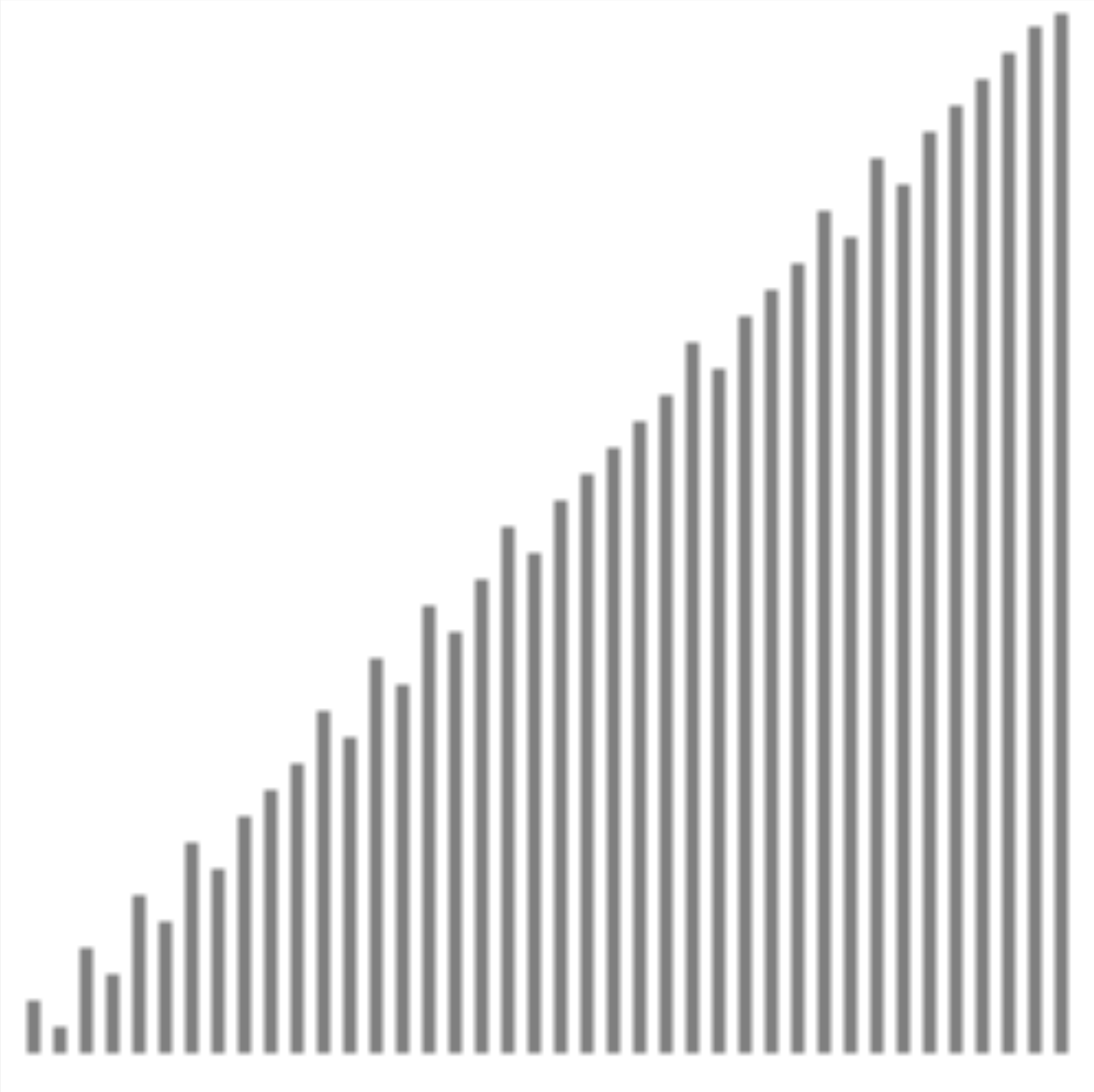


http://www.sorting-algorithms.com/insertion-sort

Reason it is slow: excessive data movement.

Insertion sort: animation

40 partially-sorted items



http://www.sorting-algorithms.com/insertion-sort

▲ algorithm position

in order

not yet seen

Reason it is slow: excessive data movement.

Insertion sort: mathematical analysis

Proposition. To sort a randomly-ordered array with distinct keys, insertion sort uses $\sim \frac{1}{4} N^2$ compares and $\sim \frac{1}{4} N^2$ exchanges on average.

Pf. Expect each entry to move halfway back.

Best case. If the array is in ascending order, insertion sort makes $N-1$ compares and 0 exchanges.

A E E L M O P R S T X

Worst case. If the array is in descending order (and no duplicates), insertion sort makes $\sim \frac{1}{2} N^2$ compares and $\sim \frac{1}{2} N^2$ exchanges.

X T S R P O M L F E A

Insertion sort: partially-sorted arrays

Def. An inversion is a pair of keys that are out of order.

A E E L M O T R X P S

T-R T-P T-S R-P X-P X-S

(6 inversions)

Def. An array is partially sorted if the number of inversions is ≤ $c\,N$.

- Ex 1. A sorted array has 0 inversions.
- Ex 2. A subarray of size 10 appended to a sorted subarray of size N.

Proposition. For partially-sorted arrays, insertion sort runs in linear time.

Pf. Number of exchanges equals the number of inversions.

number of compares = exchanges + (N – 1)

Insertion sort: practical improvements

Half exchanges. Shift items over (instead of exchanging).

- Eliminates unnecessary data movement.
- No longer uses only `less()` and `exch()` to access data.

A C H H I M N N P Q X Y K B I N A R Y

Binary insertion sort. Use binary search to find insertion point.

- Number of compares $\sim N \lg N$.
- But still a quadratic number of array accesses (worst case).

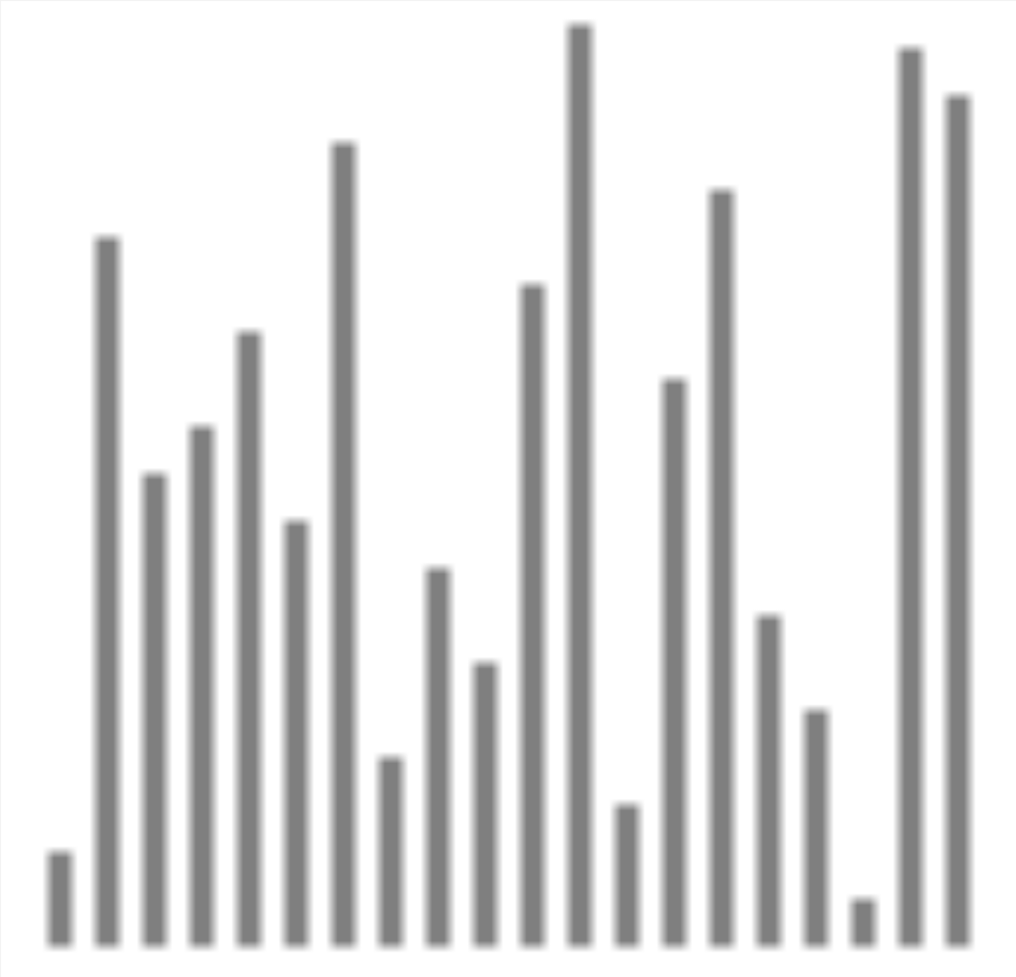
A C H H I M N N P Q X Y K B I N A R Y

binary search for first key > K

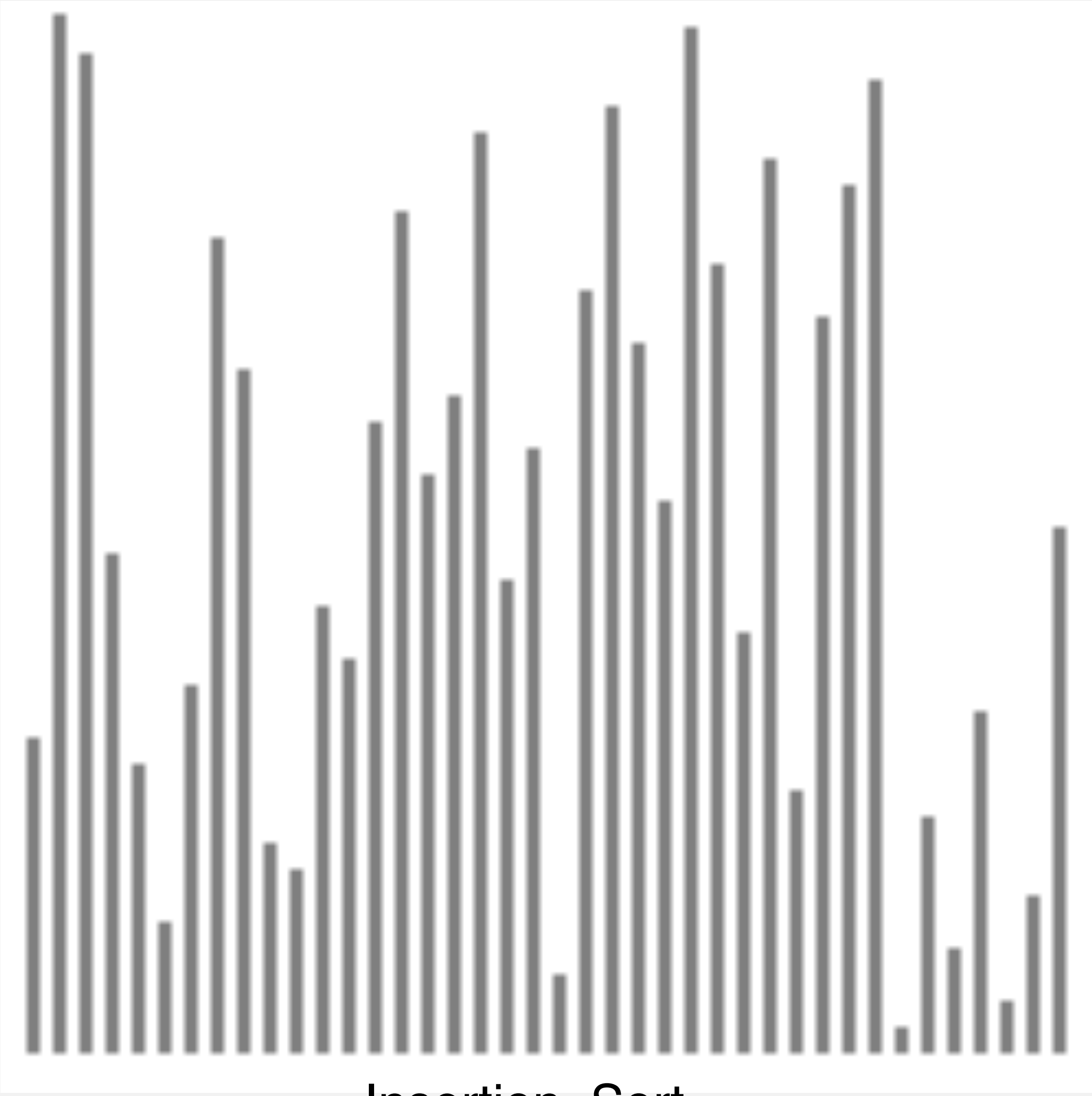
Elementary Sorts

- selection sort
- insertion sort
- shellsort
- shuffling

Remind you that



Selection Sort



Insertion Sort

```
for (int i = 0; i < N; i++)
   for (int j = i; j > 0; j--)
      if (less(a[j], a[j-1]))
         exch(a, j, j-1);
      else break;
```

Insertion Sort Code

Shellsort overview

Idea. Move entries more than one position at a time by h-sorting the array.

an h-sorted array is h interleaved sorted subsequences

h = 4

```
L   E   E   A   M   H   L   E   P   S   O   L   T   S   X   R
L ————————————— M ————————————— P ————————————— T
    E ————————————— H ————————————— S ————————————— S
        E ————————————— L ————————————— O ————————————— X
            A ————————————— E ————————————— L ————————————— R
```

Shellsort. [Shell 1959] h-sort array for decreasing sequence of values of h.

input	S	H	E	L	L	S	O	R	T	E	X	A	M	P	L	E
13-sort	P	H	E	L	L	S	O	R	T	E	X	A	M	S	L	E
4-sort	L	E	E	A	M	H	L	E	P	S	O	L	T	S	X	R
1-sort	A	E	E	E	H	L	L	L	M	O	P	R	S	S	T	X

h-sorting

How to h-sort an array? Insertion sort, with stride length h.

3-sorting an array

M	O	L	E	E	X	A	S	P	R	T
E	O	L	M	E	X	A	S	P	R	T
E	E	L	M	O	X	A	S	P	R	T
E	E	L	M	O	X	A	S	P	R	T
A	E	L	E	O	X	M	S	P	R	T
A	E	L	E	O	X	M	S	P	R	T
A	E	L	E	O	P	M	S	X	R	T
A	E	L	E	O	P	M	S	X	R	T
A	E	L	E	O	P	M	S	X	R	T
A	E	L	E	O	P	M	S	X	R	T

Why insertion sort?

- Big increments $\Rightarrow$ small subarray.
- Small increments $\Rightarrow$ nearly in order. [stay tuned]

Shellsort example: increments 7, 3, 1

Idea. h-sort the file for a decreasing sequence of values of h.

input

S O R T E X A M P L E

7-sort

S O R T E X A M P L E
M O R T E X A S P L E
M O R T E X A S P L E
M O L T E X A S P R E
M O L E E X A S P R T

3-sort

M O L E E X A S P R T
E O L M E X A S P R T
E E L M O X A S P R T
E E L M O X A S P R T
A E L E O X M S P R T
A E L E O X M S P R T
A E L E O P M S X R T
A E L E O P M S X R T
A E L E O P M S X R T

1-sort

A E L E O P M S X R T
A E L E O P M S X R T
A E L E O P M S X R T
A E E L O P M S X R T
A E E L O P M S X R T
A E E L O P M S X R T
A E E L M O P S X R T
A E E L M O P S X R T
A E E L M O P S X R T
A E E L M O P R S X T
A E E L M O P R S T X

result

A E E L M O P R S T X

Shellsort: Java implementation

To implement: Use insertion sort, modified to h-sort.

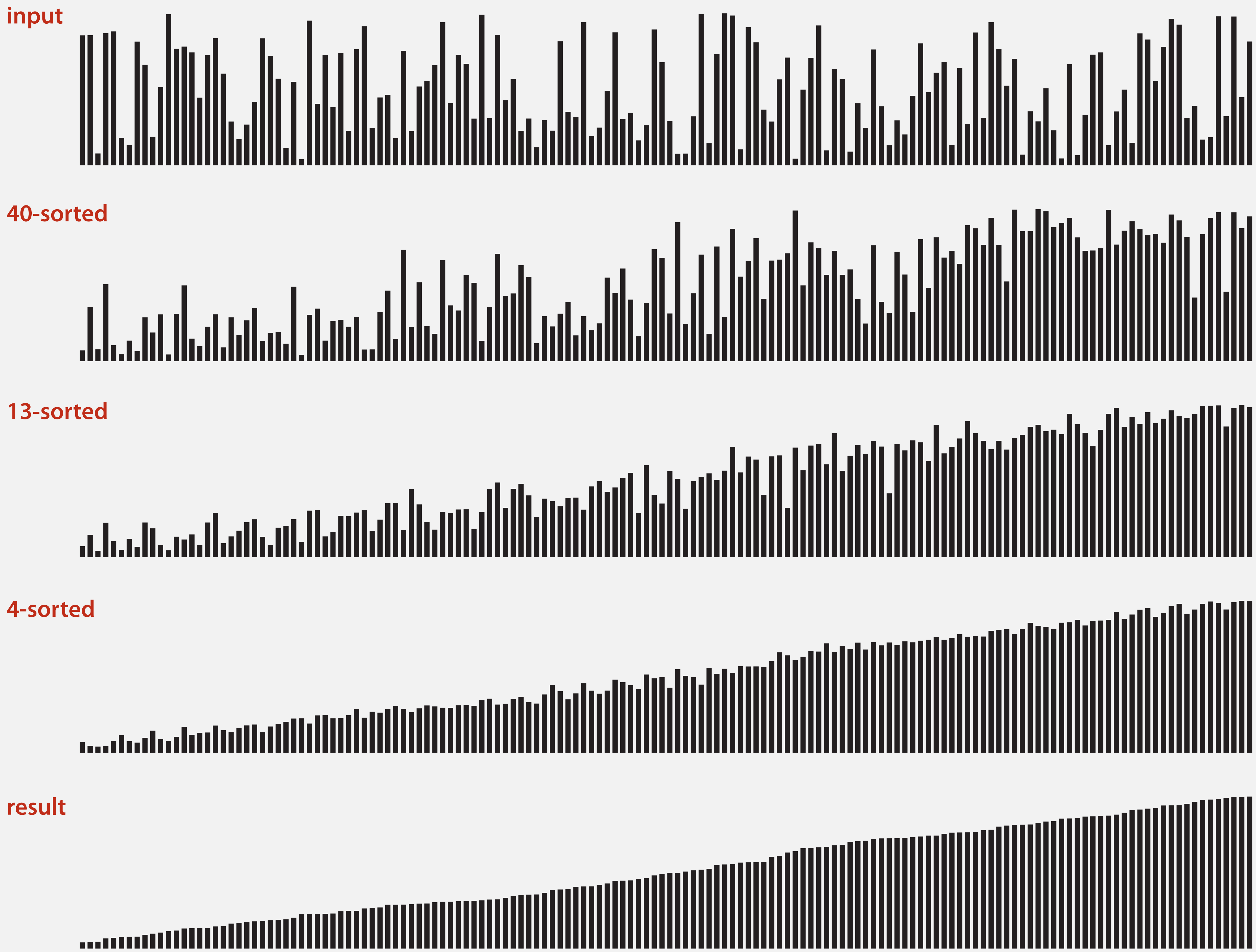
```
public class Shell
{
   public static void sort(Comparable[] a)
   {
      int N = a.length;

      int h = 1;
      while (h < N/3) h = 3*h + 1; // 1, 4, 13, 40, 121, 364, ...

      while (h >= 1)
      {  // h-sort the array.
         for (int i = h; i < N; i++)
         {
            for (int j = i; j >= h && less(a[j], a[j-h]); j -= h)
               exch(a, j, j-h);
         }

         h = h/3;
      }
   }

   private static boolean less(Comparable v, Comparable w)
   { /* as before */ }
   private static void exch(Comparable[] a, int i, int j)
   { /* as before */ }
}
```

3x+1 increment sequence

insertion sort

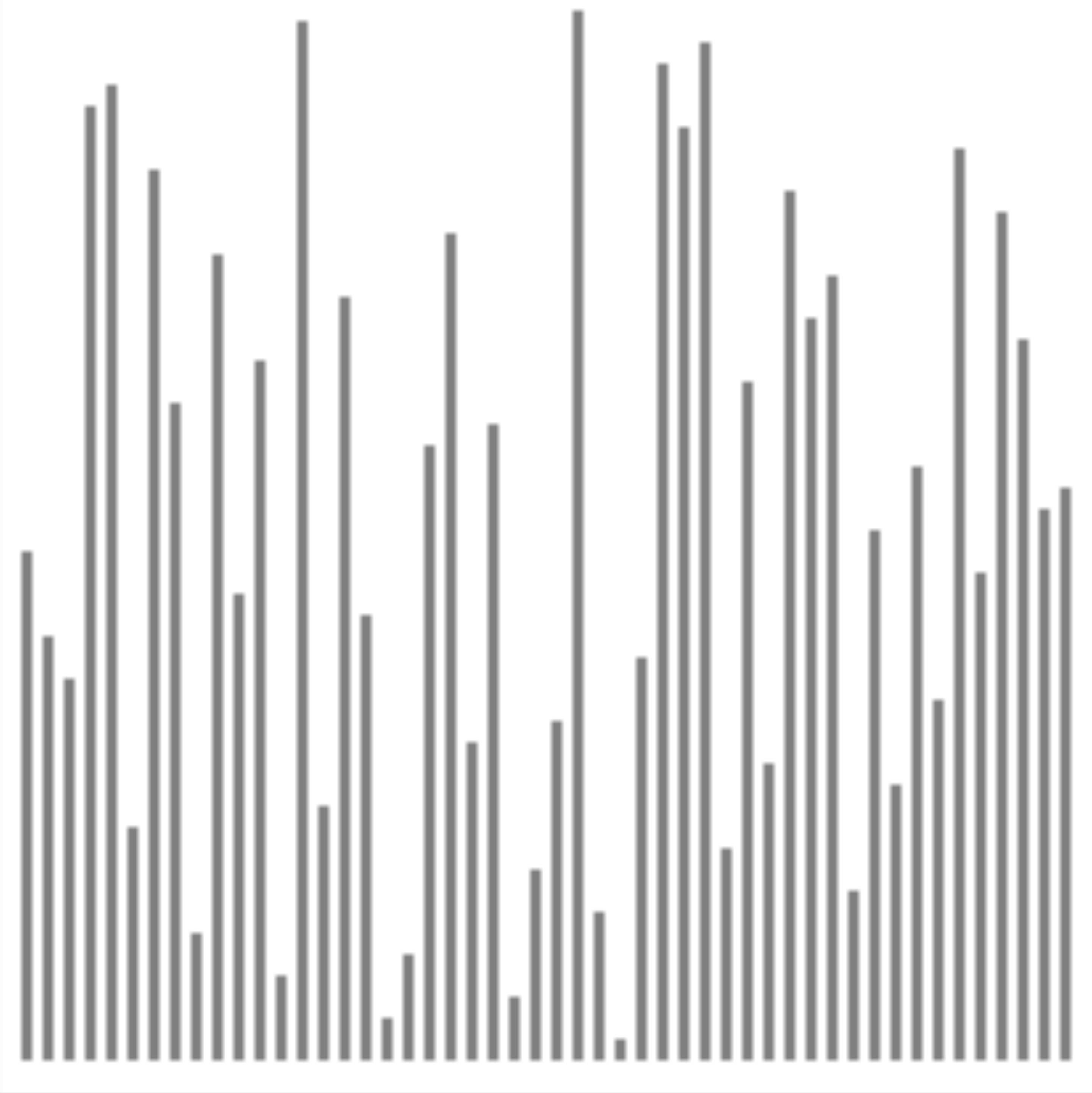
move to next increment

Shellsort: visual trace



Shellsort: animation

50 random items



http://www.sorting-algorithms.com/shell-sort

▲ algorithm position

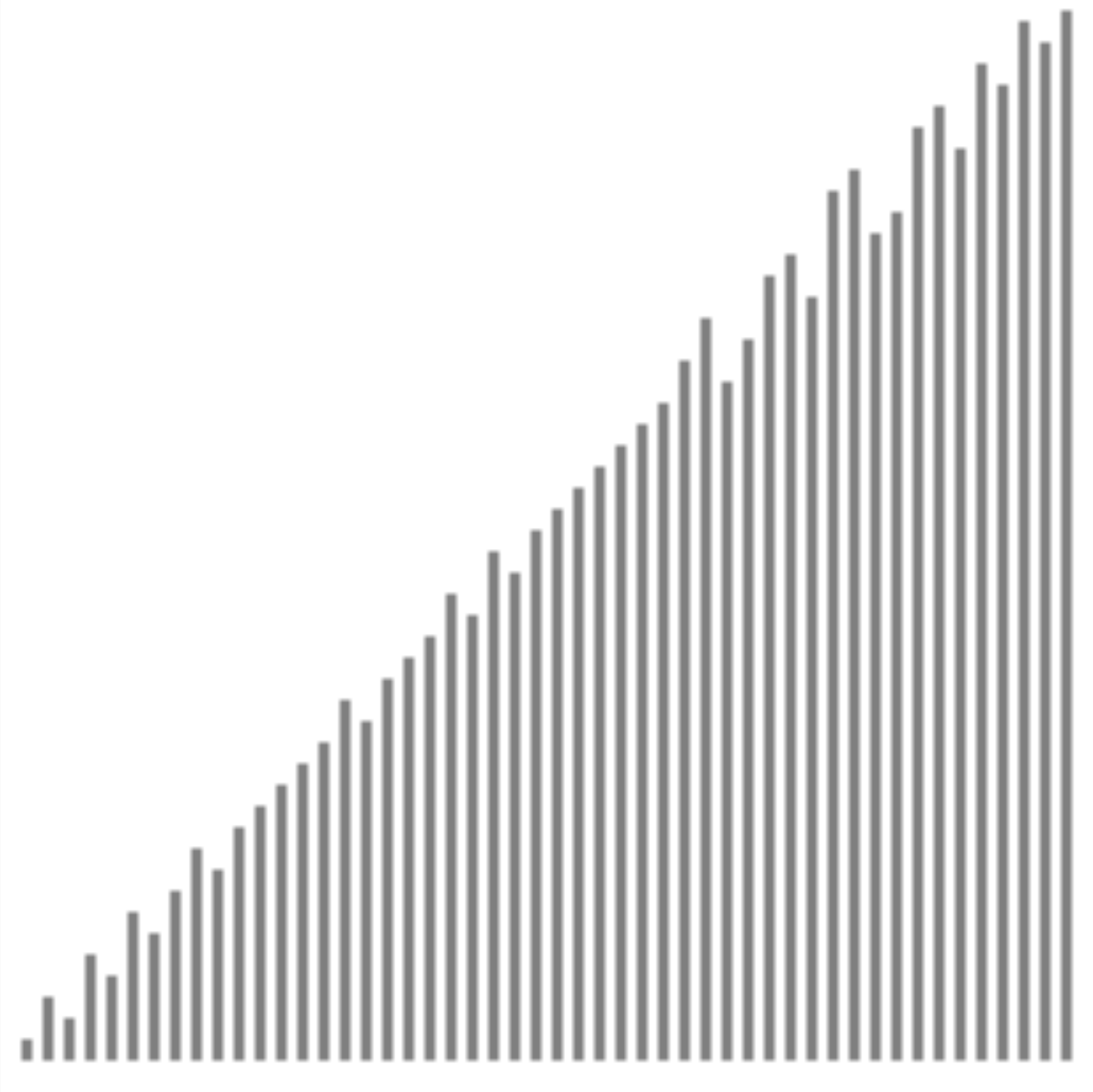
h-sorted

current subsequence

other elements

Shellsort: animation

50 partially-sorted items



http://www.sorting-algorithms.com/shell-sort

▲ algorithm position

h-sorted

current subsequence

other elements

Shellsort: which increment sequence to use?

期中會考

Powers of two. 1, 2, 4, 8, 16, 32, ...

No.

Powers of two minus one. 1, 3, 7, 15, 31, 63, ...

Maybe.

→ 3x + 1. 1, 4, 13, 40, 121, 364, ...

OK. Easy to compute.

Shellsort: intuition

Proposition. An h-sorted array remains h-sorted after g-sorting it.

7-sort

S	O	R	T	E	X	A	M	P	L	E
M	O	R	T	E	X	A	S	P	L	E
M	O	R	T	E	X	A	S	P	L	E
M	O	L	T	E	X	A	S	P	R	E
M	O	L	E	E	X	A	S	P	R	T

3-sort

M	O	L	E	E	X	A	S	P	R	T
E	O	L	M	E	X	A	S	P	R	T
E	E	L	M	O	X	A	S	P	R	T
E	E	L	M	O	X	A	S	P	R	T
A	E	L	E	O	X	M	S	P	R	T
A	E	L	E	O	X	M	S	P	R	T
A	E	L	E	O	P	M	S	X	R	T
A	E	L	E	O	P	M	S	X	R	T
A	E	L	E	O	P	M	S	X	R	T
A	E	L	E	O	P	M	S	X	R	T

still 7-sorted

Challenge. Prove this fact—it's more subtle than you'd think!

Shellsort: analysis

Proposition. The order of growth of the worst-case number of compares used by shellsort with the 3x+1 increments is $N^{3/2}$.

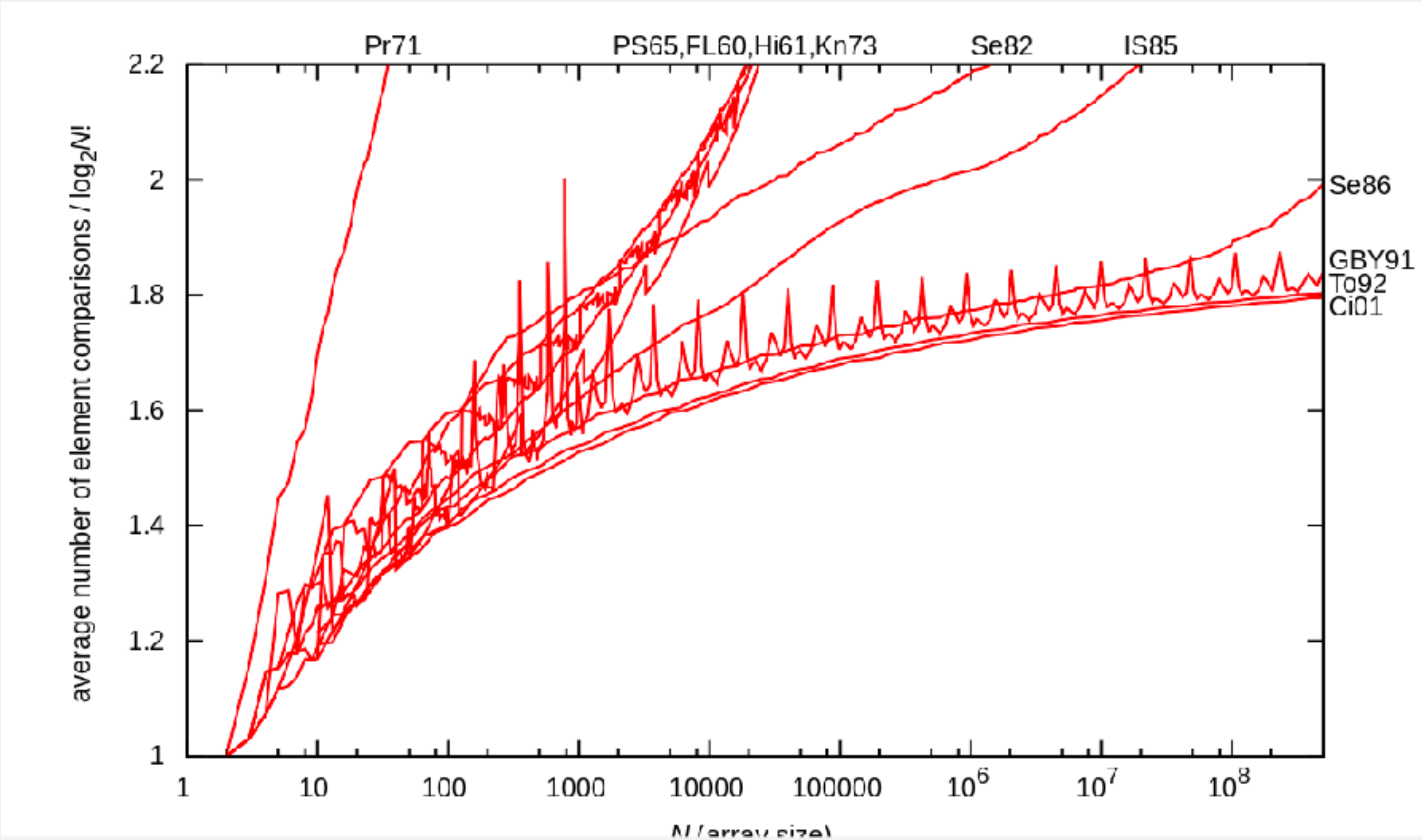
Property. The expected number of compares to shellsort a randomly-ordered array using 3x+1 increments is....

N	compares	2.5 N ln N	0.25 N ln ^{2} N	N $^{1.5}$
5,000	93K	106K	91K	64K
10,000	209K	230K	213K	158K
20,000	467K	495K	490K	390K
40,000	1022K	1059K	1122K	960K
80,000	2266K	2258K	2549K	2366K

Remark. Accurate model has not yet been discovered (!)

About this research

General term ($k \geq 1$)	Concrete gaps	Worst-case time complexity	Author and year of publication
$\left\lfloor \frac{N}{2^k} \right\rfloor$	$\left\lfloor \frac{N}{2} \right\rfloor, \left\lfloor \frac{N}{4} \right\rfloor, \ldots, 1$	$\Theta(N^2)$ [e.g. when $N = 2^p$]	Shell, 1959[4]
$2 \left\lfloor \frac{N}{2^{k+1}} \right\rfloor + 1$	$2 \left\lfloor \frac{N}{4} \right\rfloor + 1, \ldots, 3, 1$	$\Theta\left(N^{3/2}\right)$	Frank & Lazarus, 1960[8]
$2^k - 1$	$1, 3, 7, 15, 31, 63, \ldots$	$\Theta\left(N^{3/2}\right)$	Hibbard, 1963[9]
$2^k + 1$, prefixed with 1	$1, 3, 5, 9, 17, 33, 65, \ldots$	$\Theta\left(N^{3/2}\right)$	Papernov & Stasevich, 1965[10]
Successive numbers of the form $2^p 3^q$	$1, 2, 3, 4, 6, 8, 9, 12, \ldots$	$\Theta\left(N \log^2 N\right)$	Pratt, 1971[1]
$\frac{3^k - 1}{2}$, not greater than $\left\lceil \frac{N}{3} \right\rceil$	$1, 4, 13, 40, 121, \ldots$	$\Theta\left(N^{3/2}\right)$	Pratt, 1971[1]
$\prod_I a_q$, where $a_q = \min\left\{n \in \mathbb{N} : n \geq \left(\frac{5}{2}\right)^{q+1}, \forall p : 0 \leq p < q \Rightarrow \gcd(a_p, n) = 1\right\}$ $I = \left\{0 \leq q < r \mid q \neq \frac{1}{2}\left(r^2 + r\right) - k\right\}$ $r = \left\lfloor \sqrt{2k + \sqrt{2k}} \right\rfloor$	$1, 3, 7, 21, 48, 112, \ldots$	$O\left(N^{1+\sqrt{\frac{8 \ln(5/2)}{\ln(N)}}}\right)$	Incerpi & Sedgewick, 1985,[11] Knuth[3]
$4^k + 3 \cdot 2^{k-1} + 1$, prefixed with 1	$1, 8, 23, 77, 281, \ldots$	$O\left(N^{4/3}\right)$	Sedgewick, 1986[6]
$9\left(4^{k-1} - 2^{k/2}\right) + 1, 4^{k+1} - 6 \cdot 2^{(k+1)/2} + 1$	$1, 5, 19, 41, 109, \ldots$	$O\left(N^{4/3}\right)$	Sedgewick, 1986[12]
$h_k = \max\left\{\left\lfloor \frac{5h_{k-1}}{11} \right\rfloor, 1\right\}, h_0 = N$	$\left\lfloor \frac{5N}{11} \right\rfloor, \left\lfloor \frac{5}{11} \left\lfloor \frac{5N}{11} \right\rfloor \right\rfloor, \ldots, 1$	Unknown	Gonnet & Baeza-Yates, 1991[13]
$\left\lceil \frac{9^k - 4^k}{5 \cdot 4^{k-1}} \right\rceil$	$1, 4, 9, 20, 46, 103, \ldots$	Unknown	Tokuda, 1992[14]
Unknown (experimentally derived)	$1, 4, 10, 23, 57, 132, 301, 701$	Unknown	Ciura, 2001[15]


Pr71
PS65,FL60,Hi61,Kn73
Se82
IS85
Se86
GBY91
To92
Ci01
average number of element comparisons / $\log_2 N!$
2.2
2
1.8
1.6
1.4
1.2
1
1
10
100
1000
10000
100000
10^6
10^7
10^8

Why are we interested in shellsort?

Example of simple idea leading to substantial performance gains.

R, bzip2, /linux/kernel/groups.c

Useful in practice.

- Fast unless array size is huge (used for small subarrays).
- Tiny, fixed footprint for code (used in some embedded systems).
- Hardware sort prototype.

uClibc

Simple algorithm, nontrivial performance, interesting questions.

- Asymptotic growth rate?
- Best sequence of increments? ← open problem: find a better increment sequence
- Average-case performance?

Lesson. Some good algorithms are still waiting discovery.

Elementary sorts summary

Today. Elementary sorting algorithms.

algorithm	best	average	worst
selection sort	N^2	N^2	N^2
insertion sort	N	N^2	N^2
Shellsort (3x+1)	$N \log N$	?	$N^{3/2}$
goal	N	$N \log N$	$N \log N$

order of growth of running time to sort an array of N items


Gamer.
Programmer.

Elementary Sorts

- selection sort
- insertion sort
- shellsort
- shuffling

Online Gambling System ?

War story (Microsoft)

Microsoft antitrust probe by EU. Microsoft agreed to provide a randomized ballot screen for users to select browser in Windows 7.

http://www.browserchoice.eu

appeared last
50% of the time

http://techcrunch.com/2010/02/22/microsoft-ballot-screen/

War story (Microsoft)

Microsoft antitrust probe by EU. Microsoft agreed to provide a randomized ballot screen for users to select browser in Windows 7.

Solution? Implement shuffle sort by making comparator always return a random answer.

Microsoft's implementation in Javascript

```
public int compareTo(Browser that)
{
   double r = Math.random();
   if (r < 0.5) return -1;
   if (r > 0.5) return +1;
   return 0;
}
```

browser comparator
(should implement a total order)

Knuth shuffle

- In iteration `i`, pick integer `r` between `0` and `i` uniformly at random.
- Swap `a[i]` and `a[r]`.

common bug: between 0 and N – 1
correct variant: between i and N – 1

不必要再sorting
一次

```
public class StdRandom
{
   ...
   public static void shuffle(Object[] a)
   {
      int N = a.length;
      for (int i = 0; i < N; i++)
      {
         int r = StdRandom.uniform(i + 1);
         exch(a, i, r);
      }
   }
}
```

between 0 and i

Broken Knuth shuffle

Q. What happens if integer is chosen between `0` and `N-1` ?

A. Not uniformly random!

instead of 0 and i

permutation	Knuth shuffle	broken shuffle
A B C	1/6	4/27
A C B	1/6	5/27
B A C	1/6	5/27
B C A	1/6	5/27
C A B	1/6	4/27
C B A	1/6	4/27

probability of each result when shuffling { A, B, C }