

Lecture 3:

Sorting Algorithms

Sorting Problem

- ◆ Sorting problem
 - ◆ Input: an array $A[1..n]$ with n integers
 - ◆ Output: a sorted array A (in ascending order)
- ◆ Problem is: $\text{sort } A[1..n]$
- ◆ Input: $| 8 | 6 | 1 | 3 | 7 | 2 | 5 | 4 |$
- ◆ Output: $| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |$

Our Roadmap

- ◆ Comparison-based Sorting
 - ◆ Quadratic Cost
 - ◆ Selection Sort, Insertion Sort, Bubble Sort
 - ◆ $O(n \log n)$ Cost
 - ◆ Merge Sort, Heap Sort (we will skip here)
 - ◆ Quick Sort
- ◆ Other sorting algorithms
 - ◆ Counting sort, radix sort, bucket sort

Selection Sort

Selection Sort

每次找剩下最小的
与最右边交换位置

◆ Idea of a selection sort method

- ◆ Start with empty hand, all cards on table
- ◆ Pick the smallest card from table
- ◆ Insert the card into the hand

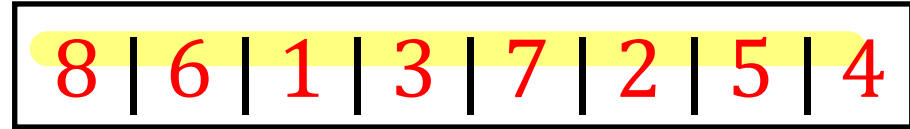
复杂度: $O(n^2)$



	8
	5
	2
	6
	9
	3
	1
	4
	0
	7

Selection Sort Algorithm

◆ SelectionSort



- ◆ Input: an **array** A of n numbers
- ◆ Output : an **array** A of n numbers in the ascending order
- ◆ Selection-Sort ($A[1..n]$)

1. for integer $i \leftarrow 1$ to $n-1$

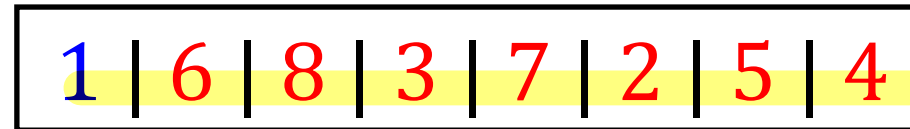
2. $k \leftarrow i$

3. for integer $j \leftarrow i+1$ to n

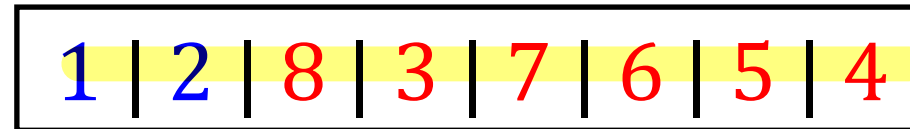
4. if $A[k] > A[j]$ then

5. $k \leftarrow j$

6. swap $A[i]$ and $A[k]$



↑ sorted ↑ unsorted



↑ sorted ↑ unsorted

Selection Sort Time Complexity

◆ Selection Sort

- ◆ Input: an **array** A of n numbers
- ◆ Output : an **array** A of n numbers in the ascending order
- ◆ Selection-Sort ($A[1..n]$)

1. for integer $i \leftarrow 1$ to $n-1$

Cost: $O(n)$

2. $k \leftarrow i$

Cost: $O(n)$

3. for integer $j \leftarrow i+1$ to n

Cost: $n-1+n-2+\dots+1=O(n^2)$

4. if $A[k] > A[j]$ then

Cost: $O(n^2)$

5. $k \leftarrow j$

Cost: $O(n^2)$

6. swap $A[i]$ and $A[k]$

Cost: $O(n)$

◆ Selection sort total cost:

◆ $O(n)+O(n)+O(n^2)+O(n^2)+O(n^2)+O(n)=O(n^2)$

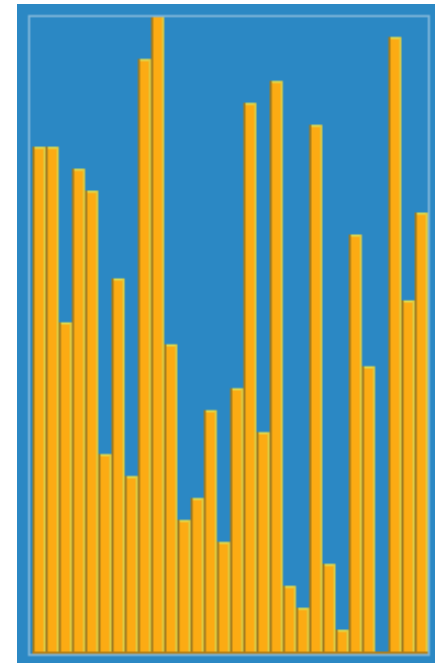
Insertion Sort

Insertion Sort

插入排序
(选一个数插入一个数)
复杂度 $O(n^2)$

- ◆ Idea of a insertion sort method
 - ◆ One input each iteration, growing a sorted output list
 - ◆ Remove one element from input data
 - ◆ Find the location it belongs within the sorted list
 - ◆ Repeat until no input elements remain

6 5 3 1 8 7 2 4



Insertion Sort Algorithm

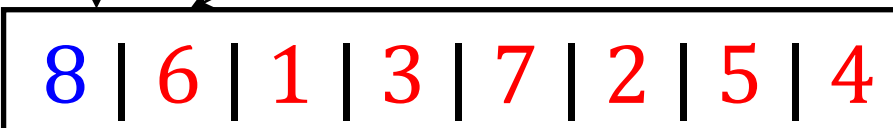
◆ InsertionSort

- ◆ Input: an **array** A of n numbers
- ◆ Output : an **array** A of n numbers in the ascending order
- ◆ Insertion-Sort ($A[1..n]$)
 1. for integer $i \leftarrow 1$ to n
 2. for integer $j \leftarrow i$ to 1 with $j > 1$
 3. if $A[j-1] > A[j]$ then
 4. swap $A[j-1]$ and $A[j]$
 5. else break



sorted unsorted

↓ ↙



sorted unsorted

↑ ↑

↘ ↘



Insertion Sort Time Complexity

◆ Insertion Sort

- ◆ Input: an **array** A of n numbers
- ◆ Output : an **array** A of n numbers in the ascending order

◆ Insertion-Sort ($A[1..n]$)

1. for integer $i \leftarrow 1$ to n Cost: $O(n)$
2. for integer $j \leftarrow i$ to 1 with $j > 1$ Cost: $1 + \dots + n - 1 = O(n^2)$
3. if $A[j-1] > A[j]$ then Cost: $O(n^2)$
4. swap $A[j-1]$ and $A[j]$ Cost: $O(n^2)$
5. else break

◆ Insertion sort total cost:

◆ $O(n) + O(n^2) + O(n^2) + O(n^2) = O(n^2)$

Bubble Sort

Bubble Sort

冒泡排序:
复杂度 $O(n^2)$

- ◆ Idea of a bubble sort method
 - ◆ For each pass
 - ◆ Compare the pair of adjacent item
 - ◆ Swap them if they are in the wrong order
 - ◆ Repeat the pass through until no swaps are needed

6 5 3 1 8 7 2 4

Bubble Sort Algorithm

◆ BubbleSort (optimized version)

- ◆ Input: an **array** A of n numbers
- ◆ Output : an **array** A of n numbers in the ascending order
- ◆ Bubble-Sort ($A[1..n]$)
 1. for integer $i \leftarrow 1$ to $n-1$
 2. for integer $j \leftarrow 2$ to n
 3. if $A[j-1] > A[j]$ then
 4. swap $A[j-1]$ and $A[j]$

8	6	1	3	7	2	5	4
---	---	---	---	---	---	---	---

1	3	6	2	5	4	7	8
---	---	---	---	---	---	---	---

unsorted sorted

6	1	3	7	2	5	4	8
---	---	---	---	---	---	---	---

unsorted sorted

1	3	2	5	4	6	7	8
---	---	---	---	---	---	---	---

Bubble Sort Time Complexity

◆ Bubble Sort

- ◆ Input: an **array** A of n numbers
- ◆ Output : an **array** A of n numbers in the ascending order

◆ Bubble-Sort ($A[1..n]$)

1. for integer $i \leftarrow 1$ to $n-1$ Cost: $n-1=O(n)$
2. for integer $j \leftarrow 2$ to n Cost: $n-1+\dots+n-1=O(n^2)$
3. if $A[j-1] > A[j]$ then Cost: $O(n^2)$
4. swap $A[j-1]$ and $A[j]$ Cost: $O(n^2)$

◆ Bubble sort total cost:

◆ $O(n)+O(n^2) +O(n^2) +O(n^2) =O(n^2)$

Pop Quiz

- ◆ We say a sorting algorithm is “stable” if it does not change the relative order of elements with equal keys, which of the following is/are stable ()
A: Selection sort B: Insertion Sort C: Bubble Sort
- ◆ Watch a video:
 - ◆ 1) Which sorting algorithm is used in that video?
 - ◆ 2) TB is No. x, so $x = ?$

Merge Sort

(Divide-and-Conquer)

Divide and Conquer

如果把两个非常
好的数组，合并
为一个数组。

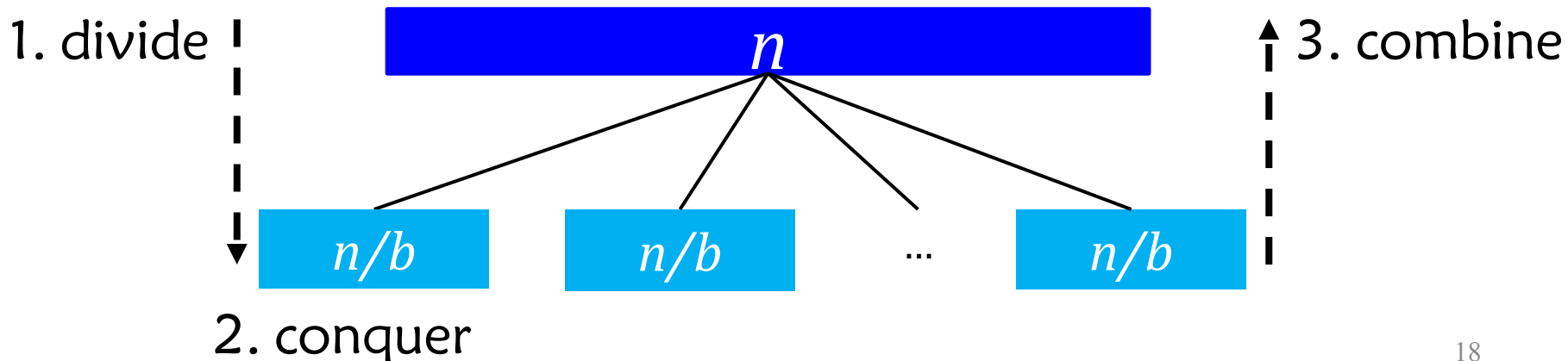
◆ Divide and Conquer: an algorithmic technique

◆ **Divide:** divide the problem into smaller subproblems

复杂度 $O(n)$ 。

◆ **Conquer:** solve each subproblem recursively

◆ **Combine:** combine the solution of subproblems into the solution of the original problem



Example: Merge Sort

- ◆ Sorting problem
 - ◆ Input: an array $A[1..n]$ with n integers
 - ◆ Output: a sorted array A (in ascending order)

- ◆ Original problem is: sort $A[1..n]$

| 8 | 6 | 1 | 3 | 7 | 2 | 5 | 4 |

- ◆ What is a subproblem?

- ◆ Sort a subarray $A[l..r]$

| 7 | 2 | 5 | 4 |

Merge Sort

◆ Merge Sort

- ◆ **Divide:** divide the array into two subarrays of $n/2$ numbers each
- ◆ **Conquer:** sort two subarrays recursively
- ◆ **Combine:** merge two sorted subarrays into a sorted array

Merge-Sort(A, n)

1. if $n > 1$

2. $p \leftarrow \lfloor n/2 \rfloor$

3. $B[1..p] \leftarrow A[1..p]$

4. $C[1..n-p] \leftarrow A[p+1..n]$

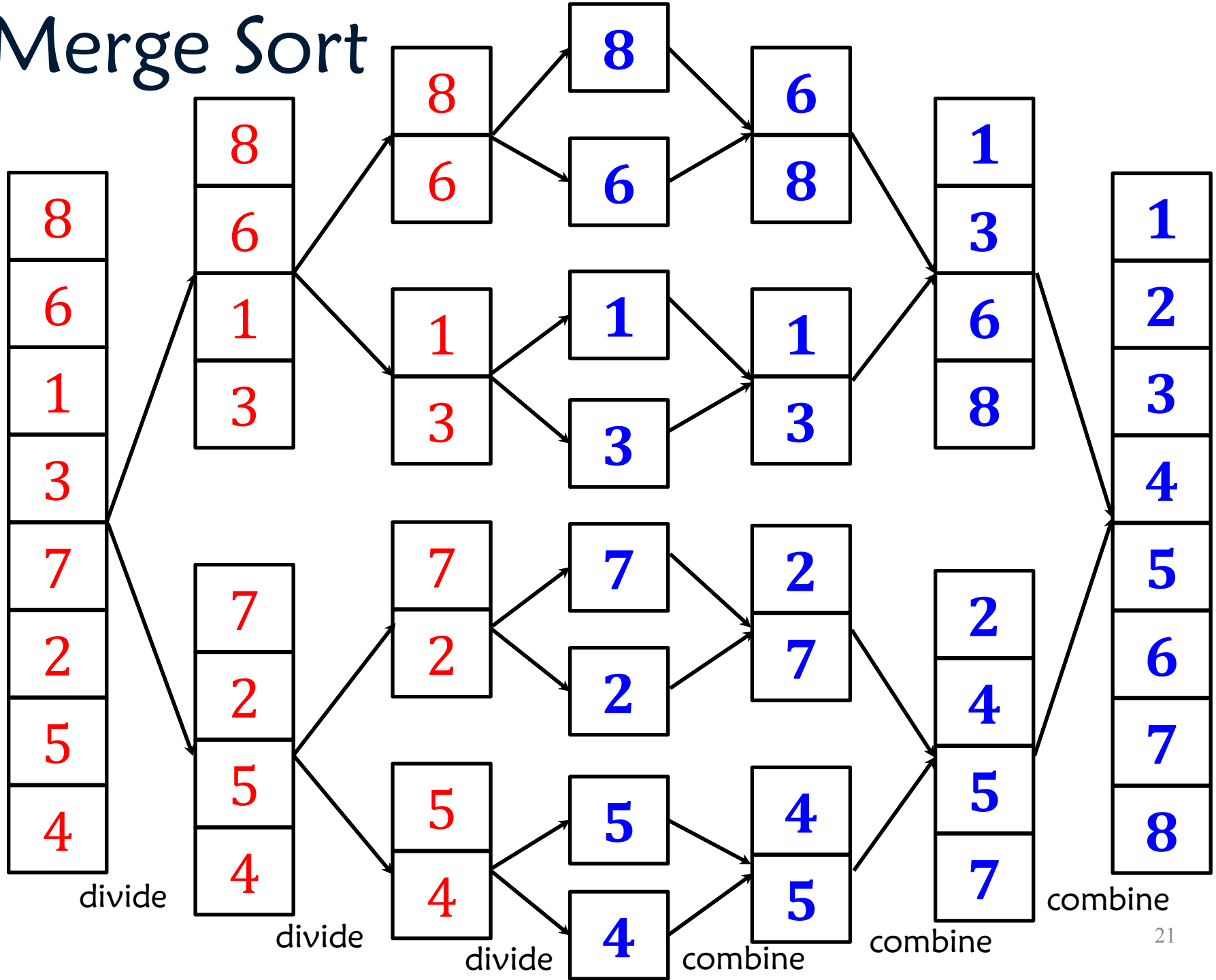
5. Merge-Sort(B, p)

6. Merge-Sort($C, n-p$)

7. $A[1..n] \leftarrow \text{Merge}(B, p, C, n-p)$

We'll discuss the Combine phase ("Merge" function) later

Merge Sort



Merge Sort: Combine Phase

Diagram illustrating the sets L_i , R_j , and A :

- L_i (Left): 1, 3, 6, 8
- R_j (Right): 2, 4, 5, 7
- A (Arbitrary): (Empty dashed box)

Sorted arrays

$$\text{Merge}(L, n_L \swarrow \searrow R, n_R)$$

1. $n \leftarrow n_L + n_R$
2. let $A[1..n]$ be a new array
3. $i \leftarrow 1; j \leftarrow 1$
4. for $k \leftarrow 1$ to n
5. if $i \leq n_L$ and ($j > n_R$ or $L[i] \leq R[j]$)
6. $A[k] \leftarrow L[i]; i \leftarrow i + 1$
7. else
8. $A[k] \leftarrow R[j]; j \leftarrow j + 1$
9. return A

Running time of Merge

Sorted arrays

Merge(L, n_L, R, n_R)

1. $n \leftarrow n_L + n_R$
2. let $A[1..n]$ be a new array
3. $i \leftarrow 1; j \leftarrow 1$
4. for $k \leftarrow 1$ to n
5. if $i \leq n_L$ and ($j > n_R$ or $L[i] \leq R[j]$)
6. $A[k] \leftarrow L[i]; i \leftarrow i + 1$
7. else
8. $A[k] \leftarrow R[j]; j \leftarrow j + 1$
9. return A

◆ Let $n = n_L + n_R$ be the total number of items

◆ Time of merge: $O(n)$ time

◆ Line 1: $O(1)$

◆ Line 2: $O(n)$

◆ Line 3: $O(1)$

◆ Lines 4-8: $O(n)$

Running time of Merge Sort

Merge-Sort(A, n)

1. if $n > 1$
2. $p \leftarrow \lfloor n/2 \rfloor$
3. $B[1..p] \leftarrow A[1..p]$
4. $C[1..n-p] \leftarrow A[p+1..n]$
5. Merge-Sort(B, p)
6. Merge-Sort($C, n-p$)
7. $A[1..n] \leftarrow \text{Merge}(B, p, C, n-p)$

$$T(n) = 2T\left(\frac{n}{2}\right) + O\left(\frac{n}{2}\right)$$

$$\therefore T(n) = 2\left(2T\left(\frac{n}{4}\right) + O\left(\frac{n}{4}\right)\right) + O(n)$$

$$T(1) = O(1)$$

◆ Let $T(n)$ be the running time of Merge Sort

- ◆ Lines 3, 4 take $O(n)$ time
- ◆ Line 5 takes $T(n/2)$ time
- ◆ Line 6 takes $T(n/2)$ time
- ◆ Line 7 takes $O(n)$ time

◆ Thus, we obtain the recurrence

$$T(n) = 2T(n/2) + O(n)$$

◆ Solving it, we get:

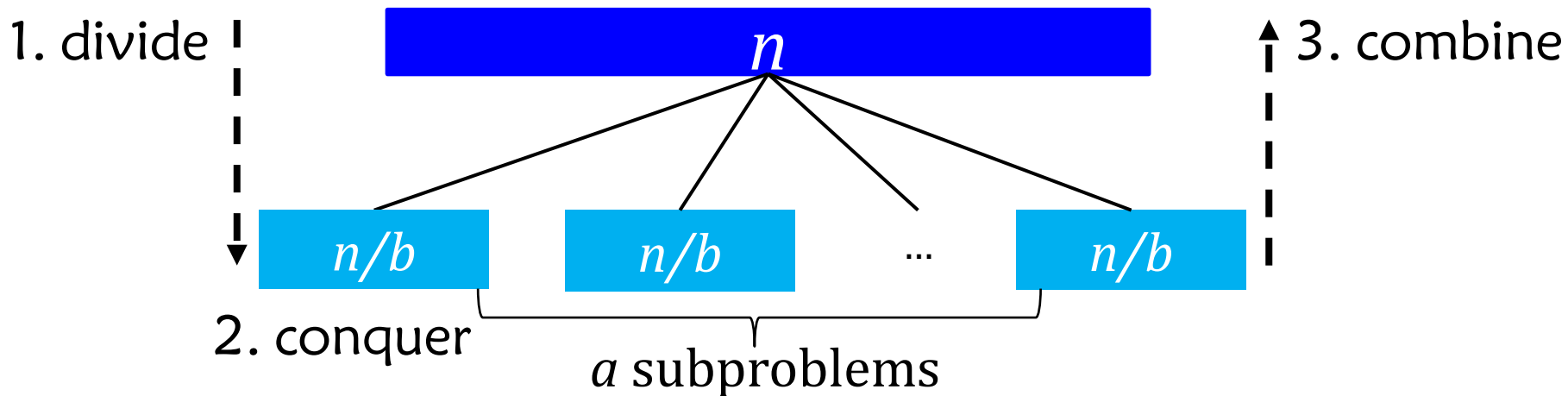
$$T(n) = O(n \log n)$$

divide and conquer

Time Complexity

- ◆ $T(n)$: time complexity of algorithm at input size n
 - ◆ Divide the problem into a subproblems
 - ◆ Size of each subproblem is n/b
 - ◆ Combine phase takes $f(n)$ time

Note: a and b can have different values



- ◆ Recurrence equation: $T(n) = a T(n/b) + f(n)$
- ◆ E.g., Merge Sort: $T(n) = 2 T(n/2) + O(n)$

Methods for Solving Recurrences

- ◆ Recurrence equation: $T(n) = a T(n/b) + f(n)$

- ◆ Two methods for solving recurrences

- ◆ Master theorem 主定理. $T(n) = aT(n/b) + f(n)$

- ◆ Substitution method

- ◆ Master theorem

$$T(n) = O(1)$$
$$T(n) = aT\left(\frac{n}{b}\right) + O(n^r)$$

- ◆ It could be proved by carefully applying the “expansion method”, the details are tedious and omitted from this course

- ◆ Substitution method (we skip it here)

- ◆ It is mathematical induction

Master Theorem

- ◆ Recurrence equation: $T(n) = a T(n/b) + f(n)$
- ◆ Let $T(n)$ be a function that return a positive value for every integer $n > 0$. We know that:

- ◆ $T(1) = O(1)$

- ◆ $T(n) = \alpha T\left(\left\lceil \frac{n}{\beta} \right\rceil\right) + O(n^\gamma)$ for $(n \geq 2)$

where $\alpha \geq 1$, $\beta > 1$, and $\gamma \geq 0$. Then:

- ◆ If $\log_\beta \alpha < \gamma$, then $T(n) = O(n^\gamma)$
- ◆ If $\log_\beta \alpha = \gamma$, then $T(n) = O(n^\gamma \log n)$
- ◆ If $\log_\beta \alpha > \gamma$, then $T(n) = O(n^{\log_\beta \alpha})$

merge sort

$$T(n) = 2T\left(\frac{n}{2}\right) + O(n)$$

$\log_2 2 = 1 \quad \gamma = 1$

$\therefore T(n) = O(n \log n)$

Binary sort

$$T(n) = T\left(\frac{n}{2}\right) + O(1)$$

Master Theorem

- ◆ Consider the recurrence of **binary search**:
 - ◆ $T(1) \leq c_1$
 - ◆ $T(n) \leq T(n/2) + c_2$ (for $n \geq 2$)
 - ◆ Hence, $\alpha = 1$, $\beta = 2$, and $\gamma = 0$. Since $\log_{\beta} \alpha = \log_2 1 = 0 = \gamma$, we know that $T(n) = O(n^0 \log n) = O(\log n)$.
- ◆ Consider the recurrence of **merge sort**:
 - ◆ $T(1) \leq c_1$
 - ◆ $T(n) = 2 T(n/2) + O(n) = 2 T(n/2) + c_2 n$ (for $n \geq 2$)
 - ◆ Hence, $\alpha = 2$, $\beta = 2$, and $\gamma = 1$. Since $\log_{\beta} \alpha = \log_2 2 = 1 = \gamma$, we know that $T(n) = O(n^1 \log n) = O(n \log n)$.

Quick Sort

RAM with Randomization

Deterministic & Randomized

- ◆ So far in CS203, all our algorithms are **deterministic**, namely, they do not involve any randomization.
- ◆ We will introduce **randomized algorithms**, e.g., quick sort in the sorting problem.
- ◆ Randomized algorithms play an important role in computer science, they often simpler, and sometimes can be provably faster as well.
- ◆ Recall the core of the RAM model is a set of atomic operations, we extend this set with:
 - ◆ **RANDOM(x, y)**: given integers x and y ($x \leq y$), this operation returns an integer chosen uniformly at random in $[x, y]$, i.e., $x, x+1, \dots, y$ has the same probability of being returned.

Randomized Algorithm Example

- Find-a-Zero: Given an array of integers with size n , among which there is at least 0. Design an algorithm to report an arbitrary position of A that contains a 0
- Suppose $A = (9, 18, 0, 0, 15, 0)$, an algorithm can report 3, 4 or 6, consider the following randomized algorithm
 - do
 - $r \leftarrow \text{RANDOM}(1, n)$
 - until $A[r] = 0$
 - return r
- What is the cost of the algorithm? It depends
 - If all numbers in A are 0, $O(1)$ time. If A has only one 0, $O(n)$ expected time.
 - As before, we care about the worst expected time: $O(n)$

将 $O(n)$ 的算法变成 $O(1)$

Quick Sort

选一个基准数。
小的放左边，大的放右边。

◆ Idea of a quick sort method

- ◆ **Randomly** pick an integer p in A , call it the **pivot**
- ◆ Re-arrange the integers in an array A' such that
 - ◆ All the integers **smaller** than p are positioned **before** p in A'
 - ◆ All the integers **larger** than p are positioned **after** p in A'
- ◆ Sort the part of A' before p recursively
- ◆ Sort the part of A' after p recursively

Quicksort

◆ Quick Sort

- ◆ Input: an **array** A of n numbers
- ◆ Output : an **array** A of n numbers in the ascending order
- ◆ Quicksort ($A[1..n]$, $lo=1$, $hi=n$)
 1. $p \leftarrow \text{partition}(A, lo, hi)$ 可能退化或 $O(n^2)$ (递归),
 2. Quicksort($A, lo, p-1$)
 3. Quicksort($A, p+1, hi$)

Quicksort

→ 范围在 $O(n)$ 到 $O(n^2)$ 之间
↓ 期望为 $O(n \log n)$ Quick sort 会随机选
pivot, 最多退化到 bubble
sort $\rightarrow O(n^2)$
 $O(n \log n)$

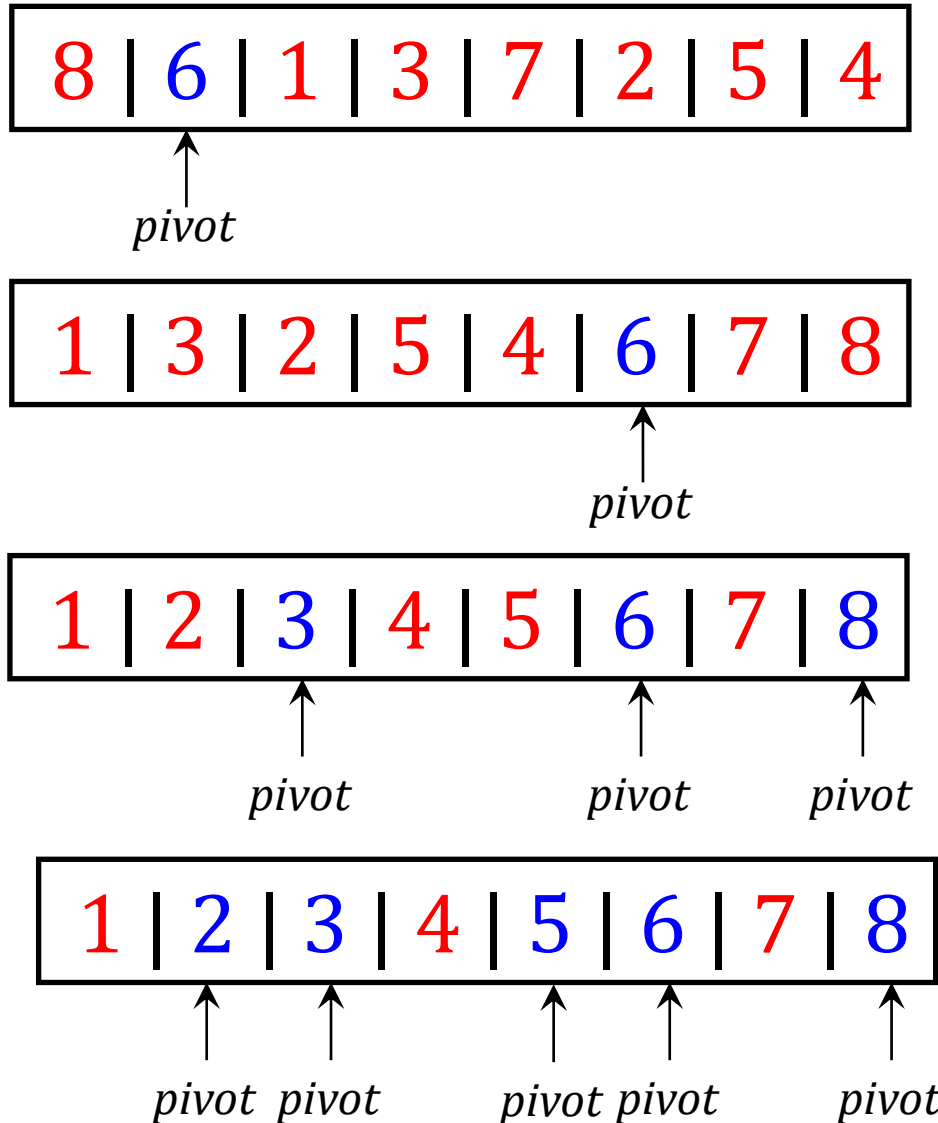
◆ Partition(A, lo, hi)

1. $p \leftarrow \text{RANDOM}(\text{lo}, \text{hi}); \text{pivot} \leftarrow A[p];$
2. $L \leftarrow \text{lo}, R \leftarrow \text{hi}$
3. for integer i from lo to hi
4. if($i \neq p$)
5. if($A[i] < \text{pivot}$) $A'[L++] \leftarrow A[i]$
6. else $A'[R--] \leftarrow A[i]$
7. $A'[L] \leftarrow \text{pivot}$
8. $A[\text{lo}, \text{hi}] \leftarrow A'$
9. return L ;

◆ Question:

- ◆ If we set $p \leftarrow \text{lo}$ or hi in Line 1, quick sort is still correct ?
- ◆ What are the difference between $p \leftarrow \text{lo/hi}$ and $p \leftarrow \text{RANDOM}(\text{lo}, \text{hi})$?

Quicksort Example



Quicksort Time Complexity

- ❖ Quicksort's running time is not attractive in the worst case: it is $O(n^2)$ (why?) However, quick sort is fast in expectation, i.e., $O(n \log n)$, remember this holds for every input array A.
- ❖ Whether quicksort has any advantage over merge sort? which guarantees $O(n \log n)$ in the worst case.
- ❖ No in theory, but there is an advantage in practice
- ❖ Quicksort permits a faster implementation that leads to a smaller hidden constant compared to merge sort.
(why?)

Quicksort Time Complexity

- ◆ Let X be the number of comparisons in quicksort algorithm. The running is bounded by $O(n+x)$.
- ◆ We prove that $E[X]=O(n \log n)$
- ◆ Denote e_i be the i -th smallest integer in A , consider e_i and e_j for any i, j such that $i \neq j$
- ◆ What is the probability that quicksort compares e_i and e_j ?
 - ◆ Every element will be selected as pivot precisely once
 - ◆ e_i and e_j are not compared, if any element between them gets selected as a pivot before them.
 - ◆ Therefore, e_i and e_j are compared if and only if either one is the first among e_i, e_{i+1}, \dots, e_j picked as a pivot
 - ◆ The probability is $2/(j-i+1)$ (random pivot selection)

Quicksort Time Complexity

- Define random variable X_{ij} to be 1, if e_i and e_j are compared. Otherwise, X_{ij} to be 0. Thus, we have
- $\Pr[X_{ij} = 1] = 2/(j-i+1)$, that is $E[X_{ij}] = 2/(j-i+1)$
- Since $X = \sum_{i,j} X_{ij}$, hence:
- $$E[X] = \sum_{i,j} E[X_{ij}] = \sum_{i,j} \frac{2}{j-i+1}$$
- $$= 2 \sum_{i=1}^{n-1} \sum_{j=i+1}^n \frac{1}{j-i+1}$$
- $$= 2 \sum_{i=1}^{n-1} O(\log(j-i+1)) \quad (1+1/2+\dots+1/n = O(\log n))$$
- $$= 2 \sum_{i=1}^{n-1} O(\log n)$$
- $$= O(n \log n)$$
- Harmonic series: $1+1/2+\dots+1/n$, which is frequently encountered in computer science.

Summary

Sort	Average	Space
Selection	$O(n^2)$	$O(1)$
Insertion	$O(n^2)$	$O(1)$
Bubble	$O(n^2)$	$O(1)$
Heap	$O(n \log n)$	$O(1)$
Merge	$O(n \log n)$	Depends
Quick	$O(n \log n)$	$O(1)$

- ❖ Comparison lower bound of sorting algorithm: $\Omega(n \log n)$
- ❖ We omit the proof here.

Other Sorting Methods

Other Sorting Algorithms

- ◆ Counting sort (Chapter 8.2)
 - ◆ it is applicable when each input is known to belong to a particular set, S , of possibilities. The algorithm runs in $O(|S| + n)$ time and $O(|S|)$ memory where n is the length of the input.
- ◆ Radix sort (Chapter 8.3)
 - ◆ radix sort is an algorithm that sorts numbers by processing individual digits. n numbers consisting of k digits each are sorted in $O(n \cdot k)$ time
- ◆ Bucket sort (Chapter 8.4)
 - ◆ Bucket sort is a divide and conquer sorting algorithm that generalizes counting sort by partitioning an array into a finite number of buckets.

Thank You!