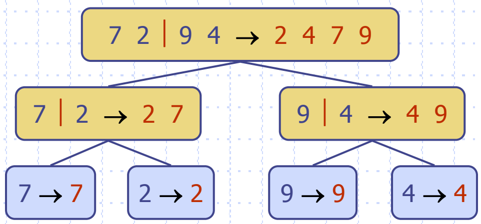
Lecture 9

Merge Sort & Quick Sort

Merge Sort



Outline and Reading

- Divide-and-conquer paradigm (§4.1.1)
- Merge-sort (§4.1.1)
  - Algorithm
  - Merging two sorted sequences
  - Merge-sort tree
  - Execution example
  - Analysis
- Generic merging and set operations (§4.2.1)
- Summary of sorting algorithms (§4.2.1)

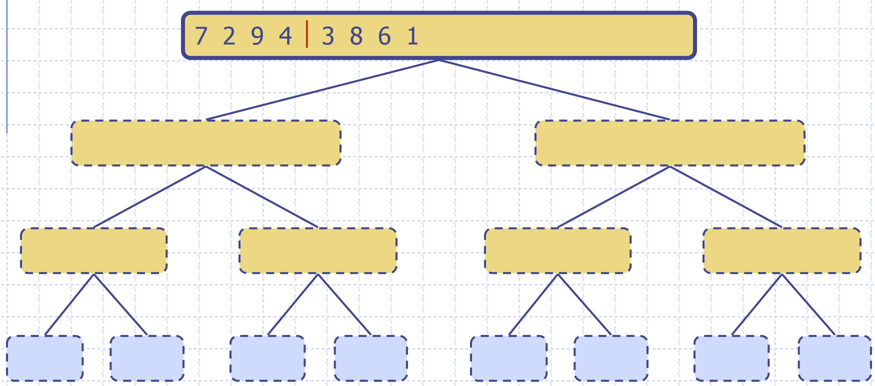
Divide-and-Conquer

- Divide-and conquer is a general algorithm design paradigm:
  - Divide: divide the input data S in two disjoint subsets S_1 and S_2
  - Recur: solve the subproblems associated with S_1 and S_2
  - Conquer: combine the solutions for S_1 and S_2 into a solution for S
- The base case for the recursion are subproblems of size 0 or 1

- Merge-sort is a sorting algorithm based on the divide-and-conquer paradigm
  - It uses a comparator
  - It has $O(n \log n)$ running time
  - It accesses data in a sequential manner (suitable to sort data on a disk)

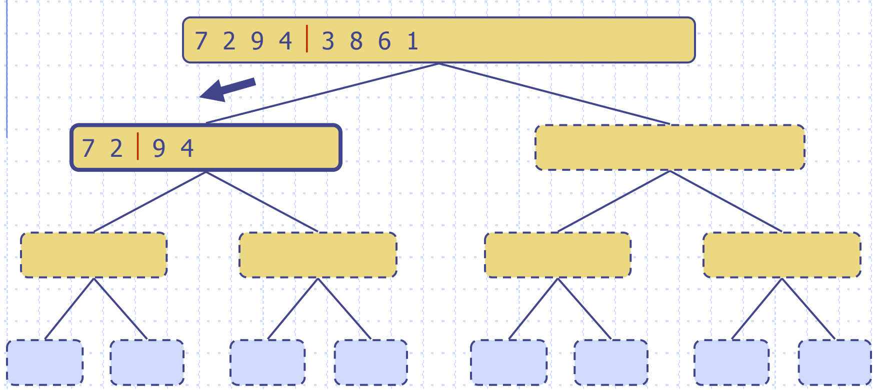
Execution Example

- Partition



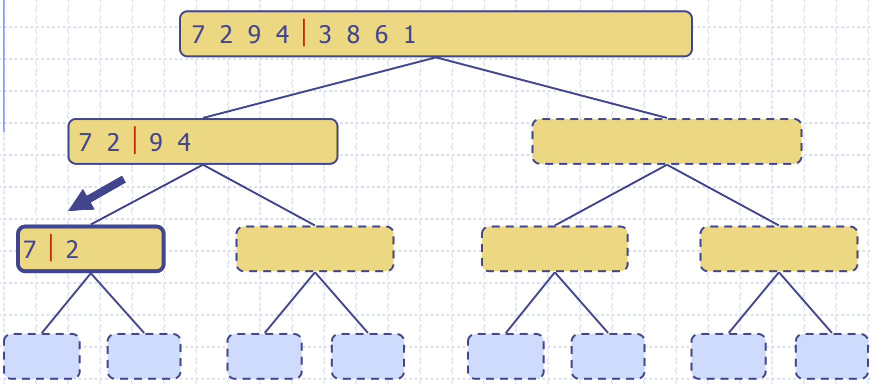
Execution Example (cont.)

- Recursive call, partition



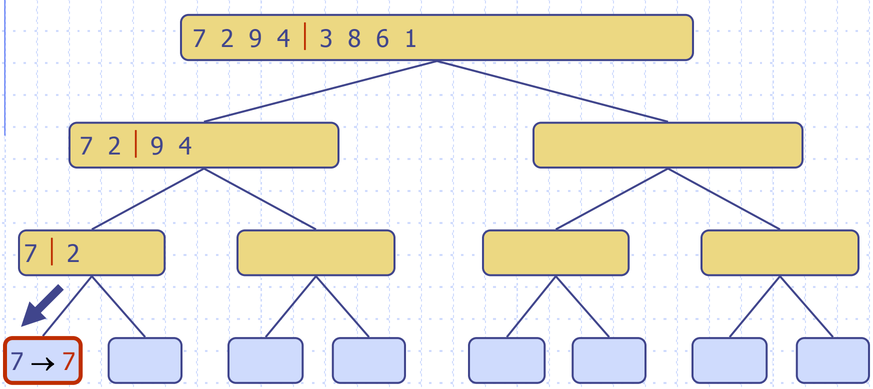
Execution Example (cont.)

- Recursive call, partition



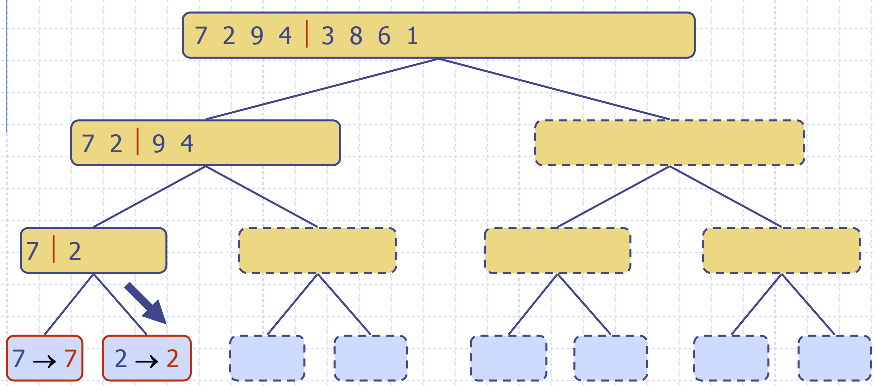
Execution Example (cont.)

- Recursive call, base case



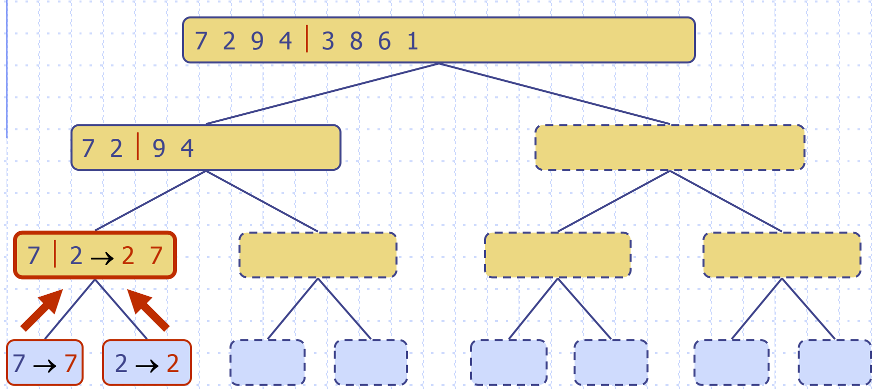
Execution Example (cont.)

- Recursive call, base case



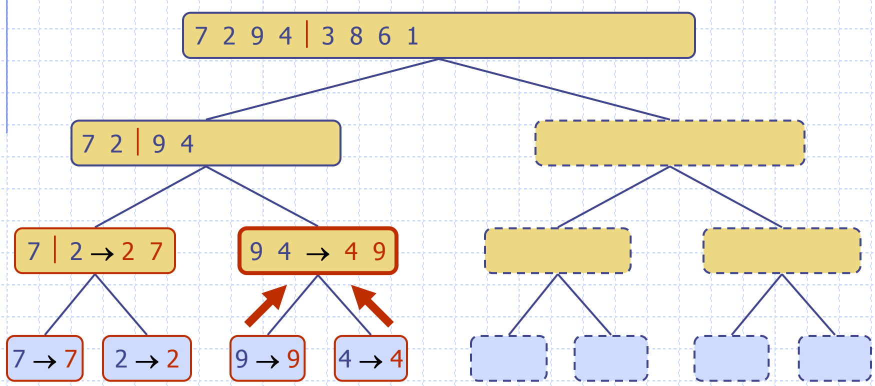
Execution Example (cont.)

- Merge



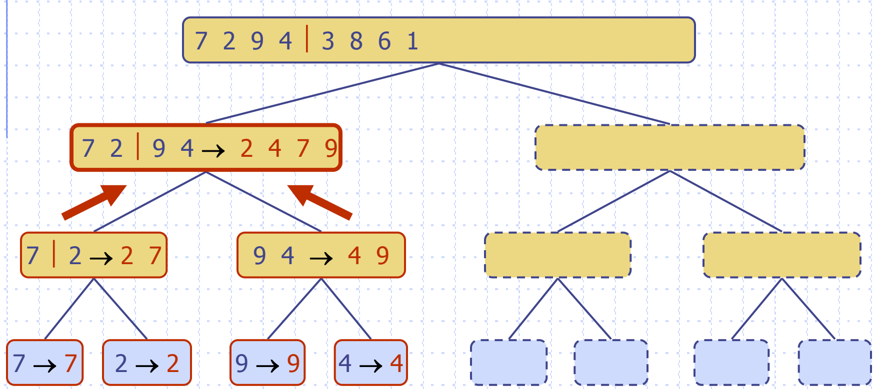
Execution Example (cont.)

- Recursive call, …, base case, merge



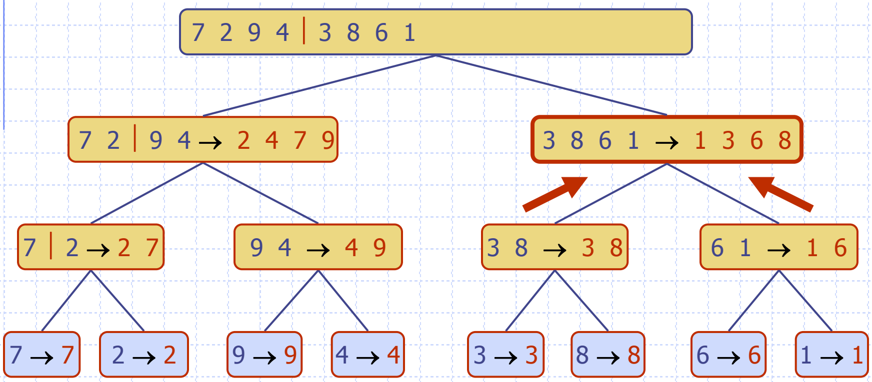
Execution Example (cont.)

- Merge



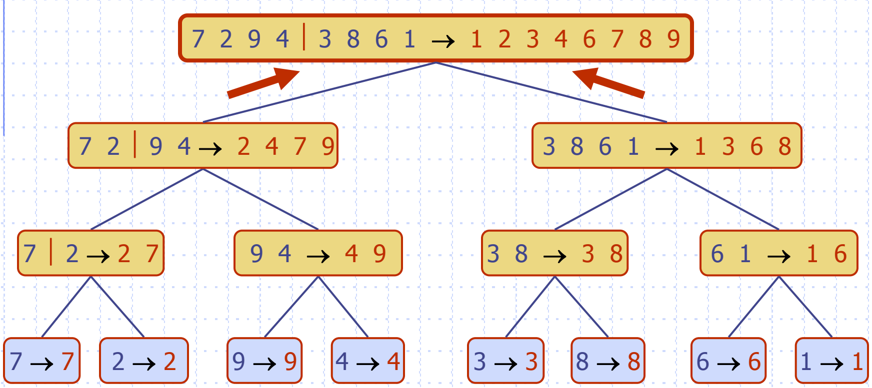
Execution Example (cont.)

- Recursive call, …, merge, merge



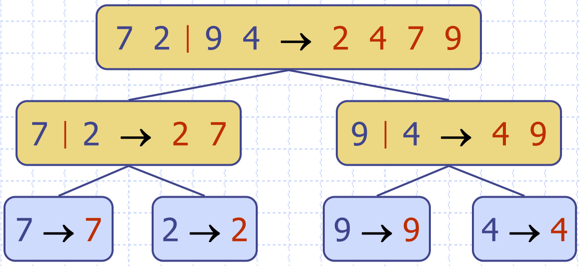
Execution Example (cont.)

- Merge



Merge-Sort Tree

- An execution of merge-sort is depicted by a two tree
  - each node represents a recursive call of merge-sort and stores
    - unsorted sequence before the execution and its partition
    - sorted sequence at the end of the execution
  - the root is the initial call
  - the leaves are calls on subsequences of size 0 or 1



Merge-Sort

- Merge-sort on an input sequence S with n elements consists of three steps:
  - Divide: partition S into two sequences S_1 and S_2 of about $n/2$ elements each
  - Recur: recursively sort S_1 and S_2
  - Conquer: merge S_1 and S_2 into a unique sorted sequence

Algorithm ***mergeSort*(*S*, *C*)**
    Input sequence S with n elements, comparator C
    Output sequence S sorted according to C
    if $S.size() > 1$
        $(S_1, S_2) \leftarrow$ ***partition***$(S, n/2)$
        mergeSort(S_1, C)
        mergeSort(S_2, C)
        $S \leftarrow$ ***merge***(S_1, S_2)

Merging Two Sorted Sequences

- The conquer step of merge-sort consists of merging two sorted sequences A and B into a sorted sequence S containing the union of the elements of A and B
- Merging two sorted sequences, each with $n/2$ elements and implemented by means of a doubly linked list, takes $O(n)$ time

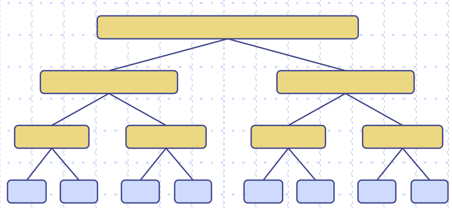
```
Algorithm merge(A, B)
    Input sequences A and B with
        n/2 elements each
    Output sorted sequence of A ∪ B

    S ← empty sequence
    while ¬A.isEmpty() ∧ ¬B.isEmpty()
        if A.first().element() < B.first().element()
            S.insertLast(A.remove(A.first()))
        else
            S.insertLast(B.remove(B.first()))
    while ¬A.isEmpty()
        S.insertLast(A.remove(A.first()))
    while ¬B.isEmpty()
        S.insertLast(B.remove(B.first()))
    return S
```

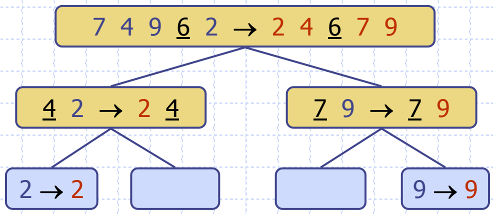

Analysis of Merge-Sort

- The height h of the merge-sort tree is $O(\log n)$
  - at each recursive call we divide in half the sequence,
- The overall amount or work done at the nodes of depth i is $O(n)$
  - we partition and merge 2^i sequences of size $n/2^i$
  - we make 2^{i+1} recursive calls
- Thus, the total running time of merge-sort is $O(n \log n)$

depth	#seqs	size
0	1	n
1	2	$n/2$
i	2^i	$n/2^i$
…	…	…



Quick-Sort

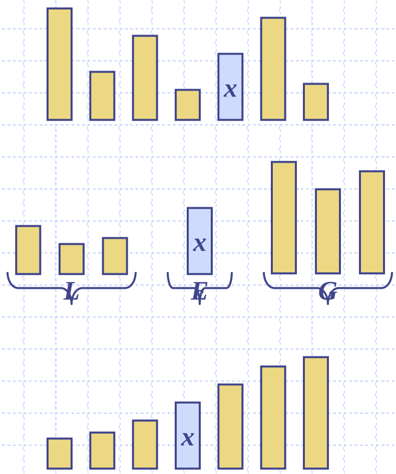


Outline and Reading

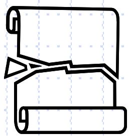
- Quick-sort (§4.3)
  - Algorithm
  - Partition step
  - Quick-sort tree
  - Execution example
- Analysis of quick-sort (4.3.1)
- In-place quick-sort (§4.8)
- Summary of sorting algorithms

Quick-Sort

- Quick-sort is a randomized (provides better performance) sorting algorithm based on the divide-and-conquer paradigm:
  - Divide: pick a random element x (called pivot) and partition S into
    - L elements less than x
    - E elements equal x
    - G elements greater than x
  - Recur: sort L and G
  - Conquer: join L, E and G



Partition

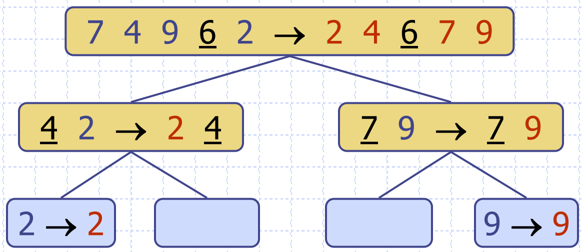


- We partition an input sequence as follows:
  - We remove, in turn, each element y from S and
  - We insert y into L, E or G, depending on the result of the comparison with the pivot x
- Each insertion and removal is at the beginning or at the end of a sequence, and hence takes $O(1)$ time. Comparison takes $O(1)$ time
- There are n-1 insertions and n-1 comparisons, thus the partition step of quick-sort takes $O(n)$ time

Algorithm *partition*(S, p)
  Input sequence S, position p of pivot
  Output subsequences L, E, G of the elements of S less than, equal to, or greater than the pivot, resp.
  $L, E, G \leftarrow$ empty sequences
  $x \leftarrow S.remove(p)$
  while $\neg S.isEmpty()$
    $y \leftarrow S.remove(S.first())$
    if $y < x$
      $L.insertLast(y)$
    else if $y = x$
      $E.insertLast(y)$
    else { $y > x$ }
      $G.insertLast(y)$
  return L, E, G

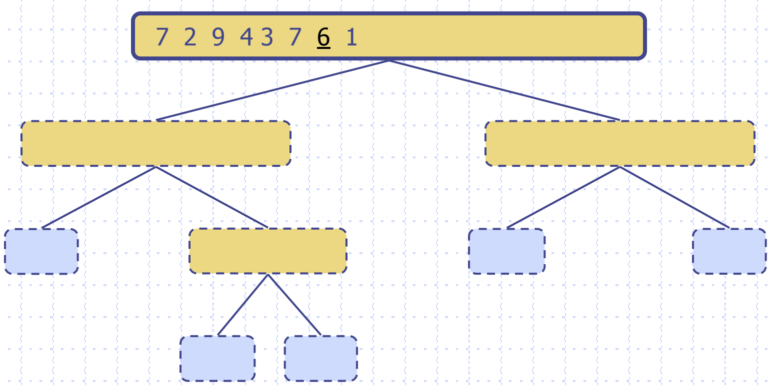
Quick-Sort Tree

- An execution of quick-sort is depicted by a binary tree
  - Each node represents a recursive call of quick-sort and stores
    - Unsorted sequence before the execution and its pivot
    - Sorted sequence at the end of the execution
  - The root is the initial call
  - The leaves are calls on subsequences of size 0 or 1



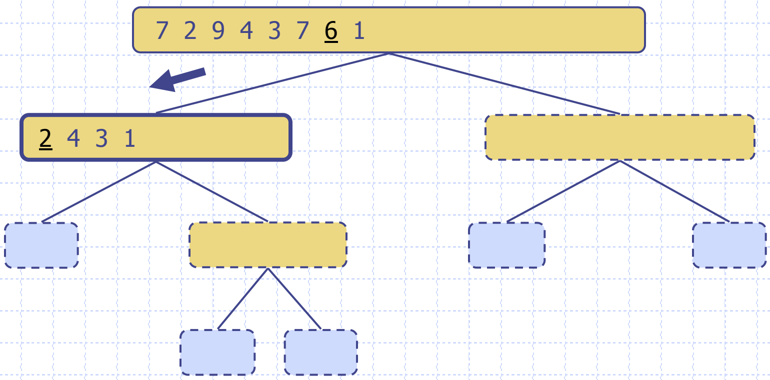
Execution Example

- Pivot selection



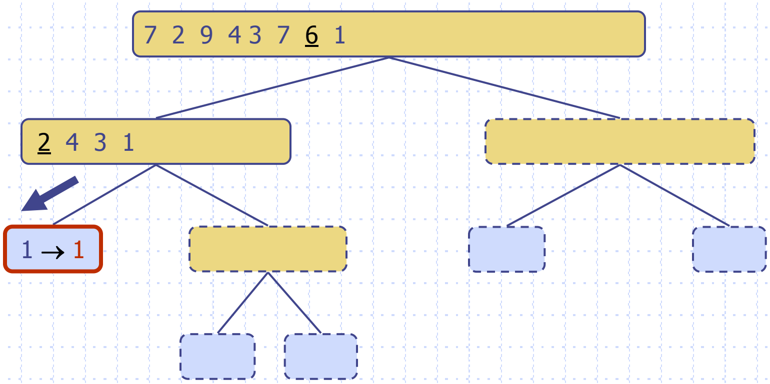
Execution Example (cont.)

- Partition, recursive call, pivot selection



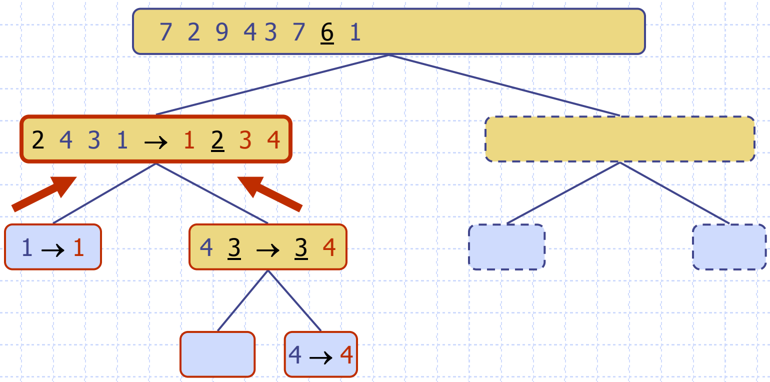
Execution Example (cont.)

- Partition, recursive call, base case



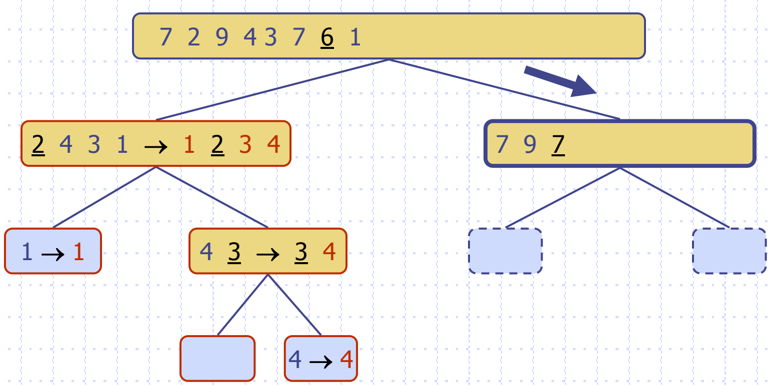
Execution Example (cont.)

- Recursive call, …, base case, join



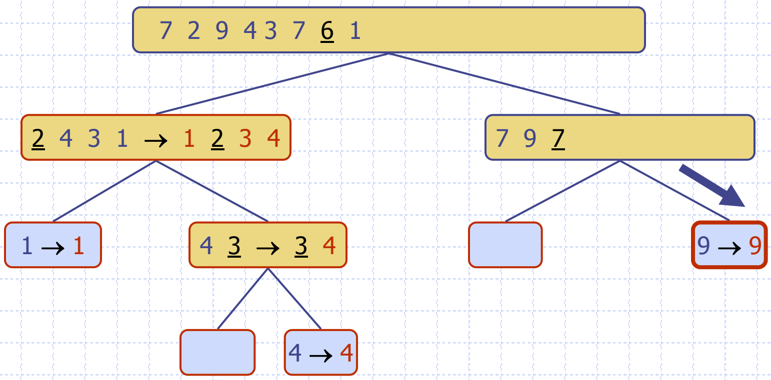
Execution Example (cont.)

- Recursive call, pivot selection



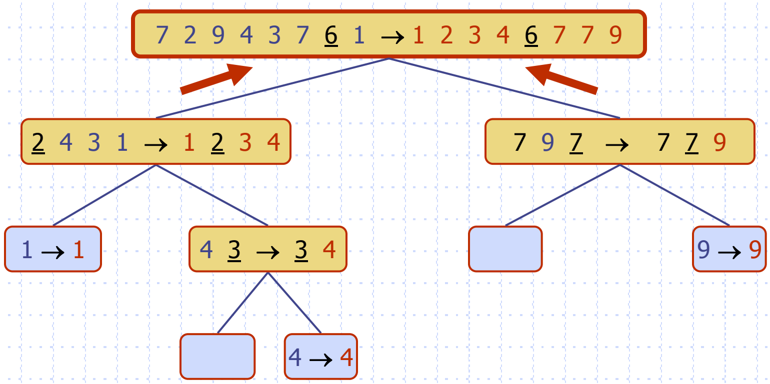
Execution Example (cont.)

- Partition, ..., recursive call, base case



Execution Example (cont.)

- Join, join



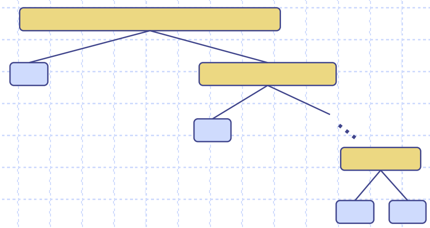
Worst-case Running Time

- The worst case for quick-sort occurs when the pivot is the unique minimum or maximum element
- One of L and G has size $n - 1$ and the other has size 0
- The running time is proportional to the sum

$$n + (n - 1) + \ldots + 2 + 1$$

- Thus, the worst-case running time of quick-sort is $O(n^2)$

depth	time
0	n
1	$n - 1$
…	…
$n - 1$	1



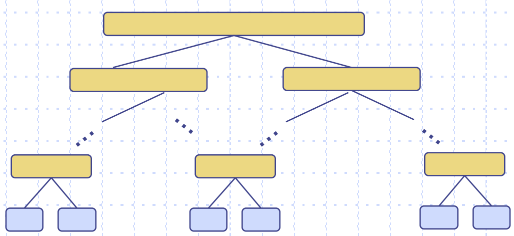
Best-case Running Time

- The best case for quick-sort occurs when the pivot divides the lilst in two halfs of the same length. Size(L)=Size(G)
- The input size at the level i is equal

$$n + (n - 2^0) + (n - 2^0) \ldots + 2 + 1$$

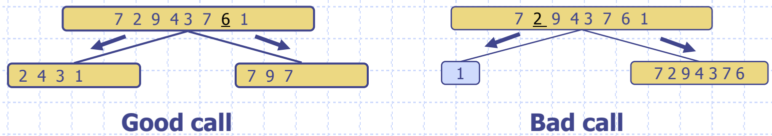
- Thus, the worst-case running time of quick-sort is $O(n^2)$

depth	time
0	n
1	$n - 1$
…	…
i	$n-(2^0+2^1+\ldots+2^{i-1})$

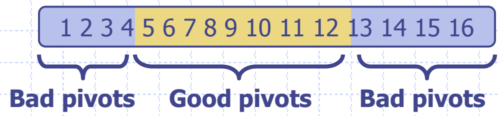


Expected Running Time

- Consider a recursive call of quick-sort on a sequence of size s
  - **Good call:** the sizes of L and G are each less than $3s/4$
  - **Bad call:** one of L and G has size greater than $3s/4$

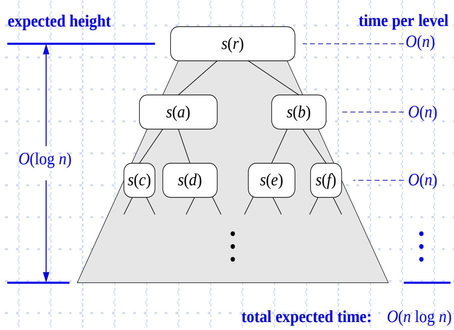


- A call is good with probability $1/2$
  - 1/2 of the possible pivots cause good calls:



Expected Running Time, Part 2

- Probabilistic Fact: The expected number of coin tosses required in order to get k heads is $2k$
- For a node of depth (level) i, we expect
  - $i/2$ ancestors are good calls
  - The size of the input sequence for the current call is at most $(3/4)^{i/2}n$
- Therefore, we need to find level i at witch the size of the size of the input is one $(3/4)^{i/2}n = 1$
  - $1=n/(4/3)^{i/2}$ $i=2\log n-2$
  - The expected height of the quick-sort tree is $O(\log n)$
- The amount or work done at the nodes of the same depth is $O(n)$
- Thus, the expected running time of quick-sort is $O(n \log n)$



Summary of Sorting Algorithms

Algorithm	Time	Notes
selection-sort	$O(n^2)$	◆ slow ◆ in-place ◆ for small data sets (< 1K)
insertion-sort	$O(n^2)$	◆ slow ◆ in-place ◆ for small data sets (< 1K)
heap-sort	$O(n \log n)$	◆ fast ◆ in-place ◆ for large data sets (1K — 1M)
merge-sort	$O(n \log n)$	◆ fast ◆ sequential data access ◆ for huge data sets (> 1M)