Outline Basic Concepts Simple Sorting Algorithms Efficient Sorting Algorithms Summary

#### Introduction to Algorithms

Topic 3: Comparison Based Sorting Algorithms

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School of Computer Science and Technology University of Science and Technology of China (USTC)

Fall Semester 2022

#### Outline

**Basic Concepts** 

Simple Sorting Algorithms

**Efficient Sorting Algorithms** 

**Summary** 

#### Basic Concepts of Sorting Algorithm

#### Stability

Regardless of how the input data is distributed, the data objects of the same keyword will be kept in the same order as in the input during the sorting process, which is called *stable sorting*. Otherwise, called *unstable sorting*.

**Example:**  $2,2^*,1 \rightarrow 1,2^*,2$  (unstable sorting)

#### Basic Concepts of Sorting Algorithm

#### Stability

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#### Time Complexity

Usually measured by the number of data **comparisons** and the number of data **movements** in the algorithm execution.

#### Basic Concepts of Sorting Algorithm

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#### Time Complexity

Usually measured by the number of data **comparisons** and the number of data **movements** in the algorithm execution.

#### **In-place Sorting**

only a constant of elements are stored outside the input array.

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Simple Sorting Algorithms Insertion Sort

> Selection Sort Bubble Sort

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Summary

#### **Insertion Sort**

General idea: Maintain an ordered sequence.

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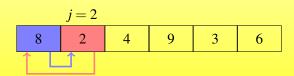
```
INSERTION-SORT(A)
1: for j = 2 to A.length do
     key = A[j]
2:
   // Insert A[j] into the sorted sequence A[1..j-1].
3:
   i = i - 1
4:
      while i > 0 and A[i] > key do
5:
          A[i+1] = A[i]
6:
         i = i - 1
7:
     A[i+1] = kev
8:
```

8 2 4 9 3 6

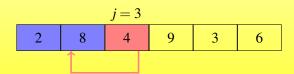
i = 2

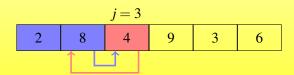
8 2 4 9 3 6





$$j = 3$$
2 8 4 9 3 6



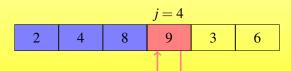


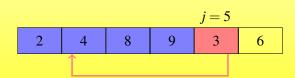
j = 4

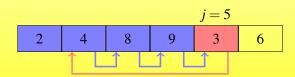
2 4 8 9 3 6

j = 4

2 4 8 9 3 6





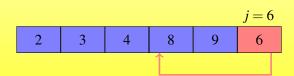


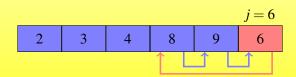
$$j = 6$$

2 3 4 8 9 6

j = 6

2 3 4 8 9 6





2 3 4 6 8 9

#### **Insertion Sort**

► Time Complexity

▶ Best: O(n)

• Average:  $O(n^2)$ 

• Worst:  $O(n^2)$ 

► Memory: 1

► Stable: Yes

#### **Insertion Sort**

► Time Complexity

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• Average:  $O(n^2)$ 

• Worst:  $O(n^2)$ 

► Memory: 1

► Stable: Yes

#### INSERTION-SORT(A)

1: **for** 
$$j = 2$$
 to A.length **do**

$$2: key = A[j]$$

3: // Insert 
$$A[j]$$
 into the sorted sequence  $A[1..j-1]$ .

4: 
$$i = j - 1$$

5:

while 
$$i > 0$$
 and  $A[i] > key$  do

$$6: A[i+1] = A[i]$$

7: 
$$i = i - 1$$

8: 
$$A[i+1] = key$$

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**Insertion Sort** 

Selection Sort

**Bubble Sort** 

Efficient Sorting Algorithms

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#### **Selection Sort**

**General idea:** Select and remove the smallest element from unsorted set.

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```
SELECTION-SORT(A)
```

- 1: **for** i = 1 to A.length 1 **do**
- 2: k = i  $\triangleright k$  is the position of the **smallest** key.
- 3: **for** j = i + 1 to A.length **do**
- 4: **if** A[j] < A[k] **then**
- 5: k = j
- 6: **if**  $k \neq i$  **then**
- 7:  $A[i] \leftrightarrow A[k]$

## Example of Selection Sort

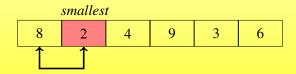
8 2 4 9 3 6

# Example of Selection Sort

#### smallest

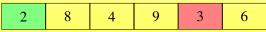
8	2	4	9	3	6
---	---	---	---	---	---

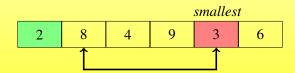
## Example of Selection Sort



2 8 4 9 3 6

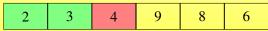
smallest





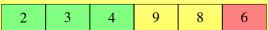
2 3 4 9 8 6

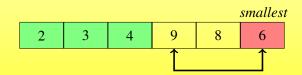
#### smallest



2 3 4 9 8 6

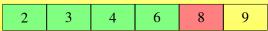
smallest





2 3 4 6 8 9

smallest



2 3 4 6 8 9

#### **Selection Sort**

► Time Complexity

• Best:  $O(n^2)$ 

• Average:  $O(n^2)$ 

• Worst:  $O(n^2)$ 

► Memory: 1

► Stable: No

#### Selection Sort

▶ Time Complexity

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• Average:  $O(n^2)$ 

• Worst:  $O(n^2)$ 

► Memory: 1

► Stable: No

#### SELECTION-SORT(A)

1: **for** i = 1 to A.length - 1 **do** 

 $2: \qquad k = i$ 

3: **for** j = i + 1 to *A.length* **do** 

4: **if** A[j] < A[k] **then** 

5: k = j

6: if  $k \neq i$  then

7:  $A[i] \leftrightarrow A[k]$ 

#### **Selection Sort**

**Stable sorting:** How to revise the selection sorting to make it *stable*?

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Insertion Sort Selection Sort

**Bubble Sort** 

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#### **Bubble Sort**

**General idea:** From the back to the front, if some elements are smaller than their predecessor, then swap them.

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**General idea:** From the back to the front, if some elements are smaller than their predecessor, then swap them.

```
BUBBLE-SORT(A)

1: for i = 1 to A.length - 1 do

2: noswap = TRUE

3: for j = A.length - 1 downto i do

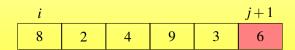
4: if A[j+1] < A[j] then

5: A[j] \leftrightarrow A[j+1]

6: noswap = FALSE

7: if noswap then break
```

8 2 4 9 3 6



i				j+1	
8	2	4	9	3	6

i			j+1		
8	2	4	3	9	6

i		j+1			
8	2	3	4	9	6

i	j+1				
8	2	3	4	9	6

	i				j+1
2	8	3	4	9	6

	i			j+1	
2	8	3	4	6	9

	i		j+1		
2	8	3	4	6	9

	i	j+1			
2	8	3	4	6	9

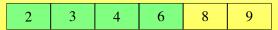
		i			j+1
2	3	8	4	6	9

		i		j+1	
2	3	8	4	6	9

		i	j+1		
2	3	8	4	6	9

			i		j+1
2	3	4	8	6	9

			i	j+1	
2	3	4	8	6	9



#### **Bubble Sort**

- ► Time Complexity
  - ▶ Best: O(n)
  - Average:  $O(n^2)$
  - Worst:  $O(n^2)$
- ► Memory: 1
- ► Stable: Yes

#### **Bubble Sort**

- ► Time Complexity
  - ▶ Best: O(n)
  - Average:  $O(n^2)$
  - Worst:  $O(n^2)$
- ► Memory: 1
- ► Stable: Yes

#### BUBBLE-SORT(A)

1: **for** 
$$i = 1$$
 to  $A.length - 1$  **do**

2: 
$$noswap = TRUE$$

3: **for** 
$$j = A.length - 1$$
 downto  $i$  **do**

4: **if** 
$$A[j+1] < A[j]$$
 **then**

5: 
$$A[j] \leftrightarrow A[j+1]$$

6: 
$$noswap = FALSE$$

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Basic Concepts

Simple Sorting Algorithms

# Efficient Sorting Algorithms Shellsort

Heapsort

Summary

#### General idea:

- ► Choose a descending gap sequence (e.g., D = [5,3,2,1]).
- ▶ In each round, elements with the same gap *d* are in the same group.
- ► Apply INSERTION-SORT for each group.
- Reduce the amount of data migration that caused by insertion sort.

```
SHELL-PASS(A,d)
1: for i = d + 1 to n do
      if A[i] < A[i-d] then
2:
          key = A[i] //A[i] is to inserted in the correct position
3:
          i = i - d
4:
          while j > 0 and key < A[j] do
5:
              A[j+d] = A[j]
6:
             i = i - d
7:
          A[i+d] = kev
8:
SHELLSORT(A, D)
```

1: **for** increment in D do

- 1: **for** increment in D **d**o
- 2: SHELL-PASS(*A*, *increment*)

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21 25 49 <u>25</u> 16 08 27 04 55 48

21 25 49 25 16 08 27 04 55 48 d=3

21 25 49 25 16 08 27 04 55 48 
$$d=3$$

21 25 49 25 16 08 27 04 55 48 
$$d = 3$$
21 04 08 25 16 49 27 25 55 48  $d = 2$ 
08 04 16 25 21 25 27 48 55 49

04

08

21 25 49 25 16 08 27 04 55 48 
$$d = 3$$
21 04 08 25 16 49 27 25 55 48  $d = 2$ 

25

27

25

16

21

48

55

49

d=1

21 25 49 25 16 08 27 04 55 48 
$$d = 3$$
21 04 08 25 16 49 27 25 55 48  $d = 2$ 
08 04 16 25 21 25 27 48 55 49  $d = 1$ 
04 08 16 21 25 25 27 48 49 55

- ► Time Complexity
  - ▶ Best: depends on the gap sequence
  - Average: depends on the gap sequence
  - Worst: depends on the gap sequence, e.g.,  $O(n^{4/3})$ , when the gap sequence is  $4^k + 3 \cdot 2^{k-1} + 1$ , prefixed with 1.
- ► Memory: 1
- ► Stable: No

#### Shellsort

Why Shellsort typically performs faster?

- ▶ Insertion-Sorting small-sized array although costs  $O(n^2)$  in the worst case, but it is similar to O(n) in values.
- For large array, when we use a gap large enough (in the order of O(n)), each sub-array has a small size, thus efficient to sort.
- After enough iterations, when the gap is small, the majority part of the array is already sorted (thus the complexity is small again).

How to select the gap sequence?

- ▶  $\lceil \frac{n}{2^k} \rceil$ : time complexity  $\Theta(n^2)$
- ▶  $2\lceil \frac{n}{2^k+1} \rceil + 1$ : time complexity  $\Theta(n^{\frac{3}{2}})$
- ▶  $2^k 1$ : time complexity  $\Theta(n^{\frac{3}{2}})$
- $2^k + 1$   $(k \ge 0)$ : time complexity  $\Theta(n^{\frac{3}{2}})$
- Successive numbers of the form  $2^p 3^q$  for prime numbers p, q: time complexity  $\Theta(n \log^2 n)$ .

#### Shellsort: the lowerbound on the time-complexity

The worst-case complexity of any version of Shellsort is of higher order: Plaxton, Poonen, and Suel showed that it grows at least as

rapidly as 
$$\Omega\left(n\left(\frac{\log n}{\log\log n}\right)^2\right)$$
.

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**Efficient Sorting Algorithms** 

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## Basic Concepts of Heap

#### Heap

A data structure which is an array object that can be viewed as a **nearly complete binary tree**.

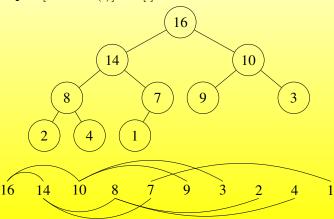
The tree is completely filled on all levels except possibly the lowest, which is filled from the left up to a point.

Given the index i of a node, the indices of its parent PARENT(i), left child LEFT(i), and right child RIGHT(i) can be computed simply:

PARENT(i)	return	$\lfloor i/2 \rfloor$
Left(i)	return	2*i
RIGHT(i)	return	2 * i + 1

#### Example of Max-heap

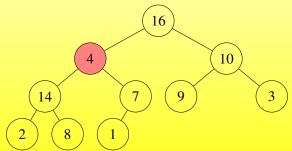
*max-heap*:  $A[PARENT(i)] \ge A[i]$ , for all i other than the root.

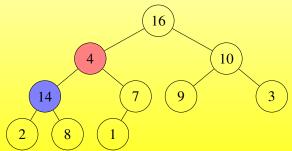


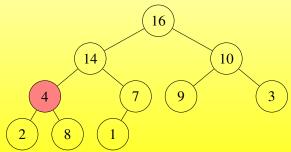
Assumption: sub-trees rooted at LEFT(i) & RIGHT(i) are max-heaps.

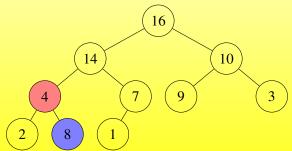
MAX-HEAPIFY(A, i) // Input an an array and an index i

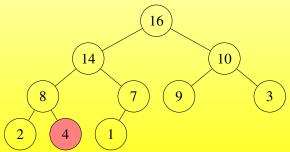
- 1: l = LEFT(i);
- 2: r = RIGHT(i)
- 3: **if**  $l \le A.heap$ -size and A[l] > A[i] **then**
- 4: largest = l
- 5: **else** largest = i
- 6: **if**  $r \le A.heap$ -size and A[r] > A[largest] **then**
- 7: largest = r
- 8: **if**  $largest \neq i$  **then**
- 9:  $A[i] \leftrightarrow A[largest]$
- 10: MAX-HEAPIFY(A, largest)









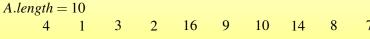


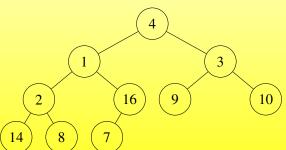
**Fact:** with the array representation of an n-element heap, the leaves are the nodes indexed from  $\lfloor A.length/2 \rfloor + 1$  to n, and each leaf is a 1-element max-heap to begin with.

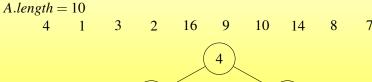
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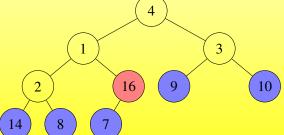
BUILD-MAX-HEAP(A)

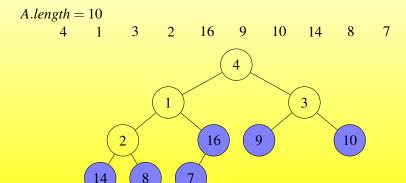
- 1: A.heap-size = A.length
- 2: **for**  $i = \lfloor A.length/2 \rfloor$  downto 1 **do**
- 3: MAX-HEAPIFY(A, i)

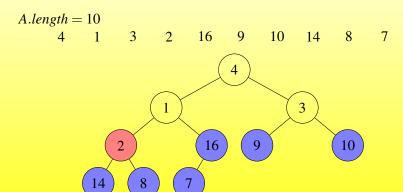


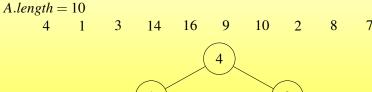


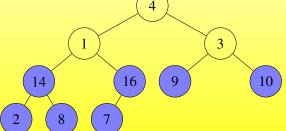


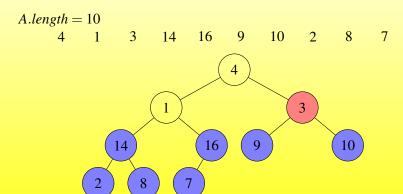


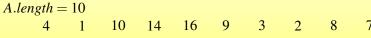


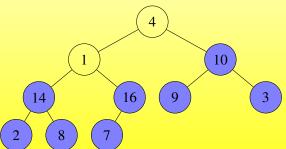


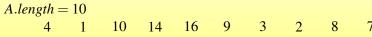


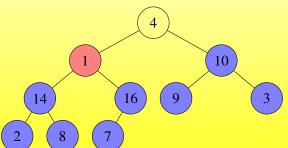




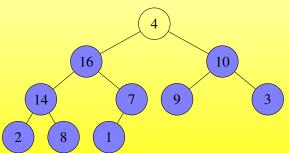


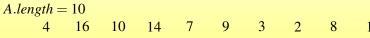


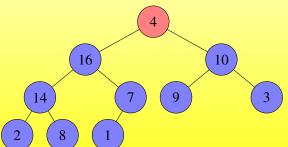




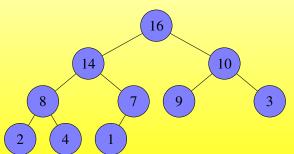








A.length = 10 16 14 10 8 7 9 3 2 4



## The Heapsort Algorithm

**General idea:** Same as selection sort, maintain the minimum (maximum) element by using heap.

MAX-HEAP: A[1] always stores the largest number.

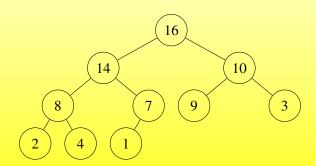
### The Heapsort Algorithm

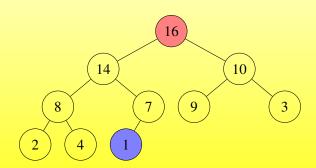
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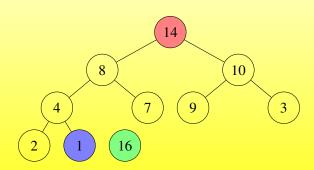
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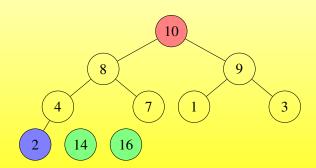
#### HEAPSORT(A)

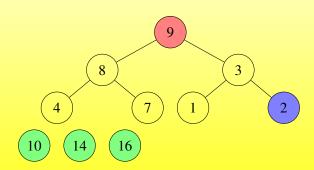
- 1: BUILD-MAX-HEAP(A)
- 2: **for** i = A.length downto 2 **do**
- 3:  $A[1] \leftrightarrow A[i]$
- 4: A.heap-size = A.heap-size 1
- 5: MAX-HEAPIFY(A, 1)

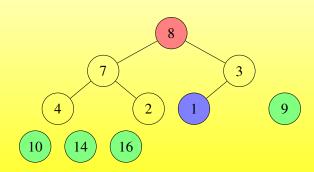


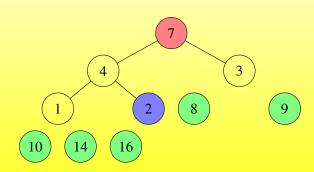


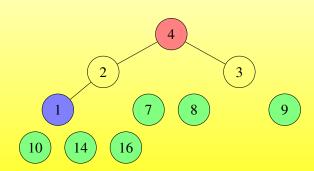


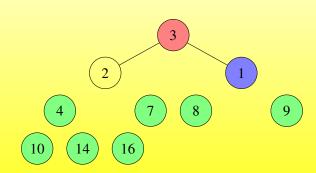


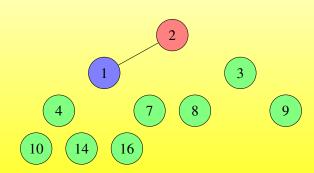


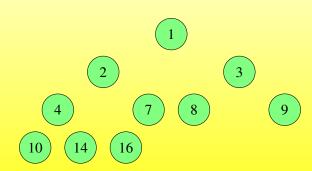












#### Heapsort

```
► Time Complexity
```

```
    MAX-HEAPIFY: O(log n) − Why?
    BUILD-MAX-HEAP: O(n) − Why?
```

▶ Best: O(n log n)▶ Average: O(n log n)

• Worst:  $O(n \log n)$ 

► Memory: 1

► Stable: No

A *priority queue* is a data structure for maintaining a set *S* of elements, each with an associated value called a *key*. A *max-priority queue* supports the following operations:

- ► INSERT(S,x) inserts the element x into the set S, which is equivalent to the operation  $S = S \cup \{x\}$ .
- ► MAXIMUM(S) returns the element of S with the largest key.
- ► EXTRACT-MAX(S) removes and returns the element of S with the largest key.
- ▶ INCREASE-KEY(S,x,k) increases the value of element x's key to the new value k, which is assumed to be at least as large as x's current key value.

HEAP-MAXIMUM(A)

1: **return** *A*[1]

#### HEAP-EXTRACT-MAX(A)

1: **if** A.heap-size < 1 **then** 

2: **error** "heap underflow"

3: max = A[1]

4: A[1] = A[A.heap-size]

5: A.heap-size = A.heap-size - 1

6: MAX-HEAPIFY(A, 1)

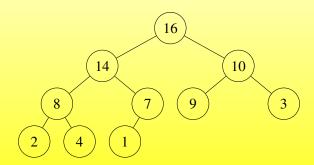
7: return max

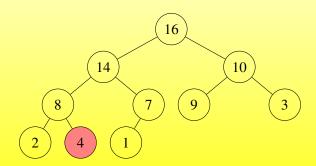
HEAP-INCREASE-KEY(A, i, key)

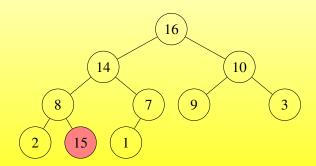
- 1: **if** key < A[i] **then**
- 2: **error** "new key is smaller than current key"
- 3: A[i] = key
- 4: **while** i > 1 and A[PARENT(i)] < A[i] **do**
- 5:  $A[i] \leftrightarrow A[PARENT(i)]$
- 6: i = PARENT(i)

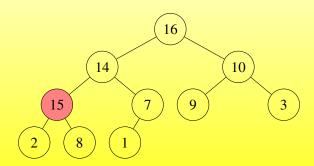
Max-Heap-Insert(A, key)

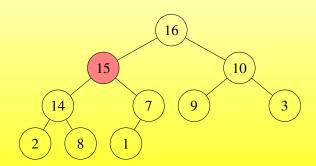
- 1: A.heap-size = A.heap-size + 1
- 2:  $A[A.heap\text{-}size] = -\infty$
- 3: HEAP-INCREASE-KEY(A, A.heap-size, key)











#### Contents

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#### Quicksort

#### General idea:

- ► **Arbitrarily choose** an element *x* in the unsorted set for comparison.
- **Divide** the unsorted elements into two parts:  $\leq x$  and > x.
- ▶ **Recursively** use QUICKSORT for the above two parts.

#### Quicksort

#### General idea:

- ► **Arbitrarily choose** an element *x* in the unsorted set for comparison.
- **Divide** the unsorted elements into two parts:  $\leq x$  and > x.
- ▶ **Recursively** use QUICKSORT for the above two parts.

#### QUICKSORT(A, p, r)

- 1: **if** p < r **then**
- 2: q = PARTITION(A, p, r)
- 3: QUICKSORT(A, p, q 1)
- 4: QUICKSORT(A, q + 1, r)

#### **Partition**

```
PARTITION(A, p, r)
```

1: 
$$x = A[r]$$
 // pivot element

2: 
$$i = p - 1$$

3: **for** 
$$j = p$$
 to  $r - 1$  **do**

4: **if** 
$$A[j] \leq x$$
 **then**

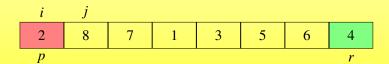
5: 
$$i = i + 1$$

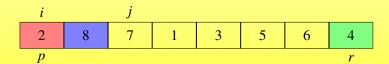
6: 
$$A[i] \leftrightarrow A[j]$$

7: 
$$A[i+1] \leftrightarrow A[r]$$

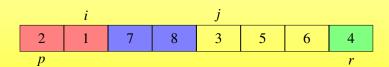
8: **return** 
$$i+1$$

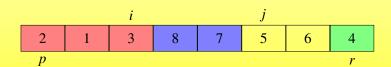


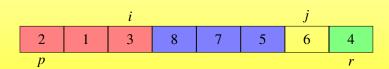


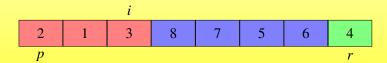


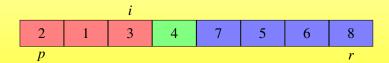












### Performance of Quicksort

#### Worst-case partitioning

The worst-case behavior for quicksort occurs when the partitioning routine produces one subproblem with n-1 elements and one with 0 elements. The partitioning costs  $\Theta(n)$  time, the recurrence for the running time is

$$T(n) = T(n-1) + T(0) + \Theta(n)$$
$$= T(n-1) + \Theta(n)$$
$$= \Theta(n^2).$$

### Performance of Quicksort

#### Best-case partitioning

In the most even possible split, PARTITION produces two subproblems, each of size no more than n/2, since **one is of size**  $\lfloor n/2 \rfloor$  **and one of size**  $\lceil n/2 \rceil - 1$ . In this case, quicksort runs much faster. The recurrence for the running time is then

$$T(n) = 2T(n/2) + \Theta(n)$$
  
=  $\Theta(n \lg n)$ .

### Performance of Quicksort

#### Balanced partitioning

What if the split is always  $\frac{1}{10}$ :  $\frac{9}{10}$ ? The recurrence for the running time is

$$T(n) = T(\frac{1}{10}n) + T(\frac{9}{10}n) + \Theta(n)$$
$$= \Theta(n \lg n).$$

### A Randomized Version of Quicksort

```
RANDOMIZED-PARTITION(A, p, r)
```

- 1: i = RANDOM(p, r)
- 2:  $A[r] \leftrightarrow A[i]$
- 3: **return** PARTITION(A, p, r)

#### RANDOMIZED-QUICKSORT(A, p, r)

- 1: **if** p < r **then**
- 2: q = RANDOMIZED-PARTITION(A, p, r)
- 3: RANDOMIZED-QUICKSORT(A, p, q 1)
- 4: RANDOMIZED-QUICKSORT(A, q + 1, r)

#### Worst-case analysis

We saw that a worst-case split at every level of recursion in quicksort produces a  $\Theta(n^2)$  running time, which, intuitively, is the worst-case running time of the algorithm.

Using the **substitution method** (see Section 4.3), we can show that the running time of quicksort is  $O(n^2)$ .

Let T(n) be the worst-case time for the procedure QUICKSORT on an input of size n. We have

$$\begin{split} T(n) &= \max_{0 \leq q \leq n-1} (T(q) + T(n-q-1)) + \Theta(n) \\ &\leq \max_{0 \leq q \leq n-1} (cq^2 + c(n-q-1)^2 + \Theta(n)) \\ &= c \cdot \max_{0 \leq q \leq n-1} (q^2 + (n-q-1)^2 + \Theta(n)) \\ &\leq cn^2 - c(2n-1) + \Theta(n) \leq cn^2. \end{split}$$

#### Running time and comparisons

Rename the elements of the array A as  $z_1, z_2, ..., z_n$ , with  $z_i$  being the ith smallest element (assuming distinct elements).

 $Z_{ij} = \{z_i, z_{i+1}, ..., z_j\}$  to be the set of elements between  $z_i$  and  $z_j$ . We define

$$X_{ij} = I\{z_i \text{ is compared to } z_j\}.$$

Since each pair is compared at most once, we can easily characterize **the total number of comparisons** performed by the algorithm:

$$X = \sum_{i=1}^{n-1} \sum_{j=i+1}^{n} X_{ij}.$$

$$E[X] = E\left[\sum_{i=1}^{n-1} \sum_{j=i+1}^{n} X_{ij}\right] = \sum_{i=1}^{n-1} \sum_{j=i+1}^{n} E[X_{ij}]$$
$$= \sum_{i=1}^{n-1} \sum_{j=i+1}^{n} Pr\{z_i \text{ is compared to } z_j\}$$

$$E[X] = E\left[\sum_{i=1}^{n-1} \sum_{j=i+1}^{n} X_{ij}\right] = \sum_{i=1}^{n-1} \sum_{j=i+1}^{n} E[X_{ij}]$$

$$= \sum_{i=1}^{n-1} \sum_{j=i+1}^{n} Pr\{z_i \text{ is compared to } z_j\}$$

$$= \sum_{i=1}^{n-1} \sum_{j=i+1}^{n} Pr\{z_i \text{ or } z_j \text{ is first pivot chosen from } Z_{ij}\}$$

$$= \sum_{i=1}^{n-1} \sum_{j=i+1}^{n} \frac{2}{j-i+1} = \sum_{i=1}^{n-1} \sum_{k=1}^{n-i} \frac{2}{k+1}$$

$$< \sum_{i=1}^{n-1} \sum_{k=1}^{n} \frac{2}{k} = \sum_{i=1}^{n-1} O(\lg n) = O(n \lg n).$$

#### Quicksort

► Time Complexity

▶ Best:  $O(n \log n)$ 

▶ Average:  $O(n \log n)$ 

• Worst:  $O(n^2)$ 

▶ Memory:  $O(\log n)$  on average, worst case space complexity is O(n)

► Stable: stable versions exist

#### Summary

Name	Average	Worst	Stable	Method
Insertion Sort	$O(n^2)$	$O(n^2)$	Yes	Insertion
Selection Sort	$O(n^2)$	$O(n^2)$	No	Selection
<b>Bubble Sort</b>	$O(n^2)$	$O(n^2)$	Yes	Exchanging
Merge sort	$O(n\log n)$	$O(n\log n)$	Yes	Merging
Shellsort	(*)	$O(n^{4/3})$ (*)	No	Insertion
Heapsort	$O(n\log n)$	$O(n\log n)$	No	Selection
Quicksort	$O(n\log n)$	$O(n^2)$	Exist	Partitioning

<sup>\*</sup>The time complexity of shellsort depends on the selected gap sequence.

#### A sorting algorithm animation website:

https://www.toptal.com/developers/sorting-algorithms