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# COMP90038

# Algorithms and Complexity

Lecture 11: Sorting with Divide-and-Conquer  
(with thanks to Harald Søndergaard)

Toby Murray



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DMD 8.17 (Level 8, Doug McDonnell Bldg)



<http://people.eng.unimelb.edu.au/tobym>

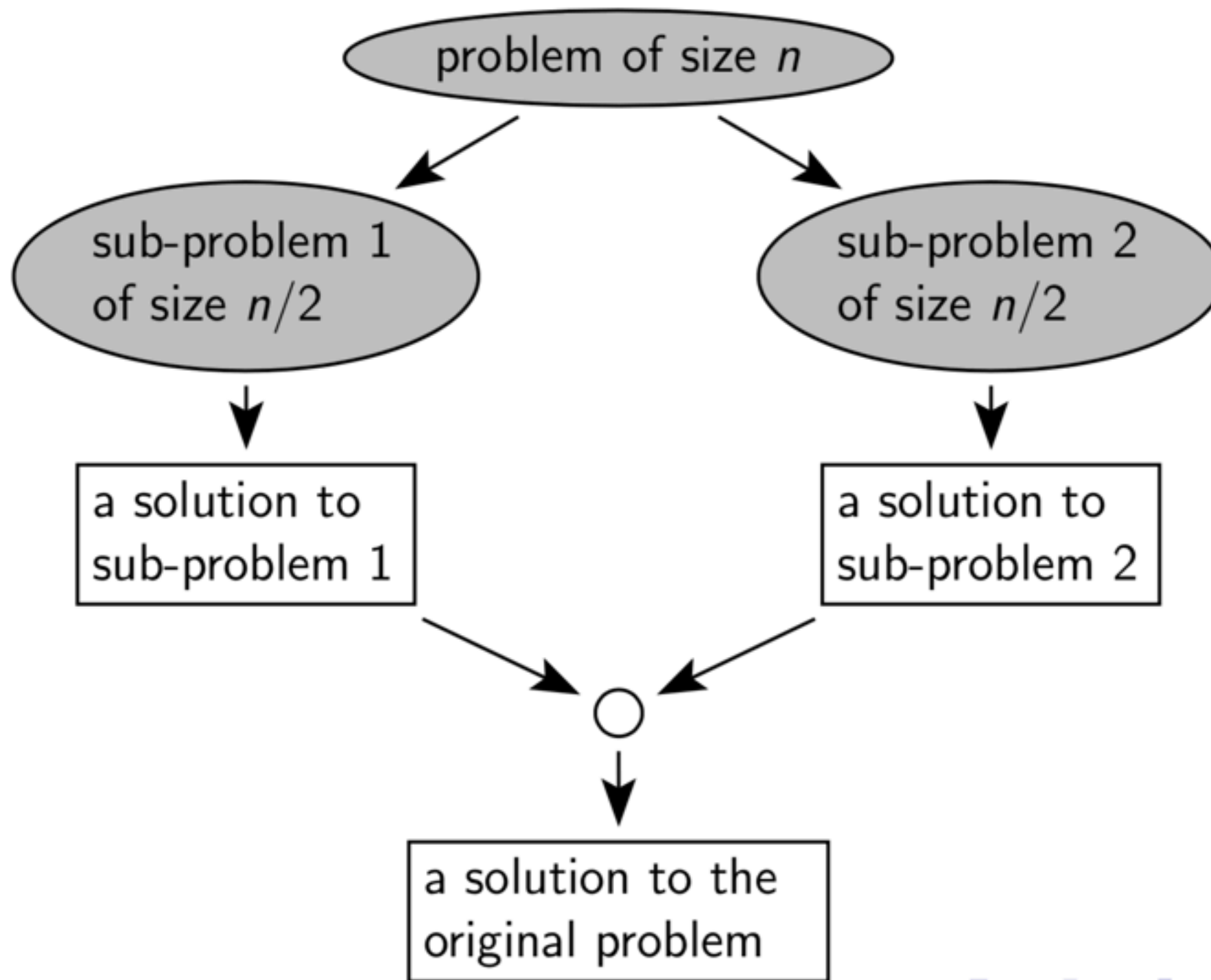


@tobycmurray

# Divide and Conquer

- We earlier studied recursion as a powerful problem solving technique.
- The **divide-and-conquer** strategy tries to make the most of this idea:
  1. Divide the given problem instance into smaller instances.
  2. Solve the smaller instances recursively.
  3. Combine the smaller solutions to solve the original instance.
- This works best when the smaller instances can be made to be of equal (or near-equal) size.

# Split-Solve-and-Join Approach

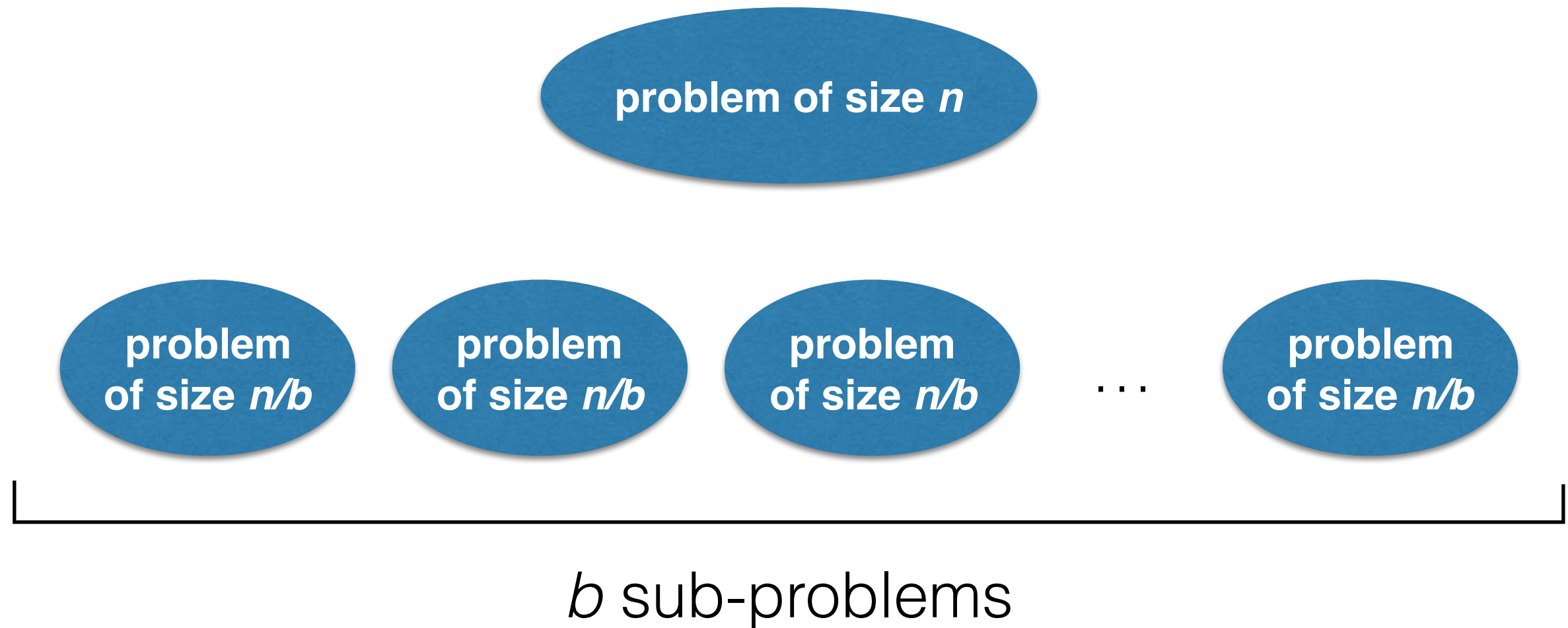


# Divide and Conquer Algorithms

- We will discuss:
  - The Master Theorem
  - Mergesort
  - Quicksort
  - Tree traversal
  - Closest Pair revisited

# Divide-and-Conquer

## General Case

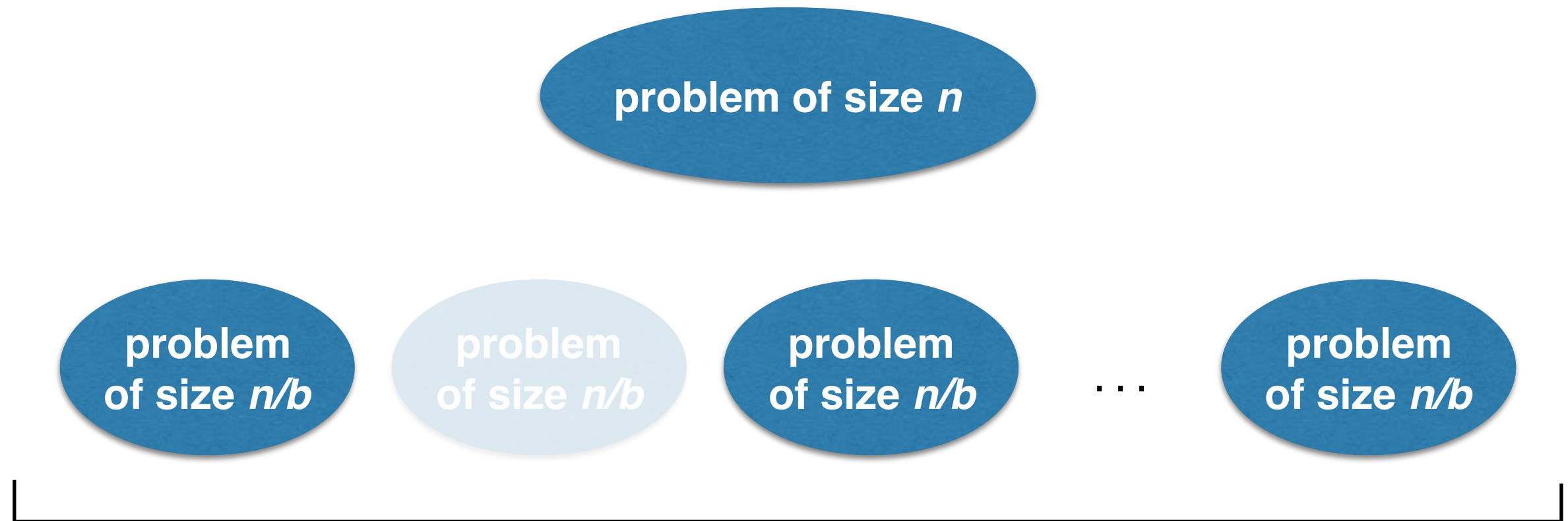


# Divide-and-Conquer

## General Case



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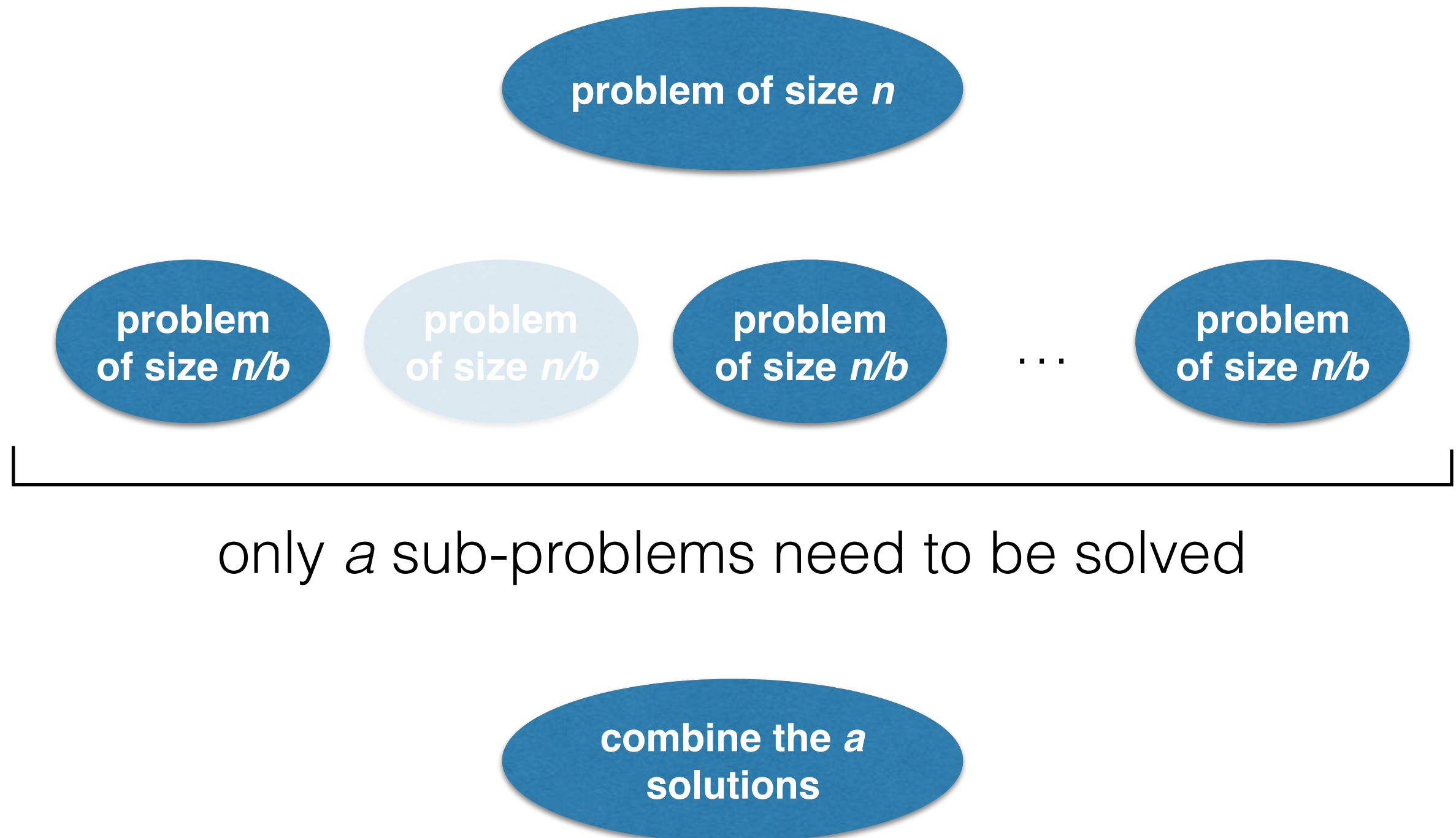


only *a* sub-problems need to be solved

# Divide-and-Conquer General Case



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# Divide-and-Conquer Recurrences

- What is the time required to solve a problem of size  $n$  by divide-and-conquer?
- For the general case, assume we split the problem into  $b$  instances (each of size  $n/b$ ), of which  $a$  need to be solved:

$$\underline{T(n) = aT(n/b) + f(n)}$$

where  $f(n)$  expresses the time spent on dividing a problem into  $b$  sub-problems and combining the  $a$  results.

- (A very common case is  $T(n) = 2T(n/2) + n$ .)
- How to find closed forms for these recurrences?



# The Master Theorem

- (A proof is in Levitin's Appendix B.)
- For integer constants  $a \geq 1$  and  $b > 1$ , and function  $f$  with  $f(n) \in \Theta(n^d)$ ,  $d \geq 0$ , the recurrence

$$T(n) = aT(n/b) + f(n)$$

(with  $T(1) = c$ ) has solutions, and

$$T(n) = \begin{cases} \Theta(n^d) & \text{if } a < b^d \\ \Theta(n^d \log n) & \text{if } a = b^d \\ \Theta(n^{\log_b a}) & \text{if } a > b^d \end{cases}$$

- Note that we also allow  $a$  to be greater than  $b$ .

# Master Theorem: Example 1



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

$$a = 2, b = 2, d = 1$$

# Master Theorem: Example 1



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So, by the Master Theorem,  $T(n) \in \Theta(n \log n)$

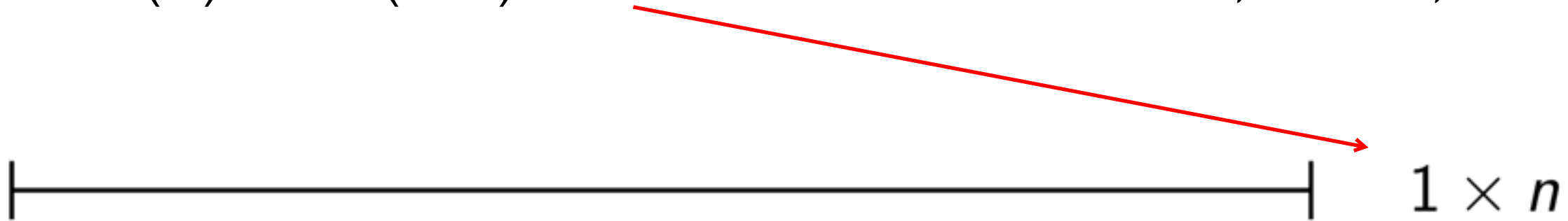
# Master Theorem: Example 1



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# Master Theorem: Example 1



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

$$a = 2, b = 2, d = 1$$

$$T(n) = 2(2T(n/4) + (n/2)) + n$$

$$\text{-----} \quad 1 \times n$$

# Master Theorem: Example 1

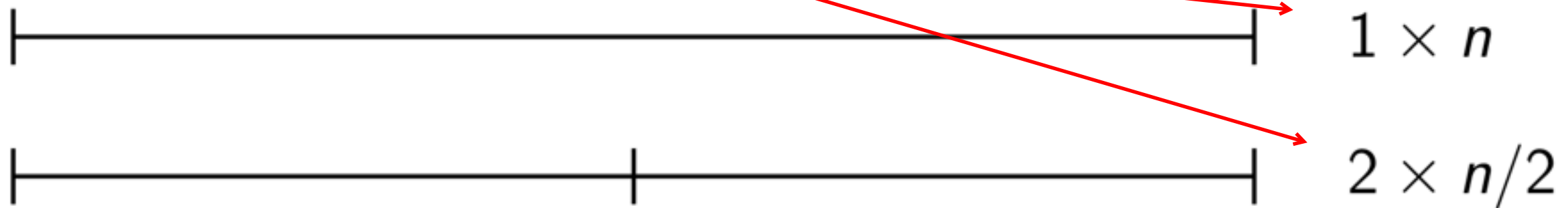


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$$T(n) = 2T(n/2) + n$$

$$a = 2, b = 2, d = 1$$

$$T(n) = 4T(n/4) + 2(n/2) + n$$



# Master Theorem: Example 1

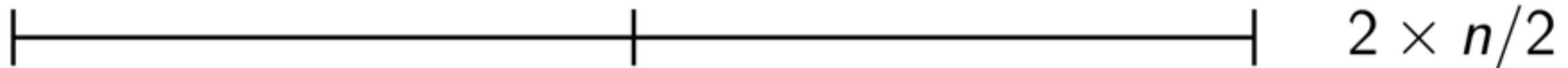


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$$T(n) = 2T(n/2) + n$$

$$a = 2, b = 2, d = 1$$

$$T(n) = 4(2T(n/8) + n/4) + 2(n/2) + n$$



# Master Theorem: Example 1

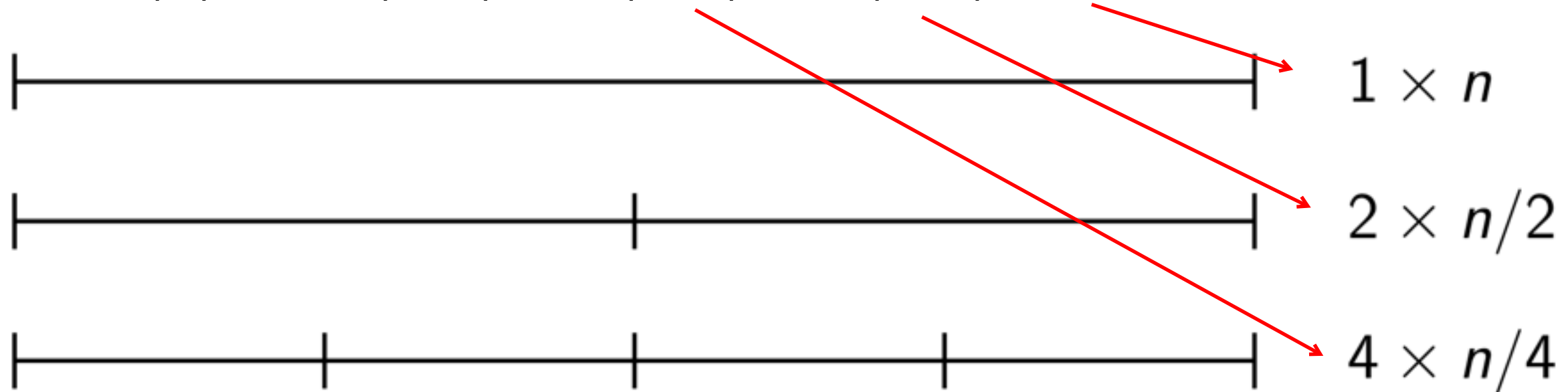


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$$T(n) = 2T(n/2) + n$$

$$a = 2, b = 2, d = 1$$

$$T(n) = 8T(n/8) + 4(n/4) + 2(n/2) + n$$





# Master Theorem: Example 1



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

$$a = 2, b = 2, d = 1$$

$$T(n) = 8(2T(n/16) + n/8) + 4(n/4) + 2(n/2) + n$$

|-----|  $1 \times n$

|-----|-----|  $2 \times n/2$

|-----|-----|-----|  $4 \times n/4$

# Master Theorem: Example 1

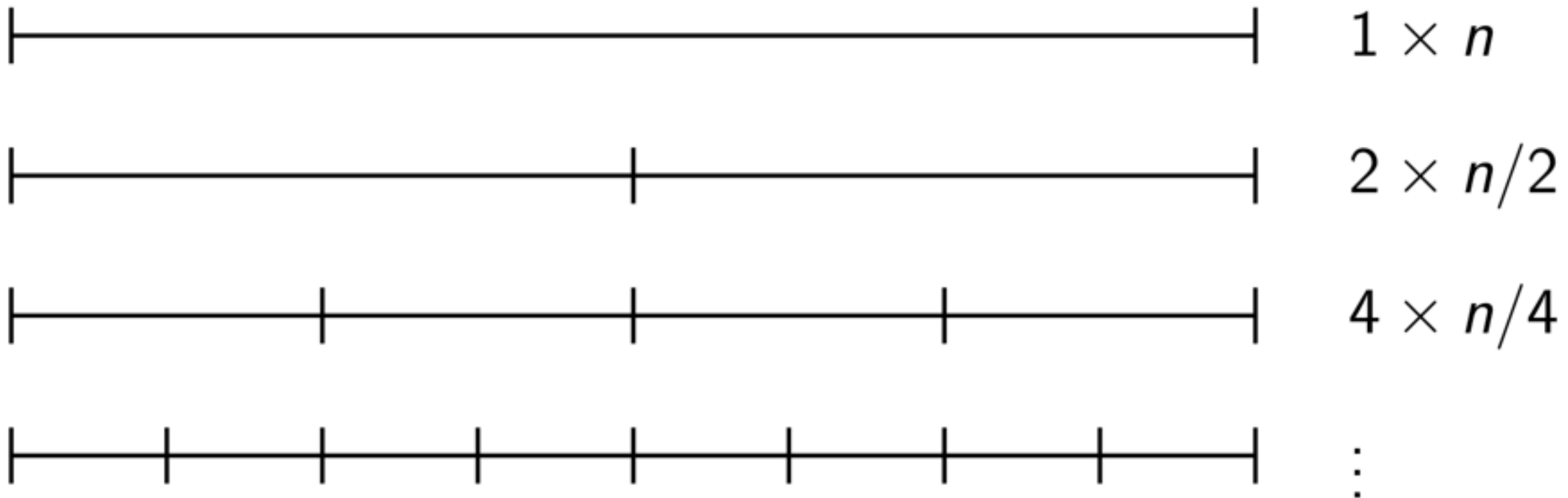


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$$T(n) = 2T(n/2) + n$$

$$a = 2, b = 2, d = 1$$

$$T(n) = 16T(n/16) + 8(n/8) + 4(n/4) + 2(n/2) + n$$



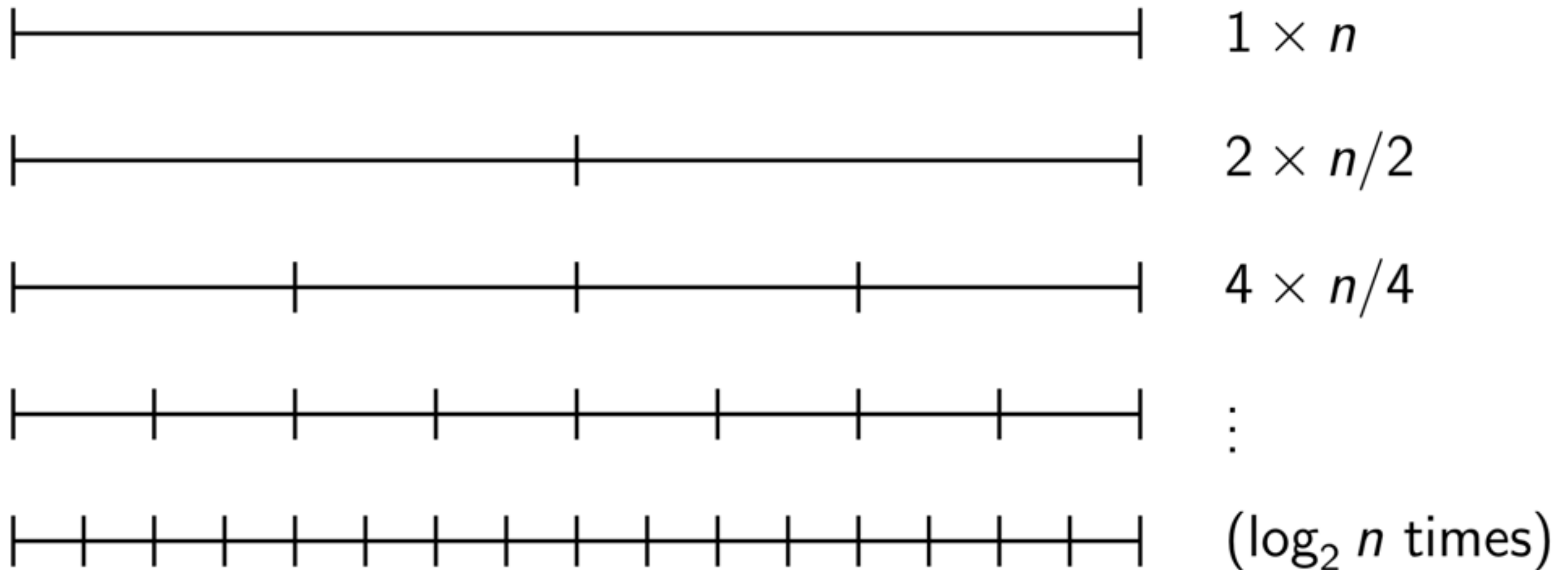
# Master Theorem: Example 1



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

$$a = 2, b = 2, d = 1$$



# Master Theorem: Example 1

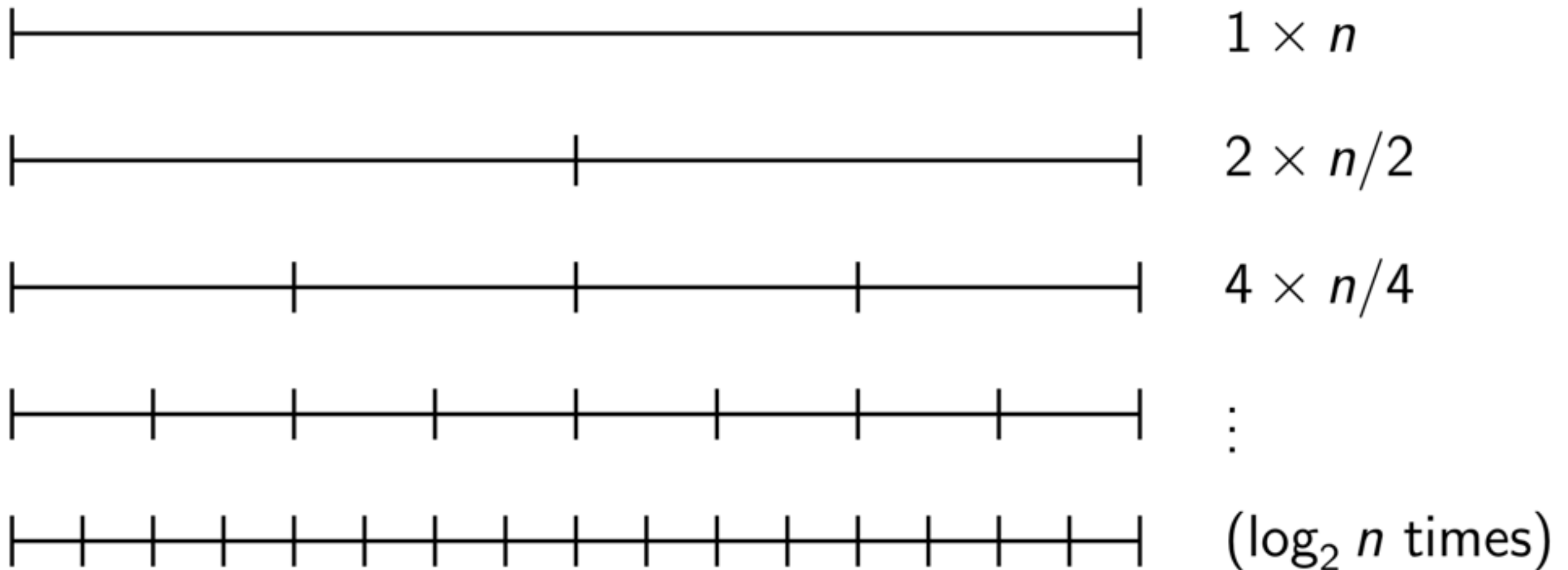


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$$T(n) = 2T(n/2) + n$$

$$a = 2, b = 2, d = 1$$

$$T(n) \in \Theta(n \log n)$$



# Master Theorem: Example 2



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$$T(n) = 4T(n/4) + n$$

$$a = 4, b = 4, d = 1$$

$$a = b^d$$

$$T(n) = \begin{cases} \Theta(n^d) & \text{if } a < b^d \\ \Theta(n^d \log n) & \text{if } a = b^d \\ \Theta(n^{\log_b a}) & \text{if } a > b^d \end{cases}$$

So, by the Master Theorem,  $T(n) \in \Theta(n \log n)$

# Master Theorem: Example 2



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$$T(n) = 4T(n/4) + n$$

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# Master Theorem: Example 2



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$$T(n) = 4T(n/4) + n$$

$$a = 4, b = 4, d = 1$$

$$T(n) = 4(4T(n/16) + (n/4)) + n$$



# Master Theorem: Example 2

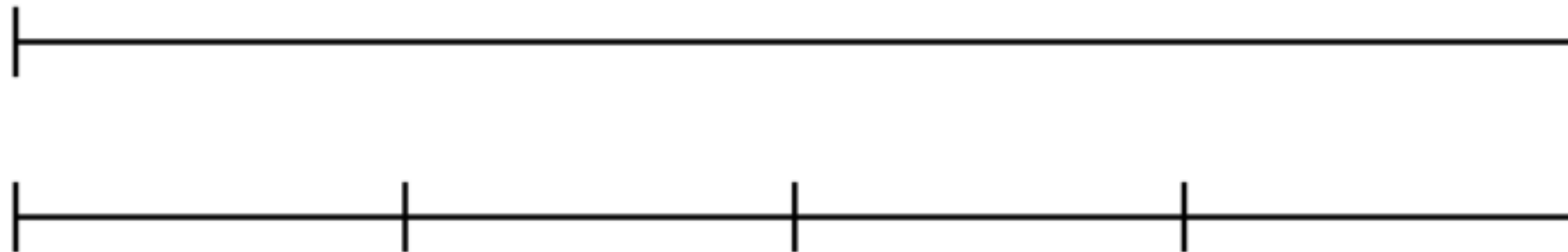


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$$T(n) = 4T(n/4) + n$$

$$a = 4, b = 4, d = 1$$

$$T(n) = 16T(n/16) + 4(n/4) + n$$





# Master Theorem: Example 2

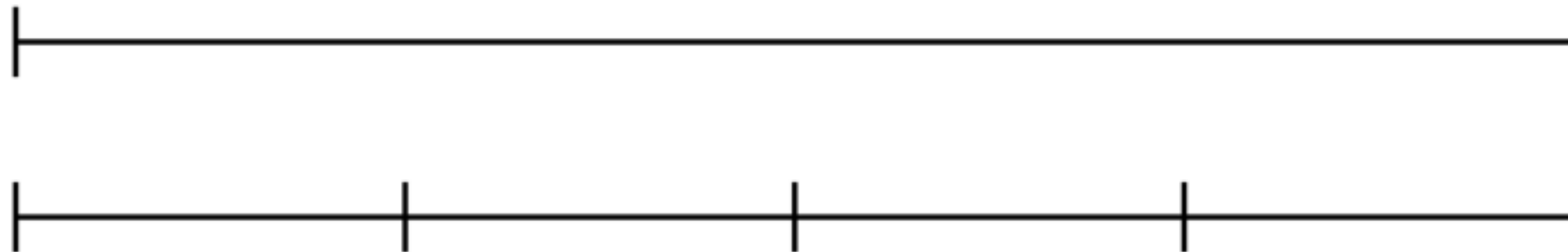


THE UNIVERSITY OF  
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$$T(n) = 4T(n/4) + n$$

$$a = 4, b = 4, d = 1$$

$$T(n) = 16T(n/16) + 4(n/4) + n$$



# Master Theorem: Example 2

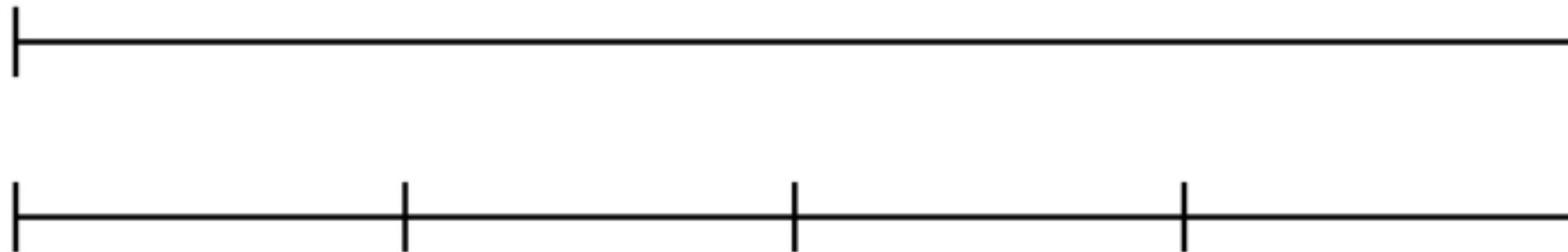


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$$T(n) = 4T(n/4) + n$$

$$a = 4, b = 4, d = 1$$

$$T(n) = 16(4T(n/64) + n/16) 4(n/4) + n$$



# Master Theorem: Example 2

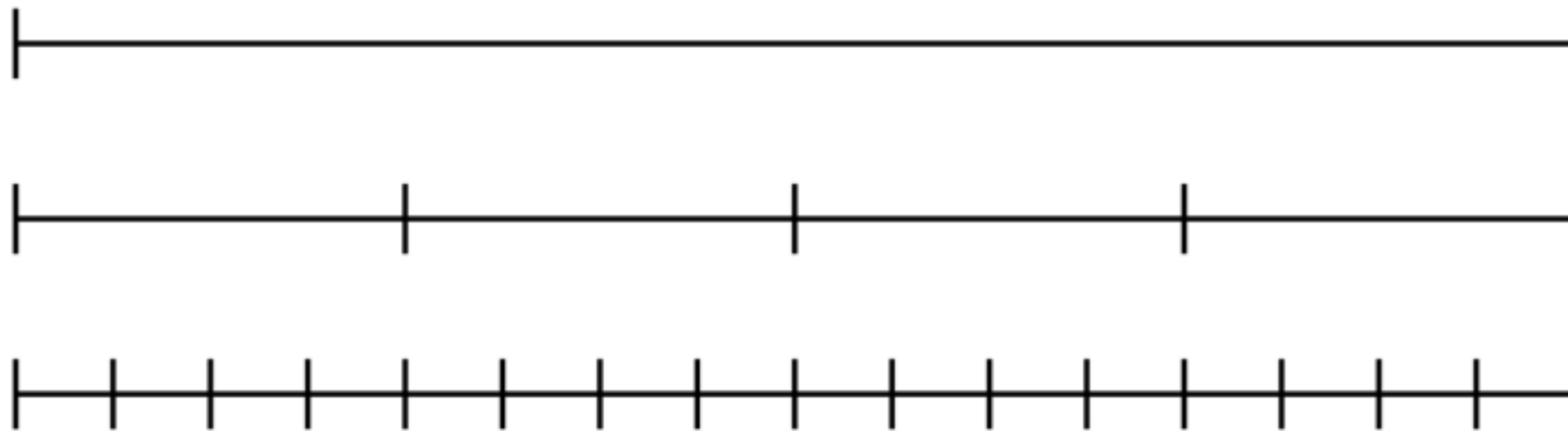


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$$T(n) = 4T(n/4) + n$$

$$a = 4, b = 4, d = 1$$

$$T(n) = 64T(n/64) + 16(n/16) + 4(n/4) + n$$



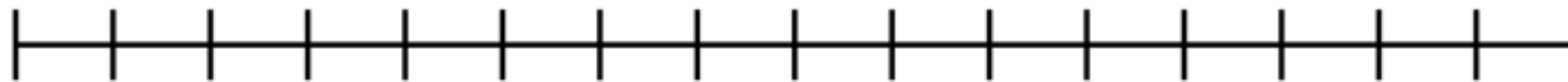
# Master Theorem: Example 2



$$T(n) = 4T(n/4) + n$$

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$$T(n) = 64T(n/64) + 16(n/16) + 4(n/4) + n$$



⋮

$(\log_4 n \text{ times})$

# Master Theorem: Example 2



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$$T(n) = 4T(n/4) + n$$

$$a = 4, b = 4, d = 1$$

$$T(n) = 64T(n/64) + 16(n/16) + 4(n/4) + n$$



⋮

$(\log_4 n \text{ times})$

# Master Theorem: Example 2



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$$T(n) = 4T(n/4) + n$$

$$a = 4, b = 4, d = 1$$

$$T(n) = 64T(n/64) + 16(n/16) + 4(n/4) + n$$

$$T(n) \in \Theta(n \log n)$$

# Master Theorem: Example 3



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

$$a = 1, b = 2, d = 1$$

# Master Theorem: Example 3



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

$$a = 1, b = 2, d = 1$$

$$a < b^d$$

$$T(n) = \begin{cases} \Theta(n^d) & \text{if } a < b^d \\ \Theta(n^d \log n) & \text{if } a = b^d \\ \Theta(n^{\log_b a}) & \text{if } a > b^d \end{cases}$$

So, by the Master Theorem,  $T(n) \in \Theta(n)$



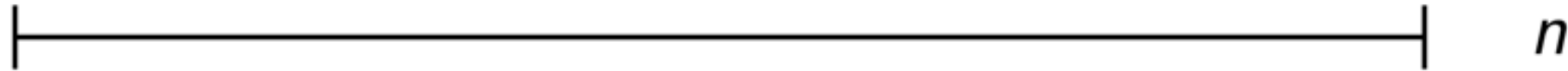
# Master Theorem: Example 3



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

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# Master Theorem: Example 3



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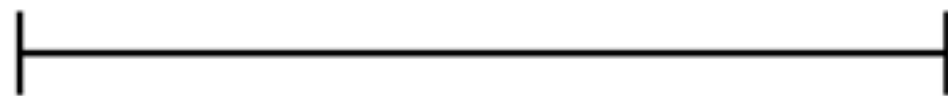
$$T(n) = T(n/2) + n$$

$$a = 1, b = 2, d = 1$$

$$T(n) = T(n/4) + n/2 + n$$



$n$



$n/2$

# Master Theorem: Example 3

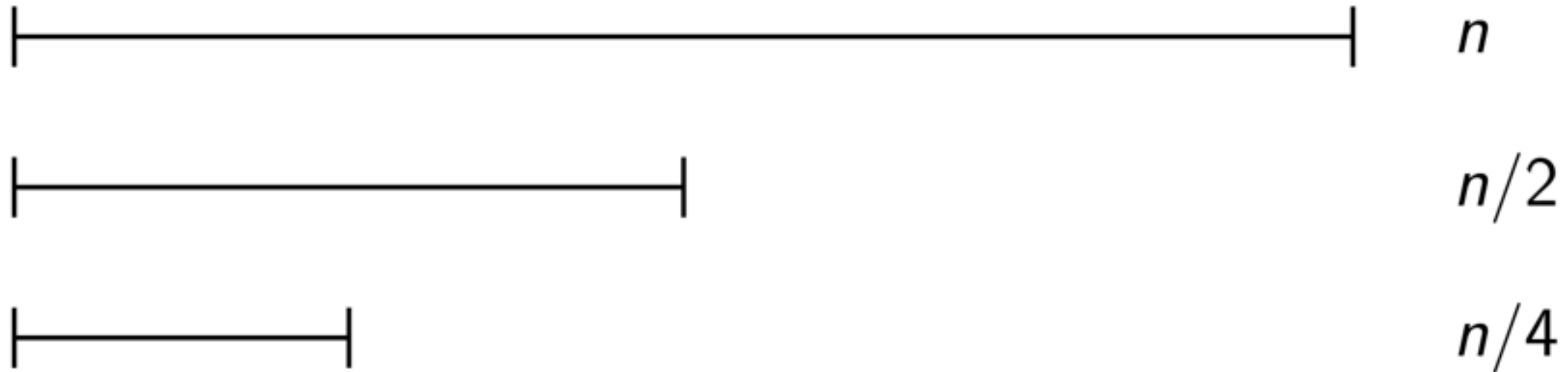


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$$T(n) = T(n/2) + n$$

$$a = 1, b = 2, d = 1$$

$$T(n) = T(n/8) + n/4 + n/2 + n$$



# Master Theorem: Example 3

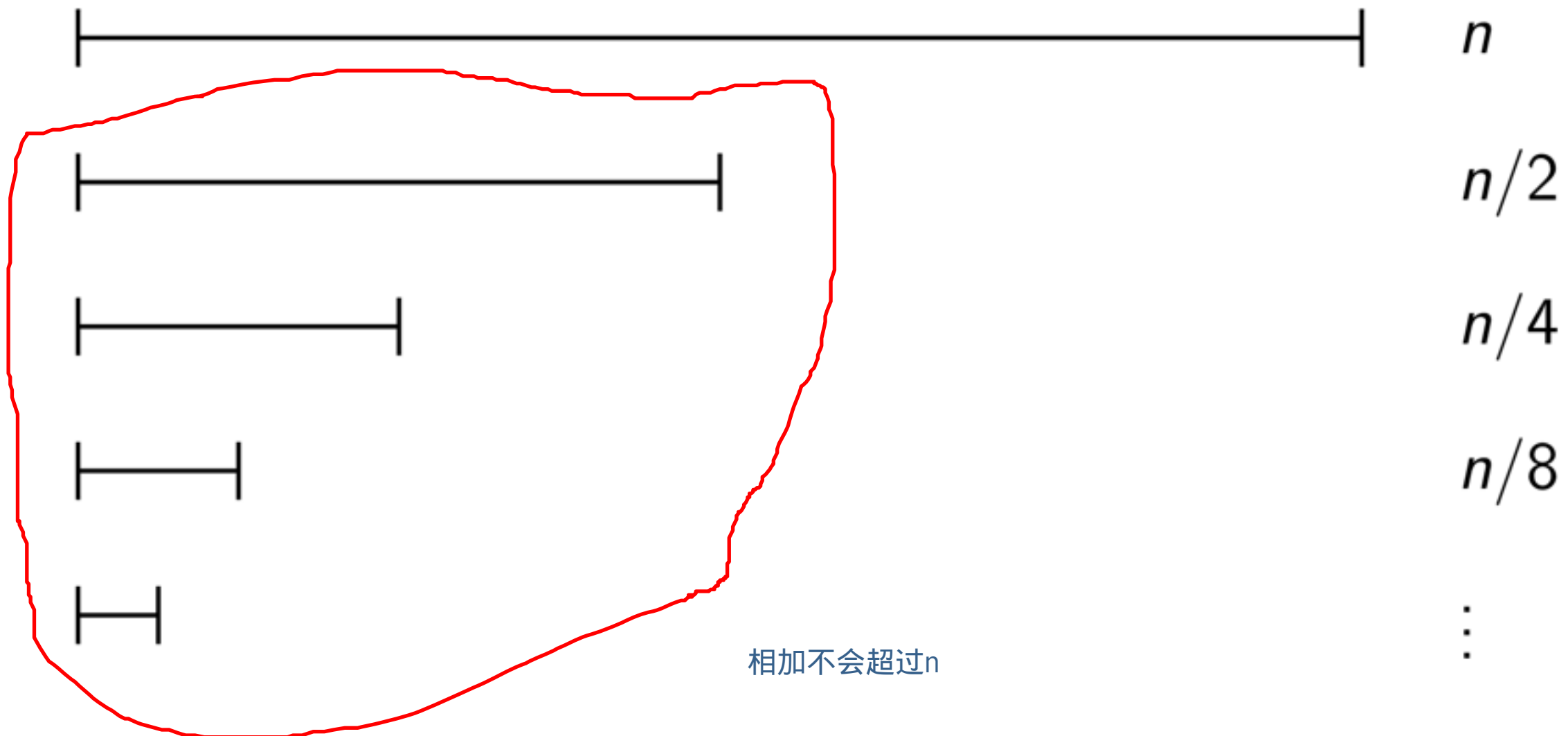


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# Master Theorem: Example 3



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

$$a = 1, b = 2, d = 1$$

$$T(n) = T(n/8) + n/4 + n/2 + n$$

$$T(n) \in \Theta(n)$$

# Master Theorem: Example 4



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

$$a = 2, b = 2, d = 2$$

# Master Theorem: Example 4



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So, by the Master Theorem,  $T(n) \in \Theta(n^2)$

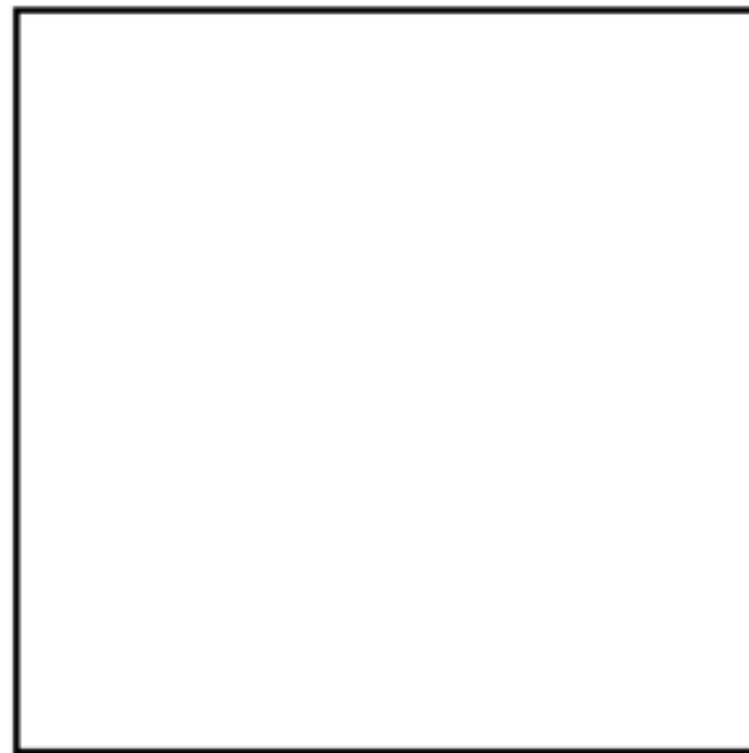
# Master Theorem: Example 4



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

$$a = 2, b = 2, d = 2$$





# Master Theorem: Example 4

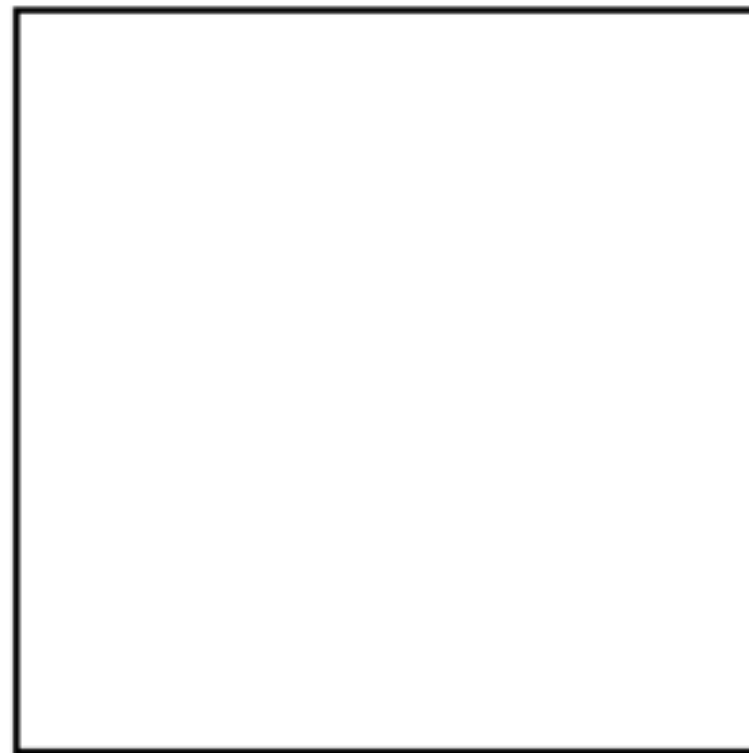


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$$T(n) = 2(2T(n/4) + (n/2)^2) + n^2$$



# Master Theorem: Example 4

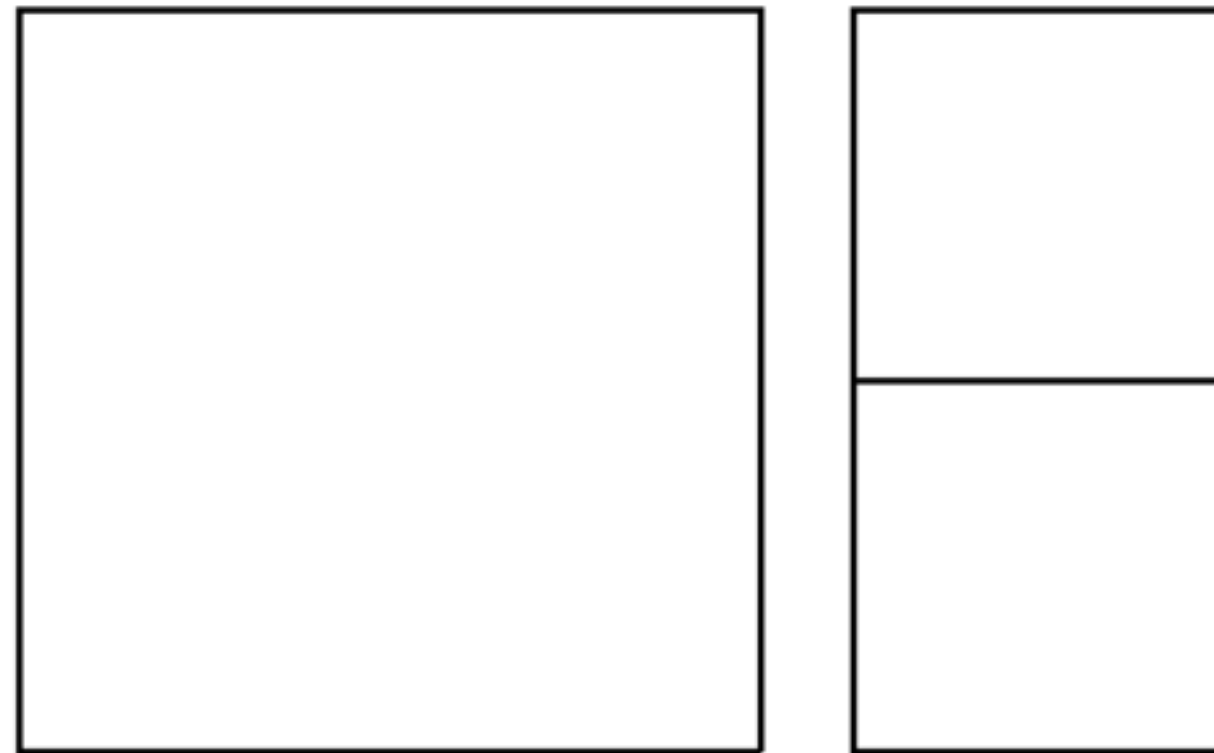


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$$T(n) = 4T(n/4) + 2(n/2)^2 + n^2$$



# Master Theorem: Example 4

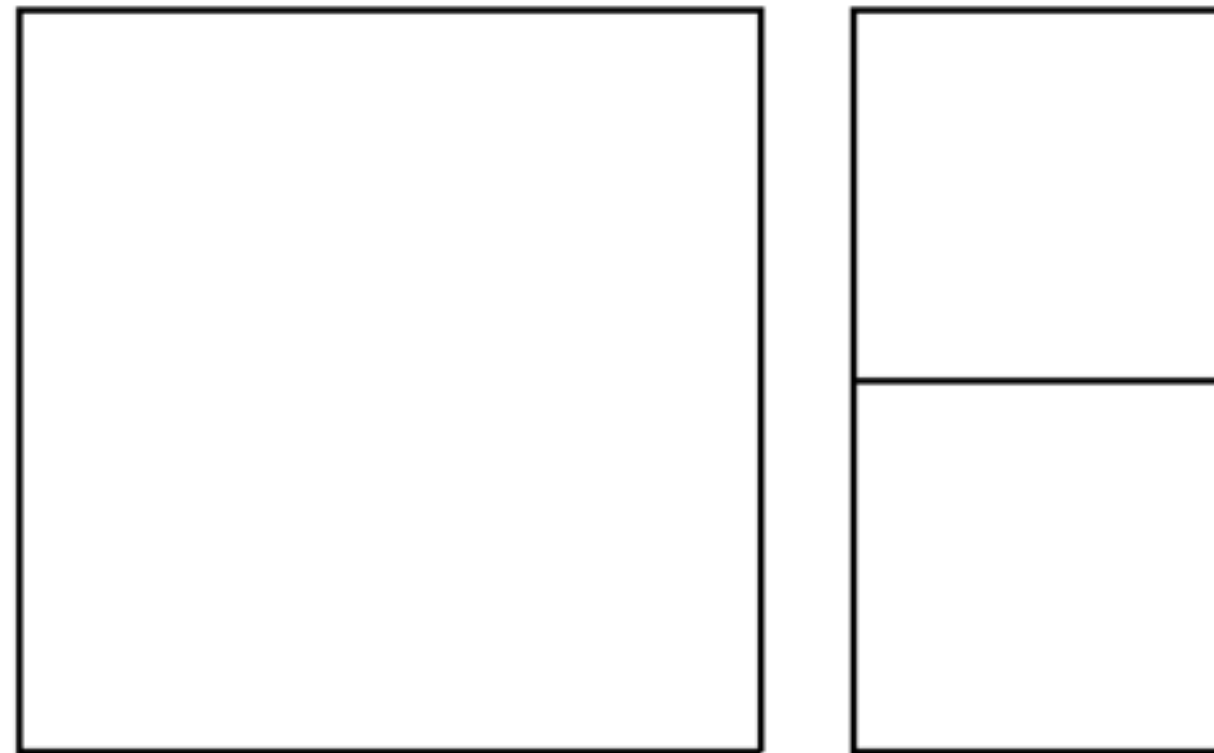


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$$T(n) = 4(2T(n/8) + (n/4)^2) + 2(n/2)^2 + n^2$$



# Master Theorem: Example 4

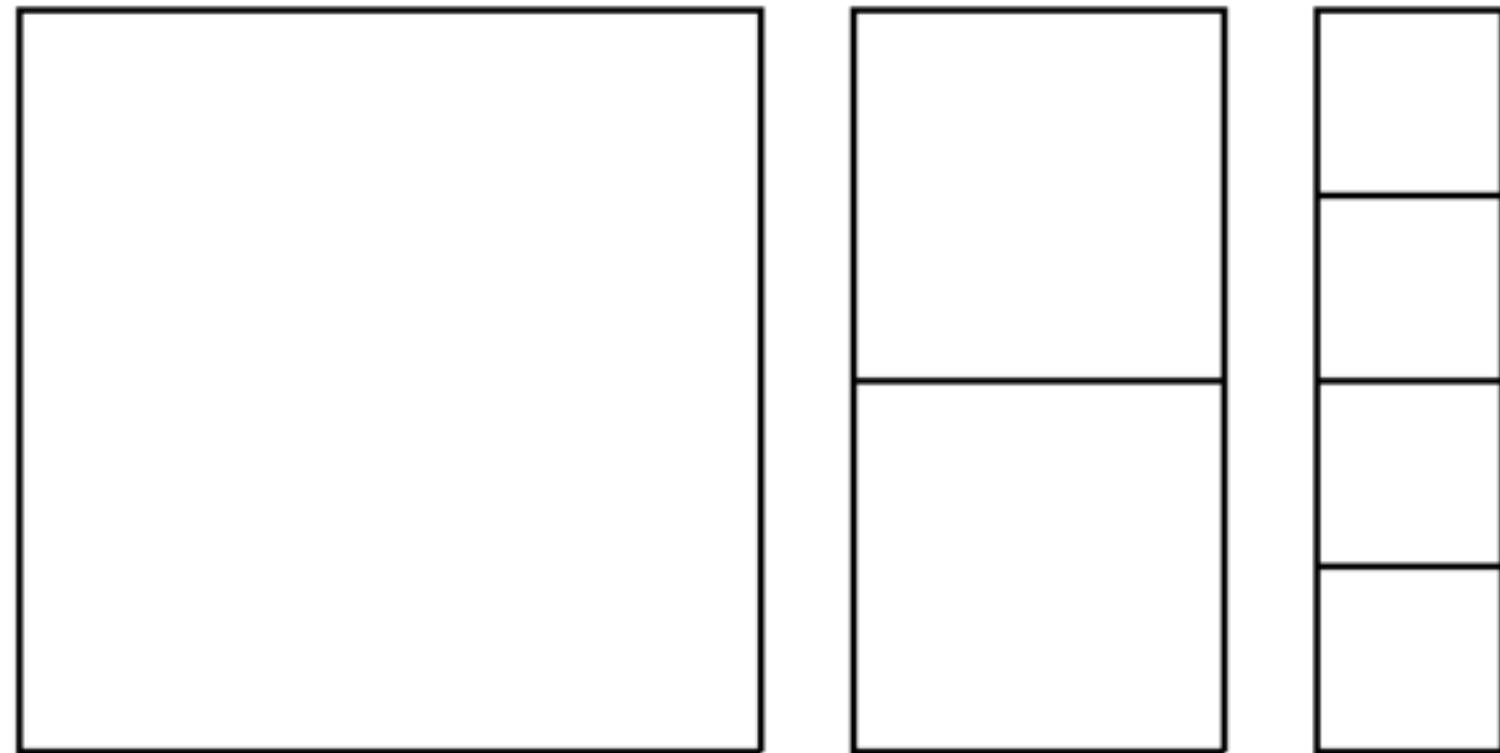


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$$T(n) = 8T(n/8) + 4(n/4)^2 + 2(n/2)^2 + n^2$$



# Master Theorem: Example 4

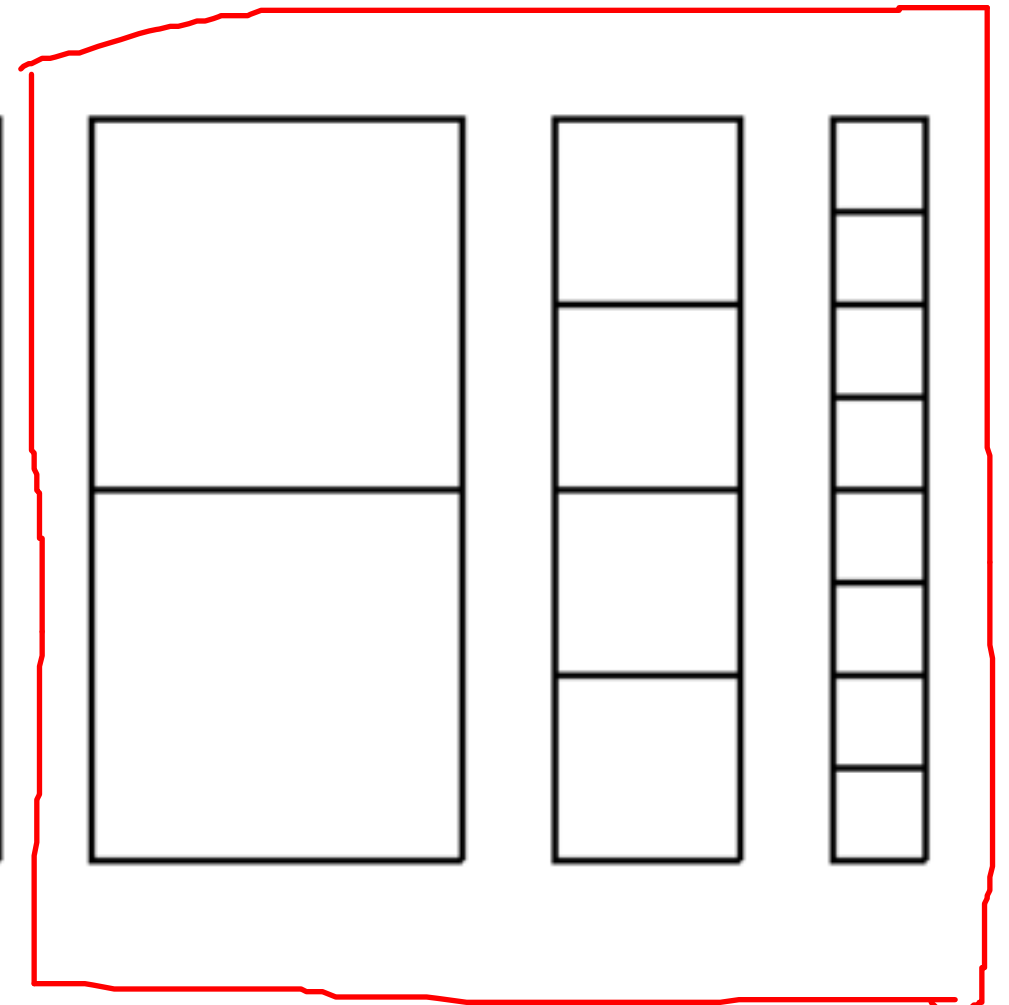
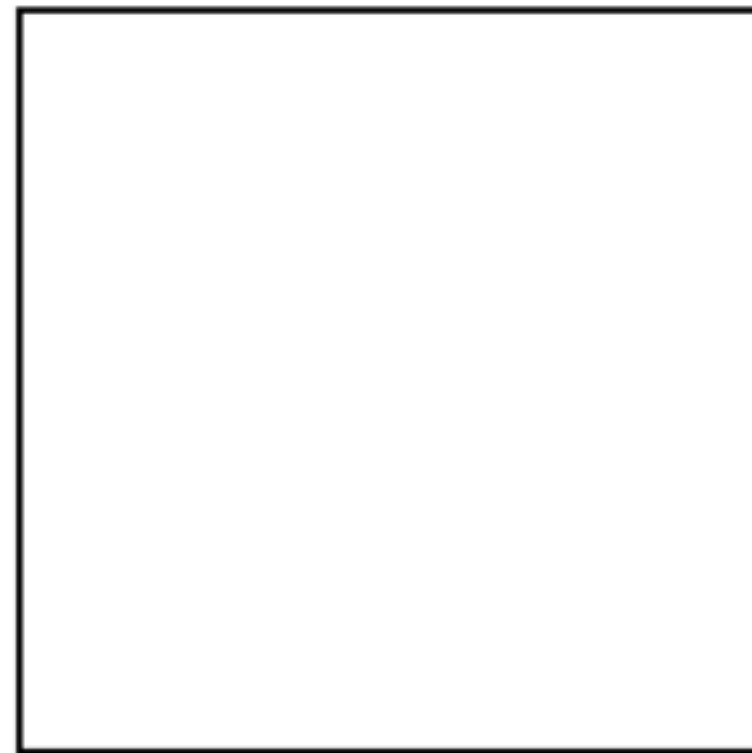


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相加不会超过 $n^2$

# Master Theorem: Example 4



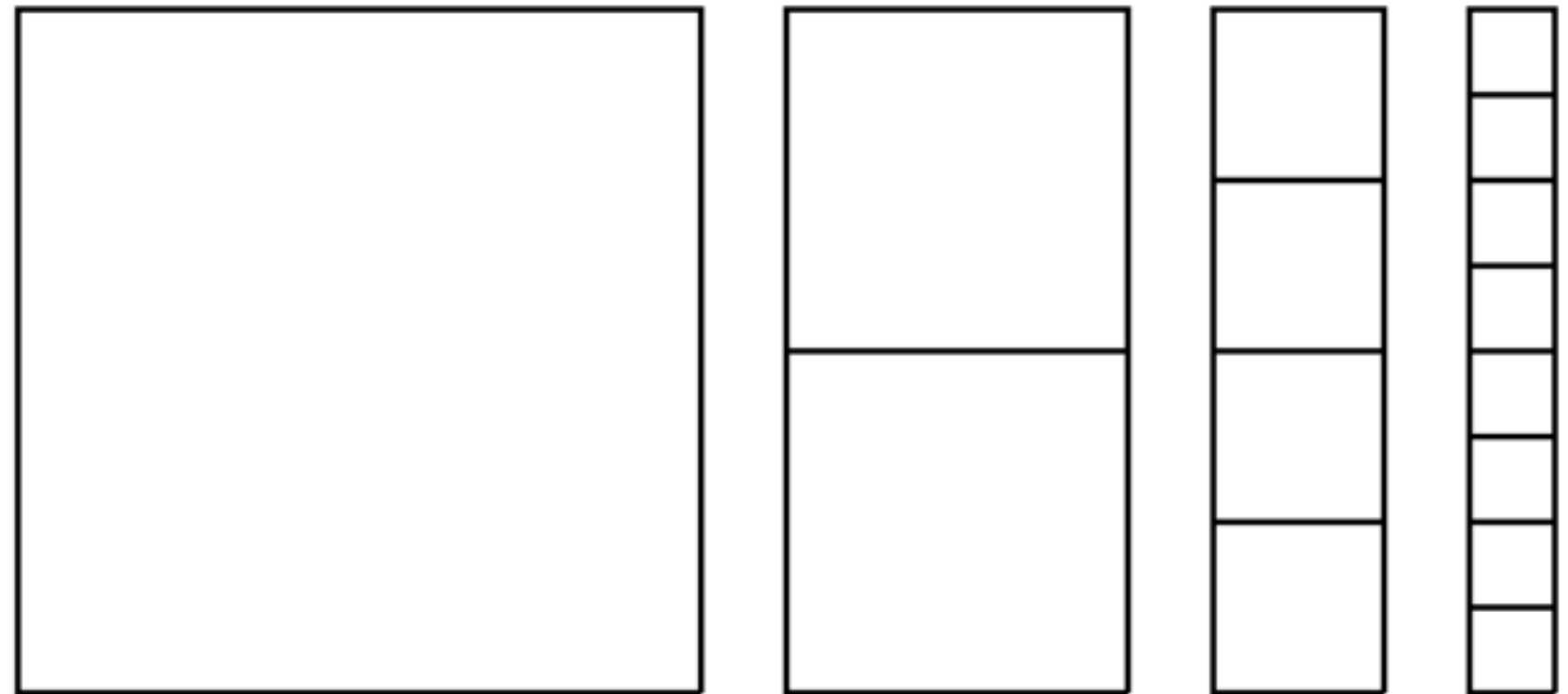
THE UNIVERSITY OF  
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$$T(n) = 2T(n/2) + n^2$$

$$a = 2, b = 2, d = 2$$

$$T(n) = 8T(n/8) + 4(n/4)^2 + 2(n/2)^2 + n^2$$

$$T(n) \in \Theta(n^2)$$



# Mergesort

- Perhaps the most obvious application of divide-and-conquer:
- To sort an array (or a list), cut it into two halves, sort each half, and merge the two results.

```
procedure MERGESORT( $A[\cdot], n$ )                                ▷ Sort  $A[0]..A[n - 1]$ 
  if  $n > 1$  then
    for  $i \leftarrow 0$  to  $\lfloor n/2 \rfloor - 1$  do                    ▷ Copy left half of  $A$  to  $B$ 
       $B[i] \leftarrow A[i]$ 
    for  $i \leftarrow 0$  to  $\lceil n/2 \rceil - 1$  do                    ▷ Copy right half of  $A$  to  $C$ 
       $C[i] \leftarrow A[\lfloor n/2 \rfloor + i]$ 
    MERGESORT( $B, \lfloor n/2 \rfloor$ )                                ▷ Sort  $B$ 
    MERGESORT( $C, \lceil n/2 \rceil$ )                                ▷ Sort  $C$ 
    MERGE( $B, \lfloor n/2 \rfloor, C, \lceil n/2 \rceil, A$ )                ▷ Merge  $B$  and  $C$  into  $A$ 
```

# Mergesort

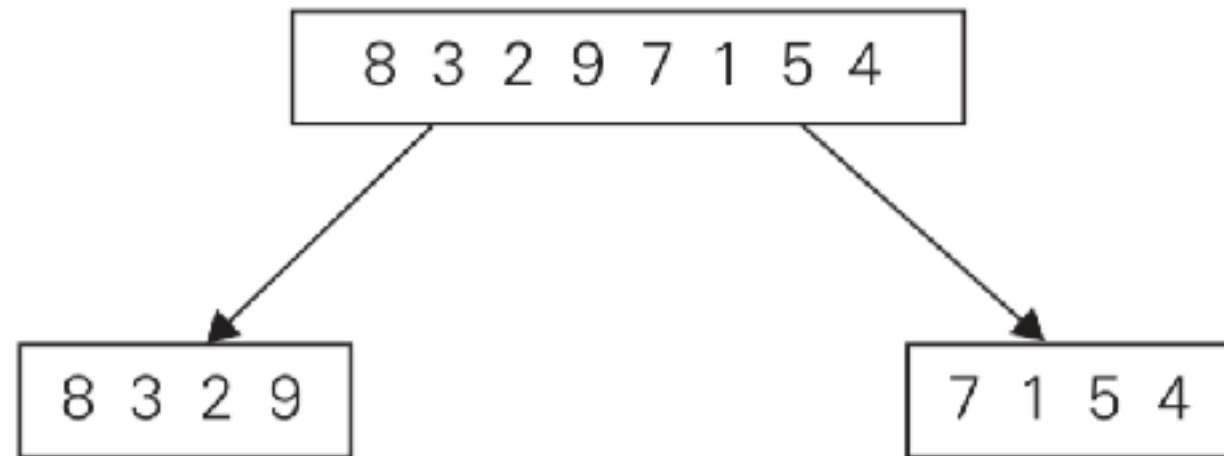


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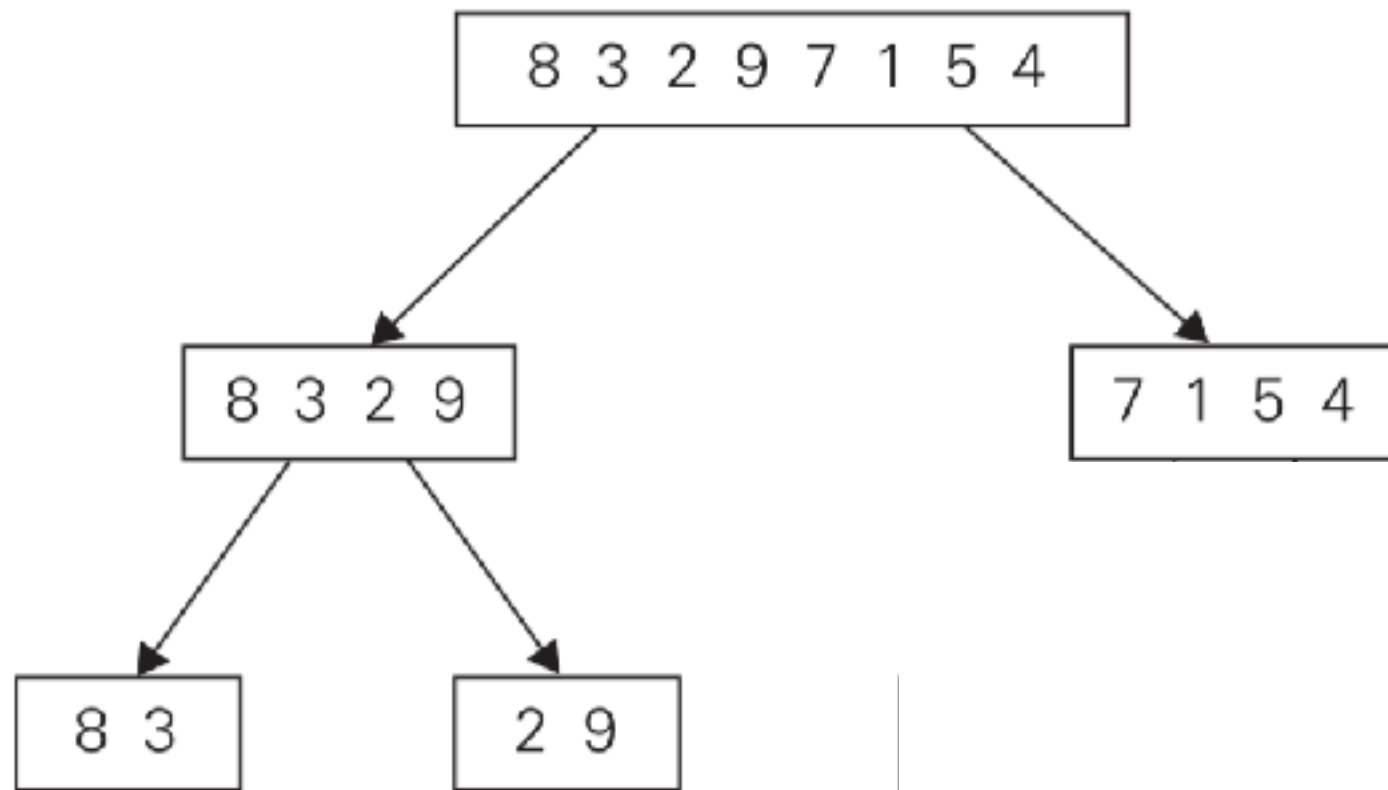
8	3	2	9	7	1	5	4
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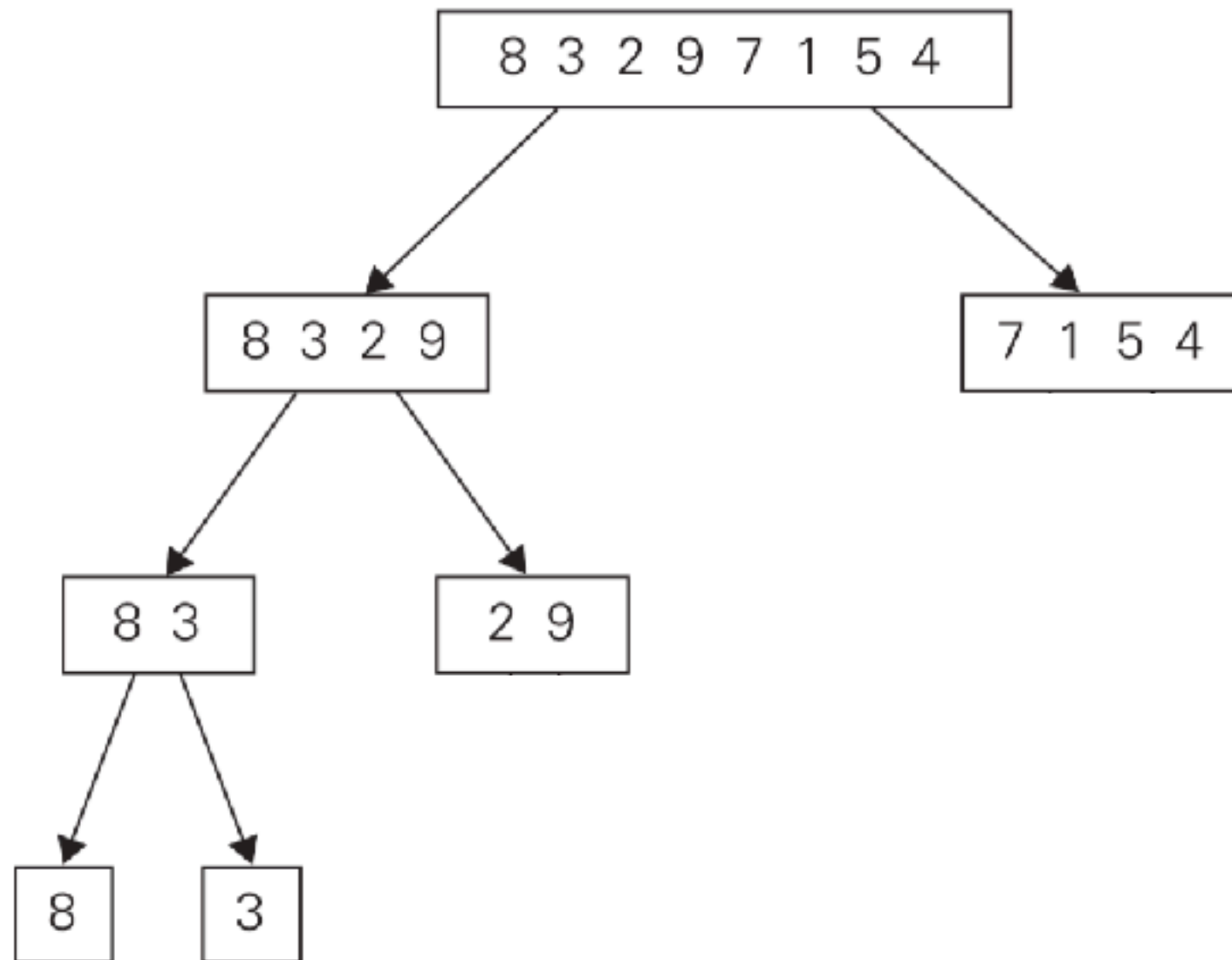
# Mergesort



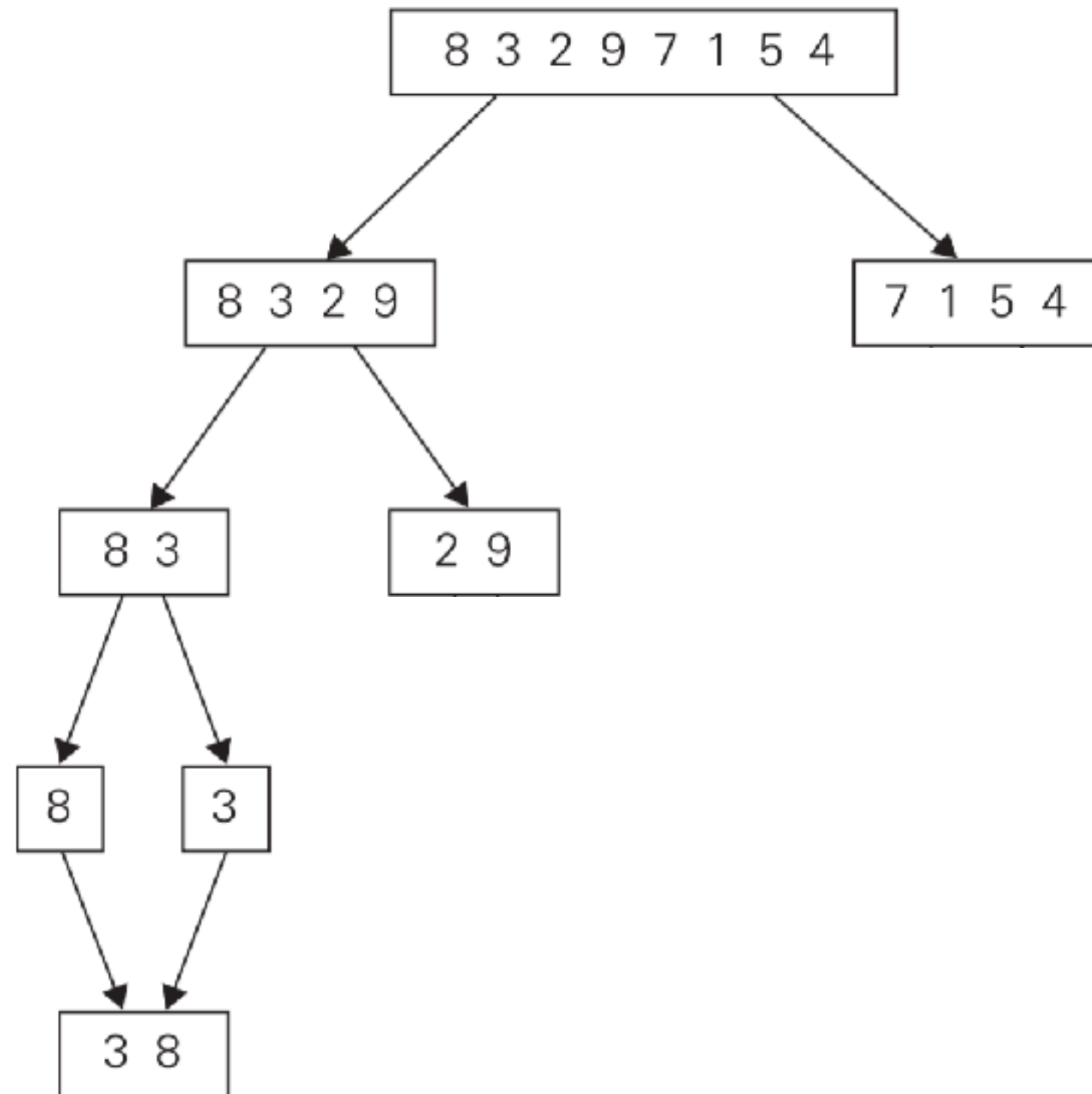
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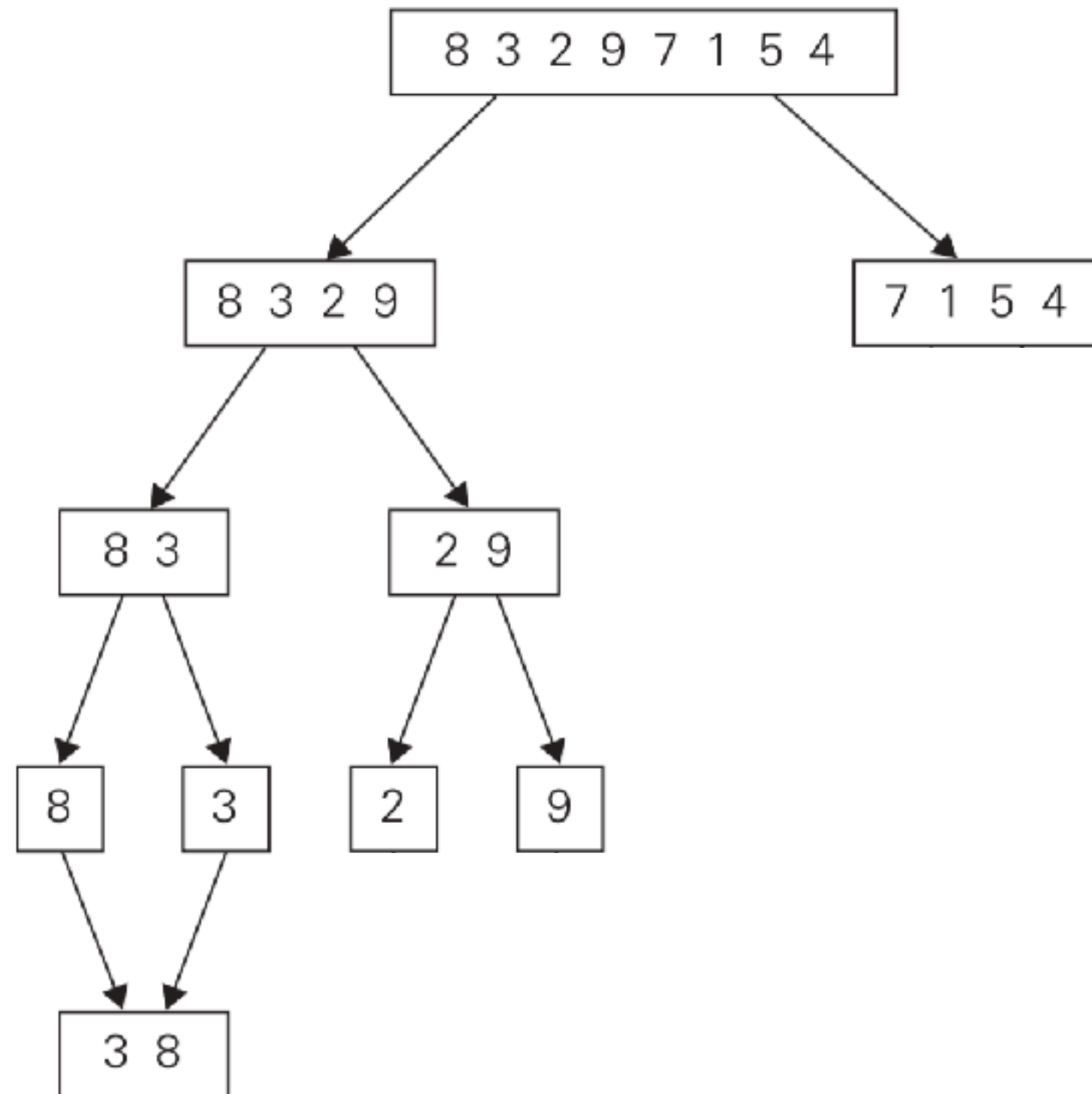
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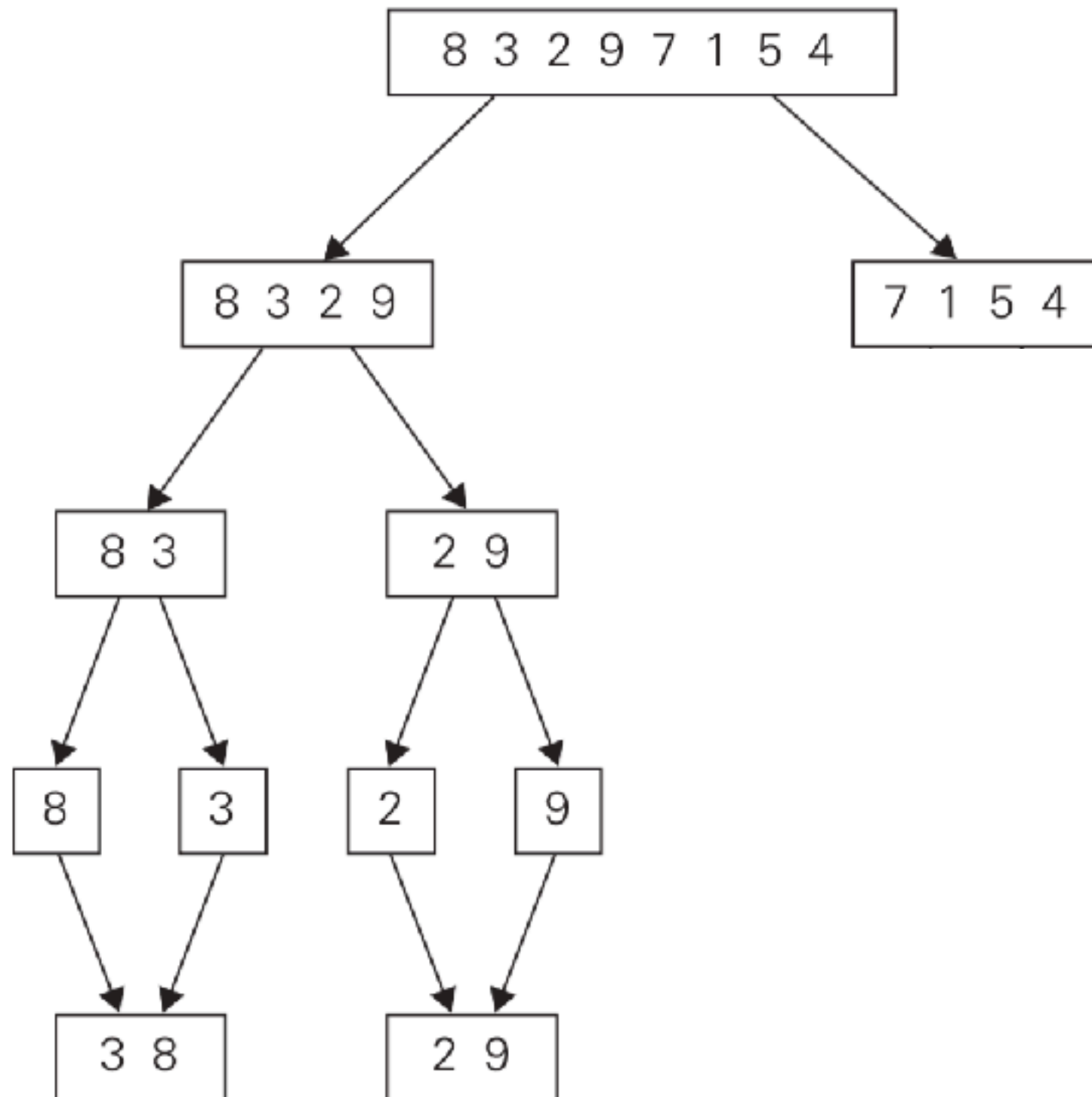
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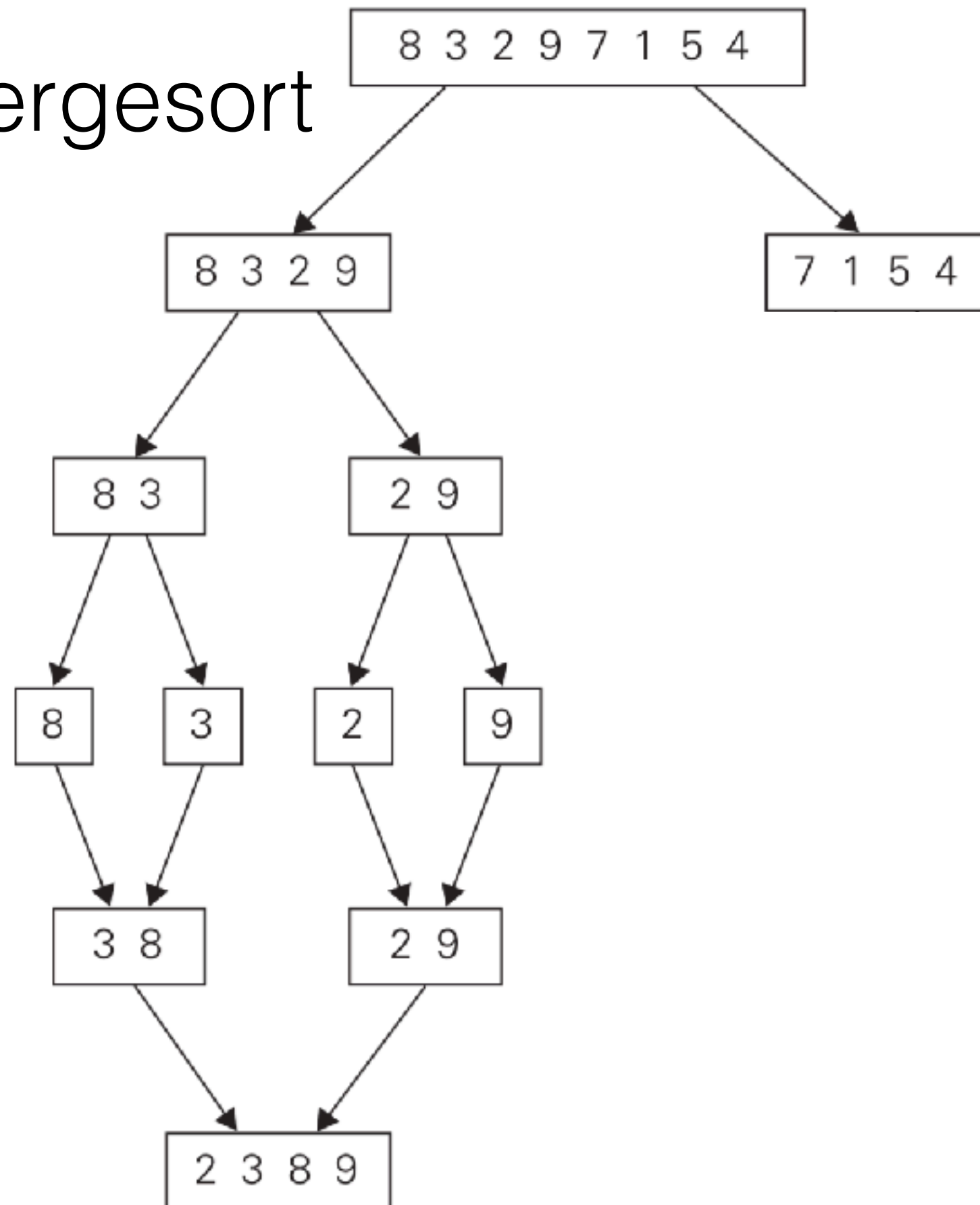
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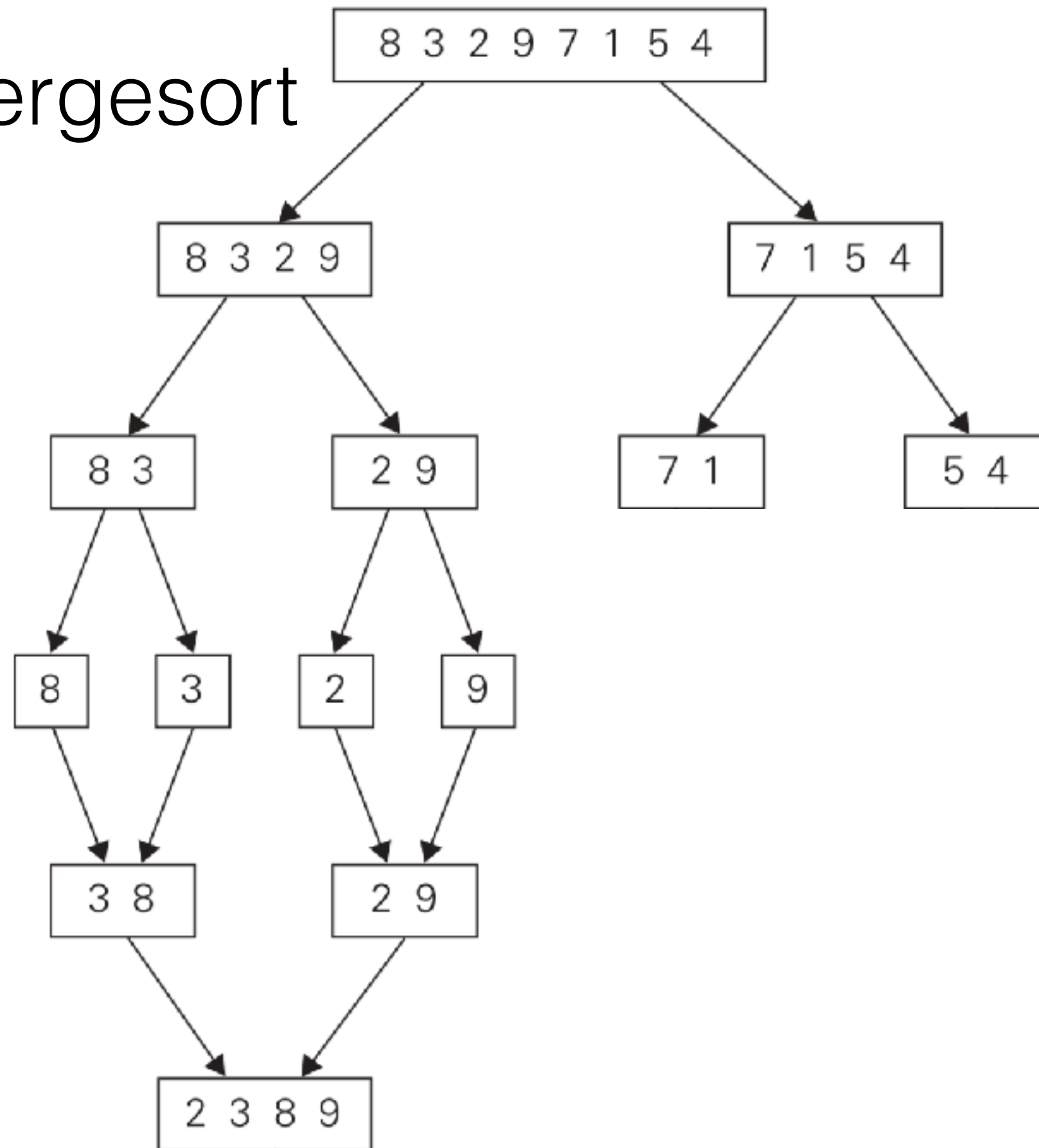
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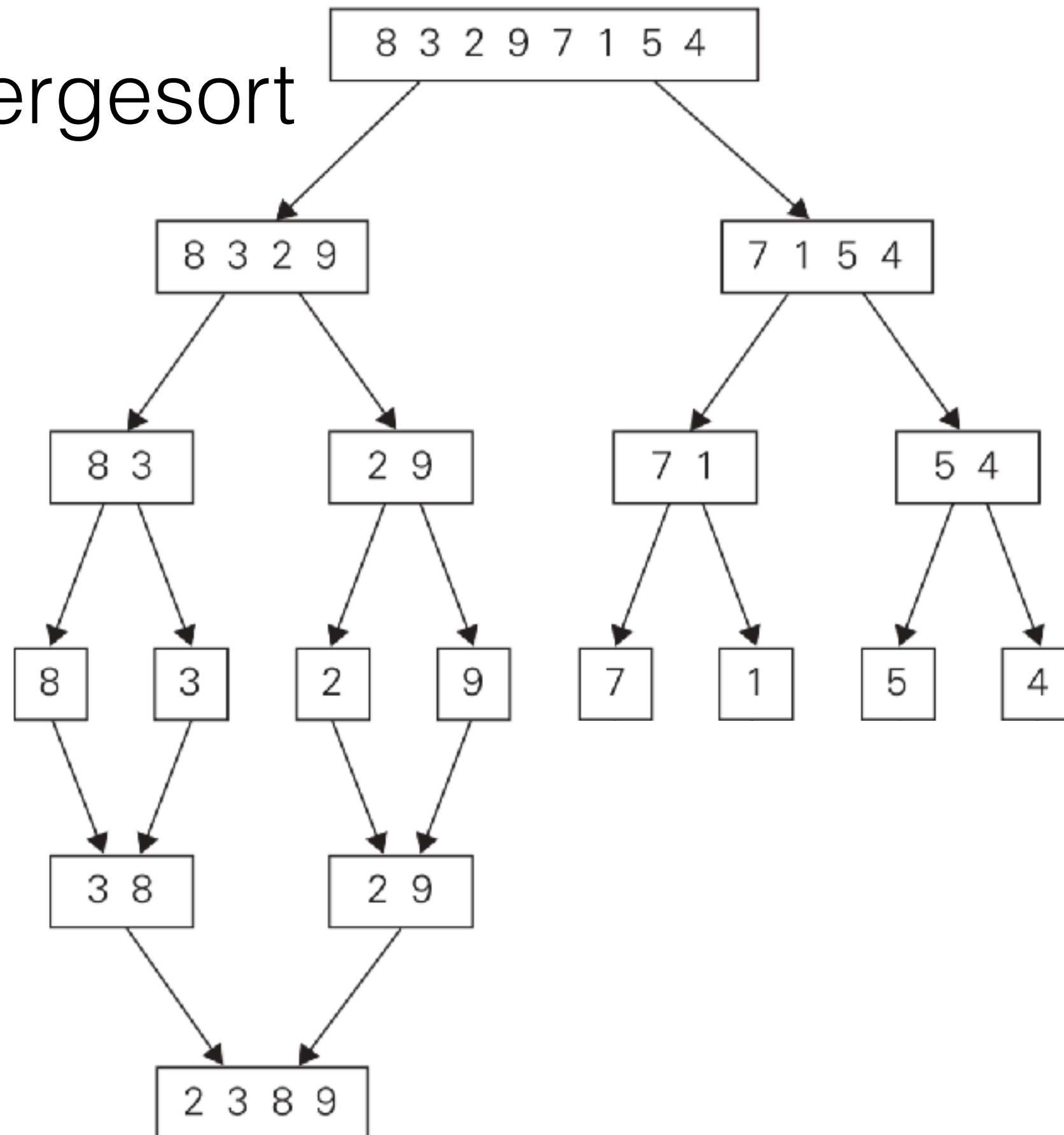


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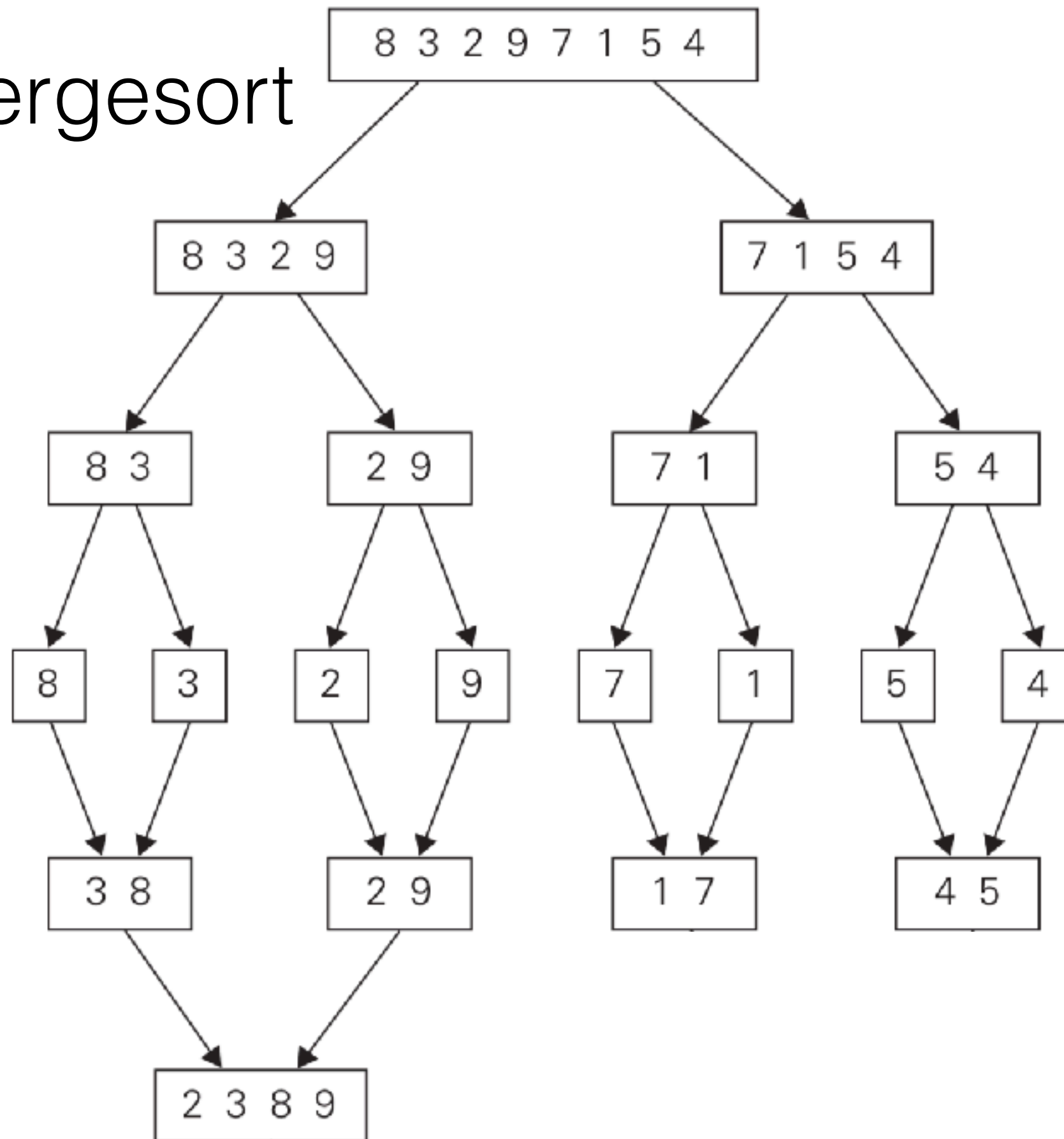




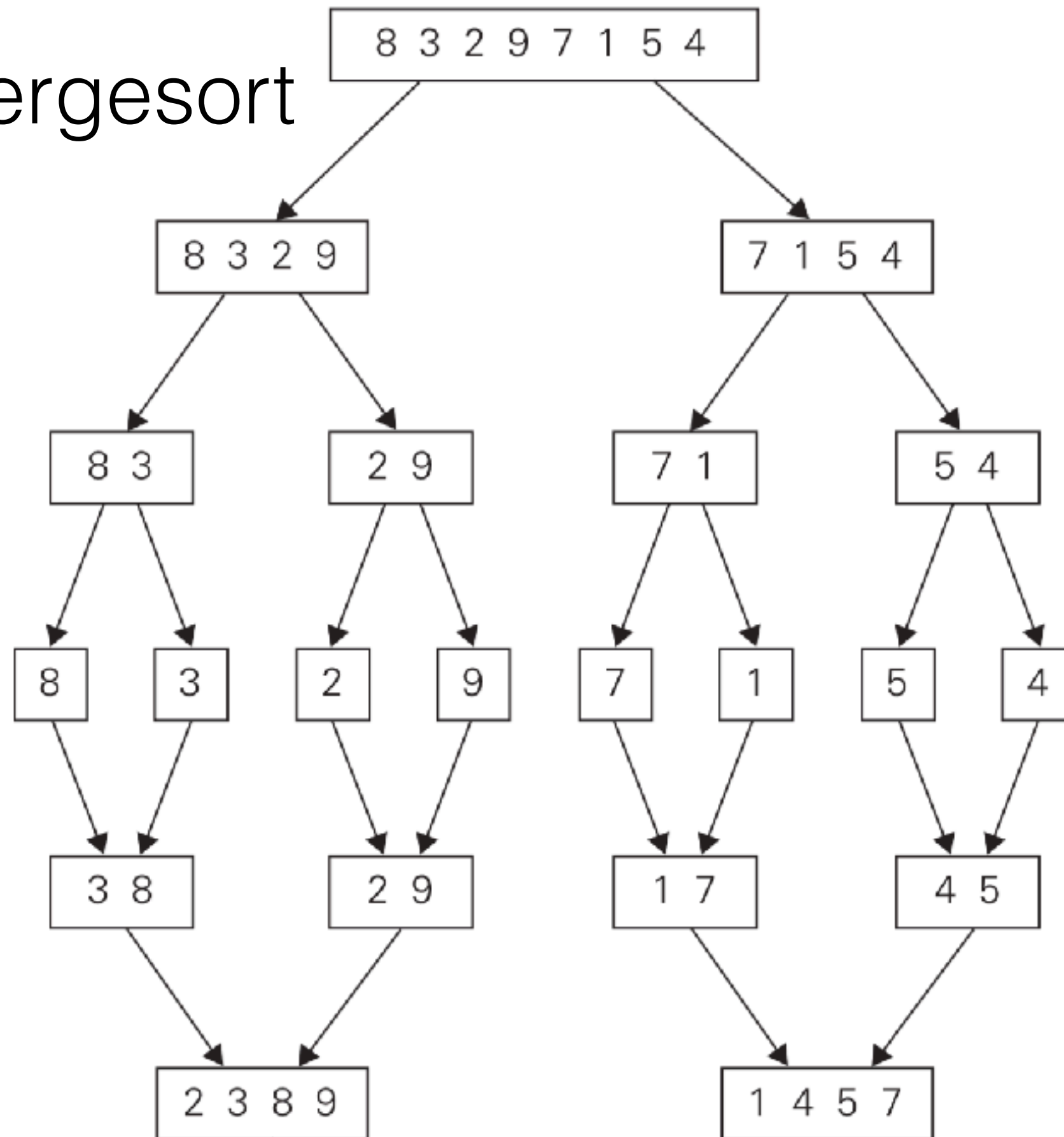
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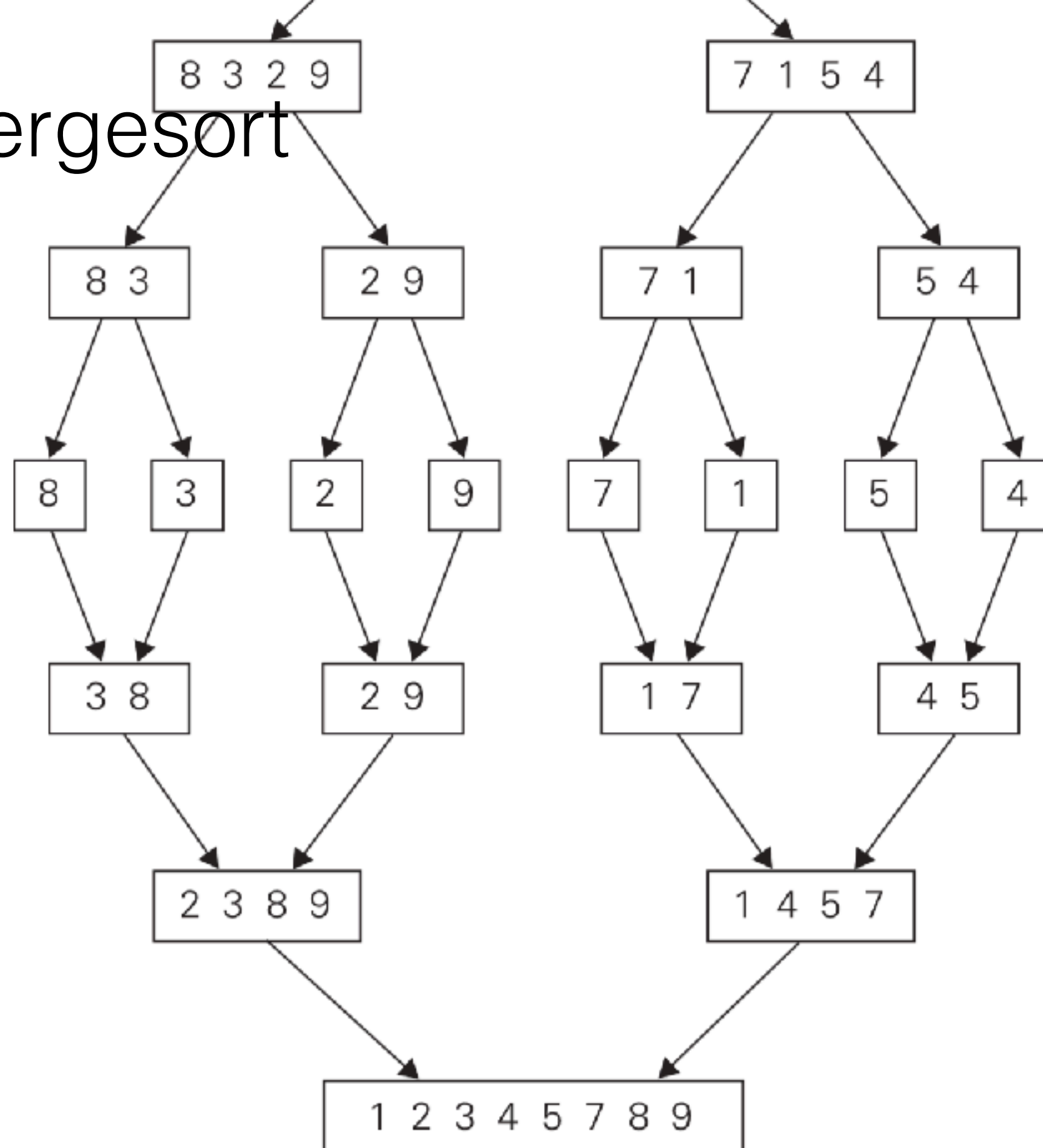
# Mergesort



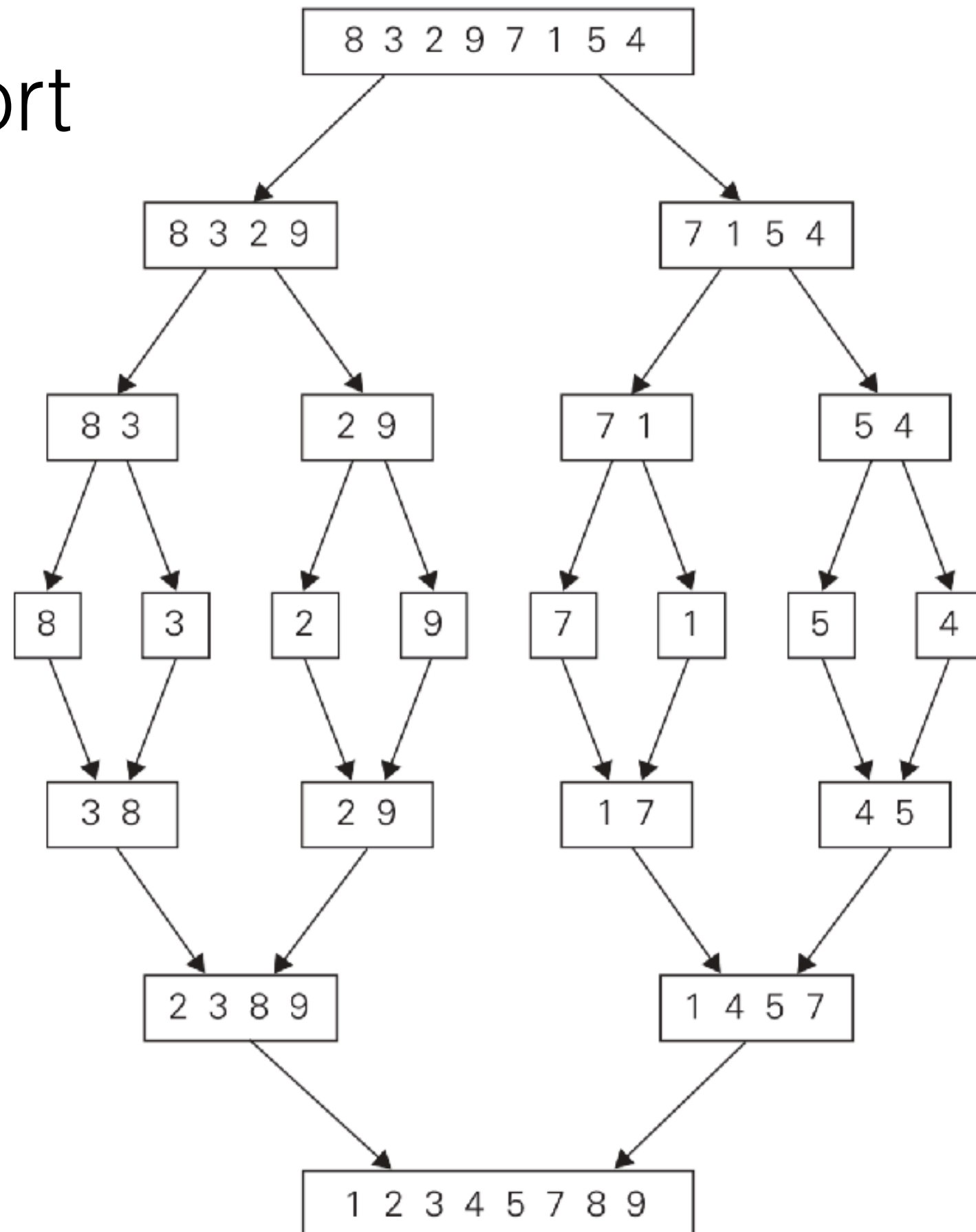
# Mergesort



# Mergesort



# Mergesort



# Mergesort: Merging Arrays



**procedure** MERGE( $B[\cdot]$ ,  $p$ ,  $C[\cdot]$ ,  $q$ ,  $A[\cdot]$ )

$i \leftarrow 0; j \leftarrow 0; k \leftarrow 0$

**while**  $i < p$  and  $j < q$  **do**

**if**  $B[i] \leq C[j]$  **then**

$A[k] \leftarrow B[i]$

$i \leftarrow i + 1$

**else**

$A[k] \leftarrow C[j]$

$j \leftarrow j + 1$

$k \leftarrow k + 1$

**if**  $i = p$  **then**

    copy  $C[j]..C[q - 1]$  to  $A[k]..A[p + q - 1]$        $\triangleright$  (a for loop)

**else**

    copy  $B[i]..B[p - 1]$  to  $A[k]..A[p + q - 1]$        $\triangleright$  (a for loop)

# Mergesort: Merging Arrays



B:

2	3	8	9
0	1	2	3
i			

C:

1	4	5	7
0	1	2	3
j			

p: 4  
q: 4

A:

0	1	2	3	4	5	6	7
k							

# Mergesort: Merging Arrays



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**procedure** MERGE( $B[\cdot]$ ,  $p$ ,  $C[\cdot]$ ,  $q$ ,  $A[\cdot]$ )

$i \leftarrow 0; j \leftarrow 0; k \leftarrow 0$

**while**  $i < p$  and  $j < q$  **do**

**if**  $B[i] \leq C[j]$  **then**

$A[k] \leftarrow B[i]$

$i \leftarrow i + 1$

**else**

$A[k] \leftarrow C[j]$

$j \leftarrow j + 1$

$k \leftarrow k + 1$

**if**  $i = p$  **then**

    copy  $C[j]..C[q - 1]$  to  $A[k]..A[p + q - 1]$        $\triangleright$  (a for loop)

**else**

    copy  $B[i]..B[p - 1]$  to  $A[k]..A[p + q - 1]$        $\triangleright$  (a for loop)

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j    p: 4  
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A:

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k

# Mergesort: Analysis

- How many comparisons will MERGE need to make in the worst case, when given arrays of size  $\lfloor n/2 \rfloor$  and  $\lceil n/2 \rceil$ ?

$$C(n) = 2C(n/2) + C_{\text{merge}}(n)$$

$$C_{\text{worst}}(n) = 2C(n/2) + n - 1$$

- If the largest and second-largest elements are in different arrays, then  $n - 1$  comparisons. Hence the cost equation for Mergesort is

$$C(n) = \begin{cases} 0 & \text{if } n < 2 \\ 2C(n/2) + n - 1 & \text{otherwise} \end{cases}$$

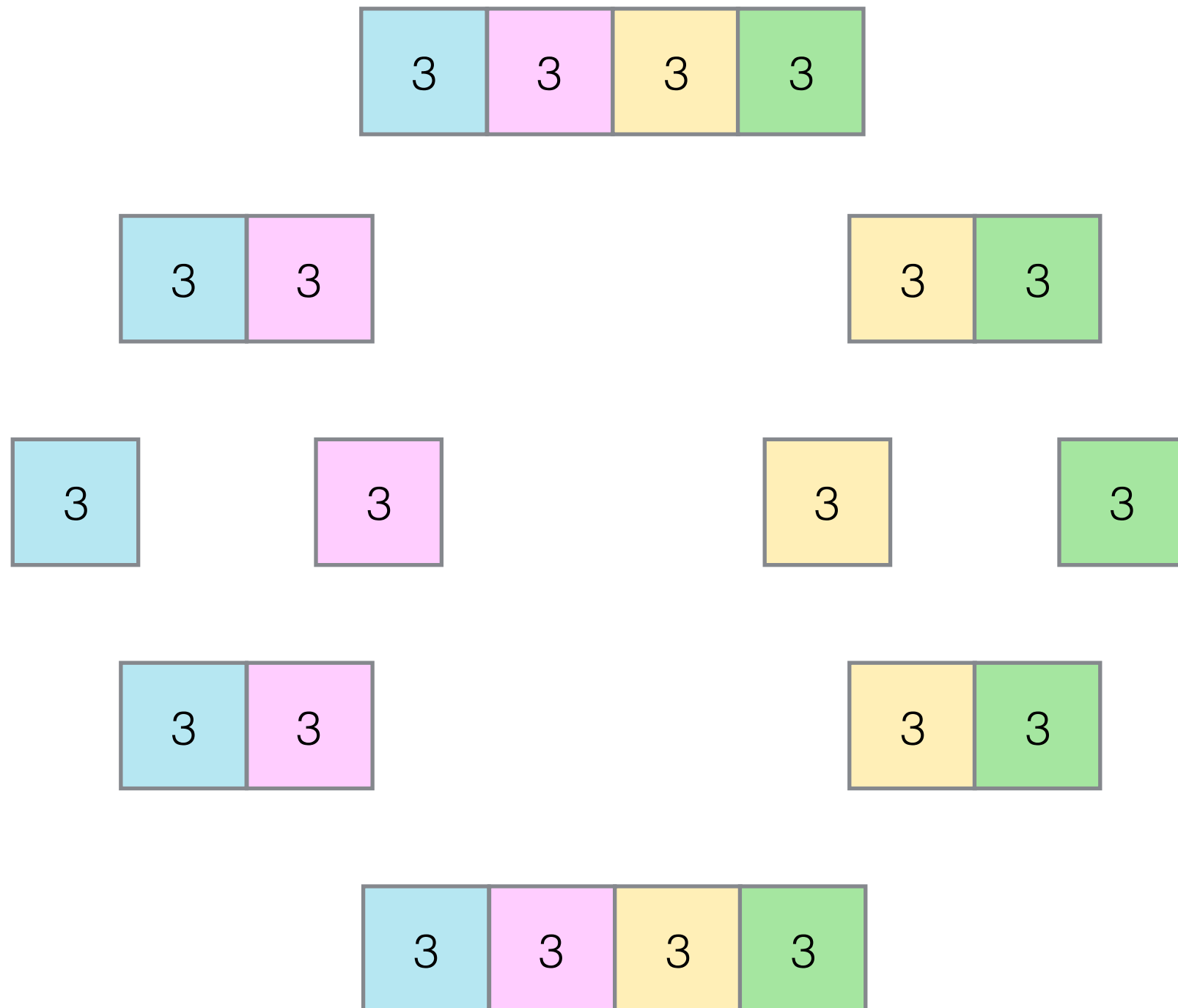
- By the Master Theorem,  $C(n) \in \underline{\Theta(n \log n)}$ .



# Mergesort: Properties

- For large  $n$ , the number of comparisons made tends to be around 75% of the worst-case scenario.
- Is mergesort stable? ?
- Is mergesort in-place? no
- If comparisons are fast, mergesort ranks between quicksort and heapsort (covered next week) for time, assuming random data.
- Mergesort is the method of choice for linked lists and for very large collections of data.

# Mergesort: Stability

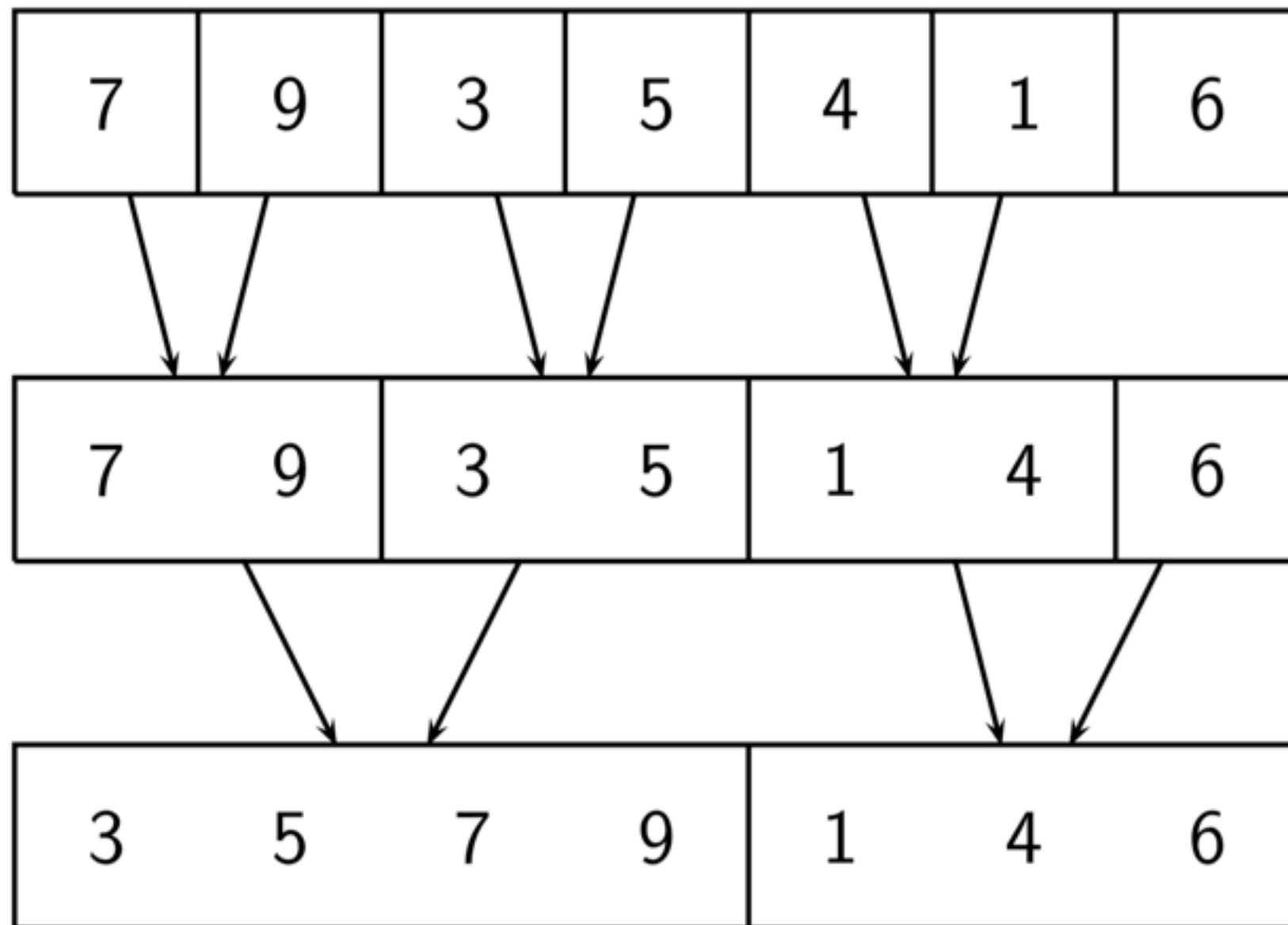


# Mergesort: Properties

- For large  $n$ , the number of comparisons made tends to be around 75% of the worst-case scenario.
- Is mergesort stable? yes
- Is mergesort in-place? no
- If comparisons are fast, mergesort ranks between quicksort and heapsort (covered next week) for time, assuming random data.
- Mergesort is the method of choice for linked lists and for very large collections of data.

# Bottom-Up Mergesort

- An alternative way of doing mergesort:
- Generate **runs** of length 2, then of length 4, and so on:



# Quicksort

- Quicksort takes a divide-and-conquer approach that is different to mergesort's.
- It uses the **partitioning** idea from QuickSelect, picking a pivot element, and partitioning the array around that, so as to obtain this situation: *pivot: for now, we use the simplest strategy of selecting subarray's first element*

$$\underbrace{A[0] \dots A[s-1]}_{\text{all are } \leq A[s]} \quad A[s] \quad \underbrace{A[s+1] \dots A[n-1]}_{\text{all are } \geq A[s]}$$

- The element  $A[s]$  will be in its final position (it is the  $(s+1)$ th smallest element).
- All that then needs to be done is to sort the segment to the left, recursively, as well as the segment to the right.

# Quicksort

- Very short and elegant:

i n d i c e s

```
procedure QUICKSORT( $A[\cdot]$ ,  $lo$ ,  $hi$ )  
  if  $lo < hi$  then  
     $s \leftarrow$  PARTITION( $A$ ,  $lo$ ,  $hi$ )  
    QUICKSORT( $A$ ,  $lo$ ,  $s - 1$ )  
    QUICKSORT( $A$ ,  $s + 1$ ,  $hi$ )
```

s is a split position

- Initial call: Quicksort( $A$ , 0,  $n - 1$ ).

# Quicksort: Example



```
procedure QUICKSORT( $A[\cdot]$ ,  $lo$ ,  $hi$ )  
  if  $lo < hi$  then  
     $s \leftarrow \text{PARTITION}(A, lo, hi)$   
    QUICKSORT( $A, lo, s - 1$ )  
    QUICKSORT( $A, s + 1, hi$ )
```

A:

9	23	8	41	22	3	37
0	1	2	3	4	5	6

# Quicksort: Example



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```

A:

3	8	9	41	22	23	37
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# Quicksort: Example



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# Hoare Partitioning

- The standard way of doing partitioning in Quicksort

**function** PARTITION( $A[\cdot]$ ,  $lo$ ,  $hi$ )

$p \leftarrow A[lo]$ ;  $i \leftarrow lo$ ;  $j \leftarrow hi$

**repeat**

**while**  $i < hi$  and  $A[i] \leq p$  **do**  $i \leftarrow i + 1$

**while**  $j \geq lo$  and  $A[j] > p$  **do**  $j \leftarrow j - 1$

$swap(A[i], A[j])$

**until**  $i \geq j$

$swap(A[i], A[j])$

$swap(A[lo], A[j])$

**return**  $j$

▷ Undo the last swap

▷ Bring pivot to its correct position

# Hoare Partitioning



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function PARTITION( $A[\cdot]$ ,  $lo$ ,  $hi$ )  
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  until  $i \geq j$   
   $swap(A[i], A[j])$   
   $swap(A[lo], A[j])$   
  return  $j$ 
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9	23	8	41	22	3	37
0	1	2	3	4	5	6
i						j

p: 9

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function PARTITION( $A[\cdot]$ ,  $lo$ ,  $hi$ )  
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$p$ : 9

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$p$ : 9



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    while  $j \geq lo$  and  $A[j] > p$  do  $j \leftarrow j - 1$   
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   $swap(A[i], A[j])$   
   $swap(A[lo], A[j])$   
  return  $j$ 
```

A:

9	3	8	41	22	23	37
0	1	2	3	4	5	6

p: 9

i  
j

# Hoare Partitioning



```
function PARTITION( $A[\cdot]$ ,  $lo$ ,  $hi$ )  
   $p \leftarrow A[lo]$ ;  $i \leftarrow lo$ ;  $j \leftarrow hi$   
  repeat  
    while  $i < hi$  and  $A[i] \leq p$  do  $i \leftarrow i + 1$   
    while  $j \geq lo$  and  $A[j] > p$  do  $j \leftarrow j - 1$   
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j    i

p: 9

# Quicksort Analysis: Best Case Analysis

- The best case happens when the pivot is the median; that results in two sub-tasks of equal size.

$$C_{best}(n) = \begin{cases} 0 & \text{if } n < 2 \\ 2C_{best}(n/2) + n & \text{otherwise} \end{cases}$$

The 'n' is for the n key comparisons performed by Partition.

- By the Master Theorem,  $C_{best}(n) \in \Theta(n \log n)$ , just as for mergesort, so quicksort's best case is (asymptotically) no better than mergesort's worst case.

# Quicksort Worst Case

A:



# Quicksort Analysis: Worst Case Analysis

- The worst case happens if the array is already sorted.
- In that case, we don't really have divide-and-conquer, because each recursive call deals with a problem size that has only been decremented by 1:

$$C_{worst}(n) = \begin{cases} 0 & \text{if } n < 2 \\ C_{worst}(n - 1) + n & \text{otherwise} \end{cases}$$

不能使用master theorem来计算

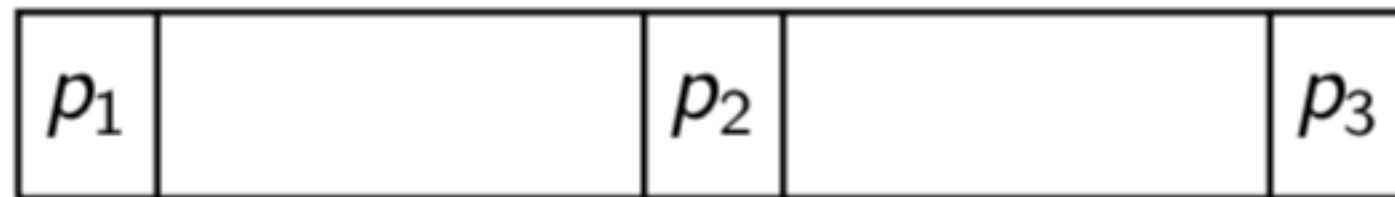
- That is,  $C_{worst}(n) = n + (n - 1) + \dots + 3 + 2 \in \Theta(n^2)$ .

# Quicksort Improvements:



## Median-of-Three

- It would be better if the pivot was chosen randomly.
- A cheap and useful approximation to this is to take the median of three candidates,  $A[lo]$ ,  $A[hi]$ , and  $A[\lfloor (lo + hi)/2 \rfloor]$ .



- Reorganise the three elements so that  $p_1$  is the median, and  $p_3$  is the largest of the three.
- Now run quicksort as before.

# Quicksort Improvements: Median-of-Three

- In fact, with median-of-three, we can have a much faster version than before, simplifying tests in the innermost loops:

```
function PARTITION( $A[\cdot]$ ,  $lo$ ,  $hi$ )  
   $p \leftarrow A[lo]$ ;  $i \leftarrow lo$ ;  $j \leftarrow hi + 1$   
  repeat  
    while  $i < hi$  and  $A[i] \leq p$  do  $i \leftarrow i + 1$   
    repeat  $i \leftarrow i + 1$  until  $A[i] \geq p$   
    while  $j \geq lo$  and  $A[j] > p$  do  $j \leftarrow j - 1$   
    repeat  $j \leftarrow j - 1$  until  $A[j] \leq p$   
     $swap(A[i], A[j])$   
  until  $i \geq j$   
   $swap(A[i], A[j])$   
   $swap(A[lo], A[j])$   
  return  $j$ 
```

# Quicksort Improvements:

## Early Cut-Off



- A second useful improvement is to stop quicksort early and switch to insertion sort. This is easily implemented:

**procedure** SORT( $A[\cdot], n$ )

    QUICKALMOSTSORT( $A, 0, n - 1$ )

    INSERTIONSORT( $A, n$ )

**procedure** QUICKALMOSTSORT( $A[\cdot], lo, hi$ )

**if**  $lo + 10 < hi$  **then**

$s \leftarrow$  PARTITION( $A, lo, hi$ )

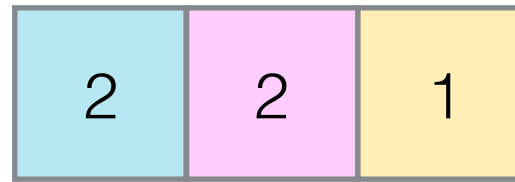
        QUICKALMOSTSORT( $A, lo, s - 1$ )

        QUICKALMOSTSORT( $A, s + 1, hi$ )

# Quicksort Properties

- With these (and other) improvements, quicksort is considered the best available sorting method for arrays of random data.
- A major reason for its speed is the very tight inner loop in PARTITION.
- Although mergesort has a better performance guarantee, quicksort is faster on average.
- In the best case, we get  $\lceil \log_2 n \rceil$  recursive levels. It can be shown that on random data, the expected number is  $2 \log_e n \approx 1.38 \log_2 n$ . So quicksort's average behaviour is very close to the best-case behaviour.
- Is quicksort stable? ?
- Is it in-place? yes

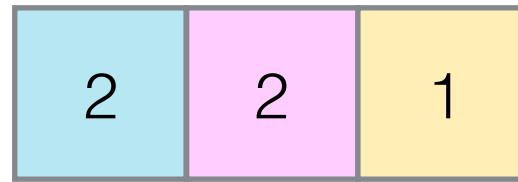
# Quicksort Stability



i

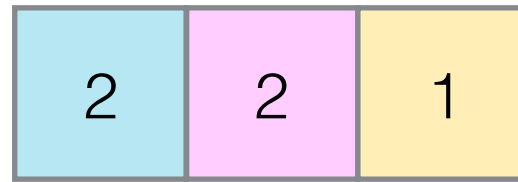
j

# Quicksort Stability



i      j

# Quicksort Stability

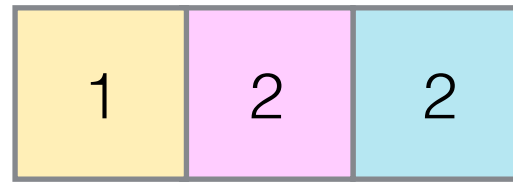


j

i

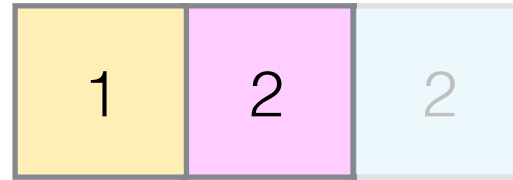


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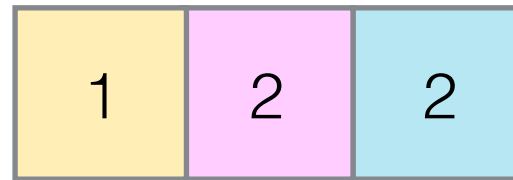


j  
i

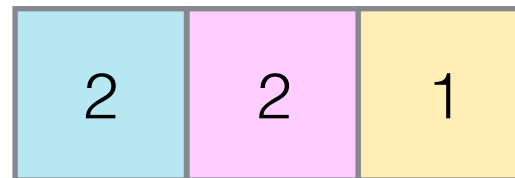
# Quicksort Stability



# Quicksort Stability



This is where we finished



This is where we started

Not stable

# Quicksort Properties

- With these (and other) improvements, quicksort is considered the best available sorting method for arrays of random data.
- A major reason for its speed is the very tight inner loop in PARTITION.
- Although mergesort has a better performance guarantee, quicksort is faster on average.
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So quicksort's average behaviour is very close to the best-case behaviour.
- Is quicksort stable? no
- Is it in-place? yes

# Next up

- Tree traversal methods, plus we apply the divide-and-conquer technique to the closest-pair problem.