CS101 Algorithms and Data Structures

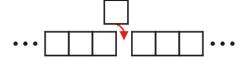
Merge Sort Textbook Ch 1.4, 7



Classifications

The operations of a sorting algorithm are based on the actions performed:

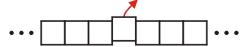




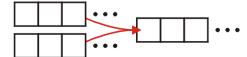
Exchanging



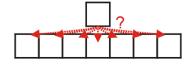
- Selection



Merging



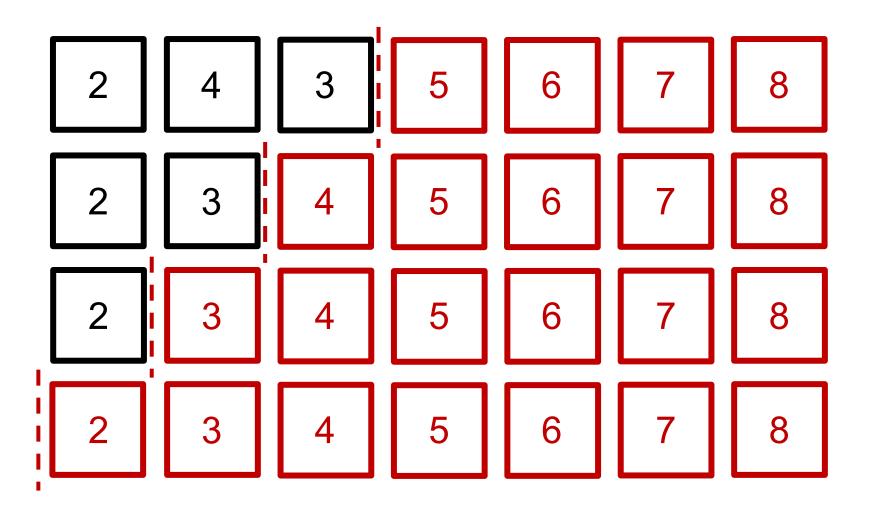
Distribution



Which sort algorithm?

7	8	5	2	4	6	3
7	5	2	4	6	3	8
5	2	4	6	3	7	8
2	4	5	3	6	7	8

Bubble Sort

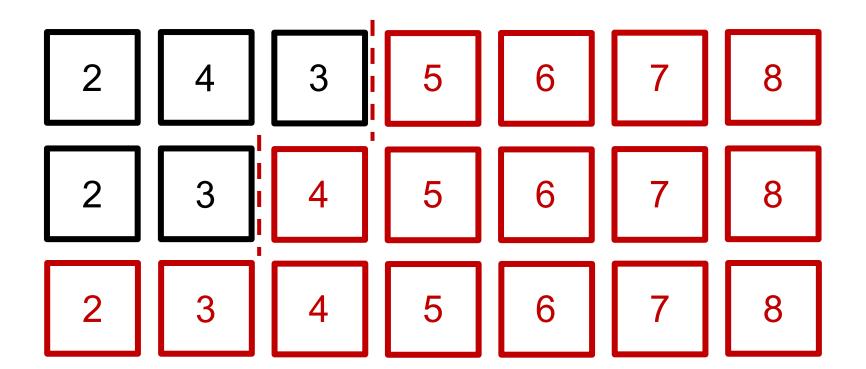


Flagged Bubble Sort

Check if the list is sorted (no swaps)

```
template <typename Type>
void bubble( Type *const array, int const n ) {
  for ( int i = n - 1; i > 0; --i ) {
         Type max = array[0];
         bool sorted = true;
         for ( int j = 1; j <= i; ++j ) {
                if ( array[j] < max ) {</pre>
                       array[j - 1] = array[j];
                       sorted = false;
                } else {
                       array[j - 1] = max;
                      max = array[j];
         array[i] = max;
         if ( sorted ) {
                break;
```

Flagged Bubble Sort

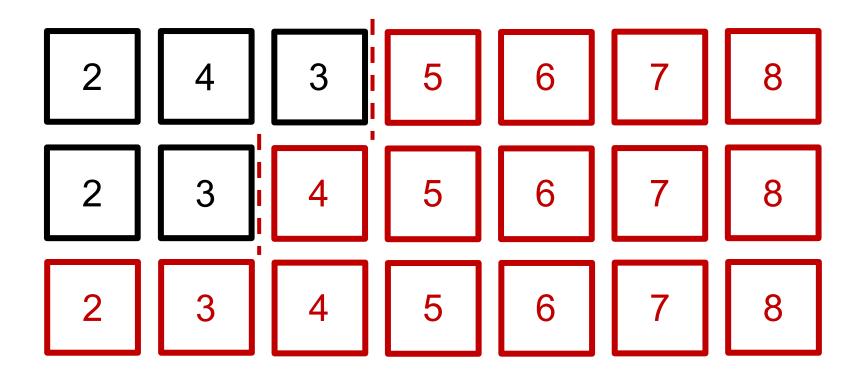


Range-limiting Bubble Sort

Update i to at the place of the last swap

```
template <typename Type>
void bubble( Type *const array, int const n ) {
 for ( int i = n - 1; i > 0; ) {
       Type max = array[0];
       int ii = 0;
       for ( int j = 1; j <= i; ++j ) {
             if ( array[j] < max ) {</pre>
                   array[j - 1] = array[j];
                   ii = i - 1;
             } else {
                   array[j - 1] = max;
                  max = array[j];
       array[i] = max;
       i = ii;
```

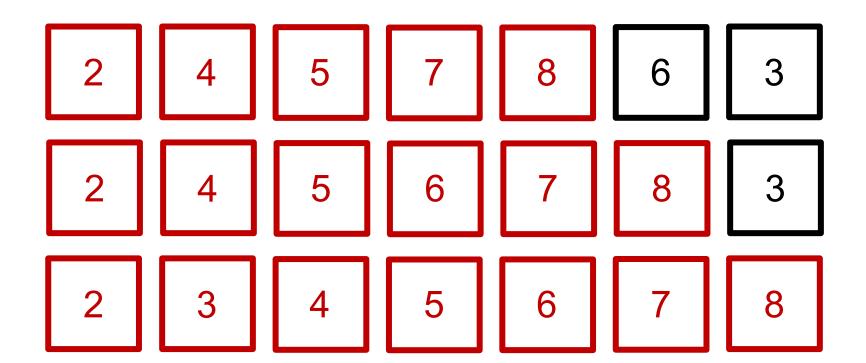
Range-limiting Bubble Sort



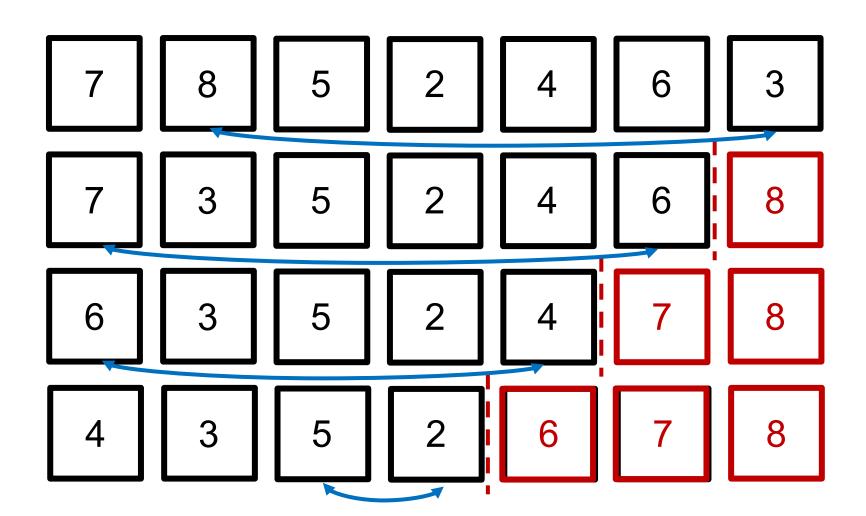
Which sort algorithm?

7	8	5	2	4	6	3
7	8	5	2	4	6	3
5	7	8	2	4	6	3
2	5	7	8	4	6	3

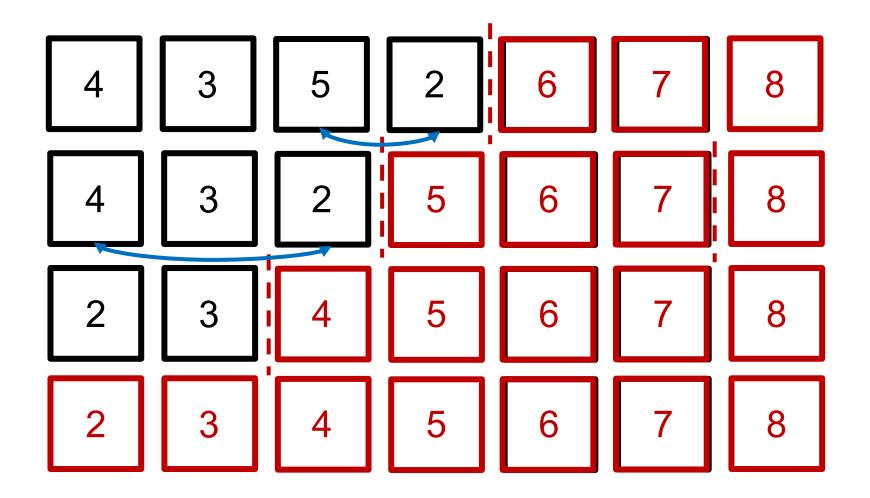
Insertion Sort



Which sort algorithm?



Selection Sort



Stability in sorting algorithms

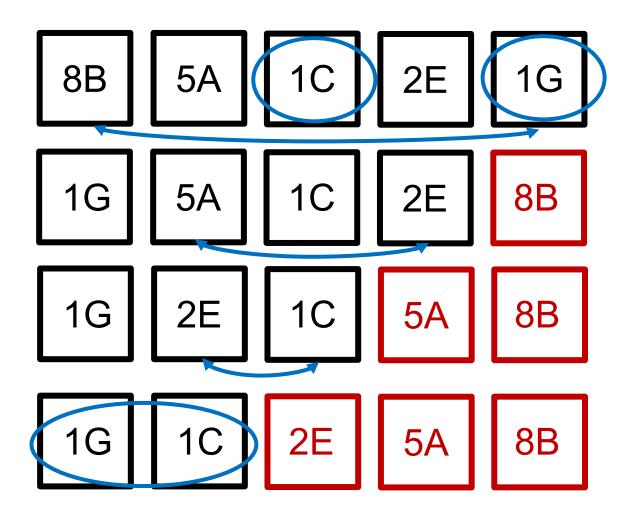
 The stability of a sorting algorithm is concerned with how the algorithm treats equal (or repeated) elements. Stable sorting algorithms preserve the relative order of equal elements, while unstable sorting algorithms don't. In other words, stable sorting maintains the position of two equals elements relative to one another.

Stability in sorting algorithms

 Let A be a collection of elements and < be a strict weak ordering on the elements. Further, let B be the collection of elements in A in the sorted order. Let's consider two equal elements in A at indices i and j, i.e., A[i] and A[j], that end up at indices m and n respectively in B.
 We can classify the sorting as stable if:

$$i < j$$
, $A[i] = A[j]$, and $m < n$

Selection Sort



Outline

- Insertion sort
- Bubble sort
- Merge sort

Outline

This topic covers merge sort

- A recursive divide-and-conquer algorithm
- Merging two lists
- The merge sort algorithm
- A run-time analysis

Merge Sort

The merge sort algorithm is defined recursively:

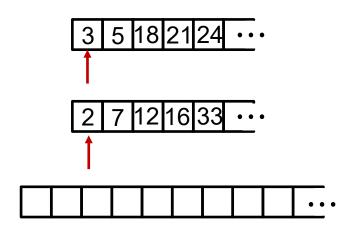
- If the list is of size 1, it is sorted—we are done;
- Otherwise:
 - Divide an unsorted list into two sub-lists,
 - Sort each sub-list recursively using merge sort, and
 - Merge the two sorted sub-lists into a single sorted list

This strategy is called *divide-and-conquer*

Question: How can we merge two sorted sub-lists into a single sorted list?

Consider the two sorted arrays and an empty array

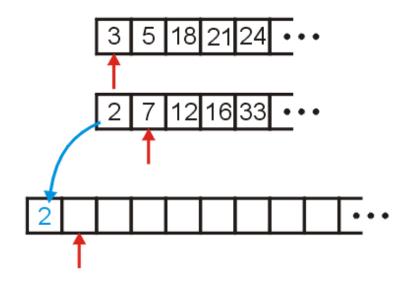
Define three indices at the start of each array



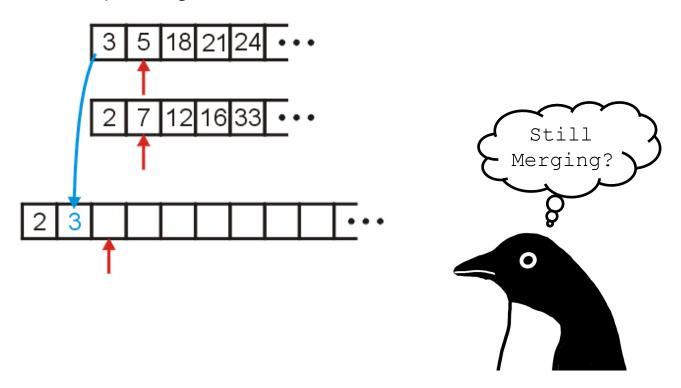


We compare 2 and 3: 2 < 3

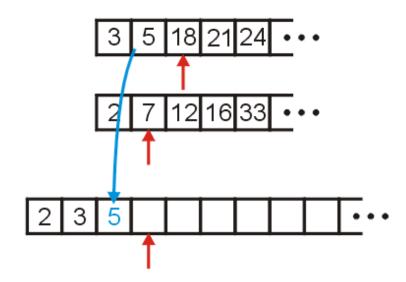
- Copy 2 down
- Increment the corresponding indices



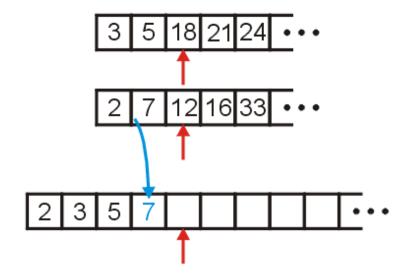
- Copy 3 down
- Increment the corresponding indices



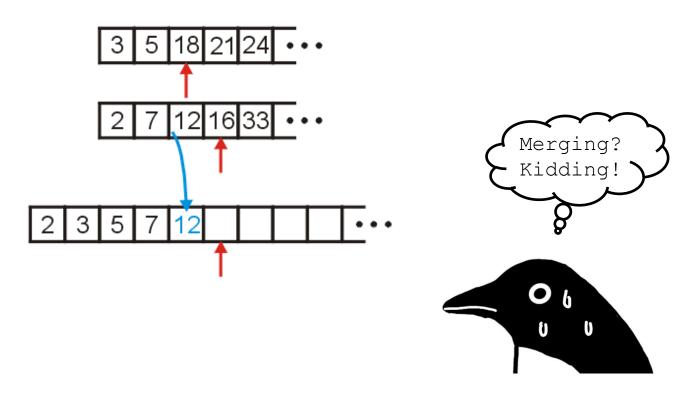
- Copy 5 down
- Increment the appropriate indices



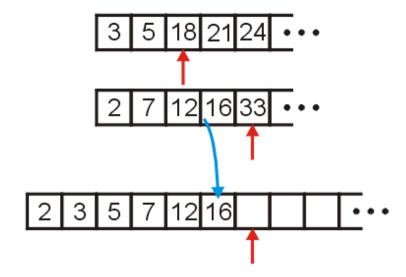
- Copy 7 down
- Increment...



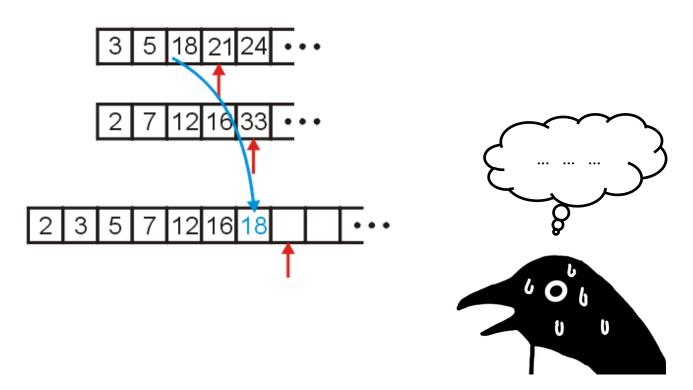
- Copy 12 down
- Increment...



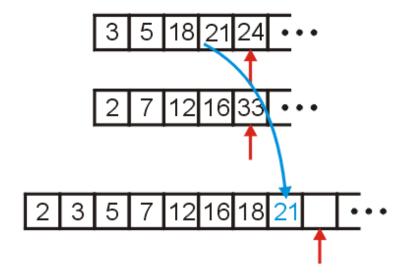
- Copy 16 down
- Increment...



- Copy 18 down
- Increment...

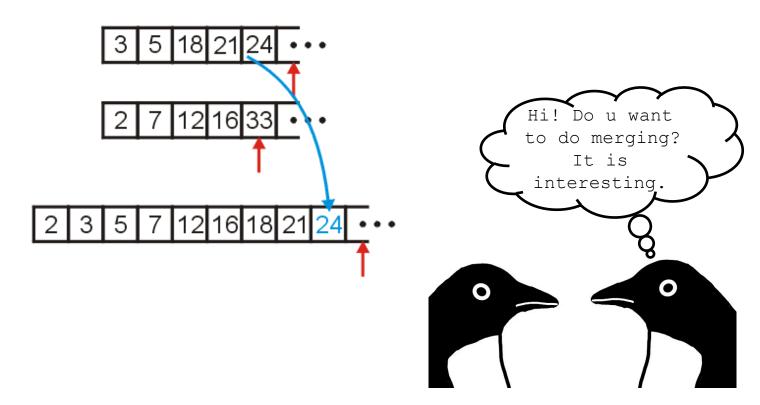


- Copy 21 down
- Increment...

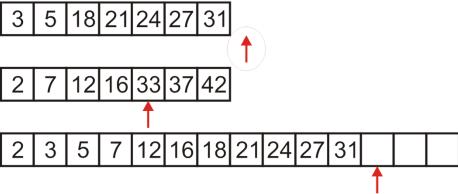


We compare 24 and 33

- Copy 24 down
- Increment...

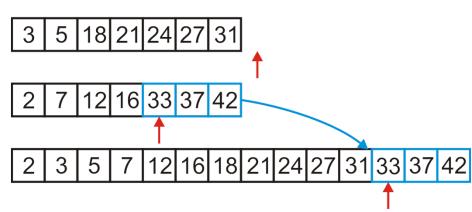


We would continue until we have passed beyond the limit of one of the two arrays



After this, we simply copy over all remaining entries in the non-

empty array



Merging Two Lists

Programming a merge is straight-forward:

- the sorted arrays, array1 and array2, are of size n1 and n2, respectively, and
- we have an empty array, arrayout, of size n1 + n2

Define three variables

```
int i1 = 0, i2 = 0, k = 0;
```

which index into these three arrays

Merging Two Lists

We can then run the following loop:

```
#include <cassert>
//...
int i1 = 0, i2 = 0, k = 0;
while ( i1 < n1 \&\& i2 < n2 ) {
    if ( array1[i1] < array2[i2] ) {</pre>
        arrayout[k] = array1[i1];
        ++i1;
    } else {
        assert( array1[i1] >= array2[i2] );
        arrayout[k] = array2[i2];
        ++i2;
    ++k;
```

Merging Two Lists

We're not finished yet, We have to empty out the remaining array

```
for (; i1 < n1; ++i1, ++k) {
    arrayout[k] = array1[i1];
}

for (; i2 < n2; ++i2, ++k) {
    arrayout[k] = array2[i2];
}</pre>
```

Analysis of merging

Time: we have to copy $n_1 + n_2$ elements

- Hence, merging may be performed in $\Theta(n_1 + n_2)$ time
- If the arrays are approximately the same size, $n = n_1 \approx n_2$, we can say that the run time is $\Theta(n)$

Space: we cannot merge two arrays in-place

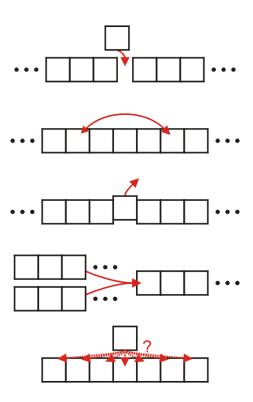
- This algorithm always required the allocation of a new array
- Therefore, the memory requirements are also $\Theta(n)$

The Algorithm

Recall the five sorting techniques:

- Insertion
- Exchange
- Selection
- Merging
- Distribution

Clearly merge sort falls into the fourth category



The Algorithm

The merge sort algorithm is defined recursively:

- If the list is of size 1, it is sorted—we are done;
- Otherwise:
 - Divide an unsorted list into two sub-lists,
 - · Sort each sub-list recursively using merge sort, and
 - Merge the two sorted sub-lists into a single sorted list

In practice:

- If the list size is less than a threshold, use an algorithm like insertion sort
- Otherwise:
 - Divide...

Implementation

```
Suppose we already have a function

template <typename Type>
void merge( Type *array, int a, int b, int c );

that assumes that the entries

array[a] through array[b - 1], and

array[b] through array[c - 1]

are sorted and merges these two sub-arrays into a single sorted array from index a through index c - 1, inclusive
```

For exam	nla	aivan	tha	arrav
i di Exam	ρι ς ,	given	uic	array,

9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33
13	77	49	35	61	3	23	48	73	89	95	17	32	37	57	94	99	28	15	55	7	51	88	97	62

a call to

void merge(array, 14, 20, 26);

merges the two sub-lists

9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33
13	77	49	35	61	3	23	48	73	89	95	17	32	37	57	94	99	28	15	55	7	51	88	97	62

forming

9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33
13	77	49	35	61	3	17	23	32	37	48	57	73	89	94	95	99	28	15	55	7	51	88	97	62

We implement a function

```
template <typename Type>
  void merge_sort( Type *array, int first, int last );
that will sort the entries in the positions first <= i and i < last</pre>
```

- If the number of entries is less than N, call insertion sort
- Otherwise:
 - Find the mid-point,
 - Call merge sort recursively on each of the halves, and
 - Merge the results

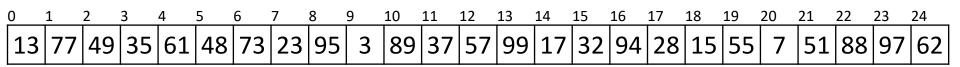
```
template <typename Type>
void merge_sort( Type *array, int first, int last ) {
    if ( last - first <= N ) {</pre>
        insertion sort( array, first, last );
    } else {
        int midpoint = (first + last)/2;
        merge sort( array, first, midpoint );
        merge_sort( array, midpoint, last );
        merge( array, first, midpoint, last );
```

Like merge sort, insertion sort will sort a sub-range of the array:

```
template <typename Type>
void insertion sort( Type *array, int first, int last ) {
    for ( int k = first + 1; k < last; ++k ) {</pre>
        Type tmp = array[k];
        for ( int j = k; k > first; --j ) {
            if ( array[j - 1] > tmp ) {
                array[j] = array[j - 1];
            } else {
                array[j] = tmp;
                goto finished;
        array[first] = tmp;
        finished: ;
```



Consider the following is of unsorted array of 25 entries



We will call insertion sort if the list being sorted of size N=6 or less

We call merge_sort(array, 0, 25)

```
    0
    1
    2
    3
    4
    5
    6
    7
    8
    9
    10
    11
    12
    13
    14
    15
    16
    17
    18
    19
    20
    21
    22
    23
    24

    13
    77
    49
    35
    61
    48
    73
    23
    95
    3
    89
    37
    57
    99
    17
    32
    94
    28
    15
    55
    7
    51
    88
    97
    62
```

```
merge_sort( array, 0, 25 )
```

We are calling merge_sort(array, 0, 25)

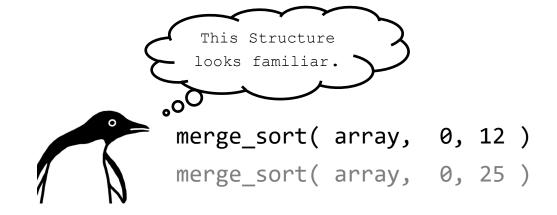
```
    13
    77
    49
    35
    61
    48
    73
    23
    95
    3
    89
    37
    57
    99
    17
    32
    94
    28
    15
    55
    7
    51
    88
    97
    62
```

```
First, 25-0>6, so find the midpoint and call merge_sort recursively midpoint = (0 + 25)/2; // == 12 merge_sort( array, 0, 12 );
```

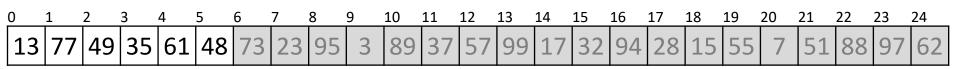
We are now executing merge_sort(array, 0, 12)

0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
13	77	49	35	61	48	73	23	95	3	89	37	57	99	17	32	94	28	15	55	7	51	88	97	62

First, 12-0>6, so find the midpoint and call merge_sort recursively midpoint = (0 + 12)/2; // == 6 merge_sort(array, 0, 6);



We are now executing merge_sort(array, 0, 6)



Now, $6-0 \le 6$, so find we call insertion sort

```
merge_sort( array, 0, 6 )
merge_sort( array, 0, 12 )
merge_sort( array, 0, 25 )
```

Insertion sort just sorts the entries from 0 to 5

0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
13	77	49	35	61	48	73	23	95	3	89	37	57	99	17	32	94	28	15	55	7	51	88	97	62

```
insertion_sort( array, 0, 6 )
merge_sort( array, 0, 6 )
merge_sort( array, 0, 12 )
merge_sort( array, 0, 25 )
```

Insertion sort just sorts the entries from 0 to 5



This function call completes and so we exit

```
insertion_sort( array, 0, 6 )
merge_sort( array, 0, 6 )
merge_sort( array, 0, 12 )
merge_sort( array, 0, 25 )
```

This call to merge_sort is now also finished, so it, too, exits

		2																						
13	35	48	49	61	77	73	23	95	3	89	37	57	99	17	32	94	28	15	55	7	51	88	97	62

```
merge_sort( array, 0, 6 )
merge_sort( array, 0, 12 )
merge_sort( array, 0, 25 )
```

We return to continue executing merge_sort(array, 0, 12)

0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
13	35	48	49	61	77	73	23	95	3	89	37	57	99	17	32	94	28	15	55	7	51	88	97	62

We continue calling

```
midpoint = (0 + 12)/2; // == 6
merge_sort( array, 0, 6 );
merge_sort( array, 6, 12 );
```

```
merge_sort( array, 0, 12 )
merge_sort( array, 0, 25 )
```

We are now executing merge_sort(array, 6, 12)

0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
13	35	48	49	61	77	73	23	95	3	89	37	57	99	17	32	94	28	15	55	7	51	88	97	62

Now, $12-6 \le 6$, so find we call insertion sort

```
merge_sort( array, 6, 12 )
merge_sort( array, 0, 12 )
merge_sort( array, 0, 25 )
```

Insertion sort just sorts the entries from 6 to 11

0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
13	35	48	49	61	77	73	23	95	3	89	37	57	99	17	32	94	28	15	55	7	51	88	97	62

```
insertion_sort( array, 6, 12 )
merge_sort( array, 6, 12 )
merge_sort( array, 0, 12 )
merge_sort( array, 0, 25 )
```

Insertion sort just sorts the entries from 6 to 11

0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
13	35	48	49	61	77	3	23	37	73	89	95	57	99	17	32	94	28	15	55	7	51	88	97	62

This function call completes and so we exit

```
insertion_sort( array, 6, 12 )
merge_sort( array, 6, 12 )
merge_sort( array, 0, 12 )
merge_sort( array, 0, 25 )
```

This call to merge_sort is now also finished, so it, too, exits

0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
13	35	48	49	61	77	3	23	37	73	89	95	57	99	17	32	94	28	15	55	7	51	88	97	62

```
merge_sort( array, 6, 12 )
merge_sort( array, 0, 12 )
merge_sort( array, 0, 25 )
```

We return to continue executing merge_sort(array, 0, 12)

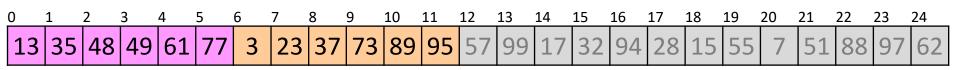
0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
13	35	48	49	61	77	3	23	37	73	89	95	57	99	17	32	94	28	15	55	7	51	88	97	62

We continue calling

```
midpoint = (0 + 12)/2; // == 6
merge_sort( array, 0, 6 );
merge_sort( array, 6, 12 );
merge( array, 0, 6, 12 );
```

```
merge_sort( array, 0, 12 )
merge_sort( array, 0, 25 )
```

We are executing merge (array, 0, 6, 12)



These two sub-arrays are merged together

```
merge( array, 0, 6, 12 )
merge_sort( array, 0, 12 )
merge_sort( array, 0, 25 )
```

We are executing merge (array, 0, 6, 12)

0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
3	13	23	35	37	48	49	61	73	77	89	95	57	99	17	32	94	28	15	55	7	51	88	97	62

These two sub-arrays are merged together

This function call exists

```
merge( array, 0, 6, 12 )
merge_sort( array, 0, 12 )
merge_sort( array, 0, 25 )
```

We return to executing merge_sort(array, 0, 12)

0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
3	13	23	35	37	48	49	61	73	77	89	95	57	99	17	32	94	28	15	55	7	51	88	97	62

We are finished calling this function as well

```
midpoint = (0 + 12)/2; // == 6
merge_sort( array, 0, 6 );
merge_sort( array, 6, 12 );
merge( array, 0, 6, 12 );
```

Consequently, we exit

```
merge_sort( array, 0, 12 )
merge_sort( array, 0, 25 )
```

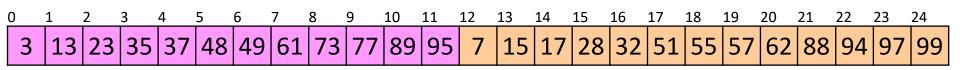
We return to executing merge_sort(array, 0, 25)

0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
3	13	23	35	37	48	49	61	73	77	89	95	57	99	17	32	94	28	15	55	7	51	88	97	62

We continue calling

```
midpoint = (0 + 25)/2; // == 12
merge_sort( array, 0, 12 );
merge_sort( array, 12, 25 );
```

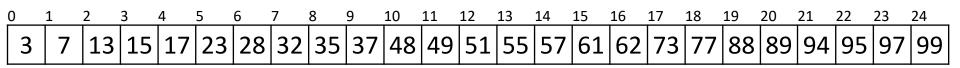
We are executing merge (array, 0, 12, 25)



These two sub-arrays are merged together

```
merge( array, 0, 12, 25 )
merge sort( array, 0, 25 )
```

We are executing merge (array, 0, 12, 25)



These two sub-arrays are merged together

This function call exists

```
merge( array, 0, 12, 25 )
merge_sort( array, 0, 25 )
```

We return to executing merge_sort(array, 0, 25)

0																								
3	7	13	15	17	23	28	32	35	37	48	49	51	55	57	61	62	73	77	88	89	94	95	97	99

We are finished calling this function as well

```
midpoint = (0 + 25)/2; // == 12
merge_sort( array, 0, 12 );
merge_sort( array, 12, 25 );
merge( array, 0, 12, 25 );
```

Consequently, we exit

```
merge_sort( array, 0, 25 )
```

Run-time Analysis of Merge Sort

The time required to sort an array of size n > 1 is:

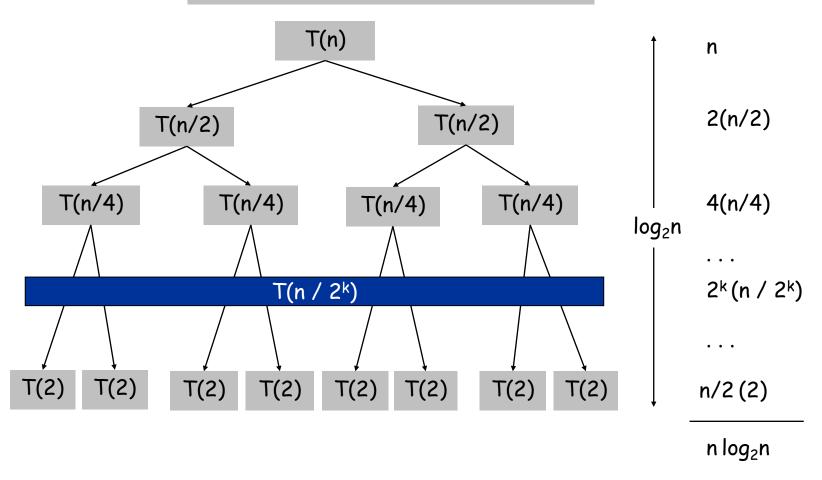
- the time required to sort the first half,
- the time required to sort the second half, and
- the time required to merge the two lists

That is:
$$T(n) = \begin{cases} \mathbf{\Theta}(1) & n = 1 \\ 2T(\frac{n}{2}) + \mathbf{\Theta}(n) & n > 1 \end{cases}$$

Solution: $T(n) = \Theta(n \ln(n))$

Proof by Recursion Tree

$$T(n) = \begin{cases} 0 & \text{if } n = 1\\ 2T(n/2) + n & \text{otherwise} \end{cases}$$
sorting both halves merging



Run-time Summary

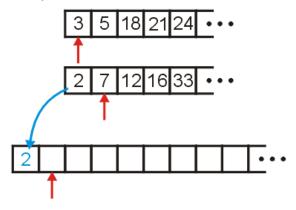
The following table summarizes the run-times of merge sort

Case	Run Time	Comments
Worst	$\Theta(n \ln(n))$	No worst case
Average	$\Theta(n \ln(n))$	
Best	$\Theta(n \ln(n))$	No best case

Why is it not $O(n^2)$

When we are merging, we are comparing values

- What operation prevents us from performing $O(n^2)$ comparisons?
- During the merging process, if 2 came from the second half, it was only compared to 3 and it was not compared to any other of the other n-1 entries in the first array



In this case, we remove n inversions with one comparison

Merge Sort

The (likely) first proposal of merge sort was by John von Neumann in 1945

 The creator of the von Neumann architecture used by all modern computers:



http://en.wikipedia.org/wiki/Von_Neumanr

Divide and Conquer

- Divide-and-conquer.
 - Divide up problem into several subproblems (of the same kind).
 - Solve (conquer) each subproblem recursively.
 - Combine solutions to subproblems into overall solution.
- Most common usage.
 - Divide problem of size n into two subproblems of size n/2.
 - Solve (conquer) two subproblems recursively.
 - Combine two solutions into overall solution.
- Consequence.
 - Brute force: $\Theta(n^2)$.
 - Divide-and-conquer: $O(n \log n)$.

Divide and Conquer

- Two typical divide and conquer algorithm we have already known:
 - Merge Sort
 - Binary Search

Binary Search

```
int bfind(int key, int a[], int left, int right)
{
   if (left+1 == right) return -1;
   int m = (left + right) / 2;
   if (key == a[m]) return m;
   if (key < a[m]) return bfind(key, a, left, m);
   else return bfind(key, a, m, right);
}</pre>
```

Binary Search

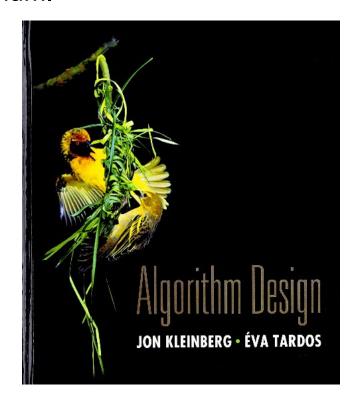
- Key problem can be divide up problem into several sub-problems.
- Sub-problems are with same type and independent from each other.
- It is **not** necessary to merge Sub-problems to get the key problem solved.

Merge Sort

- Key problem can be divide up problem into several sub-problems.
- Sub-problems are with same type and independent from each other.
- Sub-problems need to be merged to get the key problem solved.

Count Inversions in an array

 Inversion Count for an array indicates – how far (or close) the array is from being sorted. If array is already sorted, then inversion count is 0. If array is sorted in reverse order that inversion count is the maximum.



Section 5.3

METHOD 1 (Simple)

 Approach: Traverse through the array and for every index find the number of smaller elements on its right side of the array. This can be done using a nested loop. Sum up the counts for all index in the array and print the sum.

Algorithm :

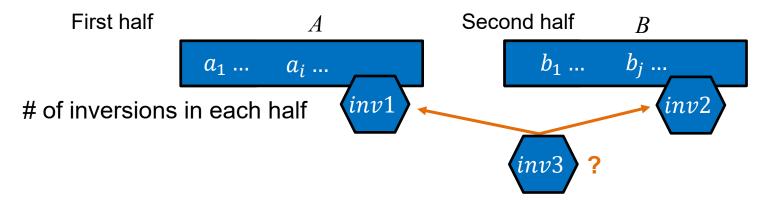
- Traverse through the array from start to end
- For every element find the count of elements smaller than the current number upto that index using another loop.
- Sum up the count of inversion for every index.

Print the count of inversions.

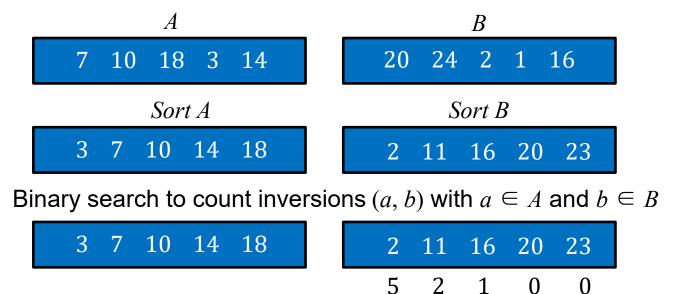
METHOD 1 (Simple)

- Complexity Analysis: Time Complexity: $O(n^2)$, Two nested loops are needed to traverse the array from start to end so the Time complexity is $O(n^2)$.
- Space Compelxity: O(1), No extra space is required.

- **Approach:** Suppose the number of inversions in the left half and right half of the array (let be inv1 and inv2), what kinds of inversions are not accounted for in inv1 + inv2?
- The answer is: the inversions that need to be counted during the merge step. Therefore, to get a number of inversions, that needs to be added a number of inversions in the left subarray, right subarray and merge().

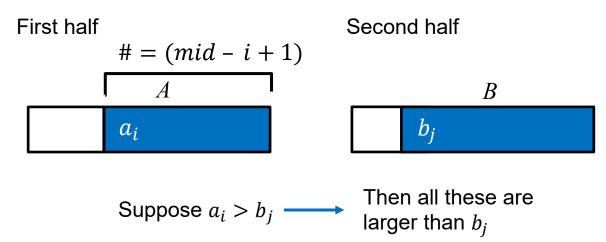


- Q. How to count inversions (a, b) with $a \in A$ and $b \in B$?
- A. Easy if A and B are sorted!
- Warmup algorithm.
 - Sort A and B.
 - For each element $b \in B$,
 - binary search in *A* to find how many elements in *A* are greater than *b*.

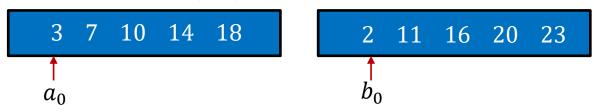


How to get number of inversions in merge()?

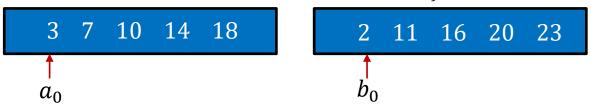
In merge process, let i is used for indexing left sub-array and j for right sub-array. At any step in merge(), if a[i] is greater than b[j], then there are (mid - i + 1) inversions. because left and right subarrays are sorted, so all the remaining elements in left-subarray $(a[i+1], a[i+2] \dots a[mid])$ will be greater than b[j]



The complete picture:

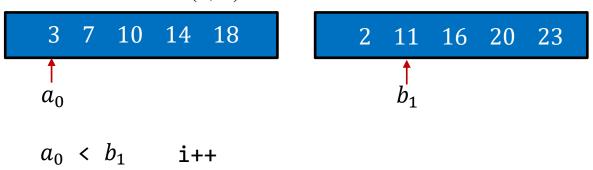


The complete picture:

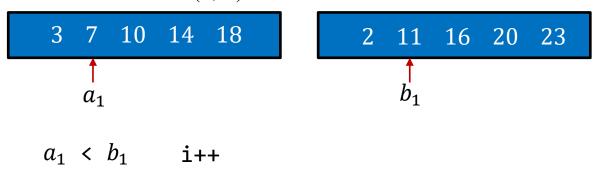


$$a_0 > b_0$$
 Inv3 = Inv3+ mid-i+1 = 0+ 4-0+1 = 5 j++;

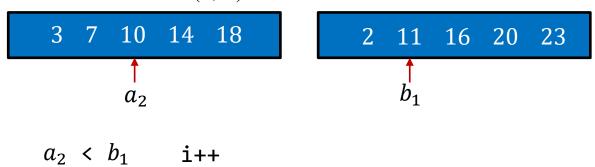
The complete picture:



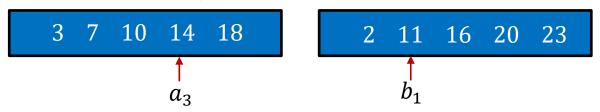
The complete picture:



The complete picture:

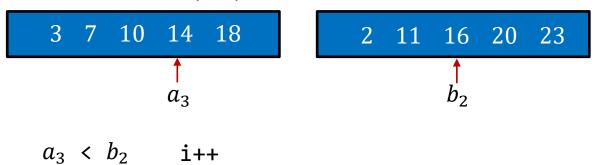


The complete picture:

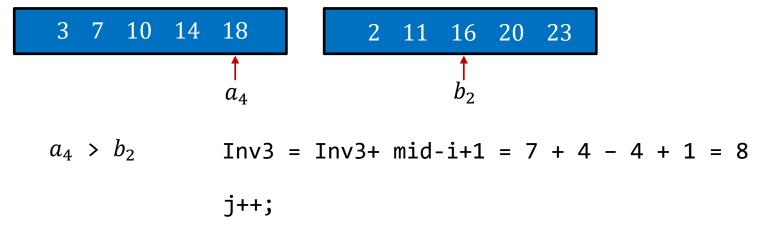


$$a_3 > b_1$$
 Inv3 = Inv3+ mid-i+1 = 5+ 4-3+1 = 7 j++;

The complete picture:



The complete picture:



Algorithm:

- The idea is similar to merge sort, divide the array into two equal or almost equal halves in each step until the base case is reached.
- Create a function merge that counts the number of inversions when two halves of the array are merged, create two indices i and j, i is the index for first half and j is an index of the second half. if a[i] is greater than b[j], then there are (mid i + 1) inversions. because left and right subarrays are sorted, so all the remaining elements in left-subarray $(a[i + 1], a[i + 2] \dots a[mid])$ will be greater than b[j].
- Create a recursive function to divide the array into halves and find the answer by summing the number of inversions is the first half, number of inversion in the second half and the number of inversions by merging the two.
- The base case of recursion is when there is only one element in the given half.

Summary

This topic covered merge sort:

- Divide an unsorted list into two equal or nearly equal sub lists,
- Sorts each of the sub lists by calling itself recursively, and then
- Merges the two sub lists together to form a sorted list

