6 Sorting

6.1 Introduction

Sorting is well-discussed in algorithms classes, and should almost always use the functionality of the standard library, even if a special, more efficient algorithm applies. The emphasis of this chapter is on the implementation details of the most useful algorithms.

Some theory:

- A collection of items satisfying a **weak order relation** "<" is sorted. Beware that "\(\le \)" isn't weak.
- For n items $\exists n!$ orders, and k binary comparisons decide between $\geq 2^k$ of them, so to sort using only comparisons need $k = \Theta(n | g(n))$.
- Sorting is stable if equal items keep their original relative order. Using item location as a secondary key ensures stability but needs more memory and is clumsy for the caller.
- Item sorting analyses usually assume O(1) comparisons. For expensive-to-copy items, sort an array of pointers to them for efficiency.

6.2 Insertion Sort

For small arrays insertion sort is stable and the fastest, so it makes a good helper function for some smarter algorithms. It mimics sorting a hand of cards. Given a sorted array, initially with the first item, iteratively insert the next item into the correct place.



Figure 6.1: The next unsorted item logic of insertion sort

```
template < typename ITEM, typename COMPARATOR >
void insertionSort(ITEM* vector, int left, int right, COMPARATOR const& c)
{//allow more general left != 0
    for(int i = left + 1; i <= right; ++i)
    {
        ITEM e = vector[i];
        int j = i;
        for(; j > left && c(e, vector[j - 1]); --j)
            vector[j] = vector[j - 1];
        vector[j] = e;
    }
}
```

The runtime is $O(n^2)$ with very low constant factors, and O(the number of reversed pairs called inversions) = <math>O(n) for almost sorted input.

6.3 Quicksort

If don't need stability, quicksort is the fastest and almost universally the "sort" algorithm of any good API. The basic version:

- 1. Pick a pivot item
- 2. Partition the array so that items ≤/≥ the pivot are respectively on the left/right
- 3. Sort the two halves recursively

The item order within each subarray after a partition doesn't matter.

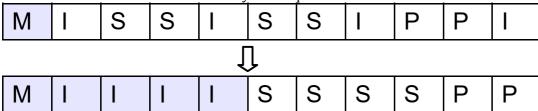


Figure 6.2: A possible result of quicksort pivoting with pivot 'M'

The most practical pivot selection rule is the **median of three** random items:

• Deterministic picks can give $O(n^2)$ runtime

- A single random pivot is slightly slower
- Using five or more is negligibly faster but more complex

```
template < typename ITEM, typename COMPARATOR >
int pickPivot(ITEM* vector, int left, int right, COMPARATOR c)
{//OK if pivots are same by chance occasionally
    int i = GlobalRNG().inRange(left, right), j =
        GlobalRNG().inRange(left, right), k = GlobalRNG().inRange(left, right);
    if(c(vector[j], vector[i])) swap(i, j);
    //i <= j, decide where k goes
    return c(vector[k], vector[i]) ? i : c(vector[k], vector[j]) ? k : j;
}</pre>
```

Partitioning actually groups items into < pivot, = pivot, and > pivot, which is more useful (Sedgewick 1999). Unlike for a complete sort, the items in "<" and ">" sections will be in an arbitrary order. As an intermediate step, move equal items to the sides:

```
= < ? > =
```

Figure 6.3: Quicksort partitioning work strategy

Use a left and a right pointer for a bidirectional scan of the array. If a scanned item doesn't belong to corresponding "<" or ">" section, mark it for swapping. At every iteration the pointers stop at such items. Stop when the pointers cross. Then swap the side "=" sections to the middle.

```
template<typename ITEM, typename COMPARATOR> void partition3(ITEM* vector,
   int left, int right, int& i, int& j, COMPARATOR const& c)
{//i/j are the current left/right pointers
   ITEM p = vector[pickPivot(vector, left, right, c)];
   int lastLeftEqual = i = left - 1, firstRightEqual = j = right + 1;
    for(;;) // the pivot is the sentinel for the first pass
    {//after one swap swapped items act as sentinels
       while(c(vector[++i], p));
       while(c(p, vector[--j]));
       if(i >= j) break; //pointers crossed
       swap(vector[i], vector[j]);//both pointers found swappable items
        //swap equal items to the sides
       if(c.isEqual(vector[i], p))//i to the left
            swap(vector[++lastLeftEqual], vector[i]);
       if(c.isEqual(vector[j], p))//j to the right
            swap(vector[--firstRightEqual], vector[j]);
    //invariant: i == j if they stop at an item = pivot
   //and this can happen at both left and right item
    //or they cross over and i = j + 1
   if(i == j) \{++i; --j;\}//don't touch pivot in the middle
    //swap side items to the middle; left with "<" section and right with ">"
   for(int k = left; k <= lastLeftEqual; ++k) swap(vector[k], vector[j--]);</pre>
   for(int k = right; k >= firstRightEqual; --k)
        swap(vector[k], vector[i++]);
```

Either *i* or *j* may be out of bounds. The postcondition:

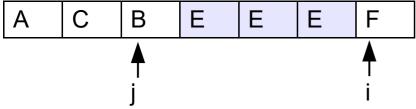


Figure 6.4: Quicksort pointers after a three-partition

Must be very careful with the code because it's easy to get it wrong, particularly with sentinels for the while loops. The slightly less complicated, basic " \leq 2" partitioning pays no special attention to equal items and is obtained by just removing the code for swapping to the sides and back. The i-j invariant remains the same, but it defines the postcondition. Three-partitioning also applies to vector sorting and is faster for arrays with many equal items. With few extra items its equality checks and swaps are also few.

Optimizations for the main algorithm:

- Sorting smaller subarrays first ensures $O(\lg(n))$ extra memory, which practically guarantees that the recursion stack won't run out.
- Use insertion sort for small subarrays of size 16 (per studies 5–25 works). Due to caching, recursing to insertion sort is faster than a single insertion sort over the whole array in the end, despite using more instructions (Mehlhorn et al. 2019).

Remove the tail recursion. Removing the other one complicates the algorithm with little gain.

```
template<typename ITEM, typename COMPARATOR>
void quickSort(ITEM* vector, int left, int right, COMPARATOR const& c)
{
    while(right - left > 16)
    {
        int i, j;
        partition3(vector, left, right, i, j, c);
        if(j - left < right - i) // pick smaller
        {
            quickSort(vector, left, j, c);
            left = i;
        }
        else
        {
            quickSort(vector, i, right, c);
            right = j;
        }
    }
    insertionSort(vector, left, right, c);
}
template<typename ITEM> void quickSort(ITEM* vector, int n)
        {quickSort(vector, 0, n - 1, DefaultComparator<ITEM>());}
```

With basic partitioning E[the runtime] = $O(n \lg(n))$. Proof (Cormen et al. 2009): Suppose the pivot is random, and all items are unique. Let X_{ij} be the number of times that the item at i was compared to the item at j in the sorted array with j > i. $E[X_{ij}] = Pr(i \text{ or } j \text{ was a pivot})$ because i and j were compared at most once and only if one of them was a pivot in a subarray containing the other. Else, if an item at i0 or i1 was a pivot, i2 and i3 go into the same subarray, else into separate ones. Because i3 i4 separating pivots, i6 or i7 was a

pivot) =
$$\frac{2}{j-i+1}$$
. So the E[the total number of comparisons] = $E(\sum_{0 \le i < n} \sum_{i+1 \le j < n} X_{ij}) < 2\sum_{0 \le i < n} \sum_{1 \le k < n} \frac{1}{k} < 2nlg(n)$. \Box

The unlikely worst case is $O(n^2)$ if bad pivots are picked every time. The same analysis extends to the three-partitioning because the only difference is in the equality comparisons, which are a nondominant operation.

6.4 Mergesort

Mergesort is the most efficient stable sort:

- 1. Split the array in half
- 2. Mergesort each recursively
- 3. Merge the halves in O(n) time

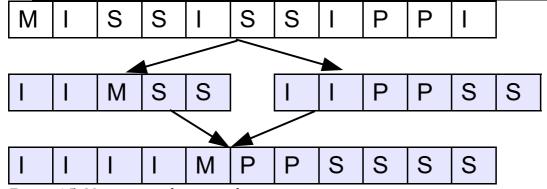


Figure 6.5: Mergesort splitting and merging

The runtime satisfies R(n) = O(n) + 2R(n/2), so by the master theorem $R(n) = O(n \log(n))$. Optimizations

for the main algorithm:

- Alternate the data and the temporary storage arrays to avoid unnecessary copies
- Use insertion sort for arrays of size ≤ 16 as for quicksort

Merging is most of the work. It iteratively moves the smallest leftmost item of both arrays to the result array. The rightmost index of the left array is middle. The recursive call and the merge assume that for a range [left, right] the items are in the temporary storage array, so that the original [left, right] slice is overwritten with the sorted result.

```
template<typename ITEM, typename COMPARATOR> void merge(ITEM* vector,
    int left, int middle, int right, COMPARATOR const& c, ITEM* storage)
{//i for the left half, j for the right, merge until fill up vector
    for(int i = left, j = middle + 1; left <= right; ++left)</pre>
    {//either i or j can get out of bounds
        bool useRight = i > middle || (j <= right &&</pre>
            c(storage[j], storage[i]));
        vector[left] = storage[(useRight ? j : i)++];
template<typename ITEM, typename COMPARATOR> void mergeSortHelper(
    ITEM* vector, int left, int right, COMPARATOR const& c, ITEM* storage)
    if(right - left > 16)
    {//sort storage using vector as storage, then merge into vector
        int middle = (right + left)/2;
        mergeSortHelper(storage, left, middle, c, vector);
        mergeSortHelper(storage, middle + 1, right, c, vector);
        merge (vector, left, middle, right, c, storage);
    else insertionSort(vector, left, right, c);
template<typename ITEM, typename COMPARATOR>
void mergeSort(ITEM* vector, int n, COMPARATOR const& c)
{//copy vector to storage first
    if(n <= 1) return;</pre>
    Vector<ITEM> storage(n, vector[0]);//reserve space for n with 1st item
    for(int i = 1; i < n; ++i) storage[i] = vector[i];</pre>
    mergeSortHelper(vector, 0, n - 1, c, storage.getArray());
```

The use case relies on stability because would use quicksort otherwise, e.g.,:

- When sort a table by a column, can sort on multiple columns implicitly if use a stable sort, with other columns as nonprimary key
- In some algorithms may want to lose dependence on the randomness of quicksort if have secondary keys that influence the overall computation

Perhaps mergesort is mostly useful for the illustration of its work pattern, which is a general divide-and-conquer strategy.

6.5 Integer Sorting

Can sort integers in O(n) time by not using "<". For integers mod N, **counting sort** counts how many times each occurs and creates a sorted array from the counts in O(n + N) time. It's stable.

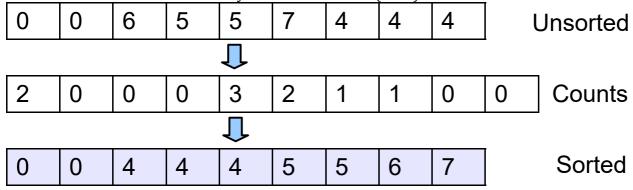


Figure 6.6: Counting sort counting and sorted array creation for N = 10

```
void countingSort(int* vector, int n, int N)
{
    Vector<int> counter(N, 0);
    for(int i = 0; i < n; ++i) ++counter[vector[i]];
    for(int i = 0, index = 0; i < N; ++i)
        while(counter[i]-- > 0) vector[index++] = i;
}
```

For items with integer-mod-*N* keys, **key-indexed counting sort** (**KSort**) works similarity but needs temporary storage because can't create items from counts. Use cumulative counts because they tell how many smaller-value items precede the one with a particular key. Nothing preceeds the smallest item, so create a sentinel for 0. As items are placed, precedence counts are incremented to move to the next location. So KSort:

- 1. Counts how many items have a particular key
- 2. Uses the cumulative counts to create a temporary sorted array
- 3. Copies it into the original

The implementation needs a functor <code>ORDERED_HASH</code> that extracts items' keys—e.g., it can get byte 0 from an integer. Beware that such functors' behavior depends on endianness.

```
template < typename ITEM, typename ORDERED_HASH > void KSort(ITEM* a, int n,
    int N, ORDERED_HASH const& h)
{
    ITEM* temp = rawMemory < ITEM > (n);
    Vector < int > prec(N + 1, 0);
    for (int i = 0; i < n; ++i) ++prec[h(a[i]) + 1];
    for (int i = 0; i < N; ++i) prec[i + 1] += prec[i]; //accumulate counts
    //rearrange items
    for (int i = 0; i < n; ++i) new (& temp[prec[h(a[i])]++]) ITEM(a[i]);
    for (int i = 0; i < n; ++i) a[i] = temp[i];
    rawDelete(temp);
}</pre>
```

It's stable and takes O(n + N) time.

6.6 Vector Sorting

Sorting n vectors of size k as items takes $O(kn\lg(n))$ time. But can sort as vectors, which makes sense for indirect access where sort an index array to avoid copying vectors. For quicksort on n random vectors of length ∞ , $E[\text{the runtime}] = O(n\lg(n)^2)$ (Vallee et al. 2009). This is intuitive because for two random sequences in a collection of n with items from an alphabet of size A, $E[\text{lcp (least common prefix)}] = \log_A(n)$, requiring that time for a comparison (see the "String Algorithms" chapter for more on lcp).

Multikey quicksort three-partitions on the first letter and recurses on each subarray, going to the next letter for the equal part:

Sort Left on 0				Sort Middle on 1				Sort right on 0	
	Α	С	В		Е	Е	Е	F	
	D	Α	Α		Α	Ш	Α	0	
		Т	Т		R	L	R	R	
					L			D	

Figure 6.7: Multikey quicksort recursive three-partitioning on consecutive characters of words

The user-provided comparator, such as the one below for vectors, keeps track of the current depth, starting with 0, which allows sorting arbitrary tuples. For code reuse it assumes a vector accessor and an item comparator. Also have an indexed accessor.

```
template < typename VECTOR, typename ITEM> struct DefaultVectorAccessor
{//for sorting vectors
    ITEM const& getItem(VECTOR const& v, int i)const{return v[i];}
```

```
int getSize(VECTOR const& v) const{return v.getSize();}
};
struct StringAccessor
{//for sorting strings
    char getItem(string const& s, int i)const{return s[i];}
    int getSize(string const& s)const{return s.length();}
template<typename VECTOR, typename ITEM, typename ACCESSOR =
    DefaultVectorAccessor<VECTOR, ITEM> > struct IndexedAccessor
   VECTOR const*const v;
   ACCESSOR a;
    IndexedAccessor(VECTOR const*const theV, ACCESSOR const& theA = ACCESSOR())
        : v(theV), a(theA) {}
    ITEM getItem(int i, int j)const{return a.getItem(v[i], j);}
    int getSize(int i)const{return a.getSize(v[i]);}
template<typename VECTOR, typename ITEM, typename ACCESSOR =
    DefaultVectorAccessor<VECTOR, ITEM>, typename COMPARATOR =
    DefaultComparator<ITEM> > struct MultikeyQuicksortVectorComparator
   ACCESSOR s;
   COMPARATOR c;
   mutable int depth;
   MultikeyQuicksortVectorComparator(ACCESSOR const& theS = ACCESSOR(),
        COMPARATOR const& theC = COMPARATOR()): s(theS), c(theC), depth(0){}
   bool operator()(VECTOR const& lhs, VECTOR const& rhs)const
        return depth < s.getSize(lhs) ?</pre>
            depth < s.getSize(rhs) && c(s.getItem(lhs, depth),</pre>
            s.getItem(rhs, depth)) : depth < s.getSize(rhs);</pre>
   bool isEqual (VECTOR const& lhs, VECTOR const& rhs) const
        return depth < s.getSize(lhs) ?</pre>
            depth < s.getSize(rhs) && c.isEqual(s.getItem(lhs, depth),</pre>
            s.getItem(rhs, depth)) : depth >= s.getSize(rhs);
```

Remove the recursion to not run out of stack for long vectors with high lcp. The algorithm is driven from a stack that contains a set of intervals and depths to process. Start it with (*left, right*, 0). Note that no longer:

- Use insertion sort for small subarrays due to its inability to work efficiently with vectors
- Process the smaller subarray first—the equal is the longest in the worst case, and don't worry about the memory use of recursion—so process the middle piece last

```
stack.push(left);
    stack.push(j);
    stack.push(c.depth);
    //right
    stack.push(right);
    stack.push(c.depth);
    //middle
    stack.push(j + 1);
    stack.push(i - 1);
    stack.push(c.depth + 1);
}
```

E[the runtime] = $O(n \lg(n))$, and the expected runtime with respect to the length is the optimal $O(n(\text{the length} + \lg(n)))$ (Sedgewick 1999). The unlikely worst case is O(n(length + n)).

For vectors of small integers of fixed length k, **LSD sort** is stable and the most efficient. It sorts k times using vector [k-i] as the key to KSort in pass i, with the overall runtime O(nk). This works because KSort is stable. Because the use case is so specific, no implementation is provided, and it's up to the caller to setup the KSort calls—e.g., see suffix array construction in the "String Algorithms" chapter. Note that it's wrong to use LSD to sort integers one byte at a time because of endianness unless take special case to access the correct bytes in all cases.

6.7 Permutation Sort

To sort an array a according to a permutation p defined by an array of sorted indices, can copy the items to a temporary array and populate the original from it according to p.

But can avoid the temporary because any permutation is composed of independent subpermutations (i.e., a **product of disjoint cycles** in abstract algebra terminology). Think of f = p[i] as specifying from where to take the item for position i. A loop over the array gets all cycles in O(n) time. Start an unprocessed cycle if $p[i] \neq i$.

```
    Remember the first item in the cycle, and set to = its index i
    While p[to] ≠ to
    from = p[to]
    a[to] = a[from]
    Mark to processed with p[to] = to
    to = from
    End cycle with a[to] = the first item
```

E.g., consider the permutation 3210 applied to *abcd*. Start with 0. Remember v[0] = a, from position p[0] = 3 take d, and put it into position 0. Check p[3] = 0 to discover the end of cycle due to p[0] = 0, and put stored a into position 3. Move to position 1. The same logic swaps b and c. After this, all positions are marked identity, and moving to 2 and 3 changes nothing.

The use case is rare though because can access the sorted order through the permutation directly.

6.8 Selection

Want to the arrange items so that the specified item is in the correct place, e.g., to find the median. **Quickselect** is like quicksort but doesn't sort the subarray that can't contain the item. So it avoids one recursive call and can be implemented iteratively.

```
template < typename ITEM, typename COMPARATOR > ITEM quickSelect(ITEM* vector,
    int left, int right, int k, COMPARATOR c)
{
    assert(k >= left && k <= right);
    for(int i, j; left < right;)
    {
        partition3(vector, left, right, i, j, c);
        if(k >= i) left = i;
        else if(k <= j) right = j;
        else break;
    }
    return vector[k];
}</pre>
```

E[the runtime] = O(n). The unlikely worst case is $O(n^2)$. For random vector items somewhat unintuitively E[the runtime] = O(n) (Vallee et al. 2009), but can extend multikey quicksort to **multikey quickselect**. Same for multiple select (discussed later in the chapter; neither extension is implemented).

```
template < typename VECTOR, typename COMPARATOR> void multikeyQuickselect(
    VECTOR* vector, int left, int right, int k, COMPARATOR c)
{
    assert(k >= left && k <= right);
    for(int d = 0, i, j; right - left >= 1;)
    {
        partition3(vector, left, right, i, j, c);
        if(k <= j) right = j;
        else if (k < i) //equal case j < k < i
        {
            left = j + 1;
            right = i - 1;
            ++c.depth;
        }
        else left = i;
    }
}</pre>
```

6.9 Multiple Selection

To sort only the first k items, an optimal $O(n + k \lg(k))$ solution is to run quicksort(0, k - 1) on the result of quickselect(k).

A more general problem is to output an array with only k specified items in correct places. Specify them with a Boolean array, and have quicksort not recurse into subarrays without any selected items. E.g., can compute statistical quantiles this way.

```
template<typename ITEM, typename COMPARATOR> void multipleQuickSelect(ITEM*
    vector, bool* selected, int left, int right, COMPARATOR c)
{
    while(right - left > 16)
    {
        int i, j;
        for(i = left; i <= right && !selected[i]; ++i);
        if(i == right + 1) return; // none are selected
        partition3(vector, left, right, i, j, c);
        if(j - left < right - i) // smaller first
        {
            multipleQuickSelect(vector, selected, left, j, c);
            left = i;
        }
        else
        {
        }
        else
        {
        }
        clse
        }
        return in the property of the property of
```

 \forall selection E[the runtime] is optimal but depends on the number and the positions of the specified items (Kaligosi et al. 2005). The unlikely worst case is $O(n^2)$.

6.10 Searching

Sequential search is the fastest for few items despite the O(n) runtime and the only choice if items aren't sorted. For sorted items **binary search** is worst-case optimal, taking $O(\lg(n))$ time. It starts in the middle, and if query \neq item, goes left if query < item and right otherwise.

```
template<typename ITEM, typename COMPARATOR> int binarySearch(ITEM const*
    vector, int left, int right, ITEM const& key, COMPARATOR const& c)
{
    while(left <= right)
    {//careful to avoid overflow in middle calculation
        int middle = left + (right - left)/2;
        if(c.isEqual(key, vector[middle])) return middle;
        c(key, vector[middle]) ? right = middle - 1 : left = middle + 1;
    }
    return -1;//not found
}</pre>
```

The overflow avoidance in the calculation of the middle may seem silly, but due to virtual memory large arrays are possible. Though this use case is unlikely, in general it's best to protect against issues and not think about it again.

Before using binary search need prior knowledge of sorting. It's easy to check in O(n) time:

```
template < typename ITEM, typename COMPARATOR > bool isSorted(ITEM const*
    vector, int left, int right, COMPARATOR const& c)
{
    for(int i = left + 1; i <= right; ++i)
        if(c(vector[i], vector[i - 1])) return false;
    return true;
}</pre>
```

Exponential search is useful when searching over an implicit unbounded "array". Assume that the bound 1, then 2, 4, 8, etc. After it's found, do binary search between bound/2 and bound. E.g., can guess a positive number that someone thinks of but discloses only comparison results of it to other numbers. The runtime is O(lg(the wanted value)).

6.11 Implementation Notes

Despite the many presented algorithms, my selection is actually very restricted compared to many other sources. The most useful sorting algorithms are quicksort and KSort—both are actually used in other parts of the book. Mergesort, counting sort, and permutation sort are useful for special cases, but it wouldn't be wrong to exclude them.

An interesting observation is that it takes much research to figure out how to implement even something basic such as quicksort—every book in the references had something to contribute toward the final implementation or analysis.

For the selection algorithms it's also strange that I had to go through primary literature to find good algorithms and analysis. For such a basic tasks the books should be enough.

6.12 Comments

Unlike insertion sort, other $O(n^2)$ sorts aren't useful. E.g.:

- **Selection sort**—swap the minimum item with the first item, then repeat this for the rest of the array—makes the minimal possible number of item moves
- **Bubble sort**—exchange adjacent items until every item is in correct order—how people in a group sort themselves by height

Three-partitioning is a solution to the **Dutch national flag problem**, which is implicitly defined by it. The classic algorithm for it by Dijkstra uses fewer instructions and is a bit simpler but has higher constant factors with few equal items, which is often the case for sorting (Sedgewick 1999).

An interesting idea is using several pivots, resulting in particular in **dual-pivot quicksort**. It's slightly faster than regular quicksort but needs twice more code and is more complicated. The analysis is still ongoing, but currently the conclusion is that have fewer cache misses, which more than compensates for more instructions (Kushagra et al. 2013).

C++ STL uses quicksort with deterministic median-of-three pivot but switches to a slower, safer in-place **heapsort** (see the "Priority Queues" chapter) on reaching a high enough depth. Though this strategy ensures O(nlg(n)) runtime, it too benefits from using random pivots. Due to E[the runtime] guarantees, the switch seems unnecessary and doesn't generalize to other situations such as vector sorting. But must do it because the C++ standard requires worst-case performance guarantees, which is perhaps unduly restrictive but satisfiable. **Shellsort** is suboptimal but empirically slightly faster than heapsort (Sedgewick 1999); despite that it has no use case.

An interesting search algorithm for sorted numeric items is **interpolation search** (Wikipedia 2015). It's like binary search but, instead of using the average index, uses the index based on the item values. E[the runtime for items \sim uniform] = $O(\ln(\ln(n))$, but the use case is limited, and any gain over binary search is negligible in practice.

To verify that an array is sorted can also do several binary searches for random elements. I haven't been able to find a reference for this with a probabilistic correctness guarantee.

An interesting problem is sorting a linked list. Because a list doesn't support random access, the only goal is traversing in sorted order. Can adapt mergesort to sort without using extra memory (Roura 1999).

6.13 Projects

- · Add input range checks for counting sort and Ksort.
- Implement a stability test for algorithms that ensure it

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