



<http://algs4.cs.princeton.edu>

## 2.2 MERGESORT

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- ▶ *mergesort*
- ▶ *bottom-up mergesort*
- ▶ *sorting complexity*
- ▶ *comparators*
- ▶ *stability*

# Two classic sorting algorithms

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## Critical components in the world's computational infrastructure.

- Full scientific understanding of their properties has enabled us to develop them into practical system sorts.
- Quicksort honored as one of top 10 algorithms of 20<sup>th</sup> century in science and engineering.

## Mergesort. [this lecture]

- Java sort for objects.
- Perl, C++ stable sort, Python stable sort, Firefox JavaScript, ...

## Quicksort. [next lecture]

- Java sort for primitive types.
- C qsort, Unix, Visual C++, Python, Matlab, Chrome JavaScript, ...



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# Mergesort

## Basic plan.

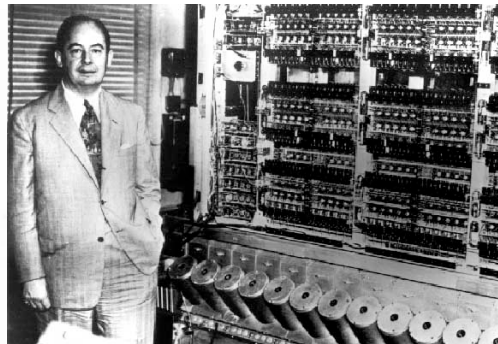
- Divide array into two halves.
- **Recursively** sort each half.
- Merge two halves.

input	M	E	R	G	E	S	O	R	T	E	X	A	M	P	L	E
sort left half	E	E	G	M	O	R	R	S	T	E	X	A	M	P	L	E
sort right half	E	E	G	M	O	R	R	S	A	E	E	L	M	P	T	X
merge results	A	E	E	E	E	G	L	M	M	O	P	R	R	S	T	X

Mergesort overview

First Draft  
of a  
Report on the  
EDVAC

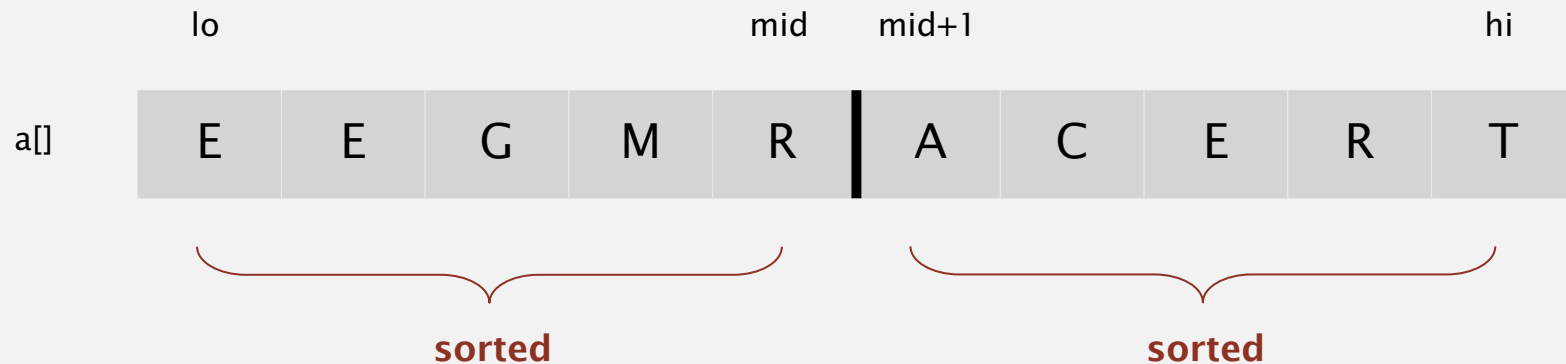
John von Neumann



# Abstract in-place merge demo

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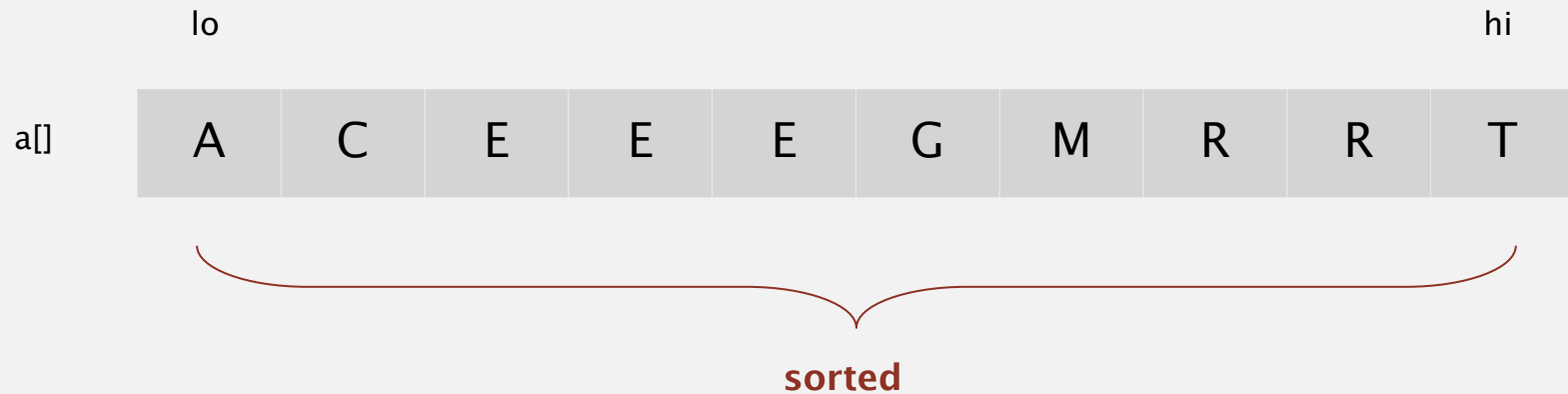
**Goal.** Given two sorted subarrays  $a[lo]$  to  $a[mid]$  and  $a[mid+1]$  to  $a[hi]$ , replace with sorted subarray  $a[lo]$  to  $a[hi]$ .



# Abstract in-place merge demo

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**Goal.** Given two sorted subarrays  $a[lo]$  to  $a[mid]$  and  $a[mid+1]$  to  $a[hi]$ , replace with sorted subarray  $a[lo]$  to  $a[hi]$ .



## Merging: Java implementation

```
private static void merge(Comparable[] a, Comparable[] aux, int lo, int mid, int hi)
{
    assert isSorted(a, lo, mid);    // precondition: a[lo..mid]    sorted
    assert isSorted(a, mid+1, hi);  // precondition: a[mid+1..hi] sorted

    for (int k = lo; k <= hi; k++)
        aux[k] = a[k];                                copy

    int i = lo, j = mid+1;
    for (int k = lo; k <= hi; k++)
    {
        if      (i > mid)          a[k] = aux[j++];
        else if (j > hi)          a[k] = aux[i++];
        else if (less(aux[j], aux[i])) a[k] = aux[j++];
        else                      a[k] = aux[i++];
    }

    assert isSorted(a, lo, hi);    // postcondition: a[lo..hi] sorted
}
```



# Assertions

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**Assertion.** Statement to test assumptions about your program.

- Helps detect logic bugs.
- Documents code.

**Java assert statement.** Throws exception unless boolean condition is true.

```
assert isSorted(a, lo, hi);
```

**Can enable or disable at runtime.**  $\Rightarrow$  No cost in production code.

```
java -ea MyProgram    // enable assertions
java -da MyProgram    // disable assertions (default)
```

**Best practices.** Use assertions to check internal invariants;

assume assertions will be disabled in production code. 

do not use for external  
argument checking



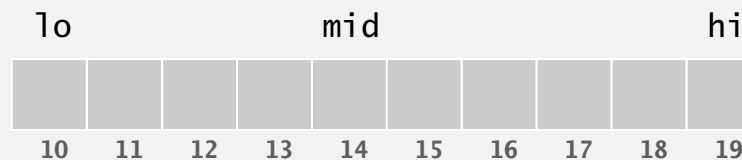
# Mergesort: Java implementation

---

```
public class Merge
{
    private static void merge(...)
    { /* as before */ }

    private static void sort(Comparable[] a, Comparable[] aux, int lo, int hi)
    {
        if (hi <= lo) return;
        int mid = lo + (hi - lo) / 2;
        sort(a, aux, lo, mid);
        sort(a, aux, mid+1, hi);
        merge(a, aux, lo, mid, hi);
    }

    public static void sort(Comparable[] a)
    {
        aux = new Comparable[a.length];
        sort(a, aux, 0, a.length - 1);
    }
}
```



# Mergesort: trace

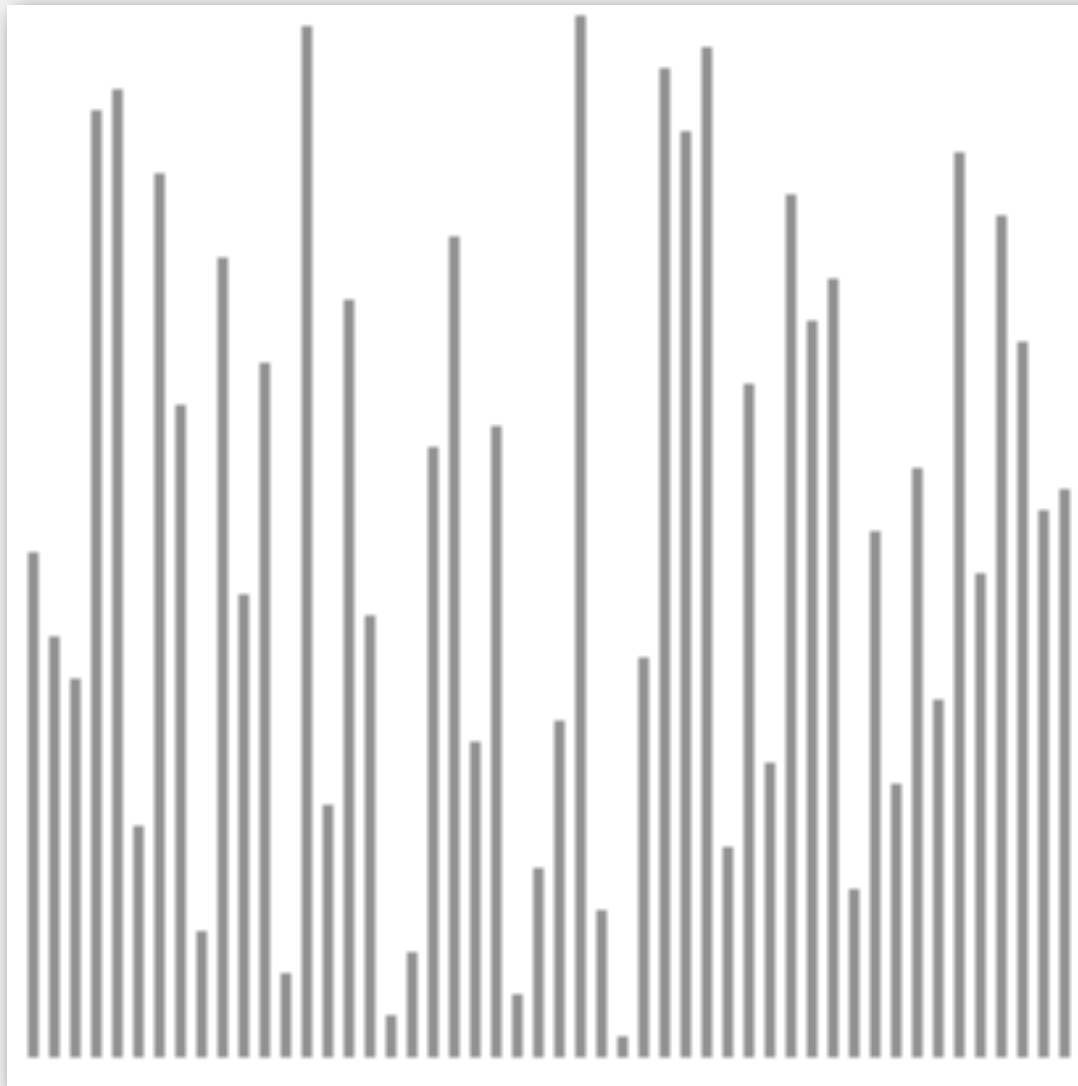
	a[]															
	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
	M	E	R	G	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 0, 0, 1)	E	M	R	G	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 2, 2, 3)	E	M	G	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 0, 1, 3)	E	G	M	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 4, 4, 5)	E	G	M	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 6, 6, 7)	E	G	M	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 4, 5, 7)	E	G	M	R	E	O	R	S	T	E	X	A	M	P	L	E
merge(a, aux, 0, 3, 7)	E	E	G	M	O	R	R	S	T	E	X	A	M	P	L	E
merge(a, aux, 8, 8, 9)	E	E	G	M	O	R	R	S	E	T	X	A	M	P	L	E
merge(a, aux, 10, 10, 11)	E	E	G	M	O	R	R	S	E	T	A	X	M	P	L	E
merge(a, aux, 8, 9, 11)	E	E	G	M	O	R	R	S	A	E	T	X	M	P	L	E
merge(a, aux, 12, 12, 13)	E	E	G	M	O	R	R	S	A	E	T	X	M	P	L	E
merge(a, aux, 14, 14, 15)	E	E	G	M	O	R	R	S	A	E	T	X	M	P	E	L
merge(a, aux, 12, 13, 15)	E	E	G	M	O	R	R	S	A	E	T	X	E	L	M	P
merge(a, aux, 8, 11, 15)	E	E	G	M	O	R	R	S	A	E	E	L	M	P	T	X
merge(a, aux, 0, 7, 15)	A	E	E	E	E	G	L	M	M	O	P	R	R	S	T	X

result after recursive call

# Mergesort: animation

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50 random items



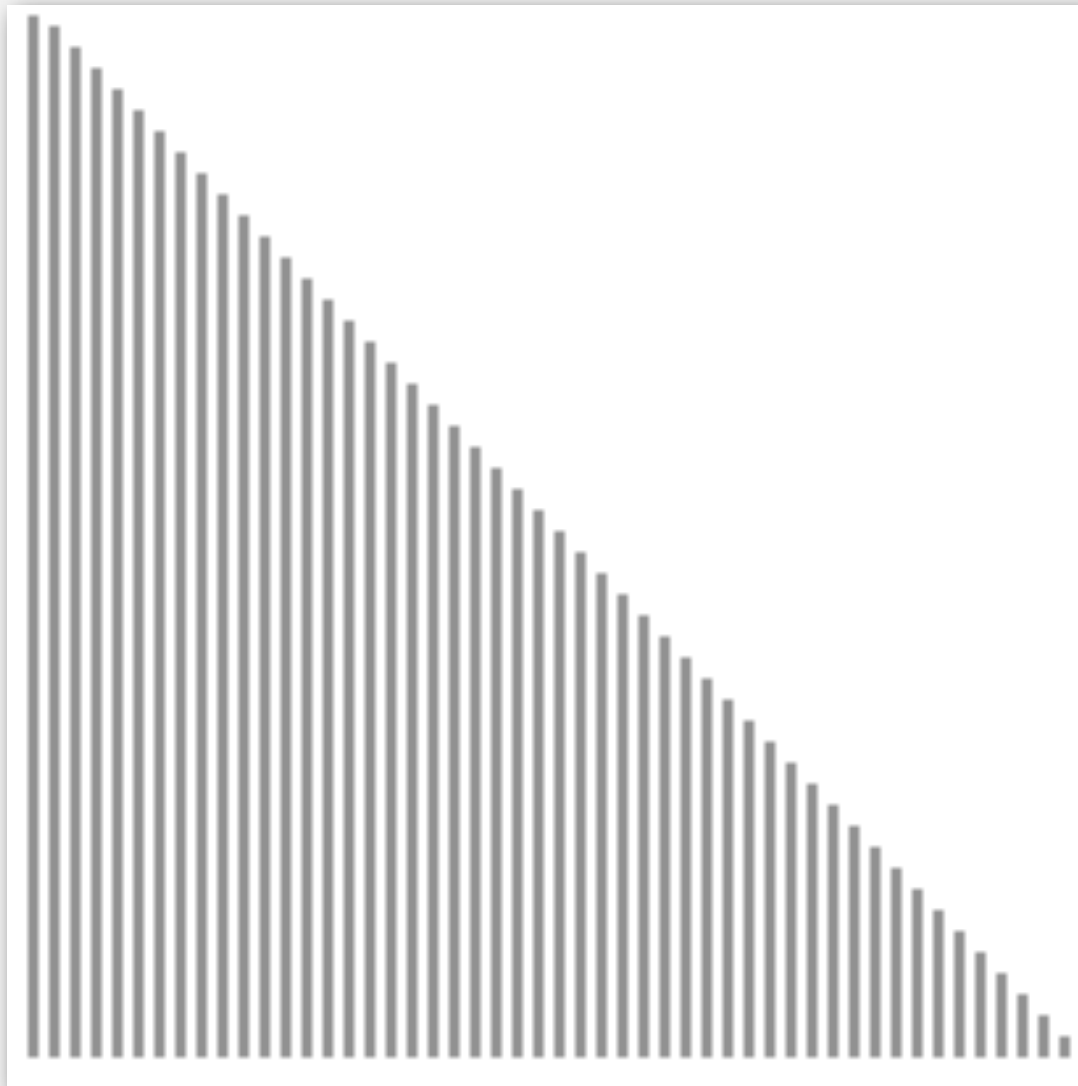
<http://www.sorting-algorithms.com/merge-sort>

- ▲ algorithm position
- in order
- current subarray
- not in order





# Mergesort: animation

---

50 reverse-sorted items



<http://www.sorting-algorithms.com/merge-sort>

-  algorithm position
-  in order
-  current subarray
-  not in order

# Mergesort: empirical analysis

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## Running time estimates:

- Laptop executes  $10^8$  compares/second.
- Supercomputer executes  $10^{12}$  compares/second.

computer	insertion sort ( $N^2$ )			mergesort ( $N \log N$ )		
	thousand	million	billion	thousand	million	billion
home	instant	2.8 hours	317 years	instant	1 second	18 min
super	instant	1 second	1 week	instant	instant	instant

**Bottom line.** Good algorithms are better than supercomputers.

## Mergesort: number of compares and array accesses

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**Proposition.** Mergesort uses at most  $N \lg N$  compares and  $6 N \lg N$  array accesses to sort any array of size  $N$ .

**Pf sketch.** The number of compares  $C(N)$  and array accesses  $A(N)$  to mergesort an array of size  $N$  satisfy the recurrences:

$$C(N) \leq C(\lceil N/2 \rceil) + C(\lfloor N/2 \rfloor) + N \quad \text{for } N > 1, \text{ with } C(1) = 0.$$

↑  
left half  
↓

↑  
right half  
↓

↑  
merge  
↓

$$A(N) \leq A(\lceil N/2 \rceil) + A(\lfloor N/2 \rfloor) + 6N \quad \text{for } N > 1, \text{ with } A(1) = 0.$$

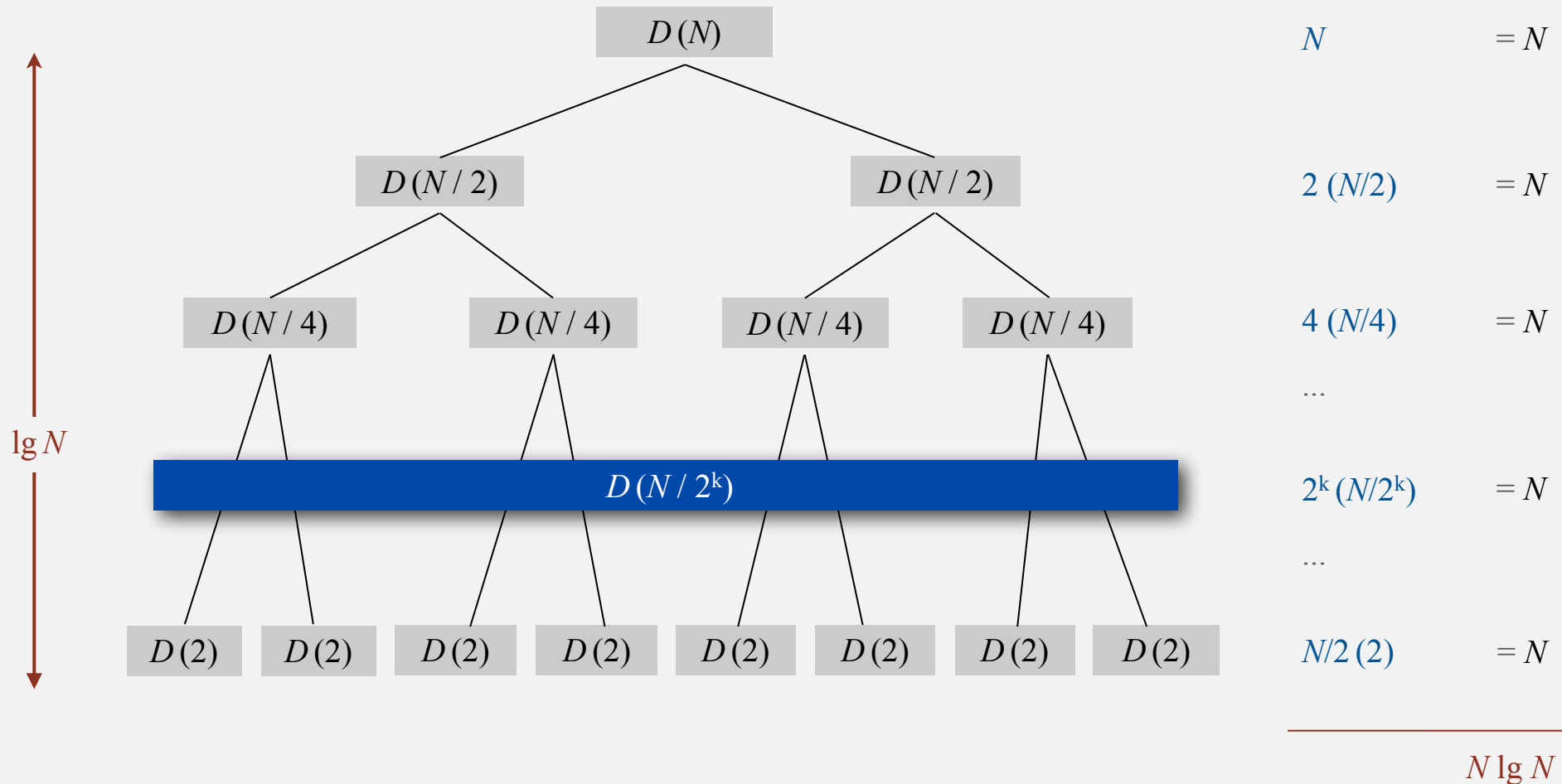
We solve the recurrence when  $N$  is a power of 2. ← result holds for all  $N$

$$D(N) = 2 D(N/2) + N, \text{ for } N > 1, \text{ with } D(1) = 0.$$

# Divide-and-conquer recurrence: proof by picture

**Proposition.** If  $D(N)$  satisfies  $D(N) = 2 D(N/2) + N$  for  $N > 1$ , with  $D(1) = 0$ , then  $D(N) = N \lg N$ .

**Pf 1.** [assuming  $N$  is a power of 2]



## Divide-and-conquer recurrence: proof by expansion

---

**Proposition.** If  $D(N)$  satisfies  $D(N) = 2 D(N/2) + N$  for  $N > 1$ , with  $D(1) = 0$ , then  $D(N) = N \lg N$ .

**Pf 2.** [assuming  $N$  is a power of 2]

$$D(N) = 2 D(N/2) + N$$

$$D(N) / N = 2 D(N/2) / N + 1$$

$$= D(N/2) / (N/2) + 1$$

$$= D(N/4) / (N/4) + 1 + 1$$

$$= D(N/8) / (N/8) + 1 + 1 + 1$$

...

$$= D(N/N) / (N/N) + 1 + 1 + \dots + 1$$

$$= \lg N$$

given

divide both sides by  $N$

algebra

apply to first term

apply to first term again

stop applying,  $D(1) = 0$



## Divide-and-conquer recurrence: proof by induction

---

**Proposition.** If  $D(N)$  satisfies  $D(N) = 2 D(N/2) + N$  for  $N > 1$ , with  $D(1) = 0$ , then  $D(N) = N \lg N$ .

**Pf 3.** [assuming  $N$  is a power of 2]

- Base case:  $N = 1$ .
- Inductive hypothesis:  $D(N) = N \lg N$ .
- Goal: show that  $D(2N) = (2N) \lg (2N)$ .

$$D(2N) = 2 D(N) + 2N$$

given

$$= 2 N \lg N + 2N$$

inductive hypothesis

$$= 2 N (\lg (2N) - 1) + 2N$$

algebra

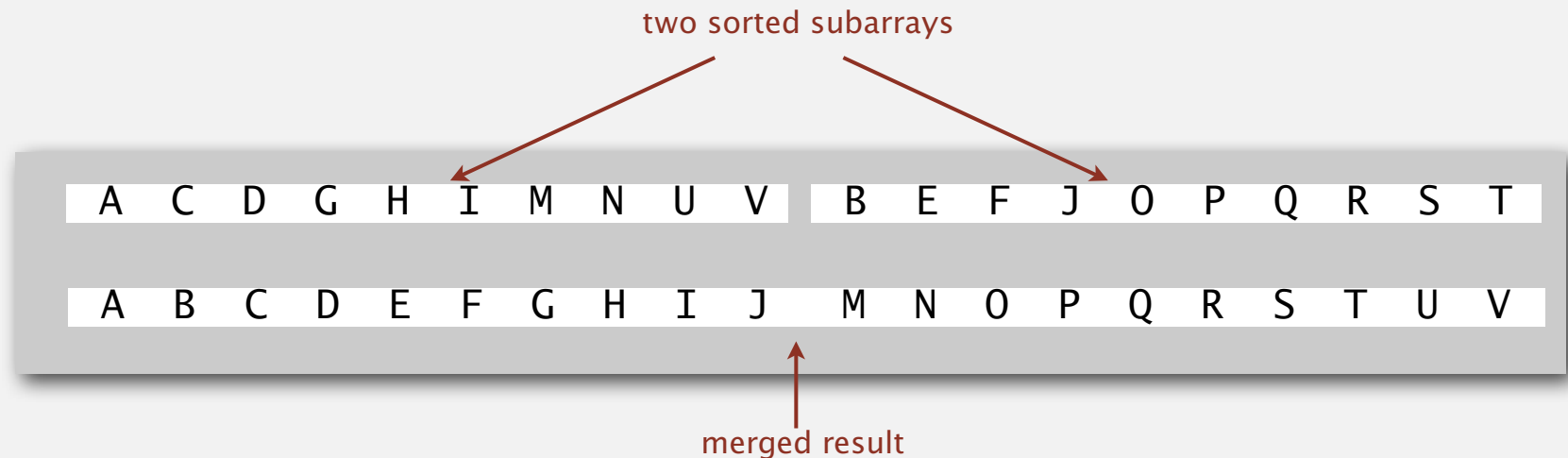
$$= 2 N \lg (2N)$$

QED

## Mergesort analysis: memory

**Proposition.** Mergesort uses extra space proportional to  $N$ .

**Pf.** The array `aux[]` needs to be of size  $N$  for the last merge.



**Def.** A sorting algorithm is **in-place** if it uses  $\leq c \log N$  extra memory.

**Ex.** Insertion sort, selection sort, shellsort.

**Challenge for the bored.** In-place merge. [Kronrod, 1969]

# Mergesort: practical improvements

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## Use insertion sort for small subarrays.

- Mergesort has too much overhead for tiny subarrays.
- Cutoff to insertion sort for  $\approx 7$  items.

```
private static void sort(Comparable[] a, Comparable[] aux, int lo, int hi)
{
    if (hi <= lo + CUTOFF - 1)
    {
        Insertion.sort(a, lo, hi);
        return;
    }
    int mid = lo + (hi - lo) / 2;
    sort (a, aux, lo, mid);
    sort (a, aux, mid+1, hi);
    merge(a, aux, lo, mid, hi);
}
```

# Mergesort: practical improvements

---

## Stop if already sorted.

- Is biggest item in first half  $\leq$  smallest item in second half?
- Helps for partially-ordered arrays.

A	B	C	D	E	F	G	H	I	J	M	N	O	P	Q	R	S	T	U	V
---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---

A	B	C	D	E	F	G	H	I	J	M	N	O	P	Q	R	S	T	U	V
---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---

```
private static void sort(Comparable[] a, Comparable[] aux, int lo, int hi)
{
    if (hi <= lo) return;
    int mid = lo + (hi - lo) / 2;
    sort (a, aux, lo, mid);
    sort (a, aux, mid+1, hi);
    if (!less(a[mid+1], a[mid])) return;
    merge(a, aux, lo, mid, hi);
}
```

# Mergesort: practical improvements

**Eliminate the copy to the auxiliary array.** Save time (but not space) by switching the role of the input and auxiliary array in each recursive call.

```
private static void merge(Comparable[] a, Comparable[] aux, int lo, int mid, int hi)
{
    int i = lo, j = mid+1;
    for (int k = lo; k <= hi; k++)
    {
        if (i > mid)      aux[k] = a[j++];
        else if (j > hi)  aux[k] = a[i++];
        else if (less(a[j], a[i])) aux[k] = a[j++];
        else              aux[k] = a[i++];
    }
}
```

← merge from a[] to aux[]

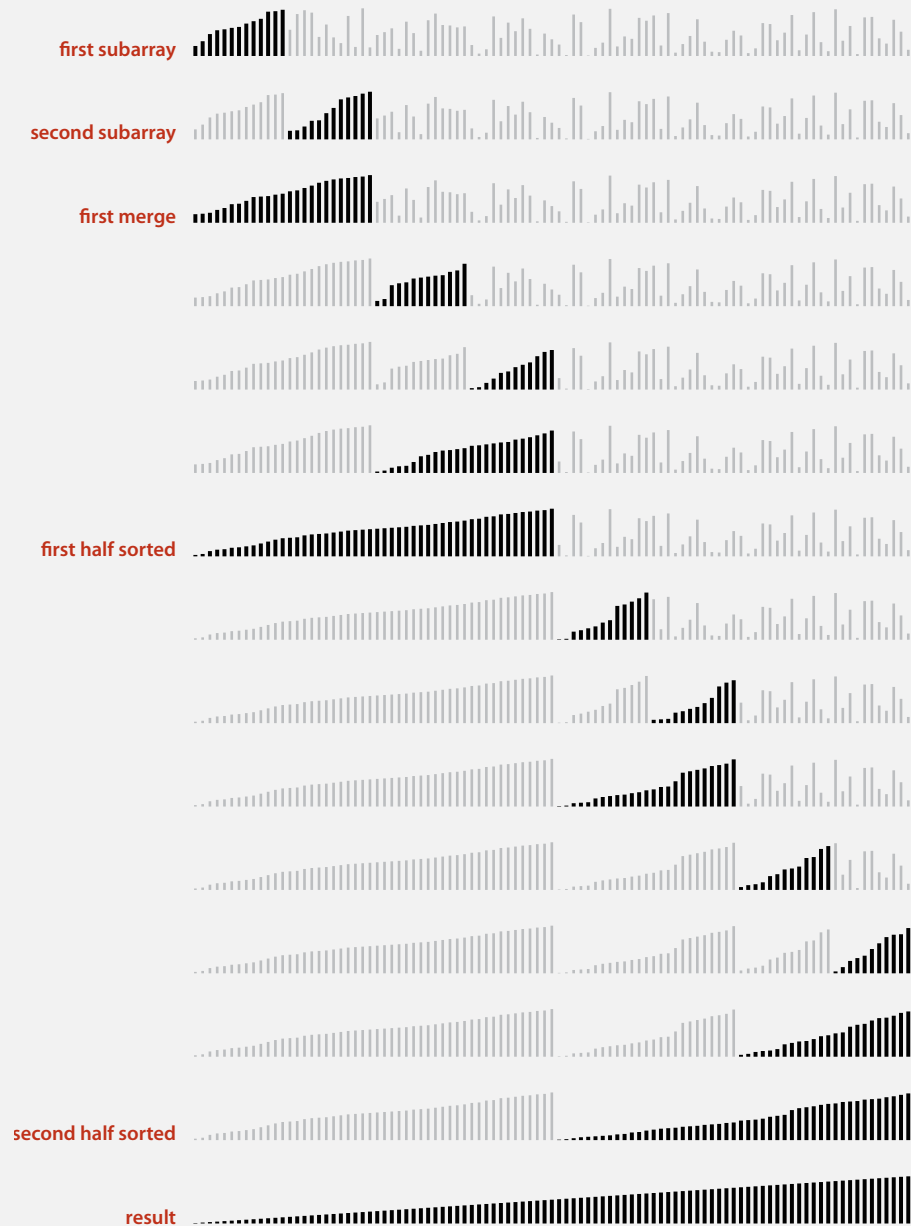
```
private static void sort(Comparable[] a, Comparable[] aux, int lo, int hi)
{
    if (hi <= lo) return;
    int mid = lo + (hi - lo) / 2;
    sort (aux, a, lo, mid);
    sort (aux, a, mid+1, hi);
    merge(a, aux, lo, mid, hi);
}
```

Note: sort(a) initializes aux[] and sets aux[i] = a[i] for each i.

↑  
switch roles of aux[] and a[]

# Mergesort: visualization

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## 2.2 MERGESORT

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- ▶ *mergesort*
- ▶ *bottom-up mergesort*
- ▶ *sorting complexity*
- ▶ *comparators*
- ▶ *stability*



## 2.2 MERGESORT

---

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# Bottom-up mergesort

## Basic plan.

- Pass through array, merging subarrays of size 1.
- Repeat for subarrays of size 2, 4, 8, 16, ....

	a[i]															
	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
<b>sz = 1</b>	M	E	R	G	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 0, 0, 1)	E	M	R	G	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 2, 2, 3)	E	M	G	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 4, 4, 5)	E	M	G	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 6, 6, 7)	E	M	G	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 8, 8, 9)	E	M	G	R	E	S	O	R	E	T	X	A	M	P	L	E
merge(a, aux, 10, 10, 11)	E	M	G	R	E	S	O	R	E	T	A	X	M	P	L	E
merge(a, aux, 12, 12, 13)	E	M	G	R	E	S	O	R	E	T	A	X	M	P	L	E
merge(a, aux, 14, 14, 15)	E	M	G	R	E	S	O	R	E	T	A	X	M	P	E	L
<b>sz = 2</b>	E	G	M	R	E	S	O	R	E	T	A	X	M	P	E	L
merge(a, aux, 0, 1, 3)	E	G	M	R	E	O	R	S	E	T	A	X	M	P	E	L
merge(a, aux, 4, 5, 7)	E	G	M	R	E	O	R	S	A	E	T	X	M	P	E	L
merge(a, aux, 8, 9, 11)	E	G	M	R	E	O	R	S	A	E	T	X	E	L	M	P
merge(a, aux, 12, 13, 15)	E	G	M	R	E	O	R	S	A	E	T	X	E	L	M	P
<b>sz = 4</b>	E	E	G	M	O	R	R	S	A	E	T	X	E	L	M	P
merge(a, aux, 0, 3, 7)	E	E	G	M	O	R	R	S	A	E	E	L	M	P	T	X
merge(a, aux, 8, 11, 15)	E	E	G	M	O	R	R	S	A	E	E	L	M	P	T	X
<b>sz = 8</b>	A	E	E	E	E	G	L	M	M	O	P	R	R	S	T	X
merge(a, aux, 0, 7, 15)	A	E	E	E	E	G	L	M	M	O	P	R	R	S	T	X


## Bottom-up mergesort: Java implementation

---

```
public class MergeBU
{
    private static void merge(...)
    { /* as before */ }

    public static void sort(Comparable[] a)
    {
        int N = a.length;
        Comparable[] aux = new Comparable[N];
        for (int sz = 1; sz < N; sz = sz+sz)
            for (int lo = 0; lo < N-sz; lo += sz+sz)
                merge(a, aux, lo, lo+sz-1, Math.min(lo+sz+sz-1, N-1));
    }
}
```

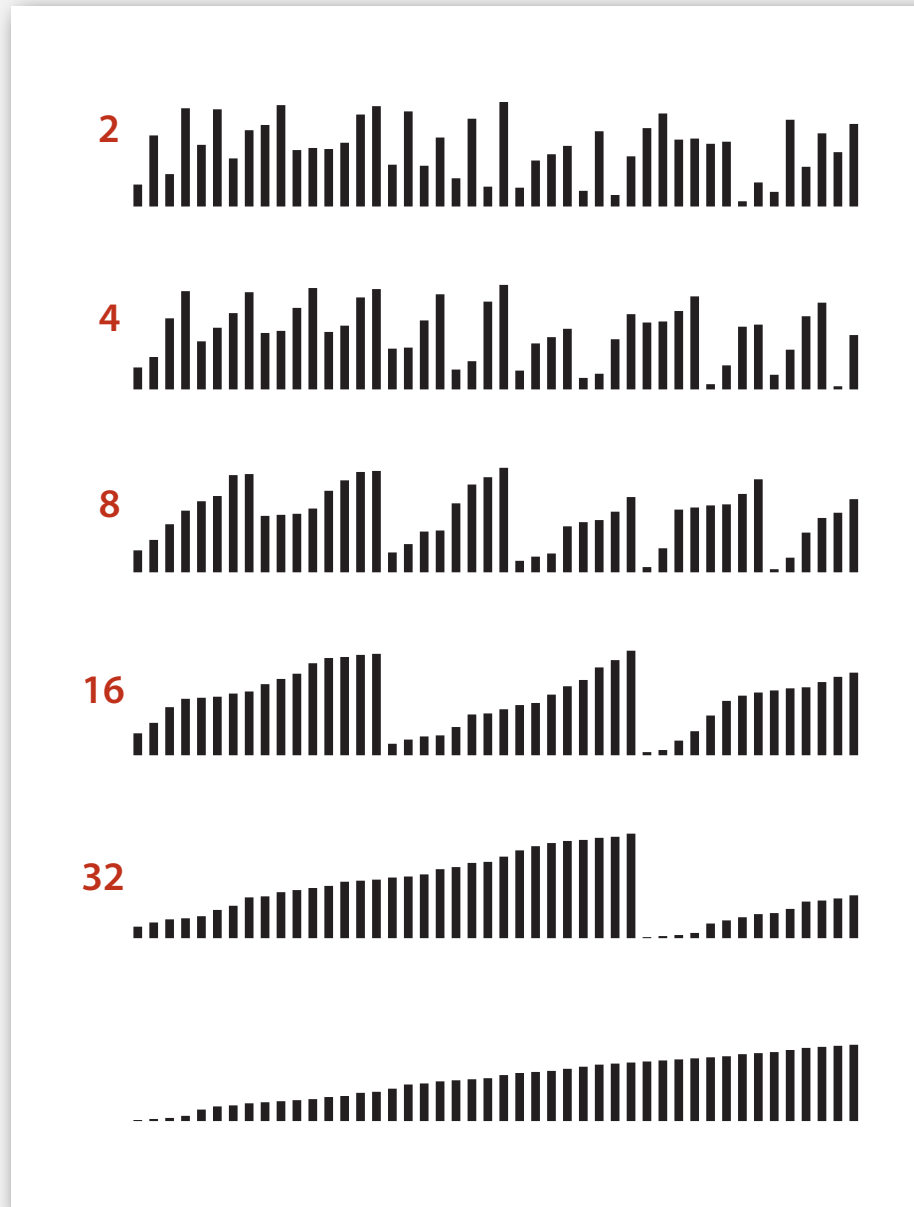
but about 10% slower than recursive,  
top-down mergesort on typical systems



**Bottom line.** Simple and non-recursive version of mergesort.

## Bottom-up mergesort: visual trace

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## 2.2 MERGESORT

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# Complexity of sorting

---

**Computational complexity.** Framework to study efficiency of algorithms for solving a particular problem  $X$ .

**Model of computation.** Allowable operations.

**Cost model.** Operation count(s).

**Upper bound.** Cost guarantee provided by **some** algorithm for  $X$ .

**Lower bound.** Proven limit on cost guarantee of **all** algorithms for  $X$ .

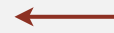
**Optimal algorithm.** Algorithm with best possible cost guarantee for  $X$ .



lower bound ~ upper bound

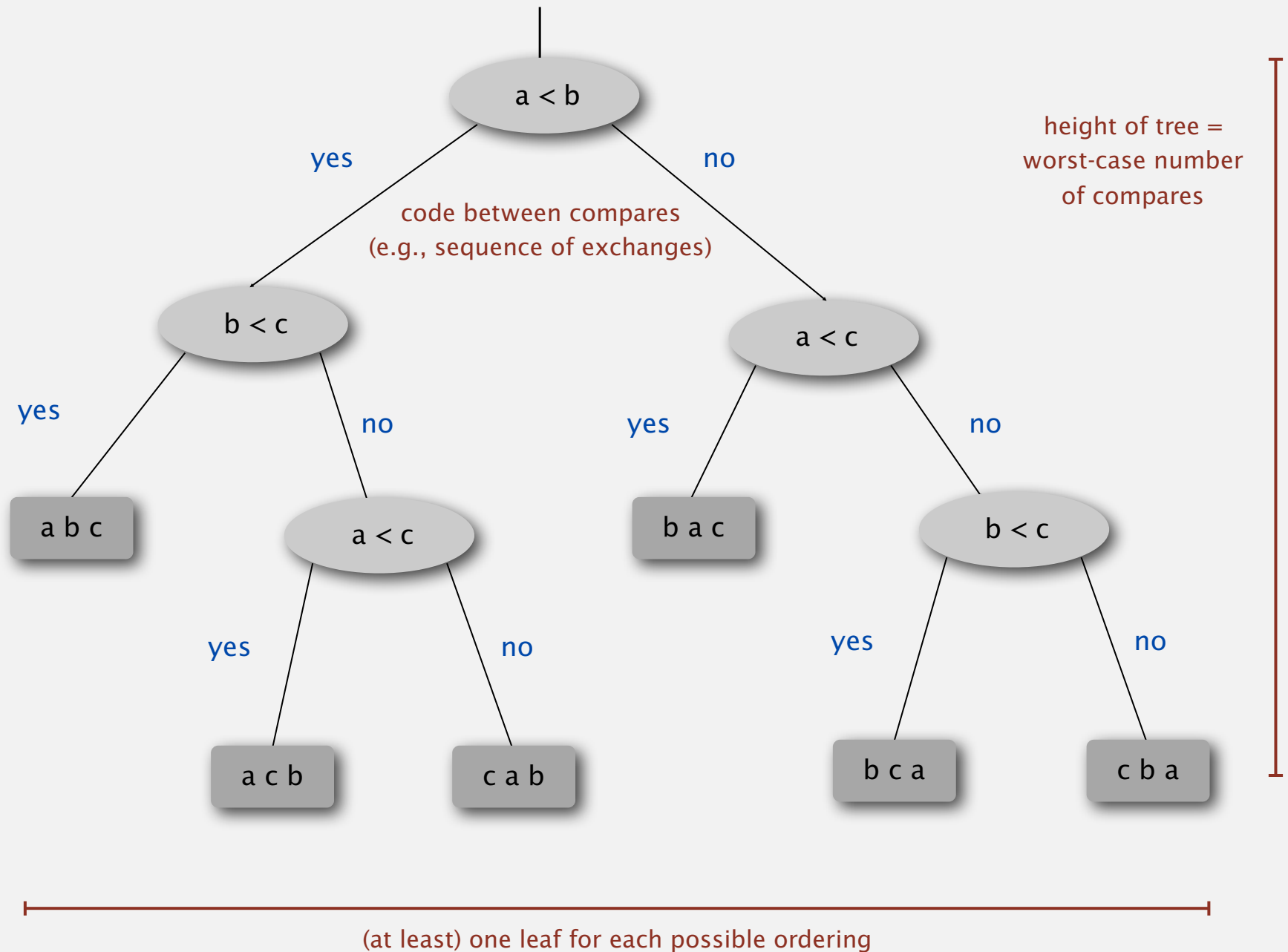
**Example: sorting.**

- Model of computation: decision tree.
- Cost model: # compares.
- Upper bound:  $\sim N \lg N$  from mergesort.
- Lower bound: ?
- Optimal algorithm: ?



can access information  
only through compares  
(e.g., Java Comparable framework)

# Decision tree (for 3 distinct items a, b, and c)

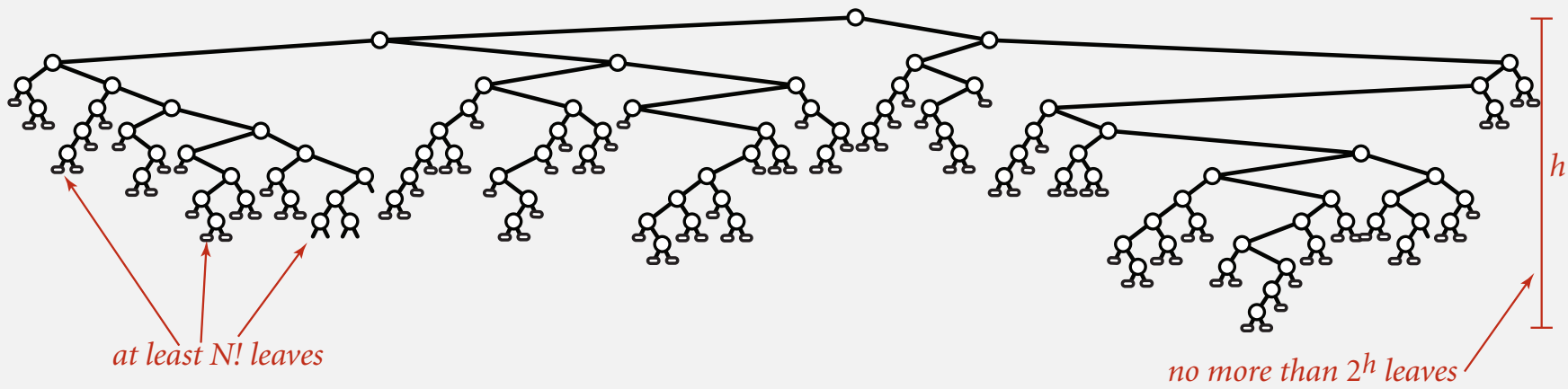


# Compare-based lower bound for sorting

**Proposition.** Any compare-based sorting algorithm must use at least  $\lg(N!) \sim N \lg N$  compares in the worst-case.

**Pf.**

- Assume array consists of  $N$  distinct values  $a_1$  through  $a_N$ .
- Worst case dictated by **height**  $h$  of decision tree.
- Binary tree of height  $h$  has at most  $2^h$  leaves.
- $N!$  different orderings  $\Rightarrow$  at least  $N!$  leaves.





# Compare-based lower bound for sorting

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- Worst case dictated by **height**  $h$  of decision tree.
- Binary tree of height  $h$  has at most  $2^h$  leaves.
- $N!$  different orderings  $\Rightarrow$  at least  $N!$  leaves.

$$2^h \geq \# \text{ leaves} \geq N!$$

$$\Rightarrow h \geq \lg(N!) \sim N \lg N$$



Stirling's formula

# Complexity of sorting

---

**Model of computation.** Allowable operations.

**Cost model.** Operation count(s).

**Upper bound.** Cost guarantee provided by some algorithm for  $X$ .

**Lower bound.** Proven limit on cost guarantee of all algorithms for  $X$ .

**Optimal algorithm.** Algorithm with best possible cost guarantee for  $X$ .

**Example: sorting.**

- Model of computation: decision tree.
- Cost model: # compares.
- Upper bound:  $\sim N \lg N$  from mergesort.
- Lower bound:  $\sim N \lg N$ .
- **Optimal algorithm = mergesort.**

**First goal of algorithm design:** optimal algorithms.

# Complexity results in context

---

**Compares?** Mergesort **is** optimal with respect to number compares.

**Space?** Mergesort **is not** optimal with respect to space usage.



**Lessons.** Use theory as a guide.

**Ex.** Design sorting algorithm that guarantees  $\frac{1}{2} N \lg N$  compares?

**Ex.** Design sorting algorithm that is both time- and space-optimal?

## Complexity results in context (continued)

---

Lower bound may not hold if the algorithm has information about:

- The initial order of the input.
- The distribution of key values.
- The representation of the keys.

**Partially-ordered arrays.** Depending on the initial order of the input, we may not need  $N \lg N$  compares.

↖ insertion sort requires only  $N-1$  compares if input array is sorted

**Duplicate keys.** Depending on the input distribution of duplicates, we may not need  $N \lg N$  compares.

↖ stay tuned for 3-way quicksort

**Digital properties of keys.** We can use digit/character compares instead of key compares for numbers and strings.

↖ stay tuned for radix sorts



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# Sort music library by artist name



The screenshot shows a music application interface. At the top, there are several album covers displayed in a row. Below the covers is a list of songs. The song 'Dancing In The Dark' by Bruce Springsteen is highlighted in blue. The list includes columns for a checkbox, song name, artist, time, and album.

	Name	Artist	Time	Album
12	<input checked="" type="checkbox"/> Let It Be	The Beatles	4:03	Let It Be
13	<input checked="" type="checkbox"/> Take My Breath Away	BERLIN	4:13	Top Gun – Soundtrack
14	<input checked="" type="checkbox"/> Circle Of Friends	Better Than Ezra	3:27	Empire Records
15	<input checked="" type="checkbox"/> Dancing With Myself	Billy Idol	4:43	Don't Stop
16	<input checked="" type="checkbox"/> Rebel Yell	Billy Idol	4:49	Rebel Yell
17	<input checked="" type="checkbox"/> Piano Man	Billy Joel	5:36	Greatest Hits Vol. 1
18	<input checked="" type="checkbox"/> Pressure	Billy Joel	3:16	Greatest Hits, Vol. II (1978 – 1985) (Disc 2)
19	<input checked="" type="checkbox"/> The Longest Time	Billy Joel	3:36	Greatest Hits, Vol. II (1978 – 1985) (Disc 2)
20	<input checked="" type="checkbox"/> Atomic	Blondie	3:50	Atomic: The Very Best Of Blondie
21	<input checked="" type="checkbox"/> Sunday Girl	Blondie	3:15	Atomic: The Very Best Of Blondie
22	<input checked="" type="checkbox"/> Call Me	Blondie	3:33	Atomic: The Very Best Of Blondie
23	<input checked="" type="checkbox"/> Dreaming	Blondie	3:06	Atomic: The Very Best Of Blondie
24	<input checked="" type="checkbox"/> Hurricane	Bob Dylan	8:32	Desire
25	<input checked="" type="checkbox"/> The Times They Are A-Changin'	Bob Dylan	3:17	Greatest Hits
26	<input checked="" type="checkbox"/> Livin' On A Prayer	Bon Jovi	4:11	Cross Road
27	<input checked="" type="checkbox"/> Beds Of Roses	Bon Jovi	6:35	Cross Road
28	<input checked="" type="checkbox"/> Runaway	Bon Jovi	3:53	Cross Road
29	<input checked="" type="checkbox"/> Rasputin (Extended Mix)	Boney M	5:50	Greatest Hits
30	<input checked="" type="checkbox"/> Have You Ever Seen The Rain	Bonnie Tyler	4:10	Faster Than The Speed Of Night
31	<input checked="" type="checkbox"/> Total Eclipse Of The Heart	Bonnie Tyler	7:02	Faster Than The Speed Of Night
32	<input checked="" type="checkbox"/> Straight From The Heart	Bonnie Tyler	3:41	Faster Than The Speed Of Night
33	<input checked="" type="checkbox"/> Holding Out For A Hero	Bonny Tyler	5:49	Meat Loaf And Friends
34	<input checked="" type="checkbox"/> Dancing In The Dark	Bruce Springsteen	4:05	Born In The U.S.A.
35	<input checked="" type="checkbox"/> Thunder Road	Bruce Springsteen	4:51	Born To Run
36	<input checked="" type="checkbox"/> Born To Run	Bruce Springsteen	4:30	Born To Run
37	<input checked="" type="checkbox"/> Jungleland	Bruce Springsteen	9:34	Born To Run
38	<input checked="" type="checkbox"/> Turn! Turn! Turn! (To Everything)	The Byrds	3:57	Forrest Gump The Soundtrack (Disc 2)

# Sort music library by song name



The screenshot shows a music player interface. At the top, there's a visualizer area displaying several album covers. The central cover is for Bon Jovi's 'Cross Road'. Below the visualizer is a table listing songs in the library, sorted by song name. The table has four columns: Name, Artist, Time, and Album. The song 'Beds Of Roses' by Bon Jovi is highlighted in blue.

	Name	Artist	Time	Album
1	<input checked="" type="checkbox"/> Alive	Pearl Jam	5:41	Ten
2	<input checked="" type="checkbox"/> All Over The World	Pixies	5:27	Bossanova
3	<input checked="" type="checkbox"/> All Through The Night	Cyndi Lauper	4:30	She's So Unusual
4	<input checked="" type="checkbox"/> Allison Road	Gin Blossoms	3:19	New Miserable Experience
5	<input checked="" type="checkbox"/> Ama, Ama, Ama Y Ensancha El ...	Extremoduro	2:34	Deltoya (1992)
6	<input checked="" type="checkbox"/> And We Danced	Hooters	3:50	Nervous Night
7	<input checked="" type="checkbox"/> As I Lay Me Down	Sophie B. Hawkins	4:09	Whaler
8	<input checked="" type="checkbox"/> Atomic	Blondie	3:50	Atomic: The Very Best Of Blondie
9	<input checked="" type="checkbox"/> Automatic Lover	Jay-Jay Johanson	4:19	Antenna
10	<input checked="" type="checkbox"/> Baba O'Riley	The Who	5:01	Who's Better, Who's Best
11	<input checked="" type="checkbox"/> Beautiful Life	Ace Of Base	3:40	The Bridge
12	<input checked="" type="checkbox"/> Beds Of Roses	Bon Jovi	6:35	Cross Road
13	<input checked="" type="checkbox"/> Black	Pearl Jam	5:44	Ten
14	<input checked="" type="checkbox"/> Bleed American	Jimmy Eat World	3:04	Bleed American
15	<input checked="" type="checkbox"/> Borderline	Madonna	4:00	The Immaculate Collection
16	<input checked="" type="checkbox"/> Born To Run	Bruce Springsteen	4:30	Born To Run
17	<input checked="" type="checkbox"/> Both Sides Of The Story	Phil Collins	6:43	Both Sides
18	<input checked="" type="checkbox"/> Bouncing Around The Room	Phish	4:09	A Live One (Disc 1)
19	<input checked="" type="checkbox"/> Boys Don't Cry	The Cure	2:35	Staring At The Sea: The Singles 1979-1985
20	<input checked="" type="checkbox"/> Brat	Green Day	1:43	Insomniac
21	<input checked="" type="checkbox"/> Breakdown	Deerheart	3:40	Deerheart
22	<input checked="" type="checkbox"/> Bring Me To Life (Kevin Roen Mix)	Evanescence Vs. Pa...	9:48	
23	<input checked="" type="checkbox"/> Californication	Red Hot Chili Pepp...	1:40	
24	<input checked="" type="checkbox"/> Call Me	Blondie	3:33	Atomic: The Very Best Of Blondie
25	<input checked="" type="checkbox"/> Can't Get You Out Of My Head	Kylie Minogue	3:50	Fever
26	<input checked="" type="checkbox"/> Celebration	Kool & The Gang	3:45	Time Life Music Sounds Of The Seventies - C
27	<input checked="" type="checkbox"/> Chains	Sukhwinder Singh	5:11	Bombay Dreams



# Comparable interface: review

---

**Comparable interface:** sort using a type's **natural order**.

```
public class Date implements Comparable<Date>
{
    private final int month, day, year;

    public Date(int m, int d, int y)
    {
        month = m;
        day    = d;
        year   = y;
    }
    ...
    public int compareTo(Date that)
    {
        if (this.year < that.year ) return -1;
        if (this.year > that.year ) return +1;
        if (this.month < that.month) return -1;
        if (this.month > that.month) return +1;
        if (this.day    < that.day  ) return -1;
        if (this.day    > that.day  ) return +1;
        return 0;
    }
}
```

natural order



# Comparator interface

---

Comparator interface: sort using an **alternate order**.

```
public interface Comparator<Key>
```

```
    int compare(Key v, Key w)           compare keys v and w
```

Required property. Must be a **total order**.

Ex. Sort strings by:

- Natural order.      Now is the time
- Case insensitive.    is Now the time
- Spanish.              café cafetero cuarto **ch**urro nube **ñ**oño
- British phone book.   McKinley Mackintosh
- ...

pre-1994 order for  
digraphs ch and ll and rr



## Comparator interface: system sort

---

### To use with Java system sort:

- Create Comparator object.
- Pass as second argument to `Arrays.sort()`.

```
String[] a;  
...  
Arrays.sort(a);  
...  
Arrays.sort(a, String.CASE_INSENSITIVE_ORDER);  
...  
Arrays.sort(a, Collator.getInstance(new Locale("es")));  
...  
Arrays.sort(a, new BritishPhoneBookOrder());  
...
```

uses natural order

uses alternate order defined by  
`Comparator<String>` object

**Bottom line.** Decouples the definition of the data type from the definition of what it means to compare two objects of that type.

# Comparator interface: using with our sorting libraries

---

## To support comparators in our sort implementations:

- Use `Object` instead of `Comparable`.
- Pass `Comparator` to `sort()` and `less()` and use it in `less()`.

### insertion sort using a `Comparator`

```
public static void sort(Object[] a, Comparator comparator)
{
    int N = a.length;
    for (int i = 0; i < N; i++)
        for (int j = i; j > 0 && less(comparator, a[j], a[j-1]); j--)
            exch(a, j, j-1);
}

private static boolean less(Comparator c, Object v, Object w)
{ return c.compare(v, w) < 0; }

private static void exch(Object[] a, int i, int j)
{ Object swap = a[i]; a[i] = a[j]; a[j] = swap; }
```

# Comparator interface: implementing

---

## To implement a comparator:

- Define a (nested) class that implements the Comparator interface.
- Implement the compare() method.

```
public class Student
{
    public static final Comparator<Student> BY_NAME    = new ByName();
    public static final Comparator<Student> BY_SECTION = new BySection();
    private final String name;
    private final int section;
    ...

    private static class ByName implements Comparator<Student>
    {
        public int compare(Student v, Student w)
        { return v.name.compareTo(w.name); }
    }

    private static class BySection implements Comparator<Student>
    {
        public int compare(Student v, Student w)
        { return v.section - w.section; }
    }
}
```

one Comparator for the class

this technique works here since no danger of overflow

# Comparator interface: implementing

---

## To implement a comparator:

- Define a (nested) class that implements the Comparator interface.
- Implement the `compare()` method.

`Arrays.sort(a, Student.BY_NAME);`

Andrews	3	A	664-480-0023	097 Little
Battle	4	C	874-088-1212	121 Whitman
Chen	3	A	991-878-4944	308 Blair
Fox	3	A	884-232-5341	11 Dickinson
Furia	1	A	766-093-9873	101 Brown
Gazsi	4	B	766-093-9873	101 Brown
Kanaga	3	B	898-122-9643	22 Brown
Rohde	2	A	232-343-5555	343 Forbes

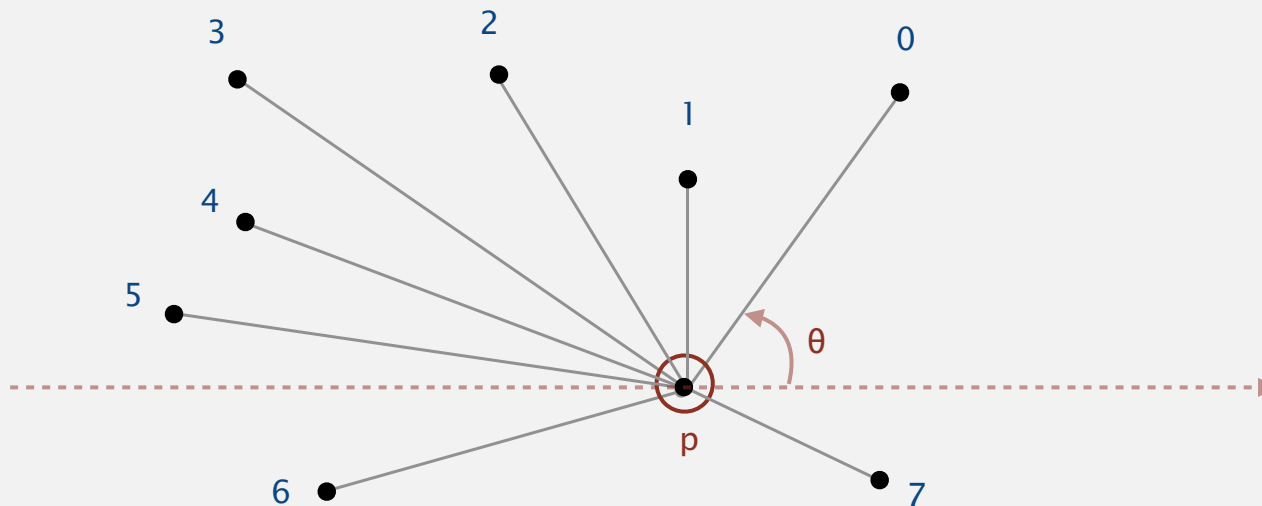
`Arrays.sort(a, Student.BY_SECTION);`

Furia	1	A	766-093-9873	101 Brown
Rohde	2	A	232-343-5555	343 Forbes
Andrews	3	A	664-480-0023	097 Little
Chen	3	A	991-878-4944	308 Blair
Fox	3	A	884-232-5341	11 Dickinson
Kanaga	3	B	898-122-9643	22 Brown
Battle	4	C	874-088-1212	121 Whitman
Gazsi	4	B	766-093-9873	101 Brown

# Polar order

---

**Polar order.** Given a point  $p$ , order points by polar angle they make with  $p$ .



```
Arrays.sort(points, p.POLAR_ORDER);
```

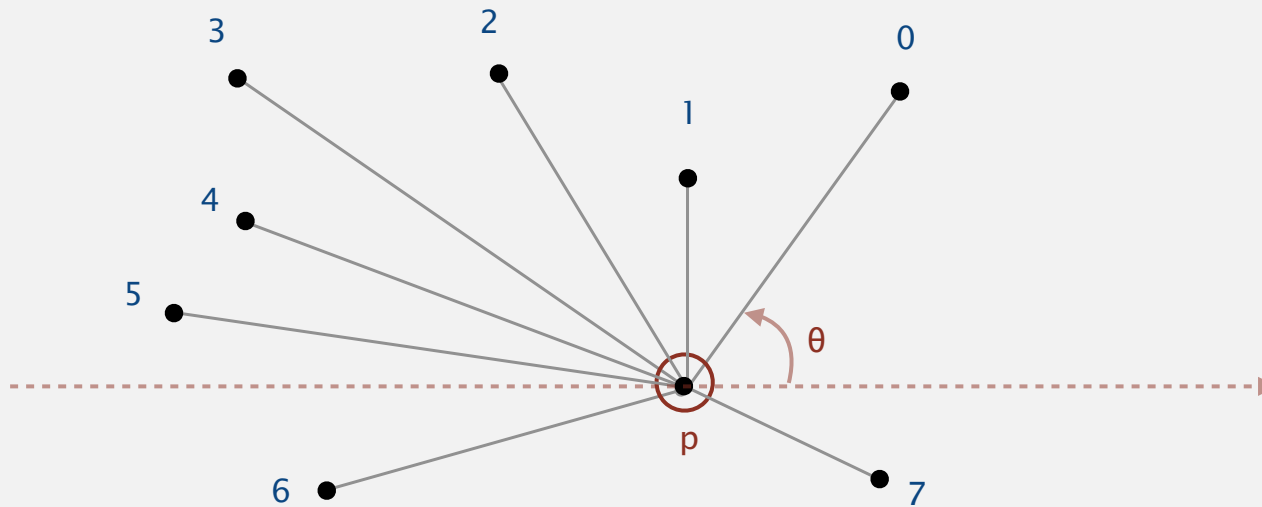
**Application.** Graham scan algorithm for convex hull. [see previous lecture]

**High-school trig solution.** Compute polar angle  $\theta$  w.r.t.  $p$  using `atan2()`.

**Drawback.** Evaluating a trigonometric function is expensive.

# Polar order

**Polar order.** Given a point  $p$ , order points by polar angle they make with  $p$ .



```
Arrays.sort(points, p.POLAR_ORDER);
```

## A ccw-based solution.

- If  $q_1$  is above  $p$  and  $q_2$  is below  $p$ , then  $q_1$  makes smaller polar angle.
- If  $q_1$  is below  $p$  and  $q_2$  is above  $p$ , then  $q_1$  makes larger polar angle.
- Otherwise,  $ccw(p, q_1, q_2)$  identifies which of  $q_1$  or  $q_2$  makes larger angle.



# Comparator interface: polar order

```
public class Point2D
{
    public final Comparator<Point2D> POLAR_ORDER = new PolarOrder();
    private final double x, y;
    ...

    private static int ccw(Point2D a, Point2D b, Point2D c)
    { /* as in previous lecture */ }
```

← one Comparator for each point (not static)

```
private class PolarOrder implements Comparator<Point2D>
{
```

```
    public int compare(Point2D q1, Point2D q2)
    {
```

```
        double dy1 = q1.y - y;
        double dy2 = q2.y - y;
```

```
        if      (dy1 == 0 && dy2 == 0) { ... }
        else if (dy1 >= 0 && dy2 < 0) return -1;
        else if (dy2 >= 0 && dy1 < 0) return +1;
        else return -ccw(Point2D.this, q1, q2);
```

← p, q1, q2 horizontal

← q1 above p; q2 below p

← q1 below p; q2 above p

← both above or below p

← to access invoking point from within inner class

```
    }
}
```



## 2.2 MERGESORT

---

- ▶ *mergesort*
- ▶ *bottom-up mergesort*
- ▶ *sorting complexity*
- ▶ *comparators*
- ▶ *stability*



## 2.2 MERGESORT

---

- ▶ *mergesort*
- ▶ *bottom-up mergesort*
- ▶ *sorting complexity*
- ▶ *comparators*
- ▶ *stability*

# Stability

A typical application. First, sort by name; **then** sort by section.

`Selection.sort(a, Student.BY_NAME);`

Andrews	3	A	664-480-0023	097 Little
Battle	4	C	874-088-1212	121 Whitman
Chen	3	A	991-878-4944	308 Blair
Fox	3	A	884-232-5341	11 Dickinson
Furia	1	A	766-093-9873	101 Brown
Gazsi	4	B	766-093-9873	101 Brown
Kanaga	3	B	898-122-9643	22 Brown
Rohde	2	A	232-343-5555	343 Forbes

`Selection.sort(a, Student.BY_SECTION);`

Furia	1	A	766-093-9873	101 Brown
Rohde	2	A	232-343-5555	343 Forbes
Chen	3	A	991-878-4944	308 Blair
Fox	3	A	884-232-5341	11 Dickinson
Andrews	3	A	664-480-0023	097 Little
Kanaga	3	B	898-122-9643	22 Brown
Gazsi	4	B	766-093-9873	101 Brown
Battle	4	C	874-088-1212	121 Whitman

@#%&@! Students in section 3 no longer sorted by name.

A **stable** sort preserves the relative order of items with equal keys.

# Stability

Q. Which sorts are stable?

A. Insertion sort and mergesort (but not selection sort or shellsort).

sorted by time	sorted by location (not stable)	sorted by location (stable)
Chicago 09:00:00	Chicago 09:25:52	Chicago 09:00:00
Phoenix 09:00:03	Chicago 09:03:13	Chicago 09:00:59
Houston 09:00:13	Chicago 09:21:05	Chicago 09:03:13
Chicago 09:00:59	Chicago 09:19:46	Chicago 09:19:32
Houston 09:01:10	Chicago 09:19:32	Chicago 09:19:46
Chicago 09:03:13	Chicago 09:00:00	Chicago 09:21:05
Seattle 09:10:11	Chicago 09:35:21	Chicago 09:25:52
Seattle 09:10:25	Chicago 09:00:59	Chicago 09:35:21
Phoenix 09:14:25	Houston 09:01:10	Houston 09:00:13
Chicago 09:19:32	Houston 09:00:13	Houston 09:01:10
Chicago 09:19:46	Phoenix 09:37:44	Phoenix 09:00:03
Chicago 09:21:05	Phoenix 09:00:03	Phoenix 09:14:25
Seattle 09:22:43	Phoenix 09:14:25	Phoenix 09:37:44
Seattle 09:22:54	Seattle 09:10:25	Seattle 09:10:11
Chicago 09:25:52	Seattle 09:36:14	Seattle 09:10:25
Chicago 09:35:21	Seattle 09:22:43	Seattle 09:22:43
Seattle 09:36:14	Seattle 09:10:11	Seattle 09:22:54
Phoenix 09:37:44	Seattle 09:22:54	Seattle 09:36:14

*no longer sorted by time*

*still sorted by time*

Note. Need to carefully check code ("less than" vs. "less than or equal to").

## Stability: insertion sort

**Proposition.** Insertion sort is **stable**.

```
public class Insertion
{
    public static void sort(Comparable[] a)
    {
        int N = a.length;
        for (int i = 0; i < N; i++)
            for (int j = i; j > 0 && less(a[j], a[j-1]); j--)
                exch(a, j, j-1);
    }
}
```

i	j	0	1	2	3	4
0	0	B <sub>1</sub>	A <sub>1</sub>	A <sub>2</sub>	A <sub>3</sub>	B <sub>2</sub>
1	0	A <sub>1</sub>	B <sub>1</sub>	A <sub>2</sub>	A <sub>3</sub>	B <sub>2</sub>
2	1	A <sub>1</sub>	A <sub>2</sub>	B <sub>1</sub>	A <sub>3</sub>	B <sub>2</sub>
3	2	A <sub>1</sub>	A <sub>2</sub>	A <sub>3</sub>	B <sub>1</sub>	B <sub>2</sub>
4	4	A <sub>1</sub>	A <sub>2</sub>	A <sub>3</sub>	B <sub>1</sub>	B <sub>2</sub>
		A <sub>1</sub>	A <sub>2</sub>	A <sub>3</sub>	B <sub>1</sub>	B <sub>2</sub>

**Pf.** Equal items never move past each other.

## Stability: selection sort

**Proposition.** Selection sort is **not** stable.

```
public class Selection
{
    public static void sort(Comparable[] a)
    {
        int N = a.length;
        for (int i = 0; i < N; i++)
        {
            int min = i;
            for (int j = i+1; j < N; j++)
                if (less(a[j], a[min]))
                    min = j;
            exch(a, i, min);
        }
    }
}
```

i	min	0	1	2
0	2	B <sub>1</sub>	B <sub>2</sub>	A
1	1	A	B <sub>2</sub>	B <sub>1</sub>
2	2	A	B <sub>2</sub>	B <sub>1</sub>
		A	B <sub>2</sub>	B <sub>1</sub>

**Pf by counterexample.** Long-distance exchange might move an item past some equal item.

# Stability: shellsort

**Proposition.** Shellsort sort is **not** stable.

```
public class Shell
{
    public static void sort(Comparable[] a)
    {
        int N = a.length;
        int h = 1;
        while (h < N/3) h = 3*h + 1;
        while (h >= 1)
        {
            for (int i = h; i < N; i++)
            {
                for (int j = i; j > h && less(a[j], a[j-h]); j -= h)
                    exch(a, j, j-h);
            }
            h = h/3;
        }
    }
}
```

h	0	1	2	3	4
	B <sub>1</sub>	B <sub>2</sub>	B <sub>3</sub>	B <sub>4</sub>	A <sub>1</sub>
4	A <sub>1</sub>	B <sub>2</sub>	B <sub>3</sub>	B <sub>4</sub>	B <sub>1</sub>
1	A <sub>1</sub>	B <sub>2</sub>	B <sub>3</sub>	B <sub>4</sub>	B <sub>1</sub>
	A <sub>1</sub>	B <sub>2</sub>	B <sub>3</sub>	B <sub>4</sub>	B <sub>1</sub>

**Pf by counterexample.** Long-distance exchanges.



## Stability: mergesort

---

**Proposition.** Mergesort is **stable**.

```
public class Merge
{
    private static Comparable[] aux;
    private static void merge(Comparable[] a, int lo, int mid, int hi)
    { /* as before */ }

    private static void sort(Comparable[] a, int lo, int hi)
    {
        if (hi <= lo) return;
        int mid = lo + (hi - lo) / 2;
        sort(a, lo, mid);
        sort(a, mid+1, hi);
        merge(a, lo, mid, hi);
    }

    public static void sort(Comparable[] a)
    { /* as before */ }
}
```

**Pf.** Suffices to verify that merge operation is stable.

## Stability: mergesort

---

**Proposition.** Merge operation is stable.

```
private static void merge(...)
{
    for (int k = lo; k <= hi; k++)
        aux[k] = a[k];

    int i = lo, j = mid+1;
    for (int k = lo; k <= hi; k++)
    {
        if      (i > mid)           a[k] = aux[j++];
        else if (j > hi)           a[k] = aux[i++];
        else if (less(aux[j], aux[i])) a[k] = aux[j++];
        else                       a[k] = aux[i++];
    }
}
```

0	1	2	3	4	5	6	7	8	9	10
A <sub>1</sub>	A <sub>2</sub>	A <sub>3</sub>	B	D	A <sub>4</sub>	A <sub>5</sub>	C	E	F	G

**Pf.** Takes from left subarray if equal keys.



## 2.2 MERGESORT

---

- ▶ *mergesort*
- ▶ *bottom-up mergesort*
- ▶ *sorting complexity*
- ▶ *comparators*
- ▶ *stability*



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## 2.2 MERGESORT

---

- ▶ *mergesort*
- ▶ *bottom-up mergesort*
- ▶ *sorting complexity*
- ▶ *comparators*
- ▶ *stability*