Analysis of Algorithms 1 (Fall 2016) Istanbul Technical University Computer Eng. Dept.

Introduction



Course slides from Leiserson's MIT class have been used in preparation of these slides.

Analysis of Algorithms 1, Dr. Tosun & Dr. Ekenel, Dept. of Computer Engineering, ITU

Outline

- About this course
- Algorithms and data structures
- Insertion Sort
 - How to Analyze an Algorithm
 - Correctness (Loop Invariants)
 - Running Time for a Specific Input Size
 - Worst Case Analysis
 - Average Case Analysis

Course Information

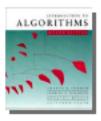
Lecturers:

 Dr. Zehra Çataltepe cataltepe@itu.edu.tr

 Dr. Hazım Kemal Ekenel ekenel@itu.edu.tr

Course Information

Textbook: "Introduction to Algorithms", 2nd edition, Cormen et al, MIT Press.



Ninova:

- Course slides
- Homework assignments
- Announcements

Make sure you are added to Ninova site and check your ITU e-mail once every week!

Lectures, Assignments, and Examinations

- Lectures to explain and to discuss concepts
- Assignments to reinforce hands-on applications
- Exams to check how well the material is learned

Some Tips

- Come to lecture
- Do the projects
 - You will have difficulty with exams without doing the projects
- Ask questions
- Start assignments early

Academic Honesty

Examinations

No talking, i.e., "No cheating!"

Assignments

- May talk to each other about solutions but never copy code or algorithms from others' assignments
- Best solution: Do not even look at others' codes!

Course Objectives

- To explain why main memory algorithms are not efficient in external memory
- To introduce advanced data structures which
 - are able to handle large amounts of data due their efficient use of secondary storage
 - can be used for fast solution of problems such as searching, sorting, etc.
- To introduce structures and techniques necessary for other courses such as Analysis of Algorithms, Databases, Computer Networks, and Artificial Intelligence

Course Outline

21.09.2016Week1	Ch1: Bala of Algorithms in Computing (reading material: Secondary storage devises)		
	Ch1: Role of Algorithms in Computing (reading material: Secondary storage devices)		
28.09.2016Week2	Ch 2: Getting Started, Ch3. Growth of Functions		
5.10.2016Week3	Ch4. Recurrences	RECITATION1	Project1 handed out
12.10.2016Week4	Ch5. Probabilistic Analysis and Randomized Algorithms		
19.10.2016Week5	Ch7. Quicksort	RECITATION2	Project2 handed out.
26.10.2016Week6	Ch8. Sorting in Linear Time, Ch9. Medians and Order Statistics		
2.11.2016Week7	Ch6. Heapsort	RECITATION3	Project3 handed out
9.11.2016	FALL break		
16.11.2016Week8	MIDTERM		
23.11.2016Week9	Ch10. Elementary Data Structures (Review), Ch11. Hash Tables		Project 4 handed out
	Ch12. Binary Search Trees (Review) Ch13. Red-Black Trees, (reading material: 2-3 Trees, 2-3-4		
30.11.2016Week10	Trees)	RECITATION4	
7.12.2016Week11	Ch14. Augmenting Data Structures		Project 5
14.12.2016Week12	Ch17. Amortized Analysis,	RECITATION5	
21.12.2016Week13	Ch18. B Trees, [Briefly] Ch19. Binomial Heaps, Ch20. Fibonacci Heaps		
28.12.2016Week 14	Review	RECITATION6	

Where Does This Course Fit In?

AOA 1

Secondary Storage Devices Asymptotic Analysis Recurrences Sorting (Merge, Heap, Quick)

Sorting (Merge, Fleap, Quie

Hashing

Binary Search Trees

Red-Black Trees

B-Trees

Amortized Analysis

Binomial Heaps

Fibonacci Heaps

DS

Pointers

Arrays

Queues

Lists

Dynamic and Static

Memory

Sorting (Quick)

Searching

Trees

Heaps

AOA 2

Graphs

Greedy Algorithms

Divide and Conquer

Dynamic Programming

Network Flow

NP and Computational Intractability

Algorithm

- Historical aside:
 - Persian astronomer and mathematician
 Muhammad al-Khwarizmi (825 A.D.), in Latin
 Algoritmi (12th century)



 First algorithm: Euclidean Algorithm, greatest common divisor (300 B.C.)

More on algorithms in **BLG 336E Analysis of Algorithms** next term

picture: google images 11

Analysis of Algorithms 1

- Advanced data structures:
 - Heap
 - Hash table
 - Red-black tree
 - B-tree
 - Binomial and Fibonacci heaps
- Methods to analyze their performance:
 - Growth of functions
 - Recurrences
 - Probabilistic, amortized analysis

Algorithm and Data Structure

- Problem definition
- Algorithm
 - outline of computational procedure
 - step-by-step list of instructions
- Program
 - implementation of algorithm in programming language
- Data structure
 - organization of data required to solve problem

A Complete Program

- Investigating the problem
- Designing a program
 - Consider the computer architecture
 - Decide on / develop / design algorithm
- Writing the program (implementation)
- Testing the program (verification)
- Aiming at
 - Correctness
 - Efficiency
 - Robustness
 - Reusability
 - Adaptability

Why Do You Need AOA?

- Many experienced programmers were asked to code up binary search
- 80% got it wrong
- What did they lack?
 - Fundamental understanding of the algorithmic design techniques
 - Abstract thinking
 - Formal proof methods

Top Interview Questions

- Sorting (plus searching / binary search)
- Divide-and-conquer
- Dynamic programming / memoization
- Greediness
- Recursion
- Algorithms associated with a specific data structure

A sample of interview questions

- How to find middle element in a linked list through a single pass?
- Write a Java program to sort an array using Bubble Sort algorithm?
- How to reverse a linked list using recursion and iteration?
- Design an algorithm to find all the common elements in two sorted lists of numbers.

Why Do You Need AoA?

- Boss assigns task:
- Given
 - today's prices of meat (of lamb, donkey,...), bread
 - constraints on what constitutes a döner
- Make the cheapest döner sandwich



Why Do You Need AoA?

Your answer:

- "Um? Tell me what to code."
 - With more sophisticated software engineering systems, demand for mundane programmers will diminish
- "I learned this great algorithm that will work."
 - Soon all known algorithms will be available in libraries

Why Do You Need AoA?

You need to understand

details of algorithms and data structures
in order to come up with

- a good solution for a new problem
 OR
- a better solution for an existing problem

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CHAPTER 1
Role of Algorithms in Computing



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Outline

- What is an Algorithm?
- Examples of Algorithms
- Correctness of Algorithms
- Specifying Algorithms
- Data Structures
- Algorithms as a Technology
- Efficiency of Algorithms

Algorithms

- Informally, an algorithm is any well-defined sequence of steps for solving well-specified computational problem
- Computational problem is specified as input / output relationship
 - An algorithm is thus a sequence of steps that transforms input into output

Example: Sorting

- Sorting is a well-known computational problem
- Input: Sequence of n numbers <a₁, a₂, ..., a_n>
- Output: Permutation (reordering)
- <a'₁, a'₂, ..., a'_n> of input sequence such that
- $a'_{1} \le a'_{2} \le ... \le a'_{n}$
- Example
 - Input: <31, 41, 59, 26, 41, 58>
 - Output: <26, 31, 41, 41, 58, 59>

Correctness of Algorithms

- Algorithm said to be correct if, for every input instance, it halts with correct output
- Correct algorithm solves a given computational problem
- Incorrect algorithm might not halt at all on some input instances, or it might halt with an answer other than desired one
 - Can sometimes be useful, if their error rate can be controlled

Specifying Algorithms

- Algorithm can be specified
 - in English, Turkish, Chinese, etc. (i.e., natural languages)
 - as a computer program
 - as a hardware design
- Only requirement: Specification must provide precise description of computational procedure to be followed

What Kinds of Problems Do Algorithms Solve?

- Computational biology: analyzing three billion chemical base pairs that make up human DNA
- Search engines: quickly finding pages that store relevant information
- Computer networks: efficient routing
- Electronic commerce: public-key cryptography and digital signatures
- Manufacturing/commercial settings: assigning crew to flights in least expensive way

Data Structures

- Data structure: way to store and organize data in order to facilitate access and modifications
- No single data structure works well for all purposes
 - Important to know strengths and limitations of several of them

Motivation for Data Structures

- Similar to algorithms: "What is fastest way to solve problem X?"
- Difference: Focuses on ways to organize typically long-lived corpus of data so that queries can be answered really fast
- Typical example: web search engines
 - Store sophisticated indexes that support a variety of queries ("What documents contain word X?") quickly
 - "Linear time" too slow: cannot afford to scan through entire web to answer a single query
 - Goal: typically logarithmic or even constant time per query
 - Space tends to become a more important issue because data corpus is usually big and we do not want a data structure that is larger (or even as large as) the data itself

from Prof. Erik Demaine's MIT 6.897 ADS course

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Motivation for Data Structures

 Almost every algorithmic problem has at least a small data structural component and knowledge about data structures and the literature has made faster algorithms possible

Examples of Recent and Cool Data Structures

- Text indexing and web searching
 - Preprocess text in linear time so that you can search for an arbitrary substring in time proportional to length of that substring
 - Searching for one word is really really fast
 - Recent improvement: Data structure can be made small, proportional to text size and if text is compressible, data structure can be equally compressed

Sorting

- Sorting is $\Theta(n \lg n)$, but that is just in comparison model
- More typical example in ADS world is sorting integers: best known sorting algorithm runs in $O(n\sqrt{\lg\lg n})$ time, and it is even conceivable that sorting runs in O(n) time

Examples of Recent and Cool Data Structures

- Sorting and priority queues
 - Any priority queue data structure can be turned into a sorting algorithm
 - Reverse is also true: Any sorting algorithm that runs in $O(n \cdot f(n))$ time can be converted into a priority queue data structure with O(f(n)) time per operation
- Cache oblivious data structures
 - Any problem (sorting, priority queues, etc.) is different when you are dealing with disk instead of main memory or you care about cache performance
 - New wave of algorithms and data structures seems to capture most of these issues in theoretically clean way, and there have been several optimal results along these lines

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Technique

- You can use your textbook as a "cookbook" for algorithms
- You may someday encounter a problem for which you cannot readily find a published algorithm
- We will learn techniques of algorithm design and analysis so that we can
 - develop algorithms
 - show that they give correct answer
 - understand their efficiency

Algorithms as a Technology

- Algorithms are a technology, just as are
 - Fast hardware
 - Graphical user interfaces
 - Object-oriented systems
 - Networks

Algorithms as a Technology

- Suppose: Computers were infinitely fast and computer memory was free
- Would you have any reason to study algorithms?
- Yes, you would still like to demonstrate that your solution method terminates and does so with correct answer

Algorithms as a Technology

- If computers were infinitely fast, any correct method for solving a problem would do
- You would probably want your implementation to be within bounds of good software engineering practice (well designed and documented), but you would most often use whichever method was easiest to implement

Algorithms as a Technology

- Computers may be fast, but they are not infinitely fast
- Memory may be cheap, but it is not free
- Computing time is a bounded resource and so is space in memory
- These resources should be used wisely
 - Algorithms that are efficient in terms of time or space will help you do so

Efficiency

- Algorithms devised to solve same problem often differ dramatically in their efficiency
- These differences can be much more significant than differences due to hardware and software

Week 1

Efficiency: Two Algorithms for Sorting

Insertion sort

- $c_1 n^2$ to sort n items, where constant c_1 does not depend on n (takes time roughly proportional to n^2)

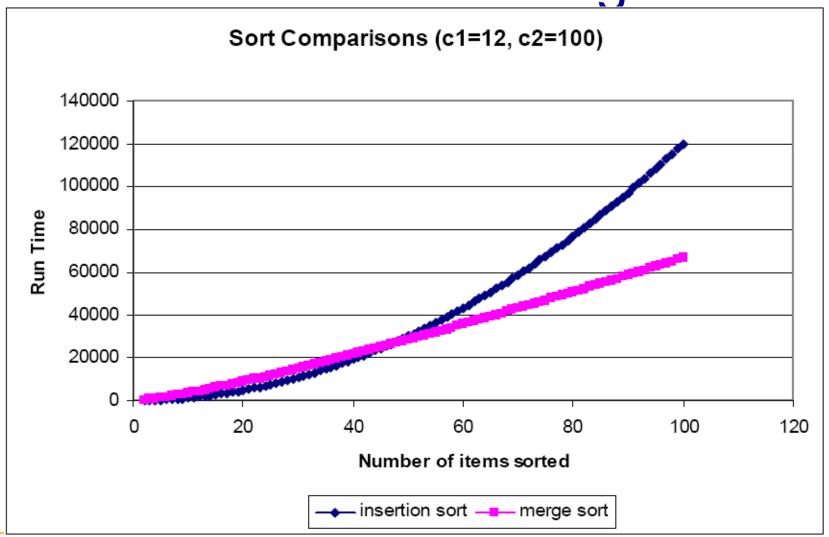
Merge sort

- Takes time roughly proportional to $c_2 n \lg n$, where $\lg n$ stands for $\log_2 n$ and c_2 is another constant that does not depend on n

Insertion Sort vs. Merge Sort

- Insertion sort usually has a smaller constant factor than merge sort, so that $c_1 < c_2$
- Constant factors can be far less significant in running time than dependence on input size n
- Where merge sort has a factor of lgn in its running time, insertion sort has a factor of n, which is much larger
- Although insertion sort is usually faster than merge sort for small input sizes, once input size n becomes large enough, merge sort's advantage of lgn vs. n will more than compensate for difference in constant factors
- No matter how much smaller c_1 is than c_2 , there will always be a crossover point beyond which merge sort is faster

Insertion Sort vs. Merge Sort



Efficiency: Concrete Example



Computer A



Computer B

- Insertion sort
- One billion instructions per second
- World's craftiest programmer, machine language
- 2*n*² instructions to sort *n* numbers
- Sorting one million numbers takes

$$\frac{2(10^6)^2 \text{ instructions}}{10^9 \text{ instructions/sec}} = 2000 \text{sec}$$

Sorting ten million numbers takes
 2.3 days

- Merge sort
- Ten million instructions per second
- Average programmer, high-level language with inefficient compiler
- 50nlgn instructions to sort n numbers
- Sorting one million numbers takes

$$\frac{50 \cdot 10^6 \, \text{lg} \, 10^6 \, \text{instructions}}{10^7 \, \text{instructions} / \text{sec}} \approx 100 \text{sec}$$

10⁷ instructions/sec
 Sorting ten million numbers takes under 20 minutes

In general as problem size increases, so does relative advantage of merge sort

Week 1 pictures: google images 43

Comparison of Running Times

Running Time in µs	Maximum problem size (n)		
	1 second	1 minute	1 hour
400n	2500	150000	9000000
20 <i>n</i> log <i>n</i>	4096	166666	7826087
$2n^2$	707	5477	42426
n^4	31	88	244
2^n	19	25	31

 For each function f(n) and time t, largest size n of a problem that can be solved in time t, assuming that algorithm to solve problem takes f(n) microseconds

Algorithms and Other Technologies

- Example showed that algorithms, like computer hardware, are a technology
- Total system performance depends on choosing efficient algorithms as much as on choosing fast hardware
- Although there are some applications that do not explicitly require algorithmic content at the application level (e.g., some simple webbased applications), most also require a degree of algorithmic content on their own

Algorithms and Other Technologies

- Even an application that does not require algorithmic content at the application level relies heavily upon algorithms
 - GUI, networking, use of language other than machine code (processed by compiler, interpreter, or assembler)
- With ever-increasing capacities of computers, we use them to solve larger problems than ever before
- At larger problem sizes, differences in efficiencies in algorithms become particularly prominent
- Having a solid base of algorithmic knowledge and technique is one characteristic that separates truly skilled programmers from novices

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Chapter 2: Getting Started



Course slides from
Leiserson's @MIT
Edmonds@York Un.
Ruan @UTSA
have been used in
preparation of these slides.

Last updated: Sept. 20, 2016

Outline

Insertion Sort

- Pseudocode Conventions
- Analysis of Insertion Sort
- Loop Invariants and Correctness

Merge Sort

- Divide and Conquer
- Analysis of Merge Sort

Growth of Functions

- Asymptotic notation
- Comparison of functions
- Standard notations and common functions

Sorting Problem

Input: A sequence of *n* numbers

Output: A permutation (reordering)

such that

$$a_1' <= a_2' <= ... <= a_n'$$

Sorting

- Numbers to be sorted (a_i) also known as keys
 - for example, studentID, checkNumber, etc.
- In real implementations of sorting algorithms records need to also be moved with keys
- To save time, pointers may be copied instead of actual records
- Algorithm does not concern itself with these details, but it will be your job when you actually do the programming

Insertion Sort

- Simple algorithm
- Basic idea:
 - Assume initial j-1 elements are sorted
 - Until you find place to insert jth element, move array elements to right
 - Copy jth element into its place
- Insertion Sort is an "in place" sorting algorithm. No extra storage is required.

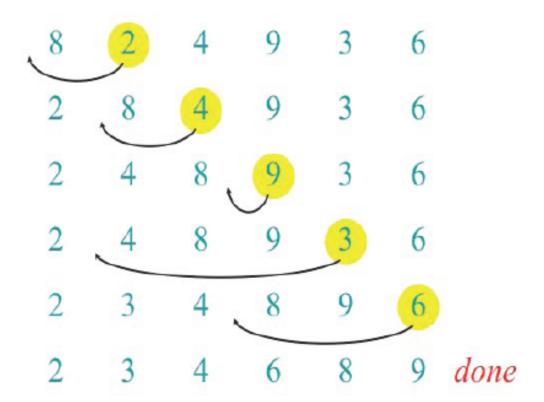
Insertion Sort Example

8 2 4 9 3 6

Insertion Sort Example



Insertion Sort Example



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Insertion Sort

Insertion-Sort (A, n) $\triangleright A[1 ... n]$ for $j \leftarrow 2$ to n**do** $key \leftarrow A[j]$ $i \leftarrow j - 1$ "pseudocode" while i > 0 and A[i] > keydo $A[i+1] \leftarrow A[i]$ $i \leftarrow i - 1$ A[i+1] = keyп sorted

A:

Pseudocode Conventions

- Indentation
 - indicates block structure
 - saves space and writing time
- Looping constructs (while, for, repeat) and conditional constructs (if, then, else)
 - like in C, C++, and Java
 - we assume that loop variable in a **for** loop is still defined when loop exits
- Symbol ">" indicates that remainder of line is comment
- Multiple assignment $i \leftarrow j \leftarrow e$ assigns to both variables i and j value of e (== $j \leftarrow e$, $i \leftarrow j$)
- Variables are local, unless otherwise specified

Pseudocode Conventions

- Array elements are accessed by specifying array name followed by index in square brackets
 - A[i] indicates ith element of array A
 - Notation ".." is used to indicate a range of values within an array (A[i..j] = A[1], A[2],..., A[j])
- We often use objects, which have attributes (equivalently, fields)
 - For an attribute attr of object x, we write attr[x]
 - Equivalent of x.attr in Java or x-> attr in C++
- Objects are treated as references, like in Java
 - If x and y denote objects, then assignment y ← x makes x and y reference same object
 - It does not cause attributes of one object to be copied to another

Pseudocode Conventions

- Parameters are passed by value, as in Java and C (and the default mechanism in C++).
 - When an object is passed by value, it is actually a reference (or pointer) that is passed
 - Changes to the reference itself are not seen by caller, but changes to the object's attributes are
- Boolean operators "and" and "or" are shortcircuiting
 - If after evaluating left-hand operand, we know result of expression, then we do not evaluate right-hand operand
 - If x is FALSE in "x and y", then we do not evaluate y
 - If x is TRUE in "x or y", then we do not evaluate y

Efficiency

- Correctness alone is not sufficient
- Brute-force algorithms exist for most problems
- To sort n numbers, we can enumerate all permutations of these numbers and test which permutation has the correct order
 - Why cannot we do this?
 - Too slow!
 - By what standard?

How to measure complexity?

- Accurate running time is not a good measure
- It depends on input
- It depends on the machine you used and who implemented the algorithm

 We would like to have an analysis that does not depend on those factors

Machine-independent

- A generic uniprocessor random-access machine (RAM) model
 - No concurrent operations
 - Each simple operation (e.g. +, -, =, *, if, for) takes 1 step.
 - Loops and subroutine calls are not simple operations.
 - All memory equally expensive to access
 - Constant word size
 - Unless we are explicitly manipulating bits
 - No memory hierarch (caches, virtual mem) is modeled

Running Time

- Running Time:T(n): Number of primitive operations or steps executed for an input of size n.
- Running time depends on input
 - already sorted sequence is easier to sort
- Parameterize running time by size of input
 - short sequences are easier to sort than long ones
- Generally, we seek upper bounds on running time
 - everybody likes a guarantee

Kinds of Analysis

- Worst-case: (usually)
 - T(n) = maximum time of algorithm on any input of size n
- Average-case: (sometimes)
 - T(n) = expected time of algorithm over all inputs of size n
 - Need assumption about statistical distribution of inputs
- Best-case: (bogus)
 - Cheat with a slow algorithm that works fast on some input

Analysis of insertion Sort

```
Statement
                                                                time
                                                         cost
InsertionSort(A, n) {
  for j = 2 to n \{
                                                                 n
                                                         C_1
                                                                 (n-1)
       key = A[j]
                                                         C_2
                                                                 (n-1)
        i = j - 1;
                                                         C_3
                                                                 \sum_{j=2..n} t_j
       while (i > 0) and (A[i] > key) {
                                                         C_4
                                                                 \sum_{i=2..n} t_i -1
                A[i+1] = A[i]
                                                         C_5
                                                                 \sum_{i=2..n} t_i -1
                i = i - 1
                                                         C_6
                                                         0
       A[i+1] = key
                                                                 (n-1)
                                                         C_7
                                                         0
```

t_j: number of times while loop test is executed for jth **for** loop iteration

25/09/17 Week 1

Analysis of insertion Sort

Statement cost time

```
InsertionSort(A, n) {
  for j = 2 to n \{
                                                  C_1
                                                        (n-1)
       key = A[j]
                                                  C_2
       i = j - 1;
                                                        (n-1)
                                                  C_3
       while (i > 0) and (A[i] > key) {
                                                 C_{4}
                                                    S – (n-1)
              A[i+1] = A[i]
                                                 C_5
                                                        S - (n-1)
              i = i - 1
                                                 C_6
                                                         (n-1)
      A[i+1] = key
                                                 C_7
```

number of times while loop test is executed for jth for loop iteration

Analyzing Insertion Sort

- $T(n) = c_1 n + c_2 (n-1) + c_3 (n-1) + c_4 S + c_5 (S (n-1)) + c_6 (S (n-1)) + c_7 (n-1)$ = $c_8 S + c_9 n + c_{10}$
- What can S be?
 - Best case -- inner loop body never executed
 - $t_i = 1 \rightarrow S = n 1$
 - $\dot{T}(n) = an + b$ is a linear function
 - Worst case -- inner loop body executed for all previous elements
 - $t_i = j \rightarrow S = 2 + 3 + ... + n = n(n+1)/2 1$
 - $\dot{T}(n) = an^2 + bn + c$ is a quadratic function
 - Average case
 - Can assume that in average, we have to insert A[j] into the middle of A[1..j-1], so t_i = j/2
 - $S \approx n(n+1)/4$
 - T(n) is still a quadratic function

5/09/17 \times \text{Week 1}

Insertion Sort Running Time

Theta Notation, see next week.

- Best-case:
 - $-\Theta(n)$, inner loop not executed at all
- Worst-case: Input reverse sorted

$$-T(n) = \sum_{j=2}^{n} \Theta(j) = \Theta(n^2)$$
 [Arithmetic series]

• Average-case: All permutations equally likely

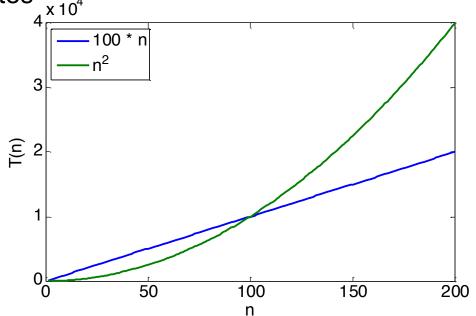
$$T(n) = \sum_{j=2}^{n} \Theta(j/2) = \Theta(n^2)$$

Is Insertion Sort a fast sorting algorithm?

- Moderately so, for small n
- Not at all, for large n

Asymptotic Analysis

- Ignore actual and abstract statement costs
- Order of growth is the interesting measure:
 - Highest-order term is what counts
 - As the input size grows larger it is the high order term that dominates



Loop invariants and correctness of insertion sort

- Claim: at the start of each iteration of the for loop, the subarray A[1..j-1] consists of the elements originally in A[1..j-1] but in sorted order.
- Proof: by induction

Review: Proof By Induction

- Claim:S(n) is true for all n >= k
- Basis:
 - Show formula is true when n = k
- Inductive hypothesis:
 - Assume formula is true for an arbitrary n
- Step:
 - Show that formula is then true for n+1

Prove correctness using loop invariants

- Initialization (basis): the loop invariant is true prior to the first iteration of the loop
- Maintenance:
 - Assume that it is true before an iteration of the loop (Inductive hypothesis)
 - Show that it remains true before the next iteration (Step)
- Termination: show that when the loop terminates, the loop invariant gives us a useful property to show that the algorithm is correct

Prove correctness using loop invariants

```
InsertionSort(A, n) {
  for j = 2 to n \{
     key = A[j];
     i = j - 1;
     \triangleright Insert A[j] into the sorted sequence A[1..j-1]
     while (i > 0) and (A[i] > key) {
          A[i+1] = A[i];
          i = i - 1;
     A[i+1] = key
```

Loop invariant: at the start of each iteration of the for loop, the subarray consists of the elements originally in A[1..j-1] but in sorted order.

25/09/17

Initialization

```
InsertionSort(A, n) {
  for j = 2 to n \{
                                   Subarray A[1] is sorted. So loop
      key = A[j];
                                 invariant is true before the loop starts.
      i = j - 1;
      \triangleright Insert A[j] into the sorted sequence A[1..j-1]
      while (i > 0) and (A[i] > key) {
            A[i+1] = A[i];
            i = i - 1;
      A[i+1] = key
```

Maintenance

```
InsertionSort(A, n) {
  for j = 2 to n \{
                                   Assume loop variant is true prior to
      key = A[j];
                                          iteration i
      i = j - 1;
      ▶ Insert A[i] into the sorted sequence A[1..j-1]
      while (i > 0) and (A[i] > key) {
             A[i+1] = A[i];
             i = i - 1;
      A[i+1] = key
                                    Loop variant will be true before
                                         iteration j+1
 25/09/17
      Week 1
                    sorted
```

Termination

```
InsertionSort(A, n) {
  for j = 2 to n \{
      key = A[j]; The algorithm is correct!
      i = j - 1;
      \triangleright Insert A[j] into the sorted sequence A[1..j-1]
      while (i > 0) and (A[i] > key) {
            A[i+1] = A[i];
            i = i - 1;
                                  Upon termination, A[1..n] contains all the
      A[i+1] = key
                                   original elements of A in sorted order.
                                                    n i=n+1
 25/09/17
```

Week 1

Sorted