

CS 401: Introduction to Advanced Studies (Data Structures) Vijay K. Gurbani, Ph.D., Illinois Institute of Technology

Lecture 12: Sorting II --- Divide and Conquer Sorts

#### Sorting: Divide and Conquer Sorts

- Heap sort
- Merge sort
- Quick sort

# Divide and Conquer Sort Performance



Slide source: http://www.personal.kent.edu/~rmuhamma/Algorithms/MyAlgorithms/Sorting/sortingIntro.htm

## Heap sort

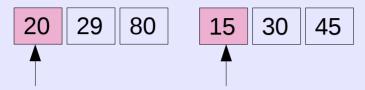
Slides to appear.

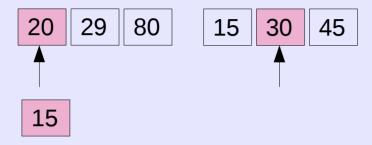
- Start with an array of size n.
- Recurse: Keep dividing array by half until k elements in each subarray (generally, k = 7).
- Use insertion sort on arrays of size k.
- Merge arrays of size k.
- Start unraveling recursion by merging subarrays.

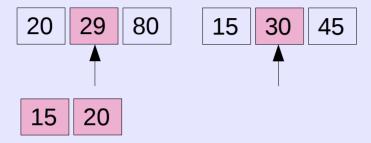
```
function merge sort(list m) {
   // Base case
   if (length(m) \le 1) {
      return m;
   }
   // Divide list in two equal-sized sublists and recurse
  var list left, right;
  var integer middle := length(m)/2
   left := list[0:middle-1]
  right := list[middle:length(m)-1]
  merge sort(left)
  merge sort(right)
   // Conquer: merge sorted sublists
  return merge(left, right)
}
```

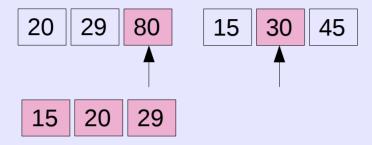
Function merge(left, right). Pre-condition: sublists must be sorted.

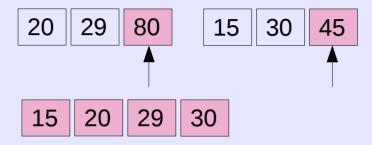
20 | 29 | 80 | 15 | 30 | 45

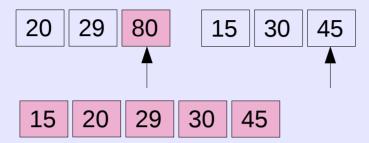


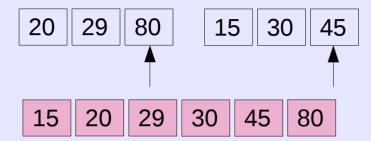












Function merge(left, right). Pre-condition: sublists must be sorted.

20 29 80 85 90 91

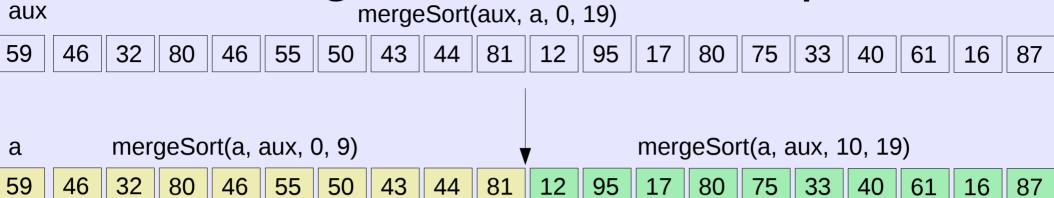
If sublists are such that they are non-overlapping, the algorithm simply concatenates the sublist with the larger numbers after the sublist with the smallest numbers.

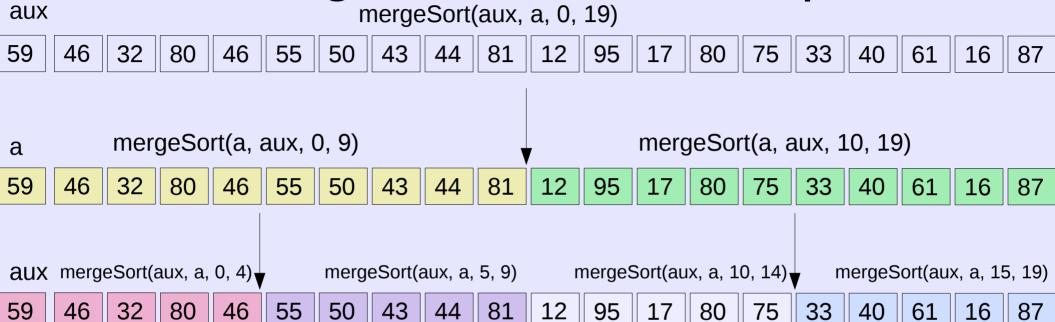
20 | 29 | 80 | 85 | 90 | 91

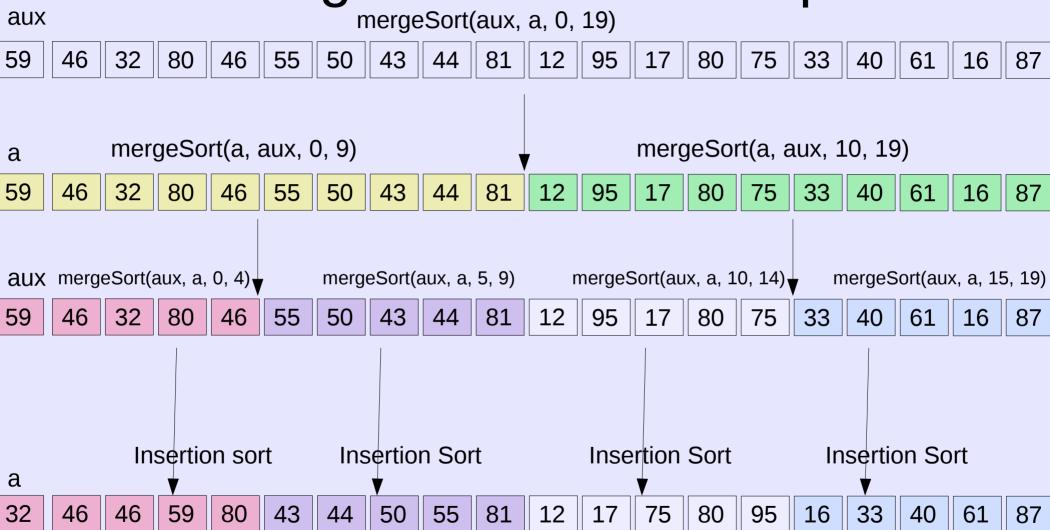
Now for a complete example ...

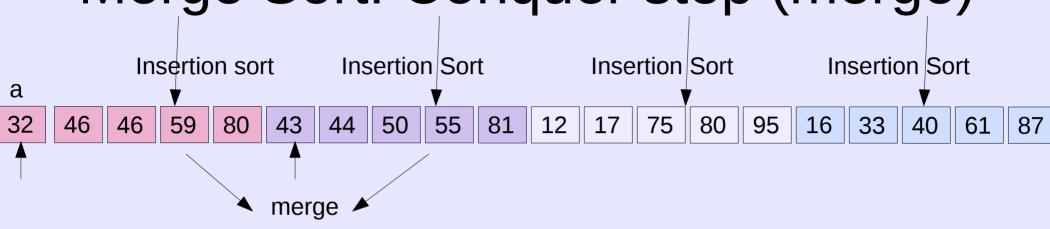
aux

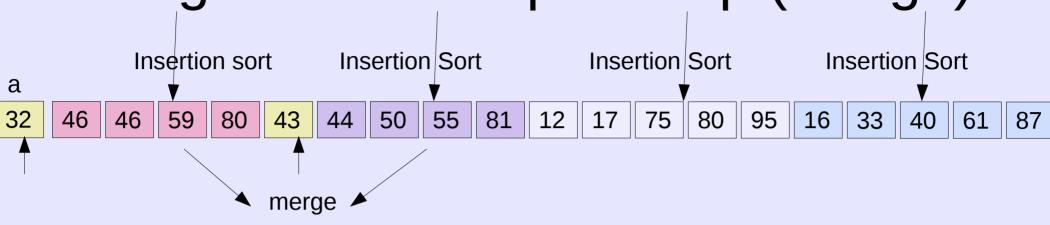
mergeSort(aux, a, 0, 19)



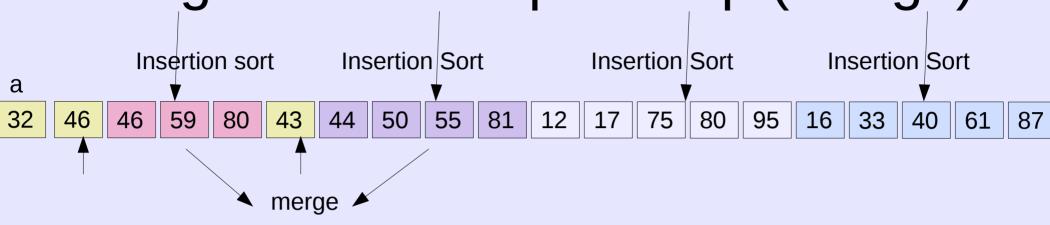


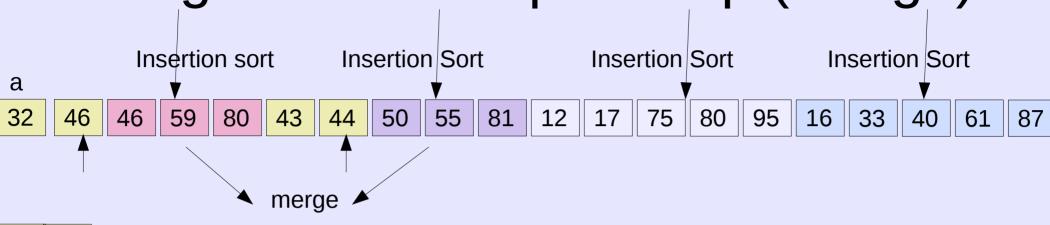




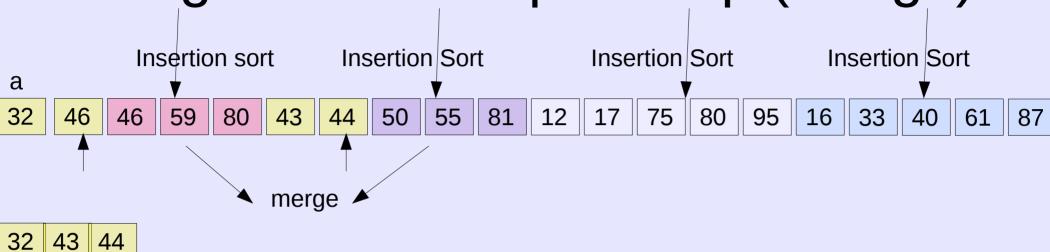


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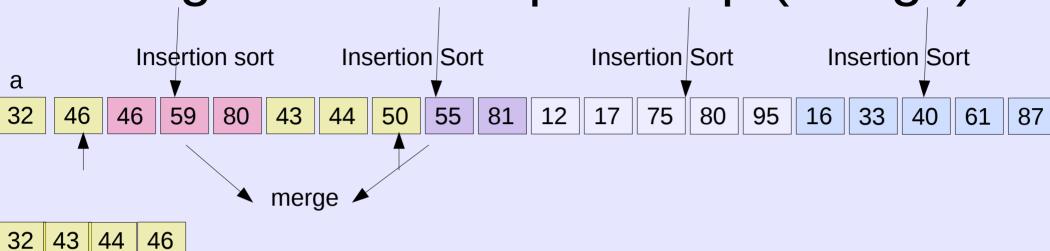


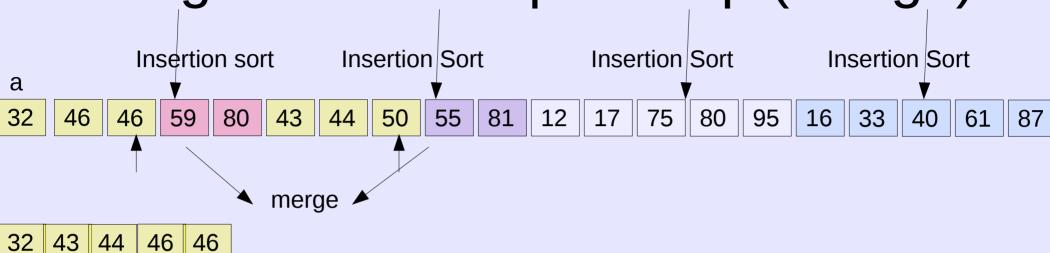


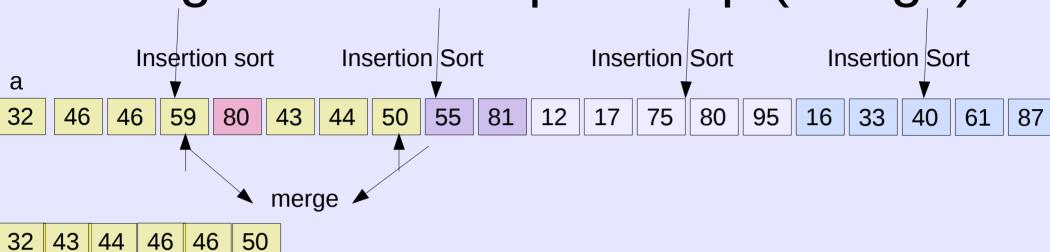
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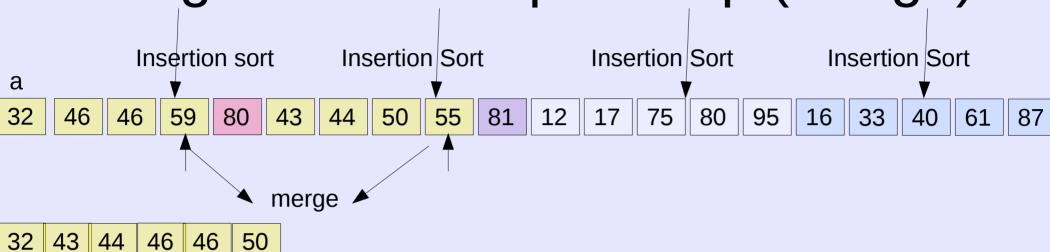


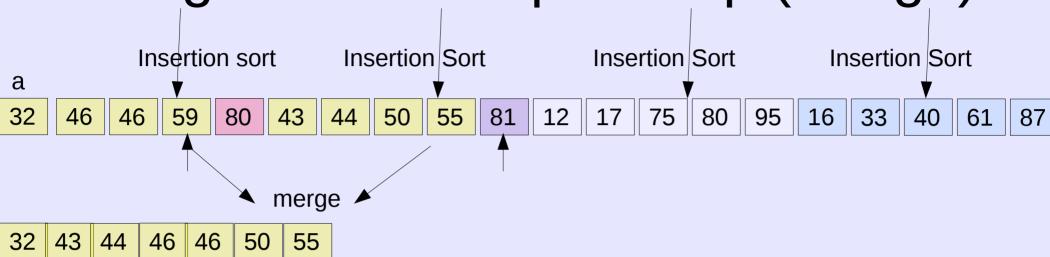
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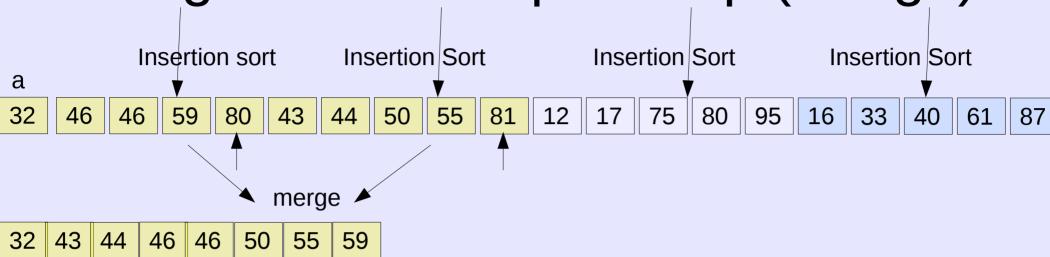


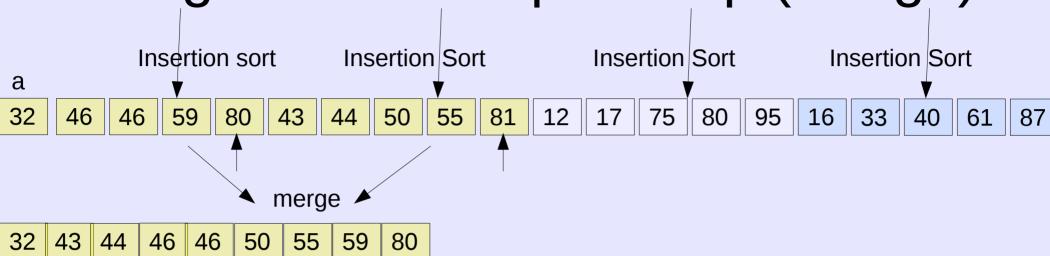


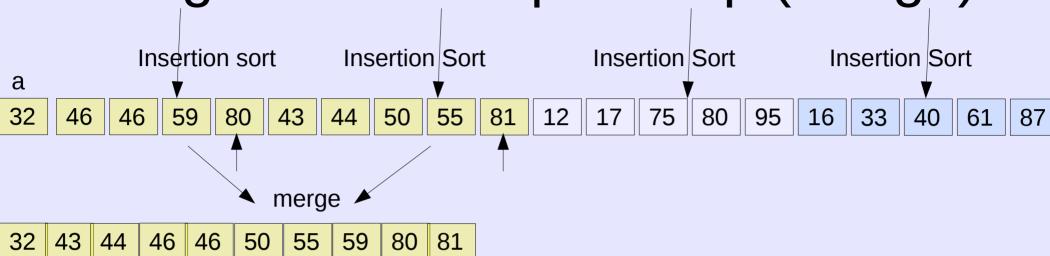


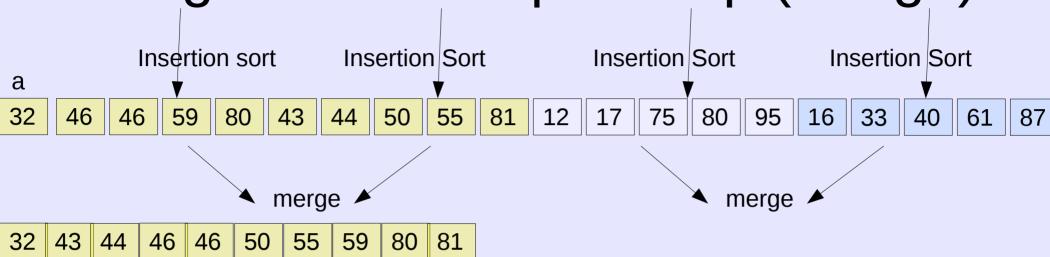


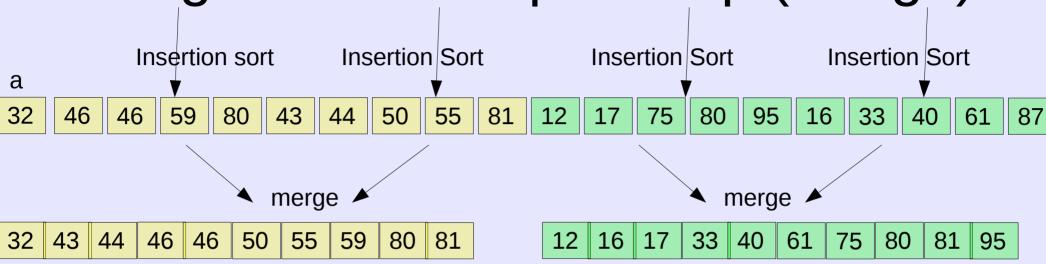


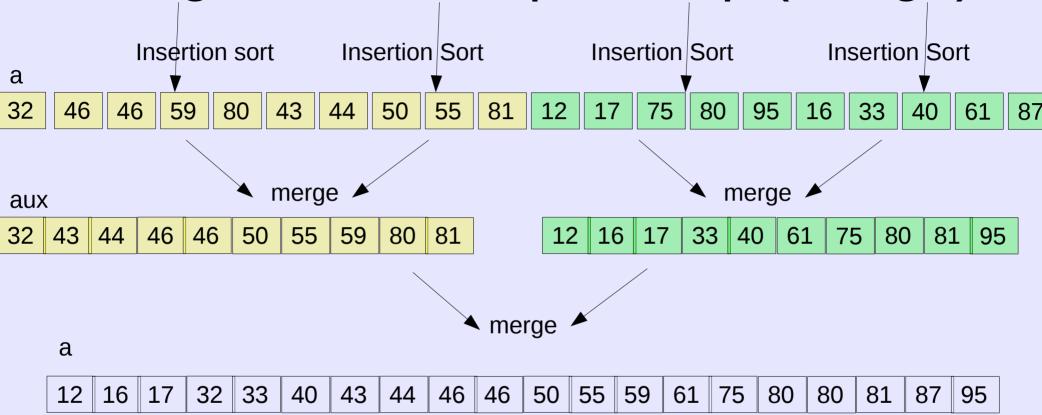












#### Merge Sort: Complexity Analysis

Time taken to execute Mergesort on input of size N = Time taken on the left half + Time taken on the right half + The merge step T(N/2) N

$$T(N) = T(N/2) + T(N/2) + N$$
  
=  $2T(N/2) + N$ , for  $N > 1$  with  $T(1) = 0$ .

Solution of Mergesort recurrence: T(N) = N log<sub>2</sub> N

See whiteboard for proof by induction on N, when N is a power of 2.

Same recurrence solution holds for many Divide and Conquer algorithms.

#### **Quick Sort**

- Developed by C.A.R. Hoare in 1960.
- Honored as one of the top 10 algorithms of 20<sup>th</sup> century in science and engineering.
- Recursive and elegant algorithm:
  - Step 1: Partition\* the array such that
    - element[i] is in its final place for some i
    - All elements <= element[i] to the left of i</li>
    - All elements > element[i] to the right of i
  - Step 2:
    - Perform Step 1 on left sub-array
    - Perform Step 1 on right sub-array

Partitioning is the key to Quicksort

pivot <= pivot > pivot

<sup>\*</sup> As with Mergesort, partitioning can stop when number of elements <= 7. Insertion sort used to sort such subarrays.

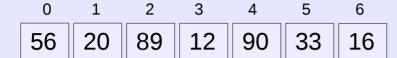
```
// left is the index of the leftmost element of the subarray
// right is the index of the rightmost element of the subarray (inclusive)
// number of elements in subarray = right-left+1
function partition(array, left, right, pivotIndex)
    pivotValue := array[pivotIndex]
    swap array[pivotIndex] and array[right] // Move pivot to end
    storeIndex := left
    for i from left to right - 1 // left ≤ i < right
        if array[i] ≤ pivotValue
            swap array[i] and array[storeIndex]
            storeIndex := storeIndex + 1 // only increment storeIndex on a swap
        swap array[storeIndex] and array[right] // Move pivot to its final place
        return storeIndex
```

Source: http://en.wikipedia.org/Quicksort

 0
 1
 2
 3
 4
 5
 6

 56
 20
 89
 12
 90
 33
 16

function partition(array, left, right, pivotIndex)
 pivotValue := array[pivotIndex]
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#### function partition(array, left, right, pivotIndex)

pivotValue := array[pivotIndex]
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for i from left to right - 1 // left ≤ i < right
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Invoke: partition(x, 0, 6, 5)

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 2
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 4
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 return storeIndex</pre>

Invoke: partition(x, 0, 6, 5)

pivotValue = 33

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return storeIndex

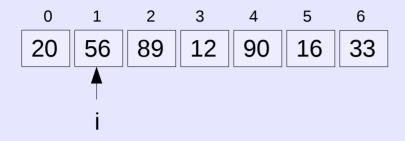


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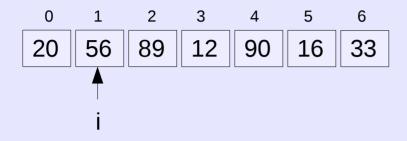


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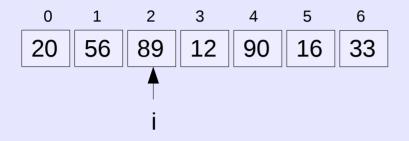
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Invoke: partition(x, 0, 6, 5)

pivotValue = 33

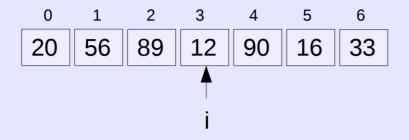


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storeIndex := left
for i from left to right - 1 // left ≤ i < right
if array[i] ≤ pivotValue
```

swap array[i] and array[storeIndex]
storeIndex := storeIndex + 1 // only increment storeIndex on a swap
swap array[storeIndex] and array[right] // Move pivot to its final place
return storeIndex

Invoke: partition(x, 0, 6, 5)

pivotValue = 33

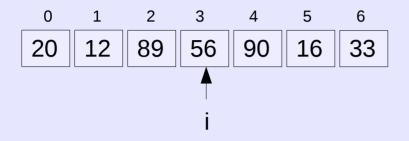


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Invoke: partition(x, 0, 6, 5)

pivotValue = 33



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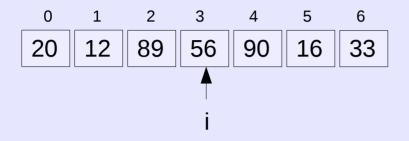
if array[i] ≤ pivotValue

swap array[i] and array[storeIndex]

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Invoke: partition(x, 0, 6, 5)

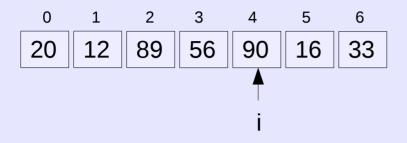
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Invoke: partition(x, 0, 6, 5)

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Invoke: partition(x, 0, 6, 5)

pivotValue = 33

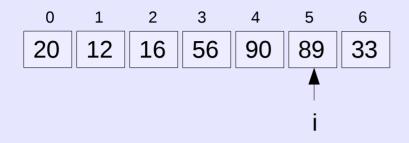


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Invoke: partition(x, 0, 6, 5)

pivotValue = 33



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```

storeIndex := storeIndex + 1 // only increment storeIndex on a swap swap array[storeIndex] and array[right] // Move pivot to its final place return storeIndex

Invoke: partition(x, 0, 6, 5)

$$storeIndex = 2$$



function partition(array, left, right, pivotIndex)
 pivotValue := array[pivotIndex]
 swap array[pivotIndex] and array[right] // Move pivot to end
 storeIndex := left
 for i from left to right - 1 // left ≤ i < right
 if array[i] ≤ pivotValue
 swap array[i] and array[storeIndex]
 storeIndex := storeIndex + 1 // only increment storeIndex on a swap
 swap array[storeIndex] and array[right] // Move pivot to its final place
 return storeIndex</pre>

Invoke: partition(x, 0, 6, 5)

pivotValue = 33

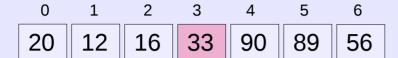
 0
 1
 2
 3
 4
 5
 6

 20
 12
 16
 33
 90
 89
 56

function partition(array, left, right, pivotIndex)
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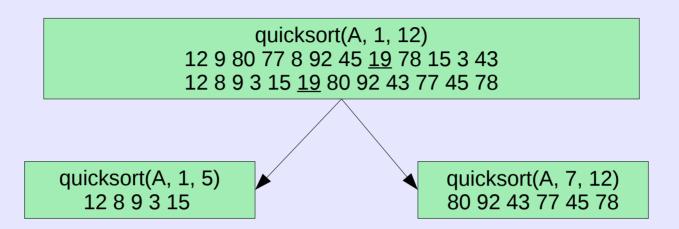
Invoke: partition(x, 0, 6, 5)

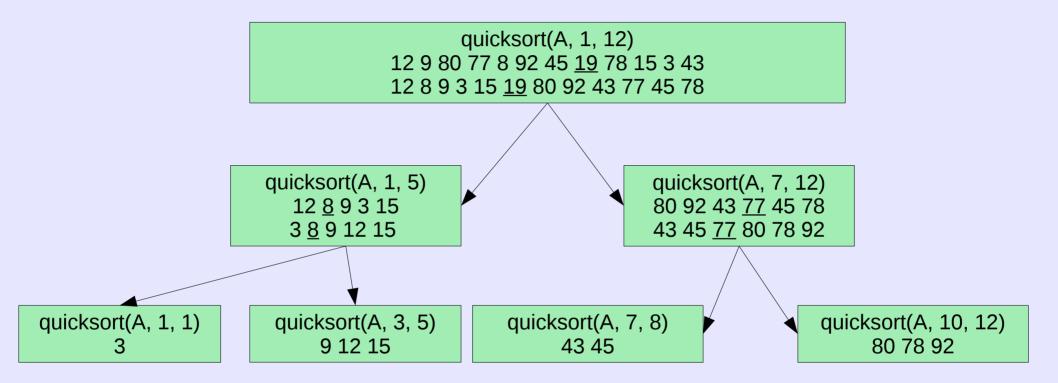
pivotValue = 33

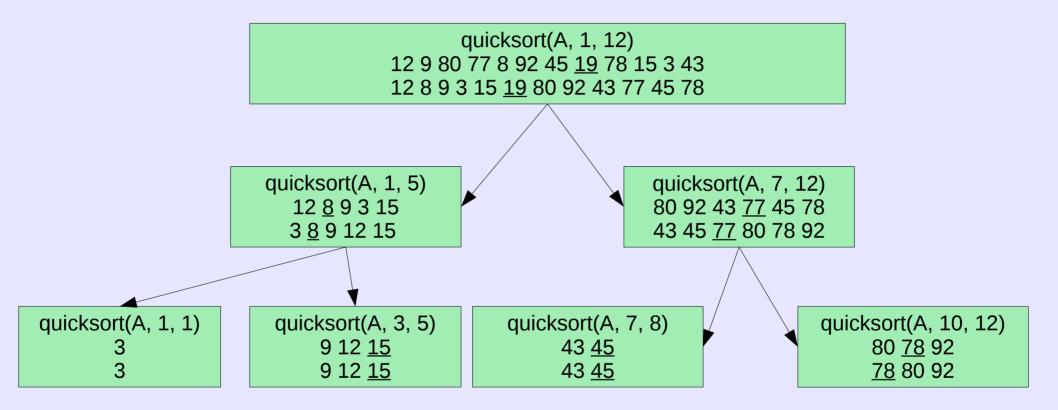


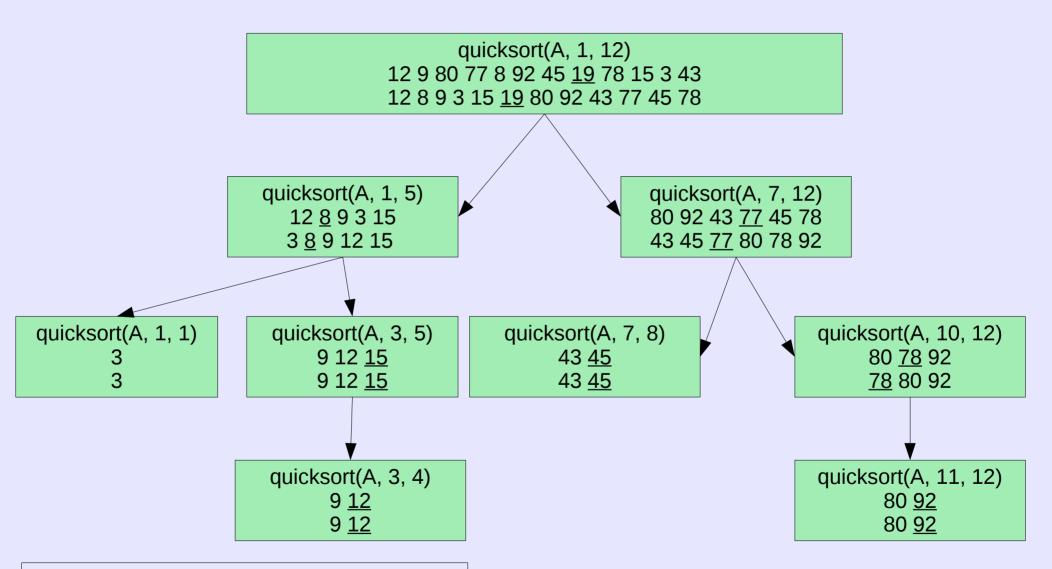
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 swap array[storeIndex] and array[right] // Move pivot to its final place
 return storeIndex</pre>

quicksort(A, 1, 12) 12 9 80 77 8 92 45 <u>19</u> 78 15 3 43 12 8 9 3 15 <u>19</u> 80 92 43 77 45 78





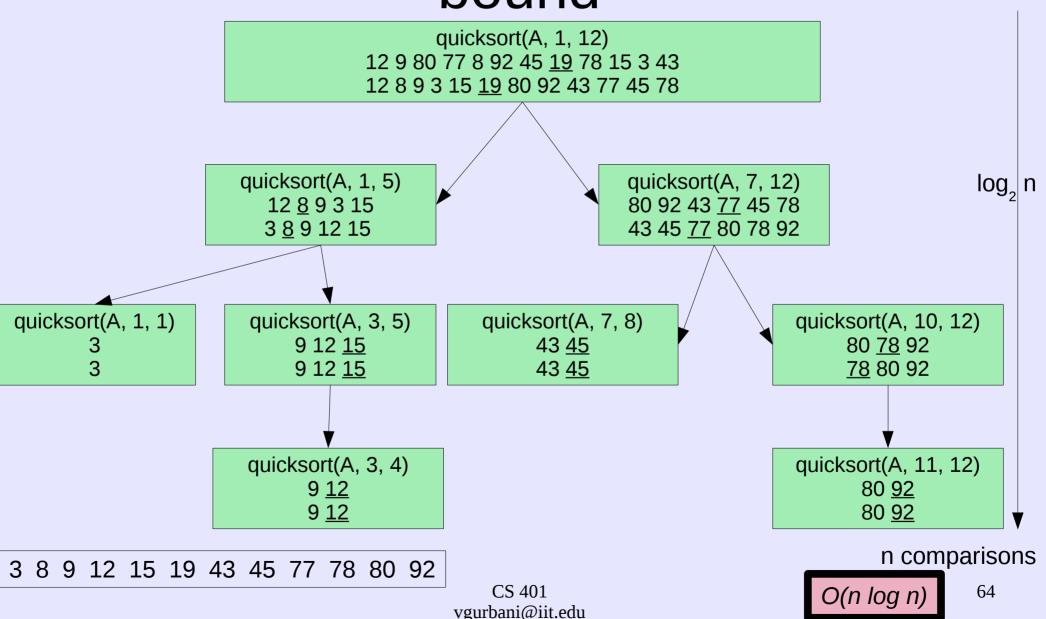




3 8 9 12 15 19 43 45 77 78 80 92

<sup>─</sup> CS 401 vgurbani@iit.edu

# Quicksort: An intuitive complexity bound



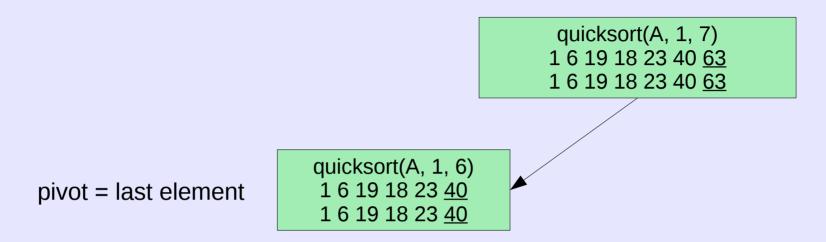
- Clearly, partitioning is important to Quicksort.
- Also clearly, choosing the right pivot to partition on is important.
  - Want to be left with two (approximately) equal halves.
    - See CLRS on how even with a 9-to-1 split, runtime remains  $O(n \log n)$ .
  - If this is not the case, then Quicksort degenerates to O(n²) for worst case.
    - Worst case occurs when one subarray has n-1 elements and the other subarray has 0.

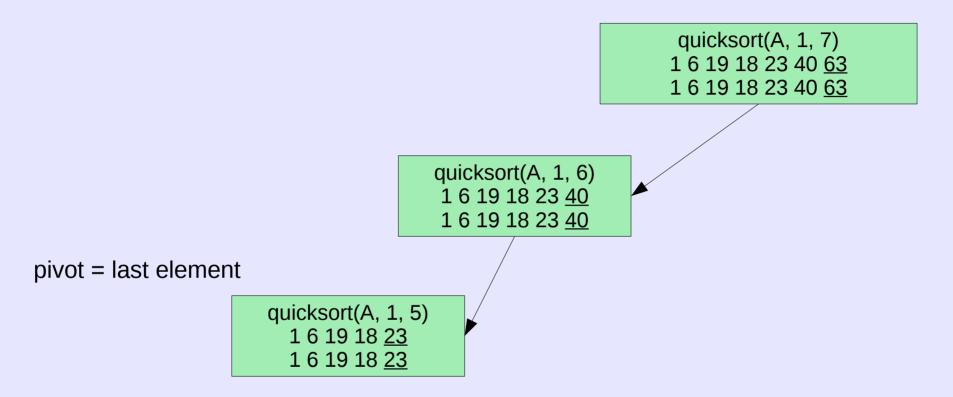
- Therefore, the choice of pivot is the most important attribute in Quicksort.
- So, how do we pick the pivot?

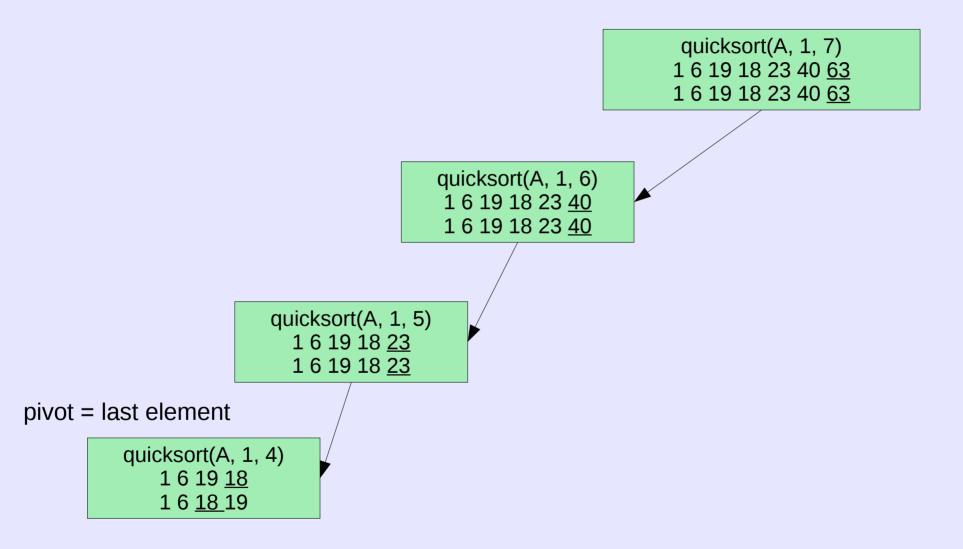
- Therefore, the choice of pivot is the most important attribute in Quicksort.
- So, how do we pick the pivot?
- Various ways:
  - First, last, middle element.
  - Random element.
  - Median of three
    - Take three random elements
    - Median of first, last, middle element.

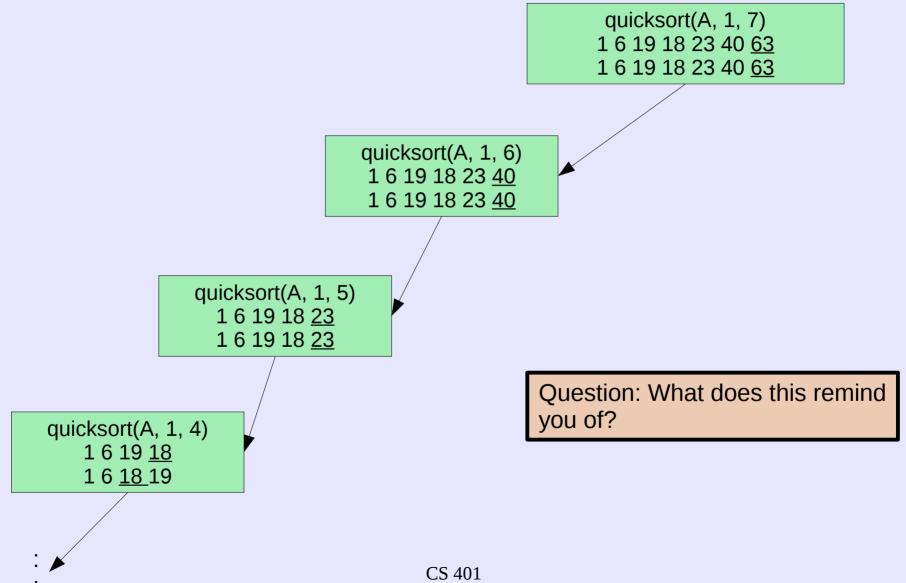
pivot = last element

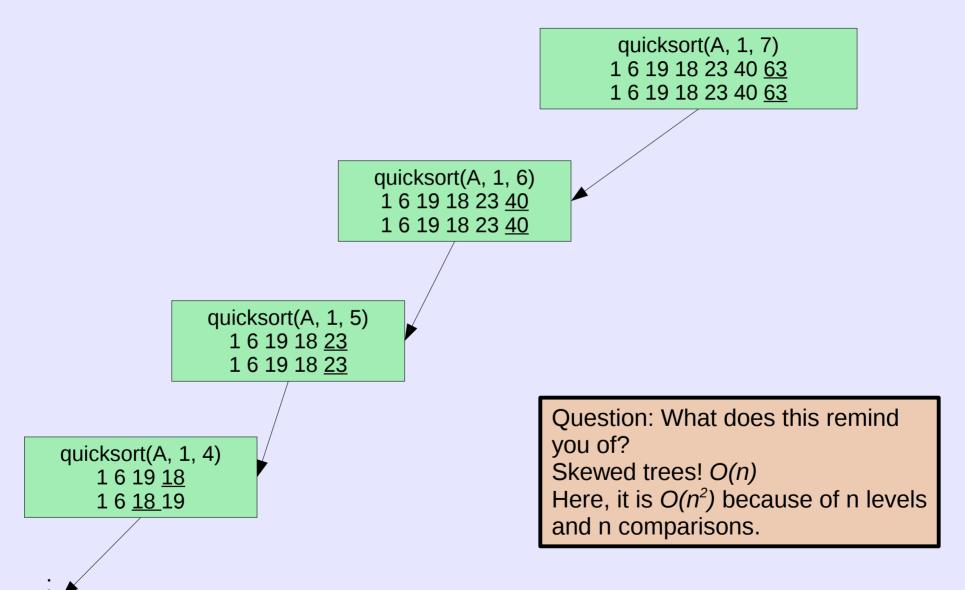
quicksort(A, 1, 7) 1 6 19 18 23 40 <u>63</u> 1 6 19 18 23 40 <u>63</u>





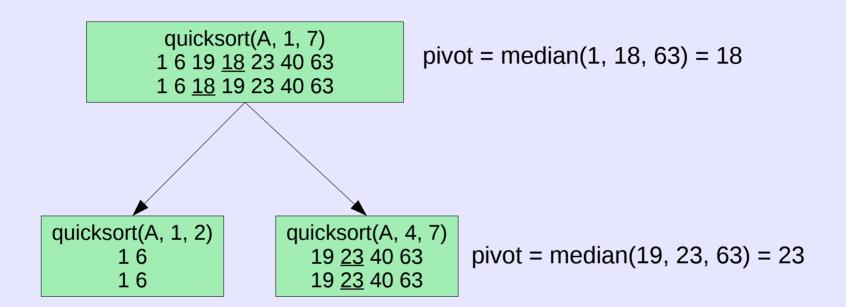


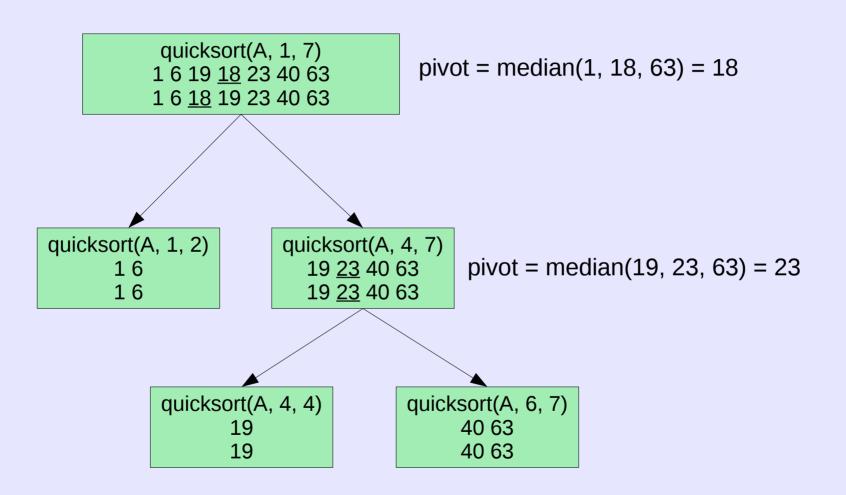




quicksort(A, 1, 7) 1 6 19 <u>18</u> 23 40 63 1 6 <u>18</u> 19 23 40 63

pivot = median(1, 18, 63) = 18





# Divide-and-conquer sort comparison

Name	Average	Worst	Stable	Space
Quick sort	O(n log n)	O(n <sup>2</sup> )	No	O(log n) <sup>1</sup>
Merge sort	O(n log n)	O(n log n)	Yes	O(n) <sup>2</sup>
Heap sort	O(n log n)	O(n log n)	No	O(1)

- 1. Using in-place partitioning; O(log n) additional space for recursion.
- 2. For auxiliary array.

- Many recursive algorithms
  - Split the problem into pieces (divide).
  - Recurse on the pieces to solve the problem (conquer).
- Running time of such algorithms is fundamentally a recurrence relation:
  - T(n) = T(n/2) + a, where a some time to operate on the subproblem (bounded by n).
  - E.g.: Mergesort T(n) = T(n/2) + T(n/2) + n

 Theorem: For an increasing function, f, with the recurrence relation:

$$f(n) = a f(n/b) + cn^d$$
,  
with  $a \ge 1$ ,  $b > 1$ ,  $c > 0$  and  $d \ge 0$ 

$$O(n^{d}) : a < b^{d}$$

$$O(n^{d} \log n) : a = b^{d}$$

$$O(n^{\log_{b} a}) : a > b^{d}$$

Proof of the Master Theorem for all three cases is in CLRS.

- Cannot use the Master Theorem if
  - f(n) is not monotone, i.e.,  $f(n) = \sin n$
  - f(n) is not a polynomial, i.e.,  $f(n) = 2 f(n/2) + 2^n$
  - *b* cannot be expressed as a constant, i.e.,  $f(n) = f(n/n^2)$
- Note that the Master Theorem does not solve a recurrence relation, nor does it derive one for you.
- You need a recurrence relation to be able to derive the complexity using the Master Theorem as a template.

 $O(n^d)$  :  $a < b^d$ 

 $O(n^d \log n) : a = b^d$ 

 $O(n^{\log_b a})$  :  $a > b^d$ 

 $f(n) = a f(n/b) + cn^d$ 

For Mergesort and Quicksort, we have a recurrence relation of: T(N) = 2 T(N/2) + N.

Here, a = 2, b = 2, c = 1, d = 1,

so  $a = b^{d}$ . Case II applies and Mergesort/Quicksort = O(n log n).

 $O(n^d)$  :  $a < b^d$ 

 $O(n^d \log n) : a = b^d$ 

 $O(n^{\log_b a})$  :  $a > b^d$ 

 $f(n) = a f(n/b) + cn^d$ 

For BST search, we have a recurrence relation of: T(N) = T(N/2) + 1.

Here, a = 1, b = 2, c = 1, d = 0, so  $a = b^d$ . Case II applies and binary search is  $O(\log n)$ .

 $O(n^d)$  :  $a < b^d$ 

 $O(n^d \log n) : a = b^d$ 

 $O(n^{\log_b a})$  :  $a > b^d$ 

 $f(n) = a f(n/b) + cn^d$ 

For BST traversal, we have a recurrence relation of: T(N) = 2T(N/2) + 1.

Here, a = 2, b = 2, c = 1, d = 0, so  $a > b^d$ . Case III applies and binary search is O(n).

```
f(n) = \begin{cases} O(n^d) & : a < b^d \\ O(n^d \log n) & : a = b^d \\ O(n^{\log_b a}) & : a > b^d \end{cases}
f(n) = a \ f(n/b) + cn^d
Suppose you come up with an algorithm as follows: function f(n) {
```

```
function f(n) {
  if (n <= 1) return
  else {
    a = f(n/2)
    b = f(n/2)
    combine a and b using n² steps
  }
}
```

The running time will be:  $f(n) = 2 * f(n/2) + n^2$ From the Master Theorem we have a = 2, b = 2, c = 1, d = 2, so  $a < b^d$ . Case I applies and the running time is  $O(n^2)$ .

# Sorting: run time estimates

#### Running time estimates:

- Home pc executes 10<sup>8</sup> comparisons/second.
- Supercomputer executes 10<sup>12</sup> comparisons/second.

Insertion Sort (N<sup>2</sup>)

computer	thousand	million	billion
home	instant	2.8 hours	317 years
super	instant	1 second	1.6 weeks

Mergesort (N log N)

thousand	million	billion	
instant	1 sec	18 min	
instant	instant	instant	

Quicksort (N log N)

thousand	million	billion
instant	0.3 sec	6 min
instant	instant	instant

Lesson 1. Good algorithms are better than supercomputers.

Lesson 2. Great algorithms are better than good ones.