Note that, in only two comparisons, we have reduced the viable candidates from 15 items down to 3 items. Employing the same approach again, we select the middle element, 67, and find the element we are seeking. If it had not been our target, we would have continued with this process until we either found the value or eliminated all possible data.

With each comparison, a binary search eliminates approximately half of the remaining data to be searched (it also eliminates the middle element as well). Therefore, a binary search eliminates half of the data with the first comparison, another quarter of the data with the second comparison, another eighth of the data with the third comparison, and so on.

#### KEY CONCEPT

A binary search eliminates half of the viable candidates with each comparison.

The static binarySearch method of the Sorting class in Listing 13.3 implements a binary search. Like the linearSearch method, it accepts an array of Comparable objects to be searched and the target value being sought.

The values of the integer variables first and last represent the range of indexes that make up the viable candidates at any given point during the algorithm. Initially, they are set to encompass the entire array.

Similar to the linear search, the while loop in the binarySearch method continues until the target element is found or the viable data is exhausted. If the target is found, the value of result is set and the loop terminates. On the other hand, if the value of first ever exceeds the value of last, then all viable candidates have been eliminated, the loop terminates, and a null value is returned.

In each iteration of the loop, the midpoint of the viable candidates is calculated by taking the average of the first and last indexes (using integer division). If the target value is found, the return value result is set to the original element from the array. Otherwise, the value of first or last is adjusted to either side of the midpoint, depending on which half of the candidates remains viable, and the search continues.

This version of the binary search algorithm is implemented iteratively. It can also be implemented recursively, which is left as a programming project.

In general, a binary search is more efficient than a linear search because it eliminates many candidates with each comparison. But a binary search requires that the list be in sorted order, whereas a linear search does not. A formal comparison of the efficiency of these search algorithms is presented in the last section of this chapter.

# 13.2 Sorting

Sorting is the process of arranging a group of items into a defined order, either ascending or descending, based on some criteria. For example, you may want to alphabetize a list of names or put a list of survey results into descending numeric

#### KEY CONCEPT

Sorting is the process of arranging a list of items into a defined order based on some criteria.

order. Many sort algorithms have been developed and critiqued over the years. In fact, sorting is considered to be a classic area of study in computer science.

In this section we examine five different sorting algorithms: selection sort, insertion sort, bubble sort, quick sort, and merge sort. The first three are roughly equal in terms of efficiency, but approach the

problem from different perspectives. The last two are much more efficient, though a bit more complicated. The last section of this chapter explores ways to examine the efficiency of algorithms, and formally compares these sorting algorithms.

As we did with our search algorithms, we currently restrict ourselves to sorting an array of objects. Other sorting techniques are examined later in the book based on alternative ways to structure our data.

The program in Listing 13.4 creates an array of Contact objects just like the array used in our example of search algorithms in Listing 13.2. This time, however, after populating the array, we invoke a method that sorts the elements and then prints them out in order. This example uses the same Contact class shown back in Listing 13.1 and relies on its implementation of the Comparable interface to determine the relative order of the objects. Note that when two Contact objects contain the same last name, the first name is used to determine the order.

The SortPlayerList program invokes the static selectionSort method of the Sorting class, shown in Listing 13.5 on page 520. However, any of the sorting methods in that class could be used to sort the list of Contact objects by changing the name of the method invoked.

Let's explore each of these algorithms in turn.

#### **Selection Sort**

#### KEY CONCEPT

The selection sort algorithm sorts a list of values by repeatedly putting a particular value into its final, sorted position.

The selection sort algorithm sorts a list of values by repetitively putting a particular value into its final, sorted position. In other words, for each position in the list, the algorithm selects the value that should go in that position and then puts it there.

The general strategy of the selection sort algorithm is as follows: Scan the entire list to find the smallest value. Exchange that value with the value in the first position of the list. Scan the rest of the list (all but the first value) to find the smallest value, and then exchange it with the value in the second position of the list. Scan the rest of the list (all but the first two values) to find the smallest value, and then exchange it with the value in the third position

# LISTING 13.5

```
//**********************
              Java Foundations
  Sorting.java
  Contains various sort algorithms that operate on an array of
11
  Comparable objects.
//
//***********************
public class Sorting
{
  // Sorts the specified array of integers using the selection
  // sort algorithm.
  //______
  public static void selectionSort (Comparable[] data)
    int min;
    for (int index = 0; index < data.length-1; index++)</pre>
      min = index;
      for (int scan = index+1; scan < data.length; scan++)</pre>
        if (data[scan].compareTo(data[min]) < 0)</pre>
          min = scan;
      swap (data, min, index);
    }
  }
  // Swaps two elements in the specified array.
  //------
  private static void swap (Comparable[] data, int index1, int index2)
  {
    Comparable temp = data[index1];
    data[index1] = data[index2];
    data[index2] = temp;
  }
  //-------
  // Sorts the specified array of objects using an insertion
  // sort algorithm.
```

```
public static void insertionSort (Comparable[] data)
   for (int index = 1; index < data.length; index++)</pre>
      Comparable key = data[index];
      int position = index;
      // Shift larger values to the right
      while (position > 0 && data[position-1].compareTo(key) > 0)
         data[position] = data[position-1];
         position--;
      data[position] = key;
   }
}
// Sorts the specified array of objects using a bubble sort
// algorithm.
//----
public static void bubbleSort (Comparable[] data)
   int position, scan;
  for (position = data.length - 1; position >= 0; position--)
      for (scan = 0; scan <= position - 1; scan++)</pre>
        if (data[scan].compareTo(data[scan+1]) > 0)
           swap (data, scan, scan+1);
   }
}
// Sorts the specified array of objects using the quick sort
// algorithm.
public static void quickSort (Comparable[] data, int min, int max)
{
  int pivot;
  if (min < max)
```

```
pivot = partition (data, min, max); // make partitions
     quickSort(data, min, pivot-1); // sort left partition
     quickSort(data, pivot+1, max); // sort right partition
}
// Creates the partitions needed for quick sort.
//----
private static int partition (Comparable[] data, int min, int max)
  // Use first element as the partition value
  Comparable partitionValue = data[min];
  int left = min;
  int right = max;
  while (left < right)
     // Search for an element that is > the partition element
     while (data[left].compareTo(partitionValue) <= 0 && left < right)
        left++;
     // Search for an element that is < the partitionelement
     while (data[right].compareTo(partitionValue) > 0)
        right--;
     if (left < right)</pre>
        swap(data, left, right);
  }
  // Move the partition element to its final position
  swap (data, min, right);
  return right;
}
//-----
// Sorts the specified array of objects using the merge sort
// algorithm.
```

```
public static void mergeSort (Comparable[] data, int min, int max)
{
   if (min < max)
   {
     int mid = (min + max) / 2;
     mergeSort (data, min, mid);
     mergeSort (data, mid+1, max);
     merge (data, min, mid, max);
}
//-----
// Sorts the specified array of objects using the merge sort
// algorithm.
//-----
public static void merge (Comparable[] data, int first, int mid,
  int last)
{
  Comparable[] temp = new Comparable[data.length];
  int first1 = first, last1 = mid; // endpoints of first subarray
  int first2 = mid+1, last2 = last; // endpoints of second subarray
  int index = first1; // next index open in temp array
  // Copy smaller item from each subarray into temp until one
  // of the subarrays is exhausted
  while (first1 <= last1 && first2 <= last2)
    if (data[first1].compareTo(data[first2]) < 0)</pre>
       temp[index] = data[first1];
       first1++;
    else
       temp[index] = data[first2];
      first2++;
    index++;
  }
```

```
// Copy remaining elements from first subarray, if any
   while (first1 <= last1)
      temp[index] = data[first1];
      first1++;
      index++;
   }
   // Copy remaining elements from second subarray, if any
   while (first2 <= last2)
   {
      temp[index] = data[first2];
      first2++;
      index++;
   }
   // Copy merged data into original array
   for (index = first; index <= last; index++)
      data[index] = temp[index];
}
```

of the list. Continue this process for each position in the list. When complete, the list is sorted. The selection sort process is illustrated in Figure 13.3.

The selectionSort method accepts an array of Comparable objects as a parameter. When control returns to the calling method, the elements within the array are sorted. The method uses two loops to sort an array. The outer loop controls the position in the array where the next smallest value will be stored. The inner loop finds the smallest value in the rest of the list by scanning all positions greater than or equal to the index specified by the outer loop. When the smallest value is determined, it is exchanged with the value stored at index.

The exchange of two elements in the array, called *swapping*, is accomplished with a call to a support method called swap. Many of the sort algorithms we examine in this chapter swap elements and make use of this method. The swap method uses three assignment statements to make the exchange.

Note that because this algorithm finds the smallest value during each iteration, the result is an array sorted in ascending order (i.e., smallest to largest). The algorithm

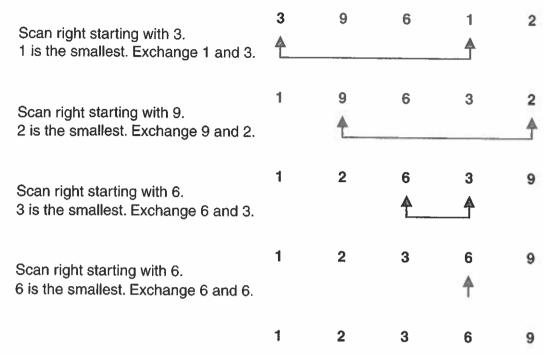


FIGURE 13.3 An example of section sort processing

can easily be changed to put values in descending order by finding the largest value each time through the loop.

# **Insertion Sort**

The *insertion sort* algorithm sorts a list of values by repetitively inserting a particular value into a subset of the list that has already been sorted. One at a time, each unsorted element is inserted at the appropriate position in that sorted subset until the entire list is in order.

The general strategy of the insertion sort algorithm is as follows:

Sort the first two values in the list relative to each other by exchanging them if necessary. Insert the list's third value into the appropriate position relative to the first two (sorted) values. Then, insert the fourth value into its proper position relative to the first three values in the list. Each time an insertion is made, the number of values in the sorted subset increases by one. Continue this process until all values in the list are completely sorted. The insertion process requires that the other values in the array shift to make room for the inserted element. Figure 13.4 on the next page illustrates the insertion sort process.

#### KEY CONCEPT

The insertion sort algorithm sorts a list of values by repetitively inserting a particular value into a subset of the list that has already been sorted.

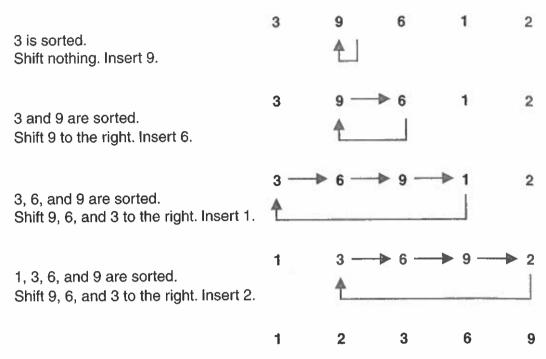


FIGURE 13.4 An example of insertion sort processing

Similar to the selection sort implementation, the insertionSort method uses two loops to sort an array of objects. In the insertion sort, however, the outer loop controls the index in the array of the next value to be inserted. The inner loop compares the current insert value with values stored at lower indexes (which make up a sorted subset of the entire list). If the current insert value is less than the value at position, then that value is shifted to the right. Shifting continues until the proper position is "opened" to accept the insert value. Each iteration of the outer loop adds one more value to the sorted subset of the list, until the entire list is sorted.

#### **Bubble Sort**

A bubble sort sorts values by repeatedly comparing neighboring elements in the list and swapping their position if they are not in order relative to each other.

#### KEY CONCEPT

The bubble sort algorithm sorts a list by repeatedly comparing neighboring elements and swapping them if necessary.

The general strategy of the bubble sort algorithm is as follows: Scan through the list comparing adjacent elements and swap them if they are not in relative order. This has the effect of "bubbling" the largest value to the last position in the list, which is its appropriate position in the final, sorted list. Then scan through the list again, bubbling up the second-to-last value. This process continues until all elements have been bubbled into their correct positions.

Each pass through the bubble sort algorithm moves one value to its final position. A pass may also reposition other elements as well. Let's follow this process for a small list of integers. Suppose we started with this list:

9 6 8 12 3 1 7

We would first compare 9 and 6 and, finding them not in the correct order, swap them, yielding:

6 9 8 12 3 1 7

Then, we would compare 9 to 8 and, again, finding them not in the correct order, swap them, yielding:

6 8 9 12 3 1 7

Then, we would compare 9 to 12. Since they are in the correct order, we don't swap them. Instead, we move on to the next pair of values. That is, we then compare 12 and 3. Since they are not in order, we swap them, yielding:

6 8 9 3 12 1 7

We then compare 12 to 1 and swap them, yielding:

6 8 9 3 1 12 7

We then compare 12 to 7 and swap them, yielding:

6 8 9 3 1 7 12

This completes one pass through the data to be sorted. After this first pass, the largest value in the list (12) is in its correct position. The next pass will bubble the value 9 up to its final position. Each subsequent pass through the data guarantees that one more element is put into the correct position. Thus, we make n-1 passes through the data, because if n-1 elements are in the correct, sorted positions, the nth item must also be in the correct location.

The bubbleSort method in the Sorting class implements this approach. The outer for loop represents the n-1 passes through the data. The inner for loop scans through the data, performing the pair-wise comparisons of the neighboring data and swapping them if necessary. The support method swap is used to perform the exchange of two elements, just as we used it in the selectionSort method.

Note that the outer loop also has the effect of decreasing the position that represents the maximum index to examine in the inner loop. That is, after the first pass, which puts the last value in its correct position, there is no need to consider

that value in future passes through the data. After the second pass, we can forget about the last two, and so on. Thus the inner loop examines one less value on each pass.

### **Quick Sort**

The sort algorithms we have discussed thus far in this chapter (selection sort, insertion sort, and bubble sort) are relatively simple, but they are generally inefficient. They each use a pair of nested loops and require roughly n<sup>2</sup> comparisons to sort a list of n elements. Let's now turn our attention to more efficient sorts.

#### KEY CONCEPT

The quick sort algorithm sorts a list by partitioning the list and then recursively sorting the two partitions. The quick sort algorithm sorts a list by partitioning the list based on an arbitrarily chosen partition element and then recursively sorting the sublists on either side of the partition element.

The general strategy of the quick sort algorithm is as follows: First, choose one element of the list to act as a partition element. Next, partition the list so that all elements less than the partition element are to

the left of that element and all elements greater than the partition element are to the right. Finally, apply this quick sort strategy (recursively) to both partitions.

If the items to be sorted are in random order initially, the choice of the partition element is arbitrary, and we will use the first element in the list. For efficiency reasons, it would be nice if the partition element divided the list roughly in half, but the algorithm will work no matter what element is chosen as the partition.

Let's look at an example of creating a partition. Suppose we start with the following list:

90 65 7 305 120 110 8

We choose 90 as our partition element, and then rearrange the list, putting the elements that are less than 90 to the left side and those that are greater than 90 to the right side, yielding two partitions (in bold):

#### 8 65 7 90 120 110 305

The relative order of the elements in each partition doesn't matter at this point, as long as every value in the left partition is less than 90 and every value in the right partition is greater than 90. Note that, after creating the two partitions, the partition element (90) is in its final position in the array, and we no longer have to consider or move it again.

We then apply the quick sort algorithm separately to both partitions. This process continues until a partition contains only one element, which is inherently sorted. Thus, after the algorithm is applied recursively to either side, the entire list is sorted.

The quickSort method in the Sorting class implements the quick sort algorithm. It accepts an array of objects to sort and the minimum and maximum index values used for a particular call to the method. For the initial call to the method, the values of min and max would encompass the entire set of elements to be sorted.

The quickSort method calls a support method called partition, which partitions the elements on either side of the partition element and returns the final index of the partition element (the pivot point). The quickSort method then calls itself twice more recursively to sort the two partitions. The if statement terminates the recursion when the size of the partition is one or less.

The partition method works by scanning in from each end of the current partition toward the middle until it finds two elements that are on the wrong side, and then swaps them. When this scanning process meets at the partition point, the partitions have been created.

The integer variables left and right are used to track the positions in the array as we scan in from either end of the current partition. The two inner loops are used to find elements that are in the wrong partitions. The first inner loop scans from left to right looking for an element that is greater than the partition element. The second inner loop scans from right to left looking for an element that is less than the partition element. When these two elements are found, they are swapped. This process continues until the right and left indexes meet in the "middle" of the list, and the outer loop terminates. The location where they meet also indicates where the partition element should reside. At the end of the method, the partition element is moved from its initial location to its final position in the sorted array.

# **Merge Sort**

The *merge sort* algorithm sorts a list by recursively dividing the list in half until each sublist has one element and then recombining these sublists in order.

The general strategy of the merge sort algorithm is as follows: Begin by dividing the list in two roughly equal parts and then recursively calling itself with each of those lists. Continue the recursive decomposition of the list until the base case of the recursion is reached, where the list is divided into lists of length one, which are inherently sorted.

Then, as control passes back up the recursive calling structure, the algorithm merges the two sorted sublists resulting from the two recursive calls into one sorted list.

Suppose we started with the following initial list (the same example we used in the previous section):

90 65 7 305 120 110 8

#### KEY CONCEPT

The merge sort algorithm sorts a list by recursively dividing the list in half until each sublist has one element and then merging these sublists into the sorted order.

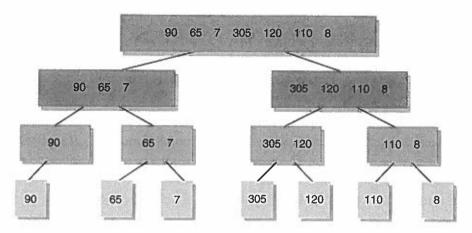


FIGURE 13.5 The decomposition of merge sort

The merge sort algorithm divides the list in half, and then divides each of those lists in half, and so on until a list of length one is reached, as shown in Figure 13.5.

The merge portion of the algorithm then recombines the lists as shown in Figure 13.6. When each sublist is merged together, their elements are kept in sorted order.

The mergeSort method in the Sorting class in Listing 13.5 implements this strategy. The midpoint of the list to be sorted is determined, and then mergeSort is called twice again recursively to sort those two halves. The recursion is terminated by the if statement when a sublist has a length of one or less. As the recursion unfolds, the two sorted sublists are merged by the merge support method.

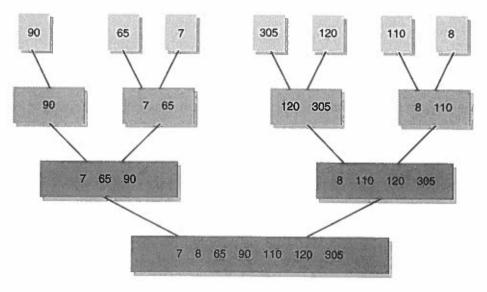


FIGURE 13.6 The merge portion of the merge sort algorithm

The merge method accepts three integers that define the two sublists within the array that have already been sorted. The values in the array from index first to index mid are in sorted order, and the values in the array from index mid+1 to index last are in sorted order. The job of the merge method is to merge these two sublists into one larger, sorted list.

As the merge occurs, values are moved from one sublist or the other into a temporary array. Then, when the merge is complete, the values are copied from the temporary array back into the original.

The first while loop in the merge method scans through the two sublists, copying the smaller values found from either list into the temp array. This process continues until all values from one sublist or the other have been copied into the temp array. Then, the remaining values are moved from the other sublist into the temp array. Since we don't know which sublist has been exhausted, both are checked (but only one or the other will be needed for any given execution of the sort).

The for loop at the end of the merge method copies all data put into the temp array, which is now sorted, back into the original array.

# 13.3 Analyzing Searching and Sorting Algorithms

Let's apply the concepts of algorithm analysis, discussed in Chapter 12, to the searching and sorting algorithms presented in this chapter. Keep in mind that what we're most interested in is the asymptotic complexity of an algorithm as the size of the problem grows. That is, although we could painstakingly quantify the effort represented by each line of code (assignment statements, increments, comparisons), they individually contribute some constant to the growth function, and those constants become irrelevant in the big picture. The thing that matters is the way the algorithm behaves in terms of the problem size (n).

Another issue to consider is the best-case and worst-case situations for each algorithm. For some problems, such as our dishwashing scenario or the Towers of Hanoi puzzle, there essentially is no best or worst case. Solving these problems will always require the same amount of effort for a given problem size. But in the case of searching, the effort depends on the particular value being sought. You could be "lucky" and find it quickly, or "unlucky" and not find it until late in the processing. Similarly, some sorting algorithms may be more efficient in a particular situation depending on the original configuration of the data to be sorted.

Thinking through the best-case and worse-case scenarios often helps us appreciate the *expected-case* (or *average-case*) situation for a given algorithm, which is generally the focus of algorithm analysis.

# **Comparing Search Algorithms**

For a linear search, the best case occurs when the target element happens to be the first item we examine in the group. The worst case occurs when the target is not in the group, and we have to examine every element before we determine that it isn't present. The expected case is that we would have to search half of the list before we find the element. That is, if there are n elements in the search pool, on average we would have to examine n/2 elements before finding the one for which we were searching.

Therefore, the linear search algorithm has a linear time complexity of O(n). Because the elements are searched one at a time in turn, the complexity is linear—in direct proportion to the number of elements to be searched.

A binary search, on the other hand, is generally much faster. Because we can eliminate half of the remaining data with each comparison, we can find the element much more quickly. The best case is that we find the target in one comparison—that is, the target element happens to be at the midpoint of the array. The worst case occurs if the element is not present in the list, in which case we have to make approximately  $\log_2 n$  comparisons before we eliminate all of the data. Thus, the expected case for finding an element that is in the search pool is approximately  $(\log_2 n)/2$  comparisons.

#### KEY CONCEPT

A binary search has logarithmic complexity, making it very efficient for a large search pool. Therefore, a binary search is a logarithmic algorithm and has a time complexity of O(log n). Compared to a linear search, a binary search is much faster for large values of n.

The question might be asked, if a logarithmic search is more efficient than a linear search, why would we ever use a linear search? First, a linear search is generally simpler than a binary search, and thus easier to program and debug. Second, a linear search does

not require the additional overhead of sorting the search list. There is a tradeoff between the effort to keep the search pool sorted and the efficiency of the search.

For small problems, there is little practical difference between the two types of algorithms. However, as n gets larger, the binary search becomes increasingly attractive. Suppose a given set of data contains one million elements. In a linear search, we'd have to examine each of the one million elements to determine that a particular target element is not in the group. In a binary search, we could make that conclusion after approximately 20 comparisons.

# **Comparing Sort Algorithms**

Although selection sort, insertion sort, and bubble sort each solve the problem with a different technique, they all do so with approximately the same efficiency.

All three of those algorithms use two loops, one nested within the other, to arrange the elements in order, and the details all lead to an  $O(n^2)$  running time.

Selection sort, for instance, has an outer loop that iterates n-1 times. For each iteration of the outer loop, the inner loop iterates over a portion of the array (how much depends on which iteration of the outer loop we're doing, but it's always less than n). And there is some constant effort in each inner iteration. So the growth function of this algorithm can be expressed:

```
f(n) = (n-1) * (some constant * n + another constant)
= an^2 + bn + c
```

for irrelevant constants a, b, and c. For Big-Oh analysis, only the  $n^2$  term matters, leaving sequential sort with a complexity of  $O(n^2)$ .

Similar arguments can be made for the insertion sort and bubble sort algorithms. The details would vary, but the analysis would conclude that they also have quadratic complexity.

Now consider the best- and worst-case scenarios for each of these algorithms. For selection and bubble sorts, the processing is fundamentally independent of the original configuration of the elements to be sorted. There will be slight differences in the number of swaps that occur depending on the data, but the best, worst, and average cases for both selection and bubble sorts are all  $O(n^2)$ .

Insertion sort, on the other hand, is based on the original configuration. The worst case for insertion sort, when the original array is in reverse sorted order, will process the inner loop fully, so it is basically the same as the average case,  $O(n^2)$ . However, if the array is already sorted in the correct order, the inner loop of the insertion sort will make only one comparison, and thus the best case for insertion sort is O(n). While starting with a fully sorted array initially is not likely, starting with a partially sorted array may be likely depending on the situation, and the insertion sort is quicker in those cases as well.

Now let's consider the quick sort algorithm. Ideally, the partition element chosen each time will divide the elements in half, so that each recursive call to quickSort will operate on about half of the current data, as depicted in Figure 13.7 on the next page. In this case, there will be  $\log_2 n$  levels in the recursion. The act of partitioning the elements at each level requires one pass through the data, so the effort to partition an entire level of Figure 13.7 is O(n). Thus, the effort to sort the entire array is O(n log n).

Figure 13.7 depicts the best case for quick sort. And if we pick a good partition element, that is the expected case as well. The worst-case scenario for quick sort is if it consistently picks a partition element that does not partition the data at all, which means each level of the recursion only handles one element. In that case the running time degrades to  $O(n^2)$ .

#### KEY CONCEPT

The average running time complexity for selection sort, insertion sort, and bubble sort is  $O(n^2)$ .

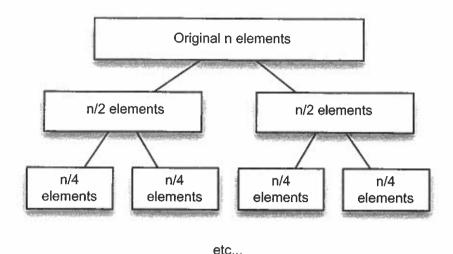


FIGURE 13.7 The ideal decomposition of quick sort

Thus the key to quick sort is picking a good partition element. In our implementation, we simply chose the first element in the partition. If the original configuration of the array is truly random, this value would be as good as any other.

## KEY CONCEPT

The key to quick sort is picking a good partition element.

This is a huge assumption—it is common for "real" data to be partially sorted in one direction or another for various reasons. If that's the case, picking the first element will lead to the worst-case scenario. A better solution would be to pick the middle element. An even better way to improve the likelihood of picking a good parti-

tion element is to pick three values (perhaps the first, middle, and last value) and use the median of those three.

The analysis of merge sort is similar to that of quick sort, except that we are guaranteed that the recursive decomposition for merge sort will always divide the data in half. Therefore, in a scenario similar to the one in Figure 13.7, the number of levels is log<sub>2</sub>n. For the merge portion of the algorithm, one pass is needed

through the data to merge two sublists. So the effort to merge an entire level is O(n). Therefore, the effort of merge sort is O(n log n) in the best, worst, and average cases.

The primary downside to the merge sort algorithm is the need for temporary data space to perform the merge operation. The guaran-

teed savings in running time usually makes up for this expense. But that's the essence of the tradeoff between quick sort and merge sort-quick sort uses no extra memory but could degrade in efficiency if a poor partition element is chosen; merge sort is guaranteed to be efficient but uses extra memory.

# KEY CONCEPT

Merge sort has a maximum running time complexity of O(n log n).