

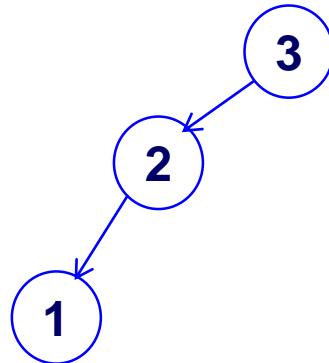
***EE2008***  
***Data Structures and Algorithms***

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# AVL Tree

# *Unbalanced Tree*

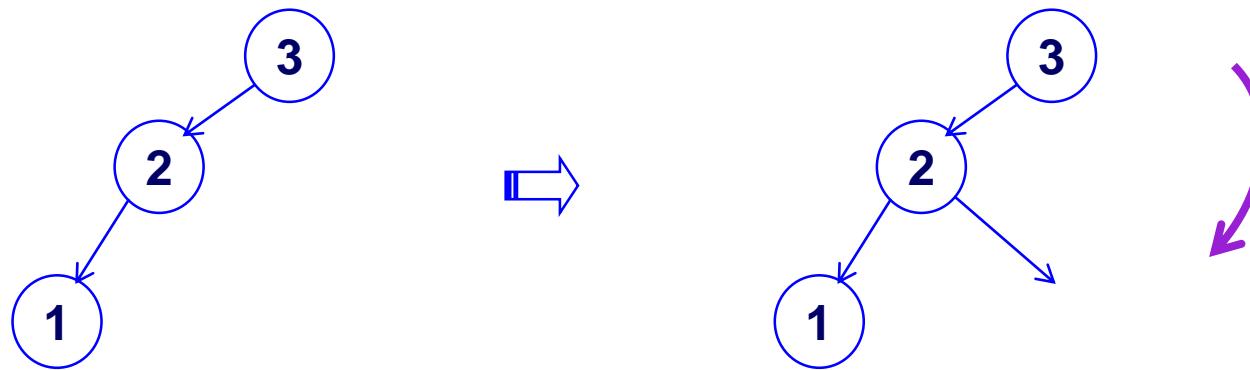
- ❑ Suppose we use BSTInsert to insert the data values 3, 2, 1 into an empty BST:



- ❑ Same as a linked list!
- ❑ Worst case height:  $O(n)$  – inefficient for searching

# *Example*

- We can easily fix this



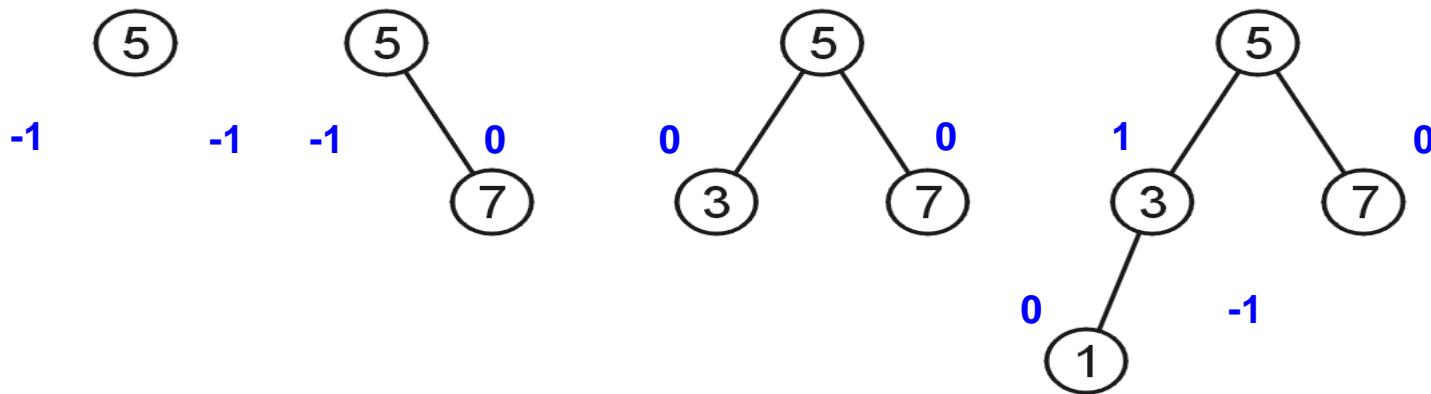
- Tree is now balanced!

# AVL Trees

- **Named after Adelson-Velskii and Landis**
- **Define height of a tree as the number of edges on the longest path from the root to a leaf.**
  - An empty tree has height –1
  - A tree with a single node has height 0
- **A BST is said to be AVL balanced if the difference in the heights between the left and right sub-trees of any node is at most 1.**

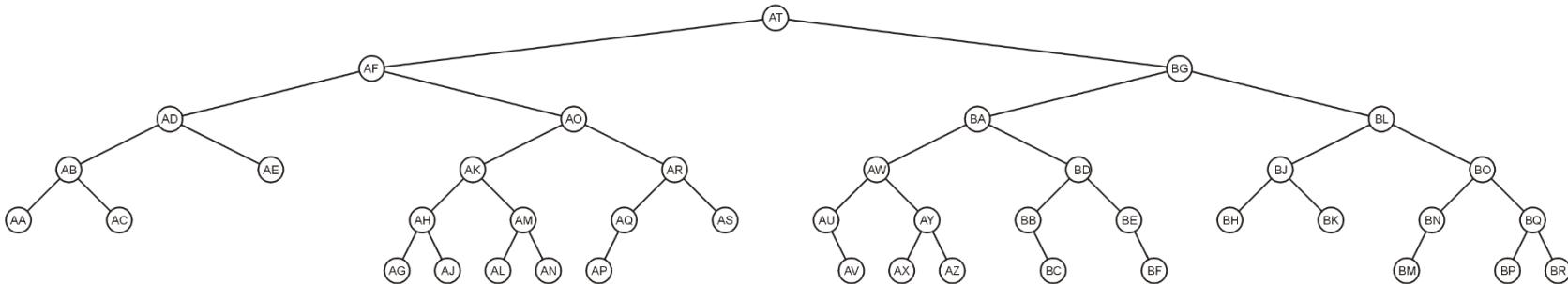
# AVL Trees

AVL trees with 1, 2, 3, and 4 nodes:



# AVL Trees

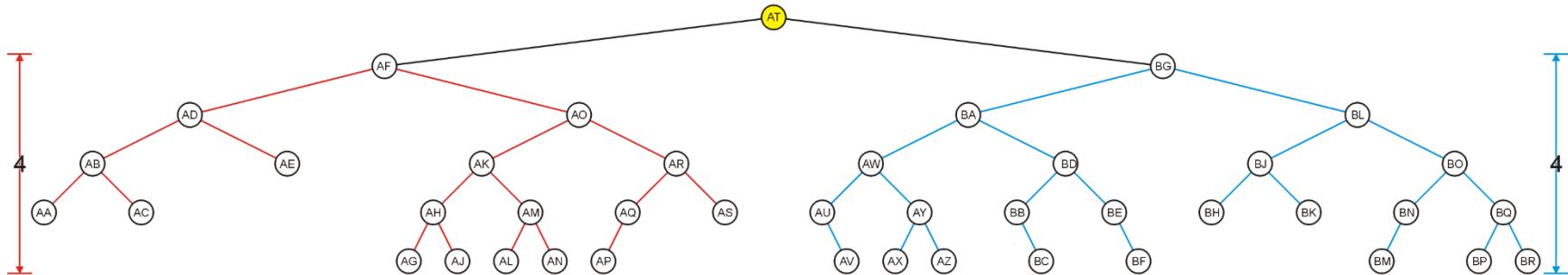
Here is a larger AVL tree (42 nodes):



# AVL Trees

The root node is AVL-balanced:

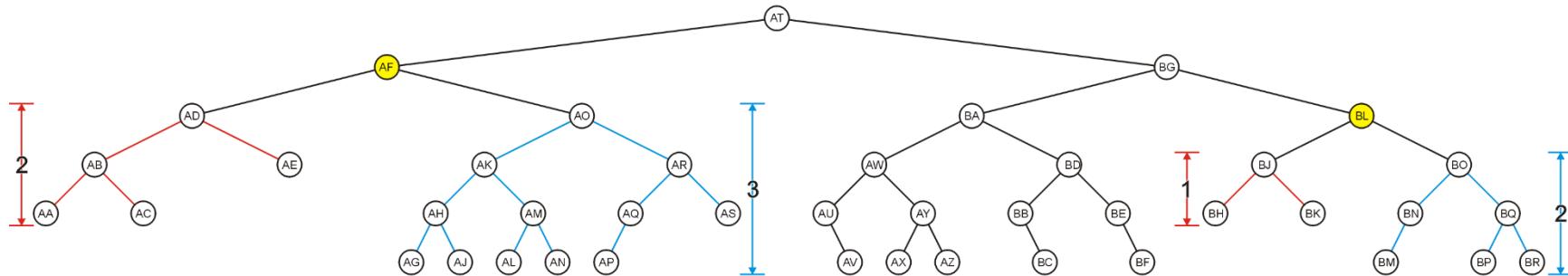
- Both sub-trees are of height 4:



# AVL Trees

All other nodes (e.g., AF and BL) are AVL balanced

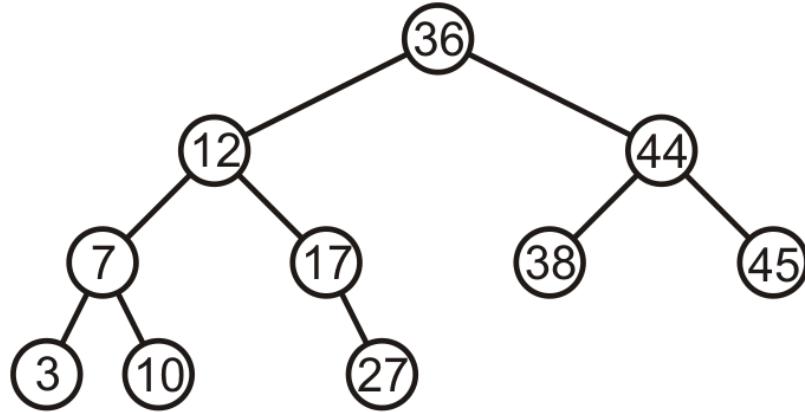
- The sub-trees differ in height by at most one



# *Maintaining Balance*

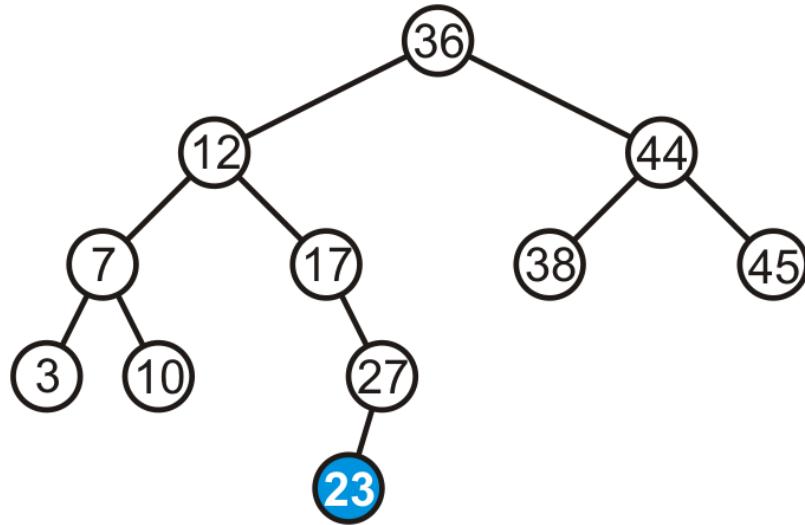
If a tree is AVL balanced, for an insertion to cause an imbalance:

- The heights of the sub-trees must differ by 1
- The insertion must increase the height of the deeper sub-tree by 1



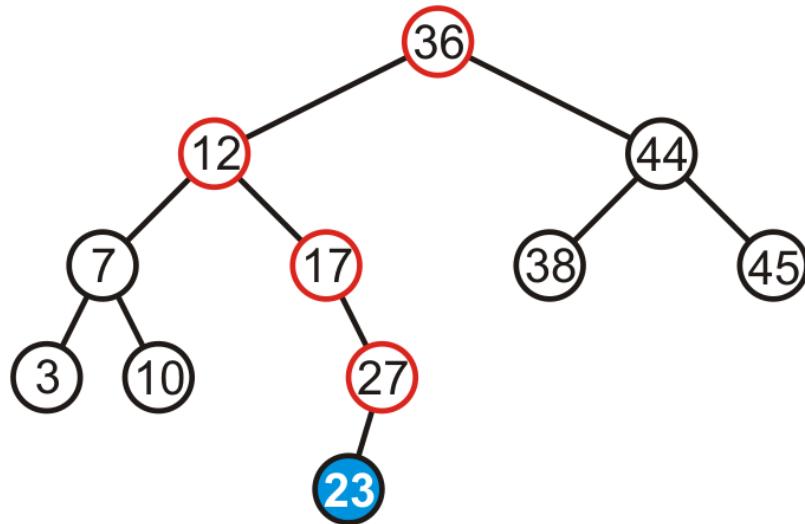
# *Maintaining Balance*

Suppose we insert 23 into our initial tree



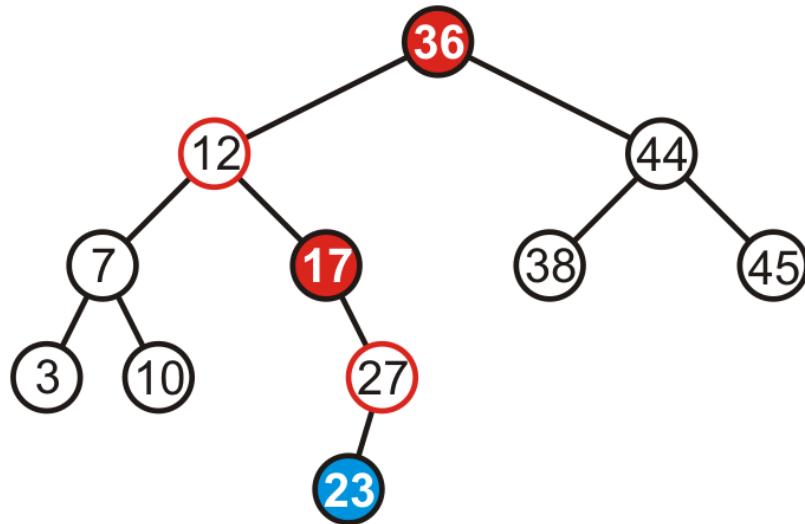
# *Maintaining Balance*

The heights of each of the sub-trees from here to the root are increased by one



# *Maintaining Balance*

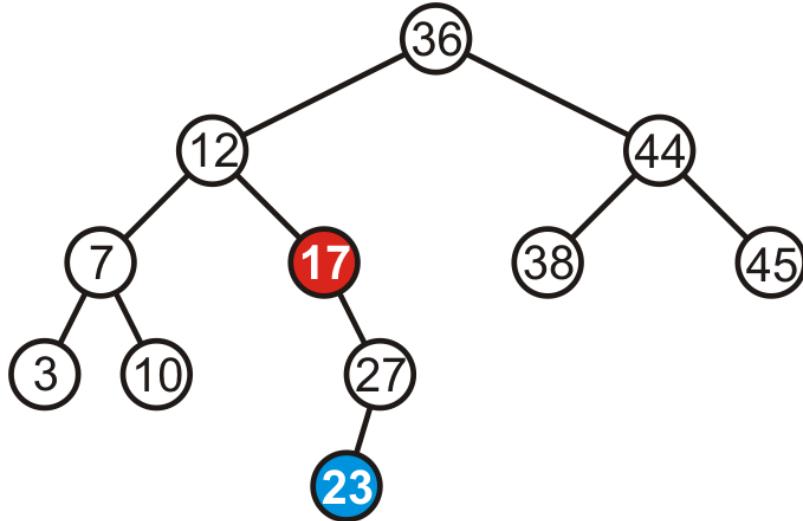
However, only two of the nodes are unbalanced: 17 and 36



# *Maintaining Balance*

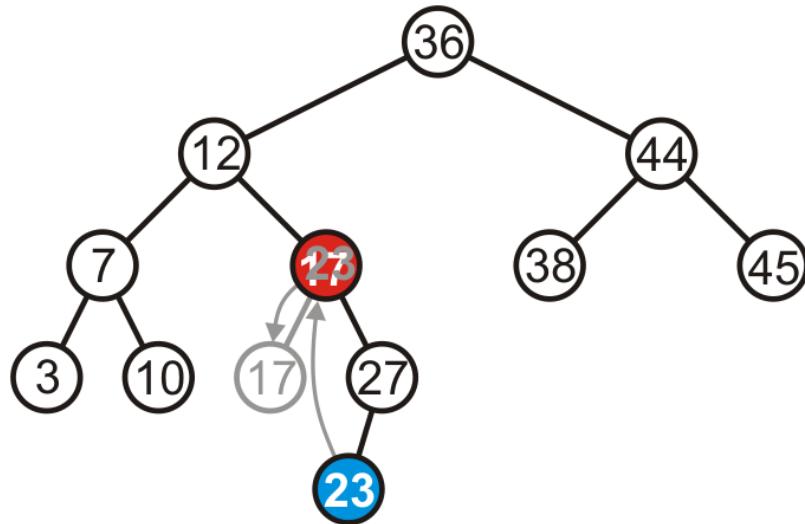
However, only two of the nodes are unbalanced: 17 and 36

- We only have to fix the imbalance at the **lowest node**



# *Maintaining Balance*

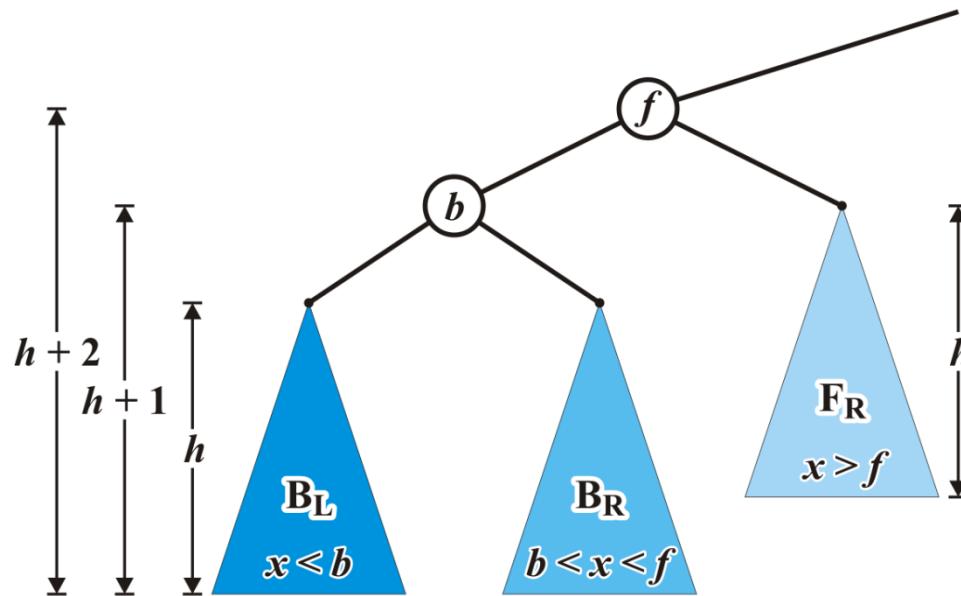
We can promote 23 to where 17 is, and make 17 the left child of 23



# Maintaining Balance: Case Left-Left

Consider the following setup

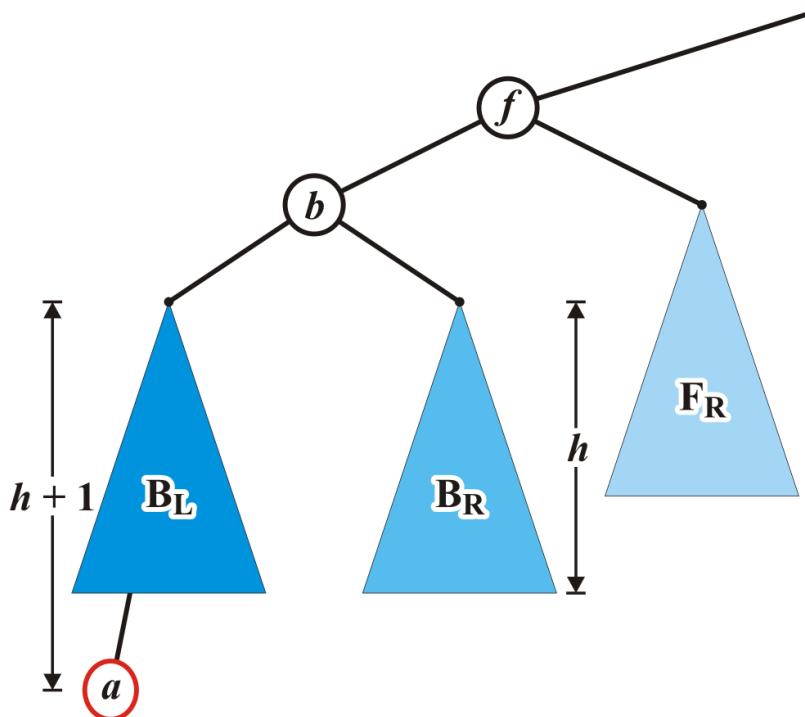
- Each blue triangle represents a tree of height  $h$



# Maintaining Balance: Case Left-Left

Insert  $a$  into this tree: it falls into the left subtree  $B_L$  of  $b$

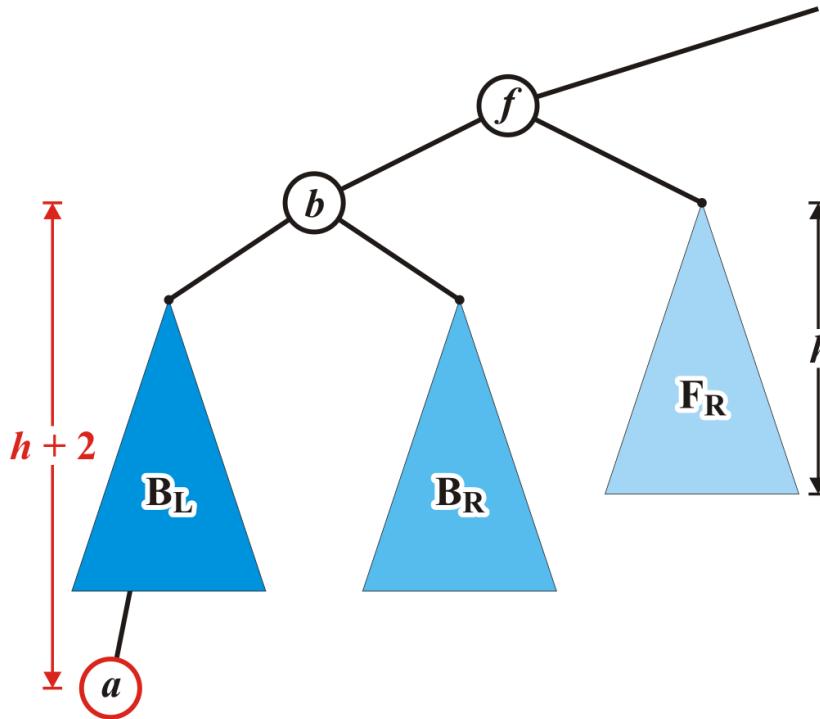
- Assume  $B_L$  remains balanced
- Thus, the tree rooted at  $b$  is also balanced



# Maintaining Balance: Case Left-Left

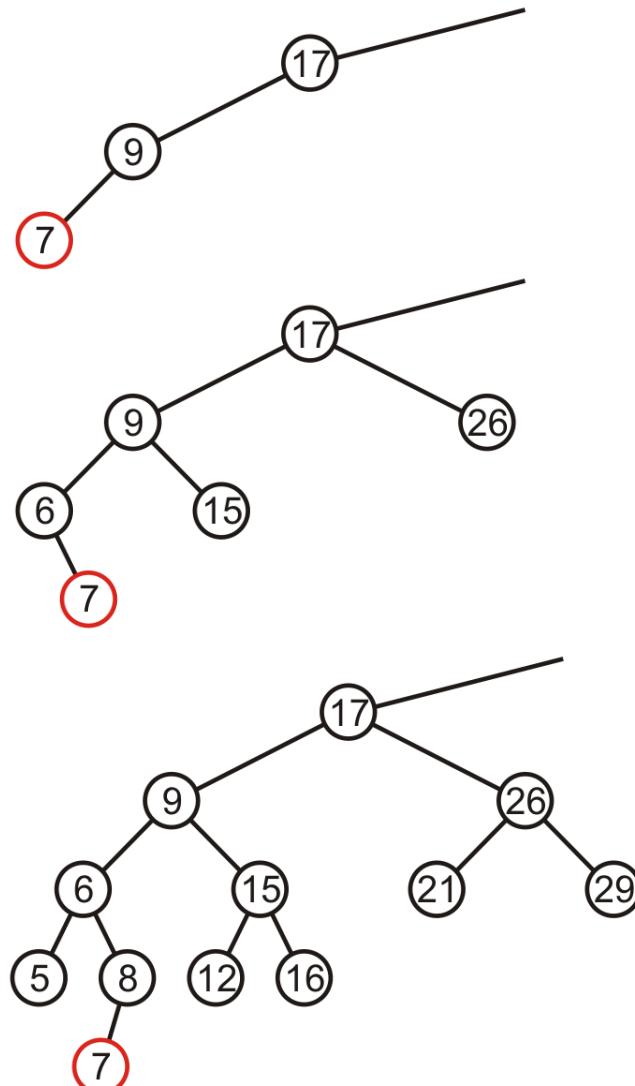
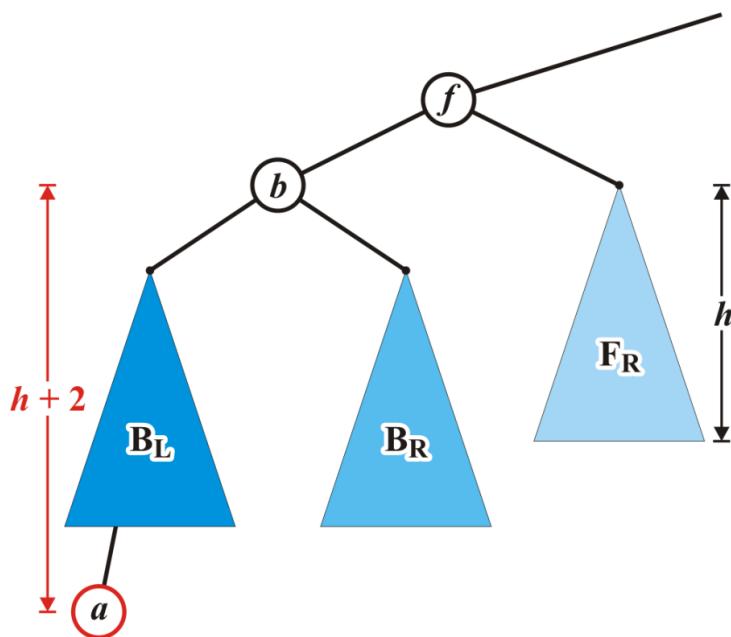
The tree rooted at node  $f$  is now unbalanced

- We will correct the imbalance at this node



# Maintaining Balance: Case Left-Left

Here are examples of when the insertion of 7 may cause this situation when  $h = -1, 0, \text{ and } 1$

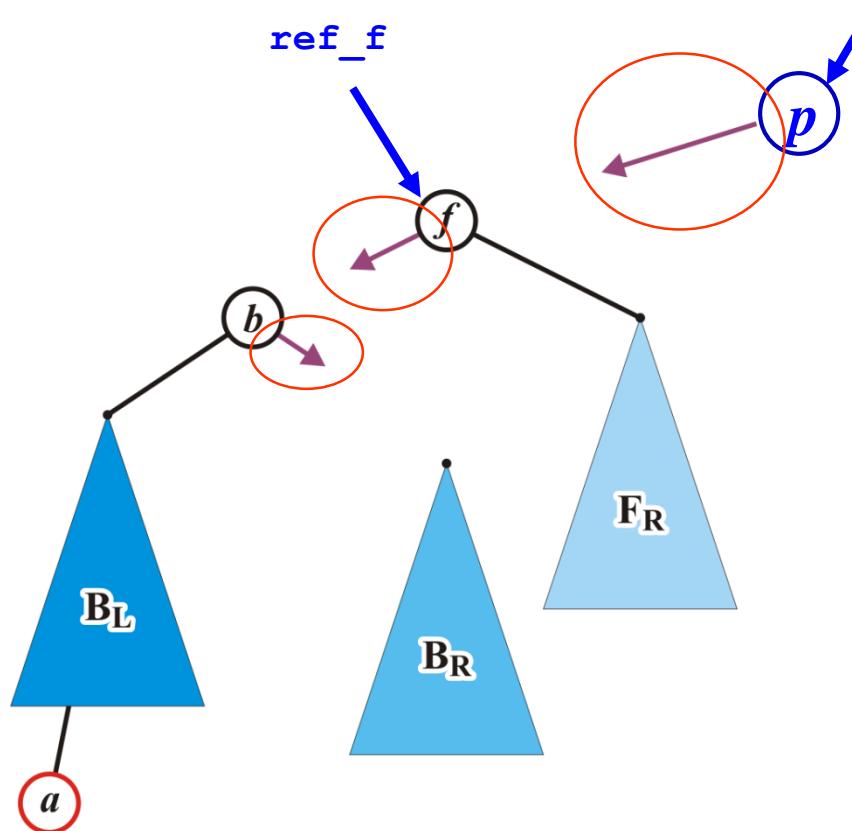


# Maintaining Balance: Case Left-Left

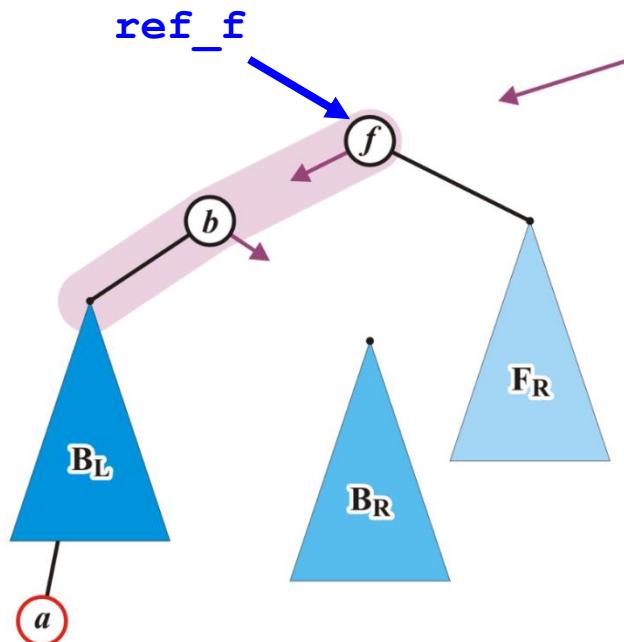
**Node  $f$  is the lowest unbalanced node.** Suppose its address is given in `ref_f`.

We will modify these three pointers:

`ref_p =  
ref_f.parent`

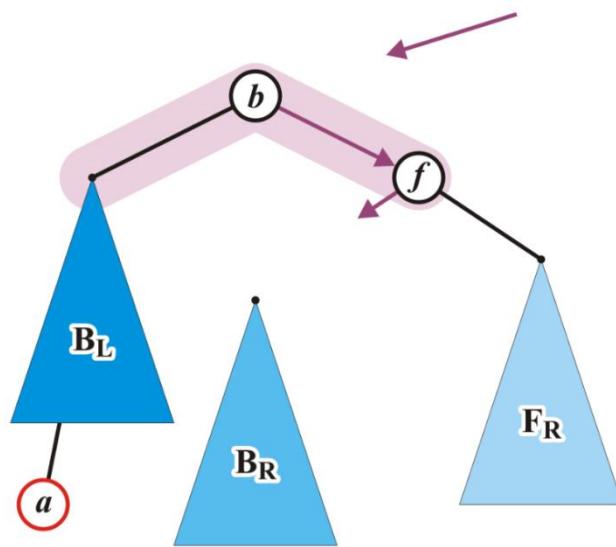


# Maintaining Balance: Case Left-Left



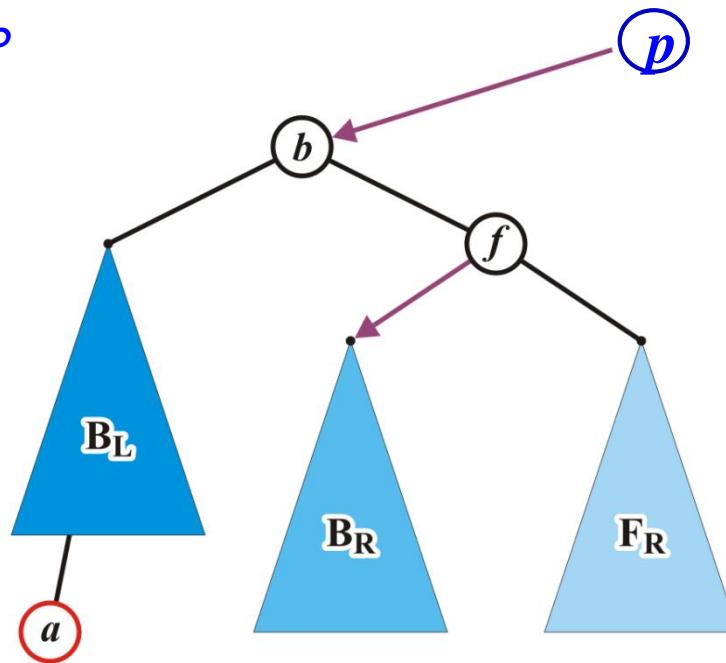
*ref\_b = ref\_f.left*  
*ref\_BR = ref\_b.right*

*ref\_b.right = ref\_f*



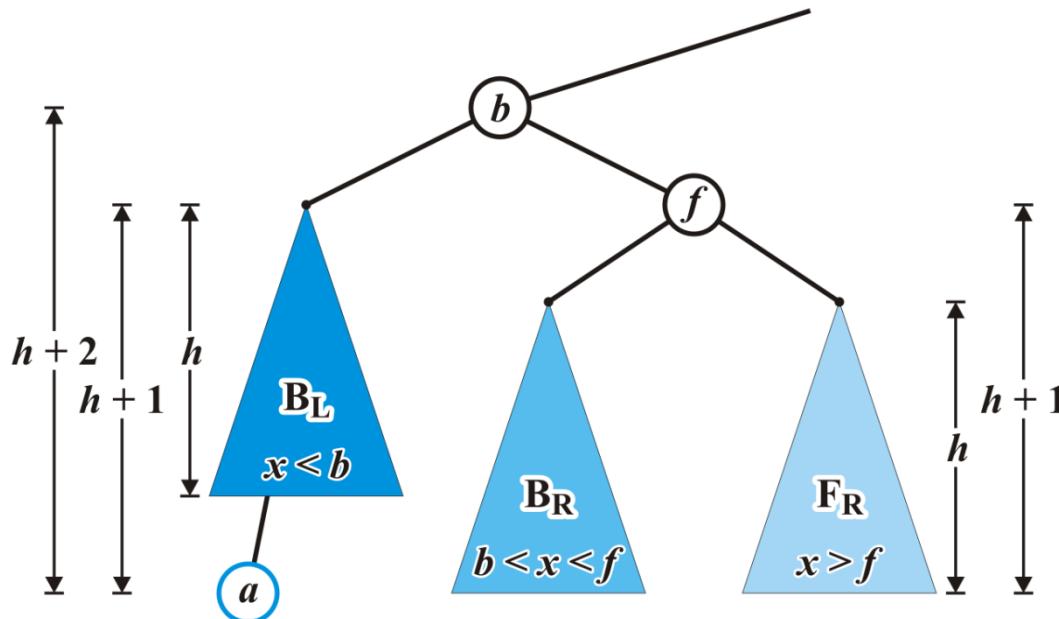
# Maintaining Balance: Case Left-Left

```
ref_p = ref_f.parent  
ref_p.left = ref_b  
ref_f.left = ref_BR  
ref_f.parent = ref_b
```



# Maintaining Balance: Case Left-Left

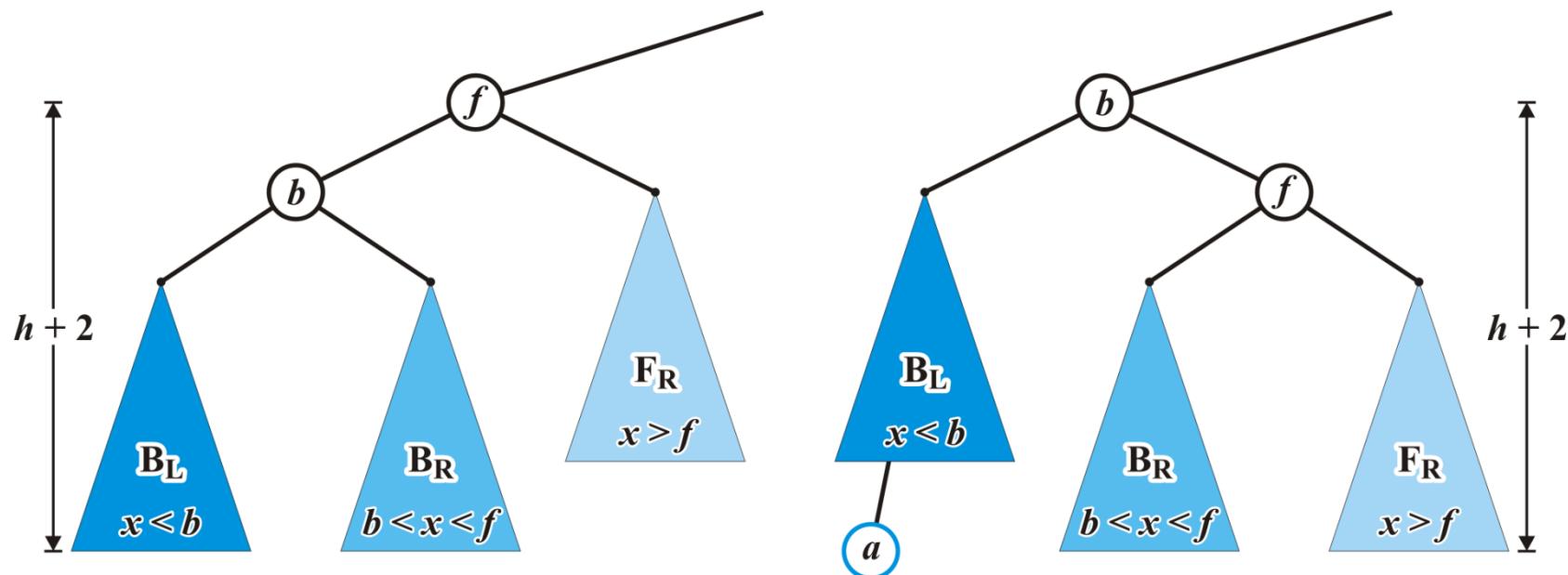
The nodes  $b$  and  $f$  are now balanced and all remaining nodes of the subtrees are in their correct positions



# Maintaining Balance: Case Left-Left

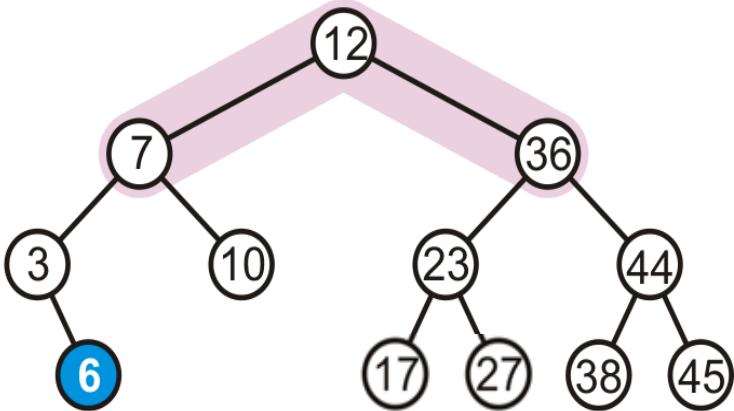
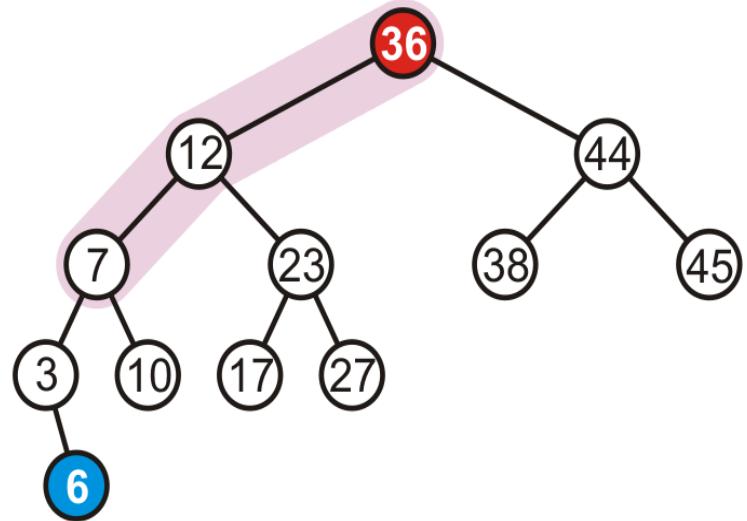
Additionally, height of the tree rooted at  $b$  equals the original height of the tree rooted at  $f$

- Thus, this insertion will no longer affect the balance of any ancestors all the way back to the root



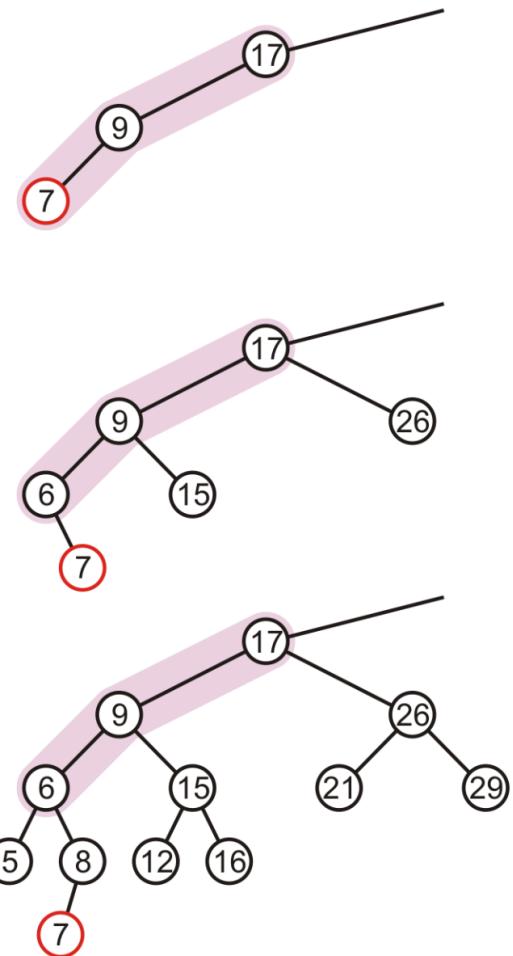
# *Maintaining Balance: Case Left-Left*

In our example case, the correction

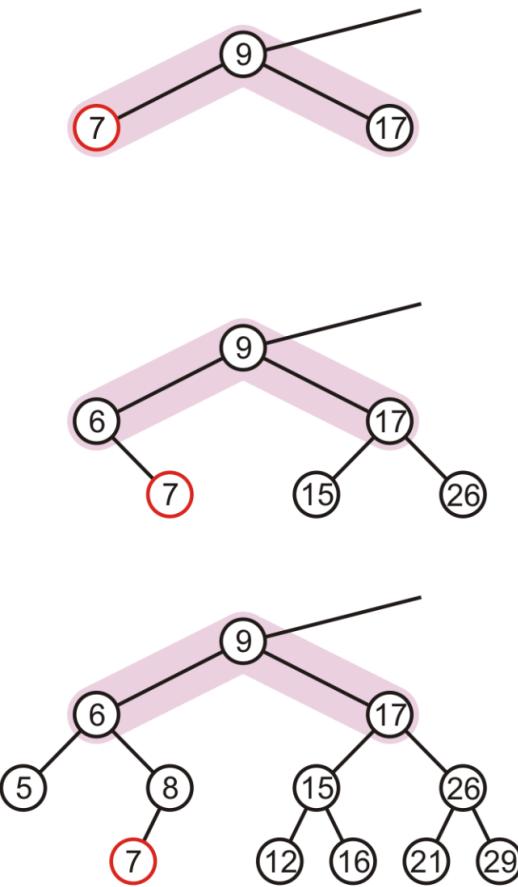


# Maintaining Balance: Case Left-Left

Before

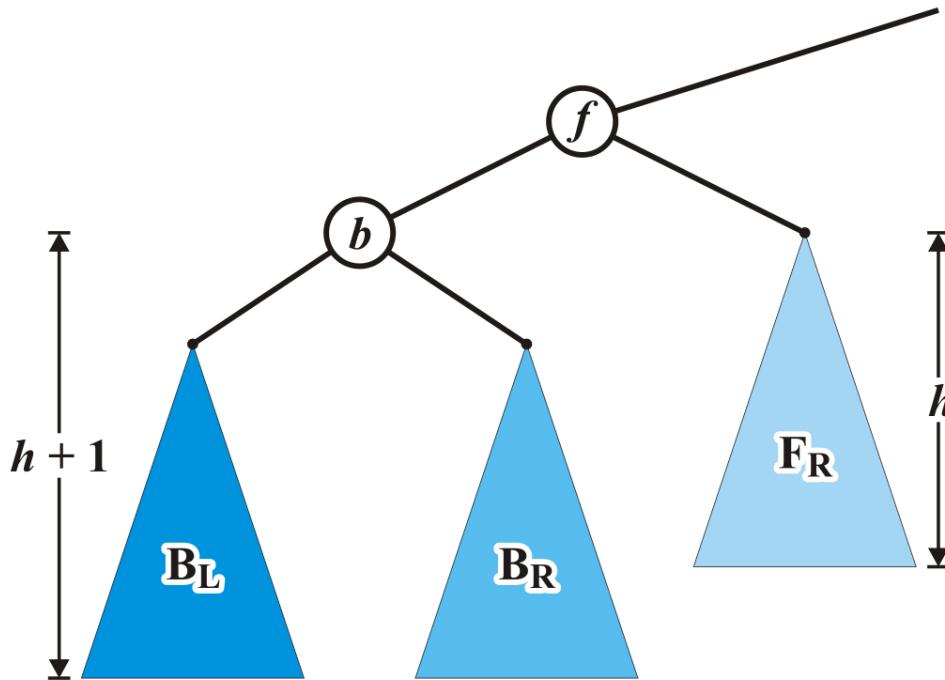


After



# Maintaining Balance: Case Left-Right

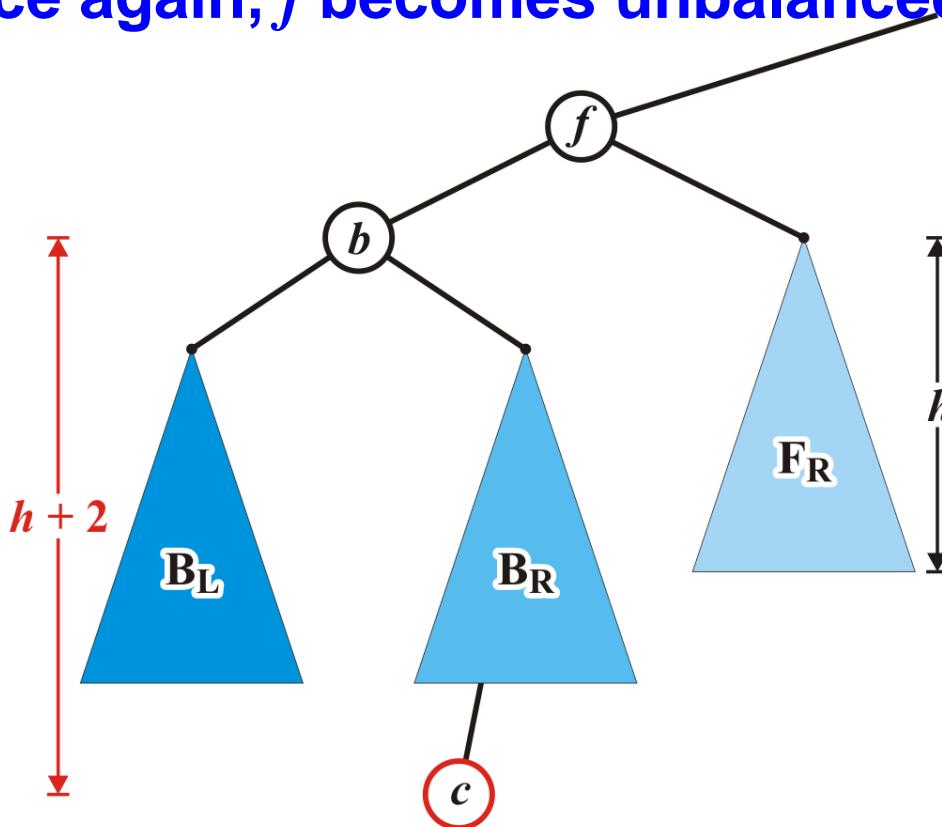
Alternatively, consider the insertion of  $c$  where  $b < c < f$  into our original tree



# Maintaining Balance: Case Left-Right

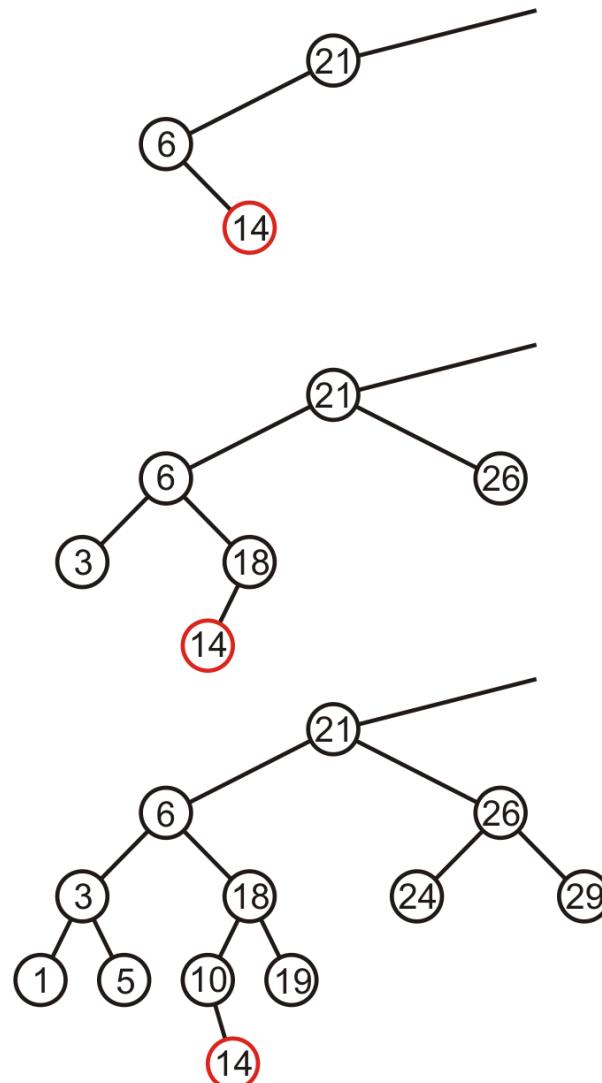
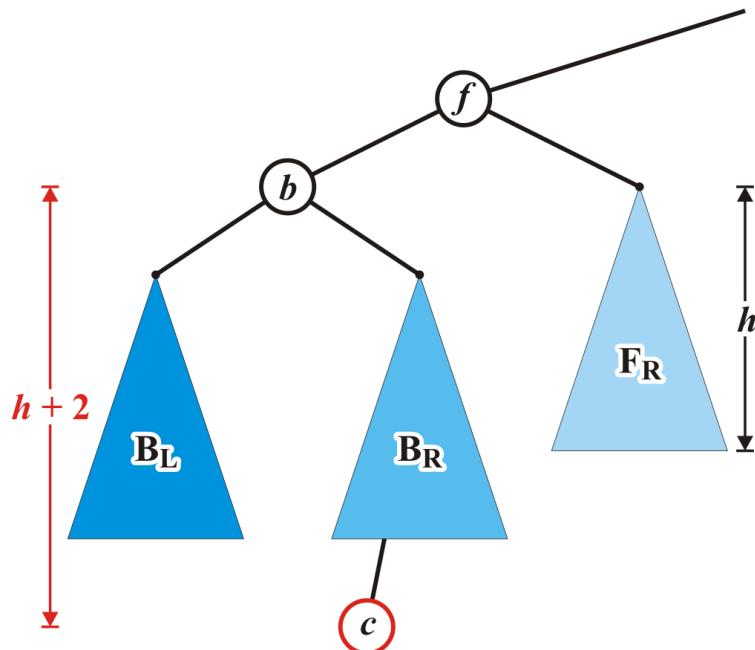
Assume that the insertion of  $c$  increases the height of  $B_R$

- Once again,  $f$  becomes unbalanced



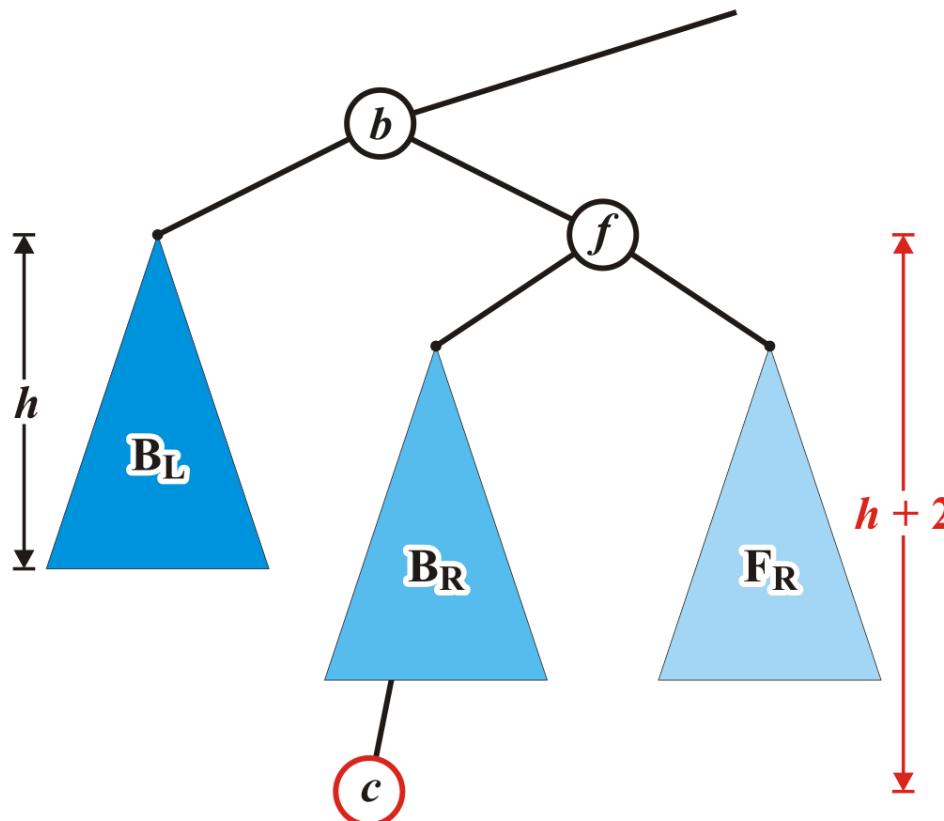
# Maintaining Balance: Case Left-Right

Here are examples of when the insertion of 14 may cause this situation when  $h = -1, 0$ , and  $1$



# Maintaining Balance: Case Left-Right

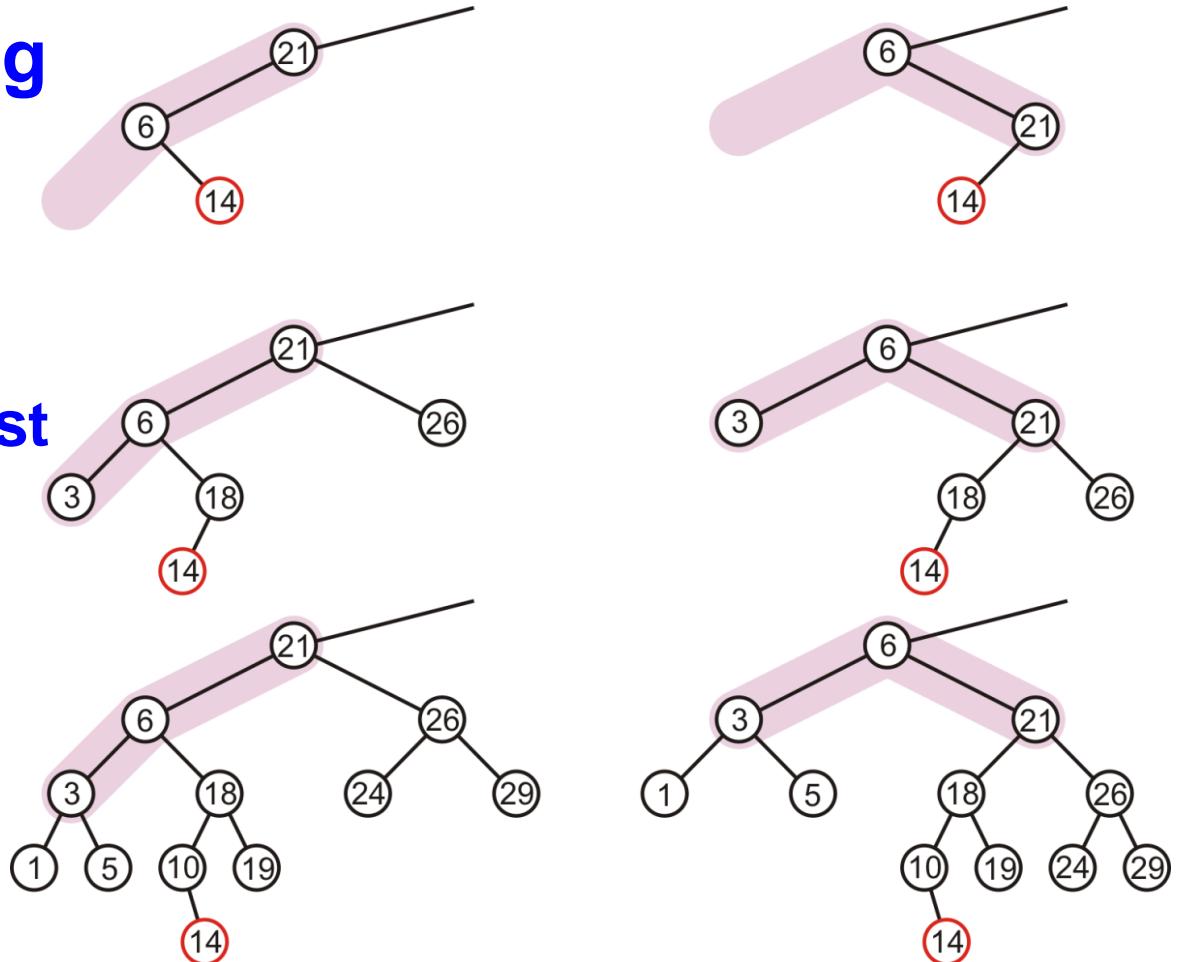
Unfortunately, the previous correction does not fix the imbalance at the root of this sub-tree: the new root,  $b$ , remains unbalanced



# Maintaining Balance: Case Left-Right

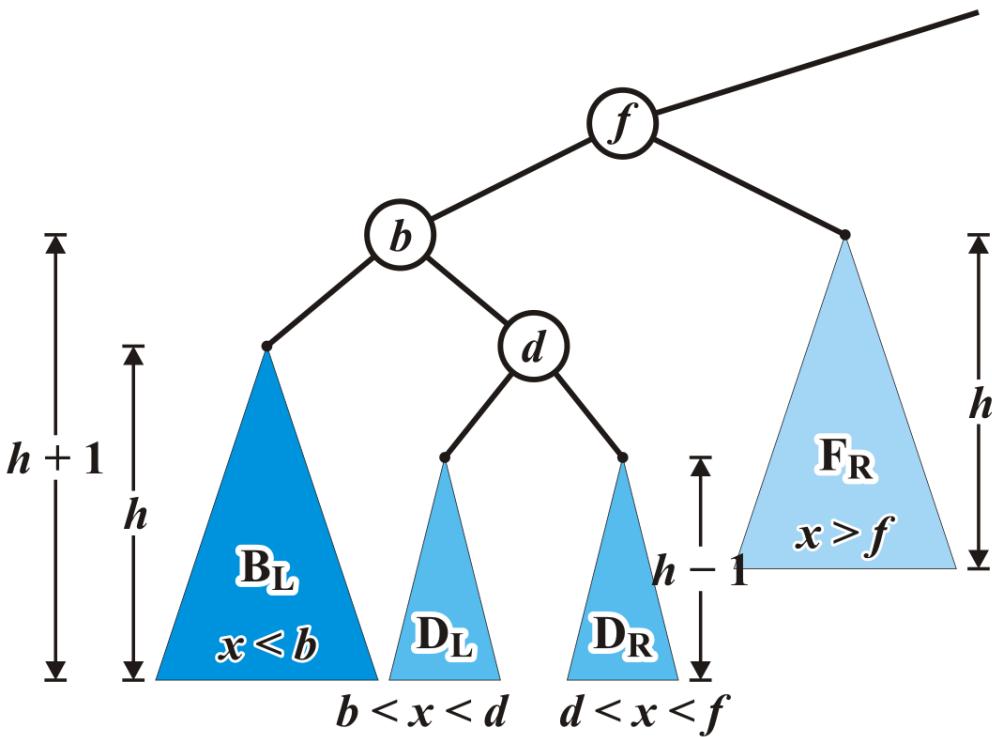
In our three sample cases with  $h = -1, 0, \text{ and } 1$ , doing the same thing as before results in a tree that is still unbalanced...

- The imbalance is just shifted to the other side



# Maintaining Balance: Case Left-Right

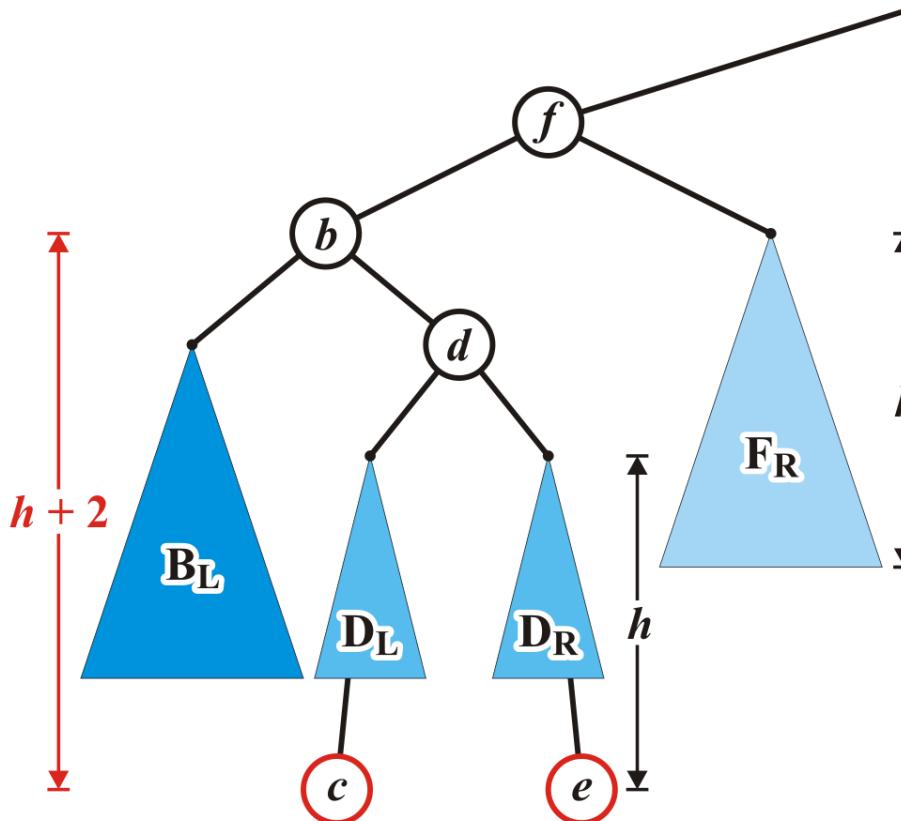
Consider tree rooted at  $d$  with two subtrees of height  $h - 1$



# Maintaining Balance: Case Left-Right

Now an insertion causes an imbalance at  $f$

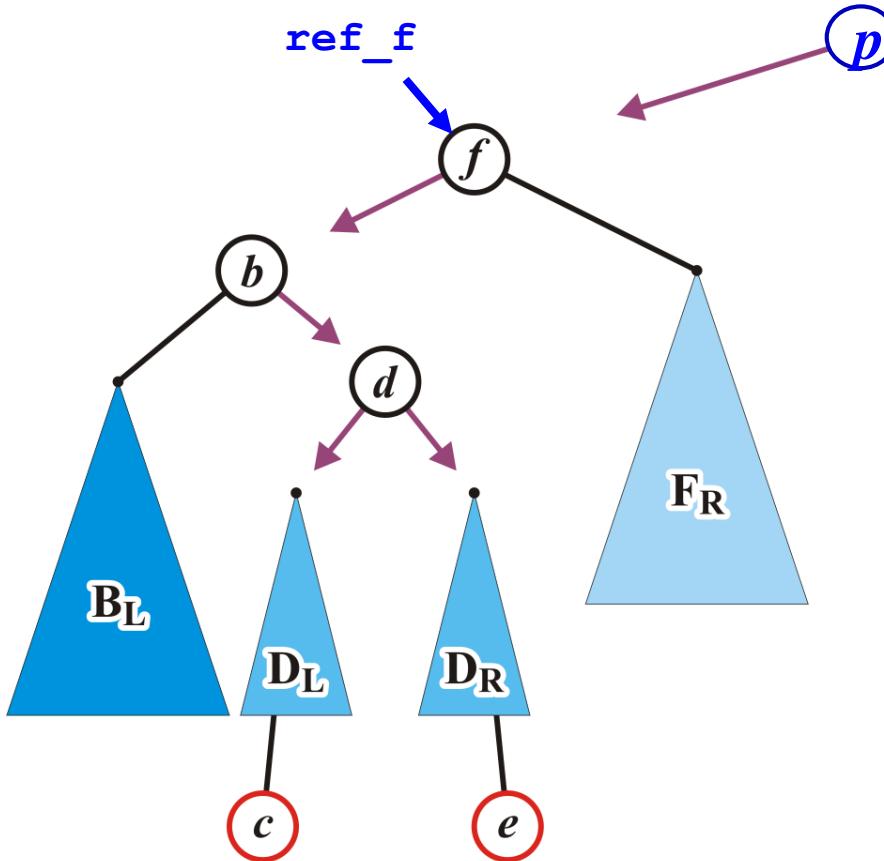
- The addition of either  $c$  or  $e$  will cause this



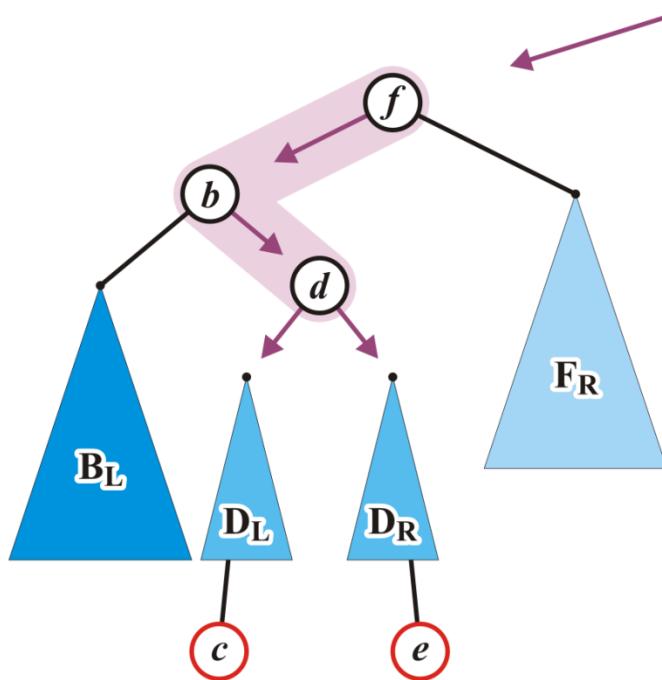
# Maintaining Balance: Case Left-Right

Given `ref_f`, we will reassign the following pointers

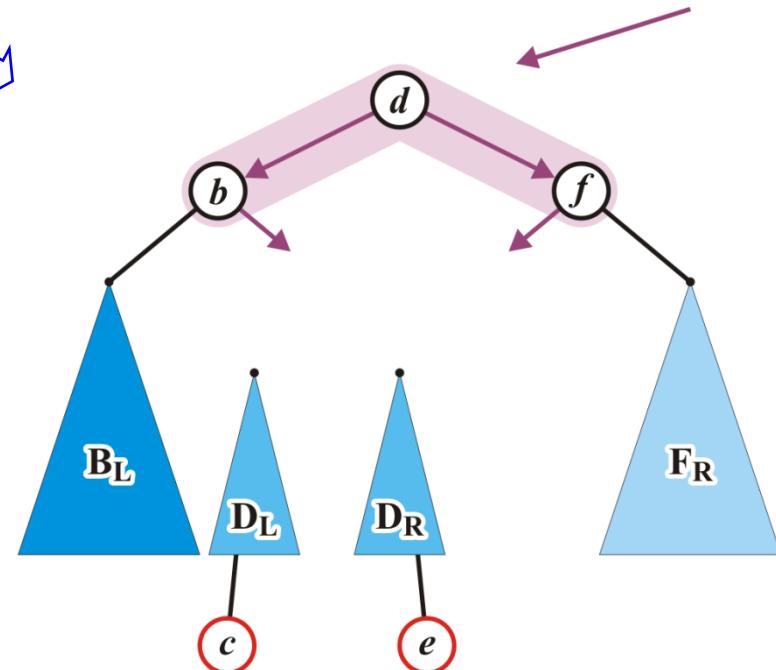
```
ref_p = ref_f.parent  
ref_b = ref_f.left  
ref_d = ref_b.right  
ref_DL = ref_d.left  
ref_DR = ref_d.right
```



# Maintaining Balance: Case Left-Right

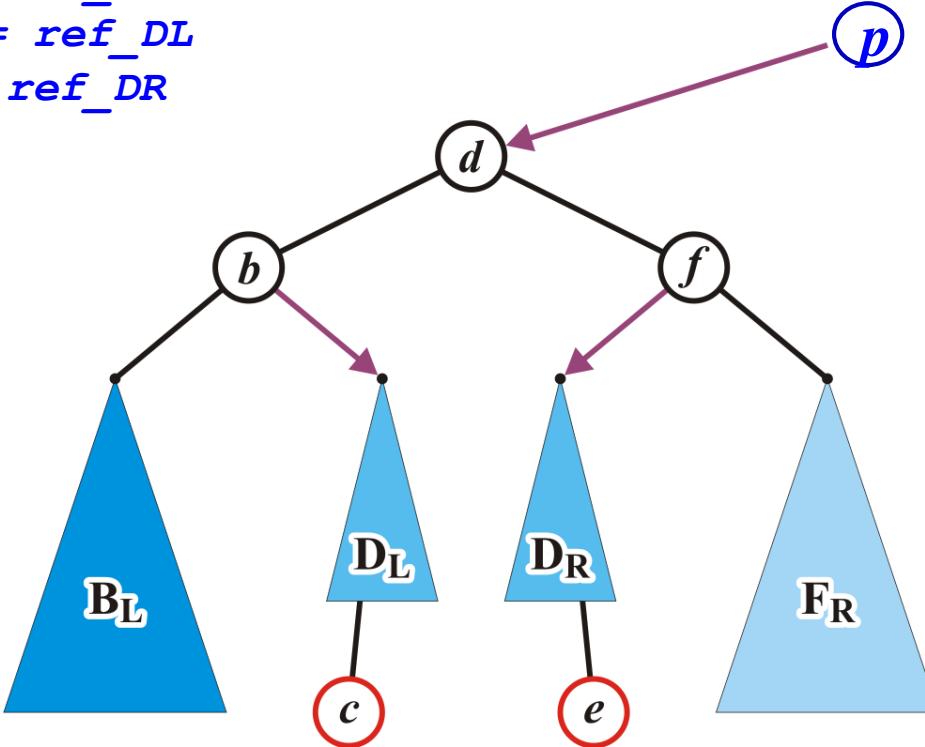


`ref_d.left = ref_b  
ref_d.right = ref_f`



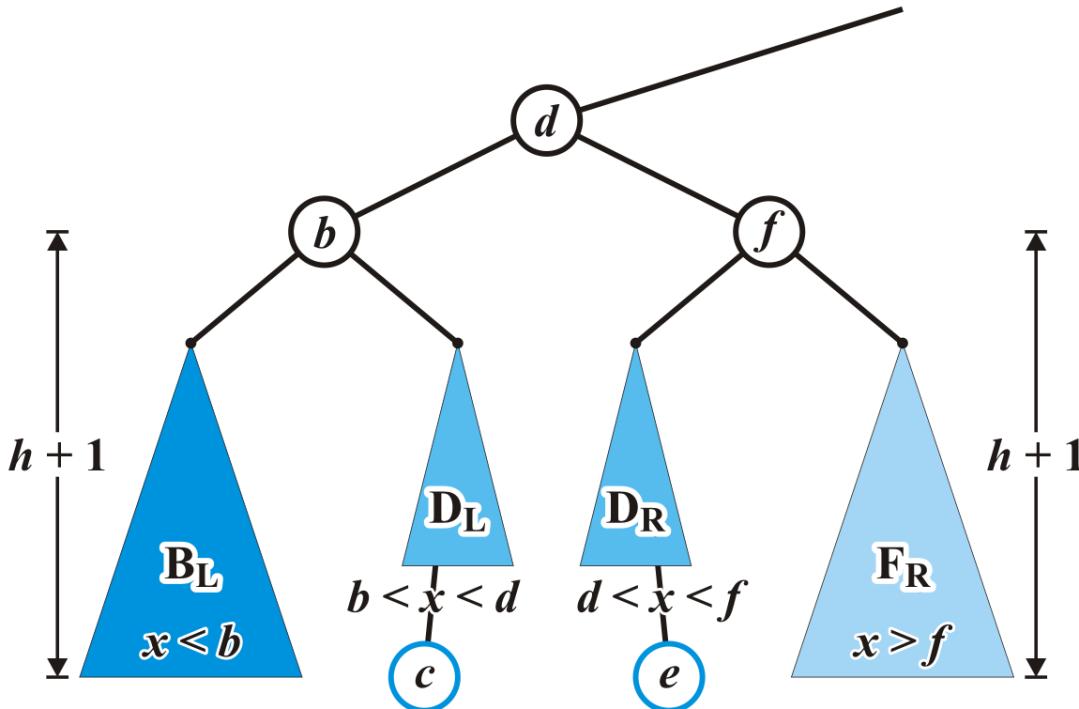
# Maintaining Balance: Case Left-Right

```
ref_p.left = ref_d  
ref_b.right = ref_DL  
ref_f.left = ref_DR
```



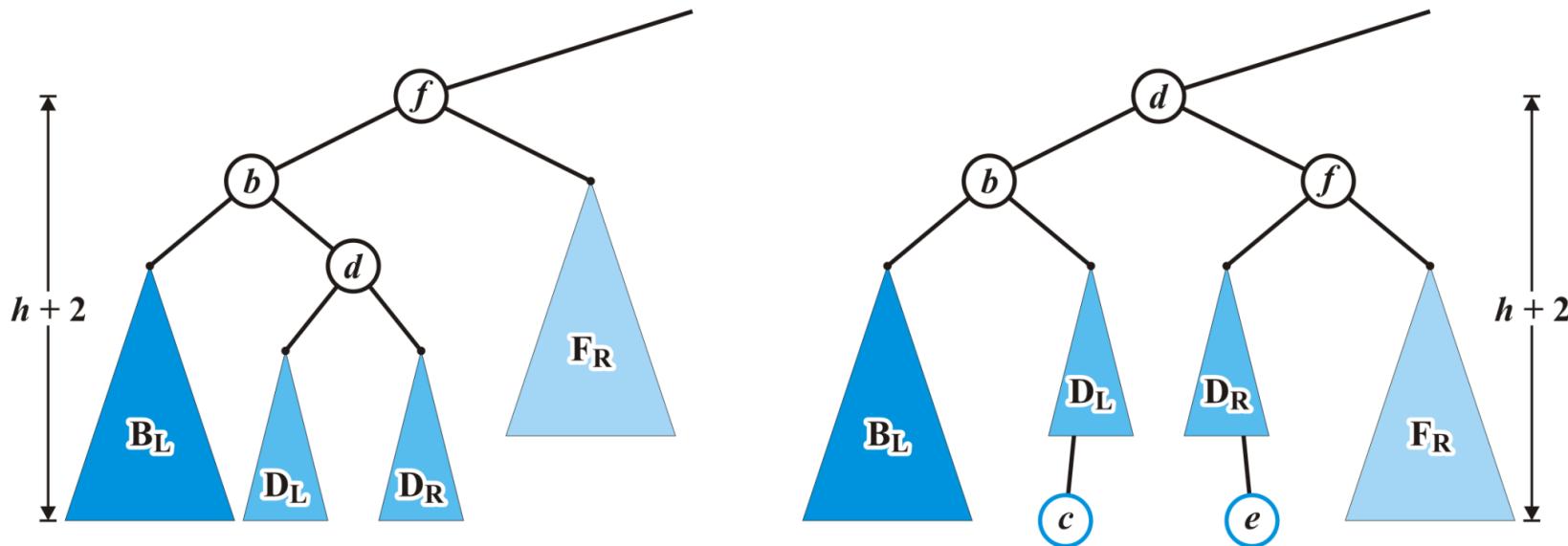
# Maintaining Balance: Case Left-Right

Now the tree rooted at  $d$  is balanced



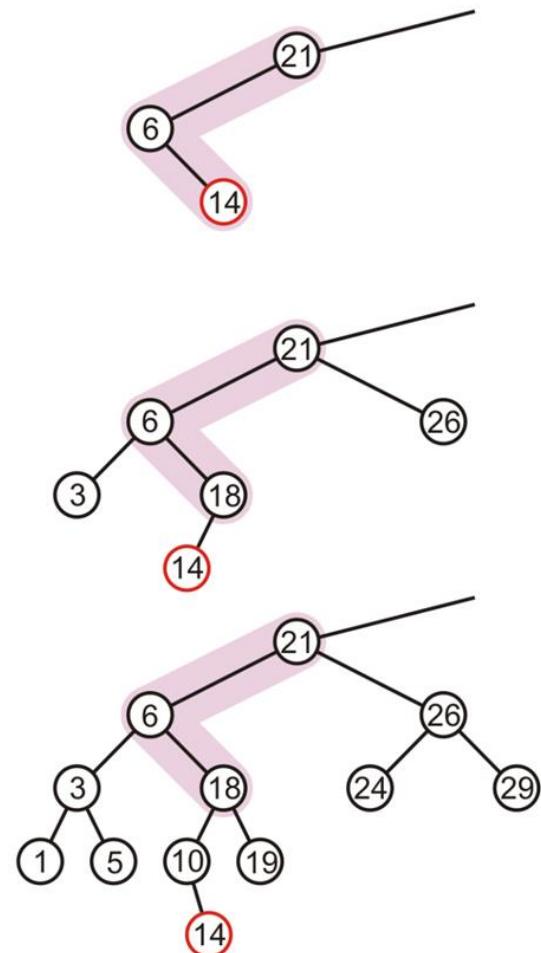
# Maintaining Balance: Case Left-Right

Again, the height of the root did not change

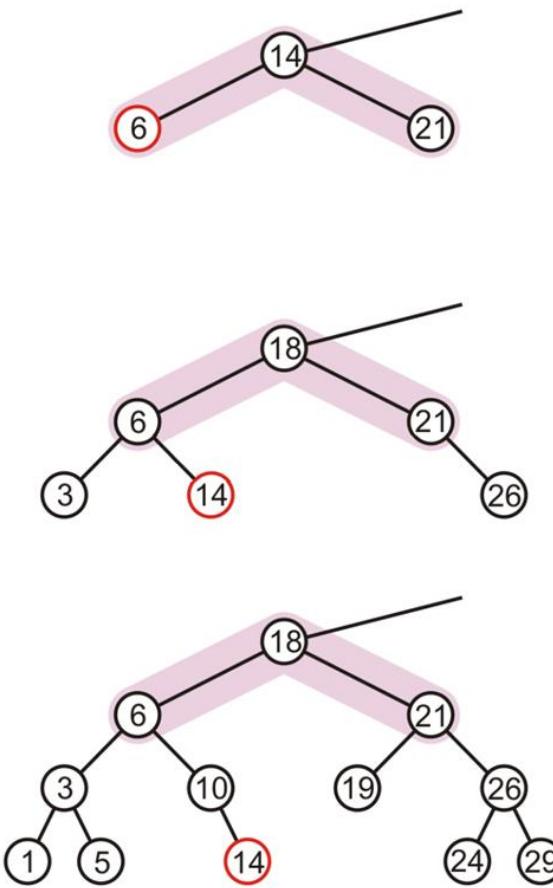


# Maintaining Balance: Case Left-Right

Before

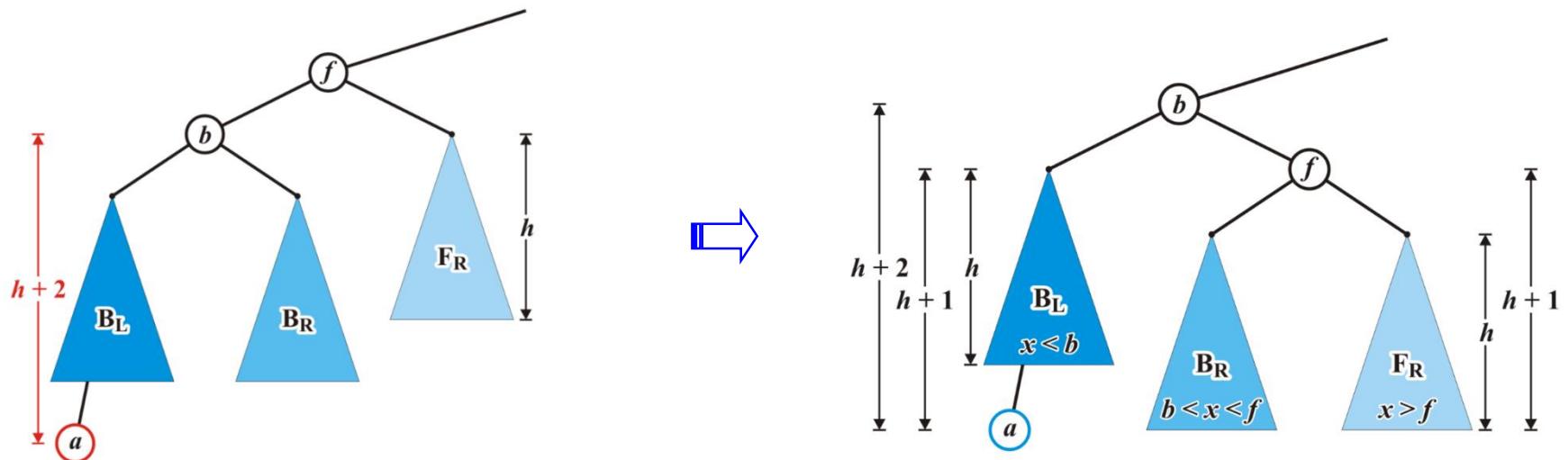


After



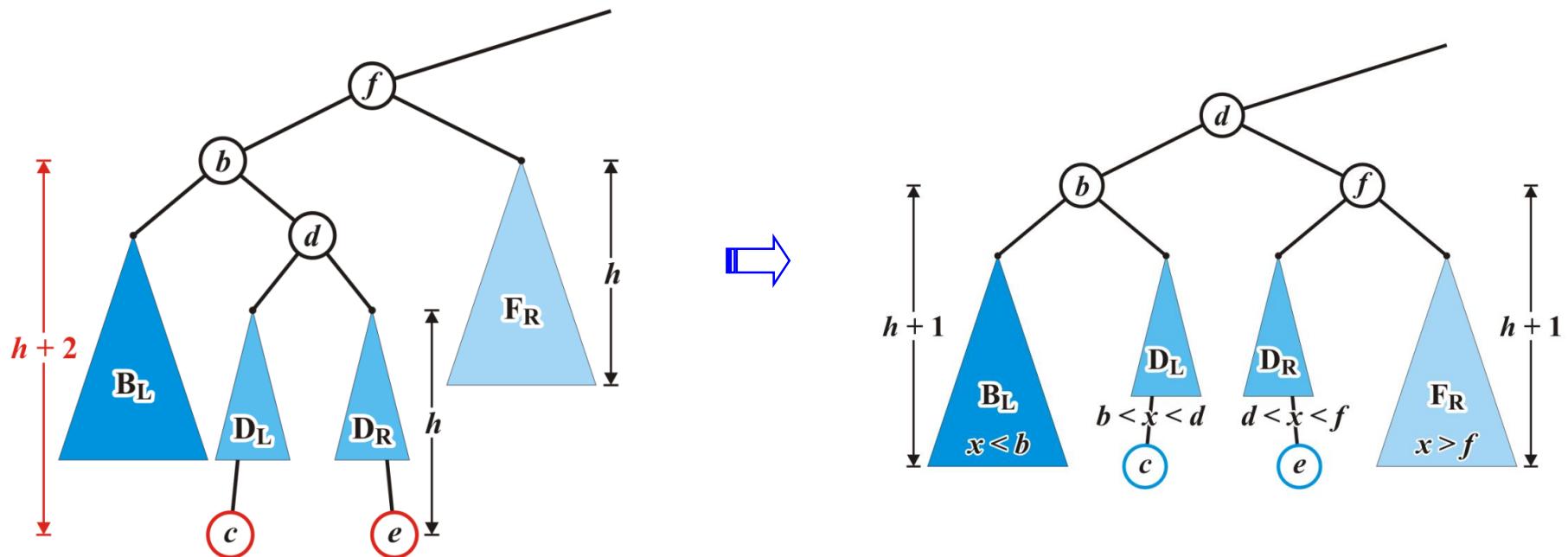
# Maintaining balance: Summary

Case Left-Left: promotes first intermediate node **b** to root



# Maintaining balance: Summary

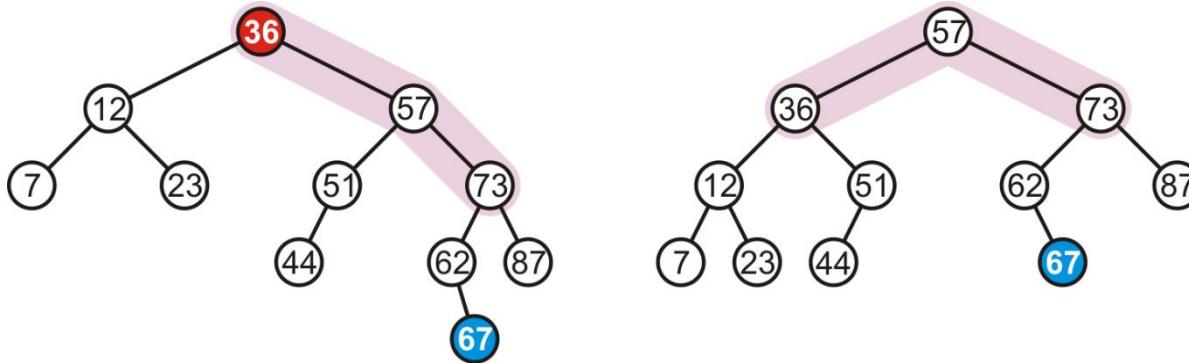
Case Left-Right: promotes second intermediate node **d** to root



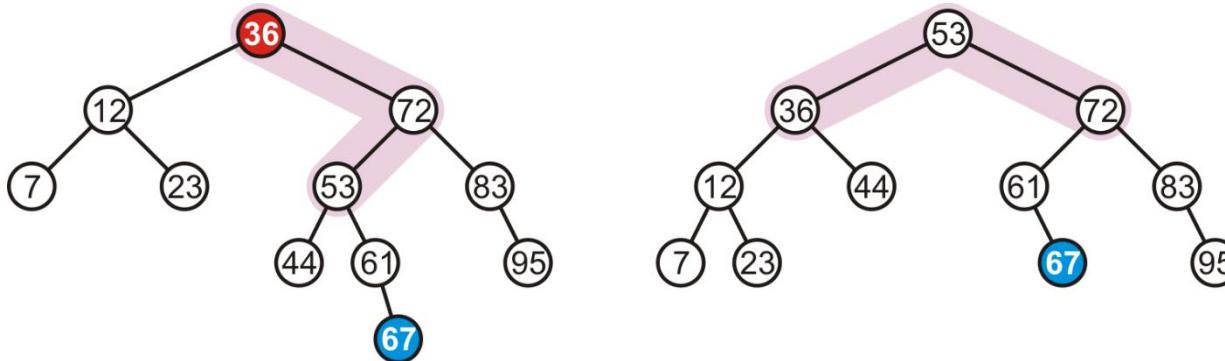
# *Maintaining balance: Summary*

There are two symmetric cases to those we have examined:

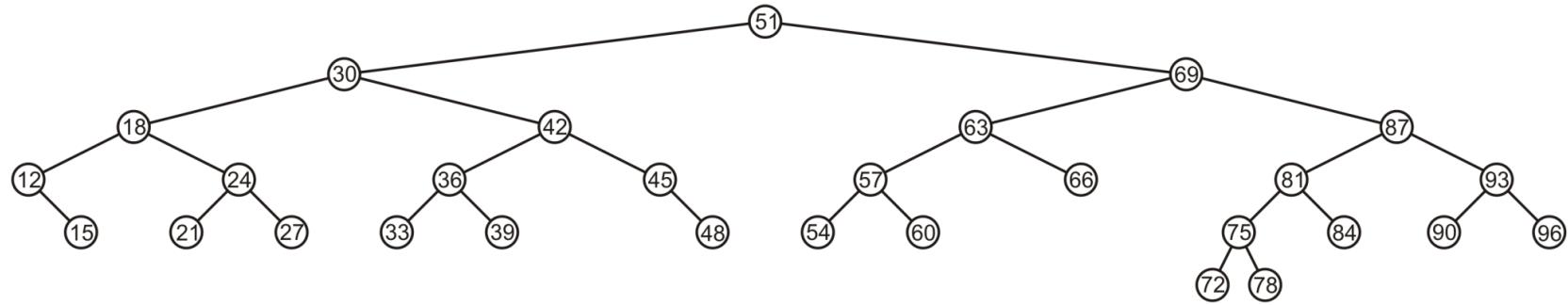
- Insertions into the right-right sub-tree: similar to left-left



- Insertions into either the right-left sub-tree: similar to left-right

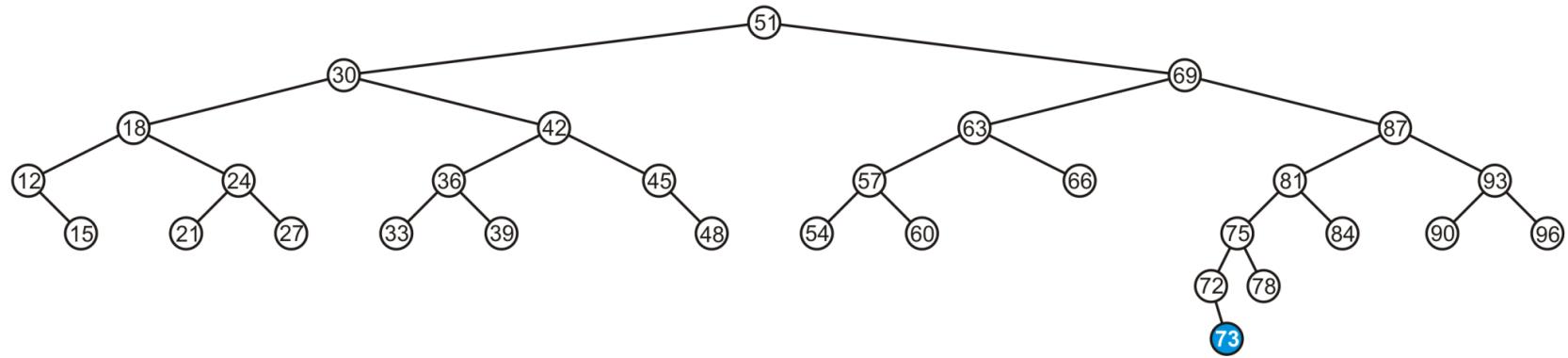


# *Insertion Example*



# *Insertion Example I*

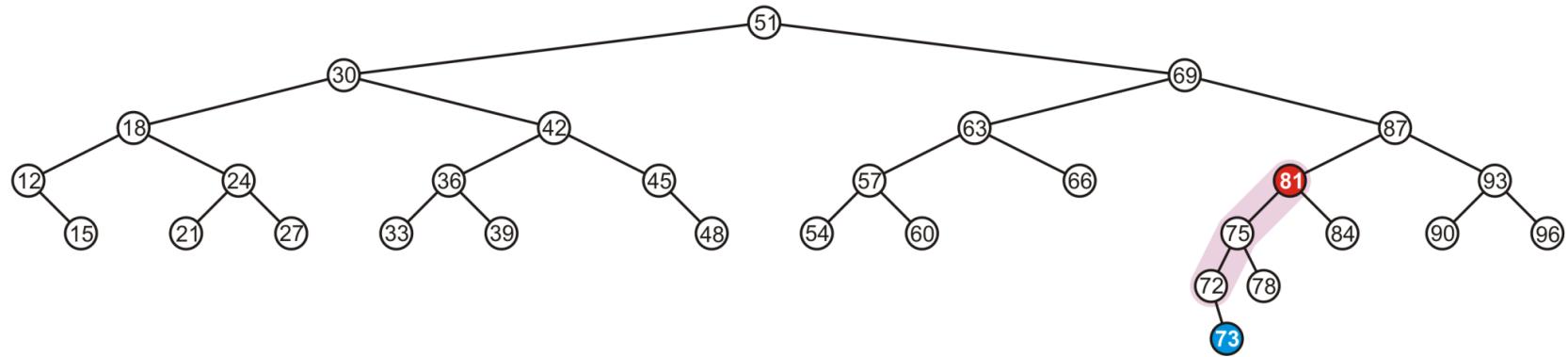
Insert 73



# *Insertion Example I*

The node 81 is unbalanced

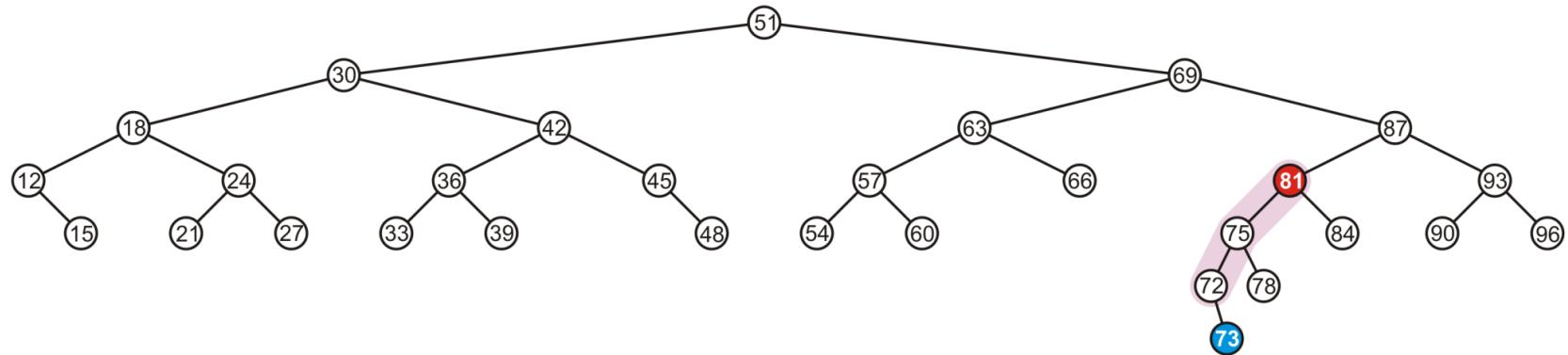
- A left-left imbalance



# *Insertion Example I*

The node 81 is unbalanced

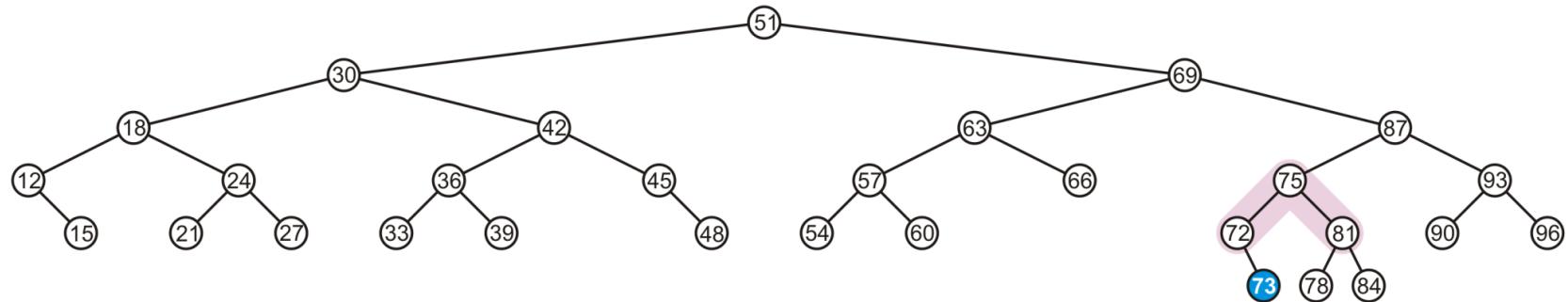
- A left-left imbalance
- Promote the intermediate node 75 to the imbalanced node



# *Insertion Example I*

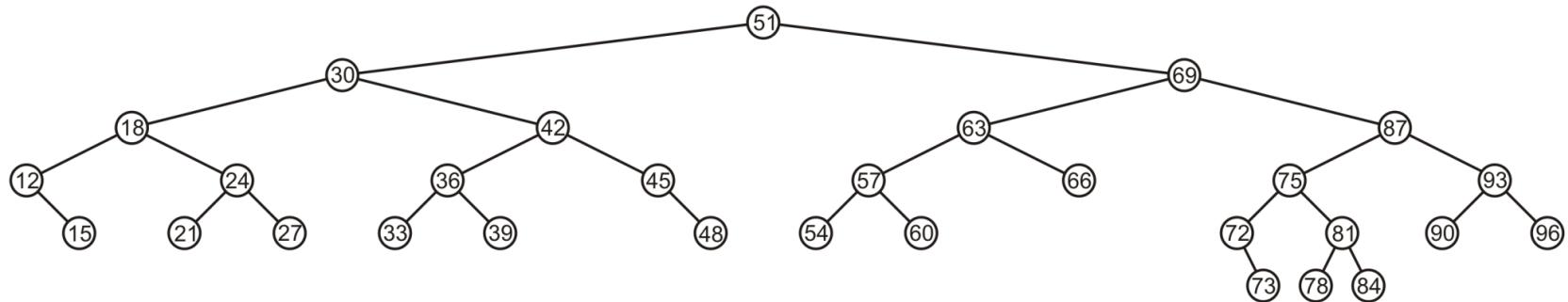
The node 81 is unbalanced

- A left-left imbalance
- Promote the intermediate node 75 to the imbalanced node



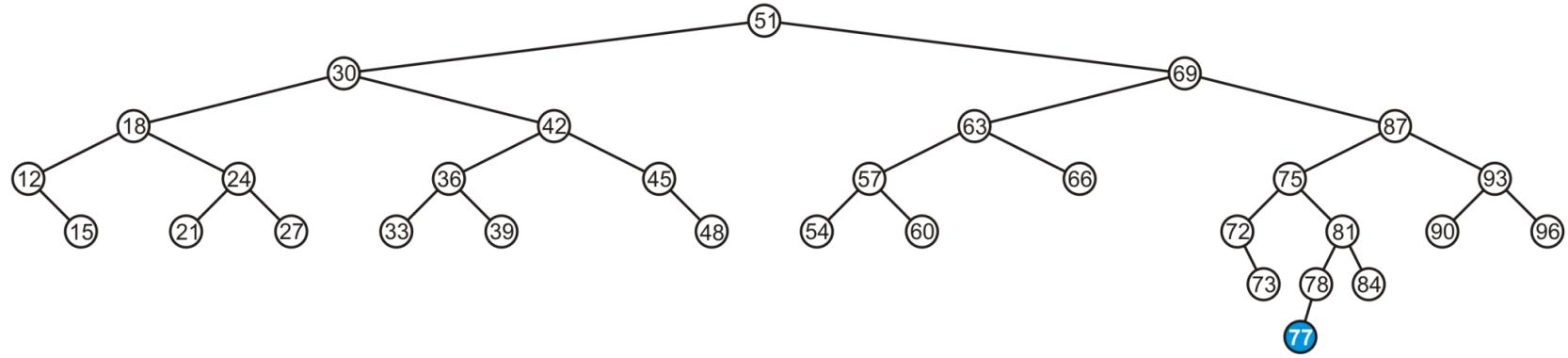
# *Insertion Example I*

The tree is AVL balanced



# *Insertion Example II*

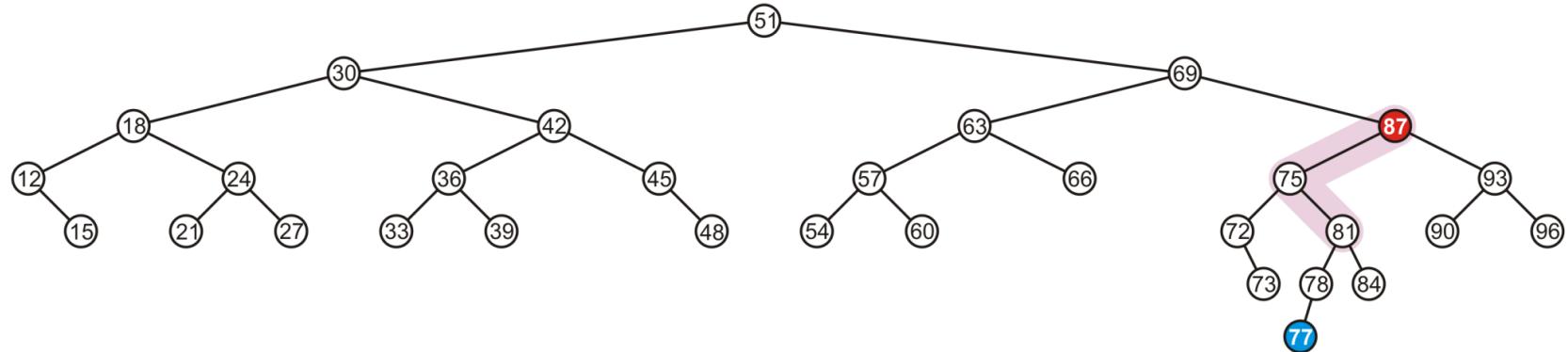
Insert 77



# *Insertion Example II*

The node 87 is unbalanced

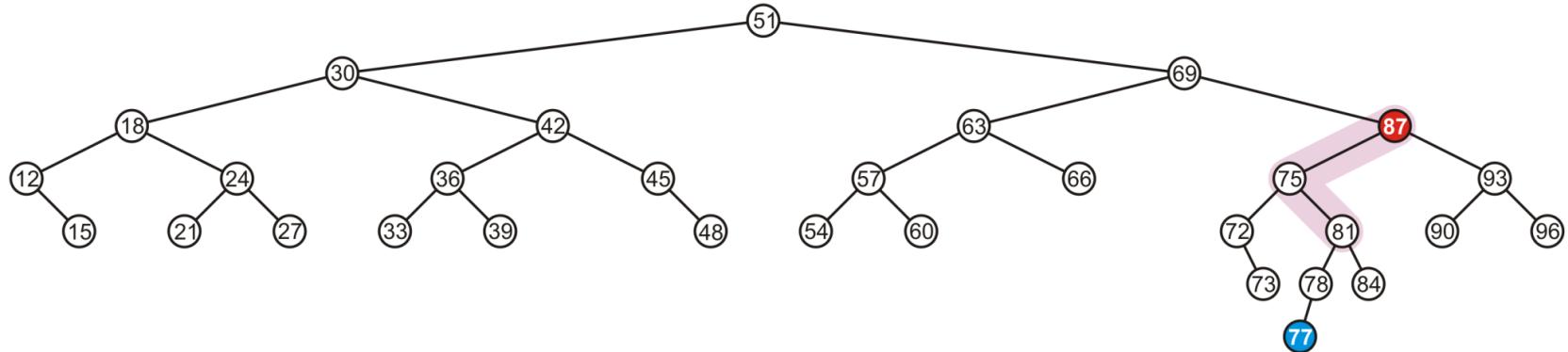
- A left-right imbalance



# *Insertion Example II*

The node 87 is unbalanced

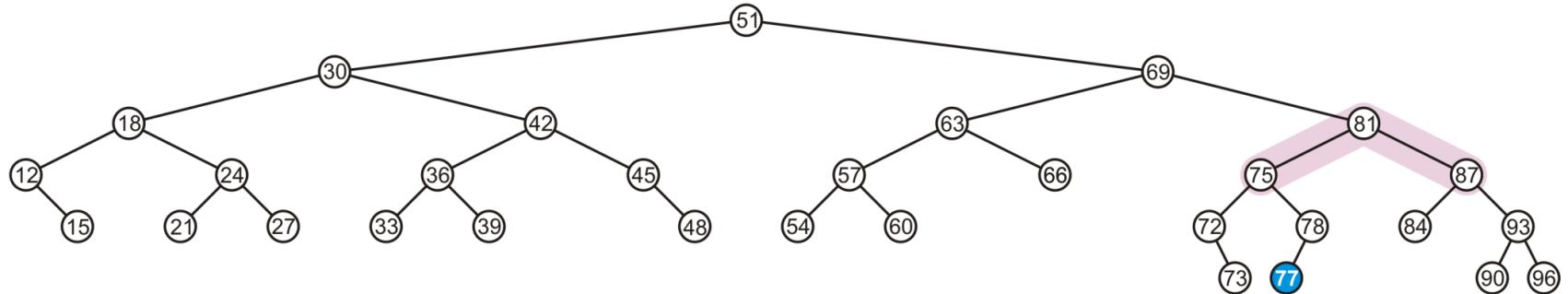
- A left-right imbalance
- Promote the intermediate node 81 to the imbalanced node



# *Insertion Example II*

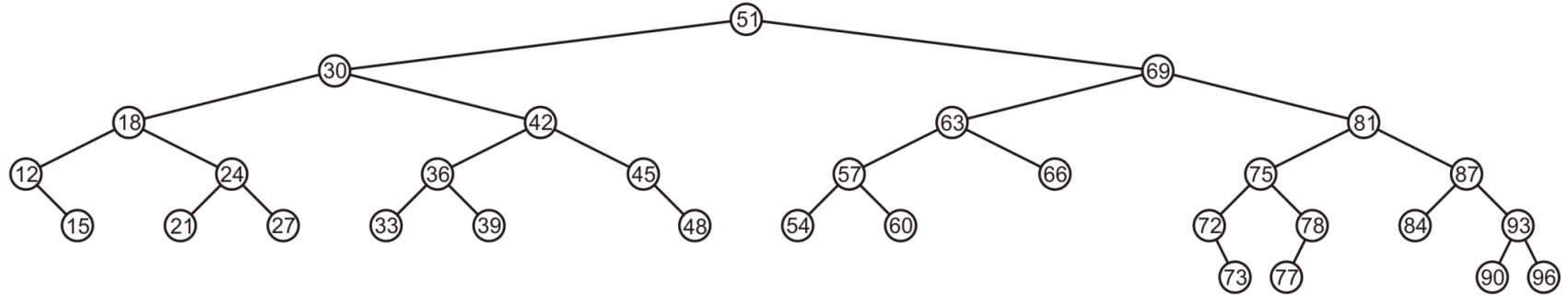
The node 87 is unbalanced

- A left-right imbalance
- Promote the intermediate node 81 to the imbalanced node



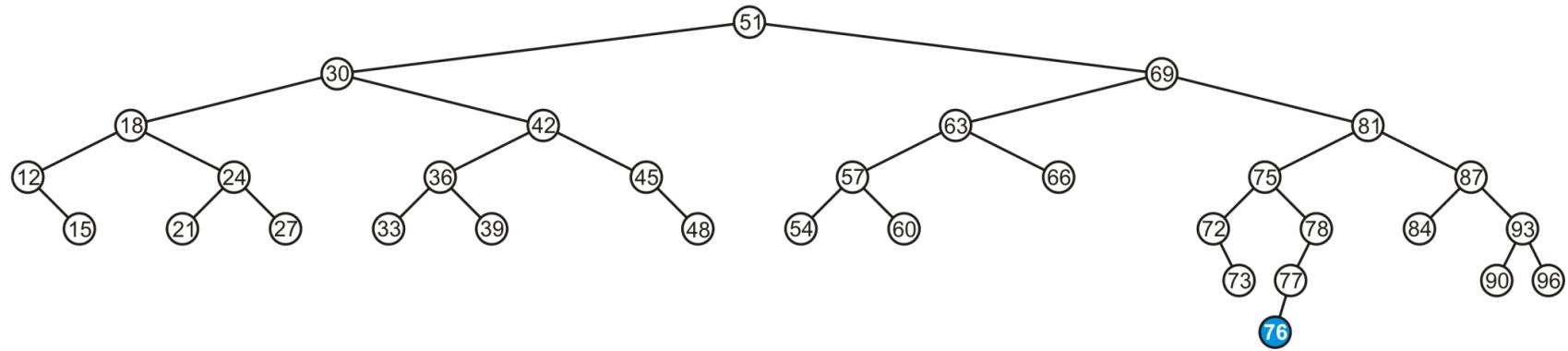
# *Insertion Example II*

The tree is balanced



# *Insertion Example III*

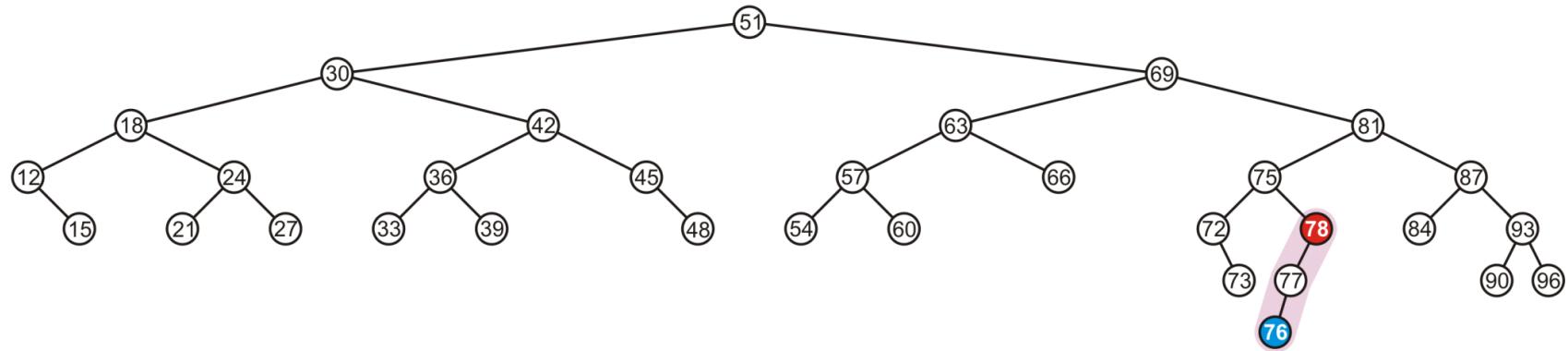
Insert 76



# *Insertion Example III*

The node 78 is unbalanced

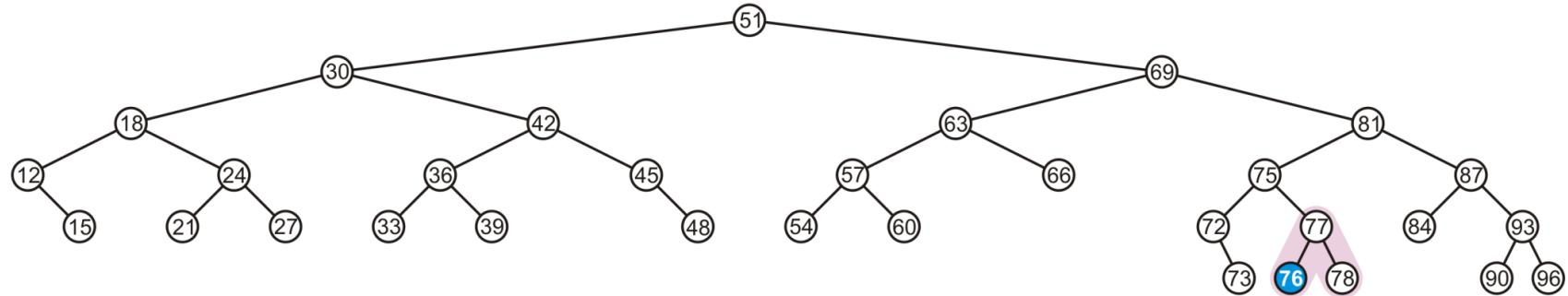
- A left-left imbalance



# *Insertion Example III*

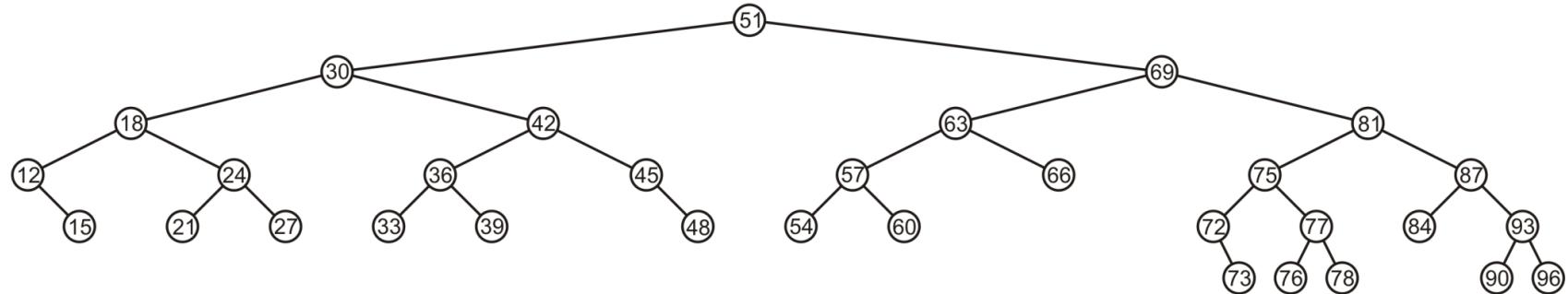
The node 78 is unbalanced

- Promote 77



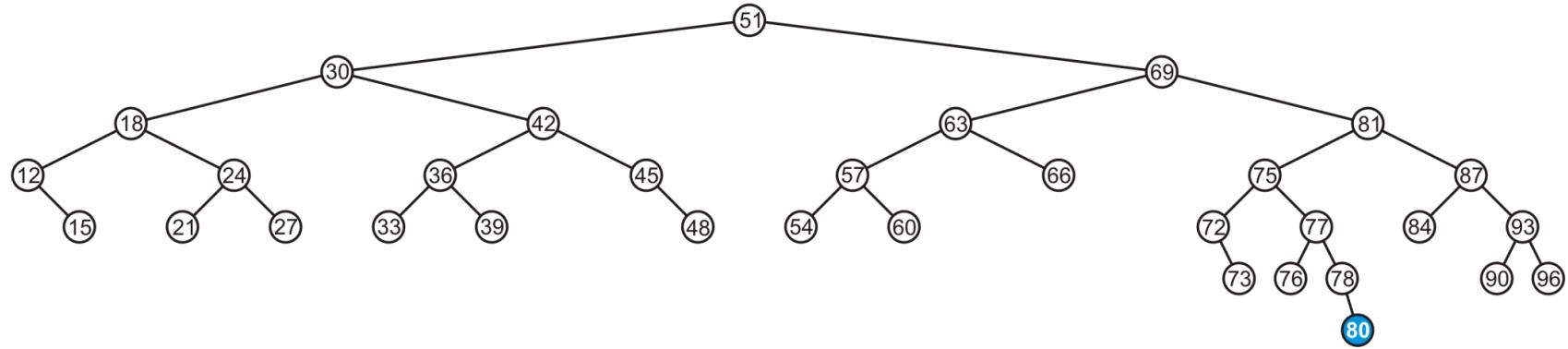
# *Insertion Example III*

Again, balanced



# *Insertion Example IV*

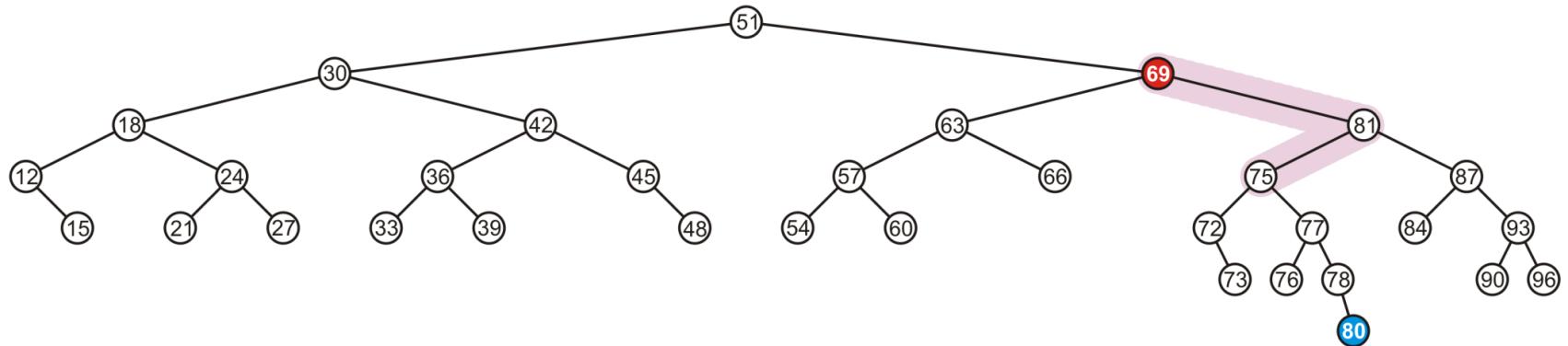
Insert 80



# *Insertion Example IV*

The node 69 is unbalanced

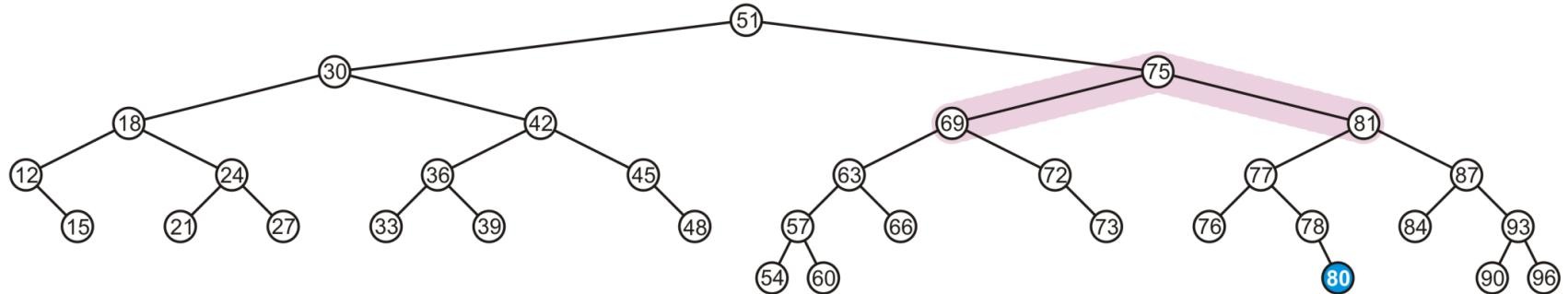
- A right-left imbalance
- Promote the intermediate node 75 to the imbalanced node



# *Insertion Example IV*

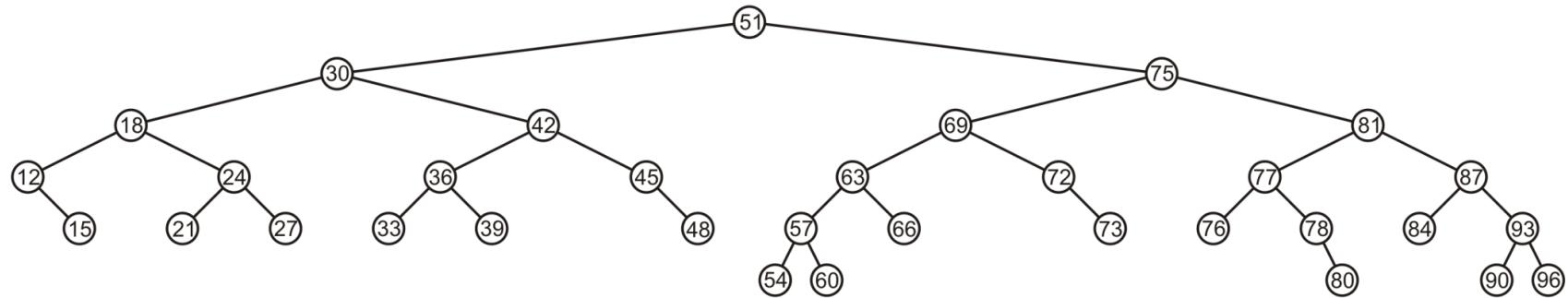
The node 69 is unbalanced

- A left-right imbalance
- Promote the intermediate node 75 to the imbalanced node



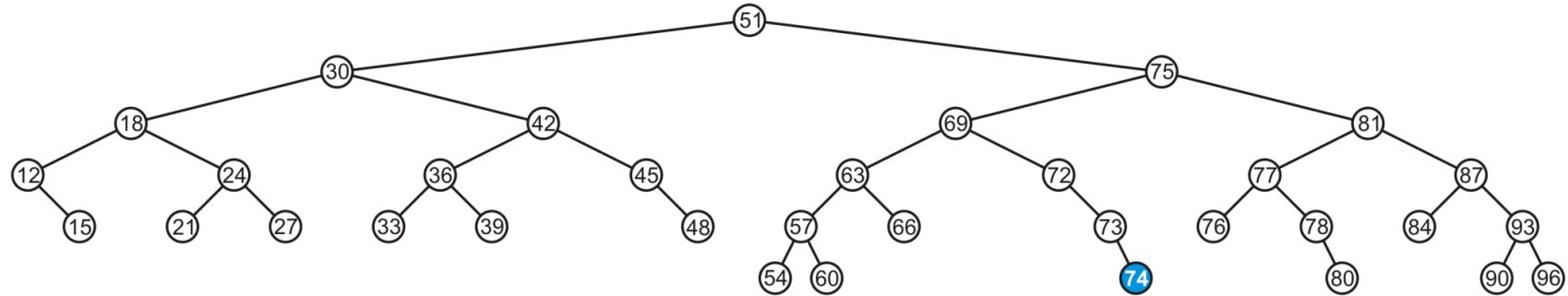
# *Insertion Example IV*

Again, balanced



# *Insertion Example V*

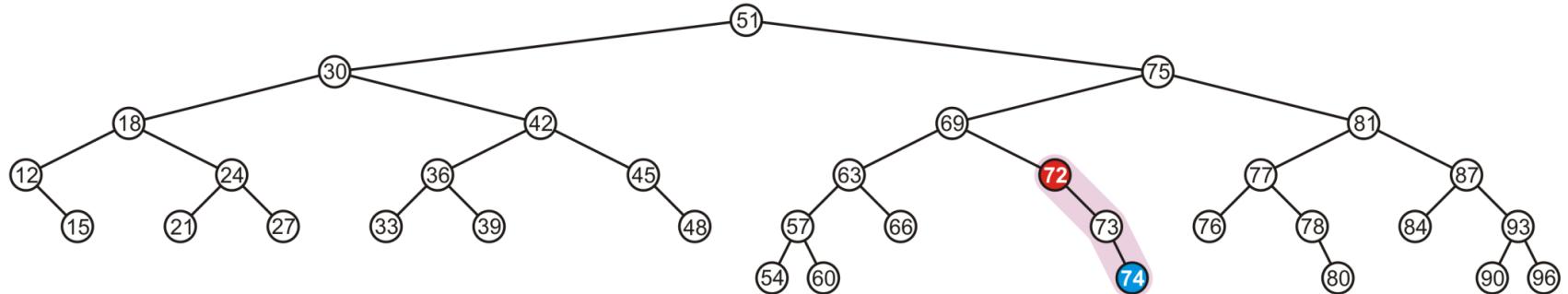
Insert 74



# *Insertion Example V*

The node 72 is unbalanced

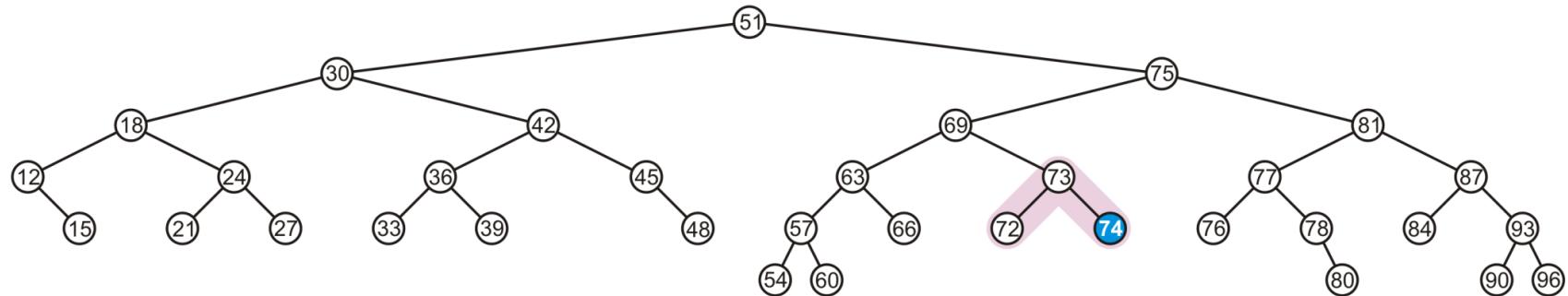
- A right-right imbalance
- Promote the intermediate node 73 to the imbalanced node



# *Insertion Example V*

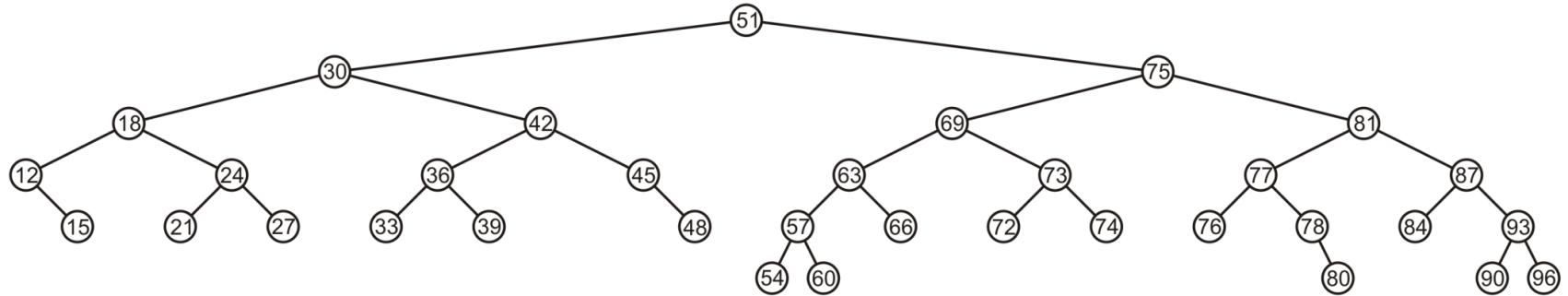
The node 72 is unbalanced

- A right-right imbalance
- Promote the intermediate node to the imbalanced node



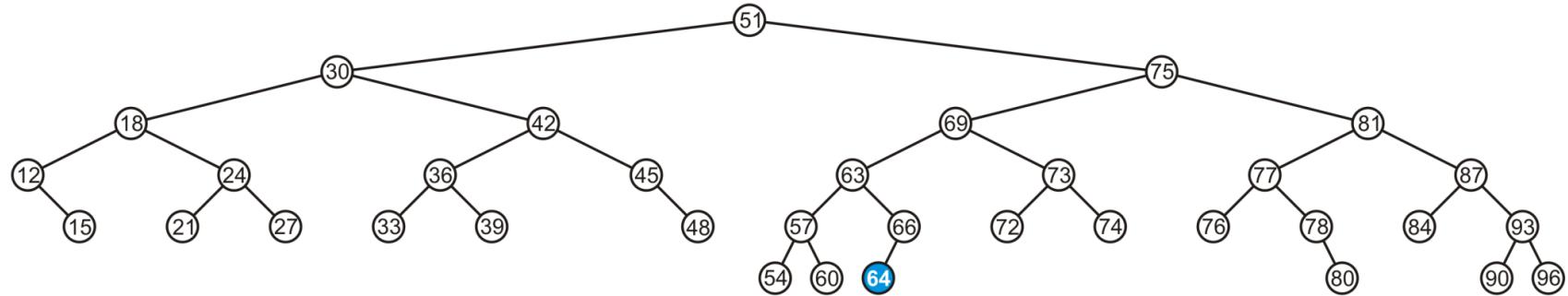
# *Insertion Example V*

Again, balanced



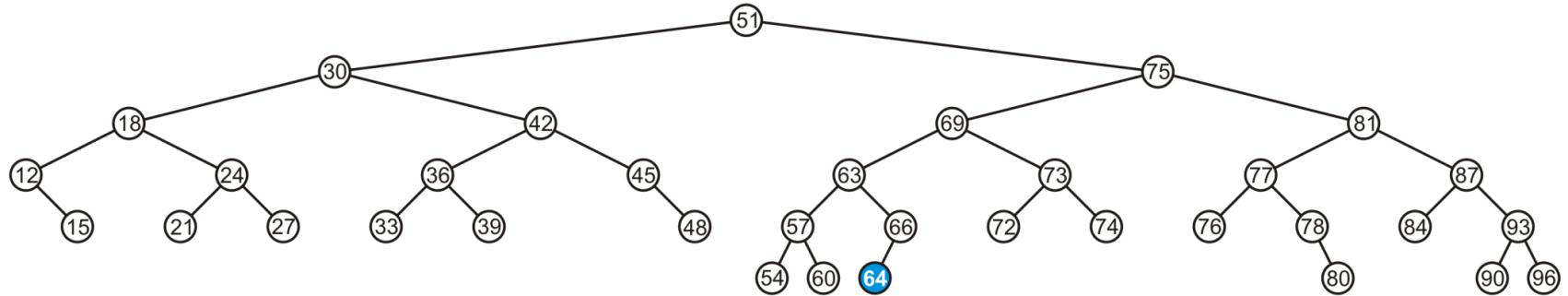
# *Insertion Example VI*

Insert 64



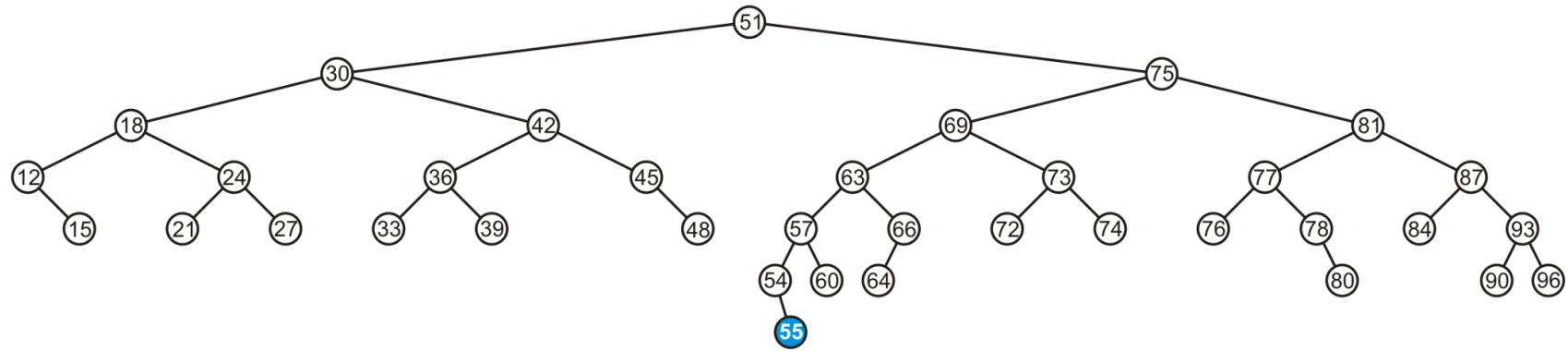
# *Insertion Example VI*

This causes no imbalances



# *Insertion Example VII*

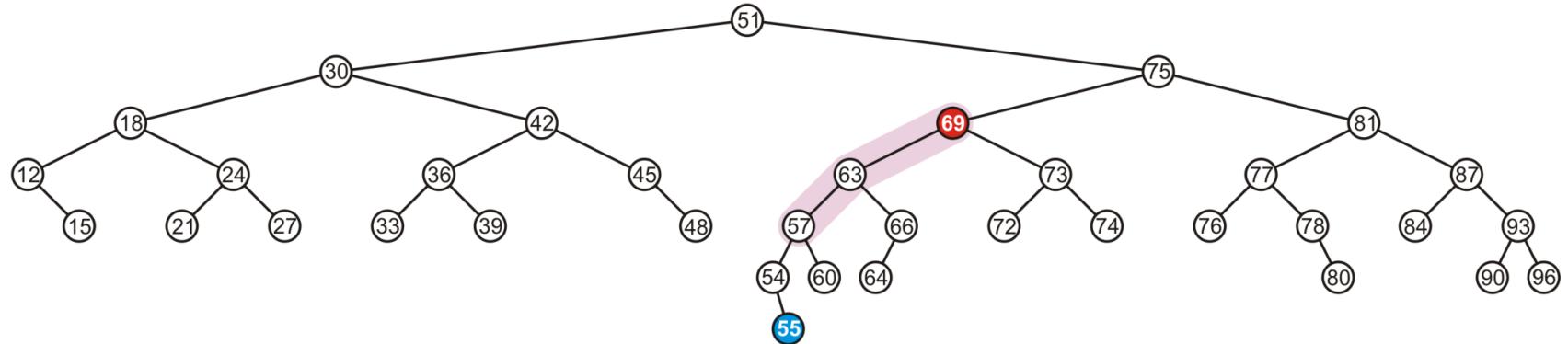
**Insert 55**



# *Insertion Example VII*

The node 69 is imbalanced

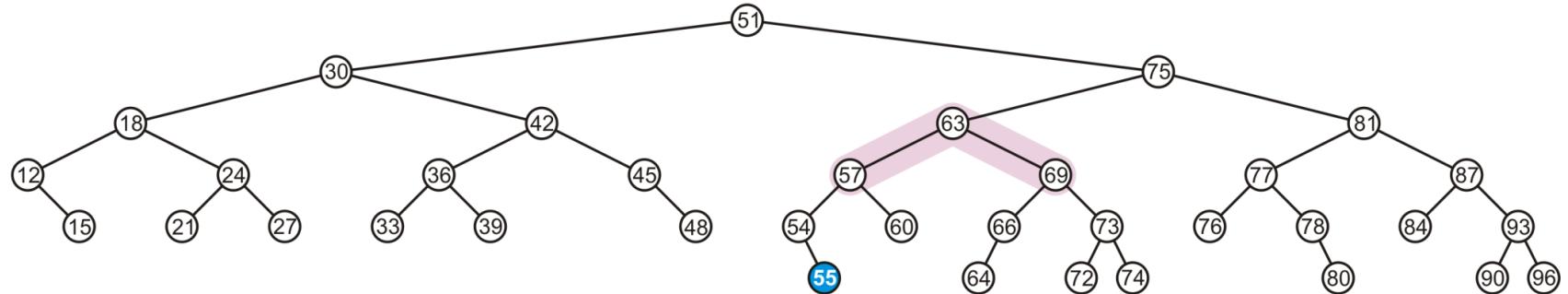
- A left-left imbalance
- Promote the intermediate node 63 to the imbalanced node



# *Insertion Example VII*

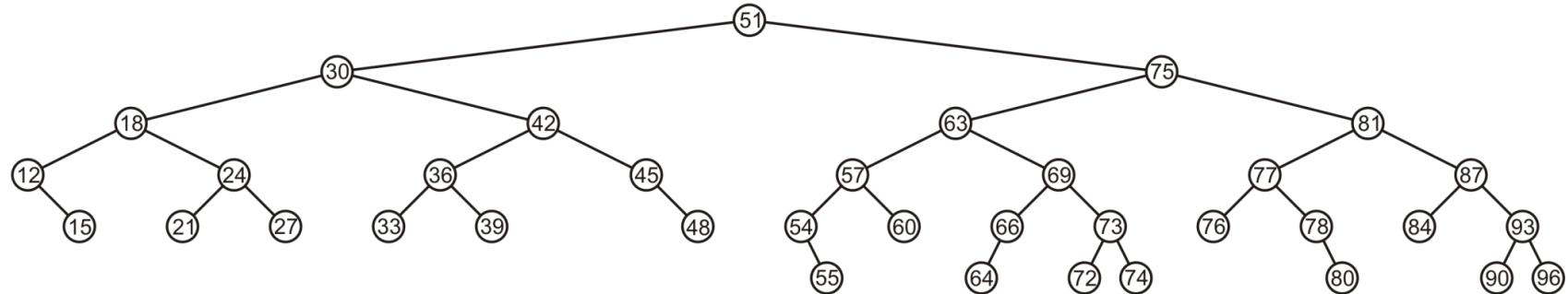
The node 69 is imbalanced

- A left-left imbalance
- Promote the intermediate node 63 to the imbalanced node



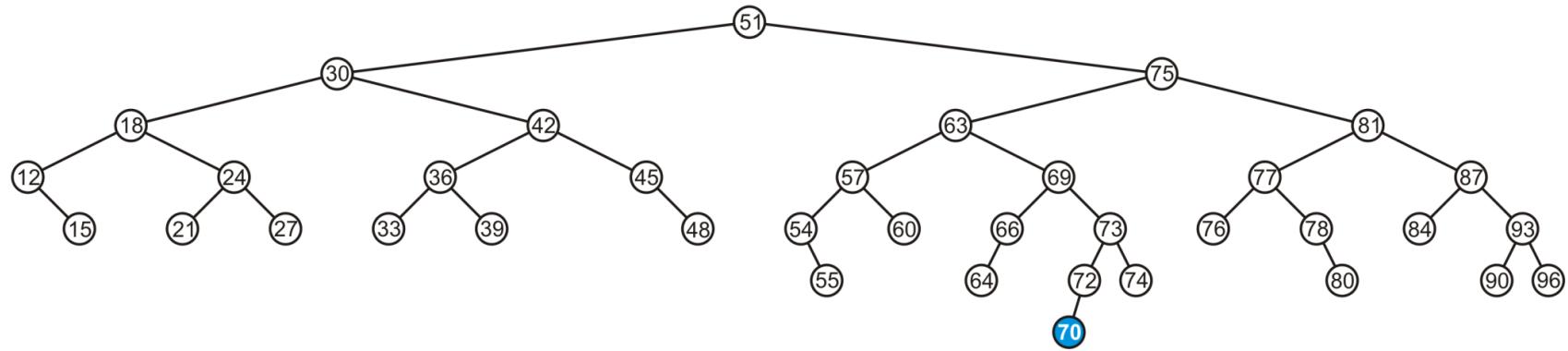
# *Insertion Example VII*

The tree is now balanced



# *Insertion Example VIII*

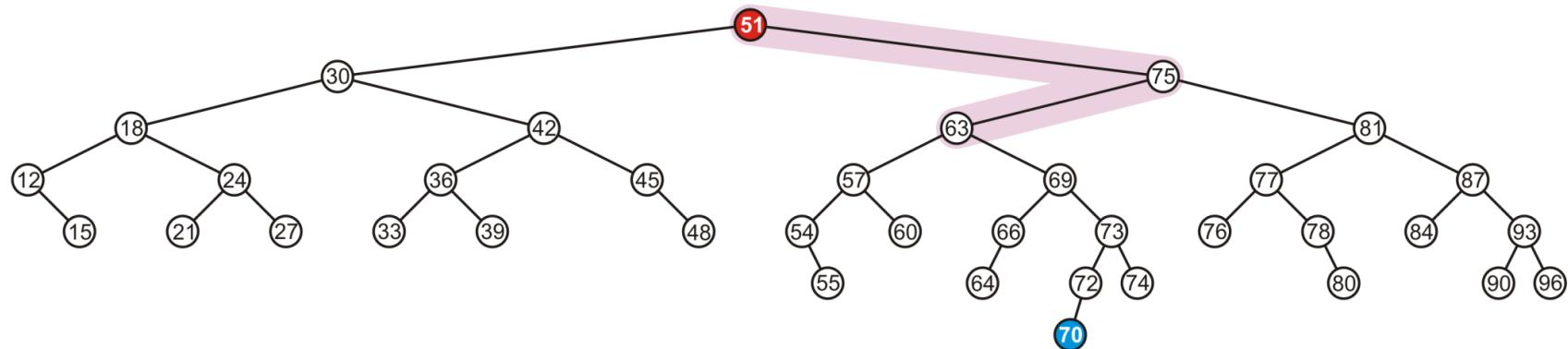
Insert 70



# *Insertion Example VIII*

The root node is now imbalanced

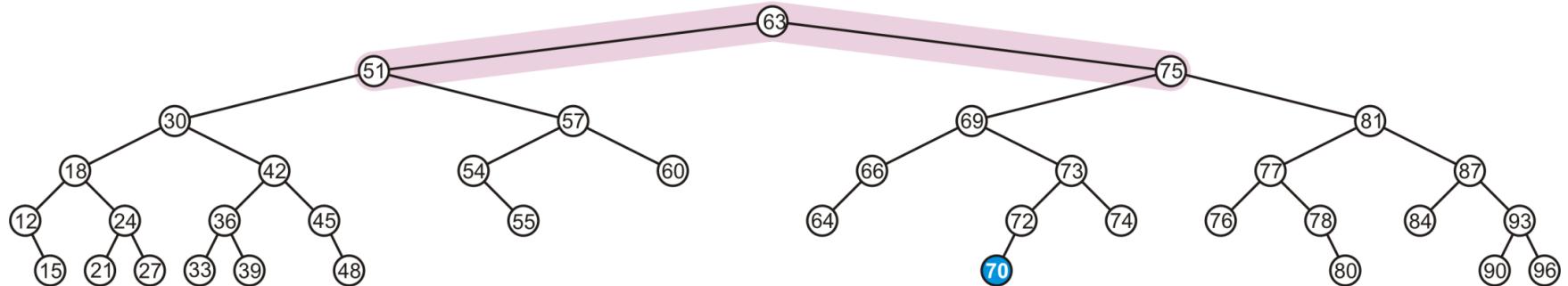
- A right-left imbalance
- Promote the intermediate node 63 to the root



# *Insertion Example VIII*

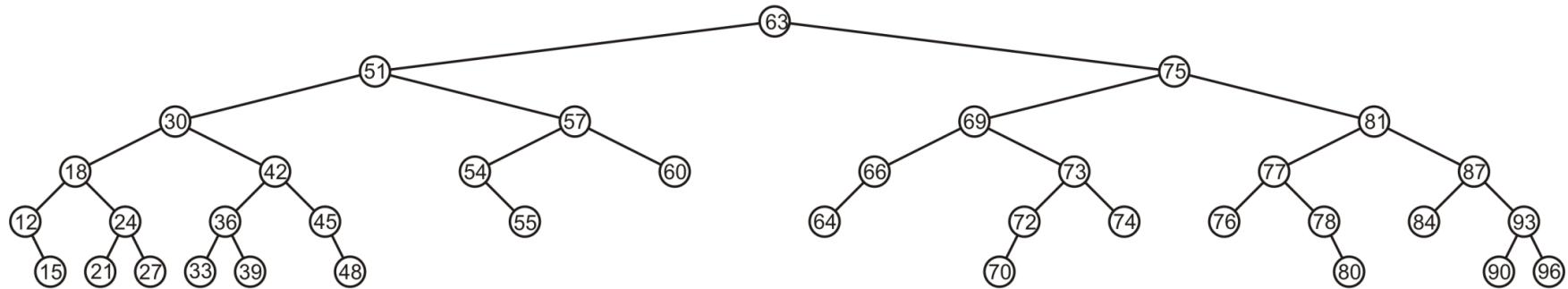
The root node is imbalanced

- A right-left imbalance
- Promote the intermediate node 63 to the root



# *Insertion Example VIII*

The result is AVL balanced



# *Sorting*

- Merge and mergesort
- Heaps and heapsort
- Partition and quicksort
- Order statistics
- Sorting in linear time

# **Sorting**

- **Input:** sequence of elements  $a_1, a_2, \dots, a_n$  (e.g. numbers, strings, dates) that can be sorted
- **Output:** Permutation  $a'_1, a'_2, \dots, a'_n$  such that  $a'_1 \leq a'_2 \leq \dots \leq a'_n$
- **Why study sorting?**
  - Applications: program renders graphical objects that are layered on top of each other needs to sort the objects according to an “above” relationship so that it can draw these objects in order.
  - Many other applications: sorting values in a database, sorting dates etc.
  - Wide variety of sorting algorithms – teach us many important techniques in algorithm design.

# *Sorting*

Algorithm	Worst case complexity	Average case complexity
Mergesort	$\Theta(n \log n)$	$\Theta(n \log n)$
Heapsort	$\Theta(n \log n)$	$\Theta(n \log n)$
Quicksort	$\Theta(n^2)$	$\Theta(n \log n)$

**Although quicksort has worst case complexity more than the other two algorithms, it is often the best practical choice for sorting because of its remarkable efficiency on average (the constant factor hidden in O-notation is actually very small).**

# *Merge and Mergesort*

- **Merging two arrays**
  
- **Application in mergesort**

# *Problem Solving Idea*

- Want to sort a given array.
- Intuition: it should be easier to sort a smaller array compared to a larger one.
- Divide and conquer:
  - divide the array into two smaller arrays
  - sort each of the smaller arrays (assuming this can be done!)
  - find a way to combine the two sorted arrays together to form one single sorted array
- Recursion to the rescue!
  - to sort the smaller arrays, repeat the same procedure
  - till you reach a single element array – easy to sort!

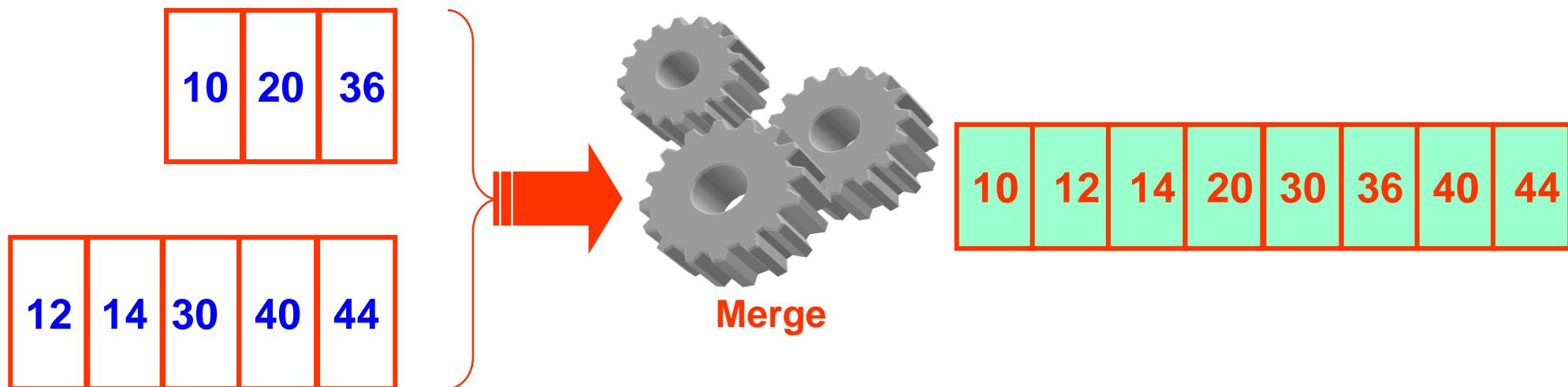
# Merge Problem

## □ Input:

- Two sorted arrays, of *nearly equal lengths*

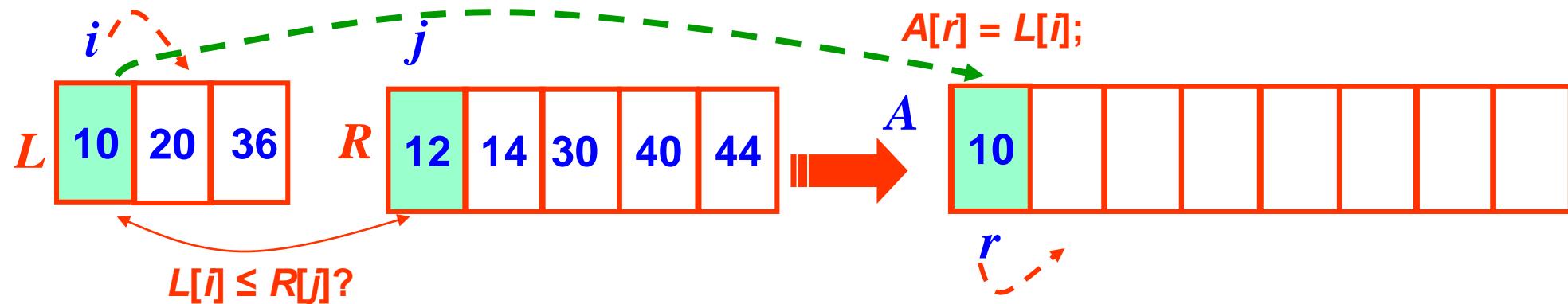
## □ Output

- One sorted array.



# Merging Two Sorted Arrays

We begin by examining the first element in each array



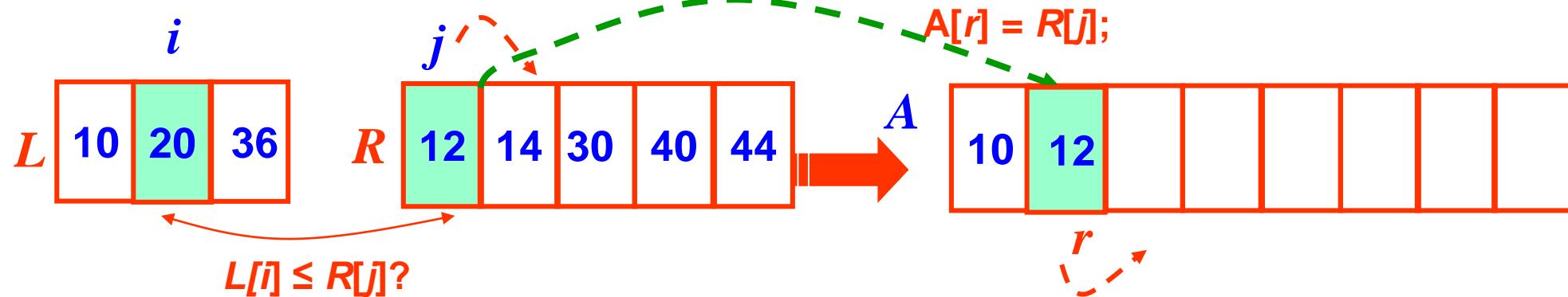
✓ Since  $10 < 12$  and each array is sorted, 10 is smallest, so copied to output

✓ copy smaller value to  $A$

```
if ( $L[i] \leq R[j]$ ) {  
     $A[r] = L[i]$ ;  
     $i = i + 1$ ;  
}  
else {  
     $A[r] = R[j]$ ;  
     $j = j + 1$ ;  
}  
 $r = r + 1$ ;
```

# Merging Two Sorted Arrays

We move to the next item in the first array

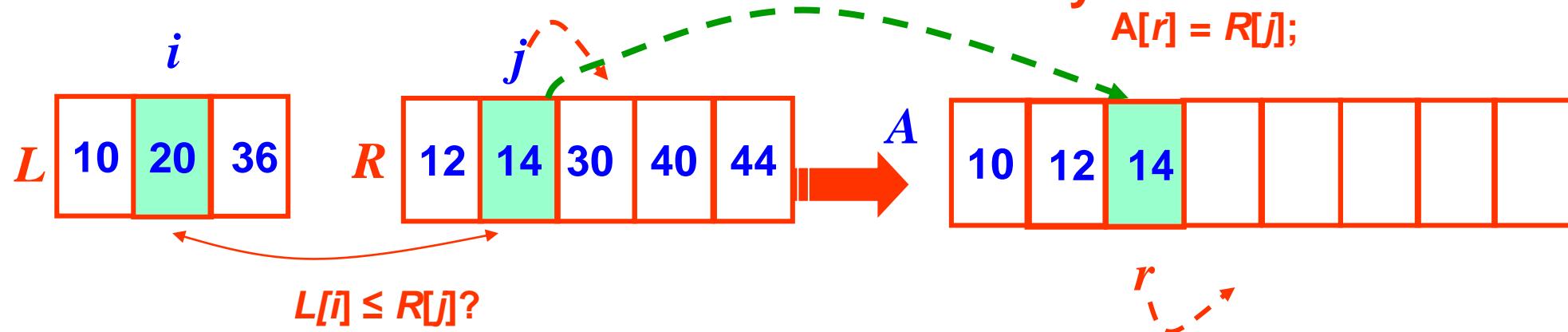


✓ copy smaller value to  $A$

```
if ( $L[i] \leq R[j]$ ) {  
     $A[r] = L[i]$ ;  
     $i = i + 1$ ;  
}  
else {  
     $A[r] = R[j]$ ;  
     $j = j + 1$ ;  
}  
 $r = r + 1$ ;
```

# Merging Two Sorted Arrays

We move to the next item in the second array

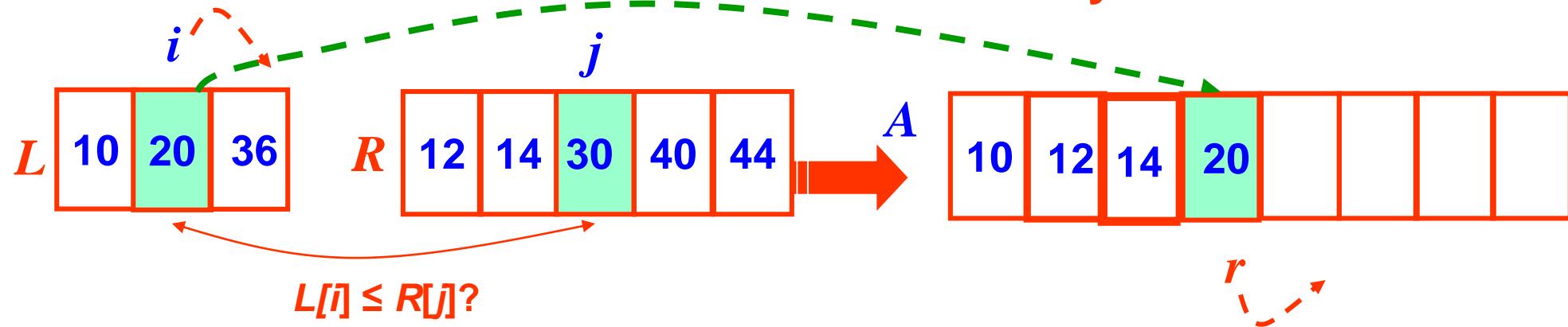


✓ copy smaller value to  $A$

```
if ( $L[i] \leq R[j]$ ) {  
     $A[r] = L[i];$   
     $i = i + 1;$   
}  
else {  
     $A[r] = R[j];$   
     $j = j + 1;$   
}  
 $r = r + 1;$ 
```

# Merging Two Sorted Arrays

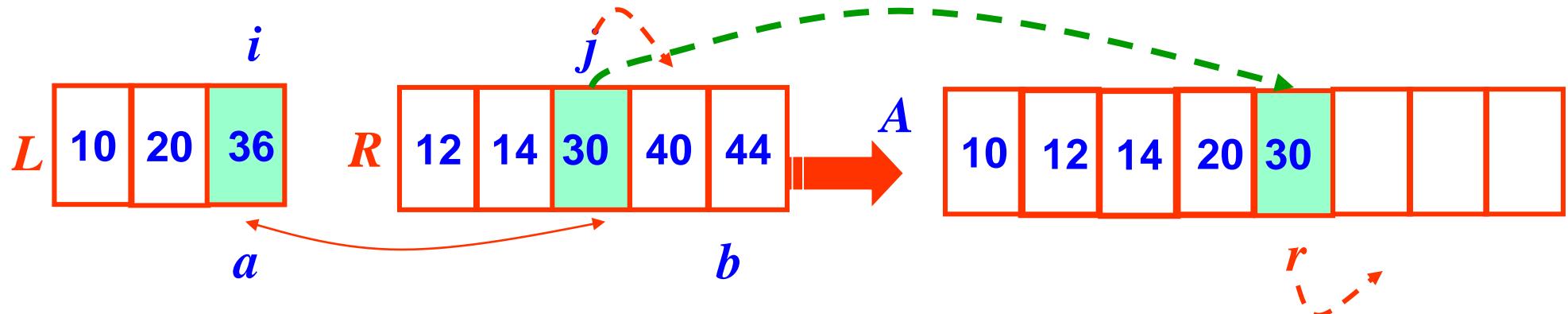
We move to the next item in the second array



✓ copy smaller value to  $A$

```
if ( $L[i] \leq R[j]$ ) {  
     $A[r] = L[i];$   
     $i = i + 1;$   
}  
else {  
     $A[r] = R[j];$   
     $j = j + 1;$   
}  
 $r = r + 1;$ 
```

# Merging Two Sorted Arrays



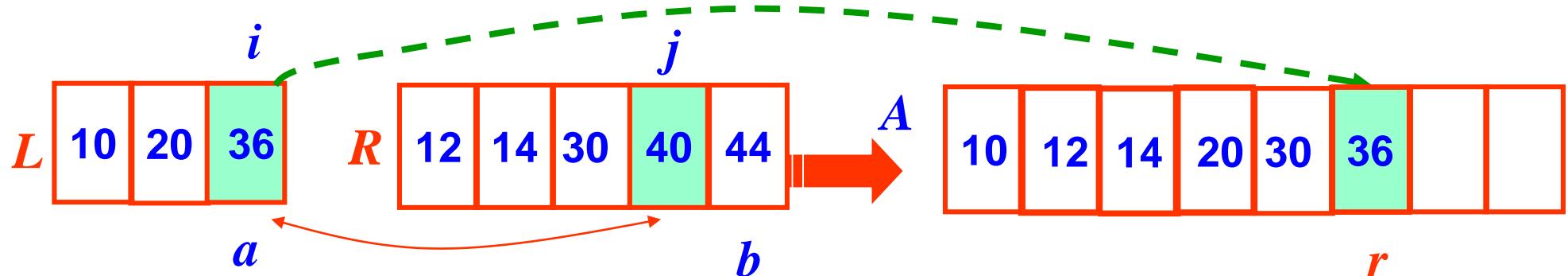
✓ We continue as long as  $i \leq a$  and  $j \leq b$

```
if (L[i] ≤ R[j]) {  
    A[r] = L[i];  
    i = i + 1;  
}  
else {  
    A[r] = R[j];  
    j = j + 1;  
}  
r = r + 1;
```

```
while (i ≤ a and j ≤ b) {  
}
```

✓ copy smaller value to  $A$

# Merging Two Sorted Arrays



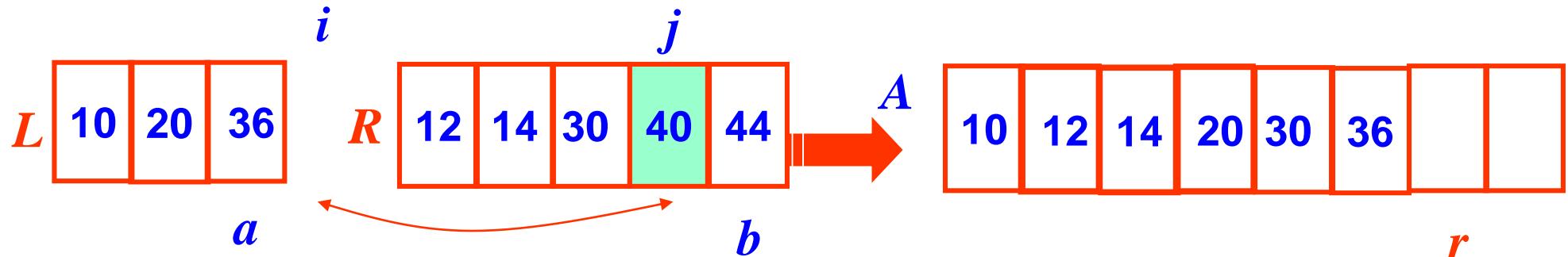
✓ We continue as long as  $i \leq a$  and  $j \leq b$

```
while (i ≤ a and j ≤ b) {
```

```
    if (L[i] ≤ R[j]) {
        A[r] = L[i];
        i = i + 1;
    }
    else {
        A[r] = R[j];
        j = j + 1;
    }
    r = r + 1;
```

✓ copy smaller value to  $A$

# Merging Two Sorted Arrays



✓ We continue as long as  $i \leq a$  and  $j \leq b$

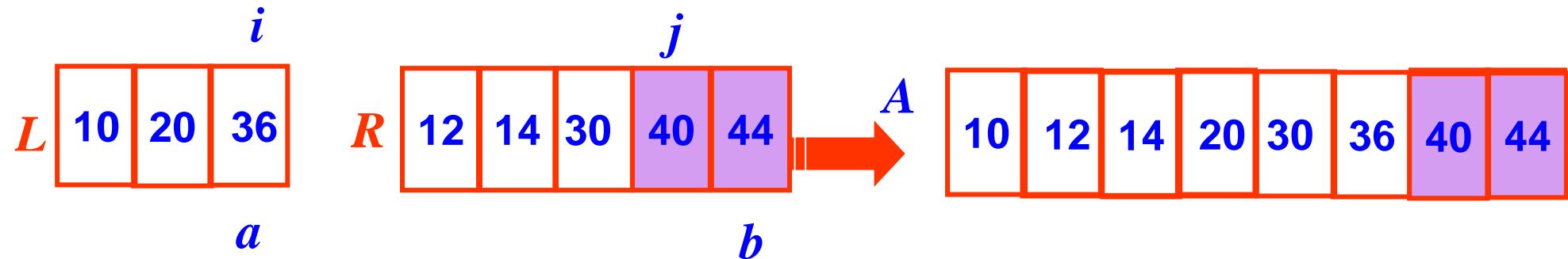
✓ copy smaller value to  $A$

```
if (L[i] ≤ R[j]) {  
    A[r] = L[i];  
    i = i + 1;  
}  
else {  
    A[r] = R[j];  
    j = j + 1;  
}  
r = r + 1;
```

```
while (i ≤ a and j ≤ b) {  
}
```

# Merging Two Sorted Arrays

Copy the remainder



- ✓ all of the data from the first array have been copied to the output array; we conclude by **copying the remainder of the second array to the output array**
- ✓ What is the condition:  $i > a$  or  $j > b$

✓ copy the remainder to  $A$

```
while (j ≤ b) {  
    A[r] = R[j];  
    j = j + 1;  
    r = r + 1;  
}
```

## ***Summary: Algorithm Merge***

- Given an array  $A[p..n]$ .
- Divide and copied into two subarrays  $L[1..a] = A[p..q]$  and  $R[1..b] = A[q+1..n]$ .
- Each sorted in non-decreasing order.
- These two non-decreasing subarrays are merged into a single sorted array that replaces  $A[p..n]$ .

# *Put all together: Algorithm Merge*

```
merge (A,p,q,n) {  
    a = q - p + 1 // number of elements in L subarray  
    b = n - q      // number of elements in R subarray  
  
    // Copy subarray A[p..q] to L and A[q+1..n] to R  
    for (k = 1 to a)  
        L[k] = A[p + k - 1]  
    for (k = 1 to b)  
        R[k] = A[q + k]  
  
    i = 1  
    j = 1  
    r = p
```

# *... Algorithm Merge*

```
while (i ≤ a and j ≤ b) {  
    // copy smaller value to A  
    if (L[i] ≤ R[j]) {  
        A[r] = L[i];  
        i = i + 1;  
    }  
    else {  
        A[r] = R[j];  
        j = j + 1;  
    }  
    r = r +1;  
}  
  
// copy the remainder
```

# *... Algorithm Merge*

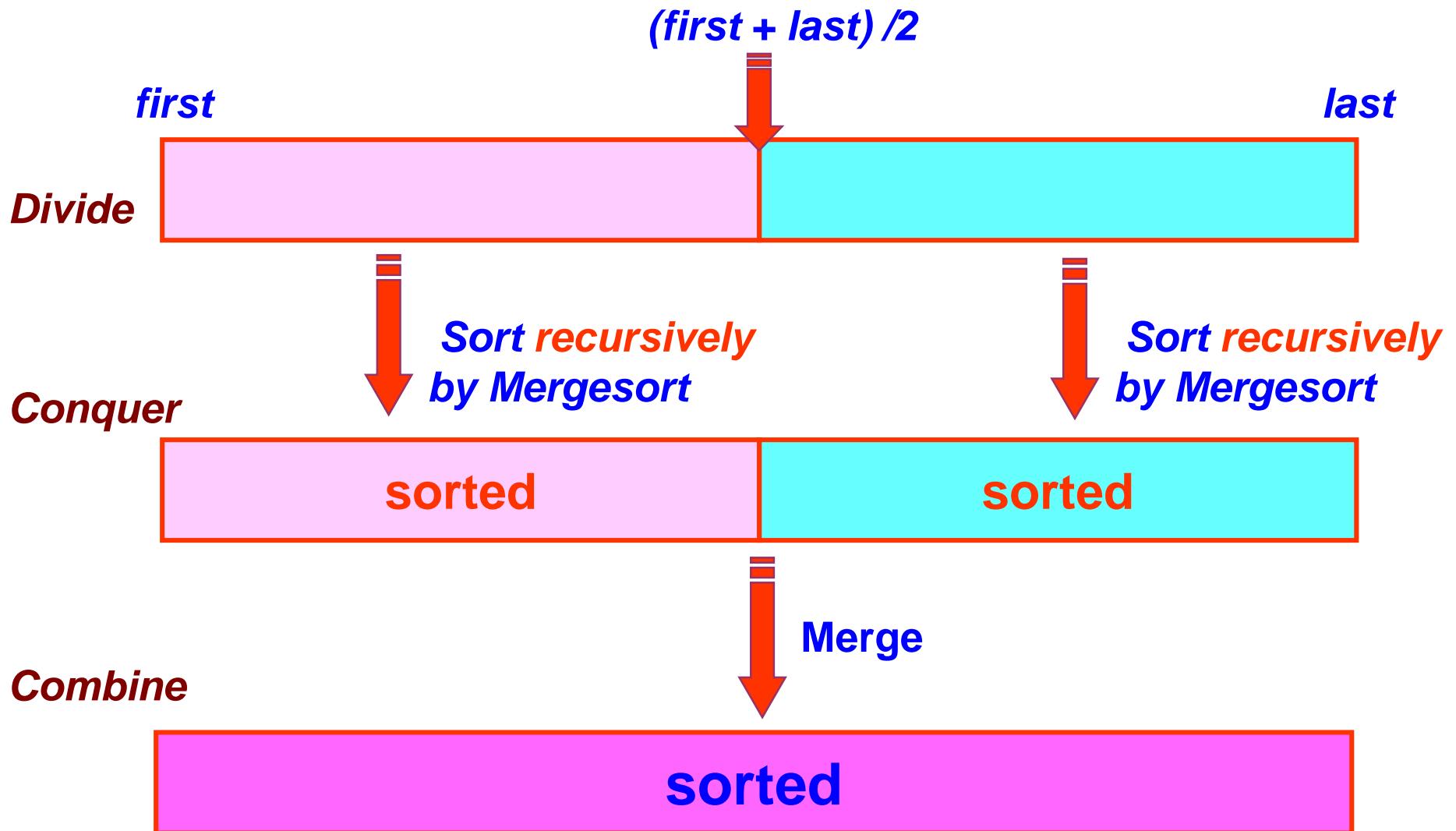
```
...
// copy remainder, if any, of first sub-array to A
while (i ≤ a) {
    A[r] = L[i]
    i = i + 1
    r = r + 1
}
// copy remainder, if any, of second sub-array to A
while (j ≤ b) {
    A[r] = R[j]
    j = j + 1
    r = r + 1
}
}
```

# Mergesort

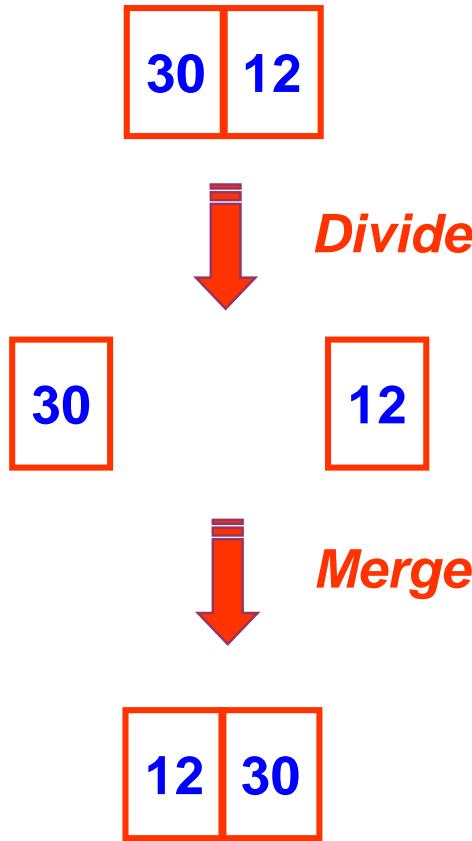
## ❑ Mergesort : Divide and Conquer paradigm

- If the array has single element, stop
- Divide the array to be sorted into two nearly equal parts.
- Conquer: Each part is then sorted using mergesort.
- The two sorted subarrays are then merged into one sorted array

# Mergesort



# Mergesort : Example

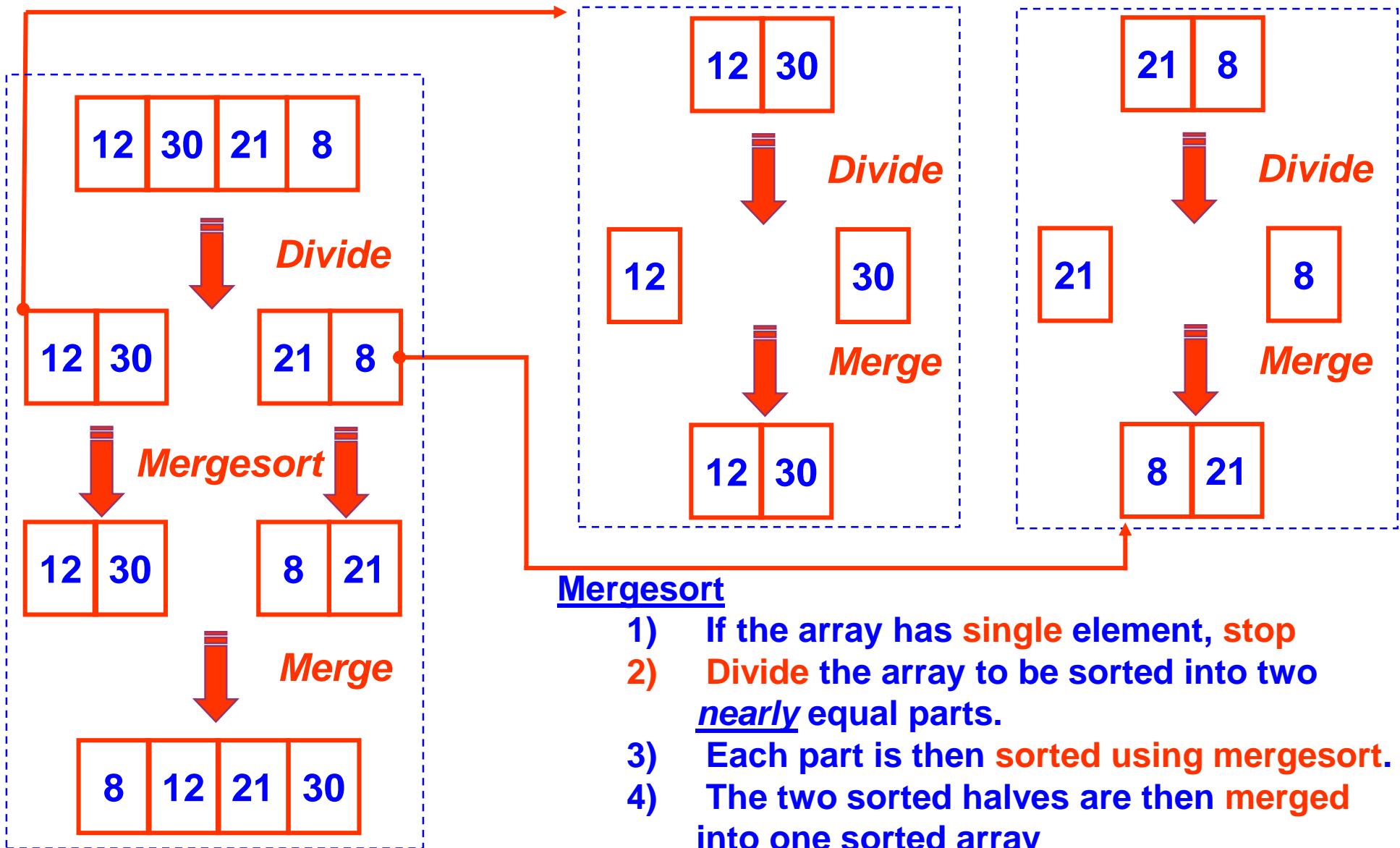


*Sort each part recursively by Mergesort*

## Mergesort

- 1) If the array has **single element**, stop
- 2) **Divide the array to be sorted into two nearly equal parts.**
- 3) Each part is then **sorted using mergesort**.
- 4) The two sorted halves are then **merged into one sorted array**

# Mergesort : Example

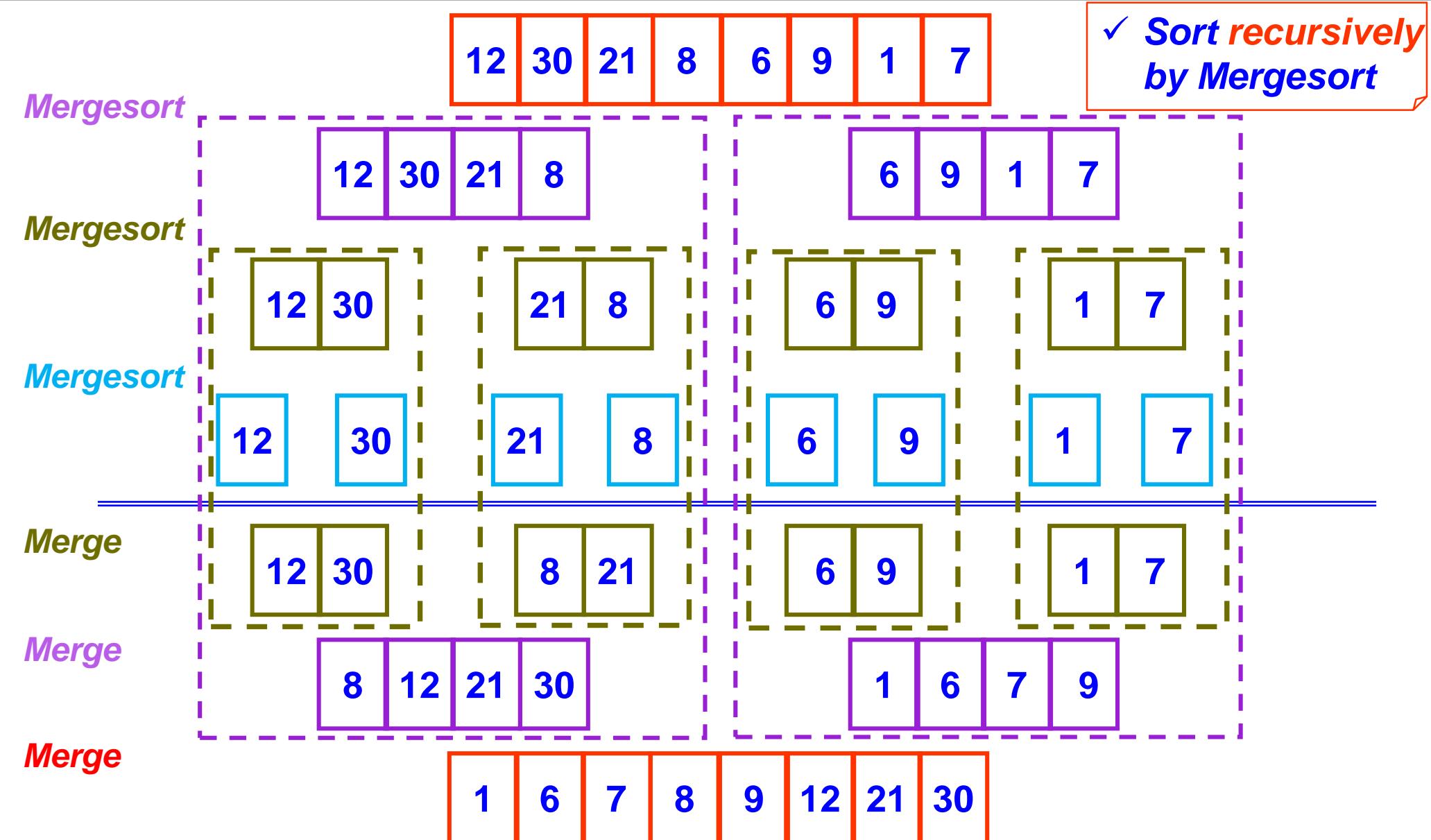


# *Algorithm Mergesort*

This algorithm sorts the array  $A[i], \dots, A[j]$  in nondecreasing order. It uses the merge algorithm

```
mergesort (A,i,j) {
    // if only one element, just return
    if (i == j)
        return
    // divide A into two nearly equal parts
    m = (i + j)/2
    // mergesort each half - recursive calls
    mergesort(A,i,m)
    mergesort(A,m + 1,j)
    // merge the two sorted halves
    merge(A,i,m,j)
}
```

# Mergesort : Example



# Mergesort: Complexity

- Let  $T(n)$  be the number of operations needed for an input array of size  $n$ .
- Divide into 2 subarrays of about size  $n/2$ . Recursively apply mergesort on each. Merge the two sorted subarrays.
- Each subarray takes  $T(n/2)$  operations.
- Merge:  $\Theta(n)$  operations
- $T(n) = 2 T(n/2) + \Theta(n)$
- Exercise: show that  $T(n) = \Theta(n \log n)$

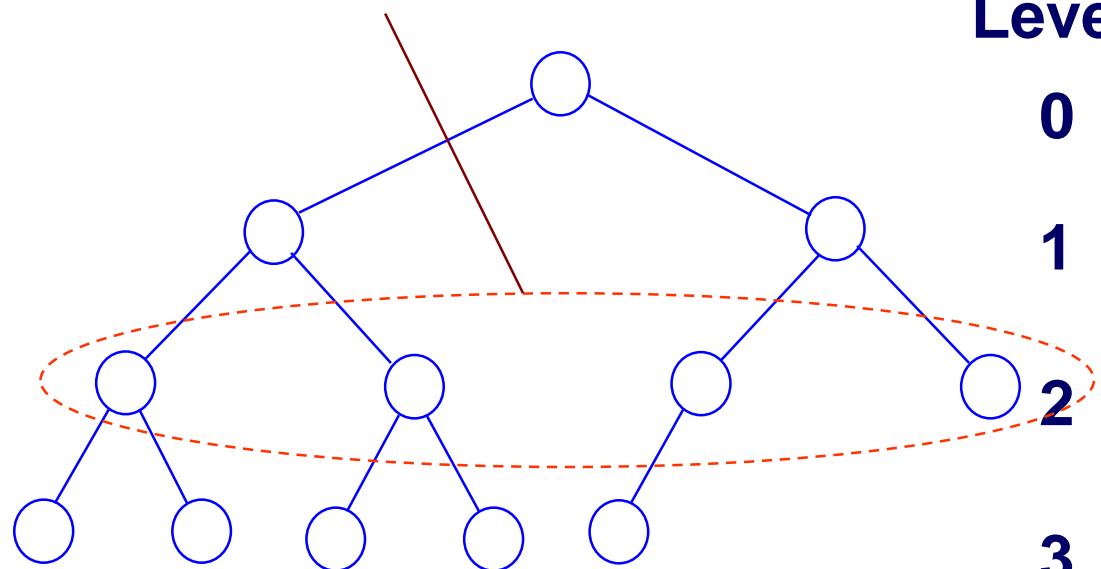
# *Learning Takeaway*

- **Divide and Conquer makes problems easier!**
  - keep dividing till you reach a very simple problem
  - need to find a way to combine the solutions of the sub-problems together
  
- **Can often be used with recursion**
  - allows code reuse
  - makes coding very simple

# Heaps and Heapsort

# Binary Heap: Example

Level  $i$  has  $2^i$  nodes



Level

0

1

2

3

- ✓ All levels, except the last level, i.e. level 3, have as many nodes as possible.
- ✓ On the last level, there is at most one node with one child, which must be a left child
- ✓ No vacancies at levels 0 to h-1

- ✓ Levels 0 (the root), 1, and 2 (the next-to-last level) have as many nodes as possible.
- ✓ On level 3 (the last level), there is at most one node with no sibling, which must be a left child --- also called **left-complete** binary tree

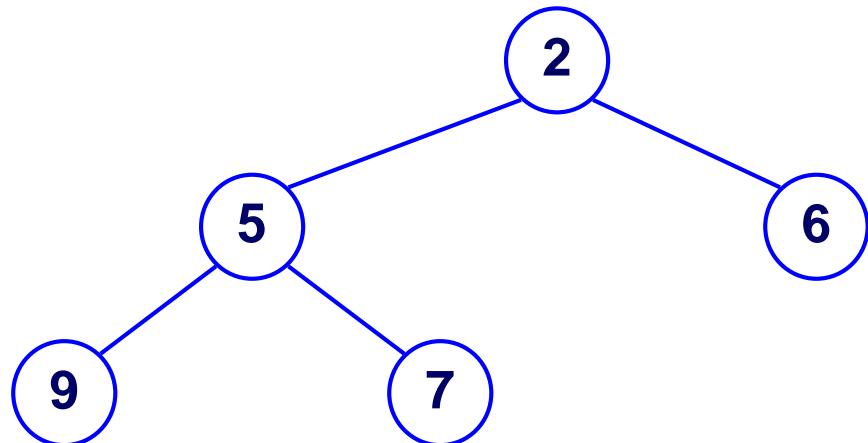
# *Defining a heap structure*

- A *heap structure* is a binary tree in which all levels, except possibly the last (bottom) level, have as many nodes as possible. On the last level, all of the leaves are at the left.
  - *This is a Heap Structural Property*

- ✓ A heap must be a nearly complete binary tree.
- ✓ levels  $0, 1, 2, \dots, h-1$  (except the last level) have the maximum number of the nodes possible (i.e., level  $i$  has  $2^i$  node for  $0 \leq i \leq h-1$ )
- ✓ The lowest level is filled from the left up to a point

# A binary minheap: Definition

- A binary **minheap** is a heap structure in which values are assigned to the nodes so that the value of each node is less than or equal to the values of its children (if any).
  - *This is a Heap Order Property*

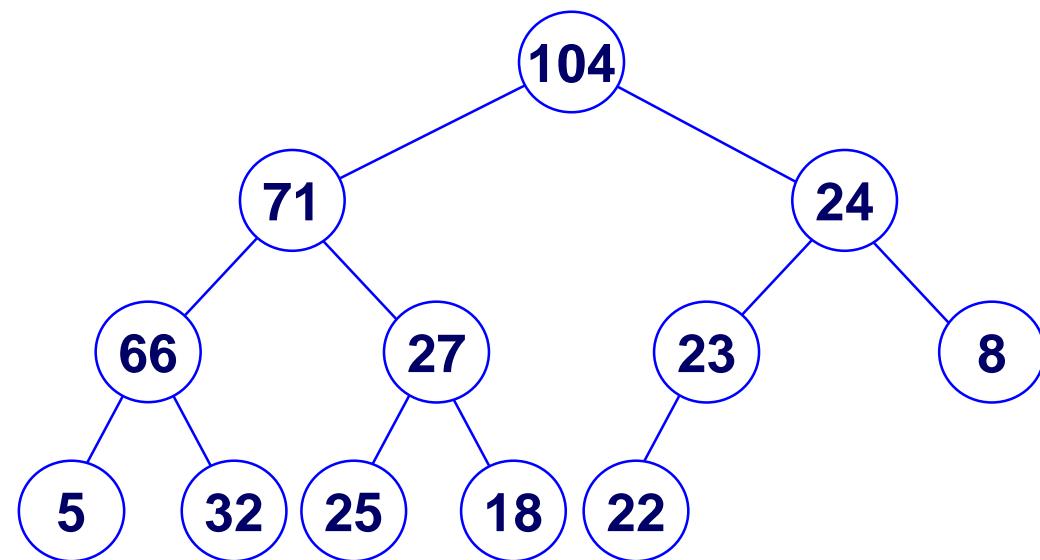


Minheap property:  
value of each node  $\leq$  value of its children

✓ A minheap must maintain two properties:  
structural and order property

# *A binary maxheap: Definition*

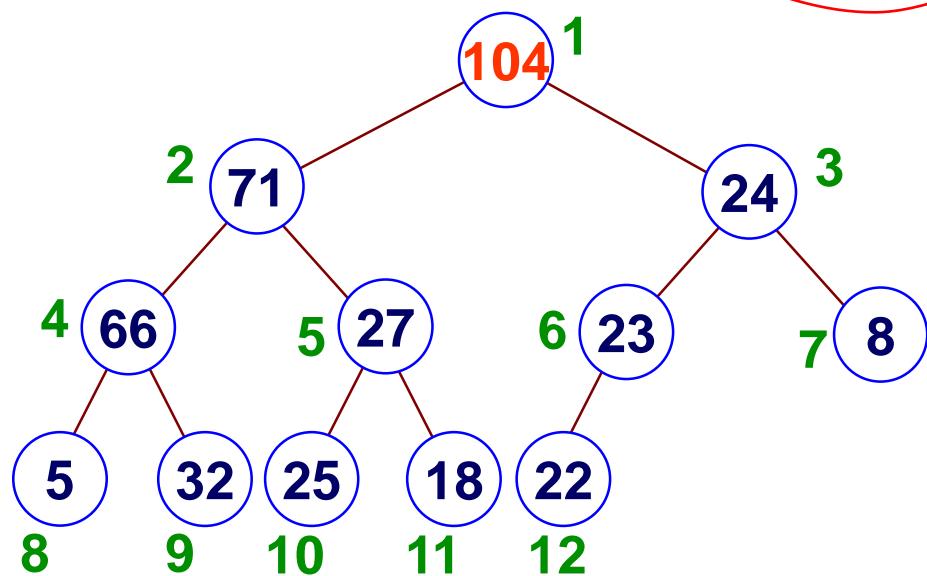
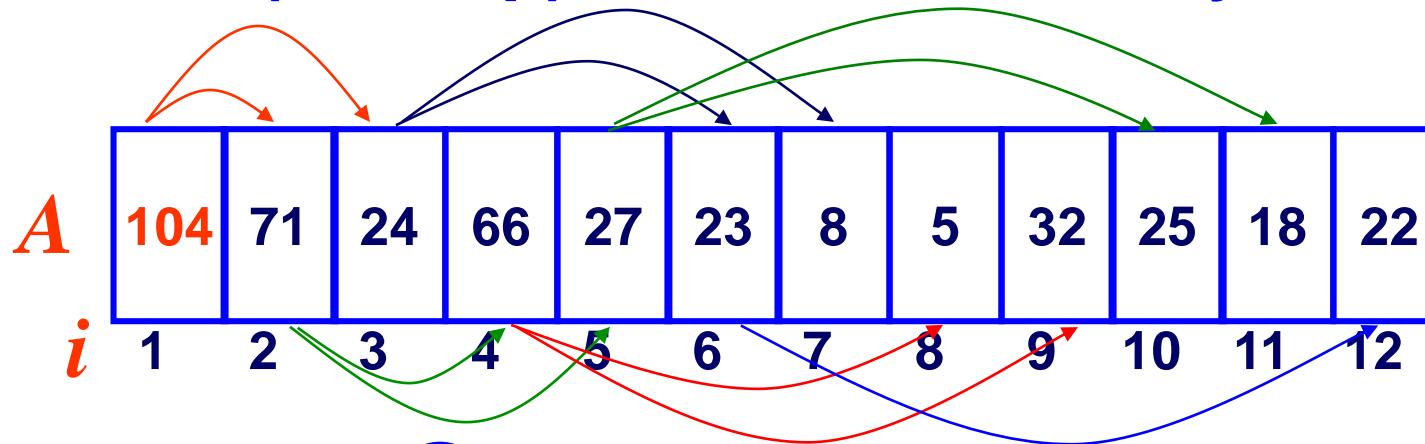
- A binary **maxheap** is a heap structure in which values are assigned to the nodes so that the value of each node is greater than or equal to the values of its children (if any)



**Maxheap property:**  
value of each node  $\geq$  value of its children

# Representing a heap using an array

- To represent a heap, we store the value in node number  $i$  (of heap) in cell  $i$  of an array



```
parent(i) {  
    return [i/2]  
}  
  
left(i) {  
    return 2*i  
}  
  
right(i) {  
    return 2*i + 1  
}
```

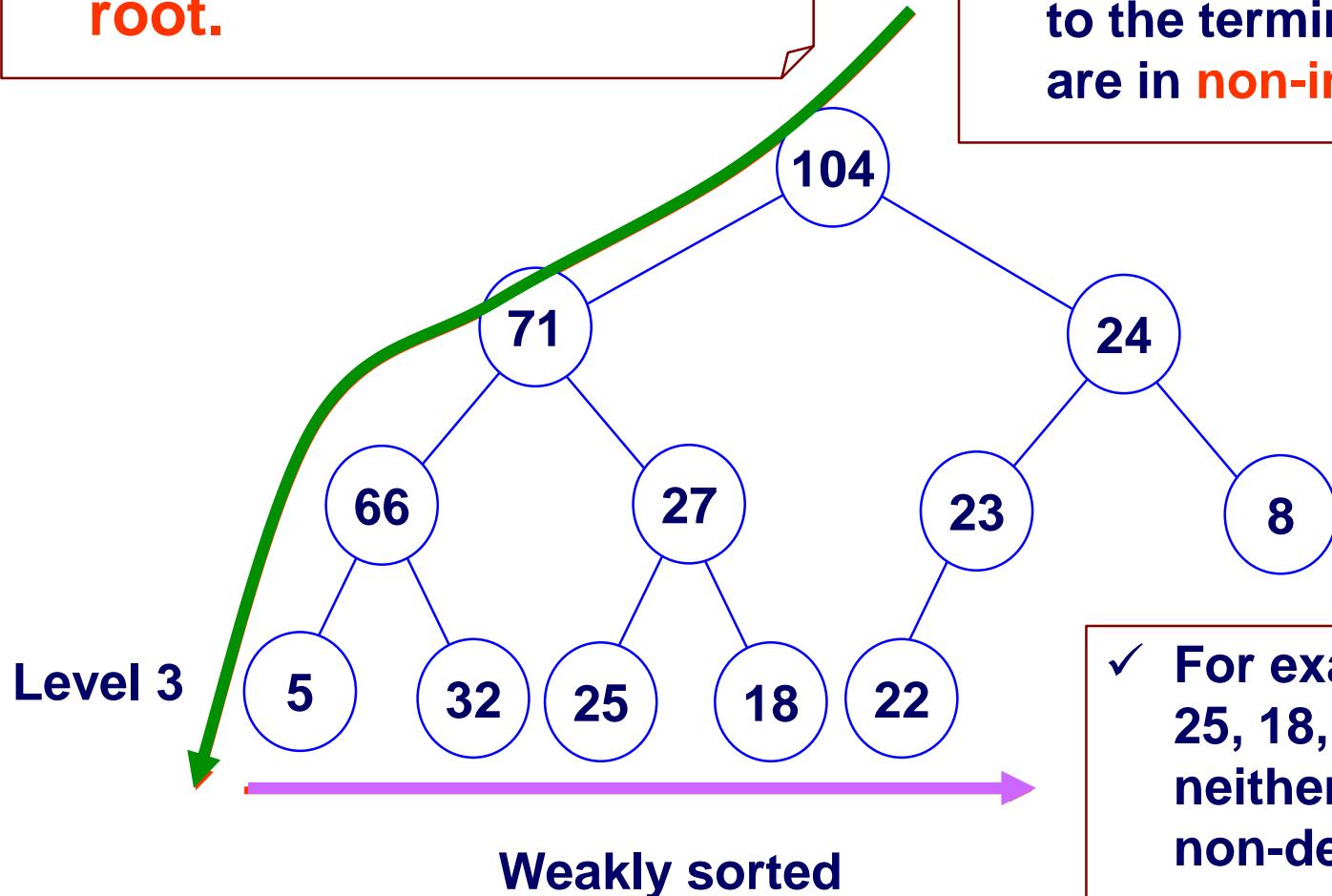
A.last :  
number of elements in the array

A.heapsize :  
number of elements in heap stored in array A

# **Maxheap is “weakly sorted”**

✓ In a maxheap, the maximum value is at the root.

✓ For example, the values 104, 71, 66, 5, along the path from the root to the terminal node with value 5, are in non-increasing order.



✓ For example, the values 5, 32, 25, 18, 22 on level 3 are in neither non-increasing nor non-decreasing order.

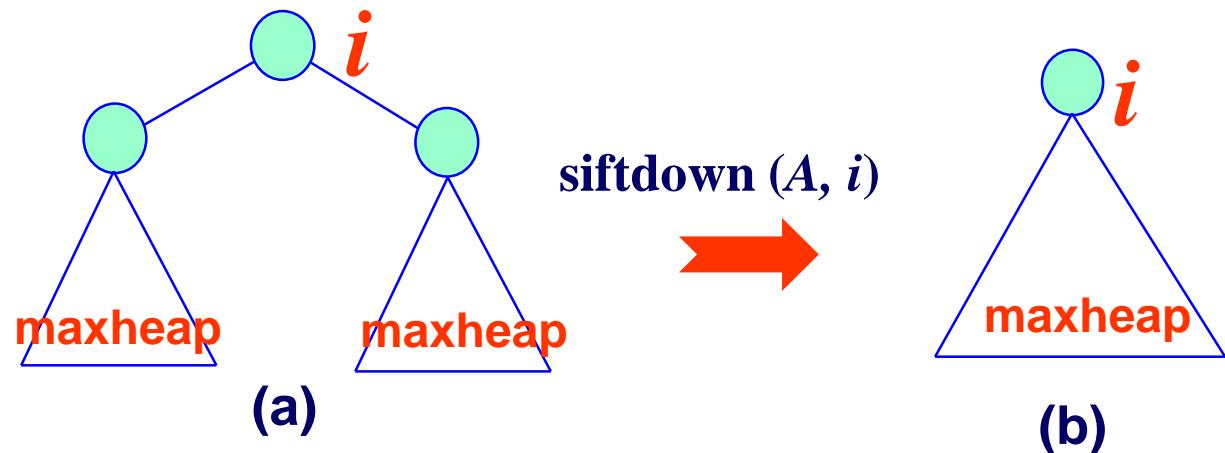
## **“Weakly sorted”**

- A maxheap is “weakly sorted” in the sense that the values along a path from the root to a terminal node are in non-increasing order.
- At the same time, the values along a *level* are, in general, in no particular order

# Maintaining a heap: *siftdown*

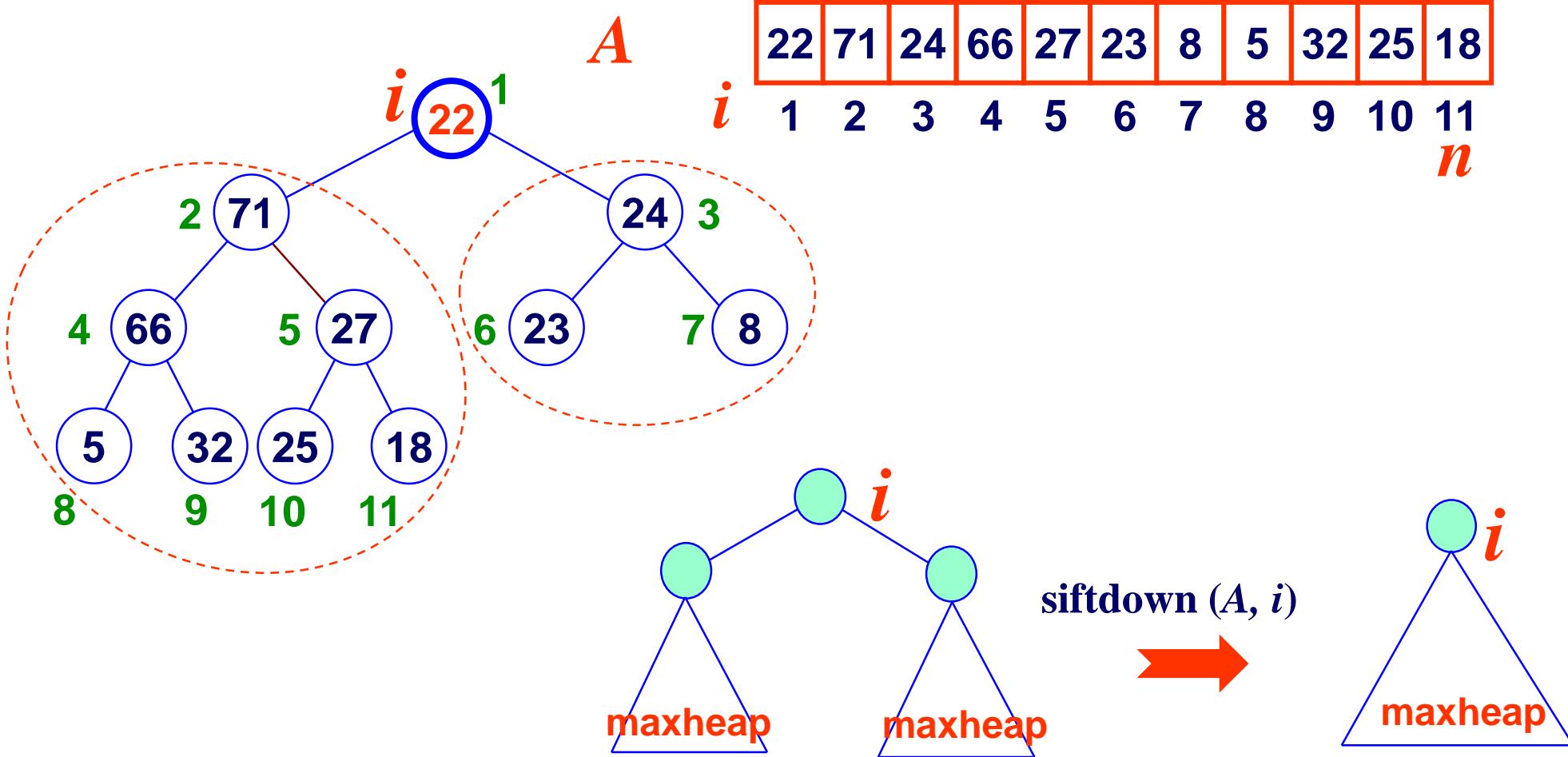
## □ Assume:

- A is an array  $[1..n]$  representing a heap structure.
- But the order property does not hold at node  $i$ , i.e.,  $A[i]$  might be smaller than its children.
- For node  $i$ , the left subtree and right subtree are maxheaps.

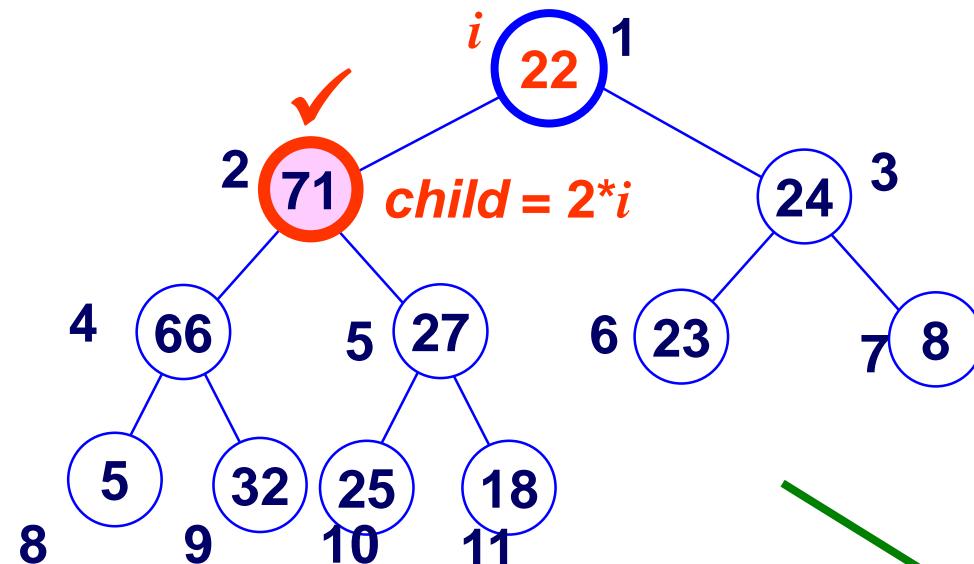


# Algorithm siftdown: Example

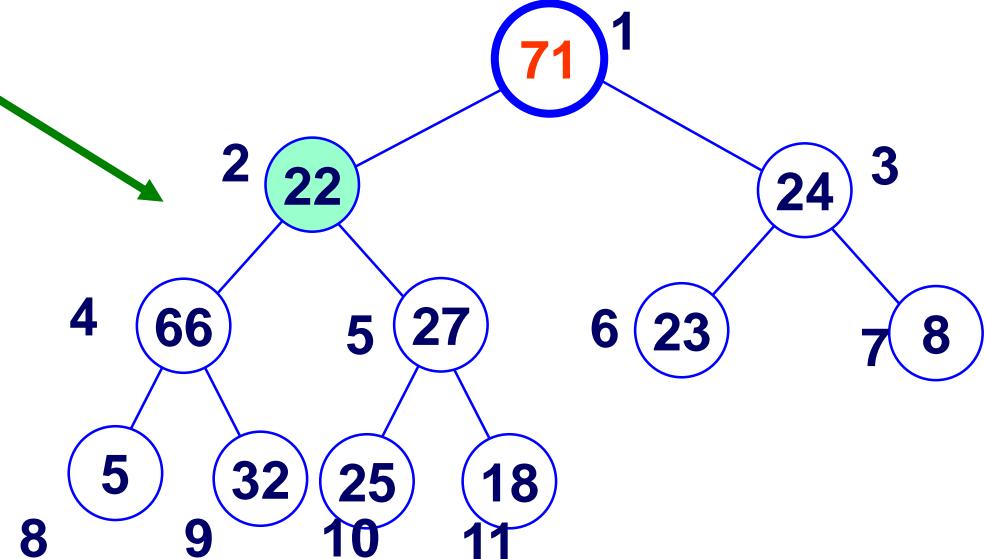
□ Idea: repeatedly swap a value with its larger child.



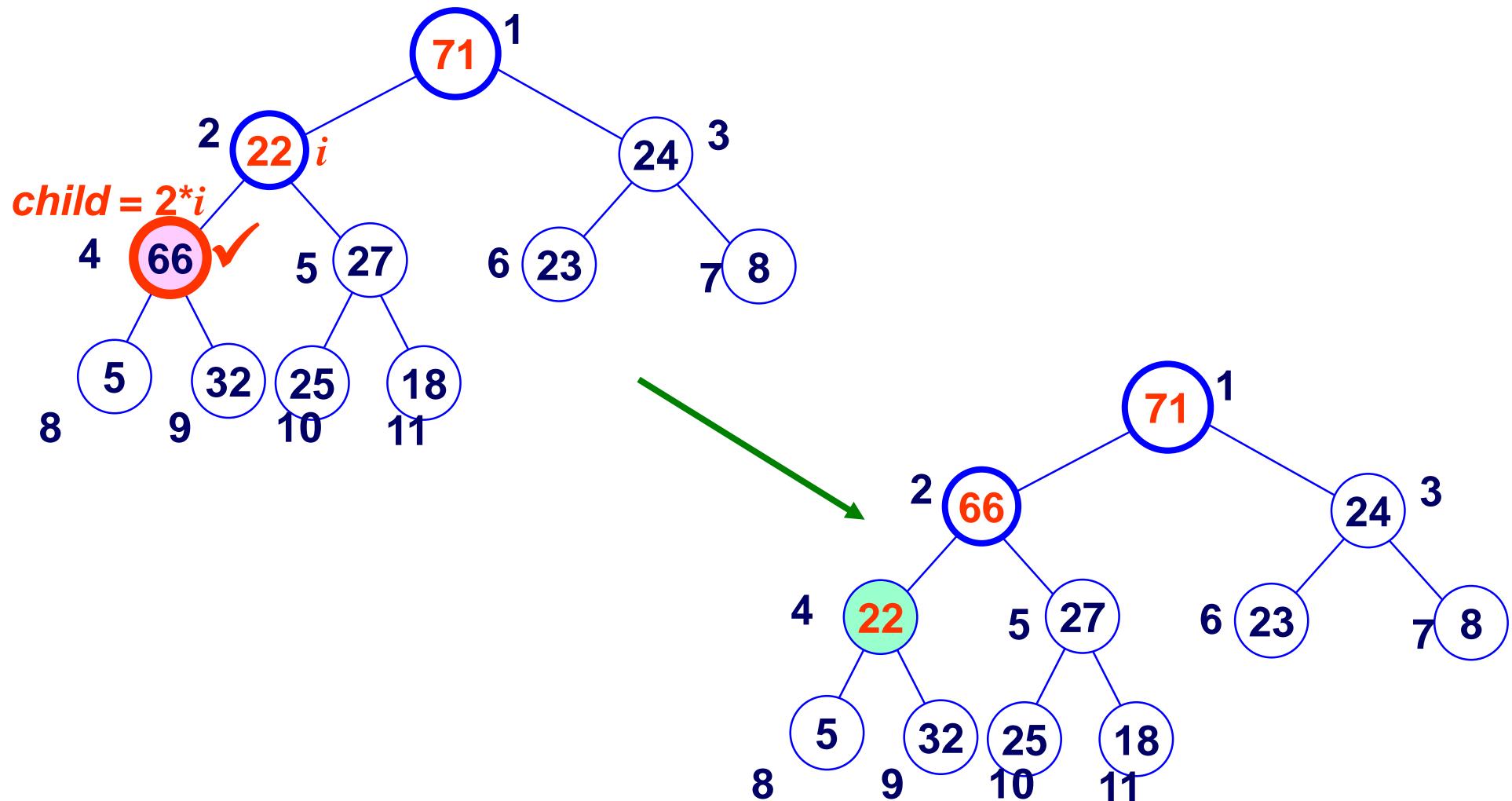
# Repeatedly Swapping (Siftdown)



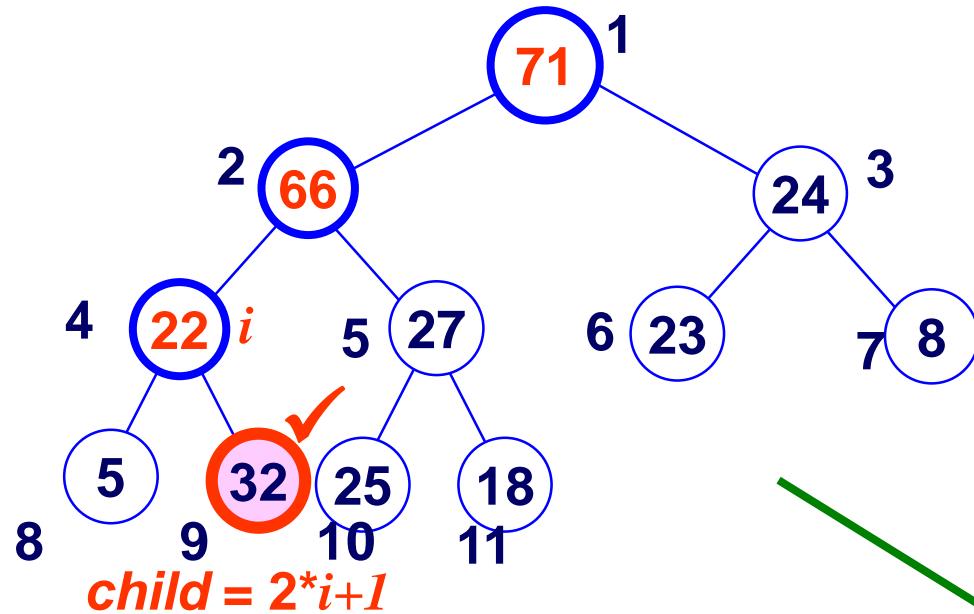
- 1. Find larger child
- 2. Swap



# Repeatedly Swapping (Siftdown)

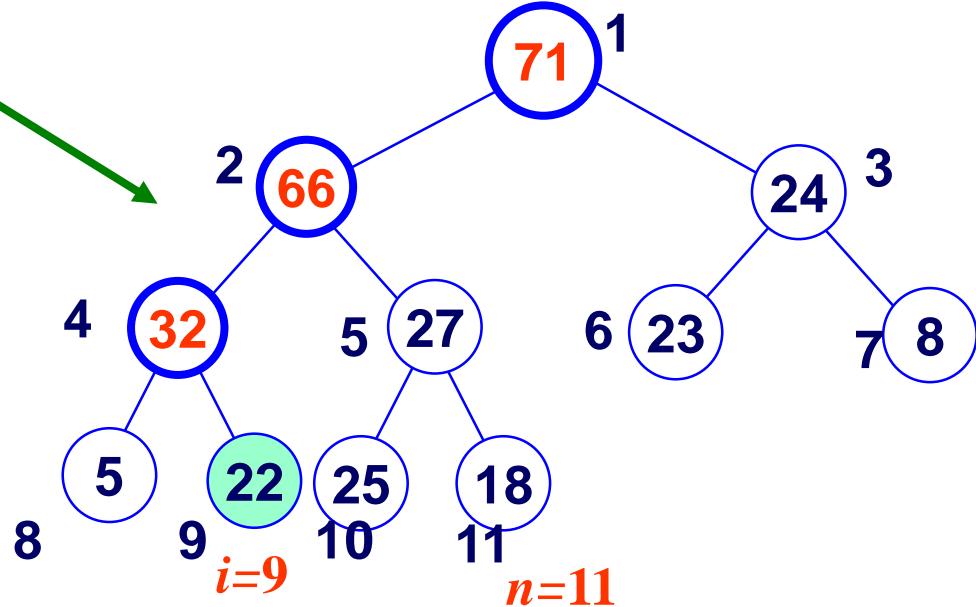


# Repeatedly Swapping (Siftdown)



When swapping repeat ends?

- 1) Node has no child ( $2^*i > n$ )
- 2) Node is already larger than children



# Siftdown : Recursive Implementation

```
siftdown(A, i) {  
    n = A.heapsize  
    largest = i  
    left = 2 * i  
    // 2 * i ≤ n tests for a left child  
    if (left ≤ n && A[left] > A[i]) {  
        largest = left  
    }  
    right = 2 * i + 1  
    // tests for a right child  
    // if right child has larger value, update largest  
    if (right ≤ n && A[right] > A[largest]) {  
        largest = right  
    }  
    if (largest ≠ i) {  
        swap(A, i, largest)  
        siftdown(A, largest) // recursively perform siftdown  
    }  
}
```

# Siftdown : Another Implementation

```
siftdown(A, i) {  
    n = A.heapsize  
    //  $2 * i \leq n$  tests for a left child  
    while ( $2 * i \leq n$ ) {  
        child =  $2 * i$   
        // if there is a right child and it is  
        // bigger than the left child, update child  
        if (child < n && A[child + 1] > A[child]) {  
            child = child + 1  
        }  
        // need to swap?  
        if (A[child] > A[i]) {  
            swap(A, i, child);  
        } else { // done, exit  
            break // if node is already larger, exit while loop  
        }  
        i = child  
    }  
}
```

✓ As long as a node has the child, repeat ...

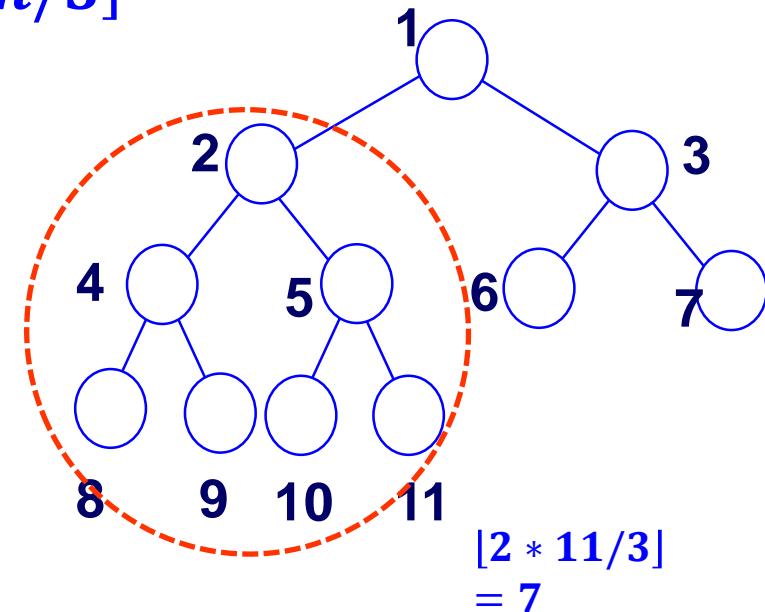
✓ child always refers to the larger child

✓ Swapping

✓ Consider next

# Siftdown : Complexity

- Suppose the subtree at node  $i$  has  $n$  nodes.
- Takes  $\Theta(1)$  time to determine which of  $i$ ,  $left(i)$  and  $right(i)$  is largest, and perform swapping.
- Call siftdown on one of the children's subtree.
- Worst case: bottom level of tree is exactly half full, i.e., the two children's subtrees differ most in number of nodes.
- Size of child subtree in worst case:  $\lfloor 2n/3 \rfloor$
- $T(n) \leq T\left(\frac{2n}{3}\right) + \Theta(1)$
- Exercise: show that  $T(n) = O(\log n)$



# Siftdown : Complexity

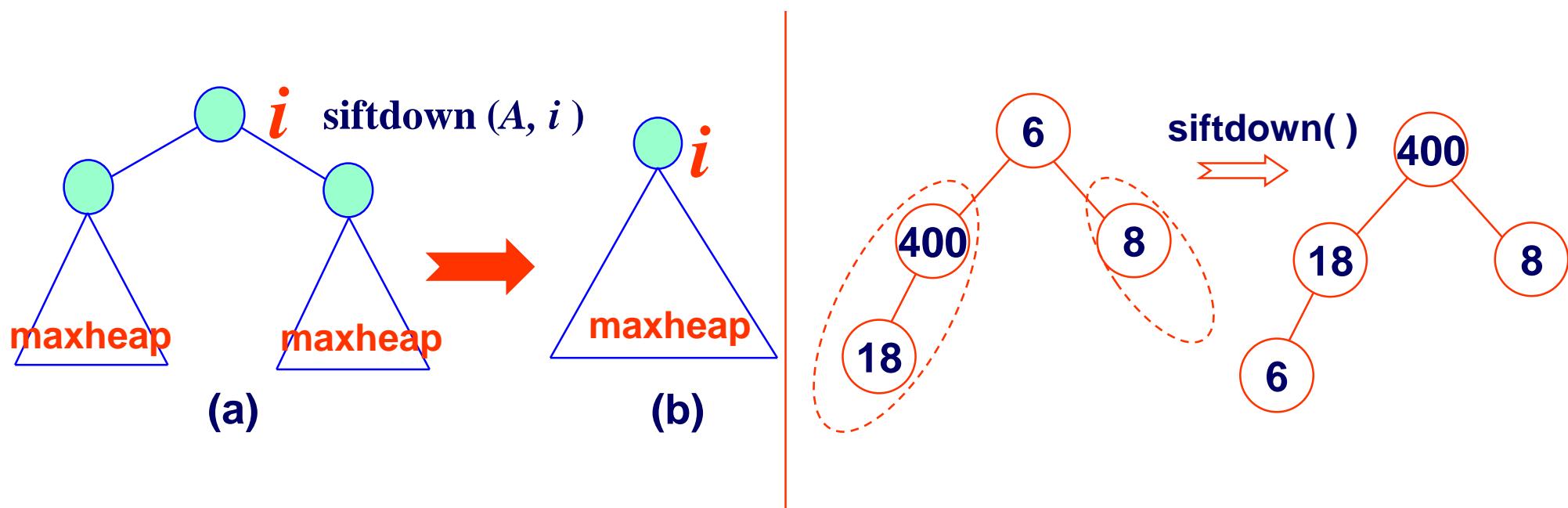
```
siftdown(A, i) {  
    n = A.heapsize  
    largest = i  
    left = 2 * i  
    //  $2 * i \leq n$  tests for a left child  
    if (left <= n && A[left] > A[i]) {  
        largest = left  
    }  
    right = 2 * i + 1  
    // tests for a right child  
    // if right child has larger value, update largest  
    if (right <= n && A[right] > A[largest]) {  
        largest = right  
    }  
    if (largest != i) {  
        swap (A, i, largest)  
        siftdown(A, largest) // recursively perform siftdown  
    }  
}
```

$\Theta(1)$

$\leq T(2n/3)$

# **Summary: Algorithm Siftdown**

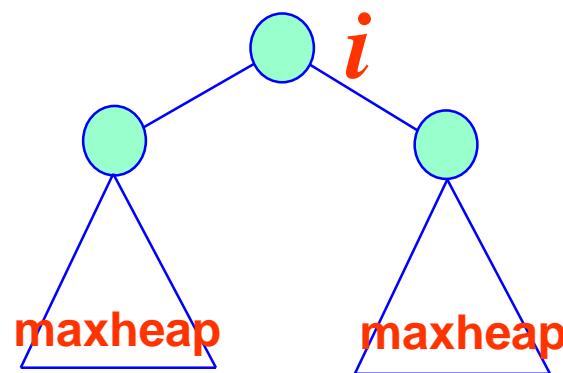
- The array  $A$  represents a heap structure indexed from 1 to  $n$ . The left and right subtrees of node  $i$  are maxheaps. After  $siftdown(A, i)$  is called, the tree rooted at  $i$  is a maxheap.



- ✓ Initially, the left and right subtrees of node  $i$  are maxheaps (a).
  - ✓ After siftdown is called, the tree rooted at  $i$  is a heap (b).

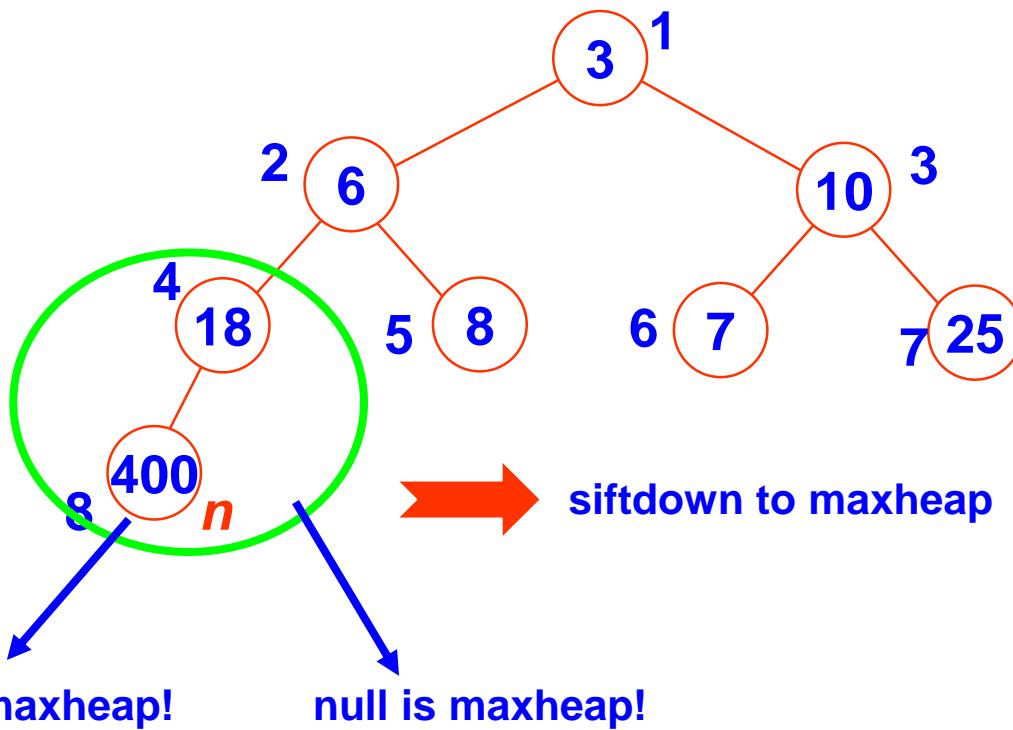
## *Making a maxheap: idea*

- Given an array, how to turn it into a maxheap?
- Idea: why not make use of siftdown?
- But siftdown only works for array that looks like



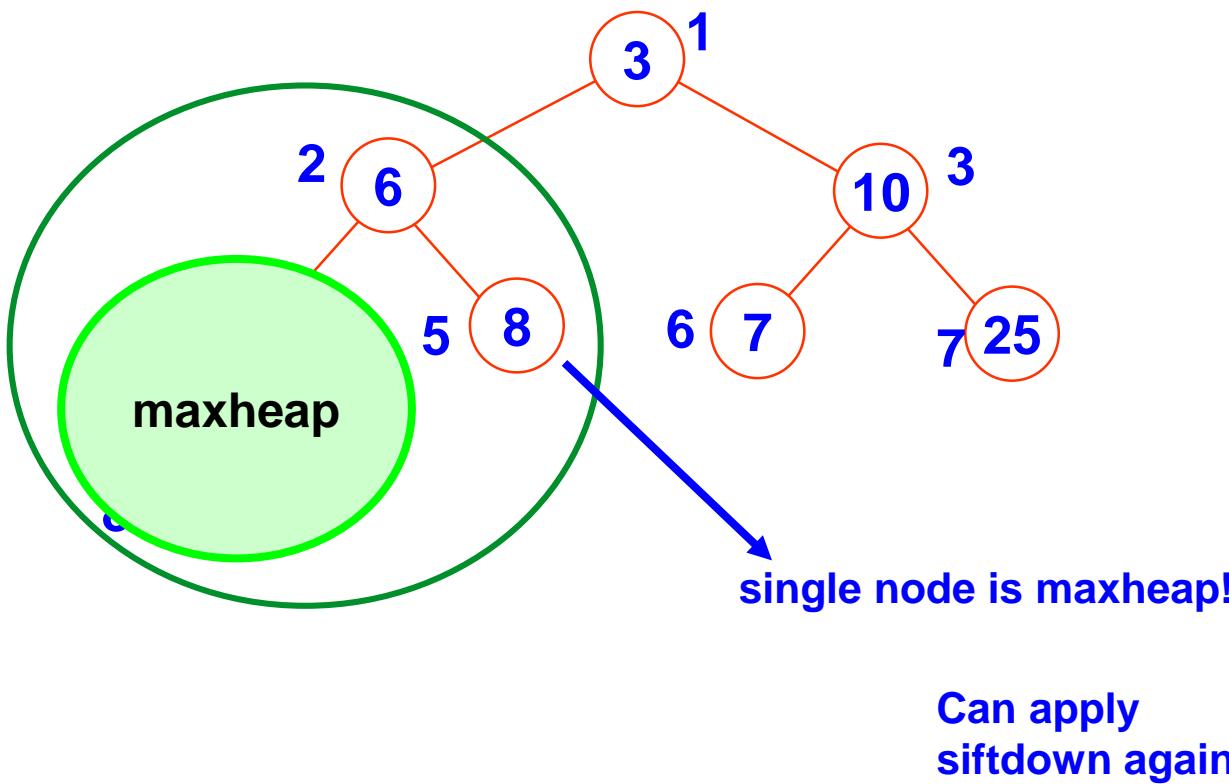
# *Making a maxheap: idea*

- Idea: apply siftdown starting near the leaves:



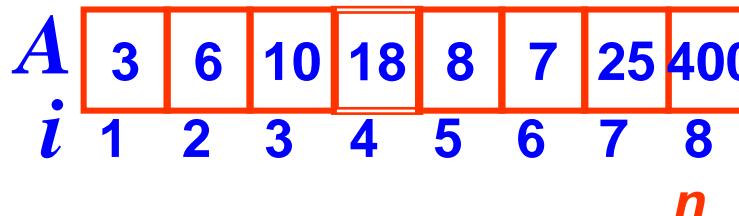
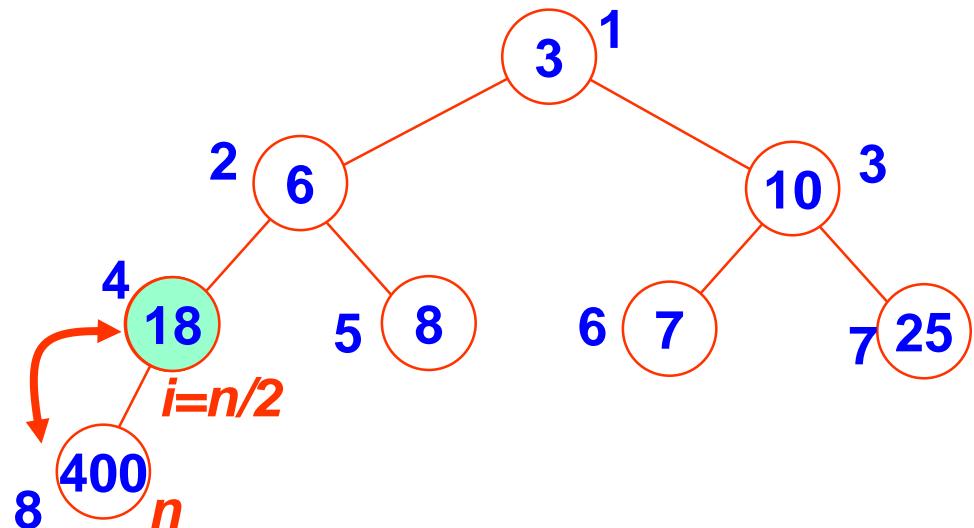
# *Making a maxheap: idea*

- Idea: apply siftdown starting near the leaves:

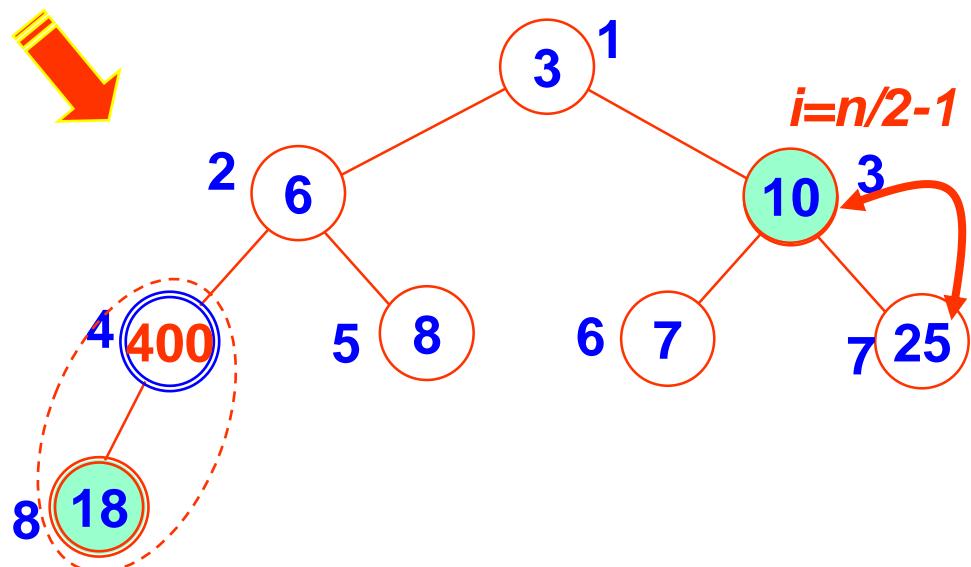


# Making a maxheap: Heapify

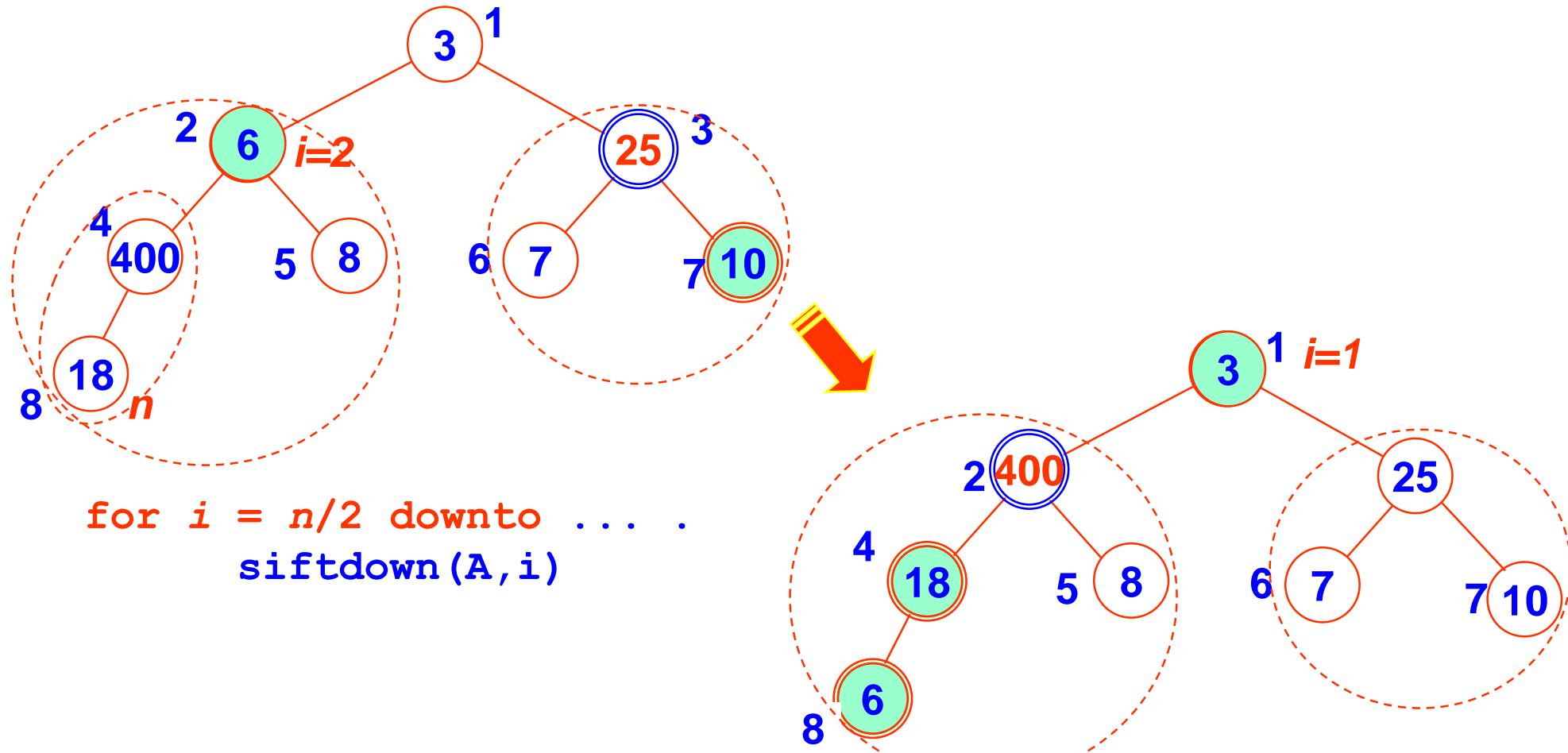
- The problem of organizing the data into a maxheap or minheap is called **heapify**



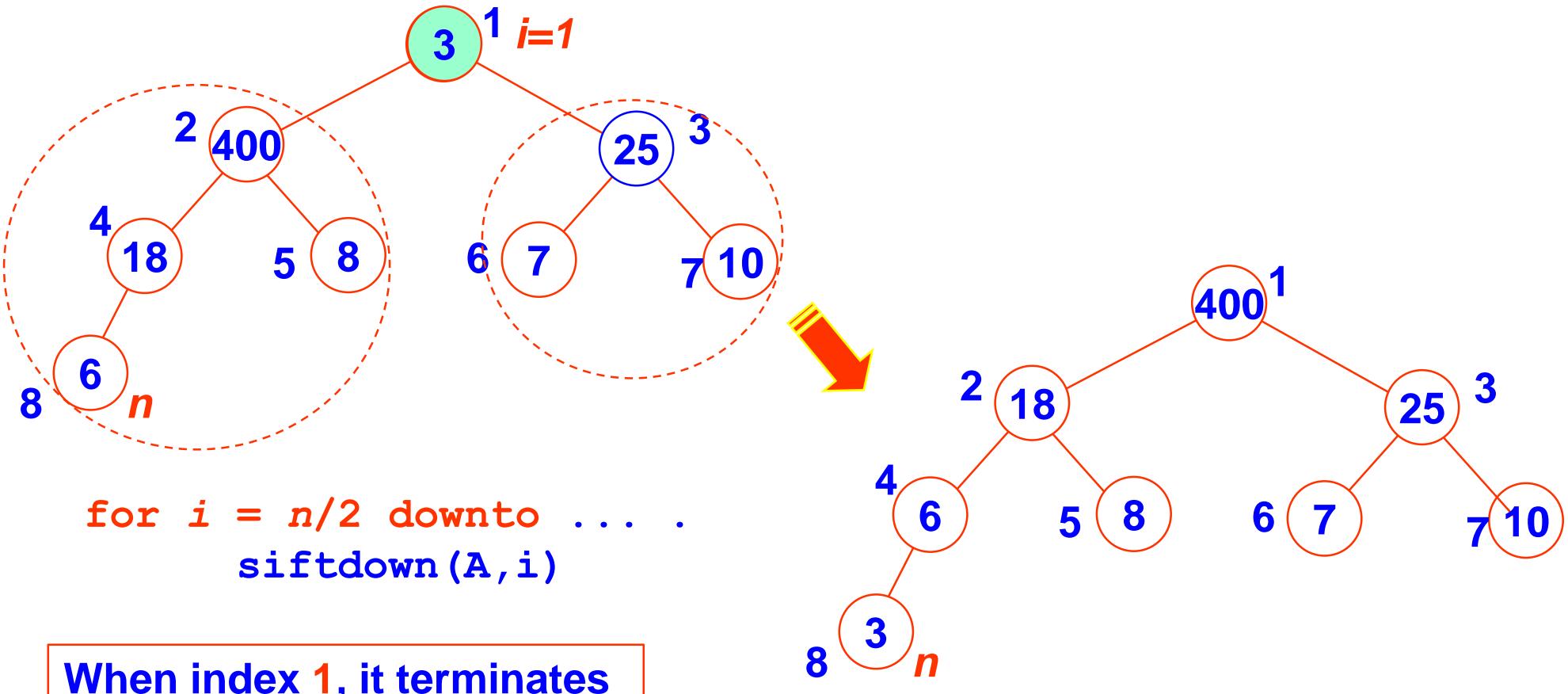
```
for i = n/2 downto 1  
    siftdown(A, i)
```



# Making a maxheap: Heapify



# Making a maxheap: Heapify



# *Summary Algorithm Heapify*

- We state the algorithm to make a maxheap/minheap as **heapify( )**.

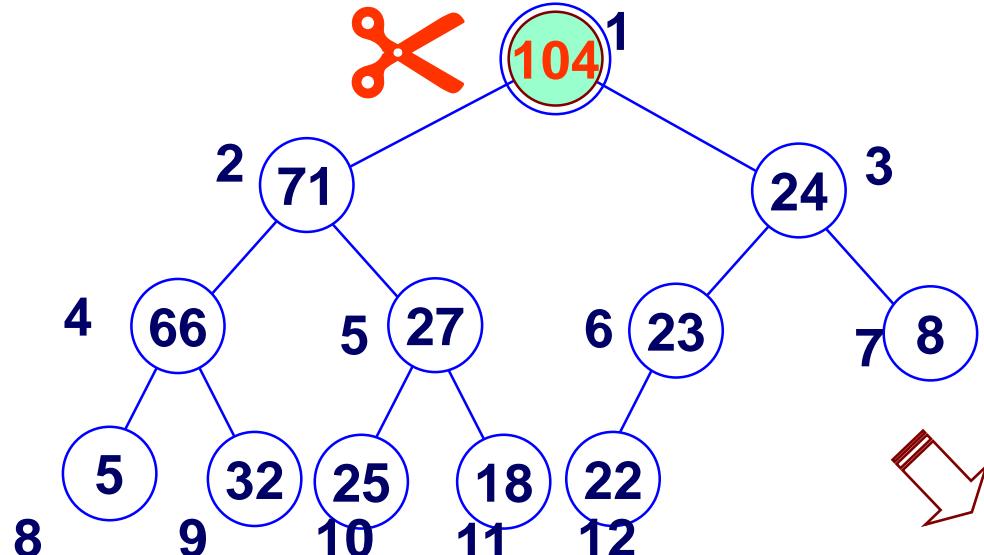
- This algorithm rearranges the data in the array **A**, indexed from **1 to n**, so that it represents a heap.

```
heapify(A) {  
    A.heapsize = A.last  
    n = A.heapsize  
    // n/2 is the index of the parent of the last node  
    for i = n/2 downto 1  
        siftdown(A, i)  
}
```

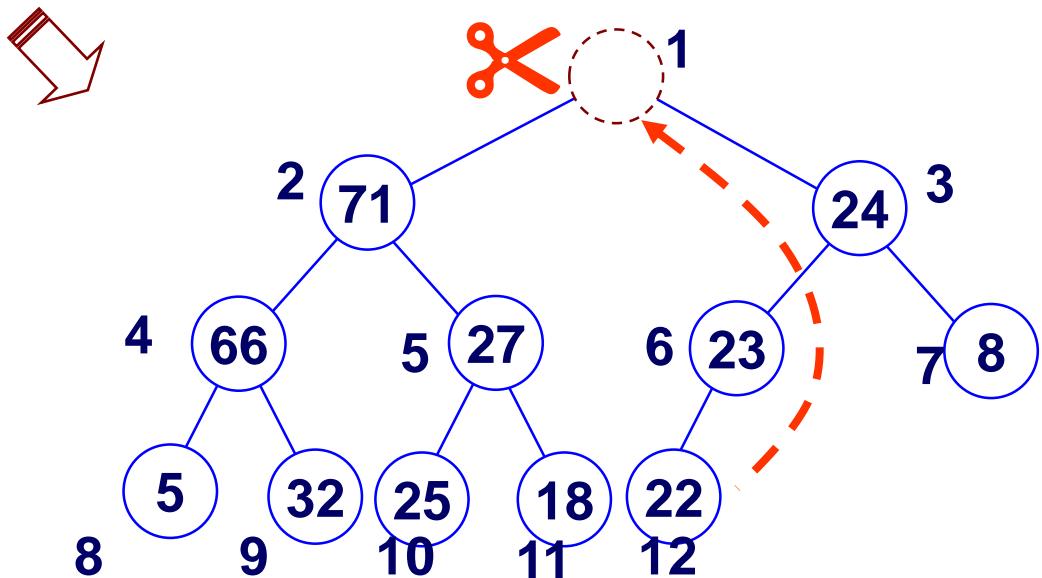
- Complexity:  $O(n \log n)$  - not tight
- A better bound can be shown:  $O(n)$

Challenge:  
Try showing this!

# *Deleting root from a maxheap: idea*

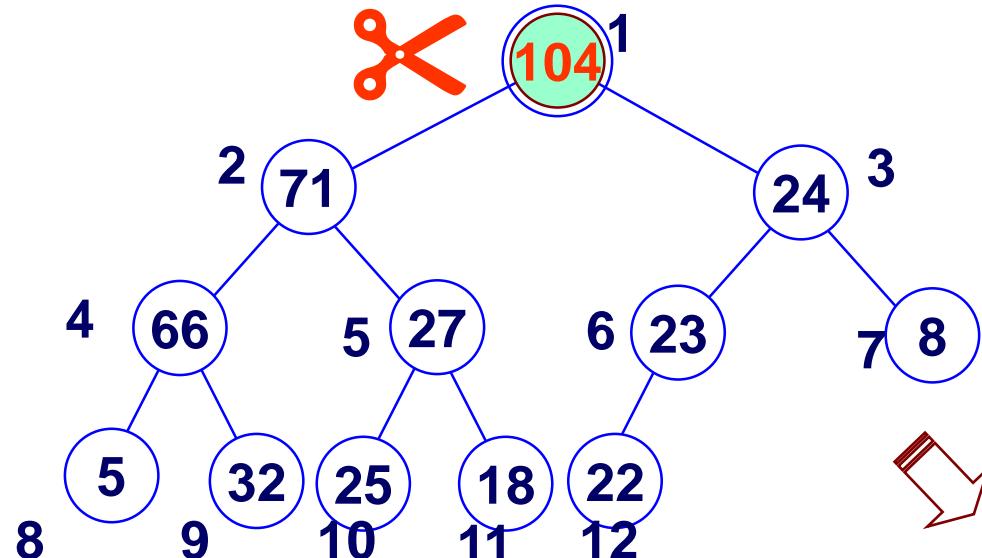


- ✓ The root that contains the largest value, 104, is to be deleted
- ✓ Idea, we move the value at the bottom level, farthest right, 22, to the root

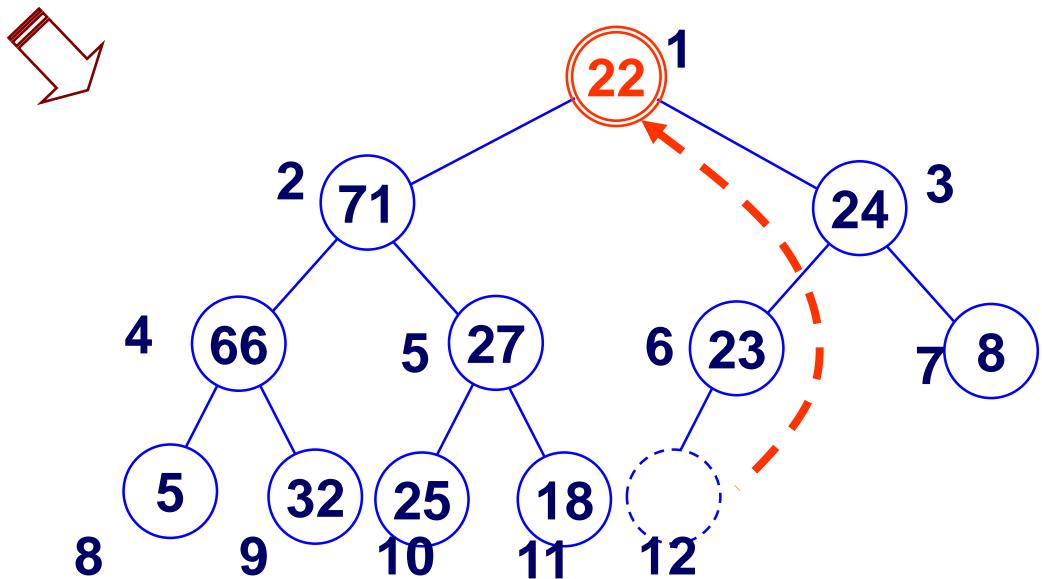


- ✓ After deleting the root, we have to recover the structure

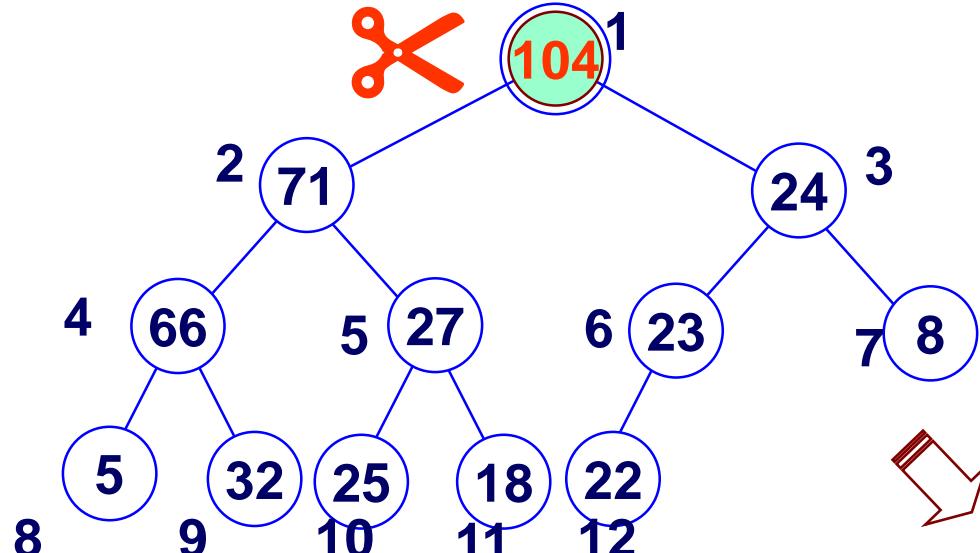
# *Deleting root from a maxheap: idea*



✓ Idea, we move the value at the bottom level, farthest right, 22, to the root



# *Deleting root from a maxheap: idea*

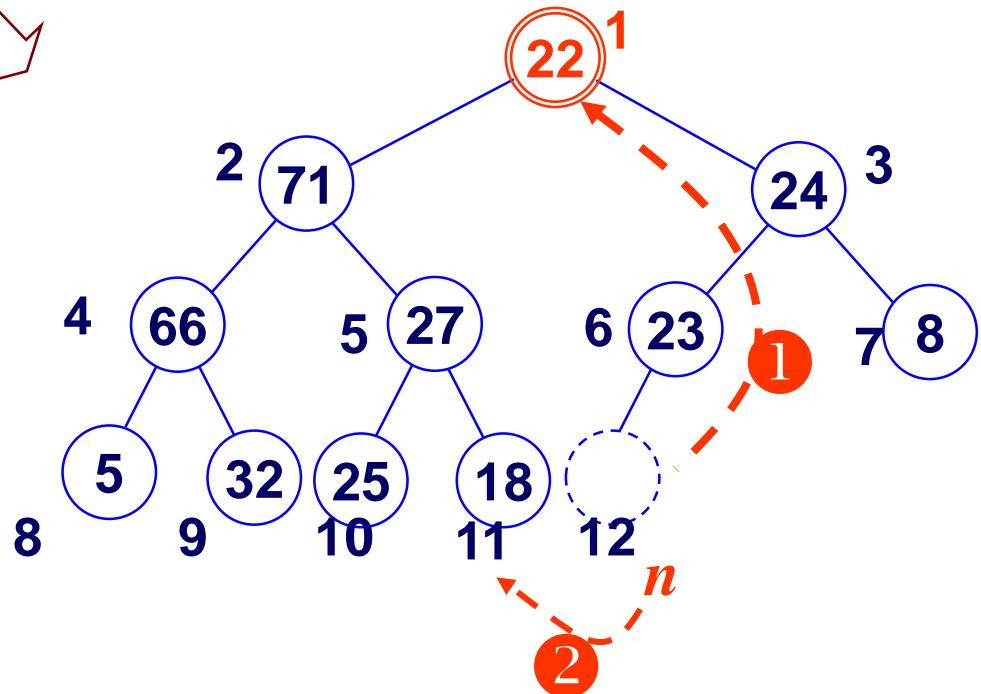


Code

```
A[1] = A[n]
```

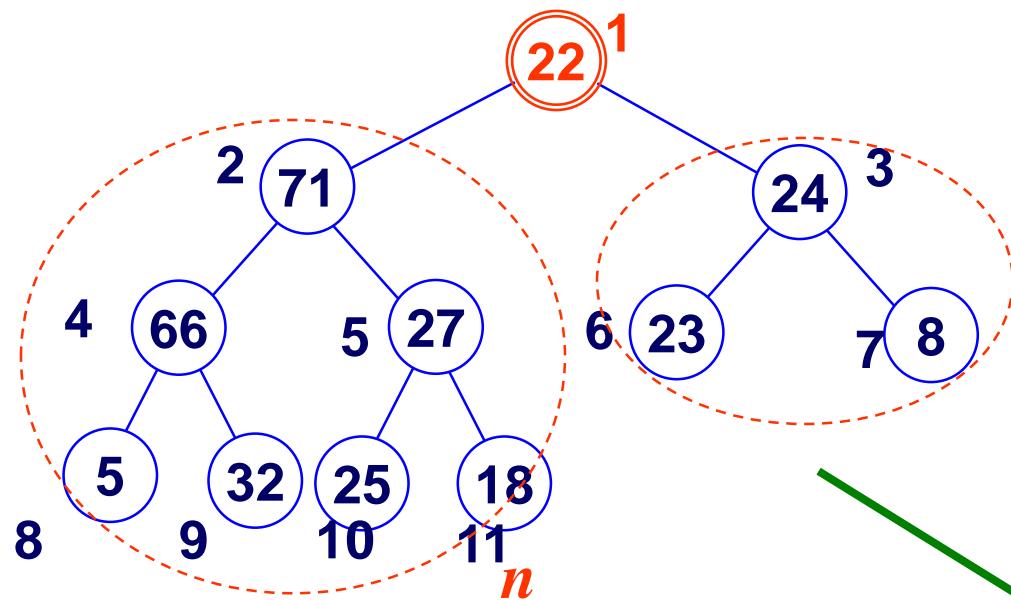
```
A.heapsize = A.heapsize - 1
```

1  
2



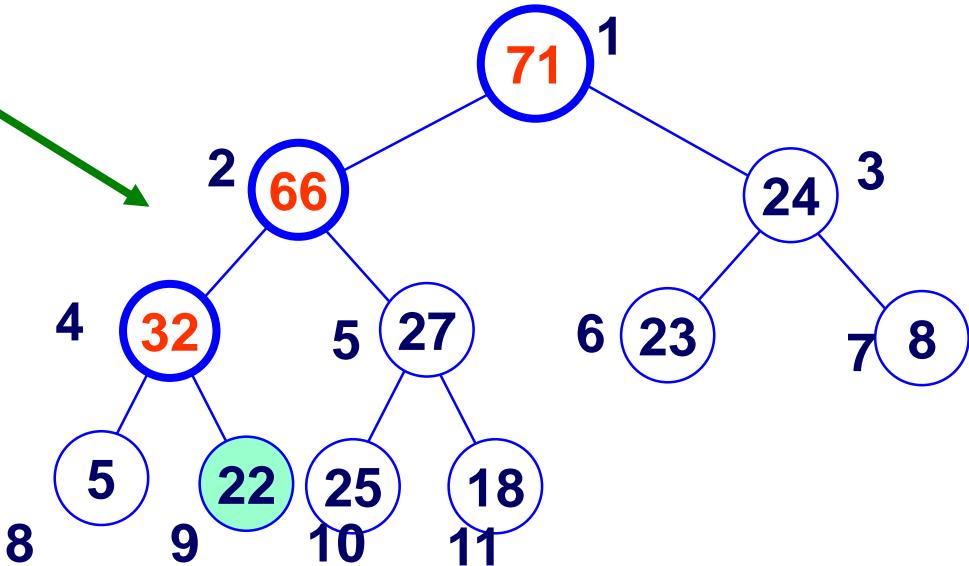
✓ Idea, we move the value at the bottom level, farthest right, 22, to the root

# *Deleting root from a maxheap: idea*



✓ Need to recover to a maxheap  
✓ siftdown

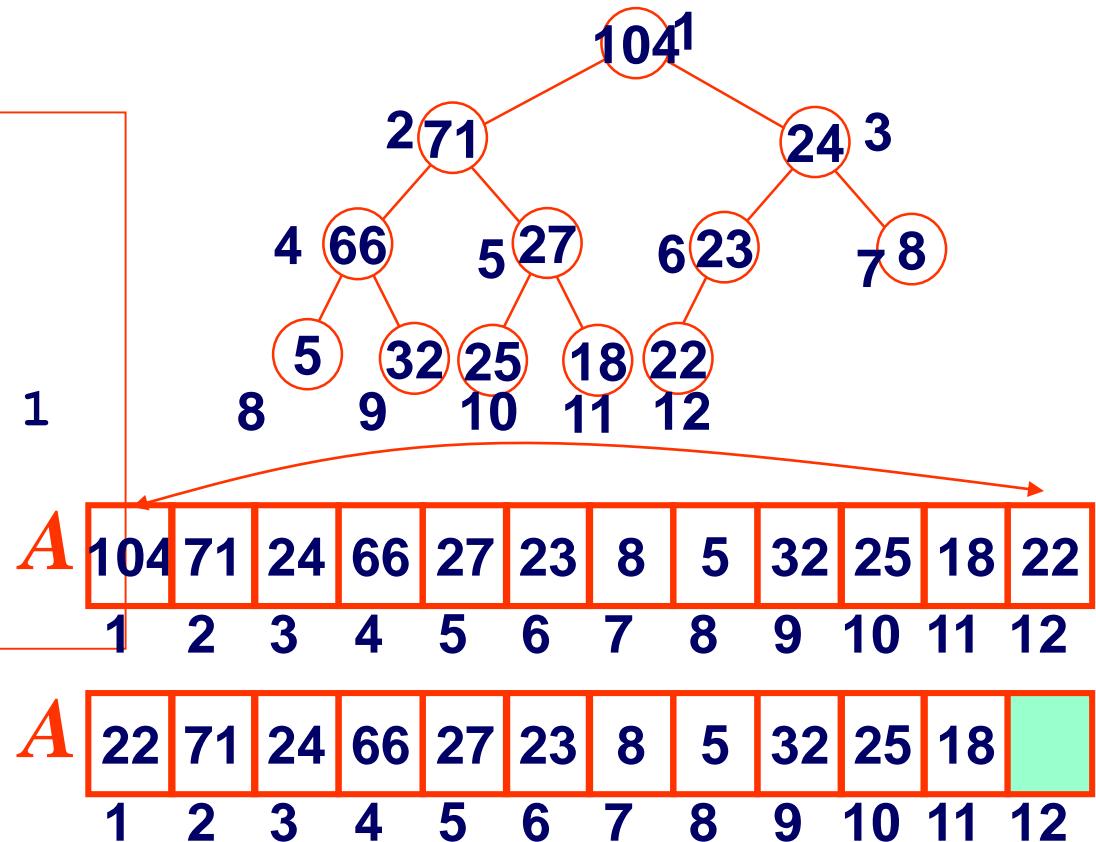
3



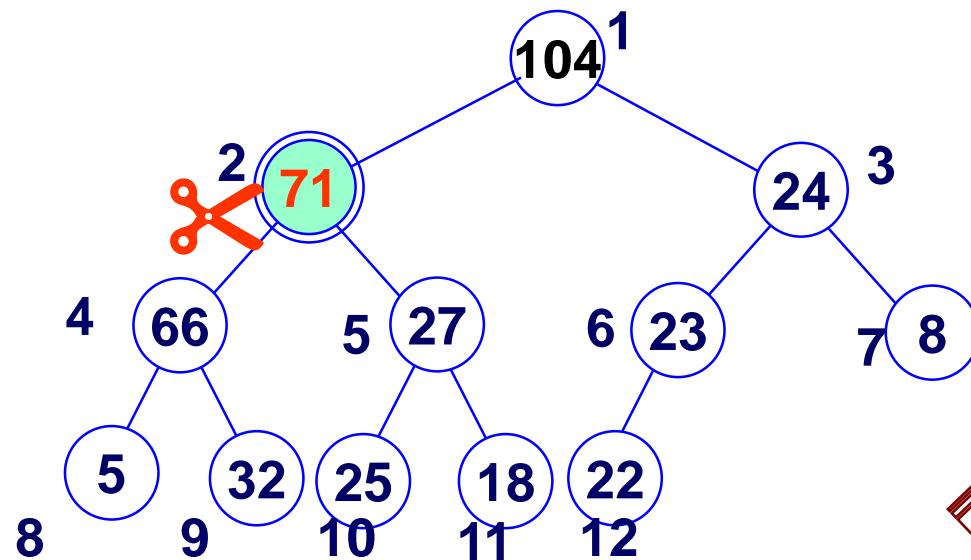
## **Summary: Algorithm Delete the root from a maxheap**

- This algorithm deletes the root (the item with largest value) from a heap containing n elements.

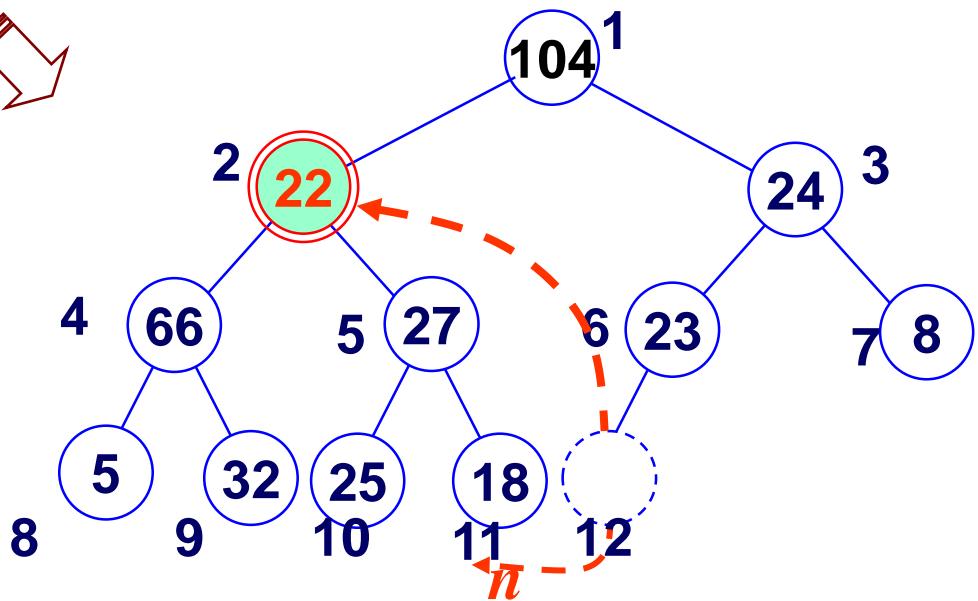
```
heap_delete_root(A) {  
    // move the item with the  
    largest index to root  
    A[1] = A[A.heapsize]  
    A.heapsize = A.heapsize - 1  
    // maintain a heap  
    siftdown(A,1)  
}
```



# *Deleting any node from a maxheap*

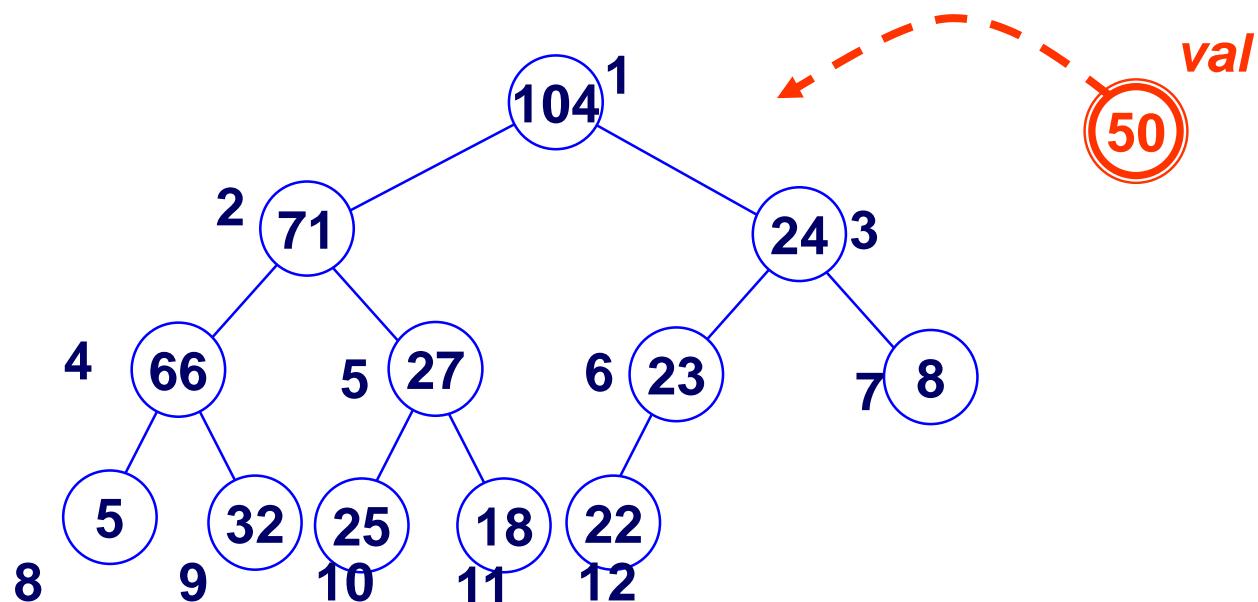


```
if A[i/2] ≥ A[i]
    siftdown(A, i)
else
    siftup(A, i)
```



# *Insert a value into the maxheap*

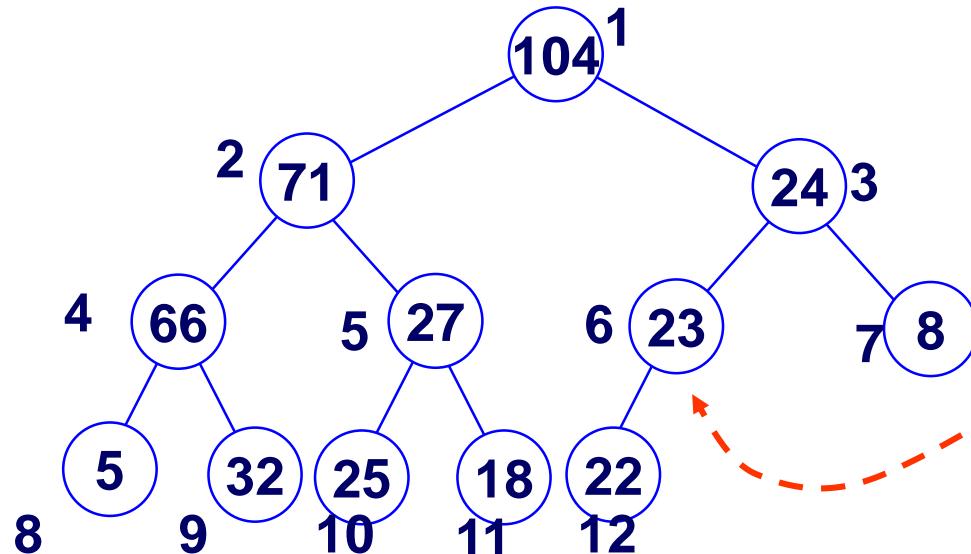
✓ Where and how to Insert the value 50 into the heap



# *Insert a value into the maxheap*

## ❑ Idea:

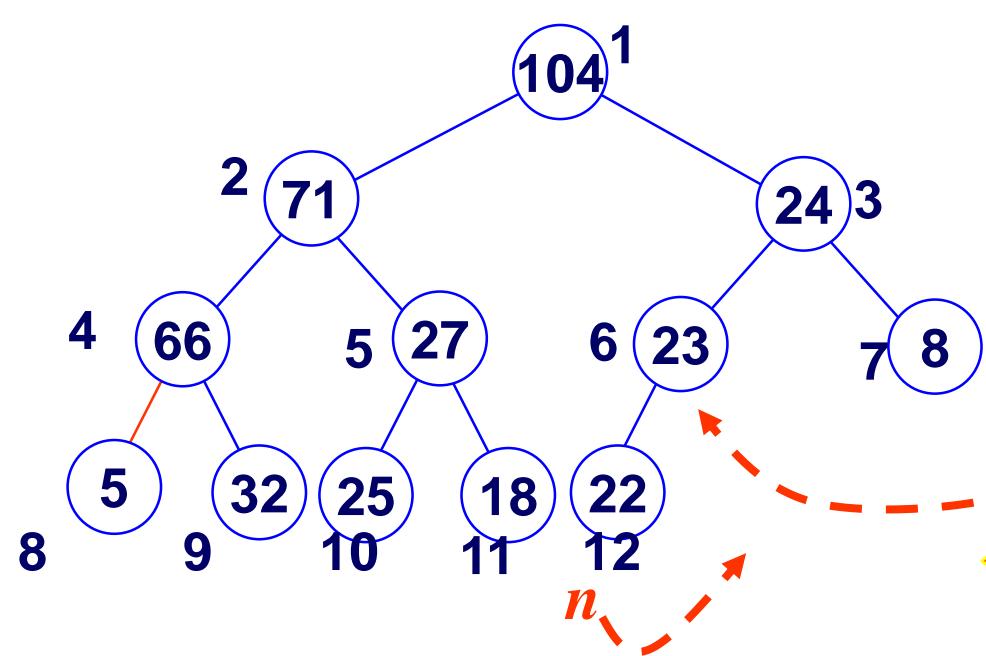
- When inserting a value into the maxheap, we first insert it in the bottom level, farthest left, then repeatedly move the parent down, maintaining the maxheap structure and property,



50  
val

✓ Where and how to Insert the value 50 into the heap

# Inserts the value $val$ into a maxheap



$val$

50

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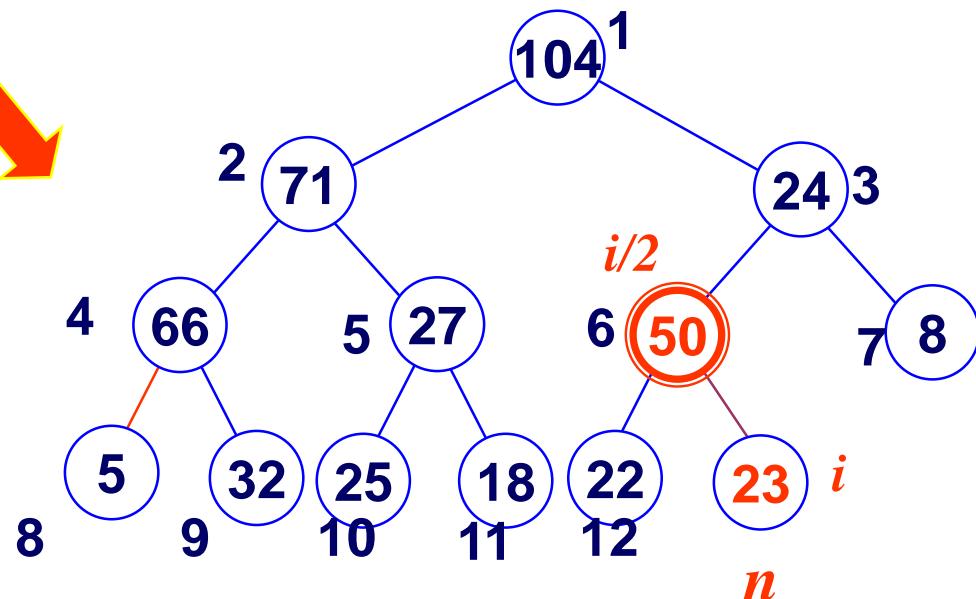
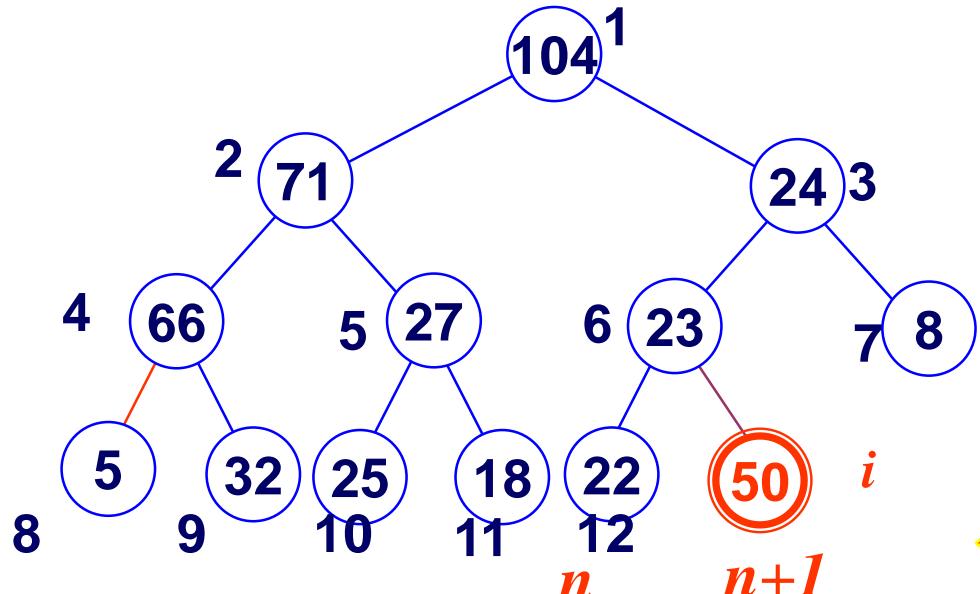
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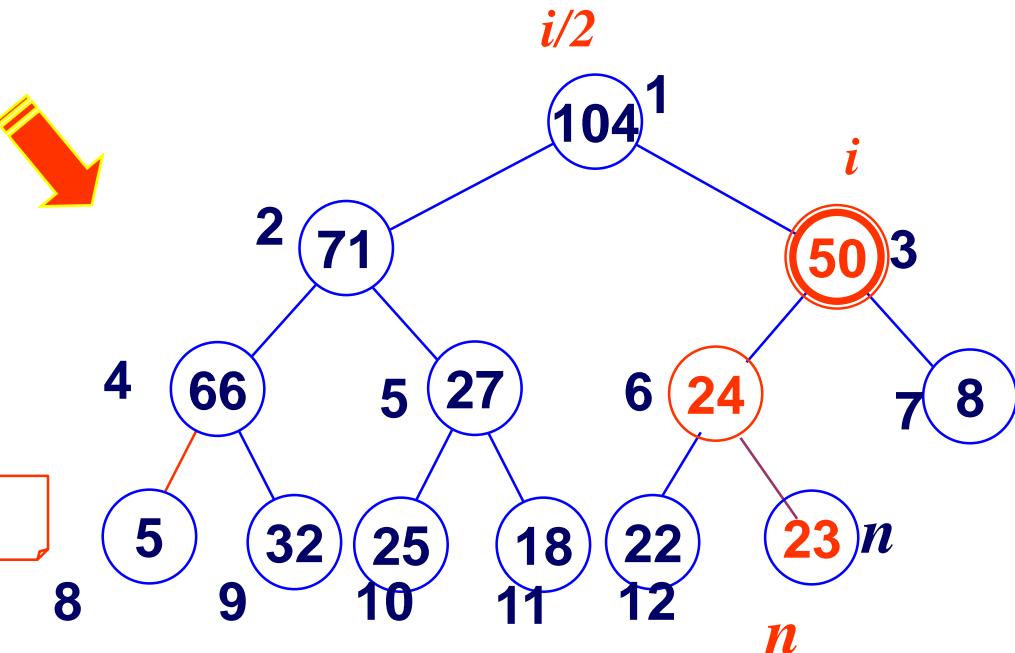
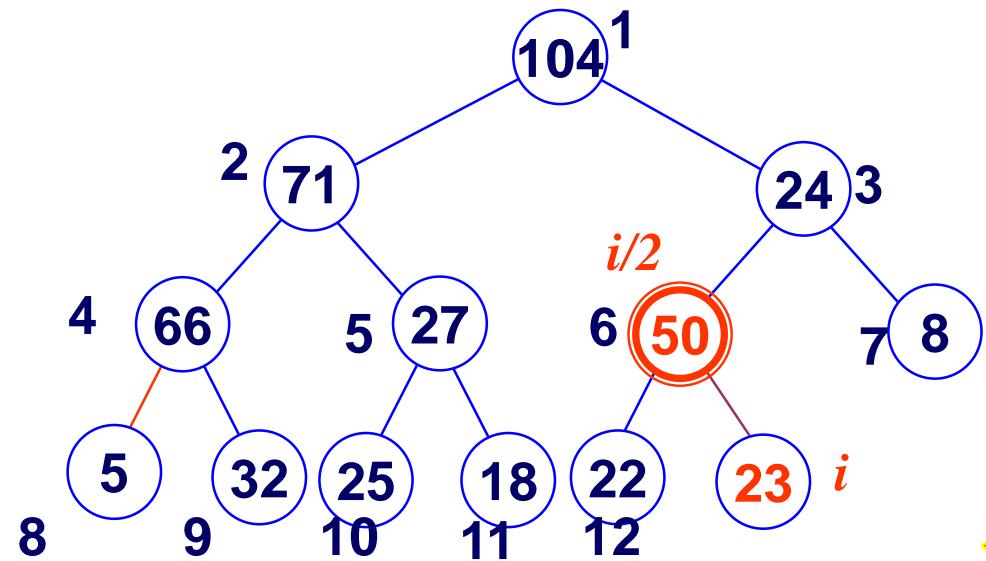
—

# Inserts the value $val$ into a maxheap



- ✓ The value, 50, is inserted in the **bottom level, farthest left**. (If the bottom level were full, we would begin another level at the left.)

# Inserts the value $val$ into a maxheap

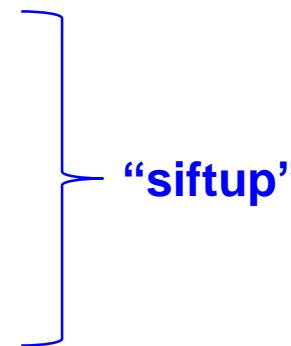


✓ algorithm terminates.

# **Summary: Algorithm Insert into the maxheap**

- ❑ The algorithm **repeatedly move the parent down**, maintaining the heap structure and property

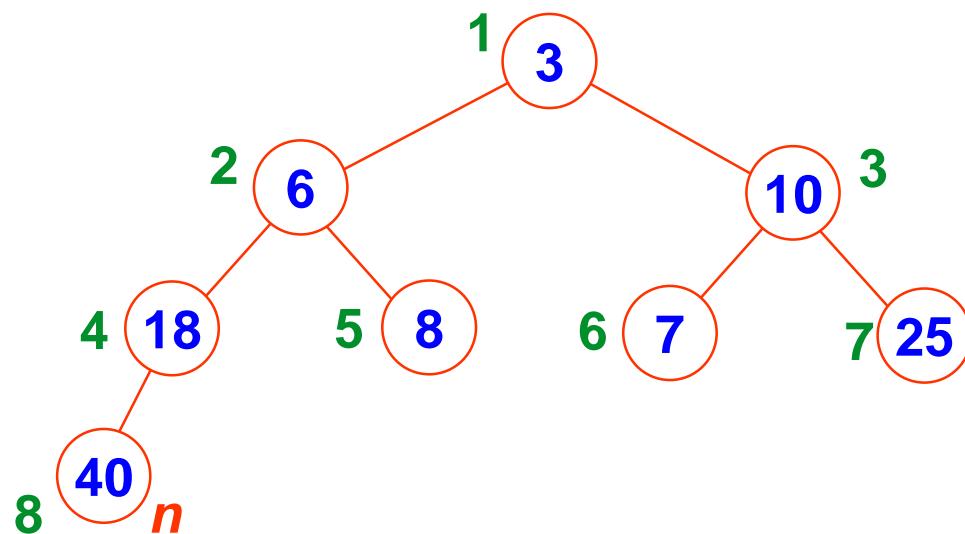
```
heap_insert(val,A) {  
    // a new space at bottom level, farthest left  
    A.heapsize = A.heapsize + 1  
    i = A.heapsize  
    // i is the child and i/2 is the parent.  
    // If i > 1, i is not the root.  
    while (i > 1 and val > A[i/2]) {  
        A[i] = A[i/2] // move parent down  
        i = i/2         // next level up  
    }  
    A[i] = val  
}
```



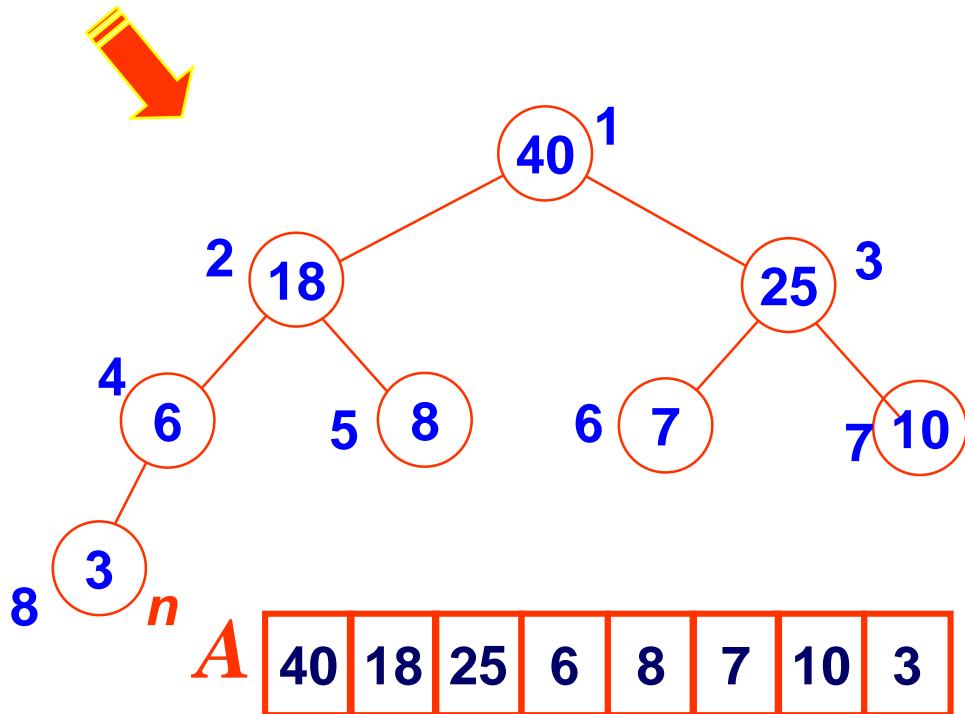
# *Heapsort*

- Recall: mergesort has good worst case complexity  $\Theta(n \log n)$ , but requires auxiliary arrays to be created.
- We now look at another sorting algorithm: heapsort
  - same worst case complexity  $\Theta(n \log n)$
  - can be done in place

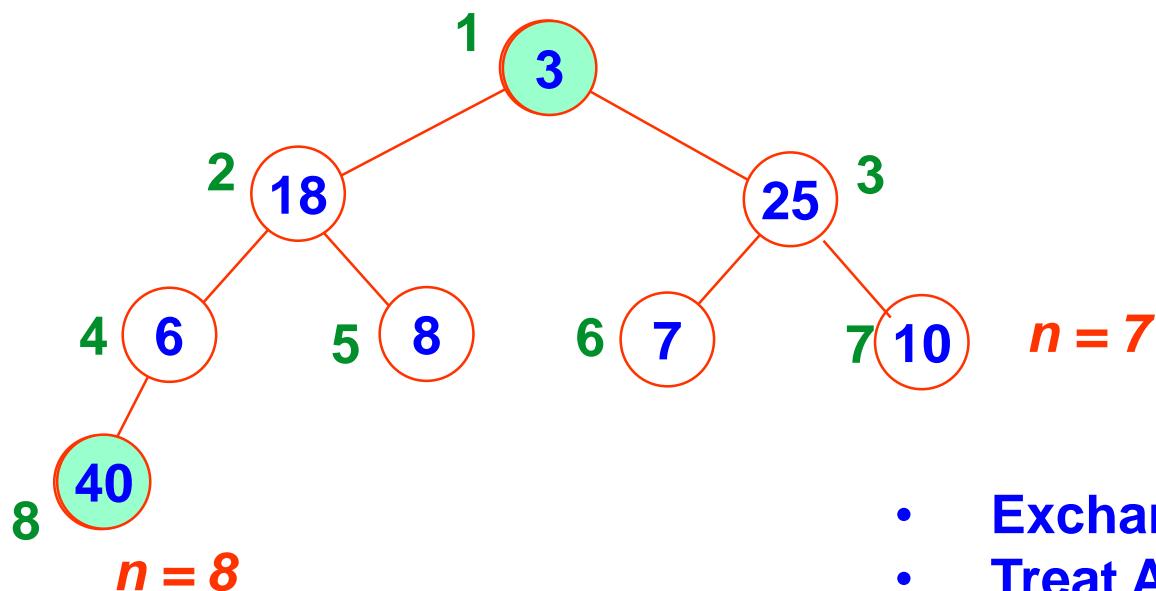
# Heapsort: idea



Make a maxheap:  
heapify( $A$ )

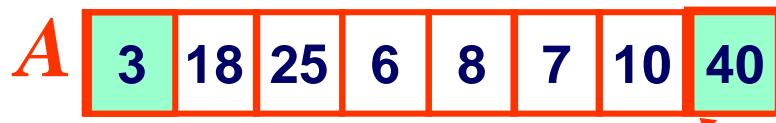


# Heapsort: idea



- Exchange  $A[1]$  with  $A[n]$
- Treat  $A[1..n-1]$  as new heap.
- Repeat procedure.

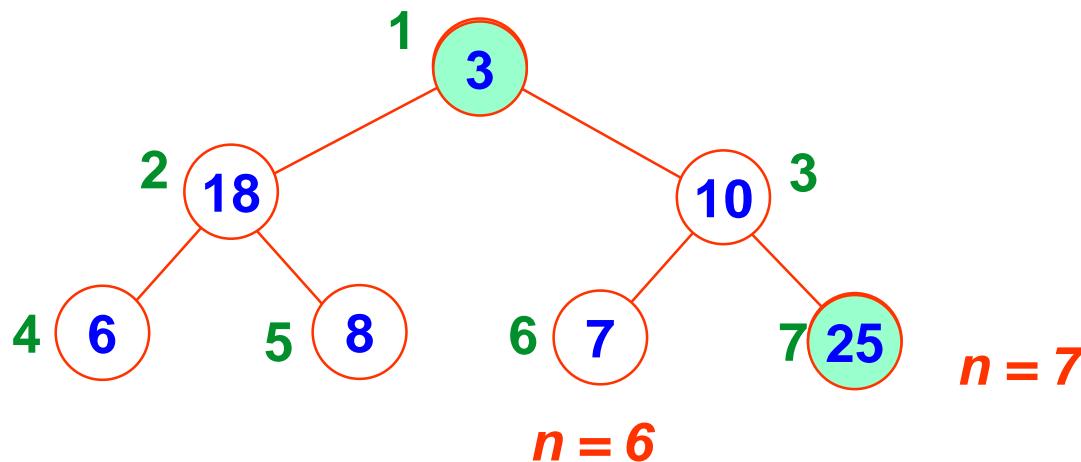
Similar  
to  
deleting  
root of  $A$



siftdown



# Heapsort: idea



$n = 7$

- Exchange  $A[1]$  with  $A[n]$

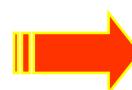
- Treat  $A[1..n-1]$  as new heap.

- Repeat procedure.

Similar  
to  
deleting  
root of A



siftdown



# Heapsort

```
heapsort(A) {  
    // change A into a maxheap  
    heapify(A)  
    for (i = A.last downto 2) {  
        // shift ith largest element  
        // to its correct place  
        swap(A,1,i)  
        // reduce size of heap  
        A.heapsize = A.heapsize - 1  
        // maintain maxheap  
        siftdown(A,1)  
    }  
}
```

$O(n)$

$O(1)$

$O(\log n)$

$O(n \log n)$

Total:  $O(n \log n)$

# *Learning Takeaway*

- Heaps are very useful data structures.
  - Get “weakly sorted” array.
- Main operations have low complexity:
  - **siftdown**  $O(\log n)$
  - **heapify**  $O(n)$
  - **delete and insert**  $O(\log n)$
- Applications: heapsort, priority queues, ...

# Partition and Quicksort

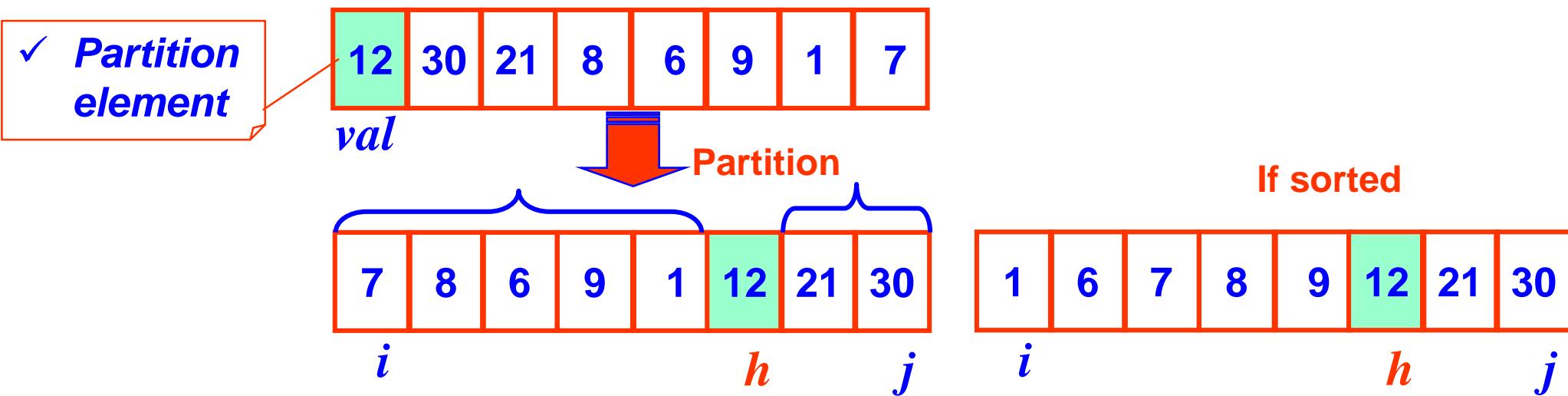
# *Partition*

- Partition divides an array into two parts and sizes of the two parts can range from nearly equal to highly unequal.
  - Unlike mergesort, which divides the array into two nearly equal parts.
- The division depends on a particular element, called the partition element, that is chosen.

✓ The partition element is also called a pivot

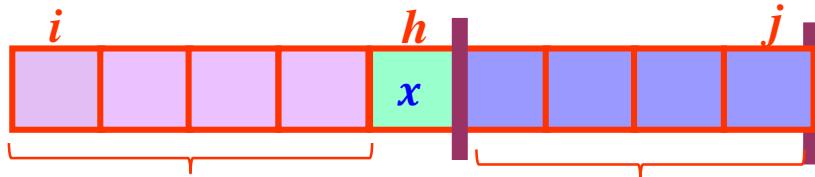
# What is Algorithm Partition

- ✓ This algorithm partitions the array  $A[i..j]$  by inserting  $val = A[i]$  at the index  $h$  where it would be if the array was sorted.
- ✓ When the algorithm concludes, values at indexes less than  $h$  are less than  $val$ , and values at indexes greater than  $h$  are greater than or equal to  $val$ .
- ✓ The algorithm returns the index  $h$ .

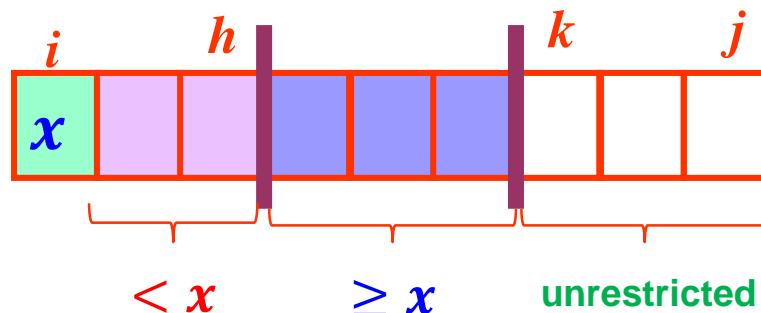


# Partition: Main Idea

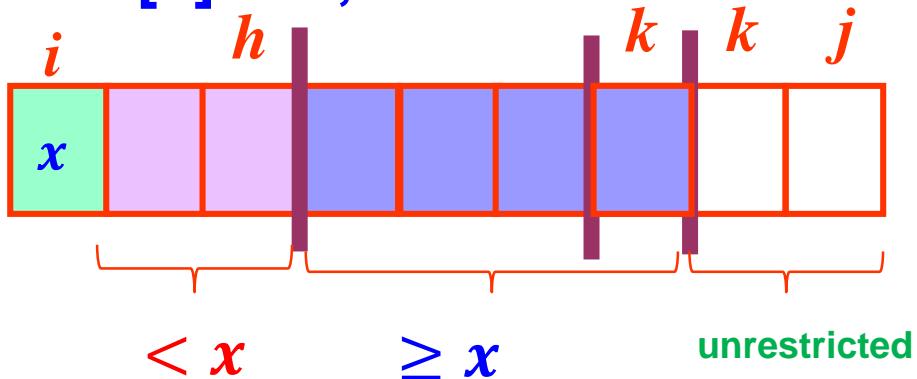
- Output:



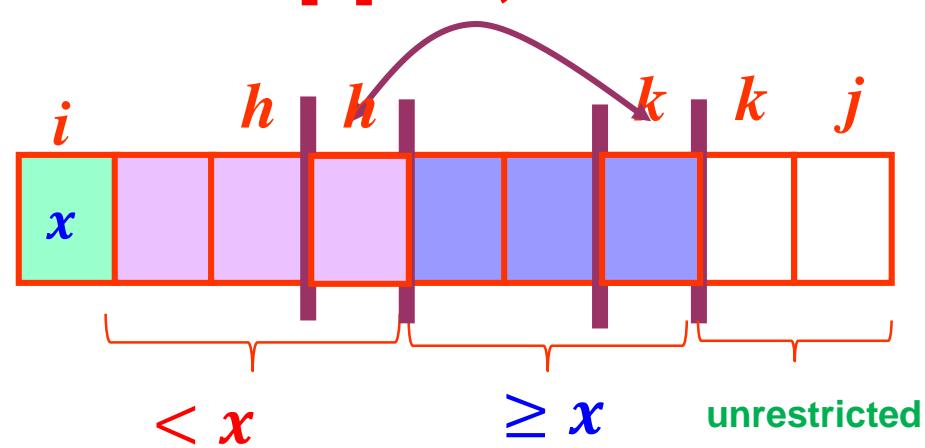
- At each iteration, maintain this structure:



- If  $A[k] \geq x$ ,

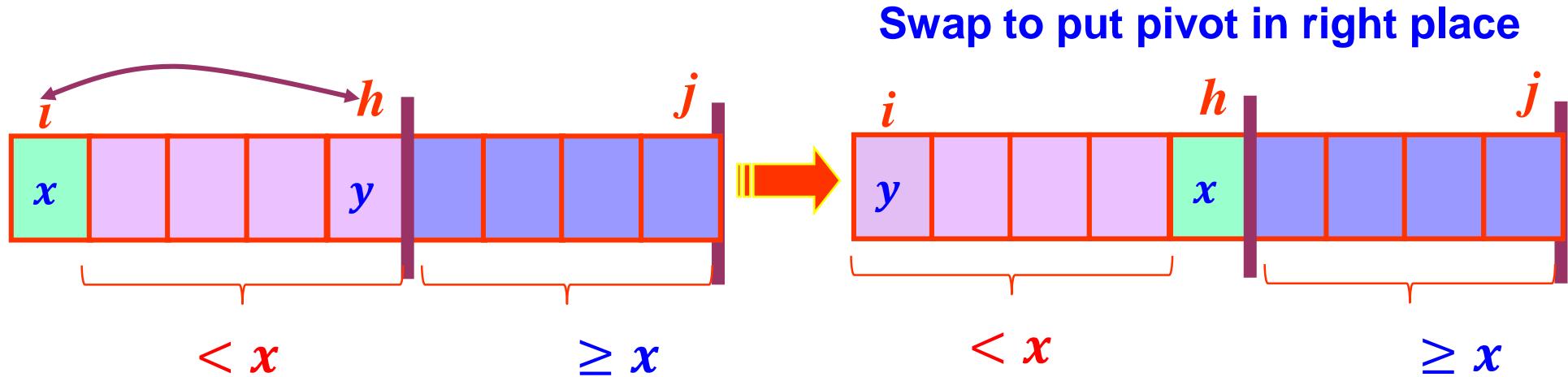


- If  $A[k] < x$ ,



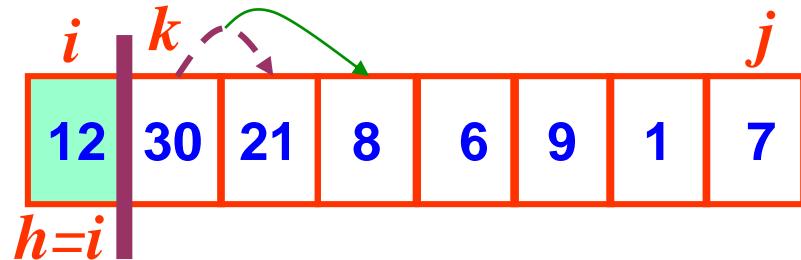
# Partition: Summary

- Continue till end of array



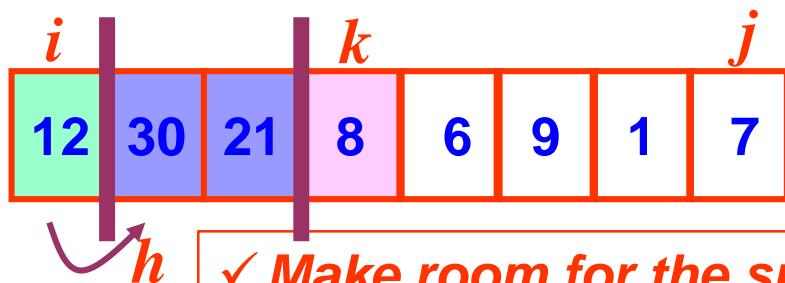
# Partition: Idea

✓ Scan for the smaller

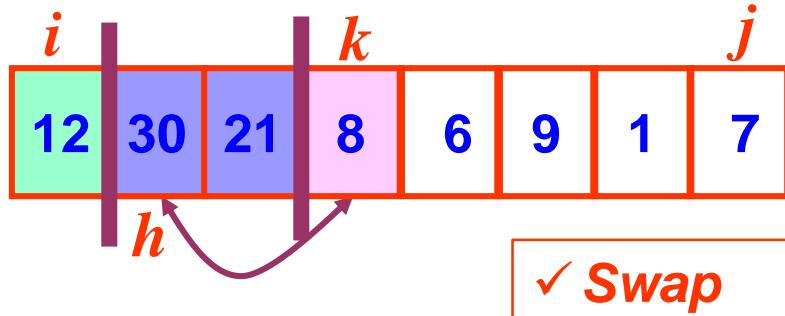


Idea:

scan from left for element smaller than  $val = A[i]$   
 Increase  $h$  (make room for smaller)  
 exchange  
 repeat until the last element of the array

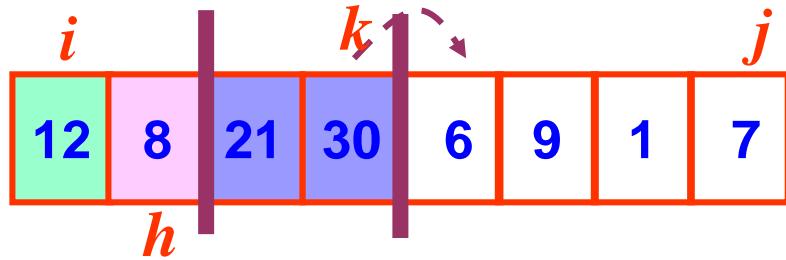


✓ Make room for the smaller one



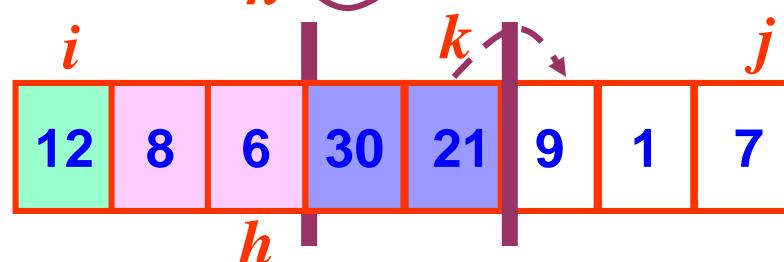
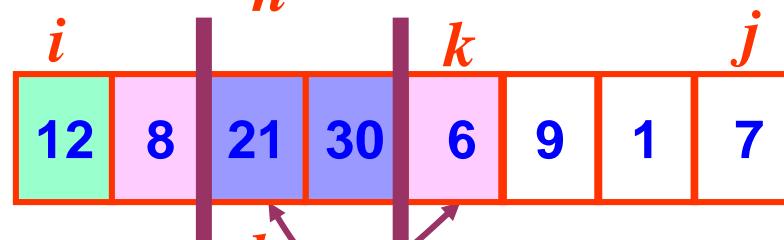
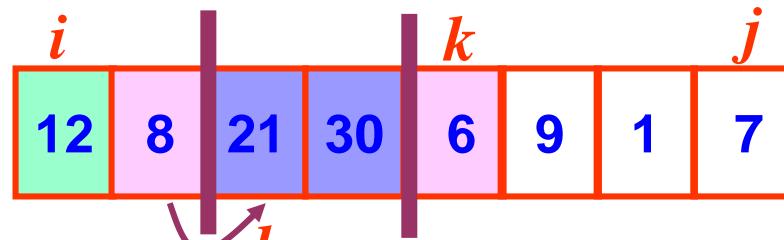
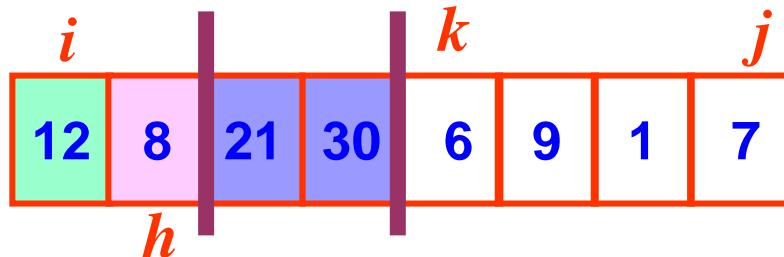
✓ Swap

```
val=A[i]; h=i;
for k = i + 1 to j
    if (A[k] < val) {
        h = h + 1;
        swap(A, h, k);
    }
}
```



# Partition: Idea

✓ Scan for the smaller



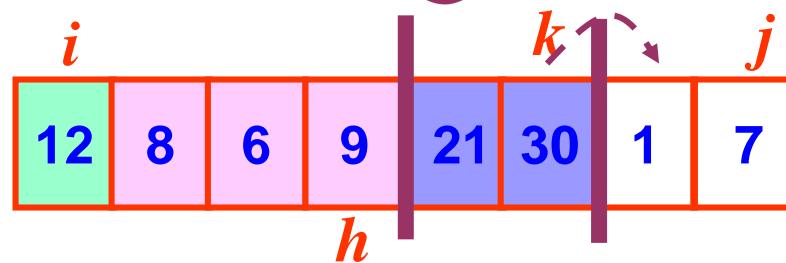
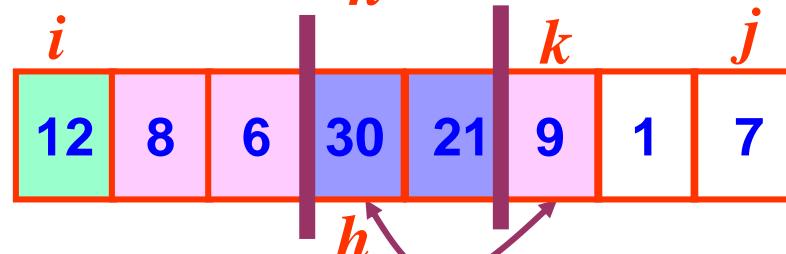
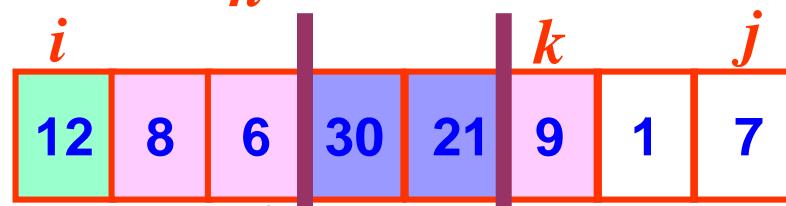
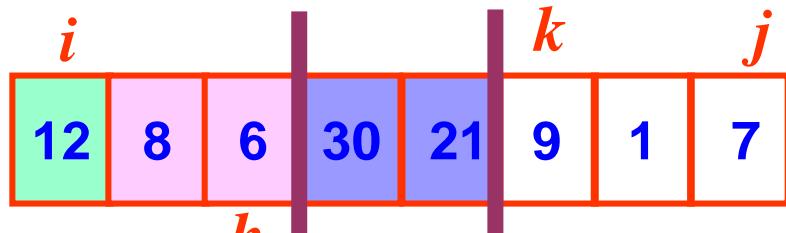
Idea:

scan from left for element smaller than  $val = A[i]$   
Increase  $h$  (make room for smaller)  
exchange  
repeat until the last element of the array

```
val=A[i]; h=i;  
  
for k = i + 1 to j  
  
    if (A[k] < val) {  
  
        h = h + 1;  
  
        swap(A,h,k);  
  
    }  
}
```

# Partition: Idea

✓ Scan for the smaller



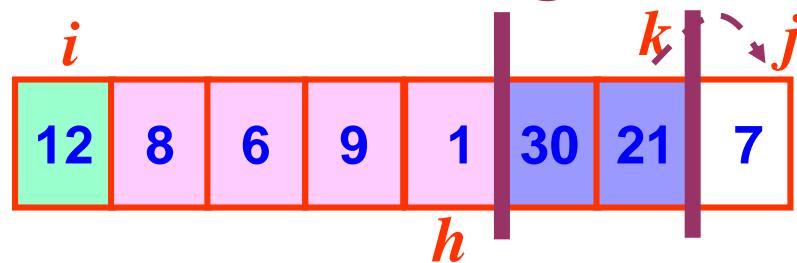
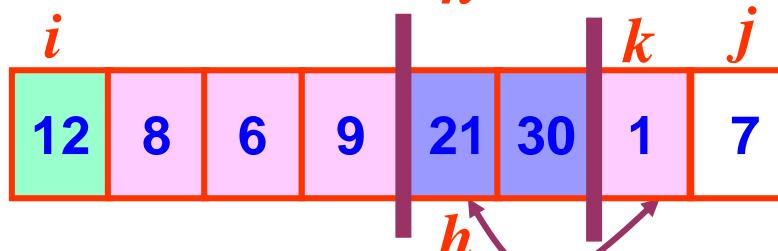
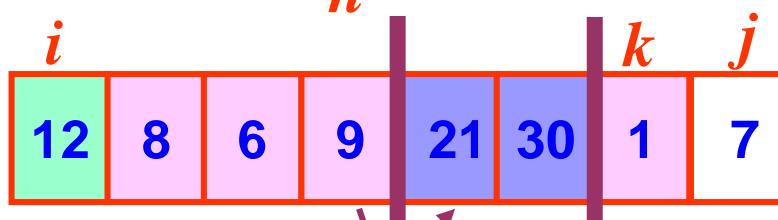
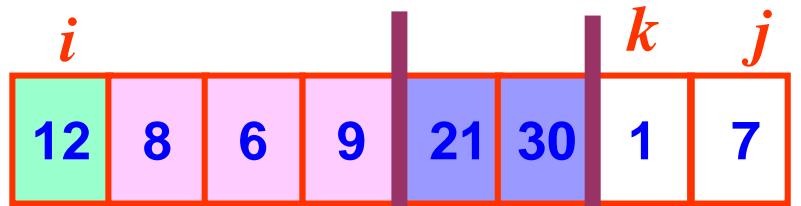
Idea:

scan from left for element smaller than  $val = A[i]$   
Increase  $h$  (make room for smaller)  
exchange  
repeat until the last element of the array

```
val=A[i]; h=i;  
  
for k = i + 1 to j  
  
    if (A[k] < val) {  
  
        h = h + 1;  
  
        swap(A,h,k);  
  
    }  
}
```

# Partition: Idea

✓ Scan for the smaller



Idea:

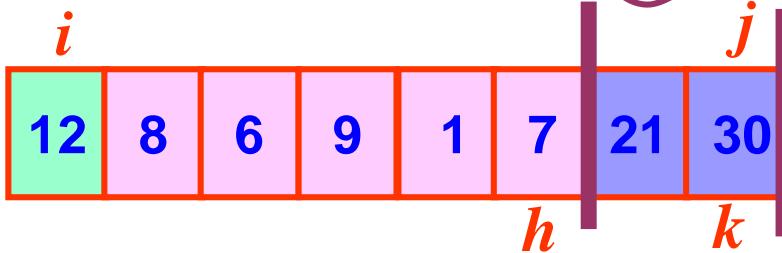
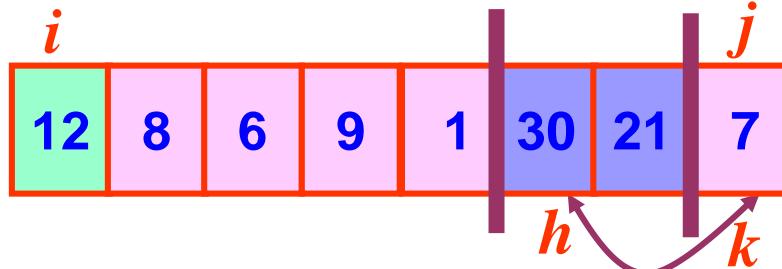
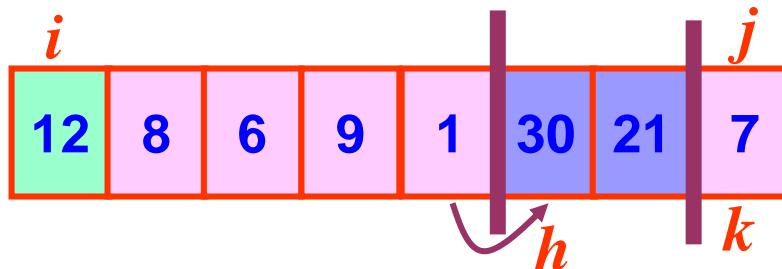
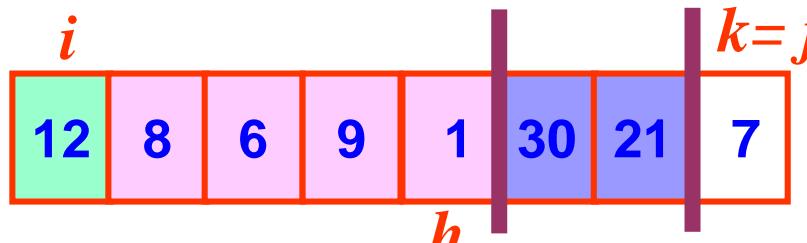
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    }  
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```

# Partition: Idea

✓ Scan for the smaller

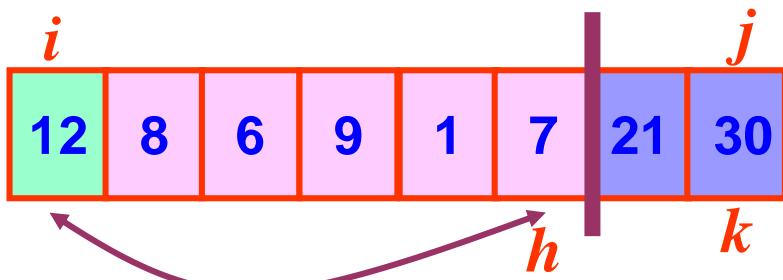
Idea:



$k=j$  scan from left for element smaller than  $val = A[i]$   
Increase  $h$  (make room for smaller)  
exchange  
repeat until the last element of the array

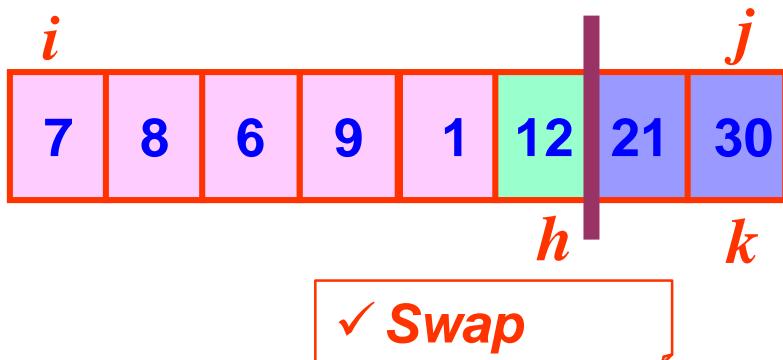
```
val=A[i]; h=i;  
  
for k = i + 1 to j  
  
    if (A[k] < val) {  
  
        h = h + 1;  
  
        swap(A,h,k);  
  
    }  
}
```

# Partition: Idea



## Idea:

scan from left for element smaller than  $val = A[i]$   
Increase  $h$  (make room for smaller)  
exchange  
repeat until the last element of the array



```
val=A[i]; h=i;  
  
for k = i + 1 to j  
    if (A[k] < val) {  
        h = h + 1;  
        swap(A,h,k);  
    }  
swap (A, i, h)  
  
return h
```

# Partition Algorithm

Idea:

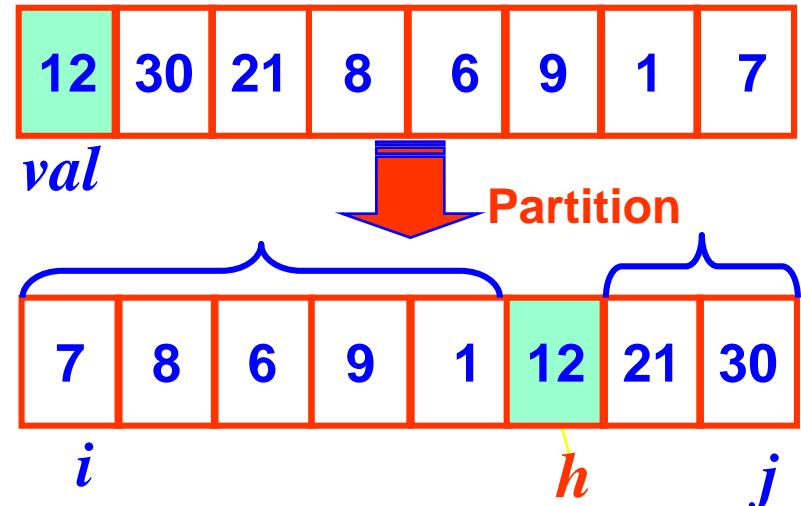
scan from left for element smaller than  $val = A[i]$

Increase  $h$  (make room for smaller)

exchange

repeat until the last element of the array

```
partition(A, i, j) {  
    val = A[i];  
    h = i  
    for k = i + 1 to j  
        if (A[k] < val) {  
            h = h + 1  
            swap(A, h, k)  
        }  
    swap (A, i, h)  
    return h  
}
```



Complexity:  $\Theta(n)$

# Quicksort: idea

- The quicksort, like mergesort, closely follows the divide-and-conquer paradigm

1. **Divide:** Partition (rearrange) the array  $A[p..r]$  into two (possibly empty) subarray  $A[p..\textcolor{red}{h-1}]$  and  $A[\textcolor{red}{h+1}..r]$  such that each element of  $A[p..\textcolor{red}{h-1}]$  is less than  $A[h]$ , which is in turn less than each element of  $A[\textcolor{red}{h+1}..r]$ . This partition procedure returns the index  $\textcolor{red}{h}$
2. **Conquer:** Sort the two subarrays  $A[p..\textcolor{red}{h-1}]$  and  $A[\textcolor{red}{h+1}..r]$  by recursive calls to quicksort.
3. **Combine:** Since the subarrays are sorted in place, no work is needed to combine them: the entire array  $A[p..r]$  is now sorted

# Quicksort

This algorithm sorts the array  $A[p .. r]$  by using the partition algorithm

Input Parameters:  $A, p, r$

Output Parameters: A

```
quicksort(A,p,r) {  
    if (p < r) {  
        h = partition(A,p,r)  
        quicksort(A,p,h - 1)  
        quicksort(A,h + 1,r)  
    }  
}
```

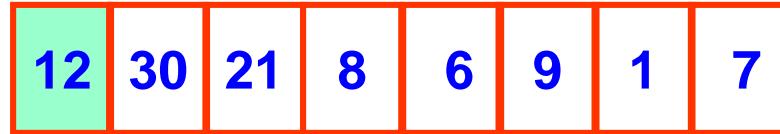
1

2

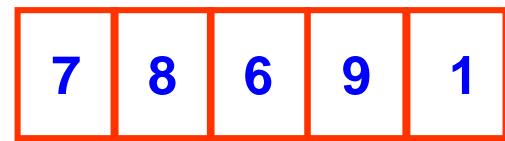
3

# Quicksort

*quicksort*



*partition*



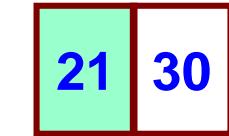
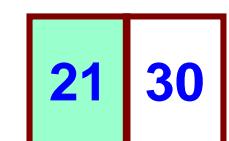
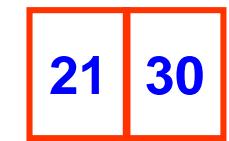
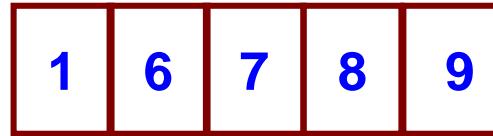
*quicksort*



*partition*



*quicksort*



# *Quicksort Performance*

- **Worst-case: partition produces one subarray with  $n-1$  elements and one with  $0$  elements.**
- **This happens when the array is already sorted!**

$$\begin{aligned}T(n) &= T(n - 1) + T(0) + \Theta(n) \\&= T(n - 1) + \Theta(n) \\&= \Theta(n^2)\end{aligned}$$

Backward substitution

- **Worst than heapsort and mergesort.**

# Quicksort Performance

- ❑ Best-case: partition produces two subarrays with approximately  $n/2$  elements each.

$$\begin{aligned}T(n) &= 2T(n/2) + \Theta(n) \\&= \Theta(n \log n)\end{aligned}$$

- ❑ Same as heapsort and mergesort.
- ❑ It turns out that if given an array whose elements have been randomly permuted, then *on average*, the performance quicksort is  $\Theta(n \log n)$ .
- ❑ It has been observed in practice that quicksort is usually faster than heapsort/mergesort.

# Quicksort Performance

- How to avoid the worst-case performance of  $\Theta(n^2)$ ?
- Try to make sure that the input array at every recursive call is not already sorted!

```
rand_partition(A,p,r) {  
    i = random(p,r) // chooses a random index between p and r  
    swap(A, p, i) // swap the element at random i into p  
    return partition(A,p,r) // run the partition algorithm  
}
```

```
rand_quicksort(A,p,r) {  
    if (p < r) {  
        h = rand_partition(A,p,r)  
        rand_quicksort(A,p,h - 1)  
        rand_quicksort(A,h + 1,r)  
    }  
}
```

There is still a small probability you will get  $\Theta(n^2)$  performance, but this probability becomes very small when array is long.

## *Learning Takeaway*

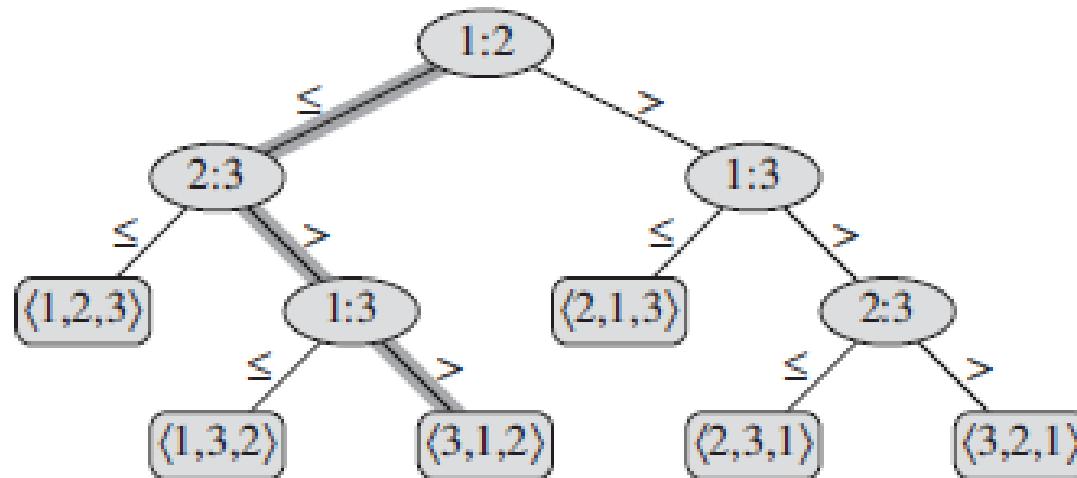
- **Partition places a pivot element in the correct place in the array if it is sorted. Worst-case complexity:  $\Theta(n)$**
  
- **Partition is a useful procedure with applications in:**
  - Quicksort: Divide and Conquer using partition
  - Order statistics: we will see this later.

# *Comparison Sorting*

- Comparisons between two elements to output a sorted sequence. All the sorting methods we have studied so far are comparison sorts.
- The best complexity we have found is  $O(n \log n)$ .
- Can there exist some method that performs better?

# Comparison Sorting

- Run an algorithm on input  $a_1, a_2, \dots, a_n$
- Decision tree: shows how a particular algorithm is executed



1:2 means a com

Algorithm runs till a leaf node is reached – that is the output

- All comparison sort algorithms can be described using a decision tree.

# Comparison Sorting

**Theorem.** Any comparison sort algorithm requires  $\Omega(n \log n)$  comparisons in the worst case.

**Proof.**

The number of comparisons in the worst case is the height  $h$  of the decision tree. Each of the  $n!$  permutations of the input sequence must appear at some leaf. A binary tree of height  $h$  has at most  $2^h$  leaves, so we have

$$n! \leq 2^h$$

$$h \geq \log(n!) = \Omega(n \log n)$$

- Mergesort and heapsort are asymptotically optimal comparison sorts – we cannot do better!
- Quicksort is asymptotically optimal on average.
- This theorem is for comparison sorts. If the input sequence has some special properties (e.g., integers), there are  $O(n)$  sorting algorithms like counting sort.

# **Selection and Order Statistics**

# *Selection in Context*

- ❑ There are a number of applications in which we are interested in identifying a single element of its rank relative to the ordering of the entire set
- ❑ Example
  - The minimum and maximum elements

✓ In general, queries that ask for an element with a given rank are called “order statistics”

# *Definition*

- The *k-th* order statistic of a set of *n* elements is its *k-th* smallest element

**Example:**

$A = \{11, 10, 14, 4, 2, 1, 5, 7\}$

✓ If they are sorted     $\{1, 2, 4, 5, 7, 10, 11, 14\}$

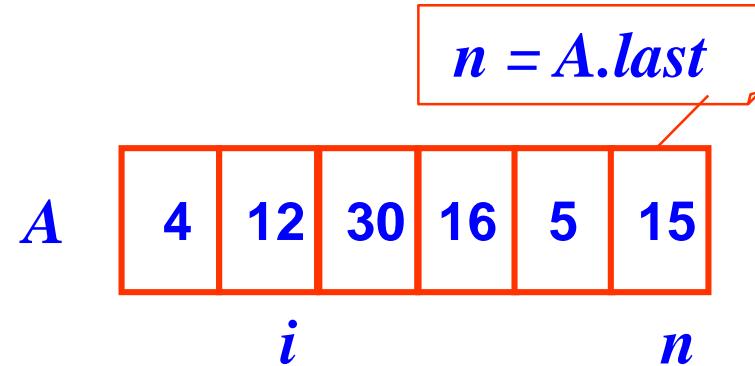
1-st order statistic = minimum(A) = 1

3-rd order statistic = 4

*n*-th order statistic = maximum(A) = 14

# Selecting the minimum and maximum

## □ Find 1-st order statistic (minimum)



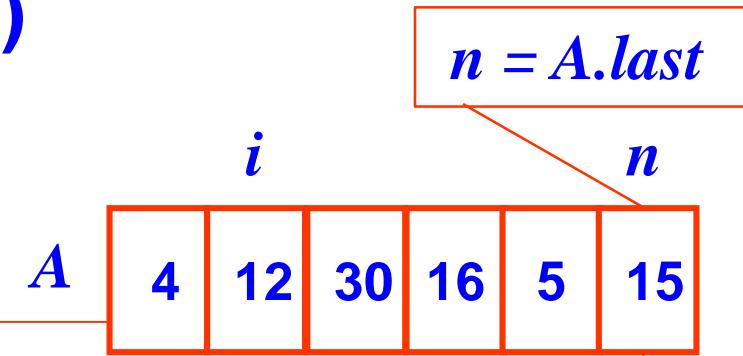
Idea:

- ✓ Examine each element of the array in turn and keep track of the smallest element seen so far.

# Selecting the minimum and maximum

## □ Find 1-st order statistic (minimum)

- $n-1$  comparisons



```
minimum (A) {  
    min = A[1]      // start with 1st, assume it smallest  
    for i = 2 to A.last {  
        if (A[i] < min ) } // smaller value found  
        min = A[i]      // smallest so far  
    return min  
}
```

✓ Examine each element of the array in turn and keep track of the smallest element seen so far.

✓ Finding the maximum is similar with  $n-1$  comparison.

# Median

- A median, informally, is the “half way point” of the set if the set is sorted
  - When  $n$  is odd, the median is unique, occurring at

$$i = (n+1) / 2$$

- When  $n$  is even, there are two medians, occurring at

$$i = n / 2$$

and

$$i = n / 2 + 1$$

✓ Median is the element such that half of the other elements are smaller and the remaining half are larger

# *Median Example*

Consider the annual incomes listed below:

260,750 25,160 72,815 30,570 137,230 55,300 77,800

What is the median?



If sorted ...

4

25,160	30,570	55,300	<u>72,815</u>	77,800	137,230	260,750
--------	--------	--------	---------------	--------	---------	---------

The median income is the income that would be in the middle if the incomes were sorted --- the median income is \$ 72,815.

# *The Selection problem*

- The problem of selecting the  $k$ -th order statistic from a set of  $n$  distinct numbers
- The selection problem is: Given an array  $A$  and an integer  $k$ , find the  $k$ -th smallest element.

**Input:** a set  $A$  of  $n$  (distinct) numbers and an integer  $1 \leq k \leq n$

**Output:** the element  $x$  in  $A$  that is larger than  $k - 1$  other elements of  $A$

# **Selection Problem**

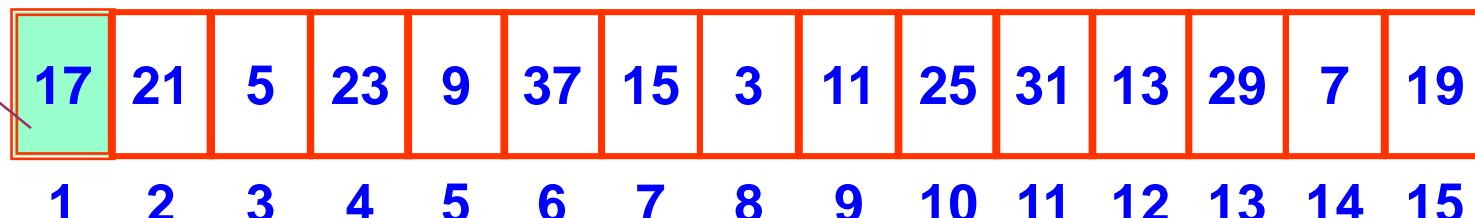
- ❑ Since the selection problem does *not* require that the array be sorted, the goal is to solve the problem faster by doing less work than sorting the entire array.
  - Using partition

✓ Note that we do not sort the entire array

# *Recall: The property of partition algorithm*

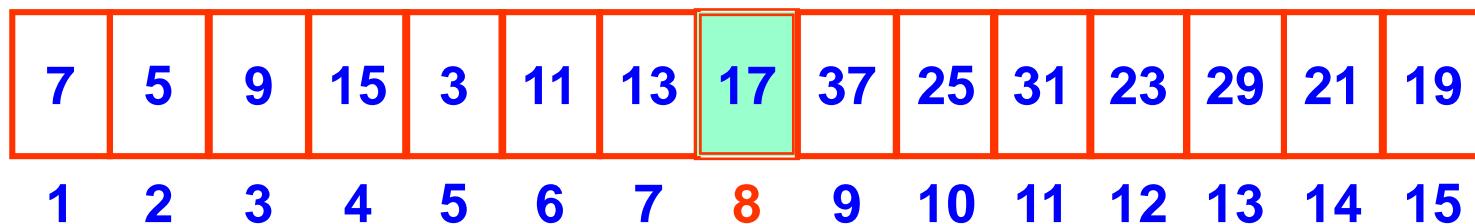
- The partition algorithm returns the **rank** of the partition element.

✓ Partition element



partition

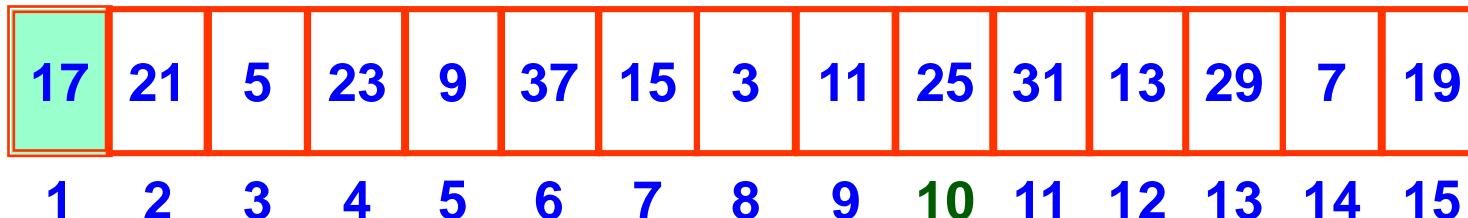
A large red arrow pointing downwards, indicating the direction of the partition operation.



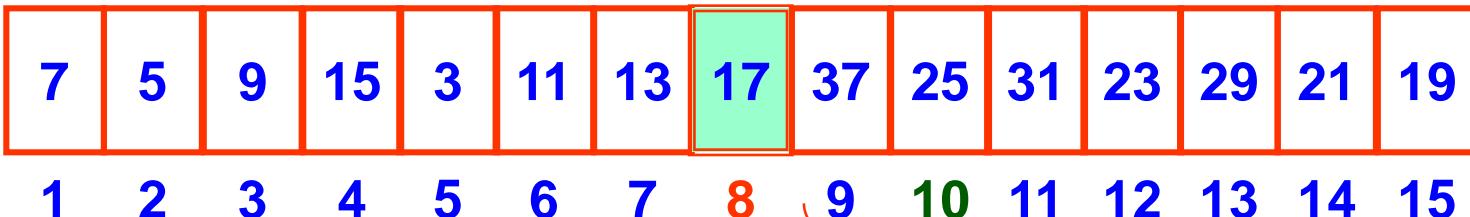
✓ Partition element 17 is rank 8 if the array is sorted

# Selecting by Partition: Example

Suppose that we want to find the **10th smallest element** in the array (i.e., **rank 10**)



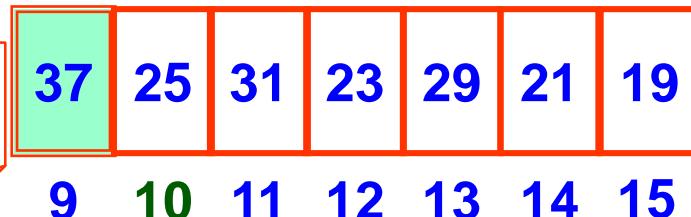
Using 17 as partition element



Partition

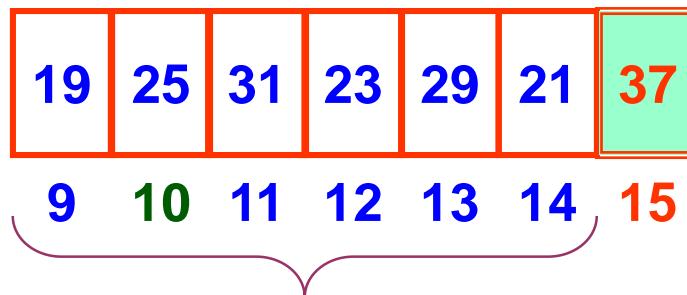
After partition,  
we got rank 8

Since  $8 < 10$ , we next call partition on  
the part of the array to the right of 17

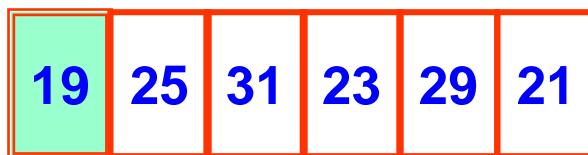


Partition

# Selecting by Partition: Example

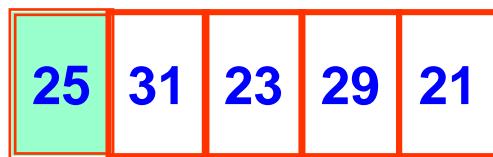


✓ 37 is rank 15

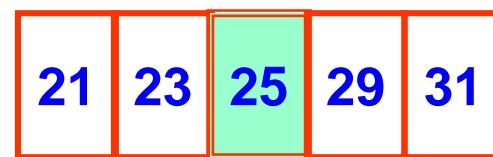


✓ 19 is rank 9

9, 10, 11, 12, 13, 14



10, 11, 12, 13, 14



10, 11, 12, 13, 14

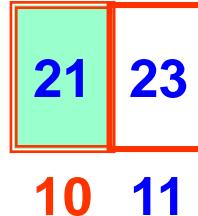
Partition

✓ Since rank 9 < 10, we next partition on the part of the array to the right of 19

✓ 25 is rank 12

# Selecting by Partition: Example

Since  $10 < 12$ , we next call partition on the part of the array to the left of 25:



The partition element 21 is placed at index 10. The algorithm thus terminates, having found 21 as the *10th smallest element in the array*

# Selecting by Partition: Algorithm

- ❑ Uses the partition algorithm to find the  $i$ th smallest element of an array  $A[p..r]$ .

```
select(A, p, r, i) {
    if (p == r) { // if array has only 1 element
        return A[p]
    }
    q = partition(A, p, r) // get the position of the pivot bet. p and r
    k = q - p + 1 // rank relative to p
    if (i == k) {
        return A[q]
    } else if(i < k) {
        return select(A, p, q-1, i) // search in first part
    } else {
        return select(A, q+1, r, i-k) // search in second part
    }
}
```

- Can you show that `select` has  $O(n^2)$  complexity?
- See supplementary notes for a linear complexity `select`, which is more complicated.

# *Learning Takeaway*

- ❑ **Partition allows us to perform Divide and Conquer.**
  - **discard the subarray that is not relevant**
  - **use recursion to repeat same procedure on the relevant subarray**
- ❑ **Tip:** For problems that involves the rank or order of the elements in an array, may consider using partition to split the array, and then recursion to solve.

# **Sorting in Linear Time**

# *Counting Sort*

- **A[1..n] input elements are integers from 1 to k.**
- **How to sort the array in linear time?**
- **Idea: if  $j$  elements are  $\leq x$ , then  $x$  can be put in the  $j$ -th position of the array.**
- **How to find the number of elements  $\leq A[i]$  efficiently?**

# *Counting Sort*

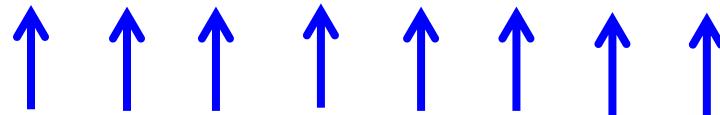
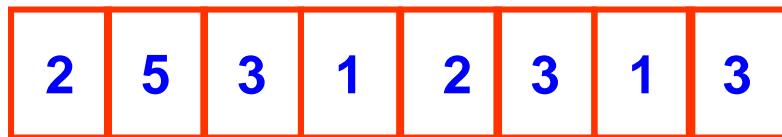
- Initialize another array  $\text{count}[1..k]$
- Go through  $A[1..n]$ 
  - increase  $\text{count}[A[i]]$  by 1
-  this can be done because  $A[i]$  is a positive integer
- $\text{count}[i]$  now contains the number of elements equal to  $i$
- To get the number of elements  $\leq i$  : cumulative sum

```
for i = 1 to k
    count[i] = count[i-1] + count[i]
```

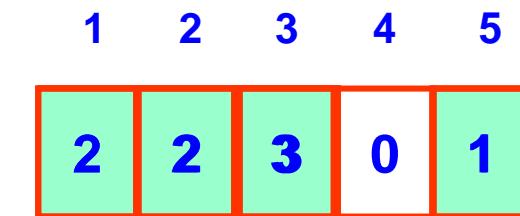
- Use count array to sort  $A[1..n]$  by placing each  $A[i]$  in the right location given by  $\text{count}[A[i]]$ .

# *Counting Sort Example*

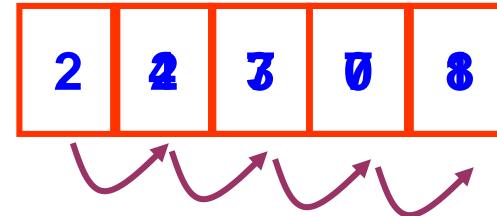
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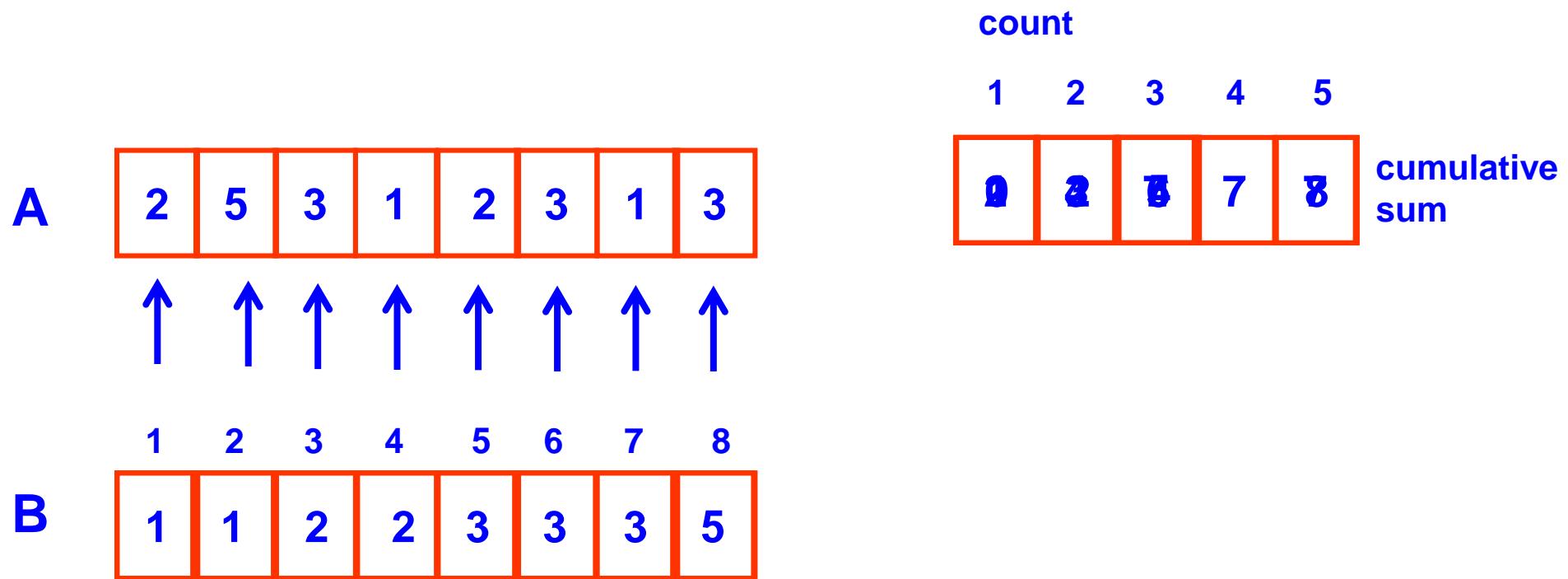
count



cumulative  
sum



# Counting Sort Example



This is an important property  
for many applications.  
E.g., used in radix sort later.



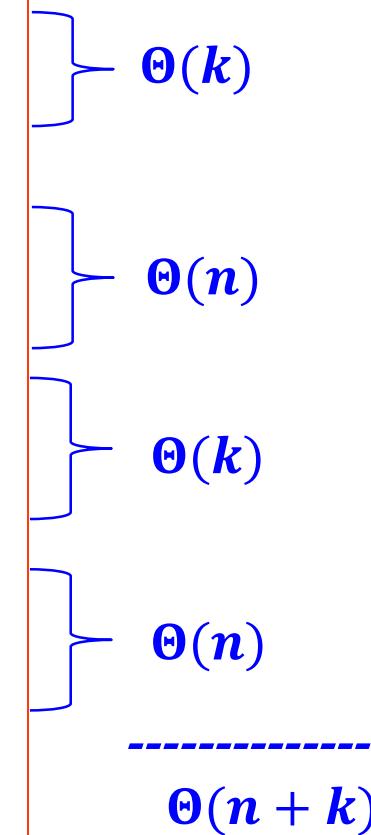
We start from the back of A so  
that numbers with the same  
value appear in B in the same  
order that they appear in A. This  
sorting is said to be **stable**.

# *counting\_sort pseudo code*

*A[1..n] - input array of n integers in the range 1 to k  
B[1..n] - output array containing the sorted elements from A*

```
counting_sort(A,B,k) {  
    n = A.last  
    for i = 1 to k {  
        count[i] = 0  
    }  
    for j = 1 to n {  
        count[A[j]] = count[A[j]] + 1  
    } // count[i] now contains the no. of elements = i  
    for i = 1 to k {  
        count[i] = count[i-1] + count[i]  
    } // count[i] now contains no. of elements ≤ i  
    for j = n downto 1 {  
        B[count[A[j]]] = A[j]  
        count[A[j]] = count[A[j]]-1  
    }  
}
```

If  $k = \Theta(n)$ , then overall complexity is  $\Theta(n)$ .



# *Radix Sort*

- ❑ Aim: sort  $n$  words, each with  $d$  digits.

329	329
457	355
657	436
839	457
436	657
720	720
355	839

$n = 7$  words, each with  $d = 3$  digits, each digit is in 0..9

- ❑ Human: sort according to the *most significant* digit first:

329 355 457 436 657 720 839

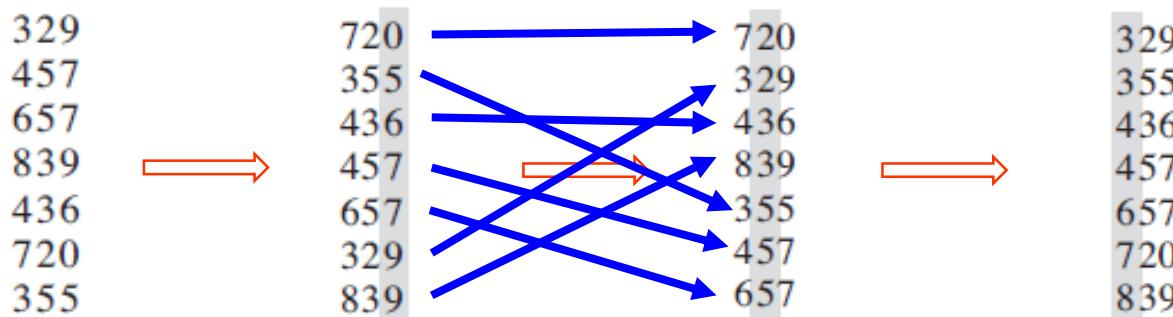


sort each pile separately according to second most significant digit and so on

- ❑ Con: need to keep track of many piles of numbers.

# Radix Sort

- ❑ Amazingly, radix sort performs sorting on the *least significant digit first*.



- ❑ Starting from least significant digit, sort the digit using a **stable** sort like counting sort.
- ❑ Repeat till the most significant digit.

# *Radix Sort*

```
radix_sort(A, d) {  
    for i = 1 to d {  
        sort A on digit i using a stable sort  
    }  
}
```

- ❑ Suppose we use counting sort to sort each digit in radix sort. Each digit is in range 1..k
  - Each counting sort -  $\Theta(n + k)$
  - $d$  counting sorts are used -  $\Theta(d(n + k))$

# Radix Sort Correctness

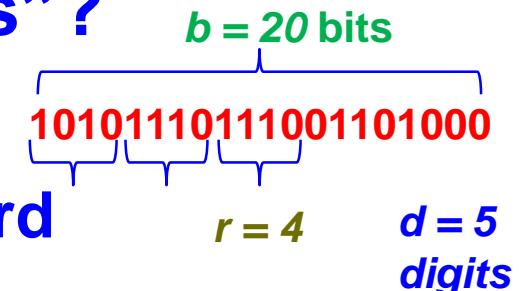
- Why does it work? Key: stable sort is used in each iteration.
- Proof by induction on the number of digits:
  - Basis step:  $d = 1$ , counting sort gives correct sorting.
  - Inductive step: Suppose that radix sort is correct for numbers with  $d - 1$  digits.

After  $d - 1$  iterations, the numbers are sorted according to their low-order  $d - 1$  digits. The final sort orders the numbers by their  $d$ -th digit. Consider 2 numbers  $a$  and  $b$  with  $d$ -th digit  $a_d$  and  $b_d$  respectively.

    - If  $a_d < b_d$ , then  $a < b$  regardless, so final sort is correct.
    - If  $a_d > b_d$ , then  $a > b$  regardless, so final sort is correct.
    - If  $a_d = b_d$ , since final sort is **stable**, the relative order of  $a$  and  $b$  remains unchanged.
      - Correct ordering is determined by low-order  $d - 1$  digits since they have same  $d$ -th digit.
      - Induction hypothesis:  $a$  and  $b$  are in the correct ordering.

# *Breaking into digits*

- How to break given elements into “digits”?
- $n$  words,  $b$  bits/word
  - break into  $r$ -bit digits  $\Rightarrow d = b/r$  digits/word
  - each digit is then in the range 0..  $k = 2^r - 1$
- Complexity:  $\Theta\left(\frac{b}{r}(n + 2^r)\right)$ 
  - If  $r = \lg n$ :  $\Theta\left(\frac{b}{\lg n}(n + n)\right) = \Theta\left(\frac{bn}{\lg n}\right)$
  - If  $r \gg \lg n$ :  $2^r$  term dominates  $r$  term in denominator so complexity is at least  $\Omega\left(\frac{bn}{\lg n}\right)$ .
  - If  $r \ll \lg n$ :  $n + 2^r = \Theta(n)$  but  $\frac{b}{r}$  increases, so  $\Omega\left(\frac{bn}{\lg n}\right)$ .
- In general, choose  $r \approx \lg n$



# **Comparison with Quicksort**

## **□ Suppose we want to sort $2^{16}$ 32-bit numbers.**

- $n = 2^{16}, b = 32$
- Radix sort: choose  $r = \lg 2^{16} = 16$ , then  $d = \frac{b}{r} = 2$   
     $\Rightarrow 2$  passes over the  $n$  numbers
- Quicksort:  $\lg n = 16$  passes over the  $n$  numbers

## **□ What is the magic?**

- Counting sort uses the fact that keys are integers, not just comparison of keys.
- Keys are used as array indices.

## **□ However, actual speed depends on:**

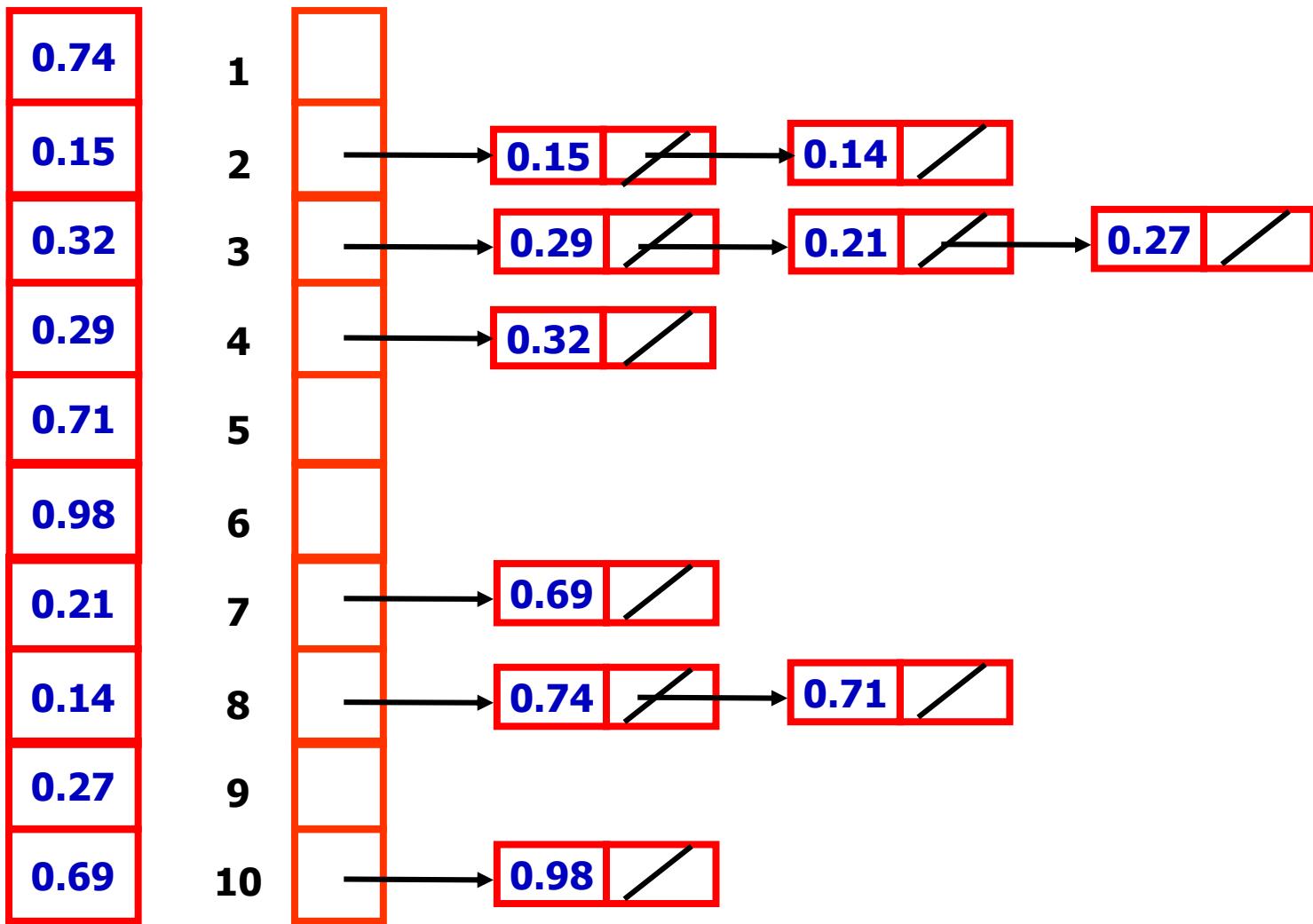
- characteristics of the implementations
- underlying machine (e.g., quicksort often uses hardware caches more effectively than radix sort)

## **□ Counting sort also not in-place: storage issues.**

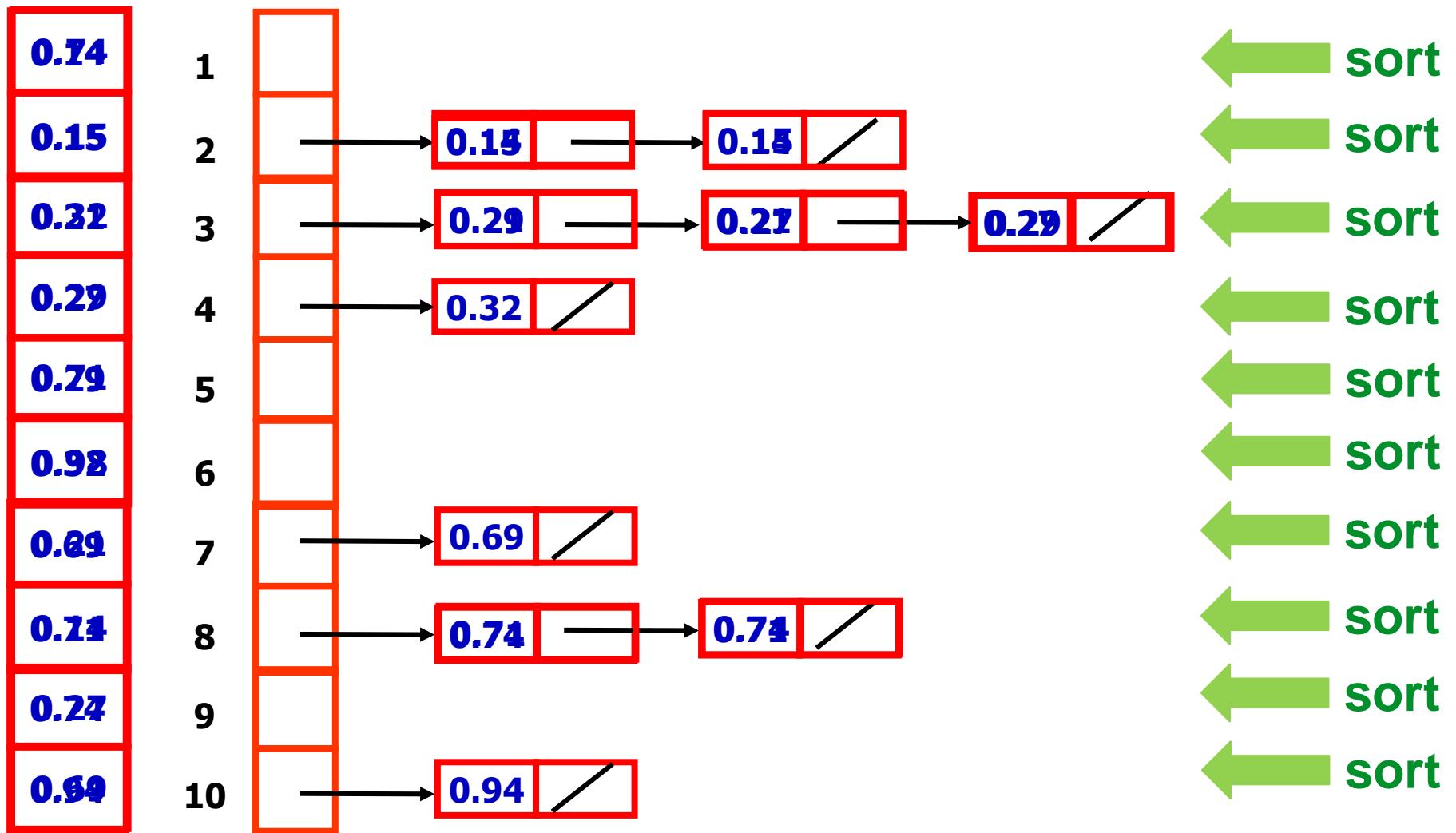
# *Bucket Sort*

- Assumes the input is generated by a random process that distributes values uniformly over  $[0,1)$ .
- Idea:
  - divide  $[0,1)$  into  $n$  equal sized buckets represented by  $B[1..n]$
  - distribute the given  $n$  inputs into the buckets
    - maintain a linked list for each bucket
  - sort each bucket (or linked list)
  - concatenate  $B[1], \dots, B[n]$  together to form final output

# Bucket Sort



# Bucket Sort



# *Bucket Sort Exercise*

- Values distributed uniformly over [0,1).
- Each link list is on average small, so average complexity per list is  $\Theta(1)$  (regardless of the sorting algorithm used, as long as it is reasonable. E.g., use insertion sort for simplicity).
- Therefore, overall average complexity :  $\Theta(n)$
- Exercises:
  - write the pseudo-code for insertion sort on a singly linked list
  - write the pseudo-code for bucket sort.

# *Learning Takeaway*

- **Sorting in linear time is possible if we know the values to be sorted have certain properties:**
  - integers in a given range – counting sort
  - can be represented with fixed number of digits – radix sort
  - uniformly generated – bucket sort (average complexity)
  
- **Depending on your problem, choose the best procedure!**