Sorting: From Theory to Practice

- Why do we study sorting?
  - Because we have to
  - Because sorting is beautiful
  - Example of algorithm analysis in a simple, useful setting

- There are \( n \) sorting algorithms, how many should we study?
  - \( \mathcal{O}(n) \), \( \mathcal{O}(\log n) \), ...
  - Why do we study more than one algorithm?
    - Some are good, some are bad, some are very, very sad
    - Paradigms of trade-offs and algorithmic design
  - Which sorting algorithm is best?
  - Which sort should you call from code you write?
Sorting out sorts

- **Simple, O(n^2) sorts --- for sorting n elements**
  - Selection sort --- n^2 comparisons, n swaps, **easy to code**
  - Insertion sort --- n^2 comparisons, n^2 moves, **stable**, fast on nearly sorted vectors: O(n)
  - Bubble sort --- n^2 everything, **slower**

- **Divide and conquer faster sorts: O(n log n) for n elements**
  - Quick sort: **fast** in practice, O(n^2) worst case
  - Merge sort: good worst case, great for linked lists, **stable**, uses extra storage for vectors/arrays

- **Other sorts:**
  - Heap sort, basically priority queue sorting
  - Radix sort: doesn’t compare keys, uses digits/characters
  - Shell sort: quasi-insertion, fast in practice, non-recursive
Selection sort: summary

- Simple to code $n^2$ sort: $n^2$ comparisons, $n$ swaps

```java
void selectSort(String[] a) {
    for (int k = 0; k < a.length; k++) {
        int minIndex = findMin(a, k);
        swap(a, k, minIndex);
    }
}
```

- # comparisons: \[ \sum_{k=1}^{n} k = 1 + 2 + \ldots + n = \frac{n(n+1)}{2} = O(n^2) \]
  - Swaps?
  - Invariant:

<table>
<thead>
<tr>
<th>Sorted, won’t move final position</th>
<th>□□□□□</th>
</tr>
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Insertion Sort: summary

- Stable sort, $O(n^2)$ -- ( $O(n)$ on nearly sorted vectors!)
  - Stable sorts maintain order of equal keys
  - Good for sorting on two criteria: name, then age

```java
void insertSort(String[] a){
    int k, loc; string elt;
    for(k=1; k < a.length; k++) {
        elt = a[k];
        loc = k;
        // shift until spot for elt is found
        while (0 < loc && elt.compareTo(a[loc-1]) < 0) {
            a[loc] = a[loc-1]; // shift right
            loc=loc-1;
        }
        a[loc] = elt;
    }
}
```

| Sorted relative to each other | ?????
Bubble sort: summary of a dog

- For completeness you should know about this sort
  - Few, if any, redeeming features. Really slow, really
  - Can code to recognize already sorted vector (see insertion)
    - Not worth it for bubble sort, much slower than insertion

```java
void bubbleSort(String[] a) {
    for (int j=a.length-1; j >= 0; j--) {
        for (int k=0; k < j; k++) {
            if (a[k] > a[k+1])
                swap(a, k, k+1);
        }
    }
}
```

- "bubble" elements down the vector/array

<table>
<thead>
<tr>
<th>????</th>
<th>Sorted, in final position</th>
</tr>
</thead>
</table>

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Summary of simple sorts

- **Selection sort has n swaps, good for “heavy” data**
  - moving objects with lots of state, e.g., ...
    - In C or C++ this is an issue
    - In Java everything is a pointer/reference, so swapping is fast since it's pointer assignment

- **Insertion sort is good on nearly sorted data, it’s stable, it’s fast**
  - Also foundation for Shell sort, very fast non-recursive
  - More complicated to code, but relatively simple, and fast

- **Bubble sort is a travesty? But it's fast to code if you know it!**
  - Can be parallelized, but on one machine don’t go near it (see quotes at end of slides)
Quicksort: fast in practice

- Invented in 1962 by C.A.R. Hoare, didn’t understand recursion
  - Worst case is $O(n^2)$, but avoidable in nearly all cases
  - In 1997 Introsort published (Musser, introspective sort)
    - Like quicksort in practice, but recognizes when it will be bad and changes to heapsort

```java
void quick(String[], int left, int right) {
    if (left < right) {
        int pivot = partition(a, left, right);
        quick(a, left, pivot-1);
        quick(a, pivot+1, right);
    }
}
```

- Recurrence?

<table>
<thead>
<tr>
<th>&lt;= X</th>
<th>X</th>
<th>&gt; X</th>
</tr>
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</table>

pivot index
Partition code for quicksort

Easy to develop partition

```java
int partition(String[] a, int left, int right){
    String pivot = a[left];
    int k, pIndex = left;
    for (k=left+1, k <= right; k++)
        if (a[k].compareTo(pivot) <= 0){
            pIndex++;
            swap(a,k,pIndex);
        }
    swap(a,left,pIndex);
    return pIndex;
}
```

- Loop invariant:
  - statement true each time loop test is evaluated, used to verify correctness of loop
  - Can swap into a[left] before loop
    - Nearly sorted data still ok
Analysis of Quicksort

- **Average case and worst case analysis**
  - Recurrence for worst case: \( T(n) = T(n-1) + T(1) + O(n) \)
  - What about average? \( T(n) = 2T(n/2) + O(n) \)

- **Reason informally:**
  - Two calls vector size \( n/2 \)
  - Four calls vector size \( n/4 \)
  - … How many calls? Work done on each call?

- **Partition: typically find middle of left, middle, right, swap, go**
  - Avoid bad performance on nearly sorted data

- **In practice: remove some (all?) recursion, avoid lots of “clones”**
Tail recursion elimination

- If the last statement is a recursive call, recursion can be replaced with iteration
  - Call cannot be part of an expression
  - Some compilers do this automatically

```java
void foo(int n) {
    if (0 < n) {
        System.out.println(n);
        foo(n-1);
    }
}

void foo2(int n) {
    while (0 < n) {
        System.out.println(n);
        n = n-1;
    }
}
```

- What if print and recursive call switched?
- What about recursive factorial? `return n*factorial(n-1);`
Merge sort: worst case $O(n \log n)$

- **Divide and conquer --- recursive sort**
  - Divide list/vector into two halves
    - Sort each half
    - Merge sorted halves together
  - What is complexity of merging two sorted lists?
  - What is recurrence relation for merge sort as described?
  \[
  T(n) = 2T(n/2) + O(n)
  \]

- **What is advantage of array over linked-list for merge sort?**
  - What about merging, advantage of linked list?
  - Array requires auxiliary storage (or very fancy coding)
Merge sort: lists or vectors

- Mergesort for vectors

```java
void mergesort(String[] a, int left, int right) {
    if (left < right) {
        int mid = (right+left)/2;
        mergesort(a, left, mid);
        mergesort(a, mid+1, right);
        merge(a, left, mid, right);
    }
}
```

- What’s different when linked lists used?
  - Do differences affect complexity? Why?

- How does merge work?
Mergesort continued

- Array code for merge isn’t pretty, but it’s not hard
  - Mergesort itself is elegant

```java
void merge(String[] a,
           int left, int middle, int right)
// pre:  left <= middle <= right,
//      a[left] <= ... <= a[middle],
//      a[middle+1] <= ... <= a[right]
// post: a[left] <= ... <= a[right]
```

- Why is this prototype potentially simpler for linked lists?
  - What will prototype be? What is complexity?
void merge(String[] a, int left, int middle, int right) {
    String[] b = new String[right - left + 1];
    int k = 0, kl = left, kr = middle + 1;
    for (; kl <= middle && kr <= right; k++){
        if (a[kl].compareTo(a[kr]) <= 0)
            b[k] = a[kl++];
        else
            b[k] = a[kr++];
    }
    for (; kl <= middle; kl++)
        b[k++] = a[kl];
    for (; kr <= right; kr++)
        b[k++] = a[kr];
    for (k = 0; k < b.length; k++)
        a[left+k] = b[k];
}
Summary of $O(n \log n)$ sorts

- **Quicksort** is relatively straight-forward to code, very fast
  - Worst case is very unlikely, but possible, therefore …
  - But, if lots of elements are equal, performance will be bad
    - One million integers from range 0 to 10,000
    - How can we change partition to handle this?

- **Merge sort** is stable, it’s fast, good for linked lists, harder to code?
  - Worst case performance is $O(n \log n)$, compare quicksort
  - Extra storage for array/vector

- **Heapsort**, more complex to code, good worst case, not stable
  - Basically heap-based priority queue in a vector
Sorting in practice

- Rarely will you need to roll your own sort, but when you do...
  - What are key issues?

- If you use a library sort, you need to understand the interface
  - In C++ we have STL
    - STL has sort, and stable_sort
  - In C the generic sort is complex to use because arrays are ugly
  - In Java guarantees and worst-case are important
    - Why won’t quicksort normally be used?
    - When is it used? Why?

- Comparators permit sorting criteria to change simply