CS61B Lectures #27

Today:

• Selection sorts, heap sort
• Merge sorts
• Quicksort

Readings: Today: DS(IJ), Chapter 8; Next topic: Chapter 9.
Sorting by Selection: Heapsort

Idea: Keep selecting smallest (or largest) element.

- Really bad idea on a simple list or vector.
- But we’ve already seen it in action: use heap.
- Gives $O(N \log N)$ algorithm ($N$ remove-first operations).
- Since we remove items from end of heap, we can use that area to accumulate result:
Sorting By Selection: Initial Heapifying

- When covering heaps before, we created them by insertion in an initially empty heap.
- When given an array of unheaped data to start with, there is a faster procedure (assume heap indexed from 0):

```java
void heapify(int[] arr) {
    int N = arr.length;
    for (int k = N / 2; k >= 0; k -= 1) {
        for (int p = k, c = 0; 2*p + 1 < N; p = c) {
            c = 2k+1 or 2k+2, whichever is < N
            and indexes larger value in arr;
            swap elements c and k of arr;
        }
    }
}
```

- Looks like the procedure for re-inserting an element after the top element of the heap is removed, repeated \(N/2\) times.
- But instead of being \(\Theta(N \lg N)\), it's just \(\Theta(N)\).
Cost of Creating Heap

- In general, worst-case cost for a heap with \( h + 1 \) levels is

  \[
  2^0 \cdot h + 2^1 \cdot (h - 1) + \ldots + 2^{h-1} \cdot 1 \\
  = (2^0 + 2^1 + \ldots + 2^{h-1}) + (2^0 + 2^1 + \ldots + 2^{h-2}) + \ldots + (2^0) \\
  = (2^h - 1) + (2^{h-1} - 1) + \ldots + (2^1 - 1) \\
  = 2^{h+1} - 1 - h \\
  \in \Theta(2^h) = \Theta(N)
  \]

- Alas, since the rest of heapsort still takes \( \Theta(N \lg N) \), this does not improve its asymptotic cost.
**Merge Sorting**

**Idea:** Divide data in 2 equal parts; recursively sort halves; merge results.

- Already seen analysis: $\Theta(N \log N)$.
- Good for *external sorting*:
  - First break data into small enough chunks to fit in memory and sort.
  - Then repeatedly merge into bigger and bigger sequences.
- Can merge $K$ sequences of *arbitrary size* on secondary storage using $\Theta(K)$ storage:

```java
Data[] V = new Data[K];
For all i, set V[i] to the first data item of sequence i;
while there is data left to sort:
    Find k so that V[k] is smallest;
    Output V[k], and read new value into V[k] (if present).
```
Illustration of Internal Merge Sort

For internal sorting, can use a binomial comb to orchestrate:

L: (9, 15, 5, 3, 0, 6, 10, -1, 2, 20, 8)

0 elements processed

1 element processed

2 elements processed

3 elements processed

4 elements processed

6 elements processed

11 elements processed
Quicksort: Speed through Probability

Idea:

- **Partition** data into pieces: everything $> a$ **pivot** value at the high end of the sequence to be sorted, and everything $\leq$ on the low end.
- Repeat recursively on the high and low pieces.
- For speed, stop when pieces are “small enough” and do insertion sort on the whole thing.
- Reason: insertion sort has low constant factors. By design, no item will move out of its piece [why?], so when pieces are small, #inversions is, too.
- Have to choose pivot well. E.g.: **median** of first, last and middle items of sequence.
Example of Quicksort

- In this example, we continue until pieces are size $\leq 4$.
- Pivots for next step are starred. Arrange to move pivot to dividing line each time.
- Last step is insertion sort.

<table>
<thead>
<tr>
<th>16</th>
<th>10</th>
<th>13</th>
<th>18</th>
<th>-4</th>
<th>-7</th>
<th>12</th>
<th>-5</th>
<th>19</th>
<th>15</th>
<th>0</th>
<th>22</th>
<th>29</th>
<th>34</th>
<th>-1*</th>
</tr>
</thead>
<tbody>
<tr>
<td>-4</td>
<td>-5</td>
<td>-7</td>
<td>-1</td>
<td>18</td>
<td>13</td>
<td>12</td>
<td>10</td>
<td>19</td>
<td>15</td>
<td>0</td>
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<td>29</td>
<td>34</td>
<td>16*</td>
</tr>
<tr>
<td>-4</td>
<td>-5</td>
<td>-7</td>
<td>-1</td>
<td>15</td>
<td>13</td>
<td>12*</td>
<td>10</td>
<td>0</td>
<td>16</td>
<td>19*</td>
<td>22</td>
<td>29</td>
<td>34</td>
<td>18</td>
</tr>
<tr>
<td>-4</td>
<td>-5</td>
<td>-7</td>
<td>-1</td>
<td>10</td>
<td>0</td>
<td>12</td>
<td>15</td>
<td>13</td>
<td>16</td>
<td>18</td>
<td>19</td>
<td>29</td>
<td>34</td>
<td>22</td>
</tr>
</tbody>
</table>

- Now everything is “close to” right, so just do insertion sort:

| -7 | -5 | -4 | -1 | 0 | 10 | 12 | 13 | 15 | 16 | 18 | 19 | 22 | 29 | 34 |
Performance of Quicksort

• Probabalistic time:
  - If choice of pivots good, divide data in two each time: $\Theta(N \lg N)$
    with a good constant factor relative to merge or heap sort.
  - If choice of pivots bad, most items on one side each time: $\Theta(N^2)$.
  - $\Omega(N \lg N)$ in best case, so insertion sort better for nearly ordered input sets.

• Interesting point: randomly shuffling the data before sorting makes $\Omega(N^2)$ time very unlikely!
Quick Selection

The Selection Problem: for given $k$, find $k^{th}$ smallest element in data.

- Obvious method: sort, select element $#k$, time $\Theta(N \lg N)$.
- If $k \leq$ some constant, can easily do in $\Theta(N)$ time:
  - Go through array, keep smallest $k$ items.
- Get probably $\Theta(N)$ time for all $k$ by adapting quicksort:
  - Partition around some pivot, $p$, as in quicksort, arrange that pivot ends up at dividing line.
  - Suppose that in the result, pivot is at index $m$, all elements $\leq$ pivot have indicies $\leq m$.
  - If $m = k$, you’re done: $p$ is answer.
  - If $m > k$, recursively select $k^{th}$ from left half of sequence.
  - If $m < k$, recursively select $(k - m - 1)^{th}$ from right half of sequence.
Selection Example

Problem: Find just item #10 in the sorted version of array:

Initial contents:

<table>
<thead>
<tr>
<th>51</th>
<th>60</th>
<th>21</th>
<th>-4</th>
<th>37</th>
<th>4</th>
<th>49</th>
<th>10</th>
<th>40*</th>
<th>59</th>
<th>0</th>
<th>13</th>
<th>2</th>
<th>39</th>
<th>11</th>
<th>46</th>
<th>31</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Looking for #10 to left of pivot 40:

<table>
<thead>
<tr>
<th>13</th>
<th>31</th>
<th>21</th>
<th>-4</th>
<th>37</th>
<th>4*</th>
<th>11</th>
<th>10</th>
<th>39</th>
<th>2</th>
<th>0</th>
<th>40</th>
<th>59</th>
<th>51</th>
<th>49</th>
<th>46</th>
<th>60</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td></td>
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<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

Looking for #6 to right of pivot 4:

<table>
<thead>
<tr>
<th>-4</th>
<th>0</th>
<th>2</th>
<th>4</th>
<th>37</th>
<th>13</th>
<th>11</th>
<th>10</th>
<th>39</th>
<th>21</th>
<th>31*</th>
<th>40</th>
<th>59</th>
<th>51</th>
<th>49</th>
<th>46</th>
<th>60</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

Looking for #1 to right of pivot 31:

<table>
<thead>
<tr>
<th>-4</th>
<th>0</th>
<th>2</th>
<th>4</th>
<th>21</th>
<th>13</th>
<th>11</th>
<th>10</th>
<th>31</th>
<th>39</th>
<th>37</th>
<th>40</th>
<th>59</th>
<th>51</th>
<th>49</th>
<th>46</th>
<th>60</th>
</tr>
</thead>
<tbody>
<tr>
<td>9</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Just two elements; just sort and return #1:

<table>
<thead>
<tr>
<th>-4</th>
<th>0</th>
<th>2</th>
<th>4</th>
<th>21</th>
<th>13</th>
<th>11</th>
<th>10</th>
<th>31</th>
<th>37</th>
<th>39</th>
<th>40</th>
<th>59</th>
<th>51</th>
<th>49</th>
<th>46</th>
<th>60</th>
</tr>
</thead>
<tbody>
<tr>
<td>9</td>
<td></td>
<td></td>
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<td></td>
<td></td>
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</tr>
</tbody>
</table>

Result: 39
Selection Performance

• For this algorithm, if $m$ roughly in middle each time, cost is

$$C(N) = \begin{cases} 1, & \text{if } N = 1, \\ N + C(N/2), & \text{otherwise.} \end{cases}$$

$$= N + N/2 + \ldots + 1$$

$$= 2N - 1 \in \Theta(N)$$

• But in worst case, get $\Theta(N^2)$, as for quicksort.

• By another, non-obvious algorithm, can get $\Theta(N)$ worst-case time for all $k$ (take CS170).