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2.2 MERGESORT

- *mergesort*
- *bottom-up mergesort*
- *sorting complexity*
- *comparators*
- *stability*

Two classic sorting algorithms

Critical components in the world's computational infrastructure.

- Full scientific understanding of their properties has enabled us to develop them into practical system sorts.
- Quicksort honored as one of top 10 algorithms of 20th century in science and engineering.

Mergesort. [this lecture]

- Java sort for objects.
- Perl, C++ stable sort, Python stable sort, Firefox JavaScript, ...

Quicksort. [next lecture]

- Java sort for primitive types.
- C qsort, Unix, Visual C++, Python, Matlab, Chrome JavaScript, ...

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2.2 MERGESORT

- *mergesort*
- *bottom-up mergesort*
- *sorting complexity*
- *comparators*
- *stability*

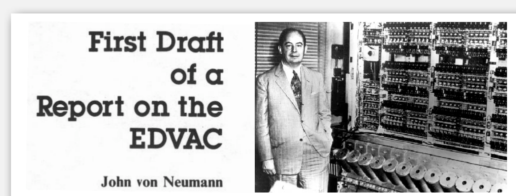
Mergesort

Basic plan.

- Divide array into two halves.
- Recursively sort each half.
- Merge two halves.

input	M	E	R	G	E	S	O	R	T	E	X	A	M	P	L	E
sort left half	E	E	G	M	O	R	R	S	T	E	X	A	M	P	L	E
sort right half	E	E	G	M	O	R	R	S	A	E	E	L	M	P	T	X
merge results	A	E	E	E	E	G	L	M	M	O	P	R	R	S	T	X

Mergesort overview



Abstract in-place merge demo

Goal. Given two sorted subarrays `a[lo]` to `a[mid]` and `a[mid+1]` to `a[hi]`, replace with sorted subarray `a[lo]` to `a[hi]`.

	lo				mid	mid+1				hi
a[]	E	E	G	M	R	A	C	E	R	T

$\underbrace{\text{E E G M R}}_{\text{sorted}}$ $\underbrace{\text{A C E R T}}_{\text{sorted}}$

Abstract in-place merge demo

Goal. Given two sorted subarrays `a[lo]` to `a[mid]` and `a[mid+1]` to `a[hi]`, replace with sorted subarray `a[lo]` to `a[hi]`.

	lo									hi
a[]	A	C	E	E	E	G	M	R	R	T

$\underbrace{\text{A C E E E G M R R T}}_{\text{sorted}}$

Merging: Java implementation

```
private static void merge(Comparable[] a, Comparable[] aux, int lo, int mid, int hi)
{
   assert isSorted(a, lo, mid);    // precondition: a[lo..mid]   sorted
   assert isSorted(a, mid+1, hi);  // precondition: a[mid+1..hi] sorted

   for (int k = lo; k <= hi; k++)                                     copy
      aux[k] = a[k];

   int i = lo, j = mid+1;                                             merge
   for (int k = lo; k <= hi; k++)
   {
      if      (i > mid)              a[k] = aux[j++];
      else if (j > hi)               a[k] = aux[i++];
      else if (less(aux[j], aux[i])) a[k] = aux[j++];
      else                           a[k] = aux[i++];
   }

   assert isSorted(a, lo, hi);     // postcondition: a[lo..hi] sorted
}
```

	lo			i	mid			j		hi
aux[]	A	G	L	O	R	H	I	M	S	T
						k				
a[]	A	G	H	I	L	M				

Assertions

Assertion. Statement to test assumptions about your program.

- Helps detect logic bugs.
- Documents code.

Java assert statement. Throws exception unless boolean condition is true.

```
assert isSorted(a, lo, hi);
```

Can enable or disable at runtime. ⇒ No cost in production code.

```
java -ea MyProgram   // enable assertions
java -da MyProgram   // disable assertions (default)
```

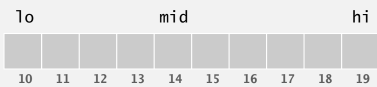
Best practices. Use assertions to check internal invariants; assume assertions will be disabled in production code. ← do not use for external argument checking

Mergesort: Java implementation

```
public class Merge
{
   private static void merge(...)
   {  /* as before */  }

   private static void sort(Comparable[] a, Comparable[] aux, int lo, int hi)
   {
      if (hi <= lo) return;
      int mid = lo + (hi - lo) / 2;
      sort(a, aux, lo, mid);
      sort(a, aux, mid+1, hi);
      merge(a, aux, lo, mid, hi);
   }

   public static void sort(Comparable[] a)
   {
      aux = new Comparable[a.length];
      sort(a, aux, 0, a.length - 1);
   }
}
```



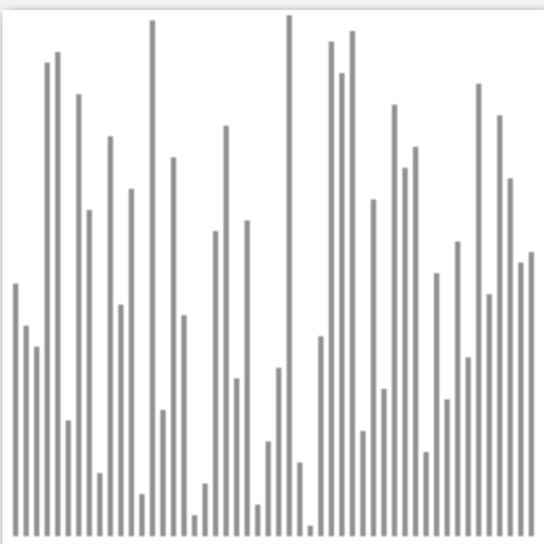
Mergesort: trace

	a[]															
(lo, hi)	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
	M	E	R	G	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 0, 0, 1)	E	M	R	G	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 2, 2, 3)	E	M	G	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 0, 1, 3)	E	G	M	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 4, 4, 5)	E	G	M	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 6, 6, 7)	E	G	M	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 4, 5, 7)	E	G	M	R	E	O	R	S	T	E	X	A	M	P	L	E
merge(a, aux, 0, 3, 7)	E	E	G	M	O	R	R	S	T	E	X	A	M	P	L	E
merge(a, aux, 8, 8, 9)	E	E	G	M	O	R	R	S	E	T	X	A	M	P	L	E
merge(a, aux, 10, 10, 11)	E	E	G	M	O	R	R	S	E	T	A	X	M	P	L	E
merge(a, aux, 8, 9, 11)	E	E	G	M	O	R	R	S	A	E	T	X	M	P	L	E
merge(a, aux, 12, 12, 13)	E	E	G	M	O	R	R	S	A	E	T	X	M	P	L	E
merge(a, aux, 14, 14, 15)	E	E	G	M	O	R	R	S	A	E	T	X	M	P	E	L
merge(a, aux, 12, 13, 15)	E	E	G	M	O	R	R	S	A	E	T	X	E	L	M	P
merge(a, aux, 8, 11, 15)	E	E	G	M	O	R	R	S	A	E	E	L	M	P	T	X
merge(a, aux, 0, 7, 15)	A	E	E	E	E	G	L	M	M	O	P	R	R	S	T	X

result after recursive call

Mergesort: animation

50 random items

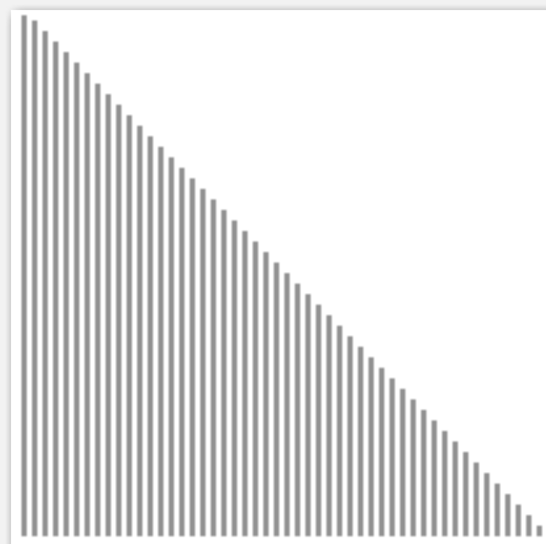


algorithm position
in order
current subarray
not in order

http://www.sorting-algorithms.com/merge-sort

Mergesort: animation

50 reverse-sorted items



algorithm position
in order
current subarray
not in order

http://www.sorting-algorithms.com/merge-sort

Mergesort: empirical analysis

Running time estimates:

- Laptop executes 10^8 compares/second.
- Supercomputer executes 10^{12} compares/second.

	insertion sort (N^2)			mergesort (N log N)		
computer	thousand	million	billion	thousand	million	billion
home	instant	2.8 hours	317 years	instant	1 second	18 min
super	instant	1 second	1 week	instant	instant	instant

Bottom line. Good algorithms are better than supercomputers.

Mergesort: number of compares and array accesses

Proposition. Mergesort uses at most $N \lg N$ compares and $6 N \lg N$ array accesses to sort any array of size N.

Pf sketch. The number of compares $C(N)$ and array accesses $A(N)$ to mergesort an array of size N satisfy the recurrences:

$$C(N) \le \underbrace{C(\lceil N/2 \rceil)}_{\text{left half}} + \underbrace{C(\lfloor N/2 \rfloor)}_{\text{right half}} + \underbrace{N}_{\text{merge}} \quad \text{for } N > 1, \text{ with } C(1) = 0.$$

$$A(N) \le A(\lceil N/2 \rceil) + A(\lfloor N/2 \rfloor) + 6N \quad \text{for } N > 1, \text{ with } A(1) = 0.$$

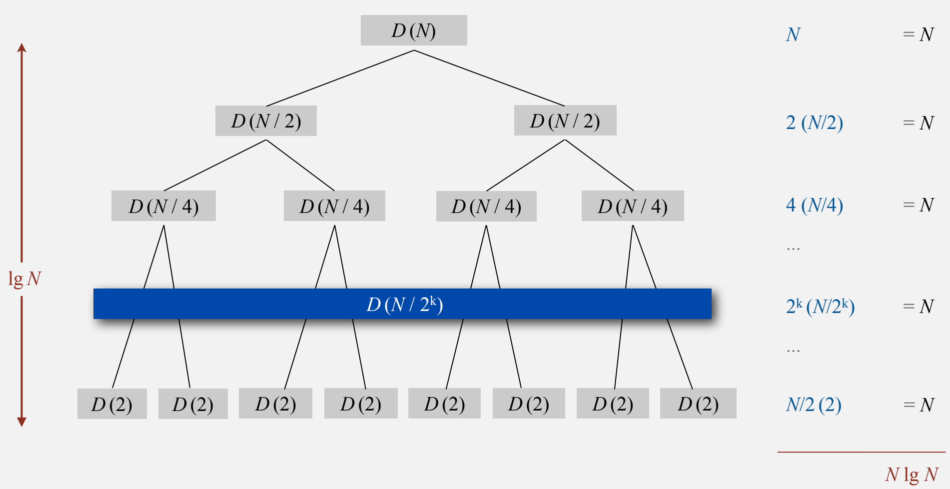
We solve the recurrence when N is a power of 2. ← result holds for all N

$$D(N) = 2\,D(N/2) + N, \text{ for } N > 1, \text{ with } D(1) = 0.$$

Divide-and-conquer recurrence: proof by picture

Proposition. If $D(N)$ satisfies $D(N) = 2\,D(N/2) + N$ for $N > 1$, with $D(1) = 0$, then $D(N) = N \lg N$.

Pf 1. [assuming N is a power of 2]



Divide-and-conquer recurrence: proof by expansion

Proposition. If $D(N)$ satisfies $D(N) = 2\,D(N/2) + N$ for $N > 1$, with $D(1) = 0$, then $D(N) = N \lg N$.

Pf 2. [assuming N is a power of 2]

$D(N) = 2\,D(N/2) + N$	given
$D(N)/N = 2\,D(N/2)/N + 1$	divide both sides by N
$= D(N/2)/(N/2) + 1$	algebra
$= D(N/4)/(N/4) + 1 + 1$	apply to first term
$= D(N/8)/(N/8) + 1 + 1 + 1$	apply to first term again
$\ldots$	
$= D(N/N)/(N/N) + 1 + 1 + \ldots + 1$	stop applying, D(1) = 0
$= \lg N$	

Divide-and-conquer recurrence: proof by induction

Proposition. If $D(N)$ satisfies $D(N) = 2\,D(N/2) + N$ for $N > 1$, with $D(1) = 0$, then $D(N) = N \lg N$.

Pf 3. [assuming N is a power of 2]

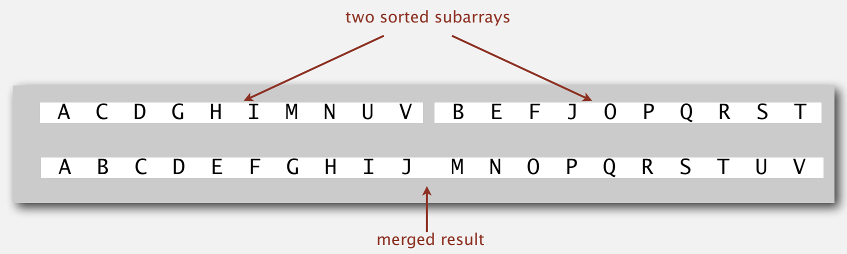
- Base case: $N = 1$.
- Inductive hypothesis: $D(N) = N \lg N$.
- Goal: show that $D(2N) = (2N) \lg (2N)$.

$D(2N) = 2\,D(N) + 2N$	given
$= 2\,N \lg N + 2N$	inductive hypothesis
$= 2\,N (\lg (2N) - 1) + 2N$	algebra
$= 2\,N \lg (2N)$	QED

Mergesort analysis: memory

Proposition. Mergesort uses extra space proportional to N.

Pf. The array `aux[]` needs to be of size N for the last merge.



Def. A sorting algorithm is in-place if it uses $\leq c \log N$ extra memory.

Ex. Insertion sort, selection sort, shellsort.

Challenge for the bored. In-place merge. [Kronrod, 1969]

Mergesort: practical improvements

Use insertion sort for small subarrays.

- Mergesort has too much overhead for tiny subarrays.
- Cutoff to insertion sort for ≈ 7 items.

```
private static void sort(Comparable[] a, Comparable[] aux, int lo, int hi)
{
   if (hi <= lo + CUTOFF - 1) Insertion.sort(a, lo, hi);
   int mid = lo + (hi - lo) / 2;
   sort (a, aux, lo, mid);
   sort (a, aux, mid+1, hi);
   merge(a, aux, lo, mid, hi);
}
```


Mergesort: practical improvements

Stop if already sorted.

- Is biggest item in first half ≤ smallest item in second half?
- Helps for partially-ordered arrays.

A B C D E F G H I J M N O P Q R S T U V

A B C D E F G H I J M N O P Q R S T U V

```
private static void sort(Comparable[] a, Comparable[] aux, int lo, int hi)
{
   if (hi <= lo) return;
   int mid = lo + (hi - lo) / 2;
   sort (a, aux, lo, mid);
   sort (a, aux, mid+1, hi);
   if (!less(a[mid+1], a[mid])) return;
   merge(a, aux, lo, mid, hi);
}
```

Mergesort: practical improvements

Eliminate the copy to the auxiliary array. Save time (but not space) by switching the role of the input and auxiliary array in each recursive call.

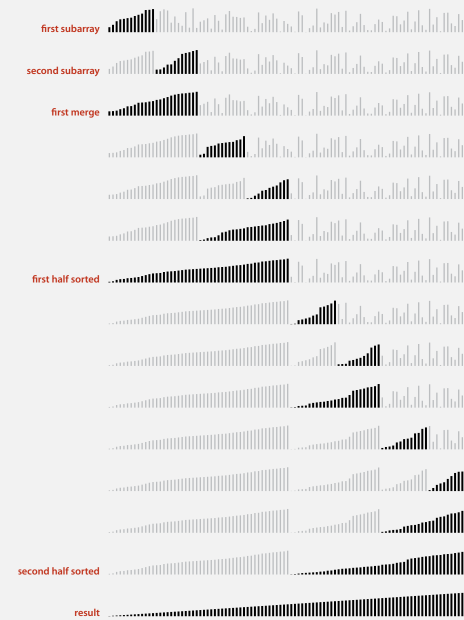
```
private static void merge(Comparable[] a, Comparable[] aux, int lo, int mid, int hi)
{
   int i = lo, j = mid+1;
   for (int k = lo; k <= hi; k++)
   {
      if      (i > mid)          aux[k] = a[j++];
      else if (j > hi)           aux[k] = a[i++];
      else if (less(a[j], a[i])) aux[k] = a[j++];
      else                       aux[k] = a[i++];
   }
}

private static void sort(Comparable[] a, Comparable[] aux, int lo, int hi)
{
   if (hi <= lo) return;
   int mid = lo + (hi - lo) / 2;
   sort (aux, a, lo, mid);
   sort (aux, a, mid+1, hi);
   merge(aux, a, lo, mid, hi);
}
```

merge from a[] to aux[]

switch roles of aux[] and a[]

Mergesort: visualization



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2.2 Mergesort

Bottom-up mergesort

Basic plan.
- Pass through array, merging subarrays of size 1.
- Repeat for subarrays of size 2, 4, 8, 16, ...

	a[i]															
	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
sz = 1	M	E	R	G	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 0, 0, 1)	E	M	R	G	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 2, 2, 3)	E	M	G	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 4, 4, 5)	E	M	G	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 6, 6, 7)	E	M	G	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, aux, 8, 8, 9)	E	M	G	R	E	S	O	R	E	T	X	A	M	P	L	E
merge(a, aux, 10, 10, 11)	E	M	G	R	E	S	O	R	E	T	A	X	M	P	L	E
merge(a, aux, 12, 12, 13)	E	M	G	R	E	S	O	R	E	T	A	X	M	P	L	E
merge(a, aux, 14, 14, 15)	E	M	G	R	E	S	O	R	E	T	A	X	M	P	E	L
sz = 2																
merge(a, aux, 0, 1, 3)	E	G	M	R	E	S	O	R	E	T	A	X	M	P	E	L
merge(a, aux, 4, 5, 7)	E	G	M	R	E	O	R	S	E	T	A	X	M	P	E	L
merge(a, aux, 8, 9, 11)	E	G	M	R	E	O	R	S	A	E	T	X	M	P	E	L
merge(a, aux, 12, 13, 15)	E	G	M	R	E	O	R	S	A	E	T	X	E	L	M	P
sz = 4																
merge(a, aux, 0, 3, 7)	E	E	G	M	O	R	R	S	A	E	T	X	E	L	M	P
merge(a, aux, 8, 11, 15)	E	E	G	M	O	R	R	S	A	E	E	L	M	P	T	X
sz = 8																
merge(a, aux, 0, 7, 15)	A	E	E	E	E	G	L	M	M	O	P	R	R	S	T	X

Bottom-up mergesort: Java implementation

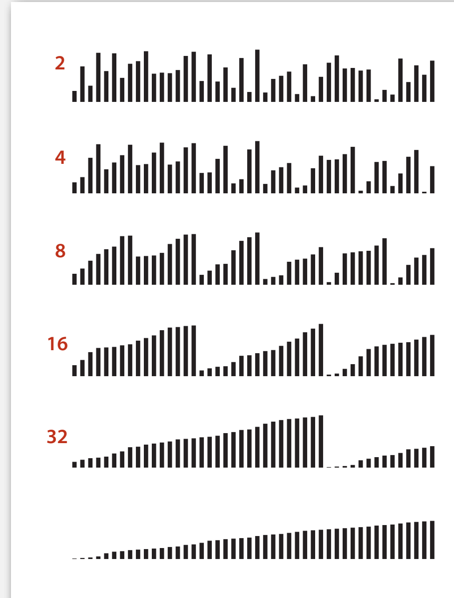
```
public class MergeBU
{
   private static void merge(...)
   {  /* as before */  }

   public static void sort(Comparable[] a)
   {
      int N = a.length;
      Comparable[] aux = new Comparable[N];
      for (int sz = 1; sz < N; sz = sz+sz)
         for (int lo = 0; lo < N-sz; lo += sz+sz)
            merge(a, aux, lo, lo+sz-1, Math.min(lo+sz+sz-1, N-1));
   }
}
```

but about 10% slower than recursive, top-down mergesort on typical systems

Bottom line. Simple and non-recursive version of mergesort.

Bottom-up mergesort: visual trace



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2.2 Mergesort

- mergesort
- bottom-up mergesort
- *sorting complexity*
- comparators
- stability

Complexity of sorting

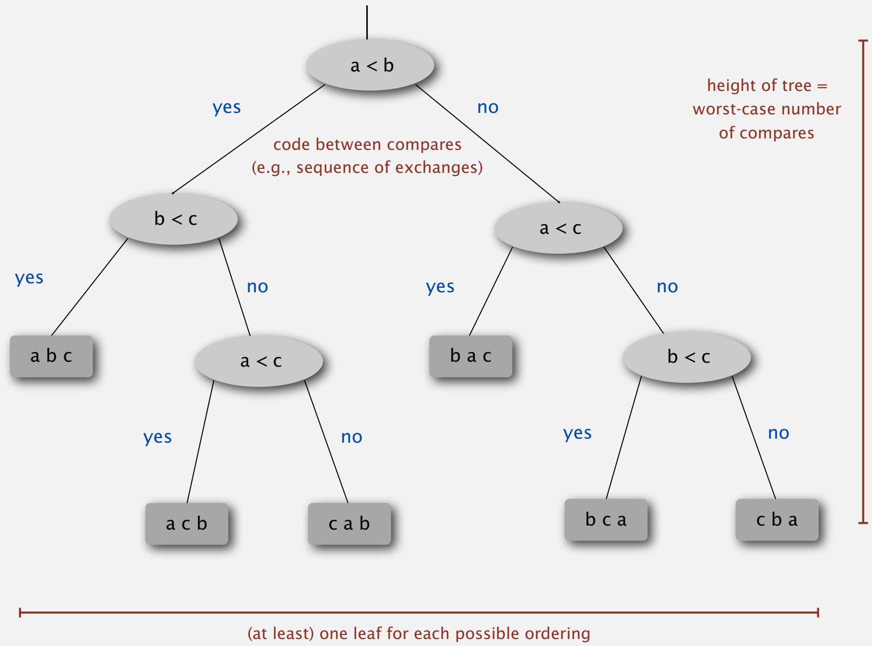
Computational complexity. Framework to study efficiency of algorithms for solving a particular problem X.

Model of computation. Allowable operations.
Cost model. Operation count(s).
Upper bound. Cost guarantee provided by some algorithm for X.
Lower bound. Proven limit on cost guarantee of all algorithms for X.
Optimal algorithm. Algorithm with best possible cost guarantee for X.

lower bound ~ upper bound

Example: sorting.
- Model of computation: decision tree. ← can access information only through compares (e.g., Java Comparable framework)
- Cost model: # compares.
- Upper bound: $\sim N \lg N$ from mergesort.
- Lower bound: ?
- Optimal algorithm: ?

Decision tree (for 3 distinct items a, b, and c)

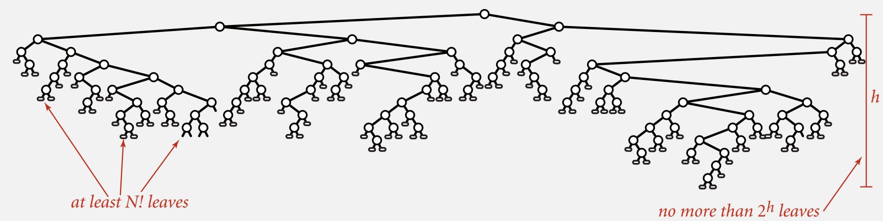


Compare-based lower bound for sorting

Proposition. Any compare-based sorting algorithm must use at least $\lg(N!) \sim N \lg N$ compares in the worst-case.

Pf.

- Assume array consists of N distinct values a_1 through a_N.
- Worst case dictated by height h of decision tree.
- Binary tree of height h has at most 2^h leaves.
- $N!$ different orderings $\Rightarrow$ at least $N!$ leaves.



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- Assume array consists of N distinct values a_1 through a_N.
- Worst case dictated by height h of decision tree.
- Binary tree of height h has at most 2^h leaves.
- $N!$ different orderings $\Rightarrow$ at least $N!$ leaves.

$$2^h \geq \#\text{ leaves} \geq N!$$
$$\Rightarrow \; h \geq \lg(N!) \sim N \lg N$$

Stirling's formula

Complexity of sorting

Model of computation. Allowable operations.
Cost model. Operation count(s).
Upper bound. Cost guarantee provided by some algorithm for X.
Lower bound. Proven limit on cost guarantee of all algorithms for X.
Optimal algorithm. Algorithm with best possible cost guarantee for X.

Example: sorting.

- Model of computation: decision tree.
- Cost model: # compares.
- Upper bound: $\sim N \lg N$ from mergesort.
- Lower bound: $\sim N \lg N$.
- Optimal algorithm = mergesort.

First goal of algorithm design: optimal algorithms.

Complexity results in context

Compares? Mergesort is optimal with respect to number compares.
Space? Mergesort is not optimal with respect to space usage.

Lessons. Use theory as a guide.
Ex. Design sorting algorithm that guarantees $\frac{1}{2} N \lg N$ compares?
Ex. Design sorting algorithm that is both time- and space-optimal?

Complexity results in context (continued)

Lower bound may not hold if the algorithm has information about:

- The initial order of the input.
- The distribution of key values.
- The representation of the keys.

Partially-ordered arrays. Depending on the initial order of the input, we may not need $N \lg N$ compares.

insertion sort requires only N-1 compares if input array is sorted

Duplicate keys. Depending on the input distribution of duplicates, we may not need $N \lg N$ compares.

stay tuned for 3-way quicksort

Digital properties of keys. We can use digit/character compares instead of key compares for numbers and strings.

stay tuned for radix sorts

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2.2 Mergesort

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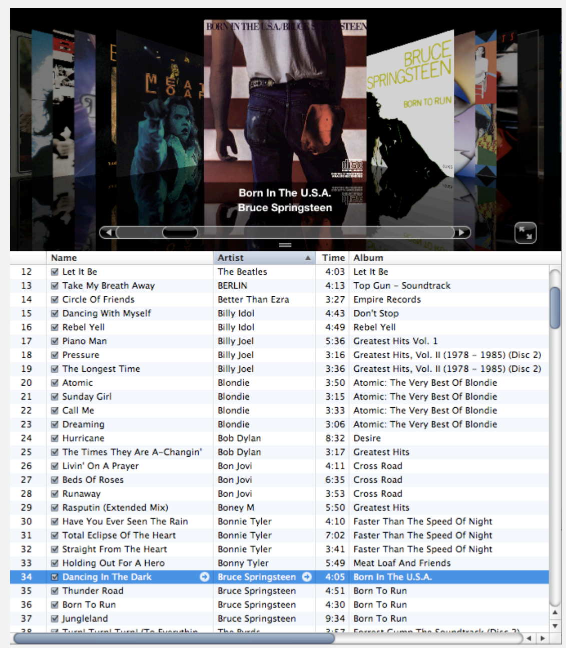
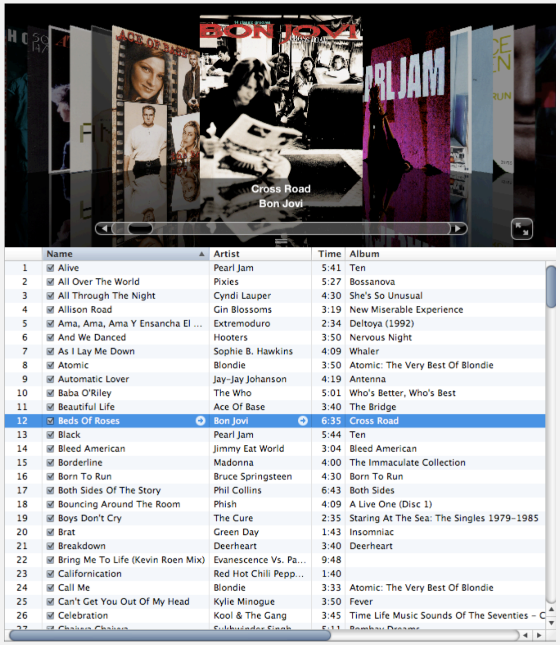
Sort music library by artist name



Sort music library by song name



Comparable interface: review

Comparable interface: sort using a type's natural order.

```
public class Date implements Comparable<Date>
{
   private final int month, day, year;

   public Date(int m, int d, int y)
   {
      month = m;
      day   = d;
      year  = y;
   }
   ...
   public int compareTo(Date that)
   {
      if (this.year  < that.year ) return -1;
      if (this.year  > that.year ) return +1;
      if (this.month < that.month) return -1;
      if (this.month > that.month) return +1;
      if (this.day   < that.day  ) return -1;
      if (this.day   > that.day  ) return +1;
      return 0;
   }
}
```

natural order

Comparator interface

Comparator interface: sort using an alternate order.

public interface Comparator<Key>	
int compare(Key v, Key w)	*compare keys v and w*

Required property. Must be a total order.

Ex. Sort strings by:

- Natural order. `Now is the time`
- Case insensitive. `is Now the time`
- Spanish. `café cafetero cuarto churro nube ñoño`
- British phone book. `McKinley Mackintosh`
- . . .

pre-1994 order for digraphs ch and ll and rr

Comparator interface: system sort

To use with Java system sort:

- Create `Comparator` object.
- Pass as second argument to `Arrays.sort()`.

```
String[] a;
...
Arrays.sort(a);
...
Arrays.sort(a, String.CASE_INSENSITIVE_ORDER);
...
Arrays.sort(a, Collator.getInstance(new Locale("es")));
...
Arrays.sort(a, new BritishPhoneBookOrder());
...
```

uses natural order

uses alternate order defined by Comparator<String> object

Bottom line. Decouples the definition of the data type from the definition of what it means to compare two objects of that type.

Comparator interface: using with our sorting libraries

To support comparators in our sort implementations:

- Use `Object` instead of `Comparable`.
- Pass `Comparator` to `sort()` and `less()` and use it in `less()`.

insertion sort using a Comparator

```
public static void sort(Object[] a, Comparator comparator)
{
   int N = a.length;
   for (int i = 0; i < N; i++)
      for (int j = i; j > 0 && less(comparator, a[j], a[j-1]); j--)
         exch(a, j, j-1);
}

private static boolean less(Comparator c, Object v, Object w)
{  return c.compare(v, w) < 0;   }

private static void exch(Object[] a, int i, int j)
{  Object swap = a[i]; a[i] = a[j]; a[j] = swap;  }
```


Comparator interface: implementing

To implement a comparator:

- Define a (nested) class that implements the `Comparator` interface.
- Implement the `compare()` method.

```
public class Student
{
   public static final Comparator<Student> BY_NAME    = new ByName();
   public static final Comparator<Student> BY_SECTION = new BySection();
   private final String name;
   private final int section;
   ...                                      one Comparator for the class

   private static class ByName implements Comparator<Student>
   {
      public int compare(Student v, Student w)
      {  return v.name.compareTo(w.name);  }
   }

   private static class BySection implements Comparator<Student>
   {
      public int compare(Student v, Student w)
      {  return v.section - w.section;  }
   }                   this technique works here since no danger of overflow
}
```


Comparator interface: implementing

To implement a comparator:

- Define a (nested) class that implements the `Comparator` interface.
- Implement the `compare()` method.

`Arrays.sort(a, Student.BY_NAME);`

Andrews	3	A	664-480-0023	097 Little
Battle	4	C	874-088-1212	121 Whitman
Chen	3	A	991-878-4944	308 Blair
Fox	3	A	884-232-5341	11 Dickinson
Furia	1	A	766-093-9873	101 Brown
Gazsi	4	B	766-093-9873	101 Brown
Kanaga	3	B	898-122-9643	22 Brown
Rohde	2	A	232-343-5555	343 Forbes

`Arrays.sort(a, Student.BY_SECTION);`

Furia	1	A	766-093-9873	101 Brown
Rohde	2	A	232-343-5555	343 Forbes
Andrews	3	A	664-480-0023	097 Little
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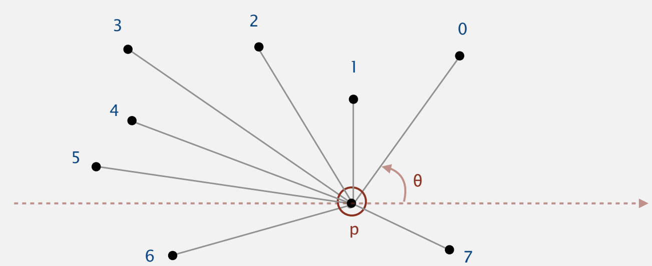
Battle	4	C	874-088-1212	121 Whitman
Gazsi	4	B	766-093-9873	101 Brown

Polar order

Polar order. Given a point p, order points by polar angle they make with p.



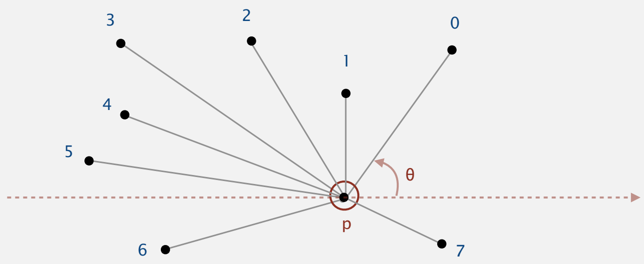
`Arrays.sort(points, p.POLAR_ORDER);`

Application. Graham scan algorithm for convex hull. [see previous lecture]

High-school trig solution. Compute polar angle θ w.r.t. p using `atan2()`.
Drawback. Evaluating a trigonometric function is expensive.

Polar order

Polar order. Given a point p, order points by polar angle they make with p.




```
Arrays.sort(points, p.POLAR_ORDER);
```

A ccw-based solution.

- If q_1 is above p and q_2 is below p, then q_1 makes smaller polar angle.
- If q_1 is below p and q_2 is above p, then q_1 makes larger polar angle.
- Otherwise, $ccw(p, q_1, q_2)$ identifies which of q_1 or q_2 makes larger angle.

Comparator interface: polar order

```
public class Point2D
{
   public final Comparator<Point2D> POLAR_ORDER = new PolarOrder();
   private final double x, y;
   ...

   private static int ccw(Point2D a, Point2D b, Point2D c)
   {  /* as in previous lecture */  }

   private class PolarOrder implements Comparator<Point2D>
   {
      public int compare(Point2D q1, Point2D q2)
      {
         double dy1 = q1.y - y;
         double dy2 = q2.y - y;

         if      (dy1 == 0 && dy2 == 0) {  ...  }
         else if (dy1 >= 0 && dy2 < 0) return -1;
         else if (dy2 >= 0 && dy1 < 0) return +1;
         else return -ccw(Point2D.this, q1, q2);
      }
   }
}
```

one Comparator for each point (not static)

p, q1, q2 horizontal

q1 above p; q2 below p

q1 below p; q2 above p

both above or below p

to access invoking point from within inner class

http://algs4.cs.princeton.edu

2.2 Mergesort

- mergesort
- bottom-up mergesort
- sorting complexity
- comparators
- stability

Stability

A typical application. First, sort by name; then sort by section.

`Selection.sort(a, Student.BY_NAME);`

Andrews	3	A	664-480-0023	097 Little
Battle	4	C	874-088-1212	121 Whitman
Chen	3	A	991-878-4944	308 Blair
Fox	3	A	884-232-5341	11 Dickinson
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Rohde	2	A	232-343-5555	343 Forbes

`Selection.sort(a, Student.BY_SECTION);`

Furia	1	A	766-093-9873	101 Brown
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Chen	3	A	991-878-4944	308 Blair
Fox	3	A	884-232-5341	11 Dickinson
Andrews	3	A	664-480-0023	097 Little
Kanaga	3	B	898-122-9643	22 Brown
Gazsi	4	B	766-093-9873	101 Brown
Battle	4	C	874-088-1212	121 Whitman

@#%&@! Students in section 3 no longer sorted by name.

A stable sort preserves the relative order of items with equal keys.

Stability

Q. Which sorts are stable?

A. Insertion sort and mergesort (but not selection sort or shellsort).

sorted by time		sorted by location (not stable)		sorted by location (stable)	
Chicago	09:00:00	Chicago	09:25:52	Chicago	09:00:00
Phoenix	09:00:03	Chicago	09:03:13	Chicago	09:00:59
Houston	09:00:13	Chicago	09:21:05	Chicago	09:03:13
Chicago	09:00:59	Chicago	09:19:46	Chicago	09:19:32
Houston	09:01:10	Chicago	09:19:32	Chicago	09:19:46
Chicago	09:03:13	Chicago	09:00:00	Chicago	09:21:05
Seattle	09:10:11	Chicago	09:35:21	Chicago	09:25:52
Seattle	09:10:25	Chicago	09:00:59	Chicago	09:35:21
Phoenix	09:14:25	Houston	09:01:10	Houston	09:00:13
Chicago	09:19:32	Houston	09:00:13	Houston	09:01:10
Chicago	09:19:46	Phoenix	09:37:44	Phoenix	09:00:03
Chicago	09:21:05	Phoenix	09:00:03	Phoenix	09:14:25
Seattle	09:22:43	Phoenix	09:14:25	Phoenix	09:37:44
Seattle	09:22:54	Seattle	09:10:25	Seattle	09:10:11
Chicago	09:25:52	Seattle	09:36:14	Seattle	09:10:25
Chicago	09:35:21	Seattle	09:22:43	Seattle	09:22:43
Seattle	09:36:14	Seattle	09:10:11	Seattle	09:22:54
Phoenix	09:37:44	Seattle	09:22:54	Seattle	09:36:14

no longer sorted by time

still sorted by time

Note. Need to carefully check code ("less than" vs. "less than or equal to").

Stability: insertion sort

Proposition. Insertion sort is stable.

```
public class Insertion
{
   public static void sort(Comparable[] a)
   {
      int N = a.length;
      for (int i = 0; i < N; i++)
         for (int j = i; j > 0 && less(a[j], a[j-1]); j--)
            exch(a, j, j-1);
   }
}
```

i	j	0	1	2	3	4
0	0	B_1	A_1	A_2	A_3	B_2
1	0	A_1	B_1	A_2	A_3	B_2
2	1	A_1	A_2	B_1	A_3	B_2
3	2	A_1	A_2	A_3	B_1	B_2
4	4	A_1	A_2	A_3	B_1	B_2
		A_1	A_2	A_3	B_1	B_2

Pf. Equal items never move past each other.

Stability: selection sort

Proposition. Selection sort is not stable.

```
public class Selection
{
   public static void sort(Comparable[] a)
   {
      int N = a.length;
      for (int i = 0; i < N; i++)
      {
         int min = i;
         for (int j = i+1; j < N; j++)
            if (less(a[j], a[min]))
               min = j;
         exch(a, i, min);
      }
   }
}
```

i	min	0	1	2
0	2	B_1	B_2	A
1	1	A	B_2	B_1
2	2	A	B_2	B_1
		A	B_2	B_1

Pf by counterexample. Long-distance exchange might move an item past some equal item.

Stability: shellsort

Proposition. Shellsort sort is not stable.

```
public class Shell
{
   public static void sort(Comparable[] a)
   {
      int N = a.length;
      int h = 1;
      while (h < N/3) h = 3*h + 1;
      while (h >= 1)
      {
         for (int i = h; i < N; i++)
         {
            for (int j = i; j > h && less(a[j], a[j-h]); j -= h)
               exch(a, j, j-h);
         }
         h = h/3;
      }
   }
}
```

h	0	1	2	3	4
	B_1	B_2	B_3	B_4	A_1
4	A_1	B_2	B_3	B_4	B_1
1	A_1	B_2	B_3	B_4	B_1
	A_1	B_2	B_3	B_4	B_1

Pf by counterexample. Long-distance exchanges.

Stability: mergesort

Proposition. Mergesort is stable.

```
public class Merge
{
   private static Comparable[] aux;
   private static void merge(Comparable[] a, int lo, int mid, int hi)
   {  /* as before */  }

   private static void sort(Comparable[] a, int lo, int hi)
   {
      if (hi <= lo) return;
      int mid = lo + (hi - lo) / 2;
      sort(a, lo, mid);
      sort(a, mid+1, hi);
      merge(a, lo, mid, hi);
   }

   public static void sort(Comparable[] a)
   {  /* as before */  }
}
```

Pf. Suffices to verify that merge operation is stable.

Stability: mergesort

Proposition. Merge operation is stable.

```
private static void merge(...)
{
   for (int k = lo; k <= hi; k++)
      aux[k] = a[k];

   int i = lo, j = mid+1;
   for (int k = lo; k <= hi; k++)
   {
      if      (i > mid)              a[k] = aux[j++];
      else if (j > hi)               a[k] = aux[i++];
      else if (less(aux[j], aux[i])) a[k] = aux[j++];
      else                           a[k] = aux[i++];
   }
}
```

0	1	2	3	4	5	6	7	8	9	10
A_1	A_2	A_3	B	D	A_4	A_5	C	E	F	G

Pf. Takes from left subarray if equal keys.