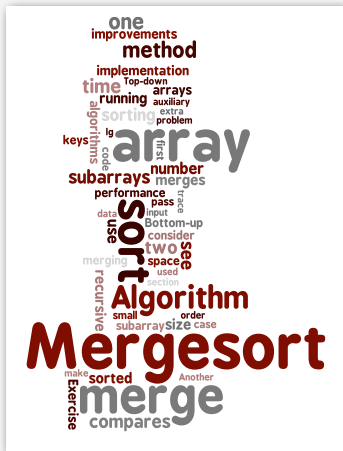


3.2 Mergesort



- ▶ mergesort
- ▶ bottom-up mergesort
- ▶ sorting complexity
- ▶ comparators

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.

← today

- Java sort for objects.
- Perl, Python stable sort.

Quicksort.

← next lecture

- Java sort for primitive types.
- C qsort, Unix, g++, Visual C++, Python.

- ▶ mergesort
- ▶ bottom-up mergesort
- ▶ sorting complexity
- ▶ comparators

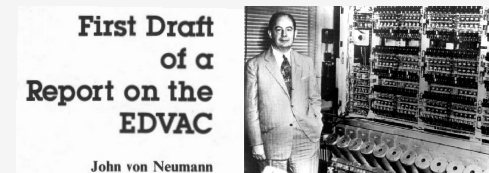
Mergesort

Basic plan.

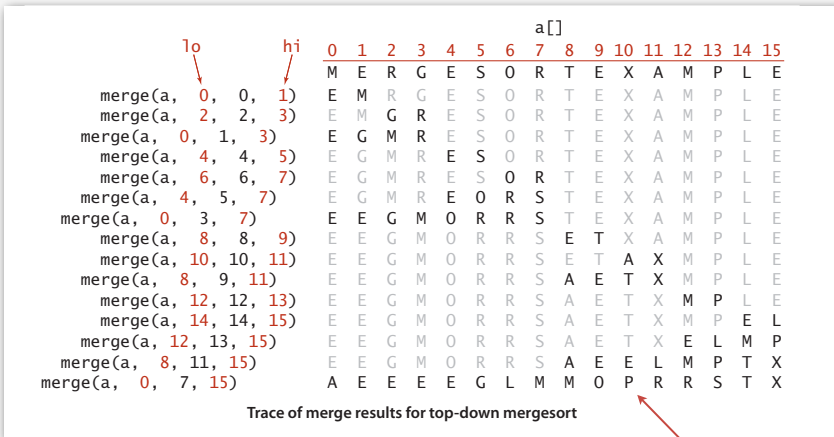
- Divide array into two halves.
- **Recursively** sort each half.
- Merge two halves.

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



Mergesort trace



result after recursive call

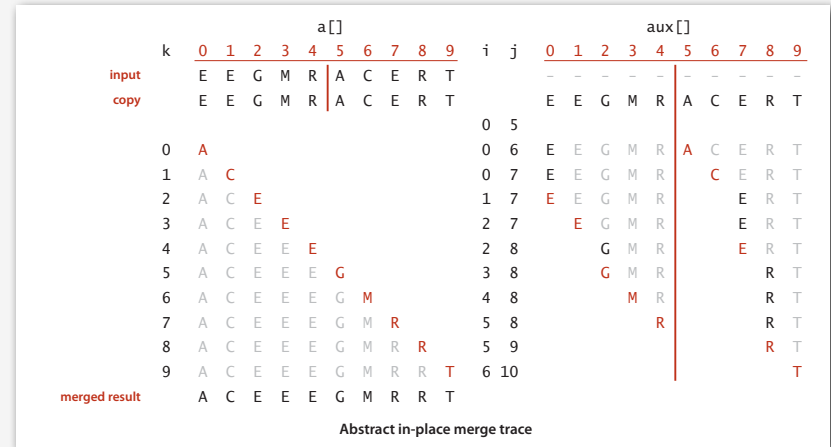
5

Merging

Goal. Combine two sorted subarrays into a sorted whole.

Q. How to merge efficiently?

A. Use an auxiliary array.



6

Merging: Java implementation

```
public static void merge(Comparable[] a, 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++)
        aux[k] = a[k]; // copy

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



7

Assertions

Assertion. Statement to test assumptions about your program.

- Helps detect logic bugs.
- Documents code.

Java assert statement. Throws an 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 to check internal invariants. Assume assertions will be disabled in production code (e.g., don't use for external argument-checking).

8

Mergesort: Java implementation

```
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, m, hi);
    }

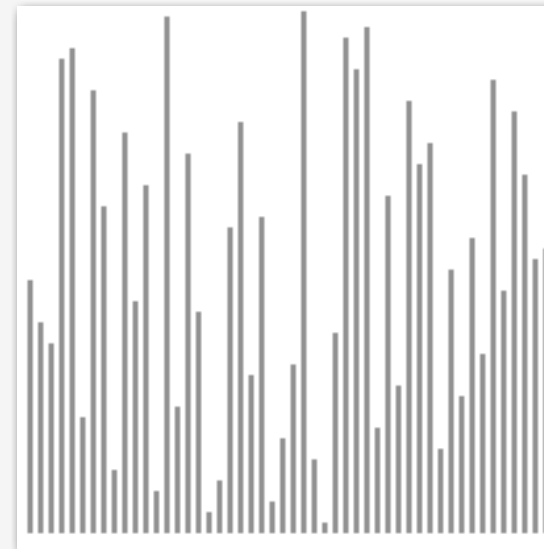
    public static void sort(Comparable[] a)
    {
        aux = new Comparable[a.length];
        sort(a, 0, a.length - 1);
    }
}
```



9

Mergesort animation

50 random elements

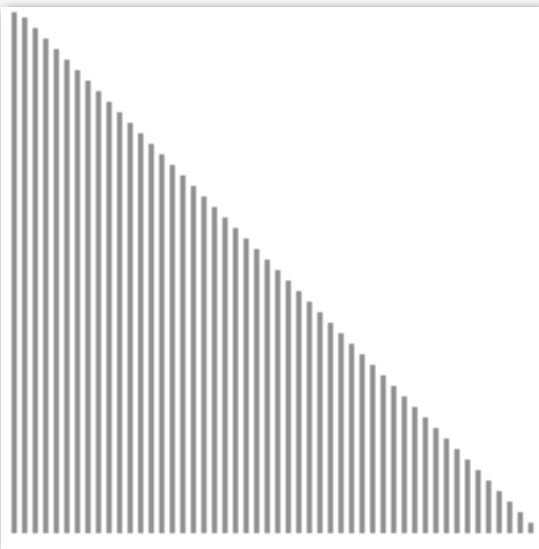


<http://www.sorting-algorithms.com/merge-sort>

10

Mergesort animation

50 reverse-sorted elements



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

11

Mergesort: empirical analysis

Running time estimates:

- Home pc executes 10^8 comparisons/second.
- Supercomputer executes 10^{12} comparisons/second.

computer	insertion sort (N^2)			mergesort ($N \log N$)		
	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.

12

Mergesort: mathematical analysis

Proposition. Mergesort uses $\sim N \lg N$ compares to sort any array of size N .

Def. $T(N)$ = number of compares to mergesort an array of size N .

$$= T(N/2) + T(N/2) + N$$

\uparrow
left half
 \uparrow
right half
 \uparrow
merge

Mergesort recurrence. $T(N) = 2 T(N/2) + N$ for $N > 1$, with $T(1) = 0$.

- Not quite right for odd N .
- Same recurrence holds for many divide-and-conquer algorithms.

Solution. $T(N) \sim N \lg N$.

- For simplicity, we'll prove when N is a power of 2.
- True for all N . [see COS 340]

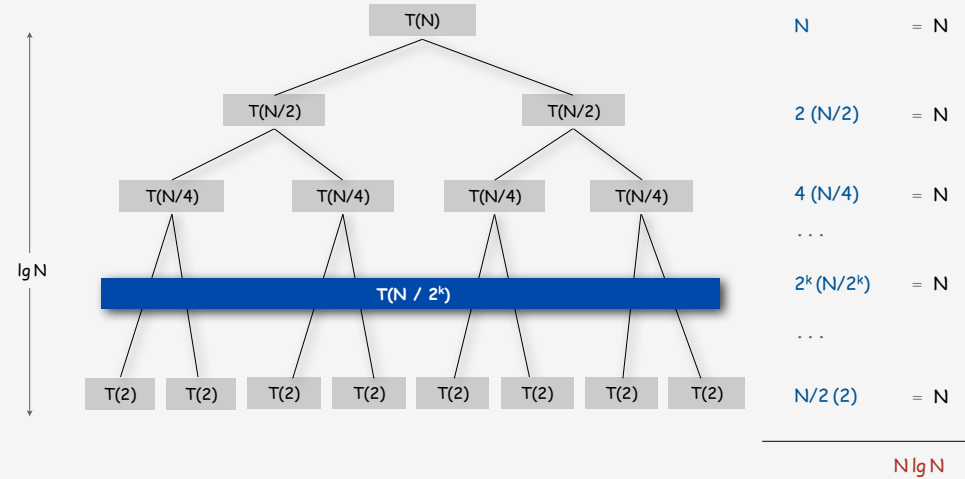
13

Mergesort recurrence: proof 1

Mergesort recurrence. $T(N) = 2 T(N/2) + N$ for $N > 1$, with $T(1) = 0$.

Proposition. If N is a power of 2, then $T(N) = N \lg N$.

Pf.



14

Mergesort recurrence: proof 2

Mergesort recurrence. $T(N) = 2 T(N/2) + N$ for $N > 1$, with $T(1) = 0$.

Proposition. If N is a power of 2, then $T(N) = N \lg N$.

Pf.

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

15

Mergesort recurrence: proof 3

Mergesort recurrence. $T(N) = 2 T(N/2) + N$ for $N > 1$, with $T(1) = 0$.

Proposition. If N is a power of 2, then $T(N) = N \lg N$.

Pf. [by induction on N]

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

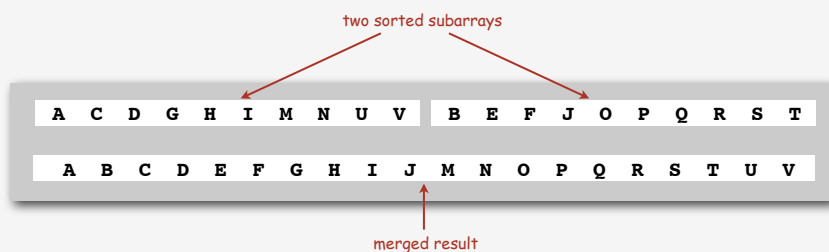
$T(2N) = 2 T(N) + 2N$	given
$= 2 N \lg N + 2N$	inductive hypothesis
$= 2 N (\lg(2N) - 1) + 2N$	algebra
$= 2 N \lg(2N)$	QED

16

Mergesort analysis: memory

Proposition G. 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 $O(\log N)$ extra memory.

Ex. Insertion sort, selection sort, shellsort.

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

17

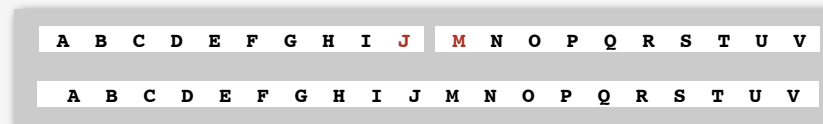
Mergesort: practical improvements

Use insertion sort for small subarrays.

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

Stop if already sorted.

- Is biggest element in first half \leq smallest element in second half?
- Helps for partially-ordered arrays.

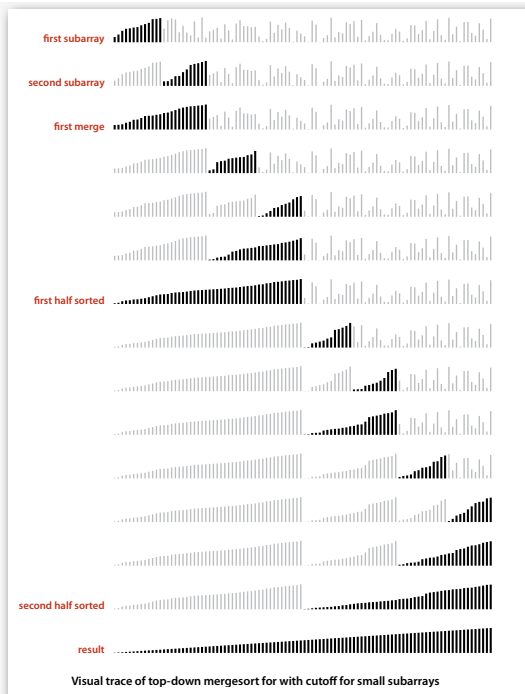


Eliminate the copy to the auxiliary array. Save time (but not space) by switching the role of the input and auxiliary array in each recursive call.

Ex. See `MergeX.java` or `Arrays.sort()`.

18

Mergesort visualization



19

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

20

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 = 2																
merge(a, 0, 0, 1)	M	E	R	G	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, 2, 2, 3)	E	M	R	G	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, 4, 4, 5)	E	M	G	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, 6, 6, 7)	E	M	G	R	E	S	O	R	T	E	X	A	M	P	L	E
merge(a, 8, 8, 9)	E	M	G	R	E	S	O	R	E	T	X	A	M	P	L	E
merge(a, 10, 10, 11)	E	M	G	R	E	S	O	R	E	T	A	X	M	P	L	E
merge(a, 12, 12, 13)	E	M	G	R	E	S	O	R	E	T	A	X	M	P	L	E
merge(a, 14, 14, 15)	E	M	G	R	E	S	O	R	E	T	A	X	M	P	E	L
sz = 4																
merge(a, 0, 1, 3)	E	G	M	R	E	S	O	R	E	T	A	X	M	P	E	L
merge(a, 4, 5, 7)	E	G	M	R	E	O	R	S	E	T	A	X	M	P	E	L
merge(a, 8, 9, 11)	E	G	M	R	E	O	R	S	A	E	T	X	M	P	E	L
merge(a, 12, 13, 15)	E	G	M	R	E	O	R	S	A	E	T	X	E	L	M	P
sz = 8																
merge(a, 0, 3, 7)	E	E	G	M	O	R	R	S	A	E	T	X	E	L	M	P
merge(a, 8, 11, 15)	E	E	G	M	O	R	R	S	A	E	E	L	M	P	T	X
sz = 16																
merge(a, 0, 7, 15)	A	E	E	E	E	G	L	M	M	O	P	R	R	S	T	X

Trace of merge results for bottom-up mergesort

Bottom line. No recursion needed!

21

Bottom-up mergesort: Java implementation

```
public class MergeBU
{
    private static Comparable[] aux;

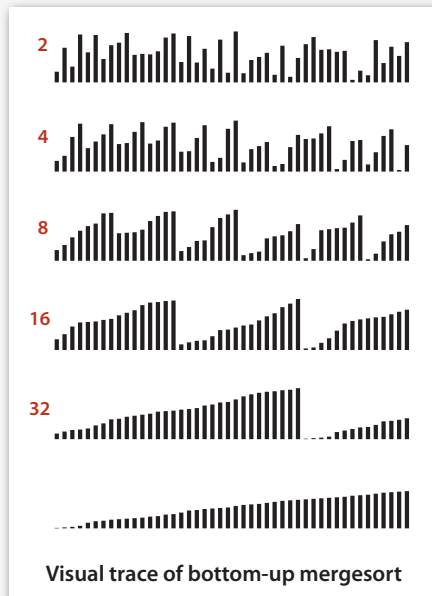
    private static void merge(Comparable[] a, int lo, int mid, int hi)
    { /* as before */ }

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

Bottom line. Concise industrial-strength code, if you have the space.

22

Bottom-up mergesort: visual trace



23

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

24

Complexity of sorting

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

Machine model. Focus on fundamental operations.

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 cost guarantee for X.

lower bound ~ upper bound

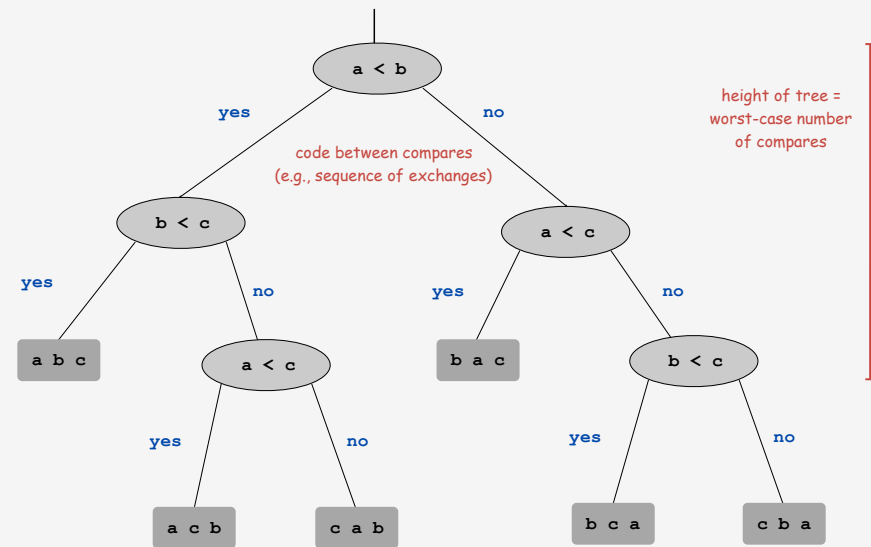
Example: sorting.

- Machine model = # compares.
- Upper bound = $\sim N \lg N$ from mergesort.
- Lower bound = $\sim N \lg N$?
- Optimal algorithm = mergesort ?

access information only through compares

25

Decision tree (for 3 distinct elements)



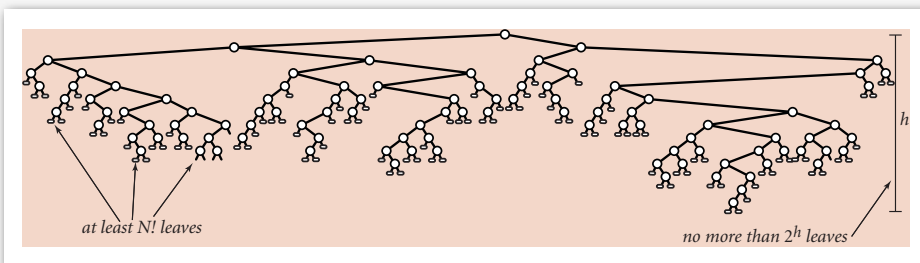
26

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 input 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.



27

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 input 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

28

Complexity of sorting

Machine model. Focus on fundamental operations.

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 cost guarantee for X.

Example: sorting.

- Machine 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.

29

Complexity results in context

Other operations? Mergesort optimality is only about number of compares.

Space?

- Mergesort is **not optimal** with respect to space usage.
- Insertion sort, selection sort, and shellsort are space-optimal.

Challenge. Find an algorithm that is both time- and space-optimal.

Lessons. Use theory as a guide.

Ex. Don't try to design sorting algorithm that uses $\frac{1}{2} N \lg N$ compares.

30

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 on an already sorted array

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

31

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

32

Sort by artist name

Name	Artist	Time	Album
12	Let It Be	4:03	Let It Be
13	Take My Breath Away	4:13	Top Gun - Soundtrack
14	Circle Of Friends	3:27	Empire Records
15	Dancing With Myself	4:43	Don't Stop
16	Rebel Yell	4:49	Rebel Yell
17	Piano Man	5:36	Greatest Hits Vol. 1
18	Pressure	3:16	Greatest Hits, Vol. II (1978 - 1985) (Disc 2)
19	The Longest Time	3:36	Greatest Hits, Vol. II (1978 - 1985) (Disc 2)
20	Atomic	3:50	Atomic: The Very Best Of Blondie
21	Sunday Girl	3:15	Atomic: The Very Best Of Blondie
22	Call Me	3:33	Atomic: The Very Best Of Blondie
23	Dreaming	3:06	Atomic: The Very Best Of Blondie
24	Hurricane	8:32	Desire
25	The Times They Are A-Changin'	3:17	Greatest Hits
26	Livin' On A Prayer	4:11	Cross Road
27	Beds Of Roses	6:35	Cross Road
28	Runaway	3:53	Cross Road
29	Rasputin (Extended Mix)	5:50	Greatest Hits
30	Have You Ever Seen The Rain	4:10	Faster Than The Speed Of Night
31	Total Eclipse Of The Heart	7:02	Faster Than The Speed Of Night
32	Straight From The Heart	3:41	Faster Than The Speed Of Night
33	Holding Out For A Hero	5:49	Meat Loaf And Friends
34	Shining In The Dark	4:03	Born In The U.S.A.
35	Thunder Road	4:51	Born To Run
36	Born To Run	4:30	Born To Run
37	Jungleland	9:34	Born To Run
38	Tweet Tweet Tweet (The Bumblebee)	3:57	Forest Gump: The Soundtrack (Disc 1)

33

Sort by song name

Name	Artist	Time	Album
1	Alive	5:41	Ten
2	All Over The World	5:27	Bossanova
3	All Through The Night	4:30	She's So Unusual
4	Allison Road	3:19	New Miserable Experience
5	Amá, Amá, Amá Y Ensancha El ...	2:34	Deltoya (1992)
6	And We Danced	3:50	Nervous Night
7	As I Lay Me Down	4:09	Whaler
8	Atomic	3:50	Atomic: The Very Best Of Blondie
9	Automatic Lover	4:19	Antenna
10	Baba O'Riley	5:01	Who's Better, Who's Best
11	Beautiful Life	3:40	The Bridge
12	Beds Of Roses	6:35	Cross Road
13	Black	5:44	Ten
14	Bleed American	3:04	Bleed American
15	Borderline	4:00	The Immaculate Collection
16	Born To Run	4:30	Born To Run
17	Both Sides Of The Story	6:43	Both Sides
18	Bouncing Around The Room	4:09	A Live One (Disc 1)
19	Boys Don't Cry	2:35	Staring At The Sea: The Singles 1979-1985
20	Brat	1:43	Insomniac
21	Breakdown	3:40	Deerheart
22	Bring Me To Life (Kevin Roen Mix)	9:48	Evanescence Vs. Pa...
23	Callifornication	1:40	Red Hot Chili Pepp...
24	Call Me	3:33	Atomic: The Very Best Of Blondie
25	Can't Get You Out Of My Head	3:50	Fever
26	Celebration	3:45	Time Life Music Sounds Of The Seventies - C...
27	Chava Chava	4:11	Bombay Dreams

34

Natural order

Comparable interface: sort uses 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

35

Generalized compare

Comparable interface: sort uses type's *natural order*.

Problem 1. May want to use a non-natural order.

Problem 2. Desired data type may not come with a "natural" 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

```
String[] a;
...
Arrays.sort(a);
Arrays.sort(a, String.CASE_INSENSITIVE_ORDER);
Arrays.sort(a, Collator.getInstance(Locale.SPANISH));
```

import java.text.Collator;

36

Comparators

Solution. Use Java's `Comparator` interface.

```
public interface Comparator<Key>
{
    public int compare(Key v, Key w);
}
```

Remark. The `compare()` method implements a total order like `compareTo()`.

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

- Can add any number of new orders to a data type.
- Can add an order to a library data type with no natural order.

37

Comparator example

Reverse order. Sort an array of strings in reverse order.

```
public class ReverseOrder implements Comparator<String>
{
    public int compare(String a, String b)
    {
        return b.compareTo(a);
    }
}
```

comparator implementation

```
...
Arrays.sort(a, new ReverseOrder());
...
```

client

38

Sort implementation with comparators

To support comparators in our sort implementations:

- Pass `Comparator` to `sort()` and `less()`.
- Use it in `less()`.

Ex. Insertion sort.

```
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; }
```

39

Generalized compare

Comparators enable multiple sorts of a single array (by different keys).

Ex. Sort students by name **or** by section.

```
Arrays.sort(students, Student.BY_NAME);
Arrays.sort(students, Student.BY_SECT);
```

sort by name

Andrews	3	A	664-480-0023	097 Little
Battle	4	C	874-088-1212	121 Whitman
Chen	2	A	991-878-4944	308 Blair
Fox	1	A	884-232-5341	11 Dickinson
Furia	3	A	766-093-9873	101 Brown
Gazsi	4	B	665-303-0266	22 Brown
Kanaga	3	B	898-122-9643	22 Brown
Rohde	3	A	232-343-5555	343 Forbes

sort by section

Fox	1	A	884-232-5341	11 Dickinson
Chen	2	A	991-878-4944	308 Blair
Andrews	3	A	664-480-0023	097 Little
Furia	3	A	766-093-9873	101 Brown
Kanaga	3	B	898-122-9643	22 Brown
Rohde	3	A	232-343-5555	343 Forbes
Battle	4	C	874-088-1212	121 Whitman
Gazsi	4	B	665-303-0266	22 Brown

40

Generalized compare

Ex. Enable sorting students by name or by section.

```
public class Student
{
    public static final Comparator<Student> BY_NAME = new ByName();
    public static final Comparator<Student> BY_SECT = new BySect();

    private final String name;
    private final int section;
    ...
    private static class ByName implements Comparator<Student>
    {
        public int compare(Student a, Student b)
        { return a.name.compareTo(b.name); }
    }

    private static class BySect implements Comparator<Student>
    {
        public int compare(Student a, Student b)
        { return a.section - b.section; }
    }
}
```

only use this trick if no danger of overflow

41

Generalized compare problem

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

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

Andrews	3	A	664-480-0023	097 Little
Battle	4	C	874-088-1212	121 Whitman
Chen	2	A	991-878-4944	308 Blair
Fox	1	A	884-232-5341	11 Dickinson
Furia	3	A	766-093-9873	101 Brown
Gazsi	4	B	665-303-0266	22 Brown
Kanaga	3	B	898-122-9643	22 Brown
Rohde	3	A	232-343-5555	343 Forbes

`Arrays.sort(students, Student.BY_SECT);`

Fox	1	A	884-232-5341	11 Dickinson
Chen	2	A	991-878-4944	308 Blair
Kanaga	3	B	898-122-9643	22 Brown
Andrews	3	A	664-480-0023	097 Little
Furia	3	A	766-093-9873	101 Brown
Rohde	3	A	232-343-5555	343 Forbes
Battle	4	C	874-088-1212	121 Whitman
Gazsi	4	B	665-303-0266	22 Brown

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

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

42

Sorting challenge 5

Q. Which sorts are stable?

Insertion sort? Selection sort? Shellsort? Mergesort?

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

Stability when sorting on a second key

43