

2.1 Elementary Sorts



- ▶ rules of the game
- ▶ selection sort
- ▶ insertion sort
- ▶ sorting challenges
- ▶ shellsort

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Sorting problem

Ex. Student record in a University.

file →	Fox	1	A	243-456-9091	101 Brown
	Quilici	1	C	343-987-5642	32 McCosh
	Chen	2	A	884-232-5341	11 Dickinson
	Puria	2	A	766-093-9873	22 Brown
	Kanaga	3	B	898-122-9643	343 Forbes
	Andrews	3	A	874-088-1212	121 Whitman
	Rohde	3	A	232-343-5555	115 Holder
	Battle	4	C	991-878-4944	308 Blair
	Aaron	4	A	664-480-0023	097 Little
	Garsi	4	B	665-303-0266	113 Walker

Sort. Rearrange array of N objects into ascending order.

Aaron	4	A	664-480-0023	097 Little
Andrews	3	A	874-088-1212	121 Whitman
Battle	4	C	991-878-4944	308 Blair
Chen	2	A	884-232-5341	11 Dickinson
Fox	1	A	243-456-9091	101 Brown
Puria	3	A	766-093-9873	22 Brown
Garsi	4	B	665-303-0266	113 Walker
Kanaga	3	B	898-122-9643	343 Forbes
Rohde	3	A	232-343-5555	115 Holder
Quilici	1	C	343-987-5642	32 McCosh

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Sample sort client

Goal. Sort **any** type of data.

Ex 1. Sort random numbers in ascending order.

```
public class Experiment
{
    public static void main(String[] args)
    {
        int N = Integer.parseInt(args[0]);
        Double[] a = new Double[N];
        for (int i = 0; i < N; i++)
            a[i] = StdRandom.uniform();
        Insertion.sort(a);
        for (int i = 0; i < N; i++)
            StdOut.println(a[i]);
    }
}
```

```
% java Experiment 10
0.08614716385210452
0.09054270895414829
0.10708746304898642
0.21166190071646818
0.363292849257276
0.460954145685913
0.5340026311350087
0.7216129793703496
0.9003500354411443
0.9293994908845686
```

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Sample sort client

Goal. Sort **any** type of data.

Ex 2. Sort strings from standard input in alphabetical order.

```
public class StringSorter
{
    public static void main(String[] args)
    {
        String[] a = StdIn.readAll().split("\\s+");
        Insertion.sort(a);
        for (int i = 0; i < a.length; i++)
            StdOut.println(a[i]);
    }
}
```

```
% more words3.txt
bed bug dad yet zoo ... all bad yes

% java StringSorter < words.txt
all bad bed bug dad ... yes yet zoo
```

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Sample sort client

Goal. Sort **any** type of data.

Ex 3. Sort the files in a given directory by filename.

```
import java.io.File;
public class FileSorter
{
    public static void main(String[] args)
    {
        File directory = new File(args[0]);
        File[] files = directory.listFiles();
        Insertion.sort(files);
        for (int i = 0; i < files.length; i++)
            StdOut.println(files[i].getName());
    }
}
```

```
% java FileSorter .
Insertion.class
Insertion.java
InsertionX.class
InsertionX.java
Selection.class
Selection.java
Shell.class
Shell.java
ShellX.class
ShellX.java
```

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Callbacks

Goal. Sort **any** type of data.

Q. How can sort know to compare data of type `String`, `Double`, and `File` without any information about the type of an item?

Callbacks.

- Client passes array of objects to sorting routine.
- Sorting routine calls back object's compare function as needed.

Implementing callbacks.

- Java: **interfaces**.
- C: **function pointers**.
- C++: **class-type functors**.
- ML: **first-class functions and functors**.

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Callbacks: roadmap

client

```
import java.io.File;
public class FileSorter
{
    public static void main(String[] args)
    {
        File directory = new File(args[0]);
        File[] files = directory.listFiles();
        Insertion.sort(files);
        for (int i = 0; i < files.length; i++)
            StdOut.println(files[i].getName());
    }
}
```

object implementation

```
public class File
implements Comparable<File>
{
    ...
    public int compareTo(File b)
    {
        ...
        return -1;
        ...
        return +1;
        ...
        return 0;
    }
}
```

interface

```
public interface Comparable<Item>
{
    public int compareTo(Item that);
}
```

built in to Java

sort implementation

```
public static void sort(Comparable[] a)
{
    int N = a.length;
    for (int i = 0; i < N; i++)
        for (int j = i; j > 0; j--)
            if (a[j].compareTo(a[j-1]) < 0)
                exch(a, j, j-1);
            else break;
}
```

key point: no reference to `File`

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Comparable interface API

Comparable interface. Implement `compareTo()` so that `v.compareTo(w)`:

- Returns a negative integer if `v` is less than `w`.
- Returns a positive integer if `v` is greater than `w`.
- Returns zero if `v` is equal to `w`.
- Throw an exception if incompatible types or either is `null`.

```
public interface Comparable<Item>
{
    public int compareTo(Item that);
}
```

Required properties. Must ensure a **total order**.

- **Reflexive:** $(v = v)$.
- **Antisymmetric:** if $(v < w)$ then $(w > v)$; if $(v = w)$ then $(w = v)$.
- **Transitive:** if $(v \leq w)$ and $(w \leq x)$ then $(v \leq x)$.

Built-in comparable types. `String`, `Double`, `Integer`, `Date`, `File`, ...

User-defined comparable types. Implement the `Comparable` interface.

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Implementing the Comparable interface: example 1

Date data type. Simplified version of `java.util.Date`.

```
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;
    }
}
```

only compare dates
to other dates

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Implementing the Comparable interface: example 2

Domain names.

- Subdomain: `bolle.cs.princeton.edu`.
- Reverse subdomain: `edu.princeton.cs.bolle`.
- Sort by reverse subdomain to group by category.

```
public class Domain implements Comparable<Domain>
{
    private final String[] fields;
    private final int N;

    public Domain(String name)
    {
        fields = name.split("\\.");
        N = fields.length;
    }

    public int compareTo(Domain that)
    {
        for (int i = 0; i < Math.min(this.N, that.N); i++)
        {
            String s = fields[this.N - i - 1];
            String t = fields[that.N - i - 1];
            int cmp = s.compareTo(t);
            if (cmp < 0) return -1;
            else if (cmp > 0) return +1; only use this trick
        }
        return this.N - that.N; ← when no danger
                               of overflow
    }
}
```

subdomains

- `ee.princeton.edu`
- `cs.princeton.edu`
- `princeton.edu`
- `cnn.com`
- `google.com`
- `apple.com`
- `www.cs.princeton.edu`
- `bolle.cs.princeton.edu`

reverse-sorted subdomains

- `com.apple`
- `com.cnn`
- `com.google`
- `edu.princeton`
- `edu.princeton.cs`
- `edu.princeton.cs.bolle`
- `edu.princeton.cs.www`
- `edu.princeton.ee`

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Two useful sorting abstractions

Helper functions. Refer to data through compares and exchanges.

Less. Is object `v` less than `w`?

```
private static boolean less(Comparable v, Comparable w)
{   return v.compareTo(w) < 0; }
```

Exchange. Swap object in array `a[]` at index `i` with the one at index `j`.

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

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Testing

Q. How to test if an array is sorted?

```
private static boolean isSorted(Comparable[] a)
{
    for (int i = 1; i < a.length; i++)
        if (less(a[i], a[i-1])) return false;
    return true;
}
```

Q. If the sorting algorithm passes the test, did it correctly sort its input?

A. Yes, if data accessed only through `exch()` and `less()`.

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► rules of the game

► selection sort

► insertion sort

► sorting challenges

► shellsort

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Selection sort

Algorithm. ↑ scans from left to right.

Invariants.

- Elements to the left of ↑ (including ↑) fixed and in ascending order.
- No element to right of ↑ is smaller than any element to its left.



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Selection sort inner loop

To maintain algorithm invariants:

- Move the pointer to the right.

i++;



- Identify index of minimum item on right.

```
int min = i;
for (int j = i+1; j < N; j++)
    if (less(a[j], a[min]))
        min = j;
```



- Exchange into position.

exch(a, i, min);



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Selection sort: Java implementation

```
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);
        }
    }

    private static boolean less(Comparable v, Comparable w)
    { /* as before */ }

    private static void exch(Comparable[] a, int i, int j)
    { /* as before */ }
}
```

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Selection sort: mathematical analysis

Proposition A. Selection sort uses $(N-1) + (N-2) + \dots + 1 + 0 \sim N^2/2$ compares and N exchanges.

i	min	0	1	2	3	4	5	6	7	8	9	10	a[]
		S	O	R	T	E	X	A	M	P	L	E	
0	6	S	O	R	T	E	X	A	M	P	L	E	entries in black are examined to find the minimum
1	4	A	O	R	T	E	X	S	M	P	L	E	entries in red are $a[min]$
2	10	A	E	R	T	O	X	S	M	P	L	E	
3	9	A	E	E	T	O	X	S	M	P	L	R	
4	7	A	E	E	L	O	X	S	M	P	T	R	
5	7	A	E	E	L	M	X	S	O	P	T	R	
6	8	A	E	E	L	M	O	S	X	P	T	R	
7	10	A	E	E	L	M	O	P	X	S	T	R	
8	8	A	E	E	L	M	O	P	R	S	T	X	
9	9	A	E	E	L	M	O	P	R	S	T	X	entries in gray are in final position
10	10	A	E	E	L	M	O	P	R	S	T	X	
		A	E	E	L	M	O	P	R	S	T	X	

Trace of selection sort (array contents just after each exchange)

Running time insensitive to input. Quadratic time, even if array is presorted.

Data movement is minimal. Linear number of exchanges.

Selection sort animations



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

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Selection sort animations



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

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- ▶ rules of the game
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- ▶ **insertion sort**
- ▶ sorting challenges
- ▶ shellsort

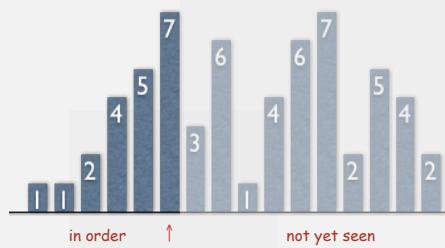
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Insertion sort

Algorithm. ↑ scans from left to right.

Invariants.

- Elements to the left of ↑ (including ↑) are in ascending order.
- Elements to the right of ↑ have not yet been seen.



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Insertion sort inner loop

To maintain algorithm invariants:

- Move the pointer to the right.

i++;



in order not yet seen

- Moving from right to left, exchange a[i] with each larger element to its left.

```
for (int j = i; j > 0; j--)
    if (less(a[j], a[j-1]))
        exch(a, j, j-1);
    else break;
```



in order not yet seen

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Insertion sort: Java implementation

```
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; j--)
                if (less(a[j], a[j-1]))
                    exch(a, j, j-1);
                else break;
    }

    private static boolean less(Comparable v, Comparable w)
    { /* as before */ }

    private static void exch(Comparable[] a, int i, int j)
    { /* as before */ }
}
```

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Insertion sort: mathematical analysis

Proposition B. To sort a randomly-ordered array with distinct keys, insertion sort uses $\sim N^2/4$ compares and $N^2/4$ exchanges on average.

Pf. For randomly-ordered data, we expect each element to move halfway back.

a[]												
i	j	0	1	2	3	4	5	6	7	8	9	10
1	0	S	O	R	T	E	X	A	M	P	L	E
2	1	0	R	S	T	E	X	A	M	P	L	E
3	3	0	R	S	T	E	X	A	M	P	L	E
4	0	E	O	R	S	T	X	A	M	P	L	E
5	5	E	O	R	S	T	X	A	M	P	L	E
6	0	A	E	O	R	S	T	X	M	P	L	E
7	2	A	E	M	O	R	S	T	X	P	L	E
8	4	A	E	M	O	P	R	S	T	X	L	E
9	2	A	E	L	M	O	P	R	S	T	X	E
10	2	A	E	E	L	M	O	P	R	S	T	X
		A	E	E	L	M	O	P	R	S	T	X

Trace of insertion sort (array contents just after each insertion)

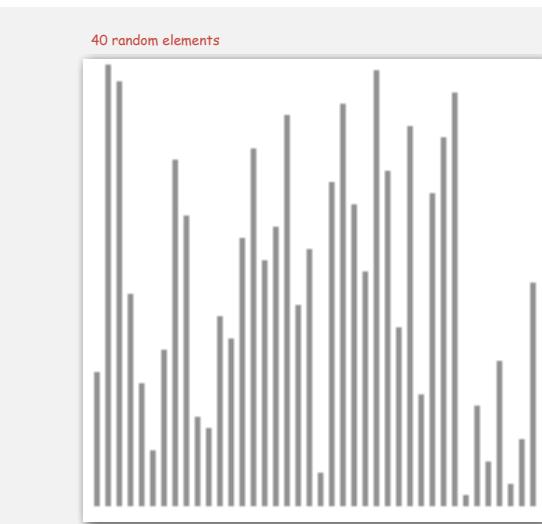
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Insertion sort: trace

i	j	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34
0	0	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
1	1	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
2	1	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
3	1	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
4	1	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
5	5	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
6	2	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
7	1	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
8	7	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
9	4	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
10	7	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
11	6	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
12	3	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
13	3	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
14	11	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
15	6	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
16	10	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
17	15	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
18	4	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
19	15	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
20	19	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
21	8	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
22	15	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
23	13	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
24	21	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
25	17	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
26	20	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
27	26	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
28	5	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
29	29	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
30	2	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
31	13	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
32	21	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
33	12	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			
34	7	A	S	O	M	E	W	H	A	T	L	O	N	G	R	I	N	S	E	R	T	O	N	S	O	R	T	E	X	A	M	P	L			

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Insertion sort animation



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Insertion sort: best and worst case

Best case. If the input is in ascending order, insertion sort makes $N-1$ compares and 0 exchanges.

A E E L M O P R S T X

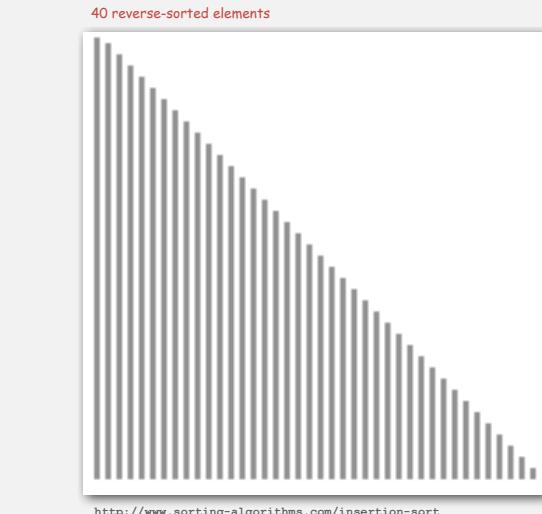
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Worst case. If the input is in descending order (and no duplicates), insertion sort makes $\sim N^2/2$ compares and $\sim N^2/2$ exchanges.

X T S R P O M L E E A

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Insertion sort animation



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Insertion sort: partially sorted inputs

Def. An **inversion** is a pair of keys that are out of order.

A E E L M O T R X P S

T-R T-P T-S R-P X-P X-S
(6 inversions)

Def. An array is **partially sorted** if the number of inversions is $O(N)$.

- Ex 1. A small array appended to a large sorted array.
- Ex 2. An array with only a few elements out of place.

Proposition C. For partially-sorted arrays, insertion sort runs in linear time.

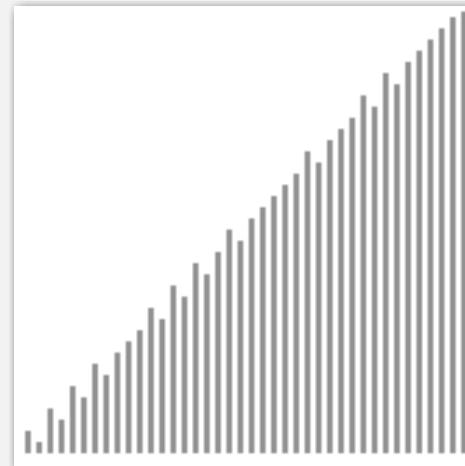
Pf. Number of exchanges equals the number of inversions.

↑
number of compares = exchanges + (N-1)

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Insertion sort animation

40 partially-sorted elements



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

▲ algorithm position
— in order
— not yet seen

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- ▶ rules of the game
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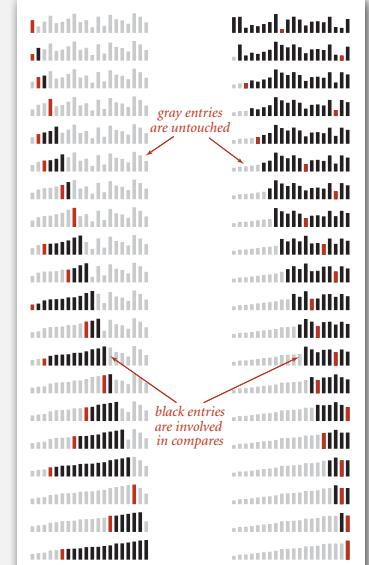
Sorting challenge 0

Input. Array of doubles.

Plot. Data proportional to length.

Name the sorting method.

- Insertion sort.
- Selection sort.



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Sorting challenge 1

Problem. Sort a file of huge records with tiny keys.

Ex. Reorganize your MP3 files.

Which sorting method to use?

- System sort.
- Insertion sort.
- Selection sort.

file →	Fox	1	A	243-456-9091	101 Brown
	Quilici	1	C	343-987-5642	32 McCosh
record →	Chen	2	A	884-232-5341	11 Dickinson
	Furia	3	A	766-093-9873	22 Brown
	Kanaga	3	B	898-122-9643	343 Forbes
	Andrews	3	A	874-088-1212	121 Whitman
	Rohde	3	A	232-343-5555	115 Holder
	Battle	4	C	991-878-4944	308 Blair
	Aaron	4	A	664-480-0023	097 Little
key →	Garsai	4	B	665-303-0266	113 Walker

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Sorting challenge 2

Problem. Sort a huge randomly-ordered file of small records.

Ex. Process transaction records for a phone company.

Which sorting method to use?

- System sort.
- Insertion sort.
- Selection sort.

file →	Fox	1	A	243-456-9091	101 Brown
	Quilici	1	C	343-987-5642	32 McCosh
record →	Chen	2	A	884-232-5341	11 Dickinson
	Furia	3	A	766-093-9873	22 Brown
	Kanaga	3	B	898-122-9643	343 Forbes
	Andrews	3	A	874-088-1212	121 Whitman
	Rohde	3	A	232-343-5555	115 Holder
	Battle	4	C	991-878-4944	308 Blair
	Aaron	4	A	664-480-0023	097 Little
key →	Garsai	4	B	665-303-0266	113 Walker

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Sorting challenge 3

Problem. Sort a huge number of tiny files (each file is independent).

Ex. Daily customer transaction records.

Which sorting method to use?

- System sort.
- Insertion sort.
- Selection sort.

file →	Fox	1	A	243-456-9091	101 Brown
	Quilici	1	C	343-987-5642	32 McCosh
record →	Chen	2	A	884-232-5341	11 Dickinson
	Furia	3	A	766-093-9873	22 Brown
	Kanaga	3	B	898-122-9643	343 Forbes
	Andrews	3	A	874-088-1212	121 Whitman
	Rohde	3	A	232-343-5555	115 Holder
	Battle	4	C	991-878-4944	308 Blair
	Aaron	4	A	664-480-0023	097 Little
key →	Garsai	4	B	665-303-0266	113 Walker

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Sorting challenge 4

Problem. Sort a huge file that is already almost in order.

Ex. Resort a huge database after a few changes.

Which sorting method to use?

- System sort.
- Insertion sort.
- Selection sort.

file →	Fox	1	A	243-456-9091	101 Brown
	Quilici	1	C	343-987-5642	32 McCosh
record →	Chen	2	A	884-232-5341	11 Dickinson
	Furia	3	A	766-093-9873	22 Brown
	Kanaga	3	B	898-122-9643	343 Forbes
	Andrews	3	A	874-088-1212	121 Whitman
	Rohde	3	A	232-343-5555	115 Holder
	Battle	4	C	991-878-4944	308 Blair
	Aaron	4	A	664-480-0023	097 Little
key →	Garsai	4	B	665-303-0266	113 Walker

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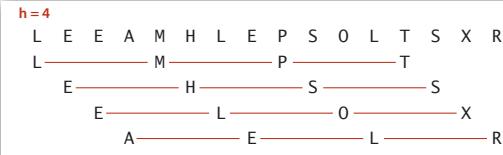
► rules of the game
 ► selection sort
 ► insertion sort
 ► animations
► shellsort

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Shellsort overview

Idea. Move elements more than one position at a time by **h-sorting** the array.

an h-sorted array is h interleaved sorted subsequences



Shellsort. **h-sort** the array for a decreasing sequence of values of h.

input	S H E L L S O R T E X A M P L E
13-sort	P H E L L S O R T E X A M S L E
4-sort	L E E A M H L E P S O L T S X R
1-sort	A E E E H L L L M O P R S S T X

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h-sorting

How to h-sort an array? Insertion sort, with stride length h.

3-sorting an array

M	O	L	E	E	X	A	S	P	R	T
E	O	L	M	E	X	A	S	P	R	T
E	E	L	M	O	X	A	S	P	R	T
E	E	L	M	O	X	A	S	P	R	T
A	E	L	E	O	X	M	S	P	R	T
A	E	L	E	O	X	M	S	P	R	T
A	E	L	E	O	P	M	S	X	R	T
A	E	L	E	O	P	M	S	X	R	T
A	E	L	E	O	P	M	S	X	R	T
A	E	L	E	O	P	M	S	X	R	T
A	E	L	E	O	P	M	S	X	R	T

Why insertion sort?

- Big increments \Rightarrow small subarray.
- Small increments \Rightarrow nearly in order. [stay tuned]

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Shellsort example: increments 7, 3, 1

input

S	O	R	T	E	X	A	M	P	L	E
---	---	---	---	---	---	---	---	---	---	---

1-sort

A	E	L	E	O	P	M	S	X	R	T
A	E	L	E	O	P	M	S	X	R	T
A	E	L	E	O	P	M	S	X	R	T
A	E	E	L	O	P	M	S	X	R	T
A	E	E	L	O	P	M	S	X	R	T
A	E	E	L	M	O	P	S	X	R	T
A	E	E	L	M	O	P	S	X	R	T
A	E	E	L	M	O	P	R	S	X	T
A	E	E	L	M	O	P	R	S	T	X

7-sort

S	O	R	T	E	X	A	M	P	L	E
M	O	R	T	E	X	A	S	P	L	E
M	O	R	T	E	X	A	S	P	L	E
M	O	L	T	E	X	A	S	P	R	E
M	O	L	E	E	X	A	S	P	R	E

3-sort

M	O	L	E	E	X	A	S	P	R	T
E	O	L	M	E	X	A	S	P	R	T
E	E	L	M	O	X	A	S	P	R	T
E	E	L	M	O	X	A	S	P	R	T
A	E	L	E	O	X	M	S	P	R	T
A	E	L	E	O	X	M	S	P	R	T
A	E	L	E	O	P	M	S	X	R	T
A	E	L	E	O	P	M	S	X	R	T

result

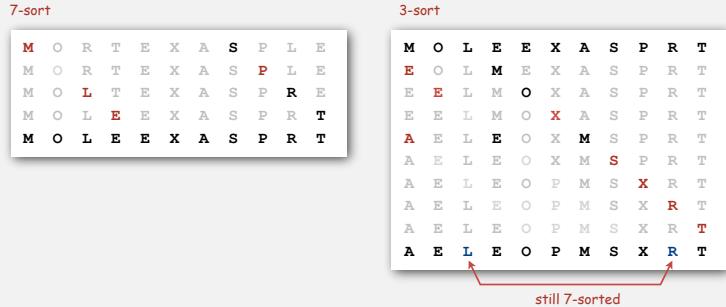
A	E	E	L	M	O	P	R	S	T	X
---	---	---	---	---	---	---	---	---	---	---

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Shellsort: intuition

Proposition. A g-sorted array remains g-sorted after h-sorting it.

Pf. Harder than you'd think!



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What increments to use?

1, 2, 4, 8, 16, 32 ...

No.

1, 3, 7, 15, 31, 63, ...

Maybe.

→ 1, 4, 13, 40, 121, 364, ...

OK, easy to compute $3x+1$ sequence.

1, 5, 19, 41, 109, 209, 505, ...

Tough to beat in empirical studies.

Interested in learning more?

- See Algs 3 section 6.8 or Knuth volume 3 for details.
- Consider doing a JP on the topic.

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Shellsort: Java implementation

```
public class Shell
{
    public static void sort(Comparable[] a)
    {
        int N = a.length;

        int h = 1;
        while (h < N/3) h = 3*h + 1; // 1, 4, 13, 40, 121, 364, 1093, ...

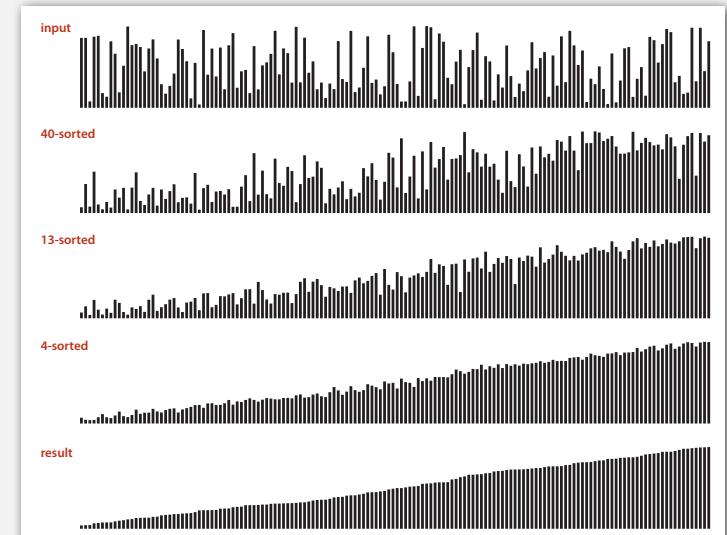
        while (h >= 1)
        { // h-sorts the array.
            for (int i = h; i < N; i++)
            {
                for (int j = i; j >= h && less(a[j], a[j-h]); j -= h)
                    exch(a, j, j-h);
            }

            h = h/3;
        }
    }

    private static boolean less(Comparable v, Comparable w)
    { /* as before */ }
    private static void exch(Comparable[] a, int i, int j)
    { /* as before */ }
}
```

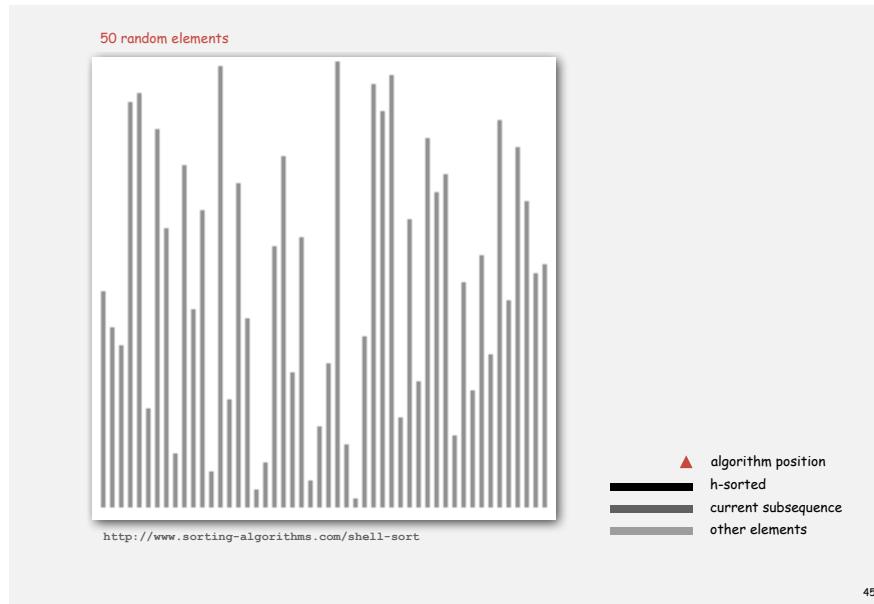
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Visual trace of shellsort

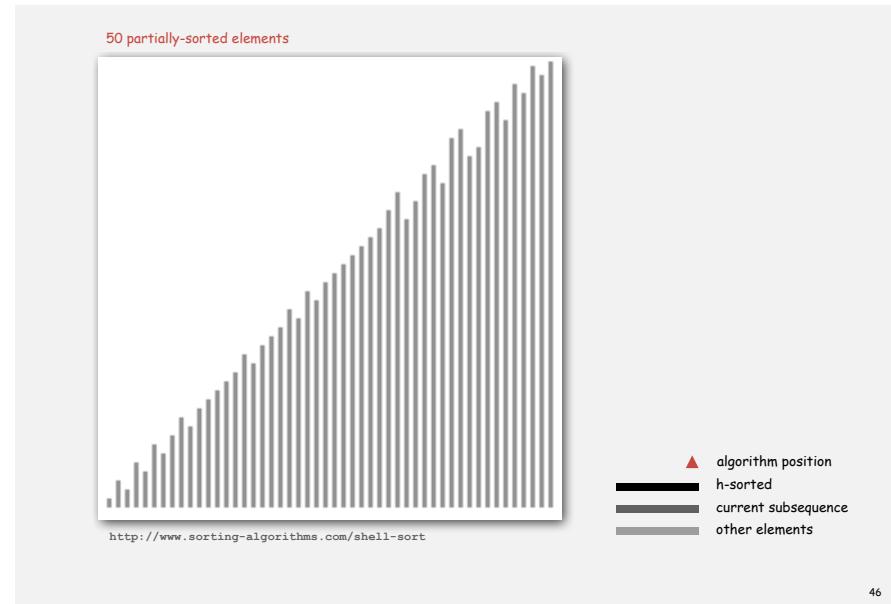


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Shellsort animation



Shellsort animation



Shellsort: analysis

Proposition. The worst-case number of compares used by shellsort with the $3x+1$ increments is $O(N^{3/2})$.

Property. The number of compares used by shellsort with the $3x+1$ increments is at most by a small multiple of N times the # of increments used.

N	compares	$N^{1.289}$	$2.5 N \lg N$
5,000	93	58	106
10,000	209	143	230
20,000	467	349	495
40,000	1022	855	1059
80,000	2266	2089	2257

measured in thousands

Remark. Accurate model has not yet been discovered (!)

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Why are we interested in shellsort?

Example of simple idea leading to substantial performance gains.

Useful in practice.

- Fast unless array size is huge.
- Tiny, fixed footprint for code (used in embedded systems).
- Hardware sort prototype.

Simple algorithm, nontrivial performance, interesting questions.

- Asymptotic growth rate?
- Best sequence of increments? ← open problem: find a better increment sequence
- Average case performance?

Lesson. Some good algorithms are still waiting discovery.

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