



# Lecture 08: Sorting II

## COMP526: Efficient Algorithms

Updated: October 29, 2024

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# Announcements

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1. Fourth Quiz, due Friday
  - Similar format to before
  - Covers (Balanced) Binary Search Trees (Lectures 6–7)
  - Quiz is **closed resource**
    - No books, notes, internet, etc.
    - Do not discuss until after submission deadline (Friday night, after midnight)
2. Programming Assignment (Draft) Posted
  - Due Wednesday, 13 November
3. Attendance Code:

# Meeting Goals

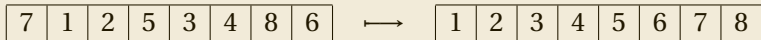
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- Discuss Divide and Conquer approaches to sorting
  - MERGESORT
  - QUICKSORT
- Demonstrate lower bounds for comparison-based sorting

# From Last Time

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We recalled the **Sorting Task**:



We discussed four sorting algorithms:

1. SELECTIONSORT: find the (next) smallest element and put it in place
2. BUBBLESORT: “pull” the largest values toward the end of the array
3. INSERTIONSORT: sort prefixes of the array by inserting the “next” element into sorted place
4. HEAPSORT: make a (max) heap, then repeated call REMOVE MAX, placing elements at the end of the array

# Sorting by Divide & Conquer

# The Divide & Conquer Strategy

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## Generic Strategy

Given an algorithmic task:

1. Break the input into smaller instances of the task
2. Solve the smaller instances
  - this is typically recursive!
3. Combine smaller solutions to a solution to the whole task

## Divide & Conquer Sorting

MERGESORT: Divide by *index*

- divide array into left and right halves
- recursively sort halves
- merge halves

QUICKSORT: Divide by *value*

- pick a *pivot value*  $p$
- split array according to  $p$ 
  - $\leq p$  on left,  $> p$  on right
- recursively sort sub-arrays

# Merging Sorted Arrays

## Question

Suppose we are given two **sorted arrays**,  $a$  and  $b$ . How can we merge them into a single sorted array that contains all the values from both arrays?

| 0 | 1 | 2 | 3 | 4 |
|---|---|---|---|---|
| 2 | 3 | 6 | 7 | 8 |

| 0 | 1 | 2 | 3 |
|---|---|---|---|
| 1 | 4 | 5 | 9 |

| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
|---|---|---|---|---|---|---|---|---|
|   |   |   |   |   |   |   |   |   |

# Merging Code

---

Merging *sorted* arrays  $a$  (size  $m$ ) and  $b$  (size  $n$ ) into array  $c$  starting at index  $s$

```
1: procedure MERGE( $a, b, c, s, m, n$ )      ▷  
   Merge arrays  $a$  and  $b$  into array  $c$   
   starting at index  $s$ .  $a$  has size  $m$  and  $b$   
   has size  $n$   
2:    $i, j \leftarrow 0, k \leftarrow s$   
3:   while  $k < s + m + n$  do  
4:     if  $j = n$  or  $a[i] < b[j]$  then  
5:        $c[k] \leftarrow a[i]$   
6:        $i \leftarrow i + 1$   
7:     else  
8:        $c[k] \leftarrow b[j]$   
9:        $j \leftarrow j + 1$   
10:    end if  
11:     $k \leftarrow k + 1$   
12:  end while  
13: end procedure
```



# Merging Code

## PollEverywhere

What is the running time of MERGE?

1.  $\Theta(m+n)$
2.  $\Theta(m \cdot n)$
3.  $\Theta(\log(m+n))$
4.  $\Theta(\log mn)$



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- 1: **procedure** MERGE( $a, b, c, s, m, n$ ) ▷  
Merge arrays  $a$  and  $b$  into array  $c$  starting at index  $s$ .  $a$  has size  $m$  and  $b$  has size  $n$
- 2:      $i, j \leftarrow 0, k \leftarrow s$
- 3:     **while**  $k < s + m + n$  **do**
- 4:         **if**  $j = n$  or  $a[i] < b[j]$  **then**
- 5:              $c[k] \leftarrow a[i]$
- 6:              $i \leftarrow i + 1$
- 7:         **else**
- 8:              $c[k] \leftarrow b[j]$
- 9:              $j \leftarrow j + 1$
- 10:         **end if**
- 11:          $k \leftarrow k + 1$
- 12:     **end while**
- 13: **end procedure**

# Sorting by Merging

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MERGESORTStrategy:

- To sort  $a[i \dots k]$ :
  - If  $i = k$ , then we're done
  - Otherwise split (sub)interval in half
  - Recursively sort halves
  - Merge sorted halves
    - copy values to new arrays for this

# Sorting by Merging

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MERGESORTStrategy:

- To sort  $a[i \dots k]$ :
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  - Recursively sort halves
  - Merge sorted halves
    - copy values to new arrays for this

```
1: procedure MERGESORT( $a, i, k$ )
2:   if  $i < k$  then
3:      $j \leftarrow \lfloor (i + k) / 2 \rfloor$ 
4:     MERGESORT( $a, i, j$ )
5:     MERGESORT( $a, j + 1, k$ )
6:      $b \leftarrow \text{COPY}(a, i, j)$ 
7:      $c \leftarrow \text{COPY}(a, j + 1, k)$ 
8:     MERGE( $b, c, a, i$ )
9:   end if
10: end procedure
```

# Sorting by Merging

## PollEverywhere

Consider an execution of MERGESORT( $a, 0, 3$ ) where  $a = [4, 2, 1, 3]$ . How many total calls to MERGESORT are executed (including the initial call)?



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```
1: procedure MERGESORT( $a, i, k$ )
2:   if  $i < k$  then
3:      $j \leftarrow \lfloor (i + k) / 2 \rfloor$ 
4:     MERGESORT( $a, i, j$ )
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6:      $b \leftarrow \text{COPY}(a, i, j)$ 
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9:   end if
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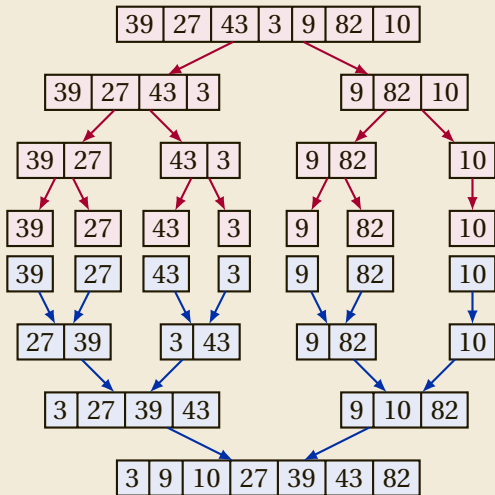
# Sorting by Merging

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## Tracing the Recursive Calls

```
1: procedure MERGESORT(a, i, k)
2:   if i < k then
3:      $j \leftarrow \lfloor (i + k) / 2 \rfloor$ 
4:     MERGESORT(a, i, j)
5:     MERGESORT(a, j + 1, k)
6:      $b \leftarrow \text{COPY}(a, i, j)$ 
7:      $c \leftarrow \text{COPY}(a, j + 1, k)$ 
8:     MERGE(b, c, a, i)
9:   end if
10: end procedure
```

# A Larger Example



tikz code courtesy of SebGlav on [tex.stackexchange.com](https://tex.stackexchange.com)

```
1: procedure  
   MERGESORT(a, i, k)  
2:   if i < k then  
3:      $j \leftarrow \lfloor (i+k)/2 \rfloor$   
4:     MERGESORT(a, i, j)  
5:     MERGESORT(a, j + 1, k)  
6:     b ← COPY(a, i, j)  
7:     c ← COPY(a, j + 1, k)  
8:     MERGE(b, c, a, i)  
9:   end if  
10: end procedure
```

# MergeSort Analysis

**Question.** What is the running time of MERGESORT?

## PollEverywhere

What is the running time of MERGESORT?

1.  $\Theta(n)$
2.  $\Theta(n \log n)$
3.  $\Theta(n^{3/2})$
4.  $\Theta(n^2)$



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```
1: procedure MERGESORT( $a, i, k$ )
2:   if  $i < k$  then
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# Running Time of Recursive Functions

---

**Question.** How do we analyze the running time of recursively defined functions?



# Running Time of Recursive Functions

---

**Question.** How do we analyze the running time of recursively defined functions?

**General Approach.** Write (and solve) a *recursive formula* for the running time:

- Define  $T(n)$  to be the worst case running time of all instances of size  $n$
- Find a (recursive) relationship between  $T(n)$  and  $T(n')$  with  $n' < n$
- Solve the recursive function for  $T$ .

# A Recursive Formula for MergeSort

---

**General Approach.** Write (and solve) a *recursive formula* for the running time

- Define  $T(n)$  to be the worst case running time of all instances of size  $n$
- How is  $T(n)$  related to  $T(n')$  for smaller values of  $n$ ?

```
1: procedure MERGESORT( $a, i, k$ )
2:   if  $i < k$  then
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- Define  $T(n)$  to be the worst case running time of all instances of size  $n$
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  - $T(n) = 2T(n/2) + cn$

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1: procedure MERGESORT( $a, i, k$ )
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# A Recursive Formula for MergeSort

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**General Approach.** Write (and solve) a *recursive formula* for the running time

- Define  $T(n)$  to be the worst case running time of all instances of size  $n$
- How is  $T(n)$  related to  $T(n')$  for smaller values of  $n$ ?
  - $T(n) = 2T(n/2) + cn$
- How do we solve this **recursive formula**?

$$\begin{aligned}T(n) &= 2T(n/2) + cn \\ &= 2(2T(n/4) + c(n/2)) + cn \\ &= 4T(n/4) + 2cn \\ &= \dots\end{aligned}$$

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8:     MERGE( $b, c, a, i$ )
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```

# Inductive Argument

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## Proposition

Suppose that for all  $n$ ,  $T(n)$  satisfies  $T(n) \leq 2T(n/2) + cn$  and  $T(1) = O(1)$ . Then  $T(n) = O(n \log n)$ .

# Inductive Argument

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## Proposition

Suppose that for all  $n$ ,  $T(n)$  satisfies  $T(n) \leq 2T(n/2) + cn$  and  $T(1) = O(1)$ . Then  $T(n) = O(n \log n)$ .

## Proof.

We claim that for all  $k$ ,  $T(n) = 2^k T(n/2^k) + kcn$ .

- The base case  $k = 1$  is the hypothesis of the proposition.
- For the inductive step, apply inductive hypothesis along with the base case for  $n' = n/2^k$ .



# Inductive Argument

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- The base case  $k = 1$  is the hypothesis of the proposition.
- For the inductive step, apply inductive hypothesis along with the base case for  $n' = n/2^k$ .

Now apply the claim for  $k = \log n$ :

- $T(n) \leq 2^{\log n} T(n/2^{\log n}) + (\log n)cn = O(n \log n)$



# Inductive Argument

---

## Proposition

Suppose that for all  $n$ ,  $T(n)$  satisfies  $T(n) \leq 2T(n/2) + cn$  and  $T(1) = O(1)$ . Then  $T(n) = O(n \log n)$ .

## Consequence

The running time of MERGESORT is  $O(n \log n)$



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## Consequence

The running time of MERGESORT is  $O(n \log n)$

**Also**, MERGESORT performs reasonably well on large arrays in practice:

- Good locality of reference in MERGE operations

# Inductive Argument

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The running time of MERGESORT is  $O(n \log n)$

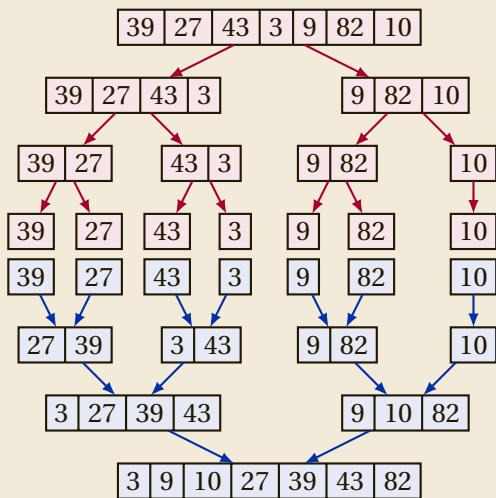
**Also**, MERGESORT performs reasonably well on large arrays in practice:

- Good locality of reference in MERGE operations

**But** MERGESORT operation requires  $\Theta(m)$  additional space

- MERGE operation copies values

# Visualizing the Argument



tikz code courtesy of SebGlav on [tex.stackexchange.com](https://tex.stackexchange.com)

# QuickSort

# QuickSort: Dividing by Value

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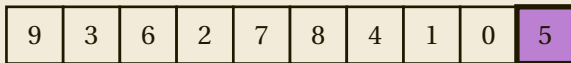
- The MERGESORT algorithm divided arrays by **index**
- QUICKSORT divides arrays by **value**
  1. pick a **pivot value**  $p$  from the array
  2. **split** the array into sub-arrays
    - $a[1 \dots j-1]$  stores values  $\leq p$
    - $a[j \dots n-1]$  stores values  $> p$
  3. recursively sort  $a[1 \dots j-1]$  and  $a[j \dots n-1]$

```
1: procedure QUICKSORT( $a$ , min, max)
2:    $p \leftarrow$  SELECTPIVOT( $a$ , min, max)
3:    $j \leftarrow$  SPLIT( $a$ , min, max,  $p$ )
4:   QUICKSORT( $a$ , min,  $j$ )
5:   QUICKSORT( $a$ ,  $j+1$ , max)
6: end procedure
```

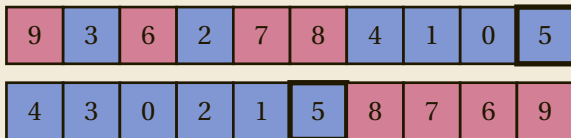
# Visualizing QuickSort

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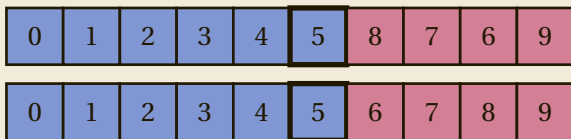
Select a pivot:



Split by pivot value:

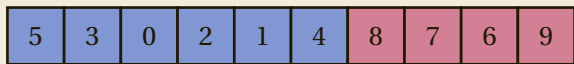
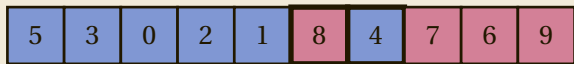
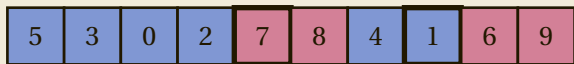
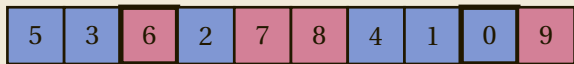
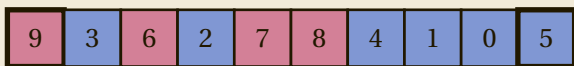


Recursively sort left and right sides:



# Hoare's Splitting Method

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# Splitting in Pseudocode

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```
1: procedure SPLIT( $a$ , min, max,  $p$ )
2:    $i \leftarrow$  min
3:    $j \leftarrow$  max
4:   while  $i < j$  do
5:     while  $a[i] \leq p$  do
6:        $i \leftarrow i + 1$ 
7:     end while
8:     while  $a[j] > p$  do
9:        $j \leftarrow j - 1$ 
10:    end while
11:    SWAP( $a$ ,  $i$ ,  $j$ )
12:  end while
13:  swap  $p$  into index  $i - 1$ 
14:  return  $i - 1$ 
15: end procedure
```



# Splitting in Pseudocode

## PollEverywhere

What is the running time of  
SPLIT( $a$ , min, max,  $p$ )?



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```
1: procedure SPLIT( $a$ , min, max,  $p$ )
2:    $i \leftarrow$  min
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4:   while  $i < j$  do
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14:  return  $i - 1$ 
15: end procedure
```

# Splitting in Pseudocode

---

What is the running time of  
 $\text{SPLIT}(a, \min, \max, p)$ ?

```
1: procedure SPLIT( $a, \min, \max, p$ )
2:    $i \leftarrow \min$ 
3:    $j \leftarrow \max$ 
4:   while  $i < j$  do
5:     while  $a[i] \leq p$  do
6:        $i \leftarrow i + 1$ 
7:     end while
8:     while  $a[j] > p$  do
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13:  swap  $p$  into index  $i - 1$ 
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```

# Running time of QuickSort?

---

## PollEverywhere

What is the worst-case running time of QUICKSORT?



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- 1: **procedure** QUICKSORT( $a$ , min, max)
- 2:      $p \leftarrow$  SELECTPIVOT( $a$ , min, max)
- 3:      $j \leftarrow$  SPLIT( $a$ , min, max,  $p$ )
- 4:     QUICKSORT( $a$ , min,  $j$ )
- 5:     QUICKSORT( $a$ ,  $j + 1$ , max)
- 6: **end procedure**

# Running time of QuickSort?

---

## The Worst Case:

- the pivot is the largest or smallest element in  $a[\text{min} \dots \text{max}]$ .
- Then one of the recursive calls has size  $\text{max} - \text{min} - 1$ .
- The overall running time is then  $\Omega(n^2)$ .

```
1: procedure QUICKSORT( $a, \text{min}, \text{max}$ )
2:    $p \leftarrow \text{SELECTPIVOT}(a, \text{min}, \text{max})$ 
3:    $j \leftarrow \text{SPLIT}(a, \text{min}, \text{max}, p)$ 
4:   QUICKSORT( $a, \text{min}, j$ )
5:   QUICKSORT( $a, j + 1, \text{max}$ )
6: end procedure
```

## No matter what:

- Each call to SPLIT sorts at least one element (the pivot)
- Each call to QUICKSORT takes time  $O(n)$
- $\implies$  Running time is  $O(n^2)$

So the overall running time is  $\Theta(n^2)$

# Running time of QuickSort?

---

## PollEverywhere

What is the **best-case** running time of QUICKSORT?



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- 1: **procedure** QUICKSORT( $a$ , min, max)
- 2:      $p \leftarrow$  SELECTPIVOT( $a$ , min, max)
- 3:      $j \leftarrow$  SPLIT( $a$ , min, max,  $p$ )
- 4:     QUICKSORT( $a$ , min,  $j$ )
- 5:     QUICKSORT( $a$ ,  $j + 1$ , max)
- 6: **end procedure**

# Running time of QuickSort?

---

## The Best Case Scenario:

- Each SPLIT partitions  $a$  perfectly in half
- Analysis as in MERGESORT
- $\Rightarrow$  running time is  $\Theta(n \log n)$

**Bonus:** QUICKSORT sorts *in-place*

- No extra arrays!

```
1: procedure QUICKSORT( $a$ , min, max)
2:    $p \leftarrow$  SELECTPIVOT( $a$ , min, max)
3:    $j \leftarrow$  SPLIT( $a$ , min, max,  $p$ )
4:   QUICKSORT( $a$ , min,  $j$ )
5:   QUICKSORT( $a$ ,  $j+1$ , max)
6: end procedure
```

# Random Pivot Selection

---

Suppose we choose each pivot **randomly**:

- `SELECTPIVOT(a, min, max)` returns  $a[i]$  where  $i$  is chosen *uniformly* from  $\{\min, \min + 1, \dots, \max\}$

# Random Pivot Selection

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Suppose we choose each pivot **randomly**:

- `SELECTPIVOT(a, min, max)` returns  $a[i]$  where  $i$  is chosen *uniformly* from  $\{\min, \min + 1, \dots, \max\}$

## Intuition:

- A randomly chosen pivot is “reasonably likely” to be “close” to the **median** value
  - with probability  $1/2$   $p$  will be in the middle half of the values
- Perhaps this is enough to get a *typical* running time of  $O(n \log n)$ ?



# Random Pivot Selection

---

Suppose we choose each pivot **randomly**:

- `SELECTPIVOT(a, min, max)` returns  $a[i]$  where  $i$  is chosen *uniformly* from  $\{\min, \min + 1, \dots, \max\}$

## Theorem

The **expected** running time of QUICKSORT with random pivot selection is  $O(n \log n)$ .

- This expectation is over the **randomness of the algorithm**, not the input

$\implies$  (Expected) guarantee holds for *all* arrays

# Random Pivot Selection

---

## Theorem

The **expected** running time of QUICKSORT with random pivot selection is  $O(n \log n)$ .

## Proof.

Analyze the comparisons made by QUICKSORT:

- Write the values in  $a$  as  $a_1 \leq a_2 \leq \dots \leq a_n$
- Define  $X_{ij} = 1$  if  $a_i$  and  $a_j$  are compared in an execution



# Random Pivot Selection

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## Theorem

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## Proof.

Analyze the comparisons made by QUICKSORT:

- Write the values in  $a$  as  $a_1 \leq a_2 \leq \dots \leq a_n$
- Define  $X_{ij} = 1$  if  $a_i$  and  $a_j$  are compared in an execution
- $X_{ij} = 1$  only if  $a_i$  or  $a_j$  is chosen in pivot in SPLIT that separates  $a_i$  and  $a_j$
- This happens with probability  $p_{ij} = 2/(j - i + 1)$



# Random Pivot Selection

## Theorem

The **expected** running time of QUICKSORT with random pivot selection is  $O(n \log n)$ .

## Proof.

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- This happens with probability  $p_{ij} = 2/(j - i + 1)$
- This contributes  $\mathbf{E}(X_{ij}) = p_{ij}$  comparisons in expectation
- Summing over all  $i$  and  $j$  we get the expected number of comparisons to be  
$$\mathbf{E}\left(\sum_{j=1}^n \sum_{i<j} p_{ij}\right) = O(n \log n) \quad \text{(Use } \sum_{k=1}^n 1/k = \Theta(\log n)\text{)}$$

□

# Sorting So Far

---

## Elementary Sorting

$\Theta(n^2)$  worst case

- SELECTIONSORT
- BUBBLESORT
- INSERTIONSORT

## Faster Sorting

$\Theta(n \log n)$  worst case

- HEAPSORT
- MERGESORT

## Good in Practice?

$\Theta(n^2)$  worst case

$\Theta(n \log n)$  in expectation

- QUICKSORT

## Question

Can we sort in time  $o(n \log n)$ ?

# Comparison Based Sorting

---

## High-level view of (sorting) algorithms (... so far)

- Access input, an array  $a$
- *Compare* values of  $a$ :
  - if  $a[i] \leq a[j]$  do something
  - otherwise do something else
- These are **comparison based algorithms**

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## Consider

- **any** comparison based sorting algorithm  $A$
- **every** possible input  $a$  to  $A$  where  $a$  stores distinct values between 1 and  $n$ .
  - $P_n = \{a \mid a \text{ contains distinct elements from } 1 \text{ to } n\}$
  - $|P_n| = n! = n \cdot (n-1) \cdot (n-2) \cdots 1$

**Question.** How does  $A$  distinguish between  $a, b \in P_n$ ?

# Decision Trees

---

For a comparison based algorithm  $A$  a binary tree  $T_A$ :

- vertices labelled with
  - a comparison  $a[i] \leq a[j]$  performed by  $A$
  - a subset of inputs
- root labels are (1) first comparison made by  $A$ , and (2)  $P_n$
- each child corresponds to an **outcome** of comparison at parent node
  - left child labelled with TRUE inputs & next comparison
  - right child labelled with FALSE inputs & next comparison
- leaf vertices correspond to completed computations



# Example: InsertionSort

---

```
1: procedure INSERTIONSORT( $a, n$ )
2:   for  $i = 1, 2, \dots, n - 1$  do
3:      $j \leftarrow i$ 
4:     while  $j > 0$  and  $a[j] < a[j - 1]$  do
5:       SWAP( $a, j, j - 1$ )
6:        $j \leftarrow j - 1$ 
7:     end while
8:   end for
9: end procedure
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## Unwrapping the Loops for $n = 3$

1.  $a[2] < a[1]$
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  - 2.1 if yes, check  $a[2] < a[1]$   
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## Decision tree structure

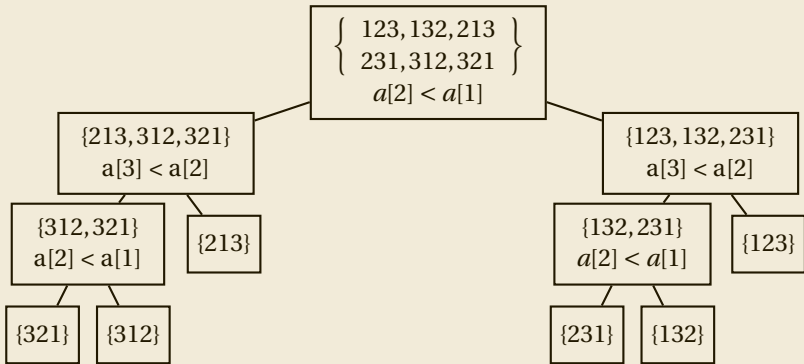
- Start with all inputs  
 $S = \{123, 132, 213, 231, 312, 321\}$
- Apply comparison 1:
  - $S_T = \{213, 312, 321\} \mapsto \{123, 132, 231\}$ , then apply comparison 2
    - $S_{TT} = \{312, 321\} \mapsto \{123, 213\}$
    - $S_{TF} = \{213\} \mapsto \{123\}$
  - $S_F = \{123, 132, 231\}$ , then apply comparison 2
    - $S_{FT} = \{132, 231\} \mapsto \{123, 213\}$
    - $S_{FF} = \{123\}$

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# InsertionSort Decision Tree

**Note** the set labels are sets of **inputs**

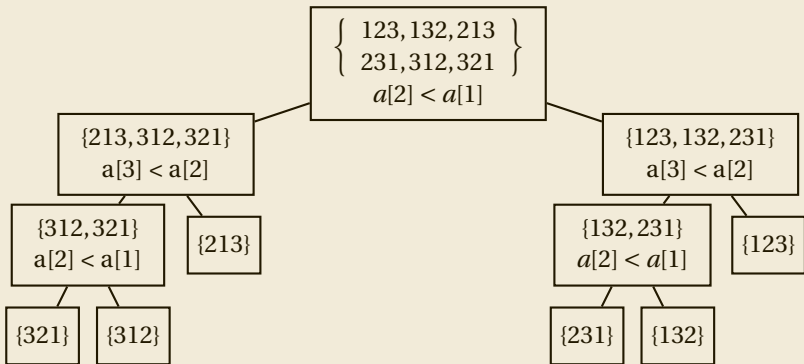
- INSERTIONSORT **updates** the arrays as it executes the decision tree
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# InsertionSort Decision Tree

**Note** the set labels are sets of **inputs**

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**Observation.** Every *leaf* has corresponds to a unique input. **Why?**

# Comparison Based Lower Bounds

---

**Obsevation 1.** If arrays  $a$  and  $b$  are in the same label at a vertex  $v$  at depth  $d$  in  $T_A$  then:

- first  $d$  comparisons in  $a$  and  $b$  had same results
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## Theorem

*Any comparison-based sorting algorithm requires  $\Omega(n \log n)$  comparisons to sort arrays of length  $n$  in the worst case.*

## Next Time

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- Non-comparison-based Sorting
  - Can we sort in  $o(n \log n)$  time?
- Text Searching

# Scratch Notes

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