

2.3 QUICKSORT

- quicksort
- selection
- duplicate keys
- system sorts

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.



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

Quicksort.



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

Quicksort t-shirt

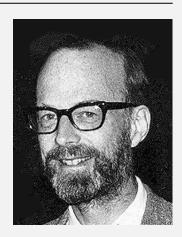


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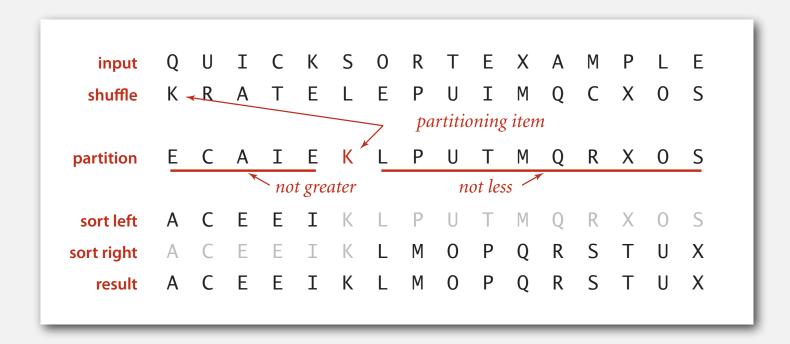
Quicksort

Basic plan.

- Shuffle the array.
- Partition so that, for some j
 - entry a[j] is in place
 - no larger entry to the left of j
 - no smaller entry to the right of j
- Sort each piece recursively.



Sir Charles Antony Richard Hoare 1980 Turing Award



Quicksort partitioning demo

Repeat until i and j pointers cross.

- Scan i from left to right so long as (a[i] < a[lo]).
- Scan j from right to left so long as (a[j] > a[lo]).
- Exchange a[i] with a[j].

K	R	Α	Т	E	L	Е	Р	U	I	M	Q	С	X	O	S
↑ lo	↑ i														∱ j



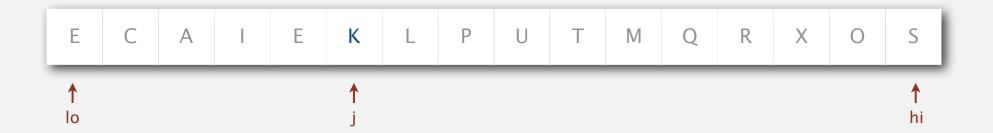
Quicksort partitioning demo

Repeat until i and j pointers cross.

- Scan i from left to right so long as (a[i] < a[lo]).
- Scan j from right to left so long as (a[j] > a[lo]).
- Exchange a[i] with a[j].

When pointers cross.

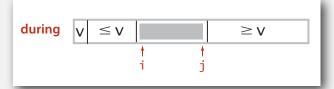
• Exchange a[lo] with a[j].



Quicksort: Java code for partitioning

```
private static int partition(Comparable[] a, int lo, int hi)
   int i = lo, j = hi+1;
   while (true)
      while (less(a[++i], a[lo]))
                                           find item on left to swap
         if (i == hi) break;
      while (less(a[lo], a[--j]))
                                          find item on right to swap
         if (j == lo) break;
      if (i >= j) break;
                                             check if pointers cross
      exch(a, i, j);
                                                          swap
   exch(a, lo, j);
                                        swap with partitioning item
   return j;
               return index of item now known to be in place
```





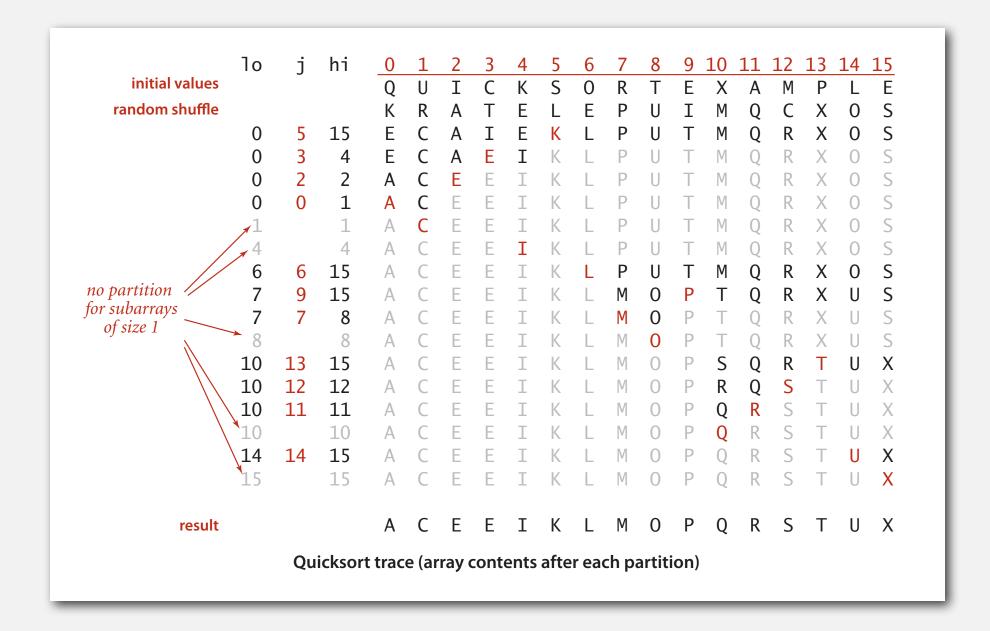
			J		
after		≤V	V	\geq V	
	†		†		†
	10		j		hi
			_		

Quicksort: Java implementation

```
public class Quick
   private static int partition(Comparable[] a, int lo, int hi)
   { /* see previous slide */ }
   public static void sort(Comparable[] a)
      StdRandom.shuffle(a);
      sort(a, 0, a.length - 1);
   private static void sort(Comparable[] a, int lo, int hi)
      if (hi <= lo) return;</pre>
      int j = partition(a, lo, hi);
      sort(a, lo, j-1);
      sort(a, j+1, hi);
```

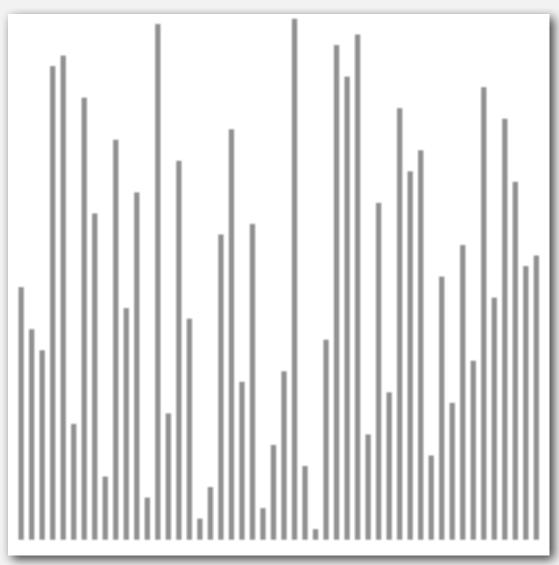
shuffle needed for performance guarantee (stay tuned)

Quicksort trace

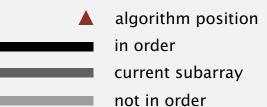


Quicksort animation

50 random items







Quicksort: implementation details

Partitioning in-place. Using an extra array makes partitioning easier (and stable), but is not worth the cost.

Terminating the loop. Testing whether the pointers cross is a bit trickier than it might seem.

Staying in bounds. The (j == 10) test is redundant (why?), but the (i == hi) test is not.

Preserving randomness. Shuffling is needed for performance guarantee.

Equal keys. When duplicates are present, it is (counter-intuitively) better to stop on keys equal to the partitioning item's key.

Quicksort: empirical analysis

Running time estimates:

- Home PC executes 108 compares/second.
- Supercomputer executes 10¹² compares/second.

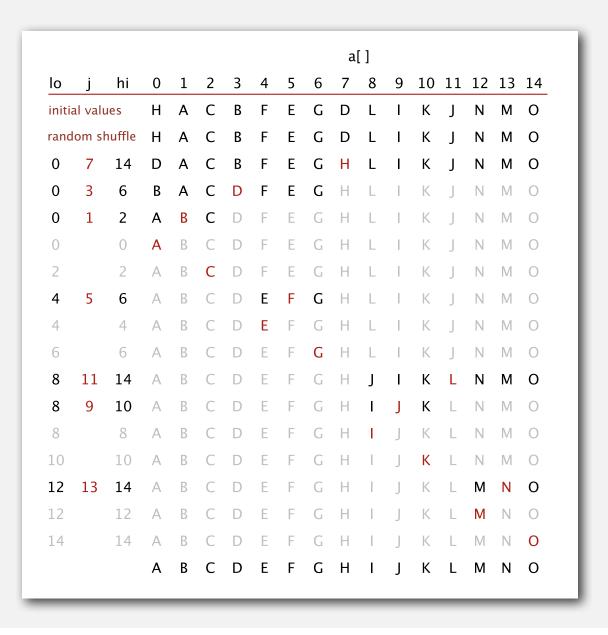
	ins	ertion sort (N ²)	mer	gesort (N lo	g N)	quicksort (N log N)			
computer	thousand	million	billion	thousand	million	billion	thousand	million	billion	
home	instant	2.8 hours	317 years	instant	1 second	18 min	instant	0.6 sec	12 min	
super	instant	1 second	1 week	instant	instant	instant	instant	instant	instant	

Lesson 1. Good algorithms are better than supercomputers.

Lesson 2. Great algorithms are better than good ones.

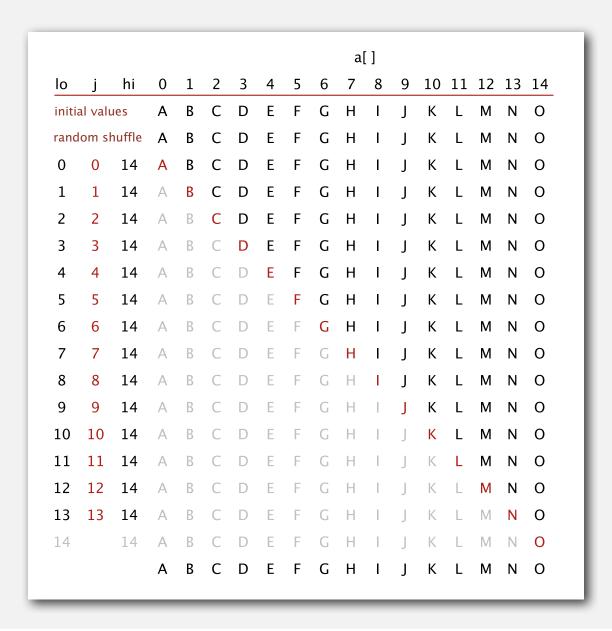
Quicksort: best-case analysis

Best case. Number of compares is $\sim N \lg N$.



Quicksort: worst-case analysis

Worst case. Number of compares is $\sim \frac{1}{2} N^2$.



Quicksort: average-case analysis

Proposition. The average number of compares C_N to quicksort an array of N distinct keys is $\sim 2N \ln N$ (and the number of exchanges is $\sim \frac{1}{3} N \ln N$).

Pf. C_N satisfies the recurrence $C_0 = C_1 = 0$ and for $N \ge 2$:

$$C_N = \begin{array}{c} \text{partitioning} \\ \downarrow \\ (N+1) + \left(\frac{C_0 + C_{N-1}}{N}\right) + \left(\frac{C_1 + C_{N-2}}{N}\right) + \ldots + \left(\frac{C_{N-1} + C_0}{N}\right) \end{array}$$

Multiply both sides by N and collect terms:

partitioning probability

$$NC_N = N(N+1) + 2(C_0 + C_1 + \dots + C_{N-1})$$

• Subtract this from the same equation for N-1:

$$NC_N - (N-1)C_{N-1} = 2N + 2C_{N-1}$$

• Rearrange terms and divide by N(N+1):

$$\frac{C_N}{N+1} = \frac{C_{N-1}}{N} + \frac{2}{N+1}$$

Quicksort: average-case analysis

Repeatedly apply above equation:

$$\frac{C_N}{N+1} = \frac{C_{N-1}}{N} + \frac{2}{N+1}$$

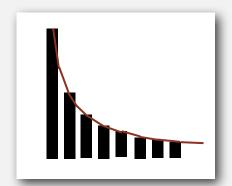
$$= \frac{C_{N-2}}{N-1} + \frac{2}{N} + \frac{2}{N+1}$$
 substitute previous equation
$$= \frac{C_{N-3}}{N-2} + \frac{2}{N-1} + \frac{2}{N} + \frac{2}{N+1}$$

$$= \frac{2}{3} + \frac{2}{4} + \frac{2}{5} + \ldots + \frac{2}{N+1}$$

Approximate sum by an integral:

$$C_N = 2(N+1)\left(\frac{1}{3} + \frac{1}{4} + \frac{1}{5} + \dots + \frac{1}{N+1}\right)$$

 $\sim 2(N+1)\int_3^{N+1} \frac{1}{x} dx$



• Finally, the desired result:

$$C_N \sim 2(N+1) \ln N \approx 1.39 N \lg N$$

Quicksort: summary of performance characteristics

Worst case. Number of compares is quadratic.

- $N + (N-1) + (N-2) + ... + 1 \sim \frac{1}{2} N^2$.
- More likely that your computer is struck by lightning bolt.

Average case. Number of compares is $\sim 1.39 N \lg N$.

- 39% more compares than mergesort.
- But faster than mergesort in practice because of less data movement.

Random shuffle.

- Probabilistic guarantee against worst case.
- Basis for math model that can be validated with experiments.

Caveat emptor. Many textbook implementations go quadratic if array

- Is sorted or reverse sorted.
- Has many duplicates (even if randomized!)

Quicksort properties

Proposition. Quicksort is an in-place sorting algorithm. Pf.

- Partitioning: constant extra space.
- Depth of recursion: logarithmic extra space (with high probability).

can guarantee logarithmic depth by recurring on smaller subarray before larger subarray

Proposition. Quicksort is not stable.

Pf.

i	j	0	1	2	3	
		Bı	C ₁	C ₂	Aı	-
1	3	B_1	C_1	C_2	A_1	
1	3	B_1	A_1	C_2	C_1	
0	1	A_1	B_1	C_2	C_1	

Quicksort: practical improvements

Insertion sort small subarrays.

- Even quicksort has too much overhead for tiny subarrays.
- Cutoff to insertion sort for ≈ 10 items.
- Note: could delay insertion sort until one pass at end.

```
private static void sort(Comparable[] a, int lo, int hi)
{
   if (hi <= lo + CUTOFF - 1)
   {
      Insertion.sort(a, lo, hi);
      return;
   }
   int j = partition(a, lo, hi);
   sort(a, lo, j-1);
   sort(a, j+1, hi);
}</pre>
```

Quicksort: practical improvements

Median of sample.

- Best choice of pivot item = median.
- Estimate true median by taking median of sample.
- Median-of-3 (random) items.

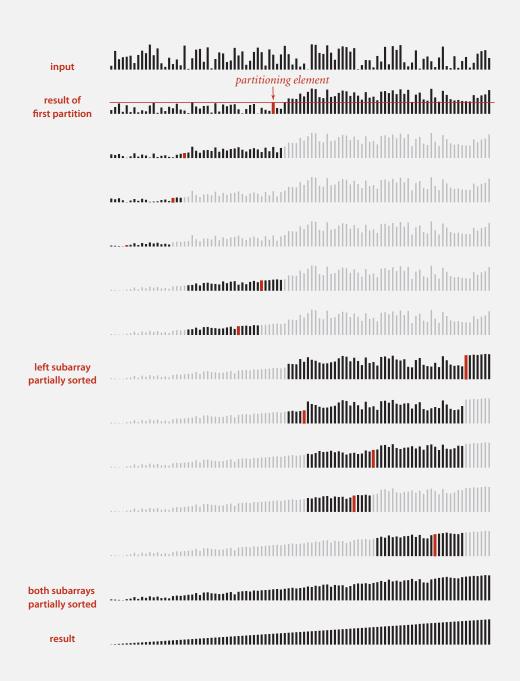
```
~ 12/7 N In N compares (slightly fewer)
~ 12/35 N In N exchanges (slightly more)
```

```
private static void sort(Comparable[] a, int lo, int hi)
{
   if (hi <= lo) return;

   int m = medianOf3(a, lo, lo + (hi - lo)/2, hi);
   swap(a, lo, m);

   int j = partition(a, lo, hi);
   sort(a, lo, j-1);
   sort(a, j+1, hi);
}</pre>
```

Quicksort with median-of-3 and cutoff to insertion sort: visualization



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Selection

Goal. Given an array of N items, find a k^{th} smallest item.

Ex. Min (k = 0), max (k = N - 1), median (k = N/2).

Applications.

- Order statistics.
- Find the "top *k*."

Use theory as a guide.

- Easy $N \log N$ upper bound. How?
- Easy *N* upper bound for k = 1, 2, 3. How?
- Easy N lower bound. Why?

Which is true?

- $N \log N$ lower bound? \leftarrow is selection as hard as sorting?
- N upper bound?

 is there a linear-time algorithm for each k?

Quick-select

Partition array so that:

- Entry a[j] is in place.
- No larger entry to the left of j.
- No smaller entry to the right of j.

Repeat in one subarray, depending on j; finished when j equals k.

```
public static Comparable select(Comparable[] a, int k)
                                                              if a[k] is here if a[k] is here
    StdRandom.shuffle(a);
                                                              set hi to j-1 set lo to j+1
    int lo = 0, hi = a.length - 1;
    while (hi > lo)
       int j = partition(a, lo, hi);
                                                               \leq V
                                                                              \geq V
           (j < k) lo = j + 1;
       if
       else if (i > k) hi = i - 1;
                                                           10
       else
                  return a[k];
    return a[k];
}
```

Quick-select: mathematical analysis

Proposition. Quick-select takes linear time on average.

Pf sketch.

- Intuitively, each partitioning step splits array approximately in half: $N + N/2 + N/4 + ... + 1 \sim 2N$ compares.
- Formal analysis similar to quicksort analysis yields:

$$C_N = 2 N + 2 k \ln (N/k) + 2 (N-k) \ln (N/(N-k))$$
(2 + 2 ln 2) N to find the median

Remark. Quick-select uses $\sim \frac{1}{2} N^2$ compares in the worst case, but (as with quicksort) the random shuffle provides a probabilistic guarantee.

Theoretical context for selection

Proposition. [Blum, Floyd, Pratt, Rivest, Tarjan, 1973] Compare-based selection algorithm whose worst-case running time is linear.

```
by .

Manuel Blum, Robert W. Floyd, Vaughan Pratt,
Ronald L. Rivest, and Robert E. Tarjan

Abstract

The number of comparisons required to select the i-th smallest of n numbers is shown to be at most a linear function of n by analysis of a new selection algorithm -- PICK. Specifically, no more than 5.4305 n comparisons are ever required. This bound is improved for
```

Remark. But, constants are too high \Rightarrow not used in practice.

Use theory as a guide.

- Still worthwhile to seek practical linear-time (worst-case) algorithm.
- Until one is discovered, use quick-select if you don't need a full sort.

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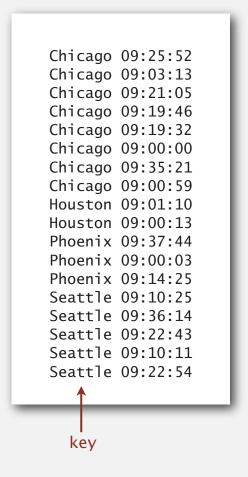
Duplicate keys

Often, purpose of sort is to bring items with equal keys together.

- Sort population by age.
- Remove duplicates from mailing list.
- Sort job applicants by college attended.

Typical characteristics of such applications.

- · Huge array.
- Small number of key values.



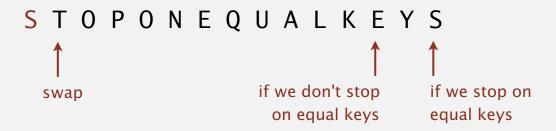
Duplicate keys

Mergesort with duplicate keys. Between $\frac{1}{2}N \lg N$ and $N \lg N$ compares.

Quicksort with duplicate keys.

- Algorithm goes quadratic unless partitioning stops on equal keys!
- 1990s C user found this defect in qsort().

several textbook and system implementation also have this defect



Duplicate keys: the problem

Mistake. Put all items equal to the partitioning item on one side. Consequence. $\sim \frac{1}{2} N^2$ compares when all keys equal.

Recommended. Stop scans on items equal to the partitioning item. Consequence. $\sim N \lg N$ compares when all keys equal.

Desirable. Put all items equal to the partitioning item in place.

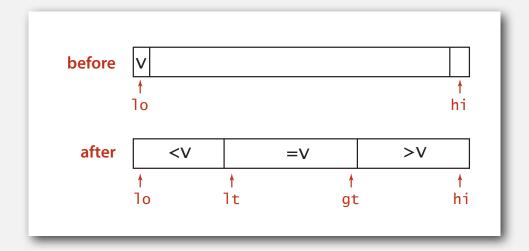
AAABBBBBCCC

A A A A A A A A A A

3-way partitioning

Goal. Partition array into 3 parts so that:

- Entries between 1t and gt equal to partition item v.
- No larger entries to left of 1t.
- No smaller entries to right of gt.





Dutch national flag problem. [Edsger Dijkstra]

- Conventional wisdom until mid 1990s: not worth doing.
- New approach discovered when fixing mistake in C library qsort().
- Now incorporated into qsort() and Java system sort.

Dijkstra 3-way partitioning demo

- Let v be partitioning item a[lo].
- Scan i from left to right.
 - (a[i] < v): exchange a[lt] with a[i]; increment both lt and i</pre>
 - (a[i] > v): exchange a[gt] with a[i]; decrement gt
 - (a[i] == v): increment i

invariant





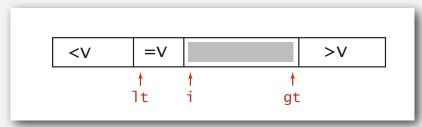


Dijkstra 3-way partitioning demo

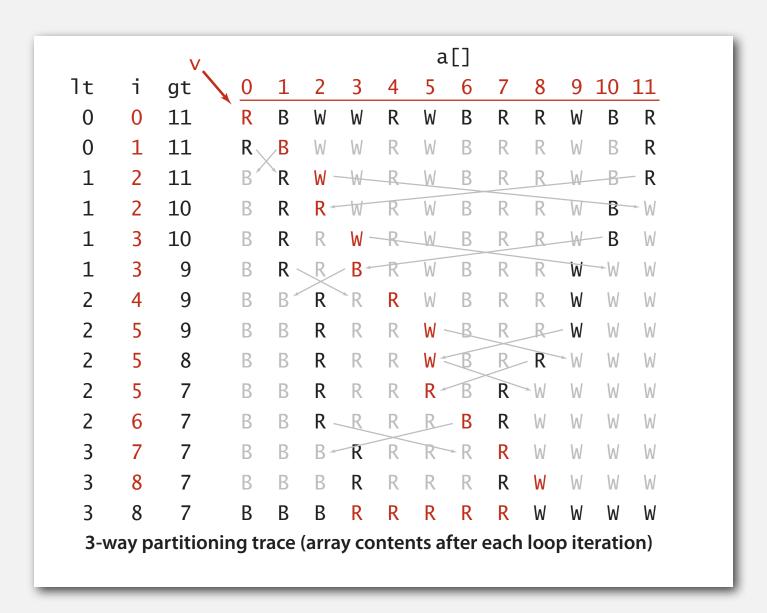
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- Scan i from left to right.
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 - (a[i] > v): exchange a[gt] with a[i]; decrement gt
 - (a[i] == v): increment i



invariant



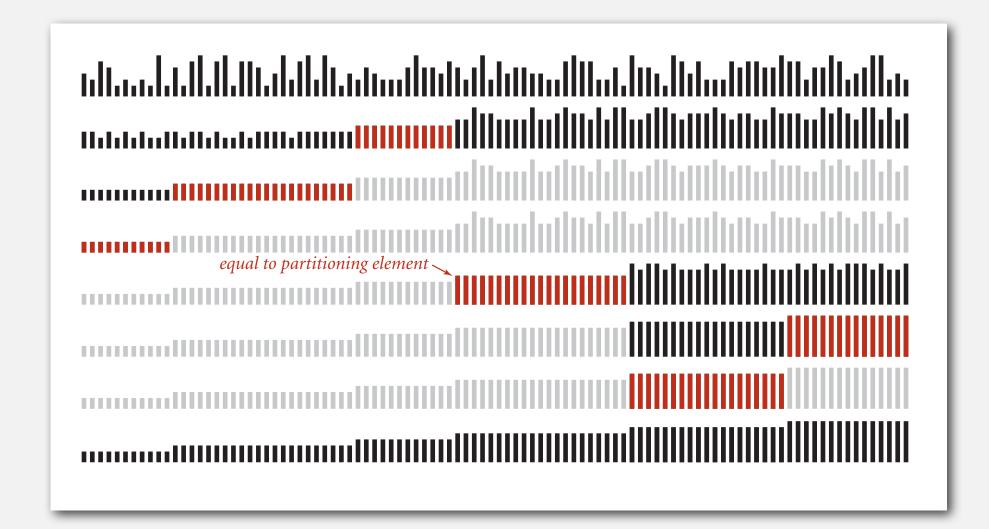
Dijkstra's 3-way partitioning: trace



3-way quicksort: Java implementation

```
private static void sort(Comparable[] a, int lo, int hi)
  if (hi <= lo) return;
   int lt = lo, qt = hi;
   Comparable v = a[lo];
   int i = 10;
   while (i <= gt)</pre>
      int cmp = a[i].compareTo(v);
      if (cmp < 0) exch(a, lt++, i++);
      else if (cmp > 0) exch(a, i, gt--);
              i++;
      else
                                          before
   sort(a, lo, lt - 1);
                                               10
   sort(a, gt + 1, hi);
                                          during
                                                      =V
                                                                   >V
}
                                                     1t
                                                                gt
                                                  <V
                                           after
                                                          =V
                                                                   >V
                                                     1t
                                                                       hi
                                                              gt
```

3-way quicksort: visual trace



Duplicate keys: lower bound

Sorting lower bound. If there are n distinct keys and the i^{th} one occurs x_i times, any compare-based sorting algorithm must use at least

$$\lg\left(\frac{N!}{x_1!\;x_2!\;\cdots\;x_n!}\right) \sim -\sum_{i=1}^n x_i \lg\frac{x_i}{N} \qquad \qquad \underset{\text{linear when only a constant number of distinct keys}}{N \lg N \text{ when all distinct;}}$$
 compares in the worst case.

Proposition. [Sedgewick-Bentley, 1997]

proportional to lower bound

Quicksort with 3-way partitioning is entropy-optimal.

Pf. [beyond scope of course]

Bottom line. Randomized quicksort with 3-way partitioning reduces running time from linearithmic to linear in broad class of applications.

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Algorithms

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Sorting applications

Sorting algorithms are essential in a broad variety of applications:

- Sort a list of names.
- Organize an MP3 library.

obvious applications

are in sorted order

- Display Google PageRank results.
- List RSS feed in reverse chronological order.
- Find the median.
- Identify statistical outliers.

problems become easy once items

- Binary search in a database.
- · Find duplicates in a mailing list.
- Data compression.
- Computer graphics.

non-obvious applications

- Computational biology.
- Load balancing on a parallel computer.

. . .

Java system sorts

Arrays.sort().

- Has different method for each primitive type.
- Has a method for data types that implement Comparable.
- Has a method that uses a Comparator.
- Uses tuned quicksort for primitive types; tuned mergesort for objects.

```
import java.util.Arrays;

public class StringSort
{
    public static void main(String[] args)
    {
        String[] a = StdIn.readStrings());
        Arrays.sort(a);
        for (int i = 0; i < N; i++)
            StdOut.println(a[i]);
    }
}</pre>
```

Q. Why use different algorithms for primitive and reference types?

War story (C qsort function)

AT&T Bell Labs (1991). Allan Wilks and Rick Becker discovered that a qsort() call that should have taken seconds was taking minutes.



At the time, almost all qsort() implementations based on those in:

- Version 7 Unix (1979): quadratic time to sort organ-pipe arrays.
- BSD Unix (1983): quadratic time to sort random arrays of 0s and 1s.





Engineering a system sort

Basic algorithm = quicksort.

- · Cutoff to insertion sort for small subarrays.
- Partitioning scheme: Bentley-McIlroy 3-way partitioning.
- Partitioning item.
 - small arrays: middle entry
 - medium arrays: median of 3
 - large arrays: Tukey's ninther [next slide]

Engineering a Sort Function

JON L. BENTLEY
M. DOUGLAS McILROY
AT&T Bell Laboratories, 600 Mountain Avenue, Murray Hill, NJ 07974, U.S.A.

SUMMARY

We recount the history of a new qsort function for a C library. Our function is clearer, faster and more robust than existing sorts. It chooses partitioning elements by a new sampling scheme; it partitions by a novel solution to Dijkstra's Dutch National Flag problem; and it swaps efficiently. Its behavior was assessed with timing and debugging testbeds, and with a program to certify performance. The design techniques apply in domains beyond sorting.

Now widely used. C, C++, Java 6,

Tukey's ninther

Tukey's ninther. Median of the median of 3 samples, each of 3 entries.

- Approximates the median of 9.
- Uses at most 12 compares.



nine evenly spaced entries	R	L	Α	Р	M	C	G	А	X	Z	K	R	В	R	J	J	Е
groups of 3	R	Α	M		G	X	K		В	J	Е						
medians	М	K	E														
ninther	K																

- Q. Why use Tukey's ninther?
- A. Better partitioning than random shuffle and less costly.

Achilles heel in Bentley-McIlroy implementation (Java system sort)

- Q. Based on all this research, Java's system sort is solid, right?
- A. No: a killer input.
 - Overflows function call stack in Java and crashes program.
 - Would take quadratic time if it didn't crash first.

```
% more 250000.txt
0
218750
222662
11
166672
247070
83339
...
250,000 integers
between 0 and 250,000
```

```
% java IntegerSort 250000 < 250000.txt
Exception in thread "main"
java.lang.StackOverflowError
   at java.util.Arrays.sort1(Arrays.java:562)
   at java.util.Arrays.sort1(Arrays.java:606)
   at java.util.Arrays.sort1(Arrays.java:608)
   at java.util.Arrays.sort1(Arrays.java:608)
   at java.util.Arrays.sort1(Arrays.java:608)
   ...</pre>
```

Java's sorting library crashes, even if you give it as much stack space as Windows allows

System sort: Which algorithm to use?

Many sorting algorithms to choose from:

Internal sorts.

- Insertion sort, selection sort, bubblesort, shaker sort.
- · Quicksort, mergesort, heapsort, samplesort, shellsort.
- Solitaire sort, red-black sort, splaysort, Yaroslavskiy sort, psort, ...

External sorts. Poly-phase mergesort, cascade-merge, oscillating sort.

String/radix sorts. Distribution, MSD, LSD, 3-way string quicksort.

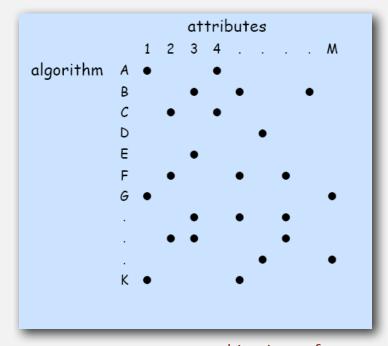
Parallel sorts.

- Bitonic sort, Batcher even-odd sort.
- Smooth sort, cube sort, column sort.
- GPUsort.

System sort: Which algorithm to use?

Applications have diverse attributes.

- Stable?
- Parallel?
- Deterministic?
- Keys all distinct?
- Multiple key types?
- Linked list or arrays?
- Large or small items?
- Is your array randomly ordered?
- Need guaranteed performance?



many more combinations of attributes than algorithms

Elementary sort may be method of choice for some combination.

Cannot cover all combinations of attributes.

- Q. Is the system sort good enough?
- A. Usually.

Sorting summary

	inplace?	stable?	worst	average	best	remarks
selection	V		N ² / 2	N ² / 2	N ² /2	N exchanges
insertion	V	V	N ² / 2	N ² / 4	N	use for small N or partially ordered
shell	V		?	?	N	tight code, subquadratic
merge		V	N lg N	N lg N	N lg N	N log N guarantee, stable
quick	V		N ² / 2	2 N In N	N lg N	N log N probabilistic guarantee fastest in practice
3-way quick	V		N ² / 2	2 N In N	N	improves quicksort in presence of duplicate keys
???	V	V	N lg N	N lg N	N	holy sorting grail

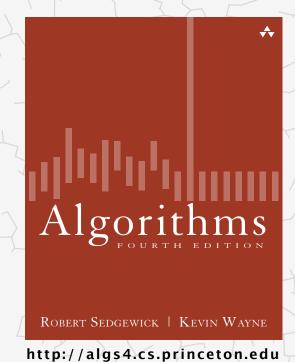
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