

# Fundamentals of Programming 2

## The Quicksort and Heapsort Algorithms

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### Outline

- Introduction
- Quicksort
- Heapsort
- Summary

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### Introduction

Today lecture is about two sorting algorithms, which are associated with previously discussed topic: the "divide and conquer" method, recursion and trees. The first of the algorithms is the Quicksort, the second one is the Heapsort.

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### Introduction

Before those algorithms are described, the functions and other element of the source code are introduced that are common for all presented during the lecture programs.

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## Introduction

Header Files and Array Type

```
1 #include<stdio.h>
2 #include<stdlib.h>
3 #include<time.h>
4
5 typedef int int_array_type[10];
```

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## Introduction

Header Files and Array Type

The results of the programs are displayed on the screen and created with the use of the PRNG, hence the header files shown in the previous slide are included in the program. Also an array type is introduced that defines an array of 10 elements of the `int` type (5th line).

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## Introduction

The `fill_array()` Function

```
1 void fill_array(int_array_type array)
2 {
3     int i;
4     srand(time(0));
5     for(i=0;i<sizeof(int_array_type)/sizeof(array[0]);i++)
6         array[i] = -10+rand()%21;
7 }
```

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## Introduction

The `fill_array()` Function

The job of the function presented in the previous slide is to fill an array with integers ranging from  $-10$  to  $10$ . Those numbers are chosen randomly. The array is passed by the parameter of `int_array_type` type, which is defined at the beginning of the program. Using the type the number of element of the array can be calculated by dividing the size of the type by the size of the array's first element (5th line). Such an expression is applied in the condition of the `for` loop.

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## Introduction

The `print_array()` Function

```
1 void print_array(int_array_type array)
2 {
3     int i;
4     for(i=0;i<sizeof(int_array_type)/sizeof(*array);i++)
5         printf("%d ",array[i]);
6     printf("\n");
7 }
```

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## Introduction

The `print_array()` Function

The `print_array()` function displays the content of the array, passed to it by its parameter, on the screen and moves the cursor to the next line on the screen. It differs from the functions that do the same task and are used in programs from the previous lectures by several details. The first one is the type of the parameter, which is defined at the beginning of the program with the use of the `typedef` keyword. The second one is the `printf()` function used for moving the cursor to the next line after the `for` loop terminates. The argument for the function call is a string that contains only the new line character (6th line). The last detail is the expression used as a condition for the loop. It is very similar to the one used in the `fill_array()` function, but the first element of the array is accessed with the use of the pointer instead of the notation with the square brackets (4th line).

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## Introduction

The `swap()` Function

```
1 void swap(int *first, int *second)
2 {
3     int temporary = *first;
4     *first = *second;
5     *second = temporary;
6 }
```

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## Introduction

The `swap()` Function

The definition of the `swap()` function has been described many times in previous lectures. It swaps the values of two variables and in the programs from today lecture it is used for exchanging values of the elements of an array.

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The Quicksort algorithm was developed by the British computer scientist C.A.R. Hoare and is one of the most efficient sorting algorithms. Although its worst-case time complexity is  $\Theta(n^2)$ , where  $n$  is the number of element, the average and best-case complexity is  $\Theta(n \cdot \log_2(n))$ . The constant hidden by the asymptotic notation are small. The Quicksort is an in-place algorithm, but its space complexity is  $O(n)$ . Its a consequence of the fact, that it is a recursive algorithm implemented in a form of a recursive subroutine, hence it intensively uses the stack. It can be implemented as an iterative subroutine, but its a complex task and the iterative implementation isn't more effective than the recursive one. The Quicksort performs an unstable sorting.

## Quicksort and "Divide and Conquer"

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The Quicksort algorithm can be analysed using the "Divide and Conquer" method:

**Divide:** The  $A[p \dots r]$  array is partitioned (values of its elements are swapped) into two nonempty parts  $A[p \dots q]$  and  $A[q+1 \dots r]$ , such that a value of each element in  $A[p \dots q]$  is not greater than the value of any element in  $A[q+1 \dots r]$ . The  $q$  index is determined by a partitioning subroutine.

**Conquer:** The two parts:  $A[p \dots q]$  and  $A[q+1 \dots r]$  are sorted by recursive invocations of the Quicksort algorithm.

**Merge:** Since the Quicksort is in-place algorithm, no additional actions are required to merge the sorted parts: the whole  $A[p \dots r]$  array is already sorted.

## Quicksort

The quicksort() Function

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```
1 void quicksort(int_array_type array, int low, int high)
2 {
3     if(low<high) {
4         int partition_index = partition(array,low,high);
5         quicksort(array, low, partition_index);
6         quicksort(array, partition_index+1, high);
7     }
8 }
```

## Quicksort

The quicksort() Function

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The quicksort() function corresponds to the **Conquer** step in the presented on the previous slide analysis with the use of "Conquer and Divide" method. It doesn't return any value, but has three parameters. The first one is used for passing the array. By the second and third parameter are passed the indices that determine the part of the array that has to be sorted. Initially, for example when the quicksort() function is called in the main() function, the part is just the whole array. Inside the body of the quicksort() function the first index (low) is compared with the last index (high). If the former is less than the latter then there is a part of the array that still needs to be sorted. Otherwise the function terminates. If the condition in the 3rd lined is satisfied then the partition() function is invoked that sorts the given part of the array and determines the point where it is partitioned in two smaller parts. Next, the quicksort() function is called twice, for each of the new parts separately.

## Quicksort

The quicksort() Function

The first part is sorted by an instance of the quicksort() function that deals with elements of the array that have indices ranging from the first index (low) to the partition index (partition\_index), including both of them. The second part consists of elements with indices ranging from the partition index (excluding) to the last index (high) including. The partition() function is defined in the program before the quicksort() function, but in the slides it is described after the latter.

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## Quicksort

The partition() Function

```
1 int partition(int_array_type array, int low, int high)
2 {
3     int pivot = array[low];
4     int i = low-1, j = high+1;
5
6     while(i<j) {
7         while(array[--j]>pivot)
8             ;
9         while(array[++i]<pivot)
10            ;
11        if(i<j)
12            swap(&array[i],&array[j]);
13    }
14    return j;
15 }
```

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## Quicksort

The partition() Function

The partition() function corresponds to the **Divide** step in the analysis with the use of "Divide and Conquer" method. It has three parameters, which have the same meaning as the parameters of the quicksort() function. The partition() function returns a number, which is an index that determines the partition point of the currently sorted part of an array into two smaller parts. In the 3rd line of the function is declared and initialised a variable named pivot, that stores so-called *pivot value* which determines how the part of the array is sorted. In the function, the value of the first element of the sorted part of the array is assumed as the pivot value (line no. 3). In the 4th line of the function are declared and initialised two variables that are used for indexing the sorted part of the array from the beginning (the i variable) and from the end (the j variable). Please note, that initially both indices determine elements that are *outside* the sorted part of the array.

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## Quicksort

Funkcja partition()

The outer while loop (6th line) is repeated as long as the the value of the i index is smaller than the value of the j index, or in other words, until the indices "meet" or "miss" each other. Inside the loop are performed two other while loops. The first one (lines no. 7 and 8) traverses the given part of an array starting from the end toward the beginning and searches for an element that has a value equal to or smaller than the pivot value. The second internal loop (lines no. 9 and 10) traverses the same part of the array but from the beginning to the end and searches for an element with a value greater than or equal to the pivot value. Please note, how these loops are written. The searching takes place inside the condition statement of the loops. The pre-increment and pre-decrement operators are applied to the indices to avoid accessing elements of the array that are outside of the sorted part or even accessing outside the array itself.

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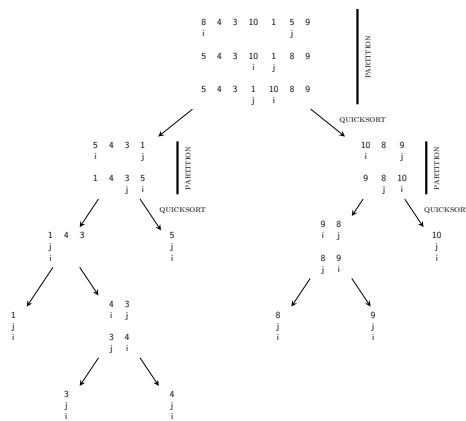
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After both internal loops terminate, the function performs the conditional statement (11th line) to check whether the *i* index is smaller than the *j* index. If so, then the order of the values in the elements associated with the indices is incorrect, and they have to switch the places. If not, then the outer loop terminates and the *j* index determines a partition point for the sorted part of the array, hence the index is returned by the function (14th line). In the next slide is a call tree that illustrates how the quicksort() function sorts an array that has a seven elements that store natural numbers. In the upper part of the tree it is shown which actions are performed by the quicksort() function and which by the partition() function. In the bottom part of the tree no such description is given, to keep the drawing more legible.

## Quicksort



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## The main() Function

```
1 int main(void)
2 {
3     int_array_type array;
4     fill_array(array);
5     print_array(array);
6     quicksort(array, 0,
7               sizeof(int_array_type)/sizeof(*array)-1);
8     print_array(array);
9     return 0;
10 }
```

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## The main() Function

In the main() is defined an array of the int\_array\_type type (3rd line) which is then initialised with the use of the fill\_array() function and sorted with the help of the quicksort() function. Aside for the array the function takes indices as arguments, hence the second argument of the function is 0 (the index of the first element). The third one is the number of elements in the array decremented by one. The number of elements is calculated using the same expression as in the print\_array() function. After the quicksort() function terminates the content of the sorted array is displayed on the screen and the main() function also terminates, returning the 0 value.

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There are several variants of the Quicksort algorithm that can be implemented in a different way than the one presented earlier. The other frequently used implementation of the Quicksort algorithm is described in the next slides. It's not as effective as the previously described one, but many computer scientists think it's more legible, easier to create and less prone to contain mistakes.

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## Quicksort

The quicksort() Function — Second Version

```
1 void quicksort(int_array_type array, int low, int high)
2 {
3     if(low<high) {
4         int partition_index = partition(array,low,high);
5         quicksort(array, low, partition_index-1);
6         quicksort(array, partition_index+1, high);
7     }
8 }
```

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## Quicksort

The quicksort() Function — Second Version

There is only one detail that differentiates the definition of the quicksort() function presented in the previous slide from the one described earlier. The part of the array that is sorted by the first recursive invocation of the function doesn't include the element determined by the partition\_index (5th line).

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## Quicksort

The partition() Function — Second Version

```
1 int partition(int_array_type array, int low, int high)
2 {
3     int pivot = array[low], middle = low, i;
4
5     for(i=low+1; i<=high; i++)
6         if(array[i]<pivot) {
7             middle++;
8             swap(&array[middle],&array[i]);
9         }
10    swap(&array[low],&array[middle]);
11    return middle;
12 }
```

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## Quicksort

The `partition()` Function — Second Version

In this implementation of the `partition()` function only one iteration statement is used and this time it is the `for` loop. Just like in the previous version a few local variables are declared first. The `pivot` variable has the same purpose as in the previous version. The `middle` variable is an index that eventually will determine the element of sorted part of the array in which the pivot value should be stored. The `i` variable is the loop counter and simultaneously the variable used for indexing the array. The concept of this implementation of the `partition()` function is as follows: the values in the sorted part of the array should be so rearranged that the values lesser than the pivot value ought to be moved to the left and the greater to the right. Since as the pivot value is chosen the value of the first element of the sorted part of the array then all the other elements should have values greater or equal to the pivot value. If not, then the lesser values should be moved to the left. The rest of the function takes care of it.

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## Quicksort

The `partition()` Function — Second Version

Please note the `for` loop. It iterates over all elements of the sorted part, except the first one. Hence, the `i` index is initialised with a value greater by one than the value of the `low` parameter. The loop terminates when the loop counter reaches a value greater than the value of the `high` parameter. Inside the loop, the conditional statement (6th line) checks if the current element of the sorted part of the array stores a value which is less than the pivot value. If so, then the value of the `middle` index is incremented by one and the value of element determined by this index is swapped with the value of the element determined by the `i` index. After the loop terminates the value of the first element of the sorted part of the array is swapped with the value of the element determined by the `middle` index (10th line). After that the function returns the `middle` index as a point of partitioning for the sorted part of the array.

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## Quicksort

The `qsort()` Function

The Quicksort algorithm is so effective, that the creators of the C language decided to define as a part of its standard library the `qsort()` function that implements it. Its prototype is in the `stdlib.h` header file. The function doesn't return any value but has four parameters. The first one, of the `void *` type, is used for passing the array to be sorted, by the second one, the number of elements in the array is passed and by the third one the size of a single element. The last, fourth, parameter is a function pointer that points to a function that compares values of the elements. Its prototype should be as follows:

```
int compare(const void *, const void *);
```

By the parameters are passed pointers to the compared elements of the array. If the value of the first one is greater than the value of the second one then the function ought to return a positive integer number. Otherwise it should return a negative integer number. If the values are equal, the function should return 0.

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## Quicksort

Funkcja `qsort()`

The way, the `qsort()` is defined allows it to sort an array of any number and type of elements.

The next slides present the definition of a function that compares two elements of an array of elements of the `int` type and show how the `qsort()` function can be invoked.

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## Quicksort

The `compare_int()` Function

```
1 int compare_int(const void *first, const void *second)
2 {
3     return *(int *)first - *(int *)second;
4 }
```

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## Quicksort

The `compare_int()` Function

The definition of the `compare_int()` function is short. It has two pointer parameters named `first` and `second`. The body of the function is basically one statement, in which both pointers are first casted on the `int *` type, then they are dereferenced and the values pointed by those pointers are subtracted from each other. If the result is a negative number, than the first value is smaller than the second one. If the result is positive than the first value is the greater one. If the result is zero, then they are equal. The result is returned before the function terminates.

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## Quicksort

The `main()` Function

```
1 int main(void)
2 {
3     int_array_type array;
4     fill_array(array);
5     print_array(array);
6     qsort((void*)array,
7         sizeof(int_array_type)/sizeof(array[0]),
8         sizeof(array[0]),compare_int);
9     print_array(array);
10    return 0;
11 }
```

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## Quicksort

The `main()` Function

The lines no. 6, 7 and 8 contain the invocation of the `qsort()` function. As the first argument is passed the pointer to the sorted array. It is casted on the `void *` type. The next passed argument is the number of element of the array, calculated with the use of the same expression which is also applied in the `fill_array()` function. The size of the first element of the array is passed as the third argument. It can be any element of the array — all have the same size, however the C language standard guarantees that the first element of the array always exists. The pointer to (name) the function that compares elements of the array is passed as the last argument.

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## Heap

The word *heap* has two meanings in the computer science. It can mean a part of the program memory, where the dynamically allocated variables are created or a binary tree, which has a shape of the full binary tree, or the complete binary tree, and which satisfies the *heap property*. If the heap is the complete binary tree, then the missing nodes in the last level have to be on the right. The heap is usually *not* implemented in the form of a dynamically allocated data structure but its mapped on an array in such a way, that the key of the node is the index of the array's element and the value of the node is the value of the element. The root is always mapped to the first element of the array. Assuming that the indices of the array start from 1 and that the *index* denotes an index in the array of an internal node of the heap then the index of its left child can be calculated using the expression  $2 \cdot \text{index}$  and the right child with the use of the expression  $2 \cdot \text{index} + 1$ . The parent of any node of the heap, except the root can be calculated using the expression  $\text{index}/2$ , where  $"/$  denotes the integer division.

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## Heap

The indices of the arrays in the C language start from 0. If such a value is substituted for *index* then the expressions from the previous slide give incorrect results. There are two solutions for this problem. Either the first element of the array has to be always omitted or the expressions have to be accordingly transformed. In the presented discussion the second possibility is chosen. Thus, the expression for calculating the index of the parent becomes  $(\text{index} + 1)/2$ . The index of the left child is calculated using the following expression:  $2 \cdot \text{index} + 1$  and for calculating the index of the right child such an expression:  $2 \cdot \text{index} + 2$  can be applied. In the next slide is an illustration of the heap and its mapping into an array which indices start from zero (so-called *zero-based array*).

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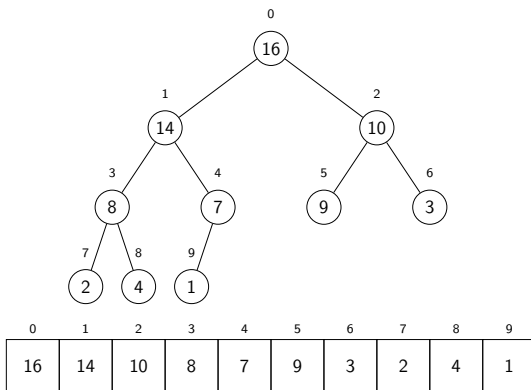
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## Heap



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## Heap

The presented heap is called *max-heap*. The heap property for such a heap is defined as follows:  $A[\text{parent}(i)] \geq A[i]$ , which means that the value of a parent of any node is always greater or equal to the value of the node. The *A* letter signifies an array. There are also *min-heaps* for which the property is defined as  $A[\text{parent}(i)] \leq A[i]$ . For the rest of the lecture the max-heaps are applied. The relation between the heap and the array in which the heap is mapped is given by the following expression:  $\text{length}(\text{heap}) \leq \text{length}(\text{array})$ , where *length* is the number of the elements of the array or the heap. The discussed expression means that not all of the array elements have to be part of the heap.

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## Heapsort

The heaps can be applied for building so-called *priority queues*, but in the lecture their application in the array sorting algorithm, closely related to the selection sort algorithm, is investigated. The algorithm is called the *Heapsort* and just like the Quicksort it performs unstable sorting. When compared with the latter, the Heapsort is slower, but still it is one of the most effective sorting algorithms. Its time complexity for all possible cases is  $O(n \cdot \log_2(n))$ . The Heapsort can be implemented in a recursive (the one is demonstrated in the lecture) or in an iterative form.

The next slides show definitions of functions that calculate indices of the right and left child of a node (the calculation of the parent's index is not applied in this algorithm). Then the function that reestablishes the heap property is presented, the function that builds the heap and finally, a function that sorts the array.

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## Heapsort

The `get_left_child_index()` Function

```
1 static inline int get_left_child_index(int index)
2 {
3     return (index << 1) + 1;
4 }
```

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## Heapsort

The `get_left_child_index()` Function

The function shown in the previous slide calculates the index of the heap node's left child. To speed up the calculations the bitwise shift left operator is applied instead of the regular multiplication operation. It's possible because the index of the node is multiplied by 2. Additionally, in the function definition is used the *inline* keyword which means that the function should be expanded like a macro or optimized in other way by the compiler.

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## Heapsort

The `get_right_child_index()` Function

```
1 static inline int get_right_child_index(int index)
2 {
3     return (index << 1) + 2;
4 }
```

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## Heapsort

The `get_right_child_index()` Function

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The function presented in the previous slide calculates the index of the heap node's right child. The function differs from the previous one only by its name and the applied expression.

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## Heapsort

The `heapify()` Function

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```
1 void heapify(int_array_type array, int index, unsigned int size)
2 {
3     int left = get_left_child_index(index),
4         right = get_right_child_index(index),
5         largest = index;
6     if (left <= size)
7         if (array[left] > array[index])
8             largest = left;
9     if (right <= size)
10        if (array[right] > array[largest])
11            largest = right;
12    if (largest != index) {
13        swap(&array[index], &array[largest]);
14        heapify(array, largest, size);
15    }
16 }
```

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## Heapsort

The `heapify()` Function

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The `heapify()` function is the basic subroutine in the implementation of the Heapsort algorithm. Its task is to restore the heap property. The function doesn't return any values but has three parameters. The first one is for passing the array with a mapped heap, in which the heap property is violated. The second one is for passing an index of a node that possibly violates the property. By the last parameter the length of the heap is passed. In the function's body the indices of the left and right child of the node are calculated and stored in local variables named `left` and `right` (lines no. 3 and 4). To the `largest` local variable is assigned the index of the node that possibly violated the heap property (5th line). This variable is used for storing the index of the node from the three aforementioned (the node that likely violates the property and its two children) that has the greatest value. Initially it is assumed that this is the node determined by the `index` parameter and that the heap property is not violated.

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## Heapsort

The `heapify()` Function

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Next the function checks if the left child of the node exists, i.e. if its index stored in the `left` variable is within the length of the heap (6th line). If so, it then check if the value of this child is greater than the value of the node (7th line). If also this condition is satisfied then the index of the child is assigned to the `largest` variable. Similarly, in the 8th line the function checks if the right child of the node exists. If so, then the function checks if its value is greater than the value of the node currently determined by the `largest` variable. In this line it can be the node determined by the `index` parameter or its left child. If the value of the right child is greater than the value of that node then the index of this child is assigned to the `largest` variable (11th line). Thus, after the statement in the 11th line is performed in the `largest` variable is stored the index of the node that has the greatest value of the following three: the node that likely violates the heap property and its two children.

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## Heapsort

The `heapify()` Function

In the 12th line the function checks if the value of `largest` variable is different than the value of the `index` parameter. If not, then the heap property is not violated and the function terminates. If so, then the function swaps the values of the nodes determined by the `index` and `largest` variables (13th line). This however can violate the heap property in the bottom part of the heap, i.e. it can be violated in the subtree where the node determined by the `largest` index is a root. That's why, the `heapify()` function calls itself recursively for that node (14th line).

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## Heapsort

The `build_heap()` Function

```
1 void build_heap(int_array_type array)
2 {
3     int i;
4     const int number_of_elements =
5         sizeof(int_array_type)/sizeof(*array);
6     for(i=number_of_elements/2;i>=0;i--)
7         heapify(array,i,number_of_elements-1);
8 }
```

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## Heapsort

The `build_heap()` Function

The `build_heap()` function creates a heap in an array that is to be sorted. It uses to this end the previously described `heapify()` function. The `build_heap()` function doesn't return any value but takes one argument, which is the array inside which it creates the heap. A constant that describes the number of elements in the array is defined in the 4th and 5th lines. The heap is created in the `for` loop. Please note, that the loop iterates elements of the array starting in the middle upward. The question arises, why the second (bottom) part of the array is not covered by the loop? The function assumes that the length of the heap is equal to the length of the array. It means that the elements that belong to the aforementioned part of the array are the leaves of the heap (or in other words are a single element heaps). The function assures that those elements will also be included in the heap by applying the `heapify()` function for the first part of the array — the latter function will take care about it.

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## Heapsort

The `heapsort()` Function

```
1 void heapsort(int_array_type array)
2 {
3     int last_index = sizeof(int_array_type)/sizeof(*array)-1;
4     int i;
5
6     build_heap(array);
7     for(i=last_index;i>0;i--){
8         swap(&array[0],&array[i]);
9         heapify(array,0,--last_index);
10    }
11 }
```

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## Heapsort

The `heapsort()` Function

The `heapsort()` function sorts the array. It doesn't return any value, but takes as the argument an array that is to be sorted. In the function body is declared and initialised the `last_index` variable. Its value is the index of the last element of the array belonging to the heap that also specifies the length of the heap. First, the function creates the heap in the array by invoking the `build_heap()` function and then, in the `for` loop iterates over the array starting from the last element (initially it is also the last node of the heap) and finishing on the second element. In each of the iterations it swaps the value of the first element of the array with the element determined by the loop counter (the `i` variable), and then it restores the heap property starting with the first element of the array. What is the purpose for such steps? The greatest value in the heap is in its root, which is mapped into the first element of the array. In the sorted in ascending order array this value should be stored in the last element. Thus the elements should exchange values (8th line).

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## Heapsort

The `heapsort()` Function

This modification can however violate the heap property. That's why the `heapsort()` function calls the `heapify()` function for the first element of the array. But this time, the last element of the array is excluded from the heap, because now it has the correct value. In each subsequent iteration of the `for` loop the length of the heap is decremented by one and the first element of the array (the root of the heap) exchanges its value with the node of the heap specified by the `i` index. After the loop terminates the array is finally sorted.

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## Heapsort

The `main()` Function

```
1 int main(void)
2 {
3     int_array_type array;
4     fill_array(array);
5     print_array(array);
6     heapsort(array);
7     print_array(array);
8     return 0;
9 }
```

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## Heapsort

The `main()` Function

The only difference in the `main()` function between the example program demonstrating the Quicksort and the Heapsort algorithms is that the latter calls the `heapsort()` instead of the `quicksort()` function (6th line). As an argument the array to be sorted is passed to the former function.

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## Summary

Both described algorithms for sorting arrays belong to the most efficient in this category, but in the best and average case the Quicksort is slightly better. However, the worst-case time complexity for the latter algorithm is  $\Theta(n^2)$  and that happens when the array is already sorted. In this case the algorithm partitions the array into two part, one of them having only one element and the other consisting of the rest of the elements of the original part of the array. The best partitions are those that result in two parts that have equal (with the respect to one element) number of elements. To avoid the worst case a several randomly chosen elements of the array can exchange their values. There is no guarantee that those changes don't sort in result the array, but they are likely to disturb the order of the values if the array is already sorted. Other solution to the wost-case scenario is to chose the pivot value randomly from all the values in the sorted part of the array. However, none of the methods make it certain that the worst case doesn't happen.

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## Summary

The Heapsort algorithm has the advantage over the Quicksort algorithm that the recursion can be totally eliminated from its implementation. Hence, it can save the memory in the call stack. The space complexity of the algorithm can be constant<sup>1</sup>.

Statistically the Quicksort algorithm appears to be more frequently used than the Heapsort, but in some applications it is better to use the latter one. An example of such applications are remote services, which need to sort the received data. If the Quicksort algorithm was used in such services then they would be vulnerable to the Denial of Service (DoS) attacks. The attackers would only need to provide specially prepared input data for the services.

<sup>1</sup>Such implementations of the Heapsort algorithm are for example described in the following books: Jon Bentley, "Programming Pearls" and A. V. Aho, J. E. Hopcroft and J. D. Ullman, "Data Structures and Algorithms".

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## Questions

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THE END

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Thank You For Your Attention!

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