

UNIVERSITY OF CAPE TOWN
DEPARTMENT OF MATHEMATICAL STATISTICS

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*THE ADDRESS SORT AND OTHER
COMPUTER SORTING TECHNIQUES*

by

L.G. Underhill

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A thesis prepared under the supervision of Professor
C.G. Trostle in fulfilment of the requirements for the
degree of Master of Science in Operations Research.

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C O N T E N T S

INTRODUCTION

CHAPTER 1

| | |
|--------------------------------------|---|
| 1. Selection Sort | 1 |
| 2. Selection and Exchange Sort | 2 |
| 3. Counting Sort | 3 |

CHAPTER 2

| | |
|---|---|
| 1. Basic Insertion Sort | 6 |
| 2. Binary Insertion Sort | 7 |
| 3. Binary Insertion Sort with Up/Down Shift | 7 |

CHAPTER 3

| | |
|---|----|
| 1. Quadratic Selection | 9 |
| 2. Quadratic Selection with Presort | 13 |

CHAPTER 4

| | |
|-----------------------|----|
| Tournament Sort | 15 |
|-----------------------|----|

CHAPTER 5

| | |
|-----------------------------|----|
| Natural Two-Way Merge | 22 |
|-----------------------------|----|

CHAPTER 6

| | |
|---|----|
| 1. Introduction to the Address Sort | 27 |
| 2. Description of Rearrangements | 29 |
| 3. Flow Chart | 34 |

CHAPTER 7

| | |
|--|----|
| 1. The Address Calculation Algorithm | 36 |
| 2. Properties of the Algorithm | 38 |

CHAPTER 8

| | |
|---|----|
| Some Practical Address Calculation Algorithms | 44 |
|---|----|

| | |
|------------------|----|
| APPENDIX 1 | 53 |
|------------------|----|

| | |
|------------------|----|
| APPENDIX 2 | 58 |
|------------------|----|

| | |
|--------------------|----|
| BIBLIOGRAPHY | 80 |
|--------------------|----|

I N T R O D U C T I O N

Originally this project was to have been a feasibility study of the use of computers in the library. It soon became clear that the logical place in the library at which to start making use of the computer was the catalogue. Once the catalogue was in machine readable form it would be possible to work backwards to the bookordering and acquisitions system and forwards to the circulation and book issue system.

One of the big advantages in using the computer to produce the catalogue would be the elimination of the "skilled drudgery" of filing. Thus vast quantities of data would need to be sorted. And thus the scope of this project was narrowed down from a general feasibility study, firstly to a study of a particular section of the library and secondly to one particularly important aspect of that section - that of sorting with the aid of the computer.

I have examined many, but by no means all, computer sorting techniques, programmed them in FORTRAN as efficiently as I was able, and compared their performances on the IBM 1130 computer of the University of Cape Town. I have confined myself to internal sorts, i.e. sorts that take place in core.

This thesis stops short of applying the best of these techniques to the library. I intend however to do so, and to work back to the original scope of my thesis.

My thanks go to Mr. Kingwill and Mrs. Snyman of the C.S.I.R. Library for introducing me to this field; to Miss Taylor and Mrs. Freislich at the University of Cape Town Library for explaining to me so clearly the problems of the library; to Professor Troskie, my supervisor and Head of the Department of Mathematical Statistics, for his interest and enthusiasm in this project. He has already applied the best of these techniques, the address sort, to his own research.

Finally I would like to thank Mrs. Cousins for typing the manuscript - especially for her patience with my handwriting and her careful setting out of the figures.

I acknowledge support received from the C.S.I.R. during the first year of this project.

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CHAPTER 1

SECTION 1 BASIC SELECTION SORTProcedure

There are two lists to be considered:

I: the input list

O: the output list.

Examine the input list, searching for the minimum item. When this "pass" is complete, place the minimum item at the first cell in the output list. After this transfer, we wish to look for the next smallest item in the input list. The minimum item is still in this list and will turn up during the second list examination. To eliminate this difficulty we replace the minimum item with some marker (an impossible value or maximum number). Note that this implies that, during the pass, we must have in temporary storage both the minimum item so far and its position in the input list.

During the second scan of the list the minimum item is absent, its place being occupied by the marker. The minimum selected on this pass is hence the next-to-minimum of the original input list. It is placed in the second cell of the output list and the place it occupied in the input list is overwritten with the marker.

The third scan produces the third item for the output list.

Continue until the number of items in the output list equals the number in the input list.

Comment

This is highly inefficient.

- (a) It occupies a lot of space. Space has to be provided for both the input list, I , and the output list, O .
- (b) A *complete* review of the input list is required each time an item is selected.
- (c) There is a need for a marker to be inserted after each item is selected.

SECTION 2 SELECTION AND EXCHANGE SORTProcedure

There is only one list to be considered. The input list, on completion of the sort, is the ordered list, ready for output.

As in the basic selection sort we scan the list to find its minimum.

Instead of placing this item in a new list, we exchange it with the first item in the list, i.e. we place the minimum item in the first cell and the contents of the first cell into the cell where the minimum occurred.

We now consider the sublist formed by excluding the first element. Scanning this sublist to find its minimum produces the next-to-minimum item since the minimum has been removed. Exchange the minimum of the sublist with the second cell's contents.

In general, after i operations on an input list with n items, we have an unordered sublist which contains $n-i$ items. Its complement contains i ordered items. At each stage we find the minimum of the sublist and exchange it with the top item of the sublist.

Comment

In comparison with the Selection Sort, this technique halves both the storage space needed for data and the number of comparisons required.

SECTION 3 COUNTING SORT

Procedure

There are four lists to be considered:-

- I: the original input list.
- L: an unsorted list which is made up as each item from I is examined.
- C: the set of counters which ranks each item in L.
- S: the sorted output list.

(I and L are the same, and are only considered **separately** for explanation — in the program there is only one list of unsorted data.)

The procedure is to bring in successive items from I and place them in L. When an item is brought over from I to L it is compared with all previous items in L. A new counter records the rank of the item, and the other counters are adjusted to indicate their new rank taking into account the item just added.

Example

Refer to figure 1.

Clear all counters in C . (It is convenient in FORTRAN to set them all to 1.)

Bring the first item in I to L_1 . (The subscript denotes the position in the vector L .) No counting or examination is done (figure 1(a)).

The next item is brought into L_2 . As this is done, all cells above L_2 are reviewed. There is only one such cell, L_1 .

We now need a rule for adjusting the counters as we examine the contents of L .

Rule:- If the latest item examined is larger than the earlier item, add 1 to the counter corresponding to the latest item.

If the latest item examined is smaller than the earlier item, add 1 to the counter corresponding to the earlier item.

Briefly, in any comparison add one to the counter corresponding to the larger item.

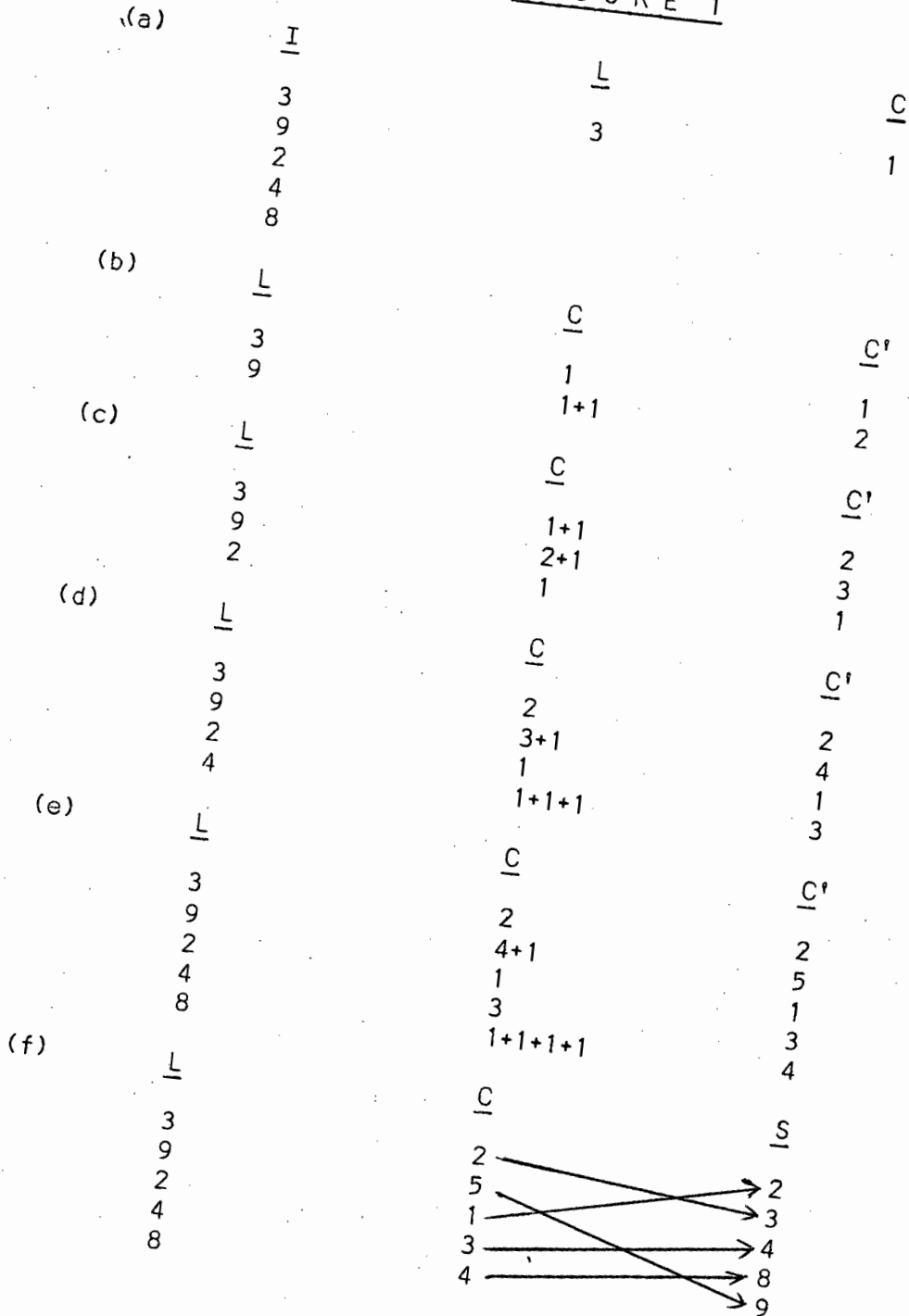
So if L_1 is greater than L_2 , add 1 to C_1 ; if L_2 is greater than L_1 , add 1 to C_2 . (figure 1(b)).

Enter the next item at L_3 . Compare L_3 with L_1 and L_2 , and adjust the counters C_1 , C_2 (figure 1(c)) and C_3 according to the rule above.

Carry on until the list I is exhausted (figure 1(d) and (e)). Finally to make the sorted output list, transfer each item to the position

indicated by the counter. (figure 1(f)).

FIGURE 1



CHAPTER 2

SECTION 1 INSERTION SORTINGBasic Insertion Sort

In the various insertion sorts items are dealt with one by one and inserted into an ordered partial list in the position where they belong. When a new item arrives, we are sure that all items so far have been placed in order.

In the basic insertion sort we look at the ordered partial list and search item by item from the bottom of the list to find where the new item belongs. (The "bottom" of the list is the end which has the lower sort keys). This place will be occupied unless the item is greater than any item in the partial list and goes at the top. Move the item occupying the place where the new item belongs and all subsequent items one place up the list to make room for the insertion of the new item.

The partial list has grown by one, but is still in order.

Comment

The total number of comparisons required using this kind of linear search technique is excessive. For a list of n items it can be shown (see Appendix 1) that the expected number of comparisons is $\frac{1}{2}(n^2 - n)$. The position of the item to be inserted can be found more efficiently using a binary search technique.

SECTION 2 IMPROVEMENT TO INSERTION SORTING — THE BINARY SEARCH

We are given an ordered list L and an item a to be inserted. Binary search prescribes that we split the list in two by finding the middle ("fence") item, compare a with the fence item and determine in which section a belongs.

We next take that half and find its fence item. We compare this item with a to determine in which quarter of the original list a should be inserted.

We continue in this way, comparing a with the fence items at closer and closer intervals, narrowing down the search until we find a fence item exactly equal to a , or until we find between which two items a lies. This second alternative occurs when we find that a is larger than one fence item, but smaller than the next, and the fences are one item apart in the original list.

Comment

The number of comparisons is now approximately $\log_2 n!$ (Appendix 1). For a list of 1 000 items this means roughly 8 500 comparisons as opposed to about 250 000 comparisons with the linear search.

SECTION 3 SECOND IMPROVEMENT TO INSERTION SORTING — THE UP/DOWN SHIFT

If the new item belongs to the first (bottom) half of the list, then instead of moving all larger items one position up the list, move all smaller items one position down the list.

The decision to move up or down depends only on the first fence item.

This technique halves the expected number of shifts required to insert the new item.

The first item is placed in the middle position of the output list so that there is room to move both up and down.

CHAPTER 3

SECTION 1 QUADRATIC SELECTIONProcedure

Given a list L , the procedure is outlined as follows.

- (1) Divide the list L into sublists iL .
- (2) Find the smallest element of iL for each i , and enter it into cell L_i^i of the auxiliary list L^i .
- (3) Find the smallest element of L^i , L_k^i say, and store it for output.
- (4) Refill L_k^i with the next-to-minimum item from kL .
- (5) Repeat (3) and (4) until the number of items in the output list equals the number of items in L .

The optimal number of sublists, N , is given by

$$N = \sqrt{n} \quad \text{if} \quad N^2 = n$$

where n is the number of items.

Proof

Suppose n is a perfect square.

$$\text{Put } N^2 = n.$$

Suppose that k is the number of items in each sublist, and that ℓ is the number of sublists.

$$\text{Then } k\ell = n$$

$$\ell = n/k$$

The number of comparisons, C , needed for operations (3) and (4) are given by

$$\begin{aligned}
 C &= (k-1) + (\ell-1) \\
 &= k-1 + n/k-1 \\
 \frac{\partial C}{\partial k} &= 1-n/k^2
 \end{aligned}$$

Setting this equal to zero to find the minimum number of comparisons yields

$$k^2 = n.$$

Hence $k = \sqrt{n} = N$ and also $\ell = N$.

If n is not a perfect square, take N to be the integer whose square is either nearest n or is the first square greater than n . Adjust the number of items allocated to each sublist so that their lengths are as nearly equal as possible.

At step (4), to replenish cell L'_k we review kL , but we do not wish to choose the item chosen earlier. This is avoided by replacing an item chosen from a sublist by some maximum item denoted by z . Eventually some of the sublists will contain only z 's. As soon as this occurs, we fill the cell in the auxiliary list corresponding to the exhausted sublist with z .

We now restate step (4) in more detail.

After the new item has been selected from L' for the *sorted* list

- (i) review the sublist from which the item was drawn to find the minimum,
- (ii) place the minimum in the cell of L' corresponding to that sublist.
- (iii) Since the cell in the sublist from which the item was withdrawn still contains that item, we overwrite that item with z .

Example

Figure 2 depicts a quadratic selection sort for a list L of nine items. Figure 2(a) shows the subdivision of L into sublists 1L , the formation of the auxiliary list L' , and the selection of the first element for output.

Figure 2(b) shows the items chosen for the auxiliary list at the first stage replaced by maximum sort key z , the refilling of the auxiliary list and the output of the second item.

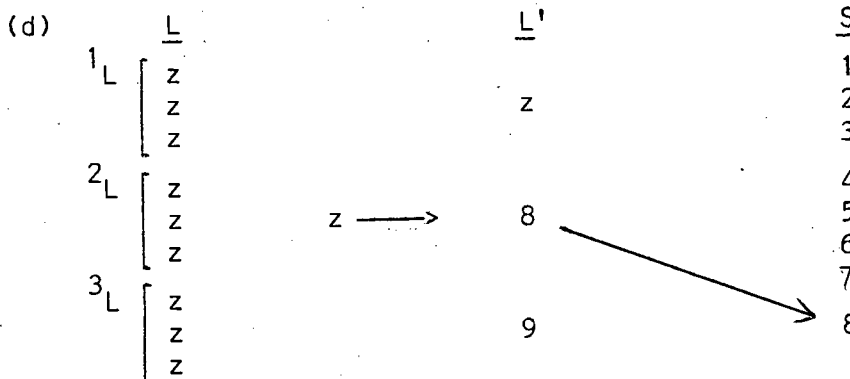
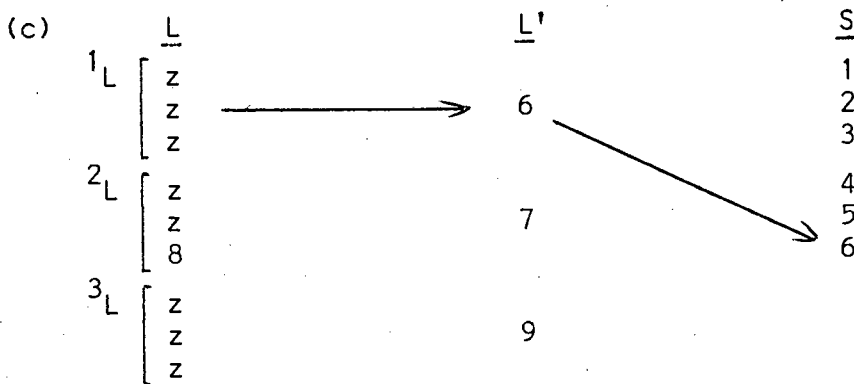
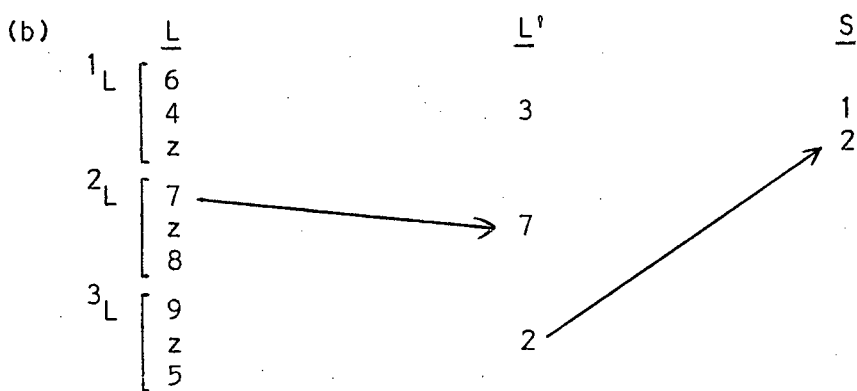
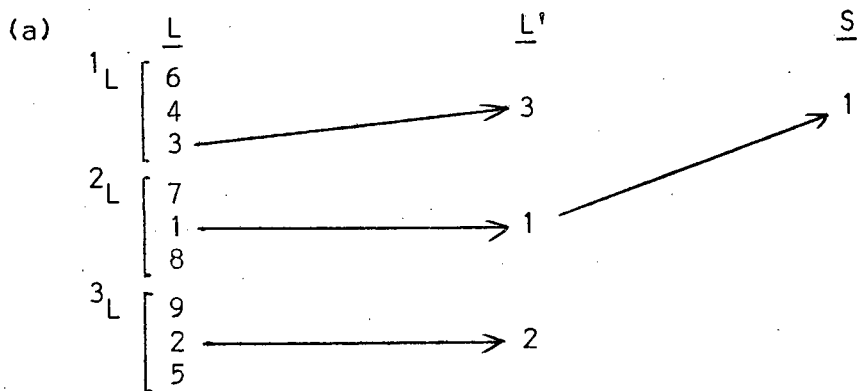
Figure 2(c) shows the sort at the stage when the first sublist is exhausted and a z is entered in L' . After the 6 is stored in the output list, the minimum item in 1L is a z which is brought into L' .

Figure 2(d) shows a stage near the end of the sort when all the sublists are exhausted.

Comment

In this sort each of the items of a sublist is reviewed each time the corresponding auxiliary list item is chosen for output. This happens for each item of the sublist. Each sublist review amounts to a selection sort, a highly inefficient sorting technique.

F.I G U R E 2



SECTION 2 QUADRATIC SELECTION WITH PRESORT

Introduction

The quadratic selection sort can be vastly improved by arranging each sublist with a more efficient sort and then applying a modified quadratic sort procedure to the sorted sublist.

Suppose each sublist iL is presorted by some technique. To fill the auxiliary list L' simply take the bottom (smallest) item from each sublist and place it in the corresponding cell in L' , i.e. move iL_1 to L'_i for each i .

During the sort proper when we select the smallest item in the current auxiliary list L'_k , say, we go back to sublist kL and take the next element and place it in L'_k . This implies that we need a set of sublist counters, one for each sublist, which point to the next candidate for promotion to the auxiliary list for each sublist.

Procedure

- (1) Divide L into N sublists iL . These sublists are ordered by one of the techniques discussed earlier.
- (2) The smallest item of each sublist is entered into the corresponding location in the auxiliary list L' . Since the sublists are ordered, the first item will be the smallest.
- (3) Set the sublist counters, C_i $i = 1, \dots, N$, equal to 2. These counters will be used to point to the next item to be taken to the auxiliary list from the ordered sublists.

- (4) Select the smallest item from the auxiliary list and place it in the output list. Suppose L'_k is selected.
- (5) The counter C_k points to the next item in sublist kL to be transferred to L' , i.e. move ${}^kL_{C_k}$ to L'_k . This is done provided the sublist is not exhausted. If the sublist is exhausted enter a maximum number z into L' at position k .
- (6) Increment C_k by 1, so that it contains the position of the next item for sublist kL .
- (7) Repeat (4), (5) and (6) until the number of items in the output list equals the number of items in L .

CHAPTER 4

TOURNAMENT SORTPhilosophy

The name is derived from the fact that in this sort items are matched against each other pairwise, the "winners" going through to the next round, getting paired off again, and so forth.

The winner of the final pair is the first item for the sorted list.

We then review the list again - it is however not necessary to review the entire list - to find the next "winner", the second item for the output list.

Procedure

The procedure is best illustrated by considering a simple example. List L in figure 3(a) contains sixteen numbers to be sorted. Sublists L^1 to L^4 contain the winners of the matched pairs in each round. The 2 occupying the first cell in L^1 is the winner (the minimum) of the comparison between the first pair of items in L , the 2 and the 6. The eventual overall winner is the 1 which came from the sixth pair in L .

We now replace the 1 where it appears in L by a maximum item z and adjust our lists by reconsidering only the sublist cells which contained the ultimate winner. The alterations to the lists are underlined in figure 3(b). Note that only four comparisons had to be made; it was not necessary to redo the entire table.

FIGURE 3

| (a) | <u>L</u> | <u>L</u> ¹ | <u>L</u> ² | <u>L</u> ³ | <u>L</u> ⁴ |
|-----|----------|-----------------------|-----------------------|-----------------------|-----------------------|
| | 2 | 2 | | | |
| | 6 | 3 | 2 | | |
| | 3 | | | | |
| | 9 | 11 | | 2 | |
| | 11 | | 4 | | |
| | 16 | 4 | | | |
| | 13 | 5 | | | 1 |
| | 4 | 1 | 1 | | |
| | 5 | 7 | | 1 | |
| | 8 | | | | |
| | 1 | | 7 | | |
| | 15 | 10 | | | |
| | 7 | | | | |
| | 12 | | | | |
| | 14 | | | | |
| | 10 | | | | |
| | | | | | |
| (b) | <u>L</u> | <u>L</u> ¹ | <u>L</u> ² | <u>L</u> ³ | <u>L</u> ⁴ |
| | 2 | 2 | | | |
| | 6 | 3 | 2 | | |
| | 3 | | | | |
| | 9 | 11 | | 2 | |
| | 11 | | 4 | | |
| | 16 | 4 | | | |
| | 13 | 5 | | | <u>2</u> |
| | 4 | 1 | 5 | | |
| | 5 | 7 | | | |
| | 8 | | <u>5</u> | | |
| | 2 | <u>15</u> | | | |
| | 15 | | | <u>5</u> | |
| | 7 | 7 | | | |
| | 12 | | 7 | | |
| | 14 | | | | |
| | 10 | | | | |

Now replace the 2 in L by z and go up its line making adjustments. When both items in a pair in any list or sublist have been transferred to the output list, a z is passed through to the next round.

Difficulties

A problem arises when the number of items is not a power of two. This can be overcome by adopting the following policy for the original list and all sublists:-

- (i) If the number of items is even, pair off the items.
- (ii) If the number of items is odd, add a maximum item z to the end of the list and pair off.

Figure 4 illustrates how this policy is implemented in a list of ten items. L can be paired off as it stands, but L^1 and L^2 require the addition of a z . L^3 contains only two items.

The advantages gained by this policy become evident at a later stage when we string out the sublists into a single list.

To replace the winning item with a z requires a knowledge of its original position. This problem is solved by storing the locations of the winning items rather than the items themselves. In figure 5 the cells of the list L are numbered - the sublists refer back to the main list. For convenience the maximum item z is called item 1, and the list proper starts in the second position.

Figure 5 contains all the information of figure 4. But in addition there is no need to search through L to find the minimum - we go directly to the seventh item, the 10, and replace it with z .

FIGURE 4

| <u>L</u> | <u>L</u> ¹ | <u>L</u> ² | <u>L</u> ³ | <u>L</u> ⁴ |
|----------|-----------------------|-----------------------|-----------------------|-----------------------|
| 71 | 71 | | | |
| 93 | | 39 | | |
| 39 | 39 | | | |
| 84 | | | 10 | |
| 41 | 10 | | | |
| 10 | | 10 | | |
| 67 | 67 | | | 10 |
| 105 | | | | |
| 53 | 27 | 27 | | |
| 27 | z | z | 27 | |

FIGURE 5

| | <u>L</u> | <u>L</u> ¹ | <u>L</u> ² | <u>L</u> ³ | <u>L</u> ⁴ |
|----|----------|-----------------------|-----------------------|-----------------------|-----------------------|
| 1 | z | | | | |
| 2 | 71 | 2 | | | |
| 3 | 93 | | 4 | | |
| 4 | 39 | 4 | | | |
| 5 | 84 | | | 7 | |
| 6 | 41 | 7 | | | |
| 7 | 10 | | 7 | | |
| 8 | 67 | 8 | | | 7 |
| 9 | 105 | | | | |
| 10 | 53 | 11 | 11 | | |
| 11 | 27 | 1 | 1 | 11 | |

FIGURE 6

| | | | | |
|----------------|---|----|-----|-----|
| L | [| 1 | z | z |
| | | 2 | 71 | 71 |
| | | 3 | 93 | 93 |
| | | 4 | 39 | 39 |
| | | 5 | 84 | 84 |
| | | 6 | 41 | 41 |
| | | 7 | 10 | z |
| | | 8 | 67 | 67 |
| | | 9 | 105 | 105 |
| | | 10 | 53 | 53 |
| | | 11 | 27 | 27 |
| L ¹ | [| 12 | 2 | 2 |
| | | 13 | 4 | 4 |
| | | 14 | 7 | 6 |
| | | 15 | 8 | 8 |
| | | 16 | 11 | 11 |
| | | 17 | 1 | 1 |
| L ² | [| 18 | 4 | 4 |
| | | 19 | 7 | 6 |
| | | 20 | 11 | 11 |
| | | 21 | 1 | 1 |
| L ³ | [| 22 | 7 | 4 |
| | | 23 | 11 | 11 |
| L ⁴ | [| 24 | 7 | 11 |

FIGURE 7

| | |
|---|----------|
| | <u>I</u> |
| 1 | 12 |
| 2 | 18 |
| 3 | 22 |
| 4 | 24 |

After replacing the 10 with a z, a new difficulty arises. Do we compare the seventh item with the sixth or with the eighth? The rule to follow here, allowing for the z in cell 1, is:-

- (i) If the item number is even, compare it with the next item.
- (ii) If the number is odd, compare with the previous item.

If lists L^1 L^2 L^3 and L^4 are strung out as in figure 6 it will be seen that each sublist starts at an even-numbered cell and this rule works for these sublists as well.

The mode of storage in figure 6 is the one adopted for storage of the sublists in the computer. However this introduces a further problem. The second column of figure 6 is easy to fill. The procedure is to compare items 2 and 3, and place the cell number of the smaller at the first even-numbered cell after the end of the list, in this case, cell 12. The smaller of items 4 and 5 is placed at cell 13, and so on. Make sure that each list starts on an even-numbered cell, even if the previous list finished at an even number. (L^1 is complete at position 16 - enter a 1 at cell 17 and start L^2 at 18. At this cell enter the smaller of the items cells 12 and 13 point to, i.e. the smaller of the second and fourth items. The 39 is the smaller, hence a 4 is entered at cell 18.)

In list L of the third column of figure 6 the minimum item of the original list, the seventh, has been replaced by a z. Following the rule above, we compare the seventh item with the sixth. The difficulty is to know where to place the winner of this comparison. To solve this problem it proves essential to store one more list, a table T in which T_i points

to the beginning of list L^i . This table, for the example in figure 6, is given in figure 7.

The rule for determining where in the next list the winner of the pair currently under consideration is to be entered is now simple.

If the overall winner, the item transferred to the output list, was item n , the position in L^1 for the winner of the first comparison is given by

$$T_1 + n_1^*$$

where
$$n_1^* = \left[\frac{n}{2} \right] - 1$$

and the square brackets denote drop the fractional part.

The place in subsequent lists is given by

$$T_i + n_i^*$$

where
$$n_i^* = \left[\frac{n_i^* - 1}{2} \right]$$

In the situation in figure 6 where the seventh item was the winner, the position in L^1 is given by

$$12 + \left[\frac{7}{2} \right] - 1 = 12 + 2 = 14$$

In the subsequent lists the positions are given by

$$L_2: \quad 18 + \left[\frac{2}{2} \right] = 18 + 1 = 19$$

$$L_3: \quad 22 + \left[\frac{1}{2} \right] = 22 + 0 = 22$$

$$L_4: \quad 24 + \left[\frac{0}{2} \right] = 24$$

CHAPTER 5

NATURAL TWO-WAY MERGEIntroduction

The sorting techniques considered so far have all commenced with a single list of unordered data. By contrast, to merge implies the existence of more than one list. If the data is in one list, it will be necessary as preparation for this merge to split it into two parts according to some rule. The simplest techniques would be to assign alternate items to alternate lists, or simply to split the original list at its midpoint.

Merging can best be explained by an example. In figure 8 we commence with lists A and B. These lists consist of a number of ordered sublists, $^1A, ^2A, ^3A, \dots, ^1B, ^2B, ^3B, \dots$

We merge together the first sublists from each list, 1A and 1B to form a single ordered sublist which we call 1C . 2A and 2B are merged and called 1D . Carry on merging corresponding sublists from A and B, placing the resulting longer strings alternatively in C and D. When lists A and B are exhausted, 1C and 1D are merged to form 1E , 2C and 2D form 2F and so on. Clearly the sublists are getting fewer and eventually there is only one ordered list.

There is no need to know where each sublist begins. This is particularly valuable at the commencement of the sort, as it enables us to make use of any inherent ordering of the data. Hence the description "natural" in the name of this sorting technique.

FIGURE 8

| | A | B | C | D | E | F |
|-------|----|----|----|----|----|----------|
| 1A | 2 | 1 | 1 | 3 | 1 | 1F 11 |
| | 5 | 4 | 2 | 6 | 2 | 17 |
| | 7 | 8 | 4 | 9 | 3 | 21 |
| | 13 | 10 | 5 | 15 | 4 | . |
| 2A | 6 | 12 | 7 | 19 | 5 | . |
| | 16 | 3 | 8 | 20 | 6 | . |
| | 19 | 9 | 10 | 22 | 7 | . |
| | 20 | 15 | 12 | 21 | 8 | . |
| | 22 | 11 | 13 | . | 9 | . |
| 3A | 17 | 27 | 11 | . | 10 | . |
| | 30 | . | 17 | . | 12 | . |
| | 42 | . | 27 | . | 13 | . |
| 4A | 35 | . | 30 | . | 15 | . |
| | . | . | 42 | . | 19 | . |
| | . | 21 | . | . | 20 | . |
| | . | . | . | . | 22 | . |
| | . | . | . | . | . | . |
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Detailed Procedure

In figure 8, we look at the first items of lists A and B (the "input" lists) and choose the smaller - a 1 from B - and transfer it to C (an "output" list). We now compare the 2 from A with the 4 from B. Again we choose the smaller, the 2. We are now in a position to formulate our basic rule of approach.

RULE 1

Compare the top items in each list; choose the smaller as the item to be transferred; replace it with the next item from the input list from which it was taken.

This rule works in the example in the figure until we choose the 12 from ¹B. The rule then tells us to compare the 13 from ¹A with the 3 from ²B. However the 3 is to be ignored as it comes from ²B. We take the 13 from ¹A as the next item for output. Lists ¹A and ¹B are now exhausted and we start using rule 1 again on the first elements of ²A and ²B. The 3 is the smaller of these two items and it is placed in the second output list, D, where it becomes the first element of sublist ¹D.

Two further rules are needed to determine the choice and placing of items when either or both sublists become exhausted. These rules are contained below in the sections outlining the procedure for dealing with the conditions known as single and double stepdown.

After each comparison and transfer, the lists are in one of three conditions.

I NO STEP DOWN

When the items from both lists are larger than or equal to the last item transferred, we have a *no stepdown condition*.

We choose the lesser as the item to be transferred as described in rule I.

II SINGLE STEP DOWN

When one of the pair of ordered sublists has been exhausted, the next item is smaller than the previous item on that sublist.

A *single stepdown condition* occurs when the next item on one list is *smaller* than the last item transferred *and* the next item on the other list is *larger* than the last item transferred.

This condition arose in figure 8 when we compared 16 from ²A with 15 from ²B and placed 15 in ¹D. This reveals 11 in the next cell in B. We have the condition for single stepdown since $11 < 15$ and $16 > 15$.

RULE II

Choose the larger item for output as long as the single stepdown condition prevails.

III DOUBLE STEP DOWN

In the example, figure 8, 22 is eventually placed into ¹D. We then find a 17 in A, and we have a 11 from B. Both 11 and 17 are smaller than 22, the last item transferred. A *double stepdown condition* has occurred.

This condition occurs when the next item on both lists is smaller than the last item transferred.

RULE III

When double stepdown occurs, start a new ordered sublist in the other output list. Carry on as for no stepdown.

In figure 8, rule III ensures that the ordered sublists are placed alternatively in output lists C and D.

There is one more eventuality.

ROLLOUT

Since the lists may contain an unequal number of sublists and since these are matched off in pairs during the merge, one of the lists may become exhausted before the other. In this case the remaining items on the unexhausted list are transferred to the output lists. Each ordered sublist is assigned to the output lists alternatively.

It is the policy of this library to sort each day's issues using the accession number as sort key.

We assume that the accession numbers were given to the books sequentially - they will be four-digit numbers.

Suppose further that each book has an equal chance of being issued on a given day. (This assumption is unlikely to be valid since newer books tend to be issued more frequently.) Statistically we are assuming that the sort keys are uniformly distributed random integers on the interval

$$[1 \ 10\ 000]$$

Now under these circumstances, it seems reasonable to estimate that the book with accession number 5318 should occupy roughly 53rd place in the final sort of the day's 100 issues.

Suppose the 53rd place is, at this stage, still unoccupied. We immediately place this record here, and deal with the next.

Suppose 5327 crops up later on - as is not impossible. This should also occupy roughly 53rd place. But this place is already occupied with a record which has lower sort key. We therefore check if the 54th place is occupied - if not, we place the incoming record here - if it is, we have to perform further rearrangements to fit in the new record.

The various situations which can arise, and the procedures adopted to carry out the rearrangements are described in detail in the next section.

In this example, the algorithm to convert the sort key into an "address" is clearly to divide by 100 and drop the fraction. Intuitively, this takes into account the rectangular distribution of the sort keys.

The address calculation algorithm is discussed in detail in Chapter 7.

SECTION TWO DESCRIPTION OF REARRANGEMENTS

Once the item has been transformed by the address calculation algorithm, there are five possible situations. For convenience we make use of the algorithm in the example above to explain these five cases. Case 1 deals with the simple and highly desirable situation when the calculated address points to an empty cell. Cases 2 to 5 handle the various situations when the calculated address is occupied. When this happens it is necessary to move either the item at this address, or the incoming item. If adjacent cells are also occupied this will necessitate moving several items, as well as tests to determine how many items need to be moved and in which direction these moves should take place.

CASE 1 CELL EMPTY

The incoming sort key is 1940. This number is mapped to address 19.

The state of the output list at this stage is given in figure 9 column S_1 .

FIGURE 9

| | S_1 | S_2 |
|----------|-------|-------|
| | - | - |
| | 1752 | 1752 |
| | 1890 | 1890 |
| New item | - | 1940 |
| = 1940 | - | - |
| | 2188 | 2188 |
| | - | - |

The calculated address is empty. Place the incoming item at this position, giving S_2 .

In a strict sense a cell in core is never "empty" - It *must* contain *something*. Before the sort commences the output list is initialized to some value which cannot occur in the list to be sorted. To test if an address is empty is to test if the cell contains this chosen value.

CASE 2 - CELL FULL - ROOM AT THE TOP

Figure 10 illustrates this case. The incoming sort key is 1988. Again this is mapped to address 19. But this address is already occupied by an item with key *less* than that of the incoming item. But the next cell is empty. Therefore place 1988 at address 20.

FIGURE 10

| | S_1 | S_2 |
|----------|-------|-------|
| | 16 | - |
| | 17 | 1752 |
| New Item | 18 | 1890 |
| = 1988 | 19 | 1940 |
| | 20 | - |
| | 21 | 2189 |
| | 22 | - |

In general, there may be a number of occupied cells between the occupied calculated cell and the next empty cell, but for CASE 2, all of these cells must contain items with sort keys less than that of the incoming item.

CASE 3 - CELL FULL - ROOM AT THE BOTTOM

The incoming item has sort key 2703. In figure 11 the calculated address, 27, is occupied by an item with key *greater* than that of the incoming item. Therefore the incoming item belongs at a lower address. But the cells 26 and 25 are both occupied by items with keys greater

than that of the incoming item. Cell 24 is vacant. So 2703 goes in here.

FIGURE 11

| | S_1 | S_2 |
|--------------------|-------|-------|
| 22 | 2219 | 2219 |
| 23 | - | - |
| New item = 2703 | - | 2703 |
| 25 | 2730 | 2730 |
| 26 | 2754 | 2754 |
| 27 | 2781 | 2781 |
| 28 | - | - |
| 29 | 2953 | 2953 |

CASE 4 - SQUEEZE THE ITEM IN ABOVE

Consider the situation in figure 12. Fit in 3571.

FIGURE 12

| | S_1 | S_2 | S_3 |
|--------------------|-------|--------|-------|
| 33 | 3308 | 3308 | 3308 |
| 34 | 3351 | 3351 | 3351 |
| New item = 3571 | 3473 | 3473 | 3473 |
| 36 | 3550 | 3550 | 3550 |
| 37 | 3685 | (3685) | 3571 |
| 38 | 3891 | 3685 | 3685 |
| 39 | - | 3891 | 3891 |
| 40 | 4068 | 4068 | 4068 |

Address 35 is occupied. Clearly the item must be placed between addresses 36 and 37, which are both already occupied. The nearest empty cell higher than the calculated address is cell 39.

The procedure is therefore to move the contents of cells 37 and 38 to cells 38 and 39 respectively, as in S_2 , and to shift the incoming item into cell 37, S_3 .

CASE 5 - SQUEEZE THE ITEM IN BELOW

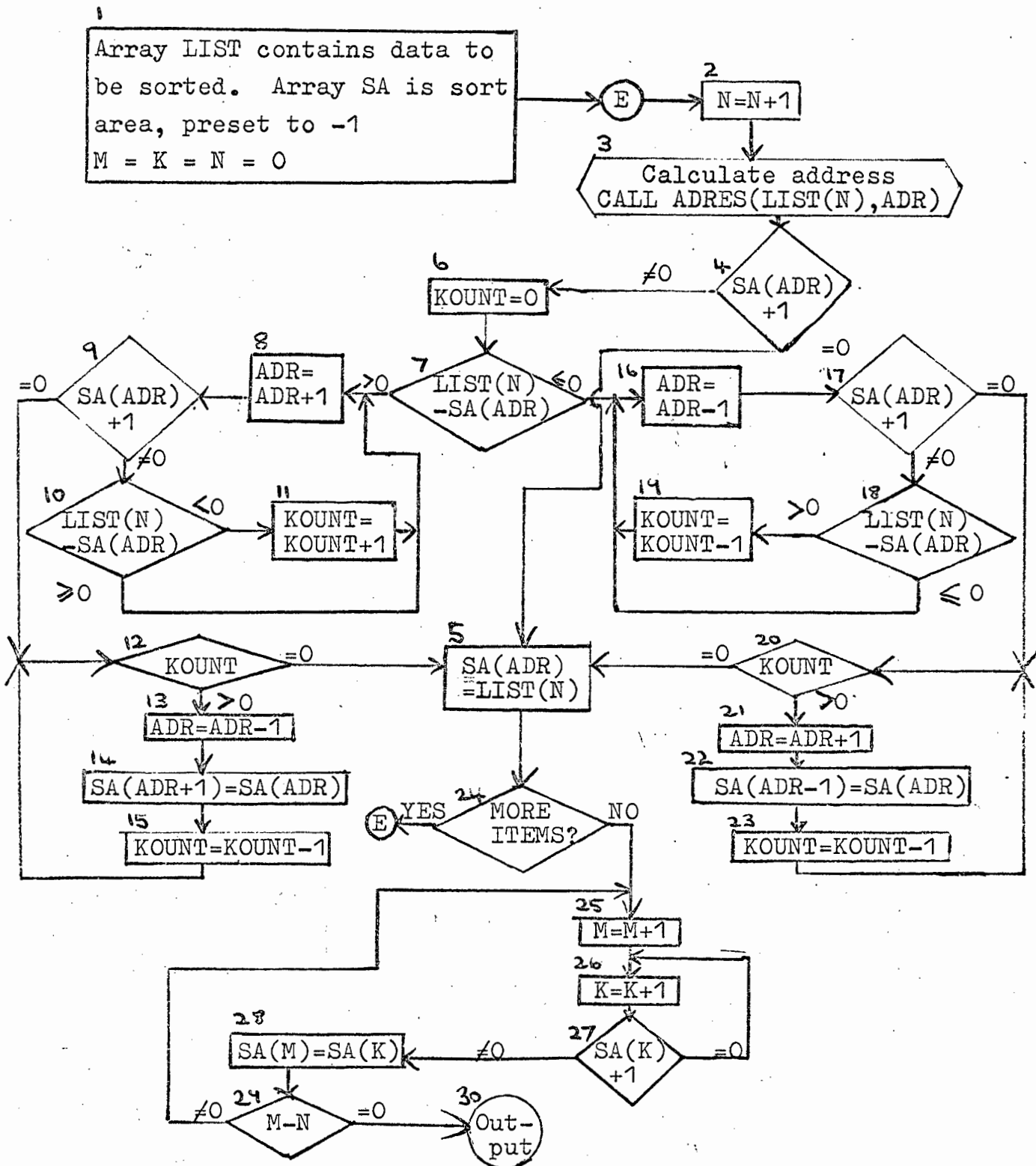
In this case, illustrated in figure 13, the incoming item, 2137, is mapped to an address, 21, which is already occupied by an item with a higher key. Several lower addresses are also occupied - some with items having keys greater than that of the new item, some with lower keys.

- (i) Find where the item belongs.
- (ii) Find the next vacant cell with lower address.
- (iii) Starting by shifting one item into this vacant cell, move back by one space the items up to and including the cell where the incoming item belongs (S_2).
- (iv) Now insert the incoming item into its proper position (S_3).

FIGURE 13

| | | S_1 | | S_2 | | S_3 |
|----------|----|-------|--|--------|--|-------|
| | 16 | - | | 1752 | | 1752 |
| | 17 | 1752 | | 1890 | | 1890 |
| New item | 18 | 1890 | | 1940 | | 1940 |
| = 2137 | 19 | 1940 | | 1988 | | 1988 |
| | 20 | 1988 | | (1988) | | 2137 |
| | 21 | 2189 | | 2189 | | 2189 |
| | 22 | - | | - | | - |

FIGURE 14



SECTION 3 FLOW CHART

The flow chart for the address sort is given in figure 14. At (1) we initialize the sort area, in this case setting all cells in this array to -1. At (3) we call a subroutine which calculates the address, ADR, for the item currently under consideration, LIST(N).

The desirable properties of this subroutine are discussed in the next chapter. Suffice it to say now, the better the subroutine, the better the sort. We check (4) to determine if the calculated address is empty. (We assume that -1 cannot be a sort key.) If it is empty, we place the item at this address (5). If the calculated cell is occupied, we set a counter, KOUNT, (6) for later use. Next we compare the item with the contents of the calculated address to find out whether the new item should be placed below or above the calculated cell. We consider the cases where the comparison (7) yields *greater than* - i.e. we will be dealing with cases 2 and 4. Cases 3 and 5 are dealt with similarly (16 to 23).

At (8) and (9) we increment the calculated address by one and check if this address is occupied.

If it is empty we go to (12) and start moving items, if necessary. If it is occupied, we check its contents against the incoming item (10). If this item is greater than the contents we potentially have Case 2; no items need to be moved and we return to (8). If the incoming item is less than the contents at the present address, we have Case 4 which requires movement of items. We use the counter to determine how many

items need to be moved. Each time we go around this loop we add one to the counter.

Eventually we find an empty cell (9). We test the counter (12). If the counter is zero, no items need to be moved (Case 2) and we place the item at the cell the address is currently pointing to at (5). If the counter is not zero, the loop (12 to 15) moves the proper number of items up one position in the output area.

When these moves have been completed, we continue to (5) as before. If there are more items, (24), we calculate the address of the next item (2) and (3).

CHAPTER 7

SECTION 1 THE ADDRESS CALCULATION ALGORITHMIntroduction

The development of effective algorithms to map sort keys into addresses is crucial to the success of this sorting technique. The only algorithm we have considered so far is a simple one to deal with data sampled from a rectangular distribution. There are of course many other sort key distributions ranging from those which are nearly rectangular, through those which are normal, through skew distributions to those which merely have empirical forms - alphabetic sorts on bibliographic data in a library catalogue are an example of this last kind. The statistical distribution of the sort keys is one of two main considerations over which we have little or no control.

The second consideration, dictated to us by computer limitations, is that of core space available for use as working storage. As will become clear when we deal with fullness ratios the sort becomes more efficient when there are a great deal more cells available for the output array than there are items to be sorted.

In mathematical terms, we are given a population universe, Ω , containing all the sort keys which may possibly occur. The sample we are to sort, denoted by L , is a finite subset of Ω .

We are looking for a mapping, w , which maps Ω into the output list S , i.e.

$$w: \Omega \rightarrow S$$

S is a finite subset of the integers taking the form

$\{1, 2, \dots, n\}$ where n is the number of cells available as working storage for the sort.

We consider fully the implications of the relationship between the population universe, Ω , and the sample to be sorted, L , i.e. the distribution, in a statistical sense, of L in Ω , in Section 2 of this chapter.

Fullness Ratio

We introduce now the concept of *fullness ratio*. The fullness ratio R is defined as $R = \frac{|S|}{|L|}$ where the vertical lines denote the cardinalities of the sets S and L .

In practical computer terms, this means the ratio between the number of items to be sorted, and the core available for the working storage of the output list.

In the example we considered earlier the fullness ratio was 1. This will be very inefficient because towards the end of the sort the nearest empty cell to a calculated address may be a considerable distance away.

If the number of locations in the output list is at least twice that of the number of items to be sorted then, given a good address calculation algorithm, this sorting technique is very efficient.

If on the other hand there are not many more output locations than

input items, the sort becomes progressively more inefficient. This inefficiency arises when the address calculated for an incoming item points to a location which is already occupied, forcing us to go through Cases 2 - 5. These cases are however unavoidable. If w were a one-to-one transformation there would be no collisions, but the working area would need as many locations as Ω has elements - and Ω will frequently be a continuum.

With a fullness ratio of, for example, two, half the cells in the sort area will still be unoccupied when the last item has been dealt with. The next stage is then to eliminate these empty cells by collecting up the occupied cells. Generally speaking it is possible to use the sort area itself for this process, as is shown in blocks (25 to 29) of figure 14.

SECTION 2 PROPERTIES OF THE ALGORITHM

Property 1

The address calculation formula must be a non-decreasing function.

An algorithm that maps sort key 3,08 to address 90, 5,74 to 65 and 7,30 to 138 is clearly not going to work!

Property 2

There may be no ambiguities. A single sort key may not be mapped to different addresses at different stages during the sort.

This precludes the possibility of "improving" the formula as one goes along. It is not possible to incorporate some technique to spread items in a section of the sort area which is turning out to be "overcrowded".

This emphasizes the importance of having a shrewd idea of the distribution of the sort key before commencing.

Property 3

To minimise the number of collisions, it is clear that each element of the output list must have an equal probability of occurring. If addresses in a short section of the output array keep cropping up while others are virtually unused, we clearly have a very unsatisfactory algorithm. This situation would arise if we used the address formula of the example in the introduction on normally distributed data with a mean of 5 000 and standard deviation of 250. We would then expect the addresses between 42 and 57 to be used repeatedly while the rest would be very rarely calculated.

To satisfy this property of equal probabilities for each address we are looking for a transformation that will map the distribution our data is sampled from into a rectangular distribution on $[0, n]$ where n is the number of cells available for the output list.

Fortunately, this transformation is easy to find. If $f(x)$ is a density function then the distribution function $F(x) = \int_{-\infty}^x f(t)dt$ has the rectangular distribution on the interval $[0, 1]$.

Proof

Consider the random variable X with density function $f(x)$ and distribution function $F(x)$ as defined above. Let Y be the random variable such that

$$Y = F(X)$$

Then the distribution function of Y ,

$$\begin{aligned}
 H(y) &= P\{Y < y\} \\
 &= P\{F(X) < y\} = \begin{cases} 1 & y > 1 \\ y & 0 \leq y \leq 1 \\ 0 & y < 0 \end{cases}
 \end{aligned}$$

$$\begin{aligned}
 H(y) &= P\{F(X) < y\} = P\{X < F^{-1}(y)\} \\
 &= F(F^{-1}(y)) = y \quad \text{for } 0 \leq y \leq 1
 \end{aligned}$$

$$\text{Therefore } h(y) = \frac{dH(y)}{dy} = \begin{cases} \frac{d}{dy} 1 = 0 & \text{for } y > 1 \\ \frac{d}{dy} y = 1 & 0 \leq y \leq 1 \\ \frac{d}{dy} 0 = 0 & y < 0 \end{cases}$$

By following this with a scalar transformation, we can get a uniform distribution on any interval we desire.

Consider the random variable X with distribution function $F(x)$.

Then for data sampled from this distribution

$$[n F(x)] + 1$$

will be an address calculation algorithm satisfying properties (1), (2) and (3). The square brackets denote "take the integral part" and n is the number of cells in the output array.

Proof

(1) and (2) are trivial. (3) Suppose x_i is the i th item in the array to be sorted. Let a_i be the calculated address for this item,

$$a_i = [n F(x_i)] + 1$$

Let k be an integer $1 \leq k \leq n$.

$$\begin{aligned}
\text{Then} \quad & P\{a_i \leq k\} \\
&= P\{\lfloor n F(x_i) \rfloor + 1 \leq k\} \\
&= P\{\lfloor n F(x_i) \rfloor \leq k-1\} \\
&= P\{n F(x_i) < k\} \\
&= P\{F(x_i) < k/n\} \\
&= k/n
\end{aligned}$$

since $F(X)$ has the uniform distribution on $[0, 1]$.

Similarly $P\{a_i \leq k-1\} = (k-1)/n$.

Hence $P\{a_i = k\} = P\{a_i \leq k\} - P\{a_i \leq k-1\} = k/n - (k-1)/n = 1/n$.

This is independent of k .

Property 4

An efficient address calculation formula must be speedily computable. It must be fast - a formula that involves lengthy calculations of complicated integrals is going to be time consuming.

Unless the distribution function has a simple closed form, properties (3) and (4) are in conflict. A balance must be struck between a precise formula which gives a perfect transformation to the rectangular distribution and the practical considerations of computer time. A useful compromise is to provide a table of values of the integral and to interpolate linearly - a table of 100 values or fewer is generally adequate.

In fact, since the data itself is never quite perfect the number of collisions with some good approximation to the algorithm is not likely to be many more than the number which the perfect algorithm would give. The time manipulating these extra collisions would be small compared with

the time spent calculating a marginally better address for every item.

Two Finer Points

1) A Special Difficulty

Difficulties arise at the ends of the sort table.

In the example in the Introduction, towards the end of the sort we may have the situation shown in figure 15.

FIGURE 15

| | |
|---|-----|
| 1 | 108 |
| 2 | 283 |
| 3 | 345 |
| 4 | 371 |
| 5 | - |

The next item to be sorted has key 332. Then the calculated address is 3, which is occupied by a cell of higher key. 332 should be allocated to address 2 and the contents of cells 1 and 2 be shifted to make room for it. The contents of cell 1 gets shifted out of the sort area - disastrous for a FORTRAN DIMENSION statement.

This difficulty is avoided by providing a safety zone of "padding" space at either end of the sort area.

Five percent of the sort area - two and a half percent at either end - is sufficient safety if the algorithm is used for the distribution it was designed for. If the Programmer fears, for example, that the sort he has written for normal data will be used to sort data from a lognormal distribution he would be wise to leave a larger margin of safety!

With a safety zone of p cells at either end of the n cells in the

sort array the address calculation formula becomes

$$[(n-2p)F^*(x)] + p$$

where $F^*(x)$ is either the distribution function itself, or some approximation to it.

2). Record or Record Index

In the sort area only the record index need be stored.

In the earlier example if the twenty first record had sort key 5318, a 21 would be placed at address 53, assuming cell 53 is still unoccupied. Any subsequent comparisons with this item which may be necessary due to collisions are made by comparing items with the sort key of the twenty first record and not with the actual contents of the fifty third address.

This has two advantages

- (i) It saves space. Only the record index, and not the whole record is stored.
- (ii) It is not necessary to move the whole record when collisions occur - only move the record index.

An extra instruction is needed before each comparison to look up the sort key of the record index.

CHAPTER 8

SOME PRACTICAL ADDRESS CALCULATION ALGORITHMS

Address formulae are considered here for the following types of data.

- (i) Rectangular
- (ii) Normal
- (iii) Exponential
- (iv) A general formula for data with a central tendency, whether skew or not.

These illustrate the principles involved in developing algorithms. The rectangular and exponential distribution have simple distribution functions whilst the normal distribution shows the table-based approach.

(i) The Rectangular Distribution

For the rectangular distribution/^{on} the interval $[A, B]$ the distribution function $F(x)$ is given by

$$F(x) = \frac{x-A}{B-A}$$

Making use of the formula

$$a_i = [(n-2p)F(x_i)] + p$$

derived earlier, we have

$$\begin{aligned} a_i &= \left[\frac{(n-2p)(x_i - A)}{B-A} \right] + p \\ &\approx \left[\frac{(n-2p)x_i}{B-A} \right] + \left(p - \frac{(n-2p)A}{B-A} \right) \\ &= n^* x_i + p^* \end{aligned}$$

n^* and p^* are constants determined before the commencement of the sort.

The algorithm is simply a linear transformation of the sort key.

With NSTAR and PSTAR predetermined constants the FORTRAN coding for this algorithm reduces to the single statement

$$IADRS = NSTAR * X(I) + PSTAR$$

(II) The Normal Distribution

For this distribution the precise address calculation formula is

$$a_i = \left[(n-2p) \int_{-\infty}^{x_i} (2\pi\sigma^2)^{-\frac{1}{2}} \exp(-(\sigma^2)^{-1}(t-\mu)^2) dt \right] + p$$

There are no ambiguities, it is non-decreasing and each address in the range $[p, n-p]$ has an equal chance of occurring. However it does not meet the requirements of speedy calculation! To overcome this difficulty we approximate by providing a table of values of the normal integral and by interpolating linearly.

The amount of care necessary for a satisfactory table together with the coding to perform the look-up operation is far less than the care required for a numerical integration subroutine. (The Scientific Subroutine Package Program QATR, integration of a function by trapezoidal rule, requires 386 words of core on the IBM 1130.)

The table shown in figure 16, has proved itself in practice. It consists of 61 points giving the area under the $N(0, 1)$ curve to the left of points at intervals of .1 between -3 and 3.

Figure 17 illustrates the use of this table. Suppose we have 1 000 records with sort keys from $N(12, 16)$. Suppose $n = 3\ 000$ and we decide to let $p = 250$.

FIGURE 16

| COLUMN 1 | | COLUMN 2 | | COLUMN 1 | | COLUMN 2 | |
|----------|--------|----------|------|----------|--------|----------|------|
| -3.0 | 0.0000 | 1 | 250 | 0.1 | 0.5398 | 32 | 1599 |
| -2.9 | 0.0019 | 2 | 254 | 0.2 | 0.5793 | 33 | 1698 |
| -2.8 | 0.0026 | 3 | 256 | 0.3 | 0.6179 | 34 | 1794 |
| -2.7 | 0.0035 | 4 | 258 | 0.4 | 0.6554 | 35 | 1888 |
| -2.6 | 0.0047 | 5 | 261 | 0.5 | 0.6915 | 36 | 1978 |
| -2.5 | 0.0062 | 6 | 265 | 0.6 | 0.7257 | 37 | 2064 |
| -2.4 | 0.0082 | 7 | 270 | 0.7 | 0.7580 | 38 | 2144 |
| -2.3 | 0.0107 | 8 | 276 | 0.8 | 0.7881 | 39 | 2220 |
| -2.2 | 0.0139 | 9 | 284 | 0.9 | 0.8159 | 40 | 2289 |
| -2.1 | 0.0179 | 10 | 294 | 1.0 | 0.8413 | 41 | 2353 |
| -2.0 | 0.0227 | 11 | 306 | 1.1 | 0.8643 | 42 | 2410 |
| -1.9 | 0.0287 | 12 | 321 | 1.2 | 0.8849 | 43 | 2462 |
| -1.8 | 0.0359 | 13 | 339 | 1.3 | 0.9032 | 44 | 2507 |
| -1.7 | 0.0446 | 14 | 361 | 1.4 | 0.9192 | 45 | 2547 |
| -1.6 | 0.0548 | 15 | 387 | 1.5 | 0.9332 | 46 | 2582 |
| -1.5 | 0.0668 | 16 | 417 | 1.6 | 0.9452 | 47 | 2612 |
| -1.4 | 0.0808 | 17 | 452 | 1.7 | 0.9554 | 48 | 2638 |
| -1.3 | 0.0968 | 18 | 492 | 1.8 | 0.9641 | 49 | 2660 |
| -1.2 | 0.1151 | 19 | 537 | 1.9 | 0.9713 | 50 | 2678 |
| -1.1 | 0.1357 | 20 | 589 | 2.0 | 0.9773 | 51 | 2693 |
| -1.0 | 0.1587 | 21 | 646 | 2.1 | 0.9821 | 52 | 2705 |
| -0.9 | 0.1841 | 22 | 710 | 2.2 | 0.9861 | 53 | 2715 |
| -0.8 | 0.2119 | 23 | 779 | 2.3 | 0.9893 | 54 | 2723 |
| -0.7 | 0.2420 | 24 | 855 | 2.4 | 0.9918 | 55 | 2729 |
| -0.6 | 0.2743 | 25 | 935 | 2.5 | 0.9938 | 56 | 2734 |
| -0.5 | 0.3085 | 26 | 1021 | 2.6 | 0.9953 | 57 | 2738 |
| -0.4 | 0.3446 | 27 | 1111 | 2.7 | 0.9965 | 58 | 2741 |
| -0.3 | 0.3821 | 28 | 1205 | 2.8 | 0.9974 | 59 | 2743 |
| -0.2 | 0.4207 | 29 | 1301 | 2.9 | 0.9981 | 60 | 2745 |
| -0.1 | 0.4602 | 30 | 1400 | 3.0 | 1.0000 | 61 | 2750 |
| 0.0 | 0.5000 | 31 | 1500 | | | | |

FIGURE 17

| x_i | $\frac{x_i - \mu}{\sigma}$ | x_{i_1}, x_{i_2} | $F(x_{i_1}), F(x_{i_2})$ | e_i | $F^*(x_i)$ | a_i |
|-------|----------------------------|--------------------|--------------------------|--------|------------|-------|
| 0,1 | -2,975 | -3,0 -2,9 | 0,0000 0,0019 | 0,0005 | 0,0005 | 251 |
| 0,2 | -2,950 | -3,0 -2,9 | 0,0000 0,0019 | 0,0010 | 0,0010 | 252 |
| 6,1 | -1,475 | -1,5 -1,4 | 0,0668 0,0808 | 0,0035 | 0,0703 | 425 |
| 6,2 | -1,450 | -1,5 -1,4 | 0,0668 0,0808 | 0,0070 | 0,0738 | 434 |
| 12,1 | 0,025 | 0,0 0,1 | 0,5000 0,5398 | 0,0099 | 0,5099 | 1524 |
| 12,2 | 0,050 | 0,0 0,1 | 0,5000 0,5398 | 0,0199 | 0,5199 | 1549 |

The first column gives the sort key, the second the sort key transformed to $N(0, 1)$. The third column shows which values in column 1 of figure 17 to look up. Column four shows the results of this operation.

Column five shows the linear interpolation according to the formula $e_i = 10(F(x_{i_2}) - F(x_{i_1}))(x_i - x_{i_1})$. Column six gives the approximation to the integral:

$$F^*(x_i) = F(x_{i_1}) + e_i$$

In the seventh column is the final address calculated by the formula

$$\begin{aligned} a_i &= [(n-2p) F^*(x)] + p \\ &= [2\,500 F^*(x)] + 250 \end{aligned}$$

The sort keys have been chosen to illustrate how more space is made available around the mean.

The probability that the transformed point lies outside the range of

the table, i.e. outside of $[-3, 3]$ is about 0,0024 (one point in 350). Points like 24,27 -16,19 and others more than three standard deviations from the mean are given integral values of 1,0 and 0,0 respectively and their addresses are calculated from these values.

On the computer the actual technique used is not to convert sort keys to $N(0, 1)$ but to convert them to $N(31, 100)$.

The integral part of the transformed item is then the first of the two consecutive table values needed, and the fractional part is the proportion of the difference of these two table values needed for the linear interpolation.

If the integral part is less than one it is set equal to one and the fractional part is set to zero. If the integral part is greater than sixty it is set equal to sixty and the fractional part is set to 1,0.

As the size of the sort area, n , and the amount of padding, p , are predetermined, they can be incorporated into the table. Such a table with $n = 2\,500$ and $p = 250$, is shown in column 2 of figure 16.

The FORTRAN statements needed to calculate the address of normally distributed data is shown in figure 18. The first instruction converts the item to $N(31, 100)$.

Then follows a check to prevent the looking up of values that lie beyond the table.

Finally the interpolation is performed, using the table in column 2 of figure 16, into which the size of the sort area and the padding space

has been incorporated.

If the mean and variance are unknown, they are estimated by evaluating the sample mean and variance before commencing the sort.

FIGURE 18

```

SSDEV = 10./SDEV

NOR01 = (X(J) - AMEAN) * SSDEV + 31.0
INT = IFIX (NOR01)
FRAC = NOR01 - INT
IF (INT) 18, 18, 19
18 INT = 1
19 IF (INT - 60) 20, 20, 21
21 INT = 60
20 IADRS = TABLE(INT) + FRAC*(TABLE(INT + 1) - TABLE (INT))

```

(iii) The Exponential Distribution

The exponential distribution,

$$f(x) = \begin{cases} \lambda e^{-\lambda x} & x \geq 0 \\ 0 & x < 0 \end{cases}$$

has the particularly simple distribution function

$$1 - e^{-\lambda x}$$

So a suitable algorithm would be

$$\begin{aligned} a_i &= [(n-2p)(1-e^{-\lambda x_i})] + p \\ &\approx n-p - [(n-2p)(e^{-\lambda x_i})] \end{aligned}$$

(iv) A general formula for data with a central tendency, whether symmetric or skew

This is a very powerful address generating formula. It effectively handles data with a wide variety of distributions. It is most efficient when the sort keys are normal or near-normal. It is, however, sufficiently

robust to deal with even rectangularly distributed sort keys without breaking down.

There are three passes through the data, the first and second determining parameters used in the final pass which calculates the addresses.

The first pass determines the mean of the sort keys. The second pass yields two parameters which are estimates of the dispersion to the left and right of the mean.

If we have n sort keys x_1, x_2, \dots, x_n and mean $\bar{x} = \frac{1}{n} \sum_{i=1}^n x_i$, then these parameters are given by

$$s_l^2 = 1/n_l \sum_{i=1}^n (x_i - \bar{x})^2 \chi_l(x_i)$$

where

$$\chi_l(x) = \begin{cases} 1 & \text{for } x \leq \bar{x} \\ 0 & \text{for } x > \bar{x} \end{cases}$$

and

$$n_l = \sum_{i=1}^n \chi_l(x_i)$$

and

$$s_r^2 = 1/n_r \sum_{i=1}^n (x_i - \bar{x})^2 \chi_r(x_i)$$

where

$$\chi_r(x) = \begin{cases} 0 & \text{for } x \leq \bar{x} \\ 1 & \text{for } x > \bar{x} \end{cases}$$

and

$$n_r = \sum_{i=1}^n \chi_r(x_i)$$

s_l^2 and s_r^2 are used for the normalization of the sort keys, according to formula

$$\frac{x_i - \bar{x}}{\sqrt{s^*(x_i)}}$$

where

$$s^*(x_i) = \begin{cases} s_l^2 & x_i \leq \bar{x} \\ s_r^2 & x_i > \bar{x} \end{cases}$$

The third pass through the data performs this normalization and

calculates the addresses from the same table as is used for the sorting of normally distributed data.

Thus, the addresses are calculated as if the data to the left of the mean had been sampled from a normal distribution with mean \bar{x} and variance s_l^2 , and the data to the right of the mean is treated as if it came from $N(\bar{x}, s_r^2)$.

The final program in Appendix II contains a FORTRAN listing of this algorithm.

Figure 19 gives an indication of how this technique fits data derived from a number of situations. In these graphs the dotted line represents the empirical distribution of the data. The solid line is the distribution function by which the address sort approximates the empirical distribution. The graphs are all plotted from three "left deviations" (s_l) below the mean to three "right deviations" above it. They have been scaled so that the horizontal axes are of equal length.

In figure 19(a) the data are 500 sort keys generated by the scientific subroutine GAUSS, which produces normally distributed random numbers with a given mean and deviation.

In figure 19(b) the data are the appreciations since the beginning of 1970 to March 1971 of 738 share prices on the Johannesburg Stock Exchange. (Appreciation = 100 Move/Last Effective Price.)

Figure 19(c) shows how the technique deals with data with a lognormal distribution.

In figure 19(d) the data are the volume density of shares traded on the Johannesburg Stock Exchange during a week.

(Volume density = $100 \text{ Volume traded} / \text{Total volume issued.}$)

Although the fit in graphs (c) and (d) is rather poor, the increase in sorting time is very small.

FIGURE 19(a)

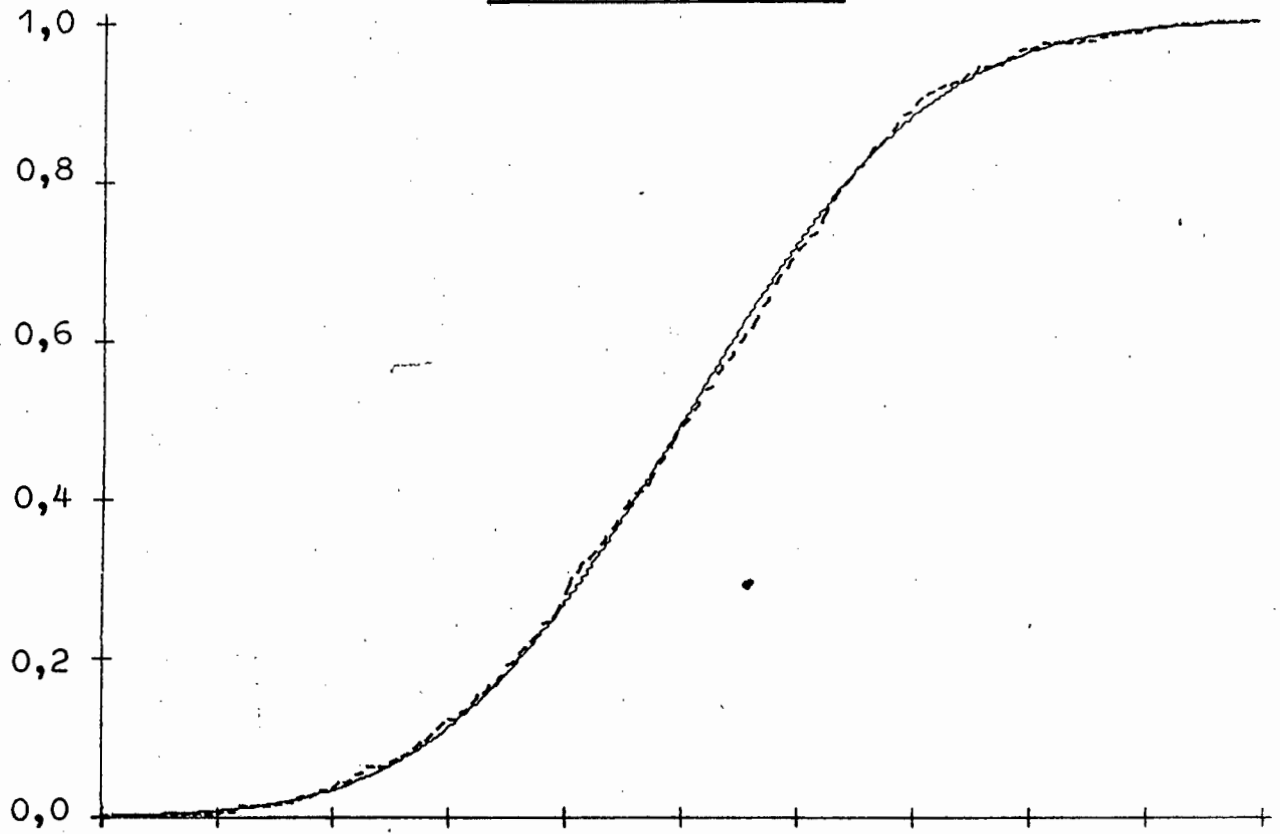


FIGURE 19(b)

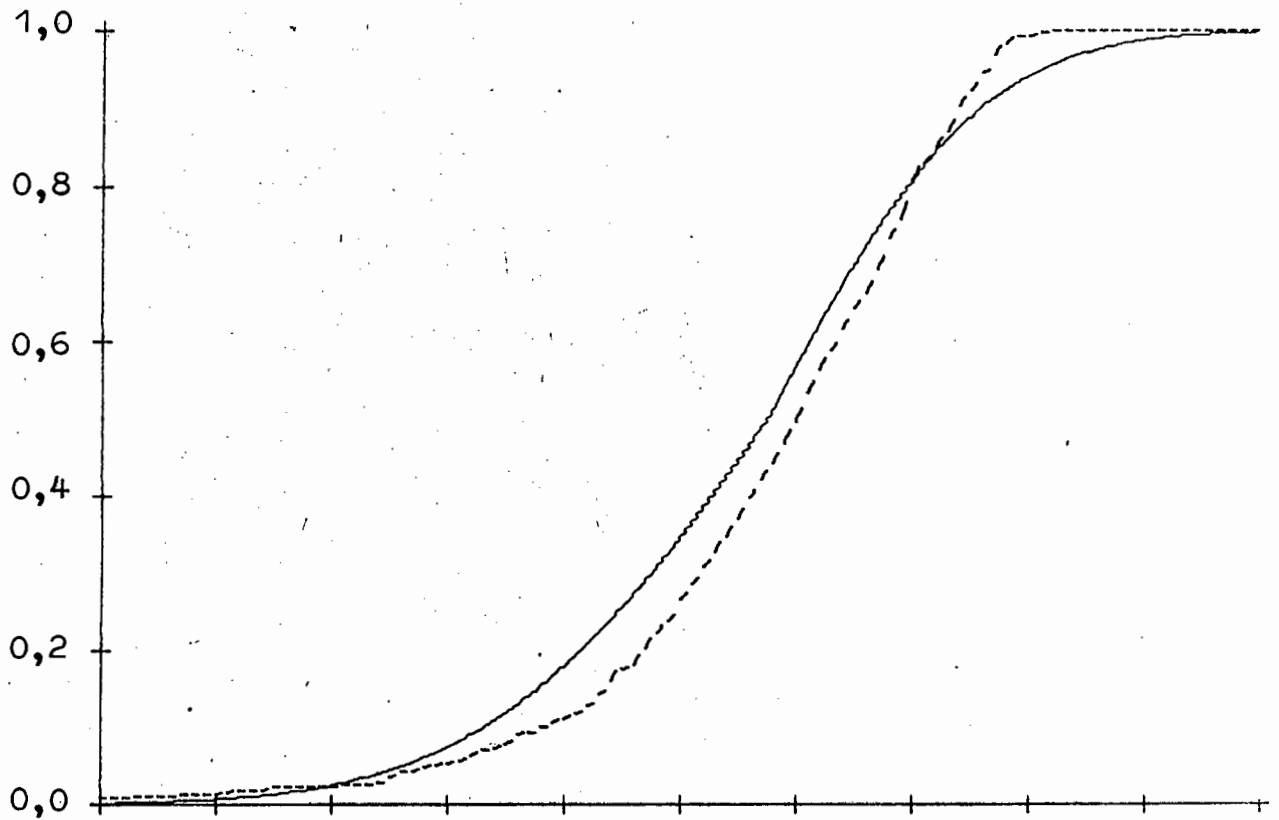


FIGURE 19(c)

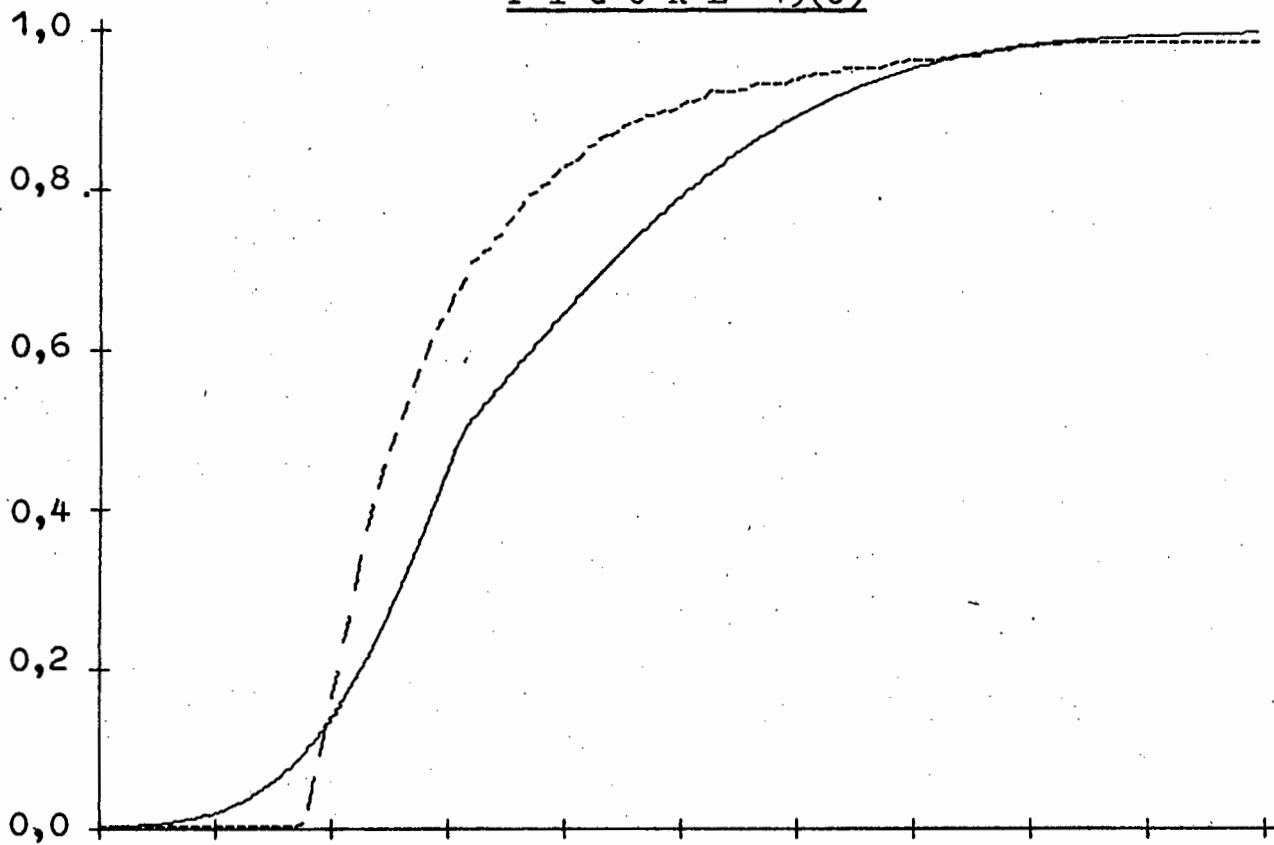
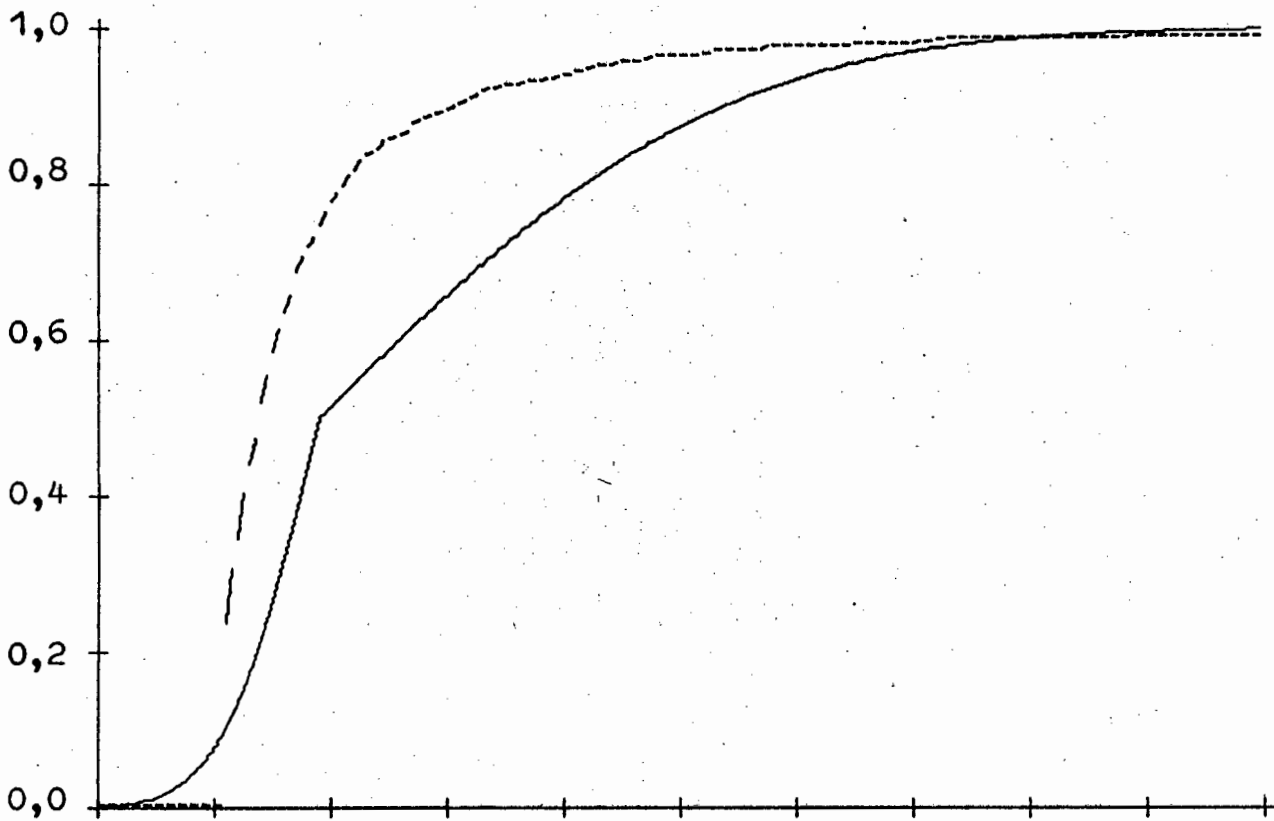


FIGURE 19(d)



A P P E N D I X I

Figure 20 gives a comparison of the various sorting techniques described earlier. Brief derivations of core requirements and the theoretical number of comparisons for each technique follow.

The sort time given in the final column was the time taken to sort 1 000 random integers. These were generated by the scientific subroutine RANDU. The programs were timed by instructing the computer to print a line of asterisks immediately preceding and following the actual sort instructions.

1. SELECTION

Core is required for both input and output lists.

$N-1$ comparison needed for each item, giving a total of $N(N-1)$ comparisons.

2. SELECTION AND EXCHANGE

Only one array in core is required.

When the list is of length n , $n-1$ comparisons are needed to find the next item. Hence total number of comparisons is

$$\sum_{n=1}^{N-1} n = \frac{1}{2} N(N-1)$$

3. COUNTING

Core is required for the input and output lists and the counters.

Comparisons derived as in 2.

4. BASIC INSERTION

Only one array in core is required. As the sort proceeds this list is split into an ordered and unordered sublist.

When the ordered sublist has length n , the expected number of comparisons is $n/2$. Hence total number of comparisons is

$$\frac{1}{2} \sum_{n=1}^{N-1} n = \frac{1}{4}N(N-1)$$

5. BINARY INSERTION

Core requirements as in 4.

When the ordered sublist has length n we expect

$$[\log_2 n] + 1$$

comparisons to locate the position for new item.

Hence total number of comparisons is approximately

$$\sum_{n=1}^N \log_2 n = \log_2 N!$$

6. BINARY INSERTION WITH UP/DOWN SHIFT

Core required for original list. Output list requires $2N$ cells of core since first item is placed at centre of list.

Comparisons are as for 5, but number of shifts is halved.

7. QUADRATIC SELECTION

$N + \sqrt{N}$ cells needed for sublists and auxiliary list.

N cells needed for output list. $(\sqrt{N}-1)$ comparisons needed to select item from each sublist for auxiliary list. Hence $\sqrt{N}(\sqrt{N}-1)$ comparisons are needed to form auxiliary list. To output the first item

requires a further $\sqrt{N}-1$ comparisons. For each of the remaining $N-1$ items $2(\sqrt{N}-1)$ comparisons are needed. The overall total is

$$(N-1)(2\sqrt{N}-1).$$

8. TOURNAMENT

N cells of core required for input list and for output list.
 $N/2^{k+1}$ cells are needed for k th sublist. Hence total cells for sublists

$$\begin{aligned} & N/2 + N/4 + \dots + 2 \\ & \approx N\left(\frac{1}{2} + \frac{1}{4} + \dots\right) \\ & = N \end{aligned}$$

Thus total core requirements are approximately $3N$.

Number of comparisons to fill the sublists is N . For each of the remaining $N-1$ items $2(\lceil \log_2 N \rceil + 1)$ comparisons are made.

Total number of comparisons is

$$N + 2(N-1)(\lceil \log_2 N \rceil + 1)$$

9. NATURAL TWO-WAY MERGE

Since it is impossible to predetermine which list will eventually contain all the items, it is necessary that each of the four lists has N cells allocated to it.

For each item during each pass, three comparisons are required. At worst, if the data are in reverse order, $\lceil \log_2 N \rceil + 1$ passes will be required.

Hence number of comparisons will be less than

$$3N(\lceil \log_2 N \rceil + 1)$$

10. ADDRESS CALCULATION

Core is required for the input list and for the sort area. With fullness ratio R , the total core requirements are thus

$$(N+1)R$$

The probability of a collision when there are n occupied cells in the sort area is n/RN .

The expected number of collisions is thus $(RN)^{-1} \sum_{n=1}^{N-1} n = (N-1)/2R$

With $R = 3,0$ and $N = 1\,000$ this yields 167 collisions.

For each item there is one comparison to test if the calculated address is occupied. For each collision there are at least three extra comparisons. Hence the total number of comparisons will exceed

$$N + 3(N-1)/2R$$

For values of R greater than about 2,5 we can expect that the total number of comparisons will not be much larger since the probability of adjacent cells being occupied is small.

FIGURE 20

| SORTING TECHNIQUE | CORE REQUIREMENTS | | COMPARISONS | | TIME N = 1000 |
|---|-------------------|-------------|---|-----------|----------------------------|
| | FORMULA | N = 1000 | FORMULA | N = 1000 | |
| | | | | | min:secs. |
| SELECTION | $2N$ | 2000 | $N^2 - N$ | 999000 | 5:43 |
| SELECTION AND EXCHANGE | N | 1000 | $\frac{1}{2}(N^2 - N)$ | 499500 | 2:54 |
| COUNTING | $3N$ | 3000 | $\frac{1}{2}(N^2 - N)$ | 499500 | 4:16 |
| BASIC INSERTION | N | 1000 | $\frac{1}{4}(N^2 - N)$ | 249750 | 4:17 |
| BINARY INSERTION | N | 1000 | $\log_2(N!)$ | 8500 | 2:49 |
| BINARY INSERTION WITH UP/DOWN SHIFT | $3N$ | 3000 | $\log_2(N!)$ | 8500 | 1:31 |
| QUADRATIC SELECTION | $2N + \sqrt{N}$ | 1035 | $(N-1)(2\sqrt{N}-1)$ | 65000 | :37 |
| TOURNAMENT | $3N$ | 3000 | $N + 2N(\lceil \log_2 N \rceil + 1)$ | 19000 | :27 |
| NATURAL TWO WAY MERGE | $4N$ | 4000 | less than $3N(\lceil \log_2 N \rceil + 1)$ | 27000 | :27 |
| ADDRESS | $(R+1)N$ | $(R+1)1000$ | greater than $N + 3(N-1)/2R$ | 1500 - | :07 for R=3 :13 for R=1 |

A P P E N D I X II

A listing of the FORTRAN coding for each of the sorting techniques described earlier (with the exception of Quadratic Selection with Presort) follows.

Comment cards describe each section of the programs - if these are read in conjunction with the detailed descriptions, it should be possible to follow the coding.

These programs have been carefully tested. The timings given in Appendix I were obtained from them when a thousand items of data were sorted.

The final listing is that of the currently most advanced version of the Address Sort. It is written as a subroutine and returns to the mainline program the ranking of the data to be sorted.

L.G. UNDERHILL *** SELECTION SORT VERSION 4 ***

```

INTEGER INPUT(1000),OUTPT(1000)          LES SS
DEFINE FILE 2 (1000,1,U,KREC)             LES SS
DATA IPRNT/5/                             LES SS
101 FORMAT(' *****')                  LES SS
100 FORMAT (1X,12I10)                     LES SS
WRITE(IPRNT,101)                          LES SS
N = 1000                                   LES SS
LES SS
C*****READ LIST TO BE SORTED             LES SS
READ (2*1) INPUT                          LES SS
LES SS
C***** N PASSES THROUGH DATA           LES SS
LES SS
DO 2 J=1,N                                LES SS
LES SS
C*****SET MIN TO FIRST ITEM ON LIST      LES SS
C*****SET LEAST TO POINT TO THIS ITEM    LES SS
MIN = INPUT(1)                             LES SS
LEAST = 1                                   LES SS
LES SS
C*****TO C***1 DETERMINES MINIMUM ITEM ON LIST AND ITS LOCATION
LES SS
DO 4 K=2,N                                LES SS
IF ( INPUT(K) - MIN)                       3, 4, 4 LES SS
3 LEAST = K                                LES SS
MIN = INPUT(K)                             LES SS
4 CONTINUE                                  LES SS
LES SS
C***1                                      LES SS
LES SS
C*****TO C***2 STORES MINIMUM ITEM AND REPLACES IT BY MAXIMUM INTEGER
C***** 1130 CAN HANDLE                   LES SS
LES SS
OUTPT(J) = MIN                             LES SS
2 INPUT(LEAST)=32767                       LES SS
LES SS
C***2                                      LES SS
LES SS
WRITE(IPRNT,101)                           LES SS
WRITE(IPRNT,100) OUTPT                    LES SS
CALL EXIT                                  LES SS
END                                         LES SS
LES SS
FEATURES SUPPORTED
ONE WORD INTEGERS
IOCS
CORE REQUIREMENTS FOR
COMMON 0 VARIABLES 2018 PROGRAM 168
END OF COMPILATION
// XEQ 1 LES SS
*FILES(2,RNDMO) LES SS

```

L.G. UNDERHILL *** SELECTION AND EXCHANGE SORT VERSION 2 ***

```

INTEGER INOUT(1000)
DATA IPRNT/5/
DEFINE FILE2 (1000,1,U,KREC)
100 FORMAT (IX,12I10)
101 FORMAT(' *****')
N = 1000
READ(2*1) (INOUT(I), I= 1,N)
WRITE(IPRNT,101)

C***** N-1 PASSES THROUGH DATA (ON (N-1)TH PASS FINAL PAIR OF ITEMS
C*****ORDERED)

DO 1 J = 2,N
J1 = J-1

C*****SET MIN TO FIRST ITEM OF UNSORTED SUBLIST
C*****SET LEAST TO POINT TO THIS ITEM
MIN = INOUT(J1)
LEAST = J1

C*****TO C***1 DETERMINES MINIMUM ITEM AND ITS LOCATION IN SUBLIST
DO 4 K = J,N
IF (INOUT(K)-MIN) 3, 4, 4
3 MIN = INOUT(K)
LEAST=K
4 CONTINUE

C***1

C*****TO C***2 EXCHANGES MINIMUM ITEM WITH FIRST ITEM OF SUBLIST
C*****SORTED SUBLIST GROWS BY ONE ITEM, UNSORTED SUBLIST SHRINKS ONE
C*****ITEM

ISAVE = INOUT(J1)
INOUT(J1) = INOUT(LEAST)
1 INOUT(LEAST)=ISAVE

C***2

WRITE(IPRNT,101)
WRITE(IPRNT,100) INOUT
CALL EXIT
END

FEATURES SUPPORTED
ONE WORD INTEGERS
IOCS

CORE REQUIREMENTS FOR
COMMON 0 VARIABLES 1020 PROGRAM 200

END OF COMPILATION

// XEQ 1

```

LGU SES

L.G. UNDERHILL *** SORTING BY COUNTING VERSION 3 ***

```

INTEGER ISORT(1000)                                LGU CS
INTEGER LIST(1000),KOUNT(1000)                    LGU CS
DATA KOUNT,IPRNT / 1000*1,5/                      LGU CS
DEFINE FILE 1(1000,1,U,KREC)                      LGU CS
101 FORMAT(' *****')                          LGU CS
100 FORMAT (1X,12I10)                              LGU CS
READ(1,1) LIST                                     LGU CS
WRITE (IPRNT,101)                                  LGU CS
N = 1000                                           LGU CS

C*****ALL COUNTERS IN ARRAY KOUNT PRESET TO ONE BY DATA STATEMENT
                                                    LGU CS
                                                    LGU CS
C***** N-1 PASSES (FIRST PASS DEALS WITH TWO ITEMS)
DO 5 I=2,N                                         LGU CS
                                                    LGU CS
C*****THESE INSTRUCTIONS SAVE THE COMPUTER REFERENCING THE SAME
C*****DIMENSIONED ITEM REPEATEDLY - A TIME CONSUMING OPERATION ON
C*****THE IBM 1130
LISTI = LIST(I)                                    LGU CS
KOUNI = KOUNT(I)                                   LGU CS
                                                    LGU CS
C*****TO C***1 COMPARES I TH ITEM OF LIST WITH ALL PREVIOUS ITEMS AND
C*****INCREMENTS COUNTERS IN KOUNT ACCORDING TO THE RULE - ADD ONE
C*****TO THE COUNTER CORRESPONDING TO THE LARGER ITEM
I1=I-1                                             LGU CS
DO 2 J=1,I1                                       LGU CS
IF(LISTI-LIST(J)) 1, 3, 3                          LGU CS
3 KOUNI =KOUNI+1                                    LGU CS
GO TO 2                                             LGU CS
1 KOUNT(J)=KOUNT(J)+1                              LGU CS
2 CONTINUE                                         LGU CS
5 KOUNT(I) = KOUNI                                  LGU CS
                                                    LGU CS
C***1                                             LGU CS
                                                    LGU CS
C*****TO C***2 USES FINAL VALUES OF THE COUNTERS TO ORDER THE LIST
DO 4 J=1,N                                         LGU CS
KNTJ = KOUNT(J)                                    LGU CS
4 ISORT(KNTJ) = LIST(J)                            LGU CS
                                                    LGU CS
C***2                                             LGU CS
                                                    LGU CS
WRITE(IPRNT,101)                                    LGU CS
WRITE (IPRNT,100) ISORT                            LGU CS
CALL EXIT                                          LGU CS
END                                                 LGU CS

```

FEATURES SUPPORTED
ONE WORD INTEGERS
IOCS

CORE REQUIREMENTS FOR
COMMON 0 VARIABLES 3020 PROGRAM 210

END OF COMPILATION

L.G. UNDERHILL *** BASIC INSERTION SORT ***

```

INTEGER LIST(1000), SHIFT
DEFINE FILE 1 (1000,1,U,KREC)
DATA IPRNT /5/
100 FORMAT (' ',12I10)
101 FORMAT(' *****')
READ (1,1) LIST
WRITE (IPRNT,101)
DO 5 J=2,1000
SHIFT = 0
LISTJ = LIST(J)
J1 =J-1
DO 1 K=1,J1
C*****WHILE SHIFT IS ZERO WE ARE STILL SEARCHING FOR POSITION OF NEW
C*****ITEM. IF SHIFT IS NON ZERO WE ARE IN SHIFTING PHASE.
IF(SHIFT) 4, 3, 4
C*****IF NEW ITEM IS LARGER, EXAMINE NEXT ITEM
C*****IF NEW ITEM IS SMALLER, START SHIFTING
3 IF(LISTJ - LIST(K)) 2, 1, 1
C***** M MARKS POSITION AT WHICH NEW ITEM IS TO BE INSERTED
2 M=K
SHIFT = 1
C*****GO TO BOTTOM OF SORTED SUBLIST, START SHIFTING THERE AND WORK
C*****BACKWARDS TO POSITION MARKER M
4 MJK =M+J-K
LIST(MJK)=LIST(MJK-1)
1 CONTINUE
C*****IF AT THIS STAGE SHIFT IS STILL ZERO, NEW ITEM IS ALREADY IN
C*****CORRECT POSITION
IF (SHIFT) 6, 5, 6
6 LIST(M) = LISTJ
5 CONTINUE
WRITE (IPRNT,101)
WRITE(IPRNT,100) LIST
CALL EXIT
END

```

FEATURES SUPPORTED
ONE WORD INTEGERS
IOCS

CORE REQUIREMENTS FOR
COMMON 0 VARIABLES 1020 PROGRAM 192

END OF COMPILATION

```

// XEQ 1 LGU IS
*FILES(1,RNDMO) LGU IS

```

```

*****
*****

```


L.G. UNDERHILL *** BINARY INSERTION SORT ***

```

6 P=1
C*****3
C*****THIS FORMULA CALCULATES THE NUMBER OF ITEMS THAT REQUIRE SHIFTING
C*****IT IS A FUNCTION OF J THE CURRENT LENGTH OF THE SUBLIST, THE
C*****POSITION K AT WHICH THE LAST COMPARISON OCCURRED AND P WHICH
C*****MAKES THE ADJUSTMENT FOR PLACING THE NEW ITEM ABOVE OR BELOW
C***** LIST(K)
2 MOVES=J-K-(P+1)/2
C*****TREAT SPECIAL CASE WHEN NUMBER OF MOVES IS ZERO SEPARATELY
C*****OTHERWISE START SHIFTING AT TOP OF SORTED SUBLIST AND FINALLY
C*****MOVE THE NEW ITEM STORED IN SAVE INTO ITS CORRECT POSITION
IF (MOVES) 9, 9,10
9 LIST(J)=SAVE
GO TO 1
10 DO 8 M=1,MOVES
JM= J-M
8 LIST(JM+1)=LIST(JM)
KP=K+(P+1)/2
LIST(KP)=SAVE
1 CONTINUE
C*****4
WRITE(IPRNT,101)
WRITE(IPRNT,100) (LIST(J),J=1,N)
CALL EXIT
END
FEATURES SUPPORTED
ONE WORD INTEGERS
IOCS
CORE REQUIREMENTS FOR
COMMON 0 VARIABLES 1024 PROGRAM 310
END OF COMPILATION
// XEQ 1
*FILES(1,RNDMO)

```

```

*****
*****

```

| | | | | | | | | |
|------|------|------|------|------|------|------|------|------|
| 11 | 35 | 43 | 73 | 75 | 91 | 131 | 187 | 195 |
| 353 | 355 | 385 | 403 | 435 | 483 | 523 | 563 | 579 |
| 729 | 747 | 771 | 779 | 849 | 899 | 923 | 953 | 961 |
| 1051 | 1099 | 1131 | 1145 | 1169 | 1171 | 1225 | 1227 | 1241 |
| 1353 | 1403 | 1497 | 1505 | 1539 | 1547 | 1705 | 1707 | 1745 |
| 1811 | 1819 | 1849 | 1851 | 1859 | 1889 | 2059 | 2129 | 2131 |

L.G. UNDERHILL * BINARY INSERTION SORT WITH RETARD/ADVANCE *

```

INTEGER LIST(1000),SORT(2000),ZIP,P
DEFINE FILE 1(1000,1,U,KREC)
DATA IPRNT/5/
100 FORMAT(' ',12I10)
101 FORMAT(' *****')
WRITE(IPRNT,101)
N = 1000
READ(1'1) ( LIST(J), J = 1,N)

C*****PLACE FIRST ITEM OF ARRAY TO BE SORTED AT MIDDLE OF ARRAY SORT
SORT(1000)=LIST(1)

C***** ITOP AND IBOT MARK THE LIMITS OF SORTED SUBLIST IN ARRAY
ITOP = 1000
IBOT = 1000

DO 1 J=2,N
LISTJ =LIST(J)

C***** K , P AND L ARE AS BINARY INSERTION SORT

K=IBOT - 1
P=1
ZIP = 1
ITEST = 1
L=J
4 IF (L-1) 2, 2, 3
3 L = (L+1)/2
K=K+L*P
IF (K - IBOT) 5,17,17
17 IF (K - ITOP) 18,18, 7

18 IF (SORT(K)-LISTJ) 5, 6, 7
5 P=1
GO TO 12
7 P=-1
12 IF (ITEST) 4, 4,11
11 ITEST = 0

C***** ZIP DETERMINES WHETHER WE RETARD OR ADVANCE
C*****AFTER THE FIRST COMPARISON ZIP IS SET EQUAL TO THE CURRENT
C*****VALUE OF P
ZIP = P
GO TO 4
6 P=1

C*****ADJUSTS LIMITS OF SORTED ARRAY
2 IBOT = IBOT-(1-ZIP)/2
ITOP = ITOP+(1+ZIP)/2

C*****COMPUTES NUMBER OF SHIFTS UP OR DOWN REQUIRED
MOVES = (1-ZIP)*(K-IBOT-(1-P)/2)/2
1 + (ZIP+1)*(ITOP-K-(P+1)/2)/2

C*****TREAT SPECIAL CASE OF NO MOVES (ITEM GOES AT LIMITS) SEPARATELY
IF (MOVES) 9, 9,10

C*****TREAT SHIFTS UP OR DOWN SEPARATELY
10 IF (ZIP) 14,15,15

```


L.G. UNDERHILL ** QUADRATIC SELECTION WITHOUT PRESORT VERSION 3 **

```

INTEGER LIST(33,32),SORT(1000),PLACE,AUX,ITMIN(33)          LES QS
DEFINE FILE 1(1000,1,U,KREC)                                  LES QS
DATA PLACE/1/,IMP/0/,IPRNT/5/                                LES QS
DATA MAX/32767/                                               LES QS
100 FORMAT(' ',12I10)                                         LES QS
101 FORMAT(' *****')                                       LES QS
C***** ITEMS TOTAL NUMBER OF ELEMENTS TO BE SORTED         LES QS
ITEMS = 1000                                                  LES QS
ITEMS = 800                                                  LES QS
WRITE (IPRNT,101)                                           LES QS
                                                             LES QS
C*****DETERMINE NUMBER OF ITEMS IN EACH SUBLIST            LES QS
C*****SUBLISTS HAVE UP TO TWO ELEMENTS LESS THAN THE ROUNDING OFF TO LES QS
C*****THE NEXT INTEGER OF THE SQUARE ROOT OF ITEMS        LES QS
C***** ITMIN(J) NUMBER OF ITEMS IN J TH SUBLIST          LES QS
LISTS = IFIX( SQRT(FLOAT(ITEMS))+1.000001)                   LES QS
IF ((LISTS-1)**2-ITEMS) 19,18,16                             LES QS
18 LISTS = LISTS-1                                           LES QS
LOVER = 0                                                     LES QS
GO TO 10                                                       LES QS
19 LOVER = LISTS**2-ITEMS                                     LES QS
IF (LOVER-LISTS) 10,10,11                                     LES QS
11 IMP = 1                                                    LES QS
10 LIMP = LISTS-IMP                                           LES QS
NOVER = LOVER-IMP*LISTS                                       LES QS
DO 1 J=1,LISTS                                               LES QS
1 ITMIN(J) = LIMP                                             LES QS
IF (NOVER) 16,21,20                                          LES QS
20 LIMP = LIMP-1                                             LGU QS
DO 2 J=1,NOVER                                               LES QS
DO 2 J=1,NOVER                                               LES QS
2 ITMIN(J) = LIMP                                             LES QS
                                                             LES QS
C*****FORM SUBLISTS                                         LES QS
                                                             LES QS
21 READ (1*1)(SORT(J),J=1,ITEMS)                             LES QS
IMP = 1                                                       LES QS
DO 23 J=1,LISTS                                              LES QS
ITEMJ=ITMIN(J)                                               LES QS
DO 22 K=1,ITEMJ                                              LES QS
LIST(J,K)=SORT(IMP)                                          LES QS
22 IMP = IMP+1                                               LES QS
23 CONTINUE                                                  LES QS
                                                             LES QS
C*****FORM AUXILIARY LIST - FIND MINIMAL ELEMENT IN EACH SUBLIST LES QS
                                                             LES QS
AUX = LISTS+1                                                 LES QS
ITMIN(AUX) = LISTS                                           LES QS
DO 5 K=1,LISTS                                              LES QS
GO TO 3                                                       LES QS
8 LIST(AUX,K) = MIN                                          LES QS
5 LIST(K,LEAST)=MAX                                          LES QS

```


L.G. UNDERHILL *** TOURNAMENT SORT ***

```

INTEGER LIST(2500),SORT(1000),TABLE(15)
DATA IPRNT,M,MAX /5,2,32767/
DEFINE FILE 1(1000,1,U,KREC)
100 FORMAT(' ',12I10)
101 FORMAT(' *****')
WRITE (IPRNT,101)

C-----THESE COMMENTS ARE A GENERAL DESCRIPTION OF THE PROGRAM
C-----BETWEEN C*****1 AND C*****2

C***** TABLE(M) STORES THE LOCATION OF THE START OF THE M TH SUBLIST
C*****IT IS ALWAYS EVEN

C***** J POINTS TO POSITION WHERE CURRENT COMPARISON IS TAKING PLACE
C*****IN (M-1)TH SUBLIST

C***** JDASH POINTS TO POSITION IN M TH SUBLIST WHERE THE WINNER OF
C*****THIS COMPARISON IS STORED

C***** J INCREASES IN STEPS OF TWO. IT IS ALWAYS AN EVEN NUMBER. IT
C*****ALWAYS POINTS TO THE FIRST OF THE TWO ITEMS BEING COMPARED

C***** JDASH IS INCREMENTED BY ONE

C*****WHEN J BECOMES EQUAL TO TABLE(M) THE (M-1) TH SUBLIST IS
C*****EXHAUSTED, THE M TH SUBLIST IS COMPLETE, AND THE FIRST
C*****EVEN-NUMBERED CELL AFTER JDASH BECOMES TABLE(M+1)

C*****NOTE THAT THE M TH SUBLIST IS APPROXIMATELY HALF THE LENGTH OF
C*****THE (M-1) TH SUBLIST

C*****NOTE THAT IN ALL SUBLISTS (OTHER THAN THE FIRST) THE ADDRESSES
C*****ARE STORED, AND NOT THE KEYS THEMSELVES

C*****FIRST ITEM SET GREATER THAN MAXIMUM POSSIBLE SORT KEY
LIST(1) = MAX

N = 1000
N1 = N+1
READ(1'1) (LIST(J),J=2,N1)
J=2

C*****INITIAL SETTING OF JDASH TO FIRST EVEN NUMBER AFTER N
LIST(N+2) = MAX
JDASH = 2*((N+3)/2)

C*****1

7 TABLE(M) = JDASH

C*****SINCE FIRST SUBLIST CONTAINS KEYS IT IS TREATED SEPARATELY
20 IF (M-2) 8, 8, 9
8 KO = J

```


L.G. UNDERHILL *** TOURNAMENT SORT ***

```

IF(M-MM+1)          11,11,15          LGU TS
C***** KO GIVES POSITION IN (MM-1) TH SUBLIST RELATIVE TO TABLE(MM-1) LGU TS
C***** K1 GIVES POSITION IN M TH SUBLIST RELATIVE TO TABLE(MM)      LGU TS
                                LGU TS
15 KO = K1          LGU TS
   K1 = K0/2       LGU TS
   IF (K0-2*K1)    16,16,17         LGU TS
17 KO = K0-1       LGU TS
                                LGU TS
C***** JDASH NOW GIVES POSITION IN (MM-1) TH SUBLIST RELATIVE TO
C*****START OF LIST          LGU TS
16 JDASH = TABLE(MM-1)+K0    LGU TS
                                LGU TS
C***** J AND J1 REFER TO LOCATIONS IN FIRST SUBLIST WHERE THE SORT
C*****KEYS THEMSELVES ARE STORED LGU TS
   J = LIST(JDASH)          LGU TS
   J1 = LIST(JDASH+1)       LGU TS
                                LGU TS
C***** JDASH NOW GIVES POSITION IN MM TH SUBLIST RELATIVE TO START
C*****OF LIST              LGU TS
   JDASH = TABLE(MM) + K1  LGU TS
                                LGU TS
C*****COMPARISON TO SEE WHICH ITEM GOES FORWARD TO MM TH SUBLIST
   IF (LIST(J)-LIST(J1)) 18,18,19 LGU TS
18 LIST(JDASH) = J          LGU TS
   GO TO 14                 LGU TS
19 LIST(JDASH) = J1         LGU TS
   GO TO 14                 LGU TS
                                LGU TS
11 CONTINUE                LGU TS
   WRITE (IPRNT,101)        LGU TS
   WRITE (IPRNT,100) SORT   LGU TS
   CALL EXIT                LGU TS
   END                      LGU TS

```

FEATURES SUPPORTED
ONE WORD INTEGERS
IOCS

CORE REQUIREMENTS FOR
COMMON 0 VARIABLES 3540 PROGRAM 516

END OF COMPILATION

```

// XEQ          1          LGU TS
*FILES(1,RNDMD)          LGU TS

```


| | | | | | | | | |
|------|------|------|------|------|------|------|------|------|
| 11 | 35 | 43 | 73 | 75 | 91 | 131 | 187 | 195 |
| 353 | 355 | 385 | 403 | 435 | 483 | 523 | 563 | 579 |
| 729 | 747 | 771 | 779 | 849 | 899 | 923 | 953 | 961 |
| 1051 | 1099 | 1131 | 1145 | 1169 | 1171 | 1225 | 1227 | 1241 |
| 1353 | 1403 | 1497 | 1505 | 1539 | 1547 | 1705 | 1707 | 1745 |
| 1811 | 1819 | 1849 | 1851 | 1859 | 1889 | 2059 | 2129 | 2131 |
| 2169 | 2227 | 2235 | 2315 | 2355 | 2419 | 2441 | 2505 | 2515 |
| 2579 | 2625 | 2633 | 2659 | 2673 | 2675 | 2713 | 2731 | 2753 |

L.G. UNDERHILL *** NATURAL TWO-WAY MERGE ***

```

INTEGER LIST(4,1001) ,OUT1,OUT2
DATA ISTAR /32767/
DATA ITE /500/
DATA NIP,OUT1,OUT2/3,1,2/, IPRNT /5/
DEFINE FILE 1(1000,1,U,KREC)
100 FORMAT (' ',12I10)
101 FORMAT(' *****')
WRITE (IPRNT,101)

C*****SPREADS DATA OVER TWO LISTS
READ(I'1) ((LIST(I,J),J=1,ITE) ,I=1,2)

C*****PLACES END OF FILE MARK AT END OF LISTS
ITE = ITE + 1
DO 20 I=1,2
20 LIST(I,ITE) = ISTAR

C***** IA AND IB MARK POSITIONS IN THE LISTS OUT1 AND OUT2 FROM
C*****WHICH DATA IS BEING TAKEN
18 IA = 1
IB= 1

C***** IX MARKS THE POSITION IN THE LIST INTO WHICH DATA IS CURRENTLY
C*****BEING PLACED
IX = 1

C***** IY MARKS POSITION IN ALTERNATE OUTPUT LIST
IY = 1

IP = 1
IE = 1

C***** NIP TELLS WHICH PAIR OF LISTS ARE CURRENTLY IN USE FOR OUTPUT
IN = NIP

C*****NO STEPDOWN - TESTS WHICH ITEM SHOULD BE OUTPUTTED
4 IF (LIST(OUT1,IA)-LIST(OUT2,IB)) 1, 3, 3
1 LIST (IN,IX) = LIST(OUT1,IA)
IA = IA + 1
IX = IX + 1

C*****TESTS FOR END OF LIST AND ROLLOUT
IF (LIST(OUT1,IA)-ISTAR) 2,10, 2

C*****TESTS FOR SINGLE STEPDOWN
2 IF (LIST(OUT1,IA) - LIST(OUT1,IA-1)) 11, 4, 4

3 LIST(IN,IX) = LIST(OUT2,IB)
IB = IB + 1
IX = IX + 1
IF (LIST(OUT2,IB) - ISTAR) 5,12, 5
5 IF (LIST(OUT2,IB)- LIST(OUT2,IB-1)) 13, 4, 4

```

L.G. UNDERHILL *** NATURAL TWO-WAY MERGE ***

```

13 LIST(IN,IX) = LIST(OUT1,IA)          LGU N2WM
   IA = IA + 1                          LGU N2WM
   IX = IX + 1                          LGU N2WM
   IF (LIST(OUT1,IA) - LIST(OUT1,IA-1)) 14, 6, 6  LGU N2WM
6  IF (LIST(OUT1,IA) - ISTAR)           13,10,13 LGU N2WM
10 IE = 2                               LGU N2WM
   GO TO 15                             LGU N2WM
11 LIST(IN,IX) = LIST(OUT2,IB)         LGU N2WM
   IB = IB + 1                          LGU N2WM
   IX = IX + 1                          LGU N2WM
                                           LGU N2WM
C*****TESTS FOR DOUBLE STEPDOWN      LGU N2WM
                                           LGU N. WM
   IF (LIST(OUT2,IB) - LIST(OUT2,IB-1)) 14, 7, 7  LGU N2WM
7  IF (LIST(OUT2,IB) - ISTAR)           11,12,11 LGU N2WM
12 IE = 3                               LGU N2WM
   GO TO 16                             LGU N2WM
                                           LGU N2WM
C*****CHANGE TO OTHER OUTPUT LIST    LGU N2WM
                                           LGU N2WM
14 IN = IN + IP                         LGU N2WM
   IP = -IP                             LGU N2WM
   ISAVE = IX                           LGU N2WM
   IX = IY                               LGU N2WM
   IY = ISAVE                           LGU N2WM
                                           LGU N2WM
C***** IE = 1  UNTIL AN END OF FILE MARK ENCOUNTERED  LGU N2WM
C***** IE = 2  ROLLOUT FROM LIST OUT2                LGU N2WM
C***** IE = 3  ROLLOUT FROM LIST OUT1                LGU N2WM
   GO TO (4,8,9),  IE                             LGU N2WM
                                           LGU N2WM
C*****ROLLOUT FROM LIST OUT2          LGU N2WM
                                           LGU N2WM
8  LIST(IN,IX) = LIST(OUT2,IB)         LGU N2WM
   IB = IB + 1                          LGU N2WM
   IX = IX + 1                          LGU N2WM
                                           LGU N2WM
C*****TEST FOR END OF LIST OUT2      LGU N2WM
   IF (LIST(OUT2,IB) - ISTAR)           15,17,15 LGU N2WM
                                           LGU N2WM
C*****ASSIGN SORTED STRINGS TO ALTERNATE OUTPUT LISTS  LGU N2WM
15 IF (LIST(OUT2,IB) - LIST(OUT2,IB-1)) 14, 8,8  LGU N2WM
                                           LGU N2WM
9  LIST(IN,IX) = LIST(OUT1,IA)         LGU N2WM
   IA = IA + 1                          LGU N2WM
   IX = IX + 1                          LGU N2WM
   IF (LIST(OUT1,IA) - ISTAR)           16,17,16 LGU N2WM
16 IF (LIST(OUT1,IA) -LIST(OUT1,IA-1)) 14, 9, 9  LGU N2WM
                                           LGU N2WM
C*****PLACE END OF FILE MARKERS ON OUTPUT LISTS      LGU N2WM
17 LIST(IN,IX) = ISTAR                 LGU N2WM
   IN = IN + IP                         LGU N2WM
   LIST(IN,IY) = ISTAR                  LGU N2WM
                                           LGU N2WM
C*****SWOP INPUT LISTS FOR OUTPUT LISTS  LGU N2WM

```

L.G. UNDERHILL *** NATURAL TWO-WAY MERGE ***

```

ISAVE = OUT1
OUT1 = NIP
NIP = ISAVE
OUT2 = OUT1 + 1

```

```

LGU N2WM
LGU N2WM
LGU N2WM
LGU N2WM
LGU N2WM
LGU N2WM
LGU N2WM
LGU N2WM
LGU N2WM
LGU N2WM

```

```

C*****TEST IF ALL ITEMS ARE ON ONE OUTPUT LIST
IF (IX - 2*ITE + 1) 18,19,19

```

```

19 WRITE (IPRNT,101)
WRITE (IPRNT,100) (LIST(OUT1,K),K=1,1000)
CALL EXIT
END

```

FEATURES SUPPORTED
ONE WORD INTEGERS
IOCS

CORE REQUIREMENTS FOR
COMMON 0 VARIABLES 4032 PROGRAM 738

END OF COMPILATION

```
// XEQ 1 LGU N2WM
```

```
*FILES(1,RNOMO). LGU N2WM
```


| | | | | | | | | |
|-------|-------|-------|-------|-------|-------|-------|-------|-------|
| 11 | 35 | 43 | 73 | 75 | 91 | 131 | 187 | 195 |
| 353 | 355 | 385 | 403 | 435 | 483 | 523 | 563 | 579 |
| 729 | 747 | 771 | 779 | 849 | 899 | 923 | 953 | 961 |
| 1051 | 1099 | 1131 | 1145 | 1169 | 1171 | 1225 | 1227 | 1241 |
| 1353 | 1403 | 1497 | 1505 | 1539 | 1547 | 1705 | 1707 | 1745 |
| 1811 | 1819 | 1849 | 1851 | 1859 | 1889 | 2059 | 2129 | 2131 |
| 2169 | 2227 | 2235 | 2315 | 2355 | 2419 | 2441 | 2505 | 2515 |
| 2579 | 2625 | 2633 | 2659 | 2673 | 2675 | 2713 | 2731 | 2753 |
| 2817 | 2827 | 2841 | 2921 | 2961 | 2971 | 3025 | 3041 | 3083 |
| 3185 | 3225 | 3257 | 3313 | 3315 | 3339 | 3347 | 3353 | 3425 |
| 3491 | 3497 | 3571 | 3601 | 3713 | 3737 | 3747 | 3755 | 3785 |
| 3899 | 3913 | 3931 | 3961 | 4003 | 4017 | 4019 | 4033 | 4099 |
| 4273 | 4305 | 4361 | 4529 | 4539 | 4571 | 4577 | 4585 | 4603 |
| 4779 | 4899 | 4947 | 4961 | 4963 | 4985 | 5001 | 5065 | 5091 |
| 5289 | 5331 | 5393 | 5425 | 5475 | 5561 | 5625 | 5633 | 5681 |
| 5811 | 5889 | 5931 | 5937 | 5939 | 5979 | 6001 | 6003 | 6019 |
| 6203 | 6259 | 6345 | 6363 | 6441 | 6473 | 6513 | 6529 | 6545 |
| 6665 | 6683 | 6777 | 6779 | 6787 | 6803 | 6825 | 6851 | 6899 |
| 6993 | 7105 | 7147 | 7155 | 7185 | 7267 | 7273 | 7305 | 7395 |
| 7563 | 7571 | 7603 | 7625 | 7731 | 7763 | 7771 | 7779 | 7801 |
| 7889 | 7931 | 7979 | 8041 | 8059 | 8075 | 8089 | 8131 | 8147 |
| 8217 | 8233 | 8251 | 8331 | 8337 | 8339 | 8353 | 8355 | 8411 |
| 8601 | 8603 | 8611 | 8617 | 8705 | 8729 | 8731 | 8793 | 8843 |
| 8937 | 8977 | 8979 | 9049 | 9099 | 9113 | 9121 | 9225 | 9241 |
| 9345 | 9347 | 9355 | 9395 | 9411 | 9457 | 9507 | 9523 | 9561 |
| 9601 | 9611 | 9643 | 9699 | 9747 | 9763 | 9785 | 9795 | 9817 |
| 9865 | 9867 | 9889 | 9987 | 10025 | 10049 | 10083 | 10107 | 10123 |
| 10379 | 10409 | 10417 | 10483 | 10555 | 10577 | 10579 | 10603 | 10635 |
| 10673 | 10691 | 10739 | 10769 | 10891 | 10897 | 10929 | 10963 | 10977 |

L.G. UNDERHILL *** ADDRESS SORT ***

```

INTEGER LIST(1000)
INTEGER ADRES, PLACE(3200)
DEFINE FILE 2(1000,1 ,U,KREC)
DATA PLACE/3200*-1/, IPRNT/5/ ,K/0/
101 FORMAT(' *****')
102 FORMAT (1X,12I10)
WRITE(IPRNT,101)
READ (2*1) LIST
DC 1 J =1,1000

C*****ADDRESS CALCULATION ALGORITHM
ADRES = 3000.*LIST(J)/32767. + 100
ITEM = LIST(J)

C*****ARRAY PLACE IS INITIALISED TO -1
C*****TESTS TO SEE IF PLACE(ADRES) IS OCCUPIED
IF (PLACE(ADRES)+1) 2, 1, 2

C*****REFER TO DESCRIPTION AND FLOWCHART
2 KOUNT=0
IF (PLACE(ADRES)-ITEM) 4, 4, 3
4 ADRES=ADRES+1
IF (PLACE(ADRES)+1) 5, 6, 5
5 IF (PLACE(ADRES)-ITEM) 4, 4, 8
8 KOUNT=KOUNT+1
GO TO 4
6 IF (KOUNT) 1, 1, 9
9 ADRES=ADRES-1
PLACE(ADRES+1)=PLACE(ADRES)
KOUNT=KOUNT-1
GO TO 6
3 ADRES=ADRES-1
IF (PLACE(ADRES)+1) 11,12,11
11 IF (PLACE(ADRES)-ITEM) 7, 3, 3
7 KOUNT=KOUNT+1
GO TO 3
12 IF (KOUNT) 1, 1,10
10 ADRES=ADRES+1
PLACE(ADRES-1)=PLACE(ADRES)
KOUNT=KOUNT-1
GO TO 12
1 PLACE(ADRES)=ITEM

DO 13 J = 1,3200
IF (PLACE(J)) 13,13,14
14 K=K+1
PLACE(K)=PLACE(J)
13 CONTINUE

WRITE(IPRNT,101)
WRITE(IPRNT,102) (PLACE(J),J=1,1000)
CALL EXIT
END

```

FEATURES SUPPORTED
ONE WORD INTEGERS
IOCS

CORE REQUIREMENTS FOR
COMMON 0 VARIABLES 4220 PROGRAM 368

L.G. UNDERHILL * ADDRESS SORT FOR DATA WITH CENTRAL TENDENCY *

```

SUBROUTINE ADSOR(TABLE,N,A,R)
C*****ARRAY TABLE CONTAINS VALUES RELATED TO NORMAL DISTRIBUTION.
C***** N NUMBER OF ITEMS
C*****ARRAY A CONTAINS ITEMS TO BE SORTED
C*****ARRAY R RETURNS RANKINGS OF ITEMS IN ARRAY A

INTEGER SAVE,R(1000),TABLE(61),ADRES,PLACE(3000),TABZP
REAL LDEV,LLDEV, MEAN, NOR01, ITEM, A(1000)
EQUIVALENCE (AMEAN,NOR01),(SAVE,ADRES)

C-----SECTION ONE - PRELIMINARY CALCULATIONS

C*****INITIALISE ARRAY PLACE TO ZERO
DO 45 J=1,3000
45 PLACE(J)=0

C*****CALCULATE MEAN OF DATA TO BE SORTED

MEAN = 0.0
DO 71 I = 1,N
71 MEAN = MEAN + A(I)
MEAN = MEAN/FLOAT(N)

C*****CALCULATE APPROXIMATION TO DEVIATIONS TO LEFT AND RIGHT OF THE
C*****MEAN

LDEV = 0.
RDEV = 0.
DO 72 I = 1,N
ITEM = A(I)
IF (ITEM) 78,72,78
78 AMEAN = ITEM - MEAN
IF (AMEAN) 73,72,74
73 LDEV=LDEV+AMEAN*AMEAN
GOTO 72
74 RDEV=RDEV+AMEAN*AMEAN
72 CONTINUE
RRDEV = SQRT(FLOAT(50*N)/RDEV)
LLDEV = SQRT(FLOAT(50*N)/LDEV)

C-----SECTION TWO - ADDRESS CALCULATION AND DISTRIBUTION OF ITEM NUMBERS
C-----IN ARRAYS PLACE AND R

NORTS = 0
NONEG = 0
DO 111 J=1,N
ITEM = A(J)
IF (ITEM) 41,42,43

C*****COUNT NUMBER OF NEGATIVE ITEMS. DEAL WITH ZERO'S SEPARATELY
C*****BY ENTERING THEIR ITEM NUMBERS IN ARRAY R

41 NONEG = NONEG + 1
GO TO 43
42 NORTS = NORTS + 1
R(NORTS) = J

```


B I B L I O G R A P H Y

The publications which proved most useful to this project in its narrowest sense, that of computer sorting, are listed. Many other books and journal articles dealing with problems in library computerisation were studied. It would be inappropriate to list them here.

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Programmers Manual*.