

Analyzing the complexity of algorithms (II)

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Review: Asymptotic Performance

- *Asymptotic performance*: How does algorithm behave as the problem size gets very large?
 - Running time
 - Memory/storage requirements
 - Remember that we use the RAM model:
 - All memory equally expensive to access
 - No concurrent operations
 - All reasonable instructions take unit time
 - Except, of course, function calls
 - Constant word size
 - Unless we are explicitly manipulating bits

Review: Running Time

- Number of primitive steps that are executed
 - Except for time of executing a function call most statements roughly require the same amount of time
 - We can be more exact if need be
- Worst case vs. average case

An Example: Insertion Sort

```
InsertionSort(A, n) {  
  for i = 2 to n {  
    key = A[i]  
    j = i - 1;  
    while (j > 0) and (A[j] > key) {  
      A[j+1] = A[j]  
      j = j - 1  
    }  
    A[j+1] = key  
  }  
}
```

For any element: find its position in relation to previous elements and insert it there, shifting other elements.

An Example: Insertion Sort

30	10	40	20
1	2	3	4

$i = \emptyset$	$j = \emptyset$	$key = \emptyset$
$A[j] = \emptyset$	$A[j+1] = \emptyset$	




```
InsertionSort(A, n) {  
  for i = 2 to n {  
    key = A[i]  
    j = i - 1;  
    while (j > 0) and (A[j] > key) {  
      A[j+1] = A[j]  
      j = j - 1  
    }  
    A[j+1] = key  
  }  
}
```

An Example: Insertion Sort

30	10	40	20
1	2	3	4

$i = 2$	$j = 1$	$key = 10$
$A[j] = 30$		$A[j+1] = 10$

```
InsertionSort(A, n) {  
  for i = 2 to n {  
    key = A[i]  
    j = i - 1;  
    while (j > 0) and (A[j] > key) {  
      A[j+1] = A[j]  
      j = j - 1  
    }  
    A[j+1] = key  
  }  
}
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An Example: Insertion Sort

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$i = 2$	$j = 1$	$key = 10$
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1	2	3	4

$i = 2$	$j = 0$	$key = 10$
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InsertionSort(A, n) {  
  for i = 2 to n {  
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      A[j+1] = A[j]  
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$i = 2$	$j = 0$	$key = 10$
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An Example: Insertion Sort

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1	2	3	4

$i = 2$	$j = 0$	$key = 10$
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InsertionSort(A, n) {  
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    }  
    A[j+1] = key  
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}
```



An Example: Insertion Sort

10	30	40	20
1	2	3	4

$i = 3$	$j = 0$	$key = 10$
$A[j] = \emptyset$	$A[j+1] = 10$	



```
InsertionSort(A, n) {  
  for i = 2 to n {  
    key = A[i]  
    j = i - 1;  
    while (j > 0) and (A[j] > key) {  
      A[j+1] = A[j]  
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    }  
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An Example: Insertion Sort

10	30	40	20
1	2	3	4

$i = 3$	$j = 0$	$key = 40$
$A[j] = \emptyset$	$A[j+1] = 10$	




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InsertionSort(A, n) {  
    for i = 2 to n {  
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        j = i - 1;  
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An Example: Insertion Sort

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$i = 3$	$j = 0$	$key = 40$
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InsertionSort(A, n) {  
  for i = 2 to n {  
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$i = 4$	$j = 2$	$key = 40$
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An Example: Insertion Sort

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1	2	3	4

$i = 4$	$j = 1$	$key = 20$
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    A[j+1] = key  
  }  
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```




An Example: Insertion Sort

10	20	30	40
1	2	3	4

$i = 4$	$j = 1$	$key = 20$
$A[j] = 10$	$A[j+1] = 20$	

```
InsertionSort(A, n) {  
  for i = 2 to n {  
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    while (j > 0) and (A[j] > key) {  
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}
```



An Example: Insertion Sort

10	20	30	40
1	2	3	4

$i = 4$	$j = 1$	$key = 20$
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```
InsertionSort(A, n) {  
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      j = j - 1  
    }  
    A[j+1] = key  
  }  
}
```

Done!

Insertion Sort

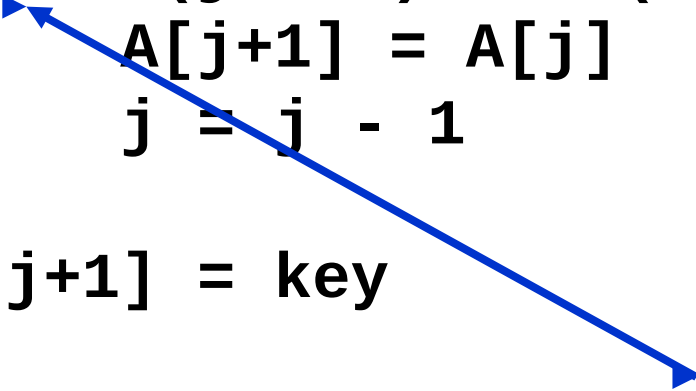
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      j = j - 1  
    }  
    A[j+1] = key  
  }  
}
```

What is the *precondition* for this loop?

Insertion Sort

```
InsertionSort(A, n) {  
  for i = 2 to n {  
    key = A[i]  
    j = i - 1;  
    while (j > 0) and (A[j] > key) {  
      A[j+1] = A[j]  
      j = j - 1  
    }  
    A[j+1] = key  
  }  
}
```

How many times will this loop execute?



Insertion Sort

Statement Effort

```
InsertionSort(A, n) {  
  for i = 2 to n {       $c_1n$   
    key = A[i]           $c_2(n-1)$   
    j = i - 1;          $c_3(n-1)$   
    while (j > 0) and (A[j] > key) {   $c_4T$   
      A[j+1] = A[j]     $c_5(T-(n-1))$   
      j = j - 1       $c_6(T-(n-1))$   
    } 0  
    A[j+1] = key       $c_7(n-1)$   
  } 0  
}
```

$T = t_2 + t_3 + \dots + t_n$ where t_i is number of while expression evaluations for the i^{th} for loop iteration

Analyzing Insertion Sort

- $T(n) = c_1n + c_2(n-1) + c_3(n-1) + c_4T + c_5(T - (n-1)) + c_6(T - (n-1)) + c_7(n-1)$
 $= c_8T + c_9n + c_{10}$
- What can T be?
 - Best case -- inner loop body never executed
 - $t_i = 1 \rightarrow T(n)$ is a linear function
 - Worst case -- inner loop body executed for all previous elements
 - $t_i = i \rightarrow T(n)$ is a quadratic function
 - Average case
 - ???

Analysis

- Simplifications
 - Ignore actual and abstract statement costs
 - *Order of growth* is the interesting measure:
 - Highest-order term is what counts
 - ▢ Remember, we are doing asymptotic analysis
 - ▢ As the input size grows larger it is the high order term that dominates

Upper Bound Notation

- We say InsertionSort's run time is $O(n^2)$
 - Properly we should say run time is *in* $O(n^2)$
 - Read O as “Big- O ” (you'll also hear it as “order”)
- In general a function
 - $f(n)$ is $O(g(n))$ if there exist positive constants c and n_0 such that $f(n) \leq c \cdot g(n)$ for all $n \geq n_0$
- Formally
 - $O(g(n)) = \{ f(n): \exists \text{ positive constants } c \text{ and } n_0 \text{ such that } f(n) \leq c \cdot g(n) \forall n \geq n_0$

Insertion Sort Is $O(n^2)$

- Proof

- Suppose runtime is $an^2 + bn + c$
 - If any of a , b , and c are less than 0 replace the constant with its absolute value
- $an^2 + bn + c \leq (a + b + c)n^2 + (a + b + c)n + (a + b + c)$
- $\leq 3(a + b + c)n^2$ for $n \geq 1$
- Let $c' = 3(a + b + c)$ and let $n_0 = 1$

- Question

- Is InsertionSort $O(n^3)$?
- Is InsertionSort $O(n)$?

Big O Fact

- A polynomial of degree k is $O(n^k)$

- Proof:

- Suppose $f(n) = b_k n^k + b_{k-1} n^{k-1} + \dots + b_1 n + b_0$

- Let $a_i = |b_i|$

- $f(n) \leq a_k n^k + a_{k-1} n^{k-1} + \dots + a_1 n + a_0$

$$\leq n^k \sum a_i \frac{n^i}{n^k} \leq n^k \sum a_i \leq cn^k$$

Lower Bound Notation

- We say **InsertionSort's** run time is $\Omega(n)$
- In general a function
 - $f(n)$ is $\Omega(g(n))$ if \exists positive constants c and n_0 such that $0 \leq c \cdot g(n) \leq f(n) \quad \forall n \geq n_0$
- Proof:
 - Suppose run time is $an + b$
 - Assume a and b are positive (what if b is negative?)
 - $an \leq an + b$

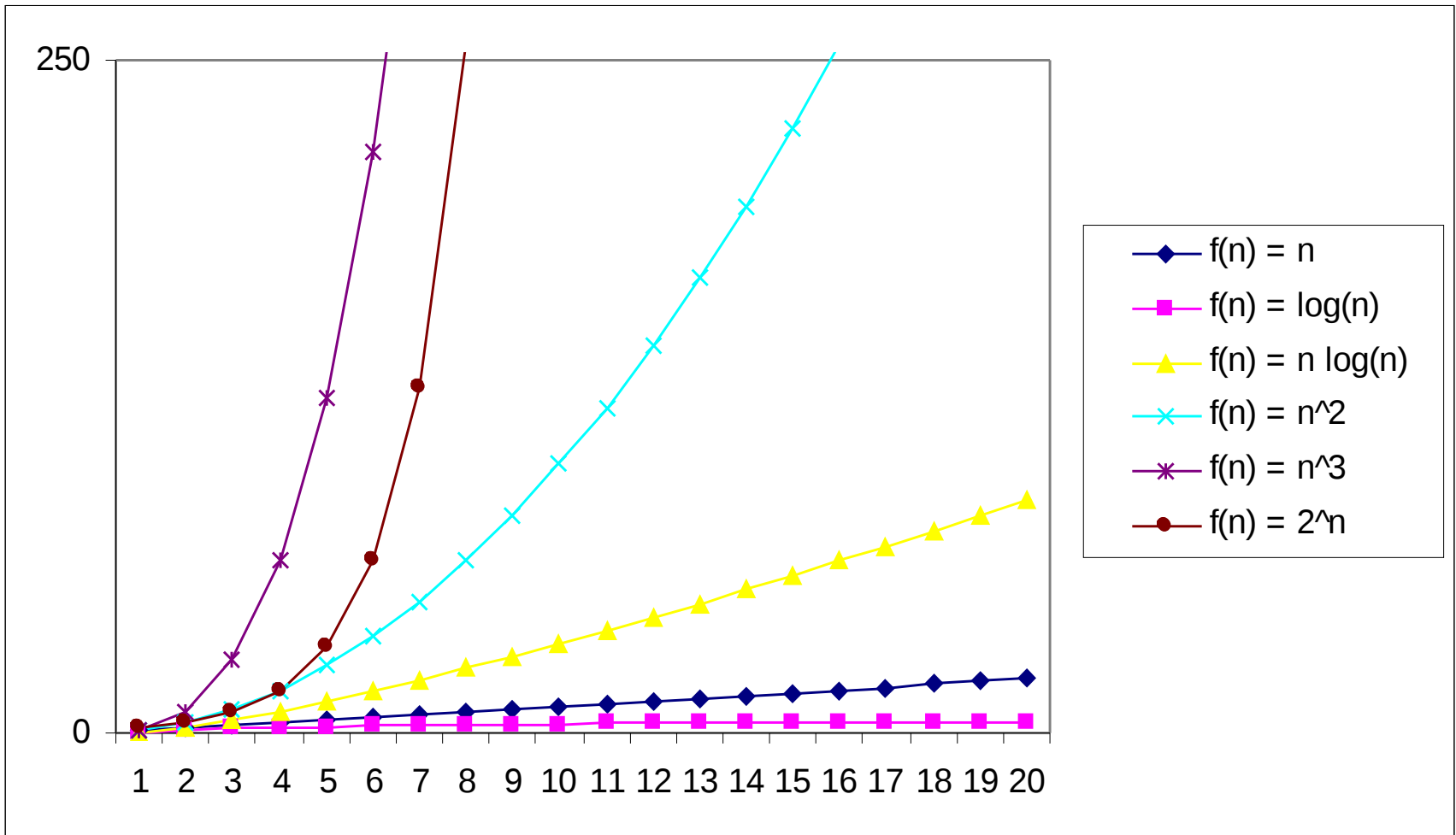
Asymptotic Tight Bound

- A function $f(n)$ is $\Theta(g(n))$ if \exists positive constants c_1 , c_2 , and n_0 such that

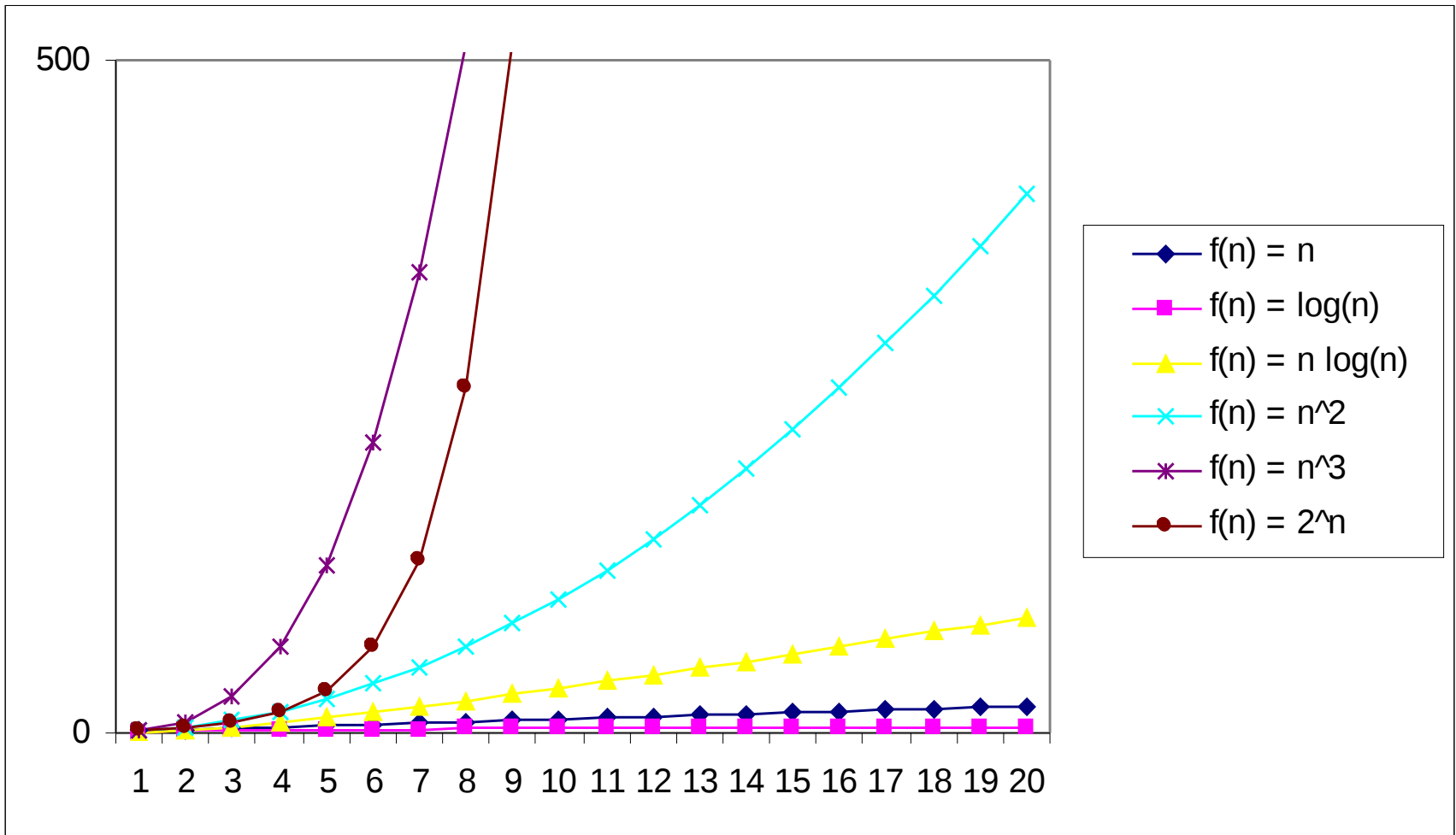
$$c_1 g(n) \leq f(n) \leq c_2 g(n) \quad \forall n \geq n_0$$

- Theorem
 - $f(n)$ is $\Theta(g(n))$ iff $f(n)$ is both $O(g(n))$ and $\Omega(g(n))$
 - Proof: someday

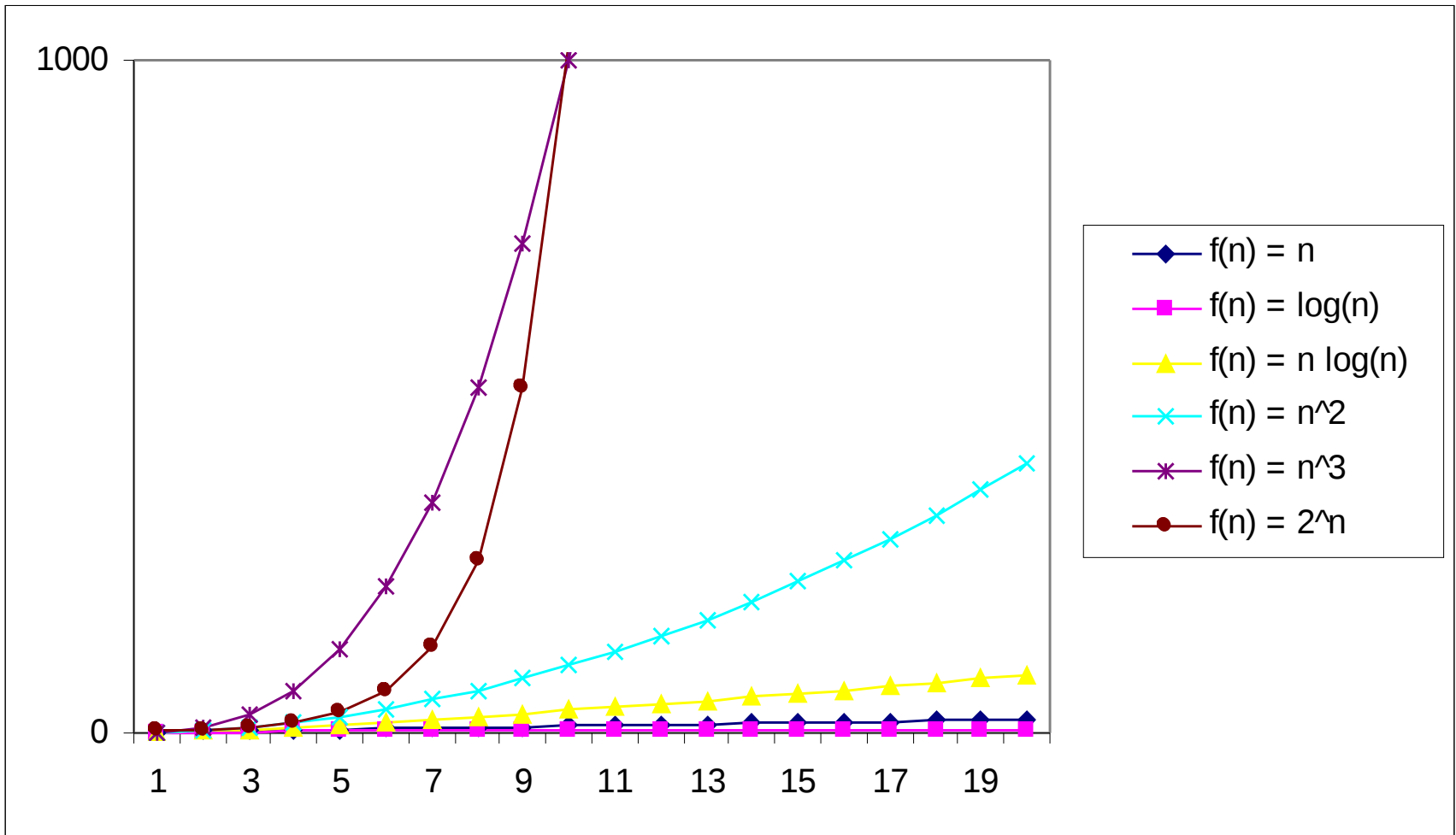
Practical Complexity



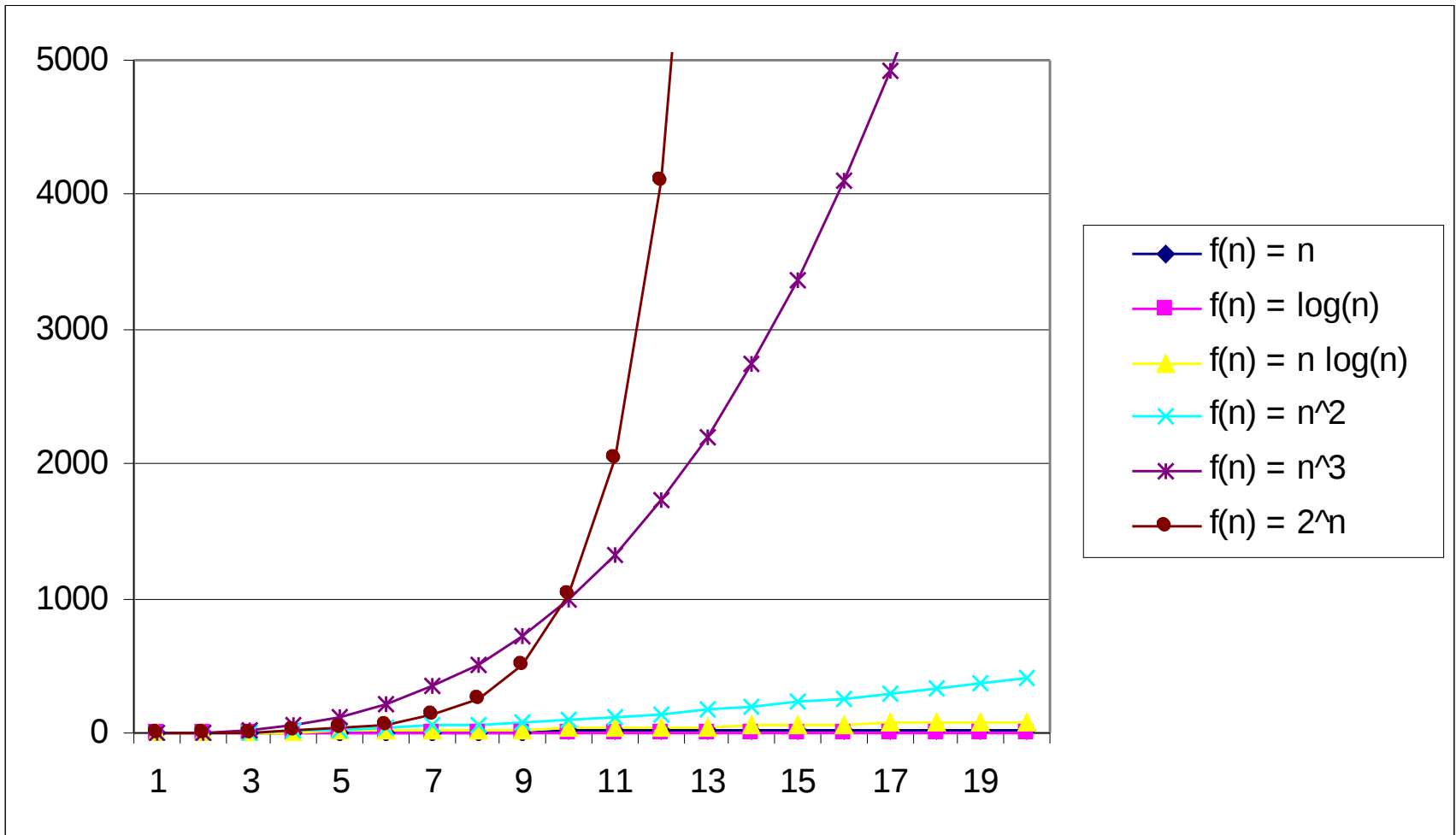
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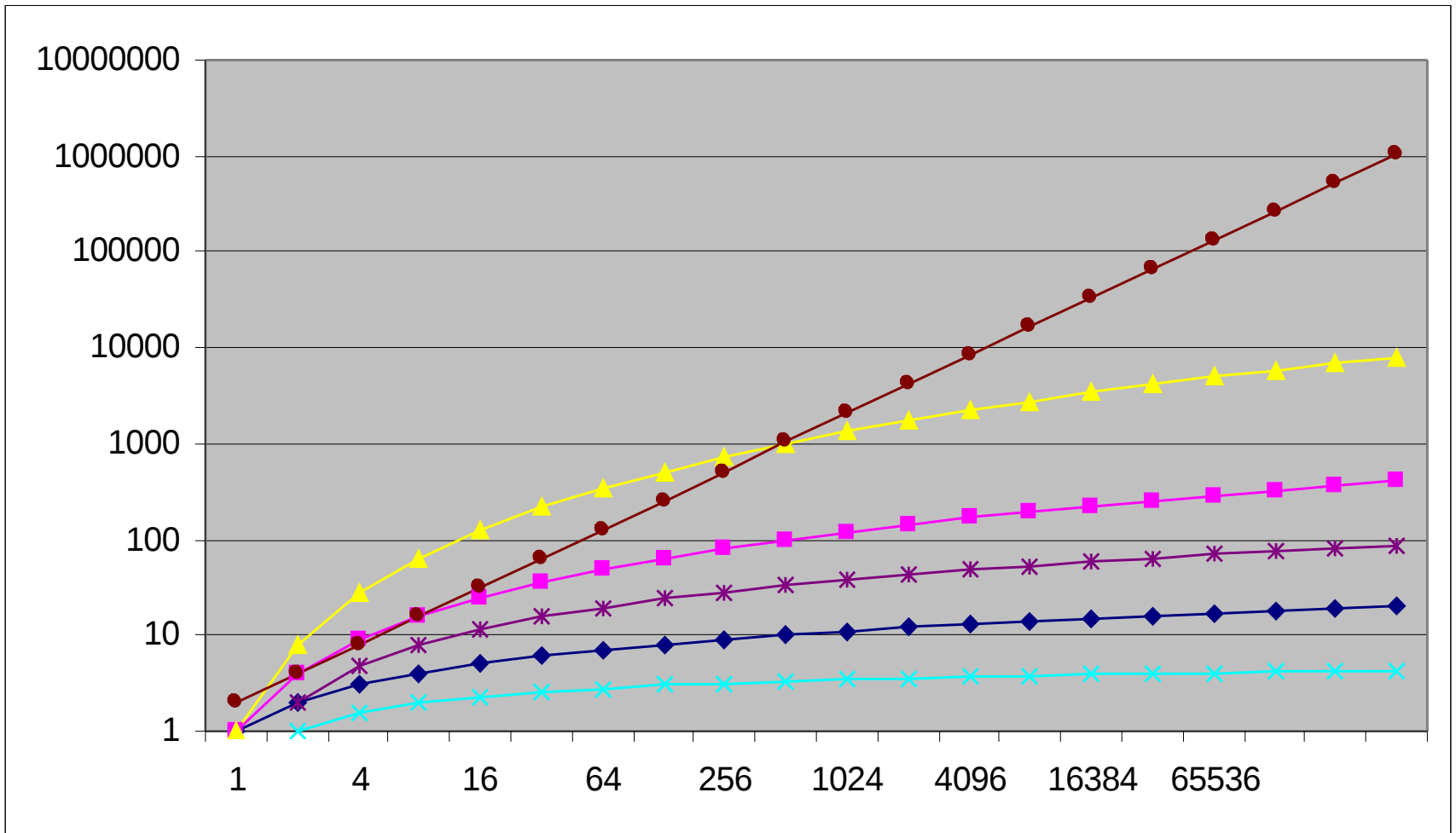
Practical Complexity



Practical Complexity



Practical Complexity



Other Asymptotic Notations

- A function $f(n)$ is $o(g(n))$ if \exists positive constants c and n_0 such that

$$f(n) < c g(n) \quad \forall n \geq n_0$$

- A function $f(n)$ is $\omega(g(n))$ if \exists positive constants c and n_0 such that

$$c g(n) < f(n) \quad \forall n \geq n_0$$

- - $o()$ is like $<$
 - $\omega()$ is like $>$
 - $\Theta()$ is like $=$
 - $O()$ is like \leq
 - $\Omega()$ is like \geq

Merge Sort

```
MergeSort(A, left, right) {  
    if (left < right) {  
        mid = floor((left + right) / 2);  
        MergeSort(A, left, mid);  
        MergeSort(A, mid+1, right);  
        Merge(A, left, mid, right);  
    }  
}  
  
// Merge() takes two sorted subarrays of A and  
// merges them into a single sorted subarray of A  
//     (how long should this take?)
```

Merge Sort: Example

- Show MergeSort() running on the array

A = {10, 5, 7, 6, 1, 4, 8, 3, 2, 9};

Analysis of Merge Sort

Statement Effort

```
MergeSort(A, left, right) {
    if (left < right) {
        mid = floor((left + right) / 2);
        MergeSort(A, left, mid);
        MergeSort(A, mid+1, right);
        Merge(A, left, mid, right);
    }
}
```

$T(n)$
 $\Theta(1)$
 $\Theta(1)$
 $T(n/2)$
 $T(n/2)$
 $\Theta(n)$

- So $T(n) = \Theta(1)$ when $n = 1$, and $2T(n/2) + \Theta(n)$ when $n > 1$
- So what (more succinctly) is $T(n)$?

Recurrences

- The expression:

$$T(n) = \begin{cases} c & n = 1 \\ 2T\left(\frac{n}{2}\right) + cn & n > 1 \end{cases}$$

is a *recurrence*.

- Recurrence: an equation that describes a function in terms of its value on smaller functions

Recurrence Examples

$$s(n) = \begin{cases} 0 & n = 0 \\ c + s(n-1) & n > 0 \end{cases}$$

$$s(n) = \begin{cases} 0 & n = 0 \\ n + s(n-1) & n > 0 \end{cases}$$

$$T(n) = \begin{cases} c & n = 1 \\ 2T\left(\frac{n}{2}\right) + c & n > 1 \end{cases}$$

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

Solving Recurrences

- Substitution method
- Iteration method
- Master method

Solving Recurrences

- The substitution method (CLR 4.1)
 - A.k.a. the “making a good guess method”
 - Guess the form of the answer, then use induction to find the constants and show that solution works
 - Examples:
 - $T(n) = 2T(n/2) + \Theta(n) \quad \square \quad T(n) = \Theta(n \lg n)$
 - $T(n) = 2T(\lfloor n/2 \rfloor) + n \quad \square \quad ???$

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 - $T(n) = 2T(n/2) + \Theta(n) \rightarrow T(n) = \Theta(n \lg n)$
 - $T(n) = 2T(\lfloor n/2 \rfloor) + n \rightarrow T(n) = \Theta(n \lg n)$
 - $T(n) = 2T(\lfloor n/2 \rfloor) + 17) + n \rightarrow ???$

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 - Examples:
 - $T(n) = 2T(n/2) + \Theta(n) \rightarrow T(n) = \Theta(n \lg n)$
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 - $T(n) = 2T(\lfloor n/2 \rfloor + 17) + n \rightarrow \Theta(n \lg n)$

Solving Recurrences

- Another option is what the book calls the “iteration method”
 - Expand the recurrence
 - Work some algebra to express as a summation
 - Evaluate the summation
- We will show several examples

$$s(n) = \begin{cases} 0 & n = 0 \\ c + s(n-1) & n > 0 \end{cases}$$

- $s(n) =$

$$c + s(n-1)$$

$$c + c + s(n-2)$$

$$2c + s(n-2)$$

$$2c + c + s(n-3)$$

$$3c + s(n-3)$$

...

$$kc + s(n-k) = ck + s(n-k)$$

$$s(n) = \begin{cases} 0 & n = 0 \\ c + s(n-1) & n > 0 \end{cases}$$

- So far for $n \geq k$ we have
 - $s(n) = ck + s(n-k)$
- What if $k = n$?
 - $s(n) = cn + s(0) = cn$

$$s(n) = \begin{cases} 0 & n = 0 \\ c + s(n-1) & n > 0 \end{cases}$$

- So far for $n \geq k$ we have

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- What if $k = n$?

- $s(n) = cn + s(0) = cn$

- So

$$s(n) = \begin{cases} 0 & n = 0 \\ c + s(n-1) & n > 0 \end{cases}$$

- Thus in general

- $s(n) = cn$

$$s(n) = \begin{cases} 0 & n = 0 \\ n + s(n-1) & n > 0 \end{cases}$$

- $s(n)$

$$= n + s(n-1)$$

$$= n + n-1 + s(n-2)$$

$$= n + n-1 + n-2 + s(n-3)$$

$$= n + n-1 + n-2 + n-3 + s(n-4)$$

$$= \dots$$

$$= n + n-1 + n-2 + n-3 + \dots + n-(k-1) + s(n-k)$$

$$s(n) = \begin{cases} 0 & n = 0 \\ n + s(n-1) & n > 0 \end{cases}$$

- $s(n)$

$$= n + s(n-1)$$

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$$= n + n-1 + n-2 + n-3 + s(n-4)$$

$$= \dots$$

$$= n + n-1 + n-2 + n-3 + \dots + n-(k-1) + s(n-k)$$

$$\sum_{i=n-k+1}^n i + s(n-k)$$

$$s(n) = \begin{cases} 0 & n = 0 \\ n + s(n-1) & n > 0 \end{cases}$$

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- What if $k = n$?

$$\sum_{i=1}^n i + s(0) = \sum_{i=1}^n i + 0 = n \frac{n+1}{2}$$

$$s(n) = \begin{cases} 0 & n = 0 \\ n + s(n-1) & n > 0 \end{cases}$$

- So far for $n \geq k$ we have

$$\sum_{i=n-k+1}^n i + s(n-k)$$

- What if $k = n$?

$$\sum_{i=1}^n i + s(0) = \sum_{i=1}^n i + 0 = n \frac{n+1}{2}$$

- Thus in general

$$s(n) = n \frac{n+1}{2}$$

$$T(n) = \begin{cases} c & n = 1 \\ 2T\left(\frac{n}{2}\right) + c & n > 1 \end{cases}$$

- $T(n) =$
 - $2T(n/2) + c$
 - $2(2T(n/2/2) + c) + c$
 - $2^2T(n/2^2) + 2c + c$
 - $2^2(2T(n/2^2/2) + c) + 3c$
 - $2^3T(n/2^3) + 4c + 3c$
 - $2^3T(n/2^3) + 7c$
 - $2^3(2T(n/2^3/2) + c) + 7c$
 - $2^4T(n/2^4) + 15c$
 - ...
 - $2^kT(n/2^k) + (2^k - 1)c$

$$T(n) = \begin{cases} c & n = 1 \\ 2T\left(\frac{n}{2}\right) + c & n > 1 \end{cases}$$

- So far for $n > 2k$ we have

$$\text{P } T(n) = 2^k T(n/2^k) + (2^k - 1)c$$

- What if $k = \lg n$?

$$\begin{aligned} \text{P } T(n) &= 2^{\lg n} T(n/2^{\lg n}) + (2^{\lg n} - 1)c \\ &= n T(n/n) + (n - 1)c \\ &= n T(1) + (n-1)c \\ &= nc + (n-1)c = (2n - 1)c \end{aligned}$$