

Introduction to Algorithms

Lecture 1: Analysis of Algorithms

Shouzen Gu



Outline

⌘ **Course information**

⌘ **Algorithmic thinking**

⌘ **Insertion sort**

⌘ **Asymptotic analysis**

⌘ **Merge sort**

⌘ **Recurrences**



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 **Course information**

 **Algorithmic thinking**

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 **Recurrences**



Course Information

➤ Instructor:

- Shouzhen Gu (谷守珍)
- Email: szgu@sei.ecnu.edu.cn
- Office: East 213, Mathematics Building

➤ Tutor:

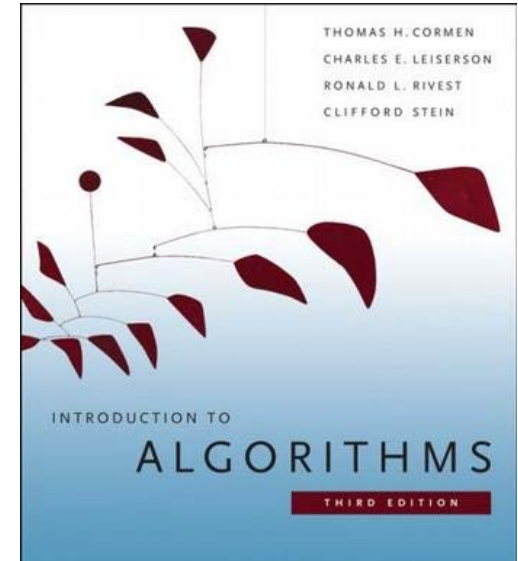
- Xiongpeng Hu (胡雄鹏)
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➤ Grade Determinates:

- 10% Attendance + 15% Quiz + 15% Homework
- 60% Final Report

➤ Textbook

- “Introduction to Algorithms (3.ed.)”, Thomas H. Cormen, Charles E. Leiserson, Ronald L. Rivest, Clifford Stein





Course Overview

- The course is divided into 8 modules
 - Algorithmic Thinking
 - Sorting & Trees
 - Hashing
 - Numerics
 - Graphs
 - Shortest Paths
 - Dynamic Programming
 - Advanced Topics



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Peak Finder: One-dimensional Version

- Position 2 is a peak if and only if $b \geq a$ and $b \geq c$.
Position 9 is a peak if $i \geq h$.

1	2	3	4	5	6	7	8	9
a	b	c	d	e	f	g	h	i

- **Problem:** Find a peak if it exists
- Does it always exist?



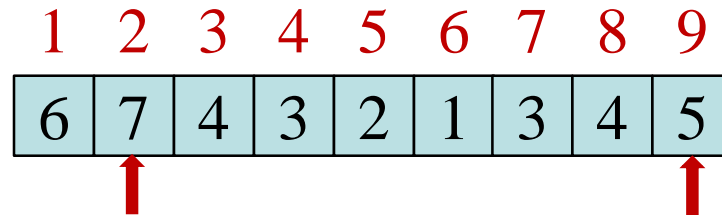
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- Diagram illustrating an array structure. The array contains the following values: 6, 7, 4, 3, 2, 1, 3, 4, 5. The indices (1 to 9) are shown above the corresponding elements. Red arrows point to the elements at indices 2 and 9.

- Could look at *n* elements in the worst case



Straightforward Algorithm

- Start from left



- Could look at n elements in the worst case

Can we do better?



Divide & Conquer

1	2	3	4	5	6	7	8	9
6	7	4	3	2	1	3	4	5

↑

➤ Look at $n/2$ position

- If $a[n/2] < a[n/2 - 1]$ then only look at left half $1 \dots n/2 - 1$ to look for peak
- Else if $a[n/2] < a[n/2 + 1]$ then only look at right half $n/2 + 1 \dots n$ to look for peak
- Else $n/2$ position is a peak:

$$a[n/2] \geq a[n/2 - 1]$$

$$a[n/2] \geq a[n/2 + 1]$$



What is the complexity?

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

↑
to compare $a[n/2]$ to neighbors

Then,

$$T(n) = \Theta(1) + \dots + \Theta(1) (\log_2(n) \text{ times}) = \Theta(\log_2(n))$$

➤ If $n = 1000000$,

- $\Theta(n)$ algorithm needs **13 sec** in python
- $\Theta(\log n)$ algorithm only need **0.001 sec** in python



Peak Finder: Two-dimensional Version

n rows

		c		
b	a	d		
	e			

m columns

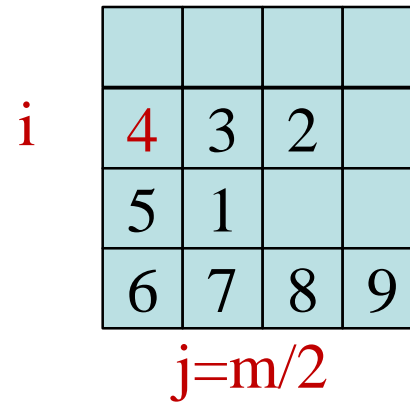
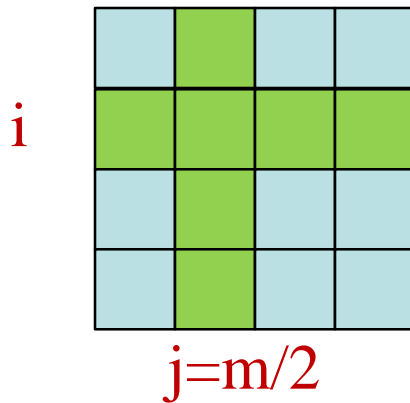
- a is a 2D-peak iff $a \geq b, a \geq d, a \geq c, a \geq e$
- Greedy Ascent Algorithm: $\Theta(nm)$ complexity,
- $\Theta(n^2)$ algorithm if $m = n$



Extend 1D Divide and Conquer to 2D

➤ Attempt #1:

- Pick middle column $j = m/2$
- Find a 1D-peak at i, j
- Use (i, j) as a start point on row i to find 1D-peak on row i





Extend 1D Divide and Conquer to 2D

➤ Attempt #1:

- Pick middle column $j = m/2$
- Find a 1D-peak at i, j
- Use (i, j) as a start point on row i to find 1D-peak on row i

i

$j=m/2$

i

4	3	2	
5	1		
6	7	8	9

$j=m/2$

End up with 4 which is not a 2D-peak

Problem: 2D-peak may not exist on row i



Extend 1D Divide and Conquer to 2D

➤ Attempt #2:

1. Pick middle column $j = m/2$
2. Find global maximum on column j at (i, j)
3. Compare $(i, j - 1)$, (i, j) , $(i, j + 1)$
4. Pick left columns of $(i, j - 1) > (i, j)$
5. Pick right columns of $(i, j + 1) > (i, j)$
6. (i, j) is a 2D-peak if neither condition holds
7. Solve the new problem with half the number of columns
8. When you have a single column, find global maximum and you're done



Example of Attempt #2

10	8	10	10
14	13	12	11
15	9	11	21
16	17	19	20

pick this column 17 global
max for this column

10	10
12	11
11	21
19	20

pick this column 19 global
max for this column

find 21

10
11
21
20

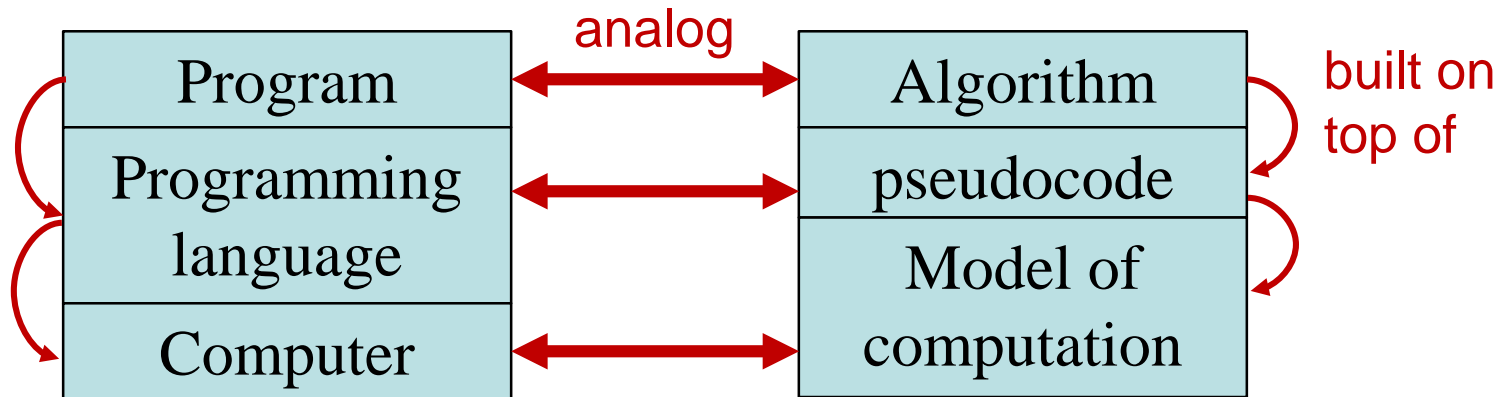
➤ Complexity

- $T(n, m) = T(n, m/2) + \Theta(n)$ (to find global maximum on a column—— n rows)
- $T(n, m) = \Theta(n) + \dots + \Theta(n)$
- $T(n, m) = \Theta(n \log m) = \Theta(n \log n)$ if $m = n$



What is an Algorithm?

- Mathematical abstraction of computer program
- Computational procedure to solve a problem



- Model of computation specifies:
 - what operations an algorithm is allowed
 - cost (time, space, . . .) of each operation
 - cost of algorithm = sum of operation costs



Why study algorithms and performance?

- Algorithms help us to understand **scalability**.
- Performance often draws the line between what is feasible and what is impossible.
- Algorithmic mathematics provides a **language** for talking about program behavior.
- Performance is the **currency** of computing.
- The lessons of program performance generalize to other computing resources.
- Speed is fun!



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☞ Insertion sort

☞ Asymptotic analysis

☞ Merge sort

☞ Recurrences



The problem of sorting

- **Input:** sequence $\langle a_1, a_2, \dots, a_n \rangle$ of numbers
- **Output:** permutation $\langle a'_1, a'_2, \dots, a'_n \rangle$ such that $a'_1 \leq a'_2 \leq \dots \leq a'_n$.
- Example:
 - **Input:** 8 2 4 9 3 6
 - **Output:** 2 3 4 6 8 9



Insertion sort

“pseudocode”

INSERTION-SORT (A, n) $\triangleright A[1 \dots n]$

for $j \leftarrow 2$ **to** n

do $key \leftarrow A[j]$

$i \leftarrow j - 1$

while $i > 0$ and $A[i] > key$

do $A[i+1] \leftarrow A[i]$

$i \leftarrow i - 1$

$A[i+1] = key$



Loop invariants & correctness of insertion sort

- **Loop invariant** help us to understand why an algorithm is correct. We must show three things:
 - **Initialization:** It is true prior to the first iteration of the loop.
 - **Maintenance:** If it is true before an iteration of the loop, it remains true before the next iteration.
 - **Termination:** When the loop terminates, the invariant gives us a useful property that helps us show that the algorithm is correct.
- Prove a base case and an inductive step, such that we can prove the first two properties hold.
- We stop the “inductive” when the loop terminates, and prove the third property hold.



Example of insertion sort

8

2

4

9

3

6

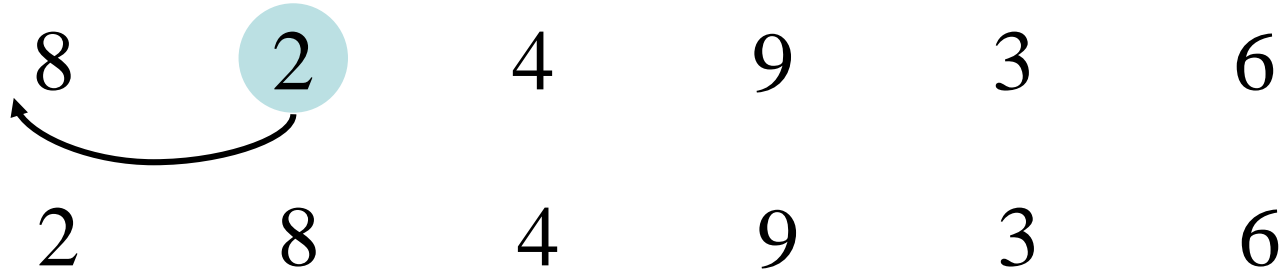


Example of insertion sort



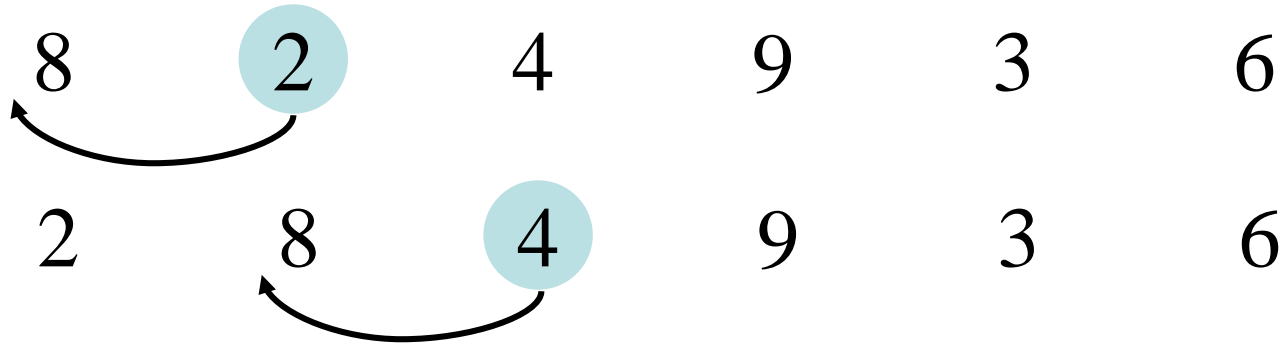


Example of insertion sort



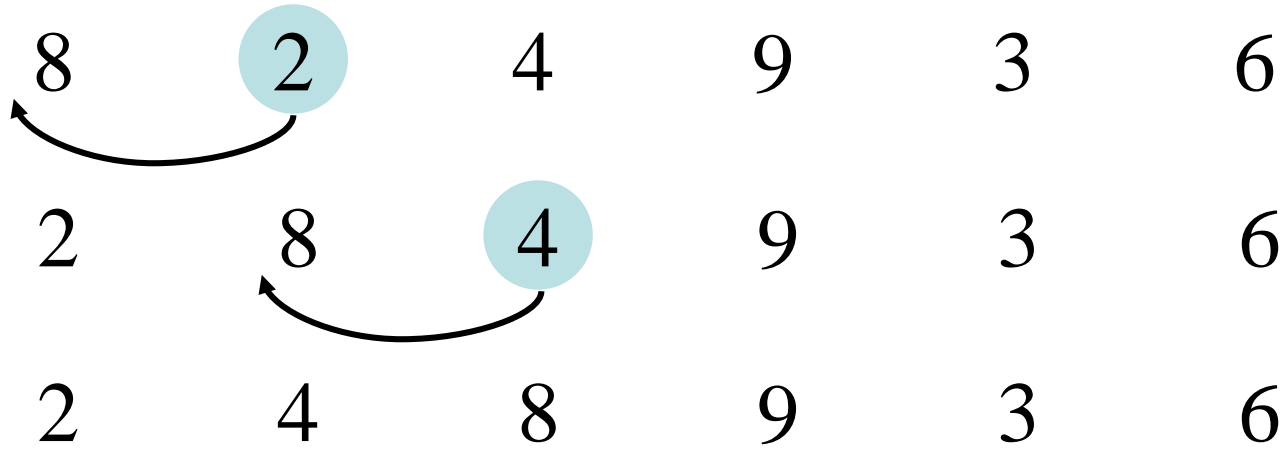


Example of insertion sort



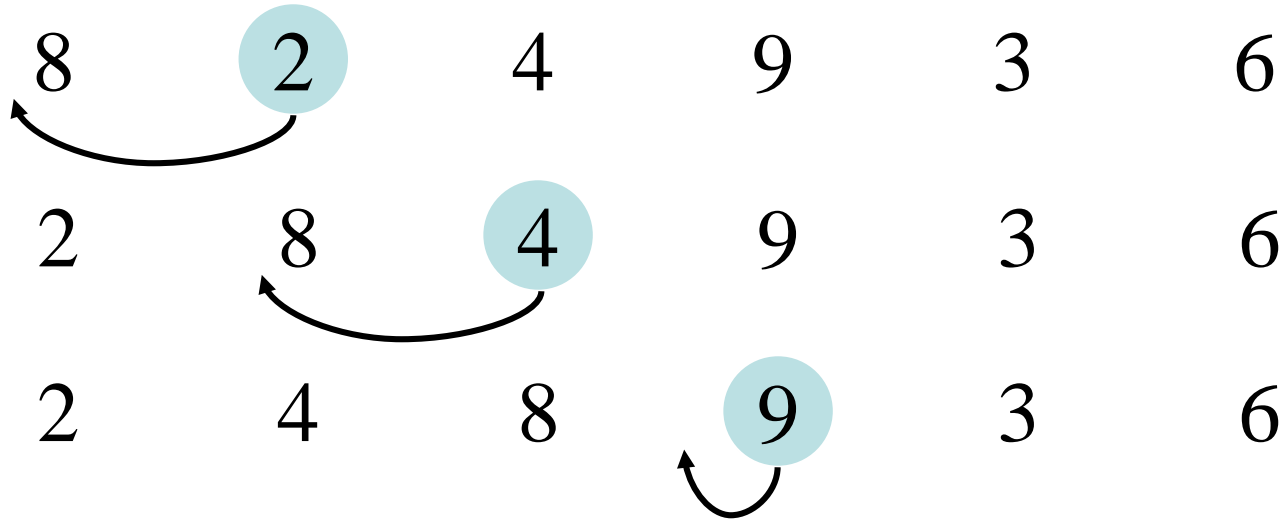


Example of insertion sort



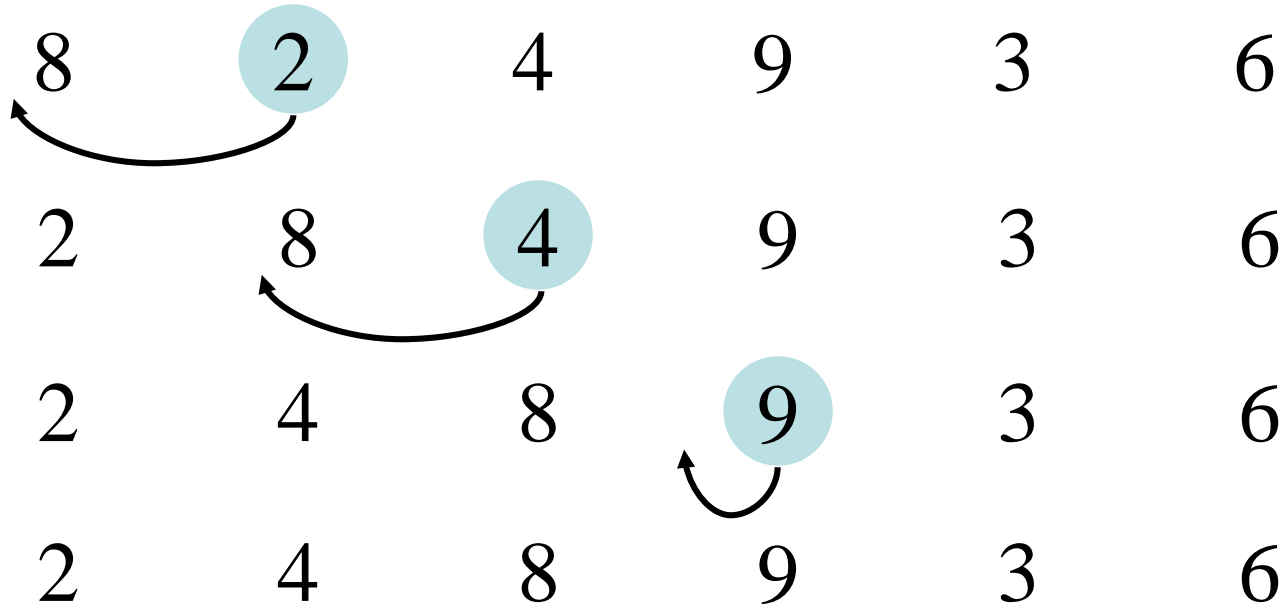


Example of insertion sort



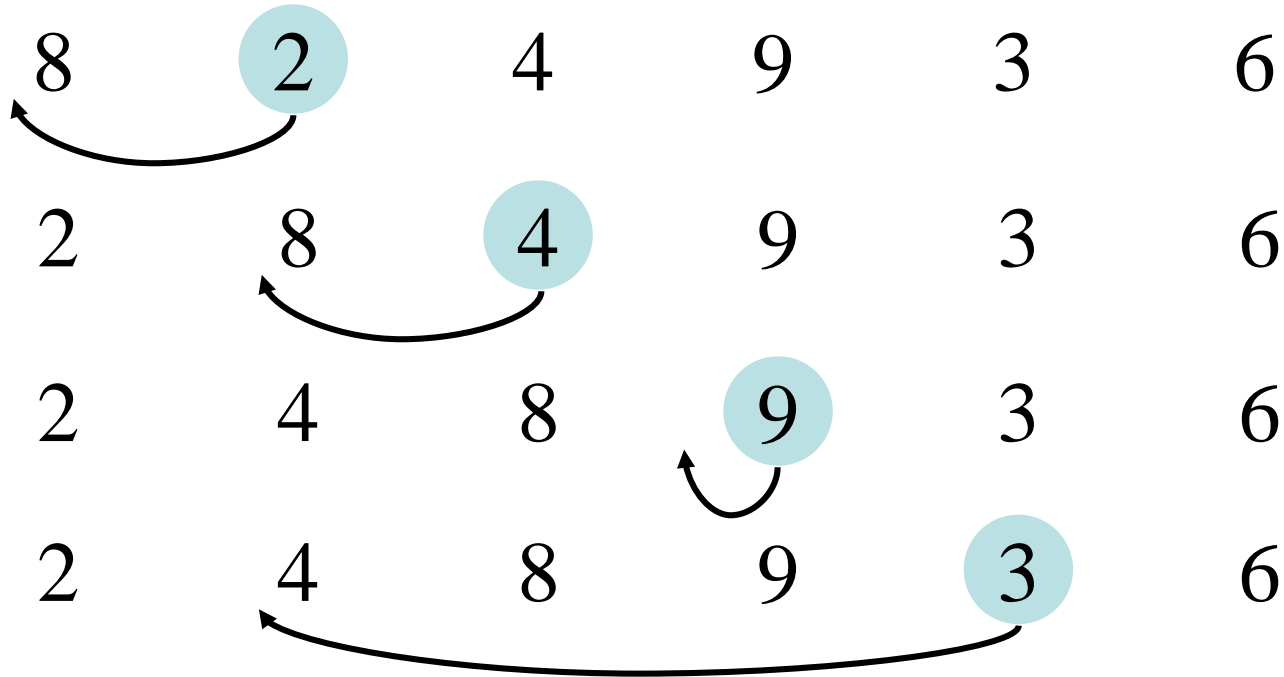


Example of insertion sort



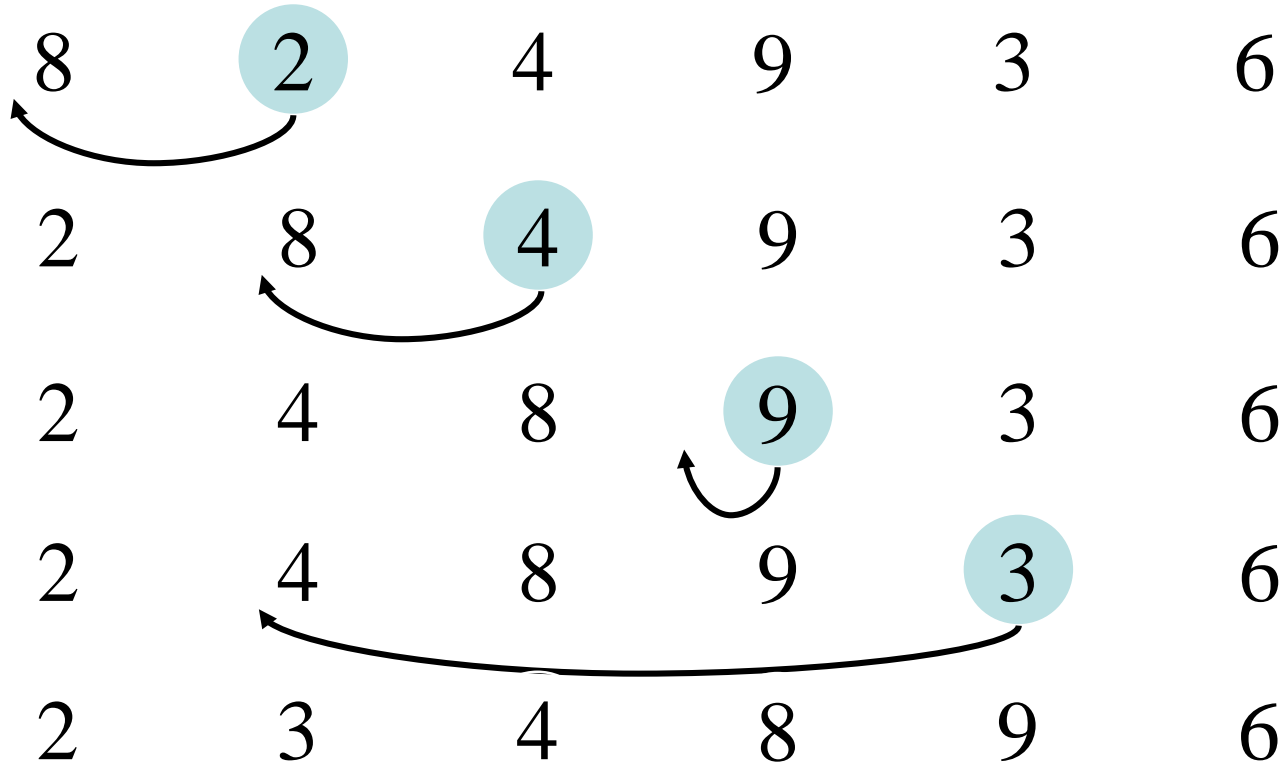


Example of insertion sort



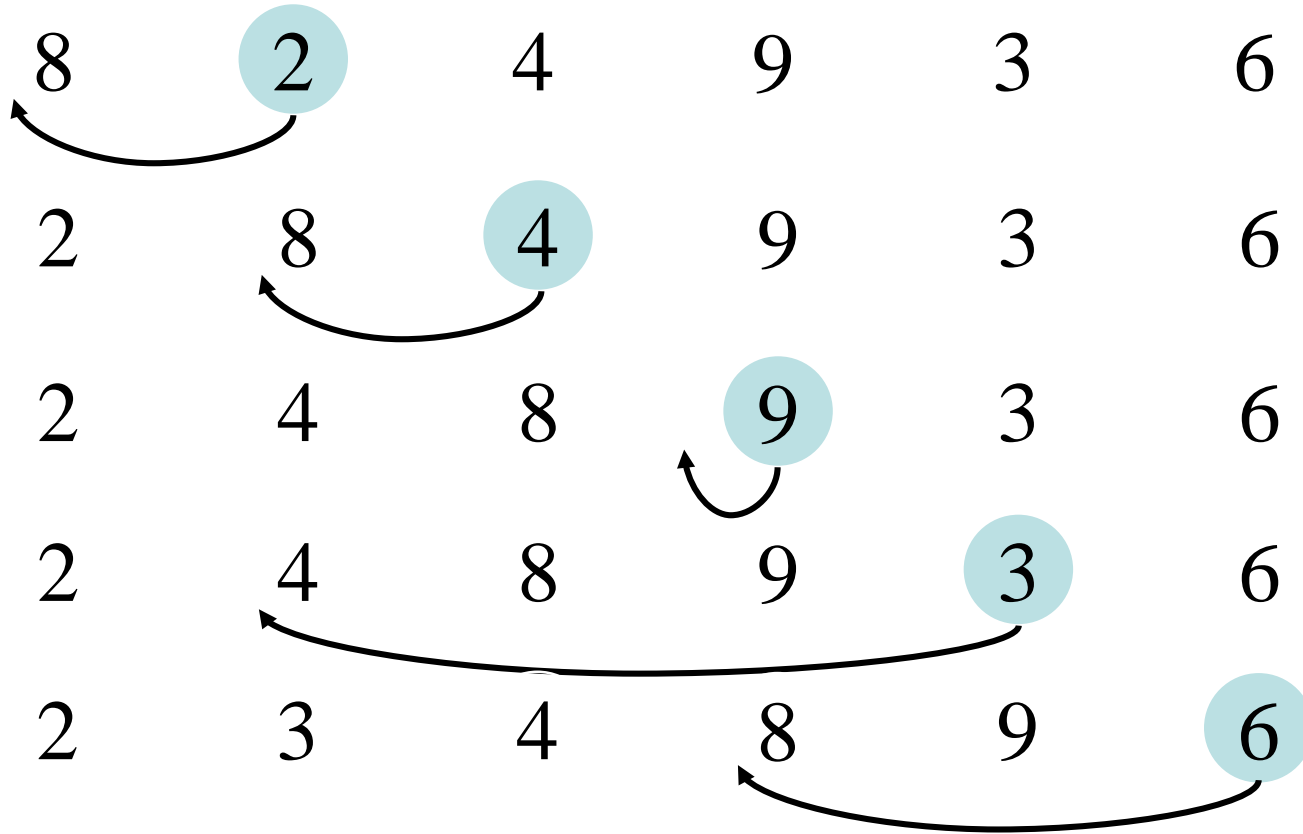


Example of insertion sort



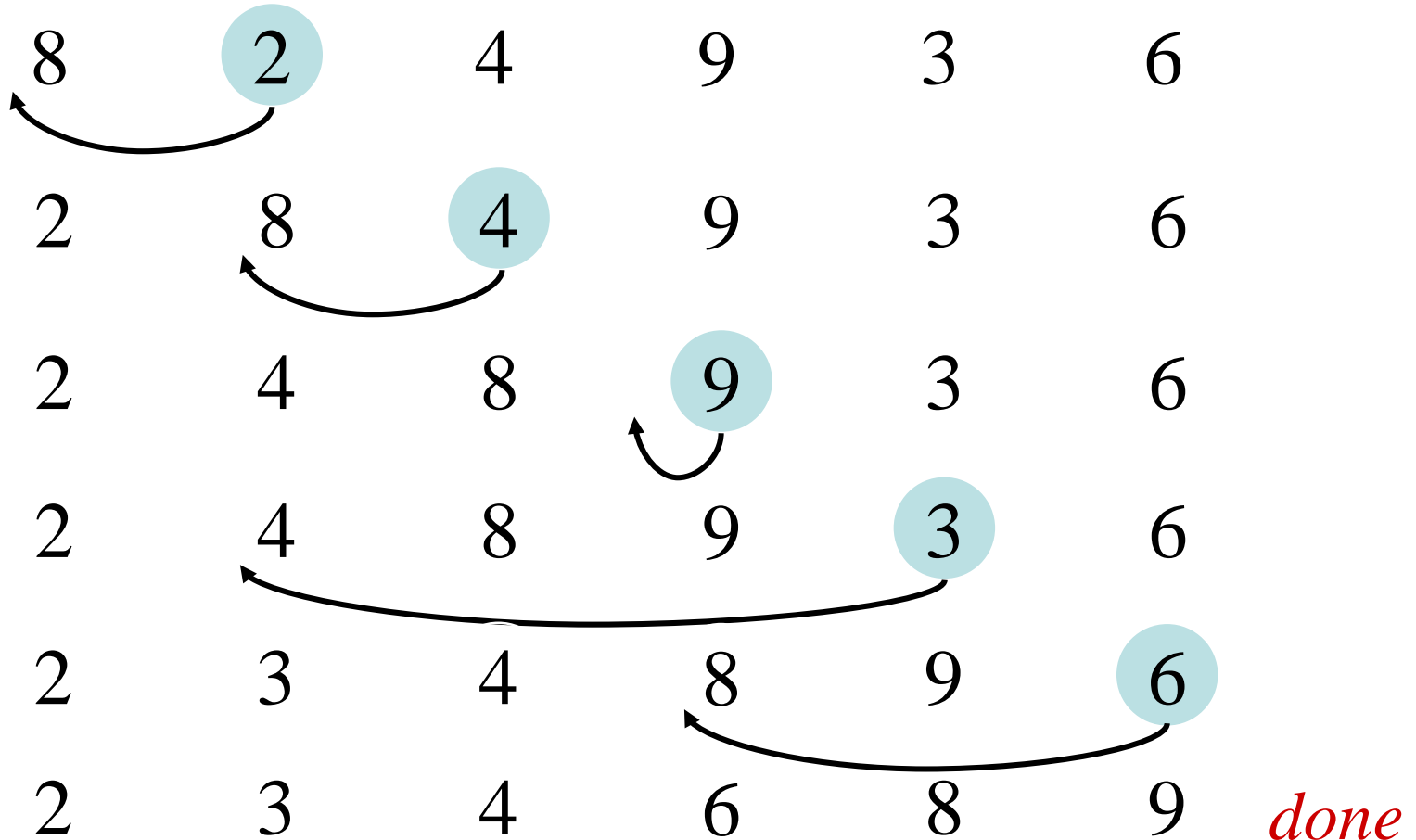


Example of insertion sort





Example of insertion sort





Running time

- The running time depends on the input: an already sorted sequence is easier to sort.
- Parameterize the running time by the size of the input, since short sequences are easier to sort than long ones.
- Generally, we seek upper bounds on the running time, because everybody likes a guarantee.



Kinds of analyses

➤ **Worst-case:** (usually)

- $T(n)$ = maximum time of algorithm on any input of size n .

➤ **Average-case:** (sometimes)

- $T(n)$ = expected time of algorithm over all inputs of size n .
- Need assumption of statistical distribution of inputs.

➤ **Best-case:** (bogus)

- Cheat with a slow algorithm that works fast on *some* input.



Machine-independent time

- What is insertion sort's worst-case time?
- It depends on the speed of our computer:
 - relative speed (on the same machine),
 - absolute speed (on different machines).

BIG IDEA:

- Ignore machine-dependent constants
- Look at *growth* of $T(n)$ as $n \rightarrow \infty$.

“Asymptotic Analysis”



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Asymptotic notation

➤ O -notation (upper bounds):

We write $f(n) = O(g(n))$ if there exist constants $c > 0$, $n_0 > 0$ such that $0 \leq f(n) \leq cg(n)$ for all $n \geq n_0$.

➤ EXAMPLE: $2n^2 = O(n^3)$ ($c = 1$, $n_0 = 2$)

funny, “one-way” equality

functions, not values

➤ Engineering: Drop low-order terms; ignore leading constants



Set definition of O-notation

$O(g(n)) = \{f(n) : \text{there exist constants } c > 0, \\ n_0 > 0 \text{ such that } 0 \leq f(n) \leq cg(n) \\ \text{for all } n \geq n_0\}$

➤ EXAMPLE: $2n^2 \in O(n^3)$



Macro substitution

➤ **Convention:** A set in a formula represents an anonymous function in the set.

➤ **EXAMPLE:**

$$f(n) = n^3 + O(n^2)$$

means

$$f(n) = n^3 + h(n)$$

for some $h(n) \in O(n^2)$

$$n^2 + O(n) = O(n^2)$$

means

for any $f(n) \in O(n)$:

$$n^2 + f(n) = h(n)$$

for some $h(n) \in O(n^2)$



Ω -notation (lower bounds)

- Ω -notation is an *lower-bound* notation. It makes no sense to say $f(n)$ is at least $\Omega(n^2)$.

$$\Omega(g(n)) = \{f(n) : \text{there exist constants } c > 0, \\ n_0 > 0 \text{ such that } 0 \leq cg(n) \leq f(n) \\ \text{for all } n \geq n_0\}$$

- EXAMPLE: $\sqrt{n} = \Omega(\lg n)$ ($c = 1, n_0 = 16$)



Θ -notation (tight bounds)

$$\Theta(g(n)) = O(g(n)) \cap \Omega(g(n))$$

➤ EXAMPLE: $n^2 + 2n = \Theta(n^2)$



o -notation and ω -notation

- O -notation and Ω -notation are like \leq and \geq .
- o -notation and ω -notation are like $<$ and $>$.

$o(g(n)) = \{f(n) : \text{there exist constants } c > 0, n_0 > 0 \text{ such that } 0 \leq f(n) < cg(n) \text{ for all } n \geq n_0\}$

- EXAMPLE: $2n^2 = o(n^3)$ ($n_0 = 2/c$)



o -notation and ω -notation

- O -notation and Ω -notation are like \leq and \geq .
- o -notation and ω -notation are like $<$ and $>$.

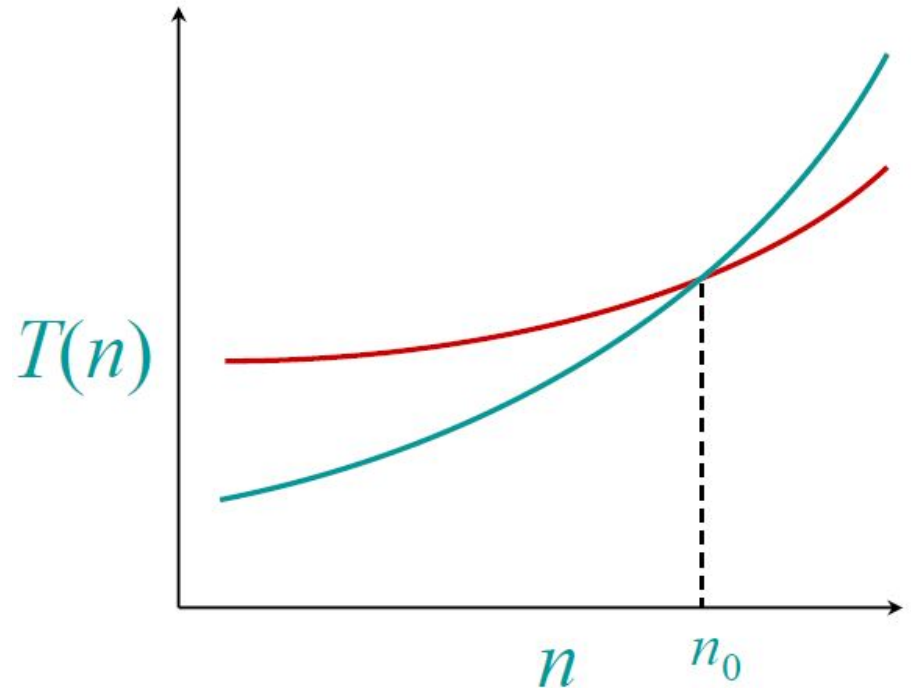
$\omega(g(n)) = \{f(n) : \text{there exist constants } c > 0, n_0 > 0 \text{ such that } 0 \leq cg(n) < f(n) \text{ for all } n \geq n_0\}$

- EXAMPLE: $\sqrt{n} = \omega(\lg n)$ ($n_0 = 1 + 1/c$)



Asymptotic performance

- When n gets large enough, a $\Theta(n^2)$ algorithm *always* beats a $\Theta(n^3)$ algorithm.
- We shouldn't ignore asymptotically slower algorithms, however.
- Real-world design situations often call for a careful balancing of engineering objectives.
- Asymptotic analysis is a useful tool to help to structure our thinking.





Insertion sort analysis

- *Worst case*: Input reverse sorted

$$T(n) = \sum_{j=2}^n \theta(j) = \theta(n^2)$$

- *Average case*: All permutations equally likely

$$T(n) = \sum_{j=2}^n \theta(j/2) = \theta(n^2)$$

- Is insertion sort a fast sorting algorithm?
- Moderately so, for small n .
 - Not at all, for large n



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Merge sort

MERGE-SORT $A[1 \dots n]$

1. If $n = 1$, done.
2. Recursively sort $A[1 \dots \lceil n/2 \rceil]$
and $A[\lceil n/2 \rceil + 1 \dots n]$.
3. “*Merge*” the 2 sorted lists.

Key subroutine: **MERGE**



Merging two sorted arrays

20 12

13 11

7 9

2 1



Merging two sorted arrays

20 12

13 11

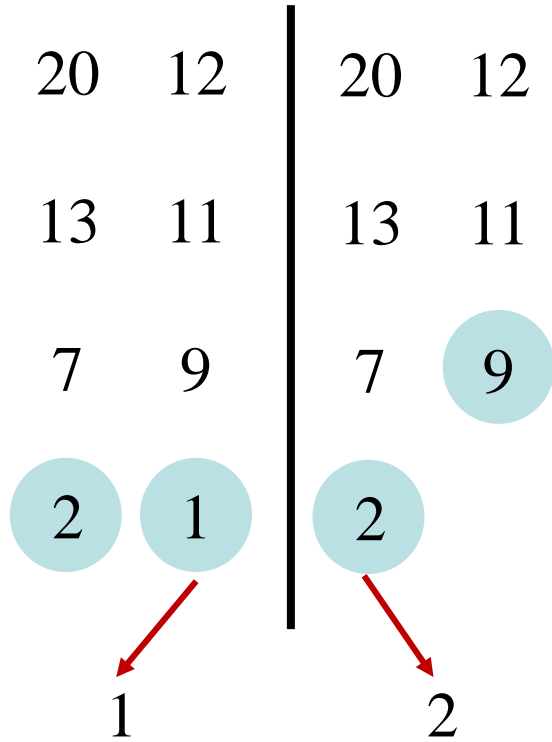
7 9

2 1

1

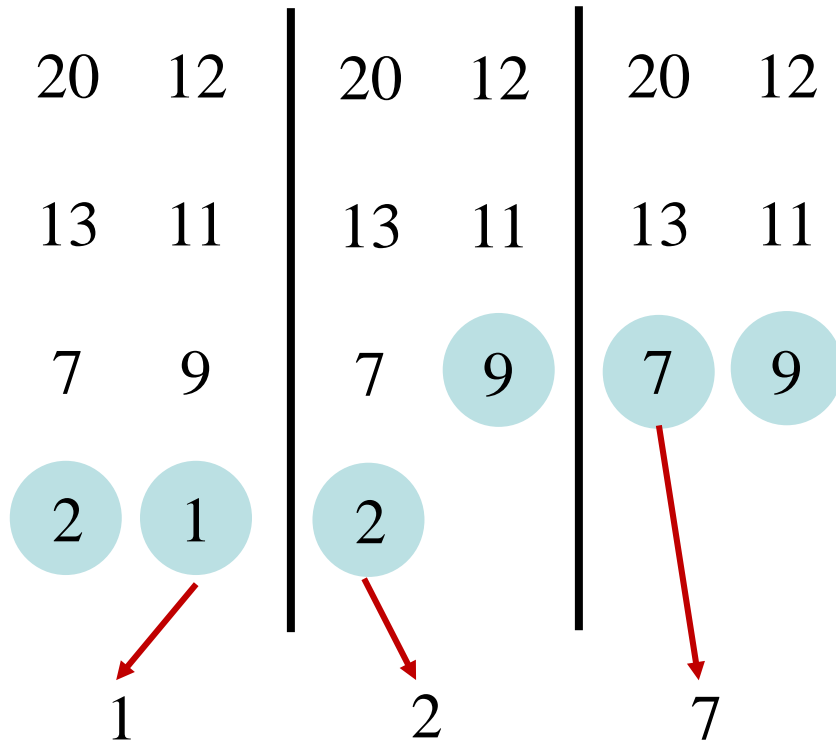


Merging two sorted arrays



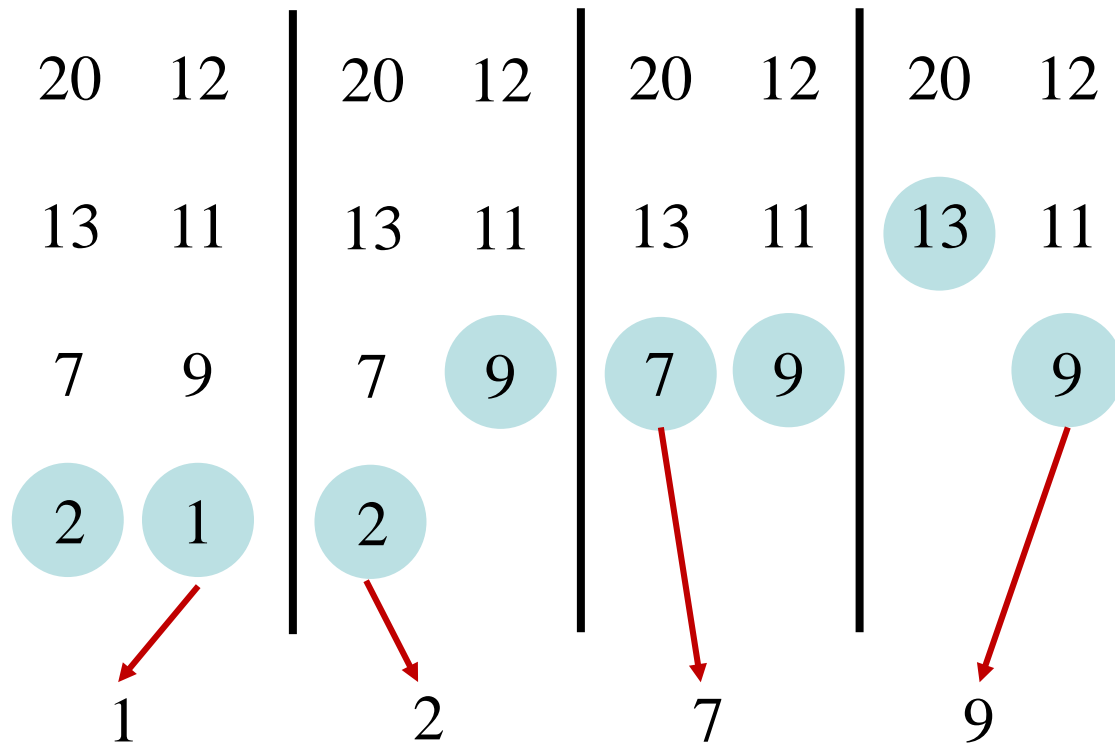


Merging two sorted arrays



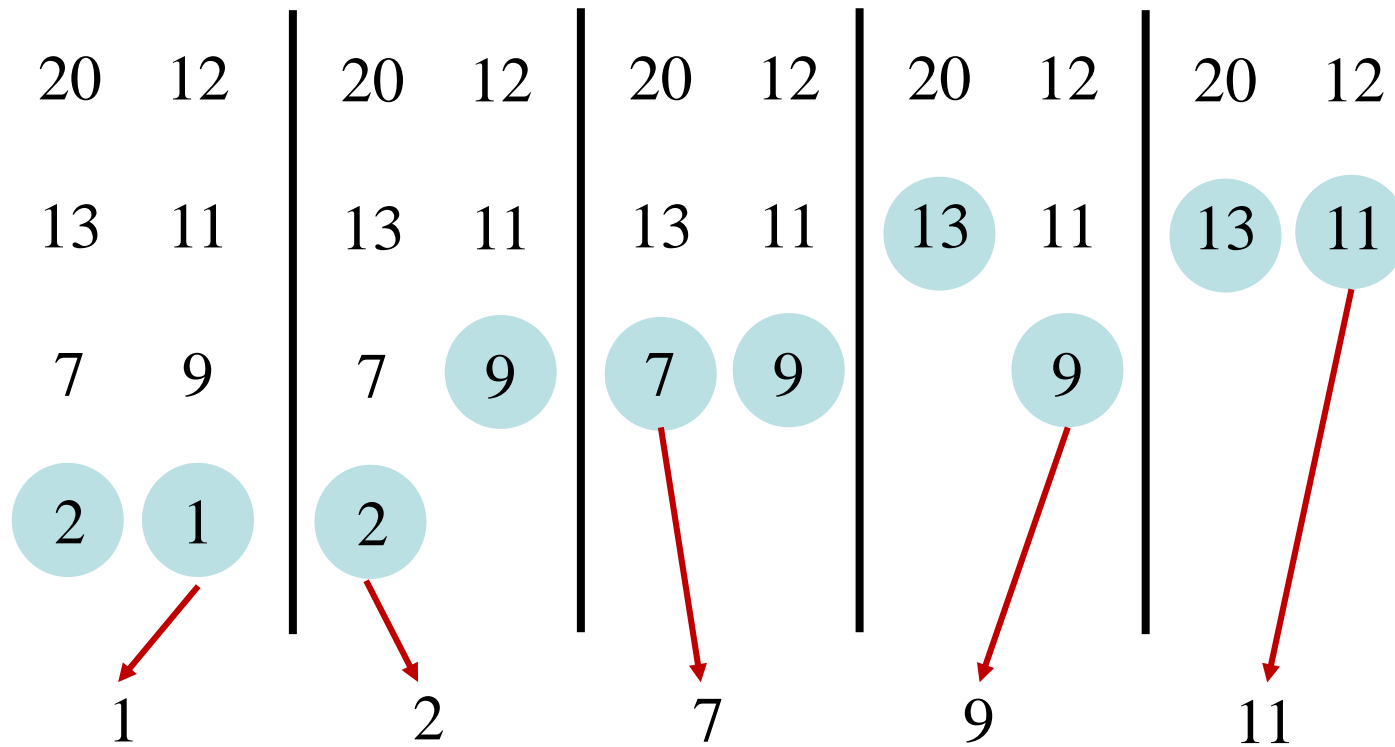


Merging two sorted arrays



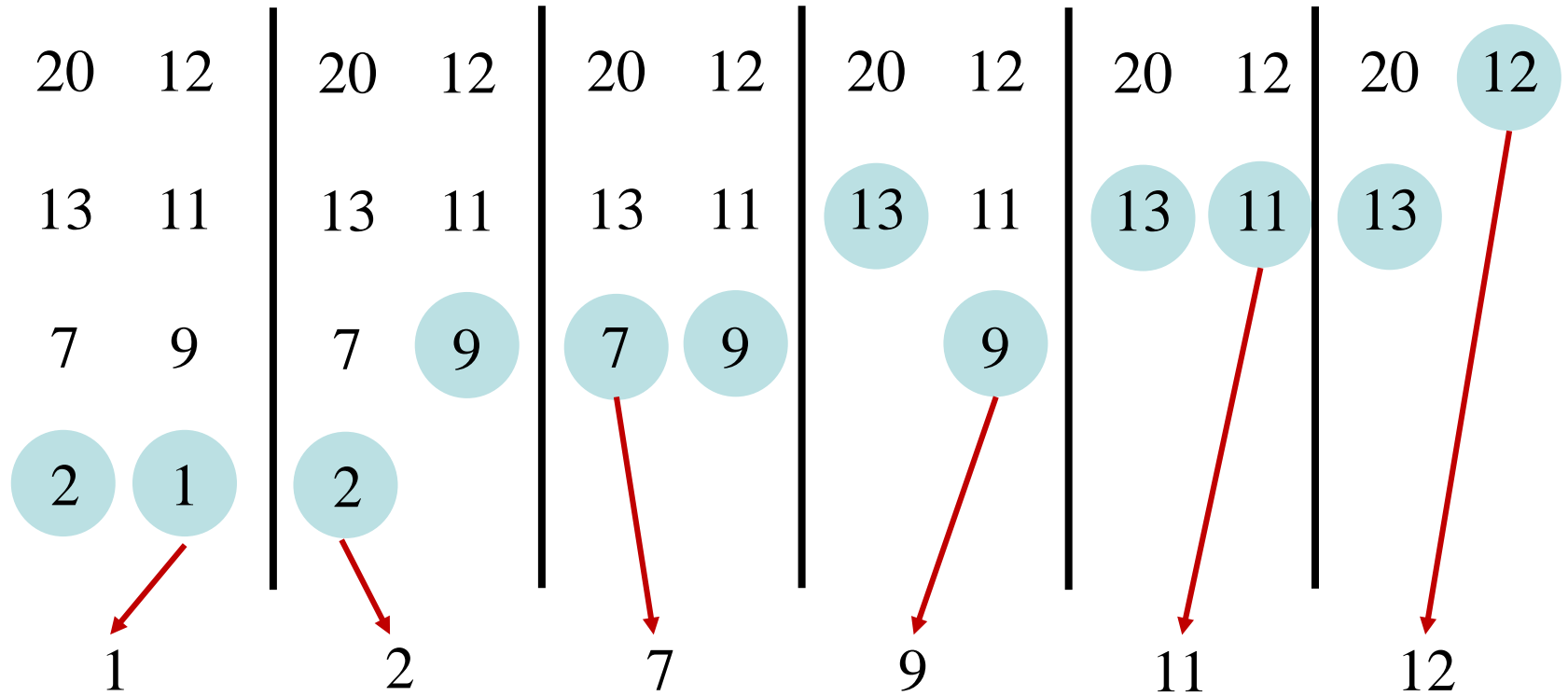


Merging two sorted arrays



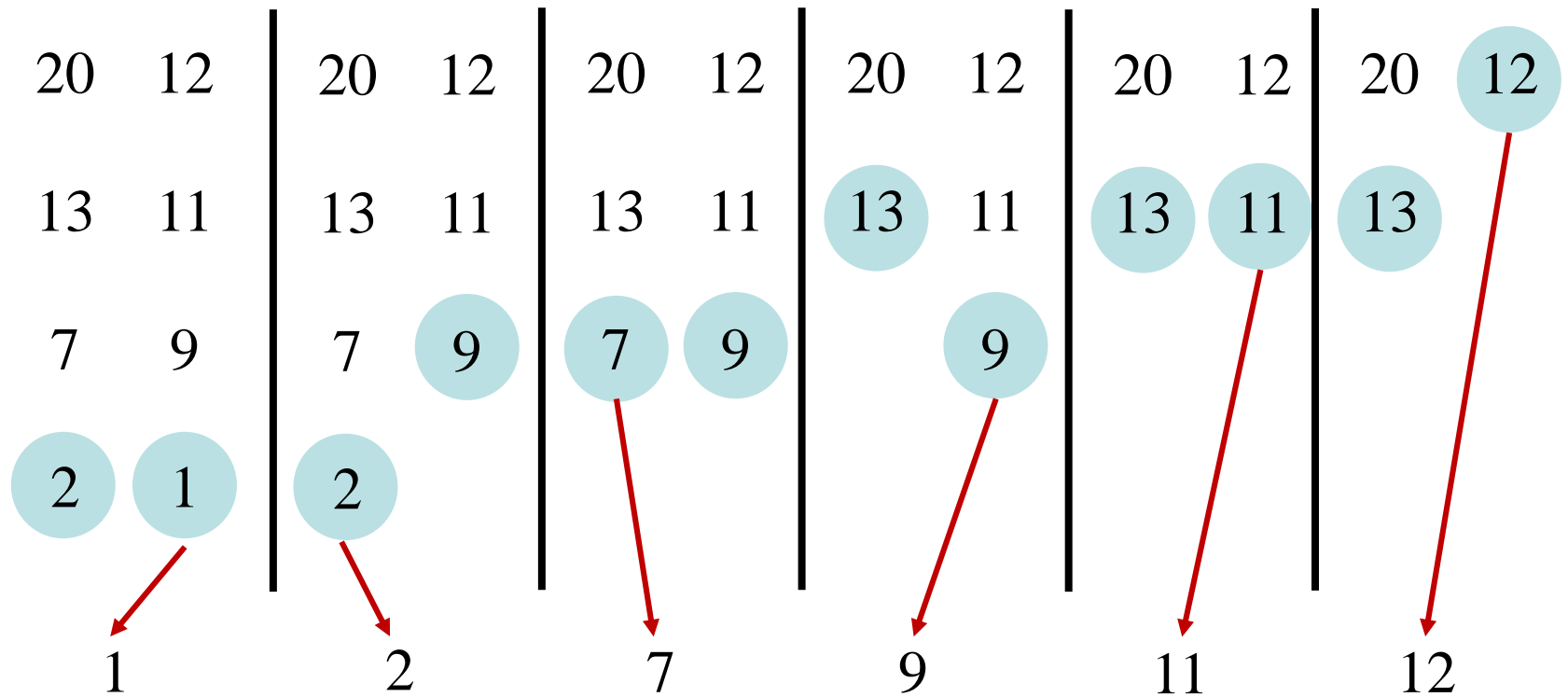


Merging two sorted arrays





Merging two sorted arrays



Time = $\Theta(n)$ to merge a total of n elements (linear time)



Analyzing merge sort

$T(n)$	MERGE-SORT $A[1 \dots n]$
$\Theta(1)$	1. If $n = 1$, done.
$2T(n/2)$	2. Recursively sort $A[1 \dots \lfloor n/2 \rfloor]$ and $A[\lfloor n/2 \rfloor + 1 \dots n]$.
$\Theta(n)$	3. “ <i>Merge</i> ” the 2 sorted lists.

Sloppiness: Should be $T(\lfloor n/2 \rfloor) + T(\lfloor n/2 \rfloor)$, but it turns out not to matter asymptotically



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Recurrence for merge sort

$$T(n) = \begin{cases} \Theta(1), & \text{if } n = 1; \\ 2T(n/2) + \Theta(n), & \text{if } n > 1. \end{cases}$$

- We shall usually omit stating the base case when $T(n) = \Theta(1)$ for sufficiently small n , but only when it has no effect on the asymptotic solution to the recurrence.



Solving recurrences

- The analysis of merge sort required us to solve a recurrence.
- Recurrences are like solving integrals, differential equations, etc.
 - Learn a few tricks.



Substitution method

➤ The most general method:

1. *Guess* the form of the solution.
2. *Verify* by induction.
3. *Solve* for constants.

➤ **EXAMPLE:** $T(n) = 4T(n/2) + n$

- [Assume that $T(1) = \Theta(1)$.]
- Guess $O(n^3)$. (Prove O and Ω separately.)
- Assume that $T(k) \leq ck^3$ for $k < n$.
- Prove $T(n) \leq cn^3$ by induction.



Example of substitution

$$\begin{aligned}T(n) &= 4T(n/2) + n \\&\leq 4c(n/2)^3 + n \\&= (c/2)n^3 + n \\&= cn^3 - ((c/2)n^3 - n) \quad \longleftarrow \text{desired-residual} \\&\leq cn^3 \quad \longleftarrow \text{desired}\end{aligned}$$

- whenever $(c/2)n^3 - n \geq 0$, for example, if $c \geq 0$ and $n \geq 1$
- We must also handle the initial conditions, that is, ground the induction with base cases.
- **Base:** $T(n) = \Theta(1)$ for all $n < n_0$, where n_0 is a suitable constant.
- For $1 \leq n < n_0$, we have “ $\Theta(1)$ ” $\leq cn^3$, if we pick c big enough.

This bound is not tight!



A tighter upper bound?

- We shall prove that $T(n) = O(n^2)$.
- Assume that $T(k) \leq ck^2$ for $k < n$:

$$T(n) = 4T(n/2) + n$$

$$\leq 4c(n/2)^2 + n$$

$$= cn^2 + n$$

$$= O(n^2)$$



A tighter upper bound?

➤ We shall prove that $T(n) = O(n^2)$.

➤ Assume that $T(k) \leq ck^2$ for $k < n$:

$$T(n) = 4T(n/2) + n$$

$$\leq 4c(n/2)^2 + n$$

$$= cn^2 + n$$

$$= O(n^2)$$

Wrong! We must prove the I.H.



A tighter upper bound?

➤ We shall prove that $T(n) = O(n^2)$.

➤ Assume that $T(k) \leq ck^2$ for $k < n$:

$$T(n) = 4T(n/2) + n$$

$$\leq 4c(n/2)^2 + n$$

$$= cn^2 + n$$

$$= O(n^2)$$

$$= cn^2 - (-n) \quad [\text{desired--residual}]$$

$$\leq cn^2 \quad \text{for no choice of } c > 0. \text{ *Lose!*}$$

Wrong! We must prove the I.H.



A tighter upper bound!

- **IDEA:** Strengthen the inductive hypothesis
- *Subtract* a low-order term
- Inductive hypothesis: $T(k) \leq c_1 k^2 - c_2 k$ for $k < n$.

$$\begin{aligned} T(n) &= 4T(n/2) + n \\ &\leq 4(c_1(n/2)^2 - c_2(n/2)) + n \\ &= c_1 n^2 - 2c_2 n + n \\ &= c_1 n^2 - c_2 n - (c_2 n - n) \\ &\leq c_1 n^2 - c_2 n \text{ if } c_2 \geq 1 \end{aligned}$$

- Pick c_1 big enough to handle the initial conditions.



Recursion-tree method

- A recursion tree models the costs (time) of a recursive execution of an algorithm.
- The recursion-tree method can be unreliable, just like any method that uses ellipses (...).
- The recursion-tree method promotes intuition, however.
- The recursion tree method is good for generating guesses for the substitution method



Example of recursion tree

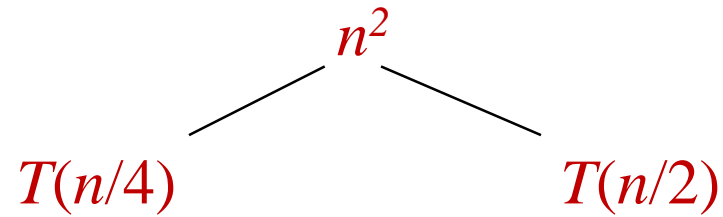
➤ Solve $T(n) = T(n/4) + T(n/2) + n^2$:

$$T(n)$$



Example of recursion tree

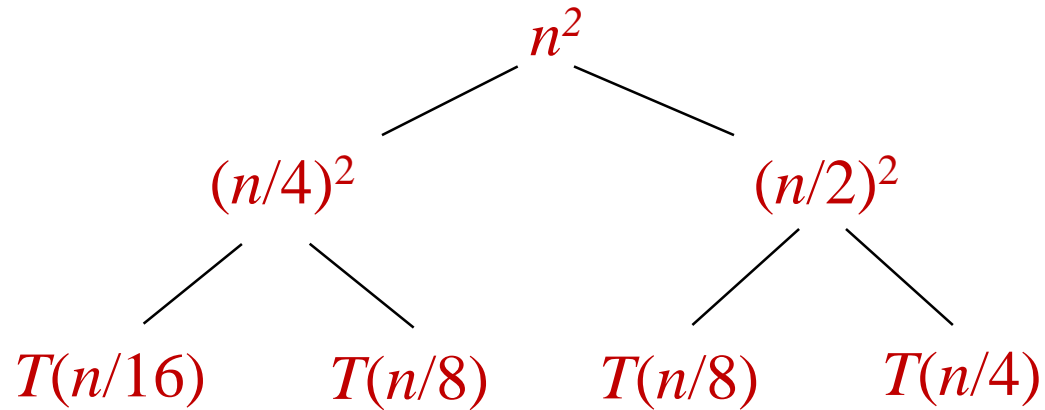
➤ Solve $T(n) = T(n/4) + T(n/2) + n^2$:





Example of recursion tree

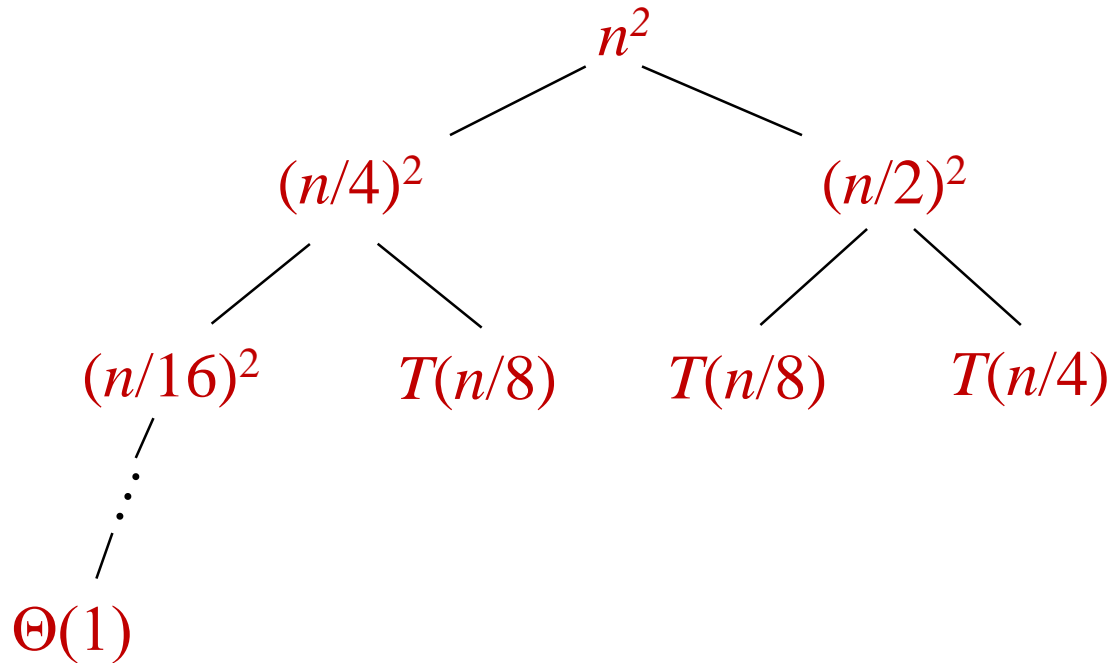
➤ Solve $T(n) = T(n/4) + T(n/2) + n^2$:





Example of recursion tree

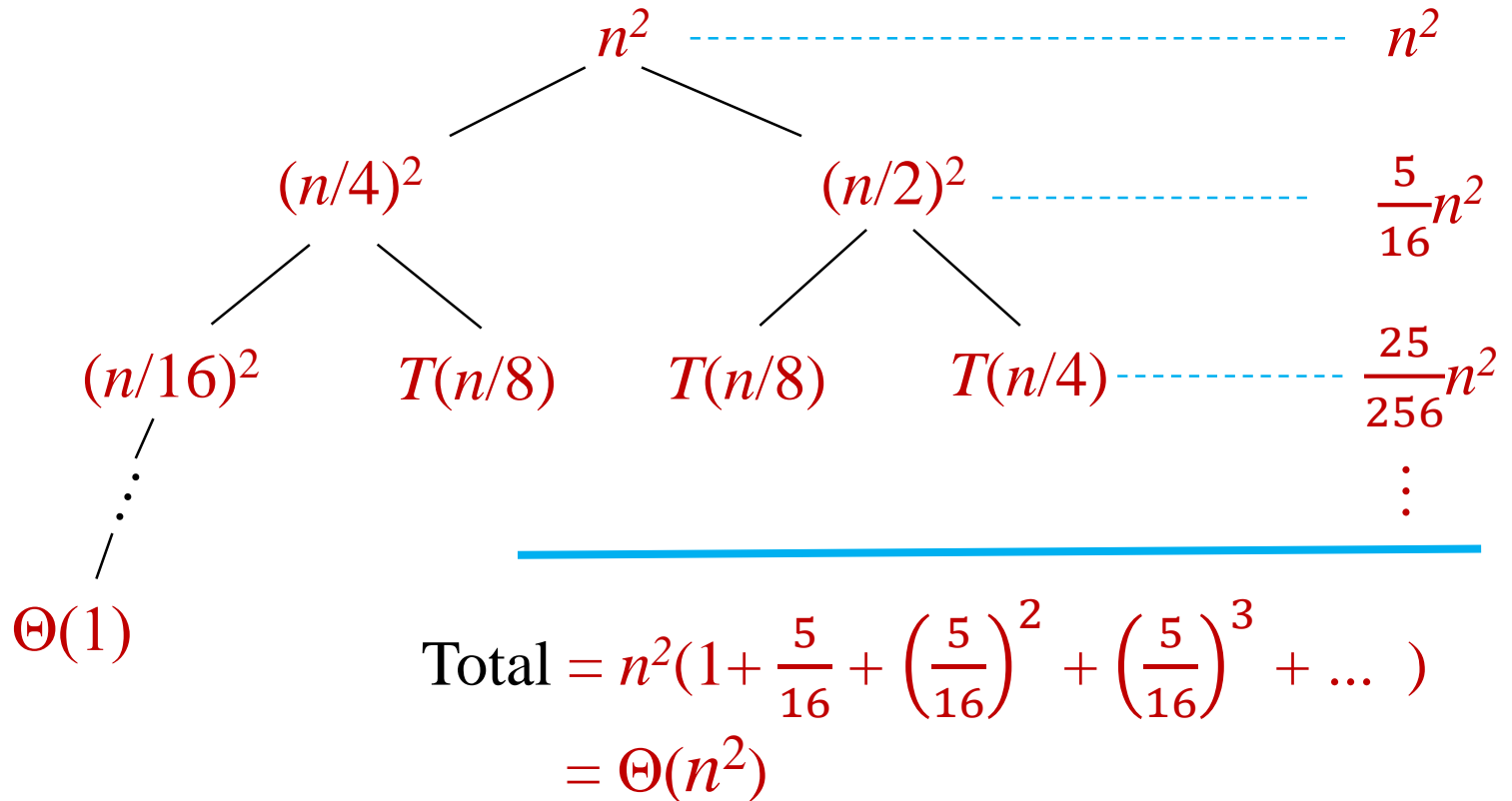
➤ Solve $T(n) = T(n/4) + T(n/2) + n^2$:





Example of recursion tree

➤ Solve $T(n) = T(n/4) + T(n/2) + n^2$:





The master method

- The master method applies to recurrences of the form

$$T(n) = aT(n/b) + f(n) ,$$

- where $a \geq 1$, $b > 1$, and f is asymptotically positive.



Three common cases

➤ Compare $f(n)$ with $n^{\log_b a}$:

1. $f(n) = O(n^{\log_b a - \varepsilon})$ for some $\varepsilon > 0$.

– $f(n)$ grows polynomially slower than $n^{\log_b a}$ (by an n^ε factor)

– **Solution:** $T(n) = \Theta(n^{\log_b a - \varepsilon})$

2. $f(n) = \Theta(n^{\log_b a} \lg^k n)$ for some constant $k \geq 0$.

– $f(n)$ and $n^{\log_b a}$ grow at similar rates.

– **Solution:** $T(n) = \Theta(n^{\log_b a - \varepsilon} \lg^{k+1} n)$

3. $f(n) = \Omega(n^{\log_b a + \varepsilon})$ for some $\varepsilon > 0$.

– $f(n)$ grows polynomially faster than $n^{\log_b a}$ (by an n^ε factor)

– **and** $f(n)$ grows satisfies the **regularity condition** that $af(n/b) \leq cf(n)$ for some constant $c < 1$.

– **Solution:** $T(n) = \Theta(f(n))$



Examples

$$T(n) = 4T(n/2) + n$$

$$a = 4, b = 2 \Rightarrow n^{\log_b a} = n^2; f(n) = n.$$

CASE1: $f(n) = O(n^{2-\epsilon})$ for $\epsilon = 1$.

$$\therefore T(n) = \Theta(n^2)$$

$$T(n) = 4T(n/2) + n^2$$

$$a = 4, b = 2 \Rightarrow n^{\log_b a} = n^2; f(n) = n^2.$$

CASE2: $f(n) = O(n^2 \lg^0 n)$, that is, $k = 0$.

$$\therefore T(n) = \Theta(n^2 \lg n)$$



Examples

$$T(n) = 4T(n/2) + n^3$$

$$a = 4, b = 2 \Rightarrow n^{\log_b a} = n^2; f(n) = n^3.$$

CASE3: $f(n) = \Omega(n^{2+\epsilon})$ for $\epsilon = 1$

and $4(n/2)^3 \leq cn^3$ (reg. cond.) for $c = 1/2$.

$$\therefore T(n) = \Theta(n^3)$$

$$T(n) = 4T(n/2) + n^2/\lg n$$

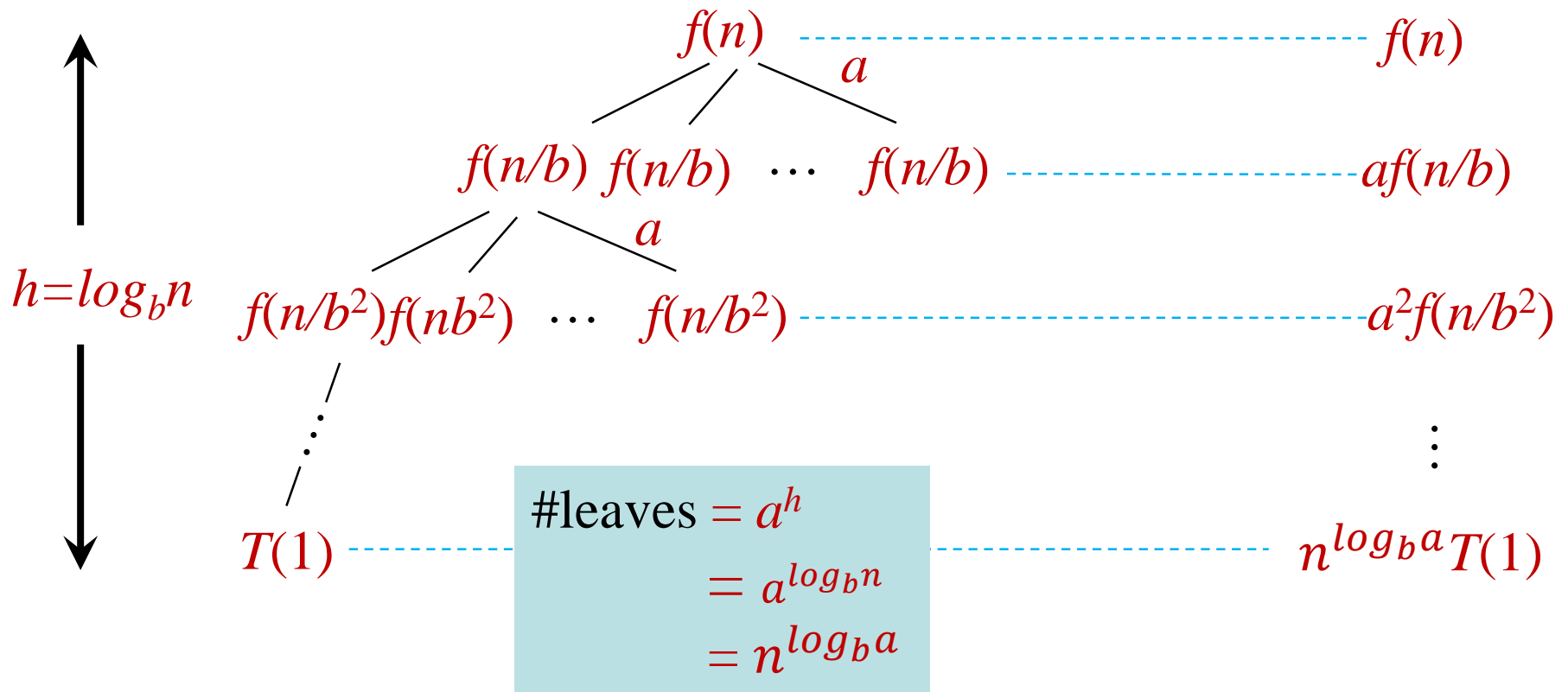
$$a = 4, b = 2 \Rightarrow n^{\log_b a} = n^2; f(n) = n^2/\lg n.$$

Master method does not apply. In particular, for every constant $\epsilon > 0$, we have $n^\epsilon = \omega(\lg n)$.



Idea of master theorem

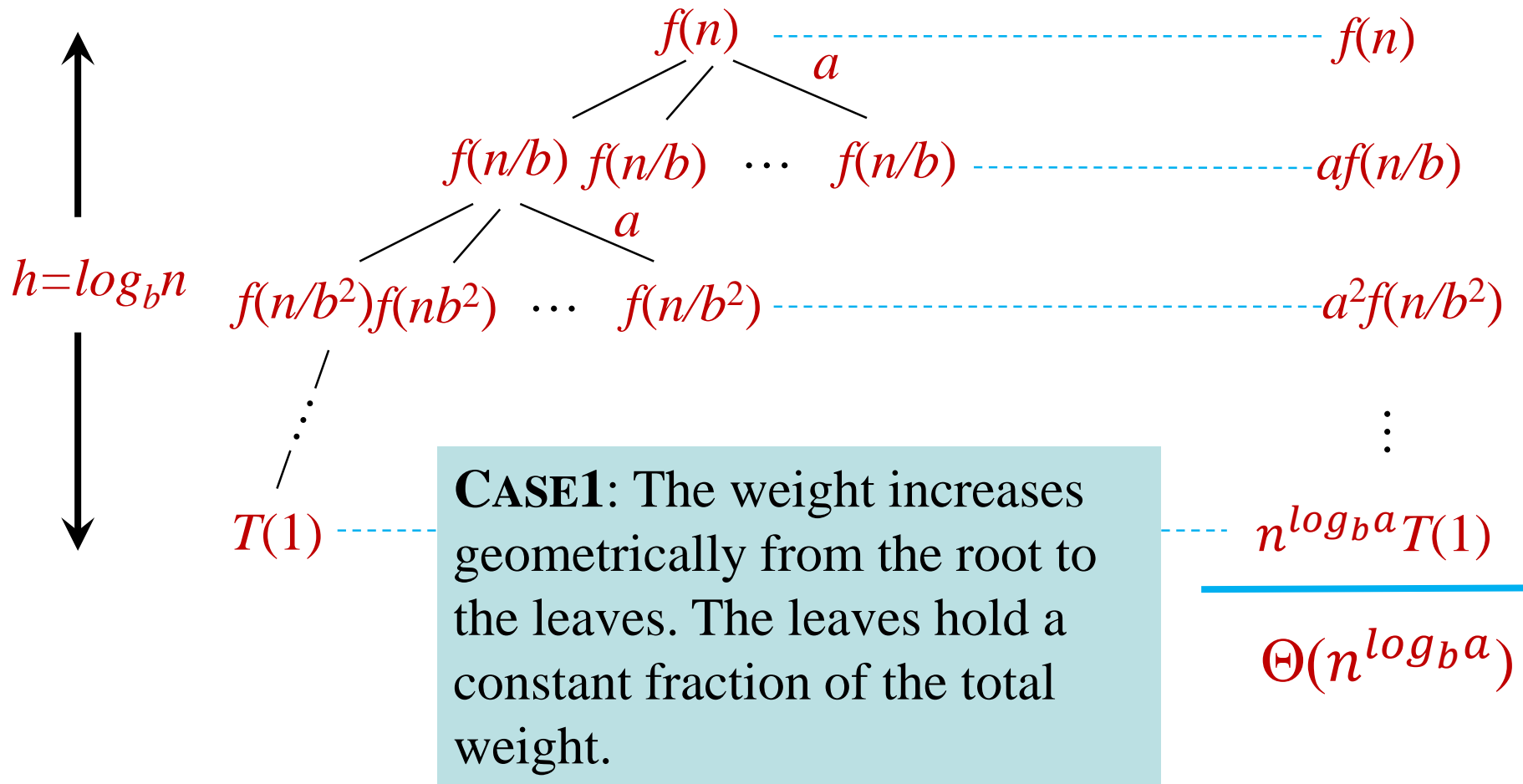
➤ *Recursion tree:*





Idea of master theorem

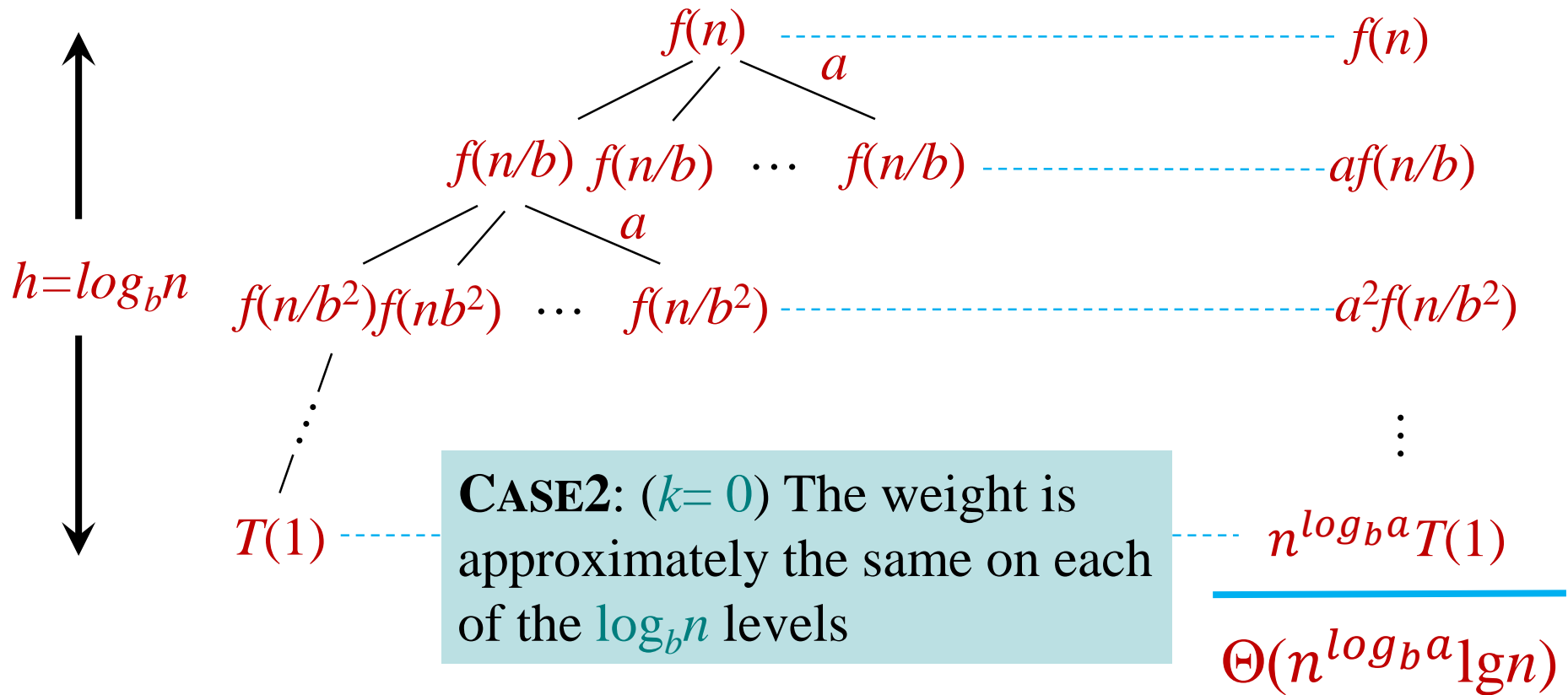
➤ *Recursion tree:*





Idea of master theorem

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Idea of master theorem

➤ *Recursion tree:*

