

# Chapter 2

## Basics of Algorithm Analysis



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## 2.1 Computational Tractability

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# Polynomial-Time

**Brute force.** For many non-trivial problems, there is a natural brute force search algorithm that checks every possible solution.

- Typically takes  $2^N$  time or worse for inputs of size  $N$ .
- Unacceptable in practice.

**Desirable scaling property.** When the input size doubles, the algorithm should only slow down by some constant factor  $C$ .

**Poly-time.**

There exists constants  $c > 0$  and  $d > 0$  such that on every input of size  $N$ , its running time is bounded by  $c N^d$  steps.

**Thm.** An algorithm is poly-time iff. the above scaling property holds.

↖  
choose  $C = 2^d$

# Polynomial-Time

Def. An algorithm is **efficient** if its running time is polynomial.

Exceptions.

- Some poly-time algorithms have high constants and/or exponents, and are useless in practice. Ex.  $6.02 \times 10^{23} \times N^{20}$

Justification: **It really works in practice!**

- In practice, the poly-time algorithms that people develop have low constants and low exponents.
- Breaking through the exponential barrier of brute force typically exposes some crucial structure of the problem.

# Why It Matters

**Table 2.1** The running times (rounded up) of different algorithms on inputs of increasing size, for a processor performing a million high-level instructions per second. In cases where the running time exceeds  $10^{25}$  years, we simply record the algorithm as taking a very long time.

	$n$	$n \log_2 n$	$n^2$	$n^3$	$1.5^n$	$2^n$	$n!$
$n = 10$	< 1 sec	< 1 sec	< 1 sec	< 1 sec	< 1 sec	< 1 sec	4 sec
$n = 30$	< 1 sec	< 1 sec	< 1 sec	< 1 sec	< 1 sec	18 min	$10^{25}$ years
$n = 50$	< 1 sec	< 1 sec	< 1 sec	< 1 sec	11 min	36 years	very long
$n = 100$	< 1 sec	< 1 sec	< 1 sec	1 sec	12,892 years	$10^{17}$ years	very long
$n = 1,000$	< 1 sec	< 1 sec	1 sec	18 min	very long	very long	very long
$n = 10,000$	< 1 sec	< 1 sec	2 min	12 days	very long	very long	very long
$n = 100,000$	< 1 sec	2 sec	3 hours	32 years	very long	very long	very long
$n = 1,000,000$	1 sec	20 sec	12 days	31,710 years	very long	very long	very long

# Worst-Case Analysis

**Worst case running time.** Obtain bound on **largest possible** running time of algorithm on input of a given size  $N$ .

- Generally captures efficiency in practice.
- Draconian view, but hard to find effective alternative.

## Exceptions.

- Some exponential-time (or worse) algorithms are widely used because the worst-case instances seem to be rare.

↖  
simplex method  
Unix grep

# Average-Case Analysis

取均值的前提是输入分布是均匀的，但实际很可能不是

**Average case running time.** Obtain bound on running time of algorithm on **random** input as a function of input size  $N$ .

- Need to choose a distribution over input instances
- Algorithm tuned for a certain distribution may perform poorly on other inputs.
- Average-case analysis may tell us more about the choice of distributions than about the algorithm itself.

## 2.2 Asymptotic Order of Growth

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# Asymptotic Order of Growth

**Upper bounds.**  $T(n)$  is  $O(f(n))$  if there exist constants  $c > 0$  and  $n_0 \geq 0$  such that for all  $n \geq n_0$  we have  $T(n) \leq c \cdot f(n)$ .

**Lower bounds.**  $T(n)$  is  $\Omega(f(n))$  if there exist constants  $c > 0$  and  $n_0 \geq 0$  such that for all  $n \geq n_0$  we have  $T(n) \geq c \cdot f(n)$ .

**Tight bounds.**  $T(n)$  is  $\Theta(f(n))$  if  $T(n)$  is both  $O(f(n))$  and  $\Omega(f(n))$ .

**Ex:**  $T(n) = 32n^2 + 17n + 32$ .

- $T(n)$  is  $O(n^2)$ ,  $O(n^3)$      $\leftarrow$  choose  $c=50$ ,  $n_0=1$
- $T(n)$  is  $\Omega(n^2)$ ,  $\Omega(n)$      $\leftarrow$  choose  $c=32$ ,  $n_0=1$
- $T(n)$  is  $\Theta(n^2)$
- $T(n)$  is not  $O(n)$ ,  $\Omega(n^3)$ ,  $\Theta(n)$ , or  $\Theta(n^3)$ .

# Notation

Slight abuse of notation.  $T(n) = O(f(n))$ .

- Asymmetric:
  - $f(n) = 5n^3$ ;  $g(n) = 3n^2$
  - $f(n) = O(n^3) = g(n)$
  - but  $f(n) \neq g(n)$ .
- Better notation:  $T(n) \in O(f(n))$ .

# Properties

## Transitivity.

- If  $f = O(g)$  and  $g = O(h)$  then  $f = O(h)$ .
- If  $f = \Omega(g)$  and  $g = \Omega(h)$  then  $f = \Omega(h)$ .
- If  $f = \Theta(g)$  and  $g = \Theta(h)$  then  $f = \Theta(h)$ .

## Additivity.

- If  $f = O(h)$  and  $g = O(h)$  then  $f + g = O(h)$ .
- If  $f = \Omega(h)$  and  $g = \Omega(h)$  then  $f + g = \Omega(h)$ .
- If  $f = \Theta(h)$  and  $g = O(h)$  then  $f + g = \Theta(h)$ .

# Asymptotic Bounds for Some Common Functions

**Polynomials.**  $a_0 + a_1n + \dots + a_dn^d$  is  $\Theta(n^d)$  if  $a_d > 0$ .

**Logarithms.**  $O(\log_a n) = O(\log_b n)$  for any constants  $a, b > 1$ .



can avoid specifying the  
base

**Logarithms.** For every  $x > 0$ ,  $\log n = O(n^x)$ .



log grows slower than every polynomial

**Exponentials.** For every  $r > 1$  and every  $d > 0$ ,  $n^d = O(r^n)$ .



every exponential grows faster than every polynomial

## 2.4 A Survey of Common Running Times

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## Linear Time: $O(n)$

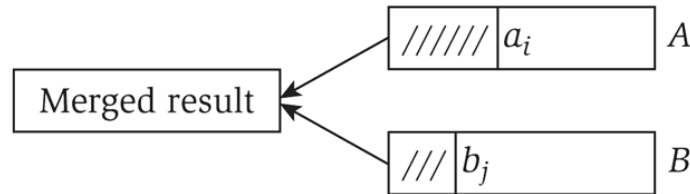
**Linear time.** Running time is at most a constant factor times the size of the input.

**Computing the maximum.** Compute maximum of  $n$  numbers  $a_1, \dots, a_n$ .

```
max ← a1
for i = 2 to n {
    if (ai > max)
        max ← ai
}
```

## Linear Time: $O(n)$

**Merge.** Combine two sorted lists  $A = a_1, a_2, \dots, a_n$  with  $B = b_1, b_2, \dots, b_n$  into sorted whole.



```
i = 1, j = 1
while (both lists are nonempty) {
    if (ai ≤ bj) append ai to output list and increment i
    else          append bj to output list and increment j
}
append remainder of nonempty list to output list
```

**Claim.** Merging two lists of size  $n$  takes  $O(n)$  time.

**Pf.** After each comparison, the length of output list increases by 1.

## $O(n \log n)$ Time

$O(n \log n)$  time. Arises in divide-and-conquer algorithms.



also referred to as linearithmic time

**Sorting.** Mergesort and heapsort are sorting algorithms that perform  $O(n \log n)$  comparisons.

**Largest empty interval.** Given  $n$  time-stamps  $x_1, \dots, x_n$  on which copies of a file arrive at a server, what is largest interval of time when no copies of the file arrive?

**$O(n \log n)$  solution.** Sort the time-stamps. Scan the sorted list in order, identifying the maximum gap between successive time-stamps.



## Quadratic Time: $O(n^2)$

Quadratic time. Enumerate all pairs of elements.

Closest pair of points. Given a list of  $n$  points in the plane  $(x_1, y_1), \dots, (x_n, y_n)$ , find the pair that is closest.

$O(n^2)$  solution. Try all pairs of points.

```
min ←  $(x_1 - x_2)^2 + (y_1 - y_2)^2$ 
for i = 1 to n {
  for j = i+1 to n {
    d ←  $(x_i - x_j)^2 + (y_i - y_j)^2$ 
    if (d < min)
      min ← d
  }
}
```

← don't need to  
take square roots

Remark.  $\Omega(n^2)$  seems inevitable, but this is just an illusion. ← see chapter 5  
可以更小

## Cubic Time: $O(n^3)$

Cubic time. Enumerate all triples of elements.

Set disjointness. Given  $n$  sets  $S_1, \dots, S_n$  each of which is a subset of  $1, 2, \dots, n$ , is there some pair of these which are disjoint?

$O(n^3)$  solution. For each pairs of sets, determine if they are disjoint.

```
foreach set  $S_i$  {  
    foreach other set  $S_j$  {  
        foreach element  $p$  of  $S_i$  {  
            determine whether  $p$  also belongs to  $S_j$   
        }  
        if (no element of  $S_i$  belongs to  $S_j$ )  
            report that  $S_i$  and  $S_j$  are disjoint  
    }  
}
```

## Polynomial Time: $O(n^k)$ Time

**Independent set of size  $k$ .** Given a graph, are there  $k$  nodes such that no two are joined by an edge?

↖  
 $k$  is a constant

**$O(n^k)$  solution.** Enumerate all subsets of  $k$  nodes.

```
foreach subset S of k nodes {  
    check whether S is an independent set  
    if (S is an independent set)  
        report S is an independent set  
    }  
}
```

- Check whether  $S$  is an independent set =  $O(k^2)$ .
- Number of  $k$  element subsets =  $\binom{n}{k} = \frac{n(n-1)(n-2)\cdots(n-k+1)}{k(k-1)(k-2)\cdots(2)(1)} \leq \frac{n^k}{k!}$
- $O(k^2 n^k / k!) = O(n^k)$ .

↖  
poly-time for  $k=17$ ,  
but not practical

# Exponential Time

**Independent set.** Given a graph, what is maximum size of an independent set?

**$O(n^2 2^n)$  solution.** Enumerate all subsets.

```
S* ←  $\phi$ 
foreach subset S of nodes {
    check whether S is an independent set
    if (S is largest independent set seen so far)
        update S* ← S
}
```