Asymptotic Analysis



Analysis of Algorithms

- An algorithm is a finite set of precise instructions for performing a computation or for solving a problem.
- What is the goal of analysis of algorithms?
 - To compare algorithms mainly in terms of running time but also in terms of other factors (e.g., memory requirements, programmer's effort etc.)
- What do we mean by running time analysis?
 - Determine how running time increases as the size of the problem increases.

Input Size

- Input size (number of elements in the input)
 - size of an array
 - polynomial degree
 - # of elements in a matrix
 - # of bits in the binary representation of the input
 - vertices and edges in a graph

Types of Analysis

Worst case

- Provides an upper bound on running time
- An absolute guarantee that the algorithm would not run longer, no matter what the inputs are

Best case

- Provides a lower bound on running time
- Input is the one for which the algorithm runs the fastest

$Lower\ Bound \le Running\ Time \le Upper\ Bound$

Average case

- Provides a prediction about the running time
- Assumes that the input is random

How do we compare algorithms?

- We need to define a number of <u>objective</u> <u>measures</u>.
 - (1) Compare execution times?
 Not good: times are specific to a particular computer!!
 - (2) Count the number of statements executed? **Not good**: number of statements vary with the programming language as well as the style of the individual programmer.

Ideal Solution

- Express running time as a function of the input size n (i.e., f(n)).
- Compare different functions corresponding to running times.
- Such an analysis is independent of machine time, programming style, etc.

Example

- Associate a "cost" with each statement.
- Find the "total cost" by finding the total number of times each statement is executed.

Algorithm 1 Algorithm 2 Cost arr[0] = 0; c_1 for (i=0; i< N; i++) c_2 arr[1] = 0; c_1 arr[i] = 0; c_1 arr[2] = 0; c_1 arr[N-1] = 0; c_1 $c_1+c_1+...+c_1=c_1\times N$ $(N+1)\times c_2+N\times c_1=c_1\times N+c_2$

Another Example

```
    Algorithm 3

                                     Cost
  sum = 0;
                                          C_1
  for(i=0; i<N; i++)
     for(j=0; j<N; j++)
                                          C_2
          sum += arr[i][j];
                                          C_3
c_1 + c_2 \times (N+1) + c_2 \times N \times (N+1) + c_3 \times N^2
```

Asymptotic Analysis

- To compare two algorithms with running times f(n) and g(n), we need a rough measure that characterizes how fast each function grows.
- Hint: use rate of growth
- Compare functions in the limit, that is, asymptotically!

(i.e., for large values of *n*)

Rate of Growth

 Consider the example of buying elephants and goldfish:

Cost: cost_of_elephants + cost_of_goldfish
Cost ~ cost_of_elephants (approximation)

 The low order terms in a function are relatively insignificant for large n

$$n^4 + 100n^2 + 10n + 50 \sim n^4$$

i.e., we say that $n^4 + 100n^2 + 10n + 50$ and n^4 have the same rate of growth

Asymptotic Notation

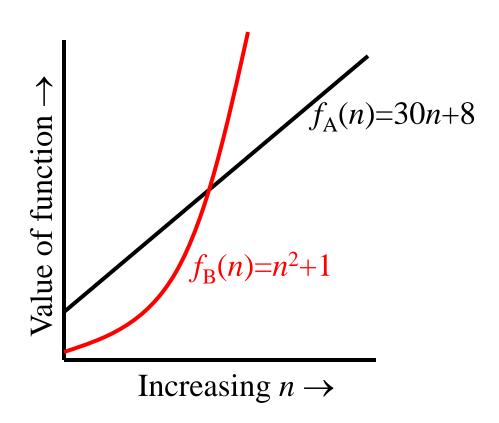
- O notation: asymptotic "less than":
 - f(n)=O(g(n)) implies: f(n) "≤" g(n)
- Ω notation: asymptotic "greater than":
 - f(n)= Ω (g(n)) implies: f(n) "≥" g(n)
- • notation: asymptotic "equality":
 - $f(n) = \Theta(g(n))$ implies: f(n) "=" g(n)

Big-O Notation

- We say $f_A(n)=30n+8$ is order n, or O (n) It is, at most, roughly proportional to n.
- $f_B(n)=n^2+1$ is order n^2 , or $O(n^2)$. It is, at most, roughly proportional to n^2 .
- In general, any $O(n^2)$ function is faster-growing than any O(n) function.

Visualizing Orders of Growth

 On a graph, as you go to the right, a faster growing function eventually becomes larger...



More Examples ...

- $n^4 + 100n^2 + 10n + 50$ is $O(n^4)$
- $10n^3 + 2n^2$ is $O(n^3)$
- n^3 n^2 is $O(n^3)$
- constants
 - -10 is O(1)
 - -1273 is O(1)

Back to Our Example

Algorithm 1

arr[0] = 0; c_1 arr[1] = 0; c_1 arr[2] = 0; c_1 ... arr[N-1] = 0; c_1

 $C_1 + C_1 + ... + C_1 = C_1 \times N$

Cost

Algorithm 2

for(i=0; ic_2
arr[i] = 0;
$$c_1$$

$$(N+1) \times c_2 + N \times c_1 = (c_2 + c_1) \times N + c_2$$

Both algorithms are of the same order: O(N)

Example (cont'd)

```
Algorithm 3 Cost

sum = 0; c_1

for(i=0; i<N; i++) c_2

for(j=0; j<N; j++) c_2

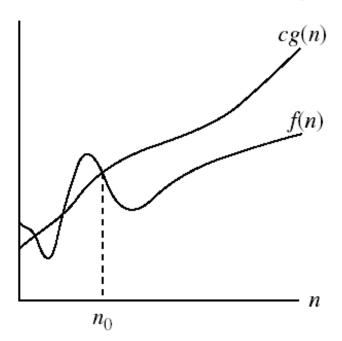
sum += arr[i][j]; c_3

c_1 + c_2 \times (N+1) + c_2 \times N \times (N+1) + c_3 \times N^2 = O(N^2)
```

Asymptotic notations

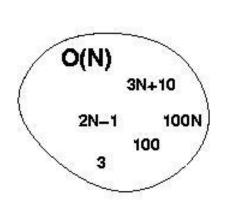
• *O-notation*

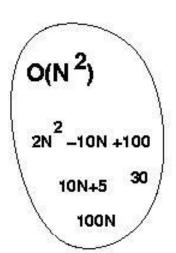
 $O(g(n)) = \{f(n) : \text{ there exist positive constants } c \text{ and } n_0 \text{ such that } 0 \le f(n) \le cg(n) \text{ for all } n \ge n_0 \}$.



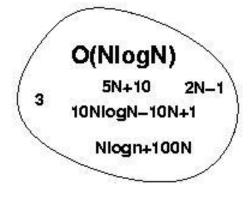
g(n) is an *asymptotic upper bound* for f(n).

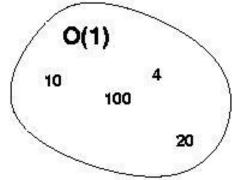
Big-O Visualization





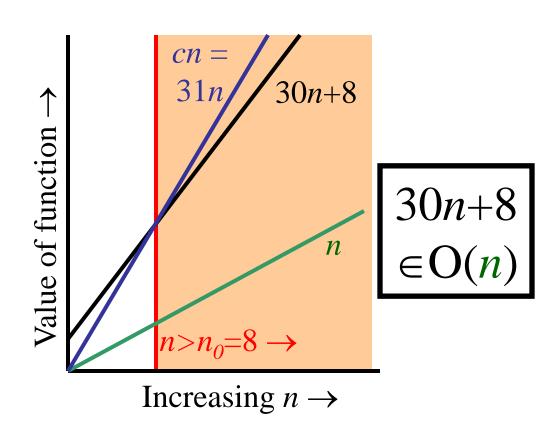
O(g(n)) is the set of functions with smaller or same order of growth as g(n)





Big-O example, graphically

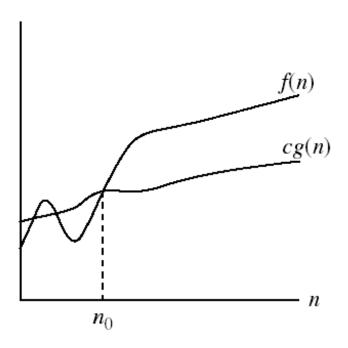
- Note 30n+8 isn't less than n anywhere (n>0).
- It isn't even less than 31n everywhere.
- But it is less than
 31n everywhere to the right of n=8.



Asymptotic notations (cont.)

• Ω - notation

 $\Omega(g(n)) = \{f(n) : \text{ there exist positive constants } c \text{ and } n_0 \text{ such that } 0 \le cg(n) \le f(n) \text{ for all } n \ge n_0 \}$.



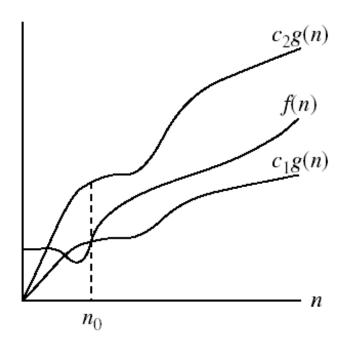
 $\Omega(g(n))$ is the set of functions with larger or same order of growth as g(n)

g(n) is an **asymptotic lower bound** for f(n).

Asymptotic notations (cont.)

• ⊕-notation

 $\Theta(g(n)) = \{f(n) : \text{ there exist positive constants } c_1, c_2, \text{ and } n_0 \text{ such that } 0 \le c_1 g(n) \le f(n) \le c_2 g(n) \text{ for all } n \ge n_0 \}$.

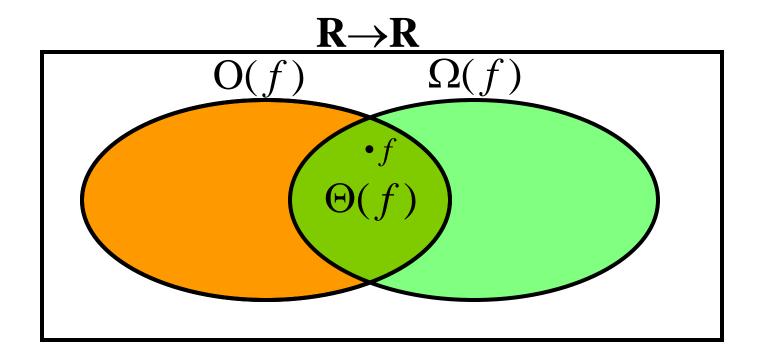


 $\Theta(g(n))$ is the set of functions with the same order of growth as g(n)

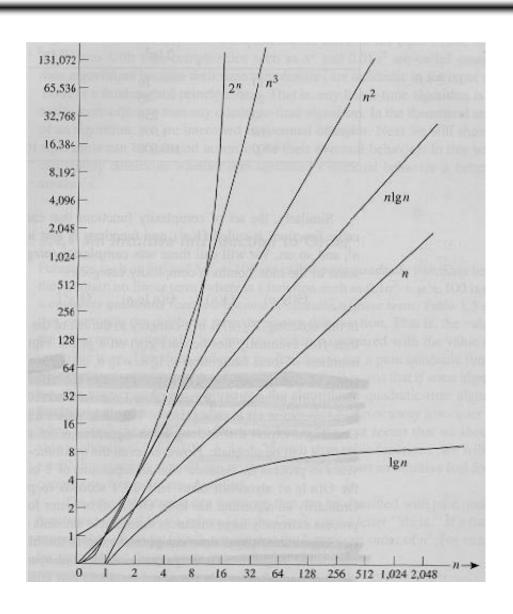
g(n) is an asymptotically tight bound for f(n).

Relations Between Different Sets

Subset relations between order-of-growth sets.



Common orders of magnitude



Common orders of magnitude

n	$f(n) = \lg n$	f(n) = n	$f(n) = n \lg n$	$f(n)=n^2$	$f(n)=n^3$	$f(n) = 2^n$
10	0.003 μs*	0.01 µs	0.033 μs	0.1 µs	1 μs	Lμs
20	0.004 μs	0.02 µs	0.086 µs	0.4 µs	8 μs	l ms [†]
30	0.005 μs	0.03 µs	0.147 μs	0.9 µs	27 μs	l s
40	0.005 μs	0.04 µs	0.213 μs	1,6 µs	64 μs	18.3 mir
50	0.005 μs	0.05 µs	0.282 µs	2.5 µs	.25 μs	13 days
10^{2}	0.007 μs	$0.10 \ \mu s$	0.664 µs	10 μs	1 ms	4×10^{15} years
10^{3}	0.010 μs	1.00 µs	9.966 µs	1 ms	1 s	
10 ⁴	0.013 µs	.0 μs	130 µs	100 ms	16.7 min	
10 ⁵	0.017 µs	0.10 ms	1.67 ms	10 s	11.6 days	
106	0.020 μs	1 ms	19.93 ms	16.7 min	31.7 years	
10^{7}	0.023 µs	0.01 s	0.23 s	1.16 days	31,709 years	
10^{8}	0.027 µs	0.10 s	2.66 s	115.7 days	3.17 × 10' years	
109	0.030 µs	1 s	29.90 s	31.7 years		

^{*}I $\mu s = 10^{-6}$ second.

 $^{^{\}dagger}1 \text{ ms} = 10^{-3} \text{ second.}$

Sorting – Part A



The Sorting Problem

Input:

- A sequence of n numbers a_1, a_2, \ldots, a_n

Output:

– A permutation (reordering) a_1', a_2', \ldots, a_n' of the input sequence such that $a_1' \le a_2' \le \cdots \le a_n'$

Structure of data

- Usually, the numbers to be sorted are part of a collection of data called a record
- Each record contains a key, which is the value to be sorted

example of a record

Key	other data
-----	------------

- Note that when the keys must be rearranged, the data associated with the keys must also be rearranged (time consuming !!)
- Pointers can be used instead (space consuming !!)

Why Study Sorting Algorithms?

- There are a variety of situations that we can encounter
 - Do we have randomly ordered keys?
 - Are all keys distinct?
 - How large is the set of keys to be ordered?
 - Need guaranteed performance?
- Various algorithms are better suited to some of these situations

Some Definitions

Internal Sort

 The data to be sorted is all stored in the computer's main memory.

External Sort

 Some of the data to be sorted might be stored in some external, slower, device.

In Place Sort

 The amount of extra space required to sort the data is constant with the input size.

Stability

 A STABLE sort preserves relative order of records with equal keys

Sorted on first key:

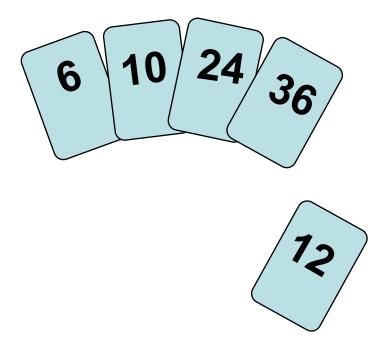
Aaron	4	A	664-480-0023	097 Little
Andrews	3	Α	874-088-1212	121 Whitman
Battle	4	U	991-878-4944	308 Blair
Chen	2	Α	884-232-5341	11 Dickinson
Fox	1	Α	243-456-9091	101 Brown
Furia	3	Α	766-093-9873	22 Brown
Gazsi	4	В	665-303-0266	113 Walker
Kanaga	3	В	898-122-9643	343 Forbes
Rohde	3	A	232-343-5555	115 Holder
Quilici	1	U	343-987-5642	32 McCosh

Sort file on second key:

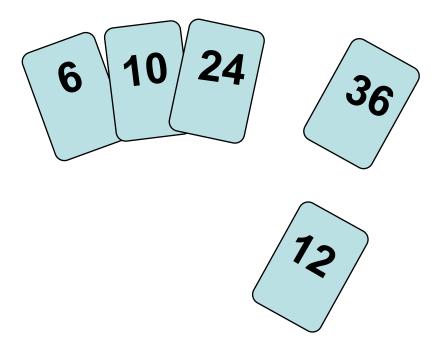
Records with key value 3 are not in order on first key!!

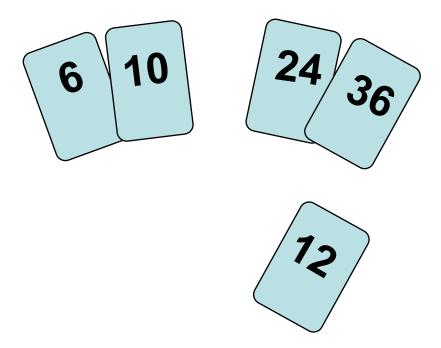
Fox	1	A	243-456-9091	101 Brown
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Battle	4	С	991-878-4944	308 Blair
Gazsi	4	В	665-303-0266	113 Walker
Aaron	4	Α	664-480-0023	097 Little

- Idea: like sorting a hand of playing cards
 - Start with an empty left hand and the cards facing down on the table.
 - Remove one card at a time from the table, and insert it into the correct position in the left hand
 - compare it with each of the cards already in the hand, from right to left
 - The cards held in the left hand are sorted
 - these cards were originally the top cards of the pile on the table



To insert 12, we need to make room for it by moving first 36 and then 24.



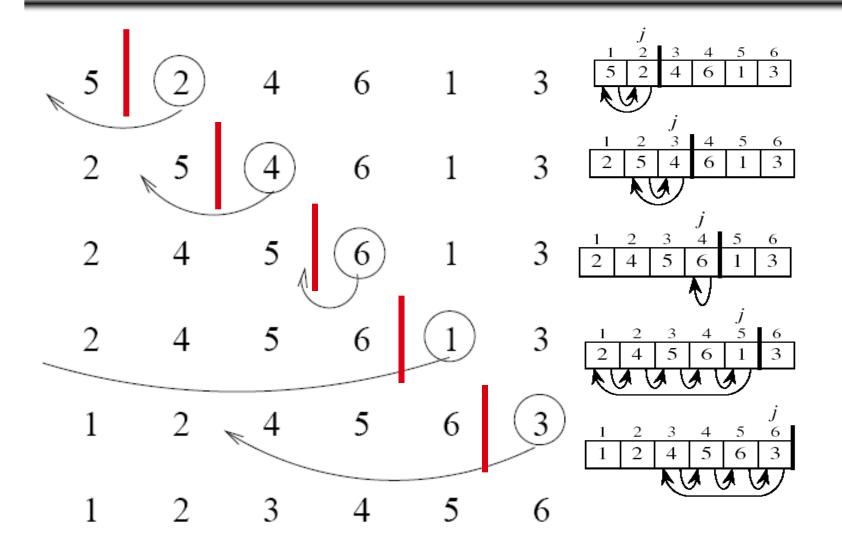


input array

5 2 4 6 1

at each iteration, the array is divided in two sub-arrays:

left sub-array right sub-array unsorted sorted



INSERTION-SORT

Insertion sort – sorts the elements in place

Best Case Analysis

- The array is already sorted "while i > 0 and A[i] > key"
 - $A[i] \le \text{key upon the first time the while loop test is run}$ (when i = j - 1)
 - $t_{j} = 1$
- $T(n) = c_1 n + c_2 (n 1) + c_4 (n 1) + c_5 (n 1) + c_8 (n 1)$ = $(c_1 + c_2 + c_4 + c_5 + c_8) n + (c_2 + c_4 + c_5 + c_8)$ = $an + b = \Theta(n)$

$$T(n) = c_1 n + c_2 (n-1) + c_4 (n-1) + c_5 \sum_{j=2}^{n} t_j + c_6 \sum_{j=2}^{n} (t_j - 1) + c_7 \sum_{j=2}^{n} (t_j - 1) + c_8 (n-1)$$

Worst Case Analysis

- The array is in reverse sorted order"while i > 0 and A[i] > key"
 - Always A[i] > key in while loop test
 - Have to compare key with all elements to the left of the j-th position \Rightarrow compare with j-1 elements \Rightarrow t_i = j

using
$$\sum_{j=1}^{n} j = \frac{n(n+1)}{2} \Rightarrow \sum_{j=2}^{n} j = \frac{n(n+1)}{2} - 1 \Rightarrow \sum_{j=2}^{n} (j-1) = \frac{n(n-1)}{2}$$
 we have:
$$T(n) = c_1 n + c_2 (n-1) + c_4 (n-1) + c_5 \left(\frac{n(n+1)}{2} - 1\right) + c_6 \frac{n(n-1)}{2} + c_7 \frac{n(n-1)}{2} + c_8 (n-1)$$
$$= an^2 + bn + c \qquad \text{a quadratic function of n}$$

• $T(n) = \Theta(n^2)$ order of growth in n^2

$$T(n) = c_1 n + c_2 (n-1) + c_4 (n-1) + c_5 \sum_{j=2}^{n} t_j + c_6 \sum_{j=2}^{n} \left(t_j - 1\right) + c_7 \sum_{j=2}^{n} \left(t_j - 1\right) + c_8 (n-1)$$

Comparisons and Exchanges in Insertion Sort

INSERTION-SORT(A)	cost	times
for j ← 2 to n	c_1	n
do key ← A[j]	c_2	n-1
Insert A[j] into the sorted sequence A[1 j	-1] O	n-1
$i \leftarrow j - 1$ $\approx n^2/2$ comparison	S C ₄	n-1
while i > 0 and A[i] > key	c ₅	$\sum_{j=2}^{n} t_j$
do A[i + 1] ← A[i]	c ₆	$\sum_{j=2}^{n} (t_j - 1)$
i ← i − 1 ≈ n²/2 exchange	c ₅ c ₇	$\sum\nolimits_{j=2}^{n}(t_{j}-1)$
A[i + 1] ← key	C ₈	n-1

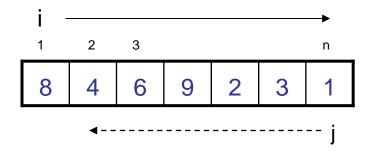
Insertion Sort - Summary

- Advantages
 - Good running time for "almost sorted" arrays $\Theta(n)$
- Disadvantages
 - Θ(n²) running time in worst and average case
 - $-\approx n^2/2$ comparisons and exchanges

Bubble Sort (Ex. 2-2, page 38)

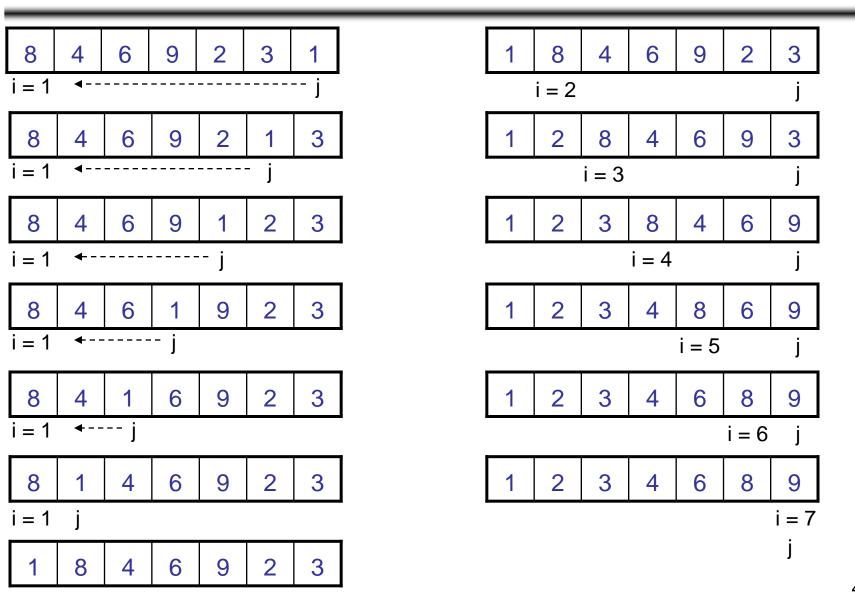
Idea:

- Repeatedly pass through the array
- Swaps adjacent elements that are out of order



Easier to implement, but slower than Insertion sort

Example



Bubble Sort

```
Alg.: BUBBLESORT(A)

for i \leftarrow 1 to length[A]

do for j \leftarrow length[A] downto i + 1

do if A[j] < A[j - 1]

then exchange A[j] \leftrightarrow A[j - 1]

i \longrightarrow [8]{4} 6 9 2 3 1
i = 1
```

Bubble-Sort Running Time

Alg.: BUBBLESORT(A)

for i
$$\leftarrow$$
 1 to length[A] c_1

do for j \leftarrow length[A] downto i + 1 c_2

Comparisons: \approx n²/2 do if A[j] $<$ A[j -1] c_3

Exchanges: \approx n²/2 then exchange A[j] \leftrightarrow A[j-1] c_4

T(n) = c_1 (n+1) + c_2 $\sum_{i=1}^{n}$ $(n-i+1) + c_3$ $\sum_{i=1}^{n}$ $(n-i) + c_4$ $\sum_{i=1}^{n}$ $(n-i)$

= Θ (n) + $(c_2 + c_2 + c_4)$ $\sum_{i=1}^{n}$ $(n-i)$

where $\sum_{i=1}^{n}$ $(n-i) = \sum_{i=1}^{n}$ $n - \sum_{i=1}^{n}$ $i = n^2 - \frac{n(n+1)}{2} = \frac{n^2}{2} - \frac{n}{2}$

Thus, $T(n) = \Theta(n^2)$

45

Selection Sort (Ex. 2.2-2, page 27)

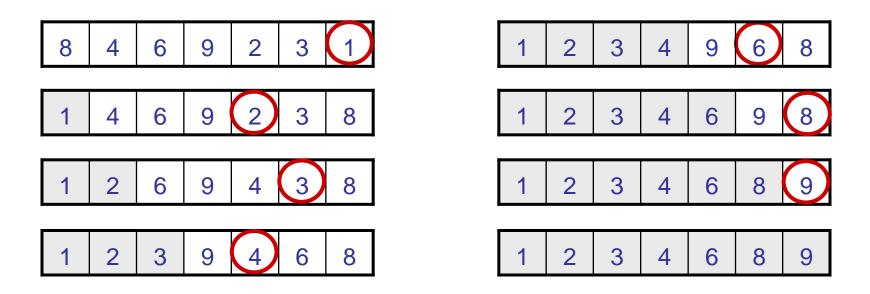
Idea:

- Find the smallest element in the array
- Exchange it with the element in the first position
- Find the second smallest element and exchange it with the element in the second position
- Continue until the array is sorted

Disadvantage:

 Running time depends only slightly on the amount of order in the file

Example



Selection Sort

```
Alg.: SELECTION-SORT(A)
   n \leftarrow length[A]
                                                   6
                                               4
  for j \leftarrow 1 to n - 1
       do smallest \leftarrow j
            for i \leftarrow j + 1 to n
                  do if A[i] < A[smallest]
                         then smallest \leftarrow i
            exchange A[j] \leftrightarrow A[smallest]
```

Analysis of Selection Sort

```
Alg.: SELECTION-SORT(A)
                                                                              times
                                                                    cost
      n \leftarrow length[A]
                                                                     C_1
     for j \leftarrow 1 to n - 1
            do smallest \leftarrow i
                                                                                n-1
                                                                      C_3
comparisons for i \leftarrow j + 1 to n
                                                                     C<sub>4</sub> \sum_{i=1}^{n-1} (n-j+1)
                                                                     C_5 \sum_{i=1}^{n-1} (n-j)
                        do if A[i] < A[smallest]
≈n
                                  then smallest \leftarrow i
                                                                      C_6 \sum_{i=1}^{n-1} (n-j)^{n-1}
exchanges
                  exchange A[j] \leftrightarrow A[smallest] c_7 n-1
T(n) = c_1 + c_2 n + c_3 (n-1) + c_4 \sum_{j=1}^{n-1} (n-j+1) + c_5 \sum_{j=1}^{n-1} (n-j) + c_6 \sum_{j=2}^{n-1} (n-j) + c_7 (n-1) = \Theta(n^2)
```

Sorting – Part B



Sorting

Insertion sort

– Design approach: incremental

Sorts in place: Yes

- Best case: $\Theta(n)$

- Worst case: $\Theta(n^2)$

Bubble Sort

Design approach: incremental

– Sorts in place: Yes

- Running time: $\Theta(n^2)$

Sorting

Selection sort

– Design approach: incremental

Sorts in place: Yes

- Running time: $\Theta(n^2)$

Merge Sort

Design approach: divide and conquer

Sorts in place: No

– Running time: Let's see!!

Divide-and-Conquer

- Divide the problem into a number of sub-problems
 - Similar sub-problems of smaller size
- Conquer the sub-problems
 - Solve the sub-problems <u>recursively</u>
 - Sub-problem size small enough ⇒ solve the problems in straightforward manner
- Combine the solutions of the sub-problems
 - Obtain the solution for the original problem

Merge Sort Approach

To sort an array A[p . . r]:

Divide

 Divide the n-element sequence to be sorted into two subsequences of n/2 elements each

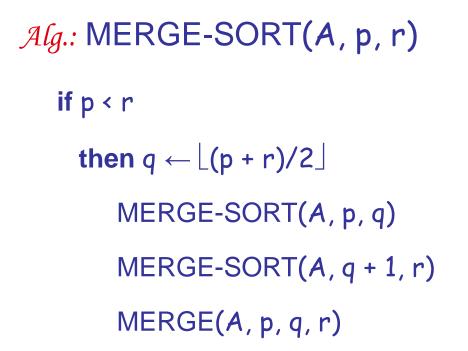
Conquer

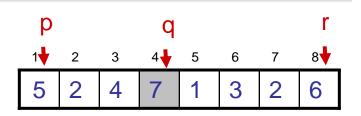
- Sort the subsequences recursively using merge sort
- When the size of the sequences is 1 there is nothing more to do

Combine

Merge the two sorted subsequences

Merge Sort

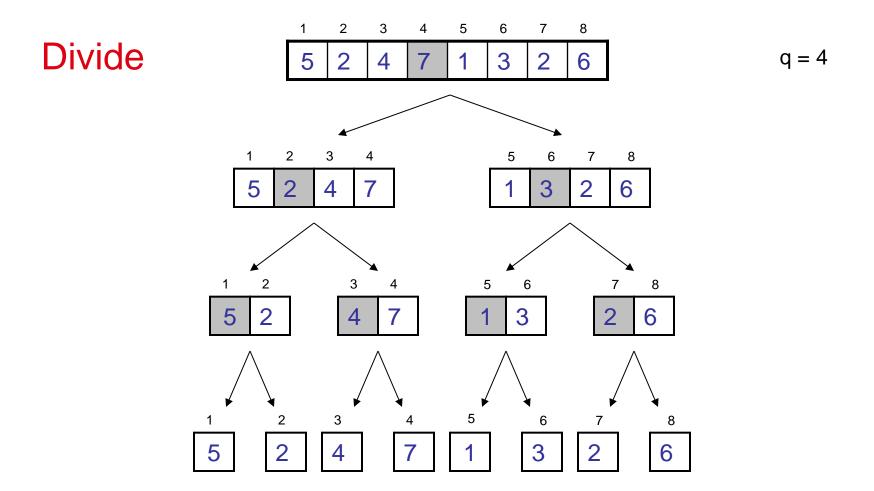




- ▶ Check for base case
- **Divide**
- ▶ Conquer
- ▶ Conquer

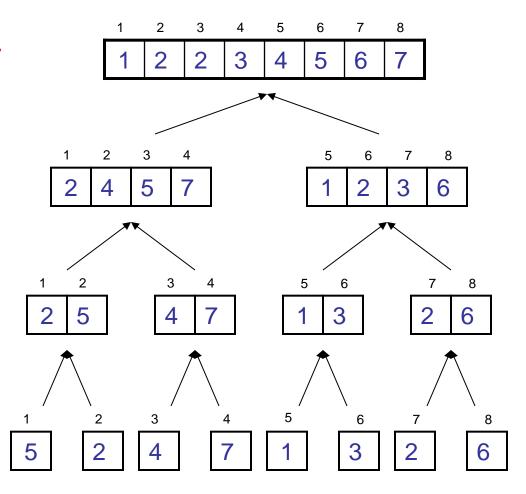
Initial call: MERGE-SORT(A, 1, n)

Example – n Power of 2

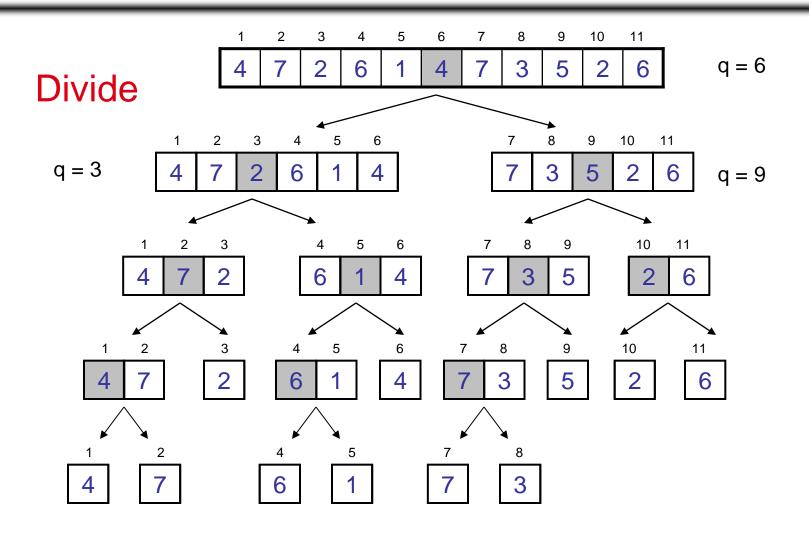


Example – n Power of 2

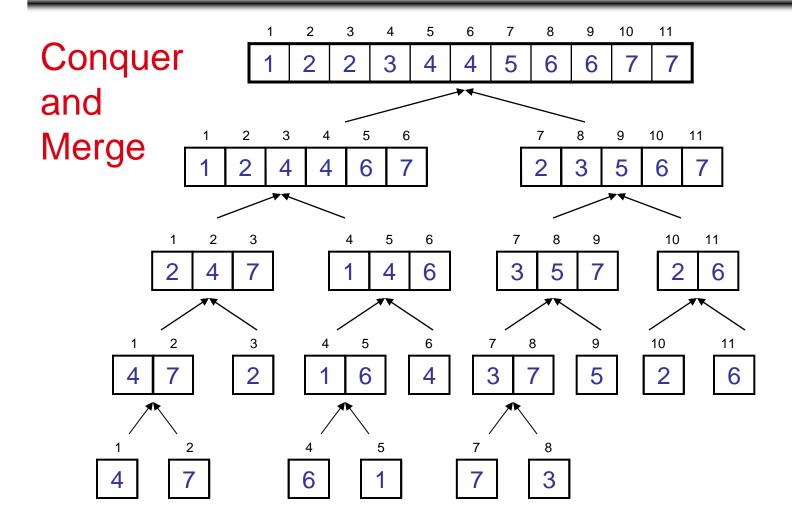
Conquer and Merge



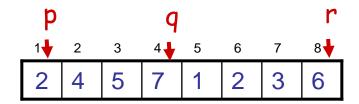
Example – n Not a Power of 2



Example – n Not a Power of 2



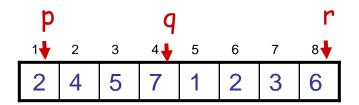
Merging



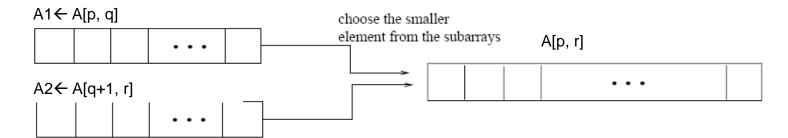
- Input: Array A and indices p, q, r such that
 p ≤ q < r
 - Subarrays A[p..q] and A[q+1..r] are sorted
- Output: One single sorted subarray A[p . . r]

Merging

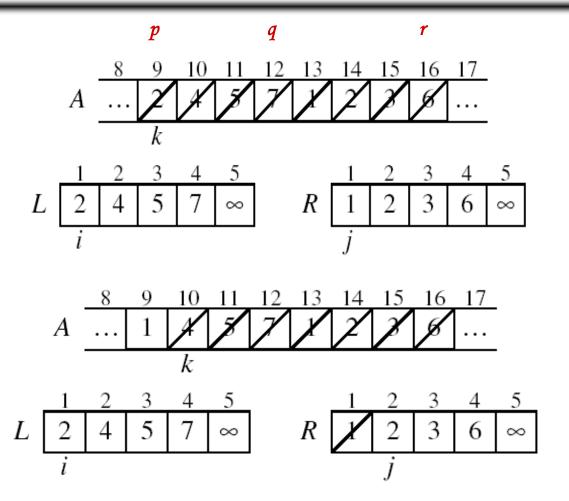
Idea for merging:



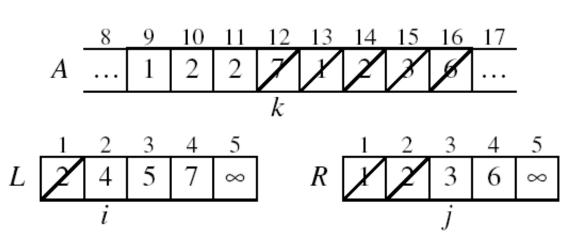
- Two piles of sorted cards
 - Choose the smaller of the two top cards
 - Remove it and place it in the output pile
- Repeat the process until one pile is empty
- Take the remaining input pile and place it face-down onto the output pile



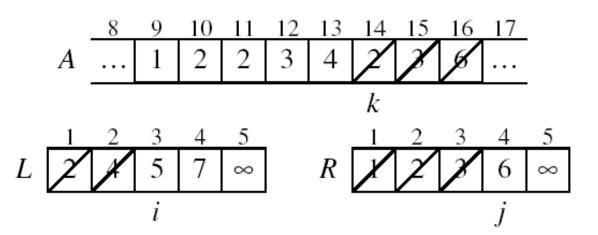
Example: MERGE(A, 9, 12, 16)



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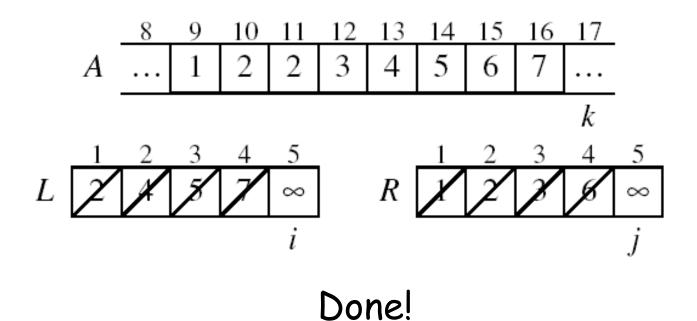


Example (cont.)



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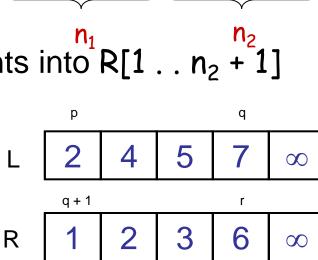
Example (cont.)



Merge - Pseudocode

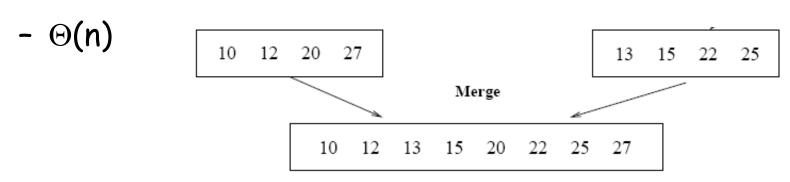
Alg.: MERGE(A, p, q, r)

- 1. Compute n₁ and n₂
- 2. Copy the first n_1 elements into $n_1 = n_2 + 1$ and the next n_2 elements into $R[1 ... n_2 + 1]$
- 3. $L[n_1 + 1] \leftarrow \infty$; $R[n_2 + 1] \leftarrow \infty$
- 4. $i \leftarrow 1$; $j \leftarrow 1$
- 5. **for** $k \leftarrow p$ **to** r
- 6. do if $L[i] \leq R[j]$
- 7. then $A[k] \leftarrow L[i]$
- 8. i ←i + 1
- 9. else $A[k] \leftarrow R[j]$
- 10. $j \leftarrow j + 1$



Running Time of Merge (assume last **for** loop)

- Initialization (copying into temporary arrays):
 - $-\Theta(n_1+n_2)=\Theta(n)$
- Adding the elements to the final array:
 - n iterations, each taking constant time $\Rightarrow \Theta(n)$
- Total time for Merge:



Analyzing Divide-and Conquer Algorithms

- The recurrence is based on the three steps of the paradigm:
 - T(n) running time on a problem of size n
 - Divide the problem into a subproblems, each of size
 n/b: takes D(n)
 - Conquer (solve) the subproblems aT(n/b)
 - Combine the solutions C(n)

$$T(n) = \begin{cases} \Theta(1) & \text{if } n \le c \\ aT(n/b) + D(n) + C(n) & \text{otherwise} \end{cases}$$

MERGE-SORT Running Time

Divide:

- compute q as the average of p and r: $D(n) = \Theta(1)$

Conquer:

recursively solve 2 subproblems, each of size n/2
 ⇒ 2T (n/2)

Combine:

- MERGE on an n-element subarray takes $\Theta(n)$ time ⇒ $C(n) = \Theta(n)$

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

Solve the Recurrence

$$T(n) = \begin{cases} c & \text{if } n = 1 \\ 2T(n/2) + cn & \text{if } n > 1 \end{cases}$$

Use Master's Theorem:

Compare n with f(n) = cnCase 2: $T(n) = \Theta(n|gn)$

Merge Sort - Discussion

Running time insensitive of the input

- Advantages:
 - Guaranteed to run in ⊕(nlgn)
- Disadvantage
 - Requires extra space ≈N