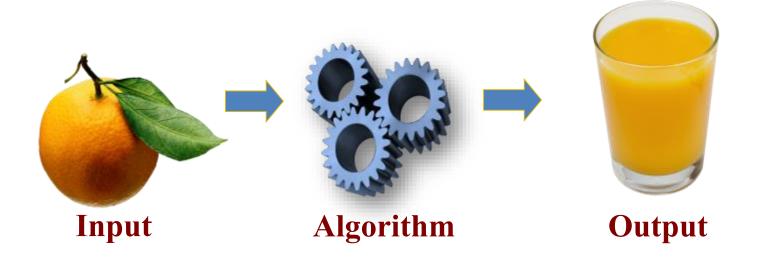
# Analysis of Algorithms



Instructor: Andy Mirzaian

#### Edsger Wybe Dijkstra [Turing Award Winner, 1972]

"Today a usual technique is to make a program and then to test it. But: program testing can be a very effective way to show the presence of bugs, but is hopelessly inadequate for showing their absence. The only effective way to raise confidence level of a program significantly is to give a convincing proof of its correctness. But one should not first make the program and then prove its correctness, because then the requirement of providing the proof would only increase the poor programmer's burden. On the contrary: the programmer should let correctness proof and program grow hand in hand."

# Part 1: Running Time

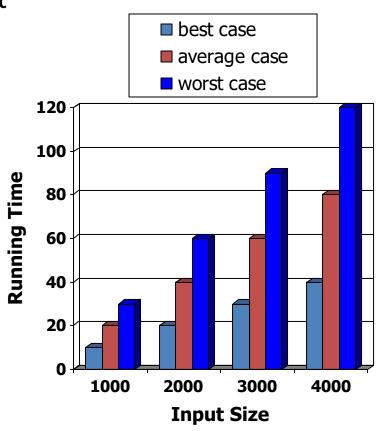


## **Running Time**

- Most algorithms transform input objects into output objects.
- The running time of an algorithm typically grows with the input size.
- Average case time is often difficult to determine.
- We focus on the worst case running time.
  - Easier to analyze

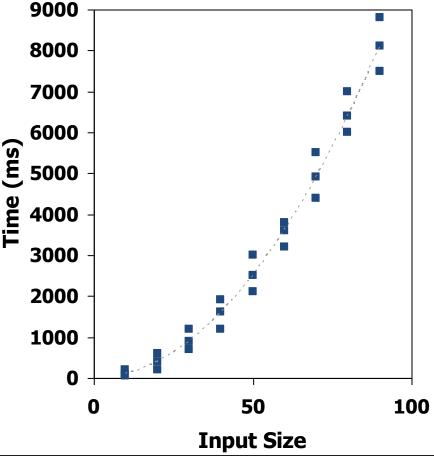
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 Crucial to applications such as games, finance and robotics



## **Experimental Studies**

- Write a program implementing the algorithm
- Run the program with inputs of varying size and composition, noting the time needed
- Plot the results



```
long startTime = System.currentTimeMillis();
// record the starting time
/* (run the algorithm) */
long endTime = System.currentTimeMillis();
long elapsed = endTime - startTime;
// compute the elapsed time
// compute the elapsed time
```

## Limitations of Experiments

- It is necessary to implement the algorithm, which may be difficult, time consuming or costly.
- Results may not be indicative of the running time on other inputs not included in the experiment.
- In order to compare two algorithms, the same hardware and software environments must be used.

## **Theoretical Analysis**

- Uses a high-level description of the algorithm instead of an implementation
- Characterizes running time as a function of the input size, n
- Takes into account all possible inputs

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Allows us to evaluate the speed of an algorithm independent of the hardware/software environment

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### Pseudocode

- High-level description of an algorithm
- More structured than English prose
- Less detailed than a program
- Preferred notation for describing algorithms
- Hides program design issues

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### **Pseudocode Details**



- Control flow
  - if ... then ... [else ...]
  - while ... do ...
  - repeat ... until ...
  - for ... do ...
  - Indentation replaces braces
- Method declaration

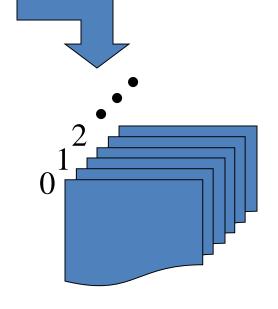
```
Algorithm method (arg [, arg...])
Input ...
Output ...
```

- Method call method (arg [, arg...])
- Return value return expression
- Expressions:
  - ← Assignment
  - = Equality testing
  - n<sup>2</sup> Superscripts and other mathematical formatting allowed

## The Random Access Machine (RAM) Model

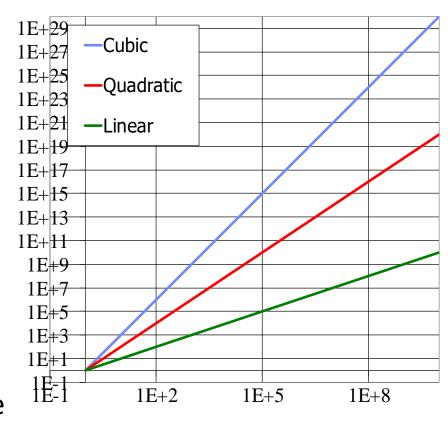
#### A RAM consists of

- A CPU
- A potentially unbounded bank of memory cells, each of which can hold an arbitrary number or character
- Memory cells are numbered and accessing any cell in memory takes unit time



## Seven Important Functions

- ☐ Seven functions that often appear in algorithm analysis:
  - Constant ≈ 1
  - Logarithmic ≈ log n
  - Linear ≈ n
  - N-Log-N  $\approx$  *n* log *n*
  - Quadratic  $\approx n^2$
  - Cubic  $\approx n^3$
  - **Exponential**  $\approx$  **2**<sup>n</sup>
- ☐ In a log-log chart,
  the slope of the line
  corresponds to the growth rate



n

## **Primitive Operations**

- Basic computations performed by an algorithm
- Identifiable in pseudocode
- Largely independent from the programming language
- Exact definition not important (we will see why later)
- Assumed to take a constant amount of time in the RAM model



#### **Examples:**

- Evaluating an expression
- Assigning a value to a variable
- Indexing into an array
- Calling a method
- Returning from a method

## **Counting Primitive Operations**

By inspecting the pseudocode, we can determine the maximum number of primitive operations executed by an algorithm, as a function of the input size

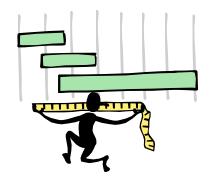
STEP	3	4	5	6	7	8	TOTAL
# ops	2	2	2n	2n-2	0 to 2n-2	1	4n+3 to 6n+1

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## **Estimating Running Time**



- Algorithm arrayMax executes 6n + 1 primitive operations in the worst case, 4n + 3 in the best case.
   Define:
  - a = Time taken by the fastest primitive operation
  - **b** = Time taken by the slowest primitive operation
- Let T(n) be worst-case time of arrayMax. Then  $a(4n + 3) \le T(n) \le b(6n + 1)$
- Hence, the running time T(n) is bounded by two linear functions

## **Growth Rate of Running Time**

- Changing the hardware/ software environment
  - $\circ$  Affects T(n) by a constant factor, but
  - $\circ$  Does not alter the growth rate of T(n)
- The linear growth rate of the running time T(n) is an intrinsic property of algorithm arrayMax

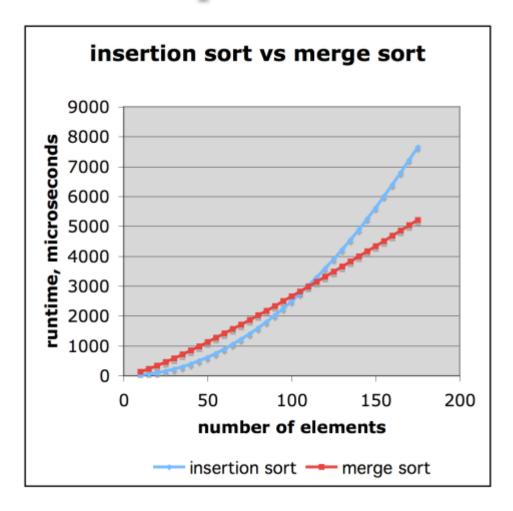


## Why Growth Rate Matters

if runtime is	time for n + 1	time for 2 n	time for 4 n
c lg n	c lg (n + 1)	c (lg n + 1)	c(lg n + 2)
c n	c (n + 1)	2c n	4c n
c n lg n	~ c n lg n + c n	2c n lg n + 2cn	4c n lg n + 4cn
c n <sup>2</sup>	~ c n <sup>2</sup> + 2c n	4c n <sup>2</sup>	16c n <sup>2</sup>
c n <sup>3</sup>	~ c n <sup>3</sup> + 3c n <sup>2</sup>	8c n <sup>3</sup>	64c n <sup>3</sup>
c 2 <sup>n</sup>	c 2 <sup>n+1</sup>	c 2 <sup>2n</sup>	c 2 <sup>4n</sup>

runtime quadruples when problem size doubles

## Comparison of Two Algorithms



insertion sort is  $n^2/4$ 

merge sort is 2 n lg n

sort a million items?

insertion sort takes roughly 70 hours

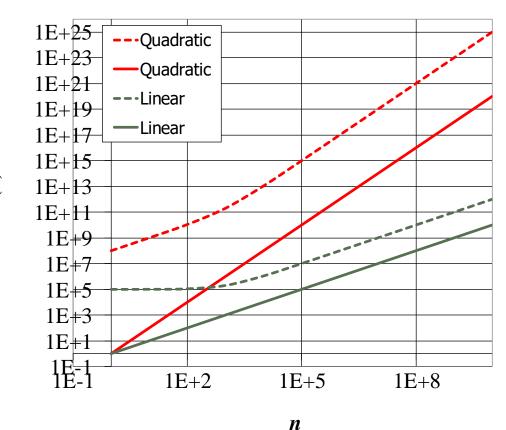
while

merge sort takes roughly 40 seconds

This is a slow machine, but if 100 x as fast, then it's 40 minutes versus less than 0.5 seconds

### **Constant Factors**

- The growth rate is not affected by
  - constant factors or
  - lower-order terms
- Examples
  - $0.0^{2}n + 10^{5}$  is a linear function
  - o  $10^5 n^2 + 10^8 n$  is a quadratic function



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## **Big-Oh Notation**

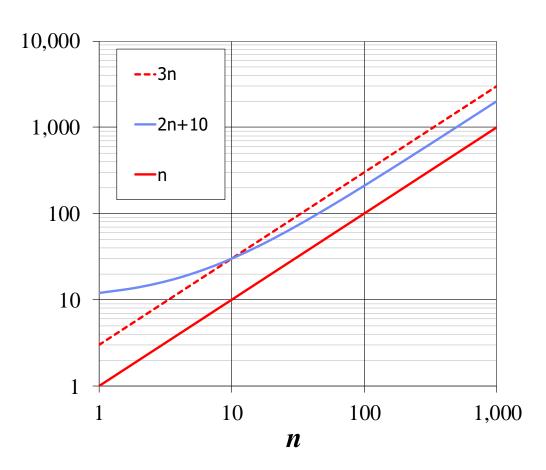
Given functions f(n) and g(n), we say that f(n) is
 O(g(n)) if there are positive constants
 c and n<sub>0</sub> such that

$$f(n) \le cg(n)$$
 for  $n \ge n_0$ 

- **Example:** 2*n* + 10 is *O*(*n*)
  - $\circ$  2n + 10  $\leq$  cn
  - $(c-2) n \ge 10$
  - $o n \ge 10/(c-2)$

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• Pick c = 3 and  $n_0 = 10$ 



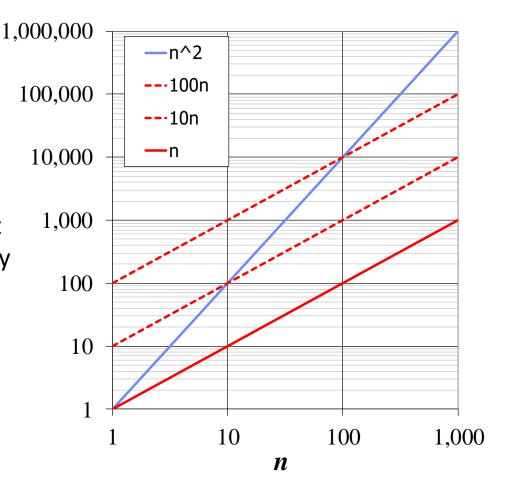
## Big-Oh Example

#### Example:

the function  $n^2$  is not O(n)

$$\circ$$
  $n^2 \leq cn$ 

- $\circ$   $n \leq c$
- The above inequality cannot be satisfied for all sufficiently large n, since c must be a constant



## More Big-Oh Examples



#### □ 7n - 2

7n-2 is O(n)  $need\ c>0\ and\ n_0\geq 1\ such\ that\ 7\ n-2\leq c\ n\ for\ n\geq n_0$  this is true for c=7 and  $n_0=1$ 

#### $\Box$ 3 n<sup>3</sup> + 20 n<sup>2</sup> + 5

 $3~n^3+20~n^2+5~is~O(n^3)$  need c>0 and  $n_0\geq 1$  such that  $3~n^3+20~n^2+5\leq c~n^3$  for  $n\geq n_0$  this is true for c=4 and  $n_0=21$ 

#### $\square$ 3 log n + 5

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3 log n + 5 is O(log n) need c > 0 and  $n_0 \ge 1$  such that 3 log n + 5  $\le$  c log n for n  $\ge n_0$  this is true for c = 8 and  $n_0$  = 2

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## Big-Oh and Growth Rate

- The big-Oh notation gives an upper bound on the growth rate of a function
- The statement "f(n) is O(g(n))" means that the growth rate of f(n) is no more than the growth rate of g(n)
- We can use the big-Oh notation to rank functions according to their growth rate

## Big-Oh Rules

- If f(n) is a polynomial of degree d, then f(n) is  $O(n^d)$ , i.e.,
  - drop lower-order terms
  - drop constant factors
- Use the smallest possible class of functions
  - O Say "2n is O(n)" instead of "2n is  $O(n^2)$ "
- Use the simplest expression of the class
  - Say "3n + 5 is O(n)" instead of "3n + 5 is O(3n)"



## Asymptotic Algorithm Analysis

- The asymptotic analysis of an algorithm determines the running time in big-Oh notation
- To perform the asymptotic analysis
  - We find the worst-case number of primitive operations executed as a function of the input size
  - We express this function with big-Oh notation

#### Example:

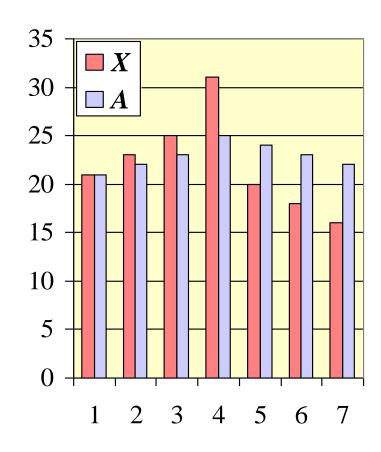
- We say that algorithm arrayMax "runs in O(n) time"
- Since constant factors and lower-order terms are eventually dropped anyhow, we can disregard them when counting primitive operations

## **Computing Prefix Averages**

- We further illustrate
   asymptotic analysis with two
   algorithms for prefix averages
- The *i*-th prefix average of an array *X* is average of the first (*i* + 1) elements of *X*:

$$A[i] = (X[0] + X[1] + ... + X[i])/(i+1)$$

 Computing the array A of prefix averages of another array X has applications to financial analysis

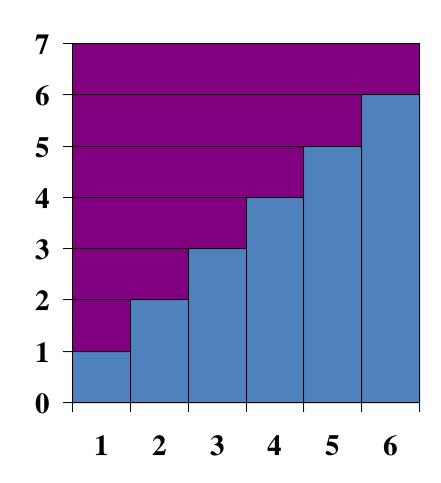


## Prefix Averages (Quadratic)

The following algorithm computes prefix averages in quadratic time by applying the definition

## **Arithmetic Progression**

- The running time of prefixAverage1 is
   O(1 + 2 + ...+ n)
- The sum of the first n integers is n(n + 1) / 2
  - There is a simple visual proof of this fact
- Thus, algorithm
   prefixAverage1 runs in
   O(n²) time



## Prefix Averages 2 (Linear)

The following algorithm uses a running sum to improve efficiency

```
/** Returns an array a such that, for all j, a[j] equals the average of x[0], ..., x[j]. */
    public static double[] prefixAverage2(double[] x) {
      int n = x.length;
      double[] a = new double[n];
                                              // filled with zeros by default
                                               // compute prefix sum as x[0] + x[1] + ...
 5
      double total = 0:
      for (int j=0; j < n; j++) {
        total += x[j];
                                               // update prefix sum to include x[i]
8
        a[j] = total / (j+1);
                                               // compute average based on current sum
10
      return a:
11
```

Algorithm prefixAverage2 runs in O(n) time!

## Math you need to Review

- Summations
- Powers
- Logarithms
- Proof techniques
  - Induction
  - **—** ...

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Basic probability

#### Properties of powers:

$$a^{b+c} = a^b * a^c$$

$$a^{b-c} = a^b / a^c$$

$$a^{b*c} = (a^b)^c$$
$$a^b = a^{b \log_c c} = c^{b \log_c a}$$

Properties of logarithms:

$$\log_b(x * y) = \log_b x + \log_b y$$

$$\log_b(x/y) = \log_b x - \log_b y$$

$$\log_b x^a = a \log_b x$$

$$x^{\log y} = y^{\log x}$$

$$\log_b x = (\log_c x)/(\log_c b)$$

## Relatives of Big-Oh



#### big-Omega

■ f(n) is  $\Omega(g(n))$  if there is a constant c > 0 and an integer constant  $n_0 \ge 1$  such that

$$f(n) \ge c g(n)$$
 for  $n \ge n_0$ 

#### big-Theta

■ f(n) is  $\Theta(g(n))$  if there are constants c' > 0 and c'' > 0 and an integer constant  $n_0 \ge 1$  such that

$$c' g(n) \le f(n) \le c'' g(n)$$
 for  $n \ge n_0$ 

## Intuition for Asymptotic Notation

**big-Oh** f(n) is O(g(n))

if f(n) is asymptotically

less than or equal to g(n)

**big-Omega** f(n) is  $\Omega(g(n))$ 

if f(n) is asymptotically

greater than or equal to g(n)

igsquare big-Theta f(n) is  $\Theta(g(n))$ 

if f(n) is asymptotically

equal to g(n)

## Example Uses of the Relatives of Big-Oh



#### 

f(n) is  $\Omega(g(n))$  if there is a constant c > 0 and an integer constant  $n_0 \ge 1$  such that  $f(n) \ge c \ g(n)$  for  $n \ge n_0$ . Let c = 5 and  $n_0 = 1$ .

#### $\blacksquare$ 5n<sup>2</sup> is $\Omega(n)$

f(n) is  $\Omega(g(n))$  if there is a constant c > 0 and an integer constant  $n_0 \ge 1$  such that  $f(n) \ge c \ g(n)$  for  $n \ge n_0$ . Let c = 1 and  $n_0 = 1$ .

#### 

f(n) is  $\Theta(g(n))$  if it is  $\Omega(n^2)$  and  $O(n^2)$ . We have already seen the former, for the latter recall that f(n) is O(g(n)) if there is a constant c > 0 and an integer constant  $n_0 \ge 1$  such that  $f(n) \le c \ g(n)$  for  $n \ge n_0$ . Let c = 5 and  $n_0 = 1$ .

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## Part 1: Summary



- Analyzing running time of algorithms
  - Experimentation & its limitations
  - Theoretical analysis
- Pseudo-code
- RAM: Random Access Machine
- 7 important functions
- Asymptotic notations: O(),  $\Omega()$ ,  $\Theta()$
- Asymptotic running time analysis of algorithms



## Part 2: Correctness



### Outline

- Iterative Algorithms:
   Assertions and Proofs of Correctness
- Binary Search: A Case Study

### **Assertions**

- An assertion is a statement about the state of the data at a specified point in your algorithm.
- An assertion is not a task for the algorithm to perform.
- You may think of it as a comment that is added for the benefit of the reader.

## **Loop Invariants**

- Binary search can be implemented as an iterative algorithm (it could also be done recursively).
- Loop Invariant: An assertion about the current state useful for designing, analyzing and proving the correctness of iterative algorithms.

## Other Examples of Assertions

- Pre-conditions: Any assumptions that must be true about the input instance.
- Post-conditions: The statement of what must be true when the algorithm/program returns.
- Exit-condition: The statement of what must be true to exit a loop.

## **Iterative Algorithms**

Take one step at a time towards the final destination

```
loop {
   if (done) { exit loop }
   take step
}
```

## An Example

**Problem:** Input: natural number n.

Output:  $2^n$ .

**Restriction:** No arithmetic ops other than "+".

```
Algorithm exp2(n)
       if (i \ge n) { exit loop } i \leftarrow i + 1, j \leftarrow j + j
return j
end
```

## An Example

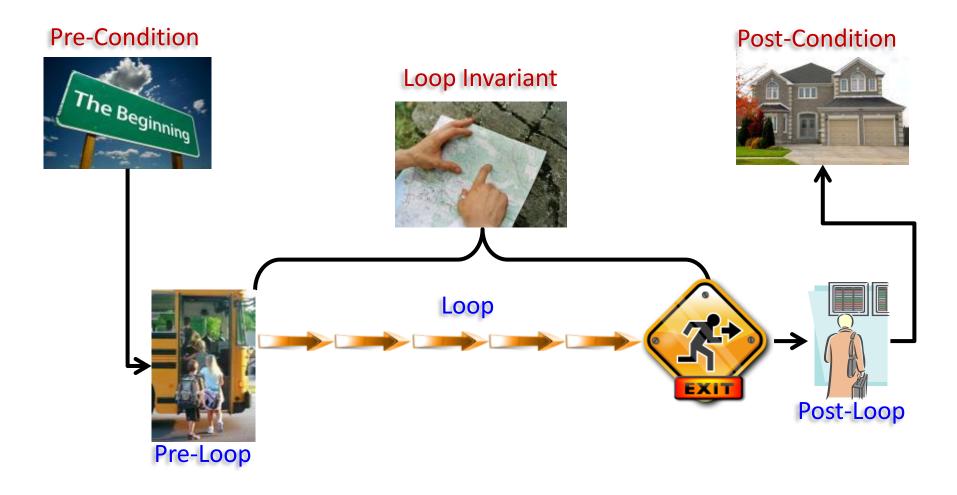
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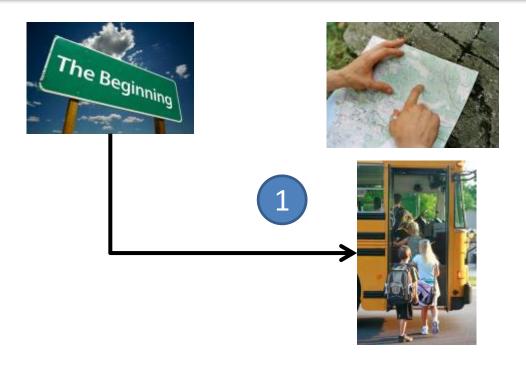
```
Algorithm exp2(n)
Pre-Condition: input n is a natural number.
                                                          establish LI
Post-Condition: outputs 2^n
i \leftarrow 0, j \leftarrow 1 // Pre-Loop code
loop { // Loop-Invariant: j = 2^i and i \le n
        if (i \ge n) { exit loop }
                                                           maintain LI
        i \leftarrow i + 1, j \leftarrow j + j // Loop body.
                                                         & make progress
return j // Post-Loop code-
                                                         use LI & exit-cond
end
                                                            to establish
                                                           post-condition
```

#### From Pre-Condition to Post-Condition



## **Establishing Loop Invariant**

 from the pre-condition on the input instance, establish the loop invariant.



## Maintain Loop Invariant

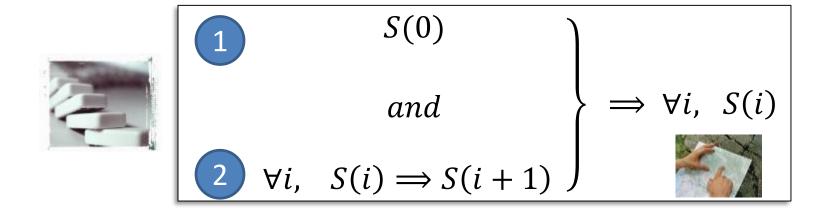


- Suppose that
  - 1) We start in a safe location (loop invariant just established from pre-condition)
  - If we are in a safe location (loop invariant), we always step to another safe location (loop invariant)
- Can we be assured that the computation will always keep us in a safe location?
- By what principle?

## Maintain Loop Invariant

By Induction the computation will always be in a safe location.

$$S(i) = \text{loop invariant}$$
  
at the end of iteration  $i$   
(beginning of iteration  $i+1$ )

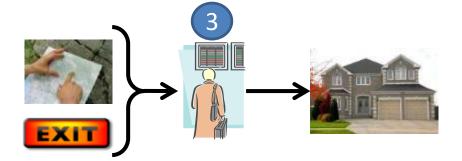


## **Ending The Algorithm**

Define Exit Condition

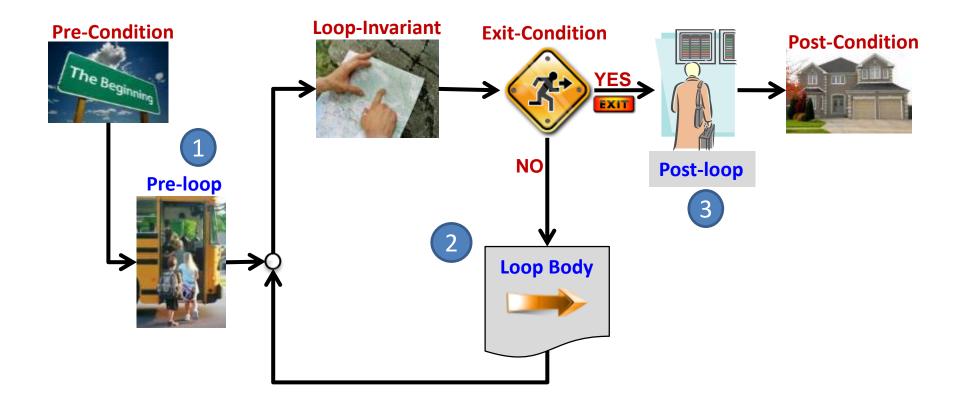
Termination: With sufficient progress,
 the exit condition will be met.

- When we exit, we know
  - loop invariant is true
  - exit condition is true



3) from these we must establish the **post-condition**.

## **Iterative Algorithm**



#### **Definition of Correctness**

<PreCond> & <code> ⇒ <PostCond>

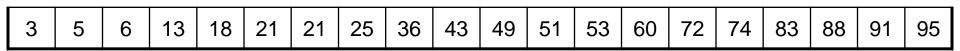
If the input meets the pre-conditions, then the output must meet the post-conditions.

If the input does not meet the preconditions, then nothing is required.

# Binary Search: a case study

## Define Problem: Binary Search

- PreConditions
  - Key 25
  - Sorted indexed List A



- PostConditions
  - Find key in list (if there).

25 36 

## Define Loop Invariant

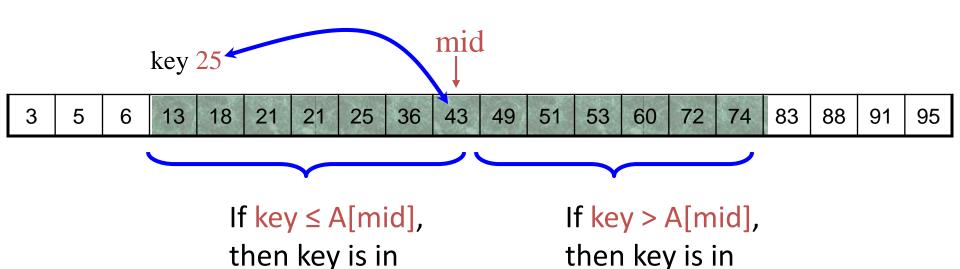
- Maintain a sub-list.
- LI: If the key is contained in the original list, then the key is contained in the sub-list.

key 25

3	5	6	13	18	21	21	25	36	43	49	51	53	60	72	74	83	88	91	95
---	---	---	----	----	----	----	----	----	----	----	----	----	----	----	----	----	----	----	----

## **Define Step**

- Cut sub-list in half.
- Determine which half the key would be in.
- Keep that half.



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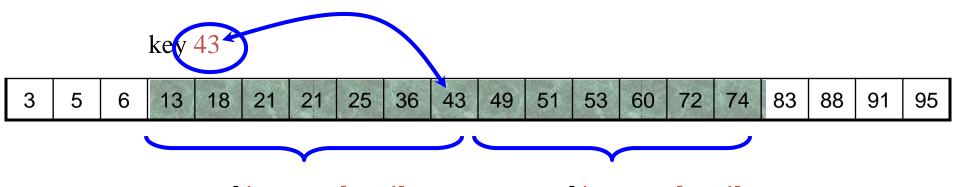
left half.

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right half.

## **Define Step**

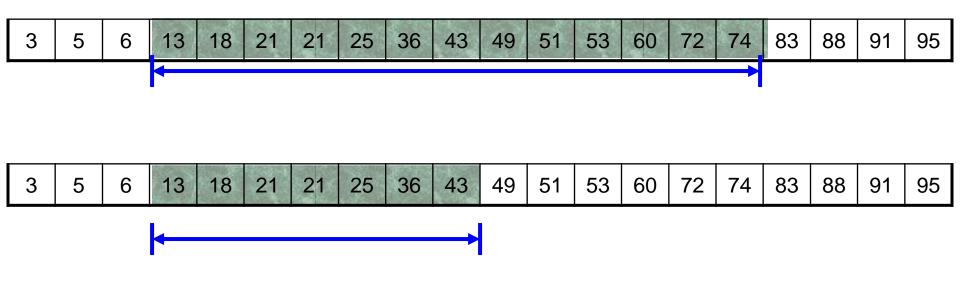
- It is faster not to check if the middle element is the key.
- Simply continue.



If key ≤ A[mid], then key is in left half. If key > A[mid], then key is in right half.

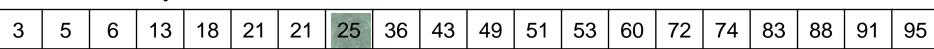
## Make Progress

The size of the list becomes smaller.



#### **Exit Condition**

key 25





 LI: If the key is contained in the original list, then the key is contained in the sub-list.



 If element = key, return associated entry.

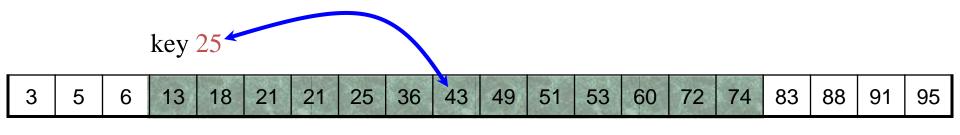
Sub-list contains one element.



Otherwise return false.

## **Running Time**

The sub-list is of size n,  $\frac{n}{2}$ ,  $\frac{n}{4}$ ,  $\frac{n}{8}$ , ..., 1 Each step O(1) time. Total time = O(log n)



If key ≤ A[mid], then key is in left half. If key > A[mid], then key is in right half.

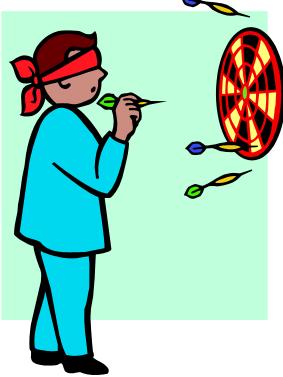
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```
Algorithm BinarySearch (A[1..n], key)
       condition>: A[1..n] is sorted in non-decreasing order
       <postcondition>: If key is in A[1..n], output is its location
       p \leftarrow 1, q \leftarrow n
       while p < q do
           <Loop-invariant>: if key is in A[1..n], then key is in A[p..q]
           \mathsf{mid} \leftarrow \left| \frac{p+q}{2} \right|
           if key \leq A[mid] then q \leftarrow mid
                                 else p \leftarrow mid + 1
       end while
       if key = A[p]
           then return (p)
           else return ("key not in list")
end algorithm
```

## Simple, right?

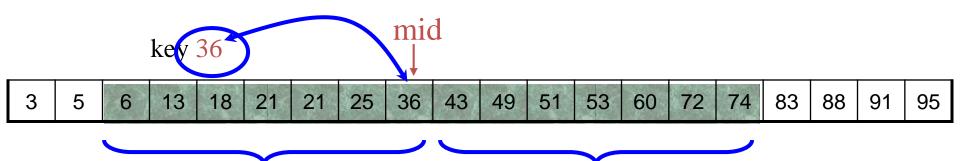
 Although the concept is simple, binary search is notoriously easy to get wrong.

Why is this?



- The basic idea behind binary search is easy to grasp.
- It is then easy to write pseudo-code that works for a 'typical' case.
- Unfortunately, it is equally easy to write pseudo-code that fails on the boundary conditions.

What condition will break the loop invariant?

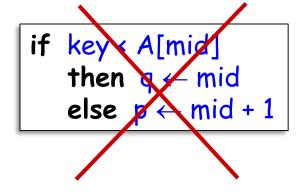


Code:  $key \ge A[mid] \rightarrow select right half$ 

Bug!!

```
if key \leq A[mid]
then q \leftarrow mid
else p \leftarrow mid + 1
```

```
if key \langle A[mid]
then q \leftarrow mid - 1
else p \leftarrow mid
```



OK

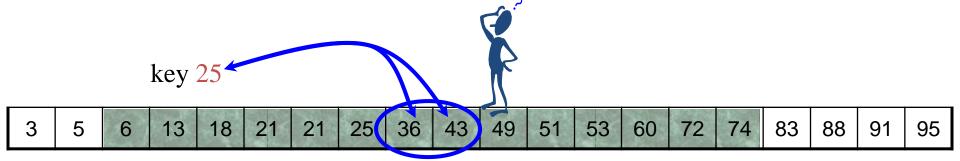
OK

Not OK!!

$$mid = \left| \frac{p+q}{2} \right|$$

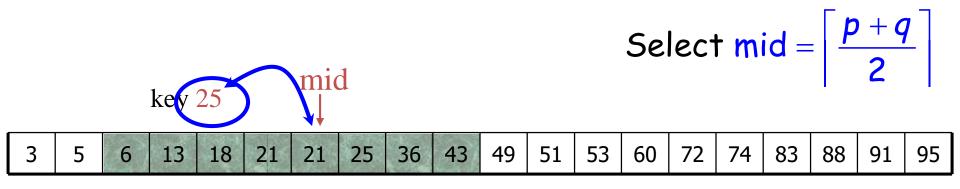
or

$$mid = \left| \frac{p+q}{2} \right|$$

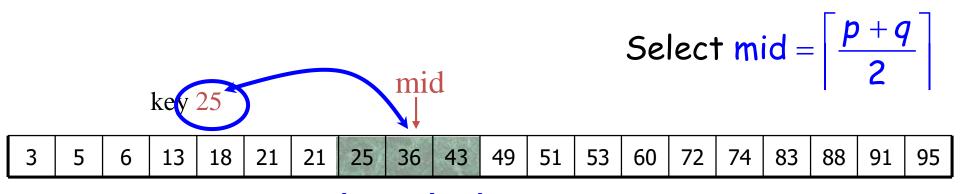


Shouldn't matter, right?

Select mid = 
$$\left\lceil \frac{p+q}{2} \right\rceil$$

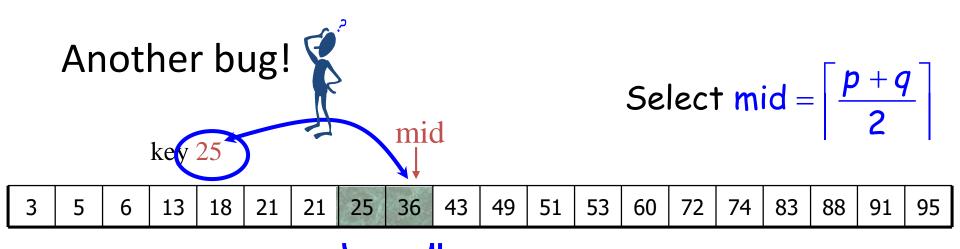


If key ≤ A[mid], then key is in left half. If key > A[mid], then key is in right half.

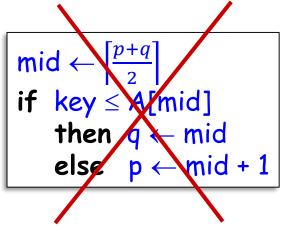


If key ≤ A[mid], If key > A[mid], then key is in then key is in left half. right half.

No progress toward goal: Loops Forever!



If key ≤ A[mid], If key > A[mid], then key is in then key is in left half. right half.



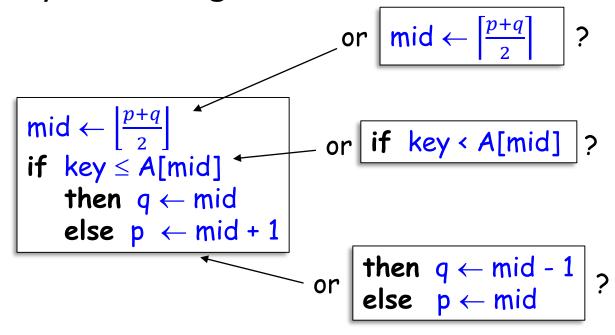
ЭK

OK

Not OK!!

## Getting it Right

- How many possible algorithms?
- How many correct algorithms?



#### Alternative Algorithm: Less Efficient but More Clear

```
Algorithm BinarySearch (A[1..n], key)
       condition>: A[1..n] is sorted in non-decreasing order
       <postcondition>: If key is in A[1..n], output is its location
       p \leftarrow 1, q \leftarrow n
       while p < q do
           <Loop-invariant>: if key is in A[1..n], then key is in A[p..q]
           \mathsf{mid} \leftarrow \left| \frac{p+q}{2} \right|
           if key \ A[mid]
                                                    Still O(log n), but with
                then q \leftarrow \text{mid} - 1
                                                    slightly larger constant.
                else if key > A[mid]
                         then p \leftarrow mid + 1
                         else return (mid)
                                                       Any bugs?
       end while
       return ("key not in list")
end algorithm
```

## Part 2: Summary



#### From Part 2, you should be able to:

- Use the loop invariant method to think about iterative algorithms.
- Prove that the loop invariant is established.
- Prove that the loop invariant is maintained in the 'typical' case.
- > Prove that the loop invariant is maintained at all boundary conditions.
- Prove that progress is made in the 'typical' case
- ➤ Prove that progress is guaranteed even near termination, so that the exit condition is always reached.
- ➤ Prove that the loop invariant, when combined with the exit condition, produces the post-condition.

