Algorithms and Datastructures Runtime analysis Minsort / Heapsort, Induction

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Structure

Runtime Example Minsort

Basic Operations

Runtime analysis

Minsort

Heapsort

Introduction to Induction

Logarithms

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Basic Operations

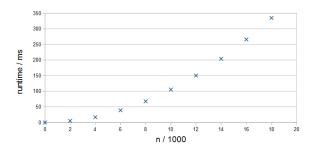
Runtime analysis

Minsort

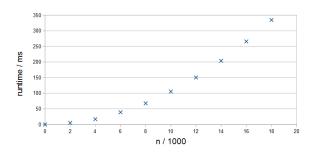
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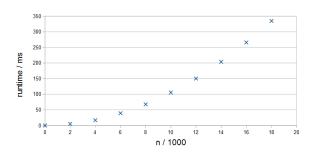


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 - What kind of computer the code is executed on
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- Abstraction 1: analyze the number of basic operations, rather than analyzing the runtime

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Basic Operations

Incomplete list of basic operations:

- Arithmetic operation, for example: a + b
- Assignment of variables, for example: x = y
- ► Function call, for example: minsort(lst)

Basic Operations

Intuitive:	Better:	Best:
lines of code	lines of machine code	process cycles

Important:

The actual runtime has to be roughly proportional to the number of operations.

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Reason: runtime is approximated by number of basic operations, but we can still infer:

- Upper bound
- ► Lower bound

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- ► Lower bound
- Basic Assmuption:
 - n is size of the input data (i.e. array)
 - ightharpoonup T(n) number of operations for input n

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$$C_1 \cdot n^2 \leq T(n) \leq C_2 \cdot n^2$$

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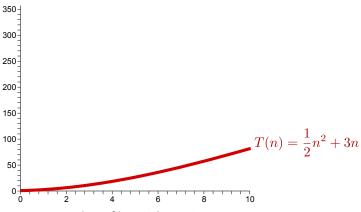
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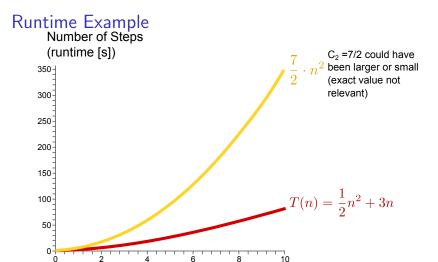
► This is called "quadratic runtime" (due to n^2)

Runtime Example Number of Steps

Number of Steps (runtime [s])



number of input elements n



number of input elements n

Runtime Example Number of Steps (runtime [s]) C_2 =7/2 could have n^2 been larger or small 350-(exact value not relevant) 300 250 200 150 100 50 C₁=1/2 could have been choosen smaller (not 0relevant), but not larger

number of input elements n

We declare:

▶ Runtime of operations: T(n)

Number of Elements: n

▶ Constants: C_1 (lower bound), C_2 (upper bound)

$$C_1 \cdot n^2 \leq T(n) \leq C_2 \cdot n^2$$

Number of operations in round i: T_i

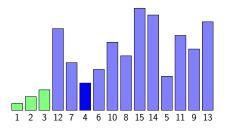


Figure: Minsort at iteration i = 4. We have to check n - 3 elements

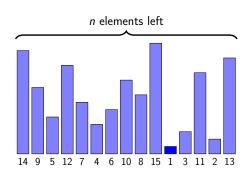


Figure: Minsort with start data

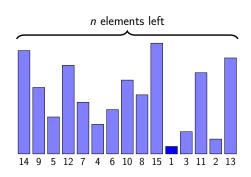


Figure: *Minsort* at iteration i = 1

$$T_1 \leq C_2' \cdot (n-0)$$

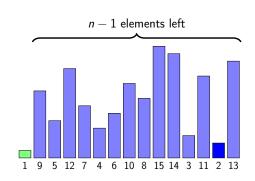


Figure: Minsort at iteration i = 2

$$T_1 \leq C_2' \cdot (n-0)$$

$$T_2 \leq C_2' \cdot (n-1)$$

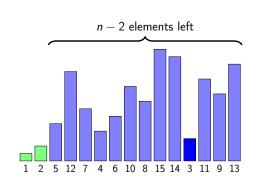


Figure: *Minsort* at iteration i = 3

$$T_1 \leq C_2' \cdot (n-0)$$

$$T_2 \leq C_2' \cdot (n-1)$$

$$T_3 \leq C_2' \cdot (n-2)$$

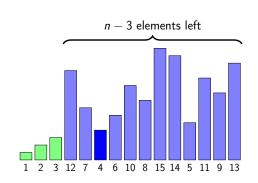


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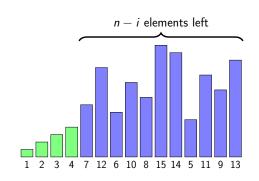


Figure: Minsort at iteration i

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 \vdots
 $T_{n-1} \le C_2' \cdot 2$
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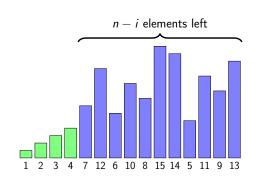


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$$T(n) = C'_2 \cdot (T_1 + \cdots + T_n) \le \sum_{i=1}^n (C'_2 \cdot i)$$

Alternative: Analyse the Code:

```
def minsort(elements):
    for i in range(0, len(elements)-1):
        minimum = i

        for j in range(i+1, len(elements)):
            if elements[j] < elements[minimum]:
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Remark: C_2' is cost of comparison \Rightarrow assumed constant

$$T(n) \leq \sum_{i=1}^{n} C_2' \cdot i$$

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$$\Downarrow \quad \text{Small Gauss sum}$$

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Excursion - Small Gauss Formula

Proof of lower bound: $C_1 \cdot n^2 \leq T(n)$

Like for the upper bound there exists a C_1 . Summation analysis is the same

$$T(n) \geq \sum_{i=1}^{n-1} C_1' \cdot (n-i)$$

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$$\downarrow \qquad n-1 \geq \frac{n}{2} \text{ for } n \geq 2$$

$$\geq C'_1 \cdot \frac{n \cdot n}{2 \cdot 2} = \frac{C'_1}{4} \cdot n^2$$

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$$T(n) \le C_2' \cdot n^2$$

► Lower bound:
$$\frac{C_1'}{4} \cdot n^2 \le T(n)$$

Summarized:

$$\frac{C_1'}{4} \cdot n^2 \le T(n) \le C_2' \cdot n^2$$

Quadratic runtime proven:

$$C_1 \cdot n^2 \leq T(n) \leq C_2 \cdot n^2$$

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- ► Quadratic runtime = "big" problems unsolvable

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Formal:

- ▶ Let T(n) be the runtime for the Heapsort algorithm with n elements
- ▶ On the next pages we will proof $T(n) \le C \cdot n \log_2 n$

Depth of a binary tree:

- ► **Depth** *d*: longest path through the tree
- ► Complete binary tree has $n = 2^d 1$ nodes
- ► Example: d = 4⇒ $n = 2^4 - 1 = 15$

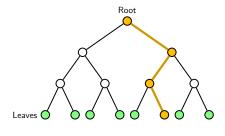


Figure: Binary tree with 15 nodes

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Basics:

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- ▶ If both has been proven, then A(n) holds for all natural numbers n by **induction**

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A **complete** binary tree of depth d has $n(d) = 2^d - 1$ nodes

▶ **Induction basis:** assumption holds for d = 1

Root

0

$$n(1) = 2^1 - 1 = 1$$

$$\Rightarrow \text{correct } \checkmark$$

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Number of nodes n(d) in a binary tree with depth d:

▶ Induction assumption: $n(d) = 2^d - 1$

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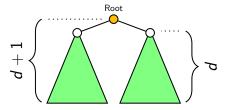
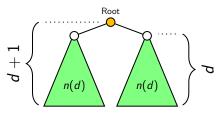


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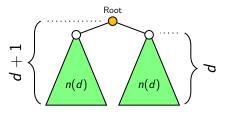


 $n(d+1) = 2 \cdot n(d) + 1$

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- ▶ Induction assumption: $n(d) = 2^d 1$
- ▶ Induction basis: $n(1) = 2^d 1 = 2^1 1 = 1$ ✓
- ▶ **Induction step:** to show for d := d + 1



$$n(d+1) = 2 \cdot n(d) + 1$$

= $2 \cdot (2^{d} - 1) + 1$

Number of nodes n(d) in a binary tree with depth d:

- ▶ Induction assumption: $n(d) = 2^d 1$
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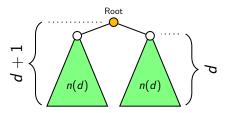


Figure: binary tree with subtrees

$$n(d+1) = 2 \cdot n(d) + 1$$

$$= 2 \cdot (2^{d} - 1) + 1$$

$$= 2^{d+1} - 2 + 1$$

Number of nodes n(d) in a binary tree with depth d:

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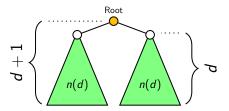


Figure: binary tree with subtrees

$$n(d+1) = 2 \cdot n(d) + 1$$

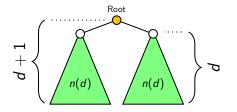
$$= 2 \cdot (2^{d} - 1) + 1$$

$$= 2^{d+1} - 2 + 1$$

$$= 2^{d+1} - 1 \checkmark$$

Number of nodes n(d) in a binary tree with depth d:

- ▶ Induction assumption: $n(d) = 2^d 1$
- ▶ Induction basis: $n(1) = 2^d 1 = 2^1 1 = 1$ ✓
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$$= 2 \cdot (2^{d} - 1) + 1$$

$$= 2^{d+1} - 2 + 1$$

$$= 2^{d+1} - 1 \checkmark$$

Figure: binary tree with subgreenduction:

$$n(d) = 2^d - 1 \ \forall n \in \mathbb{N} \ \square$$

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Heapsort has the following steps:

▶ **Initially:** heapify list of *n* elements

- ▶ Initially: heapify list of *n* elements
- ▶ Then: until all *n* elements are sorted

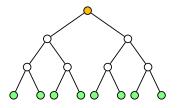
- ▶ **Initially:** heapify list of *n* elements
- ▶ Then: until all *n* elements are sorted
 - ► Remove root (=minimum element)

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 - Remove root (=minimum element)
 - Move last leaf to root position

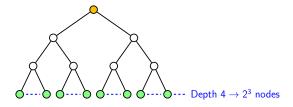
- ▶ **Initially:** heapify list of *n* elements
- ▶ **Then:** until all *n* elements are sorted
 - Remove root (=minimum element)
 - Move last leaf to root position
 - Repair heap by sifting

$\begin{array}{c} \text{Runtime - Heapsort} \\ \text{\tiny Heapify} \end{array}$

Runtime of heapify depends on depth d:



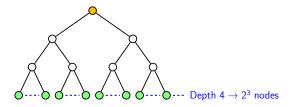
Runtime of heapify depends on depth d:



Runtime of heapify with depth of d:

▶ No costs at depth d with 2^{d-1} (or less) nodes

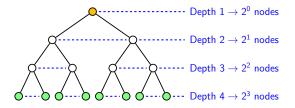
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Runtime of heapify with depth of d:

- ▶ No costs at depth d with 2^{d-1} (or less) nodes
- ▶ The cost for sifting with depth 1 is at most 1C per node

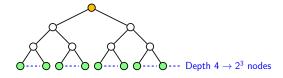
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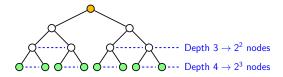
Runtime of heapify with depth of d:

- ▶ No costs at depth d with 2^{d-1} (or less) nodes
- ▶ The cost for sifting with depth 1 is at most 1C per node
- In general: Sifting costs are linear with path length and number of nodes

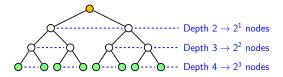
$\begin{array}{c} \text{Runtime - Heapsort} \\ \text{\tiny Heapify} \end{array}$



D	epth	Nodes	Path length	Costs per node	
	d	2^{d-1}	0	$\leq C \cdot 0$	



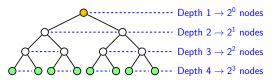
Depth	Nodes	Path length	Costs per node	
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d-1	2^{d-2}	1	$\leq C \cdot 1$	



Depth	Nodes	Path length	Costs per node	
d	2^{d-1}	0	$\leq C \cdot 0$	
d-1		1	$\leq C \cdot 1$	
d-2	2^{d-3}	2	$\leq C \cdot 2$	

Heapify

Heapify total runtime:

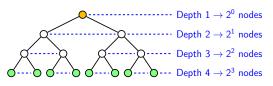


Generally: Depth $d \rightarrow 2^{d-1}$ nodes the Costs per node

Depth	Nodes	Path length	Costs per node	
d	2^{d-1}	0	≤ <i>C</i> ⋅ 0	
d-1	2^{d-2}	1	$\leq C \cdot 1$	
d-2	2^{d-3}	2	$\leq C \cdot 2$	
d-3	2^{d-4}	3	≤ <i>C</i> ⋅ 3	
	d - 1 $d - 2$	$ \begin{array}{c cc} d & 2^{d-1} \\ d-1 & 2^{d-2} \\ d-2 & 2^{d-3} \end{array} $	$ \begin{array}{c cccc} d & 2^{d-1} & 0 \\ d-1 & 2^{d-2} & 1 \\ d-2 & 2^{d-3} & 2 \end{array} $	$ \begin{array}{c cccccccccccccccccccccccccccccccc$

Heapify

Heapify total runtime:



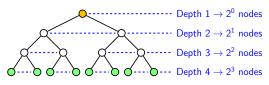
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	i e	i .	,	
Depth	Nodes	Path length	Costs per node	
d	2^{d-1}	0	$\leq C \cdot 0$	
d-1	2^{d-2}	1	$\leq C \cdot 1$	
d-2	2^{d-3}	2	$\leq C \cdot 2$	
d-3	2^{d-4}	3	$\leq C \cdot 3$	

In total: $T(d) \leq \sum_{i=1}^{d} \left(C \cdot (i-1) \cdot 2^{d-i} \right)$

Heapify

Heapify total runtime:



Generally: Depth $d \rightarrow 2^{d-1}$ nodes

Depth	Nodes	Path length	Costs per node	Upper bound
d	2^{d-1}	0	$\leq C \cdot 0$	
d-1	2^{d-2}	1	$\leq C \cdot 1$	Standard
d-2	2^{d-3}	2	$\leq C \cdot 2$	Equation
d-3	2^{d-4}	3	$\leq C \cdot 3$	

In total:
$$T(d) \le \sum_{i=1}^{d} \left(C \cdot (i-1) \cdot 2^{d-i} \right) \le \sum_{i=1}^{d} \left(C \cdot i \cdot 2^{d-i} \right)$$

Heapify

Heapify total runtime:



Generally: Depth $d \to 2^{d-1}$ nodes

Depth	Nodes	Path length	Costs per node	Upper bound
d	2^{d-1}	0	≤ <i>C</i> ⋅ 0	$\leq C \cdot 1$
d-1	2^{d-2}	1	$\leq C \cdot 1$	$\leq C \cdot 2$
d-2	2^{d-3}	2	$\leq C \cdot 2$	$\leq C \cdot 3$
d-3	2^{d-4}	3	$\leq C \cdot 3$	$\leq C \cdot 4$

In total:
$$T(d) \le \sum_{i=1}^d \left(C \cdot (i-1) \cdot 2^{d-i}\right) \le \sum_{i=1}^d \left(C \cdot i \cdot 2^{d-i}\right)$$

$$T(d) \le C \cdot \sum_{i=1}^{d} \left(i \cdot 2^{d-i} \right) \le C \cdot 2^{d+1}$$

Heapify total runtime:

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Hence: Resulting costs for heapify:

$$T(d) \leq C \cdot 2^{d+1}$$

Heapify total runtime:

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Hence: Resulting costs for heapify:

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▶ **However:** We want costs in relation to *n*

Runtime - Heapsort $_{\text{Heapify}}$

$$T(d) \leq C \cdot 2^{d+1}$$

Heapify total runtime:

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▶ A binary tree of depth d has $2^{d-1} \le n$ nodes

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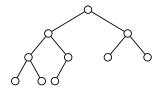


Figure: Partial binary tree

$$T(d) \leq C \cdot 2^{d+1}$$

- ▶ A binary tree of depth d has $2^{d-1} \le n$ nodes Why?
- ▶ $2^{d-1} 1$ nodes in full tree till layer d-1

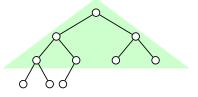


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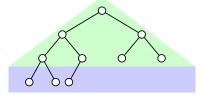


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- ► Equation multiplied by 2^2 ⇒ $2^{d-1} \cdot 2^2 < 2^2 \cdot n$

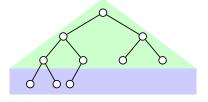


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- ▶ A binary tree of depth d has $2^{d-1} \le n$ nodes Why?
- ▶ $2^{d-1} 1$ nodes in full tree till layer d-1
- At least 1 node in layer d
- ► Equation multiplied by 2^2 ⇒ $2^{d-1} \cdot 2^2 \le 2^2 \cdot n$
- ► Cost for heapify: $\Rightarrow T(n) \leq C \cdot 4 \cdot n$

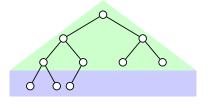


Figure: Partial binary tree

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▶ We want to proof (induction assumption):

$$\underbrace{\sum_{i=1}^{d} \left(i \cdot 2^{d-i} \right)}_{A(d) \le B(d)} \le 2^{d+1}$$

▶ We denote the left side with *A*, the right side with *B*

$$A(d) \leq B(d)$$

$$A(d) \le B(d)$$

$$\sum_{i=1}^{d} (i \cdot 2^{d-i}) \le 2^{d+1}$$

$$A(d) \le B(d)$$

$$\sum_{i=1}^{d} (i \cdot 2^{d-i}) \le 2^{d+1}$$

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$$A(d) \le B(d)$$

$$\sum_{i=1}^{d} (i \cdot 2^{d-i}) \le 2^{d+1}$$

$$\sum_{i=1}^{1} (i \cdot 2^{1-i}) \le 2^{1+1}$$

$$2^{0} \le 2^{2} \checkmark$$

Induction step: (d := d + 1):

▶ **Idea:** Write down right-hand formula and try to get A(d) and B(d) out of it

$$A(d) \leq B(d)$$
 \Rightarrow $A(d+1) \leq B(d+1)$

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▶ **Idea:** Write down right-hand formula and try to get A(d) and B(d) out of it

$$A(d) \leq B(d)$$
 \Rightarrow $A(d+1) \leq B(d+1)$
$$\sum_{i=1}^{d+1} \left(i \cdot 2^{d+1-i} \right) \leq 2^{d+1+1}$$

Induction step: (d := d + 1):

▶ **Idea:** Write down right-hand formula and try to get A(d) and B(d) out of it

$$A(d) \leq B(d) \qquad \Rightarrow \qquad A(d+1) \leq B(d+1)$$

$$\sum_{i=1}^{d+1} \left(i \cdot 2^{d+1-i} \right) \leq 2^{d+1+1}$$

$$2 \cdot \sum_{i=1}^{d+1} \left(i \cdot 2^{d-i} \right) \leq 2 \cdot 2^{d+1}$$

$$2 \cdot \sum_{i=1}^{d+1} \left(i \cdot 2^{d-i} \right) \le 2 \cdot 2^{d+1}$$

$$\vdots$$

$$2 \cdot \sum_{i=1}^{d+1} \left(i \cdot 2^{d-i} \right) \le 2 \cdot 2^{d+1}$$

$$2 \cdot \sum_{i=1}^{d+1} \left(i \cdot 2^{d-i} \right) \le 2 \cdot B(d)$$

$$\begin{aligned}
& \vdots \\
2 \cdot \sum_{i=1}^{d+1} \left(i \cdot 2^{d-i} \right) \le 2 \cdot 2^{d+1} \\
& 2 \cdot \sum_{i=1}^{d+1} \left(i \cdot 2^{d-i} \right) \le 2 \cdot B(d) \\
2 \cdot \sum_{i=1}^{d} \left(i \cdot 2^{d-i} \right) + 2 \cdot (d+1) \cdot 2^{d-(d+1)} \le 2 \cdot B(d)
\end{aligned}$$

$$2 \cdot \sum_{i=1}^{d+1} \left(i \cdot 2^{d-i} \right) \le 2 \cdot 2^{d+1}$$

$$2 \cdot \sum_{i=1}^{d+1} \left(i \cdot 2^{d-i} \right) \le 2 \cdot B(d)$$

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$$2 \cdot A(d) + (d+1) \le 2 \cdot B(d)$$

Induction step: (d := d + 1):

$$2 \cdot \sum_{i=1}^{d+1} \left(i \cdot 2^{d-i} \right) \le 2 \cdot 2^{d+1}$$
$$2 \cdot \sum_{i=1}^{d+1} \left(i \cdot 2^{d-i} \right) \le 2 \cdot B(d)$$
$$2 \cdot \sum_{i=1}^{d} \left(i \cdot 2^{d-i} \right) + 2 \cdot (d+1) \cdot 2^{d-(d+1)} \le 2 \cdot B(d)$$
$$2 \cdot A(d) + (d+1) \le 2 \cdot B(d)$$

Problem: does not work but claim still holds

Working proof:

► Show a little bit stronger claim

$$\sum_{i=1}^{d} \left(i \cdot 2^{d-i} \right) \le 2^{d+1} - d - 2 \le 2^{d+1}$$

Working proof:

Show a little bit stronger claim

$$\sum_{i=1}^{d} \left(i \cdot 2^{d-i} \right) \le 2^{d+1} - d - 2 \le 2^{d+1}$$

▶ Advantage: results in a stronger induction assumption

$$\Rightarrow$$
 exercise

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▶ Constant costs for taking out $n \times maximum$

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- \blacktriangleright Maximum of d steps repairing the heap n times

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► Recall: the depth and number of elements is decreasing

- ▶ Constant costs for taking out $n \times maximum$
- ▶ Maximum of *d* steps repairing the heap *n* times
- ▶ Depth of heap at the start is $d \le 1 + \log_2 n$ Why?

$$2^{d-1} \le n \implies d-1 \le \log_2 n \implies d \le 1 + \log_2 n$$

- Recall: the depth and number of elements is decreasing
 - ▶ Hence: $T(n) \le n \cdot (1 + \log_2 n) \cdot C$

- ▶ Constant costs for taking out $n \times maximum$
- Maximum of d steps repairing the heap n times
- ▶ Depth of heap at the start is $d \le 1 + \log_2 n$ Why?

$$2^{d-1} \le n \ \Rightarrow \ d-1 \le \log_2 n \ \Rightarrow \ d \le 1 + \log_2 n$$

- ▶ Recall: the depth and number of elements is decreasing
 - ▶ Hence: $T(n) \le n \cdot (1 + \log_2 n) \cdot C$
 - We can reduce this to:

$$T(n) \le 2 \cdot n \log_2 n \cdot C$$
 (holds for $n > 2$)

Runtime costs:

▶ Heapify: $T(n) \le 4 \cdot n \cdot C$

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▶ Total runtime: $T(n) \le 6 \cdot n \log_2 n \cdot C$

Runtime costs:

- ▶ Heapify: $T(n) \le 4 \cdot n \cdot C$
- ▶ Remove: $T(n) \le 2 \cdot n \log_2 n \cdot C$
- ▶ Total runtime: $T(n) \le 6 \cdot n \log_2 n \cdot C$
- Constraints:
 - ▶ Upper bound: $C_2 \cdot n \log_2 n \ge T(n)$ (for $n \ge 2$)
 - ▶ Lower bound: $C_1 \cdot n \log_2 n \le T(n)$ (for $n \ge 2$)

Runtime costs:

- ▶ Heapify: $T(n) \le 4 \cdot n \cdot C$
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- Constraints:
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 - $ightharpoonup
 ightharpoonup C_1$ and C_2 are constant

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Base of Logarithms

Logarithm to different bases:

$$\log_a n = \frac{\log_b n}{\log_b a} = \log_b n \cdot \frac{1}{\log_b a}$$

The only difference is a constant coefficient $\frac{1}{\log_b a}$

Examples:

▶
$$\log_{10} 1000 = \log_e 1000 \cdot \frac{1}{\log_e 10} = \ln 1000 \cdot \frac{1}{\ln 10} = 3$$
 ✓

Runtime of $n \log_2 n$:

$$C_1 \cdot n \cdot \log_2 n \le T(n) \le C_2 \cdot n \cdot \log_2 n$$
 for $n \ge 2$

Runtime of $n \log_2 n$:

Assume we have constants C_1 and C_2 with

$$C_1 \cdot n \cdot \log_2 n \le T(n) \le C_2 \cdot n \cdot \log_2 n$$
 for $n \ge 2$

▶ $2 \times$ elements \Rightarrow only slightly larger than $2 \times$ runtime

Runtime of $n \log_2 n$:

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 - $C=1\,\mathrm{ns}\;(1\;\mathrm{simple\;instruction}\;pprox 1\,\mathrm{ns})$

Runtime of $n \log_2 n$:

$$C_1 \cdot n \cdot \log_2 n \le T(n) \le C_2 \cdot n \cdot \log_2 n$$
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- ▶ $2 \times$ elements \Rightarrow only slightly larger than $2 \times$ runtime
 - $C = 1 \text{ ns } (1 \text{ simple instruction } \approx 1 \text{ ns})$
 - ▶ $n = 2^{20}$ (1 million numbers = 4 MB with 4 B/number)
 - $C \cdot n \cdot log_2 n = 10^{-9} \text{ s} \cdot 2^{20} \cdot 20 = 21.0 \text{ ms}$

Runtime of $n \log_2 n$:

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 - ▶ $n = 2^{30}$ (1 billion numbers = 4 GB)
 - $C \cdot n \cdot log_2 n = 10^{-9} \text{ s} \cdot 2^{30} \cdot 30 = 32 \text{ s}$

Runtime of $n \log_2 n$:

$$C_1 \cdot n \cdot \log_2 n \le T(n) \le C_2 \cdot n \cdot \log_2 n$$
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- ▶ $2 \times$ elements \Rightarrow only slightly larger than $2 \times$ runtime
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 - $C \cdot n \cdot log_2 n = 10^{-9} \, \text{s} \cdot 2^{30} \cdot 30 = 32 \, \text{s}$
- ► Runtime *n* log₂ *n* is nearly as good as linear!

Further Literature

Course literature

- [CRL01] Thomas H. Cormen, Ronald L. Rivest, and Charles E. Leiserson. Introduction to Algorithms. MIT Press, Cambridge, Mass, 2001.
- [MS08] Kurt Mehlhorn and Peter Sanders.
 Algorithms and data structures, 2008.
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Further Literature

Mathematical Induction

[Wik] Mathematical induction

https://en.wikipedia.org/wiki/Mathematical_induction