## Algorithms and Datastructures Runtime analysis Minsort / Heapsort, Induction

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Algorithms and Datastructures, October 2018

#### Structure

Runtime Example Minsort

**Basic Operations** 

Runtime analysis

Minsort

Heapsort

Introduction to Induction

Logarithms

#### Structure

#### Runtime Example Minsort

**Basic Operations** 

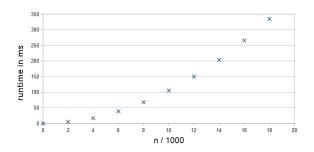
Runtime analysis

Minsort

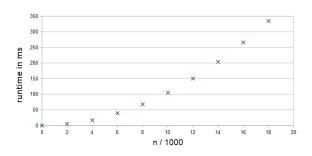
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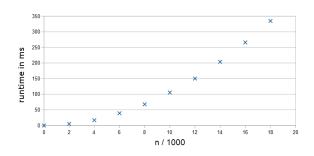


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  - What kind of computer the code is executed on
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- Abstraction 1: analyze the number of basic operations, rather than analyzing the runtime

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#### **Basic Operations**

# Runtime analysis Minsort Heapsort Introduction to Induction

#### Logarithms

## **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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How many operations does Minsort need?

▶ **Abstraction 2:** we calculate the upper (lower) bound, rather than exactly counting the number of operations

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

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

- Upper bound
- ► Lower bound
- Basic Assumption:
  - 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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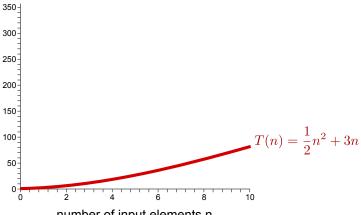
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$$C_1 \cdot n^2 \leq T(n) \leq C_2 \cdot n^2$$

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

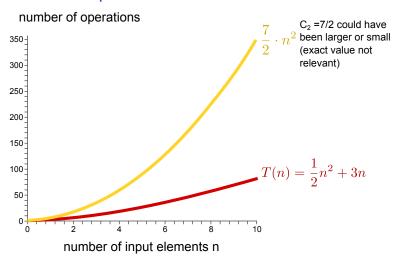
## Runtime Example

#### number of operations

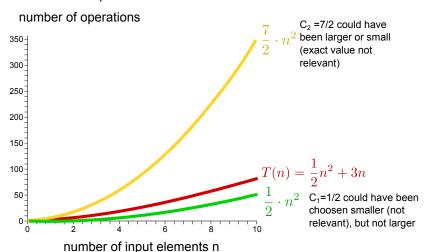


number of input elements n

## Runtime Example



## Runtime Example



#### 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<sub>i</sub>

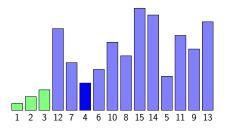


Figure: Minsort at iteration i = 4. We have to check n - 3 elements

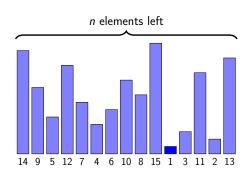


Figure: Minsort with start data

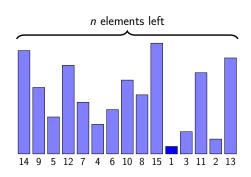


Figure: *Minsort* at iteration i = 1

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

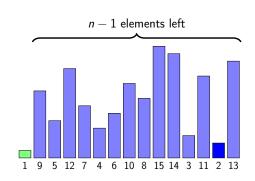


Figure: Minsort at iteration i = 2

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

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

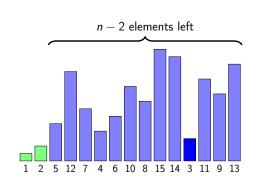


Figure: *Minsort* at iteration i = 3

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

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

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

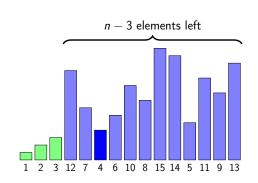


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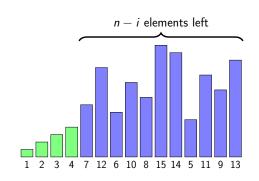


Figure: Minsort at iteration i

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 $T_n \le C_2' \cdot 1$ 

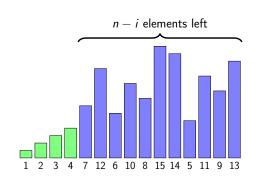


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$$T(n) = C'_2 \cdot (T_1 + \cdots + T_n) \le \sum_{i=1}^n (C'_2 \cdot i)$$

#### 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)):
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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

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

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► 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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- ▶ 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⇒  $n = 2^4 - 1 = 15$

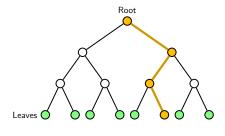


Figure: Binary tree with 15 nodes

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## Induction

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

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

Figure: Tree of depth 1 has 1 node

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

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

Root

0

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

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

Figure: Tree of depth 1 has 1 node

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- ▶ **Induction step:** to show for d := d + 1

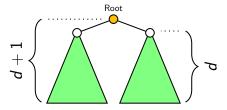
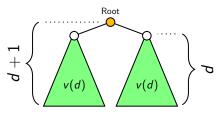


Figure: binary tree with subtrees

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

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



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

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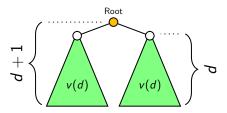


Figure: binary tree with subtrees

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

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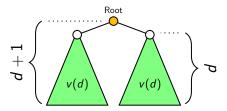


Figure: binary tree with subtrees

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

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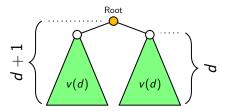


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$$v(d+1) = 2 \cdot v(d) + 1$$

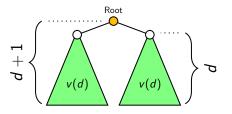
$$= 2 \cdot (2^{d} - 1) + 1$$

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

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

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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:

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

### Structure

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**Basic Operations** 

### Runtime analysis

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Heapsort

Introduction to Induction

Logarithms

### Heapsort has the following steps:

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

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

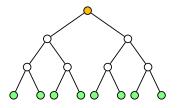
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  - Move last leaf to root position

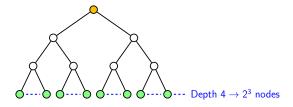
- ▶ **Initially:** heapify list of *n* elements
- ▶ **Then:** until all *n* elements are sorted
  - Remove root (=minimum element)
  - Move last leaf to root position
  - Repair heap by sifting

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

Runtime of heapify depends on depth d:



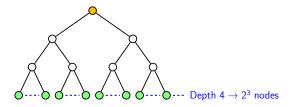
Runtime of heapify depends on depth d:



Runtime of heapify with depth of d:

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

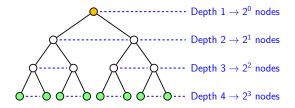
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- ▶ The cost for sifting with depth 1 is at most 1C per node

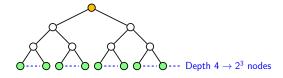
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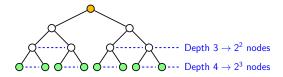
Runtime of heapify with depth of d:

- ▶ 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

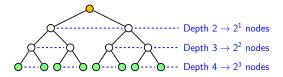
# $\begin{array}{c} \text{Runtime - Heapsort} \\ \text{\tiny Heapify} \end{array}$



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



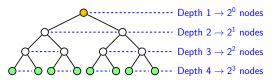
Depth	Nodes	Path length	Costs per node	
u	$2^{d-1}$	0	$\leq C \cdot 0$	
d-1	$2^{d-2}$	1	$\leq C \cdot 1$	



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:

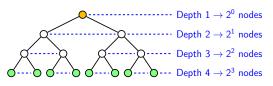


Generally: Depth  $d \rightarrow 2^{d-1}$  nodes the Costs per node

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:



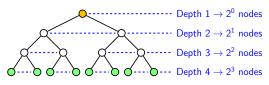
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	i e	i .	,	
Depth	Nodes	Path length	Costs per node	
d	$2^{d-1}$	0	$\leq C \cdot 0$	
d-1	$2^{d-2}$	1	$\leq C \cdot 1$	
d-2	$2^{d-3}$	2	$\leq C \cdot 2$	
d-3	$2^{d-4}$	3	$\leq C \cdot 3$	

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

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

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

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Hence: Resulting costs for heapify:

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

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

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

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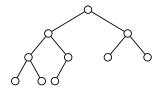


Figure: Partial binary tree

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

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- ▶  $2^{d-1} 1$  nodes in full tree till layer d-1

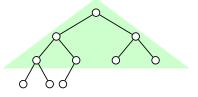


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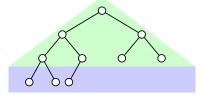


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- ► Equation multiplied by  $2^2$ ⇒  $2^{d-1} \cdot 2^2 < 2^2 \cdot n$

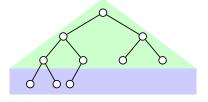


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- At least 1 node in layer d
- ► Equation multiplied by  $2^2$ ⇒  $2^{d-1} \cdot 2^2 \le 2^2 \cdot n$
- ► Cost for heapify:  $\Rightarrow T(n) \leq C \cdot 4 \cdot n$

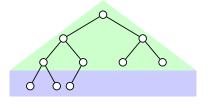


Figure: Partial binary tree

### Structure

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**Basic Operations** 

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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* 

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

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

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

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

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

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

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

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

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

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

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

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

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

$$\vdots$$

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

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

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

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

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

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

Problem: does not work but claim still holds

#### Working proof:

► Show a little bit stronger claim

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

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Show a little bit stronger claim

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▶ Advantage: results in a stronger induction assumption

$$\Rightarrow$$
 exercise

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

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- Maximum of d steps repairing the heap n times
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$$2^{d-1} \le n \ \Rightarrow \ d-1 \le \log_2 n \ \Rightarrow \ d \le 1 + \log_2 n$$

- ▶ 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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#### **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:

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  - $ightharpoonup 
    ightharpoonup C_1$  and  $C_2$  are constant

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### Logarithms

## 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

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

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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** $n \log_2 n$ :

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

- ▶  $2 \times$  elements  $\Rightarrow$  only slightly larger than  $2 \times$  runtime
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- ► Runtime *n* log<sub>2</sub> *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.
  https://people.mpi-inf.mpg.de/~mehlhorn/
  ftp/Mehlhorn-Sanders-Toolbox.pdf.

### **Further Literature**

#### Mathematical Induction

#### [Wik] Mathematical induction

https://en.wikipedia.org/wiki/Mathematical\_induction