## Introduction to Algorithms

CSE 5311: Design and Analysis of Algorithms

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Introduction

A primary aim of computer science is to solve problems using computers.

It is necessary to express those solutions both mathematically and in a way that can be executed by a computer.

We should also be able to analyze the performance of our solutions.

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It is necessary to express those solutions both mathematically and in a way that can be executed by a computer.

We should also be able to analyze the performance of our solutions.

A solution may exist yet be infeasible to execute.

Analyzing the performance of an algorithm can mean many things.

- How much memory does it use?
- How much time does it take to execute?
- How much energy does it use?
- · How much heat does it generate?
- · How much bandwidth does it consume?
- · How much does it cost to execute?

Meta released the second iteration of their Llama large language model in 2023.

The training time was such that they measured its impact in GPU hours.

They also report the tons of CO2 equivalent emitted during training.

		Time (GPU hours)	Power Consumption (W)	Carbon Emitted (tCO <sub>2</sub> eq)
Llama 2	7B	184320	400	31.22
	13B	368640	400	62.44
	34B	1038336	350	153.90
	70B	1720320	400	291.42
Total		3311616		539.00

Table 2:  $CO_2$  emissions during pretraining. Time: total GPU time required for training each model. Power Consumption: peak power capacity per GPU device for the GPUs used adjusted for power usage efficiency. 100% of the emissions are directly offset by Meta's sustainability program, and because we are openly releasing these models, the pretraining costs do not need to be incurred by others.

Source: https://ai.meta.com/llama/

An algorithm is a step-by-step procedure for solving a problem.

It can also be viewed as a way to transform a given input into a desired output.

How we represent the input and output of an algorithm is important.

Different representations, or data structures, call for different algorithms.

**Insertion Sort** 

#### **Sorting Algorithms**

Sorting and searching are two fundamental and practical problems studied in computer science.

We will start our study of evaluating algorithms by looking at a simple sorting algorithm.

First, we must define what it means to sort a list of numbers.

#### **Sorting Algorithms**

Given a sequence of *n* objects

$$A = \langle a_1, a_2, \ldots, a_n \rangle$$
,

a sorting algorithm rearranges the elements such that

$$A' = \langle a'_1, a'_2, \dots, a'_n \rangle$$
 and  $a'_1 \leq a'_2 \leq \dots \leq a'_n$ 

#### **Sorting Algorithms**

Under this definition, we assume that the elements of the set are comparable. It is enough that we can determine if  $a_i \le a_j$  for any i and j.

Some sets, such as the set of all real numbers  $\mathbb{R}$ , have a natural ordering.

Others, such as the set of all strings  $\Sigma^*$ , do not. In this case, we can define an ordering based on the lexicographic ordering of the strings.

#### **Insertion Sort: Definition**

Insertion sort is defined in Python as

```
def insertion_sort(A):
    for i in range(1, len(A)):
        key = A[i]
        j = i - 1
    while j >= 0 and A[j] > key:
        A[j + 1] = A[j]
        j = j - 1
    A[j + 1] = key
```

Example: Sorting Numbers

Let's walk through the algorithm on the following list of numbers.

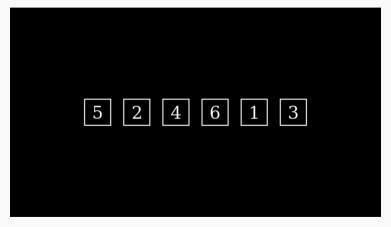


Figure 1: Original list of numbers.

The algorithm starts by selecting the second element of the list as the key.

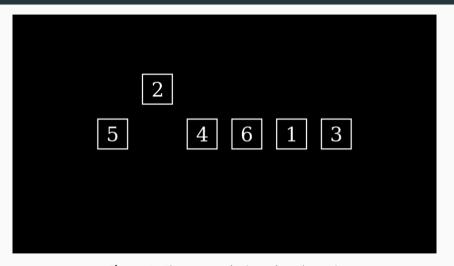


Figure 2: Element at index 1 is selected.



All values to the left of the key are checked to see if they are greater than the key.

If they are, they are moved to the right.

Only 1 element is to the left, and it is greater, so we will move it to the right.

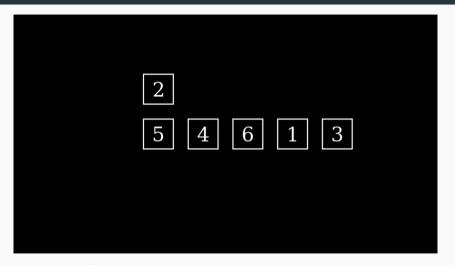


Figure 3: Element at index 0 is moved to index 1.

There are no more elements to consider, so we insert the key at the current position.

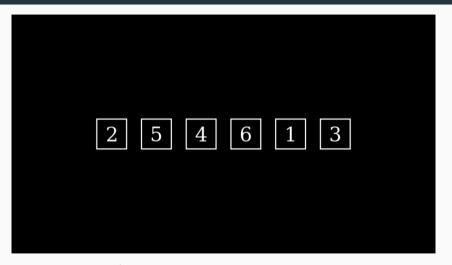


Figure 4: The key is moved to index 0.

We return to the top of the outer loop and select the next element as they key.

In this case, *i* is 2 and the key is 4.

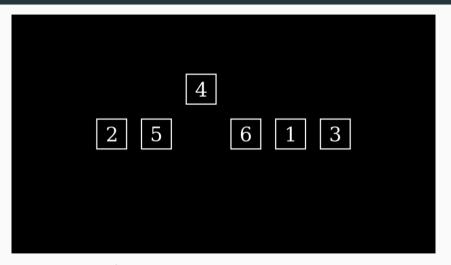


Figure 5: The key at index 2 is selected.

In the inner loop, we compare the key to the element at index 1.

5 is greater than 4, so we move 5 to the right.

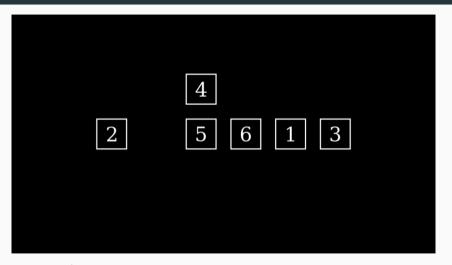


Figure 6: The element at index 1 is moved to the right.

Next, the value 2 at index 0 is evaluated, but it is less than the key, so we stop and insert the key at index 1.

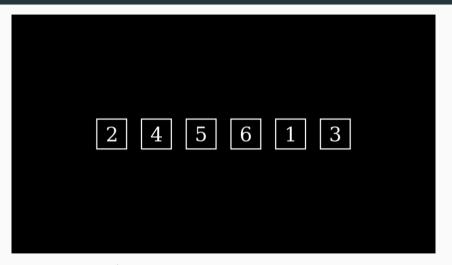


Figure 7: The key is inserted at index 1.

The key is updated to be the value at index 3, which is 6.

We can see that it is already larger than the item to the left, so the statements in the inner loop are never executed.

Our list stays in the same relative order.

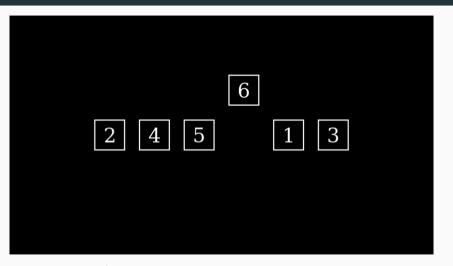


Figure 8: The key at index 3 is not moved.

The outer loop updates the key to index 5, which is 1.

We can see that it is less than all values to the left, so the inner loop will shift each value to the right.

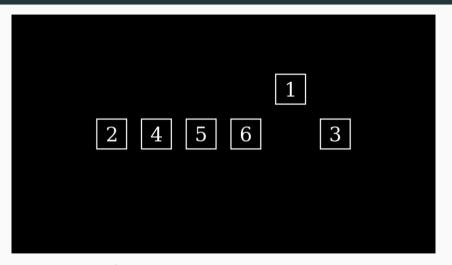


Figure 9: The key at index 4 is selected.

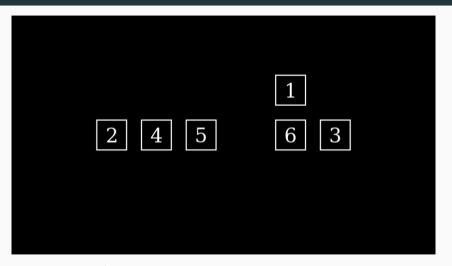


Figure 10: 6 > 1, so 6 is moved to the right.

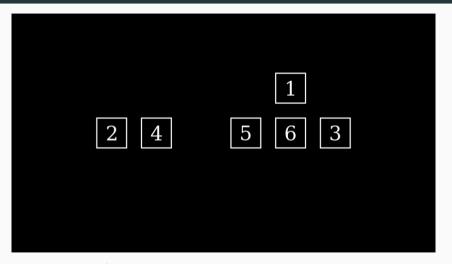


Figure 11: 5 > 1, so 5 is moved to the right.

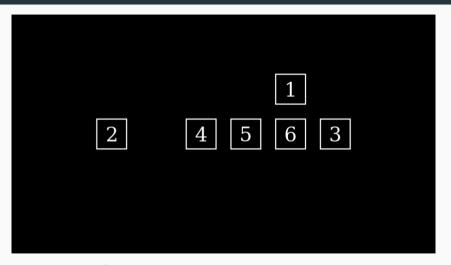


Figure 12: 4 > 1, so 4 is moved to the right.

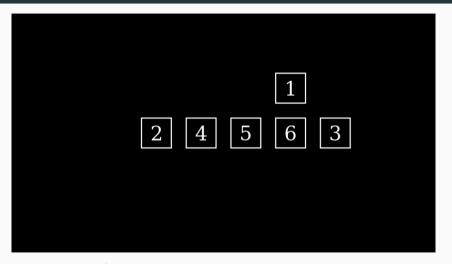


Figure 13: 2 > 1, so 2 is moved to the right.

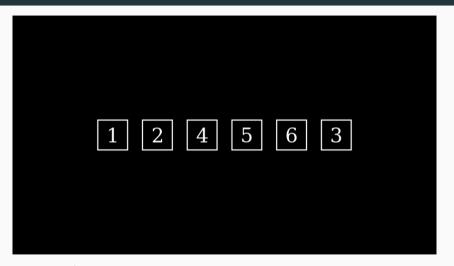


Figure 14: The value 1 is placed all the way at index 0.

The last item in the list is selected as the final key.

The values 4, 5, and 6 are shift to the right and the key is inserted at index 2.

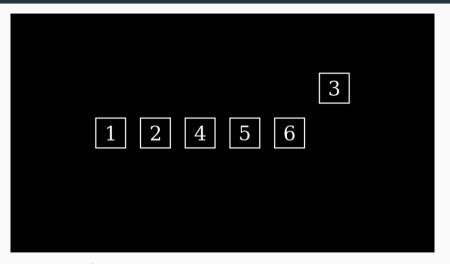


Figure 15: The last value is selected as the key.

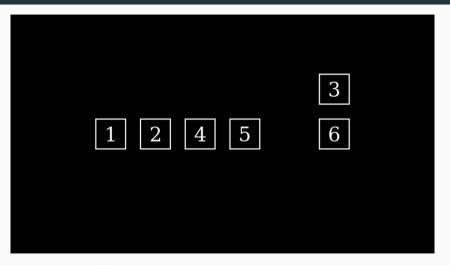


Figure 16: 6 > 3, so 6 is moved to the right.

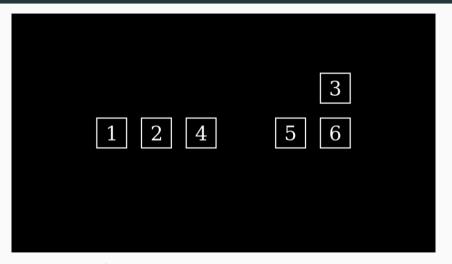


Figure 17: 5 > 3, so 5 is moved to the right.

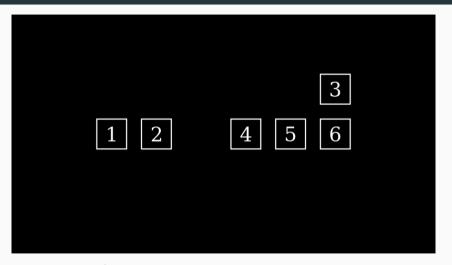


Figure 18: 4 > 3, so 4 is moved to the right.

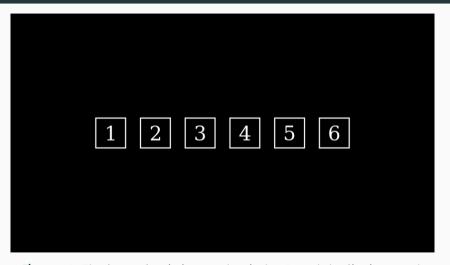


Figure 19: The last value is inserted at index 2, and the list is sorted.



How can we be sure that an algorithm works for all input sequences?

How can we be sure that an algorithm works for all input sequences?

By verifying its **correctness**.

Proving the correctness of an algorithm may be tricky in some cases, but we can utilize a few techniques to make it easier.

The first such technique is called a **loop invariant**: a statement that is true before and after each iteration of a loop.

The loop invariant for insertion sort is that the subarray A[0:i-1] is sorted.

In some cases, the loop invariant is clear from the problem statement. In others, it may require some thought.

It is also possible that more than one loop invariant exists for a given algorithm.

#### **Loop Invariants**

To determine if a loop invariant is correct, we must verify three things:

- 1. **Initialization**: The loop invariant is true before the first iteration of the loop.
- 2. **Maintenance**: If the loop invariant is true before an iteration of the loop, it remains true after the iteration.
- 3. **Termination**: When the loop terminates, the loop invariant is true.

If these properties hold, the algorithm is correct.

# **Verifying Insertion Sort**

Let's verify the correctness of insertion sort.

#### Initialization

- Before the first iteration of the loop, i = 1.
- The subarray  $A[0:i-1] = A[0:0] = \langle A[0] \rangle$ .
- Since a single element is always sorted, the loop invariant is true before the first iteration.

# **Verifying Insertion Sort**

#### Maintenance

Assume that the loop invariant is true before the ith iteration of the loop: A[0:i-1] is sorted.

We need to show that the loop invariant remains true after the i + 1th iteration.

- The i + 1th iteration of the loop will swap elements in the subarray A[0:i].
- The loop invariant is maintained if the subarray A[0:i] is sorted after the i+1th iteration.
- This is true because the i + 1th iteration will swap elements in the subarray A[0:i] until the element at index i is in the correct position.

We can characterize the running time of an algorithm by counting the number of operations it performs.

Since the exact execution time of each atomic statement will be different depending on the hardware, we will assign each one a constant value.

We will see later on that the exact value of the constant does not matter since the algorithms are compared based on their rate of growth.

```
def insertion_sort(A):
    for i in range(1, len(A)): # ?
        key = A[i]
        j = i - 1
    while j >= 0 and A[j] > key:
        A[j + 1] = A[j]
        j = j - 1
    A[j + 1] = key
```

How many times is line 2 evaluated for an input of size n?

```
def insertion_sort(A):
    for i in range(1, len(A)): # C<sub>1</sub>n
        key = A[i]
        j = i - 1
    while j >= 0 and A[j] > key:
        A[j + 1] = A[j]
        j = j - 1
    A[j + 1] = key
```

The first statement on line 2 is evaluated n times at a cost of  $c_1$  each time.

```
def insertion_sort(A):
    for i in range(1, len(A)): # C<sub>1</sub>n
    key = A[i] # ?
        j = i - 1 # ?
    while j >= 0 and A[j] > key:
        A[j + 1] = A[j]
        j = j - 1
    A[j + 1] = key # ?
```

How many times are lines 3, 4, and 8 evaluated for an input of size n?

```
def insertion_sort(A):
    for i in range(1, len(A)): # c<sub>1</sub>n
        key = A[i] # c<sub>2</sub>(n-1)
        j = i - 1 # c<sub>3</sub>(n-1)
    while j >= 0 and A[j] > key:
        A[j + 1] = A[j]
        j = j - 1
        A[j + 1] = key # c<sub>7</sub>(n-1)
```

Before evaluating the inner loop, we can assign constant values to the other statements. These are only executed n-1 times.

The inner while loop requires a bit of thought to analyze.

The number of times it is executed depends on the value of j as well as the relative order of the elements to the left of the key.

If we acknowledge this value to be variable, we can represent it as  $t_i$ , where i represents the current step of the outer loop.

```
def insertion_sort(A):

for i in range(1, len(A)): # c_1n

key = A[i] # c_2(n-1)

j = i - 1 # c_3(n-1)

while j >= 0 and A[j] > key: # c_4 \sum_{i=2}^{n} t_i

A[j + 1] = A[j]

j = j - 1

A[j + 1] = key # c_7(n-1)
```

If each evaluation of line 5 costs  $c_4$ , then the cost of the inner loop is  $c_4t_i$ , where  $t_i$  is the number of times the loop expression is evaluated.

This is evaluated n-1 times, so the total cost of the inner loop is  $c_4 \sum_{i=2}^{n} t_i$ .

#### IMPORTANT: Convert between 0-based and 1-based indexing.

The loop expressed in mathematical notation is  $\sum_{i=2}^{n} t_i$ , but the loop in Python is for i in range(1, len(A)).

Notation in mathematics usually follows a 1-based indexing scheme, while most programming languages use 0-based indexing.

We should practice converting between the two.

```
def insertion_sort(A):

for i in range(1, len(A)): # c_1n

key = A[i] # c_2(n-1)

j = i - 1 # c_3(n-1)

while j >= 0 and A[j] > key: # c_4 \sum_{i=2}^{n} t_i

A[j + 1] = A[j] # c_5 \sum_{i=2}^{n} (t_i - 1)

A[j + 1] = key # c_7(n-1)
```

The statements inside the inner loop are executed  $t_i - 1$  times, so the total cost of the inner loop is  $\sum_{i=2}^{n} t_i - 1$  multiplied by their individual execution costs.

The total cost of the algorithm is the sum of the costs of each statement.

$$T(n) = c_1 n + c_2 (n-1) + c_3 (n-1) + c_4 \sum_{i=2}^{n} t_i + c_5 \sum_{i=2}^{n} (t_i - 1) + c_6 \sum_{i=2}^{n} (t_i - 1) + c_7 (n-1)$$

This analysis is a good start, but it doesn't paint the whole picture.

The number of actual executions will depend on the input that is given.

For example, what if the input is already sorted, or given in reverse order?

It is common to express the worst-case runtime for a particular algorithm.

For insertion sort, that is when the input is in reverse order.

In this case, each element A[i] is compared to every other element in the sorted subarray.

This means that  $t_i = i$  for every iteration of the **for** loop.

The worst-case runtime is given as

$$T(n) = c_1 n + c_2 (n-1) + c_3 (n-1) + c_4 \sum_{i=2}^{n} i + c_5 \sum_{i=2}^{n} (i-1) + c_6 \sum_{i=2}^{n} (i-1) + c_7 (n-1)$$

To express this runtime solely in terms of *n*, we can use the fact that

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

and

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

$$T(n) = c_1 n + c_2 (n-1) + c_3 (n-1) + c_4 \left(\frac{n(n+1)}{2} - 1\right)$$

$$+ c_5 \left(\frac{n(n-1)}{2}\right) + c_6 \left(\frac{n(n-1)}{2}\right) + c_7 (n-1)$$

$$= \left(\frac{c_4}{2} + \frac{c_5}{2} + \frac{c_6}{2}\right) n^2 + \left(c_1 + c_2 + c_3 + \frac{c_4}{2} - \frac{c_5}{2} - \frac{c_6}{2} + c_7\right) n - (c_2 + c_3 + c_4 + c_7)$$

The terms in parentheses are constants, so we can simplify the expression to

$$T(n) = an^2 + bn + c$$

where *a*, *b*, and *c* are constants.

The best-case runtime for insertion sort is when the input is already sorted.

In this case, the **while** check is executed only once per iteration of the **for** loop.

That is,  $t_i = 1$  for every iteration of the **for** loop.

The best-case runtime is given as

$$T(n) = c_1 n + c_2 (n-1) + c_3 (n-1) + c_4 (n-1) + c_7 (n-1)$$
  
=  $(c_1 + c_2 + c_3 + c_4 + c_7) n - (c_2 + c_3 + c_4 + c_7)$ 

Let 
$$a = c_1 + c_2 + c_3 + c_4 + c_7$$
 and  $b = -(c_2 + c_3 + c_4 + c_7)$ 

Then the best-case runtime is given as an + b, a linear function of n.

Rate of Growth

#### Rate of Growth

We can simplify how we express the runtime of both these cases by considering only the highest-order term.

Consider the worst-case,  $T(n) = an^2 + bn + c$ .

As n grows, the term  $an^2$  will dominate the runtime, rendering the others insignificant by comparison.

#### Rate of Growth

This simplification is typically expressed using  $\boldsymbol{\Theta}$  notation.

For the worst-case, we say that  $T(n) = \Theta(n^2)$ .

It is a compact way of stating that the runtime is proportional to  $n^2$  for large values of n.

Class Exercise: Analysis of Selection

Sort

Based on the analysis above, let's check our understanding and see if we can characterize the runtime of another sorting algorithm, selection sort.

```
def selection_sort(A):
    for i in range(0, len(A) - 1):
        min_index = i
        for j in range(i + 1, len(A)):
            if A[j] < A[min_index]:
                  min_index = j
        A[i], A[min_index] = A[min_index], A[i]</pre>
```

```
def selection_sort(A):
    for i in range(0, len(A) - 1):
        min_index = i
    for j in range(i + 1, len(A)):
        if A[j] < A[min_index]:
        min_index = j
        A[i], A[min_index] = A[min_index], A[i]</pre>
```

How many times is line 2 evaluated for an input of size n?

```
def selection_sort(A):
    for i in range(0, len(A) - 1):  # c<sub>1</sub>n
        min_index = i
    for j in range(i + 1, len(A)):
        if A[j] < A[min_index]:
            min_index = j
        A[i], A[min_index] = A[min_index], A[i]</pre>
```

How many times is line 2 evaluated for an input of size n?

*n* times, since it must be evaluated a final time to check if the loop limit is reached.

```
def selection_sort(A):
    for i in range(0, len(A) - 1):  # C1N
        min_index = i
    for j in range(i + 1, len(A)):
        if A[j] < A[min_index]:
            min_index = j
        A[i], A[min_index] = A[min_index], A[i]</pre>
```

How many times is line 3 evaluated for an input of size n?

```
def selection_sort(A):
    for i in range(0, len(A) - 1):  # C<sub>1</sub>n
    min_index = i  # C<sub>2</sub>(n - 1)
    for j in range(i + 1, len(A)):
        if A[j] < A[min_index]:
        min_index = j
    A[i], A[min_index] = A[min_index], A[i]</pre>
```

How many times is line 3 evaluated for an input of size n?

n-1 times, since that is the number of times the outer loop is traversed.

```
def selection_sort(A):
    for i in range(0, len(A) - 1):  # c<sub>1</sub>n
    min_index = i  # c<sub>2</sub>(n - 1)

for j in range(i + 1, len(A)):
    if A[j] < A[min_index]:
        min_index = j
    A[i], A[min_index] = A[min_index], A[i]</pre>
```

How many times is line 4 evaluated for an input of size n?

```
def selection_sort(A):

for i in range(0, len(A) - 1):

min_index = i

for j in range(i + 1, len(A)):

if A[j] < A[min_index]:

min_index = j

A[i], A[min_index] = A[min_index], A[i]

# c_1n

# c_2(n-1)

# c_3\sum_{i=1}^{n-1}(n-i+1)
```

How many times is line 4 evaluated for an input of size n?

n-i times. Unlike insertion sort, the inner loop is not dependent on an additional condition.

Since this is executed for each iteration of the other loop, the total is  $\sum_{i=1}^{n-1} (n-i+1)$ .

How many times is line 5 evaluated for an input of size n?

How many times is line 5 evaluated for an input of size n?

It is executed 1 less than the number of times line 4 is executed, so the total is  $\sum_{i=1}^{n-1} (n-i)$ .

```
1 def selection_sort(A):

2 for i in range(0, len(A) - 1): # c_1n

3 min_index = i # c_2(n-1)

4 for j in range(i + 1, len(A)): # c_3 \sum_{i=1}^{n-1} (n-i+1)

5 if A[j] < A[min_index]: # c_4 \sum_{i=1}^{n-1} (n-i)

6 min_index = j

7 A[i], A[min_index] = A[min_index], A[i]
```

How many times is line 6 evaluated for an input of size n?

This one is conditioned on line 5 being true!

```
def selection_sort(A):

for i in range(0, len(A) - 1):

min_index = i

for j in range(i + 1, len(A)):

if A[j] < A[min_index]:

min_index = j

A[i], A[min_index] = A[min_index], A[i]

# c_1n

# c_2(n-1)

# c_3 \sum_{i=1}^{n-1} (n-i+1)

# c_4 \sum_{i=1}^{n-1} (n-i)

# c_5 \sum_{i=1}^{n-1} t_i
```

#### How many times is line 6 evaluated for an input of size n?

Since it is conditional, the number of times is runs is dependent on the exact input. In this case we can represent it with a veriable  $t_i$ .

The total is then  $\sum_{i=1}^{n-1} t_i$ .

```
1 def selection_sort(A):

2 for i in range(0, len(A) - 1): # c_1n

3 min_index = i # c_2(n-1)

4 for j in range(i + 1, len(A)): # c_3 \sum_{i=1}^{n-1} (n-i+1)

5 if A[j] < A[min_index]: # c_4 \sum_{i=1}^{n-1} (n-i)

6 min_index = j # c_5 \sum_{i=1}^{n-1} t_i

7 A[i], A[min_index] = A[min_index], A[i]
```

How many times is line 7 evaluated for an input of size n?

```
1 def selection_sort(A):

2 for i in range(0, len(A) - 1): # c_1n

3 min_index = i # c_2(n-1)

4 for j in range(i + 1, len(A)): # c_3 \sum_{i=1}^{n-1} (n-i+1)

5 if A[j] < A[min_index]: # c_4 \sum_{i=1}^{n-1} (n-i)

6 min_index = j # c_5 \sum_{i=1}^{n-1} t_i

7 A[i], A[min_index] = A[min_index], A[i] # c_6(n-1)
```

How many times is line 7 evaluated for an input of size n?

It is evaluated the same number of times as line 3, so the total is  $c_6(n-1)$ .

Combining these results, we can express the runtime of selection sort as

$$T(n) = c_1 n + c_2 (n-1) + c_3 \sum_{i=1}^{n-1} (n-i+1) + c_4 \sum_{i=1}^{n-1} (n-i) + c_5 \sum_{i=1}^{n-1} t_i + c_6 (n-1)$$

Now that we have a general analysis of the running time, let's look at the worst-case scenario.

Just like insertion sort, the worst-case scenario for selection sort is when the input is given in reverse order.

In this case, line 6 is executed as many times as line 5.

This yields  $t_i = n - i$  for every iteration of the outer loop.

The runtime for the worst-case scenario is

$$T(n) = c_1 n + c_2 (n-1) + c_3 \sum_{i=1}^{n-1} (n-i+1) + c_4 \sum_{i=1}^{n-1} (n-i) + c_5 \sum_{i=1}^{n-1} (n-i) + c_6 (n-1)$$

We can again use the arithmetic series to simplify the expression, where

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

and

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

Our running time for the worst-case is then simplified to

$$T(n) = c_1 n + c_2 (n-1) + c_3 \left( \frac{n(n+1)}{2} - 1 \right) + c_4 \left( \frac{n(n-1)}{2} \right) + c_5 \left( \frac{n(n-1)}{2} \right) + c_6 (n-1)$$

$$= \left( \frac{c_3}{2} + \frac{c_4}{2} + \frac{c_5}{2} \right) n^2 + \left( c_1 + c_2 + c_3 + \frac{c_3}{2} - \frac{c_4}{2} - \frac{c_5}{2} + c_6 \right) n - (c_2 + c_3 + c_6)$$

We can simplify this further by letting 
$$a = \frac{c_3}{2} + \frac{c_4}{2} + \frac{c_5}{2}$$
 and  $b = c_1 + c_2 + c_3 + \frac{c_3}{2} - \frac{c_4}{2} - \frac{c_5}{2} + c_6$  and  $c = -(c_2 + c_3 + c_6)$ .

$$T(n) = an^2 + bn + c$$

Using theta-notation, this can be expressed as

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