

Algorithms: Analysis of Algorithms

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Contents

- 1 Analysis of the efficiency of algorithms
- 2 Asymptotic notations
- 3 Calculation of execution times

Index

- 1 Analysis of the efficiency of algorithms
- 2 Asymptotic notations
- 3 Calculation of execution times

Analysis of the efficiency of algorithms (1)

- **Goal:** to *predict* the algorithm's *behaviour*
⇒ quantitative aspects:
 execution time (runtime), memory usage
- To have a *metric* of their efficiency:
 - “theoretical”
 - not exact: *approximation*, sufficient to *compare*, *classify*⇒ bound $T(n)$: execution time,
 $n = \text{problem size}$ (sometimes, input size)
 $n \rightarrow \infty$: *asymptotic behaviour*
 ⇒ $T(n) = O(f(n))$
 $f(n)$: an **upper bound** of $T(n)$, sufficiently adjusted
 $f(n)$ grows faster than $T(n)$

Analysis of the efficiency of algorithms (2)

- **Approximation?**

1. *Ignore constant factors:*

20 multiplications per iteration \rightarrow 1 **operation** per iteration

How many iterations? \rightarrow iterations as a function of n

2. *Ignore lower order terms (the maximum rule):* $n + \text{const} \rightarrow n$

- **Example 1:**

2 algorithms (A1 and A2) for the same problem A

- algorithm A1: $100n$ steps \rightarrow a traversal of the input

$T(n) = O(n)$: *linear* algorithm

- algorithm A2: $2n^2 + 50$ steps $\rightarrow n$ traversals of the input

$T(n) = O(n^2)$: *quadratic* algorithm

Analysis of the efficiency of algorithms (3)

- **Example 1 (Cont'd):**

⇒ A1 linear and A2 quadratic:

- *Compare:* A2 “slower” than A1,
even though with $n \leq 49$ it's faster

⇒ **A1 is better**

- *Classify:* linear, quadratic...

Typical growth rates:

$O(1), O(\log n), O(n), O(n \log n), O(n^2), O(n^3), \dots O(2^n), \dots$

- **Example 2:** (approximation ⇒ limitations)

2 algorithms (B1 and B2) for the same problem B:

- algorithm B1: $2n^2 + 50$ steps $\rightarrow O(n^2)$
- algorithm B2: $100n^{1.8}$ steps $\rightarrow O(n^{1.8})$

⇒ B2 is “better”...

but only from some value of n between 310 and $320 \cdot 10^6$

Index

- 1 Analysis of the efficiency of algorithms
- 2 Asymptotic notations**
- 3 Calculation of execution times

Asymptotic notations

- **Goal:** To establish a relative order between functions, comparing their growth rates

- **O (big O) notation:**

$$T(n), f(n) : Z^+ \rightarrow R^+$$

Definition: $T(n) = O(f(n))$

if \exists constants $c > 0$ and $n_0 > 0$: $T(n) \leq c * f(n) \forall n \geq n_0$



n_0 : threshold

$T(n)$ is $O(f(n))$, $T(n) \in O(f(n))$

"the growth rate of $T(n) \leq$ than that of $f(n)$ "

$\rightarrow f(n)$ is an **upper bound** of $T(n)$

- **Example:** $5n^2 + 15 = O(n^2)$?

$< c, n_0 > = < 6, 4 >$ in the definition: $5n^2 + 15 \leq 6n^2 \forall n \geq 4$;

\exists infinite $< c, n_0 >$ satisfying the inequality

O notation (1)

- **Observation:**

According to the definition, $T(n)$ could be far below:

$$5n^2 + 15 = O(n^3)?$$

$\langle c, n_0 \rangle = \langle 1, 6 \rangle$ in the definition: $5n^2 + 15 \leq 1n^3 \forall n \geq 6$

but it is more precise to say $= O(n^2) \equiv$ to **adjust bounds**

\Rightarrow **For algorithm analysis, we use the approximations:**

$$5n^2 + 4n \rightarrow O(n^2)$$

$$\log_2 n \rightarrow O(\log n)$$

$$13 \rightarrow O(1)$$

- **Observation:**

O notation is also used in expressions like $3n^2 + O(n)$

- **Example 3:**

How do we obtain a more drastic improvement,

- improving the efficiency of the algorithm, or
- improving the computer?

O notation (2)

- Example 3** (cont'd):

	time ₁	time ₂	time ₃	time ₄
	1000 steps/s	2000 steps/s	4000 steps/s	8000 steps/s
$T(n)$				
$\log_2 n$	0.010	0.005	0.003	0.001
n	1	0.5	0.25	0.125
$n \log_2 n$	10	5	2.5	1.25
$n^{1.5}$	32	16	8	4
n^2	1,000	500	250	125
n^3	1,000,000	500,000	250,000	125,000
1.1^n	10^{39}	10^{39}	10^{38}	10^{38}

Table: Execution times (in s) for 7 algorithms with different complexities ($n=1000$).

- Example 4:** Sort 100.000 random integers:

- * 17 s on a 386 + Quicksort

- * 17 min on a 100 times faster processor + Bubble sort

O notation (3)

Practical rules to work with O :

Definition: $f(n)$ is **monotonically increasing**

if $n_1 \geq n_2 \Rightarrow f(n_1) \geq f(n_2)$



- **Theorem:** $\forall c > 0, a > 1, f(n)$ monotonically increasing:

$$(f(n))^c = O(a^{f(n)})$$

\equiv “An exponential function (e.g.: 2^n) grows faster than a polynomial function (e.g.: n^2)”

$$\rightarrow \begin{cases} n^c = O(a^n) \\ (\log_a n)^c = O(a^{\log_a n}) = O(n) \end{cases}$$

$\rightarrow (\log n)^k = O(n) \forall k \text{ const.}$

\equiv “ n grows faster than any power of a logarithm”

\equiv “logarithms grow very slowly”

O notation (4)

Practical rules to work with O (Cont'd):

- **Sum and product:**

$$T_1(n) = O(f(n)) \wedge T_2(n) = O(g(n)) \Rightarrow$$
$$\begin{cases} (1) & T_1(n) + T_2(n) = O(f(n) + g(n)) = \max(O(f(n)), O(g(n))) \\ (2) & T_1(n) * T_2(n) = O(f(n) * g(n)) \end{cases}$$

$$\text{Application: } \begin{cases} (1) \text{ Sequence: } 2n^2 = O(n^2) \wedge 10n = O(n) \\ \quad \Rightarrow 2n^2 + 10n = O(n^2) \\ (2) \text{ Loops} \end{cases}$$

Observation: Do not extend the rule to substraction or division

← relation \leq in the definition of O

... sufficient to order the majority of functions

Other asymptotic notations (1)

❶ $T(n), f(n) : \mathbb{Z}^+ \rightarrow \mathbb{R}^+$, **Definition:** O

❷ **Definition:** $T(n) = \Omega(f(n))$

iff \exists constants c and n_0 : $T(n) \geq cf(n) \forall n \geq n_0$

□

$f(n)$: **lower bound** of $T(n) \equiv$ minimum work of the algorithm

Ejemplo: $3n^2 = \Omega(n^2)$: more adjusted lower bound...

but $3n^2 = O(n^2)$ also! ($O \wedge \Omega$)

❸ **Definition:** $T(n) = \Theta(f(n))$

iff \exists constants c_1, c_2 and n_0 : $c_1 f(n) \leq T(n) \leq c_2 f(n) \forall n \geq n_0$

□

$f(n)$: **exact bound** of $T(n)$, of the exact order

Example: $5n \log_2 n - 10 = \Theta(n \log n)$:

$$\begin{cases} (1) \text{ prove } O \rightarrow \langle c, n_0 \rangle \\ (2) \text{ prove } \Omega \rightarrow \langle c', n'_0 \rangle \end{cases}$$

Other asymptotic notations (2)

4. **Definition:** $T(n) = o(f(n))$

iff \forall constant $C > 0$, $\exists n_0 > 0$: $T(n) < Cf(n) \forall n \geq n_0$

□

$\equiv O \wedge \neg \Theta \equiv O \wedge \neg \Omega$

$f(n)$: **strict upper bound** of $T(n)$: $\lim_{n \rightarrow \infty} \frac{T(n)}{f(n)} = 0$

Examples: $\frac{n}{\log_2 n} = o(n)$ $\frac{n}{10} \neq o(n)$

5. **Definition:** $T(n) = \omega(f(n))$

iff \forall constant $C > 0$, $\exists n_0 > 0$: $T(n) > Cf(n) \forall n \geq n_0$

□

$\Leftrightarrow f(n) = o(T(n))$

$\rightarrow f(n)$: **strictly lower bound** of $T(n)$

6. **OO notation** [Manber]: $T(n) = OO(f(n))$ if it is $O(f(n))$

but with too large constants for practical cases

Ref: Example 2 (p. 4): $B1 = O(n^2)$, $B2 = OO(n^{1.8})$

Other asymptotic notations (3)

Practical rules (Cont'd):

- $T(n) = a_0 + a_1 n + a_2 n^2 + \dots + a_k n^k \Rightarrow T(n) = \Theta(n^k)$
(polynomial of degree k)
- **Theorem:** $\forall c > 0, a > 1, f(n)$ monotonically increasing:

$$(f(n))^c = o(a^{f(n)})$$

\equiv “An exponential function **grows faster** than a polynomial function”

\rightarrow they never get equal

Index

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Model of computation (1)

- Calculate O for $T(n) \equiv$ number of “steps” $\rightarrow f(n)$? *step*?
- **Model of computation:**
 - sequential computer
 - instruction \leftrightarrow step (there are no complex instructions)
 - inputs: single type (“integer”) $\rightarrow \text{seq}(n)$
 - infinite memory + “*everything is in memory*”
- Alternatives: A *step* is...
 - 1 **Elementary operation:**
Operation whose runtime is bounded above by a constant that only depends on the implementation $\rightarrow = O(1)$
 - 2 **Main operation [Manber]:**
Operation that is *representative* of the algorithm's work:
The number of main operations being executed must be *proportional* to the total number of operations (verify!).
Example: comparison in a sorting algorithm

Model of computation (2)

- The hypothesis of main operations is more abstract/a wider approximation!
- In general, **we will use the hypothesis of elementary operations.**
- In any case, we ignore: programming language, processor, OS, load...
⇒ We only consider algorithm, problem size ...
- **Weaknesses:**
 - different-cost operations
(“everything in memory” ⇒ disk read = assignment)
→ count separately according to operation type and then
weight \equiv factors \equiv implementation-dependent
⇒ costly and generally useless
 - page faults ignored
 - etc.

→ *Approximation*

Case analysis

- **Case analysis:**

We consider different functions for $T(n)$:

$$\begin{cases} T_{best}(n) \\ T_{average}(n) \leftarrow \text{representative, more complicated to obtain} \\ T_{worst}(n) \leftarrow \text{generally, the most used} \end{cases}$$

$$T_{best}(n) \leq T_{average}(n) \leq T_{worst}(n)$$

- Response time is critical?

→ *Real-Time Systems*

Insertion Sort (1)

```
procedure Insertion Sort (var T[1..n])  
  for i:=2 to n do  
    x:=T[i];  
    j:=i-1;  
    while j>0 and T[j]>x do  
      T[j+1]:=T[j];  
      j:=j-1  
    end while;  
    T[j+1]:=x  
  end for  
end procedure
```

Insertion Sort (2)

3	1	4	1	2	9	5	6	5	3
1	3	4	1	2	9	5	6	5	3
1	3	4	1	2	9	5	6	5	3
1	1	3	4	2	9	5	6	5	3
1	1	2	3	4	9	5	6	5	3
1	1	2	3	4	9	5	6	5	3
1	1	2	3	4	5	9	6	5	3
1	1	2	3	4	5	6	9	5	3
1	1	2	3	4	5	5	6	9	3
1	1	2	3	3	4	5	5	6	9

Case analysis: Insertion Sort

- **Worst case** → “insert always at the first position”

≡ input in reverse order

⇒ the inner loop executes 1 time in the first iteration,

2 times in the second, ..., $n - 1$ times in the last:

⇒ $\sum_{i=1}^{n-1} i = \frac{n(n-1)}{2}$ iterations of the inner loop

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

⇒ $T(n) = \frac{n(n-1)}{2}c_1 + (n-1)c_2 + c_3$: polynomial of degree 2

⇒ $T(n) = \Theta(n^2)$

- **Best case** → “never insert” ≡ ordered input

⇒ the inner loop is never ran

⇒ $T(n) = (n-1)c_1 + c_2$: polynomial of degree 1

⇒ $T(n) = \Theta(n)$

⇒ $T(n)$ depends *also* of the initial state of the input

Selection Sort (1)

```
procedure Selection Sort (var T[1..n])  
  for i:=1 to n-1 do  
    minj:=i;  
    minx:=T[i];  
    for j:=i+1 to n do  
      if T[j]<minx then  
        minj:=j;  
        minx:=T[j]  
      end if  
    end for;  
    T[minj]:=T[i];  
    T[i]:=minx  
  end for  
end procedure
```

Selection Sort (2)

3	1	4	1	2	9	5	6	5	3
1	3	4	1	2	9	5	6	5	3
1	1	4	3	2	9	5	6	5	3
1	1	2	3	4	9	5	6	5	3
1	1	2	3	4	9	5	6	5	3
1	1	2	3	3	9	5	6	5	3
1	1	2	3	3	4	5	6	5	9
1	1	2	3	3	4	5	6	5	9
1	1	2	3	3	4	5	5	6	9
1	1	2	3	3	4	5	5	6	9

Case analysis: Selection Sort

- $T(n) = \Theta(n^2)$ regardless of initial order (exercise)
 \leftrightarrow the inner comparison is ran the same number of times
 Empirically: $T(n)$ does not vary more than 15%

algorithm	minimum	maximum
Insertion	0,004	5,461
Selection	4,717	5,174

Tabla: Times (in seconds) obtained for $n = 4000$

- **Comparison:**

algorithm	worst case	average case	best case
Insertion	$\Theta(n^2)$	$\Theta(n^2)$	$\Theta(n)$
Selection	$\Theta(n^2)$	$\Theta(n^2)$	$\Theta(n^2)$
Quicksort	$O(n^2)$	$O(n \log n)$	$O(n \log n)$

Rules to calculate $O(1)$

1. elementary operation = 1 \leftrightarrow Model of Computation

Rules to calculate O (2)

2. **sequence:** $S_1 = O(f_1(n)) \wedge S_2 = O(f_2(n))$
 $\Rightarrow \boxed{S_1; S_2} = O(f_1(n) + f_2(n)) = O(\max(f_1(n), f_2(n)))$

- Also with Θ

Rules to calculate O (3)

3. **condition:** $B = O(f_B(n)) \wedge S_1 = O(f_1(n)) \wedge S_2 = O(f_2(n))$
 \Rightarrow **if B then S_1 else S_2** $= O(\max(f_B(n), f_1(n), f_2(n)))$

- If $f_1(n) \neq f_2(n)$ and $\max(f_1(n), f_2(n)) > f_B(n) \leftrightarrow$ **Worst case**
- Average case?
 - $\rightarrow f(n)$: average of f_1 and f_2 weighted with the frequencies of each branch
 - $\rightarrow O(\max(f_B(n), f(n)))$

Rules to calculate O (4)

4. **iteration:** $B; S = O(f_{B,S}(n)) \wedge n^0 \text{ iter} = O(f_{\text{iter}}(n))$

$\Rightarrow \boxed{\text{while } B \text{ do } S} = O(f_{B,S}(n) * f_{\text{iter}}(n))$

iff the cost of iterations does not vary, else: \sum indiv. costs.

$\Rightarrow \boxed{\text{for } i \leftarrow x \text{ to } y \text{ do } S} = O(f_S(n) * n^0 \text{ iter})$

iff the cost of iterations does not vary, else: \sum indiv. costs.

- B is to compare 2 integers $= O(1)$; $n^0 \text{ iter} = y - x + 1$

Rules to calculate O (5)

- 1 elementary operation = 1 \leftrightarrow Model of Computation
- 2 **sequence:** $S_1 = O(f_1(n)) \wedge S_2 = O(f_2(n))$
 $\Rightarrow \boxed{S_1; S_2} = O(f_1(n) + f_2(n)) = O(\max(f_1(n), f_2(n)))$
 - Also with Θ
- 3 **condition:** $B = O(f_B(n)) \wedge S_1 = O(f_1(n)) \wedge S_2 = O(f_2(n))$
 $\Rightarrow \boxed{\text{if } B \text{ then } S_1 \text{ else } S_2} = O(\max(f_B(n), f_1(n), f_2(n)))$
 - If $f_1(n) \neq f_2(n)$ and $\max(f_1(n), f_2(n)) > f_B(n) \leftrightarrow$ **Worst case**
 - Average case? $\rightarrow f(n)$: average of f_1 and f_2 weighted with the frequencies of each branch $\rightarrow O(\max(f_B(n), f(n)))$
- 4 **iteration:** $B; S = O(f_{B,S}(n)) \wedge n^0 \text{ iter} = O(f_{\text{iter}}(n))$
 $\Rightarrow \boxed{\text{while } B \text{ do } S} = O(f_{B,S}(n) * f_{\text{iter}}(n))$
iff the cost of iterations does not vary, else: \sum indiv. costs.
 $\Rightarrow \boxed{\text{for } i \leftarrow x \text{ to } y \text{ do } S} = O(f_S(n) * n^0 \text{ iter})$
iff the cost of iterations does not vary, else: \sum indiv. costs.
 - B is to compare 2 integers = $O(1)$; $n^0 \text{ iter} = y - x + 1$

Rules to calculate O (6)

- Usage of the rules:
 - analysis “from the inside out”
 - analyse subprograms first
 - recursivity: try to treat it as a loop, without solving recurrence relation
- **Example:** $\sum_{i=1}^n i^3$

```
function sum (n:integer) : integer
{1}   s:=0;
{2}   for i:=1 to n do
{3}       s:=s+i*i*i;
{4}   return s
end function
```

$\Theta(1)$ in {3} and there are no variations
 $\Rightarrow \Theta(n)$ in {2} (rule 4)
 $\Rightarrow T(n) = \Theta(n)$ (rule 2)

- *The reasoning already includes approximations* 

Selection Sort (3)

```
procedure Selection Sort (var T[1..n])
{1}   for i:=1 to n-1 do
{2}       minj:=i; minx:=T[i];
{3}       for j:=i+1 to n do
{4}           if T[j]<minx then
{5}               minj:=j; minx:=T[j]
               end if
           end for;
{6}       T[minj]:=T[i]; T[i]:=minx
       end for
end procedure
```


Selection Sort (4)

- $\Theta(1)$ in $\{5\}$ (rule 2)
 $\Rightarrow O(\max(\Theta(1), \Theta(1), 0)) = \Theta(1)$ in $\{4\}$
 (rule 3: **we aren't in the worst case**)
- $S = \Theta(1)$; $n^{\text{o}} \text{ iter} = n - i \Rightarrow \Theta(n - i)$ in $\{3\}$ (rule 4)
- $\Theta(1)$ in $\{2\}$ and in $\{6\}$ (rule 2)
 $\Rightarrow \Theta(n - i)$ in $\{2-6\}$ (rule 2)
- $S = \Theta(n - i)$ **varies:** $\begin{cases} i = 1 & \rightarrow \Theta(n) \\ i = n - 1 & \rightarrow \Theta(1) \end{cases}$
 $\Rightarrow \sum_{i=1}^{n-1} (n - i) = \sum_{i=1}^{n-1} n - \sum_{i=1}^{n-1} i$ in $\{1\}$ (rule 4)
 $= (n - 1)n - \frac{n(n-1)}{2}$: polynomial of degree 2
 $\Rightarrow T(n) = \Theta(n^2)$ **in any case**

Case analysis: exponentiation (1)

- Power1: $x^n = x * x * \dots * x$ (loop, n times x)

Main operation: multiplication

Number of multiplications? $f_1(n) = n - 1 \Rightarrow T(n) = \Theta(n)$

- Power2 (recursive):

$$x^n = \begin{cases} x^{\lfloor n/2 \rfloor} * x^{\lfloor n/2 \rfloor} & \text{if } n \text{ even} \\ x^{\lfloor n/2 \rfloor} * x^{\lfloor n/2 \rfloor} * x & \text{if } n \text{ odd} \end{cases}$$

Number of multiplications? $f_2(n)$?

Case analysis: exponentiation (2)

- Power2 (recursive) (Cont'd)

Calculation of $f_2(n)$:

$$\begin{cases} \text{min: } n \text{ even in each call} & \rightarrow n = 2^k, k \in \mathbb{Z}^+ \leftrightarrow \text{best case} \\ \text{max: } n \text{ odd in each call} & \rightarrow n = 2^k - 1, k \in \mathbb{Z}^+ \leftrightarrow \text{worst case} \end{cases}$$

- *Best case:* $f_2(2^k) = \begin{cases} 0 & \text{if } k = 0 \\ f_2(2^{k-1}) + 1 & \text{if } k > 0 \end{cases} \quad (1)$
- *Worst case:* $f_2(2^k - 1) = \begin{cases} 0 & \text{if } k = 1 \\ f_2(2^{k-1} - 1) + 2 & \text{if } k > 1 \end{cases} \quad (2)$

\rightarrow *recurrence relations*

Case analysis: exponentiation (3)

- Best case: $f_2(2^k) = \begin{cases} 0 & \text{if } k = 0 \\ f_2(2^{k-1}) + 1 & \text{if } k > 0 \end{cases} \quad (1)$

$k =$	0	$\rightarrow f_2($	1	$) =$	0
	1		2		1
	2		4		2
	3		8		3
	...				

\Rightarrow Induction hypothesis: $f_2(2^\alpha) = \alpha : 0 \leq \alpha \leq k - 1$

Induction step:

$$\begin{aligned}
 (1) \rightarrow f_2(2^k) &= f_2(2^{k-1}) + 1 \\
 &= (k - 1) + 1 \\
 &= k
 \end{aligned}$$

*correct explicit form
of the recurrence relation*

Case analysis: exponentiation (4)

- Worst case: $f_2(2^k - 1) = \begin{cases} 0 & \text{if } k = 1 \\ f_2(2^{k-1} - 1) + 2 & \text{if } k > 1 \end{cases} \quad (2)$

$k =$	1	$\rightarrow f_2($	1	$) =$	0
	2		3		2
	3		7		4
	4		15		6
	5		31		8
	6		63		10

...

\Rightarrow Induction hypothesis: $f_2(2^\alpha - 1) = 2(\alpha - 1) : 1 \leq \alpha \leq k - 1$

Induction step: $(2) \rightarrow f_2(2^k - 1) = f_2(2^{k-1} - 1) + 2$

$$= 2(k - 1 - 1) + 2$$

$$= 2(k - 1)$$

Case analysis: exponentiation (5)

- $n = 2^k$ (best case):
 $f_2(2^k) = k$ for $k \geq 0$
 $\rightarrow f_2(n) = \log_2 n$ for $n = 2^k$ y $k \geq 0$ (as $\log_2 2^k = k$)
 $\Rightarrow \boxed{f_2(n) = \Omega(\log n)}$
- $n = 2^k - 1$ (worst case):
 $f_2(2^k - 1) = 2(k - 1)$ for $k \geq 1$
 $\rightarrow f_2(n) = 2[\log_2(n + 1) - 1]$ for $n = 2^k - 1$ y $k \geq 1$
 $\Rightarrow \boxed{f_2(n) = O(\log n)}$
- $\Rightarrow f_2(n) = \Theta(\log n)$
Model of computation: main operation = multiplication
 $\Rightarrow \boxed{T(n) = \Theta(\log n)}$

best case $\leftrightarrow \Omega$

worst case $\leftrightarrow O$