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# Design and Analysis of Algorithms

## Lecture 1 & Lecture 2

Big O Notation  
Recurrence Relations

# Pre-requisite

## Data Structures and Algorithms

- We will use advanced data structures to make algorithms run faster

# Textbooks

## Required

- T.H. Cormen, C.E. Leiserson, and R.L. Rivest,  
*Introduction to Algorithms* (3<sup>rd</sup> edition).

# Algorithm

- Al Khwarizmi (9<sup>th</sup> century Persian mathematician, Bagdad) wrote a textbook (in Arabic) about basic methods for adding, multiplying, and dividing numbers, extracting square roots, and calculating digits of  $\pi$ .
  - Al Khwarizmi → when written in Latin, the name became Algorismus / Algoritmi
- An algorithm is any well-defined computational procedure that
  - takes some value as input
  - produces some value as output
  - solves a specified computational problem
- An algorithm
  - must be correct (*i.e.*, always gives the right result)
  - should be tractable & terminate (*i.e.*, gives a result in reasonable time)
  - can be specified in English, as computer program, or as hardware design

# Problem Example-1

**Sorting problem:** A problem you have learnt before ...

**Input:** a sequence of  $n$  numbers  $(a_1, a_2, \dots, a_n)$

**Output:** A reordering  $(b_1, b_2, \dots, b_n)$  of input sequence such that  $b_1 \leq b_2 \leq \dots \leq b_n$ .

**Example:**

**Input:** (30, 20, 41, 51, 3, 20)

**Output:** (3, 20, 20, 30, 41, 51)

- What kind of problems are solved by algorithms?  
See Textbook pp. 6-8

# Algorithm for Example-1

## INSERTION-SORT ( $A$ )

**for**  $j = 2$  to  $length(A)$  **do**

$key = A[j]$

    // insert  $A[j]$  into the sorted sequence  $A[1 \dots j - 1]$

$i = j - 1$

**while**  $i > 0$  and  $A[i] > key$  **do**

$A[i+1] = A[i]$

$i = i - 1$

$A[i+1] = key$

// The textbook and lecture slides assume **Array  $A$  starts from index 1**

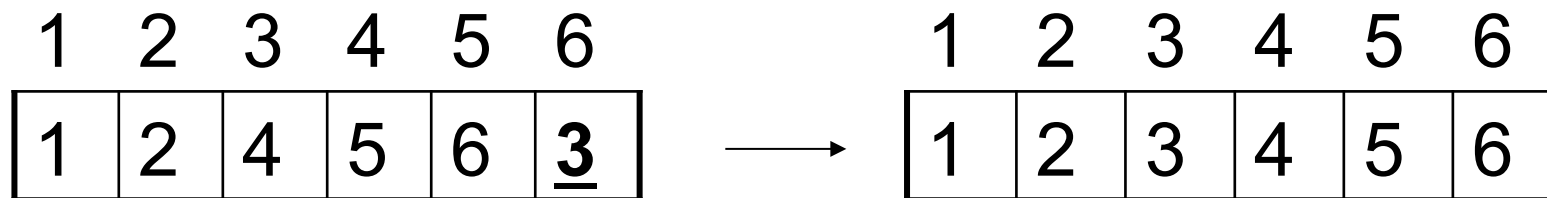
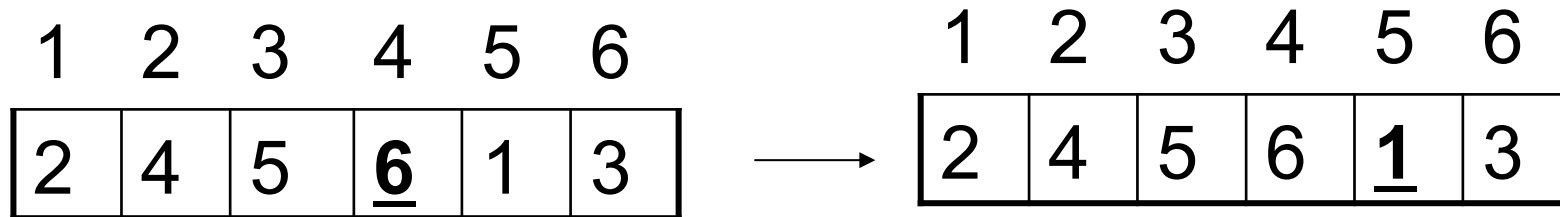
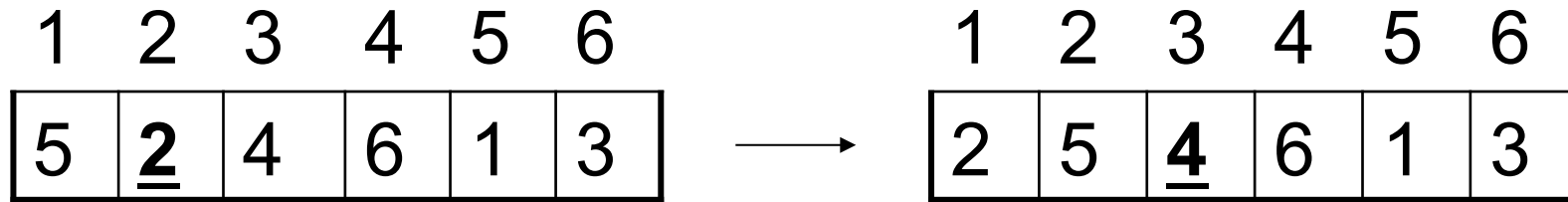
//  $length(A)$  is the total number of elements in array  $A$ .

// Insertion sort (IS) is *in-place* sorting algorithm: the numbers are rearranged within the array  $A$ ; it requires only a constant amount of memory for temporary variables, loop control variables, sentinel, etc

// IS is a *stable* sorting algorithm: it maintains the relative order of repeated elements

// IS is fast for small sized input and for input that is almost sorted

# Insertion Sort Example





# Problem Example-2

**Greatest Common Divisor (GCD): learnt in high school ...**

**// also known as Greatest Common Factor (GCF)**

**Input:** Integers  $X$  and  $Y$

**Output:** The largest integer  $Z$  that divides both  $X$  and  $Y$ , i.e.,  $Z = \text{GCD}(X, Y)$

**Note:**  $\text{GCD}(X, Y) = \text{GCD}(Y, X)$

**Example:**

**Input:**  $X = 1035$ ,  $Y = 759$

**Output:**  $Z = \text{GCD}(1035, 759) = 69$

**Algorithm-1 for Example-2**

**Step 1:** Find all **prime factors** of both  $X$  and  $Y$

**Step 2:** Multiply all **common** prime factors to form  $Z$

**Example:** Find the GCD of  $X = 1035$  and  $Y = 759$

**Step-1:**  $1035 = 3^2 * 5 * 23$  and  $759 = 3 * 11 * 23$

→ The common prime factors are: 3 and 23

**Step-2:**  $Z = 3 * 23 = 69$

## Problem Example-2 (cont.)

Algorithm-2 for Example-2: by Euclid (325 – 265 BC)

For two positive integers X and Y, where  $X \geq Y$ , we have

$$\text{GCD}(X, Y) = \text{GCD}(X \bmod Y, Y)$$

**Note:** You can use a **recursive** or **iterative** function to implement Algorithm-2

// a recursive version

**GCD** (x, y)

**if** y = 0 **then return** x

**return GCD** (y, x mod y)

Example: X = 1035, Y = 759

$$\text{GCD}(1035, 759) = \text{GCD}(1035 \bmod 759, 759) = \text{GCD}(276, 759)$$

$$\text{GCD}(759, 276) = \text{GCD}(759 \bmod 276, 276) = \text{GCD}(207, 276)$$

$$\text{GCD}(276, 207) = \text{GCD}(276 \bmod 207, 207) = \text{GCD}(69, 207)$$

$$\text{GCD}(207, 69) = \text{GCD}(207 \bmod 69, 69) = \text{GCD}(0, 69) = \text{GCD}(69, 0)$$

# Problem Example-3

**Least Common Multiple (LCM):** also from high school ...

// also known as **Greatest Common Factor (GCF)**

**Input:** Integers **X** and **Y**

**Output:** The smallest integer **Z** divisible by both **X** and **Y**, i.e.,  $Z = \text{LCM}(X, Y)$

**Note:**  $\text{LCM}(X, Y) = \text{LCM}(Y, X)$

**Example:**

**Input:**  $X = 1035$ ,  $Y = 759$

**Output:**  $Z = \text{LCM}(1035, 759) = 11385$

**Algorithm-1 for Example-3**

**Step 1:** Find all **prime factors** of both **X** and **Y**

**Step 2:** Multiply all prime factors to form **Z**

for each prime factor common to **X** and **Y**, use the largest power.

**Example:** Find the GCD of  $X = 1035$  and  $Y = 759$

**Step-1:**  $1035 = 3^2 * 5 * 23$  and  $759 = 3 * 11 * 23$

→ The common prime factors are: 3 and 23

**Step-2:**  $Z = 3^2 * 5 * 11 * 23 = 11385$

## Problem Example-3 (cont.)

### Algorithm-2 for Example-3:

We can use the solution of GCD (X, Y) to compute LCM (X, Y) as follows.

$$\text{LCM (X, Y)} = (X * Y) / \text{GCD (X, Y)}.$$

Example: X = 1035, Y = 759

$$\text{LCM (1035, 759)} = (1035 * 759) / \text{GCD (1035, 759)}$$

From the previous example, we have  $\text{GCD (1035, 759)} = 69$

$$= (1035 * 759) / 69 = 11385$$

# Problem Example-4

**Integer multiplication: learnt in primary school ...**

**Input:** Integers  $X$  and  $Y$

**Output:**  $Z = X * Y$

**Example:**

**Input:**  $X = 12, Y = 34$

**Output:**  $Z = 12 * 34 = 408$

**Algorithm-1 for Example-4:** **We all know this algorithm!**

```
  1 2
  3 4 x
  ---
  4 8
  3 6  +
  ---
 4 0 8
```

# Problem Example-4 (cont.)

## Algorithm-2 for Example-4: Al Khwarizmi's Algorithm

1. Divide the first number by 2 (in Col 1)
2. Double the second number (in Col 2)
3. Repeat until the first number becomes 1
4. Add all rows in Col 2 that has odd number in Col 1

### Example:

$$12 * 34 = 408$$

<u>Col 1</u>	<u>Col 2</u>
12	34
6	68
3	136
<u>1</u>	<u>272</u>
Result = 408	

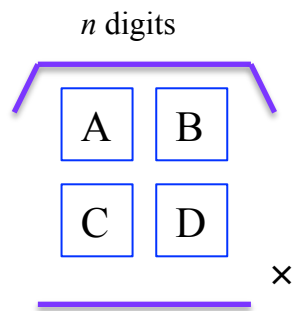
$$25 * 70 = 1750$$

<u>Col 1</u>	<u>Col 2</u>
25	70
12	140
6	280
3	560
<u>1</u>	<u>1120</u>
Result = 1750	

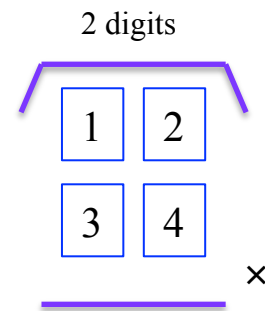
## Problem Example-4 (cont.)

What if  $X$  and  $Y$  are  $n$  digit numbers?

Use Algorithm-1 for Example-4



$$10^n AC + 10^{n/2} (AD + BC) + BD$$



$$10^2 1*3 + 10^1 (1*4 + 2*3) + 2*4 = \mathbf{408}$$

The algorithm recursively computes  $(A*C)$ ,  $(A*D)$ ,  $(B*C)$ , and  $(B*D)$

# Problem Example-4 (cont.)

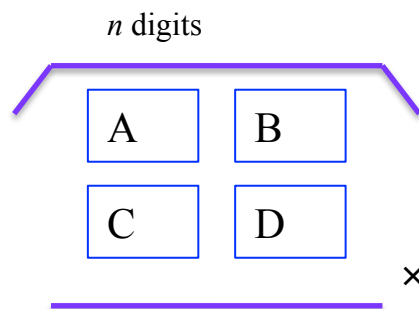
## Algorithm-3 for Example-4: Karatsuba's algorithm

Notice that  $AD + BC = (A + B)(C + D) - AC - BD$  because

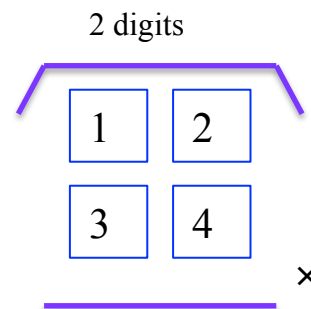
$$\begin{aligned}(A + B)(C + D) - AC - BD &= AC + AD + BC + BD - AC - BD \\ &= AD + BC\end{aligned}$$

Thus, we need multiplications only for:  $AC$ ,  $BD$ , and  $(A + B)(C + D)$  instead of  $AC$ ,  $BD$ ,  $AD$  and  $BC$ , meaning that Karatsuba's multiplication is faster!

Note: a **multiply** operation is more time consuming than an **add** operation



$$10^n AC + 10^{n/2} ((A + B)(C + D) - AC - BD) + BD$$



$$10^2 3 + 10^1((1 + 2)(3 + 4) - 1*3 - 2*4) + 2*4 = 408$$



# Problem Example-5

**Addition of  $n$  consecutive numbers  $1, 2, 3, \dots, n$**

**Input:** Integer  $n$

**Output:**  $1 + 2 + 3 + \dots + n - 1 + n$

**Example:**

**Input:**  $n = 10$

**Output:**  $1 + 2 + 3 + \dots + 9 + 10 = 55$

**Algorithm-1 for Example-5:** Obvious – consecutively add those ten numbers!

**What if  $n$  is a large number, i.e., 1M? 1B?**

**Algorithm-2 for Example-5:** Some says by Carl Friedrich Gauss who knew the algorithm when he was 8 years old!

$$1 + 2 + 3 + \dots + n = n(n+1)/2;$$

$$\text{Thus, } 1 + 2 + 3 + \dots + 9 + 10 = 10(10 + 1)/2 = 55$$

# What other problems?

*How many digits are there in Pi ( $\pi$ )?  $\pi = 3.14159265 \dots$*

- In 2011, the record was more than 10 trillion digits!
- Note: Pi day is March 14
- **Algorithms to compute  $\pi$ ?**

*How many digits are there in Phi ( $\Phi$  - pronounced fi)? Million digits!*

- $\Phi$  is the golden ratio
  - also called Golden Number, Golden Proportion, Golden Mean, Golden Section.
- $\Phi = 1 + 1/\Phi \rightarrow \Phi^2 - \Phi - 1 = 0 \rightarrow \Phi = \frac{1 + \sqrt{5}}{2} = 1.618033988749894848204586834\dots$
- OR  $\phi = 1/\Phi = 0.618033988749894848204586834 \dots$ 
  - Phi day is June 18
- The ratio of each successive pair of Fibonacci numbers approximates phi, e.g.,  $2584/1597 = 1.618033813$

**Textbook pp. 6-8 discusses other problems**

# Algorithm as Technology

- Algorithms devised for the same problem often differ dramatically in their efficiency
  - Which algorithm for each of the five examples is the most efficient?
- **Example for sorting problem:**
  - Insertion sort (**IS**) takes time  $c_1 n^2$  to sort  $n$  items.
    - We will discuss how to analyse algorithm time complexity later.
  - Merge sort (**MS**) takes time  $c_2 n \lg n$
  - Assume *constants*  $c_1 = 2$ ,  $c_2 = 50$
  - Assume you use the algorithms to sort  $n = 10^6$  elements.

# Algorithm as Technology (cont. )

- Assume CPU **A** runs **IS**, and CPU **B** runs **MS**
  - CPU **A** executes  $10^9$  instructions/sec while CPU **B** executes  $10^7$  instructions/sec
    - Thus, CPU B is 100 times slower as compared to CPU A.
- **A** takes:  $\frac{2 \cdot (10^6)^2 \text{ instructions}}{10^9 \text{ instructions / sec}} = 2000 \text{ seconds}$
- **B** takes:  $\frac{50 \cdot 10^6 \cdot \lg 10^6 \text{ instructions}}{10^7 \text{ instructions / sec}} \approx 100 \text{ seconds}$
- **MS** runs faster even using the slower CPU and assuming larger constant value!
  - This example shows the importance of designing more efficient algorithm for faster problem solutions!

# How to design an algorithm?

- Reduce the problem to one with good known solution
- Write a brute force algorithm and use “tricks” to improve it
- This unit (DAA) focuses on time-efficient algorithm
- Another unit, Theoretical Foundations of Computer Science, covers problems
  - with no known efficient solution → NP-complete
  - with no solution → undecidable

# How to design an algorithm? (cont. )

## Trick 1

- *Use better data structures*
  - Often the implementation of an algorithm can be improved by choosing appropriate data structures
  - Lists vs. Arrays for split/join
  - Heaps for repeated min/max
  - Balanced trees or hashing for fast search
  - Graphs, etc.

## Trick 2

- *Preprocessing the input (e.g., sorting)*
  - Allow binary search vs. linear search
  - Bring important items to the front of a list
  - Attempt to format the data so the algorithm performs at its best, rather than at its worst.

# How to design an algorithm? (cont. )

## **Trick 3:** *Use good algorithm design techniques*

- **Divide & Conquer technique**

- Split a problem into sub parts
- Solve each part
- Re-join to get a solution
- Will learn this trick in the following lecture

- **Greedy approach**

- Define a “cost”
  - Cost can be \$ value, time, etc.
- Sort items by best impact on cost
- Greedily choose the best until problem solved
- Note that the solution/result may or may not be “optimal”
- Will learn this trick in the following lecture

- **Dynamic programming**

- Will learn this trick in the following lecture

# Algorithm Analysis

- Efficiency measure:
  - **Speed:** How long an algorithm takes to produce results
    - This is the usual measure.
  - **Space/memory:** How much memory is required to run the algorithm.
    - This measure is less commonly used.
- In general, the time taken by an algorithm grows with the size of input
  - Input size: depends of problems being studied (*e.g.*, #elements, #nodes, #links)
  - What is the input size of a sorting algorithm?
- Use the same **computation model** for the analyzed algorithms
  - Running time on a particular input: #of primitive operations or steps executed using the computation model/computer



# Computation Model

- The usual (often not stated) computation model is the Random Access Machine (RAM)
  - Sequential → RAM executes one instruction at a time
  - RAM contains instructions of real computers: arithmetic (*e.g.*, **add**, **multiply**), data movement (*e.g.*, load, store), control (*e.g.*, **if**, **subroutine call**).
  - Each instruction takes a constant amount of time/step
  - Running time: the total number of steps
- Data type: integer and floating point
- We need to limit the size of each word of data used

# Example

$n = 1$

1 step

$n = 2$

1 step

$n = n + 1$

2 steps

print  $n$

1 step

print  $n$

1 step

4 steps

2 steps

Assignment operation is 1 step in RAM model

Addition operation is 1 step in RAM model

Let's say print operation is 1 step in RAM model

# Analysis of Insertion Sort

INSERTION-SORT ( $A$ )	cost	times
<b>for</b> $j = 2$ <b>to</b> $length(A)$ <b>do</b>	$c_1$	$n$
$key = A[j]$	$c_2$	$n - 1$
// insert $A[j]$ into the sorted sequence $A[1 \dots j - 1]$		
$i = j - 1$	$c_4$	$n - 1$
<b>while</b> $i > 0$ and $A[i] > key$ <b>do</b>	$c_5$	$\sum_{j=2}^n (t_j + 1)$
$A[i+1] = A[i]$	$c_6$	$\sum_{j=2}^n (t_j)$
$i = i - 1$	$c_7$	$\sum_{j=2}^n (t_j)$
$A[i+1] = key$	$c_8$	$n - 1$

$c_i$  = the constant number of steps used to execute the operation in line  $i$ , for  $i = 1, 2, 3, \dots, 8$

$t_j$  = the number of elements the  $j^{\text{th}}$  key has to travel to get in its proper place, for  $j = 2, 3, \dots, n$

# Analysis of Insertion Sort

$$\begin{aligned} T(n) = & c_1 n + c_2(n-1) + c_4(n-1) + c_5 \sum_{j=2}^n (t_j + 1) \\ & + c_6 \sum_{j=2}^n (t_j) + c_7 \sum_{j=2}^n (t_j) + c_8(n-1) \end{aligned}$$

So, running time,  $T(n)$ , depends on input *size*  $n = \text{length}(A)$

# Analysis of Insertion Sort

- **Best Case:** when the array is already sorted
  - Line 5:  $A[i] \leq key \rightarrow t_j = 0$ , for  $j = 2, 3, \dots, n$

Thus,

$$c_5 \sum_{j=2}^n (t_j + 1) = c_5 \sum_{j=2}^n (0 + 1) = c_5(n - 1)$$

$$c_6 \sum_{j=2}^n (t_j) = c_7 \sum_{j=2}^n (t_j) = \sum_{j=2}^n (0) = 0$$

$$\begin{aligned} T(n) &= c_1 n + c_2(n - 1) + c_4(n - 1) + c_5(n - 1) + c_8(n - 1) \\ &= (c_1 + c_2 + c_4 + c_5 + c_8)n - (c_2 + c_4 + c_5 + c_8) \\ &\approx an + b \end{aligned}$$

# Analysis of Insertion Sort

**Worst Case:** the **longest running time** for an input of size  $n$

→ the array is in reverse sorted order

→ Must compare each  $A[j]$  with each element in sorted sub-array  $A[1 \dots j-1]$

→  $t_j = j-1$ , for  $j = 2, 3, \dots, n$

Thus,

$$c_5 \sum_{j=2}^n (t_j + 1) = c_5 \sum_{j=2}^n (j-1+1) = c_5 \sum_{j=2}^n j = \frac{n(n+1)}{2} - 1$$

$$c_6 \sum_{j=2}^n (t_j) = c_6 \sum_{j=2}^n (j-1) = c_6 \frac{n(n-1)}{2} \text{ and } c_7 \sum_{j=2}^n (j-1) = c_7 \frac{n(n-1)}{2}$$

$$T(n) = c_1 n + c_2 (n-1) + c_4 (n-1) + c_5 \left( \frac{n(n+1)}{2} - 1 \right) + c_6 \left( \frac{n(n-1)}{2} \right) + c_7 \left( \frac{n(n-1)}{2} \right) + c_8 (n-1)$$

$$= \left( \frac{c_5}{2} + \frac{c_6}{2} + \frac{c_7}{2} \right) n^2 + \left( c_1 + c_2 + c_4 + \frac{c_5}{2} - \frac{c_6}{2} - \frac{c_7}{2} + c_8 \right) n - (c_2 + c_4 + c_5 + c_8)$$

$$\rightarrow an^2 + bn + c$$

# Growth of functions

Consider  $an^2 + bn + c$ .

- For large  $n$ , the value of  $bn + c$  is relatively insignificant to the value of  $an^2$

Consider  $an^2$

- For large  $n$ , the constant coefficient  $a$  is less significant than the rate of growth of  $n$

Thus, we express  $an^2 + bn + c$  as  $\Theta(n^2)$

→ Read as “Big theta of  $n$ -squared”

# $O(n)$ – Big-oh of $n$

## Asymptotic *upper* bound

- A given function  $f(n)$  is  $O(g(n))$  if there exist positive constants  $c$  and  $n_0$  such that:

$$0 \leq f(n) \leq c g(n) \text{ for all } n \geq n_0$$

- $O(g(n))$  represents a set of functions

$$\{f(n) : \exists c > 0, n_0 > 0 \text{ such that } 0 \leq f(n) \leq c \cdot g(n), \forall n \geq n_0\}$$

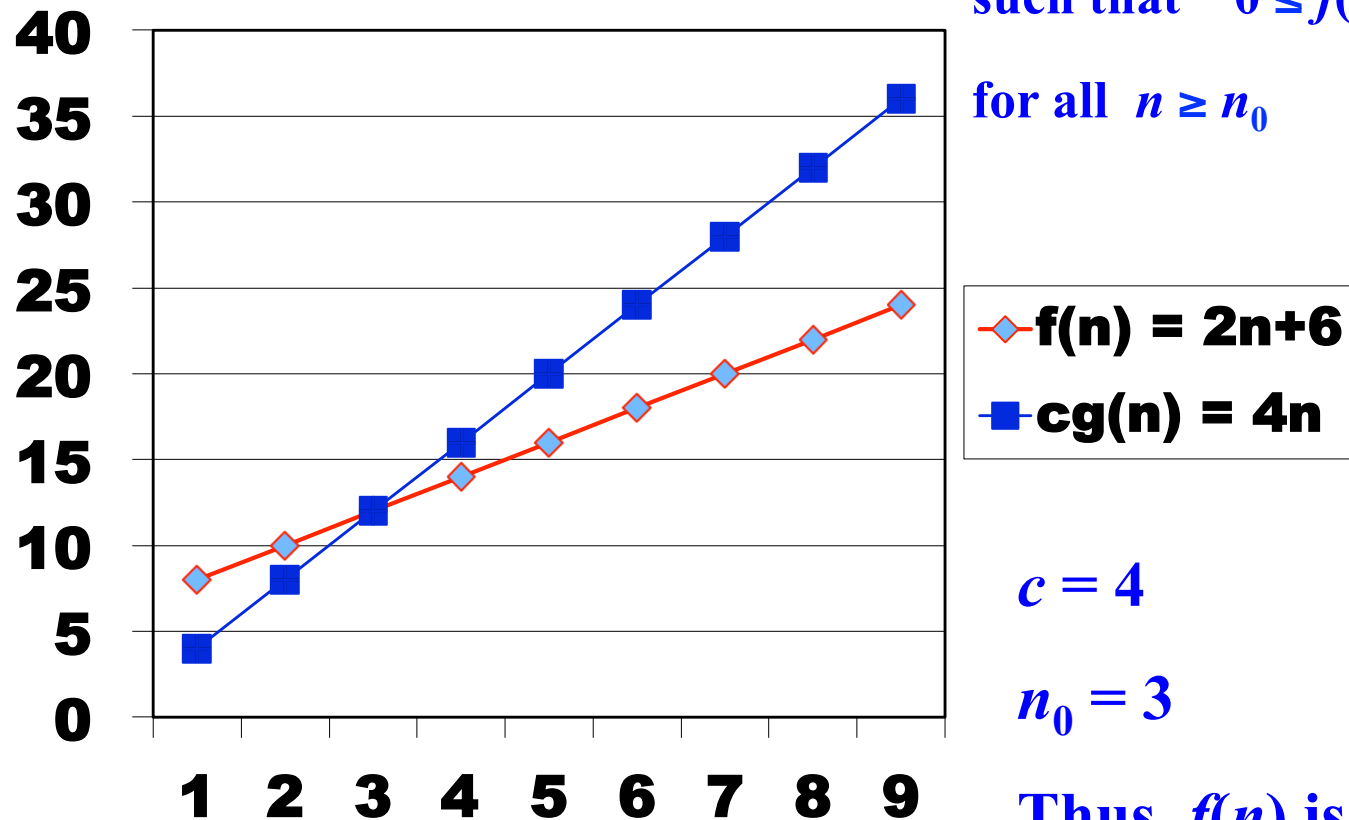
$\exists$  is read as: there exists, there is, or there are;

$\forall$  is read as: for all, for any, or for each



# Big O Progression

$f(n)$  is  $O(g(n))$  if there exist  
positive constants  $c$  and  $n_0$   
such that  $0 \leq f(n) \leq c g(n)$   
for all  $n \geq n_0$



$$c = 4$$

$$n_0 = 3$$

Thus,  $f(n)$  is  $O(n)$

# $O$ - example

Show that  $2n + 6 = O(n)$

- $0 \leq 2n + 6 \leq cn$  // definition of Big  $O$
- $0 \leq 2 + 6/n \leq c$  // divide by  $n \geq n_0 (> 0)$
- TRUE for  $n \geq 1$  and  $c \geq 8$
- TRUE for  $n \geq 2$  and  $c \geq 5$

You can find other possible constants, but you need to show only *one pair* of all possible constants

# Back to the example

$sum = 0$

1 assignment

for  $i = 1$  to  $n$

$sum = sum + A[i]$

- What is the order (big- $O$ ) of the first line?
  - It's a constant, so any constant would do as big- $O$ .
    - The convention is to use  $O(1)$
- This says that there is some constant  $c$  such that
$$0 \leq 1 \leq c \times 1$$
for all sufficient high value of  $n$ .
- It can be seen that any  $c \geq 1$  would do.

# Back to the example

$sum = 0$

for  $i = 1$  to  $n$

$sum = sum + A[i]$

$O(1)$

$n+1$  assignments and  $n+1$  comparisons

- What is the order of the second line?
  - It is executed  $(n+1)$  times and contains one comparison and one assignment for a total complexity of  $2n+2$ .
- What is a suitable upper bound for a sufficiently large  $n$ ?
  - $3n$ ,  $4n$ ,  $5.732n$ ,  $2\pi n$ , and other possible values of  $c$  and  $n$
  - This makes it  $O(n)$ .

# Back to the example

$sum = 0$

$O(1)$

for  $i = 1$  to  $n$

$O(n)$

$sum = sum + A[i]$

1 assignment  
2 additions?  
1 memory access }  $n$  times

- Four steps repeated  $n$  times is  $O(n)$ .
- Hence the fragment is  $O(1) + O(n) + O(n)$  for a total of  $O(n)$ .
  - Because we can add individual constants, just take the largest term when adding.

# Back to the example

- Alternative calculation:

	cost	times
$sum = 0$	$c_1$	1
for $i = 1$ to $n$	$c_2$	$n+1$
$sum = sum + A[i]$	$c_3$	$n$

$$\begin{aligned} T(n) &= c_1 + c_2 (n+1) + c_3 n = (c_1 + c_2) + (c_2 + c_3) n \\ &= c_4 + c_5 n \rightarrow O(n) \end{aligned}$$

Proof:  $c_4 + c_5 n \leq c n \rightarrow \text{TRUE}$  for  $n \geq 1$  and  $c \geq c_4 + c_5$

# Simple Big- $O$

$$\left. \begin{array}{l} s \leftarrow 0 \\ s + 1 \\ s \times 1 \\ s \leq 1 \end{array} \right\} \text{All } O(1)$$

for  $i = 0$  to  $n$

some  $O(1)$  process

$$\sum_{i=0}^n O(1) = O(n)$$

# Why?

If  $f(n)$  is  $O(1)$  then  $\exists c_1, n_0$  s.t.  $f(n) \leq c_1 \quad \forall n > n_0$

Let the  $i$ th term in  $\sum_{i=0}^n O(1)$  be bounded by  $c_i, \forall n > n_i$

$$\sum_{i=0}^n O(1) \leq c_1 + c_2 + \dots + c_n, \forall n > \max(n_i)$$

$$\Rightarrow \sum_{i=0}^n O(1) \leq n \times \max(c_1, c_2, \dots, c_n)$$

$$\Rightarrow \sum_{i=0}^n O(1) \text{ is } O(n)$$



## Simple Big- $O$ (cont)

$$\left. \begin{array}{l} \text{for } i = 0 \text{ to } n \\ \quad \text{for } j = 0 \text{ to } n \\ \quad \quad \text{some } O(1) \text{ process} \end{array} \right\} \sum_{i=0}^n \sum_{j=0}^n O(1) \text{ is } O(n^2)$$

---

$$\left. \begin{array}{l} \text{for } i = 0 \text{ to } n \\ \quad \text{for } j = 0 \text{ to } i \\ \quad \quad \text{some } O(1) \text{ process} \end{array} \right\} \begin{array}{l} O(n^2) \\ O(f(n)) < O(n^2) \end{array}$$

# Aim for the least upper bound

- Many algorithms are  $O(2^n)$ , but saying an algorithm is  $O(2^n)$  is not always very useful if that isn't truly representative.
  - An  $O(n)$  algorithm is  $O(2^n)$ ; but an  $O(2^n)$  algorithm is NOT  $O(n)$
- Aim for the **smallest**  $O(g(n))$  expression
- If  $f(n)$  is the smallest possible, then it is said to be a **tight upper bound**;
  - if  $f(n)$  is  $O(n^2)$ , it is also  $O(n^3)$ , however, the first expression is better.

**Note:** *tight upper bound* is different from *asymptotic tight bound*

- **asymptotic tight bound** is called **big theta** ( $\Theta$ )

# $\Omega(n)$ – big-omega of $n$

## Asymptotic *lower* bound

- A given function  $f(n)$  is  $\Omega(g(n))$  if there exist positive constants  $c$  and  $n_0$  such that  
 $0 \leq c \cdot g(n) \leq f(n)$  for all  $n \geq n_0$
- $\Omega(g(n))$  represents a set of functions

$$\left\{ f(n) : \exists c > 0, n_0 > 0 \text{ and } 0 \leq c \cdot g(n) \leq f(n), \forall n \geq n_0 \right\}$$

# $\Omega$ - example

Show that  $2n + 6 = \Omega(n)$

$0 \leq c n \leq 2n + 6$  // definition of Big  $\Omega$

$0 \leq c \leq 2 + 6/n$  // divide by  $n \geq n_0 (> 0)$

- TRUE for  $n \geq 1$  and  $c \leq 2$
- **Note:**  $n \geq 1$  and  $c \leq 4$  is not TRUE because for  $c = 4$ , when  $n \geq 4$ ,  $2 + 6/n$  can be no larger than 3.5, which is less than  $c$

# $\Theta(n)$ –Big-theta of $n$

## Asymptotic *tight* bound

- A given function  $f(n)$  is  $\Theta(g(n))$  if there exist positive constants  $c_0$  and  $c_1$  and  $n_0$  such that

$$0 \leq c_0 g(n) \leq f(n) \leq c_1 g(n) \text{ for all } n \geq n_0$$

- $\Theta(g(n))$  represents a set of functions

$$O(g(n)) \cap \Omega(g(n))$$

- $\Theta(g(n)) \subseteq O(g(n))$
- $\Theta(g(n)) \subseteq \Omega(g(n))$

## $\Theta$ - Example

Show that  $\frac{1}{2}n^2 - 3n = \Theta(n^2)$

- $c_1 n^2 \leq \frac{1}{2}n^2 - 3n \leq c_2 n^2$  // divide by  $n^2$ , for  $n \geq n_0$   
 $c_1 \leq \frac{1}{2} - 3/n \leq c_2$
- RHS is true for  $n \geq 6$  and  $c_2 \geq \frac{1}{2}$ 
  - For  $n < 6$ ,  $\frac{1}{2} - 3/n \leq c_2$ , but  $\frac{1}{2} - 3/n < 0$ , and thus not possible
  - The largest positive value of  $\frac{1}{2} - 3/n$  is  $\frac{1}{2}$
- LHS is true for  $n \geq 7$  and  $c_1 \leq 1/14$ 
  - For  $\Omega$ , what is the smallest  $n$  such that  $\frac{1}{2} - 3/n$  is positive?
    - Answer:  $n_0 = 7$  such that  $1/14$
- The  $n_0$  for  $\Theta$  is selected from the larger between the  $n_0$  for  $O$  and  $\Omega$ , i.e.,  $\max(6, 7) = 7$ 
  - $\frac{1}{2}n^2 - 3n = \Theta(n^2)$  for  $c_1 = 1/14$ ,  $c_2 = \frac{1}{2}$ , and  $n_0 = 7$

You can find other possible constants.

# $\Theta$ - Example – an alternative proof

Show that  $\frac{1}{2} n^2 - 3n = \Theta(n^2)$

- Prove for Big O and Big  $\Omega$  separately
- Use the larger  $n_0$  between that for Big O and Big  $\Omega$

## Big O

$$\frac{1}{2} n^2 - 3n \leq c_2 n^2$$

$\frac{1}{2} n^2 - 3n \leq \frac{1}{2} n^2$  // this is true for any  $n \geq 1$ ; should set  $n \geq 6$  since otherwise the value of LHS is negative

$$\leq c_2 n^2 \text{ for } c_2 \geq \frac{1}{2} \text{ // thus } n_0 = 6$$

## Big $\Omega$

$$\frac{1}{2} n^2 - 3n \geq c_1 n^2 \text{ // divide by } n^2, \text{ for } n \geq n_0$$

$$\frac{1}{2} - 3/n \geq c_1 \text{ // true for } n \geq 7 \text{ and } c_1 \leq 1/14$$

Select from the larger between the  $n_0$  for O and  $\Omega$ , i.e.,  $\max(6, 7) = 7$

➤  $\frac{1}{2} n^2 - 3n = \Theta(n^2)$  for  $c_1 = 1/14$ ,  $c_2 = \frac{1}{2}$ , and  $n_0 = 7$

You can find other possible constants.

# Other Examples

for  $i = 1$  to  $n$   
    for  $j = 1$  to  $n$   
        some  $O(1)$  process

}  $O(n^2)$   
     $\Omega(n^2)$   
     $\Theta(n^2)$

---

for  $i = 1$  to  $n$   
    for  $j = 1$  to  $i$   
        some  $O(1)$  process

}  $O(n^2)$   
     $\Omega(n)$

Are these tight?



## Other Example

- Consider the following algorithm:

for $i = 1$ to $n$	$O(n)$	}	$n$ times? 1 time? $n/2$ times?
if $A[i] = 0$	$O(1)$		
stop // exit the loop	$O(1)$		
else	$O(1)$		
sum up elements in $A$	$O(n)$		

# Worst case

- The  $n$  inputs are chosen so that the algorithm runs for as long as possible

for $i = 1$ to $n$	$O(n)$	} $n$ times? 1 time? $n/2$ times?
if $A[i] = 0$	$O(1)$	
stop	$O(1)$	
else	$O(1)$	
sum up elements in $A$	$O(n)$	

Worst case running time is  $O(n^2)$ , when  $A[i] \neq 0$  for  $1 \leq i \leq n$

# Best case

- The  $n$  inputs are chosen so that the algorithm runs for as little as possible

for $i = 1$ to $n$	$O(n)$	}	$n$ times? 1 time? $n/2$ times?
if $A[i] = 0$	$O(1)$		
stop	$O(1)$		
else	$O(1)$		
sum up elements in $A$	$O(n)$		

Best case running time is  $O(1)$ , when  $A[1] = 0$

## Average case

- The  $n$  inputs are assumed to be chosen uniformly random
- e.g., if  $A$  were a permutation of  $[1..n]$

for $i = 1$ to $n$	$O(n)$	}	
if $A[i] = 0$	$O(1)$		$1/n$ times, stop
stop	$O(1)$		$1/n$ times, 1 sum
else	$O(1)$		$1/n$ times, 2 sums
sum up elements in $A$	$O(n)$		$1/n$ times, 3 sums
			...

Average case running time is  $O(n^2)$

# Expected case

- What is the usual or normal input?
- Still of size  $n$
- Can be different from average case
- *e.g.*, a compression algorithm tailored to English text would “expect” words of average length 5 characters.

# Algorithm time analysis – Summary

- Choose model of computation
- Choose case
  - Worst case,
  - Average case, or
  - Best case
- You are NOT free to choose size of the problem  $n$ 
  - Usually interested in large  $n$
- Count the steps and report asymptotic time using  $O$ ,  $\Omega$ , or  $\Theta$ 
  - Express the bound as tight as possible
    - If  $f(n)$  is  $O(n^2)$ , it is also  $O(n^3)$ ; present it as  $O(n^2)$
    - If  $f(n)$  is  $\Omega(n^2)$ , it is also  $\Omega(n)$ ; present it as  $\Omega(n^2)$

# Space or memory analysis

- A model of computation should define a  $O(1)$  unit of memory
  - a register or word size  $\omega$  bits
- In RAM
  - Numbers use  $O(1)$  space
  - $A[n]$  uses  $O(n)$  space
  - Binary tree of  $n$  leaves is  $O(???)$
- All assumed data units are less than  $2^\omega$

# Selection sort

## SELECTION\_SORT ( $A[1..n]$ )

**Input:** unsorted array  $A$

**Output:** sorted array  $A$

1. **for**  $i = 1$  to  $n - 1$
2.      $small = i$
3.     **for**  $j = i+1$  to  $n$
4.         **if**  $A[j] < A[small]$  **then**
5.              $small = j$
6.      $temp = A[small]$
7.      $A[small] = A[i]$
8.      $A[i] = temp$

Set  $small$  as the pointer to the smallest element in  $A[i..n]$

Swap  $A[i]$  and the smallest



## Selection Sort -Example

$$\underline{5} \ 2 \ 4 \ 6 \ \underline{1} \ 3 \rightarrow 1 \ \underline{\underline{2}} \ 4 \ 6 \ 5 \ 3 \rightarrow 1 \ 2 \ \underline{4} \ 6 \ 5 \ \underline{3}$$
$$\begin{array}{ccccc} i & & small & & i & & i & & small \\ & & & & & & & & \\ & & small & & & & & & \end{array}$$
$$\rightarrow 1\ 2\ 3\ \underline{6}\ \underline{5}\ \underline{4} \rightarrow 1\ 2\ 3\ 4\ \underline{5}\ 6 \rightarrow 1\ 2\ 3\ 4\ 5\ 6$$
$$\begin{array}{cc} i & small \\ & i \\ & small \end{array}$$

# Selection sort – Analysis

**SELECTION\_SORT** ( $A[1..n]$ )

**Input:** unsorted array  $A$

**Output:** sorted array  $A$

1. **for**  $i = 1$  to  $n - 1$

2.    $small = i$

3.   **for**  $j = i+1$  to  $n$

4.       **if**  $A[j] < A[small]$  **then**

5.            $small = j$

6.    $temp = A[small]$

7.    $A[small] = A[i]$

8.    $A[i] = temp$

$$\left. \begin{array}{l} \left. \left. \begin{array}{l} \Theta(1) \\ \Theta(1) \end{array} \right\} \sum_{j=i+1}^n \dots \right\} \sum_{i=1}^{n-1} \dots \end{array} \right\}$$

# Selection Sort – time complexity

$$\begin{aligned}\text{Steps 3, 4, 5 take } & \sum_{j=i+1}^n \Theta(1) \text{ time} \\ &= \sum_{j=1}^n \Theta(1) - \sum_{j=1}^i \Theta(1) \\ &= \Theta(n) - \Theta(i)\end{aligned}$$

$$\begin{aligned}\text{so Step 1 to 8 takes } & \sum_{i=1}^{n-1} (\Theta(1) + \Theta(n) - \Theta(i) + \Theta(1)) \text{ time} \\ &= \Theta(n) + \Theta(n^2) - \sum_{i=1}^{n-1} \Theta(i) + \Theta(n) \\ &= \Theta(n^2)\end{aligned}$$

# Proof by Induction

- Induction is very similar to recursion
  - Proof by induction is very useful in analyzing **recursive** algorithms
- To prove a statement  $S(n)$ , proof by induction requires proving two cases:
  - **Base case:** prove statement  $S(n)$  only for a small value of  $n$ , e.g.,  $n = 1$  or  $n = 2$ .
  - **Inductive step:** prove that if the statement is true for a smaller value of  $n$ , for any value of  $k \leq n$ , i.e.,  $S(k)$  is true, it is still true for a larger value of  $k$ , i.e.,  $S(k+1)$ 
    - The  $S(k)$  that is assumed to be true is called *induction hypothesis*
    - You can also set  $S(n)$  as the induction hypothesis, and prove that it is true for  $S(n+1)$

# Induction – example 1

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

Base case:  $n = 1$ ; LHS = 1; RHS =  $\frac{1(1+1)}{2} = 1$ . So, it is true for the base case

Induction step: assume it is true for  $k < n$ ; i.e., we use induction hypothesis:  $\sum_{i=1}^k i = \frac{k(k+1)}{2}$

We want to prove that it is also true for  $k+1$ , i.e.,  $\sum_{i=1}^{k+1} i = \frac{(k+1)(k+2)}{2}$

$$LHS = \sum_{i=1}^{k+1} i = (k+1) + \sum_{i=1}^k i = (k+1) + \frac{k(k+1)}{2} = \frac{2(k+1) + k(k+1)}{2} = \frac{(k+1)(k+2)}{2} = RHS$$

This completes the proof.

## Induction – example 2

$$F(n) = \begin{cases} 1, & \text{if } n < 3 \\ F(n-1) + F(n-2), & \text{otherwise} \end{cases}$$

The following is a sequence of *Fibonacci* number  $F(n)$ :  
1, 1, 2, 3, 5, 8, 13, 21, 34, 55, ...

**Problem:** Prove that the  $n$ th Fibonacci number is  $O(\Phi^n)$

**Note:**  $\Phi$  is the root of  $x^2 - x - 1 = 0$

$$\Phi = \frac{1 + \sqrt{5}}{2} \approx 1.618$$

# Induction proof -Example

- By the definition of Big Oh, prove  $F(n) \leq c \Phi^n$ 
  - for some constants  $c$  and  $n_0$

- **Inductive hypothesis**

$F(N) \leq c \cdot \Phi^N$  for some  $c > 1$  and all  $N < n$

➤ i.e.,  $F(N-1) \leq c \Phi^{N-1}$  and  $F(N-2) \leq c \Phi^{N-2}$

- **Inductive Step:**

$$F(N) = F(N-1) + F(N-2)$$

$$\leq c \cdot \Phi^{N-1} + c \cdot \Phi^{N-2}$$

$$= c \cdot \Phi^N (\Phi^{-1} + \Phi^{-2})$$

$$F(N) \leq k \cdot \Phi^N; \text{ for } k \geq c \cdot (\Phi^{-1} + \Phi^{-2}) \text{ and } N > 3$$

- **Base case**  $F(1) = 1 \leq c \cdot \Phi^1 \quad \forall c > 1$

**This completes the proof**

# How to analyze a recursive function?

- Use **recurrence** to analyze the time complexity of a recursive function
  - E.g.,  $T(n) = T(n - 1) + n$ ,  $T(n) = 2T(n/2) + n^2$ , etc
- A **recurrence** is a function defined by:
  - One or more base cases
  - Itself with smaller arguments.

## Methods for solving recurrence:

- Iteration - not recommended; easy to make mistake!
- Master method if  $T(n) = aT(n/b) + f(n)$ 
  - $T(n) = 2T(n/2) + n \rightarrow$  YES
  - $T(n) = T(n - 1) + n \rightarrow$  NO
- Substitution method (guess and induction)
  - Use this method if the recurrence cannot be solved by master method
  - Use recursion-tree method for the guess in induction



# Selection Sort (recursive) – analysis

**Input:** Unsorted array A; **Output:** Sorted array A

**RECURSIVE\_SELECTION\_SORT( $A, n, i$ )**

1. **if**  $i = n$  **then stop**
2. Find the smallest element in  $A[i..n]$  // *at small*
3. Swap elements  $A[i]$  and  $A[small]$
4. **RECURSIVE\_SELECTION\_SORT( $A, n, i+1$ )**

- Line 1 takes  $O(1)$
- Line 2 takes  $O(n)$
- The size of the problem is reduced by 1 after each recursion  $\rightarrow T(n-1)$  time
- Thus, the recurrence time is  $T(n) = T(n-1) + O(n)$

**To run:** **RECURSIVE\_SELECTION\_SORT( $A, n, 1$ )** // start from  $i = 1$

## Analysis:

Let  $T(n)$  be the time for this algorithm to operate on  $n$  elements

The **recurrence** for time complexity of Selection Sort is

$$T(1) = \Theta(1) \quad \text{base case (Step 1)}$$

$$T(n) = T(n-1) + O(n) \quad \text{find small \& recursive call}$$

**How to solve  $T(n)$ ?**

# Analysis using iteration method

$T(n) = T(n-1) + O(n) \rightarrow$  Cannot use the master method!

**Note**

Using Iteration Method:

Triangular number sequence:

$T(n) = T(n-1) + O(n)$  // overall  $\rightarrow$  iteration  $k = 0$

1, 3, 6, 10, 15, ...,  $k(k+1)/2$

$T(n-1) = T(n-2) + (n-1)$  // iteration  $k = 1$

$\rightarrow T(n) = \{T(n-2) + (n-1)\} + n = T(n-2) + 2n - 1$  //  $1 = 1(1+1)/2$

$T(n-2) = T(n-3) + (n-2)$  // iteration  $k = 2$

$\rightarrow T(n) = \{T(n-3) + (n-2)\} + 2n - 1 = T(n-3) + 3n - 3$  //  $3 = 2(2+1)/2$

$T(n-3) = T(n-4) + (n-3)$  // iteration  $k = 3$

$\rightarrow T(n) = \{T(n-4) + (n-3)\} + 3n - 3 = T(n-4) + 4n - 6$  //  $6 = 3(3+1)/2$

$T(n-4) = T(n-5) + (n-4)$  // iteration  $k = 4$

$\rightarrow T(n) = \{T(n-5) + (n-4)\} + 4n - 6 = T(n-5) + 5n - 10$  //  $10 = 4(4+1)/2 \rightarrow$  4<sup>th</sup> triangular number

**So in general:**  $T(n) = T(n - (k+1)) + (k+1)n - (k+1)k/2$ , where  $k = \text{iteration \#}$

$$T(n) = T(n - (k+1)) + (k+1)(2n - k) / 2$$

When  $k = n - 2$ , we have

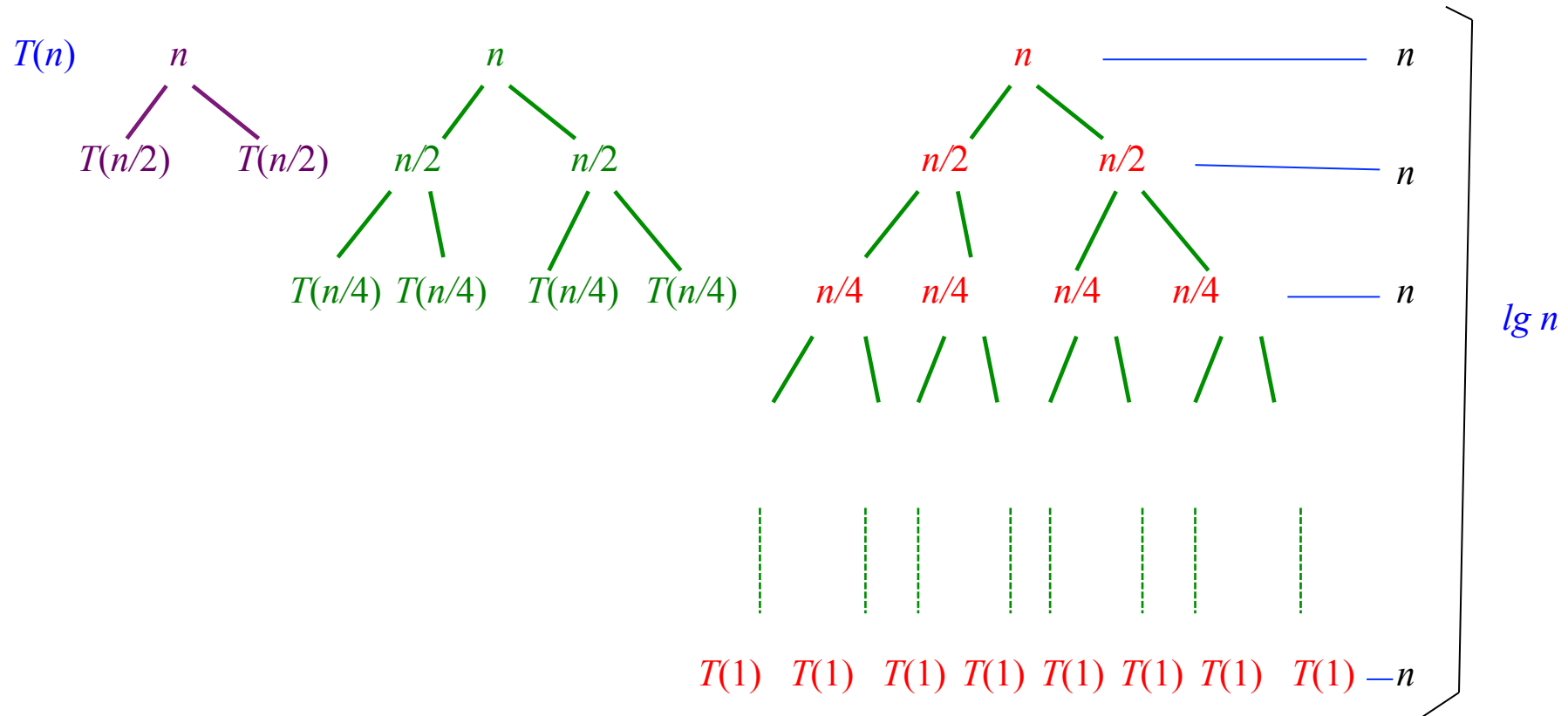
$$\begin{aligned} T(n) &= T(1) + (n-1)(n+2)/2 \quad // T(1) \text{ is base case: 1 element array} = O(1) \\ &= O(1) + O(n^2) = O(n^2) \end{aligned}$$

# Solution using Guess and Induction

- Guess the solution for  $T(n)$  is  $O(f(n))$
- Prove  $T(n)$  is  $O(f(n))$
- Assume answer for small  $n$ 
  - *e.g.*,  $n = 2$  or  $n = 1$
- Show it holds for large  $n$
- Show it holds for base case
  - Can use  $n_0$  to exclude nasty cases (*e.g.*, when  $n = 1 \rightarrow \log_2 1 = 0$ )

# Guess and Induction – How to guess?

Solve  $T(n) = 2T(\lfloor n/2 \rfloor) + n$  Use recursion tree to guess the solution for  $T(n)$



- The fully expanded tree has height of  $\log_2 n$
- Each level takes  $n$  time
- Thus, the total time is  $n \log_2 n$

Note: Ignore the floor or ceiling functions!

# Guess and Induction – How to prove by induction?

The guess for the solution of  $T(n)$  is  $O(n \log n)$

Use Induction to show the solution of  $T(n) = 2T(\lfloor n/2 \rfloor) + n$  is  $O(n \log n)$

Assume  $T(x) \leq cx \log x$  holds when  $x = \lfloor n/2 \rfloor$

$$\begin{aligned} T(n) &\leq 2c \lfloor n/2 \rfloor \log \lfloor n/2 \rfloor + n \\ &\leq cn \log(n/2) + n \\ &= cn \log n - cn \log 2 + n \\ &= cn \log n - n(c - 1) \\ &\leq cn \log n \quad \text{if } c \geq 1 \end{aligned}$$

Now for the base case when  $n = 1$

$$T(1) = 2T(0) + 1 = 1 \leq c \cdot 1 \cdot \log(1) = 0 \rightarrow 1 \leq 0 ???$$

But, assume  $n_0 > 1$ , so base case is  $n = 2$

$$T(2) = 2T(1) + 2 = 4 \leq c \cdot 2 \cdot \log(2) \text{ choose } c \geq 2$$

# Master method

if  $T(n) = aT(n/b) + f(n)$  then use the following master theorem

$$T(n) = \begin{cases} \Theta\left(n^{\log_b a}\right) & f(n) = O\left(n^{(\log_b a) - \varepsilon}\right); \text{ means } f(n) < n^{\log_b a} & \text{Case 1} \\ \Theta\left(n^{\log_b a} \lg n\right) & f(n) = \Theta\left(n^{\log_b a}\right); \text{ means } f(n) = n^{\log_b a} & \text{Case 2} \\ \Theta(f(n)) & f(n) = \Omega\left(n^{(\log_b a) + \varepsilon}\right); \text{ means } f(n) > n^{\log_b a} & \text{Case 3} \\ & \text{if } af(n/b) \leq cf(n) \text{ for } c < 1 \text{ and large } n \end{cases}$$

# Master method (cont.)

- **Case 1** must meet *polynomial* condition
  - $f(n)$  must be asymptotically **smaller** than  $n^{\log_b a}$  by a factor of  $n^\epsilon$ , for some constant  $\epsilon > 0$ .
- **Case 3** must meet *polynomial* and *regularity* conditions
  - $f(n)$  must be asymptotically **larger** than  $n^{\log_b a}$  by a factor of  $n^\epsilon$ , for some constant  $\epsilon > 0$ .
  - Regularity condition:  $a f(n/b) \leq c f(n)$ 
    - This condition can be ignored

# Master Theorem – example (case 1 )

Give asymptotic tight bound for

$$T(n) = 9T(n/3) + n$$

**Solution:**

$a = 9$ ,  $b = 3$ , and  $f(n) = n$ .

$$n^{\log_b a} = n^{\log_3 9} = n^2 \rightarrow f(n) < n^{\log_b a} \rightarrow \text{Case 1}$$

**Does it satisfy the polynomial condition?**

$$f(n) = O(n^{\log_3 9 - \varepsilon}) \text{ for } \varepsilon = 1 \rightarrow \text{YES} \quad \therefore T(n) = \Theta(n^2)$$

**Alternatively ...**

- Compute the ratio between  $n^{\log_b a}$  and  $f(n)$
- If the ratio is  $O(n^\varepsilon)$ , it satisfies the polynomial condition
- e.g.,  $n^2 / n = n^1 \rightarrow n^2$  is asymptotically larger than  $n$  by a factor of  $n^\varepsilon$  for  $\varepsilon = 1$



# Master Theorem – example (case 2)

Give asymptotic tight bound for

$$T(n) = T(2n/3) + 1$$

**Solution:**

$a = 1$ ,  $b = 3/2$ , and  $f(n) = 1$ .

$$n^{\log_b a} = n^{\log_{3/2} 1} = n^0 = 1 \rightarrow f(n) = n^{\log_b a} \rightarrow \text{Case 2}$$

$$\text{or } f(n) = \Theta(n^{\log_b a})$$

$$\therefore T(n) = \Theta(\log n)$$

# Master Theorem – example (case 3)

Give asymptotic tight bound for

$$T(n) = 3T(n/4) + n \log n$$

**Solution:**

$a=3$ ,  $b=4$ , and  $f(n) = n \log n$

$$n^{\log_b a} = n^{\log_4 3} = n^{0.793} \rightarrow f(n) > n^{\log_b a} \rightarrow \text{Case 3}$$

**Does it satisfy the polynomial condition?**

$$f(n) = \Omega(n^{\log_4 3 + \varepsilon}), \text{ for } \varepsilon \approx 0.2 \text{ or } f(n) > n^{\log_4 3} \rightarrow \text{YES}$$

**Alternatively ...**

$$f(n) / n^{\log_b a} = n \lg n / n^{\log_4 3} = n \lg n / n^{0.793} \geq n^\varepsilon \text{ for } \varepsilon \approx 0.2$$

Note:  $n \lg n \geq c \cdot n^{\log_4 3} \cdot n^{0.2}$

## Case 3 (cont.)

**Does it satisfy the regularity condition?**  $a f(n/b) \leq c f(n)$

$a = 3$ ,  $b = 4$ , and  $f(n) = n \log n$

$$\begin{aligned} a f(n/b) &= 3 (n/4) \log (n/4) \\ &\leq (3/4) n \log n \\ &\leq c f(n), \text{ for } c \geq 3/4 \rightarrow \text{YES} \end{aligned}$$

Following case 3:  $T(n) = \Theta(n \lg n)$

# Another case 3 example

Give asymptotic tight bound for

$$T(n) = 2T(n/2) + n \log n$$

**Solution:**

$a = 2$ ,  $b = 2$ , and  $f(n) = n \log n$

$$n^{\log_b a} = n^{\log_2 2} = n \rightarrow f(n) > n^{\log_b a} \rightarrow \text{Case 3}$$

**Does it satisfy the polynomial condition? NO**

$$f(n) / n^{\log_b a} = (n \log n) / n = \log n \rightarrow \log n \text{ is asymptotically less than } n^\epsilon$$

Thus, we cannot use the master method to solve the recurrence

# How to prove an algorithm is correct?

- Use *loop invariant* to prove its correctness.
- Three things to look at in loop invariant:
  - **Initialization:** *It is true prior to the first iteration of the loop*
  - **Maintenance:** *If it is true before an iteration of the loop, it remains true before the next iteration*
  - **Termination:** *When the loop terminates, the invariant gives a useful property that help shows that the algorithm is correct*
- The proof using loop invariant is similar to the proof by *induction*:
  - **Initialization** is the **base case** in induction
  - **Maintenance** is the **inductive step** in induction
  - **Termination** – there is a condition that makes the loop to terminate
    - It is different from that in induction that uses inductive step *infinitely*.

# Is the insertion sort correct?

## INSERTION-SORT ( $A$ )

**for**  $j = 2$  to  $\text{length}(A)$  **do**

$\text{key} = A[j]$

    // insert  $A[j]$  into the sorted sequence  $A[1 \dots j - 1]$

$i = j - 1$

**while**  $i > 0$  and  $A[i] > \text{key}$  **do** // Line 4

$A[i + 1] = A[i]$

$i = i - 1$

$A[i + 1] = \text{key}$

**Loop invariant:** At the start of the for loop,  $A[1 \dots j - 1]$  contains the same elements as its original contents but in sorted order

- **Initialization:**

- when  $j = 2$ , subarray  $A[1 \dots j - 1]$  contains only one *sorted* element  $A[1]$ 
  - it holds prior to the first loop iteration.

- **Maintenance:**

- For each  $\text{key} = A[j]$ , assume it is true that  $A[1 \dots j - 1]$  is a sorted sequence
  - We need to show that after each loop,  $A[1 \dots j]$  is also sorted.
  - Line 4-7 move each  $A[j - 1]$  to its next position on right until the right position for  $\text{key}$  is found.
    - » Thus, after inserting  $\text{key}$ ,  $A[1 \dots j]$  is a sorted sequence, which will be used for the next iteration of the loop, with  $j + 1$ .

# Is the insertion sort correct? (cont.)

## INSERTION-SORT ( $A$ )

```
for  $j = 2$  to  $length(A)$  do
     $key = A[j]$ 
    // insert  $A[j]$  into the sorted sequence  $A[1 \dots j-1]$ 
     $i = j - 1$ 
    while  $i > 0$  and  $A[i] > key$  do
         $A[i+1] = A[i]$ 
         $i = i - 1$ 
     $A[i+1] = key$ 
```

- **Termination:**
  - The loop terminates when  $j = length(A) = n$ . Each iteration always increments the value of  $j$  by one.
  - Thus, eventually, the value of  $j$  will reach  $n + 1$ , and the loop will terminate with a sorted  $A[1 \dots n]$ .
- Hence the insertion sort is correct.

**NOTE:** A more complex algorithm may require a more complex / formal proof to show its correctness.

# Is the selection sort correct? (cont.)

**SELECTION\_SORT** ( $A[1 \dots n]$ )

**Input :** unsorted array  $A$

**Output :** sorted array  $A$

```
1. for  $i = 1$  to  $n - 1$ 
2.    $small = i$ 
3.   for  $j = i + 1$  to  $n$ 
4.     if  $A[j] < A[small]$  then
5.        $small = j$ 
6.    $temp = A[small]$ 
7.    $A[small] = A[i]$ 
8.    $A[i] = temp$ 
```

**Loop invariant:** At the start of each iteration of the loop at Line 1, subarray  $A[1 \dots i - 1]$  is in sorted order and it is a subset of the original array  $A$

**Initialization:** When  $i = 1$ , subarray  $A[1 \dots 1]$  contains only one *sorted* element of  $A$

➤ It holds prior to the first loop iteration.

**Maintenance:** For each  $i > 1$ , assume it is true that  $A[1 \dots i - 1]$  is a sorted sequence and it is a subset of the original array  $A$

- We need to show that after each loop,  $A[1 \dots i]$  is also sorted and a subset of the original array  $A$ .
- Line 3-5 find  $small$  as the index to the smallest element in  $A[i \dots n]$
- Line 6 and 7 swap the content of  $A[i]$  with  $A[small]$ .
- After Line 8,  $A[i]$  contains the next smallest element after those in  $A[1 \dots i - 1]$ , and  $A[1 \dots i]$  is a sorted sequence, to be used in the next iteration  $i + 1$ . Further,  $A[i]$  is an element of the original array  $A$ , and  $A[i + 1 \dots n]$  contains the remaining unsorted elements

**Termination:** The loop terminates when  $i = n - 1$ . Each iteration always increments the value of  $i$  by one.

- Thus, eventually, the value of  $i$  will reach  $n - 1$ , and the loop will terminate with a *sorted*  $A[1 \dots n - 1]$  and  $A[n]$  contains the largest element after possible swap in Line 6 to 8, and hence  $A[1 \dots n]$  is sorted