# CS 240 - Data Structures and Data Management

## Module 1: Introduction and Asymptotic Analysis

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Based on lecture notes by many previous cs240 instructors

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References: Goodrich & Tamassia 1.1, 1.2, 1.3 Sedgewick 8.2, 8.3

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### Outline

- Introduction and Asymptotic Analysis
  - CS240 Overview
  - Algorithm Design
  - Analysis of Algorithms I
  - Asymptotic Notation
  - Analysis of Algorithms II
  - Example: Analysis of MergeSort
  - Helpful Formulas

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### Course Objectives: What is this course about?

- When first learning to program, we emphasize *correctness*: does your program output the expected results?
- Starting with this course, we will also be concerned with *efficiency*: is your program using the computer's resources (typically processor time) efficiently?
- We will study efficient methods of storing, accessing, and organizing large collections of data.
- Typical operations include: *inserting* new data items, *deleting* data items, *searching* for specific data items, *sorting*.
- Motivating examples: Digital Music Collection, English Dictionary

### Course Objectives: What is this course about?

- We will consider various abstract data types (ADTs) and how to implement them efficiently using appropriate data structures.
- There is a strong emphasis on mathematical analysis in the course.
- Algorithms are presented using pseudo-code and analyzed using order notation (big-Oh, etc.).

### **Course Topics**

- big-Oh analysis
- priority queues and heaps
- sorting, selection
- binary search trees, AVL trees, B-trees
- skip lists
- hashing
- quadtrees, kd-trees
- range search
- tries
- string matching
- data compression

# CS Background

Topics covered in previous courses with relevant sections in [Sedgewick]:

- arrays, linked lists (Sec. 3.2-3.4)
- strings (Sec. 3.6)
- stacks, queues (Sec. 4.2–4.6)
- abstract data types (Sec. 4-intro, 4.1, 4.8–4.9)
- recursive algorithms (5.1)
- binary trees (5.4–5.7)
- sorting (6.1–6.4)
- binary search (12.4)
- binary search trees (12.5)
- probability and expectations (Goodrich & Tamassia, Section 1.3.4)

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# Problems (terminology)

First, we must introduce terminology so that we can precisely characterize what we mean by efficiency.

**Problem:** Given a problem instance, carry out a particular computational task.

**Problem Instance:** *Input* for the specified problem.

**Problem Solution:** *Output* (correct answer) for the specified problem instance.

**Size of a problem instance:** Size(I) is a positive integer which is a measure of the size of the instance I.

**Example:** Sorting problem

### Algorithms and Programs

**Algorithm:** An algorithm is a *step-by-step process* (e.g., described in pseudo-code) for carrying out a series of computations, given an arbitrary problem instance *I*.

**Solving a problem:** An Algorithm A solves a problem  $\Pi$  if, for every instance I of  $\Pi$ , A finds (computes) a valid solution for the instance I in finite time.

**Program:** A program is an *implementation* of an algorithm using a specified computer language.

In this course, our emphasis is on algorithms (as opposed to programs or programming).

### Algorithms and Programs

**Pseudocode:** a method of communicating an algorithm to another person.

In contrast, a program is a method of communicating an algorithm to a computer.

#### Pseudocode

- omits obvious details, e.g. variable declarations,
- has limited if any error detection,
- sometimes uses English descriptions,
- sometimes uses mathematical notation.

## Algorithms and Programs

For a problem  $\Pi$ , we can have several algorithms.

For an algorithm  ${\mathcal A}$  solving  $\Pi,$  we can have several programs (implementations).

Algorithms in practice: Given a problem  $\Pi$ 

- **①** Design an algorithm  $\mathcal A$  that solves  $\Pi. o \mathbf{Algorithm}$  Design
- **2** Assess *correctness* and *efficiency* of A.  $\rightarrow$  **Algorithm Analysis**
- ullet If acceptable (correct and efficient), implement  ${\cal A}$ .

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# Efficiency of Algorithms/Programs

- How do we decide which algorithm or program is the most efficient solution to a given problem?
- In this course, we are primarily concerned with the *amount of time* a program takes to run.  $\rightarrow$  **Running Time**
- We also may be interested in the amount of additional memory the program requires. 
   → Auxiliary space
- The amount of time and/or memory required by a program will depend on Size(I), the size of the given problem instance I.

# Running Time of Algorithms/Programs

#### First option: experimental studies

- Write a program implementing the algorithm.
- Run the program with inputs of varying size and composition.
- Use a method like clock() (from time.h) to get an accurate measure of the actual running time.
- Plot/compare the results.

# Running Time of Algorithms/Programs

#### Shortcomings of experimental studies

- Implementation may be complicated/costly.
- Timings are affected by many factors: hardware (processor, memory), software environment (OS, compiler, programming language), and human factors (programmer).
- We cannot test all inputs; what are good sample inputs?
- We cannot easily compare two algorithms/programs.

#### We want a framework that:

- Does not require implementing the algorithm.
- Is independent of the hardware/software environment.
- Takes into account all input instances.

We need some simplifications.

## Overview of Algorithm Analysis

We will develop several aspects of algorithm analysis in the next slides. To overcome dependency on hardware/software:

- Algorithms are presented in structured high-level pseudo-code which is language-independent.
- Analysis of algorithms is based on an idealized computer model.
- Instead of time, count the number of primitive operations
- The efficiency of an algorithm (with respect to time) is measured in terms of its growth rate (this is called the complexity of the algorithm).

### Random Access Machine

### Random Access Machine (RAM) model:

- A set of memory cells, each of which stores one item (word) of data.
   Implicit assumption: memory cells are big enough to hold the items that we store.
- Any access to a memory location takes constant time.
- Any primitive operation takes constant time.
   Implicit assumption: primitive operations have fairly similar, though different, running time on different systems
- The *running time* of a program is proportional to the number of memory accesses plus the number of primitive operations.

This is an idealized model, so these assumptions may not be valid for a "real" computer.

## Running Time Simplifications

We will simplify our analysis by considering the behaviour of algorithms for large inputs sizes.

- Example 1: What is larger, 100n or  $10n^2$ ?
- Example 2: What is larger, 1000000n + 200000000000000 or  $0.01n^2$ ?
- To simplify comparisons, use order notation
- Informally: ignore constants and lower order terms

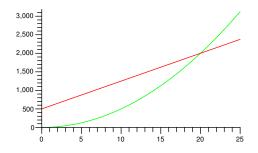
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### **Order Notation**

*O*-notation:  $f(n) \in O(g(n))$  if there exist constants c > 0 and  $n_0 > 0$  such that  $|f(n)| \le c |g(n)|$  for all  $n \ge n_0$ .

Example: f(n) = 75n + 500 and  $g(n) = 5n^2$  (e.g.  $c = 1, n_0 = 20$ )



**Note**: The absolute value signs in the definition are irrelevant for analysis of run-time or space, but are useful in other applications of asymptotic notation.

### **Example of Order Notation**

In order to prove that  $2n^2 + 3n + 11 \in O(n^2)$  from first principles, we need to find c and  $n_0$  such that the following condition is satisfied:

$$0 \le 2n^2 + 3n + 11 \le c n^2$$
 for all  $n \ge n_0$ .

note that not all choices of c and  $n_0$  will work.

# Aymptotic Lower Bound

- We have  $2n^2 + 3n + 11 \in O(n^2)$ .
- But we also have  $2n^2 + 3n + 11 \in O(n^{10})$ .
- We want a *tight* asymptotic bound.

Ω-notation:  $f(n) \in \Omega(g(n))$  if there exist constants c > 0 and  $n_0 > 0$  such that  $c |g(n)| \le |f(n)|$  for all  $n \ge n_0$ .

 $\Theta$ -notation:  $f(n) \in \Theta(g(n))$  if there exist constants  $c_1, c_2 > 0$  and  $n_0 > 0$  such that  $c_1 |g(n)| \le |f(n)| \le c_2 |g(n)|$  for all  $n \ge n_0$ .

$$f(n) \in \Theta(g(n)) \Leftrightarrow f(n) \in O(g(n)) \text{ and } f(n) \in \Omega(g(n))$$

# **Example of Order Notation**

Prove that  $f(n) = 2n^2 + 3n + 11 \in \Omega(n^2)$  from first principles.

Prove that  $\frac{1}{2}n^2 - 5n \in \Omega(n^2)$  from first principles.

Prove that  $\log_b(n) \in \Theta(\log n)$  for all b > 1 from first principles.

# Strictly smaller/larger asymptotic bounds

- We have  $f(n) = 2n^2 + 3n + 11 \in \Theta(n^2)$ .
- How to express that f(n) is asymptotically strictly smaller than  $n^3$ ?

o-notation:  $f(n) \in o(g(n))$  if for all constants c > 0, there exists a constant  $n_0 > 0$  such that  $|f(n)| \le c |g(n)|$  for all  $n \ge n_0$ .

ω-notation: f(n) ∈ ω(g(n)) if g(n) ∈ o(f(n)).

• Rarely proved from first principles.

# Algebra of Order Notations

**Identity rule:**  $f(n) \in \Theta(f(n))$ 

### **Transitivity:**

- If  $f(n) \in O(g(n))$  and  $g(n) \in O(h(n))$  then  $f(n) \in O(h(n))$ .
- If  $f(n) \in \Omega(g(n))$  and  $g(n) \in \Omega(h(n))$  then  $f(n) \in \Omega(h(n))$ .

**Maximum rules:** Suppose that f(n) > 0 and g(n) > 0 for all  $n \ge n_0$ . Then:

- $O(f(n) + g(n)) = O(\max\{f(n), g(n)\})$
- $\Omega(f(n) + g(n)) = \Omega(\max\{f(n), g(n)\})$

### Techniques for Order Notation

Suppose that f(n) > 0 and g(n) > 0 for all  $n \ge n_0$ . Suppose that

$$L = \lim_{n \to \infty} \frac{f(n)}{g(n)}$$
 (in particular, the limit exists).

Then

$$f(n) \in \begin{cases} o(g(n)) & \text{if } L = 0 \\ \Theta(g(n)) & \text{if } 0 < L < \infty \\ \omega(g(n)) & \text{if } L = \infty. \end{cases}$$

The required limit can often be computed using *l'Hôpital's rule*. Note that this result gives *sufficient* (but not necessary) conditions for the stated conclusions to hold.

Let f(n) be a polynomial of degree  $d \ge 0$ :

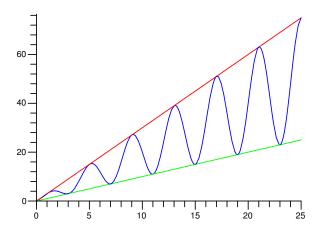
$$f(n) = c_d n^d + c_{d-1} n^{d-1} + \cdots + c_1 n + c_0$$

for some  $c_d > 0$ .

Then  $f(n) \in \Theta(n^d)$ :

Prove that  $n(2 + \sin n\pi/2)$  is  $\Theta(n)$ . Note that  $\lim_{n\to\infty} (2 + \sin n\pi/2)$  does not exist.

Prove that  $n(2 + \sin n\pi/2)$  is  $\Theta(n)$ . Note that  $\lim_{n\to\infty} (2 + \sin n\pi/2)$  does not exist.



# Relationships between Order Notations

- $f(n) \in \Theta(g(n)) \Leftrightarrow g(n) \in \Theta(f(n))$
- $f(n) \in O(g(n)) \Leftrightarrow g(n) \in \Omega(f(n))$
- $f(n) \in o(g(n)) \Leftrightarrow g(n) \in \omega(f(n))$
- $f(n) \in o(g(n)) \Rightarrow f(n) \in O(g(n))$
- $f(n) \in o(g(n)) \Rightarrow f(n) \notin \Omega(g(n))$
- $f(n) \in \omega(g(n)) \Rightarrow f(n) \in \Omega(g(n))$
- $f(n) \in \omega(g(n)) \Rightarrow f(n) \notin O(g(n))$

### **Growth Rates**

- If  $f(n) \in \Theta(g(n))$ , then the *growth rates* of f(n) and g(n) are the same.
- If  $f(n) \in o(g(n))$ , then we say that the growth rate of f(n) is less than the growth rate of g(n).
- If  $f(n) \in \omega(g(n))$ , then we say that the growth rate of f(n) is greater than the growth rate of g(n).
- Typically, f(n) may be "complicated" and g(n) is chosen to be a very simple function.

Compare the growth rates of  $\log n$  and n.

Now compare the growth rates of  $(\log n)^c$  and  $n^d$  (where c>0 and d>0 are arbitrary numbers).

#### Common Growth Rates

Commonly encountered growth rates in analysis of algorithms include the following (in increasing order of growth rate):

- $\Theta(1)$  (constant complexity),
- $\Theta(\log n)$  (logarithmic complexity),
- $\Theta(n)$  (linear complexity),
- $\Theta(n \log n)(linearithmic)$ ,
- $\Theta(n \log^k n)$ , for some constant k (quasi-linear),
- $\Theta(n^2)$  (quadratic complexity),
- $\Theta(n^3)$  (cubic complexity),
- $\Theta(2^n)$  (exponential complexity).

# How Growth Rates Affect Running Time

It is interesting to see how the running time is affected when the size of the problem instance *doubles* (i.e.,  $n \rightarrow 2n$ ).

- constant complexity: T(n) = c
- logarithmic complexity:  $T(n) = c \log n$
- linear complexity: T(n) = cn
- linearithmic  $\Theta(n \log n)$ :  $T(n) = cn \log n$
- quadratic complexity:  $T(n) = cn^2$
- cubic complexity:  $T(n) = cn^3$
- exponential complexity:  $T(n) = c2^n$

# How Growth Rates Affect Running Time

It is interesting to see how the running time is affected when the size of the problem instance *doubles* (i.e.,  $n \rightarrow 2n$ ).

- constant complexity: T(n) = c  $\rightsquigarrow T(2n) = c$ .
- logarithmic complexity:  $T(n) = c \log n$
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• constant complexity: T(n) = c

- $\rightsquigarrow T(2n) = c$ .
- logarithmic complexity:  $T(n) = c \log n \longrightarrow T(2n) = T(n) + c$ .

- linear complexity: T(n) = cn
- linearithmic  $\Theta(n \log n)$ :  $T(n) = cn \log n$
- quadratic complexity:  $T(n) = cn^2$
- cubic complexity:  $T(n) = cn^3$
- exponential complexity:  $T(n) = c2^n$

• constant complexity: 
$$T(n) = c$$

$$\rightsquigarrow T(2n) = c.$$

• logarithmic complexity: 
$$T(n) = c \log n$$

$$\rightsquigarrow T(2n) = T(n) + c.$$

• linear complexity: 
$$T(n) = cn$$

$$\rightarrow$$
  $T(2n) = 2T(n)$ .

- linearithmic  $\Theta(n \log n)$ :  $T(n) = cn \log n$
- quadratic complexity:  $T(n) = cn^2$
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- exponential complexity:  $T(n) = c2^n$

• constant complexity: 
$$T(n) = c$$

$$\rightsquigarrow T(2n) = c$$
.

• logarithmic complexity: 
$$T(n) = c \log n$$

$$\rightsquigarrow T(2n) = T(n) + c.$$

• linear complexity: 
$$T(n) = cn$$

$$\rightarrow$$
  $T(2n) = 2T(n)$ .

• linearithmic 
$$\Theta(n \log n)$$
:  $T(n) = cn \log n \longrightarrow T(2n) = 2T(n) + 2cn$ .

$$\rightarrow$$
  $T(2n) = 2T(n) + 2cn$ .

• quadratic complexity: 
$$T(n) = cn^2$$

• cubic complexity: 
$$T(n) = cn^3$$

• exponential complexity: 
$$T(n) = c2^n$$

• constant complexity: 
$$T(n) = c$$

$$\rightsquigarrow T(2n) = c.$$

• logarithmic complexity: 
$$T(n) = c \log n$$

$$\rightsquigarrow T(2n) = T(n) + c.$$

• linear complexity: 
$$T(n) = cn$$

$$\rightsquigarrow T(2n) = 2T(n).$$

• linearithmic 
$$\Theta(n \log n)$$
:  $T(n) = cn \log n$ 

$$\rightarrow$$
  $T(2n) = 2T(n) + 2cn$ .

• quadratic complexity: 
$$T(n) = cn^2$$

$$\rightsquigarrow T(2n) = 4T(n).$$

• cubic complexity: 
$$T(n) = cn^3$$

• exponential complexity: 
$$T(n) = c2^n$$

• constant complexity: 
$$T(n) = c$$

$$\rightsquigarrow T(2n) = c$$
.

• logarithmic complexity: 
$$T(n) = c \log n$$

$$\rightsquigarrow T(2n) = T(n) + c.$$

• linear complexity: 
$$T(n) = cn$$

$$\rightsquigarrow T(2n) = 2T(n).$$

• linearithmic 
$$\Theta(n \log n)$$
:  $T(n) = cn \log n$ 

$$\rightsquigarrow T(2n) = 2T(n) + 2cn.$$

• quadratic complexity: 
$$T(n) = cn^2$$

$$\rightsquigarrow T(2n) = 4T(n).$$

• cubic complexity: 
$$T(n) = cn^3$$

$$\rightarrow$$
  $T(2n) = 8T(n)$ .

• exponential complexity: 
$$T(n) = c2^n$$

• constant complexity: 
$$T(n) = c$$

$$\rightsquigarrow T(2n) = c.$$

• logarithmic complexity: 
$$T(n) = c \log n$$

$$\rightarrow$$
  $T(2n) = T(n) + c$ .

• linear complexity: 
$$T(n) = cn$$

$$\rightsquigarrow T(2n) = 2T(n).$$

• linearithmic 
$$\Theta(n \log n)$$
:  $T(n) = cn \log n$ 

$$T(2n) = 2T(n) + 2cn.$$

$$T(2n) = 4T(n).$$

• quadratic complexity: 
$$T(n) = cn^2$$

$$\rightarrow$$
  $T(2n) = 8T(n)$ .

• cubic complexity: 
$$T(n) = cn^3$$

$$T(2n) = 0T(n).$$

• exponential complexity: 
$$T(n) = c2^n$$

$$\rightarrow$$
  $T(2n) = (T(n))^2/c$ .

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### Techniques for Algorithm Analysis

- Goal: Use asymptotic notation to simplify run-time analysis.
- Running time of an algorithm depends on the *input size* n.

```
Test1(n)

1. sum \leftarrow 0

2. for i \leftarrow 1 to n do

3. for j \leftarrow i to n do

4. sum \leftarrow sum + (i - j)^2

5. return sum
```

- Identify *primitive operations* that require  $\Theta(1)$  time.
- The complexity of a loop is expressed as the *sum* of the complexities of each iteration of the loop.
- Nested loops: start with the innermost loop and proceed outwards.
   This gives nested summations.

## Techniques for Algorithm Analysis

Two general strategies are as follows.

**Strategy I:** Use  $\Theta$ -bounds *throughout the analysis* and obtain a  $\Theta$ -bound for the complexity of the algorithm.

**Strategy II:** Prove a *O*-bound and a *matching*  $\Omega$ -bound *separately*. Use upper bounds (for *O*-bounds) and lower bounds (for  $\Omega$ -bound) early and frequently.

This may be easier because upper/lower bounds are easier to sum.

```
Test2(A, n)
1. max \leftarrow 0
2. for i \leftarrow 1 to n do
3. for j \leftarrow i to n do
4. sum \leftarrow 0
5. for k \leftarrow i to j do
6. sum \leftarrow A[k]
7. return max
```

### Complexity of Algorithms

 Algorithm can have different running times on two instances of the same size.

```
Test3(A, n)
A: array of size n

1. for i \leftarrow 1 to n-1 do
2. j \leftarrow i
3. while j > 0 and A[j] > A[j-1] do
4. swap A[j] and A[j-1]
5. j \leftarrow j-1
```

Let  $T_{\mathcal{A}}(I)$  denote the running time of an algorithm  $\mathcal{A}$  on instance I.

Worst-case complexity of an algorithm: take the worst I

Average-case complexity of an algorithm: average over I

## Complexity of Algorithms

Worst-case complexity of an algorithm: The worst-case running time of an algorithm  $\mathcal{A}$  is a function  $f: \mathbb{Z}^+ \to \mathbb{R}$  mapping n (the input size) to the *longest* running time for any input instance of size n:

$$T_{\mathcal{A}}(n) = \max\{T_{\mathcal{A}}(I) : Size(I) = n\}.$$

Average-case complexity of an algorithm: The average-case running time of an algorithm  $\mathcal{A}$  is a function  $f: \mathbb{Z}^+ \to \mathbb{R}$  mapping n (the input size) to the *average* running time of  $\mathcal{A}$  over all instances of size n:

$$T_{\mathcal{A}}^{avg}(n) = \frac{1}{|\{I : Size(I) = n\}|} \sum_{\{I : Size(I) = n\}} T_{\mathcal{A}}(I).$$

# O-notation and Complexity of Algorithms

- It is important not to try and make *comparisons* between algorithms using O-notation.
- For example, suppose algorithm  $A_1$  and  $A_2$  both solve the same problem,  $A_1$  has worst-case run-time  $O(n^3)$  and  $A_2$  has worst-case run-time  $O(n^2)$ .
- Observe that we *cannot* conclude that  $A_2$  is more efficient than  $A_1$  for all input!
  - The worst-case run-time may only be achieved on some instances.
  - O-notation is an upper bound.  $A_1$  may well have worst-case run-time O(n). If we want to be able to compare algorithms, we should always use  $\Theta$ -notation.

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## Design of MergeSort

#### **Input:** Array *A* of *n* integers

- **Step 1:** We split A into two subarrays:  $A_L$  consists of the first  $\lceil \frac{n}{2} \rceil$  elements in A and  $A_R$  consists of the last  $\lfloor \frac{n}{2} \rfloor$  elements in A.
- Step 2: Recursively run MergeSort on  $A_L$  and  $A_R$ .
- Step 3: After  $A_L$  and  $A_R$  have been sorted, use a function Merge to merge them into a single sorted array.

## MergeSort

```
\begin{array}{ll} \textit{MergeSort}(A,\ell \leftarrow 0,r \leftarrow n-1,S \leftarrow \texttt{NIL}) \\ \textit{A: array of size } \textit{n, } 0 \leq \ell \leq r \leq \textit{n}-1 \\ 1. & \textbf{if } \textit{S} \text{ is NIL initialize it as array } \textit{S}[0..n-1] \\ 2. & \textbf{if } (r \leq \ell) \textbf{ then} \\ 3. & \text{return} \\ 4. & \textbf{else} \\ 5. & \textit{m} = (r+\ell)/2 \\ 6. & \textit{MergeSort}(A,\ell,m,S) \\ 7. & \textit{MergeSort}(A,m+1,r,S) \\ 8. & \textit{Merge}(A,\ell,m,r,S) \end{array}
```

#### Two tricks to reduce run-time and auxiliary space:

- The recursion uses parameters that indicate the range of the array that needs to be sorted.
- The array used for copying is passed along as parameter.

# Merge

```
\label{eq:marge_eq} \begin{aligned} &\textit{Merge}(A,\ell,m,r,S) \\ &A[0..n-1] \text{ is an array, } A[\ell..m] \text{ is sorted, } A[m+1..r] \text{ is sorted} \\ &S[0..n-1] \text{ is an array} \\ &1. & \text{copy } A[\ell..r] \text{ into } S[\ell..r] \\ &2. & \text{int } i_L \leftarrow \ell; \text{ int } i_R \leftarrow m+1; \\ &3. & \text{for } (k \leftarrow \ell; k \leq r; k++) \text{ do} \\ &4. & \text{if } (i_L > m) \ A[k] \leftarrow S[i_R++] \\ &5. & \text{else if } (i_R > r) \ A[k] \leftarrow S[i_L++] \\ &6. & \text{else if } (S[i_L] \leq S[i_R]) \ A[k] \leftarrow S[i_L++] \\ &7. & \text{else } A[k] \leftarrow S[i_R++] \end{aligned}
```

Merge takes time  $\Theta(r-\ell+1)$ , i.e.,  $\Theta(n)$  time for merging n elements.

## Analysis of MergeSort

Let T(n) denote the time to run MergeSort on an array of length n.

- Step 1 takes time  $\Theta(n)$
- Step 2 takes time  $T(\lceil \frac{n}{2} \rceil) + T(\lfloor \frac{n}{2} \rfloor)$
- Step 3 takes time  $\Theta(n)$

The **recurrence relation** for T(n) is as follows:

$$T(n) = \begin{cases} T(\lceil \frac{n}{2} \rceil) + T(\lfloor \frac{n}{2} \rfloor) + \Theta(n) & \text{if } n > 1 \\ \Theta(1) & \text{if } n = 1. \end{cases}$$

It suffices to consider the following *exact recurrence*, with constant factor c replacing  $\Theta$ 's:

$$T(n) = \begin{cases} T(\lceil \frac{n}{2} \rceil) + T(\lfloor \frac{n}{2} \rfloor) + cn & \text{if } n > 1\\ c & \text{if } n = 1. \end{cases}$$

### Analysis of MergeSort

• The following is the corresponding **sloppy recurrence** (it has floors and ceilings removed):

$$T(n) = \begin{cases} 2 T(\frac{n}{2}) + cn & \text{if } n > 1 \\ c & \text{if } n = 1. \end{cases}$$

- The exact and sloppy recurrences are *identical* when n is a power of 2.
- The recurrence can easily be solved by various methods when  $n=2^j$ . The solution has growth rate  $T(n) \in \Theta(n \log n)$ .
- It is possible to show that  $T(n) \in \Theta(n \log n)$  for all n by analyzing the exact recurrence.

#### Some Recurrence Relations

Recursion	resolves to	example
$T(n) = T(n/2) + \Theta(1)$	$T(n) \in \Theta(\log n)$	Binary search
$T(n) = 2T(n/2) + \Theta(n)$	$T(n) \in \Theta(n \log n)$	Mergesort
$T(n) = 2T(n/2) + \Theta(\log n)$	$T(n) \in \Theta(n)$	Heapify $( o$ later)
$T(n) = T(cn) + \Theta(n)$	$T(n) \in \Theta(n)$	Selection
for some $0 < c < 1$		( o later)
$T(n) = 2T(n/4) + \Theta(1)$	$T(n) \in \Theta(\sqrt{n})$	Range Search
		( o later)
$T(n) = T(\sqrt{n}) + \Theta(1)$	$T(n) \in \Theta(\log \log n)$	Interpolation Search
		( o later $)$

- Once you know the result, it is (usually) easy to prove by induction.
- Many more recursions, and some methods to find the result, in cs341.

#### Outline

- Introduction and Asymptotic Analysis
  - CS240 Overview
  - Algorithm Design
  - Analysis of Algorithms I
  - Asymptotic Notation
  - Analysis of Algorithms II
  - Example: Analysis of MergeSort
  - Helpful Formulas

### **Order Notation Summary**

- *O*-notation:  $f(n) \in O(g(n))$  if there exist constants c > 0 and  $n_0 > 0$  such that  $|f(n)| \le c |g(n)|$  for all  $n \ge n_0$ .
- Ω-notation:  $f(n) \in \Omega(g(n))$  if there exist constants c > 0 and  $n_0 > 0$  such that  $c |g(n)| \le |f(n)|$  for all  $n \ge n_0$ .
- $\Theta$ -notation:  $f(n) \in \Theta(g(n))$  if there exist constants  $c_1, c_2 > 0$  and  $n_0 > 0$  such that  $c_1 |g(n)| \le |f(n)| \le c_2 |g(n)|$  for all  $n \ge n_0$ .
- o-notation:  $f(n) \in o(g(n))$  if for all constants c > 0, there exists a constant  $n_0 > 0$  such that  $|f(n)| \le c |g(n)|$  for all  $n \ge n_0$ .
- ω-notation: f(n) ∈ ω(g(n)) if for all constants c > 0, there exists a constant  $n_0 > 0$  such that c |g(n)| ≤ |f(n)| for all  $n ≥ n_0$ .

#### Useful Sums

#### **Arithmetic sequence:**

$$\sum_{i=0}^{n-1} i = ??? \qquad \qquad \sum_{i=0}^{n-1} (a+di) = na + \frac{dn(n-1)}{2} \in \Theta(n^2) \quad \text{if } d \neq 0.$$

#### Geometric sequence:

$$\sum_{i=0}^{n-1} 2^i = ??? \qquad \sum_{i=0}^{n-1} a \, r^i = \begin{cases} a \frac{r^n - 1}{r - 1} & \in \Theta(r^{n-1}) & \text{if } r > 1 \\ na & \in \Theta(n) & \text{if } r = 1 \\ a \frac{1 - r^n}{1 - r} & \in \Theta(1) & \text{if } 0 < r < 1. \end{cases}$$

#### Harmonic sequence:

$$\sum_{i=1}^{n} \frac{1}{i} = ???$$
  $H_n := \sum_{i=1}^{n} \frac{1}{i} = \ln n + \gamma + o(1) \in \Theta(\log n)$ 

#### A few more:

$$\sum_{i=1}^{n} \frac{1}{i^{2}} = ??? \qquad \qquad \sum_{i=1}^{n} \frac{1}{i^{2}} = \frac{\pi^{2}}{6} \in \Theta(1)$$

$$\sum_{i=1}^{n} i^{k} = ??? \qquad \qquad \sum_{i=1}^{n} i^{k} \in \Theta(n^{k+1}) \quad \text{for } k \ge 0$$

#### Useful Math Facts

#### Logarithms:

- $c = \log_b(a)$  means  $b^c = a$ . E.g.  $n = 2^{\log n}$ .
- log(a) (in this course) means  $log_2(a)$
- $\log(a \cdot c) = \log(a) + \log(c)$ ,  $\log(a^c) = c \log(a)$
- $\log_b(a) = \frac{\log_c a}{\log_c b} = \frac{1}{\log_a(b)}$ ,  $a^{\log_b c} = c^{\log_b a}$
- $ln(x) = natural log = log_e(x), \frac{d}{dx} ln x = \frac{1}{x}$
- concavity:  $\alpha \log x + (1-\alpha) \log y \le \log(\alpha x + (1-\alpha)y)$  for  $0 \le \alpha \le 1$

#### **Factorial:**

- $n! := n(n-1)(n-2)\cdots 2 \cdot 1 = \#$  ways to permute n elements
- $\log(n!) = \log n + \log(n-1) + \cdots + \log 2 + \log 1 \in \Theta(n \log n)$

#### **Probability and moments:**

• E[aX] = aE[X], E[X + Y] = E[X] + E[Y] (linearity of expectation)