

Asymptotic Analysis of Algorithms



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Algorithm and Data Structure

- A **data structure** is:
 - A systematic way to store and organize data in order to facilitate *access* and *modifications*
 - Never suitable for all purposes: it is important to know its *strengths* and *limitations*
- A **well-specified computational problem** precisely describes the desired *input/output relationship*.
 - **Input:** A sequence of n numbers $\langle a_1, a_2, \dots, a_n \rangle$
 - **Output:** A permutation (reordering) $\langle a'_1, a'_2, \dots, a'_n \rangle$ of the input sequence such that $a'_1 \leq a'_2 \leq \dots \leq a'_n$
 - An *instance* of the problem: $\langle 3, 1, 2, 5, 4 \rangle$
- An **algorithm** is:
 - A solution to a well-specified *computational problem*
 - A *sequence of computational steps* that takes value(s) as *input* and produces value(s) as *output*
- Steps in an *algorithm* manipulate well-chosen *data structure(s)*.

Measuring “Goodness” of an Algorithm

1. *Correctness* :

- Does the algorithm produce the expected output?
- Use JUnit to ensure this.

2. Efficiency:

- *Time Complexity*: processor time required to complete
- *Space Complexity*: memory space required to store data

Correctness is always the priority.

How about efficiency? Is time or space more of a concern?

Measuring Efficiency of an Algorithm

- *Time* is more of a concern than is *storage*.
- Solutions that are meant to be run on a computer should run *as fast as possible*.
- Particularly, we are interested in how *running time* depends on two *input factors*:
 1. size
e.g., sorting an array of 10 elements vs. 1m elements
 2. structure
e.g., sorting an already-sorted array vs. a hardly-sorted array
- *How do you determine the running time of an algorithm?*
 1. Measure time via *experiments*
 2. Characterize time as a *mathematical function* of the input size

Measure Running Time via Experiments

- Once the algorithm is implemented in Java:
 - Execute the program on *test inputs* of various *sizes* and *structures*.
 - For each test, record the *elapsed time* of the execution.

```
long startTime = System.currentTimeMillis();  
/* run the algorithm */  
long endTime = System.currenctTimeMillis();  
long elapsed = endTime - startTime;
```

- *Visualize* the result of each test.
- To make **sound statistical claims** about the algorithm's *running time*, the set of input tests must be “reasonably” *complete*.

Example Experiment

- *Computational Problem:*
 - **Input:** A character c and an integer n
 - **Output:** A string consisting of n repetitions of character c
e.g., Given input `'*'` and 15, output `*****`.
- *Algorithm 1* using *String* Concatenations:

```
public static String repeat1(char c, int n) {  
    String answer = "";  
    for (int i = 0; i < n; i++) { answer += c; }  
    return answer; }  
}
```

- *Algorithm 2* using *StringBuilder* append's:

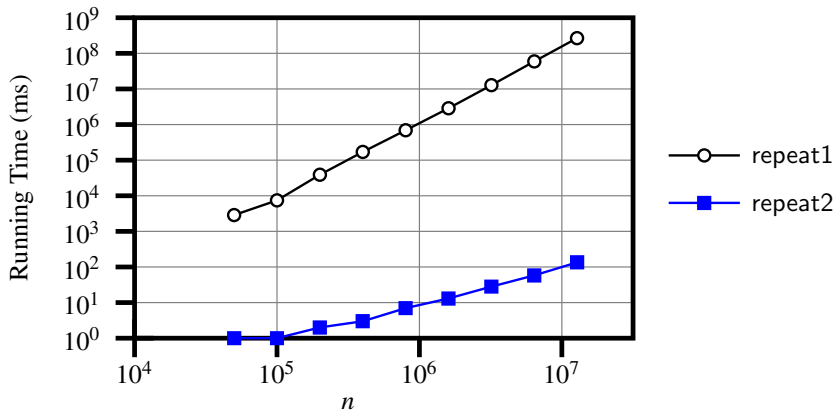
```
public static String repeat2(char c, int n) {  
    StringBuilder sb = new StringBuilder();  
    for (int i = 0; i < n; i++) { sb.append(c); }  
    return sb.toString(); }  
}
```

Example Experiment: Detailed Statistics

n	repeat1 (in ms)	repeat2 (in ms)
50,000	2,884	1
100,000	7,437	1
200,000	39,158	2
400,000	170,173	3
800,000	690,836	7
1,600,000	2,847,968	13
3,200,000	12,809,631	28
6,400,000	59,594,275	58
12,800,000	265,696,421 (\approx 3 days)	135

- As *input size* is doubled, **rates of increase** for both algorithms are *linear*:
 - *Running time* of repeat1 increases by \approx 5 times.
 - *Running time* of repeat2 increases by \approx 2 times.

Example Experiment: Visualization



Experimental Analysis: Challenges

1. An algorithm must be *fully implemented* (i.e., translated into valid Java syntax) in order to study its runtime behaviour *experimentally*.
 - What if our purpose is to *choose among alternative* data structures or algorithms to implement?
 - Can there be a **higher-level analysis** to determine that one algorithm or data structure is *superior* than others?
2. Comparison of multiple algorithms is only *meaningful* when experiments are conducted under the same environment of:
 - *Hardware*: CPU, running processes
 - *Software*: OS, JVM version
3. Experiments can be done only on *a limited set of test inputs*.
 - What if “*important*” inputs were not included in the experiments?

Moving Beyond Experimental Analysis

- A better approach to analyzing the *efficiency* (e.g., *running times*) of algorithms should be one that:
 - Allows us to calculate the *relative efficiency* (rather than absolute elapsed time) of algorithms in a way that is *independent of* the hardware and software environment.
 - Can be applied using a *high-level description* of the algorithm (without fully implementing it).
 - Considers *all* possible inputs.
- We will learn a better approach that contains 3 ingredients:
 1. Counting *primitive operations*
 2. Approximating running time as *a function of input size*
 3. Focusing on the *worst-case* input (requiring the most running time)

Counting Primitive Operations

A *primitive operation* corresponds to a low-level instruction with a *constant execution time*.

- Assignment [e.g., `x = 5;`]
- Indexing into an array [e.g., `a[i]`]
- Arithmetic, relational, logical op. [e.g., `a + b, z > w, b1 && b2`]
- Accessing an attribute of an object [e.g., `acc.balance`]
- Returning from a method [e.g., `return result;`]

Q: Why is a method call in general *not* a primitive operation?

A: It may be a call to:

- a “*cheap*” method (e.g., printing `Hello World`), or
- an “*expensive*” method (e.g., sorting an array of integers)

Example: Counting Primitive Operations

```
1 findMax (int[] a, int n) {  
2     currentMax = a[0];  
3     for (int i = 1; i < n; ) {  
4         if (a[i] > currentMax) {  
5             currentMax = a[i]; }  
6         i ++ }  
7     return currentMax; }
```

- # of times $i < n$ in **Line 3** is executed? $[n]$
- # of times the loop body (**Line 4** to **Line 6**) is executed? $[n - 1]$
- **Line 2:** 2 [1 indexing + 1 assignment]
 - **Line 3:** $n + 1$ [1 assignment + n comparisons]
 - **Line 4:** $(n - 1) \cdot 2$ [1 indexing + 1 comparison]
 - **Line 5:** $(n - 1) \cdot 2$ [1 indexing + 1 assignment]
 - **Line 6:** $(n - 1) \cdot 2$ [1 addition + 1 assignment]
 - **Line 7:** 1 [1 return]
 - **Total # of Primitive Operations:** $7n - 2$

From Absolute RT to Relative RT

- Each *primitive operation* (PO) takes approximately the same, constant amount of time to execute. [say t]
- The *number of primitive operations* required by an algorithm should be **proportional** to its *actual running time* on a specific environment.

e.g., `findMax (int[] a, int n)` has $7n - 2$ POs

$$RT = (7n - 2) \cdot t$$

Say two algorithms with RT $(7n - 2) \cdot t$ and RT $(10n + 3) \cdot t$.

⇒ It suffices to compare their **relative** running time:

$$7n - 2 \text{ vs. } 10n + 3.$$

- To determine the **time efficiency** of an algorithm, we only focus on their **number of POs**.

Example: Approx. # of Primitive Operations

- Given # of primitive operations counted precisely as $7n - 2$, we view it as

$$7 \cdot n^1 - 2 \cdot n^0$$

- We say
 - n is the **highest power**
 - 7 and 2 are the **multiplicative constants**
 - 2 is the **lower term**
- When approximating a function (considering that input size may be very large):
 - Only** the **highest power** matters.
 - multiplicative constants** and **lower terms** can be dropped.

$\Rightarrow 7n - 2$ is approximately n

Exercise: Consider $7n + 2n \cdot \log n + 3n^2$:

- highest power?**
- multiplicative constants?**
- lower terms?**

$$[n^2]$$

$$[7, 2, 3]$$

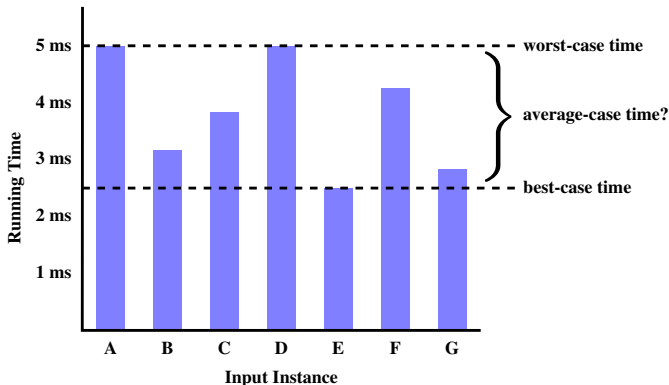
$$[7n + 2n \cdot \log n]$$

Approximating Running Time as a Function of Input Size

Given the *high-level description* of an algorithm, we associate it with a function f , such that $f(n)$ returns the *number of primitive operations* that are performed on an *input of size n* .

- $f(n) = 5$ [constant]
- $f(n) = \log_2 n$ [logarithmic]
- $f(n) = 4 \cdot n$ [linear]
- $f(n) = n^2$ [quadratic]
- $f(n) = n^3$ [cubic]
- $f(n) = 2^n$ [exponential]

Focusing on the Worst-Case Input



- *Average-case* analysis calculates the *expected running times* based on the probability distribution of input values.
- *worst-case* analysis or *best-case* analysis?

What is Asymptotic Analysis?

Asymptotic analysis

- Is a method of describing *behaviour in the limit*:
 - How the *running time* of the algorithm under analysis changes as the *input size* changes without bound
 - e.g., contrast $RT_1(n) = n$ with $RT_2(n) = n^2$
- Allows us to compare the *relative* performance of alternative algorithms:
 - For large enough inputs, the *multiplicative constants* and *lower-order* terms of an exact running time can be disregarded.
 - e.g., $RT_1(n) = 3n^2 + 7n + 18$ and $RT_2(n) = 100n^2 + 3n - 100$ are considered **equally efficient**, *asymptotically*.
 - e.g., $RT_1(n) = n^3 + 7n + 18$ is considered **less efficient** than $RT_2(n) = 100n^2 + 100n + 2000$, *asymptotically*.

Three Notions of Asymptotic Bounds

We may consider three kinds of *asymptotic bounds* for the *running time* of an algorithm:

- Asymptotic *upper* bound $[O]$
- Asymptotic lower bound $[\Omega]$
- Asymptotic tight bound $[\Theta]$

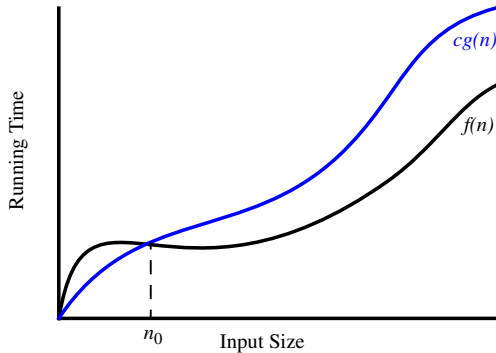
Asymptotic Upper Bound: Definition

- Let $f(n)$ and $g(n)$ be functions mapping positive integers (input size) to positive real numbers (running time).
 - $f(n)$ characterizes the running time of some algorithm.
 - $O(g(n))$ denotes *a collection of* functions.
- $O(g(n))$ consists of *all* functions that can be upper bounded by $g(n)$, starting at some point, using some constant factor.
- $f(n) \in O(g(n))$ if there are:
 - A real *constant* $c > 0$
 - An integer *constant* $n_0 \geq 1$
 such that:

$$f(n) \leq c \cdot g(n) \quad \text{for } n \geq n_0$$

- For each member function $f(n)$ in $O(g(n))$, we say that:
 - $f(n) \in O(g(n))$ [f(n) is a member of "big-Oh of g(n)"]
 - $f(n)$ **is** $O(g(n))$ [f(n) is "big-Oh of g(n)"]
 - $f(n)$ **is order of** $g(n)$

Asymptotic Upper Bound: Visualization



From n_0 , $f(n)$ is upper bounded by $c \cdot g(n)$, so $f(n)$ is $O(g(n))$.

Asymptotic Upper Bound: Example (1)

Prove: The function $8n + 5$ is $O(n)$.

Strategy: Choose a real constant $c > 0$ and an integer constant $n_0 \geq 1$, such that for every integer $n \geq n_0$:

$$8n + 5 \leq c \cdot n$$

Can we choose $c = 9$? What should the corresponding n_0 be?

n	$8n + 5$	$9n$
1	13	9
2	21	18
3	29	27
4	37	36
5	45	45
6	53	54

...

Therefore, we prove it by choosing $c = 9$ and $n_0 = 5$.

We may also prove it by choosing $c = 13$ and $n_0 = 1$. Why?

Asymptotic Upper Bound: Example (2)

Prove: The function $f(n) = 5n^4 + 3n^3 + 2n^2 + 4n + 1$ is $O(n^4)$.

Strategy: Choose a real constant $c > 0$ and an integer constant $n_0 \geq 1$, such that for every integer $n \geq n_0$:

$$5n^4 + 3n^3 + 2n^2 + 4n + 1 \leq c \cdot n^4$$

$$f(1) = 5 + 3 + 2 + 4 + 1 = 15$$

Choose $c = 15$ and $n_0 = 1$!

Asymptotic Upper Bound: Proposition (1)

If $f(n)$ is a polynomial of degree d , i.e.,

$$f(n) = a_0 \cdot n^0 + a_1 \cdot n^1 + \dots + a_d \cdot n^d$$

and a_0, a_1, \dots, a_d are integers, then $f(n)$ is $O(n^d)$.

- We prove by choosing

$$\begin{aligned} c &= |a_0| + |a_1| + \dots + |a_d| \\ n_0 &= 1 \end{aligned}$$

- We know that for $n \geq 1$: $n^0 \leq n^1 \leq n^2 \leq \dots \leq n^d$
- Upper-bound effect: $n_0 = 1$? $[f(1) \leq (|a_0| + |a_1| + \dots + |a_d|) \cdot 1^d]$

$$a_0 \cdot 1^0 + a_1 \cdot 1^1 + \dots + a_d \cdot 1^d \leq |a_0| \cdot 1^d + |a_1| \cdot 1^d + \dots + |a_d| \cdot 1^d$$

- Upper-bound effect holds? $[f(n) \leq (|a_0| + |a_1| + \dots + |a_d|) \cdot n^d]$

$$a_0 \cdot n^0 + a_1 \cdot n^1 + \dots + a_d \cdot n^d \leq |a_0| \cdot n^d + |a_1| \cdot n^d + \dots + |a_d| \cdot n^d$$

Asymptotic Upper Bound: Proposition (2)

$$O(n^0) \subset O(n^1) \subset O(n^2) \subset \dots$$

If a function $f(n)$ is *upper bounded* by another function $g(n)$ of degree d , $d \geq 0$, then $f(n)$ is also upper bounded by all other functions of a *strictly higher degree* (i.e., $d + 1$, $d + 2$, etc.).

e.g., Family of $O(n)$ contains:

$$n^0, 2n^0, 3n^0, \dots$$

[functions with degree 0]

$$n, 2n, 3n, \dots$$

[functions with degree 1]

e.g., Family of $O(n^2)$ contains:

$$n^0, 2n^0, 3n^0, \dots$$

[functions with degree 0]

$$n, 2n, 3n, \dots$$

[functions with degree 1]

$$n^2, 2n^2, 3n^2, \dots$$

[functions with degree 2]

Asymptotic Upper Bound: More Examples

- $5n^2 + 3n \cdot \log n + 2n + 5$ is $O(n^2)$ [$c = 15, n_0 = 1$]
- $20n^3 + 10n \cdot \log n + 5$ is $O(n^3)$ [$c = 35, n_0 = 1$]
- $3 \cdot \log n + 2$ is $O(\log n)$ [$c = 5, n_0 = 2$]
 - Why can't n_0 be 1?
 - Choosing $n_0 = 1$ means $\Rightarrow f(1)$ **is** upper-bounded by $c \cdot \log 1$:
 - We have $f(1) = 3 \cdot \log 1 + 2$, which is 2.
 - We have $c \cdot \log 1$, which is 0.
 - $\Rightarrow f(1)$ **is not** upper-bounded by $c \cdot \log 1$ [Contradiction!]
- 2^{n+2} is $O(2^n)$ [$c = 4, n_0 = 1$]
- $2n + 100 \cdot \log n$ is $O(n)$ [$c = 102, n_0 = 1$]

Using Asymptotic Upper Bound Accurately

- Use the big-Oh notation to characterize a function (of an algorithm's running time) *as closely as possible*.

For example, say $f(n) = 4n^3 + 3n^2 + 5$:

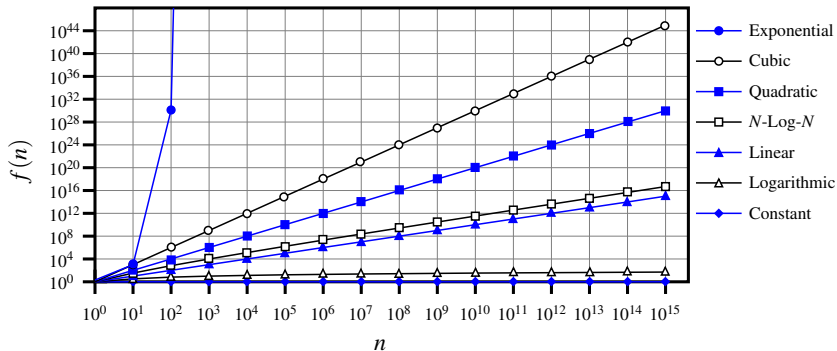
- Recall: $O(n^3) \subset O(n^4) \subset O(n^5) \subset \dots$
 - It is the **most accurate** to say that $f(n)$ is $O(n^3)$.
 - It is **true**, but not very useful, to say that $f(n)$ is $O(n^4)$ and that $f(n)$ is $O(n^5)$.
 - It is **false** to say that $f(n)$ is $O(n^2)$, $O(n)$, or $O(1)$.
- Do not include *constant factors* and *lower-order terms* in the big-Oh notation.

For example, say $f(n) = 2n^2$ is $O(n^2)$, do not say $f(n)$ is $O(4n^2 + 6n + 9)$.

Classes of Functions

upper bound	class	cost
$O(1)$	constant	<i>cheapest</i>
$O(\log(n))$	logarithmic	
$O(n)$	linear	
$O(n \cdot \log(n))$	"n-log-n"	
$O(n^2)$	quadratic	
$O(n^3)$	cubic	
$O(n^k), k \geq 1$	polynomial	
$O(a^n), a > 1$	exponential	<i>most expensive</i>

Rates of Growth: Comparison



Upper Bound of Algorithm: Example (1)

```
1  maxOf (int x, int y) {  
2      int max = x;  
3      if (y > x) {  
4          max = y;  
5      }  
6      return max;  
7  }
```

- # of primitive operations: 4
 2 assignments + 1 comparison + 1 return = 4
- Therefore, the running time is $O(1)$.
- That is, this is a *constant-time* algorithm.

Upper Bound of Algorithm: Example (2)

```
1 findMax (int[] a, int n) {  
2   currentMax = a[0];  
3   for (int i = 1; i < n; ) {  
4     if (a[i] > currentMax) {  
5       currentMax = a[i]; }  
6     i ++ }  
7   return currentMax; }
```

- From last lecture, we calculated that the # of primitive operations is $7n - 2$.
- Therefore, the running time is $O(n)$.
- That is, this is a *linear-time* algorithm.

Upper Bound of Algorithm: Example (3)

```
1 containsDuplicate (int[] a, int n) {  
2   for (int i = 0; i < n; ) {  
3     for (int j = 0; j < n; ) {  
4       if (i != j && a[i] == a[j]) {  
5         return true; }  
6       j ++; }  
7     i ++; }  
8   return false; }
```

- Worst case is when we reach Line 8.
- # of primitive operations $\approx c_1 + n \cdot n \cdot c_2$, where c_1 and c_2 are some constants.
- Therefore, the running time is $O(n^2)$.
- That is, this is a *quadratic* algorithm.

Upper Bound of Algorithm: Example (4)

```
1  sumMaxAndCrossProducts (int[] a, int n) {  
2    int max = a[0];  
3    for(int i = 1; i < n; i++) {  
4      if (a[i] > max) { max = a[i]; }  
5    }  
6    int sum = max;  
7    for (int j = 0; j < n; j++) {  
8      for (int k = 0; k < n; k++) {  
9        sum += a[j] * a[k]; } }  
10   return sum; }
```

- # of primitive operations $\approx (c_1 \cdot n + c_2) + (c_3 \cdot n \cdot n + c_4)$, where c_1 , c_2 , c_3 , and c_4 are some constants.
- Therefore, the running time is $O(n + n^2) = O(n^2)$.
- That is, this is a *quadratic* algorithm.

Upper Bound of Algorithm: Example (5)

```
1 triangularSum (int[] a, int n) {  
2   int sum = 0;  
3   for (int i = 0; i < n; i++) {  
4     for (int j = i; j < n; j++) {  
5       sum += a[j]; } }  
6   return sum; }
```

- # of primitive operations $\approx n + (n - 1) + \dots + 2 + 1 = \frac{n \cdot (n + 1)}{2}$
- Therefore, the running time is $O\left(\frac{n^2 + n}{2}\right) = O(n^2)$.
- That is, this is a *quadratic* algorithm.

Basic Data Structure: Arrays

- An array is a sequence of indexed elements.
- *Size* of an array is **fixed** at the time of its construction.
- Supported *operations* on an array:
 - *Accessing*: e.g., `int max = a[0];`
Time Complexity: **$O(1)$** [constant operation]
 - *Updating*: e.g., `a[i] = a[i + 1];`
Time Complexity: **$O(1)$** [constant operation]
 - *Inserting/Removing*:

```
String[] insertAt(String[] a, int n, String e, int i)
    String[] result = new String[n + 1];
    for(int j = 0; j <= i - 1; j++){ result[j] = a[j]; }
    result[i] = e;
    for(int j = i + 1; j <= n - 1; j++){ result[j] = a[j-1]; }
    return result;
```

Time Complexity: **$O(n)$** [linear operation]

Array Case Study: Comparing Two Sorting Strategies

- Problem:

Input: An array a of n numbers $\langle a_1, a_2, \dots, a_n \rangle$

Output: A permutation (reordering) $\langle a'_1, a'_2, \dots, a'_n \rangle$ of the input sequence such that $a'_1 \leq a'_2 \leq \dots \leq a'_n$

- We propose two *alternative implementation strategies* for solving this problem.
- At the end, we want to know which one to choose, based on *time complexity*.

Sorting: Strategy 1 – Selection Sort

- Maintain a (initially empty) *sorted portion* of array a .
- From left to right in array a , select and insert *the minimum element* to the end of this sorted portion, so it remains sorted.

```

1  selectionSort(int[] a, int n)
2      for (int i = 0; i <= (n - 2); i++)
3          int minIndex = i;
4          for (int j = i; j <= (n - 1); j++)
5              if (a[j] < a[minIndex]) { minIndex = j; }
6          int temp = a[i];
7          a[i] = a[minIndex];
8          a[minIndex] = temp;
  
```

- How many times does the body of *for loop* (Line 4) run?

- Running time?

[$O(n^2)$]

$$\underbrace{n}_{\text{find } \{a[0], \dots, a[n-1]\}} + \underbrace{(n-1)}_{\text{find } \{a[1], \dots, a[n-1]\}} + \dots + \underbrace{2}_{\text{find } \{a[n-2], a[n-1]\}}$$

- So selection sort is a *quadratic-time algorithm*.

Sorting: Strategy 2 – Insertion Sort

- Maintain a (initially empty) *sorted portion* of array a .
- From left to right in array a , insert *one element at a time* into the “right” spot in this sorted portion, so it remains sorted.

```

1  insertionSort(int[] a, int n)
2      for (int i = 1; i < n; i++)
3          int current = a[i];
4          int j = i;
5          while (j > 0 && a[j - 1] > current)
6              a[j] = a[j - 1];
7              j--;
8          a[j] = current;

```

- *while loop* (L5) exits when? $j \leq 0$ or $a[j - 1] \leq \text{current}$
- Running time? $O(n^2)$
 $O(\underbrace{1}_{\text{insert into } \{a[0]\}} + \underbrace{2}_{\text{insert into } \{a[0], a[1]\}} + \dots + \underbrace{(n-1)}_{\text{insert into } \{a[0], \dots, a[n-2]\}})$
- So insertion sort is a *quadratic-time algorithm*.

Sorting: Alternative Implementations?

- In the Java implementations for *selection* sort and *insertion* sort, we maintain the “sorted portion” from the *left* end.
 - For *selection* sort, we select the *minimum* element from the “unsorted portion” and insert it to the *end* in the “sorted portion”.
- For *insertion* sort, we choose the *left-most* element from the “unsorted portion” and insert it at the “*right spot*” in the “sorted portion”.
- **Question:** Can we modify the Java implementations, so that the “sorted portion” is maintained and grown from the *right* end instead?

Comparing Insertion & Selection Sorts

- *Asymptotically*, running times of selection sort and insertion sort are both $O(n^2)$.
- We will later see that there exist better algorithms that can perform better than quadratic: $O(n \cdot \log n)$.

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Comparing Insertion & Selection Sorts