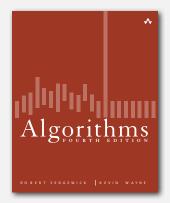
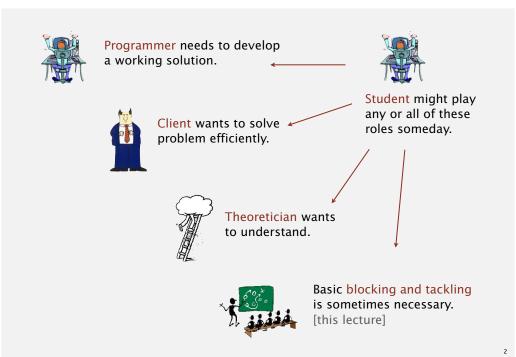
1.4 ANALYSIS OF ALGORITHMS



- observations
- mathematical models
- order-of-growth classifications
- dependencies on inputs
- **▶** memory

Algorithms, 4th Edition · Robert Sedgewick and Kevin Wayne · Copyright © 2002–2011 · February 8, 2012 5:59:31 AM

Cast of characters



Running time

"As soon as an Analytic Engine exists, it will necessarily guide the future course of the science. Whenever any result is sought by its aid, the question will arise—By what course of calculation can these results be arrived at by the machine in the shortest time? "— Charles Babbage (1864)

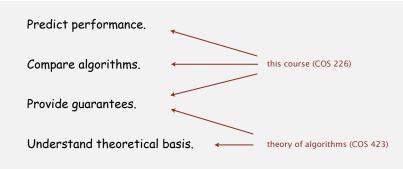


how many times do you have to turn the crank?



Analytic Engine

Reasons to analyze algorithms



Primary practical reason: avoid performance bugs.



client gets poor performance because programmer did not understand performance characteristics



Some algorithmic successes

Discrete Fourier transform.

ullet Break down waveform of N samples into periodic components.

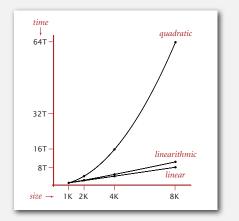
• Applications: DVD, JPEG, MRI, astrophysics,

• Brute force: N^2 steps.

• FFT algorithm: $N \log N$ steps, enables new technology.



Friedrich Gaus 1805







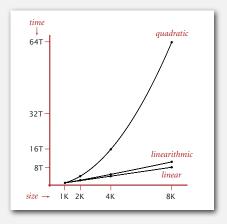


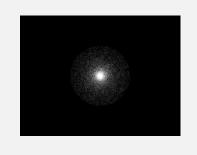
Some algorithmic successes

N-body simulation.

- Simulate gravitational interactions among N bodies.
- Brute force: N^2 steps.
- Barnes-Hut algorithm: $N \log N$ steps, enables new research.







The challenge

Q. Will my program be able to solve a large practical input?



Key insight. [Knuth 1970s] Use scientific method to understand performance.

Scientific method applied to analysis of algorithms

A framework for predicting performance and comparing algorithms.

Scientific method.

- Observe some feature of the natural world.
- Hypothesize a model that is consistent with the observations.
- Predict events using the hypothesis.
- Verify the predictions by making further observations.
- Validate by repeating until the hypothesis and observations agree.

Principles.

- Experiments must be reproducible.
- Hypotheses must be falsifiable.



Feature of the natural world = computer itself.

Example: 3-sum

3-sum. Given N distinct integers, how many triples sum to exactly zero?

```
% more 8ints.txt
8
30 -40 -20 -10 40 0 10 5
% java ThreeSum 8ints.txt
4
```

	a[i]	a[j]	a[k]	sum
1	30	-40	10	0
2	30	-20	-10	0
3	-40	40	0	0
4	-10	0	10	0

Context. Deeply related to problems in computational geometry.

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→ observations

3-sum: brute-force algorithm

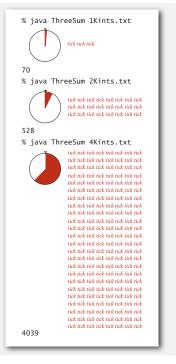
```
public class ThreeSum
   public static int count(int[] a)
      int N = a.length;
      int count = 0;
      for (int i = 0; i < N; i++)
         for (int j = i+1; j < N; j++)
                                                          check each triple
             for (int k = j+1; k < N; k++)
                if (a[i] + a[j] + a[k] == 0)
                                                          for simplicity, ignore
                                                          integer overflow
                   count++;
      return count;
   public static void main(String[] args)
      int[] a = In.readInts(args[0]);
      StdOut.println(count(a));
```

Measuring the running time

Q. How to time a program?

A. Manual.





Measuring the running time

- Q. How to time a program?
- A. Automatic.

```
    public class
    Stopwatch
    (part of stdlib.jar)

    Stopwatch()
    create a new stopwatch

    double
    elapsedTime()
    time since creation (in seconds)
```

```
public static void main(String[] args)
{
  int[] a = In.readInts(args[0]);
  Stopwatch stopwatch = new Stopwatch();
  StdOut.println(ThreeSum.count(a));
  double time = stopwatch.elapsedTime();
}
```

Empirical analysis

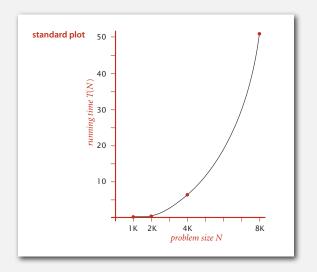
Run the program for various input sizes and measure running time.

N	time (seconds) †	
250	0.0	
500	0.0	
1,000	0.1	
2,000	0.8	
4,000	6.4	
8,000	51.1	
16,000	?	

13

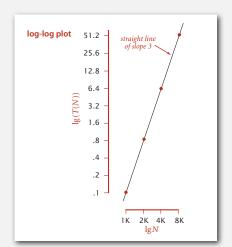
Data analysis

Standard plot. Plot running time T(N) vs. input size N.



Data analysis

Log-log plot. Plot running time T(N) vs. input size N using log-log scale.



lg(T(N)) = b lg N + c b = 2.999c = -33.2103

 $T(N) = a N^b$, where $a = 2^c$

Regression. Fit straight line through data points: a N b. slope Hypothesis. The running time is about $1.006 \times 10^{-10} \times N^{2.999}$ seconds.

1.5

Prediction and validation

Hypothesis. The running time is about $1.006 \times 10^{-10} \times N^{2.999}$ seconds.

"order of growth" of running time is about N³ [stay tuned]

Predictions.

- 51.0 seconds for N = 8,000.
- 408.1 seconds for N = 16,000.

Observations.

N	time (seconds) †	
8,000	51.1	
8,000	51.0	
8,000	51.1	
16,000	410.8	

validates hypothesis!

Doubling hypothesis

Doubling hypothesis. Quick way to estimate b in a power-law relationship.

Run program, doubling the size of the input.

N	time (seconds) †	ratio	lg ratio
250	0.0		-
500	0.0	4.8	2.3
1,000	0.1	6.9	2.8
2,000	0.8	7.7	2.9
4,000	6.4	8.0	3.0
8,000	51.1	8.0	3.0

seems to converge to a constant $b \approx 3$

Hypothesis. Running time is about $a N^b$ with $b = \lg ratio$.

Caveat. Cannot identify logarithmic factors with doubling hypothesis.

Doubling hypothesis

Doubling hypothesis. Quick way to estimate b in a power-law hypothesis.

- Q. How to estimate a (assuming we know b)?
- A. Run the program (for a sufficient large value of N) and solve for a.

N	time (seconds) †	
8,000	51.1	
8,000	51.0	
8,000	51.1	

 $51.1 = a \times 8000^3$ $\Rightarrow a = 0.998 \times 10^{-10}$

Hypothesis. Running time is about $0.998 \times 10^{-10} \times N^3$ seconds.

almost identical hypothesis
to one obtained via linear regression

Experimental algorithmics

System independent effects.

• Algorithm.

determines exponent b

• Input data.

System dependent effects.

• Hardware: CPU, memory, cache, ...

• Software: compiler, interpreter, garbage collector, ...

 \bullet System: operating system, network, other applications, ...

Bad news. Difficult to get precise measurements.

Good news. Much easier and cheaper than other sciences.

e.g., can run huge number of experiments

determines constant a

in power law

_

War story (from COS 126)

Q. How long does this program take as a function of N?

```
String s = StdIn.readString();
int N = s.length();
...
for (int i = 0; i < N; i++)
   for (int j = 0; j < N; j++)
        distance[i][j] = ...
...</pre>
```

N	time
1,000	0.11
2,000	0.35
4,000	1.6
8,000	6.5

Jenny ~ c ₁	N ²	seconds

N	time
250	0.5
500	1.1
1,000	1.9
2,000	3.9

Kenny ~ c2 N seconds

observations

▶ mathematical models

- order-of-growth classifications
- dependencies on inputs
- memory

Cost of basic operations

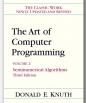
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Mathematical models for running time

Total running time: sum of $cost \times frequency$ for all operations.

- $\bullet\,$ Need to analyze program to determine set of operations.
- Cost depends on machine, compiler.
- Frequency depends on algorithm, input data.











Donald Knuth 1974 Turing Award

operation	example	nanoseconds †
integer add	a + b	2.1
integer multiply	a * b	2.4
integer divide	a / b	5.4
floating-point add	a + b	4.6
floating-point multiply	a * b	4.2
floating-point divide	a / b	13.5
sine	Math.sin(theta)	91.3
arctangent	Math.atan2(y, x)	129.0

[†] Running OS X on Macbook Pro 2.2GHz with 2GB RAM

In principle, accurate mathematical models are available.

Cost of basic operations

operation	example	nanoseconds †
variable declaration	int a	Cı
assignment statement	a = b	C ₂
integer compare	a < b	C 3
array element access	a[i]	C4
array length	a.length	C 5
1D array allocation	new int[N]	c ₆ N
2D array allocation	new int[N][N]	C7 N ²
string length	s.length()	C8
substring extraction	s.substring(N/2, N)	C 9
string concatenation	s + t	c ₁₀ N

Novice mistake. Abusive string concatenation.

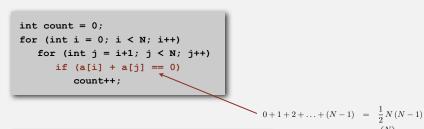
Example: 1-sum

 \mathbb{Q} . How many instructions as a function of input size N?

operation	frequency
variable declaration	2
assignment statement	2
less than compare	N + 1
equal to compare	N
array access	N
increment	N to 2 N

Example: 2-sum

Q. How many instructions as a function of input size N?



operation	frequency
variable declaration	N + 2
assignment statement	N + 2
less than compare	½ (N + 1) (N + 2)
equal to compare	½ N (N – 1)
array access	N (N - 1)
increment	½ N (N − 1) to N (N − 1)

tedious to count exactly

Simplifying the calculations

"It is convenient to have a measure of the amount of work involved in a computing process, even though it be a very crude one. We may count up the number of times that various elementary operations are applied in the whole process and then given them various weights. We might, for instance, count the number of additions, subtractions, multiplications, divisions, recording of numbers, and extractions of figures from tables. In the case of computing with matrices most of the work consists of multiplications and writing down numbers, and we shall therefore only attempt to count the number of multiplications and recordings." — Alan Turing

ROUNDING-OFF ERRORS IN MATRIX PROCESSES B_y A. M. TURING

(National Physical Laboratory, Teddington, Middlesex)
[Received 4 November 1947]

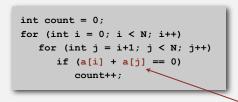
SUMMARY

A number of methods of solving sets of linear equations and inverting matrices are discussed. The theory of the rounding-off errors involved is investigated for some of the methods. In all cases examined, including the well-known 'Gauss elimination process', it is found that the errors are normally quite moderate: no exponential build-up need occur.



Simplification 1: cost model

Cost model. Use some basic operation as a proxy for running time.



 $(N-1)^{-1} = \frac{1}{2}N(N-1)$ = $\binom{N}{2}$

operation	riequericy
variable declaration	N + 2
assignment statement	N + 2
less than compare	½ (N + 1) (N + 2)
equal to compare	½ N (N – 1)
array access	N (N − 1) ←
increment	½ N (N – 1) to N (N – 1)

cost model = array accesses

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Simplification 2: tilde notation

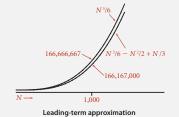
- Estimate running time (or memory) as a function of input size N.
- Ignore lower order terms.
 - when N is large, terms are negligible
 - when N is small, we don't care

Ex 1.
$$\frac{1}{6}N^3 + 20N + 16$$
 $\sim \frac{1}{6}N^3$

Ex 2.
$$\frac{1}{6}N^3 + 100N^{4/3} + 56 \sim \frac{1}{6}N^3$$

Ex 3.
$$\frac{1}{2}N^3 - \frac{1}{2}N^2 + \frac{1}{3}N$$
 ~ $\frac{1}{2}N^3$

discard lower-order terms (e.g., N = 1000: 500 thousand vs. 166 million)



Technical definition. $f(N) \sim g(N)$ means $\lim_{N \to \infty} \frac{f(N)}{g(N)} = 1$

Simplification 2: tilde notation

- Estimate running time (or memory) as a function of input size N.
- Ignore lower order terms.
 - when N is large, terms are negligible
 - when N is small, we don't care

operation	frequency	tilde notation
variable declaration	N + 2	~ N
assignment statement	N + 2	~ N
less than compare	½ (N + 1) (N + 2)	~ ½ N²
equal to compare	½ N (N – 1)	~ ½ N²
array access	N (N - 1)	~ N ²
increment	½ N (N − 1) to N (N − 1)	~ ½ N² to ~ N²

Example: 2-sum

Q. Approximately how many array accesses as a function of input size N?

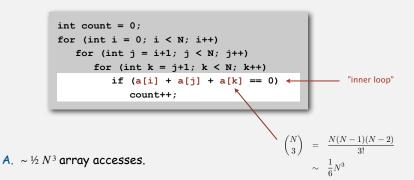
A. $\sim N^2$ array accesses.

 $0+1+2+\ldots+(N-1) = \frac{1}{2}N(N-1)$

Bottom line. Use $cost\ model$ and tilde notation to simplify frequency counts.

Example: 3-sum

Q. Approximately how many array accesses as a function of input size N?



Bottom line. Use cost model and tilde notation to simplify frequency counts.

Estimating a discrete sum

Q. How to estimate a discrete sum?

A1. Take COS 340.

A2. Replace the sum with an integral, and use calculus!

$$\sum_{i=1}^{N} i \sim \int_{x=1}^{N} x \, dx \sim \frac{1}{2} N^2$$

Ex 2.
$$1 + 1/2 + 1/3 + ... + 1/N$$
.

$$\sum_{i=1}^{N} \frac{1}{i} \sim \int_{x=1}^{N} \frac{1}{x} dx = \ln N$$

33

$$\sum_{i=1}^{N} \sum_{j=i}^{N} \sum_{k=j}^{N} 1 \sim \int_{x=1}^{N} \int_{y=x}^{N} \int_{z=y}^{N} dz \, dy \, dx \sim \frac{1}{6} N^{3}$$

Mathematical models for running time

In principle, accurate mathematical models are available.

In practice,

- Formulas can be complicated.
- Advanced mathematics might be required.
- Exact models best left for experts.



costs (depend on machine, compiler)

$$T_N = c_1 A + c_2 B + c_3 C + c_4 D + c_5 E$$
 $A = \text{array access}$
 $B = \text{integer add}$
 $C = \text{integer compare}$
 $D = \text{increment}$
 $E = \text{variable assignment}$
 $C = \text{increment}$
 $C = \text{increment}$

Bottom line. We use approximate models in this course: $T(N) \sim c N^3$.

- observations
- mathematical models

▶ order-of-growth classifications

- dependencies on inputs
- memory

2,

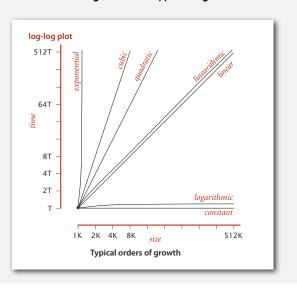
Common order-of-growth classifications

Good news. the small set of functions

order of growth discards
leading coefficient

1, $\log N$, N, $N \log N$, N^2 , N^3 , and 2^N

suffices to describe order-of-growth of typical algorithms.



Common order-of-growth classifications

order of growth	name	typical code framework	description	example	T(2N) / T(N)
1	constant	a = b + c;	statement	add two numbers	1
log N	logarithmic	while (N > 1) { N = N / 2; }	divide in half	binary search	~ 1
N	linear	for (int i = 0; i < N; i++) { }	Іоор	find the maximum	2
N log N	linearithmic	[see mergesort lecture]	divide and conquer	mergesort	~ 2
N ²	quadratic	<pre>for (int i = 0; i < N; i++) for (int j = 0; j < N; j++) {</pre>	double loop	check all pairs	4
N³	cubic	<pre>for (int i = 0; i < N; i++) for (int j = 0; j < N; j++) for (int k = 0; k < N; k++) { }</pre>	triple loop	check all triples	8
2 ^N	exponential	[see combinatorial search lecture]	exhaustive search	check all subsets	T(N)

Practical implications of order-of-growth

growth	problem size solvable in minutes					
rate	1970s	1980s	1990s	2000s		
1	any	any	any	any		
log N	any	any	any	any		
N	millions	tens of millions	hundreds of millions	billions		
N log N	hundreds of thousands	millions	millions	hundreds of millions		
N ²	hundreds	thousand	thousands	tens of thousands		
N ³	hundred	hundreds	thousand	thousands		
2 ^N	20	20s	20s	30		

Bottom line. Need linear or linearithmic alg to keep pace with Moore's law.

Binary search

 ${\it Goal.}$ Given a sorted array and a key, find index of the key in the array?

Binary search. Compare key against middle entry.

- Too small, go left.
- Too big, go right.
- Equal, found.

6	13	14	25	33	43	51	53	64	72	84	93	95	96	97
0	1	2	3	4	5	6	7	8	9	10	11	12	13	14
↑							↑							↑
lo							mid							hi

Binary search demo

Binary search: Java implementation

Trivial to implement?

- First binary search published in 1946; first bug-free one published in 1962.
- Java bug in Arrays.binarySearch() discovered in 2006.

Invariant. If key appears in the array a[], then $a[lo] \le key \le a[hi]$.

Binary search: mathematical analysis

Proposition. Binary search uses at most $1+\lg N$ compares to search in a sorted array of size N.

Def. T(N) = # compares to binary search in a sorted subarray of size at most N.

Binary search recurrence. $T(N) \leq T(N/2) + 1$ for N > 1, with T(1) = 1.

| left or right half | possible to implement with one 2-way compare (instead of 3-way)

 $T(N) \leq T(N/2) + 1$ given $\leq T(N/4) + 1 + 1$ apply recurrence to first term $\leq T(N/8) + 1 + 1 + 1$ apply recurrence to first term \cdots $\leq T(N/N) + 1 + 1 + \dots + 1$ stop applying, T(1) = 1 $= 1 + \lg N$

An $N^2 \log N$ algorithm for 3-sum

Algorithm.

- Sort the N (distinct) numbers.
- For each pair of numbers a[i] and a[j],
 binary search for -(a[i] + a[j]).

30 -40 -20 -10 40 0 10 5 -40 -20 -10 0 5 10 30 40 binary search (-40, -20)(-40, -10)(-40, 0)40 (-40, 5) (-40, 10)(30) (-40, 40)0 (-10, 0) only count if a[i] < a[j] < a[k](-20, 10)10 to avoid double counting -40 (10, 30) (10, 40) (30, 40)

Analysis. Order of growth is $N^2 \log N$.

- Step 1: N^2 with insertion sort.
- Step 2: $N^2 \log N$ with binary search.

..

Comparing programs

Hypothesis. The $N^2 \log N$ three-sum algorithm is significantly faster in practice than the brute-force N^3 algorithm.

N	time (seconds)
1,000	0.1
2,000	0.8
4,000	6.4
8,000	51.1

ThreeSum.java

N	time (seconds)
1,000	0.14
2,000	0.18
4,000	0.34
8,000	0.96
16,000	3.67
32,000	14.88
64,000	59.16

ThreeSumDeluxe.java

Guiding principle. Typically, better order of growth \Rightarrow faster in practice.

observations

➤ mathematical models

order-of-growth classifications

dependencies on inputs

memory

Types of analyses

Best case. Lower bound on cost.

- Determined by "easiest" input.
- Provides a goal for all inputs.

Worst case. Upper bound on cost.

- Determined by "most difficult" input.
- Provides a guarantee for all inputs.

Average case. Expected cost for random input.

- Need a model for "random" input.
- Provides a way to predict performance.

Ex 1. Array accesses for brute-force 3 sum.

Best: $\sim \frac{1}{2} N^3$ Average: $\sim \frac{1}{2} N^3$ Worst: $\sim \frac{1}{2} N^3$ Ex 2. Compares for binary search.

Best: ~ 1 Average: $\sim \lg N$ Worst: $\sim \lg N$

Commonly-used notations

notation	provides	example	shorthand for	used to
Tilde	leading term	~ 10 N ²	$10 N^{2}$ $10 N^{2} + 22 N \log N$ $10 N^{2} + 2 N + 37$	provide approximate model
Big Theta	asymptotic growth rate	Θ(N²)	½ N ² 10 N ² 5 N ² + 22 N log N + 3N	classify algorithms
Big Oh	$\Theta(N^2)$ and smaller	O(N²)	10 N ² 100 N 22 N log N + 3 N	develop upper bounds
Big Omega	Θ(N²) and larger	$\Omega(N^2)$	½ N ² N ⁵ N ³ + 22 N log N + 3 N	develop lower bounds

Common mistake. Interpreting big-Oh as an approximate model.

4.

Basics

Bit. 0 or 1.

Byte. 8 bits.

Megabyte (MB). 1 million or 2²⁰ bytes.

Gigabyte (GB). 1 billion or 2³⁰ bytes.



Old machine. We used to assume a 32-bit machine with 4 byte pointers.

Modern machine. We now assume a 64-bit machine with 8 byte pointers.

- Can address more memory.
- Pointers use more space.

some JVMs "compress" ordinary object pointers to 4 bytes to avoid this cost

Typical memory usage for primitive types and arrays

Primitive types.

type	bytes
boolean	1
byte	1
char	2
int	4
float	4
long	8
double	8

for primitive types

Array overhead. 24 bytes.

▶ memory

type	bytes
char[]	2N + 24
int[]	4N + 24
double[]	8N + 24

for one-dimensional arrays

type	bytes
char[][]	~ 2 M N
int[][]	~ 4 M N
double[][]	~ 8 M N

for two-dimensional arrays

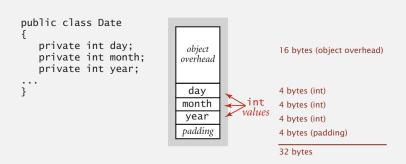
Typical memory usage for objects in Java

Object overhead. 16 bytes.

Reference. 8 bytes.

Padding. Each object uses a multiple of 8 bytes.

Ex 1. A Date object uses 32 bytes of memory.



Typical memory usage for objects in Java

Object overhead. 16 bytes.

Reference. 8 bytes.

Padding. Each object uses a multiple of 8 bytes.

Ex 2. A virgin string of length N uses $\sim 2N$ bytes of memory.

```
public class String
                                     object
                                                                16 bytes (object overhead)
   private char[] value;
                                   overhead
   private int offset;
   private int count;
                                                                8 bytes (reference to array)
                                              ← reference
   private int hash;
                                    value
                                                                2N + 24 bytes (char[] array)
                                                                4 bytes (int)
                                   offset
                                                   int
                                    count
                                                                4 bytes (int)
                                                  values
                                     hash
                                                                4 bytes (int)
                                    padding
                                                                4 bytes (padding)
                                                                2N + 64 bytes
```

Typical memory usage summary

Total memory usage for a data type value:

- Primitive type: 4 bytes for int, 8 bytes for double, ...
- Object reference: 8 bytes.

padding: round up to multiple of 8

• Array: 24 bytes + memory for each array entry.

• Object: 16 bytes + memory for each instance variable + 8 if inner class.

extra pointer to enclosing class

Shallow memory usage: Don't count referenced objects.

Deep memory usage: If array entry or instance variable is a reference, add memory (recursively) for referenced object.

.

Example

Q. How much memory does weightedQuickUnionUF use as a function of N? Use tilde notation to simplify your answer.

```
public class WeightedQuickUnionUF
{
   private int[] id;
   private int[] sz;
   private int count;

public WeightedQuickUnionUF(int N)
   {
    id = new int[N];
    sz = new int[N];
    for (int i = 0; i < N; i++) id[i] = i;
    for (int i = 0; i < N; i++) sz[i] = 1;
   }
   ...
}</pre>
```

Turning the crank: summary

Empirical analysis.

- Execute program to perform experiments.
- Assume power law and formulate a hypothesis for running time.
- Model enables us to make predictions.

Mathematical analysis.

- Analyze algorithm to count frequency of operations.
- Use tilde notation to simplify analysis.
- Model enables us to explain behavior.



Scientific method

- Mathematical model is independent of a particular system; applies to machines not yet built.
- Empirical analysis is necessary to validate mathematical models and to make predictions.