

# Algorithms 2021: Analysis of Algorithms

(Based on [Manber 1989])

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## 1 Introduction

### Introduction

- The purpose of algorithm analysis is to predict the behavior (running time, space requirement, etc.) of an algorithm *without implementing it* on a specific computer. (Why?)
- As the exact behavior of an algorithm is hard to predict, the analysis is usually an *approximation*:
  - **Relative to the input size** (usually denoted by  $n$ ): input possibilities too enormous to elaborate
  - **Asymptotic**: should care more about larger inputs
  - **Worst-Case**: easier to do, often representative (Why not average-case?)
- Such an approximation is usually good enough for comparing different algorithms for the same problem.

### Complexity

- Theoretically, “complexity of an algorithm” is a more precise term for “approximate behavior of an algorithm”.
- Two most important measures of complexity:
  - Time Complexity an upper bound on the number of steps that the algorithm performs.
  - Space Complexity an upper bound on the amount of temporary storage required for running the algorithm (excluding the input, the output, and the program itself).
- We will focus on time complexity.

### Comparing Running Times

- How do we compare the following running times?
  1.  $100n$
  2.  $2n^2 + 50$
  3.  $100n^{1.8}$
- We will study an approach (the  $O$  notation) that allows us to ignore constant factors and concentrate on the behavior as  $n$  goes to infinity.
- For most algorithms, the constants in the expressions of their running times tend to be small.

## 2 The $O$ Notation

### The $O$ Notation

- A function  $g(n)$  is  $O(f(n))$  for another function  $f(n)$  if there exist constants  $c$  and  $N$  such that, for all  $n \geq N$ ,  $g(n) \leq cf(n)$ .
- The function  $g(n)$  may be substantially less than  $cf(n)$ ; the  $O$  notation bounds it *only from above*.
- The  $O$  notation allows us to ignore constants conveniently.
- Examples:
  - $5n^2 + 15 = O(n^2)$ . (cf.  $5n^2 + 15 \leq O(n^2)$  or  $5n^2 + 15 \in O(n^2)$ )
  - $5n^2 + 15 = O(n^3)$ . (cf.  $5n^2 + 15 \leq O(n^3)$  or  $5n^2 + 15 \in O(n^3)$ )
  - As part of an expression like  $T(n) = 3n^2 + O(n)$ .

### The $O$ Notation (cont.)

- No need to specify the base of a logarithm.
  - $\log_2 n = \frac{\log_{10} n}{\log_{10} 2} = \frac{1}{\log_{10} 2} \log_{10} n$ .
  - For example, we can just write  $O(\log n)$ .
- $O(1)$  denotes a constant.

### Properties of $O$

- We can add and multiply with  $O$ .

**Lemma 1** (3.2). 1. If  $f(n) = O(s(n))$  and  $g(n) = O(r(n))$ , then  $f(n) + g(n) = O(s(n) + r(n))$ . 2. If  $f(n) = O(s(n))$  and  $g(n) = O(r(n))$ , then  $f(n) \cdot g(n) = O(s(n) \cdot r(n))$ .

/\* There exist constants  $c_1, N_1, c_2$ , and  $N_2$  such that, for all  $n \geq N_1$ ,  $f(n) \leq c_1 s(n)$  and, for all  $n \geq N_2$ ,  $g(n) \leq c_2 r(n)$ . Assume without loss of generality that  $c_1 \geq c_2$  and  $N_1 \geq N_2$ . Then, for all  $n \geq N_1$ ,  $f(n) + g(n) \leq c_1 s(n) + c_2 r(n) \leq c_1 s(n) + c_1 r(n) = c_1 (s(n) + r(n))$ , i.e.,  $f(n) + g(n) = O(s(n) + r(n))$ . Also, for all  $n \geq N_1$ ,  $f(n) \cdot g(n) \leq c_1 s(n) \cdot c_2 r(n) = c_1 c_2 (s(n) \cdot r(n))$ , which implies that there exist constants  $c$  and  $N$  such that, for all  $n \geq N$ ,  $f(n) \cdot g(n) \leq c (s(n) \cdot r(n))$ , i.e.,  $f(n) \cdot g(n) = O(s(n) \cdot r(n))$ . \*/

- However, we cannot subtract or divide with  $O$ .
  - $2n = O(n)$ ,  $n = O(n)$ , and  $2n - n = n \neq O(n - n)$ .
  - $n^2 = O(n^2)$ ,  $n = O(n^2)$ , and  $n^2/n = n \neq O(n^2/n^2)$ .

## 3 Speed of Growth

### Polynomial vs. Exponential

- A function  $f(n)$  is *monotonically growing* (or *monotonically increasing*) if  $n_1 \geq n_2$  implies that  $f(n_1) \geq f(n_2)$ .
- An exponential function grows *at least* as fast as a polynomial function does.

**Theorem 2 (3.1).** For all constants  $c > 0$  and  $a > 1$ , and for all monotonically growing functions  $f(n)$ ,  $(f(n))^c = O(a^{f(n)})$ .

- Examples:
  - Take  $n$  as  $f(n)$ ,  $n^c = O(a^n)$ .
  - Take  $\log_a n$  as  $f(n)$ ,  $(\log_a n)^c = O(a^{\log_a n}) = O(n)$ .

### Speed of Growth

$\log n$	$n$	$n \log n$	$n^2$	$n^3$	$2^n$
0	1	0	1	1	2
1	2	2	4	8	4
2	4	8	16	64	16
3	8	24	64	512	256
4	16	64	256	4,096	65,536
5	32	160	1,024	32,768	4,294,967,296

Table: Function values.

Source: redrawn from [E. Horowitz *et al.* 1998, Table 1.7].

### Speed of Growth (cont.)

running times	$time_1$ 1000 steps/sec	$time_2$ 2000 steps/sec	$time_3$ 4000 steps/sec	$time_4$ 8000 steps/sec
$\log n$	0.010	0.005	0.003	0.001
$n$	1	0.5	0.25	0.125
$n \log n$	10	5	2.5	1.25
$n^{1.5}$	32	16	8	4
$n^2$	1000	500	250	125
$n^3$	1,000,000	500,000	250,000	125,000
$1.1^n$	$10^{39}$	$10^{39}$	$10^{38}$	$10^{38}$

Table: Running times (in seconds) under different assumptions ( $n = 1000$ ).

Source: redrawn from [Manber 1989, Table 3.1].

### $O$ , $o$ , $\Omega$ , and $\Theta$

- Let  $T(n)$  be the number of steps required to solve a given problem for input size  $n$ .
- We say that  $T(n) = \Omega(g(n))$  or the problem has a lower bound of  $\Omega(g(n))$  if there exist constants  $c$  and  $N$  such that, for all  $n \geq N$ ,  $T(n) \geq cg(n)$ .
- If a certain function  $f(n)$  satisfies both  $f(n) = O(g(n))$  and  $f(n) = \Omega(g(n))$ , then we say that  $f(n) = \Theta(g(n))$ .
- We say that  $f(n) = o(g(n))$  if  $\lim_{n \rightarrow \infty} \frac{f(n)}{g(n)} = 0$ .

### Polynomial vs. Exponential (cont.)

- An exponential function grows *faster* than a polynomial function does.

**Theorem 3 (3.3).** For all constants  $c > 0$  and  $a > 1$ , and for all monotonically growing functions  $f(n)$ , we have

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

- Consider a previous example again: Take  $\log_a n$  as  $f(n)$ . For all  $c > 0$  and  $a > 1$ ,

$$(\log_a n)^c = o(a^{\log_a n}) = o(n).$$

## 4 Sums

### Sums

- Techniques for summing expressions are essential for complexity analysis.
- For example, given that we know

$$S_0(n) = \sum_{i=1}^n 1 = n$$

and

$$S_1(n) = \sum_{i=1}^n i = 1 + 2 + 3 + \dots + n = \frac{n(n+1)}{2},$$

we want to compute the sum

$$S_2(n) = \sum_{i=1}^n i^2 = 1^2 + 2^2 + 3^2 + \dots + n^2.$$

### Sums (cont.)

From

$$(i+1)^3 = i^3 + 3i^2 + 3i + 1,$$

we have

$$(i+1)^3 - i^3 = 3i^2 + 3i + 1.$$

$$\begin{array}{rcl}
 2^3 - 1^3 & = & 3 \times 1^2 + 3 \times 1 + 1 \\
 3^3 - 2^3 & = & 3 \times 2^2 + 3 \times 2 + 1 \\
 4^3 - 3^3 & = & 3 \times 3^2 + 3 \times 3 + 1 \\
 \dots & \dots & \dots \\
 (n+1)^3 - n^3 & = & 3 \times n^2 + 3 \times n + 1 \\
 \hline
 (n+1)^3 - 1 & = & 3 \times S_2(n) + 3 \times S_1(n) + S_0(n) \\
 (S_3(n+1) - S_3(1)) - S_3(n) & = & 3 \times S_2(n) + 3 \times S_1(n) + S_0(n)
 \end{array}$$

### Sums (cont.)

- So, we have

$$(n+1)^3 - 1 = 3 \times S_2(n) + 3 \times S_1(n) + S_0(n).$$

- Given  $S_0(n)$  and  $S_1(n)$ , the sum  $S_2(n)$  can be computed by straightforward algebra.
- Recall that the left-hand side  $(n+1)^3 - 1$  equals  $(S_3(n+1) - S_3(1)) - S_3(n)$ , a result from “shifting and canceling” terms of two sums.
- This generalizes to  $S_k(n)$ , for  $k > 2$ .
- Similar shifting and canceling techniques apply to other kinds of sums.

/\* We actually will need to obtain an upper bound for the sum of  $n$  upper bounds. For instance,  $\sum_{i=1}^n O(1) = O(\sum_{i=1}^n 1) = O(n)$ ,  $\sum_{i=1}^n O(i) = O(\sum_{i=1}^n i) = O(\frac{n(n+1)}{2}) = O(n^2)$ , etc. \*/

## 5 Recurrence Relations

### Recurrence Relations

- A *recurrence relation* is a way to define a function by an expression involving the same function.
- The Fibonacci numbers, for example, can be defined as follows:

$$\begin{cases} F(1) = 1 \\ F(2) = 1 \\ F(n) = F(n-2) + F(n-1) \end{cases}$$

We would need  $k - 2$  steps to compute  $F(k)$ .

- It is more convenient to have an explicit (or closed-form) expression.
- To obtain the explicit expression is called *solving* the recurrence relation.

### Guessing and Proving an Upper Bound

- Recurrence relation:  $\begin{cases} T(2) = 1 \\ T(2n) \leq 2T(n) + 2n - 1 \end{cases}$
- Guess:  $T(n) = O(n \log n)$ .
- Proof:

1. Base case:  $T(2) \leq 2 \log 2$ .

2. Inductive step:  $T(2n) \leq 2T(n) + 2n - 1$

$$\begin{aligned} &\leq 2(n \log n) + 2n - 1 \\ &= 2n \log n + 2n \log 2 - 1 \\ &\leq 2n(\log n + \log 2) \\ &= 2n \log 2n \end{aligned}$$

### Solving the Fibonacci Relation

- We will study two techniques for solving the Fibonacci relation.
  1. One uses the characteristic equation
  2. The other uses generating functions
- These techniques may be generalized to handle recurrence relations of the form

$$F(n) = b_1 F(n-1) + b_2 F(n-2) + \dots + b_k F(n-k)$$

for a constant  $k$ .

### Using the Characteristic Equation

- $F(n)$  nearly doubles every time and should be an exponential function.
- But what is the base of the exponential function?
- The base  $a$  should satisfy  $a^n = a^{n-1} + a^{n-2}$ , which implies  $a^2 = a + 1$  (called the characteristic equation).
- There are two solutions to the characteristic equation:  $a_1 = \frac{1+\sqrt{5}}{2}$  and  $a_2 = \frac{1-\sqrt{5}}{2}$ .
- Any linear combination of  $a_1^n$  and  $a_2^n$  solves the recurrence relation.

### Using the Characteristic Equation (cont.)

- So, the general solution is

$$c_1 \left( \frac{1 + \sqrt{5}}{2} \right)^n + c_2 \left( \frac{1 - \sqrt{5}}{2} \right)^n.$$

- To fit the values of  $F(1)$  and  $F(2)$ ,  $c_1$  and  $c_2$  must satisfy

$$\begin{aligned} c_1 \left( \frac{1 + \sqrt{5}}{2} \right) + c_2 \left( \frac{1 - \sqrt{5}}{2} \right) &= 1 \\ c_1 \left( \frac{1 + \sqrt{5}}{2} \right)^2 + c_2 \left( \frac{1 - \sqrt{5}}{2} \right)^2 &= 1 \end{aligned}$$

- Therefore,  $c_1 = \frac{1}{\sqrt{5}}$  and  $c_2 = -\frac{1}{\sqrt{5}}$ , and the exact solution to the Fibonacci relation is

$$F(n) = \frac{1}{\sqrt{5}} \left( \frac{1 + \sqrt{5}}{2} \right)^n - \frac{1}{\sqrt{5}} \left( \frac{1 - \sqrt{5}}{2} \right)^n.$$

### Using Generating Functions

- *Generating functions* provide a systematic, effective means for representing and manipulating infinite sequences (of numbers).
- We use them here to derive a closed-form representation of the Fibonacci numbers.
- Below are two basic generating functions:

gen. func.	power series	generated sequence
$\frac{1}{1-z}$	$1 + z + z^2 + \dots + z^n + \dots$	$1, 1, 1, \dots, 1, \dots$
$\frac{c}{1-az}$	$c + caz + ca^2z^2 + \dots + ca^n z^n + \dots$	$c, ca, ca^2, \dots, ca^n, \dots$

- The second one is a generalization of the first and will be used in our solution.

### Using Generating Functions (cont.)

Let  $G(z) = 0 + F_1z + F_2z^2 + F_3z^3 + \dots + F_nz^n + \dots$  (a generating function for the Fibonacci numbers;  $F(n)$  is written as  $F_n$  here).

$$\begin{aligned} G(z) &= F_1z + F_2z^2 + F_3z^3 + \dots + F_nz^n + F_{n+1}z^{n+1} + \dots \\ zG(z) &= F_1z^2 + F_2z^3 + \dots + F_{n-1}z^n + F_nz^{n+1} + \dots \\ z^2G(z) &= F_1z^3 + F_2z^4 + \dots + F_{n-2}z^n + F_{n-1}z^{n+1} + \dots \\ \hline (1 - z - z^2)G(z) &= z \end{aligned}$$

$$\begin{aligned} G(z) &= \frac{z}{1-z-z^2} \quad \left( = \frac{z}{\left(1 - \frac{1+\sqrt{5}}{2}z\right)\left(1 - \frac{1-\sqrt{5}}{2}z\right)} \right) \\ &= \frac{\frac{1}{\sqrt{5}}}{1 - \frac{1+\sqrt{5}}{2}z} + \frac{-\frac{1}{\sqrt{5}}}{1 - \frac{1-\sqrt{5}}{2}z} \end{aligned}$$

/\*

$$\begin{aligned} G(z) &= \frac{\frac{1}{\sqrt{5}}}{1 - \frac{1+\sqrt{5}}{2}z} + \frac{-\frac{1}{\sqrt{5}}}{1 - \frac{1-\sqrt{5}}{2}z} \\ &= \left( \frac{1}{\sqrt{5}} + \frac{1}{\sqrt{5}} \frac{1+\sqrt{5}}{2}z + \frac{1}{\sqrt{5}} \left( \frac{1+\sqrt{5}}{2} \right)^2 z^2 + \dots + \frac{1}{\sqrt{5}} \left( \frac{1+\sqrt{5}}{2} \right)^n z^n + \dots \right) + \\ &\quad \left( -\frac{1}{\sqrt{5}} + \left( -\frac{1}{\sqrt{5}} \right) \frac{1-\sqrt{5}}{2}z + \left( -\frac{1}{\sqrt{5}} \right) \left( \frac{1-\sqrt{5}}{2} \right)^2 z^2 + \dots + \left( -\frac{1}{\sqrt{5}} \right) \left( \frac{1-\sqrt{5}}{2} \right)^n z^n + \dots \right) \\ &= z + z^2 + \dots + \left( \frac{1}{\sqrt{5}} \left( \frac{1+\sqrt{5}}{2} \right)^n - \frac{1}{\sqrt{5}} \left( \frac{1-\sqrt{5}}{2} \right)^n \right) z^n + \dots \end{aligned}$$

\*/

Therefore,  $F_n = \frac{1}{\sqrt{5}} \left( \frac{1+\sqrt{5}}{2} \right)^n - \frac{1}{\sqrt{5}} \left( \frac{1-\sqrt{5}}{2} \right)^n$ .

## 6 Divide and Conquer Relations

### Divide and Conquer Relations

- The running time  $T(n)$  of a divide-and-conquer algorithm satisfies

$$T(n) = aT(n/b) + O(n^k)$$

where

- $a$  is the number of subproblems,
- $n/b$  is the size of each subproblem, and
- $O(n^k)$  is the time spent on dividing the problem and combining the solutions.

### Divide and Conquer Relations (cont.)

Assume, for simplicity,  $n = b^m$  ( $\frac{n}{b^m} = 1$ ,  $\frac{n}{b^{m-1}} = b$ , etc.).

$$\begin{aligned} T(n) &= aT\left(\frac{n}{b}\right) + O(n^k) \\ &= a\left(aT\left(\frac{n}{b^2}\right) + O\left(\left(\frac{n}{b}\right)^k\right)\right) + O(n^k) \\ &= a\left(a\left(aT\left(\frac{n}{b^3}\right) + O\left(\left(\frac{n}{b^2}\right)^k\right)\right) + O\left(\left(\frac{n}{b}\right)^k\right)\right) + O(n^k) \\ &\dots \\ &= a\left(a\left(\dots\left(aT\left(\frac{n}{b^m}\right) + O\left(\left(\frac{n}{b^{m-1}}\right)^k\right)\right) + \dots\right) + O\left(\left(\frac{n}{b}\right)^k\right)\right) + O(n^k) \end{aligned}$$

Assuming  $T(1) = O(1)$  (and recalling  $n = b^m$ , i.e.,  $m = \log_b n$ ),

$$T(n) = a^m \times O(1) + \sum_{i=1}^m a^{m-i} O(b^{ik}) = O(a^m) + a^m \sum_{i=1}^m O\left(\left(\frac{b^k}{a}\right)^i\right).$$

### Divide and Conquer Relations (cont.)

As  $m = \log_b n$  and  $a^m = a^{\log_b n} = n^{\log_b a}$ ,

$$T(n) = O(n^{\log_b a}) + O(n^{\log_b a}) \times O\left(\sum_{i=1}^{\log_b n} \left(\frac{b^k}{a}\right)^i\right).$$

- $O(n^{\log_b a})$  is the accumulative time for computing all the subproblems.
- $O(n^{\log_b a}) \times O(\sum_{i=1}^{\log_b n} (\frac{b^k}{a})^i)$  is the accumulative time for dividing problems and combining solutions.
- Three cases to consider:  $\frac{b^k}{a} < 1$ ,  $\frac{b^k}{a} = 1$ , and  $\frac{b^k}{a} > 1$ .

/\* Case 1:  $\frac{b^k}{a} < 1$ . The geometric series  $\sum_{i=1}^{\log_b n} (\frac{b^k}{a})^i$  converges to some constant. So,  $T(n) = O(n^{\log_b a}) + O(n^{\log_b a}) \times O(1) = O(n^{\log_b a})$ .

Case 2:  $\frac{b^k}{a} = 1$ , i.e.,  $\log_b a = k$ .  $O(\sum_{i=1}^{\log_b n} (\frac{b^k}{a})^i) = O(\log_b n) = O(\log n)$ . So,  $T(n) = O(n^{\log_b a}) + O(n^{\log_b a}) \times O(\log n) = O(n^k \log n)$ .

Case 3:  $\frac{b^k}{a} > 1$ .  $O(\sum_{i=1}^{\log_b n} (\frac{b^k}{a})^i) = O\left(\frac{b^k}{a} \left(\frac{b^k}{a}\right)^{\log_b n} - 1\right) = O\left(\left(\frac{b^k}{a}\right)^{\log_b n}\right) = O\left(\frac{(b^k)^{\log_b n}}{a^{\log_b n}}\right) = O\left(\frac{(b^{\log_b n})^k}{n^{\log_b a}}\right) = O\left(\frac{n^k}{n^{\log_b a}}\right)$ .  $T(n) = O(n^{\log_b a}) + O(n^{\log_b a}) \times O\left(\frac{n^k}{n^{\log_b a}}\right) = O(n^{\log_b a}) + O(n^k) = O(n^k)$ , since  $\frac{b^k}{a} > 1$  implies  $k > \log_b a$ . \*/

## Divide and Conquer Relations (cont.)

**Theorem 4 (3.4).** *The solution of the recurrence relation  $T(n) = aT(n/b) + O(n^k)$ , where  $a$  and  $b$  are integer constants,  $a \geq 1$ ,  $b \geq 2$ , and  $k$  is a non-negative real constant, is*

$$T(n) = \begin{cases} O(n^{\log_b a}) & \text{if } a > b^k \\ O(n^k \log n) & \text{if } a = b^k \\ O(n^k) & \text{if } a < b^k \end{cases}$$

This theorem may be slightly generalized by replacing  $O(n^k)$  with some  $f(n)$ , but the current form is sufficient for the cases we will encounter. Due to its generality and usefulness, the theorem has conventionally been referred to as “the master theorem”.

/\* Example 1: Suppose  $T(n) = T(n/2) + O(1)$  (arising from, e.g., binary search). In this case,  $a = 1$ ,  $b = 2$ , and  $k = 0$ . We have  $a = b^k$  and the second case of the theorem applies. Therefore,  $T(n) = O(n^0 \log n) = O(\log n)$ .

Example 2: Suppose  $T(n) = 2T(n/2) + O(n)$  (arising from, e.g., merge sort). In this case,  $a = 2$ ,  $b = 2$ , and  $k = 1$ . We have  $a = b^k$  and again the second case of the theorem applies. Therefore,  $T(n) = O(n \log n)$ .  
\*/

## Recurrent Relations with Full History

- Example One:

$$T(n) = c + \sum_{i=1}^{n-1} T(i),$$

where  $c$  is a constant and  $T(1)$  is given separately.

- $T(n) - T(n-1) = (c + \sum_{i=1}^{n-1} T(i)) - (c + \sum_{i=1}^{n-2} T(i)) = T(n-1)$ ; hence,  $T(n) = 2T(n-1)$ . (This holds only for  $n \geq 3$ .) /\* The relation  $T(n) = 2T(n-1)$  does not hold for  $n = 2$ , as  $T(2) - T(1) = c$  (not  $T(1)$ ). \*/
- So, we get

$$\begin{cases} T(2) = c + T(1) \\ T(n) = 2T(n-1) \quad \text{if } n \geq 3 \end{cases}$$

which is easier to solve.

- $T(n+1) = (c + T(1))2^{n-1}$ , for  $n \geq 2$ .

## Recurrent Relations with Full History (cont.)

- Example Two:

$$T(n) = n - 1 + \frac{2}{n} \sum_{i=1}^{n-1} T(i), \text{ (for } n \geq 2). T(1) = 0.$$

- Multiply both sides of the equation with  $n$  for  $T(n)$  and  $(n+1)$  for  $T(n+1)$ .

$$\begin{aligned} nT(n) &= n(n-1) + 2 \sum_{i=1}^{n-1} T(i) \\ (n+1)T(n+1) &= (n+1)n + 2 \sum_{i=1}^n T(i) \end{aligned}$$

- Take the difference.

$$(n+1)T(n+1) - nT(n) = (n+1)n - n(n-1) + 2T(n) = 2n + 2T(n)$$

which implies

$$T(n+1) = \frac{n+2}{n+1}T(n) + \frac{2n}{n+1}$$



## Recurrent Relations with Full History (cont.)

- Further simplification.

$$T(n+1) \leq \frac{n+2}{n+1}T(n) + 2$$

- Expanding and canceling.

$$\begin{aligned} T(n) &\leq 2 + \frac{n+1}{n} \left( 2 + \frac{n}{n-1} \left( 2 + \frac{n-1}{n-2} \left( \dots \left( 2 + \frac{4}{3}T(2) \right) \dots \right) \right) \right) \\ &\leq 2 \left( 1 + \frac{n+1}{n} + \frac{n+1}{n} \frac{n}{n-1} + \frac{n+1}{n} \frac{n}{n-1} \frac{n-1}{n-2} + \dots + \left( \frac{n+1}{n} \frac{n}{n-1} \dots \frac{4}{3} \right) \right) \\ &\leq 2(n+1) \left( \frac{1}{n+1} + \frac{1}{n} + \frac{1}{n-1} + \dots + \frac{1}{3} \right) \\ &\leq 2 + 2(n+1) \left( \frac{1}{n} + \frac{1}{n-1} + \dots + 1 \right) \\ &= O(n \log n) \end{aligned}$$

(Note:  $T(1) = 0$  and  $T(2) \leq 2 + \frac{3}{2}T(1) = 2$ )

## 7 Useful Facts

### Useful Facts

- Bounding a summation by an integral:

If  $f(x)$  is monotonically *increasing*, then

$$\sum_{i=1}^n f(i) \leq \int_1^{n+1} f(x) dx.$$

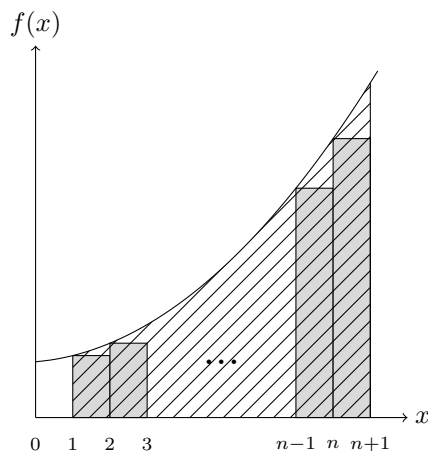
If  $f(x)$  is monotonically *decreasing*, then

$$\sum_{i=1}^n f(i) \leq f(1) + \int_1^n f(x) dx.$$

- Stirling's approximation

$$n! = \sqrt{2\pi n} \left( \frac{n}{e} \right)^n (1 + O(1/n)).$$

### Bounding a Summation by an Integral



$$\sum_{i=1}^n f(i) \leq \int_1^{n+1} f(x)dx.$$

/\* This technique can be used to show that  $\int_0^n f(x)dx \leq \sum_{i=1}^n f(i)$ , by shifting the  $n$  vertical bars (which represent  $\sum_{i=1}^n f(i)$ ) in the diagram to the left by one unit.

When  $f(x)$  is monotonically decreasing, we state that  $\sum_{i=1}^n f(i) \leq f(1) + \int_1^n f(x)dx$ , rather than  $\sum_{i=1}^n f(i) \leq \int_0^n f(x)dx$ , as the part  $\int_0^1 f(x)dx$  might go to infinity and would not be a good upper bound. Isolating the first term of the sum, we have  $\sum_{i=1}^n f(i) = f(1) + \sum_{i=2}^n f(i) \leq f(1) + \int_1^n f(x)dx$ . It can also be shown that  $\int_1^{n+1} f(x)dx \leq \sum_{i=1}^n f(i)$ . \*/

### Useful Facts (cont.)

- Harmonic series

$$H_n = \sum_{k=1}^n \frac{1}{k} = \ln n + \gamma + O(1/n),$$

where  $\gamma = 0.577\dots$  is Euler's constant. So,  $H_n = O(\log n)$ .

/\* The upper bound may also be obtained using an integral.  $\sum_{k=1}^n \frac{1}{k} \leq \frac{1}{1} + \int_1^n \frac{1}{x}dx = 1 + \ln n = O(\ln n) = O(\log n)$ . \*/

- Sum of logarithms

$$\begin{aligned} \sum_{i=1}^n \lfloor \log_2 i \rfloor &= (n+1)\lfloor \log_2 n \rfloor - 2^{\lfloor \log_2 n \rfloor + 1} + 2 \\ &= \Theta(n \log n). \end{aligned}$$

/\*  $\sum_{i=1}^n \lfloor \log_2 i \rfloor \leq \sum_{i=1}^n \log_2 i = \log_2(n!) = \log_2(\sqrt{2\pi n}(\frac{n}{e})^n(1 + O(1/n))) = O(\log_2(\sqrt{2\pi n}(\frac{n}{e})^n)) = O(\log_2 \sqrt{2\pi n} + \log_2(\frac{n}{e})^n) = O(\log_2 \sqrt{2\pi n} + n \log_2(\frac{n}{e})) = O(n \log n)$ . The other direction  $\sum_{i=1}^n \lfloor \log_2 i \rfloor \geq (\sum_{i=1}^n \log_2 i) - n$ . \*/