

Asymptotics 1

Order of magnitude analysis requires a number of mathematical definitions and theorems. The most basic concept is commonly termed big-O.

**Definition:** Suppose that  $f(n)$  and  $g(n)$  are nonnegative functions of  $n$ . Then we say that  $f(n)$  is  $O(g(n))$  provided that there are constants  $C > 0$  and  $N > 0$  such that for all  $n > N$ ,  $f(n) \leq Cg(n)$ .

By the definition above, demonstrating that a function  $f$  is big-O of a function  $g$  requires that we find specific constants  $C$  and  $N$  for which the inequality holds (and show that the inequality does, in fact, hold).

Big-O expresses an upper bound on the growth rate of a function, for sufficiently large values of  $n$ .

Computer Science Dept. Va Tech, July 2000      Data Structures & File Management      ©2000, McQuain WD

Asymptotics 2

Take the function obtained in the algorithm analysis example earlier:

$$T(n) = \frac{3}{2}n^2 + \frac{5}{2}n - 3$$

Intuitively, one should expect that this function grows similarly to  $n^2$ .

To show that, we will shortly prove that:

$$\frac{5}{2}n < 5n^2 \text{ for all } n \geq 1 \quad \text{and that} \quad -3 < n^2 \text{ for all } n \geq 1$$

Why? Because then we can argue by substitution (of non-equal quantities):

$$T(n) = \frac{3}{2}n^2 + \frac{5}{2}n - 3 \leq \frac{3}{2}n^2 + n^2 + n^2 = \frac{7}{2}n^2 \text{ for all } n \geq 1$$

Thus, applying the definition with  $C = 7/2$  and  $N = 1$ ,  $T(n)$  is  $O(n^2)$ .

Computer Science Dept. Va Tech, July 2000      Data Structures & File Management      ©2000, McQuain WD

Asymptotics 3

**Theorem:** if  $a = b$  and  $0 \leq c \leq d$  then  $a*c \leq b*d$ .

**Claim:**  $\frac{5}{2}n < 5n^2$  for all  $n \geq 1$

**proof:** Obviously  $5/2 < 5$ , so  $(5/2)n < 5n$ . Also, if  $n \geq 1$  then by the Theorem above,  $5n \leq 5n^2$ . Hence, since  $\leq$  is transitive,  $(5/2)n \leq 5n^2$ .

**Claim:**  $-3 < n^2$  for all  $n \geq 1$

**proof:** For all  $n$ ,  $n^2 \geq 0$ . Obviously  $0 \geq -3$ . So by transitivity ...

Computer Science Dept. Va Tech, July 2000      Data Structures & File Management      ©2000, McQuain WD

Asymptotics 4

For all the following theorems, assume that  $f(n)$  is a function of  $n$  and that  $K$  is an arbitrary constant.

Theorem 1:  $K$  is  $O(1)$

Theorem 2: A polynomial is  $O(\text{the term containing the highest power of } n)$

$$f(n) = 7n^4 + 3n^2 + 5n + 1000 \text{ is } O(7n^4)$$

Theorem 3:  $K*f(n)$  is  $O(f(n))$  [i.e., constant coefficients can be dropped]

$$g(n) = 7n^4 \text{ is } O(n^4)$$

Theorem 4: If  $f(n)$  is  $O(g(n))$  and  $g(n)$  is  $O(h(n))$  then  $f(n)$  is  $O(h(n))$ . [transitivity]

$$f(n) = 7n^4 + 3n^2 + 5n + 1000 \text{ is } O(n^4)$$

Computer Science Dept. Va Tech, July 2000      Data Structures & File Management      ©2000, McQuain WD

Big-O Theorems Asymptotics 5

Theorem 5: Each of the following functions is big-O of its successors:

K [constant]	
$\log_b(n)$ [always log base 2 if no base is shown]	
n	
$n \log_b(n)$	
$n^2$	
n to higher powers	
$2^n$	
$3^n$	
larger constants to the n-th power	
$n!$ [n factorial]	
$n^n$	larger

$f(n) = 3n \log(n)$  is  $O(n \log(n))$  and  $O(n^2)$  and  $O(2^n)$

Computer Science Dept. VU Tech. July 2000 Data Structures & File Management ©2000, McQuain WD

Big-O Theorems Asymptotics 6

Theorem 6: In general,  $f(n)$  is big-O of the dominant term of  $f(n)$ , where “dominant” may usually be determined from Theorem 5.

$f(n) = 7n^2 + 3n \log(n) + 5n + 1000$  is  $O(n^2)$

$g(n) = 7n^4 + 3^n + 1000000$  is  $O(3^n)$

$h(n) = 7n(n + \log(n))$  is  $O(n^2)$

Theorem 7: For any base  $b$ ,  $\log_b(n)$  is  $O(\log(n))$ .

Computer Science Dept. VU Tech. July 2000 Data Structures & File Management ©2000, McQuain WD

Big-Omega and Big-Theta Asymptotics 7

In addition to big-O, we may seek a lower bound on the growth of a function:

**Definition:** Suppose that  $f(n)$  and  $g(n)$  are nonnegative functions of  $n$ . Then we say that  $f(n)$  is  $\Omega(g(n))$  provided that there are constants  $C > 0$  and  $N > 0$  such that for all  $n > N$ ,  $f(n) \geq Cg(n)$ .

Big- $\Omega$  expresses a lower bound on the growth rate of a function, for sufficiently large values of  $n$ .

Finally, we may have two functions that grow at essentially the same rate:

**Definition:** Suppose that  $f(n)$  and  $g(n)$  are nonnegative functions of  $n$ . Then we say that  $f(n)$  is  $\Theta(g(n))$  provided that  $f(n)$  is  $O(g(n))$  and also that  $f(n)$  is  $\Omega(g(n))$ .

Computer Science Dept. VU Tech. July 2000 Data Structures & File Management ©2000, McQuain WD

Order and Limits Asymptotics 8

The task of determining the order of a function is simplified considerably by the following result:

Theorem 8:  $f(n)$  is  $\Theta(g(n))$  if  $\lim_{n \rightarrow \infty} \frac{f(n)}{g(n)} = c$  where  $0 < c < \infty$

Recall Theorem 7... we may easily prove it (and a bit more) by applying Theorem 8:

$$\lim_{n \rightarrow \infty} \frac{\log_b(n)}{\log(n)} = \lim_{n \rightarrow \infty} \frac{\frac{1}{n \ln(b)}}{\frac{1}{n \ln(2)}} = \lim_{n \rightarrow \infty} \frac{\ln(2)}{\ln(b)} = \frac{\ln(2)}{\ln(b)}$$

The last term is finite and positive, so  $\log_b(n)$  is  $\Theta(\log(n))$  by Theorem 8.

Computer Science Dept. VU Tech. July 2000 Data Structures & File Management ©2000, McQuain WD

Asymptotics 9

Some of the big-O theorems may be strengthened now:

Theorem 9: If  $K > 0$  is a constant, then  $K$  is  $\Theta(1)$ .

Theorem 10: A polynomial is  $\Theta$ (the highest power of  $n$ ).

*proof:* Suppose a polynomial of degree  $k$ . Then we have:

$$\lim_{n \rightarrow \infty} \frac{a_0 + a_1 n + \dots + a_k n^k}{n^k} = \lim_{n \rightarrow \infty} \left( \frac{a_0}{n^k} + \frac{a_1}{n^{k-1}} + \dots + \frac{a_{k-1}}{n} + a_k \right) = a_k$$

Now  $a_k > 0$  since we assume the function is nonnegative. So by Theorem 8, the polynomial is  $\Theta(n^k)$ .

QED

Computer Science Dept VU Tech July 2000
Data Structures & File Management
©2000 McQuain WD

Asymptotics 10

Theorem 11: If  $f(n)$  is  $\Theta(g(n))$  and  $g(n)$  is  $\Theta(h(n))$  then  $f(n)$  is  $\Theta(h(n))$ . [transitivity]

This follows from Theorem 4 and the observation that big- $\Omega$  is also transitive.

Theorem 12: If  $f(n)$  is  $\Theta(g(n))$  then  $g(n)$  is  $\Theta(f(n))$ . [symmetry]

Theorem 13: If  $f(n)$  is  $\Theta(f(n))$ . [reflexivity]

By Theorems 11–13,  $\Theta$  is an equivalence relation on the set of nonnegative functions.

The equivalence classes represent fundamentally different growth rates.

Computer Science Dept VU Tech July 2000
Data Structures & File Management
©2000 McQuain WD

Asymptotics 11

Ex 1: An algorithm (e.g, see slide 2.9) with complexity function

$$T(n) = \frac{3}{2}n^2 + \frac{5}{2}n - 3 \quad \text{is } \Theta(n^2) \text{ by Theorem 10.}$$

Ex 2: An algorithm (e.g, see slide 2.10) with complexity function

$$T(n) = 3n \log n + 4 \log n + 2 \quad \text{is } O(n \log(n)) \text{ by Theorem 5.}$$

Furthermore, the algorithm is also  $\Theta(n \log(n))$  by Theorem 8 since:

$$\lim_{n \rightarrow \infty} \frac{T(n)}{n \log n} = \lim_{n \rightarrow \infty} \left( 3 + \frac{4}{n} + \frac{2}{n \log n} \right) = 3$$

For most common complexity functions, it's this easy to determine the big-O and/or big- $\Theta$  complexity using the given theorems.

Computer Science Dept VU Tech July 2000
Data Structures & File Management
©2000 McQuain WD