

# CS 341: ALGORITHMS

Lecture 2: divide & conquer I

Readings: see website

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Notable algorithms: mergesort, quicksort, binary search, ...

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## DIVIDE-AND-CONQUER DESIGN STRATEGY

- **divide:** Given a problem instance  $I$ , construct one or more smaller problem instances  $I_1, \dots, I_a$ 
  - These are called **subproblems**
  - Usually, want subproblems to be small compared to the size of  $I$  (e.g., half the size)
- **conquer:** For  $1 \leq j \leq a$ , solve instance  $I_j$  **recursively**, obtaining solutions  $S_1, \dots, S_a$
- **combine:** Given solutions  $S_1, \dots, S_a$ , use an appropriate combining function to find the solution  $S$  to the problem instance  $I$ 
  - i.e.,  $S = \text{Combine}(S_1, \dots, S_a)$ .

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## D&C PROTO-ALGORITHM

```

1 DnC_template(I)
2   if BaseCase(I) return Result(I)
3   subproblems = [I_1, I_2, ..., I_a]
4   subsolutions = []
5   for j = 1..a
6     subsolutions[j] = DnC_template(I_j)
7   return Combine(subsolutions)

```

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## CORRECTNESS

```

1 DnC_template(I)
2   if BaseCase(I) return Result(I)
3   subproblems = [I_1, I_2, ..., I_a]
4   subsolutions = []
5   for j = 1..a
6     subsolutions[j] = DnC_template(I_j)
7   return Combine(subsolutions)

```

- Prove base cases are correct
- Inductively assume subproblems are solved correctly
- Show they are correctly assembled into a solution

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## RUNTIME/SPACE COMPLEXITY?

```

1 DnC_template(I)
2   if BaseCase(I) return Result(I)
3   subproblems = [I_1, I_2, ..., I_a]
4   subsolutions = []
5   for j = 1..a
6     subsolutions[j] = DnC_template(I_j)
7   return Combine(subsolutions)

```

- Techniques covered in this lecture
  - Model complexities using recurrence relations
  - Solve with substitution, master theorem, etc.

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### WORKED EXAMPLE: DESIGN OF MERGESORT

Here, a problem instance consists of an array  $A$  of  $n$  integers, which we want to sort in increasing order. The size of the problem instance is  $n$ .

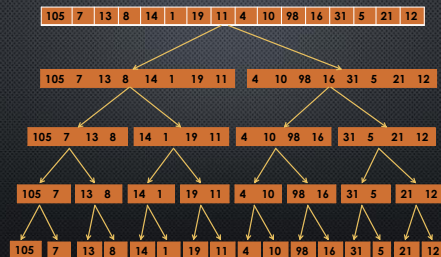
**divide:** Split  $A$  into two subarrays:  $A_L$  consists of the first  $\lfloor \frac{n}{2} \rfloor$  elements in  $A$  and  $A_R$  consists of the last  $\lfloor \frac{n}{2} \rfloor$  elements in  $A$ .

**conquer:** Run *Mergesort* on  $A_L$  and  $A_R$ .

**combine:** After  $A_L$  and  $A_R$  have been sorted, use a function *Merge* to merge  $A_L$  and  $A_R$  into a single sorted array. Recall that this can be done in time  $\Theta(n)$  with a single pass through  $A_L$  and  $A_R$ . We simply keep track of the "current" element of  $A_L$  and  $A_R$ , always copying the smaller one into the sorted array.

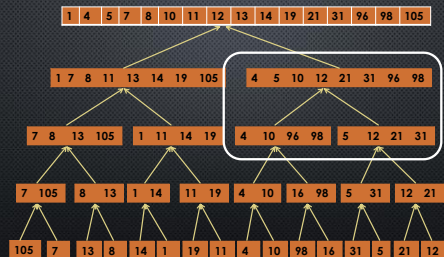
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### DIVIDE



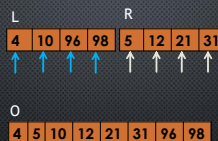
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### MERGE: CONQUER AND COMBINE



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### MERGE SIMULATION



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### PSEUDOCODE FOR MERGESORT

```

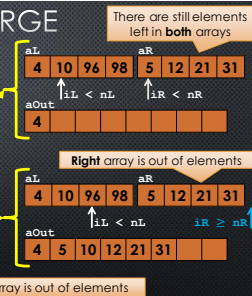
1 Mergesort(A[1..n])
2   if n == 1 then return A
3   nL = ceil(n/2)
4   aL = A[1..nL]
5   aR = A[(nL+1)..n]
6   sL = Mergesort(aL)
7   sR = Mergesort(aR)
8   return Merge(sL, sR)
    
```

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### PSEUDOCODE FOR MERGE

```

1 Merge(aL[1..nL], aR[1..nR])
2   aOut[1..(nL+nR)] = empty array
3   iL = 1 ; iR = 1 ; iOut = 1
4
5   while iL < nL and iR < nR
6     if aL[iL] < aR[iR]
7       aOut[iOut] = aL[iL]
8       iL++ ; iOut++
9     else
10      aOut[iOut] = aR[iR]
11      iR++ ; iOut++
12  while iL < nL
13    aOut[iOut] = aL[iL]
14    iL++ ; iOut++
15  while iR < nR
16    aOut[iOut] = aR[iR]
17    iR++ ; iOut++
18  return aOut
    
```



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### ANALYSIS OF MERGESORT

```

1 MergeSort(A[1..n])
2   if n == 1 then return A
3   nL = ceil(n/2)
4   aL = A[1..nL]
5   aR = A[(nL+1)..n]
6   sL = MergeSort(aL)
7   sR = MergeSort(aR)
8   return Merge(sL, sR)
    
```

Annotations:

- Line 1:  $O(1)$
- Line 2:  $O(1)$
- Line 3:  $O(1)$
- Line 4:  $O(n)$  or  $O(1)$
- Line 5:  $O(n)$  or  $O(1)$
- Line 6:  $???$
- Line 7:  $O(n)$
- Line 8:  $O(n)$

So, MergeSort(A) takes  $O(n)$  time, plus the time for its two recursive calls!

How can we analyze this recursive program structure?

### RECURRENCE RELATIONS

A crucial analysis tool for recursive algorithms



$Hulk(n) = Face - Chin + Hulk(n-1)$

### RECURRENCE RELATIONS

Suppose  $a_1, a_2, \dots$  is an infinite sequence of real numbers.

A **recurrence relation** is a formula that expresses a general term  $a_n$  in terms of one or more previous terms  $a_1, \dots, a_{n-1}$ .

A recurrence relation will also specify one or more **initial values** starting at  $a_1$ .

**Solving** a recurrence relation means finding a formula for  $a_n$  that does **not** involve any previous terms  $a_1, \dots, a_{n-1}$ .

There are many methods of solving recurrence relations. Two important methods are **guess-and-check** and the **recursion tree method**.

### MATHEMATICALLY EXPRESSING THE COMPLEXITY OF MERGESORT

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

**divide** takes time  $\Theta(1)$

**conquer** takes time  $T(\lfloor \frac{n}{2} \rfloor) + T(\lceil \frac{n}{2} \rceil)$

**combine** takes time  $\Theta(n)$

Recurrence relation:

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

$T(n)$  is a function of  $T(\dots)$  so  $T$  is a **recurrence relation**

How can we compute/solve for  $T(n)$ ?

To make this easier, assume  $n = 2^k$ , which lets us ignore floors/ceilings

### RECURRENCE TREE METHOD

Evaluating recurrences with  $T(n/c)$  terms

Compare vs:  $T(n)$ ,  $T(n-1)$ ,  $T(n-2)$ , ...

If pants wore pants, would it wear them like this? (Image of a stack of pants)

or like this? (Image of a person wearing pants)

Recursion tree diagram showing levels of nodes with time complexity labels like  $T(n/2)$ ,  $T(n/4)$ ,  $T(n/8)$ .

### RECURRENCE TREE METHOD

Diagram of a recursion tree for MergeSort with levels and node counts.

Level	# of nodes	runtime per node	total runtime for level
0	1	$cn$	$cn$
1	2	$c(n/2)$	$2c(n/2) = cn$
2	4	$c(n/4)$	$4c(n/4) = cn$
...	...	...	...
$\log n$	$n$	$c(n/n) = c$	$nc(n/n) = cn$

Total =  $cn * \#levels$   
 Total =  $cn \log_2(n)$   
 So, mergesort has runtime  $\Theta(n \log n)$

Can also compute using a table...



## RECURSION TREE METHOD FORMALIZED

Sample recurrence for two recursive calls on problem size  $n/2$

$$T(n) = \begin{cases} 2T(n/2) + cn & \text{if } n > 1 \text{ is a power of 2} \\ d & \text{if } n = 1, \end{cases}$$

where  $c$  and  $d$  are constants.

We can solve this recurrence relation when  $n$  is a power of two, by constructing a **recursion tree**, as follows:

- Step 1** Start with a **one-node tree**, say  $N$ , having the value  $T(n)$ .
- Step 2** Grow **two children** of  $N$ . These children, say  $N_1$  and  $N_2$ , have the value  $T(n/2)$ , and the value of  $N$  is replaced by  $cn$ .
- Step 3** Repeat this process recursively, terminating when a node receives the value  $T(1) = d$ .
- Step 4** Sum the values on each level of the tree, and then compute the **sum of all these sums**; the result is  $T(n)$ .

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## GUESS-AND-CHECK METHOD

In Math,  
I use the  
**GUESS & HoPE**  
Method

- Suppose we have the following recurrence  
 $T(0) = 4$ ;  $T(n) = T(n-1) + 6n - 5$
- **Guess** the form of the solution **any** way you like
- My approach: **the substitution method**
  - Recursively substitute the formula into itself
  - Try to identify patterns to **guess** the final closed form
- **Prove** that the guess was correct

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## SUBSTITUTION METHOD: WORKED EXAMPLE

Recurrence:  $T(0) = 4$ ;  $T(n) = T(n-1) + 6n - 5$

- $T(n-1) = T((n-1)-1) + 6(n-1) - 5$  Compare: new terms?  
+(6n-5) -6
- $T(n) = (T(n-2) + 6(n-1) - 5) + 6n - 5$  **(substitute)**
- $= T(n-2) + 2(6n-5) - 6$  (try to preserve structure)
- $= (T(n-3) + 6(n-2) - 5) + 2(6n-5) - 6$  **(substitute)**
- $= T(n-3) + 3(6n-5) - 6(1+2)$  new terms? +(6n-5) -2(6)
- ... identify patterns and **guess** what happens in the limit
- $= T(0) + n(6n-5) - 6(1+2+3+\dots+(n-1)) = \mathbf{guess(n)}$

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- $\mathbf{guess(n)} = T(0) + n(6n-5) - 6(1+2+3+\dots+(n-1))$
- Use  $1+2+\dots+(n-1) = \frac{n(n-1)}{2}$
- $\mathbf{guess(n)} = 4 + 6n^2 - 5n - 6n(n-1)/2$  **(simplify)**
- $= 3n^2 - 2n + 4$
- Are we done?
- The form of  $\mathbf{guess(n)}$  was an **educated guess**.
- To be sure, we must **prove** it correct using **induction**

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- Recall:  $T(0) = 4$ ;  $T(n) = T(n-1) + 6n - 5$ ;  $\mathbf{guess(n)} = 3n^2 - 2n + 4$
- **Want to prove:**  $\mathbf{guess(n)} = T(n)$  for all  $n$
- Base case:  $\mathbf{guess(0)} = 3(0)^2 - 2(0) + 4 = T(0)$

**PROOF**

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- Recall:  $T(0) = 4$ ;  $T(n) = T(n-1) + 6n - 5$ ;  $\mathbf{guess(n)} = 3n^2 - 2n + 4$
- **Want to prove:**  $\mathbf{guess(n)} = T(n)$  for all  $n$
- Inductive case: **suppose**  $\mathbf{guess(n)} = T(n)$  for  $n \geq 0$ .  
**show**  $\mathbf{guess(n+1)} = T(n+1)$ .

**PROOF**

- $T(n+1) = T(n) + 6(n+1) - 5$  (by definition)
- $= \mathbf{guess(n)} + 6(n+1) - 5$  (by inductive hypothesis)
- $= 3n^2 - 2n + 4 + 6(n+1) - 5$  (substitute)
- $= 3n^2 + 4n + 5$  (simplify)
- $\mathbf{guess(n+1)} = 3(n+1)^2 - 2(n+1) + 4$  (by definition)
- $= 3n^2 + 4n + 5 = T(n+1)$  (simplify)

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### ANOTHER APPROACH

- Suppose you look for a while at the previous recurrence:
  - $T(0) = 4$ ;  $T(n) = T(n-1) + 6n - 5$
- With some experience, you might just **guess** it's **quadratic**
- If you're right, it should have the form:
  - $an^2 + bn + c$  for some **unknown** constants **a, b, c**
- So, just carry the unknown constants **into the proof!**
  - You can then determine what the constants **must be** for the proof to work out

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•  $T(0) = 4$ ;  $T(n) = T(n-1) + 6n - 5$ ; **guess**(n) =  $an^2 + bn + c$

- **Want to prove:** **guess**(n) =  $T(n)$  for all n
- Base case:  $guess(0) = a(0)^2 + b(0) + c = T(0) = 4$ 
  - this holds **iff**  $c = 4$  ( $a, b$  are not constrained)
- Inductive case: **suppose**  $guess(n) = T(n)$  for  $n \geq 0$ , **show**  $guess(n+1) = T(n+1)$ .
- $T(n+1) = T(n) + 6(n+1) - 5$  (by definition)
  - = **guess**(n) +  $6(n+1) - 5$  (by inductive hypothesis)
    - =  $an^2 + bn + 4 + 6(n+1) - 5$  (substitute)
    - =  $an^2 + (b+6)n + 5$  (simplify)

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- **Recall:**  $guess(n) = an^2 + bn + c$  where  $c = 4$
- Inductive case: **suppose**  $guess(n) = T(n)$  for  $n \geq 0$ , **show**  $guess(n+1) = T(n+1)$ .
- $T(n+1) = an^2 + (b+6)n + 5$  (continue previous slide)
- $guess(n+1) = a(n+1)^2 + b(n+1) + 4$  (by definition and  $c = 4$ )
  - =  $a(n^2 + 2n + 1) + bn + b + 4$  (simplify, and...)
  - =  $an^2 + (2a+b)n + (a+b+4)$  (rearrange polynomial)
- We want this to be equal to  $T(n+1)$ 
  - $an^2 + (2a+b)n + (a+b+4) = an^2 + (b+6)n + 5$ 
    - equivalent to  $(2a+b) = (b+6)$  and  $(a+b+4) = 5$
    - first implies  $a = 3$  plug a into second to get  $b = 5 - 4 - 3 = -2$

So, inductive hypothesis is **correct** for  $a = 3, b = -2, c = 4$

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### MASTER THEOREM FOR RECURRENCES

- Provides a formula for solving many recurrence relations
- We start with a **simplified version**
- Consider recurrence:  $T(1) = d$ ;  $T(n) = aT(\frac{n}{b}) + \theta(n^x)$  where  $a \geq 1, b \geq 2$  and  $n$  is a power of  $b$  (i.e.,  $n = b^l$  for integer  $l$ )

```

Example corresponding algorithm
1  int BaseCase(I) return Result(I)
2
3
4  subsolutions = []
5  for j = 1..a
6      let s = subproblem of size n/b
7      subsolutions[j] = DnC_algo(s)
8
9  solution = combine in n^y time
10 return solution
    
```

**Simplified Master Theorem**

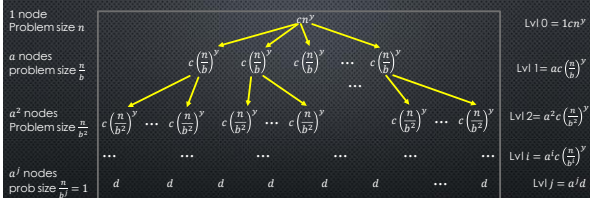
$$T(n) \in \begin{cases} \Theta(n^x) & \text{if } x < \log_b a \\ \Theta(n^x \log n) & \text{if } x = \log_b a \\ \Theta(n^y) & \text{if } x > \log_b a \end{cases}$$

where  $x = \log_b a$ .

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### DERIVING THE SIMPLIFIED MASTER THEOREM

$T(1) = d$ ;  $T(n) = aT(\frac{n}{b}) + \theta(n^y)$  where  $a \geq 1, b \geq 2$  and  $n = b^l$



Sum over all levels we get  $T(n) = da^l + \sum_{i=0}^{l-1} ca^i (\frac{n}{b^i})^y$   
 Let's rearrange this into a **geometric sequence** and solve

### REARRANGING

- $T(n) = da^l + \sum_{i=0}^{l-1} ca^i (\frac{n}{b^i})^y$
- Let  $x = \log_b a$
- $x$  relates # of subproblems to their size
- Rearranging we have  $b^x = a$
- So  $T(n) = da^l + cn^y \sum_{i=0}^{l-1} (\frac{b^x}{b^y})^i$
- =  $da^l + cn^y \sum_{i=0}^{l-1} (b^{x-y})^i$
- Also  $da^l = d(b^x)^l = d(b^l)^x$
- Since  $n = b^l$  this is just  $dn^x$
- So  $T(n) = dn^x + cn^y \sum_{i=0}^{l-1} (b^{x-y})^i$
- and we can simplify: let  $r = b^{x-y}$

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### SOLVING THE GEOMETRIC SEQ

- $T(n) = dn^x + cn^y \sum_{i=0}^{j-1} r^i$  where  $r = b^{x-y}$
- **Geo. Seq. formula:**  $\sum_{i=0}^{j-1} ar^i = \begin{cases} a \frac{r^j - 1}{r - 1} \in \Theta(r^j) & \text{if } r > 1 \\ ja \in \Theta(j) & \text{if } r = 1 \\ a \frac{1 - r^j}{1 - r} \in \Theta(1) & \text{if } 0 < r < 1 \end{cases}$
- So different solutions depending on **r**
  - **Case 1:**  $r = b^{x-y} > 1 \Leftrightarrow x - y > 0 \Leftrightarrow x > y$
  - **Case 2:**  $r = b^{x-y} = 1 \Leftrightarrow x - y = 0 \Leftrightarrow x = y$
  - **Case 3:**  $0 < r = b^{x-y} < 1 \Leftrightarrow x - y < 0 \Leftrightarrow x < y$

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### SOLVING THE GEOMETRIC SEQ

- Formula:  $\sum_{i=0}^{j-1} ar^i = \begin{cases} a \frac{r^j - 1}{r - 1} \in \Theta(r^j) & \text{if } r > 1 \\ ja \in \Theta(j) & \text{if } r = 1 \\ a \frac{1 - r^j}{1 - r} \in \Theta(1) & \text{if } 0 < r < 1 \end{cases}$
- **Case 1:**  $r = b^{x-y} > 1 \Leftrightarrow x - y > 0 \Leftrightarrow x > y$
- $T(n) = dn^x + cn^y \sum_{i=0}^{j-1} r^i \in dn^x + cn^y \Theta(r^j)$
- $T(n) \in \Theta(n^x + n^y r^j) = \Theta(n^x + n^y (b^{x-y})^j) = \Theta(n^x + n^y (b^j)^{x-y})$
- Recall  $b^j = n$ , so  $T(n) \in \Theta(n^x + n^y n^{x-y}) = \Theta(n^x + n^{y+x-y})$
- So  $T(n) \in \Theta(n^x)$

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### SOLVING THE GEOMETRIC SEQ

- Formula:  $\sum_{i=0}^{j-1} ar^i = \begin{cases} a \frac{r^j - 1}{r - 1} \in \Theta(r^j) & \text{if } r > 1 \\ ja \in \Theta(j) & \text{if } r = 1 \\ a \frac{1 - r^j}{1 - r} \in \Theta(1) & \text{if } 0 < r < 1 \end{cases}$
- **Case 2:**  $r = b^{x-y} = 1 \Leftrightarrow x - y = 0 \Leftrightarrow x = y$
- $T(n) = dn^x + cn^y \sum_{i=0}^{j-1} r^i \in dn^x + cn^y \Theta(j)$
- $T(n) \in \Theta(n^x + jn^y) = \Theta(n^x + n^x)$  since  $x = y$
- Recall  $b^j = n$ , so  $\log_b b^j = \log_b n$ . This means  $j \in \Theta(\log n)$ .
- So  $T(n) = \Theta(n^x + n^x \log n) = \Theta(n^x \log n)$

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### SOLVING THE GEOMETRIC SEQ

- Formula:  $\sum_{i=0}^{j-1} ar^i = \begin{cases} a \frac{r^j - 1}{r - 1} \in \Theta(r^j) & \text{if } r > 1 \\ ja \in \Theta(j) & \text{if } r = 1 \\ a \frac{1 - r^j}{1 - r} \in \Theta(1) & \text{if } 0 < r < 1 \end{cases}$
- **Case 3:**  $0 < r = b^{x-y} < 1 \Leftrightarrow x - y < 0 \Leftrightarrow x < y$
- $T(n) = dn^x + cn^y \sum_{i=0}^{j-1} r^i \in dn^x + cn^y \Theta(1)$
- $T(n) \in \Theta(n^x + n^y)$
- Since  $x < y$ , we simply have  $T(n) \in \Theta(n^y)$

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### MASTER THEOREM FOR RECURRENCES

#### Simplified version

Consider recurrence:

$$T(n) = aT\left(\frac{n}{b}\right) + \Theta(n^y) \text{ where } a \geq 1, b \geq 2 \text{ and } n = b^j$$

And let  $x = \log_b a$ .

$$T(n) \in \begin{cases} \Theta(n^x) & \text{if } y < x \\ \Theta(n^x \log n) & \text{if } y = x \\ \Theta(n^y) & \text{if } y > x. \end{cases}$$

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### SOME BONUS INTUITION FOR R CASES

Recall:  $T(n) = dn^x + cn^y \sum_{i=0}^{j-1} r^i$  where  $r = b^{x-y}$   
 $x = \log_b a$  i.e.  $\log_{\text{subproblem size}} |\text{subproblems}|$

case	r	y, x	complexity of T(n)
heavy leaves	r > 1	y < x	T(n) ∈ Θ(n <sup>x</sup> )
balanced	r = 1	y = x	T(n) ∈ Θ(n <sup>x</sup> log n)
heavy top	r < 1	y > x	T(n) ∈ Θ(n <sup>y</sup> )

**heavy leaves** means that the value of the recursion tree is dominated by the values of the leaf nodes.

**balanced** means that the values of the levels of the recursion tree are constant (except for the last level).

**heavy top** means that the value of the recursion tree is dominated by the value of the root node.

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### WORKED EXAMPLES

**Recall: simplified master theorem**

Suppose that  $a \geq 1$  and  $b > 1$ . Consider the recurrence

$$T(n) = aT\left(\frac{n}{b}\right) + \Theta(n^y), \text{ where } n \text{ is a power of } b.$$

Denote  $x = \log_b a$ . Then

$$T(n) \in \begin{cases} \Theta(n^x) & \text{if } y < x \\ \Theta(n^x \log n) & \text{if } y = x \\ \Theta(n^y) & \text{if } y > x. \end{cases}$$

Questions:  $a=?$   $b=?$   $y=?$   $x=?$   
which  $\Theta$  function?

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

$$\begin{matrix} a=2; & b=2; & y=1; & x=1 \\ \Theta(n^x \log n) = \Theta(n \log n) \end{matrix}$$

$$T(n) = 3T(n/2) + cn.$$

$$\begin{matrix} a=3; & b=2; & y=1; & x=\log_2 3 \\ \Theta(n^x) = \Theta(n^{\log_2 3}) \end{matrix}$$

$$T(n) = 4T(n/2) + cn.$$

$$\begin{matrix} a=4; & b=2; & y=1; & x=\log_2 4 \\ \Theta(n^x) = \Theta(n^2) \end{matrix}$$

$$T(n) = 2T(n/2) + cn^{3/2}.$$

$$\begin{matrix} a=2; & b=2; & y=3/2; & x=1 \\ \Theta(n^y) = \Theta(n^{3/2}) \end{matrix}$$

### MASTER THEOREM WHEN $b^{j-1} < n < b^j$

Bonus slide, for you at home

- $n/b$  is not always an integer!
  - floors/ceilings are hard
  - not a geometric sequence
- Suppose we get a **big-O** bound for  $b^{j-1} < n < b^j$  by instead considering the **larger problem size  $b^j$**

$$\text{So } T(n) \leq T(b^j) \in \begin{cases} \Theta\left(\left(\frac{n}{b}\right)^x\right) & \text{if } y < x \\ \Theta\left(\left(\frac{n}{b}\right)^x \log b^j\right) & \text{if } y = x \\ \Theta\left(\left(\frac{n}{b}\right)^y\right) & \text{if } y > x \end{cases}$$

### MASTER THEOREM WHEN $b^{j-1} < n < b^j$

Bonus slide, for you at home

- $T(n) \leq T(b^j) \in \begin{cases} \Theta\left(\left(\frac{n}{b}\right)^x\right) & \text{if } y < x \\ \Theta\left(\left(\frac{n}{b}\right)^x \log b^j\right) & \text{if } y = x \\ \Theta\left(\left(\frac{n}{b}\right)^y\right) & \text{if } y > x \end{cases}$
- Observation:**  $b^j < bn$  since  $n$  is between  $b^{j-1}$  and  $b^j$
- So  $T(n) \leq T(b^j) \in \begin{cases} \Theta\left((bn)^x\right) & \text{if } y < x \\ \Theta\left((bn)^x \log bn\right) & \text{if } y = x \\ \Theta\left((bn)^y\right) & \text{if } y > x \end{cases}$

### MASTER THEOREM WHEN $b^{j-1} < n < b^j$

Bonus slide, for you at home

- $T(n) \in \begin{cases} \Theta\left((bn)^x\right) & \text{if } y < x \\ \Theta\left((bn)^x \log bn\right) & \text{if } y = x \\ \Theta\left((bn)^y\right) & \text{if } y > x \end{cases}$
- Case 1** ( $y < x$ ):  $(bn)^x = b^x n^x$  and  $b^x$  is a constant
  - So  $T(n) \in O(n^x)$
- Case 2** ( $y = x$ ):  $(bn)^x \log bn = b^x n^x (\log b + \log n)$ 
  - $T(bn) \in \Theta(b^x n^x \log b + b^x n^x \log n) = \Theta(n^x + n^x \log n)$
  - So  $T(n) \in O(n^x \log n)$
- Case 3** ( $y > x$ ):  $(bn)^y = b^y n^y$ 
  - So  $T(n) \in O(n^y)$

Can tackle  $\Omega$  similarly to get  $\theta$

### GENERAL MASTER THEOREM

Suppose that  $a \geq 1$  and  $b > 1$ . Consider the recurrence

$$T(n) = aT\left(\frac{n}{b}\right) + f(n),$$

where  $n$  is a power of  $b$ . Denote  $x = \log_b a$ . Then

$$T(n) \in \begin{cases} \Theta(n^x) & \text{if } f(n) \in O(n^{x-\epsilon}) \text{ for some } \epsilon > 0 \\ \Theta(n^x \log n) & \text{if } f(n) \in \Theta(n^x) \\ \Theta(f(n)) & \text{if } f(n)/n^{x+\epsilon} \text{ is an increasing function of } n \text{ for some } \epsilon > 0. \end{cases}$$

Example recurrence:

$$T(n) = 3T(n/4) + n \log n$$

Arbitrary function of  $n$  (not just  $cn^y$ )

Must reason about relationship between  $f(n)$  and  $n^x$

### REVISITING THE RECURSION TREE METHOD

- Some recurrences with complex  $f(n)$  functions (such as  $f(n) = \log n$ ) can still be solved "by hand"
- Example: Let  $n = 2^j$ ;  $T(1) = 1$ ;  $T(n) = 2T\left(\frac{n}{2}\right) + n \log n$

level	# nodes	value at each node	value of the level
$j$	1	$j2^j$	$j2^j$
$j-1$	2	$(j-1)2^{j-1}$	$(j-1)2^j$
$j-2$	$2^2$	$(j-2)2^{j-2}$	$(j-2)2^j$
$\vdots$	$\vdots$	$\vdots$	$\vdots$
1	$2^{j-1}$	$2^1$	$2^j$
0	$2^j$	1	$2^j$

Note  $\log_2 n = j$   
So  $j2^j = n \log_2 n$   
And  $(j-1)2^{j-1} = \frac{n}{2} \log_2 \frac{n}{2}$

## REVISITING THE RECURSION TREE METHOD

- Recall:  $n = 2^j$ ;  $T(1) = 1$ ;  $T(n) = 2T\left(\frac{n}{2}\right) + n \log n$

Summing the values at all levels of the recursion tree, we have

$$T(n) = 2^j \left( 1 + \sum_{i=1}^j i \right) = 2^j \left( 1 + \frac{j(j+1)}{2} \right).$$

Since  $n = 2^j$ , we have  $j = \log_2 n$  and  $T(n) \in \Theta(n(\log n)^2)$ .

value of the level

$$\begin{array}{c} j2^j \\ (j-1)2^j \\ (j-2)2^j \\ \vdots \\ 2^j \\ 2^j \end{array}$$