## CSE214 – Analysis of Algorithms

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https://github.com/FurkanGozukara/CSE214 2018

# Lecture 3 Solving Recurrences

Based on Cevdet Aykanat's and Mustafa Ozdal's Lecture Notes - Bilkent

## Solving Recurrences

□ Reminder: Runtime (T(n)) of *MergeSort* was expressed as a recurrence

$$T(n) = \begin{cases} \Theta(1) & if n=1 \\ 2T(n/2) + \Theta(n) & otherwise \end{cases}$$

```
Kod Satırı
                                                  Maliyet
lergeSort(A, left, right) {
                                                   T(n)
   if (left < right) {</pre>
                                                   \Theta(1)
                                                   \Theta(1)
      mid = floor((left + right) / 2);
                                                   T(n/2)
      MergeSort(A, left, mid);
      MergeSort(A, mid+1, right);
                                                   T(n/2)
      Merge(A, left, mid, right);
                                                   \Theta(n)
T(n) =
                \Theta(1), n = 1 için
                T(n) = 2T(n/2) + f(n), n > 1için
```

Özyineli bir denklemdir

## Solving Recurrences

□ We will focus on 3 techniques in this lecture:

1. Substitution method

2. Recursion tree approach

3. Master method

#### Substitution Method

- □ The most general method:
  - 1. Guess
  - 2. Prove by induction
  - 3. Solve for constants

## Remembering How Mathematical Induction Works

Consider an infinite sequence of dominoes, labeled 1,2,3, ..., where each domino is standing.

Let P(n) be the proposition that the nth domino is knocked over.

We know that the first domino is knocked down, i.e., P(1) is true.

We also know that if whenever the kth domino is knocked over, it knocks over the (k + 1)st domino, i.e,  $P(k) \rightarrow P(k + 1)$  is true for all positive integers k.

Hence, all dominos are knocked over.

P(n) is true for all positive integers n.

## Substitution Method: Example

Solve 
$$T(n) = 4T(n/2) + n$$
 (assume  $T(1) = \Theta(1)$ )

- 1. Guess  $T(n) = O(n^3)$  (need to prove O and  $\Omega$  separately)
- 2. Prove by induction that  $T(n) \le cn^3$  for large n (i.e. n
  - $\geq n_0$ ) Inductive hypothesis:  $T(k) \leq ck^3$  for any k < n

Assuming ind. hyp. holds, prove  $T(n) \le cn^3$ 

## Substitution Method: Example – cont'd

Original recurrence: T(n) = 4T(n/2) + n

From inductive hypothesis:  $T(n/2) \le c(n/2)^3$ 

Substitute this into the original recurrence:

$$T(n) \le 4c (n/2)^3 + n$$

$$= (c/2) n^3 + n$$

$$(c/2) n^3 + n \le cn^3 ?$$

## Substitution Method: Example – cont'd

□ To prove

$$T(n) \le cn^3$$

- We can choose  $c \ge 2$  and  $n_0 \ge 1$
- But, the proof is not complete yet.
- □ Reminder: Proof by induction:

- 1. Prove the base cases
- haven't proved the base cases yet
- Inductive hypothesis for smaller sizes
- 3. Prove the general case

## Substitution Method: Example – cont'd

■ We need to prove the base cases

Base:  $T(n) = \Theta(1)$  for small n (e.g. for  $n = n_0$ )

□ We should show that:

"
$$\Theta(1)$$
"  $\leq cn^3$  for  $n = n_0$ 

This holds if we pick c big enough

- $\square$  So, the proof of  $T(n) = O(n^3)$  is complete.
- □ But, is this a tight bound?

## Example: A tighter upper bound?

- $\square$  Original recurrence: T(n) = 4T(n/2) + n
- □ Try to prove that  $T(n) = O(n^2)$ , i.e.  $T(n) \le cn^2$  for all  $n \ge n_0$

- □ Ind. hyp: Assume that  $T(k) \le ck^2$  for k < n
- □ Prove the general case:  $T(n) \le cn^2$

- $\square$  Original recurrence: T(n) = 4T(n/2) + n
- □ Ind. hyp: Assume that  $T(k) \le ck^2$  for k < n
- □ Prove the general case:  $T(n) \le cn^2$

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

$$\leq 4c(n/2)^{2} + n$$

$$cn^{2} + n \leq cn^{2}$$

$$= O(n^{2})$$
 Wrong! We must prove exactly

- $\square$  Original recurrence: T(n) = 4T(n/2) + n
- □ Ind. hyp: Assume that  $T(k) \le ck^2$  for k < n
- □ Prove the general case:  $T(n) \le cn^2$

□ So far, we have:

$$T(n) \le cn^2 + n$$

No matter which positive c value we choose, this <u>does not</u> show that  $T(n) \le cn^2$ 

Proof failed?

- □ What was the problem?
  - > The inductive hypothesis was not strong enough
- □ <u>Idea</u>: Start with a stronger inductive hypothesis
  - Subtract a low-order term
- □ Inductive hypothesis:  $T(k) \le c_1 k^2 c_2 k$  for k < n
- □ Prove the general case:  $T(n) \le c_1 n^2 c_2 n$

- $\Box$  Original recurrence: T(n) = 4T(n/2) + n
- □ Ind. hyp: Assume that  $T(k) \le c_1 k^2 c_2 k$  for k < n
- □ Prove the general case:  $T(n) \le c_1 n^2 c_2 n$

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

$$\leq 4 (c_1(n/2)^2 - c_2(n/2)) + n$$

$$= c_1 n^2 - 2c_2 n + n$$

$$c_1 n^2 - 2c_2 n + n \leq c_1 n^2 - c_2 n$$

$$n - c_2 n \leq 0 \qquad \text{for } n(c_2 - 1) \geq 0$$

$$n(1-c_2) \leq 0 \qquad \text{choose } c_2 \geq 1$$

□ We now need to prove

$$T(n) \le c_1 n^2 - c_2 n$$

for the <u>base cases</u>.

$$T(n) = \Theta(1)$$
 for  $1 \le n \le n_0$  (implicit assumption)

"
$$\Theta(1)$$
"  $\leq c_1 n^2 - c_2 n$  for n small enough (i.e.  $n = n_0$ )

We can choose  $c_1$  large enough to make this hold

e.g. 
$$c_1 = 2$$
,  $c_2 = 1$ ,  $n = 1$ 

■ We have proved that  $T(n) = O(n^2)$ 

## Substitution Method: Example 2

```
\square For the recurrence T(n) = 4T(n/2) + n,
  prove that T(n) = \Omega(n^2)
       i.e. T(n) \ge cn^2 for any n \ge n_0
□ Ind. hyp: T(k) \ge ck^2 for any k < n
  Prove general case: T(n) \ge cn^2
               T(n) = 4T(n/2) + n
                       \geq 4c (n/2)^2 + n
                       = cn^2 + n > cn^2
                                       since n > 0
```

Proof succeeded – no need to strengthen the ind. hyp as in the last example

We now need to prove that  $T(n) \ge cn^2$ for the base cases

```
\begin{split} T(n) &= \Theta(1) \ \ \text{for} \ \ 1 \leq n \leq n_0 \, (\text{implicit assumption}) \\ \text{``}\Theta(1)\text{'`'} &\geq cn^2 \quad \text{for } n = n_0 \\ n_0 \, \text{is sufficiently small (i.e. } c = 1, \, n = 1) \\ \text{We can choose } c \, \text{small enough for this to hold} \end{split}
```

 $\square \text{ We have proved that } \underline{T(n)} = \Omega (n^2)$ 

## Substitution Method - Summary

1. Guess the asymptotic complexity

- 1. Prove your guess using induction
  - 1. Assume inductive hypothesis holds for k < n
  - 2. Try to prove the general case for n

Note: MUST prove the EXACT inequality

**CANNOT** ignore lower order terms

If the proof fails, strengthen the ind. hyp. and try again

3. Prove the base cases (usually straightforward)

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

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

$$= 2\left[2T(\frac{n}{2^2}) + 4\frac{n}{2}\right] + 4n$$

$$= 2^2T(\frac{n}{2^2}) + 4n + 4n$$

$$= 2^3T(\frac{n}{2^3}) + 4\frac{n}{2^2} + 4n + 4n$$

$$= 2^3T(\frac{n}{2^3}) + 4n + 4n + 4n$$

$$= 2^3T(\frac{n}{2^4}) + 4n + 4n + 4n + 4n$$

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$$= 2^3T(\frac{n}{2^4}) + 4n + 4n + 4n + 4n$$

Expand Scratch
$$T(\frac{n}{2}) = 2T(\frac{n}{2^{2}}) + 4(\frac{n}{2})$$

$$T(\frac{n}{2^{2}}) = 2T(\frac{n}{2^{3}}) + 4(\frac{n}{2^{2}})$$

$$T(\frac{n}{2^{2}}) = 2T(\frac{n}{2^{3}}) + 4(\frac{n}{2^{2}})$$

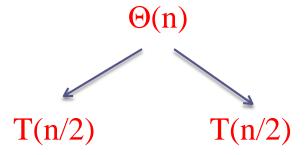
$$T(\frac{n}{2^{3}}) = 2T(\frac{n}{2^{3}}) + 4(\frac{n}{2^{3}})$$

$$T(\frac{n}{2^$$

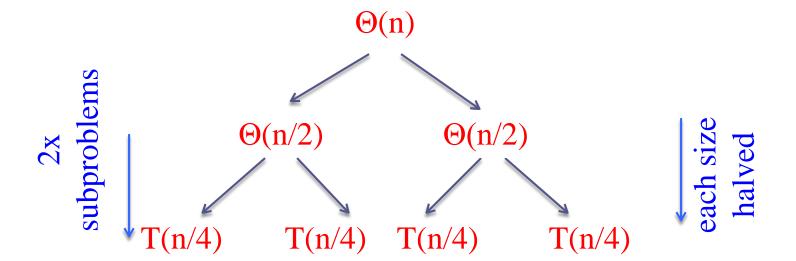
#### Recursion Tree Method

- □ A recursion tree models the runtime costs of a recursive execution of an algorithm.
- ☐ The recursion tree method is good for generating guesses for the substitution method.
- □ The recursion-tree method can be unreliable.
  - Not suitable for formal proofs
- □ The recursion-tree method promotes intuition, however.

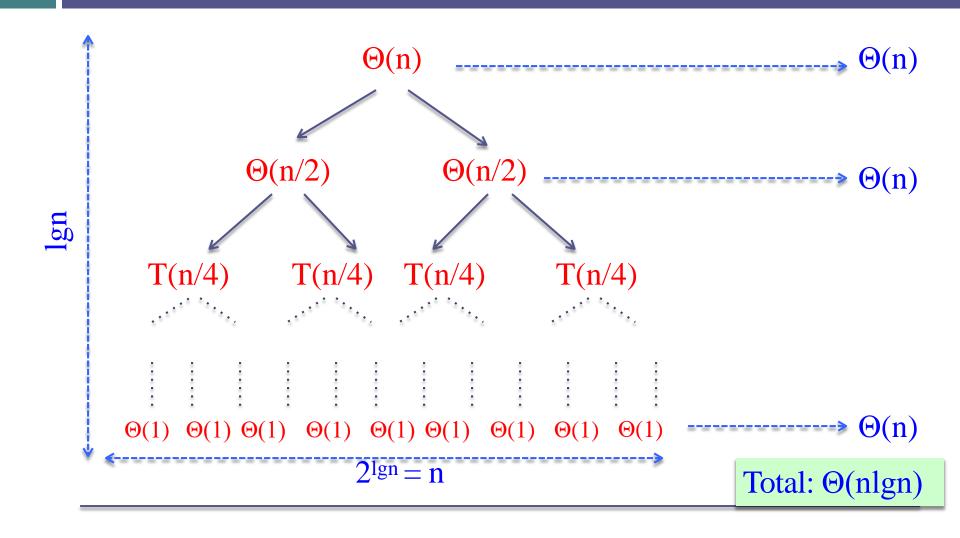
## Solve Recurrence: $T(n) = 2T(n/2) + \Theta(n)$



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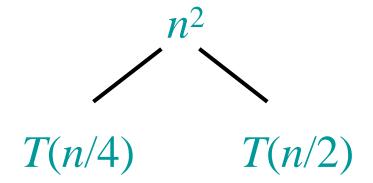
### Solve Recurrence: $T(n) = 2T(n/2) + \Theta(n)$



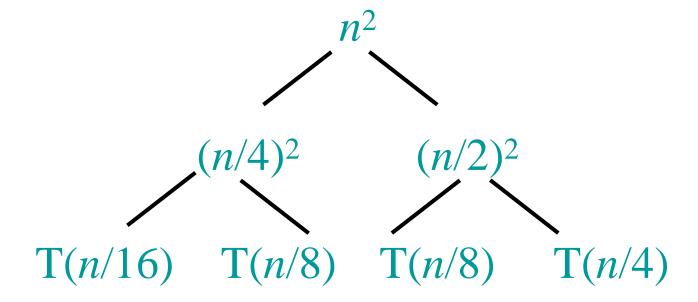
Solve 
$$T(n) = T(n/4) + T(n/2) + n^2$$
:

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$$T(n) = T(n/4) + T(n/2) + n^2$$
:  
 $T(n)$ 

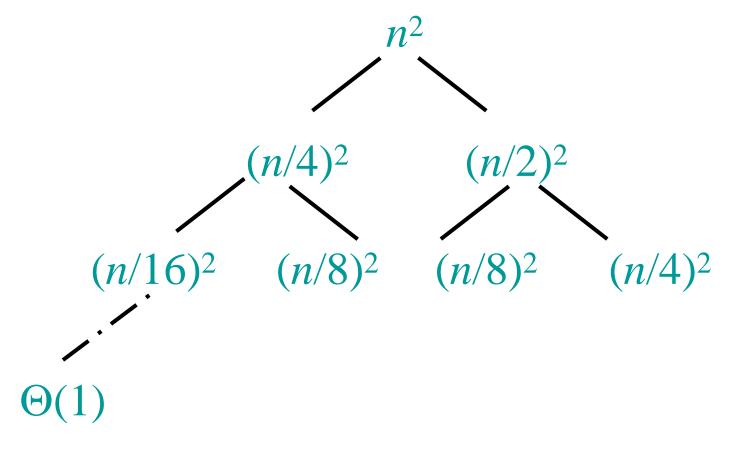
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:



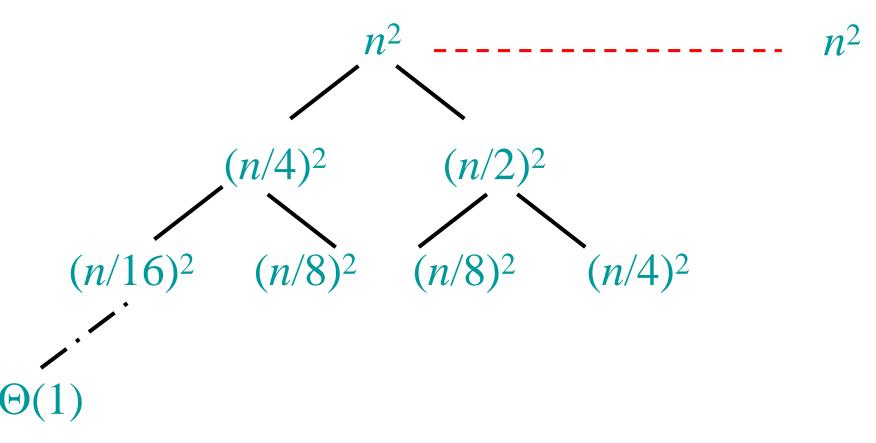
Solve 
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:



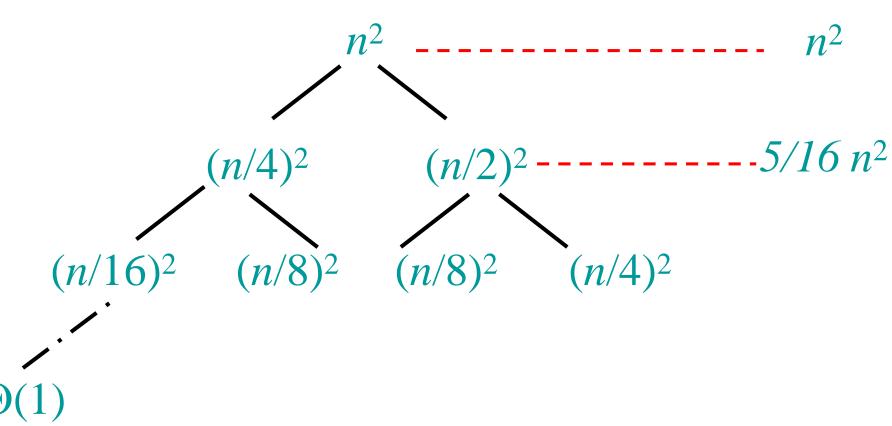
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$$T(n) = T(n/4) + T(n/2) + n^2$$
:



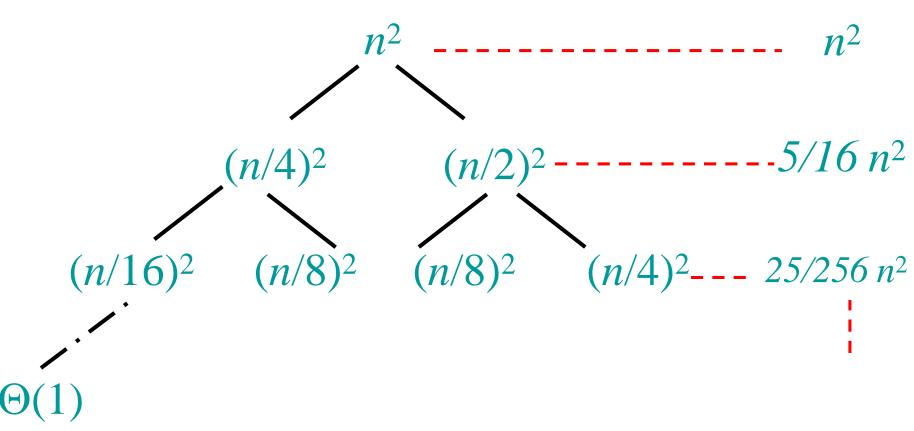
Solve 
$$T(n) = T(n/4) + T(n/2) + n^2$$
:



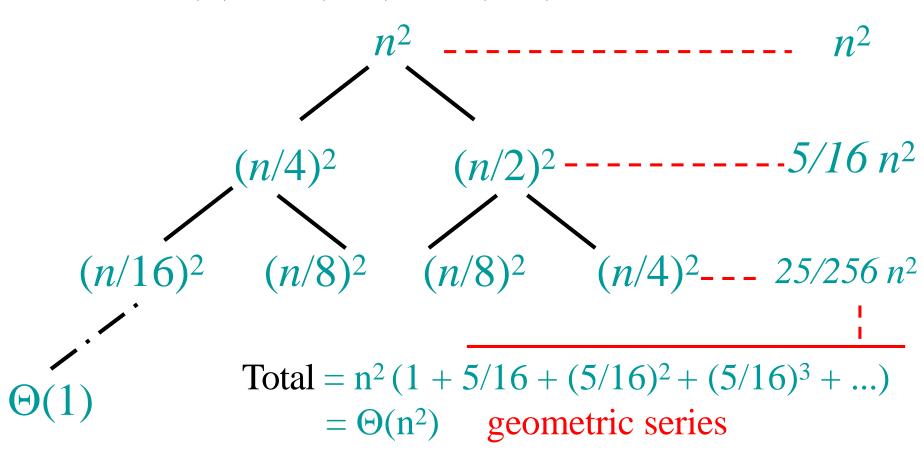
Solve 
$$T(n) = T(n/4) + T(n/2) + n^2$$
:



Solve 
$$T(n) = T(n/4) + T(n/2) + n^2$$
:



Solve 
$$T(n) = T(n/4) + T(n/2) + n^2$$
:



## Geometric Series Reminder

$$1 + x + x^2 + \dots = \frac{1}{1 - x}$$
 for  $|x| < 1$ 

$$1 + x + x^2 + \dots + x^n = \frac{1 - x^{n+1}}{1 - x}$$
 for  $x \ne 1$ 

#### The Master Method

 □ A powerful black-box method to solve recurrences (solving divide and conquer type problems).

□ The master method is utilized for algorithms that divides problem into a times n/b size pieces

$$T(n) = aT(n/b) + f(n)$$

where  $a \ge 1$ , b > 1, and f is asymptotically positive.

#### The Master Method

□ The cost of every step is calculated (e.g. dividing cost, merge cost of the pieces, etc.) and sum of these costs are shown as f(n)

□ Then the master method formula is used to have guess of the run time cost of the algorithm

#### Logaritma Nedir? Logaritma Formülleri Özellikleri

Logaritma Tanımı: a, b ∈ R<sup>+</sup> ve a≠1 olmak üzere a<sup>x</sup>= b denklemini sağlayan x sayısına log<sub>a</sub>b denir ve b'nin a tabanında logaritması diye okunur.

1) 
$$\log_{a}x = b$$
 ise  $x = a^{b}$   $\log_{2}8 = 3 \mid 8 = 2^{3}$ 

2) 
$$\log_a(A.B) = \log_a A + \log_a B$$
  $\log_2(4 * 8) = \log_2(32) = 5 = \log_2(4) + \log_2(8) = 2 + 3$ 

3) 
$$\log_a(A/B) = \log_a A - \log_a B$$
  $\log_2(16/4) = \log_2(4) = 2 = \log_2(16) - \log_2(4) = 4 - 2 = 2$ 

4) 
$$\log_a A^n = n \cdot \log_a A$$
  $\log_2 8^2 = \log_2 64 = 6 = 2 * \log_2 8 = 2 * 3 = 6$ 

5) 
$$\log_{a} A^n = \frac{n}{m} \log_a A \quad \log_2 B^2 = \log_8 64 = 2 = (2/3) * \log_2 B = 2/3 * 3 = 2$$

6) 
$$\log_{(a^n)} x = \frac{1}{n} . \log_{a^n} \log_{a^n} 8 = \log_{8} 8 = 1 = (1/3) * \log_{2} 8 = 1/3 * 3 = 1$$

7) 
$$\log_{ax}=(\log_{bx})/(\log_{ba})$$
 [taban değiştirme]  $\log_4 16=2=\log_2 16-\log_2 4=4-2=2$ 

8) 
$$a^{\log_2 x} = 2^{\log_2 8} = 2^3 = 8 = 8$$

9) 
$$\log_a \sqrt[n]{A} = \frac{1}{n} \log_a A$$
  $\log_2 \sqrt[3]{8} = \log_2 2 = 1 = \left(\frac{1}{3}\right) * \log_2 8 = \frac{1}{3} * 3 = 1$ 

**10)** 
$$\log_{1/a} x = -\log_a x$$

$$log_{1/2}8 = -log_28 = -3 \mid 8 = \left(\frac{1}{2}\right)^{-3}$$

11) 
$$\log_a b \cdot \log_b c \cdot \log_c d = \log_a d$$
  $\log_2 4 * \log_4 16 * \log_{16} 256 = 2 * 2 * 2 = 8 = \log_2 256$ 

#### The Master Method: 3 Cases

- □ Recurrence: T(n) = aT(n/b) + f(n)
- $\Box$  Compare f(n) with  $n^{\log_b a}$
- Intuitively:
- Case 1: f(n) grows polynomially slower than  $n^{\log_b a}$
- Case 2: f(n) grows at the same rate as  $n^{\log_b a}$
- Case 3: f(n) grows polynomially faster than  $n^{\log_b a}$

#### The Master Method: Case 1

□ Recurrence: T(n) = aT(n/b) + f(n)

Case 1: 
$$\frac{n^{\log_b a}}{f(n)} = \Omega(n^{\mathcal{E}}) \quad \text{for some constant } \varepsilon > 0$$

i.e., f(n) grows polynomialy slower than  $n^{\log_b a}$  (by an  $n^{\varepsilon}$  factor).

Solution: 
$$T(n) = \Theta(n^{\log_b a})$$

### The Master Method: Case 2 (simple version)

□ Recurrence: T(n) = aT(n/b) + f(n)

Case 2: 
$$\frac{f(n)}{n^{\log_b a}} = \Theta(1)$$

i.e., f(n) and  $n^{\log_b a}$  grow at similar rates

**Solution:** 
$$T(n) = \Theta(n^{\log_b a} \lg n)$$

#### The Master Method: Case 3

Case 3: 
$$\frac{f(n)}{n^{\log_b a}} = \Omega(n^{\mathcal{E}})$$

for some constant  $\varepsilon > 0$ 

i.e., f(n) grows polynomialy faster than  $n^{\log_b a}$  (by an  $n^{\epsilon}$  factor).

and the following regularity condition holds:

 $a f(n/b) \le c f(n)$  for some constant c < 1

Solution: 
$$T(n) = \Theta(f(n))$$

### Example: T(n) = 4T(n/2) + n

$$a = 4$$

$$b = 2$$

$$f(n) = n$$

$$n^{\log_b a} = n^2$$

f(n) grows <u>polynomially</u> slower than  $n^{\log_b a}$ 

$$\frac{n^{\log_b a}}{f(n)} = \frac{n^2}{n} = n = \Omega(n^{\mathcal{E}})$$
for  $\varepsilon = 1$ 



$$T(n) = \Theta(n^{\log_b a})$$

$$T(n) = \Theta(n^2)$$

## Example: $T(n) = 4T(n/2) + n^2$

$$a = 4$$

$$b=2$$

$$f(n) = n^2$$

$$n^{\log_b a} = n^2$$

f(n) grows at similar rate as  $n^{\log_b a}$ 

$$f(n) = \Theta(n^{\log_b a}) = n^2$$



$$T(n) = \Theta(n^{\log_b a} \lg n)$$

$$T(n) = \Theta(n^2 \lg n)$$

## Example: $T(n) = 4T(n/2) + n^3$

$$a=4$$

$$b=2$$

$$f(n) = n^3$$

$$n^{\log_b a} = n^2$$

f(n) grows <u>polynomially</u> faster than  $n^{\log_b a}$ 

$$\frac{f(n)}{n^{\log_b a}} = \frac{n^3}{n^2} = n = \Omega(n^{\mathcal{E}})$$
for  $\varepsilon = 1$ 

seems like CASE 3, but need to check the regularity condition

- Regularity condition:  $a f(n/b) \le c f(n)$  for some constant c < 1
- $4 (n/2)^3 \le cn^3 \text{ for } c = 1/2$

$$T(n) = \Theta(f(n)) \qquad T(n) = \Theta(n^3)$$

## Example: $T(n) = 4T(n/2) + n^2/lgn$

$$a = 4$$

$$b = 2$$

$$f(n) = n^2/lgn$$

$$n^{\log_b a} = n^2$$



but is it polynomially slower?

$$\frac{n^{\log_b a}}{f(n)} = \frac{n^2}{\frac{n^2}{\log n}} = \lg n \neq \Omega(n^{\mathcal{E}})$$

$$\frac{1}{\lg n} \qquad \text{for any } \epsilon > 0$$



Master method does not apply!

### The Master Method: Case 2 (general version)

□ Recurrence: T(n) = aT(n/b) + f(n)

Case 2: 
$$\frac{f(n)}{n^{\log_b a}} = \Theta(\lg^k n)$$
 for some constant  $k \ge 0$ 

Solution: 
$$T(n) = \Theta(n^{\log_b a} - \lg^{k+1} n)$$

## Example: $T(n) = 4T(n/2) + n^2/lgn$

$$a = 4$$
$$b = 2$$

$$f(n) = n^2/lgn$$

#### **Solution:**

$$\frac{\frac{n^2}{\log n}}{n^{\log_2 4}} = \frac{\frac{n^2}{\log n}}{n^2} = \frac{1}{\log n} = \log_n 2 = \log^{-1} n$$

$$T(n) = \Theta (n^{\log_2 4} \lg^{1+1} n)$$
$$= \Theta (n^2 \lg \lg n)$$

## General Method (Akra-Bazzi)

$$T(n) = \sum_{i=1}^{k} a_i T(n/b_i) + f(n)$$

Let *p* be the unique solution to

$$\sum_{i=1}^{k} (a_i / b^p_i) = 1$$

Then, the answers are the same as for the master method, but with  $n^p$  instead of  $n^{\log_b a}$  (Akra and Bazzi also prove an even more general result.)

f(n) is smaller than leaf sum.

## Case 1 Explained

$$f(n) < O(n^{\log_b a})$$

```
f(n/b) f(n/b)
                                                         -af(n/b)
h = \log_b n
      f(n/b^2) f(n/b^2) \cdots f(n/b^2)
                                                         a^{2}f(n/b^{2})
              The sums increase geometrically from
              the root to the leaves. The leaves hold
              the biggest part of the total sum.
```



f(n) is roughly equal to the leaf sum.

## Case 2 Explained

$$f(n) = O(n^{\log_b a})$$

```
\cdots f(n/b)
                f(n/b) f(n/b)
                                                       -af(n/b)
h = \log_b n
      f(n/b^2) f(n/b^2) \cdots f(n/b^2)
                                                       a^2 f(n/b^2)
                The sums are approximately the
                same on each of the levels
                (Θ(total of all sums)).
```

## $\Theta(n^{\log_b a} * \log n)$

## Case 3 Explained

a f(n/b) is getting smaller at lower levels (see def<sup>n</sup>)

 $f(n) > O(n^{\log_b a})$ 

```
f(n/b) f(n/b)
                                                         af(n/b)
h = \log_b n
      f(n/b^2) f(n/b^2) \cdots f(n/b^2)
                                                        a^2 f(n/b^2)
              The sums decrease geometrically from
              the root to the leaves. The root holds
              the biggest part of the total sum.
```



## Proof of Master Theorem: Case 1 and Case 2

• Recall from the recursion tree (note  $h = \lg_b n$ =tree height)

$$T(n) = \Theta(n^{\log_b a}) + \sum_{i=0}^{h-1} a^i f(n/b^i)$$
Leaf cost Non-leaf cost = g(n)

### Proof of Case 1

$$> \frac{n^{\log_b a}}{f(n)} = \Omega(n^{\varepsilon})$$
 for some  $\varepsilon > 0$ 

$$> \frac{n^{\log_b a}}{f(n)} = \Omega(n^{\varepsilon}) \Rightarrow \frac{f(n)}{n^{\log_b a}} = O(n^{-\varepsilon}) \Rightarrow f(n) = O(n^{\log_b a - \varepsilon})$$

$$g(n) = \sum_{i=0}^{h-1} a^{i} O((n/b^{i})^{\log_{b} a - \varepsilon}) = O(\sum_{i=0}^{h-1} a^{i} (n/b^{i})^{\log_{b} a - \varepsilon})$$

$$= O\left(n^{\log_b a - \varepsilon} \sum_{i=0}^{h-1} a^i b^{i\varepsilon} / b^{i\log_b a}\right)$$

## Case 1 (cont')

$$\sum_{i=0}^{h-1} \frac{a^i b^{i\varepsilon}}{b^{i\log_b a}} = \sum_{i=0}^{h-1} a^i \frac{(b^{\varepsilon})^i}{(b^{\log_b a})^i} = \sum_{i=0}^{h-1} a^i \frac{b^{\varepsilon i}}{a^i} = \sum_{i=0}^{h-1} (b^{\varepsilon})^i$$

= An increasing geometric series since b > 1

$$= \frac{b^{\varepsilon h} - 1}{b^{\varepsilon} - 1} = \frac{(b^{h})^{\varepsilon} - 1}{b^{\varepsilon} - 1} = \frac{(b^{\log_{b} n})^{\varepsilon} - 1}{b^{\varepsilon} - 1} = \frac{n^{\varepsilon} - 1}{b^{\varepsilon} - 1} = O(n^{\varepsilon})$$

## Case 1 (cont')

$$= g(n) = O\left(n^{\log_b a - \varepsilon}O(n^{\varepsilon})\right) = O\left(\frac{n^{\log_b a}}{n^{\varepsilon}}O(n^{\varepsilon})\right)$$

$$= O(n^{\log_b a})$$

$$-T(n) = \Theta(n^{\log_b a}) + g(n) = \Theta(n^{\log_b a}) + O(n^{\log_b a})$$
$$= \Theta(n^{\log_b a})$$

Q.E.D.

# Proof of Case 2 (limited to k=0)

$$\frac{f(n)}{n^{\log_{\theta} a}} = \Theta(\lg^0 n) = \Theta(1) \Rightarrow f(n) = \Theta(n^{\log_b a}) \Rightarrow f(n/b^i) = \Theta\left(\left(\frac{n}{b^i}\right)^{\log_{\theta} a}\right)$$

$$\therefore g(n) = \sum_{i=1}^n a^i \Theta\left(\left(n/b^i\right)^{\log_{\theta} a}\right)$$

$$= \Theta\left(\sum_{i=0}^{h-1} a^{i} \frac{n^{\log_{b} a}}{b^{i \log_{b} a}}\right) = \Theta\left(n^{\log_{b} a} \sum_{i=0}^{h-1} a^{i} \frac{1}{(b^{\log_{b} a})^{i}}\right) = \Theta\left(n^{\log_{b} a} \sum_{i=0}^{h-1} a^{i} \frac{1}{a^{i}}\right)$$

$$= \Theta\left(n^{\log_{b} a} \sum_{i=0}^{\log_{b} n-1} 1\right) = \Theta\left(n^{\log_{b} a} \log_{b} n\right) = \Theta\left(n^{\log_{b} a} \log_{b} n\right)$$

$$T(n) = n^{\log_b a} + \Theta(n^{\log_b a} \lg n)$$
$$= \Theta(n^{\log_b a} \lg n)$$

Q.E.D.