

# ANALYZING RECURSIVE ALGORITHMS

DISCRETE STRUCTURES II

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BASED ON THE TEXTBOOK:

DISCRETE STRUCTURES FOR COMPUTER SCIENCE: COUNTING,  
RECURSION, AND PROBABILITY

BY MICHIEL SMID

# Recursive Algorithms and Recurrences

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Analyzing **algorithms** uses a form of counting

- We are counting **significant operations**

We will analyze recursive algorithms and count steps using recurrences

- Recurrences are simply recursive functions

We will analyze the **Mergesort** algorithm by counting the number of **times we copy an element to a new location**.

To find a closed form we will use a new technique called **unfolding**.

# Recursive Algorithms and Recurrences

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The idea behind Mergesort is, again, to use the power of **recursion**.

We don't know how to sort a list, but...

We can sort a list in the base case...

How do you Sort a List of Length 1 or 0?



Luckily it comes presorted

So our base case is satisfied.

# Mergesort – Recursive Sorting

Now we want to sort a list of length  $n$  by assuming that a recursive call on a shorter list works.

In this case we divide the list in two:

```
sort(item, n):  
    if (n ≤ 1):  
        return item  
    else  
        left ← item[0 : n/2]  
        right ← item[n/2 : n]  
        sort(left, n/2)  
        sort(right, n/2)
```

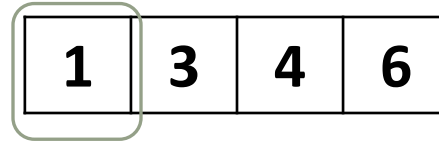
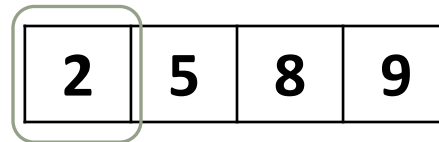
Now we have two sorted half-lists (by assumption).

We must turn these into one sorted list and then we have proven Mergesort works.

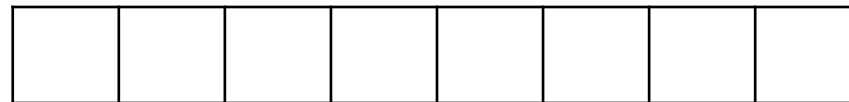
# Merging two sorted lists

**Assume** we have **Two Sorted Lists** (of lengths  $x$  and  $y$ )

**Could** we devise an **Algorithm** to **turn** them into a **Single Sorted List**?



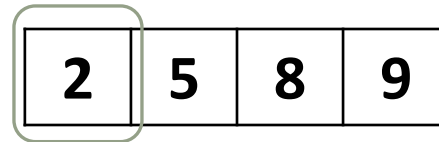
Compare the front  
elements of the lists



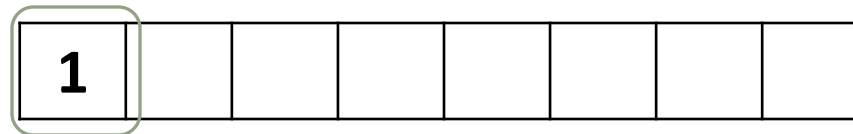
# Merging two sorted lists

**Assume** we have **Two Sorted Lists** (of lengths  $x$  and  $y$ )

**Could** we devise an **Algorithm** to **turn** them into a **Single Sorted List**?



1 is smallest, so copy it to the sorted list, and update the pointer



# Merging two sorted lists

**Assume** we have **Two Sorted Lists** (of lengths  $x$  and  $y$ )

**Could** we devise an **Algorithm** to **turn** them into a **Single Sorted List**?

2	5	8	9
---	---	---	---

1	3	4	6
---	---	---	---

Repeat the process!

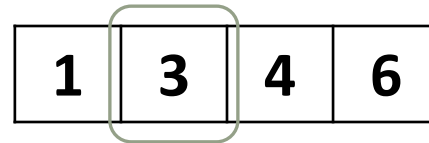
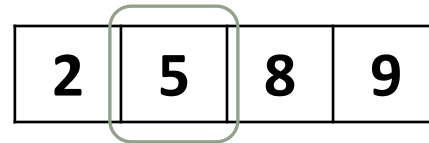
1							
---	--	--	--	--	--	--	--



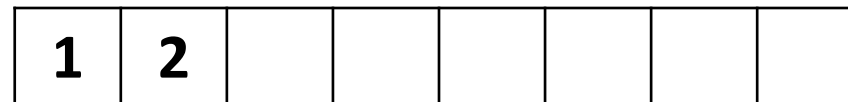
# Merging two sorted lists

**Assume** we have **Two Sorted Lists** (of lengths  $x$  and  $y$ )

**Could** we devise an **Algorithm** to **turn** them into a **Single Sorted List**?



$2 < 3$ , so append 2 and copy it  
from original list.



# Merging two sorted lists

**Assume** we have **Two Sorted Lists** (of lengths  $x$  and  $y$ )

**Could** we devise an **Algorithm** to **turn** them into a **Single Sorted List**?

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---	---	---	---

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---	---	---	---

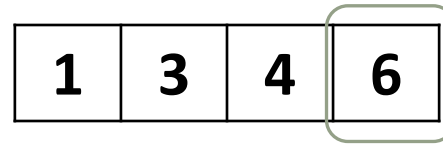
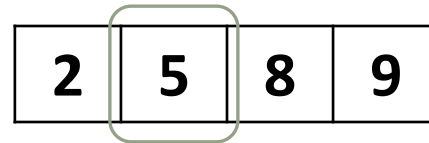
$3 < 5$ , so append 3 and copy it  
from original list.

1	2	3					
---	---	---	--	--	--	--	--

# Merging two sorted lists

**Assume** we have **Two Sorted Lists** (of lengths  $x$  and  $y$ )

**Could** we devise an **Algorithm** to **turn** them into a **Single Sorted List**?



Process continues...



# Merging two sorted lists

**Assume** we have **Two Sorted Lists** (of lengths  $x$  and  $y$ )

**Could** we devise an **Algorithm** to **turn** them into a **Single Sorted List**?

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---	---	---	---

1	3	4	6
---	---	---	---

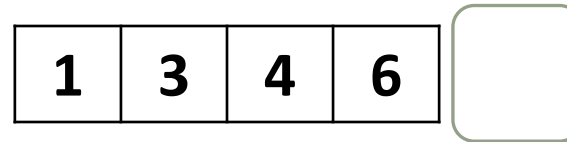
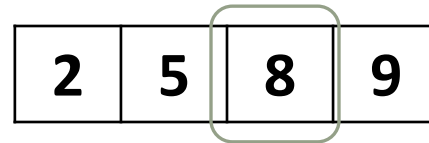
Process continues...

1	2	3	4	5			
---	---	---	---	---	--	--	--

# Merging two sorted lists

**Assume** we have **Two Sorted Lists** (of lengths  $x$  and  $y$ )

**Could** we devise an **Algorithm** to **turn** them into a **Single Sorted List**?



When one list is done,  
we can add the rest to  
the end at once.



# Merging two sorted lists

**Assume** we have **Two Sorted Lists** (of lengths  $x$  and  $y$ )

**Could** we devise an **Algorithm** to **turn** them into a **Single Sorted List**?

Final sorted result:

1	2	3	4	5	6	8	9
---	---	---	---	---	---	---	---

# Merging two sorted lists

**Assume** we have **Two Sorted Lists** (of lengths  $x$  and  $y$ )

**Could** we devise an **Algorithm** to **turn** them into a **Single Sorted List**?

Final sorted result:

1	2	3	4	5	6	8	9
---	---	---	---	---	---	---	---

We want to count the number of times an element is copied to a new location...

# Algorithm: Merge

```
merge(left, right):  
    j = 0, k = 0  
    for i ∈ [0, len(left) + len(right)]:  
        if left[j] < right[k]:  
            item[i] ← left[j] ; j++  
        else:  
            item[i] ← right[k] ; k++  
    return item
```

Notice the **for-loop** executes

$\text{len}(\text{left}) + \text{len}(\text{right})$

times.

Each iteration copies one element into another list.

Therefore there are  $n_1 + n_2$  copies made

(the sum of the lengths of both lists).



Now we have a complete idea for **Sorting**

Divide my problem in half until it is a manageable size.



*Sort(List, n):*

*Divide the List (of Length  $n$ )  
into Two Lists (of Length  $\lceil n/2 \rceil$  and  $\lfloor n/2 \rfloor$  respectively)  
Sort the Sublists*

*Merge them into a Single Sorted List*

**Divide and Conquer /  
Recursive Approach**

*Sort works on a shorter list by Assumption*

# Merge Sort Demo

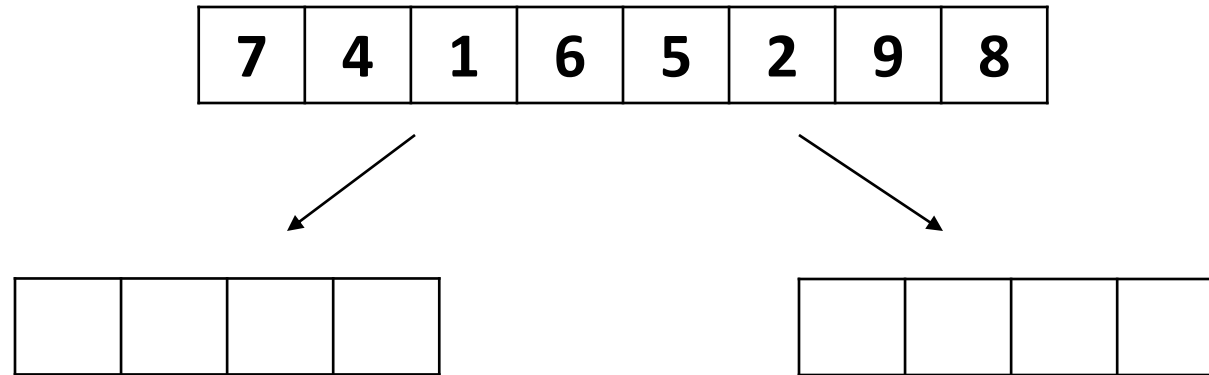
7	4	1	6	5	2	9	8
---	---	---	---	---	---	---	---

# Merge Sort Demo

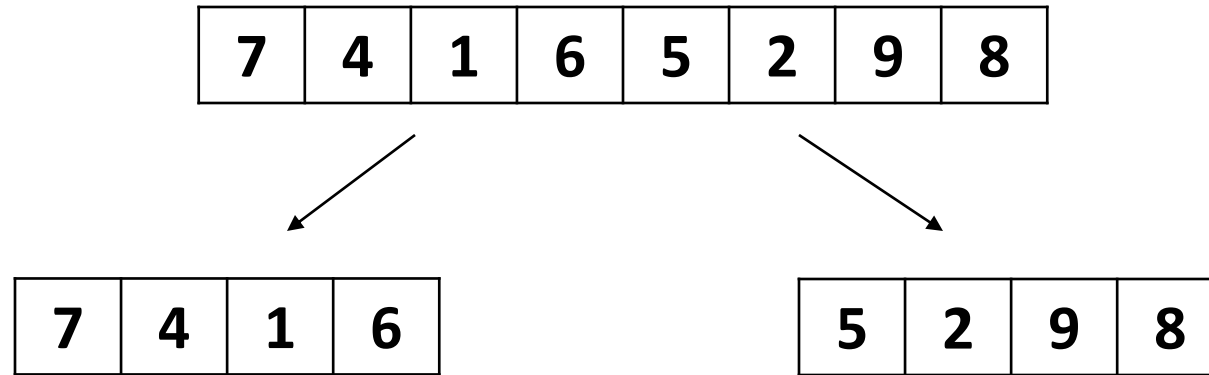
7	4	1	6	5	2	9	8
---	---	---	---	---	---	---	---

We cut our list in two at  
each step!

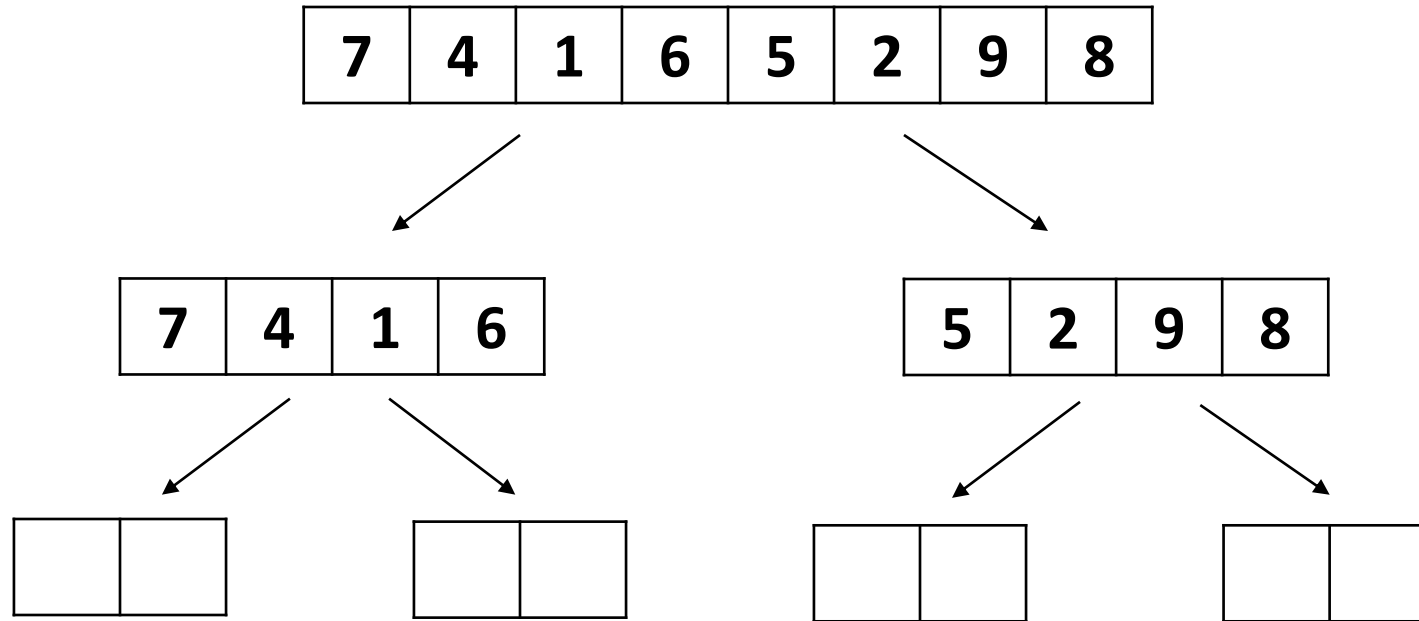
# Merge Sort Demo



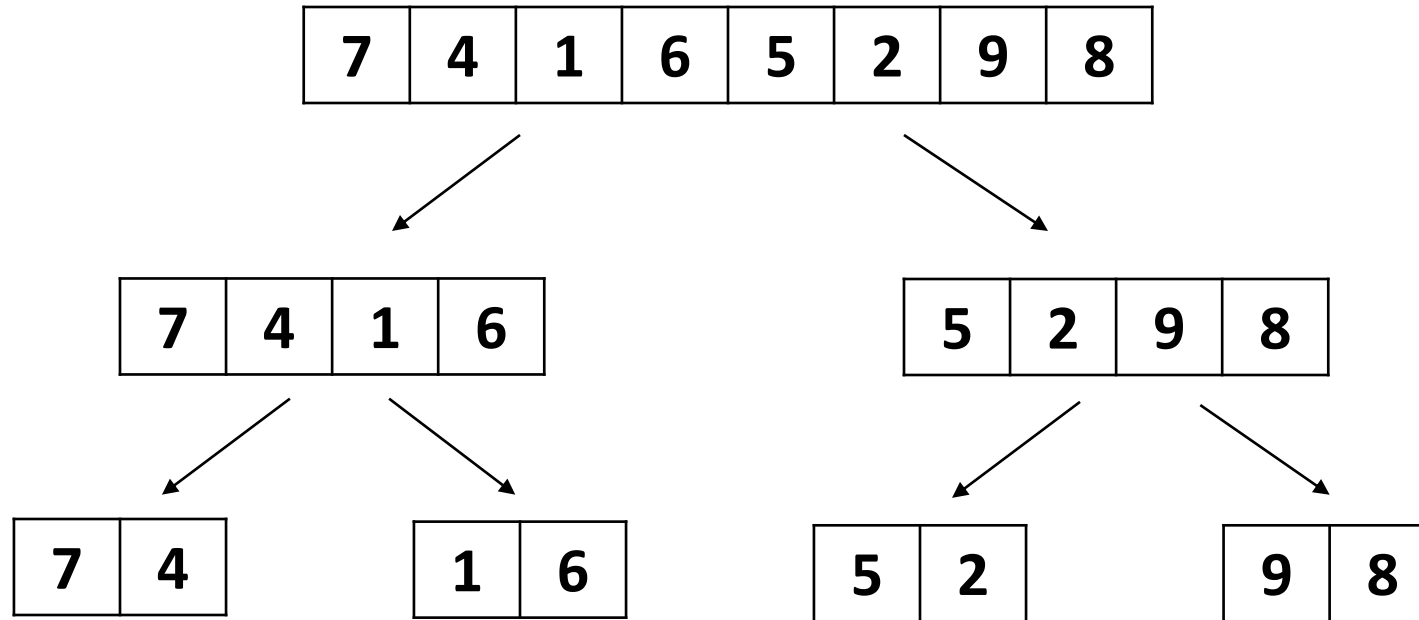
# Merge Sort Demo



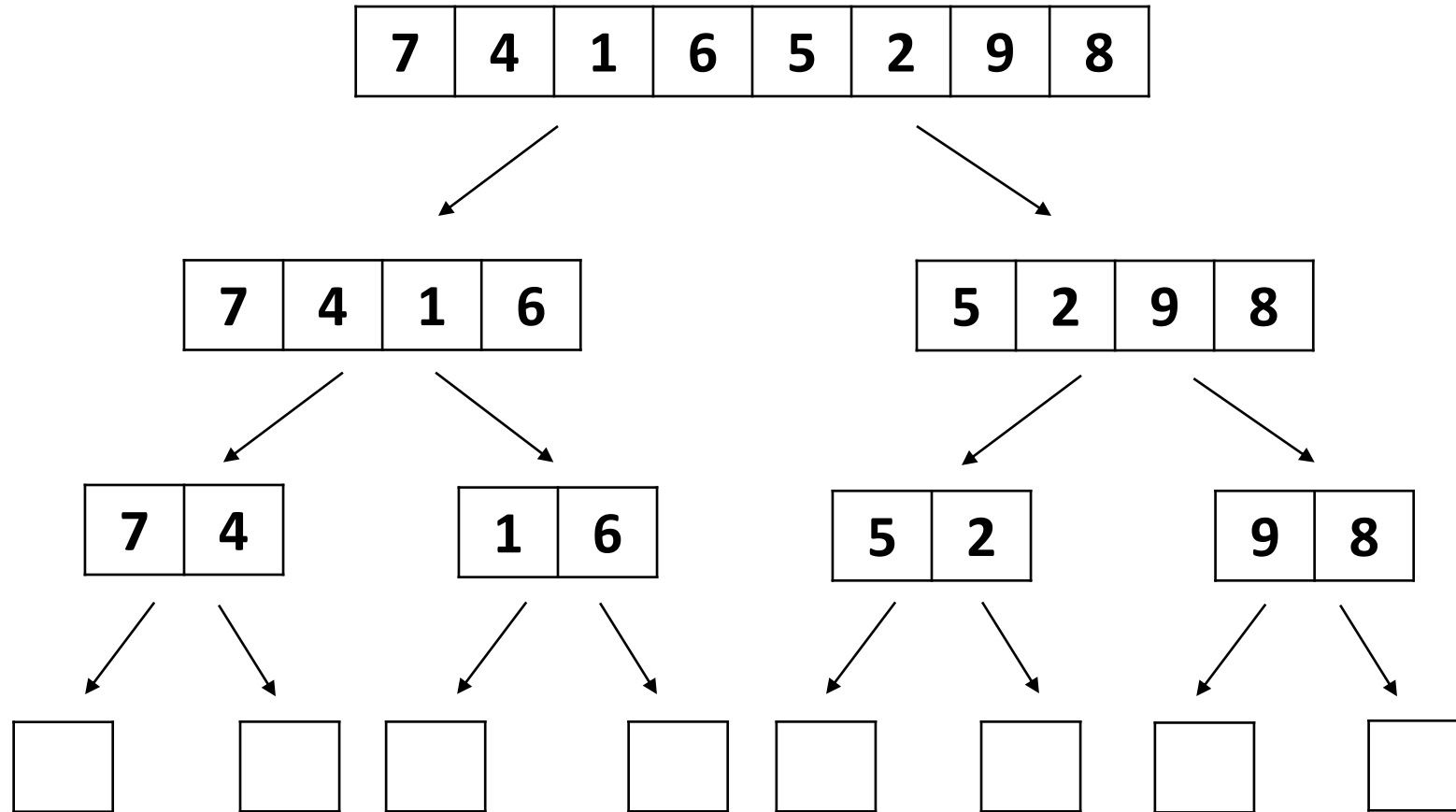
# Merge Sort Demo



# Merge Sort Demo



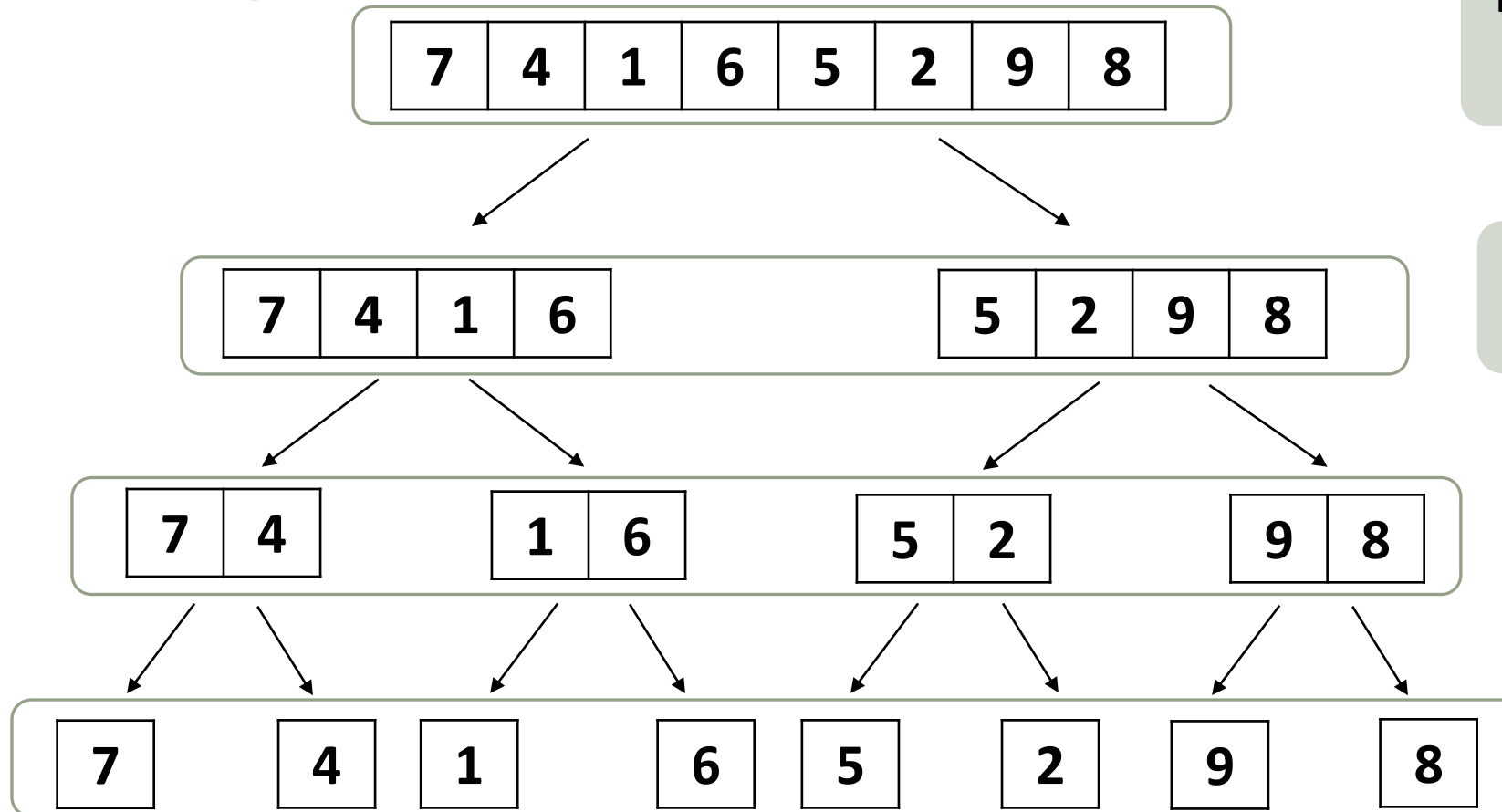
# Merge Sort Demo





# Merge Sort Demo

How many times do we copy an element? Start with a list of length **N**



**N** copies are made in total at level 1 (into level 2)

**N** copies are made in total at level 2

**N** copies are made in total at level 3

Nothing is copied at level 4

# Merge Sort Demo

Now the merging...

7

4

1

6

5

2

9

8

# Merge Sort Demo

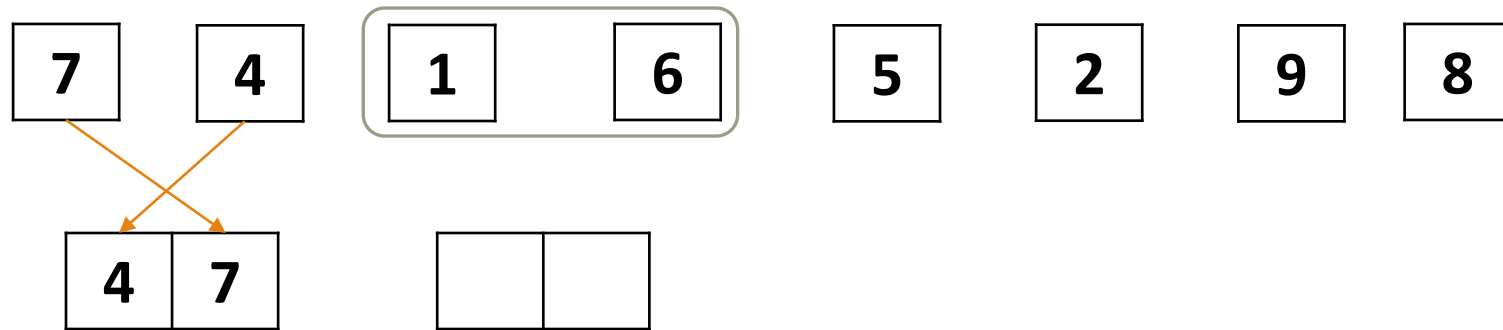


We employ the same  
merging technique we  
saw earlier

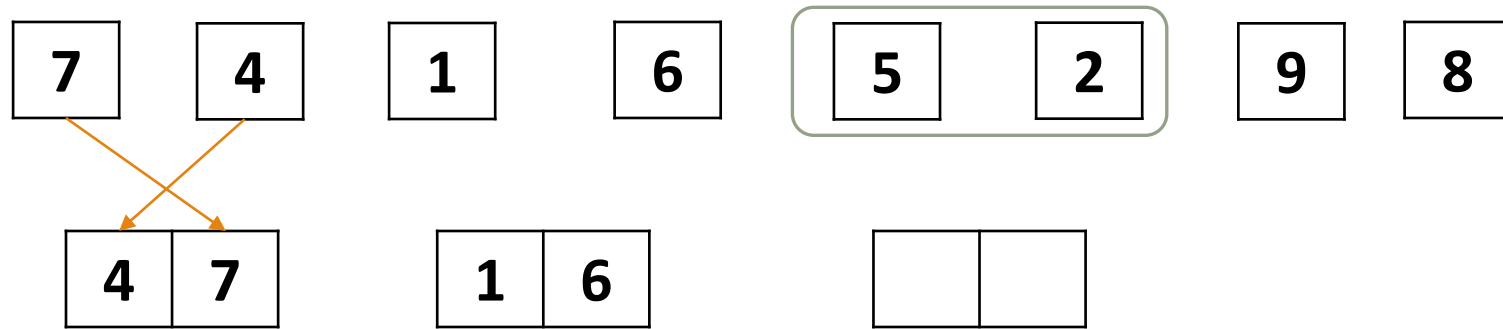
# Merge Sort Demo



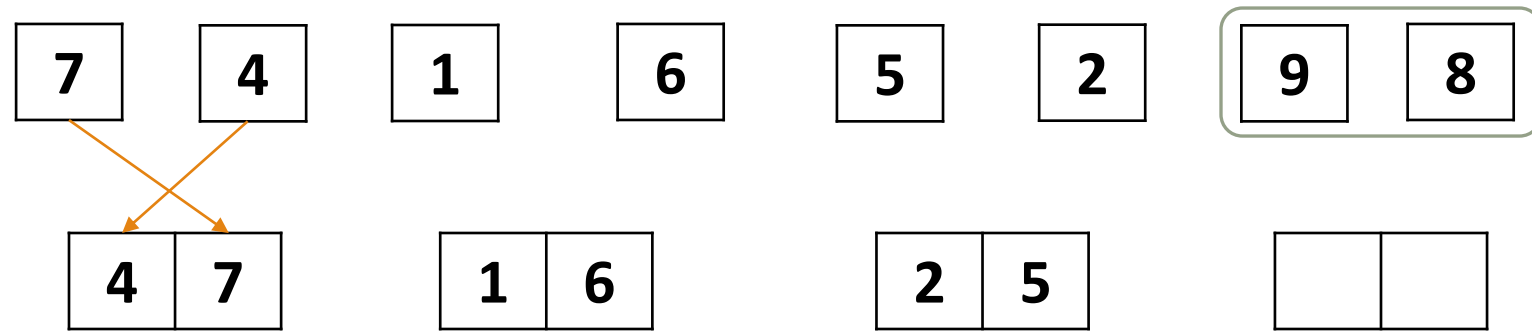
# Merge Sort Demo



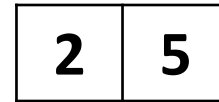
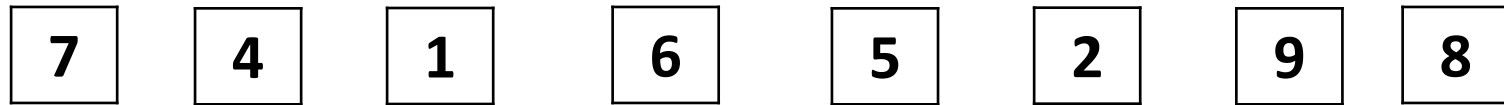
# Merge Sort Demo



# Merge Sort Demo

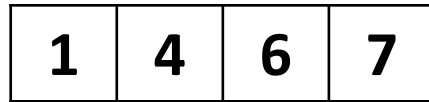
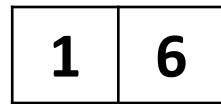
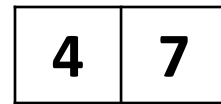
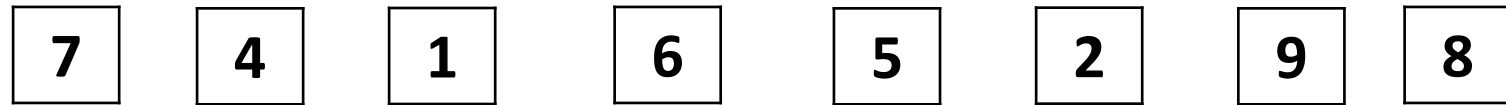


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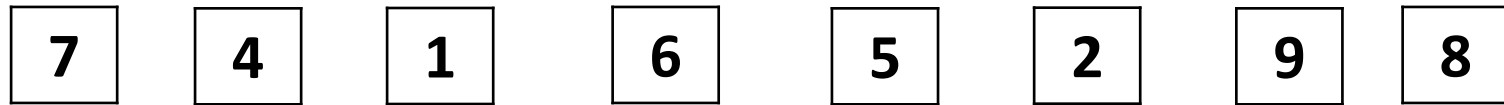




# Merge Sort Demo



# Merge Sort Demo



# Merge Sort Demo

7	4	1	6	5	2	9	8
---	---	---	---	---	---	---	---

4	7	1	6	2	5	8	9
---	---	---	---	---	---	---	---

1	4	6	7	2	5	8	9
---	---	---	---	---	---	---	---

1	2	4	5	6	7	8	9
---	---	---	---	---	---	---	---

Final sorted result:

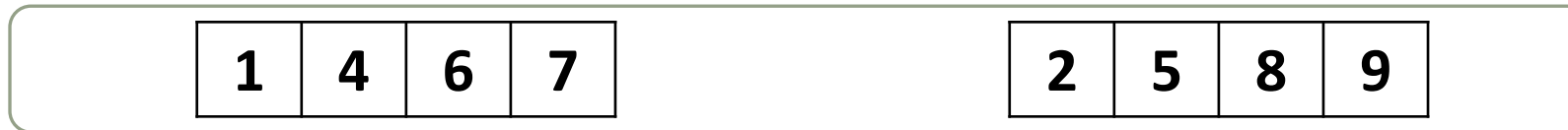
# Merge Sort: Efficiency



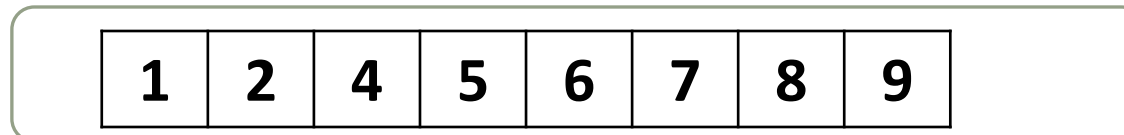
Nothing happens  
at level 4



**N** copies are  
made in total at  
level 3 (to merge  
the lists returned  
from level 4)



**N** copies are made  
in total at level 2



**N** copies are  
made in total  
at level 1

*If the Unsorted List is of Length 1, Return*

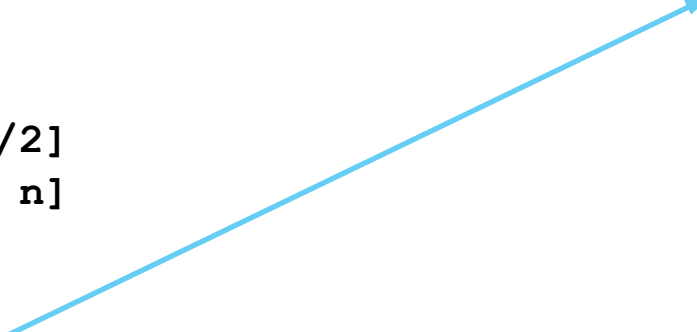
*Otherwise, Divide the list in Half (approximately) into Two Sublists*

*Recursively Call Mergesort on Each Sublist*

*Merge the Return Values*

```
sort(item, n):  
    if (n ≤ 1):  
        return item  
    else  
        left ← item[0 : n/2]  
        right ← item[n/2 : n]  
        sort(left, n/2)  
        sort(right, n/2)  
        merge(left, right)
```

```
merge(left, right):  
    j = 0, k = 0  
    for i ∈ [0, len(left)+len(right)):  
        if left[j] < right[k]:  
            item[i] ← left[j] ; j++  
        else:  
            item[i] ← right[k] ; k++  
    return item
```



# Analyzing Sort

for an array of Length  $n$

(to simplify assume  $n = 2^m$  for  $m \in \mathbb{Z}^+$ )

```
sort(item, n):  
    if (n ≤ 1):  
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        right ← item[n/2 : n]  
        sort(left, n/2)  
        sort(right, n/2)  
        merge(left, right)
```

$n/2$  copies

$n/2$  copies

$n/2 + n/2$   
=  $n$  copies total

For a call to sort on a  
list of  $n$  items.

Then we call *merge*


# Analyzing Merge

for an array of Length  $n$

*(to simplify assume  $n = 2^m$  for  $m \in \mathbb{Z}^+$ )*

```
merge(left, right):  
    j = 0, k = 0  
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            item[i] ← left[j] ; j++  
        else:  
            item[i] ← right[k] ; k++  
    return item
```

$n/2 + n/2$



Each iteration makes  
1 copy

$n/2 + n/2$   
=  $n$  copies total

For a call to merge on  
2 lists of  $n/2$  items  
each.

# Analyzing MergeSort

```
sort(item, n):  
    if (n ≤ 1):  
        return item  
    else  
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        sort(left, n/2)  
        sort(right, n/2)  
        merge(left, right)
```

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merge(left, right):  
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        else:  
            item[i] ← right[k] ; k++  
    return item
```

Let  $T(n)$  be the number of copy operations for a call to MergeSort

A call to *Sort* will Split an Array of Length  $n$  in two :  $n$  copies

A call to *Merge* will Merge Two Arrays of Length  $n/2$  :  $n$  copies

Two recursive calls to *Sort* arrays of Length  $n/2$  :  $T(n/2) + T(n/2)$

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



# Analyzing Mergesort Performance

let  $T(n)$  be the **Number of Copies Made** to **Sort** array of **Length**  $n$

```
sort(item, n):  
    if (n ≤ 1):  
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    return item
```

$$\begin{aligned}T(n) &= T(n/2) + T(n/2) + 2n \\ &= 2(T(n/2)) + 2n\end{aligned}$$

Analyze using  
**Unfolding**

# Analyzing Mergesort Performance

let  $T(n)$  be the Number of Copies Made to Sort array of Length  $n$

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$$\begin{aligned}T(n) &= T(n/2) + T(n/2) + 2n \\ &= 2(T(n/2)) + 2n\end{aligned}$$

Analyze using  
**Unfolding**

$$\begin{aligned}T(n/2) &= T(n/4) + T(n/4) + 2(n/2) \\ &= 2(T(n/4)) + 2(n/2)\end{aligned}$$

# Analyzing Mergesort Performance

let  $T(n)$  be the **Number of Copies Made** to **Sort** array of **Length**  $n$

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```

$$\begin{aligned}T(n) &= T(n/2) + T(n/2) + 2n \\&= 2(T(n/2)) + 2n \\&= 2(2(T(n/4)) + 2(n/2)) + 2n\end{aligned}$$

Analyze using  
**Unfolding**

$$\begin{aligned}T(n/2) &= T(n/4) + T(n/4) + 2(n/2) \\&= 2(T(n/4)) + 2(n/2)\end{aligned}$$

# Analyzing Mergesort Performance

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    else  
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        right ← item[n/2 : n]  
        sort(left, n/2)  
        sort(right, n/2)  
        merge(left, right)
```

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merge(left, right):  
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```

$$\begin{aligned}T(n) &= T(n/2) + T(n/2) + 2n \\&= 2(T(n/2)) + 2n \\&= 2(2(T(n/4)) + 2(n/2)) + 2n \\&= 2*2(T(n/4)) + 2n + 2n\end{aligned}$$

Analyze using  
**Unfolding**

$$\begin{aligned}T(n/2) &= T(n/4) + T(n/4) + 2(n/2) \\&= 2(T(n/4)) + 2(n/2)\end{aligned}$$

# Analyzing Mergesort Performance

let  $T(n)$  be the Number of Copies Made to Sort array of Length  $n$

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    return item
```

$$\begin{aligned}T(n) &= T(n/2) + T(n/2) + 2n \\&= 2(T(n/2)) + 2n \\&= 2(2(T(n/4)) + 2(n/2)) + 2n \\&= 2*2(T(n/4)) + 2n + 2n\end{aligned}$$

Analyze using  
**Unfolding**

$$\begin{aligned}T(n/4) &= T(n/8) + T(n/8) + 2(n/4) \\&= 2(T(n/8)) + 2(n/4)\end{aligned}$$

# Analyzing Mergesort Performance

let  $T(n)$  be the **Number of Copies Made** to **Sort** array of **Length**  $n$

```
sort(item, n):  
    if (n ≤ 1):  
        return item  
    else  
        left ← item[0 : n/2]  
        right ← item[n/2 : n]  
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        sort(right, n/2)  
        merge(left, right)
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        else:  
            item[i] ← right[k] ; k++  
    return item
```

$$\begin{aligned}T(n) &= T(n/2) + T(n/2) + 2n \\&= 2(T(n/2)) + 2n \\&= 2(2(T(n/4)) + 2(n/2)) + 2n \\&= 2*2(T(n/4)) + 2n + 2n \\&= 2*2(2(T(n/8)) + 2(n/4)) + 2n + 2n\end{aligned}$$

Analyze using  
**Unfolding**

$$\begin{aligned}T(n/4) &= T(n/8) + T(n/8) + 2(n/4) \\&= 2(T(n/8)) + 2(n/4)\end{aligned}$$

# Analyzing Mergesort Performance

let  $T(n)$  be the **Number of Copies Made** to **Sort** array of **Length**  $n$

```
sort(item, n):  
    if (n ≤ 1):  
        return item  
    else  
        left ← item[0 : n/2]  
        right ← item[n/2 : n]  
        sort(left, n/2)  
        sort(right, n/2)  
        merge(left, right)
```

```
merge(left, right):  
    j = 0, k = 0  
    for i ∈ [0, len(left)+len(right)):  
        if left[j] < right[k]:  
            item[i] ← left[j] ; j++  
        else:  
            item[i] ← right[k] ; k++  
    return item
```

$$\begin{aligned}T(n) &= T(n/2) + T(n/2) + 2n \\&= 2(T(n/2)) + 2n \\&= 2(2(T(n/4)) + 2(n/2)) + 2n \\&= 2*2(T(n/4)) + 2n + 2n \\&= 2*2(2(T(n/8)) + 2(n/4)) + 2n + 2n \\&= 2*2*2(T(n/8)) + 2n + 2n + 2n\end{aligned}$$

*...after k steps...*

$$= 2^k(T(n/2^k)) + 2nk$$

Analyze using  
**Unfolding**

# Analyzing Mergesort Performance

let  $T(n)$  be the **Number of Copies Made** to **Sort** array of **Length**  $n$

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        if left[j] < right[k]:  
            item[i] ← left[j] ; j++  
        else:  
            item[i] ← right[k] ; k++  
    return item
```

$$T(n) = 2^k (T(n/2^k)) + 2nk$$

*This is the pattern we have unfolded*

...**How Many Steps** ( $k$ ) **Until** we **Evaluate**  $T(1)$ ?

$T(1)$  occurs when  $n = 2^k$

$$= 2^k (T(n/2^k)) + 2nk$$

$$= n(T(1)) + 2nk$$

$$= n(T(1)) + 2n(\log_2(n))$$

$$= 2n(\log_2(n))$$

$$n = 2^k$$

← Take the log of both sides

$$\log_2 n = k$$



# Proving the Closed Form

let  $T(n)$  be the **Number of Copies Made** to **Sort** array of **Length**  $n$

$$T(1) = 0$$

Base case

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

Recursive case

$$T(n) = 2n(\log_2(n))$$

*This is our guess for a closed form.*

**Base Case  $T(1)$ :**

$$T(n) = 2n(\log_2(n))$$

$$\begin{aligned} T(1) &= 2 \cdot 1 \cdot (\log_2(1)) \\ &= 0 \end{aligned}$$

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**Base Case  $T(1)$ :**

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Base case holds

# Proving the Closed Form

let  $T(n)$  be the **Number of Copies Made** to **Sort** array of **Length**  $n$

$$T(1) = 0$$

Base case

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

Recursive case

$$T(n) = 2n(\log_2(n))$$

*This is our guess for a closed form.*

**Inductive Hypothesis:** Assume that  $T(n/2) = 2(n/2)(\log_2(n/2))$

$$\begin{aligned} T(n) &= 2 \cdot T(n/2) + 2n \\ &= 2 \cdot 2(n/2)(\log_2(n/2)) + 2n \\ &= 2 \cdot n(\log_2 n - \log_2 2) + 2n \\ &= 2 \cdot n(\log_2 n - 1) + 2n \\ &= 2 \cdot n \cdot \log_2 n - 2n + 2n \\ &= 2 \cdot n \cdot \log_2 n \end{aligned}$$

Thus

$$T(n) = n(\log_2(n))$$

by induction

# Analyzing Mergesort Performance

let  $T(n)$  be the **Number of Copies Made** to **Sort** array of **Length**  $n$

$$T(1) = 0$$

Base case

$$T(n) = T(\lfloor n/2 \rfloor) + T(\lceil n/2 \rceil) + 2n$$

Recursive case

**However, that is for  $n = 2^m$ .** The actual recurrence looks like above.

**Inductive Hypothesis:** **Assume that**  $T(k) \leq 2(k)(\log_2(k))$  for  $k < n$

If  $\lfloor n/2 \rfloor = n/2$  then we have the same recurrence as before.

Thus assume that

$$\lfloor n/2 \rfloor = n^{-1}/2 \quad \text{and} \quad \lceil n/2 \rceil = n^{+1}/2$$

**Base Case:**  $T(0) = 0$  and  $T(1) = 0$

# Analyzing Mergesort Performance

let  $T(n)$  be the **Number of Copies Made** to **Sort** array of **Length**  $n$

$$T(1) = 0$$

Base case

$$T(n) = T(\lfloor n/2 \rfloor) + T(\lceil n/2 \rceil) + 2n$$

Recursive case

**Inductive Hypothesis:** **Assume that**  $T(k) \leq 2(k)(\log_2(k))$  for  $k < n$

$$\begin{aligned} T(n) &= T(n-1/2) + T(n+1/2) + 2n \\ &= 2(n-1/2)(\log_2(n-1/2)) + 2(n+1/2)(\log_2(n+1/2)) + 2n \\ &= (n-1)(\log_2(n-1/2)) + (n+1)(\log_2(n+1/2)) + 2n \\ &= (n-1)(\log_2(n-1) - 1) + (n+1)(\log_2(n+1) - 1) + 2n \\ &= (n-1)(\log_2(n-1)) + (n+1)(\log_2(n+1)) \\ &\leq (n-1 + n+1)\log_2 n \\ &\leq 2 \cdot n \cdot \log_2 n \end{aligned}$$

Kronk

# Binary Search

---

## Binary Search Algorithm:

### Check the middle item

- If item is what we're looking for:
  - Then Done
- Elif item is  $>$  what we're looking for:
  - Search the left half
- Elif item is  $<$  what we're looking for:
  - Search the right half

# Binary Search

---

1	2	4	6	7	10	14	16	17	21	22	34	41
---	---	---	---	---	----	----	----	----	----	----	----	----

Our list is **sorted**.

**Searching for: 17**

# Binary Search

---

1	2	4	6	7	10	14	16	17	21	22	34	41
---	---	---	---	---	----	----	----	----	----	----	----	----

We test the **midpoint** first!

**Searching for: 17**



# Binary Search

---

1	2	4	6	7	10	14	16	17	21	22	34	41
---	---	---	---	---	----	----	----	----	----	----	----	----

17 is **greater than** 14, so, if it is in the list at all, it **must** be in the second half.

**Searching for: 17**

# Binary Search

---

1	2	4	6	7	10	14	16	17	21	22	34	41
---	---	---	---	---	----	----	----	----	----	----	----	----

The first half is **eliminated**. We repeat, testing the midpoint of the remainder.

**Searching for: 17**

# Binary Search

---

1	2	4	6	7	10	14	16	17	21	22	34	41
---	---	---	---	---	----	----	----	----	----	----	----	----

17 is **less than** 22, so, if it is in the list at all,  
it **must** be in the first half of this sublist.

**Searching for: 17**

# Binary Search

---



We check the midpoint again, and find  
it is equal to 17.

**17 found** at index 8, after just *three* comparisons.  
(Would be nine for linear search)

# Binary Search

```
BinarySearch(item, L, start, end):  
    mid = (start + end) / 2 ;  
    temp = L[mid] ;  
    if item == temp: return true;  
    if start == end: return false;  
    else if item < temp:  
        BinarySearch(item, L, start, mid - 1)  
    else:  
        BinarySearch(item, L, mid + 1, end)
```

Analysis: count memory accesses

$$T(1) = 1, n = 1$$

$$T(n) \leq 1 + T\left(\frac{n}{2}\right), n > 1$$

Using unfolding to find a pattern:

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

$$\leq 1 + 1 + T\left(\frac{n}{4}\right)$$

$$\leq 1 + 1 + 1 + T\left(\frac{n}{2^3}\right)$$

# Binary Search

```
BinarySearch(item, L, start, end):  
    mid = (start + end) / 2 ;  
    temp = L[mid] ;  
    if item == temp: return true;  
    if start == end: return false;  
    else if item < temp:  
        BinarySearch(item, L, start, mid - 1)  
    else:  
        BinarySearch(item, L, mid + 1, end)
```

$$T(n) \leq k + T\left(\frac{n}{2^k}\right) \\ \leq k + T(1) = k + 1$$

$$2^k = n$$

$$k = \log n$$

$$\therefore T(n) \leq \log n + 1$$

This is our guess. We must prove using induction.

# Binary Search

```
BinarySearch(item, L, start, end):  
    mid = (start + end) / 2 ;  
    temp = L[mid] ;  
    if item == temp: return true;  
    if start == end: return false;  
    else if item < temp:  
        BinarySearch(item, L, start, mid - 1)  
    else:  
        BinarySearch(item, L, mid + 1, end)
```

What we know:  $T() = 1$   
 $T(n) \leq 1 + T(\frac{n}{2})$

To show:  $T(n) \leq 1 + \log n$

Base case:  $T(1) \leq 1 + \log 1$   
 $= 1$

# Binary Search

```
BinarySearch(item, L, start, end):  
    mid = (start + end) / 2 ;  
    temp = L[mid] ;  
    if item == temp: return true;  
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```

What we know:  $T() = 1$   
 $T(n) \leq 1 + T(\frac{n}{2})$

To show:  $T(n) \leq 1 + \log n$

Inductive Hypothesis:  
 $T(\frac{n}{2}) \leq 1 + \log(\frac{n}{2})$

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

$$\leq 1 + 1 + \log \frac{n}{2}$$

$$\leq 1 + 1 + \log n - \log 2$$

$$\leq 1 + \log n$$



Things to know about recursion:

1. How to prove a closed form of a recursive function using induction.
2. How to map a problem to the Fibonacci Sequence (also, the Fibonacci sequence).
3. How to analyze a recursive algorithm (by finding a recursive function)
4. Using unfolding on a recurrence to find a closed form.