Merge Sort Solving Recurrences The Master Theorem

Review: Asymptotic Notation

- Upper Bound Notation:
 - □ f(n) is O(g(n)) if there exist positive constants c and n_0 such that f(n) ≤ $c \cdot g(n)$ for all n ≥ n_0
 - □ Formally, $O(g(n)) = \{ f(n) : \exists positive constants c and <math>n_0$ such that $f(n) \le c \cdot g(n) \forall n \ge n_0$
- □ Big O fact:
 - \square A polynomial of degree k is $O(n^k)$

Review: Asymptotic Notation

- □ Asymptotic lower bound:
 - □ f(n) is $\Omega(g(n))$ if \exists positive constants c and n_0 such that $0 \le c \cdot g(n) \le f(n) \ \forall \ n \ge n_0$
- Asymptotic tight bound:
 - □ f(n) is $\Theta(g(n))$ if \exists positive constants c_1 , c_2 , and n_0 such that c_1 g(n) \leq f(n) \leq c_2 g(n) \forall n \geq n_0
 - □ $f(n) = \Theta(g(n))$ if and only if f(n) = O(g(n)) AND $f(n) = \Omega(g(n))$

Other Asymptotic Notations

- □ A function f(n) is o(g(n)) if \exists positive constants c and n_0 such that $f(n) < c g(n) \forall n \ge n_0$
- □ A function f(n) is $\omega(g(n))$ if \exists positive constants c and n_0 such that $c g(n) < f(n) \forall n \ge n_0$
- □ Intuitively,
 - □ o() is like <

- \square ω () is like >
- \square Θ () is like =

- □ O() is like ≤
- Ω () is like \geq

Merge Sort

```
MergeSort(A, left, right) {
  if (left < right) {</pre>
      mid = floor((left + right) / 2);
      MergeSort(A, left, mid);
      MergeSort(A, mid+1, right);
      Merge(A, left, mid, right);
// Merge() takes two sorted subarrays of A and
// merges them into a single sorted subarray of A
      (how long should this take?)
```

Merge Sort: Example

□ Show MergeSort() running on the array

```
A = \{10, 5, 7, 6, 1, 4, 8, 3, 2, 9\};
```

Analysis of Merge Sort

```
Statement
                                                 Effort
                                                   T(n)
MergeSort(A, left, right) {
   if (left < right) {</pre>
                                                   \Theta(1)
       mid = floor((left + right) / 2);
                                                       \Theta(1)
       MergeSort(A, left, mid);
                                                       T(n/2)
       MergeSort(A, mid+1, right);
                                                       T(n/2)
       Merge(A, left, mid, right);
                                                       \Theta (n)
\square So T(n) = \Theta(1) when n = 1, and
                2T(n/2) + \Theta(n) when n > 1
\square So what (more succinctly) is T(n)?
```

Recurrences

□ The expression:

$$T(n) = \begin{cases} c & n = 1 \\ 2T\left(\frac{n}{2}\right) + cn & n > 1 \end{cases}$$

is a recurrence.

 Recurrence: an equation that describes a function in terms of its value on smaller functions

Recurrence Examples

$$s(n) = \begin{cases} 0 & n = 0 \\ c + s(n-1) & n > 0 \end{cases} \qquad s(n) = \begin{cases} 0 & n = 0 \\ n + s(n-1) & n > 0 \end{cases}$$

$$s(n) = \begin{cases} 0 & n = 0\\ n + s(n-1) & n > 0 \end{cases}$$

$$T(n) = \begin{cases} c & n = 1 \\ 2T\left(\frac{n}{2}\right) + c & n > 1 \end{cases}$$

$$T(n) = \begin{cases} c & n = 1 \\ 2T\left(\frac{n}{2}\right) + c & n > 1 \end{cases}$$

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

- Substitution method
- Iteration method
- Master method

- □ The substitution method
 - □ A.k.a. the "making a good guess method"
 - Guess the form of the answer, then use induction to find the constants and show that solution works
 - Examples:

```
 \Box T(n) = 2T(n/2) + \Theta(n) \Box T(n) = \Theta(n \lg n)
```

$$\square T(n) = 2T(\lfloor n/2 \rfloor) + n \square ???$$

- □ The substitution method
- □ A.k.a. the "making a good guess method"
 - Guess the form of the answer, then use induction to find the constants and show that solution works
 - Examples:

```
 T(n) = 2T(n/2) + \Theta(n) \rightarrow T(n) = \Theta(n \lg n)
```

$$T(n) = 2T(\lfloor n/2 \rfloor) + n \rightarrow T(n) = \Theta(n \lg n)$$

$$T(n) = 2T(\lfloor n/2 \rfloor) + 17) + n \rightarrow ???$$

- □ The substitution method
- □ A.k.a. the "making a good guess method"
 - Guess the form of the answer, then use induction to find the constants and show that solution works
 - Examples:

$$T(n) = 2T(n/2) + \Theta(n) \rightarrow T(n) = \Theta(n \lg n)$$

$$T(n) = 2T(\lfloor n/2 \rfloor) + n \rightarrow T(n) = \Theta(n \lg n)$$

$$T(n) = 2T(\lfloor n/2 \rfloor + 17) + n \rightarrow \Theta(n \lg n)$$

- Another option is what the book calls the "iteration method"
 - Expand the recurrence
 - Work some algebra to express as a summation
 - Evaluate the summation
- We will show several examples

$$s(n) = \begin{cases} 0 & n = 0 \\ c + s(n-1) & n > 0 \end{cases}$$

$$c + c + s(n-1)$$

$$c + c + s(n-2)$$

$$2c + s(n-2)$$

$$2c + c + s(n-3)$$

$$3c + s(n-3)$$

$$...$$

$$kc + s(n-k) = ck + s(n-k)$$

$$s(n) = \begin{cases} 0 & n = 0 \\ c + s(n-1) & n > 0 \end{cases}$$

- \square So far for $n \ge k$ we have
 - cn) = ck + s(n-k)
- \square What if k = n?
 - cn = cn + s(0) = cn

$$s(n) = \begin{cases} 0 & n = 0 \\ c + s(n-1) & n > 0 \end{cases}$$

- \square So far for $n \ge k$ we have
 - cn) = ck + s(n-k)
- \square What if k = n?
 - \square s(n) = cn + s(0) = cn
- So $s(n) = \begin{cases} 0 & n = 0 \\ c + s(n-1) & n > 0 \end{cases}$
- Thus in general
 - s(n) = cn

$$s(n) = \begin{cases} 0 & n = 0\\ n + s(n-1) & n > 0 \end{cases}$$

$$s(n) = \begin{cases} 0 & n = 0\\ n + s(n-1) & n > 0 \end{cases}$$

$$\Box s(n)
= n + s(n-1)
= n + n-1 + s(n-2)
= n + n-1 + n-2 + s(n-3)
= n + n-1 + n-2 + n-3 + s(n-4)
= ...
= n + n-1 + n-2 + n-3 + ... + n-(k-1) + s(n-k)
= $\sum_{i=n-k+1}^{n} i + s(n-k)$$$

$$s(n) = \begin{cases} 0 & n = 0 \\ n + s(n-1) & n > 0 \end{cases}$$

$$\sum_{i=n-k+1}^{n} i + s(n-k)$$

$$s(n) = \begin{cases} 0 & n = 0 \\ n + s(n-1) & n > 0 \end{cases}$$

$$\sum_{i=n-k+1}^{n} i + s(n-k)$$

 \square What if k = n?

$$s(n) = \begin{cases} 0 & n = 0 \\ n + s(n-1) & n > 0 \end{cases}$$

$$\sum_{i=n-k+1}^{n} i + s(n-k)$$

 \square What if k = n?

$$\sum_{i=1}^{n} i + s(0) = \sum_{i=1}^{n} i + 0 = n \frac{n+1}{2}$$

$$s(n) = \begin{cases} 0 & n = 0\\ n + s(n-1) & n > 0 \end{cases}$$

$$\sum_{i=n-k+1}^{n} i + s(n-k)$$

 \square What if k = n?

$$\sum_{i=1}^{n} i + s(0) = \sum_{i=1}^{n} i + 0 = n \frac{n+1}{2}$$

□ Thus in general

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

$$T(n) = \begin{cases} c & n = 1 \\ 2T\left(\frac{n}{2}\right) + c & n > 1 \end{cases}$$

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

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

$$2^{2}T(n/2^{2}) + 2c + c$$

$$2^{2}(2T(n/2^{2}/2) + c) + 3c$$

$$2^{3}T(n/2^{3}) + 4c + 3c$$

$$2^{3}T(n/2^{3}) + 7c$$

$$2^{3}(2T(n/2^{3}/2) + c) + 7c$$

$$2^{4}T(n/2^{4}) + 15c$$
...

 $2^{k}T(n/2^{k}) + (2^{k} - 1)c$

$$T(n) = \begin{cases} c & n = 1 \\ 2T\left(\frac{n}{2}\right) + c & n > 1 \end{cases}$$

- \square So far for n > 2k we have
 - $T(n) = 2^k T(n/2^k) + (2^k 1)c$
- □ What if $k = \lg n$?

□
$$T(n) = 2^{\lg n} T(n/2^{\lg n}) + (2^{\lg n} - 1)c$$

= $n T(n/n) + (n - 1)c$
= $n T(1) + (n-1)c$
= $n C + (n-1)c = (2n - 1)c$

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

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

$$a(aT(n/b/b) + cn/b) + cn$$

$$a^{2}T(n/b^{2}) + cna/b + cn$$

$$a^{2}T(n/b^{2}) + cn(a/b + 1)$$

$$a^{2}(aT(n/b^{2}/b) + cn/b^{2}) + cn(a/b + 1)$$

$$a^{3}T(n/b^{3}) + cn(a^{2}/b^{2}) + cn(a/b + 1)$$

$$a^{3}T(n/b^{3}) + cn(a^{2}/b^{2} + a/b + 1)$$
...
$$a^{k}T(n/b^{k}) + cn(a^{k-1}/b^{k-1} + a^{k-2}/b^{k-2} + ... + a^{2}/b^{2} + a/b + 1)$$

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

☐ So we have

$$T(n) = a^{k}T(n/b^{k}) + cn(a^{k-1}/b^{k-1} + ... + a^{2}/b^{2} + a/b + 1)$$

- - \square $n = b^k$

$$T(n) = a^{k}T(1) + cn(a^{k-1}/b^{k-1} + ... + a^{2}/b^{2} + a/b + 1)$$

$$= a^{k}c + cn(a^{k-1}/b^{k-1} + ... + a^{2}/b^{2} + a/b + 1)$$

$$= ca^{k} + cn(a^{k-1}/b^{k-1} + ... + a^{2}/b^{2} + a/b + 1)$$

$$= cna^{k}/b^{k} + cn(a^{k-1}/b^{k-1} + ... + a^{2}/b^{2} + a/b + 1)$$

$$= cn(a^{k}/b^{k} + ... + a^{2}/b^{2} + a/b + 1)$$

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

- \square So with $k = \log_b n$
- \square What if a = b?
 - T(n) = cn(k + 1) $= cn(\log_b n + 1)$ $= \Theta(n \log n)$

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

- \square So with $k = \log_b n$
 - $T(n) = cn(a^{k}/b^{k} + ... + a^{2}/b^{2} + a/b + 1)$
- \square What if a < b?

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

- \square So with $k = \log_b n$
- \square What if a < b?
 - □ Recall that $\Sigma(x^k + x^{k-1} + ... + x + 1) = (x^{k+1} 1)/(x-1)$

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

- \square So with $k = \log_b n$
- \square What if a < b?
 - □ Recall that $(x^k + x^{k-1} + ... + x + 1) = (x^{k+1} 1)/(x-1)$
 - □ So:

$$\frac{a^{k}}{b^{k}} + \frac{a^{k-1}}{b^{k-1}} + \dots + \frac{a}{b} + 1 = \frac{(a/b)^{k+1} - 1}{(a/b) - 1} = \frac{1 - (a/b)^{k+1}}{1 - (a/b)} < \frac{1}{1 - a/b}$$

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

- \square So with $k = \log_b n$
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$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

- \square So with $k = \log_b n$
 - $T(n) = cn(a^{k}/b^{k} + ... + a^{2}/b^{2} + a/b + 1)$
- \square What if a > b?

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

- \square So with $k = \log_b n$
- \square What if a > b?

$$\frac{a^{k}}{b^{k}} + \frac{a^{k-1}}{b^{k-1}} + \dots + \frac{a}{b} + 1 = \frac{(a/b)^{k+1} - 1}{(a/b) - 1} = \Theta((a/b)^{k})$$

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

- \square So with $k = \log_b n$
- \square What if a > b?

$$\frac{a^{k}}{b^{k}} + \frac{a^{k-1}}{b^{k-1}} + \dots + \frac{a}{b} + 1 = \frac{(a/b)^{k+1} - 1}{(a/b) - 1} = \Theta((a/b)^{k})$$

 $T(n) = cn \cdot \Theta(a^k / b^k)$

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

- \square So with $k = \log_b n$
- \square What if a > b?

$$\frac{a^{k}}{b^{k}} + \frac{a^{k-1}}{b^{k-1}} + \dots + \frac{a}{b} + 1 = \frac{(a/b)^{k+1} - 1}{(a/b) - 1} = \Theta((a/b)^{k})$$

 $T(n) = cn \cdot \Theta(a^k / b^k)$

$$= cn \cdot \Theta(a^{\log n} / b^{\log n}) = cn \cdot \Theta(a^{\log n} / n)$$

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

- \square So with $k = \log_b n$
- \square What if a > b?

$$\frac{a^{k}}{b^{k}} + \frac{a^{k-1}}{b^{k-1}} + \dots + \frac{a}{b} + 1 = \frac{(a/b)^{k+1} - 1}{(a/b) - 1} = \Theta((a/b)^{k})$$

 $T(n) = cn \cdot \Theta(a^k / b^k)$

$$= cn \cdot \Theta(a^{\log n} / b^{\log n}) = cn \cdot \Theta(a^{\log n} / n)$$

recall logarithm fact: $a^{\log n} = n^{\log a}$

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

- \square So with $k = \log_b n$
- \square What if a > b?

$$\frac{a^{k}}{b^{k}} + \frac{a^{k-1}}{b^{k-1}} + \dots + \frac{a}{b} + 1 = \frac{(a/b)^{k+1} - 1}{(a/b) - 1} = \Theta((a/b)^{k})$$

 $T(n) = cn \cdot \Theta(a^k / b^k)$

$$= cn \cdot \Theta(a^{\log n} / b^{\log n}) = cn \cdot \Theta(a^{\log n} / n)$$

recall logarithm fact: $a^{\log n} = n^{\log a}$

$$= \operatorname{cn} \cdot \Theta(\operatorname{n}^{\log a}/\operatorname{n}) = \Theta(\operatorname{cn} \cdot \operatorname{n}^{\log a}/\operatorname{n})$$

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

- \square So with $k = \log_b n$
- \square What if a > b?

$$\frac{a^{k}}{b^{k}} + \frac{a^{k-1}}{b^{k-1}} + \dots + \frac{a}{b} + 1 = \frac{(a/b)^{k+1} - 1}{(a/b) - 1} = \Theta((a/b)^{k})$$

 $T(n) = cn \cdot \Theta(a^k / b^k)$

$$= cn \cdot \Theta(a^{\log n} / b^{\log n}) = cn \cdot \Theta(a^{\log n} / n)$$

recall logarithm fact: $a^{\log n} = n^{\log a}$

$$= \operatorname{cn} \cdot \Theta(\operatorname{n}^{\log a}/\operatorname{n}) = \Theta(\operatorname{cn} \cdot \operatorname{n}^{\log a}/\operatorname{n})$$

$$=\Theta(n^{\log a})$$

$$T(n) = \begin{cases} c & n = 1 \\ aT\left(\frac{n}{b}\right) + cn & n > 1 \end{cases}$$

□ So...

$$T(n) = \begin{cases} \Theta(n) & a < b \\ \Theta(n \log_b n) & a = b \\ \Theta(n^{\log_b a}) & a > b \end{cases}$$

The Master Theorem

- ☐ Given: a *divide and conquer* algorithm
 - □ An algorithm that divides the problem of size n into a subproblems, each of size n/b
 - □ Let the cost of each stage (i.e., the work to divide the problem + combine solved subproblems) be described by the function *f*(n)
- □ Then, the Master Theorem gives us a cookbook for the algorithm's running time:

The Master Theorem

 \Box if T(n) = aT(n/b) + f(n) then

$$T(n) = \begin{cases} \Theta(n^{\log_b a}) & f(n) = O(n^{\log_b a - \varepsilon}) \\ \Theta(n^{\log_b a} \log n) & f(n) = \Theta(n^{\log_b a}) \\ \Theta(f(n)) & f(n) = \Omega(n^{\log_b a + \varepsilon}) \text{AND} \\ af(n/b) < cf(n) & \text{for large } n \end{cases}$$

Using The Master Method

- \Box T(n) = 9T(n/3) + n
 - a=9, b=3, f(n)=n

 - □ Since $f(n) = O(n^{\log_3 9 \epsilon})$, where $\epsilon = 1$, case 1 applies:

$$T(n) = \Theta(n^{\log_b a})$$
 when $f(n) = O(n^{\log_b a - \varepsilon})$

□ Thus the solution is $T(n) = \Theta(n^2)$

Master Theorem

□ Let T(n) be <u>a monotonically increasing</u> function that satisfies

$$T(n) = a T(n/b) + f(n)$$
$$T(1) = c$$

where $a \ge 1$, $b \ge 2$, c > 0. If f(n) is $\Theta(n^d)$ where $d \ge 0$ then

$$\mathbf{T(n)} = \begin{cases} \Theta(n^d) & \text{if } \mathbf{a} < \mathbf{b^d} \\ \Theta(n^d \log n) & \text{If } \mathbf{a} = \mathbf{b^d} \\ \Theta(n^{\log_b a}) & \text{if } \mathbf{a} > \mathbf{b^d} \end{cases}$$

Master Theorem: Pitfalls

- ☐ You cannot use the Master Theorem if
 - \Box T(n) is not monotone, e.g. T(n) = $\sin(x)$
 - \Box f(n) is not a polynomial, e.g., T(n)=2T(n/2)+2ⁿ
 - □ b cannot be expressed as a constant, e.g.

$$T(n) = T(\sqrt{n})$$

- Note that the Master Theorem does not solve the recurrence equation
- □ Does the base case remain a concern?

Master Theorem: Example 1

Let $T(n) = T(n/2) + \frac{1}{2}n^2 + n$. What are the parameters?

$$a = 1$$

$$b = 2$$

$$d = 2$$

Therefore, which condition applies?

$$1 < 2^2$$
, case 1 applies

We conclude that

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

Master Theorem: Example 2

Let
$$T(n)= 2 T(n/4) + \sqrt{n+42}$$
. What are the parameters?

$$a = 2$$

$$b = 4$$

$$d = 1/2$$

Therefore, which condition applies?

$$2 = 4^{1/2}$$
, case 2 applies

We conclude that

$$T(n) \in \Theta(n^d \log n) = \Theta(\log n\sqrt{n})$$

Master Theorem: Example 3

Let
$$T(n)=3$$
 $T(n/2) + 3/4n + 1$. What are the parameters?
 $a = 3$
 $b = 2$
 $d = 1$

Therefore, which condition applies?

$$3 > 2^{1}$$
, case 3 applies

• We conclude that

$$T(n) \in \Theta(n^{\log_b a}) = \Theta(n^{\log_2 3})$$

• Note that $\log_2 3 \approx 1.584...$, can we say that $T(n) \in \Theta(n^{1.584})$ No, because $\log_2 3 \approx 1.5849...$ and $n^{1.584} \not\in \Theta(n^{1.5849})$

Practice Problems

For each of the following recurrences, give an expression for the runtime T(n) if the recurrence can be solved with the Master Theorem. Otherwise, indicate that the Master Theorem does not apply.

1.
$$T(n) = 3T(n/2) + n^2$$

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

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

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

5.
$$T(n) = 16T(n/4) + n$$

6.
$$T(n) = 2T(n/2) + n \log n$$

Solutions

1.
$$T(n) = 3T(n/2) + n^2 \Longrightarrow T(n) = \Theta(n^2)$$
 (Case 3)

2.
$$T(n) = 4T(n/2) + n^2 \Longrightarrow T(n) = \Theta(n^2 \log n)$$
 (Case 2)

3.
$$T(n) = T(n/2) + 2^n \Longrightarrow \Theta(2^n)$$
 (Case 3)

4.
$$T(n) = 2^n T(n/2) + n^n \Longrightarrow \text{Does not apply } (a \text{ is not constant})$$

5.
$$T(n) = 16T(n/4) + n \Longrightarrow T(n) = \Theta(n^2)$$
 (Case 1)

6.
$$T(n) = 2T(n/2) + n \log n \Longrightarrow T(n) = n \log^2 n$$
 (Case 2)