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Entwurf, Analyse und Umsetzung von Algorithmen Divide and Conquer, Master theorem



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Structure



Divide and Conquer

Concept Maximum Subtotal

Recursion Equations

Substitution Method Recursion Tree Method Master theorem Master theorem (Simple Form) Master theorem (General Form)

Concept:

- Divide the problem into smaller subproblems
- Conquer the subproblems through recursive solving. If subproblems are small enough solve them directly
- Connect all subsolutions to solve the overall problem
- Recursive application of the algorithm on smaller subproblems
- Direct solving of small subproblems

\blacksquare Sequence X of n integers

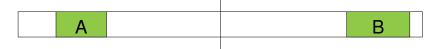
Output:

 Maximum sum of an uninterrupted subsequence of X and its index boundary

Table: input values

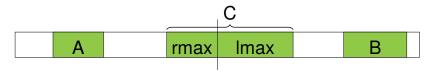
Output: Sum: 187, Start: 2, End: 6

Idea:



- Solve the left / right half of the problem recursively
- Combine both solutions into an overall solution
- The maximum is located in the left half (A) or the right half (B)
- The maximum interval can overlap with the border (C)

Principle:



- Small problems are solved directly: $n = 1 \Rightarrow \max = X[0]$
- Big problems are decomposed into two subproblems and solved recursively. Subsolutions A and B are returned.
- To solve C we have to calculate rmax and lmax
- The overall solution is the maximum of A, B and C

Maximum Subtotal - Python

```
def maxSubArray(X, i, j):
    if i == j: # trivial case
        return (X[i], i, i)
    # recursive subsolutions for A, B
    m = (i + j) // 2
    A = \max SubArray(X, i, m)
    B = \max SubArray(X, m + 1, j)
    # rmax and lmax for cornercase C
    C1, C2 = rmax(X, i, m), lmax(X, m + 1, j)
    C = (C1[0] + C2[0], C1[1], C2[1])
    # compute solution from results A, B, C
    return max([A, B, C], key=lambda i: i[0])
```

Maximum Subtotal - Python

```
#Alternative trivial case
def maxSubArray(X, i, j):
    # trivial: only one element
    if i == j:
        return (X[i], i, i)
    # trivial: only two elements
    if i + 1 == j:
        return max([
            (X[i], i, i).
            (X[j], j, j),
            (X[i] + X[j], i, j)
        ], key=lambda item: item[0])
```

... # continue as before

Maximum Subtotal - Python

```
#Implementation max
def max(a, b, c):
    if a > b:
        if a > c:
            return a
        else:
             return c
    else:
        if c > b:
             return c
        else:
             return b
```

```
#Alternative implementation max
def max(a, b):
    if a > b:
        return a
    else:
        return b
def maxTripel(a, b, c):
    return max(max(a,b),c)
```

Maximum Subtotal - Python

```
#Implementation left maximum
def lmax(X, i, j):
    maxSum = (X[i], i)
    s = X[i]
    # sum up from the lower index going up
    # (from left to right)
    for k in range(i+1, j+1):
        s += X[k]
        if s > maxSum[0]:
            maxSum = (s, k)
```

return maxSum

Maximum Subtotal - Python

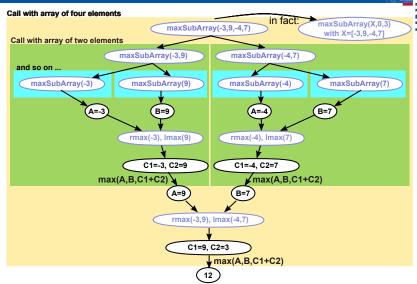
```
#Implementation right maximum
def rmax(X, i, j):
    \max Sum = (X[j], j)
    s = X[i]
    # sum up from the upper index going down
    # (from right to left)
    for k in range(j-1, i-1, -1):
        s += X[k]
        if s > maxSum[0]:
            maxSum = (s, k)
```

return maxSum

Table: Imax example

- The sum and lmax are initialized with X[i]
- We iterate over X from i + 1 to j and update sum
- If sum > lmax, then lmax gets updated

Maximum Subtotal



```
def maxSubArray(X, i, j):
                                          # 0(1)
    if i == j:
        return (X[i], i, i)
                                          # 0(1)
    m = (i + j) // 2
                                          # 0(1)
    A = \max SubArray(X, i, m)
                                          \# T(n/2)
    B = \max SubArray(X, m + 1, j)
                                           T(n/2) 
    C1 = rmax(X, i, m)
                                          \# O(n)
    C2 = lmax(X, m + 1, j)
                                          # O(n)
    C = (C1[0] + C2[0], C1[1], C2[1])
                                          # 0(1)
    return max([A, B, C], \
                                          # 0(1)
        key=lambda item: item[0])
```

Recursion equation:

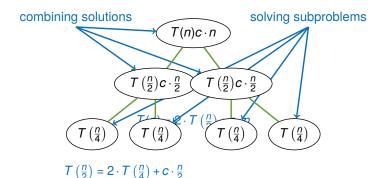
$$T(n) = \begin{cases} \underbrace{\Theta(1)}_{\text{trivial case}} & n = 1 \\ \underbrace{2 \cdot T\left(\frac{n}{2}\right)}_{\text{solving of subproblems}} & \underbrace{\Theta(n)}_{\text{combination of solutions}} & n > 1 \end{cases}$$

■ There exist two constants a and b with:

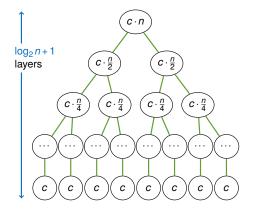
$$T(n) \leq \begin{cases} a & n = 1 \\ 2 \cdot T\left(\frac{n}{2}\right) + b \cdot n & n > 1 \end{cases}$$

■ We define $c := \max(a, b)$:

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



Maximum Subtotal - Illustration of T(n)



- 1 node processing *n* elements $\Rightarrow c \cdot n$
- 2 nodes processing $\frac{n}{2}$ elements $\Rightarrow 2c \cdot \frac{n}{2} = c \cdot n$
- 4 nodes processing $\frac{n}{4}$ elements $\Rightarrow 4c \cdot \frac{n}{4} = c \cdot n$
- 2^{i} nodes processing $\frac{n}{2^{i}}$ elements $\Rightarrow 2^{i} c \cdot \frac{n}{2^{i}} = c \cdot n$
- *n* nodes processing 1 element $\Rightarrow c \cdot n$

Figure: recursion tree method



Depth:

- Top level with depth i = 0
- Lowest level with $2^i = n$ elements

$$\Rightarrow i = \log_2 n$$

Runtime:

■ A total of $\log_2 n + 1$ levels costing $c \cdot n$ each
The costs of merging the solutions and solving the trivial problems are the same in this case

$$T(n) = c \cdot n \log_2 n + c \cdot n \in \Theta(n \log n)$$

Summary:

- Direct solution is slow with $\mathcal{O}(n^3)$
- Better solution with incremental update of sum was $\mathcal{O}(n^2)$
- Divide and conquer approach results in $\mathcal{O}(n \log n)$
- There is an approach running in $\mathcal{O}(n)$, under the assumption that all subtotals are positive

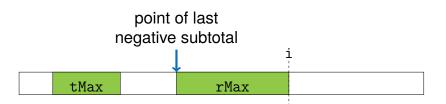


Figure: scanning the array in linear time

Maximum Subtotal - Python

```
#Implementation - linear runtime
def maxSubArray(X):
    # sum, start index
    rMax, irMax = 0, 0 # current maximum
    tMax, itMax = 0, 0 # total maximum
    for i in range(len(X)):
        if rMax == 0:
            irMax = i
        rMax = max(0, rMax + X[i])
        if rMax > tMax:
            tMax, itMax = rMax, irMax
    return (tMax, itMax)
```

Recursion equation:

■ Runtime description for recursive functions:

$$T(n) = \begin{cases} \overbrace{f_0(n)} & n = n_0 \\ \underbrace{a \cdot T\left(\frac{n}{b}\right)} & + \underbrace{f(n)} & n > n_0 \\ \text{solving of } a & \text{slicing and} \\ \text{subproblems} & \text{splicing of} \\ \text{with reduced} & \text{subsolutions} \\ \text{input size } \frac{n}{b} \end{cases}$$

Recursion equation:

■ Runtime descripion for recursive functions:

$$T(n) = \begin{cases} f_0(n) & n = n_0 \\ a \cdot T\left(\frac{n}{b}\right) + f(n) & n > n_0 \end{cases}$$

- n_0 is usually small, $f_0(n_0) \in \Theta(1)$
- Usually, a > 1 and b > 1
- Dependent on the strategy of solving T(n) f_0 is ignored
- T(n) is only defined for integers of $\frac{n}{b}$, which is often ignored in benefit of a simpler solution

Substitution Method:

- Guess the solution and prove it with induction
- Example:

Substitution Method

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

Assumption: $T(n) = n + n \cdot \log_2 n$

Induction:

- Induction basis (for n = 1): $T(1) = 1 + 1 \cdot \log_2 1 = 1$
- Induction step (from $\frac{n}{2}$ to n):

$$T(n) = 2 \cdot T\left(\frac{n}{2}\right) + n$$

$$\stackrel{!A}{=} 2 \cdot \left(\frac{n}{2} + \frac{n}{2} \cdot \log_2 \frac{n}{2}\right) + n$$

$$= 2 \cdot \left(\frac{n}{2} + \frac{n}{2} \cdot (\log_2 n - 1)\right) + n$$

$$= n + n \log_2 n - n + n$$

$$= n + n \log_2 n$$

Substitution Method:

- Alternative assumption
- Example:

Substitution Method

$$T(n) = \begin{cases} 1 & n = 1 \\ 2 \cdot T\left(\frac{n}{2}\right) + n & n > 0 \end{cases}$$

- Assumption: $T(n) \in O(n \log n)$
- Solution: Find c > 0 with $T(n) \le c \cdot n \log_2 n$

Substitution Method

Induction:

- Solution: Find c > 0 with $T(n) \le c \cdot n \log_2 n$
- Induction step (from $\frac{n}{2}$ to n):

$$T(n) = 2 \cdot T\left(\frac{n}{2}\right) + n$$

$$\leq 2 \cdot \left(c \cdot \frac{n}{2} \log_2 \frac{n}{2}\right) + n$$

$$= c \cdot n \log_2 n - c \cdot n \log_2 2 + n$$

$$= c \cdot n \log_2 n - c \cdot n + n$$

$$\leq c \cdot n \log_2 n, \quad c \geq 1$$

Recursion tree method:

- Can be used to make assumptions about the runtime
- Example:

$$T(n) = 3 \cdot T\left(\frac{n}{4}\right) + \Theta(n^2) \le 3 \cdot T\left(\frac{n}{4}\right) + c \cdot n^2$$

$$T(n) = 3 \cdot T\left(\frac{n}{4}\right) + c \cdot n^{2}$$
$$T(n) = 3 \cdot T\left(\frac{n}{4}\right) + c \cdot n^{2}$$

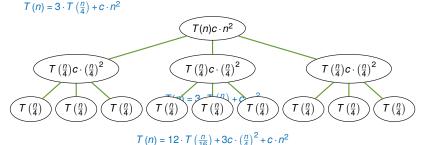


Figure: recursion tree of example

Recursion Equations

Recursion Tree Method



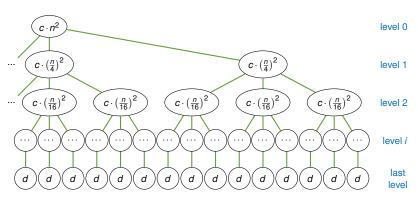


Figure: levels of the recursion tree

Recursion Tree Method Costs

Costs of connecting the partial solutions:

(excludes the last layer)

- Size of partial problems on level *i*: $s_i(n) = \left(\frac{1}{4}\right)^i \cdot n$
- Costs of partial problems on level i:

$$T_{i_p}(n) = c \cdot \left(\left(\frac{1}{4} \right)^i \cdot n \right)^2$$

- Number of partial problems on level i: $n_i = 3^i$
- Costs on level i:

$$T_i(n) = 3^i \cdot c \cdot \left(\left(\frac{1}{4} \right)^i \cdot n \right)^2 = \left(\frac{3}{16} \right)^i \cdot c \cdot n^2$$

Recursion Equations

Recursion Tree Method Costs

Costs of solving partial solutions: (only the last layer)

- Size of partial problems on the last level: $s_{i+1}(n) = 1$
- Costs of partial problem on the last level: $T_{i+1_p}(n) = d$
- With this the depth of the tree is:

$$\left(\frac{1}{4}\right)^i \cdot n = 1 \qquad \Rightarrow n = 4^i \qquad \Rightarrow i = \log_4 n$$

Number of partial problems on the last level:

$$n_{i+1} = 3^{\log_4 n} = n^{\log_4 3} \leftarrow \text{next slide}$$

■ Costs on the last level: $T_{i+1}(n) = d \cdot n^{\log_4 3}$

■ Transforming 3^{log₄ n} using general log rules

$$\log_4 n = \log_4 \left(3^{\log_3 n}\right)$$
 using $n = 3^{\log_3 n}$
= $\log_3 n \cdot \log_4 3$ using $\log a^b = b \cdot \log a$

- This proves the general log rule $\log_b c = \log_a c \cdot \log_b a$
- Now the whole expression:

$$3^{\log_4 n} = 3^{\log_3 n \cdot \log_4 3}$$
 using reformulation above
 $= \left(3^{\log_3 n}\right)^{\log_4 3}$ using $x^{a \cdot b} = (x^a)^b$
 $= n^{\log_4 3}$

This term will recur in the master theorem

Total costs

Total costs:

- Costs of level i: $T_i(n) = \left(\frac{3}{16}\right)^i \cdot c \cdot n^2$
- Costs of last level: $T_{i+1}(n) = d \cdot n^{\log_4 3}$

$$T(n) = \underbrace{\sum_{i=0}^{(\log_4 n) - 1} \left(\frac{3}{16}\right)^i \cdot c \cdot n^2}_{\text{geometric series,}} + \underbrace{d \cdot n^{\log_4 3}}_{\text{grows a lot}} \in \mathscr{O}(n^2)$$

$$\underbrace{\sum_{i=0}^{(\log_4 n) - 1} \left(\frac{3}{16}\right)^i \cdot c \cdot n^2}_{\text{geometric series,}} + \underbrace{d \cdot n^{\log_4 3}}_{\text{grows a lot}} \in \mathscr{O}(n^2)$$

Here: The costs of connecting the partial problems dominate

■ Geometric progression:

Quotient of two neighboring sequence parts is constant

$$2^0, 2^1, 2^2, \dots, 2^k$$

■ Geometric series:

The series (cumulative sum) of a geometric sequence

■ For | *q* |< 1:

$$\sum_{k=0}^{\infty} a_0 \cdot q^k = \frac{a_0}{1-q} \implies \text{constant}$$

Proof of $\mathcal{O}(n^2)$:

We know:

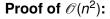
$$T(n) = 3T\left(\frac{n}{4}\right) + \Theta(n^2)$$

$$\leq 3T\left(\frac{n}{4}\right) + c \cdot n^2$$

Assumption: $T(n) \in \mathcal{O}(n^2)$, so there exists a k > 0 with

$$T(n) \leq k \cdot n^2$$

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■ Presumption: $T(n) \in \mathcal{O}(n^2)$, so there exists a k > 0 with

$$T(n) < k \cdot n^2$$

Substitution method:

$$T(n) \le 3 \cdot T\left(\frac{n}{4}\right) + c \cdot n^{2}$$

$$\le 3k \cdot \left(\frac{n}{4}\right)^{2} + c \cdot n^{2}$$

$$= \frac{3}{16}k \cdot n^{2} + c \cdot n^{2}$$

$$\le k \cdot n^{2} \qquad \text{for } k \ge \frac{16}{13}c$$

Master theorem:

Solution approach for a recursion equation of the form:

$$T(n) = a \cdot T\left(\frac{n}{b}\right) + f(n), \quad a \ge 1, b > 1$$

- \blacksquare T(n) is the runtime of an algorithm ...
 - ... which divides a problem of size *n* in *a* partial problems
 - which solves each partial problem recursively with a runtime of $T\left(\frac{n}{h}\right)$
 - \blacksquare ... which takes f(n) steps to merge all partial solutions

Master theorem:

- In the examples we have seen that ...
 - Either the runtime of connecting the solutions dominates
 - Or the runtime of solving the problems dominates
 - Or both have equal influence on runtime
- **Simple form:** Special case with runtime of connecting the solutions $f(n) \in O(n)$

Simple form:

$$T(n) = a \cdot T\left(\frac{n}{b}\right) + \underbrace{c \cdot n}_{\text{ls any } f(n)}, \quad a \ge 1, b > 1, c > 0$$
Is any $f(n)$
in general form

This yields a runtime of:

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

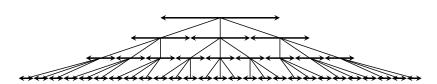


Figure: simple recursion equation with a = 3, b = 2

Case 1: a > b

- Three partial problems with $\frac{1}{2}$ the size
- Solving the partial problems dominates (last layer, leaves)
- Runtime of $\Theta(n^{\log_b a})$



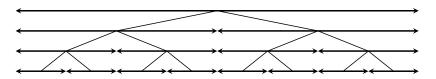


Figure: simple recursion equation with a = 2, b = 2

Case 2: a = b

- Two partial problems with $\frac{1}{2}$ the size
- Each layer has equal costs, log n layers
- Runtime of $\Theta(n \log n)$

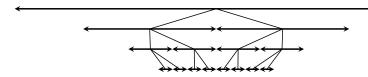


Figure: simple recursion equation with a = 2, b = 3

Case 3: *a* < *b*

- Two partial problems with $\frac{1}{3}$ the size
- Connecting all partial solutions dominates (first layer, root)
- Runtime of $\Theta(n)$

For a recursion equation like

$$T(n) = a \cdot T\left(\frac{n}{b}\right) + c \cdot n, \quad a \ge 1, b > 1, c > 0$$

■ ... yields a runtime of:

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

■ Proof with *geometric series*: Number of operations per layer grows / shrinks by constant factor $\frac{a}{b}$

Master theorem (general form):

$$T(n) = a \cdot T\left(\frac{n}{b}\right) + f(n), \quad a \ge 1, b > 1$$

- Case 1: $T(n) \in \Theta(n^{\log_b a})$ if $f(n) \in \mathcal{O}(n^{\log_b a \varepsilon})$, $\varepsilon > 0$ Solving the partial problems dominates (last laver, leaves)
- Case 2: $T(n) \in \Theta(n^{\log_b a} \log n)$ if $f(n) \in \Theta(n^{\log_b a})$ Each layer has equal costs, log_b n layers

Master theorem (general form):

■ Case 3: $T(n) \in \Theta(f(n))$ if $f(n) \in \Omega(n^{\log_b a + \varepsilon})$, $\varepsilon > 0$ Connecting all partial solutions in first layer (root) dominates

Regularity condition:

$$a \cdot f\left(\frac{n}{b}\right) \le c \cdot f(n), \quad 0 \le c \le 1,$$

 $n > n_0$

Case 1 - Example: $T(n) \in \Theta(n^{\log_b a})$ if $f(n) \in O(n^{\log_b a - \varepsilon})$, $\varepsilon > 0$ Solving the partial problems dominates (last layer, leaves)

■
$$T(n) = 8 \cdot T(\frac{n}{2}) + 1000 \cdot n^2$$

 $a = 8, b = 2, f(n) = 1000 \cdot n^2, \underbrace{\log_b a = \log_2 8 = 3}_{n^3 \text{ leaves}}$
 $f(n) \in \mathcal{O}(n^{3-\varepsilon}) \Rightarrow T(n) \in \Theta(n^3)$

$$T(n) = 9 \cdot T(\frac{n}{3}) + 17 \cdot n$$

$$a = 9, \ b = 3, \ f(n) = 17 \cdot n, \ \underbrace{\log_b a = \log_3 9 = 2}_{n^2 \text{ leaves}}$$

$$f(n) \in \mathscr{O}(n^{2-\varepsilon}) \Rightarrow T(n) \in \Theta(n^2)$$

Recursion Equations

Master theorem (General Form) - Case 2

Case 2:
$$T(n) \in \Theta(n^{\log_b a} \log n)$$
 if $f(n) \in \Theta(n^{\log_b a})$
Each layer has equal costs, $\log n$ layers

■
$$T(n) = 2 \cdot T(\frac{n}{2}) + 10 \cdot n$$

 $a = 2, b = 2, f(n) = 10 \cdot n, \log_b a = \log_2 2 = 1$
 $f(n) \in \Theta(n^{\log_2 2}) \Rightarrow T(n) \in \Theta(n \log n)$
 $f(n) \in \Theta(n^{\log_2 2}) \Rightarrow T(n) \in \Theta(n \log n)$

T(n) =
$$T(\frac{2n}{3}) + 1$$

 $a = 1, b = \frac{3}{2}, f(n) = 1, \underbrace{\log_b a = \log_{3/2} 1 = 0}_{n^0 \text{ leaves } = 1 \text{ leaf}}$

$$f(n) \in \Theta(n^{\log_{3/2} 1}) \Rightarrow T(n) \in \Theta(n^0 \log n) = \Theta(\log n)$$



Case 3:
$$T(n) \in \Theta(f(n))$$

if
$$f(n) \in \Omega(n^{\log_b a + \varepsilon}), \ \varepsilon > 0$$

Connecting all partial solutions in first layer (root) dominates

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

$$a = 2, b = 2, f(n) = n^{2}, \underbrace{\log_{b} a = \log_{2} 2 = 1}_{n^{1} \text{ leaves}}$$

Master theorem (General Form) - Case 3

Case 3:
$$T(n) \in \Theta(f(n))$$

if
$$f(n) \in \Omega(n^{\log_b a + \varepsilon}), \ \varepsilon > 0$$

Connecting all partial solutions in first layer (root) dominates

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

$$\blacksquare f(n) \in \Omega(n^{1+\varepsilon})$$

■ Check if regularity condition also holds:

$$a \cdot f\left(\frac{n}{b}\right) \le c \cdot f(n)$$

$$2 \cdot \left(\frac{n}{2}\right)^2 \le c \cdot n^2 \qquad \Rightarrow \frac{1}{2} \cdot n^2 \le c \cdot n^2 \qquad \Rightarrow c \ge \frac{1}{2}$$

$$\Rightarrow T(n) \in \Theta(n^2)$$

Master theorem (General Form)

Master theorem:

Not always applicable: $T(n) = 2 \cdot T(\frac{n}{2}) + n \log n$

$$a = 2, b = 2, f(n) = n \log n, \underbrace{\log_b a = \log_2 2 = 1}_{n^1 \text{ leaves}}$$

- Case 1: $f(n) \notin O(n^{1-\varepsilon})$
- Case 2: $f(n) \notin \Theta(n^1)$
- Case 3: $f(n) \notin \Omega(n^{1+\varepsilon})$

 $n \log n$ is asymptotically larger than n, but not polynominal larger

Master theorem:

$$T(n) = a \cdot T\left(\frac{n}{b}\right) + f(n)$$

- Three cases depending on the dominance of the terms
- Case 1: Solving the partial problems is *polynominal* bigger than merging all solutions

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

$$T(n) \in \Theta(\text{number of leaves})$$

- Case 2: Each layer has equal costs $T(n) \in \Theta(n^{\log_b a} \log n)$, $\log n$ layers
- Case 3: Connecting all partial solutions is *polynominal* bigger than solving all partial problems $T(n) \in \Theta(f(n))$

■ General

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- [MS08] Kurt Mehlhorn and Peter Sanders. Algorithms and data structures, 2008. https://people.mpi-inf.mpg.de/~mehlhorn/ftp/Mehlhorn-Sanders-Toolbox.pdf.

Master theorem

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