# Algorithms and Datastructures Divide and Conquer, Master theorem

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#### Structure

#### Divide and Conquer

Concept

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Master theorem (General Form)

Introduction

#### 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

Maximum Subtotal

#### Input:

▶ Progression *X* of *n* integers

#### Output:

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

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

#### Maximum Subtotal

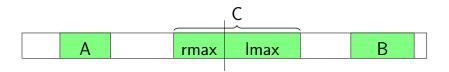
#### Idea:



- ▶ Solve the left / right half of the problem recursive
- Combine both solutions into a 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)

Maximum Subtotal

#### Principle:



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

```
def maxSubArray(X, i, j):
    if i == j: # trivial case
        return (X[i], i, i)
    m = (i + j) / 2
        #Solutions for A and B
    A = \max SubArray(X, i, m)
    B = \max SubArray(X, m + 1, j)
        #rmax and lmax for bordercase C
    C1 = rmax(X, i, m)
    C2 = lmax(X, m + 1, j)
    C = (C1[0] + C2[0], C1[1], C2[1])
        #Solution is maximum of A,B,C
    return max([A, B, C], \
        key=lambda item: item[0])
        #Simplification: only maximum
```

```
#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[i], i, i),
            (X[i] + X[j], i, j)
        ], key=lambda item: item[0])
    ... # continue as before
```

```
#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)
```

```
#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
```

return maxSum

```
#Implementation right maximum
def rmax(X, i, j):
   maxSum = (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)
```

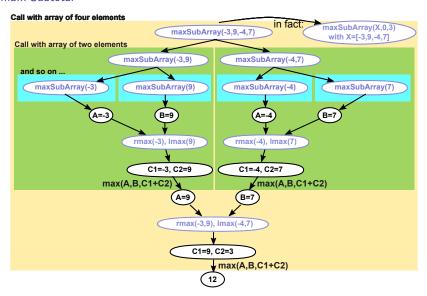
#### Maximum Subtotal

#### Table: Imax example

index	i	i + 1			<i>j</i> − 1 -41 49 90	j
X	58	-53	26	59	-41	31
sum	58	5	31	90	49	80
lmax	58	58	58	90	90	90

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

#### Maximum Subtotal



```
def maxSubArray(X, i, j):
    if i == j:
                                           # 0(1)
        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])
```

Maximum Subtotal - Number of steps T(n)

#### **Recursion equation:**

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

▶ 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)

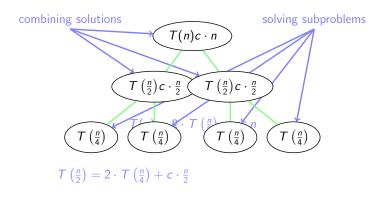


Figure: Illustration of the runtime

#### Maximum Subtotal - Illustration of T(n)

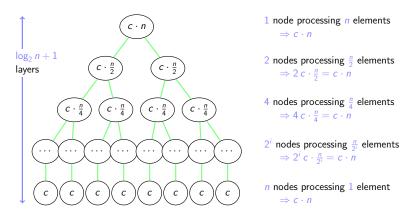


Figure: Recursion tree method

Maximum Subtotal - Illustration of T(n)

#### Depth:

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

$$\Rightarrow i = \log_2 n$$

#### Runtime:

► A total of log<sub>2</sub> n + 1 levels with each cost of c · n

The costs of merging the solutions and solving of the trivial problems are the same here

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

Maximum Subtotal - Summary

#### **Summary:**

- ▶ Direct solution is slow with  $O(n^3)$
- ▶ Better solution with incremental update of sum was  $O(n^2)$
- ▶ Divide and conquer approach results in  $O(n \log n)$
- ▶ There is an approach running in O(n) if you assume that all subtotals are positive

Maximum Subtotal

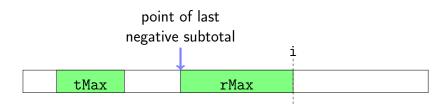


Figure: Scanning the array in linear time

```
#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

#### **Recursion equation:**

Describes the runtime for recursive functions:

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

Recursion Equation

#### Recursion equation:

Describes the runtime 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 normally small,  $f_0(n_0) \in \Theta(1)$
- ▶ Normally 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

#### **Substitution Method:**

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

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

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

#### Substitution Method

#### 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

#### **Substitution Method:**

- Alternative assumption
- Example:

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

- ▶ 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

#### Recursion tree method:

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

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

#### Recursion Tree Method

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

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

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

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

$$T\left(\frac{n}{4}\right) \cdot C\left(\frac{n}{4}\right)^{2}$$

$$T\left(\frac{n}{4}\right) \cdot T\left(\frac{n}{4}\right) \cdot T\left(\frac{n}{4}\right) \cdot T\left(\frac{n}{4}\right) \cdot T\left(\frac{n}{4}\right) \cdot T\left(\frac{n}{4}\right)$$

$$T(n) = 12 \cdot T\left(\frac{n}{16}\right) + 3c \cdot \left(\frac{n}{4}\right)^{2} + c \cdot n^{2}$$

Figure: Recursion tree of example

#### Recursion Tree Method

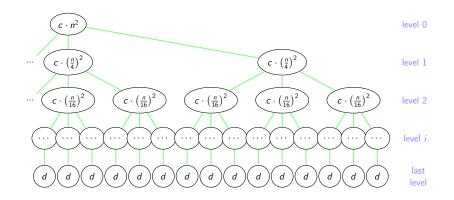


Figure: Levels of the recursion tree

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 problem 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 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:  $T_{i+1}(n) = d \cdot n^{\log_4 3}$ 

# Fun with logarithm

#### Logarithm

► transforming 3<sup>log<sub>4</sub> n</sup> uses general log rules

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

- ▶ this proves the general log rule  $\log_b c = \log_a c \cdot \log_b a$
- now the whole expression:

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

▶ 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:  $T_{i+1}(n) = d \cdot n^{\log_4 3}$

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

$$\underbrace{\sum_{i=0}^{(\log_4 n) - 1} \left(\frac{3}{16}\right)^i \cdot c \cdot n^2}_{\text{geometric series,}} + \underbrace{d \cdot n^{\log_4 3}}_{\text{log}_4 3 < 1,} \in O(n^2)$$

▶ Here: The costs of connecting the partial problems dominate

Geometric Series

- Geometric progression:
   Quotient of two neighbored progression parts is constant
- ► **Geometric series:**The series (cumulative sum) of a geometric progression
- ► For | *q* |< 1:

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

Therefore constant

Proof of  $O(n^2)$ 

## **Proof of** $O(n^2)$ :

▶ We know:

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

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

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

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

Proof of  $O(n^2)$ 

## Proof of $O(n^2)$ :

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

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

Substitution method:

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

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

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

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

Master theorem

#### Master theorem:

▶ Approach to solve for a recursion equation of the form:

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

- ightharpoonup 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  $T\left(\frac{n}{h}\right)$
  - $\blacktriangleright$  ... which takes f(n) steps to merge all partial solutions

Master theorem (Simple Form)

#### 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  $f(n) \in O(n)$

Master theorem (Simple Form)

#### Simple form:

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

was any  $f(n)$ 
in general form

This yields a runtime of:

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

Master theorem (Simple Form)

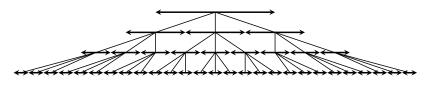


Figure: Simple recursion equation with a = 3, b = 2

#### Case 1: a > b

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

Master theorem (Simple Form)

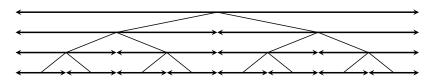


Figure: Simple recursion equation with a = 2, b = 2

#### Case 2: a = b

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

Master theorem (Simple Form)

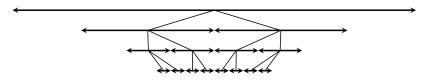


Figure: Simple recursion equation with a = 2, b = 3

#### Case 3: a < b

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

Master theorem (Simple Form)

#### 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 to 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)

#### 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 layer, 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)

#### 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 dominates (first layer, root)

#### Regularity condition:

$$a \cdot f\left(\frac{n}{b}\right) \le c \cdot f(n), \quad 0 \le c \le 1,$$
  
 $n > n_0$ 

Master theorem (General Form) - Case 1

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

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

$$a = 8, \ b = 2, \ f(n) = 1000 \cdot n^{2}, \ \underbrace{\log_{b} a = \log_{2} 8 = 3}_{n^{3} \text{ leaves}}$$

$$f(n) \in \mathcal{O}(n^{3-\varepsilon}) \Rightarrow T(n) \in \Theta(n^{3})$$

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

$$a = 9, \ b = 3, \ f(n) = 17 \cdot n, \ \log_b a = \log_3 9 = 2$$

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

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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

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

$$a = 2, \ b = 2, \ f(n) = 10 \cdot n, \ \log_b a = \log_2 2 = 1$$

$$f(n) \in \Theta(n^{\log_2 2}) \Rightarrow T(n) \in \Theta(n \log n)$$

$$n^1 \text{ leaves}$$

► 
$$T(n) = T(\frac{2n}{3}) + 1$$

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

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

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 dominates (first layer, root)

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

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

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

Check if regularity condition also holds:

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

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 - Summary

#### Master theorem:

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

- 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 porblems

$$T(n) \in \Theta(f(n))$$

#### Further Literature

#### General

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#### **Further Literature**

#### Master theorem

[Wik] Master theorem

https://en.wikipedia.org/wiki/Master\_theorem