

# Efficient Algorithms

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## Lecture 2: Mathematical Induction and Recurrence

# What is Mathematical Induction?

- It is a very useful and powerful proof technique.
- It is a proof technique for mathematical/logical claims that involve natural numbers and discrete structures such as trees, graphs, computer programs etc.
- It can prove claims that might be otherwise hard to prove using other proof techniques.

# Mathematical Induction

***The principle of mathematical induction*** states that  
for some property  $P(n)$ , if we have that

$$P(n_0) \text{ and}$$

$$\forall k \geq n_0 \in \mathbb{N}: P(k) \Rightarrow P(k + 1)$$

then,

$$\forall n \geq n_0 \in \mathbb{N}: P(n)$$



***Induction Hypothesis***

# Mathematical Induction

How induction works *intuitively*:

Suppose  $n_0 = 0$ .

It is true for  $n = 0$ .

If it true for  $n = 0$ , it is true for  $n = 1$ .

If it true for  $n = 1$ , it is true for  $n = 2$ .

If it true for  $n = 2$ , it is true for  $n = 3$ .

...

# The Domino Effect

Imagine an infinitely long line of dominos.

In order to get **all the dominos** to fall,

1. the **first** domino must fall

2. We must make sure that if **any domino** falls (the  $k^{th}$  one), we know **the next one** (the  $k + 1^{th}$  one) will also fall



[Illustration by Courtesy of Wikipedia](#)

# Another Way of Thinking: Climbing a ladder

Imagine a ladder with an infinite number of steps.

In order to get climb all the steps of the ladder without falling,

1. We must be able to climb to the **first** step
2. We must make sure that from an arbitrary  $k^{th}$  step, we can climb to **the next one** (the  $k + 1^{th}$  one) without falling

# Mathematical Induction

**Mathematical induction** establishes a statement for **natural numbers**, e.g.,

$$\forall n \geq n_0 \in \mathbb{N}: P(n)$$

- $P(n)$  is called a **predicate**.
- $P(n)$  takes  $n$  as input and evaluates to either **True** or **False**.
- Examples:
  - $P(n) \equiv 1 + 2 + 3 + \dots + n = \frac{n(n+1)}{2}$  for all  $n \geq 1$
  - $P(n) \equiv 6^n - 1$  is divisible by 5 for all  $n \geq 1$
  - $P(n) \equiv n < 2^n$  for all  $n \geq 0$



# Proof Template

Suppose  $\forall n \geq n_0 \in \mathbb{N}$ :  $P(n)$  is a predicate we want to prove.

**Step 0 (Preparatory Step):**

We define the predicate  $P(k)$ .

**Step 1 (Base Case):**

We want to show that the base case is true. In other words, we must show that  $P(n_0)$  holds.

**Step 2 (Induction Hypothesis):**

Assume that  $P(k)$  holds for any integer  $n = k$ .

**Step 3 (Inductive Step):**

We must show that  $P(k + 1)$  is also true.

**Step 4 (Conclusion):**

We can now conclude the claim  $\forall n \geq n_0 \in \mathbb{N}$ :  $P(n)$  is true.

Example I:  $1 + 2 + 3 + \cdots + n = \frac{n(n+1)}{2}$

Show that  $1 + 2 + 3 + \cdots + n = \frac{n(n+1)}{2}$  for all  $n \geq 1$ .

**Preparatory Step:**

Formulate the claim as a predicate:

$$P(n) \equiv \forall n \geq 1: 1 + 2 + 3 + \cdots + n = \frac{n(n+1)}{2}$$

Now, we have to show that  $P(n)$  holds for all  $n \geq 1$  using induction.

Example 1:  $1 + 2 + 3 + \cdots + n = \frac{n(n+1)}{2}$

Show that  $1 + 2 + 3 + \cdots + n = \frac{n(n+1)}{2}$  for all  $n \geq 1$ .

**Base Case:**  $n = 1$

$$L.H.S. = 1$$

$$R.H.S. = \frac{1(1+1)}{2} = 1$$

Therefore,  $P(0)$  is (*trivially*) true.

**\*\*\*NB:** Most base cases of induction proofs are often trivially true.

Example I:  $1 + 2 + 3 + \cdots + n = \frac{n(n+1)}{2}$

Show that  $1 + 2 + 3 + \cdots + n = \frac{n(n+1)}{2}$  for all  $n \geq 1$ .

**Induction Hypothesis:**

Assume true for  $n = k$ .

That is,  $1 + 2 + 3 + \cdots + k = \frac{k(k+1)}{2}$  for any  $n = k$ .

Example I:  $1 + 2 + 3 + \cdots + n = \frac{n(n+1)}{2}$

Show that  $1 + 2 + 3 + \cdots + n = \frac{n(n+1)}{2}$  for all  $n \geq 1$ .

**Inductive Step:**

We have to show it is true for  $n = k + 1$ .

That is, we have to show that  $1 + 2 + 3 + \cdots + k + (k + 1) = \frac{(k+1)(k+2)}{2}$ .

$$1 + 2 + 3 + \cdots + k = \frac{k(k+1)}{2} \quad (\text{I.H.})$$

$$1 + 2 + 3 + \cdots + k + (k + 1) = \frac{k(k+1)}{2} + k + 1 \quad (\text{Adding } k + 1 \text{ to both sides})$$

$$1 + 2 + 3 + \cdots + k + (k + 1) = \frac{k(k+1) + 2(k+1)}{2} \quad (\text{Simplifying R.H.S.})$$

$$1 + 2 + 3 + \cdots + k + (k + 1) = \frac{(k+1)(k+2)}{2} \quad (\text{Simplifying R.H.S.})$$

We have just shown that  $P(k + 1)$  is true.

**Conclusion:** Therefore, we have shown that  $\forall n \geq 1: P(n) \blacksquare$

## Example II: $5 \mid 6^n - 1$

Show that  $5 \mid 6^n - 1$  for all  $n \geq 1$ .

### **Preparatory Step:**

Formulate the claim as a predicate:

$$P(n) \equiv \forall n \geq 1: 5 \mid 6^n - 1$$

Now, we have to show that  $P(n)$  holds for all  $n \geq 1$  using induction.

## Example II: $5 \mid 6^n - 1$

Show that  $5 \mid 6^n - 1$  for all  $n \geq 1$ .

**Base Case:**  $n = 1$

$$5 \mid 6^1 - 1 = 5$$

Therefore,  $P(0)$  is (*trivially*) true.

## Example II: $5 \mid 6^n - 1$

Show that  $5 \mid 6^n - 1$  for all  $n \geq 1$ .

**Induction Hypothesis:**

Assume true for  $n = k$ .

That is,  $5 \mid 6^k - 1$  for any  $n = k$ .



## Example II: $5 \mid 6^n - 1$

Show that  $5 \mid 6^n - 1$  for all  $n \geq 1$ .

### Inductive Step:

We have to show it is true for  $n = k + 1$ .

That is, we have to show that  $5 \mid 6^{k+1} - 1$ .

$$5 \mid 6^k - 1$$

(I.H.)

$$6^k - 1 = 5q \text{ for some } q \in \mathbb{N}$$

(Definition of being divisible by 5)

$$6(6^k - 1) = 30q$$

(Multiplying both sides by 6)

$$6^{k+1} - 6 = 30q$$

(Expanding L.H.S.)

$$6^{k+1} - 1 - 5 = 30q$$

( $-6 = -1 - 5$ )

$$6^{k+1} - 1 = 30q + 5$$

(Adding both sides by 5)

$$6^{k+1} - 1 = 5(6q + 1)$$

( $30q + 5 = 5(6q + 1)$ )

$$5 \mid 6^{k+1} - 1$$

(Definition of being divisible by 5)

We have just shown that  $P(k + 1)$  is true.

Conclusion: Therefore, we have shown that  $\forall n \geq 1: P(n)$  ■

## Example III: $n < 2^n$

Show that  $n < 2^n$  for all  $n \geq 0$ .

### **Preparatory Step:**

Formulate the claim as a predicate:

$$P(n) \equiv \forall n \geq 0: n < 2^n$$

Now, we have to show that  $P(n)$  holds for all  $n \geq 0$  using induction.

## Example III: $n < 2^n$

Show that  $n < 2^n$  for all  $n \geq 0$ .

**Base Case:**  $n = 0$

$$R.H.S. = 0$$

$$L.H.S. = 2^0 = 1$$

$$R.H.S. < L.H.S.$$

Therefore,  $P(0)$  is (*trivially*) true.

## Example III: $n < 2^n$

Show that  $n < 2^n$  for all  $n \geq 0$ .

**Induction Hypothesis:**

Assume true for  $n = k$ .

That is,  $k < 2^k$  for any  $n = k$ .

## Example III: $n < 2^n$

Show that  $n < 2^n$  for all  $n \geq 0$ .

### Inductive Step:

We have to show it is true for  $n = k + 1$ .

That is, we have to show that  $k + 1 < 2^{k+1}$ .

$$k < 2^k$$

(I.H.)

$$k + 1 < 2^k + 1$$

(Adding 1 to both sides)

$$2^k + 1 \leq 2^k + 2^k$$

( $1 \leq 2^k$  for any  $k \geq 0$ )

$$2^k + 1 \leq 2 \cdot 2^k$$

( $2^k + 2^k = 2 \cdot 2^k$ )

$$2^k + 1 \leq 2^{k+1}$$

( $2 \cdot 2^k = 2^{k+1}$ )

$$k + 1 < 2^{k+1}$$

(Transitivity of  $<$  and  $\leq$ )

We have just shown that  $P(k + 1)$  is true.

**Conclusion:** Therefore, we have shown that  $\forall n \geq 1: P(n)$  ■

## Proof of $n \in O(2^n)$

We can now adapt the result of the previous induction proof to show that  $n \in O(2^n)$ .

### **Proof:**

From the previous induction proof, we know that

$$n < 2^n \quad \text{for all } n \geq 0$$

$$n \leq 2^n \quad \text{for all } n \geq 0$$

$$n \leq 1 \cdot 2^n \quad \text{for all } n \geq 0$$

Therefore, we can choose  $n_0 = 0$  and  $c = 1$  ■

# Revisiting the Dominos

Let's revisit the dominos.

- The inductive approach we are using can be sometimes insufficient to prove some claims.
- So far, to show that the  $k + 1^{th}$  domino falls, we must show that the  $k^{th}$  one falls.
- Actually, with the knowledge that  $k + 1^{th}$  domino falls, we know much more.
  - We know that the  $1^{th}, 2^{th}, \dots k^{th}$  dominos fall.
  - This variant of mathematical induction is known as **strong induction** or **complete induction**.
  - The first variant we showed earlier is known as **weak induction**.

# Strong Mathematical Induction

***The principle of strong mathematical induction*** states that

for some property  $P(n)$ , if we have that

$P(n_0)$  and

$$\forall k \geq n_0 \in \mathbb{N}: P(n_0) \wedge P(n_0+1) \wedge \cdots \wedge P(k) \Rightarrow P(k+1)$$

then,

$$\forall n \geq n_0 \in \mathbb{N}: P(n)$$



***Induction Hypothesis***



Example I: Every integer  $n > 1$  can be written as a product of primes.

First Attempt (using the weak version):

**Base Case:**  $n = 2$

2 is a prime number so it can be written as a (**trivial**) product of primes.

**Induction Hypothesis:**

Assume true for  $n = k$ . That is, an arbitrary integer  $k$  can be written as a product of primes.

**Inductive Step:**

We need to show that  $k + 1$  can be written as a product of primes.

Example I: Every integer  $n > 1$  can be written as a product of primes.

First Attempt (using the weak version):

Inductive Step:

We need to show that  $k + 1$  can be written as a product of primes.

We are bound to get stuck at this step, trying to establish  $P(k + 1)$  from  $P(k)$ .

**Why? : Because** there is no obvious relation between the factorization of  $k$  and the factorization of  $k + 1$ .

How can we make use of knowing that  $14 = 2 \times 7$  to establish the fact that  $15 = 3 \times 5$  ?

Example I: Every integer  $n > 1$  can be written as a product of primes.

Second Attempt (using the strong version):

Induction Hypothesis:

Assume true for  $n = 2, 3, \dots, k$ . That is, an arbitrary integer  $2 \leq k$  can be written as a product of primes.

In other words, we assume  $P(2) \wedge P(3) \wedge \dots \wedge P(k)$  is true.

Inductive Step:

We need to show that  $k + 1$  can be written as a product of primes.

We split our consideration into two cases as follows.

Example I: Every integer  $n > 1$  can be written as a product of primes.

**Case I:**  $k + 1$  is a prime.

This is trivially true because a prime can be trivially written as a product of primes.

**Case II:**  $k + 1$  is a composite number.

Therefore, there exist integers  $1 \leq a, b \leq k$  such that

$$k + 1 = a \cdot b$$

Since  $1 \leq a, b \leq k$ , we can invoke our I.H.

Thus,

$a$  and  $b$  can be written as a product of primes. (I.H.)

Thus,  $k + 1$  is also a product of primes.

**Conclusion:** Every integer  $n > 1$  can be written as a product of primes. ■

Example II:  $n = 4a + 5b$  for all  $n \geq 12$ .

**Preparatory Step:**

Let  $P(n)$  be the proposition that any integer  $n = 4a + 5b$  for some  $a, b \in \mathbb{N}$  for all  $n \geq 12$ .

**Base Cases:**

We have **FOUR base cases** to prove, namely,  $P(12)$ ,  $P(13)$ ,  $P(14)$  and  $P(15)$ .

\*\*\*We will explain later why we need **FOUR base cases** towards the end of the proof.

Example II:  $n = 4a + 5b$  for all  $n \geq 12$ .

**Base Cases:**

**Case I:**  $n = 12$

$$12 = 4(3) + 5(0)$$

**Case II:**  $n = 13$

$$13 = 4(2) + 5(1)$$

**Case III:**  $n = 14$

$$14 = 4(1) + 5(2)$$

**Case IV:**  $n = 15$

$$15 = 4(0) + 5(3)$$

Example II:  $n = 4a + 5b$  for all  $n \geq 12$ .

**Induction Hypothesis:**

Assume the proposition is true for  $12 \leq n \leq k$ .

That is,  $k = 4a + 5b$  for some integers  $a, b$ .

**Inductive Step:**

We must show it is true for  $k + 1$ . In other words,  $k + 1 = 4c + 5d$  for some integers  $c, d$ .

Example II:  $n = 4a + 5b$  for all  $n \geq 12$ .

Inductive Step:

$$\begin{array}{ll} k - 3 = 4x + 5y & \text{(I.H.)} \\ k - 3 + 4 = 4x + 5y + 4 & \text{(Adding 4 to both sides)} \\ k + 1 = 4x + 5y + 4 & \text{(-3 + 4 = 1)} \\ k + 1 = 4(x + 1) + 5y & \text{(4x + 4 = 4(x + 1))} \end{array}$$

Since  $x + 1$  and  $y$  are integers, we have found  $c = x + 1, d = y$ .  
Thus,  $P(k + 1)$  is true.

Conclusion:  $n = 4a + 5b$  for all  $n \geq 12$ . ■



Example II:  $n = 4a + 5b$  for all  $n \geq 12$ .

Why are **FOUR base cases** needed?

At the start of the inductive step, we chose to invoke our induction hypothesis at  $k - 3$ .

To make our proof valid, we need to make sure that

$$k - 3 \geq 12$$

$$k \geq 15$$

Therefore, the result of inductive step is valid if and only if  $n \geq 15$ .

Therefore, we need **separate proofs** for  $n = 12, 13, 14$  and  $15$ .

$n = 15$  is included as a base case as it acts as the entry point during the inductive step.

# Summary

- Mathematical induction is a very powerful tool for proving statements for natural numbers and discrete structures.
  - However, it does not provide any **intuition** as to why the result is true
- We can use other proof techniques to prove statements mathematical induction can be used to prove.
  - ,e.g., direct proof, proof by contradiction, proof by contrapositive
  - These proofs provide **intuition and logic** behind the result.

# Recursion

A *circular* (aka *recursive*) definition is often regarded as not useful.

However, in mathematics, especially in computer science, we always come across *recursive* definitions to define concepts in terms of themselves.

Many algorithms can be expressed *recursively* more naturally than *iteratively*.

## Example I: The Factorial of a Number

We can define the factorial of a number recursively as follows:

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

We can see great similarity between **recursion** and **induction**.  
Actually, they are closely related.

- The base case of a recursive definition is akin to the base case of mathematical induction.
- The recursive case is akin to the inductive step in mathematical induction.

## Example I: The Factorial of a Number

---

```
1: procedure FACTORIAL(n)
2:   if n = 0 then
3:     return 0
4:   else
5:     return n * FACTORIAL(n - 1)
```

---

We can analyze the time complexity of this recursive algorithm as follows:

The base case:  $T(0) = c_1$

The recursive case:  $T(n) = T(n - 1) + c_2$

## Example I: The Factorial of a Number

We can analyze the time complexity of this recursive algorithm as follows:

The base case:  $T(0) = c_1$

The recursive case:  $T(n) = T(n - 1) + c_2$

$c_1$  and  $c_2$  are constants.

**Q:** How do we solve the above *recurrence relation*, i.e., express the recurrence as a *closed-form* formula?

**A:** Many ways !!!

# Example I: The Factorial of a Number

One simple method is to do **backward substitution** and see the unfolding pattern:

We start with the time complexity of the outermost call:

$$T(n) = T(n - 1) + c_2 \quad \text{Eq.1}$$

Substituting  $T(n - 1) = T(n - 2) + c_2$  into Eq.1 gives

$$T(n) = (T(n - 2) + c_2) + c_2 \quad \text{Eq.2}$$

Substituting  $T(n - 2) = T(n - 3) + c_2$  into Eq.2 gives

$$T(n) = ((T(n - 3) + c_2) + c_2) + c_2 \quad \text{Eq.3}$$

....

Substituting  $T(n - k) = T(n - k - 1) + c_2$  into Eq.k gives

$$T(n) = ((T(n - k) + c_2) + c_2) + c_2 + \cdots)) \quad \text{Eq.k+1}$$

## Example I: The Factorial of a Number

We can now see the unfolding pattern:

$$T(n) = T(n - k) + kc_2$$

To reach the base case and terminate the algorithm, we set  $n - k = 0$ .

Thus,  $n = k$ .

$$T(n) = T(0) + nc_2$$

Since  $T(0) = c_1$

$$T(n) = c_1 + nc_2 \in \Theta(n) \blacksquare$$

**NB:** We can use other methods such as using the **generating function** to solve this recurrence.



# The Recursion Tree Method

Suppose there is a recursive algorithm whose time complexity follows the following recurrence relation:

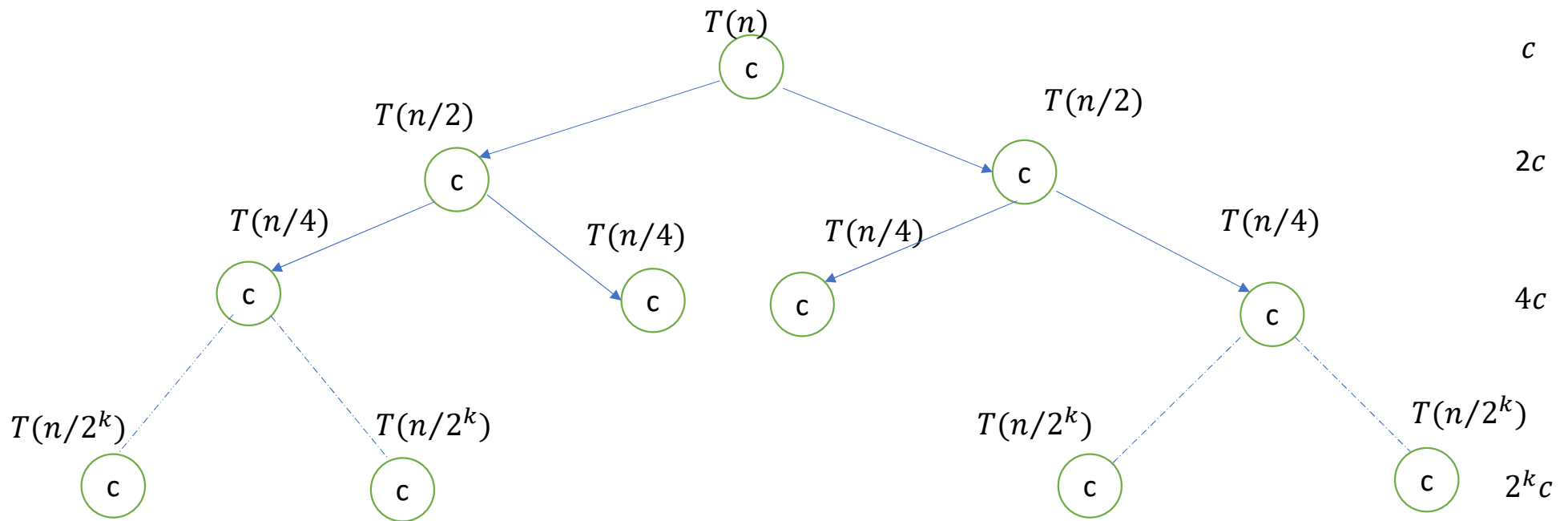
The base case:  $T(1) = c$

The recursive case:  $T(n) = 2T(n/2) + c$

We can also use the **backward substitution** method as we did previously.

# The Recursion Tree Method

Total work at each level



$$T(n) = c(1 + 2 + 4 + \dots + 2^k)$$

# The Recursion Tree Method

The time complexity is the sum of all the work done at every level of the recursion tree:

$$T(n) = c(1 + 2 + 4 + \dots + 2^k) = \frac{c(1)(2^{k+1}-1)}{2-1} = c(2 \cdot 2^k - 1)$$

The algorithm terminates all the recursive calls at the leaves are done.

That is when the problem size  $n/2^k$  reduces to 1.

$$n/2^k = 1$$

So  $n = 2^k$ .

Therefore,  $T(n) = c(2 \cdot 2^k - 1) = c(2n - 1) = \Theta(n)$  ■

## More on solving recurrence relation

We will encounter situations where we need to solve recurrence relations later as we progress through the course.

***Master Theorem*** will be introduced when we talk about the ***divide and conquer*** strategy.

Next time, we will cover ***data structures***.