# Divide and Conquer II

Summer 2017 • Lecture 2

#### A Few Notes

#### Homework 1

Released tomorrow night.

- Due Friday 7/7 at 11:59 p.m. on Gradescope.

  Remember, you must type your solutions!
- You can use a max of 2 out of your 3 late days.Will cover material from Lectures 1 and 2.

#### **Piazza**

Excellent questions and discussion on Piazza!

## **Outline for Today**

#### Divide and Conquer II

[Example] Mergesort, revisited

[Example] Integer multiplication

Solving recurrences

Recursion Tree method

Iteration method

Master method

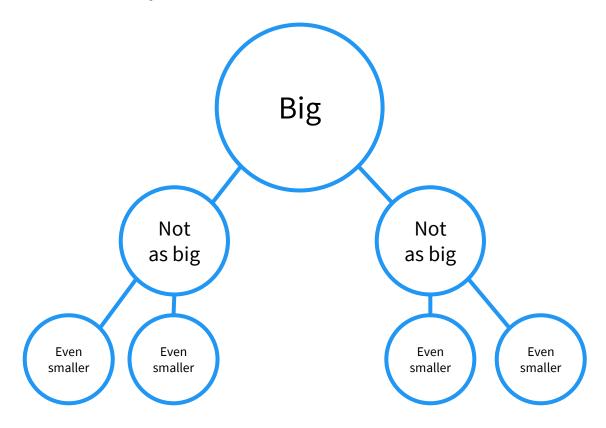
[Example] Median and selection

Substitution method

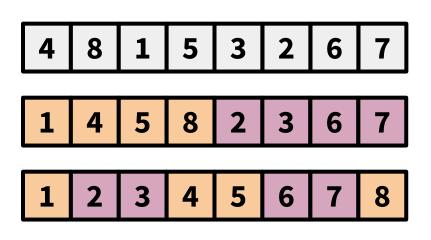
## Divide and Conquer

**Divide:** break current problem into smaller problems.

**Conquer:** solve the smaller problems and collate the results to solve the current problem.



Let's use divide and conquer to improve upon insertion sort!



Let's sort an unsorted list of numbers A.

Recursively sort each half, A[0:3] and A[4:7], separately.

Merge the results from each half together.

```
algorithm mergesort(list A):
 if length(A) ≤ 1:
    return A
 let left = first half of A
 let right = second half of A
  return merge(
    mergesort(left),
    mergesort(right)
```

Runtime: O(nlogn)

```
algorithm merge(list A, list B):
  let result = []
  while both A and B are nonempty:
    if head(A) < head(B):</pre>
      append head(A) to result
      pop head(A) from A
    else:
      append head(B) to result
      pop head(B) from B
  append remaining elements in A to result
  append remaining elements in B to result
  return result
```

**Total work:** O(a+b), where a and b are the lengths of lists A and B.

- **Question 1** How do we prove this algorithm always sorts the input list?
- **Question 2** How efficiently does this algorithm sort the input list?

# **Analyzing Runtime**

Here's our first recurrence relation,

$$T(0) = T(1) = \Theta(1)$$
  
 $T(n) = T(\lceil n/2 \rceil) + T(\lceil n/2 \rceil) + \Theta(n)$ 

**Assumption 1:** n is a power of two.\_\_\_

Why is it ok to make this assumption?



$$T(0) = \Theta(1)$$

$$\mathsf{T}(1) = \Theta(1) = \mathsf{c}_1$$

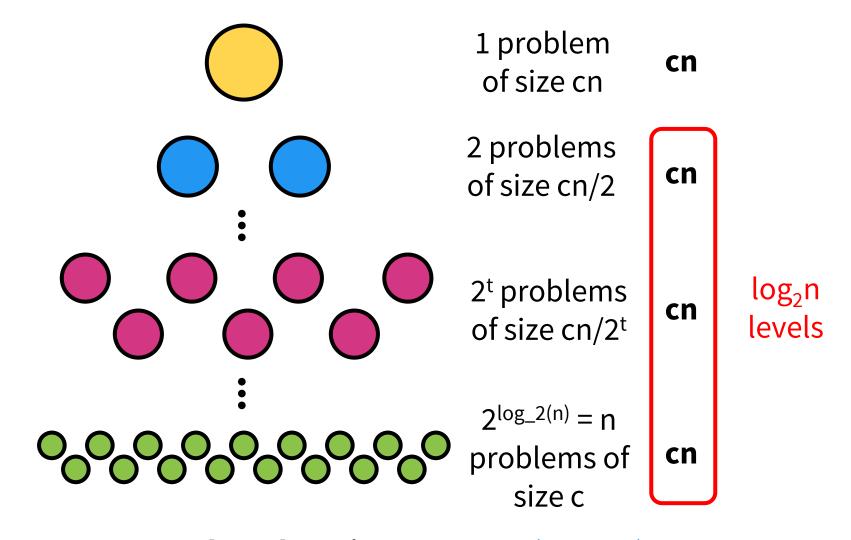
$$T(n) = T([n/2]) + T([n/2]) + \Theta(n)$$
  
=  $2T(n/2) + c_2n$ 

**Assumption 2:** Let  $c = max\{c_1, c_2\}$ 

$$T(1) \le c$$

$$T(n) \le 2T(n/2) + cn$$

#### Recursion Tree Method



Total work: cn  $log_2 n + cn = O(nlog n)$ 

### **Iteration Method**

Recall, our recurrence relation:

$$T(1) \le c$$
  
 $T(n) \le 2T(n/2) + cn$ 

$$T(n) \le 2 \cdot T(n/2) + cn$$
  
 $\le 2 \cdot (2T(n/4) + cn/2) + cn$   
 $= 4 \cdot T(n/4) + 2cn$   
 $\le 4 \cdot (2T(n/8) + cn/4) + 2cn$   
 $= 8 \cdot T(n/8) + 3cn$   
...  
 $\le 2^k T(n/2^k) + kcn$ 

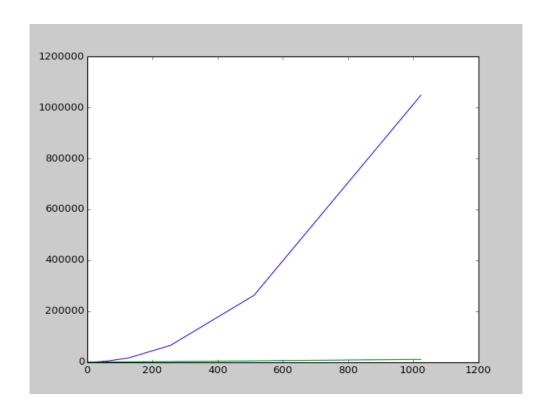
What is k? It's the number of times to divide n by 2 to get 1.

So 
$$k = log_2 n$$
  
 $T(n) \le 2^k T(n/2^k) + kcn$   
 $= 2^{log_2(n)} T(n/2^{log_2(n)}) + cnlog_2 n$   
 $= nT(1) + cnlog_2 n$   
 $\le cn + cnlog_2 n$   
 $= 0(nlog_1)$ 

# **Analyzing Runtime**

The best and worst-case runtime of mergesort is  $\Theta(n \log n)$ . The worst-case runtime of insertion\_sort was  $\Theta(n^2)$ .

#### THIS IS A HUGE IMPROVEMENT!!



```
1 x 2 = 2

13 x 24 = 312

1357 x 2468 = 3,349,076

13579246801593726048 x 24680135792604815937 = ???
```

n

#### How long would it take you to solve this problem?

About n<sup>2</sup> one-digit operations.

At most n<sup>2</sup> multiplications

At most n<sup>2</sup> additions (for carries)

Addition of n different 2n-digit numbers

Let's break up a 4-digit integer:  $1357 = 13 \cdot 100 + 57$ 

```
1357 \times 2468
= (13 \cdot 100 + 57)(24 \cdot 100 + 68)
= (13 \times 24) \cdot 10000 + (13 \times 68 + 57 \times 24) \cdot 100 + (57 \times 68)
```

One 4-digit multiplication → Four 2-digit multiplications

Let's break up an n-digit integer:  $j = a \cdot 10^{n/2} + b$ 

```
j x k
= (a \cdot 10^{n/2} + b)(c \cdot 10^{n/2} + d)
= (a x c) \cdot 10^{n} + (a x d + b x c) \cdot 10^{n/2} + (b x d)
```

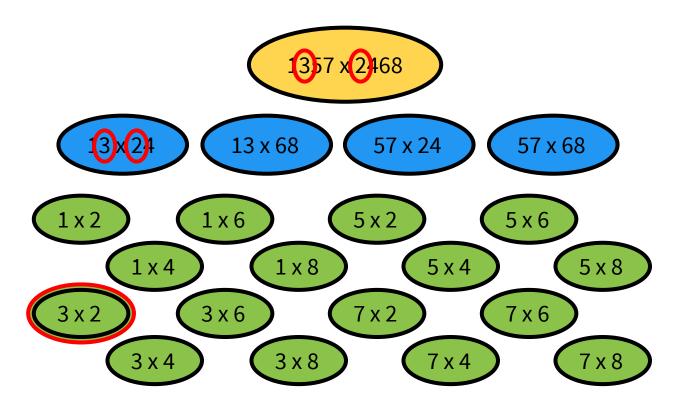
One n-digit multiplication → Four (n/2)-digit multiplications

```
algorithm naive_recursive_multiply(j, k):
   Rewrite j as a·10<sup>n/2</sup> + b
   Rewrite k as c·10<sup>n/2</sup> + d
   Recursively compute a·c, a·d, b·c, b·d
   Add them up (with shifts) to get j·k
```

Runtime: O(n<sup>2</sup>)

## **Analyzing Runtime**

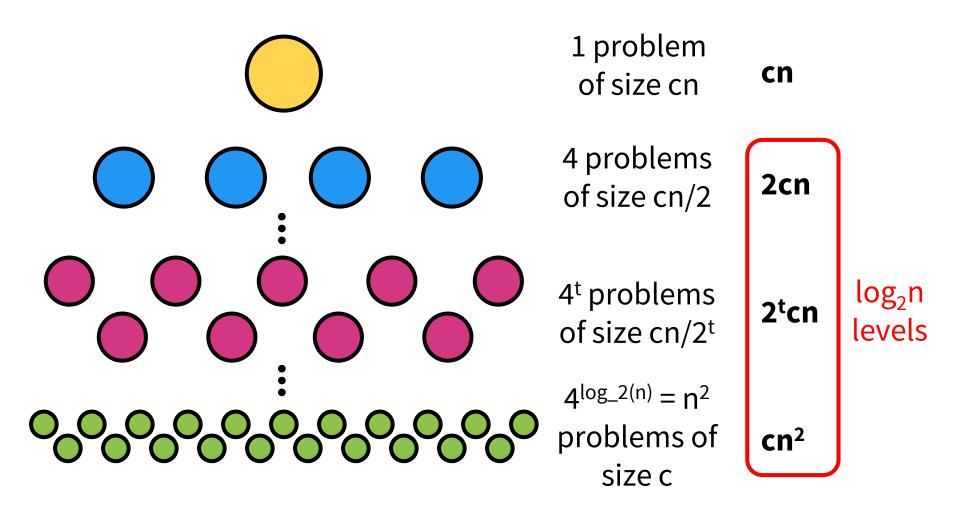
Hm. This is rather suspect ...



Every pair of digits still gets multiplied together separately!

Runtime: O(n<sup>2</sup>)

### Recursion Tree Method



Runtime: O(n<sup>2</sup>)

For now, take my word that O(n<sup>2</sup>logn) isn't tight.

### **Iteration Method**

Let T(n) be the runtime of naive\_recursive\_multiply on integers of length n.

**Recurrence relation:** T(n) = 4T(n/2) + O(n)

 $T(n) = 4 \cdot T(n/2)$   $= 4 \cdot (4 \cdot T(n/4)) \qquad 4^2 \cdot T(n/2^2)$   $= 4 \cdot (4 \cdot (4 \cdot T(n/8))) \qquad 4^3 \cdot T(n/2^3)$ ...  $= 2^{2t} \cdot T(n/2^t) \qquad 4^t \cdot T(n/2^t)$ ...  $= n^2 \cdot T(1) \qquad 4^{\log_2(n)} \cdot T(n/2^{\log_2(n)})$ 

Runtime: O(n<sup>2</sup>)

Again, take my word that O(n<sup>2</sup>logn) isn't tight.

# **Analyzing Runtime**

```
So much work and still O(n<sup>2</sup>). This is sad :(
But wait ... there's more!
```

# Karatsuba's Algorithm (1960)

Let's break up an n-digit integer:  $j = a \cdot 10^{n/2} + b$   $j \times k$  $= (a \cdot 10^{n/2} + b)(c \cdot 10^{n/2} + d)$   $= (a \times c) \cdot 10^{n} + (a \times d + b \times c) \cdot 10^{n/2} + (b \times d)$ We needed to spend 4 multiplications: one for each of 1, 2, 3, and 4.

Key insight: 2+3, 1, and 4 are part of the product (a+b)(c+d).

$$(a + b)(c + d) = (ad + bc) + (ac) + (bd)$$
  
 $(a + b)(c + d) - ac - bd = ad + bc$ 

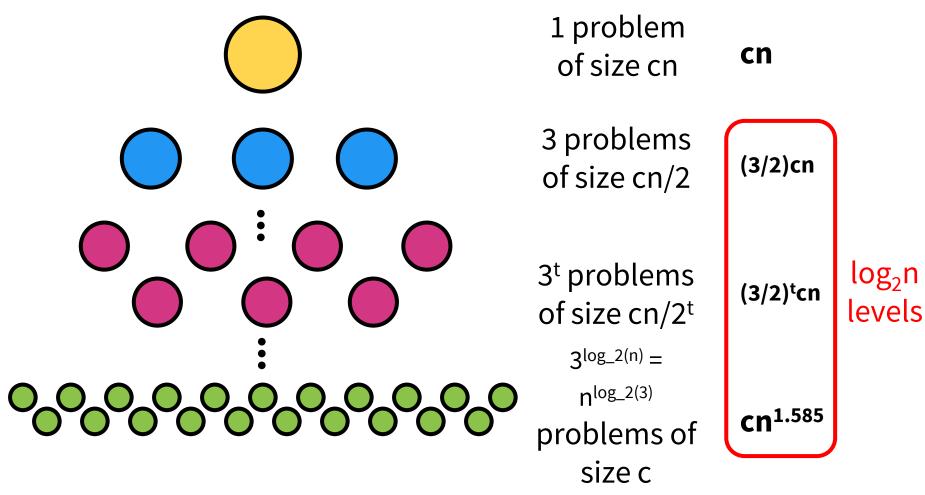
Now, we only need to spend 3 multiplications: one for each of 1 and 4, and a third one for (a+b)(c+d). From these products alone, we can infer 2 and 3.

## Karatsuba's Algorithm

```
algorithm karatsuba_multiply(j, k):
   Rewrite j as a·10<sup>n/2</sup> + b
   Rewrite k as c·10<sup>n/2</sup> + d
   Recursively compute a·c, b·d, (a+b)(c+d)
   Let ad+bc = (a+b)(c+d)-ac-bd
   Add them up (with shifts) to get j·k
```

Runtime:  $O(n^{\log_{2}(3)}) = O(n^{1.585})$ 

### Recursion Tree Method



Runtime:  $O(n^{1.585})$ 

For now, take my word that O(n<sup>1.585</sup>logn) isn't tight.

O(n<sup>1.585</sup>) runtime of Karatsuba's algorithm is an improvement over O(n<sup>2</sup>) runtime of the grade-school algorithm.

A few others outperform Karatsuba's algorithm.

Toom-Cook algorithm (1963 and 1966) reduces 9 multiplications to 5, instead of 4 to 3, with runtime  $O(n^{1.465})$ .

Schonhage-Strassen algorithm (1971) uses FFTs, with runtime O(nlog(n)loglog(n)).

Furer's algorithm (2007) uses FFTs as well.

**Fun fact:** The word "algorithm" comes from Al-Khwarizmi, a Persian mathematician who wrote a book (~800 a.d.) about how to multiply Arabic numerals.

## 3 min break

# Solving Recurrences

# Solving Recurrences

We've seen three recursive algorithms.

naive\_recursive\_multiply

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

karatsuba\_multiply

$$T(n) = 3T(n/2) + O(n)$$
  
=  $O(n^{\log_2 2(3)}) = O(n^{1.585})$ 

mergesort

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

What's the pattern???

Suppose  $T(n) = a \cdot T(n/b) + O(n^d)$ .

$$T(n) = \begin{cases} O(n^{d}logn) \text{ if } a = b^{d} \\ O(n^{d}) \text{ if } a < b^{d} \\ O(n^{log\_b(a)}) \text{ if } a > b^{d} \end{cases}$$

#### where

a is the number of subproblems,

b is the factor by which the input size shrinks, and

d parametrizes the runtime to create the subproblems and merge their solutions.

We've seen three recursive algorithms.

We can prove the Master Method by writing out a generic proof using a recursion tree [on the board].

Draw out the tree.

Determine the work per level.

Sum across all levels.

The three cases of the Master Method correspond to whether the recurrence is top heavy, balanced, or bottom heavy.

## Solving Recurrences

So far, we've seen three approaches to solving recurrences.

**Recursion Tree Method** 

**Iteration Method** 

**Master Method** 

## The Master Theorem

Suppose  $T(n) = a \cdot T(n/b) + O(n^c)$ .

$$T(n) = \begin{cases} O(n^c) & \text{if } a < b^c \\ O(n^c \log n) & \text{if } a = b^c \\ O(n^{\log_{-}b(a)}) & \text{if } a > b^c \end{cases}$$

#### where

a is the number of subproblems,

b is the factor by which the input size shrinks, and

c parametrizes the runtime to create the subproblems and merge their solutions.

### The Master Theorem

**Theorem 5.1** Let a be an integer greater than or equal to 1 and b be a real number greater than 1. Let c be a positive real number and d a nonnegative real number. Given a recurrence of the form

$$T(n) = \begin{cases} aT(n/b) + n^c & \text{if } n > 1\\ d & \text{if } n = 1 \end{cases}$$

then for n a power of b,

1. 
$$if \log_b a < c$$
,  $T(n) = \Theta(n^c)$ ,

2. 
$$if \log_b a = c$$
,  $T(n) = \Theta(n^c \log n)$ ,

3. if 
$$\log_b a > c$$
,  $T(n) = \Theta(n^{\log_b a})$ .

**Proof:** In this proof, we will set d = 1, so that the bottom level of the tree is equally well computed by the recursive step as by the base case. It is straightforward to extend the proof for the case when  $d \neq 1$ .

Let's think about the recursion tree for this recurrence. There will be  $\log_b n$  levels. At each level, the number of subproblems will be multiplied by a, and so the number of subproblems at level i will be  $a^i$ . Each subproblem at level i is a problem of size  $(n/b^i)$ . A subproblem of size  $n/b^i$  requires  $(n/b^i)^c$  additional work and since there are  $a^i$  problems on level i, the total number of units of work on level i is

$$a^{i}(n/b^{i})^{c} = n^{c}\left(\frac{a^{i}}{b^{ci}}\right) = n^{c}\left(\frac{a}{b^{c}}\right)^{i}.$$

In general, we have that the total work done is

$$\sum_{i=0}^{\log_b n} n^c \left(\frac{a}{b^c}\right)^i = n^c \sum_{i=0}^{\log_b n} \left(\frac{a}{b^c}\right)^i$$

In general, we have that the total work done is

$$\sum_{i=0}^{\log_b n} n^c \left(\frac{a}{b^c}\right)^i = n^c \sum_{i=0}^{\log_b n} \left(\frac{a}{b^c}\right)^i$$

1. 
$$if \log_b a < c$$
,  $T(n) = \Theta(n^c)$ ,

- 2.  $if \log_b a = c$ ,  $T(n) = \Theta(n^c \log n)$ ,
- 3.  $if \log_b a > c$ ,  $T(n) = \Theta(n^{\log_b a})$ .

In case 1, (part 1 in the statement of the theorem) this is  $n^c$  times a geometric series with a ratio of less than 1. Theorem 4.4 tells us that

$$n^c \sum_{i=0}^{\log_b n} \left(\frac{a}{b^c}\right)^i = \Theta(n^c).$$

In general, we have that the total work done is

$$\sum_{i=0}^{\log_b n} n^c \left(\frac{a}{b^c}\right)^i = n^c \sum_{i=0}^{\log_b n} \left(\frac{a}{b^c}\right)^i$$

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$$if \log_b a < c$$
,  $T(n) = \Theta(n^c)$ ,  
2.  $if \log_b a = c$ ,  $T(n) = \Theta(n^c \log n)$ ,  
3.  $if \log_b a > c$ ,  $T(n) = \Theta(n^{\log_b a})$ .

3. if 
$$\log_b a > c$$
,  $T(n) = \Theta(n^{\log_b a})$ .

In Case 2 we have that  $\frac{a}{b^c} = 1$  and so

$$n^{c} \sum_{i=0}^{\log_{b} n} \left(\frac{a}{b^{c}}\right)^{i} = n^{c} \sum_{i=0}^{\log_{b} n} 1^{i} = n^{c} (1 + \log_{b} n) = \Theta(n^{c} \log n)$$

In general, we have that the total work done is

$$\sum_{i=0}^{\log_b n} n^c \left(\frac{a}{b^c}\right)^i = n^c \sum_{i=0}^{\log_b n} \left(\frac{a}{b^c}\right)^i$$

1. if 
$$\log_b a < c$$
,  $T(n) = \Theta(n^c)$ ,

2. 
$$if \log_b a = c$$
,  $T(n) = \Theta(n^c \log n)$ 

2. if 
$$\log_b a = c$$
,  $T(n) = \Theta(n^c \log n)$ .  
3. if  $\log_b a > c$ ,  $T(n) = \Theta(n^{\log_b a})$ .

In Case 3, we have that  $\frac{a}{b^c} > 1$ . So in the series

$$n^{c} \left(\frac{a}{b^{c}}\right)^{\log_{b} n} = n^{c} \frac{a^{\log_{b} n}}{(b^{c})^{\log_{b} n}}$$

$$= n^{c} \frac{n^{\log_{b} a}}{n^{\log_{b} b^{c}}}$$

$$= n^{c} \frac{n^{\log_{b} a}}{n^{c}}$$

$$= n^{\log_{b} a}.$$
Thus the solution is  $\Theta(n^{\log_{b} a})$ .

$$\sum_{i=0}^{\log_b n} n^c \left(\frac{a}{b^c}\right)^i = n^c \sum_{i=0}^{\log_b n} \left(\frac{a}{b^c}\right)^i$$

the largest term is the last one, so by Theorem 4.4,the sum is  $\Theta\left(n^c\left(\frac{a}{b^c}\right)^{\log_b n}\right)$ . But

#### **Median and Selection**

#### **Beyond Master Method**

The Master Method only works when the sub-problems are the same size.

Here, we'll investigate a recursive algorithm that the Master Method can't solve.

In the select\_k algorithm, we will attempt to return the k<sup>th</sup> smallest element of an unsorted list of values **A**.



```
select_k(A,0) \Rightarrow 3 select_k(A,0) \Rightarrow min(A)

select_k(A,4) \Rightarrow 14 select_k(A,[n/2]-1) \Rightarrow median(A)

select_k(A,9) \Rightarrow 52 select_k(A,n-1) \Rightarrow max(A)
```

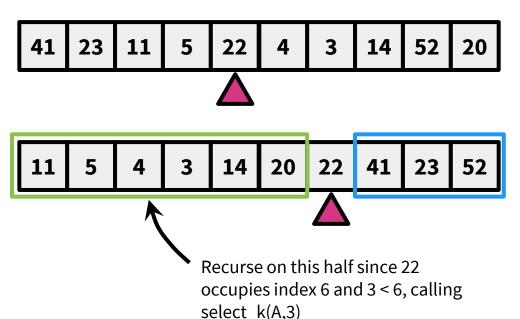
## A Slower Select-k Algorithm

```
algorithm naive_select_k(list A, k):
   A = mergesort(A)
   return A[k]
```

Runtime: O(nlogn)

Main idea: choose a pivot, partition around it, and recurse.

Suppose we call  $select_k(A,3)$ .

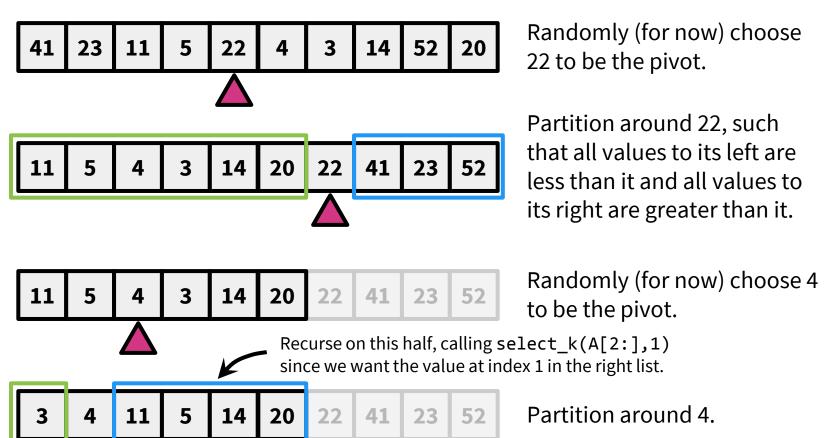


Randomly (for now) choose 22 to be the pivot.

Partition around 22, such that all values to its left are less than it and all values to its right are greater than it.

Main idea: choose a pivot, partition around it, and recurse.

Suppose we call  $select_k(A,3)$ .



```
algorithm partition(list A, p):
  L, R = []
 for i = 0 to length(A)-1:
    if i == p: continue
    else if A[i] <= A[p]:
      L.append(A[i])
    else if A[i] > A[p]:
      R.append(A[i])
  return L, A[p], R
```

Runtime: O(n)

```
algorithm select_k(list A, k):
  if length(A) == 1: return A[0]
  p = random choose pivot(A)
  L, A[p], R = partition(A, p)
  if length(L) == k:
    return A[p]
  else if length(L) > k:
    return select k(L, k)
  else if length(L) < k:</pre>
    return select k(R, k-length(L)-1)
```

Runtime: O(n<sup>2</sup>) We'll talk about why this is the case later.

- **Question 1** How do we prove this algorithm always returns the k<sup>th</sup> smallest element of **A**?
- **Question 2** How efficiently does this algorithm return the k<sup>th</sup> smallest element?

## **Proving Correctness**

Informally (explain it to your co-worker) ...

```
(Ignore the fact that there's no error-checking so select_k(A, 10) where length(A) <= 10 breaks the algorithm.)
```

Inductive hypothesis: At the return of each recursive call of size < n, select\_k(A,k) returns the  $k^{th}$  smallest element of **A**.

When length(A) == 1, then returning the only element is correct.

Suppose the inductive hypothesis holds for n. We want to show that it holds for n + 1. There are three cases:

- (1) length(L) = k: A[p] is the correct thing to return.
- (2) length(L) > k: the k<sup>th</sup> smallest element of L is the correct thing to return.
- (3) length(L) < k: the  $(k length(L) 1)^{st}$  smallest element is the correct thing

return.

to

By induction, select\_k is correct.



```
Recall p = random_choose_pivot(A). Why is this algorithm O(n²)?
```

Suppose we called  $select_k(A,0)$ , i.e. we want the min element, and we get unlucky with our selected pivot.

We can fix this by choosing our pivot more carefully.

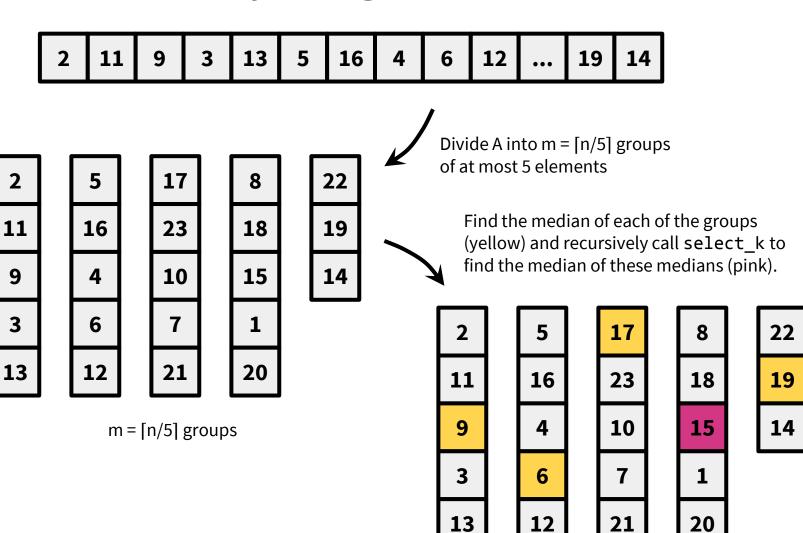
```
algorithm smartly_choose_pivot(list A):
    groups = split A into m=[length(A)/5]
        groups, of size ≤ 5 each
    candidate_pivots = []
    for i = 0 to m-1:
        p_i = median(groups[i]) # O(1)
        candidate_pivots.append(p_i)
    A[p] = select_k(candidate_pivots, m/2)
    return index_of(A[p])
```

```
algorithm select_k(list A, k):
  if length(A) \leq 100:
    return naive select k(A, k)
  p = smartly choose pivot(A)
  L, A[p], R = partition(A, p)
  if length(L) == k:
    return A[p]
  else if length(L) > k:
    return select k(L, k)
  else if length(L) < k:</pre>
    return select k(R, k-length(L)-1)
```

```
Instead of p = random_choose_pivot(A), now we have
p = smartly_choose_pivot(A).
```

Why is this algorithm O(n)?

Main idea: each of the arrays L and R are pretty balanced. Thus, while the median of medians might not be the actual median, it's pretty close.

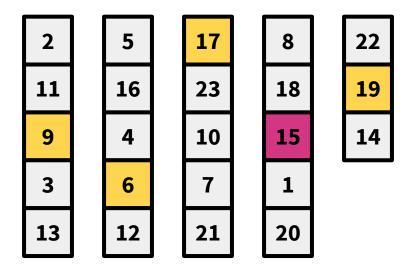


at most 5 elements

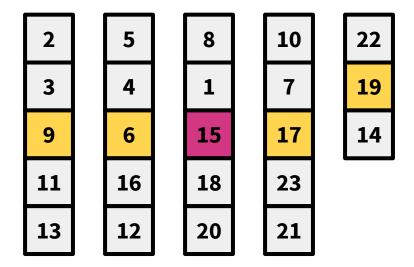
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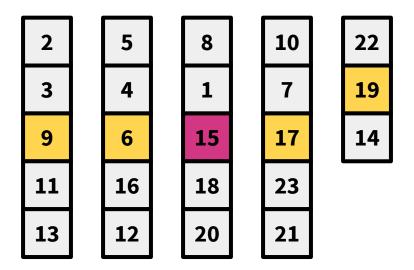
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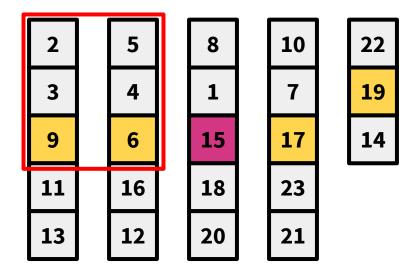
Clearly the median of medians (15) is not necessarily the actual median (12), but we claim that it's guaranteed to be pretty close.



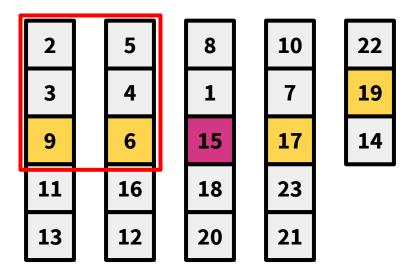
To see why, let's partition elements within each of the groups around the group's median, and partition the groups around the group with the median of medians.



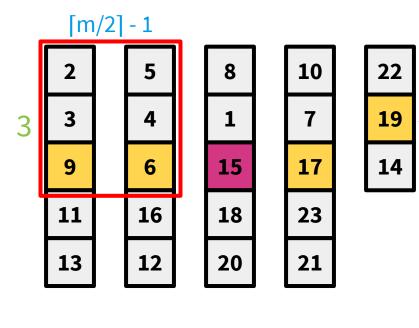
How many elements are smaller than the median of medians?



At least these guys (2, 3, 4, 5, 6, 9): everything above and to the left. There might be more (1, 7, 8, 11, 12, 13, 14), but we are guaranteed that *at least* these guys will be smaller.



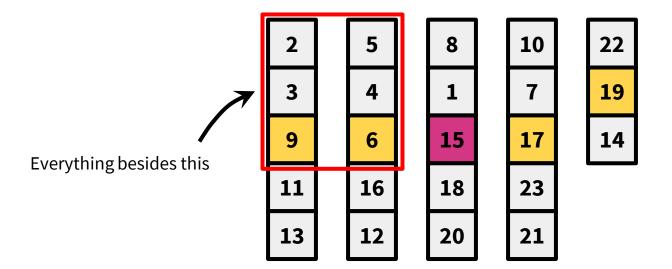
How many are there?



This is the "leftovers group"; if its contents were [12, 14, 16], then it would not have 3 elements less than the median of medians; thus the -1 below.

At least 3·([m/2] - 1 - 1)

One of groups could have been the leftovers group



How many elements are larger than the median of medians? At most  $n - 1 - 3 \cdot (\lceil m/2 \rceil - 1 - 1) \le 7n/10 + 5$ .

We just showed that ...

**/** 

smartly\_choose\_pivot will choose a pivot greater than at least  $3 \cdot (\lceil m/2 \rceil - 2)$  elements.

$$3 \cdot (\lceil m/2 \rceil - 2) \le |L|$$

$$|R| \le 7n/10 + 5$$



smartly\_choose\_pivot will
choose a pivot less than at most
7n/10 + 5 elements.

We can just as easily show the inverse.

$$3 \cdot (\lceil m/2 \rceil - 2) \le |L| \le 7n/10 + 5$$

$$3 \cdot (\lceil m/2 \rceil - 2) \le |R| \le 7n/10 + 5$$

What's the greatest number of elements that can be smaller than p?

```
random_choose_pivot might choose the largest element, so n-1.

smartly_choose_pivot will choose an element greater than at most 7n/10 + 5 elements.
```

What's the greatest number of elements that can be larger than p?

```
random_choose_pivot might choose the smallest element, so n-1.
smartly_choose_pivot will choose an element smaller than at most 7n/10 + 5 elements.
```

**Recurrence relation:**  $T(n) \le c \cdot n + T(\lceil n/5 \rceil) + T(\lceil 7n/10 + 5 \rceil)$ .

Partitioning, computing n/5 medians

Computing the median of n/5 medians.

Recursing on L or R.

But what if n = 4?

We introduce a "fat base case" where  $T(n) = \Theta(1) \le c$  for  $n \le 100$ .

Recall that the Master Method only works when the subproblems are the same size.

To prove this recurrence relation yields a runtime of O(n), we will employ substitution method.

**Theorem:** T(n) = O(n)

**Proof:** We guess that for all  $n \ge 1$ ,  $T(n) \le kn$  for some k that we will determine later; this means T(n) = O(n).

We proceed by induction. As a base case, if  $1 \le n \le 100$ , then  $T(n) \le c \le kn$  will be true as long as we pick  $k \ge c$ .

For the inductive step, assume for some  $n \ge 100$  that the claim holds for all  $1 \le n' < n$ . Note that  $1 \le \lceil n/5 \rceil$ ,  $\lceil 7n/10 + 5 \rceil < n$ . Then:

```
T(n) \le T(\lceil n/5 \rceil) + T(\lceil 7n/10 + 5 \rceil) + cn

\le k \lceil n/5 \rceil + k \lceil 7n/10 + 5 \rceil + cn

= k(n/5 + 1) + k(7n/10 + 5 + 1) + cn

= 9kn/10 + 7k + cn

= kn + (7k + cn - kn/10)
```

If we pick k = 50c, then  $7k + cn - kn/10 \le 0$  and  $T(n) \le kn$  holds, completing the induction.  $\square$ 

#### Substitution Method

#### To use substitution method, proceed as follows:

- Make a guess of the form of your answer (e.g. kn)
- Proceed by induction to prove the bound holds, noting what constraints arise on your undetermined constants (e.g. k).
- If you induction succeeds, you will have values for your undetermined constants.
- If the induction fails, then it doesn't necessarily imply that your guess fails to bound the recurrence.