

# CS240 Notes

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# 1 Course Objectives

## 1.1 Overview

What is this course about?

- When first learning to program, we emphasize **correctness**
- Starting with this course, we will also be concerned with **efficiency**
- We will study efficient methods of **storing, accessing, and performing operations** on large collections of data.
- Typical operations include: **inserting** new data items, **deleting** data items, **searching** for specific data items, **sorting**
- We will consider various **abstract data types** (ADTs) and how to implement them efficiently using appropriate **data structures**.
- There is a strong emphasis on mathematical analysis in the course
- Algorithms are presented using pseudocode and analyzed using order notation (big-O, etc.)

### **Course Topics:**

- big-O analysis
- priority queues and heaps
- sorting, selection
- binary search trees, AVL trees, B-trees
- skip lists
- hashing
- quadtrees, kd-trees
- range search
- tries
- string matching
- data compression

**Required knowledge:**

- arrays, linked lists (3.2- 3.4)
- strings (3.6)
- stacks, queues (4.2 - 4.6)
- abstract data types (4 - intro, 4.1, 4.8 - 4.9)
- recursive algorithms (5.1)
- binary trees (5.4 - 5.7)
- sorting (6.1 - 6.4)
- binary search (12.4)
- binary search trees (12.5)
- probability and expectations

## 1.2 General Terminologies

The core of CS240 is:

Given problem  $\Pi$ , design algorithm  $A$  that solves it, and analyze its **efficiency**

So what is a problem, an algorithms, and how do you quantify efficiency?

### Problem

- Given a **problem instance**, carry out a particular computational task
- Ex. Sorting is a problem

### Problem Instance

- **Input** for the specified problem

### Problem Solution

- **Output** (correct answer) for the specified problem instance

### Size of a problem instance

- **$Size(I)$**  is a positive integer which is a measure of the size of the instance  $I$

### Algorithm

- a **step-by-step process** (e.g. described in pseudocode) for carrying out a series of computations, given an arbitrary problem instance  $I$

### Algorithm solving a problem

- an algorithm  $A$  **solves** a problem  $\Pi$  if, for every instance  $I$  of  $\Pi$ ,  $A$  finds (computes) a valid solution for the instance  $I$  in finite time

### Program

- an **implementation** of an algorithm using a specified computer language

### Pseudocode

- a method of communicating an algorithm to another person
- in contrast, a program is a method of communicating an algorithm to a computer
- General rules of pseudocode:
  - omits obvious details (variable declarations)
  - has limited, if any, error detection
  - sometimes uses English descriptions
  - sometimes uses mathematical notation

### 1.3 Algorithms and programs

For a problem  $\Pi$ , we can have several algorithms.

For an algorithm  $A$  solving  $\Pi$ , we can have several programs (implementations)

Algorithms in practice: Given a problem  $\Pi$ :

1. **Algorithm Design:** Design an algorithm  $A$  that solves  $\Pi$
2. **Algorithm Analysis:** Assess **correctness** and **efficiency** of  $A$
3. If acceptable (correct and efficient), implement  $A$ .

## 2 Analysis of Algorithms I

- **Running Time:** In this course, we are primarily concerned with the **amount of time** a program takes to run
- **Space:** We also may be interested in the **amount of memory** the program requires
- The amount of time and/or memory required by a program will depend on  $Size(I)$ , the size of the given problem instance  $I$

### 2.1 Running time of Algorithms/Programs

Option 1: **Experimental Studies**

- Write a program implementing the algorithm
- Run the programs with various sizes of input and measure the actual running time
- Plot/compare the results

Shortcomings:

- Implementation may be complicated/costly
- Timings are affected by many factors: hardware, software environment, and human factors
- We cannot test all inputs (what are good **sample inputs**?)
- We cannot easily compare two algorithms/programs

We want a framework that:

- Does not require implementing the algorithm
- Is independent of the hardware/software environment
- Takes into account all input instances

Which means, we need some **simplifications**

We will develop several aspects of algorithm analysis:

- Algorithms are presented in structured high-level **pseudocode**, which is language-independent
- Analysis of algorithms is based on an **idealized computer model**
- The efficiency of an algorithm (with respect to time) is measure din terms of its **growth rate**, aka the **complexity** of the algorithm

## 2.2 Simplifications of running time

Overcome dependency on hardware/software

- Express algorithms using pseudocode
- Instead of time, count the number of **primitive operations**
- Implicit assumption: primitive operations have fairly similar, though different, running time on different systems

Random Access Machine (RAM) model:

- it has a set of memory cells, each of which stores one item (word) of data
- any **access to a memory location** takes constant time
- any **primitive operation** takes constant time
- the **running time** of a program can be computed to be the number of memory accesses plus the number of primitive operations

This is an idealized model, so these assumptions may not be valid for a "real" computer

Simplify Comparisons

- Example: Compare  $100n$  with  $10n^2$
- Idea: Use **order notation**
- Informally: ignore constants and lower order terms

We will simplify our analysis by considering the behaviour of algorithms for large input sizes

## 2.3 Asymptotic Notation

### $O$ -notation

- $f(n) \in O(g(n))$  if there exist constants  $C > 0$  and  $n_0 > 0$  such that  $|f(n)| \leq C|g(n)|$  for all  $n \geq n_0$
- Example:  $f(n) = 75n + 500$  and  $g(n) = 5n^2$ , choose  $c = 1$  and  $n_0 = 20$  can prove  $f(n) \in O(g(n))$
- Note: the absolute value signs in the definition are irrelevant for analysis of run-time or space, but are useful in other applications of asymptotic notation

### Example of Order Notation:

In order to prove that  $2n^2 + 3n + 11 \in O(n^2)$  from first principles, we need to find  $c$  and  $n_0$  such that:

$$0 \leq 2n^2 + 3n + 11 \leq cn^2 \text{ for all } n \geq n_0$$

Note that all choices of  $c$  and  $n_0$  will work. **Solution:**

Choose  $n_0 = 1$ .

$$n_0 \leq n \rightarrow 1 \leq n \rightarrow 1 \leq n^2 \rightarrow 11 \leq 11n^2$$

$$n_0 \leq n \rightarrow 1 \leq n \rightarrow n \leq n^2 \rightarrow 3n \leq 3n^2$$

$$\text{We also have: } 2n^2 \leq 2n^2$$

So we have:

$$2n^2 + 3n + 11 \leq 2n^2 + 3n^2 + 11n^2 \leq 16n^2$$

So let  $c = 16$  and  $n_0 = 1$ , and we have  $|f(n)| \leq c|g(n)|$  for all  $n \geq n_0$ .

Thus  $2n^2 + 3n + 11 \in O(n^2)$ . □

We want a **tight** asymptotic bound. So we have:

### $\Omega$ -notation

- $f(n) \in \Omega(g(n))$  if there exist constants  $c > 0$  and  $n_0 > 0$  such that  $c|g(n)| \leq |f(n)|$  for all  $n \geq n_0$

### $\Theta$ -notation

- $f(n) \in \Theta(g(n))$  if there exist constants  $c_1, c_2 > 0$ , and  $n_0 > 0$  such that  $c_1|g(n)| \leq |f(n)| \leq c_2|g(n)|$  for all  $n \geq n_0$

**Notice:**

$$f(n) \in \Theta(g(n)) \iff f(n) \in O(g(n)) \text{ and } f(n) \in \Omega(g(n))$$



**Example:**

Prove that  $\frac{1}{2}n^2 - 5n \in \Omega(n^2)$  from first principles.

**Solution:**

Let  $n_0 = 20$ . We find  $c$ .

$$\begin{aligned} n_0 = 20 \leq n \rightarrow 20n \leq n^2 \rightarrow 5n \leq \frac{1}{4}n^2 \rightarrow 0 \leq \frac{1}{4}n^2 - 5n \\ \frac{1}{2}n^2 - 5n = \frac{1}{4}n^2 + \underbrace{\frac{1}{4}n^2 - 5n}_{\geq 0} \geq \frac{1}{4}n^2 \end{aligned}$$

Since  $\frac{1}{2}n^2 - 5n \geq \frac{1}{4}n^2$ , we choose  $c = \frac{1}{4}$  and we have  $\frac{1}{2}n^2 - 5n \in \Omega(n^2)$ . □

**Quick Summary:**

- $O \leftrightarrow$  asymptotically not bigger
- $\Omega \leftrightarrow$  asymptotically not smaller
- $\Theta \leftrightarrow$  asymptotically the same

We have  $f(n) = 2n^2 + 3n + 11 \in \Theta(n^2)$

- How do we express that  $f(n)$  is **asymptotically strictly smaller** than  $n^3$ ?

 **$o$ -notation**

- $f(n) \in o(g(n))$  if for **all** constants  $c > 0$ , there exists a constant  $n_0 > 0$  such that  $|f(n)| < c|g(n)|$  for all  $n \geq n_0$

 **$\omega$ -notation**

- $f(n) \in \omega(g(n))$  if for **all** constants  $c > 0$ , there exists a constant  $n_0 > 0$  such that  $0 \leq c|g(n)| < |f(n)|$  for all  $n \geq n_0$

The  $o$  and  $\omega$  notations are rarely proved from first principles.

## 2.4 Relationships between Order Notations

- $f(n) \in \Theta(g(n)) \leftrightarrow g(n) \in \Theta(f(n))$
- $f(n) \in O(g(n)) \leftrightarrow g(n) \in \Omega(f(n))$
- $f(n) \in o(g(n)) \leftrightarrow g(n) \in \omega(f(n))$
- $f(n) \in o(g(n)) \rightarrow f(n) \in O(g(n))$
- $f(n) \in o(g(n)) \rightarrow f(n) \notin \Omega(g(n))$
- $f(n) \in \omega(g(n)) \rightarrow f(n) \in \Omega(g(n))$
- $f(n) \in \omega(g(n)) \rightarrow f(n) \notin O(g(n))$

## 2.5 Algebra of Order Notations

### Identity rule

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

### Maximum rules

Suppose that  $f(n) > 0$  and  $g(n) > 0$  for all  $n \geq n_0$ , then:

- $O(f(n) + g(n)) = O(\max\{f(n), g(n)\})$
- $\Omega(f(n) + g(n)) = \Omega(\max\{f(n), g(n)\})$

### Transitivity

- if  $f(n) \in O(g(n))$  and  $g(n) \in O(h(n))$ , then  $f(n) \in O(h(n))$
- if  $f(n) \in \Omega(g(n))$  and  $g(n) \in \Omega(h(n))$ , then  $f(n) \in \Omega(h(n))$

## 2.6 Techniques for Order Notation

Suppose that  $f(n) > 0$  and  $g(n) > 0$  for all  $n > n_0$ . Suppose that:

$$L = \lim_{n \rightarrow \infty} \frac{f(n)}{g(n)}$$

Then

$$f(n) \in \begin{cases} o(g(n)) & \text{if } L = 0 \\ \Theta(g(n)) & \text{if } 0 < L < \infty \\ \omega(g(n)) & \text{if } L = \infty \end{cases}$$

The required can often be computed using *l'Hôpital's rule*.

Note that this result gives **sufficient** (but not necessary) conditions for the stated conclusions to hold.

Example1:

Let  $f(n)$  be a polynomial of degree  $d \geq 0$

$$f(n) = c_d n^d + c_{d-1} n^{d-1} + \cdots + c_1 n + c_0$$

for some  $c_d > 0$ .

Then  $f(n) \in \Theta(n^d)$ .

Solution:

$$\begin{aligned} \lim_{n \rightarrow \infty} \frac{f(n)}{n^d} &= \lim_{n \rightarrow \infty} \frac{(c_d n^d + c_{d-1} n^{d-1} + \cdots + c_1 n + c_0)'}{(n^d)'} \\ &= \lim_{n \rightarrow \infty} \frac{(c_d)(d)n^{d-1} + (c_{d-1})(d-1)n^{d-2} + \cdots + (c_1)(1)n^0 + 0)'}{d n^{d-1}} \\ &= \lim_{n \rightarrow \infty} \frac{(c_d)(d)n^{d-1}}{d n^{d-1}} + \lim_{n \rightarrow \infty} \frac{(c_{d-1})(d-1)n^{d-2}}{d n^{d-1}} + \cdots + \lim_{n \rightarrow \infty} \frac{(c_1)(1)n^0}{d n^{d-1}} \\ &= \lim_{n \rightarrow \infty} \frac{(c_d)(d)n^{d-1}}{d n^{d-1}} \\ &= \lim_{n \rightarrow \infty} c_d \\ &= c_d \end{aligned}$$

Since  $c_d > 0$ , we know that  $f(n) \in \Theta(n^d)$ , as desired. □

Example2:

Prove that  $f(n) = n(2 + \sin(\frac{n\pi}{2}))$  is  $\Theta(n)$ .

Note that  $\lim_{n \rightarrow \infty} (2 + \sin(\frac{n\pi}{2}))$  does not exist.

Solution:

$$\begin{aligned} \lim_{n \rightarrow \infty} \frac{f(n)}{g(n)} &= \lim_{n \rightarrow \infty} \frac{n(2 + \sin(\frac{n\pi}{2}))}{n} \\ &= \lim_{n \rightarrow \infty} \underbrace{(2 + \sin(\frac{n\pi}{2}))}_{\text{DNE, no conclusion}} \end{aligned}$$

Think another way:

$$-1 \leq \sin(\frac{n\pi}{2}) \leq 1$$

$$1 \leq 2 + \sin(\frac{n\pi}{2}) \leq 3$$

Let  $n_0 = 1$ , so  $n \geq 1$

$$1n \leq 2 + \sin(\frac{n\pi}{2}) \leq 3n$$

So we have  $n_0 = 1$ ,  $c_1 = 1$  and  $c_0 = 1$ . And thus  $n(2 + \sin(\frac{n\pi}{2})) \in \Theta(n)$  □

## 2.7 Growth Rates

- If  $f(n) \in \Theta(g(n))$ , then the growth rates of  $f(n)$  and  $g(n)$  are the same
- If  $f(n) \in o(g(n))$ , then the growth rates of  $f(n)$  is less than  $g(n)$
- If  $f(n) \in \omega(g(n))$ , then the growth rates of  $f(n)$  is greater than  $g(n)$
- Typically,  $f(n)$  may be complicated and  $g(n)$  is chosen to be a very simple function

Example3:

Compare the growth rates of  $\log n$  and  $n$ .

Note: In this course, we default the base of log to be 2, so by  $\log n$  we mean  $\log_2 n$

Solution:

$$\begin{aligned} \lim_{n \rightarrow \infty} \frac{\log n}{n} &\stackrel{H}{=} \lim_{n \rightarrow \infty} \frac{\frac{1}{n \ln 2}}{1} \\ &= \lim_{n \rightarrow \infty} \frac{1}{n \ln 2} \\ &= 0 \end{aligned}$$

So  $\log n \in o(n)$  and

Now compare the growth rates of  $(\log n)^c$  and  $n^d$ , where  $c, d > 0$  are arbitrary numbers.

$$\begin{aligned} \lim_{n \rightarrow \infty} \frac{(\log n)^c}{n^d} &\stackrel{H}{=} \lim_{n \rightarrow \infty} \frac{c(\log n)^{c-1} \frac{1}{n \ln 2}}{d n^{d-1}} \\ &= \lim_{n \rightarrow \infty} \frac{c(\log n)^{c-1}}{d(\ln 2) n^d} \\ &\stackrel{H}{=} \lim_{n \rightarrow \infty} \frac{c(c-1)(\log n)^{c-2}}{d^2(\ln 2)^2 n^d} \\ &\stackrel{H}{=} \dots \\ &\stackrel{H}{=} \lim_{n \rightarrow \infty} \frac{c!}{(\ln 2)^c d^c n^d} \\ &= 0 \end{aligned}$$

So  $(\log n)^c \in o(n^d)$ , meaning  $(\log n)^c$  has growth rate less than  $n^d$  for arbitrary  $c, d > 0$ . This means, even if we have  $(\log n)^{10000}$ , we will still have a growth rate less than  $n^2$

## 2.8 Common Growth Rates

Commonly encountered growth rates in analysis of algorithms include the following (in increasing order of growth rate):

- $\Theta(1)$  (constant complexity)
- $\Theta(\log n)$  (logarithmic complexity)
- $\Theta(n)$  (linear complexity)
- $\Theta(n \log n)$  (linearithmic)
- $\Theta(n \log^k n)$  for some constant  $k$  (quasi-linear)
- $\Theta(n^2)$  (quadratic complexity)
- $\Theta(n^3)$  (cubic complexity)
- $\Theta(2^n)$  (exponential complexity)

It is interesting to see how the running time is affected when the size of the problem in-

stance doubles (i.e. $n \rightarrow 2n$ )	constant complexity:	$T(n) = c$	$\rightarrow$	$T(2n) = c$
	logarithmic complexity:	$T(n) = c \log n$	$\rightarrow$	$T(2n) = T(n) + c$
	linear complexity:	$T(n) = cn$	$\rightarrow$	$T(2n) = 2T(n)$
	linearithmic:	$T(n) = cn \log n$	$\rightarrow$	$T(2n) = 2T(n) + 2cn$
	quadratic complexity:	$T(n) = cn^2$	$\rightarrow$	$T(2n) = 4T(n)$
	cubic complexity:	$T(n) = cn^3$	$\rightarrow$	$T(2n) = 8T(n)$
	exponential complexity:	$T(n) = c2^n$	$\rightarrow$	$T(2n) = \frac{T(n)^2}{c}$

## 2.9 Techniques for Algorithm Analysis

Goal: Use asymptotic notation to simplify run-time analysis

- running time of an algorithm depends on the **input size**  $n$
- identify **elementary operations** that require  $\Theta(1)$  time
- the complexity of a loop is expressed as the **sum** of the complexities of each iteration of the loop
- Nested loops: starts with the innermost loop and proceed outwards.  
This gives **nested summations**

Example:

Test1

```
sum  $\leftarrow$  0
for  $i \leftarrow 1$  to  $n$  do
  for  $j \leftarrow i$  to  $n$  do
    sum  $\leftarrow$  sum +  $(i + j)^2$ 
return sum
```

We have:

$$\begin{aligned} T(n) &= c_0 + c_1 + \sum_{i=1}^n \sum_{j=i}^n c_2 \\ &= c_0 + c_1 + \sum_{i=1}^n c_2(n - i + 1) \\ &= c_0 + c_1 + \sum_{i=1}^n c_2 n - \sum_{i=1}^n c_2 i + \sum_{i=1}^n c_2 \\ &= c_0 + c_1 + c_2 n^2 - c_2 \left( \frac{n(n+1)}{2} \right) + c_2 n \\ &= c_0 + c_1 + c_2 \left( n^2 - \frac{n^2 - n}{2} + n \right) \\ &= c_0 + c_1 + \frac{c_2}{2} (n^2 + n) \end{aligned}$$

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

Another way of doing the same thing is to find upper bound and lower bound.

$$\begin{aligned}
 T(n) &= c_0 + c_1 + \sum_{i=1}^n \sum_{j=i}^n c_2 \leq c_0 + c_1 + \sum_{i=1}^n \sum_{j=1}^n c_2 \\
 &= c_0 + c_1 + c_2 \sum_{i=1}^n \sum_{j=1}^n 1 \\
 &= c_0 + c_1 + c_2 n^2
 \end{aligned}$$

So  $T(n) \in O(n^2)$

$$\begin{aligned}
 T(n) &= c_0 + c_1 + \sum_{i=1}^n \sum_{j=i}^n c_2 \geq c_0 + c_1 + \sum_{i=1}^{n/2} \sum_{j=1}^n c_2 \\
 &\geq c_0 + c_1 + \sum_{i=1}^{n/2} \sum_{j=n/2+1}^n c_2 \\
 &= c_0 + c_1 + \sum_{i=1}^{n/2} c_2 \frac{n}{2} \\
 &= c_0 + c_1 + c_2 \frac{n}{2} \sum_{i=1}^{n/2} 1 \\
 &= c_0 + c_1 + c_2 \left(\frac{n}{2}\right) \left(\frac{n}{2}\right) \\
 &= c_0 + c_1 + c_2 \left(\frac{n^2}{4}\right)
 \end{aligned}$$

So  $T(n) \in \Omega(n^2)$ . Therefore  $T(n) \in \Theta(n^2)$

Two general strategies are as follows:

- Use  $\Theta$ -bounds **throughout the analysis** and obtain a  $\Theta$ -bound for the complexity of the algorithm
- Prove a  $O$ -bound and a **matching**  $\Omega$ -bound **separately**.  
Use upper bounds (for  $O$ -bounds) and lower bounds (for  $\Omega$ -bounds) early and frequently  
This may be easier because upper/lower bounds are easier to sum.

## 2.10 Complexity of Algorithms

Algorithm can have different running times on two instances of the same size

Test3( $A, n$ )

$A$ : array of size  $n$

for  $i \leftarrow 1$  to  $n - 1$  do

$j \leftarrow i$

    while  $j > 0$  and  $A[j] > A[j - 1]$  do

        swap  $A[j]$  and  $A[j - 1]$

$j \leftarrow j - 1$

Let  $T_A(I)$  denote the running time of an algorithm  $A$  on instance  $I$ .

### Worst-case complexity of an algorithm

- it is a function  $f : \mathbb{Z}^+ \rightarrow \mathbb{R}$  mapping  $n$  (the input size) to the **longest** running time for any input instance of size  $n$

$$T_A(n) = \max\{T_A(I) : \text{Size}(I) = n\}$$

### Average-case complexity of an algorithm

- it is a function  $f : \mathbb{Z}^+ \rightarrow \mathbb{R}$  mapping  $n$  (the input size) to the **average** running time of  $A$  over all instances of size  $n$

$$T_A^{avg}(n) = \frac{1}{|\{I : \text{Size}(I) = n\}|} \sum_{I: \text{Size}(I)=n} T_A(I)$$

The average is more important in real life, but it is also harder to calculate.

In this course, we are talking about **worst case** complexity by default.

We need to convince/explain why a case is the worst case and compute its running time.

In the example of Test3 above, the worst number of times the while loop will run is  $i$  times.

So  $\sum_{i=1}^{n-1} i \in \Theta(n^2)$ .

Note that the average running time for this code is also  $\Theta(n^2)$ .



## 2.11 $O$ -notation and Complexity of Algorithms

We should not compare complexity of algorithms using  $O$ -notation because:

- the worst-case run-time may only be achieved on some instances
- $O$ -notation is an upper bound

So if we want to compare algorithms, we should always use  $\Theta$ -notation.

## 2.12 Analysis of Merge Sort

### Design of Merge Sort

**Input:** Array  $A$  of  $n$  integers

- Step 1: We split  $A$  into two sub-arrays:  $A_L$  consists of the first  $\lceil \frac{n}{2} \rceil$  elements in  $A$  and  $A_R$  consists of the last  $\lfloor \frac{n}{2} \rfloor$  elements in  $A$
- Step 2: **Recursively** run MergeSort on  $A_L$  and  $A_R$
- Step 3: After  $A_L$  and  $A_R$  have been sorted, use a function **Merge** to merge them into a single sorted array

### MergeSort implementation

MergeSort( $A, l \leftarrow 0, r \leftarrow n - 1$ )

$A$ : array of size  $n$ ,  $0 \leq l \leq r \leq n - 1$

if ( $r \leq l$ ) then

return

else

$m = (r + l) / 2$

MergeSort( $A, l, m$ )

MergeSort( $A, m+1, r$ )

Merge( $A, l, m, r$ )

$$T(n) = 2T\left(\frac{n}{2}\right) + \Theta(\text{Merge})$$

## Merge implementation

Merge( $A, l, m, r$ )

$A[0 \dots n-1]$  is an array,  $A[l \dots m]$  is sorted,  $A[m+1 \dots r]$  is sorted

initialize auxiliary array  $S[0 \dots n-1]$

copy  $A[l \dots r]$  into  $S[l \dots r]$

int  $i_L \leftarrow l$ ; int  $i_R \leftarrow m+1$ ;

for ( $k \leftarrow l$ ;  $k \leq r$ ;  $k++$ ) do

if ( $i_L > m$ )  $A[k] \leftarrow S[i_R++]$

else if ( $i_R > r$ )  $A[k] \leftarrow S[i_L++]$

else if ( $S[i_L] \leq S[i_R]$ )  $A[k] \leftarrow S[i_L++]$

else  $A[k] \leftarrow S[i_R++]$

So Merge takes time  $\Theta(r-l+1)$ , which is  $\Theta(n)$  time for merging  $n$  elements

Therefore the overall running time of MergeSort is:

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

Analysis of MergeSort:

Let  $T(n)$  denote the time to run MergeSort on an array of length  $n$

- Step 1 takes time  $\Theta(n)$
- Step 2 takes time  $T(\lceil \frac{n}{2} \rceil) + T(\lfloor \frac{n}{2} \rfloor)$
- Step 3 takes time  $\Theta(n)$

The **recurrence relation** for  $T(n)$  is as follows:

$$T(n) = \begin{cases} T(\lceil \frac{n}{2} \rceil) + T(\lfloor \frac{n}{2} \rfloor) + \Theta(n) & \text{if } n > 1 \\ \Theta(1) & \text{if } n = 1 \end{cases}$$

It suffices to consider the following **exact recurrence**, with constant factor  $c$  replacing  $\Theta$ 's:

$$T(n) = \begin{cases} T(\lceil \frac{n}{2} \rceil) + T(\lfloor \frac{n}{2} \rfloor) + cn & \text{if } n > 1 \\ c & \text{if } n = 1 \end{cases}$$

The following is the corresponding **sloppy recurrence**  
(meaning it has floors and ceilings removed)

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

The exact and slop recurrences are **identical** when  $n$  is a power of 2

The recurrence can easily be solved by various methods when  $n = 2^j$

The solution has growth rate  $T(n) \in \Theta(n \log n)$

It is impossible to show that  $T(n) \in \Theta(n \log n)$  **for all  $n$**  by analyzing the exact recurrence.

So how to show  $T(n) \in \Theta(n \log n)$  when  $n = 2^j$ ?

$$\begin{aligned}
T(n) &= 2T\left(\frac{n}{2}\right) + cn \\
&= 2\left(2T\left(\frac{n}{2^2}\right) + c\frac{n}{2}\right) + cn \\
&= 2^2T\left(\frac{n}{2^2}\right) + 2cn \\
&= 2^2\left(T\left(\frac{n}{2^3}\right) + c\frac{n}{2^2}\right) + 2cn \\
&= 2^3T\left(\frac{n}{2^3}\right) + 3cn \\
&\dots \\
&= 2^jT\left(\frac{n}{2^j}\right) + jcn \\
&= 2^j c + jcn \\
&= cn + jcn \\
&= cn + cn \log n
\end{aligned}$$

So  $T(n) \in \Theta(n \log n)$

Here's another way of proving it:

We know that  $T(n) = 2T\left(\frac{n}{2}\right) + cn$ .

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

We can draw a tree of the cost of  $T(n)$ ,  $T\left(\frac{n}{2}\right)$ ,  $T\left(\frac{n}{4}\right)$  and more, and sum them.

So we get  $T(n) = (\log n + 1)cn = cn \log n + cn \in \Theta(n \log n)$

## 2.13 Common Recurrence Relations

Recursion	Resolves to	Example
$T(n) = T\left(\frac{n}{2}\right) + \Theta(1)$	$T(n) \in \Theta(\log n)$	Binary search
$T(n) = 2T\left(\frac{n}{2}\right) + \Theta(n)$	$T(n) \in \Theta(n \log n)$	Merge sort
$T(n) = 2T\left(\frac{n}{2}\right) + \Theta(\log n)$	$T(n) \in \Theta(n)$	Heapify
$T(n) = T(cn) + \Theta(n)$ for some $0 < c < 1$	$T(n) \in \Theta(n)$	Selection
$T(n) = 2T\left(\frac{n}{4}\right) + \Theta(1)$	$T(n) \in \Theta(\sqrt{n})$	Range Search
$T(n) = T(\sqrt{n}) + \Theta(1)$	$T(n) \in \Theta(\log \log n)$	Interpolation Search

Once you know the result, it is usually easy to prove by induction

Many more recursions, and some methods to find the result, in CS341

## 2.14 Summary & Helpful formulas

### $O$ -notation

- $f(n) \in O(g(n))$  if there exist constants  $C > 0$  and  $n_0 > 0$  such that  $|f(n)| \leq C|g(n)|$  for all  $n \geq n_0$

### $\Omega$ -notation

- $f(n) \in \Omega(g(n))$  if there exist constants  $c > 0$  and  $n_0 > 0$  such that  $c|g(n)| \leq |f(n)|$  for all  $n \geq n_0$

### $\Theta$ -notation

- $f(n) \in \Theta(g(n))$  if there exist constants  $c_1, c_2 > 0$ , and  $n_0 > 0$  such that  $c_1|g(n)| \leq |f(n)| \leq c_2|g(n)|$  for all  $n \geq n_0$

### $o$ -notation

- $f(n) \in o(g(n))$  if for **all** constants  $c > 0$ , there exists a constant  $n_0 > 0$  such that  $|f(n)| < c|g(n)|$  for all  $n \geq n_0$

### $\omega$ -notation

- $f(n) \in \omega(g(n))$  if for **all** constants  $c > 0$ , there exists a constant  $n_0 > 0$  such that  $0 \leq c|g(n)| < |f(n)|$  for all  $n \geq n_0$

### Useful Sums:

#### Arithmetic sequence

$$\sum_{i=0}^{n-1} (a + di) = na + \frac{dn(n-1)}{2} \in \Theta(n^2) \text{ if } d \neq 0$$

#### Geometric sequence

$$\sum_{i=0}^{n-1} ar^i = \begin{cases} a \frac{r^n - 1}{r - 1} & \in \Theta(r^n) & \text{if } r > 1 \\ na & \in \Theta(n) & \text{if } r = 1 \\ a \frac{1 - r^n}{1 - r} & \in \Theta(1) & \text{if } 0 < r < 1 \end{cases}$$

#### Harmonic sequence

$$\sum_{i=0}^{n-1} \frac{1}{i} = \ln n + \gamma + o(1) \in \Theta(\log n)$$

#### A few more

$$\sum_{i=0}^{n-1} \frac{1}{i^2} = \frac{\pi^2}{6} \in \Theta(1)$$

$$\sum_{i=0}^{n-1} i^k \in \Theta(n^k + 1) \text{ for } k \geq 0$$

## 2.15 Useful Math Facts

### Logarithms

- $a^{\log_b c} = c^{\log_b a}$
- $\frac{d}{dx} \ln x = \frac{1}{x}$

### Factorial

- $n!$  = number of ways to permute  $n$  elements
- $\log(n!) = \log n + \log(n-1) + \cdots + \log 1 \in \Theta(n \log n)$

### Probability and moments

- (linearity of expectation)
- $E[aX] = aE[X]$
- $E[X + Y] = E[X] + E[Y]$

### 3 Heap